



Florida Department of Transportation

RICK SCOTT
GOVERNOR

605 Suwannee Street
Tallahassee, FL 32399-0450

MIKE DEW
SECRETARY

October 19, 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

RE: FISCAL YEAR 2019-20 LEGISLATIVE BUDGET REQUEST

Dear Directors:

Pursuant to Chapter 216, Florida Statutes, our Legislative Budget Request for the Department of Transportation is submitted in the format prescribed in the budget instructions. The information provided electronically and contained herein is a true and accurate presentation of our proposed needs for the 2019-20 Fiscal Year. This submission has been approved by Mike Dew, Secretary of the Florida Department of Transportation.

Sincerely,

A handwritten signature in blue ink that reads "Mechelle Marcum". The signature is fluid and cursive.

Mechelle Marcum
Budget Officer

MM:jmp

Enclosure

| BUDGET ENTITY | D3A ISSUE CODE | COLUMN NUMBERS | CODE | ERROR MESSAGE | PAGE |
|---------------|----------------|----------------|------|---------------|------|
|---------------|----------------|----------------|------|---------------|------|

THERE WERE 0 ERRORS DETECTED

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|--------------------------------------|-------------|----------|----------|
| COL A03 AGY REQUEST FY 2019-20 | | | |
| POS | AMOUNT | PRIORITY | CODES |
| ----- | | | |
| TRANSPORTATION, DEPT OF | | | 55000000 |
| CAPITAL IMPROVEMENT PLAN | | | 9900000 |
| ESTIMATED EXPENDITURES - FIXED | | | |
| CAPITAL OUTLAY | | | 990I000 |
| FIXED CAPITAL OUTLAY | | | 080000 |
| DEBT SERVICE | | 001 | 089070 |
| TRUST FUNDS..... | 209,073,047 | | 2000 |
| | ===== | | |

SCH VIIIA NARR 19-20 NOTES: DEBT SERVICE

Priority #001

Requests \$9,541,816,153 in budget authority for the department's Work Program.

Work Program: \$9,270,250,161 Nonrecurring

Debt Service: \$ 271,565,992

Total Work Program: \$9,541,816,153

Requests the second year of the FY 2018-24, Adopted Work Program and includes projects supporting the preservation, safety, maintenance and enhancement of Florida's Transportation Systems. The second year of the Adopted Work Program serves as a placeholder pending development of the new Tentative Work Program. The development cycle enables the department to incorporate policy changes and Revenue Estimating Conference adjustments so the preliminary plan can be timely and accurately submitted to the Governor and Legislature 14 days prior to convening of the regular Legislative Session. The final plan is submitted 14 days after the start of Session.

LRPP REFERENCE:

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

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

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

| | | | |
|-----------------------------|------------|-----|---------|
| TRANSPORTATION WORK PROGRAM | | | 990T000 |
| FIXED CAPITAL OUTLAY | | | 080000 |
| SM CTY RESURFACE ASSIST PG | | 001 | 085575 |
| TRUST FUNDS..... | 26,015,266 | | 2000 |
| | ===== | | |

SCH VIIIA NARR 19-20 NOTES: SM CTY RESURFACE ASSIST PG

 COL A03
 AGY REQUEST
 FY 2019-20
 POS AMOUNT PRIORITY CODES

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

Priority #001

Requests \$9,541,816,153 in budget authority for the department's Work Program.

| | |
|---------------------|------------------------------|
| Work Program: | \$9,270,250,161 Nonrecurring |
| Debt Service: | \$ 271,565,992 |
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| Total Work Program: | \$9,541,816,153 |

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| TRANSPORTATION WORK PROGRAM | | | 990T000 |
| FIXED CAPITAL OUTLAY | | | 080000 |
| SM COUNTY OUTREACH PROGRAM | 001 | | 085576 |
| TRUST FUNDS..... | 65,219,356 | | 2000 |
| | ===== | | |

SCH VIIIA NARR 19-20 NOTES: SM COUNTY OUTREACH PROGRAM

Priority #001

Requests \$9,541,816,153 in budget authority for the department's Work Program.

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|---------------------|------------------------------|
| Work Program: | \$9,270,250,161 Nonrecurring |
| Debt Service: | \$ 271,565,992 |
| ----- | |
| Total Work Program: | \$9,541,816,153 |

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| COL A03 | | | |
| AGY REQUEST | | | |
| FY 2019-20 | | | |
| POS | AMOUNT | PRIORITY | CODES |
| ----- | | | |
| TRANSPORTATION, DEPT OF | | | 55000000 |
| CAPITAL IMPROVEMENT PLAN | | | 9900000 |
| TRANSPORTATION WORK PROGRAM | | | 990T000 |
| FIXED CAPITAL OUTLAY | | | 080000 |
| SM COUNTY OUTREACH PROGRAM | | 001 | 085576 |

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

TRUST FUNDS..... 3,118,064 2000

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SCH VIIIA NARR 19-20 NOTES: G/A-MAJOR DISASTERS - WP

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 Debt Service: \$ 271,565,992

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 COL A03
 AGY REQUEST
 FY 2019-20
 POS AMOUNT

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|-----------------------------|-----|--|----------|
| TRANSPORTATION, DEPT OF | | | 55000000 |
| CAPITAL IMPROVEMENT PLAN | | | 9900000 |
| TRANSPORTATION WORK PROGRAM | | | 990T000 |
| FIXED CAPITAL OUTLAY | | | 080000 |
| G/A-MAJOR DISASTERS - WP | 001 | | 088041 |

LRPP REFERENCE:

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| TRANSPORTATION WORK PROGRAM | | | 990T000 |
| FIXED CAPITAL OUTLAY | | | 080000 |
| COUNTY TRANSPORTATION PRGS | 001 | | 088572 |

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|------------------|------------|--|------|
| TRUST FUNDS..... | 44,802,384 | | 2000 |
|------------------|------------|--|------|

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SCH VIIIA NARR 19-20 NOTES: COUNTY TRANSPORTATION PRGS

Priority #001

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| COL A03 AGY REQUEST FY 2019-20 | | | |
| POS | AMOUNT | PRIORITY | CODES |
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| TRANSPORTATION, DEPT OF | | | 55000000 |
| CAPITAL IMPROVEMENT PLAN | | | 9900000 |
| TRANSPORTATION WORK PROGRAM | | | 990T000 |
| FIXED CAPITAL OUTLAY | | | 080000 |
| BOND GUARANTEE | | 001 | 088703 |
| TRUST FUNDS..... | 500,000 | | 2000 |
| | ===== | | |
| ***** | | | |

SCH VIIIA NARR 19-20 NOTES: BOND GUARANTEE

Priority #001

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| TRANSPORTATION WORK PROGRAM | | | 990T000 |
| FIXED CAPITAL OUTLAY | | | 080000 |
| TRANSP PLANNING CONSULT | | 001 | 088704 |
| TRUST FUNDS..... | 56,674,456 | | 2000 |
| | ===== | | |
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SCH VIIIA NARR 19-20 NOTES: TRANSP PLANNING CONSULT

Priority #001

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| COL A03 AGY REQUEST FY 2019-20 | | | |
| POS | AMOUNT | PRIORITY | CODES |
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| TRANSPORTATION, DEPT OF | | | 55000000 |
| CAPITAL IMPROVEMENT PLAN | | | 9900000 |
| TRANSPORTATION WORK PROGRAM | | | 990T000 |
| FIXED CAPITAL OUTLAY | | | 080000 |
| TRANSP PLANNING CONSULT | | 001 | 088704 |

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| TRANSPORTATION WORK PROGRAM | | | 990T000 |
| FIXED CAPITAL OUTLAY | | | 080000 |
| HIGHWAY MAINTENANCE CONTR | | 001 | 088712 |
| TRUST FUNDS..... | 548,369,248 | | 2000 |

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SCH VIIIA NARR 19-20 NOTES: HIGHWAY MAINTENANCE CONTR

Priority #001

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 Debt Service: \$ 271,565,992

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| COL A03 | | | |
| AGY REQUEST | | | |
| FY 2019-20 | | | |
| POS | AMOUNT | PRIORITY | CODES |
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| TRANSPORTATION, DEPT OF | | | 55000000 |
| CAPITAL IMPROVEMENT PLAN | | | 9900000 |
| TRANSPORTATION WORK PROGRAM | | | 990T000 |
| FIXED CAPITAL OUTLAY | | | 080000 |
| HIGHWAY MAINTENANCE CONTR | | 001 | 088712 |

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

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|------------------|--------------|--|------|
| TRUST FUNDS..... | 2981,289,616 | | 2000 |
| | ===== | | |

SCH VIIIA NARR 19-20 NOTES: INTRASTATE HIGHWAY CONSTR

Priority #001

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Debt Service: \$ 271,565,992

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| COL A03 | | | |
| AGY REQUEST | | | |
| FY 2019-20 | | | |
| POS | AMOUNT | PRIORITY | CODES |
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| TRANSPORTATION, DEPT OF | | | 55000000 |
| CAPITAL IMPROVEMENT PLAN | | | 9900000 |
| TRANSPORTATION WORK PROGRAM | | | 990T000 |
| FIXED CAPITAL OUTLAY | | | 080000 |
| INTRASTATE HIGHWAY CONSTR | | 001 | 088716 |
| Goal 1: Provide safety and security for residents, visitors and businesses. Goal 2: Provide agile, resilient, and quality transportation infrastructure. Goal 3: Provide efficient and reliable mobility for people and freight. ***** | | | |
| TRANSPORTATION WORK PROGRAM | | | 990T000 |
| FIXED CAPITAL OUTLAY | | | 080000 |
| ARTERIAL HIGHWAY CONSTR | | 001 | 088717 |
| TRUST FUNDS..... | 209,150,876 | | 2000 |
| | ===== | | |
| ***** | | | |

SCH VIIIA NARR 19-20 NOTES: ARTERIAL HIGHWAY CONSTR

Priority #001

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Work Program: \$9,270,250,161 Nonrecurring
 Debt Service: \$ 271,565,992

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| COL A03 AGY REQUEST FY 2019-20 | | | |
| POS | AMOUNT | PRIORITY | CODES |
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| TRANSPORTATION, DEPT OF | | | 55000000 |
| CAPITAL IMPROVEMENT PLAN | | | 9900000 |
| TRANSPORTATION WORK PROGRAM | | | 990T000 |
| FIXED CAPITAL OUTLAY | | | 080000 |
| CONSTRUCT INSPECT CONSULT | | 001 | 088718 |
| TRUST FUNDS..... | 477,573,707 | | 2000 |
| | ===== | | |
| ***** | | | |

SCH VIIIA NARR 19-20 NOTES: CONSTRUCT INSPECT CONSULT

Priority #001

Requests \$9,541,816,153 in budget authority for the department's Work Program.

Work Program: \$9,270,250,161 Nonrecurring
 Debt Service: \$ 271,565,992

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|-----------------------------|-------------|-----|---------|
| TRANSPORTATION WORK PROGRAM | | | 990T000 |
| FIXED CAPITAL OUTLAY | | | 080000 |
| AVIATION DEV/GRANTS | | 001 | 088719 |
| TRUST FUNDS..... | 225,021,451 | | 2000 |
| | ===== | | |
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SCH VIIIA NARR 19-20 NOTES: AVIATION DEV/GRANTS

Priority #001

 COL A03
 AGY REQUEST
 FY 2019-20
 POS AMOUNT PRIORITY CODES

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| TRANSPORTATION, DEPT OF | | | 55000000 |
| CAPITAL IMPROVEMENT PLAN | | | 9900000 |
| TRANSPORTATION WORK PROGRAM | | | 990T000 |
| FIXED CAPITAL OUTLAY | | | 080000 |
| AVIATION DEV/GRANTS | 001 | | 088719 |

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| TRANSPORTATION WORK PROGRAM | | | 990T000 |
| FIXED CAPITAL OUTLAY | | | 080000 |
| PUBLIC TRANSIT DEV/GRANTS | 001 | | 088774 |
| TRUST FUNDS..... | | 413,258,841 | 2000 |

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SCH VIIIA NARR 19-20 NOTES: PUBLIC TRANSIT DEV/GRANTS

Priority #001

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Work Program: \$9,270,250,161 Nonrecurring
 Debt Service: \$ 271,565,992

 Total Work Program: \$9,541,816,153

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| COL A03 AGY REQUEST FY 2019-20 | | | |
| POS | AMOUNT | PRIORITY | CODES |
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| TRANSPORTATION, DEPT OF | | | 55000000 |
| CAPITAL IMPROVEMENT PLAN | | | 9900000 |
| TRANSPORTATION WORK PROGRAM | | | 990T000 |
| FIXED CAPITAL OUTLAY | | | 080000 |
| PUBLIC TRANSIT DEV/GRANTS | | 001 | 088774 |

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

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|------------------|-------------|--|------|
| TRUST FUNDS..... | 550,821,225 | | 2000 |
| | ===== | | |

SCH VIIIA NARR 19-20 NOTES: RIGHT-OF-WAY LAND ACQ

Priority #001

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| POS | AMOUNT | PRIORITY | CODES |
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| TRANSPORTATION, DEPT OF | | | 55000000 |
| CAPITAL IMPROVEMENT PLAN | | | 9900000 |
| TRANSPORTATION WORK PROGRAM | | | 990T000 |
| FIXED CAPITAL OUTLAY | | | 080000 |
| RIGHT-OF-WAY LAND ACQ | | 001 | 088777 |
| Goal 1: Provide safety and security for residents, visitors and businesses. Goal 2: Provide agile, resilient, and quality transportation infrastructure. Goal 3: Provide efficient and reliable mobility for people and freight. ***** | | | |
| TRANSPORTATION WORK PROGRAM | | | 990T000 |
| FIXED CAPITAL OUTLAY | | | 080000 |
| SEAPORT - ECONOMIC DEV | | 001 | 088790 |
| TRUST FUNDS..... | 15,000,000 | | 2000 |
| ===== | | | |
| ***** | | | |

SCH VIIIA NARR 19-20 NOTES: SEAPORT - ECONOMIC DEV

Priority #001

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                                COL A03
                                AGY REQUEST
                                FY 2019-20
                                POS      AMOUNT      PRIORITY      CODES
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TRANSPORTATION, DEPT OF                                55000000
CAPITAL IMPROVEMENT PLAN                                99000000
TRANSPORTATION WORK PROGRAM                            990T0000
  FIXED CAPITAL OUTLAY                                  080000
  SEAPORTS ACCESS PROGRAM                                001      088791

TRUST FUNDS.....                                10,000,000      2000
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SCH VIIIA NARR 19-20 NOTES: SEAPORTS ACCESS PROGRAM

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TRANSPORTATION WORK PROGRAM                                990T0000
  FIXED CAPITAL OUTLAY                                  080000
  SEAPORT GRANTS                                        001      088794

TRUST FUNDS.....                                91,630,188      2000
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SCH VIIIA NARR 19-20 NOTES: SEAPORT GRANTS

Priority #001

 COL A03
 AGY REQUEST
 FY 2019-20
 POS AMOUNT PRIORITY CODES

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|-----------------------------|-----|--|----------|
| TRANSPORTATION, DEPT OF | | | 55000000 |
| CAPITAL IMPROVEMENT PLAN | | | 9900000 |
| TRANSPORTATION WORK PROGRAM | | | 990T000 |
| FIXED CAPITAL OUTLAY | | | 080000 |
| SEAPORT GRANTS | 001 | | 088794 |

 Requests \$9,541,816,153 in budget authority for the department's Work Program.

Work Program: \$9,270,250,161 Nonrecurring
 Debt Service: \$ 271,565,992

 Total Work Program: \$9,541,816,153

Requests the second year of the FY 2018-24, Adopted Work Program and includes projects supporting the preservation, safety, maintenance and enhancement of Florida's Transportation Systems. The second year of the Adopted Work Program serves as a placeholder pending development of the new Tentative Work Program. The development cycle enables the department to incorporate policy changes and Revenue Estimating Conference adjustments so the preliminary plan can be timely and accurately submitted to the Governor and Legislature 14 days prior to convening of the regular Legislative Session. The final plan is submitted 14 days after the start of Session.

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

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|-----------------------------|-----|--|---------|
| TRANSPORTATION WORK PROGRAM | | | 990T000 |
| FIXED CAPITAL OUTLAY | | | 080000 |
| HIWAY SAFETY CONSTR/GRANTS | 001 | | 088796 |

| | | | |
|------------------|-------------|--|------|
| TRUST FUNDS..... | 191,402,862 | | 2000 |
| | ===== | | |

SCH VIIIA NARR 19-20 NOTES: HIWAY SAFETY CONSTR/GRANTS

Priority #001

 Requests \$9,541,816,153 in budget authority for the department's Work Program.

Work Program: \$9,270,250,161 Nonrecurring
 Debt Service: \$ 271,565,992

 Total Work Program: \$9,541,816,153

 COL A03
 AGY REQUEST
 FY 2019-20
 POS AMOUNT PRIORITY CODES

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

Requests the second year of the FY 2018-24, Adopted Work Program and includes projects supporting the preservation, safety, maintenance and enhancement of Florida's Transportation Systems. The second year of the Adopted Work Program serves as a placeholder pending development of the new Tentative Work Program. The development cycle enables the department to incorporate policy changes and Revenue Estimating Conference adjustments so the preliminary plan can be timely and accurately submitted to the Governor and Legislature 14 days prior to convening of the regular Legislative Session. The final plan is submitted 14 days after the start of Session.

LRPP REFERENCE:

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

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

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|------------------|-------------|--|------|
| TRUST FUNDS..... | 617,920,370 | | 2000 |
| | ===== | | |

SCH VIIIA NARR 19-20 NOTES: RESURFACING

Priority #001

Requests \$9,541,816,153 in budget authority for the department's Work Program.

Work Program: \$9,270,250,161 Nonrecurring

Debt Service: \$ 271,565,992

Total Work Program: \$9,541,816,153

Requests the second year of the FY 2018-24, Adopted Work Program and includes projects supporting the preservation, safety, maintenance and enhancement of Florida's Transportation Systems. The second year of the Adopted Work Program serves as a placeholder pending development of the new Tentative Work Program. The development cycle enables the department to incorporate policy changes and Revenue Estimating Conference adjustments so the preliminary plan can be timely and accurately submitted to the Governor and Legislature 14 days prior to convening of the regular Legislative Session. The final plan is submitted 14 days after the start of Session.

LRPP REFERENCE:

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| COL A03 AGY REQUEST FY 2019-20 | | | |
| POS | AMOUNT | PRIORITY | CODES |
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| TRANSPORTATION, DEPT OF | | | 55000000 |
| CAPITAL IMPROVEMENT PLAN | | | 9900000 |
| TRANSPORTATION WORK PROGRAM | | | 990T000 |
| FIXED CAPITAL OUTLAY | | | 080000 |
| RESURFACING | | 001 | 088797 |
| Goal 1: Provide safety and security for residents, visitors and businesses. Goal 2: Provide agile, resilient, and quality transportation infrastructure. Goal 3: Provide efficient and reliable mobility for people and freight. ***** | | | |
| TRANSPORTATION WORK PROGRAM | | | 990T000 |
| FIXED CAPITAL OUTLAY | | | 080000 |
| BRIDGE CONSTRUCTION | | 001 | 088799 |
| TRUST FUNDS..... | 1065,426,941 | | 2000 |
| | ===== | | |
| ***** | | | |

SCH VIIIA NARR 19-20 NOTES: BRIDGE CONSTRUCTION

Priority #001

 Requests \$9,541,816,153 in budget authority for the department's Work Program.

Work Program: \$9,270,250,161 Nonrecurring
 Debt Service: \$ 271,565,992

 Total Work Program: \$9,541,816,153

Requests the second year of the FY 2018-24, Adopted Work Program and includes projects supporting the preservation, safety, maintenance and enhancement of Florida's Transportation Systems. The second year of the Adopted Work Program serves as a placeholder pending development of the new Tentative Work Program. The development cycle enables the department to incorporate policy changes and Revenue Estimating Conference adjustments so the preliminary plan can be timely and accurately submitted to the Governor and Legislature 14 days prior to convening of the regular Legislative Session. The final plan is submitted 14 days after the start of Session.

LRPP REFERENCE:

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

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| COL A03 AGY REQUEST FY 2019-20 | | | |
| POS | AMOUNT | PRIORITY | CODES |
| ----- | | | |
| TRANSPORTATION, DEPT OF | | | 55000000 |
| CAPITAL IMPROVEMENT PLAN | | | 9900000 |
| TRANSPORTATION WORK PROGRAM | | | 990T000 |
| FIXED CAPITAL OUTLAY | | | 080000 |
| SEAPORT INVESTMENT PRG | | 001 | 088807 |
| TRUST FUNDS..... | 12,904,548 | | 2000 |
| | ===== | | |

SCH VIIIA NARR 19-20 NOTES: SEAPORT INVESTMENT PRG

Priority #001

Requests \$9,541,816,153 in budget authority for the department's Work Program.

Work Program: \$9,270,250,161 Nonrecurring
 Debt Service: \$ 271,565,992

Total Work Program: \$9,541,816,153

Requests the second year of the FY 2018-24, Adopted Work Program and includes projects supporting the preservation, safety, maintenance and enhancement of Florida's Transportation Systems. The second year of the Adopted Work Program serves as a placeholder pending development of the new Tentative Work Program. The development cycle enables the department to incorporate policy changes and Revenue Estimating Conference adjustments so the preliminary plan can be timely and accurately submitted to the Governor and Legislature 14 days prior to convening of the regular Legislative Session. The final plan is submitted 14 days after the start of Session.

LRPP REFERENCE:

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

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|-----------------------------|-------------|-----|---------|
| TRANSPORTATION WORK PROGRAM | | | 990T000 |
| FIXED CAPITAL OUTLAY | | | 080000 |
| RAIL DEVELOPMENT/GRANTS | | 001 | 088808 |
| TRUST FUNDS..... | 212,603,069 | | 2000 |
| | ===== | | |

SCH VIIIA NARR 19-20 NOTES: RAIL DEVELOPMENT/GRANTS

Priority #001

 COL A03
 AGY REQUEST
 FY 2019-20
 POS AMOUNT PRIORITY CODES

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| TRANSPORTATION, DEPT OF | | | 55000000 |
| CAPITAL IMPROVEMENT PLAN | | | 9900000 |
| TRANSPORTATION WORK PROGRAM | | | 990T000 |
| FIXED CAPITAL OUTLAY | | | 080000 |
| RAIL DEVELOPMENT/GRANTS | 001 | | 088808 |

 Requests \$9,541,816,153 in budget authority for the department's Work Program.

Work Program: \$9,270,250,161 Nonrecurring
 Debt Service: \$ 271,565,992

 Total Work Program: \$9,541,816,153

Requests the second year of the FY 2018-24, Adopted Work Program and includes projects supporting the preservation, safety, maintenance and enhancement of Florida's Transportation Systems. The second year of the Adopted Work Program serves as a placeholder pending development of the new Tentative Work Program. The development cycle enables the department to incorporate policy changes and Revenue Estimating Conference adjustments so the preliminary plan can be timely and accurately submitted to the Governor and Legislature 14 days prior to convening of the regular Legislative Session. The final plan is submitted 14 days after the start of Session.

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

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|-----------------------------|------------|--|---------|
| TRANSPORTATION WORK PROGRAM | | | 990T000 |
| FIXED CAPITAL OUTLAY | | | 080000 |
| INTERMODAL DEVELOP/GRANTS | 001 | | 088809 |
| TRUST FUNDS..... | 46,756,956 | | 2000 |

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SCH VIIIA NARR 19-20 NOTES: INTERMODAL DEVELOP/GRANTS

Priority #001

 Requests \$9,541,816,153 in budget authority for the department's Work Program.
 Work Program: \$9,270,250,161 Nonrecurring
 Debt Service: \$ 271,565,992

 Total Work Program: \$9,541,816,153

 COL A03
 AGY REQUEST
 FY 2019-20
 POS AMOUNT PRIORITY CODES

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

Requests the second year of the FY 2018-24, Adopted Work Program and includes projects supporting the preservation, safety, maintenance and enhancement of Florida's Transportation Systems. The second year of the Adopted Work Program serves as a placeholder pending development of the new Tentative Work Program. The development cycle enables the department to incorporate policy changes and Revenue Estimating Conference adjustments so the preliminary plan can be timely and accurately submitted to the Governor and Legislature 14 days prior to convening of the regular Legislative Session. The final plan is submitted 14 days after the start of Session.

LRPP REFERENCE:

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

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| TRANSPORTATION WORK PROGRAM | | | 990T000 |
| FIXED CAPITAL OUTLAY | | | 080000 |
| CONTRACT MAINT W/ DOC | 001 | | 088810 |

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|------------------|------------|--|------|
| TRUST FUNDS..... | 19,646,000 | | 2000 |
| | ===== | | |

SCH VIIIA NARR 19-20 NOTES: CONTRACT MAINT W/ DOC

Priority #001

Requests \$9,541,816,153 in budget authority for the department's Work Program.

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|---------------|------------------------------|
| Work Program: | \$9,270,250,161 Nonrecurring |
| Debt Service: | \$ 271,565,992 |

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|---------------------|-----------------|
| Total Work Program: | \$9,541,816,153 |
|---------------------|-----------------|

Requests the second year of the FY 2018-24, Adopted Work Program and includes projects supporting the preservation, safety, maintenance and enhancement of Florida's Transportation Systems. The second year of the Adopted Work Program serves as a placeholder pending development of the new Tentative Work Program. The development cycle enables the department to incorporate policy changes and Revenue Estimating Conference adjustments so the preliminary plan can be timely and accurately submitted to the Governor and Legislature 14 days prior to convening of the regular Legislative Session. The final plan is submitted 14 days after the start of Session.

LRPP REFERENCE:

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| COL A03 | | | |
| AGY REQUEST | | | |
| FY 2019-20 | | | |
| POS | AMOUNT | PRIORITY | CODES |
| ----- | | | |
| TRANSPORTATION, DEPT OF | | | 55000000 |
| CAPITAL IMPROVEMENT PLAN | | | 9900000 |
| TRANSPORTATION WORK PROGRAM | | | 990T000 |
| FIXED CAPITAL OUTLAY | | | 080000 |
| CONTRACT MAINT W/ DOC | | 001 | 088810 |
| Goal 1: Provide safety and security for residents, visitors and businesses. | | | |
| Goal 2: Provide agile, resilient, and quality transportation infrastructure. | | | |
| Goal 3: Provide efficient and reliable mobility for people and freight. | | | |
| ***** | | | |
| TRANSPORTATION WORK PROGRAM | | | 990T000 |
| FIXED CAPITAL OUTLAY | | | 080000 |
| PRELIMINARY ENGR CONSULT | | 001 | 088849 |
| TRUST FUNDS..... | 765,139,119 | | 2000 |
| | ===== | | |
| ***** | | | |

SCH VIIIA NARR 19-20 NOTES: PRELIMINARY ENGR CONSULT

Priority #001

Requests \$9,541,816,153 in budget authority for the department's Work Program.

Work Program: \$9,270,250,161 Nonrecurring
 Debt Service: \$ 271,565,992

 Total Work Program: \$9,541,816,153

Requests the second year of the FY 2018-24, Adopted Work Program and includes projects supporting the preservation, safety, maintenance and enhancement of Florida's Transportation Systems. The second year of the Adopted Work Program serves as a placeholder pending development of the new Tentative Work Program. The development cycle enables the department to incorporate policy changes and Revenue Estimating Conference adjustments so the preliminary plan can be timely and accurately submitted to the Governor and Legislature 14 days prior to convening of the regular Legislative Session. The final plan is submitted 14 days after the start of Session.

LRPP REFERENCE:

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

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| COL A03 AGY REQUEST FY 2019-20 | | | |
| POS | AMOUNT | PRIORITY | CODES |
| ----- | | | |
| TRANSPORTATION, DEPT OF | | | 55000000 |
| CAPITAL IMPROVEMENT PLAN | | | 9900000 |
| TRANSPORTATION WORK PROGRAM | | | 990T000 |
| FIXED CAPITAL OUTLAY | | | 080000 |
| HWY BEAUTIFICATION GRANTS | | 001 | 088850 |
| TRUST FUNDS..... | 1,000,000 | | 2000 |
| | ===== | | |
| ***** | | | |

SCH VIIIA NARR 19-20 NOTES: HWY BEAUTIFICATION GRANTS

Priority #001

Requests \$9,541,816,153 in budget authority for the department's Work Program.

Work Program: \$9,270,250,161 Nonrecurring
 Debt Service: \$ 271,565,992

Total Work Program: \$9,541,816,153

Requests the second year of the FY 2018-24, Adopted Work Program and includes projects supporting the preservation, safety, maintenance and enhancement of Florida's Transportation Systems. The second year of the Adopted Work Program serves as a placeholder pending development of the new Tentative Work Program. The development cycle enables the department to incorporate policy changes and Revenue Estimating Conference adjustments so the preliminary plan can be timely and accurately submitted to the Governor and Legislature 14 days prior to convening of the regular Legislative Session. The final plan is submitted 14 days after the start of Session.

LRPP REFERENCE:

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

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| TRANSPORTATION WORK PROGRAM | | | 990T000 |
| FIXED CAPITAL OUTLAY | | | 080000 |
| RIGHT-OF-WAY SUPPORT | | 001 | 088853 |
| TRUST FUNDS..... | 65,397,960 | | 2000 |
| | ===== | | |
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SCH VIIIA NARR 19-20 NOTES: RIGHT-OF-WAY SUPPORT

Priority #001

 COL A03
 AGY REQUEST
 FY 2019-20
 POS AMOUNT PRIORITY CODES

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| TRANSPORTATION, DEPT OF | | | 55000000 |
| CAPITAL IMPROVEMENT PLAN | | | 9900000 |
| TRANSPORTATION WORK PROGRAM | | | 990T000 |
| FIXED CAPITAL OUTLAY | | | 080000 |
| RIGHT-OF-WAY SUPPORT | 001 | | 088853 |

 Requests \$9,541,816,153 in budget authority for the department's Work Program.

Work Program: \$9,270,250,161 Nonrecurring
 Debt Service: \$ 271,565,992

 Total Work Program: \$9,541,816,153

Requests the second year of the FY 2018-24, Adopted Work Program and includes projects supporting the preservation, safety, maintenance and enhancement of Florida's Transportation Systems. The second year of the Adopted Work Program serves as a placeholder pending development of the new Tentative Work Program. The development cycle enables the department to incorporate policy changes and Revenue Estimating Conference adjustments so the preliminary plan can be timely and accurately submitted to the Governor and Legislature 14 days prior to convening of the regular Legislative Session. The final plan is submitted 14 days after the start of Session.

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

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| TRANSPORTATION WORK PROGRAM | | | 990T000 |
| FIXED CAPITAL OUTLAY | | | 080000 |
| TRANSPORT PLANNING GRANTS | 001 | | 088854 |

TRUST FUNDS..... 29,555,921 2000
 =====

SCH VIIIA NARR 19-20 NOTES: TRANSPORT PLANNING GRANTS

Priority #001

Requests \$9,541,816,153 in budget authority for the department's Work Program.

Work Program: \$9,270,250,161 Nonrecurring
 Debt Service: \$ 271,565,992

 Total Work Program: \$9,541,816,153

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| COL A03 AGY REQUEST FY 2019-20 | | | |
| POS | AMOUNT | PRIORITY | CODES |
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| TRANSPORTATION, DEPT OF | | | 55000000 |
| CAPITAL IMPROVEMENT PLAN | | | 9900000 |
| TRANSPORTATION WORK PROGRAM | | | 990T000 |
| FIXED CAPITAL OUTLAY | | | 080000 |
| TRANSPORT PLANNING GRANTS | | 001 | 088854 |

Requests the second year of the FY 2018-24, Adopted Work Program and includes projects supporting the preservation, safety, maintenance and enhancement of Florida's Transportation Systems. The second year of the Adopted Work Program serves as a placeholder pending development of the new Tentative Work Program. The development cycle enables the department to incorporate policy changes and Revenue Estimating Conference adjustments so the preliminary plan can be timely and accurately submitted to the Governor and Legislature 14 days prior to convening of the regular Legislative Session. The final plan is submitted 14 days after the start of Session.

LRPP REFERENCE:

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

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| TRANSPORTATION WORK PROGRAM | | | 990T000 |
| FIXED CAPITAL OUTLAY | | | 080000 |
| MATERIALS AND RESEARCH | | 001 | 088857 |

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|------------------|------------|-------|------|
| TRUST FUNDS..... | 14,333,570 | ===== | 2000 |
|------------------|------------|-------|------|

SCH VIIIA NARR 19-20 NOTES: MATERIALS AND RESEARCH

Priority #001

Requests \$9,541,816,153 in budget authority for the department's Work Program.

Work Program: \$9,270,250,161 Nonrecurring

Debt Service: \$ 271,565,992

Total Work Program: \$9,541,816,153

Requests the second year of the FY 2018-24, Adopted Work Program and includes projects supporting the preservation, safety, maintenance and enhancement of Florida's Transportation Systems. The second year of the Adopted Work Program serves as a placeholder pending development of the new Tentative Work Program. The development cycle enables the department to incorporate policy changes and Revenue Estimating Conference adjustments so the preliminary plan can be timely and accurately submitted to the Governor and Legislature 14 days prior to convening of the regular Legislative Session. The final plan is submitted 14 days after the start of Session.

LRPP REFERENCE:

 COL A03
 AGY REQUEST
 FY 2019-20
 POS AMOUNT PRIORITY CODES

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|-----------------------------|-----|--|----------|
| TRANSPORTATION, DEPT OF | | | 55000000 |
| CAPITAL IMPROVEMENT PLAN | | | 9900000 |
| TRANSPORTATION WORK PROGRAM | | | 990T000 |
| FIXED CAPITAL OUTLAY | | | 080000 |
| MATERIALS AND RESEARCH | 001 | | 088857 |

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

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| TRANSPORTATION WORK PROGRAM | | | 990T000 |
| FIXED CAPITAL OUTLAY | | | 080000 |
| BRIDGE INSPECTION | 001 | | 088864 |

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|------------------|------------|--|------|
| TRUST FUNDS..... | 16,018,788 | | 2000 |
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SCH VIIIA NARR 19-20 NOTES: BRIDGE INSPECTION

Priority #001

Requests \$9,541,816,153 in budget authority for the department's Work Program.

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|---------------|------------------------------|
| Work Program: | \$9,270,250,161 Nonrecurring |
| Debt Service: | \$ 271,565,992 |

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|---------------------|-----------------|
| Total Work Program: | \$9,541,816,153 |
|---------------------|-----------------|

Requests the second year of the FY 2018-24, Adopted Work Program and includes projects supporting the preservation, safety, maintenance and enhancement of Florida's Transportation Systems. The second year of the Adopted Work Program serves as a placeholder pending development of the new Tentative Work Program. The development cycle enables the department to incorporate policy changes and Revenue Estimating Conference adjustments so the preliminary plan can be timely and accurately submitted to the Governor and Legislature 14 days prior to convening of the regular Legislative Session. The final plan is submitted 14 days after the start of Session.

LRPP REFERENCE:

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

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| COL A03 AGY REQUEST FY 2019-20 | | | |
| POS | AMOUNT | PRIORITY | CODES |
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| TRANSPORTATION, DEPT OF | | | 55000000 |
| CAPITAL IMPROVEMENT PLAN | | | 9900000 |
| TRANSPORTATION WORK PROGRAM | | | 990T000 |
| FIXED CAPITAL OUTLAY | | | 080000 |
| ECON DEV/TRANSP PROJECTS | | 001 | 088865 |
| TRUST FUNDS..... | 15,000,000 | | 2000 |
| | ===== | | |
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SCH VIIIA NARR 19-20 NOTES: ECON DEV/TRANSP PROJECTS

Priority #001

Requests \$9,541,816,153 in budget authority for the department's Work Program.

Work Program: \$9,270,250,161 Nonrecurring
 Debt Service: \$ 271,565,992

Total Work Program: \$9,541,816,153

Requests the second year of the FY 2018-24, Adopted Work Program and includes projects supporting the preservation, safety, maintenance and enhancement of Florida's Transportation Systems. The second year of the Adopted Work Program serves as a placeholder pending development of the new Tentative Work Program. The development cycle enables the department to incorporate policy changes and Revenue Estimating Conference adjustments so the preliminary plan can be timely and accurately submitted to the Governor and Legislature 14 days prior to convening of the regular Legislative Session. The final plan is submitted 14 days after the start of Session.

LRPP REFERENCE:

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

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| TRANSPORTATION WORK PROGRAM | | | 990T000 |
| FIXED CAPITAL OUTLAY | | | 080000 |
| TRAFFIC ENGR CONSULTANTS | | 001 | 088865 |
| TRUST FUNDS..... | 189,949,601 | | 2000 |
| | ===== | | |
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SCH VIIIA NARR 19-20 NOTES: TRAFFIC ENGR CONSULTANTS

Priority #001

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| COL A03 | | | |
| AGY REQUEST | | | |
| FY 2019-20 | | | |
| POS | AMOUNT | PRIORITY | CODES |
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| TRANSPORTATION, DEPT OF | | | 55000000 |
| CAPITAL IMPROVEMENT PLAN | | | 9900000 |
| TRANSPORTATION WORK PROGRAM | | | 990T000 |
| FIXED CAPITAL OUTLAY | | | 080000 |
| TRAFFIC ENGR CONSULTANTS | | 001 | 088866 |

 Requests \$9,541,816,153 in budget authority for the department's Work Program.

Work Program: \$9,270,250,161 Nonrecurring
 Debt Service: \$ 271,565,992

 Total Work Program: \$9,541,816,153

Requests the second year of the FY 2018-24, Adopted Work Program and includes projects supporting the preservation, safety, maintenance and enhancement of Florida's Transportation Systems. The second year of the Adopted Work Program serves as a placeholder pending development of the new Tentative Work Program. The development cycle enables the department to incorporate policy changes and Revenue Estimating Conference adjustments so the preliminary plan can be timely and accurately submitted to the Governor and Legislature 14 days prior to convening of the regular Legislative Session. The final plan is submitted 14 days after the start of Session.

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

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| TRANSPORTATION WORK PROGRAM | | | 990T000 |
| FIXED CAPITAL OUTLAY | | | 080000 |
| TOLL OPERATION CONTRACTS | | 001 | 088876 |
| TRUST FUNDS..... | 207,487,278 | | 2000 |
| | ===== | | |

SCH VIIIA NARR 19-20 NOTES: TOLL OPERATION CONTRACTS

Priority #001

 Requests \$9,541,816,153 in budget authority for the department's Work Program.

Work Program: \$9,270,250,161 Nonrecurring
 Debt Service: \$ 271,565,992

 Total Work Program: \$9,541,816,153

COL A03
 AGY REQUEST
 FY 2019-20
 POS AMOUNT

PRIORITY

CODES

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

Requests the second year of the FY 2018-24, Adopted Work Program and includes projects supporting the preservation, safety, maintenance and enhancement of Florida's Transportation Systems. The second year of the Adopted Work Program serves as a placeholder pending development of the new Tentative Work Program. The development cycle enables the department to incorporate policy changes and Revenue Estimating Conference adjustments so the preliminary plan can be timely and accurately submitted to the Governor and Legislature 14 days prior to convening of the regular Legislative Session. The final plan is submitted 14 days after the start of Session.

LRPP REFERENCE:

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

| | | | |
|-----------------------------|-----|--|---------|
| TRANSPORTATION WORK PROGRAM | | | 990T000 |
| FIXED CAPITAL OUTLAY | | | 080000 |
| TURNPIKE SYS EQUIP & DEVEL | 001 | | 088920 |

TRUST FUNDS..... 26,822,500 2000

=====

SCH VIIIA NARR 19-20 NOTES: TURNPIKE SYS EQUIP & DEVEL

Priority #001

Requests \$9,541,816,153 in budget authority for the department's Work Program.

Work Program: \$9,270,250,161 Nonrecurring

Debt Service: \$ 271,565,992

Total Work Program: \$9,541,816,153

Requests the second year of the FY 2018-24, Adopted Work Program and includes projects supporting the preservation, safety, maintenance and enhancement of Florida's Transportation Systems. The second year of the Adopted Work Program serves as a placeholder pending development of the new Tentative Work Program. The development cycle enables the department to incorporate policy changes and Revenue Estimating Conference adjustments so the preliminary plan can be timely and accurately submitted to the Governor and Legislature 14 days prior to convening of the regular Legislative Session. The final plan is submitted 14 days after the start of Session.

LRPP REFERENCE:

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| COL A03 AGY REQUEST FY 2019-20 | | | |
| POS | AMOUNT | PRIORITY | CODES |
| ----- | | | |
| TRANSPORTATION, DEPT OF | | | 55000000 |
| CAPITAL IMPROVEMENT PLAN | | | 9900000 |
| TRANSPORTATION WORK PROGRAM | | | 990T000 |
| FIXED CAPITAL OUTLAY | | | 080000 |
| TURNPIKE SYS EQUIP & DEVEL | | 001 | 088920 |
| Goal 1: Provide safety and security for residents, visitors and businesses. Goal 2: Provide agile, resilient, and quality transportation infrastructure. Goal 3: Provide efficient and reliable mobility for people and freight. ***** | | | |
| TRANSPORTATION WORK PROGRAM | | | 990T000 |
| FIXED CAPITAL OUTLAY | | | 080000 |
| TOLLS SYS EQUIP & DEVELOP | | 001 | 088922 |
| TRUST FUNDS..... | 54,440,000 | | 2000 |
| | ===== | | |
| ***** | | | |

SCH VIIIA NARR 19-20 NOTES: TOLLS SYS EQUIP & DEVELOP

Priority #001

 Requests \$9,541,816,153 in budget authority for the department's Work Program.

Work Program: \$9,270,250,161 Nonrecurring
 Debt Service: \$ 271,565,992

 Total Work Program: \$9,541,816,153

Requests the second year of the FY 2018-24, Adopted Work Program and includes projects supporting the preservation, safety, maintenance and enhancement of Florida's Transportation Systems. The second year of the Adopted Work Program serves as a placeholder pending development of the new Tentative Work Program. The development cycle enables the department to incorporate policy changes and Revenue Estimating Conference adjustments so the preliminary plan can be timely and accurately submitted to the Governor and Legislature 14 days prior to convening of the regular Legislative Session. The final plan is submitted 14 days after the start of Session.

LRPP REFERENCE:

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

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| COL A03 AGY REQUEST FY 2019-20 | | | |
| POS | AMOUNT | PRIORITY | CODES |
| ----- | | | |
| TRANSPORTATION, DEPT OF | | | 55000000 |
| CAPITAL IMPROVEMENT PLAN | | | 9900000 |
| TRANSPORTATION WORK PROGRAM | | | 990T000 |
| FIXED CAPITAL OUTLAY | | | 080000 |
| DEBT SERVICE | | 001 | 089070 |
| TRUST FUNDS..... | 62,492,945 | | 2000 |
| | ===== | | |
| ***** | | | |

SCH VIIIA NARR 19-20 NOTES: DEBT SERVICE
 Priority #001

Requests \$9,541,816,153 in budget authority for the department's Work Program.

Work Program: \$9,270,250,161 Nonrecurring
 Debt Service: \$ 271,565,992

Total Work Program: \$9,541,816,153

Requests the second year of the FY 2018-24, Adopted Work Program and includes projects supporting the preservation, safety, maintenance and enhancement of Florida's Transportation Systems. The second year of the Adopted Work Program serves as a placeholder pending development of the new Tentative Work Program. The development cycle enables the department to incorporate policy changes and Revenue Estimating Conference adjustments so the preliminary plan can be timely and accurately submitted to the Governor and Legislature 14 days prior to convening of the regular Legislative Session. The final plan is submitted 14 days after the start of Session.

LRPP REFERENCE:

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

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| AGENCY-WIDE INFORMATION TECHNOLOGY | | | 3620000 |
| TRANSPORTATION WORK PROGRAM | | | |
| INTEGRATION INITIATIVE | | 002 | 36233C0 |
| TRUST FUNDS..... | 25,436,369 | | 2000 |
| | ===== | | |
| ***** | | | |

SCH VIIIA NARR 19-20 NOTES:

Priority #002

 COL A03
 AGY REQUEST
 FY 2019-20
 POS AMOUNT PRIORITY CODES

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

Requests \$25,436,369 of nonrecurring budget authority to continue the Work Program Integration Initiative (WPPII) project. \$100,000 of budget authority is requested in the Expenses appropriation category and \$25,336,369 is requested in the Contracted Services category. WPPII is a multi-year project to re-engineer the department's business processes and leverage modern, proven technologies to optimize the conversion of transportation revenue to transportation infrastructure and services. WPPII impacts every office within the department. The project ultimately seeks to optimize the Work Program's production capabilities by aligning business processes to a common strategic objective and operational standard, aided by a modernized system solution.

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

SECURE ACCESS MANAGEMENT 003 36238C0
 TRUST FUNDS..... 1,013,464 2000
 =====

SCH VIIIA NARR 19-20 NOTES:

Priority #003

Requests \$1,013,464 to fund the second and final year of Secure Access Management (Identity and Access Management (IAM)) technology. The department will restructure access into the computer systems by consolidating the framework of all department computers onto a single framework or entry point with the use of this technology. This system will use a single user identification to manage access to department computer systems to prevent security breaches. When unauthorized entry is made into department computer systems, sensitive information can be obtained that could be used to inflict serious damage to roads, bridges, airports, and seaports in Florida and two phishing and security breaches have occurred within the past six months. Addresses many items and findings in the Agency State Technology (AST) Risk Assessment dated January 2017.

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

CONSULTANT INVOICE TRANSMITTAL
 REPLACEMENT 004 36237C0
 TRUST FUNDS..... 1,044,341 2000
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| COL A03 AGY REQUEST FY 2019-20 | | | |
| POS | AMOUNT | PRIORITY | CODES |
| ----- | | | |
| TRANSPORTATION, DEPT OF | | | 55000000 |
| AGENCY-WIDE INFORMATION TECHNOLOGY | | | 3620000 |
| CONSULTANT INVOICE TRANSMITTAL | | | |
| REPLACEMENT | | 004 | 36237C0 |
| ***** | | | |

SCH VIIIA NARR 19-20 NOTES:

Priority #004

 Requests \$1,044,341 to replace the system that allows electronic submittal and invoicing of professional services contracts (preliminary engineering, design, right of way acquisition and construction engineering inspection contracts). Will eliminate reliance on mainframe, provide integration with enterprise applications, incorporate Automated Fee Proposal, generate task work order authorization forms and provide better reporting tools. Current system processed 30,526 invoices in FY 2017-18, totaling \$1,092,847,809.

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

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|--------------------------------|-------------|-----|---------|
| OPERATING REQUIREMENTS | | | 5500000 |
| TOLLING OPERATIONAL EFFICIENCY | | 005 | 5507000 |
| TRUST FUNDS..... | 40,200,000- | | 2000 |
| | ===== | | |

SCH VIIIA NARR 19-20 NOTES:

Priority #005

 Requests a permanent \$40,200,000 reduction of operating budget in the Contracted Services category coupled with a new appropriation in the Toll Operation Contracts category in the Work Program.

With the increase in All-Electronic Tolling (AET) where customers pay with a transponder and through license plate image-based tolling (Toll-by-Plate) the cost of processing card payments continue to increase. It is estimated that the revenue collections in FY 2018-19 will be \$1.8 billion. The cost for collection will be approximately \$43.6 million. This process is directly connected to toll operations, therefore FDOT requests this function be moved to the Toll Operation Contract category in the Work Program. The same work would take place but the accounting and the activities would be easier to track and audit.

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

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| COL A03 AGY REQUEST FY 2019-20 | | | |
| POS | AMOUNT | PRIORITY | CODES |
| ----- | | | |
| TRANSPORTATION, DEPT OF | | | 55000000 |
| WORKLOAD | | | 3000000 |
| SUPPORT FOR THE FLORIDA SAFETY OFFICE | | 006 | 3006100 |
| TRUST FUNDS..... | 2.00 | | 2000 |
| | 20,448 | | |
| | ===== | | |
| ***** | | | |

SCH VIIIA NARR 19-20 NOTES:

Priority #006

Requests six additional FTE (2 new FTE/4 vacant FTE; Rate for 6) to enable the Safety Office to support federally mandated safety programs and initiatives. An independent study was completed and it found that Florida has the lowest staffed and lowest paid Safety Office in the country. The office has an 80% turnover rate over the past five years because of work load.

Additional staff will provide much-needed support for safety initiatives, grant management and oversight and law enforcement partnership. New positions will allow the section to better align resources for program support and cross-training.

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

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|----------------------------|-----------|-----|---------|
| CAPITAL IMPROVEMENT PLAN | | | 9900000 |
| SUPPORT FACILITIES | | | 990F000 |
| FIXED CAPITAL OUTLAY | | | 080000 |
| MINOR REPAIRS/IMPROV-STATE | | 007 | 080002 |
| TRUST FUNDS..... | | | 2000 |
| | 3,004,800 | | |
| | ===== | | |

SCH VIIIA NARR 19-20 NOTES:

MINOR REPAIRS/IMPROV-STATE

Priority #007

Requests \$3,004,800 of budget authority to fund nonrecurring Fixed Capital Outlay minor projects for new minor construction, installation of equipment storage units, modifications and renovations for additional work space and protection of mechanical equipment at department-owned facilities. These projects are necessary to protect and preserve the value of assets (i.e., equipment and materials), reduce financial risk and to meet facility and space needs. Examples of projects include shelter canopies for fuel islands and pole barns for road maintenance equipment.

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

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| COL A03 AGY REQUEST FY 2019-20 | | | |
| POS | AMOUNT | PRIORITY | CODES |
| ----- | | | |
| TRANSPORTATION, DEPT OF | | | 55000000 |
| AGENCY-WIDE INFORMATION TECHNOLOGY | | | 3620000 |
| DATA INFRASTRUCTURE MODERNIZATION | | 008 | 36221C0 |
| TRUST FUNDS..... | 2,504,680 | | 2000 |
| | ===== | | |
| ***** | | | |

SCH VIIIA NARR 19-20 NOTES:

Priority #008

Requests \$2,504,680 to implement phase 2 of the department's data infrastructure modernization. A previously approved budget issue in FY2017-18 established an Enterprise Services Bus (ESB) in a Cloud environment. This issue will allow the department to migrate and maintain select legacy applications to communicate with the ESB established in the previous appropriation. The effort is also necessary to remediate and modernize legacy applications so they can continue to access data in the FDOT financial system, after the go-live date of the Work Program Integration Initiative.

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

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|-------------------------------|---------|-----|---------|
| ASSET TRACKING SYSTEM UPGRADE | | 009 | 36245C0 |
| TRUST FUNDS..... | 425,500 | | 2000 |
| | ===== | | |
| ***** | | | |

SCH VIIIA NARR 19-20 NOTES:

Priority #009

Requests \$425,500 to upgrade the Strategic Asset Tracking System (SATS) web based application, hand-held inventory scanners and fund ongoing maintenance that supports the system. This is critical to inventory management of the department's assets per F.S. and the requirements of FLAIR and PALM. The current Microsoft platform will be obsolete in 2020.

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

| COL A03 AGY REQUEST FY 2019-20 | | | |
|--------------------------------------|---------|----------|----------|
| POS | AMOUNT | PRIORITY | CODES |
| ----- | | | |
| TRANSPORTATION, DEPT OF | | | 55000000 |
| STATE ENTERPRISE INFORMATION | | | 3610000 |
| TECHNOLOGY | | | 36102C0 |
| FLORIDA PERMANENT REFERENCE | | 010 | 36102C0 |
| NETWORK | | | |
| TRUST FUNDS..... | 682,000 | | 2000 |
| | ===== | | |
| ***** | | | |

SCH VIIIA NARR 19-20 NOTES:

Priority #010

 Requests \$682,000 to maintain and operate the Florida Permanent Reference Network (FRPN) to provide high positional accuracies for surveying and mapping, emergency management and scientific research as part of the Global Navigation Satellite System. The FPRN is the backbone of the FDOT Global Information Systems (GIS). Users include: FDOT, water management districts, scientific community and the U.S. Coast Guard.

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

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| WORKLOAD | | | 3000000 |
| RELOCATION COSTS | | 011 | 3006200 |
| TRUST FUNDS..... | 260,000 | | 2000 |
| | ===== | | |
| ***** | | | |

SCH VIIIA NARR 19-20 NOTES:

Priority #011

 Requests \$260,000 to relocate department offices currently housed in leased office space at the Rhyne Building in the Koger Center complex to a new leased facility currently under construction on Blairstone Road in Tallahassee. The relocation is due to an anticipated doubling of lease costs at the current facility.

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

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| COL A03 | | | |
| AGY REQUEST | | | |
| FY 2019-20 | | | |
| POS | AMOUNT | PRIORITY | CODES |
| ----- | | | |
| TRANSPORTATION, DEPT OF | | | 55000000 |
| AGENCY-WIDE INFORMATION TECHNOLOGY | | | 3620000 |
| ENTERPRISE VULNERABILITY | | | |
| MANAGEMENT SYSTEM | | 012 | 36227C0 |
| TRUST FUNDS..... | 604,963 | | 2000 |
| | ===== | | |
| ***** | | | |

SCH VIIIA NARR 19-20 NOTES:

Priority #012

 Requests \$604,963 for the Enterprise Vulnerability Management. Issue will implement a robust enterprise security vulnerability management tool to continuously monitor FDOT's software, firmware and operating systems to provide protection from cyber attacks including malware and ransomware.

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

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|-------------------------------|---------|-----|---------|
| ENTERPRISE SECURE WEB GATEWAY | | 013 | 36228C0 |
| TRUST FUNDS..... | 886,512 | | 2000 |
| | ===== | | |
| ***** | | | |

SCH VIIIA NARR 19-20 NOTES:

Priority #013

 Requests \$886,512 for Enterprise Secure Web Gateway (SWG). Will implement and staff a security protocol tool that will prevent malicious data traffic from entering or leaving the department's network. SWG will manage and secure distributed privileged access accounts to perform administrative functions across the computing environment as required of the Florida Cybersecurity Standard 74-2 F.A.C. This research provides security against malware, viruses, etc. incidents for the department.

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

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| COL A03 AGY REQUEST FY 2019-20 | | | |
| POS | AMOUNT | PRIORITY | CODES |
| ----- | | | |
| TRANSPORTATION, DEPT OF | | | 55000000 |
| EQUIPMENT NEEDS | | | 2400000 |
| INFORMATION TECHNOLOGY | | | |
| INFRASTRUCTURE REPLACEMENT | | 014 | 24010C0 |
| TRUST FUNDS..... | 524,000 | | 2000 |
| | ===== | | |
| ***** | | | |

SCH VIIIA NARR 19-20 NOTES:

Priority #014

Requests \$524,000 to replace 100 Property Records Scanners (equipment) located at seven FDOT headquarters and their satellite office locations. Replacement of these scanners will significantly increase productivity and allow for electronic document storage. The current equipment is obsolete and cannot be maintained.

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

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| CAPITAL IMPROVEMENT PLAN | | | 9900000 |
| CODE CORRECTIONS | | | 990C000 |
| FIXED CAPITAL OUTLAY | | | 080000 |
| MINOR REPAIRS/IMPROV-STATE | | 015 | 080002 |
| TRUST FUNDS..... | 5,627,026 | | 2000 |
| | ===== | | |
| ***** | | | |

SCH VIIIA NARR 19-20 NOTES: MINOR REPAIRS/IMPROV-STATE

Priority #015

Requests \$5,627,026 of nonrecurring Fixed Capital Outlay budget authority to fund building and grounds projects department-wide which are necessary to meet federal, state or local building code requirements. This issue is presented annually so FDOT can extend the life of facilities and create a safe working environment. Relevant projects include:

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

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

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| COL A03 AGY REQUEST FY 2019-20 | | | |
| POS | AMOUNT | PRIORITY | CODES |
| ----- | | | |
| TRANSPORTATION, DEPT OF | | | 55000000 |
| CAPITAL IMPROVEMENT PLAN | | | 9900000 |
| ENVIRONMENTAL PROJECTS | | | 990E000 |
| FIXED CAPITAL OUTLAY | | | 080000 |
| ENVIRON SITE RESTORATION | | 016 | 088763 |
| TRUST FUNDS..... | 410,000 | | 2000 |
| | ===== | | |
| ***** | | | |

SCH VIIIA NARR 19-20 NOTES: ENVIRON SITE RESTORATION

Priority #016

 Category #088763

Requests \$410,000 of nonrecurring Fixed Capital Outlay budget authority to continue the cleanup of contaminated soil and groundwater at various FDOT facilities statewide to restore those sites to an environmentally uncontaminated, clean and safe condition. Failure to perform the needed cleanup will result in violation of the Federal Resource Conservation and Recovery Act. This request is \$115,000 less than FY2018-19 appropriation.

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

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| AGENCY-WIDE INFORMATION TECHNOLOGY | | | 3620000 |
| MAINTENANCE OF ENTERPRISE SECURITY | | | |
| ACCESS CONTROL SYSTEM | | 017 | 36222C0 |
| TRUST FUNDS..... | 288,000 | | 2000 |
| | ===== | | |
| ***** | | | |

SCH VIIIA NARR 19-20 NOTES:

Priority #017

Requests \$1,088,000 in budget authority (\$288,000 in operating maintenance and \$800,000 in FCO) to replace existing, obsolete access control systems with a statewide, integrated security system. This new system is networked, Cloud based and reduces purchase, labor, training and maintenance costs. Phases I & II were funded in FY2016-17 and FY2017-18. This phase will add 30 buildings and three gates (administration, lab, crew, warehouse, shop, office and storage buildings) and will fully fund the entire maintenance contract. This effort is part of on-going security assessment that is examining physical security of department buildings and grounds.

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

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| COL A03 AGY REQUEST FY 2019-20 | | | |
| POS | AMOUNT | PRIORITY | CODES |
| ----- | | | |
| TRANSPORTATION, DEPT OF | | | 55000000 |
| CAPITAL IMPROVEMENT PLAN | | | 9900000 |
| CODE CORRECTIONS | | | 990C000 |
| FIXED CAPITAL OUTLAY | | | 080000 |
| IMPROVS/SECURITY SYSTEMS | | 017 | 088225 |
| TRUST FUNDS..... | 800,000 | | 2000 |
| | ===== | | |
| ***** | | | |

SCH VIIIA NARR 19-20 NOTES: IMPROVS/SECURITY SYSTEMS

Priority #017

Requests \$1,088,000 in budget authority (\$288,000 in operating maintenance and \$800,000 in FCO) to replace existing, obsolete access control systems with a statewide, integrated security system. This new system is networked, cloud based and reduces purchase, labor, training and maintenance costs. Phases I & II funded in FY17 and FY18. This phase will add an additional 30 buildings and three gates (administration, lab, crew, warehouse, shop, office and storage buildings) and will fully fund the entire maintenance contract. This effort is part of on-going security assessment that is examining physical security of department buildings and grounds.

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

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| AGENCY-WIDE INFORMATION TECHNOLOGY | | | 3620000 |
| CONSOLIDATION, STANDARDIZATION AND | | | |
| REPLACEMENT OF INFORMATION | | | |
| TECHNOLOGY EQUIPMENT AND SOFTWARE | | 018 | 36216C0 |
| TRUST FUNDS..... | 958,226 | | 2000 |
| | ===== | | |
| ***** | | | |

SCH VIIIA NARR 19-20 NOTES:

Priority #018

Requests \$958,226 of budget authority to support increased maintenance costs associated with department core information technology systems. The largest being a new platform for Microsoft Office. Maintenance on these items is key to the core functions as they provide oversight, audit or performance data based required by F.S., rule or federal government.

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

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| COL A03 AGY REQUEST FY 2019-20 | | | |
| PROGRAM OR SERVICE-LEVEL INFORMATION TECHNOLOGY GEOSPATIAL ROADWAY DATA STRATEGIC FRAMEWORK | POS | AMOUNT | PRIORITY |
| ----- | | | |
| CODES | | | |
| 55000000 | | | |
| 3630000 | | | |
| 36342C0 | | | 019 |
| 2000 | | 444,050 | |
| ===== | | | |

SCH VIIIA NARR 19-20 NOTES:

Priority #019

Requests \$444,050 of budget authority to fund the next phase of the Enterprise GIS initiative. This piece will move all users (internal and external) to a common collaborative application for the use of geospatial data. The initiative will serve as a single source of data, provide the mechanism for easy data sharing, establish an ecosystem for the rapid deployment of new applications that use reliable and accurate data; equip Data stewards with tools needed to achieve data governance objectives and maximize the value returned from existing IT and GIS technology and initiatives.

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

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|--|--|-----------|-----|---------|
| ENTERPRISE ELECTRONIC DOCUMENT MANAGEMENT SYSTEM INITIATIVE | | | 020 | 36347C0 |
| TRUST FUNDS..... | | 2,702,312 | | 2000 |
| ===== | | | | |

SCH VIIIA NARR 19-20 NOTES:

Priority #020

Requests \$2,702,312 to refresh the current Electronic Document Management System (EDMS) infrastructure to enable department-wide, enterprise access to document storage and retrieval and electronic workflows. Software modules will allow 8,000 users to save and catalog documents electronically, reengineer business processes to reduce paper usage, eliminate redundancies in business operations and access and retain information according to retention schedules.

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

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| COL A03 | | | |
| AGY REQUEST | | | |
| FY 2019-20 | | | |
| POS | AMOUNT | PRIORITY | CODES |
| ----- | | | |
| TRANSPORTATION, DEPT OF | | | 55000000 |
| PROGRAM PLAN SUPPORT | | | 6000000 |
| TRANSFER TO SOUTH FLORIDA WATER | | | |
| MANAGEMENT DISTRICT | | 021 | 6001190 |
| TRUST FUNDS..... | 5,132,690- | | 2000 |
| | ===== | | |
| ***** | | | |

SCH VIIIA NARR 19-20 NOTES:

Priority #021

 Requests a reduction of \$5,132,690 of budget authority in the Transfer to South Florida Water Management District (SFWMD) category to comply with the terms of the Memorandum of Agreement (MOA) between the Florida Department of Transportation and the SFWMD.

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

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|----------------------------------|---------|-----|---------|
| OPERATING REQUIREMENTS | | | 5500000 |
| SUPPORT COSTS FOR REGIONAL | | | |
| TRANSPORTATION MANAGEMENT CENTER | | 022 | 5504600 |
| TRUST FUNDS..... | 133,431 | | 2000 |
| | ===== | | |
| ***** | | | |

SCH VIIIA NARR 19-20 NOTES:

Priority #022

 Requests \$133,431 to fund the second year of the ongoing operational needs of the Regional Transportation Management Center (RTMC) in District Five that will be fully operational in April 2019. This budget issue was approved in FY2018-19 but the recurring annualization was not picked up. Currently, the Orlando Urban Office houses the functions for the Intelligent Transportation System (ITS) program and will relocate to the new RTMC along with the Department of Highway Safety and Motor Vehicles (DHSMV) and the Florida Highway Patrol (FHP) in FY2019-20.

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

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| COL A03 AGY REQUEST FY 2019-20 | | | |
| POS | AMOUNT | PRIORITY | CODES |
| ----- | | | |
| TRANSPORTATION, DEPT OF | | | 55000000 |
| EQUIPMENT NEEDS | | | 2400000 |
| REPLACEMENT EQUIPMENT FOR MATERIALS AND TESTING LABORATORIES | | 023 | 2401170 |
| TRUST FUNDS..... | 557,600 | | 2000 |
| | ===== | | |
| ***** | | | |

SCH VIIIA NARR 19-20 NOTES:

Priority #023

Requests \$557,600 in budget authority to replace specialized equipment in the Gainesville Material and Testing Laboratory. The equipment has exceeded its useful life, is in constant need of repair or is no longer supported by the manufacturer. These specialized pieces of equipment are needed to ensure roads and bridges meet contract specifications and are safe to travel. FDOT conducts a combination of in-sourced and outsourced testing of road construction materials. Title 23 CFR 637.203 requires verification sampling, product testing and quality assurance on highway products. Proper testing equipment is needed to assure compliance with Section 334.046(4)(a), F.S., which requires the department to meet 80 percent pavement and 90 percent bridge compliance. Replacing the aging equipment ensures timely completion of testing, feedback of results and final acceptance of the project.

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

| | | | |
|---|-----------|-----|---------|
| PROGRAM PLAN SUPPORT | | | 6000000 |
| TRANSFER TO DEPT OF HIGHWAY SAFETY AND MOTOR VEHICLES - REIMBURSE FOR TROOP K SERVICES ON THE FL TURNPIKE | | 024 | 6001160 |
| TRUST FUNDS..... | 1,274,157 | | 2000 |
| | ===== | | |
| ***** | | | |

SCH VIIIA NARR 19-20 NOTES:

Priority #024

Requests \$1,274,157 additional spending authority in the Florida Highway Patrol (FHP) Services category. Section 338.239, Florida Statutes, states, "Approved expenditures incurred by the Florida Highway Patrol in carrying out its powers and duties under ss. 338.22 - 338.241 may be treated as part of the cost of operation of the turnpike system, and the Department of Highway Safety and Motor Vehicles shall be reimbursed by the turnpike enterprise for such expenses incurred on the turnpike system."

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

| ----- | | | |
|--------------------------------------|---------|----------|----------|
| COL A03 AGY REQUEST FY 2019-20 | | | |
| POS | AMOUNT | PRIORITY | CODES |
| ----- | | | |
| TRANSPORTATION, DEPT OF | | | 55000000 |
| PROGRAM OR SERVICE-LEVEL | | | |
| INFORMATION TECHNOLOGY | | | 3630000 |
| FLORIDA STANDARD URBAN | | | |
| TRANSPORTATION MODELING STRUCTURE | | 025 | 36335C0 |
| TRUST FUNDS..... | 320,000 | | 2000 |
| | ===== | | |
| ***** | | | |

SCH VIIIA NARR 19-20 NOTES:

Priority #025

Requests \$320,000 in budget authority to update the core statewide modeling platform that is used by FDOT and the Metropolitan Planning Organizations (MPOs). The current platform is incompatible with current IT systems. A new platform will link directly to RCI, allow the ability to accumulate large data sets, expand the current macro data to micro level data to align with PD&E and Operations and obtain large amounts of licenses for Off the Shelf commercial software.

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

| | | | |
|----------------------------|-----------|-----|---------|
| CAPITAL IMPROVEMENT PLAN | | | 9900000 |
| SUPPORT FACILITIES | | | 990F000 |
| FIXED CAPITAL OUTLAY | | | 080000 |
| FACILITIES CONSTRCTN/RENOV | | 026 | 087571 |
| TRUST FUNDS..... | 2,060,741 | | 2000 |
| | ===== | | |
| ***** | | | |

SCH VIIIA NARR 19-20 NOTES: FACILITIES CONSTRCTN/RENOV

Priority #026

Requests \$2,060,741 in budget authority to convert an unused, department-owned, vacated day care facility into a 6847 sq. ft. functional Conference Center in District 1, Polk County. The conference center will accommodate 353 people and will serve as a statewide meeting center for the 24 counties of FDOT Districts 1, 5, 7 and the Turnpike Enterprise as well as other state and municipal agencies. The conference center will be used to conduct safety meetings, training, town hall meetings and conferences with business partners. The existing auditorium will be converted into an emergency operations center and computer training room.

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

| | COL A03 | | |
|--------------------------------|-------------|--------------|----------|
| | AGY REQUEST | | |
| | FY 2019-20 | | |
| | POS | AMOUNT | PRIORITY |
| | ----- | | CODES |
| TRANSPORTATION, DEPT OF | | | 55000000 |
| TOTAL: TRANSPORTATION, DEPT OF | | | 55000000 |
| BY FUND TYPE | | | |
| TRUST FUNDS..... | 2.00 | 9548,466,083 | 2000 |
| | ===== | | |

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*****
* BPEADL01                                STATISTICAL INFORMATION                                10/15/2018 16:56:06 *
* BUDGET PERIOD: 2008-2020                EXHIBIT A, D AND D-3A LIST REQUEST                MLM 55      SP      *
* COMPILE DATE: 09/16/2015                COMPILE TIME: 09:40:41                                PAGE:      1      *
*****
*                                     SAVE INITIALS:          SAVE DEPARTMENT: 07      SAVE ID: SC8A
* -----
* SELECT CODES AND ACCUMULATION LEVELS WHERE ALLOWED.  WHEN NO CODE IS SELECTED, ALL CODES WILL BE REPORTED.
* ITEMIZATION OF EXPENDITURE:                IOE ACCUMULATION LEVEL: 0 (1=OPER/FCO, 2=IOE, 0=MERGED)
* MERGE GROUPS (Y/N): Y
* BUDGET ENTITY OR GROUP/ACCUMULATION LEVEL (DEP, DIV, BUR, SUB, LBE, MRG):
*   1-7:          DEP
*   8-14:
*   15-21:
*   22-27:
* EXCLUDE:
*
* PROGRAM COMPONENT/ACCUMULATION LEVEL (1, 2, 3, 4 OR 5 FOR 2, 4, 6, 8 OR 10 DIGITS, 6=MERGE POLICY, 0=MERGED):
*   0          0          0          0          0          0
*
* APPROPRIATION CATEGORY OR GROUP/ACCUMULATION LEVEL (1=MAJOR, 2=MINOR, 0=MERGED):
*   0          0          0          0          0          0
*
* FUND GROUPS SET:          OR FUND:                FUNDING SOURCE IDENTIFIER:                MERGE FSI (Y/N): Y
* FCO (Y/N): Y          FTE (Y/N): Y                SALARY RATE (Y/N): N
* -----
* ISSUE CODE OR GROUP/ACCUMULATION LEVEL (1, 2 OR 3 FOR 1, 3 OR 7 CHARACTERS, 0=MERGED):
*   3
*
* REPORT OPTION: 4          COLUMN SELECTION:          A03          CODES
* 1=EAD REPORT
* 2=SCHEDULE IV/IT ISSUES          REPORT COLUMNS WITH CALCULATION DIFFERENCE ONLY (Y/N): N THAT EXCEED:
* 3=STATEWIDE ISSUES
* 4=SCHEDULE VIIIA ISSUES
* SCHEDULE VIIIA ISSUES SPREADSHEET (Y/N): N
*
* LEVELS OF TOTALS: (N=NO TOTAL, L=LINE TOTAL, T=BY FUND TYPE, D=BY DETAIL FUND, B=BY DETAIL FUND AND FUND TYPE,
* G=FUND GROUP LINE TOTALS, E=BY DETAIL FUND AND FUND GROUP)
* RUN: N          ITEM OF EXP: N          GROUP: N          DEPARTMENT: T          DIVISION: N          BUREAU: N
* SUB-BUREAU: N          LBE: T          POLICY AREA: N          PROG COMP: N          D3A SUM ISSUE: N          D3A DETAIL ISSUE: T
* MAJOR APP CAT: N          MINOR APP CAT: L
*
* APPROPRIATION CATEGORY TITLES: S (S=SHORT, L=LONG)          REPORT SEQUENCE: DEPT/BUDGET ENTITY: N A=ALPHABETICAL
*                                     PROGRAM COMPONENT: N N=NUMERICAL
* -----
* DEPARTMENT NARRATIVE SET:
* BUDGET ENTITY NARRATIVE SET:                PROGRAM COMPONENT NARRATIVE (Y/N): N
*
* ISSUE/ACTIVITY NARRATIVE SET: P1          PRIORITY ISSUE NARRATIVE SET (1-9): 1
*
* INCLUDE POSITION DATA (Y/N): N
*
* INCLUDE COLUMN CODES (Y/N): Y
*
* OUTPUT FORMAT: L          PAGE BREAKS: DEP
* L=LANDSCAPE                (IOE, GRP, DEP, DIV,          REPORT HEADING:                SCHEDULE VIIIA
* P=PORTRAIT                BUR, SUB, LBE, PRC,          PRIORITY LISTING OF AGENCY BUDGET ISSUES
*                                     SIS, ISC)                REQ EXPENDITURES OVER BASE BUDGET
* -----

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*****
* BPEADL01                               STATISTICAL INFORMATION                10/15/2018 16:56:06 *
* BUDGET PERIOD: 2008-2020              EXHIBIT A, D AND D-3A LIST REQUEST        MLM 55      SP   *
* COMPILE DATE: 09/16/2015              COMPILE TIME: 09:40:41                    PAGE:      2   *
*****
*
* TOTAL RECORDS READ FROM SORT:          129
* TOTAL RECORDS READ FROM CARD:          43
* TOTAL PAF RECORDS READ:                 0
* TOTAL OAF RECORDS READ:                 0
* TOTAL IEF RECORDS READ:                 0
* TOTAL BGF RECORDS READ:                 0
* TOTAL BEF RECORDS READ:                 1
* TOTAL PCF RECORDS READ:                 0
* TOTAL ICF RECORDS READ:                 36
* TOTAL INF RECORDS READ:                 1,022
* TOTAL ACF RECORDS READ:                 57
* TOTAL FCF RECORDS READ:                 1
* TOTAL FSF RECORDS READ:                 0
* TOTAL PCN RECORDS READ:                 0
* TOTAL BEN RECORDS READ:                 0
* TOTAL DPC RECORDS READ:                 0
* TOTAL RECORDS IN ERROR:                 0
*
*****
*
* BUDGET ENTITIES SELECTED:
*   1-9: 55
*  10-18:
*  19-27:
*
*****

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Florida Department of Transportation

Temporary Special Duty – General Pay Additive Implementation Plan for Fiscal Year 2019-2020

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

Based on the department’s historical data captured for Fiscal Year 2017-18 (detailed spreadsheet attached), the *temporary special duty additive – general* is utilized conservatively when the need is well documented, justified and consistent with the provisions specified in Article 21 of the AFSCME Master Contract, “Each time an employee is designated by the employee’s immediate supervisor to act in a vacant established position in a higher broadband level than the employee’s current broadband level and performs a major portion of the duties of the higher level position . . .”

Since it cannot be predicted in advance when these situations will occur, the department can only rely on historical data, the latest of which includes a total of eight issued temporary special duty pay additives. Two were related to assuming higher-level duties of a vacant position, five were for assuming duties of a position whose incumbent was out due to illness, and one was for assuming duties due to the incumbent being out as a result of a workers’ compensation injury. The estimated average cost per bi-weekly pay period to the department for TSD-Vacancy is \$340.35, for TSD-Family Medical Leave Act is \$619.41 and for TSD-Workers’ Compensation Vacancy is \$109.57. Employees in varied job classes received the pay additive.

Florida Department of Transportation
Temporary Special Duty – General Pay Additive

| Fiscal Year | EFFECTIVE DATE | ENDING DATE | DIS | COST CENTER | EMPLOYEE NAME | POS # | TYPE OF ACTION | CLASS TITLE | FOR | CURRENT BIWEEKLY SALARY | PERCENTAGE INCREASE/DECREASE | NEW BIWEEKLY SALARY | BIWK TSD AMOUNT | ANNUAL TSD AMOUNT |
|-------------|----------------|-------------|-----|------------------------------------|-------------------|--------|----------------------------------|---------------------------------|---|-------------------------|------------------------------|---------------------|-----------------|-------------------|
| 2017-2018 | 9/8/2017 | 9/22/2017 | D4 | DISTRICT SECRETARY | MITCHELL, TATIANA | 007626 | Temporary Special Duty - FMLA | SENIOR CLERK | 07298 - Administrative Assistant II | \$1,112.76 | 10.00% | \$1,224.03 | \$111.27 | \$2,893.02 |
| 2017-2018 | 11/20/2017 | 5/4/2018 | CO | INFORMATION TECHNOLOGY SERVICES D5 | YESSE, MARK | 008955 | Temporary Special Duty - FMLA | OFFICE AUTOMATION SPECIALIST II | 08718 Computer Support Tech III | \$1,538.35 | 5.00% | \$1,615.27 | \$76.92 | \$1,999.92 |
| 2017-2018 | 12/1/2017 | 1/7/2018 | D4 | FACILITIES MANAGEMENT | VILLENA, NILO | 007446 | Temporary Special Duty - FMLA | MAINTENANCE MECHANIC | 00626 District Facility Manager | \$1,992.64 | 10.00% | \$2,191.90 | \$199.26 | \$5,180.76 |
| 2017-2018 | 12/5/2017 | 3/2/2018 | D6 | SOUTH DADE SHOP | HITCHINS, WENDY | 007744 | Temporary Special Duty - FMLA | FISCAL ASSISTANT II | 07982 - Automotive/Marine Equip Repair Supv-SES | \$1,108.31 | 7.50% | \$1,191.43 | \$83.12 | \$2,161.12 |
| 2017-2018 | 5/4/2018 | 6/18/2018 | D4 | FT PIERCE MAINTENANCE | TESTA, LORI | 010541 | Temporary Special Duty - FMLA | RECORDS TECHNICIAN | 07562 Operations Office Manager | \$1,488.48 | 10.00% | \$1,637.32 | \$148.84 | \$3,869.84 |
| 2017-2018 | 12/21/2017 | 1/13/2018 | D7 | BROOKSVILLE OPERATIONS CENTER | MCDARIS, CAMILLE | 003515 | Temporary Special Duty - Vacancy | SENIOR CLERK | 03487 - Operations Office Manager | \$1,286.92 | 10.00% | \$1,415.61 | \$128.69 | \$3,345.94 |
| 2017-2018 | 6/20/2018 | 9/14/2018 | D7 | DISTRICT TRAFFIC OPERATIONS | BUIDENS, DANIEL | 003297 | Temporary Special Duty - Vacancy | SENIOR ENGINEER TRAINEE | 12660 - Professional Engineer Level I (RTMC Operations Manager) | \$2,116.69 | 10.00% | \$2,328.35 | \$211.66 | \$5,503.16 |
| 2017-2018 | 10/20/2017 | 4/21/2018 | D7 | TAMPA OPERATIONS CENTER | RODRIGUEZ, PEDRO | 009360 | Temporary Special Duty - WC | HEAVY EQUIPMENT OPERATOR | 03362 - HWY Maintenance Tech Coordinator | \$1,095.72 | 10.00% | \$1,205.29 | \$109.57 | \$2,848.82 |



LEGISLATIVE BUDGET REQUEST 2019-2020

Department Level Exhibits and Schedules



Florida Department of Transportation

RICK SCOTT
GOVERNOR

605 Suwannee Street
Tallahassee, FL 32399-0450

MIKE DEW
SECRETARY

MEMORANDUM

TO: Mechelle Marcum
Budget Officer

FROM: Erik Fenniman *Deise for*
General Counsel

DATE: September 5, 2018

SUBJECT: Schedule VII: Agency Litigation Inventory
2020 Legislative Budget Request

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

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

Schedule VII: Agency Litigation Inventory

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

| | | | |
|--|--|---|----------|
| Agency: | Department of Transportation | | |
| Contact Person: | Clinton Doud | Phone Number: | 414-5265 |
| Names of the Case: (If no case name, list the names of the plaintiff and defendant.) | Anderson Columbia Co., Inc., Plaintiff v. FDOT, Defendant | | |
| Court with Jurisdiction: | 3rd Judicial Circuit, Columbia County | | |
| Case Number: | 2018-CA-000037 | | |
| Summary of the Complaint: | Plaintiff filed complaint for breach of contract and breach of oral settlement agreement arising from unforeseen additional work on road contract. | | |
| Amount of the Claim: | \$8,500,000 | | |
| Specific Statutes or Laws (including GAA) Challenged: | | | |
| Status of the Case: | Complaint served on 2/16/18. FDOT filed answer on 5/24/18. Plaintiff’s motion for summary judgment scheduled for 9/11/18. | | |
| Who is representing (of record) the state in this lawsuit? Check all that apply. | <input checked="" type="checkbox"/> | Agency Counsel | |
| | <input type="checkbox"/> | Office of the Attorney General or Division of Risk Management | |
| | <input type="checkbox"/> | Outside Contract Counsel | |
| If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s). | | | |

Office of Policy and Budget – June 2018

Schedule VII: Agency Litigation Inventory

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

| | | | |
|--|--|---|----------|
| Agency: | Department of Transportation | | |
| Contact Person: | Denise Johnson | Phone Number: | 414-5265 |
| Names of the Case: (If no case name, list the names of the plaintiff and defendant.) | Bay Drum Superfund Site | | |
| Court with Jurisdiction: | United States District Court, Middle District | | |
| Case Number: | 97-1564-CIV-T-26(A) | | |
| Summary of the Complaint: | The EPA has told FDOT it is responsible for groundwater contamination at this site. EPA is overseeing the cleanup of this site under CERCLA, the Comprehensive Environmental Response, Compensation, and Liability Act. FDOT entered a consent decree that requires it to clean this site. | | |
| Amount of the Claim: | Potential exposure is estimated to be \$10,000,000. | | |
| Specific Statutes or Laws (including GAA) Challenged: | | | |
| Status of the Case: | FDOT has responded to EPA’s information request and has joined a Potential Responsible Party group. FDOT is a major participant due to its allocation. On 1/21/05, EPA agreed to amend the Record of Decision to provide for monitoring and natural attenuation as the remedy for the deep Floridian Aquifer. No additional assessment was made in FY2014-15 and FY2015-16. On 1/25/18, FDOT paid an additional assessment of \$73,634.47. No additional assessments are expected in 2018 or 2019. Potential exposure does remain. | | |
| Who is representing (of record) the state in this lawsuit? Check all that apply. | <input checked="" type="checkbox"/> | Agency Counsel | |
| | <input type="checkbox"/> | Office of the Attorney General or Division of Risk Management | |
| | <input type="checkbox"/> | Outside Contract Counsel | |
| If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s). | | | |

Schedule VII: Agency Litigation Inventory

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| | | | |
|--|--|---|----------|
| Agency: | Department of Transportation | | |
| Contact Person: | Clinton Doud | Phone Number: | 414-5265 |
| Names of the Case: (If no case name, list the names of the plaintiff and defendant.) | BBX Partners, Inc., Hernando Oaks Master Association, Inc., and Heartwood 9I-3, LLC, Plaintiffs v. FDOT, Defendant | | |
| Court with Jurisdiction: | 5th Judicial Circuit, Hernando County | | |
| Case Number: | 2018-CA-865 | | |
| Summary of the Complaint: | Plaintiff filed complaint for injunction, trespass, nuisance, negligence and inverse condemnation for flooding their property. | | |
| Amount of the Claim: | Undetermined. | | |
| Specific Statutes or Laws (including GAA) Challenged: | | | |
| Status of the Case: | Complaint served 8/1/18. FDOT’s response is not due until 8/31/18. FDOT is currently evaluating this case. | | |
| Who is representing (of record) the state in this lawsuit? Check all that apply. | <input checked="" type="checkbox"/> | Agency Counsel | |
| | <input type="checkbox"/> | Office of the Attorney General or Division of Risk Management | |
| | <input type="checkbox"/> | Outside Contract Counsel | |
| If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s). | | | |

Office of Policy and Budget – June 2018

Schedule VII: Agency Litigation Inventory

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

| | | | |
|--|--|---|----------|
| Agency: | Department of Transportation | | |
| Contact Person: | Clinton Doud | Phone Number: | 414-5265 |
| Names of the Case: (If no case name, list the names of the plaintiff and defendant.) | Butler Carpet Company, d/b/a Bob’s Carpet Mart, Plaintiff v. FDOT, Defendant. | | |
| Court with Jurisdiction: | District Court of Appeal, 2nd DCA | | |
| Case Number: | 2012-CA-2404; 2D15-2030 | | |
| Summary of the Complaint: | Plaintiff sought severance damages and damages for an alleged loss of access, view and visibility attributed to FDOT’s reconstruction of US 19 from an at-grade divided highway to grade separated interchanges with one-way frontage roads. | | |
| Amount of the Claim: | Settled for \$352,260.19. Attorney fees and costs remain outstanding. | | |
| Specific Statutes or Laws (including GAA) Challenged: | | | |
| Status of the Case: | The trial court found for the Plaintiff and entered final judgment for \$2,807,000. FDOT appealed. On 5/21/17, the 2nd DCA reversed the award of severance damages, damages for substantially diminished access and loss of visibility; attorney’s fees are also to be reconsidered and prejudgment interest is to be recalculated. On 4/20/18, an amended final judgment was entered resolving all issues except attorney fees and costs. | | |
| Who is representing (of record) the state in this lawsuit? Check all that apply. | <input checked="" type="checkbox"/> | Agency Counsel | |
| | <input type="checkbox"/> | Office of the Attorney General or Division of Risk Management | |
| | <input type="checkbox"/> | Outside Contract Counsel | |
| If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s). | | | |

Schedule VII: Agency Litigation Inventory

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

| | | | |
|--|--|---|----------|
| Agency: | Department of Transportation | | |
| Contact Person: | Clinton Doud | Phone Number: | 414-5265 |
| Names of the Case: (If no case name, list the names of the plaintiff and defendant.) | CHK, LLC, Plaintiff, v. FDOT, Defendant. | | |
| Court with Jurisdiction: | District Court of Appeal, 2nd District | | |
| Case Number: | 06-730-CI-8; 2D15-3075 | | |
| Summary of the Complaint: | This is an inverse condemnation case. CHK seeks damages for an alleged loss of access and physical invasion attributed to FDOT’s reconstruction of US 19 from an at-grade divided highway to grade separated interchanges with one-way frontage roads. | | |
| Amount of the Claim: | Settled for \$59,271.06. Attorney fees and costs remain outstanding. | | |
| Specific Statutes or Laws (including GAA) Challenged: | | | |
| Status of the Case: | The trial court found for the Plaintiff and entered a final judgment for \$3,101,670. FDOT appealed and the 2nd DCA reversed the award of severance damages, damages for substantially diminished access and loss of visibility; attorney’s fees are also to be reconsidered and prejudgment interest is to be recalculated. On 4/2/18, an amended final judgment was entered resolving all issues except attorney fees and costs. | | |
| Who is representing (of record) the state in this lawsuit? Check all that apply. | <input checked="" type="checkbox"/> | Agency Counsel | |
| | <input type="checkbox"/> | Office of the Attorney General or Division of Risk Management | |
| | <input type="checkbox"/> | Outside Contract Counsel | |
| If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s). | | | |

Schedule VII: Agency Litigation Inventory

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

| | | | |
|--|---|---|----------|
| Agency: | Department of Transportation | | |
| Contact Person: | Clinton Doud | Phone Number: | 414-5265 |
| Names of the Case: (If no case name, list the names of the plaintiff and defendant.) | Clay County Port, Inc., Plaintiff, v. FDOT, Defendant. | | |
| Court with Jurisdiction: | 4th Judicial Circuit, Clay County | | |
| Case Number: | 2017-CA-000622 | | |
| Summary of the Complaint: | Plaintiff filed complaint for declaratory judgment and quiet title to the real property underneath a section of existing State Road highway facilities. | | |
| Amount of the Claim: | Undetermined | | |
| Specific Statutes or Laws (including GAA) Challenged: | | | |
| Status of the Case: | Complaint served on 5/30/17. Department filed a motion to dismiss on 8/9/17, and the motion is set for hearing on 10/2/18. | | |
| Who is representing (of record) the state in this lawsuit? Check all that apply. | <input checked="" type="checkbox"/> | Agency Counsel | |
| | <input type="checkbox"/> | Office of the Attorney General or Division of Risk Management | |
| | <input type="checkbox"/> | Outside Contract Counsel | |
| If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s). | | | |

Schedule VII: Agency Litigation Inventory

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

| | | | |
|---|---|---|----------|
| Agency: | Department of Transportation | | |
| Contact Person: | Clinton Doud | Phone Number: | 414-5265 |
| Names of the Case: (If no case name, list the names of the plaintiff and defendant.) | Crosspointe Baptist Church, Inc., Plaintiff, v. FDOT, Defendant. | | |
| Court with Jurisdiction: | District Court of Appeal, 2nd District | | |
| Case Number: | 2D 10-4254 | | |
| Summary of the Complaint: | This is an inverse condemnation case. Plaintiff seeks damages for physical invasion of its property, flooding, and loss of access attributed to FDOT’s reconstruction of US 19 from an at-grade divided highway to grade separated interchanges with one-way frontage roads. | | |
| Amount of the Claim: | \$2,000,000 | | |
| Specific Statutes or Laws (including GAA) Challenged: | | | |
| Status of the Case: | On 9/21/12, Crosspointe moved to re-open previously closed inverse case for loss of access and a new taking of property. The motion to re-open was granted on 9/21/12. Trial court found no taking of access but found a minimal new taking on 2/21/15. Mediation resulted in impasse. However, FDOT v. Butler Carpet Company (Case No. 2D15-2030) and FDOT v. CHK, LLC (Case No. 2D15-3075) should be dispositive on issue of access, and this matter should settle. | | |
| Who is representing (of record) the state in this lawsuit? Check all that apply. | <input checked="" type="checkbox"/> | Agency Counsel | |
| | <input type="checkbox"/> | Office of the Attorney General or Division of Risk Management | |
| | <input type="checkbox"/> | Outside Contract Counsel | |
| If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s). | | | |

Schedule VII: Agency Litigation Inventory

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

| | | | |
|---|---|---|----------|
| Agency: | Department of Transportation | | |
| Contact Person: | Clinton Doud | Phone Number: | 414-5265 |
| Names of the Case: (If no case name, list the names of the plaintiff and defendant.) | Ann Esterson, Eric Esterson, and Henry Shumacher, Jr., Plaintiffs v. FDOT, Defendant. | | |
| Court with Jurisdiction: | 18th Judicial Circuit, Seminole County | | |
| Case Number: | 2013-CA-170 | | |
| Summary of the Complaint: | Plaintiff filed a three-count complaint for inverse condemnation, breach of contract, and declaratory relief for removal of conduit in Turnpike right of way. | | |
| Amount of the Claim: | Settled for \$975,000 inclusive of all fees and costs. | | |
| Specific Statutes or Laws (including GAA) Challenged: | | | |
| Status of the Case: | Complaint and answer have been filed. On 6/29/16, trial court found a taking of Plaintiff’s property. Parties mediated this matter and final judgment was entered on 6/26/18. | | |
| Who is representing (of record) the state in this lawsuit? Check all that apply. | <input checked="" type="checkbox"/> | Agency Counsel | |
| | <input type="checkbox"/> | Office of the Attorney General or Division of Risk Management | |
| | <input type="checkbox"/> | Outside Contract Counsel | |
| If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s). | | | |

Office of Policy and Budget – June 2018

Schedule VII: Agency Litigation Inventory

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

| | | | |
|--|--|---|----------|
| Agency: | Department of Transportation | | |
| Contact Person: | Clinton Doud | Phone Number: | 414-5265 |
| Names of the Case: (If no case name, list the names of the plaintiff and defendant.) | FDOT, Petitioner/Counter Defendant, v. Kings Avenue Redevelopment, Defendant/Counter Plaintiff. | | |
| Court with Jurisdiction: | 4th Judicial Circuit, Duval County | | |
| Case Number: | 2012-CA-10824; 2014-CA-002882 | | |
| Summary of the Complaint: | Plaintiff sued FDOT alleging inverse condemnation for interference with Public Private Partnership lease with JTA regarding transportation improvements made to the Interstate 95 Overland Bridge project in Jacksonville. The original inverse case was consolidated as part of a pending eminent domain action. | | |
| Amount of the Claim: | Settled for \$3,448,667.62 inclusive of all fees and costs. | | |
| Specific Statutes or Laws (including GAA) Challenged: | | | |
| Status of the Case: | Plaintiff filed its complaint against FDOT on 4/13/14 alleging oppressive pre-condemnation conduct, due process, civil conspiracy and inverse condemnation. The matter was consolidated with the underlying eminent domain action. The taking trial for the inverse count occurred during the week of 5/22/17. On 6/13/17, the trial court entered its finding of a single small taking. The parties mediated the eminent domain and inverse claim and resolved all issues except fees and costs for \$2,500,000. On 8/20/18, the Court awarded \$948,667.82 in fees and costs for combined eminent domain and inverse taking. | | |
| Who is representing (of record) the state in this lawsuit? Check all that apply. | <input checked="" type="checkbox"/> | Agency Counsel | |
| | <input type="checkbox"/> | Office of the Attorney General or Division of Risk Management | |
| | <input type="checkbox"/> | Outside Contract Counsel | |
| If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s). | | | |

Schedule VII: Agency Litigation Inventory

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

| | | | |
|--|--|---|----------|
| Agency: | Department of Transportation | | |
| Contact Person: | Clinton Doud | Phone Number: | 414-5265 |
| Names of the Case: (If no case name, list the names of the plaintiff and defendant.) | Fellsmere Water Control District, Plaintiff v. FDOT, Defendant. | | |
| Court with Jurisdiction: | 19th Judicial Circuit, Volusia County | | |
| Case Number: | 2012-CA-001295 | | |
| Summary of the Complaint: | Plaintiff seeks severance damages and damages for an alleged loss of use of canal and banks attributed to FDOT’s design build reconstruction of Interstate 95. The Plaintiff has also moved for an injunction of all construction activities due to FDOT’s failure to get a permit from the special district. Pursuant to Section 335.02(4), Florida Statutes, FDOT asserts it does not have to get a permit from Fellsmere WCD. | | |
| Amount of the Claim: | \$1,800,000 | | |
| Specific Statutes or Laws (including GAA) Challenged: | | | |
| Status of the Case: | Plaintiff filed amended complaint on 2/25/15. FDOT’s answer filed 6/22/16. Discovery and motion practice ongoing. FDOT’s motion for summary judgment was heard on 1/23/18. To date there has been no ruling. | | |
| Who is representing (of record) the state in this lawsuit? Check all that apply. | <input checked="" type="checkbox"/> | Agency Counsel | |
| | <input type="checkbox"/> | Office of the Attorney General or Division of Risk Management | |
| | <input type="checkbox"/> | Outside Contract Counsel | |
| If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s). | | | |

Schedule VII: Agency Litigation Inventory

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| | | | |
|--|--|---|----------|
| Agency: | Department of Transportation | | |
| Contact Person: | Clinton Doud | Phone Number: | 414-5265 |
| Names of the Case: (If no case name, list the names of the plaintiff and defendant.) | Karin Gobbel, et. al., Plaintiffs, v. FDOT and Central Florida Regional Transport Authority, Defendants. | | |
| Court with Jurisdiction: | 18th Judicial Circuit, Seminole County | | |
| Case Number: | 2016 CA 001829; 1D16-4586 | | |
| Summary of the Complaint: | Inverse condemnation claim for taking of homeowners’ properties caused by the operation of the SunRail Vehicle Storage and Maintenance Facility. | | |
| Amount of the Claim: | Settlement agreement executed for \$1,600,000. | | |
| Specific Statutes or Laws (including GAA) Challenged: | | | |
| Status of the Case: | The parties entered into a written settlement agreement for \$1,600,000 inclusive of all fees and costs; in return, FDOT to receive noise easements from Plaintiffs. Upon receipt of easements, Plaintiffs will dismiss suit with prejudice. | | |
| Who is representing (of record) the state in this lawsuit? Check all that apply. | <input checked="" type="checkbox"/> | Agency Counsel | |
| | <input type="checkbox"/> | Office of the Attorney General or Division of Risk Management | |
| | <input type="checkbox"/> | Outside Contract Counsel | |
| If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s). | | | |

Schedule VII: Agency Litigation Inventory

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| | | | |
|---|--|---|----------|
| Agency: | Department of Transportation | | |
| Contact Person: | Clinton Doud | Phone Number: | 414-5265 |
| Names of the Case: (If no case name, list the names of the plaintiff and defendant.) | Hickey Creek Development, LLC, Plaintiff v. FDOT, Defendant | | |
| Court with Jurisdiction: | 20 th Judicial Circuit Lee County | | |
| Case Number: | 2018-CA-001617 | | |
| Summary of the Complaint: | Plaintiff filed one count complaint for slander of title based on recording of deed to correct ownership interest. | | |
| Amount of the Claim: | \$19,300,000 | | |
| Specific Statutes or Laws (including GAA) Challenged: | | | |
| Status of the Case: | Complaint served on 4/18/18. FDOT filed a motion to transfer venue on 5/25/18. Trial court orally granted transfer of venue on 8/20/18 with written order to follow. | | |
| Who is representing (of record) the state in this lawsuit? Check all that apply. | <input checked="" type="checkbox"/> | Agency Counsel | |
| | <input type="checkbox"/> | Office of the Attorney General or Division of Risk Management | |
| | <input type="checkbox"/> | Outside Contract Counsel | |
| If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s). | | | |

Schedule VII: Agency Litigation Inventory

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| | | | |
|--|---|---|----------|
| Agency: | Department of Transportation | | |
| Contact Person: | Clinton Doud | Phone Number: | 414-5265 |
| Names of the Case: (If no case name, list the names of the plaintiff and defendant.) | Hudson Parkside LLP, Plaintiff, v. FDOT, Defendant. | | |
| Court with Jurisdiction: | 6th Judicial Circuit, Pinellas County | | |
| Case Number: | 2014-CA-011031 | | |
| Summary of the Complaint: | Plaintiff seeks severance damages and damages for an alleged loss of access, view and visibility attributed to FDOT’s reconstruction of US 19 from an at-grade divided highway to grade separated interchanges with one-way frontage roads. | | |
| Amount of the Claim: | \$2,000,000 | | |
| Specific Statutes or Laws (including GAA) Challenged: | | | |
| Status of the Case: | FDOT filed its answer on 6/9/14. Plaintiff filed second amended complaint. Both FDOT and Hudson filed a motion for summary judgment, and both motions were denied on 5/7/18. Court entered final judgment in favor of FDOT on 5/7/18. Landowner filed its notice of appeal on 6/5/18. | | |
| Who is representing (of record) the state in this lawsuit? Check all that apply. | <input checked="" type="checkbox"/> | Agency Counsel | |
| | <input type="checkbox"/> | Office of the Attorney General or Division of Risk Management | |
| | <input type="checkbox"/> | Outside Contract Counsel | |
| If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s). | | | |

Office of Policy and Budget – June 2018

Schedule VII: Agency Litigation Inventory

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| | | | |
|---|---|---|----------|
| Agency: | Department of Transportation | | |
| Contact Person: | Clinton Doud | Phone Number: | 414-5265 |
| Names of the Case: (If no case name, list the names of the plaintiff and defendant.) | Kapsch Traffic Com IVHS Inc., Plaintiff, v. FDOT, Turnpike Enterprise, Neology, Inc., and Smartrac, N.C., Defendants | | |
| Court with Jurisdiction: | District Court of Appeal, 1st District | | |
| Case Number: | 2015-CA-2387; 1D17-743 | | |
| Summary of the Complaint: | On 10/5/2015, Plaintiff filed three count complaint against Defendants seeking to set aside patent license agreement between FDOT, Neology and Smartrac. | | |
| Amount of the Claim: | \$0. Case closed. | | |
| Specific Statutes or Laws (including GAA) Challenged: | | | |
| Status of the Case: | After filing an answer on 4/1/2016, FDOT moved for and was granted summary judgment on all counts. Final judgment in favor of Defendants was entered on 1/23/17. Plaintiff appealed and on 6/4/18 the 1st DCA affirmed the trial court. Case completed. | | |
| Who is representing (of record) the state in this lawsuit? Check all that apply. | <input checked="" type="checkbox"/> | Agency Counsel | |
| | <input type="checkbox"/> | Office of the Attorney General or Division of Risk Management | |
| | <input type="checkbox"/> | Outside Contract Counsel | |
| If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s). | | | |

Office of Policy and Budget – June 2018

Schedule VII: Agency Litigation Inventory

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| | | | |
|---|--|---|----------|
| Agency: | Department of Transportation | | |
| Contact Person: | Clinton Doud | Phone Number: | 414-5265 |
| Names of the Case: (If no case name, list the names of the plaintiff and defendant.) | Sybil W. Lee, et. al., Plaintiffs v. Miami-Dade County and FDOT, Defendants | | |
| Court with Jurisdiction: | Unites States District Court, Southern District | | |
| Case Number: | 1:18-cv-21852 | | |
| Summary of the Complaint: | Plaintiffs seek damages for inverse condemnation (state and federal), breach of contract and violation of the Federal Highway Act for expansion of I-95 for damages to their houses. | | |
| Amount of the Claim: | \$1,200,000 | | |
| Specific Statutes or Laws (including GAA) Challenged: | | | |
| Status of the Case: | The pending complaint was filed on 5/14/18. FDOT filed a motion to dismiss and is awaiting a ruling from the court. | | |
| Who is representing (of record) the state in this lawsuit? Check all that apply. | <input checked="" type="checkbox"/> | Agency Counsel | |
| | <input type="checkbox"/> | Office of the Attorney General or Division of Risk Management | |
| | <input type="checkbox"/> | Outside Contract Counsel | |
| If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s). | | | |

Office of Policy and Budget – June 2018

Schedule VII: Agency Litigation Inventory

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| | | | |
|---|--|---|----------|
| Agency: | Department of Transportation | | |
| Contact Person: | Clinton Doud | Phone Number: | 414-5265 |
| Names of the Case: (If no case name, list the names of the plaintiff and defendant.) | Leisure Resorts, LLC, Plaintiff, v. FDOT, Defendant. | | |
| Court with Jurisdiction: | 15th Judicial Circuit, Palm Beach County | | |
| Case Number: | 2017-CA-000085 | | |
| Summary of the Complaint: | Plaintiff filed a one count inverse condemnation claim for taking Plaintiff’s leasehold sovereign land interest during the construction of a bridge. | | |
| Amount of the Claim: | \$6,000,000 | | |
| Specific Statutes or Laws (including GAA) Challenged: | | | |
| Status of the Case: | Plaintiff filed action on 1/5/17. Department filed answer and defenses on 4/21/17. Case transferred and remains pending until resolution of dispute between Plaintiff and a second abutting landowner. | | |
| Who is representing (of record) the state in this lawsuit? Check all that apply. | <input checked="" type="checkbox"/> | Agency Counsel | |
| | <input type="checkbox"/> | Office of the Attorney General or Division of Risk Management | |
| | <input type="checkbox"/> | Outside Contract Counsel | |
| If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s). | | | |

Schedule VII: Agency Litigation Inventory

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

Schedule VII: Agency Litigation Inventory

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| | | | |
|--|---|---|----------|
| Agency: | Department of Transportation | | |
| Contact Person: | Clinton Doud | Phone Number: | 414-5265 |
| Names of the Case: (If no case name, list the names of the plaintiff and defendant.) | New Testament Missionary Baptist Church, Inc., Plaintiff, v. FDOT, Defendant. | | |
| Court with Jurisdiction: | 15th Judicial Circuit, Palm Beach County | | |
| Case Number: | 2016-CA-007900 | | |
| Summary of the Complaint: | Inverse condemnation claim based on substantial loss of access. | | |
| Amount of the Claim: | \$900,000 | | |
| Specific Statutes or Laws (including GAA) Challenged: | | | |
| Status of the Case: | Complaint was served on 08/29/16. FDOT filed third motion to dismiss on 5/25/18. Each time FDOT moves for hearing, attorney representing Plaintiff withdraws. Plaintiff is currently unrepresented. | | |
| Who is representing (of record) the state in this lawsuit? Check all that apply. | <input checked="" type="checkbox"/> | Agency Counsel | |
| | <input type="checkbox"/> | Office of the Attorney General or Division of Risk Management | |
| | <input type="checkbox"/> | Outside Contract Counsel | |
| If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s). | | | |

Schedule VII: Agency Litigation Inventory

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| | | | |
|---|---|---|----------|
| Agency: | Department of Transportation | | |
| Contact Person: | Clinton Doud | Phone Number: | 414-5265 |
| Names of the Case: (If no case name, list the names of the plaintiff and defendant.) | NorthStar Contracting Group, Inc., Plaintiff, v. FDOT, Defendant | | |
| Court with Jurisdiction: | 2nd Judicial Circuit, Leon County | | |
| Case Number: | 2016-CA-001964 | | |
| Summary of the Complaint: | This is a breach of contract action. NorthStar seeks damages for not receiving a percentage of District environmental work that was performed in District 7. | | |
| Amount of the Claim: | Settled for \$1,450,000. | | |
| Specific Statutes or Laws (including GAA) Challenged: | | | |
| Status of the Case: | Initial complaint was served on 9/8/16. FDOT filed an answer on 10/24/17. Partial summary judgment on liability entered against FDOT on 2/1/18. FDOT moved for clarification of Plaintiff’s Asset Purchase Agreement on 6/18/18. On 7/10/18, NorthStar, Bankruptcy Trustee and FDOT entered into a mediated settlement agreement. | | |
| Who is representing (of record) the state in this lawsuit? Check all that apply. | <input checked="" type="checkbox"/> | Agency Counsel | |
| | <input type="checkbox"/> | Office of the Attorney General or Division of Risk Management | |
| | <input type="checkbox"/> | Outside Contract Counsel | |
| If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s). | | | |

Office of Policy and Budget – June 2018

Schedule VII: Agency Litigation Inventory

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| | | | |
|--|--|---|----------|
| Agency: | Department of Transportation | | |
| Contact Person: | Denise Johnson | Phone Number: | 414-5365 |
| Names of the Case: (If no case name, list the names of the plaintiff and defendant.) | Peak Oil Superfund Site | | |
| Court with Jurisdiction: | United States District Court, Middle District | | |
| Case Number: | 97-1564-CIV-T-26(A) | | |
| Summary of the Complaint: | The EPA has told FDOT it is responsible for groundwater contamination at this site. EPA is overseeing the cleanup of this site under CERCLA, the Comprehensive Environmental Response, Compensation, and Liability Act. FDOT entered a consent decree that requires it to clean this site. | | |
| Amount of the Claim: | In excess of \$10,000,000. | | |
| Specific Statutes or Laws (including GAA) Challenged: | | | |
| Status of the Case: | FDOT has responded to the EPA’s information request. FDOT made payment pursuant to consent decree in March 1998. Implementation of remedial design in progress. Evaluation of the need for remedy in wetlands and deep aquifer is ongoing. No assessments for cleanup costs were made in FY2014-15, FY2015-16, FY2016-17, FY2017-18 and no assessment is expected for FY2018-19. | | |
| Who is representing (of record) the state in this lawsuit? Check all that apply. | <input checked="" type="checkbox"/> | Agency Counsel | |
| | <input type="checkbox"/> | Office of the Attorney General or Division of Risk Management | |
| | <input type="checkbox"/> | Outside Contract Counsel | |
| If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s). | | | |

Office of Policy and Budget – June 2018

Schedule VII: Agency Litigation Inventory

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

Schedule VII: Agency Litigation Inventory

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| | | | |
|---|---|---|----------|
| Agency: | Department of Transportation | | |
| Contact Person: | Clinton Doud | Phone Number: | 414-5265 |
| Names of the Case: (If no case name, list the names of the plaintiff and defendant.) | Rowstar, LLC, Plaintiff, v. FDOT and Secretary Dew, Defendants. | | |
| Court with Jurisdiction: | 2nd Judicial Circuit, Leon County | | |
| Case Number: | 2017-CA-1453 | | |
| Summary of the Complaint: | On 7/13/17, Plaintiff filed a three-count action (two counts for declaratory judgment and one count preliminary injunction) based upon a lease of right of way for wireless facilities. | | |
| Amount of the Claim: | Settled. No money from FDOT. | | |
| Specific Statutes or Laws (including GAA) Challenged: | Section 337.401, Florida Statutes | | |
| Status of the Case: | On 11/30/17, the parties entered into a settlement agreement for Rowstar to offset \$6,500,000 from the revenue Rowstar would have paid to FDOT for use of its right of way. | | |
| Who is representing (of record) the state in this lawsuit? Check all that apply. | <input checked="" type="checkbox"/> | Agency Counsel | |
| | <input type="checkbox"/> | Office of the Attorney General or Division of Risk Management | |
| | <input type="checkbox"/> | Outside Contract Counsel | |
| If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s). | | | |

Office of Policy and Budget – June 2018

Schedule VII: Agency Litigation Inventory

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| | | | |
|--|--|---|----------|
| Agency: | Department of Transportation | | |
| Contact Person: | Clinton Doud | Phone Number: | 414-5265 |
| Names of the Case: (If no case name, list the names of the plaintiff and defendant.) | Nicholas R. Sayat, Plaintiff v. FDOT, Defendant. | | |
| Court with Jurisdiction: | 6th Judicial Circuit, Pinellas County | | |
| Case Number: | 2010-CA-13468 | | |
| Summary of the Complaint: | Plaintiff seeks severance damages and damages for an alleged loss of access, view and visibility attributed to FDOT’s reconstruction of US 19 from an at-grade divided highway to grade separated interchanges with one-way frontage roads. | | |
| Amount of the Claim: | \$2,000,000 | | |
| Specific Statutes or Laws (including GAA) Challenged: | | | |
| Status of the Case: | Plaintiff filed a notice of voluntary dismissal of a prior complaint, without prejudice, on 11/23/09. The pending complaint was filed on 9/16/10. FDOT filed its answer on 6/13/11. On 5/20/15 trial court found liability against FDOT. Based on the authority of FDOT v. Butler (Case No. 2D15-2030) and FDOT v. CHK (Case No. 2D-3075), decided on 5/31/17. FDOT has moved for reconsideration of the Order of Taking previously entered by the trial court on 5/20/15. | | |
| Who is representing (of record) the state in this lawsuit? Check all that apply. | <input checked="" type="checkbox"/> | Agency Counsel | |
| | <input type="checkbox"/> | Office of the Attorney General or Division of Risk Management | |
| | <input type="checkbox"/> | Outside Contract Counsel | |
| If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s). | | | |

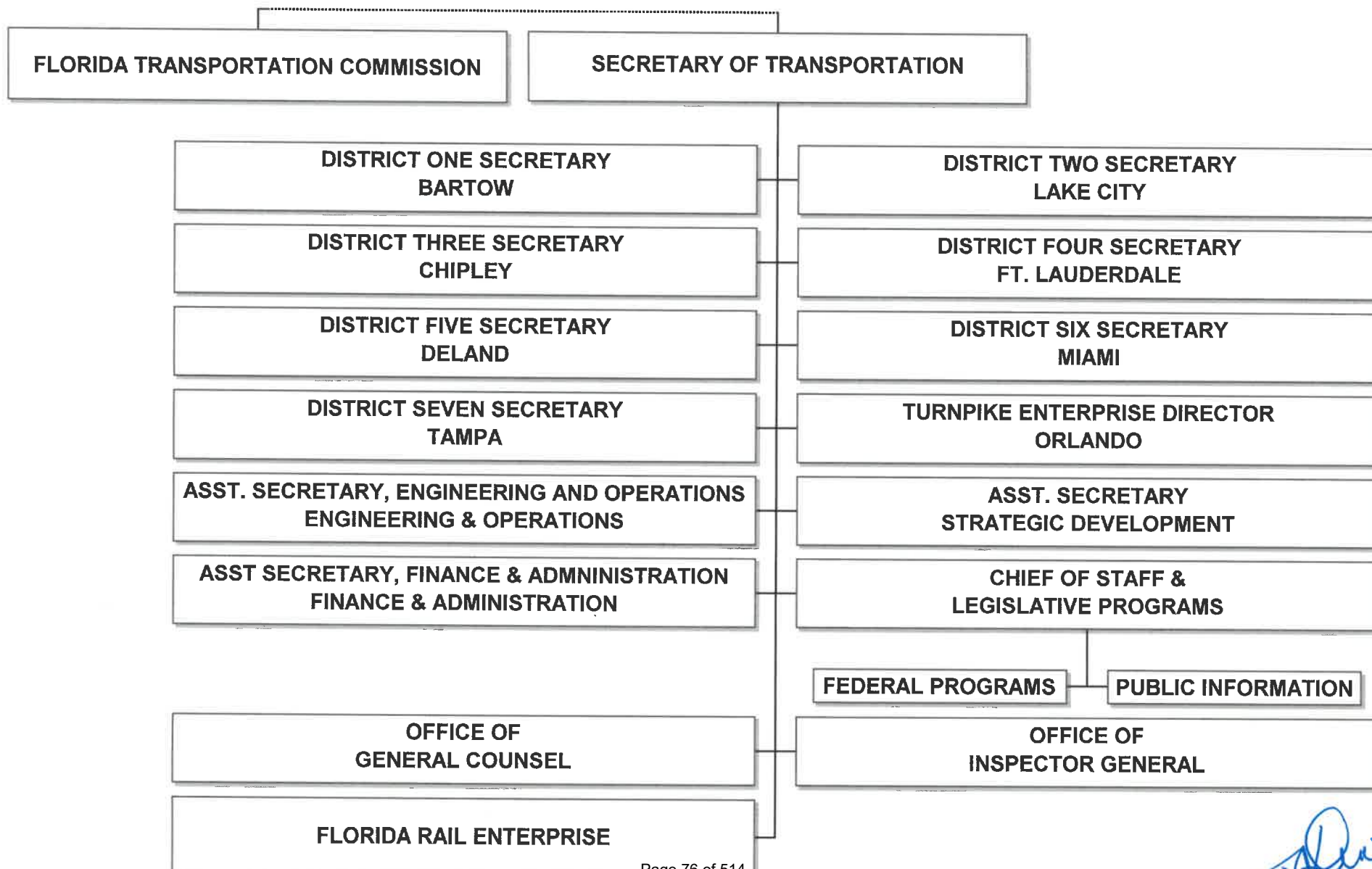
Schedule VII: Agency Litigation Inventory

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| | | | |
|--|--|---|----------|
| Agency: | Department of Transportation | | |
| Contact Person: | Clinton Doud | Phone Number: | 414-5265 |
| Names of the Case: (If no case name, list the names of the plaintiff and defendant.) | Tropical Trailer Leasing, LLC, Inc., Plaintiff, v. FDOT and Secretary Dew, Defendants. | | |
| Court with Jurisdiction: | 2nd Judicial Circuit, Leon County | | |
| Case Number: | 2014-CA-0002706; 1D16-4586 | | |
| Summary of the Complaint: | Plaintiff claims it was charged incorrect amounts for tolls via the “toll by plate” method on trailers towed on the Florida Turnpike. The plaintiff alleges Section 316.003(21), Florida Statutes before 2012 did not include trailer in the definition of motor vehicle. FDOT’s position is Chapter 316 is for enforcement of toll violations only and FDOT has broad and diverse statutory powers to collect tolls in Chapter 338 of the Florida Statutes. | | |
| Amount of the Claim: | Indeterminate, but the alleged class members could be in the millions. | | |
| Specific Statutes or Laws (including GAA) Challenged: | | | |
| Status of the Case: | Plaintiff served the complaint for class certification on 1/8/15. FDOT served its answer and defenses on 6/9/15. Trial court struck class action allegations. Trial for the named Plaintiffs concluded on 8/9/18. To date, a ruling has not been entered. | | |
| Who is representing (of record) the state in this lawsuit? Check all that apply. | <input checked="" type="checkbox"/> | Agency Counsel | |
| | <input type="checkbox"/> | Office of the Attorney General or Division of Risk Management | |
| | <input type="checkbox"/> | Outside Contract Counsel | |
| If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s). | Lawsuit is a class action but class has not been certified. | | |

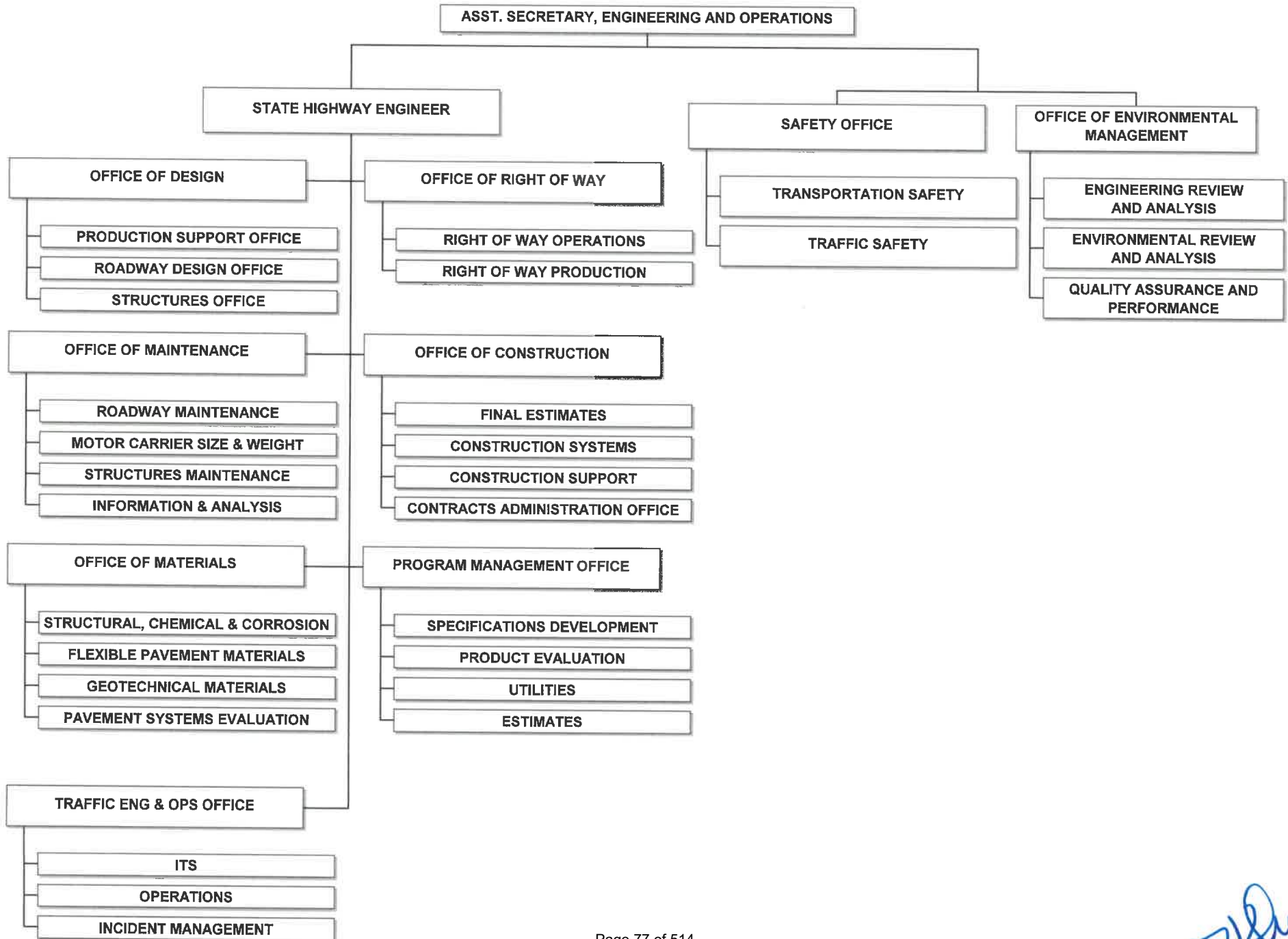
Office of Policy and Budget – June 2018

FLORIDA DEPARTMENT OF TRANSPORTATION OFFICE OF THE SECRETARY



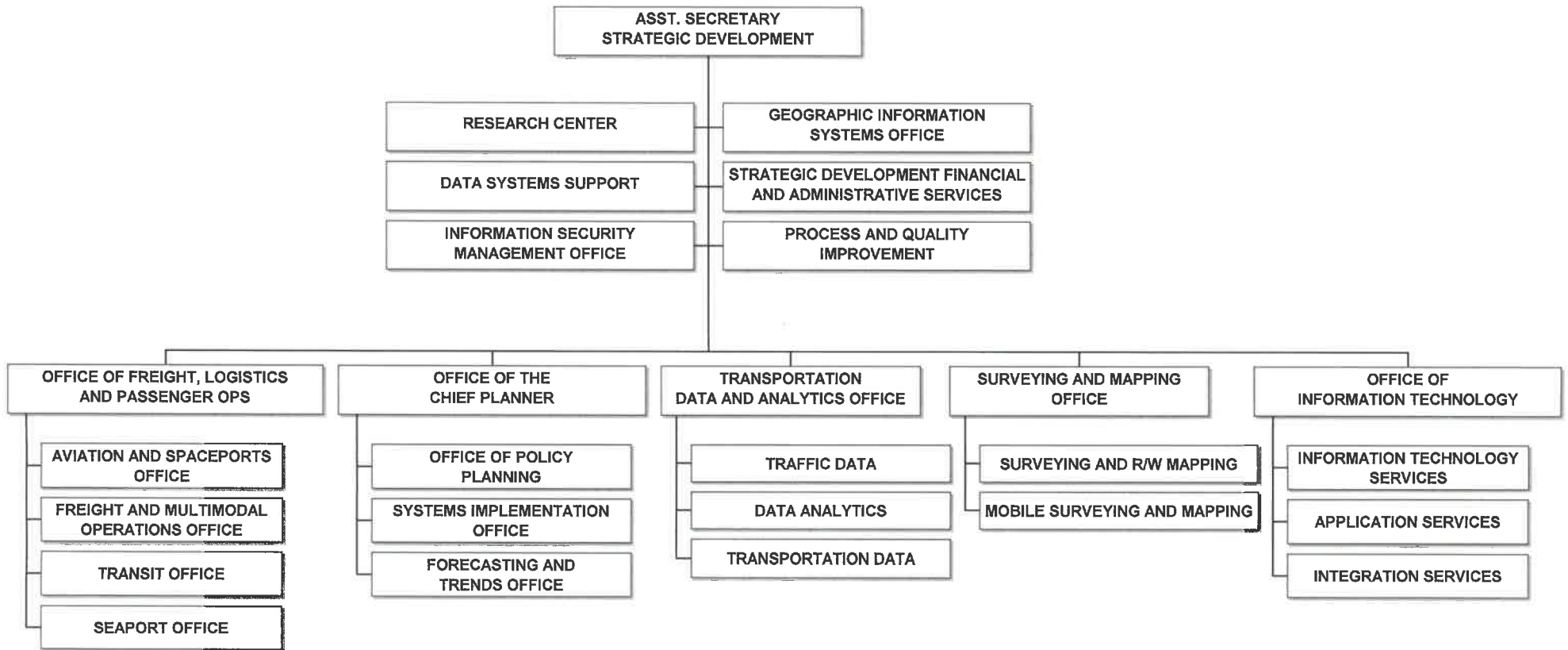
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7.9.18

FLORIDA DEPARTMENT OF TRANSPORTATION ASSISTANT SECRETARY FOR ENGINEERING AND OPERATIONS



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7.9.18

**FLORIDA DEPARTMENT OF TRANSPORTATION
ASSISTANT SECRETARY FOR STRATEGIC DEVELOPMENT**



Handwritten signature and date: 7.9.18

FLORIDA DEPARTMENT OF TRANSPORTATION ASSISTANT SECRETARY FOR FINANCE AND ADMINISTRATION

ASST SECRETARY, FINANCE & ADMINISTRATION

OFFICE OF COMPTROLLER

DISBURSEMENT OPERATIONS OFFICE

GENERAL ACCOUNTING OFFICE

FINANCIAL MANAGEMENT OFFICE

PROJECT FINANCE

OFFICE OF ADMINISTRATION

EQUAL OPPORTUNITY OFFICE

PROCUREMENT OFFICE

SUPPORT SERVICES OFFICE

ORGANIZATIONAL DEVELOPMENT OFFICE

HUMAN RESOURCES OFFICE

OFFICE OF WORK PROGRAM AND BUDGET

WORK PROGRAM BUDGET AND SYSTEMS SUPPORT

PRODUCTION MANAGEMENT

WORK PROGRAM DEVELOPMENT AND OPERATIONS

FEDERAL AID MANAGEMENT

BUDGET OFFICE

FINANCE, PROGRAM AND RESOURCE ALLOCATION

FINANCIAL MANAGEMENT AND STRATEGIC OPS

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7.9.18

| TRANSPORTATION, DEPARTMENT OF | | FISCAL YEAR 2017-18 | | | |
|---|--|---------------------|---------------|---------------------------------|----------------|
| SECTION I: BUDGET | | OPERATING | | FIXED CAPITAL OUTLAY | |
| TOTAL ALL FUNDS GENERAL APPROPRIATIONS ACT | | 759,812,035 | | 10,131,632,176 | |
| ADJUSTMENTS TO GENERAL APPROPRIATIONS ACT (Supplementals, Vetoes, Budget Amendments, etc.) | | 26,121,017 | | 1,408,055,636 | |
| FINAL BUDGET FOR AGENCY | | 785,933,052 | | 11,539,687,812 | |
| SECTION II: ACTIVITIES * MEASURES | | Number of Units | (1) Unit Cost | (2) Expenditures (Allocated) | (3) FCO |
| Executive Direction, Administrative Support and Information Technology (2) | | | | | 0 |
| Intrastate Highways * Intrastate highway lane miles contracted for highway capacity improvements. | | 230 | 0.00 | | 3,026,215,603 |
| Arterial Highways * Arterial highway lane miles contracted for highway capacity improvements. | | 8 | 0.00 | | 146,517,832 |
| Resurface Roads * Number of lane miles contracted for resurfacing. | | 2,057 | 0.00 | | 550,435,683 |
| Repair And Replace Bridges * Number of bridges contracted for repair or replacement. | | 90 | 0.00 | | 283,231,935 |
| Preliminary Engineering * Number of projects with preliminary engineering provided. | | 999 | 141,205.30 | 141,064,094 | 855,491,992 |
| Materials Testing And Research * Number of projects with materials and research provided. | | 56 | 699,624.96 | 39,178,998 | 14,852,359 |
| Construction Engineering Inspection * Number of projects with construction engineering inspection provided. | | 358 | 236,503.99 | 84,668,430 | 418,569,994 |
| Planning * Number of projects with planning provided. | | 335 | 78,296.53 | 26,229,336 | 88,549,593 |
| Right Of Way Land * Number of Right-of-Way parcels acquired. | | 1,255 | 0.00 | | 353,677,397 |
| Right Of Way Support * Number of projects with right of way support provided. | | 910 | 33,312.57 | 30,314,443 | 53,536,035 |
| Aviation * Number of aviation projects. | | 232 | 0.00 | | 224,292,261 |
| Transit * Number of public transit passenger trips provided. | | 230,816,254 | 0.00 | | 286,497,091 |
| Transportation Disadvantaged * Number of trips provided (Transportation Disadvantaged). | | 8,487,760 | 6.68 | 56,656,984 | |
| Rail * Number of rail projects. | | 124 | 0.00 | | 200,543,196 |
| Intermodal * Number of intermodal projects. | | 35 | 0.00 | | 100,183,238 |
| Seaports * Number of seaport projects. | | 33 | 0.00 | | 138,204,986 |
| Bridge Inspection * Number of bridge inspections conducted. | | 7,044 | 0.00 | | 14,983,164 |
| Routine Maintenance * | | 42,053 | 4,701.66 | 197,719,023 | 768,092,330 |
| Traffic Engineering * Number of projects with traffic engineering provided. | | 46 | 1,171,874.59 | 53,906,231 | 162,324,378 |
| Motor Carrier Compliance * Number of commercial vehicle weighing's performed. | | 23,867,901 | 0.59 | 13,964,815 | |
| TOTAL | | | | 643,702,354 | 7,686,199,067 |
| SECTION III: RECONCILIATION TO BUDGET | | | | | |
| PASS THROUGHS | | | | | |
| TRANSFER - STATE AGENCIES | | | | | |
| AID TO LOCAL GOVERNMENTS | | | | | |
| PAYMENT OF PENSIONS, BENEFITS AND CLAIMS | | | | | |
| OTHER | | | | 83,708,331 | 665,962,490 |
| REVERSIONS | | | | 31,628,425 | 3,187,526,255 |
| TOTAL BUDGET FOR AGENCY (Total Activities + Pass Throughs + Reversions) - Should equal Section I above. (4) | | | | 759,039,110 | 11,539,687,812 |

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.
- (5) Due to implementation of a new SunPass system the Toll Operations information is not available.

Footnotes to Schedule XI, Agency Level Unit Cost
Summary - October 2018 Submission

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

| Activity/Measure | Number of Units | Unit Cost | FY 2017/18 Expenditures | | |
|--|-----------------|---------------|-------------------------|---------------|---------------|
| | | | Allocated | FCO | Total |
| Exec Direction and Info Tech | | | | | |
| Intrastate Highways (Intrastate highways lane miles contracted for highway capacity improvements) | 230 | 13,157,459.14 | | 3,026,215,603 | 3,026,215,603 |
| Arterial Highways (Arterial highways lane miles contracted for highway capacity improvements) | 8 | 18,314,729.00 | | 146,517,832 | 146,517,832 |
| Resurface Roads (Number of lane miles contracted for resurfacing) | 2,057 | 267,591.48 | | 550,435,683 | 550,435,683 |
| Repair and Replace Bridges (Number of bridges contracted for repair or replacement) | 90 | 3,147,021.50 | | 283,231,935 | 283,231,935 |
| Preliminary Engineering (Number of projects with preliminary engineering provided) | 999 | 997,553.64 | 141,064,094 | 855,491,992 | 996,556,086 |
| Material Testing and Research (Number of projects with materials and testing provided) | 56 | 964,845.66 | 39,178,998 | 14,852,359 | 54,031,357 |
| Construction Engineering Inspection (Number of projects with Construction Engr provided) | 358 | 1,405,693.92 | 84,668,430 | 418,569,994 | 503,238,424 |
| Planning (Number of projects with planning provided) | 335 | 342,623.67 | 26,229,336 | 88,549,593 | 114,778,929 |
| Right of Way Land (Number of Right-of-Way parcels acquired) | 1,255 | 281,814.66 | | 353,677,397 | 353,677,397 |

Footnotes to Schedule XI, Agency Level Unit Cost
Summary - October 2018 Submission

| Activity/Measure | Number of Units | Unit Cost | FY 2017/18 Expenditures | | |
|--|-----------------|--------------|-------------------------|----------------------|----------------------|
| | | | Allocated | FCO | Total |
| Right of Way Support (Number of projects with right-of-way support provided) | 910 | 92,143.38 | 30,314,443 | 53,536,035 | 83,850,478 |
| Aviation (Number of aviation projects) | 232 | 966,776.99 | | 224,292,261 | 224,292,261 |
| Transit (Number of public transit passenger trips provided) | 230,816,254 | 1.24 | | 286,497,091 | 286,497,091 |
| Transportation Disadvantaged [Number of trips provided (transportation disadvantaged)] | 8,487,760 | 6.68 | 56,656,984 | | 56,656,984 |
| Rail (Number of rail projects) | 124 | 1,617,283.84 | | 200,543,196 | 200,543,196 |
| Intermodal (Number of intermodal projects) | 35 | 2,862,378.23 | | 100,183,238 | 100,183,238 |
| Seaports (Number of Seaport projects) | 33 | 4,188,029.88 | | 138,204,986 | 138,204,986 |
| Public Transportation Operations (Number of projects in public transportation operations) | | See Note 3 | | | 0 |
| Bridge Inspection (Number of bridges inspected) | 7,044 | 2,127.08 | | 14,983,164 | 14,983,164 |
| Routine Maintenance (Lane miles maintained on the State Highway System) | 42,053 | 22,966.53 | 197,719,023 | 768,092,330 | 965,811,353 |
| Traffic Engineering (Number of projects with traffic engineering provided) | 46 | 4,700,665.41 | 53,906,231 | 162,324,378 | 216,230,609 |
| Motor Carrier Compliance (Number of commercial vehicles weighed) | 23,867,901 | 0.59 | 13,964,815 | | 13,964,815 |
| Toll Operations (Number of toll transactions) | | See Note 4 | | | 0 |
| Total | | | 643,702,354 | 7,686,199,067 | 8,329,901,421 |

Footnotes to Schedule XI, Agency Level Unit Cost
Summary - October 2018 Submission

2. The expenditures exception of \$26,893,942 noted at the end of Section III relates to the Carry Forward budget for the Rail Enterprise and Turnpike budget entities and FL Job Growth Fund. It shows that Sections II and III (expenditures plus reversions) do not account for \$26,893,942 of budget that was available in 2017/18 as reflected in Section I. Rail Enterprise & Turnpike operating budget & the FL Job Growth Grant Fund category that was eligible to be retained as Carry Forward budget in 2018/19 is not reflected as either a reversion in Column G69 nor as an expenditure in Column A01. Therefore, it is not captured in either Section II or III totals. However, it is appropriate that this amount not be counted as a 2017/18 expenditure in Section II because this budget was neither disbursed nor committed at June 30, 2018.
3. The measure "Number of projects in public transportation operations" no longer adequately reflects the public transportation operations unit/cost performance. The FDOT is moving away from 'number of projects' and is moving towards 'revenue hours' as this unit of measure better reflects Florida's transit systems operations.
4. Due to implementation of a new SunPass system the Toll Operations information is not available.

Schedule XIV Variance from Long Range Financial Outlook

Agency: Department of Transportation

Contact: Mechelle Marcum

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

- 1) Does the long range financial outlook adopted by the Joint Legislative Budget Commission in September 2018 contain revenue or expenditure estimates related to your agency?

Yes No

- 2) If yes, please list the estimates for revenues and budget drivers that reflect an estimate for your agency for Fiscal Year 2019-2020 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 2019-2020 Estimate/Request Amount | |
|---|----------------------------------|------|--------------------------------------|----------------------------|
| | | | Long Range Financial Outlook | Legislative Budget Request |
| a | Work Program | Y | \$8.6 Billion | \$9.5 Billion |
| b | | | | |
| c | | | | |
| d | | | | |
| e | | | | |
| f | | | | |

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

The Department of Transportation develops a Work Program, which is the list of transportation projects planned for the following five years. It is supported by a balanced five-year finance plan and a three-year cash forecast of receipts and expenditures. Funding projections for each year are based on Revenue Estimating Conferences (REC) held throughout the year. The August 2018 REC revenues will be programmed into the Tentative Work Program and be used by the Governor and Legislature for consideration. The development cycle enables FDOT to incorporate policy changes and Revenue Estimating Conference adjustments so the preliminary plan can be timely and accurately submitted to the Governor and Legislature 14 days prior to convening of the regular Legislative Session. The final plan is submitted 14 days after the start of Session.

* R/B = Revenue or Budget Driver



**LEGISLATIVE
BUDGET REQUEST
2019-2020**

**Budget Entity Level
Exhibits and Schedules**

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

Budget Period: 2019 - 2020

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

| | Balance as of 6/30/2018 | SWFS* Adjustments | Adjusted Balance |
|---|----------------------------|----------------------|---------------------|
| Chief Financial Officer's (CFO) Cash Balance | 6,565,892 (A) | | 6,565,892 |
| ADD: Other Cash (See Instructions) | | | 0 |
| ADD: Investments | 64,607,950 (C) | | 64,607,950 |
| ADD: Outstanding Accounts Receivable | 102,698 (D) | | 102,698 |
| ADD: Anticipated revenues for future commitments | 74,896,672 (E) | | 74,896,672 |
| Total Cash plus Accounts Receivable | 146,173,212 (F) | 0 | 146,173,212 |
| LESS: Allowances for Uncollectibles | | | 0 |
| LESS: Approved "A" Certified Forwards | | | 0 |
| Approved "B" Certified Forwards | | | 0 |
| Approved "FCO" Certified Forwards | 146,137,255 (H) | | 146,137,255 |
| LESS: Other Accounts Payable (Nonoperating) | 35,957 (I) | | 35,957 |
| LESS: FCO not included on Sch I | | | 0 |
| Unreserved Fund Balance, 07/01/18 | 0 (K) | 0 | 0** |

Notes:

*SWFS = Statewide Financial Statement

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

RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC

Budget Period: 2019 - 2020

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

BEGINNING TRIAL BALANCE:

Total Fund Balance Per FLAIR Trial Balance, 07/01/18

Total all GLC's 5XXXX for governmental funds; 67,267,979 (A)
 GLC 539XX for **proprietary** and fiduciary funds

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

Add/Subtract Statewide Financial Statement (SWFS) Adjustments :

SWFS Adjustment # and Description (C)

SWFS Adjustment # and Description (C)

Add/Subtract Other Adjustment(s):

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

Approved "E" Carry Forward Total (FCO) per LAS/PBS (146,137,255) (D)

Anticipated revenues for future commitments 74,896,672 (D)

FCO - Account Payable 3,972,605 (D)

(D)

ADJUSTED BEGINNING TRIAL BALANCE: 0 (E)

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

DIFFERENCE: 0 (G)*

***SHOULD EQUAL ZERO.**

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

| | |
|-----------------------------|-----------------------------------|
| Department Title: | Budget Period: 2019 - 2020 |
| Trust Fund Title: | Department of Transportation |
| Budget Entity: | Turnpike General Reserve TF |
| LAS/PBS Fund Number: | 2326 |

| | Balance as of 6/30/2018 | SWFS* Adjustments | Adjusted Balance |
|---|----------------------------|----------------------|----------------------|
| Chief Financial Officer's (CFO) Cash Balance | 3,066,408 (A) | | 3,066,408 |
| ADD: Other Cash (See Instructions) | 2,699,620 (B) | 222,464 | 2,922,084 |
| ADD: Investments | 764,818,733 (C) | | 764,818,733 |
| ADD: Outstanding Accounts Receivable | 79,953,498 (D) | | 79,953,498 |
| ADD: Anticipated revenues for future commitments | 277,473,251 (E) | | 277,473,251 |
| Total Cash plus Accounts Receivable | 1,128,011,510 (F) | 222,464 | 1,128,233,974 |
| LESS: Allowances for Uncollectibles | (G) | | 0 |
| LESS: Approved "A" Certified Forwards | (H) | | 0 |
| LESS: Approved "B" Certified Forwards | (H) | | 0 |
| LESS: Approved "FCO" Certified Forwards | 1,091,604,457 (H) | | 1,091,604,457 |
| LESS: Other Accounts Payable (Nonoperating) | 30,938,581 (I) | | 30,938,581 |
| LESS: Unearned Revenue | 5,690,937 (J) | | 5,690,937 |
| LESS: _____ | (J) | | 0 |
| Unreserved Fund Balance, 07/01/18 | (222,464) (K) | 222,464 | 0 ** |

Notes:

*SWFS = Statewide Financial Statement

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

RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC

Budget Period: 2019 - 2020
Department Title: Department of Transportation
Trust Fund Title: Turnpike General Reserve TF
LAS/PBS Fund Number: 2326

BEGINNING TRIAL BALANCE:

| | |
|--|---------------------|
| Total Fund Balance Per FLAIR Trial Balance, 07/01/18 | |
| Total all GLC's 5XXXX for governmental funds; | 9,101,789,372 (A) |
| GLC 539XX for proprietary and fiduciary funds | |
| Subtract Nonspendable Fund Balance (GLC 56XXX) | (B) |
| Add/Subtract Statewide Financial Statement (SWFS) Adjustments : | |
| SWFS Adjustment # B5500003 | 222,464 (C) |
| SWFS Adjustment # | (C) |
| SWFS Adjustment # | (C) |
| Add/Subtract Other Adjustment(s): | |
| Approved "B" Carry Forward (Encumbrances) per LAS/PBS | (D) |
| Approved "E" Carry Forward Total (FCO) per LAS/PBS | (1,091,604,457) (D) |
| A/P not C/F-FCO | 58,687,281 (D) |
| Long-Term Receivables | (333,440,171) (D) |
| Allowance for Uncollectibles - Long Term | 1,294,946 (D) |
| Supply Inventory | (5,926,705) (D) |
| Goods Purchased for Resale | (1,523,603) (D) |
| Prepays | (208) (D) |
| Non-Spendable Investments | (1,833,845) (D) |
| Current Bonds Payable | 141,130,000 (D) |
| Deferred Inflows on Service Concession Arrangements | 148,382,197 (D) |
| Long-Term Unearned Revenue | 351,472 (D) |
| Long-Term Payables from Restricted Assets | 27,681,871 (D) |
| Long-Term Bonds Payable | 2,433,370,485 (D) |
| Fixed Assets GLC 26xxx | (7,913,004,980) (D) |
| Fixed Assets GLC 27xxx | (2,834,245,808) (D) |
| Fixed Assets GLC 28xxx | (8,803,560) (D) |
| Anticipated revenues for future commitments | 277,473,251 (D) |
| Other Restricted | (D) |
| ADJUSTED BEGINNING TRIAL BALANCE: | 0 (E) |
| UNRESERVED FUND BALANCE, SCHEDULE IC (Line K) | 0 (F) |
| DIFFERENCE: | 0 (G)* |

***SHOULD EQUAL ZERO.**

SCHEDULE 1A: DETAIL OF FEES AND RELATED PROGRAM COSTS

Department: TRANSPORTATION **Budget Period: 2019 - 20**
Program: OUTDOOR ADVERTISING
Fund: 2540

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

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

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

| <u>SECTION I - FEE COLLECTION</u> | <u>ACTUAL</u> | <u>ESTIMATED</u> | <u>REQUEST</u> |
|---|-----------------------|-----------------------|-----------------------|
| | <u>FY 2017 - 18</u> | <u>FY 2018 - 19</u> | <u>FY 2019 - 20</u> |
| <u>Receipts:</u> | | | |
| Permit Renewals/New Tags | \$1,258,349.75 | \$1,215,000.00 | \$1,204,000.00 |
| Licenses | \$176,700.00 | \$175,000.00 | \$174,877.89 |
| Reinstatements/Delinquent Fees | \$21,197.20 | \$18,000.00 | \$15,000.00 |
| Other Receipts | \$106,000.56 | \$96,452.45 | \$1,900.00 |
| Total Fee Collection to Line (A) - Section III | \$1,562,247.51 | \$1,504,452.45 | \$1,395,777.89 |

| <u>SECTION II - FULL COSTS</u> | | | |
|---|-----------------------|-----------------------|-----------------------|
| <u>Direct Costs:</u> | | | |
| Salaries and Benefits | \$450,578.43 | \$460,000.00 | \$465,000.00 |
| Other Personal Services | | | |
| Expenses | \$1,017,066.63 | \$1,083,995.12 | \$1,090,095.12 |
| Operating Capital Outlay | | | |
| Deficiency Recapture | \$0.00 | \$0.00 | \$39,542.67 |
| Indirect Costs Charged to Trust Fund | | | |
| Total Full Costs to Line (B) - Section III | \$1,467,645.06 | \$1,543,995.12 | \$1,594,637.79 |

Basis Used: _____

| <u>SECTION III - SUMMARY</u> | | | |
|--------------------------------|------------|--------------------|----------------------|
| TOTAL SECTION I | (A) | \$1,562,247.51 | \$1,504,452.45 |
| TOTAL SECTION II | (B) | \$1,467,645.06 | \$1,543,995.12 |
| TOTAL - Surplus/Deficit | (C) | \$94,602.45 | (\$39,542.67) |

EXPLANATION of LINE C:

Any excess or deficiency is carried forward in setting permit fee amounts for the subsequent biennial fee period.

If there is a deficit, permit fees will be increased to cover the deficit and ensure ongoing expenses are met.

Permit fee amounts are set in Rule 14-10.0043, Florida Administrative Code. The rule implements the authority in Section 479.07(3)(c), Florida Statutes.

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

| | |
|-----------------------------|-----------------------------------|
| Department Title: | Budget Period: 2019 - 2020 |
| Trust Fund Title: | Department of Transportation |
| Budget Entity: | State Transportation Trust Fund |
| LAS/PBS Fund Number: | 2540 |

| | Balance as of 6/30/2018 | SWFS* Adjustments | Adjusted Balance |
|---|----------------------------|----------------------|-----------------------|
| Chief Financial Officer's (CFO) Cash Balance | 39,665,324 (A) | | 39,665,324 |
| ADD: Other Cash (See Instructions) | 65,053 (B) | | 65,053 |
| ADD: Investments | 423,138,905 (C) | | 423,138,905 |
| ADD: Outstanding Accounts Receivable | 720,560,547 (D) | 982,334 | 721,542,881 |
| ADD: Estimated cash forecast for FCO projects | 10,406,769,839 (E) | | 10,406,769,839 |
| Total Cash plus Accounts Receivable | 11,590,199,668 (F) | 982,334 | 11,591,182,002 |
| LESS: Allowances for Uncollectibles | 2,474,317 (G) | | 2,474,317 |
| LESS: Approved "A" Certified Forwards | 18,682,468 (H) | | 18,682,468 |
| LESS: Approved "B" Certified Forwards | 20,026,001 (H) | | 20,026,001 |
| LESS: Approved "FCO" Certified Forwards | 11,001,011,534 (H) | | 11,001,011,534 |
| LESS: Other Accounts Payable (Nonoperating) | 11,255,437 (I) | 46,048 | 11,301,485 |
| LESS: Unearned Revenue | 434,500,115 (J) | | 434,500,115 |
| LESS: Deferred Inflows - Current Portion | 103,186,083 (J) | | 103,186,083 |
| Unreserved Fund Balance, 07/01/18 | (936,286) (K) | 936,286 | 0** |

Notes:

*SWFS = Statewide Financial Statement

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

RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC

| | |
|-----------------------------|---------------------------------|
| Budget Period: | 2019 - 2020 |
| Department Title: | Department of Transportation |
| Trust Fund Title: | State Transportation Trust Fund |
| LAS/PBS Fund Number: | 2540 |

BEGINNING TRIAL BALANCE:

| | |
|--|----------------------|
| Total Fund Balance Per FLAIR Trial Balance, 07/01/18 | |
| Total all GLC's 5XXXX for governmental funds; | 1,699,100,720 (A) |
| GLC 539XX for proprietary and fiduciary funds | |
| Subtract Nonspendable Fund Balance (GLC 56XXX) | (7,099,358) (B) |
| Add/Subtract Statewide Financial Statement (SWFS) Adjustments : | |
| SWFS Adjustment # B5500002 | 936,286 (C) |
| SWFS Adjustment # | (C) |
| SWFS Adjustment # | (C) |
| Add/Subtract Other Adjustment(s): | |
| Approved "B" Carry Forward (Encumbrances) per LAS/PBS | (20,026,001) (D) |
| Approved "E" Carry Forward Total (FCO) per LAS/PBS | (11,001,011,534) (D) |
| A/P not C/F-Operating Categories | 18,046,947 (D) |
| FCO not C/F | 443,357,196 (D) |
| Compensated Absences | 3,043,875 (D) |
| Deferred Outflows | (51,061,352) (D) |
| Advances and Receivables- L/T | (740,283,366) (D) |
| Allowance for Uncollectibles - L/T | 8,135,727 (D) |
| Nonstate & Cu Investments with Stat | (1,153,752,229) (D) |
| Deferred Inflows | 393,843,251 (D) |
| Estimated Cash Forecast for FCO Projects | 10,406,769,839 (D) |
| ADJUSTED BEGINNING TRIAL BALANCE: | 0 (E) |
| UNRESERVED FUND BALANCE, SCHEDULE IC (Line K) | 0 (F) |
| DIFFERENCE: | 0 (G)* |

*SHOULD EQUAL ZERO.

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

| | |
|-----------------------------|---|
| Department Title: | Budget Period: 2019 - 2020 |
| Trust Fund Title: | Department of Transportation |
| Budget Entity: | Right of Way Acquisition/Bridge Construction TF |
| LAS/PBS Fund Number: | 2586 |

| | Balance as of 6/30/2018 | SWFS* Adjustments | Adjusted Balance |
|---|----------------------------|----------------------|---------------------|
| Chief Financial Officer's (CFO) Cash Balance | 2,118,857 (A) | | 2,118,857 |
| ADD: Other Cash (See Instructions) | 1,978 (B) | | 1,978 |
| ADD: Investments | 110,045,027 (C) | | 110,045,027 |
| ADD: Outstanding Accounts Receivable | 165,782 (D) | | 165,782 |
| ADD: Anticipated revenues for future commitments | 67,333,900 (E) | | 67,333,900 |
| Total Cash plus Accounts Receivable | 179,665,545 (F) | 0 | 179,665,545 |
| LESS: Allowances for Uncollectibles | | | 0 |
| LESS: Approved "A" Certified Forwards | | | 0 |
| LESS: Approved "B" Certified Forwards | | | 0 |
| LESS: Approved "FCO" Certified Forwards | 114,815,591 (H) | | 114,815,591 |
| LESS: Other Accounts Payable (Nonoperating) | 64,849,953 (I) | | 64,849,953 |
| LESS: | | | 0 |
| Unreserved Fund Balance, 07/01/18 | 0 (K) | 0 | 0 ** |

Notes:

*SWFS = Statewide Financial Statement

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

RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC

Budget Period: 2019 - 2020

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

BEGINNING TRIAL BALANCE:

Total Fund Balance Per FLAIR Trial Balance, 07/01/18
 Total all GLC's 5XXXX for governmental funds; 39,545,057 (A)
 GLC 539XX for proprietary and fiduciary funds

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

Add/Subtract Statewide Financial Statement (SWFS)Adjustments :

SWFS Adjustment # (C)

SWFS Adjustment # (C)

SWFS Adjustment # (C)

Add/Subtract Other Adjustment(s):

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

Approved "E" Carry Forward Total (FCO) per LAS/PBS (114,815,591) (D)

A/P not C/F-FCO Categories 7,936,634 (D)

Anticipated revenues for future commitments 67,333,900 (D)

(D)

(D)

ADJUSTED BEGINNING TRIAL BALANCE: (0) (E)

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

DIFFERENCE: (0) (G)*

***SHOULD EQUAL ZERO.**

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

| | |
|-----------------------------|-----------------------------------|
| Department Title: | Budget Period: 2019 - 2020 |
| Trust Fund Title: | Department of Transportation |
| Budget Entity: | Transportation Disadvantaged TF |
| LAS/PBS Fund Number: | 2731 |

| | Balance as of 6/30/2018 | | SWFS* Adjustments | | Adjusted Balance |
|---|----------------------------|-----|----------------------|--|----------------------|
| Chief Financial Officer's (CFO) Cash Balance | 1,316,696 | (A) | | | 1,316,696 |
| ADD: Other Cash (See Instructions) | | (B) | | | 0 |
| ADD: Investments | 27,861,649 | (C) | | | 27,861,649 |
| ADD: Outstanding Accounts Receivable | 785,867 | (D) | | | 785,867 |
| ADD: | | (E) | | | 0 |
| Total Cash plus Accounts Receivable | 29,964,212 | (F) | 0 | | 29,964,212 |
| LESS: Allowances for Uncollectibles | | (G) | | | 0 |
| LESS: Approved "A" Certified Forwards | 37,884 | (H) | | | 37,884 |
| Approved "B" Certified Forwards | 15,730,737 | (H) | | | 15,730,737 |
| Approved "FCO" Certified Forwards | | (H) | | | 0 |
| LESS: Other Accounts Payable (Nonoperating) | 3,216 | (I) | | | 3,216 |
| LESS: | | (J) | | | 0 |
| Unreserved Fund Balance, 07/01/18 | 14,192,374 | (K) | 0 | | 14,192,374 ** |

Notes:

*SWFS = Statewide Financial Statement

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

RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC

Budget Period: 2019 - 2020

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

BEGINNING TRIAL BALANCE:

Total Fund Balance Per FLAIR Trial Balance, 07/01/18

Total all GLC's 5XXXX for governmental funds; 22,330,875 (A)
 GLC 539XX for proprietary and fiduciary funds

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

Add/Subtract Statewide Financial Statement (SWFS) Adjustments :

SWFS Adjustment (C)

SWFS Adjustment (C)

Add/Subtract Other Adjustment(s):

Approved "B" Carry Forward (Encumbrances) per LAS/PBS (15,730,737) (D)

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

A/P not C/F-Operating Categories 7,596,595 (D)

CF - Operating Category paid out of CY Funds (4,359) (D)

ADJUSTED BEGINNING TRIAL BALANCE: 14,192,374 (E)

UNRESERVED FUND BALANCE, SCHEDULE IC (Line K) 14,192,374 (F)

DIFFERENCE: (0) (G)*

***SHOULD EQUAL ZERO.**

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

For Fiscal Year 2019-20



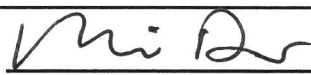
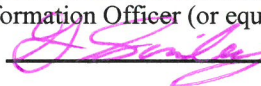

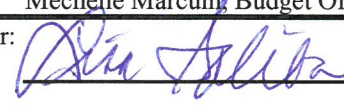

October 19, 2018

FLORIDA DEPARTMENT OF TRANSPORTATION

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I. Schedule IV-B Cover Sheet

| Schedule IV-B Cover Sheet and Agency Project Approval | |
|---|--|
| Agency: Department of Transportation | Schedule IV-B Submission Date: September 14, 2018 |
| Project Name: Work Program Integration Initiative (WPII) | Is this project included in the Agency's LRPP? Yes |
| FY 2019-20 LBR Issue Code: 36233C0 | FY 2019-20 LBR Issue Title: Transportation Work Program Integration Initiative (WPII) |
| Agency Contact for Schedule IV-B (Name, Phone #, and E-mail address): Lisa Saliba, (850) 414-4649, Lisa.Saliba@dot.state.fl.us | |
| AGENCY APPROVAL SIGNATURES | |
| I am submitting the attached Schedule IV-B in support of our legislative budget request. I have reviewed the estimated costs and benefits documented in the Schedule IV-B and believe the proposed solution can be delivered within the estimated time for the estimated costs to achieve the described benefits. I agree with the information in the attached Schedule IV-B. | |
| Agency Head:  | Date: 3 OCT 18 |
| Printed Name: Michael Dew, Secretary of Transportation | |
| Agency Chief Information Officer (or equivalent):  | Date: 10/3/18 |
| Printed Name: Greg Smiley, Chief Information Officer | |
| Budget Officer:  | Date: 10-3-18 |
| Printed Name: Mechelle Marcum, Budget Officer | |
| Planning Officer:  | Date: 10/3/18 |
| Printed Name: Lisa Saliba, Director of the Office of Work Program and Budget | |
| Project Sponsor:  | Date: 10-3-18 |
| Printed Name: April Blackburn, Interim Assistant Secretary, Finance and Administration | |
| Schedule IV-B Preparers (Name, Phone #, and E-mail address): | |
| Business Need: | Lisa Saliba, (850) 414-4649, Lisa.Saliba@dot.state.fl.us |
| Cost Benefit Analysis: | Greg Patterson, (850) 414-4637, Greg.Patterson@dot.state.fl.us |
| Risk Analysis: | Tom McCullion, (850) 445-9065, Tom.McCullion@dot.state.fl.us |
| Technology Planning: | Brian Toppel, (850) 410-5566, Brian.Toppel@dot.state.fl.us |
| Project Planning: | Tom McCullion, (850) 445-9065, Tom.McCullion@dot.state.fl.us |

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

A. Background and Strategic Needs Assessment

1. Business Need

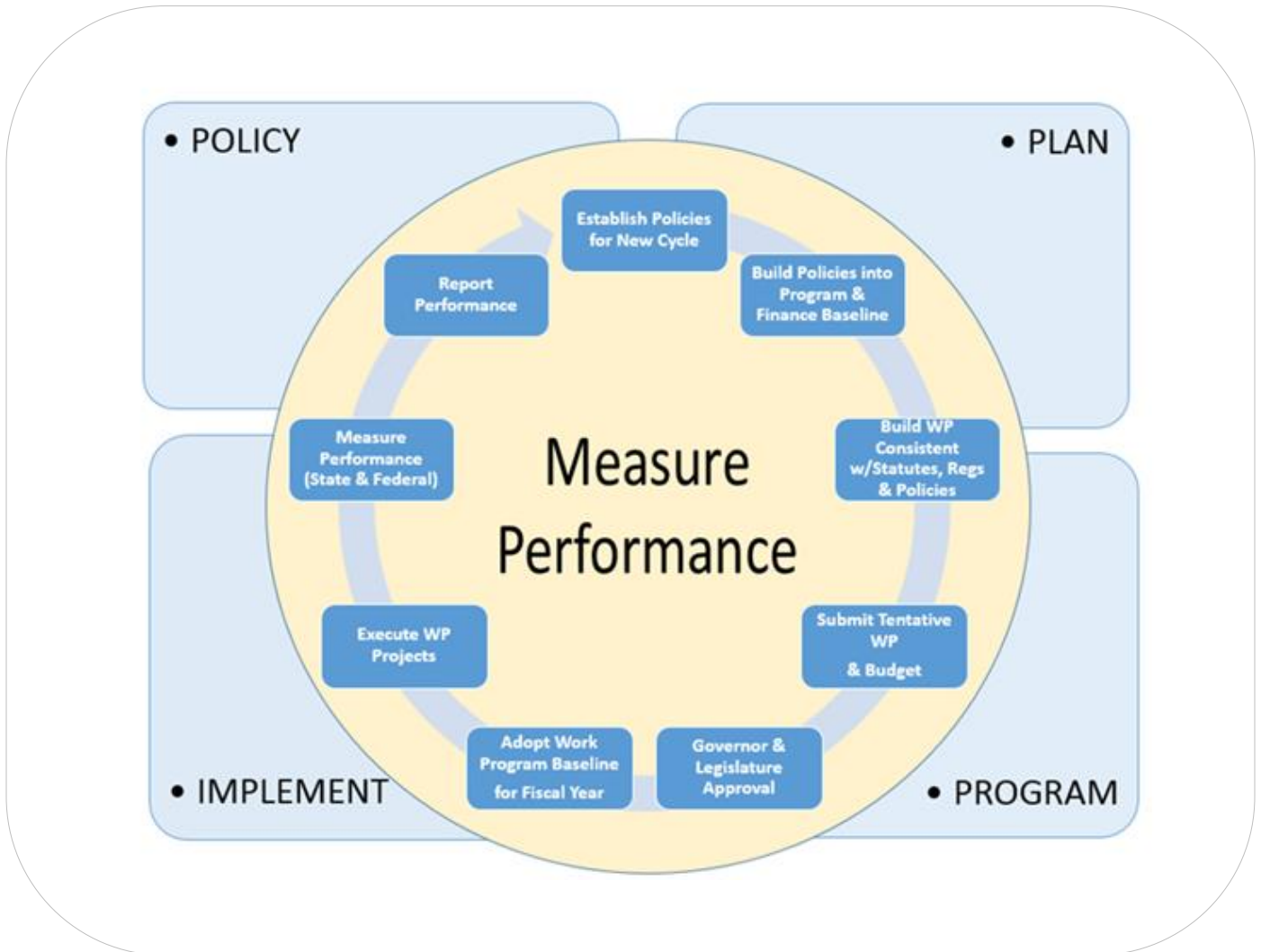
The Florida Department of Transportation (FDOT) manages in excess of 11,000 active contracts, with over \$12 billion in current commitments and \$50 billion in future commitments, and monitors transportation systems and infrastructure performance for critical information inputs into planning activities. These activities are spread across the broad spectrum of transportation modes including: roads, bridges, airports, seaports, rail systems, spaceports, bus transit, and bicycle and pedestrian facilities. Not only does FDOT contribute to Florida's economy through infrastructure investments, it also contributes to the traveling public's quality of life and supports the movement of commercial goods and services.

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

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

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

Exhibit 1: Work Program Lifecycle

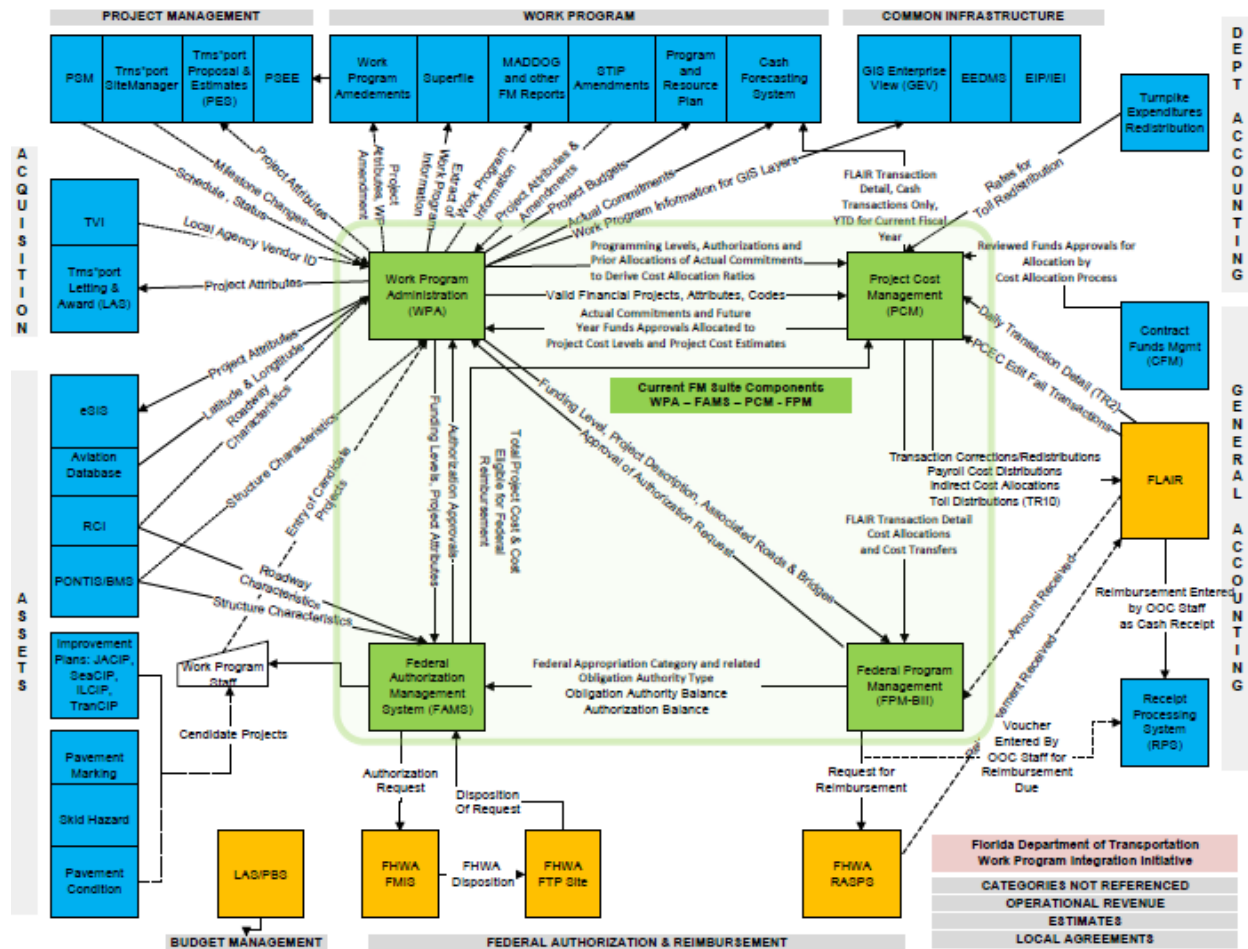


The WPA system is one of four major systems used to support transportation projects and their financial lifecycle. The other primary systems are the Federal Authorization Management System (FAMS), the Federal Program Management (FPM) system and the Project Cost Management system (PCM). These support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

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

Given its enterprise role, the FM suite of systems must be capable of supporting thousands of users, must be able to substantiate fiscal accountability and guarantee fiscal integrity, and be able to validate performance against established measures. It must also be flexible enough to interface with internal and external partner systems. The graphic below depicts (some but not all) of the major software applications that support the FDOT business processes. The four centered applications labeled “Current FM Suite Components,” are the core applications of the Transportation Finance Lifecycle (TFLC). This Suite interfaces with internal FDOT applications and applications external to the department. The external applications include connectivity to the Department of Financial Services (DFS) and the Federal Highway Administration (FHWA). The combination of these applications encompasses a great part of the FDOT software platform.

Exhibit 2: Current Business Process Map and Applications Architecture



The operating environment is increasingly more complex, difficult to maintain and riddled with potential points of failure. To address risks and mitigate potential failures, FDOT staff analyzed and identified challenges which could disrupt systems and compromise ongoing operations. Immediate action was imperative as replacement of such a complex set of systems would take several years. Discounting the situation and waiting for the brittle architecture to break compromises existing commitments as well as the public trust placed in FDOT.

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

- Discrete Systems Needing Integration
 Various applications manage duplicative data and require manual intervention to reconcile and convert the data into strategic decision-making information. Aggregating and correlating data across systems is time consuming, introduces additional risk of error and is dependent upon a few expert staff. This heightens the risk of information inaccuracy and prevents timely data retrieval.

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

- Externally Mandated Changes

Systems have been modified over the years due to changes to or the implementation of new state statutes, federal regulations and mandates. These changes have triggered changes to business rules and processes, systems and/or system interfaces. Maintaining consistent business rules across these systems is difficult at best and creates the opportunity for missing, conflicting and inaccurate data.

 - New business processes create new lines of code. The existing programming logic does not clearly identify the business rules being implemented.
 - Lack of system documentation exists across the enterprise, creating failures in system updates and maintenance. This increases risks associated with succession planning and training due to near-term retirement of long-term subject matter experts.
 - Redundant processes and 'work-arounds' create inefficiencies by requiring additional reconciliation steps. These steps create increased data storage costs and data retrieval response times.
 - System architectures have evolved over time rather than being intentionally designed and implemented.
- Institutional Knowledge

As the primary system code is uncommon, there are few experts in the market able to make immediate contributions in the operating environment. Thus, processes and systems development projects rely on staff with long-term institutional knowledge to support daily break-fix requests, bridge gaps and manage work-around processes. This approach is not sustainable and exposes the department to risks which must be addressed to avoid triggering a financial crisis similar to the one of the late 1980s. Additionally, FDOT processes and supporting computer systems are not conducive for training the next generation of FDOT staff.
- Access to Information

The absence of consistent, predictable and repeatable information is preventing FDOT from acting as an integrated whole and sharing information across its enterprise. Because the various operating units within FDOT do not know what information is available in other units or how it is stored, it is not shared in the most effective manner.

WPPII is in its fifth year of project development. The Fiscal Year 2019-20 budget request is needed to continue configuration of the enterprise resource planning application, continued staff augmentation to support functional areas, continued refinement of the project Return on Investment (ROI) calculations, support project management and change management, and continuing the organizational change management strategy in support of this effort.

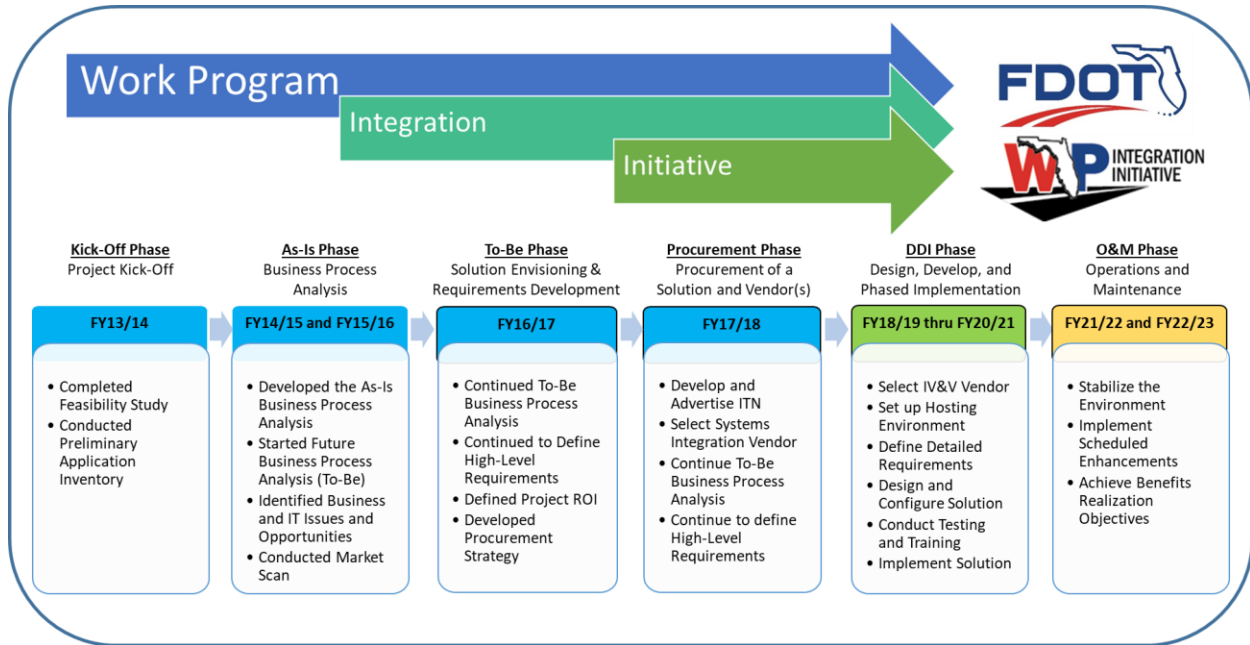
2. Business Objectives

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

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

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

Exhibit 3: Funded WP II Phases



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

B. Baseline Analysis

1. Current Business Processes

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

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

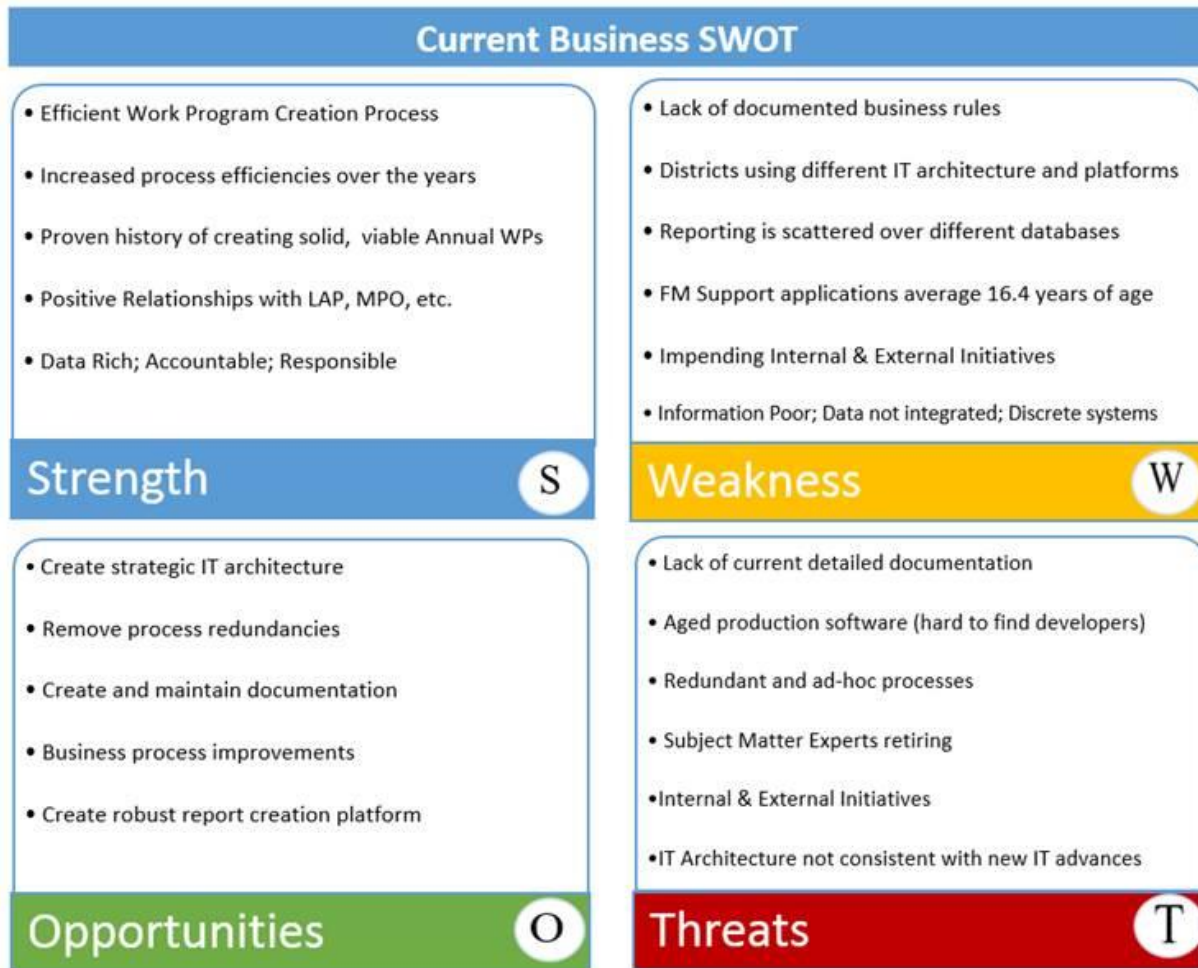
SCHEDULE IV-B FOR THE WORK PROGRAM INTEGRATION INITIATIVE (WPII)

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

- LBR
 - Adopted projects
 - Letting Plan
 - Budget Allocations
 - Adopted Finance Plan and Adopted Cash Forecast
 - Project Work Plans
 - Authorized Financial Projects
 - Approved Federal Authorization Requests
 - Local Funds Deposits
 - Advertised Contracts
 - Memo Encumbrances
 - Approve Project Funding
 - Contract funds approvals
 - Project encumbrances
 - Work Program amendments
 - Contract modifications
 - Contract funds approvals
 - Reviewed and approved invoices
 - Cost allocations
 - Funding reimbursement requests
 - Monthly Cash Forecast
 - Closing packages
- Measure - The department measures product, finances, performance and conformity with policies and goals across the Work Program Lifecycle. Lessons learned are used to improve future operations and programs. Sub-processes include:
 - Performance Monitoring
 - Performance Reporting
 - Inputs to measurement include:
 - Data from active projects
 - Data from funds and program management
 - Outputs of measurement include:
 - Florida Transportation Commission (FTC) assessment
 - Monthly Performance Report
 - Work Program reviews and results
 - Quality Assurance Review results
 - Audit Findings
 - Finance Plan and Cash Forecast variance analysis
 - Cash Management Improvement Act (CMIA) submission
 - Schedule of Expenditures for Federal Awards details

FDOT analyzed and documented the current business and technology environments' strengths, weaknesses, opportunities and threats (SWOT – Exhibit 4). The results are captured in this graphic below.

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



2. Assumptions and Constraints

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

Assumptions

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

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

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

- Legislative Appropriation Systems/Planning Budgeting Subsystem (LAS/PBS), the state’s budgeting and appropriation subsystem, will continue to be used for developing, preparing, analyzing and evaluating agency budget requests
- The department will continue to maintain the interface to LAS/PBS for the Work Program plan of projects in addition to Legislative Budget Request submittals

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

- The department must continue to interact with Financial Management Information System (FMIS 5.0), the Federal Highway Administration's (FHWA) major financial information system for tracking Federal-Aid projects, to manage the obligation of federal funds to specific projects and to submit periodic billings to FHWA for the reimbursement of expended federal funds
- FDOT will continue to update its supporting applications to provide geospatial information, improvement types and other new project attributes as required by FHWA

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

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

Constraints

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

As the department continues to refine business processes and seek technological solutions in response to customer driven needs resources may be dedicated to other strategic initiatives

C. Proposed Business Process Requirements

1. Proposed Business Process Requirements

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

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

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

2. Business Solution Alternatives

FDOT has considered the following business solution alternatives:

- Maintain existing systems and processes – maintaining the status quo presents the greatest risk to ongoing operations. Given the risks (i.e., loss of staff with institutional knowledge, aging systems demanding increasing support costs, adjusting business to changing laws and statutes and discrete or disconnected business solutions requiring extensive interfaces and manual interventions) this is not a viable solution.

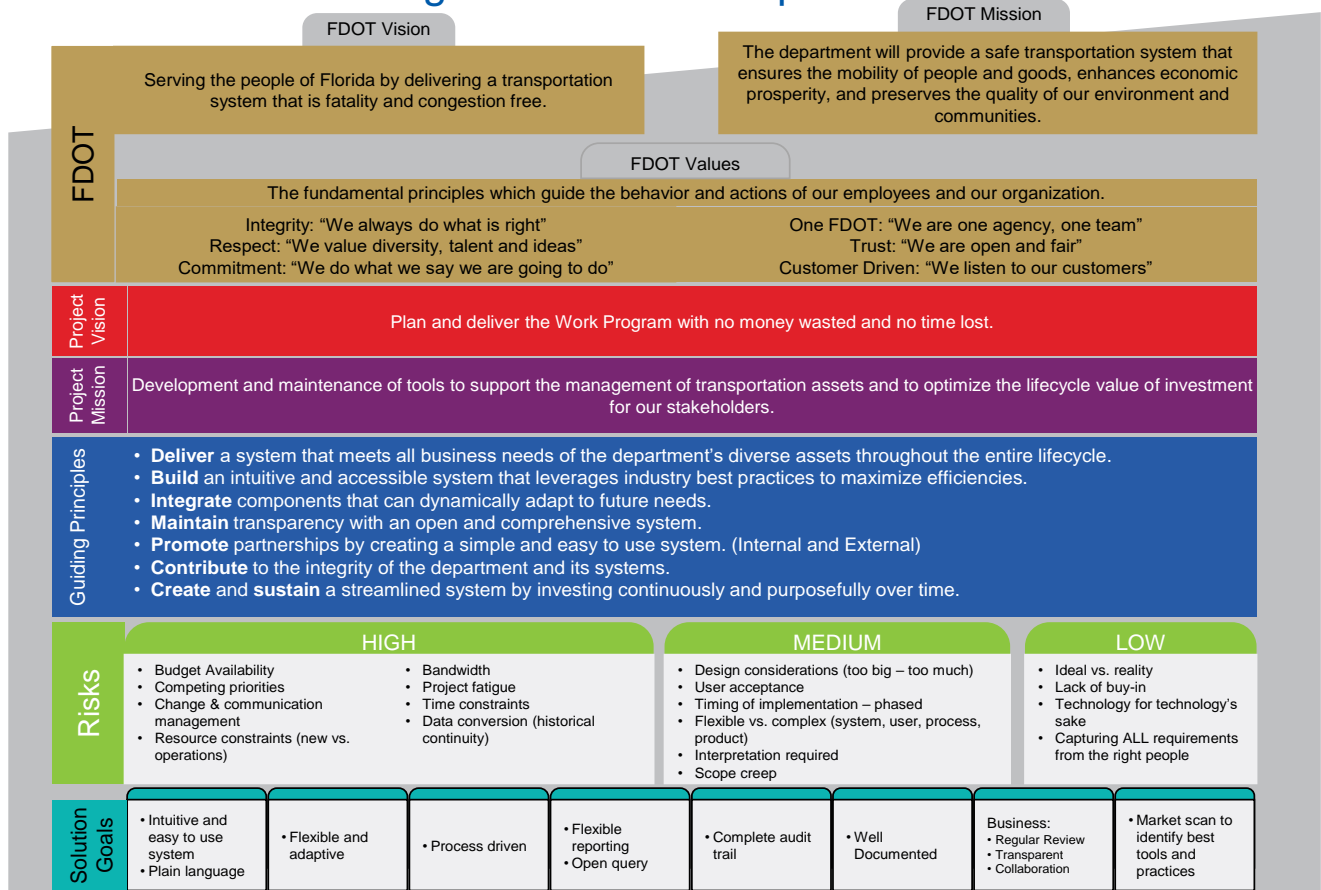
- Incremental business process and system changes – segmenting the project by business function continues the risk of replicating discrete or disconnected business solutions and systems. FDOT initiated a proof of concept of this approach in the Federal Reimbursements areas. Each level of the business processes were evaluated and documented resulting in clear and significant ROI. However, the parallel stream of approach demanded full-time attention of the same staff resources. FDOT determined proceeding with the incremental approach placed greater risk on each of the parallel efforts.
- Full business process and system changes – the current project activities focus on integration of work flows which will result in improved business reporting and reconciliation, elimination of manual work processes, data integration and/or sharing, improved business intelligence and provide the best overall support of FDOT’s financial functions. This bullet refers to the options proposed in the Proposed Technical Solution (VI C.1).

3. Rationale for Selection

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

Exhibit 5: WPII Strategic Articulation Map

FDOT – WPII Strategic Articulation Map



4. Recommended Business Solution

In FY 2017-18 during the To-Be Phase of the Project, the department decided that nothing less than a full business process reengineering effort and a replacement of its core underlying systems was required to meet its business objectives. This decision was based on the Market Scan conducted during the As-Is Phase and documented in the WPII FY 2017-18 Schedule IV-B that noted several of the DOTs which have reengineered their Work Program areas selected a Commercial Off The Shelf (COTS or package) solution. The cost for those efforts ranged widely from \$8 million to \$100 million but do not have a consistent basis for comparison of those costs. For FY 2018-19 planning and budgetary purposes, the department used the bid from the successful vendor from the procurement as well as bid from other vendors that will participate in the project. The project cost, schedule, and ROI will be revalidated at each phase (e.g. Define Detailed Requirements and Design) of the project plan.

The Department has selected a COTS Enterprise Resource Planning solution from CGI Technologies and Solutions Inc. Through the detailed and disciplined Invitation To Negotiate process, the Department has determined this is the best solution proposed from the original six proposals that were submitted.

5. Approach to the Functional Solution

Innovative Approach

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

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

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

Dedicated Team

For WPPII, FDOT strategically invested in a dedicated team of leading practitioners from the Office of Work Program and Budget (OWPB) and the Office of Comptroller (OOC). This team assessed the current process environment, and it will design the Department's future business processes and ensure the successful modernization of the supporting FM solution capabilities. The dedicated team represents a comprehensive cross-section of departmental business functions at both the Central Office and the districts. Their shared insights and focus enable the project to produce high-value outputs in an accelerated timeframe. The team's collective knowledge with respect to the WPPII scope is immense, and moreover, the members' passion and vision for positioning the Department for long term success is clearly evident.

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

A Focus on Business Needs over Detailed Requirements

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

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

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

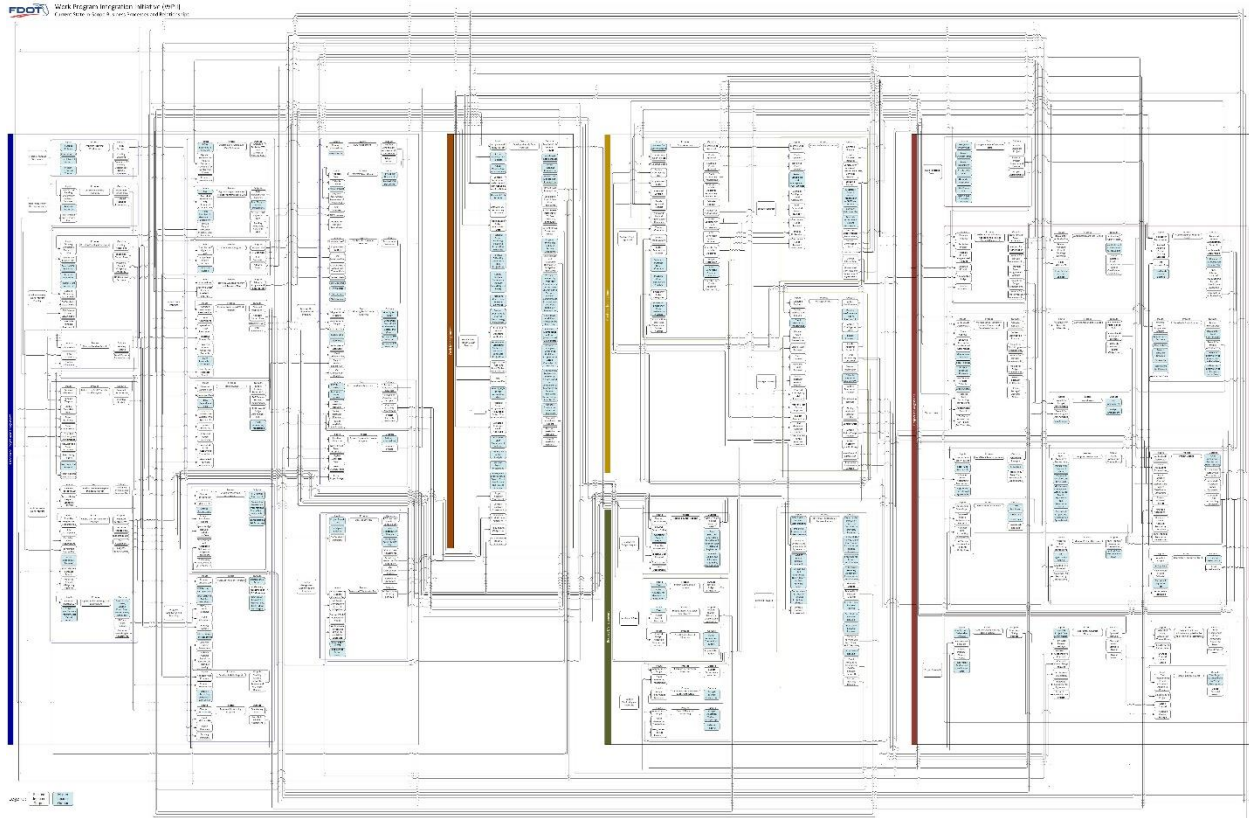
Stakeholder and Vendor Engagement

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

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

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

Exhibit 6: Current Business Process Map and Applications Architecture



D. Functional and Technical Requirements

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

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

III. Success Criteria

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

| SUCCESS CRITERIA TABLE I – NEW SYSTEM | | | | |
|---------------------------------------|--|--|---|--------------------------|
| # | Description of Criteria | How will the Criteria be measured/assessed? | Who benefits? | Realization Date (MM/YY) |
| 1 | Work Program Policy Development and Implementation | Tested and approved functionality. | FDOT Leadership | July 2021 |
| 2 | Transportation Project Initiation and Prioritization | Completion of project work breakdown structure and data definitions; Business rule definitions linking project characteristics to revenue use eligibility; Preliminary list of candidate projects to be considered during the development of the tentative work program. | Constituents and visitors to Florida | December 2021 |
| 3 | Tentative Capital Plan of Projects Development | Rules and data structures configured in the solution prove compliance with revenue use eligibility, funding policies, statutory compliance, and budget appropriations. | FDOT Leadership | November 2021 |
| 4 | Tentative Work Program Financing | Compliance with 206.46(2), F.S., 338.241, F.S., 339.135(3)(a), F.S., 339.135(3)(b), 339.135(4)(b)4., F.S., F.S., 339.135(6)(b), F.S., Cash flow projections based on resource-loaded project schedules and historical spend patterns. | Citizens and Visitors of the State of Florida | December 2021 |
| 5 | Capital Plan of Projects Oversight | Tested and approved functionality. | FDOT Leadership and Citizens and Visitors of the State of Florida | February 2022 |
| 6 | Legislative Budget Request Submittal | Compliance with 339.135(2)(a), F.S.; Adherence to the LBR instructions. | FDOT Leadership | April 2022 |
| 7 | Fiscal Year End Transition | Adherence to 2 CFR Part 200; Tested and approved functionality. | FDOT Leadership | August 2022 |
| 8 | Certification Forward and Carry Forward Budget Request | Compliance with 216.301(1)(b), F.S.; 216.301(2)(a), F.S.; 338.2216(3)(b), F.S.; 339.135(6)(c), F.S.; 341.303(6)(b), F.S. | Citizens and Visitors of the State of Florida | August 2022 |

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

| SUCCESS CRITERIA TABLE I – NEW SYSTEM | | | | |
|---------------------------------------|--|---|---|--------------------------|
| # | Description of Criteria | How will the Criteria be measured/assessed? | Who benefits? | Realization Date (MM/YY) |
| 9 | Roll Forward Budget Amendment | Compliance with 339.135(6)(c), F.S. | Citizens and Visitors of the State of Florida | July 2022 |
| 10 | Capital Plan of Projects Adoption | Adherence to 339.135, F.S.; Compliance with allocations, funding policies, legislation and appropriations. | FDOT Leadership | June 2022 |
| 11 | Adopted Work Program Financing | Compliance with 206.46(2), F.S., 338.241, F.S., 339.135(3)(a), F.S., 339.135(6)(b), F.S., Cash flow projections based on resource-loaded project schedules and historical spend patterns. | Citizens and Visitors of the State of Florida | June 2022 |
| 12 | Capital Plan of Projects Budget Oversight | Compliance with the GAA; Assignment of budget responsibility to cost centers; Assignment of budget authority at the financial project level; Successful interface of budgeting transactions to the statewide accounting system, Adherence to 339.135, F.S.; Compliance with Work Program Instructions, funding policies. | Citizens and Visitors of the State of Florida | June 2023 |
| 13 | Contract Impact Oversight | Adherence to 2 CFR Part 200, Section 215.985, F.S., 215.97 F.S., 215.971 F.S., Chapter 287, F.S., Chapter 337, F.S.; Establishment, modification and ongoing management of agreements; Oversight and reporting of locally funded agreements; System can provide data and measures to demonstrate compliance with established department performance indicators. | Citizens and Visitors of the State of Florida | June 2023 |
| 14 | Funds Approval | Compliance with Section 215.985, F.S.; Section 339.135(6)(a), F.S. | FDOT Leadership | June 2023 |
| 15 | Project Scope, Schedule, and Estimate Management | Tested and approved functionality. | Citizens and Visitors of the State of Florida | June 2023 |

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| SUCCESS CRITERIA TABLE I – NEW SYSTEM | | | | |
|---------------------------------------|---------------------------|---|---|--------------------------|
| # | Description of Criteria | How will the Criteria be measured/assessed? | Who benefits? | Realization Date (MM/YY) |
| 16 | Project Accounting | Data validation for encumbrances, approved invoices and all other disbursement transitions; Internal control validations; Successful interface of accounting transactions to the statewide accounting system; Completion of an accounting transaction allocation process for department projects to reflect the generation and uses of revenue and the consumption of budget at the financial project level (prior to the interface to the statewide accounting system). | FDOT Leadership and Citizens and Visitors of the State of Florida | June 2023 |
| 17 | Cash Flow Management | The solution provides the accurate data necessary to confirm the Department has on hand, at month end, cash sufficient to meet outstanding obligations (currently the cash balance working minimum is within the range of \$200 million to \$300 million); Cash flow projections based on resource-loaded project schedules and historical spend patterns. | Citizens and Visitors of the State of Florida | June 2023 |
| 18 | Federal Program Oversight | Multiyear projections of federal apportionments; Development of actual and projected federal obligation authority plans; Successful acknowledgment and approval of federal authorization requests; Consumption of the entire federal appropriation by September 30th of each federal fiscal year; Successful transmission of billings and receipts of cash reimbursement; Compliance with the Cash Management Improvement Act (CMIA) requirements; Status notifications of outstanding billings; Review of mandated federal project tier analysis; Adherence to 2 CFR Part 200; Adherence to Federal Funding Accountability and Transparency Act (FFATA) reporting requirements; FHWA business processes and systems certification. | Citizens and Visitors of the State of Florida | June 2023 |

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| SUCCESS CRITERIA TABLE I – NEW SYSTEM | | | | |
|---------------------------------------|--|---|---|--------------------------|
| # | Description of Criteria | How will the Criteria be measured/assessed? | Who benefits? | Realization Date (MM/YY) |
| 19 | Revenue Uses Management and Monitoring | Tested and approved functionality. | Citizens and Visitors of the State of Florida | June 2023 |
| 20 | Work Program Plan Measurement and Monitoring | Performance reporting to FTC, monthly performance reporting, annual performance reporting, legislative reporting, EOG oversight reporting have approved and tested functionality. | Florida Transportation Commission and FDOT Leadership | June 2023 |

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

A. Benefits Realization Table

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

| BENEFITS REALIZATION TABLE | | | | | |
|----------------------------|---|--------------------------------------|---|--|--------------------------|
| # | Description of Benefit | Who receives the benefit? | How is benefit realized? | How is the realization of the benefit measured? | Realization Date (MM/YY) |
| 1 | Work Program Policy Development and Implementation: Improved timeliness of delivery and improved scope of impact analysis of proposed policy changes. | FDOT Leadership | Policy implementation will be traceable throughout delivery of the Work Program. This will allow for increased policy impact analysis to inform decisions by FDOT Leadership and elected leaders. | Administrative hours to produce baseline revenue allocations and targets will be measured. Also, new business capabilities for scenario and impact analysis will be introduced which are not possible in the current environment. The capabilities will assist leadership decisions to maximize the infrastructure for available revenues. | July 2021 |
| 2 | Transportation Project Initiation and Prioritization – Increased prioritization and allocation optimization scenarios | Constituents and visitors to Florida | By providing prioritization tools not currently available and reducing the time required to determine impacts of different scenarios in the Capital Plan of Projects, FDOT can optimize amount of infrastructure and services for available revenues. | Measurement will be taken to determine administrative hours spent developing the Tentative Work Program. The hours saved will be deployed into scenario analysis (using new prioritization tools). This will allow for optimization analysis not possible in the current environment. | December 2021 |
| 3 | Reduced administrative | FDOT | Administrative hours | Sample | November, |

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

| BENEFITS REALIZATION TABLE | | | | | |
|----------------------------|---|---|--|--|---------------|
| | hours to develop Tentative Capital Plan of Projects | Leadership | spent processing data manually will be repurposed into scenario development and impact analysis that is not currently possible within the staffing and tool constraints of the current environment. | measurements of the staff and consultant hours spent developing the Tentative Capital Plan of Projects will be taken and extrapolated to the population of participants involved in the activity. | 2021 |
| 4 | Tentative Work Program Financing Optimization | Citizens and Visitors of the State of Florida | By optimizing the financing cost of the Capital Plan of Projects, we can increase the amount of Infrastructure and Services delivered with the available revenue sources to the department. | Analysis of the average amount of infrastructure delivered per dollar of revenue, normalized for inflation, will be assessed before deployment of the Initiative and after. This will be measured in 5-year intervals. | December 2021 |
| 5 | Reduced Administrative Hours for Capital Plan of Projects Oversight | FDOT Leadership and Citizens and Visitors of the State of Florida | Administrative hours spent processing data manually will be repurposed into impact analysis that is not currently possible within the staffing and tool constraints of the current environment. Reduce the time needed to reply to requests for information and report the information consistently. | Sample measurements of the staff and consultant hours spent with Capital Plan of Projects oversight activities and with responses to information requests will be taken and extrapolated to the population of participants involved in the activity. | February 2022 |
| 6 | Streamlined Legislative Budget Request Submittal | FDOT Leadership | Administrative hours spent processing data manually to prepare the department's legislative budget request and performing reconciliation | Sample measurements of the staff and consultant hours spent preparing and reviewing the department's legislative budget | April 2022 |

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| BENEFITS REALIZATION TABLE | | | | | |
|----------------------------|---|---|---|--|-------------|
| | | | activities for data from multiple sources will be repurposed into impact analysis that is not currently possible within the staffing and tool constraints of the current environment. | request will be taken and extrapolated to the population of participants involved in the activity. | |
| 7 | Reduced Administrative Hours for Fiscal Year End Transition | FDOT Leadership | Administrative hours spent processing data manually and performing reconciliation activities for data from multiple sources will be repurposed into impact analysis that is not currently possible within the staffing and tool constraints of the current environment. | Sample measurements of the staff and consultant hours spent closing a state fiscal year and preparing for the upcoming state fiscal year will be taken and extrapolated to the population of participants involved in the activity. | August 2022 |
| 8 | Certification Forward and Carry Forward Budget Request Optimization | Citizens and Visitors of the State of Florida | By optimizing the uses of budgetary appropriations for the Capital Plan of Projects, we can increase the amount of Infrastructure and Services delivered with budget available to the department. | Analysis of the average amount of infrastructure delivered per dollar of budgetary appropriation, normalized for inflation, will be assessed before deployment of the Initiative and after. This will be measured in 5-year intervals. | August 2022 |
| 9 | Roll Forward Budget Amendment Optimization | Citizens and Visitors of the State of Florida | By optimizing the uses of budgetary appropriations for the Capital Plan of Projects, we can increase the amount of Infrastructure and Services delivered with budget available to the department. Budget requested in excess of identified | Analysis of the average amount of infrastructure delivered per dollar of budgetary appropriation, normalized for inflation, will be assessed before deployment of the Initiative and after. This will be | July 2022 |

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| BENEFITS REALIZATION TABLE | | | | | |
|----------------------------|--|---|---|---|-----------|
| | | | projects will be reduced. | measured in 5-year intervals. Additionally, analysis of budget reverted versus rolled forward will confirm budget optimization. | |
| 10 | Reduced Administrative Hours for Capital Plan of Projects Adoption | FDOT Leadership | Administrative hours spent processing data manually will be reduced, allowing an earlier start to developing the Tentative Work Program. This will allow optimizing the Work Program on years where we have an accelerated Legislative cycle. | Sample measurements of the staff and consultant hours spent adopting the Capital Plan of Projects will be taken and extrapolated to the population of participants involved in the activity. | June 2022 |
| 11 | Adopted Work Program Financing Optimization | Citizens and Visitors of the State of Florida | By optimizing the financing cost of the Capital Plan of Projects, we can increase the amount of Infrastructure and Services delivered with the available revenue sources to the department. | Analysis of the average amount of infrastructure delivered per dollar of revenue, normalized for inflation, will be assessed before deployment of the Initiative and after. This will be measured in 5-year intervals. | June 2022 |
| 12 | Reduced Administrative Hours for Capital Plan of Projects Budget Oversight | Citizens and Visitors of the State of Florida | By optimizing the uses of budgetary appropriations for the Capital Plan of Projects, we can increase the amount of Infrastructure and Services delivered with budget available to the department. | Analysis of the average amount of infrastructure delivered per dollar of budgetary appropriation, normalized for inflation, will be assessed before deployment of the Initiative and after. This will be measured in 5-year | June 2023 |

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| BENEFITS REALIZATION TABLE | | | | | |
|----------------------------|---|---|---|--|-----------|
| | | | | intervals. | |
| 13 | Reduced Administrative Hours for Contract Impact Oversight | Citizens and Visitors of the State of Florida | By optimizing the revenue sources and budget available for contractual agreements within the Capital Plan of Projects, we can increase the amount of Infrastructure and Services delivered with the revenue sources and budgetary appropriations available to the department. | Analysis of the average amount of infrastructure delivered per dollar of revenue and budgetary appropriation, normalized for inflation, will be assessed before deployment of the Initiative and after. This will be measured in 5-year intervals. | June 2023 |
| 14 | Funds Approval: optimization of revenue source and budget consumption and improved data access capabilities | FDOT Leadership | Consumption of revenue sources and budget will be traceable throughout delivery of the Work Program. This will allow immediate reporting for project and contract details with revenue source, budget information and contract details to constituents. | Sample measurements of the staff hours spent managing the funds approval function for the department's Capital Plan of Projects will be taken and extrapolated to the population of participants involved in the activity. | June 2023 |
| 15 | Project Scope, Schedule, and Estimate Management: optimization of revenue source and budget consumption with improved integration of data sources | Citizens and Visitors of the State of Florida | By modernizing and integrating the department management systems, the department will reduce the number of data validation steps required to develop and maintain the projects in the Work Program. This will allow project managers and financial staff to focus on improving quality of data used in regional planning efforts to ongoing projects. | Sample measurements of the staff and consultant hours spent managing the financial impact of projects within the Capital Plan of Projects will be taken and extrapolated to the population of participants involved in the activity. | June 2023 |

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

| BENEFITS REALIZATION TABLE | | | | | |
|----------------------------|---|---|---|--|-----------|
| 16 | Improved Integration of Data Sources for Project Accounting and Improved Data Access Capabilities | FDOT Leadership and Citizens and Visitors of the State of Florida | With the use of an integrated system, we will increase our ability to access data for relevant decisions making, more efficiently develop return on investment analyses for transportation projects and increase the timeliness of core activities to allow for reimbursements from funding partners. | Sample measurements of the staff and consultant hours spent developing project level analyses, reimbursement requests and supporting performance reports will be taken and extrapolated to the population of participants involved in the activity. | June 2023 |
| 17 | Cash Flow Management Optimization | Citizens and Visitors of the State of Florida | By optimizing the cash flow for the delivery of the Capital Plan of Projects, we can increase the amount of Infrastructure and Services delivered with the financial resources available to the department. | Analysis of the average amount of infrastructure delivered per dollar of financing resources available to the department, normalized for inflation, will be assessed before deployment of the Initiative and after. This will be measured in 5-year intervals. | June 2023 |
| 18 | Reduced Administrative Hours for Federal Program Oversight and Optimization of Federal Apportionments | Citizens and Visitors of the State of Florida | By optimizing the uses of federal apportionments and grant awards for the Capital Plan of Projects, we can increase the speed of delivery and amount of Infrastructure and Services delivered because of contributions from the department's funding partners. | Analysis of the average amount of infrastructure delivered per dollar of federal apportionment or grant award, normalized for inflation, will be assessed before deployment of the Initiative and after. This will be measured in 5-year intervals. Analysis can also measure days to | June 2023 |

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

| BENEFITS REALIZATION TABLE | | | | | |
|----------------------------|---|---|--|---|-----------|
| | | | | deliver a federally-funded project from concept to completion. | |
| 19 | Reduced Administrative Hours for Revenue Uses Management and Monitoring | Citizens and Visitors of the State of Florida | By optimizing the uses of revenue sources for the Capital Plan of Projects, we can increase the amount of Infrastructure and Services delivered with the revenue appropriated to the department. | Analysis of the average amount of infrastructure delivered per dollar of revenue, normalized for inflation, will be assessed before deployment of the Initiative and after. This will be measured in 5-year intervals. | June 2023 |
| 20 | Reduced Administrative Hours for Work Program Plan Measurement and Monitoring and Identification of new Measures to Reduce Time to Deliver Transportation Projects. | Florida Transportation Commission and FDOT Leadership | Administrative hours spent processing data manually will be repurposed into new forms of analysis for the results of the Work Program not currently possible within the staffing and tool constraints of the current environment. New measurements will allow department to pinpoint places in the delivery pipeline that require attention to optimize speed to delivery. | Sample measurements of the staff and consultant hours spent developing the monthly and annual performance reports will be taken and extrapolated to the population of participants involved in the activity. Measures to improve pipeline delivery can be confirmed by checking the days to take a project from concept to completion. | June 2023 |

B. Cost Benefit Analysis (CBA)

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

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

V. Schedule IV-B Major Project Risk Assessment

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

Note that the risk assessment represents a snapshot of the project’s risk portfolio as of the date of the Schedule IV-B submission. Several items are contributing to the “High” rating as this is a fairly complex initiative for FDOT. However, each area marked as a “High” risk all have strong mitigation efforts underway. For example, while the project has a High Technology exposure, this has been mitigated via an innovative Operations & Maintenance agreement with the vendor. FDOT also has strong requirement and benefits realization goals incorporated into the contract.

Exhibit 7: WPPI Project Risk Assessment Summary

| | | |
|--|---|----------------------|
| Project | <i>Work Program Integration Initiative (WPPI)</i> | |
| Agency | <i>Department of Transportation</i> | |
| FY 2019-20 LBR Issue Code: | FY 2019-20 LBR Issue Title: | |
| <i>36233C0</i> | <i>Work Program Integration Initiative</i> | |
| Risk Assessment Contact Info (Name, Phone #, and E-mail Address): | | |
| <i>Tom McCullion - 850-445-9065 - Tom.McCullion@dot.state.fl.us</i> | | |
| Executive Sponsor | <i>April Blackburn</i> | |
| Project Manager | <i>Tom McCullion</i> | |
| Prepared By | <i>Tom McCullion</i> | <i>9/14/2018</i> |
| Risk Assessment Summary | | |
| Business Strategy | | |
| | Level of Project Risk | |
| Project Risk Area Breakdown | | |
| Risk Assessment Areas | | Risk Exposure |
| Strategic Assessment | | MEDIUM |
| Technology Exposure Assessment | | HIGH |
| Organizational Change Management Assessment | | HIGH |
| Communication Assessment | | LOW |
| 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

A. Current Information Technology Environment

1. Current System

a. Description of Current System

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

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

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

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

6) **Existing System or Process Documentation:** The availability of system documentation is varied among the systems. The systems within the FM suite have an average age of 17.4 years. If system documentation is not available, staff often rely on experts within their office for information whom have been working with the system(s) for a long period of time. Many of the staff with the technical knowledge are within retirement age or are no longer with the department. Often the knowledge possessed by these subject matter experts has not been properly recorded to ensure continuity of operations should there be a change in staffing.

The WPPII project team created detailed documentation of all future state (or To-Be) business processes involved in the transportation finance lifecycle. The documentation includes extensive information on the inputs, outputs, participants, and text description of processes as well as visual diagrams of each process. Opportunities for improvement were documented including the perceived benefits and constraints for each opportunity. During the FY15/16, the WPPII project team decided to focus efforts on FHWA Billings and Reimbursements, an area within the transportation finance lifecycle. This decision was made because this area is a centralized function, had many known pain points, and could be used to develop a basis of estimation for ROI. Detailed As-Is and To-Be documentation were created, and potential ROI inputs identified.

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

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

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The systems with the largest number of interfaces include:

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

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

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

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

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

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

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

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

b. Current System Resource Requirements

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

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

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

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

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

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

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

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

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

c. Current System Performance

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

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

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

2. Information Technology Standards

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

B. Current Hardware and/or Software Inventory

Current Hardware

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

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

Current Software

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

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

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

Examples of these systems include:

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

C. Proposed Technical Solution

1. Technical Solution Alternatives

The FDOT Technical Resource Committee moved forward two vendors into negotiations:

- Accenture which proposed Oracle's PeopleSoft Enterprise Resource Planning, Oracle's Hyperion Budgeting/Forecasting, and Aurigo's Masterworks Planning COTS packages to be hosted in three separate environments
- CGI Technologies and Solutions Inc.'s Advantage Enterprise Resource Planning COTS package to be hosted on Microsoft's Azure cloud environment

2. Rationale for Selection

The Negotiation Team's recommendation and Selection Committee's selection were based upon four main factors: Technical Approach, Capabilities, Prior Relevant Experience, and Price which provided the best overall value to FDOT.

3. Recommended Technical Solution

FDOT has selected CGI Technologies and Solutions Inc.'s Advantage Enterprise Resource Planning COTS package to be hosted on Microsoft's Azure cloud environment.

D. Proposed Solution Description

1. Summary Description of Proposed System

CGI's Advantage Enterprise Resource Planning product is a monolithic solution utilizing a single data environment eliminating the risk of data synchronization errors. The product requires limited customization to meet the stated requirements of FDOT. The solution is housed in a single hosting environment (Microsoft Azure) with clear, single tier pricing proposed.

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

Funding requirements can be found in Appendix A: Cost Benefit Analysis.

E. Capacity Planning

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

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

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

The following sections highlight some of the historical capacity trends.

1. Manage Service Units and Soft Capping

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

The exhibits below detail how the four-hour average has been distributed, over 6,183 prime intervals from 08:00AM to 4:59PM from 01/01/2014 to 08/25/2016. The data shows that there is a probability of being capped of only 5.56 percent. This percentage should actually be slightly less because capping should not begin at 61, but rather just above that. If the cap were raised to 65, the probability would drop to 1.64 percent. The higher the soft cap, the less of the probability that the capping effect. If the cap is removed entirely, the probability drops to zero.

Exhibit 8: Distribution of Prime Time 4-Hour Averages³

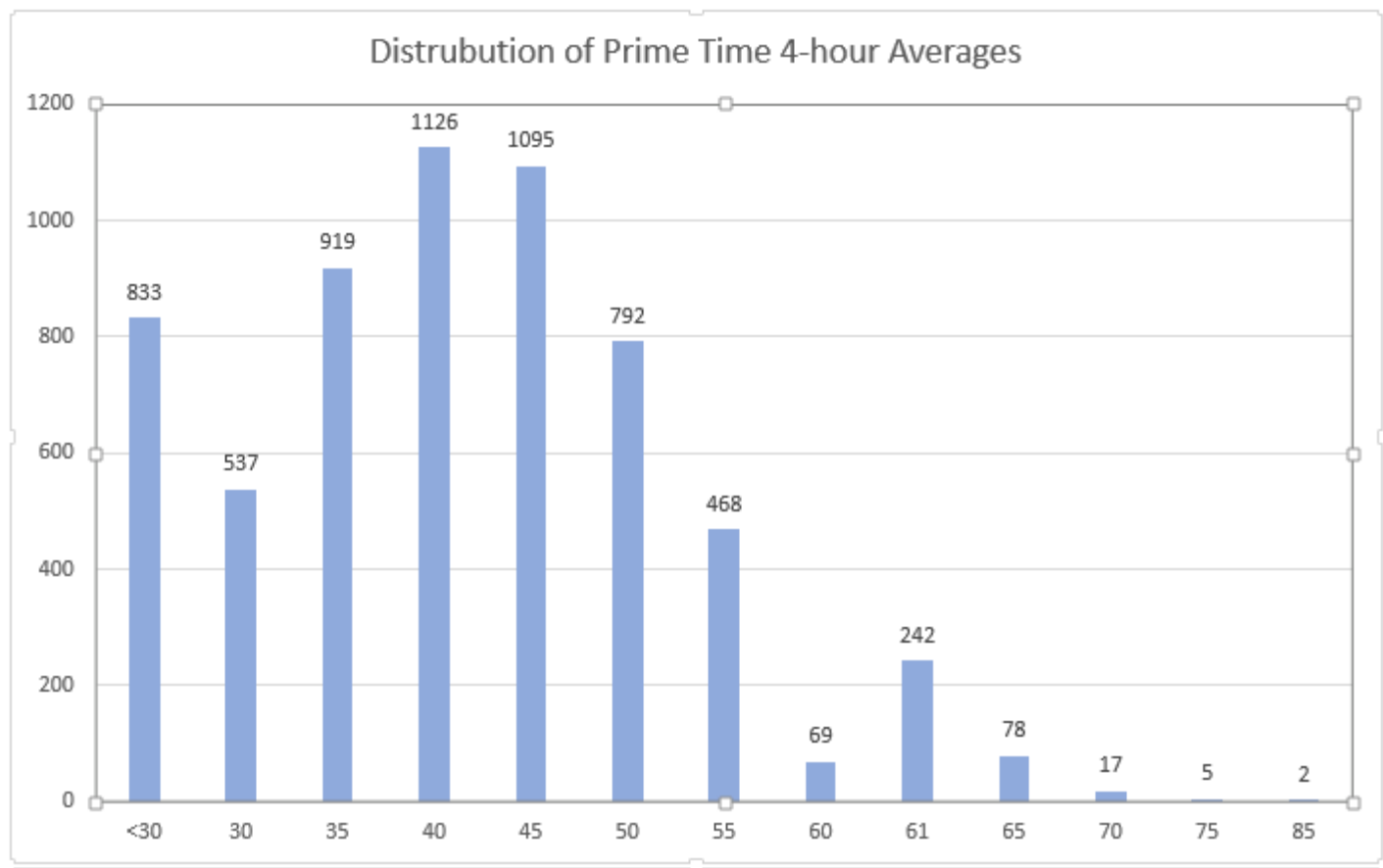
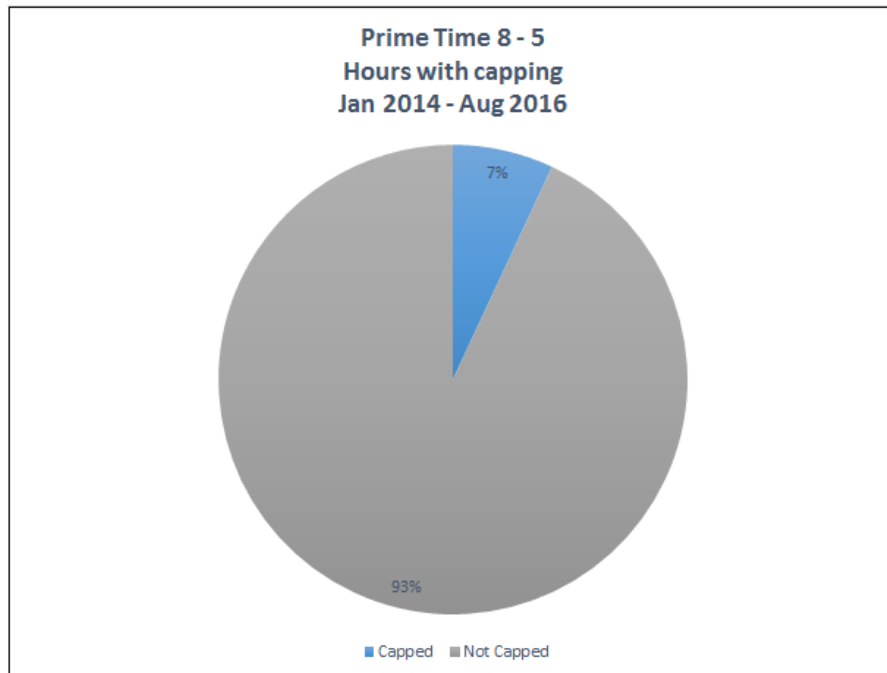


Exhibit 9 below shows that DOT has experienced capping in only seven percent (7%) of prime-time hours over the last two and a half (2.5) years.

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

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



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

2. Database Storage Requirements

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

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

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

VII. Schedule IV-B Project Management Planning

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

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

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

VIII. Appendices

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

Appendix A: Cost Benefit Analysis

Appendix B: Risk Assessment

Appendix C: Glossary of Terms

CBAForm 1 - Net Tangible Benefits

| | | | |
|--------|--------------------------------------|---------|--|
| Agency | Florida Department of Transportation | Project | Work Program Integration Initiative (WPII) |
|--------|--------------------------------------|---------|--|

| Net Tangible Benefits - Operational Cost Changes (Costs of Current Operations versus Proposed Operations as a Result of the Project) and Additional Tangible Benefits -- CBAForm 1A | | | | | | | | | | | | | | | |
|---|-------------------------------|--------------------------------|--|-------------------------------|--------------------------------|--|-------------------------------|--------------------------------|--|-------------------------------|--|--|-------------------------------|--------------------------------|--|
| Agency <i>(Recurring Costs Only -- No Project Costs)</i> | FY 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 | \$7,088,640 | \$0 | \$7,088,640 | \$7,088,640 | \$0 | \$7,088,640 | \$7,088,640 | \$1,300,040 | \$8,388,680 | \$7,088,640 | \$1,300,040 | \$8,388,680 | \$7,088,640 | \$1,300,040 | \$8,388,680 |
| A.b Total Staff | 120.00 | 0.00 | 120.00 | 120.00 | 0.00 | 120.00 | 120.00 | 22.00 | 142.00 | 120.00 | 22.00 | 142.00 | 120.00 | 22.00 | 142.00 |
| A-1.a. State FTEs (Salaries & Benefits) | \$7,088,640 | \$0 | \$7,088,640 | \$7,088,640 | \$0 | \$7,088,640 | \$7,088,640 | \$1,300,040 | \$8,388,680 | \$7,088,640 | \$1,300,040 | \$8,388,680 | \$7,088,640 | \$1,300,040 | \$8,388,680 |
| A-1.b. State FTEs (#) | 120.00 | 0.00 | 120.00 | 120.00 | 0.00 | 120.00 | 120.00 | 22.00 | 142.00 | 120.00 | 22.00 | 142.00 | 120.00 | 22.00 | 142.00 |
| A-2.a. OPS Staff (Salaries) | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| A-2.b. OPS (#) | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| A-3.a. Staff Augmentation (Contract Cost) | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| A-3.b. Staff Augmentation (# of Contractors) | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| B. Application Maintenance Costs | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| B-1. Managed Services (Staffing) | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| B-2. Hardware | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| B-3. Software | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| B-4. Other <i>Specify</i> | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| C. Data Center Provider Costs | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| C-1. Managed Services (Staffing) | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| C-2. Infrastructure | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| C-3. Network / Hosting Services | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| C-4. Disaster Recovery | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| C-5. Other <i>Specify</i> | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| D. Plant & Facility Costs | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| E. Other Costs | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| E-1. Training | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| E-2. Travel | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| E-3. Other <i>Specify</i> | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| Total of Recurring Operational Costs | \$7,088,640 | \$0 | \$7,088,640 | \$7,088,640 | \$0 | \$7,088,640 | \$7,088,640 | \$1,300,040 | \$8,388,680 | \$7,088,640 | \$1,300,040 | \$8,388,680 | \$7,088,640 | \$1,300,040 | \$8,388,680 |
| F. Additional Tangible Benefits: | | \$0 | | | \$105,000,000 | | | \$20,000,000 | | | \$340,000,000 | | | \$210,000,000 | |
| F-1. <i>Work Program Efficiencies</i> | | \$0 | | | \$0 | | | \$20,000,000 | | | \$160,000,000 | | | \$210,000,000 | |
| F-2. <i>Reduce Risk of Federal Funding Loss</i> | | \$0 | | | \$105,000,000 | | | \$0 | | | \$180,000,000 | | | \$0 | |
| F-3. <i>Specify</i> | | \$0 | | | \$0 | | | \$0 | | | \$0 | | | \$0 | |
| Total Net Tangible Benefits: | | \$0 | | | \$105,000,000 | | | \$18,699,960 | | | \$338,699,960 | | | \$208,699,960 | |

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

Florida Department of Transportation

Work Program Integration Initiative (WPII)

CBA Form 2A Baseline Project Budget

Costs entered into each row are mutually exclusive. Insert rows for detail and modify appropriation categories as necessary, but do not remove any of the provided project cost elements. Reference vendor quotes in the Item Description where applicable. Include only one-time project costs in this table. Include any recurring costs in CBA Form 1A.

| | | | FY2019-20 | | FY2020-21 | | FY2021-22 | | FY2022-23 | | FY2023-24 | | TOTAL | |
|---|--|------------------------|---|--------------------|--------------|--------------------|--------------|--------------------|------------|--------------------|-----------|------------------|----------------|----------------|
| | | | \$ 29,924,785 | \$ 27,036,369 | | \$ 27,378,709 | | \$ 28,822,389 | | \$ 12,929,462 | | \$ - | \$ 126,091,714 | |
| Item Description (remove guidelines and annotate entries here) | Project Cost Element | Appropriation Category | Current & Previous Years Project-Related Cost | YR 1 Base Budget | | YR 2 Base Budget | | YR 3 Base Budget | | YR 4 Base Budget | | YR 5 Base Budget | | TOTAL |
| | | | | YR 1 # | YR 1 LBR | YR 2 # | YR 2 LBR | YR 3 # | YR 3 LBR | YR 4 # | YR 4 LBR | YR 5 # | YR 5 LBR | |
| Costs for all state employees working on the project. | FTE | S&B | \$ 3,388,354 | \$ - | \$ 1,500,000 | \$ - | \$ 1,500,000 | \$ - | \$ 750,000 | \$ - | \$ - | \$ - | \$ - | \$ 7,138,354 |
| Costs for all staff augmentation working on the project paid from base budget. | Staff Augmentation (Indirect) | Contracted Services | \$ 536,986 | \$ - | \$ 100,000 | \$ - | \$ 100,000 | \$ - | \$ 100,000 | \$ - | \$ - | \$ - | \$ - | \$ 836,986 |
| Costs for all OPS employees working on the project. | OPS | OPS | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - |
| Other expenses paid from base budget. | Expenses | Expense | \$ 95,896 | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - | \$ 95,896 |
| Separate requirements analysis and feasibility study procurements. | Project Planning/Analysis | Contracted Services | \$ 310,369 | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - | \$ 310,369 |
| Staffing costs for personnel using Time & Expense. | Staff Augmentation (Operational and IT Staff Augmentation) | Contracted Services | \$ 2,637,998 | \$ 3,331,224 | \$ - | \$ 3,998,124 | \$ - | \$ 3,998,124 | \$ - | \$ 3,998,124 | \$ - | \$ - | \$ - | \$ 17,963,594 |
| Project management personnel and related deliverables. | Project Management (Project Management Office) | Contracted Services | \$ 1,681,278 | \$ 477,360 | \$ - | \$ 477,360 | \$ - | \$ 477,360 | \$ - | \$ 477,360 | \$ - | \$ - | \$ - | \$ 3,590,718 |
| Project oversight to include Independent Verification & Validation (IV&V) personnel and related deliverables. | Project Oversight (Independent Validation & Verification) | Contracted Services | \$ 737,685 | \$ 393,000 | \$ - | \$ 393,000 | \$ - | \$ 393,000 | \$ - | \$ - | \$ - | \$ - | \$ - | \$ 1,916,685 |
| Staffing costs for all professional services not included in other categories. | Consultants/Contractors (Organizational Change Management) | Contracted Services | \$ 2,095,760 | \$ 1,871,904 | \$ - | \$ 1,286,416 | \$ - | \$ 1,286,416 | \$ - | \$ 143,208 | \$ - | \$ - | \$ - | \$ 6,683,704 |
| Separate requirements analysis and feasibility study procurements. | Project Planning/Analysis (3rd Party Support Services) | Contracted Services | \$ 7,916,666 | \$ 1,500,000 | \$ - | \$ 1,500,000 | \$ - | \$ 1,500,000 | \$ - | \$ 187,200 | \$ - | \$ - | \$ - | \$ 12,603,866 |
| Hardware purchases not included in data center services. | Hardware | OCO | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - |
| Commercial software purchases and licensing costs. | Commercial Software (Software Licenses & Maintenance) | Contracted Services | \$ 2,336,485 | \$ 974,691 | \$ - | \$ 834,947 | \$ - | \$ 862,988 | \$ - | \$ 862,988 | \$ - | \$ - | \$ - | \$ 5,872,099 |
| Hosting services. | Hosting Services | Contracted Services | \$ - | \$ - | \$ - | \$ - | \$ - | \$ 3,642,327 | \$ - | \$ 3,342,327 | \$ - | \$ - | \$ - | \$ 6,984,654 |
| Professional services with fixed-price costs (i.e. software development, installation, project documentation) | Project Deliverables (Systems Integration) | Contracted Services | \$ 5,321,043 | \$ 12,565,462 | \$ - | \$ 12,909,077 | \$ - | \$ 11,066,776 | \$ - | \$ 1,763,345 | \$ - | \$ - | \$ - | \$ 43,625,703 |
| All first-time training costs associated with the project. | | Contracted Services | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - |
| Include the quote received from the data center provider for project equipment and services. Only include one-time project costs in this row. Recurring, project-related data center costs are included in CBA Form 1A. | Data Center Services - One Time Costs | Data Center Category | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - |
| Other contracted services not included in other categories. | Other Services (Contingency) | Contracted Services | \$ 2,766,266 | \$ 4,222,728 | \$ - | \$ 4,279,785 | \$ - | \$ 4,645,398 | \$ - | \$ 2,154,910 | \$ - | \$ - | \$ - | \$ 18,069,087 |
| Include costs for non-state data center equipment required by the project and the proposed solution (insert additional rows as needed for detail) | Equipment | Expense | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - |
| Include costs associated with leasing space for project personnel. | Leased Space | Expense | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - |
| Other project expenses not included in other categories. | Other Expenses | Expense | \$ 100,000 | \$ 100,000 | \$ - | \$ 100,000 | \$ - | \$ 100,000 | \$ - | \$ - | \$ - | \$ - | \$ - | \$ 400,000 |
| Total | | | \$ 29,924,785 | 0.00 \$ 25,436,369 | \$ 1,600,000 | 0.00 \$ 25,778,709 | \$ 1,600,000 | 0.00 \$ 27,972,389 | \$ 850,000 | 0.00 \$ 12,929,462 | \$ - | 0.00 \$ - | \$ - | \$ 126,091,714 |

CBAForm 2 - Project Cost Analysis

| | | | |
|--------|---|---------|---|
| Agency | <u>Florida Department of Transportation</u> | Project | <u>Work Program Integration Initiative (WP11)</u> |
|--------|---|---------|---|

| 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 (*) | \$27,036,369 | \$27,378,709 | \$28,822,389 | \$12,929,462 | \$0 | \$126,091,714 |
| CUMULATIVE PROJECT COSTS <i>(includes Current & Previous Years' Project-Related Costs)</i> | \$56,961,154 | \$84,339,863 | \$113,162,252 | \$126,091,714 | \$126,091,714 | |
| 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 | \$0 | \$0 | \$0 | \$0 | \$0 |
| Trust Fund | \$25,436,369 | \$25,778,709 | \$27,972,389 | \$12,929,462 | \$0 | \$92,116,930 |
| Federal Match <input type="checkbox"/> | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| Grants <input type="checkbox"/> | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| Other <input type="checkbox"/> Specify | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| TOTAL INVESTMENT | \$25,436,369 | \$25,778,709 | \$27,972,389 | \$12,929,462 | \$0 | \$92,116,930 |
| CUMULATIVE INVESTMENT | \$25,436,369 | \$51,215,078 | \$79,187,467 | \$92,116,930 | \$92,116,930 | |

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

CBAForm 3 - Project Investment Summary

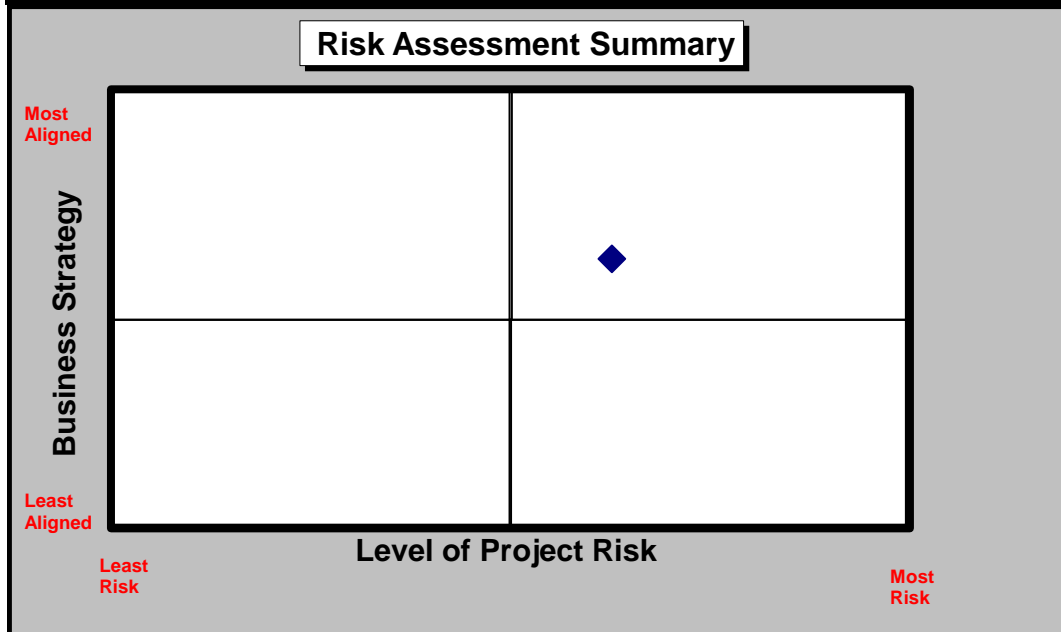
| | | | |
|--------|---|---------|---|
| Agency | <u>Florida Department of Transportation</u> | Project | <u>Work Program Integration Initiative (WPII)</u> |
|--------|---|---------|---|

| 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 | \$27,036,369 | \$27,378,709 | \$28,822,389 | \$12,929,462 | \$0 | \$126,091,714 |
| Net Tangible Benefits | \$0 | \$105,000,000 | \$18,699,960 | \$338,699,960 | \$208,699,960 | \$671,099,880 |
| Return on Investment | (\$56,961,154) | \$77,621,291 | (\$10,122,429) | \$325,770,498 | \$208,699,960 | \$545,008,166 |
| Year to Year Change in Program Staffing | 0 | 0 | 22 | 22 | 22 | |

| RETURN ON INVESTMENT ANALYSIS -- CBAForm 3B | | |
|---|---------------|---|
| Payback Period (years) | 1 3/4 | Payback Period is the time required to recover the investment costs of the project. |
| Breakeven Fiscal Year | 2020-21 | Fiscal Year during which the project's investment costs are recovered. |
| Net Present Value (NPV) | \$449,176,450 | NPV is the present-day value of the project's benefits less costs over the project's lifecycle. |
| Internal Rate of Return (IRR) | 147.07% | 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% |

| | | |
|--|---|------------------|
| Project | <i>Work Program Integration Initiative (WP11)</i> | |
| Agency | <i>Florida Department of Transportation</i> | |
| FY 2019-20 LBR Issue Code: | FY 2019-20 LBR Issue Title: | |
| <i>36233C0</i> | <i>Work Program Integration Initiative</i> | |
| Risk Assessment Contact Info (Name, Phone #, and E-mail Address): | | |
| <i>Tom McCullion - 850-445-9065 - Tom.McCullion@dot.state.fl.us</i> | | |
| Executive Sponsor | <i>April Blackburn</i> | |
| Project Manager | <i>Tom McCullion</i> | |
| Prepared By | <i>Tom McCullion</i> | <i>9/14/2018</i> |



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

Agency: Florida Department of Transportation

Project: Work Program Integration Initiative (WP11)

| 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 completely documented |
| | | Vision is partially documented | |
| | | Vision is completely documented | |
| 1.05 | Have all project business/program area requirements, assumptions, constraints, and priorities been defined and documented? | 0% to 40% -- Few or none defined and documented | 41% to 80% -- Some defined and documented |
| | | 41% to 80% -- Some defined and documented | |
| | | 81% to 100% -- All or nearly all defined and documented | |
| 1.06 | Are all needed changes in law, rule, or policy identified and documented? | No changes needed | Changes 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 | Some |
| | | Some | |
| | | All or nearly all | |
| 1.08 | What is the external (e.g. public) visibility of the proposed system or project? | Minimal or no external use or visibility | Minimal or no external use or visibility |
| | | Moderate external use or visibility | |
| | | Extensive external use or visibility | |
| 1.09 | What is the internal (e.g. state agency) visibility of the proposed system or project? | Multiple agency or state enterprise visibility | Single agency-wide use or visibility |
| | | Single agency-wide use or visibility | |
| | | Use or visibility at division and/or bureau level only | |
| 1.10 | Is this a multi-year project? | Greater than 5 years | Greater than 5 years |
| | | Between 3 and 5 years | |
| | | Between 1 and 3 years | |
| | | 1 year or less | |

Agency: Florida Department of Transportation

Project: Work Program Integration Initiative (WP11)

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

Agency: Florida Department of Transportation

Project: Work Program Integration Initiative (WP11)

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

Agency: Agency Name

Project: Project Name

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

Agency: Florida Department of Transportation Project: Work Program Integration Initiative (WP11)

| 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 | Greater than \$10 M |
| | | Greater than \$10 M | |
| | | Between \$2 M and \$10 M | |
| | | Between \$500K and \$1,999,999 | |
| | | Less than \$500 K | |
| 5.04 | Is the cost estimate for this project based on quantitative analysis using a standards-based estimation model? | Yes | Yes |
| | | No | |
| 5.05 | What is the character of the cost estimates for this project? | Detailed and rigorous (accurate within ±10%) | Order of magnitude – estimate could vary between 10-100% |
| | | Order of magnitude – estimate could vary between 10-100% | |
| | | Placeholder – actual cost may exceed estimate by more than 100% | |
| 5.06 | Are funds available within existing agency resources to complete this project? | Yes | No |
| | | No | |
| 5.07 | Will/should multiple state or local agencies help fund this project or system? | Funding from single agency | Funding from single agency |
| | | Funding from local government agencies | |
| | | Funding from other state agencies | |
| 5.08 | If federal financial participation is anticipated as a source of funding, has federal approval been requested and received? | Neither requested nor received | 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 | Within 5 years |
| | | Within 3 years | |
| | | Within 5 years | |
| | | More than 5 years | |
| | | No payback | |
| 5.11 | Has the project procurement strategy been clearly determined and agreed to by affected stakeholders? | Procurement strategy has not been identified and documented | Stakeholders have reviewed and approved the proposed procurement strategy |
| | | Stakeholders have not been consulted re: procurement strategy | |
| | | Stakeholders have reviewed and approved the proposed procurement strategy | |
| 5.12 | What is the planned approach for acquiring necessary products and solution services to successfully complete the project? | Time and Expense (T&E) | Combination FFP and T&E |
| | | Firm Fixed Price (FFP) | |
| | | Combination FFP and T&E | |
| 5.13 | What is the planned approach for procuring hardware and software for the project? | Timing of major hardware and software purchases has not yet been determined | Just-in-time purchasing of hardware and software is documented in the project schedule |
| | | Purchase all hardware and software at start of project to take advantage of one-time discounts | |
| | | Just-in-time purchasing of hardware and software is documented in the project schedule | |
| 5.14 | Has a contract manager been assigned to this project? | No contract manager assigned | Contract manager assigned is not the procurement manager or the project manager |
| | | Contract manager is the procurement manager | |
| | | Contract manager is the project manager | |
| | | Contract manager assigned is not the procurement manager or the project manager | |
| 5.15 | Has equipment leasing been considered for the project's large-scale computing purchases? | Yes | Yes |
| | | No | |
| 5.16 | Have all procurement selection criteria and outcomes been clearly identified? | No selection criteria or outcomes have been identified | All or nearly all selection criteria and expected outcomes have been defined and documented |
| | | Some selection criteria and outcomes have been defined and documented | |
| | | All or nearly all selection criteria and expected outcomes have been defined and documented | |
| 5.17 | Does the procurement strategy use a multi-stage evaluation process to progressively narrow the field of prospective vendors to the single, best qualified candidate? | Procurement strategy has not been developed | Multi-stage evaluation and proof of concept or prototype planned/used to select best qualified vendor |
| | | Multi-stage evaluation not planned/used for procurement | |
| | | Multi-stage evaluation and proof of concept or prototype planned/used to select best qualified vendor | |
| 5.18 | For projects with total cost exceeding \$10 million, did/will the procurement strategy require a proof of concept or prototype as part of the bid response? | Procurement strategy has not been developed | Yes, bid response did/will include proof of concept or prototype |
| | | No, bid response did/will not require proof of concept or prototype | |
| | | Yes, bid response did/will include proof of concept or prototype | |
| | | Not applicable | |

Agency: Florida Department of Transportation

Project: Work Program Integration Initiative (WP11)

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

Agency: Florida Department of Transportation Project: Work Program Integration Initiative (WP11)

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

Agency: Florida Department of Transportation

Project: Work Program Integration Initiative (WP11)

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

Appendix C: Glossary of Terms

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

SCHEDULE IV-B FOR IDENTITY ACCESS MANAGEMENT

For Fiscal Year 2019-20




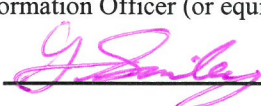
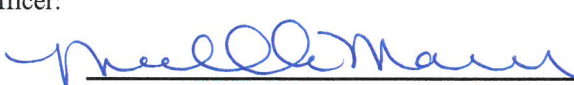

October 19, 2018

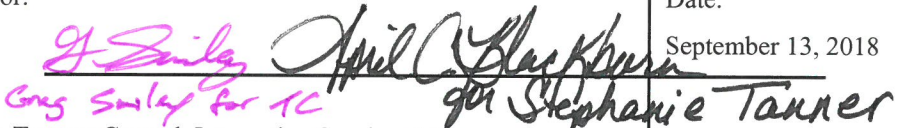
Department of Transportation

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I. Schedule IV-B Cover Sheet

| Schedule IV-B Cover Sheet and Agency Project Approval | |
|---|---|
| Agency: Transportation | Schedule IV-B Submission Date: September 13, 2018 |
| Project Name: Identity Access Management | Is this project included in the Agency's LRPP? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No |
| FY 2019-20 LBR Issue Code: 36238C0 | FY 2019-20 LBR Issue Title: Secure Access Management |
| Agency Contact for Schedule IV-B (Name, Phone #, and E-mail address): Greg Smiley, 414-4470, Greg.Smiley@dot.state.fl.us | |
| AGENCY APPROVAL SIGNATURES | |
| I am submitting the attached Schedule IV-B in support of our legislative budget request. I have reviewed the estimated costs and benefits documented in the Schedule IV-B and believe the proposed solution can be delivered within the estimated time for the estimated costs to achieve the described benefits. I agree with the information in the attached Schedule IV-B. | |
| Agency Head:  | Date: September 13, 2018 |
| Printed Name: Michael Dew, Secretary of Transportation | |
| Agency Chief Information Officer (or equivalent):  | Date: September 13, 2018 |
| Printed Name: Greg Smiley, Chief Information Officer | |
| Budget Officer:  | Date: September 13, 2018 |
| Printed Name: Mechelle Marcum, Budget Officer | |
| Planning Officer:  For | Date: September 13, 2018 |
| Printed Name: Tammy Crumel, Integration Services Mgr. | |

| | | |
|--|--------------------------------------|--------------------|
| Project Sponsor: | | Date: |
|  Greg Smiley for IC April Blackburn for Stephanie Tanner | | September 13, 2018 |
| Printed Name: Tammy Crumel, Integration Services Mgr | | |
| Stephanie Tanner, Information Security Mgt | | |
| Schedule IV-B Preparers (Name, Phone #, and E-mail address): | | |
| Business Need: | Stephanie Tanner 850-414-4011 | |
| Cost Benefit Analysis: | Tammy Crumel, 850-414-4292 | |
| Risk Analysis: | Contacts/Preparers for all sections. | |
| Technology Planning: | | |
| Project Planning: | | |

General Guidelines

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

Schedule IV-B is not required for requests to:

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

Documentation Requirements

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

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

- Project Management Planning

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

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

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

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

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

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

1. Background and Strategic Needs Assessment

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

1. Business Need

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

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

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

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

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

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

2. Business Objectives

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

The business objectives of this project include:

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

owners in the securing of their data and applications.

2. Baseline Analysis

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

1. Current Business Process(es)

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

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

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

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

2. Current Business Assumptions and Constraints

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

Assumptions

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

Constraints

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

K. Proposed Business Process Requirements

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

1. Proposed Business Process Requirements

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

A. Establish Access for New Employees:

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

B. Establish Access for New Consultant:

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

C. Initial Provisioning

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

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

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

L. Risk-Based Recertification

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

M. Access Reconciliation

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

N. Document FLAIR Access Requests

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

O. Business Solution Alternatives

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

P. Rationale for Selection

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

Q. Recommended Business Solution

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

L. Functional and Technical Requirements

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

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

III. Success Criteria

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

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

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

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

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

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

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

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

Benefits Realization Table

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

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

B. Cost Benefit Analysis (CBA)

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

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

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

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

V. Schedule IV-B Major Project Risk Assessment

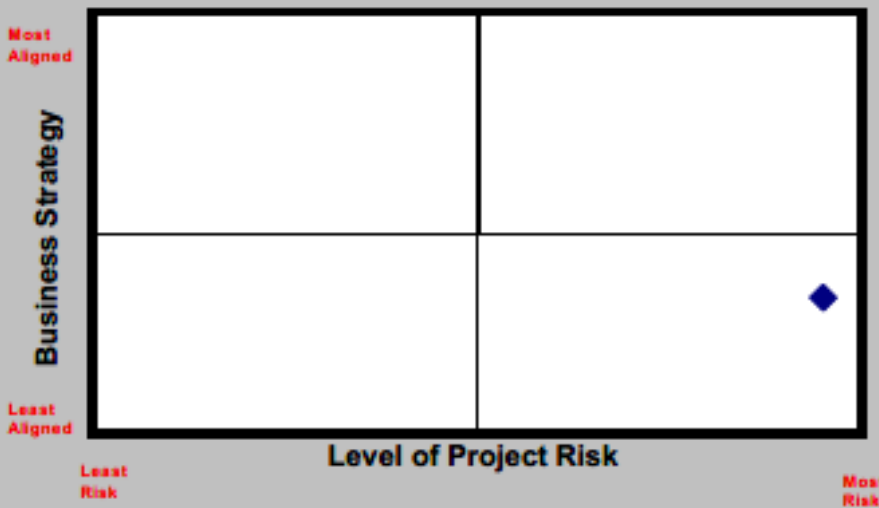
Purpose: To provide an initial high-level assessment of overall risk incurred by the project to enable appropriate risk mitigation and oversight and to improve the likelihood of project success. The risk assessment summary identifies the overall level of risk associated with the project and provides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

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

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

| | | |
|--|--|------------------|
| Project | <i>Identity Access Management</i> | |
| Agency | <i>Transportation</i> | |
| FY 2018-19 LBR Issue Code: | FY 2018-19 LBR Issue Title: | |
| <i>36238C0</i> | <i>Secure Access Management</i> | |
| Risk Assessment Contact Info (Name, Phone #, and E-mail Address): | | |
| <i>Stephanie Tanner (850)-414-4011 stephanie.tanner@dot.state.fl.us</i> | | |
| Executive Sponsor | <i>April Blackburn, Chief of Transportation Technology</i> | |
| Project Manager | <i>Stephanie Tanner</i> | |
| Prepared By | <i>Stephanie Tanner</i> | <i>8/18/2017</i> |

Risk Assessment Summary



Project Risk Area Breakdown

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

VI. Schedule IV-B Technology Planning

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

A. Current Information Technology Environment

1. Current System –

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

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

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

Provisioning is done manually, using the tools available within RACF and Active Directory. Common provisioning groups (i.e. role-based provisioning) have not been developed therefore, there are no repeatable steps that can be automated by staff.

Governance is managed through reporting available in AARF, along with reporting tools from Active Directory and SharePoint. There is no single reporting/governance source that can report on all accesses for a user.

AD and RACF systems are not capable of enforcing the same password requirements. AD is configured to use Microsoft's standard complexity requirements and RACF, IBM's add-on software product provides basic security for the mainframe system.

a. Description of Current System –

The current systems are decentralized and owned by different entities responsible for enforcing security methods and practices specific to its use, creating distributed security measures across the technology environment. Identity and access management provisioning is performed manually by administrators across the state and in different business units. There is no connection with HR to initiate the onboarding provisioning process. Provisioning is initiated through an Automated Access Request Form (AARF) submitted by a manager or business unit coordinator. AARF is a custom application for requesting and approving access to enterprise systems. Access to shadow systems may not be tracked in AARF. Data and file collaboration becomes complicated when defining the appropriate access privileges to ensure systems work together regulating inputs and outputs. Access control is managed in several areas with various methods of management and oversight. In addition, manual provisioning results in inconsistent access controls and requirements.

b. Current System Resource Requirements

The systems comprising the access control processes are housed on mainframe and windows server environments. Keeping track of everything within the computing environment involves many manual and time-consuming tasks performed by many to efficiently stay secure. There are security administrators spread across the state to maintain and process technology access requests. In addition to the security coordinators, there are business coordinators and application owners. The business coordinators ensure requests are submitted for the appropriate needs to complete functions within their respective work units. The application owners grant or deny access to specific systems within their area of control.

Mainframe system - centralized repository for user ids and access control to applications housed on this system.

The mainframe is considered the 'system of record' because computing began on this platform over 30 years ago. Userids are maintained on this platform whether access is needed or not.

Windows Servers - a group of computing devices used to house software operating systems designed by Microsoft that supports enterprise-level management, data storage, applications, and communications.

Software application and tools (RACF, Active Directory) -

- **RACF** - provides the tools to manage user access to critical resources. RACF is an add-on software product that provides basic security for a mainframe system. As defined by IBM documentation, RACF protects resources by granting access only to authorized users of the protected resources. RACF retains information about users, resources, and access authorities in special structures called **profiles** in its database, and it refers to these profiles when deciding which users should be permitted access to protected system resources. RACF provides the ability to:
 - Identify and authenticate users
 - Authorize users to access protected resources
 - Log and report various attempts of unauthorized access to protected resources
 - Control the means of access to resources
 - Allow applications to use the RACF macros
 - RACF uses a user ID and a system-encrypted password to perform its user identification and verification.
- **Active Directory (AD)** - is similar to a phone book in several ways, and it is far more flexible. Active Directory stores information about an organization, sites, systems, users, files, and just about any other network object that is part of the computing environment. An object is any user, system, resource, or service tracked within Active Directory. Administrators must be able to protect their directory from attackers and users., while delegating tasks to other administrators to allow the appropriate access. This is all possible using the Active Directory security model, which associates an access control list (ACL) with each object and attribute within the directory. Active Directory provides a single source to locate any object within the computing environment called a global catalog. The global catalog is a service that allows users to find any object to which they have been granted access.

System administrators - are charged with installing, supporting, maintaining servers and access control, and planning for and responding to service outages and other problems involving the computing environment.

Local area network (LAN) administrators - The **LAN administrator** is responsible for maintaining the computing environment (district or work unit level devices and resources). network. The local area network connects computers and other equipment that shares a common communications line, files, or network server.

Enterprise security coordinators - central contact for local security coordinators to provide support and is responsible for authorizing access to global or elevated resources for data and equipment.

Security coordinators - is responsible for responding to requests for security access to different resources within their site locations.

Cost Center Managers – responsible for approving requested access for FTEs and consultants within the respective business unit to perform work.

End-user – term used to generalize multiple user types (such as FTE, staff, consultant, staff augmentation) acting as the recipient of the granted access to computing resources used to perform work functions.

Application Owner - individual or group responsible for deciding the business needs of their application and to ensure that a program or programs, which make up the application, accomplish the specified objective or set of user requirements established for that application, including appropriate security safeguards.

c. Current System Performance

The current system performance is difficult to gauge because most functions are manual which require more administration. It can take up to seven days to create a unique userid with approved access to multiple systems or applications. The administrators are dependent upon the business unit to submit requests for access. If this process is delayed, it prolongs the onboarding process. Paperwork should be filed with signature acknowledgement for

technology usage and training must be complete before processing is completed. System auditing requires manual work gathering the requested information from several access locations. Administrators are not familiar with all security access points and usage patterns are difficult to pinpoint for subsequent action or deter adverse behavior on the system.

| Typical Monthly Processing in AARF | | | | | | |
|------------------------------------|---------------|-------------|----------|-------------|-----------------------|----------------|
| New User | Access Change | Name Change | Transfer | Termination | Cross District Access | Total Requests |
| 55 | 193 | 8 | 15 | 39 | 3 | 313 |

2. Information Technology Standards -

The information technology standards comply with Rules 74-2.001 through 74-2.006, F.A.C., known as the Florida Cybersecurity Standards (FCS) to establish security governance over (IT) resources to manage and secure access to the computing environment. The IAM services will incorporate the Identity Management rule 74-5.001 - 74-5.003, F.A.C., to ensure that Identity Management Services provide secure, reliable and interoperable mechanisms for authenticating the identity of devices, application services, and Users that consume state information and application resources

B. Current Hardware and/or Software Inventory

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

C. Proposed Technical Solution

1. Technical Solution Alternatives

Technical solutions in the current market place include: on-premise hosted custom-of-the-shelf software, vendor-hosted software as a service, or a hybrid implementation.

2. Rationale for Selection

Specific selection criteria have not been identified. A custom-off-the-shelf implementation, hosted as software-as-a-service is preferred as it provide more flexibility and the ability to quickly adjust to new security standards. Regular maintenance and upgrades provided by the vendor, rather than through in-house resources, allows FDOT to quickly benefit from improvements to this important system. This allows staff to focus on department-specific security needs rather than developing systems that are available as commodities on the open market.

3. Recommended Technical Solution

A recommended technical solution is not available at this time.

D. Proposed Solution Description

1. Summary Description of Proposed System

The system is expected to be a custom-off-the-shelf solution, provided by an enterprise level vendor. The solution may include a hybrid of on-premise software to address legacy systems, and software-as-a-service to address more current offerings.

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

It is anticipated that we would maintain the same types of resources as currently established, however they would spend less time in day-to-day support.

E. Capacity Planning

(historical and current trends versus projected requirements)

Capacity planning has not been addressed. It is expected that capacity needs will increase as additional systems can be addressed by this enterprise level IAM.

VII. Schedule IV-B Project Management Planning

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

FDOT follows the project management practices supported by the Project Management Institute's Project Management Book of Knowledge (PMBOK). Staff have been assigned to complete preliminary research and support of the Legislative Budget Request process. This group currently includes a PMP-certified Project Manager. Once project funding is confirmed, a full team, and the all required project management documentation will be completed. The following sections represent the Project Management information that is currently known or typical of a project managed by FDOT.

Project Phasing Plan

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

Detailed phases will be developed when the project is formalized. Projected activities are included in the Baseline Schedule.

Baseline Schedule

| Task | Status | Planned Start | Planned Stop |
|---|-----------------|---------------|--------------|
| Obtain Funding (Year 1 of 2) | Complete | 6/2017 | 6/2018 |
| Project Gate: Funding Approved? | Complete | 6/2018 | 6/2018 |
| Project Planning/Formalization | In progress | 7/2018 | 12/2018 |
| Study (Requirements, Market Scan, Product Selection) | In Progress | 8/2018 | 12/2018 |
| Obtain Funding (Year 2 of 2) | In Progress | 9/2018 | 6/2019 |
| Project Gate: Funding Approved? | Pending Funding | 6/2019 | 6/2019 |
| Procurement Activities (Solution) | Pending | 1/2019 | 2/2019 |

| Task | Status | Planned Start | Planned Stop |
|---|-----------------|---------------|--------------|
| Establish Environment | Pending | 2/2019 | 3/2019 |
| Product Configuration | Pending | 3/2019 | 5/2019 |
| Procurement Activities (Staffing, Implementation Services) Year 2 Funding | Pending Funding | 5/2019 | 6/2019 |
| Use Case Testing – Year 2 Funding | Pending Funding | 5/2019 | 7/2019 |
| Implementation – Year 2 Funding | Pending Funding | 7/2019 | 12/2019 |

Note: This chart will be completed when the funding has been received and the project manager is assigned.

Project Organization and Governance

This subsection describes the proposed project organization and governance. The project governance structure consists of the following standard elements. As the project is formalized, adjustments may be made.

- **Information Resource Management Leadership Team:** provides direction and prioritization for information technology resources and projects estimated at over 1,500 hours of effort. The group usually consists of the department’s Assistant Secretaries and the Chief Information Officer (CIO).
- **Office of Inspector General:** serves as a central point for coordination of and responsibility for activities that promote accountability, integrity and efficiency in the department. Conducts audits, investigation and management review relating to the programs and operation of the agency.
- **Management Stakeholder Workgroup:** The Management Stakeholder Workgroup provides functional management oversight for the application projects.
- **Executive Sponsor:** The Executive Sponsor is a chairperson of the subject business process improvement, analysis, and design efforts. The Executive Sponsor acts as a visionary and motivator and instills the project with a purpose and a sense of mission. The Executive Sponsor introduces the project within the organization and demonstrates commitment to its success.
- **Project Sponsors:** Ensure that security controls related to access and integrity of the application and data are in place. Ensure that the needed resources from the Functional Office are available to serve in various roles throughout the application's life cycle.
- **Internal Stakeholders:** Functional areas and Directors that are affected by the project. It is critical that Internal Stakeholders are kept aware of the project; and are involved (provide staff) in discussions regarding their functional area at the appropriate time in the project.
- **Functional Coordinators:** Serve as a dedicated resource from the Functional Office assigned to serve as liaison between the Office of Information Technology and the Functional Office. The role of the Functional Coordinator will exist beyond the project, throughout the life of an application. The Functional Coordinator may act as an agent for the Project Sponsor.
- **Functional Stakeholders:** Provide functional management oversight of the application project for which they have been delegated responsibility. Provide direction to the Project Team in regard to project strategy and planning.
- **Portfolio Manager:** The Portfolio Manager provides leadership and facilitation to the Program and Project Managers of Information Technology projects taken on by the Office of Information Technology. The Portfolio Manager ensures proper methodology support is provided for projects.
- **Project Manager:** The Project Manager is accountable for maintaining project scope, cost, and schedule in accordance with the baselines established in the Project Plan. The Project Manager plans, assigns, and oversees the deliverables provided by team members.
- **Contract Manager:** a department employee responsible for enforcing performance of the contract terms and conditions, serving as liaison with the vendor and ensuring that the contractual terms have been complied with prior to processing the invoice for payment.

- **Change Control Team (CCT):** responsible for reviewing and determining the outcome of all change requests submitted to the project during the project life cycle. The CCT will meet as often as necessary, as changes are introduced throughout the project, to discuss potential impacts or changes to the scope, schedule or budget. If the CCT approves a change, the CCT must then seek authorization from the Executive Sponsor, Project Sponsor, Application Services Portfolio Manager, or combination of those stakeholders, depending on the type of impact the change will have on the project.
- **Project Risk Review Team:** prioritizes and ranks all risks identified for project, and agree on a risk response strategy for each identified risk.

Quality Assurance Plan

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

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

Communication Plan

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

| Item | Purpose | Frequency | Audience |
|--|--|-----------|--|
| Functional Steering Committee Meeting | Provide updates on project activities, issue and deadlines | Monthly | Functional Steering Committee |
| Project Status Report | Provide update on project activities, issues and deadlines | Monthly | All Project Team Members |
| AST Project Status Report | Status Report as required by 74-1 F.A.C. | Monthly | AST |
| Legislative Status Report | Provide update on project activities for all projects funded by a Budget Request | Monthly | Legislative Members and Staff |
| Executive Status Report and Review Meeting | Monthly review of the project status and schedule with the Information Resource Management Leadership Team | Monthly | Information Resource Management Leadership Team, Executive Sponsor, Project Sponsor, CIO, Application Services Portfolio Manager |
| Functional Group Status Presentations | Provide project status updates to existing functional teams that are affected by the project. Management Stakeholders will request time on the agenda of these existing meeting to provide status and answer questions | As Needed | Statewide Teams that are affected by project. |

Deliverables Review and Acceptance

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

Issue Management

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

The Project Issue Management Process will be documented in the Issue Management section of the Project Management Plan. This plan will address:

- What constitutes an issue
- Who can create or update issues
- How will issues be reported
- Where will issues be documented and tracked
- Who will receive/review the issues
- How/When will issues be reviewed
- How will issues be resolved
- How and when will unaddressed issues be escalated
- How will information be communicated

All Project Issues will be documented in the change control log and will be available and reviewable by all project members.

The Project Manager is responsible for ensuring the project team (both functional staff and technical staff) have a clear understanding of the purpose and details of the Issue Management Process.

Weekly Status Reports will track and provide status for all open project issues.

Change Management

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

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

Security Plan

The objectives of the Security Plan are to:

- Ensure confidentiality, integrity, and availability of the system data
- Identify confidential or sensitive information in the system
- Define system security methods, requirements and procedures
- Promote consistency and uniformity in the system's security practices

The following sections are outlined in the document to address risk management and reduce exposure to the department by identifying controls to offset threats and protect the department's resources.

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

Risk Management

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

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

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

| Inventory of Potential Risks and Response Strategies | | |
|---|--|--|
| Risk Type | Risk Description | Risk Response Strategy and Notes |
| Project Organization | Inconsistent processes and standards across FDOT business units could impact drive to standardize business processes | Establish organizational change management program Engage stakeholders from various agencies in defining process changes |
| Change Management, Technology | Perception by various FDOT business units about apparent loss of tailored functionality | Encourage early involvement by key business units Ensure Change Management and Communication Plan emphasizes benefits of enterprise solution Ensure consistent and ongoing senior management support |

Inventory of Potential Risks and Response Strategies

| Risk Type | Risk Description | Risk Response Strategy and Notes |
|----------------------|--|--|
| Project Organization | Changes in FDOT executive management can impact program execution | <p>Immediately brief new management on program objectives and status</p> <p>Implement Steering Committee to manage program with a mix of executive-level policymakers and senior-level career staff</p> <p>Engage continuing Steering Committee members to assist in presenting program benefits to new management team members</p> <p>Include career staff in key roles responsible for managing program execution for continuity</p> |
| Fiscal | Delay in obtaining funding for all or part of proposed program effort from the legislature | <p>Actively engage with stakeholders and policymakers to obtain approval for change in scope based on funding</p> <p>Revisit budgets regularly; economic factors should be on agenda for discussion at Steering Committee meetings and other executive management briefings where appropriate</p> <p>Adjust program schedule as necessary based on timing of funding</p> <p>Identify activities that could continue in the interim (process analysis, etc.) to maintain momentum</p> |
| Fiscal | Less funding than requested is approved for the program effort | <p>Actively engage with stakeholders and policymakers to obtain approval</p> <p>Revisit budgets regularly; economic factors should be on agenda at Steering Committee meetings or executive briefings as appropriate</p> <p>Adjust scope and/or program schedule as necessary based on timing of funding</p> |
| Project Complexity | Challenges in aligning project schedule with current hosting services or the vendor's hosting solution | Initiate early discussions with the current hosting provider and/or the vendor hosting team and continue dialogue throughout planning process |

Inventory of Potential Risks and Response Strategies

| Risk Type | Risk Description | Risk Response Strategy and Notes |
|----------------------|--|--|
| Communication | Project delays not resolved in a timely manner | Initiate early discussions Monitor and track resolution Ensure management understands required timeline for resolution and cost/schedule impact of not resolving |
| Strategic | Desired business benefits not achieved | Adhere to requirements, involve stakeholders and tie scope decisions to performance measures and anticipated benefits to ensure success Incorporate business process training and mentoring into the work plan |
| Project Organization | Staff not being able to participate when needed or review deliverables within schedule | Utilize a project approach that leverages best practices as a starting point for discussions to better leverage staff time Proactively identify resource constraints and escalate in a timely manor Re-assign some responsibilities of key extended team members Reprioritize some activities assigned to extended team members |
| Project Complexity | Project scope too large or complex and/or implementation strategy attempts to implement too much at one time | Establish implementation plan, carefully develop the plan and link it to expected business benefits Link project scope to business benefits Careful review by FDOT Steering Committee of requirements and implementation plan before approving implementation go-ahead Develop scope change process that requires demonstrated link to targeted business benefits and program steering committee approval of any proposed scope changes |

| Inventory of Potential Risks and Response Strategies | | |
|--|--|--|
| Risk Type | Risk Description | Risk Response Strategy and Notes |
| Project Organization, Project Management | Availability of FDOT resources (business and technical) to support implementation | <p>Develop detailed estimates of resource requirements as early as possible as part of planning</p> <p>Develop an implementation strategy and work plan that is in sync with availability of FDOT resources</p> <p>Obtain specific commitment of resources from FDOT management prior to start of implementation</p> |
| Project Complexity, Project Management | Need to provide large number of employees with training on various new application functions | <p>Initiate organizational change management program from start of program</p> <p>Develop training strategy for each project component early and monitor status of training effort closely</p> |

Implementation Plan

The Implementation Phase will be defined as the project progresses.

Project Staffing and Continuity

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

VIII. Appendices

Appendix A - Cost Benefit Analysis

Appendix B - Project Risk Assessment

CBAForm 1 - Net Tangible Benefits

| | | | |
|---------------|---|----------------|-----------------------------------|
| Agency | <u>Florida Department of Transportation</u> | Project | <u>Identity Access Management</u> |
|---------------|---|----------------|-----------------------------------|

| Net Tangible Benefits - Operational Cost Changes (Costs of Current Operations versus Proposed Operations as a Result of the Project) and Additional Tangible Benefits -- CBAForm 1A | | | | | | | | | | | | | | | |
|---|-------------------------------|--------------------------------|--|-------------------------------|--------------------------------|--|-------------------------------|--------------------------------|--|-------------------------------|--|--|-------------------------------|--------------------------------|--|
| Agency <i>(Recurring Costs Only -- No Project Costs)</i> | FY 2018-19 | | | FY 2019-20 | | | FY 2020-21 | | | FY 2021-22 | | | FY 2022-23 | | |
| | (a) Existing Program Costs | (b) Operational Cost Change | (c) = (a)+(b) New Program Costs resulting from Proposed Project | (a) Existing Program Costs | (b) Operational Cost Change | (c) = (a) + (b) New Program Costs resulting from Proposed Project | (a) Existing Program Costs | (b) Operational Cost Change | (c) = (a) + (b) New Program Costs resulting from Proposed Project | (a) Existing Program Costs | (b) Cost Change Operational Cost Change | (c) = (a) + (b) New Program Costs resulting from Proposed Project | (a) Existing Program Costs | (b) Operational Cost Change | (c) = (a) + (b) New Program Costs resulting from Proposed Project |
| A. Personnel Costs -- Agency-Managed Staff | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | |
| A.b Total Staff | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | |
| A-1.a. State FTEs (Salaries & Benefits) | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | |
| A-1.b. State FTEs (#) | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | |
| A-2.a. OPS Staff (Salaries) | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | |
| A-2.b. OPS (#) | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | |
| A-3.a. Staff Augmentation (Contract Cost) | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | |
| A-3.b. Staff Augmentation (# of Contractors) | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | |
| B. Application Maintenance Costs | \$0 | \$0 | \$0 | \$0 | \$112,500 | \$112,500 | \$0 | \$112,500 | \$112,500 | \$0 | \$112,500 | \$112,500 | \$0 | \$112,500 | |
| B-1. Managed Services (Staffing) | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | |
| B-2. Hardware | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | |
| B-3. Software | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | |
| B-4. Other <i>Yearly Maintenance</i> | \$0 | \$0 | \$0 | \$0 | \$112,500 | \$112,500 | \$0 | \$112,500 | \$112,500 | \$0 | \$112,500 | \$112,500 | \$0 | \$112,500 | |
| C. Data Center Provider Costs | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | |
| C-1. Managed Services (Staffing) | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | |
| C-2. Infrastructure | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | |
| C-3. Network / Hosting Services | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | |
| C-4. Disaster Recovery | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | |
| C-5. Other <i>Specify</i> | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | |
| D. Plant & Facility Costs | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | |
| E. Other Costs | \$28,000 | \$0 | \$28,000 | \$28,000 | \$0 | \$28,000 | \$28,000 | -\$28,000 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | |
| E-1. Training | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | |
| E-2. Travel | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | |
| E-3. Other <i>Hitachi Password Manager</i> | \$28,000 | \$0 | \$28,000 | \$28,000 | \$0 | \$28,000 | \$28,000 | -\$28,000 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | |
| Total of Recurring Operational Costs | \$28,000 | \$0 | \$28,000 | \$28,000 | \$112,500 | \$140,500 | \$28,000 | \$84,500 | \$112,500 | \$0 | \$112,500 | \$112,500 | \$0 | \$112,500 | |
| F. Additional Tangible Benefits: | | \$0 | | | \$0 | | | \$0 | | | \$0 | | | \$0 | |
| F-1. <i>Specify</i> | | \$0 | | | \$0 | | | \$0 | | | \$0 | | | \$0 | |
| F-2. <i>Specify</i> | | \$0 | | | \$0 | | | \$0 | | | \$0 | | | \$0 | |
| F-3. <i>Specify</i> | | \$0 | | | \$0 | | | \$0 | | | \$0 | | | \$0 | |
| Total Net Tangible Benefits: | | \$0 | | | (\$112,500) | | | (\$84,500) | | | (\$112,500) | | | (\$112,500) | |

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

Florida Department of Transportation

Identity Access Management

CBA Form 2A Baseline Project Budget

Costs entered into each row are mutually exclusive. Insert rows for detail and modify appropriation categories as necessary, but do not remove any of the provided project cost elements. Reference vendor quotes in the Item Description where applicable. Include only one-time project costs in this table. Include any recurring costs in CBA Form 1A.

| | | | CBA Form 2A Baseline Project Budget | | | | | | | | | | | | | | | | |
|---|--|------------------------|---|------------------|---------------------|------------------|------------------|-------------------|------------------|------------------|-------------|------------------|------------------|-------------|------------------|------------------|-------------|------------------|---------------------|
| | | | FY2018-19 | | | FY2019-20 | | | FY2020-21 | | | FY2021-22 | | | FY2022-23 | | | TOTAL | |
| | | | \$ - | \$ 1,000,000 | | \$ 900,964 | | \$ - | | \$ - | | \$ - | | \$ - | | \$ 1,900,964 | | | |
| Item Description <i>(remove guidelines and annotate entries here)</i> | Project Cost Element | Appropriation Category | Current & Previous Years Project-Related Cost | YR 1 Base Budget | | | YR 2 Base Budget | | | YR 3 Base Budget | | | YR 4 Base Budget | | | YR 5 Base Budget | | | TOTAL |
| | | | | YR 1 # | YR 1 LBR | YR 1 Base Budget | YR 2 # | YR 2 LBR | YR 2 Base Budget | YR 3 # | YR 3 LBR | YR 3 Base Budget | YR 4 # | YR 4 LBR | YR 4 Base Budget | YR 5 # | YR 5 LBR | YR 5 Base Budget | |
| Costs for all state employees working on the project. | FTE | S&B | \$ - | 0.00 | \$ - | \$ - | 0.00 | \$ - | \$ - | 0.00 | \$ - | \$ - | 0.00 | \$ - | \$ - | 0.00 | \$ - | \$ - | \$ - |
| Costs for all OPS employees working on the project. | OPS | OPS | \$ - | 0.00 | \$ - | \$ - | 0.00 | \$ - | \$ - | 0.00 | \$ - | \$ - | 0.00 | \$ - | \$ - | 0.00 | \$ - | \$ - | \$ - |
| Project Manager and Business Analyst | Staff Augmentation | Contracted Services | \$ - | 0.00 | \$ - | \$ - | 0.00 | \$ 400,964 | \$ - | 0.00 | \$ - | \$ - | 0.00 | \$ - | \$ - | 0.00 | \$ - | \$ - | \$ 400,964 |
| Project management personnel and related deliverables. | Project Management | Contracted Services | \$ - | 0.00 | \$ - | \$ - | 0.00 | \$ - | \$ - | 0.00 | \$ - | \$ - | 0.00 | \$ - | \$ - | 0.00 | \$ - | \$ - | \$ - |
| Project oversight to include Independent Verification & Validation (IV&V) personnel and related deliverables. | Project Oversight | Contracted Services | \$ - | 0.00 | \$ - | \$ - | 0.00 | \$ - | \$ - | 0.00 | \$ - | \$ - | 0.00 | \$ - | \$ - | 0.00 | \$ - | \$ - | \$ - |
| Project Implementation Services | Consultants/Contractors | Contracted Services | \$ - | 0.00 | \$ 300,000 | \$ - | 0.00 | \$ 500,000 | \$ - | 0.00 | \$ - | \$ - | 0.00 | \$ - | \$ - | 0.00 | \$ - | \$ - | \$ 800,000 |
| Study/Requirements/Product Selection | Project Planning/Analysis | Contracted Services | \$ - | | \$ 250,000 | \$ - | | \$ - | \$ - | | \$ - | \$ - | | \$ - | \$ - | | \$ - | \$ - | \$ 250,000 |
| Hardware purchases not included in data center services. | Hardware | OCO | \$ - | | \$ - | \$ - | | \$ - | \$ - | | \$ - | \$ - | | \$ - | \$ - | | \$ - | \$ - | \$ - |
| Commercial software purchases and licensing costs. | Commercial Software | Contracted Services | \$ - | | \$ 350,000 | \$ - | | \$ - | \$ - | | \$ - | \$ - | | \$ - | \$ - | | \$ - | \$ - | \$ 350,000 |
| Professional services with fixed-price costs (i.e. software development, installation, project documentation) | Project Deliverables | Contracted Services | \$ - | | \$ - | \$ - | | \$ - | \$ - | | \$ - | \$ - | | \$ - | \$ - | | \$ - | \$ - | \$ - |
| All first-time training costs associated with the project. | Training | Contracted Services | \$ - | | \$ - | \$ - | | \$ - | \$ - | | \$ - | \$ - | | \$ - | \$ - | | \$ - | \$ - | \$ - |
| Include the quote received from the data center provider for project equipment and services. Only include one-time project costs in this row. Recurring, project-related data center costs are included in CBA Form 1A. | Data Center Services - One Time Costs | Data Center Category | \$ - | | \$ - | \$ - | | \$ - | \$ - | | \$ - | \$ - | | \$ - | \$ - | | \$ - | \$ - | \$ - |
| Other contracted services not included in other categories. | Other Services | Contracted Services | \$ - | | \$ - | \$ - | | \$ - | \$ - | | \$ - | \$ - | | \$ - | \$ - | | \$ - | \$ - | \$ - |
| Include costs for non-state data center equipment required by the project and the proposed solution (insert additional rows as needed for detail) | Equipment | Expense | \$ - | | \$ 100,000 | \$ - | | \$ - | \$ - | | \$ - | \$ - | | \$ - | \$ - | | \$ - | \$ - | \$ 100,000 |
| Include costs associated with leasing space for project personnel. | Leased Space | Expense | \$ - | | \$ - | \$ - | | \$ - | \$ - | | \$ - | \$ - | | \$ - | \$ - | | \$ - | \$ - | \$ - |
| Other project expenses not included in other categories. | Other Expenses | Expense | \$ - | | \$ - | \$ - | | \$ - | \$ - | | \$ - | \$ - | | \$ - | \$ - | | \$ - | \$ - | \$ - |
| Total | | | \$ - | 0.00 | \$ 1,000,000 | \$ - | 0.00 | \$ 900,964 | \$ - | 0.00 | \$ - | \$ - | 0.00 | \$ - | \$ - | 0.00 | \$ - | \$ - | \$ 1,900,964 |

CBAForm 2 - Project Cost Analysis

| | | | |
|--------|---|---------|-----------------------------------|
| Agency | <u>Florida Department of Transportation</u> | Project | <u>Identity Access Management</u> |
|--------|---|---------|-----------------------------------|

| PROJECT COST SUMMARY | PROJECT COST SUMMARY (from CBAForm 2A) | | | | | TOTAL |
|---|--|-------------|-------------|-------------|-------------|-------------|
| | FY 2018-19 | FY 2019-20 | FY 2020-21 | FY 2021-22 | FY 2022-23 | |
| TOTAL PROJECT COSTS (*) | \$1,000,000 | \$900,964 | \$0 | \$0 | \$0 | \$1,900,964 |
| CUMULATIVE PROJECT COSTS <i>(includes Current & Previous Years' Project-Related Costs)</i> | \$1,000,000 | \$1,900,964 | \$1,900,964 | \$1,900,964 | \$1,900,964 | |

Total Costs are carried forward to CBAForm3 Project Investment Summary worksheet.

| PROJECT FUNDING SOURCES | PROJECT FUNDING SOURCES - CBAForm 2B | | | | | TOTAL |
|--|--------------------------------------|-------------|-------------|-------------|-------------|-------------|
| | FY 2018-19 | FY 2019-20 | FY 2020-21 | FY 2021-22 | FY 2022-23 | |
| General Revenue | \$1,404,964 | \$904,964 | \$0 | \$0 | \$0 | \$2,309,928 |
| Trust Fund | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| Federal Match <input type="checkbox"/> | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| Grants <input type="checkbox"/> | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| Other <input type="checkbox"/> Specify | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| TOTAL INVESTMENT | \$1,404,964 | \$904,964 | \$0 | \$0 | \$0 | \$2,309,928 |
| CUMULATIVE INVESTMENT | \$1,404,964 | \$2,309,928 | \$2,309,928 | \$2,309,928 | \$2,309,928 | |

| 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

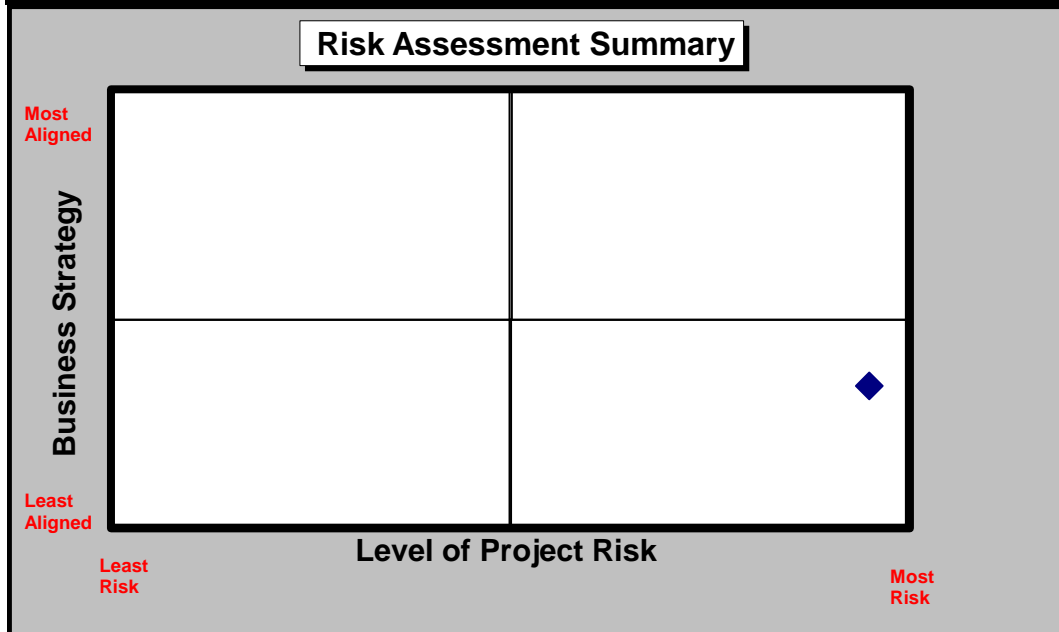
| | | | |
|--------|--|---------|---------------------------------|
| Agency | <u>Florida Department of Transportatic</u> | Project | <u>Identity Access Manageme</u> |
|--------|--|---------|---------------------------------|

| COST BENEFIT ANALYSIS -- CBAForm 3A | | | | | | |
|---|---------------|---------------|---------------|---------------|---------------|------------------------|
| | FY 2018-19 | FY 2019-20 | FY 2020-21 | FY 2021-22 | FY 2022-23 | TOTAL FOR ALL YEARS |
| Project Cost | \$1,000,000 | \$900,964 | \$0 | \$0 | \$0 | \$1,900,964 |
| Net Tangible Benefits | \$0 | (\$112,500) | (\$84,500) | (\$112,500) | (\$112,500) | (\$422,000) |
| Return on Investment | (\$1,000,000) | (\$1,013,464) | (\$84,500) | (\$112,500) | (\$112,500) | (\$2,322,964) |
| 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) | (\$2,214,439) | NPV is the present-day value of the project's benefits less costs over the project's lifecycle. |
| Internal Rate of Return (IRR) | NO IRR | IRR is the project's rate of return. |

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

| | | |
|--|--|------------------|
| Project | <i>Identity Access Management</i> | |
| Agency | <i>Transportation</i> | |
| FY 2018-19 LBR Issue Code: | FY 2018-19 LBR Issue Title: | |
| <i>36238C0</i> | <i>Secure Access Management</i> | |
| Risk Assessment Contact Info (Name, Phone #, and E-mail Address): | | |
| <i>Stephanie Tanner (850)-414-4011 stephanie.tanner@dot.state.fl.us</i> | | |
| Executive Sponsor | <i>April Blackburn, Chief of Transportation Technology</i> | |
| Project Manager | <i>Stephanie Tanner</i> | |
| Prepared By | <i>Stephanie Tanner</i> | <i>8/18/2017</i> |



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

Agency: Transportation

Project: Identity Access Management

| Section 1 -- Strategic Area | | | |
|-----------------------------|---|--|---|
| # | Criteria | Values | Answer |
| 1.01 | Are project objectives clearly aligned with the agency's legal mission? | 0% to 40% -- Few or no objectives aligned | 41% to 80% -- Some objectives aligned |
| | | 41% to 80% -- Some objectives aligned | |
| | | 81% to 100% -- All or nearly all objectives aligned | |
| 1.02 | Are project objectives clearly documented and understood by all stakeholder groups? | Not documented or agreed to by stakeholders | Informal agreement by stakeholders |
| | | Informal agreement by stakeholders | |
| | | Documented with sign-off by stakeholders | |
| 1.03 | Are the project sponsor, senior management, and other executive stakeholders actively involved in meetings for the review and success of the project? | Not or rarely involved | Not or rarely involved |
| | | 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 | Minimal or no external use or visibility |
| | | Moderate external use or visibility | |
| | | Extensive external use or visibility | |
| 1.09 | What is the internal (e.g. state agency) visibility of the proposed system or project? | Multiple agency or state enterprise visibility | Single agency-wide use or visibility |
| | | Single agency-wide use or visibility | |
| | | Use or visibility at division and/or bureau level only | |
| 1.10 | Is this a multi-year project? | Greater than 5 years | Between 1 and 3 years |
| | | Between 3 and 5 years | |
| | | Between 1 and 3 years | |
| | | 1 year or less | |

Agency: Transportation

Project: Identity Access Management

| 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 | Read about only or attended conference and/or vendor presentation |
| | | Supported prototype or production system less than 6 months | |
| | | Supported production system 6 months to 12 months | |
| | | Supported production system 1 year to 3 years | |
| | | Installed and supported production system more than 3 years | |
| 2.02 | Does the agency's internal staff have sufficient knowledge of the proposed 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 |
| | | 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 | Some relevant standards have been incorporated into the proposed technology |
| | | Some relevant standards have been incorporated into the proposed technology | |
| | | Proposed technology solution is fully compliant with all relevant agency, statewide, or industry standards | |
| 2.05 | Does the proposed 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 not understood or defined |
| | | Capacity requirements are defined only at a conceptual level | |
| | | Capacity requirements are based on historical data and new system design specifications and performance requirements | |

Agency: Transportation

Project: Identity Access Management

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

Agency: Agency Name

Project: Project Name

| Section 4 -- Communication Area | | | |
|---------------------------------|--|--|--|
| # | Criteria | Value Options | Answer |
| 4.01 | Has a documented Communication Plan been approved for this project? | Yes | Yes |
| | | No | |
| 4.02 | Does the project Communication Plan promote the collection and use of feedback from management, project team, and business stakeholders (including end users)? | Negligible or no feedback in Plan | Negligible or no 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 | No |
| | | No | |
| 4.04 | Are all affected stakeholders included in the Communication Plan? | Yes | No |
| | | 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 | No |
| | | No | |

Agency: Transportation

Project: Identity Access Management

| Section 5 -- Fiscal Area | | | |
|--------------------------|--|---|---|
| # | Criteria | Values | Answer |
| 5.01 | Has a documented Spending Plan been approved for the entire project lifecycle? | Yes | No |
| | | No | |
| 5.02 | Have all project expenditures been identified in the Spending Plan? | 0% to 40% -- None or few defined and documented | 0% to 40% -- None or few defined and documented |
| | | 41% to 80% -- Some defined and documented | |
| | | 81% to 100% -- All or nearly all defined and documented | |
| 5.03 | What is the estimated total cost of this project over its entire lifecycle? | Unknown | 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%) | Order of magnitude – estimate could vary between 10-100% |
| | | Order of magnitude – estimate could vary between 10-100% | |
| | | Placeholder – actual cost may exceed estimate by more than 100% | |
| 5.06 | Are funds available within existing agency resources to complete this project? | Yes | No |
| | | No | |
| 5.07 | Will/should multiple state or local agencies help fund this project or system? | Funding from single agency | Funding from single agency |
| | | Funding from local government agencies | |
| | | Funding from other state agencies | |
| 5.08 | If federal financial participation is anticipated as a source of funding, has federal approval been requested and received? | Neither requested nor received | 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 | Some 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 | Within 3 years |
| | | Within 3 years | |
| | | Within 5 years | |
| | | More than 5 years | |
| | | No payback | |
| 5.11 | Has the project procurement strategy been clearly determined and agreed to by affected stakeholders? | Procurement strategy has not been identified and documented | Procurement strategy has not been identified and documented |
| | | Stakeholders have not been consulted re: procurement strategy | |
| | | Stakeholders have reviewed and approved the proposed procurement strategy | |
| 5.12 | What is the planned approach for acquiring necessary products and solution services to successfully complete the project? | Time and Expense (T&E) | Combination FFP and T&E |
| | | Firm Fixed Price (FFP) | |
| | | Combination FFP and T&E | |
| 5.13 | What is the planned approach for procuring hardware and software for the project? | Timing of major hardware and software purchases has not yet been determined | Timing of major hardware and software purchases has not yet been determined |
| | | Purchase all hardware and software at start of project to take advantage of one-time discounts | |
| | | Just-in-time purchasing of hardware and software is documented in the project schedule | |
| 5.14 | Has a contract manager been assigned to this project? | No contract manager assigned | Contract manager assigned is not the procurement manager or the project manager |
| | | Contract manager is the procurement manager | |
| | | Contract manager is the project manager | |
| | | Contract manager assigned is not the procurement manager or the project manager | |
| 5.15 | Has equipment leasing been considered for the project's large-scale computing purchases? | Yes | No |
| | | No | |
| 5.16 | Have all procurement selection criteria and outcomes been clearly identified? | No selection criteria or outcomes have been identified | Some selection criteria and 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 | Procurement strategy has not been developed |
| | | Multi-stage evaluation not planned/used for procurement | |
| | | Multi-stage evaluation and proof of concept or prototype planned/used to select best qualified vendor | |
| 5.18 | For projects with total cost exceeding \$10 million, did/will the procurement strategy require a proof of concept or prototype as part of the bid response? | Procurement strategy has not been developed | Not applicable |
| | | No, bid response did/will not require proof of concept or prototype | |
| | | Yes, bid response did/will include proof of concept or prototype | |
| | | Not applicable | |

Agency: Transportation

Project: Identity Access Management

| 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 | None or few have been defined and documented |
| | | Some have been defined and documented | |
| | | All or nearly all have been defined and documented | |
| 6.03 | Who is responsible for integrating project deliverables into the final solution? | Not yet determined | Not yet determined |
| | | Agency | |
| | | System Integrator (contractor) | |
| 6.04 | How many project managers and project directors will be responsible for managing the project? | 3 or more | 1 |
| | | 2 | |
| | | 1 | |
| 6.05 | Has a project staffing plan specifying the number of required resources (including project team, program staff, and contractors) and their corresponding roles, responsibilities and needed skill levels been developed? | Needed staff and skills have not been identified | Needed staff and skills have not been identified |
| | | Some or most staff roles and responsibilities and needed skills have been identified | |
| | | Staffing plan identifying all staff roles, responsibilities, and skill levels have been documented | |
| 6.06 | Is an experienced project manager dedicated fulltime to the project? | No experienced project manager assigned | No, project manager assigned more than half-time, but less than full-time 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 | No, business, functional or technical experts dedicated more than half-time but less than full-time 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 | Half of 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 | No, all stakeholders are not represented on the board |
| | | No, only IT staff are on change review and control board | |
| | | No, all stakeholders are not represented on the board | |
| | | Yes, all stakeholders are represented by functional manager | |

Agency: Transportation

Project: Identity Access Management

| Section 7 -- Project Management Area | | | |
|--------------------------------------|--|--|--|
| # | Criteria | Values | Answer |
| 7.01 | Does the project management team use a standard commercially available project management methodology to plan, implement, and control the project? | No | Yes |
| | | Project Management team will use the methodology selected by the systems integrator | |
| | | Yes | |
| 7.02 | For how many projects has the agency successfully used the selected project management methodology? | None | More than 3 |
| | | 1-3 | |
| | | More than 3 | |
| 7.03 | How many members of the project team are proficient in the use of the selected project management methodology? | None | All or nearly all |
| | | Some | |
| | | All or nearly all | |
| 7.04 | Have all requirements specifications been unambiguously defined and documented? | 0% to 40% -- None or few have been defined and documented | 0% to 40% -- None or few have been defined and documented |
| | | 41 to 80% -- Some have been defined and documented | |
| | | 81% to 100% -- All or nearly all have been defined and documented | |
| 7.05 | Have all design specifications been unambiguously defined and documented? | 0% to 40% -- None or few have been defined and documented | 0% to 40% -- None or few have been defined and documented |
| | | 41 to 80% -- Some have been defined and documented | |
| | | 81% to 100% -- All or nearly all have been defined and documented | |
| 7.06 | Are all requirements and design specifications traceable to specific business rules? | 0% to 40% -- None or few are traceable | 0% to 40% -- None or few are traceable |
| | | 41 to 80% -- Some are traceable | |
| | | 81% to 100% -- All or nearly all requirements and specifications are traceable | |
| 7.07 | Have all project deliverables/services and acceptance criteria been clearly defined and documented? | None or few have been defined and documented | 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 | |
| 7.08 | Is written approval required from executive sponsor, business stakeholders, and project manager for review and sign-off of major project deliverables? | No sign-off required | Review and sign-off from the executive sponsor, business stakeholder, and project manager are required on all major project deliverables |
| | | Only project manager signs-off | |
| | | Review and sign-off from the executive sponsor, business stakeholder, and project manager are required on all major project deliverables | |
| 7.09 | Has the Work Breakdown Structure (WBS) been defined to the work package level for all project activities? | 0% to 40% -- None or few have been defined to the work package level | 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 | |
| | | 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 uses formal 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 | No |
| | | No | |
| 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 |
| | | Some have been defined and documented | |
| | | All known risks and mitigation strategies have been defined | |
| 7.16 | Are standard change request, review and approval processes documented and in place for this project? | Yes | Yes |
| | | No | |
| 7.17 | Are issue reporting and management processes documented and in place for this project? | Yes | Yes |
| | | No | |

Agency: Transportation

Project: Identity Access Management

| 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 | More complex |
| | | More complex | |
| | | Similar complexity | |
| | | Less complex | |
| 8.02 | Are the business users or end users dispersed across multiple cities, counties, districts, or regions? | Single location | More than 3 sites |
| | | 3 sites or fewer | |
| | | More than 3 sites | |
| 8.03 | Are the project team members dispersed across multiple cities, counties, districts, or regions? | Single location | More than 3 sites |
| | | 3 sites or fewer | |
| | | More than 3 sites | |
| 8.04 | How many external contracting or consulting organizations will this project require? | No external organizations | 1 to 3 external organizations |
| | | 1 to 3 external organizations | |
| | | More than 3 external organizations | |
| 8.05 | What is the expected project team size? | Greater than 15 | 5 to 8 |
| | | 9 to 15 | |
| | | 5 to 8 | |
| | | Less than 5 | |
| 8.06 | How many external entities (e.g., other agencies, community service providers, or local government entities) will be impacted by this project or system? | More than 4 | More than 4 |
| | | 2 to 4 | |
| | | 1 | |
| | | None | |
| 8.07 | What is the impact of the project on state operations? | Business process change in single division or bureau | Agency-wide business process change |
| | | Agency-wide business process change | |
| | | Statewide or multiple agency business process change | |
| 8.08 | Has the agency successfully completed a similarly-sized project when acting as Systems Integrator? | Yes | Yes |
| | | No | |
| 8.09 | What type of project is this? | Infrastructure upgrade | Implementation requiring software development or purchasing commercial off the shelf (COTS) software |
| | | 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 | Greater size and complexity |
| | | Lesser size and complexity | |
| | | Similar size and complexity | |
| | | Greater size and complexity | |

SCHEDULE IV-B FOR CONSULTANT INVOICE TRANSMITTAL SYSTEM (CITS) MODERNIZATION

For Fiscal Year 2019-20



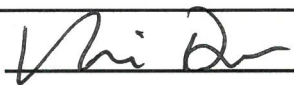
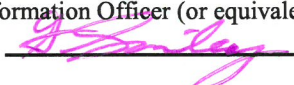
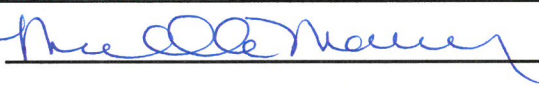

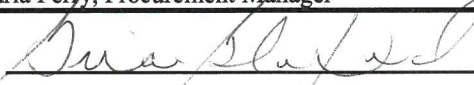
October 19, 2018

FLORIDA DEPARTMENT OF TRANSPORTATION

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I. Schedule IV-B Cover Sheet

| Schedule IV-B Cover Sheet and Agency Project Approval | |
|---|---|
| Agency: Florida Department of Transportation | Schedule IV-B Submission Date: October 15, 2018 |
| Project Name: Consultant Invoice Transmittal System (CITS) Modernization | Is this project included in the Agency's LRPP? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No |
| FY 2019-20 LBR Issue Code: 36237C0 | FY 2019-20 LBR Issue Title: Consultant Invoice Transmittal System (CITS) Modernization |
| Agency Contact for Schedule IV-B (Name, Phone #, and E-mail address): Carla Perry, 850-414-4484, Carla.perry@dot.state.fl.us | |
| AGENCY APPROVAL SIGNATURES | |
| I am submitting the attached Schedule IV-B in support of our legislative budget request. I have reviewed the estimated costs and benefits documented in the Schedule IV-B and believe the proposed solution can be delivered within the estimated time for the estimated costs to achieve the described benefits. I agree with the information in the attached Schedule IV-B. | |
| Agency Head:  | Date: 3 OCT 18 |
| Printed Name: Mike Dew, Secretary of Transportation | |
| Agency Chief Information Officer (or equivalent):  | Date: 10/3/18 |
| Printed Name: Greg Smiley, Chief Information Officer | |
| Budget Officer:  | Date: 10.3.18 |
| Printed Name: Mechelle Marcum, Budget Officer | |
| Planning Officer:  | Date: 10/3/18 |
| Printed Name: Carla Perry, Procurement Manager | |
| Project Sponsor:  | Date: 10-3-18 |
| Printed Name: Brian Blanchard, Assistant Secretary, Engineering and Operations | |
| Schedule IV-B Preparers (Name, Phone #, and E-mail address): | |
| Business Need: | Angela Matiyow, 850-414-4481, angela.matiyow@dot.state.fl.us |
| Cost Benefit Analysis: | Paul Baker, 850-414-4476, Paul.Baker@dot.state.fl.us |
| Risk Analysis: | Robert Skoglund, 850-414-4486, Robert.skoglund@dot.state.fl.us |
| Technology Planning: | Bruce Lytle, 850-414-4680, Bruce.lytle@dot.state.fl.us |
| Project Planning: | Bruce Lytle, 850-414-4680, Bruce.lytle@dot.state.fl.us |

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

A. Background and Strategic Needs Assessment

Purpose: The Consultant Invoice Transmittal System (CITS) Modernization will replace the original version of CITS which is a web-based application developed in 2001. CITS is in direct support of projects identified in the Work Program. 85% of the Department's business is outsourced to Consultants. Payment of those projects are handled through CITS. CITS directly supports the Work Program and is a direct component of contract outsourcing of Work Program and directly supports Preliminary Engineering and Construction, Engineering and Inspection (CEI) procurements under 287.055, F.S. and 23 CFR 172.

The proposed rewrite of the application will eliminate reliance on DB2¹ for CITS data, incorporate the Automated Fee Proposal (AFP), improve system usability, and generate the task work order form from within the application.

**1 DB2 is a family of relational database management system ([RDBMS](#)) products from IBM that serve a number of different [operating system](#) platforms.*

1. Business Need

The Florida Department of Transportation (FDOT) has the authority to enter into contracts and agreements pursuant to section 344.044 (7), F.S. The Department procures professional services agreements in accordance with section 287.055, F.S. for Engineering, Landscape Architectural, Architectural, Surveying and Mapping as well as Right of Way Services (reference section 337.107, F.S.), and Planning Services (reference section 337.1075, F.S.). The Department's mission is to provide a safe statewide transportation system that ensures the mobility of people and goods, enhances economic prosperity, and preserves the quality of Florida's environment and communities. The business objective of the Department's Procurement Offices is to ensure accomplishment of the agency mission through contracting a significant portion of its preliminary engineering, design, planning, and construction support activities.

FDOT manages approximately 2200 active professional services contracts at any given time. These professional services contracts are input into CITS, and 29,513 invoices were paid in CITS last fiscal year, amounting to a total of \$1,092,847,809.00 in payments. The CITS application helps ensure that amounts billed are in compliance with contract terms.

Since CITS's inception in 2001, it significantly improved the Department's invoicing process and Florida became a well-known leader amongst other State DOTs for the implementation of an invoicing system. However, as an aging seventeen-year old application, CITS has reached its useful life. It was coded in older computer languages which prevents any major upgrades without exorbitant maintenance costs. CITS lacks certain innovations that limit both Department and Consultant efficiencies. The technology refresh is needed due to the limitations of the current system. A value engineering study was performed on CITS in 2016, where 46 issues, observations, and obstacles were identified by the value engineering team. Several of the items on the issue list relate to trouble with loading the contract data from the Automated Fee Proposal (AFP) into CITS. For these reasons and to create additional time savings we have proposed to include the AFP as part of the CITS modernization. There are several items on the issue list associated with system restrictions that prevent inputting contract information into the system. To minimize similar disruptions, the requirements for the new system will greatly reduce lock out times and promote a higher functionality of the system overall.

The Department's Office of Information Technology (OIT) has requested the Procurement Office develop business cases for all procurement systems that will need to migrate DB2 to SQL Server.

CITS currently uses DB2 tables. A system change would allow for better integration to enterprise applications using SQL Server, per OIT. SQL Server provides consistency of the data across different Department applications, and better reporting.

The current AFP is a write-protected Excel spreadsheet that includes formulas and macros. It was developed to standardize the professional services consultant fee proposal submittal process and provide efficiency on contract

SCHEDULE IV-B FOR CONSULTANT INVOICE TRANSMITTAL SYSTEM (CITS) MODERNIZATION

uploads into CITS. It has received minor upgrades since implementation in 2002. The AFP macros render the spreadsheet, and by extension the Department and consultant computer resources, vulnerable to viruses. The AFP is a 13.5 megabyte spreadsheet that requires large amounts of data storage to save the file. Additional processes are necessary to upload the data using a separate File Transfer Protocol (FTP) software called WS_FTP IPSWITCH. To use IPSWITCH each district must purchase separate licenses per person. IPSWITCH also uses additional computer resources for storing and uploading data. The AFP upload process does not occur immediately as it requires an overnight batch process. Upload time is further increased if the advertisement number has been previously used. Consultants have expressed the desire to have an easier format to submit fee proposal information. The ideal location for fee proposal information to be input would be in a module in the CITS application, since that is where the information will ultimately reside.

Integrating the AFP into the CITS replacement application will reduce resource usage and time spent troubleshooting AFP formula errors. The need for this system integration is supported by a Value Engineering (VE) study initiated by District 4. The VE study found, “development of a web based system for the AFP would be extremely beneficial to avoid multiple uploads of a failed AFP to test for the cause of problems, reduce file corruption, create easier access, faster reviewing, faster editing, and provide quality control for the consultants.” Due to the limitations of spreadsheets it is difficult to identify errors and corruptions that occur.

Limitations from the current system:

1. The data resides in DB2 tables. OIT has advised procurement that all applications that are reliant on DB2 tables will have to be migrated to SQL Server before retirement of DB2.
2. The current system has system architecture that restricts one financial project number to a Task Work Order (TWO). The current business rule needs to be revisited, as it hinders TWO flexibility.
3. The number of contract rates displayed in CITS (Paging Functionality) is restricted. To remedy this would require a COOL:Gen system upgrade costing \$50,000 annually.
4. The current CITS system lacks the ability to modify consultants as a result of a contract assignment agreement (name change or merger).
5. Reporting in CITS is substandard, and difficult to navigate without training. To extract information from the system, Procurement must often resort to requesting a manual data extract from OIT. A new system would allow for the users to gather the same information on demand.
6. E-mail notifications are not configurable under the current system. The new system should provide functionality to send additional reminders or to include hyperlinks in the e-mail.
7. The new system will allow for the creation of the Task Work Orders, Task Work Order Amendments, and Consultant Fee Sheets. The change would reduce errors in CITS and settlement agreements associated with unauthorized consultants and rates. It would eliminate errors associated with selecting methods of payment not allowed by the contract terms.
8. The new system should allow for the creation of Amendments, only by Procurement Staff.
9. The new system needs to interface with Professional Services Information – Contract Development (PSI-CD) and Equal Opportunity Compliance System (EOC) to eliminate duplication of efforts.
10. The CITS replacement should accommodate the upload of supporting documentation for invoicing and for negotiation into the system.
11. A certification that timely payments are being made to subconsultants by the prime. This was a request by small businesses.
12. The ability for a project manager to select the encumbrance line to pay from.

2. Business Objectives

The below are FDOT’s business objectives in procuring a vendor to develop the new CITS modernization to replace an end of life product. The new application will improve efficiencies and productivity as well as maintain the auditability, and support the retention of records in accordance with Chapters 119 and 257, Florida Statutes. More

specifically, the deliverables that will be expected are as follows:

A new invoicing system that integrates:

1. SQL Server tables
2. Fee Proposal Functionality
3. Automated Task Work Order generation
4. Automated Task Work Order amendment generation
5. Automated Contract Amendment generation
6. Automated Consultant Fee Sheet generation
7. Enhanced customized reports
8. Greater paging functionality
9. Configurable e-mail notifications
10. Allows multiple financial project numbers for a Task Work Order
11. Incorporates supporting documentation for invoices
12. Incorporates supporting documentation for negotiation
13. Integration and improvement of fee proposal information for negotiations and TWO development
14. Collaboration between consultant and department during the negotiation process

The new invoicing system will create time savings on:

15. Task Work Order creation and review
16. Drafting Amendments
17. Troubleshooting AFP
18. Reduced settlement agreements
19. Consultants entering payment information into EOC
20. OIT creating special reports

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)

Professional Consultant Contracting

Florida law requires state agencies using professional consultants to acquire the services of those consultants by competitive negotiation. The process mandated by statute (s. 287.055, F.S.), administrative rule (Rule 14-75, F.A.C.), and departmental operating procedures requires a competitive selection of the consultants based on qualifications, followed by a negotiation process to establish a fee for the desired services. A summary of the various aspects of the Department's contracting process for these services follow:

Professional Services

The types of services statutorily designated for this process include engineering, survey and mapping, architecture, landscape architecture, planning, and right of way services. The Department typically uses this process for activities including planning, project development and environmental studies, design, construction engineering inspection (CEI), and right of way services.

Prequalification Process

The Department has identified a number of types of work for which consultants are

frequently used. Consultants desiring to compete for contracts in these standard types of work are required to prequalify annually. This process involves demonstration of technical qualification for requested types of work as well as administrative qualification.

Administrative qualification includes demonstration of an adequate job cost accounting system and submittal of an overhead audit performed by an independent CPA. Consultants may elect to become only technically qualified or to become technically qualified with an approved unlimited audit. To contract with the Department, consultants must be technically qualified in accordance with the advertisement language. If the total contract cost exceeds \$500,000, the consultant must be technically qualified with an approved unlimited audit.

Subconsultants who are used to meet qualification requirements for responses to advertised Department projects must be technically qualified. Technically qualified consultants, whose work is to exceed \$500,000, must also have an acceptable job cost accounting system and must submit an overhead audit performed by an independent CPA.

Prequalification is not required for professional services that do not conform to the Department's standard types of work. However, consultants selected for such services are required to have an acceptable job cost accounting system and independent overhead rate audit performed by a CPA if the contract fee exceeds \$500,000. Additionally, the Consultant must submit proof of professional liability insurance and have an active Certificate of Authorization.

Advertisement of Projects

Annually, the Department develops a list of planned consultant projects for each district with anticipated solicitation dates. These are published on the Department's Procurement website as planned projects. Then, each week, a list of actual solicitations is published on the Professional Services advertisements website as current advertisements. This announcement requests letters of response from any consultants who are prequalified in the needed type(s) of work and are interested in being considered for the project. The letters of response are submitted on a standard form in accordance with the advertisement.

Shortlisting Process

All letters of response from prequalified firms are reviewed, together with the Detailed Consultant Analysis Report (or shortlist profile) on the respondents based on prequalification information and past performance with the Department. A technical review committee provides recommendations as to the top ten respondents to a selection committee composed of top management personnel. The selection committee then selects at least three of the respondents as a shortlist. An announcement of the consultants shortlisted for the project is published on the advertisement website.

Final Selection Process

The shortlisted consultants are provided a formal request for proposal (RFP) which will include a copy of the scope of service. For more complex projects, a Scope of Services meeting may be held to discuss the scope of services as well as addressing any other questions from the shortlisted consultants. The RFP will specify whether proposals are to be written, or the consultant will participate in an oral presentation, or interviews, or a combination thereof. Upon receipt of the technical proposals, they are scored by the technical review committee. The selection committee then reviews the scores along with other pertinent information and ranks the consultants in order of preference. The resulting ranking

for the project is published on the advertisement website.

Negotiation of Fee

The number one ranked consultant is requested to provide a fee proposal for the project, and an independent staff hour estimate is prepared by the Department. Negotiations are conducted to resolve any differences between the Consultant and FDOT staff hour estimates and to establish fair, competitive and reasonable rates for consultant personnel and for any direct expenses. Typically, the fee is developed using negotiated staff hours, negotiated hourly rates for staff, actual consultant overhead (based on the overhead audit), audited FCCM (Facilities Capital Cost of Money) and audited direct expense rate, and negotiated operating margin. The fee may be structured as a lump sum amount, a limiting amount based on actual hours worked or as a combination of the two.

If an agreed upon fee cannot be negotiated, negotiations with the number one ranked firm are terminated and negotiations are begun with the number two ranked firm. The process is continued in this manner until a fee is established.

Structure of Contract

The standard format for professional consultant contracts include a standard contract document which specifies the term of the agreement as well as the legal responsibilities and rights of both parties, an Exhibit A which describes the scope of services, and an Exhibit B which describes the method of compensation.

As described above, the method of compensation may be established a lump sum amount or as a limiting amount. With a lump sum agreement, the consultant will be provided an agreed upon amount for completion of the contract, regardless of the effort expended in completing the services. With a limiting amount agreement, the consultant is obligated to complete the services with compensation based upon documented actual hours worked and/or expenses incurred up to the agreed upon limiting amount. For task assignment type contracts, a fee is negotiated with each task work order. Task work orders may be lump sum, limiting amount, or a combination.

Contract Modification

Within prevailing law, contract terms may be amended upon mutual agreement of both parties to the contract. If additional services are determined to be required during the course of the project, a contract amendment may be negotiated to provide for such services.

Performance Evaluation

The consultant is given a performance evaluation by the Department's project manager. The Performance evaluations are based on quality, scheduling and management. The consultant is provided a copy of the performance rating and it is entered into the Department's database for consideration at the time of future selections.

Contract Auditing

Consultant contracts are subject to a post audit at the completion of the services or at other times within the term of the project.

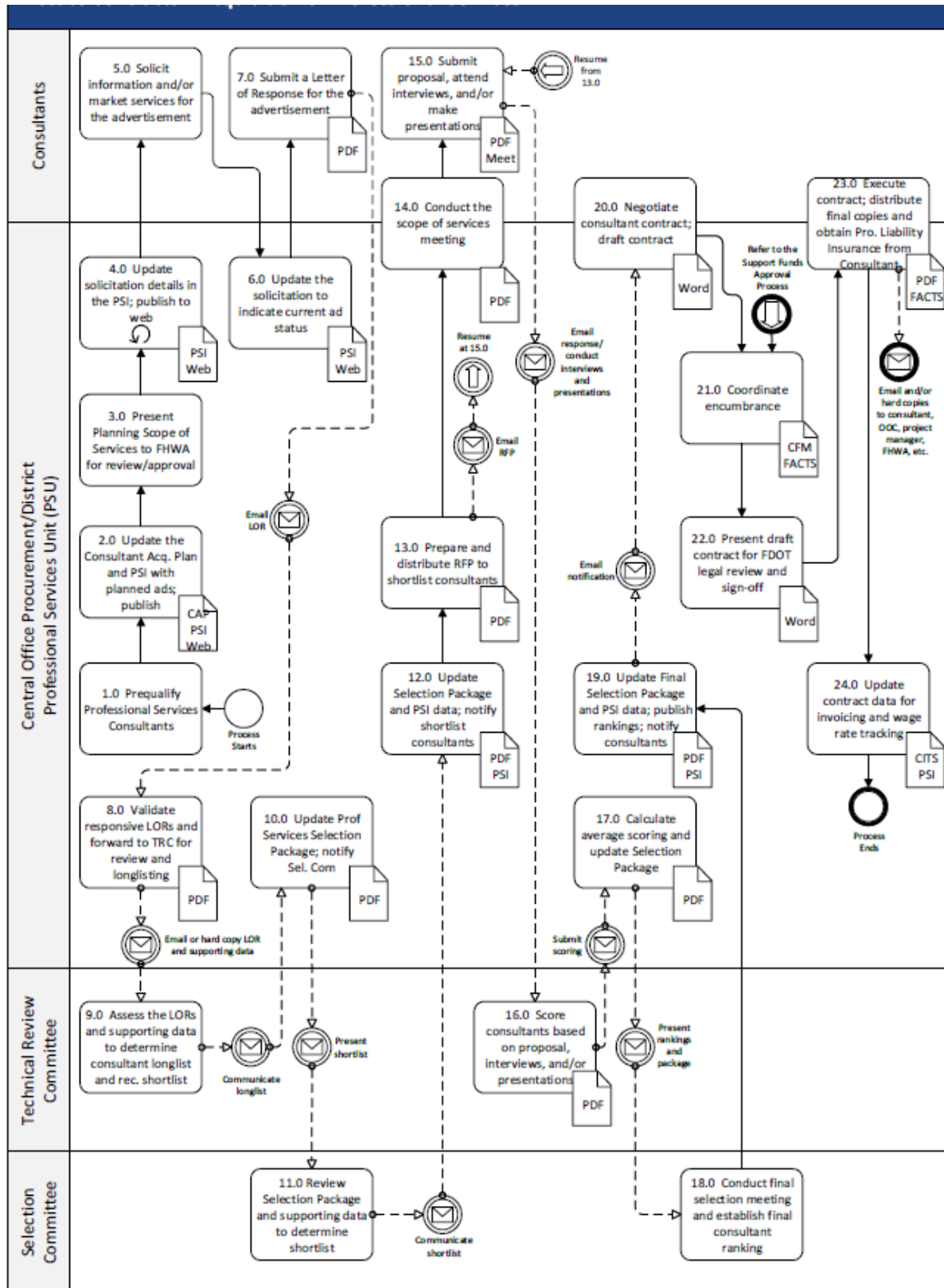
Pertinent Statutes and Administrative Rules:

SCHEDULE IV-B FOR CONSULTANT INVOICE TRANSMITTAL SYSTEM (CITS) MODERNIZATION

Section 287.055, Florida Statutes
Section 337.105, Florida Statutes
Section 337.107, Florida Statutes
Section 337.1075, Florida Statutes
Chapter 14-75, Florida Administrative Code

Below is a visual depiction of the procurement process:

SCHEDULE IV-B FOR CONSULTANT INVOICE TRANSMITTAL SYSTEM (CITS) MODERNIZATION



The above is the standard procurement process, however, the negotiations process is very detailed. As a final step in the process, the Central Office Procurement /District PSU staff updates the Consultant Invoice Transmittal System (CITS) for project invoicing. To do so, the AFP is converted to a PRN file and uploaded into the CITS application using the Ipswitch WS_FTP file transfer software. Concurrent with loading the AFP contract information into CITS, the contract average wage rate data from the AFP is also uploaded into the PSI database via the Ipswitch WS_FTP. The average wage rate data is used by FDOT and the consultants for purposes of comparison of the proposed salary or billing rates with prevailing rates for the class of personnel, as part of contract negotiations.

2. Assumptions and Constraints

If the existing application is not able to be re-written, the Department must continue using the existing aging application which would require a Coolgen upgrade at a cost of an additional \$50,000 annually. This upgrade does not include code fixes and time spent managing necessary enhancements, database updates, testing, and code changes associated with the enhancements. Additionally, the tables will continue to reside in DB2 which is part of the mainframe. The Department is trying to eliminate the need to store things on the mainframe due to its costly maintenance

The CITS replacement is a mission critical requirement. There are multiple Districts and program offices championing this request including District 3, District 4 (reference attached Value Engineering study), District 6 (Innovators Task Team), Central Office OIT, Central Office Construction Office, and the Florida Institute of Consulting Engineers (FICE). A CITS replacement will achieve significant time savings.

The system rewrite will meet OIT's requirement to migrate DB2 tables to SQL Servers. The new system will provide improved usability, error free contracts, a better look and feel, simplified screens, better flow, simpler navigation, and eliminate redundancies of entering data into multiple systems.

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 Requirement

See attachment.

2. Business Solution Alternatives

Upgrade the current application to SQL server.

3. Rationale for Selection

The Department's invoicing system is a leader as compared to other State DOTs. However, as an aging seventeen-year old application, CITS has reached its useful life.

4. Recommended Business Solution

Modernization of CITS will increase efficiencies in multiple program areas, and external consultants will realize considerable time savings, ultimately resulting in cost savings for the Department.

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.

D. Functional and Technical Requirements

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

See attached.

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 | No system-wide interruption to the ability of the prime firms to create and submit invoices to the Department. | Scheduled and unplanned interruptions to service will be minimized once the new system is in place. | FDOT and External Stakeholders | 07/21 |
| 2 | Minimal interruption of the Procurement Office's ability to add new and update existing contract and AFP data. | Will be measured by having less than 1% total delays in the ability to add new and update existing contract and AFP data. | FDOT and External Stakeholders | 07/21 |
| 3 | Successful migration of active contract data from the current database to the new database. | The department will conduct quality control checks of the migrated data of active contracts to ensure a minimum of 99% accuracy. | FDOT and External Stakeholders | 07/21 |
| 4 | Timely and accurate reporting | Provide timely and accurate reports to the Department, Consultants and Public, with minimal errors. | FDOT, External Stakeholders, and the public. | 07/21 |
| 5 | Ad hoc reporting | The data can be retrieved from the web-based | FDOT, External Stakeholders, | 07/21 |

| SUCCESS CRITERIA TABLE | | | | |
|------------------------|--|---|--|-------|
| | | application with little to no delay. | legislature, and the public. | |
| 6 | Successful tracking of individual project expenditures | Projects will not be able to exceed the allowable amount of expenditures. | FDOT, External Stakeholders | 07/21 |
| 7 | Accurate Status Update | Users can retrieve a real time snapshot of the status of individual or multiple projects. | FDOT, External Stakeholders | 07/21 |
| 8 | FHWA Funds Tracking | Users can successfully track the payments made on contracts using federal funds. | FDOT, External Stakeholders, and the public. | 07/21 |
| 9 | Automated Fee Proposal will function without loss of data. | Scheduled and unplanned interruptions to service will be minimized once the new system is in place. | FDOT, External Stakeholders | 07/21 |
| 10 | No loss of connectivity to other systems | Scheduled and unplanned interruptions to service will be minimized once the new system is in place. | FDOT, External Stakeholders | 07/21 |
| 11 | Intuitive | 90% of the users will be able to successfully operate the application with little to no training. | FDOT, External Stakeholders | 07/21 |

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

SCHEDULE IV-B FOR CONSULTANT INVOICE TRANSMITTAL SYSTEM (CITS) MODERNIZATION

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

| BENEFITS REALIZATION TABLE | | | | | |
|-----------------------------------|---|----------------------------------|--|---|---------------------------------|
| # | Description of Benefit | Who receives the benefit? | How is benefit realized? | How is the realization of the benefit measured? | Realization Date (MM/YY) |
| 1 | Reduction in risk due to project end of useful life | FDOT & external stakeholders | FDOT & external stakeholders will not experience delays in processing data | Reduction in staff time and costs related to application failure. | 07/21 |
| 2 | Increase efficiencies in accessing and reporting data | FDOT | Ease of use and reduction in time spent accessing and creating reports | Representative sample will be taken during performed task. | 07/21 |

B. Cost Benefit Analysis (CBA)

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

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

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

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

V. Schedule IV-B Major Project Risk Assessment

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

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

The Risk Assessment Tool and Risk Assessment Summary are included in Appendix B 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.

SCHEDULE IV-B FOR CONSULTANT INVOICE TRANSMITTAL SYSTEM (CITS) MODERNIZATION

| | | |
|--|-------------------------------------|-----------------------|
| Project | <i>CITS Rewrite</i> | |
| Agency | <i>Department of Transportation</i> | |
| FY 2019-20 LBR Issue Code: | FY 2019-20 LBR Issue Title: | |
| <i>Issue Code</i> | <i>Issue Title</i> | |
| Risk Assessment Contact Info (Name, Phone #, and E-mail Address): | | |
| <i>Robert Skoglund, 414-4486, robert.skoglund@dot.state.fl.us</i> | | |
| Executive Sponsor | <i>Brian Blanchard</i> | |
| Project Manager | <i>Project Manager Name</i> | |
| Prepared By | <i>Robert Skoglund</i> | <i>7/16/2018</i> |
| Risk Assessment Summary | | |
| Business Strategy | Most Aligned | Level of Project Risk |
| | Least Aligned | |
| | Least Risk | Most Risk |
| Project Risk Area Breakdown | | |
| Risk Assessment Areas | | <i>Risk Exposure</i> |
| Strategic Assessment | | LOW |
| Technology Exposure Assessment | | LOW |
| Organizational Change Management Assessment | | MEDIUM |
| Communication Assessment | | LOW |
| Fiscal Assessment | | MEDIUM |
| Project Organization Assessment | | LOW |
| Project Management Assessment | | LOW |
| Project Complexity Assessment | | MEDIUM |
| Overall Project Risk | | MEDIUM |

VI. Schedule IV-B Technology Planning

A. Current Information Technology Environment

1. Current System

The Consultant Invoice Transmittal System (CITS) is a web-based application developed in 2001. CITS is the application used by 99.9% of consultants to bill the department for work performed on professional services contracts.

The Automated Fee Proposal (AFP) is a write-protected Excel spreadsheet that includes formulas and macros. It was developed to standardize the professional services consultant fee proposal submittal process and provide efficiency on contract uploads into CITS.

a. Description of Current System

CITS runs on server <https://fdotwpl.dot.state.fl.us>. CITS was built and maintained using Cool:Gen development tools and runs DB2 and Oracle databases. CITS is used by Procurement as a means of tracking contract data such as the contract method of compensation, task work orders, amendments and funding. It is used by the consultant community to track and invoice contract activity, by the project management community to review and approve invoices, and by Financial Services to review and approve the consultant invoices for payment. In addition to the necessity of upgrading the CITS servers from DB2 and Oracle to SQL Server, the CITS application has long outlasted its 10-year life expectancy and is need of major updates as supported in a 2016 Value Engineering Study of CITS.

The AFP has received minor maintenance enhancements since implementation in 2002, however, it uses an aging file format (Excel 95). Consultant users have expressed security concerns about the Excel 95 file format. The large number of AFP macros render the spreadsheet, and by extension the Department and consultant computer resources, vulnerable to viruses. The AFP is a 13.5 megabyte spreadsheet that requires large amounts of data storage to save multiple submittals of the file. Additional processes are necessary to upload the data using a separate File Transfer Protocol (FTP) software called WS_FTP IPSWITCH. In order to use IPSWITCH each district must purchase separate licenses per person, making the use of the FTP costly and inefficient. IPSWITCH also uses additional computer resources for storing and uploading data adding to the already high space cost of saving submittals. The AFP upload process does not occur immediately as it requires an overnight batch process meaning that until the batch load is complete, users are not seeing the most recent data record until the day after submitting the AFP, creating more inefficiencies.

b. Current System Resource Requirements

CITS currently utilizes the following hardware and software:

Hardware Inventory

1. IBM
 - a. CICS
 - b. Communication Bridge
 - c. DB2
 - d. Mainframe Scheduler
 - e. RACF - Security
2. CA-Gen (CASE tool)
3. IBI z/Server Focus (Reporting)

Software Inventory

1. Classic ASP

- a. Intranet Web App
- b. Internet Web App
- 2. Enterprise Email
- 3. IBI WebFocus (Reporting)
- 4. Oracle Database
- 5. IBI Managed Reporting Environment
- 6. Batch Job Scheduler (BJS)

c. Current System Performance

There are 80 defined CICS transactions for the CITS application. These transactions are the number one application user (excluding WebFOCUS) as the latest mainframe process statistics demonstrate below:

| APPL | SSID | % CPU | % Total | CPU Time | Count | % Total Count | Application Group |
|------|------|--------|---------|-------------|------------|---------------|-------------------|
| CITS | DSN | 22.68% | 11.16% | 306.85 hrs. | 14,604,722 | 22.56% | B.1 CITS |

CITS currently has CPU usage of 22.98%, CPU time is 306.85 hours for 14,604,722 transactions as shown above. The application is relatively stable and performing with good response times therefore meeting current workload requirements.

CITS uses Excel 95 for Automated Fee Proposals (AFP). Excel 95 is an aging file format about which consultant users have expressed security concerns. The AFP spreadsheet is composed of a large number of macros requiring high amounts of data storage to save multiple files. Additional processes are required to upload the data using a File Transfer Protocol (FTP) which must occur through an overnight batch upload. A more efficient means of AFP processing is needed due to the current format’s vulnerability to viruses, consultant security concerns, large amounts of data storage, and excessive processing procedures.

2. Information Technology Standards

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

B. Current Hardware and/or Software Inventory

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

Current Hardware

The systems supporting CITS exist on both mainframe and web environments. The CITS mainframe environment consists of a z/Server housed at the SSRC. It also includes hosting instances of internet and intranet applications. The following are technologies which reside on the z/Server:

- IBM
 - CICS
 - Communication Bridge
 - DB2
 - Mainframe Scheduler
 - RACF - Security

CA-Gen (CASE tool)
IBI z/Server Focus (Reporting)

Current Software

The mixture of software, programming languages, databases and protocols supporting the CITS Windows environment includes the following:

Classic ASP

- Intranet Web App
- Internet Web App

Enterprise Email

IBI WebFocus (Reporting)

Oracle Database

IBI Managed Reporting Environment

Batch Job Scheduler (BJS)

Excel 95 (AFP)

C. Proposed Technical Solution

1. Technical Solution Alternatives

- a. Upgrade the platform to current web standards and SQL Server Databases and include integration of the Automated Fee Proposal and other business processes currently missing from CITS.
- b. Continue using the applications as is. The current CITS application will become increasingly more outdated and will eventually not meet the department needs. CITS Users will continue to rely on other applications and tools to support the business processes lacking in CITS.

2. Rationale for Selection

The proposed new system will reduce risk by updating both the CITS code and data platforms as well as updating CITS to meet the current business needs of the department. Continuing the use of outdated tools increases risk, increases cost of mitigation, and decreases efficiency and productivity. Updating to current web standards and moving from DB2 to SQL Server Databases will not only reduce risk and cost, but will also allow for more accessible scalability and future growth in a more maintainable space.

The proposed integration of the AFP workbook with the application brings many benefits, including gaining efficiencies with less overhead of maintaining multiple applications. Using an outdated format such as the currently utilized Excel 95 presents a high risk for all parties involved, including FDOT and consultant users, and the risk of a data or security breach through use of a virus presents an issue that could have statewide implications. Being able to access AFP through the CITS application will increase efficiency and usability in addition to the efficiency gains of avoiding the time-consuming process of utilizing an FTP and the batch load process.

3. Recommended Technical Solution

The recommended technical solution is to have a vendor build a replacement application to upgrade the platform to current web standards and SQL server databases and include integration of the Automated Fee Proposal and other business processes currently missing from CITS.

D. Proposed Solution Description

1. Summary Description of Proposed System

The new application would integrate the following components: SQL server tables, standardized fee proposal functionality, automated task work order generation, automated task work order amendment generation, automated contract amendment generation, automated consultant fee sheet generation, enhanced customized reports, greater paging functionality, configurable e-mail notifications, handling of multiple financial project numbers to a single task work order, incorporate supporting documentation for invoices, incorporate supporting documentation for negotiation, integration and improvement of fee proposal information for negotiations and TWO development, allow collaboration between consultant and department during the negotiation process.

The new system would create time and cost savings by significantly reducing the effort of task work order creation and review, drafting amendments, and will result in less time spent troubleshooting AFP, reduced settlement agreements, elimination of redundant data entry into the Equal Opportunity Compliance system, and the need for OIT to create special reports.

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

The Department's estimate is approximately 3 million dollars over two years (non-recurring) for requirements gathering, design, development, testing, oversight, implementation, and warranty; \$400,000 for project oversight, \$380,000 for maintenance for the first 2 years following implementation, \$200,000 for maintenance for years 3-6, and \$100,000 for maintenance for every subsequent year thereafter.

E. Capacity Planning

(historical and current trends versus projected requirements)

FDOT's data requirements for the current application identified a current data storage usage of 785GB to 800GB, which includes active and archive vendor contract invoice data. The anticipated solution will provide storage capacity at a minimum of 800GB. This is anticipated to fulfill FDOT's data requirements for the new application as growth is relatively stable and therefore unlikely to exceed the proposed storage.

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

3,962 internal and external users operate within the current CITS application. Due to planning for future construction projects being relatively consistent and stable, usage requirements are not expected to rise. However, additional users can be accommodated within the system with no impact to system operations.

VII. Schedule IV-B Project Management Planning

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

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

See File "CITS Project Management Plan 8-23-18.doc"

VIII. Appendices

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

- A. Cost Benefit Analysis
- B. Project Risk Assessment
- C. Project Management Plan
- D. CITS Requirements
- E. Value Engineering Study
- F. CITS Consultant Survey

CBAForm 1 - Net Tangible Benefits

| | | | |
|--------|--------------------------------------|---------|--------------------|
| Agency | Florida Department of Transportation | Project | CITS Modernization |
|--------|--------------------------------------|---------|--------------------|

| Net Tangible Benefits - Operational Cost Changes (Costs of Current Operations versus Proposed Operations as a Result of the Project) and Additional Tangible Benefits -- CBAForm 1A | | | | | | | | | | | | | | | |
|---|-------------------------------|--------------------------------|--|-------------------------------|--------------------------------|--|-------------------------------|--------------------------------|--|-------------------------------|--|--|-------------------------------|--------------------------------|--|
| Agency <i>(Recurring Costs Only -- No Project Costs)</i> | FY 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 | \$4,737,986 | \$0 | \$4,737,986 | \$4,737,986 | \$0 | \$4,737,986 | \$4,737,986 | -\$1,785,275 | \$2,952,711 | \$4,737,986 | -\$1,785,275 | \$2,952,711 | \$4,737,986 | -\$1,785,275 | \$2,952,711 |
| 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) | \$910,586 | \$0 | \$910,586 | \$910,586 | \$0 | \$910,586 | \$910,586 | -\$350,000 | \$560,586 | \$910,586 | -\$350,000 | \$560,586 | \$910,586 | -\$350,000 | \$560,586 |
| 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) | \$3,827,400 | \$0 | \$3,827,400 | \$3,827,400 | \$0 | \$3,827,400 | \$3,827,400 | -\$1,435,275 | \$2,392,125 | \$3,827,400 | -\$1,435,275 | \$2,392,125 | \$3,827,400 | -\$1,435,275 | \$2,392,125 |
| 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 | \$90,000 | \$0 | \$90,000 | \$90,000 | \$0 | \$90,000 | \$90,000 | \$290,620 | \$380,620 | \$90,000 | \$290,620 | \$380,620 | \$90,000 | \$110,035 | \$200,035 |
| B-1. Managed Services (Staffing) | \$90,000 | \$0 | \$90,000 | \$90,000 | \$0 | \$90,000 | \$90,000 | \$290,620 | \$380,620 | \$90,000 | \$290,620 | \$380,620 | \$90,000 | \$110,035 | \$200,035 |
| B-2. Hardware | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| B-3. Software | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| B-4. Other <i>Specify</i> | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| C. Data Center Provider Costs | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| C-1. Managed Services (Staffing) | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| C-2. Infrastructure | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| C-3. Network / Hosting Services | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| C-4. Disaster Recovery | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| C-5. Other <i>Specify</i> | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| D. Plant & Facility Costs | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| E. Other Costs | \$2,580 | \$0 | \$2,580 | \$2,580 | \$0 | \$2,580 | \$2,580 | \$2,580 | \$5,160 | \$2,580 | \$0 | \$2,580 | \$2,580 | \$0 | \$2,580 |
| E-1. Training | \$1,080 | \$0 | \$1,080 | \$1,080 | \$0 | \$1,080 | \$1,080 | \$1,080 | \$2,160 | \$1,080 | \$0 | \$1,080 | \$1,080 | \$0 | \$1,080 |
| E-2. Travel | \$1,500 | \$0 | \$1,500 | \$1,500 | \$0 | \$1,500 | \$1,500 | \$1,500 | \$3,000 | \$1,500 | \$0 | \$1,500 | \$1,500 | \$0 | \$1,500 |
| E-3. Other <i>Specify</i> | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| Total of Recurring Operational Costs | \$4,830,566 | \$0 | \$4,830,566 | \$4,830,566 | \$0 | \$4,830,566 | \$4,830,566 | -\$1,492,075 | \$3,338,491 | \$4,830,566 | -\$1,494,655 | \$3,335,911 | \$4,830,566 | -\$1,675,240 | \$3,155,326 |
| F. Additional Tangible Benefits: | | \$0 | | | \$0 | | | \$0 | | | \$0 | | | \$0 | |
| F-1. <i>Specify</i> | | \$0 | | | \$0 | | | \$0 | | | \$0 | | | \$0 | |
| F-2. <i>Specify</i> | | \$0 | | | \$0 | | | \$0 | | | \$0 | | | \$0 | |
| F-3. <i>Specify</i> | | \$0 | | | \$0 | | | \$0 | | | \$0 | | | \$0 | |
| Total Net Tangible Benefits: | | \$0 | | | \$0 | | | \$1,492,075 | | | \$1,494,655 | | | \$1,675,240 | |

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

Florida Department of Transportation

CITS Modernization

CBA Form 2A Baseline Project Budget

Costs entered into each row are mutually exclusive. Insert rows for detail and modify appropriation categories as necessary, but do not remove any of the provided project cost elements. Reference vendor quotes in the Item Description where applicable. Include only one-time project costs in this table. Include any recurring costs in CBA Form 1A.

| Item Description <i>(remove guidelines and annotate entries here)</i> | Project Cost Element | Appropriation Category | Current & Previous Years Project-Related Cost | FY2019-20 | | FY2020-21 | | FY2021-22 | | FY2022-23 | | FY2023-24 | | TOTAL | | | | | |
|---|---------------------------------------|------------------------|---|-------------|---------------------|------------------|--------------|---------------------|------------------|-------------|-------------|------------------|-------------|-------------|------------------|-------------|-------------|------------------|---------------------|
| | | | | YR 1 # | YR 1 LBR | YR 1 Base Budget | YR 2 # | YR 2 LBR | YR 2 Base Budget | YR 3 # | YR 3 LBR | YR 3 Base Budget | YR 4 # | YR 4 LBR | YR 4 Base Budget | YR 5 # | YR 5 LBR | YR 5 Base Budget | TOTAL |
| | | | | | | | | | | | | | | | | | | | |
| | | | \$ - | | | | | | | | | | | | | | | \$ 2,957,075 | |
| | | | \$ 1,044,341 | | | | \$ 1,912,734 | | | \$ - | | \$ - | | \$ - | | | | \$ 2,957,075 | |
| Costs for all state employees working on the project. | FTE | S&B | \$ - | 0.00 | \$ - | \$ - | 0.00 | \$ - | \$ - | 0.00 | \$ - | \$ - | 0.00 | \$ - | \$ - | 0.00 | \$ - | \$ - | |
| Costs for all OPS employees working on the project. | OPS | OPS | \$ - | 0.00 | \$ - | \$ - | 0.00 | \$ - | \$ - | 0.00 | \$ - | \$ - | 0.00 | \$ - | \$ - | 0.00 | \$ - | \$ - | |
| Staffing costs for personnel using Time & Expense. | Staff Augmentation | Contracted Services | \$ - | 0.00 | \$ - | \$ - | 0.00 | \$ - | \$ - | 0.00 | \$ - | \$ - | 0.00 | \$ - | \$ - | 0.00 | \$ - | \$ - | |
| Project management personnel and related deliverables. | Project Management | Contracted Services | \$ - | 0.00 | \$ 393,120 | \$ - | 0.00 | \$ 393,120 | \$ - | 0.00 | \$ - | \$ - | 0.00 | \$ - | \$ - | 0.00 | \$ - | \$ - | |
| Project oversight to include Independent Verification & Validation (IV&V) personnel and related deliverables. | Project Oversight | Contracted Services | \$ - | 0.00 | \$ - | \$ - | 0.00 | \$ - | \$ - | 0.00 | \$ - | \$ - | 0.00 | \$ - | \$ - | 0.00 | \$ - | \$ - | |
| Staffing costs for all professional services not included in other categories. | Consultants/Contractors | Contracted Services | \$ - | 0.00 | \$ 651,221 | \$ - | 0.00 | \$ 1,519,614 | \$ - | 0.00 | \$ - | \$ - | 0.00 | \$ - | \$ - | 0.00 | \$ - | \$ - | |
| Separate requirements analysis and feasibility study procurements. | Project Planning/Analysis | Contracted Services | \$ - | | \$ - | \$ - | | \$ - | \$ - | | \$ - | \$ - | | \$ - | \$ - | | \$ - | \$ - | |
| Hardware purchases not included in data center services. | Hardware | OCO | \$ - | | \$ - | \$ - | | \$ - | \$ - | | \$ - | \$ - | | \$ - | \$ - | | \$ - | \$ - | |
| Commercial software purchases and licensing costs. | Commercial Software | Contracted Services | \$ - | | \$ - | \$ - | | \$ - | \$ - | | \$ - | \$ - | | \$ - | \$ - | | \$ - | \$ - | |
| Professional services with fixed-price costs (i.e. software development, installation, project documentation) | Project Deliverables | Contracted Services | \$ - | | \$ - | \$ - | | \$ - | \$ - | | \$ - | \$ - | | \$ - | \$ - | | \$ - | \$ - | |
| All first-time training costs associated with the project. | Training | Contracted Services | \$ - | | \$ - | \$ - | | \$ - | \$ - | | \$ - | \$ - | | \$ - | \$ - | | \$ - | \$ - | |
| Include the quote received from the data center provider for project equipment and services. Only include one-time project costs in this row. Recurring, project-related data center costs are included in CBA Form 1A. | Data Center Services - One Time Costs | Data Center Category | \$ - | | \$ - | \$ - | | \$ - | \$ - | | \$ - | \$ - | | \$ - | \$ - | | \$ - | \$ - | |
| Other contracted services not included in other categories. | Other Services | Contracted Services | \$ - | | \$ - | \$ - | | \$ - | \$ - | | \$ - | \$ - | | \$ - | \$ - | | \$ - | \$ - | |
| Include costs for non-state data center equipment required by the project and the proposed solution (insert additional rows as needed for detail) | Equipment | Expense | \$ - | | \$ - | \$ - | | \$ - | \$ - | | \$ - | \$ - | | \$ - | \$ - | | \$ - | \$ - | |
| Include costs associated with leasing space for project personnel. | Leased Space | Expense | \$ - | | \$ - | \$ - | | \$ - | \$ - | | \$ - | \$ - | | \$ - | \$ - | | \$ - | \$ - | |
| Other project expenses not included in other categories. | Other Expenses | Expense | \$ - | | \$ - | \$ - | | \$ - | \$ - | | \$ - | \$ - | | \$ - | \$ - | | \$ - | \$ - | |
| Total | | | \$ - | 0.00 | \$ 1,044,341 | \$ - | 0.00 | \$ 1,912,734 | \$ - | 0.00 | \$ - | \$ - | 0.00 | \$ - | \$ - | 0.00 | \$ - | \$ - | \$ 2,957,075 |

CBAForm 2 - Project Cost Analysis

| | | | |
|--------|---|---------|---------------------------|
| Agency | <u>Florida Department of Transportation</u> | Project | <u>CITS Modernization</u> |
|--------|---|---------|---------------------------|

| 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 (*) | \$1,044,341 | \$1,912,734 | \$0 | \$0 | \$0 | \$2,957,075 |
| CUMULATIVE PROJECT COSTS <i>(includes Current & Previous Years' Project-Related Costs)</i> | \$1,044,341 | \$2,957,075 | \$2,957,075 | \$2,957,075 | \$2,957,075 | |
| 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 | \$1,044,341 | \$1,912,734 | \$0 | \$0 | \$0 | \$2,957,075 |
| Trust Fund | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| Federal Match <input type="checkbox"/> | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| Grants <input type="checkbox"/> | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| Other <input type="checkbox"/> Specify | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| TOTAL INVESTMENT | \$1,044,341 | \$1,912,734 | \$0 | \$0 | \$0 | \$2,957,075 |
| CUMULATIVE INVESTMENT | \$1,044,341 | \$2,957,075 | \$2,957,075 | \$2,957,075 | \$2,957,075 | |

| 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

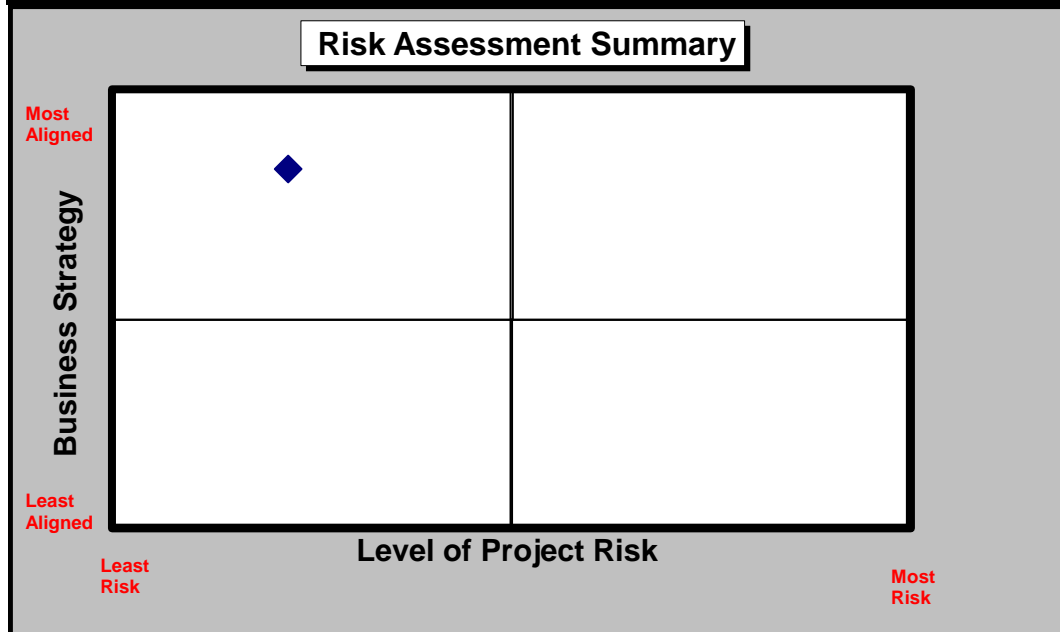
| | | | |
|--------|---|---------|---------------------------|
| Agency | <u>Florida Department of Transportation</u> | Project | <u>CITS Modernization</u> |
|--------|---|---------|---------------------------|

| 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 | \$1,044,341 | \$1,912,734 | \$0 | \$0 | \$0 | \$2,957,075 |
| Net Tangible Benefits | \$0 | \$0 | \$1,492,075 | \$1,494,655 | \$1,675,240 | \$4,661,970 |
| Return on Investment | (\$1,044,341) | (\$1,912,734) | \$1,492,075 | \$1,494,655 | \$1,675,240 | \$1,704,895 |
| Year to Year Change in Program Staffing | 0 | 0 | 0 | 0 | 0 | |

| RETURN ON INVESTMENT ANALYSIS -- CBAForm 3B | | |
|---|-------------|---|
| Payback Period (years) | 4 | Payback Period is the time required to recover the investment costs of the project. |
| Breakeven Fiscal Year | 2022-23 | Fiscal Year during which the project's investment costs are recovered. |
| Net Present Value (NPV) | \$1,081,964 | NPV is the present-day value of the project's benefits less costs over the project's lifecycle. |
| Internal Rate of Return (IRR) | 21.38% | 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% |

| | | |
|--|---|------------------|
| Project | <i>CITS Modernization</i> | |
| Agency | <i>Florida Department of Transportation</i> | |
| FY 2019-20 LBR Issue Code: | FY 2019-20 LBR Issue Title: | |
| <i>Issue Code</i> | <i>Issue Title</i> | |
| Risk Assessment Contact Info (Name, Phone #, and E-mail Address): | | |
| <i>Robert Skoglund, 414-4486, robert.skoglund@dot.state.fl.us</i> | | |
| Executive Sponsor | <i>Brian Blanchard</i> | |
| Project Manager | <i>Project Manager Name</i> | |
| Prepared By | <i>Robert Skoglund</i> | <i>7/16/2018</i> |



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

Agency: Florida Department of Transportation

Project: CITS Modernization

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

Agency: Florida Department of Transportation

Project: CITS Modernization

| 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 | Internal resources have sufficient knowledge for implementation and operations |
| | | External technical resources will be needed through implementation only | |
| | | Internal resources have sufficient knowledge for implementation and operations | |
| 2.03 | Have all relevant technical alternatives/solution options been researched, documented and considered? | No technology alternatives researched | All or nearly all alternatives documented and considered |
| | | Some alternatives documented and considered | |
| | | All or nearly all alternatives documented and considered | |
| 2.04 | Does the proposed technical solution comply with all relevant agency, statewide, or industry technology standards? | No relevant standards have been identified or incorporated into proposed technology | Proposed technology solution is fully compliant with all relevant agency, statewide, or industry standards |
| | | Some relevant standards have been incorporated into the proposed technology | |
| | | Proposed technology solution is fully compliant with all relevant agency, statewide, or industry standards | |
| 2.05 | Does the proposed technical solution require significant change to the agency's existing technology infrastructure? | Minor or no infrastructure change required | 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 | |

Agency: Florida Department of Transportation

Project: CITS Modernization

| 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 | 81% to 100% -- All or nearly all processes defined and documented |
| | | 41% to 80% -- Some process changes defined and documented | |
| | | 81% to 100% -- All or nearly all processes defined and documented | |
| 3.04 | Has an Organizational Change Management Plan been approved for this project? | Yes | 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 | Minor or no changes |
| | | Moderate changes | |
| | | Minor or no changes | |
| 3.09 | Has the agency successfully completed a project with similar organizational change requirements? | No experience/Not recently (>5 Years) | Recently completed project with similar change requirements |
| | | Recently completed project with fewer change requirements | |
| | | Recently completed project with similar change requirements | |
| | | Recently completed project with greater change requirements | |

Agency: Agency Name

Project: Project Name

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

Agency: Florida Department of Transportation

Project: CITS Modernization

| Section 5 -- Fiscal Area | | | |
|--------------------------|--|---|---|
| # | Criteria | Values | Answer |
| 5.01 | Has a documented Spending Plan been approved for the entire project lifecycle? | Yes No | Yes |
| 5.02 | Have all project expenditures been identified in the Spending Plan? | 0% to 40% -- None or few defined and documented 41% to 80% -- Some defined and documented 81% to 100% -- All or nearly all defined and documented | 81% to 100% -- All or nearly all defined and documented |
| 5.03 | What is the estimated total cost of this project over its entire lifecycle? | Unknown Greater than \$10 M Between \$2 M and \$10 M Between \$500K and \$1,999,999 Less than \$500 K | Between \$2 M and \$10 M |
| 5.04 | Is the cost estimate for this project based on quantitative analysis using a standards-based estimation model? | Yes No | Yes |
| 5.05 | What is the character of the cost estimates for this project? | Detailed and rigorous (accurate within ±10%) Order of magnitude – estimate could vary between 10-100% Placeholder – actual cost may exceed estimate by more than 100% | Order of magnitude – estimate could vary between 10-100% |
| 5.06 | Are funds available within existing agency resources to complete this project? | Yes No | No |
| 5.07 | Will/should multiple state or local agencies help fund this project or system? | Funding from single agency Funding from local government agencies Funding from other state agencies | Funding from single agency |
| 5.08 | If federal financial participation is anticipated as a source of funding, has federal approval been requested and received? | Neither requested nor received Requested but not received Requested and received Not applicable | 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 Some project benefits have been identified but not validated Most project benefits have been identified but not validated All or nearly all project benefits have been identified and validated | Most project benefits have been identified but not validated |
| 5.10 | What is the benefit payback period that is defined and documented? | Within 1 year Within 3 years Within 5 years More than 5 years No payback | Within 5 years |
| 5.11 | Has the project procurement strategy been clearly determined and agreed to by affected stakeholders? | Procurement strategy has not been identified and documented Stakeholders have not been consulted re: procurement strategy Stakeholders have reviewed and approved the proposed procurement strategy | Stakeholders have reviewed and approved the proposed procurement strategy |
| 5.12 | What is the planned approach for acquiring necessary products and solution services to successfully complete the project? | Time and Expense (T&E) Firm Fixed Price (FFP) Combination FFP and T&E | Firm Fixed Price (FFP) |
| 5.13 | What is the planned approach for procuring hardware and software for the project? | Timing of major hardware and software purchases has not yet been determined Purchase all hardware and software at start of project to take advantage of one-time discounts Just-in-time purchasing of hardware and software is documented in the project schedule | Just-in-time purchasing of hardware and software is documented in the project schedule |
| 5.14 | Has a contract manager been assigned to this project? | No contract manager assigned Contract manager is the procurement manager Contract manager is the project manager Contract manager assigned is not the procurement manager or the project manager | Contract manager assigned is not the procurement manager or the project manager |
| 5.15 | Has equipment leasing been considered for the project's large-scale computing purchases? | Yes No | No |
| 5.16 | Have all procurement selection criteria and outcomes been clearly identified? | No selection criteria or outcomes have been identified Some selection criteria and outcomes have been defined and documented All or nearly all selection criteria and expected outcomes have been defined and documented | All or nearly all selection criteria and expected outcomes have been defined and documented |
| 5.17 | Does the procurement strategy use a multi-stage evaluation process to progressively narrow the field of prospective vendors to the single, best qualified candidate? | Procurement strategy has not been developed Multi-stage evaluation not planned/used for procurement Multi-stage evaluation and proof of concept or prototype planned/used to select best qualified vendor | Multi-stage evaluation and proof of concept or prototype planned/used to select best qualified vendor |
| 5.18 | For projects with total cost exceeding \$10 million, did/will the procurement strategy require a proof of concept or prototype as part of the bid response? | Procurement strategy has not been developed No, bid response did/will not require proof of concept or prototype Yes, bid response did/will include proof of concept or prototype Not applicable | Not applicable |

Agency: Florida Department of Transportation

Project: CITS Modernization

| Section 6 -- Project Organization Area | | | |
|--|--|--|--|
| # | Criteria | Values | Answer |
| 6.01 | Is the project organization and governance structure clearly defined and documented within an approved project plan? | Yes | Yes |
| | | No | |
| 6.02 | Have all roles and responsibilities for the executive steering committee been clearly identified? | None or few have been defined and documented | All or nearly all have been defined and documented |
| | | Some have been defined and documented | |
| | | All or nearly all have been defined and documented | |
| 6.03 | Who is responsible for integrating project deliverables into the final solution? | Not yet determined | System Integrator (contractor) |
| | | Agency | |
| | | System Integrator (contractor) | |
| 6.04 | How many project managers and project directors will be responsible for managing the project? | 3 or more | 1 |
| | | 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 | Half of 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 | |

Agency: Florida Department of Transportation

Project: CITS Modernization

| Section 7 -- Project Management Area | | | |
|--------------------------------------|--|--|--|
| # | Criteria | Values | Answer |
| 7.01 | Does the project management team use a standard commercially available project management methodology to plan, implement, and control the project? | No | Yes |
| | | Project Management team will use the methodology selected by the systems integrator | |
| | | Yes | |
| 7.02 | For how many projects has the agency successfully used the selected project management methodology? | None | More than 3 |
| | | 1-3 | |
| | | More than 3 | |
| 7.03 | How many members of the project team are proficient in the use of the selected project management methodology? | None | All or nearly all |
| | | Some | |
| | | All or nearly all | |
| 7.04 | Have all requirements specifications been unambiguously defined and documented? | 0% to 40% -- None or few have been defined and documented | 81% to 100% -- All or nearly all have been defined and documented |
| | | 41 to 80% -- Some have been defined and documented | |
| | | 81% to 100% -- All or nearly all have been defined and documented | |
| 7.05 | Have all design specifications been unambiguously defined and documented? | 0% to 40% -- None or few have been defined and documented | 81% to 100% -- All or nearly all have been defined and documented |
| | | 41 to 80% -- Some have been defined and documented | |
| | | 81% to 100% -- All or nearly all have been defined and documented | |
| 7.06 | Are all requirements and design specifications traceable to specific business rules? | 0% to 40% -- None or few are traceable | 81% to 100% -- All or nearly all requirements and specifications are traceable |
| | | 41 to 80% -- Some are traceable | |
| | | 81% to 100% -- All or nearly all requirements and specifications are traceable | |
| 7.07 | Have all project deliverables/services and acceptance criteria been clearly defined and documented? | None or few have been defined and documented | Some deliverables and acceptance criteria have been defined and documented |
| | | Some deliverables and acceptance criteria have been defined and documented | |
| | | All or nearly all deliverables and acceptance criteria have been defined and documented | |
| 7.08 | Is written approval required from executive sponsor, business stakeholders, and project manager for review and sign-off of major project deliverables? | No sign-off required | Review and sign-off from the executive sponsor, business stakeholder, and project manager are required on all major project deliverables |
| | | Only project manager signs-off | |
| | | Review and sign-off from the executive sponsor, business stakeholder, and project manager are required on all major project deliverables | |
| 7.09 | Has the Work Breakdown Structure (WBS) been defined to the work package level for all project activities? | 0% to 40% -- None or few have been defined to the work package level | 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 | Yes |
| | | 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 | |

Agency: Florida Department of Transportation

Project: CITS Modernization

| Section 8 -- Project Complexity Area | | | |
|--------------------------------------|--|--|--|
| # | Criteria | Values | Answer |
| 8.01 | How complex is the proposed solution compared to the current agency systems? | Unknown at this time | Similar complexity |
| | | More complex | |
| | | Similar complexity | |
| | | Less complex | |
| 8.02 | Are the business users or end users dispersed across multiple cities, counties, districts, or regions? | Single location | More than 3 sites |
| | | 3 sites or fewer | |
| | | More than 3 sites | |
| 8.03 | Are the project team members dispersed across multiple cities, counties, districts, or regions? | Single location | Single location |
| | | 3 sites or fewer | |
| | | More than 3 sites | |
| 8.04 | How many external contracting or consulting organizations will this project require? | No external organizations | 1 to 3 external organizations |
| | | 1 to 3 external organizations | |
| | | More than 3 external organizations | |
| 8.05 | What is the expected project team size? | Greater than 15 | 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 | None |
| | | 2 to 4 | |
| | | 1 | |
| | | None | |
| 8.07 | What is the impact of the project on state operations? | Business process change in single division or bureau | 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 | Implementation requiring software development or purchasing commercial off the shelf (COTS) software |
| | | 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 | |

CITS Rewrite LBR

EXECUTIVE SUMMARY

The Procurement Office requests funding for an Information Technology development project to rewrite/replace the Consultant Invoice Transmittal System (CITS), which was implemented in 2001.

CITS is a web-based application which allows electronic submittal and invoicing of professional services contracts (preliminary engineering, design, right of way acquisition, and construction engineering inspection contracts). CITS directly supports the projects identified in the work program.

The proposed rewrite of the application will eliminate reliance on DB2 for CITS data, incorporate the Automated Fee Proposal (AFP), improve system usability, and generate the task work order form from within the application.

Office of Information Technology (OIT) has requested the Procurement Office develop business cases for all procurement systems that will need to migrate from DB2 to SQL Server platform which provides for better integration with enterprise applications.

DB2 Tables: CITS currently uses DB2 tables housed on the mainframe. A system change would allow for better integration to enterprise applications using SQL Server, per OIT. SQL Server provides consistency of the data across different Department applications, and better reporting.

AFP: The AFP is a write-protected Excel spreadsheet that includes formulas and macros. It was developed to standardize the professional services consultant fee proposal submittal process for contract uploads into CITS. The spreadsheet macros have received minor updates since implementation in 2002, however, AFP uses an aging file format (Excel 95). Consultant users have expressed computer security concerns about use of the Excel 95 file format. The large number of AFP macros render the spreadsheet, and by extension the Department and consultant computer resources, vulnerable to viruses. The AFP is a 13.5-megabyte spreadsheet that requires large amounts of data storage to save multiple submittals of the file. Additional processes are necessary to upload the data into CITS including use of a separate File Transfer Protocol (FTP) software called WS_FTP IPSWITCH. To use IPSWITCH, each district must purchase separate licenses per person. IPSWITCH in turn requires additional computer resources for storing and uploading data. The AFP upload process does not occur immediately as it requires an overnight batch process. Upload time is further increased if the advertisement number has been previously used.

Integrating the AFP into the CITS Modernization application will reduce resource usage and time spent troubleshooting AFP formula errors. The need for this system integration is supported by a Value Engineering (VE) study performed by District 4. The VE study found, “development of a web-based system for the AFP would be extremely beneficial to avoid multiple uploads of a failed AFP to test for the cause of problems, reduce file corruption, create easier access, faster reviewing, faster editing, and provide quality control for the consultants.” Due to the limitations of spread sheets, it is difficult to identify errors and corruptions that occur.

A new invoicing system will accomplish efficiencies and create time savings for:

- Task Work Order creation and review
- Drafting Amendments
- Troubleshooting AFP
- Reduced settlement agreements
- Consultants entering payment information into Equal Opportunity Compliance (EOC)
- Creation of Ad Hoc reports

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1 Project Scope

The scope of the proposed project includes:

All necessary functions to transition from the current CITS application and AFP spreadsheet to a new, integrated system. To allow seamless transition from the old systems to the new and to have fully trained and competent staff at time of application implementation.

The new system will have enhanced functionality which will benefit the Procurement office, project management, financial services, and the consultant communities. The new system will eliminate the many limitations imposed by the existing CITS and AFP, including: limiting a task work order to a single financial project; capping the amount of data that can be displayed at a time (52 KB limit); poor reporting capability, limited data updates, poor notification ability, no support of electronic document management (EDMS), no payment certification for sub consultants, and no ability to choose the desired funding encumbrance line.

| Milestones | No. of Days | Completion Date |
|---|-------------|-----------------|
| Consultant Onboarding | 20 | 7/31/2019 |
| Requirements Gathering | 160 | 12/21/2019 |
| As Is and To Be Documentation | 45 | 1/10/2020 |
| Database design and review | 45 | 2/1/2020 |
| System design and review | 90 | 4/2/2020 |
| Reporting design and review | 90 | 5/1/2020 |
| Data conversion design and review | 120 | 7/1/2020 |
| Database development | 60 | 9/1/2020 |
| Application development | 145 | 1/10/2021 |
| Reporting development | 150 | 2/1/2021 |
| Database standards review | 20 | 9/22/2020 |
| .NET Code standards, web application standards, and 508 standards reviews | 20 | 1/30/2021 |
| Unit test scripting and testing | 115 | 1/10/2021 |
| System Integration scripting and testing | 50 | 3/5/2021 |
| User acceptance Testing | 20 | 4/21/2021 |

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| | | |
|--------------------------------|-----|------------|
| Implementation planning | 15 | 5/16/2021 |
| System documentation | 30 | 6/1/2021 |
| User Manual development | 30 | 6/1/2021 |
| System Training | 14 | 6/16/2021 |
| Implementation | 2 | 6/22/2021 |
| Post implementation debriefing | 7 | 6/30/2021 |
| Warranty | 180 | 12/31/2021 |

2 Out-of-Scope

Application Computer Based Training (CBT) is not in Scope.

3 Project Phasing Plan

This is a 2-fiscal year plan where the project will be managed by a project team that will execute the plan when it is fully realized. The project will follow the Project Management Rule 74-1 F.A.C.

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

FY 21

Major work activities anticipated for CITS Rewrite Project: requirements gathering, current state and To Be documentation, database design, system design, reporting design, and data conversion design.

FY 22

Major work activities anticipated for CITS Rewrite Project: database development, application development, reporting development, data conversion, unit testing, system integration testing, user acceptance testing, application implementation, Tier 1 and Tier 2 support.

4 Baseline Schedule

| Task | Status | Planned Start | Planned Finish |
|--------------|------------------------|---------------|----------------|
| CITS Rewrite | <i>Pending Funding</i> | | |
| | <i>Pending Funding</i> | | |
| | <i>Pending Funding</i> | | |
| | | | |

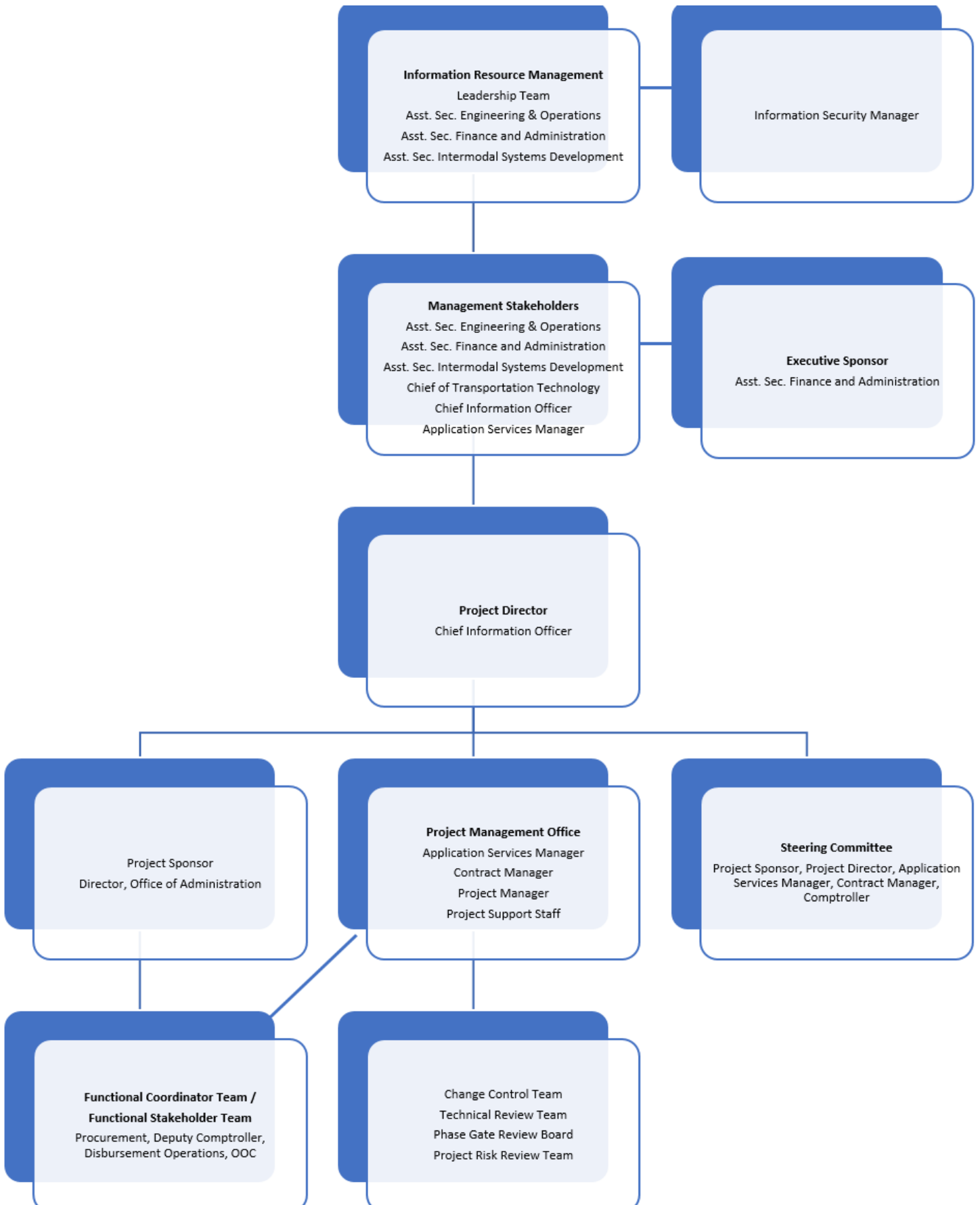
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| | | | |
|--|------------------------|--|--|
| | <i>Pending Funding</i> | | |
| | <i>Pending Funding</i> | | |
| | <i>Pending Funding</i> | | |
| | <i>Pending Funding</i> | | |

5 Project Organization and Governance

This subsection describes the proposed project organization and governance.

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The project governance structure consists of the following elements:

- **Information Resource Management Leadership Team:** provides direction and prioritization for information technology resources and projects estimated at over 1,500 hours of effort. The group usually consists of the department's Assistant Secretaries and the Chief Information Officer (CIO).
 - **The Information Security Manager (ISM)** reports directly to the CIO. The ISM is responsible for statewide coordination and administration of the Department's security policies, procedures, and standards including security awareness training and security compliance assessment. The ISM reviews and approves the Security Plans that are submitted for all enterprise applications including this initiative.
- **Office of Inspector General:** serves as a central point for coordination of and responsibility for activities that promote accountability, integrity and efficiency in the department. Conducts audits, investigation and management review relating to the programs and operation of the agency.
- **Management Stakeholders:** The Management Stakeholders provides functional management oversight for the application projects.
- **Executive Sponsor:** The Executive Sponsor is a chairperson of the subject business process improvement, analysis, and design efforts. The Executive Sponsor acts as a visionary and motivator and instills the project with a purpose and a sense of mission. The Executive Sponsor introduces the project within the organization and demonstrates commitment to its success.
- **Project Sponsors:** ensure that security controls related to access and integrity of the application and data are in place. Ensure that the needed resources from the Functional Office are available to serve in various roles throughout the application's life cycle.
- **Project Director:** Coordinates and manages the information resources management policies, procedures and standards activities. Advises executive management regarding information resources management needs of the department. Assist in the development and prioritization of the information resources management schedule of the department's legislative budget request.
- **Internal Stakeholders:** functional areas and Directors that are affected by the project. It is critical that Internal Stakeholders are kept aware of the project; and are involved (provide staff) in discussions regarding their functional area at the appropriate time in the project.
- **Functional Coordinators:** serve as a dedicated resource from the Functional Office assigned to serve as liaison between the Office of Information Systems and the Functional Office. The role of the Functional Coordinator will exist beyond the project, throughout the life of an application. The Functional Coordinator may act as an agent for the Project Sponsor.
- **Functional Stakeholders:** provide functional management oversight of the application project for which they have been delegated responsibility. Provide direction to the Project Team regarding project strategy and planning.
- **Project Management Office (PMO):** provides coordination and support for Communications, Human Resource, Risk, Integration, Time, Cost and Quality management. Reports to Executive Leadership overall status of projects. Monitors project progress against business objectives. Monitors relationships with internal and external stakeholders. Responsible for document management and requirements management process. The Project Management Office includes the Application Services Portfolio Manager, Project Manager, Contract Manager and other support staff as needed.
- **Application Services Portfolio Manager:** The Business Systems Support Office Portfolio Manager provides leadership and facilitation to the Program Managers of the development and maintenance of applications taken on by the Application Support Office within the Office of Information Technologies. The Application Services Portfolio Manager ensures proper methodology support is provided for Application Services application development projects and maintenance efforts. The Application Services Portfolio Manager also represents the application development and maintenance perspective within Office of Information Systems management and to other Offices or work groups within the Department as required.
- **Project Manager:** The Project Manager is accountable for maintaining project scope, cost, and schedule in

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accordance with the baselines established in the Project Plan. The Project Manager plans, assigns, and oversees the deliverables provided by team members.

- **Contract Manager:** a department employee responsible for enforcing performance of the contract terms and conditions, serving as liaison with the vendor and ensuring that the contractual terms have been complied with prior to processing the invoice for payment.
- **Change Control Team (CCT):** responsible for reviewing and determining the outcome of all change requests submitted to the project during the project life cycle. The CCT will meet as often as necessary, as changes are introduced throughout the project, to discuss potential impacts or changes to the scope, schedule or budget. If the CCT approves a change, the CCT must then seek authorization from the Executive Sponsor, Project Sponsor, Application Services Portfolio Manager, or combination of those stakeholders, depending on the type of impact, the change will have on the project.
- **Technical Review Team:** reviews technical components of the project to ensure alignment with scope, time, budget and quality.
- **Project Risk Review Team:** prioritizes and ranks all risks identified for project, and agree on a risk response strategy for each identified risk.

6 Quality Assurance Plan

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

7 Communication Plan

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

| Item | Purpose | Frequency | Audience |
|--|--|-----------|--|
| Functional Steering Committee Meeting | Provide updates on project activities, issue and deadlines | Monthly | Functional Steering Committee |
| Written Status Report | Provide update on project activities, issues and deadlines | Bi-Weekly | All Project Team Members |
| Legislative Status Report | Provide update on project activities for all projects funded by a Budget Request | Monthly | Legislative Members and Staff |
| Executive Status Report and Review Meeting | Monthly review of the project status and schedule with the Information Resource Management Leadership Team | Monthly | Information Resource Management Leadership Team, Executive Sponsor, Project Sponsor, CIO, Application Services Manager |

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| | | | |
|---------------------------------------|--|-----------|---|
| Functional Group Status Presentations | Provide project status updates to existing functional teams that are affected by the project. Management Stakeholders will request time on the agenda of these existing meeting to provide status and answer questions | As Needed | Statewide Teams that are affected by project. |
|---------------------------------------|--|-----------|---|

8 Deliverables Review and Acceptance

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

9 Issue Management

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

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

10 Risk Management

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

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

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

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Inventory of Potential Risks and Response Strategies

| Risk Type | Risk Description | Risk Response Strategy and Notes |
|-------------------------------|--|---|
| Project Organization | Inconsistent processes and standards across FDOT business units could impact drive to standardize business processes | <ul style="list-style-type: none"> • Establish organizational change management program • Engage stakeholders from various Districts in defining process changes |
| Change Management, Technology | Perception by various FDOT business units about apparent loss of tailored functionality | <ul style="list-style-type: none"> • Encourage early involvement by key business units • Ensure Change Management and Communication Plan emphasizes benefits of enterprise solution • Ensure consistent and ongoing senior management support |
| Project Organization | Changes in FDOT executive management can impact program execution | <ul style="list-style-type: none"> • Immediately brief new management on program objectives and status • Implement Steering Committee to manage program with a mix of executive-level policymakers and senior-level career staff • Engage continuing Steering Committee members to assist in presenting program benefits to new management team members • Include career staff in key roles responsible for managing program execution for continuity |
| Fiscal | Delay in obtaining funding for all or part of proposed program effort from the legislature | <ul style="list-style-type: none"> • Actively engage with stakeholders and policymakers to obtain approval for change in scope based on funding • Revisit budgets regularly; economic factors should be on agenda for discussion at Steering Committee meetings and executive management briefings where appropriate • Adjust program schedule as necessary based on timing of funding • Identify activities that could continue in the interim (process analysis, etc.) to maintain momentum |
| Fiscal | Less funding than requested is approved for the program effort | <ul style="list-style-type: none"> • Actively engage with stakeholders and policymakers to obtain approval • Revisit budgets regularly; economic factors should be on agenda at Steering Committee meetings or executive briefings as appropriate • Adjust scope and/or program |

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| | | |
|----------------------|--|--|
| | | schedule as necessary based on timing of funding |
| Project Complexity | Challenges in aligning project schedule with current hosting services or the vendor's hosting solution | <ul style="list-style-type: none"> • Initiate early discussions with the current hosting provider and/or the vendor hosting team and continue dialogue throughout planning process |
| Communication | Project delays not resolved in a timely manner | <ul style="list-style-type: none"> • Initiate early discussions • Monitor and track resolution • Ensure management understands required timeline for resolution and cost/schedule impact of not resolving |
| Strategic | Desired business benefits not achieved | <ul style="list-style-type: none"> • Adhere to requirements, involve stakeholders and tie scope decisions to performance measures and anticipated benefits to ensure success • Incorporate business process training and mentoring into the work plan |
| Project Organization | Staff not being able to participate when needed or review deliverables within schedule | <ul style="list-style-type: none"> • Utilize a project approach that leverages best practices as a starting point for discussions to better leverage staff time • Proactively identify resource constraints and escalate in a timely manor • Re-assign some responsibilities of key extended team members • Reprioritize some activities assigned to extended team members |
| Project Complexity | Project scope too large or complex and/or implementation strategy attempts to implement too much at one time | <ul style="list-style-type: none"> • Establish implementation plan, carefully develop the plan and link it to expected business benefits • Link project scope to business benefits • Careful review by FDOT Steering Committee of requirements and implementation plan before approving implementation go-ahead • Develop scope change process that requires demonstrated link to targeted business benefits and program steering committee approval of any proposed scope changes |

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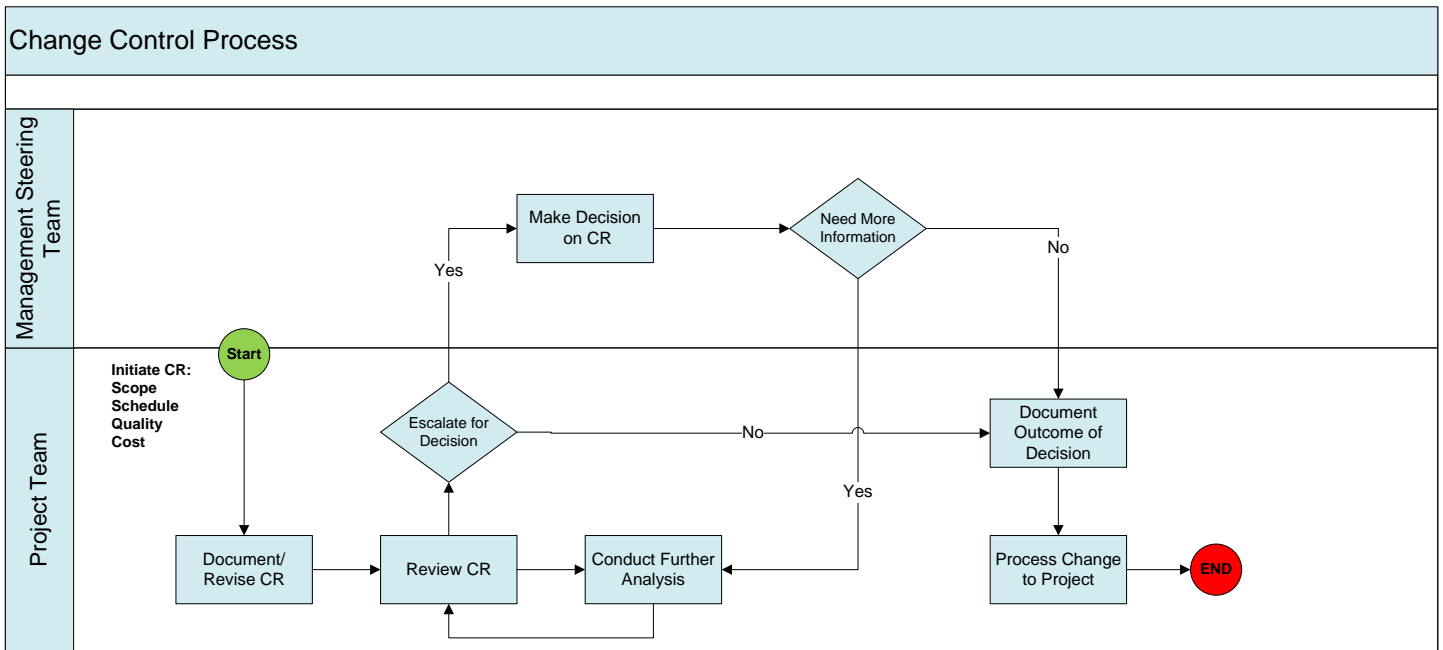
| | | |
|---|--|---|
| Project Organization, Project Management | Availability of FDOT resources (business and technical) to support implementation | <ul style="list-style-type: none"> • Develop detailed estimates of resource requirements as early as possible as part of planning • Develop an implementation strategy and work plan that is in sync with availability of FDOT resources • Obtain specific commitment of resources from FDOT management prior to start of implementation |
| Project Complexity, Project Management | Need to provide large number of employees with training on various new application functions | <ul style="list-style-type: none"> • Initiate organizational change management program from start of program • Develop training strategy for each project component early and monitor status of training effort closely |

11 Change Management

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

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

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12 Security Plan

The objectives of the Security Plan are to:

- Ensure confidentiality, integrity, and availability of the system data
- Identify confidential or sensitive information in the system
- Define system security methods, requirements and procedures
- Promote consistency and uniformity in the system's security practices

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

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

13 Implementation Plan

The Implementation Phase will be defined in detail as the project progresses.

| Requirement ID | Requirement Type | Requirement Name | Description | Priority |
|----------------|------------------|--------------------------------|--|-------------|
| 1.0 | Scope | Security - Login | Define AFP - Includes Authorize and Authenticate users to provide access to the CITS | Should Have |
| | | | Allow FDOT internal users to login to the CITS using their RACF/AD account credentials so that they can access the CITS application. | Should Have |
| 1.1 | Functional | | Authorize and Authenticate FDOT internal users using their RACF/AD credentials and provide appropriate access to the CITS. | Should Have |
| | | | Note: FDOT Internal users will have role based user accounts for District and Central Office users. | |
| 1.2 | Functional | | Allow Consultants to login to the CITS using their ISA account credentials so that they can access the CITS application. | Should Have |
| 1.3 | Functional | | | Should Have |
| 2.0 | Scope | Consultant Account Information | Manage Consultant Account Information | Should Have |
| 2.1 | Functional | | Allow Consultants to manage Account Information in CITS so that they can review and update the company information as needed. | Should Have |
| 2.2 | Functional | | Allow Consultants to manage Resources Information in CITS so that they can review and update the Resources information as needed. | Should Have |
| 2.3 | Functional | | Allow Consultants to manage Agreements and Invoice records in CITS so that they can review as needed. Consultants should have very limited access to personal user information such as ability to update phone and email. | Should Have |
| 3.0 | Scope | Administrator Functionalities | Allow Admins to manage the Authorized Users | Should Have |
| | | | Allow Admin users to add Users to a particular User Role and provide access to the CITS so that they can access the CITS application and perform the activities as needed. | Should Have |
| 3.1 | Functional | | Allow Admin user to revoke user access from CITS so that unauthorized user cannot access any information in CITS. | Should Have |
| 3.2 | Functional | | Allow Admin user change user role in CITS so that they can perform specific activities as needed. | Should Have |
| 3.3 | Functional | | Allow Admin user to generate specific/confidential Reports in CITS so that confidential information can be handled accordingly. | Should Have |
| 3.4 | Functional | | Ability to keep consultant name current in cases of Assignment Agreements. Administrator - Ability to remove contracts based on date ranges. Ability to identify firms subject to contracting limitations based on audit (configurable) | |
| 4.0 | Scope | User Dashboard (Home Page) | Provide FDOT Internal Users and Consultants a dashboard/ Home Page | Should Have |

| Requirement ID | Requirement Type | Requirement Name | Description | Priority |
|----------------|------------------|---|---|-------------|
| 4.1 | Functional | | Provide FDOT Internal Users or Agency user a dashboard/Home Page to display the Contract information by Status/District/ Statewide so that they can quickly look for the information as needed. <u>Note:</u> By default, FDOT internal users would see the contract information based on their ROLE. Consultants should only see Contract information for their Firm. | Should Have |
| 5.0 | Scope | Contract Negotiation & AFP | Allow FDOT Internal Users and Consultants to negotiate on the contract terms and finalize the contract using the Automated Fee Proposal (AFP) | Should Have |
| | | Define AFP - Includes all information listed here plus the Tables generated from the information. | Allow Consultants to submit AFP with required information within CITS so that department can eliminate the use of AFP excel spreadsheet in the future. AFP consists of: + Consultant(s) and Contract information + Consultant Employee information + Other Direct Expense information + Loaded Rates information + Work Effort Unloaded information + Overtime Rate information + Work Effort Loaded information + Burdened Unloaded Rates information + Partially Loaded without Operating Margin Rates information + DBE information (optional) + Sub consultant information (optional) + Fee Calculation (automated calculations) + Fee Summary (automated report based on the AFP details) | Should Have |
| 5.1 | Functional | | Allow FDOT Internal Users and Consultants to Add/Update the AFP and Contract related information in the CITS application so that the Department and Consultant can negotiate on the contract terms and finalize the contract | Should Have |
| 5.2 | Functional | | Allow Consultants to submit updated AFP information for review and concurrence with the department prior to finalization of negotiations. | Should Have |
| 5.3 | Functional | | Allow FDOT User to submit updated AFP information for review and concurrence with the consultant prior to finalization of negotiations. | Should Have |
| 5.4 | Functional | | | Should Have |

| Requirement ID | Requirement Type | Requirement Name | Description | Priority |
|----------------|------------------|----------------------|---|-------------|
| 5.5 | Functional | | Allow FDOT Internal users to Accept/Reject the changes proposed by the Consultant so that only the agreed terms will be retained and included in the contract. | Should Have |
| 5.6 | Functional | | Allow FDOT Internal users to terminate the negotiation process so that if Department and Consultant cannot agree on the fees, Department can terminate the negotiation process with number one ranked firm and start negotiating with the number two firm. Note: The negotiation process is continued in this manner until a fee is established. | Should Have |
| 5.7 | Functional | | Allow FDOT Internal users and Consultants to upload Negotiation related documents within CITS so that they are available for review when needed. EDMS FDOT User should have the ability to delete an AFP at any time. | Should Have |
| 6.0 | Scope | Contract Information | Allow FDOT Internal Users to Add Contract information in CITS Allow FDOT Internal users to Add/Update the Contract information in CITS, allowing additional contract related information to be reviewed and used during the contract lifecycle within CITS. Contract information such as: + Basic Contract information + Constraints information + Payment information + Sub-Contractor information + Any contract information that is available in the Procurement Development System (PD), CFM, etc. should be utilized to reduce entry of redundant information. + Timing of Financial Information is critical to CITS. + and more... | Should Have |
| 6.1 | Functional | | Note: Once contract has been submitted and approved by Financial Services, the contract information cannot be updated until an Amendment is executed. (Administrative role may override) | |

| Requirement ID | Requirement Type | Requirement Name | Description | Priority |
|----------------|------------------|-----------------------------|--|-------------|
| | | | <p>Allow FDOT internal users to add/update the Contract Amendment (Form 375-030-97) information in CITS using the AFP data. Once the Contract Amendment is Approved, the latest information on the Contract amendment can be reviewed in CITS.</p> <p>OR</p> <p>Allow FDOT Internal Users/Consultant to file the Contract Amendment and Review/Agreed by both the parties and then Approved?</p> | Should Have |
| 6.2 | Functional | | <p>Allow FDOT internal users to send Contract information to Financial Services so that Financial Services can review and approve the contract.</p> | Should Have |
| 6.3 | Functional | | <p>Ability to identify firms subject to contracting limitations based on audit</p> | |
| 7.0 | Scope | Task Work Order Information | <p>Allow FDOT Internal Users and Consultants to manage Task Work Order (TWO) information in CITS</p> | Should Have |
| 7.1 | Functional | | <p>Allow FDOT Internal users (PM) to create/generate one or multiple new TWO (Form 375-030-25) using the contract information captured in CITS so that all TWOs for a particular contract can be tracked within CITS.</p> <p>A Contract can have one or multiple Task Work Orders. + A TWO can have multiple Financial Project Numbers</p> <p>Allow Consultant to Review and Accept the TWO in CITS so that Consultants can keep track of their TWO for a particular contract within CITS. Note: Consultants will work with Project Managers to make necessary changes in TWO.</p> | Should Have |
| 7.2 | Functional | | <p>The ability to build the TWO from data already in the system.</p> <p>Allow FDOT Internal users (PM) to Approve the TWO once accepted by Consultant in CITS so that TWO information can be locked for further updated until TWO Amendment is executed.</p> | Should Have |
| 7.3 | Functional | | <p>Allow FDOT Internal users and Consultants to generate the 'Fee Sheet' so that they can review the agreed fee information for quick reference. Note: Fee Sheet information remains read-only for all the users after execution.</p> | Should Have |
| 7.4 | Functional | | <p>Allow FDOT Internal users (PM) to create TWO Amendment (Form 375-030-26) in CITS so that TWO changes can be tracked within CITS. Note: Multiple amendments can be filed for a Task Work Order.</p> | Should Have |
| 7.5 | Functional | | | |

| Requirement ID | Requirement Type | Requirement Name | Description | Priority |
|----------------|------------------|-------------------------------|--|-------------|
| 7.6 | Functional | | Allow Consultant to Review and Accept the TWO or TWO Amendment fee sheet in CITS. so that Consultants can keep track of their TWO changes within CITS. | Should Have |
| 7.7 | Functional | | Allow FDOT Internal users (PM) to Approve the TWO Amendment once accepted by Consultant in CITS so that TWO Amendment information can be locked for further updated until a new TWO Amendment is filed. | Should Have |
| | | | Role based Ability to close all active TWOs for given contract and ability to reverse the change. | |
| 8.0 | Scope | Invoice Submission and Review | Allow FDOT Internal Users and Consultants to manage Invoice information in CITS | Should Have |
| 8.1 | Functional | | Allow Consultants to enter Hours Worked in CITS and generate the Invoice within CITS so that they can submit the invoice to the department electronically. Note: Invoice must be within the Constraints defined in the contract. | Should Have |
| 8.2 | Functional | | Allow Consultants to upload Invoice related documents within CITS so that FDOT Internal users can review them as needed. | Should Have |
| 8.3 | Functional | | Allow FDOT Internal users (PM) to Review and Approve the submitted invoices in CITS so that invoices can be processes quickly and transferred to Financial Services electronically. | Should Have |
| 8.4 | Functional | | Allow FDOT Internal users (PM) to assign another Reviewer to review and Approve the submitted invoices in CITS so that secondary review and approval can be performed if required. | Should Have |
| 8.5 | Functional | | Allow FDOT Internal Users (PM) to transfer approved invoices to the Financial Services so that Financial Services team can review and process the invoice payment through DFS. Note: The CITS system must keep track of all the invoice payment related information and update the status. | Should Have |
| | | | PM note field on Invoice for Financial Services information. PM Ability to select Encumbrance line to be used | |
| 9.0 | Scope | Status Reports | Allow Consultants to submit Status Report within CITS | Should Have |
| 9.1 | Functional | | Allow Consultants to submit/upload the Status Reports in CITS so that PM can review them and take actions as necessary. Reporting for non-professional services firms. | Should Have |
| 10.0 | Scope | Email Notifications | Email Notification Managed within CITS | Should Have |

| Requirement ID | Requirement Type | Requirement Name | Description | Priority |
|----------------|------------------|------------------|---|-------------|
| | | | <ul style="list-style-type: none"> Notify Users once the access has been granted or changed or revoked should be through ACEA Notify FDOT internal users when AFP is submitted Notify FDOT internal users when AFP is modified Notify Consultant once the FDOT internal users proposes the changes in AFP Notify FDOT internal users when AFP is Accepted by the Consultant Notify FDOT internal users and Consultants once the AFP is Approved Notify Consultant and FDOT internal users once Contract information is loaded in CITS Notify Consultant and FDOT internal users once Contract information is Updated in CITS Notify Consultant and FDOT internal users once Contract Amendment is requested Notify Consultant and FDOT internal users once Contract Amendment is Approved/Denied Notify Financial Services once the Contract has been finalized Notify Consultant once the Task Work Order has been created Notify Consultant and FDOT internal users once the TWO has been Accepted and Approve Notify Consultant and FDOT Internal users once the Task Work Order Amendment has been created Notify Consultant and FDOT internal users once the TWO Amendment has been Accepted and Approve Notify FDOT internal users once the Invoice has been submitted by the Consultant Notify Consultant once the Invoice has been reviewed and approved or | Should Have |
| 10.1 | Functional | | | |
| 11.0 | Scope | Report | Provide Reports for FDOT Internal Users and Consultants | Should Have |
| 11.1 | Report | | Provide Ad-Hoc reporting functionality for advanced reporting | Should Have |
| 11.2 | Report | | List of all the reports | Should Have |
| | | Additional Items | Vendor to provide 6 months maintenance period for stabilization Conversion All active contracts based on CFM status plus 6 months. Expanded contract number field to accommodate PALM | |

Value Engineering For Transportation Improvements

Consultant Invoice Transmittal System Process



Value Engineering Study Final Report

FM Number: _____

Fed. Aid Project: _____

Project Description: Consultant Invoice Transmittal System

Study Dates: April 26 – May 5, 2016

| Project Development Phase | | | | Study Identification Number | | | | | | |
|---------------------------|--------|-------|--|-----------------------------|--|--|-------------|-----|-------|-----|
| PD&E | Design | Other | | | | | VE Item No. | | | |
| | | | | | | | | Yr. | Dist. | No. |
| | | | | | | | | 16 | 004 | 04 |

This study has been performed in accordance with current applicable FDOT Value Engineering Procedures and Techniques

Richard L. Johnson, CVS No. 20030201, PE No. 38681

Date: March 15, 2017

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EXECUTIVE SUMMARY

This Value Engineering process review will have two primary objectives: (1) Develop an enhanced District Four CITS Process Flowchart that incorporates all stakeholder activities. (2) Develop a list of improvement strategies and defined roles and responsibilities understood by all functional departments in a manner consistent with the Consultants Invoice Transmittal System (CITS) process and procedures in District Four. The VE study, facilitated by PMA Consultants LLC (PMA) with assistance by Florida Department of Transportation (FDOT) internal staff was conducted April 26th through May 5th, 2016.

CITS is an application developed to reduce the dependency on manually processed paper documents: namely Professional Services Contracts, Invoices, and supporting information. The system allows for the electronic generation and submittal of invoices by consultants over the Internet. For a complete list of CITS resources, please go to the FDOT Procurement website.

Therefore, the purpose of the study, through execution of the VE job plan (see Appendix A) was to:

- Verify or improve on the various sub-processes contributing to the CITS process to achieve, maintain and operate the system.
- Conduct a thorough review and analysis of the key process issues using a multidiscipline, cross-functional team.
- Improve the value of the process through innovative measures aimed at improving the performance by clearly defining, educating and training staff regarding the procedures within the process.

The desired outcome is a clear understanding of what senior management desires to have addressed and determine the strategic objectives/priorities on how to implement the CITS process improvements resulting from the VE Workshop. So the team will focus on determining what offices will receive the CITS questionnaire and determine measures of success. 18 subject-matter experts and VE facilitators made up the VE team.

VE Recommendations

46 issues were generated via a questionnaire that was distributed to team members for their comments that the VE team felt were the cause of lengthy processes, delays; lack of funding, lack of training, poor communication, due to similarities among the issues and concerns, the 46 issues were grouped into 9 broader classifications. From these issues, the team generated 42 ideas to improve the process. After review and refinement all 42 ideas were evaluated. Those 42 ideas were again grouped and consolidated into 13 recommendations that were identified as potential process improvements. Recommendations have not been prioritized, they are numbered for tracking and correlation purposes.

| Table ES-1 - Summary of Recommendations | |
|--|--|
| Rec. No. | Description |
| 1 | Develop a web based system for the Automatic Fee Proposal (AFP) |
| 2 | Allow the contract to be active while new documents are being input. (do not lockout the entire contract to keep the system working) |

| Table ES-1 - Summary of Recommendations | |
|--|---|
| Rec. No. | Description |
| 3 | Allow the consultants to build their invoice offline (over time) and then submit to CITS |
| 4 | Allow CITS upload through optical character recognition (scan) |
| 5 | Add additional full time CITS position for PSU and a new full time CITS position for FSO |
| 6 | Restructure training for CITS users |
| 7 | ALLOW consultants to create TWO/TWO Amendments/LOA in CITS |
| 8 | Update the CITS software to improve efficacy of workflow |
| 9 | System to add the calendar field for transaction date and progress report receipt date |
| 10 | Allow contract coordinator and contract manager to view all the contracts they manage in CITS |
| 11 | Use the radio button (select all) to include all positions and multipliers on TWO/LOA |
| 12 | Develop a portfolio management system (dashboard) for data analysis of key indicators within CITS, FLAIR, CFM and PSI |
| 13 | Provide competitive salaries to improve staff retention in FSO and PSU |

Resolution of Recommendations

After review of the 13 recommendations submitted, the Florida Department of Transportation presented their responses via a letter. These 13 recommendations were combined into three (3) overall categories. The three categories consisted of nine (9) Software Modifications/Development recommendations, three (3) Management Coordination recommendations, and one (1) Training recommendation and all were accepted. Each category was assigned a district champion to refine and implement each recommendation and associated process improvement. The restructuring of these recommendations can be found in **Section 6 Recommendations**.

The VE team wishes to express its appreciation to the District managers for the excellent support they provided during the study. Hopefully, the recommendations and process improvements provided will assist in management decisions necessary to improve and expedite the process to deliver comprehensive CITS projects.

1 Introduction

1.1 Study Objectives

The VE study had two primary objectives: (1) address the general lack of understanding of the CITS process activities and required information associated with processing District Four consultant invoices; and (2) develop practical guidance, materials, and schedules for the application of an enhanced CITS process for all District Four consultant invoices in a manner consistent with processing invoices and issuing checks. In addition to the primary objectives, the following were also included as secondary objectives of the study:

- Improve the efficiency and effectiveness of the CITS upload process
- Allow the CITS software to allow multi-tasking
- Provide a platform for the consultant to work on their draft invoice submittals offline. (but still within CITS)
- Improve the efficiency and effectiveness of the CITS upload process
- Effectively handle the current workload related to CITS
- Have knowledgeable and empowered staff to execute CITS functions
- Improve efficacy and accountability of the CITS process
- Enhanced CITS software to optimize workflow
- Improve District compliance on invoice processing
- Have efficient customer service with contract managers and contract coordinators
- Improve efficiency and workflow
- Produce accurate and reliable information in a timely manner
- Obtain and retain qualified personnel
- Identify specific people from relevant functional offices
- Formalize buy-in with Central Office
- Make responsible parties aware of timeline of activities
- Understand current practices
- Document and implement best practices
- Get plan funded

1.2 Study Approach

This section describes the value analysis procedure used during the VE study. A systematic approach was used in the VE study and the key procedures involved were organized into three distinct parts: 1) pre-study preparations, 2) VE workshop study, and 3) post-study.

1.2.1 Pre-Study

Part 1 of the process was pre-study preparations for the VE effort consisting of scheduling study participants and tasks; reviews of documents and District organization charts; gathering necessary background information on the process; and compiling process data. Information relating to the receiving, processing, and issuing checks for invoices is important to District Four and needs to be performed expeditiously.

The District's VE team Coordinator distributed a questionnaire and asked each department to fill it out and return to the VE team leaders. The completed questionnaires were used to understand the participants' role in the process and to provide an opportunity to identify key issues and opportunities affecting the process. The main questions asked were "what, where,

when, why, who, and how” in relationship to their function(s) in the CITS process. Participants were also asked to describe key issues/obstacles they encounter in performing those functions, and solicited ideas to resolve them.

In preparation for the study, the team leaders and FDOT’s VE Coordinator agreed that, the following functions needed to be represented in the process:

- Work Program
- Office of Modal Development
- Procurement/Professional Services
- Program Management
- Financial Services Office
- Construction
- Invoice Approver
- CEI Task Work Orders and Invoicing
- Design Consultant Management
- District and Operations Construction Office

Appendix C contains the questionnaire responses received prior to the beginning of the study.

1.2.2 VE Workshop Part 1

Information: This phase took place over a 2-day period at the District Offices. At the beginning of the information phase, the conditions and decisions that have influenced the process were reviewed and discussed as a group. Issues from the questionnaires were discussed and new issues were added to the list of things to consider.

During function analysis the VE team identified the functions of the various process elements and subsystems and created a Function Analysis System Technique (FAST) Diagram to display the relationships of the functions.

A CITS project delivery diagram was conceptualized and initiated during the function analysis phase of the study. The CITS process flow chart is shown in **Figure 1** on the page 6.

1.2.3 VE Workshop Study Part 2

This phase took place over a 3-day period at the District Offices. Between Part 1 and Part 2 of the study sessions, the VE team leaders reviewed and analyzed the issues and grouped them into broad classifications. The corresponding ideas were brought forward within these classifications. All team members were provided a list of all the grouped issues from the questionnaires and the ones added during Part 1 of the 2-part workshop.

Speculation: This VE study phase involved the creation and listing of ideas. The VE team broke out into four separate groups to consider the issues and identify ideas to consider for improving the process. The VE team was looking for a large quantity of ideas and association of ideas.

Evaluation: The evaluation of ideas was based on three basic questions: “Does it work?” “Does it save time?” and “Will it meet or exceed performance expectations?” The VE team scored ideas on a scale of 1 through 5; ideas scoring 4 or 5 moved to the *Development* phase, ideas with a score of 3 were designated as “Process Improvement Suggestions,” and ideas with scores of 1 or 2 were removed from further consideration.

The FDOT functional office managers may wish to review the creative design suggestions, because they may contain ideas, which can be further evaluated for potential use in the process refinement.

Development: Ideas that moved forward for development were reviewed and developed by the VE team into goals and objectives. These goals and objectives will serve as the guiding steps to build business (strategic) plans for the corresponding functional offices. On completion of the recommendations, the team reviewed and concurred until consensus on the final recommendations was obtained.

1.2.4 Post Study

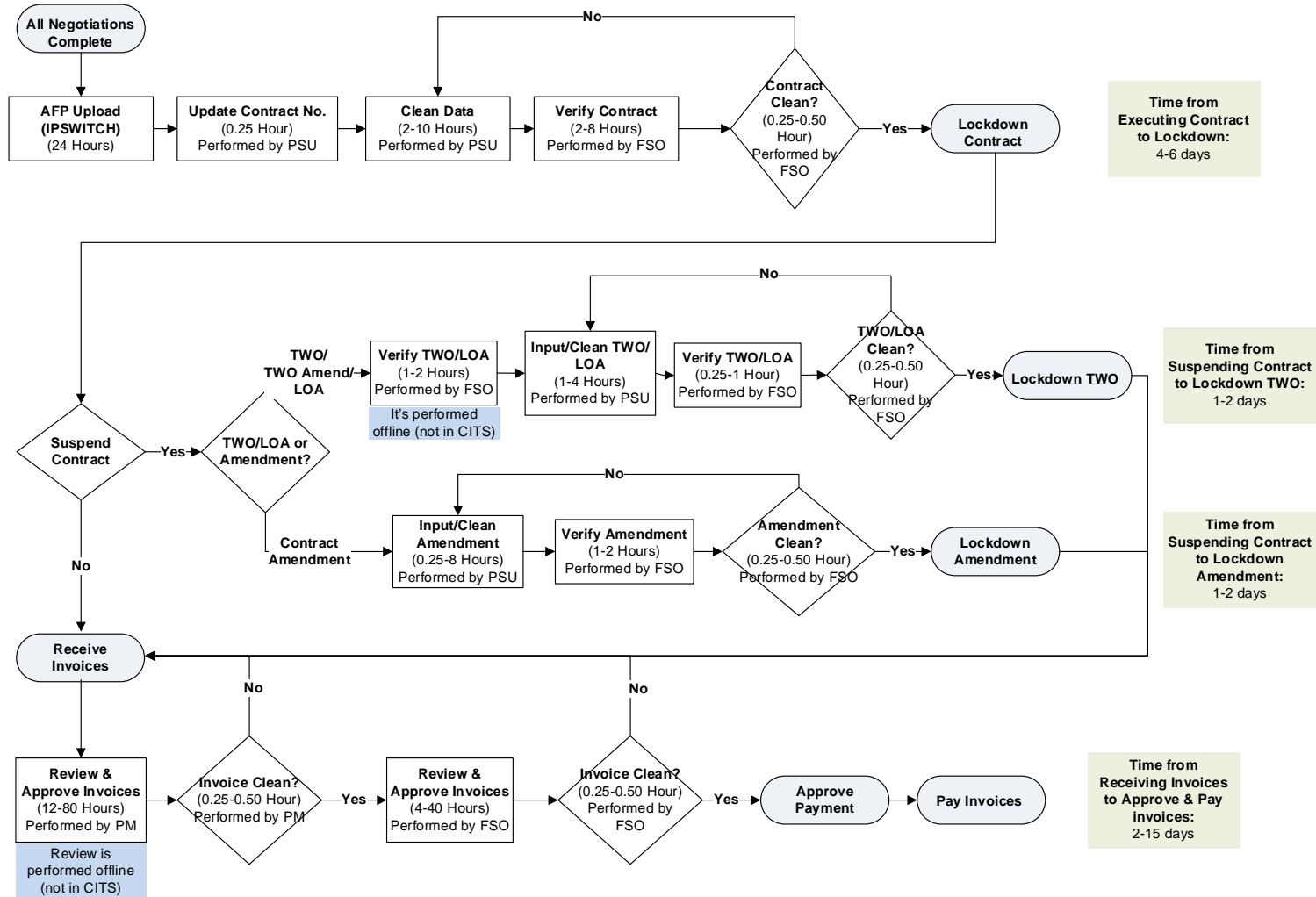
The post-study portion of the VE study includes the draft and final preparation of this Value Engineering Study Report and the discussions and resolution meetings with FDOT personnel. The District should analyze each recommendation and prepare a short response, recommending incorporating the idea into the process, offering modifications before implementation, or presenting reasons for rejection. The VE team is available for consultation after the ideas are reviewed. Please do not hesitate to call on us for clarification or further information for considerations to implement any of the presented ideas.

The VE team screened the VE ideas before draft copies of the report were prepared and distributed for the team to review. Review comments, clarifications and edits were incorporated and the final draft was presented for resolution by District management.

Figure 1 Consultant Invoice Transmittal System Flow Diagram

FDOT D4 – CITS VE STUDY

Contract Lockdown and Invoice Approval Workflow



1.3 VE Team Members

The 2-phase study included a total of 21 members, with a core VE group of 19 FDOT District 4 employees. The District VE Coordinator reviewed and explained the value engineering improvement study agenda. He acquainted the team with the goals for the study based upon the study methodology that would be applied to improve the process. The study team included the following subject matter experts who participated in the study:

| Participant Name | Role | Affiliation |
|-----------------------|-----------------------|---------------------|
| Vanessa Wright | FSO | FDOT District 4 |
| Victoria White | PSU | FDOT District 4 |
| Woodlyne Celin | FSO | FDOT District 4 |
| Henley St. Fort | FSO | FDOT District 4 |
| Kadian McLean | Design – Utilities | FDOT District 4 |
| Celestino Lucero | Project Management | FDOT District 4 |
| Bonnie Majcher | PSU | FDOT District 4 |
| Antonette Adams | Work Program | FDOT District 4 |
| Stacey Sasala | Construction | FDOT District 4 |
| Nikye Joseph | FSO | FDOT District 4 |
| Jessica Rubio | PSU | FDOT District 4 |
| Marie Dorismond | OMD | FDOT District 4 |
| Norma Corredor | Project Management | FDOT District 4 |
| Cassandra Lamey | Work Program | FDOT District 4 |
| Wibet Hay | OMD | FDOT District 4 |
| Chila Dupre | Project Management | FDOT District 4 |
| Mike Lucero | Work Program | FDOT District 4 |
| Abosede Olowofela | PSU | FDOT District 4 |
| Tim Brock | Co-Team Leader | FDOT District 4 |
| Francisco Cruz | Assistant Team Leader | PMA Consultants LLC |
| Rick Johnson, PE, CVS | VE Team Leader | PMA Consultants LLC |



2 Background Information

2.1 Introduction

In many areas transportation agencies, as well as the public, have grown frustrated watching much needed transportation improvements delayed or postponed for years as a result of lack of funding or a slow moving comprehensive process. As a result, District Four Florida Department of Transportation (FDOT) has embarked on an examination of the CITS financial process. This process performed by state and local Districts is intended to be a comprehensive program to receive, process, and pay consultant invoices in an integrated and manner in order to maximize efficiencies. The CITS function begins with the uploading of a final negotiated contract that is inputted by the Professional Services Unit (PSU) and verified by the Financial Services Office (FSO). Once the contract is established within CITS the consultant can invoice via a submittal upload into the system for processing and payment.

2.2 Current Process

The Consultant Invoice Transmittal System is an application developed to reduce the dependency on manually processed paper documents namely; professional services contracts, invoices, and supporting information. The system allows for the electronic generation and submittal of invoices by consultants over the Internet.

Access to CITS - consultants interested in gaining access to CITS must complete and submit a Corporate Access Request Package to FDOT Information Security Administration.

CITS Payment Options - Prime consultants can receive payments from CITS in the form of a paper check or through direct deposit (also known as Electronic Funds Transfer (EFT)). To receive payment by check, the consultant needs to register in MyFloridaMarketPlace.com (MFMP).

If the consultant prefers to use EFT for Direct Deposits the can sign up by visiting the Department of Financial Services (DFS) Direct Deposit Web site. Consultants must ensure that the vendor name in the Direct Deposit system and the vendor name in the MFMP vendor registration account match exactly. There can be only one financial institution's account information on file for one federal tax identification number (SSN or FEIN). Payments will be sent to one financial institution and cannot be sent to two or more financial institutions.

2.3 Process Schedule

The CITS process begins with the finalization of negotiations with a consultant contract and uploading it into the system. District Four is currently working to improve the process that currently can take from eight (8) to 25 working days depending on efficiencies. The VE team put together the Contract Lockdown and Invoice Approval Workflow Diagram shown in **Figure 1** and assigned timelines to each activity.

2.4 Project Constraints

While there are no apparent or agreed constraints, changes to the CITS process must meet federal, state, and regulatory agencies laws, rules, and regulations.

2.5 Summary of General Project Input - Objectives, Policies, Directives, Constraints, Conditions & Considerations

The following is a summary of general project input, including the goals, objectives, directives, policies, constraints, conditions and considerations presented to the study team. Any “element” specific input is indicated by parentheses around the elements, disciplines and interests (i.e., right-of-way, roadway, environmental). Representatives from FDOT and the design team provided a project background, on the first day of the study.

3.4.1 Project Functions, Goals & Objectives (what the process should do as determined at the kickoff meeting and subsequent Workshop): Defined Roles & Responsibilities

- | | |
|----------------------------|---------------------------------------|
| 1. Define CITS Process | 14. Lockdown Contract |
| 2. Coordinate Departments | 15. Suspend Contract |
| 3. Pay Invoices | 16. Verify Contract |
| 4. Approve Payment | 17. Verify Contract |
| 5. Approve Invoices | 18. Clean Data |
| 6. Secure Funding | 19. Conform Contract |
| 7. Identify Expectation | 20. Update Contract Number |
| 8. Define Department Roles | 21. Avoid Archives |
| 9. Allow Invoicing | 22. Execute Documents |
| 10. Lockdown TWO/Amendment | 23. Verify Quality |
| 11. Verify TWO/Amendment | 24. Maintain Timeliness |
| 12. Enter TWO/Amendment | 25. Upload Proposal |
| 13. Verify Quality | 26. Define Roles and Responsibilities |

These functions were used by the VE team to create/brainstorm new ideas for potential improvement to the project.

Table 1 lists the project documents that were provided to the VE team for their use during the study.

Table 1. List of VE Study Material Reviewed

| Document Description | Date |
|--|--------------|
| FDOT Consultants Invoice Transmittal System Training Manual | June 4, 2013 |
| Consultants Invoice Transmittal System (CITS) Program Manager Overview | Undated |

3 Function Analysis

3.1 Summary of Analysis

In addition to the process information in **Section 2**, the VE team used a series of tools to gain additional knowledge and a more complete understanding of the process. The following analysis tools were used to study the project, and are explained in greater detail in this chapter:

- Function Analysis
- Function Analysis System Technique Diagram

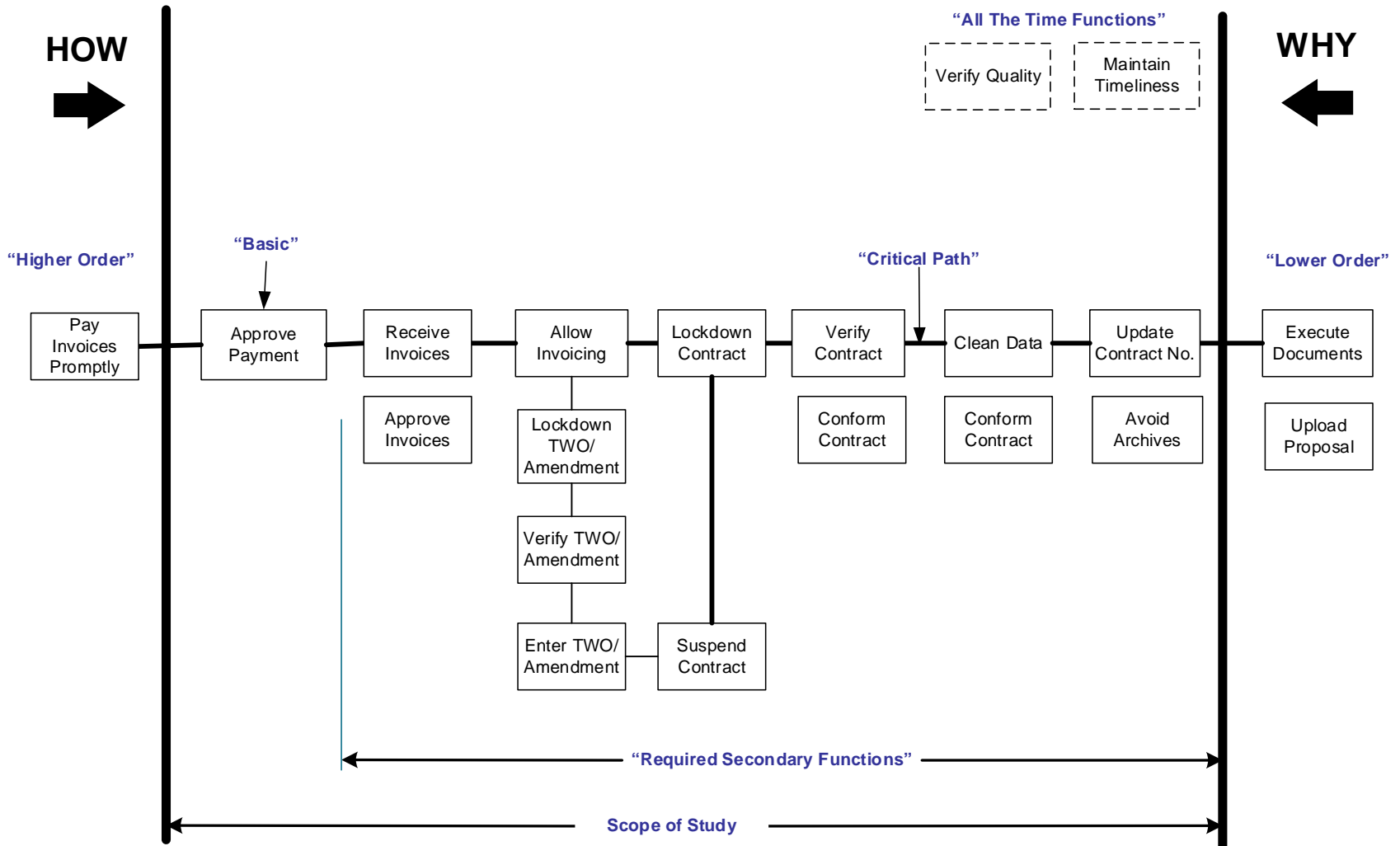
3.2 Function Analysis

This process' function analysis was reviewed and developed by the team to define the requirements for the overall process and to ensure that the VE team had a complete and thorough understanding of the functions (basic and others) needed to satisfy the process requirements. The primary Function Analysis System Technique (FAST) Diagram for the project follows on the next page. The development of FAST diagrams help stimulate team members to think in terms of required functions, not just normal solutions, to enhance their creative idea development. The project's primary tasks, the critical path functions, the project's primary basic functions and other required functions that must be satisfied were identified and are indicated in the report.

3.3 Function Analysis System Technique Diagram

The function analysis system technique diagram arranges the functions in logical order so that when read from left to right, the functions answer the question "How?" If the diagram is read from right to left, the functions answer the question "Why?" Functions connected with a vertical line are those that happen at the same time as, or are caused by, the function at the top of the column. In this case, the functional units shown in **Figure 2** were used to create a function activity diagram that provided the VE team with an understanding of the function dependencies and which functions offered the best opportunity for improving the process and the process schedule.

Figure 2. Function Analysis System Technique Diagram



3.4 Issues, Observations and Obstacles by Identified by the Team

1. If the consultants are building their invoice over time they are locking out the system so that no other activities (payments/TWO/amendments, etc.)
2. PM has 10 working days to approve the services after receipt of progress report, FDOT has 20 calendar days to submit a voucher to DFS, FSO typically takes 5-8 days to pay. Payment is posted within 48 hours.
3. Can we just lockout a pending TWO and not the entire contract to keep the system working?
4. Encumbered dollars in CITS need to have any remainder dollars negative encumbrance on each TWO to free up the dollars under the contract. Can we close the TWO and have it automatically free up the remainder and communicate that information to the financial page to reflect the update?
5. Attach all of the contract lists into the TWOs
6. Sometimes when the uploading of an AFP fails the reasons can be can be very varied if not text length. A good deal of time may be spent trying to troubleshoot for errors or other reasons that it failed. The only way to know if you're successful is to try to upload again. This can take multiple people and multiple trials.
7. Consultants get frustrated when they system has locked them out (suspended file) and they want to submit invoices
8. Contract close-out invoices and/or multiple invoices are difficult to submit
9. Document errors, computer settings, unexpected absence from work could derail the plan
10. PSU should not be entering data for TWO into CITS
11. When using the same element description but with a different type of compensation, CITS will overwrite the amount and will convert it to lump sum; adding the old and new value. PSU then has to go back and amend the amount
12. Bridge program (IPSWITCH) was created to extract data from AFP spreadsheet to dump it into CITS. If the IPSWITCH does not find a location within your computer to store the data temporarily, the data will be lost. Delays the process and there is room for errors
13. There are not enough in-house expert local DOT personnel who understand CITS
14. If the consultant's financial people don't have the correct pay period shown on the invoice
15. The 20-day turnaround from the submittal of progress report to payment of the consultant
16. Invoices cannot be submitted until task work orders and contract amendments are entered into CITS, or when CITS is shut down to enter amendments

17. Task work orders (new and close-out amendments) not in CITS on a timely basis
18. Conflicting information in CTIS – Project page will incorrectly show Contract over funds limit. When this happens, we're unable to obtain approval of new TWOs for additional funds
19. Amendments adding subs not in CITS on a timely basis
20. CITS under suspend – unable to process invoices
21. Issues with Operating Margins not showing up in CITS an input error (E1) or should automatically link E1 to table 4. Or stop progression until correct info is entered.
22. It is difficult to determine the reasoning why contract is suspended in CITS as the system does not clearly state reason Have CITS tell us who and why it is locked
23. Once an executed TWO/amendment is submitted from us for CITS data upload there is no easy way to track if the information has been entered or when, without frequently manually checking Have the PM or the consultant input the proposal – consultant submits, PM approves proposal is In the system notification should be sent when the TWO is approved or rejected.
24. Document upload timing and contract suspension may derail the plan
25. Lack of necessary information to review may derail the plan
26. You can't click the back button to go to the previous screen, you can if you double click
27. On the home page, when you enter the contract number you have to hit submit in lieu of the "enter" button as with most applications. It is cumbersome to have to go home each time to switch between contract page and invoices when looking for information. Contracts often get locked, thus prohibiting consultants from submitting invoices to me for approval or for FSO for payment. Software correction to allow Enter or Submit on the home page (Brandon in CO)
28. If the contract is locked out it may derail the plan
29. Consultants cannot bill due to their agreements being locked by either Procurement or Financial Services.
30. Procurement cannot enter agreements in CITS due to the contract being suspended by Financial Services.
31. Financial Services cannot lock the agreement for billing due to the contract being previously suspended by Procurement
32. Progress report not submitted by the consultant before invoice is submitted in CITS may derail the plan
33. If the system is locked due to upload of data in PSU the consultant cannot submit an invoice until the data entry is complete

34. Must approve invoice with 10 days. If the PM is out make sure an alternate is available to approve on behalf of the PM
35. There could be an issue with the contract that could hold up the data entry or if someone is uploading information in CITS the system could be locked
36. Manual date input errors negatively affects District compliance and auditors performance measures.
37. Unable to provide customer service to stakeholders because contract coordinators and contract managers cannot see specific contracts
38. Not all positions within the Contract are included in the CITS TWO/LOA
39. TWO/LOA amendments are currently required to add positions not part of the original TWO/LOA
40. Current separate systems do not communicate efficiently with each other.
41. Difficult to quickly obtain accurate data
42. High turnover rate in FSO and PSU
43. Loss of knowledge
44. Employees do not feel they are valued
45. Low employee morale
46. Supporting documents for expenses not submitted in timely manner

3.5 Issue/Obstacle Summary

Overall, 46 separate issues were identified by the team. Due to the similarity of multiple issues, the VE team leaders reviewed and grouped them into the following broad classifications:

1. Modifications to the Automatic Fee Proposal
2. Lack of Training/Understanding
3. Modifications to the Consultants Invoice Transmittal System Software
4. Improvements to the Review Process
5. Staffing Issues
6. Data Input Improvements
7. Need to identify roles and responsibilities
8. How are we collecting and analyzing data
9. How CITS interfaces and interoperates with other related systems (e.g., CFM, Flare)

These classification numbers are utilized during the evaluation phase for continued tracking of the issues and ideas (see the Idea Evaluation Form in **Section 5.2**).

4 Speculation/Creative

As mentioned in **Section 3.5**, the 46 issues/concerns were assigned to one of the 9 broad classifications. To ensure all issues/concerns were accounted for during the speculation phase, their identifying numbers were used for clarity in showing from, which functional unit the idea was generated. Brainstorming on each of these, the VE team, as a group, generated 42 ideas that were brought forward within the classifications mentioned for evaluation. The final disposition of each idea is included at the end of **Section 5 Idea Evaluation**.

4.1 Modifications to the Automatic Fee Proposal

6. Sometimes when the uploading of an AFP fails the reasons can be can be very varied if not text length. A good deal of time may be spent trying to troubleshoot for errors or other reasons that it failed. The only way to know if you're successful is to try to upload again. This can take multiple people and multiple trials.
12. Bridge program (IPSWITCH) was created to extract data from AFP spreadsheet to dump it into CITS. If the IPSW does not find a location within your computer to store the data temporarily, the data will be lost. Delays the process and there is room for errors
21. Issues with Operating Margins not showing up in CITS an input error (E1) or should automatically link E1 to table 4. Or stop progression until correct info is entered.
24. Document upload timing and contract suspension may derail the plan

4.2 Lack of Training/Understanding

2. PM has 10 working days to approve the services after receipt of progress report, FDOT has 20 calendar days to submit a voucher to DFS, FSO typically takes 5-8 days to pay. Payment is posted within 48 hours.
13. There are not in-house, local DOT personnel who understand CITS
14. If the consultant's financial people don't have the correct pay period shown on the invoice
15. The 20-day turnaround from the submittal of progress report to payment of the consultant
17. Task work orders (new and close-out amendments) not in CITS on a timely basis
46. Supporting documents for expenses not submitted in timely manner

4.3 Modifications to the Consultants Invoice Transmittal System Software

4. Encumbered dollars in CITS need to have any remainder dollars negative encumbrance on each TWO to free up the dollars under the contract. Can we close the TWO and have it automatically free up the remainder and communicate that information to the financial page to reflect the update?

5. Attach all of the contract lists into the TWOs
7. Consultants get frustrated when they system has locked them out (suspended file) and they want to submit invoices
8. Contract close-out invoices and/or multiple invoices are difficult to submit
11. When Using the same element description but with a different type of compensation, CITS will overwrite the amount and will convert it to lump sum; adding the old and new value. PSU then has to go back and amend the amount
18. Conflicting information in CTIS – Project page will incorrectly show Contract over funds limit. When this happens, we're unable to obtain approval of new TWOs for additional funds
20. CITS under suspend – unable to process invoices
22. It is difficult to determine the reasoning why contract is suspended in CITS as the system does not clearly state reason Have CITS tell us who and why it is locked
23. Once an executed TWO/amendment is submitted from us for CITS data upload there is no easy way to track if the information has been entered or when, without frequently manually checking Have the PM or the consultant input the proposal – consultant submits, PM approves proposal is In the system notification should be sent when the TWO is approved or rejected.
26. You can't click the back button to go to the previous screen, you can if you double click
27. On the home page, when you enter the contract number you have to hit submit in lieu of the "enter" button as with most applications. It is cumbersome to have to go home each time to switch between contract page and invoices when looking for information. Contracts often get locked, thus prohibiting consultants from submitting invoices to me for approval or for FSO for payment. Software correction to allow Enter or Submit on the home page (Brandon in CO)
29. Consultants cannot bill due to their agreements being locked by either Procurement or Financial Services.
35. There could be an issue with the contract that could hold up the data entry or if someone is uploading information in CITS the system could be locked

4.4 Improvements to the Review Process

25. Lack of necessary information to review may derail the plan
36. Manual date input errors negatively affects District compliance and auditors performance measures.
37. Unable to provide customer service to stakeholders because contract coordinators and contract managers cannot see specific contracts
38. Not all positions within the Contract are included in the CITS TWO/LOA

39. TWO/LOA amendments are currently required to add positions not part of the original TWO/LOA

4.5 Staffing Issues

42. High turnover rate in FSO and PSU
43. Loss of knowledge
44. Employees do not feel they are valued
45. Low employee morale

4.6 Data Input Improvements

1. If the consultants are building their invoice over time they are locking out the system so that no other activities (payments/TWO/amendments, etc.)
3. Can we just lockout a pending TWO and not the entire contract to keep the system working?
10. PSU should not be entering data for TWO into CITS
16. Invoices cannot be submitted until task work orders and contract amendments are entered into CITS, or when CITS is shut down to enter amendments
30. Procurement cannot enter agreements in CITS due to the contract being suspended by Financial Services.
31. Financial Services cannot lock the agreement for billing due to the contract being previously suspended by Procurement
32. Progress report not submitted by the consultant before invoice is submitted in CITS may derail the plan
33. If the system is locked due to upload of data in PSU the consultant cannot submit an invoice until the data entry is complete
34. Must approve invoice within 10 days. If the PM is out make sure an alternate is available to approve on behalf of the PM

4.7 Need to identify roles and responsibilities

9. Document errors, computer settings, unexpected absence from work could derail the plan

4.8 How are we collecting and analyzing data

19. Amendments adding subs not in CITS on a timely basis
28. If the contract is locked out it may derail the plan

4.9 How CITS interfaces and interoperates with other related systems (e.g., CFM, Flare)

40. Current separate systems do not communicate efficiently with each other.
41. Difficult to quickly obtain accurate data

5 Idea Evaluation

Although each project is different, the evaluation process for each VE effort can be thought of in its simplest form as a way of combining, evaluating, and narrowing ideas until the VE team agrees on the recommendations to be forwarded. **Figure 2** depicts the typical information flow for the VE process.

5.1 Evaluation Process

Using information from the functional unit discussions, experience, research, and taking into consideration the constraints (federal and state legal requirements), the VE team discussed the various ideas and documented the advantages and disadvantages of each. Each idea was then carefully evaluated with the VE team reaching consensus on the validity of the idea through answering the following questions (as they related to the issue being discussed).

- 1) Will it work?
- 2) Will it save time?
- 3) Will it meet or exceed performance needs?

The idea list was grouped by broad classification as identified in **Section 3.5**. Any idea that scored less than 3 points was eliminated from further discussion. A score of 4 or 5 was developed further. Items scoring 3 were added to the list of Process Improvement Suggestions. **Section 5.2** identifies the ranking of each idea and their disposition; the team provided a short description and justification to support any low ranking.

5.2 Idea Evaluation Form

Issue 1: Modifications to the Automatic Fee Proposal

References: Issue No. 1, 3, 7, 8; Ideas No. 6, 7, 9, 12, 19, 20, 21, 24

| Idea No. | Description | Advantages | Disadvantages |
|-------------------------------------|--|---|---|
| 1.1 | Modify the Automatic Fee Proposal (AFP), to a web-based system | <ul style="list-style-type: none"> ◆ Easier access ◆ Faster review ◆ Faster editing ◆ More efficient ◆ Quality control for the consultants ◆ Reduces the chances for corruption of the file | <ul style="list-style-type: none"> ◆ No current funding ◆ Additional training for consultant and PSU/PM staff |
| Justification/Comments/Disposition: | | | |
| Rating: 5 | | | |

| Idea No. | Description | Advantages | Disadvantages |
|-------------------------------------|---|---|--|
| 1.2 | AFP errors should be identified clearly so errors/corruptors can be corrected | <ul style="list-style-type: none"> ◆ Efficient ◆ Less staff hours ◆ Allows data to be available faster | <ul style="list-style-type: none"> ◆ Requires software update |
| Justification/Comments/Disposition: | | | |
| Rating: 5 | | | |

Screening Criteria: Does it work? Y/N Does it save time? Y/N Does it meet performance expectation? Y/N

Ranking Scale: 5 = Great Opportunity

2 = Minor Failure Screening Criteria

= Advanced as recommendation

4 = Good Opportunity

1 = Major Failure Screening Criteria

= Forwarded as process improvement suggestion

3 = Process Improvement Suggestion

= Dropped from future consideration

| Idea No. | Description | Advantages | Disadvantages |
|-------------------------------------|---|---|---|
| 1.3 | Expand dropdown fields for all possible services line item characters and abbreviations | <ul style="list-style-type: none"> ◆ Reduces errors ◆ Time efficiency ◆ Less stressful ◆ Increase data collection opportunities ◆ Improves consistency | <ul style="list-style-type: none"> ◆ Software update |
| Justification/Comments/Disposition: | | | |
| Rating: 4 | | | |

Issue 2: Lack of Training/Understanding

References: Issue No. 1, 2, 3, 6, 8; Ideas No. 2, 4, 11, 13, 14, 15, 17, 32, 46

| | | | |
|-------------------------------------|---|---|---|
| 2.1 | Provide a training document to illustrate that the PM has 10 working days to approve the services after receipt of progress report, Department has 20 total calendar days to submit a voucher to the Comptroller. | <ul style="list-style-type: none"> ◆ Improves efficiency ◆ Improves compliance ◆ Minimizes interest payments ◆ Less stress ◆ Improves Department image | <ul style="list-style-type: none"> ◆ None apparent |
| Justification/Comments/Disposition: | | | |
| Rating: 4 | | | |

Screening Criteria: Does it work? Y/N Does it save time? Y/N Does it meet performance expectation? Y/N

Ranking Scale: 5 = Great Opportunity

4 = Good Opportunity

3 = Process Improvement Suggestion

2 = Minor Failure Screening Criteria

1 = Major Failure Screening Criteria

= Advanced as recommendation

= Forwarded as process improvement suggestion

= Dropped from future consideration

| | Description | Advantages | Disadvantages |
|-------------------------------------|---|---|---|
| 2.2 | Use a checklist to identify common and basic errors | <ul style="list-style-type: none"> ◆ Improves efficiency ◆ Improves compliance ◆ Improves accuracy ◆ Less stress ◆ Improves Department image ◆ Reduces training needs | <ul style="list-style-type: none"> ◆ None apparent |
| Justification/Comments/Disposition: | | | |
| Rating: 4 | | | |

| | Description | Advantages | Disadvantages |
|-------------------------------------|--|--|---|
| 2.3 | Provide consultants with a progress report template. | <ul style="list-style-type: none"> ◆ Improves efficiency ◆ Provides consistency ◆ Improves accuracy ◆ Less stress ◆ Improves Department image ◆ Reduces training needs | <ul style="list-style-type: none"> ◆ None apparent |
| Justification/Comments/Disposition: | | | |
| Rating: 3 | | | |

Screening Criteria: Does it work? Y/N Does it save time? Y/N Does it meet performance expectation? Y/N

Ranking Scale: 5 = Great Opportunity

2 = Minor Failure Screening Criteria

◆ = Advanced as recommendation

4 = Good Opportunity

1 = Major Failure Screening Criteria

◆ = Forwarded as process improvement suggestion

3 = Process Improvement Suggestion

◆ = Dropped from future consideration

| | Description | Advantages | Disadvantages |
|-----------|--|--|---|
| 2.4 | Provide a training document that identifies proper procedures to reduce common errors between PSU and FSO. | <ul style="list-style-type: none"> ◆ More efficient ◆ Improves morale ◆ Less stress | <ul style="list-style-type: none"> ◆ None apparent |
| | Justification/Comments/Disposition: | | |
| Rating: 4 | | | |

Issue 3: Modifications to the Consultants Invoice Transmittal System Software

References: Issue No. 1, 2, 3, 6, 8; Ideas No. 1, 3, 6, 7, 9, 12, 16, 17, 19, 20, 21, 22, 23, 24, 29, 30, 31, 46

| Idea No. | Description | Advantages | Disadvantages |
|-----------|--|---|---|
| 3.1 | Within the software have a report capability to query CITS | <ul style="list-style-type: none"> ◆ Saves time ◆ More efficient ◆ Improves compliance | <ul style="list-style-type: none"> ◆ None apparent |
| | Justification/Comments/Disposition: | | |
| Rating: 5 | | | |

Screening Criteria: Does it work? Y/N Does it save time? Y/N Does it meet performance expectation? Y/N

Ranking Scale: 5 = Great Opportunity

4 = Good Opportunity

3 = Process Improvement Suggestion

2 = Minor Failure Screening Criteria

1 = Major Failure Screening Criteria

= Advanced as recommendation

= Forwarded as process improvement suggestion

= Dropped from future consideration

| Idea No. | Description | Advantages | Disadvantages |
|-------------------------------------|---|---|---|
| 3.2 | Allow view –only access to all CITS contracts in the Department the PM and Contractor Coordinator work with | <ul style="list-style-type: none"> ◆ Improves efficiency for PMs and contract coordinators ◆ Improves customer service between PM and PSU | <ul style="list-style-type: none"> ◆ District Four does not allow view-only capability |
| Justification/Comments/Disposition: | | | |
| Rating: 5 | | | |

| Idea No. | Description | Advantages | Disadvantages |
|-------------------------------------|---|---|---|
| 3.3 | Allow the contract to be active while new documents are being input and not lockout the entire contract to keep the system working? | <ul style="list-style-type: none"> ◆ Less external correspondence ◆ Improves Department image ◆ Improves efficiency ◆ Improves compliance ◆ Improves morale ◆ Allows continuance of invoicing | <ul style="list-style-type: none"> ◆ None apparent |
| Justification/Comments/Disposition: | | | |
| Rating: 5 | | | |

Screening Criteria: Does it work? Y/N Does it save time? Y/N Does it meet performance expectation? Y/N

Ranking Scale: 5 = Great Opportunity

4 = Good Opportunity

3 = Process Improvement Suggestion

2 = Minor Failure Screening Criteria

1 = Major Failure Screening Criteria

= Advanced as recommendation

= Forwarded as process improvement suggestion

= Dropped from future consideration

| Idea No. | Description | Advantages | Disadvantages |
|-------------------------------------|--|---|---|
| 3.4 | Allow the consultants to build their invoice offline (over time) and then submit to CITS | <ul style="list-style-type: none"> ◆ Less external correspondence ◆ Improves Department image ◆ Improves efficiency ◆ Improves compliance ◆ Improves morale ◆ Allows continuance of invoicing and document upload | <ul style="list-style-type: none"> ◆ None apparent |
| Justification/Comments/Disposition: | | | |
| Rating: 5 | | | |

| Idea No. | Description | Advantages | Disadvantages |
|-------------------------------------|---|--|--|
| 3.5 | Software enhancement to allow Enter or Submit options on the CITS home page (Brandon in CO) | <ul style="list-style-type: none"> ◆ Easier access ◆ More flexibility ◆ Faster data entry | <ul style="list-style-type: none"> ◆ Software correction cost |
| Justification/Comments/Disposition: | | | |
| Rating: 3 | | | |

Screening Criteria: Does it work? Y/N Does it save time? Y/N Does it meet performance expectation? Y/N

Ranking Scale: 5 = Great Opportunity

4 = Good Opportunity

3 = Process Improvement Suggestion

2 = Minor Failure Screening Criteria

1 = Major Failure Screening Criteria

= Advanced as recommendation

= Forwarded as process improvement suggestion

= Dropped from future consideration

| Idea No. | Description | Advantages | Disadvantages |
|-------------------------------------|--|--|--|
| 3.6 | Have automated input Optical Character Reader (OCR) vs. manual to minimize human error | <ul style="list-style-type: none"> ◆ Faster data entry ◆ Less input errors ◆ Time efficient ◆ Less frustration | <ul style="list-style-type: none"> ◆ Software update and OCR software |
| Justification/Comments/Disposition: | | | |
| Rating: 4 | | | |

| Idea No. | Description | Advantages | Disadvantages |
|-------------------------------------|---|---|---|
| 3.7 | The Consultant should be able to initiate the TWO within CITS using all existing agreements, which will alleviate FSO and PSU time. | <ul style="list-style-type: none"> ◆ Decrease errors ◆ Improve accuracy ◆ Saves time ◆ Less stress ◆ Faster access to the contract | <ul style="list-style-type: none"> ◆ Software upgrade ◆ Consultant training |
| Justification/Comments/Disposition: | | | |
| Rating: 5 | | | |

Screening Criteria: Does it work? Y/N Does it save time? Y/N Does it meet performance expectation? Y/N

Ranking Scale: 5 = Great Opportunity

4 = Good Opportunity

3 = Process Improvement Suggestion

2 = Minor Failure Screening Criteria

1 = Major Failure Screening Criteria

= Advanced as recommendation

= Forwarded as process improvement suggestion

= Dropped from future consideration

| Idea No. | Description | Advantages | Disadvantages |
|-------------------------------------|--|---|---|
| 3.8 | Recalculate invoices when multiple invoices are submitted and are incorrect. Correct the invoices automatically in the background. Automate the process of linking table 4 and E1 table. | <ul style="list-style-type: none"> ◆ Eliminates errors ◆ More timely approval | <ul style="list-style-type: none"> ◆ Software update |
| Justification/Comments/Disposition: | | | |
| Rating: 4 | | | |

| Idea No. | Description | Advantages | Disadvantages |
|-------------------------------------|---|--|---|
| 3.9 | Obtain limited authority of system for users. Open CITS for administration rights for local PSA | <ul style="list-style-type: none"> ◆ Faster corrections ◆ Better availability of contracts ◆ Less down time | <ul style="list-style-type: none"> ◆ More work for PSU ◆ Complacency to do it right the first time ◆ Fear of unauthorized contract changes ◆ Need additional safeguards |
| Justification/Comments/Disposition: | | | |
| Rating: 4 | | | |

Screening Criteria: Does it work? Y/N Does it save time? Y/N Does it meet performance expectation? Y/N

Ranking Scale: 5 = Great Opportunity

4 = Good Opportunity

3 = Process Improvement Suggestion

2 = Minor Failure Screening Criteria

1 = Major Failure Screening Criteria

= Advanced as recommendation

= Forwarded as process improvement suggestion

= Dropped from future consideration

| Idea No. | Description | Advantages | Disadvantages |
|-------------------------------------|---|---|---|
| 3.10 | CITS should be able to let internal users (FDOT Staff) know who has approved a document | <ul style="list-style-type: none"> ◆ Accountability ◆ Better communication ◆ Improved work product | <ul style="list-style-type: none"> ◆ Software update |
| Justification/Comments/Disposition: | | | |
| Rating: 4 | | | |

| Idea No. | Description | Advantages | Disadvantages |
|-------------------------------------|---|---|--|
| 3.11 | Add a required field where the PM could report when they received the progress report | <ul style="list-style-type: none"> ◆ Less errors ◆ Reduces processing time ◆ Improves compliance ◆ More efficient | <ul style="list-style-type: none"> ◆ Software update needed |
| Justification/Comments/Disposition: | | | |
| Rating: 5 | | | |

Screening Criteria: Does it work? Y/N Does it save time? Y/N Does it meet performance expectation? Y/N

Ranking Scale: 5 = Great Opportunity

4 = Good Opportunity

3 = Process Improvement Suggestion

2 = Minor Failure Screening Criteria

1 = Major Failure Screening Criteria

= Advanced as recommendation

= Forwarded as process improvement suggestion

= Dropped from future consideration

| | Description | Advantages | Disadvantages |
|-----------|---|---|---|
| 3.12 | Automatically update the financial project page for any funds changes in CITS Update the system so that when a TWO is complete and closed to automatically pull the FM project number to recover the costs. There are three systems involved here (CITS, CFM, FLAIR). CITS does not talk to CFM since it's not picking up the encumbrance in CFM. | <ul style="list-style-type: none"> ◆ More accurate ◆ Time efficient ◆ Better funds accountability and management ◆ Faster reconciliation of funds | <ul style="list-style-type: none"> ◆ Software update |
| | Justification/Comments/Disposition: | | |
| Rating: 5 | When entering the amendment/TWO currently PSU needs to manually add the FM project number. CITS should be able to automatically read and append the encumbrance. This will enhance the financial page | | |

Screening Criteria: Does it work? Y/N Does it save time? Y/N Does it meet performance expectation? Y/N

Ranking Scale: 5 = Great Opportunity

4 = Good Opportunity

3 = Process Improvement Suggestion

2 = Minor Failure Screening Criteria

1 = Major Failure Screening Criteria

= Advanced as recommendation

= Forwarded as process improvement suggestion

= Dropped from future consideration

| Idea No. | Description | Advantages | Disadvantages |
|-------------------------------------|--|---|---|
| 3.13 | CITS needs to notify the person inputting that the compensation element already exists under a different method of compensation for a given TWO. | <ul style="list-style-type: none"> ◆ Prevents changes in method of payment ◆ Prevents loss of payment history ◆ Saves time ◆ Prevents overpayment | <ul style="list-style-type: none"> ◆ The only person aware of the difference is the person entering the data |
| Justification/Comments/Disposition: | | | |
| Rating: 5 | | | |

| Idea No. | Description | Advantages | Disadvantages |
|-------------------------------------|---|--|---|
| 3.14 | CITS should be able to let internal users (FDOT Staff) know what and who has suspended a particular contract. | <ul style="list-style-type: none"> ◆ Better communication ◆ Improves resolution of issues ◆ Provides accountability ◆ Saves time | <ul style="list-style-type: none"> ◆ Software update |
| Justification/Comments/Disposition: | | | |
| Rating: 4 | | | |

Screening Criteria: Does it work? Y/N Does it save time? Y/N Does it meet performance expectation? Y/N

Ranking Scale: 5 = Great Opportunity

4 = Good Opportunity

3 = Process Improvement Suggestion

2 = Minor Failure Screening Criteria

1 = Major Failure Screening Criteria

= Advanced as recommendation

= Forwarded as process improvement suggestion

= Dropped from future consideration

| Idea No. | Description | Advantages | Disadvantages |
|-------------------------------------|---|--|---|
| 3.15 | CITS should allow users to work on different TWOs within a contract even when one of the TWOs has been suspended. | <ul style="list-style-type: none"> ◆ Less external correspondence ◆ Improves Department image ◆ Improves efficiency ◆ Improves morale ◆ Allows document upload ◆ Less stress | <ul style="list-style-type: none"> ◆ Software update |
| Justification/Comments/Disposition: | | | |
| Rating: 4 | | | |

| Idea No. | Description | Advantages | Disadvantages |
|-------------------------------------|--|--|---|
| 3.16 | Create a calendar to click the transaction date for FSO only instead of manual input | <ul style="list-style-type: none"> ◆ Improve compliance ◆ Reduces input errors ◆ Saves time | <ul style="list-style-type: none"> ◆ Software update |
| Justification/Comments/Disposition: | | | |
| Rating: 5 | | | |

Screening Criteria: Does it work? Y/N Does it save time? Y/N Does it meet performance expectation? Y/N

Ranking Scale: 5 = Great Opportunity

4 = Good Opportunity

3 = Process Improvement Suggestion

2 = Minor Failure Screening Criteria

1 = Major Failure Screening Criteria

= Advanced as recommendation

= Forwarded as process improvement suggestion

= Dropped from future consideration

| Idea No. | Description | Advantages | Disadvantages |
|-------------------------------------|--|--|---|
| 3.17 | Immediate notification that Object Codes not valid in CITS when FSO is processing an invoice | <ul style="list-style-type: none"> ◆ Faster processing of the invoice ◆ Less corrections | <ul style="list-style-type: none"> ◆ Software update |
| Justification/Comments/Disposition: | | | |
| Rating: 4 | | | |

| Idea No. | Description | Advantages | Disadvantages |
|-------------------------------------|--|---|---|
| 3.18 | CITS needs to notify when there is split funding | <ul style="list-style-type: none"> ◆ Better funds management ◆ Saves time ◆ Prevents work stoppages ◆ Improves public image ◆ Prevents settlement agreements | <ul style="list-style-type: none"> ◆ Software update |
| Justification/Comments/Disposition: | | | |
| Rating: 4 | | | |

Screening Criteria: Does it work? Y/N Does it save time? Y/N Does it meet performance expectation? Y/N

Ranking Scale: 5 = Great Opportunity

4 = Good Opportunity

3 = Process Improvement Suggestion

2 = Minor Failure Screening Criteria

1 = Major Failure Screening Criteria

= Advanced as recommendation

= Forwarded as process improvement suggestion

= Dropped from future consideration

| Idea No. | Description | Advantages | Disadvantages |
|-------------------------------------|--|--|--|
| 3.19 | The Consultant initiates the TWO, TWO amendments and LOA within CITS using all existing agreements. PM will approve task work orders, TWO amendments and LOA directly in CITS. | <ul style="list-style-type: none"> ◆ Eliminates FSO and PSU time ◆ More efficient ◆ Minimizes errors ◆ Ownership | <ul style="list-style-type: none"> ◆ Additional workload for the PM ◆ If Idea 3.13 is not implemented, then this idea could create a method of comp. issue. ◆ Develop the software to do it |
| Justification/Comments/Disposition: | | | |
| Rating: 4 | | | |

| Idea No. | Description | Advantages | Disadvantages |
|-------------------------------------|--|--|--|
| 3.20 | Create a system where the TWOs/LOAs are populated through a form site and then uploaded automatically into CITS. | <ul style="list-style-type: none"> ◆ Minimize errors ◆ Eliminates cleaning ◆ More efficient | <ul style="list-style-type: none"> ◆ It will not capture the signature ◆ Software update |
| Justification/Comments/Disposition: | | | |
| Rating: 4 | | | |

Screening Criteria: Does it work? Y/N Does it save time? Y/N Does it meet performance expectation? Y/N

Ranking Scale: 5 = Great Opportunity

4 = Good Opportunity

3 = Process Improvement Suggestion

2 = Minor Failure Screening Criteria

1 = Major Failure Screening Criteria

= Advanced as recommendation

= Forwarded as process improvement suggestion

= Dropped from future consideration

| Idea No. | Description | Advantages | Disadvantages |
|-----------|---|--|---|
| 3.21 | Provide a seamless transition between the Contract page and the invoice page. | <ul style="list-style-type: none"> ◆ More efficient ◆ Saves time ◆ Less frustration | <ul style="list-style-type: none"> ◆ Software update |
| | Justification/Comments/Disposition: | | |
| Rating: 5 | | | |

Issue 4: Improvements to the Review Process

References: Issue No. 4; Ideas No. 25, 36, 37, 38, 39

| Idea No. | Description | Advantages | Disadvantages |
|-----------|--|---|---|
| 4.1 | Allow more invoice reviewers (need 4 versus 2) | <ul style="list-style-type: none"> ◆ Distribute workload ◆ Expedites review | <ul style="list-style-type: none"> ◆ It creates another layer of approval ◆ May require software update |
| | Justification/Comments/Disposition: | | |
| Rating: 4 | | | |

Screening Criteria: Does it work? Y/N Does it save time? Y/N Does it meet performance expectation? Y/N

Ranking Scale: 5 = Great Opportunity

4 = Good Opportunity

3 = Process Improvement Suggestion

2 = Minor Failure Screening Criteria

1 = Major Failure Screening Criteria

= Advanced as recommendation

= Forwarded as process improvement suggestion

= Dropped from future consideration

| Idea No. | Description | Advantages | Disadvantages |
|-----------|--|--|---|
| 4.2 | Set up and send a notification once the status of documents has been changed to approved | <ul style="list-style-type: none"> ◆ Improves customer service ◆ Less emails and phone calls ◆ Consultants will be notified | <ul style="list-style-type: none"> ◆ May require software update |
| | Justification/Comments/Disposition: | | |
| Rating: 4 | | | |

| Idea No. | Description | Advantages | Disadvantages |
|-----------|---|--|---|
| 4.3 | Add automatic email notifications at multiple stages to the Project Manager regarding the time to review the invoice (at day 5 and at day 10) | <ul style="list-style-type: none"> ● Improves compliance ● Less emails ● Saves time (PM and FSO) ● Reduces interest payments | <ul style="list-style-type: none"> ◆ May require software update |
| | Justification/Comments/Disposition: | | |
| Rating: 5 | | | |

Screening Criteria: Does it work? Y/N Does it save time? Y/N Does it meet performance expectation? Y/N

Ranking Scale: 5 = Great Opportunity

2 = Minor Failure Screening Criteria

= Advanced as recommendation

4 = Good Opportunity

1 = Major Failure Screening Criteria

= Forwarded as process improvement suggestion

3 = Process Improvement Suggestion

= Dropped from future consideration

| Idea No. | Description | Advantages | Disadvantages |
|-------------------------------------|---|--|---|
| 4.4 | Use the radio button to include all positions and multipliers on TOWs | <ul style="list-style-type: none"> ◆ Minimizes amendments ◆ More efficient ◆ Less review for FSO ◆ Less input for PSU ◆ Reduces human error ◆ Saves time | <ul style="list-style-type: none"> ◆ None apparent |
| Justification/Comments/Disposition: | | | |
| Rating: 5 | | | |

| Idea No. | Description | Advantages | Disadvantages |
|-------------------------------------|--|--|---|
| 4.5 | Automate the process when there is a contract amendment to add rates, since currently it has to be added manually. It could be done using the AFP, but it is not working well for contract amendments via IPSWITCH. CITS should be able to append an AFP into an existing contract | <ul style="list-style-type: none"> ◆ Saves time ◆ Less errors ◆ Improves customer service | <ul style="list-style-type: none"> ◆ IPSWITCH still has to work properly |
| Justification/Comments/Disposition: | | | |
| Rating: 5 | | | |

Screening Criteria: Does it work? Y/N Does it save time? Y/N Does it meet performance expectation? Y/N

Ranking Scale: 5 = Great Opportunity

4 = Good Opportunity

3 = Process Improvement Suggestion

2 = Minor Failure Screening Criteria

1 = Major Failure Screening Criteria

= Advanced as recommendation

= Forwarded as process improvement suggestion

= Dropped from future consideration

Issue 5: Staffing Issues

References: Issue No. 2, 5, 7; Ideas No. 7, 9, 17, 42, 43, 44, 45

| Idea No. | Description | Advantages | Disadvantages |
|-------------------------------------|---|--|--|
| 5.1 | Add a new Full Time Employee position for CITS input in PSU | <ul style="list-style-type: none"> ◆ Better customer service ◆ Quicker turnaround for docs ◆ Improves morale ◆ Improves employee retention | <ul style="list-style-type: none"> ◆ Funding ◆ |
| Justification/Comments/Disposition: | | | |
| Rating: 5 | | | |

| Idea No. | Description | Advantages | Disadvantages |
|-------------------------------------|--|--|--|
| 5.2 | Add a new Full Time Employee position for CITS review in FSO | <ul style="list-style-type: none"> ◆ Better customer service ◆ Quicker turnaround for docs ◆ Improves morale ◆ Improves employee retention | <ul style="list-style-type: none"> ◆ Funding ◆ |
| Justification/Comments/Disposition: | | | |
| Rating: 5 | | | |

Screening Criteria: Does it work? Y/N Does it save time? Y/N Does it meet performance expectation? Y/N

Ranking Scale: 5 = Great Opportunity

4 = Good Opportunity

3 = Process Improvement Suggestion

2 = Minor Failure Screening Criteria

1 = Major Failure Screening Criteria

= Advanced as recommendation

= Forwarded as process improvement suggestion

= Dropped from future consideration

| Idea No. | Description | Advantages | Disadvantages |
|-------------------------------------|---|--|--|
| 5.3 | Improve staff retention for FSO and PSU by providing competitive salaries | <ul style="list-style-type: none"> ◆ Improves morale ◆ Improves employee retention | <ul style="list-style-type: none"> ◆ Funding ◆ |
| Justification/Comments/Disposition: | | | |
| Rating: 5 | | | |

Issue 6: Data Input Improvements

References: Issue No. 6; Ideas No. 1, 3, 7, 10, 16, 17, 19, 22, 23, 24, 30, 31, 32, 33, 34

| Idea No. | Description | Advantages | Disadvantages |
|-------------------------------------|-----------------------------|--|---|
| 6.3 | Do more lump sum contracts. | <ul style="list-style-type: none"> ◆ It's easier and faster to process lump sum contracts in CITS ◆ Less review time for FSO | <ul style="list-style-type: none"> ◆ Inherent financial risk to both parties |
| Justification/Comments/Disposition: | | | |
| Rating: 3 | | | |

Screening Criteria: Does it work? Y/N Does it save time? Y/N Does it meet performance expectation? Y/N

Ranking Scale: 5 = Great Opportunity

4 = Good Opportunity

3 = Process Improvement Suggestion

2 = Minor Failure Screening Criteria

1 = Major Failure Screening Criteria

= Advanced as recommendation

= Forwarded as process improvement suggestion

= Dropped from future consideration

| Idea No. | Description | Advantages | Disadvantages |
|-------------------------------------|---|------------|-----------------|
| 6.4 | Have a true electronic system that eliminates redundancy (See 3.20) | ♦ | ♦ None apparent |
| Justification/Comments/Disposition: | | | |
| Rating: 5 | | | |

| Idea No. | Description | Advantages | Disadvantages |
|-------------------------------------|---|------------|-----------------|
| 6.5 | Have automated input vs. manual to minimize human error (covered elsewhere) | ♦ | ♦ None apparent |
| Justification/Comments/Disposition: | | | |
| Rating: 5 | | | |

Screening Criteria: Does it work? Y/N Does it save time? Y/N Does it meet performance expectation? Y/N

Ranking Scale: 5 = Great Opportunity

4 = Good Opportunity

3 = Process Improvement Suggestion

2 = Minor Failure Screening Criteria

1 = Major Failure Screening Criteria

= Advanced as recommendation

= Forwarded as process improvement suggestion

= Dropped from future consideration

Issue 7: Need to identify roles and responsibilities

References: Issue No. 5, 7; Ideas No. 9, 10, 34, 42, 43, 44, 45

| Idea No. | Description | Advantages | Disadvantages |
|-----------|---|--|-----------------|
| 7.1 | Develop a flowchart of the process between PSU and FSO to identify roles and responsibilities | <ul style="list-style-type: none"> ◆ Clearly defines process ◆ Faster training ◆ Accountability ◆ Improves morale ◆ Improves communication ◆ Improves customer service ◆ Saves time | ◆ None apparent |
| | | | |
| Rating: 4 | | | |

Screening Criteria: Does it work? Y/N Does it save time? Y/N Does it meet performance expectation? Y/N

Ranking Scale: 5 = Great Opportunity

4 = Good Opportunity

3 = Process Improvement Suggestion

2 = Minor Failure Screening Criteria

1 = Major Failure Screening Criteria

= Advanced as recommendation

= Forwarded as process improvement suggestion

= Dropped from future consideration

Issue 8: How are we collecting and analyzing data

References: Issue No. 8, 9; Ideas No. 19, 28, 40, 41

| Idea No. | Description | Advantages | Disadvantages |
|-------------------------------------|--|--|---|
| 8.1 | Develop a portfolio management system (dashboard) for quick review of key indicators within CITS, FLAIR, CFM and PSI | <ul style="list-style-type: none"> ◆ Saves time ◆ Accurate data collection ◆ Accurate data analysis ◆ One stop shop ◆ Improves customer service ◆ Better fiscal accountability ◆ Less manual analysis | <ul style="list-style-type: none"> ◆ Software reconfiguration ◆ Funding ◆ Training |
| Justification/Comments/Disposition: | | | |
| Rating: 5 | | | |

Screening Criteria: Does it work? Y/N Does it save time? Y/N Does it meet performance expectation? Y/N

Ranking Scale: 5 = Great Opportunity

4 = Good Opportunity

3 = Process Improvement Suggestion

2 = Minor Failure Screening Criteria

1 = Major Failure Screening Criteria

= Advanced as recommendation

= Forwarded as process improvement suggestion

= Dropped from future consideration

Issue 9: How CITS interfaces and interoperates with other related systems (e.g., CFM, FLAIR)

References: Issue No. 9; Ideas No. 40, 41

| Idea No. | Description | Advantages | Disadvantages |
|-------------------------------------|--|------------|-----------------|
| 9.1 | Update the system so that when a TWO is complete and closed to automatically pull the FM project number to recover the costs. There are three systems involved here (CITS, CFM, FLAIR). CITS does not talk to CFM since it's not picking up the encumbrance in CFM. (See 3.12) | ♦ | ♦ None apparent |
| Justification/Comments/Disposition: | | | |
| Rating: 5 | | | |

Screening Criteria: Does it work? Y/N Does it save time? Y/N Does it meet performance expectation? Y/N

Ranking Scale: 5 = Great Opportunity

4 = Good Opportunity

3 = Process Improvement Suggestion

2 = Minor Failure Screening Criteria

1 = Major Failure Screening Criteria

= Advanced as recommendation

= Forwarded as process improvement suggestion

= Dropped from future consideration

| Idea No. | Description | Advantages | Disadvantages |
|-------------------------------------|--|--|-----------------|
| 9.2 | Establish communication from CITS to FM system when encumbered amount is less than programmed to eliminate "roll forward". | <ul style="list-style-type: none"> ◆ Reduces roll forward ◆ Provides accountability ◆ Free up funds for other projects ◆ Increases communication | ◆ None apparent |
| Justification/Comments/Disposition: | | | |
| Rating: 4 | | | |

Screening Criteria: Does it work? Y/N Does it save time? Y/N Does it meet performance expectation? Y/N

Ranking Scale: 5 = Great Opportunity
 4 = Good Opportunity
 3 = Process Improvement Suggestion

 2 = Minor Failure Screening Criteria
 1 = Major Failure Screening Criteria

= Advanced as recommendation
 = Forwarded as process improvement suggestion
 = Dropped from future consideration

6 Recommendations

6.1 Introduction

46 issues were generated that the VE team felt were the cause of lengthy processes and delays; due to similarities among the issues and concerns, the 46 issues were grouped into 9 broader classifications. From these issues, the team generated 42 ideas to improve the process. After review and refinement all 42 ideas were evaluated. Those 42 ideas were again grouped and consolidated into 13 recommendations that were identified as potential process improvements.

The VE recommendation documents in this section are presented as collectively written by the team during the VE study. Each recommendation was viewed and edited by the team as a group to provide the correct narrative or better clarify the recommendation, they represent the VE team's findings during the VE study. In addition to the 13 recommendations, three of the ideas didn't score high enough (scored 3 out of 5) to be considered recommendations, but they should be considered as suggestions to enhance, expedite, or provide overall improvement. They are identified, in **Table 2** as process improvement suggestions.

6.2 Correlation to the Business Plan

The FDOT District 4 has a comprehensive Strategic Planning Model called "Business Plan." The plan methodology is instilled in the district's culture through multi-tiered web-based software. This method consists of goals, objectives and activities; goals have high level lofty focus and objectives are the breakdown of the goals into specific focus areas. Activities further break down objectives into step-by-step deliverables aimed at meeting those objectives. While goals do not have specific measurable outcomes, objectives and activities have specific measures to monitor progress; they are also used to measure the effects of strategic and tactical changes to district processes.

To best take advantage of the outcome of this study, the team adapted the recommendation form to align with the District's strategic planning tool. Each recommendation consists of a list of identified issues and concerns, a description of the suggested changes to address issues and concerns, a listing of its advantages and disadvantages, a discussion of the idea/concept, followed by the aforementioned goals and objectives, along with obstacles, and resources needed to implement the recommendation.

Table 2. Process Improvement Suggestions

| Idea No. | Process Improvement |
|----------|---|
| 2.3 | Provide consultants with a progress report template. |
| 3.5 | Software enhancement to allow Enter or Submit options on the CITS home page (Brandon in Central Office) |
| 3.5 | Software enhancement to allow Enter or Submit options on the CITS home page (Brandon in Central Office) |

6.3 Summary of Recommendations

Table 3 is a summary of all recommendations generated based on their evaluation scores of a 4 or 5 and their benefits relative to the study objectives identified in **Section 1.1**.

| Table 3 - Summary of Recommendations | |
|---|--|
| Rec. No. | Description |
| 1 | Develop a web based system for the Automatic Fee Proposal (AFP) |
| 2 | Allow the contract to be active while new documents are being input. (do not lockout the entire contract to keep the system working) |
| 3 | Allow the consultants to build their invoice offline (over time) and then submit to CITS |
| 4 | Allow CITS upload through optical character recognition (scan) |
| 5 | Add additional full time CITS position for PSU and a new full time CITS position for FSO |
| 6 | Restructure training for CITS users |
| 7 | ALLOW consultants to create TWO/TWO Amendments/LOA in CITS |
| 8 | Update the CITS software to improve efficacy of workflow |
| 9 | System to add the calendar field for transaction date and progress report receipt date |
| 10 | Allow contract coordinator and contract manager to view all the contracts they manage in CITS |
| 11 | Use the radio button (select all) to include all positions and multipliers on TWO/LOA |
| 12 | Develop a portfolio management system (dashboard) for data analysis of key indicators within CITS, FLAIR, CFM and PSI |
| 13 | Provide competitive salaries to improve staff retention in FSO and PSU |

| | | |
|---|--|--|
| VE RECOMMENDATION NO. 1: DEVELOP A WEB BASED SYSTEM FOR THE AUTOMATIC FEE PROPOSAL (AFP) | | IDEA No.(s) See below |
| Issues | | |
| <p>6. Sometimes when the uploading of an AFP fails the reasons can be can be very varied if not text length. A good deal of time may be spent trying to troubleshoot for errors or other reasons that it failed. The only way to know if you're successful is to try to upload again. This can take multiple people and multiple trials.</p> <p>7. Consultants get frustrated when they system has locked them out (suspended file) and they want to submit invoices</p> <p>9. Document errors, computer settings, unexpected absence from work could derail the plan</p> <p>12. Bridge program (IPSWITCH) was created to extract data from AFP spreadsheet to dump it into CITS. If the IPSW does not find a location within your computer to store the data temporarily, the data will be lost. Delays the process and there is room for errors OMD2 Invoices cannot be submitted until task work orders and contract amendments are entered into CITS, or when CITS is shut down to enter amendments</p> <p>19. Amendments adding subs not in CITS on a timely basis</p> <p>20. CITS under suspend – unable to process invoices</p> <p>21. Issues with Operating Margins not showing up in CITS an input error (E1) or should automatically link E1 to table 4. Or stop progression until correct info is entered.</p> <p>24. Document upload timing and contract suspension may derail the plan</p> | | |
| Idea | | |
| 1.1, 1.2, 1.3, 2.2, 3.6, 3.20, 4.5, | | |
| Advantages | | Disadvantages |
| <ul style="list-style-type: none"> • Easier access • Faster review • Faster editing • Quality control for all parties • Reduces the chances for corruption of the file • Faster data entry • Less input errors • Time efficient • Less frustration • Improves public image | | <ul style="list-style-type: none"> • No current funding • Additional training for consultant and PSU/PM staff • Software update |
| Goal | | |
| Improve the efficiency and effectiveness of the CITS upload process | | |
| Objective(s) | | |
| 1.1 | Work with Tallahassee to develop the web-based application for the AFP | |
| 1.2 | Improve the efficiency of the AFP spreadsheet | |
| 1.3 | Develop and incorporate checklists of common errors | |
| Resources | | |
| Existing AFP spreadsheet, CITS software and IPSWITCH | | |

| | | |
|--|--|---|
| VE RECOMMENDATION NO. 2: ALLOW THE CONTRACT TO BE ACTIVE WHILE NEW DOCUMENTS ARE BEING INPUT. (DO NOT LOCKOUT THE ENTIRE CONTRACT TO KEEP THE SYSTEM WORKING) | | IDEA No.(s) <i>See below</i> |
| Issues | | |
| <p>1. If the consultants are building their invoice over time they are locking out the system so that no other activities (payments/TWO/amendments, etc.)</p> <p>3. Can we just lockout a pending TWO and not the entire contract to keep the system working??</p> <p>7. Consultants get frustrated when they system has locked them out (suspended file) and they want to submit invoices</p> <p>16. Invoices cannot be submitted until task work orders and contract amendments are entered into CITS, or when CITS is shut down to enter amendments</p> <p>17. Task work orders (new and close-out amendments) not in CITS on a timely basis</p> <p>19. Amendments adding subs not in CITS on a timely basis</p> <p>20. CITS under suspend – unable to process invoices</p> <p>22. It is difficult to determine the reasoning why contract is suspended in CITS as the system does not clearly state reason Have CITS tell us who and why it is locked</p> <p>23. Once an executed TWO/amendment is submitted from us for CITS data upload there is no easy way to track if the information has been entered or when, without frequently manually checking Have the PM or the consultant input the proposal – consultant submits, PM approves proposal is In the system notification should be sent when the TWO is approved or rejected.</p> <p>24. Document upload timing and contract suspension may derail the plan</p> <p>30. Procurement cannot enter agreements in CITS due to the contract being suspended by Financial Services.</p> <p>31. Financial Services cannot lock the agreement for billing due to the contract being previously suspended by Procurement</p> | | |
| Idea | | |
| 3.3., 3.4, 3.15 | | |
| Advantages | | Disadvantages |
| <ul style="list-style-type: none"> • Less external correspondence • Improves Department image • Improves efficiency • Improves compliance • Improves morale • Allows continuance of invoicing • Less stress to all parties | | <ul style="list-style-type: none"> • Software update |
| Goal | | |
| Allow the CITS software to allow multi-tasking. | | |
| Objective(s) | | |
| 2.1 | Work with Tallahassee to change the software. | |
| 2.2 | Eliminate the backlog of documents to be entered into the system | |
| 2.3 | Allow the continuous processing of invoices | |

| | |
|---|---|
| <p style="text-align: center;">VE RECOMMENDATION NO. 2: ALLOW THE CONTRACT TO BE ACTIVE WHILE NEW DOCUMENTS ARE BEING INPUT. (DO NOT LOCKOUT THE ENTIRE CONTRACT TO KEEP THE SYSTEM WORKING)</p> | <p style="text-align: center;">IDEA No.(s) <i>See below</i></p> |
| <p>Notes</p> | |
| <p>Current software and education Funding</p> | |
| <p>Resources</p> | |
| <p>Current CITS software</p> | |

| | | |
|---|--|---|
| VE RECOMMENDATION NO. 3: ALLOW THE CONSULTANTS TO BUILD THEIR INVOICE OFFLINE (OVER TIME) AND THEN SUBMIT TO CITS | | IDEA No.(s) <i>See below</i> |
| Issues | | |
| <p>1. If the consultants are building their invoice over time they are locking out the system so that no other activities (payments/TWO/amendments, etc.)</p> <p>3. Can we just lockout a pending TWO and not the entire contract to keep the system working??</p> <p>7. Consultants get frustrated when they system has locked them out (suspended file) and they want to submit invoices</p> <p>16. Invoices cannot be submitted until task work orders and contract amendments are entered into CITS, or when CITS is shut down to enter amendments</p> <p>17. Task work orders (new and close-out amendments) not in CITS on a timely basis</p> <p>19. Amendments adding subs not in CITS on a timely basis</p> <p>20. CITS under suspend – unable to process invoices</p> <p>22. It is difficult to determine the reasoning why contract is suspended in CITS as the system does not clearly state reason Have CITS tell us who and why it is locked</p> <p>23. Once an executed TWO/amendment is submitted from us for CITS data upload there is no easy way to track if the information has been entered or when, without frequently manually checking Have the PM or the consultant input the proposal – consultant submits, PM approves proposal is In the system notification should be sent when the TWO is approved or rejected.</p> <p>24. Document upload timing and contract suspension may derail the plan</p> <p>29. Consultants cannot bill due to their agreements being locked by either Procurement or Financial Services.</p> <p>30. Procurement cannot enter agreements in CITS due to the contract being suspended by Financial Services.</p> <p>31. Financial Services cannot lock the agreement for billing due to the contract being previously suspended by Procurement</p> <p>46. Supporting documents for expenses not submitted in timely manner</p> | | |
| Idea | | |
| 3.4. | | |
| Advantages | | Disadvantages |
| <ul style="list-style-type: none"> • Less external correspondence • Improves Department image • Improves efficiency • Improves compliance • Improves morale • Allows continuance of invoicing • Less stress to all parties • Increase in productivity | | <ul style="list-style-type: none"> • Software update |
| Goal | | |
| Provide a platform for the consultant to work on their draft invoice submittals offline. (but still within CITS) | | |
| Objective(s) | | |
| 3.1 | Work with Tallahassee to change the software. | |
| 3.2 | Allow the users continuous uninterrupted access to the system. | |

| | |
|--|---------------------------------|
| VE RECOMMENDATION NO. 3: ALLOW THE CONSULTANTS TO BUILD THEIR INVOICE OFFLINE (OVER TIME) AND THEN SUBMIT TO CITS | IDEA No.(s) <i>See below</i> |
| Resources | |
| Current CITS software | |

| | | |
|---|--|--|
| VE RECOMMENDATION NO. 4: ALLOW CITS UPLOAD THROUGH OPTICAL CHARACTER RECOGNITION (SCAN) | | IDEA No.(s) See below |
| Issues | | |
| <p>6. Sometimes when the uploading of an AFP fails the reasons can be can be very varied if not text length. A good deal of time may be spent trying to troubleshoot for errors or other reasons that it failed. The only way to know if you're successful is to try to upload again. This can take multiple people and multiple trials.</p> <p>7. Consultants get frustrated when they system has locked them out (suspended file) and they want to submit invoices</p> <p>9. Document errors, computer settings, unexpected absence from work could derail the plan</p> <p>12. Bridge program (IPSWITCH) was created to extract data from AFP spreadsheet to dump it into CITS. If the IPSWITCH does not find a location within your computer to store the data temporarily, the data will be lost. Delays the process and there is room for errors</p> <p>16. Invoices cannot be submitted until task work orders and contract amendments are entered into CITS, or when CITS is shut down to enter amendments</p> <p>19. Amendments adding subs not in CITS on a timely basis</p> <p>20. CITS under suspend – unable to process invoices</p> <p>21. Issues with Operating Margins not showing up in CITS an input error (E1) or should automatically link E1 to table 4. Or stop progression until correct info is entered.</p> <p>24. Document upload timing and contract suspension may derail the plan</p> | | |
| Idea | | |
| 3.6, 4.5 | | |
| Advantages | | Disadvantages |
| <ul style="list-style-type: none"> • Faster data entry • Less input errors • Time efficient • Less frustration • Eliminates the IPSWITCH • Eliminates the AFP upload • Less stress | | <ul style="list-style-type: none"> • Software update and OCR software • Software funding • Have to find a way to capture all data |
| Goal | | |
| Improve the efficiency and effectiveness of the CITS upload process | | |
| Objective(s) | | |
| 4.1 | Work with Tallahassee to develop the interface in CITS for OCR | |
| Resources | | |
| Scanners, CITS software, PDF writer software | | |

| | | |
|--|--|---|
| VE RECOMMENDATION NO. 5: ADD ADDITIONAL FULL TIME CITS POSITION FOR PSU AND A NEW FULL TIME CITS POSITION FOR FSO | | IDEA No.(s) <i>See below</i> |
| Issues | | |
| <p>7. Consultants get frustrated when they system has locked them out (suspended file) and they want to submit invoices</p> <p>9. Document errors, computer settings, unexpected absence from work could derail the plan</p> <p>16. Invoices cannot be submitted until task work orders and contract amendments are entered into CITS, or when CITS is shut down to enter amendments</p> <p>17. Task work orders (new and close-out amendments) not in CITS on a timely basis</p> <p>19. Amendments adding subs not in CITS on a timely basis</p> <p>20. CITS under suspend – unable to process invoices</p> <p>24. Document upload timing and contract suspension may derail the plan</p> <p>26. You can't click the back button to go to the previous screen. You can if you double click</p> <p>29. Consultants cannot bill due to their agreements being locked by either Procurement or Financial Services.</p> <p>30. Procurement cannot enter agreements in CITS due to the contract being suspended by Financial Services.</p> <p>31. Financial Services cannot lock the agreement for billing due to the contract being previously suspended by Procurement</p> | | |
| Idea | | |
| 5.1, 5.2, 5.3. | | |
| Advantages | | Disadvantages |
| <ul style="list-style-type: none"> • Better customer service • Quicker turnaround for docs • Improves morale • Improves employee retention | | <ul style="list-style-type: none"> • Funding |
| Goal | | |
| Effectively handle the current workload related to CITS | | |
| Objective(s) | | |
| 5.1 | Obtain approval to add full time positions | |
| 5.2 | Prepare and deliver training to new staff | |
| Resources | | |
| Available CITS training material, experienced staff. | | |

| | | |
|---|---|---|
| VE RECOMMENDATION NO. 6: RESTRUCTURE TRAINING FOR CITS USERS | | IDEA No.(s) <i>See below</i> |
| Issues | | |
| <p>4. Encumbered dollars in CITS need to have any remainder dollars negative encumbrance on each TWO to free up the dollars under the contract. Can we close the TWO and have it automatically free up the remainder and communicate that information to the financial page to reflect the update?</p> <p>11. When Using the same element description but with a different type of compensation, CITS will overwrite the amount and will convert it to lump sum; adding the old and new value. PSU then has to go back and amend the amount</p> <p>17. Task work orders (new and close-out amendments) not in CITS on a timely basis</p> <p>32. Progress report not submitted by the consultant before invoice is submitted in CITS may derail the plan</p> | | |
| Idea | | |
| 2.1, 2.2, 2.3, 2.4 | | |
| Advantages | | Disadvantages |
| <ul style="list-style-type: none"> • Improves efficiency • Improves compliance • Improves accuracy • Less stress • Improves Department image • Reduces training needs | | <ul style="list-style-type: none"> • None apparent |
| Goal | | |
| Have knowledgeable and empowered staff to execute CITS functions. | | |
| Objective(s) | | |
| 6.1 | Enhance directed training for specific roles and responsibilities. | |
| 6.2 | Establish a desktop procedure for specific roles and responsibilities | |
| 6.3 | Develop list with most common errors | |
| Resources | | |
| Existing training material, check list, contract manager academy | | |

| | | |
|---|---|--|
| VE RECOMMENDATION NO. 7: ALLOW CONSULTANTS TO CREATE TWO/TWO AMENDMENTS/LOA IN CITS | | IDEA No.(s) <i>See below</i> |
| Issues | | |
| <p>7. Consultants get frustrated when they system has locked them out (suspended file) and they want to submit invoices</p> <p>9. Document errors, computer settings, unexpected absence from work could derail the plan</p> <p>10. PSU should not be entering data for TWO into CITS</p> <p>11. When Using the same element description but with a different type of compensation, CITS will overwrite the amount and will convert it to lump sum; adding the old and new value. PSU then has to go back and amend the amount</p> <p>16. Invoices cannot be submitted until task work orders and contract amendments are entered into CITS, or when CITS is shut down to enter amendments</p> <p>17. Task work orders (new and close-out amendments) not in CITS on a timely basis</p> <p>19. Amendments adding subs not in CITS on a timely basis</p> <p>20. CITS under suspend – unable to process invoicesOC2,</p> <p>24. Document upload timing and contract suspension may derail the plan</p> <p>29. Consultants cannot bill due to their agreements being locked by either Procurement or Financial Services.</p> | | |
| Idea | | |
| 3.3, 3.7, 3.19, 3.20, 4.4 | | |
| Advantages | | Disadvantages |
| <ul style="list-style-type: none"> • Decrease errors • Improve accuracy • Saves time • Less stress • Faster access to the contract • More efficient • Ownership • Minimizes amendments • Less review for FSO • Less input for PSU • Improves compliance • Improves morale | | <ul style="list-style-type: none"> • Software upgrade • Consultant training • Additional workload for the PM • If Idea 3.13 is not implemented, then this idea could create a method of comp. issue. • Develop the software |
| Goal | | |
| Improve efficacy and accountability of the CITS process | | |
| Objective(s) | | |
| 7.1 | Work with Tallahassee to modify the CITS software to allow consultant input | |
| 7.2 | Develop and implement new training/guidelines for the new process. | |
| Resources | | |
| Existing CITS software, guidelines, existing contract data | | |

| | | |
|---|--|---|
| VE RECOMMENDATION NO. 8: UPDATE THE CITS SOFTWARE TO IMPROVE EFFICACY OF WORKFLOW | | IDEA No.(s) <i>See below</i> |
| Issues | | |
| <p>4. Encumbered dollars in CITS need to have any remainder dollars negative encumbrance on each TWO to free up the dollars under the contract. Can we close the TWO and have it automatically free up the remainder and communicate that information to the financial page to reflect the update?</p> <p>7. Consultants get frustrated when they system has locked them out (suspended file) and they want to submit invoices</p> <p>11. When Using the same element description but with a different type of compensation, CITS will overwrite the amount and will convert it to lump sum; adding the old and new value. PSU then has to go back and amend the amount</p> <p>18. Conflicting information in ICTIS – Project page will incorrectly show Contract over funds limit. When this happens, we're unable to obtain approval of new TWOs for additional funds</p> <p>20. CITS under suspend – unable to process invoices</p> <p>22. It is difficult to determine the reasoning why contract is suspended in CITS as the system does not clearly state reason Have CITS tell us who and why it is locked</p> <p>23. Once an executed TWO/amendment is submitted from us for CITS data upload there is no easy way to track if the information has been entered or when, without frequently manually checking Have the PM or the consultant input the proposal – consultant submits, PM approves proposal is In the system notification should be sent when the TWO is approved or rejected.</p> <p>24. Document upload timing and contract suspension may derail the plan</p> <p>26. You can't click the back button to go to the previous screen You can if you double click</p> <p>27. On the home page, when you enter the contract number you have to hit submit in lieu of the "enter" button as with most applications. It is cumbersome to have to go home each time to switch between contract page and invoices when looking for information. Contracts often get locked, thus prohibiting consultants from submitting invoices to me for approval or for FSO for payment. Software correction to allow Enter or Submit on the home page (Brandon in CO)</p> <p>29. Consultants cannot bill due to their agreements being locked by either Procurement or Financial Services.</p> | | |
| Idea | | |
| 3.1, 3.8, 3.9, 3.10, 3.11, 3.12, 3.13, 3.14, 3.16. 3.17., 3.18, 4.1, 4.2, 4.3 | | |
| Advantages | | Disadvantages |
| <ul style="list-style-type: none"> • Accountability • Better communication • Improved work product • Less errors • Reduces processing time • Improves compliance • More efficient • More accurate • Better funds accountability and management • Faster reconciliation of funds | | <ul style="list-style-type: none"> • Software update |
| Goal | | |
| Enhanced CITS software to optimize workflow | | |

| | | |
|--|---|---------------------------------|
| VE RECOMMENDATION NO. 8: UPDATE THE CITS SOFTWARE TO IMPROVE EFFICACY OF WORKFLOW | | IDEA No.(s) <i>See below</i> |
| Objective(s) | | |
| 8.1 | Work with Tallahassee to change the software | |
| 8.2 | Modify the system to include calendar field for transaction date and progress report receipt date | |
| 8.3 | Automatically update the financial project page for fund changes. | |
| 8.4 | Modify the CITS software to allow notifications as expressed in the ideas above | |
| Resources | | |
| CITS coordinator, CITS software | | |

| | | |
|---|--|---|
| VE RECOMMENDATION NO. 9: SYSTEM TO ADD THE CALENDAR FIELD FOR TRANSACTION DATE AND PROGRESS REPORT RECEIPT DATE | | IDEA No.(s) <i>See below</i> |
| Issues | | |
| 36. Manual date input errors negatively affects District compliance and auditors performance measures. | | |
| Idea | | |
| 3.11, 3.16 | | |
| Advantages | | Disadvantages |
| <ul style="list-style-type: none"> • Less errors • Reduces processing time • Improves compliance • More efficient • Saves time | | <ul style="list-style-type: none"> • Software update |
| Goal | | |
| Improve District compliance on invoice processing | | |
| Objective(s) | | |
| 9.1 | Work with Tallahassee to change the software addressing calendar input fields. | |
| 9.2 | | |
| Resources | | |
| CITS software, desktop procedures | | |

| | | |
|--|---|---------------------------------|
| VE RECOMMENDATION NO. 10: ALLOW CONTRACT COORDINATOR AND CONTRACT MANAGER TO VIEW ALL OF THE CONTRACTS THEY MANAGE IN CITS | | IDEA No.(s) <i>See below</i> |
| Issues | | |
| 37. Unable to provide customer service to stakeholders because contract coordinators and contract managers cannot see specific contracts | | |
| Idea | | |
| 3.2. | | |
| Advantages | | Disadvantages |
| <ul style="list-style-type: none"> • Improves efficiency for contract managers and contract coordinators • Improves customer service | <ul style="list-style-type: none"> • District Four no longer allows view-only capability | |
| Goal | | |
| Have efficient customer service with contract managers and contract coordinators. | | |
| Objective(s) | | |
| 10.1 | Work with management to allow view-only access | |
| 10.2 | | |
| Resources | | |
| Capability already exists in CITS | | |

| | | |
|---|---|---|
| VE RECOMMENDATION NO. 11: USE THE RADIO BUTTON (SELECT ALL) TO INCLUDE ALL POSITIONS AND MULTIPLIERS ON TWO/LOA | | IDEA No.(s) <i>See below</i> |
| Issues | | |
| <p>38. Not all positions within the Contract are included in the CITS TWO/LOA</p> <p>39. TWO/LOA amendments are currently required to add positions not part of the original TWO/LOA</p> | | |
| Idea | | |
| 4.4 | | |
| Advantages | | Disadvantages |
| <ul style="list-style-type: none"> • Minimizes amendments • More efficient • Less review for FSO • Less manual input for PSU • Reduces human error • Saves time • Alleviates unnecessary workload for all CITS users • Eliminates redundancy • Already in use at other Districts | | <ul style="list-style-type: none"> • None apparent |
| Goal | | |
| Improve efficiency and workflow | | |
| Objective(s) | | |
| 11.1 | Improve customer service through utilizing existing options available within CITS | |
| Resources | | |
| CITS software | | |

| | | |
|--|---|---|
| VE RECOMMENDATION NO. 12: DEVELOP A PORTFOLIO MANAGEMENT SYSTEM (DASHBOARD) FOR DATA ANALYSIS OF KEY INDICATORS WITHIN CITS, FLAIR, CFM AND PSI | | IDEA No.(s) <i>See below</i> |
| Issues | | |
| 40. Current separate systems do not communicate efficiently with each other. 41. Difficult to quickly obtain accurate data | | |
| Idea | | |
| 8.1, 9.2 | | |
| Advantages | | Disadvantages |
| <ul style="list-style-type: none"> • Consistent with ROADS initiative • Saves time • Accurate data collection • Accurate data analysis • One stop shop • Improves customer service • Better fiscal accountability • Less manual analysis • Reduces roll forward • Provides accountability • Free up funds for other projects • Increases communication | | <ul style="list-style-type: none"> • Software reconfiguration • Funding • Training |
| Goal | | |
| Produce accurate and reliable information in a timely manner | | |
| Objective(s) | | |
| 12.1 | Work with Tallahassee to change the software | |
| 12.2 | Develop an integrated system that encompasses all existing contract related data collection systems | |
| Resources | | |
| Existing contract related data collection systems | | |

| | | |
|---|--|---|
| VE RECOMMENDATION NO. 13: PROVIDE COMPETITIVE SALARIES TO IMPROVE STAFF RETENTION IN FSO AND PSU | | IDEA No.(s) <i>See below</i> |
| Issues | | |
| 42. High turnover rate in FSO and PSU 43. Loss of knowledge 44. Employees do not feel they are valued 45. Low employee morale | | |
| Idea | | |
| 5.3 | | |
| Advantages | | Disadvantages |
| <ul style="list-style-type: none"> • Improves morale • Improves employee retention • Improves customer service | | <ul style="list-style-type: none"> • Funding |
| Goal | | |
| Obtain and retain qualified personnel | | |
| Objective(s) | | |
| 13.1 | Revisit HR CPR process for current PSU and FSO | |
| 13.2 | Provide competitive salaries and career path development | |
| 13.3 | Reduce personnel turnover | |
| Resources | | |
| Existing staff | | |

Appendix A. Value Engineering Process

Value Engineering (VE) is a systematic process using a multidisciplinary team to improve the value of a project through the analysis of its functions. The primary objective of a VE Study is value improvement. Value improvements might relate to scope definition, functional design, constructability, coordination (both internal and external), or the schedule for project development. Other possible value improvements are reduced environmental impacts, reduced public (traffic) inconvenience, or reduced project cost.

General

This section describes the value engineering methodology used during the VE study. A systematic approach was used in the VE study and the key procedures involved were organized into three distinct parts: 1) pre-study preparations, 2) VE workshop, and 3) post-study.

Pre-Workshop Activities

Purpose: Plan and organize the CITS Process Review Study.

Desired Outcome:

The desired outcome is a clear understanding of what senior management desires to have addressed, determine the strategic objectives/priorities on how to implement the CITS process improvements resulting from the VE Workshop. Determine what offices will receive the CITS questionnaire. Determine the VE team members that are knowledgeable of and committed to improving the CITS Process. Determine measures of success.

Workshop (Job Plan) Activities (six phases)

1. Information Phase

The team reviews and defines the current conditions of the CITS process and clearly understands the desired outcomes of the study.

Purpose: Understand the current state of the CITS process and constraints that influence each stakeholder's actions and decisions.

Desired Outcome:

This phase brings all team members to a common, basic understanding of the current CITS process within the affected functional offices within District Four (including influences from other operational offices with a focus on supplier and customer relationships specific to CITS). The functional understanding establishes the base case to identify and benchmark alternatives and mismatches that will set the stage for innovation.

2. Function Analysis Phase

The team defines the CITS process functions using a two-word active verb/measurable noun context. The team reviews and analyzes these functions to determine which need improvement, elimination, or creation to meet the process improvement's goals and objectives.

Purpose: Understand the CITS process from a functional perspective; what must be done, rather than how CITS is currently managed.

Desired Outcome:

This phase focuses the team on validating that the CITS process satisfies the needs and objectives of the customer. It provides a more comprehensive understanding of the project by

focusing on what the project does or must do rather than what it is. The team identifies value-mismatched function(s) on which to focus in order to improve the project.

3. Creative Phase

The team employs creative techniques to identify other ways to perform the required CITS functions.

Purpose: Generate a quantity of ideas related to other ways to perform functions

Desired Outcome:

The team develops a broad array of ideas that will provide a wide variety of possible alternative ways to perform the required functions that may improve the overall value of the project (process).

4. Evaluation Phase

The team follows a structured evaluation process to select those ideas that offer the potential for value improvement while delivering the project's function(s) and considering performance requirements and resource limits.

Purpose: Reduce the quantity of ideas that have been identified to a short list of ideas with the greatest potential to improve the project.

Desired Outcome:

The team produces a focused list of concepts that warrant quality time to develop into value-based solutions that can be implemented into each functional office's CITS Process.

5. Development Phase

The team develops the selected ideas into recommendations (or suggestions) with a sufficient level of documentation to allow decision makers to determine if the alternative should be implemented.

Purpose: Further analyze and develop the short list of ideas and develop those with merit into value alternatives.

Desired Outcome:

The Value Study team creates recommendations with low, medium, and high-risk scenarios and offers these recommendations to senior management as options that address the Pre-Workshop strategic objectives.

6. Presentation Phase

The team leaders develop a report and presentation that documents and conveys the adequacy of the recommendations developed by the team and the associated value improvement opportunity.

Purpose: Present value recommendations to the management team and other project stakeholders and/or decision-makers.

Desired Outcome:

Ensure management and other key stakeholders understand the rationale of the value alternatives. Also generate interest to sanction implementation.

Post-Workshop Activities

Implementation Activities

Purpose: Ensure accepted value recommendations are implemented and that the benefits projected by the Value Study have been realized.

Typical Outcome:

The project stakeholders determine what will be changed in the current CITS Process as a result of the VE Workshop. These are changes to the original CITS process and/or other processes related to improving the overall efficiencies within the involved functional offices resulting from the value recommendations. The identified improvements will be delivered in a strategic business plan format for monitoring and continuous improvement opportunities.

Appendix B. VE Study Agenda

CITS Process VE Study Agenda

| Tuesday April 26, 2016 | |
|---|--|
| Location: FDOT District Four Second Floor Conference Room | |
| Time | Topic |
| 9:30 a.m. | Workshop Kick-off: Process Overview and Workshop Expectations <ul style="list-style-type: none"> • Welcome, sign-in • Management direction • Agenda review • Current Process overview and Procedure |
| 10:45 a.m. | Break |
| 11:00 a.m. | CITS Process — Group Function <ul style="list-style-type: none"> • Create a Function Analysis System Technique Diagram of our current Consultant Invoice Tracking System • Open discussion of current process and how individual functional units interact • Identify constraints, policy, challenges, etc. • Review questionnaire issues, any additional issues? • Brainstorming of ideas on how to overcome the issues |
| 12:00 p.m. | Lunch |
| 1:30 p.m. | CITS Process — Procurement Office <ul style="list-style-type: none"> • Discussion of current process and interactions • Review questionnaire issues, any additional issues? • Brainstorming of ideas on how to overcome the issues |
| 3:00 p.m. | Break |
| 3:15 p.m. | CITS Process — (Design & Construction) <ul style="list-style-type: none"> • Discussion of current process and interactions • Review questionnaire issues, any additional issues? • Brainstorming of ideas on how to overcome the issues |
| 4:30 p.m. | Adjourn for the day |

| Wednesday April 27, 2016 | |
|--------------------------|--|
| Time | Topic |
| 9:00 a.m. | CITS Process — Financial Services /Program Management <ul style="list-style-type: none"> • Discussion of current process and interactions • Review questionnaire issues, any additional issues? • Brainstorming of ideas on how to overcome the issues |
| 10:15 a.m. | Break |
| 10:30 a.m. | CITS Process — Other Offices /Parking Lot items <ul style="list-style-type: none"> • Discussion of current process and interactions • Review questionnaire issues, any additional issues? • Brainstorming of ideas on how to overcome the issues |
| 12:00 p.m. | Lunch |
| 1:30 p.m. | CITS Process — Group <ul style="list-style-type: none"> • Overview of combined discussions of current process and interactions • Begin Brainstorming as a Group |
| 3:00 p.m. | Break |
| 3:15 p.m. | CITS Process — Group <ul style="list-style-type: none"> • Continue Brainstorming as a Group • Discuss homework assignments |
| 4:30 p.m. | Adjourn for the day |

| Tuesday May 3, 2016 | |
|---|---|
| <i>Location: FDOT District 4 Second Floor Conference Room</i> | |
| Time | Topic |
| 9:00 a.m. | CITS Process — Group <ul style="list-style-type: none"> • Summarize/review consolidated issues and ideas • Additional issues • Begin evaluation |
| 10:15 a.m. | Break |
| 10:30 a.m. | CITS Process — Group <ul style="list-style-type: none"> • Continue evaluation |
| 12:00 p.m. | Lunch |
| 1:30 p.m. | CITS Process — Group <ul style="list-style-type: none"> • Continue evaluation |
| 3:00 p.m. | Break |
| 3:15 p.m. | CITS Process — Group <ul style="list-style-type: none"> • Continue evaluation • Begin development into recommendations |
| 4:30 p.m. | Adjourn for the day |

| Wednesday, May 4, 2016 | |
|---|---|
| Location: FDOT District 4 Second Floor Conference Room | |
| Time | Topic |
| 9:00 a.m. | CITS Process — Group <ul style="list-style-type: none"> • Continue development into recommendation |
| 10:15 a.m. | Break |
| 10:30 a.m. | CITS Process — Group <ul style="list-style-type: none"> • Continue development into recommendations |
| 12:00 p.m. | Lunch |
| 1:30 p.m. | CITS Process — Group <ul style="list-style-type: none"> • Continue development into recommendations |
| 3:00 p.m. | Break |
| 3:15 p.m. | CITS Process — Group <ul style="list-style-type: none"> • Continue development into recommendations |
| 4:30 p.m. | Adjourn for the day |

| Thursday, May 5, 2016 | |
|---|--|
| Location: FDOT District 4 Second Floor Conference Room | |
| Time | Topic |
| 9:00 a.m. | CITS Process — Group <ul style="list-style-type: none"> • Complete Development |
| 10:15 a.m. | Break |
| 10:30 a.m. | CITS Process — Group <ul style="list-style-type: none"> • Complete Development |
| 12:00 p.m. | Adjourn |

Appendix C. Questionnaire Responses

| Consultant Invoice Transmittal System (CITS) value engineering process questions | |
|---|-------|
| Functional Area (Discipline): Program Management (Work Program) | Date: |
| General Question | |
| Can you summarize the CITS process within your functional office? | |
| The Work Program (WP) unit does not utilize CITS. | |
| What are the biggest issues or concerns you have about the overall CITS process? | |
| <p>There are no issues from a Work Program standpoint; however, I've heard issues where</p> <ul style="list-style-type: none"> • Consultants cannot bill due to their agreements being locked by either Procurement or Financial Services. • Procurement cannot enter agreements in CITS due to the contract being locked by Financial Services or the Consultant. • Financial Services cannot lock the agreement for billing due to the contract being previously locked by Procurement or the Consultant | |
| What are the biggest issues or concerns you have about your role/contribution(s) to/in the process? | |
| The Work Program unit does not utilize CITS. | |

Consultant Invoice Transmittal System (CITS) value engineering process questions

Functional Area (Discipline): Program Management (Work Program)

Date:

What?

What is your role in the CITS Process? What is it that you do?

The Work Program unit does not utilize CITS.

What functions do you perform in the process?

None.

What are the deliverables or outputs from your process?

None.

What information is required before the process can begin?

The Project Manager must have authorized funds and an approved encumbrance prior to issuing a Notice to Proceed to the Consultant.

Consultant Invoice Transmittal System (CITS) value engineering process questions

Functional Area (Discipline): Program Management (Work Program) Date:

What laws, rules, regulations, or guidelines constrain your work/process?

None.

How?

Do you have a workflow or desktop procedure of your process/work?

No

What laws, rules, regulations, or guidelines do you follow to do your job?

The WP is developed and maintained in accordance with FS 339.135.

Consultant Invoice Transmittal System (CITS) value engineering process questions

Functional Area (Discipline): Program Management (Work Program)

Date:

When?

If you had only one project, how long would it take to perform your work/function when dealing with the CITS aspect?

N/A

What issues may derail the plan?

N/A

What dependencies (upstream/downstream) do you have that drive the duration of your work/process?

N/A

Consultant Invoice Transmittal System (CITS) value engineering process questions

Functional Area (Discipline): Program Management (Work Program)

Date:

Where?

Where in the process does your work come in?

My role is in the beginning of the procurement process. We program and authorize funds so that the agreement (new, supplemental, task work order) can be issued.

Where physically is your work performed?

In my office in the FDOT headquarters building.

Consultant Invoice Transmittal System (CITS) value engineering process questions

Functional Area (Discipline): Program Management (Work Program) Date:

Who?

Who is dependent on the functional element being completed (information and schedule dependencies)?

The Project Manager and the Contract Manager

Who is doing the work? Internal, external, other office/agency?

Internal: the Work Program Unit

External: FHWA (federal funds authorization)

Contract Funds Management

Consultant Invoice Transmittal System (CITS) value engineering process questions

Functional Area (Discipline): Program Management (Work Program)

Date:

Why?

Why do you perform this work? What are the foundations for your work?

To enable the Project/Contract Managers to issue Notice to Proceeds for their agreements.

Why do you perform it the way you do?

Per FS 339.135(6)(a)

The department, during any fiscal year, shall not expend money, incur any liability, or enter into any contract which, by its terms, involves the expenditure of money in excess of the amounts budgeted as available for expenditure during such fiscal year. Any contract, verbal or written, made in violation of this subsection is null and void, and no money may be paid on such contract. The department shall require a statement from the comptroller of the department that funds are available prior to entering into any such contract or other binding commitment of funds...

Is your functional element a requirement? Please cite source (i.e., law, regulation, policy, etc.)?

Yes; see above

Consultant Invoice Transmittal System (CITS) value engineering process questions

Functional Area (Discipline): OMD

Date:2/15/2016

General Question

Can you summarize the CITS process within your functional office?

Yes, see below.

What are the biggest issues or concerns you have about the overall CITS process?

20-day turnaround from submittal of progress report to payment of consultant. Haven't experienced a problem, however, other than anxiety.

What are the biggest issues or concerns you have about **your** role/contribution(s) to/in the process?

Consultant Invoice Transmittal System (CITS) value engineering process questions

Functional Area (Discipline): OMD

Date:2/15/2016

What?

What is your role in the CITS Process? What is it that you do?

Project Manager

What functions do you perform in the process?

For D/W contracts: review progress reports, approve submittal of invoice for Program Management approval.

For Project contracts: review progress reports and approve CITS invoice submittals

What are the deliverables or outputs from your process?

Approvals of progress reports, approvals of invoices

What information is required before the process can begin?

Progress report and copy of CITS input for and invoice.

Consultant Invoice Transmittal System (CITS) value engineering process questions

Functional Area (Discipline): OMD

Date:2/15/2016

What laws, rules, regulations, or guidelines constrain your work/process?

Procedure 350-020-301, Service Level Agreement w/ Program Management

Consultant Invoice Transmittal System (CITS) value engineering process questions

Functional Area (Discipline): OMD

Date:2/15/2016

How?

Do you have a workflow or desktop procedure of your process/work?

No.

What laws, rules, regulations, or guidelines do you follow to do your job?

Procedure 360-050-005

When?

If you had only one project, how long would it take to perform your work/function when dealing with the CITS aspect?

½ hour or less depending on the number of work orders processed

What issues may derail the plan?

Consultant Invoice Transmittal System (CITS) value engineering process questions

Functional Area (Discipline): OMD

Date:2/15/2016

Invoices cannot be submitted until task work orders and contract amendments are entered into CITS, or when CITS is shut down to enter amendments.

What dependencies (upstream/downstream) do you have that drive the duration of your work/process?

Upstream: Director, Office Manager, and Supervisor for approval of work orders, amendments, supplementals, funding authorizations. No dependencies upstream for CITS

Downstream: Program Management for processing of task work orders and invoices

Where?

Where in the process does your work come in?

Review progress reports and draft invoices, approve payment for D/W contracts, approve invoices in CITS for project contracts, initiate task work order processing

Where physically is your work performed?

In the office mainly, can be performed anywhere with computer access to email and servers (like North Carolina from time to time).

Consultant Invoice Transmittal System (CITS) value engineering process questions

Functional Area (Discipline): OMD

Date:2/15/2016

Who?

Who is dependent on the functional element being completed (information and schedule dependencies)?

Program management followed by Financial Services

Who is doing the work? Internal, external, other office/agency?

Consultant (external) prepares progress reports and invoices, and submits invoices into CITS

Internal: OMD for progress report approval. Program Management for CITS approval. Fiscal for invoice payment.

Consultant Invoice Transmittal System (CITS) value engineering process questions

Functional Area (Discipline): OMD

Date:2/15/2016

Why?

Why do you perform this work? What are the foundations for your work?

I'm the PM

Foundations? Planning and PDE? Related to CITS?

Why do you perform it the way you do?

It works, is efficient, and provides for documentation for audits if needed, plus cannot imagine a better way to it that would not add complexity to a simple process.

Is your functional element a requirement? Please cite source (i.e., law, regulation, policy, etc.)?

Yes, Service Level Agreement with Program Management. Procedure 360-050-005

Consultant Invoice Transmittal System (CITS) value engineering process questions

Functional Area (Discipline): Program Management

Date:

General Question

Can you summarize the CITS process within your functional office?

1. Consultant creates/submits invoice
2. Primary Approver approves invoice
3. System creates Cost Distribution Work Form
4. Invoices is submitted to Financial Services

What are the biggest issues or concerns you have about the overall CITS process?

What are the biggest issues or concerns you have about **your** role/contribution(s) to/in the process?

Consultant Invoice Transmittal System (CITS) value engineering process questions

Functional Area (Discipline): Program Management

Date:

What?

What is your role in the CITS Process? What is it that you do?

Primary Approver. I review and approve invoices for contracts for which I am listed as the Primary Approver.

What functions do you perform in the process?

Invoice reviewer and approver.

What are the deliverables or outputs from your process?

Payment for services during the invoice period.

What information is required before the process can begin?

The Consultant submits through email to the FDOT Project Manager the Progress Report for the invoice period.

Consultant Invoice Transmittal System (CITS) value engineering process questions

Functional Area (Discipline): Program Management

Date:

What laws, rules, regulations, or guidelines constrain your work/process?

Florida Statute 215.422 - Payments, warrants, and invoices.

How?

Do you have a workflow or desktop procedure of your process/work?

No

What laws, rules, regulations, or guidelines do you follow to do your job?

Consultant Invoice Transmittal System (CITS) value engineering process questions

Functional Area (Discipline): Program Management

Date:

When?

If you had only one project, how long would it take to perform your work/function when dealing with the CITS aspect?

2 days

What issues may derail the plan?

Progress report not submitted by the consultant before invoice is submitted in CITS.

What dependencies (upstream/downstream) do you have that drive the duration of your work/process?

Consultant Invoice Transmittal System (CITS) value engineering process questions

Functional Area (Discipline): Program Management

Date:

Where?

Where in the process does your work come in?

When invoice is submitted in CITS

Where physically is your work performed?

In my office cubicle, FDOT District 4.

Consultant Invoice Transmittal System (CITS) value engineering process questions

Functional Area (Discipline): Program Management

Date:

Who?

Who is dependent on the functional element being completed (information and schedule dependencies)?

Who is doing the work? Internal, external, other office/agency?

Internal

Consultant Invoice Transmittal System (CITS) value engineering process questions

Functional Area (Discipline): Program Management

Date:

Why?

Why do you perform this work? What are the foundations for your work?

So consultants are paid with their services.

Why do you perform it the way you do?

Is your functional element a requirement? Please cite source (i.e., law, regulation, policy, etc.)?

Consultant Invoice Transmittal System (CITS) value engineering process questions

Functional Area (Discipline): Procurement/Professional Services

Date: 2/17/16

General Question

Can you summarize the CITS process within your functional office?

Serves as a storehouse for professional contract information related to rates for invoicing. Can be used to find other contract details such as the prime and sub-consultants listed on the contract, task work orders, invoices paid, etc. (for other offices too)

What are the biggest issues or concerns you have about the overall CITS process?

Sometimes when the uploading of an AFP fails, the reasons can be very varied if not text length. A good deal of time may be spent trying to trouble shoot for errors or other reasons that it failed. The only way to know if you're successful is to try to upload again. This can take multiple people and multiple trials.

Consultants get frustrated when the system has locked them out and they want to submit invoices.

Contract close-out invoices &/or multiple invoices are difficult to submit.

Shouldn't have an Excel spreadsheet, it should be web-based

Could input be accomplished with scanning software to avoid manual input

Implement more lump sum contracts to simplify CITS (much faster)

Need a search tool within CITS to query the type of contract

Would like to have a "view only" capability for the PM on CEI contracts

Ability to recalculate and update invoices when multiple invoices are submitted and incorrect, keep the first corrected one in the background until all incorrect invoices are automatically corrected

Prepare checklist for basic and common errors

Why is PSU in the loop for TWOs? If the PM and the FSO approve that should be could

Allow the consultant to initiate the TWO within CITS using all existing data, the PM approves and it is in the system, would expedite the process

Add a warning if an added line item is the same but a different method of payment on an existing compensation element

Consultant Invoice Transmittal System (CITS) value engineering process questions

Functional Area (Discipline): Procurement/Professional Services

Date: 2/17/16

What are the biggest issues or concerns you have about **your** role/contribution(s) to/in the process?

See above AFP issue stated. When it is troublesome to upload an AFP, the whole process gets delayed and sometimes the consultant can't invoice.

What?

What is your role in the CITS Process? What is it that you do?

Upload AFPs for newly executed contracts.

What functions do you perform in the process?

Upload AFPs for newly executed contracts.

What are the deliverables or outputs from your process?

Contract rates and overall contract deliverable designation.

Consultant Invoice Transmittal System (CITS) value engineering process questions

Functional Area (Discipline): Procurement/Professional Services

Date: 2/17/16

What information is required before the process can begin?

Correct and accurate information on the AFP.

What laws, rules, regulations, or guidelines constrain your work/process?

?

Consultant Invoice Transmittal System (CITS) value engineering process questions

Functional Area (Discipline): Procurement/Professional Services

Date: 2/17/16

How?

Do you have a workflow or desktop procedure of your process/work?

Specific to CITS?? I am not aware.

Otherwise, yes there are many.

What laws, rules, regulations, or guidelines do you follow to do your job?

Acquisition of Professional Services – Procedure 375-030-002-k (references contained within)

FS 334.048; 337.077

Negotiation Handbook

Amendments & Task Work Orders for Professional Service Agreements – Procedure 375-030-010-d

FS 387.055

Consultant Invoice Transmittal System (CITS) value engineering process questions

Functional Area (Discipline): Procurement/Professional Services

Date: 2/17/16

When?

If you had only one project, how long would it take to perform your work/function when dealing with the CITS aspect?

A few minutes to do my part if everything worked properly.

What issues may derail the plan?

Document errors, computer settings, unexpected absence from work.

What dependencies (upstream/downstream) do you have that drive the duration of your work/process?

See comment above.

Consultant Invoice Transmittal System (CITS) value engineering process questions

Functional Area (Discipline): Procurement/Professional Services

Date: 2/17/16

Where?

Where in the process does your work come in?

The beginning.

Where physically is your work performed?

D4 headquarters, Procurement office.

Consultant Invoice Transmittal System (CITS) value engineering process questions

Functional Area (Discipline): Procurement/Professional Services

Date: 2/17/16

Who?

Who is dependent on the functional element being completed (information and schedule dependencies)?

Project Managers, Consultants, CITS Coordinator, Financial Services

Who is doing the work? Internal, external, other office/agency?

What work specifically? If related to the above question, all of the above related to this question: Internal, external, other office/agency.

Consultant Invoice Transmittal System (CITS) value engineering process questions

Functional Area (Discipline): Procurement/Professional Services

Date: 2/17/16

Why?

Why do you perform this work? What are the foundations for your work?

For financial accountability and reference in invoicing. The information and support documentation that goes into the AFP.

Why do you perform it the way you do?

So the projects can start and the consultants can be paid.

Is your functional element a requirement? Please cite source (i.e., law, regulation, policy, etc.)?

Yes, FS 334.048; 337.077 (and the others listed in one of the above questions)

Consultant Invoice Transmittal System (CITS) value engineering process questions

Functional Area (Discipline): CEI TWOs & Invoicing

Date: 2/15/16

General Question

Can you summarize the CITS process within your functional office?

Verify that TWOs & Amendments have been entered into CITS. Once Entered, CEI is able to enter and submit Invoices for review/approval.

What are the biggest issues or concerns you have about the overall CITS process?

TWOs (new and close out amendments) not in CITS on a timely basis.

Conflicting information in CITS – Projects page will incorrectly show Contract over funds limit. When this happens, we're unable to obtain approval of new TWOs for additional funds.

Amendments adding Subs not in CITS on a timely basis.

CITS under suspend - unable to process Invoices.

Issues with Operating Margins not showing up in CITS.

What are the biggest issues or concerns you have about **your** role/contribution(s) to/in the process?

Consultant Invoice Transmittal System (CITS) value engineering process questions

Functional Area (Discipline): CEI TOWs & Invoicing

Date: 2/15/16

What?

What is your role in the CITS Process? What is it that you do?

What functions do you perform in the process?

What are the deliverables or outputs from your process?

What information is required before the process can begin?

Consultant Invoice Transmittal System (CITS) value engineering process questions

Functional Area (Discipline): CEI TOWs & Invoicing

Date: 2/15/16

What laws, rules, regulations, or guidelines constrain your work/process?

How?

Do you have a workflow or desktop procedure of your process/work?

What laws, rules, regulations, or guidelines do you follow to do your job?

Consultant Invoice Transmittal System (CITS) value engineering process questions

Functional Area (Discipline): CEI TWOs & Invoicing

Date: 2/15/16

When?

If you had only one project, how long would it take to perform your work/function when dealing with the CITS aspect?

What issues may derail the plan?

What dependencies (upstream/downstream) do you have that drive the duration of your work/process?

Consultant Invoice Transmittal System (CITS) value engineering process questions

Functional Area (Discipline): CEI TOWs & Invoicing

Date: 2/15/16

Where?

Where in the process does your work come in?

Where physically is your work performed?

Consultant Invoice Transmittal System (CITS) value engineering process questions

Functional Area (Discipline): CEI TOWs & Invoicing

Date: 2/15/16

Who?

Who is dependent on the functional element being completed (information and schedule dependencies)?

Who is doing the work? Internal, external, other office/agency?

Consultant Invoice Transmittal System (CITS) value engineering process questions

Functional Area (Discipline): CEI TOWs & Invoicing

Date: 2/15/16

Why?

Why do you perform this work? What are the foundations for your work?

Why do you perform it the way you do?

Is your functional element a requirement? Please cite source (i.e., law, regulation, policy, etc.)?

Consultant Invoice Transmittal System (CITS) value engineering process questions

Functional Area (Discipline): Traffic Operations

Date: 2/15/2016

General Question

Can you summarize the CITS process within your functional office?

Processing invoices for payment for consultants.

What are the biggest issues or concerns you have about the overall CITS process?

Don't have any.

What are the biggest issues or concerns you have about **your** role/contribution(s) to/in the process?

N/A

Consultant Invoice Transmittal System (CITS) value engineering process questions

Functional Area (Discipline): Traffic Operations

Date: 2/15/2016

What?

What is your role in the CITS Process? What is it that you do?

I approve/reject invoices for payments.

What functions do you perform in the process?

Review information provided by consultants pertaining to the invoice being processed for payment. For example: pay period being invoiced and dollar amount being invoiced. All this has to be consistent with progress report previously approved.

What are the deliverables or outputs from your process?

Authorization for payment.

What information is required before the process can begin?

Progress report has to be approved by FDOT PM.

Consultant Invoice Transmittal System (CITS) value engineering process questions

Functional Area (Discipline): Traffic Operations

Date: 2/15/2016

What laws, rules, regulations, or guidelines constrain your work/process?

The ones stipulated by Professional Services.

How?

Do you have a workflow or desktop procedure of your process/work?

Yes, I do. It consists on first reviewing and discussing progress report with consultant. Once approved, the consultant may proceed to submit invoice into CITS.

What laws, rules, regulations, or guidelines do you follow to do your job?

Consultant Invoice Transmittal System (CITS) value engineering process questions

Functional Area (Discipline): Traffic Operations

Date: 2/15/2016

When?

If you had only one project, how long would it take to perform your work/function when dealing with the CITS aspect?

Based on process followed (see above): ½ hour.

What issues may derail the plan?

This is on the consultant's end. Their financial people don't have the correct pay period shown on the invoice.

What dependencies (upstream/downstream) do you have that drive the duration of your work/process?

Consultants no providing correct information.

Consultant Invoice Transmittal System (CITS) value engineering process questions

Functional Area (Discipline): Traffic Operations

Date: 2/15/2016

Where?

Where in the process does your work come in?

From discussing progress report to processing for payment

Where physically is your work performed?

In my office using a computer.

Consultant Invoice Transmittal System (CITS) value engineering process questions

Functional Area (Discipline): Traffic Operations

Date: 2/15/2016

Who?

Who is dependent on the functional element being completed (information and schedule dependencies)?

The consultant. Although as the PM, I have all that information for cross-reference.

Who is doing the work? Internal, external, other office/agency?

External

Consultant Invoice Transmittal System (CITS) value engineering process questions

Functional Area (Discipline): Traffic Operations

Date: 2/15/2016

Why?

Why do you perform this work? What are the foundations for your work?

I am the PM who assigns the work load to our consultants and have control over what is being done.

Why do you perform it the way you do?

For consistency.

Is your functional element a requirement? Please cite source (i.e., law, regulation, policy, etc.)?

No, it is not.

Consultant Invoice Transmittal System (CITS) value engineering process questions

Functional Area (Discipline): invoice approver, alternate approver

Date: 2/17/16

General Question

Can you summarize the CITS process within your functional office?

I receive, review and approve invoices from our Consultants are the primary and alternate reviewer. I also frequently utilize CITS to review financial information on task work orders and contracts.

What are the biggest issues or concerns you have about the overall CITS process?

You can't click the back button to go to the previous screen. On the home page, when you enter the contract number, you have to hit submit in lieu of the "enter" button as with most applications. It is cumbersome to have to go home each time to switch between contract page and invoices when looking for info. Contracts often get locked; thus prohibiting Consultants from submitting invoices to me for approval or for FSU for payment

What are the biggest issues or concerns you have about **your** role/contribution(s) to/in the process?

Having to go back to the home screen to switch between functions is cumbersome.

I have no knowledge of why or when a contract is locked so I can't give our Consultants any reason or time frame of resolution.

There's no way to drill down into fields for more information. I have no way of knowing how much was invoiced against each TWO

Consultant Invoice Transmittal System (CITS) value engineering process questions

Functional Area (Discipline): invoice approver, alternate approver

Date: 2/17/16

What?

What is your role in the CITS Process? What is it that you do?

I approve invoices as the prime and alternate. I also utilize CITS for information regarding payment of invoices and general info on task work orders and contracts

What functions do you perform in the process?

I review the compensation elements and rate tables contained within

What are the deliverables or outputs from your process?

I approve invoices, action request forms and task work orders

What information is required before the process can begin?

The contract information has to be input into CITS before I can do any of my processes

Consultant Invoice Transmittal System (CITS) value engineering process questions

Functional Area (Discipline): invoice approver, alternate approver

Date: 2/17/16

What laws, rules, regulations, or guidelines constrain your work/process?

I follow that standards and guidelines of procurement

How?

Do you have a workflow or desktop procedure of your process/work?

Sort of. A few have been drafted, but not officially approved or published.

What laws, rules, regulations, or guidelines do you follow to do your job?

I ensure that the terms of the standard professional service agreement are followed

Consultant Invoice Transmittal System (CITS) value engineering process questions

Functional Area (Discipline): invoice approver, alternate approver

Date: 2/17/16

When?

If you had only one project, how long would it take to perform your work/function when dealing with the CITS aspect?

Less than 30 minutes

What issues may derail the plan?

If the contract is locked out

What dependencies (upstream/downstream) do you have that drive the duration of your work/process?

I depend on PSU/FSU to enter in new task work orders, amendments, etc. so that the Consultant can invoice. I cannot close out a task work order until the Consultant has done final billing, the invoice has been paid and all amendments have been entered. I've had to wait several weeks before to close out a task work because the amendments weren't entered.

Consultant Invoice Transmittal System (CITS) value engineering process questions

Functional Area (Discipline): invoice approver, alternate approver

Date: 2/17/16

Where?

Where in the process does your work come in?

My work is in the middle of the process – when the actual services on the contract are being provided

Where physically is your work performed?

At my desk on my desktop computer

Consultant Invoice Transmittal System (CITS) value engineering process questions

Functional Area (Discipline): invoice approver, alternate approver

Date: 2/17/16

Who?

Who is dependent on the functional element being completed (information and schedule dependencies)?

The Consultant (customer) is dependent upon me completing my processes

Who is doing the work? Internal, external, other office/agency?

External Consultants

Consultant Invoice Transmittal System (CITS) value engineering process questions

Functional Area (Discipline): invoice approver, alternate approver

Date: 2/17/16

Why?

Why do you perform this work? What are the foundations for your work?

So the Consultants can be compensated for their work

Why do you perform it the way you do?

Because it is the only way I know how based on the systems functionality

Is your functional element a requirement? Please cite source (i.e., law, regulation, policy, etc.)?

Yes it's required because I am the designated Project Manager responsible for time and money on the contracts

Consultant Invoice Transmittal System (CITS) value engineering process questions

Functional Area (Discipline): Construction

Date:2/16/16

General Question

Can you summarize the CITS process within your functional office?

The consultant send an email with an attached invoice for review. Once project manager (PM) reviews the invoice, the invoice is submitted into CITS for approval. PM then goes in CITS, acknowledged that the invoice was received and reviewed. PM verifies Fed Part and submit the invoice to PSU for approval.

What are the biggest issues or concerns you have about the overall CITS process?

What are the biggest issues or concerns you have about **your** role/contribution(s) to/in the process?

Consultant Invoice Transmittal System (CITS) value engineering process questions

Functional Area (Discipline): Construction

Date:2/16/16

What?

What is your role in the CITS Process? What is it that you do?

Approve consultant invoice and submit to PSU.

What functions do you perform in the process?

Review submitted invoices for accuracy based on what was agreed upon during execution of the contract.

What are the deliverables or outputs from your process?

I initiated payment approval to consultants.

What information is required before the process can begin?

Consultant needs to submit invoice for review prior inputting invoice into CITS.

Consultant Invoice Transmittal System (CITS) value engineering process questions

Functional Area (Discipline): Construction

Date:2/16/16

What laws, rules, regulations, or guidelines constrain your work/process?

Not aware of any

How?

Do you have a workflow or desktop procedure of your process/work?

Yes.

What laws, rules, regulations, or guidelines do you follow to do your job?

Guidelines established other unit in my work area.

Consultant Invoice Transmittal System (CITS) value engineering process questions

Functional Area (Discipline): Construction

Date:2/16/16

When?

If you had only one project, how long would it take to perform your work/function when dealing with the CITS aspect?

30 mins

What issues may derail the plan?

Lack of necessary info to review

What dependencies (upstream/downstream) do you have that drive the duration of your work/process?

Invoice needs to be submitted timely.

Consultant Invoice Transmittal System (CITS) value engineering process questions

Functional Area (Discipline): Construction

Date:2/16/16

Where?

Where in the process does your work come in?

After consultant generate or compile the invoice, I perform my review.

Where physically is your work performed?

At my desk.

Consultant Invoice Transmittal System (CITS) value engineering process questions

Functional Area (Discipline): Construction

Date:2/16/16

Who?

Who is dependent on the functional element being completed (information and schedule dependencies)?

consultant

Who is doing the work? Internal, external, other office/agency?

Internal

Consultant Invoice Transmittal System (CITS) value engineering process questions

Functional Area (Discipline): Construction

Date:2/16/16

Why?

Why do you perform this work? What are the foundations for your work?

It's required in my job description.

Why do you perform it the way you do?

No particular reason other than the fact the expectation to accomplish the task is met.

Is your functional element a requirement? Please cite source (i.e., law, regulation, policy, etc.)?

Yes, my job description.

Consultant Invoice Transmittal System (CITS) value engineering process questions

Functional Area (Discipline): Design CM

Date: 4/28/16

General Question

Can you summarize the CITS process within your functional office?

Consultant submits a progress report and invoice for approval

FDOT PM reviews the information

If satisfactory consultant can submit the invoice in CITS

FDOT PM approves invoice in CITS

What are the biggest issues or concerns you have about the overall CITS process?

If the system is locked due to upload of data in PSU the consultant cannot submit an invoice until the data entry is complete.

What are the biggest issues or concerns you have about **your** role/contribution(s) to/in the process?

Must approve the invoice with 10 day.

If PM is out make sure an alternate is available to approve on behalf of PM.

Consultant Invoice Transmittal System (CITS) value engineering process questions

Functional Area (Discipline): Design CM

Date: 4/28/16

What?

What is your role in the CITS Process? What is it that you do?

Approve (disapprove) the invoice submitted in CITS by consultant for professional services

What functions do you perform in the process?

System approvals (not data entry)

What are the deliverables or outputs from your process?

Approvals in the system

What information is required before the process can begin?

Need progress reports -> identifying what services have been performed to date, expenditures, and what progress is expected compared to where those activities are in the schedule (i.e., ahead, on time, or late) payout curve or earned value analysis.

Consultant Invoice Transmittal System (CITS) value engineering process questions

Functional Area (Discipline): Design CM

Date: 4/28/16

What laws, rules, regulations, or guidelines constrain your work/process?

None

How?

Do you have a workflow or desktop procedure of your process/work?

No, working on one through the PM process mapping CM business plan objective

What laws, rules, regulations, or guidelines do you follow to do your job?

Only user guidelines, no laws or rules, etc.

Consultant Invoice Transmittal System (CITS) value engineering process questions

Functional Area (Discipline): Design CM

Date: 4/28/16

When?

If you had only one project, how long would it take to perform your work/function when dealing with the CITS aspect?

5 minutes (or less)

What issues may derail the plan?

There could be an issue with the contract that could hold up the data entry or if someone is uploading information in CITS the system could be locked.

What dependencies (upstream/downstream) do you have that drive the duration of your work/process?

PSU and Financial Services

Consultant Invoice Transmittal System (CITS) value engineering process questions

Functional Area (Discipline): Design CM

Date: 4/28/16

Where?

Where in the process does your work come in?

In the middle or towards the end:

(Data entry by PSU) ->(Consultant enters billing information) ->[FDOT approves] ->(FSO processes)

Where physically is your work performed?

Office

Consultant Invoice Transmittal System (CITS) value engineering process questions

Functional Area (Discipline): Design CM

Date: 4/28/16

Who?

Who is dependent on the functional element being completed (information and schedule dependencies)?

Consultant

Who is doing the work? Internal, external, other office/agency?

Internal

Consultant Invoice Transmittal System (CITS) value engineering process questions

Functional Area (Discipline): Design CM

Date: 4/28/16

Why?

Why do you perform this work? What are the foundations for your work?

So the consultant can invoice properly/appropriately for payment

Why do you perform it the way you do?

Means to monitor and control the progress of the consultant project appropriately compensate them for the work they perform.

Is your functional element a requirement? Please cite source (i.e., law, regulation, policy, etc.)?

Yes, policy

Consultant Invoice Transmittal System (CITS) value engineering process questions

Functional Area (Discipline): District Office & Representing the Operation Centers

Date: 03/01/2016

General Question

Can you summarize the CITS process within your functional office?

- The District Office & Operation Centers supply the executed TWO/Amendments estimate of work effort & encumbrance if applicable to Procurement & Financial Services for data upload into CITS.
- The District & Operation Centers have authority to approve invoices as primary reviewer, additionally we can view the invoice when the consultant is working in it in "DRAFT" mode.

What are the biggest issues or concerns you have about the overall CITS process?

- It is difficult to determine the reasoning why a contract is suspended in CITS as the system does not clearly state reason.
- Once an executed TWO/Amendment is submitted from us for CITS data upload there is no easy way to track if the information has been entered or when, without frequently manually checking.
- **There is a limit on TWO contracts for professional services can the threshold be raised?**

What are the biggest issues or concerns you have about **your** role/contribution(s) to/in the process?

- It is challenging in our role to view all Construction CEI contracts in CITS. It would be most helpful to have the ability to view all of our contracts without having to search.

Consultant Invoice Transmittal System (CITS) value engineering process questions

Functional Area (Discipline): District Office & Representing the Operation Centers

Date: 03/01/2016

What?

What is your role in the CITS Process? What is it that you do?

- In addition to providing the executed documents for upload we act as the liaison for the Consultants when they are inquiring as to when the documents are uploaded, contracts are suspended & realizing the contract for payment.

What functions do you perform in the process?

- We begin the process by submitting documents followed by approving payments in CITS once we have reviewed the invoice.

What are the deliverables or outputs from your process?

- Once our executed documents are uploaded, Consultants can invoice against them & it is our responsibility per contract to pay them in a timely manner.

What information is required before the process can begin?

Consultant Invoice Transmittal System (CITS) value engineering process questions

Functional Area (Discipline): District Office & Representing the Operation Centers

Date: 03/01/2016

What laws, rules, regulations, or guidelines constrain your work/process?

- Utilization of the CITS invoice system is spec'd out in our executed CEI contracts.

How?

Do you have a workflow or desktop procedure of your process/work?

- Yes, we provide an estimate of work effort & programmed dollars to the Consultant along with discussions with the FDOT PM to determine a fair & reasonable cost estimate for us to use as justification for our TWO/Amendments.

What laws, rules, regulations, or guidelines do you follow to do your job?

- CEI Contract
- Negotiation Handbook
- Automated Fee Proposal (AFP) if applicable

Consultant Invoice Transmittal System (CITS) value engineering process questions

Functional Area (Discipline): District Office & Representing the Operation Centers

Date: 03/01/2016

When?

If you had only one project, how long would it take to perform your work/function when dealing with the CITS aspect?

- Executed documents include a begin/execution date & the Consultant commences work from that date. Payment of the Consultant is strictly dependent on how long upload takes into CITS & if the contract is suspended. There is a potential if the program worked perfectly for the timing to be seamless.

What issues may derail the plan?

- Document upload timing
- Contract Suspension

What dependencies (upstream/downstream) do you have that drive the duration of your work/process?

- The main dependency is that if a contract is suspended a Consultant cannot submit then invoice to allow us to process payment in CITS.

Consultant Invoice Transmittal System (CITS) value engineering process questions

Functional Area (Discipline): District Office & Representing the Operation Centers

Date: 03/01/2016

Where?

Where in the process does your work come in?

- Our executed documents begin the CITS process than invoices are paid off those uploaded documents.

Where physically is your work performed?

- We work at District Office & documents can be executed at the Operation Center.
- Work on specific TWO's can occur anywhere within District 4.

Consultant Invoice Transmittal System (CITS) value engineering process questions

Functional Area (Discipline): District Office & Representing the Operation Centers

Date: 03/01/2016

Who?

Who is dependent on the functional element being completed (information and schedule dependencies)?

- Consultant invoicing is 100% driven by CITS data upload & contract being in Active status

Who is doing the work? Internal, external, other office/agency?

- Internal

Consultant Invoice Transmittal System (CITS) value engineering process questions

Functional Area (Discipline): District Office & Representing the Operation Centers

Date: 03/01/2016

Why?

Why do you perform this work? What are the foundations for your work?

- TWO/Amendments are a requirement of the contract

Why do you perform it the way you do?

- We have attended CITS Training & TWO/Amendment Execution Training that was presented by D4 Procurement

Is your functional element a requirement? Please cite source (i.e., law, regulation, policy, etc.)?

- Yes, our contract documents are specified in the Scope of Services included in the contract.

Appendix D. VE Responses by Florida Department of Transportation



Florida Department of Transportation

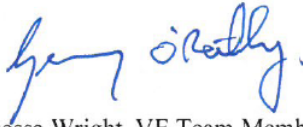
RICK SCOTT
GOVERNOR

3400 West Commercial Boulevard
Fort Lauderdale, FL 33309

RACHEL D. CONE
INTERIM SECRETARY

Date: March 1, 2017

To: Tim Brock, District Value Engineer

From: Gerry O'Reilly, District Secretary 

Copies: Rosielyn Quiroz, Jessica Rubio, Vanessa Wright, VE Team Members

Subject: Consultant Invoice Transmittal System (CITS) Value Engineering (VE) Process Review (response to recommendations)

Congratulations to the Value Engineering (VE) team on a job well done for their efforts with the April 26 – May 5, 2016 CITS process review. The team's focus on our current consultant invoice processing efforts between key functional offices with the focus on each other's internal process while asking 'what can we do to improve the overall quality and delivery of our finished product' is relevant and commendable. The District VE team identified 46 issues that may have direct impacts to our internal processing and software currently used with our consultant invoice transmittal process. These 46 issues were further broken down into 9 main categories. The team then generated 42 ideas to resolve the identified 46 issues. Refinement, consolidation and further evaluation of these 42 ideas provided 13 VE recommendations that are listed below. The final report has additional details on these 13 recommendations along with other sources of information gathered during the process workshop. These recommendations will become part of the FY2017 business plan for Procurement and Financial Services.

The 13 recommendations were grouped into three broad categories and identified district champions for each category as described below. These district champions will develop smaller teams that will work to develop more defined objectives and activities to implement each recommendation. These district champions will utilize our strategic business plan approach to further define and track these improvements. Our goal is to incorporate the strategies into our district business plan by the end of the FY 2017.

Software Modifications/Development:

Champions: Jessica Rubio

VE recommendations 1, 2, 3, 4, 7, 8, 9, 11 & 12:

- 1 Develop a web based system for the Automatic Fee Proposal (AFP)
- 2 Allow the contract to be active while new documents are being input (do not lockout the entire contract to keep the system working)
- 3 Allow the consultants to build their invoice offline (over time) and then submit to CITS
- 4 Allow CITS upload through optical character recognition (scan)
- 7 Allow consultants to create TWO/TWO Amendments/LOA in CITS
- 8 Update the CITS software to improve efficacy of workflow
- 9 System to add the calendar field for transaction date and progress report receipt date
- 11 Use the radio button (select all) to include all positions and multipliers on TWO/LOA
- 12 Develop a portfolio management system (dashboard) for data analysis of key indicators within CITS, FLAIR, CFM and PSI

www.fdot.gov

Management Coordination:

Champions: Rosielyn Quiroz, Jessica Rut
Vanessa Wright

VE recommendations 5, 10 and 13:

- 5 Add additional full time CITS position for PSU and a new full time CITS position for FSO
- 10 Allow contract coordinator and contract manager to view all D4 contracts in CITS
- 13 Provide competitive salaries to Improve staff retention in FSO and PSU

Training matters:

Champions: Jessica Rubio & Vanessa Wright

VE recommendations 6:

- 6 Restructure training for CITS users

Appendix E. Presentation

FDOT District Four CITS Process Value Engineering Study

Presentation of Findings for Consultant Invoice
Transmittal System (CITS)
October 7, 2016

Conducted
April 26 – May 5, 2016

Value Engineering Process Team



| Participant Name | Role | Affiliation |
|-----------------------|-----------------------|---------------------|
| Vanessa Wright | FSO | FDOT District 4 |
| Victoria White | PSU | FDOT District 4 |
| Woodlyne Celin | FSO | FDOT District 4 |
| Henley St. Fort | FSO | FDOT District 4 |
| Kadian McLean | Design – Utilities | FDOT District 4 |
| Celestino Lucero | Project Management | FDOT District 4 |
| Bonnie Majcher | PSU | FDOT District 4 |
| Antonette Adams | Work Program | FDOT District 4 |
| Stacey Sasala | Construction | FDOT District 4 |
| Nikye Joseph | FSO | FDOT District 4 |
| Jessica Rubio | PSU | FDOT District 4 |
| Marie Dorismond | OMD | FDOT District 4 |
| Norma Corredor | Project Management | FDOT District 4 |
| Cassandra Lamey | Work Program | FDOT District 4 |
| Wibet Hay | OMD | FDOT District 4 |
| Chila Dupre | Project Management | FDOT District 4 |
| Mike Lucero | Work Program | FDOT District 4 |
| Abosede Olowofela | PSU | FDOT District 4 |
| Tim Brock | Co-Team Leader | FDOT District 4 |
| Francisco Cruz | Assistant Team Leader | PMA Consultants LLC |
| Rick Johnson, PE, CVS | VE Team Leader | PMA Consultants LLC |

Value Engineering the CITS Process

Workshop Part I

Information & Analysis
April 26 & 27

- Ask about Functions
 - What
 - How
 - Why
 - When
 - Where
 - Who
- Function Analysis
- 46 Issues Identified
- 9 Major Categories

Workshop Part II

Speculate, Evaluate, Develop & Recommend
May 3, 4 & 5

- Brainstorm
 - Overcome Issues & Concerns
 - Enhance Opportunities
 - How to Do It Differently
 - 42 Ideas Gathered
- Evaluate Ideas
 - Does it work?
 - Does it save time?
 - Does it meet/exceed performance?
- Develop 13 Recommendations

Part III

Presentation of Recommendations

October 7, 2016 (1:30 pm – 3:00 pm)

District Auditorium

Objectives of the Study

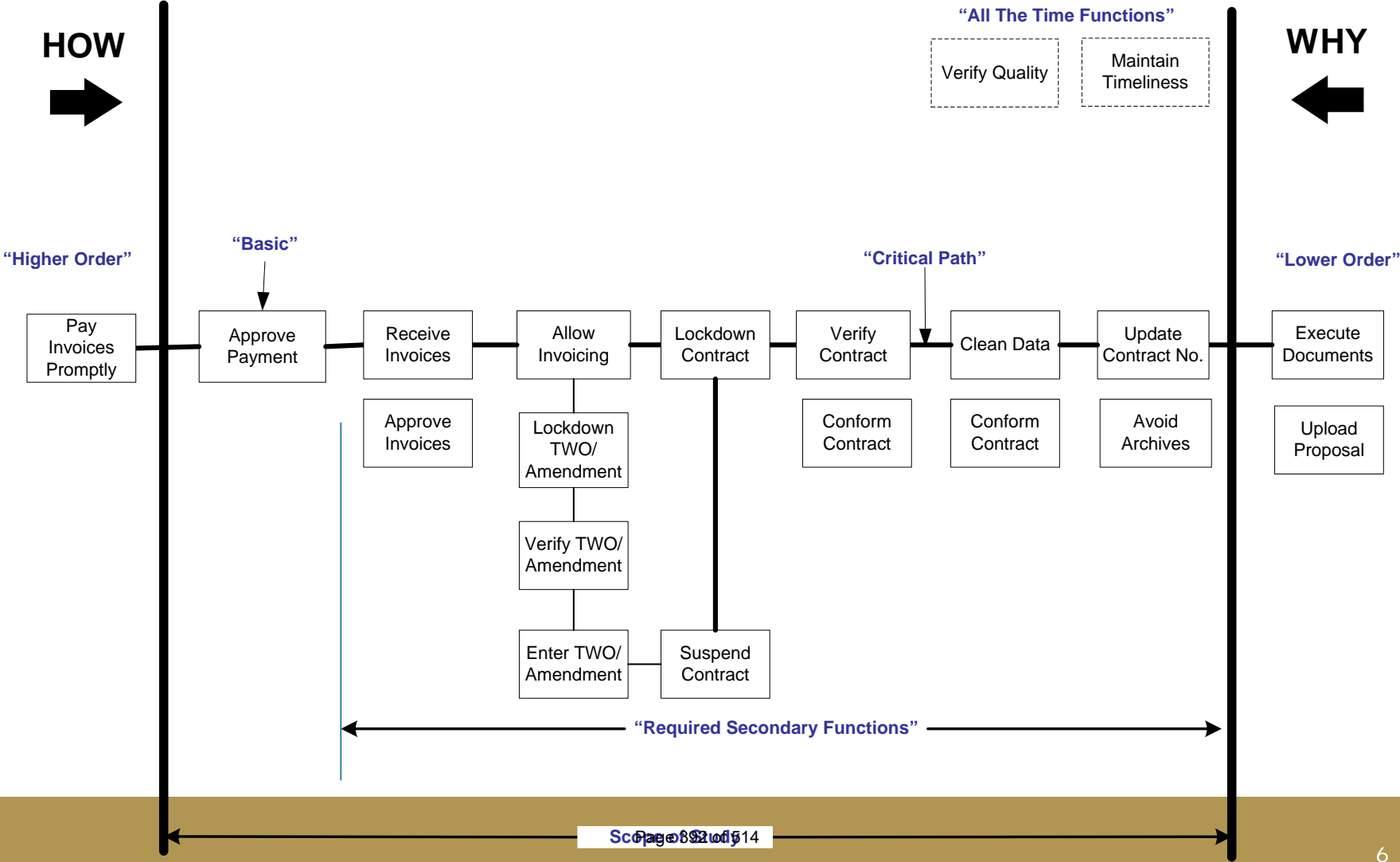
Using the VE Job Plan the objective of the CITS process study is:

- Improve the understanding of the CITS process and how to improve it
- Understand the coordination with internal and external participants
- Develop recommendations to enhance the process

Part 1 of the Study

- Distributed a Functions Questionnaire and asked:
 - What
 - How
 - Why
 - When
 - Where
 - Who
- Identified issues, concerns, and opportunities

Function Analysis System Technique Diagram

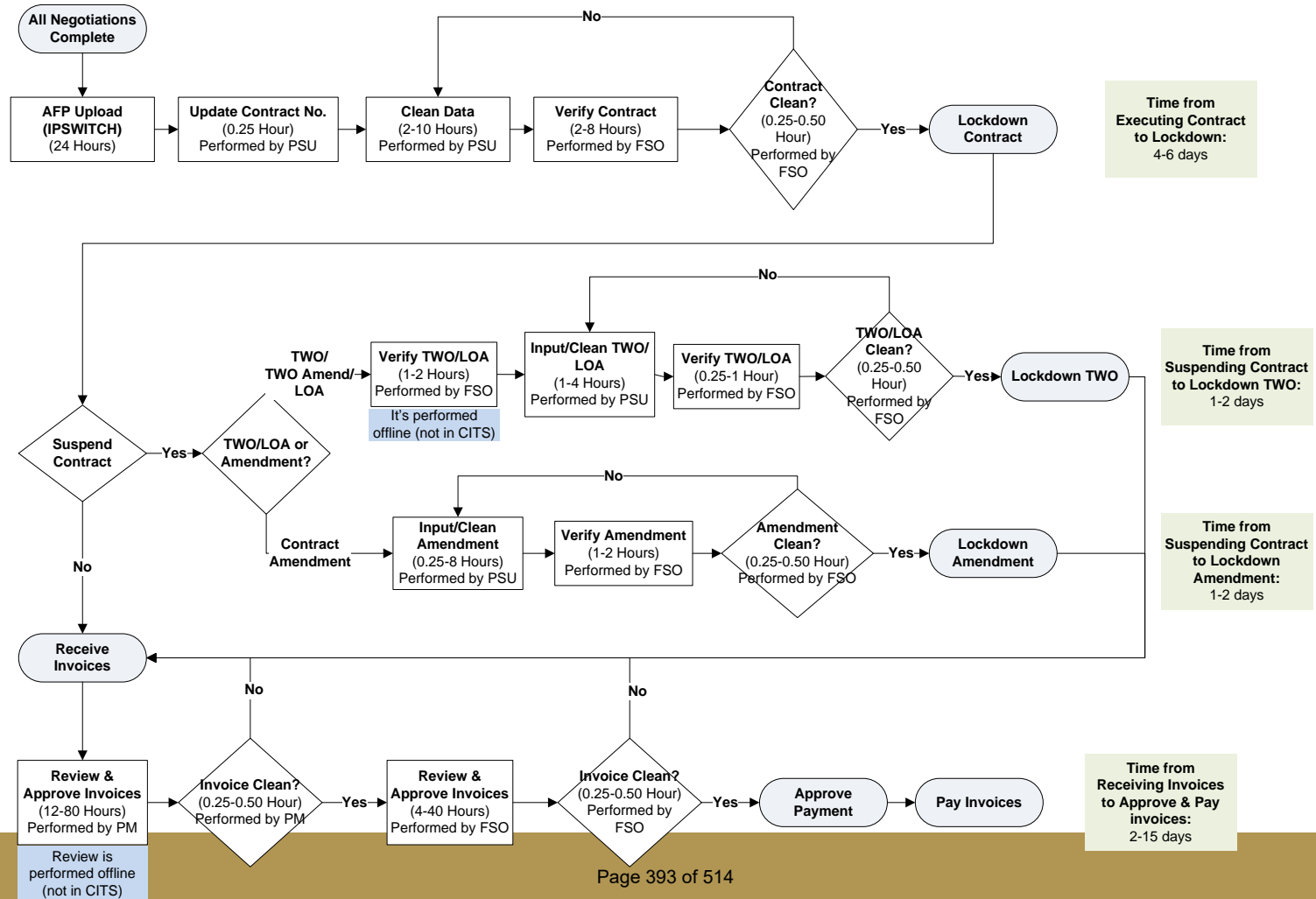


CITS Flow Diagram

FDOT D4 – CITS VE STUDY

DRAFT

Contract Lockdown and Invoice Approval Workflow



Findings

- 46 issues were identified
- Those 46 issues were grouped into 9 major categories
 1. Modifications to the Automatic Fee Proposal
 2. Lack of Training/Understanding
 3. Modifications to the Consultants Invoice Transmittal System Software
 4. Improvements to the Review Process
 5. Staffing Issues
 6. Data Input Improvements
 7. Need to identify roles and responsibilities
 8. How are we collecting and analyzing data
 9. How CITS interfaces and interoperates with other related systems (e.g., CFM, Flare)

Part 2 of the Study

- Brainstormed 42 ideas
- Consolidated to 30 ideas during evaluation
- Following evaluation resulted in 13 recommendations

Recommendations

- **No. 1: Develop a web based system for the Automatic Fee Proposal (AFP)**

Advantages

- Easier access
- Faster review
- Faster editing
- Quality control for all parties
- Reduces the chances for corruption of the file
- Faster data entry
- Less input errors
- Time efficient
- Less frustration
- Improves public image

Disadvantages

- No current funding
- Additional training for consultant and PSU/PM staff
- Software update

Recommendations

- No. 2: Allow the contract to be active while new documents are being input. (do not lockout the entire contract to keep the system working)**

| Advantages | Disadvantages |
|---|---|
| <ul style="list-style-type: none">• Less external correspondence• Improves Department image• Improves efficiency• Improves compliance• Improves morale• Allows continuance of invoicing• Less stress to all parties | <ul style="list-style-type: none">• Software update |

Recommendations

- **No. 3: Allow the consultants to build their invoice offline (over time) and then submit to CITS**

| Advantages | Disadvantages |
|--|---|
| <ul style="list-style-type: none">• Less external correspondence• Improves Department image• Improves efficiency• Improves compliance• Improves morale• Allows continuance of invoicing• Less stress to all parties• Increase in productivity | <ul style="list-style-type: none">• Software update |

Recommendations

- **No. 4: Allow CITS upload through optical character recognition (scan)**

| Advantages | Disadvantages |
|---|---|
| <ul style="list-style-type: none">• Faster data entry• Less input errors• Time efficient• Less frustration• Eliminates the IPSWITCH• Eliminates the AFP upload• Less stress | <ul style="list-style-type: none">• Software update and OCR software• Software funding |

Recommendations

- **No. 5: Add additional full time CITS position for PSU and a new full time CITS position for FSO**

| Advantages | Disadvantages |
|---|---|
| <ul style="list-style-type: none">• Better customer service• Quicker turnaround for docs• Improves morale• Improves employee retention | <ul style="list-style-type: none">• Funding |

Recommendations

• **No. 6: Restructure training for CITS users**

| Advantages | Disadvantages |
|--|---|
| <ul style="list-style-type: none">• Improves efficiency• Improves compliance• Improves accuracy• Less stress• Improves Department image• Reduces training needs | <ul style="list-style-type: none">• None apparent |

Recommendations

• **No. 7: Allow consultants to create TWO/TWO Amendments/LOA in CITS**

| Advantages | Disadvantages |
|--|--|
| <ul style="list-style-type: none">• Decrease errors• Improve accuracy• Saves time• Less stress• Faster access to the contract• More efficient• Ownership• Minimizes amendments• Less review for FSO• Less input for PSU• Improves compliance• Improves morale | <ul style="list-style-type: none">• Software upgrade• Consultant training• Additional workload for the PM• If Idea 3.13 is not implemented, then this idea could create a method of comp. issue.• Develop the software |

Recommendations

- No. 8: Update the CITS software to improve efficacy of workflow**

| Advantages | Disadvantages |
|--|---|
| <ul style="list-style-type: none">• Accountability• Better communication• Improved work product• Less errors• Reduces processing time• Improves compliance• More efficient• More accurate• Better funds accountability and management• Faster reconciliation of funds | <ul style="list-style-type: none">• Software update |

Recommendations

- **No. 9: System to add the calendar field for transaction date and progress report receipt date**

| Advantages | Disadvantages |
|---|---|
| <ul style="list-style-type: none">• Less errors• Reduces processing time• Improves compliance• More efficient• Saves time | <ul style="list-style-type: none">• Software update |

Recommendations

- No. 10: Allow contract coordinator and contract manager to view all D4 contracts in CITS**

| Advantages | Disadvantages |
|---|---|
| <ul style="list-style-type: none">• Improves efficiency for contract managers and contract coordinators• Improves customer service | <ul style="list-style-type: none">• District Four no longer allows view-only capability |

Recommendations

- **No. 11: Use the radio button (select all) to include all positions and multipliers on TWO/LOA**

| Advantages | Disadvantages |
|---|---|
| <ul style="list-style-type: none">• Minimizes amendments• More efficient• Less review for FSO• Less manual input for PSU• Reduces human error• Saves time• Alleviates unnecessary workload for all CITS users• Eliminates redundancy• Already in use at other Districts | <ul style="list-style-type: none">• None apparent |

Recommendations

- **No. 12: Develop a portfolio management system (dashboard) for data analysis of key indicators within CITS, FLAIR, CFM and PSI**

| Advantages | Disadvantages |
|---|---|
| <ul style="list-style-type: none">• Consistent with ROADS initiative• Saves time• Accurate data collection• Accurate data analysis• One stop shop• Improves customer service• Better fiscal accountability• Less manual analysis• Reduces roll forward• Provides accountability• Free up funds for other projects• Increases communication | <ul style="list-style-type: none">• Software reconfiguration• Funding• Training |

Recommendations

- No. 13: Provide competitive salaries to Improve staff retention in FSO and PSU**

| Advantages | Disadvantages |
|---|---|
| <ul style="list-style-type: none">• Improves morale• Improves employee retention• Improves customer service | <ul style="list-style-type: none">• Funding |

Summary of Recommendations Associated with the D4 Business Plan

| Rec. No. | Description |
|----------|--|
| 1 | Develop a web based system for the Automatic Fee Proposal (AFP) |
| 2 | Allow the contract to be active while new documents are being input. (do not lockout the entire contract to keep the system working) |
| 3 | Allow the consultants to build their invoice offline (over time) and then submit to CITS |
| 4 | Allow CITS upload through optical character recognition (scan) |
| 5 | Add additional full time CITS position for PSU and a new full time CITS position for FSO |
| 6 | Restructure training for CITS users |
| 7 | ALLOW consultants to create TWO/TWO Amendments/LOA in CITS |
| 8 | Update the CITS software to improve efficacy of workflow |
| 9 | System to add the calendar field for transaction date and progress report receipt date |
| 10 | Allow contract coordinator and contract manager to view all D4 contracts in CITS |
| 11 | Use the radio button (select all) to include all positions and multipliers on TWO/LOA |
| 12 | Develop a portfolio management system (dashboard) for data analysis of key indicators within CITS, FLAIR, CFM and PSI |
| 13 | Provide competitive salaries to improve staff retention in FSO and PSU |

Summary of Recommendations Associated with the D4 Business Plan

- Software Modifications / Development

VE Recommendations 1, 2, 3, 4, 7, 8, 9, 11 & 12.

- Management Coordination

VE Recommendations 5, 10 & 13

- Training Opportunities

VE Recommendation 6

Next Steps

- Resolution meeting to identify accepted recommendations (TBD, 2016).
- Implementation of the recommendations is tracked through a business plan developed for this purpose.
- Close coordination with Central Office for possible CITS software enhancements.

Questions?

Consultant Invoice Transmittal System (CITS) Process Value Engineering
FDOT District Four Value Engineering Program

SCHEDULE IV-B FOR ENTERPRISE ELECTRONIC DOCUMENT MANAGEMENT SYSTEM (EDMS) INITIATIVE

For Fiscal Year 2019-20



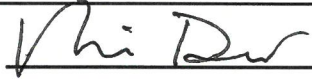
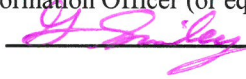

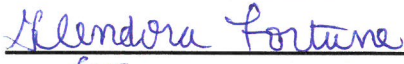
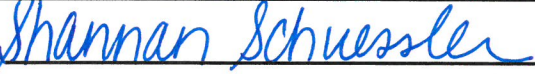
October 19, 2018

FLORIDA DEPARTMENT OF TRANSPORTATION

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I. Schedule IV-B Cover Sheet

| Schedule IV-B Cover Sheet and Agency Project Approval | |
|---|---|
| Agency: Florida Department of Transportation | Schedule IV-B Submission Date: October 15, 2018 |
| Project Name: Enterprise Electronic Document Management System (EDMS) Initiative | Is this project included in the Agency's LRPP? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No |
| FY 2017-18 LBR Issue Code: 36347C0 | FY 2017-18 LBR Issue Title: Enterprise Electronic Document Management System (EDMS) Initiative |
| Agency Contact for Schedule IV-B (Name, Phone #, and E-mail address): John Mallette, 850-410-5554, John.Mallette@dot.state.fl.us | |
| AGENCY APPROVAL SIGNATURES | |
| I am submitting the attached Schedule IV-B in support of our legislative budget request. I have reviewed the estimated costs and benefits documented in the Schedule IV-B and believe the proposed solution can be delivered within the estimated time for the estimated costs to achieve the described benefits. I agree with the information in the attached Schedule IV-B. | |
| Agency Head:  | Date: 3 OCT 18 |
| Printed Name: Michael Dew, Secretary of Transportation | |
| Agency Chief Information Officer (or equivalent):  | Date: 10/3/18 |
| Printed Name: Greg Smiley, Chief Information Officer | |
| Budget Officer:  | Date: 10.3.18 |
| Printed Name: Mechelle Marcum, Budget Officer | |
| Planning Officer:  | Date: 10/3/2018 |
| Printed Name: John Mallette, Application Services Section Manager | |
| Project Sponsor:  | Date: 10/3/18 |
| Printed Name: Shannan Schuessler, Chief of Staff | |
| Schedule IV-B Preparers (Name, Phone #, and E-mail address): | |
| Business Need: | Michael Livingston, 414-4113, Michael.Livingston@dot.state.fl.us |
| Cost Benefit Analysis: | Erin Callan, 414-4047, Erin.Callan@dot.state.fl.us |
| Risk Analysis: | John Mallette, 410-5554, John.Mallette@dot.state.fl.us |
| Technology Planning: | Sylvia McLeod, 410-5550, Sylvia.McLeod@dot.state.fl.us |
| Project Planning: | Sylvia McLeod, 410-5550, Sylvia McLeod@dot.state.fl.us |

General Guidelines

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

Schedule IV-B is not required for requests to:

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

Documentation Requirements

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

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

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

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

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

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

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

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

A. Background and Strategic Needs Assessment

1. Business Need

The Florida Department of Transportation (department/FDOT) Enterprise Electronic Document Management System (EDMS) Initiative supports the department’s mission and vision by providing for innovation and efficiency in operations. This multi-year initiative will provide the resources needed to reengineer processes and electronically route documents through streamlined, automated workflows. These documents, some of which include confidential or sensitive information, must be managed securely, promptly, and maintained in a manner that enables tracking and access by authorized individuals. A pilot effort began in Finance and Administration (F & A) and broad scale implementation would engender paper reduction throughout the agency, modernize forms-driven manual business processes, and capitalize on related cost savings.

By leveraging software that will allow for reengineering of processes within FDOT, the agency will gain time and physical resource savings, providing a more secure avenue for obtaining and tracking approval signatures and for storing and accessing documents electronically. Documents will be captured and catalogued in electronic format allowing them to be monitored, retrieved, and audited. Reduced turnaround time, more accurate reporting, and ability to identify where a document is in a workflow will result in more efficient and accurate responses to all requests, including public records.

The current "as is" business processes require an abundance of paper usage, repetitive manual steps, and many require manual routing throughout the agency for approvals and physical signatures. By purchasing a workflow module and additional licenses for a product the department already owns, paper reduction and efficiencies can be achieved, while capitalizing on those areas where there is a cost savings.

A small-scale pilot project was implemented in the Equal Opportunity Office (EOO) in 2017 and 2018. This project allowed the department to analyze processes and identify resources that could best be utilized to achieve our goals of being paperless and more efficient and innovative. Knowledge gained from this focus project allowed for a better understanding of needs agency-wide and will assist with development and implementation throughout the department. Implementation of the Enterprise EDMS Initiative will be completed in phases.

2. Business Objectives

In 2016, the Department’s Organizational Development Office (ODO) team began identifying areas within F & A where process reengineering could improve business operations. The department realized implementing an enterprise strategy throughout the agency would better achieve the goal of becoming paperless and modernizing manual business processes. Once achieved, the department will realize savings in the following areas:

- Improved productivity and opportunity for evaluation and updating of processes
- More efficient operations with reduced environmental impact
- More effective and reliable mechanisms for managing enterprise information assets
- Cost savings related to storing and accessing records and reducing paper usage in the workplace
- Greater employee satisfaction / remote productivity
- Leveraging current technology proposal intake process to prioritize initiatives with the Department’s long-term objectives and core initiatives

The Enterprise Electronic Document Management System (EDMS) Initiative has a multi-year rollout as detailed below:

Year One

- Purchase 6,000 additional licenses for OpenText EDMS to allow all employees at the department access
- Purchase Image Crawler software, making image-based content searchable
- Set up governance, including a policy and procedure, detailing the use of OpenText as the primary storage solution for the department
- Offices develop document taxonomy strategy in conjunction with OpenText project staff, allowing for

- optimized storage of electronic data
- Purchase 2,000 licenses for the OpenText workflow module, allowing automation projects to begin
- Continue pilot projects identified within F&A

Years Two - Four

- Purchase 2,000 licenses annually for the OpenText workflow module, bringing more offices into a paperless, automated environment
- Capture needs for business process reengineering and use IT governance to prioritize projects using OpenText workflows

B. Baseline Analysis

1. Current Business Process(es)

During planning for the small-scale pilot project, a high-level analysis of one Division within the department was performed and general patterns and trends emerged, identifying processes in need of automation and streamlining. It is reasonable to assume that the other two Divisions within the department have similar needs for process reengineering. It was also determined during the pilot project that the department already owned the preferred solution, OpenText EDMS, and that only additional licenses and the workflow module would need to be purchased.

Many areas have implemented SharePoint-based workflows, but still rely heavily on paper forms. Processes are often fully manual, with paper files being moved from desk to desk to accomplish tasks involving more than one department resource. While most processes are manual, functional areas are using various methods to “save” their documents. Offices use shared drives, EDMS, paper files, or a combination of all three, creating duplicate records in different formats. These methods leave the department with a potential challenge of identifying the “official” record and maintaining an accurate inventory of records. Any solutions in place currently focus on specific business units, but do not support an enterprise view of the department’s information assets, which could be problematic when entities interact with multiple functional areas within the department. There is little to no automated collection of data for use in other systems and current solutions create silos within the organization.

2. Assumptions and Constraints

This section addresses assumptions which may impact or influence the department’s Enterprise EDMS Initiative. It also outlines potential constraints that could impact the outcome of proposed solutions.

Assumptions

- The initiative will require investment of resources from management at all levels.
- There are employees who are content with the current processes and are not comfortable with all-electronic processes.
- Employees will require training and familiarization with new systems to transition from current processes to paperless.
- If the department is not able to gain funding for this initiative, it would continue to use manual/paper processing. Using manual/paper processes results in higher error rates, which affect external and internal customers and could necessitate increased oversight of staff to ensure compliance with regulations. FDOT will continue to require some information to be submitted timely to comply with various regulations. Manual processes introduce the possibility of error.
- Any solution chosen will require some level of customization and configuration to meet the department’s business and technical needs and requirements. The proposed solution will require the least amount of customization and configuration, will be the most cost-effective solution, and already integrates with our current EDMS and other systems.

Constraints

- Employees will need to commit time to business process reengineering while continuing to perform their daily duties.
- FDOT employees are negatively affected by the volume of manual input required.

- FDOT external and internal customers and FDOT as an agency are negatively affected by the delays that take place because of the manual processes currently in place.
- FDOT currently is at risk for possible litigation because of the opportunity for error and loss of paper forms.

C. Proposed Business Process Requirements

1. Proposed Business Process Requirements

High level business requirements have been completed for six areas of the department. Based on discussion of the business needs of the various functional areas participating in the sessions, more than 200 requirements were identified. At an implementation level, many of the requirements are unique to the individual functional areas. However, from an ECM perspective, the requirements generally roll up into many common features that are needed to support the specific needs of each area.

| REQUIREMENT |
|---|
| Ability to scan documents that cannot be sent electronically, or must be validated before converting to electronic format |
| Ability to enforce enterprise document taxonomy and metadata for indexing |
| Ability to support on-line document submission |
| Ability to securely receive document attachments |
| Ability to receive data online for use in FDOT systems and reports |
| Ability to upload attachments in multiple formats |
| Ability to deploy an all-electronic interface to reduce/eliminate scanning of paper documents |
| Ability to capture and reuse basic user information for future transactions |
| Ability to provide single point of entry for data |
| Ability to route externally submitted documents to the proper workflow and person based on unique identifier |
| Ability to check for completeness of external submission, based on document types uploaded |
| Electronic processes replacing current forms must be compliant with Florida statute/rule/policy requirements |
| Ability to initially capture information provided online by external entities into FDOT systems |
| Ability for external entities to periodically provide updates to information that is utilized in FDOT systems (after FDOT Review) |
| Ability to convert paper records to electronic records for retention purposes |
| Ability for Custodial units to create and maintain records inventories online |
| Ability to add additional retention metadata to ensure that documents used in special circumstances are maintained |
| Ability to limit access to documents/data based on workgroup |
| Ability to notify requesters (internal or external) of workflow status for submitted requests |
| Ability to view staff workflow assignments and status |
| Must be able to integrate workflow status into external online view |
| Ability for authorized users to access documents across the enterprise |
| Ability to receive contractor-submitted information directly into workflow for approval |
| Ability to generate notifications to contractors or other stakeholders when requests have been fulfilled by FDOT |

SCHEDULE IV-B FOR ENTERPRISE ELECTRONIC DOCUMENT MANAGEMENT SYSTEM (EDMS) INITIATIVE

| REQUIREMENT |
|--|
| Ability to flag records to prevent release while certain workflows have control of the documents |
| Ability to route electronic case files and associated documents to multiple reviewers |
| Ability to change workflow configuration for special circumstances |
| Ability to track progress of a request against statutory or other mandatory timelines |
| Ability to have a unified electronic workflow for creation of content, review of content, and approval of content |
| Ability to provide traceability across "forms" and procedures to link to statute, rule, related policy, related procedures |
| Ability to track the status of workflow items |
| Ability to track workflow/review assignments for documents that are due on a deadline |
| Ability to create transactional requests without the need for paper forms |
| Ability to set "Confidential" flags on documents based on document type, workflow step, or status |
| Ability to assign workflow items to FDOT staff based on configurable business rules |
| Ability to route incomplete transactional requests back to originator |
| Ability to electronically approve transactional requests |
| Ability to generate a report listing records ready for disposition (regardless of format) |
| Ability to electronically sign forms |
| Ability to route information to user-defined external recipients |
| Ability to require deadlines for completed forms by user or user group |
| Ability to delegate approvals |
| Ability to create a consolidated view of documents related to particular functions or projects, regardless of owning entity (CO or District) |
| Ability to manage document retention based on GS1-SL and FDOT Retention Schedule |
| Must provide a consistent purge requirement/approval process |
| Ability to limit access to key documents/information based on data classification |
| Ability to limit access to documents containing personally identifying data such as SSN or FEIN, or sensitive system security information |
| Ability to manage document retention using business rules based on document type, creation date, last active date, and other tags such as "litigation-related" |
| Ability to track location and other information related to records that must remain as paper |
| Ability to revert back to any previous version |
| Ability to view any previous version |
| Ability to utilize keyword search |
| Ability to conduct full text search across contents and metadata |
| Ability to redact proprietary/confidential information from documents |
| Ability for users look up records dispositions online |
| Ability to search by specific form |
| Ability to sort results from most to least relevant |

| REQUIREMENT |
|--|
| Ability for an authorized user to search by metadata parameters |
| Ability to search for active documents |
| Ability to search for inactive documents |
| Ability for an authorized user to search for all files |
| Ability to comply with ADA requirements |
| Ability to be compatible with Active Directory provisioning services |

2. Business Solution Alternatives

- Continue the manual processes already in place
- Allow offices to individually review their processes and make them paperless where possible rather than at an enterprise level
- Consolidate forms and processes where possible

3. Rationale for Selection

FDOT already owns one of the top-rated EDMS solutions: OpenText. By purchasing the workflow module from OpenText and leveraging the resources FDOT already owns, the department will be able to realize a return on investment much sooner than if any other technical option were entertained.

4. Recommended Business Solution

After extensive analysis of requirements, a market scan, and review of existing technologies at FDOT, it was recommended FDOT leverage current technology investments that were being underutilized (in terms of capability). With OpenText being our primary technology for document management and records retention, the department will see a return on investment by purchasing additional modules that integrate with our current technology suite. The enterprise modules are easily configurable to meet a multitude of departmental needs in different program areas and work processes. This positions the department to not only integrate current functionality but to rapidly incorporate into new projects

D. Functional and Technical Requirements

By utilizing current solutions with OpenText, the department will be able to provide the functionality necessary to capture, manage, preserve and deliver processes in a paperless environment. The solution will decrease the time needed for capturing, managing, preserving, delivering and approving processes, while providing more timely and accurate access to information statewide.

The proposed solutions must include the following key functions agency-wide:

| REQUIREMENT |
|---|
| Ability to scan documents that cannot be sent electronically, or must be validated before converting to electronic format |
| Ability to use Optical Character Recognition data from submitted forms for input into current systems |
| Ability to enforce enterprise document taxonomy and metadata for indexing |
| Ability to support on-line document submission |
| Ability to securely receive document attachments |
| Must provide content creation workflow for documents |
| Ability to receive data online for use in FDOT systems and reports |

SCHEDULE IV-B FOR ENTERPRISE ELECTRONIC DOCUMENT MANAGEMENT SYSTEM (EDMS) INITIATIVE

| REQUIREMENT |
|---|
| Ability to upload attachments in multiple formats |
| Ability to deploy an all-electronic interface to reduce/eliminate scanning of paper documents |
| Ability to capture and reuse basic user information for future transactions |
| Ability to provide single point of entry for data |
| Ability to route externally submitted documents to the proper workflow and person based on unique identifier |
| Ability to check for "completeness" of external submission, based on document types uploaded |
| Electronic processes replacing current forms must be compliant with Florida statute/rule/policy requirements |
| Ability to transfer data provided online to other documents |
| Ability to initially capture information provided online by external entities into FDOT systems |
| Ability for external entities to periodically provide updates to information that is utilized in FDOT systems (after FDOT Review) |
| Ability to prepopulate data on electronic forms from various systems |
| Ability to convert paper records to electronic records for retention purposes |
| Ability to prevent submission of incomplete transactional requests |
| Ability to pre-populate electronic forms/requests based on user ID and functional area |
| Ability for Custodial units to create and maintain records inventories online |
| Ability to present checklists that are integrated with workflow |
| Ability to add additional retention metadata to ensure that documents used in special circumstances are maintained |
| Ability to limit access to documents/data based on workgroup |
| Must support multi-level internal review of workflow items |
| Ability to notify requesters (internal or external) of workflow status for submitted requests |
| Ability to make workflow assignments based on configurable business rules (i.e., geography, skillset, etc.) |
| Ability to view staff workflow assignments and status |
| Must be able to integrate workflow status into external online view |
| Must provide notification of aging of workflow items |
| Must not advance workflow process if workflow requirements are not complete |
| Must provide mechanism to check for required elements of applications or other workflow packages |
| Ability for authorized users to access documents across the enterprise |
| Ability to receive contractor-submitted information directly into workflow for approval |
| Ability to generate notifications to contractors or other stakeholders when requests have been fulfilled by FDOT |
| Ability to interface with exiting systems to update reporting databases |
| Ability to create an electronic "file" consisting of multiple large and small documents |
| Ability to flag records to prevent release while certain workflows have control of the documents |
| Ability to route electronic case files and associated documents to multiple reviewers |

SCHEDULE IV-B FOR ENTERPRISE ELECTRONIC DOCUMENT MANAGEMENT SYSTEM (EDMS) INITIATIVE

| REQUIREMENT |
|--|
| Ability to change workflow configuration for special circumstances |
| Ability to interface with external systems to transfer data upon completion of workflow processes |
| Ability to manage multiple complex approval workflows |
| Ability to provide integrated workflows across Central Office and Districts |
| Ability to automate notification system for user transactions |
| Ability to provide electronic notifications based on request type and other business rules |
| Ability to track progress of a request against statutory or other mandatory timelines |
| Ability to allow external entities to electronically sign documents |
| Ability to interface with existing systems to launch workflows in specialized applications such as Cherwell |
| Must adhere to OIT design standards for look and feel, and for workflow design |
| Ability to have a unified electronic workflow for creation of content, review of content, and approval of content |
| Ability to provide traceability across "forms" and procedures to link to statute, rule, related policy, related procedures |
| Ability to link to FDOT approved data to determine basic supervisory relationships for approval purposes |
| Ability to track the status of workflow items |
| Ability to capture legally acceptable electronic signatures meeting advanced authentication standards |
| Ability to manage an approved library of boilerplate language to ensure consistency across documents |
| Ability to track workflow/review assignments for documents that are due on a deadline |
| Must provide checks and balances to ensure that all documents received/created are stored in this system in a manner meeting record requirements |
| Ability to conduct parallel review of documents that do not require sequential review |
| Ability to create transactional requests without the need for paper forms |
| Must support multiple approval workflows, based on configurable rules (i.e., type and amount, request type) |
| Shall provide configurable workflows for processes with variable workflows |
| Ability to set "Confidential" flags on documents based on document type, workflow step, or status |
| Ability to assign workflow items to FDOT staff based on configurable business rules |
| Ability to route incomplete transactional requests back to originator |
| Ability to electronically approve transactional requests |
| Ability to generate a report listing records ready for disposition (regardless of format) |
| Ability to electronically sign forms |
| Ability to route information to user-defined external recipients |
| Ability to require deadlines for completed forms by user or user group |
| Ability to allow multiple request/approve cycles |
| Ability to interface with the email system of record |
| Ability to communicate documents as an attachment to external parties (outside FDOT domain) |

SCHEDULE IV-B FOR ENTERPRISE ELECTRONIC DOCUMENT MANAGEMENT SYSTEM (EDMS) INITIATIVE

| REQUIREMENT |
|--|
| Ability to generate and store automatic email notifications of workflow events to intended recipients by individual or group |
| Ability to send system-generated notifications via email |
| Ability to notify users if and when a change has been made to a document |
| Ability to generate an email when workflow has been overridden |
| Ability to delegate approvals |
| Ability to create a consolidated view of documents related to particular functions or projects, regardless of owning entity (CO or District) |
| Must provide long-term storage with access to electronic documents over long periods of time into the future |
| Must provide a consistent purge requirement/approval process |
| Must provide storage limit capacity notifications |
| Must utilize efficient storage of document/images using industry leading compression algorithms |
| Must provide "hot" and "cold" storage and retrieval capability |
| Ability to auto-archive and log folders/files without activity for a pre-determined period of time |
| Ability to limit access to key documents/information based on data classification |
| Ability to limit access to documents containing personally identifying data such as SSN or FEIN, or sensitive system security information |
| Ability to manage document retention using business rules based on document type, creation date, last active date, and other tags such as "litigation-related" |
| Ability to manage document retention based on GS1-SL and FDOT Retention Schedule |
| Ability to track location and other information related to records that must remain as paper |
| Must have version control capabilities |
| Ability to revert back to any previous version |
| Ability to view any previous version |
| Ability to provide a time and date stamp by version |
| Ability to capture a justification for version updates |
| Must scan all historical and in-process applications at time of cutover |
| Must comply with Title 49 Code of Federal Regulations Part 26 to protect applications from Public Records releases |
| Ability to retrieve documents within specified timeframes for Public Records, litigation or investigation purposes |
| Must enforce a consolidated backup strategy |
| Must utilize FDOT backup strategy |
| Ability to electronically archive and retrieve final documents |
| Ability to retain certain records permanently, based on retention schedules |
| Must be maintainable with FDOT resources |
| Ability to allow an authorized user to revise a document within his/her respective permission levels |

| REQUIREMENT |
|---|
| Ability to manage access based on defined security roles/privileges |
| Ability to allow an authorized user to configure a document as 'locked' or 'unlocked' by user, user role or user group |
| Ability to lock and unlock a certain document to specific users during specific lock-out dates |
| Ability to provide the option for global read-only access to documents based on user role |
| Flexible role-based security access and interchangeable roles |
| Ability to comply with FDOT security requirements |
| Ability to maintain an audit trail |
| Ability to provide a detailed log of changes made to a given document according to user or user group |
| Ability to protect audit trail from unauthorized access, modification, and deletion |
| Ability to protect the integrity of data/information stored within the system |
| Must be able to search for records and defined metadata with multiple filters such as: name, code, specialty, FEIN |
| Ability to utilize keyword search |
| Ability to conduct full text search across contents and metadata |
| Ability to redact proprietary/confidential information from documents |
| Ability for users look up records dispositions online |
| Must provide full-text search capabilities across all documents, including scanned documents |
| Ability to search by specific form |
| Ability to sort results from most to least relevant |
| Ability for an authorized user to search by metadata parameters |
| Ability to search for active documents |
| Ability to search for inactive documents |
| Ability for an authorized user to search for all files |
| Ability to comply with ADA requirements |
| Ability to be compatible with Active Directory provisioning services |
| Must remain accessible 24/7 with built-in redundancy and scheduled maintenance, patches, upgrades, and new release integration must require minimal downtime. |

III. Success Criteria

| SUCCESS CRITERIA TABLE | | | | |
|------------------------|--|--|---|--------------------------|
| # | Description of Criteria | How will the Criteria be measured/assessed? | Who benefits? | Realization Date (MM/YY) |
| 1 | Implement uniform scanning processes and the ability to capture data during scanning | By being able to retrieve data that is scanned | Entire Department (Internal and External) and the | 06/20 |

| SUCCESS CRITERIA TABLE | | | | |
|------------------------|---|--|---------------|---|
| | | | public | |
| 2 | Implement workflow capabilities to eliminate paper forms and increase efficiencies | By using less paper and reducing turnaround times | Same as above | 06/23 or after project completion |
| 3 | Implement document-level security to ensure the integrity of documents stored in a single repository and ease of access to those documents by authorized personnel – also provide an audit mechanism that captures authorized and unauthorized access, deletions, changes, etc. | The documents will be stored securely and accessed by authorized personnel. The document management system will have the ability for auditing. | Same as above | 06/20 |
| 4 | Use workflow approvals to minimize the need for signatures, use electronic signatures where absolutely necessary | By signatures being electronic rather than wet | Same as above | 06/23 |
| 5 | Improve the ability to manage document retention and disposal | By documents being electronic they can be managed in a way to automate disposal based on retention schedules | FDOT | 06/23 |
| 6 | Ensure any solution meets basic standards, including statute/rule/policy, OIT standards, and federal requirements, such as ADA compliance, and that FDOT can maintain the solution after implementation | By technical security oversight and OIT involvement | FDOT | 06/23, ongoing – based on each project leveraging the tools |

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

A. Benefits Realization Table

| BENEFITS REALIZATION TABLE | | | | | |
|----------------------------|---|---------------------------|--|--|---|
| # | Description of Benefit | Who receives the benefit? | How is benefit realized? | How is the realization of the benefit measured? | Realization Date (MM/YY) |
| 1 | Reduction in time spent on processes and rote tasks | FDOT and taxpayers | By an increase in efficiency, allowing employees to work on other responsibilities | Analyze current state documentation after automation to determine time savings | Realized per individual project, greatest impact at overall project |

SCHEDULE IV-B FOR ENTERPRISE ELECTRONIC DOCUMENT MANAGEMENT SYSTEM (EDMS) INITIATIVE

| 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) |
| | | | | | completion |
| 2 | Reduction in costs spent on supplies, such as paper and toner | FDOT and taxpayers | By decreasing office supply costs | Minimizing paper usage by leveraging approval workflows and electronic signatures when necessary | Realized per individual project, greatest impact at overall project completion |
| 3 | Reduction in cost of physical document storage | FDOT and taxpayers | New paper documents will be created less frequently | Central Office spends approximately \$34,000 a year on paper document storage and the districts are similar. If we cease creation of paper records, these documents will meet retention and eliminate the need for storage. | 06/23 |
| 4 | Reduced risk of loss associated with paper documents | FDOT and taxpayers | No paper routing for approvals | No loss of data integrity | Realized per individual project, greatest impact at overall project completion |
| 5 | Knowledge of where a document is in a process | FDOT | Dashboards built to show automated workflow | Less time spent tracking documents as a part of office customer service | Realized per individual project, greatest impact at overall project completion |
| 6 | Singular repository for public records requests moving forward | FDOT and taxpayers | Governance with direction to use OpenText EDMS as the storage solution for the department moving forward | Less time searching multiple repositories for documents to fulfill public records requests | 06/20 |
| 7 | Increased connectivity between offices within the Department | FDOT | Same storage solution enterprise-wide | Less time searching multiple repositories for documents shared by multiple offices / functional areas | 6/20 |
| 8 | Ease of internal and external agency audits with | FDOT and taxpayers | Same storage solution enterprise- | Less time searching multiple repositories for documents shared by multiple offices / | 6/20 |

SCHEDULE IV-B FOR ENTERPRISE ELECTRONIC DOCUMENT MANAGEMENT SYSTEM (EDMS) INITIATIVE

| 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) |
| | an increase in transparency | | wide | functional areas | |
| 9 | Automatic adherence to data retention schedules | FDOT | Retention is metadata attached to documents based on document type | Audit of documents in the system to ensure that all documents housed are required | 06/20 |
| 10 | Ease of document searching | FDOT | Electronic documents are searchable via title, number, metadata, and in-text data | Custom searches pulled have predictable, accurate results | 6/20 |
| 11 | Configurable workflows for ad hoc development | FDOT | OpenText workflows require limited technical knowledge and can be configured by business analysts | Measure the speed of development after acquisition of the tools | 06/23 |

Cost avoidance will be realized in the reduced use of physical resources including paper, toner, storage space, and postage. Additional benefits are anticipated in reduced time spent manually handling and processing paper documents. Electronic routing through streamlined processes allows for better customer service and elimination of redundant efforts. Automation and electronic storage offer greater security, reliability, and integrity of documents and enable staff to focus on production and job duties rather than paper shuffling. These efforts will also provide for automatic archival and disposition of department documents, based on Florida’s Department of State records retention policy.

Central Office spends approximately \$34,000 annually on physical document storage. If we extrapolate that number to include all storage facilities across the districts, we can conservatively estimate \$150,000 statewide. If we cease to create new paper documents, we can work towards the elimination of paper storage and associated storage costs.

Through automation of F&A functions in the first year, the department is expected to see net tangible benefits of approximately \$2.5 million dollars (see CBA Form 1). This will be accomplished with one quarter of the workflow licenses. As other programs areas come on board each year with the roll-out of additional workflow licenses, it is reasonable to expect that the tangible benefits will double in the second year and continue on that curve.

B. Cost Benefit Analysis (CBA)

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

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

V. Schedule IV-B Major Project Risk Assessment

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

| | | |
|--|---|------------------------------------|
| Project | <i>EDMS Enterprise Initiative</i> | |
| Agency | <i>Florida Department of Transportation</i> | |
| FY 2019-20 LBR Issue Code: | <i>36347CO</i> | FY 2019-20 LBR Issue Title: |
| | | <i>EDMS Enterprise Initiative</i> |
| Risk Assessment Contact Info (Name, Phone #, and E-mail Address): | | |
| <i>John Mallette, (850) 410-5554, John.Mallette@dot.state.fl.us</i> | | |
| Executive Sponsor | <i>Shannon Schuessler</i> | |
| Project Manager | <i>John Mallette</i> | |
| Prepared By | <i>John Mallette</i> | |
| Risk Assessment Summary | | |
| Business Strategy | Most Aligned | Least Aligned |
| | Least Risk | Most Risk |
| Level of Project Risk | | |
| | | |
| Project Risk Area Breakdown | | |
| Risk Assessment Areas | | Risk Exposure |
| Strategic Assessment | | MEDIUM |
| Technology Exposure Assessment | | LOW |
| Organizational Change Management Assessment | | LOW |
| Communication Assessment | | LOW |
| Fiscal Assessment | | MEDIUM |
| Project Organization Assessment | | MEDIUM |
| Project Management Assessment | | LOW |
| Project Complexity Assessment | | MEDIUM |
| Overall Project Risk | | MEDIUM |

VI. Schedule IV-B Technology Planning

A. Current Information Technology Environment

a. *Current System* - .OpenText EDMS stores documents for twenty-seven (27) business areas throughout the department. The demand for electronic document processing exceeds the current licensing capacity of the system. The current system does not include workflow capabilities. The current system includes scanned images that are not content-searchable. [Description of Current System](#)

- 1) Twenty-seven (27) business areas store documents in OpenText EDMS.
- 2) There is little to no automated collection of data from forms for use in other systems.

- 3) The department currently employs a variety of tools and approaches to manage electronic documents and associated manual workflows.
- 4) Some functional areas use shared drives to store documents, others use paper files and some use the OpenText EDMS for document storage. With the combination of all three (3), duplication is often encountered with different formats leaving the department with a challenge to determine ‘official’ records.
- 5) Many processes are fully manual, with paper files being moved from desk-to-desk to accomplish workflow tasks involving more than one FDOT resource.
- 6) Common use of shared drives for storage of records means that these items are not under version control, and are not available to search engines across the enterprise.

- b. Current System Resource Requirements** – OpenText EDMS is deployed utilizing a distributed model with server infrastructure at Central Office, the 7 districts and Florida Turnpike Enterprise.
- c. Current System Performance** – The existing server infrastructure accommodates the processing needs for the 27 business areas utilizing OpenText EDMS.

1. Information Technology Standards

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

B. Current Hardware and/or Software Inventory

| Server location | # of Servers | Server Description |
|-----------------|--------------|--|
| CO | 7 | DOTSCODMP1 DOTSCODMP2 DOTSCODMP3 DOTSCODMP4 MS SQL SERVER 2016 Clustered file server for document storage (2) |
| D1 | 4 | DOTSD1DMP1 DOTSD1DMP2 MS SQL SERVER 2016 File server for document storage |
| D2 | 4 | DOTSD2DMP1 DOTSD2DMP2 MS SQL SERVER 2016 File server for document storage |
| D3 | 4 | DOTSD3DMP1 DOTSD3DMP2 MS SQL SERVER 2016 File server for document storage |
| D4 | 4 | DOTSD4DMP1 DOTSD4DMP2 MS SQL SERVER 2016 File server for document storage |
| D5 | 4 | DOTSD5DMP1 |

| | | |
|----------|---|--|
| | | DOTSD5DMP2 MS SQL SERVER 2016 File server for document storage |
| D6 | 4 | DOTSD6DMP1 DOTSD6DMP2 MS SQL SERVER 2016 File server for document storage |
| D7 | 4 | DOTSD7DMP1 DOTSD7DMP2 MS SQL SERVER 2016 File server for document storage |
| Turnpike | 6 | DOTSTPPDMP1 DOTSTPPDMP2 DOTSTPHDMP1 DOTSTPHDMP2 MS SQL SERVER 2016 File server for document storage |

C. Proposed Technical Solution

1. Technical Solution Alternatives

The department currently employs a variety of tools and approaches to manage the more than 350 business processes identified during the initial inventory of forms and processes conducted in the first phase of the Paperless Reengineering initiative. In the second phase of the initiative, the team identified the following major components used to some extent by FDOT to manage workflows, documents, forms, or other content:

| # | TOOL | DESCRIPTION |
|---|--|---|
| 1 | Electronic Document Management System (EDMS) | The OpenText acquired solution is currently utilized as the document repository for a variety of FDOT applications. |

Leveraging OpenText EDMS, owned by the department for document management, the department would only need to add workflow modules and licenses to meet all the business office requirements. No other technical solution alternatives are being petitioned as they would include:

- purchasing off-the-shelf solutions with considerable customization necessary to meet business office requirements
- procuring a third-party vendor for custom development
- internal development of a new paperless application
- continuing the current manual paper extension process, all of which would be less cost efficient

All the above would be less cost effective than the proposed solutions.

2. Rationale for Selection

FDOT currently owns a top-rated EDMS solution in OpenText and needs to expand licensing and purchase the available workflow module to realize its full capabilities. By leveraging resources FDOT currently owns, the department will be able to meet the requirements identified while realizing a return on investment much sooner than if any other technical alternatives were considered.

3. Recommended Technical Solution

A market scan, extensive analysis of requirements, and a review of existing technologies was completed and the recommendation was that FDOT leverage a current technology investment that is being underutilized. Utilizing OpenText will also allow the department to achieve results in a shorter time, with reduced risk and cost.

D. Proposed Solution Description

1. Summary Description of Proposed System

Since the department currently utilizes EDMS OpenText, the solution is to expand utilization of this application and purchase the workflow module. This proposed product meets all FDOT business and technical requirements currently identified including security requirements as they apply to privacy, confidentiality and public access.

OpenText maintains a top-rated electronic document management/workflow solution. The capability to capture, store and track the lifecycle of electronic documents will meet the needs of the department to support a paperless environment. OpenText organizes and shares electronic documents in any file format enabling users to accomplish tasks while increasing staff productivity and decreasing repetitive manual daily operational tasks. Some of the functions of OpenText include:

- Workflow capability
- Associating metadata with documents
- Providing change requests
- Review and approval processes to be electronically supported
- Control / manage document versions
- Draft mode and document locking
- Auditing capability
- Supports electronic signature through products like DocuSign, already in use by the Department
- Report-building tool for customization

2. Resource and Summary Level Funding Requirements for Proposed Solution

- EDMS Development
- EDMS FDOT Maintenance
- EDMS Storage
- EDMS Training
- AST fees- EDMS/OpenText/eDOCS
- OpenText eDOCS DM Licenses
- OpenText Workflow licenses
- Workflow Integration
- Data Migration
- Contracted ServicesProject Oversight
- OpenText eDOCS DM Maintenance
- OpenText Workflow Maintenance
- Workflow Integration Maintenance

E. Capacity Planning

FDOT's data requirements for the EDMS application are currently 1TB of data storage usage, which includes active and archive data for each application. This is anticipated to fulfill FDOT data requirements for the new paperless environment for years after the process is implemented.

Servers for testing, training and production will be provided as part of the new solution. OpenText is scalable for the needs of FDOT. FDOT will purchase licenses for all staff and additional users can be accommodated within the system with no impact to system operations.

VII. Schedule IV-B Project Management Planning

Executive Summary

The FDOT Enterprise EDMS Initiative supports the department's mission and vision by enabling innovation and efficiency in ongoing operations to support long-term objectives and support business practices that engender paper reduction throughout the agency, modernize forms-driven manual business processes, and capitalize on related cost

savings and improve core functions and initiatives.

The department's Organizational Development Team developed a 4-year plan to implement electronic forms, workflow automation, and electronic signatures to improve the efficiency of business operations within the department. The enterprise strategy will assist in developing a more coordinated and consolidated approach to records retention, document management, and disposition to align with the modernization of manual business processes throughout FDOT. Reengineering processes with electronic approvals will better serve department employees and better meet the needs of the public. By automating manual business processes surrounding forms completion and submission, defining new requirements to govern electronic document management and records disposition, and implementing an electronic signature process, FDOT will realize savings in the following areas:

- Improved productivity
- Leaner, greener operations
- Reduced cost for storing and accessing records
- Greater employee satisfaction / remote productivity
- Better adherence to Department of State retention schedules
- Ease of document accessibility enhancing productivity for all staff and making public records requests more streamlined

The EDMS Enterprise initiative has a multi-year rollout as detailed below:

Year One

- Purchase 6,000 additional licenses for OpenText Electronic Document Management System (EDMS) to allow all employees at the department access
- Purchase Image Crawler software, making image-based content searchable
- Set up governance, including a policy and procedure, detailing the use of OpenText as the primary storage solution for the department
- Offices develop document taxonomy strategy in conjunction with OpenText project staff, allowing for optimized storage of electronic data
- Purchase 2,000 licenses for the OpenText workflow module, allowing for automation projects to begin

Years Two - Four

- Purchase 2,000 licenses annually for the OpenText workflow module, bringing more offices into a paperless, automated environment
- Capture needs for business process reengineering and use IT governance to prioritize projects using OpenText workflows

Project Scope

Once funding is approved, the project team will continue analyzing and documenting the necessary steps to perform transitioning from the existing manual processes throughout the agency to automated paperless processes.

OpenText eDocs licenses for all FDOT staff will be purchased at the onset of the project allowing for the department to create and enforce governance for document storage and data management. An agile approach will be used when bringing functional offices onboard with automation workflows based on office needs and current OIT technology project intake guidelines.

Purchase of workflow licenses will be staggered to allow the EDMS project staff time to configure workflows within functional areas, maximizing license use each year.

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

Baseline Schedule

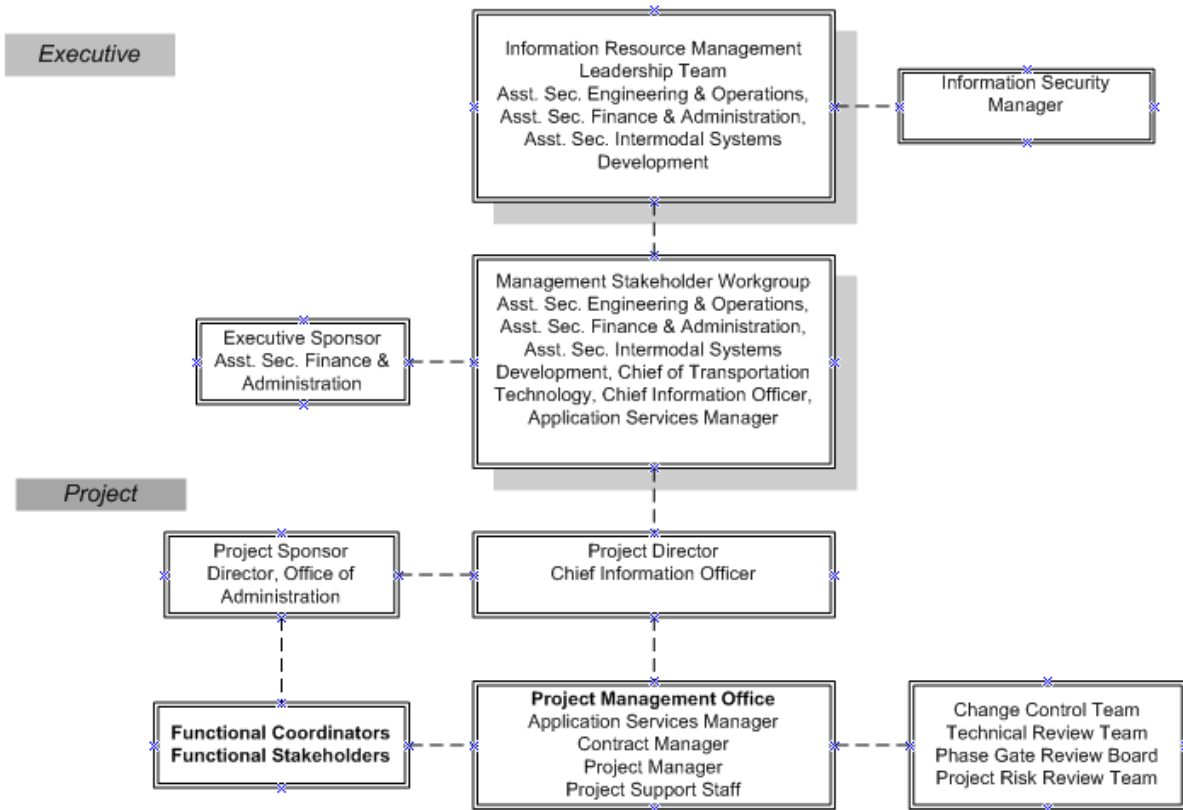
SCHEDULE IV-B FOR ENTERPRISE ELECTRONIC DOCUMENT MANAGEMENT SYSTEM (EDMS) INITIATIVE

| Tasks | Status | FYs |
|--|-------------------|---------------|
| Create Policy & Procedure, detailing data storage governance | In Progress | 18-19 |
| Form cross-functional team, including members from all three divisions to steer governance and project development | Pending Funding | 19-20 |
| Create document taxonomy structures for functional offices throughout the Department | Pilot in Progress | 18-19 – 19-20 |
| Procure 6,000 eDocs licenses, 8,000 ImageCrawler licenses, and 2,000 workflow licenses | Pending Funding | 19-20 |
| Migrate data from other storage solutions to OpenText in accordance to governance | Pending Funding | 19-20 |
| Configure EDMS for use with ImageCrawler | Pending Funding | 19-20 |
| Configure EDMS for workflow integration | Pending Funding | 19-20 |
| Human Resources Design and Implementation | Pending Funding | 19-20 – 20-21 |
| Organizational Development Design and Implementation | Pending Funding | 19-20 |
| Office of the Secretary Design and Implementation | Pending Funding | 19-20 |
| Procurement Design and Implementation | Pending Funding | 19-20 |
| Support Services Design and Implementation | Pending Funding | 21-22 |
| Strategic Development Process Design and Implementation | Pending Funding | 21-22 |
| Engineering and Operations | Pending Funding | 23-24 |
| Office of General Counsel Design and Implementation | Pending Funding | 23-24 |
| Office of Inspector General Design and Implementation | Pending Funding | 23-24 |
| Integrate with other core initiatives such as WPII, AIMG, etc | Pending Funding | 23-24 |

Note: As the workflow module for OpenText is easily configurable based on Departmental needs, the schedule for non-Administration functions will be included as projects in those areas go through the Transportation Technology intake process. Projects will be prioritized to align long-term objectives and core initiatives throughout the Department.

Project Organization and Governance

This subsection describes the proposed project organization and governance.



The project governance structure consists of the following elements:

- **Information Resource Management Leadership Team:** provides direction and prioritization for information technology resources and projects estimated over 1,500 hours of effort. The group usually consists of the department’s Assistant Secretaries and the Chief Information Officer (CIO).
- **The Information Security Manager (ISM)** reports directly to the CIO. The ISM is responsible for statewide coordination and administration of the Department’s security policies, procedures, and standards including security awareness training and security compliance assessment. The ISM reviews and approves the Security Plans that are submitted for all enterprise applications including this initiative and ensures that security controls related to access and integrity of the application and data are in place.
- **Office of Inspector General:** serves as a central point for coordination of and responsibility for activities that promote accountability, integrity and efficiency in the department. Conducts audits, investigation and management review relating to the programs and operation of the Agency.
- **Management Stakeholder Workgroup:** The Management Stakeholder Workgroup provides functional management oversight of the application projects.
- **Executive Sponsor:** The Executive Sponsor is a chairperson of the subject business process improvement, analysis, and design efforts. The Executive Sponsor acts as a visionary and motivator and instills the project with a purpose and a sense of mission. The Executive Sponsor introduces the project within the organization and demonstrates commitment to its success.
- **Project Sponsors:** Ensures that the needed resources from the Functional Office are available to serve in various roles throughout the application’s life cycle.
- **Project Director:** Coordinates and manages the information resources management policies, procedures and standards activities. Advises executive management regarding information resources management needs of the department. Assist in the development and prioritization of the information resources management schedule of the department’s legislative budget request.

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

Quality Assurance Plan

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

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

Communication Plan

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

methods are planned:

| Item | Purpose | Frequency | Audience |
|--|--|-----------|--|
| Functional Steering Committee Meeting | Provide updates on project activities, issue and deadlines | Monthly | Functional Steering Committee |
| Written Status Report | Provide update on project activities, issues and deadlines | Weekly | All Project Team Members |
| Legislative Status Report | Provide update on project activities for all projects funded by a Budget Request | Monthly | Legislative Members and Staff |
| Executive Status Report and Review Meeting | Monthly review of the project status and schedule with the Information Resource Management Leadership Team | Monthly | Information Resource Management Leadership Team, Executive Sponsor, Project Sponsor, CIO, Application Services Manager |
| Functional Group Status Presentations | Provide project status updates to existing functional teams that are affected by the project. Management Stakeholders will request time on the agenda of these existing meeting to provide status and answer questions | As Needed | Statewide Teams that are affected by project. |

Deliverables Review and Acceptance

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

Issue Management

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

- The Project Issue Management Process will be documented in the Issue Management section of the Project Management Plan. This plan will address:
 - o What constitutes an issue
 - o Who can create or update issues
 - o How will issues be reported
 - o Where will issues be documented and tracked
 - o Who will receive/review the issues
 - o How/When will issues be reviewed
 - o How will issues be resolved

- o How and when will unaddressed issues be escalated
- o How will information be communicated
- All Project Issues will be documented in the change control log and status reports and will be available and reviewable by all project members.
- The Project Manager is responsible for ensuring the project team (both functional staff and technical staff) have a clear understanding of the purpose and details of the Issue Management Process.
- Weekly Status Reports will track and provide status for all open project issues.

Risk Management

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

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

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

Inventory of Potential Risks and Response Strategies

| Risk Type | Risk Description | Risk Response Strategy and Notes |
|-------------------------------|---|---|
| Project Organization | Inconsistent processes and standards cross FDOT business units could impact drive to standardize business processes | <ul style="list-style-type: none"> • Establish organizational change management program • Engage stakeholders from various agencies in defining process changes |
| Change Management, Technology | Perception by various FDOT business units about apparent loss of tailored functionality | <ul style="list-style-type: none"> • Encourage early involvement by key business units • Ensure Change Management and Communication Plan emphasizes benefits of enterprise solution • Ensure consistent and ongoing senior management support |
| Project Organization | Changes in FDOT executive management can impact program execution | <ul style="list-style-type: none"> • Immediately brief new management on program objectives and status • Implement Steering Committee to manage program with a mix of executive-level policymakers and senior-level career staff • Engage continuing Steering Committee members to assist in presenting program benefits to new management team members • Include career staff in key roles responsible for managing program execution for continuity |

SCHEDULE IV-B FOR ENTERPRISE ELECTRONIC DOCUMENT MANAGEMENT SYSTEM (EDMS) INITIATIVE

| | | |
|----------------------|--|---|
| Fiscal | Delay in obtaining funding for all or part of proposed program effort from the legislature | <ul style="list-style-type: none"> • Actively engage with stakeholders and policymakers to obtain approval for change in scope based on funding • Revisit budgets regularly; economic factors should be on agenda for discussion at Steering Committee meetings and other executive management briefings where appropriate • Adjust program schedule as necessary based on timing of funding • Identify activities that could continue in the interim (process analysis, etc.) to maintain momentum |
| Fiscal | Less funding than requested is approved for the program effort | <ul style="list-style-type: none"> • Actively engage with stakeholders and policymakers to obtain approval • Revisit budgets regularly; economic factors should be on agenda at Steering Committee meetings or executive briefings as appropriate • Adjust scope and/or program schedule as necessary based on timing of funding |
| Project Complexity | Challenges in aligning project schedule with current hosting services or the vendor’s hosting solution | <ul style="list-style-type: none"> • Initiate early discussions with the current hosting provider and/or the vendor hosting team and continue dialogue throughout planning process |
| Communication | Project delays not resolved in a timely manner | <ul style="list-style-type: none"> • Initiate early discussions • Monitor and track resolution • Ensure management understands required timeline for resolution and cost/schedule impact of not resolving |
| Strategic | Desired business benefits not achieved | <ul style="list-style-type: none"> • Adhere to requirements, involve stakeholders and tie scope decisions to performance measures and anticipated benefits to ensure success • Incorporate business process training and mentoring into the work plan |
| Project Organization | Staff not being able to participate when needed or review deliverables within schedule | <ul style="list-style-type: none"> • Utilize a project approach that leverages best practices as a starting point for discussions to better leverage staff time • Proactively identify resource constraints and escalate in a timely manner • Re-assign some responsibilities of key extended team members • Reprioritize some activities assigned to extended team members |

| | | |
|--|--|--|
| Project Complexity | Project scope too large or complex and/or implementation strategy attempts to implement too much at one time | <ul style="list-style-type: none"> • Establish implementation plan, carefully develop the plan and link it to expected business benefits • Link project scope to business benefits • Careful review by FDOT Steering Committee of requirements and implementation plan before approving implementation go-ahead • Develop scope change process that requires demonstrated link to targeted business benefits and program steering committee approval of any proposed scope changes |
| Project Organization, Project Management | Availability of FDOT resources (business and technical) to support implementation | <ul style="list-style-type: none"> • Develop detailed estimates of resource requirements as early as possible as part of planning • Develop an implementation strategy and work plan that is in sync with availability of FDOT resources • Obtain specific commitment of resources from FDOT management prior to start of implementation |
| Project Complexity, Project Management | Need to provide large number of employees with training on various new application functions | <ul style="list-style-type: none"> • Initiate organizational change management program from start of program • Develop training strategy for each project component early and monitor status of training effort closely |

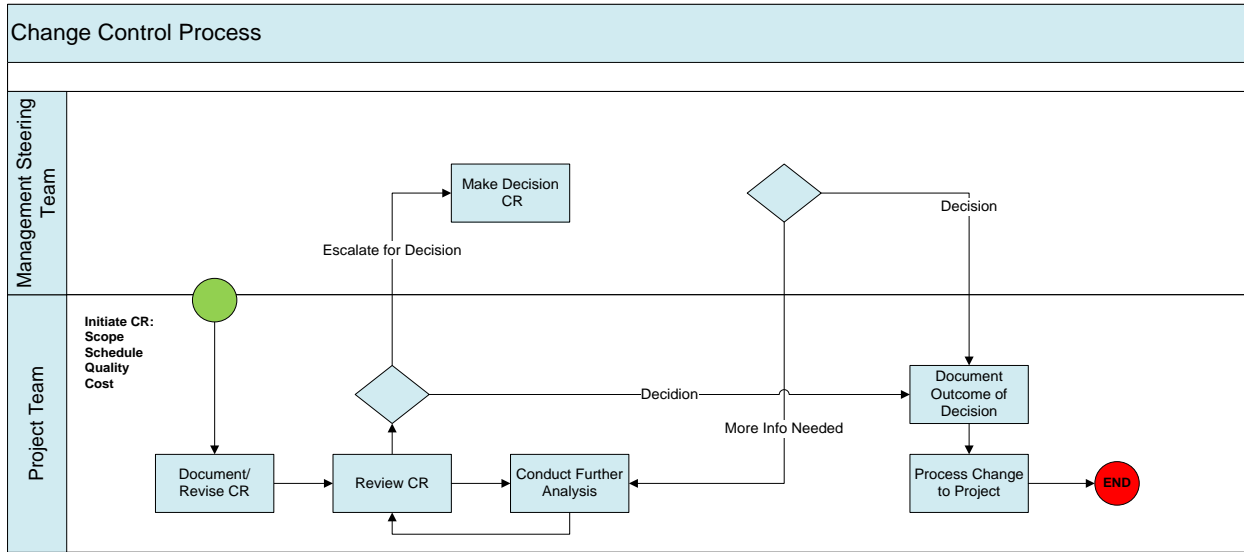
Change Management

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

- Any proposed changes will be documented using a change control form and tracked through the change control log.
- The change control log and form will be available and reviewable by all project members.
- The Project Manager is responsible for ensuring the project team (both functional staff and technical staff) have a clear understanding of the purpose and details of the Change Control Process.
- Changes that are approved by the Change Control Team, the Project Team will seek final approval from the appropriate staff and stakeholders.
- Monthly Status Reports will track and provide status for all open change requests.

Change Control Process

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



Once the CR has been approved, the Project Manager is responsible for implementing the change. Key activities to complete (as needed);

- Project Manager will update Project documentation baseline, include Project schedule
- Project Manager will coordinate with Project Sponsor & Contract Manager to update project budget as it relates to a contract
- Project Manager will update the master project budget (if new scope introduced)
- Contract Manager will oversee the appropriate change to the project purchase order in MyFloridaMarketPlace
- Project Manager will communicate disposition of CR to the Project Team and Stakeholders

Organizational Change Management

As part of the EDMS Enterprise Initiative, modifications and enhancements to the business processes, and technology will require change management to effectively transform areas of OpenText rollout and/or implementation. While organizational change has been routinely accepted, many business reengineering efforts have met with sub-optimal success because the Department failed to properly plan and implement a strategy to help engage staff throughout the change process. Industry performance in executing transformational programs continues to be a challenge. A primary driver of transformational failure is unmitigated organizational risk across the transformation lifecycle. Consequently, the proposed change management is a holistic combination of **business engagement**, **business readiness**, and **business adoption** activities, that are used as a foundation of change management, but tailored to FDOT and specific project needs. Associated methods and tools provide employees with the **knowledge**, **structure**, and **capabilities** to successfully embrace and own transformational change that facilitates sustained change and the realization of desired benefits.

- Business Engagement focuses on the targeted, appropriate involvement of all stakeholders to enable buy-in and ownership for change and includes the following change management efforts: Change vision and strategy, Sponsorship and Alignment, Communications, and Stakeholder Engagement.
- Business Readiness focuses on making sure the business is prepared to own and accept the change (organizationally, behaviourally, functionally, technically) and includes the following change management efforts: Governance, Organizational Alignment/Rollout, HR Operating Model, Stakeholder Readiness, Training, and Culture Change.
- Business Adoption focuses on overall sustainability of the change through knowledge transfer, leverage, and HR enabling processes, while tracking benefits realization and includes the following change management efforts: Knowledge transfer, Benefits Realization, and HR Process Alignment (analysis and standardization).

This type of approach is built around the overarching principle to drive change management by educating employees on how the change will help them be more effective in their work. This contrasts with a more coercive change management approach that informs employees of the change in the form of an edict or mandate from upper management with little involvement from staff. The change approach recognizes validity of staff and stakeholder concerns that can lead to reduced employee morale, diminished commitment, and increased cynicism.

To affect a successful change effort the project team and leadership must be engaged to assist managers, supervisors, employees, and other stakeholders through the development and execution of the following:

- Clear vision and message about the need for change and how such change supports the overall mission of the Department;
- Clear, measurable, and well-communicated goals or targets to be achieved by the organizational change;
- Utilize key staff to function in the role of change champions to provide input into the project as well as act as advocates for the project;
- Involvement with management and supervisors with front-line staff to answer questions and help connect their efforts to the overall success of the project; and
- Implement recognition program to tie project success with individual commitment to the project (support and rewards).

This OCM methodology will be utilized in each phase of the project.

Security Plan

The objectives of the Security Plan are to:

- Ensure confidentiality, integrity, and availability of the system data
- Identify confidential or sensitive information in the system
- Define system security methods, requirements and procedures
- Promote consistency and uniformity in the system's security practices

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

- Risk Analysis (Authentication/ Data and System Integrity/ Confidential Information)
- Federal Information Processing Standards (FIPS) 199 Potential Impact Categorization
- Critical Resources
- Roles and Responsibilities
- FDOT Policies and Procedure

Implementation Plan

The Implementation Phase will be defined in detail as the project progresses.

I. Appendices

Appendix A: Cost Benefit Analysis

Appendix B: Risk Assessment

CBAForm 1 - Net Tangible Benefits

| | | | |
|--------|--------------------------------------|---------|---|
| Agency | Florida Department of Transportation | Project | Enterprise Electronic Management Initiative |
|--------|--------------------------------------|---------|---|

| Net Tangible Benefits - Operational Cost Changes (Costs of Current Operations versus Proposed Operations as a Result of the Project) and Additional Tangible Benefits -- CBAForm 1A | | | | | | | | | | | | | | | |
|---|-------------------------------|--------------------------------|--|-------------------------------|--------------------------------|--|-------------------------------|--------------------------------|--|-------------------------------|--|--|-------------------------------|--------------------------------|--|
| Agency <i>(Recurring Costs Only -- No Project Costs)</i> | FY 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 | \$421,200 | \$421,200 | \$0 | \$421,200 | \$421,200 | \$0 | \$421,200 | \$421,200 | \$0 | \$421,200 | \$421,200 | \$0 | \$421,200 | \$421,200 |
| 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 | \$421,200 | \$421,200 | \$0 | \$421,200 | \$421,200 | \$0 | \$421,200 | \$421,200 | \$0 | \$421,200 | \$421,200 | \$0 | \$421,200 | \$421,200 |
| 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 | \$628,952 | \$628,952 | \$0 | \$628,952 | \$628,952 | \$0 | \$628,952 | \$628,952 | \$0 | \$628,952 | \$628,952 | \$0 | \$628,952 | \$628,952 |
| B-1. Managed Services (Staffing) | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| B-2. Hardware | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| B-3. Software | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| B-4. Other <i>Maintenance Contracts</i> | \$0 | \$628,952 | \$628,952 | \$0 | \$628,952 | \$628,952 | \$0 | \$628,952 | \$628,952 | \$0 | \$628,952 | \$628,952 | \$0 | \$628,952 | \$628,952 |
| C. Data Center Provider Costs | \$0 | \$75,000 | \$75,000 | \$0 | \$75,000 | \$75,000 | \$0 | \$75,000 | \$75,000 | \$0 | \$75,000 | \$75,000 | \$0 | \$75,000 | \$75,000 |
| C-1. Managed Services (Staffing) | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| C-2. Infrastructure | \$0 | \$75,000 | \$75,000 | \$0 | \$75,000 | \$75,000 | \$0 | \$75,000 | \$75,000 | \$0 | \$75,000 | \$75,000 | \$0 | \$75,000 | \$75,000 |
| C-3. Network / Hosting Services | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| C-4. Disaster Recovery | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| C-5. Other <i>Specify</i> | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| D. Plant & Facility Costs | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| E. Other Costs | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| E-1. Training | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| E-2. Travel | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| E-3. Other <i>Specify</i> | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| Total of Recurring Operational Costs | \$0 | \$1,125,152 | \$1,125,152 | \$0 | \$1,122,152 | \$1,122,152 | \$0 | \$1,122,152 | \$1,122,152 | \$0 | \$1,122,152 | \$1,122,152 | \$0 | \$1,122,152 | \$1,122,152 |
| F. Additional Tangible Benefits: | | \$3,685,896 | | | \$7,371,792 | | | \$11,057,688 | | | \$14,743,584 | | | \$14,743,584 | |
| F-1. <i>Workflow Automation</i> | | \$3,685,896 | | | \$7,371,792 | | | \$11,057,688 | | | \$14,743,584 | | | \$14,743,584 | |
| F-2. <i>Specify</i> | | \$0 | | | \$0 | | | \$0 | | | \$0 | | | \$0 | |
| F-3. <i>Specify</i> | | \$0 | | | \$0 | | | \$0 | | | \$0 | | | \$0 | |
| Total Net Tangible Benefits: | | \$2,560,744 | | | \$6,249,640 | | | \$9,935,536 | | | \$13,621,432 | | | \$13,621,432 | |

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

Florida Department of Transportation

Enterprise Electronic Management Initiative

CBA Form 2A Baseline Project Budget

Costs entered into each row are mutually exclusive. Insert rows for detail and modify appropriation categories as necessary, but do not remove any of the provided project cost elements. Reference vendor quotes in the Item Description where applicable. Include only one-time project costs in this table. Include any recurring costs in CBA Form 1A.

| Item Description <i>(remove guidelines and annotate entries here)</i> | Project Cost Element | Appropriation Category | Current & Previous Years Project-Related Cost | FY2019-20 | | FY2020-21 | | FY2021-22 | | FY2022-23 | | FY2023-24 | | TOTAL | | | | |
|---|---------------------------------------|------------------------|---|-------------|---------------------|------------------|-------------|-------------------|------------------|-------------|-------------------|------------------|-------------|-------------------|------------------|--------------|--------------|---------------------|
| | | | | \$ - | | \$ 1,577,160 | | \$ 791,000 | | \$ 791,000 | | \$ 791,000 | | \$ - | | \$ 3,950,160 | | |
| | | | | YR 1 # | YR 1 LBR | YR 1 Base Budget | YR 2 # | YR 2 LBR | YR 2 Base Budget | YR 3 # | YR 3 LBR | YR 3 Base Budget | YR 4 # | YR 4 LBR | YR 4 Base Budget | YR 5 # | YR 5 LBR | YR 5 Base Budget |
| Costs for all state employees working on the project. | FTE | S&B | \$ - | 0.00 | \$ - | \$ - | 0.00 | \$ - | \$ - | 0.00 | \$ - | \$ - | 0.00 | \$ - | \$ - | \$ - | \$ - | |
| Costs for all OPS employees working on the project. | OPS | OPS | \$ - | 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 | \$ - | \$ - | \$ - | \$ - | |
| Project management personnel and related deliverables. | Project Management | Contracted Services | \$ - | 0.00 | \$ - | \$ - | 0.00 | \$ - | \$ - | 0.00 | \$ - | \$ - | 0.00 | \$ - | \$ - | \$ - | \$ - | |
| Project oversight to include Independent Verification & Validation (IV&V) personnel and related deliverables. | Project Oversight | Contracted Services | \$ - | 0.00 | \$ - | \$ - | 0.00 | \$ - | \$ - | 0.00 | \$ - | \$ - | 0.00 | \$ - | \$ - | \$ - | \$ - | |
| Staffing costs for all professional services not included in other categories. | Consultants/Contractors | Contracted Services | \$ - | 0.00 | \$ - | \$ - | 0.00 | \$ - | \$ - | 0.00 | \$ - | \$ - | 0.00 | \$ - | \$ - | \$ - | \$ - | |
| Separate requirements analysis and feasibility study procurements. | Project Planning/Analysis | Contracted Services | \$ - | | \$ - | \$ - | | \$ - | \$ - | | \$ - | \$ - | | \$ - | \$ - | | \$ - | |
| Hardware purchases not included in data center services. | Hardware | OCO | \$ - | | \$ - | \$ - | | \$ - | \$ - | | \$ - | \$ - | | \$ - | \$ - | | \$ - | |
| Commercial software purchases and licensing costs. | Commercial Software | Contracted Services | \$ - | | \$ 1,577,160 | \$ - | | \$ 791,000 | \$ - | | \$ 791,000 | \$ - | | \$ 791,000 | \$ - | | \$ 3,950,160 | |
| Professional services with fixed-price costs (i.e. software development, installation, project documentation) | Project Deliverables | Contracted Services | \$ - | | \$ - | \$ - | | \$ - | \$ - | | \$ - | \$ - | | \$ - | \$ - | | \$ - | |
| All first-time training costs associated with the project. | Training | Contracted Services | \$ - | | \$ - | \$ - | | \$ - | \$ - | | \$ - | \$ - | | \$ - | \$ - | | \$ - | |
| Include the quote received from the data center provider for project equipment and services. Only include one-time project costs in this row. Recurring, project-related data center costs are included in CBA Form 1A. | Data Center Services - One Time Costs | Data Center Category | \$ - | | \$ - | \$ - | | \$ - | \$ - | | \$ - | \$ - | | \$ - | \$ - | | \$ - | |
| Other contracted services not included in other categories. | Other Services | Contracted Services | \$ - | | \$ - | \$ - | | \$ - | \$ - | | \$ - | \$ - | | \$ - | \$ - | | \$ - | |
| Include costs for non-state data center equipment required by the project and the proposed solution (insert additional rows as needed for detail) | Equipment | Expense | \$ - | | \$ - | \$ - | | \$ - | \$ - | | \$ - | \$ - | | \$ - | \$ - | | \$ - | |
| Include costs associated with leasing space for project personnel. | Leased Space | Expense | \$ - | | \$ - | \$ - | | \$ - | \$ - | | \$ - | \$ - | | \$ - | \$ - | | \$ - | |
| Other project expenses not included in other categories. | Other Expenses | Expense | \$ - | | \$ - | \$ - | | \$ - | \$ - | | \$ - | \$ - | | \$ - | \$ - | | \$ - | |
| Total | | | \$ - | 0.00 | \$ 1,577,160 | \$ - | 0.00 | \$ 791,000 | \$ - | 0.00 | \$ 791,000 | \$ - | 0.00 | \$ 791,000 | \$ - | 0.00 | \$ - | \$ 3,950,160 |

CBAForm 2 - Project Cost Analysis

| | | | |
|--------|---|---------|---|
| Agency | <u>Florida Department of Transportation</u> | Project | <u>Enterprise Electronic Document Management Initiative</u> |
|--------|---|---------|---|

| 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 (*) | \$1,577,160 | \$791,000 | \$791,000 | \$791,000 | \$0 | \$3,950,160 |
| CUMULATIVE PROJECT COSTS <i>(includes Current & Previous Years' Project-Related Costs)</i> | \$1,577,160 | \$2,368,160 | \$3,159,160 | \$3,950,160 | \$3,950,160 | |

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 | \$0 | \$0 | \$0 | \$0 | \$0 |
| Trust Fund | \$1,577,160 | \$791,000 | \$791,000 | \$791,000 | \$0 | \$3,950,160 |
| Federal Match <input type="checkbox"/> | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| Grants <input type="checkbox"/> | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| Other <input type="checkbox"/> Specify | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| TOTAL INVESTMENT | \$1,577,160 | \$791,000 | \$791,000 | \$791,000 | \$0 | \$3,950,160 |
| CUMULATIVE INVESTMENT | \$1,577,160 | \$2,368,160 | \$3,159,160 | \$3,950,160 | \$3,950,160 | |

| 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

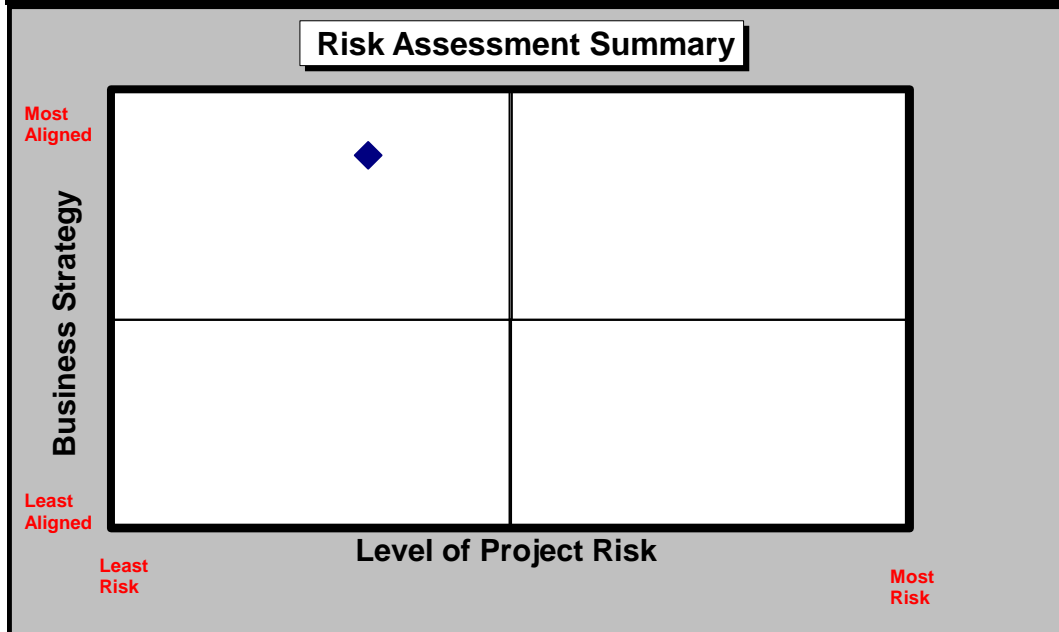
| | | | |
|--------|---|---------|--|
| Agency | <u>Florida Department of Transportation</u> | Project | <u>Enterprise Electronic Management Initiative</u> |
|--------|---|---------|--|

| 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 | \$1,577,160 | \$791,000 | \$791,000 | \$791,000 | \$0 | \$3,950,160 |
| Net Tangible Benefits | \$2,560,744 | \$6,249,640 | \$9,935,536 | \$13,621,432 | \$13,621,432 | \$45,988,784 |
| Return on Investment | \$983,584 | \$5,458,640 | \$9,144,536 | \$12,830,432 | \$13,621,432 | \$42,038,624 |
| Year to Year Change in Program Staffing | 0 | 0 | 0 | 0 | 0 | |

| RETURN ON INVESTMENT ANALYSIS -- CBAForm 3B | | |
|--|--------------|---|
| Payback Period (years) | N/A | Payback Period is the time required to recover the investment costs of the project. |
| Breakeven Fiscal Year | 2019-20 | Fiscal Year during which the project's investment costs are recovered. |
| Net Present Value (NPV) | \$36,112,035 | 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% |

| | | |
|--|---|------------------------------------|
| Project | <i>EDMS Enterprise Initiative</i> | |
| Agency | <i>Florida Department of Transportation</i> | |
| FY 2019-20 LBR Issue Code: | <i>36347CO</i> | FY 2019-20 LBR Issue Title: |
| | | <i>EDMS Enterprise Initiative</i> |
| Risk Assessment Contact Info (Name, Phone #, and E-mail Address): | | |
| <i>John Mallette, (850) 410-5554, John.Mallette@dot.state.fl.us</i> | | |
| Executive Sponsor | <i>Shannon Schuessler</i> | |
| Project Manager | <i>John Mallette</i> | |
| Prepared By | <i>John Mallette</i> | |



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

Agency: Florida Department of Transportation

Project: EDMS Enterprise Initiative

| Section 1 -- Strategic Area | | | |
|-----------------------------|---|--|--|
| # | Criteria | Values | Answer |
| 1.01 | Are project objectives clearly aligned with the agency's legal mission? | 0% to 40% -- Few or no objectives aligned | 81% to 100% -- All or nearly all objectives aligned |
| | | 41% to 80% -- Some objectives aligned | |
| | | 81% to 100% -- All or nearly all objectives aligned | |
| 1.02 | Are project objectives clearly documented and understood by all stakeholder groups? | Not documented or agreed to by stakeholders | 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 completely documented |
| | | Vision is partially documented | |
| | | Vision is completely documented | |
| 1.05 | Have all project business/program area requirements, assumptions, constraints, and priorities been defined and documented? | 0% to 40% -- Few or none defined and documented | 81% to 100% -- All or nearly all defined and documented |
| | | 41% to 80% -- Some defined and documented | |
| | | 81% to 100% -- All or nearly all defined and documented | |
| 1.06 | Are all needed changes in law, rule, or policy identified and documented? | No changes needed | No changes needed |
| | | Changes unknown | |
| | | Changes are identified in concept only | |
| | | Changes are identified and documented | |
| | | Legislation or proposed rule change is drafted | |
| 1.07 | Are any project phase or milestone completion dates fixed by outside factors, e.g., state or federal law or funding restrictions? | Few or none | Some |
| | | Some | |
| | | All or nearly all | |
| 1.08 | What is the external (e.g. public) visibility of the proposed system or project? | Minimal or no external use or visibility | Minimal or no external use or visibility |
| | | Moderate external use or visibility | |
| | | Extensive external use or visibility | |
| 1.09 | What is the internal (e.g. state agency) visibility of the proposed system or project? | Multiple agency or state enterprise visibility | Single agency-wide use or visibility |
| | | Single agency-wide use or visibility | |
| | | Use or visibility at division and/or bureau level only | |
| 1.10 | Is this a multi-year project? | Greater than 5 years | Between 3 and 5 years |
| | | Between 3 and 5 years | |
| | | Between 1 and 3 years | |
| | | 1 year or less | |

Agency: Florida Department of Transportation

Project: EDMS Enterprise Initiative

| 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 for implementation and operations |
| | | External technical resources will be needed through implementation only | |
| | | Internal resources have sufficient knowledge for implementation and operations | |
| 2.03 | Have all relevant technical alternatives/solution options been researched, documented and considered? | No technology alternatives researched | All or nearly all alternatives documented and considered |
| | | Some alternatives documented and considered | |
| | | All or nearly all alternatives documented and considered | |
| 2.04 | Does the proposed technical solution comply with all relevant agency, statewide, or industry technology standards? | No relevant standards have been identified or incorporated into proposed technology | Proposed technology solution is fully compliant with all relevant agency, statewide, or industry standards |
| | | Some relevant standards have been incorporated into the proposed technology | |
| | | Proposed technology solution is fully compliant with all relevant agency, statewide, or industry standards | |
| 2.05 | Does the proposed technical solution require significant change to the agency's existing technology infrastructure? | Minor or no infrastructure change required | 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 | |

Agency: Florida Department of Transportation

Project: EDMS Enterprise Initiative

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

Agency: Agency Name

Project: Project Name

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

Agency: Florida Department of Transportation

Project: EDMS Enterprise Initiative

| Section 5 -- Fiscal Area | | | |
|--------------------------|--|---|--|
| # | Criteria | Values | Answer |
| 5.01 | Has a documented Spending Plan been approved for the entire project lifecycle? | Yes No | Yes |
| 5.02 | Have all project expenditures been identified in the Spending Plan? | 0% to 40% -- None or few defined and documented 41% to 80% -- Some defined and documented 81% to 100% -- All or nearly all defined and documented | 41% to 80% -- Some defined and documented |
| 5.03 | What is the estimated total cost of this project over its entire lifecycle? | Unknown Greater than \$10 M Between \$2 M and \$10 M Between \$500K and \$1,999,999 Less than \$500 K | Between \$2 M and \$10 M |
| 5.04 | Is the cost estimate for this project based on quantitative analysis using a standards-based estimation model? | Yes No | Yes |
| 5.05 | What is the character of the cost estimates for this project? | Detailed and rigorous (accurate within ±10%) Order of magnitude – estimate could vary between 10-100% Placeholder – actual cost may exceed estimate by more than 100% | Detailed and rigorous (accurate within ±10%) |
| 5.06 | Are funds available within existing agency resources to complete this project? | Yes No | No |
| 5.07 | Will/should multiple state or local agencies help fund this project or system? | Funding from single agency Funding from local government agencies Funding from other state agencies | Funding from single agency |
| 5.08 | If federal financial participation is anticipated as a source of funding, has federal approval been requested and received? | Neither requested nor received Requested but not received Requested and received Not applicable | 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 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 | All or nearly all project benefits have been identified and validated |
| 5.10 | What is the benefit payback period that is defined and documented? | Within 1 year Within 3 years Within 5 years More than 5 years No payback | Within 3 years |
| 5.11 | Has the project procurement strategy been clearly determined and agreed to by affected stakeholders? | Procurement strategy has not been identified and documented Stakeholders have not been consulted re: procurement strategy Stakeholders have reviewed and approved the proposed procurement strategy | Stakeholders have reviewed and approved the proposed procurement strategy |
| 5.12 | What is the planned approach for acquiring necessary products and solution services to successfully complete the project? | Time and Expense (T&E) Firm Fixed Price (FFP) Combination FFP and T&E | Combination FFP and T&E |
| 5.13 | What is the planned approach for procuring hardware and software for the project? | Timing of major hardware and software purchases has not yet been determined Purchase all hardware and software at start of project to take advantage of one-time discounts Just-in-time purchasing of hardware and software is documented in the project schedule | Purchase all hardware and software at start of project to take advantage of one-time discounts |
| 5.14 | Has a contract manager been assigned to this project? | No contract manager assigned Contract manager is the procurement manager Contract manager is the project manager Contract manager assigned is not the procurement manager or the project manager | Contract manager assigned is not the procurement manager or the project manager |
| 5.15 | Has equipment leasing been considered for the project's large-scale computing purchases? | Yes No | Yes |
| 5.16 | Have all procurement selection criteria and outcomes been clearly identified? | No selection criteria or outcomes have been identified Some selection criteria and outcomes have been defined and documented All or nearly all selection criteria and expected outcomes have been defined and documented | All or nearly all selection criteria and expected outcomes have been defined and documented |
| 5.17 | Does the procurement strategy use a multi-stage evaluation process to progressively narrow the field of prospective vendors to the single, best qualified candidate? | Procurement strategy has not been developed Multi-stage evaluation not planned/used for procurement Multi-stage evaluation and proof of concept or prototype planned/used to select best qualified vendor | Multi-stage evaluation not planned/used for procurement |
| 5.18 | For projects with total cost exceeding \$10 million, did/will the procurement strategy require a proof of concept or prototype as part of the bid response? | Procurement strategy has not been developed No, bid response did/will not require proof of concept or prototype Yes, bid response did/will include proof of concept or prototype Not applicable | Not applicable |

Agency: Florida Department of Transportation

Project: EDMS Enterprise Initiative

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

Agency: Florida Department of Transportation

Project: EDMS Enterprise Initiative

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

Agency: Florida Department of Transportation

Project: EDMS Enterprise Initiative

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

SCHEDULE VI: DETAIL OF DEBT SERVICE

Department: 55 Transportation
Budget Entities: 55100100 - Transportation Systems Development
 55150200 - Highway Operations

Budget Period 2019 - 2020

| (1) | (2) | (3) | (4) |
|--------------------------------|---------------------|---------------------|---------------------|
| | ACTUAL | ESTIMATED | REQUEST |
| SECTION I | FY 2017-2018 | FY 2018-2019 | FY 2019-2020 |
| Interest on Debt (A) | 84,228,924 | 107,182,272 | 149,141,531 |
| Principal (B) | 93,115,000 | 120,285,000 | 147,570,000 |
| Repayment of Loans (C) | 0 | 0 | 0 |
| Fiscal Agent or Other Fees (D) | 208,763 | 264,133 | 332,063 |
| Other Debt Service (E) | (9,278) | 0 | 0 |
| Total Debt Service (F) | 177,543,409 | 227,731,405 | 297,043,594 |

Explanation:

Total combined debt service (outstanding and proposed) for: Alligator Alley, ROW Acquisition and Bridge Construction, Seaport, Transportation Financing Corporation, GARVEE, State Infrastructure Bank, and Sunshine Skyway.

SECTION II

Note: Does not include interest credited from Debt Service Reserve Account.

(1) ISSUE:

| (2) | (3) | (4) | (5) | (6) |
|--------------------------------|----------------------|---------------------|----------------------|----------------------|
| INTEREST RATE | MATURITY DATE | ISSUE AMOUNT | June 30, 2019 | June 30, 2020 |
| | | | | |
| | | (7) | (8) | (9) |
| | | ACTUAL | ESTIMATED | REQUEST |
| | | FY 2017-2018 | FY 2018-2019 | FY 2019-2020 |
| Interest on Debt (G) | | 0 | 0 | 0 |
| Principal (H) | | 0 | 0 | 0 |
| Fiscal Agent or Other Fees (I) | | 0 | 0 | 0 |
| Other (J) | | 0 | 0 | 0 |
| Total Debt Service (K) | | 0 | 0 | 0 |

(1) ISSUE:

| (2) | (3) | (4) | (5) | (6) |
|--------------------------------|----------------------|---------------------|----------------------|----------------------|
| INTEREST RATE | MATURITY DATE | ISSUE AMOUNT | June 30, 2019 | June 30, 2020 |
| | | | | |
| | | (7) | (8) | (9) |
| | | ACTUAL | ESTIMATED | REQUEST |
| | | FY 2017-2018 | FY 2018-2019 | FY 2019-2020 |
| Interest on Debt (G) | | 0 | 0 | 0 |
| Principal (H) | | 0 | 0 | 0 |
| Fiscal Agent or Other Fees (I) | | 0 | 0 | 0 |
| Other (J) | | 0 | 0 | 0 |
| Total Debt Service (K) | | 0 | 0 | 0 |

SCHEDULE VI: DETAIL OF DEBT SERVICE

Department: 55 Transportation
Budget Entity: 55100100 - Transportation Systems Development

Budget Period 2019 - 2020

| (1) <u>SECTION I</u> | (2) ACTUAL FY 2017-2018 | (3) ESTIMATED FY 2018-2019 | (4) REQUEST FY 2019-2020 |
|--------------------------------|-------------------------------|----------------------------------|--------------------------------|
| Interest on Debt (A) | 1,030,691 | 993,500 | 903,250 |
| Principal (B) | 1,765,000 | 1,805,000 | 1,895,000 |
| Repayment of Loans (C) | 0 | 0 | 0 |
| Fiscal Agent or Other Fees (D) | 2,205 | 1,987 | 1,807 |
| Other Debt Service (E) | 0 | 0 | 0 |
| Total Debt Service (F) | 2,797,897 | 2,800,487 | 2,800,057 |

Explanation: Combined total debt service for outstanding and proposed Alligator Alley Revenue Bonds.

SECTION II

(1) **ISSUE:** _____

| (2) INTEREST RATE | (3) MATURITY DATE | (4) ISSUE AMOUNT | (5) June 30, 2019 | (6) June 30, 2020 |
|----------------------|----------------------|-------------------------------|----------------------------------|--------------------------------|
| | | (7) ACTUAL FY 2017-2018 | (8) ESTIMATED FY 2018-2019 | (9) REQUEST FY 2019-2020 |
| | | 0 | 0 | 0 |
| | | 0 | 0 | 0 |
| | | 0 | 0 | 0 |
| | | 0 | 0 | 0 |
| | | 0 | 0 | 0 |

(1) **ISSUE:** _____

| INTEREST RATE | MATURITY DATE | ISSUE AMOUNT | June 30, 2019 | June 30, 2020 |
|---------------|---------------|------------------------|---------------------------|-------------------------|
| | | ACTUAL FY 2017-2018 | ESTIMATED FY 2018-2019 | REQUEST FY 2019-2020 |
| | | 0 | 0 | 0 |
| | | 0 | 0 | 0 |
| | | 0 | 0 | 0 |
| | | 0 | 0 | 0 |
| | | 0 | 0 | 0 |

SCHEDULE VI: DETAIL OF DEBT SERVICE

Department: 55 Transportation
Budget Entity: 55100100 - Transportation Systems Development

Budget Period 2019 - 2020

| (1) | (2) | (3) | (4) |
|--------------------------------|--------------------------------|-----------------------------------|---------------------------------|
| SECTION I | ACTUAL FY 2017-2018 | ESTIMATED FY 2018-2019 | REQUEST FY 2019-2020 |
| Interest on Debt (A) | 1,030,691 | 993,500 | 903,250 |
| Principal (B) | 1,765,000 | 1,805,000 | 1,895,000 |
| Repayment of Loans (C) | 0 | 0 | 0 |
| Fiscal Agent or Other Fees (D) | 2,205 | 1,987 | 1,807 |
| Other Debt Service (E) | 0 | 0 | 0 |
| Total Debt Service (F) | 2,797,897 | 2,800,487 | 2,800,057 |

Explanation: Total debt service requirements for outstanding Alligator Alley Revenue Bonds, pursuant to s. 215.57-215.83, F.S., s. 338.165(3), F.S., and s. 11(d), Article VII of the Florida Constitution.

SECTION II

(1) **ISSUE:** _____

| (2) | (3) | (4) | (5) | (6) |
|--------------------------------|----------------------|--------------------------------|-----------------------------------|---------------------------------|
| INTEREST RATE | MATURITY DATE | ISSUE AMOUNT | June 30, 2019 | June 30, 2020 |
| | | | | |
| | | (7) | (8) | (9) |
| | | ACTUAL FY 2017-2018 | ESTIMATED FY 2018-2019 | REQUEST FY 2019-2020 |
| Interest on Debt (G) | | 0 | 0 | 0 |
| Principal (H) | | 0 | 0 | 0 |
| Fiscal Agent or Other Fees (I) | | 0 | 0 | 0 |
| Other (J) | | 0 | 0 | 0 |
| Total Debt Service (K) | | 0 | 0 | 0 |

(1) **ISSUE:** _____

| (2) | (3) | (4) | (5) | (6) |
|--------------------------------|----------------------|--------------------------------|-----------------------------------|---------------------------------|
| INTEREST RATE | MATURITY DATE | ISSUE AMOUNT | June 30, 2019 | June 30, 2020 |
| | | | | |
| | | (7) | (8) | (9) |
| | | ACTUAL FY 2017-2018 | ESTIMATED FY 2018-2019 | REQUEST FY 2019-2020 |
| Interest on Debt (G) | | 0 | 0 | 0 |
| Principal (H) | | 0 | 0 | 0 |
| Fiscal Agent or Other Fees (I) | | 0 | 0 | 0 |
| Other (J) | | 0 | 0 | 0 |
| Total Debt Service (K) | | 0 | 0 | 0 |

SCHEDULE VI: DETAIL OF DEBT SERVICE

Department: 55 Transportation
Budget Entity: 55100100 - Transportation Systems Development

Budget Period 2019 - 2020

| (1) | (2) | (3) | (4) |
|--------------------------------|--------------------------------|-----------------------------------|---------------------------------|
| SECTION I | ACTUAL FY 2017-2018 | ESTIMATED FY 2018-2019 | REQUEST FY 2019-2020 |
| Interest on Debt (A) | 0 | 0 | 0 |
| Principal (B) | 0 | 0 | 0 |
| Repayment of Loans (C) | 0 | 0 | 0 |
| Fiscal Agent or Other Fees (D) | 0 | 0 | 0 |
| Other Debt Service (E) | 0 | 0 | 0 |
| Total Debt Service (F) | 0 | 0 | 0 |

Explanation: No proposed issuances for Alligator Alley Revenue Bonds.

SECTION II

(1) **ISSUE:** _____

| (2) | (3) | (4) | (5) | (6) |
|--------------------------------|-----------------------------------|---------------------------------|----------------------|----------------------|
| INTEREST RATE | MATURITY DATE | ISSUE AMOUNT | June 30, 2019 | June 30, 2020 |
| | | | | |
| (7) | (8) | (9) | | |
| ACTUAL FY 2017-2018 | ESTIMATED FY 2018-2019 | REQUEST FY 2019-2020 | | |
| Interest on Debt (G) | 0 | 0 | 0 | 0 |
| Principal (H) | 0 | 0 | 0 | 0 |
| Fiscal Agent or Other Fees (I) | 0 | 0 | 0 | 0 |
| Other (J) | 0 | 0 | 0 | 0 |
| Total Debt Service (K) | 0 | 0 | 0 | 0 |

(1) **ISSUE:** _____

| (2) | (3) | (4) | (5) | (6) |
|--------------------------------|-----------------------------------|---------------------------------|----------------------|----------------------|
| INTEREST RATE | MATURITY DATE | ISSUE AMOUNT | June 30, 2019 | June 30, 2020 |
| | | | | |
| (7) | (8) | (9) | | |
| ACTUAL FY 2017-2018 | ESTIMATED FY 2018-2019 | REQUEST FY 2019-2020 | | |
| Interest on Debt (G) | 0 | 0 | 0 | 0 |
| Principal (H) | 0 | 0 | 0 | 0 |
| Fiscal Agent or Other Fees (I) | 0 | 0 | 0 | 0 |
| Other (J) | 0 | 0 | 0 | 0 |
| Total Debt Service (K) | 0 | 0 | 0 | 0 |

SCHEDULE VI: DETAIL OF DEBT SERVICE

Department: 55 Transportation
Budget Entity: 55100100 - Transportation Systems Development

Budget Period 2019 - 2020

| (1) | (2) | (3) | (4) |
|----------------------------|------------------------|---------------------|---------------------|
| | ACTUAL | ESTIMATED | REQUEST |
| SECTION I | FY 2017-2018 | FY 2018-2019 | FY 2019-2020 |
| Interest on Debt | (A) 75,524,076 | 90,061,956 | 104,967,325 |
| Principal | (B) 80,705,000 | 95,305,000 | 102,235,000 |
| Repayment of Loans | (C) 0 | 0 | 0 |
| Fiscal Agent or Other Fees | (D) 186,131 | 215,458 | 238,214 |
| Other Debt Service | (E) 0 | 0 | 0 |
| Total Debt Service | (F) 156,415,207 | 185,582,414 | 207,440,539 |

Explanation: Combined total debt service for outstanding and proposed Right-of-Way Acquisition and Bridge Construction bonds.

SECTION II

(1) ISSUE:

| (2) | (3) | (4) | (5) | (6) |
|----------------------------|----------------------|---------------------|----------------------|----------------------|
| INTEREST RATE | MATURITY DATE | ISSUE AMOUNT | June 30, 2019 | June 30, 2020 |
| | | | | |
| | | (7) | (8) | (9) |
| | | ACTUAL | ESTIMATED | REQUEST |
| | | FY 2017-2018 | FY 2018-2019 | FY 2019-2020 |
| Interest on Debt | | (G) 0 | 0 | 0 |
| Principal | | (H) 0 | 0 | 0 |
| Fiscal Agent or Other Fees | | (I) 0 | 0 | 0 |
| Other | | (J) 0 | 0 | 0 |
| Total Debt Service | | (K) 0 | 0 | 0 |

(1) ISSUE:

| (2) | (3) | (4) | (5) | (6) |
|----------------------------|----------------------|---------------------|----------------------|----------------------|
| INTEREST RATE | MATURITY DATE | ISSUE AMOUNT | June 30, 2019 | June 30, 2020 |
| | | | | |
| | | (7) | (8) | (9) |
| | | ACTUAL | ESTIMATED | REQUEST |
| | | FY 2017-2018 | FY 2018-2019 | FY 2019-2020 |
| Interest on Debt | | (G) 0 | 0 | 0 |
| Principal | | (H) 0 | 0 | 0 |
| Fiscal Agent or Other Fees | | (I) 0 | 0 | 0 |
| Other | | (J) 0 | 0 | 0 |
| Total Debt Service | | (K) 0 | 0 | 0 |

SCHEDULE VI: DETAIL OF DEBT SERVICE

Department: 55 Transportation
Budget Entity: 55100100 - Transportation Systems Development

Budget Period 2019 - 2020

| (1) | (2) | (3) | (4) |
|----------------------------|--------------------------------|-----------------------------------|---------------------------------|
| SECTION I | ACTUAL FY 2017-2018 | ESTIMATED FY 2018-2019 | REQUEST FY 2019-2020 |
| Interest on Debt | (A) 75,524,076 | 86,778,706 | 82,510,575 |
| Principal | (B) 80,705,000 | 90,250,000 | 95,350,000 |
| Repayment of Loans | (C) 0 | 0 | 0 |
| Fiscal Agent or Other Fees | (D) 186,131 | 202,325 | 193,300 |
| Other Debt Service | (E) 0 | 0 | 0 |
| Total Debt Service | (F) 156,415,207 | 177,231,031 | 178,053,875 |

Explanation: Total debt service requirements for outstanding Right-of-Way Acquisition and Bridge Construction bonds.

SECTION II

(1) ISSUE:

| (2) | (3) | (4) | (5) | (6) |
|----------------------------|----------------------|--------------------------------|-----------------------------------|---------------------------------|
| INTEREST RATE | MATURITY DATE | ISSUE AMOUNT | June 30, 2019 | June 30, 2020 |
| | | | | |
| | | (7) | (8) | (9) |
| | | ACTUAL FY 2017-2018 | ESTIMATED FY 2018-2019 | REQUEST FY 2019-2020 |
| Interest on Debt | | (G) 0 | 0 | 0 |
| Principal | | (H) 0 | 0 | 0 |
| Fiscal Agent or Other Fees | | (I) 0 | 0 | 0 |
| Other | | (J) 0 | 0 | 0 |
| Total Debt Service | | (K) 0 | 0 | 0 |

(1) ISSUE:

| INTEREST RATE | MATURITY DATE | ISSUE AMOUNT | June 30, 2019 | June 30, 2020 |
|----------------------------|----------------------|--------------------------------|-----------------------------------|---------------------------------|
| | | | | |
| | | ACTUAL FY 2017-2018 | ESTIMATED FY 2018-2019 | REQUEST FY 2019-2020 |
| Interest on Debt | | (G) 0 | 0 | 0 |
| Principal | | (H) 0 | 0 | 0 |
| Fiscal Agent or Other Fees | | (I) 0 | 0 | 0 |
| Other | | (J) 0 | 0 | 0 |
| Total Debt Service | | (K) 0 | 0 | 0 |

SCHEDULE VI: DETAIL OF DEBT SERVICE

Department: 55 Transportation
Budget Entity: 55100100 - Transportation Systems Development

Budget Period 2019 - 2020

| (1) | (2) | (3) | (4) |
|----------------------------|---------------------|---------------------|---------------------|
| | ACTUAL | ESTIMATED | REQUEST |
| SECTION I | FY 2017-2018 | FY 2018-2019 | FY 2019-2020 |
| Interest on Debt | (A) 0 | 3,283,250 | 22,456,750 |
| Principal | (B) 0 | 5,055,000 | 6,885,000 |
| Repayment of Loans | (C) 0 | 0 | 0 |
| Fiscal Agent or Other Fees | (D) 0 | 13,133 | 44,914 |
| Other Debt Service | (E) 0 | 0 | 0 |
| Total Debt Service | (F) 0 | 8,351,383 | 29,386,664 |

Explanation:

Total debt service for proposed Right-of-Way Acquisition and Bridge Construction bond sales.

SECTION II

(1) **ISSUE:** Proposed Right-of-Way and Bridge Construction Bond issuance 1/1/2019

| (2) | (3) | (4) | (5) | (6) |
|----------------------------|----------------------|---------------------|----------------------|----------------------|
| INTEREST RATE | MATURITY DATE | ISSUE AMOUNT | June 30, 2019 | June 30, 2020 |
| 5.000% | 7/1/2048 | 131,330,000 | 126,275,000 | 124,250,000 |
| | | (7) | (8) | (9) |
| | | ACTUAL | ESTIMATED | REQUEST |
| | | FY 2017-2018 | FY 2018-2019 | FY 2019-2020 |
| Interest on Debt | | (G) 0 | 3,283,250 | 6,313,750 |
| Principal | | (H) 0 | 5,055,000 | 2,025,000 |
| Fiscal Agent or Other Fees | | (I) 0 | 13,133 | 12,628 |
| Other | | (J) 0 | 0 | 0 |
| Total Debt Service | | (K) 0 | 8,351,383 | 8,351,378 |

(1) **ISSUE:** Proposed Right-of-Way and Bridge Construction Bond issuance 7/1/2019

| (2) | (3) | (4) | (5) | (6) |
|----------------------------|----------------------|---------------------|----------------------|----------------------|
| INTEREST RATE | MATURITY DATE | ISSUE AMOUNT | June 30, 2019 | June 30, 2020 |
| 5.000% | 7/1/2049 | 322,860,000 | 0 | 318,000,000 |
| | | (7) | (8) | (9) |
| | | ACTUAL | ESTIMATED | REQUEST |
| | | FY 2017-2018 | FY 2018-2019 | FY 2019-2020 |
| Interest on Debt | | (G) 0 | 0 | 16,143,000 |
| Principal | | (H) 0 | 0 | 4,860,000 |
| Fiscal Agent or Other Fees | | (I) 0 | 0 | 32,286 |
| Other | | (J) 0 | 0 | 0 |
| Total Debt Service | | (K) 0 | 0 | 21,035,286 |

TRUTH-IN-BONDING WORKSHEET

1. A listing of the purpose of the debt or obligation: Right-of-Way Acquisition and Bridge Construction, pursuant to Section 337.276, Florida Statutes.
2. The source of repayment of the debt or obligation: Funded from monies transferred from the State Transportation Trust Fund, pursuant to Section 206.46(2) and 215.605(2), Florida Statutes.
3. The principal amount of the debt or obligation: \$322,860,000
4. The interest rate on the debt or obligation (per EEC): 5.000%
5. A schedule of annual debt service payments (attached)
6. The method of sale of the debt or obligation, as determined by the Governing Board of the Division of Bond Finance.
7. The costs of issuance of the debt or obligation, including a detailed listing of the amounts of the major costs of issuance:

| | |
|-------------------------|-------------|
| Underwriter Discount | \$2,582,880 |
| Rating Agency Fees | \$75,000 |
| Other Costs of Issuance | \$200,000 |

TRUTH-IN-BONDING STATEMENT

The State of Florida is proposing to issue \$322,860,000 of debt or obligation for the purpose of the Right-of-Way Acquisition and Bridge Construction, pursuant to Section 337.276, Florida Statutes.

This debt or obligation is expected to be repaid over a period of 30 years. At a forecasted interest rate of 5.000%, total interest paid over the life of the debt or obligation will be \$307,217,000.

The proposed issuance date is 7/1/2019.

SBA - FDOT
 ROW 320MM 07012019

Dated: 07/01/2019
 Delivered: 07/01/2019

Sizing Debt Service Schedule
 \$322,860,000.00

| Fiscal Yr | Coupon Date | Zer Cpn | Cpn Rate | Maturing Principal | Periodic Interest | Gross Semi-Annl Dbt Svc | Cap Int | Dbt Svc Rsv Int & Prin | Constr. Fund Interest | Net Semi-Annl Dbt Svc | Net Fiscal Dbt Svc |
|-----------|-------------|---------|----------|-----------------------|-----------------------|-------------------------|-------------|------------------------|-----------------------|-----------------------|--------------------|
| 47 | 1/1/2047 | | | | 1,429,875.00 | 1,429,875.00 | | | | 1,429,875.00 | |
| 47 | 7/1/2047 | N | 5.000 | 18,145,000.00 | 1,429,875.00 | 19,574,875.00 | | | | 19,574,875.00 | 21,004,750.00 |
| 48 | 1/1/2048 | | | | 976,250.00 | 976,250.00 | | | | 976,250.00 | |
| 48 | 7/1/2048 | N | 5.000 | 19,050,000.00 | 976,250.00 | 20,026,250.00 | | | | 20,026,250.00 | 21,002,500.00 |
| 49 | 1/1/2049 | | | | 500,000.00 | 500,000.00 | | | | 500,000.00 | |
| 49 | 7/1/2049 | N | 5.000 | 20,000,000.00 | 500,000.00 | 20,500,000.00 | | | | 20,500,000.00 | 21,000,000.00 |
| | | | | 322,860,000.00 | 307,217,000.00 | 630,077,000.00 | 0.00 | 0.00 | 0.00 | 630,077,000.00 | |

| | | | |
|---------------------------------------|------------------|---|------------------|
| <i>True Interest Cost (TIC)</i> | 5.0701288 | <i>Arbitrage Yield Limit (AYL)</i> | 5.0000000 |
| <i>Net Interest Cost (NIC)</i> | 5.0420367 | <i>Arbitrage Net Interest Cost (ANIC)</i> | 5.0000000 |

SBA - FDOT

ROW 320MM 07012019

Sizing Debt Service Schedule

\$322,860,000.00

Dated: 07/01/2019

Delivered: 07/01/2019

| <i>Fiscal Yr</i> | <i>Coupon Date</i> | <i>Zer Cpn</i> | <i>Cpn Rate</i> | <i>Maturing Principal</i> | <i>Periodic Interest</i> | <i>Gross Semi-Annl Dbt Svc</i> | <i>Cap Int</i> | <i>DbtSvcRsv Int & Prin</i> | <i>Constr. Fund Interest</i> | <i>Net Semi-Annl Dbt Svc</i> | <i>Net Fiscal Dbt Svc</i> |
|------------------|--------------------|----------------|-----------------|---------------------------|--------------------------|--------------------------------|----------------|---------------------------------|------------------------------|------------------------------|---------------------------|
| 20 | 1/1/2020 | | | | 8,071,500.00 | 8,071,500.00 | | | | 8,071,500.00 | |
| 20 | 7/1/2020 | N | 5.000 | 4,860,000.00 | 8,071,500.00 | 12,931,500.00 | | | | 12,931,500.00 | 21,003,000.00 |
| 21 | 1/1/2021 | | | | 7,950,000.00 | 7,950,000.00 | | | | 7,950,000.00 | |
| 21 | 7/1/2021 | N | 5.000 | 5,100,000.00 | 7,950,000.00 | 13,050,000.00 | | | | 13,050,000.00 | 21,000,000.00 |
| 22 | 1/1/2022 | | | | 7,822,500.00 | 7,822,500.00 | | | | 7,822,500.00 | |
| 22 | 7/1/2022 | N | 5.000 | 5,360,000.00 | 7,822,500.00 | 13,182,500.00 | | | | 13,182,500.00 | 21,005,000.00 |
| 23 | 1/1/2023 | | | | 7,688,500.00 | 7,688,500.00 | | | | 7,688,500.00 | |
| 23 | 7/1/2023 | N | 5.000 | 5,625,000.00 | 7,688,500.00 | 13,313,500.00 | | | | 13,313,500.00 | 21,002,000.00 |
| 24 | 1/1/2024 | | | | 7,547,875.00 | 7,547,875.00 | | | | 7,547,875.00 | |
| 24 | 7/1/2024 | N | 5.000 | 5,905,000.00 | 7,547,875.00 | 13,452,875.00 | | | | 13,452,875.00 | 21,000,750.00 |
| 25 | 1/1/2025 | | | | 7,400,250.00 | 7,400,250.00 | | | | 7,400,250.00 | |
| 25 | 7/1/2025 | N | 5.000 | 6,200,000.00 | 7,400,250.00 | 13,600,250.00 | | | | 13,600,250.00 | 21,000,500.00 |
| 26 | 1/1/2026 | | | | 7,245,250.00 | 7,245,250.00 | | | | 7,245,250.00 | |
| 26 | 7/1/2026 | N | 5.000 | 6,510,000.00 | 7,245,250.00 | 13,755,250.00 | | | | 13,755,250.00 | 21,000,500.00 |
| 27 | 1/1/2027 | | | | 7,082,500.00 | 7,082,500.00 | | | | 7,082,500.00 | |
| 27 | 7/1/2027 | N | 5.000 | 6,840,000.00 | 7,082,500.00 | 13,922,500.00 | | | | 13,922,500.00 | 21,005,000.00 |
| 28 | 1/1/2028 | | | | 6,911,500.00 | 6,911,500.00 | | | | 6,911,500.00 | |
| 28 | 7/1/2028 | N | 5.000 | 7,180,000.00 | 6,911,500.00 | 14,091,500.00 | | | | 14,091,500.00 | 21,003,000.00 |
| 29 | 1/1/2029 | | | | 6,732,000.00 | 6,732,000.00 | | | | 6,732,000.00 | |
| 29 | 7/1/2029 | N | 5.000 | 7,540,000.00 | 6,732,000.00 | 14,272,000.00 | | | | 14,272,000.00 | 21,004,000.00 |
| 30 | 1/1/2030 | | | | 6,543,500.00 | 6,543,500.00 | | | | 6,543,500.00 | |
| 30 | 7/1/2030 | N | 5.000 | 7,915,000.00 | 6,543,500.00 | 14,458,500.00 | | | | 14,458,500.00 | 21,002,000.00 |
| 31 | 1/1/2031 | | | | 6,345,625.00 | 6,345,625.00 | | | | 6,345,625.00 | |
| 31 | 7/1/2031 | N | 5.000 | 8,310,000.00 | 6,345,625.00 | 14,655,625.00 | | | | 14,655,625.00 | 21,001,250.00 |
| 32 | 1/1/2032 | | | | 6,137,875.00 | 6,137,875.00 | | | | 6,137,875.00 | |
| 32 | 7/1/2032 | N | 5.000 | 8,725,000.00 | 6,137,875.00 | 14,862,875.00 | | | | 14,862,875.00 | 21,000,750.00 |
| 33 | 1/1/2033 | | | | 5,919,750.00 | 5,919,750.00 | | | | 5,919,750.00 | |
| 33 | 7/1/2033 | N | 5.000 | 9,165,000.00 | 5,919,750.00 | 15,084,750.00 | | | | 15,084,750.00 | 21,004,500.00 |
| 34 | 1/1/2034 | | | | 5,690,625.00 | 5,690,625.00 | | | | 5,690,625.00 | |
| 34 | 7/1/2034 | N | 5.000 | 9,620,000.00 | 5,690,625.00 | 15,310,625.00 | | | | 15,310,625.00 | 21,001,250.00 |
| 35 | 1/1/2035 | | | | 5,450,125.00 | 5,450,125.00 | | | | 5,450,125.00 | |
| 35 | 7/1/2035 | N | 5.000 | 10,105,000.00 | 5,450,125.00 | 15,555,125.00 | | | | 15,555,125.00 | 21,005,250.00 |
| 36 | 1/1/2036 | | | | 5,197,500.00 | 5,197,500.00 | | | | 5,197,500.00 | |
| 36 | 7/1/2036 | N | 5.000 | 10,610,000.00 | 5,197,500.00 | 15,807,500.00 | | | | 15,807,500.00 | 21,005,000.00 |
| 37 | 1/1/2037 | | | | 4,932,250.00 | 4,932,250.00 | | | | 4,932,250.00 | |
| 37 | 7/1/2037 | N | 5.000 | 11,140,000.00 | 4,932,250.00 | 16,072,250.00 | | | | 16,072,250.00 | 21,004,500.00 |
| 38 | 1/1/2038 | | | | 4,653,750.00 | 4,653,750.00 | | | | 4,653,750.00 | |
| 38 | 7/1/2038 | N | 5.000 | 11,695,000.00 | 4,653,750.00 | 16,348,750.00 | | | | 16,348,750.00 | 21,002,500.00 |
| 39 | 1/1/2039 | | | | 4,361,375.00 | 4,361,375.00 | | | | 4,361,375.00 | |
| 39 | 7/1/2039 | N | 5.000 | 12,280,000.00 | 4,361,375.00 | 16,641,375.00 | | | | 16,641,375.00 | 21,002,750.00 |
| 40 | 1/1/2040 | | | | 4,054,375.00 | 4,054,375.00 | | | | 4,054,375.00 | |
| 40 | 7/1/2040 | N | 5.000 | 12,895,000.00 | 4,054,375.00 | 16,949,375.00 | | | | 16,949,375.00 | 21,003,750.00 |
| 41 | 1/1/2041 | | | | 3,732,000.00 | 3,732,000.00 | | | | 3,732,000.00 | |
| 41 | 7/1/2041 | N | 5.000 | 13,540,000.00 | 3,732,000.00 | 17,272,000.00 | | | | 17,272,000.00 | 21,004,000.00 |
| 42 | 1/1/2042 | | | | 3,393,500.00 | 3,393,500.00 | | | | 3,393,500.00 | |
| 42 | 7/1/2042 | N | 5.000 | 14,215,000.00 | 3,393,500.00 | 17,608,500.00 | | | | 17,608,500.00 | 21,002,000.00 |
| 43 | 1/1/2043 | | | | 3,038,125.00 | 3,038,125.00 | | | | 3,038,125.00 | |
| 43 | 7/1/2043 | N | 5.000 | 14,925,000.00 | 3,038,125.00 | 17,963,125.00 | | | | 17,963,125.00 | 21,001,250.00 |
| 44 | 1/1/2044 | | | | 2,665,000.00 | 2,665,000.00 | | | | 2,665,000.00 | |
| 44 | 7/1/2044 | N | 5.000 | 15,670,000.00 | 2,665,000.00 | 18,335,000.00 | | | | 18,335,000.00 | 21,000,000.00 |
| 45 | 1/1/2045 | | | | 2,273,250.00 | 2,273,250.00 | | | | 2,273,250.00 | |
| 45 | 7/1/2045 | N | 5.000 | 16,455,000.00 | 2,273,250.00 | 18,728,250.00 | | | | 18,728,250.00 | 21,001,500.00 |
| 46 | 1/1/2046 | | | | 1,861,875.00 | 1,861,875.00 | | | | 1,861,875.00 | |
| 46 | 7/1/2046 | N | 5.000 | 17,280,000.00 | 1,861,875.00 | 19,141,875.00 | | | | 19,141,875.00 | 21,003,750.00 |

Summary of Sizing Inputs

\$322,860,000.00

General Information

1st Month in FY: 1
Denomination: 5000.
Rate scale: 038
Issue type:
Sizing Rule 1: Level debt service - yearly principal payments. You input the gross construction costs (or a draw schedule) and the size of the bond issue is computed to cover the construction draws, reserves, and the various costs of issuance.
-> Proportionally level debt service in stub period.

Dates

07/01/2019-> Dated (bond issue) date
07/01/2019-> Delivery date
01/01/2020-> 1st coupon date
07/01/2020-> First principal payment
07/01/2049-> Last maturity date
No CABS in bond issue

Gross Construction Costs

| | |
|------------------------------|----------------|
| Total project costs | 320,000,000.00 |
| Total prior costs | |
| Net total project costs: | 320,000,000.00 |
| Total number of projects = 0 | |

Restricted Accounts

| | |
|--|----------|
| DSR rule: No debt service reserve fund | |
| No capitalized interest | |
| Restricted yield = 5.000000% | |
| Net deposit to Debt Service Reserve Fund | |
| Net deposit to Contingency Fund | 2,120.00 |

Costs of Issuance

| | |
|---|---------------|
| Underwriter spread: 8.000/\$1,000 | -2,582,880.00 |
| Bond insurance: 0.000% (net of accrued & cap. interest) | |
| Other TIC costs: | 275,000.00 |

ROW 320MM 07012019

Summary of Sizing Calculations

\$322,860,000.00

Sources of Funds

| | |
|------------------------|----------------|
| Par amount of bonds | 322,860,000.00 |
| Original Issue Premium | |
| Accrued Interest | |

Construction Costs

| | |
|---|----------------|
| Costs to complete construction | 320,000,000.00 |
| Prior costs to be paid from bond proceeds | |
| Gross Construction Costs | 320,000,000.00 |

Restricted Funds

| | |
|---|----------|
| Gross capitalized interest | |
| Less: Interest earned on Capitalized Interest Fund @ 5.000% | |
| Net deposit to Capitalized Interest Fund | |
| Net deposit to Debt Service Reserve Fund | |
| Net deposit to Contingency Fund | 2,120.00 |

Costs of Issuance

| | |
|-----------------------------------|---------------|
| Underwriter spread: 8.000/\$1,000 | -2,582,880.00 |
| Bond insurance: 0.000% | |
| Other issuance costs | 275,000.00 |

Calculations

| | |
|------------------------------------|------------------|
| Net Interest Cost (NIC) | 5.0420367 |
| True Interest Cost (TIC) | 5.0701288 |
| All-Inclusive TIC: | 5.0776466 |
| Arbitrage Net Interest Cost (NIC) | 5.0000000 |
| Arbitrage Yield Limit (AYL) | 5.0000000 |
| Total Bond Years (delivery date) | 6,144,340,000.00 |
| Average Bond Years (Delivery date) | 19.03 |
| Level debt service calculation | 21,002,471.41 |

SCHEDULE VI: DETAIL OF DEBT SERVICE

Department: 55 Transportation
Budget Entity: 55100100 - Transportation Systems Development

Budget Period 2019 - 2020

| (1) SECTION I | (2) ACTUAL FY 2017-2018 | (3) ESTIMATED FY 2018-2019 | (4) REQUEST FY 2019-2020 |
|--------------------------------|---------------------------------------|--|--|
| Interest on Debt (A) | 6,098,300 | 5,974,050 | 5,843,800 |
| Principal (B) | 2,485,000 | 2,605,000 | 2,740,000 |
| Repayment of Loans (C) | 0 | 0 | 0 |
| Fiscal Agent or Other Fees (D) | 12,395 | 12,271 | 12,010 |
| Other Debt Service (E) | (9,278) | 0 | 0 |
| Total Debt Service (F) | 8,586,417 | 8,591,321 | 8,595,810 |

Explanation:

**Combined total debt service for outstanding and proposed Seaport Investment Program Revenue Bonds. Credit in Other Debt Service is as quoted by SBA.
 Note: Does not include interest credited from Debt Service Reserve Account.**

SECTION II

(1) **ISSUE:** _____

| (2) INTEREST RATE | (3) MATURITY DATE | (4) ISSUE AMOUNT | (5) June 30, 2019 | (6) June 30, 2020 |
|--------------------------------|-----------------------------|---------------------------------------|--|--|
| | | (7) ACTUAL FY 2017-2018 | (8) ESTIMATED FY 2018-2019 | (9) REQUEST FY 2019-2020 |
| Interest on Debt (G) | | 0 | 0 | 0 |
| Principal (H) | | 0 | 0 | 0 |
| Fiscal Agent or Other Fees (I) | | 0 | 0 | 0 |
| Other (J) | | 0 | 0 | 0 |
| Total Debt Service (K) | | 0 | 0 | 0 |

(1) **ISSUE:** _____

| INTEREST RATE | MATURITY DATE | ISSUE AMOUNT | June 30, 2019 | June 30, 2020 |
|--------------------------------|----------------------|--------------------------------|-----------------------------------|---------------------------------|
| | | ACTUAL FY 2017-2018 | ESTIMATED FY 2018-2019 | REQUEST FY 2019-2020 |
| Interest on Debt (G) | | 0 | 0 | 0 |
| Principal (H) | | 0 | 0 | 0 |
| Fiscal Agent or Other Fees (I) | | 0 | 0 | 0 |
| Other (J) | | 0 | 0 | 0 |
| Total Debt Service (K) | | 0 | 0 | 0 |

SCHEDULE VI: DETAIL OF DEBT SERVICE

Department: 55 Transportation
Budget Entity: 55100100 - Transportation Systems Dev

Budget Period 2019 - 2020

| (1) | (2) | (3) | (4) |
|--------------------------------|------------------------|---------------------------|-------------------------|
| <u>SECTION I</u> | ACTUAL FY 2017-2018 | ESTIMATED FY 2018-2019 | REQUEST FY 2019-2020 |
| Interest on Debt (A) | 6,098,300 | 5,974,050 | 5,843,800 |
| Principal (B) | 2,485,000 | 2,605,000 | 2,740,000 |
| Repayment of Loans (C) | 0 | 0 | 0 |
| Fiscal Agent or Other Fees (D) | 12,395 | 12,271 | 12,010 |
| Other Debt Service (E) | (9,278) | 0 | 0 |
| Total Debt Service (F) | 8,586,417 | 8,591,321 | 8,595,810 |

Explanation: Total debt service requirements for outstanding Seaport Investment Program Revenue Bonds.

SECTION II

(1) **ISSUE:** _____

| (2) | (3) | (4) | (5) | (6) |
|--------------------------------|---------------------------|-------------------------|---------------|---------------|
| INTEREST RATE | MATURITY DATE | ISSUE AMOUNT | June 30, 2019 | June 30, 2020 |
| | | | | |
| (7) | (8) | (9) | | |
| ACTUAL FY 2017-2018 | ESTIMATED FY 2018-2019 | REQUEST FY 2019-2020 | | |
| Interest on Debt (G) | 0 | 0 | 0 | |
| Principal (H) | 0 | 0 | 0 | |
| Fiscal Agent or Other Fees (I) | 0 | 0 | 0 | |
| Other (J) | 0 | 0 | 0 | |
| Total Debt Service (K) | 0 | 0 | 0 | |

(1) **ISSUE:** _____

| (2) | (3) | (4) | (5) | (6) |
|--------------------------------|---------------------------|-------------------------|---------------|---------------|
| INTEREST RATE | MATURITY DATE | ISSUE AMOUNT | June 30, 2019 | June 30, 2020 |
| | | | | |
| (7) | (8) | (9) | | |
| ACTUAL FY 2017-2018 | ESTIMATED FY 2018-2019 | REQUEST FY 2019-2020 | | |
| Interest on Debt (G) | 0 | 0 | 0 | |
| Principal (H) | 0 | 0 | 0 | |
| Fiscal Agent or Other Fees (I) | 0 | 0 | 0 | |
| Other (J) | 0 | 0 | 0 | |
| Total Debt Service (K) | 0 | 0 | 0 | |

SCHEDULE VI: DETAIL OF DEBT SERVICE

Department: 55 Transportation
Budget Entity: 55100100 - Transportation Systems Dev

Budget Period 2019 - 2020

| (1) | (2) | (3) | (4) |
|----------------------------|--------------------------------|-----------------------------------|---------------------------------|
| SECTION I | ACTUAL FY 2017-2018 | ESTIMATED FY 2018-2019 | REQUEST FY 2019-2020 |
| Interest on Debt | (A) 0 | 0 | 0 |
| Principal | (B) 0 | 0 | 0 |
| Repayment of Loans | (C) 0 | 0 | 0 |
| Fiscal Agent or Other Fees | (D) 0 | 0 | 0 |
| Other Debt Service | (E) 0 | 0 | 0 |
| Total Debt Service | (F) 0 | 0 | 0 |

Explanation: No proposed issuances for Seaport Investment Program Revenue Bonds, as authorized by Section 339.0801, F.S.

SECTION II

(1) ISSUE: _____

| (2) | (3) | (4) | (5) | (6) |
|----------------------------|----------------------|--------------------------------|-----------------------------------|---------------------------------|
| INTEREST RATE | MATURITY DATE | ISSUE AMOUNT | June 30, 2019 | June 30, 2020 |
| | | | | |
| | | (7) | (8) | (9) |
| | | ACTUAL FY 2017-2018 | ESTIMATED FY 2018-2019 | REQUEST FY 2019-2020 |
| Interest on Debt | | (G) 0 | 0 | 0 |
| Principal | | (H) 0 | 0 | 0 |
| Fiscal Agent or Other Fees | | (I) 0 | 0 | 0 |
| Other | | (J) 0 | 0 | 0 |
| Total Debt Service | | (K) 0 | 0 | 0 |

(1) ISSUE: _____

| (2) | (3) | (4) | (5) | (6) |
|----------------------------|----------------------|--------------------------------|-----------------------------------|---------------------------------|
| INTEREST RATE | MATURITY DATE | ISSUE AMOUNT | June 30, 2019 | June 30, 2020 |
| | | | | |
| | | ACTUAL FY 2017-2018 | ESTIMATED FY 2018-2019 | REQUEST FY 2019-2020 |
| Interest on Debt | | (G) 0 | 0 | 0 |
| Principal | | (H) 0 | 0 | 0 |
| Fiscal Agent or Other Fees | | (I) 0 | 0 | 0 |
| Other | | (J) 0 | 0 | 0 |
| Total Debt Service | | (K) 0 | 0 | 0 |

SCHEDULE VI: DETAIL OF DEBT SERVICE

Department: 55 Transportation
Budget Entity: 55100100 - Transportation Systems Development

Budget Period 2019 - 2020

| (1) | (2) | (3) | (4) |
|--------------------------------|--------------------------------|-----------------------------------|---------------------------------|
| SECTION I | ACTUAL FY 2017-2018 | ESTIMATED FY 2018-2019 | REQUEST FY 2019-2020 |
| Interest on Debt (A) | 0 | 6,284,785 | 20,201,050 |
| Principal (B) | 0 | 9,205,000 | 18,530,000 |
| Repayment of Loans (C) | 0 | 0 | 0 |
| Fiscal Agent or Other Fees (D) | 0 | 16,401 | 40,700 |
| Other Debt Service (E) | 0 | 0 | 0 |
| Total Debt Service (F) | 0 | 15,506,186 | 38,771,750 |

Explanation:

**Combined total debt service for outstanding and proposed Department of
 Transportation Financing Corporation Revenue Bonds.**

SECTION II

(1) **ISSUE:** _____

| (2) | (3) | (4) | (5) | (6) |
|--------------------------------|----------------------|--------------------------------|-----------------------------------|---------------------------------|
| INTEREST RATE | MATURITY DATE | ISSUE AMOUNT | June 30, 2019 | June 30, 2020 |
| | | | | |
| | | (7) | (8) | (9) |
| | | ACTUAL FY 2017-2018 | ESTIMATED FY 2018-2019 | REQUEST FY 2019-2020 |
| Interest on Debt (G) | | 0 | 0 | 0 |
| Principal (H) | | 0 | 0 | 0 |
| Fiscal Agent or Other Fees (I) | | 0 | 0 | 0 |
| Other (J) | | 0 | 0 | 0 |
| Total Debt Service (K) | | 0 | 0 | 0 |

(1) **ISSUE:** _____

| INTEREST RATE | MATURITY DATE | ISSUE AMOUNT | June 30, 2019 | June 30, 2020 |
|--------------------------------|----------------------|--------------------------------|-----------------------------------|---------------------------------|
| | | | | |
| | | ACTUAL FY 2017-2018 | ESTIMATED FY 2018-2019 | REQUEST FY 2019-2020 |
| Interest on Debt (G) | | 0 | 0 | 0 |
| Principal (H) | | 0 | 0 | 0 |
| Fiscal Agent or Other Fees (I) | | 0 | 0 | 0 |
| Other (J) | | 0 | 0 | 0 |
| Total Debt Service (K) | | 0 | 0 | 0 |

SCHEDULE VI: DETAIL OF DEBT SERVICE

Department: 55 Transportation
Budget Entity: 55100100 - Transportation Systems Development

Budget Period 2019 - 2020

| (1) | (2) | (3) | (4) |
|----------------------------|--------------------------------|-----------------------------------|---------------------------------|
| SECTION I | ACTUAL FY 2017-2018 | ESTIMATED FY 2018-2019 | REQUEST FY 2019-2020 |
| Interest on Debt | (A) 0 | 6,284,785 | 7,591,050 |
| Principal | (B) 0 | 9,205,000 | 7,900,000 |
| Repayment of Loans | (C) 0 | 0 | 0 |
| Fiscal Agent or Other Fees | (D) 0 | 16,401 | 15,480 |
| Other Debt Service | (E) 0 | 0 | 0 |
| Total Debt Service | (F) 0 | 15,506,186 | 15,506,530 |

Explanation:

Total debt service requirements for outstanding Department of Transportation
Financing Corporation Revenue Bonds.

SECTION II

(1) **ISSUE:** _____

| (2) | (3) | (4) | (5) | (6) |
|----------------------------|----------------------|--------------------------------|-----------------------------------|---------------------------------|
| INTEREST RATE | MATURITY DATE | ISSUE AMOUNT | June 30, 2019 | June 30, 2020 |
| | | (7) | (8) | (9) |
| | | ACTUAL FY 2017-2018 | ESTIMATED FY 2018-2019 | REQUEST FY 2019-2020 |
| Interest on Debt | | (G) 0 | 0 | 0 |
| Principal | | (H) 0 | 0 | 0 |
| Fiscal Agent or Other Fees | | (I) 0 | 0 | 0 |
| Other | | (J) 0 | 0 | 0 |
| Total Debt Service | | (K) 0 | 0 | 0 |

(1) **ISSUE:** _____

| (2) | (3) | (4) | (5) | (6) |
|----------------------------|----------------------|--------------------------------|-----------------------------------|---------------------------------|
| INTEREST RATE | MATURITY DATE | ISSUE AMOUNT | June 30, 2019 | June 30, 2020 |
| | | (7) | (8) | (9) |
| | | ACTUAL FY 2017-2018 | ESTIMATED FY 2018-2019 | REQUEST FY 2019-2020 |
| Interest on Debt | | (G) 0 | 0 | 0 |
| Principal | | (H) 0 | 0 | 0 |
| Fiscal Agent or Other Fees | | (I) 0 | 0 | 0 |
| Other | | (J) 0 | 0 | 0 |
| Total Debt Service | | (K) 0 | 0 | 0 |

SCHEDULE VI: DETAIL OF DEBT SERVICE

Department: 55 Transportation
Budget Entity: 55100100 - Transportation Systems Development

Budget Period 2019 - 2020

| (1) | (2) | (3) | (4) |
|--------------------------------|---------------------|---------------------|---------------------|
| | ACTUAL | ESTIMATED | REQUEST |
| SECTION I | FY 2017-2018 | FY 2018-2019 | FY 2019-2020 |
| Interest on Debt (A) | 0 | 0 | 12,610,000 |
| Principal (B) | 0 | 0 | 10,630,000 |
| Repayment of Loans (C) | 0 | 0 | 0 |
| Fiscal Agent or Other Fees (D) | 0 | 0 | 25,220 |
| Other Debt Service (E) | 0 | 0 | 0 |
| Total Debt Service (F) | 0 | 0 | 23,265,220 |

Explanation: Total debt service for proposed Department of Transportation Financing Corporation Revenue Bonds.

SECTION II

(1) **ISSUE:** Proposed Financing Corporation Bond issuance 7/1/2019

| (2) | (3) | (4) | (5) | (6) |
|--------------------------------|----------------------|---------------------|----------------------|----------------------|
| INTEREST RATE | MATURITY DATE | ISSUE AMOUNT | June 30, 2019 | June 30, 2020 |
| 5.000% | 7/1/2033 | 189,905,000 | 0 | 180,215,000 |
| | | (7) | (8) | (9) |
| | | ACTUAL | ESTIMATED | REQUEST |
| | | FY 2017-2018 | FY 2018-2019 | FY 2019-2020 |
| Interest on Debt (G) | | 0 | 0 | 9,495,250 |
| Principal (H) | | 0 | 0 | 9,690,000 |
| Fiscal Agent or Other Fees (I) | | 0 | 0 | 18,991 |
| Other (J) | | 0 | 0 | 0 |
| Total Debt Service (K) | | 0 | 0 | 19,204,241 |

(1) **ISSUE:** Proposed Financing Corporation Bond issuance 7/1/2019

| (2) | (3) | (4) | (5) | (6) |
|--------------------------------|----------------------|---------------------|----------------------|----------------------|
| INTEREST RATE | MATURITY DATE | ISSUE AMOUNT | June 30, 2019 | June 30, 2020 |
| 5.000% | 7/1/2049 | 62,295,000 | 0 | 61,355,000 |
| | | (7) | (8) | (9) |
| | | ACTUAL | ESTIMATED | REQUEST |
| | | FY 2017-2018 | FY 2018-2019 | FY 2019-2020 |
| Interest on Debt (G) | | 0 | 0 | 3,114,750 |
| Principal (H) | | 0 | 0 | 940,000 |
| Fiscal Agent or Other Fees (I) | | 0 | 0 | 6,230 |
| Other (J) | | 0 | 0 | 0 |
| Total Debt Service (K) | | 0 | 0 | 4,060,980 |

TRUTH-IN-BONDING WORKSHEET

1. A listing of the purpose of the debt or obligation: Florida Department of Transportation Financing Corporation as authorized by Chapter 339.0809, Florida Statutes.
2. The source of repayment of the debt or obligation: Amounts available in the State Transportation Trust Fund in accordance with 339.0809(4).
3. The principal amount of the debt or obligation: \$189,905,000
4. The interest rate on the debt or obligation (per EEC): 5.000%
5. A schedule of annual debt service payments (attached)
6. The method of sale of the debt or obligation, as determined by the Governing Board of the Division of Bond Finance.
7. The costs of issuance of the debt or obligation, including a detailed listing of the amounts of the major costs of issuance:

| | |
|-------------------------|-------------|
| Underwriter Discount | \$1,519,240 |
| Rating Agency Fees | \$75,000 |
| Other Costs of Issuance | \$200,000 |

TRUTH-IN-BONDING STATEMENT

The State of Florida is proposing to issue \$189,905,000 of debt or obligation for the purpose of the Florida Department of Transportation Financing Corporation, as authorized by Chapter 339.0809, Florida Statutes.

This debt or obligation is expected to be repaid over a period of 14 years. At a forecasted interest rate of 5.000%, total interest paid over the life of the debt or obligation will be \$78,683,500.

The proposed issuance date is 7/1/2019.

SBA - FDOT

Transportation Financing Corporation Issue A

Sizing Debt Service Schedule

\$189,905,000.00

Dated: 07/01/2019

Delivered: 07/01/2019

| <i>Fiscal Yr</i> | <i>Coupon Date</i> | <i>Zer Cpn</i> | <i>Cpn Rate</i> | <i>Maturing Principal</i> | <i>Periodic Interest</i> | <i>Gross Semi-Annl Dbt Svc</i> | <i>Cap Int</i> | <i>DbtSvcRsv Int & Prin</i> | <i>Constr. Fund Interest</i> | <i>Net Semi-Annl Dbt Svc</i> | <i>Net Fiscal Dbt Svc</i> |
|------------------|--------------------|----------------|-----------------|---------------------------|--------------------------|--------------------------------|----------------|---------------------------------|------------------------------|------------------------------|---------------------------|
| 20 | 1/1/2020 | | | | 4,747,625.00 | 4,747,625.00 | | | | 4,747,625.00 | |
| 20 | 7/1/2020 | N | 5.000 | 9,690,000.00 | 4,747,625.00 | 14,437,625.00 | | | | 14,437,625.00 | 19,185,250.00 |
| 21 | 1/1/2021 | | | | 4,505,375.00 | 4,505,375.00 | | | | 4,505,375.00 | |
| 21 | 7/1/2021 | N | 5.000 | 10,175,000.00 | 4,505,375.00 | 14,680,375.00 | | | | 14,680,375.00 | 19,185,750.00 |
| 22 | 1/1/2022 | | | | 4,251,000.00 | 4,251,000.00 | | | | 4,251,000.00 | |
| 22 | 7/1/2022 | N | 5.000 | 10,685,000.00 | 4,251,000.00 | 14,936,000.00 | | | | 14,936,000.00 | 19,187,000.00 |
| 23 | 1/1/2023 | | | | 3,983,875.00 | 3,983,875.00 | | | | 3,983,875.00 | |
| 23 | 7/1/2023 | N | 5.000 | 11,215,000.00 | 3,983,875.00 | 15,198,875.00 | | | | 15,198,875.00 | 19,182,750.00 |
| 24 | 1/1/2024 | | | | 3,703,500.00 | 3,703,500.00 | | | | 3,703,500.00 | |
| 24 | 7/1/2024 | N | 5.000 | 11,780,000.00 | 3,703,500.00 | 15,483,500.00 | | | | 15,483,500.00 | 19,187,000.00 |
| 25 | 1/1/2025 | | | | 3,409,000.00 | 3,409,000.00 | | | | 3,409,000.00 | |
| 25 | 7/1/2025 | N | 5.000 | 12,365,000.00 | 3,409,000.00 | 15,774,000.00 | | | | 15,774,000.00 | 19,183,000.00 |
| 26 | 1/1/2026 | | | | 3,099,875.00 | 3,099,875.00 | | | | 3,099,875.00 | |
| 26 | 7/1/2026 | N | 5.000 | 12,985,000.00 | 3,099,875.00 | 16,084,875.00 | | | | 16,084,875.00 | 19,184,750.00 |
| 27 | 1/1/2027 | | | | 2,775,250.00 | 2,775,250.00 | | | | 2,775,250.00 | |
| 27 | 7/1/2027 | N | 5.000 | 13,635,000.00 | 2,775,250.00 | 16,410,250.00 | | | | 16,410,250.00 | 19,185,500.00 |
| 28 | 1/1/2028 | | | | 2,434,375.00 | 2,434,375.00 | | | | 2,434,375.00 | |
| 28 | 7/1/2028 | N | 5.000 | 14,315,000.00 | 2,434,375.00 | 16,749,375.00 | | | | 16,749,375.00 | 19,183,750.00 |
| 29 | 1/1/2029 | | | | 2,076,500.00 | 2,076,500.00 | | | | 2,076,500.00 | |
| 29 | 7/1/2029 | N | 5.000 | 15,030,000.00 | 2,076,500.00 | 17,106,500.00 | | | | 17,106,500.00 | 19,183,000.00 |
| 30 | 1/1/2030 | | | | 1,700,750.00 | 1,700,750.00 | | | | 1,700,750.00 | |
| 30 | 7/1/2030 | N | 5.000 | 15,785,000.00 | 1,700,750.00 | 17,485,750.00 | | | | 17,485,750.00 | 19,186,500.00 |
| 31 | 1/1/2031 | | | | 1,306,125.00 | 1,306,125.00 | | | | 1,306,125.00 | |
| 31 | 7/1/2031 | N | 5.000 | 16,575,000.00 | 1,306,125.00 | 17,881,125.00 | | | | 17,881,125.00 | 19,187,250.00 |
| 32 | 1/1/2032 | | | | 891,750.00 | 891,750.00 | | | | 891,750.00 | |
| 32 | 7/1/2032 | N | 5.000 | 17,400,000.00 | 891,750.00 | 18,291,750.00 | | | | 18,291,750.00 | 19,183,500.00 |
| 33 | 1/1/2033 | | | | 456,750.00 | 456,750.00 | | | | 456,750.00 | |
| 33 | 7/1/2033 | N | 5.000 | 18,270,000.00 | 456,750.00 | 18,726,750.00 | | | | 18,726,750.00 | 19,183,500.00 |
| | | | | 189,905,000.00 | 78,683,500.00 | 268,588,500.00 | 0.00 | 0.00 | 0.00 | 268,588,500.00 | |

| | | | |
|---|------------------|---|------------------|
| <i>True Interest Cost (TIC)</i> | 5.1246738 | <i>Arbitrage Yield Limit (AYL)</i> | 5.0000000 |
| <i>Net Interest Cost (NIC)</i> | 5.0965412 | <i>Arbitrage Net Interest Cost (ANIC)</i> | 5.0000000 |

SBA - FDOT Transportation Financing Corporation Issue A

Dated: 07/01/2019
Delivered: 07/01/2019

Summary of Sizing Inputs

\$189,905,000.00

General Information

1st Month in FY: 1
Denomination: 5000.
Rate scale: 038
Issue type:
Sizing Rule 1: Level debt service - yearly principal payments. You input the gross construction costs (or a draw schedule) and the size of the bond issue is computed to cover the construction draws, reserves, and the various costs of issuance.
-> Proportionally level debt service in stub period.

Dates

07/01/2019-> Dated (bond issue) date
07/01/2019-> Delivery date
01/01/2020-> 1st coupon date
07/01/2020-> First principal payment
07/01/2033-> Last maturity date
No CABS in bond issue

Gross Construction Costs

| | |
|------------------------------|----------------|
| Total project costs | 188,108,631.00 |
| Total prior costs | |
| Net total project costs: | 188,108,631.00 |
| Total number of projects = 0 | |

Restricted Accounts

DSR rule: No debt service reserve fund
No capitalized interest
Restricted yield = 5.000000%
Net deposit to Debt Service Reserve Fund
Net deposit to Contingency Fund 2,129.00

Costs of Issuance

| | |
|---|---------------|
| Underwriter spread: 8.000/\$1,000 | -1,519,240.00 |
| Bond insurance: 0.000% (net of accrued & cap. interest) | |
| Other TIC costs: | 275,000.00 |

Transportation Financing Corporation Issue A

Summary of Sizing Calculations

\$189,905,000.00

Sources of Funds

| | |
|------------------------|----------------|
| Par amount of bonds | 189,905,000.00 |
| Original Issue Premium | |
| Accrued Interest | |

Construction Costs

| | |
|---|----------------|
| Costs to complete construction | 188,108,631.00 |
| Prior costs to be paid from bond proceeds | |
| Gross Construction Costs | 188,108,631.00 |

Restricted Funds

| | |
|---|----------|
| Gross capitalized interest | |
| Less: Interest earned on Capitalized Interest Fund @ 5.000% | |
| Net deposit to Capitalized Interest Fund | |
| Net deposit to Debt Service Reserve Fund | |
| Net deposit to Contingency Fund | 2,129.00 |

Costs of Issuance

| | |
|-----------------------------------|---------------|
| Underwriter spread: 8.000/\$1,000 | -1,519,240.00 |
| Bond insurance: 0.000% | |
| Other issuance costs | 275,000.00 |

Calculations

| | |
|------------------------------------|------------------|
| Net Interest Cost (NIC) | 5.0965412 |
| True Interest Cost (TIC) | 5.1246738 |
| All-Inclusive TIC: | 5.1473967 |
| Arbitrage Net Interest Cost (NIC) | 5.0000000 |
| Arbitrage Yield Limit (AYL) | 5.0000000 |
| Total Bond Years (delivery date) | 1,573,670,000.00 |
| Average Bond Years (Delivery date) | 8.29 |
| Level debt service calculation | 19,184,865.61 |

TRUTH-IN-BONDING WORKSHEET

1. A listing of the purpose of the debt or obligation: Florida Department of Transportation Financing Corporation as authorized by Chapter 339.0809, Florida Statutes.
2. The source of repayment of the debt or obligation: Amounts available in the State Transportation Trust Fund in accordance with 339.0809(4).
3. The principal amount of the debt or obligation: \$62,295,000
4. The interest rate on the debt or obligation (per EEC): 5.000%
5. A schedule of annual debt service payments (attached)
6. The method of sale of the debt or obligation, as determined by the Governing Board of the Division of Bond Finance.
7. The costs of issuance of the debt or obligation, including a detailed listing of the amounts of the major costs of issuance:

| | |
|--------------------------------|------------------|
| <u>Underwriter Discount</u> | <u>\$498,360</u> |
| <u>Rating Agency Fees</u> | <u>\$75,000</u> |
| <u>Other Costs of Issuance</u> | <u>\$200,000</u> |

TRUTH-IN-BONDING STATEMENT

The State of Florida is proposing to issue \$62,295,000 of debt or obligation for the purpose of the Florida Department of Transportation Financing Corporation, as authorized by Chapter 339.0809, Florida Statutes.

This debt or obligation is expected to be repaid over a period of 30 years. At a forecasted interest rate of 5.000%, total interest paid over the life of the debt or obligation will be \$59,272,500.

The proposed issuance date is 7/1/2019.

SBA - FDOT
Transportation Financing Corporation Issue B
Sizing Debt Service Schedule
\$62,295,000.00

Dated: 07/01/2019
Delivered: 07/01/2019

| <i>Fiscal Yr</i> | <i>Coupon Date</i> | <i>Zer Cpn</i> | <i>Cpn Rate</i> | <i>Maturing Principal</i> | <i>Periodic Interest</i> | <i>Gross Semi-Annl Dbt Svc</i> | <i>Cap Int</i> | <i>Dbt Svc Rsv Int & Prin</i> | <i>Constr. Fund Interest</i> | <i>Net Semi-Annl Dbt Svc</i> | <i>Net Fiscal Dbt Svc</i> |
|------------------|--------------------|----------------|-----------------|---------------------------|--------------------------|--------------------------------|----------------|-----------------------------------|------------------------------|------------------------------|---------------------------|
| 47 | 1/1/2047 | | | | 275,750.00 | 275,750.00 | | | | 275,750.00 | |
| 47 | 7/1/2047 | N | 5.000 | 3,500,000.00 | 275,750.00 | 3,775,750.00 | | | | 3,775,750.00 | 4,051,500.00 |
| 48 | 1/1/2048 | | | | 188,250.00 | 188,250.00 | | | | 188,250.00 | |
| 48 | 7/1/2048 | N | 5.000 | 3,675,000.00 | 188,250.00 | 3,863,250.00 | | | | 3,863,250.00 | 4,051,500.00 |
| 49 | 1/1/2049 | | | | 96,375.00 | 96,375.00 | | | | 96,375.00 | |
| 49 | 7/1/2049 | N | 5.000 | 3,855,000.00 | 96,375.00 | 3,951,375.00 | | | | 3,951,375.00 | 4,047,750.00 |
| | | | | 62,295,000.00 | 59,272,500.00 | 121,567,500.00 | 0.00 | 0.00 | 0.00 | 121,567,500.00 | |

| | | | |
|---------------------------------------|------------------|---|------------------|
| <i>True Interest Cost (TIC)</i> | 5.0701328 | <i>Arbitrage Yield Limit (AYL)</i> | 5.0000000 |
| <i>Net Interest Cost (NIC)</i> | 5.0420397 | <i>Arbitrage Net Interest Cost (ANIC)</i> | 5.0000000 |

SBA - FDOT

Transportation Financing Corporation Issue B

Sizing Debt Service Schedule

\$62,295,000.00

Dated: 07/01/2019

Delivered: 07/01/2019

| Fiscal Yr | Coupon Date | Zer Cpn | Cpn Rate | Maturing Principal | Periodic Interest | Gross Semi-Annl Dbt Svc | Cap Int | DbtSvcRsv Int & Prin | Constr. Fund Interest | Net Semi-Annl Dbt Svc | Net Fiscal Dbt Svc |
|-----------|-------------|---------|----------|--------------------|-------------------|-------------------------|---------|----------------------|-----------------------|-----------------------|--------------------|
| 20 | 1/1/2020 | | | | 1,557,375.00 | 1,557,375.00 | | | | 1,557,375.00 | |
| 20 | 7/1/2020 | N | 5.000 | 940,000.00 | 1,557,375.00 | 2,497,375.00 | | | | 2,497,375.00 | 4,054,750.00 |
| 21 | 1/1/2021 | | | | 1,533,875.00 | 1,533,875.00 | | | | 1,533,875.00 | |
| 21 | 7/1/2021 | N | 5.000 | 985,000.00 | 1,533,875.00 | 2,518,875.00 | | | | 2,518,875.00 | 4,052,750.00 |
| 22 | 1/1/2022 | | | | 1,509,250.00 | 1,509,250.00 | | | | 1,509,250.00 | |
| 22 | 7/1/2022 | N | 5.000 | 1,035,000.00 | 1,509,250.00 | 2,544,250.00 | | | | 2,544,250.00 | 4,053,500.00 |
| 23 | 1/1/2023 | | | | 1,483,375.00 | 1,483,375.00 | | | | 1,483,375.00 | |
| 23 | 7/1/2023 | N | 5.000 | 1,085,000.00 | 1,483,375.00 | 2,568,375.00 | | | | 2,568,375.00 | 4,051,750.00 |
| 24 | 1/1/2024 | | | | 1,456,250.00 | 1,456,250.00 | | | | 1,456,250.00 | |
| 24 | 7/1/2024 | N | 5.000 | 1,140,000.00 | 1,456,250.00 | 2,596,250.00 | | | | 2,596,250.00 | 4,052,500.00 |
| 25 | 1/1/2025 | | | | 1,427,750.00 | 1,427,750.00 | | | | 1,427,750.00 | |
| 25 | 7/1/2025 | N | 5.000 | 1,195,000.00 | 1,427,750.00 | 2,622,750.00 | | | | 2,622,750.00 | 4,050,500.00 |
| 26 | 1/1/2026 | | | | 1,397,875.00 | 1,397,875.00 | | | | 1,397,875.00 | |
| 26 | 7/1/2026 | N | 5.000 | 1,255,000.00 | 1,397,875.00 | 2,652,875.00 | | | | 2,652,875.00 | 4,050,750.00 |
| 27 | 1/1/2027 | | | | 1,366,500.00 | 1,366,500.00 | | | | 1,366,500.00 | |
| 27 | 7/1/2027 | N | 5.000 | 1,320,000.00 | 1,366,500.00 | 2,686,500.00 | | | | 2,686,500.00 | 4,053,000.00 |
| 28 | 1/1/2028 | | | | 1,333,500.00 | 1,333,500.00 | | | | 1,333,500.00 | |
| 28 | 7/1/2028 | N | 5.000 | 1,385,000.00 | 1,333,500.00 | 2,718,500.00 | | | | 2,718,500.00 | 4,052,000.00 |
| 29 | 1/1/2029 | | | | 1,298,875.00 | 1,298,875.00 | | | | 1,298,875.00 | |
| 29 | 7/1/2029 | N | 5.000 | 1,455,000.00 | 1,298,875.00 | 2,753,875.00 | | | | 2,753,875.00 | 4,052,750.00 |
| 30 | 1/1/2030 | | | | 1,262,500.00 | 1,262,500.00 | | | | 1,262,500.00 | |
| 30 | 7/1/2030 | N | 5.000 | 1,525,000.00 | 1,262,500.00 | 2,787,500.00 | | | | 2,787,500.00 | 4,050,000.00 |
| 31 | 1/1/2031 | | | | 1,224,375.00 | 1,224,375.00 | | | | 1,224,375.00 | |
| 31 | 7/1/2031 | N | 5.000 | 1,605,000.00 | 1,224,375.00 | 2,829,375.00 | | | | 2,829,375.00 | 4,053,750.00 |
| 32 | 1/1/2032 | | | | 1,184,250.00 | 1,184,250.00 | | | | 1,184,250.00 | |
| 32 | 7/1/2032 | N | 5.000 | 1,685,000.00 | 1,184,250.00 | 2,869,250.00 | | | | 2,869,250.00 | 4,053,500.00 |
| 33 | 1/1/2033 | | | | 1,142,125.00 | 1,142,125.00 | | | | 1,142,125.00 | |
| 33 | 7/1/2033 | N | 5.000 | 1,770,000.00 | 1,142,125.00 | 2,912,125.00 | | | | 2,912,125.00 | 4,054,250.00 |
| 34 | 1/1/2034 | | | | 1,097,875.00 | 1,097,875.00 | | | | 1,097,875.00 | |
| 34 | 7/1/2034 | N | 5.000 | 1,855,000.00 | 1,097,875.00 | 2,952,875.00 | | | | 2,952,875.00 | 4,050,750.00 |
| 35 | 1/1/2035 | | | | 1,051,500.00 | 1,051,500.00 | | | | 1,051,500.00 | |
| 35 | 7/1/2035 | N | 5.000 | 1,950,000.00 | 1,051,500.00 | 3,001,500.00 | | | | 3,001,500.00 | 4,053,000.00 |
| 36 | 1/1/2036 | | | | 1,002,750.00 | 1,002,750.00 | | | | 1,002,750.00 | |
| 36 | 7/1/2036 | N | 5.000 | 2,045,000.00 | 1,002,750.00 | 3,047,750.00 | | | | 3,047,750.00 | 4,050,500.00 |
| 37 | 1/1/2037 | | | | 951,625.00 | 951,625.00 | | | | 951,625.00 | |
| 37 | 7/1/2037 | N | 5.000 | 2,150,000.00 | 951,625.00 | 3,101,625.00 | | | | 3,101,625.00 | 4,053,250.00 |
| 38 | 1/1/2038 | | | | 897,875.00 | 897,875.00 | | | | 897,875.00 | |
| 38 | 7/1/2038 | N | 5.000 | 2,255,000.00 | 897,875.00 | 3,152,875.00 | | | | 3,152,875.00 | 4,050,750.00 |
| 39 | 1/1/2039 | | | | 841,500.00 | 841,500.00 | | | | 841,500.00 | |
| 39 | 7/1/2039 | N | 5.000 | 2,370,000.00 | 841,500.00 | 3,211,500.00 | | | | 3,211,500.00 | 4,053,000.00 |
| 40 | 1/1/2040 | | | | 782,250.00 | 782,250.00 | | | | 782,250.00 | |
| 40 | 7/1/2040 | N | 5.000 | 2,490,000.00 | 782,250.00 | 3,272,250.00 | | | | 3,272,250.00 | 4,054,500.00 |
| 41 | 1/1/2041 | | | | 720,000.00 | 720,000.00 | | | | 720,000.00 | |
| 41 | 7/1/2041 | N | 5.000 | 2,610,000.00 | 720,000.00 | 3,330,000.00 | | | | 3,330,000.00 | 4,050,000.00 |
| 42 | 1/1/2042 | | | | 654,750.00 | 654,750.00 | | | | 654,750.00 | |
| 42 | 7/1/2042 | N | 5.000 | 2,745,000.00 | 654,750.00 | 3,399,750.00 | | | | 3,399,750.00 | 4,054,500.00 |
| 43 | 1/1/2043 | | | | 586,125.00 | 586,125.00 | | | | 586,125.00 | |
| 43 | 7/1/2043 | N | 5.000 | 2,880,000.00 | 586,125.00 | 3,466,125.00 | | | | 3,466,125.00 | 4,052,250.00 |
| 44 | 1/1/2044 | | | | 514,125.00 | 514,125.00 | | | | 514,125.00 | |
| 44 | 7/1/2044 | N | 5.000 | 3,025,000.00 | 514,125.00 | 3,539,125.00 | | | | 3,539,125.00 | 4,053,250.00 |
| 45 | 1/1/2045 | | | | 438,500.00 | 438,500.00 | | | | 438,500.00 | |
| 45 | 7/1/2045 | N | 5.000 | 3,175,000.00 | 438,500.00 | 3,613,500.00 | | | | 3,613,500.00 | 4,052,000.00 |
| 46 | 1/1/2046 | | | | 359,125.00 | 359,125.00 | | | | 359,125.00 | |
| 46 | 7/1/2046 | N | 5.000 | 3,335,000.00 | 359,125.00 | 3,694,125.00 | | | | 3,694,125.00 | 4,053,250.00 |

SBA - FDOT

Transportation Financing Corporation Issue B

Dated: 07/01/2019
Delivered: 07/01/2019

Summary of Sizing Inputs

\$62,295,000.00

General Information

1st Month in FY: 1
Denomination: 5000.
Rate scale: 038
Issue type:
Sizing Rule 1: Level debt service - yearly principal payments. You input the gross construction costs (or a draw schedule) and the size of the bond issue is computed to cover the construction draws, reserves, and the various costs of issuance.
-> Proportionally level debt service in stub period.

Dates

07/01/2019-> Dated (bond issue) date
07/01/2019-> Delivery date
01/01/2020-> 1st coupon date
07/01/2020-> First principal payment
07/01/2049-> Last maturity date
No CABS in bond issue

Gross Construction Costs

| | |
|------------------------------|---------------|
| Total project costs | 61,517,176.00 |
| Total prior costs | |
| Net total project costs: | 61,517,176.00 |
| Total number of projects = 0 | |

Restricted Accounts

| | |
|--|----------|
| DSR rule: No debt service reserve fund | |
| No capitalized interest | |
| Restricted yield = 5.000000% | |
| Net deposit to Debt Service Reserve Fund | |
| Net deposit to Contingency Fund | 4,464.00 |

Costs of Issuance

| | |
|---|-------------|
| Underwriter spread: 8.000/\$1,000 | -498,360.00 |
| Bond insurance: 0.000% (net of accrued & cap. interest) | |
| Other TIC costs: | 275,000.00 |

Transportation Financing Corporation Issue B

Summary of Sizing Calculations

\$62,295,000.00

Sources of Funds

| | |
|------------------------|---------------|
| Par amount of bonds | 62,295,000.00 |
| Original Issue Premium | |
| Accrued Interest | |

Construction Costs

| | |
|---|---------------|
| Costs to complete construction | 61,517,176.00 |
| Prior costs to be paid from bond proceeds | |
| Gross Construction Costs | 61,517,176.00 |

Restricted Funds

| | |
|---|----------|
| Gross capitalized interest | |
| Less: Interest earned on Capitalized Interest Fund @ 5.000% | |
| Net deposit to Capitalized Interest Fund | |
| Net deposit to Debt Service Reserve Fund | |
| Net deposit to Contingency Fund | 4,464.00 |

Costs of Issuance

| | |
|-----------------------------------|-------------|
| Underwriter spread: 8.000/\$1,000 | -498,360.00 |
| Bond insurance: 0.000% | |
| Other issuance costs | 275,000.00 |

Calculations

| | |
|------------------------------------|------------------|
| Net Interest Cost (NIC) | 5.0420397 |
| True Interest Cost (TIC) | 5.0701328 |
| All-Inclusive TIC: | 5.1092061 |
| Arbitrage Net Interest Cost (NIC) | 5.0000000 |
| Arbitrage Yield Limit (AYL) | 5.0000000 |
| Total Bond Years (delivery date) | 1,185,450,000.00 |
| Average Bond Years (Delivery date) | 19.03 |
| Level debt service calculation | 4,052,369.51 |

SCHEDULE VI: DETAIL OF DEBT SERVICE

Department: 55 Transportation
Budget Entity: 55100100 - Transportation Systems Development

Budget Period 2019 - 2020

| (1) | (2) | (3) | (4) |
|----------------------------|--------------------------------|-----------------------------------|---------------------------------|
| SECTION I | ACTUAL FY 2017-2018 | ESTIMATED FY 2018-2019 | REQUEST FY 2019-2020 |
| Interest on Debt | (A) 0 | 0 | 11,226,250 |
| Principal | (B) 0 | 0 | 14,105,000 |
| Repayment of Loans | (C) 0 | 0 | 0 |
| Fiscal Agent or Other Fees | (D) 0 | 0 | 22,453 |
| Other Debt Service | (E) 0 | 0 | 0 |
| Total Debt Service | (F) 0 | 0 | 25,353,703 |

Explanation:

Combined total debt service for proposed and outstanding Grant Anticipation Revenue Vehicle (GARVEE) Bonds.

Note: Does not include interest credited from Debt Service Reserve Account.

SECTION II

(1) **ISSUE:** _____

| (2) | (3) | (4) | (5) | (6) |
|--------------------------------|-----------------------------------|---------------------------------|----------------------|----------------------|
| INTEREST RATE | MATURITY DATE | ISSUE AMOUNT | June 30, 2019 | June 30, 2020 |
| | | | | |
| (7) | (8) | (9) | | |
| ACTUAL FY 2017-2018 | ESTIMATED FY 2018-2019 | REQUEST FY 2019-2020 | | |
| Interest on Debt | (G) 0 | 0 | 0 | |
| Principal | (H) 0 | 0 | 0 | |
| Fiscal Agent or Other Fees | (I) 0 | 0 | 0 | |
| Other | (J) 0 | 0 | 0 | |
| Total Debt Service | (K) 0 | 0 | 0 | |

(1) **ISSUE:** _____

| (2) | (3) | (4) | (5) | (6) |
|--------------------------------|-----------------------------------|---------------------------------|----------------------|----------------------|
| INTEREST RATE | MATURITY DATE | ISSUE AMOUNT | June 30, 2019 | June 30, 2020 |
| | | | | |
| (7) | (8) | (9) | | |
| ACTUAL FY 2017-2018 | ESTIMATED FY 2018-2019 | REQUEST FY 2019-2020 | | |
| Interest on Debt | (G) 0 | 0 | 0 | |
| Principal | (H) 0 | 0 | 0 | |
| Fiscal Agent or Other Fees | (I) 0 | 0 | 0 | |
| Other | (J) 0 | 0 | 0 | |
| Total Debt Service | (K) 0 | 0 | 0 | |

SCHEDULE VI: DETAIL OF DEBT SERVICE

Department: 55 Transportation
Budget Entity: 55100100 - Transportation Systems Development

Budget Period 2019 - 2020

| (1) | (2) | (3) | (4) |
|----------------------------|--------------------------------|-----------------------------------|---------------------------------|
| SECTION I | ACTUAL FY 2017-2018 | ESTIMATED FY 2018-2019 | REQUEST FY 2019-2020 |
| Interest on Debt | (A) 0 | 0 | 0 |
| Principal | (B) 0 | 0 | 0 |
| Repayment of Loans | (C) 0 | 0 | 0 |
| Fiscal Agent or Other Fees | (D) 0 | 0 | 0 |
| Other Debt Service | (E) 0 | 0 | 0 |
| Total Debt Service | (F) 0 | 0 | 0 |

Explanation: Total debt service requirements for outstanding Grant Anticipation Revenue Vehicle (GARVEE) Bonds.

SECTION II

(1) **ISSUE:** _____

| (2) | (3) | (4) | (5) | (6) |
|--------------------------------|-----------------------------------|---------------------------------|----------------------|----------------------|
| INTEREST RATE | MATURITY DATE | ISSUE AMOUNT | June 30, 2019 | June 30, 2020 |
| | | | | |
| (7) | (8) | (9) | | |
| ACTUAL FY 2017-2018 | ESTIMATED FY 2018-2019 | REQUEST FY 2019-2020 | | |
| Interest on Debt | (G) 0 | 0 | 0 | |
| Principal | (H) 0 | 0 | 0 | |
| Fiscal Agent or Other Fees | (I) 0 | 0 | 0 | |
| Other | (J) 0 | 0 | 0 | |
| Total Debt Service | (K) 0 | 0 | 0 | |

(1) **ISSUE:** _____

| (2) | (3) | (4) | (5) | (6) |
|--------------------------------|-----------------------------------|---------------------------------|----------------------|----------------------|
| INTEREST RATE | MATURITY DATE | ISSUE AMOUNT | June 30, 2019 | June 30, 2020 |
| | | | | |
| (7) | (8) | (9) | | |
| ACTUAL FY 2017-2018 | ESTIMATED FY 2018-2019 | REQUEST FY 2019-2020 | | |
| Interest on Debt | (G) 0 | 0 | 0 | |
| Principal | (H) 0 | 0 | 0 | |
| Fiscal Agent or Other Fees | (I) 0 | 0 | 0 | |
| Other | (J) 0 | 0 | 0 | |
| Total Debt Service | (K) 0 | 0 | 0 | |

SCHEDULE VI: DETAIL OF DEBT SERVICE

Department: 55 Transportation
Budget Entity: 55100100 - Transportation Systems Development

Budget Period 2019 - 2020

| (1) | (2) | (3) | (4) |
|----------------------------|---------------------|---------------------|---------------------|
| | ACTUAL | ESTIMATED | REQUEST |
| SECTION I | FY 2017-2018 | FY 2018-2019 | FY 2019-2020 |
| Interest on Debt | (A) 0 | 0 | 11,226,250 |
| Principal | (B) 0 | 0 | 14,105,000 |
| Repayment of Loans | (C) 0 | 0 | 0 |
| Fiscal Agent or Other Fees | (D) 0 | 0 | 22,453 |
| Other Debt Service | (E) 0 | 0 | 0 |
| Total Debt Service | (F) 0 | 0 | 25,353,703 |

Explanation: Total debt service for proposed Grant Anticipation Revenue Vehicle (GARVEE) Bonds, as authorized by Section 215.616, Florida Statutes.
Note: Does not include interest credited from Debt Service Reserve Account.

SECTION II

(1) **ISSUE:** Proposed GARVEE Bond issuance 7/1/2019

| (2) | (3) | (4) | (5) | (6) |
|----------------------------|----------------------|---------------------|----------------------|----------------------|
| INTEREST RATE | MATURITY DATE | ISSUE AMOUNT | June 30, 2019 | June 30, 2020 |
| 5.000% | 7/1/2031 | 224,525,000 | 0 | 210,420,000 |
| | | (7) | (8) | (9) |
| | | ACTUAL | ESTIMATED | REQUEST |
| | | FY 2017-2018 | FY 2018-2019 | FY 2019-2020 |
| Interest on Debt | | (G) 0 | 0 | 11,226,250 |
| Principal | | (H) 0 | 0 | 14,105,000 |
| Fiscal Agent or Other Fees | | (I) 0 | 0 | 22,453 |
| Other | | (J) 0 | 0 | 0 |
| Total Debt Service | | (K) 0 | 0 | 25,353,703 |

(1) **ISSUE:** _____

| INTEREST RATE | MATURITY DATE | ISSUE AMOUNT | June 30, 2019 | June 30, 2020 |
|----------------------------|----------------------|---------------------|----------------------|----------------------|
| | | | | |
| | | ACTUAL | ESTIMATED | REQUEST |
| | | FY 2017-2018 | FY 2018-2019 | FY 2019-2020 |
| Interest on Debt | | (G) 0 | 0 | 0 |
| Principal | | (H) 0 | 0 | 0 |
| Fiscal Agent or Other Fees | | (I) 0 | 0 | 0 |
| Other | | (J) 0 | 0 | 0 |
| Total Debt Service | | (K) 0 | 0 | 0 |

TRUTH-IN-BONDING WORKSHEET

1. A listing of the purpose of the debt or obligation: Grant Anticipation Revenue Vehicle (GARVEE) as authorized by Chapter 215.616, Florida Statutes.
2. The source of repayment of the debt or obligation: Section 215.616, Florida Statutes, authorizes pledging future Federal-aid reimbursements to pay debt service for GARVEE bonds.
3. The principal amount of the debt or obligation: \$224,525,000
4. The interest rate on the debt or obligation (per EEC): 5.000%
5. A schedule of annual debt service payments (attached)
6. The method of sale of the debt or obligation, as determined by the Governing Board of the Division of Bond Finance.
7. The costs of issuance of the debt or obligation, including a detailed listing of the amounts of the major costs of issuance:

| | |
|--|---------------------|
| <u>Underwriter Discount</u> | <u>\$1,796,200</u> |
| <u>Rating Agency Fees</u> | <u>\$75,000</u> |
| <u>Other Costs of Issuance</u> | <u>\$200,000</u> |
| <u>Deposit into Debt Service Reserve Account</u> | <u>\$22,452,500</u> |

TRUTH-IN-BONDING STATEMENT

The State of Florida is proposing to issue \$224,525,000 of debt or obligation for the purpose of leveraging federal aid highway funds, as authorized by Chapter 215.616, Florida Statutes.

This debt or obligation is expected to be repaid over a period of 12 years. At a forecasted interest rate of 5.000%, total interest paid over the life of the debt or obligation will be \$79,461,000.

The proposed issuance date is 7/1/2019.

**SBA - FDOT
GARVEE FY20 200M**

Dated: 07/01/2019
Delivered: 07/01/2019

Sizing Debt Service Schedule

\$224,525,000.00

| <i>Fiscal Yr</i> | <i>Coupon Date</i> | <i>Zer Cpn</i> | <i>Cpn Rate</i> | <i>Maturing Principal</i> | <i>Periodic Interest</i> | <i>Gross Semi-Annl Dbt Svc</i> | <i>Cap Int</i> | <i>Dbt Svc Rsw Int & Prin</i> | <i>Constr. Fund Interest</i> | <i>Net Semi-Annl Dbt Svc</i> | <i>Net Fiscal Dbt Svc</i> |
|---------------------------------------|--------------------|----------------|-----------------|---------------------------|--------------------------|--------------------------------|---|-----------------------------------|------------------------------|------------------------------|---------------------------|
| 20 | 1/1/2020 | | | | 5,613,125.00 | 5,613,125.00 | | 561,312.51 | | 5,051,812.49 | |
| 20 | 7/1/2020 | N | 5.000 | 14,105,000.00 | 5,613,125.00 | 19,718,125.00 | | 561,312.51 | | 19,156,812.49 | 24,208,624.99 |
| 21 | 1/1/2021 | | | | 5,260,500.00 | 5,260,500.00 | | 561,312.51 | | 4,699,187.49 | |
| 21 | 7/1/2021 | N | 5.000 | 14,810,000.00 | 5,260,500.00 | 20,070,500.00 | | 561,312.51 | | 19,509,187.49 | 24,208,374.99 |
| 22 | 1/1/2022 | | | | 4,890,250.00 | 4,890,250.00 | | 561,312.51 | | 4,328,937.49 | |
| 22 | 7/1/2022 | N | 5.000 | 15,550,000.00 | 4,890,250.00 | 20,440,250.00 | | 561,312.51 | | 19,878,937.49 | 24,207,874.99 |
| 23 | 1/1/2023 | | | | 4,501,500.00 | 4,501,500.00 | | 561,312.51 | | 3,940,187.49 | |
| 23 | 7/1/2023 | N | 5.000 | 16,330,000.00 | 4,501,500.00 | 20,831,500.00 | | 561,312.51 | | 20,270,187.49 | 24,210,374.99 |
| 24 | 1/1/2024 | | | | 4,093,250.00 | 4,093,250.00 | | 561,312.51 | | 3,531,937.49 | |
| 24 | 7/1/2024 | N | 5.000 | 17,145,000.00 | 4,093,250.00 | 21,238,250.00 | | 561,312.51 | | 20,676,937.49 | 24,208,874.99 |
| 25 | 1/1/2025 | | | | 3,664,625.00 | 3,664,625.00 | | 561,312.51 | | 3,103,312.49 | |
| 25 | 7/1/2025 | N | 5.000 | 18,005,000.00 | 3,664,625.00 | 21,669,625.00 | | 561,312.51 | | 21,108,312.49 | 24,211,624.99 |
| 26 | 1/1/2026 | | | | 3,214,500.00 | 3,214,500.00 | | 561,312.51 | | 2,653,187.49 | |
| 26 | 7/1/2026 | N | 5.000 | 18,905,000.00 | 3,214,500.00 | 22,119,500.00 | | 561,312.51 | | 21,558,187.49 | 24,211,374.99 |
| 27 | 1/1/2027 | | | | 2,741,875.00 | 2,741,875.00 | | 561,312.51 | | 2,180,562.49 | |
| 27 | 7/1/2027 | N | 5.000 | 19,850,000.00 | 2,741,875.00 | 22,591,875.00 | | 561,312.51 | | 22,030,562.49 | 24,211,124.99 |
| 28 | 1/1/2028 | | | | 2,245,625.00 | 2,245,625.00 | | 561,312.51 | | 1,684,312.49 | |
| 28 | 7/1/2028 | N | 5.000 | 20,840,000.00 | 2,245,625.00 | 23,085,625.00 | | 561,312.51 | | 22,524,312.49 | 24,208,624.99 |
| 29 | 1/1/2029 | | | | 1,724,625.00 | 1,724,625.00 | | 561,312.51 | | 1,163,312.49 | |
| 29 | 7/1/2029 | N | 5.000 | 21,885,000.00 | 1,724,625.00 | 23,609,625.00 | | 561,312.51 | | 23,048,312.49 | 24,211,624.99 |
| 30 | 1/1/2030 | | | | 1,177,500.00 | 1,177,500.00 | | 561,312.51 | | 616,187.49 | |
| 30 | 7/1/2030 | N | 5.000 | 22,975,000.00 | 1,177,500.00 | 24,152,500.00 | | 561,312.51 | | 23,591,187.49 | 24,207,374.99 |
| 31 | 1/1/2031 | | | | 603,125.00 | 603,125.00 | | 561,312.51 | | 41,812.49 | |
| 31 | 7/1/2031 | N | 5.000 | 24,125,000.00 | 603,125.00 | 24,728,125.00 | | 23,013,812.71 | | 1,714,312.29 | 1,756,124.78 |
| | | | | | 224,525,000.00 | 79,461,000.00 | 303,986,000.00 | 0.00 | 35,924,000.33 | 0.00 | 268,061,999.67 |
| <i>True Interest Cost (TIC)</i> | | | | | | 5.1412780 | <i>Arbitrage Yield Limit (AYL)</i> | | | | 5.0000000 |
| <i>Net Interest Cost (NIC)</i> | | | | | | 5.1130240 | <i>Arbitrage Net Interest Cost (ANIC)</i> | | | | 5.0000000 |

SBA - FDOT
GARVEE FY20 200M

Dated: 07/01/2019
Delivered: 07/01/2019

Summary of Sizing Inputs

\$224,525,000.00

General Information

1st Month in FY: 1
Denomination: 5000.
Rate scale: 038
Issue type: REVENUE
Sizing Rule 1: Level debt service - yearly principal payments. You input the gross construction costs (or a draw schedule) and the size of the bond issue is computed to cover the construction draws, reserves, and the various costs of issuance.
-> Proportionally level debt service in stub period.

Dates

07/01/2019-> Dated (bond issue) date
07/01/2019-> Delivery date
01/01/2020-> 1st coupon date
07/01/2020-> First principal payment
07/01/2031-> Last maturity date
No CABS in bond issue

Gross Construction Costs

| | |
|------------------------------|----------------|
| Total project costs | 200,000,000.00 |
| Total prior costs | |
| Net total project costs: | 200,000,000.00 |
| Total number of projects = 0 | |

Restricted Accounts

DSR rule: Lesser of 10% of prin, Max yrly dsv, or 125% avg yrly dsv
No capitalized interest
Restricted yield = 5.000000%
Net deposit to Debt Service Reserve Fund 22,452,500.21
Net deposit to Contingency Fund 1,299.78

Costs of Issuance

| | |
|---|---------------|
| Underwriter spread: 8.000/\$1,000 | -1,796,200.00 |
| Bond insurance: 0.000% (net of accrued & cap. interest) | |
| Other TIC costs: | 275,000.00 |

SBA - FDOT
GARVEE FY20 200M

Dated: 07/01/2019
Delivered: 07/01/2019

Summary of Sizing Calculations

\$224,525,000.00

Sources of Funds

| | |
|------------------------|----------------|
| Par amount of bonds | 224,525,000.00 |
| Original Issue Premium | |
| Accrued Interest | |

Construction Costs

| | |
|---|----------------|
| Costs to complete construction | 200,000,000.00 |
| Prior costs to be paid from bond proceeds | |
| Gross Construction Costs | 200,000,000.00 |

Restricted Funds

| | |
|---|---------------|
| Gross capitalized interest | |
| Less: Interest earned on Capitalized Interest Fund @ 5.000% | |
| Net deposit to Capitalized Interest Fund | |
| Net deposit to Debt Service Reserve Fund | 22,452,500.21 |
| Net deposit to Contingency Fund | 1,299.78 |

Costs of Issuance

| | |
|-----------------------------------|---------------|
| Underwriter spread: 8.000/\$1,000 | -1,796,200.00 |
| Bond insurance: 0.000% | |
| Other issuance costs | 275,000.00 |

Calculations

| | |
|------------------------------------|------------------|
| Net Interest Cost (NIC) | 5.1130240 |
| True Interest Cost (TIC) | 5.1412780 |
| All-Inclusive TIC: | 5.1630524 |
| Arbitrage Net Interest Cost (NIC) | 5.0000000 |
| Arbitrage Yield Limit (AYL) | 5.0000000 |
| Total Bond Years (delivery date) | 1,589,220,000.00 |
| Average Bond Years (Delivery date) | 7.08 |
| Level debt service calculation | 25,332,190.35 |

SCHEDULE VI: DETAIL OF DEBT SERVICE

Department: 55 Transportation
Budget Entity: 55150200 - Highway Operations

Budget Period 2019 - 2020

| (1) SECTION I | (2) ACTUAL FY 2017-2018 | (3) ESTIMATED FY 2018-2019 | (4) REQUEST FY 2019-2020 |
|--------------------------------|---------------------------------------|--|--|
| Interest on Debt (A) | 1,575,856 | 1,167,856 | 807,856 |
| Principal (B) | 8,160,000 | 7,200,000 | 6,400,000 |
| Repayment of Loans (C) | 0 | 0 | 0 |
| Fiscal Agent or Other Fees (D) | 8,033 | 7,217 | 6,497 |
| Other Debt Service (E) | 0 | 0 | 0 |
| Total Debt Service (F) | 9,743,889 | 8,375,073 | 7,214,353 |

Explanation:

Combined total debt service for outstanding and proposed State Infrastructure Bank Revenue Bonds.
Note: Does not include interest credited from Debt Service Reserve Account.

SECTION II

(1) **ISSUE:** _____

| (2) INTEREST RATE | (3) MATURITY DATE | (4) ISSUE AMOUNT | (5) June 30, 2019 | (6) June 30, 2020 |
|--------------------------------|-----------------------------|---------------------------------------|--|--|
| | | | | |
| | | (7) ACTUAL FY 2017-2018 | (8) ESTIMATED FY 2018-2019 | (9) REQUEST FY 2019-2020 |
| Interest on Debt (G) | | 0 | 0 | 0 |
| Principal (H) | | 0 | 0 | 0 |
| Fiscal Agent or Other Fees (I) | | 0 | 0 | 0 |
| Other (J) | | 0 | 0 | 0 |
| Total Debt Service (K) | | 0 | 0 | 0 |

(1) **ISSUE:** _____

| (2) INTEREST RATE | (3) MATURITY DATE | (4) ISSUE AMOUNT | (5) June 30, 2019 | (6) June 30, 2020 |
|--------------------------------|-----------------------------|---------------------------------------|--|--|
| | | | | |
| | | (7) ACTUAL FY 2017-2018 | (8) ESTIMATED FY 2018-2019 | (9) REQUEST FY 2019-2020 |
| Interest on Debt (G) | | 0 | 0 | 0 |
| Principal (H) | | 0 | 0 | 0 |
| Fiscal Agent or Other Fees (I) | | 0 | 0 | 0 |
| Other (J) | | 0 | 0 | 0 |
| Total Debt Service (K) | | 0 | 0 | 0 |

SCHEDULE VI: DETAIL OF DEBT SERVICE

Department: 55 Transportation
Budget Entity: 55150200 - Highway Operations

Budget Period 2019 - 2020

| (1) SECTION I | (2) ACTUAL FY 2017-2018 | (3) ESTIMATED FY 2018-2019 | (4) REQUEST FY 2019-2020 |
|--------------------------------|---------------------------------------|--|--|
| Interest on Debt (A) | 1,575,856 | 1,167,856 | 807,856 |
| Principal (B) | 8,160,000 | 7,200,000 | 6,400,000 |
| Repayment of Loans (C) | 0 | 0 | 0 |
| Fiscal Agent or Other Fees (D) | 8,033 | 7,217 | 6,497 |
| Other Debt Service (E) | 0 | 0 | 0 |
| Total Debt Service (F) | 9,743,889 | 8,375,073 | 7,214,353 |

Explanation:

Total debt service requirements for outstanding State Infrastructure Bank Revenue Bonds.

SECTION II

(1) **ISSUE:**

| (2) INTEREST RATE | (3) MATURITY DATE | (4) ISSUE AMOUNT | (5) June 30, 2019 | (6) June 30, 2020 |
|--------------------------------|-----------------------------|---------------------------------------|--|--|
| | | (7) ACTUAL FY 2017-2018 | (8) ESTIMATED FY 2018-2019 | (9) REQUEST FY 2019-2020 |
| Interest on Debt (G) | | 0 | 0 | 0 |
| Principal (H) | | 0 | 0 | 0 |
| Fiscal Agent or Other Fees (I) | | 0 | 0 | 0 |
| Other (J) | | 0 | 0 | 0 |
| Total Debt Service (K) | | 0 | 0 | 0 |

(1) **ISSUE:**

| (2) INTEREST RATE | (3) MATURITY DATE | (4) ISSUE AMOUNT | (5) June 30, 2019 | (6) June 30, 2020 |
|--------------------------------|-----------------------------|--------------------------------|-----------------------------------|---------------------------------|
| | | ACTUAL FY 2017-2018 | ESTIMATED FY 2018-2019 | REQUEST FY 2019-2020 |
| Interest on Debt (G) | | 0 | 0 | 0 |
| Principal (H) | | 0 | 0 | 0 |
| Fiscal Agent or Other Fees (I) | | 0 | 0 | 0 |
| Other (J) | | 0 | 0 | 0 |
| Total Debt Service (K) | | 0 | 0 | 0 |

SCHEDULE VI: DETAIL OF DEBT SERVICE

Department: 55 Transportation
Budget Entity: 55150200 - Highway Operations

Budget Period 2019 - 2020

| (1) SECTION I | (2) ACTUAL FY 2017-2018 | (3) ESTIMATED FY 2018-2019 | (4) REQUEST FY 2019-2020 |
|--------------------------------|---------------------------------------|--|--|
| Interest on Debt (A) | 0 | 0 | 0 |
| Principal (B) | 0 | 0 | 0 |
| Repayment of Loans (C) | 0 | 0 | 0 |
| Fiscal Agent or Other Fees (D) | 0 | 0 | 0 |
| Other Debt Service (E) | 0 | 0 | 0 |
| Total Debt Service (F) | 0 | 0 | 0 |

Explanation:

No proposed issuances for State Infrastructure Bank Revenue Bonds,
as authorized by Section 339.55, Florida Statutes.

Note: Does not include interest credited from Debt Service Reserve Account.

SECTION II

(1) **ISSUE:**

| (2) INTEREST RATE | (3) MATURITY DATE | (4) ISSUE AMOUNT | (5) June 30, 2019 | (6) June 30, 2020 |
|--------------------------------|-----------------------------|---------------------------------------|--|--|
| | | | | |
| | | (7) ACTUAL FY 2017-2018 | (8) ESTIMATED FY 2018-2019 | (9) REQUEST FY 2019-2020 |
| Interest on Debt (G) | | 0 | 0 | 0 |
| Principal (H) | | 0 | 0 | 0 |
| Fiscal Agent or Other Fees (I) | | 0 | 0 | 0 |
| Other (J) | | 0 | 0 | 0 |
| Total Debt Service (K) | | 0 | 0 | 0 |

(1) **ISSUE:**

| INTEREST RATE | MATURITY DATE | ISSUE AMOUNT | June 30, 2019 | June 30, 2020 |
|--------------------------------|----------------------|--------------------------------|-----------------------------------|---------------------------------|
| | | | | |
| | | ACTUAL FY 2017-2018 | ESTIMATED FY 2018-2019 | REQUEST FY 2019-2020 |
| Interest on Debt (G) | | 0 | 0 | 0 |
| Principal (H) | | 0 | 0 | 0 |
| Fiscal Agent or Other Fees (I) | | 0 | 0 | 0 |
| Other (J) | | 0 | 0 | 0 |
| Total Debt Service (K) | | 0 | 0 | 0 |

SCHEDULE VI: DETAIL OF DEBT SERVICE

Department: 55 Transportation
Budget Entity: 55100100 - Transportation Systems Development

Budget Period 2019 - 2020

| (1) SECTION I | (2) ACTUAL FY 2017-2018 | (3) ESTIMATED FY 2018-2019 | (4) REQUEST FY 2019-2020 |
|--------------------------------|---------------------------------------|--|--|
| Interest on Debt (A) | 0 | 2,700,125 | 5,192,000 |
| Principal (B) | 0 | 4,165,000 | 1,665,000 |
| Repayment of Loans (C) | 0 | 0 | 0 |
| Fiscal Agent or Other Fees (D) | 0 | 10,801 | 10,384 |
| Other Debt Service (E) | 0 | 0 | 0 |
| Total Debt Service (F) | 0 | 6,875,926 | 6,867,384 |

Explanation: Combined total debt service for outstanding and proposed Sunshine Skyway Revenue Bonds.

SECTION II

(1) **ISSUE:** _____

| (2) INTEREST RATE | (3) MATURITY DATE | (4) ISSUE AMOUNT | (5) June 30, 2019 | (6) June 30, 2020 |
|--------------------------------|-----------------------------|---------------------------------------|--|--|
| | | | | |
| | | (7) ACTUAL FY 2017-2018 | (8) ESTIMATED FY 2018-2019 | (9) REQUEST FY 2019-2020 |
| Interest on Debt (G) | | 0 | 0 | 0 |
| Principal (H) | | 0 | 0 | 0 |
| Fiscal Agent or Other Fees (I) | | 0 | 0 | 0 |
| Other (J) | | 0 | 0 | 0 |
| Total Debt Service (K) | | 0 | 0 | 0 |

(1) **ISSUE:** _____

| (2) INTEREST RATE | (3) MATURITY DATE | (4) ISSUE AMOUNT | (5) June 30, 2019 | (6) June 30, 2020 |
|--------------------------------|-----------------------------|---------------------------------------|--|--|
| | | | | |
| | | (7) ACTUAL FY 2017-2018 | (8) ESTIMATED FY 2018-2019 | (9) REQUEST FY 2019-2020 |
| Interest on Debt (G) | | 0 | 0 | 0 |
| Principal (H) | | 0 | 0 | 0 |
| Fiscal Agent or Other Fees (I) | | 0 | 0 | 0 |
| Other (J) | | 0 | 0 | 0 |
| Total Debt Service (K) | | 0 | 0 | 0 |

SCHEDULE VI: DETAIL OF DEBT SERVICE

Department: 55 Transportation
Budget Entity: 55100100 - Transportation Systems Development

Budget Period 2019 - 2020

| (1) SECTION I | (2) ACTUAL FY 2017-2018 | (3) ESTIMATED FY 2018-2019 | (4) REQUEST FY 2019-2020 |
|--------------------------------|---------------------------------------|--|--|
| Interest on Debt (A) | 0 | 0 | 0 |
| Principal (B) | 0 | 0 | 0 |
| Repayment of Loans (C) | 0 | 0 | 0 |
| Fiscal Agent or Other Fees (D) | 0 | 0 | 0 |
| Other Debt Service (E) | 0 | 0 | 0 |
| Total Debt Service (F) | 0 | 0 | 0 |

Explanation: Total debt service for outstanding Sunshine Skyway Revenue Bonds.

SECTION II

(1) **ISSUE:** _____

| (2) INTEREST RATE | (3) MATURITY DATE | (4) ISSUE AMOUNT | (5) June 30, 2019 | (6) June 30, 2020 |
|--------------------------------|-----------------------------|---------------------------------------|--|--|
| | | | | |
| | | (7) ACTUAL FY 2017-2018 | (8) ESTIMATED FY 2018-2019 | (9) REQUEST FY 2019-2020 |
| Interest on Debt (G) | | 0 | 0 | 0 |
| Principal (H) | | 0 | 0 | 0 |
| Fiscal Agent or Other Fees (I) | | 0 | 0 | 0 |
| Other (J) | | 0 | 0 | 0 |
| Total Debt Service (K) | | 0 | 0 | 0 |

(1) **ISSUE:** _____

| INTEREST RATE | MATURITY DATE | ISSUE AMOUNT | June 30, 2019 | June 30, 2020 |
|--------------------------------|----------------------|--------------------------------|-----------------------------------|---------------------------------|
| | | | | |
| | | ACTUAL FY 2017-2018 | ESTIMATED FY 2018-2019 | REQUEST FY 2019-2020 |
| Interest on Debt (G) | | 0 | 0 | 0 |
| Principal (H) | | 0 | 0 | 0 |
| Fiscal Agent or Other Fees (I) | | 0 | 0 | 0 |
| Other (J) | | 0 | 0 | 0 |
| Total Debt Service (K) | | 0 | 0 | 0 |

SCHEDULE VI: DETAIL OF DEBT SERVICE

Department: 55 Transportation
Budget Entity: 55100100 - Transportation Systems Development

Budget Period 2019 - 2020

| (1) SECTION I | (2) ACTUAL FY 2017-2018 | (3) ESTIMATED FY 2018-2019 | (4) REQUEST FY 2019-2020 |
|--------------------------------|---------------------------------------|--|--|
| Interest on Debt (A) | 0 | 2,700,125 | 5,192,000 |
| Principal (B) | 0 | 4,165,000 | 1,665,000 |
| Repayment of Loans (C) | 0 | 0 | 0 |
| Fiscal Agent or Other Fees (D) | 0 | 10,801 | 10,384 |
| Other Debt Service (E) | 0 | 0 | 0 |
| Total Debt Service (F) | 0 | 6,875,926 | 6,867,384 |

Explanation: Total debt service for proposed Sunshine Skyway Revenue Bonds.

SECTION II

(1) **ISSUE:** Proposed Sunshine Skyway Revenue Bond issuance 1/1/2019

| (2) INTEREST RATE | (3) MATURITY DATE | (4) ISSUE AMOUNT | (5) June 30, 2019 | (6) June 30, 2020 |
|--------------------------------|-----------------------------|---------------------------------------|--|--|
| 5.000% | 7/1/2048 | 108,005,000 | 103,840,000 | 102,175,000 |
| | | (7) ACTUAL FY 2017-2018 | (8) ESTIMATED FY 2018-2019 | (9) REQUEST FY 2019-2020 |
| Interest on Debt (G) | | 0 | 2,700,125 | 5,192,000 |
| Principal (H) | | 0 | 4,165,000 | 1,665,000 |
| Fiscal Agent or Other Fees (I) | | 0 | 10,801 | 10,384 |
| Other (J) | | 0 | 0 | 0 |
| Total Debt Service (K) | | 0 | 6,875,926 | 6,867,384 |

(1) **ISSUE:** _____

| INTEREST RATE | MATURITY DATE | ISSUE AMOUNT | June 30, 2019 | June 30, 2020 |
|--------------------------------|----------------------|--------------------------------|-----------------------------------|---------------------------------|
| | | | | |
| | | ACTUAL FY 2017-2018 | ESTIMATED FY 2018-2019 | REQUEST FY 2019-2020 |
| Interest on Debt (G) | | 0 | 0 | 0 |
| Principal (H) | | 0 | 0 | 0 |
| Fiscal Agent or Other Fees (I) | | 0 | 0 | 0 |
| Other (J) | | 0 | 0 | 0 |
| Total Debt Service (K) | | 0 | 0 | 0 |

SCHEDULE VI: DETAIL OF DEBT SERVICE

Department: 55 Transportation

Budget Period 2019 - 2020

Budget Entity: 55180100 - Florida Turnpike Enterprise

| (1) | (2) | (3) | (4) |
|--------------------------------|--------------------|--------------------|--------------------|
| | ACTUAL | ESTIMATED | REQUEST |
| SECTION I | FY 2017-2018 | FY 2018-2019 | FY 2019-2020 |
| Interest on Debt (A) | 117,414,750 | 127,704,091 | 142,713,549 |
| Principal (B) | 140,640,000 | 148,480,000 | 147,780,000 |
| Repayment of Loans (C) | 0 | 0 | 0 |
| Fiscal Agent or Other Fees (D) | 276,754 | 308,972 | 312,895 |
| Other Debt Service (E) | 0 | 0 | 0 |
| Total Debt Service (F) | 258,331,504 | 276,493,063 | 290,806,444 |

Explanation:

Combined total debt service for outstanding and proposed Florida Turnpike bonds.

Note: Does not include interest credited from Debt Service Reserve Account.

SECTION II

(1) **ISSUE:** _____

| (2) | (3) | (4) | (5) | (6) |
|--------------------------------|---------------|--------------|---------------|---------------|
| INTEREST RATE | MATURITY DATE | ISSUE AMOUNT | June 30, 2019 | June 30, 2020 |
| | | | | |
| (7) | (8) | (9) | (8) | (9) |
| ACTUAL | ESTIMATED | REQUEST | FY 2018-2019 | FY 2019-2020 |
| FY 2017-2018 | FY 2018-2019 | FY 2019-2020 | | |
| Interest on Debt (G) | 0 | 0 | 0 | 0 |
| Principal (H) | 0 | 0 | 0 | 0 |
| Fiscal Agent or Other Fees (I) | 0 | 0 | 0 | 0 |
| Other (J) | 0 | 0 | 0 | 0 |
| Total Debt Service (K) | 0 | 0 | 0 | 0 |

(1) **ISSUE:** _____

| (2) | (3) | (4) | (5) | (6) |
|--------------------------------|---------------|--------------|---------------|---------------|
| INTEREST RATE | MATURITY DATE | ISSUE AMOUNT | June 30, 2019 | June 30, 2020 |
| | | | | |
| (7) | (8) | (9) | (8) | (9) |
| ACTUAL | ESTIMATED | REQUEST | FY 2018-2019 | FY 2019-2020 |
| FY 2017-2018 | FY 2018-2019 | FY 2019-2020 | | |
| Interest on Debt (G) | 0 | 0 | 0 | 0 |
| Principal (H) | 0 | 0 | 0 | 0 |
| Fiscal Agent or Other Fees (I) | 0 | 0 | 0 | 0 |
| Other (J) | 0 | 0 | 0 | 0 |
| Total Debt Service (K) | 0 | 0 | 0 | 0 |

SCHEDULE VI: DETAIL OF DEBT SERVICE

Department: 55 Transportation
Budget Entity: 55180100 - Florida Turnpike Enterprise

Budget Period 2019 - 2020

| (1) | (2) | (3) | (4) |
|--------------------------------|--------------------------------|-----------------------------------|---------------------------------|
| SECTION I | ACTUAL FY 2017-2018 | ESTIMATED FY 2018-2019 | REQUEST FY 2019-2020 |
| Interest on Debt (A) | 117,414,750 | 113,689,674 | 106,633,174 |
| Principal (B) | 140,640,000 | 141,130,000 | 130,480,000 |
| Repayment of Loans (C) | 0 | 0 | 0 |
| Fiscal Agent or Other Fees (D) | 276,754 | 245,462 | 231,349 |
| Other Debt Service (E) | | | |
| Total Debt Service (F) | 258,331,504 | 255,065,136 | 237,344,523 |

Explanation:

Total debt service for outstanding Florida Turnpike bonds.

Note: Does not include interest credited from Debt Service Reserve Account.

SECTION II

(1) **ISSUE:**

| (2) | (3) | (4) | (5) | (6) |
|--------------------------------|-----------------------------------|---------------------------------|----------------------|----------------------|
| INTEREST RATE | MATURITY DATE | ISSUE AMOUNT | June 30, 2019 | June 30, 2020 |
| | | | | |
| (7) | (8) | (9) | | |
| ACTUAL FY 2017-2018 | ESTIMATED FY 2018-2019 | REQUEST FY 2019-2020 | | |
| Interest on Debt (G) | 0 | 0 | 0 | |
| Principal (H) | 0 | 0 | 0 | |
| Fiscal Agent or Other Fees (I) | 0 | 0 | 0 | |
| Other (J) | 0 | 0 | 0 | |
| Total Debt Service (K) | 0 | 0 | 0 | |

(1) **ISSUE:**

| (2) | (3) | (4) | (5) | (6) |
|--------------------------------|-----------------------------------|---------------------------------|----------------------|----------------------|
| INTEREST RATE | MATURITY DATE | ISSUE AMOUNT | June 30, 2019 | June 30, 2020 |
| | | | | |
| (7) | (8) | (9) | | |
| ACTUAL FY 2017-2018 | ESTIMATED FY 2018-2019 | REQUEST FY 2019-2020 | | |
| Interest on Debt (G) | 0 | 0 | 0 | |
| Principal (H) | 0 | 0 | 0 | |
| Fiscal Agent or Other Fees (I) | 0 | 0 | 0 | |
| Other (J) | 0 | 0 | 0 | |
| Total Debt Service (K) | 0 | 0 | 0 | |

SCHEDULE VI: DETAIL OF DEBT SERVICE

Department: 55 Transportation
Budget Entity: 55180100 - Florida Turnpike Enterprise

Budget Period 2019 - 2020

| (1) | (2) | (3) | (4) |
|----------------------------|--------------------------------|-----------------------------------|---------------------------------|
| SECTION I | ACTUAL FY 2017-2018 | ESTIMATED FY 2018-2019 | REQUEST FY 2019-2020 |
| Interest on Debt | (A) 0 | 14,014,417 | 36,080,375 |
| Principal | (B) 0 | 7,350,000 | 17,300,000 |
| Repayment of Loans | (C) 0 | 0 | 0 |
| Fiscal Agent or Other Fees | (D) 0 | 63,511 | 81,546 |
| Other Debt Service | (E) 0 | 0 | 0 |
| Total Debt Service | (F) 0 | 21,427,927 | 53,461,921 |

Explanation:

Total debt service for all three proposed Florida Turnpike bonds.
Note: Does not include interest credited from Debt Service Reserve Account.

SECTION II

(1) **ISSUE:** Proposed Turnpike bond sale 11/1/2018

| (2) | (3) | (4) | (5) | (6) |
|----------------------------|----------------------|--------------------------------|-----------------------------------|---------------------------------|
| INTEREST RATE | MATURITY DATE | ISSUE AMOUNT | June 30, 2019 | June 30, 2020 |
| 5.000% | 7/1/2048 | 348,875,000 | 345,300,000 | 339,760,000 |
| | | (7) | (8) | (9) |
| | | ACTUAL FY 2017-2018 | ESTIMATED FY 2018-2019 | REQUEST FY 2019-2020 |
| Interest on Debt | | (G) 0 | 11,629,167 | 17,265,000 |
| Principal | | (H) 0 | 3,575,000 | 5,540,000 |
| Fiscal Agent or Other Fees | | (I) 0 | 34,888 | 34,530 |
| Other | | (J) 0 | 0 | 0 |
| Total Debt Service | | (K) 0 | 15,239,054 | 22,839,530 |

(1) **ISSUE:** Proposed Turnpike bond sale 5/1/2019

| (2) | (3) | (4) | (5) | (6) |
|----------------------------|----------------------|--------------------------------|-----------------------------------|---------------------------------|
| INTEREST RATE | MATURITY DATE | ISSUE AMOUNT | June 30, 2019 | June 30, 2020 |
| 5.000% | 7/1/2048 | 286,230,000 | 282,455,000 | 277,925,000 |
| | | (7) | (8) | (9) |
| | | ACTUAL FY 2017-2018 | ESTIMATED FY 2018-2019 | REQUEST FY 2019-2020 |
| Interest on Debt | | (G) 0 | 2,385,250 | 14,122,750 |
| Principal | | (H) 0 | 3,775,000 | 4,530,000 |
| Fiscal Agent or Other Fees | | (I) 0 | 28,623 | 28,246 |
| Other | | (J) 0 | 0 | 0 |
| Total Debt Service | | (K) 0 | 6,188,873 | 18,680,996 |

SCHEDULE VI: DETAIL OF DEBT SERVICE

Department: 55 Transportation
Budget Entity: 55180100 - Florida Turnpike Enterprise

Budget Period 2019 - 2020

| (1) | (2) | (3) | (4) |
|--------------------------------|--------------|--------------|-------------------|
| | ACTUAL | ESTIMATED | REQUEST |
| SECTION I | FY 2017-2018 | FY 2018-2019 | FY 2019-2020 |
| Interest on Debt (A) | 0 | 0 | 4,692,625 |
| Principal (B) | 0 | 0 | 7,230,000 |
| Repayment of Loans (C) | 0 | 0 | 0 |
| Fiscal Agent or Other Fees (D) | 0 | 0 | 18,771 |
| Other Debt Service (E) | 0 | 0 | 0 |
| Total Debt Service (F) | 0 | 0 | 11,941,396 |

Explanation:

Debt service for the below 1 proposed Florida Turnpike bond.

Note: Does not include interest credited from Debt Service Reserve Account.

SECTION II

(1) **ISSUE:** Proposed Turnpike bond sale 1/1/2020

| (2) | (3) | (4) | (5) | (6) |
|--------------------------------|---------------|--------------|---------------|-------------------|
| INTEREST RATE | MATURITY DATE | ISSUE AMOUNT | June 30, 2019 | June 30, 2020 |
| 5.000% | 7/1/2049 | 187,705,000 | 0 | 180,475,000 |
| | | (7) | (8) | (9) |
| | | ACTUAL | ESTIMATED | REQUEST |
| | | FY 2017-2018 | FY 2018-2019 | FY 2019-2020 |
| Interest on Debt (G) | | 0 | 0 | 4,692,625 |
| Principal (H) | | 0 | 0 | 7,230,000 |
| Fiscal Agent or Other Fees (I) | | 0 | 0 | 18,771 |
| Other (J) | | 0 | 0 | 0 |
| Total Debt Service (K) | | 0 | 0 | 11,941,396 |

(1) **ISSUE:** _____

| INTEREST RATE | MATURITY DATE | ISSUE AMOUNT | June 30, 2019 | June 30, 2020 |
|--------------------------------|---------------|--------------|---------------|---------------|
| | | | | |
| | | ACTUAL | ESTIMATED | REQUEST |
| | | FY 2017-2018 | FY 2018-2019 | FY 2019-2020 |
| Interest on Debt (G) | | 0 | 0 | 0 |
| Principal (H) | | 0 | 0 | 0 |
| Fiscal Agent or Other Fees (I) | | 0 | 0 | 0 |
| Other (J) | | 0 | 0 | 0 |
| Total Debt Service (K) | | 0 | 0 | 0 |

TRUTH-IN-BONDING WORKSHEET

1. A listing of the purpose of the debt or obligation: Florida Turnpike as authorized by Chapter 338, Florida Statutes.
2. The source of repayment of the debt or obligation: Net revenues of the Florida Turnpike System.
3. The principal amount of the debt or obligation: \$187,705,000
4. The interest rate on the debt or obligation (per EEC): 5.000%
5. A schedule of annual debt service payments (attached)
6. The method of sale of the debt or obligation, as determined by the Governing Board of the Division of Bond Finance.
7. The costs of issuance of the debt or obligation, including a detailed listing of the amounts of the major costs of issuance:

| | |
|---|--------------|
| Underwriter Discount | \$1,501,640 |
| Rating Agency Fees | \$75,000 |
| Other Costs of Issuance | \$200,000 |
| Deposit into Debt Service Reserve Account | \$11,928,000 |

TRUTH-IN-BONDING STATEMENT

The State of Florida is proposing to issue \$187,705,000 of debt or obligation for the purpose of the Florida Turnpike Program, as authorized by Chapter 338, Florida Statutes.

This debt or obligation is expected to be repaid over a period of 30 years. At a forecasted interest rate of 5.000%, total interest paid over the life of the debt or obligation will be \$169,891,625.

The proposed issuance date is 01/01/2020.

SBA - FDOT
Turnpike 2020A
Sizing Debt Service Schedule
\$187,705,000.00

Dated: 01/01/2020
Delivered: 01/01/2020

| <i>Fiscal Yr</i> | <i>Coupon Date</i> | <i>Zer Cpn</i> | <i>Cpn Rate</i> | <i>Maturing Principal</i> | <i>Periodic Interest</i> | <i>Gross Semi-Annl Dbt Svc</i> | <i>Cap Int</i> | <i>Dbt Svc Rsv Int & Prin</i> | <i>Constr. Fund Interest</i> | <i>Net Semi-Annl Dbt Svc</i> | <i>Net Fiscal Dbt Svc</i> |
|------------------|--------------------|----------------|-----------------|---------------------------|--------------------------|--------------------------------|----------------|-----------------------------------|------------------------------|------------------------------|---------------------------|
| 47 | 7/1/2047 | N | 5.000 | 10,295,000.00 | 811,750.00 | 11,106,750.00 | | 298,200.00 | | 10,808,550.00 | 11,322,100.00 |
| 48 | 1/1/2048 | | | | 554,375.00 | 554,375.00 | | 298,200.00 | | 256,175.00 | |
| 48 | 7/1/2048 | N | 5.000 | 10,815,000.00 | 554,375.00 | 11,369,375.00 | | 298,200.00 | | 11,071,175.00 | 11,327,350.00 |
| 49 | 1/1/2049 | | | | 284,000.00 | 284,000.00 | | 298,200.00 | | -14,200.00 | |
| 49 | 7/1/2049 | N | 5.000 | 11,360,000.00 | 284,000.00 | 11,644,000.00 | | 12,226,200.00 | | -582,200.00 | -596,400.00 |
| | | | | 187,705,000.00 | 169,891,625.00 | 357,596,625.00 | 0.00 | 29,521,800.00 | 0.00 | 328,074,825.00 | |

| | | | |
|---------------------------------------|------------------|---|------------------|
| <i>True Interest Cost (TIC)</i> | 5.0731310 | <i>Arbitrage Yield Limit (AYL)</i> | 5.0000000 |
| <i>Net Interest Cost (NIC)</i> | 5.0441929 | <i>Arbitrage Net Interest Cost (ANIC)</i> | 5.0000000 |

SBA - FDOT

Turnpike 2020A

Sizing Debt Service Schedule

\$187,705,000.00

Dated: 01/01/2020

Delivered: 01/01/2020

| Fiscal Yr | Coupon Date | Zer Cpn | Cpn Rate | Maturing Principal | Periodic Interest | Gross Semi-Annl Dbt Svc | Cap Int | DbtSvcRsv Int & Prin | Constr. Fund Interest | Net Semi-Annl Dbt Svc | Net Fiscal Dbt Svc |
|-----------|-------------|---------|----------|--------------------|-------------------|-------------------------|---------|----------------------|-----------------------|-----------------------|--------------------|
| 20 | 7/1/2020 | N | 5.000 | 7,230,000.00 | 4,692,625.00 | 11,922,625.00 | | 298,200.00 | | 11,624,425.00 | 11,624,425.00 |
| 21 | 1/1/2021 | | | | 4,511,875.00 | 4,511,875.00 | | 298,200.00 | | 4,213,675.00 | |
| 21 | 7/1/2021 | N | 5.000 | 2,895,000.00 | 4,511,875.00 | 7,406,875.00 | | 298,200.00 | | 7,108,675.00 | 11,322,350.00 |
| 22 | 1/1/2022 | | | | 4,439,500.00 | 4,439,500.00 | | 298,200.00 | | 4,141,300.00 | |
| 22 | 7/1/2022 | N | 5.000 | 3,040,000.00 | 4,439,500.00 | 7,479,500.00 | | 298,200.00 | | 7,181,300.00 | 11,322,600.00 |
| 23 | 1/1/2023 | | | | 4,363,500.00 | 4,363,500.00 | | 298,200.00 | | 4,065,300.00 | |
| 23 | 7/1/2023 | N | 5.000 | 3,195,000.00 | 4,363,500.00 | 7,558,500.00 | | 298,200.00 | | 7,260,300.00 | 11,325,600.00 |
| 24 | 1/1/2024 | | | | 4,283,625.00 | 4,283,625.00 | | 298,200.00 | | 3,985,425.00 | |
| 24 | 7/1/2024 | N | 5.000 | 3,350,000.00 | 4,283,625.00 | 7,633,625.00 | | 298,200.00 | | 7,335,425.00 | 11,320,850.00 |
| 25 | 1/1/2025 | | | | 4,199,875.00 | 4,199,875.00 | | 298,200.00 | | 3,901,675.00 | |
| 25 | 7/1/2025 | N | 5.000 | 3,520,000.00 | 4,199,875.00 | 7,719,875.00 | | 298,200.00 | | 7,421,675.00 | 11,323,350.00 |
| 26 | 1/1/2026 | | | | 4,111,875.00 | 4,111,875.00 | | 298,200.00 | | 3,813,675.00 | |
| 26 | 7/1/2026 | N | 5.000 | 3,695,000.00 | 4,111,875.00 | 7,806,875.00 | | 298,200.00 | | 7,508,675.00 | 11,322,350.00 |
| 27 | 1/1/2027 | | | | 4,019,500.00 | 4,019,500.00 | | 298,200.00 | | 3,721,300.00 | |
| 27 | 7/1/2027 | N | 5.000 | 3,880,000.00 | 4,019,500.00 | 7,899,500.00 | | 298,200.00 | | 7,601,300.00 | 11,322,600.00 |
| 28 | 1/1/2028 | | | | 3,922,500.00 | 3,922,500.00 | | 298,200.00 | | 3,624,300.00 | |
| 28 | 7/1/2028 | N | 5.000 | 4,075,000.00 | 3,922,500.00 | 7,997,500.00 | | 298,200.00 | | 7,699,300.00 | 11,323,600.00 |
| 29 | 1/1/2029 | | | | 3,820,625.00 | 3,820,625.00 | | 298,200.00 | | 3,522,425.00 | |
| 29 | 7/1/2029 | N | 5.000 | 4,280,000.00 | 3,820,625.00 | 8,100,625.00 | | 298,200.00 | | 7,802,425.00 | 11,324,850.00 |
| 30 | 1/1/2030 | | | | 3,713,625.00 | 3,713,625.00 | | 298,200.00 | | 3,415,425.00 | |
| 30 | 7/1/2030 | N | 5.000 | 4,490,000.00 | 3,713,625.00 | 8,203,625.00 | | 298,200.00 | | 7,905,425.00 | 11,320,850.00 |
| 31 | 1/1/2031 | | | | 3,601,375.00 | 3,601,375.00 | | 298,200.00 | | 3,303,175.00 | |
| 31 | 7/1/2031 | N | 5.000 | 4,715,000.00 | 3,601,375.00 | 8,316,375.00 | | 298,200.00 | | 8,018,175.00 | 11,321,350.00 |
| 32 | 1/1/2032 | | | | 3,483,500.00 | 3,483,500.00 | | 298,200.00 | | 3,185,300.00 | |
| 32 | 7/1/2032 | N | 5.000 | 4,955,000.00 | 3,483,500.00 | 8,438,500.00 | | 298,200.00 | | 8,140,300.00 | 11,325,600.00 |
| 33 | 1/1/2033 | | | | 3,359,625.00 | 3,359,625.00 | | 298,200.00 | | 3,061,425.00 | |
| 33 | 7/1/2033 | N | 5.000 | 5,200,000.00 | 3,359,625.00 | 8,559,625.00 | | 298,200.00 | | 8,261,425.00 | 11,322,850.00 |
| 34 | 1/1/2034 | | | | 3,229,625.00 | 3,229,625.00 | | 298,200.00 | | 2,931,425.00 | |
| 34 | 7/1/2034 | N | 5.000 | 5,460,000.00 | 3,229,625.00 | 8,689,625.00 | | 298,200.00 | | 8,391,425.00 | 11,322,850.00 |
| 35 | 1/1/2035 | | | | 3,093,125.00 | 3,093,125.00 | | 298,200.00 | | 2,794,925.00 | |
| 35 | 7/1/2035 | N | 5.000 | 5,735,000.00 | 3,093,125.00 | 8,828,125.00 | | 298,200.00 | | 8,529,925.00 | 11,324,850.00 |
| 36 | 1/1/2036 | | | | 2,949,750.00 | 2,949,750.00 | | 298,200.00 | | 2,651,550.00 | |
| 36 | 7/1/2036 | N | 5.000 | 6,020,000.00 | 2,949,750.00 | 8,969,750.00 | | 298,200.00 | | 8,671,550.00 | 11,323,100.00 |
| 37 | 1/1/2037 | | | | 2,799,250.00 | 2,799,250.00 | | 298,200.00 | | 2,501,050.00 | |
| 37 | 7/1/2037 | N | 5.000 | 6,320,000.00 | 2,799,250.00 | 9,119,250.00 | | 298,200.00 | | 8,821,050.00 | 11,322,100.00 |
| 38 | 1/1/2038 | | | | 2,641,250.00 | 2,641,250.00 | | 298,200.00 | | 2,343,050.00 | |
| 38 | 7/1/2038 | N | 5.000 | 6,635,000.00 | 2,641,250.00 | 9,276,250.00 | | 298,200.00 | | 8,978,050.00 | 11,321,100.00 |
| 39 | 1/1/2039 | | | | 2,475,375.00 | 2,475,375.00 | | 298,200.00 | | 2,177,175.00 | |
| 39 | 7/1/2039 | N | 5.000 | 6,970,000.00 | 2,475,375.00 | 9,445,375.00 | | 298,200.00 | | 9,147,175.00 | 11,324,350.00 |
| 40 | 1/1/2040 | | | | 2,301,125.00 | 2,301,125.00 | | 298,200.00 | | 2,002,925.00 | |
| 40 | 7/1/2040 | N | 5.000 | 7,315,000.00 | 2,301,125.00 | 9,616,125.00 | | 298,200.00 | | 9,317,925.00 | 11,320,850.00 |
| 41 | 1/1/2041 | | | | 2,118,250.00 | 2,118,250.00 | | 298,200.00 | | 1,820,050.00 | |
| 41 | 7/1/2041 | N | 5.000 | 7,685,000.00 | 2,118,250.00 | 9,803,250.00 | | 298,200.00 | | 9,505,050.00 | 11,325,100.00 |
| 42 | 1/1/2042 | | | | 1,926,125.00 | 1,926,125.00 | | 298,200.00 | | 1,627,925.00 | |
| 42 | 7/1/2042 | N | 5.000 | 8,065,000.00 | 1,926,125.00 | 9,991,125.00 | | 298,200.00 | | 9,692,925.00 | 11,320,850.00 |
| 43 | 1/1/2043 | | | | 1,724,500.00 | 1,724,500.00 | | 298,200.00 | | 1,426,300.00 | |
| 43 | 7/1/2043 | N | 5.000 | 8,470,000.00 | 1,724,500.00 | 10,194,500.00 | | 298,200.00 | | 9,896,300.00 | 11,322,600.00 |
| 44 | 1/1/2044 | | | | 1,512,750.00 | 1,512,750.00 | | 298,200.00 | | 1,214,550.00 | |
| 44 | 7/1/2044 | N | 5.000 | 8,895,000.00 | 1,512,750.00 | 10,407,750.00 | | 298,200.00 | | 10,109,550.00 | 11,324,100.00 |
| 45 | 1/1/2045 | | | | 1,290,375.00 | 1,290,375.00 | | 298,200.00 | | 992,175.00 | |
| 45 | 7/1/2045 | N | 5.000 | 9,340,000.00 | 1,290,375.00 | 10,630,375.00 | | 298,200.00 | | 10,332,175.00 | 11,324,350.00 |
| 46 | 1/1/2046 | | | | 1,056,875.00 | 1,056,875.00 | | 298,200.00 | | 758,675.00 | |
| 46 | 7/1/2046 | N | 5.000 | 9,805,000.00 | 1,056,875.00 | 10,861,875.00 | | 298,200.00 | | 10,563,675.00 | 11,322,350.00 |
| 47 | 1/1/2047 | | | | 811,750.00 | 811,750.00 | | 298,200.00 | | 513,550.00 | |

SBA - FDOT
Turnpike 2020A

Dated: 01/01/2020
Delivered: 01/01/2020

Summary of Sizing Inputs

\$187,705,000.00

General Information

1st Month in FY: 1
Denomination: 5000.
Rate scale: 5.00
Issue type: REVENUE
Sizing Rule 1: Level debt service - yearly principal payments. You input the gross construction costs (or a draw schedule) and the size of the bond issue is computed to cover the construction draws, reserves, and the various costs of issuance.
-> Proportionally level debt service in stub period.

Dates

01/01/2020-> Dated (bond issue) date
01/01/2020-> Delivery date
07/01/2020-> 1st coupon date
07/01/2020-> First principal payment
07/01/2049-> Last maturity date
No CABS in bond issue

Gross Construction Costs

| | |
|------------------------------|----------------|
| Total project costs | 174,000,000.00 |
| Total prior costs | |
| Net total project costs: | 174,000,000.00 |
| Total number of projects = 0 | |

Restricted Accounts

DSR rule: Lesser of 10% of prin, Max yrly dsv, or 125% avg yrly dsv
No capitalized interest
Restricted yield = 5.000000%
Net deposit to Debt Service Reserve Fund 11,928,000.00
Net deposit to Contingency Fund 325.70

Costs of Issuance

| | |
|---|---------------|
| Underwriter spread: 8.000/\$1,000 | -1,501,640.00 |
| Bond insurance: 0.000% (net of accrued & cap. interest) | |
| Other TIC costs: | 275,000.00 |

SBA - FDOT

Dated: 01/01/2020
Delivered: 01/01/2020

Turnpike 2020A

Summary of Sizing Calculations

\$187,705,000.00

Sources of Funds

| | |
|------------------------|----------------|
| Par amount of bonds | 187,705,000.00 |
| Original Issue Premium | |
| Accrued Interest | |

Construction Costs

| | |
|---|----------------|
| Costs to complete construction | 174,000,000.00 |
| Prior costs to be paid from bond proceeds | |
| Gross Construction Costs | 174,000,000.00 |

Restricted Funds

| | |
|---|---------------|
| Gross capitalized interest | |
| Less: Interest earned on Capitalized Interest Fund @ 5.000% | |
| Net deposit to Capitalized Interest Fund | |
| Net deposit to Debt Service Reserve Fund | 11,928,000.00 |
| Net deposit to Contingency Fund | 325.70 |

Costs of Issuance

| | |
|-----------------------------------|---------------|
| Underwriter spread: 8.000/\$1,000 | -1,501,640.00 |
| Bond insurance: 0.000% | |
| Other issuance costs | 275,000.00 |
| Rounding due to denomination size | 34.30 |

Calculations

| | |
|------------------------------------|------------------|
| Net Interest Cost (NIC) | 5.0441929 |
| True Interest Cost (TIC) | 5.0731310 |
| All-Inclusive TIC: | 5.0866251 |
| Arbitrage Net Interest Cost (NIC) | 5.0000000 |
| Arbitrage Yield Limit (AYL) | 5.0000000 |
| Total Bond Years (delivery date) | 3,397,832,500.00 |
| Average Bond Years (Delivery date) | 18.10 |
| Level debt service calculation | 11,919,144.60 |

SCHEDULE IX: MAJOR AUDIT FINDINGS AND RECOMMENDATIONS

Budget Period: 2019-2020

Department: Transportation

Chief Internal Auditor: Kris Sullivan

Budget Entity: Transportation Systems Development

Phone Number: 850-410-5506

| (1) | (2) | (3) | (4) | (5) | (6) |
|---------------|---------------|-------------------|--|--|------------|
| REPORT NUMBER | PERIOD ENDING | UNIT/AREA | SUMMARY OF FINDINGS AND RECOMMENDATIONS | SUMMARY OF CORRECTIVE ACTION TAKEN | ISSUE CODE |
| 2017-121 | 3/1/2017 | Transit- Aviation | <p>Finding AG 2017-121-02: District records did not evidence the basis for awarding 224 Aviation Grant Program contracts, totaling approximately \$258.2 million in State Financial Assistance (SFA), during the period July 2015 through January 2016.</p> <p>Recommendation: The AG recommends that Department management establish detailed policies and procedures prescribing the methodology to be utilized by the districts for Aviation Grant Program contract awards and the documentation to be maintained to support the basis for the contract awards. In addition, we recommend that Department management ensure that the districts maintain appropriate documentation to support all Aviation Grant Program contract awards in accordance with established policies and procedures.</p> | <p>Initial Response 3/1/17: Agree - The Department will utilize the Aviation Task Team, who meets monthly by teleconference, to establish detailed and comprehensive Aviation Grant Program Policies and Procedures to prescribe contract award methodology and documentation processes. In addition, the Department will develop processes to ensure proper documentation is maintained.</p> <p>Update 10/31/17: The Aviation Grant Program Project Selection Worksheet, FDOT Form No. 725-040-28, has been created, documenting the basis for grant award.</p> <p>Update 7/26/18: Resolution pending further discussion with the Office of Inspector General, scheduled for August 2, 2018.</p> | |

Fiscal Year 2019-20 LBR Technical Review Checklist

| | |
|--|--|
| Department/Budget Entity (Service): Department of Transportation | |
| Agency Budget Officer/OPB Analyst Name: Mechelle Marcum/Tonja Webb | |

A "Y" indicates "YES" and is acceptable, an "N/J" indicates "NO/Justification Provided" - these require further explanation/justification (additional sheets can be used as necessary), and "TIPS" are other areas to consider.

| Action | Program or Service (Budget Entity Codes) | | | | | |
|--------|--|----------|----------|----------|----------|----------|
| | 55100100 | 55100500 | 55150200 | 55150500 | 55150600 | 55180100 |

1. GENERAL

| | | | | | | |
|---|---|---|---|---|---|---|
| 1.1 Are Columns A01, A04, A05, A23, A24, A25, A36, A93, IA1, IA5, IA6, IP1, IV1, IV3 and NV1 set to TRANSFER CONTROL for DISPLAY status and MANAGEMENT CONTROL for UPDATE status for both the Budget and Trust Fund columns (no trust fund files for narrative columns)? Is Column A02 set to TRANSFER CONTROL for DISPLAY status and MANAGEMENT CONTROL for UPDATE status for the Trust Fund Files (the Budget Files should already be on TRANSFER CONTROL for DISPLAY and MANAGEMENT CONTROL for UPDATE)? Are Columns A06, A07, A08 and A09 for Fixed Capital Outlay (FCO) set to TRANSFER CONTROL for DISPLAY status only (UPDATE status remains on OWNER)? (CSDC or Web LBR Column Security) | 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 |

AUDITS:

| | | | | | | |
|--|---|---|---|---|---|---|
| 1.3 Has Column A03 been copied to Column A12? Run the Exhibit B Audit Comparison Report to verify. (EXBR, EXBA) | Y | Y | Y | Y | Y | Y |
| 1.4 Has Column A12 security been set correctly to ALL for DISPLAY status and MANAGEMENT CONTROL for UPDATE status for Budget and Trust Fund files? (CSDR, CSA) | 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 |
| 2.2 Are the statewide issues generated systematically (estimated expenditures, nonrecurring expenditures, etc.) included? | Y | Y | Y | Y | Y | Y |
| 2.3 Are the issue codes and titles consistent with <i>Section 3</i> of the LBR Instructions (pages 15 through 29)? Do they clearly describe the issue? | Y | Y | Y | Y | Y | Y |

3. EXHIBIT B (EXBR, EXB)

| | | | | | | |
|---|-----|-----|-----|-----|-----|-----|
| 3.1 Is it apparent that there is a fund shift where an appropriation category's funding source is different between A02 and A03? Were the issues entered into LAS/PBS correctly? Check D-3A funding shift issue 340XXX0 - a unique deduct and unique add back issue should be used to ensure fund shifts display correctly on the LBR exhibits. | N/A | N/A | N/A | N/A | N/A | N/A |
|---|-----|-----|-----|-----|-----|-----|

AUDITS:

| | | | | | | |
|--|---|---|---|---|---|---|
| 3.2 Negative Appropriation Category Audit for Agency Request (Columns A03 and A04): Are all appropriation categories positive by budget entity at the FSI level? Are all nonrecurring amounts less than requested amounts? (NACR, NAC - Report should print "No Negative Appropriation Categories Found") | Y | Y | Y | Y | Y | Y |
| 3.3 Current Year Estimated Verification Comparison Report: Is Column A02 equal to Column B07? (EXBR, EXBC - Report should print "Records Selected Net To Zero") | Y | Y | Y | Y | Y | Y |

| | | | | | | |
|---|--|--|--|--|--|--|
| TIP Generally look for and be able to fully explain significant differences between A02 and A03. | | | | | | |
| TIP Exhibit B - A02 equal to B07: Compares Current Year Estimated column to a backup of A02. This audit is necessary to ensure that the historical detail records have not been adjusted. Records selected should net to zero. | | | | | | |

Fiscal Year 2019-20 LBR Technical Review Checklist

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| Department/Budget Entity (Service): Department of Transportation | |
| Agency Budget Officer/OPB Analyst Name: Mechelle Marcum/Tonja Webb | |

A "Y" indicates "YES" and is acceptable, an "N/J" indicates "NO/Justification Provided" - these require further explanation/justification (additional sheets can be used as necessary), and "TIPS" are other areas to consider.

| Action | Program or Service (Budget Entity Codes) | | | | | |
|---|--|----------|----------|----------|----------|----------|
| | 55100100 | 55100500 | 55150200 | 55150500 | 55150600 | 55180100 |
| 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 |
| 4.2 Is the program component code and title used correct? | Y | Y | Y | Y | Y | Y |
| TIP Fund shifts or transfers of services or activities between program components will be displayed on an Exhibit D whereas it may not be visible on an Exhibit A. | | | | | | |
| 5. EXHIBIT D-1 (ED1R, EXD1) | | | | | | |
| 5.1 Are all object of expenditures positive amounts? (This is a manual check.) | Y | Y | Y | Y | Y | Y |
| AUDITS: | | | | | | |
| 5.2 Do the fund totals agree with the object category totals within each appropriation category? (ED1R, XD1A - Report should print "No Differences Found For This Report") | Y | Y | Y | Y | Y | Y |
| 5.3 FLAIR Expenditure/Appropriation Ledger Comparison Report: Is Column A01 less than Column B04? (EXBR, EXBB - Negative differences [with a \$5,000 allowance] need to be corrected in Column A01.) | Y | Y | Y | Y | Y | Y |
| 5.4 A01/State Accounts Disbursements and Carry Forward Comparison Report: Does Column A01 equal Column B08? (EXBR, EXBD - Differences [with a \$5,000 allowance at the department level] need to be corrected in Column A01.) | Y | Y | Y | Y | Y | Y |
| 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 |
| 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 |
| 7.2 Does the issue narrative adequately explain the agency's request and is the explanation consistent with the LRPP? (See pages 67 through 69 of the LBR Instructions.) | Y | Y | Y | Y | Y | Y |
| 7.3 Does the narrative for Information Technology (IT) issue follow the additional narrative requirements described on pages 69 through 72 of the LBR Instructions? | Y | N/A | N/A | Y | Y | N/A |

Fiscal Year 2019-20 LBR Technical Review Checklist

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A "Y" indicates "YES" and is acceptable, an "N/J" indicates "NO/Justification Provided" - these require further explanation/justification (additional sheets can be used as necessary), and "TIPS" are other areas to consider.

| Action | Program or Service (Budget Entity Codes) | | | | | |
|--|--|----------|----------|----------|----------|----------|
| | 55100100 | 55100500 | 55150200 | 55150500 | 55150600 | 55180100 |
| 7.4 Are all issues with an IT component identified with a "Y" in the "IT COMPONENT?" field? If the issue contains an IT component, has that component been identified and documented? | Y | N/A | N/A | Y | Y | N/A |
| 7.5 Does the issue narrative explain any variances from the Standard Expense and Human Resource Services Assessments package? Is the nonrecurring portion in the nonrecurring column? (See pages E.4 through E.6 of the LBR Instructions.) | N/A | N/A | N/A | N/A | N/A | N/A |
| 7.6 Does the salary rate request amount accurately reflect any new requests and are the amounts proportionate to the Salaries and Benefits request? Note: Salary rate should always be annualized. | N/A | N/A | N/A | N/A | N/A | N/A |
| 7.7 Does the issue narrative thoroughly explain/justify all Salaries and Benefits amounts entered into the Other Salary Amounts transactions (OADA/C)? Amounts entered into OAD are reflected in the Position Detail of Salaries and Benefits section of the Exhibit D-3A. (See pages 95 and 96 of the LBR Instructions.) | N/A | N/A | Y | N/A | Y | N/A |
| 7.8 Does the issue narrative include the Consensus Estimating Conference forecast, where appropriate? | Y | Y | Y | Y | Y | Y |
| 7.9 Does the issue narrative reference the specific county(ies) where applicable? | Y | Y | Y | Y | Y | Y |
| 7.10 Do the 160XXX0 issues reflect budget amendments that have been approved (or in the process of being approved) and that have a recurring impact (including Lump Sums)? Have the approved budget amendments been entered in Column A18 as instructed in Memo #19-002? | N/A | N/A | N/A | N/A | N/A | N/A |
| 7.11 When appropriate are there any 160XXX0 issues included to delete positions placed in reserve in the LAS/PBS Position and Rate Ledger (e.g. unfunded grants)? Note: Lump sum appropriations not yet allocated should <u>not</u> be deleted. (PLRR, PLMO) | N/A | N/A | N/A | N/A | N/A | N/A |
| 7.12 Does the issue narrative include plans to satisfy additional space requirements when requesting additional positions? | N/A | N/A | N/A | N/A | N/A | N/A |
| 7.13 Has the agency included a 160XXX0 issue and 210XXXX and 260XXX0 issues as required for lump sum distributions? | N/A | N/A | N/A | N/A | N/A | N/A |
| 7.14 Do the amounts reflect appropriate FSI assignments? | Y | Y | Y | Y | Y | Y |
| 7.15 Are the 33XXXX0 issues negative amounts only and do not restore nonrecurring cuts from a prior year or fund any issues that net to a positive or zero amount? Check D-3A issues 33XXXX0 - a unique issue should be used for issues that net to zero or a positive amount. | N/A | N/A | N/A | N/A | N/A | N/A |
| 7.16 Do the issue codes relating to special <i>salary and benefits</i> issues (e.g., position reclassification, pay grade adjustment, overtime/on-call pay, etc.) have an "A" in the fifth position of the issue code (XXXXAXX) and are they self-contained (not combined with other issues)? (See pages 28 and 90 of the LBR Instructions.) | N/A | N/A | N/A | N/A | N/A | N/A |
| 7.17 Do the issues relating to <i>Information Technology (IT)</i> have a "C" in the sixth position of the issue code (36XXXCX) and are the correct issue codes used (361XXC0, 362XXC0, 363XXC0, 17C01C0, 17C02C0, 17C03C0, 24010C0, 33001C0, 30010C0, 33011C0, 160E470, 160E480 or 55C01C0)? | Y | N/A | N/A | Y | Y | N/A |
| 7.18 Are the issues relating to <i>major audit findings and recommendations</i> properly coded (4A0XXX0, 4B0XXX0)? | N/A | N/A | N/A | N/A | N/A | N/A |
| 7.19 Does the issue narrative identify the strategy or strategies in the Five Year Statewide Strategic Plan for Economic Development? | Y | Y | Y | Y | Y | Y |
| AUDIT: | | | | | | |
| 7.20 Does the General Revenue for 160XXXX (Adjustments to Current Year Expenditures) issues net to zero? (GENR, LBR1) | N/A | N/A | N/A | N/A | N/A | N/A |
| 7.21 Does the General Revenue for 180XXXX (Intra-Agency Reorganizations) issues net to zero? (GENR, LBR2) | FDOT does not have GR. However, the 180XXXX and 200XXXX issues are netting | | | | | |

Fiscal Year 2019-20 LBR Technical Review Checklist

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A "Y" indicates "YES" and is acceptable, an "N/J" indicates "NO/Justification Provided" - these require further explanation/justification (additional sheets can be used as necessary), and "TIPS" are other areas to consider.

| Action | Program or Service (Budget Entity Codes) | | | | | |
|--|--|----------|----------|----------|----------|----------|
| | 55100100 | 55100500 | 55150200 | 55150500 | 55150600 | 55180100 |
| 7.22 Does the General Revenue for 200XXXX (Estimated Expenditures Realignment) issues net to zero? (GENR, LBR3) | to zero at the department level for the Trust Funds. | | | | | |
| 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 | N/A | Y | Y | N/A | Y |
| TIP Salaries and Benefits amounts entered using the OADA/C transactions must be thoroughly justified in the D-3A issue narrative. Agencies can run OADA/OADR from STAM to identify the amounts entered into OAD and ensure these entries have been thoroughly explained in the D-3A issue narrative. | | | | | | |
| TIP The issue narrative must completely and thoroughly explain and justify each D-3A issue. Agencies must ensure it provides the information necessary for the OPB and legislative analysts to have a complete understanding of the issue submitted. Thoroughly review pages 67 through 72 of the LBR Instructions. | | | | | | |
| TIP Check BAPS to verify status of budget amendments. Check for reapprovals not picked up in the General Appropriations Act. Verify that Lump Sum appropriations in Column A02 do not appear in Column A03. Review budget amendments to verify that 160XXX0 issue amounts correspond accurately and net to zero for General Revenue funds. | | | | | | |
| TIP If an agency is receiving federal funds from another agency the FSI should = 9 (Transfer - Recipient of Federal Funds). The agency that originally receives the funds directly from the federal agency should use FSI = 3 (Federal Funds). | | | | | | |
| TIP If an appropriation made in the FY 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 |
| 8.2 | Has a Schedule I and Schedule IB been completed in LAS/PBS for each operating trust fund? | Y |
| 8.3 | Have the appropriate Schedule I supporting documents been included for the trust funds (Schedule IA, Schedule IC, and Reconciliation to Trial Balance)? | Y |
| 8.4 | Have the Examination of Regulatory Fees Part I and Part II forms been included for the applicable regulatory programs? | Y |
| 8.5 | Have the required detailed narratives been provided (5% trust fund reserve narrative; method for computing the distribution of cost for general management and administrative services narrative; adjustments narrative; revenue estimating methodology narrative; fixed capital outlay adjustment narrative)? | Y |
| 8.6 | Has the Inter-Agency Transfers Reported on Schedule I form been included as applicable for transfers totaling \$100,000 or more for the fiscal year? | Y |
| 8.7 | If the agency is scheduled for the annual trust fund review this year, have the Schedule ID and applicable draft legislation been included for recreation, modification or termination of existing trust funds? | Y |
| 8.8 | If the agency is scheduled for the annual trust fund review this year, have the necessary trust funds been requested for creation pursuant to section 215.32(2)(b), Florida Statutes - including the Schedule ID and applicable legislation? | N/A |

Fiscal Year 2019-20 LBR Technical Review Checklist

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|--|--|
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A "Y" indicates "YES" and is acceptable, an "N/J" indicates "NO/Justification Provided" - these require further explanation/justification (additional sheets can be used as necessary), and "TIPS" are other areas to consider.

| Action | Program or Service (Budget Entity Codes) | | | | | |
|--|--|----------|----------|----------|----------|----------|
| | 55100100 | 55100500 | 55150200 | 55150500 | 55150600 | 55180100 |
| 8.9 Are the revenue codes correct? In the case of federal revenues, has the agency appropriately identified direct versus indirect receipts (object codes 000700, 000750, 000799, 001510 and 001599)? For non-grant federal revenues, is the correct revenue code identified (codes 000504, 000119, 001270, 001870, 001970)? | | | | Y | | |
| 8.10 Are the statutory authority references correct? | | | | Y | | |
| 8.11 Are the General Revenue Service Charge percentage rates used for each revenue source correct? (Refer to section 215.20, Florida Statutes, for appropriate General Revenue Service Charge percentage rates.) | | | | Y | | |
| 8.12 Is this an accurate representation of revenues based on the most recent Consensus Estimating Conference forecasts? | | | | Y | | |
| 8.13 If there is no Consensus Estimating Conference forecast available, do the revenue estimates appear to be reasonable? | | | | Y | | |
| 8.14 Are the federal funds revenues reported in Section I broken out by individual grant? Are the correct CFDA codes used? | | | | Y | | |
| 8.15 Are anticipated grants included and based on the state fiscal year (rather than federal fiscal year)? | | | | Y | | |
| 8.16 Are the Schedule I revenues consistent with the FSI's reported in the Exhibit D-3A? | | | | Y | | |
| 8.17 If applicable, are nonrecurring revenues entered into Column A04? | | | | Y | | |
| 8.18 Has the agency certified the revenue estimates in columns A02 and A03 to be the latest and most accurate available? Does the certification include a statement that the agency will notify OPB of any significant changes in revenue estimates that occur prior to the Governor's Budget Recommendations being issued? | | | | Y | | |
| 8.19 Is a 5% trust fund reserve reflected in Section II? If not, is sufficient justification provided for exemption? Are the additional narrative requirements provided? | | | | Y | | |
| 8.20 Are appropriate General Revenue Service Charge nonoperating amounts included in Section II? | | | | Y | | |
| 8.21 Are nonoperating expenditures to other budget entities/departments cross-referenced accurately? | | | | Y | | |
| 8.22 Do transfers balance between funds (within the agency as well as between agencies)? (See also 8.6 for required transfer confirmation of amounts totaling \$100,000 or more.) | | | | Y | | |
| 8.23 Are nonoperating expenditures recorded in Section II and adjustments recorded in Section III? | | | | Y | | |
| 8.24 Are prior year September operating reversions appropriately shown in column A01, Section III? | | | | Y | | |
| 8.25 Are current year September operating reversions (if available) appropriately shown in column A02, Section III? | | | | 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 | | |
| 8.27 Has the agency properly accounted for continuing appropriations (category 13XXXX) in column A01, Section III? | | | | Y | | |
| 8.28 Does Column A01 of the Schedule I accurately represent the actual prior year accounting data as reflected in the agency accounting records, and is it provided in sufficient detail for analysis? | | | | Y | | |
| 8.29 Does Line I of Column A01 (Schedule I) equal Line K of the Schedule IC? | | | | Y | | |
| AUDITS: | | | | | | |
| 8.30 Is Line I a positive number? (If not, the agency must adjust the budget request to eliminate the deficit). | | | | Y | | |

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A "Y" indicates "YES" and is acceptable, an "N/J" indicates "NO/Justification Provided" - these require further explanation/justification (additional sheets can be used as necessary), and "TIPS" are other areas to consider.

| Action | Program or Service (Budget Entity Codes) | | | | | |
|--|--|----------|----------|----------|----------|----------|
| | 55100100 | 55100500 | 55150200 | 55150500 | 55150600 | 55180100 |
| 8.31 Is the June 30 Adjusted Unreserved Fund Balance (Line I) equal to the July 1 Unreserved Fund Balance (Line A) of the following year? If a Schedule IB was prepared, do the totals agree with the Schedule I, Line I? (SC1R, SC1A - Report should print "No Discrepancies Exist For This Report") | | | | Y | | |
| 8.32 Has a Department Level Reconciliation been provided for each trust fund and does Line A of the Schedule I equal the CFO amount? If not, the agency must correct Line A. (SC1R, DEPT) | | | | Y | | |
| 8.33 Has a Schedule IB been provided for ALL trust funds having an unreserved fund balance in columns A01, A02 and/or A03, and if so, does each column's total agree with line I of the Schedule I? | | | | Y | | |
| 8.34 Have A/R been properly analyzed and any allowances for doubtful accounts been properly recorded on the Schedule IC? | | | | Y | | |
| TIP The Schedule I is the most reliable source of data concerning the trust funds. It is very important that this schedule is as accurate as possible! | | | | | | |
| TIP Determine if the agency is scheduled for trust fund review. (See page 128 of the LBR Instructions.) Transaction DFTR in LAS/PBS is also available and provides an LBR review date for each trust fund. | | | | | | |
| TIP Review the unreserved fund balances and compare revenue totals to expenditure totals to determine and understand the trust fund status. | | | | | | |
| TIP Typically nonoperating expenditures and revenues should not be a negative number. Any negative numbers must be fully justified. | | | | | | |
| 9. SCHEDULE II (PSCR, SC2) | | | | | | |
| AUDIT: | | | | | | |
| 9.1 Is the pay grade minimum for salary rate utilized for positions in segments 2 and 3? (BRAR, BRAA - Report should print "No Records Selected For This Request") Note: Amounts other than the pay grade minimum should be fully justified in the D-3A issue narrative. (See <i>Base Rate Audit</i> on page 158 of the LBR Instructions.) | Those position transfer issues with the vacant positions requested to transfer at the broadband minimum. | | | | | |
| 10. SCHEDULE III (PSCR, SC3) | | | | | | |
| 10.1 Is the appropriate lapse amount applied? (See page 93 of the LBR Instructions.) | N/A | N/A | N/A | N/A | N/A | N/A |
| 10.2 Are amounts in <i>Other Salary Amount</i> appropriate and fully justified? (See page 96 of the LBR Instructions for appropriate use of the OAD transaction.) Use OADI or OADR to identify agency other salary amounts requested. | Y | N/A | Y | N/A | Y | N/A |
| 11. SCHEDULE IV (EADR, SC4) | | | | | | |
| 11.1 Are the correct Information Technology (IT) issue codes used? | Y | N/A | N/A | Y | Y | N/A |
| TIP If IT issues are not coded (with "C" in 6th position or within a program component of 1603000000), they will not appear in the Schedule IV. | | | | | | |
| 12. SCHEDULE VIIIA (EADR, SC8A) | | | | | | |
| 12.1 Is there only one #1 priority, one #2 priority, one #3 priority, etc. reported on the Schedule VIIIA-A? Are the priority narrative explanations adequate? Note: FCO issues can be included in the priority listing. | Y | Y | Y | Y | Y | Y |
| 13. SCHEDULE VIIIB-1 (EADR, S8B1) | | | | | | |
| 13.1 NOT REQUIRED FOR THIS YEAR | N/A | N/A | N/A | N/A | N/A | N/A |
| 14. SCHEDULE VIIIB-2 (EADR, S8B2) (Required to be posted to the Florida Fiscal Portal) | | | | | | |
| 14.1 Do the reductions comply with the instructions provided on pages 102 through 104 of the LBR Instructions regarding a 10% reduction in recurring General Revenue and Trust Funds, including the verification that the 33BXXX0 issue has NOT been used? Verify that excluded appropriation categories and funds were not used (e.g. funds with FSI 3 and 9, etc.) | Y | Y | Y | Y | Y | Y |

Fiscal Year 2019-20 LBR Technical Review Checklist

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| Action | Program or Service (Budget Entity Codes) | | | | | |
|---|---|----------|----------|----------|----------|----------|
| | 55100100 | 55100500 | 55150200 | 55150500 | 55150600 | 55180100 |
| 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 VIIC (EADR, S8C) (This Schedule is optional, but if included it is required to be posted to the Florida Fiscal Portal) | | | | | | |
| 15.1 Does the schedule display reprioritization issues that are each comprised of two unique issues - a deduct component and an add-back component which net to zero at the department level? | This schedule is optional for agencies and FDOT will not be submitting for FY2019-20. | | | | | |
| 15.2 Are the priority narrative explanations adequate and do they follow the guidelines on pages 105-107 of the LBR instructions? | | | | | | |
| 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? | | | | | | |
| 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 |
| 16. SCHEDULE XI (USCR, SCXI) (LAS/PBS Web - see pages 108-112 of the LBR Instructions for detailed instructions) (Required to be posted to the Florida Fiscal Portal in Manual Documents) | | | | | | |
| 16.1 Agencies are required to generate this spreadsheet via the LAS/PBS Web. The Final Excel version no longer has to be submitted to OPB for inclusion on the Governor's Florida Performs Website. (Note: Pursuant to section 216.023(4) (b), Florida Statutes, the Legislature can reduce the funding level for any agency that does not provide this information.) | Y | Y | Y | Y | Y | Y |
| 16.2 Do the PDF files uploaded to the Florida Fiscal Portal for the LRPP and LBR match? | Y | Y | Y | Y | Y | Y |
| AUDITS INCLUDED IN THE SCHEDULE XI REPORT: | | | | | | |
| 16.3 Does the FY 2017-18 Actual (prior year) Expenditures in Column A36 reconcile to Column A01? (GENR, ACT1) | 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 |
| 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 |
| 16.6 Has the agency provided the necessary standard (Record Type 5) for all activities which <u>should</u> 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 |
| 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 |
| TIP If Section I and Section III have a small difference, it may be due to rounding and therefore will be acceptable. | | | | | | |
| 17. MANUALLY PREPARED EXHIBITS & SCHEDULES (Required to be posted to the Florida Fiscal Portal) | | | | | | |
| 17.1 Do exhibits and schedules comply with LBR Instructions (pages 113 through 155 of the LBR Instructions), and are they accurate and complete? | Y | Y | Y | Y | Y | Y |
| 17.2 Does manual exhibits tie to LAS/PBS where applicable? | Y | Y | Y | Y | Y | Y |
| 17.3 Are agency organization charts (Schedule X) provided and at the appropriate level of detail? | Y | Y | Y | Y | Y | Y |

Fiscal Year 2019-20 LBR Technical Review Checklist

| | |
|--|--|
| Department/Budget Entity (Service): Department of Transportation | |
| Agency Budget Officer/OPB Analyst Name: Mechelle Marcum/Tonja Webb | |

A "Y" indicates "YES" and is acceptable, an "N/J" indicates "NO/Justification Provided" - these require further explanation/justification (additional sheets can be used as necessary), and "TIPS" are other areas to consider.

| Action | Program or Service (Budget Entity Codes) | | | | | |
|---|--|----------|----------|----------|----------|----------|
| | 55100100 | 55100500 | 55150200 | 55150500 | 55150600 | 55180100 |
| 17.4 Does the LBR include a separate Schedule IV-B for each IT project over \$1 million (see page 131 of the LBR instructions for exceptions to this rule)? Have all IV-Bs been emailed to: IT@LASPBS.STATE.FL.US? | N/A | N/A | N/A | Y | Y | N/A |
| 17.5 Are all forms relating to Fixed Capital Outlay (FCO) funding requests submitted in the proper form, including a Truth in Bonding statement (if applicable) ? | Y | Y | Y | Y | N/A | Y |
| AUDITS - GENERAL INFORMATION | | | | | | |
| TIP Review <i>Section 6: Audits</i> of the LBR Instructions (pages 157-159) for a list of audits and their descriptions. | | | | | | |
| TIP Reorganizations may cause audit errors. Agencies must indicate that these errors are due to an agency reorganization to justify the audit error. | | | | | | |
| 18. CAPITAL IMPROVEMENTS PROGRAM (CIP) (Required to be posted to the Florida Fiscal Portal) | | | | | | |
| 18.1 Are the CIP-2, CIP-3, CIP-A and CIP-B forms included? | N/A | N/A | Y | Y | N/A | Y |
| 18.2 Are the CIP-4 and CIP-5 forms submitted when applicable (see CIP Instructions)? | N/A | N/A | Y | Y | N/A | Y |
| 18.3 Do all CIP forms comply with CIP Instructions where applicable (see CIP Instructions)? | N/A | N/A | Y | Y | N/A | Y |
| 18.4 Does the agency request include 5 year projections (Columns A03, A06, A07, A08 and A09)? | N/A | N/A | Y | Y | N/A | Y |
| 18.5 Are the appropriate counties identified in the narrative? | N/A | N/A | Y | Y | N/A | Y |
| 18.6 Has the CIP-2 form (Exhibit B) been modified to include the agency priority for each project and the modified form saved as a PDF document? | N/A | N/A | Y | Y | N/A | 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 | | | | | |