



Florida Department of Transportation

RON DESANTIS
GOVERNOR

605 Suwannee Street
Tallahassee, FL 32399-0450

KEVIN J. THIBAUT, P.E.
SECRETARY

September 16, 2019

Chris Spencer, Policy 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

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

RE: FISCAL YEAR 2020-21 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 2020-21 Fiscal Year. This submission has been approved by Kevin J. Thibault, P.E., Secretary of the Florida Department of Transportation.

Sincerely,

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

Mechelle Marcum
Budget Officer

MM:jmp

Enclosure

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

COL A03 AGY REQUEST FY 2020-21			
POS	AMOUNT	PRIORITY	CODES

TRANSPORTATION, DEPT OF			55000000
CAPITAL IMPROVEMENT PLAN			9900000
TRANSPORTATION WORK PROGRAM			990T000
FIXED CAPITAL OUTLAY			080000
SM CTY RESURFACE ASSIST PG		001	085575
TRUST FUNDS.....	35,185,668		2000
	=====		

SCH VIIIA NARR 20-21 NOTES: SM CTY RESURFACE ASSIST PG
 Requests \$9,109,848,662 in budget authority for the department's Work Program.

Work Program: \$8,770,539,985 Nonrecurring
 Debt Service: \$ 339,308,677

 Total Work Program: \$9,109,848,662

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 4: Provide efficient and reliable mobility for people and freight.

SM COUNTY OUTREACH PROGRAM		001	085576
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TRUST FUNDS.....	77,351,138		2000
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SCH VIIIA NARR 20-21 NOTES: SM COUNTY OUTREACH PROGRAM
 Requests \$9,109,848,662 in budget authority for the department's Work Program.

Work Program: \$8,770,539,985 Nonrecurring
 Debt Service: \$ 339,308,677

 Total Work Program: \$9,109,848,662

COL A03 AGY REQUEST FY 2020-21			
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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G/A-MAJOR DISASTERS - WP		001	088041
TRUST FUNDS.....	9,269,681		2000

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SCH VIIIA NARR 20-21 NOTES: G/A-MAJOR DISASTERS - WP
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POS	AMOUNT	PRIORITY	CODES

TRANSPORTATION, DEPT OF			55000000
CAPITAL IMPROVEMENT PLAN			9900000
TRANSPORTATION WORK PROGRAM			990T000
FIXED CAPITAL OUTLAY			080000
COUNTY TRANSPORTATION PRGS		001	088572
TRUST FUNDS.....	44,386,825		2000
	=====		

SCH VIIIA NARR 20-21 NOTES: COUNTY TRANSPORTATION PRGS
 Requests \$9,109,848,662 in budget authority for the department's Work Program.

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BOND GUARANTEE		001	088703
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TRUST FUNDS.....	1,000,000		2000
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SCH VIIIA NARR 20-21 NOTES: BOND GUARANTEE
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 COL A03
 AGY REQUEST
 FY 2020-21
 POS AMOUNT PRIORITY CODES

TRANSPORTATION, DEPT OF			55000000
CAPITAL IMPROVEMENT PLAN			9900000
TRANSPORTATION WORK PROGRAM			990T000
FIXED CAPITAL OUTLAY			080000
BOND GUARANTEE	001		088703

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TRANSP PLANNING CONSULT		001	088704
TRUST FUNDS.....	60,063,351		2000

=====

SCH VIIIA NARR 20-21 NOTES: TRANSP PLANNING CONSULT
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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
TRUST FUNDS.....	563,520,817		2000
	=====		

SCH VIIIA NARR 20-21 NOTES: HIGHWAY MAINTENANCE CONTR
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INTRASTATE HIGHWAY CONSTR		001	088716
TRUST FUNDS.....	2630,740,306		2000
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SCH VIIIA NARR 20-21 NOTES: INTRASTATE HIGHWAY CONSTR
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 COL A03
 AGY REQUEST
 FY 2020-21
 POS AMOUNT PRIORITY CODES

TRANSPORTATION, DEPT OF			55000000
CAPITAL IMPROVEMENT PLAN			9900000
TRANSPORTATION WORK PROGRAM			990T000
FIXED CAPITAL OUTLAY			080000
INTRASTATE HIGHWAY CONSTR	001		088716

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ARTERIAL HIGHWAY CONSTR	001		088717
TRUST FUNDS.....		149,776,396	2000

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SCH VIIIA NARR 20-21 NOTES:

ARTERIAL HIGHWAY CONSTR

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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.....	374,558,603		2000
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SCH VIIIA NARR 20-21 NOTES: CONSTRUCT INSPECT CONSULT
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AVIATION DEV/GRANTS		001	088719
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TRUST FUNDS.....	318,956,418		2000
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SCH VIIIA NARR 20-21 NOTES: AVIATION DEV/GRANTS
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 AGY REQUEST
 FY 2020-21
 POS AMOUNT PRIORITY CODES

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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PUBLIC TRANSIT DEV/GRANTS		001	088774
TRUST FUNDS.....	476,149,857		2000

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POS	AMOUNT	PRIORITY	CODES

TRANSPORTATION, DEPT OF			55000000
CAPITAL IMPROVEMENT PLAN			9900000
TRANSPORTATION WORK PROGRAM			990T000
FIXED CAPITAL OUTLAY			080000
RIGHT-OF-WAY LAND ACQ		001	088777
TRUST FUNDS.....	823,953,763		2000
	=====		

SCH VIIIA NARR 20-21 NOTES: RIGHT-OF-WAY LAND ACQ
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SEAPORT - ECONOMIC DEV		001	088790
TRUST FUNDS.....	15,000,000		2000
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SCH VIIIA NARR 20-21 NOTES: SEAPORT - ECONOMIC DEV
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 Total Work Program: \$9,109,848,662

 COL A03
 AGY REQUEST
 FY 2020-21
 POS AMOUNT PRIORITY CODES

TRANSPORTATION, DEPT OF			55000000
CAPITAL IMPROVEMENT PLAN			9900000
TRANSPORTATION WORK PROGRAM			990T000
FIXED CAPITAL OUTLAY			080000
SEAPORT - ECONOMIC DEV	001		088790

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SEAPORTS ACCESS PROGRAM		001	088791
TRUST FUNDS.....	10,000,000		2000

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SCH VIIIA NARR 20-21 NOTES: SEAPORTS ACCESS PROGRAM
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POS	AMOUNT	PRIORITY	CODES

TRANSPORTATION, DEPT OF			55000000
CAPITAL IMPROVEMENT PLAN			9900000
TRANSPORTATION WORK PROGRAM			990T000
FIXED CAPITAL OUTLAY			080000
SEAPORT GRANTS		001	088794
TRUST FUNDS.....	82,964,253		2000
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SCH VIIIA NARR 20-21 NOTES: SEAPORT GRANTS
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HIWAY SAFETY CONSTR/GRANTS		001	088796
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TRUST FUNDS.....	212,945,377		2000
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SCH VIIIA NARR 20-21 NOTES: HIWAY SAFETY CONSTR/GRANTS
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TRANSPORTATION, DEPT OF			55000000
CAPITAL IMPROVEMENT PLAN			9900000
TRANSPORTATION WORK PROGRAM			990T000
FIXED CAPITAL OUTLAY			080000
HIWAY SAFETY CONSTR/GRANTS		001	088796

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RESURFACING		001	088797
TRUST FUNDS.....	865,726,162		2000

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SCH VIIIA NARR 20-21 NOTES:

RESURFACING

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TRANSPORTATION, DEPT OF			55000000
CAPITAL IMPROVEMENT PLAN			9900000
TRANSPORTATION WORK PROGRAM			990T000
FIXED CAPITAL OUTLAY			080000
BRIDGE CONSTRUCTION		001	088799
TRUST FUNDS.....	384,628,485		2000
	=====		

SCH VIIIA NARR 20-21 NOTES: BRIDGE CONSTRUCTION
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SEAPORT INVESTMENT PRG		001	088807
TRUST FUNDS.....	10,000,000		2000
	=====		

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SEAPORT INVESTMENT PRG	001		088807

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RAIL DEVELOPMENT/GRANTS		001	088808
TRUST FUNDS.....	209,958,973		2000

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                                COL A03
                                AGY REQUEST
                                FY 2020-21
                                POS      AMOUNT      PRIORITY      CODES
                                -----
TRANSPORTATION, DEPT OF                                55000000
CAPITAL IMPROVEMENT PLAN                                99000000
TRANSPORTATION WORK PROGRAM                            990T0000
FIXED CAPITAL OUTLAY                                   080000
INTERMODAL DEVELOP/GRANTS                             001      088809

TRUST FUNDS.....                                71,633,516      2000
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SCH VIIIA NARR 20-21 NOTES: INTERMODAL DEVELOP/GRANTS
 Requests \$9,109,848,662 in budget authority for the department's Work Program.

Work Program: \$8,770,539,985 Nonrecurring
 Debt Service: \$ 339,308,677

 Total Work Program: \$9,109,848,662

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 4: Provide efficient and reliable mobility for people and freight.

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CONTRACT MAINT W/ DOC                                001      088810

TRUST FUNDS.....                                19,646,000      2000
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SCH VIIIA NARR 20-21 NOTES: CONTRACT MAINT W/ DOC
 Requests \$9,109,848,662 in budget authority for the department's Work Program.

Work Program: \$8,770,539,985 Nonrecurring
 Debt Service: \$ 339,308,677

 Total Work Program: \$9,109,848,662

COL A03 AGY REQUEST FY 2020-21			
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

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 4: Provide efficient and reliable mobility for people and freight.

PRELIMINARY ENGR CONSULT		001	088849
TRUST FUNDS.....	656,522,388		2000

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SCH VIIIA NARR 20-21 NOTES: PRELIMINARY ENGR CONSULT
 Requests \$9,109,848,662 in budget authority for the department's Work Program.

Work Program: \$8,770,539,985 Nonrecurring
 Debt Service: \$ 339,308,677

 Total Work Program: \$9,109,848,662

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 4: Provide efficient and reliable mobility for people and freight.

COL A03 AGY REQUEST FY 2020-21			
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 20-21 NOTES: HWY BEAUTIFICATION GRANTS
 Requests \$9,109,848,662 in budget authority for the department's Work Program.

Work Program: \$8,770,539,985 Nonrecurring
 Debt Service: \$ 339,308,677

 Total Work Program: \$9,109,848,662

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 4: Provide efficient and reliable mobility for people and freight.

RIGHT-OF-WAY SUPPORT		001	088853
TRUST FUNDS.....	83,748,965		2000
	=====		

SCH VIIIA NARR 20-21 NOTES: RIGHT-OF-WAY SUPPORT
 Requests \$9,109,848,662 in budget authority for the department's Work Program.

Work Program: \$8,770,539,985 Nonrecurring
 Debt Service: \$ 339,308,677

 Total Work Program: \$9,109,848,662

 COL A03
 AGY REQUEST
 FY 2020-21
 POS AMOUNT PRIORITY CODES

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

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 4: Provide efficient and reliable mobility for people and freight.

TRANSPORT PLANNING GRANTS		001	088854
TRUST FUNDS.....	29,659,495		2000

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SCH VIIIA NARR 20-21 NOTES: TRANSPORT PLANNING GRANTS
 Requests \$9,109,848,662 in budget authority for the department's Work Program.

Work Program: \$8,770,539,985 Nonrecurring
 Debt Service: \$ 339,308,677

 Total Work Program: \$9,109,848,662

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 4: Provide efficient and reliable mobility for people and freight.

COL A03 AGY REQUEST FY 2020-21			
POS	AMOUNT	PRIORITY	CODES

TRANSPORTATION, DEPT OF			55000000
CAPITAL IMPROVEMENT PLAN			9900000
TRANSPORTATION WORK PROGRAM			990T000
FIXED CAPITAL OUTLAY			080000
MATERIALS AND RESEARCH		001	088857
TRUST FUNDS.....	17,525,021		2000
	=====		

SCH VIIIA NARR 20-21 NOTES: MATERIALS AND RESEARCH
 Requests \$9,109,848,662 in budget authority for the department's Work Program.

Work Program: \$8,770,539,985 Nonrecurring
 Debt Service: \$ 339,308,677

 Total Work Program: \$9,109,848,662

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 4: Provide efficient and reliable mobility for people and freight.

BRIDGE INSPECTION		001	088864
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TRUST FUNDS.....	14,731,000		2000
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SCH VIIIA NARR 20-21 NOTES: BRIDGE INSPECTION
 Requests \$9,109,848,662 in budget authority for the department's Work Program.

Work Program: \$8,770,539,985 Nonrecurring
 Debt Service: \$ 339,308,677

 Total Work Program: \$9,109,848,662

 COL A03
 AGY REQUEST
 FY 2020-21
 POS AMOUNT PRIORITY CODES

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

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 4: Provide efficient and reliable mobility for people and freight.

ECON DEV/TRANSP PROJECTS	001		088865
TRUST FUNDS.....		5,800,000	2000

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SCH VIIIA NARR 20-21 NOTES: ECON DEV/TRANSP PROJECTS
 Requests \$9,109,848,662 in budget authority for the department's Work Program.

Work Program: \$8,770,539,985 Nonrecurring
 Debt Service: \$ 339,308,677

 Total Work Program: \$9,109,848,662

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 4: Provide efficient and reliable mobility for people and freight.

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                                COL A03
                                AGY REQUEST
                                FY 2020-21
                                POS      AMOUNT      PRIORITY      CODES
                                -----
TRANSPORTATION, DEPT OF                                55000000
CAPITAL IMPROVEMENT PLAN                                99000000
TRANSPORTATION WORK PROGRAM                            990T0000
FIXED CAPITAL OUTLAY                                   080000
TRAFFIC ENGR CONSULTANTS                               001      088866

TRUST FUNDS.....                                249,189,776      2000
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SCH VIIIA NARR 20-21 NOTES: TRAFFIC ENGR CONSULTANTS
 Requests \$9,109,848,662 in budget authority for the department's Work Program.

Work Program: \$8,770,539,985 Nonrecurring
 Debt Service: \$ 339,308,677

 Total Work Program: \$9,109,848,662

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 4: Provide efficient and reliable mobility for people and freight.

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LOCAL GOVERNMENT REIMBURSE                               001      088867
  
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TRUST FUNDS.....                                15,757,492      2000
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SCH VIIIA NARR 20-21 NOTES: LOCAL GOVERNMENT REIMBURSE
 Requests \$9,109,848,662 in budget authority for the department's Work Program.

Work Program: \$8,770,539,985 Nonrecurring
 Debt Service: \$ 339,308,677

 Total Work Program: \$9,109,848,662

COL A03 AGY REQUEST FY 2020-21			
POS	AMOUNT	PRIORITY	CODES

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

Requests 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 4: Provide efficient and reliable mobility for people and freight.

TOLL OPERATION CONTRACTS		001	088876
TRUST FUNDS.....	165,726,468		2000

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SCH VIIIA NARR 20-21 NOTES: TOLL OPERATION CONTRACTS
 Requests \$9,109,848,662 in budget authority for the department's Work Program.

Work Program: \$8,770,539,985 Nonrecurring
 Debt Service: \$ 339,308,677

 Total Work Program: \$9,109,848,662

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 4: Provide efficient and reliable mobility for people and freight.

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                                COL A03
                                AGY REQUEST
                                FY 2020-21
                                POS      AMOUNT      PRIORITY      CODES
                                -----
TRANSPORTATION, DEPT OF
CAPITAL IMPROVEMENT PLAN
TRANSPORTATION WORK PROGRAM
FIXED CAPITAL OUTLAY
TURNPIKE SYS EQUIP & DEVEL
                                001
TRUST FUNDS.....
                                28,791,716
                                =====
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SCH VIIIA NARR 20-21 NOTES: TURNPIKE SYS EQUIP & DEVEL
 Requests \$9,109,848,662 in budget authority for the department's Work Program.

Work Program: \$8,770,539,985 Nonrecurring
 Debt Service: \$ 339,308,677

 Total Work Program: \$9,109,848,662

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 4: Provide efficient and reliable mobility for people and freight.

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TOLLS SYS EQUIP & DEVELOP
                                001
TRUST FUNDS.....
                                54,672,075
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SCH VIIIA NARR 20-21 NOTES: TOLLS SYS EQUIP & DEVELOP
 Requests \$9,109,848,662 in budget authority for the department's Work Program.

Work Program: \$8,770,539,985 Nonrecurring
 Debt Service: \$ 339,308,677

 Total Work Program: \$9,109,848,662

 COL A03
 AGY REQUEST
 FY 2020-21
 POS AMOUNT PRIORITY CODES

TRANSPORTATION, DEPT OF			55000000
CAPITAL IMPROVEMENT PLAN			9900000
TRANSPORTATION WORK PROGRAM			990T000
FIXED CAPITAL OUTLAY			080000
TOLLS SYS EQUIP & DEVELOP	001		088922

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 4: Provide efficient and reliable mobility for people and freight.

DEBT SERVICE		001	089070
TRUST FUNDS.....	78,945,599		2000

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SCH VIIIA NARR 20-21 NOTES:

DEBT SERVICE

Requests \$9,109,848,662 in budget authority for the department's Work Program.

Work Program: \$8,770,539,985 Nonrecurring
 Debt Service: \$ 339,308,677

 Total Work Program: \$9,109,848,662

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 4: Provide efficient and reliable mobility for people and freight.

COL A03			
AGY REQUEST			
FY 2020-21			
POS	AMOUNT	PRIORITY	CODES

TRANSPORTATION, DEPT OF			55000000
AGENCY-WIDE INFORMATION TECHNOLOGY			3620000
DATA INFRASTRUCTURE MODERNIZATION		002	36221C0
TRUST FUNDS.....	2,853,582		2000
	=====		

SCH VIIIA NARR 20-21 NOTES:

Requests \$2,853,582 to implement phase 3 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.

TRANSPORTATION WORK PROGRAM			
INTEGRATION INITIATIVE		003	36233C0
TRUST FUNDS.....	26,452,702		2000
	=====		

SCH VIIIA NARR 20-21 NOTES:

Requests \$26,452,702 of nonrecurring budget authority to continue the Work Program Integration Initiative (WPPII) project. \$50,000 of budget authority is requested in the Expenses appropriation category and \$26,402,702 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. The project ultimately seeks to optimize the Work Program's production capabilities by aligning business processes to a common strategic objective and operational standard, aided by modernized system solution.

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

COL A03			
AGY REQUEST			
FY 2020-21			
POS	AMOUNT	PRIORITY	CODES

TRANSPORTATION, DEPT OF			55000000
STATE ENTERPRISE INFORMATION			3610000
TECHNOLOGY			36102C0
FLORIDA PERMANENT REFERENCE		004	36102C0
NETWORK			
TRUST FUNDS.....	803,656		2000
	=====		

SCH VIIIA NARR 20-21 NOTES:

Requests \$803,656 to maintain and operate the FPRN 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.

CAPITAL IMPROVEMENT PLAN			9900000
CODE CORRECTIONS			990C000
FIXED CAPITAL OUTLAY			080000
MAJ REP,RENO & IMP/MAJ INS		005	083258
TRUST FUNDS.....	1,584,989		2000
	=====		

SCH VIIIA NARR 20-21 NOTES:

MAJ REP,RENO & IMP/MAJ INS

Requests \$1,584,989 for the critical re-design and replacement of a failing HVAC system at the Bartow Materials Laboratory. After extensive mold remediation, multiple indoor air studies determined the HVAC system is the source of the poor air quality. The system needs to be replaced to resolve the air quality issues and maintain the specific air standards of the laboratory equipment.

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

COL A03 AGY REQUEST FY 2020-21			
POS	AMOUNT	PRIORITY	CODES

TRANSPORTATION, DEPT OF			55000000
CAPITAL IMPROVEMENT PLAN			9900000
CODE CORRECTIONS			990C000
FIXED CAPITAL OUTLAY			080000
MINOR REPAIRS/IMPROV-STATE		006	080002
TRUST FUNDS.....	5,961,851		2000
	=====		

SCH VIIIA NARR 20-21 NOTES: MINOR REPAIRS/IMPROV-STATE
 Requests \$5,961,851 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.

AGENCY-WIDE INFORMATION TECHNOLOGY			3620000
COMMUNICATION HARDWARE UPGRADES		007	36244C0
TRUST FUNDS.....	1,794,543		2000
	=====		

SCH VIIIA NARR 20-21 NOTES:
 Requests \$1,794,543 for the next phase of the replacement of core network equipment in the district headquarters, Department Headquarters in Tallahassee and the State Lab locations reaching the End of Service Life in FY2018-19. The equipment is responsible for high speed routing of data. The replacement will integrate security protocols and technologies to minimize outside cyber threats and attacks that would steal sensitive data such as road and bridge plans.

Additional budget authority is required after it was determined that fire-rated cabling is required in these plenum spaces.

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

COL A03 AGY REQUEST FY 2020-21			
POS	AMOUNT	PRIORITY	CODES

TRANSPORTATION, DEPT OF			55000000
AGENCY-WIDE INFORMATION TECHNOLOGY			3620000
CONSOLIDATION, STANDARDIZATION AND			
REPLACEMENT OF INFORMATION			
TECHNOLOGY EQUIPMENT AND SOFTWARE		008	36216C0
TRUST FUNDS.....	215,586		2000
	=====		

SCH VIIIA NARR 20-21 NOTES:

Requests \$215,586 of recurring budget authority to support increased maintenance costs associated with department core information technology systems. Maintenance on these items is key to the core functions as they provide oversight, audit or performance data based required by Florida Statute, rule or the federal government.

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

SECURE ACCESS MANAGEMENT		009	36238C0
TRUST FUNDS.....	2,231,233		2000
	=====		

SCH VIIIA NARR 20-21 NOTES:

Requests \$2,231,233 to fund the third 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 required AST Risk Assessment dated January 2017.

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

COL A03 AGY REQUEST FY 2020-21			
POS	AMOUNT	PRIORITY	CODES

TRANSPORTATION, DEPT OF			55000000
CAPITAL IMPROVEMENT PLAN			9900000
SUPPORT FACILITIES			990F000
FIXED CAPITAL OUTLAY			080000
MINOR REPAIRS/IMPROV-STATE		010	080002
TRUST FUNDS.....	2,574,060		2000
	=====		

SCH VIIIA NARR 20-21 NOTES: MINOR REPAIRS/IMPROV-STATE
 Requests \$2,574,060 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, pole barns for road maintenance equipment and office renovations in response to building moves.

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

AGENCY-WIDE INFORMATION TECHNOLOGY			3620000
CIVIL INTEGRATED MANAGEMENT		011	36260C0
TRUST FUNDS.....	870,480		2000
	=====		

SCH VIIIA NARR 20-21 NOTES:
 Requests \$870,480 for the Civil Integrated Management Graphical Information System project. The project supports all department data through data governance, warehousing of data and functional development and maintenance of the data and system.

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

SECURITY RISK ASSESSMENT		012	36226C0
TRUST FUNDS.....	500,000		2000
	=====		

 COL A03
 AGY REQUEST
 FY 2020-21
 POS AMOUNT PRIORITY CODES

TRANSPORTATION, DEPT OF 55000000
 AGENCY-WIDE INFORMATION TECHNOLOGY 3620000
 SECURITY RISK ASSESSMENT 012 36226C0

SCH VIIIA NARR 20-21 NOTES:

Requests \$500,000 to complete a cyber security risk assessment as required by the Florida Cybersecurity Standards (74-2 F.A.C.) every three years. The assessment includes two parts: the first as required by rule and a second, specialized assessment for areas including Intelligent Transportation Systems, Traffic Operations and a readiness assessment for future technologies such as autonomous or connected vehicles.

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

NETWORK COMMUNICATIONS RECOVERY AND SECURITY 013 36213C0
 TRUST FUNDS..... 817,807 2000
 =====

SCH VIIIA NARR 20-21 NOTES:

Requests \$817,807 to secure network connections through MFN2 and install high capacity routers. These connections allow disaster recovery capabilities and provide insurance during and after hurricanes.

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

CAPITAL IMPROVEMENT PLAN 9900000
 ENVIRONMENTAL PROJECTS 990E000
 FIXED CAPITAL OUTLAY 080000
 ENVIRON SITE RESTORATION 014 088763
 TRUST FUNDS..... 340,000 2000
 =====

SCH VIIIA NARR 20-21 NOTES:

ENVIRON SITE RESTORATION
 Requests \$340,000 of nonrecurring Fixed Capital Outlay budget authority to continue the cleanup of contaminated soil and groundwater at various department 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 \$50,000 less than FY2019-20 appropriation.

 COL A03
 AGY REQUEST
 FY 2020-21
 POS AMOUNT PRIORITY CODES

TRANSPORTATION, DEPT OF			55000000
CAPITAL IMPROVEMENT PLAN			9900000
ENVIRONMENTAL PROJECTS			990E000
FIXED CAPITAL OUTLAY			080000
ENVIRON SITE RESTORATION	014		088763

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

EQUIPMENT NEEDS			2400000
REPLACEMENT EQUIPMENT FOR MATERIALS AND TESTING LABORATORIES	015		2401170

TRUST FUNDS.....	4,563,280		2000
	=====		

SCH VIIIA NARR 20-21 NOTES:

Requests \$4,563,280 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 out-sourced 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), Florida Statutes, 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.

AGENCY-WIDE INFORMATION TECHNOLOGY PROJECT PORTFOLIO MANAGEMENT	016		3620000 36255C0
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TRUST FUNDS.....	1,730,750		2000
	=====		

SCH VIIIA NARR 20-21 NOTES:

Requests \$1,730,750 to procure and implement a project scheduling tool to support the Five-Year Work Program. The costs for product license fees and support of the current system are becoming unsustainable.

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

COL A03 AGY REQUEST FY 2020-21			
PROGRAM OR SERVICE-LEVEL INFORMATION TECHNOLOGY APPLICATION DEVELOPMENT - ELECTRONIC REVIEW COMMENTS	POS	AMOUNT	PRIORITY

PROGRAM OR SERVICE-LEVEL			CODES
TRANSPORTATION, DEPT OF			55000000
PROGRAM OR SERVICE-LEVEL			3630000
INFORMATION TECHNOLOGY			36333C0
APPLICATION DEVELOPMENT -			36333C0
ELECTRONIC REVIEW COMMENTS			36333C0
TRUST FUNDS.....		615,000	2000
		=====	

SCH VIIIA NARR 20-21 NOTES:

Requests \$615,000 to rewrite and replace the system that collects and tracks all electronic plan and submittal review comments. Electronic comments allow the transfer of technical information between the Engineer of Record, department personnel and external partners during the review of design plans and submittals. The current system is unable to keep up with code changes, system updates and enhancements made over the years. Planned enhancements include virtual reality design review.

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

ENTERPRISE ELECTRONIC DOCUMENT MANAGEMENT SYSTEM INITIATIVE			018	36347C0
TRUST FUNDS.....		728,160		2000
		=====		

SCH VIIIA NARR 20-21 NOTES:

Requests \$728,160 to expand the current EDMS infrastructure to enable department-wide, enterprise access of document storage and retrieval. This allows 8,000 users to save documents in one place, catalog documents electronically, reengineer business processes to reduce paper usage and eliminate redundancy in day to day operations. Data governance standards and system expansion will allow the retention of data according to retention schedules.

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

COL A03			
AGY REQUEST			
FY 2020-21			
POS	AMOUNT	PRIORITY	CODES

TRANSPORTATION, DEPT OF			55000000
AGENCY-WIDE INFORMATION TECHNOLOGY			3620000
CONSULTANT INVOICE TRANSMITTAL			
REPLACEMENT		019	36237C0
TRUST FUNDS.....	1,424,961		2000
	=====		

SCH VIIIA NARR 20-21 NOTES:

Requests \$1,424,961 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 PY, totaling \$1,092,847,809.

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

PROGRAM PLAN SUPPORT			6000000
PAYMENTS TO EXPRESSWAY AUTHORITIES		020	6009910
TRUST FUNDS.....	500,000		2000
	=====		

SCH VIIIA NARR 20-21 NOTES:

Requests a \$500,000 increase in the Payment to Expressway Authority category. This category is used to reimburse the Expressway Authorities across the state for amounts collected on toll roads per contractual agreement. This budget authority enables the Florida Turnpike Enterprise to meet contractual agreements with the Expressway Authorities which provides a revenue stream for the Authorities to meet their financial obligations.

LRPP REFERENCE: Goal 4: Provide efficient and reliable mobility for people and freight.

TRANSFER TO DEPT OF HIGHWAY SAFETY AND MOTOR VEHICLES - REIMBURSE FOR TROOP K SERVICES ON THE FL TURNPIKE		021	6001160
TRUST FUNDS.....	1,325,010		2000
	=====		

COL A03 AGY REQUEST FY 2020-21			
POS	AMOUNT	PRIORITY	CODES

TRANSPORTATION, DEPT OF			55000000
PROGRAM PLAN SUPPORT			6000000
TRANSFER TO DEPT OF HIGHWAY SAFETY AND MOTOR VEHICLES - REIMBURSE FOR TROOP K SERVICES ON THE FL TURNPIKE		021	6001160

SCH VIIIA NARR 20-21 NOTES:

Requests \$1,325,010 in budget authority to support the troopers on the First Coast Expressway (FCE) in Clay and Duval counties. This is a double budget item with the Department of Highway Safety and Motor Vehicles.

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

MANAGEMENT REDUCTIONS			33G0000
LEASE/LEASE PURCHASE OF EQUIPMENT REDUCTION		022	33G0700
TRUST FUNDS.....	211,003-		2000
	=====		

SCH VIIIA NARR 20-21 NOTES:

Reduces \$211,003 from the Lease or Lease Purchase of Equipment category. The reduction is the FY2018-19 reversion amount.

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

RISK MANAGEMENT INSURANCE OTHER - REDUCTION		023	33G0860
TRUST FUNDS.....	743,105-		2000
	=====		

SCH VIIIA NARR 20-21 NOTES:

Reduces \$743,105 from the Risk Management Insurance - Other category. The reduction is the FY2018-19 reversion amount.

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

COL A03 AGY REQUEST FY 2020-21			
POS	AMOUNT	PRIORITY	CODES

TRANSPORTATION, DEPT OF			55000000
ADJUSTMENTS TO CURRENT YEAR			1600000
ESTIMATED EXPENDITURES			1608000
REAPPROVAL OF MULTI-USE CORRIDORS		024	1608000
OF REGIONAL ECONOMIC SIGNIFICANCE			
PROGRAM PRIOR YEAR BUDGET			
TRUST FUNDS.....	12,500,000		2000
	=====		

SCH VIIIA NARR 20-21 NOTES:			
Requests reapproval of \$12,500,000 of Multi-use Corridors of Regional Economic Significance Program Prior Year Budget.			
LRPP REFERENCE: Goal 1: Provide safety and security for residents, visitors and businesses			

TOTAL: TRANSPORTATION, DEPT OF			55000000
BY FUND TYPE			
TRUST FUNDS.....	8918,919,126		2000
	=====		


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*****
* NEADLP01                               STATISTICAL INFORMATION                09/16/2019 08:04 *
* BUDGET PERIOD: 2008-2021              EXHIBIT A, D AND D-3A LIST REQUEST        JMP 55   SP   *
*                                                                                       PAGE:    3 *
*****
*
* BUDGET ENTITIES SELECTED:
*   1-9: 55 _____
*  10-18: _____
*  19-27: _____
*
*****

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**Florida Department of Transportation
Temporary Special Duty – General Pay Additives Implementation Plan
for Fiscal Year 2020 – 2021**

In accordance with Section 110.2035(7)(b), Florida Statutes, each state agency shall include in its annual Legislative Budget Request, a proposed written plan for implementing *Temporary Special Duties— General Pay Additives*. The Florida Department of Transportation (Department) requests the use of this additive for Fiscal Year 2020-2021, using existing resources when warranted, based on the duties and responsibilities of a position.

Description: The Department requests using the *Temporary Special Duties — General Pay Additives* in the following circumstances:

1. A Career Service employee is designated to act in a vacant established position in a higher broadband level, and perform a major portion of the duties of the higher-level position, for more than 22 workdays within any six consecutive months, as established in the American Federation of State, County and Municipal Employees (AFSCME) collective bargaining agreement.
2. A Career Service employee is designated to act in a vacant critical capacity position and perform the duties of the vacant position until the vacancy is filled.
3. A Career Service employee is assigned temporary duties of another position, due to an employee's absence from work for reasons other than the incumbent being on authorized Family Medical Leave Act (FMLA) or authorized military leave.
4. A Career Service employee is assigned temporary duties of another position, due to the position incumbent's absence from work while on authorized Family Supportive Work Program (FSWP), which does not meet the requirements for FMLA or military leave, or when the incumbent has exhausted FMLA leave, but continues to be absent from work.
5. A Career Service employee is assigned temporary duties of a position whose incumbent has been temporarily assigned other temporary duties that are not customarily assigned to the position.

Justification: The Department cannot anticipate when any of the aforementioned scenarios might occur; however, implementation of a *Temporary Special Duties – General Pay Additives*, will be utilized conservatively when the need is well documented, justified and consistent with the Department's implementation plan.

Effective date: The effective date of the additive will be the first day the temporary added duties have been assigned to the employee, unless otherwise prescribed herein.

Time Period for the Additive: The additive will continue through the period the additional duties are assigned.

Amount of the Additive: The additive will typically not exceed 10% of the employee's base salary.

Positions Affected: The Department cannot anticipate the number of additives needed during FY2020-21; however, during FY2018-19, three (3) *Temporary Special Duties — General Pay Additives* were issued.

Historical Data: Three (3) employees received this type of additive, for higher level duties, in FY2018-19.

Estimated Annual Cost: The Department cannot anticipate the future impact of this need in any given fiscal year, and can only rely on historical data; however, thus far, the agency has used existing salary rate/budget to support additives. In FY2018-19, the annual cost was \$6,062.40.

Collective Bargaining Unit Impacted:

AFSCME – Article 21 – Compensation for Temporary Special Duty in a Higher Position

- (A) 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, irrespective of whether the higher level position is funded, for more than 22 workdays within any six consecutive months, the employee shall be eligible to receive a temporary special duty additive in accordance with the Rules of the State Personnel System, beginning with the 23rd day.
- (B) Employees being paid at a higher rate while temporarily acting in a position in a higher broadband level will be returned to their regular rate of pay when the period of temporary special duty in the higher broadband level is ended.



**LEGISLATIVE
BUDGET REQUEST
2020-2021**

**Department Level Exhibits and
Schedules**



Florida Department of Transportation


RON DESANTIS
GOVERNOR

605 Suwannee Street
Tallahassee, FL 32399-0450

KEVIN J. THIBAUT, P.E.
SECRETARY

MEMORANDUM

TO: Mechelle Marcum
Budget Officer

FROM: Clinton L. Doud 
Chief Counsel, Civil Litigation

DATE: August 26, 2019

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 414-5367.

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 2014/15 and 2015/16. On 1/25/18, FDOT paid an additional assessment of \$73,634.47. No additional assessments are expected in 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

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.)	BBX Partners, Inc., Hernando Oaks Master Association, Inc., and Heartwood 9I-3, LLC, Plaintiffs v. Florida Department of Transportation, 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:	\$6,000,000 (est.)		
Specific Statutes or Laws (including GAA) Challenged:			
Status of the Case:	Complaint served 8/1/18. On 6/21/19, Plaintiffs filed third amended complaint and FDOT’s response is due 9/2/19.		
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).			

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. Florida Department of Transportation, Defendant		
Court with Jurisdiction:	6th Judicial Circuit, Pinellas County		
Case Number:	2012-CA-2404		
Summary of the Complaint:	Plaintiff sought damages for 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:	Case closed.		
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 and damages for loss of access and visibility; attorney’s fees were also to be reconsidered and prejudgment interest was also to be recalculated. On 4/20/18, an amended final judgment was entered resolving all issues except attorney fees and costs. Fees and costs were subsequently paid and case closed.		
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. Florida Department of Transportation, Defendant		
Court with Jurisdiction:	6th Judicial Circuit, Pinellas County		
Case Number:	2006-CA-0730		
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:	Case closed.		
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 as well as damages for loss of access and visibility; attorney’s fees were also to be reconsidered and prejudgment interest was to be recalculated. On 4/2/18, an amended final judgment was entered resolving all issues. Judgment paid and case closed.		
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. Florida Department of Transportation, Defendant		
Court with Jurisdiction:	6th Judicial Circuit, Pinellas County		
Case Number:	2006-CA-0726		
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:	Case closed.		
Specific Statutes or Laws (including GAA) Challenged:			
Status of the Case:	On 6/3/19, a Stipulated Amended Final Judgment was entered resolving all matters. Judgment paid and case closed.		
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.)	Thomas Mark & Cynthia L. Dellerman, Plaintiffs v. Florida Department of Transportation, Defendant		
Court with Jurisdiction:	19th Judicial Circuit, Indian River County		
Case Number:	2016-CA-000555		
Summary of the Complaint:	Plaintiffs filed a four-count complaint for inverse condemnation, injunction, and trespass due to flooding of their property. The alleged cause of flooding is based on the FDOT’s lack of maintenance due to federally protected mangrove trees.		
Amount of the Claim:	\$1,500,000 (est.)		
Specific Statutes or Laws (including GAA) Challenged:			
Status of the Case:	Plaintiffs filed complaint on 7/28/16; FDOT filed answer on 8/28/16. FDOT obtained a license from the landowner and is in the process of cleaning out the ditches. Discovery 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

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. Florida Department of Transportation, Defendant		
Court with Jurisdiction:	19th Judicial Circuit, Brevard County		
Case Number:	2013-CA-024281		
Summary of the Complaint:	Plaintiff seeks 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. This case is set for trial on 12/28/19.		
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).			

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.)	Florida Department of Transportation, Plaintiff v. Emerald Coast Utility Authority, Defendant		
Court with Jurisdiction:	2nd Judicial Circuit, Leon County		
Case Number:	2019-CA-000074		
Summary of the Complaint:	FDOT filed a two-count complaint seeking reimbursement for construction delay damages caused by Emerald Coast moving their utilities to the wrong location.		
Amount of the Claim:	\$800,000		
Specific Statutes or Laws (including GAA) Challenged:			
Status of the Case:	FDOT filed suit on 1/15/19. Defendant filed motion to transfer to Escambia County and suit is in the process of being transferred.		
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.)	Barbara Gillis, as Personal Representative of the Estate of Antwan Gillis, deceased, Plaintiff v. Transdev Services, Inc., d/b/a Tri-Rail, FDOT, South Florida Regional Transportation Authority (“SFRTA”), Veolia Transportation Maintenance and Infrastructure, Inc. (“VTMI”), and Douglas Healy, Defendants		
Court with Jurisdiction:	17 th Judicial Circuit, Broward County		
Case Number:	2017-CA-007344		
Summary of the Complaint:	Personal injury action arising from an accident at a rail crossing. Plaintiff has sued Defendants for negligence and wrongful death. FDOT is providing representation for Tri-Rail, SFRTA, VTMI and Healy due to contractual obligations set forth in the FDOT/SFRTA operating agreement.		
Amount of the Claim:	Undetermined.		
Specific Statutes or Laws (including GAA) Challenged:			
Status of the Case:	Plaintiff filed suit on 4/7/17. All parties have filed answers to the Complaint. Discovery is ongoing and the case has not been set for trial.		
Who is representing (of record) the state in this lawsuit? Check all that apply.	<input type="checkbox"/>	Agency Counsel	
	<input checked="" type="checkbox"/>	Office of the Attorney General or Division of Risk Management	
	<input checked="" 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.)	GLF Construction Corp., Plaintiff v. Florida Department of Transportation and Mott McDonald Florida, LLC, Defendants		
Court with Jurisdiction:	2nd Judicial Circuit, Leon County		
Case Number:	1019-CA-000518		
Summary of the Complaint:	Plaintiff filed a breach of contract claim against FDOT for failing to include a temporary bridge in the construction project that was awarded to Plaintiff. Plaintiff also filed claim against McDonald for professional malpractice for failure to update plans to reflect this temporary bridge.		
Amount of the Claim:	\$9,000,000 (est.)		
Specific Statutes or Laws (including GAA) Challenged:			
Status of the Case:	Plaintiff filed complaint on 3/7/19. McDonald answered on 4/18/19 and FDOT answered on 8/19/19. Discovery 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

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.)	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:	Case closed.		
Specific Statutes or Laws (including GAA) Challenged:			
Status of the Case:	The parties entered into a written settlement agreement inclusive of all fees and costs; in return, FDOT received noise easements from Plaintiffs. Plaintiffs have dismissed the suit with prejudice. Settlement paid; case dismissed; and case closed.		
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.)	Hale Grove 4, LLC v. Florida Department of Transportation, Defendant		
Court with Jurisdiction:	19th Judicial Circuit, Indian River County		
Case Number:	2017-CA-000311		
Summary of the Complaint:	Plaintiffs filed a four-count complaint for inverse condemnation, injunction, and trespass due to flooding of their property. The alleged cause of flooding is based on the FDOT’s lack of maintenance due to federally protected mangrove trees.		
Amount of the Claim:	\$1,500,000 (est.)		
Specific Statutes or Laws (including GAA) Challenged:			
Status of the Case:	Plaintiff filed complaint on 5/22/17; FDOT filed answer on 6/13/17. FDOT obtained a license from the landowner and is in the process of cleaning out the ditches. Discovery 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

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.)	Hickey Creek Development, LLC, Plaintiff v. Florida Department of Transportation, Defendant		
Court with Jurisdiction:	20th 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:	Case closed.		
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 granted transfer of venue on 8/20/18. Suit dismissed on 8/1/19. Case closed.		
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.)	Hubbard Construction Co., Plaintiff v. Florida Department of Transportation, Defendant		
Court with Jurisdiction:	2nd Judicial Circuit, Leon County		
Case Number:	2019-CA-000069		
Summary of the Complaint:	Plaintiff filed one-count complaint against the FDOT for failure to pay additional claims on construction contract. Because the contractor was late in completing this project, FDOT is asserting a claim for liquidated damages.		
Amount of the Claim:	\$3,500,000		
Specific Statutes or Laws (including GAA) Challenged:			
Status of the Case:	Plaintiff filed complaint on 1/11/19. FDOT’s answer due by 8/30/19.		
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).			

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.)	Hudson Parkside LLP, Plaintiff v. Florida Department of Transportation, Defendant		
Court with Jurisdiction:	6th Judicial Circuit, Pinellas County		
Case Number:	2014-CA-011031		
Summary of the Complaint:	Plaintiff seeks 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:	Case closed.		
Specific Statutes or Laws (including GAA) Challenged:			
Status of the Case:	FDOT filed its answer on 6/9/14. Trial started on 4/17/18, and trial court entered final judgment for FDOT on 5/7/18. Landowner filed notice of appeal on 6/5/18, and trial court judgment was affirmed on 6/26/19. Case closed.		
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.)	Tairia Lee and Lashawne Josaphat, as Guardian of Tairia Lee, Plaintiffs v. Albert Perez, Russell Griffin, Jr., James Knox, Veolia Transportation Maintenance and Infrastructure, Inc. (“VTMI”), National Railroad Passenger Corporation d/b/a Amtrak, and South Florida Regional Transportation Authority (“SFRTA”), Defendants		
Court with Jurisdiction:	United States District Court, Southern District, and 15th Judicial Circuit, Palm Beach County		
Case Number:	16-cv-81745 and 2016-CA-010567		
Summary of the Complaint:	This is a personal injury action arising from an accident at a rail crossing. Plaintiff filed complaint for injuries sustained at the railroad crossing asserting negligence against all Defendants and asserting vicarious liability against Amtrak and SFRTA. FDOT is providing representation for SFRTA, VTMI and Perez due to contractual obligations set forth in the FDOT/SFRTA operating agreement.		
Amount of the Claim:	\$43,000,000		
Specific Statutes or Laws (including GAA) Challenged:			
Status of the Case:	Suit was filed against all Defendants in State Court. The action was moved to Federal Court by Amtrak. Subsequently Plaintiffs amended the complaint to add SFRTA. On 7/5/17 the Federal Court remanded the action against SFRTA to State Court. No trial date has been set for the Federal Court suit. The State Court action has been set for 9/19/19. FDOT is not a party in either case.		
Who is representing (of record) the state in this lawsuit? Check all that apply.	<input type="checkbox"/>	Agency Counsel	
	<input type="checkbox"/>	Office of the Attorney General or Division of Risk Management	
	<input checked="" 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.)	Sybil W. Lee, et. al., Plaintiffs v. Miami-Dade County and Florida Department of Transportation, 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:	Case closed.		
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. On 12/6/18, District Court dismissed Defendant’s complaint.		
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.)	Leisure Resorts, LLC, Plaintiff v. Florida Department of Transportation, 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; FDOT filed answer and defenses on 4/21/17. Case has been stayed pending outcome between Plaintiff and a second abutting landowner to determine the appropriate party plaintiff.		
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.)	Murphy Auto Group, Inc., Plaintiff v. Florida Department of Transportation, Defendant		
Court with Jurisdiction:	District Court of Appeal, 2nd DCA		
Case Number:	2015-CA-001614; 2D19-1236		
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:	On 3/21/19, the trial court entered final judgment in favor of FDOT. Plaintiff filed notice of appeal the same day.		
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.)	New Testament Missionary Baptist Church, Inc., Plaintiff v. Florida Department of Transportation, 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 view and access due to the FDOT constructing a wall in the pre-existing right of way.		
Amount of the Claim:	Case closed.		
Specific Statutes or Laws (including GAA) Challenged:			
Status of the Case:	Complaint was served on 08/29/16, and FDOT filed third motion to dismiss on 5/25/18. Case dismissed on 12/12/18.		
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:	Denise Johnson	Phone Number:	414-5265
Names of the Case: (If no case name, list the names of the plaintiff and Defendant.)	Peak Oil Superfund Site		
Court with Jurisdiction:	United States District Court, Middle District		
Case Number:	97-1564-CIV-T-26(A)		
Summary of the Complaint:	The EPA has told FDOT it is responsible for groundwater contamination at this site. EPA is overseeing the cleanup of this site under CERCLA, the Comprehensive Environmental Response, Compensation, and Liability Act. FDOT 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 2014/15, 2015/16, 2016/17, 2017/18, 2018/19 and no assessment is expected for 2019/20.		
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			
<i>For directions on completing this schedule, please see the “Legislative Budget Request (LBR) Instructions” located on the Governor’s website.</i>			
Agency:	Department of Transportation		
Contact Person:	Clinton Doud	Phone Number:	414-5265
Names of the Case: (If no case name, list the names of the plaintiff and Defendant.)	Gerald T. Prescott, The Gerald T. Prescott Revocable Inter Vivos Trust, Mary Lou Prescott, and The Mary Lou Prescott Revocable Inter Vivos Trust, Plaintiffs v. Florida Department of Transportation, 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:	Complaint served on 08/08/16, and FDOT’s answer was filed on 2/9/17. Case set for trial commencing on 9/16/19.		
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).			

Schedule VII: Agency Litigation Inventory

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

Agency:	Department of Transportation		
Contact Person:	Clinton Doud	Phone Number:	414-5265
Names of the Case: (If no case name, list the names of the plaintiff and Defendant.)	Nicholas R. Sayat, Plaintiff v. Florida Department of Transportation, Defendant		
Court with Jurisdiction:	6th Judicial Circuit, Pinellas County		
Case Number:	2010-CA-13468		
Summary of the Complaint:	Plaintiff sought 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:	Case closed.		
Specific Statutes or Laws (including GAA) Challenged:			
Status of the Case:	The 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), FDOT moved for reconsideration. On 5/14/19, the parties entered into a stipulated final judgment resolving all issues. Judgment paid and case closed.		
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.)	TFR Enterprise, Inc., Plaintiff v. Florida Department of Transportation, Target Engineering Group, LLC, Defendants		
Court with Jurisdiction:	7th Judicial Circuit, Volusia County		
Case Number:	2019 10502 CIDL		
Summary of the Complaint:	Plaintiff brought one count claim against FDOT for failure to pay for clean-up work from Hurricane Matthew due to insufficient documentation. Plaintiff brought additional claims against Target Engineering for failure to appropriately document the work thereby preventing Plaintiff from being paid.		
Amount of the Claim:	\$2,869,120		
Specific Statutes or Laws (including GAA) Challenged:			
Status of the Case:	Plaintiff filed complaint on 3/21/19. FDOT filed answer on 8/8/19. 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

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

Agency:	Department of Transportation		
Contact Person:	Clinton Doud	Phone Number:	414-5265
Names of the Case: (If no case name, list the names of the plaintiff and Defendant.)	Tropical Trailer Leasing, LLC, Inc., Plaintiff v. Florida Department of Transportation and Secretary Dew, Defendants		
Court with Jurisdiction:	2nd Judicial Circuit, Leon County; District Court of Appeals, 1st DCA		
Case Number:	2014-CA-0002706; 1D18-44984		
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 1/08/15. FDOT served its answer and defenses on 6/9/15. Trial court struck class action allegations. On 11/6/18, the trial court entered final judgment in favor of Plaintiff for \$53,628.62; retained jurisdiction on fees and costs; and, enjoined the Turnpike from collecting certain tolls. On 11/31/18, FDOT filed notice of appeal. FDOT’s initial brief was filed on 4/22/19 and Tropical Trailer’s answer brief was filed on 8/21/19.		
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).	Lawsuit is a class action but class has not been certified.		

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.)	UMB Bank, National Association, Plaintiff v. Florida Department of Transportation, Defendant		
Court with Jurisdiction:	2nd Judicial District, Leon County		
Case Number:	2018-CA-002677		
Summary of the Complaint:	Plaintiff filed two-count complaint alleging a toll increase is needed to facilitate the debt service to the Garcon Pointe Bridge. Plaintiff also alleges FDOT owes damages for failure to increase the tolls when initially requested by Plaintiff.		
Amount of the Claim:	\$75,000,000		
Specific Statutes or Laws (including GAA) Challenged:			
Status of the Case:	Plaintiff served their complaint on 1/8/19, and FDOT filed an amended answer and counterclaim on 5/8/19. Discovery 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).			



Florida Department of Transportation

RON DESANTIS
GOVERNOR

605 Suwannee Street
Tallahassee, FL 32399-0450

KEVIN J. THIBAUT, P.E.
SECRETARY

MEMORANDUM

TO: FDOT Budget Office
FROM: Victoria Kliner, Director of Human Resources
DATE: July 23, 2019
SUBJECT: Schedule X

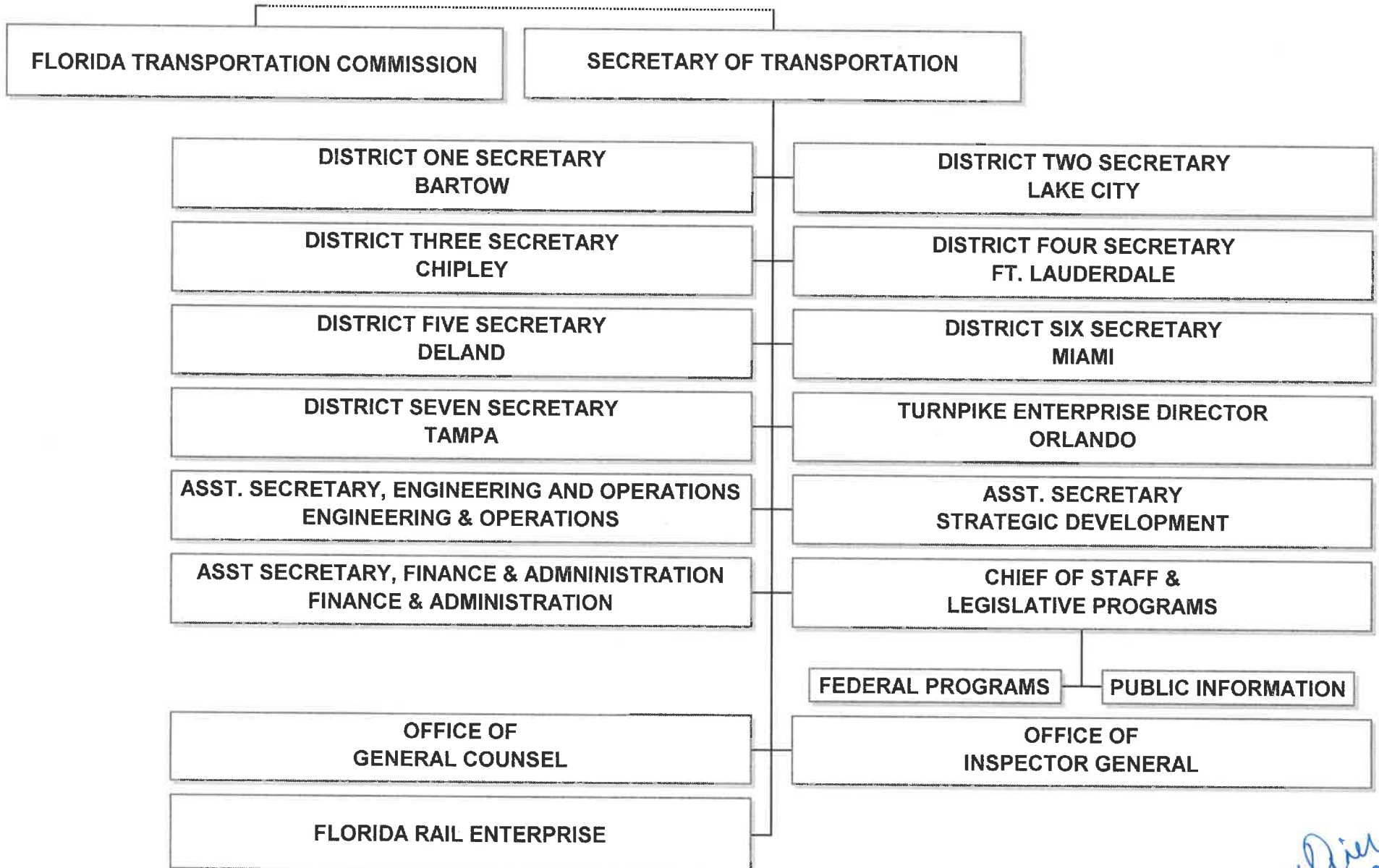
I certify that the attached organizational charts represent our agency's organizational structure effective July 1, 2019.



Victoria Kliner
Director of Human Resources

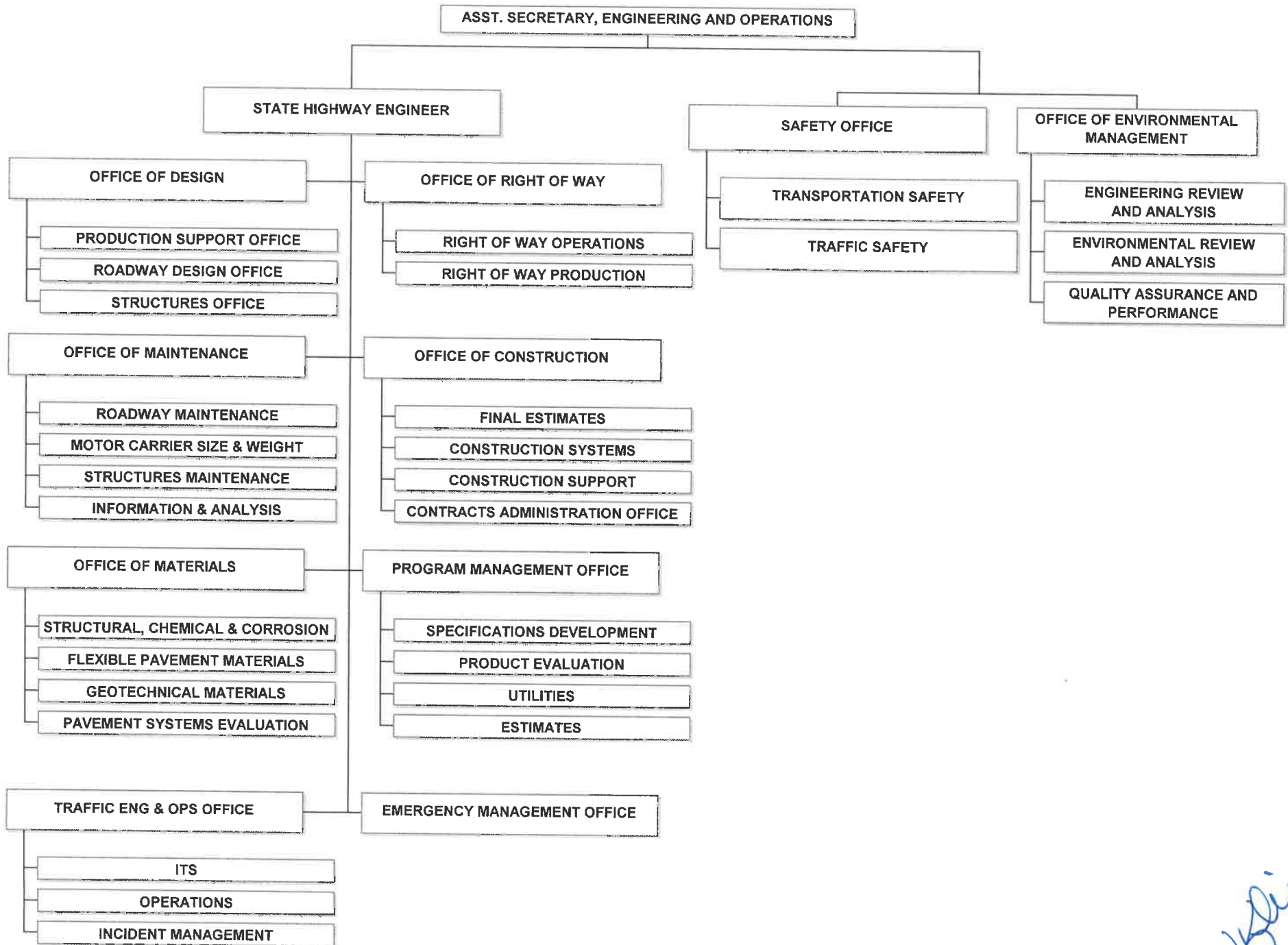
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FLORIDA DEPARTMENT OF TRANSPORTATION OFFICE OF THE SECRETARY



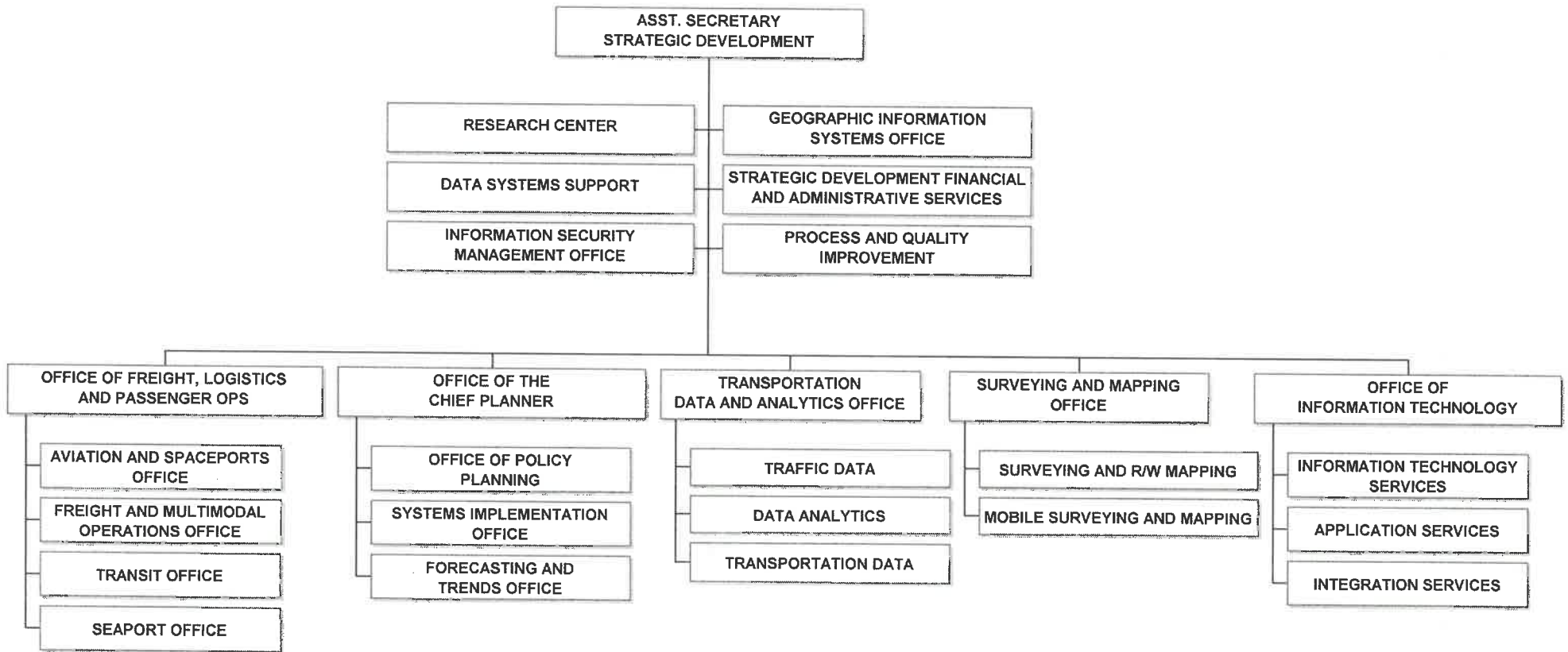
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FLORIDA DEPARTMENT OF TRANSPORTATION ASSISTANT SECRETARY FOR ENGINEERING AND OPERATIONS



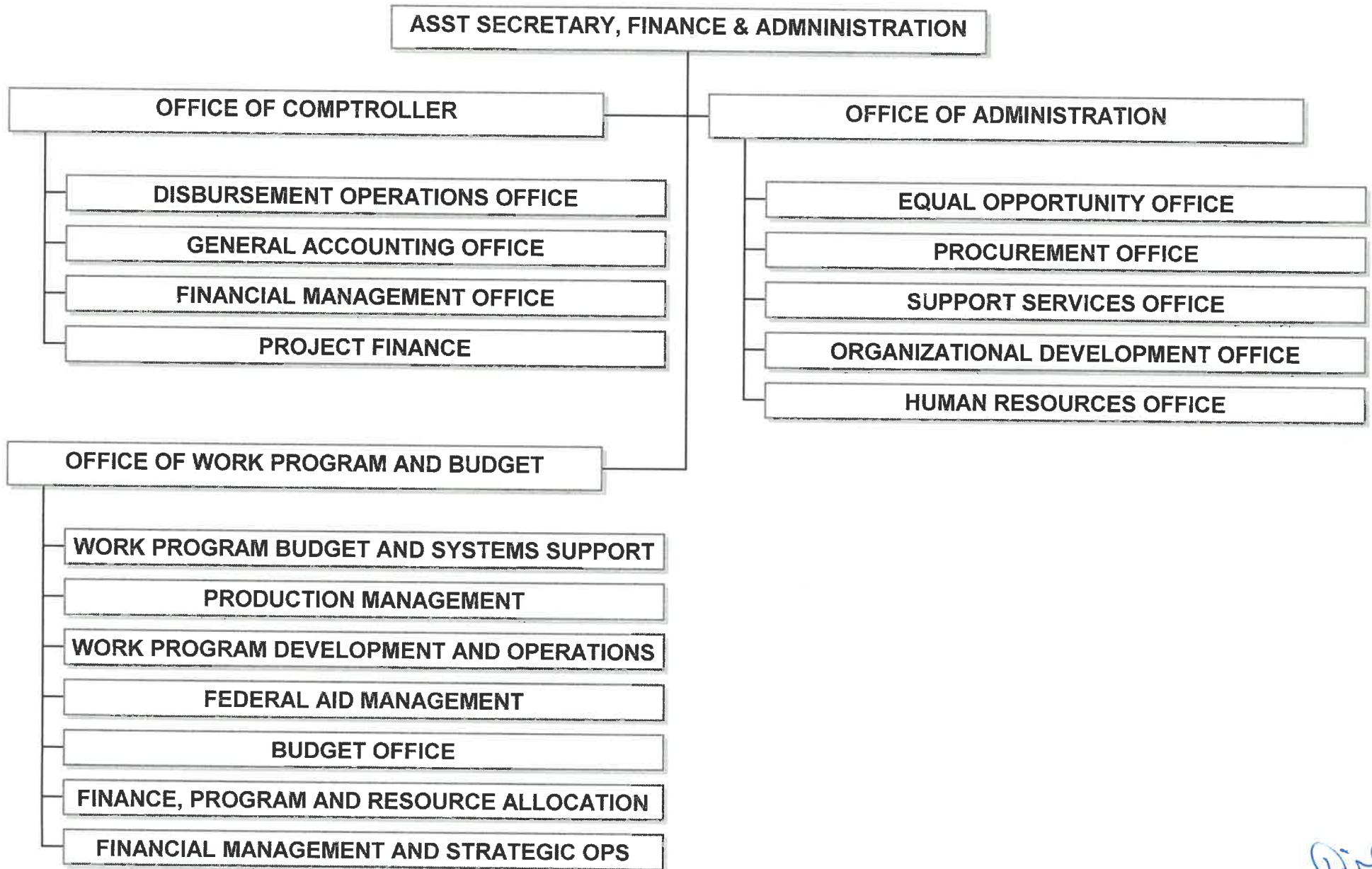
J. J. Jones
7.1.19

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



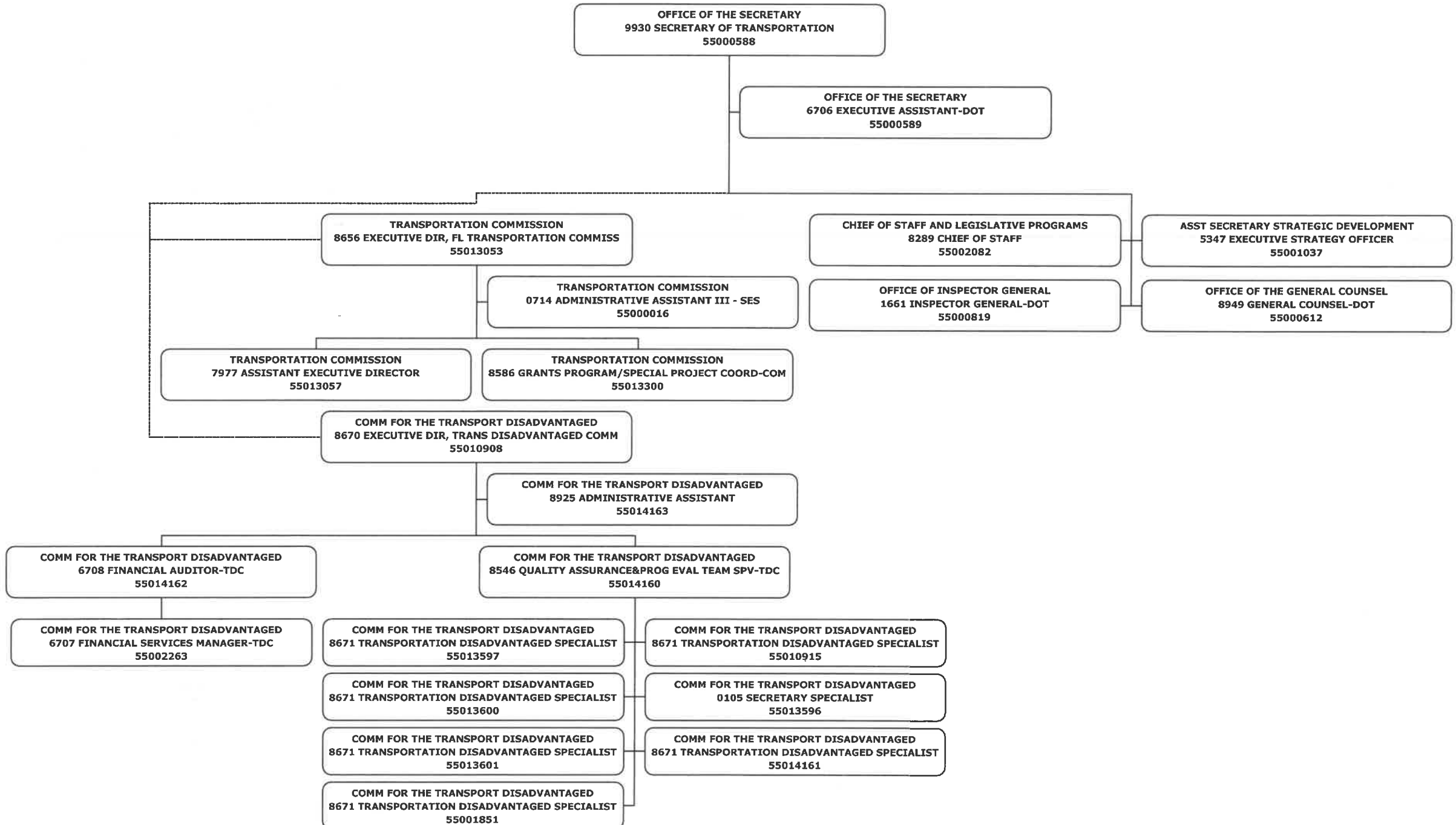
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FLORIDA DEPARTMENT OF TRANSPORTATION ASSISTANT SECRETARY FOR FINANCE AND ADMINISTRATION

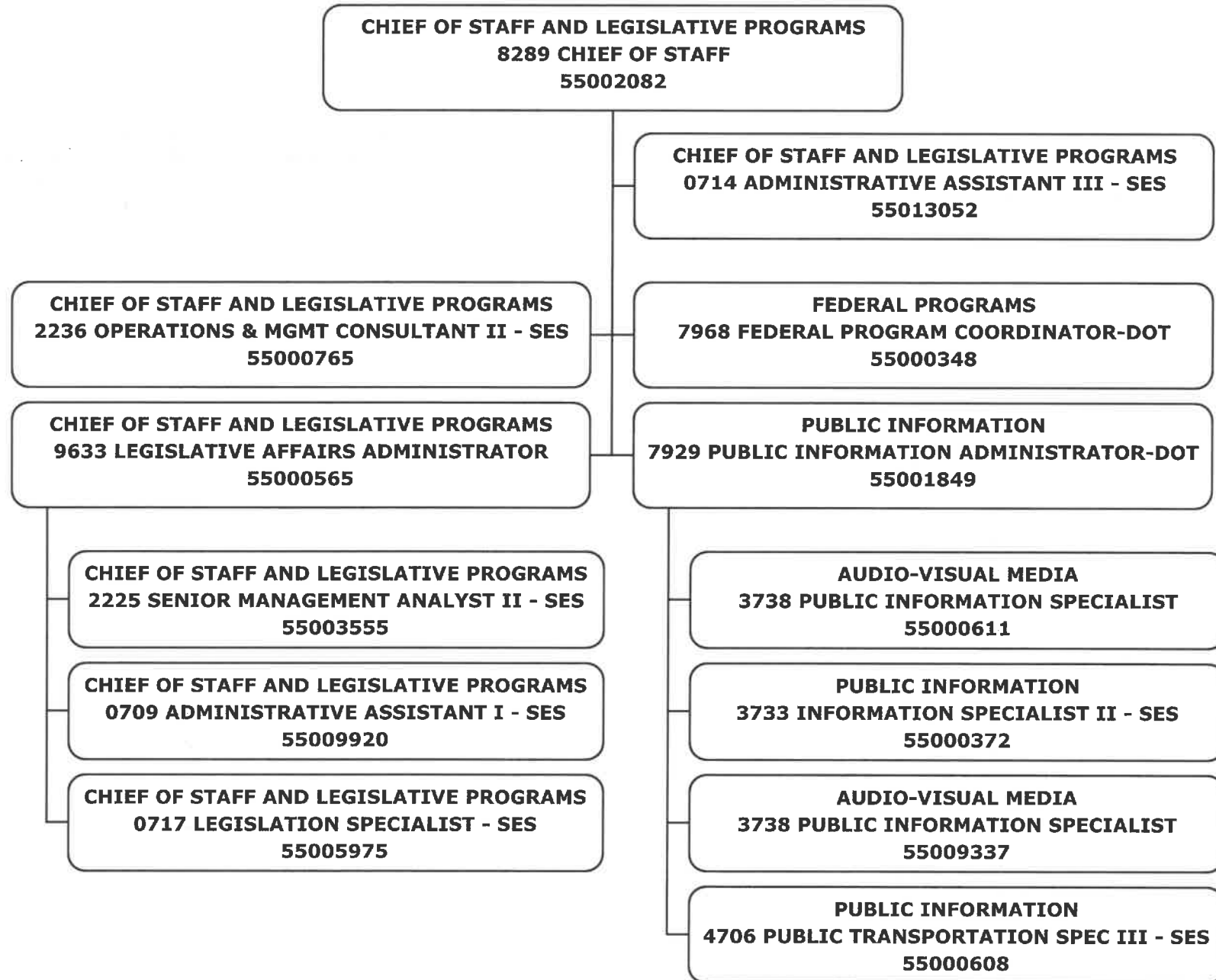


J. J. Jones
7.1.19

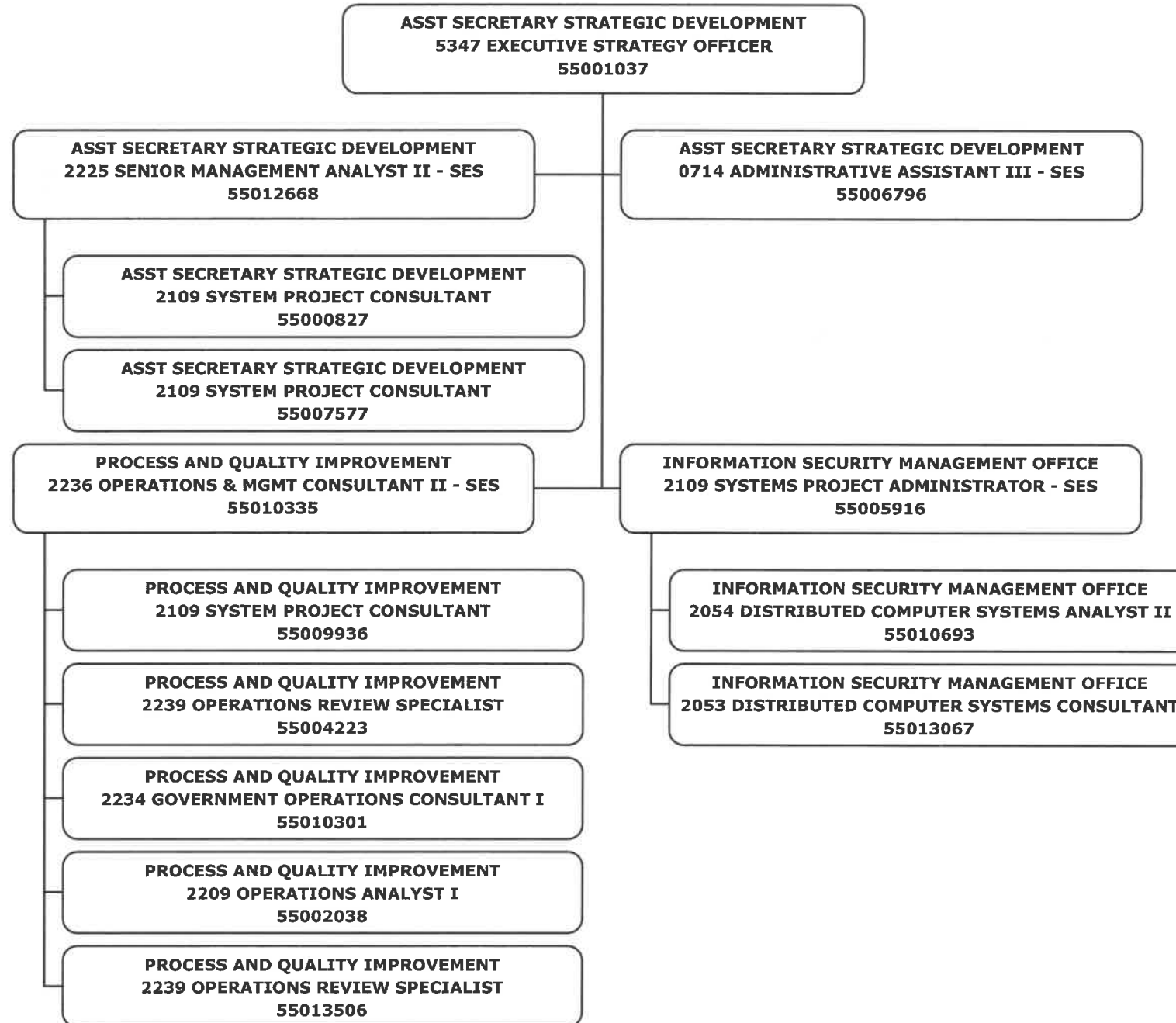
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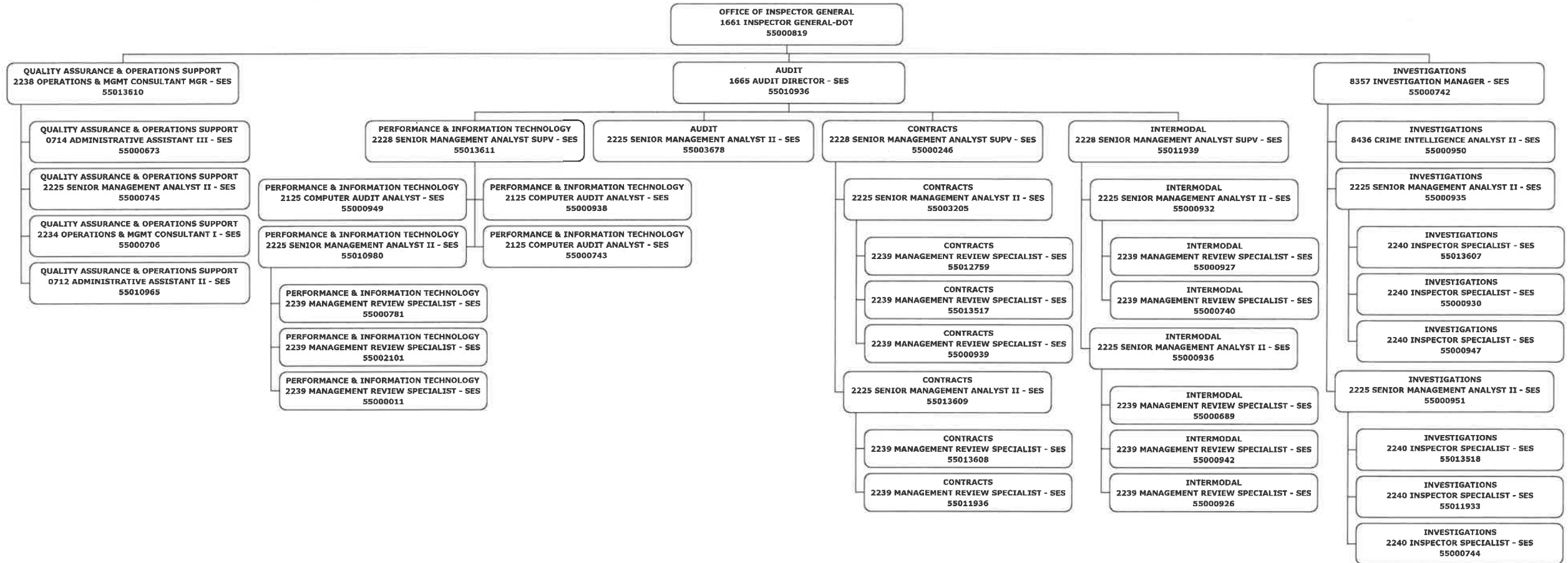
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OFFICE OF THE SECRETARY



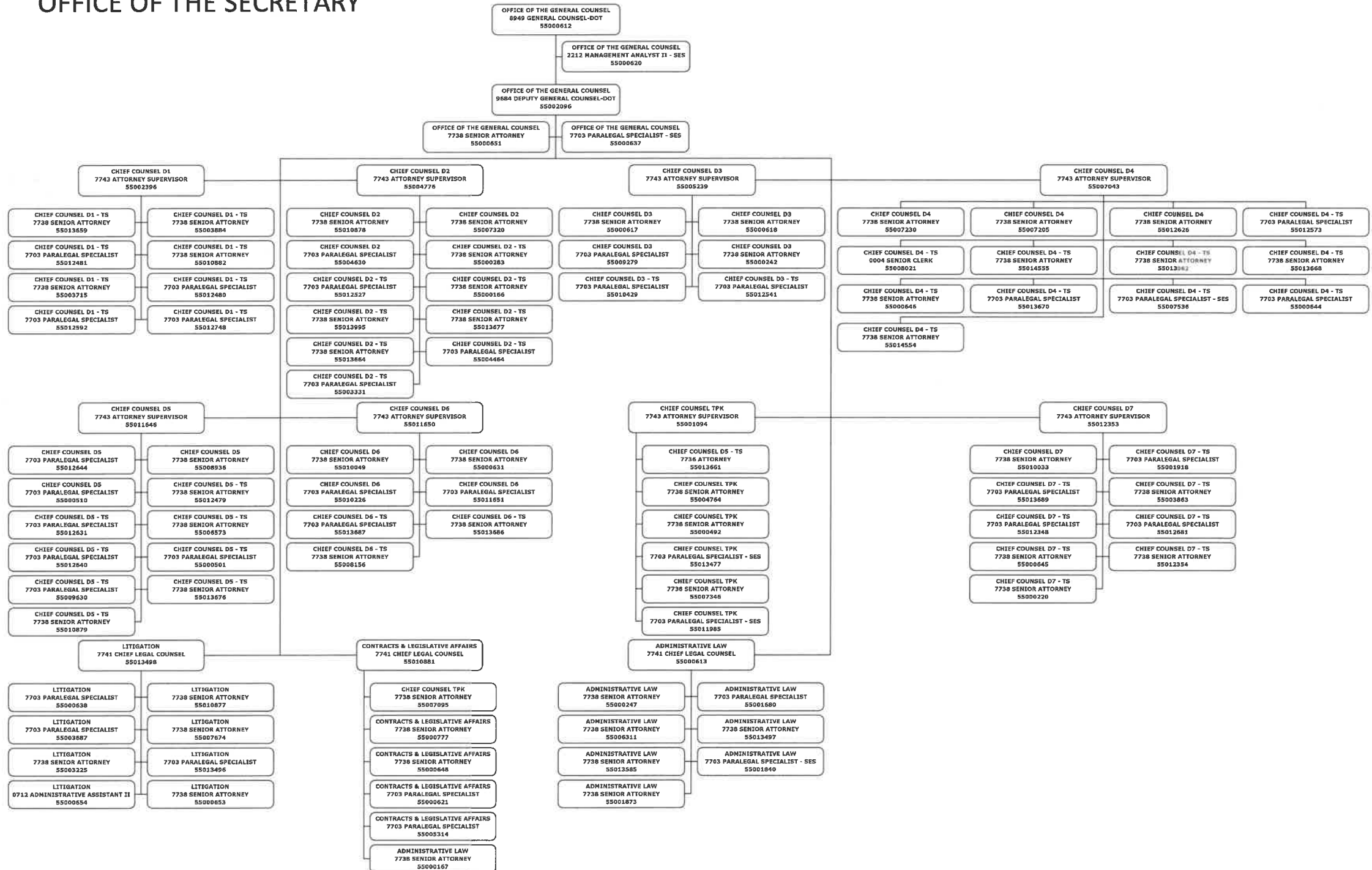
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OFFICE OF THE SECRETARY



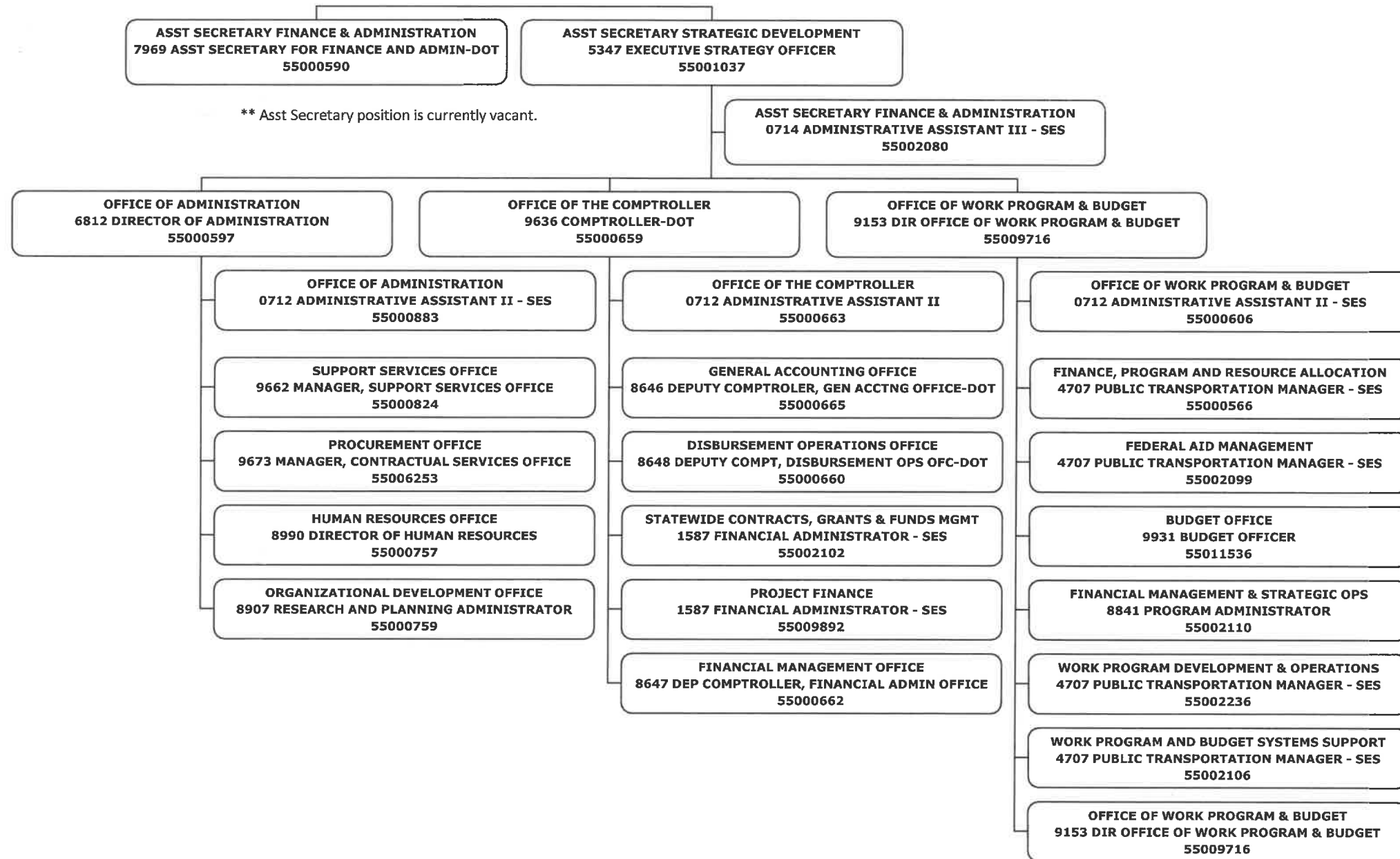
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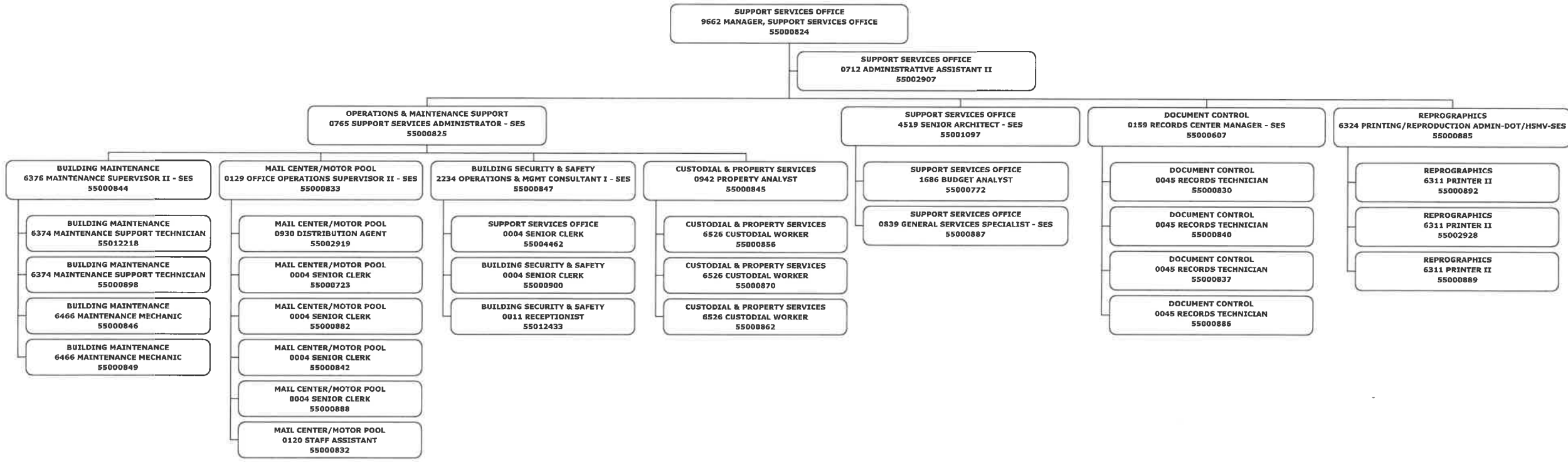
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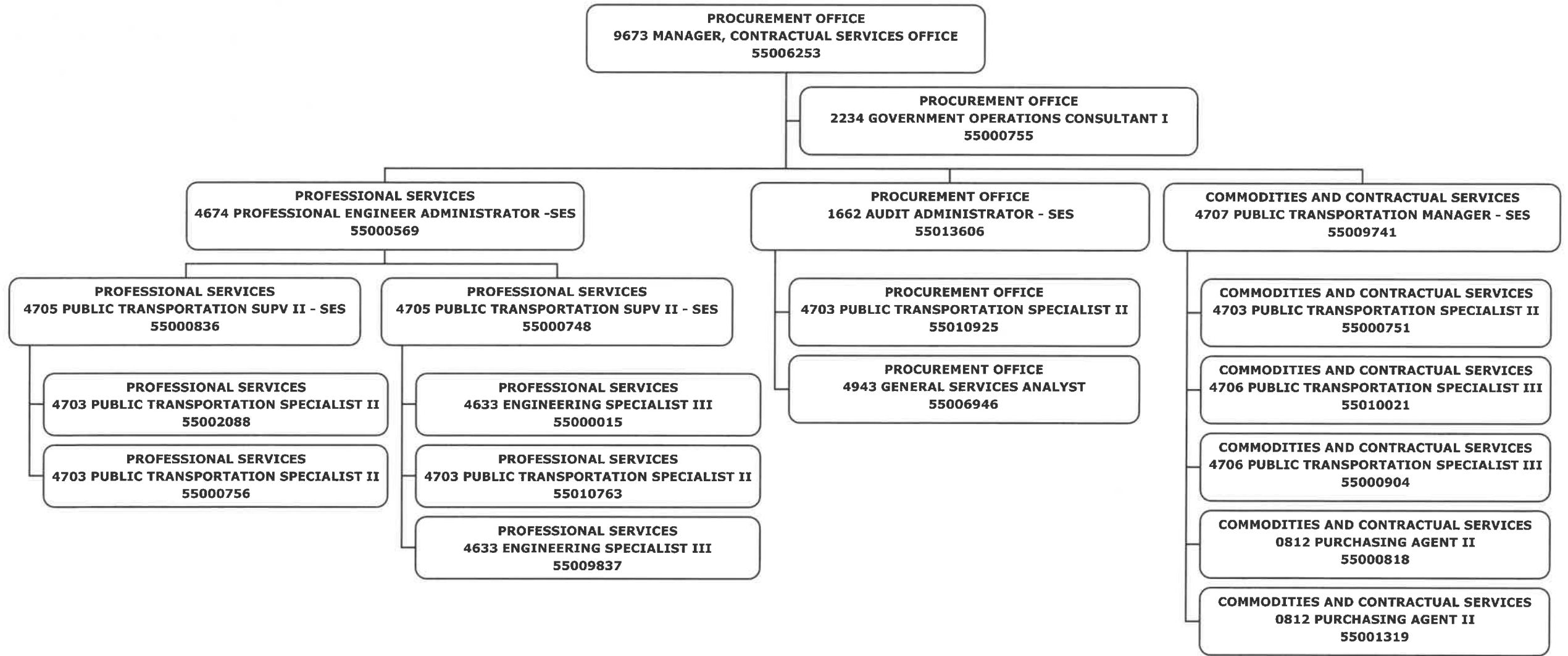
FLORIDA DEPARTMENT OF TRANSPORTATION ASST SECRETARY, FINANCE AND ADMINISTRATION



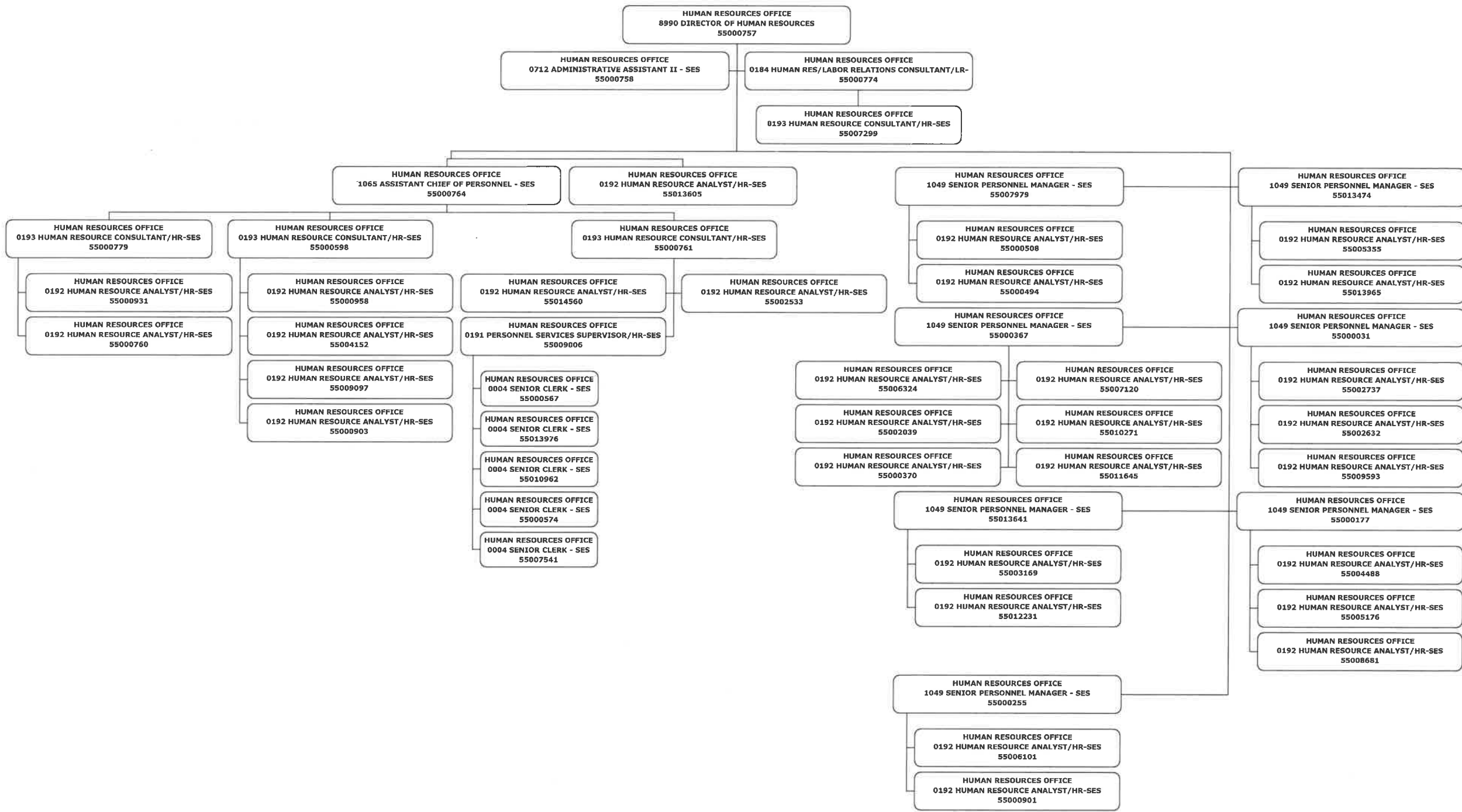
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 ASST SECRETARY, FINANCE AND ADMINISTRATION



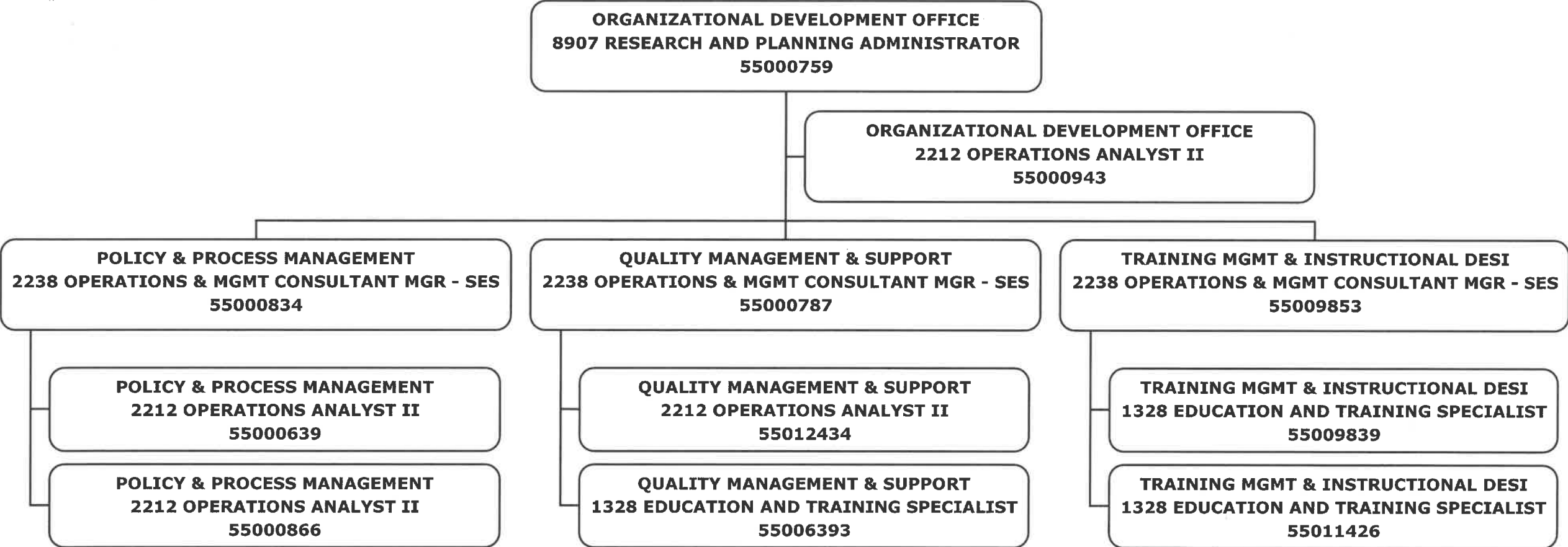
FLORIDA DEPARTMENT OF TRANSPORTATION
 ASST SECRETARY, FINANCE AND ADMINISTRATION



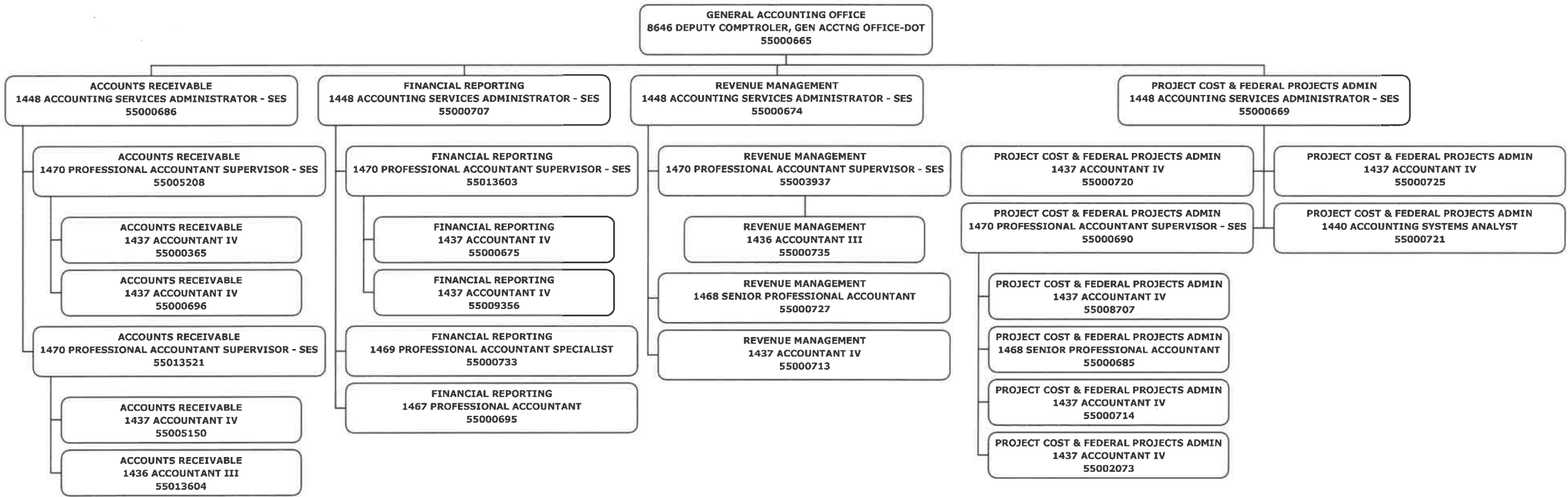
FLORIDA DEPARTMENT OF TRANSPORTATION ASST SECRETARY, FINANCE AND ADMINISTRATION



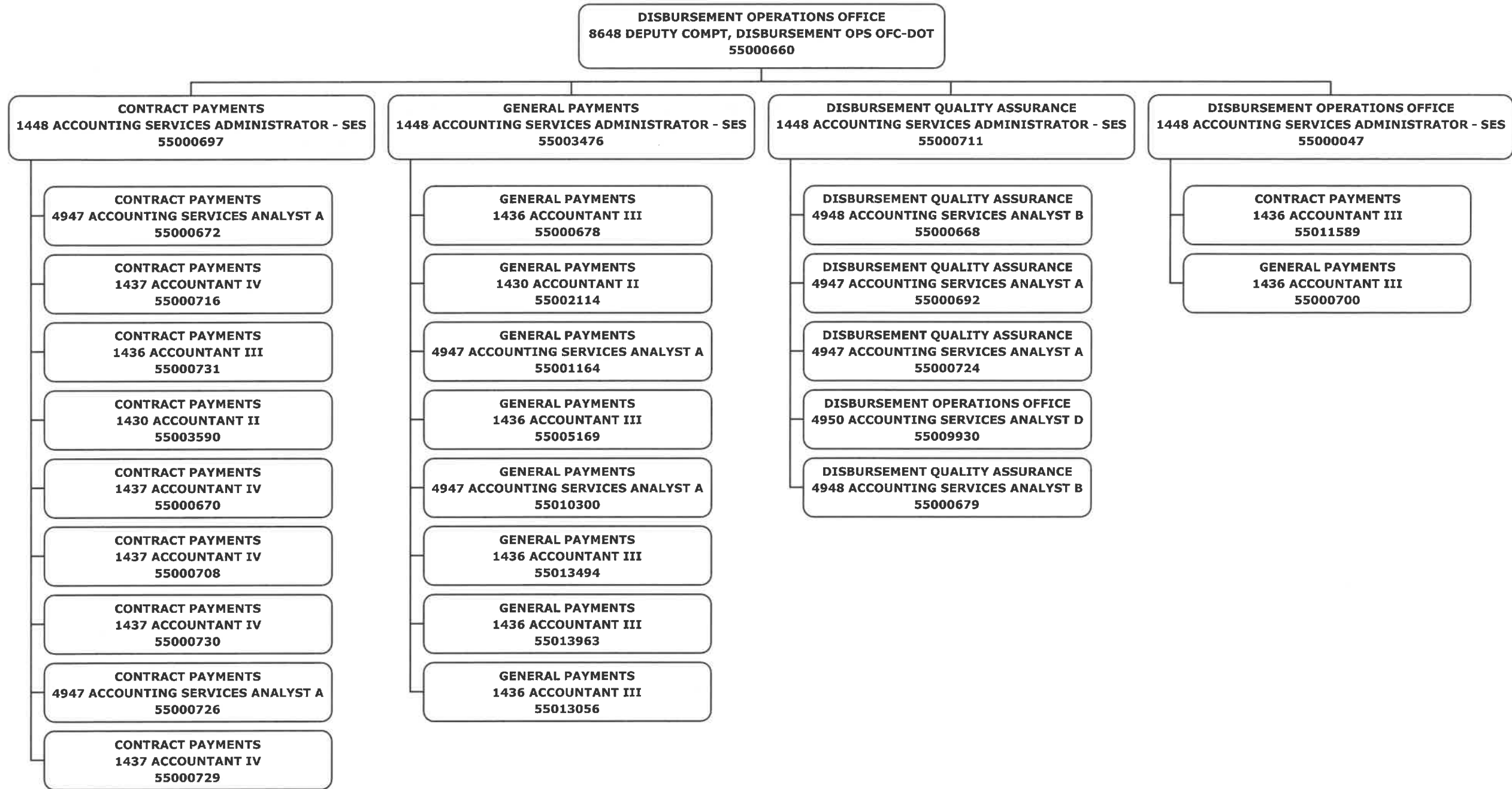
FLORIDA DEPARTMENT OF TRANSPORTATION
ASST SECRETARY, FINANCE AND ADMINISTRATION



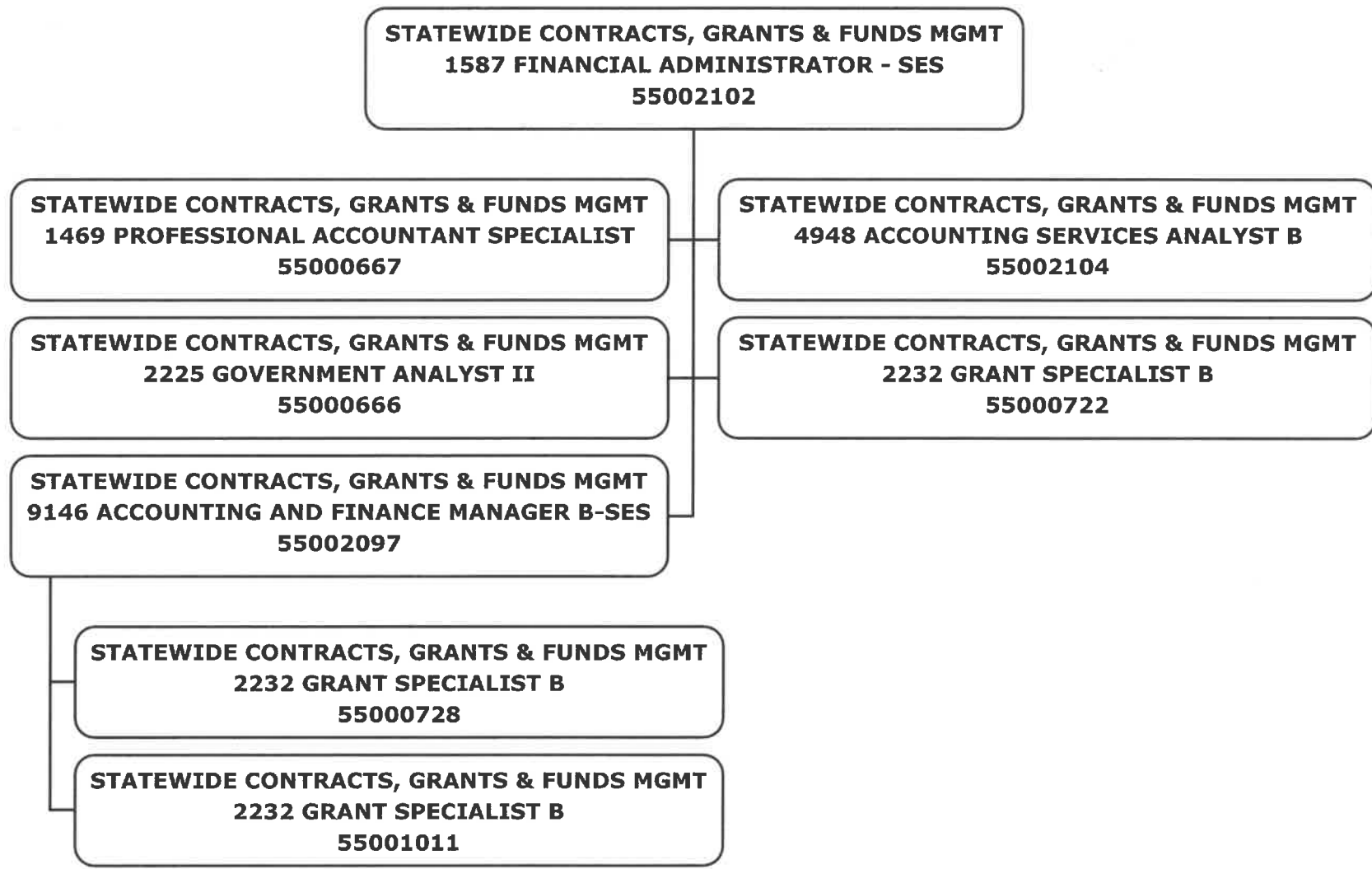
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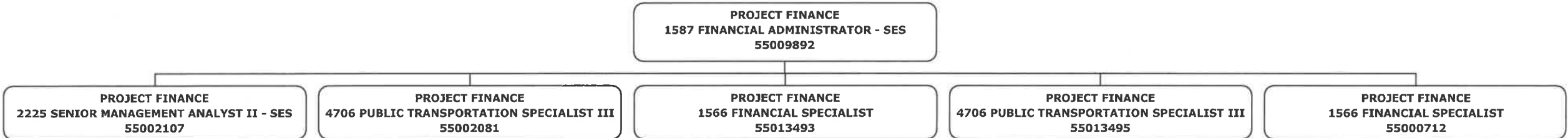
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 ASST SECRETARY, FINANCE AND ADMINISTRATION



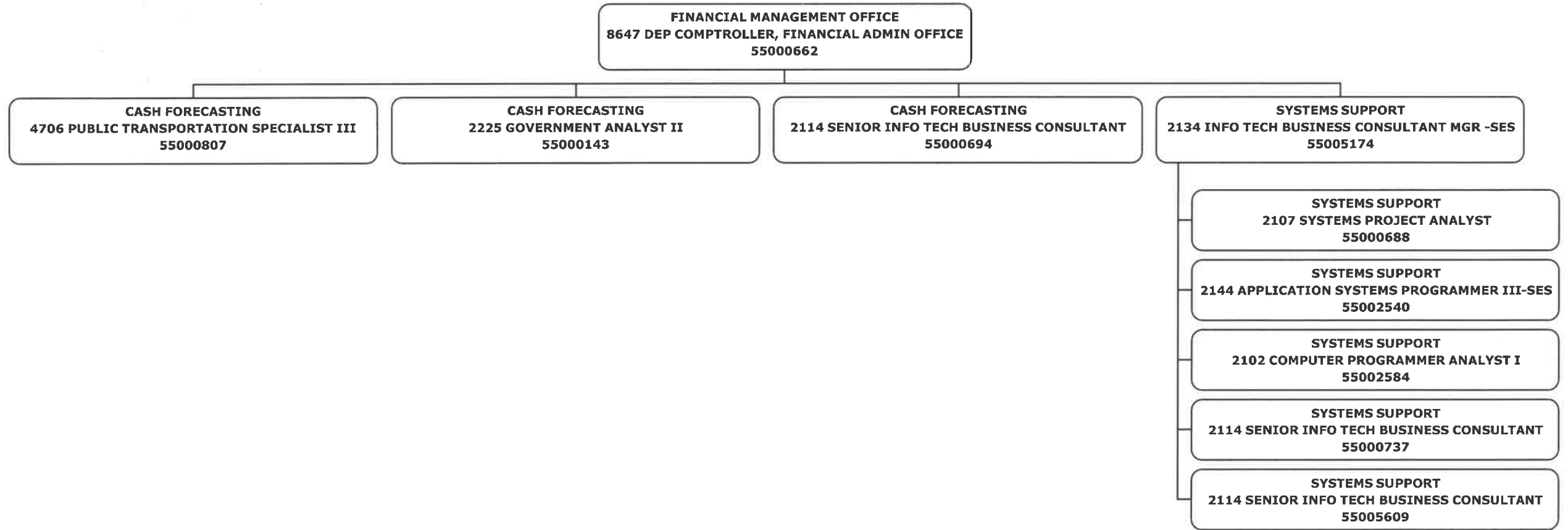
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ASST SECRETARY, FINANCE AND ADMINISTRATION



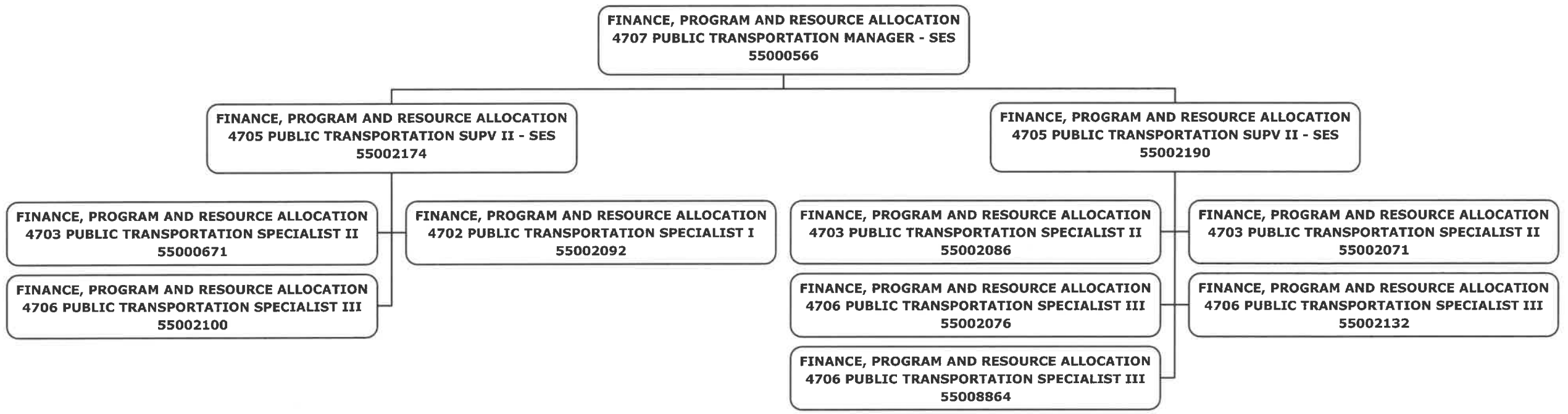
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ASST SECRETARY, FINANCE AND ADMINISTRATION



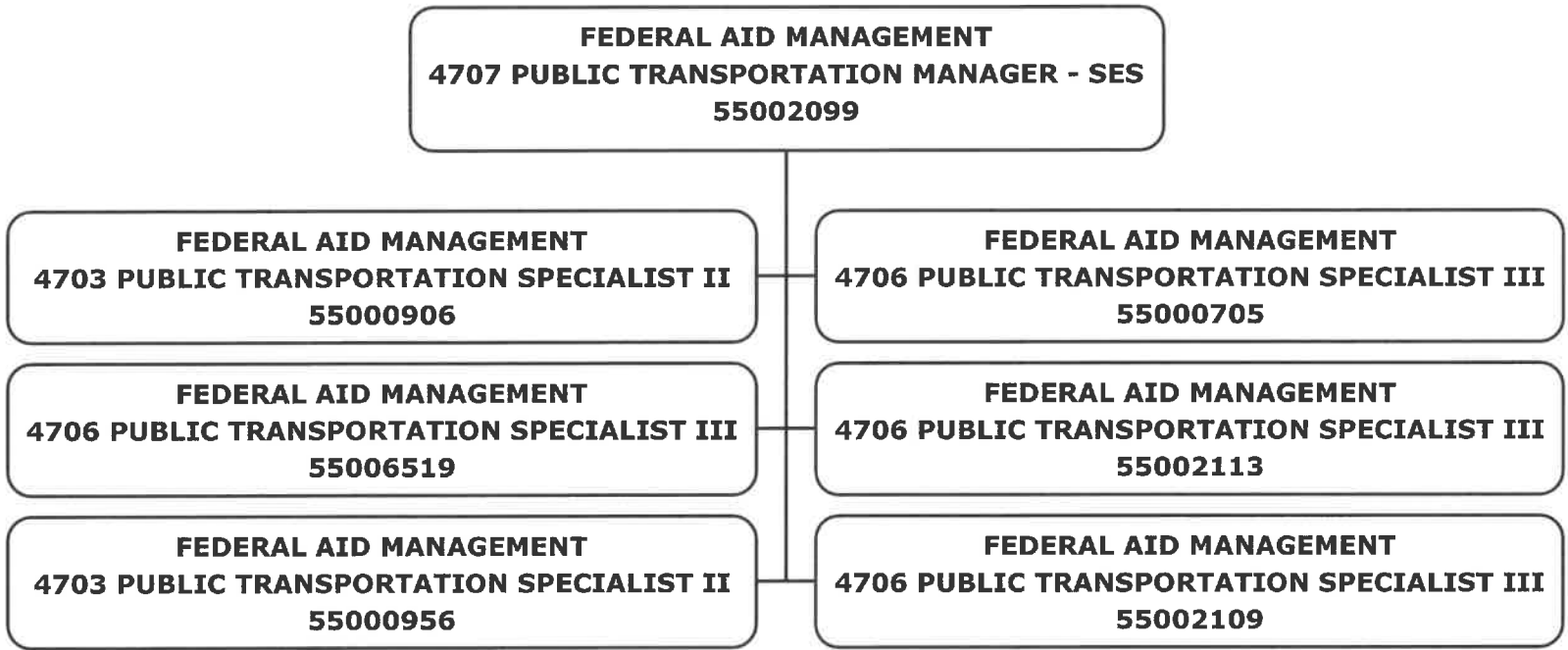
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ASST SECRETARY, FINANCE AND ADMINISTRATION



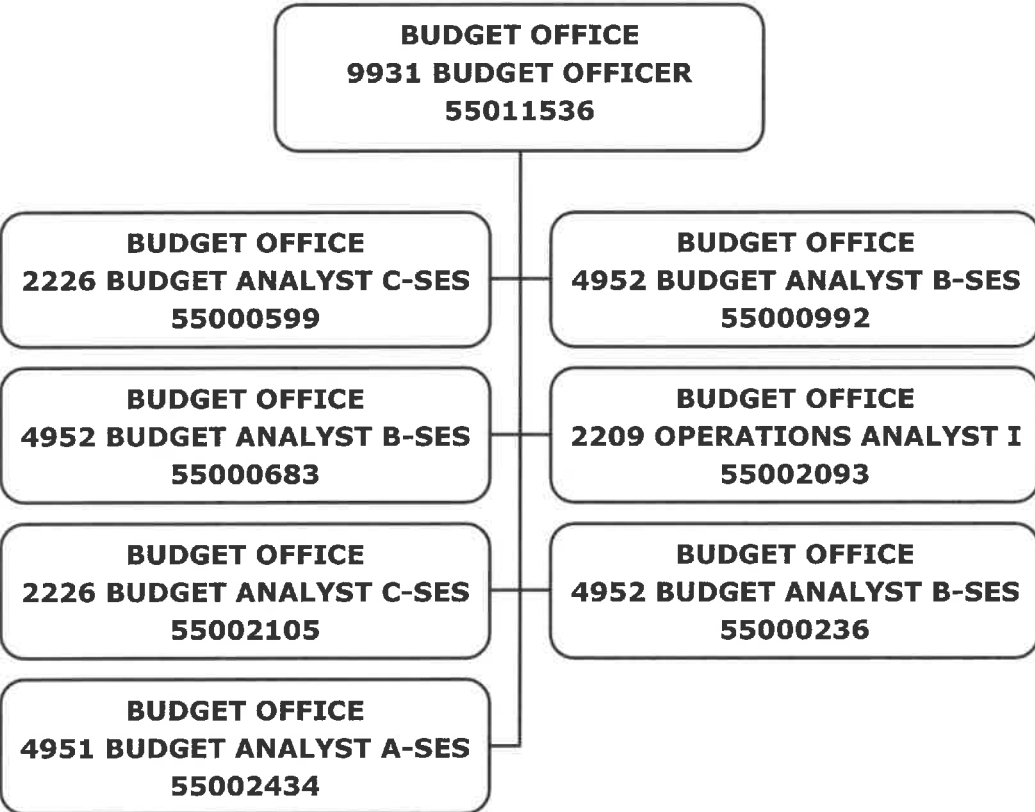
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 ASST SECRETARY, FINANCE AND ADMINISTRATION



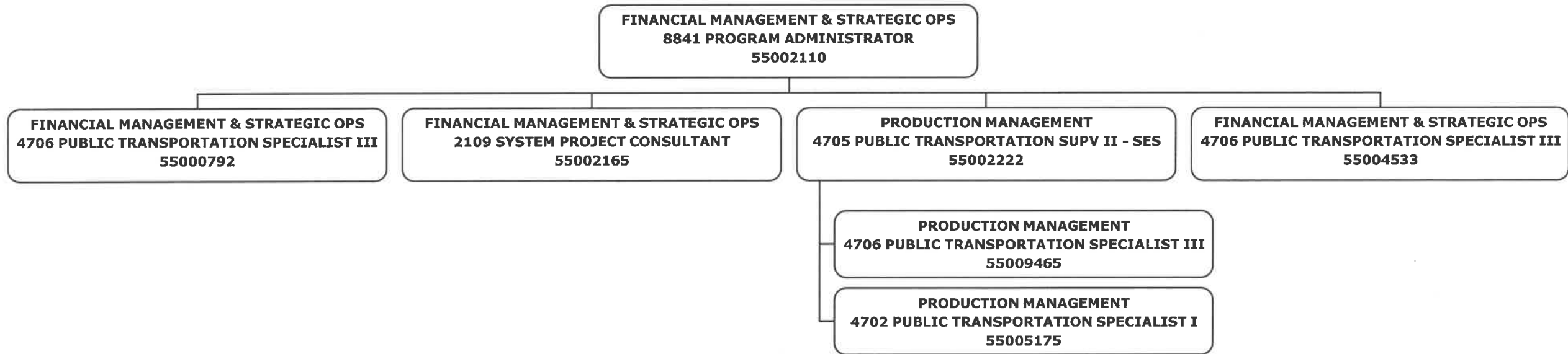
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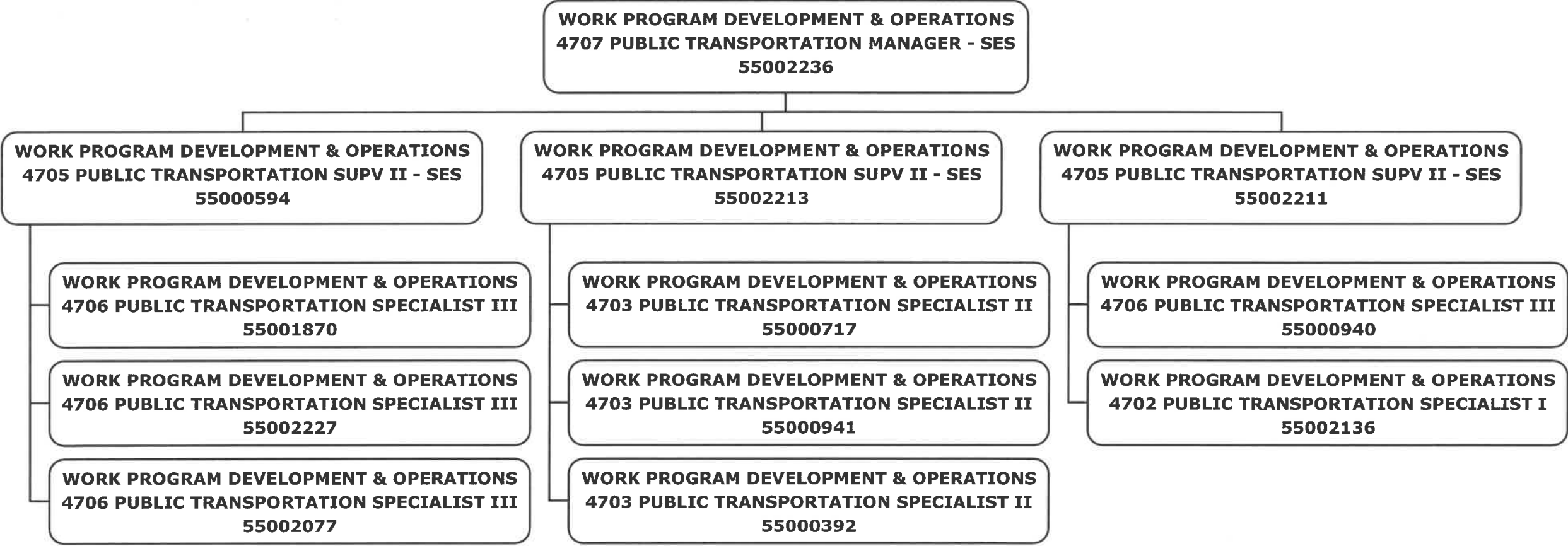
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ASST SECRETARY, FINANCE AND ADMINISTRATION



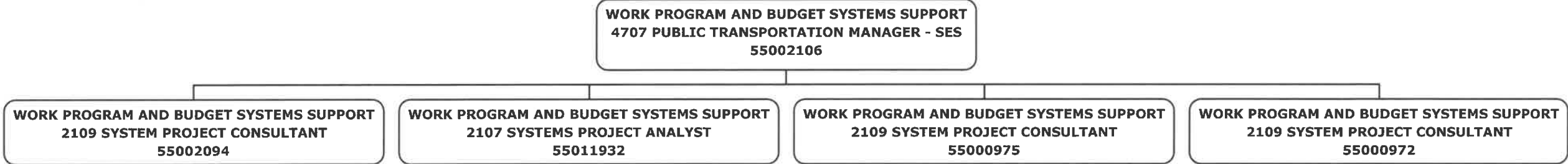
FLORIDA DEPARTMENT OF TRANSPORTATION
ASST SECRETARY, FINANCE AND ADMINISTRATION



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ASST SECRETARY, FINANCE AND ADMINISTRATION

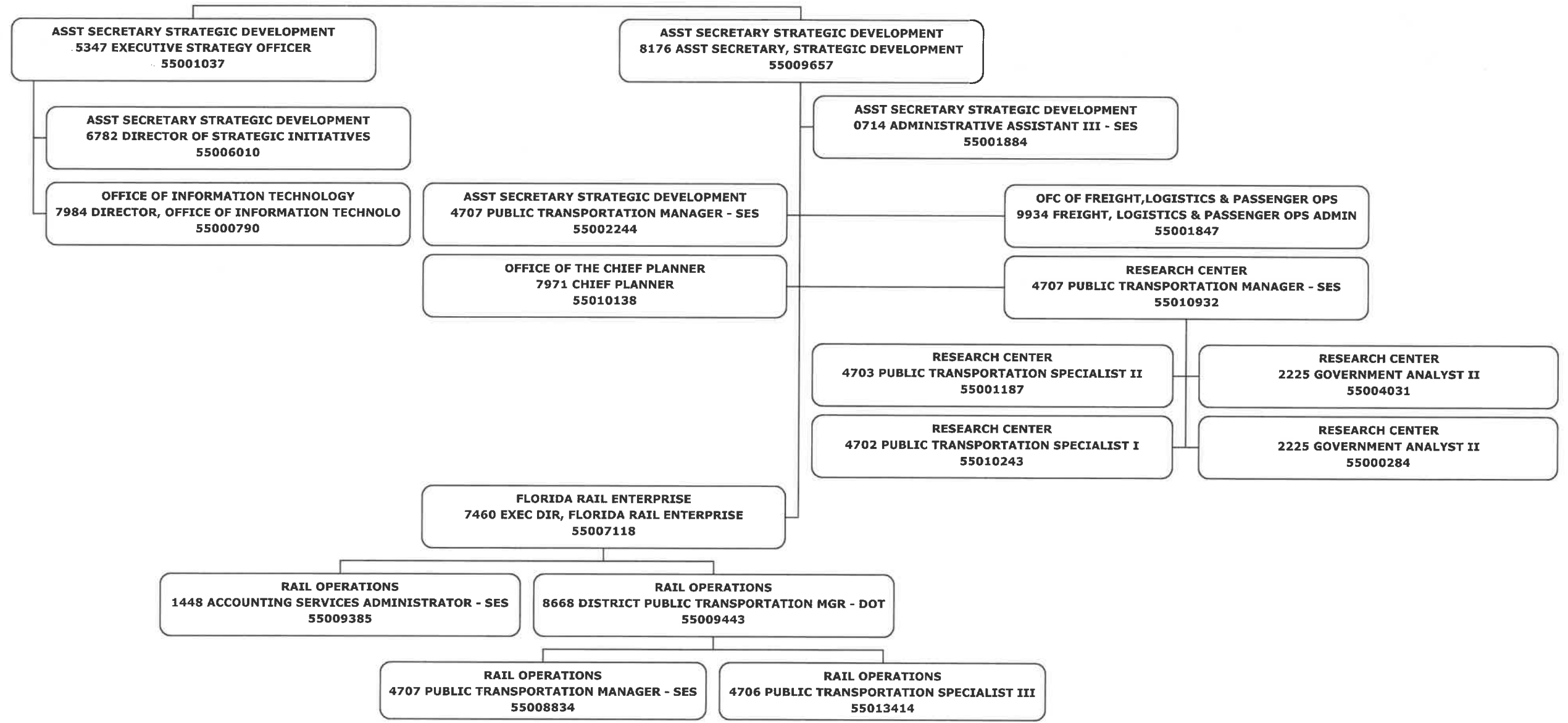


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ASST SECRETARY, FINANCE AND ADMINISTRATION



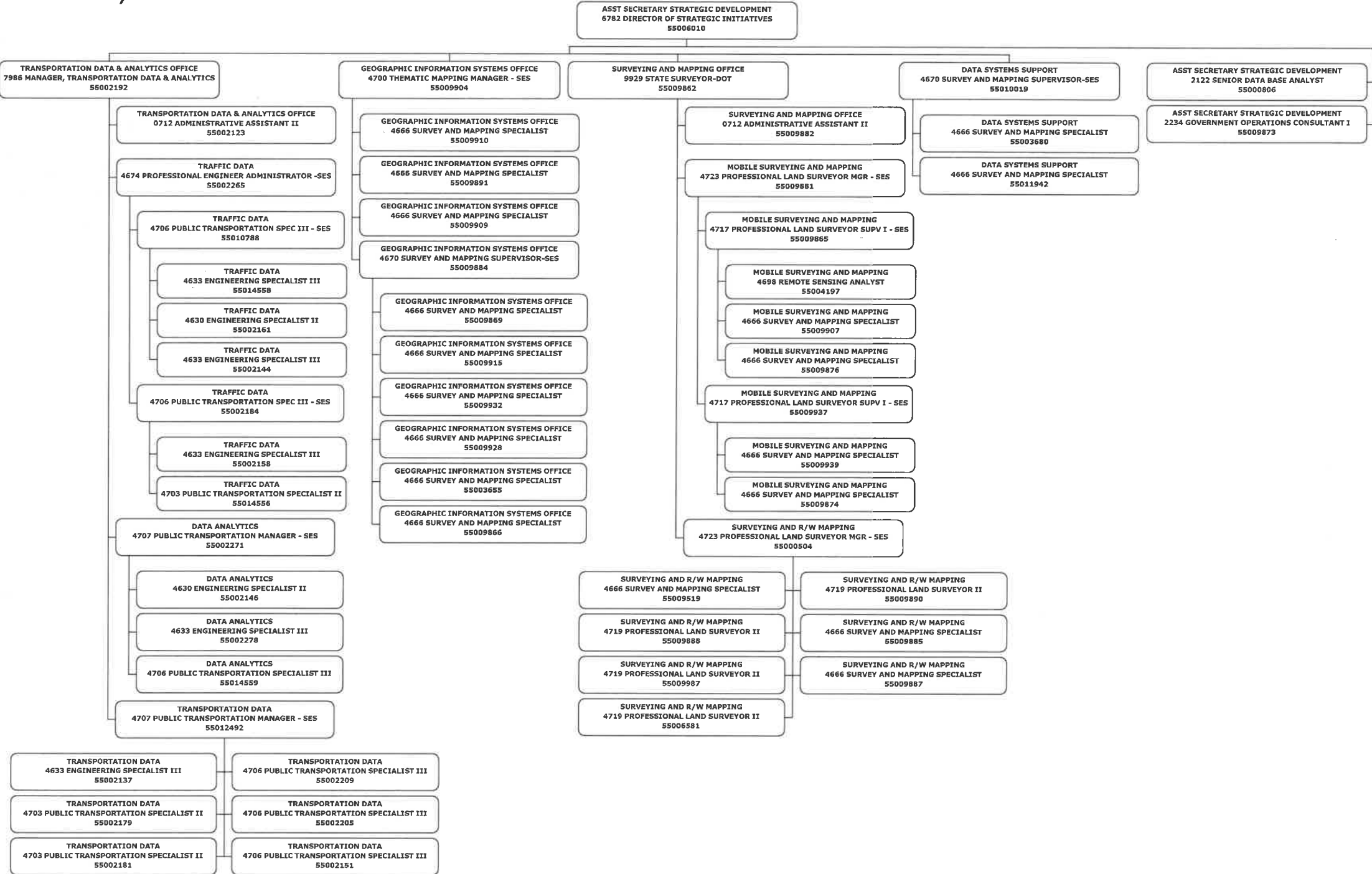
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ASST SECRETARY, STRATEGIC DEVELOPMENT

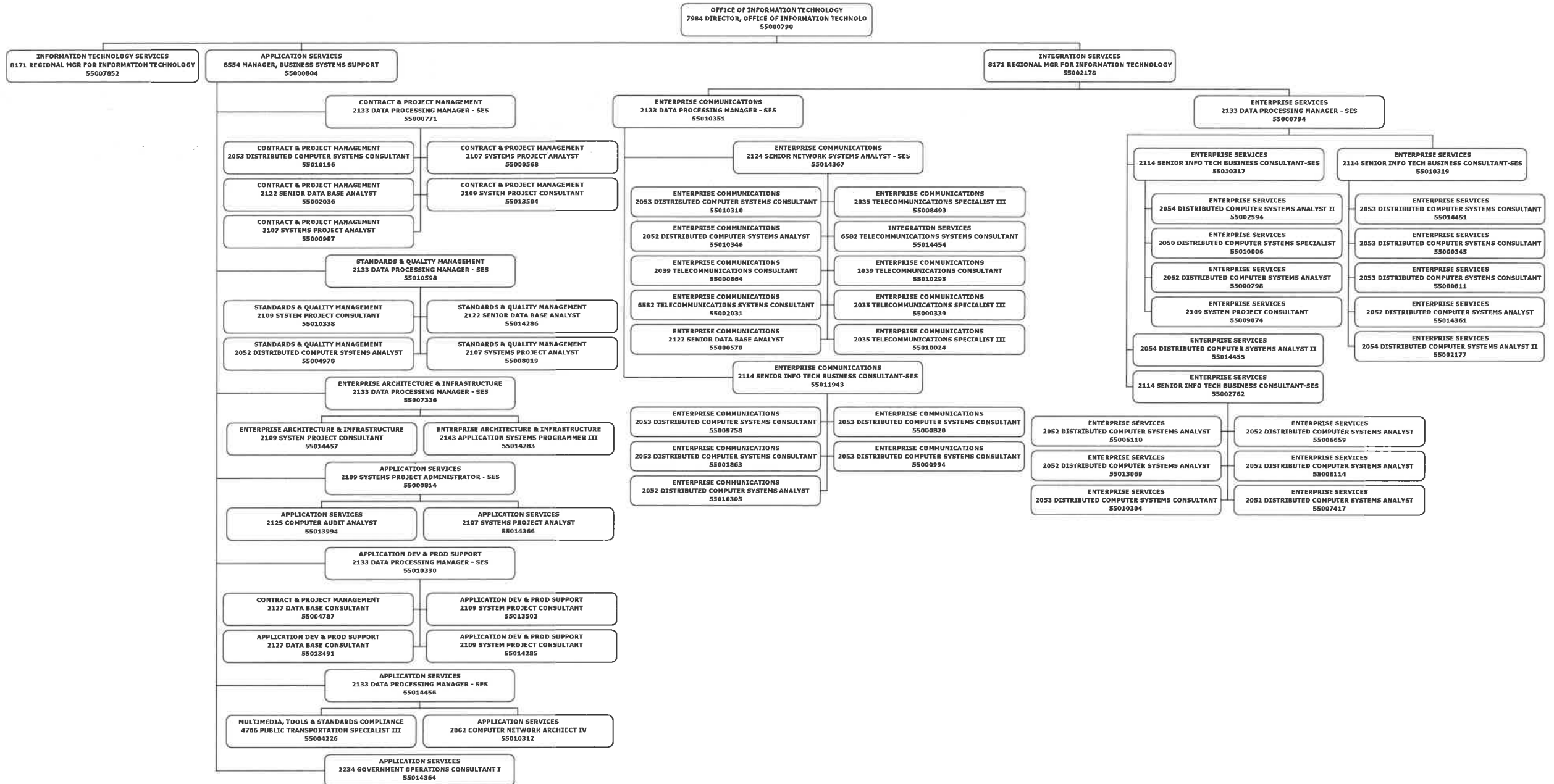


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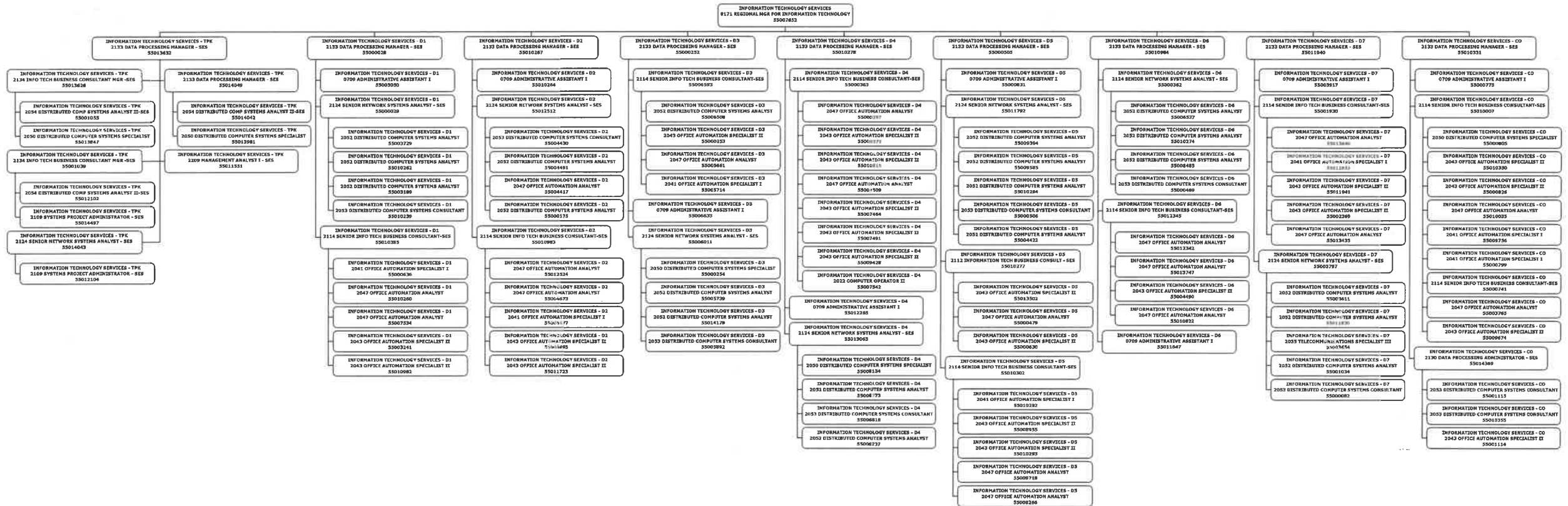
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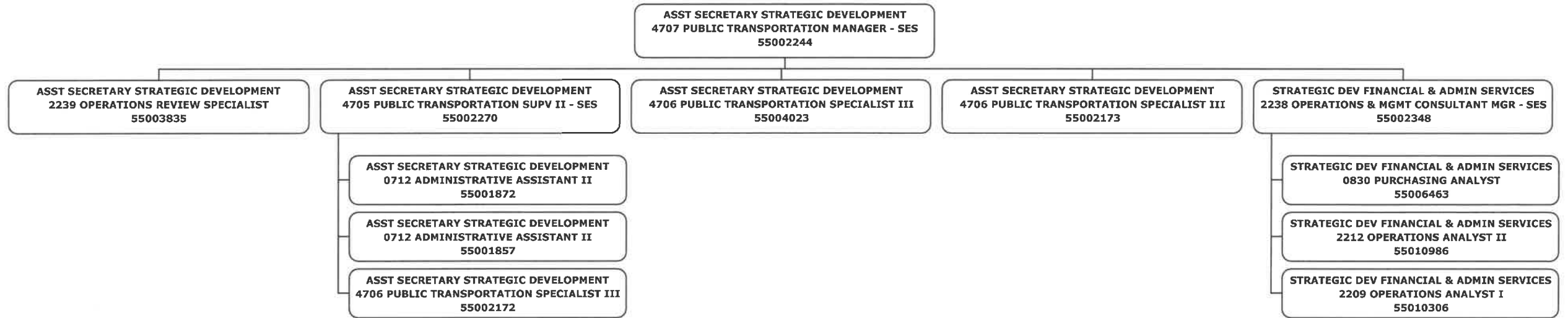
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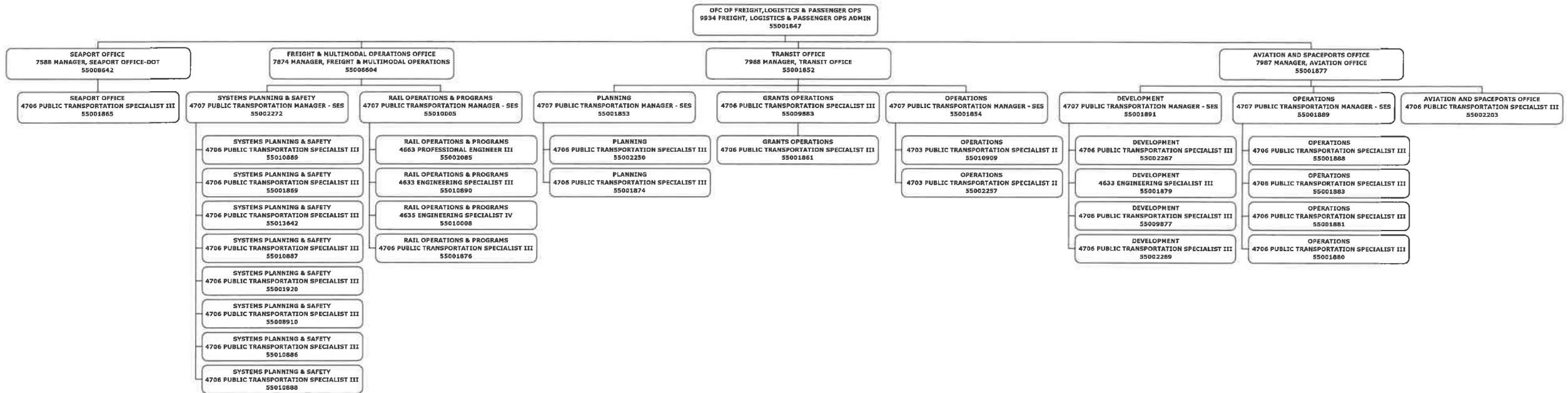
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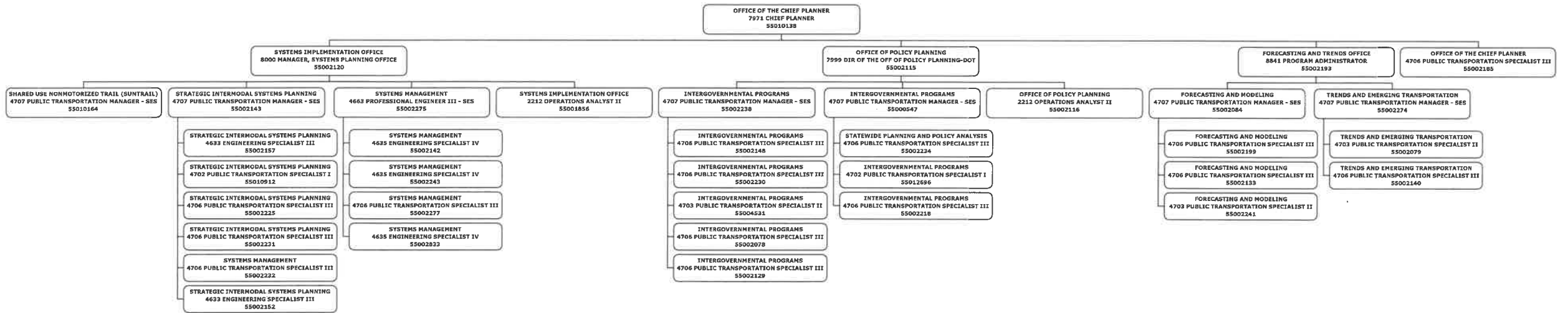
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 ASST SECRETARY, STRATEGIC DEVELOPMENT



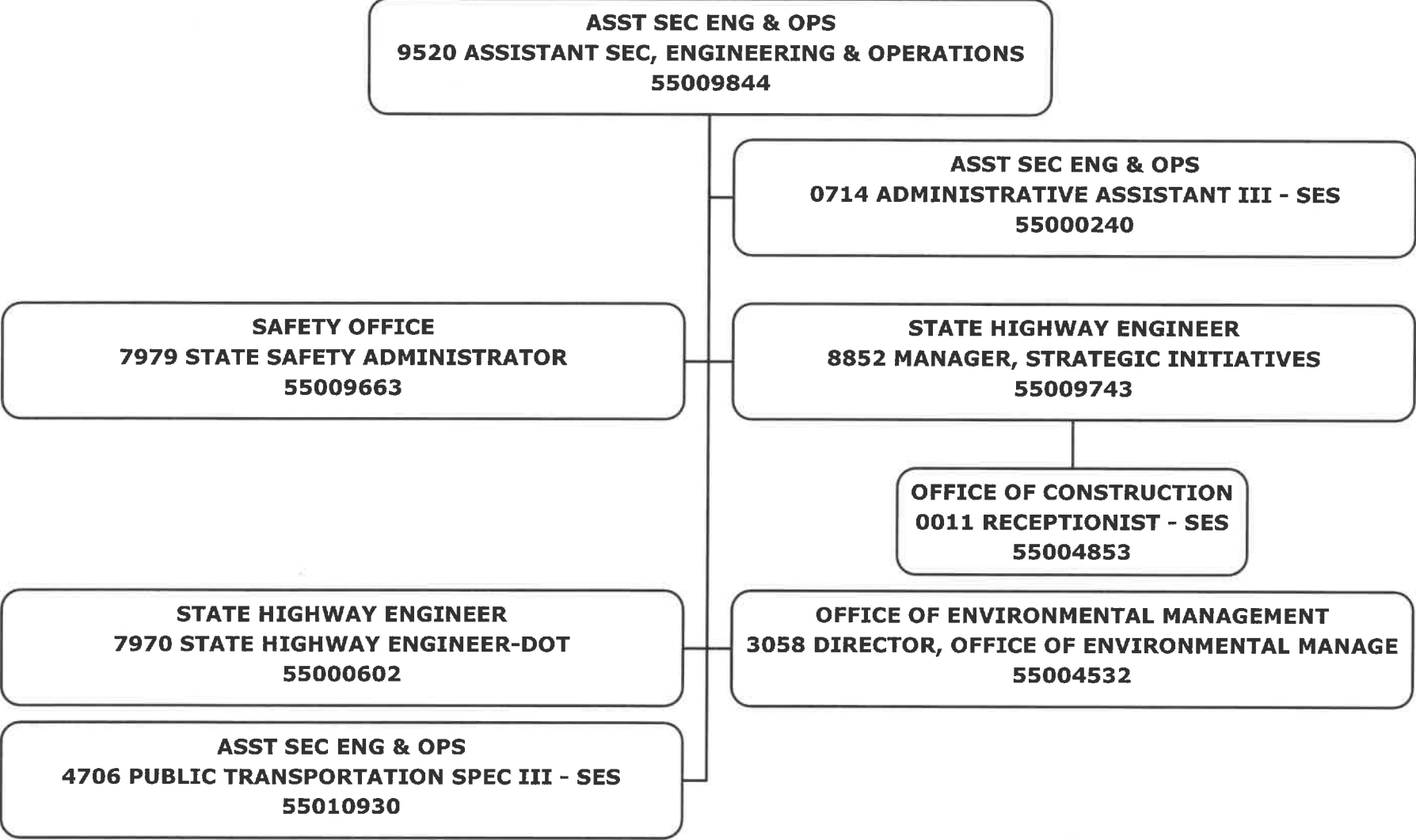
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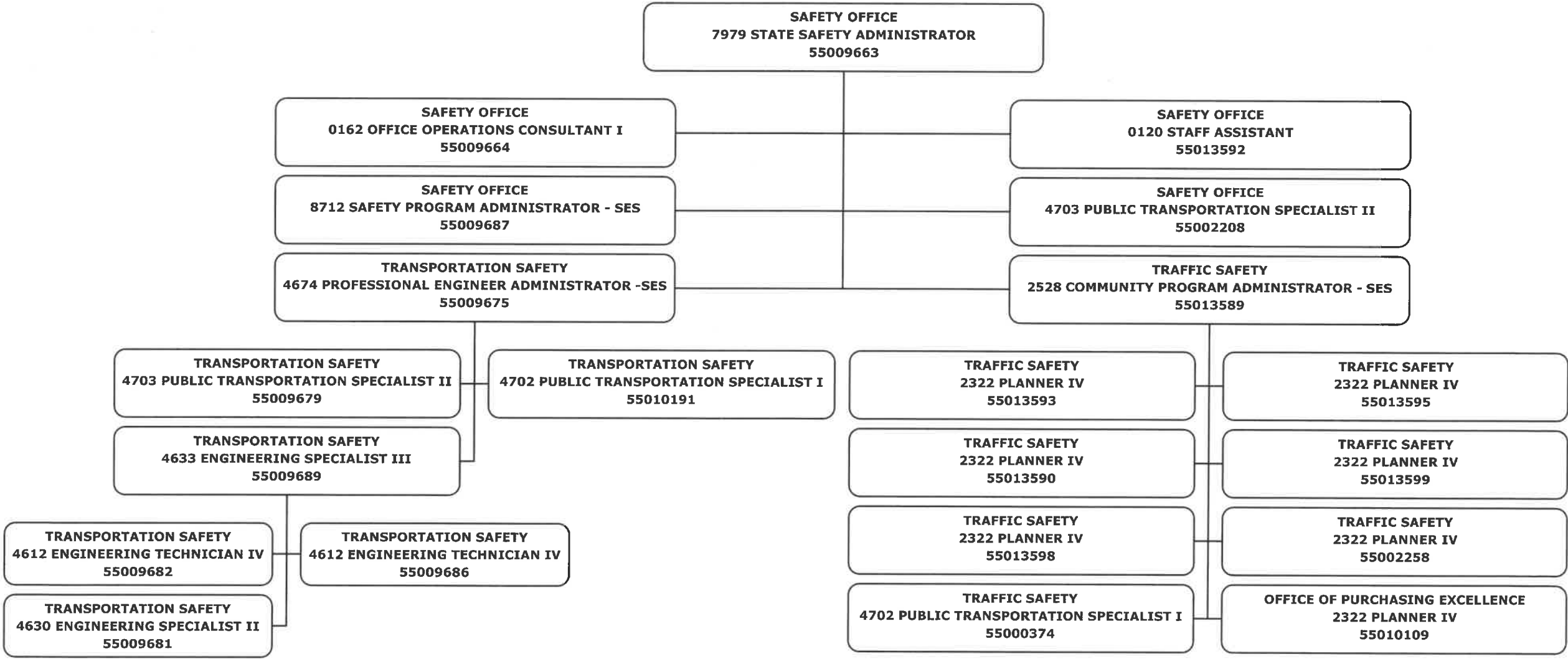
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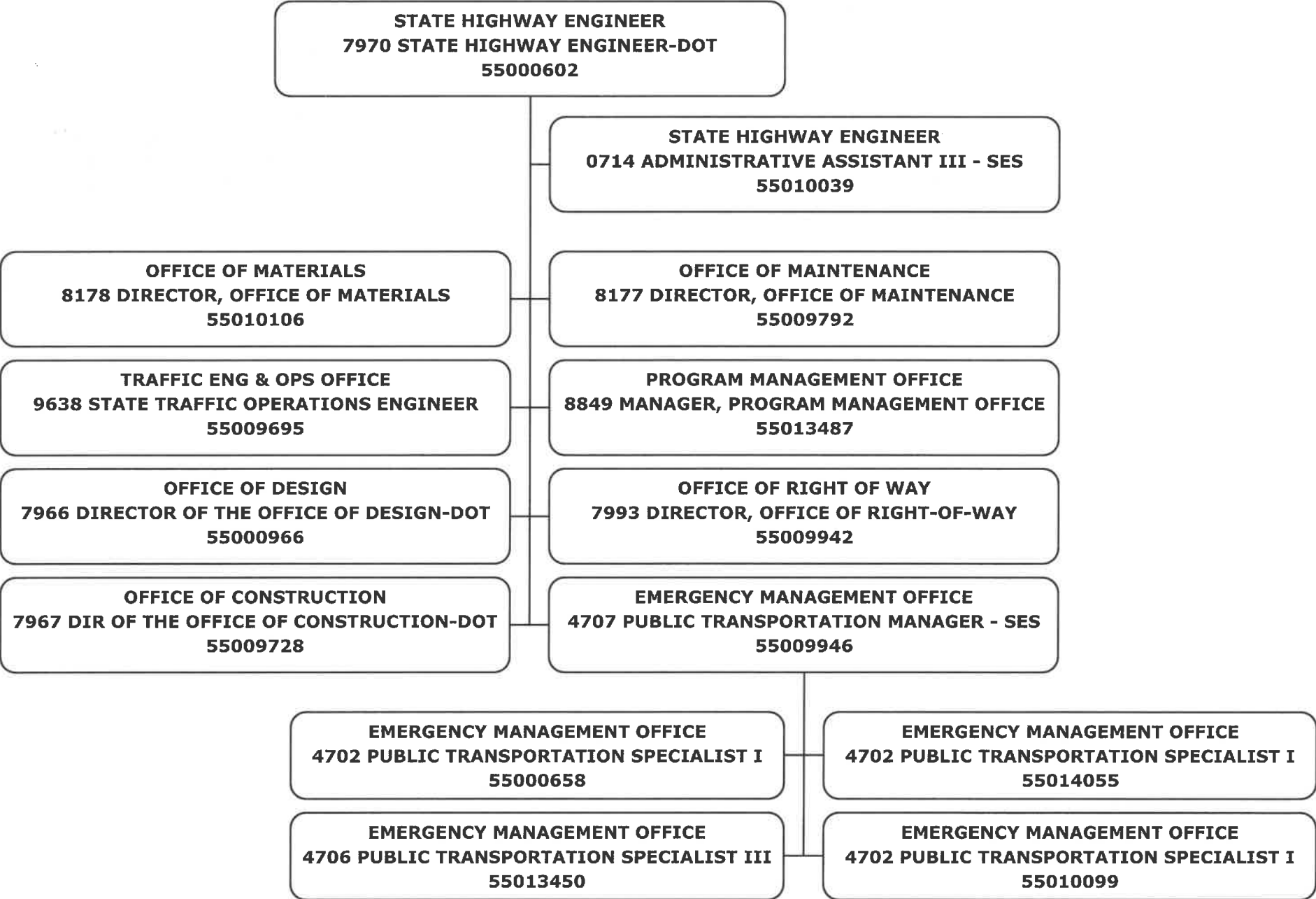
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ASST SECRETARY, ENGINEERING AND OPERATIONS



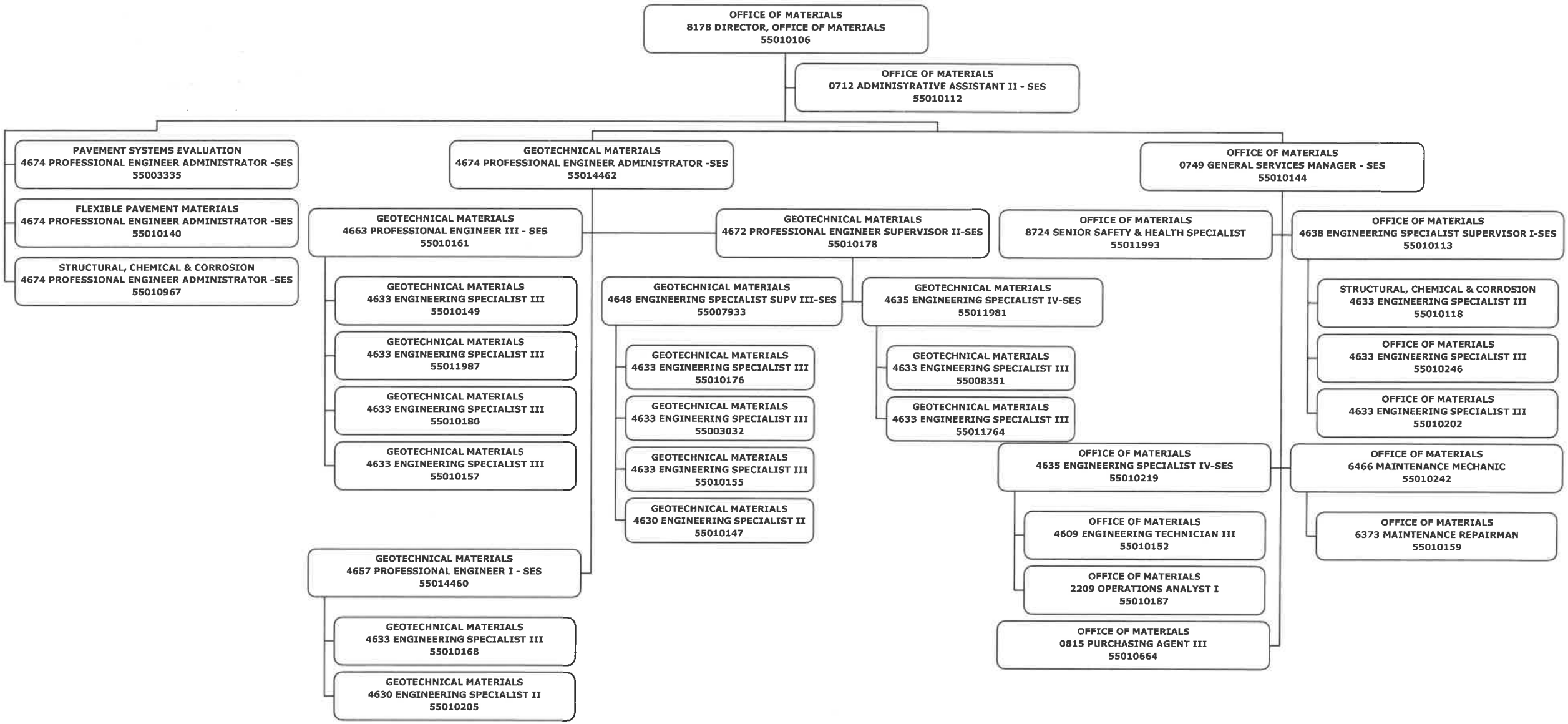
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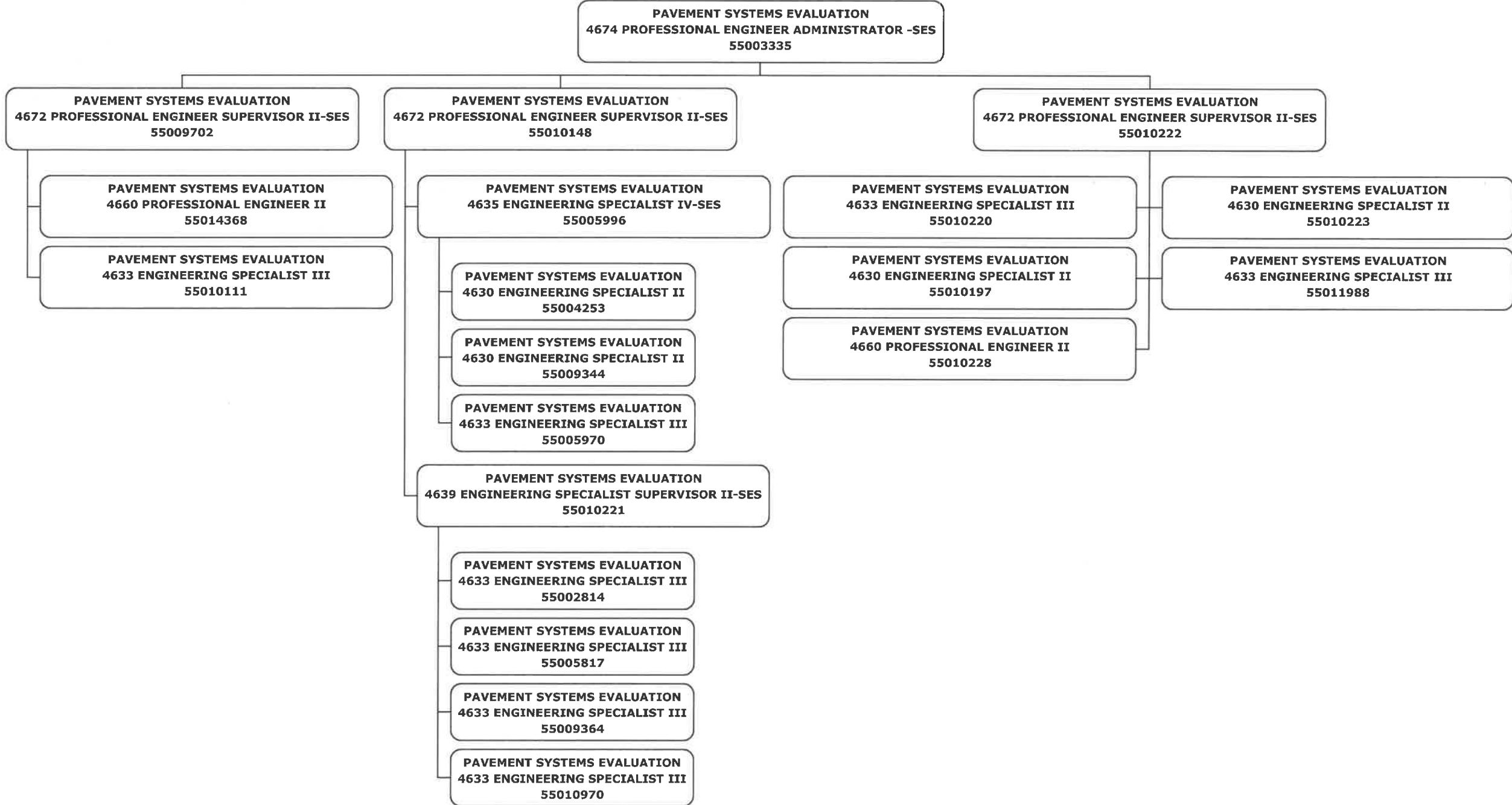
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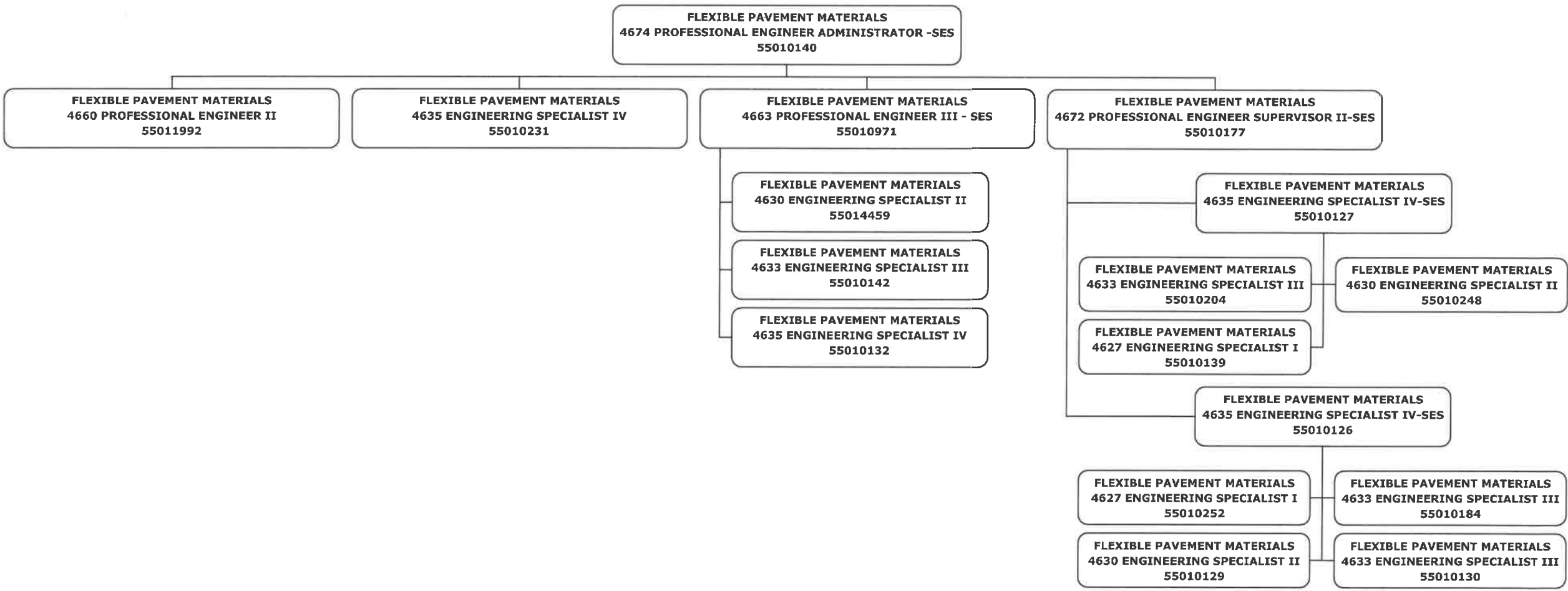
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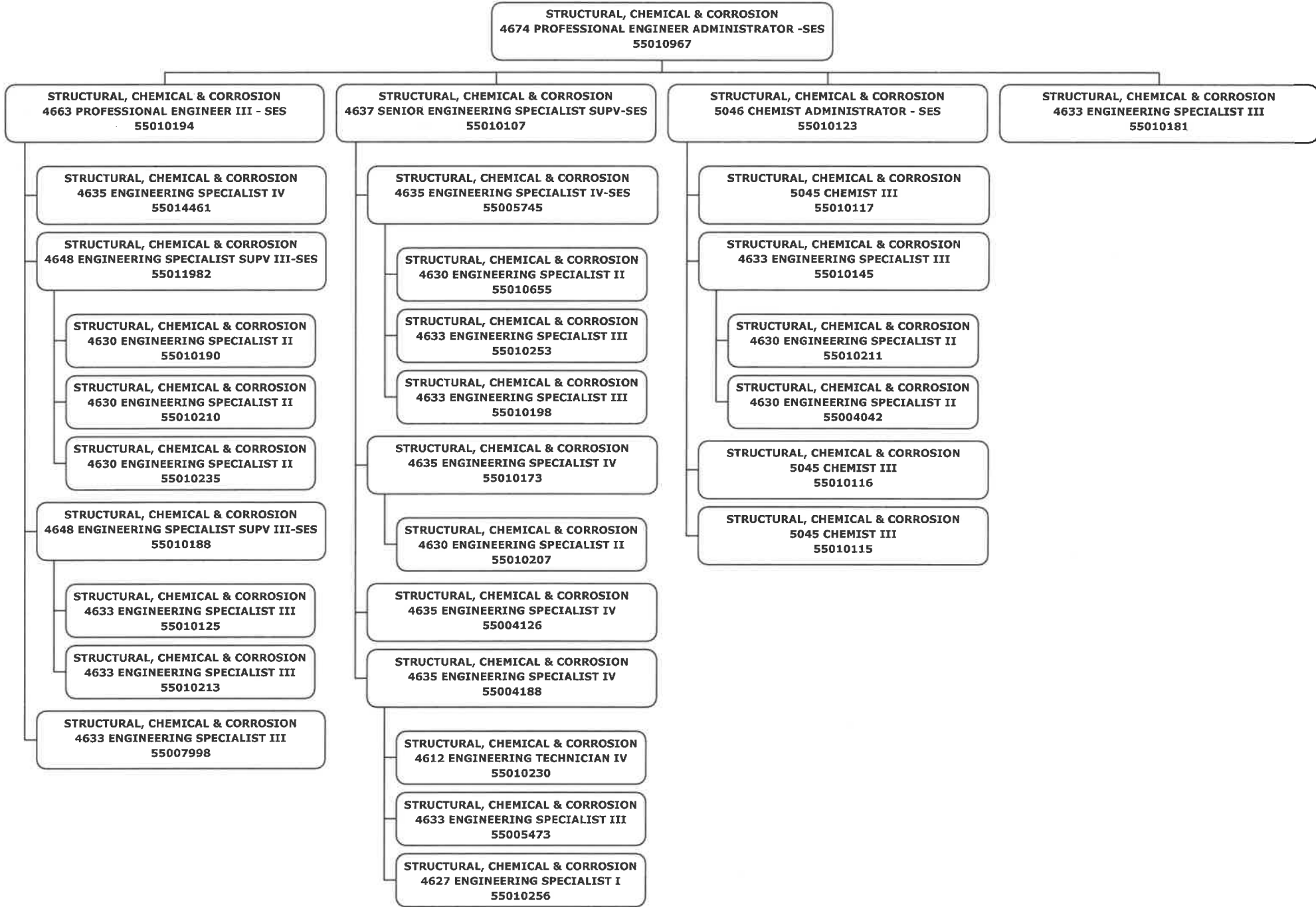
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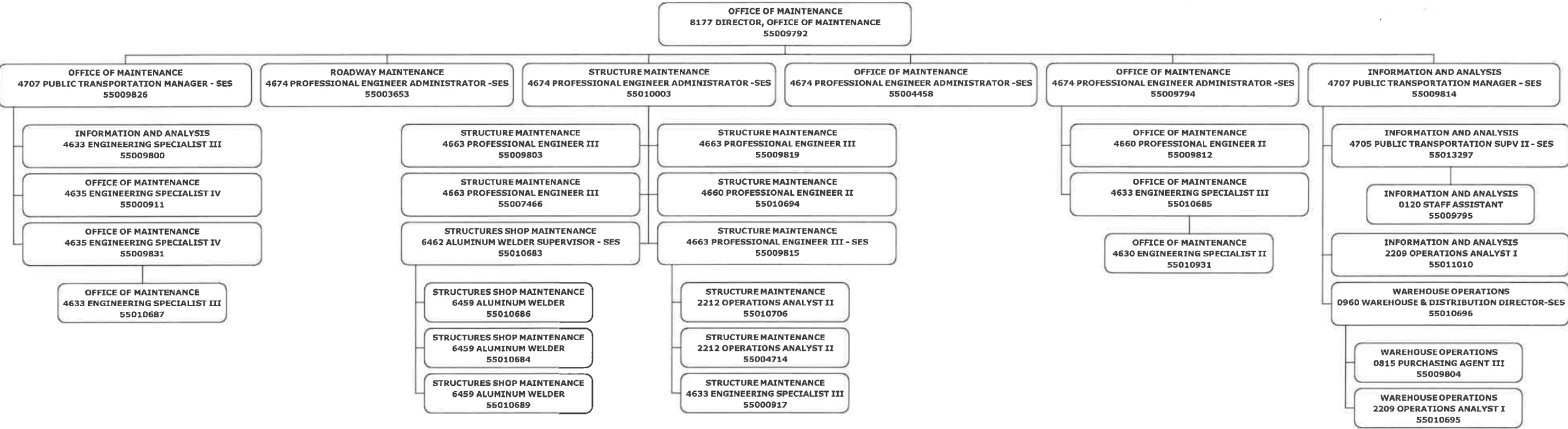
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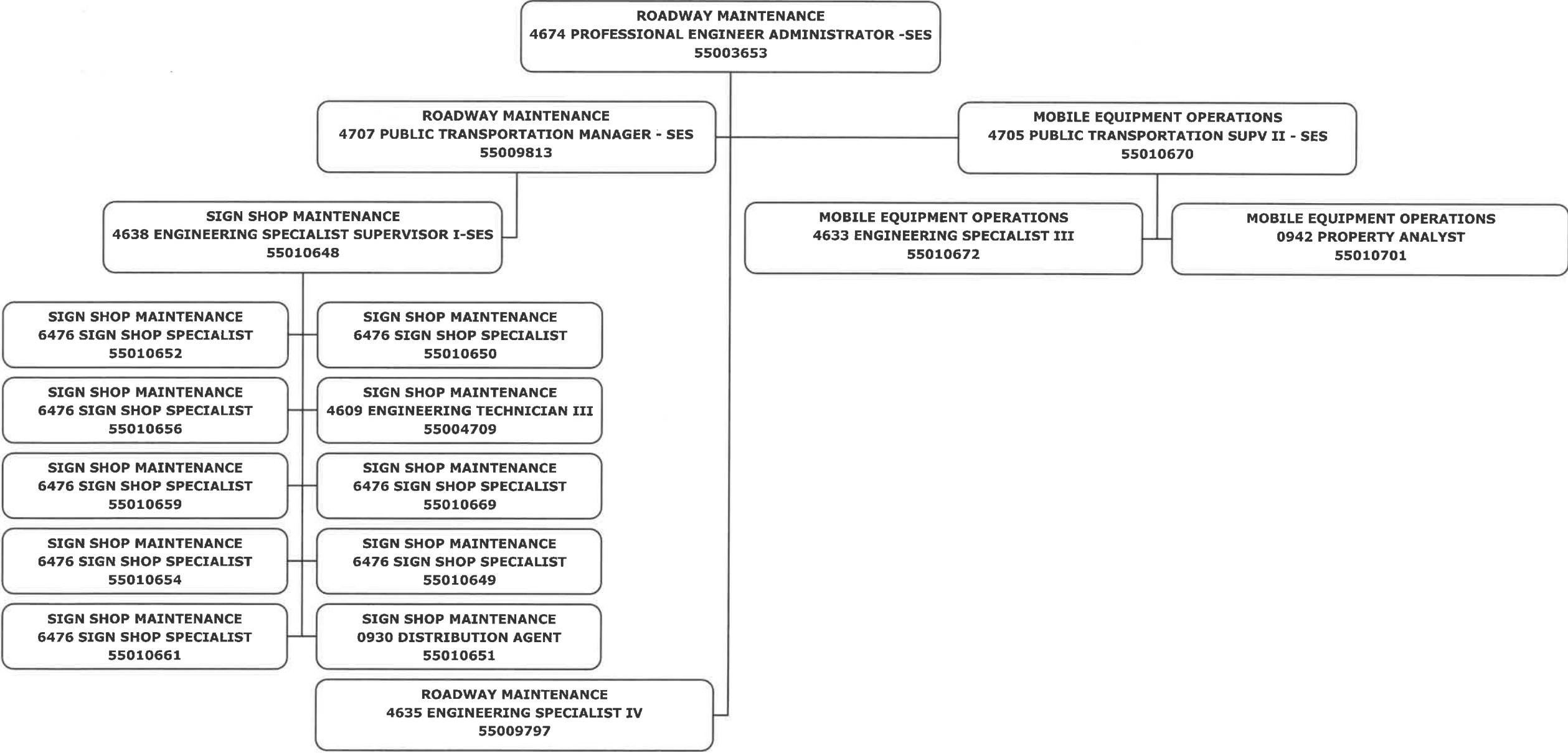
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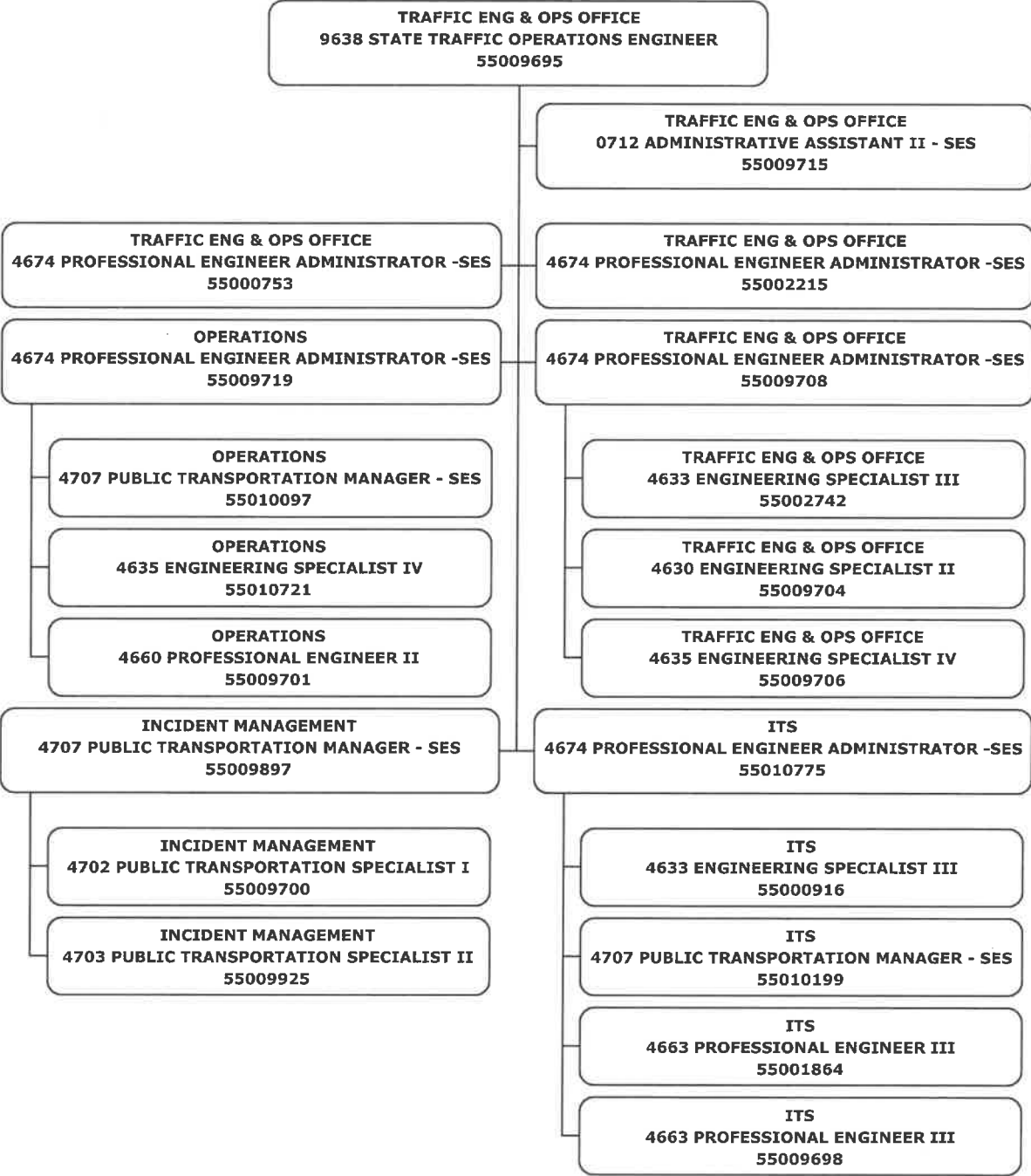
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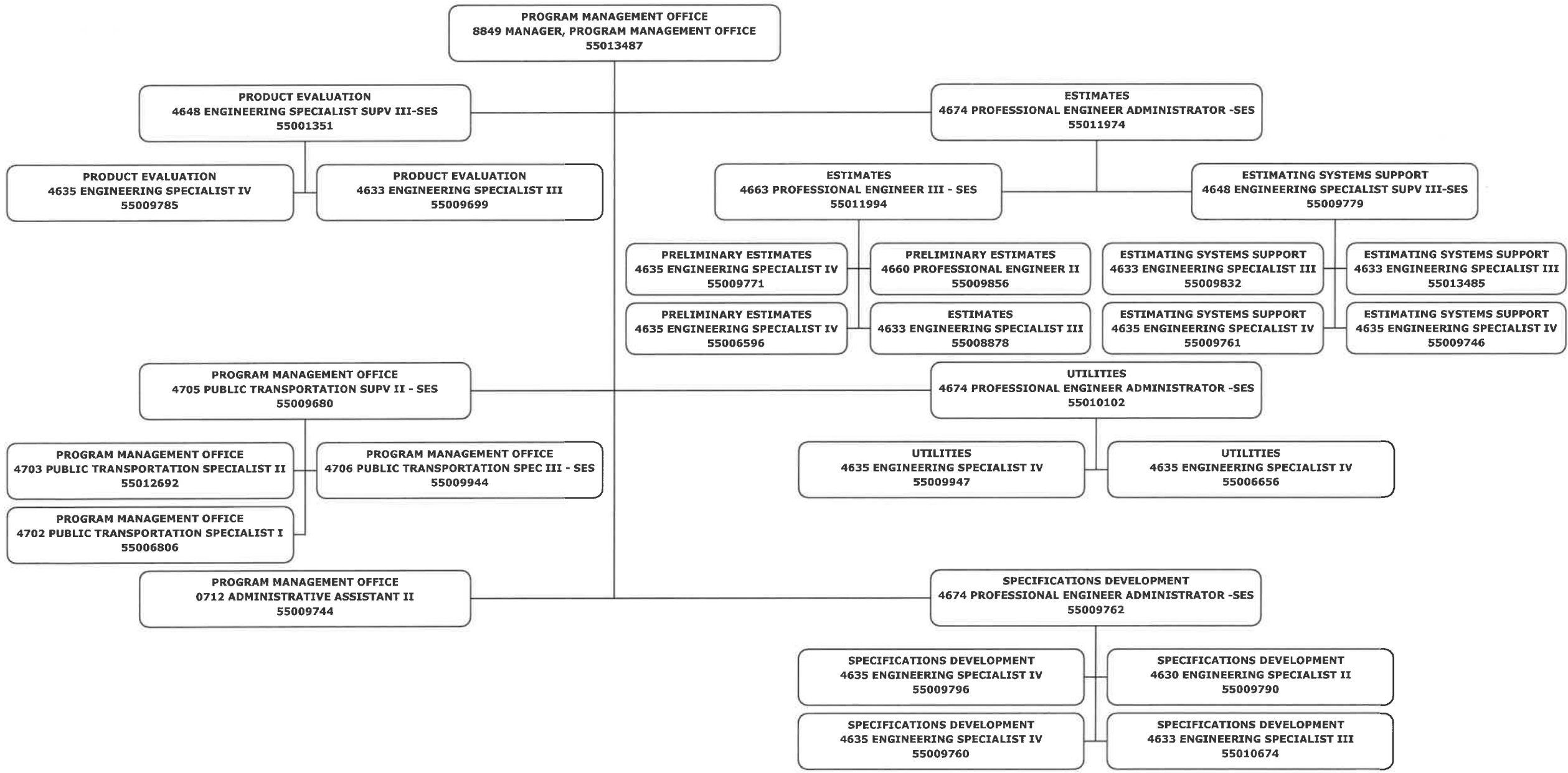
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 ASST SECRETARY, ENGINEERING AND OPERATIONS



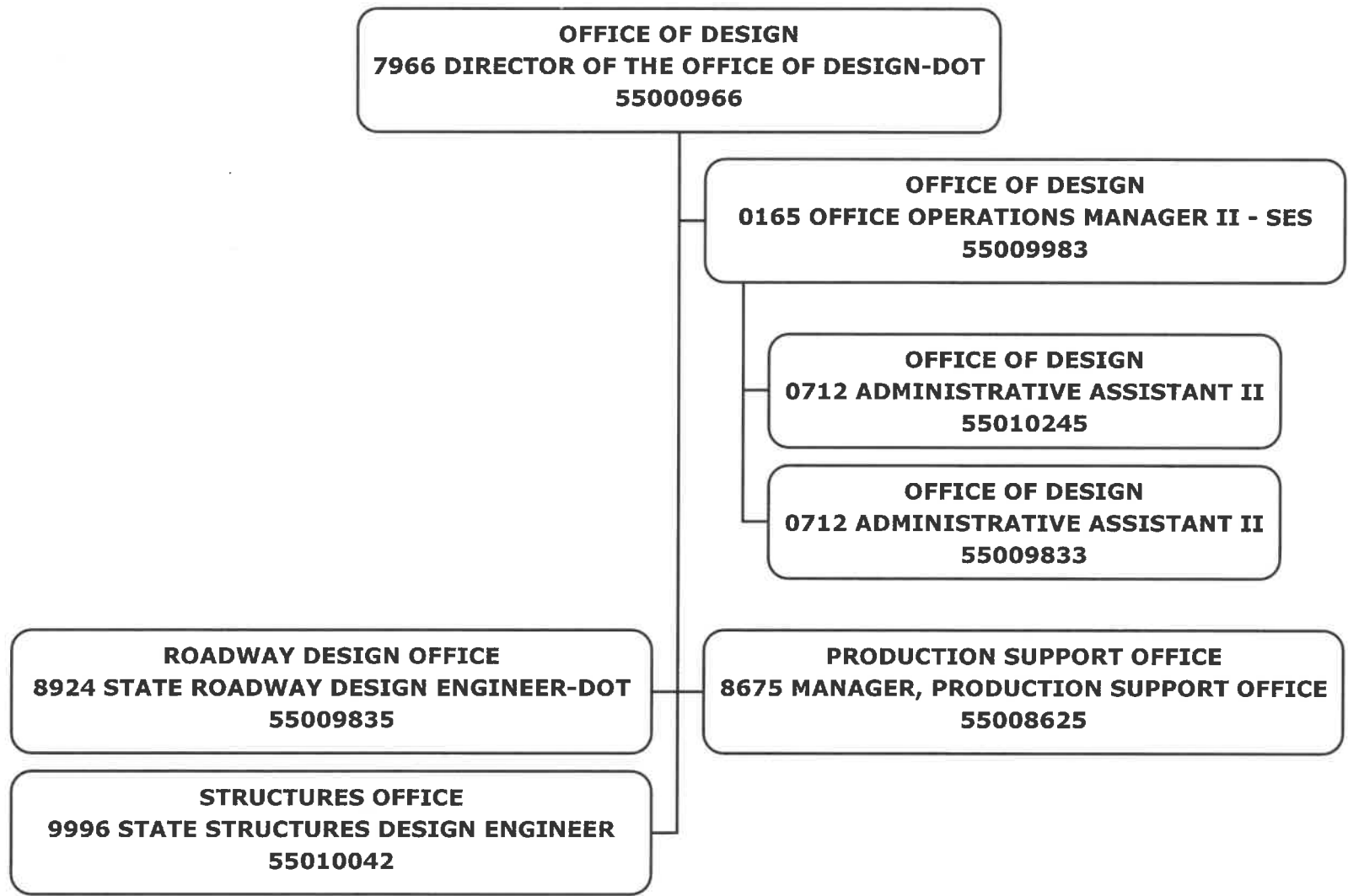
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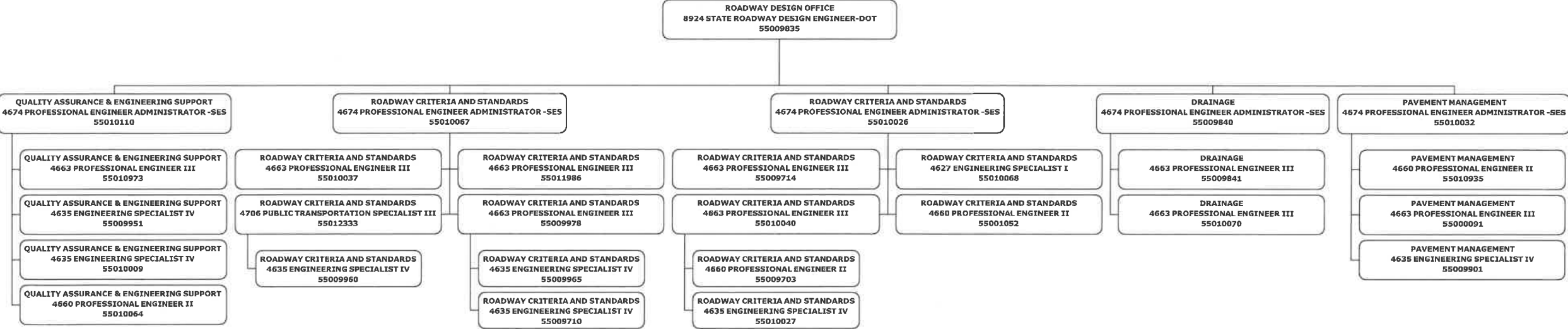
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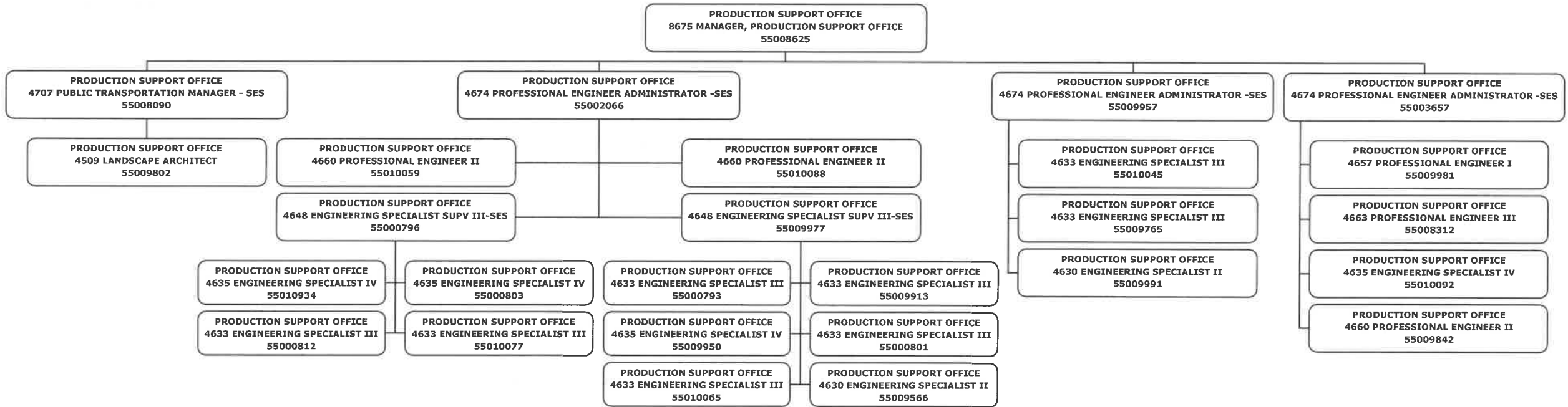
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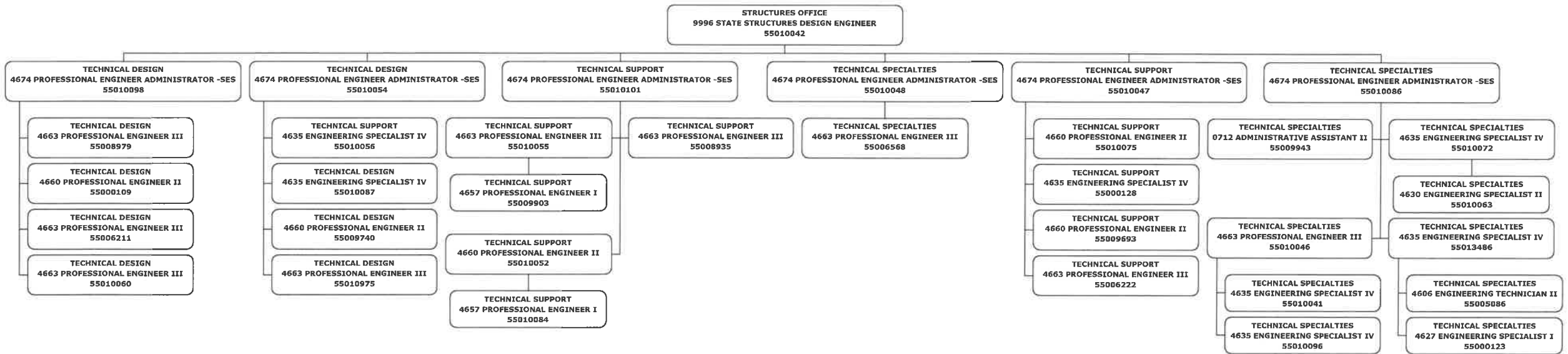
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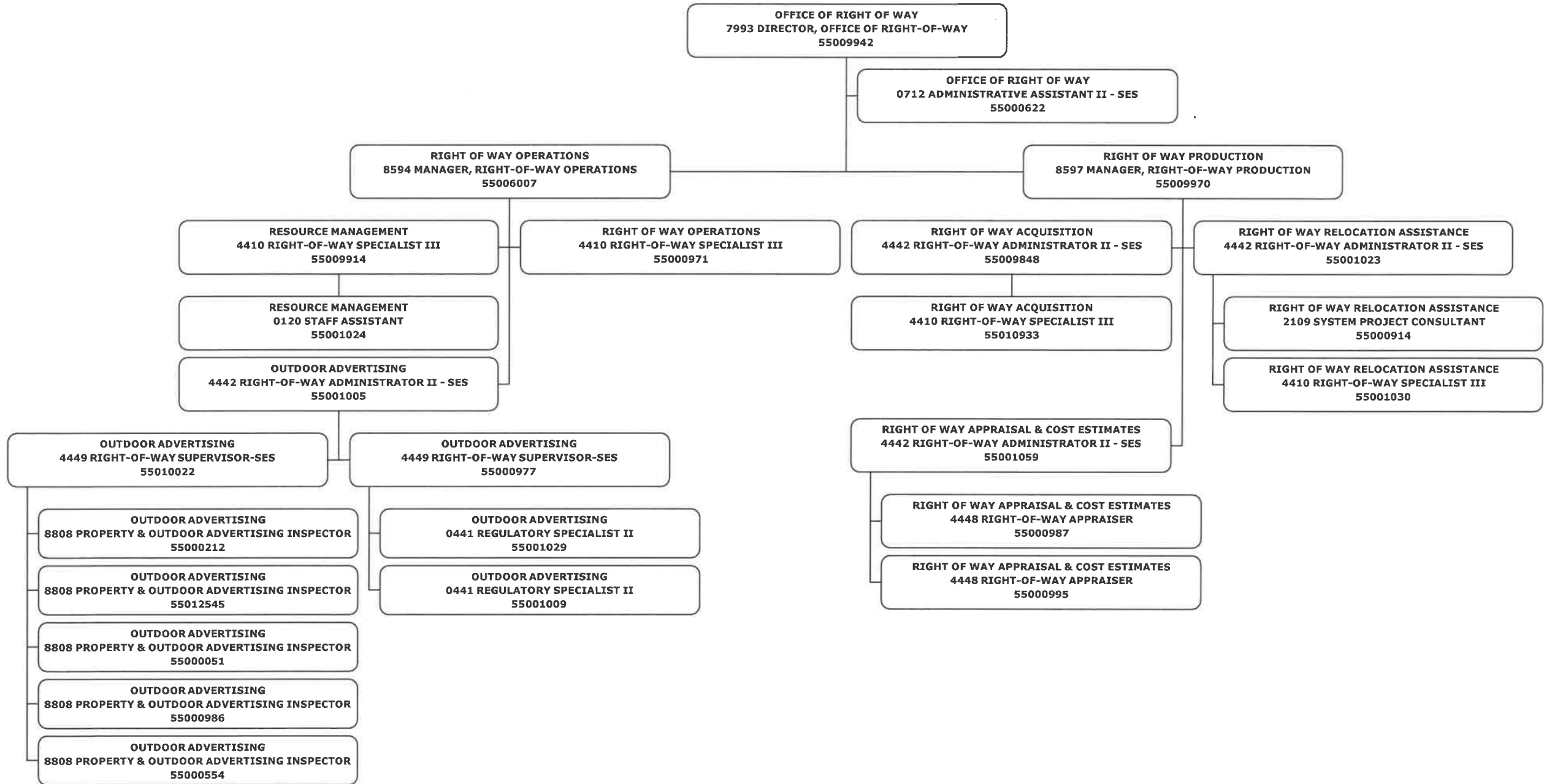
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 ASST SECRETARY, ENGINEERING AND OPERATIONS



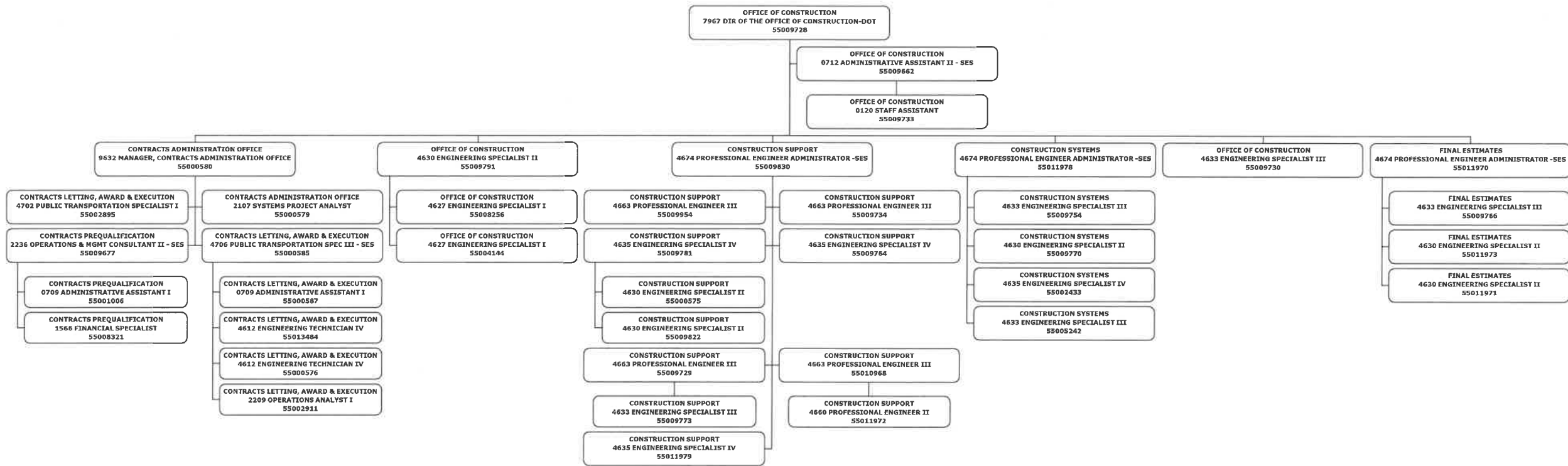
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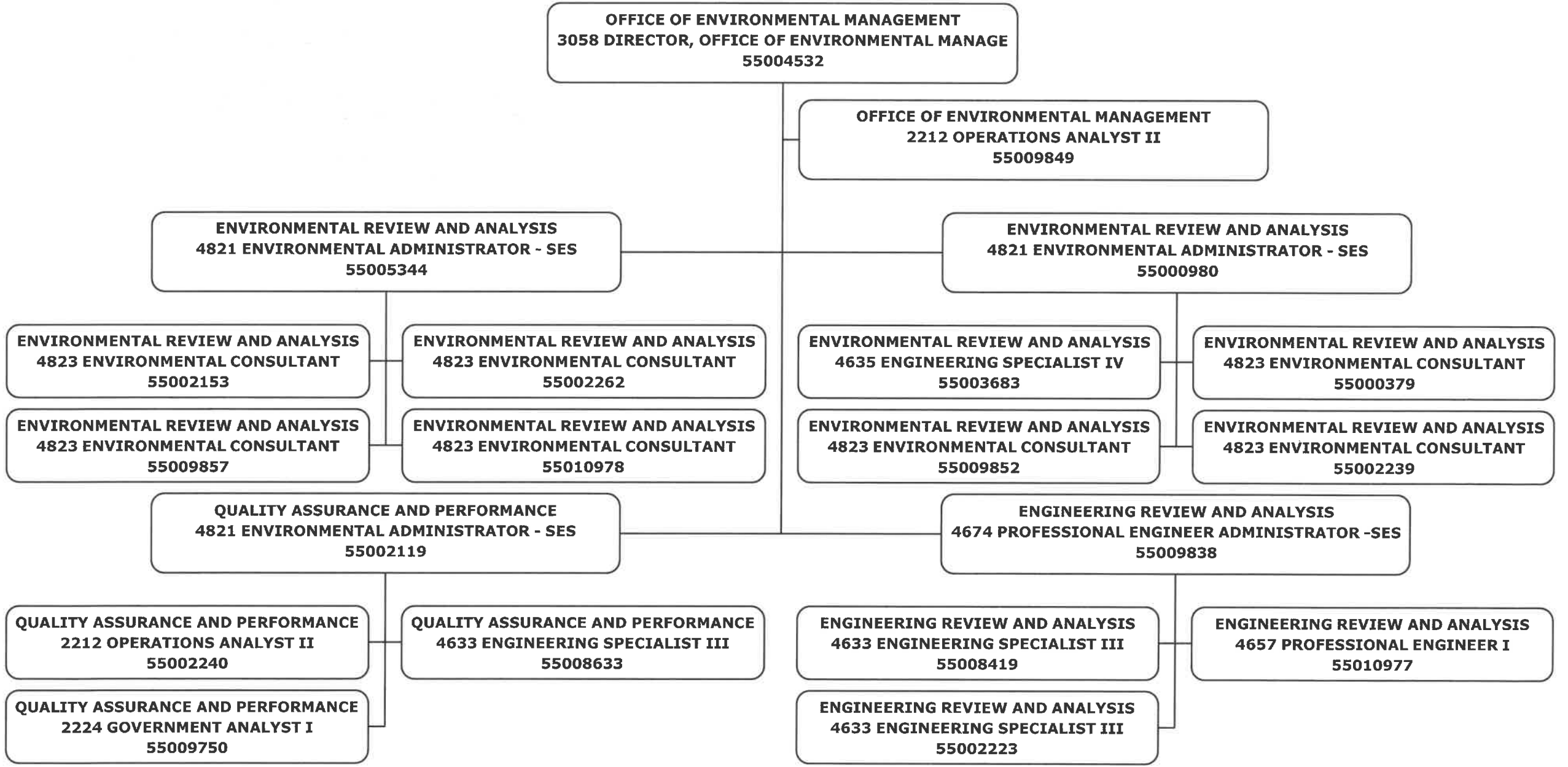
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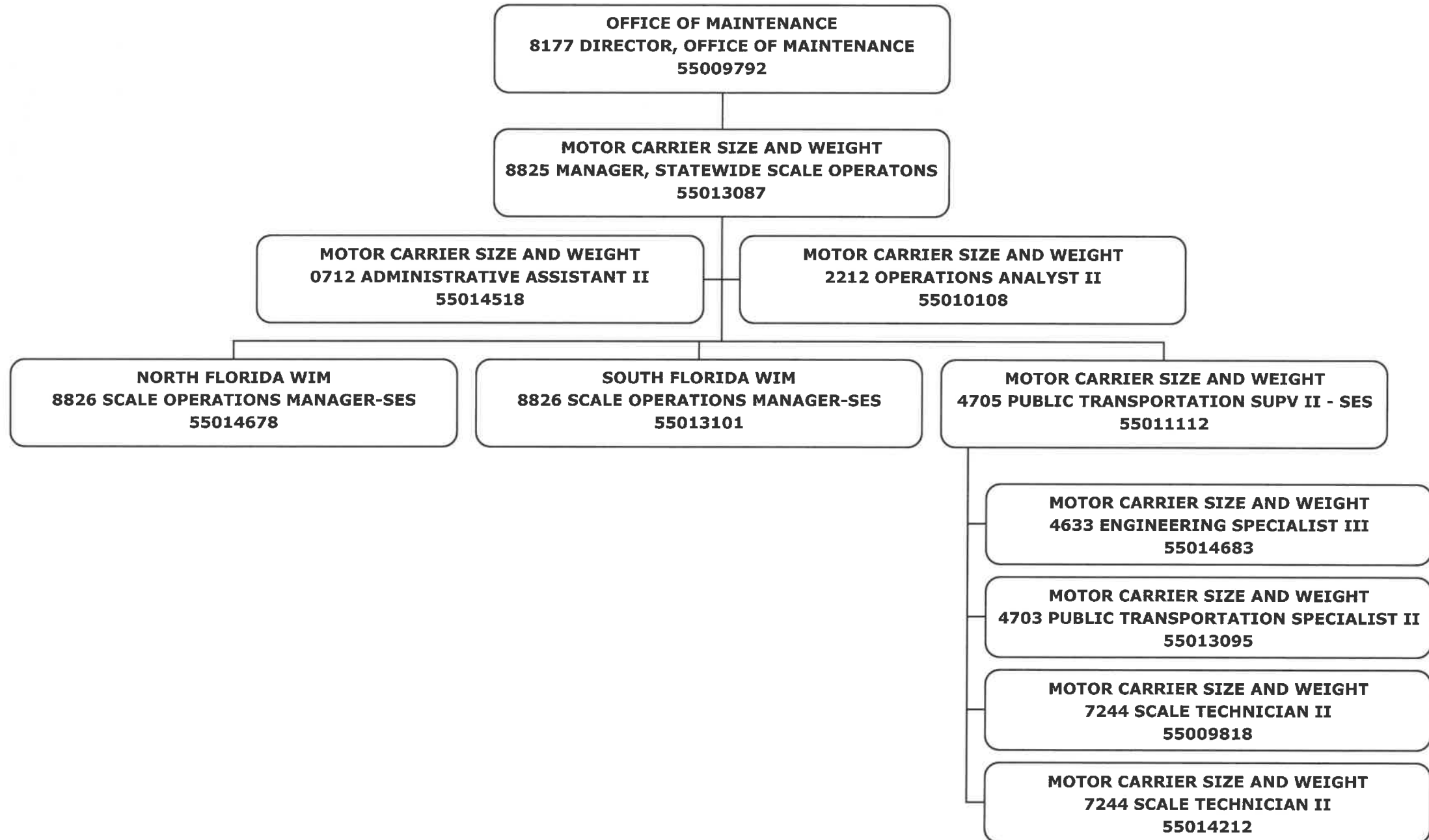
FLORIDA DEPARTMENT OF TRANSPORTATION ASST SECRETARY, ENGINEERING AND OPERATIONS



FLORIDA DEPARTMENT OF TRANSPORTATION
 ASST SECRETARY, ENGINEERING AND OPERATIONS

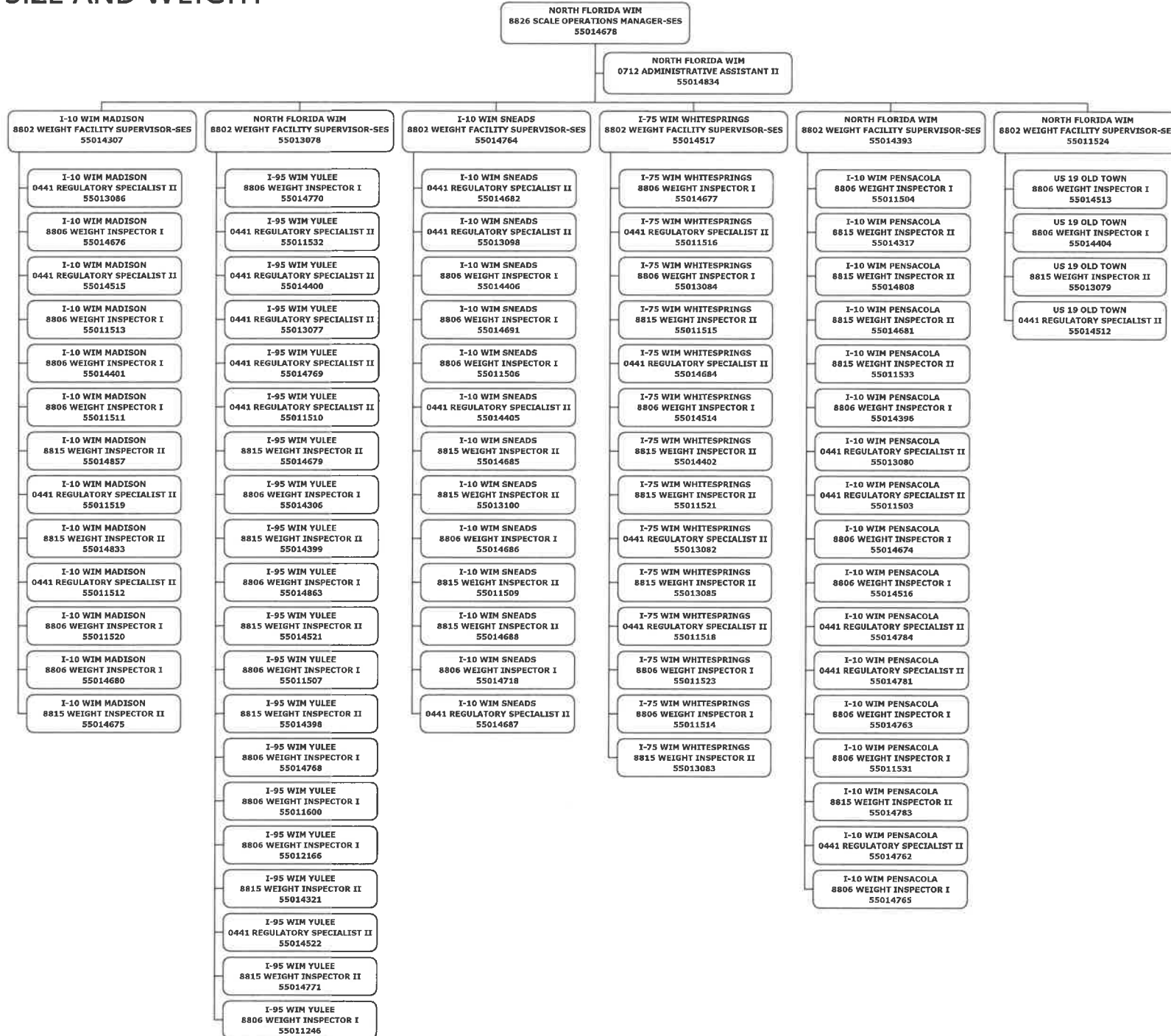


FLORIDA DEPARTMENT OF TRANSPORTATION
MOTOR CARRIER, SIZE AND WEIGHT



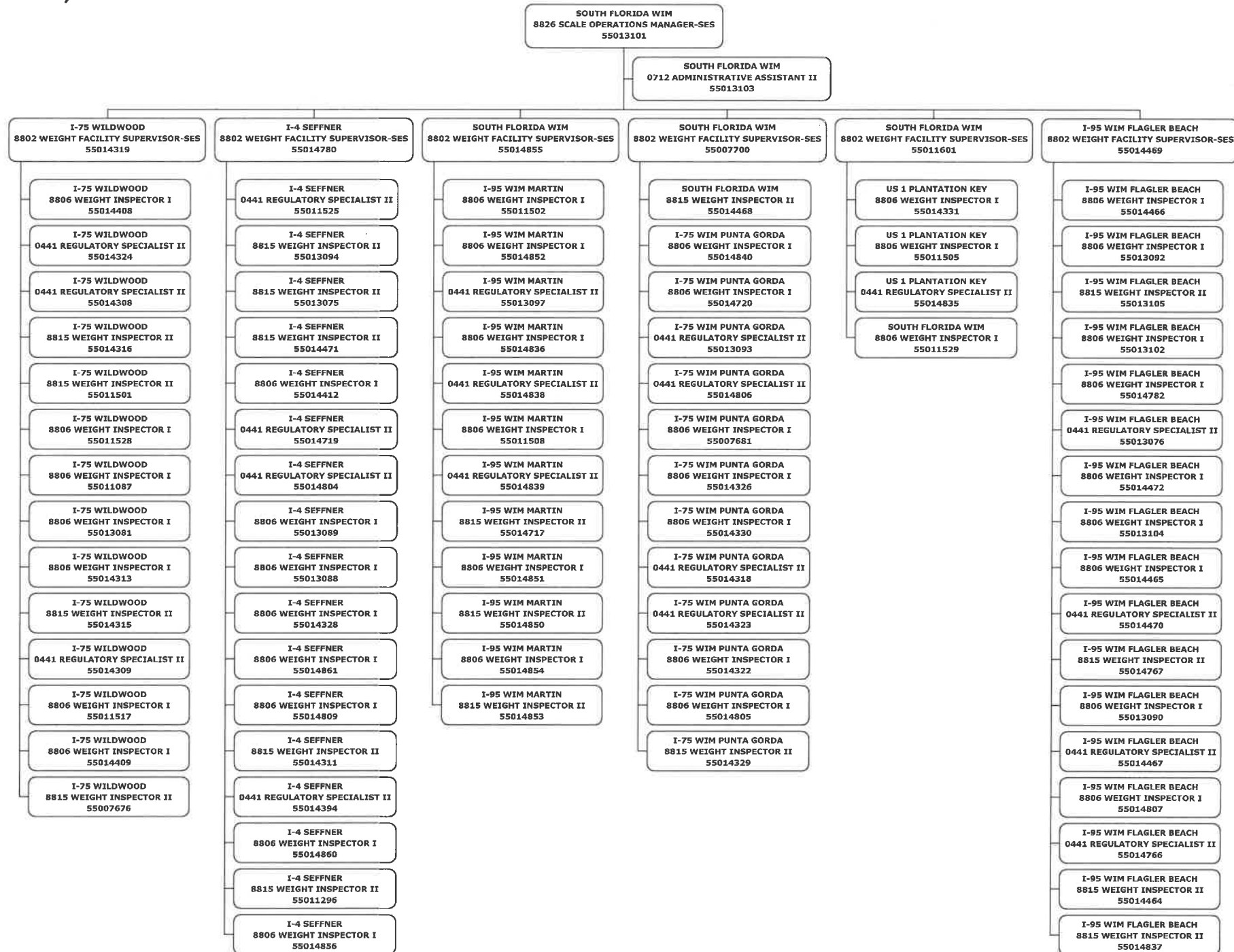
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MOTOR CARRIER, SIZE AND WEIGHT



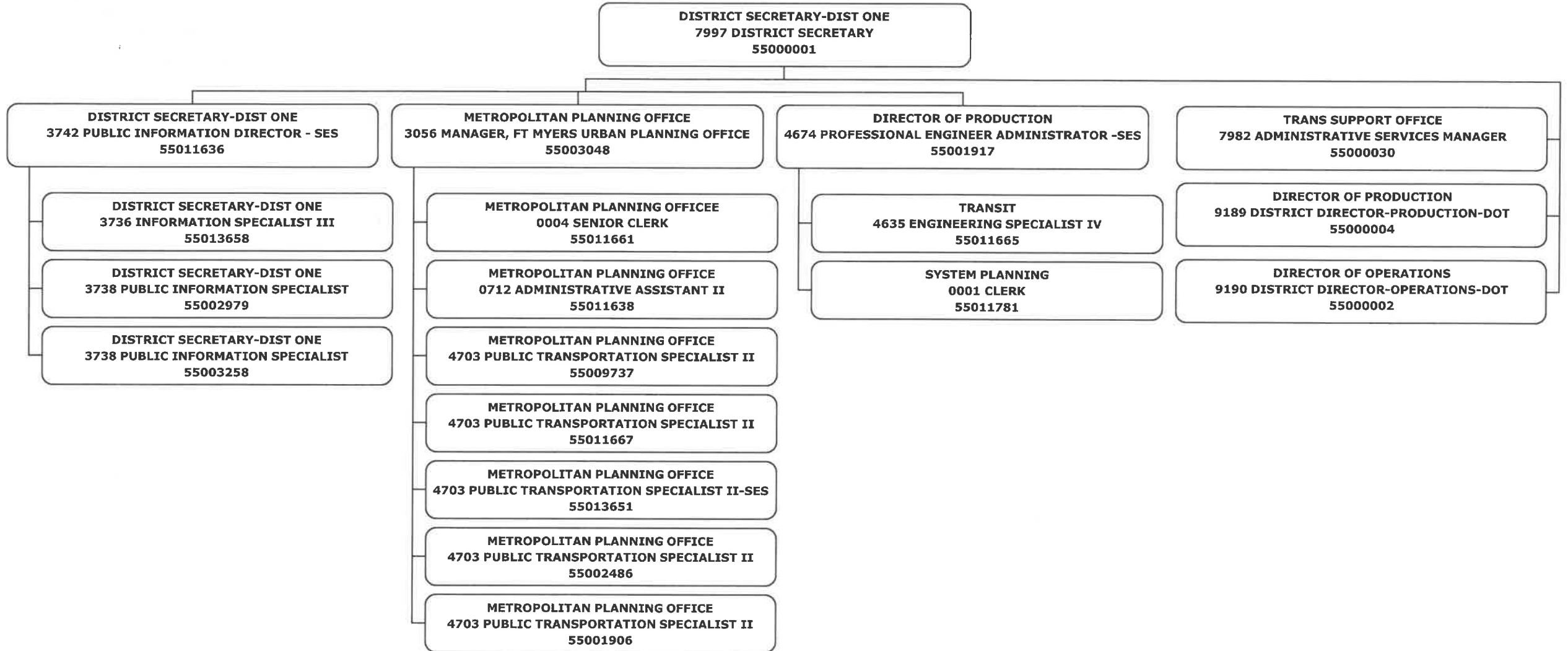
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MOTOR CARRIER, SIZE AND WEIGHT



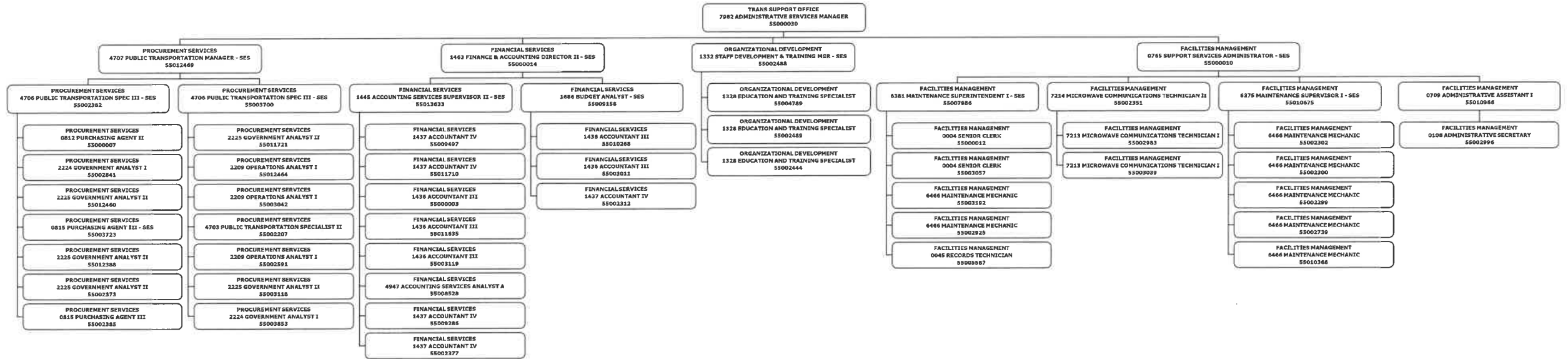
FLORIDA DEPARTMENT OF TRANSPORTATION

DISTRICT ONE



FLORIDA DEPARTMENT OF TRANSPORTATION

DISTRICT ONE



FLORIDA DEPARTMENT OF TRANSPORTATION
DISTRICT ONE

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55000004

DIRECTOR OF PRODUCTION
0712 ADMINISTRATIVE ASSISTANT II - SES
55013647

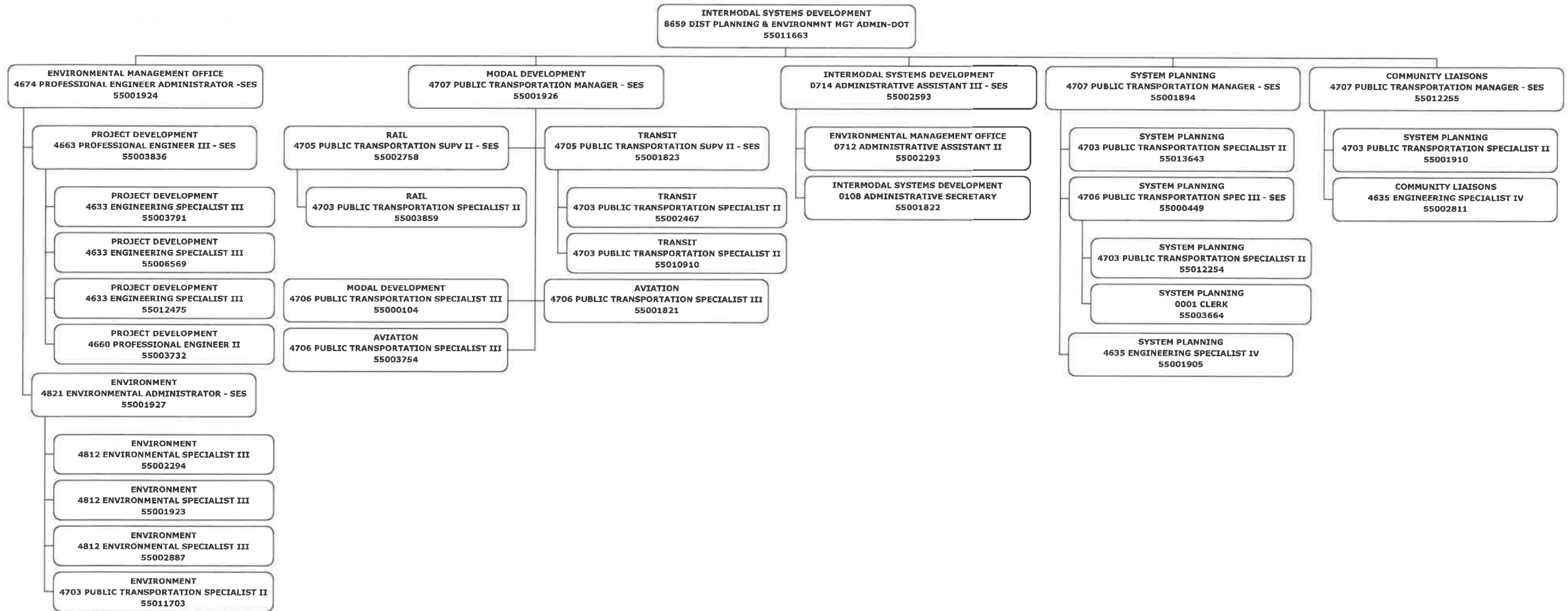
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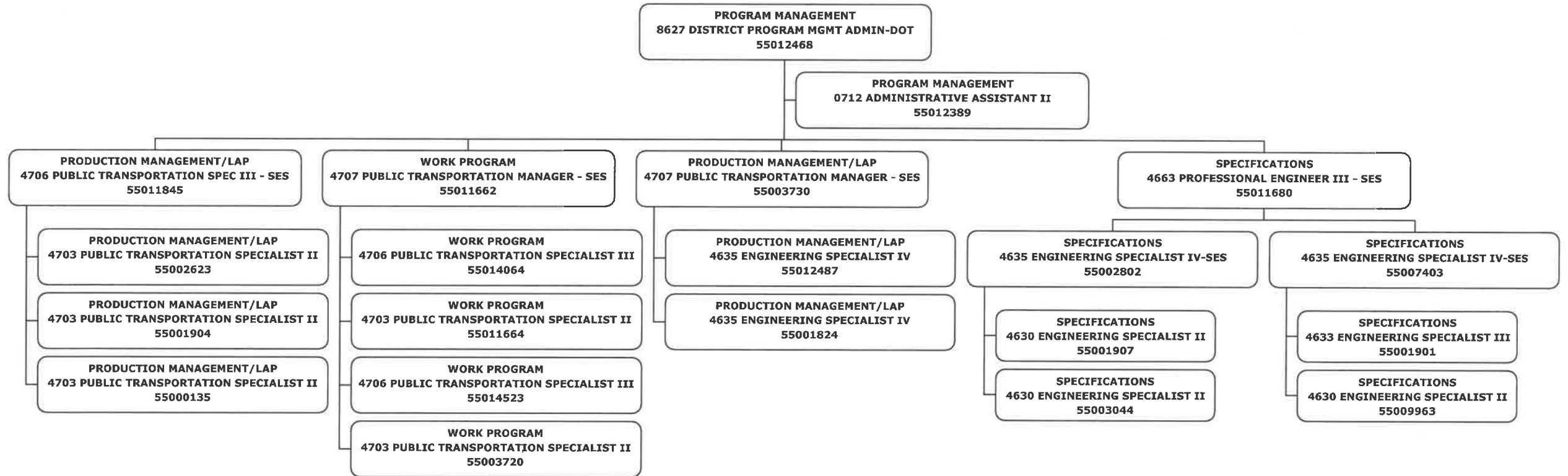
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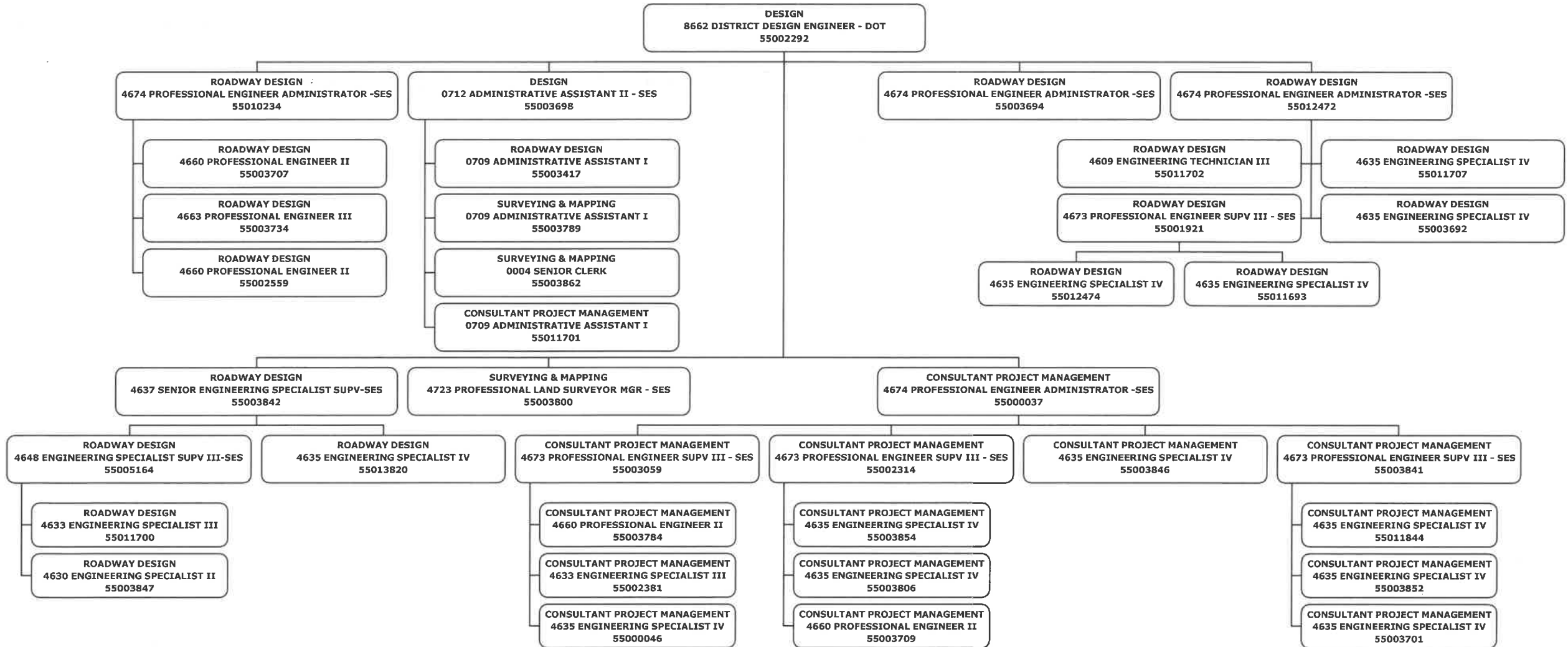
FLORIDA DEPARTMENT OF TRANSPORTATION DISTRICT ONE



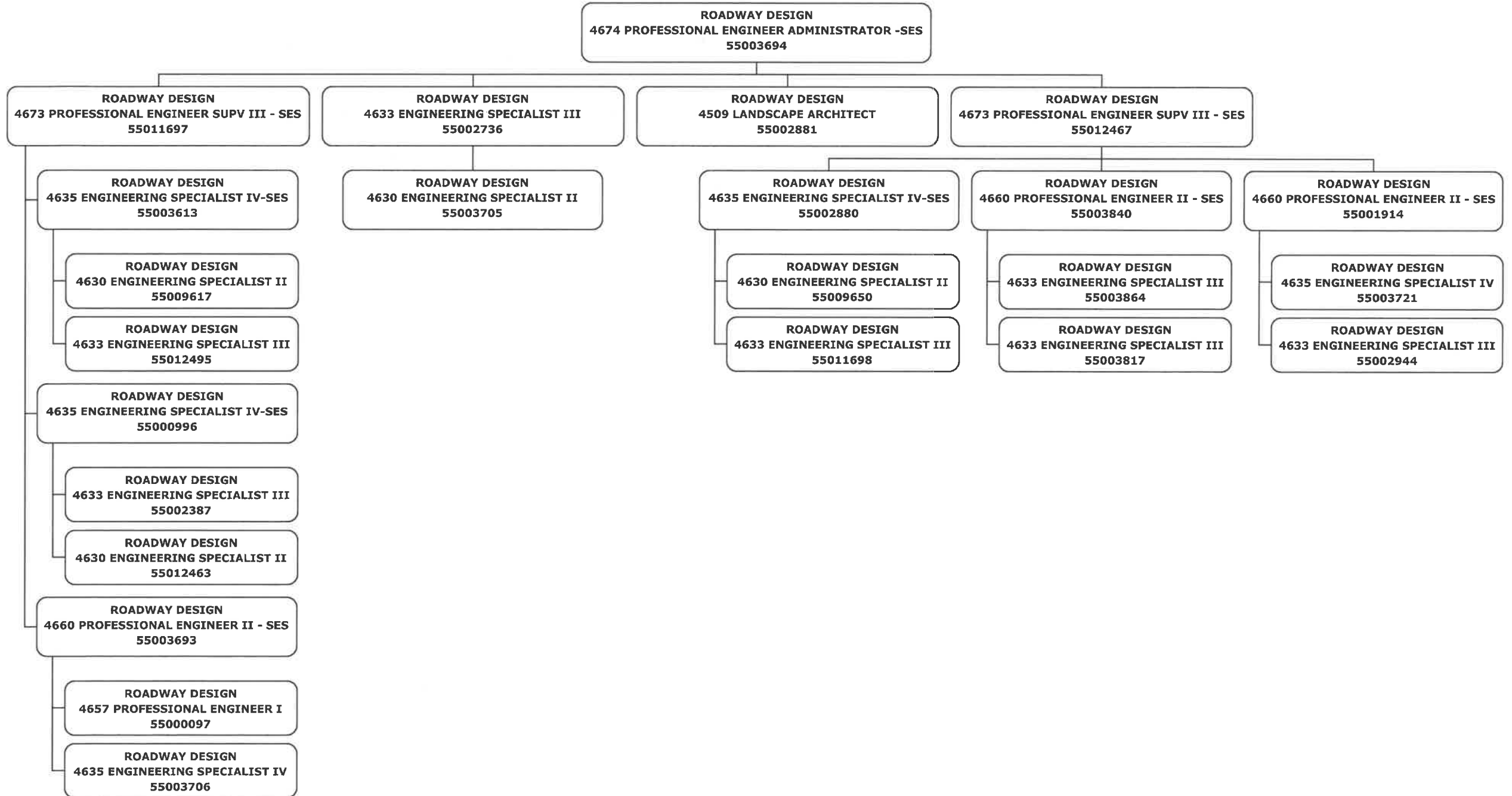
FLORIDA DEPARTMENT OF TRANSPORTATION
DISTRICT ONE



FLORIDA DEPARTMENT OF TRANSPORTATION DISTRICT ONE

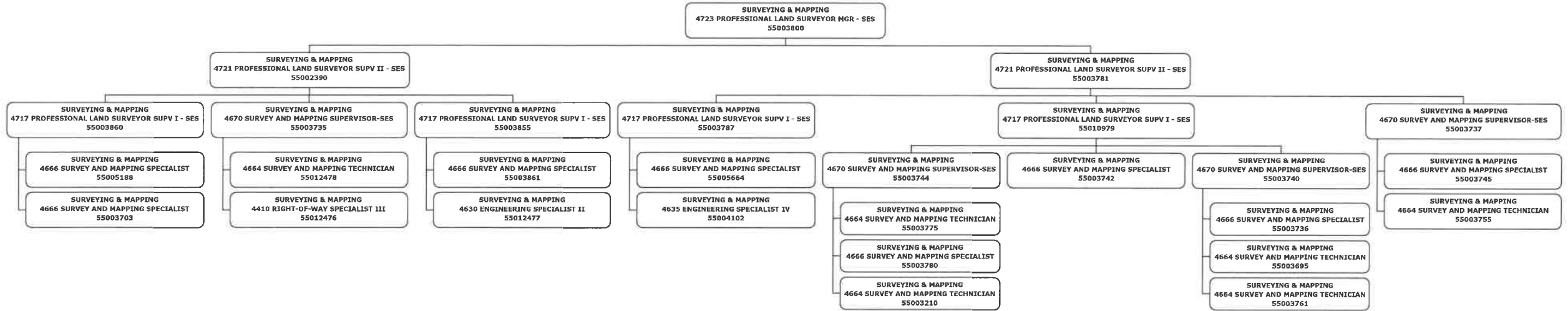


FLORIDA DEPARTMENT OF TRANSPORTATION
DISTRICT ONE

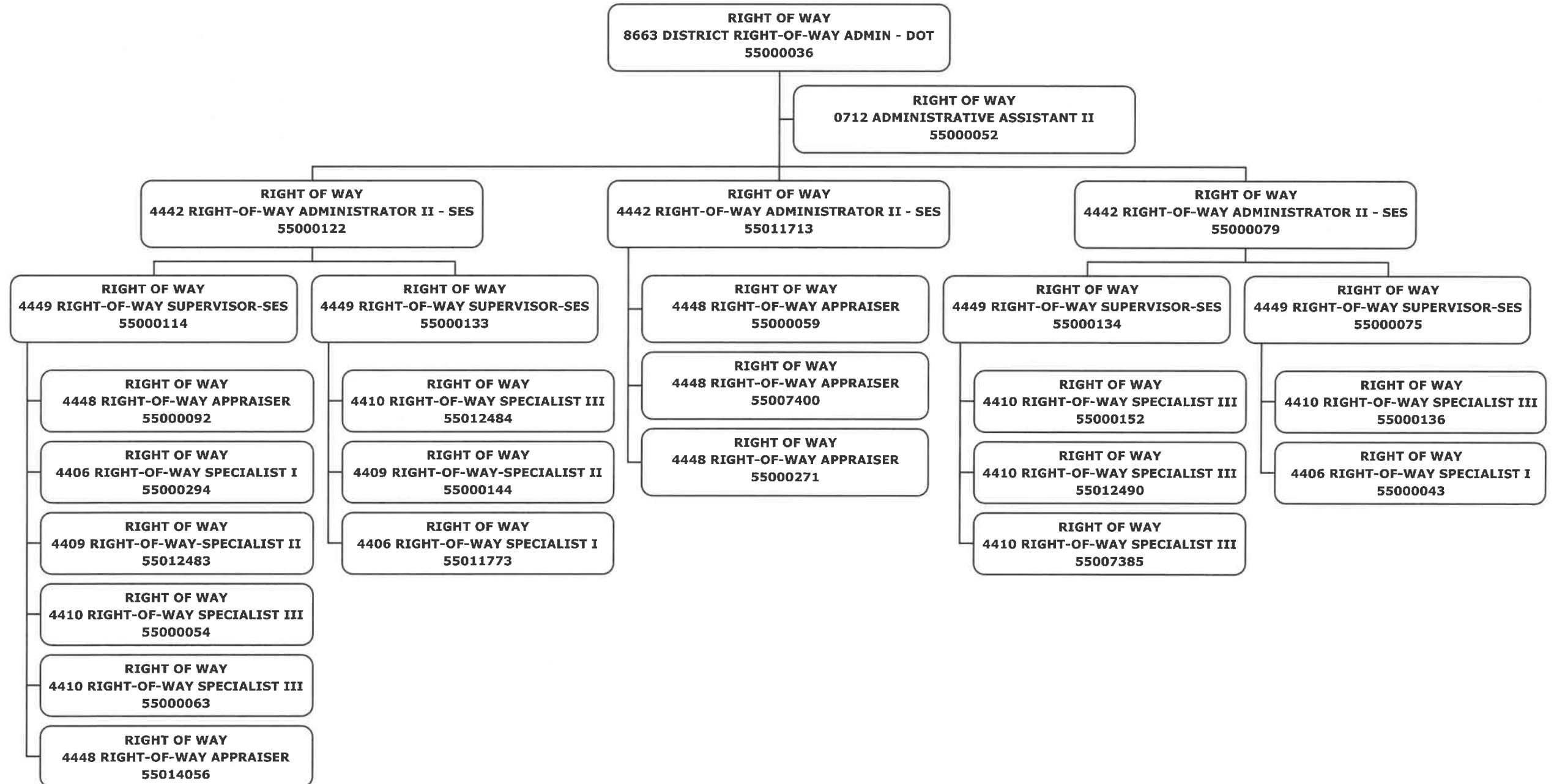


FLORIDA DEPARTMENT OF TRANSPORTATION

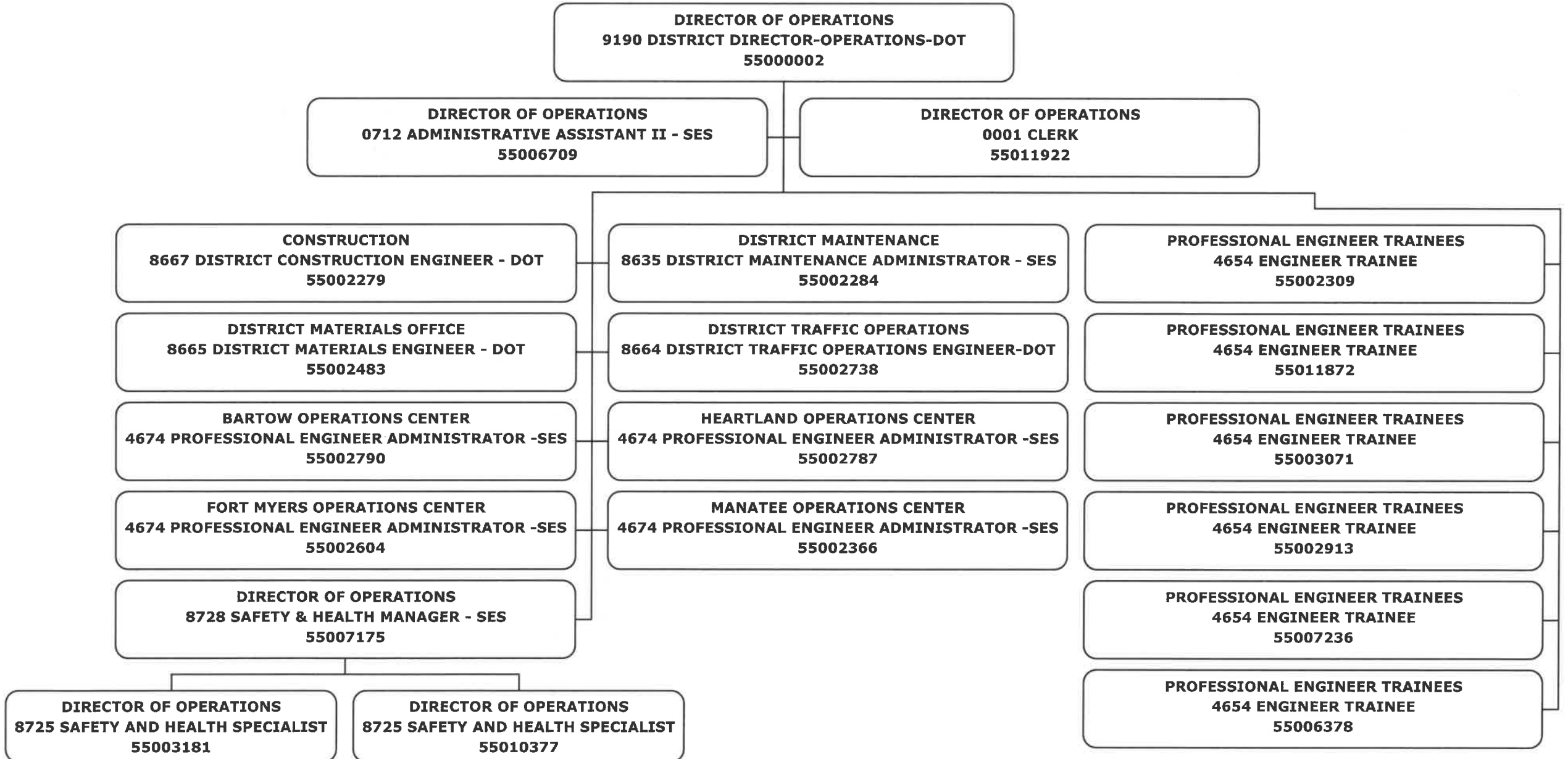
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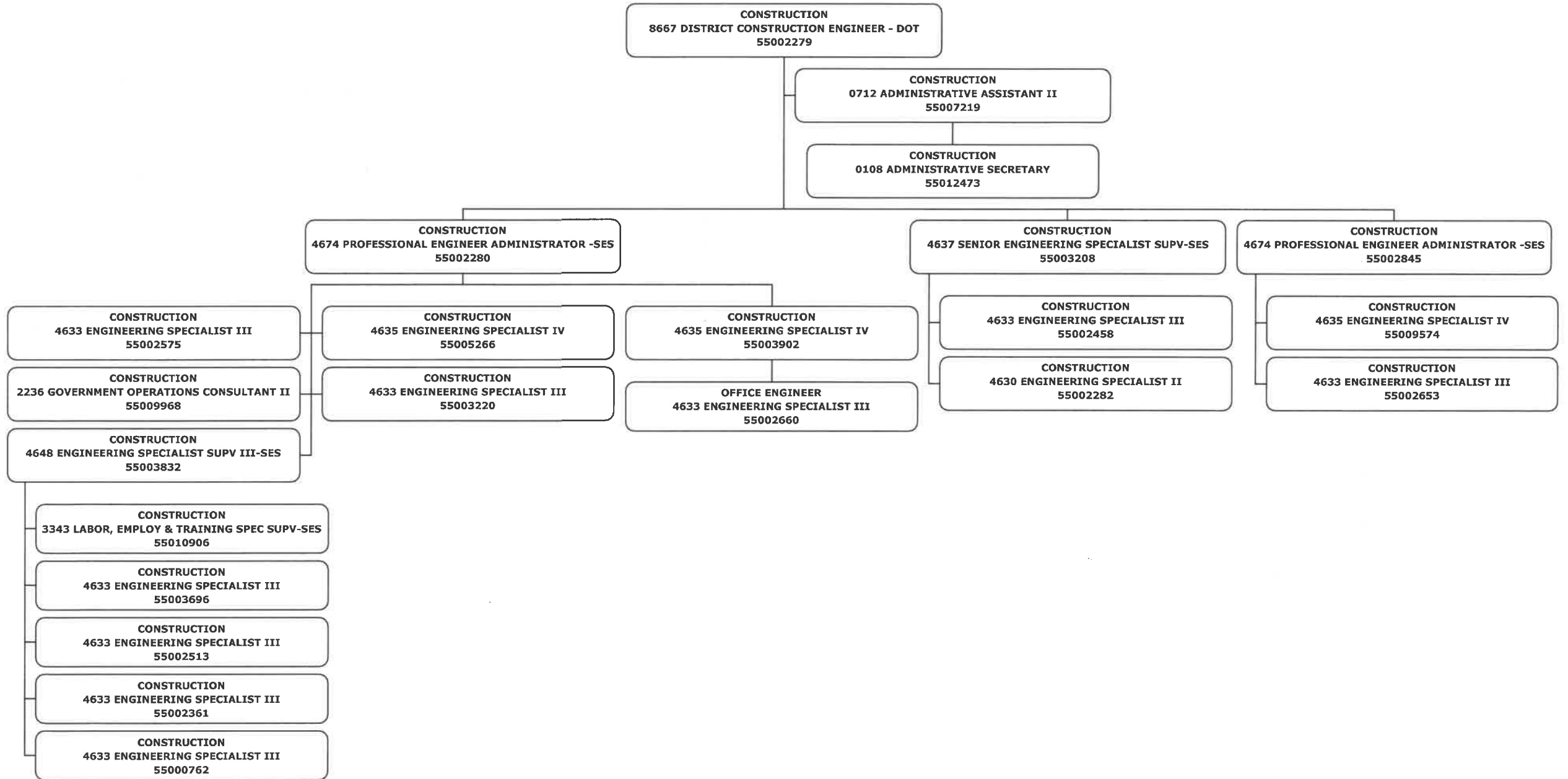
FLORIDA DEPARTMENT OF TRANSPORTATION
DISTRICT ONE



FLORIDA DEPARTMENT OF TRANSPORTATION
DISTRICT ONE

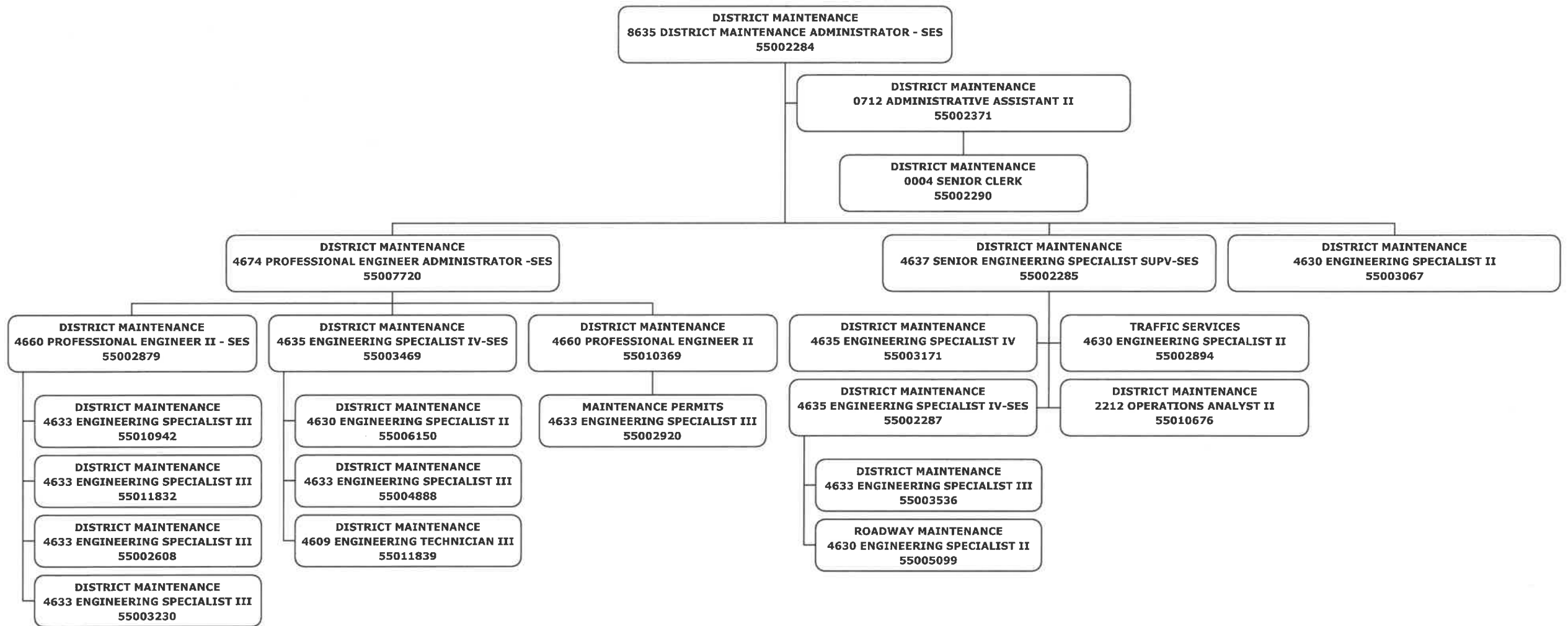


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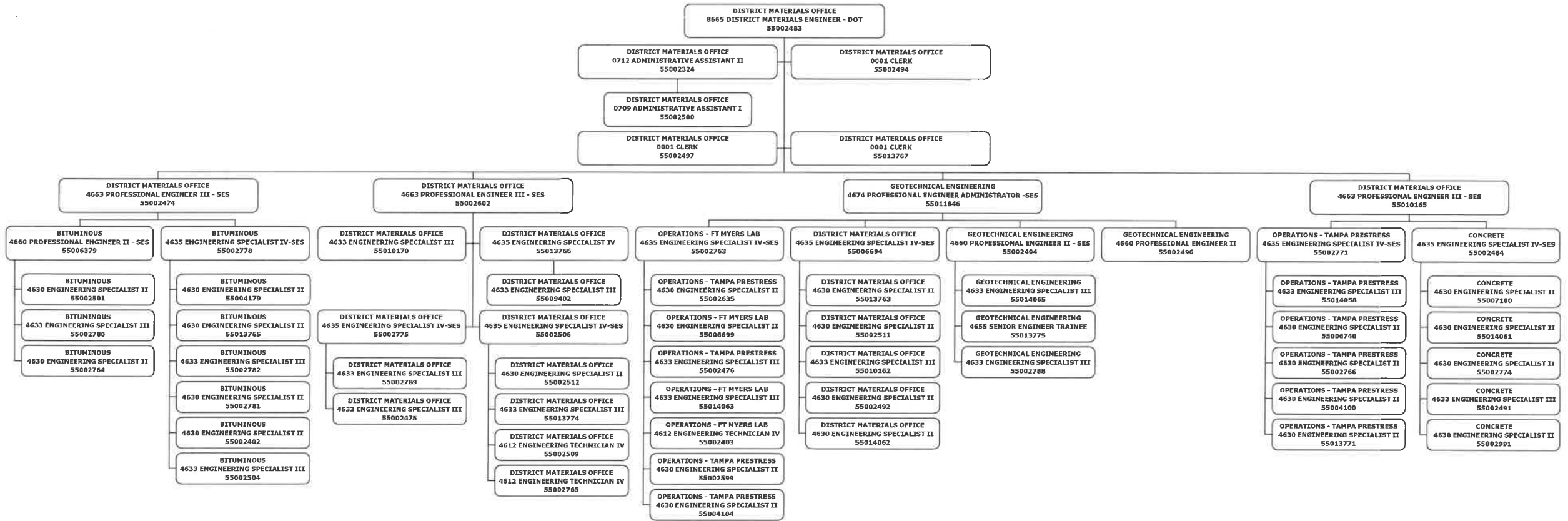
FLORIDA DEPARTMENT OF TRANSPORTATION

DISTRICT ONE



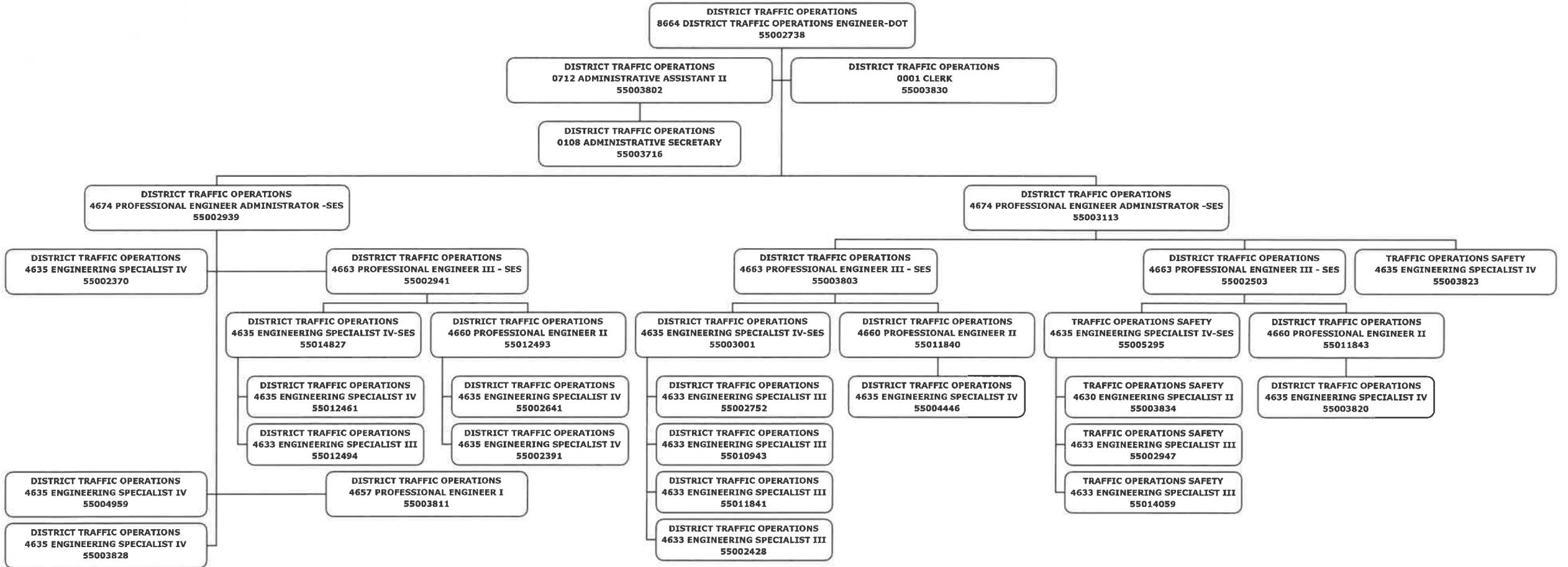
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DISTRICT ONE



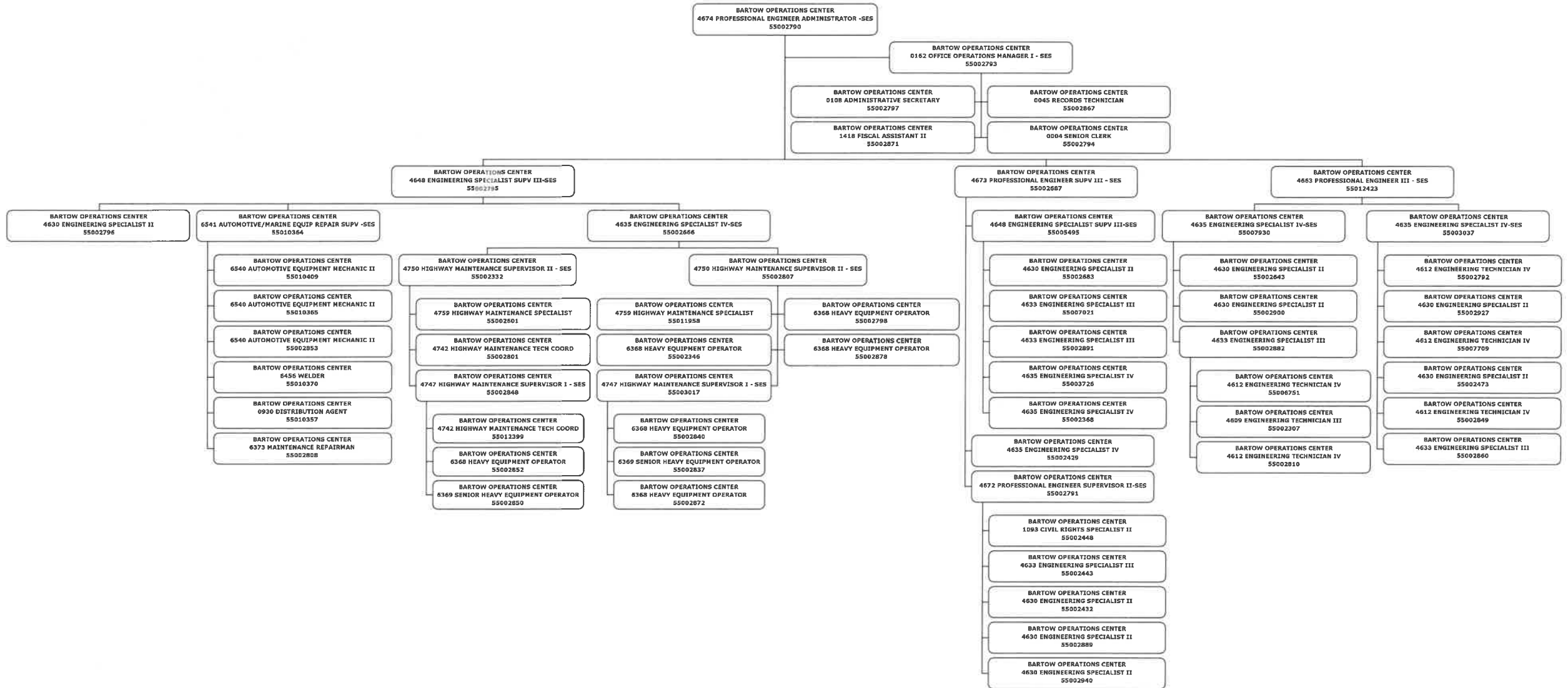
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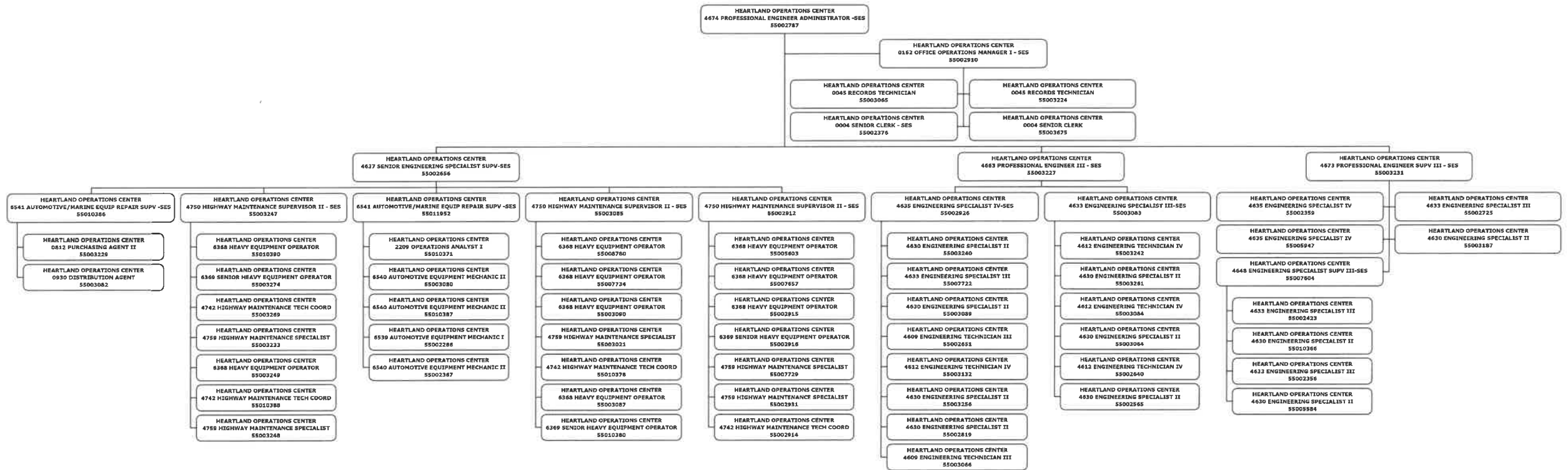
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DISTRICT ONE



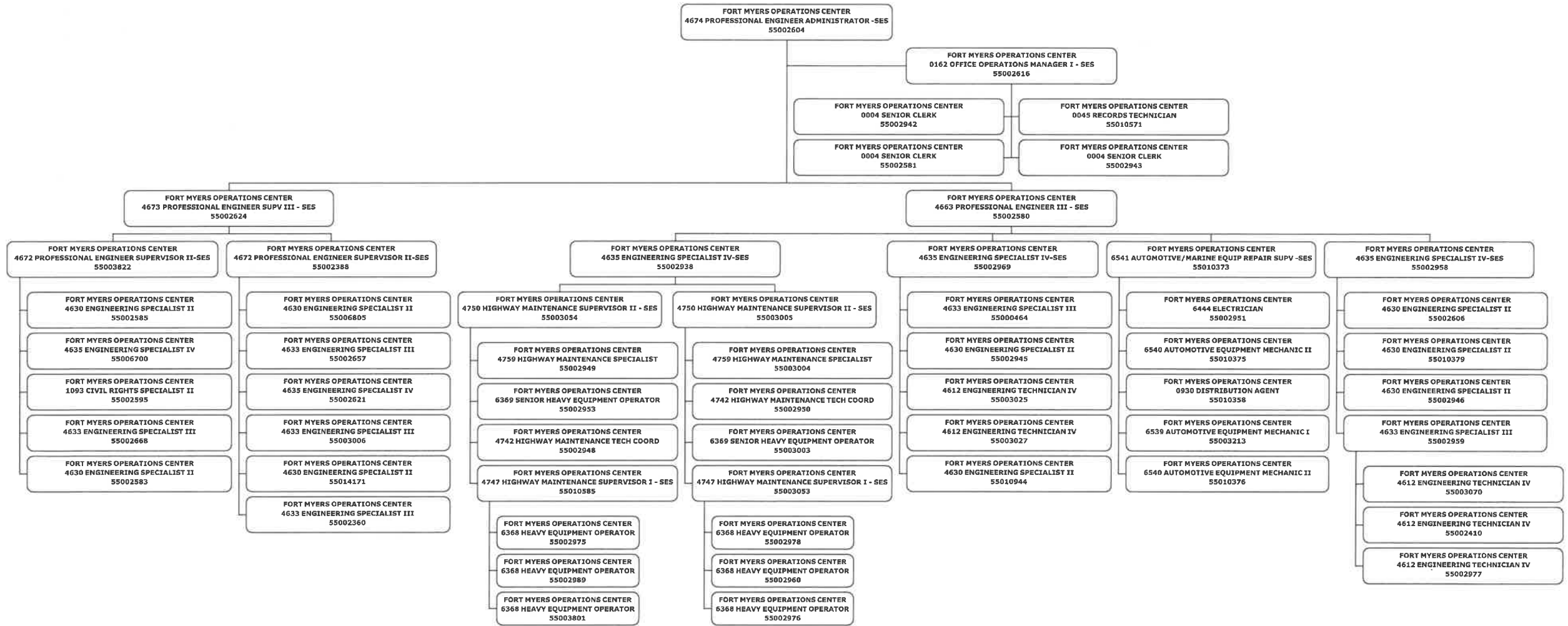
FLORIDA DEPARTMENT OF TRANSPORTATION

DISTRICT ONE



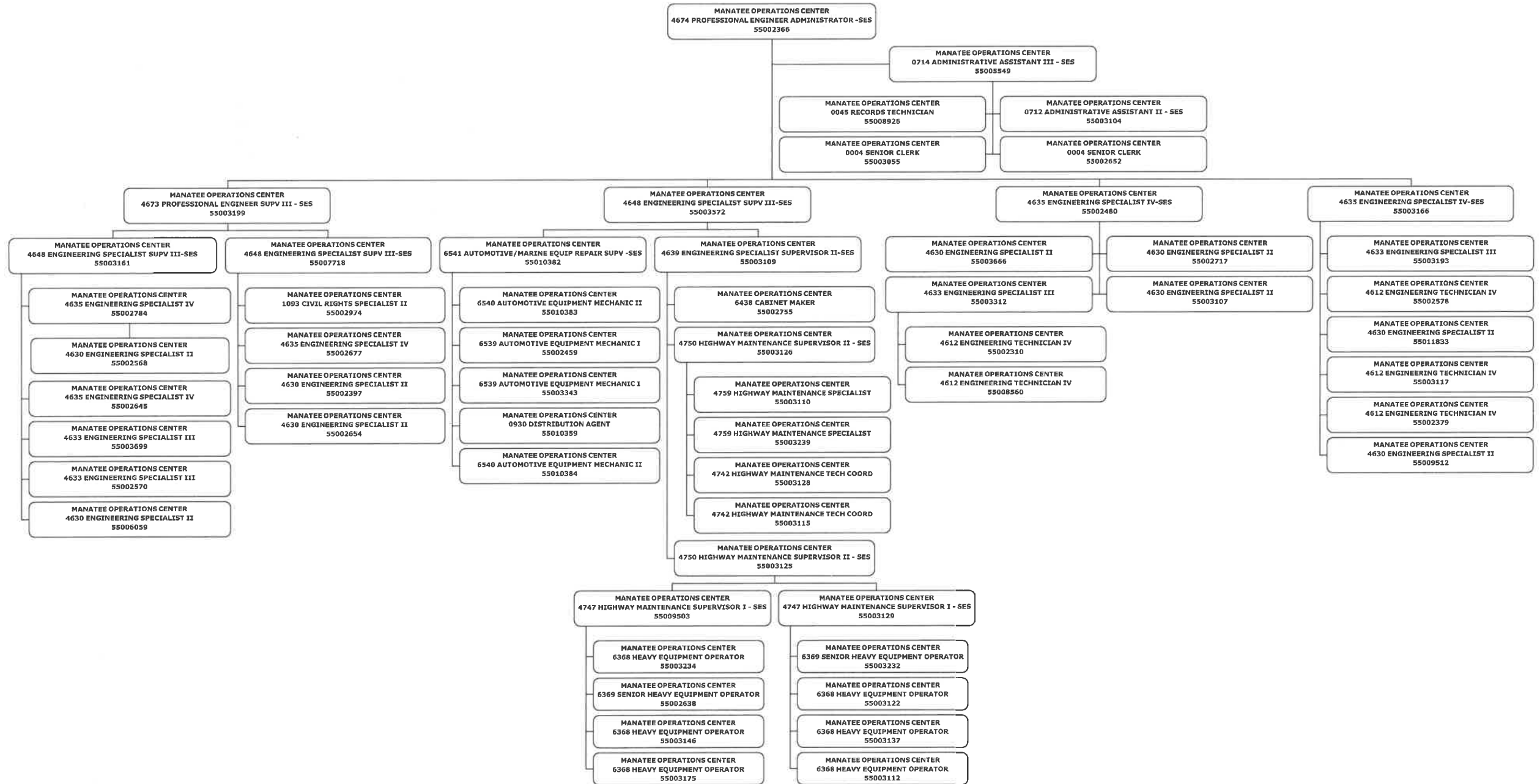
FLORIDA DEPARTMENT OF TRANSPORTATION

DISTRICT ONE

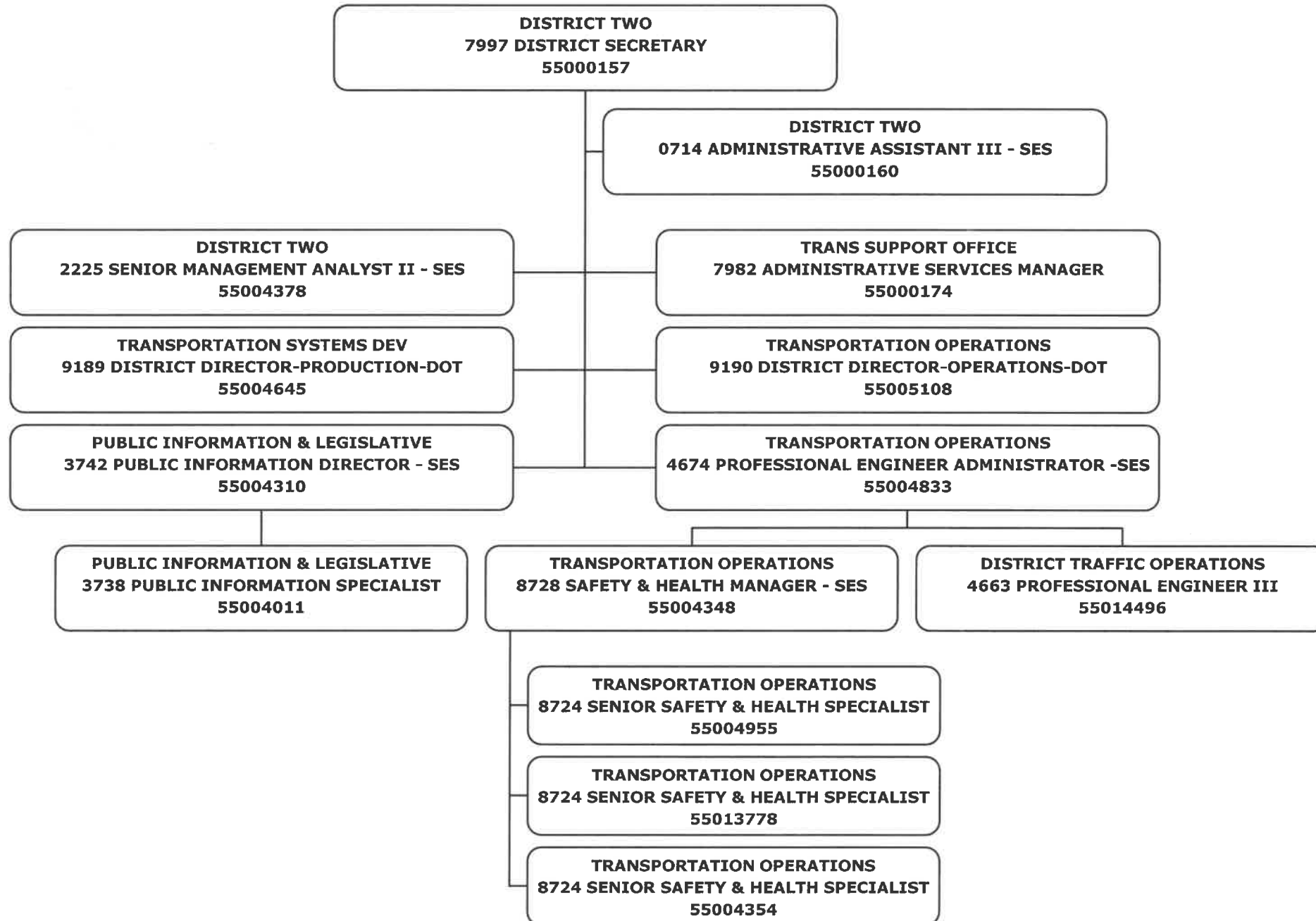


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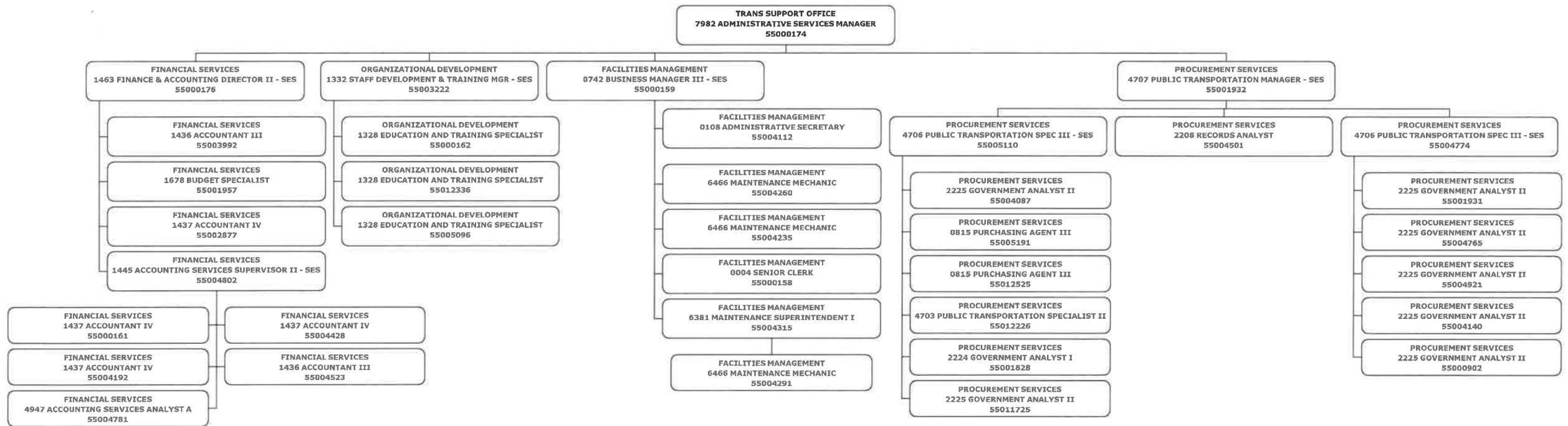
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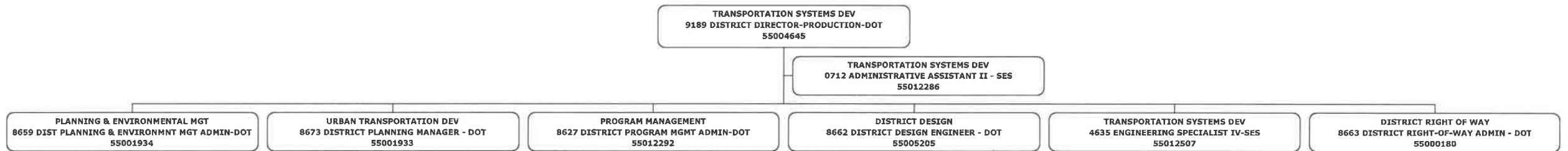
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DISTRICT TWO



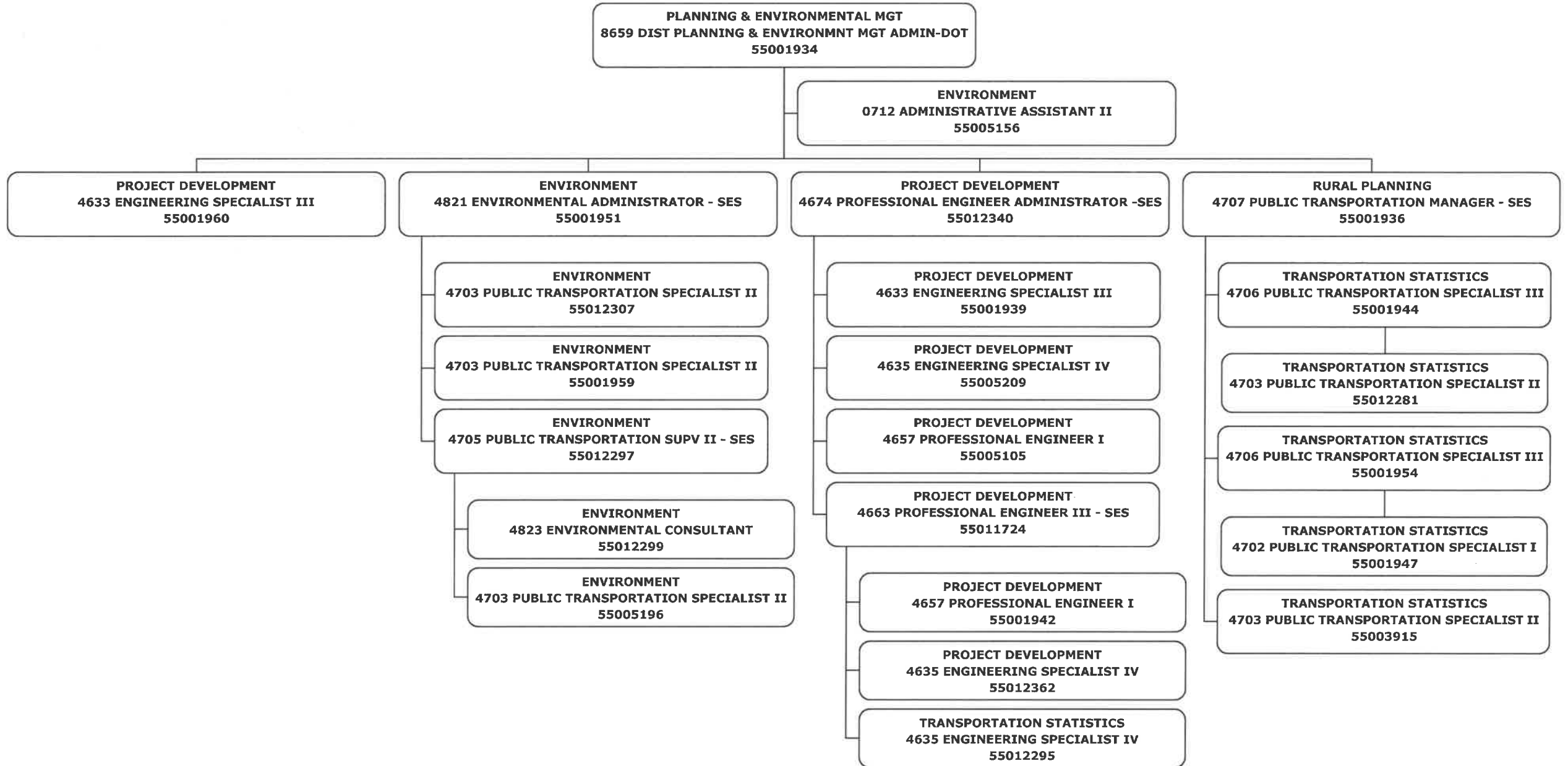
FLORIDA DEPARTMENT OF TRANSPORTATION DISTRICT TWO



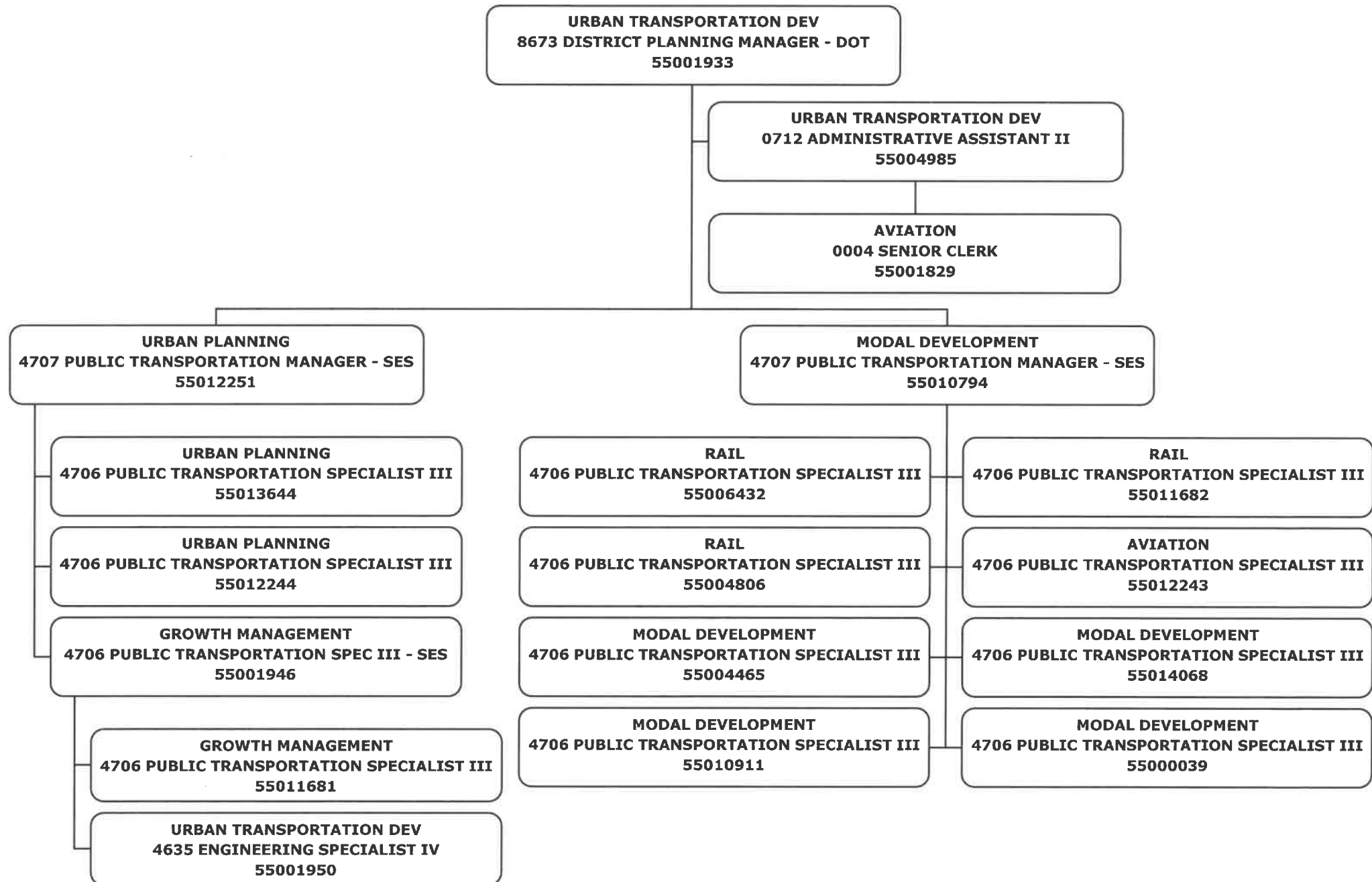
FLORIDA DEPARTMENT OF TRANSPORTATION
DISTRICT TWO



FLORIDA DEPARTMENT OF TRANSPORTATION
DISTRICT TWO

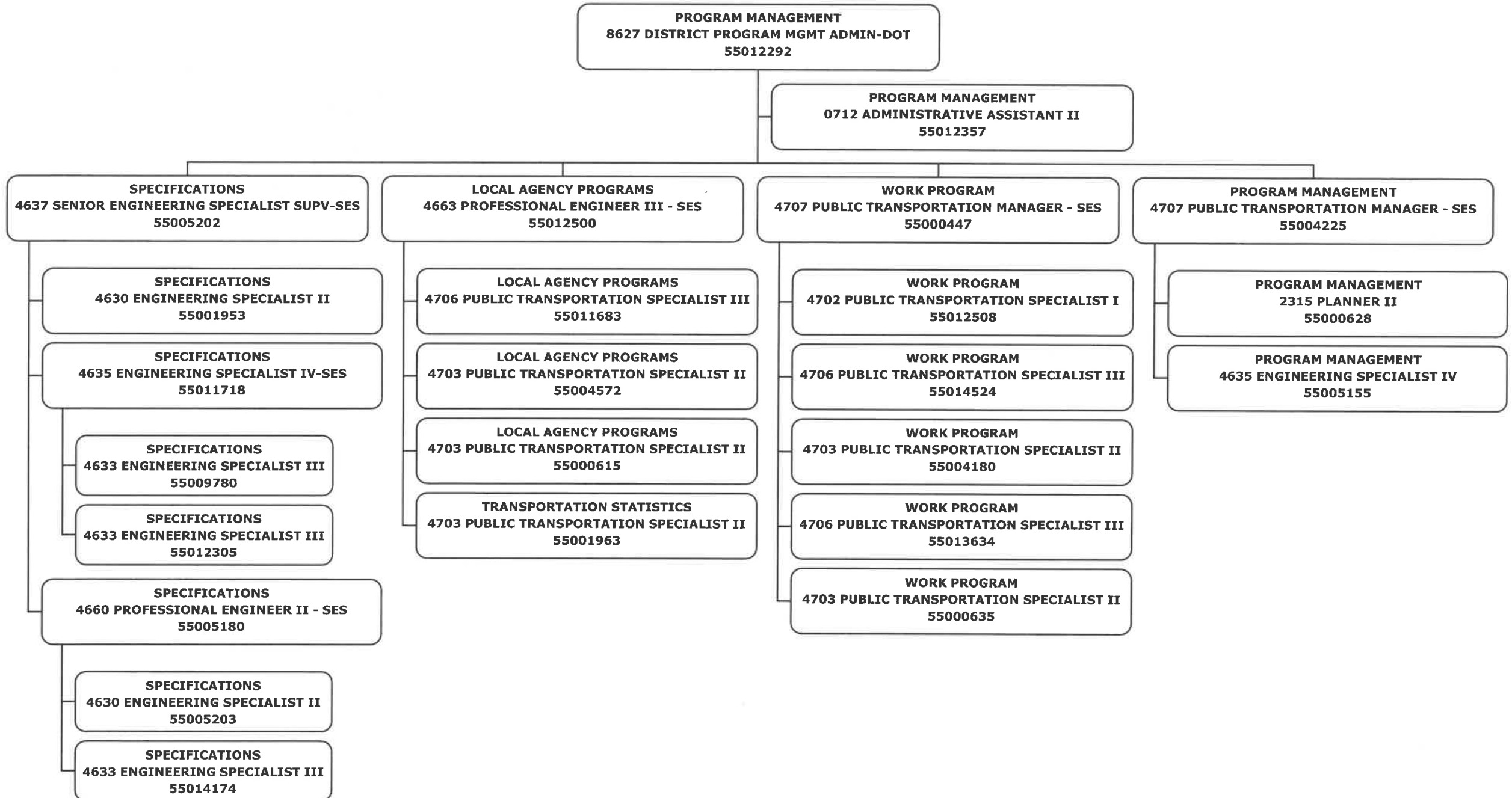


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DISTRICT TWO



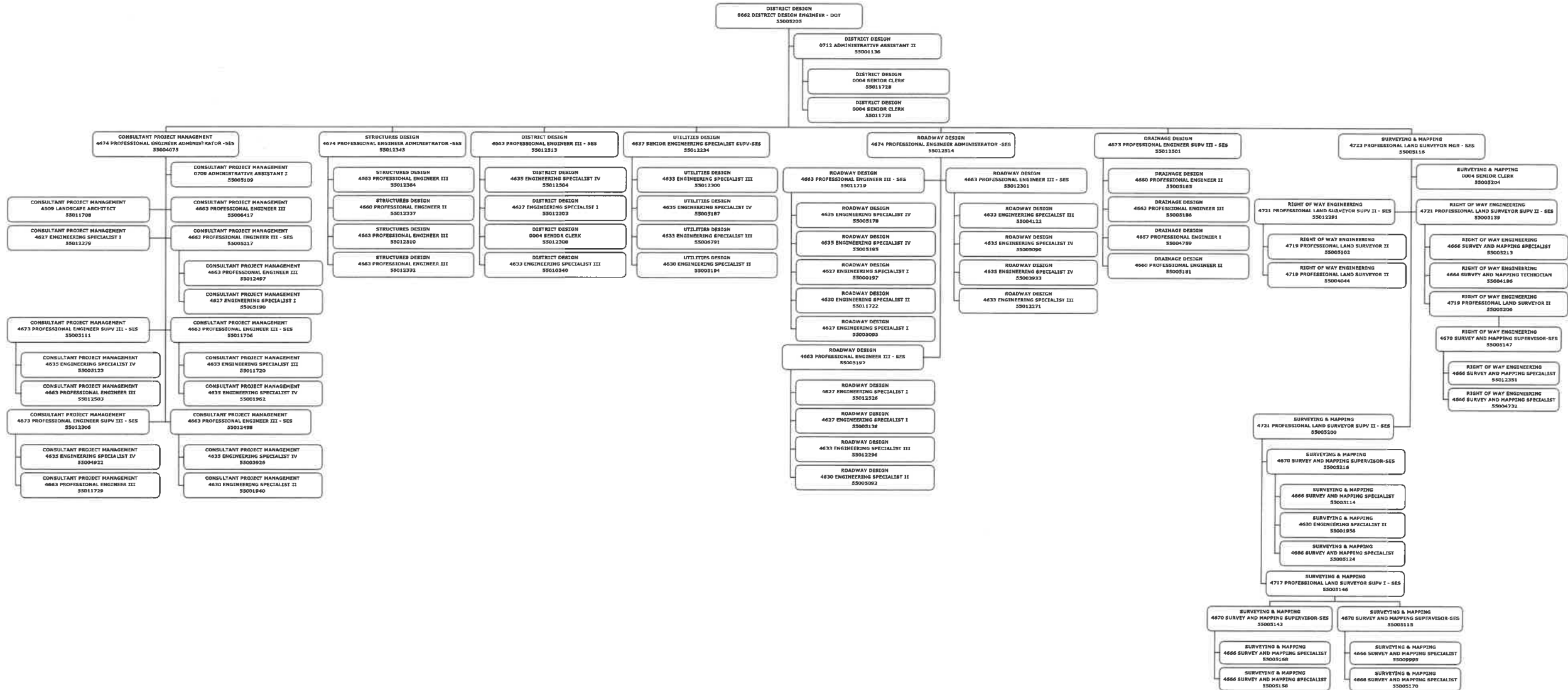
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DISTRICT TWO



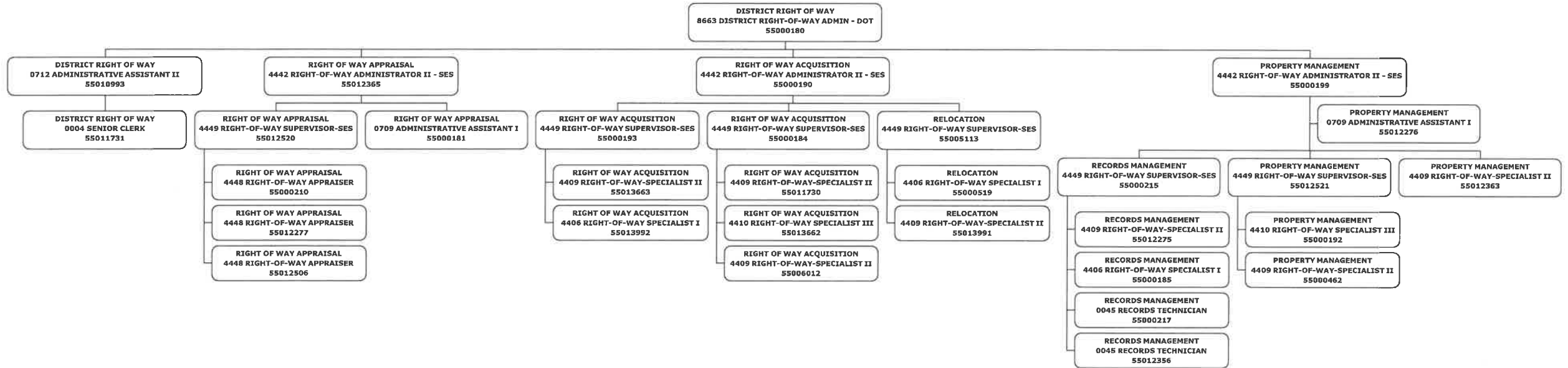
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DISTRICT TWO



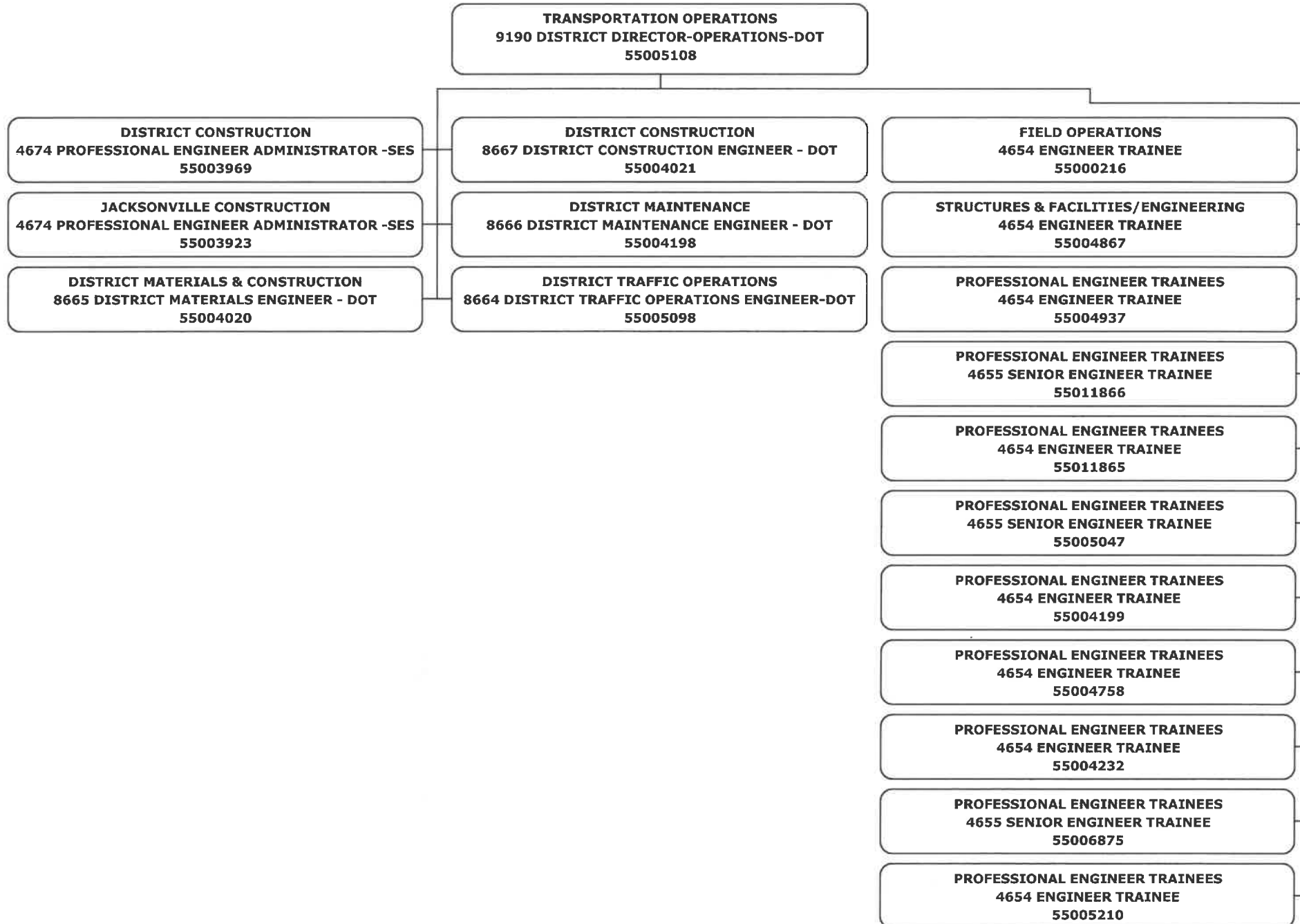
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DISTRICT TWO

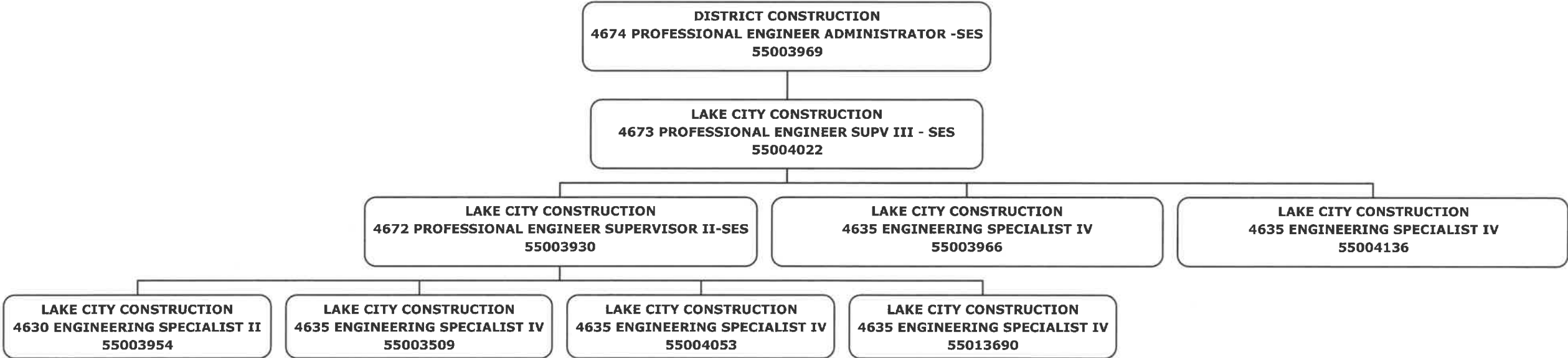


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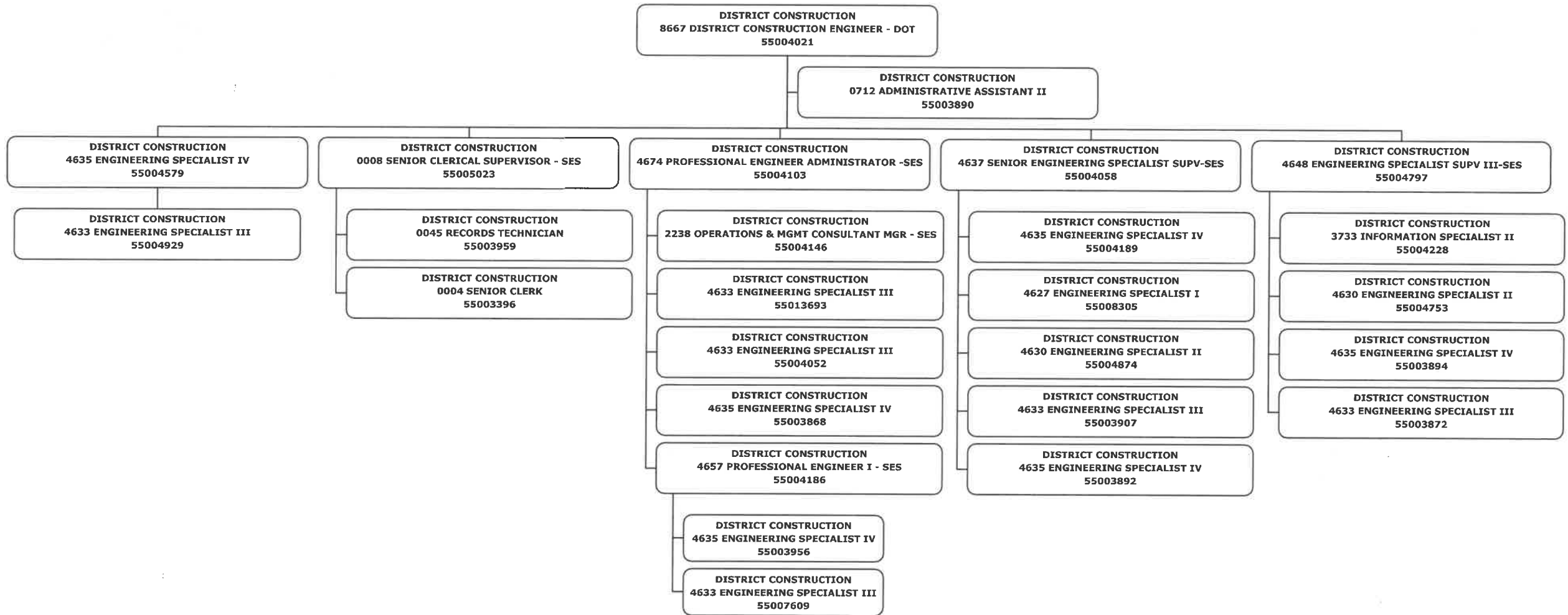
DISTRICT TWO



FLORIDA DEPARTMENT OF TRANSPORTATION
DISTRICT TWO

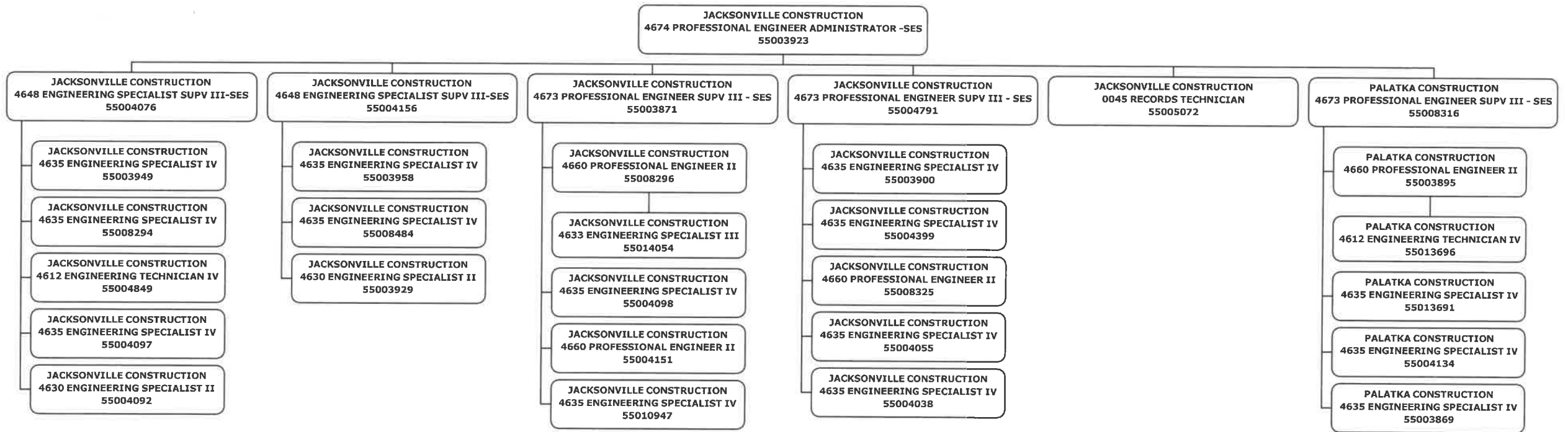


FLORIDA DEPARTMENT OF TRANSPORTATION DISTRICT TWO

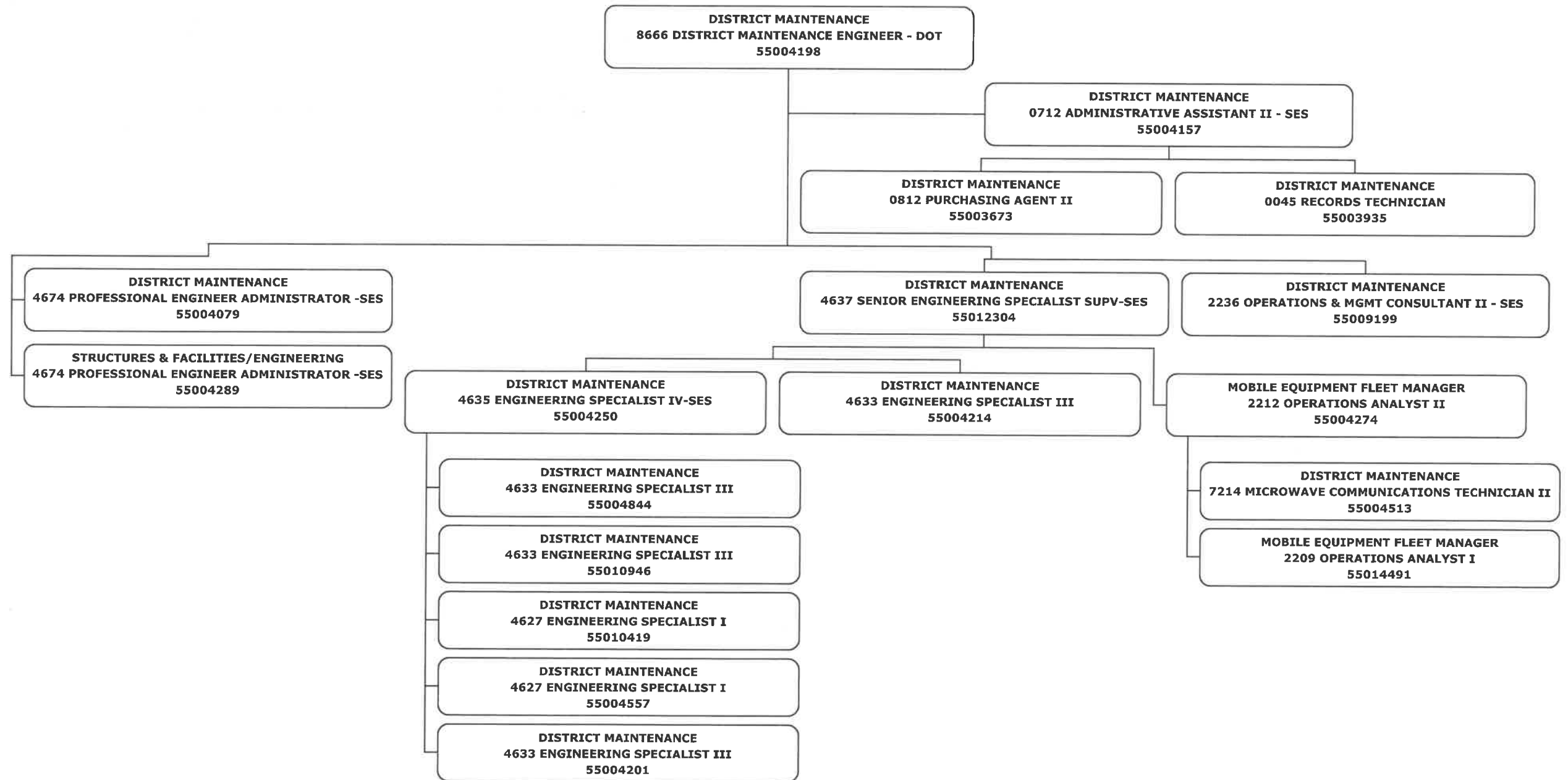


FLORIDA DEPARTMENT OF TRANSPORTATION

DISTRICT TWO

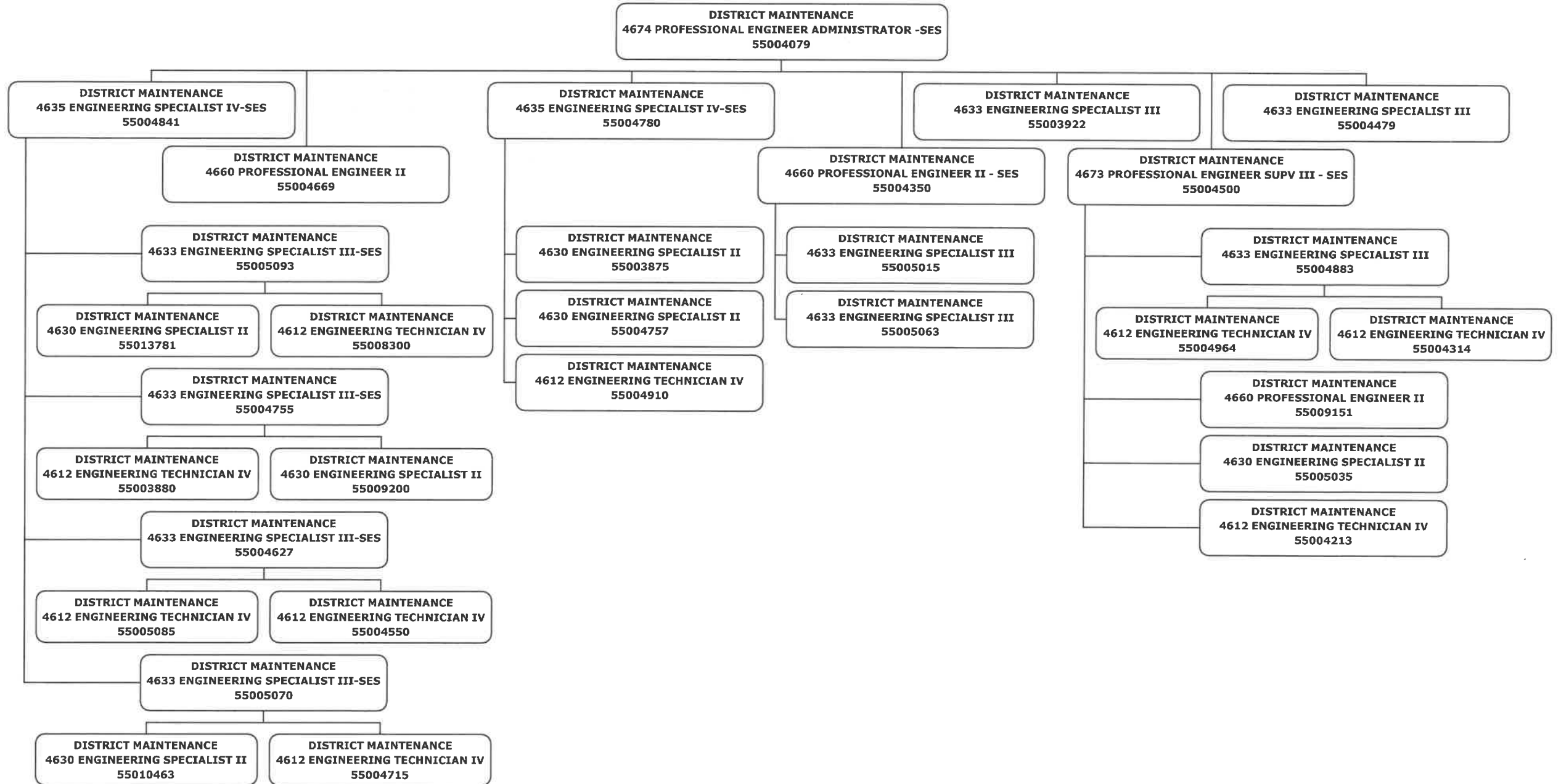


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DISTRICT TWO



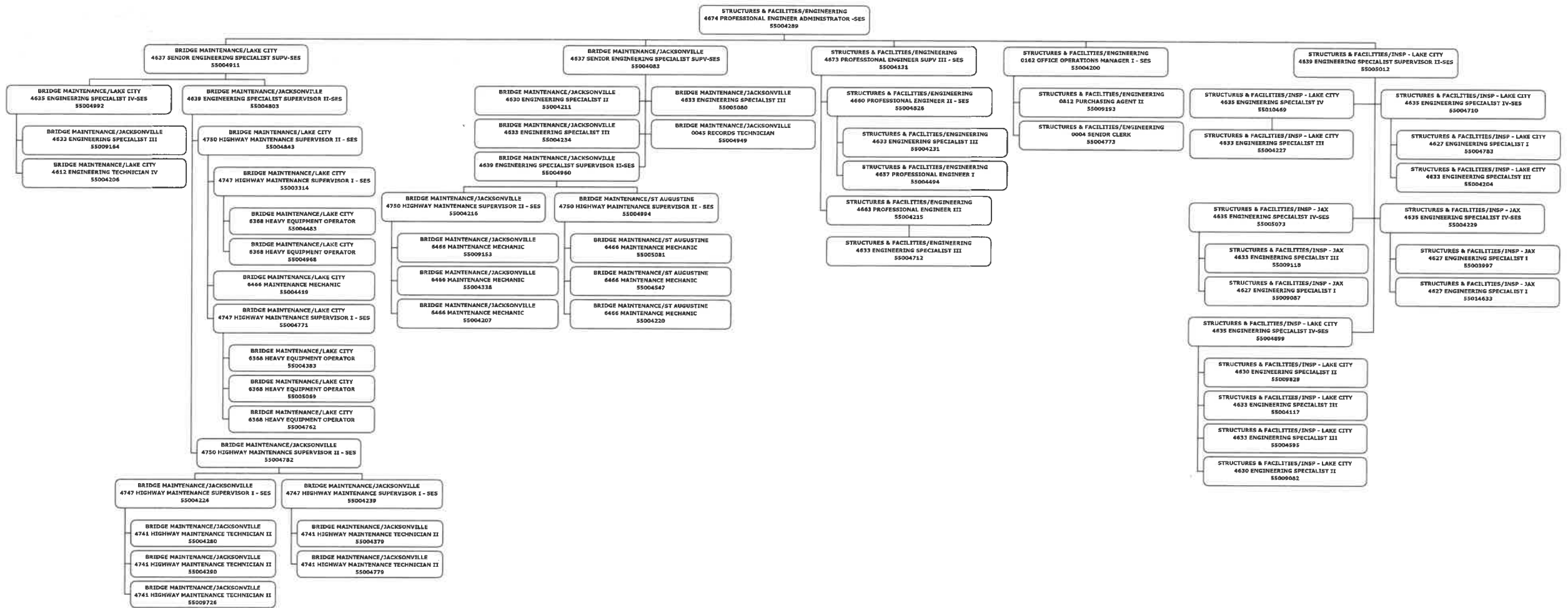
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DISTRICT TWO

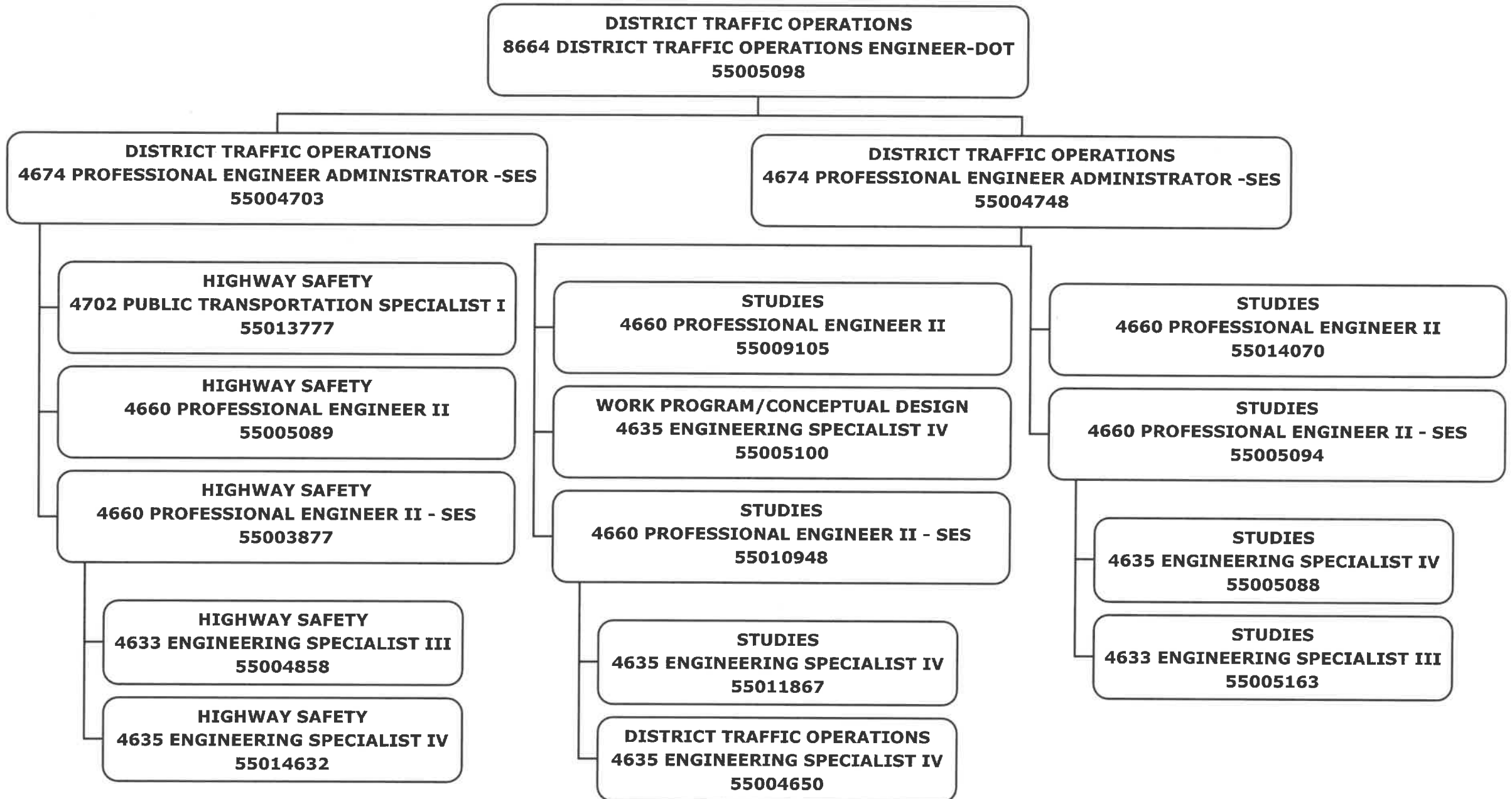


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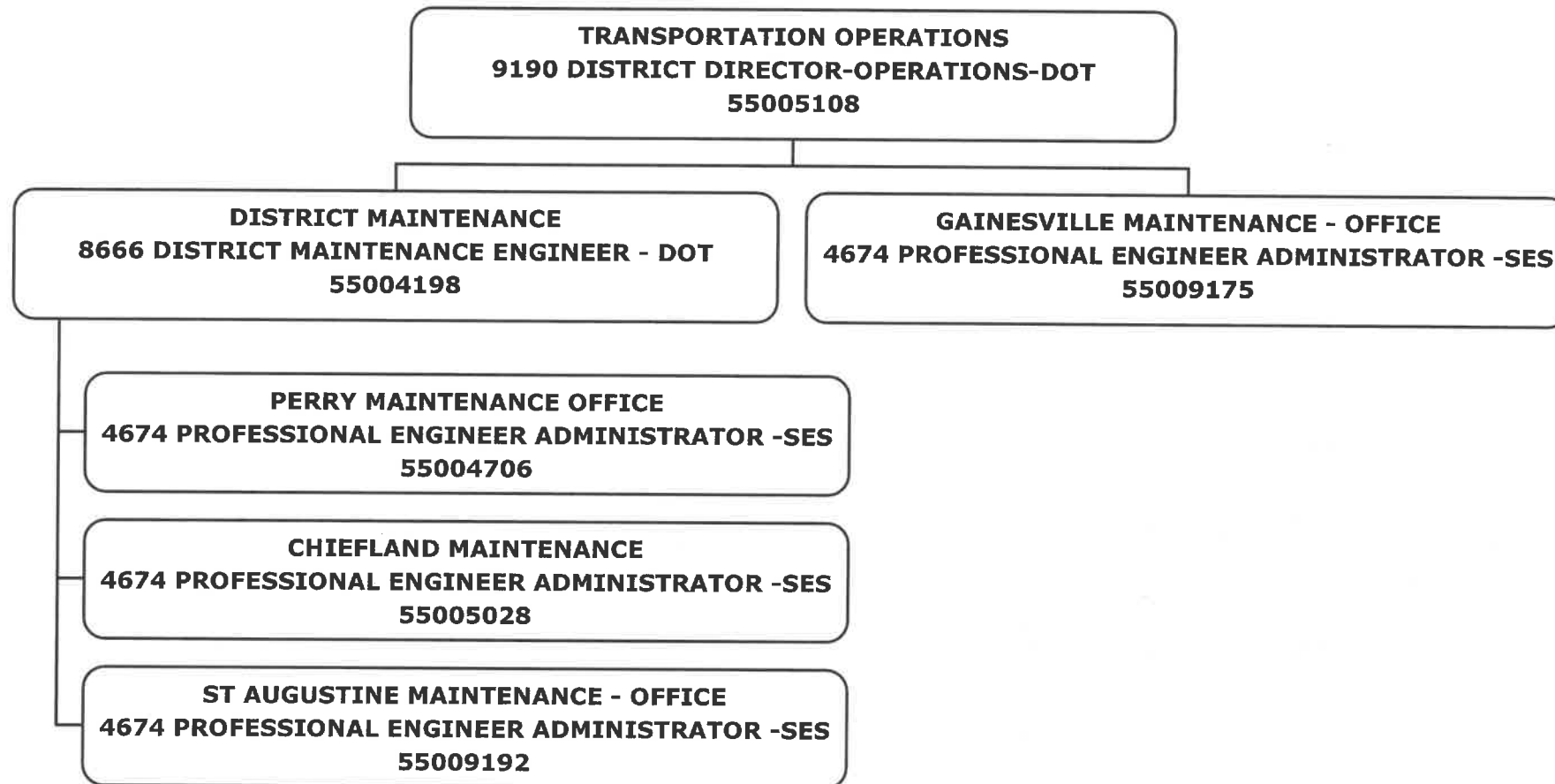
DISTRICT TWO



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DISTRICT TWO

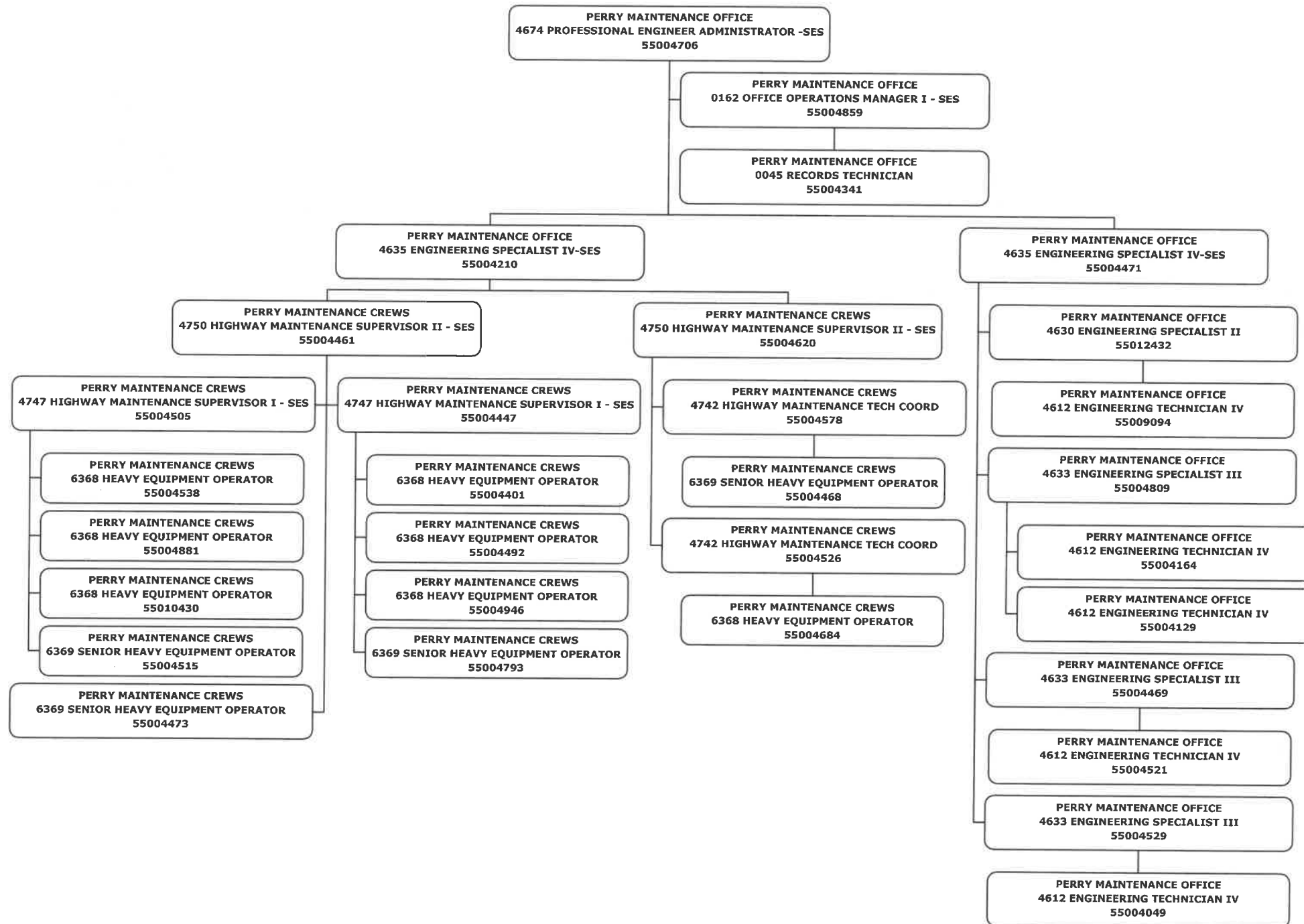


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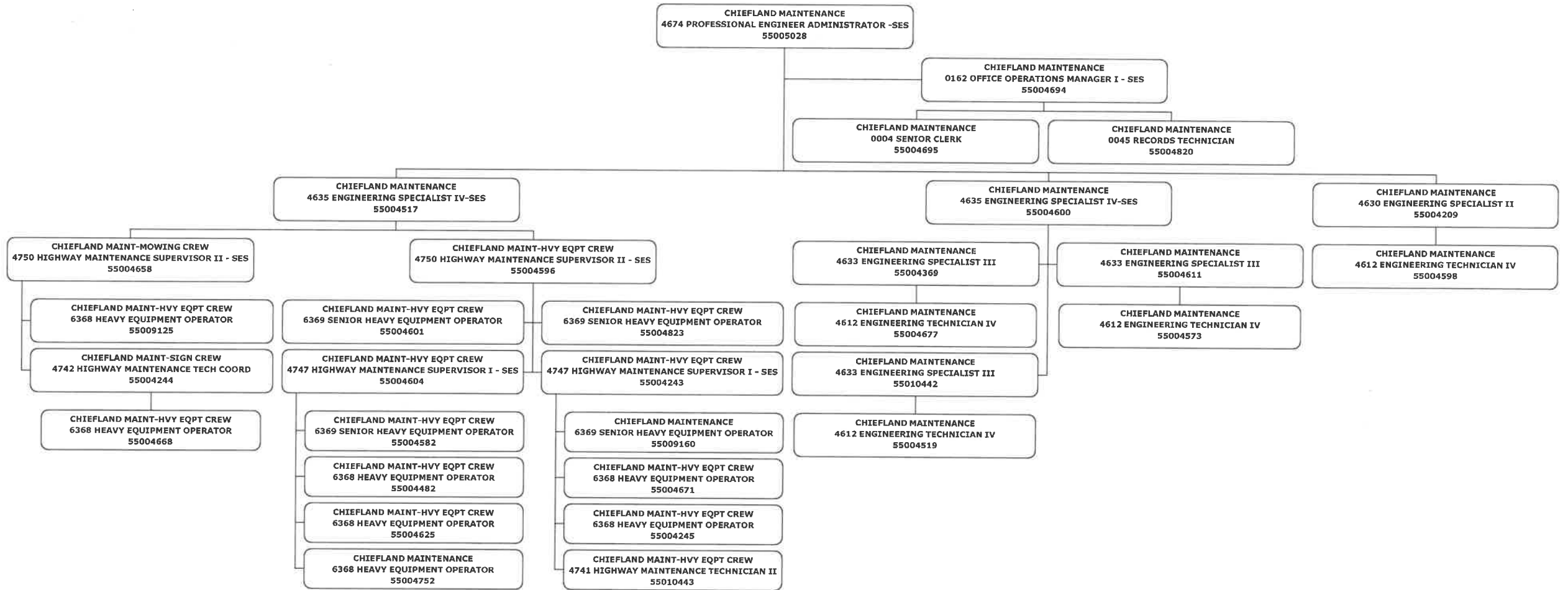
FLORIDA DEPARTMENT OF TRANSPORTATION

DISTRICT TWO



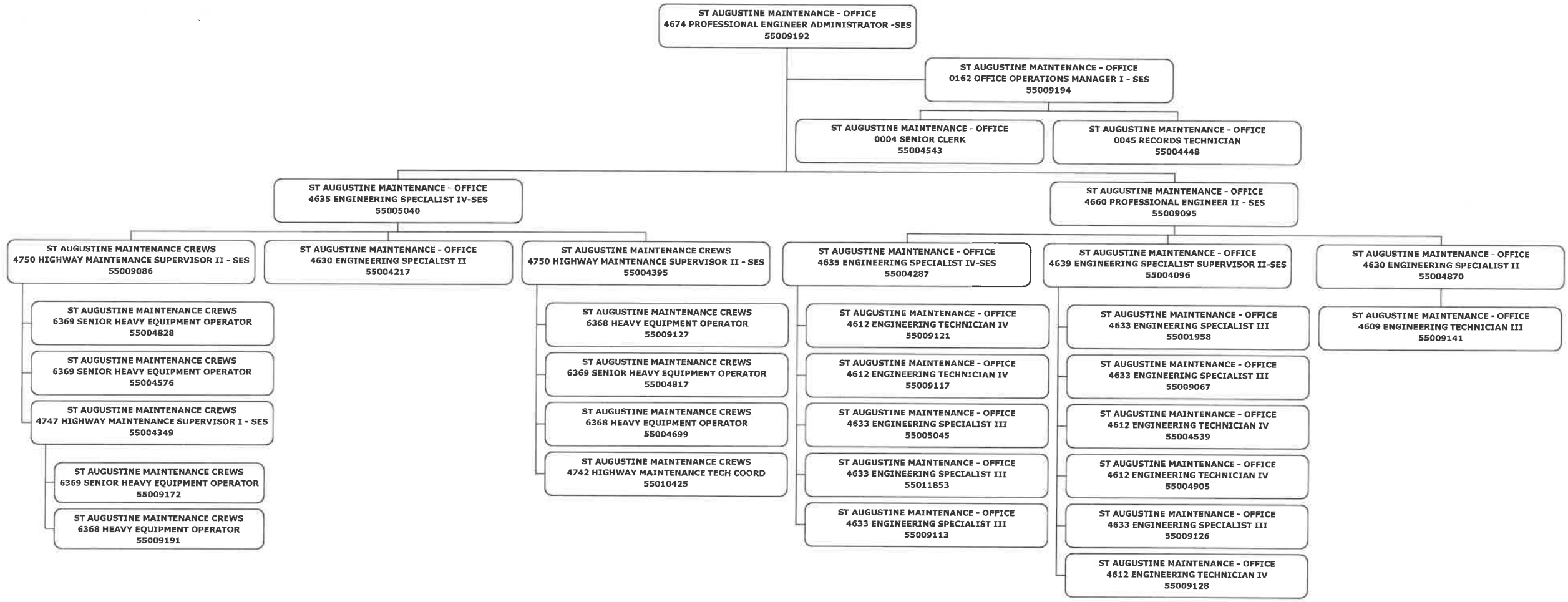
FLORIDA DEPARTMENT OF TRANSPORTATION

DISTRICT TWO



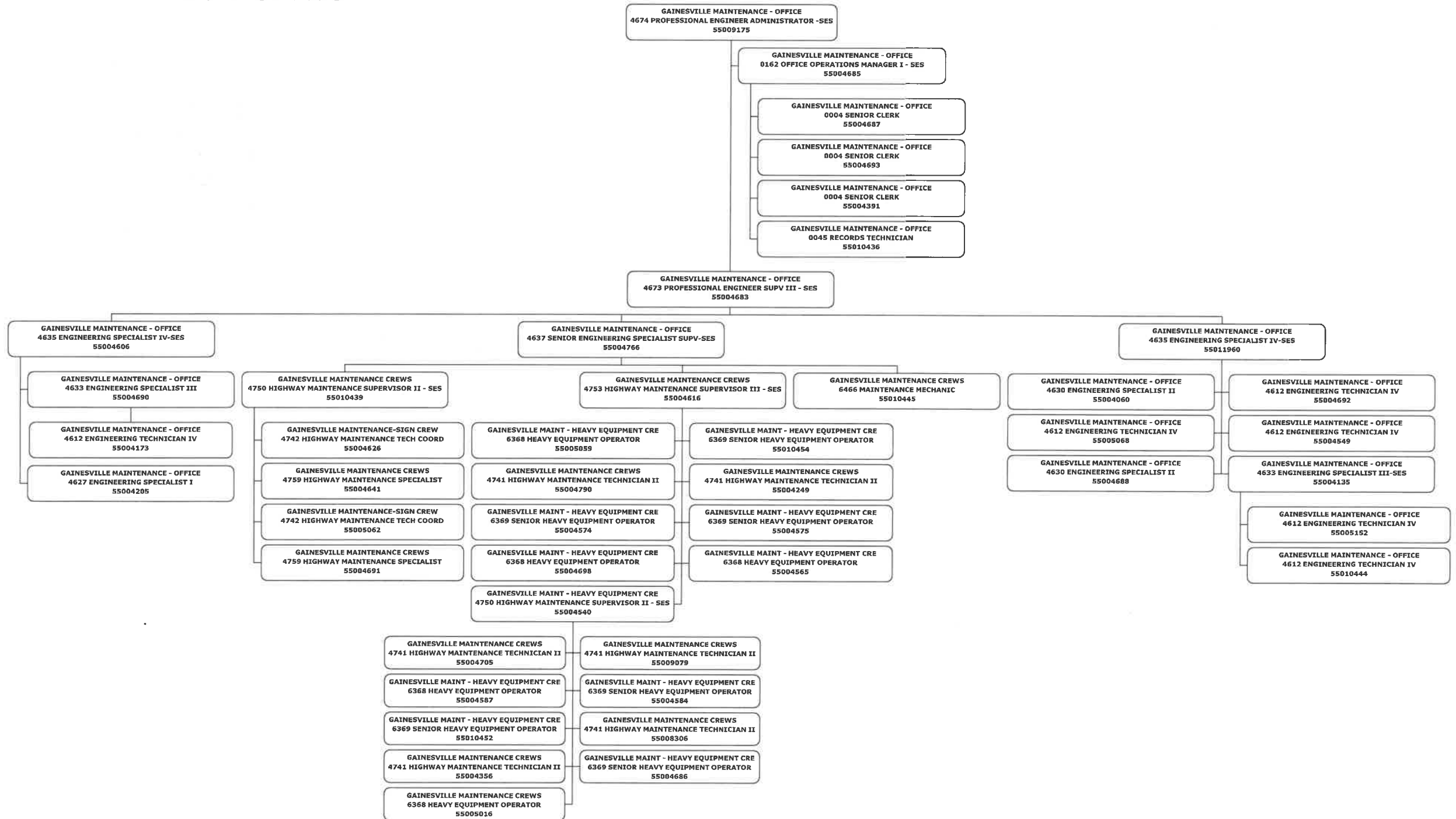
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DISTRICT TWO

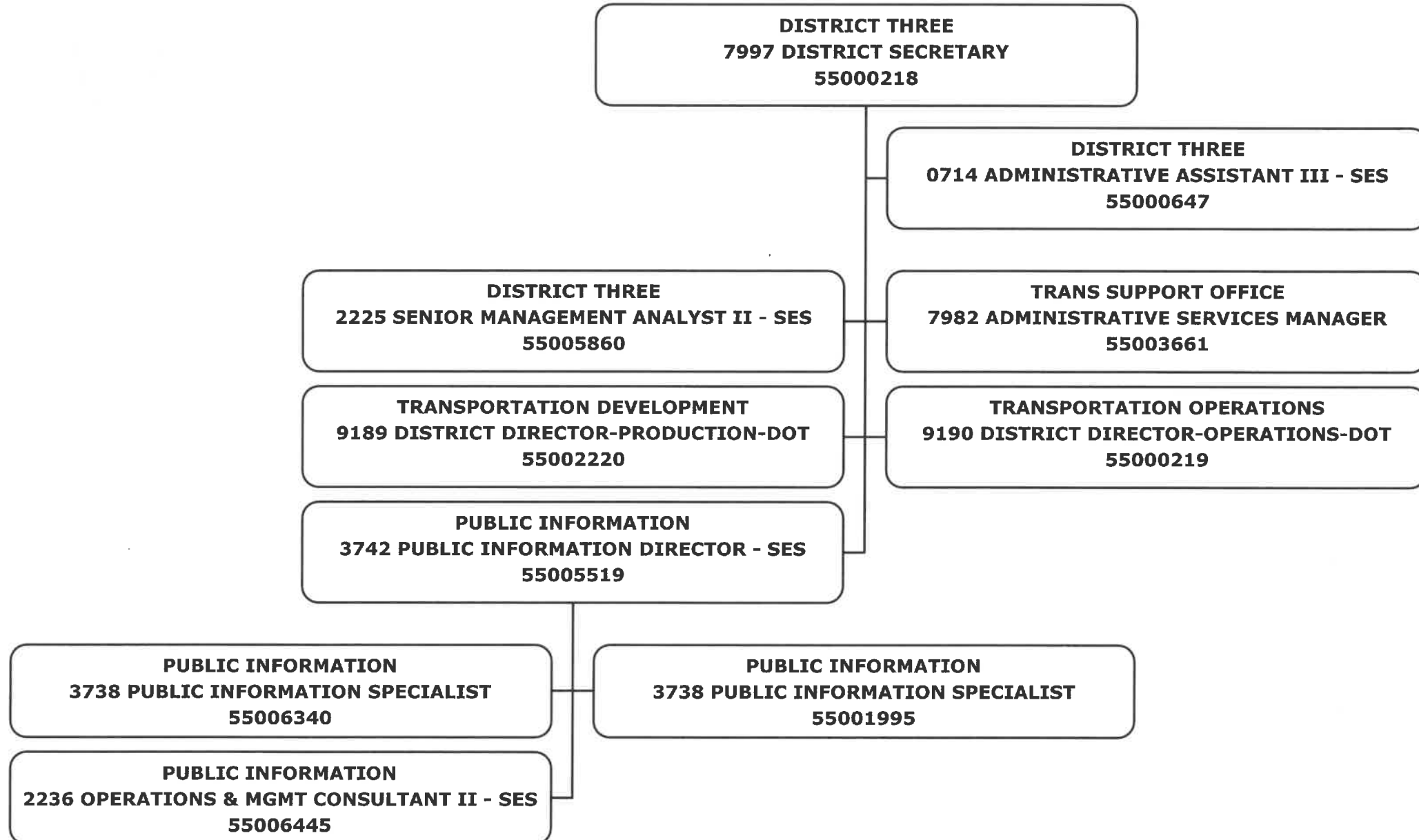


FLORIDA DEPARTMENT OF TRANSPORTATION

DISTRICT TWO

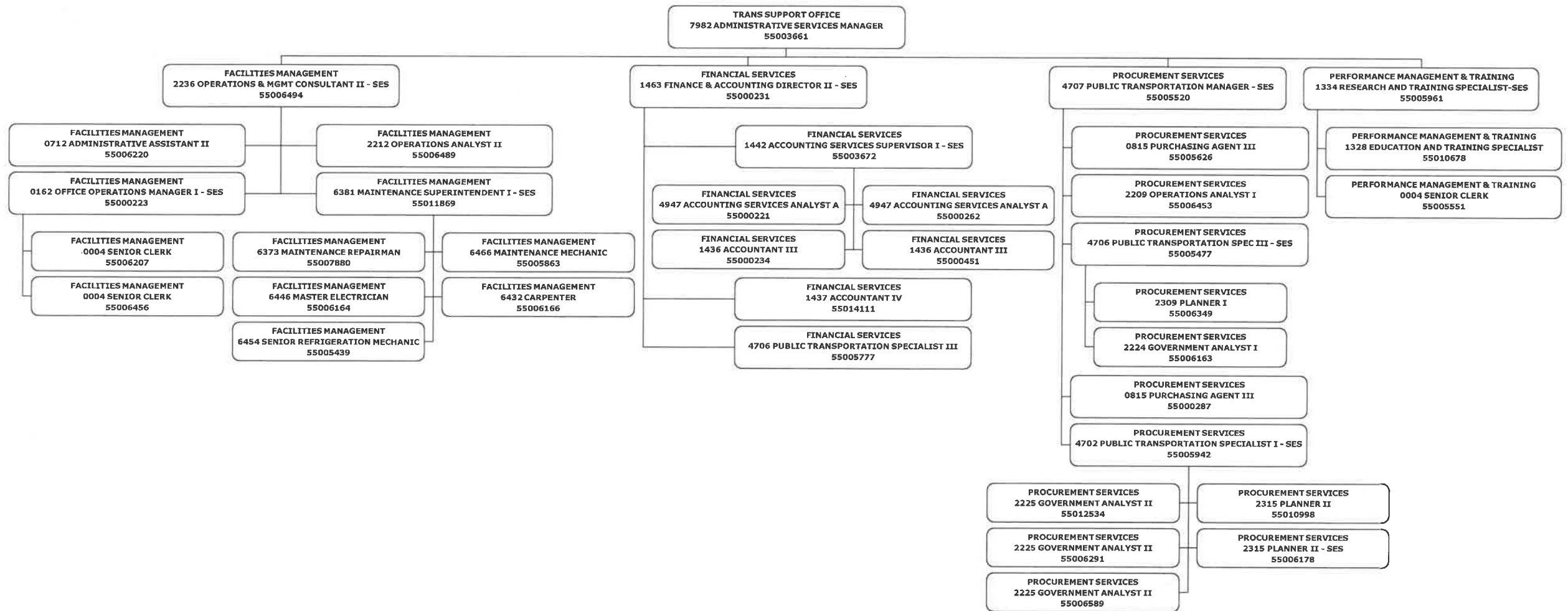


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DISTRICT THREE

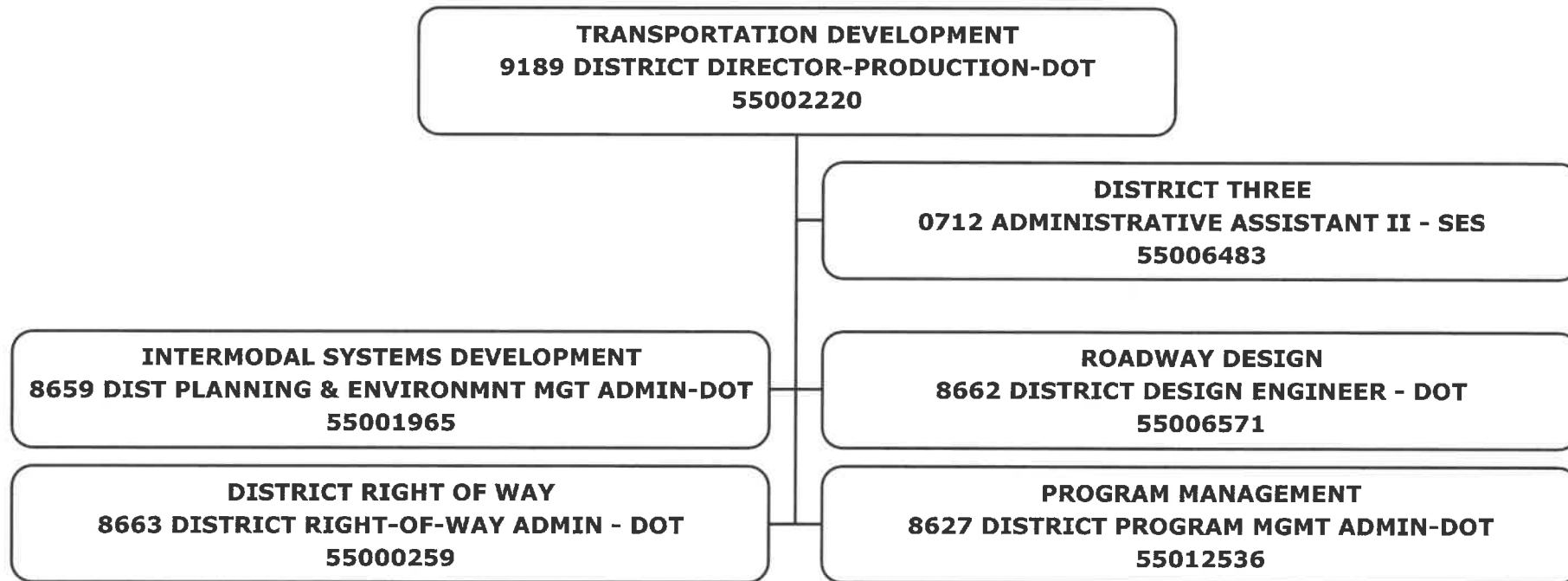


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DISTRICT THREE

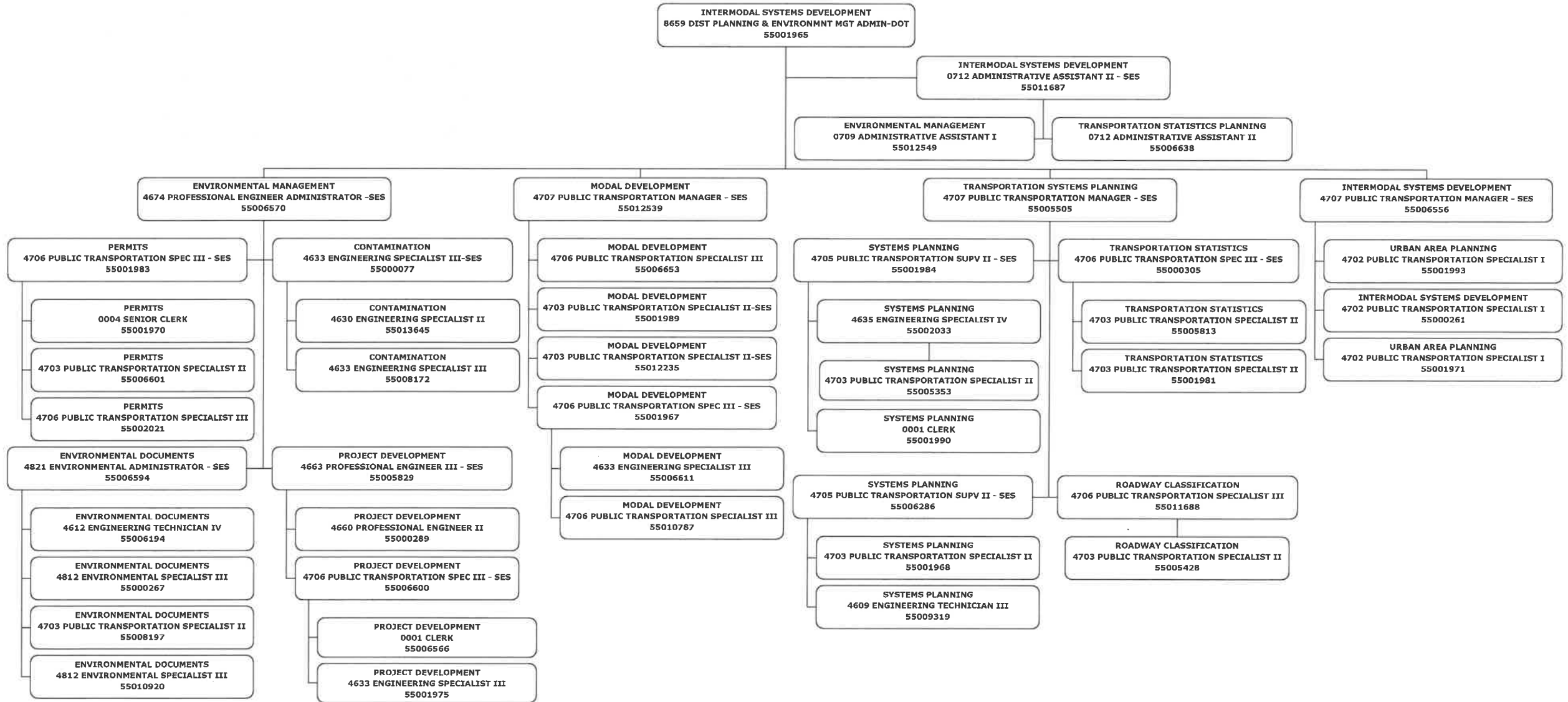


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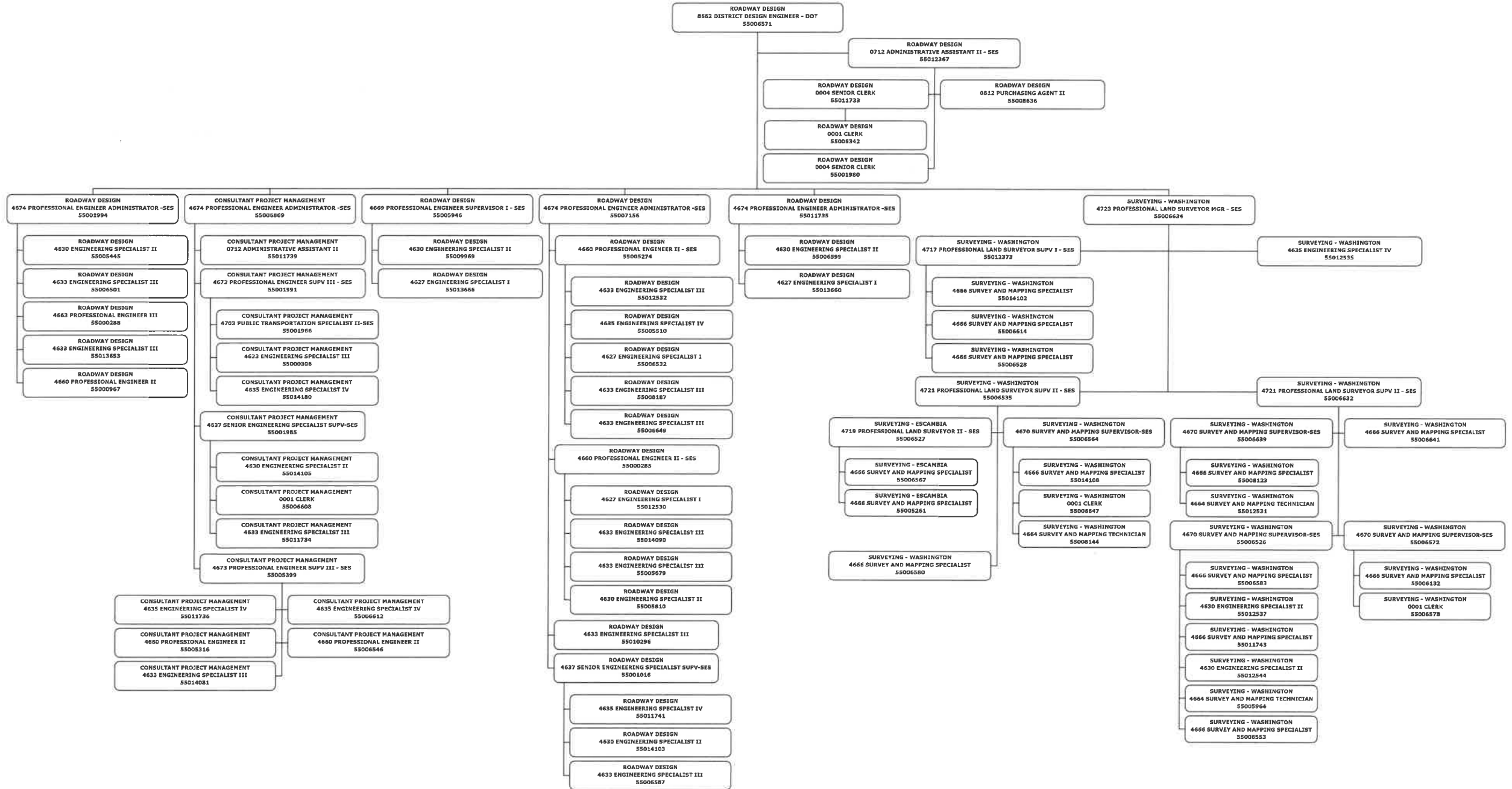
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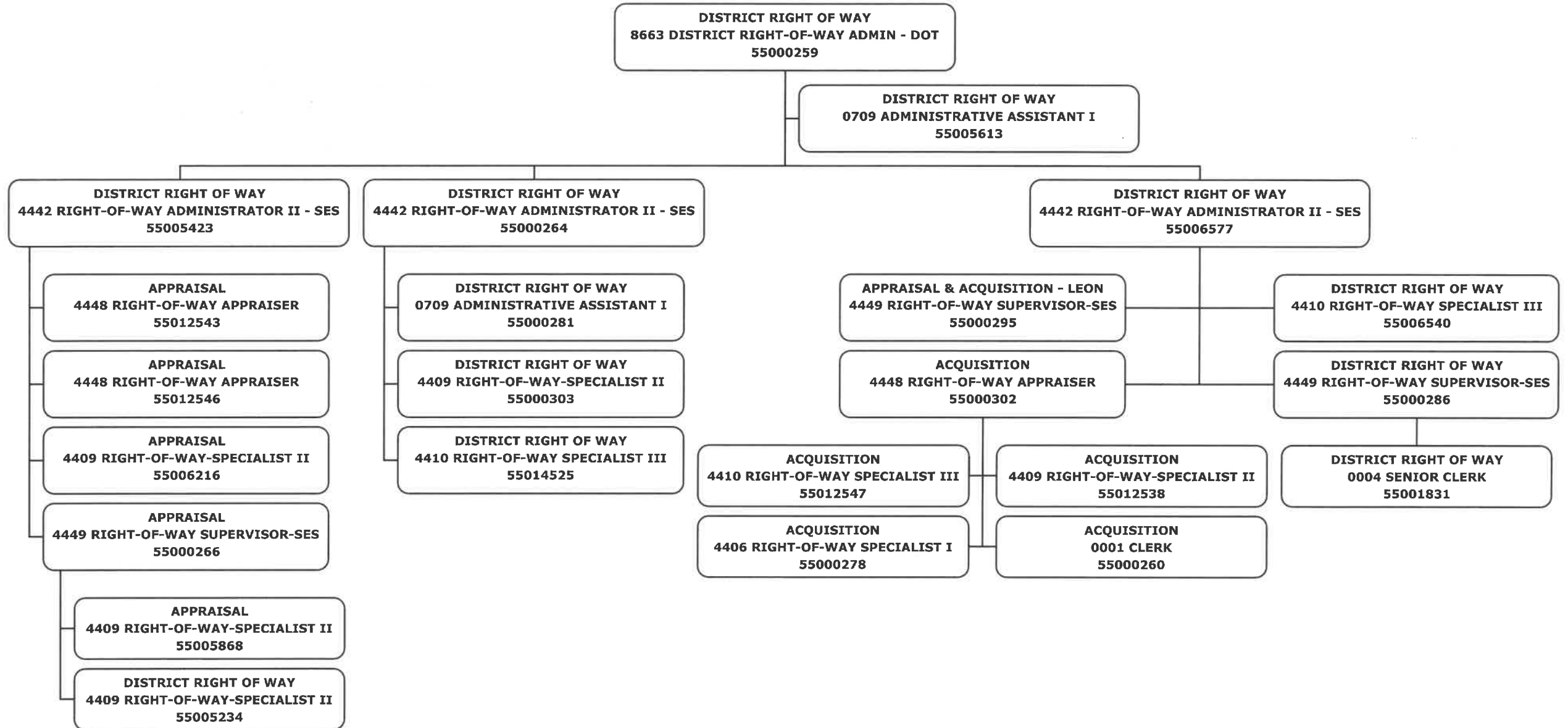


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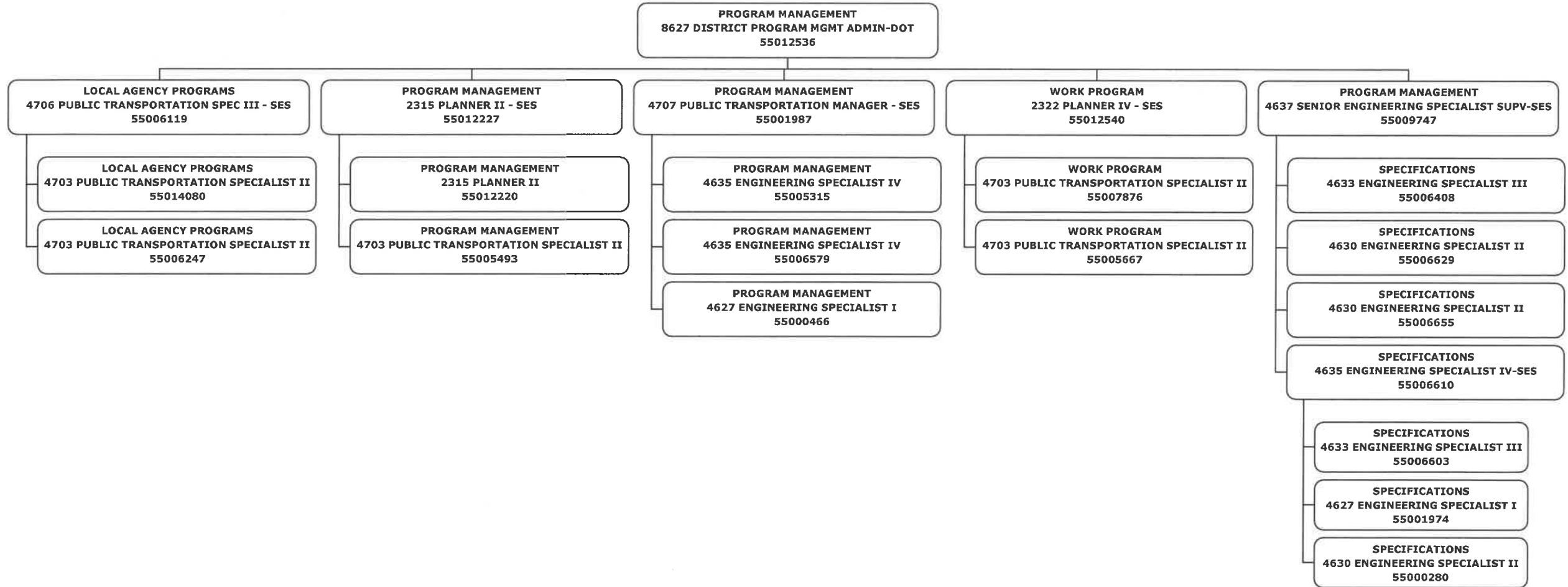
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FLORIDA DEPARTMENT OF TRANSPORTATION
DISTRICT THREE

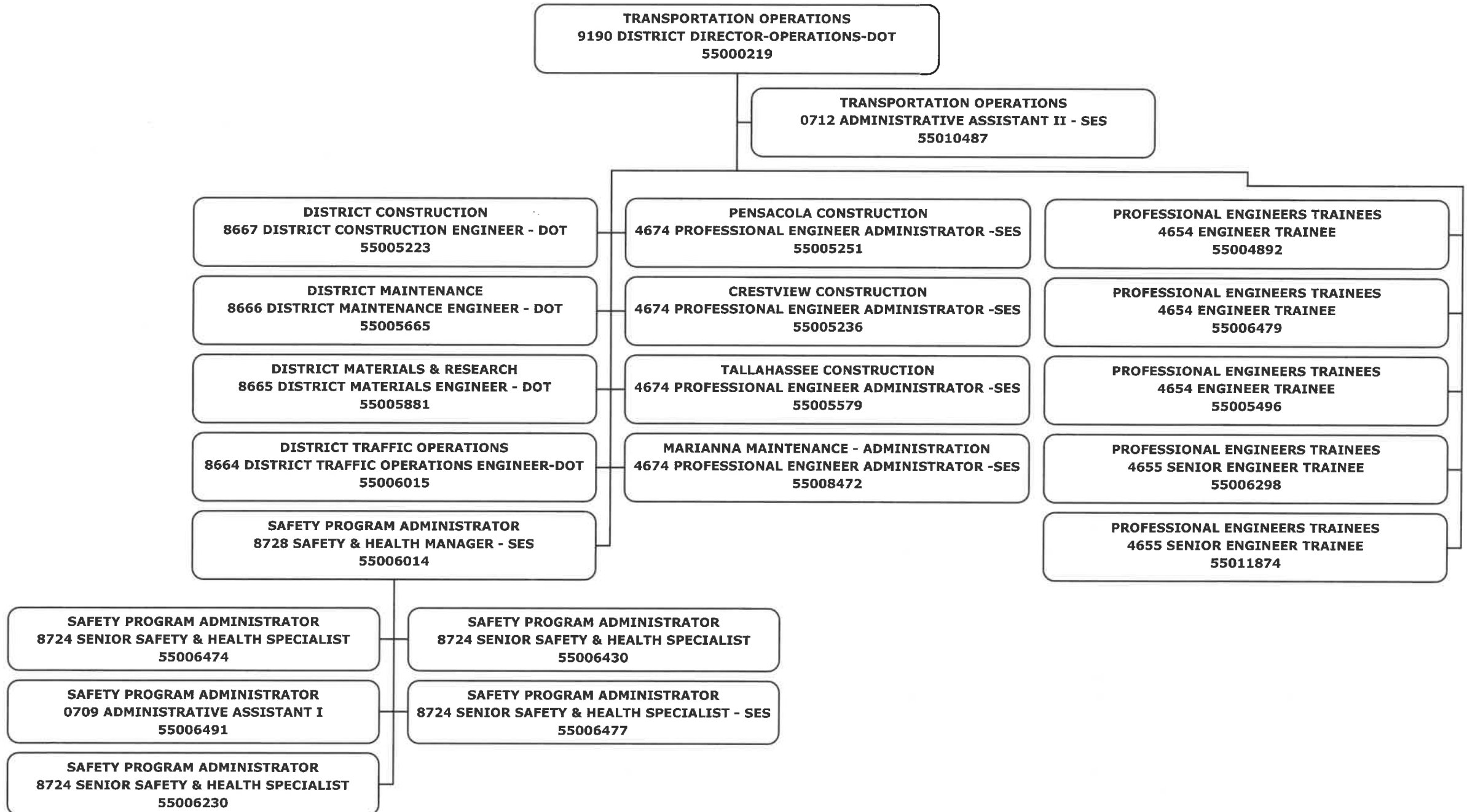


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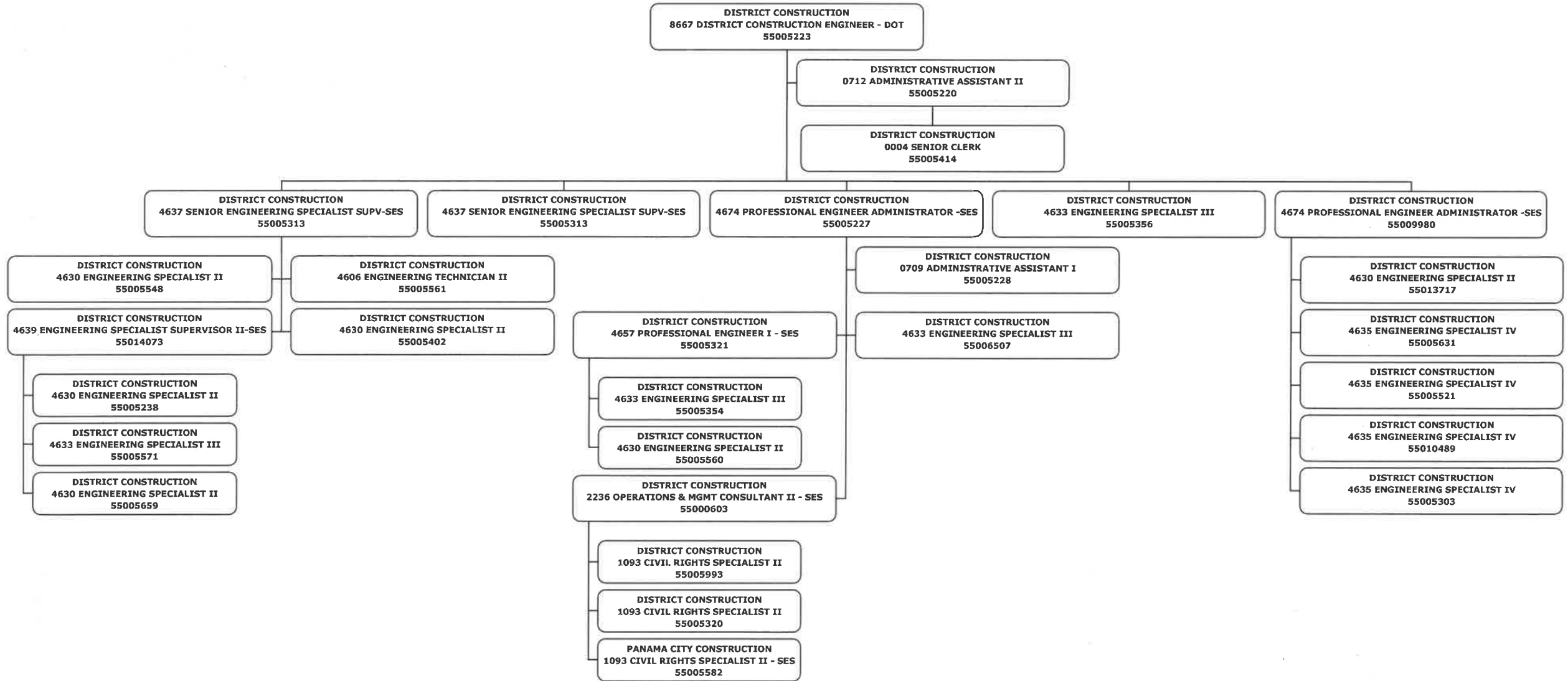
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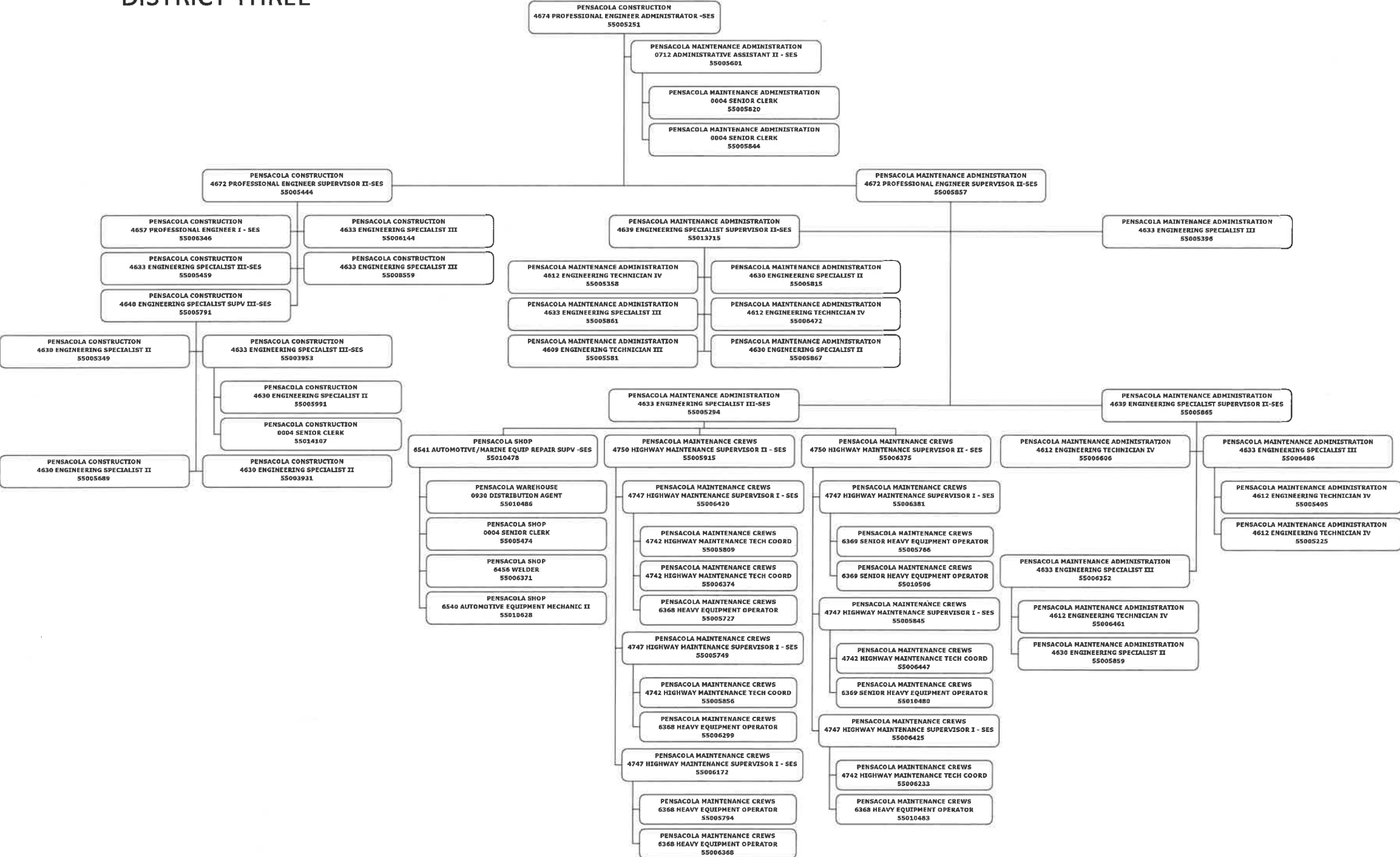
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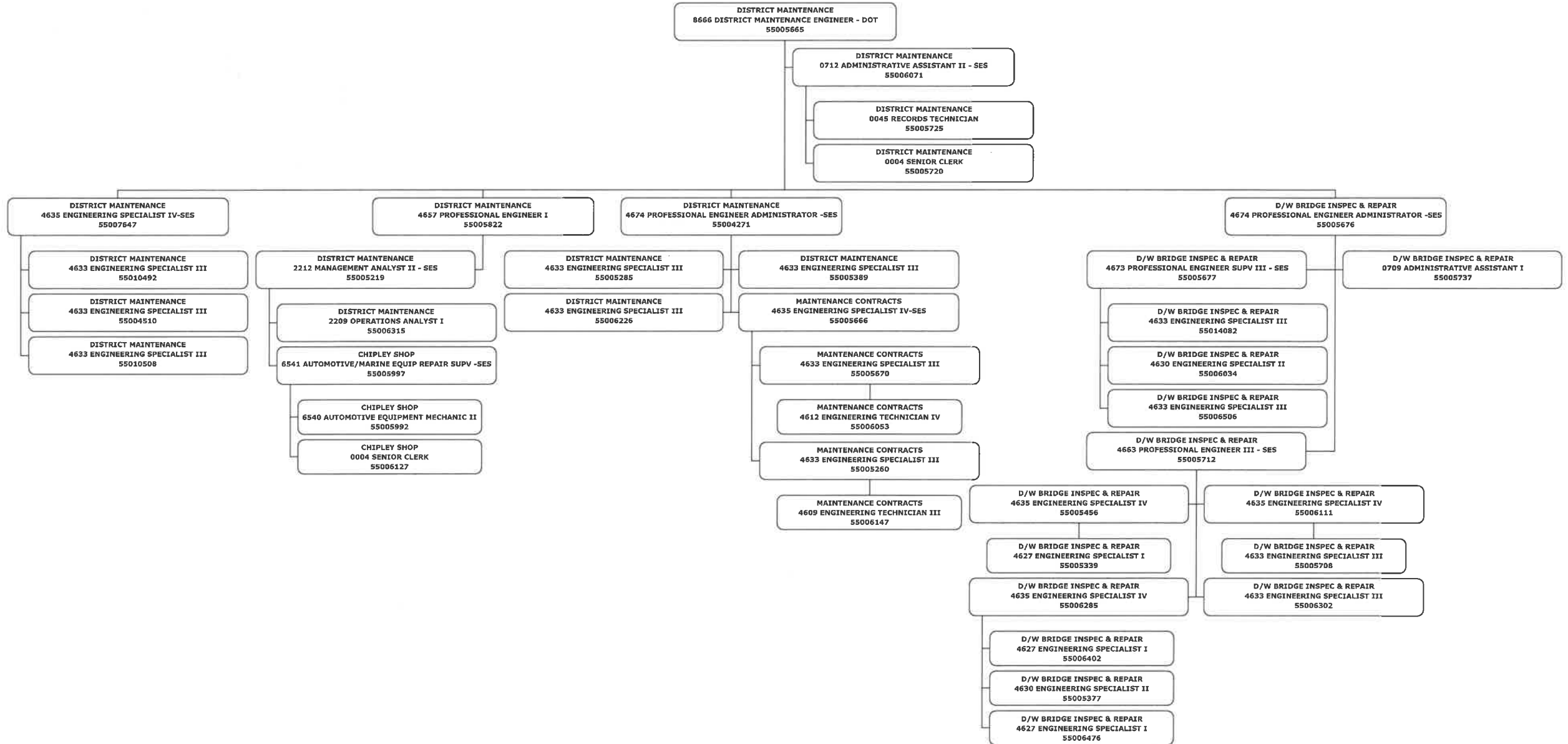
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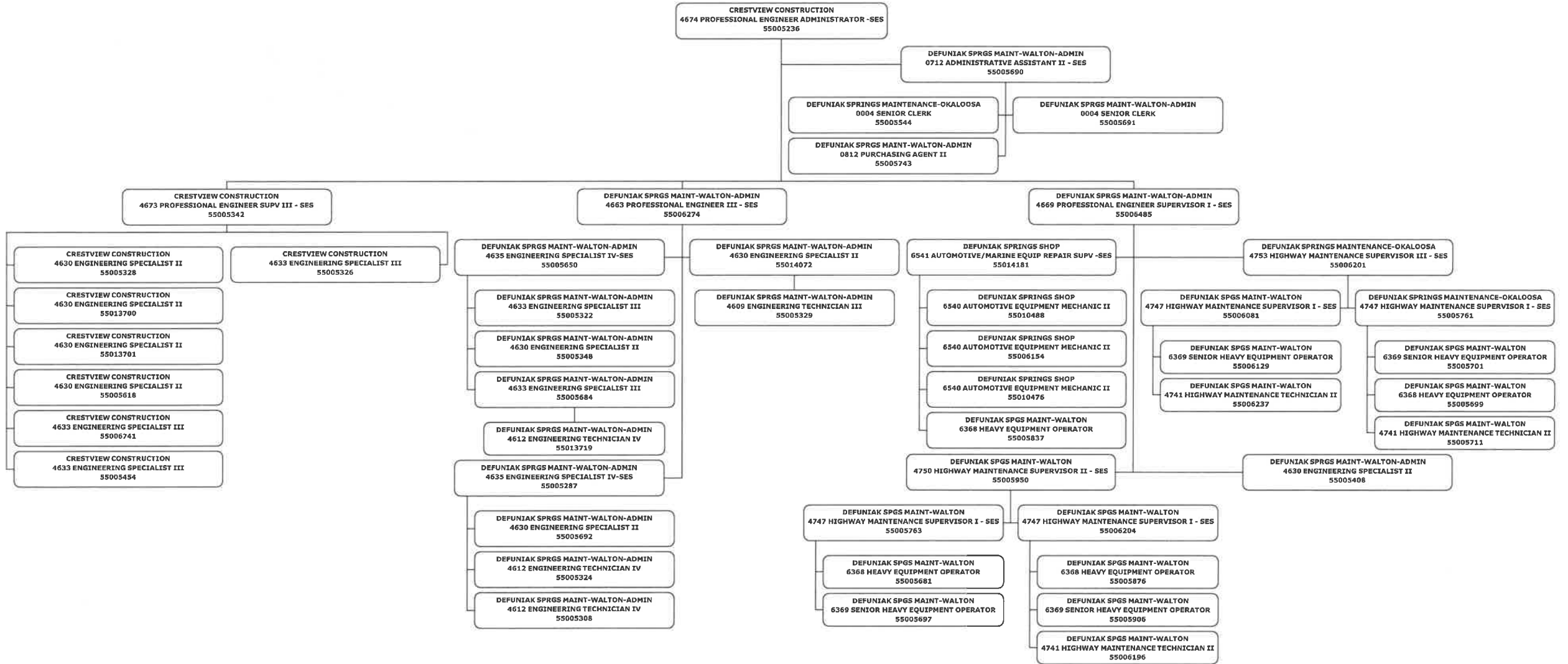
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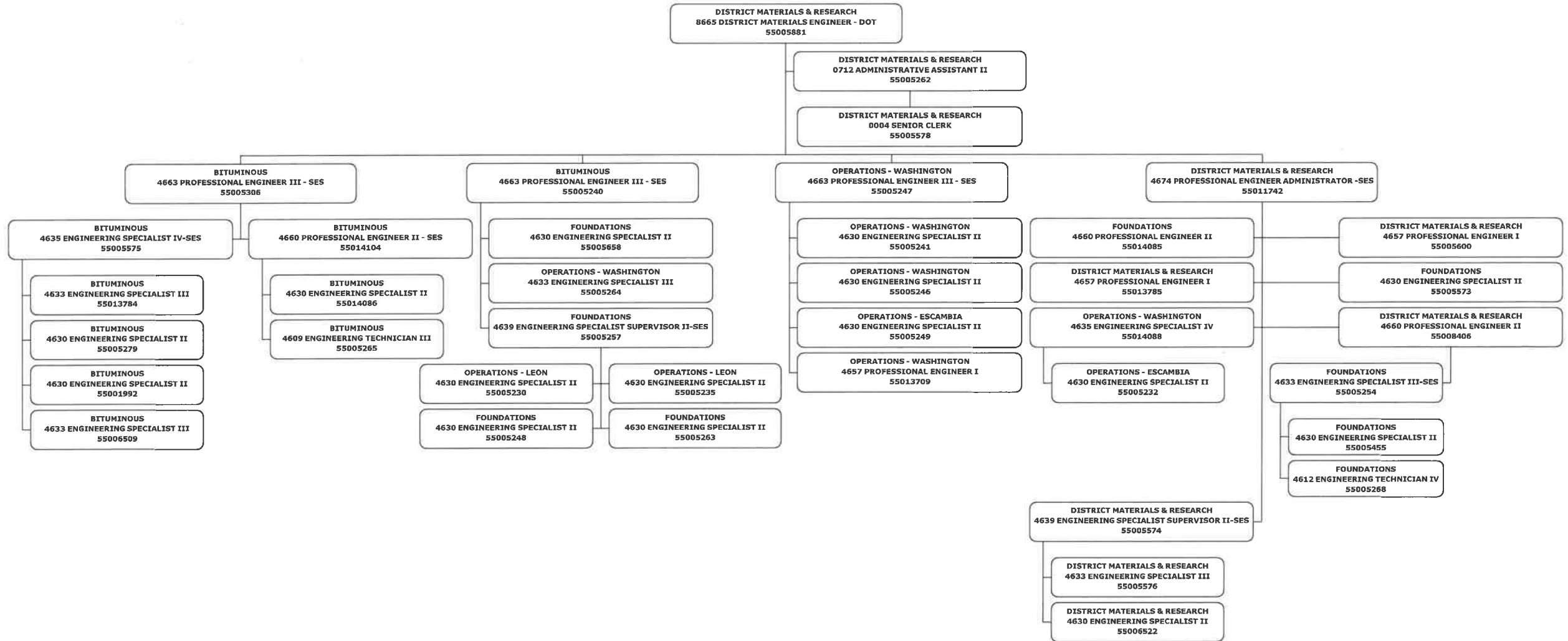
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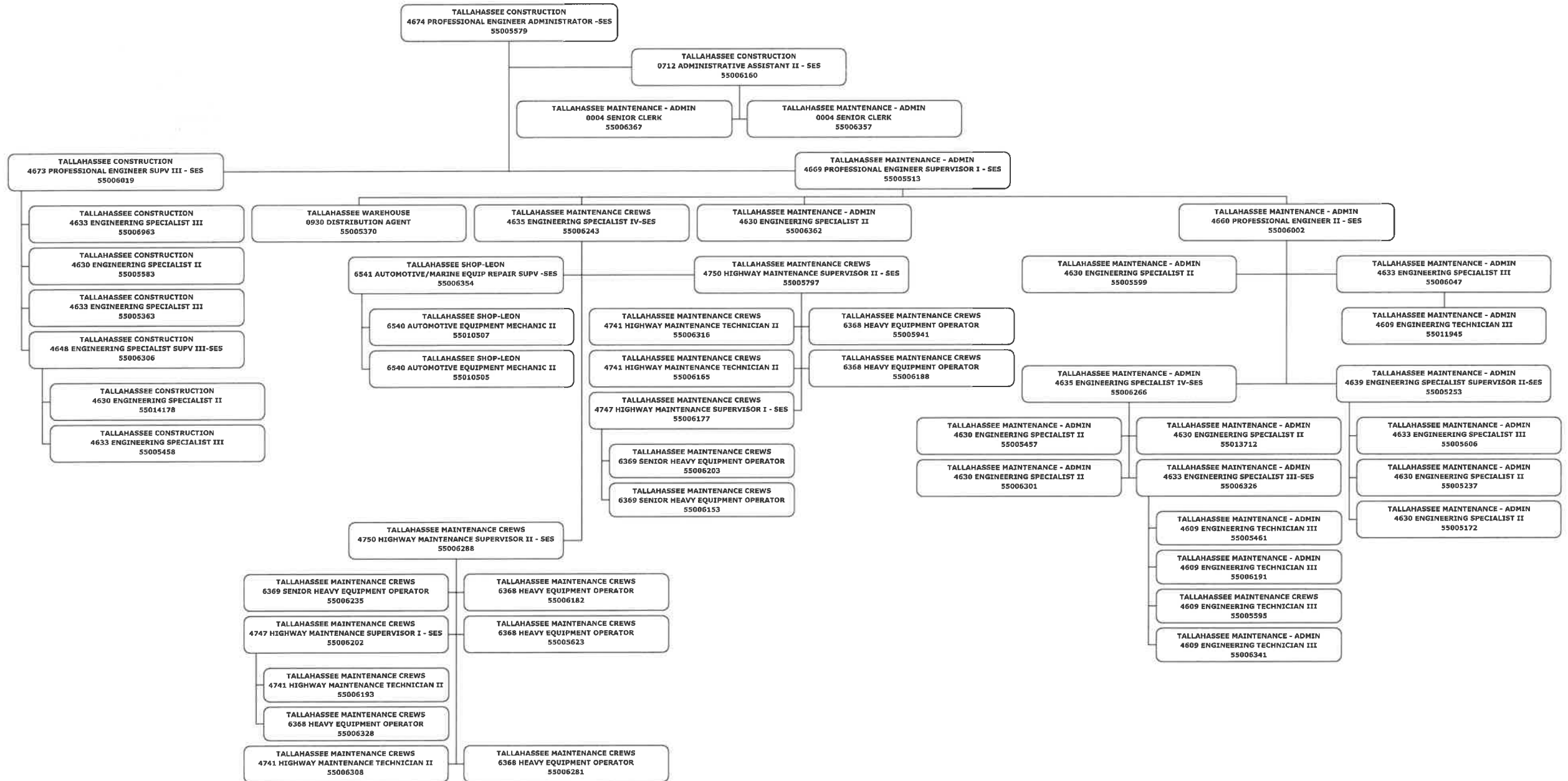
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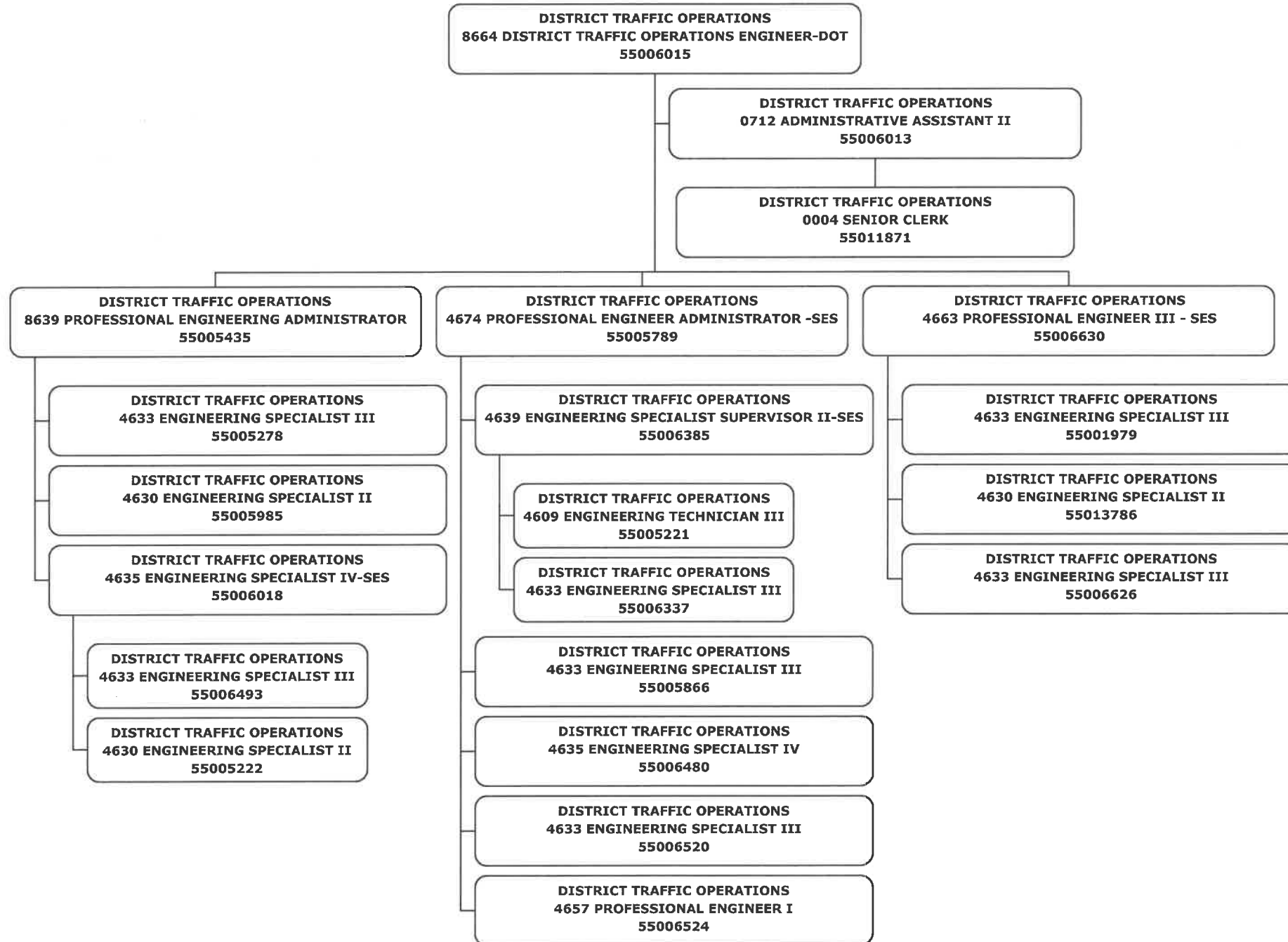


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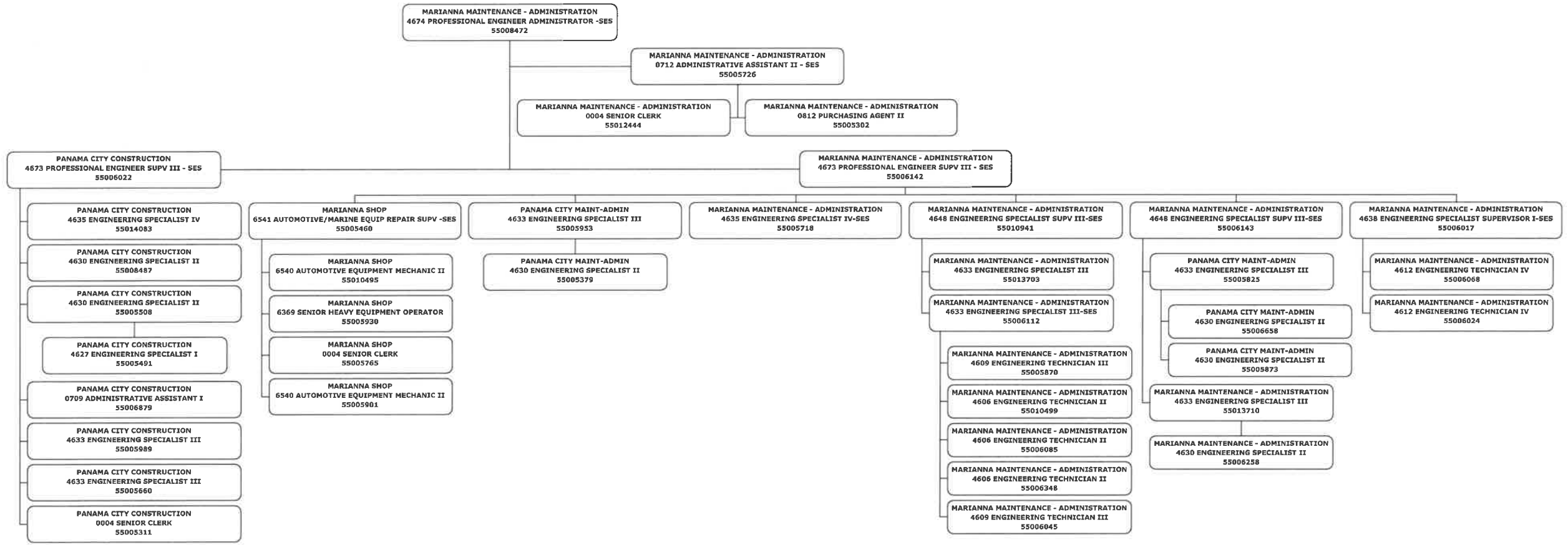


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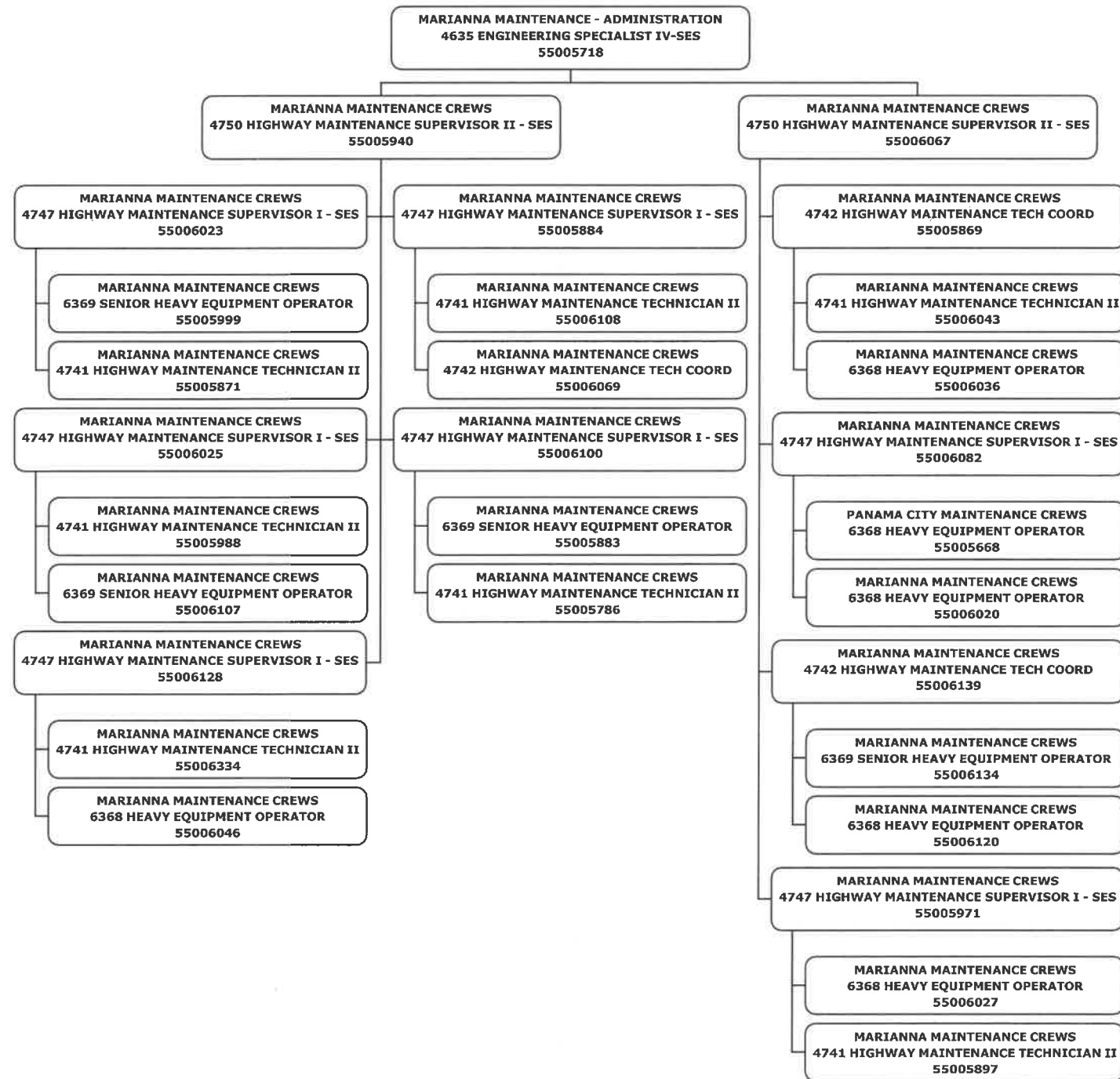


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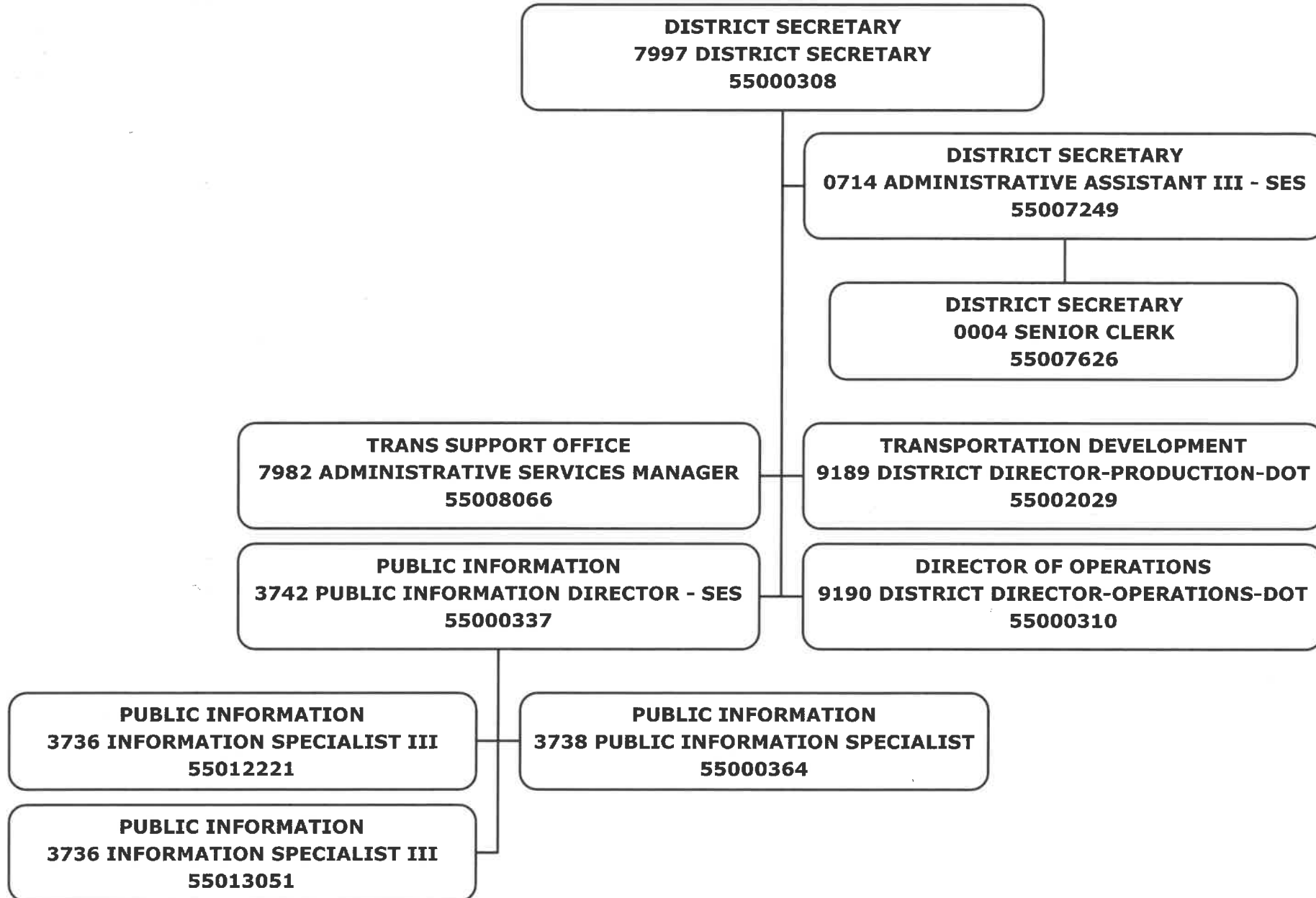
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FLORIDA DEPARTMENT OF TRANSPORTATION
DISTRICT THREE

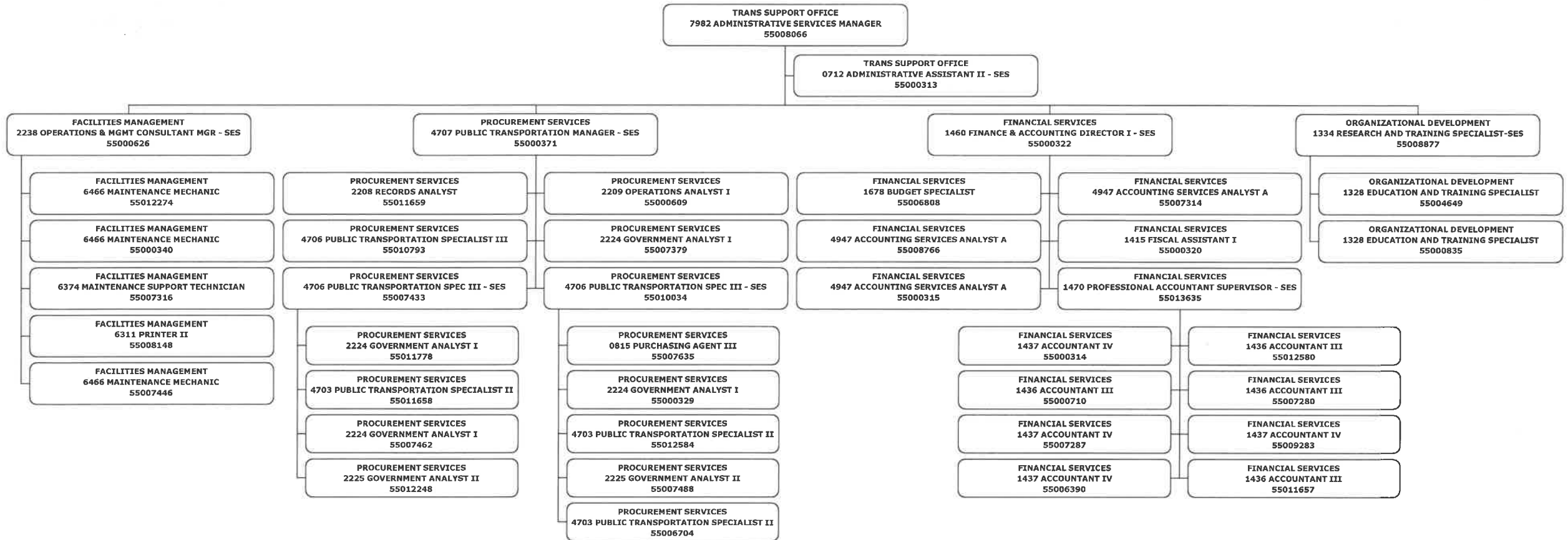


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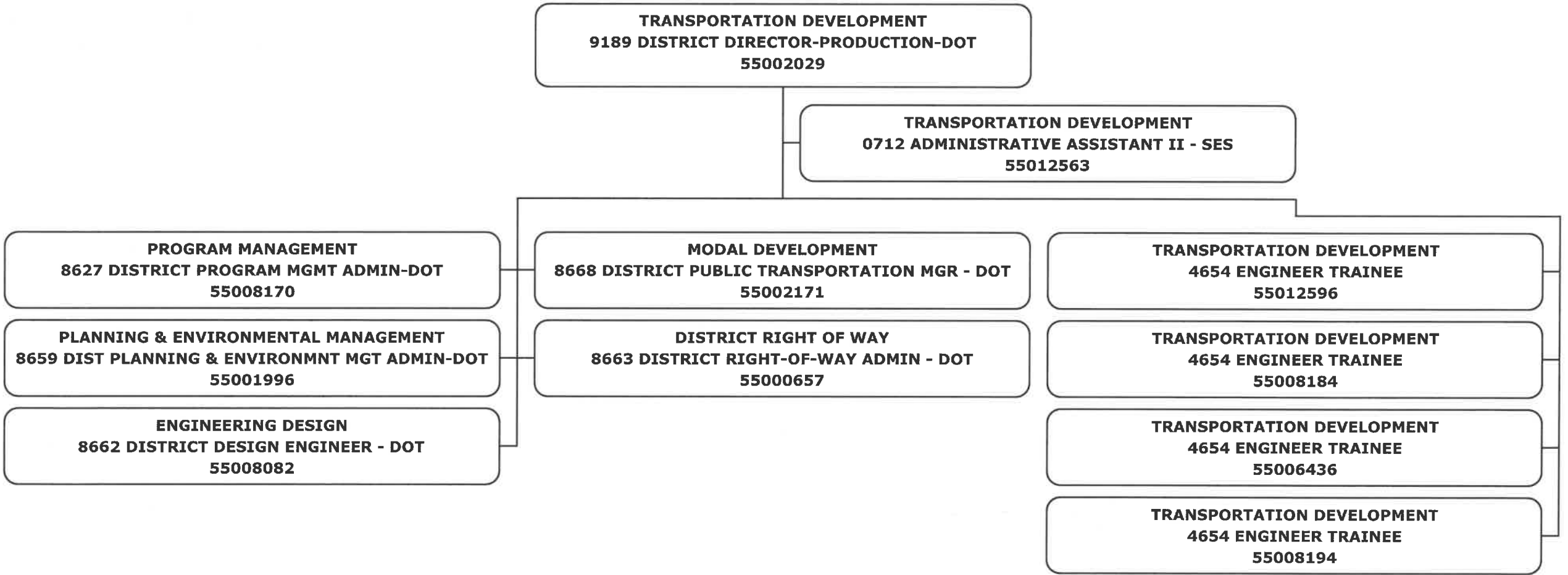


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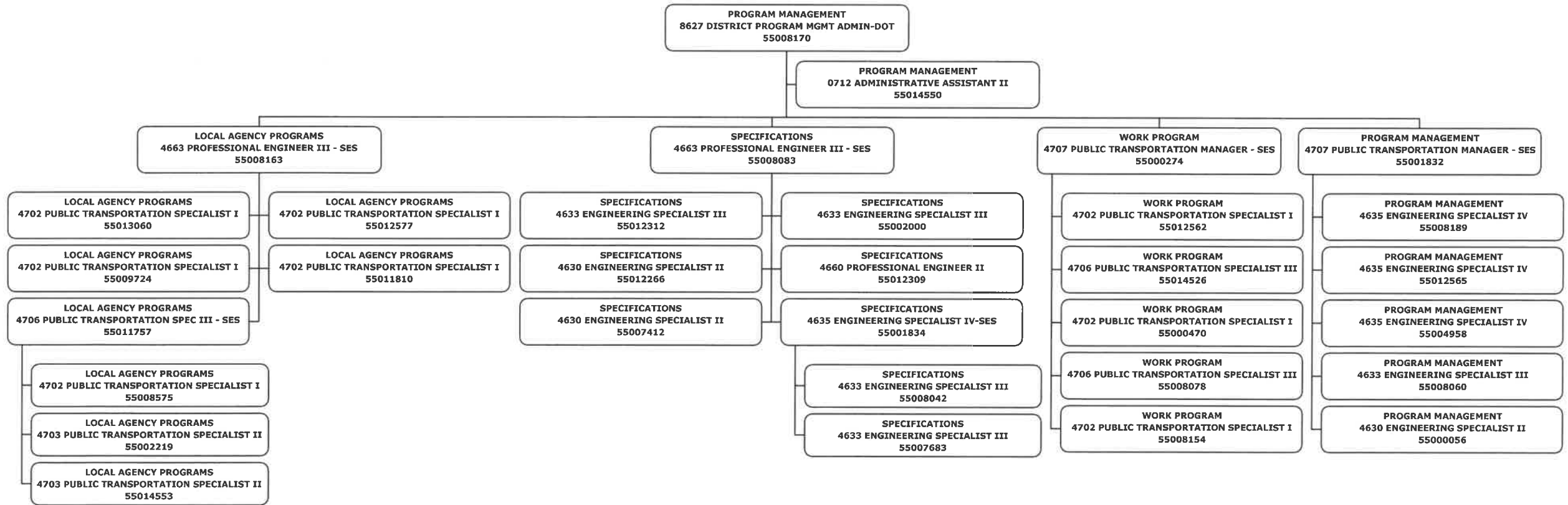


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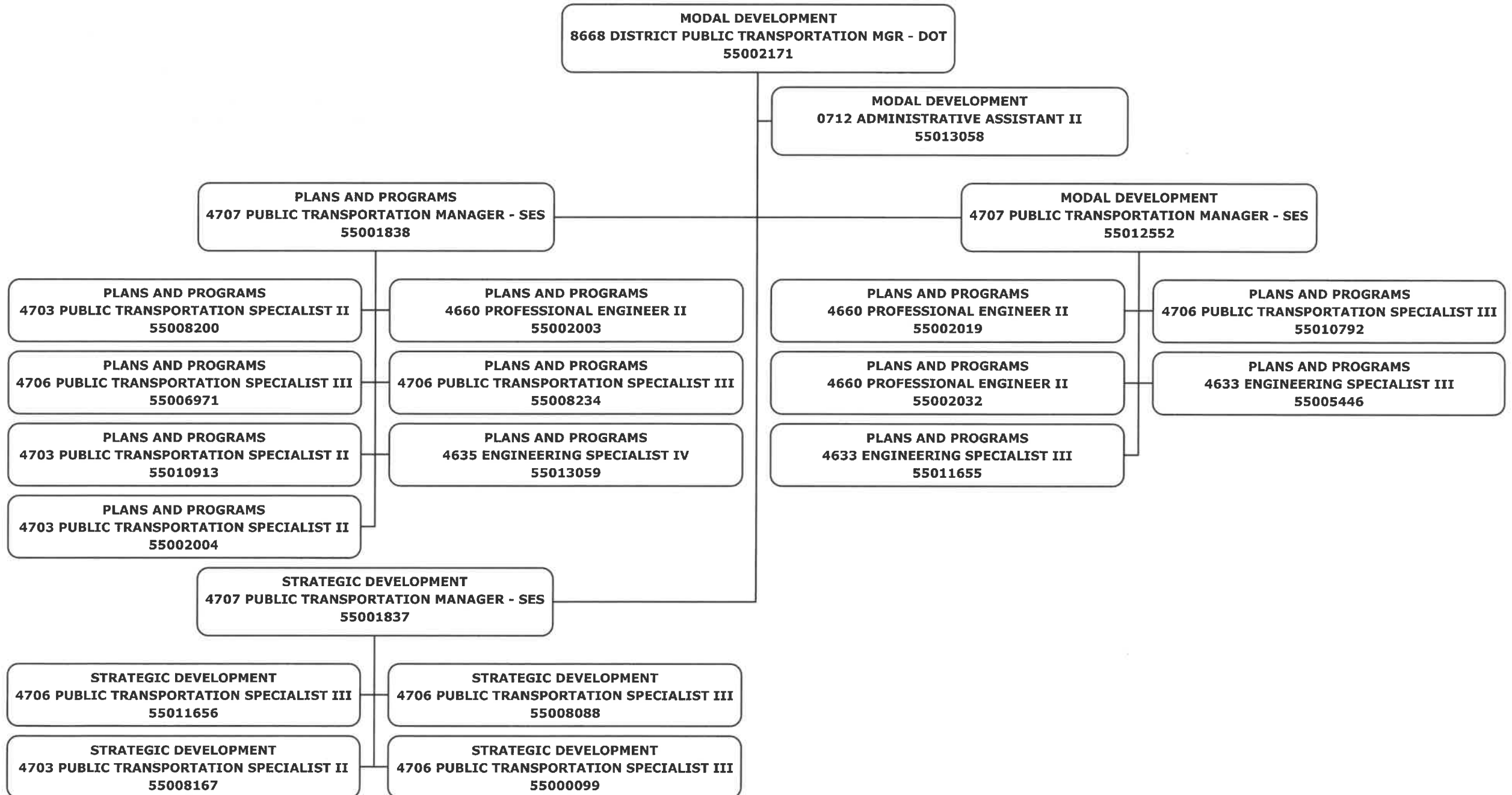
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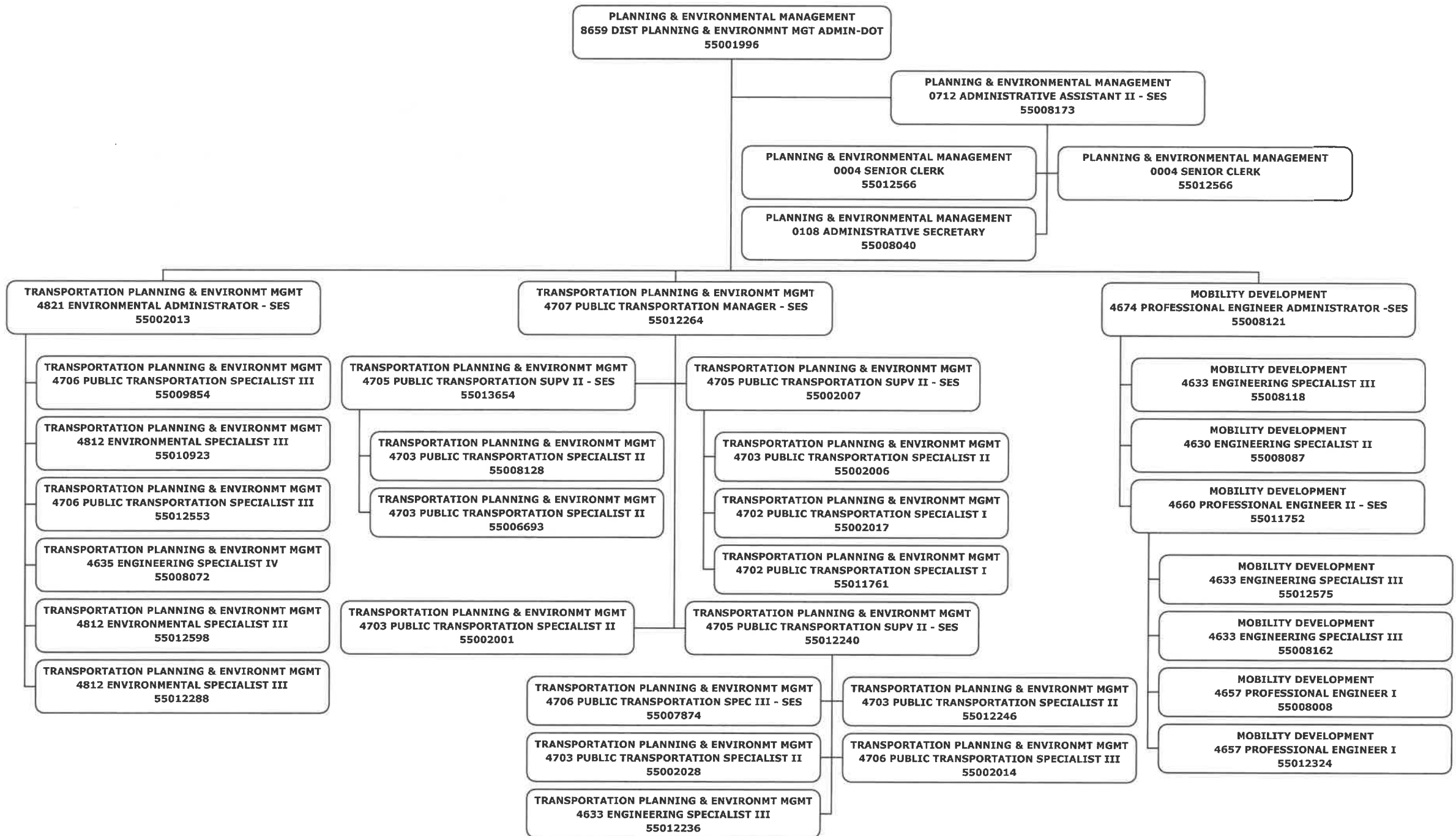
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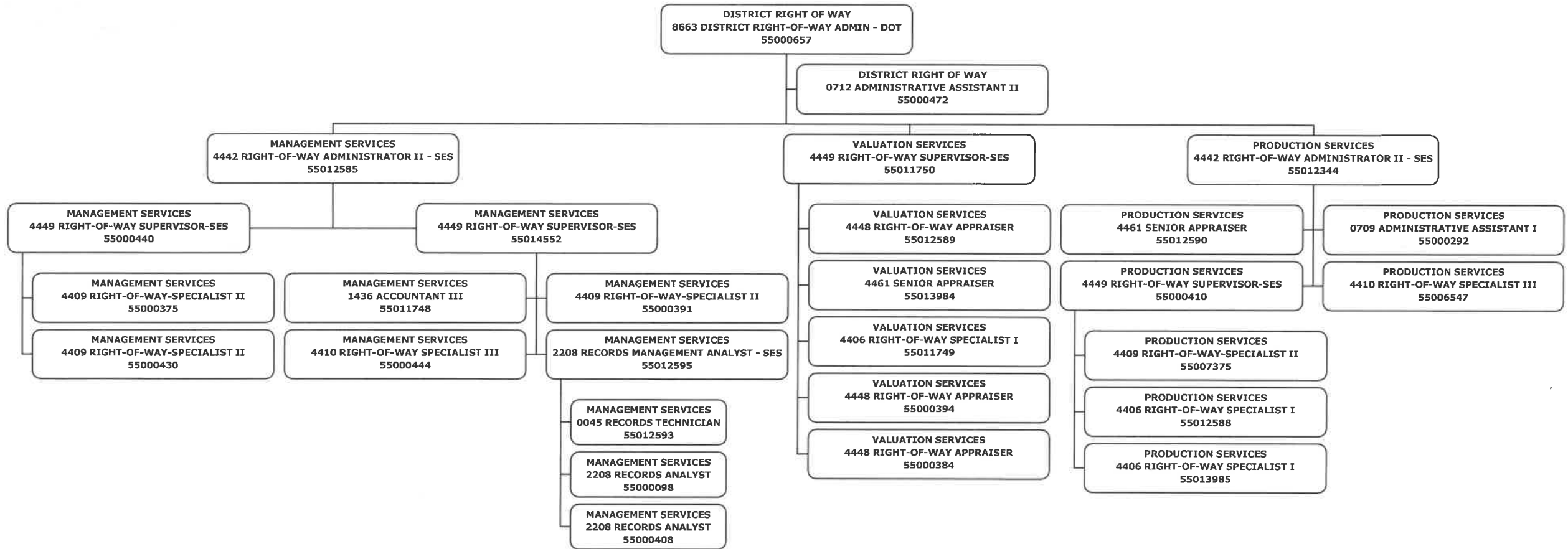
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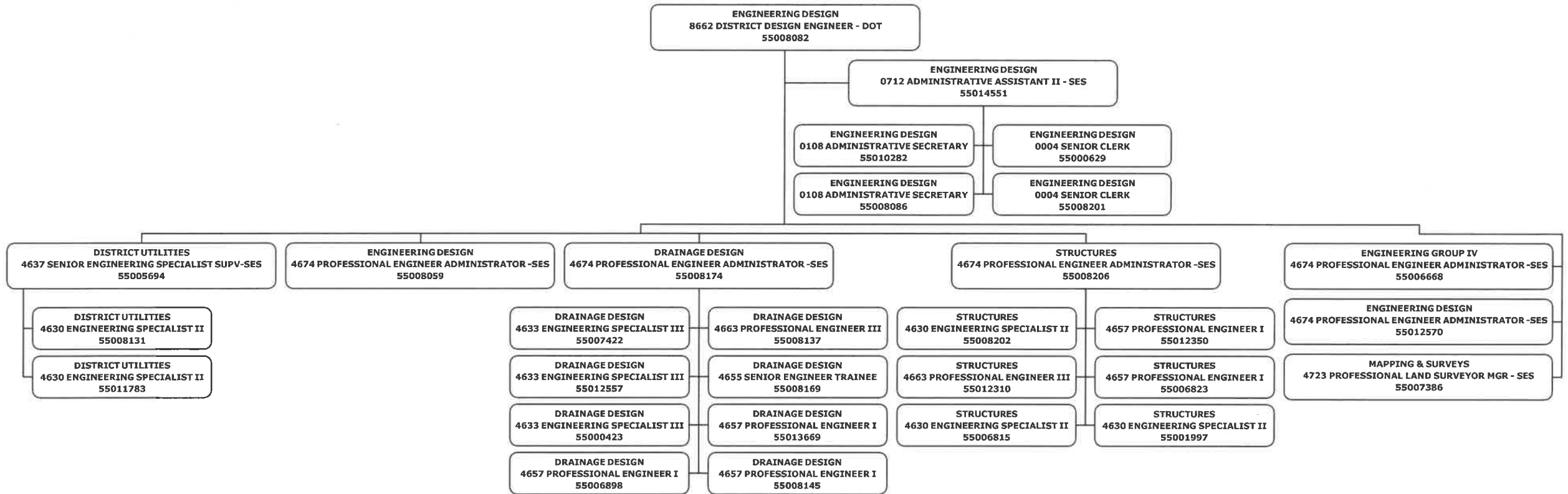
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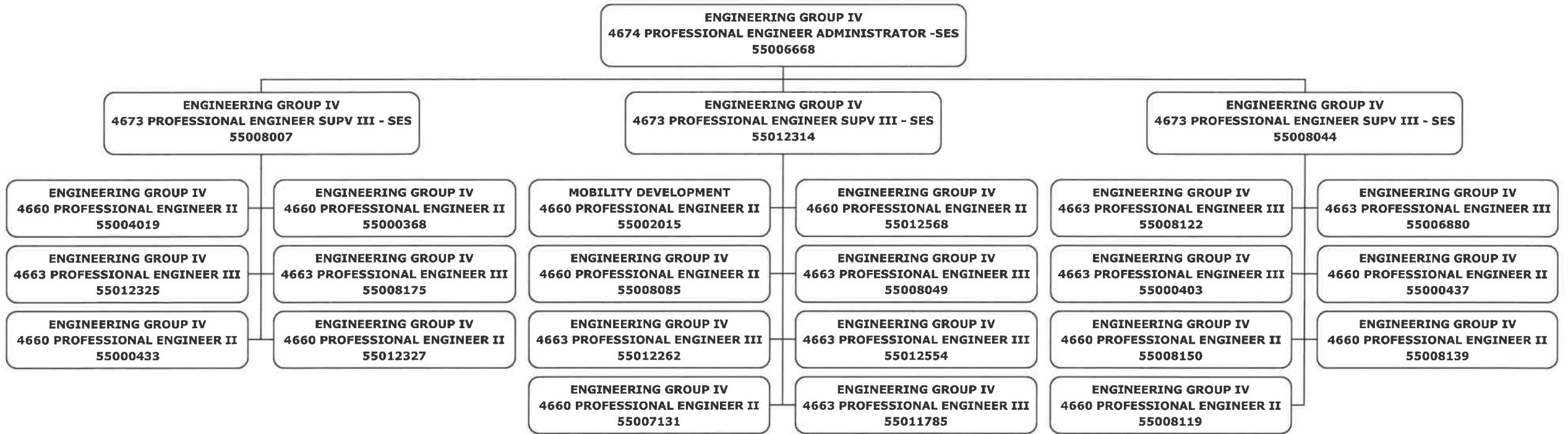


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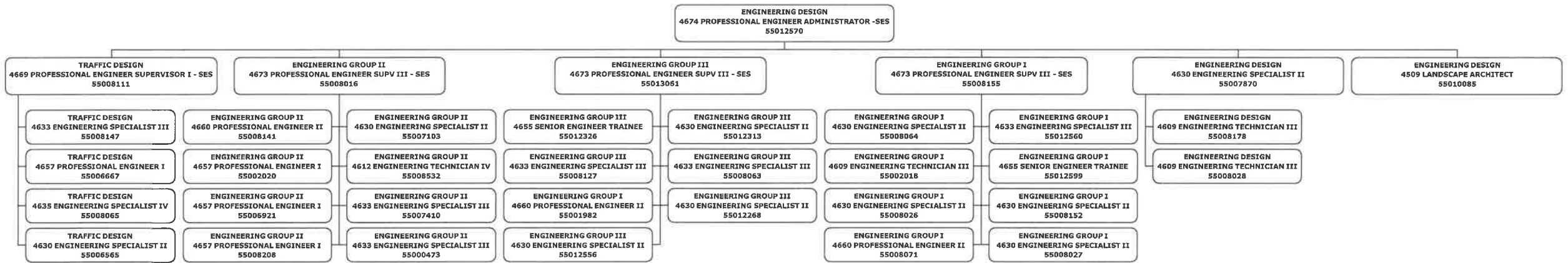


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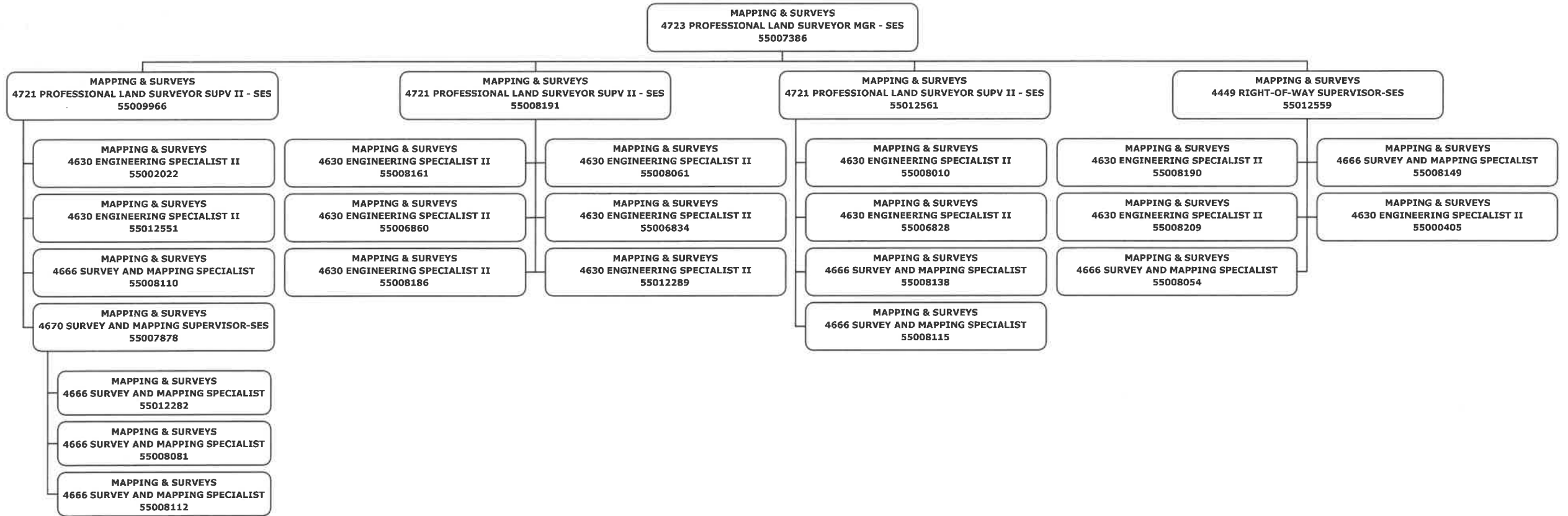
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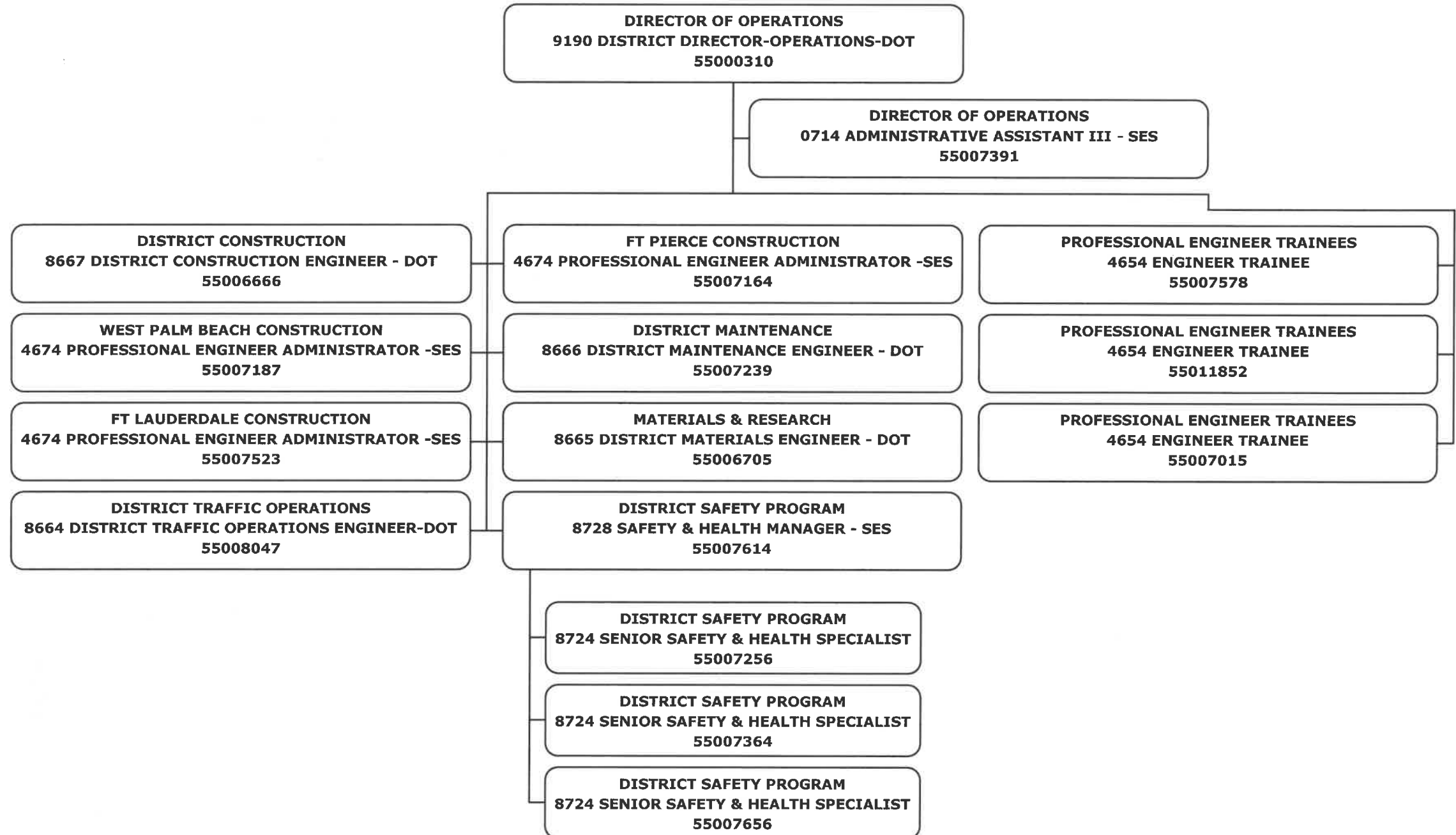


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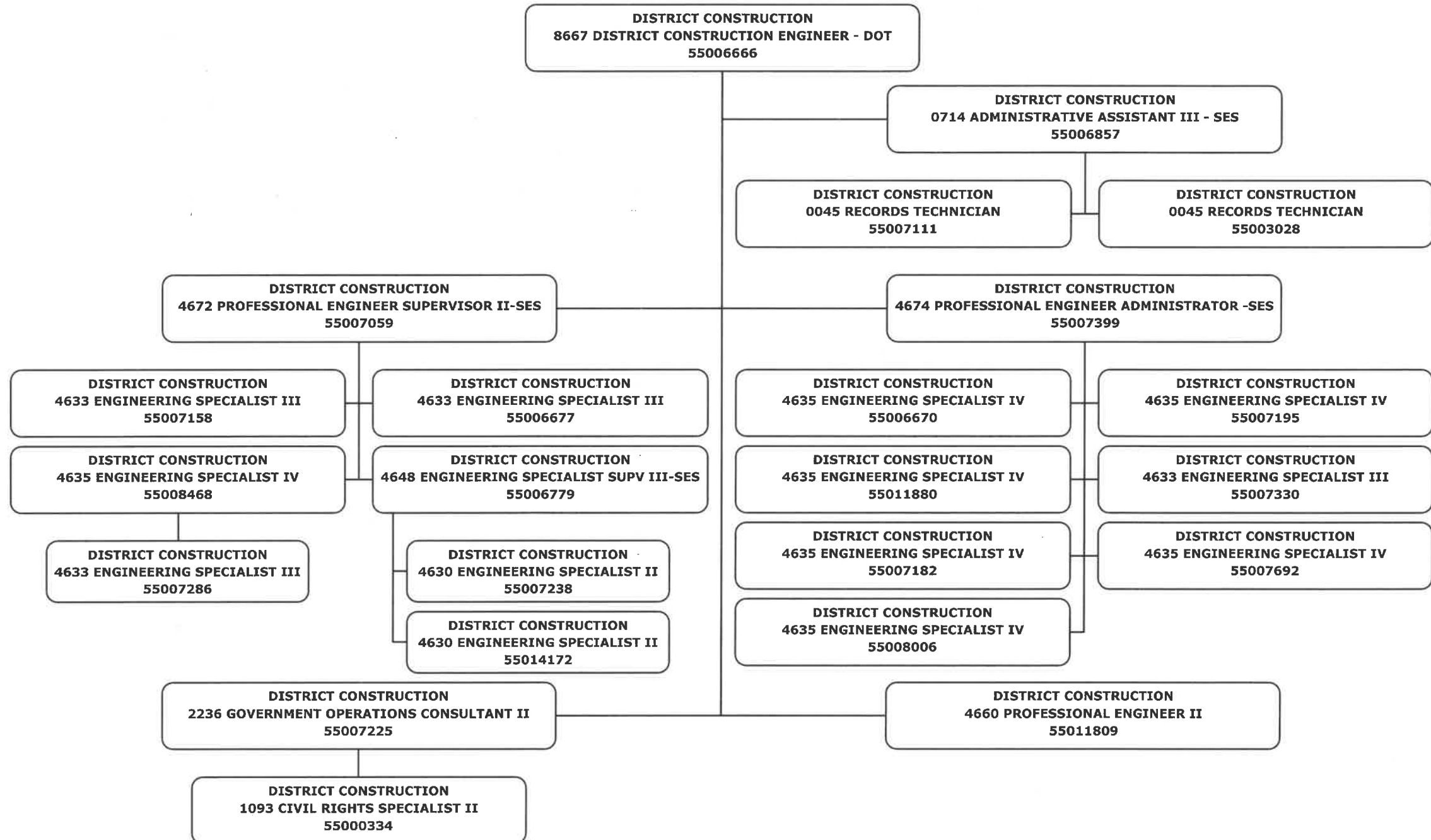
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FLORIDA DEPARTMENT OF TRANSPORTATION
DISTRICT FOUR

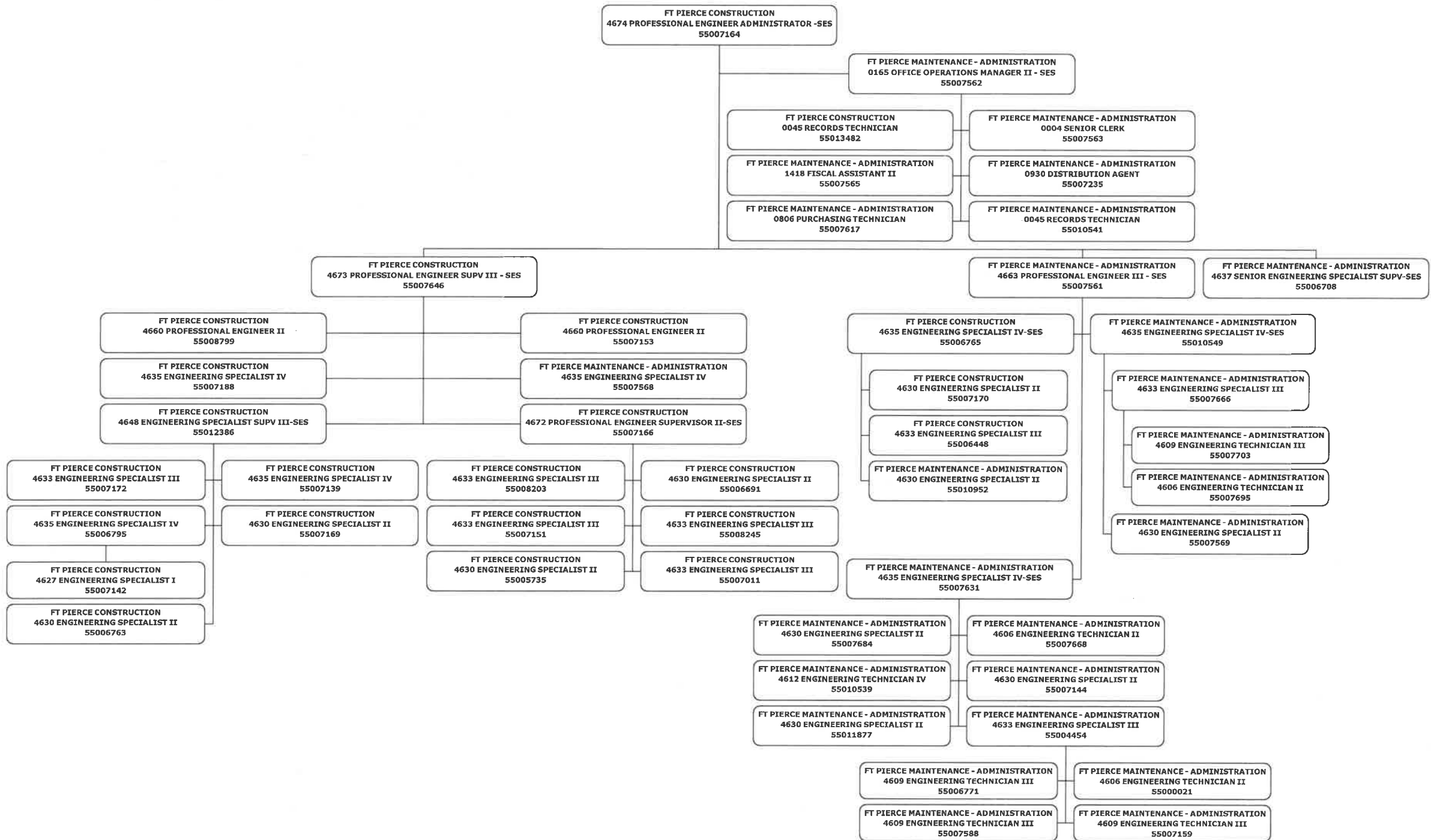


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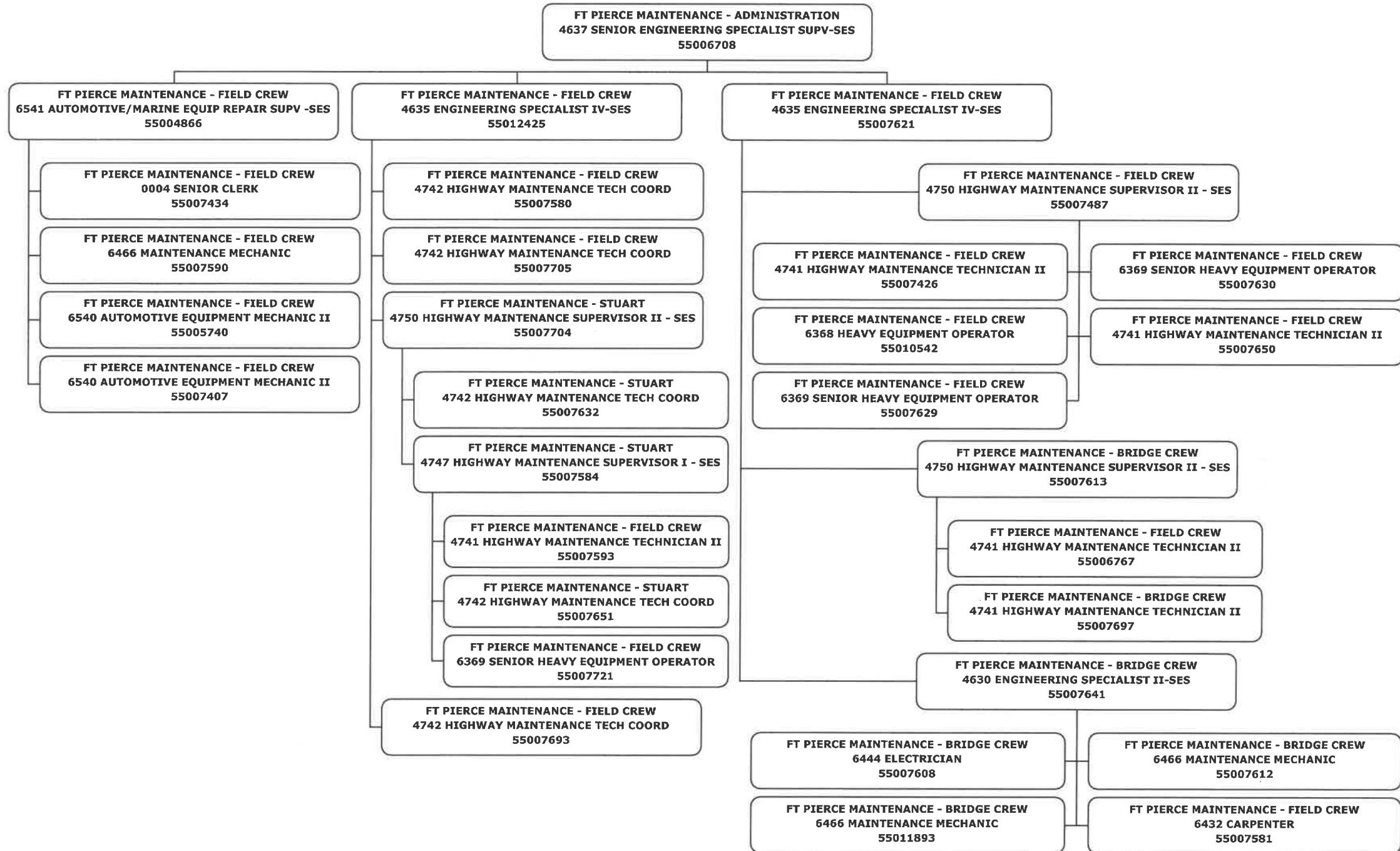
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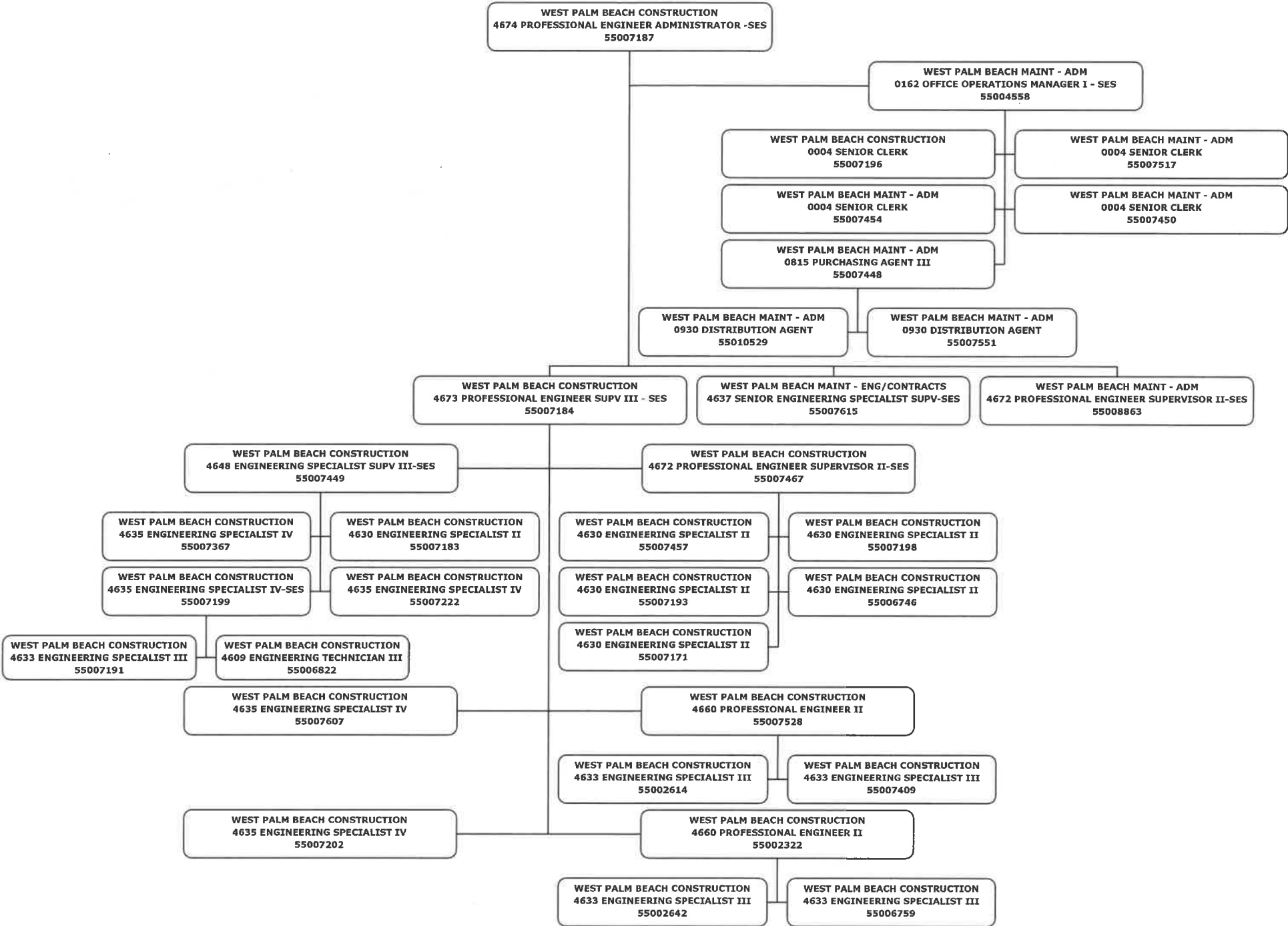
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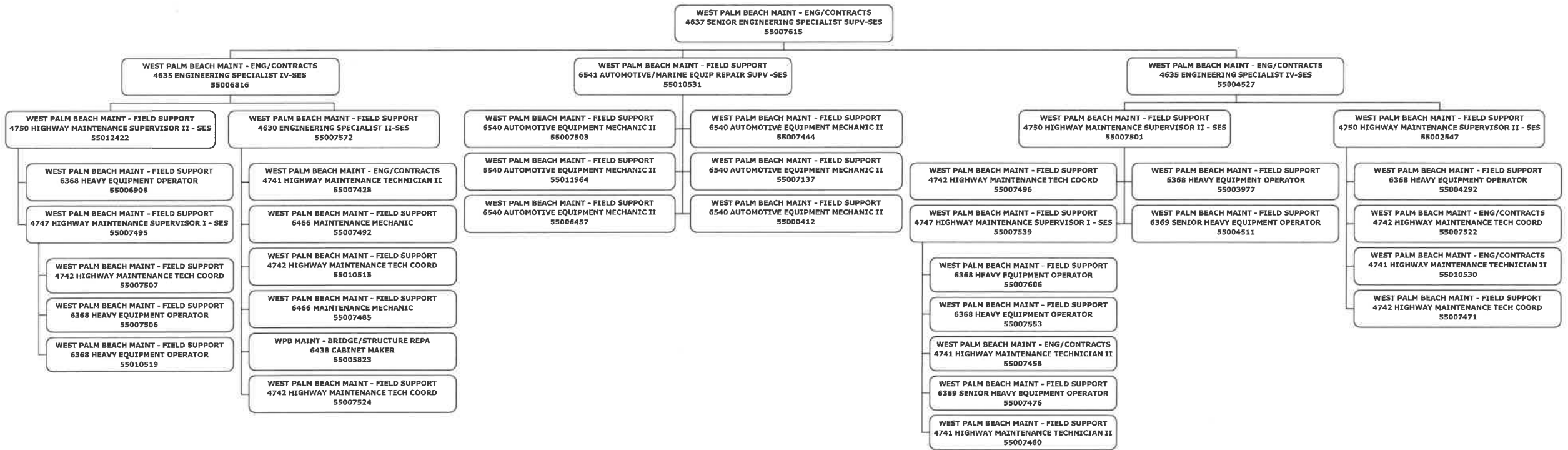
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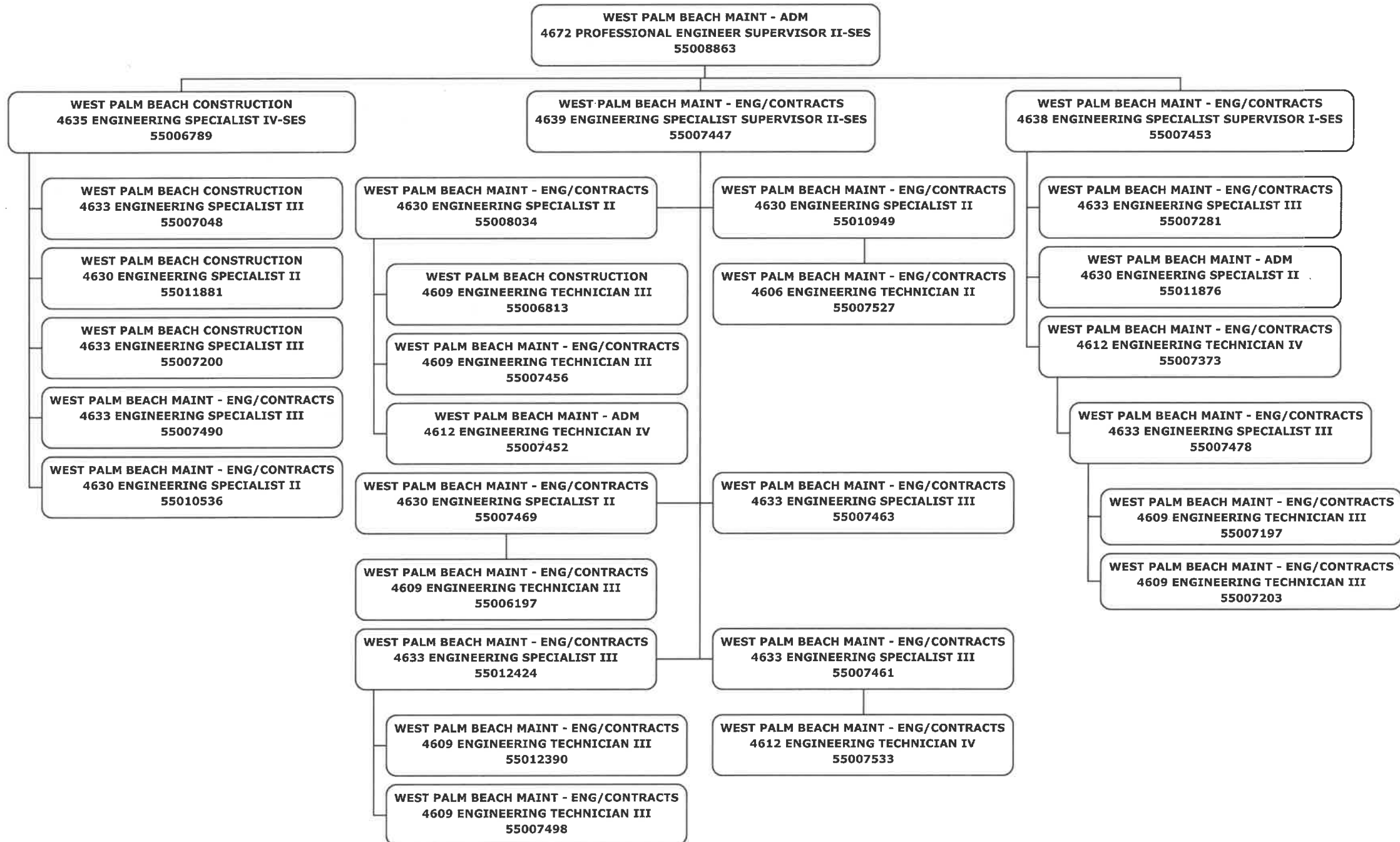
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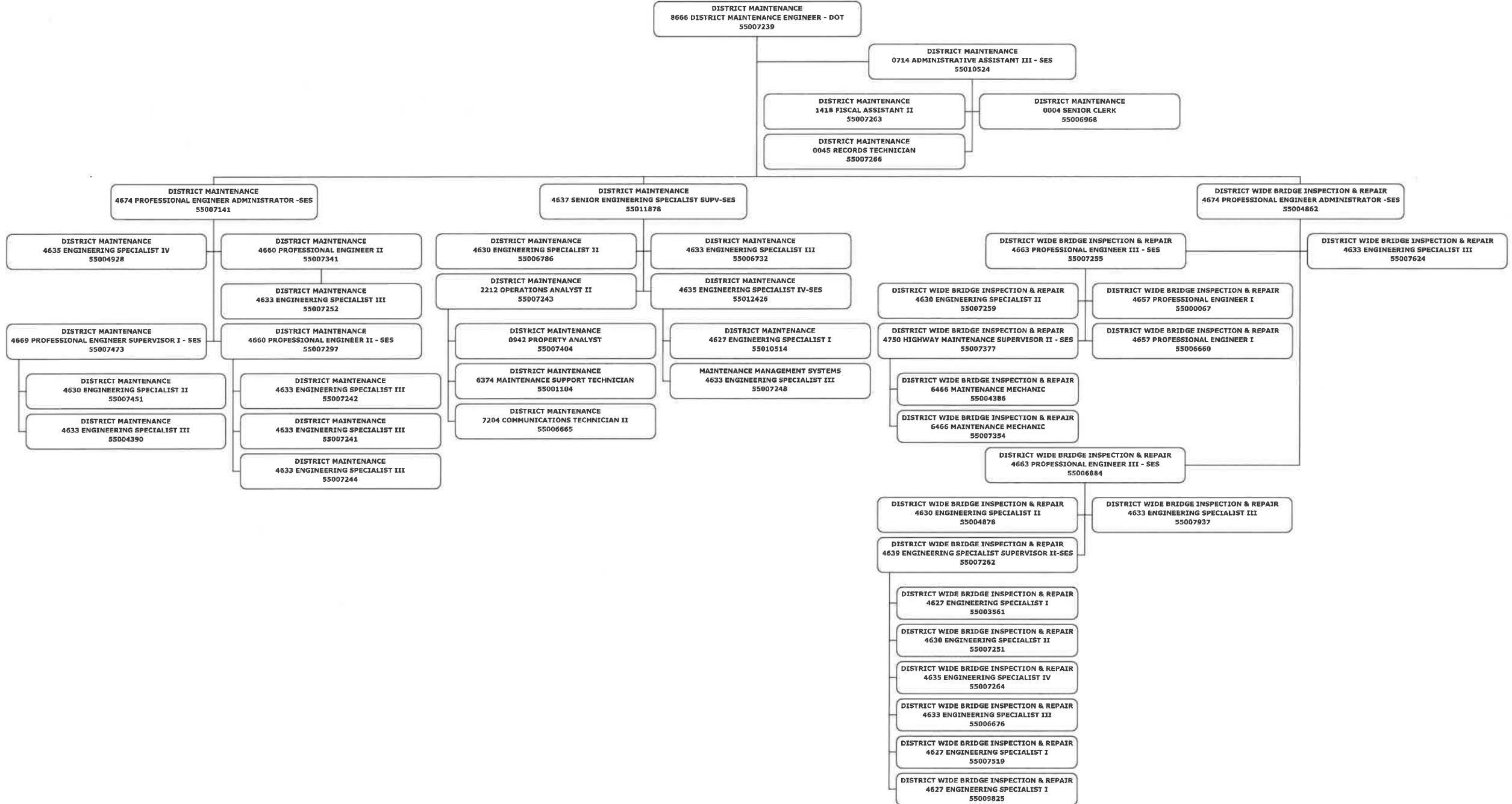
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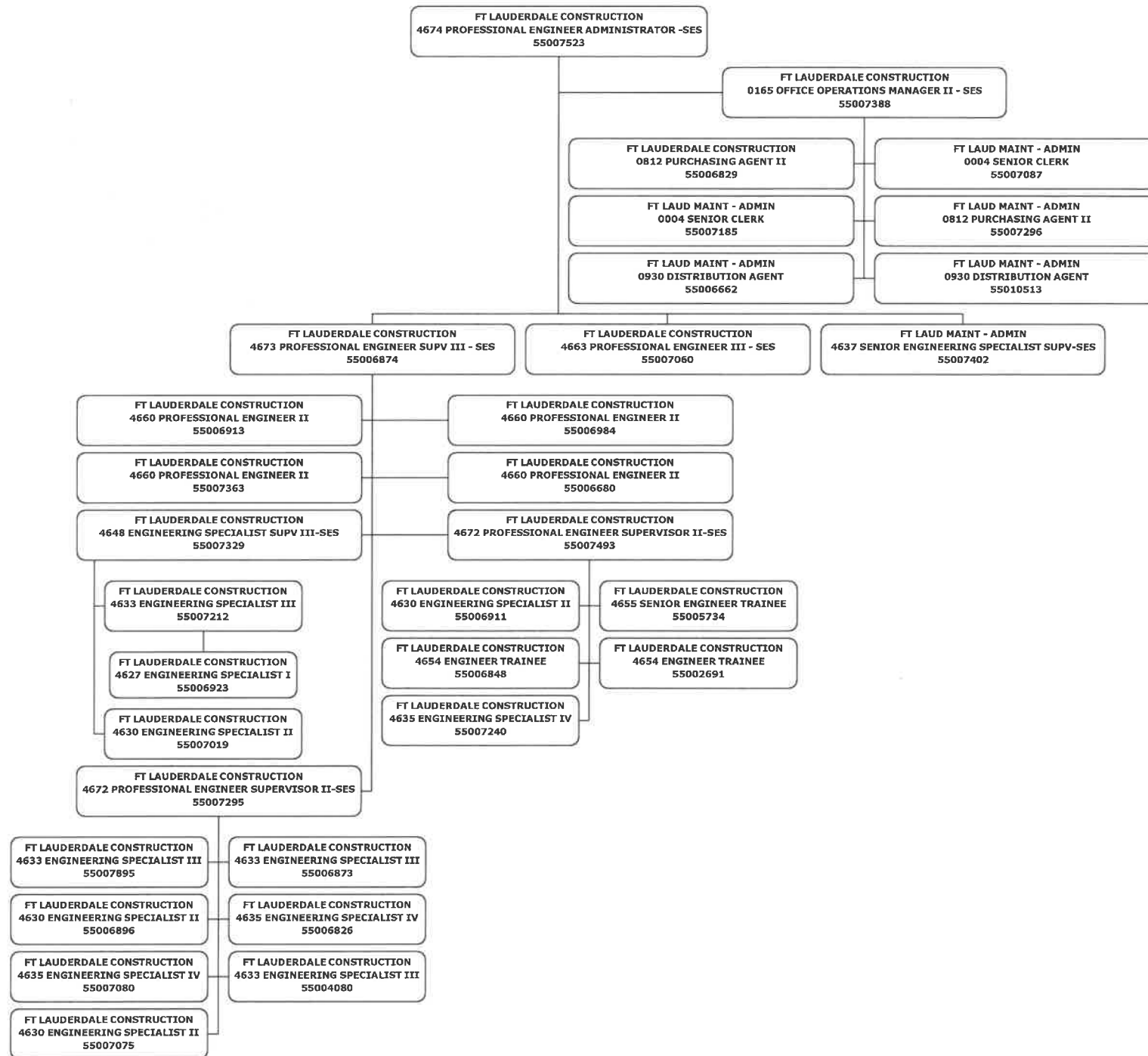


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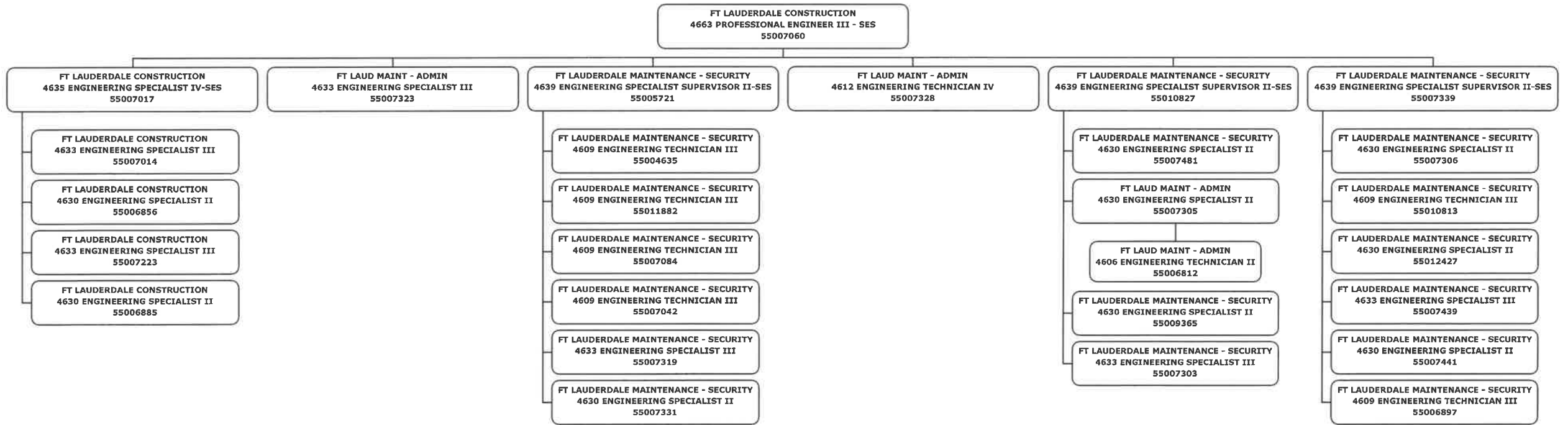


FLORIDA DEPARTMENT OF TRANSPORTATION DISTRICT FOUR



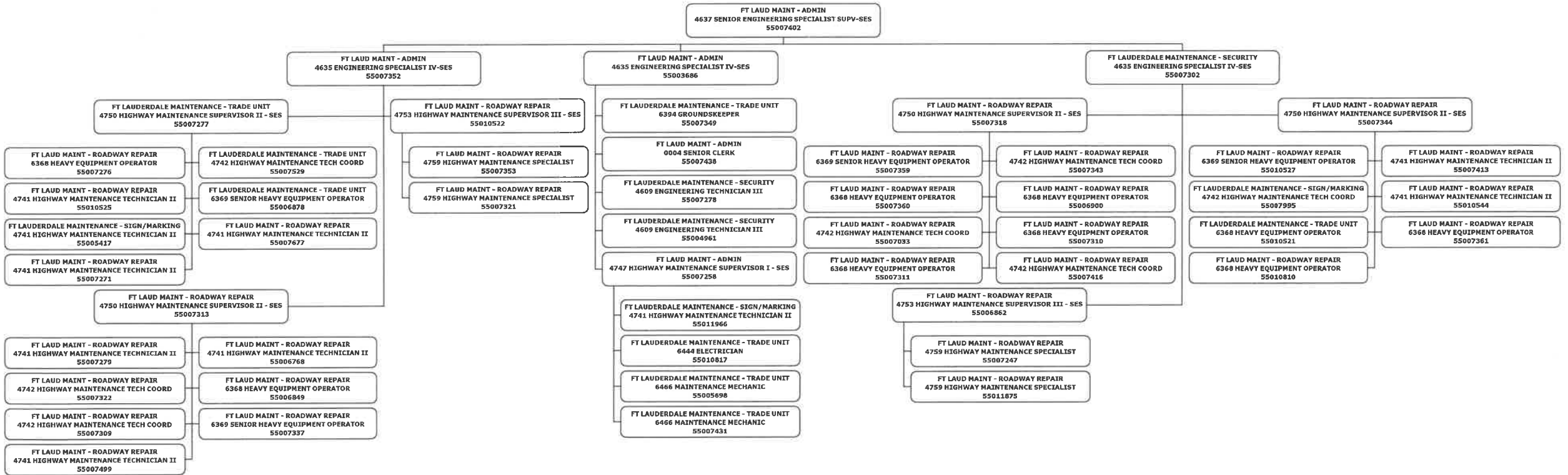
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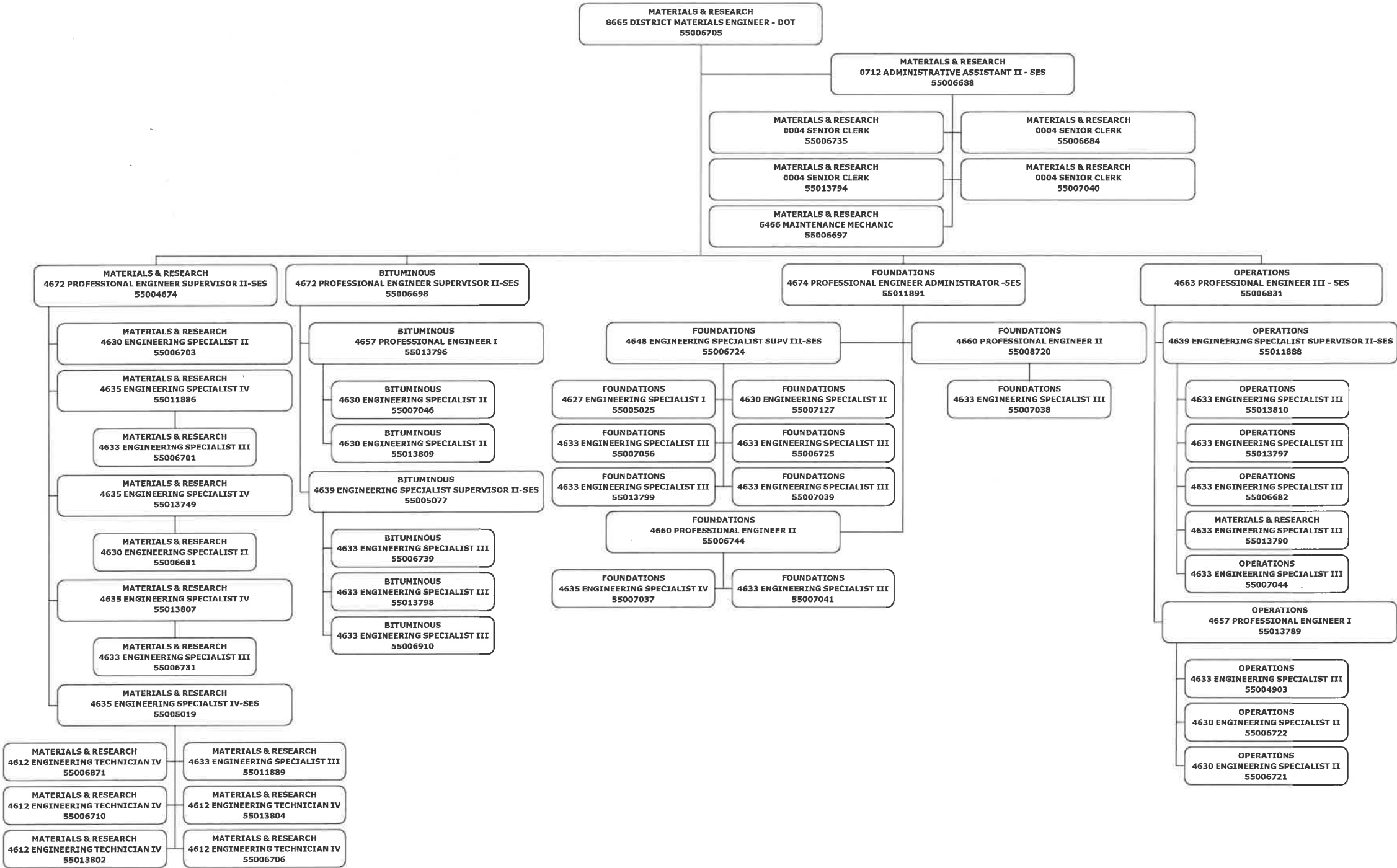
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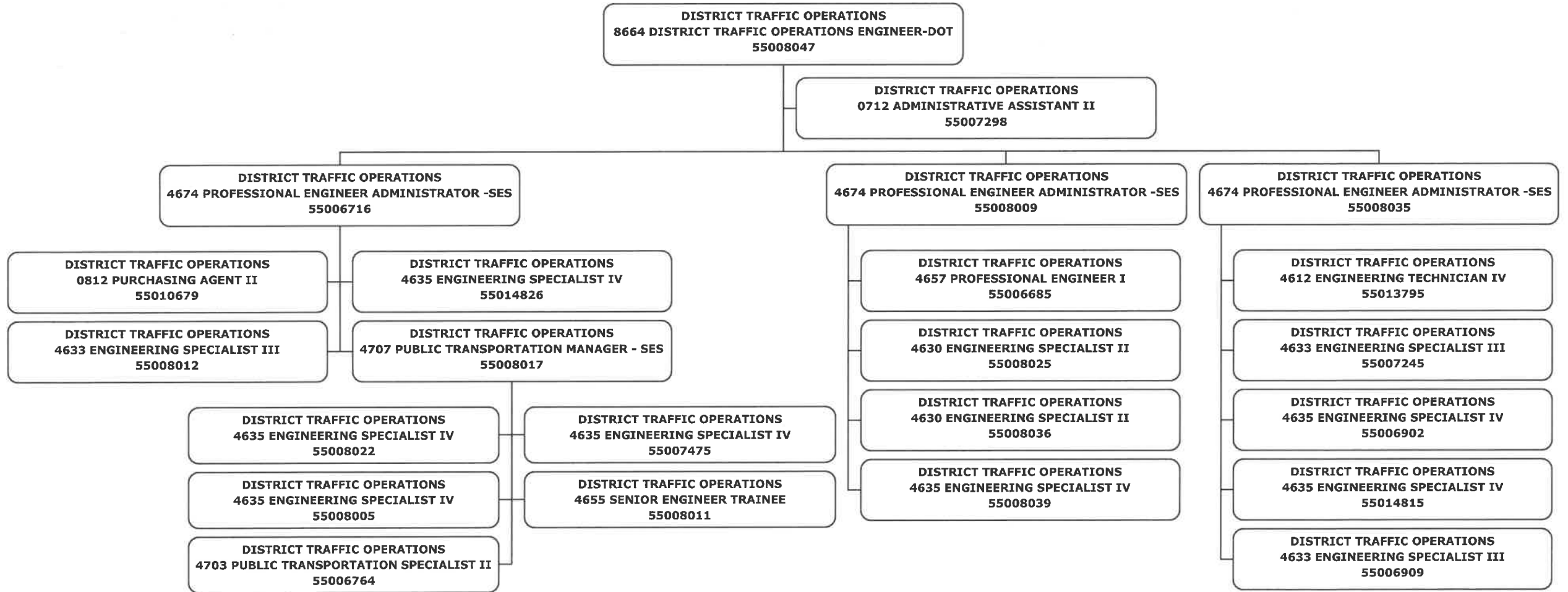


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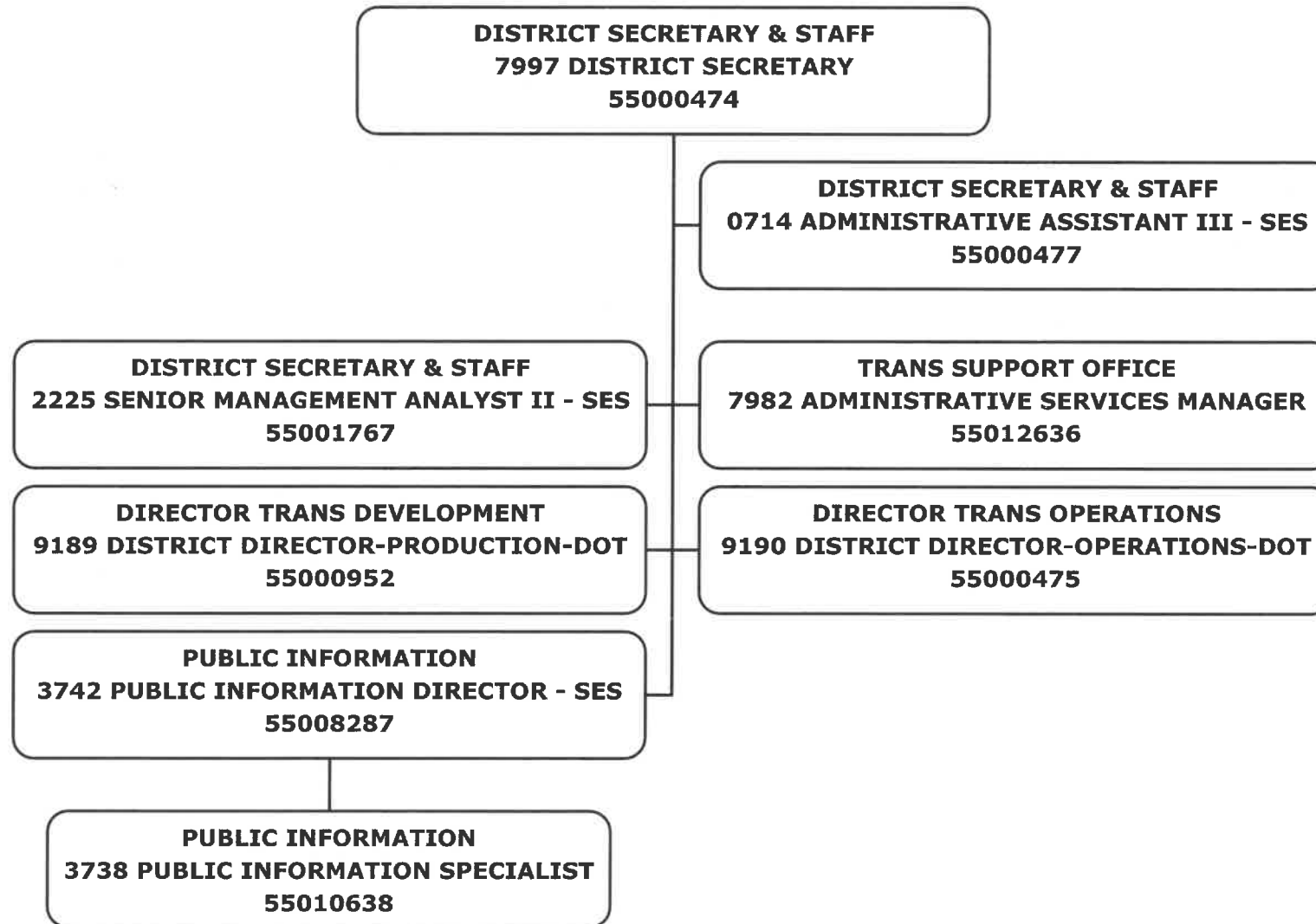
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FLORIDA DEPARTMENT OF TRANSPORTATION
DISTRICT FOUR

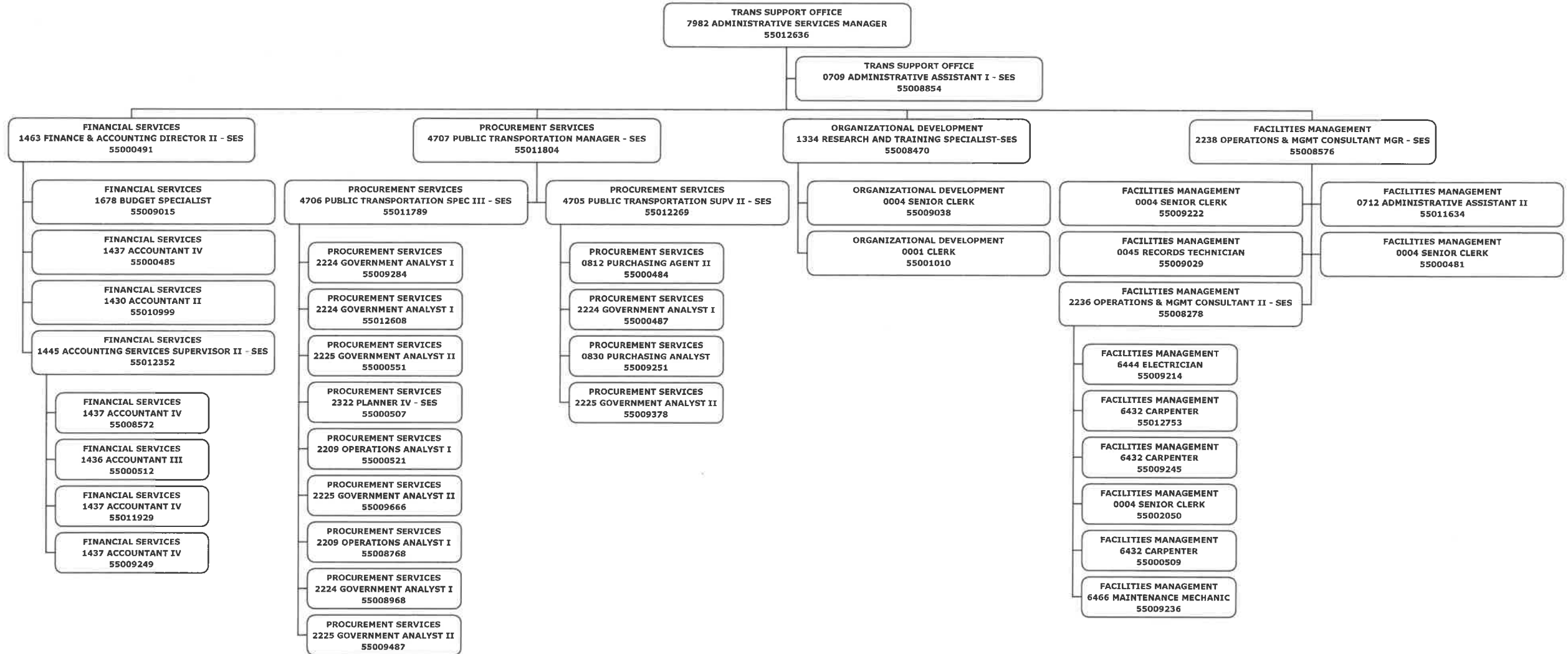


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DISTRICT FIVE

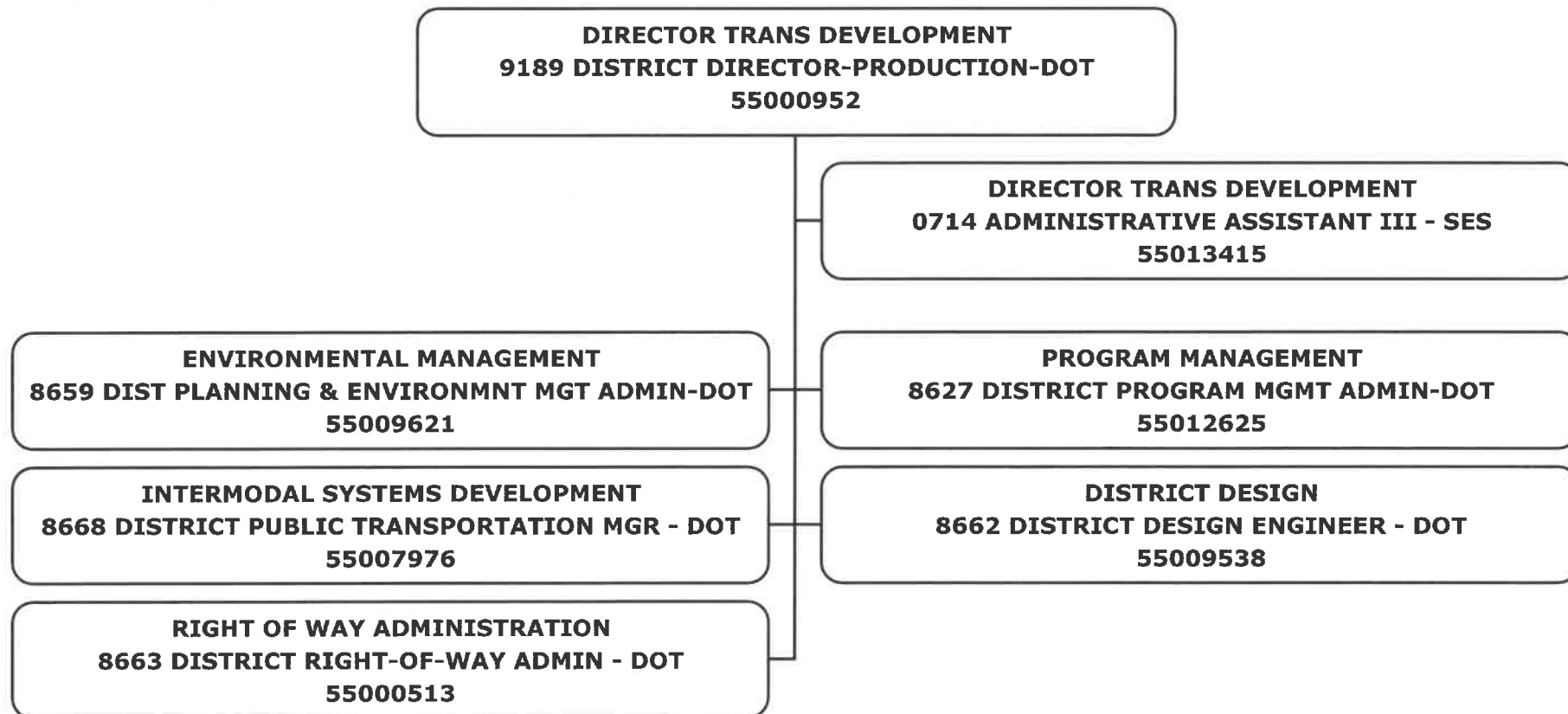


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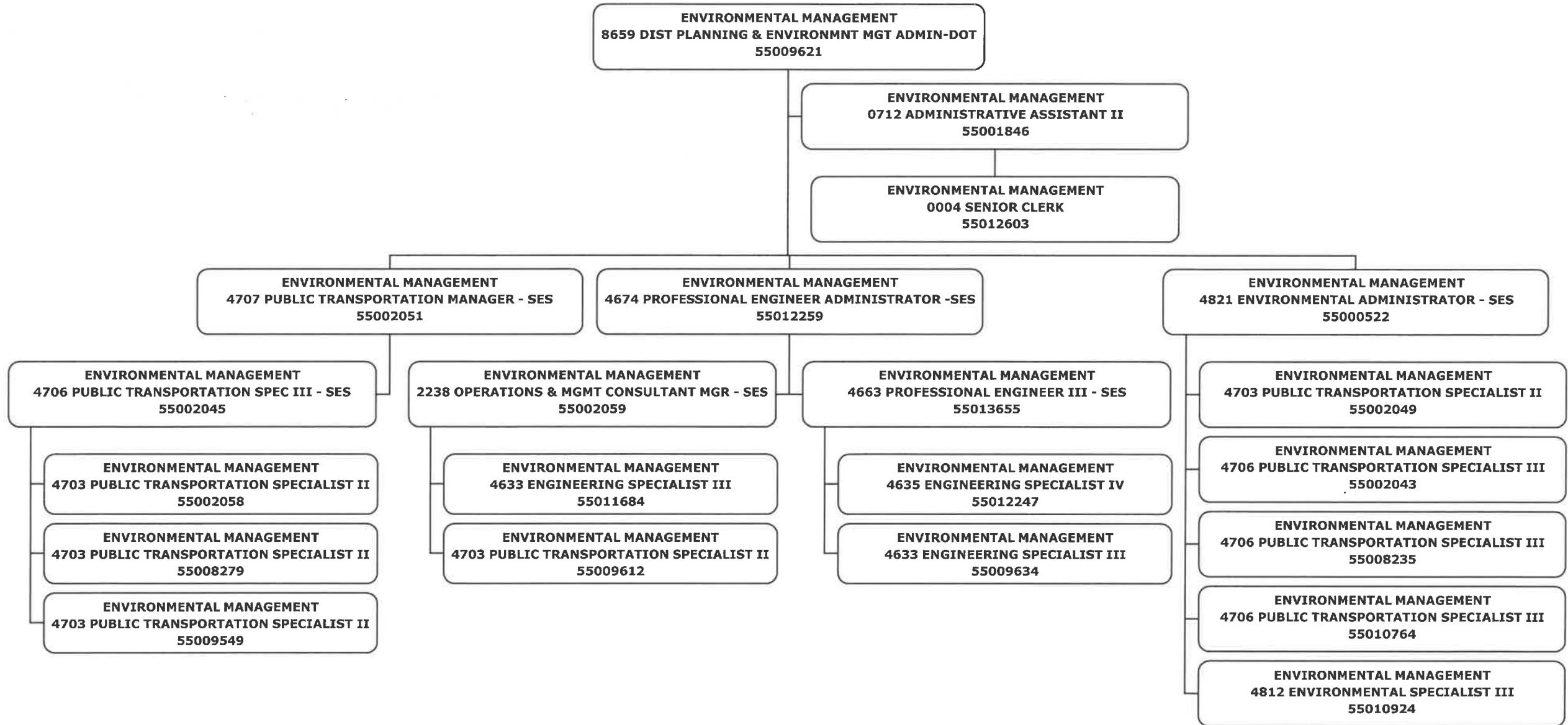
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FLORIDA DEPARTMENT OF TRANSPORTATION
DISTRICT FIVE

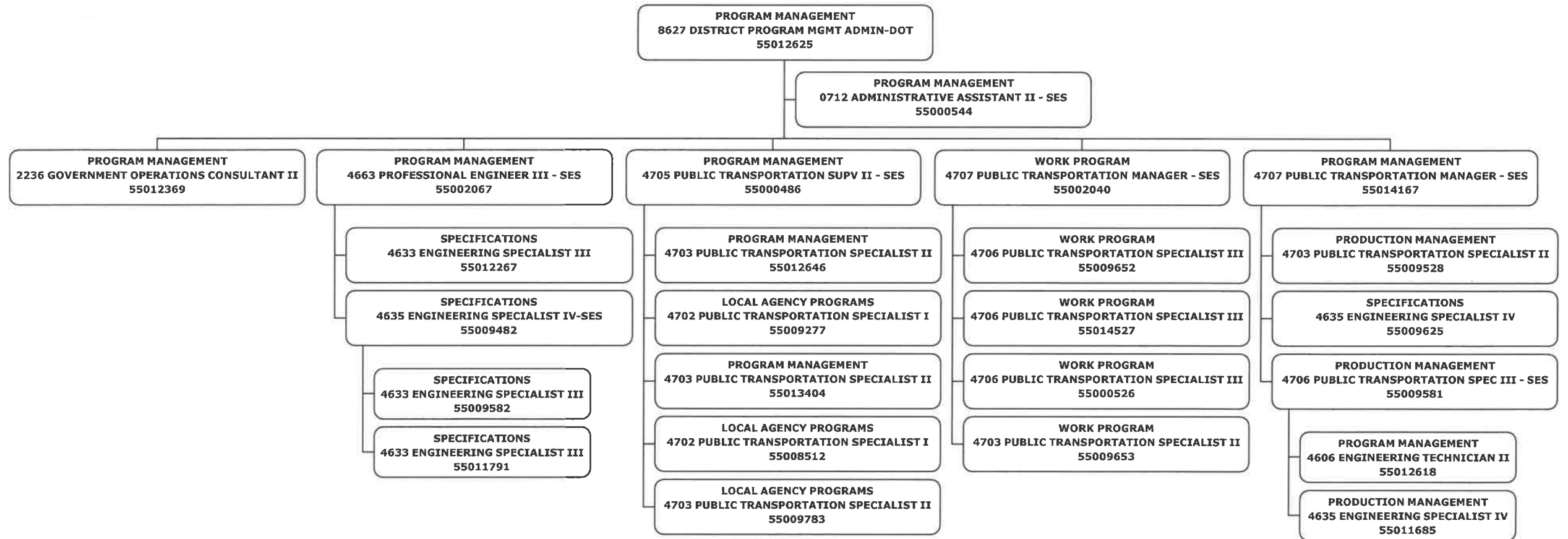


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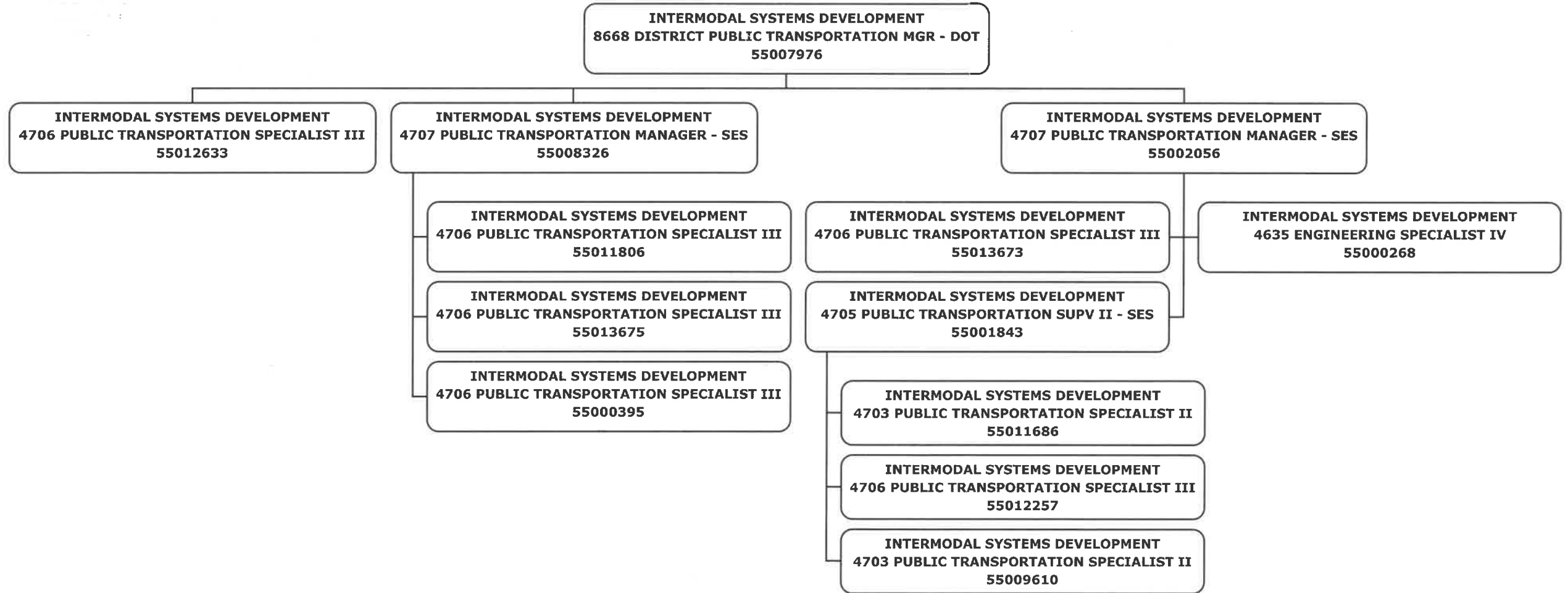


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DISTRICT FIVE

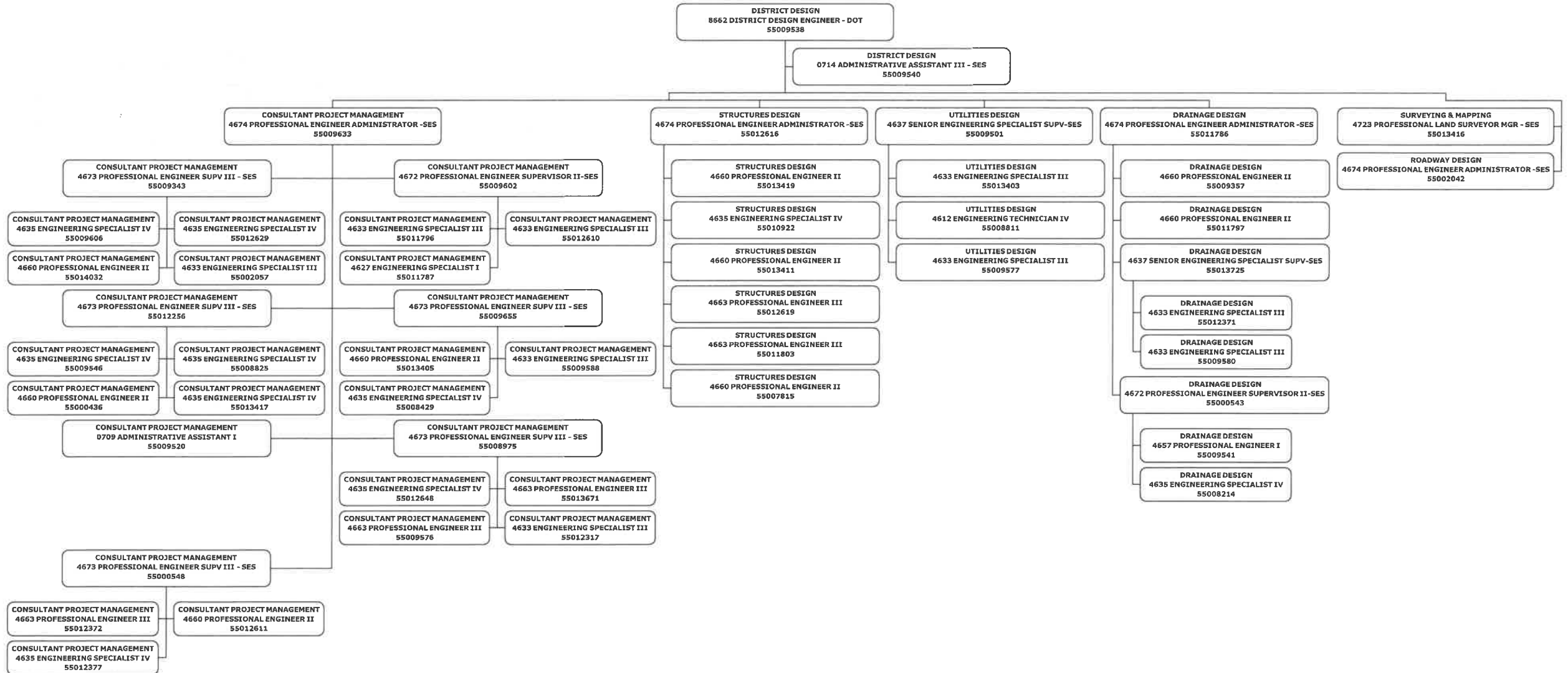


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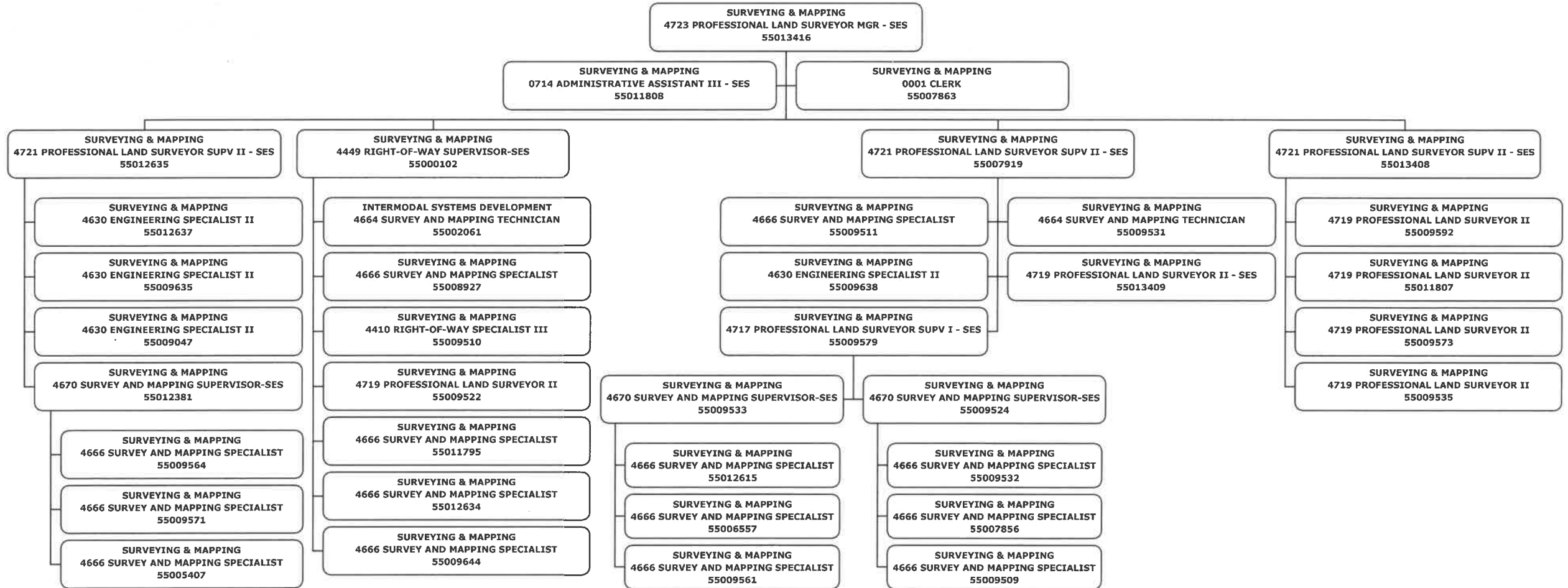
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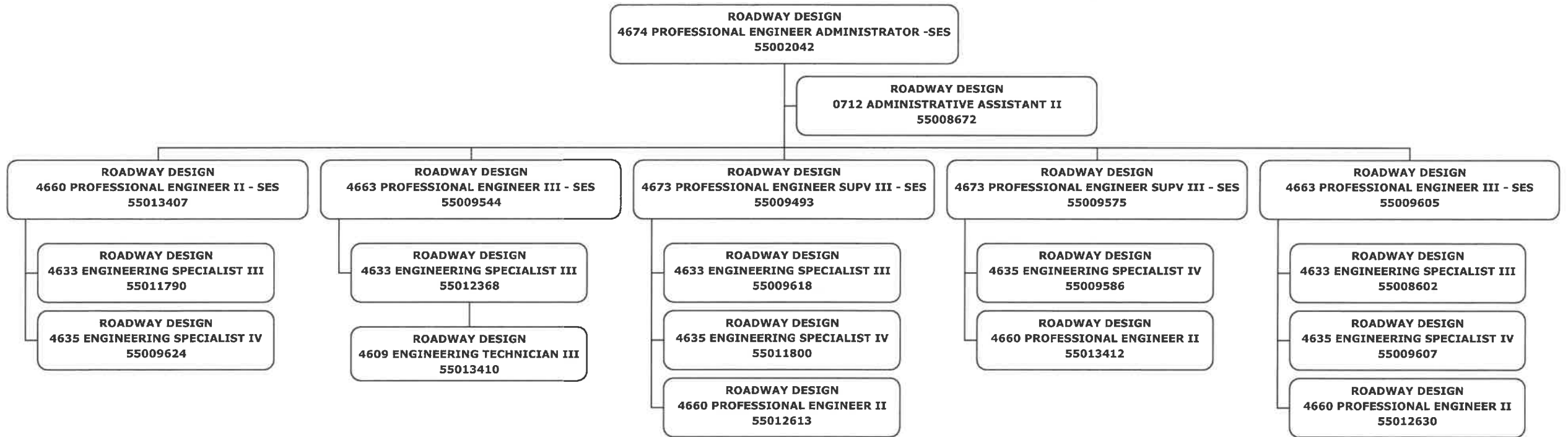


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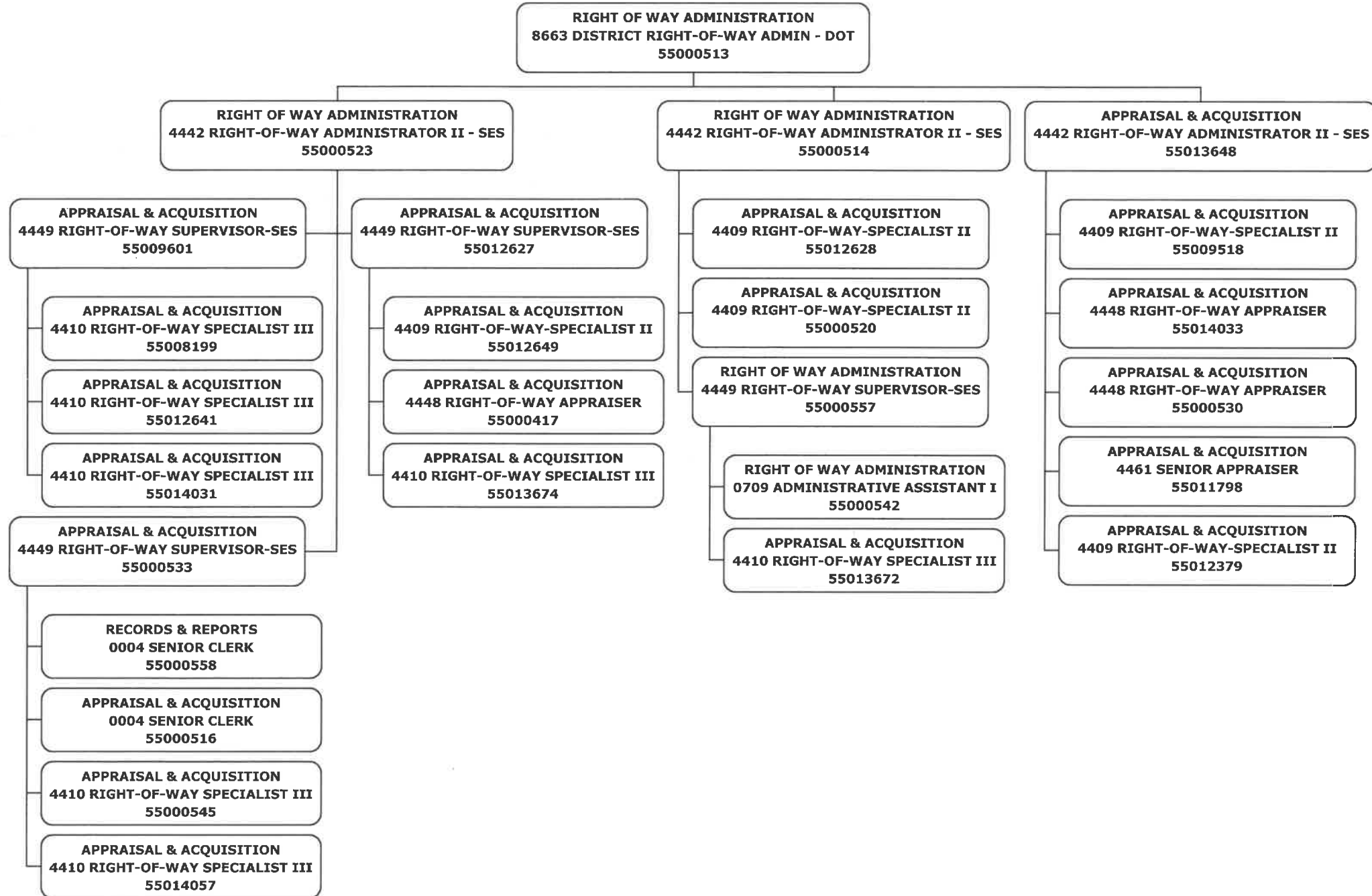
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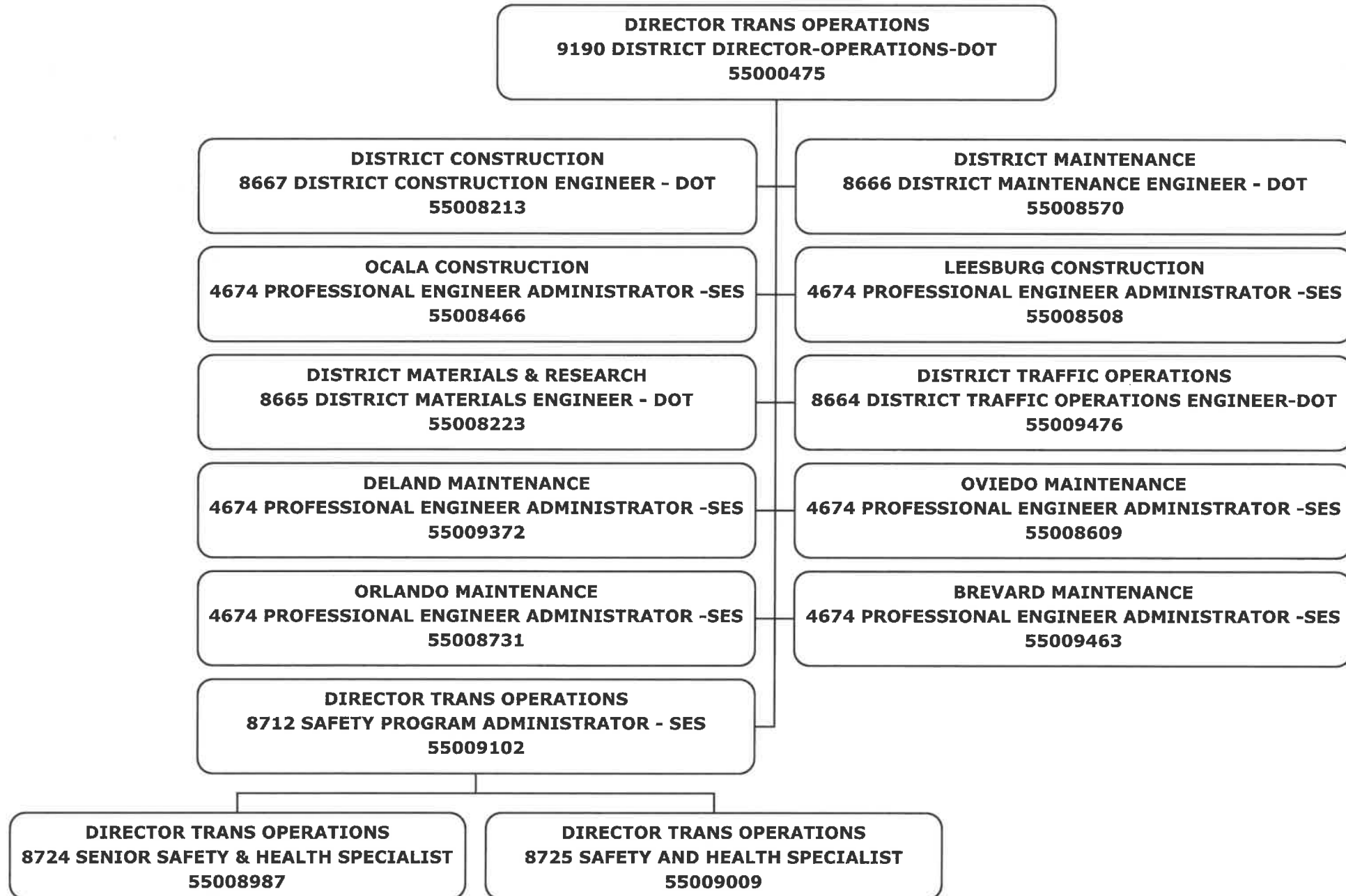
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FLORIDA DEPARTMENT OF TRANSPORTATION
DISTRICT FIVE

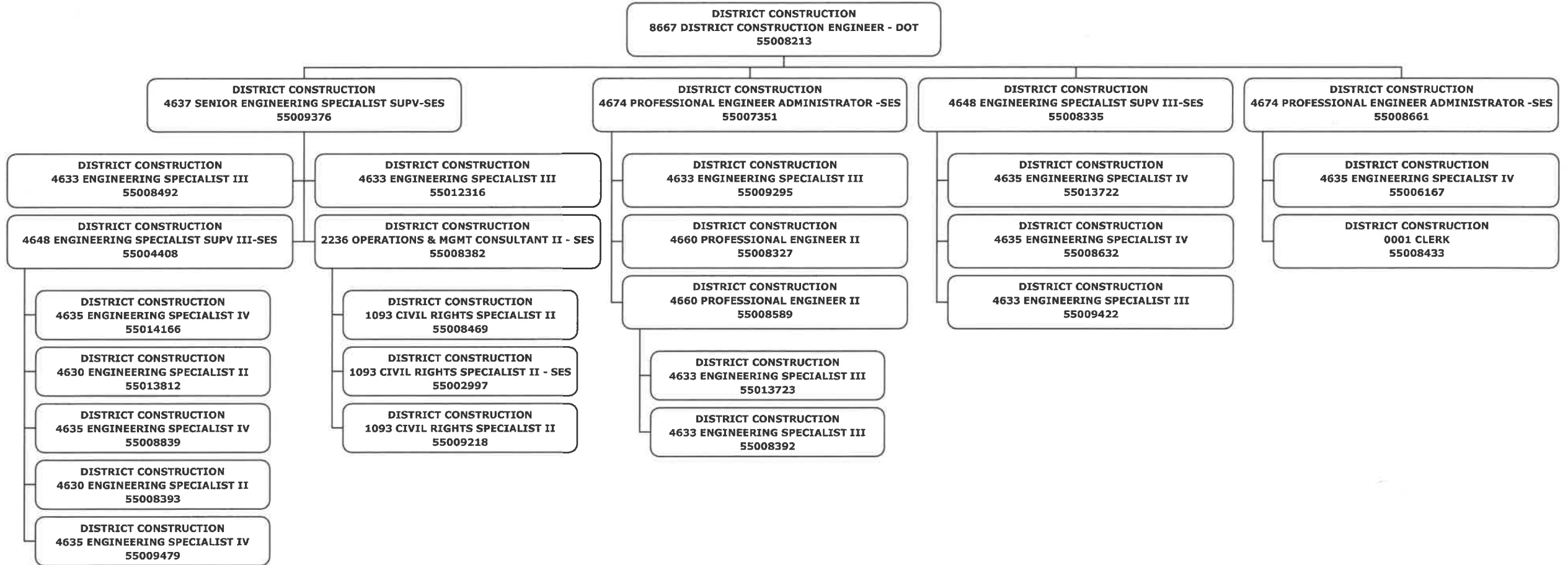


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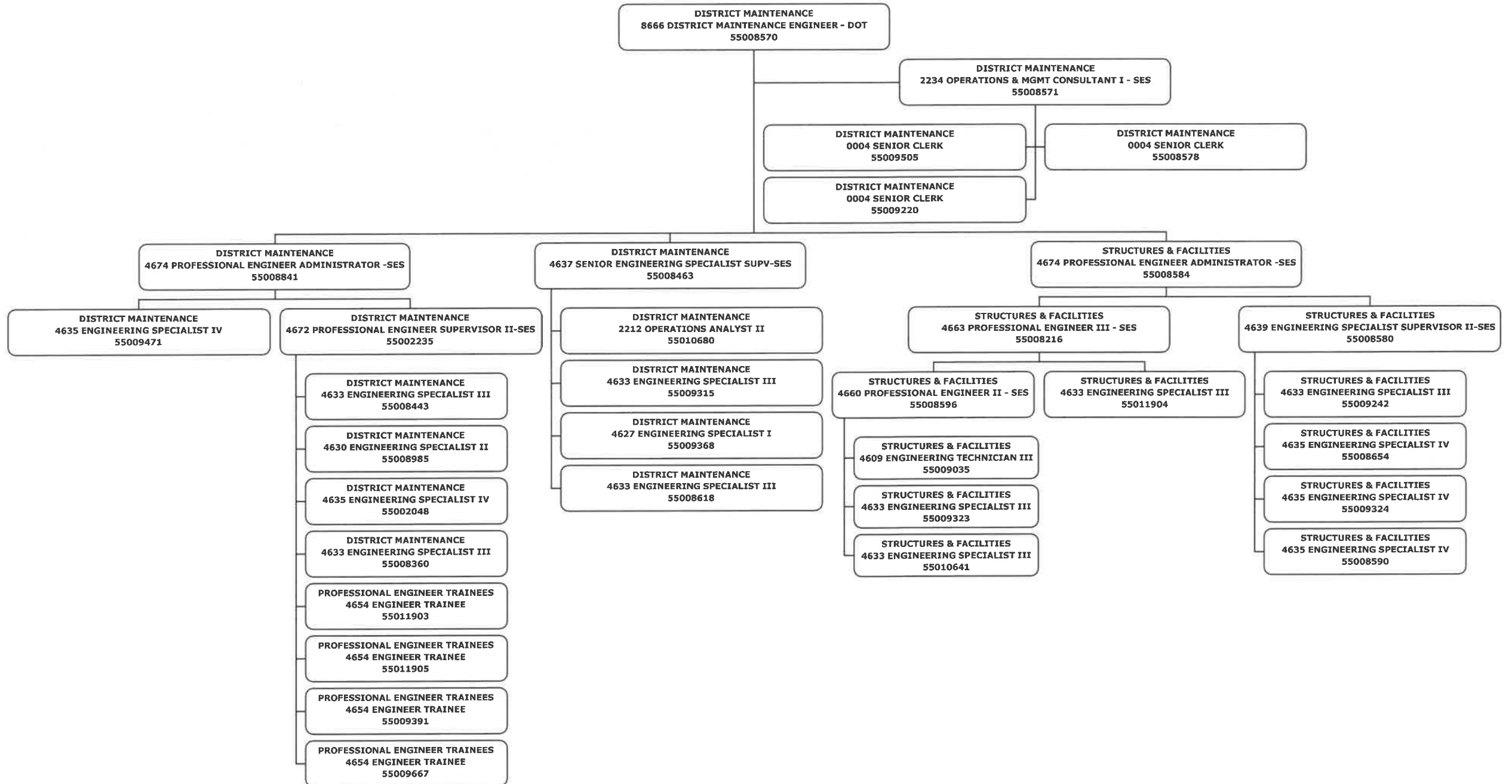
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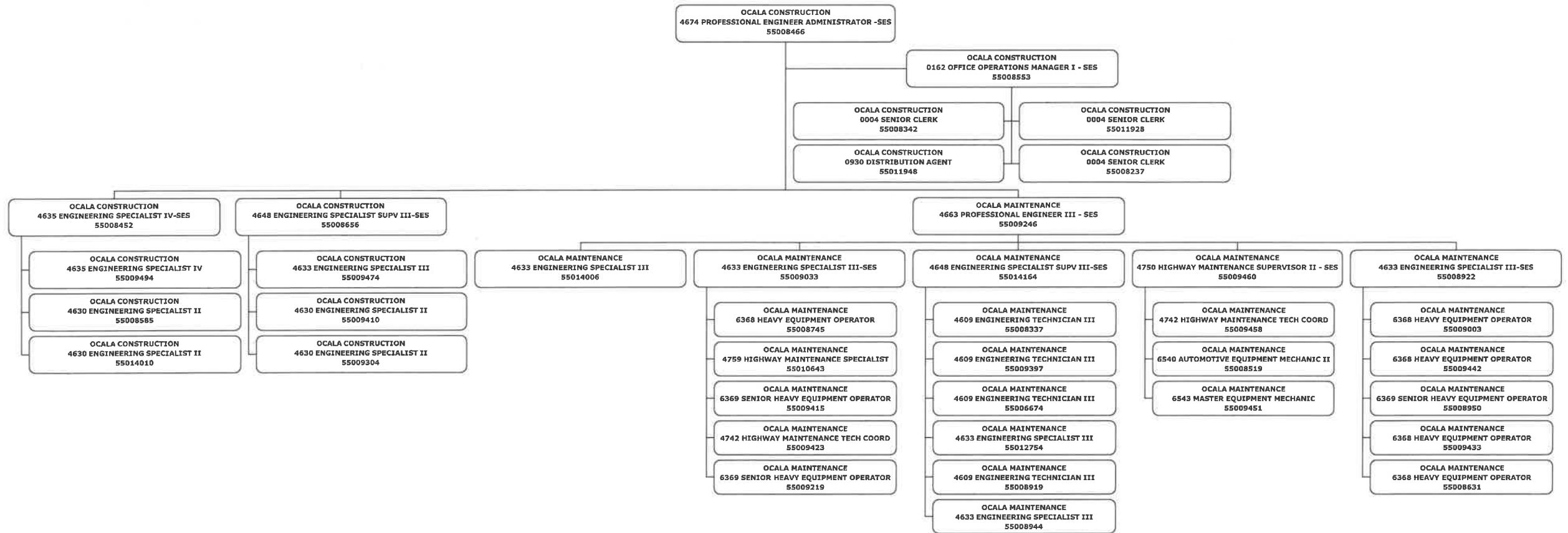
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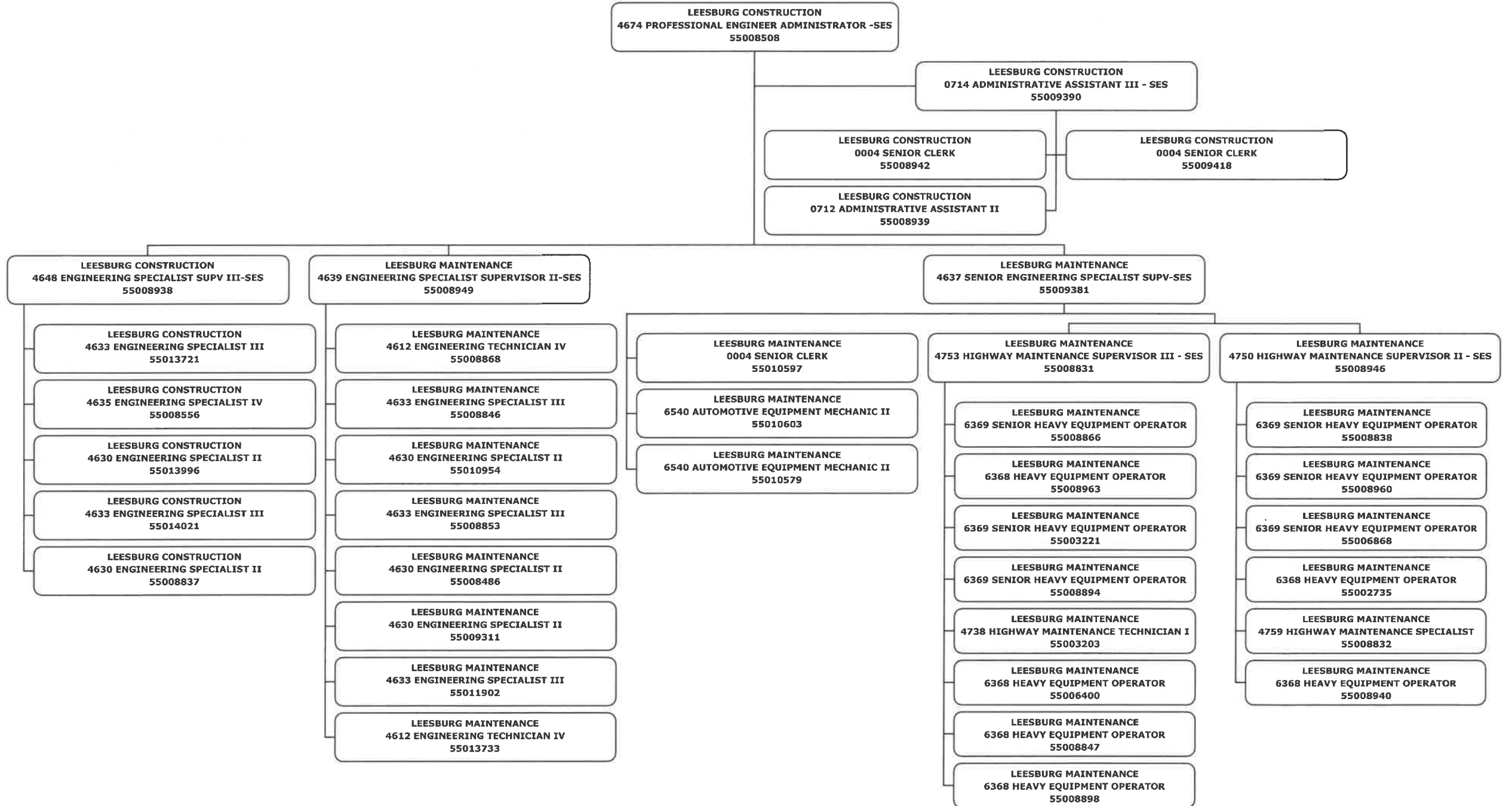
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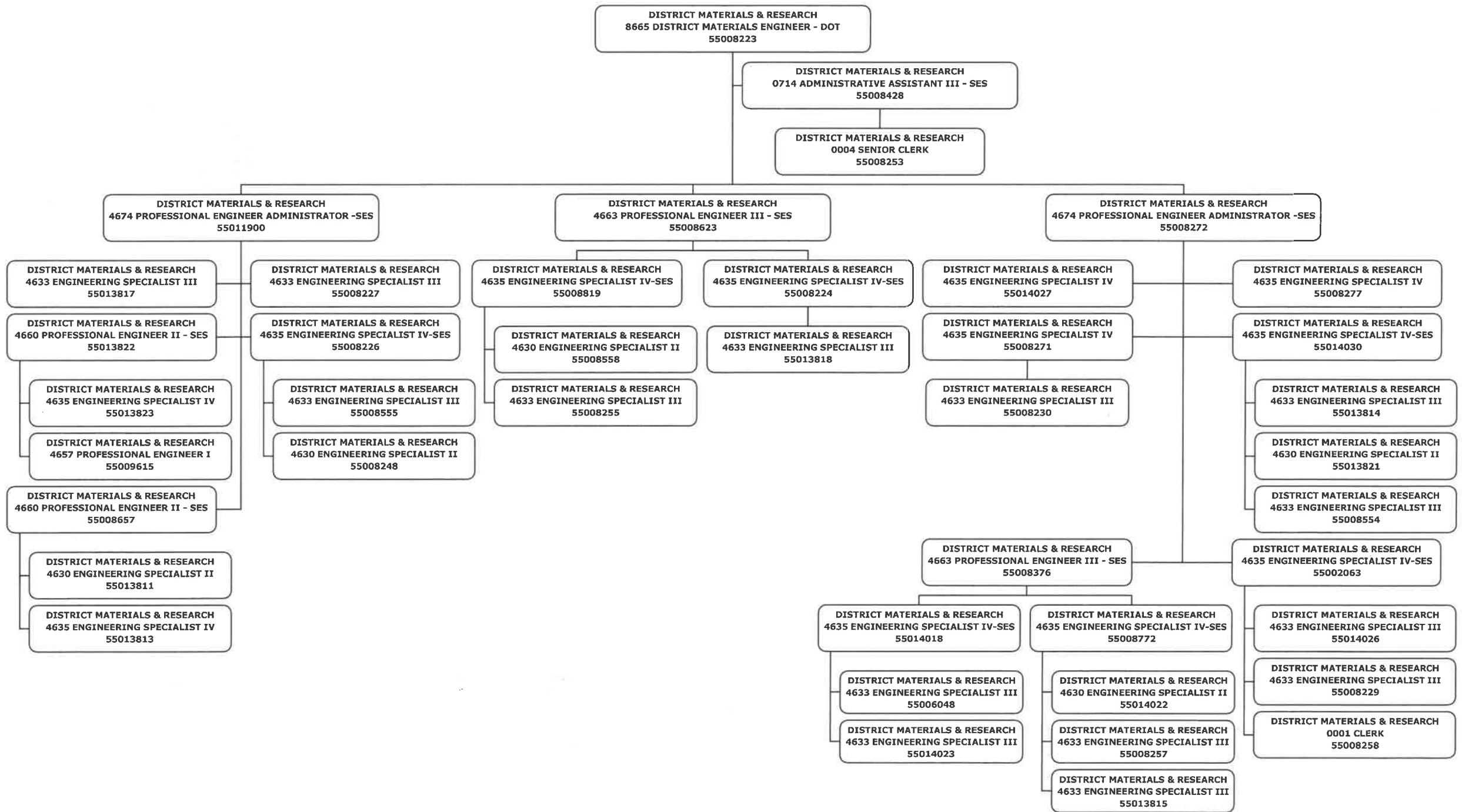
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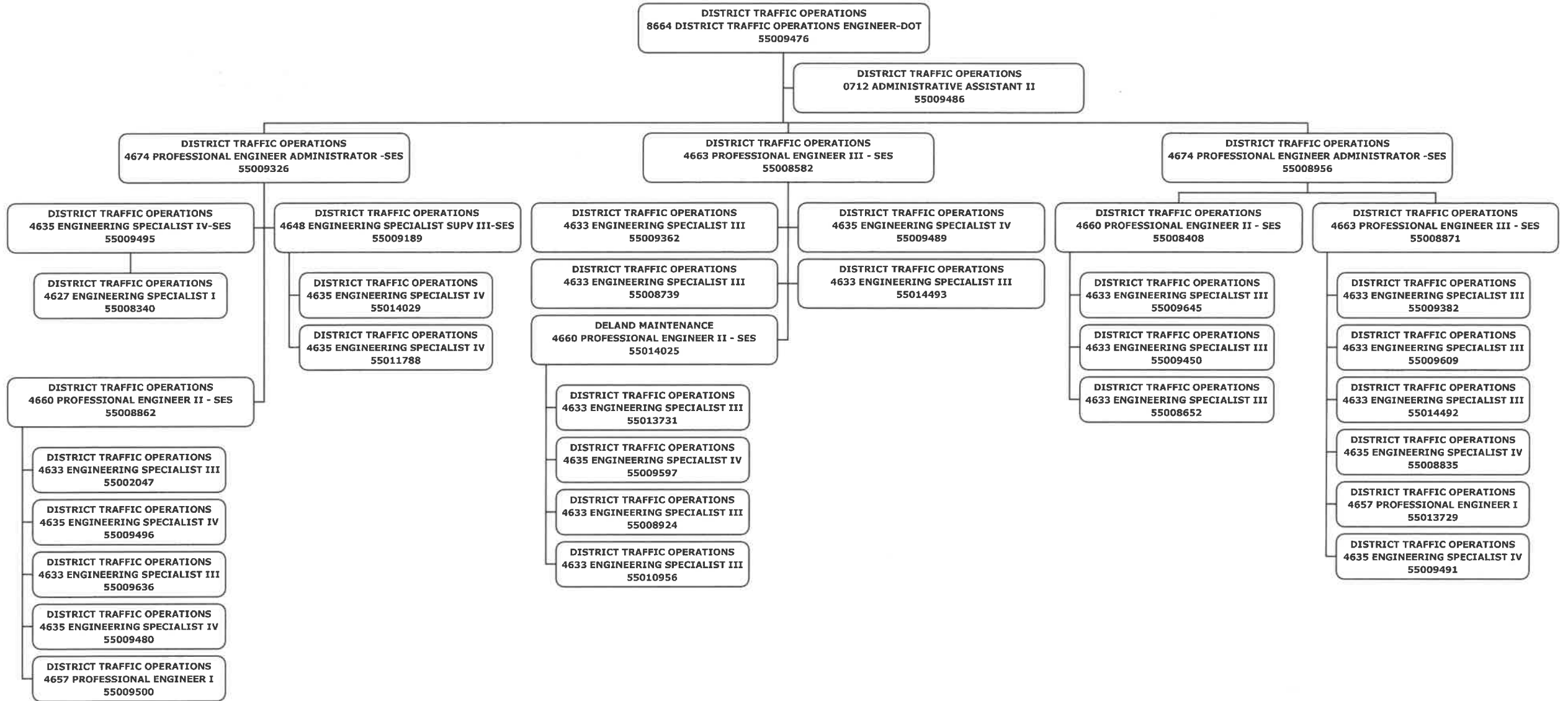
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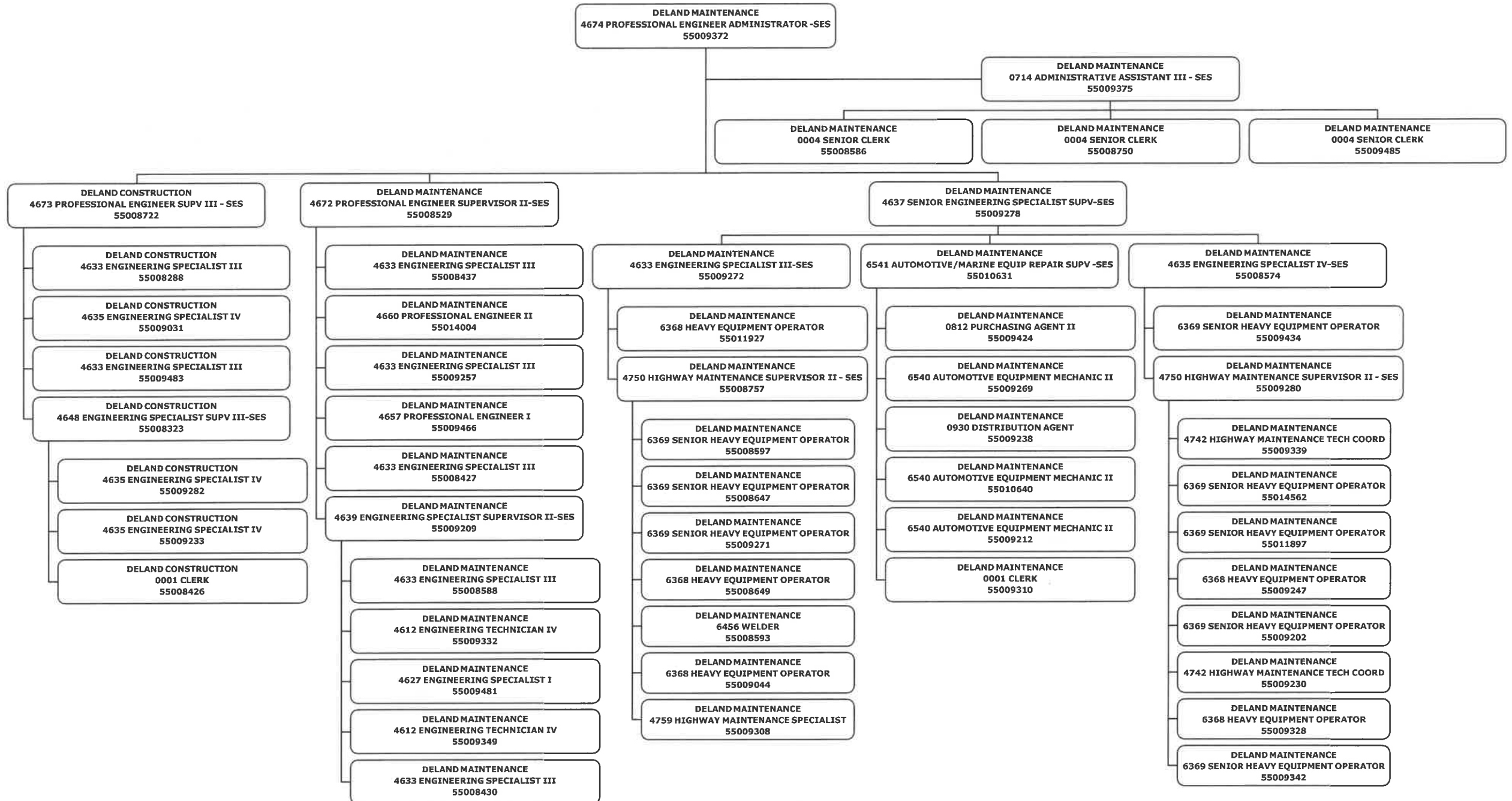
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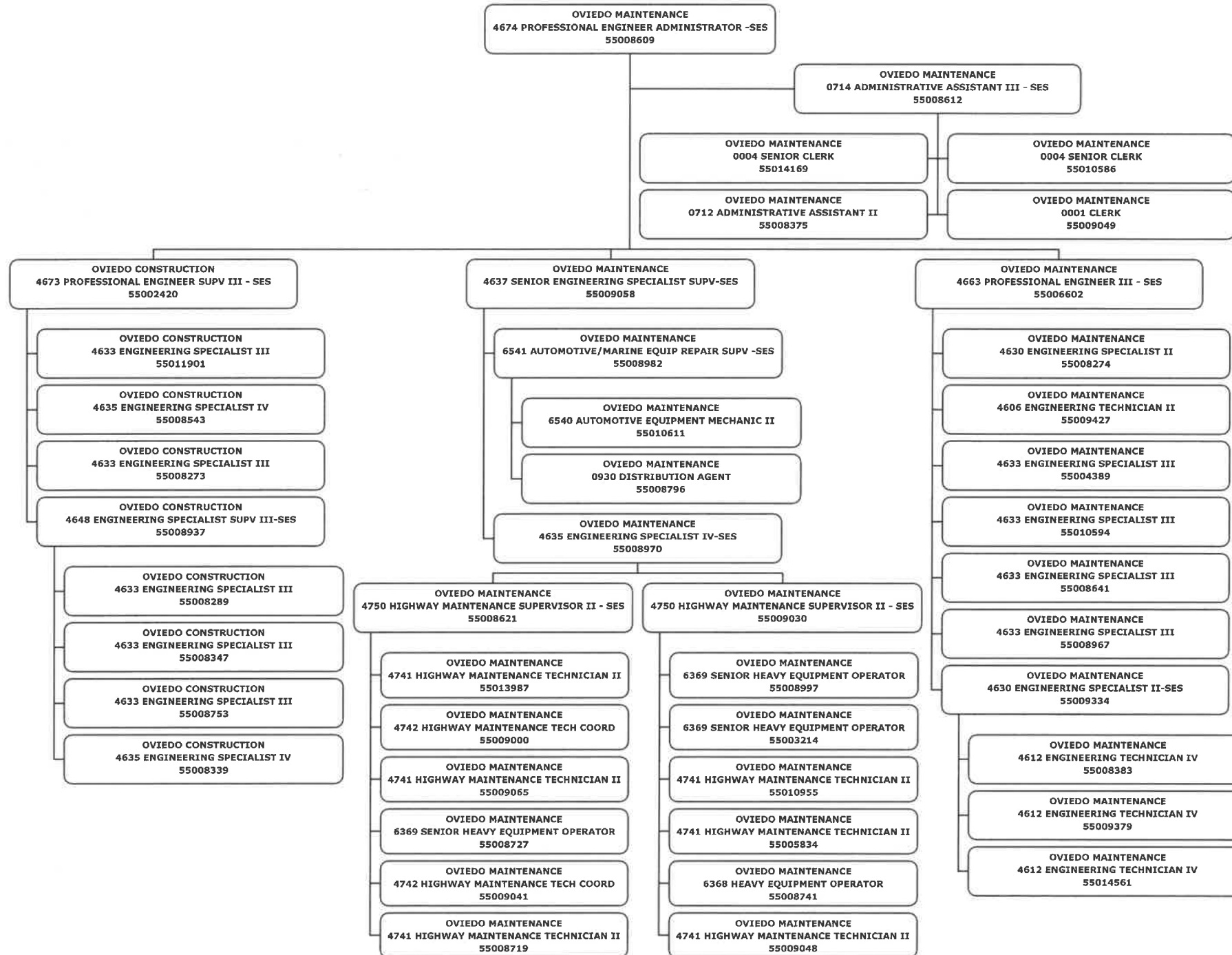
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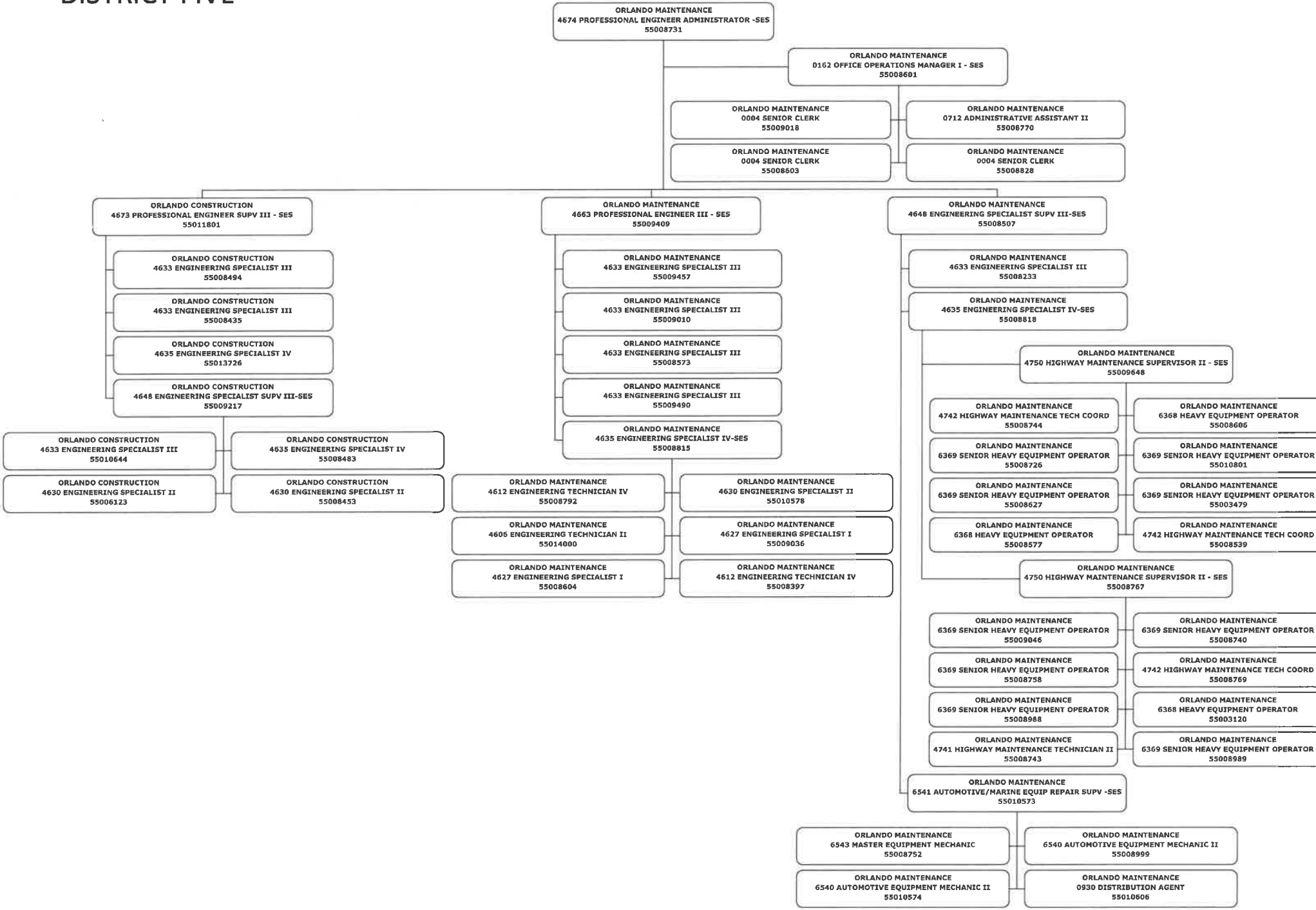
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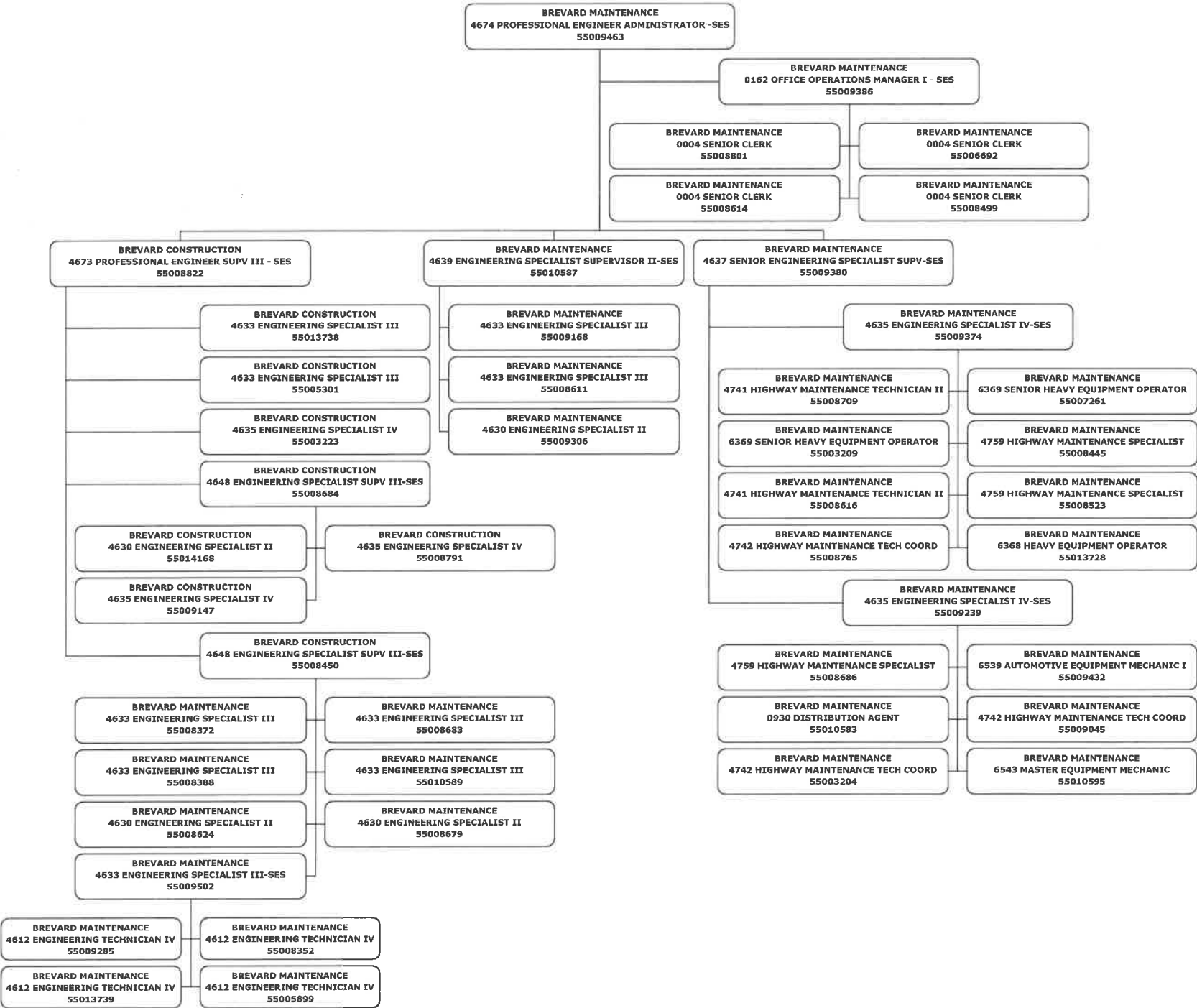
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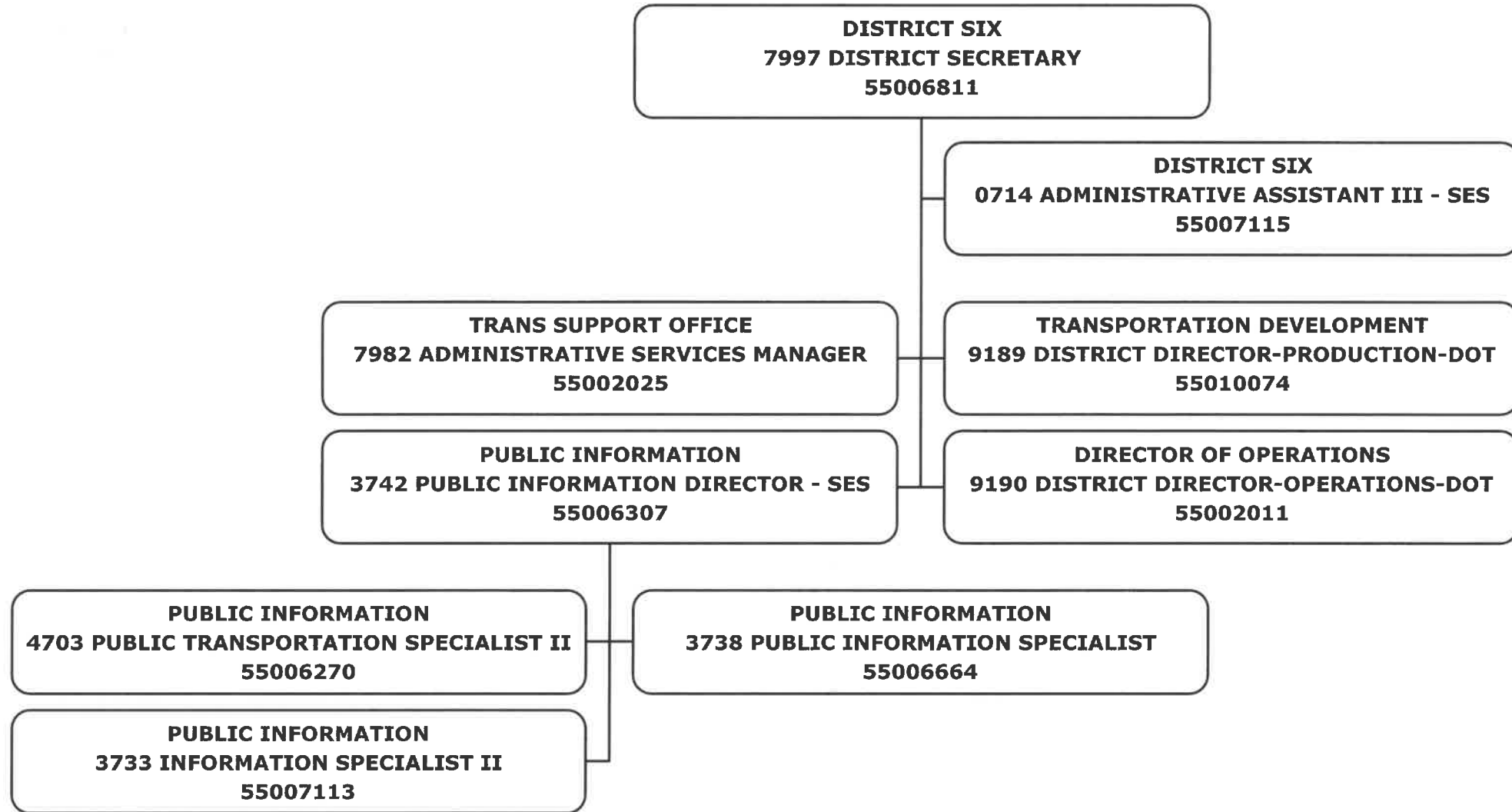


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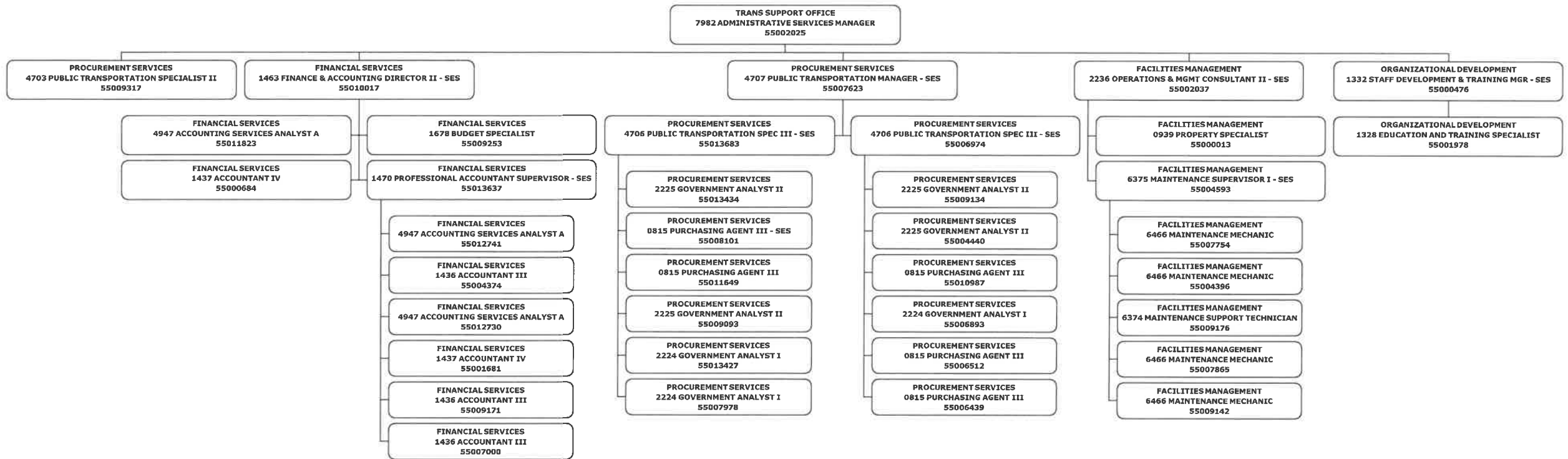


FLORIDA DEPARTMENT OF TRANSPORTATION
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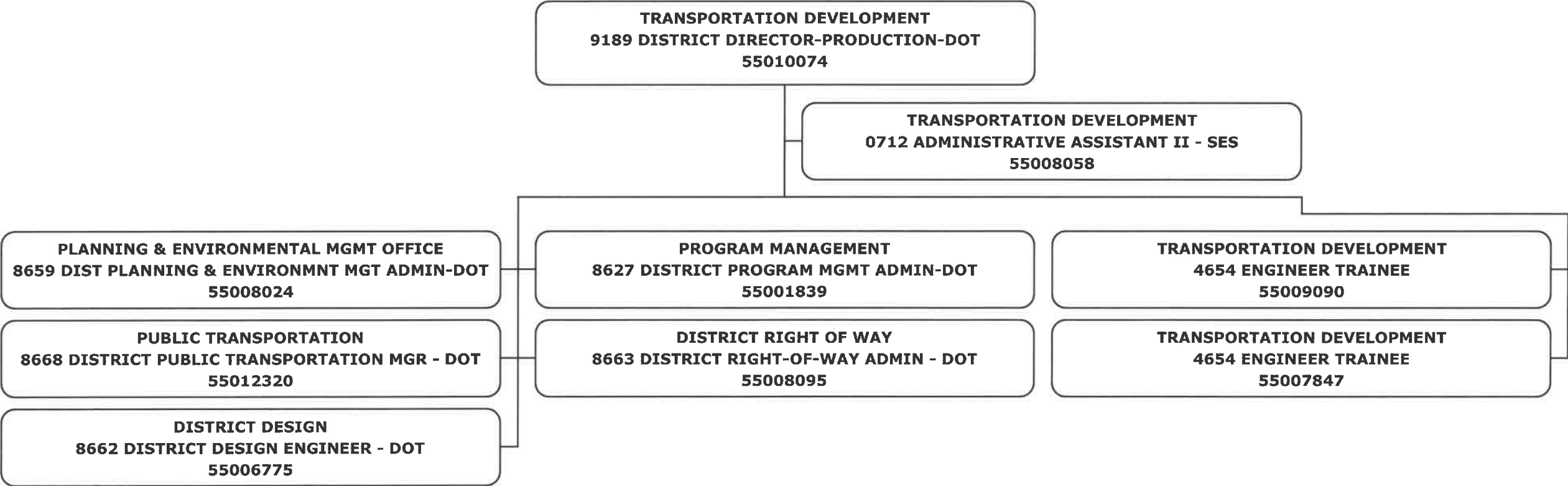


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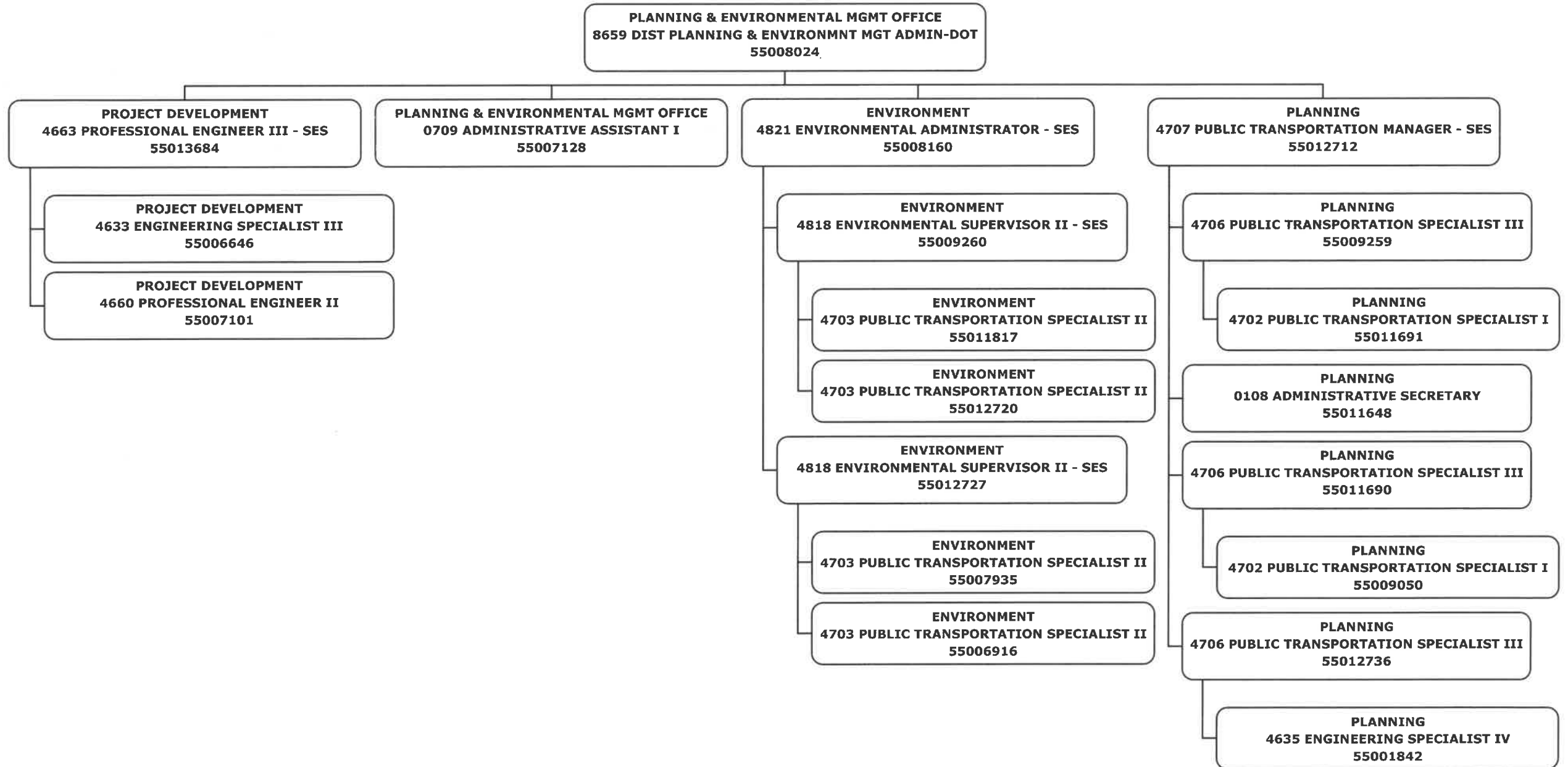
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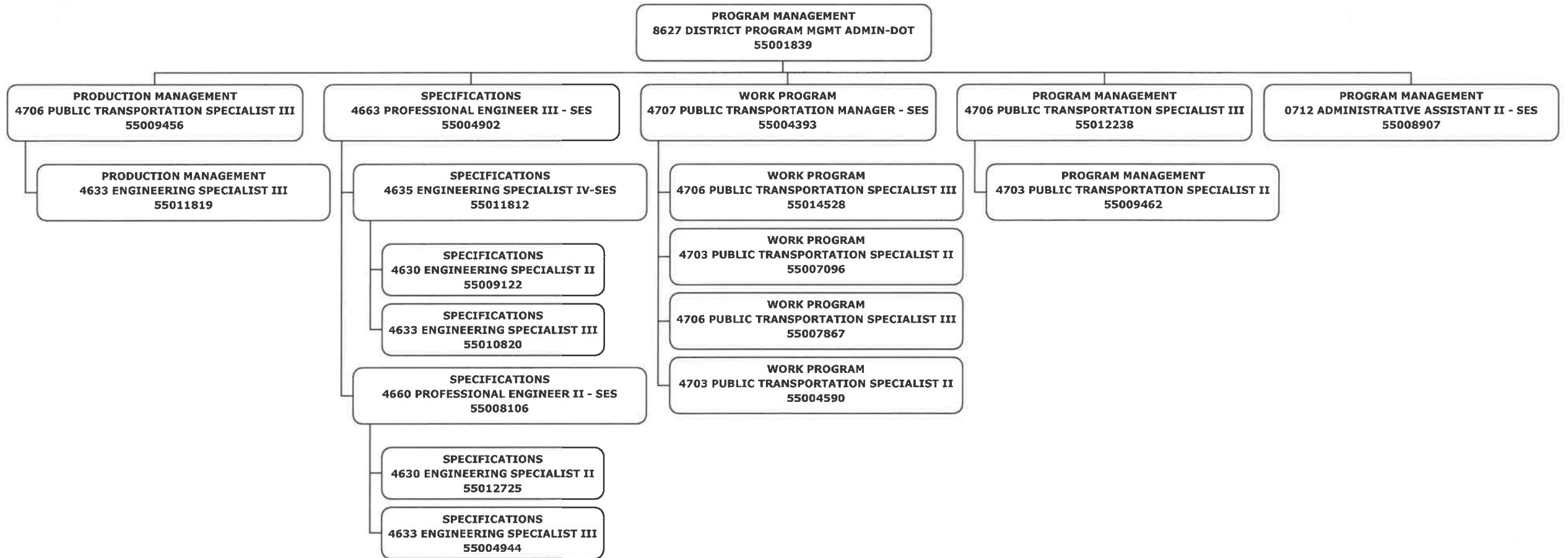
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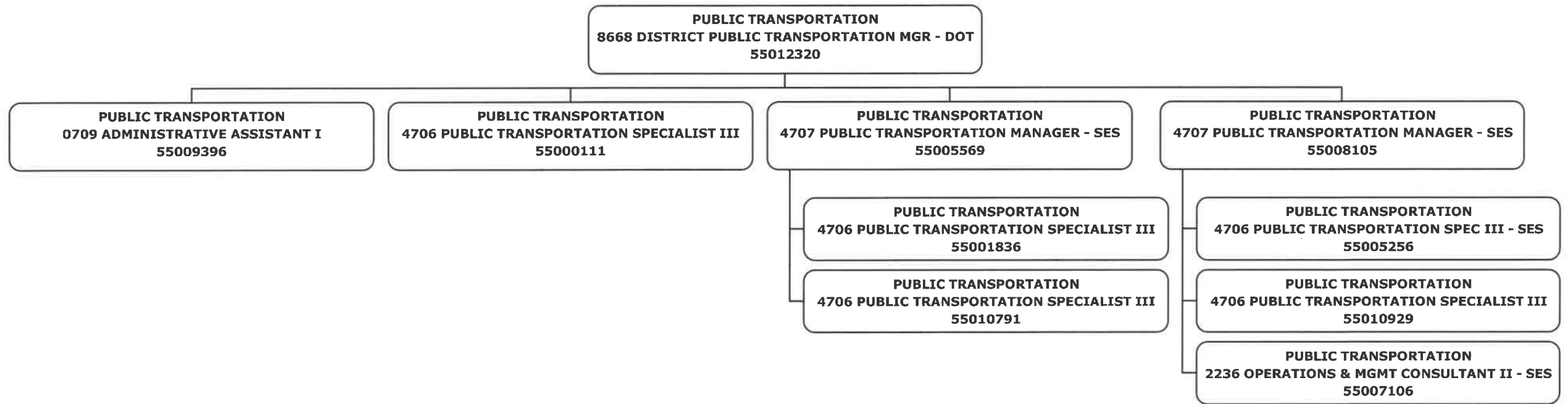
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DISTRICT SIX



FLORIDA DEPARTMENT OF TRANSPORTATION
DISTRICT SIX

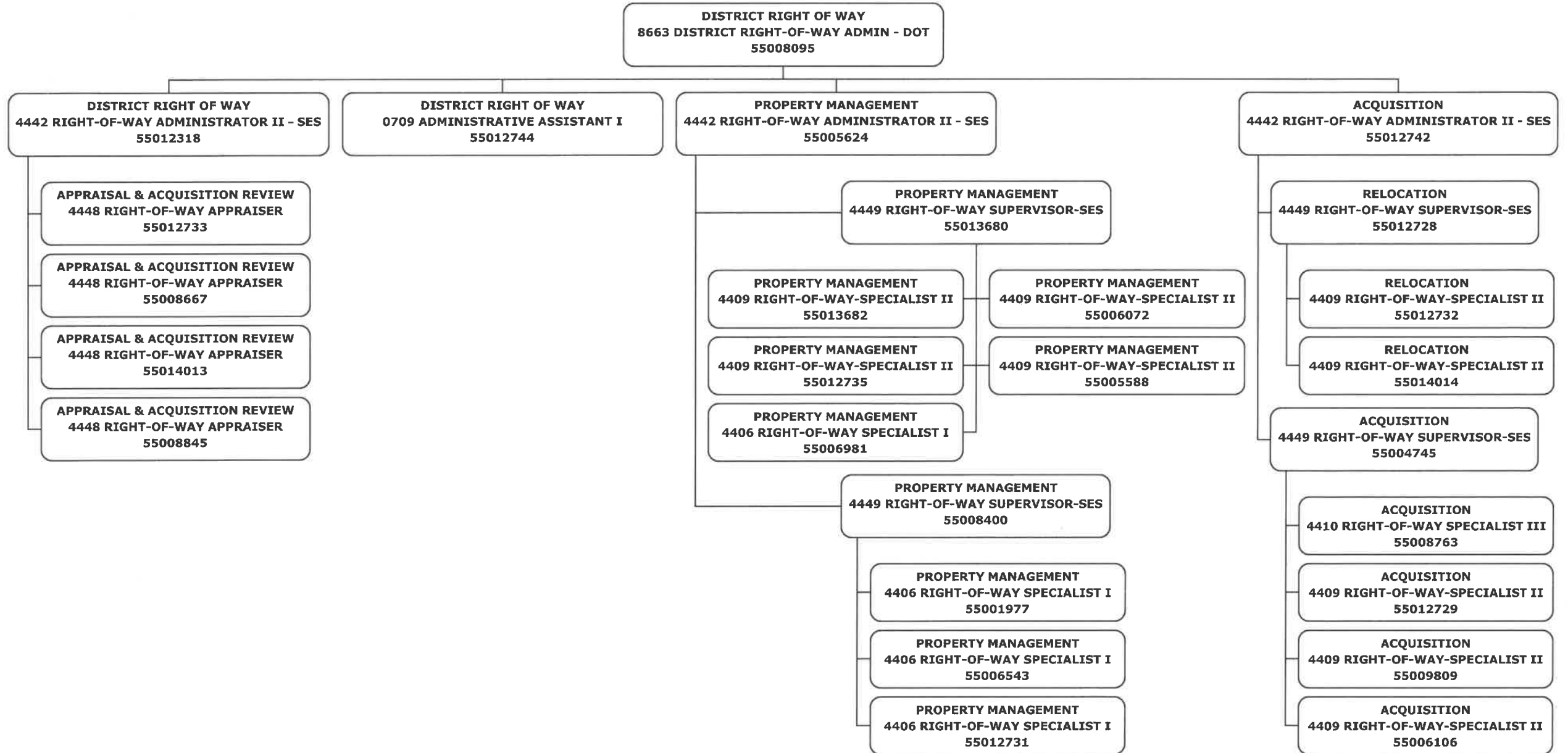


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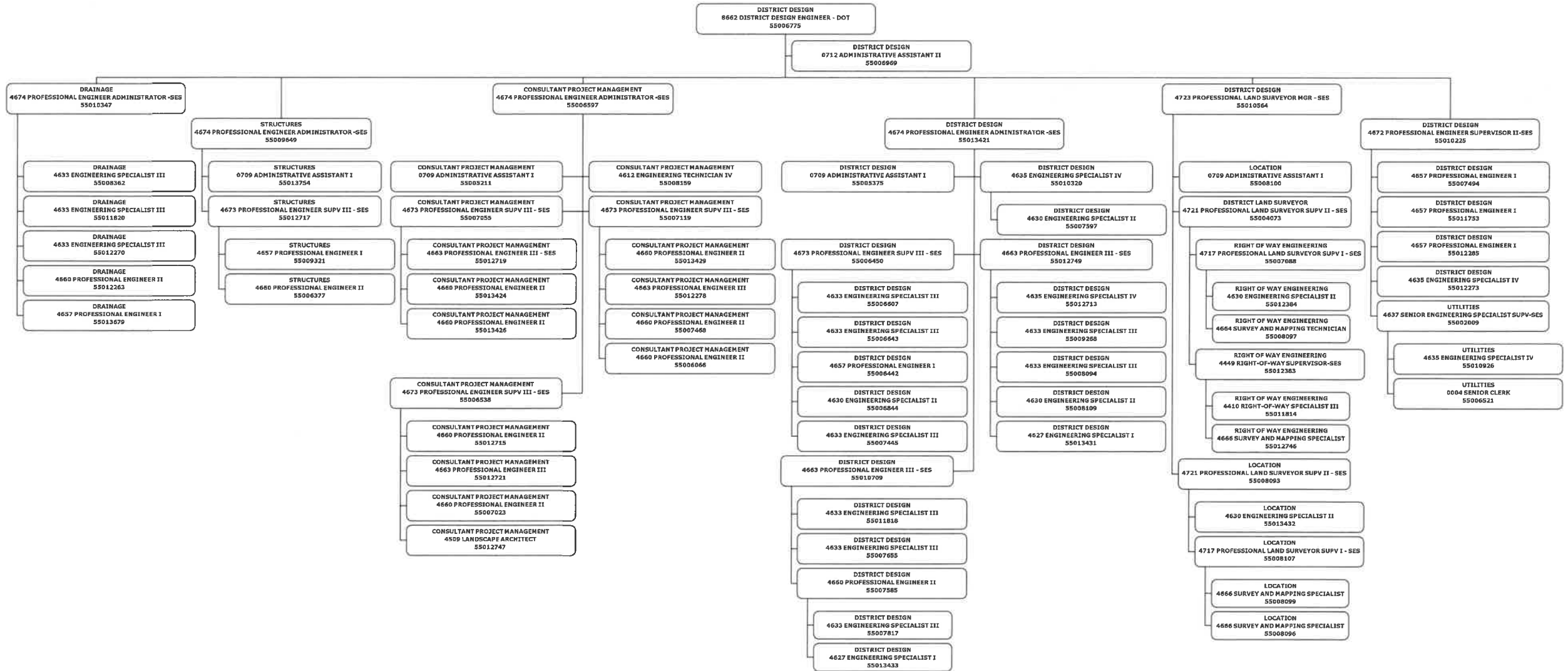
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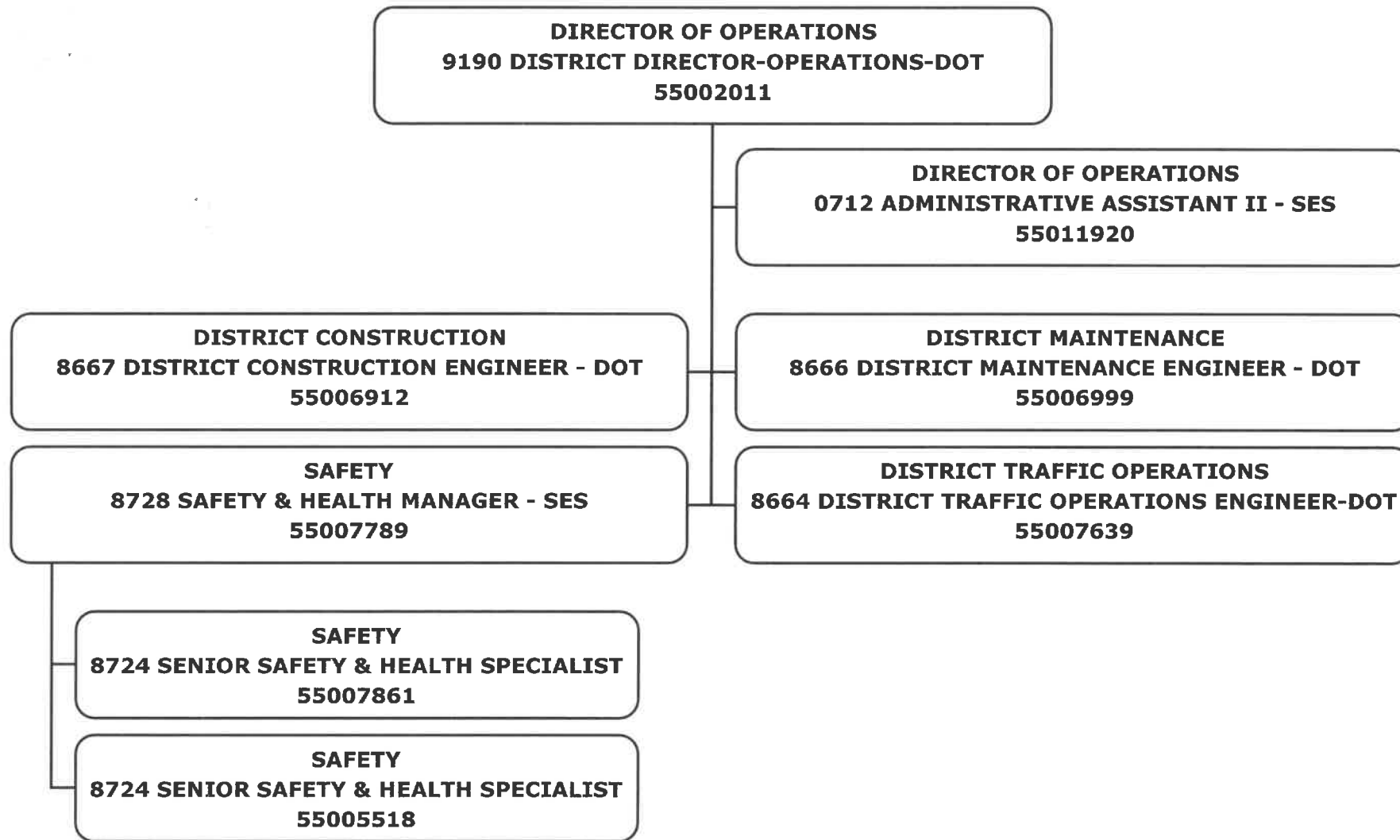


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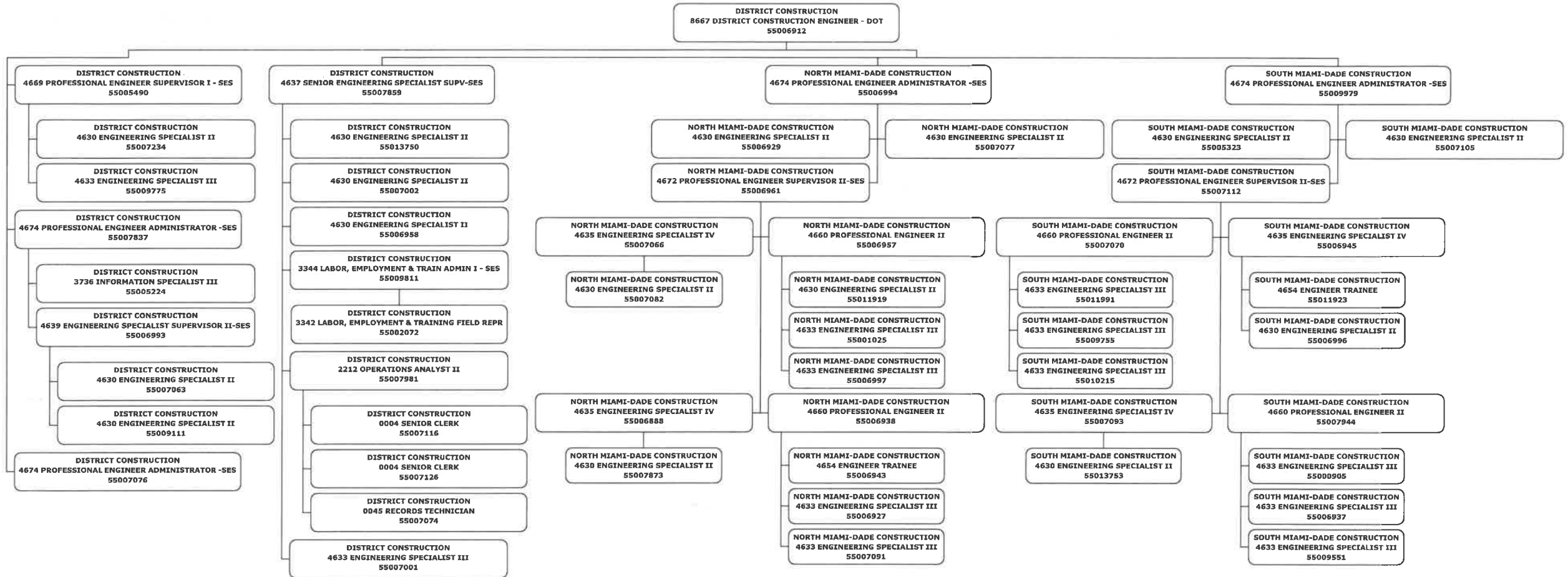


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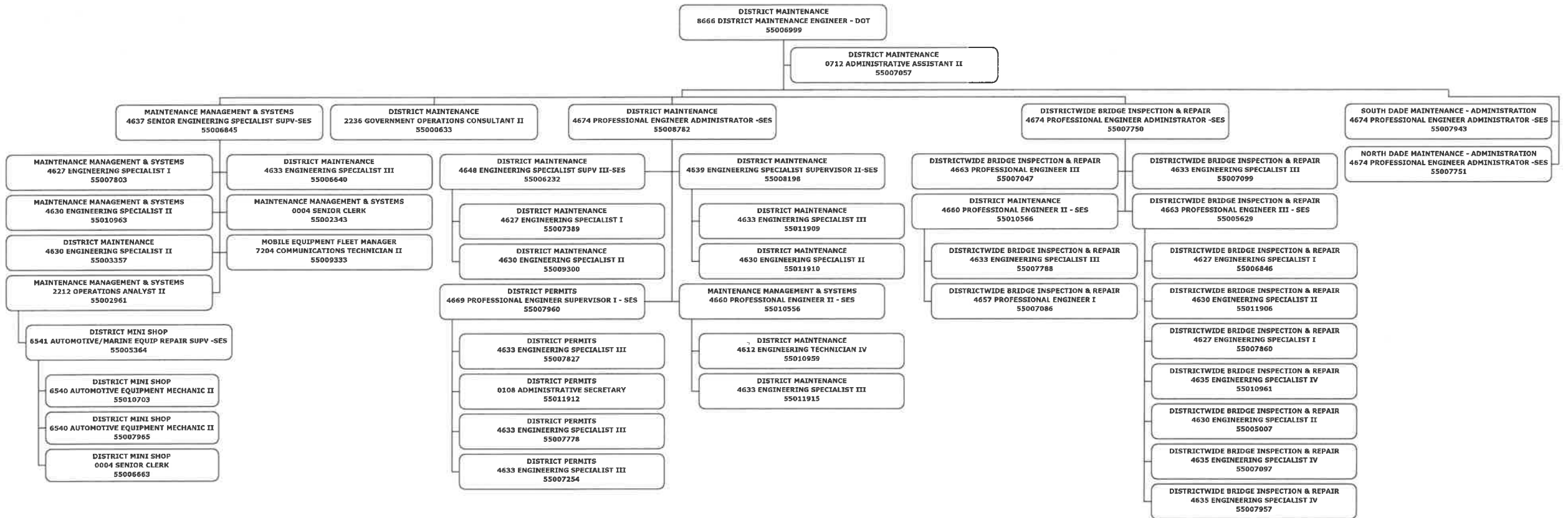
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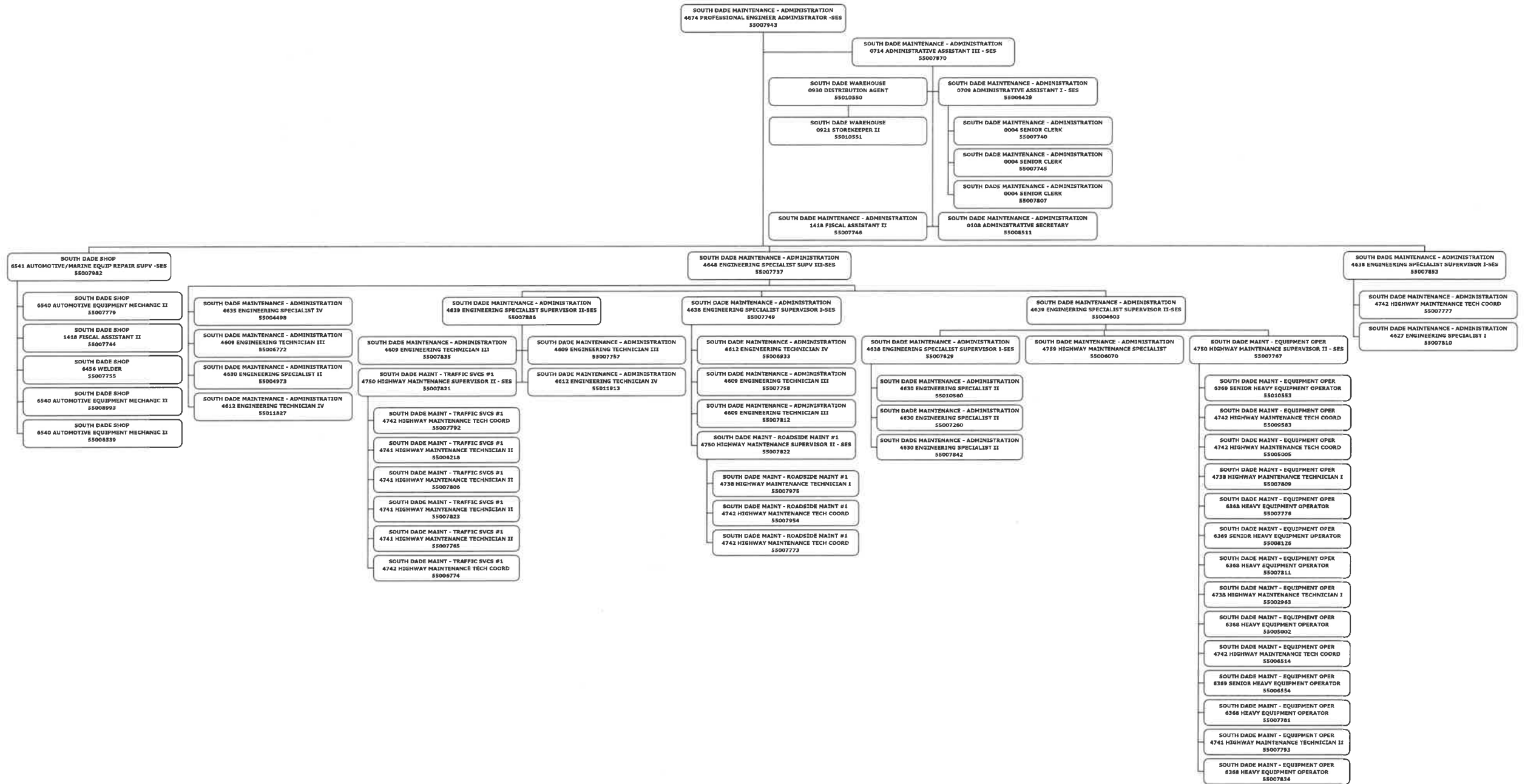
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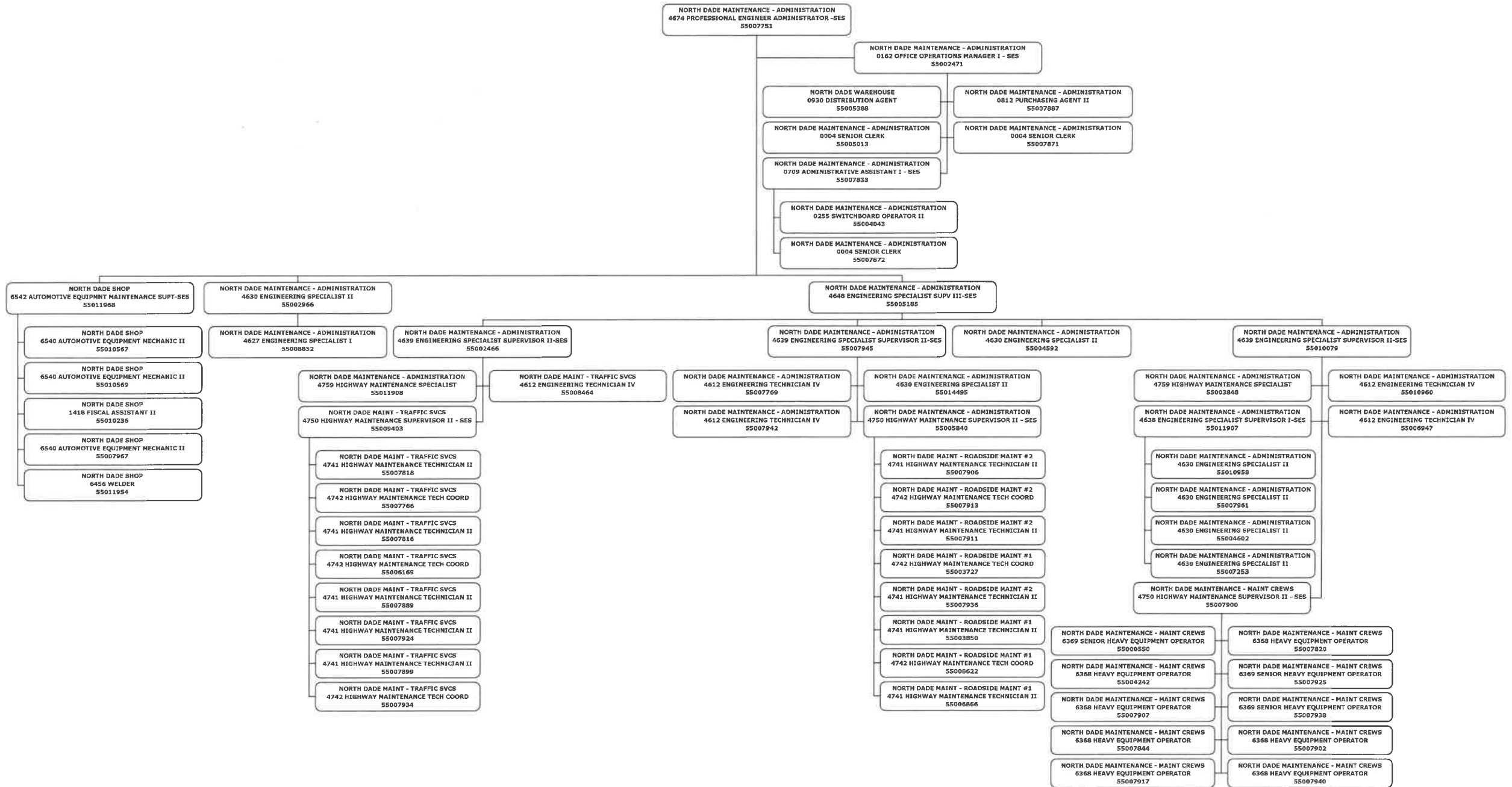
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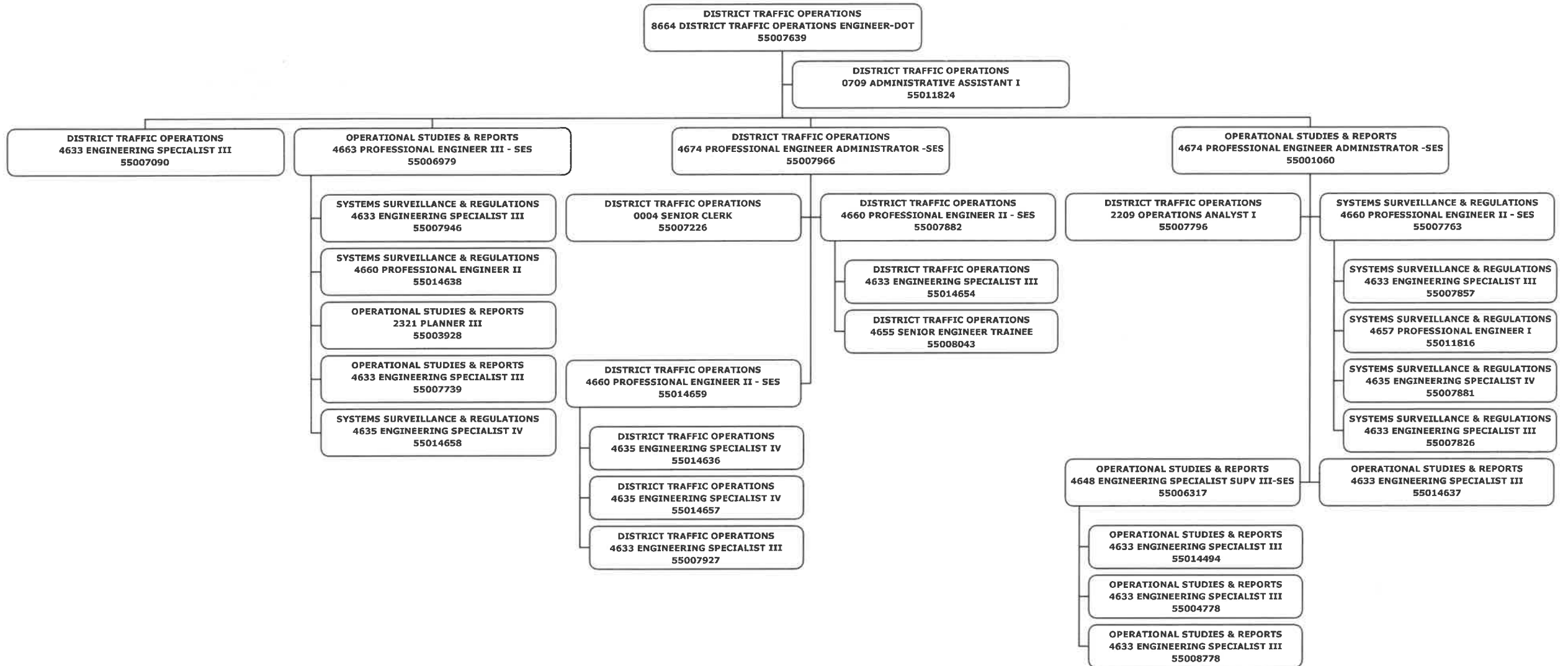
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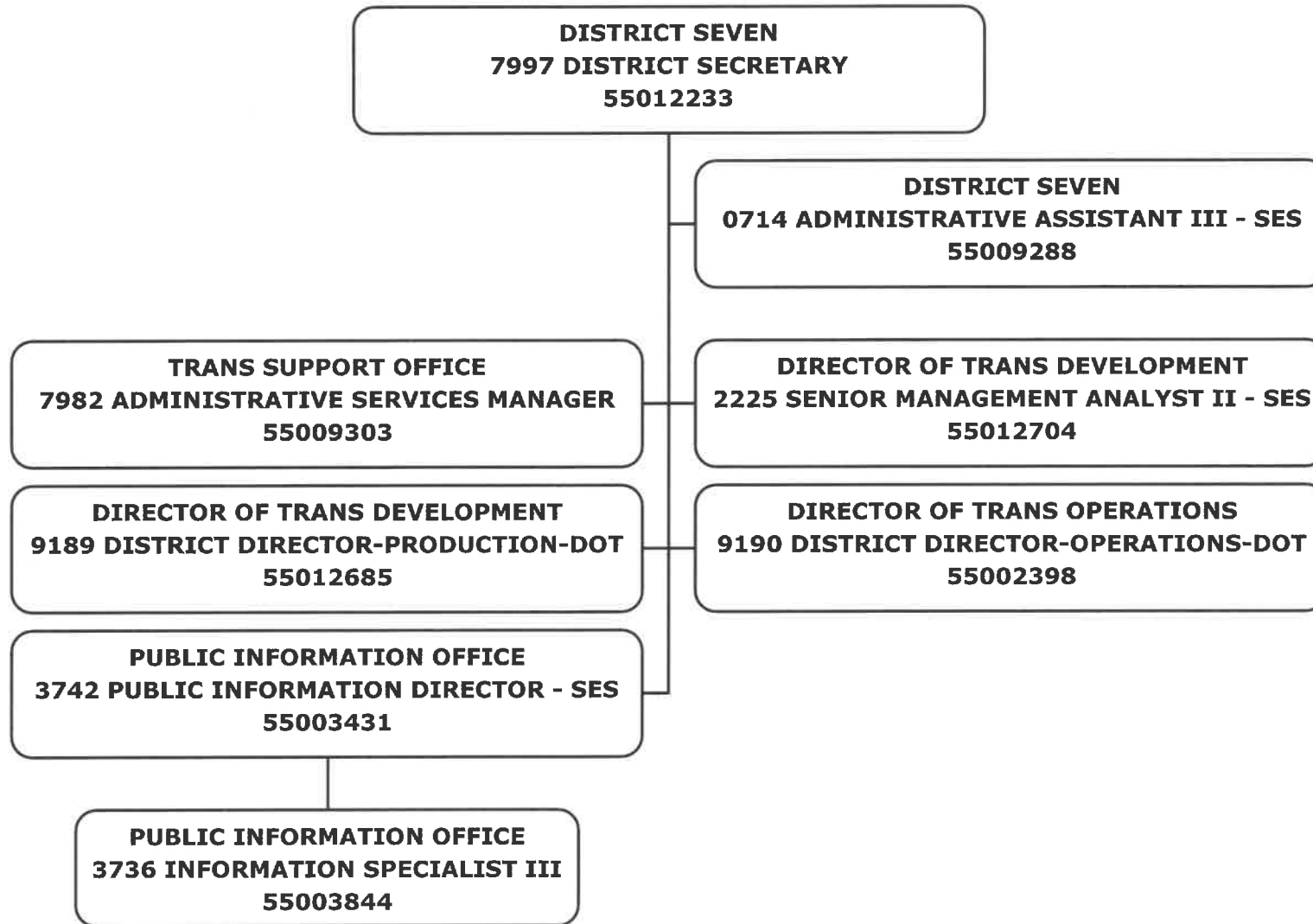


FLORIDA DEPARTMENT OF TRANSPORTATION

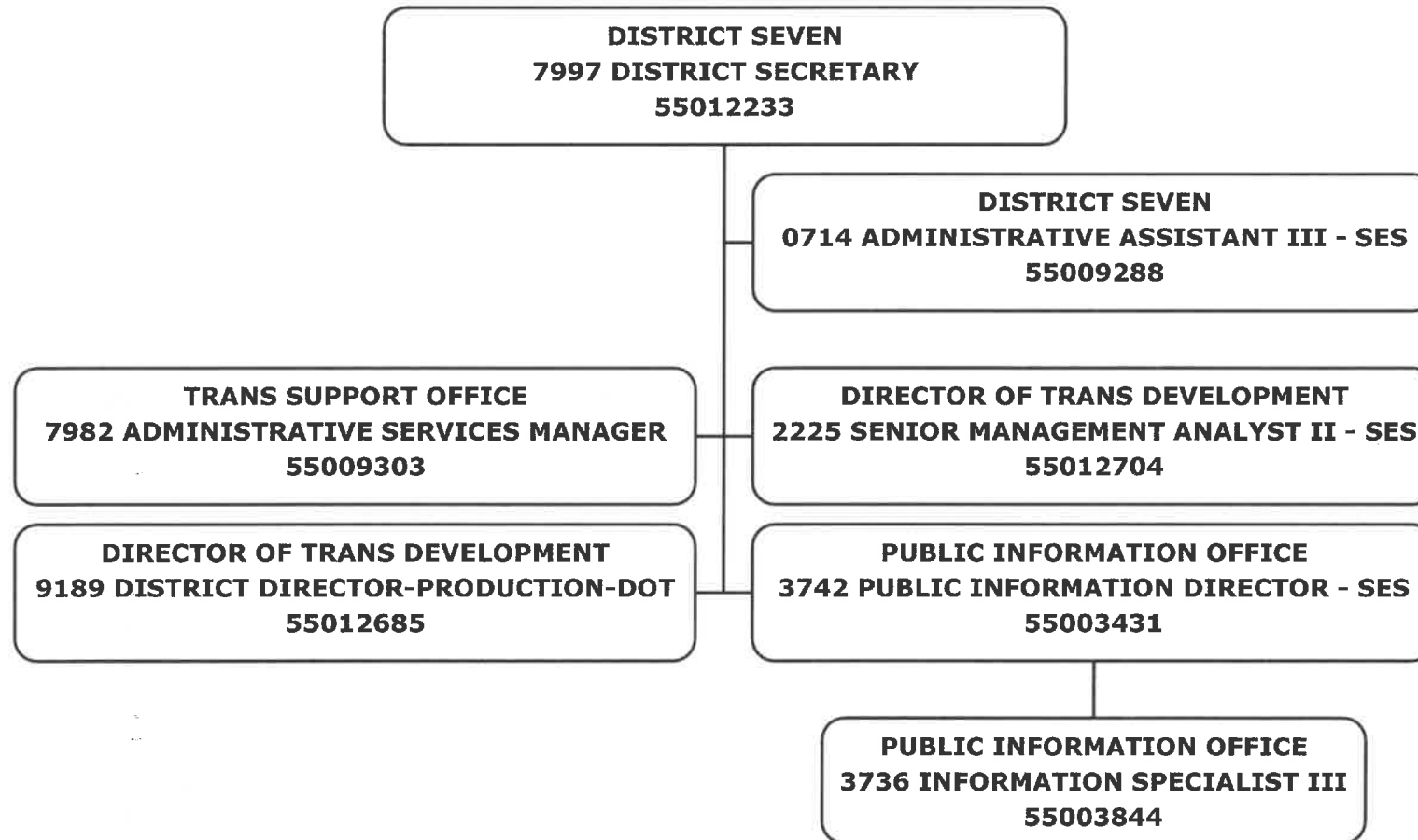
DISTRICT SIX



FLORIDA DEPARTMENT OF TRANSPORTATION
DISTRICT SEVEN

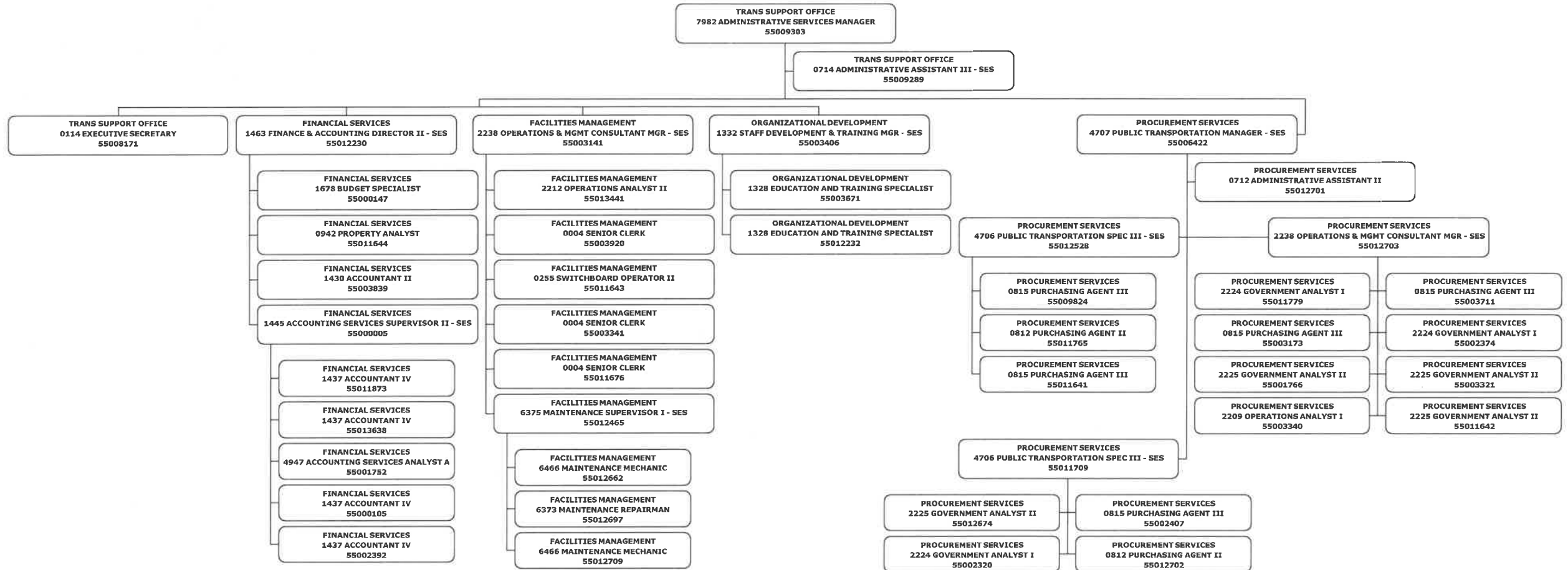


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DISTRICT SEVEN

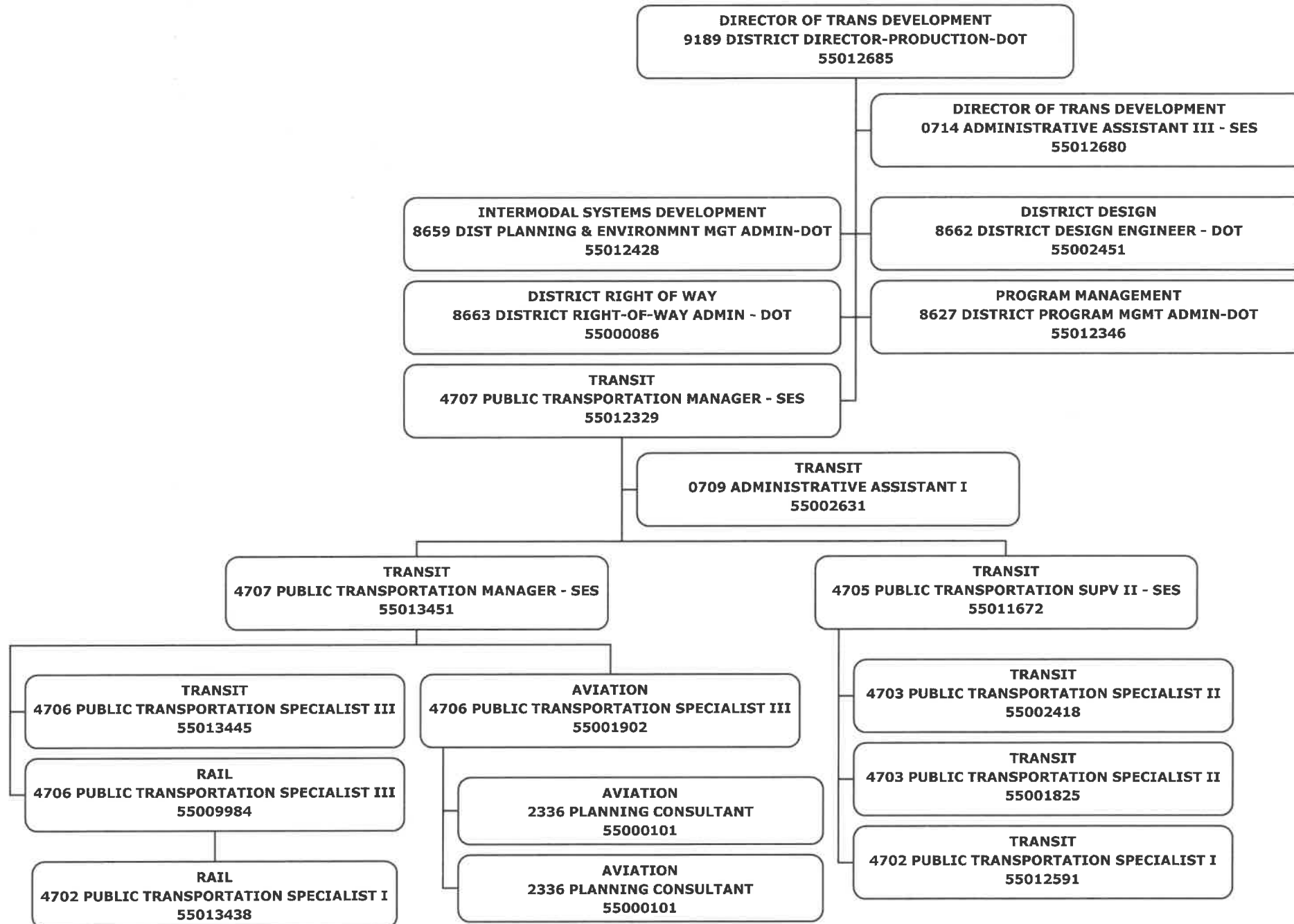


FLORIDA DEPARTMENT OF TRANSPORTATION

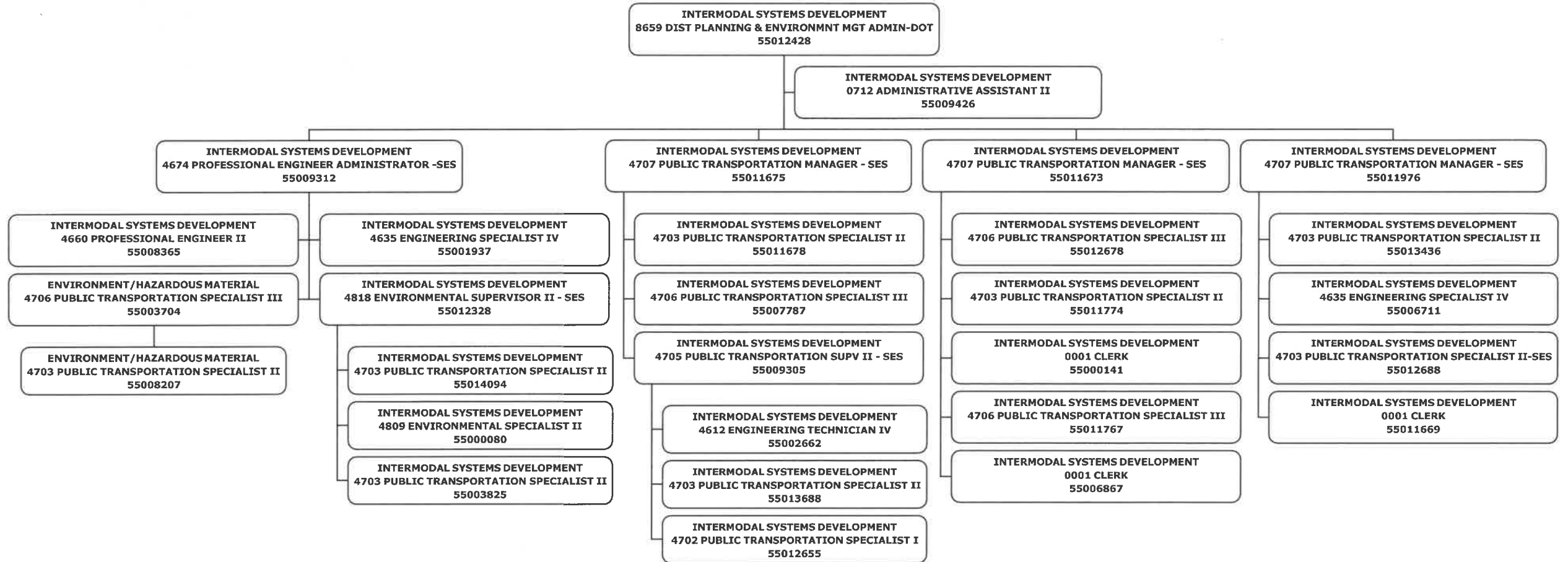
DISTRICT SEVEN



FLORIDA DEPARTMENT OF TRANSPORTATION DISTRICT SEVEN

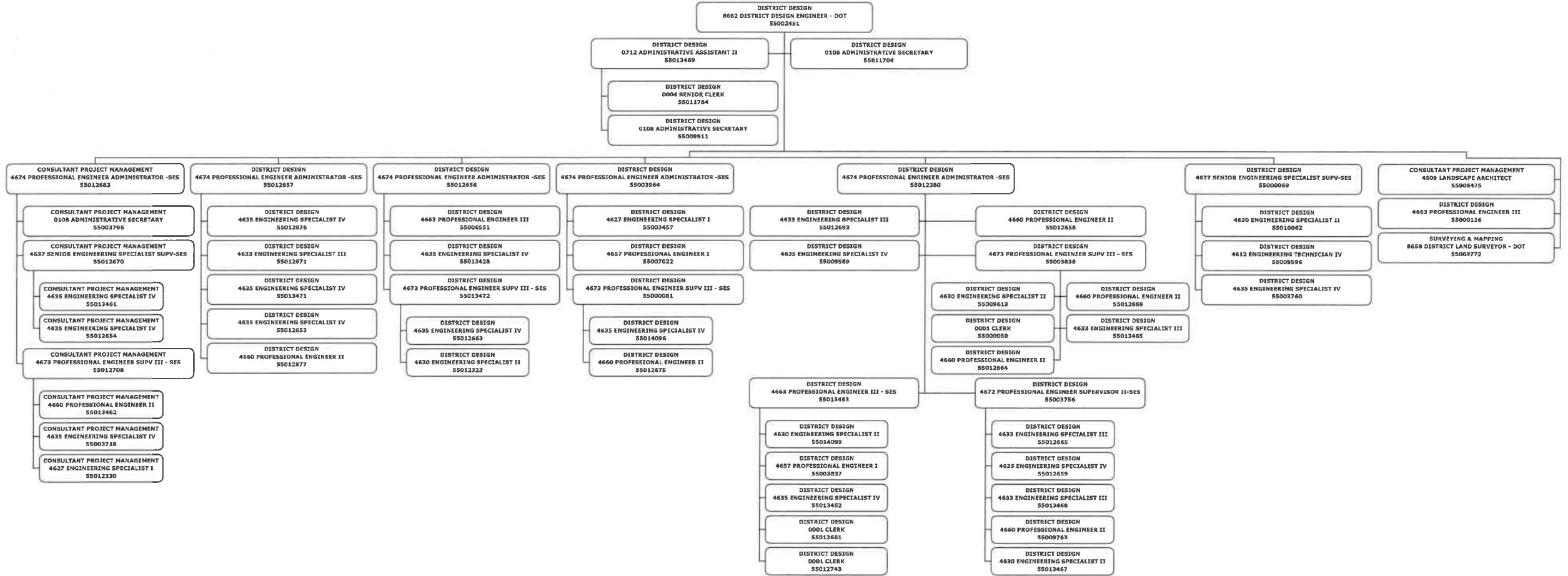


FLORIDA DEPARTMENT OF TRANSPORTATION DISTRICT SEVEN



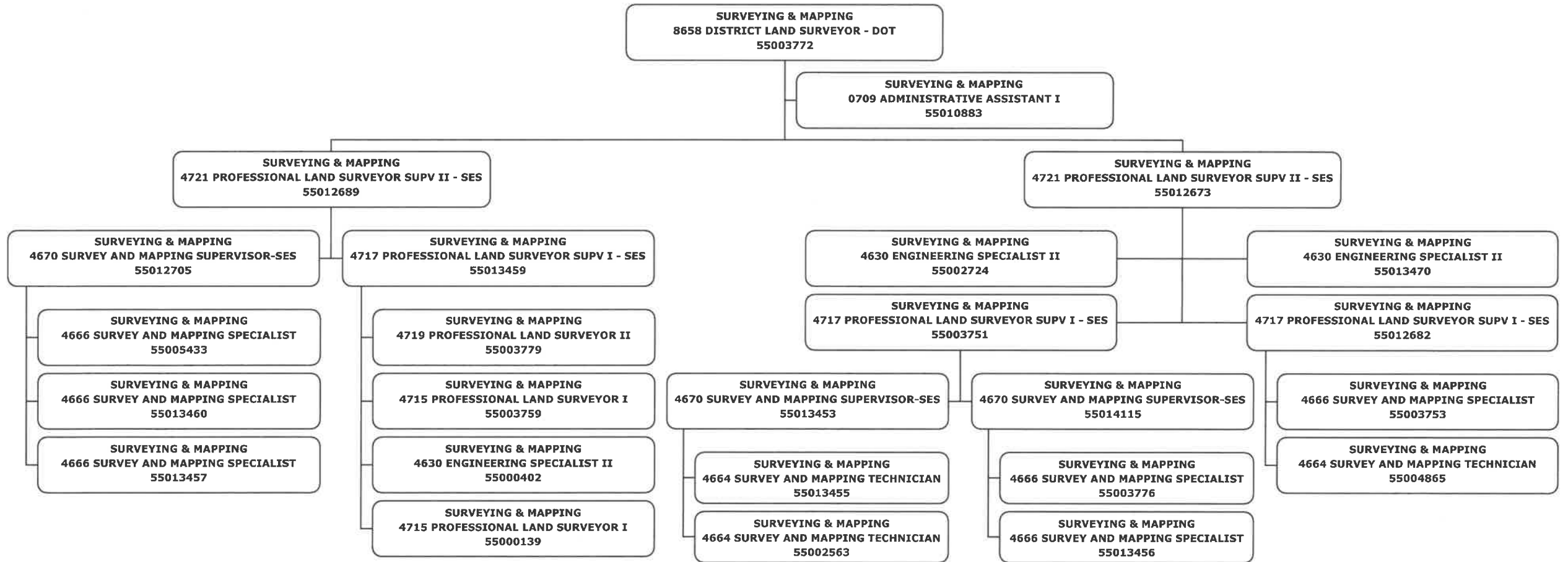
FLORIDA DEPARTMENT OF TRANSPORTATION

DISTRICT SEVEN



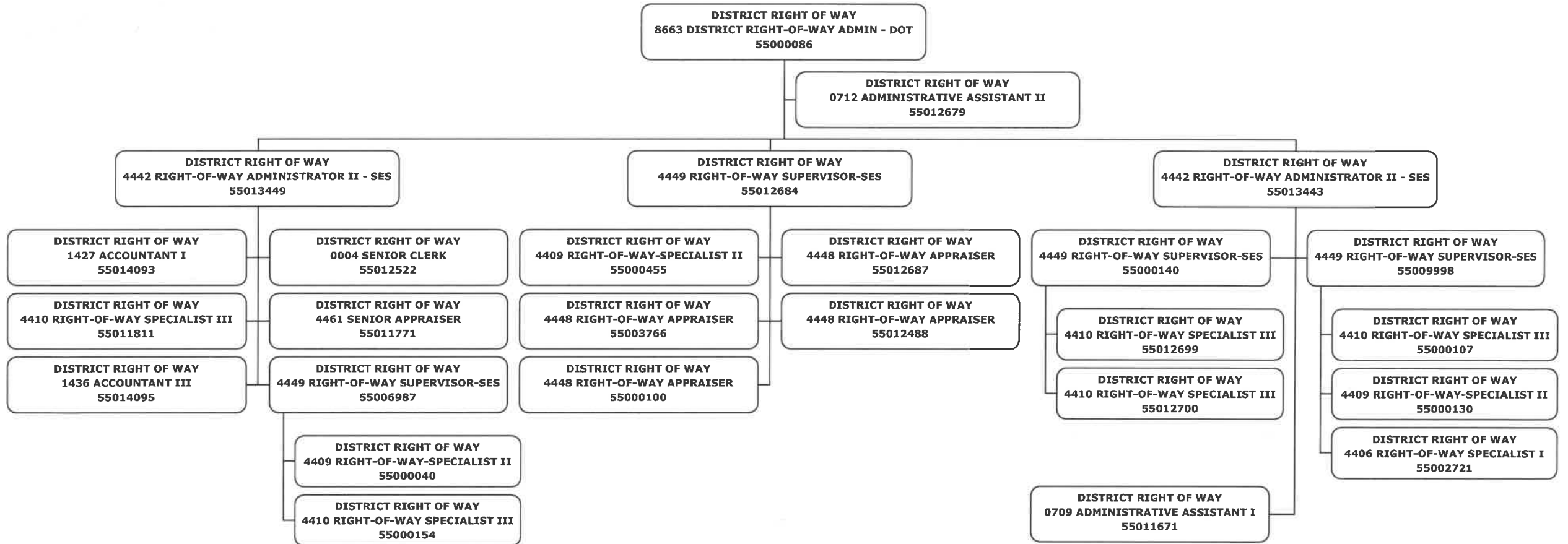
FLORIDA DEPARTMENT OF TRANSPORTATION

DISTRICT SEVEN

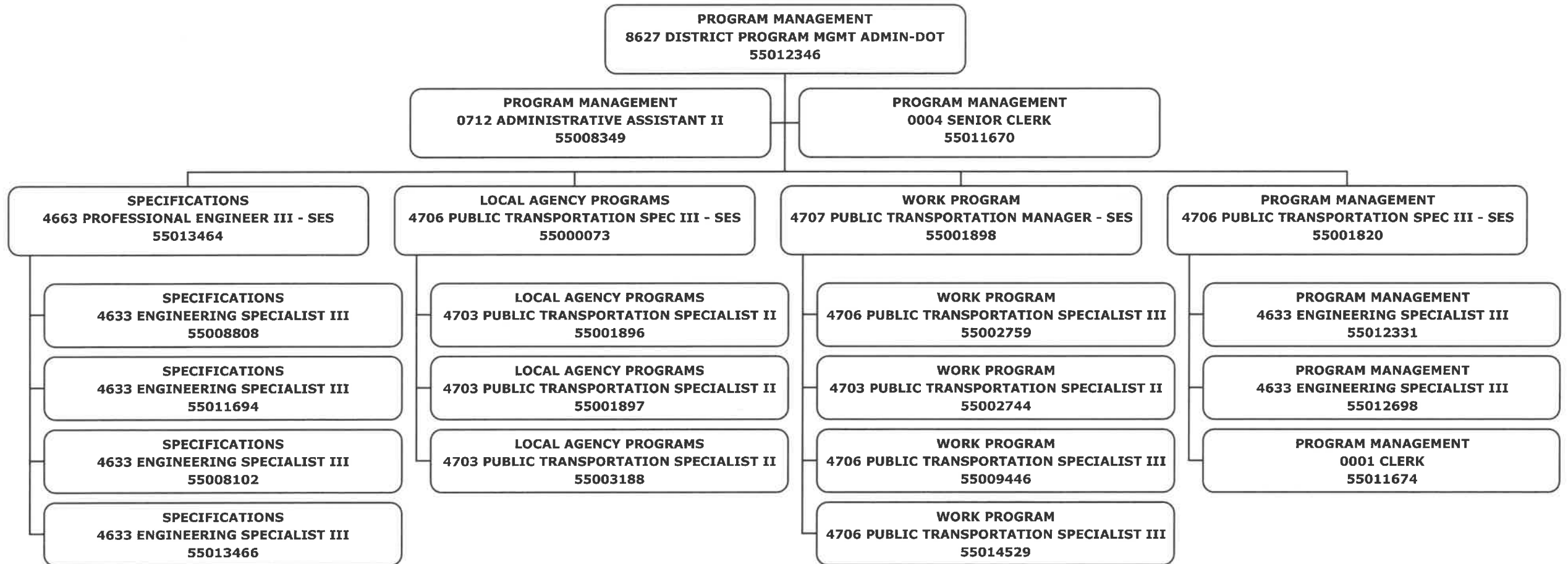


FLORIDA DEPARTMENT OF TRANSPORTATION

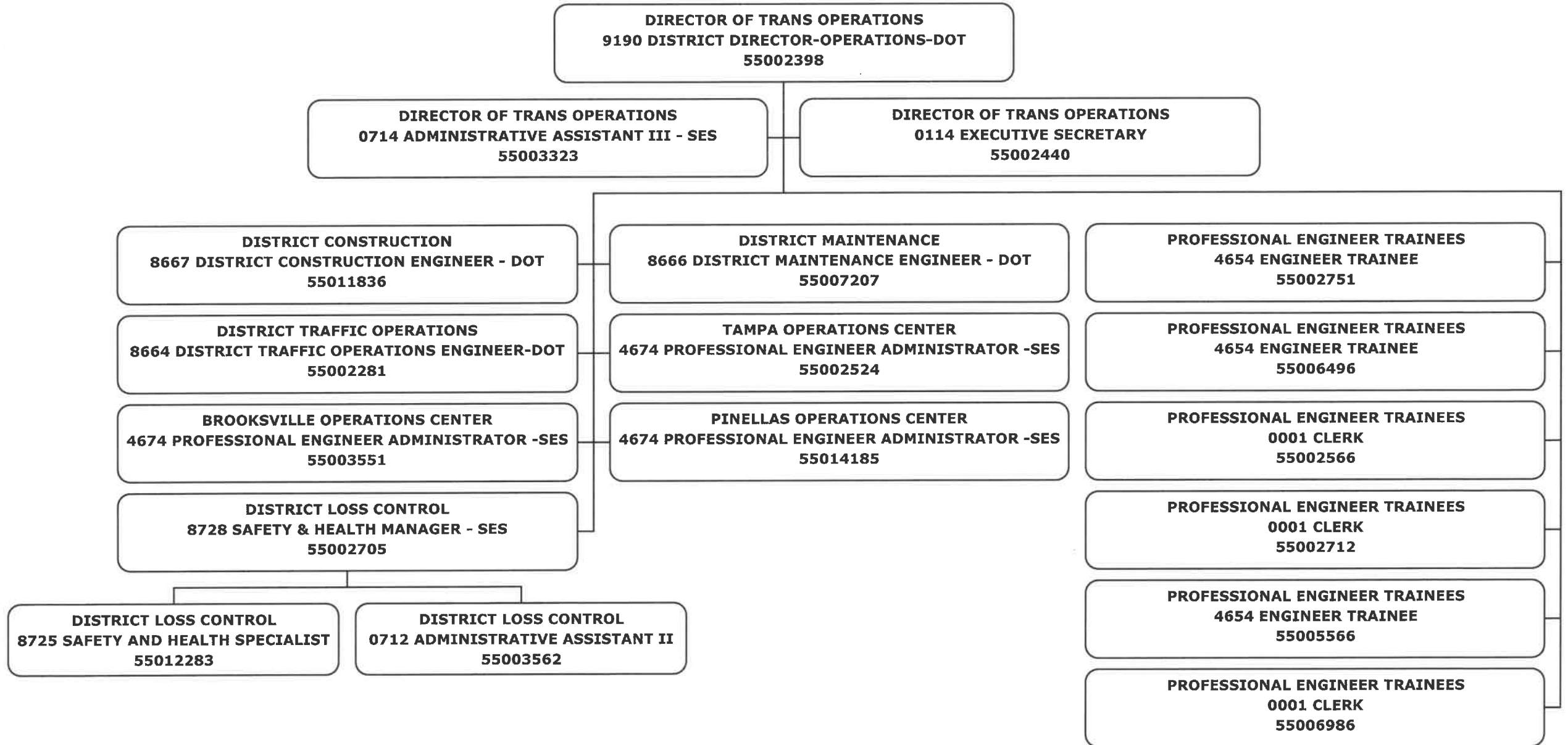
DISTRICT SEVEN



FLORIDA DEPARTMENT OF TRANSPORTATION
DISTRICT SEVEN

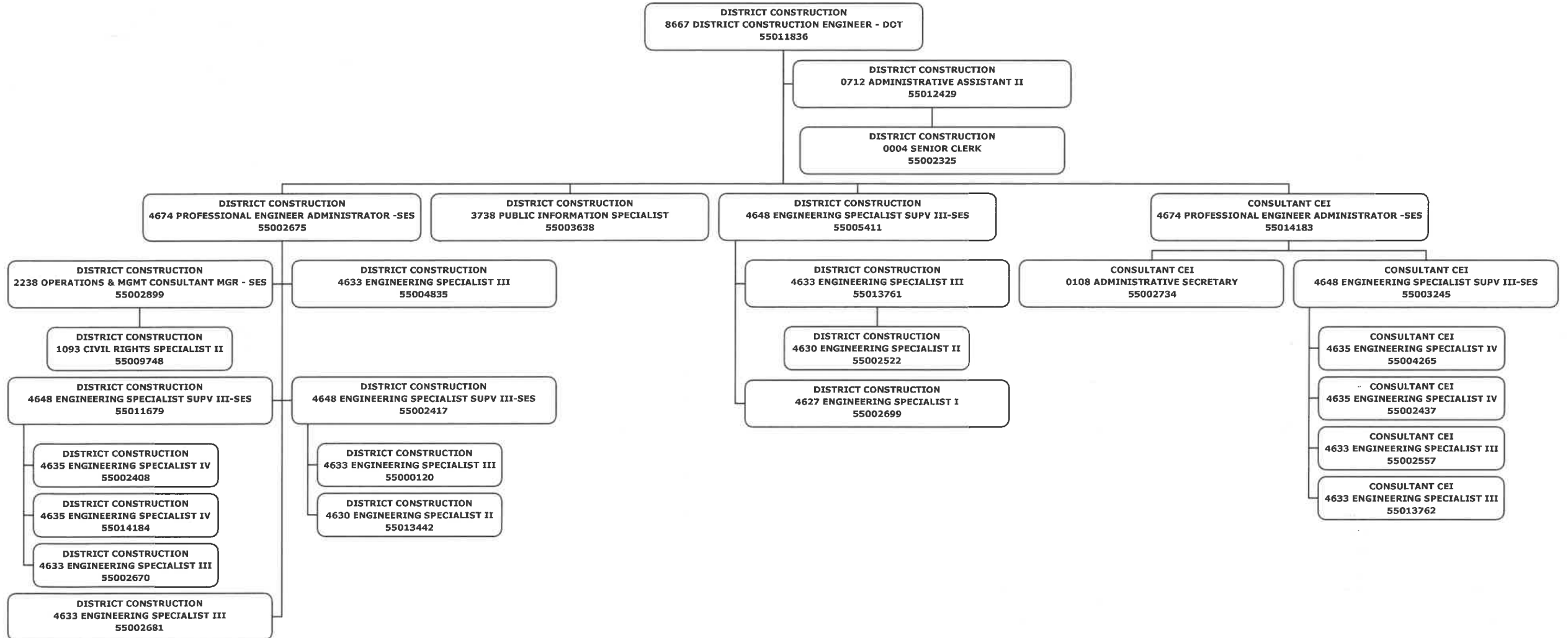


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DISTRICT SEVEN



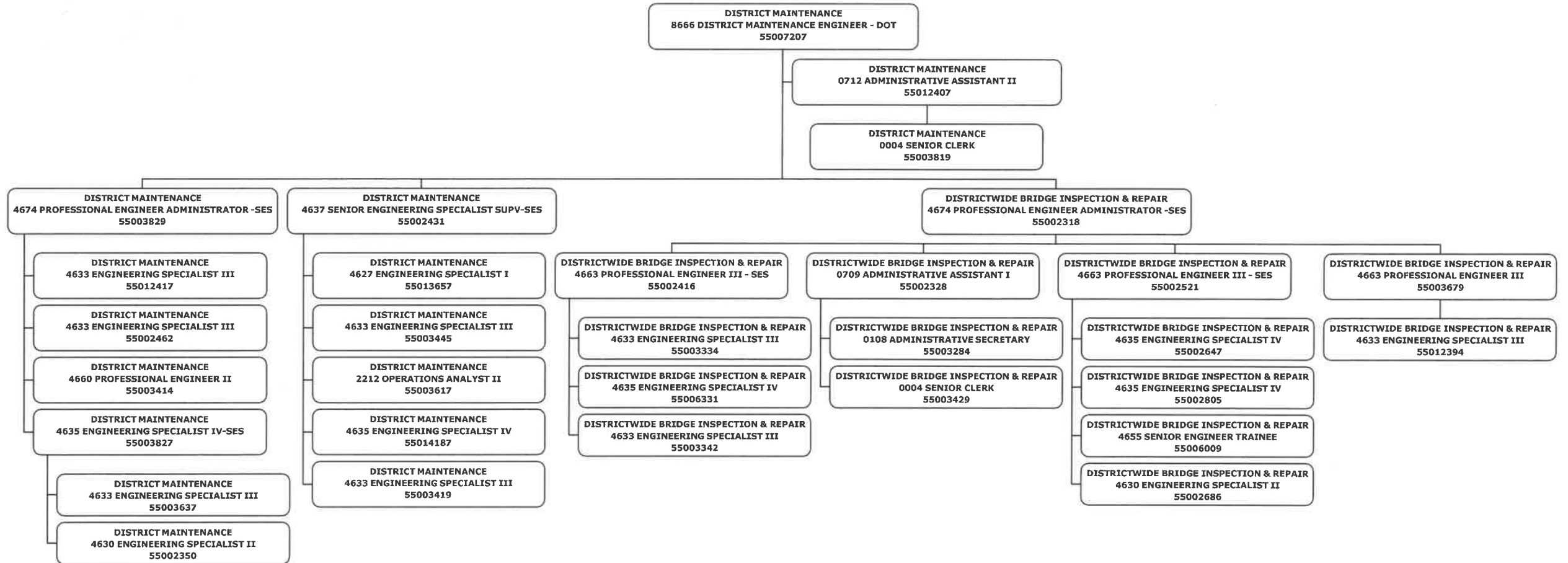
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DISTRICT SEVEN



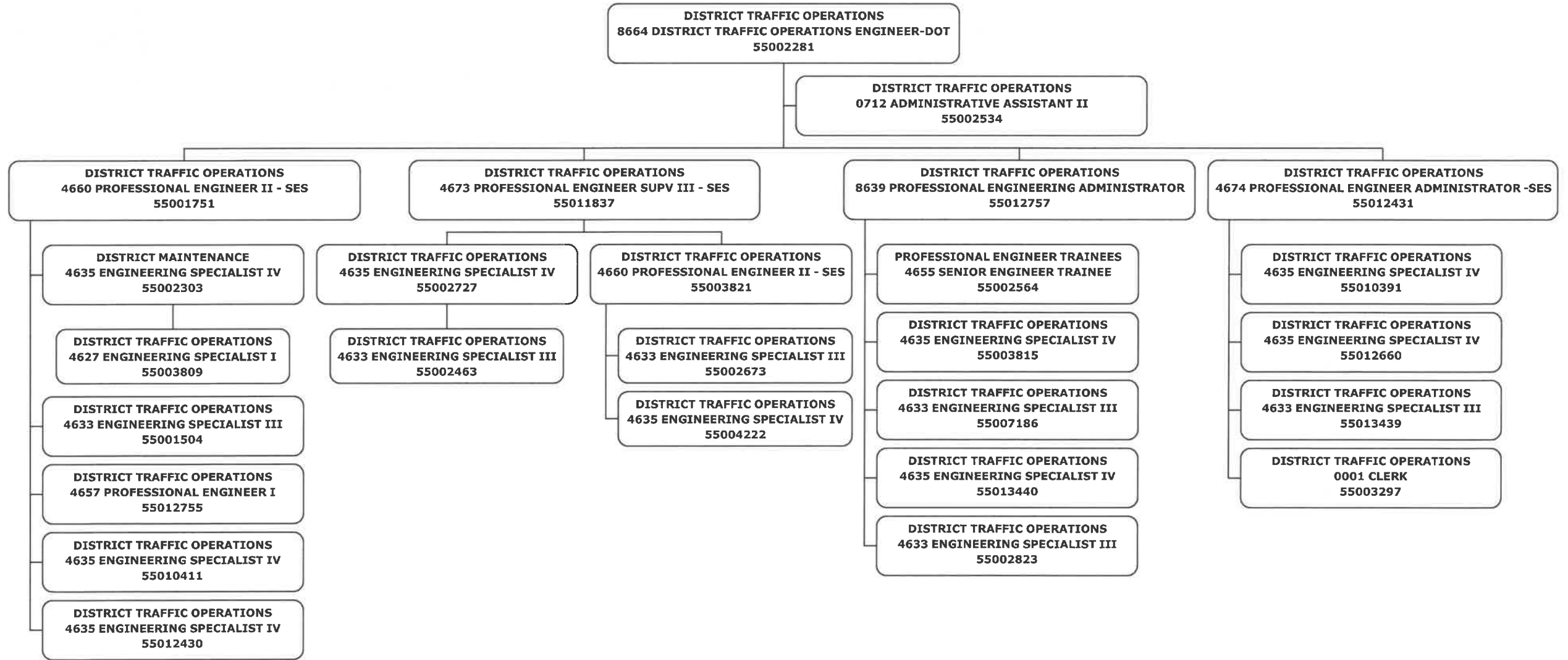
FLORIDA DEPARTMENT OF TRANSPORTATION

DISTRICT SEVEN



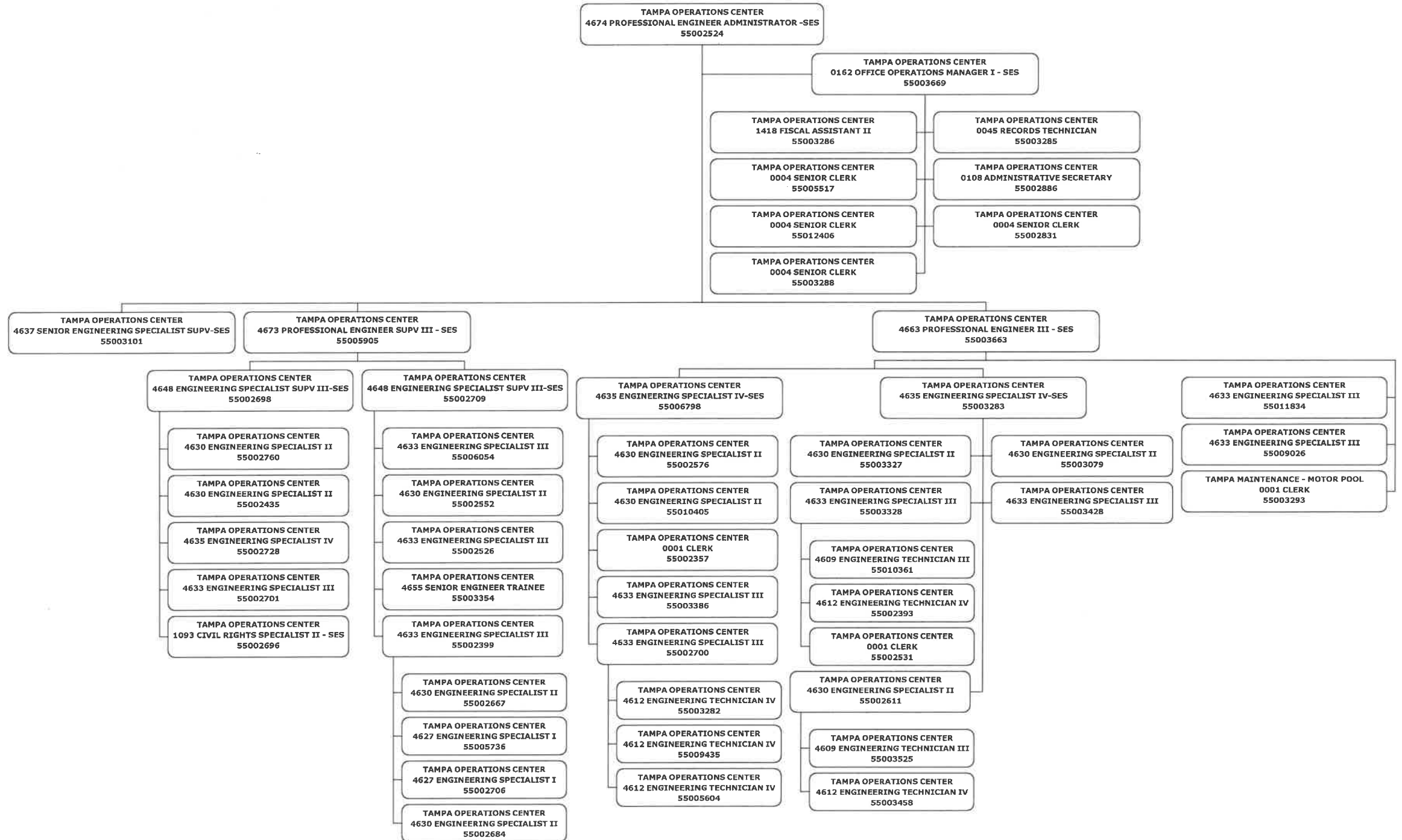
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DISTRICT SEVEN



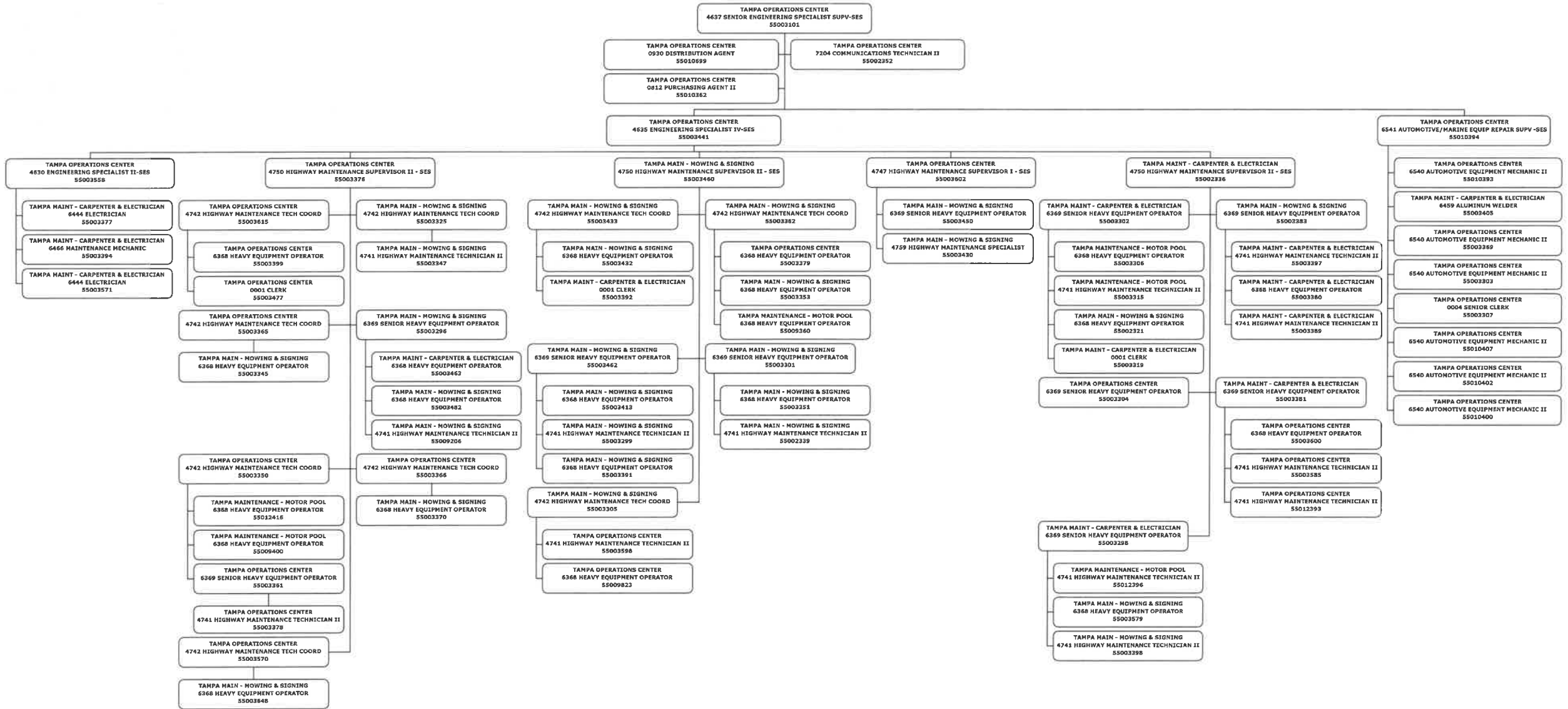
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DISTRICT SEVEN



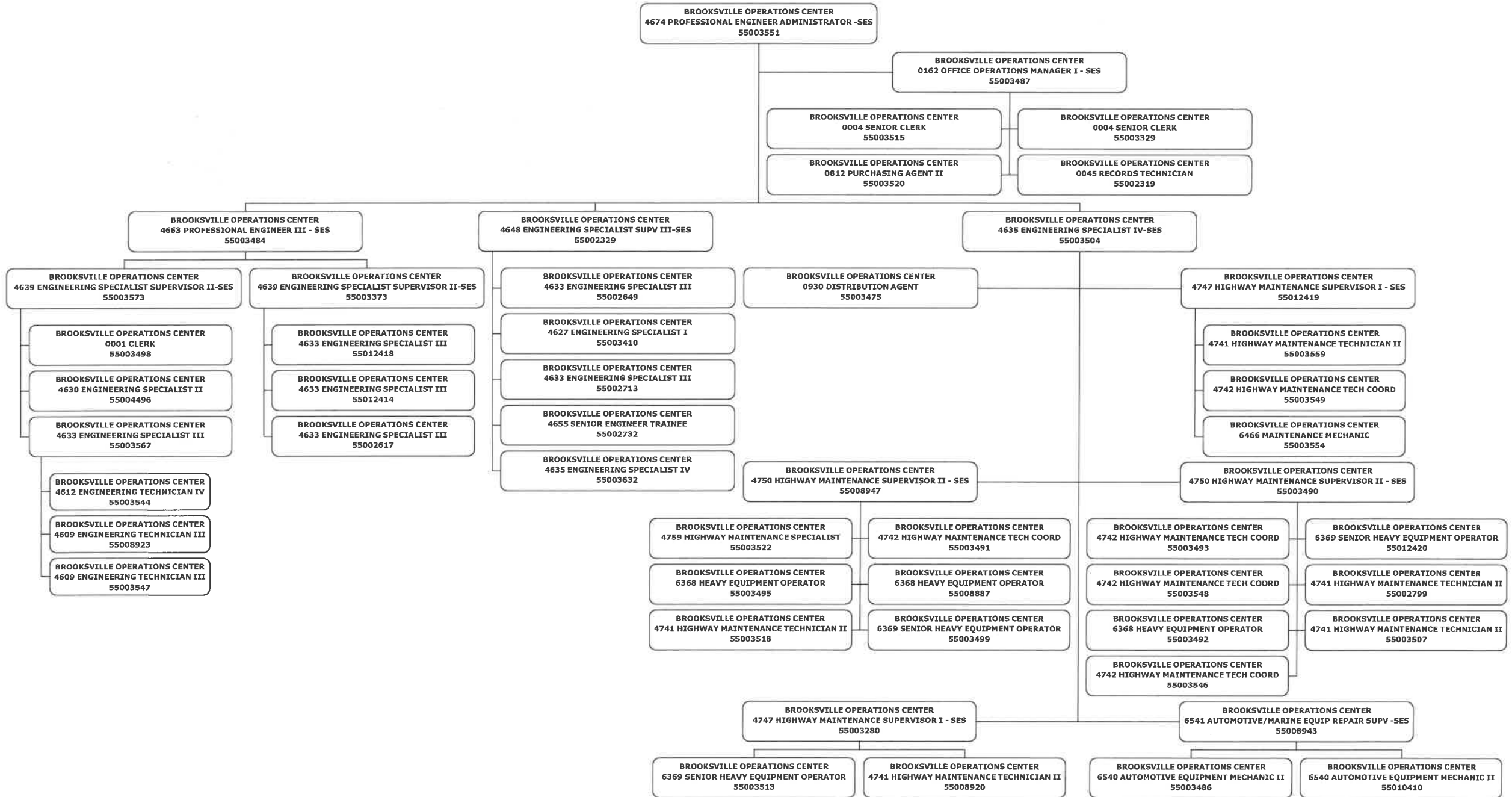
FLORIDA DEPARTMENT OF TRANSPORTATION

DISTRICT SEVEN



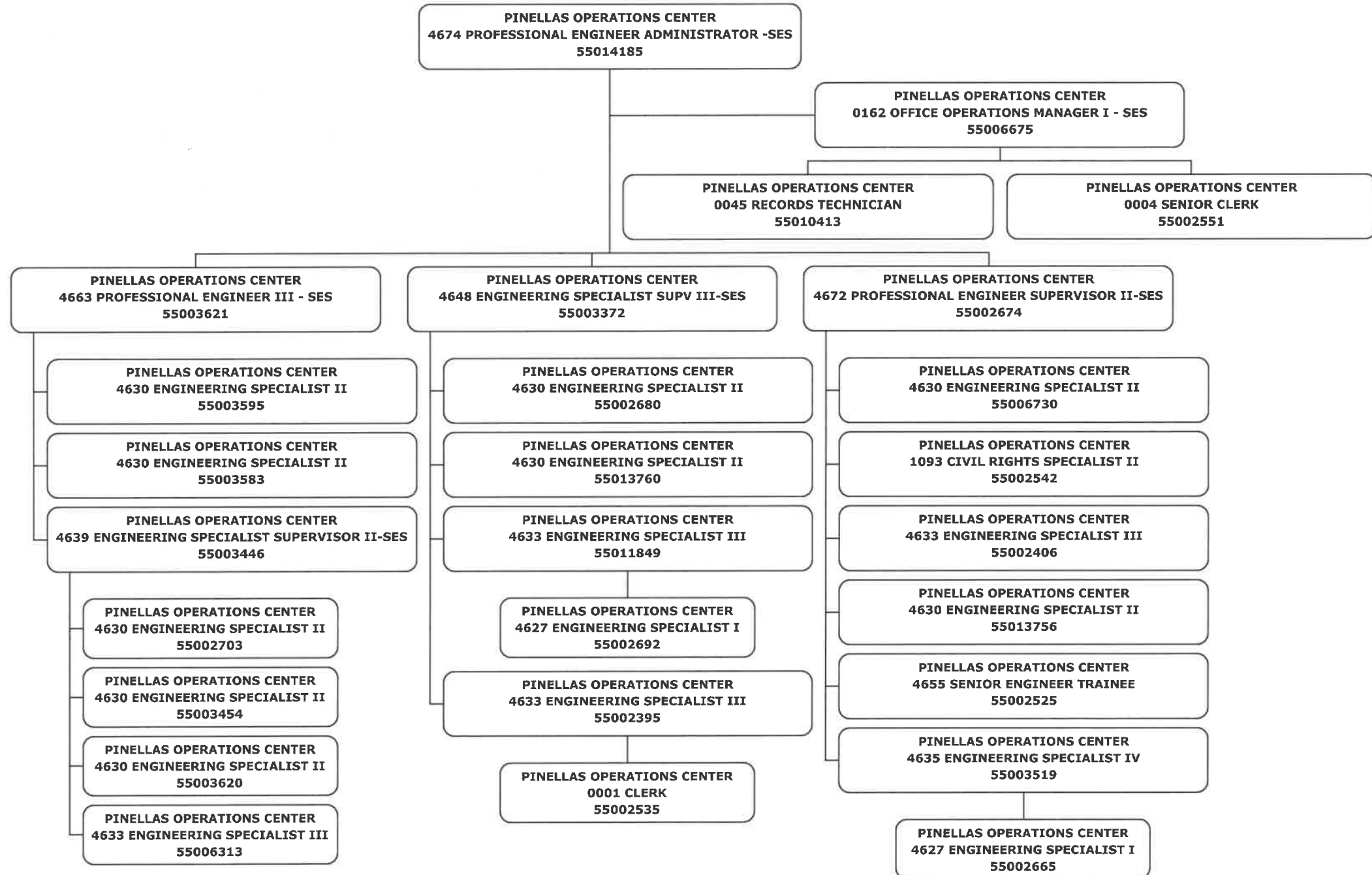
FLORIDA DEPARTMENT OF TRANSPORTATION

DISTRICT SEVEN

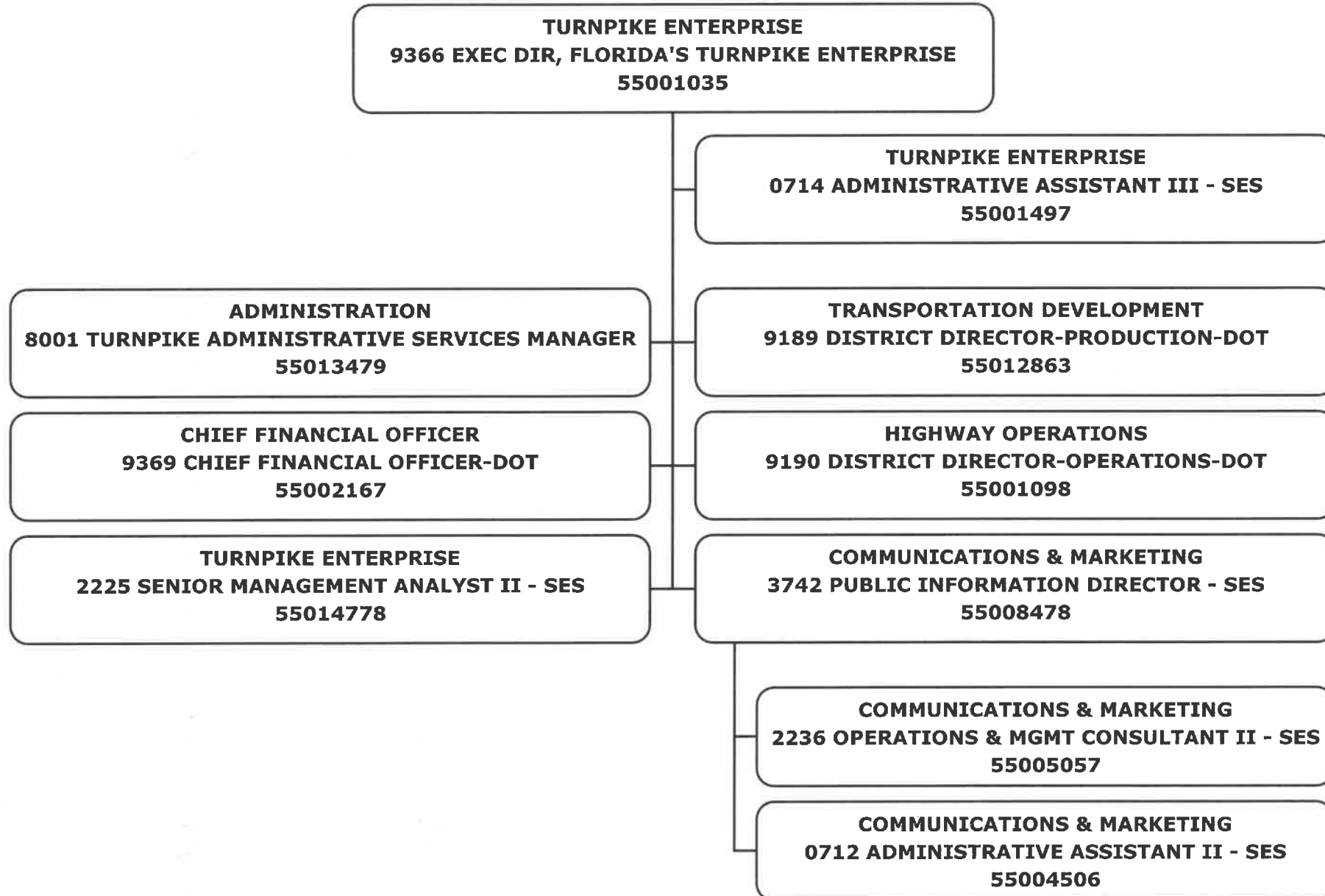


FLORIDA DEPARTMENT OF TRANSPORTATION

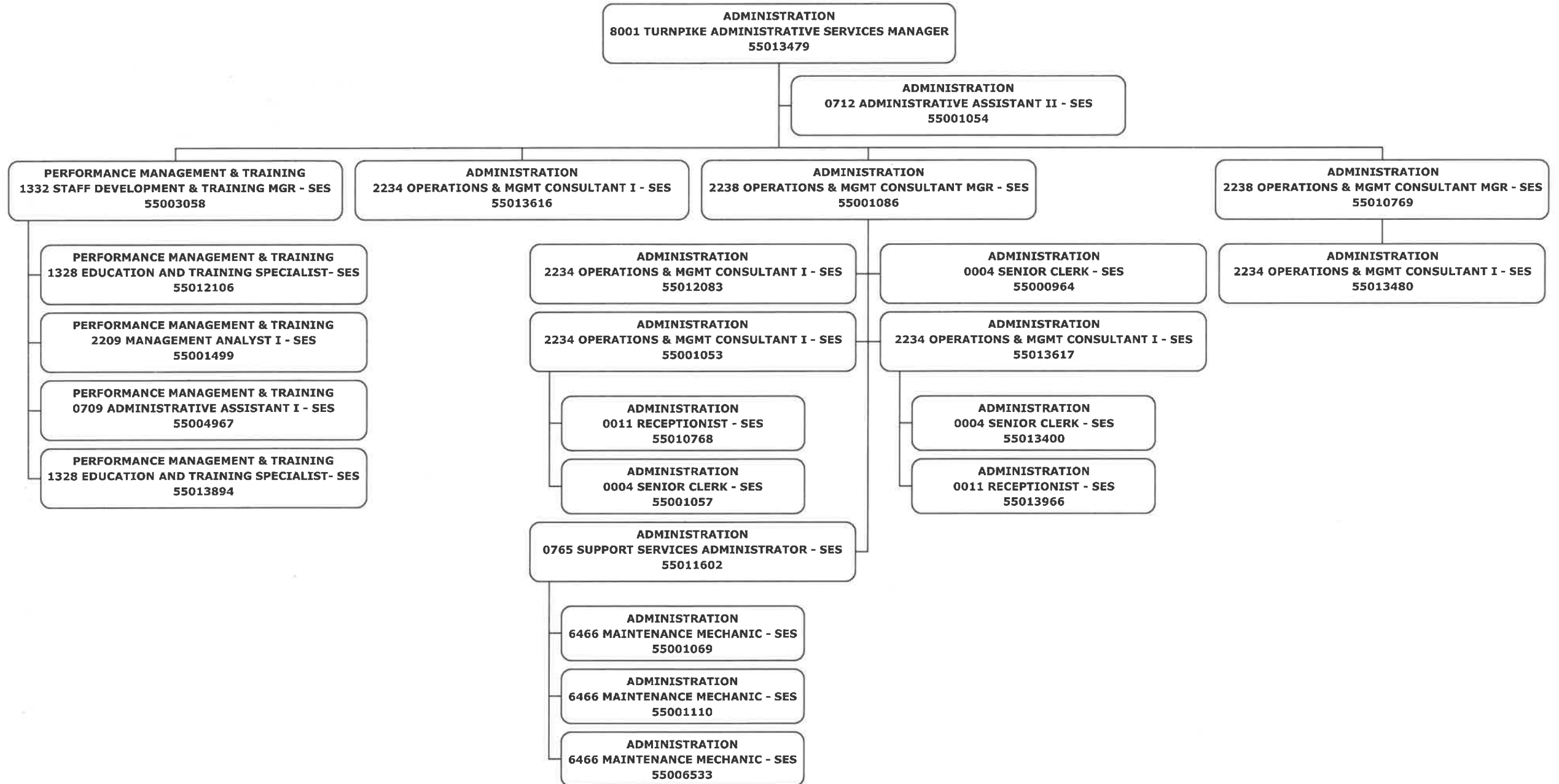
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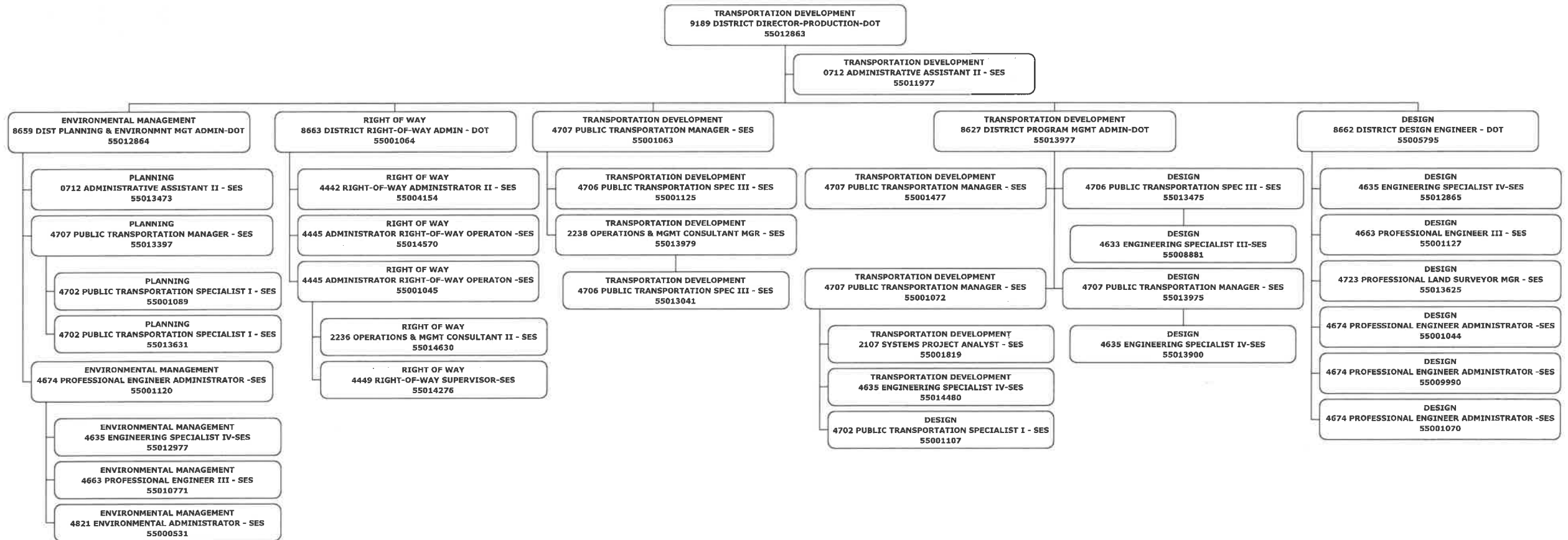
FLORIDA DEPARTMENT OF TRANSPORTATION
TURNPIKE ENTERPRISE



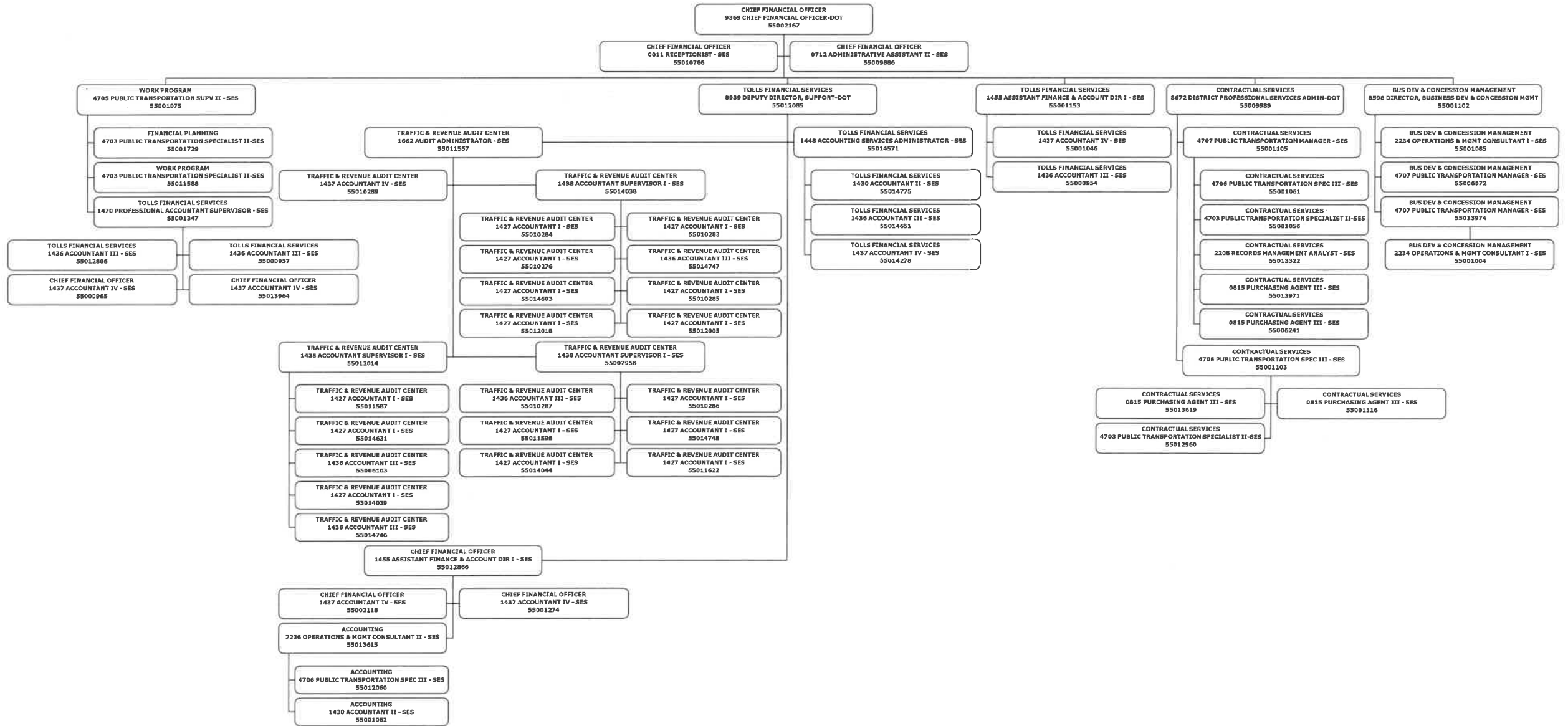
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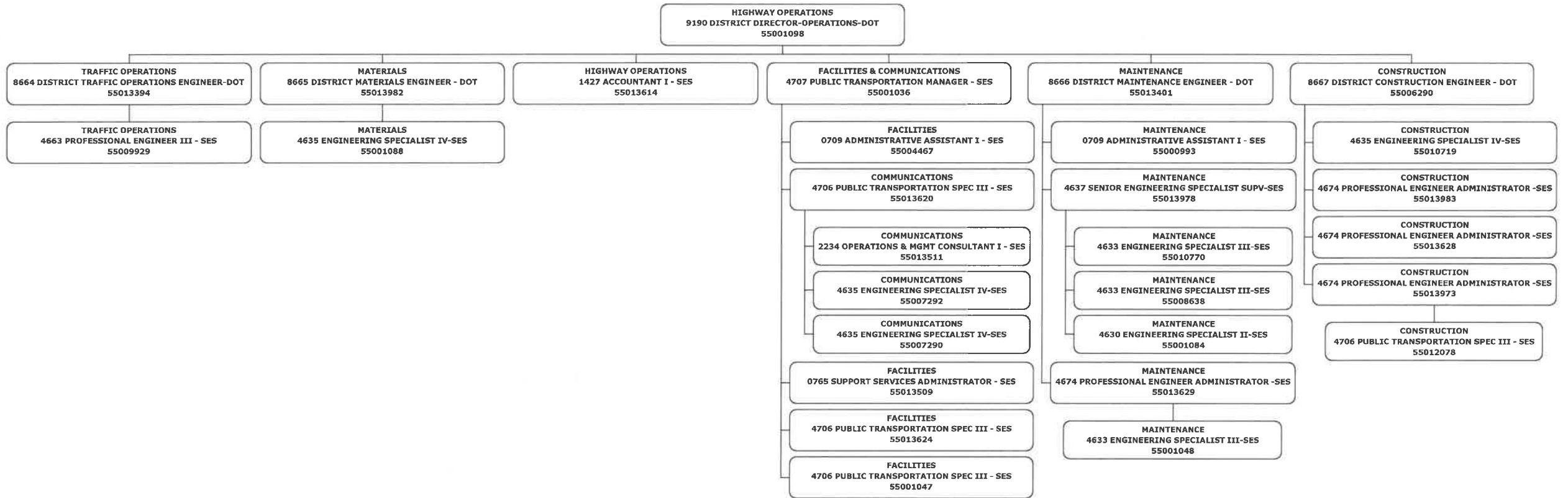
FLORIDA DEPARTMENT OF TRANSPORTATION TURNPIKE ENTERPRISE



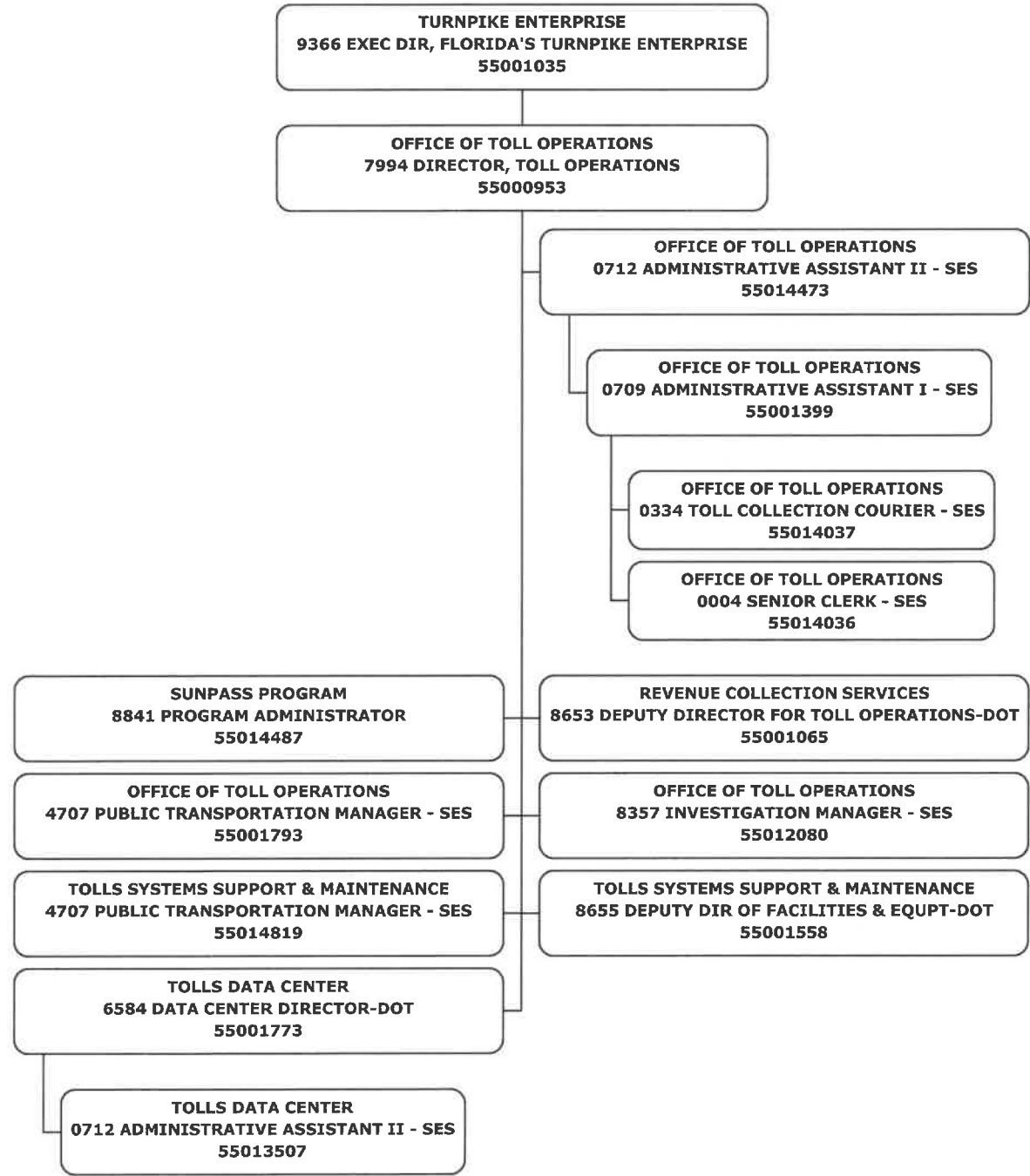
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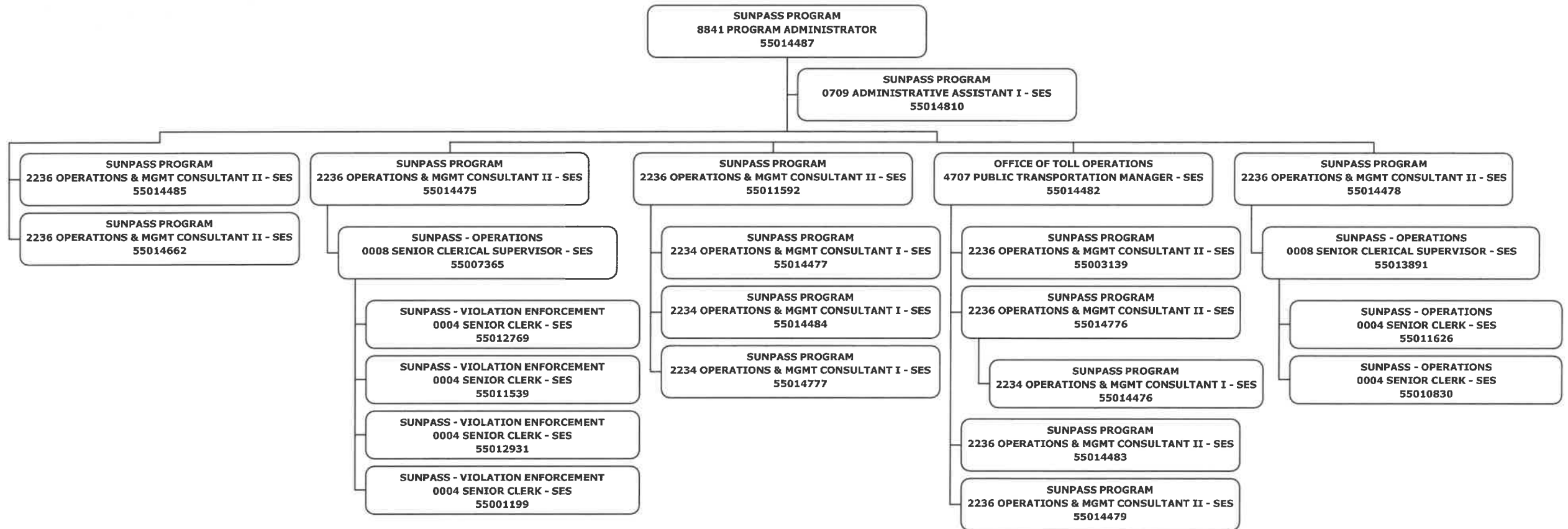
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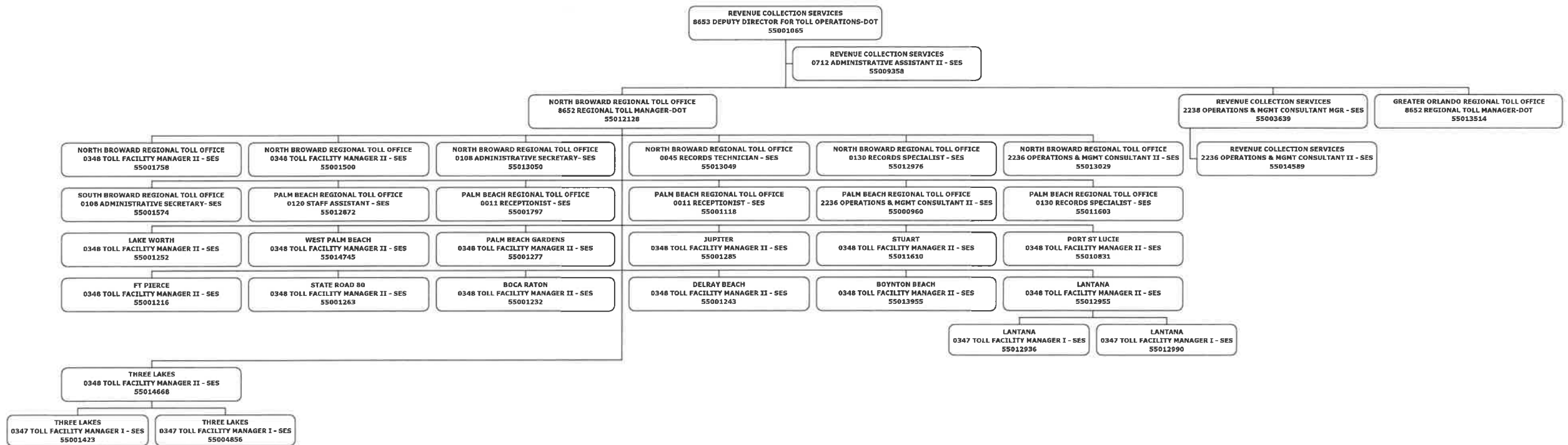
FLORIDA DEPARTMENT OF TRANSPORTATION
TURNPIKE ENTERPRISE



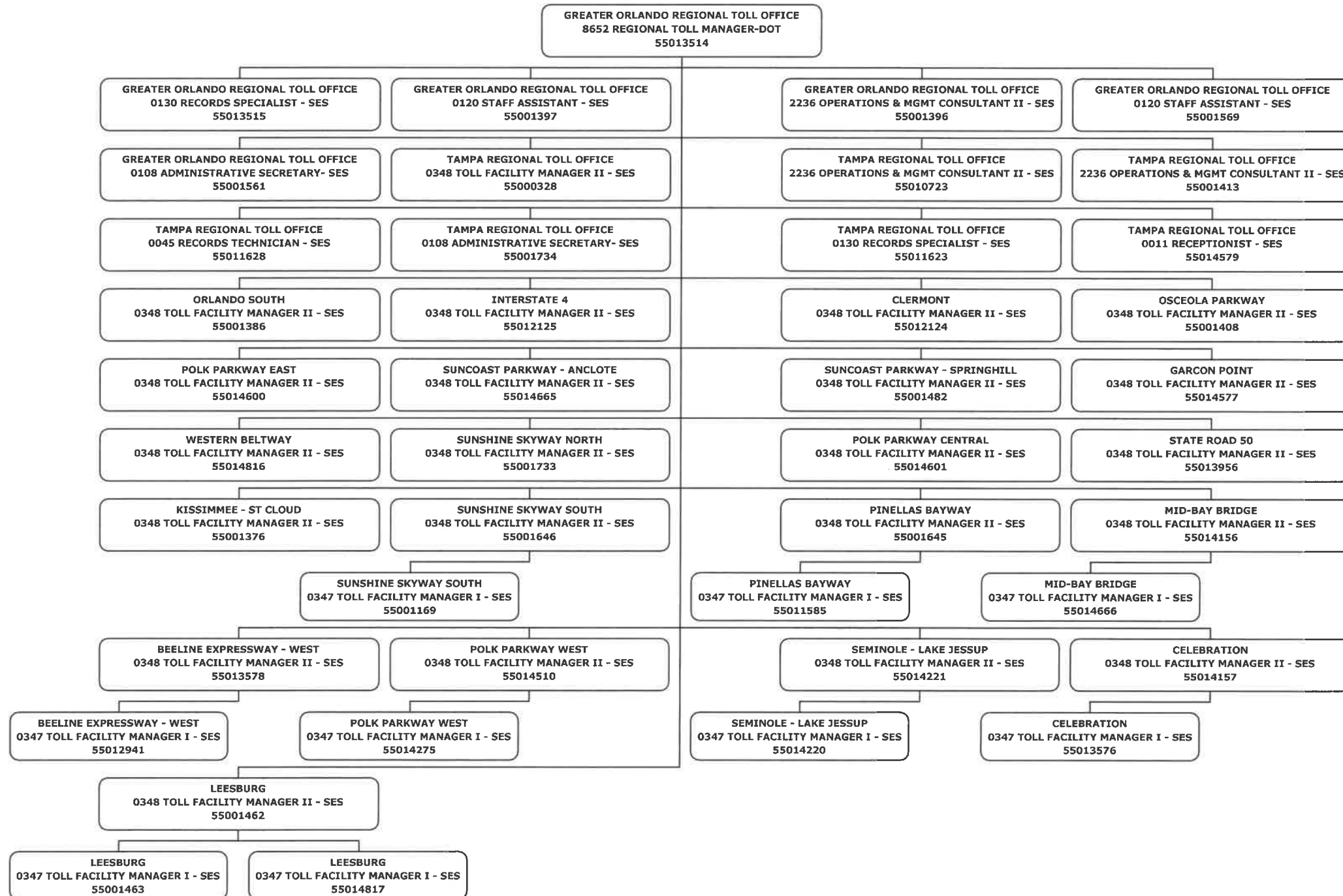
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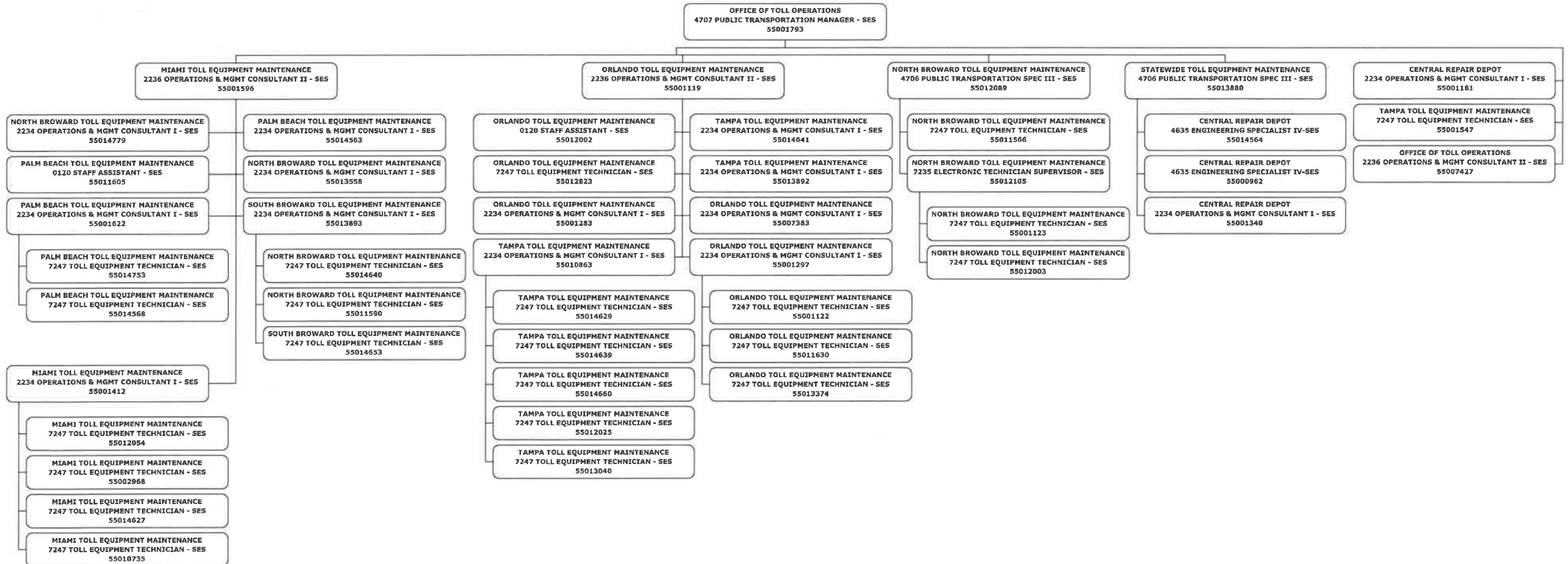
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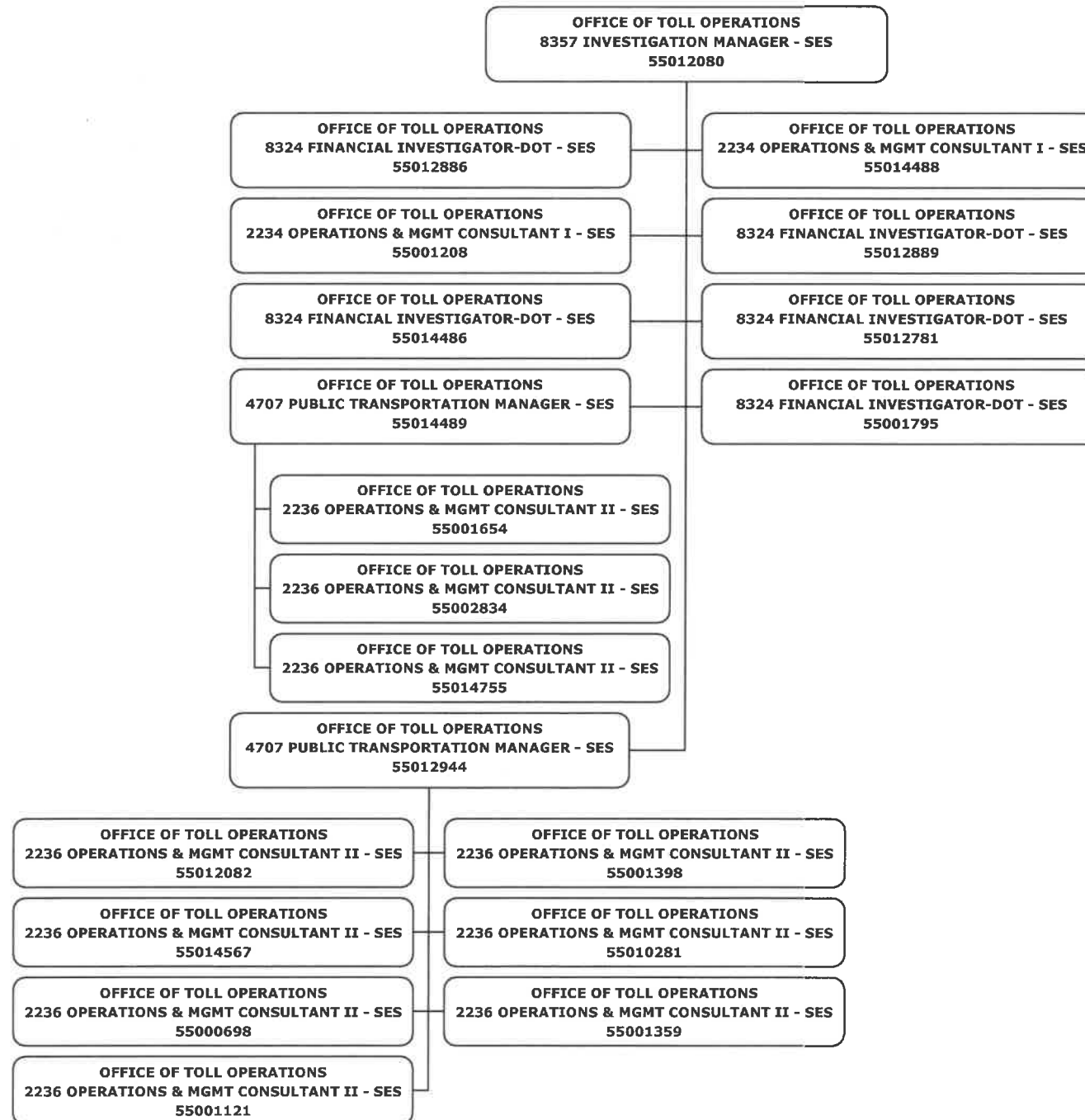
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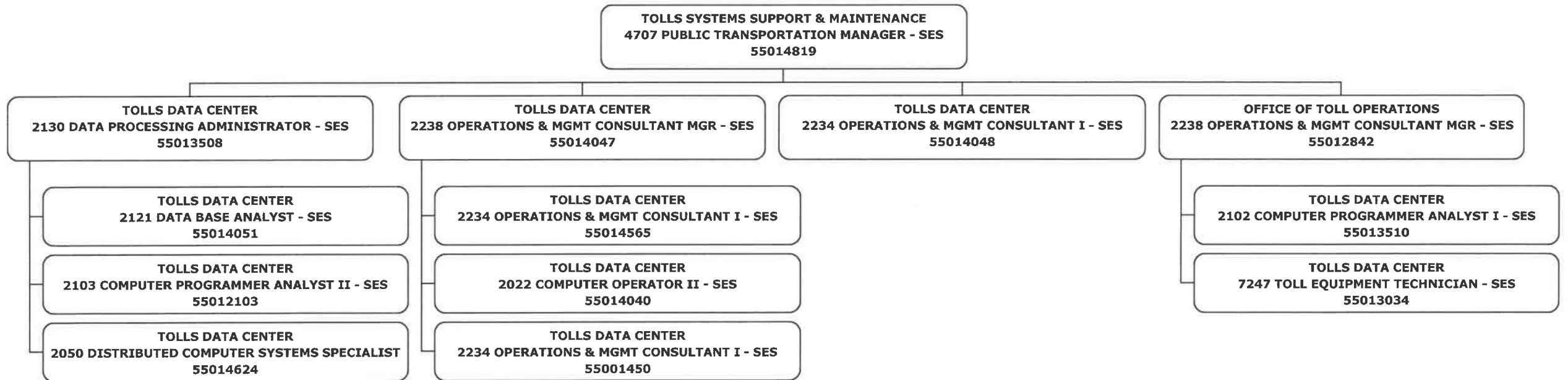
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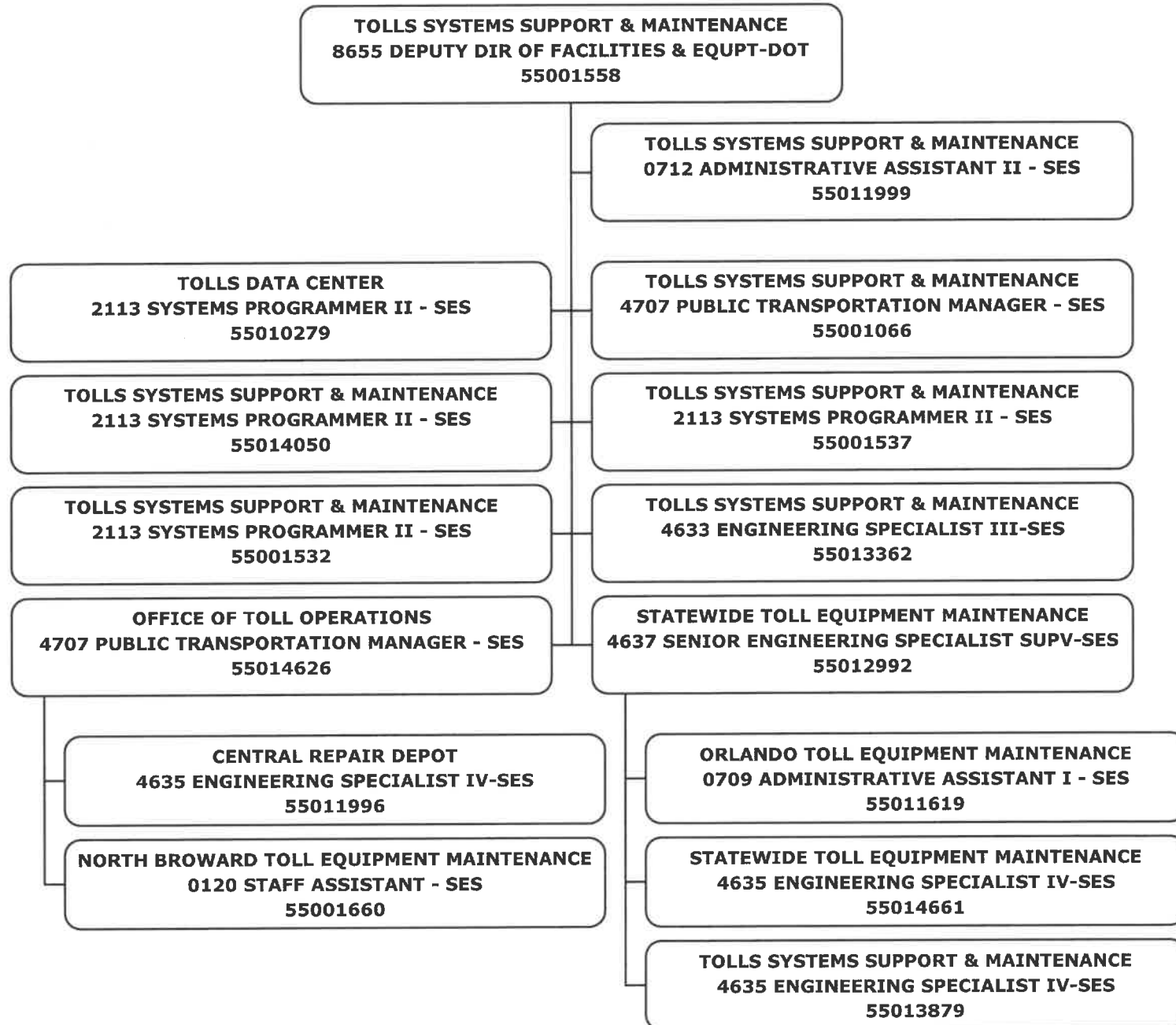
FLORIDA DEPARTMENT OF TRANSPORTATION TURNPIKE ENTERPRISE



FLORIDA DEPARTMENT OF TRANSPORTATION
TURNPIKE ENTERPRISE



FLORIDA DEPARTMENT OF TRANSPORTATION
TURNPIKE ENTERPRISE



TRANSPORTATION, DEPARTMENT OF		FISCAL YEAR 2018-19			
SECTION I: BUDGET		OPERATING	FIXED CAPITAL OUTLAY		
TOTAL ALL FUNDS GENERAL APPROPRIATIONS ACT		779,825,026	10,083,592,626		
ADJUSTMENTS TO GENERAL APPROPRIATIONS ACT (Supplementals, Vetoes, Budget Amendments, etc.)		14,738,088	1,915,912,964		
FINAL BUDGET FOR AGENCY		794,563,114	11,999,505,590		
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.		239	0.00		2,721,943,380
Arterial Highways * Arterial highway lane miles contracted for highway capacity improvements.		35	0.00		215,754,186
Resurface Roads * Number of lane miles contracted for resurfacing.		1,918	0.00		508,930,383
Repair And Replace Bridges * Number of bridges contracted for repair or replacement.		100	0.00		140,899,894
Preliminary Engineering * Number of projects with preliminary engineering provided.		992	139,546.08	138,429,714	987,733,179
Materials Testing And Research * Number of projects with materials and research provided.		62	662,418.35	41,069,938	12,780,775
Construction Engineering Inspection * Number of projects with construction engineering inspection provided.		350	239,179.89	83,712,962	451,575,025
Planning * Number of projects with planning provided.		352	97,052.54	34,162,494	132,520,794
Right Of Way Land * Number of Right-of-Way parcels acquired.		970	0.00		474,416,836
Right Of Way Support * Number of projects with right of way support provided.		930	33,053.74	30,739,980	50,298,458
Aviation * Number of aviation projects.		300	0.00		354,282,113
Transit * Number of public transit passenger trips provided.		216,676,510	0.00		272,346,734
Transportation Disadvantaged * Number of trips provided (Transportation Disadvantaged).		10,129,858	6.18	62,584,387	
Rail * Number of rail projects.		174	0.00		167,236,875
Intermodal * Number of intermodal projects.		67	0.00		44,616,529
Seaports * Number of seaport projects.		37	0.00		121,951,891
Bridge Inspection * Number of bridge inspections conducted.		5,817	0.00		15,089,947
Routine Maintenance *		42,402	4,620.56	195,921,163	1,052,524,925
Traffic Engineering * Number of projects with traffic engineering provided.		37	1,517,448.86	56,145,608	173,448,656
Motor Carrier Compliance * Number of commercial vehicle weighing's performed.		22,080,731	0.64	14,111,170	
Toll Operations * Total cost per active SunPass account.		6,585,509	12.87	84,771,635	178,540,983
TOTAL				741,649,051	8,076,891,563
SECTION III: RECONCILIATION TO BUDGET					
PASS THROUGHS					
TRANSFER - STATE AGENCIES					
AID TO LOCAL GOVERNMENTS					
PAYMENT OF PENSIONS, BENEFITS AND CLAIMS					
OTHER				10,431,917	538,743,666
REVERSIONS				35,719,206	3,383,870,361
TOTAL BUDGET FOR AGENCY (Total Activities + Pass Throughs + Reversions) - Should equal Section I above. (4)				787,800,174	11,999,505,590

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.

Footnotes to Schedule XI, Agency Level Unit Cost
Summary - September 2019 Submission

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

Activity/Measure	Number of Units	Unit Cost	FY 2018/19 Expenditures		
			Allocated	FCO	Total
Exec Direction and Info Tech					
Intrastate Highways (Intrastate highways lane miles contracted for highway capacity improvements)	239	11,388,884.44		2,721,943,380	2,721,943,380
Arterial Highways (Arterial highways lane miles contracted for highway capacity improvements)	35	6,164,405.31		215,754,186	215,754,186
Resurface Roads (Number of lane miles contracted for resurfacing)	1,918	265,344.31		508,930,383	508,930,383
Repair and Replace Bridges (Number of bridges contracted for repair or replacement)	100	1,408,998.94		140,899,894	140,899,894
Preliminary Engineering (Number of projects with preliminary engineering provided)	992	1,135,244.85	138,429,714	987,733,179	1,126,162,893
Material Testing and Research (Number of projects with materials and testing provided)	62	868,559.89	41,069,938	12,780,775	53,850,713
Construction Engineering Inspection (Number of projects with Construction Engr provided)	350	1,529,394.25	83,712,962	451,575,025	535,287,987
Planning (Number of projects with planning provided)	352	473,532.07	34,162,494	132,520,794	166,683,288
Right of Way Land (Number of Right-of-Way parcels acquired)	970	489,089.52		474,416,836	474,416,836

Footnotes to Schedule XI, Agency Level Unit Cost
Summary - September 2019 Submission

Activity/Measure	Number of Units	Unit Cost	FY 2018/19 Expenditures		
			Allocated	FCO	Total
Right of Way Support (Number of projects with right-of-way support provided)	930	87,138.11	30,739,980	50,298,458	81,038,438
Aviation (Number of aviation projects)	300	1,180,940.38		354,282,113	354,282,113
Transit (Number of public transit passenger trips provided)	216,676,510	1.26		272,346,734	272,346,734
Transportation Disadvantaged [Number of trips provided (transportation disadvantaged)]	10,129,858	6.18	62,584,387		62,584,387
Rail (Number of rail projects)	174	961,131.47		167,236,875	167,236,875
Intermodal (Number of intermodal projects)	67	665,918.34		44,616,529	44,616,529
Seaports (Number of Seaport projects)	37	3,295,997.05		121,951,891	121,951,891
Public Transportation Operations (Number of projects in public transportation operations)		See Note 3			0
Bridge Inspection (Number of bridges inspected)	5,817	2,594.11		15,089,947	15,089,947
Routine Maintenance (Lane miles maintained on the State Highway System)	42,402	29,443.09	195,921,163	1,052,524,925	1,248,446,088
Traffic Engineering (Number of projects with traffic engineering provided)	37	6,205,250.38	56,145,608	173,448,656	229,594,264
Motor Carrier Compliance (Number of commercial vehicles weighed)	22,080,731	0.64	14,111,170		14,111,170
Toll Operations (Total cost per active SunPass account)	6,585,509	39.98	84,771,635	178,540,983	263,312,618
Total			741,649,051	8,076,891,563	8,818,540,614

Footnotes to Schedule XI, Agency Level Unit Cost
Summary - September 2019 Submission

2. The expenditures exception of \$6,762,940 noted at the end of Section III relates to the Carry Forward budget for the Rail Enterprise and Turnpike budget entities. It shows that Sections II and III (expenditures plus reversions) do not account for \$6,762,940 of budget that was available in 2018/19 as reflected in Section I. Rail Enterprise & Turnpike operating budget 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 2018/19 expenditure in Section II because this budget was neither disbursed nor committed at June 30, 2019.

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

Schedule XIV Variance from Long Range Financial Outlook

Agency: Department of Transportation

Contact: Mechelle Marcum

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

- 1) Does the long range financial outlook adopted by the Joint Legislative Budget Commission in September 2019 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 2020-2021 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 2020-2021 Estimate/Request Amount	
			Long Range Financial Outlook	Legislative Budget Request
a	Work Program	Y	\$8.8 Billion	\$8.8 Billion
b				
c				
d				
e				
f				

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

The Department of Transportation develops a Work Program, which is the list of transportation projects planned for the following five years. It is supported by a balanced five-year finance plan and a three-year cash forecast of receipts and expenditures. Funding projections for each year are based on Revenue Estimating Conferences (REC) held throughout the year. The August 2019 REC revenues will be programmed into the Tentative Work Program and be used by the Governor and Legislature for consideration. The development cycle enables FDOT to incorporate policy changes and Revenue Estimating Conference adjustments so the preliminary plan can be timely and accurately submitted to the Governor and Legislature 14 days prior to convening of the regular Legislative Session. The final plan is submitted 14 days after the start of Session.

* R/B = Revenue or Budget Driver

Office of Policy and Budget - June 2019



**LEGISLATIVE
BUDGET REQUEST
2020-2021**

**Budget Entity Level
Exhibits and Schedules**



**LEGISLATIVE
BUDGET REQUEST
2020-2021**

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

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

Budget Period: 2020 - 2021

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

	Balance as of 6/30/2019	SWFS* Adjustments	Adjusted Balance
Chief Financial Officer's (CFO) Cash Balance	4,168,822 (A)		4,168,822
ADD: Other Cash (See Instructions)			0
ADD: Investments	63,191,226 (C)		63,191,226
ADD: Outstanding Accounts Receivable	192,621 (D)		192,621
ADD: Anticipated revenues for future commitments	114,858,992 (E)		114,858,992
Total Cash plus Accounts Receivable	182,411,661 (F)	0	182,411,661
LESS Allowances for Uncollectibles			0
LESS Approved "A" Certified Forwards			0
Approved "B" Certified Forwards			0
Approved "FCO" Certified Forwards	182,367,292 (H)		182,367,292
LESS: Other Accounts Payable (Nonoperating)	44,369 (I)		44,369
LESS: FCO not included on Sch I			0
Unreserved Fund Balance, 07/01/19	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: 2020 - 2021
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, 07/01/19

Total all GLC's 5XXXX for governmental funds; GLC 539XX for proprietary and fiduciary funds	61,899,272	(A)
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Subtract Nonspendable Fund Balance (GLC 56XXX)		(B)
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Add/Subtract Statewide Financial Statement (SWFS) Adjustments :

SWFS Adjustment # and Description		(C)
-----------------------------------	--	-----

SWFS Adjustment # and Description		(C)
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Add/Subtract Other Adjustment(s):

Approved "B" Carry Forward (Encumbrances) per LAS/PBS		(D)
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Approved "E" Carry Forward Total (FCO) per LAS/PBS	(182,367,292)	(D)
--	---------------	-----

Anticipated revenues for future commitments	114,858,992	(D)
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A/P not C/F - FCO Categories	5,609,028	(D)
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ADJUSTED BEGINNING TRIAL BALANCE:	0	(E)
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UNRESERVED FUND BALANCE, SCHEDULE IC (Line K)	0	(F)
--	----------	-----

DIFFERENCE:	0	(G)*
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***SHOULD EQUAL ZERO.**

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

Department Title:	Budget Period: 2020 - 2021
Trust Fund Title:	Department of Transportation
Budget Entity:	Turnpike General Reserve TF
LAS/PBS Fund Number:	2326

	Balance as of 6/30/2019		SWFS* Adjustments	Adjusted Balance
Chief Financial Officer's (CFO) Cash Balance	3,417,298	(A)		3,417,298
ADD: Other Cash (See Instructions)	2,795,207	(B)		2,795,207
ADD: Investments	940,283,226	(C)		940,283,226
ADD: Outstanding Accounts Receivable	67,842,416	(D)	(562,810)	67,279,606
ADD: Anticipated revenues for future commitments	771,038,689	(E)		771,038,689
Total Cash plus Accounts Receivable	1,785,376,836	(F)	(562,810)	1,784,814,026
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	1,749,287,736	(H)		1,749,287,736
LESS: Other Accounts Payable (Nonoperating)	33,141,681	(I)		33,141,681
LESS: Unearned Revenue	2,384,609	(J)		2,384,609
LESS: _____		(J)		0
Unreserved Fund Balance, 07/01/19	562,810	(K)	(562,810)	(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: 2020 - 2021
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, 07/01/19	
Total all GLC's 5XXXX for governmental funds;	9,608,097,838 (A)
GLC 539XX for proprietary and fiduciary funds	
Subtract Nonspendable Fund Balance (GLC 56XXX)	(B)
Add/Subtract Statewide Financial Statement (SWFS) Adjustments :	
SWFS Adjustment # B5500014	(562,810) (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	(1,749,287,736) (D)
A/P not C/F-FCO	60,302,917 (D)
Long-Term Receivables	(366,590,431) (D)
Allowance for Uncollectibles - Long Term	0 (D)
Supply Inventory	(5,121,738) (D)
Goods Purchased for Resale	(805,631) (D)
Prepays	0 (D)
Non-Spendable Investments	(1,553,734) (D)
Current Bonds Payable	134,200,000 (D)
Deferred Inflows on Service Concession Arrangements	141,507,347 (D)
Long-Term Unearned Revenue	301,852 (D)
Long-Term Payables from Restricted Assets	22,964,221 (D)
Long-Term Bonds Payable	2,589,924,647 (D)
Fixed Assets GLC 26xxx	(8,512,299,240) (D)
Fixed Assets GLC 27xxx	(2,655,432,218) (D)
Fixed Assets GLC 28xxx	(36,683,974) (D)
Anticipated revenues for future commitments	771,038,689 (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: 2020 - 21**
Program: OUTDOOR ADVERTISING
Fund: 2540
Specific Authority: Chapter 479, Florida Statutes
Purpose of Fees Collected: To offset the total cost of the outdoor advertising program

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

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

<u>SECTION I - FEE COLLECTION</u>	ACTUAL	ESTIMATED	REQUEST
	FY 2018 - 19	FY 2019 - 20	FY 2020 - 21
Receipts:			
<u>Permit Renewals/New Tags</u>	\$1,224,519.25	\$1,210,000.00	\$1,200,000.00
<u>Licenses</u>	\$174,900.00	\$176,000.00	\$175,500.00
<u>Reinstatements/Delinquent Fees</u>	\$14,451.30	\$13,000.00	\$14,250.00
<u>Other Receipts</u>	\$65,796.56	\$21,064.61	\$4,400.00
Total Fee Collection to Line (A) - Section III	\$1,479,667.11	\$1,420,064.61	\$1,394,150.00

<u>SECTION II - FULL COSTS</u>			
Direct Costs:			
<u>Salaries and Benefits</u>	\$442,980.12	\$445,000.00	\$448,000.00
<u>Other Personal Services</u>			
<u>Expenses</u>	\$1,020,222.38	\$1,005,495.12	\$1,009,045.12
<u>Operating Capital Outlay</u>			
<u>Deficiency Recapture</u>	\$0.00	\$0.00	\$30,430.51
<u>Indirect Costs Charged to Trust Fund</u>			
Total Full Costs to Line (B) - Section III	\$1,463,202.50	\$1,450,495.12	\$1,487,475.63

Basis Used: _____

<u>SECTION III - SUMMARY</u>			
TOTAL SECTION I	(A)	\$1,479,667.11	\$1,420,064.61
TOTAL SECTION II	(B)	\$1,463,202.50	\$1,487,475.63
TOTAL - Surplus/Deficit	(C)	\$16,464.61	(\$30,430.51)

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

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

Budget Period: 2020 - 2021

Department Title:	Department of Transportation
Trust Fund Title:	State Transportation Trust Fund
Budget Entity:	
LAS/PBS Fund Number:	2540

	Balance as of 6/30/2019	SWFS* Adjustments	Adjusted Balance
Chief Financial Officer's (CFO) Cash Balance	85,854,092 (A)		85,854,092
ADD: Other Cash (See Instructions)	2,616,826 (B)		2,616,826
ADD: Investments	489,632,684 (C)		489,632,684
ADD: Outstanding Accounts Receivable	587,739,903 (D)	14,116,712	601,856,615
ADD: Estimated cash forecast for FCO projects	10,541,161,087 (E)		10,541,161,087
Total Cash plus Accounts Receivable	11,707,004,591 (F)	14,116,712	11,721,121,304
LESS Allowances for Uncollectibles	5,453,579 (G)		5,453,579
LESS Approved "A" Certified Forwards	18,513,278 (H)		18,513,278
LESS Approved "B" Certified Forwards	21,016,260 (H)		21,016,260
LESS Approved "FCO" Certified Forwards	11,045,962,602 (H)		11,045,962,602
LESS: Other Accounts Payable (Nonoperating)	8,932,128 (I)		8,932,128
LESS: Unearned Revenue	557,429,819 (J)		557,429,819
LESS: Deferred Inflows - Current Portion	63,813,638 (J)		63,813,638
Unreserved Fund Balance, 07/01/19	(14,116,712) (K)	14,116,712	(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: 2020 - 2021
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, 07/01/19		
Total all GLC's 5XXXX for governmental funds;	1,607,523,392	(A)
GLC 539XX for proprietary and fiduciary funds		
Subtract Nonspendable Fund Balance (GLC 56XXX)	(7,225,782)	(B)
Add/Subtract Statewide Financial Statement (SWFS) Adjustments :		
SWFS Adjustment # B5500013	6,538,624	(C)
SWFS Adjustment # B5500021	25,528,544	(C)
SWFS Adjustment # B5500036	(17,950,456)	(C)
Add/Subtract Other Adjustment(s):		
Approved "B" Carry Forward (Encumbrances) per LAS/PBS	(21,016,260)	(D)
Approved "E" Carry Forward Total (FCO) per LAS/PBS	(11,045,962,602)	(D)
A/P not C/F-Operating Categories	15,882,552	(D)
FCO not C/F	542,445,516	(D)
Compensated Absences	2,831,979	(D)
Deferred Outflows	(71,499,692)	(D)
Advances and Receivables- L/T	(656,796,989)	(D)
Allowance for Uncollectibles - L/T	37,887,143	(D)
Nonstate & Cu Investments with Stat	(1,249,351,472)	(D)
Deferred Inflows	290,004,414	(D)
Estimated Cash Forecast for FCO Projects	10,541,161,087	(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

Budget Period: 2020 - 2021

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

	Balance as of 6/30/2019		SWFS* Adjustments		Adjusted Balance
Chief Financial Officer's (CFO) Cash Balance	2,005,595	(A)			2,005,595
ADD: Other Cash (See Instructions)	0	(B)			0
ADD: Investments	15,552,880	(C)			15,552,880
ADD: Outstanding Accounts Receivable	52,423	(D)			52,423
ADD: Anticipated revenues for future commitments	35,802,088	(E)			35,802,088
Total Cash plus Accounts Receivable	53,412,986	(F)	0		53,412,986
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	53,411,164	(H)			53,411,164
LESS: Other Accounts Payable (Nonoperating)	1,822	(I)			1,822
LESS:		(J)			0
Unreserved Fund Balance, 07/01/19	(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: 2020 - 2021

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, 07/01/19
 Total all GLC's 5XXXX for governmental funds; 15,222,320 (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 (53,411,164) (D)

A/P not C/F-FCO Categories 2,386,756 (D)

Anticipated revenues for future commitments 35,802,088 (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

Budget Period: 2020 - 2021

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

	Balance as of 6/30/2019	SWFS* Adjustments	Adjusted Balance
Chief Financial Officer's (CFO) Cash Balance	2,058,271 (A)	0	2,058,271
ADD: Other Cash (See Instructions)	0 (B)	0	0
ADD: Investments	27,858,379 (C)	0	27,858,379
ADD: Outstanding Accounts Receivable	832,707 (D)	0	832,707
ADD:	0 (E)	0	0
Total Cash plus Accounts Receivable	30,749,357 (F)	0	30,749,357
LESS Allowances for Uncollectibles	0 (G)	0	0
LESS Approved "A" Certified Forwards	68,522 (H)	0	68,522
Approved "B" Certified Forwards	20,600,536 (H)	0	20,600,536
Approved "FCO" Certified Forwards	0 (H)	0	0
LESS: Other Accounts Payable (Nonoperating)	3,070 (I)	0	3,070
LESS:	0 (J)	0	0
Unreserved Fund Balance, 07/01/19	10,077,229 (K)	0	10,077,229 **

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: 2020 - 2021
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, 07/01/19

Total all GLC's 5XXXX for governmental funds; GLC 539XX for proprietary and fiduciary funds	21,267,988	(A)
--	-------------------	-----

Subtract Nonspendable Fund Balance (GLC 56XXX)		(B)
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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	(20,600,536)	(D)
---	---------------------	-----

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

A/P not C/F-Operating Categories	9,440,691	(D)
----------------------------------	-----------	-----

CF - Operating Category paid out of CY Funds	(30,913)	(D)
--	-----------------	-----

ADJUSTED BEGINNING TRIAL BALANCE:	10,077,229	(E)
--	-------------------	-----

UNRESERVED FUND BALANCE, SCHEDULE IC (Line K)	10,077,229	(F)
--	-------------------	-----

DIFFERENCE:	0	(G)*
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***SHOULD EQUAL ZERO.**

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

For Fiscal Year 2020-21






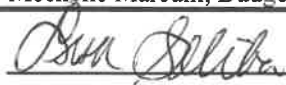
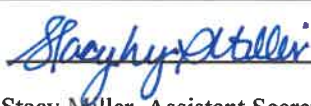
September 16, 2019

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 16, 2019
Project Name: Work Program Integration Initiative (WPPII)	Is this project included in the Agency's LRPP? Yes
FY 2020-21 LBR Issue Code: 36233C0	FY 2020-21 LBR Issue Title: Transportation Work Program Integration Initiative (WPPII)
Agency Contact for Schedule IV-B (Name, Phone #, and E-mail address): Lisa Saliba, (850) 414-4649, Lisa.Saliba@dot.state.fl.us	
AGENCY APPROVAL SIGNATURES	
I am submitting the attached Schedule IV-B in support of our legislative budget request. I have reviewed the estimated costs and benefits documented in the Schedule IV-B and believe the proposed solution can be delivered within the estimated time for the estimated costs to achieve the described benefits. I agree with the information in the attached Schedule IV-B.	
Agency Head: 	Date: 9-13-19
Printed Name: Kevin Thibault, P.E., Secretary of Transportation	
Agency Chief Information Officer (or equivalent): 	Date: 9-13-19
Printed Name: Greg Smiley, Chief Information Officer	
Budget Officer: 	Date: 9-13-19
Printed Name: Mechelle Marcum, Budget Officer	
Planning Officer: 	Date: 9-13-19
Printed Name: Lisa Saliba, Director of Office of Work Program and Budget	
Project Sponsor: 	Date: 9-13-19
Printed Name: Stacy Miller, Assistant Secretary of 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:	Chris Peary, (850) 414-4969, Chris.Peary@dot.state.fl.us
Technology Planning:	Brian Tippel, (850) 410-5566, Brian.Tippel@dot.state.fl.us
Project Planning:	Chris Peary, (850) 414-4969, Chris.Peary@dot.state.fl.us

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

A. Background and Strategic Needs Assessment

1. Business Need

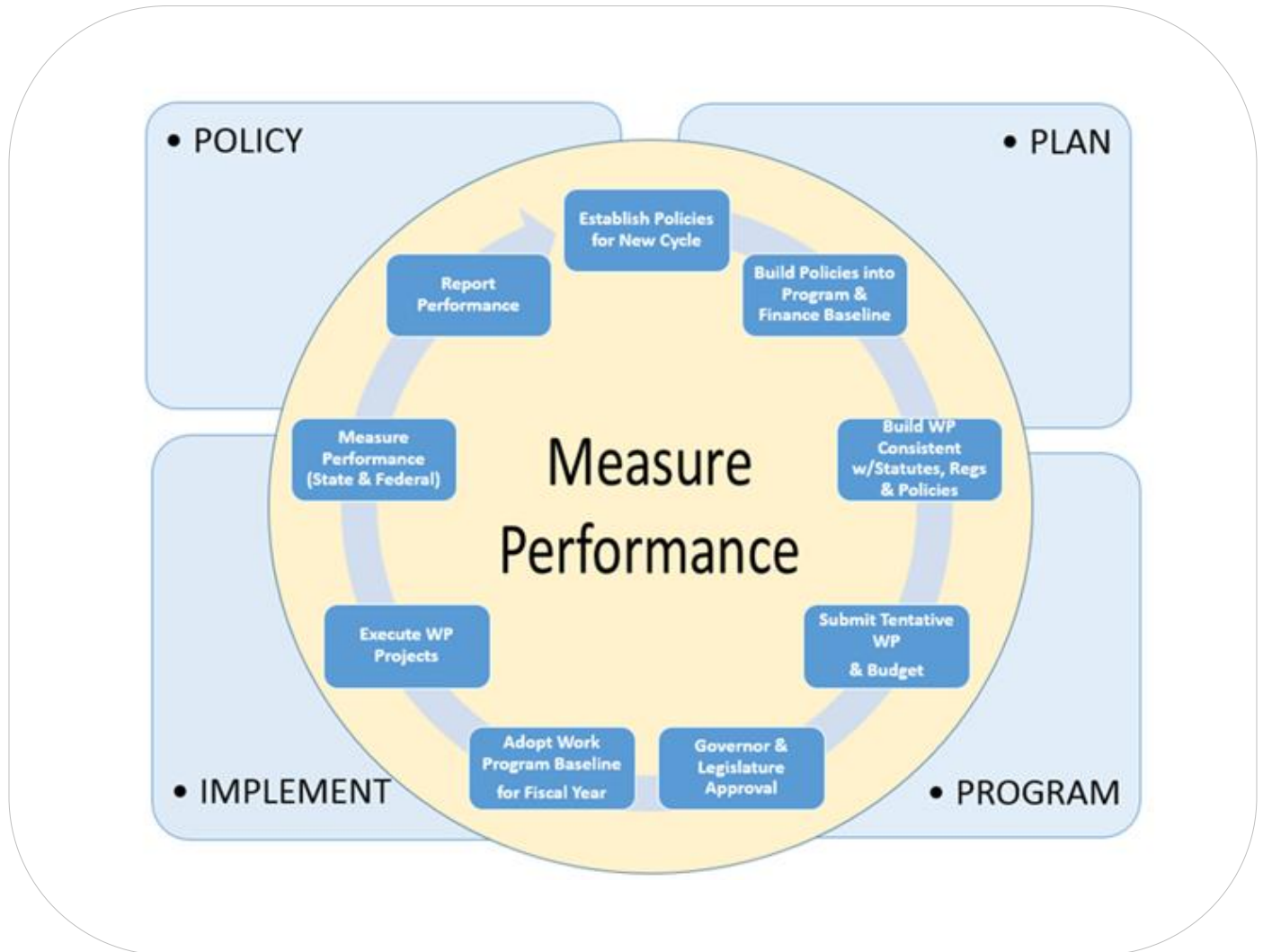
The Florida Department of Transportation (FDOT) manages in excess of 11,000 active contracts, with over \$12 billion in current commitments and \$50 billion in future commitments, and monitors transportation systems and infrastructure performance for critical information inputs into planning activities. 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

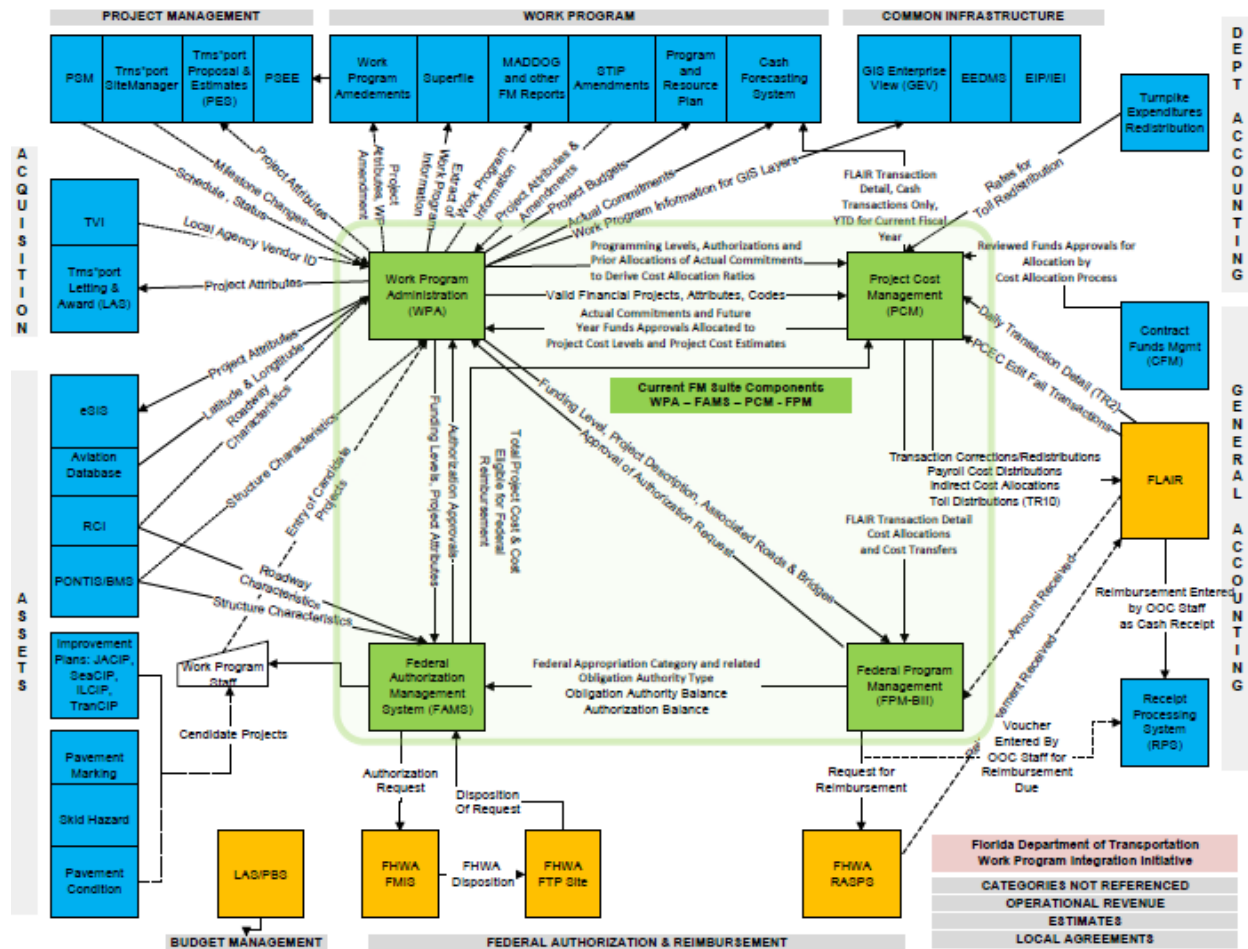


The WPA system is one of four major systems used to support transportation projects and their financial lifecycle. The other primary systems are the Federal Authorization Management System (FAMS), the Federal Program Management (FPM) system and the Project Cost Management system (PCM). These support 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 (WPPI)

- 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.

WPPI is in its sixth year of project development. The Fiscal Year 2020-21 budget request is needed to continue configuration of the enterprise resource planning application, continue staff augmentation to support functional areas, continue refinement of the project Return on Investment (ROI) calculations, support project management and change management, continue the organizational change management strategy in support of this effort, as well as remediate impacted applications as a result of this project.

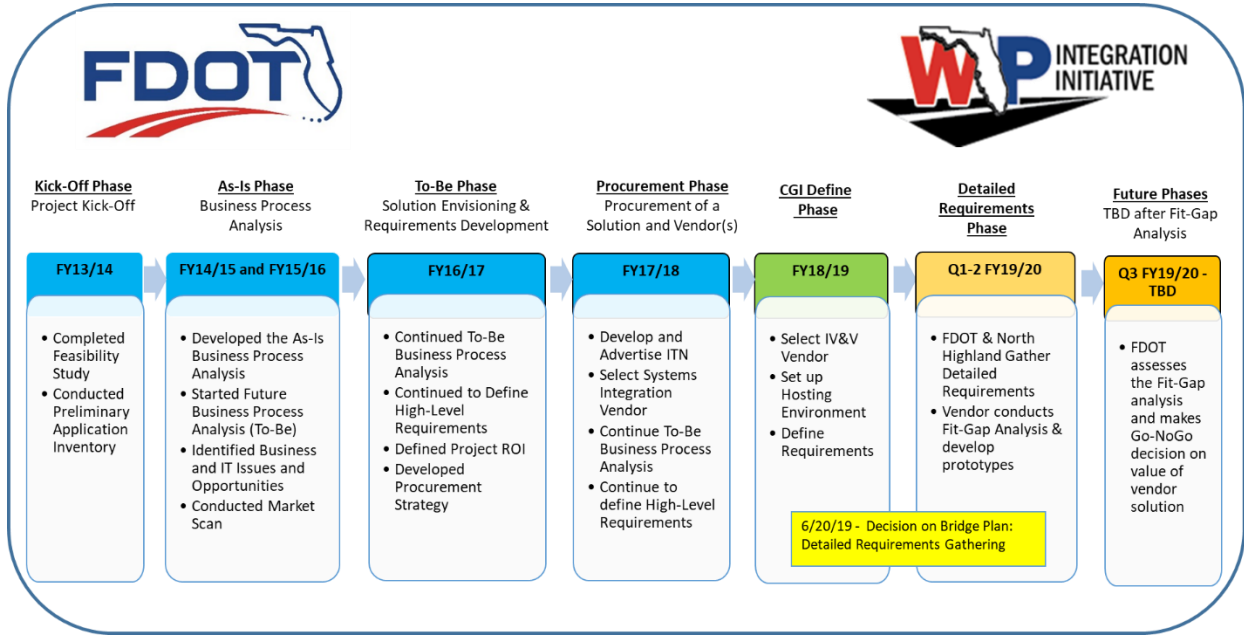
2. Business Objectives

WPPI 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.

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

B. Baseline Analysis

1. Current Business Processes

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

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

- 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 2023-24 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 the procurement in the project lifecycle. That would allow the project team to benefit from the knowledge and expertise of a qualified systems integrator and 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

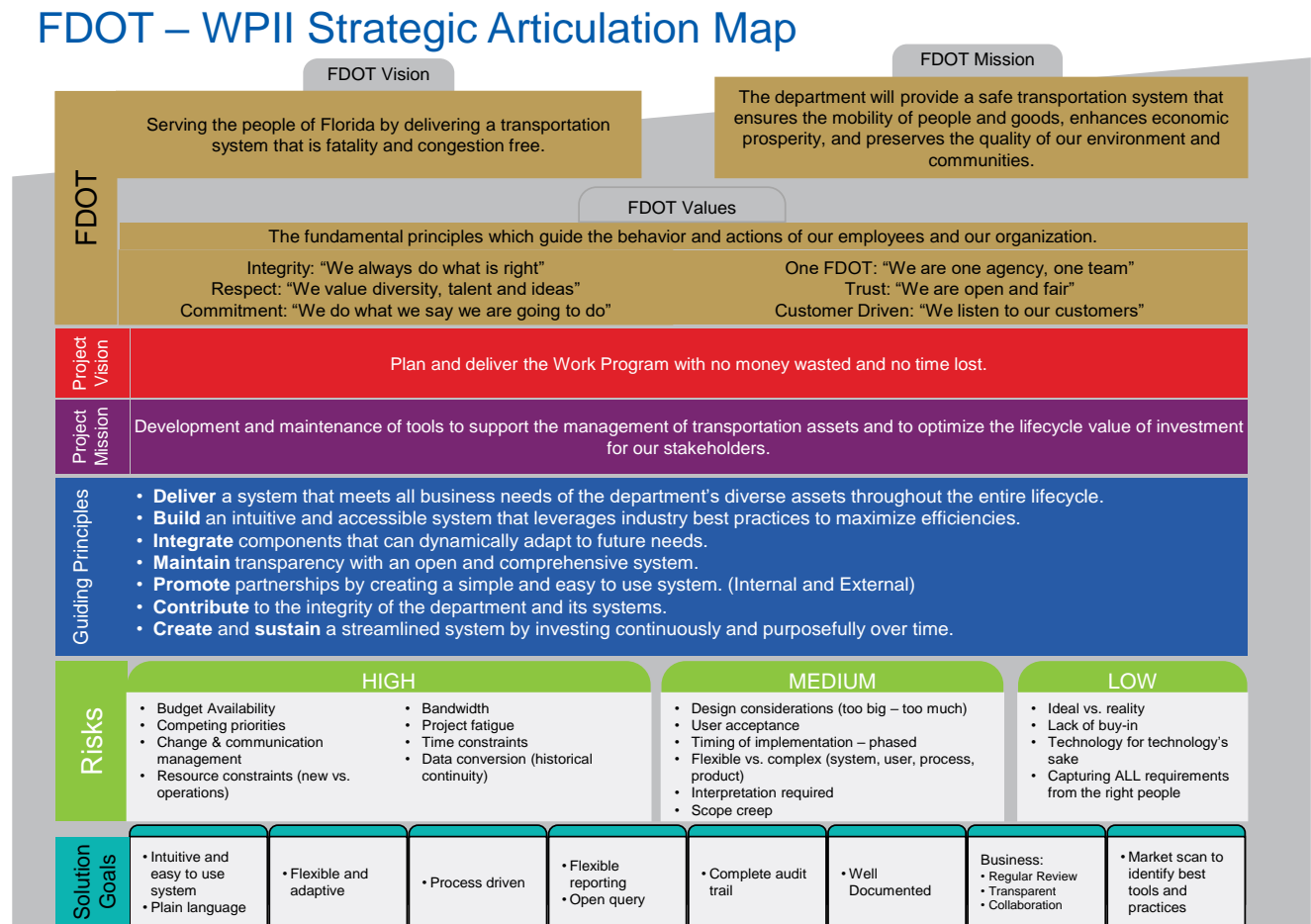
business solutions requiring extensive interfaces and manual interventions) this is not a viable solution.

- 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 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



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

With 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 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.

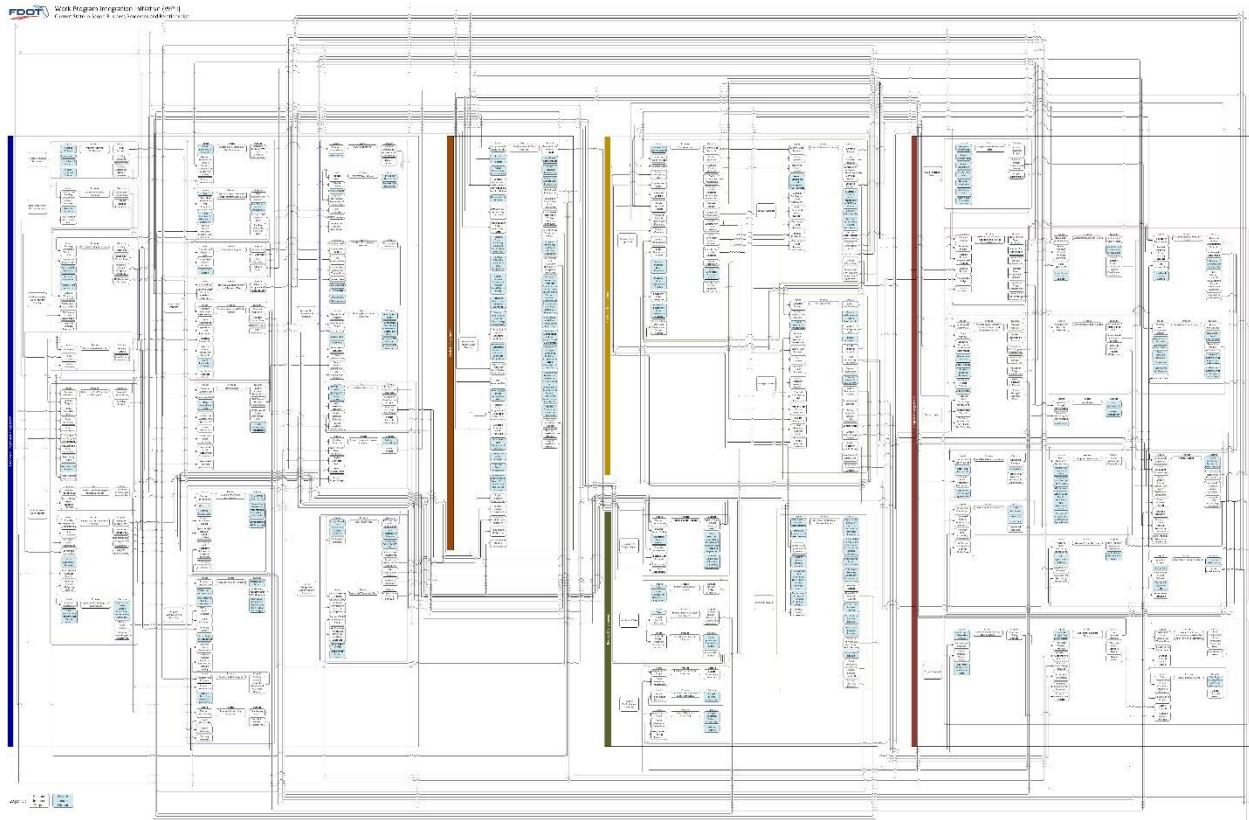
Stakeholder and Vendor Engagement

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?	Expected Realization Date (MM/YY)
1	Work Program Policy Development and Implementation	Tested and approved functionality.	FDOT Leadership	At system implementation
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 following system implementation
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 following system implementation
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 following system implementation
5	Capital Plan of Projects Oversight	Tested and approved functionality.	FDOT Leadership and Citizens and Visitors of the State of Florida	February following system implementation
6	Legislative Budget Request Submittal	Compliance with 339.135(2)(a), F.S.; Adherence to the LBR instructions.	FDOT Leadership	April following system implementation
7	Fiscal Year End Transition	Adherence to 2 CFR Part 200; Tested and approved functionality.	FDOT Leadership	At the start of the Fiscal Year following implementation

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?	Expected Realization Date (MM/YY)
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	At the start of the Fiscal Year following implementation
9	Roll Forward Budget Amendment	Compliance with 339.135(6)(c), F.S.	Citizens and Visitors of the State of Florida	At the start of the Fiscal Year following implementation
10	Capital Plan of Projects Adoption	Adherence to 339.135, F.S.; Compliance with allocations, funding policies, legislation and appropriations.	FDOT Leadership	At the start of the Fiscal Year following implementation
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	At the start of the Fiscal Year following implementation
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	At the start of the Fiscal Year following implementation
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	At the start of the Fiscal Year following implementation

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?	Expected Realization Date (MM/YY)
14	Funds Approval	Compliance with Section 215.985, F.S.; Section 339.135(6)(a), F.S.	FDOT Leadership	At the start of the Fiscal Year following implementation
15	Project Scope, Schedule, and Estimate Management	Tested and approved functionality.	Citizens and Visitors of the State of Florida	At the start of the Fiscal Year following implementation
16	Project Accounting	Data validation for encumbrances, approved invoices and all other disbursement transactions; 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	At the start of the Fiscal Year following implementation
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	At the start of the Fiscal Year following implementation

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?	Expected Realization Date (MM/YY)
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	At the start of the Fiscal Year following implementation
19	Revenue Uses Management and Monitoring	Tested and approved functionality.	Citizens and Visitors of the State of Florida	At the start of the Fiscal Year following implementation
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	At the start of the Fiscal Year following implementation

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.	At system implementation
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	December following system implementation

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

BENEFITS REALIZATION TABLE					
				current environment.	
3	Reduced administrative hours to develop Tentative Capital Plan of Projects	FDOT Leadership	Administrative hours 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.	Sample 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.	November following system implementation
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 following system implementation
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 following system implementation
6	Streamlined Legislative Budget Request	FDOT Leadership	Administrative hours spent processing data manually to prepare	Sample measurements of the staff and	April following system

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

BENEFITS REALIZATION TABLE					
	Submittal		the department's legislative budget request 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.	consultant hours spent preparing and reviewing the department's legislative budget request will be taken and extrapolated to the population of participants involved in the activity.	implementation
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.	At the start of the Fiscal Year following implementation
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.	At the start of the Fiscal Year following implementation
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	Analysis of the average amount of infrastructure delivered per dollar of budgetary appropriation, normalized for	At the start of the Fiscal Year following implementation

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

BENEFITS REALIZATION TABLE					
			<p>budget available to the department.</p> <p>Budget requested in excess of identified projects will be reduced.</p>	<p>inflation, will be assessed before deployment of the Initiative and after.</p> <p>This will be measured in 5-year intervals.</p> <p>Additionally, analysis of budget reverted versus rolled forward will confirm budget optimization.</p>	
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.	At the start of the Fiscal Year following implementation
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.	At the start of the Fiscal Year following implementation
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	Analysis of the average amount of infrastructure delivered per dollar of budgetary appropriation,	At the start of the Fiscal Year following implementation

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

BENEFITS REALIZATION TABLE					
			Services delivered with budget 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.	
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.	At the start of the Fiscal Year following implementation
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.	At the start of the Fiscal Year following implementation
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	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	At the start of the Fiscal Year following implementation

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

BENEFITS REALIZATION TABLE					
			and financial staff to focus on improving quality of data used in regional planning efforts to ongoing projects.	participants involved in the activity.	
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.	At the start of the Fiscal Year following implementation
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.	At the start of the Fiscal Year following implementation
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	Analysis of the average amount of infrastructure delivered per dollar of federal apportionment or grant award, normalized for inflation, will be assessed before	At the start of the Fiscal Year following implementation

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

BENEFITS REALIZATION TABLE					
			because of contributions from the department's funding partners.	deployment of the Initiative and after. This will be measured in 5-year intervals. Analysis can also measure days to 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.	At the start of the Fiscal Year following implementation
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.	At the start of the Fiscal Year following implementation

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: WPPII Project Risk Assessment Summary

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

Project	<i>Work Program Integration Initiative</i>			
Agency	<i>Department of Transportation</i>			
FY 2020-21 LBR Issue Code:	FY 2020-21 LBR Issue Title:			
<i>Issue Code</i>	<i>Issue Title</i>			
Risk Assessment Contact Info (Name, Phone #, and E-mail Address):				
<i>Chris Peary, (850) 414-4969, Chris.Peary@dot.state.fl.us</i>				
Executive Sponsor	<i>Stacy Miller</i>			
Project Manager	<i>Chris Peary</i>			
Prepared By	<i>Danny Johnson</i>	<i>8/28/2019</i>		
Risk Assessment Summary				
Business Strategy	<table border="1"> <tr> <td style="width: 50%; height: 100px;"></td> <td style="width: 50%; height: 100px; text-align: center;">◆</td> </tr> </table>			◆
		◆		
<p>Most Aligned</p> <p>Least Aligned</p> <p>Least Risk</p> <p style="text-align: right;">Most Risk</p>				
Level of Project Risk				
Project Risk Area Breakdown				
Risk Assessment Areas		<i>Risk Exposure</i>		
Strategic Assessment		MEDIUM		
Technology Exposure Assessment		HIGH		
Organizational Change Management Assessment		MEDIUM		
Communication Assessment		LOW		
Fiscal Assessment		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.

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

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 18.4 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

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

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

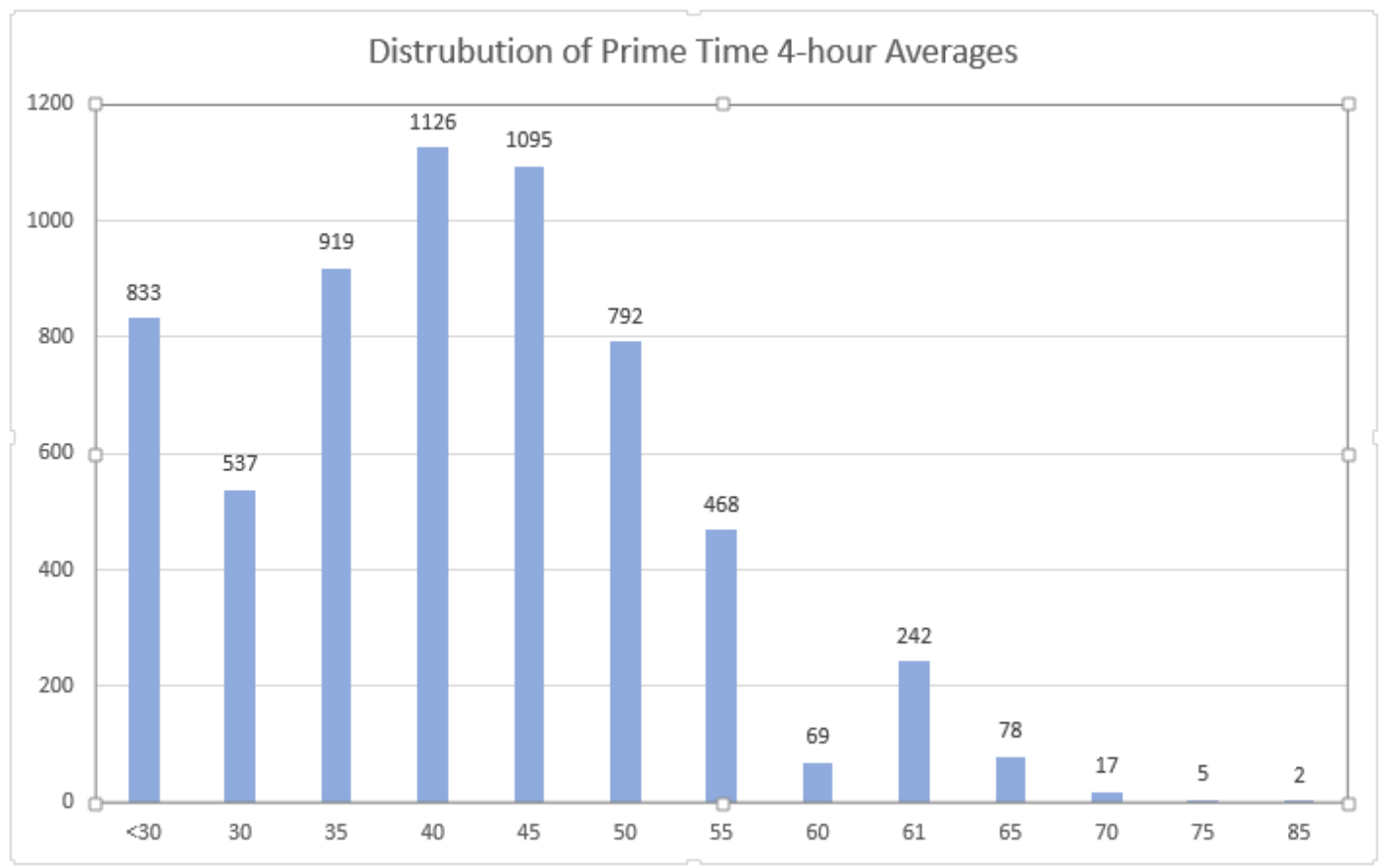
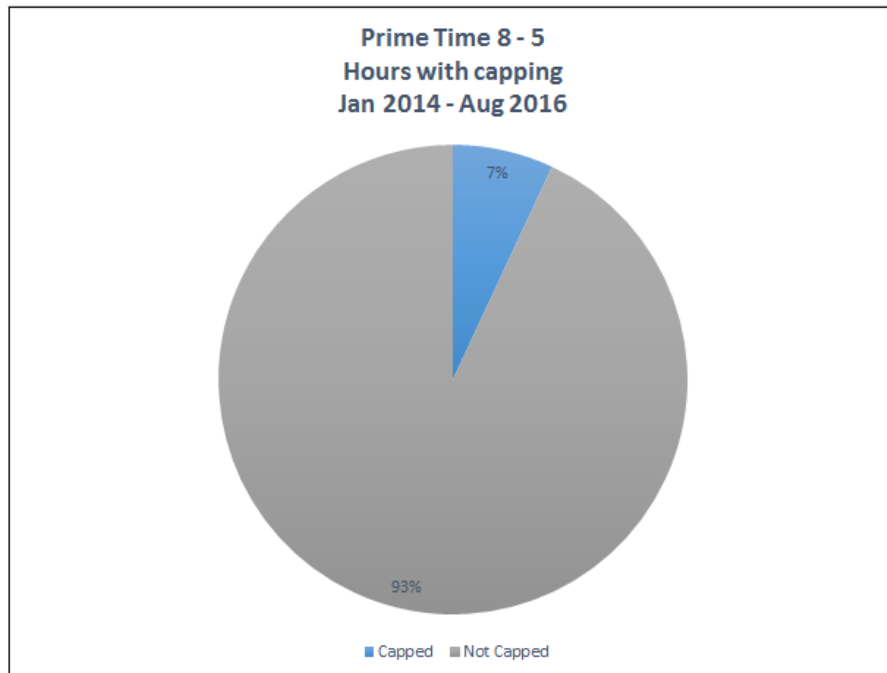


Exhibit 9 below shows that DOT has experienced capping in only seven percent (7%) of prime-time hours over the last two and a half (2.5) years.

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

Appendix D: WPII PMP

CBAForm 1 - Net Tangible Benefits

Agency	Department of Transportation	Project	WP11
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Net Tangible Benefits - Operational Cost Changes (Costs of Current Operations versus Proposed Operations as a Result of the Project) and Additional Tangible Benefits -- CBAForm 1A															
Agency <i>(Recurring Costs Only -- No Project Costs)</i>	FY 2020-21			FY 2021-22			FY 2022-23			FY 2023-24			FY 2024-25		
	(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	\$0	\$7,088,640	\$7,088,640	-\$1,300,040	\$5,788,600	\$7,088,640	-\$1,300,040	\$5,788,600
A.b Total Staff	120.00	0.00	120.00	120.00	0.00	120.00	120.00	0.00	120.00	120.00	-22.00	98.00	120.00	-22.00	98.00
A-1.a. State FTEs (Salaries & Benefits)	\$7,088,640	\$0	\$7,088,640	\$7,088,640	\$0	\$7,088,640	\$7,088,640	\$0	\$7,088,640	\$7,088,640	-\$1,300,040	\$5,788,600	\$7,088,640	-\$1,300,040	\$5,788,600
A-1.b. State FTEs (#)	120.00	0.00	120.00	120.00	0.00	120.00	120.00	0.00	120.00	120.00	-22.00	98.00	120.00	-22.00	98.00
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	\$421,443	\$0	\$421,443	\$421,443	\$0	\$421,443	\$421,443	\$0	\$421,443	\$421,443	-\$421,443	\$0	\$421,443	-\$421,443	\$0
B-1. Managed Services (Staffing)	\$421,443	\$0	\$421,443	\$421,443	\$0	\$421,443	\$421,443	\$0	\$421,443	\$421,443	-\$421,443	\$0	\$421,443	-\$421,443	\$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	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
C. Data Center Provider Costs	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
C-1. Managed Services (Staffing)	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
C-2. Infrastructure	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
C-3. Network / Hosting Services	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
C-4. Disaster Recovery	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
C-5. Other Specify	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
D. Plant & Facility Costs	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
E. Other Costs	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
E-1. Training	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
E-2. Travel	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
E-3. Other Specify	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Total of Recurring Operational Costs	\$7,510,083	\$0	\$7,510,083	\$7,510,083	\$0	\$7,510,083	\$7,510,083	\$0	\$7,510,083	\$7,510,083	-\$1,721,483	\$5,788,600	\$7,510,083	-\$1,721,483	\$5,788,600
F. Additional Tangible Benefits:		\$0			\$0			\$0			\$125,889,733			\$40,889,733	
F-1. Work Program Efficiencies		\$0			\$0			\$0			\$0			\$20,000,000	
F-2. Reduce Risk of Federal Funding Loss		\$0			\$0			\$0			\$105,000,000			\$0	
F-3. Reduce Risk of System Failure		\$0			\$0			\$0			\$20,889,733			\$20,889,733	
Total Net Tangible Benefits:		\$0			\$0			\$0			\$127,611,216			\$42,611,216	

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

Department of Transportation

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.

			CBA Form 2A Baseline Project Budget																	
			FY2020-21			FY2021-22			FY2022-23			FY2023-24			FY2024-25			TOTAL		
			\$ 38,364,646			\$ 28,052,702			\$ 32,171,960			\$ 27,557,272			\$ 17,008,719			\$ -	\$ 143,155,299	
Item Description <i>(remove guidelines and annotate entries here)</i>	Project Cost Element	Appropriation Category	Current & Previous Years Project-Related Cost	YR 2 Base Budget			YR 3 Base Budget			YR 4 Base Budget			YR 5 Base Budget			YR 6 Base Budget			TOTAL	
				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	YR 6 #	YR 6 LBR	YR 6 Base Budget		
Costs for all state employees working on the project.	FTE	S&B	\$ 4,637,645	0.00	\$ -	\$ 1,600,000	0.00	\$ -	\$ 1,600,000	0.00	\$ -	\$ 1,600,000	0.00	\$ -	\$ 800,000	0.00	\$ -	\$ -	\$ -	\$ 10,237,645
Costs for all staff augmentation working on the project paid from base budget.	Staff Augmentation <i>(Indirect)</i>	Contracted Services	\$ 436,986	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	\$ -	\$ 436,986
Costs for all OPS employees working on the project.	OPS	OPS	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	\$ -	\$ -
Other expenses paid from base budget.	Expenses	Expense	\$ 95,896	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	\$ -	\$ 95,896
Project oversight to include Independent Verification & Validation (IV&V) personnel and related deliverables.	Project Planning/Analysis	Contracted Services	\$ 310,369	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	\$ -	\$ 310,369
Staffing costs for all professional services not included in other categories.	Staff Augmentation <i>(Operational and IT Staff Augmentation)</i>	Contracted Services	\$ 3,702,808	0.00	\$ 4,842,864	\$ -	0.00	\$ 10,170,844	\$ -	0.00	\$ 6,687,184	\$ -	0.00	\$ 2,079,558	\$ -	0.00	\$ -	\$ -	\$ -	\$ 27,483,258
Separate requirements analysis and feasibility study procurements.	Project Management <i>(Project Management Office)</i>	Contracted Services	\$ 3,158,969		\$ 1,413,360	\$ -		\$ 1,413,360	\$ -		\$ 1,413,360	\$ -		\$ 870,480	\$ -		\$ -	\$ -	\$ -	\$ 8,269,529
Hardware purchases not included in data center services.	Project Oversight <i>(Independent Validation & Verification)</i>	Contracted Services	\$ 1,130,685		\$ 393,000	\$ -		\$ 393,000	\$ -		\$ 404,790	\$ -		\$ -	\$ -		\$ -	\$ -	\$ -	\$ 2,321,475
Commercial software purchases and licensing costs.	Consultants/Contractors <i>(Organizational Change Management)</i>	Contracted Services	\$ 3,435,264		\$ 2,507,645	\$ -		\$ 1,557,856	\$ -		\$ 1,270,440	\$ -		\$ 820,164	\$ -		\$ -	\$ -	\$ -	\$ 9,591,369
Professional services with fixed-price costs (i.e. software development, installation, project documentation)	Project Planning/Analysis <i>(3rd Party Support Services)</i>	Contracted Services	\$ 8,212,728		\$ 907,694	\$ -		\$ 907,694	\$ -		\$ 907,694	\$ -		\$ 495,854	\$ -		\$ -	\$ -	\$ -	\$ 11,431,664
All first-time training costs associated with the project.	Hardware	OCO	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -	\$ -	\$ -
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.	Commercial Software <i>(Software Licenses & Maintenance)</i>	Contracted Services	\$ 3,025,592		\$ 1,120,531	\$ -		\$ 862,988	\$ -		\$ 862,988	\$ -		\$ 4,505,315	\$ -		\$ -	\$ -	\$ -	\$ 10,377,414
Other contracted services not included in other categories.	Hosting Services	Contracted Services	\$ 1,115,852		\$ 3,216,633	\$ -		\$ 920,291	\$ -		\$ 920,291	\$ -		\$ -	\$ -		\$ -	\$ -	\$ -	\$ 6,173,067
Include costs for non-state data center equipment required by the project and the proposed solution (insert additional rows as needed for detail)	Project Deliverables <i>(Systems Integration)</i>	Contracted Services	\$ 5,009,072		\$ 7,600,525	\$ -		\$ 9,217,267	\$ -		\$ 9,139,313	\$ -		\$ 4,735,895	\$ -		\$ -	\$ -	\$ -	\$ 35,702,072
		Contracted Services	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -	\$ -	\$ -
	Data Center Services - One Time Costs	Data Center Category	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -	\$ -	\$ -
	Other Services <i>(Contingency)</i>	Contracted Services	\$ 3,979,077		\$ 4,400,450	\$ -		\$ 5,088,660	\$ -		\$ 4,321,212	\$ -		\$ 2,701,453	\$ -		\$ -	\$ -	\$ -	\$ 20,490,852
	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	\$ 113,703		\$ 50,000	\$ -		\$ 40,000	\$ -		\$ 30,000	\$ -		\$ -	\$ -		\$ -	\$ -	\$ -	\$ 233,703
Total			\$ 38,364,646	0.00	\$ 26,452,702	\$ 1,600,000	0.00	\$ 30,571,960	\$ 1,600,000	0.00	\$ 25,957,272	\$ 1,600,000	0.00	\$ 16,208,719	\$ 800,000	0.00	\$ -	\$ -	\$ -	\$ 143,155,299

CBAForm 2 - Project Cost Analysis

Agency	<u>DOT</u>	Project	<u>WPII</u>
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PROJECT COST SUMMARY	PROJECT COST SUMMARY (from CBAForm 2A)					TOTAL
	FY 2020-21	FY 2021-22	FY 2022-23	FY 2023-24	FY 2024-25	
TOTAL PROJECT COSTS (*)	\$28,052,702	\$32,171,960	\$27,557,272	\$17,008,719	\$0	\$143,155,299
CUMULATIVE PROJECT COSTS <small>(includes Current & Previous Years' Project-Related Costs)</small>	\$66,417,348	\$98,589,308	\$126,146,580	\$143,155,299	\$143,155,299	
Total Costs are carried forward to CBAForm3 Project Investment Summary worksheet.						

PROJECT FUNDING SOURCES	PROJECT FUNDING SOURCES - CBAForm 2B					TOTAL
	FY 2020-21	FY 2021-22	FY 2022-23	FY 2023-24	FY 2024-25	
General Revenue	\$0	\$0	\$0	\$0	\$0	\$0
Trust Fund	\$26,452,702	\$30,571,960	\$25,957,272	\$16,208,719	\$0	\$99,190,654
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	\$26,452,702	\$30,571,960	\$25,957,272	\$16,208,719	\$0	\$99,190,654
CUMULATIVE INVESTMENT	\$26,452,702	\$57,024,662	\$82,981,934	\$99,190,654	\$99,190,654	

Characterization of Project Cost Estimate - CBAForm 2C			
Choose Type	Estimate Confidence	Enter % (+/-)	
Detailed/Rigorous	Confidence Level		
Order of Magnitude	Confidence Level	x	20%
Placeholder	Confidence Level		

CBAForm 3 - Project Investment Summary

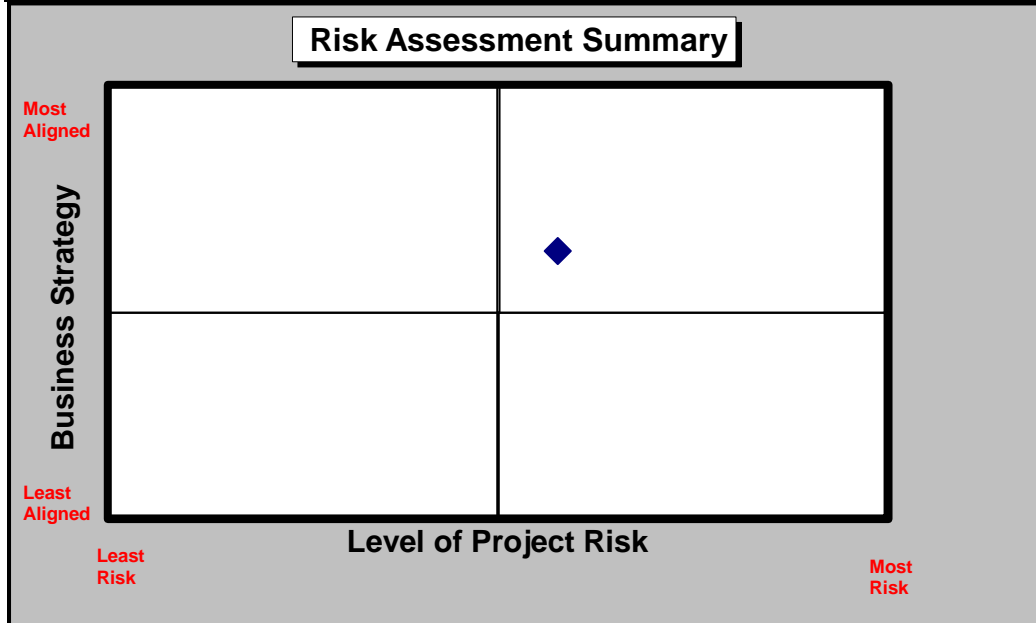
Agency	<u>Department of Transportation</u>	Project	<u>WP11</u>
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COST BENEFIT ANALYSIS -- CBAForm 3A						
	FY 2020-21	FY 2021-22	FY 2022-23	FY 2023-24	FY 2024-25	TOTAL FOR ALL YEARS
Project Cost	\$28,052,702	\$32,171,960	\$27,557,272	\$17,008,719	\$0	\$143,155,299
Net Tangible Benefits	\$0	\$0	\$0	\$127,611,216	\$42,611,216	\$170,222,432
Return on Investment	(\$66,417,348)	(\$32,171,960)	(\$27,557,272)	\$110,602,497	\$42,611,216	\$27,067,133
Year to Year Change in Program Staffing	0	0	0	(22)	(22)	

RETURN ON INVESTMENT ANALYSIS -- CBAForm 3B		
Payback Period (years)	4 3/8	Payback Period is the time required to recover the investment costs of the project.
Breakeven Fiscal Year	2024-25	Fiscal Year during which the project's investment costs are recovered.
Net Present Value (NPV)	\$5,894,558	NPV is the present-day value of the project's benefits less costs over the project's lifecycle.
Internal Rate of Return (IRR)	7.75%	IRR is the project's rate of return.

Investment Interest Earning Yield -- CBAForm 3C					
Fiscal Year	FY 2020-21	FY 2021-22	FY 2022-23	FY 2023-24	FY 2024-25
Cost of Capital	1.94%	2.07%	3.18%	4.32%	4.85%

Project	<i>Work Program Integration Initiative</i>	
Agency	<i>Department of Transportation</i>	
FY 2020-21 LBR Issue Code:	FY 2020-21 LBR Issue Title:	
<i>Issue Code</i>	<i>Issue Title</i>	
Risk Assessment Contact Info (Name, Phone #, and E-mail Address):		
<i>Chris Peary, (850) 414-4969, Chris.Peary@dot.state.fl.us</i>		
Executive Sponsor	<i>Stacy Miller</i>	
Project Manager	<i>Chris Peary</i>	
Prepared By	<i>Danny Johnson</i>	<i>8/28/2019</i>



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

Agency: Department of Transportation

Project: Work Program Integration Initiative

Section 1 -- Strategic Area			
#	Criteria	Values	Answer
1.01	Are project objectives clearly aligned with the agency's legal mission?	0% to 40% -- Few or no objectives aligned	81% to 100% -- All or nearly all objectives aligned
		41% to 80% -- Some objectives aligned	
		81% to 100% -- All or nearly all objectives aligned	
1.02	Are project objectives clearly documented and understood by all stakeholder groups?	Not documented or agreed to by stakeholders	Documented with sign-off by stakeholders
		Informal agreement by stakeholders	
		Documented with sign-off by stakeholders	
1.03	Are the project sponsor, senior management, and other executive stakeholders actively involved in meetings for the review and success of the project?	Not or rarely involved	Project charter signed by executive sponsor and executive team actively engaged in steering committee meetings
		Most regularly attend executive steering committee meetings	
		Project charter signed by executive sponsor and executive team actively engaged in steering committee meetings	
1.04	Has the agency documented its vision for how changes to the proposed technology will improve its business processes?	Vision is not documented	Vision is 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	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 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	Greater than 5 years
		Between 3 and 5 years	
		Between 1 and 3 years	
		1 year or less	

Agency: Department of Transportation

Project: Work Program Integration Initiative

Section 2 -- Technology Area			
#	Criteria	Values	Answer
2.01	Does the agency have experience working with, operating, and supporting the proposed 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	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 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: Department of Transportation

Project: Work Program Integration Initiative

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

Agency: Agency Name

Project: Project Name

Section 4 -- Communication Area			
#	Criteria	Value Options	Answer
4.01	Has a documented Communication Plan been approved for this project?	Yes	Yes
		No	
4.02	Does the project Communication Plan promote the collection and use of feedback from management, project team, and business stakeholders (including end users)?	Negligible or no feedback in Plan	Proactive use of feedback in Plan
		Routine feedback in Plan	
		Proactive use of feedback in Plan	
4.03	Have all required communication channels been identified and documented in the Communication Plan?	Yes	Yes
		No	
4.04	Are all affected stakeholders included in the Communication Plan?	Yes	Yes
		No	
4.05	Have all key messages been developed and documented in the Communication Plan?	Plan does not include key messages	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: Department of Transportation

Project: Work Program Integration Initiative

Section 5 -- Fiscal Area			
#	Criteria	Values	Answer
5.01	Has a documented Spending Plan been approved for the entire project lifecycle?	Yes	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: Department of Transportation

Project: Work Program Integration Initiative

Section 6 -- Project Organization Area			
#	Criteria	Values	Answer
6.01	Is the project organization and governance structure clearly defined and documented within an approved project plan?	Yes	Yes
		No	
6.02	Have all roles and responsibilities for the executive steering committee been clearly identified?	None or few have been defined and documented	All or nearly all have been defined and documented
		Some have been defined and documented	
		All or nearly all have been defined and documented	
6.03	Who is responsible for integrating project deliverables into the final solution?	Not yet determined	System Integrator (contractor)
		Agency	
		System Integrator (contractor)	
6.04	How many project managers and project directors will be responsible for managing the project?	3 or more	3 or more
		2	
		1	
6.05	Has a project staffing plan specifying the number of required resources (including project team, program staff, and contractors) and their corresponding roles, responsibilities and needed skill levels been developed?	Needed staff and skills have not been identified	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	Moderate impact
		Moderate impact	
		Extensive impact	
6.10	Does the project governance structure establish a formal change review and control board to address proposed changes in project scope, schedule, or cost?	Yes	Yes
		No	
6.11	Are all affected stakeholders represented by functional manager on the change review and control board?	No board has been established	Yes, all stakeholders are represented by functional manager
		No, only IT staff are on change review and control board	
		No, all stakeholders are not represented on the board	
		Yes, all stakeholders are represented by functional manager	

Agency: Department of Transportation

Project: Work Program Integration Initiative

Section 7 -- Project Management Area			
#	Criteria	Values	Answer
7.01	Does the project management team use a standard commercially available project management methodology to plan, implement, and control the project?	No	Yes
		Project Management team will use the methodology selected by the systems integrator	
		Yes	
7.02	For how many projects has the agency successfully used the selected project management methodology?	None	More than 3
		1-3	
		More than 3	
7.03	How many members of the project team are proficient in the use of the selected project management methodology?	None	All or nearly all
		Some	
		All or nearly all	
7.04	Have all requirements specifications been unambiguously defined and documented?	0% to 40% -- None or few have been defined and documented	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	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	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	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	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: Department of Transportation

Project: Work Program Integration Initiative

Section 8 -- Project Complexity Area			
#	Criteria	Values	Answer
8.01	How complex is the proposed solution compared to the current agency systems?	Unknown at this time	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	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	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



PROJECT MANAGEMENT PLAN
Work Program Integration Initiative (WPPI)

Florida Department of Transportation

Updated January 9, 2019
Version 700

Revision History

Date	Author	Version	Change Reference
04/06/16	North Highland	400	Updated v303 based on Change Request WPPI-BPA-005.
10/13/16	Tom McCullion	401	Merged v400 changes and updated for the FY17/18 Schedule IV-B.
11/15/16	Tom McCullion	402	Updated Section 4.0 with the agreed upon RACI from the MST approved at the 11/18/16 MST Meeting.
01/05/17	Tom McCullion	403	Updated based upon CR012 (New EPS).
02/03/17	Tom McCullion	404	Updated based upon CR015 (New PA, PMT member).
09/18/17	Tom McCullion	405	Updated based on latest changes heading into the Procurement Phase. Submitted for MST acceptance and EPS approval.
09/19/17	Tom McCullion	500	Submitted to the MST/EST for Acceptance and Approval. Approved on September 28, 2017.
10/10/17 11/13/17	Vallie Mandell Tom McCullion	501	Added Alan Austry (E&O MST Member) and Nicole Geller (Grant Thornton) plus miscellaneous corrections.
11/30/17	Tom McCullion	502	Added April Blackburn as the EPS.
12/26/17	Tom McCullion	503	Various updates accepted from v502 and CR-025.
08/31/18	Siby Koshy Tom McCullion	600	Updated based on IV&V feedback (WPPI-GT-D02-PMP-DEL). Updated Roles and Responsibilities. Transitioned to include the updates required for the systems integrator onboarding as part of negotiations.
1/7/2019	Lori Ciszak Siby Koshy Randy Keltner Byron Woodruff	700	CGI recommendations added. Includes new Section 3, Project Organization and Governance, approved by PMT/MST/EPS on 12/19/2018

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SECTION 1 EXECUTIVE SUMMARY

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

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

The Financial Management (FM) 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, 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 and technical 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. The Work Program Integration Initiative (WPPI) was launched to achieve that mission.

1.1 PURPOSE

The Project Management Plan (PMP) describes the overall process that the Project Team will execute throughout the life of the WPPI Project (Project). As processes mature, this document will be updated to reflect those changes. For example, prior to the Design, Development and Implementation (DDI)/Build phase, the PMP will be updated to document the agile development and tracking processes that will be employed during that phase. This document will also state the Project Team roles and responsibilities for each entity with respect to the Project. The primary audience for this document is the Project Team. The PMP will be published and maintained in the WPPI SharePoint site along with the WPPI Glossary (terms and acronyms).

1.2 DOCUMENT ORGANIZATION

The Project Management Plan is organized into the following major sections:

- **Section 1: Executive Summary** – Describes the Project Purpose, overall document content, organization, and update procedures.
- **Section 2: Project Background** – Describes the Project Purpose, Objectives, Benefits, Tracks and Phases, Scope, Overall Timelines, Assumptions, and Deliverables.
- **Section 3: Project Organizational and Governance Structure** – Describes in terms of the Project Management Structure, Roles and Responsibilities with respect to managing and executing the project.
- **Section 4: Scope Management** – This section encompasses the plan for managing the analysis and approval of changes to the project requirements, scope, or schedule.
- **Section 5: Deliverables Management** - This section describes the process for the development, review, comment, and revision of project deliverables.

- **Section 6: Requirements Management** – This section describes the process for documenting WPPII software requirements, and the traceability of application configuration and development to the requirements and the SAFe Agile processes that will be used during the Build phase of the project.
- **Section 7: Schedule Management** – This section describes the plan for developing and managing the project’s work plans and the reporting of status.
- **Section 8: Cost Management** – This section briefly discusses the project budget, budget requests, the project spending plan, and cost management activities/change requests.
- **Section 9: Quality Management** – This section outlines the plan for establishing quality standards utilized to perform work as well as the quality reviews that will be performed to ensure completeness of the project deliverables. This section also describes the process for the review, comment, revision and approval of project deliverables.
- **Section 10: Resource Management** – This section outlines the process to be used in scheduling project staff time away from the office or the project.
- **Section 11: Communications Management** – This section references the Communications Management Plan for communicating with the project stakeholders, the Organizational Change Management Plan for defining OCM activities and readiness, and provides document management standards.
- **Section 12: Document Management** - This section describes the process for naming and organizing project documents in a common repository. It also identifies the standard templates that will be used for the project.
- **Section 13: Risk Management** – This section outlines the plan for identifying and mitigating risks that potentially could jeopardize the project success, and outlines the plan for identifying, documenting, tracking, and resolving project issues.
- **Section 14: Procurement Management** – This section discusses processes related to WPPII purchases for hardware, software, and services, as well as, contracts management.
- **Section 15: Stakeholder Management** – This section references stakeholder management as a function of Organizational Change Management.
- **Section 16: Change Management** – This section documents the change control processes for any change to the scope, schedule, critical path, budget, quality or key resources.
- **Section 17 Configuration Management** - This section describes the plan for identifying the configuration of work products, controlling changes to the configuration, and maintaining the integrity and traceability of the configuration during the life cycle of the project.
- **Section 18: System Security Plan** – This section will describe processes for providing WPPII project team members access to WPPII related technical and software environments during the project.

1.3 DOCUMENT UPDATE PROCEDURES

The WPPII Project Director will have the responsibility to update and maintain the project management processes described in this PMP. Individual sections and project management processes may be updated, as needed, as the project progresses.

Updates to the PMP will be managed at two levels:

- The PMP Update Log following the title page that tracks changes to the approved PMP (see below), and,
- The Document Management standards as presented in Section 12 of this plan for maintaining the versions of the PMP.

Date	Author	Version	Change Reference

SECTION 2 PROJECT BACKGROUND

2.1 PROJECT SUMMARY

The WP II Project is a multi-phase, multi-year project as depicted in the graphics below.

FY13/14 laid the groundwork for the Project with a feasibility study and initial applications inventory to define scope.

Appropriation funding for the Project began in FY14/15 and subsequent FY14/15 through FY16/17 period defined the As-Is Business Processes which led into a Business Process Reengineering effort to create more efficient To-Be Business Processes. FY16/17 also focused on the development of key unique and critical To-Be Business Processes and High-Level Requirements sufficient for a quality procurement.

FY17/18 focused on the further definition and confirmation of the project scope and the kick-off of the Procurement Phase of the Project. The Project Team also used this time to mature the To-Be Business Processes and developed Business Use Cases in advance of the Systems Integrator coming on board.

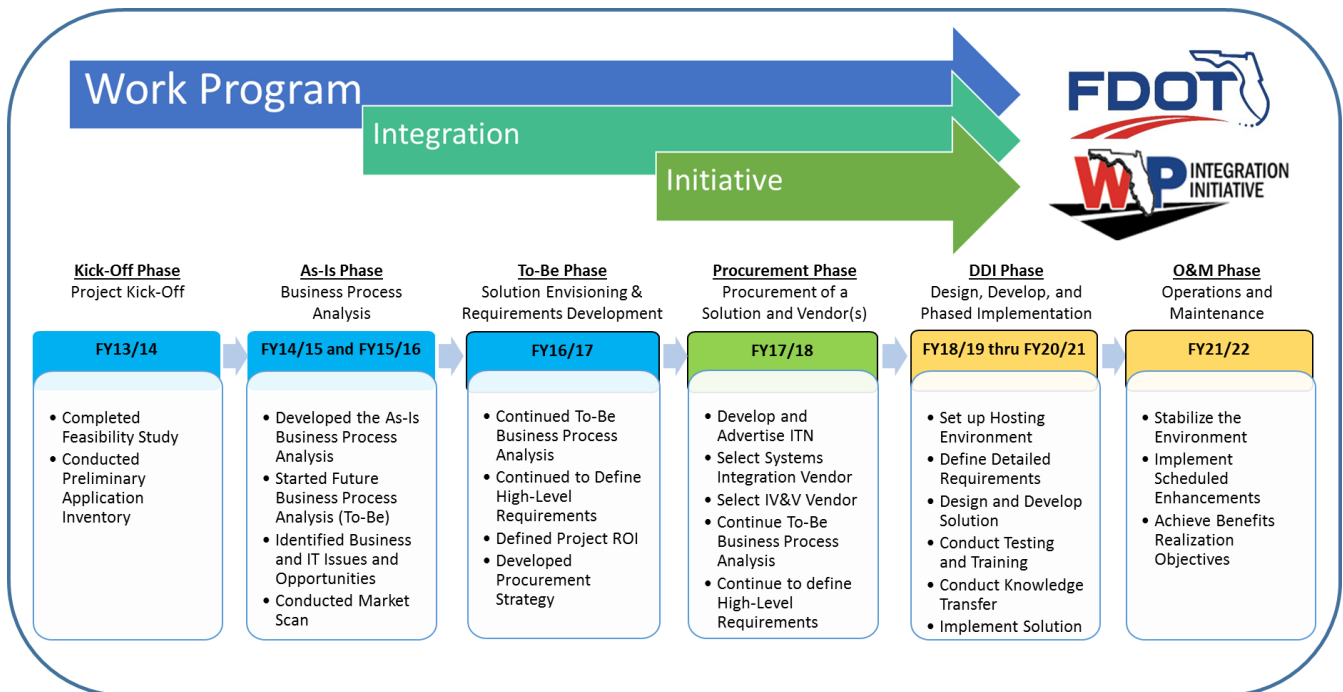
FY18/19 finalized the selection of CGI Technologies and Solutions, Inc. (CGI) as the Solution and Systems Integrator and CGI Advantage for the Financial Management and Planning suite of applications. It is anticipated WP II will go live in June 2021.

Following DDI will be a one-year Warranty Period overlapping the first year of ongoing Operations & Maintenance. Warranty and stabilization services will focus on delivery of the Business Event Deliverables, which is the most accurate measure of the Solution’s ability to manage the funding, budget authority and cash flow of the Work Program as required by FDOT’s various oversight bodies. This period will also cover project close-out. The Operations & Maintenance activities will continue as part of normal operations.

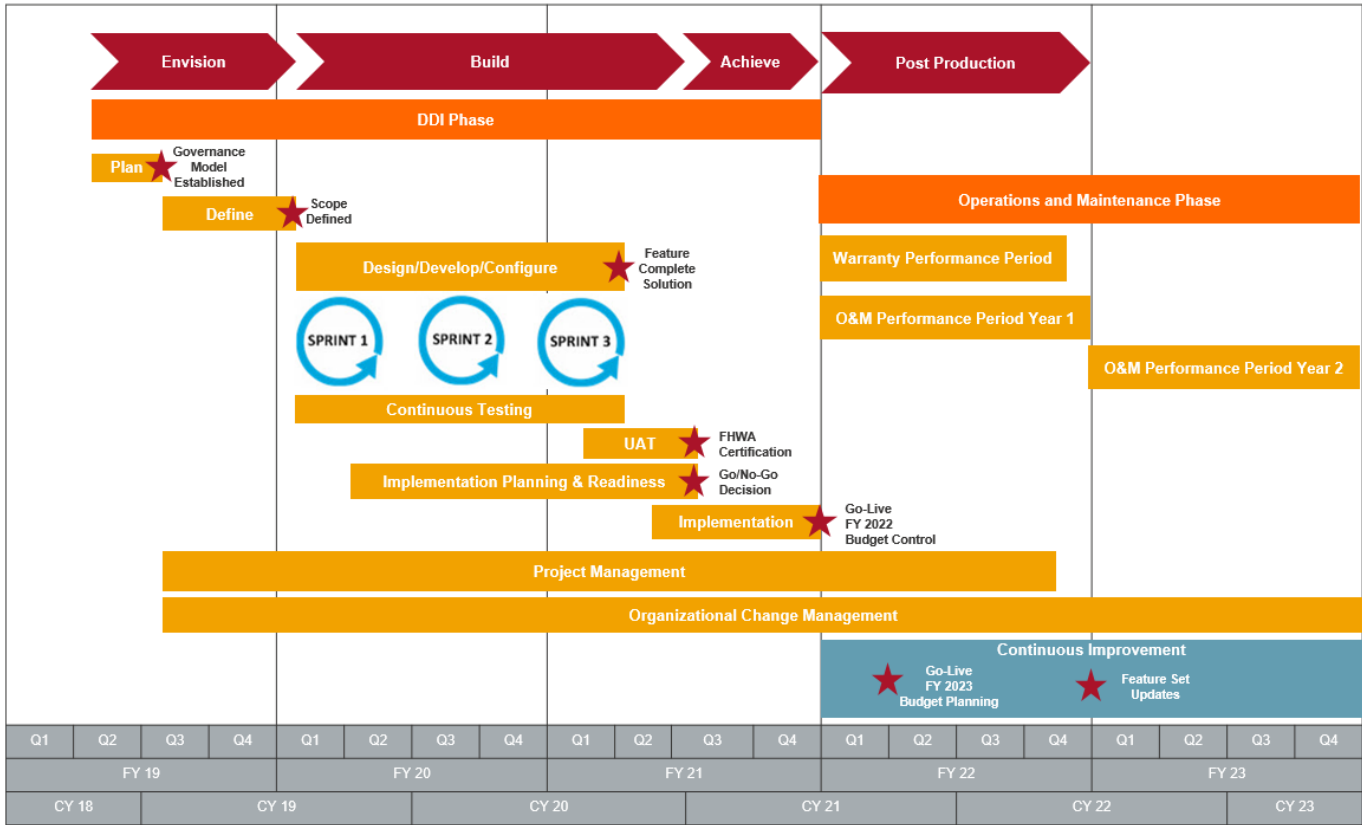
2.2 PROJECT LIFECYCLE DESCRIPTION

The following diagrams highlight the high-level WP II Project Lifecycle and WP II Project Implementation Roadmap.

WP II Project Lifecycle



WPII Project Implementation Roadmap

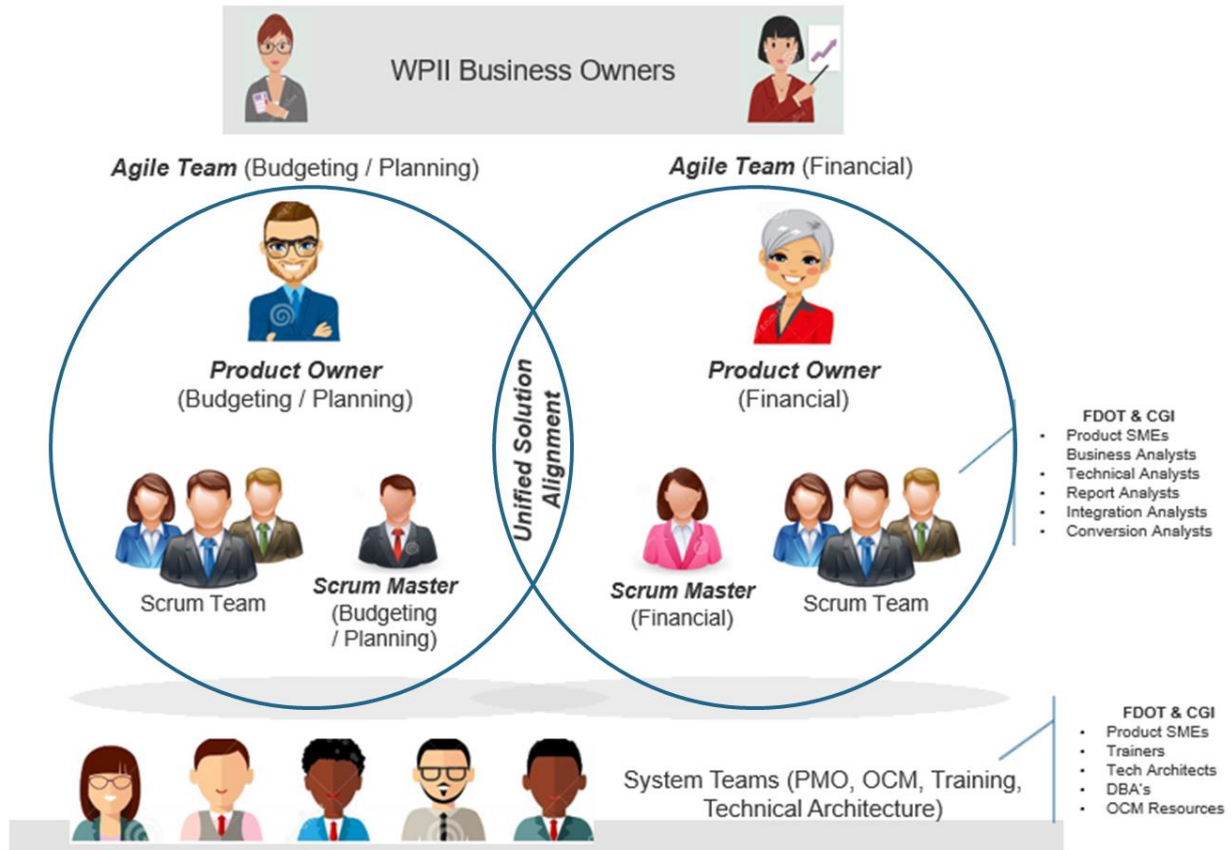


2.3 DEVELOPMENT APPROACH

CGI will use their Advantage Implementation Methodology (AIM) to design, develop/configure and perform testing to build the WPII Solution. The AIM methodology will leverage agile-like practices to produce the Solution incrementally via a series of Sprints and Product Increments that align to the thirty-nine (39) WPII Core Business Functions. The configured Solution will be produced and demonstrated to FDOT, in the context of the To-Be Business Processes throughout the Build phase to validate and confirm the Solution.

Using the outputs, deliverables and requirements from the Define Phase, an Initial Product Backlog that contains the features and functions of the Solution will be produced for purposes of prioritizing the full scope of content to be designed, developed, configured and tested into discreet Product Increments. Within each Product Increment, the agreed upon content to be produced is aligned to a set of User Stories that the Project Team will design, develop, configure, test and demonstrate via a series of Sprints. Within each Sprint, the individual components to be developed for a User Story are developed, configured and unit tested. Additionally, the components are system tested and demonstrated to FDOT for validation and confirmation at the end of each Sprint.

The following diagram shows how the Project Team will be organized for the Sprints:

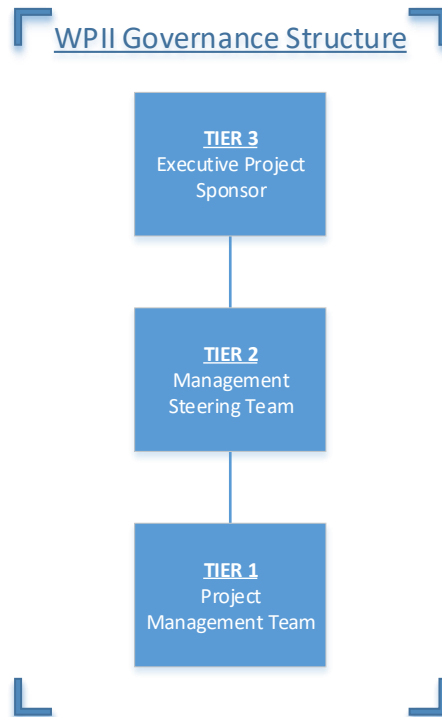


SECTION 3 PROJECT ORGANIZATIONAL AND GOVERNANCE STRUCTURE

3.1 ORGANIZATIONAL GOVERNANCE STRUCTURE

As events unfold throughout the lifecycle of the Project, any impact to the project scope, schedule, budget or quality will be escalated through the governance process. Decision making authority is aligned with the severity and potential impact of the situation at hand.

There are three tiers of governance. It is important to understand each tier’s level of decision making ownership and the resulting escalation path. This enables the team to move issues through the governance structure without jeopardizing scope, schedule, budget or quality of the overall Project.



The responsibilities of the roles in the Governance Structure chart above are defined below:

TIER 1: Project Management Team (PMT)

Resolving any items initiated to Tier 1 with escalation to Tier 2 if a decision cannot be made during the next scheduled PMT meeting.

- PMT will have the ability to make administrative decisions (i.e.; staff augmentation hour adjustments and fiscal revert and re-appropriation). All such decisions will be captured in the Project RAID Log.

Items that require escalation include:

- Items that have a scope, budget, or critical path scheduling impact

Keeping the MST updated on their issues or concerns.

TIER 2: Management Steering team (MST)

Resolving any items escalated to Tier 2 for resolution with escalation to Tier 3 if a decision cannot be made during the next scheduled MST meeting.

- Scope change that impacts business operations
- Budget change that cannot be handled within the current fiscal year appropriation
- Schedule change that impacts schedule critical path

Keeping the EPS updated on their issues or concerns.

TIER 3: Executive Project Sponsor (EPS)

Resolving any items escalated to Tier 3 for resolution.

3.1.1 GOVERNANCE MEETING FREQUENCY

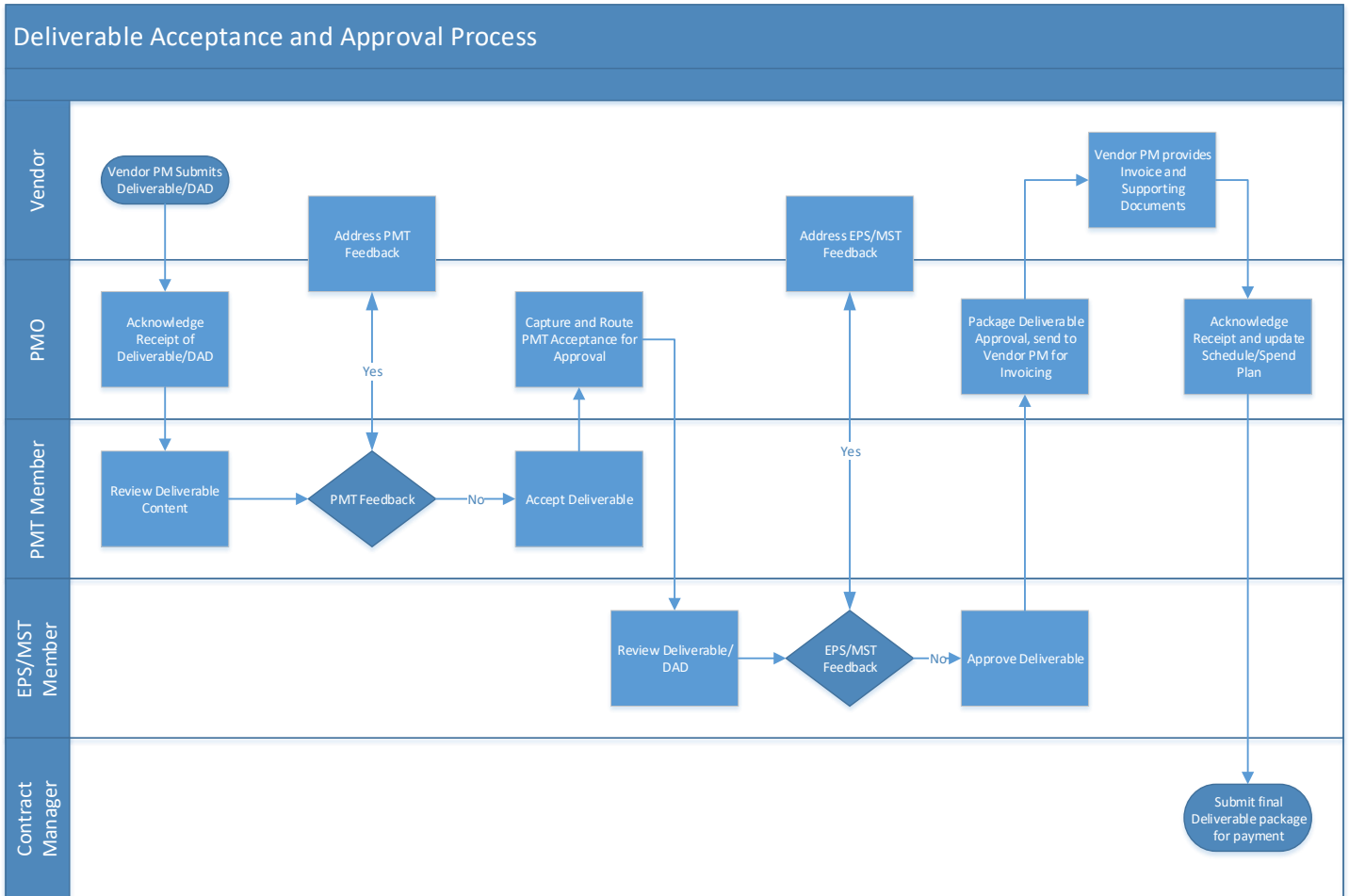
Meeting	Frequency
PMT	Weekly
EPS/MST	Bi-Weekly

3.2 DELIVERABLE REVIEW, ACCEPTANCE AND APPROVAL PROCESS

Once a deliverable is developed and the internal Vendor deliverable review process is complete, it is ready to enter the Deliverable Acceptance and Approval Process. This process follows a predefined set of steps and set of time standards detailed in the sections below.

A Deliverables Acceptance Document (DAD) will accompany each final deliverable for acceptance and approval. The DAD will describe the deliverable itself and how it meets the deliverable expectation and acceptance criteria as defined in the respective TWO.

Each deliverable submitted to the PMO for acceptance and approval will follow the process flow illustrated below. The exhibit below depicts the process that deliverables will follow as well as identifies the responsible party for each process step.



3.2.1 DELIVERABLE REQUIREMENTS AND TURNAROUND TIME STANDARDS

The steps in the Deliverable Acceptance and Approval process will depend on the deliverable being submitted. These requirements and time standards are as follows:

1. Each deliverable will be submitted by the Vendor Project Manager to the WPII Project Director in electronic format. The WPII Project Director will ensure the deliverables are distributed as necessary.
2. The turnaround time for deliverable reviews may be extended on an exception basis only per the agreement between the Vendor Project Manager and the WPII Project Director unless the change in the review period requires an amendment to the contract.
 - a. In the event a contract amendment is required, the Contract Manager will be notified and the PMO will follow the processes defined in the Change Management section.
3. Any conflict arising from the Deliverable Acceptance and Approval process will be addressed via the Project Governance process.

3.2.2 DELIVERABLE ACCEPTANCE

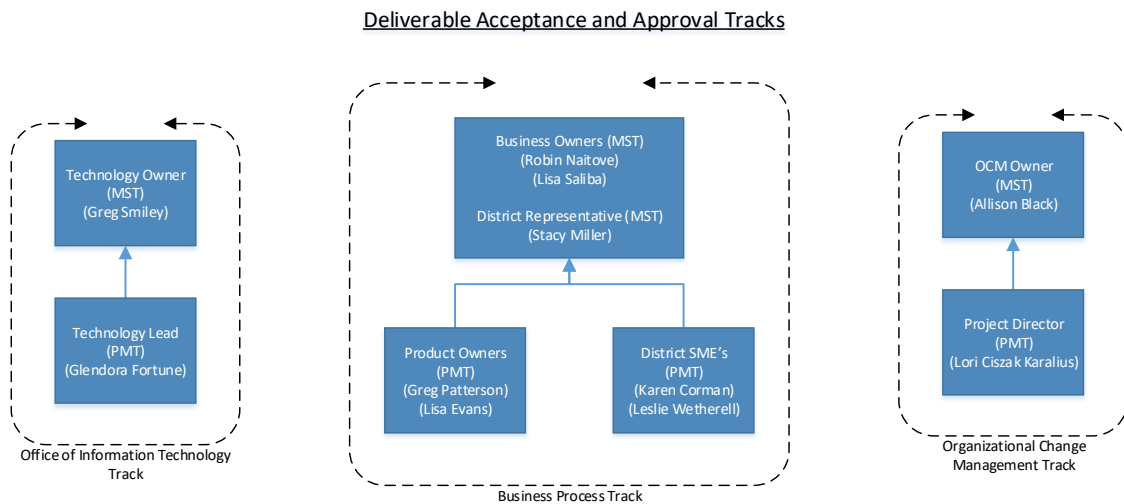
1. Each deliverable will be reviewed for Acceptance or Rejection by member(s) of the PMT with Subject Matter Expertise (SME) for their respective assigned Deliverable Subject Track.
2. The designated PMT-SME member(s) will have three (3) business days to conduct their review of the entire deliverable.
3. If the PMT-SME member(s) have comments or changes for a specific deliverable, the PMT-SME member(s) will send all their comments or changes to the PMO.

- a. The PMO will review and route the comments or changes back to the Vendor for clarification and/or correction.
 - b. The Vendor will collaborate with the PMT-SME member(s) to address any issues or questions submitted by the PMT-SME member(s).
 - c. Once clarification or correction is provided, the PMO will notify the PMT member(s) that the deliverable is available for review.
 - d. The review timeframe will restart and the PMT-SME member(s) will have three (3) business days to review the amended deliverable. The PMT-SME member(s) review will be limited to the Vendor's clarification or corrections.
4. Once a deliverable is accepted, the PMO will route the Deliverable and Acceptance to the respective MST member for review.

3.2.3 DELIVERABLE APPROVAL

1. Each deliverable will be reviewed for Approval or Rejection by member(s) of the MST with Subject Matter Expertise (SME) for their respective assigned Deliverable Subject Track.
2. The designated MST-SME member(s) will have three (3) business days to conduct their review.
3. If the MST member(s) have comments or changes for the deliverable, the MST-SME member will send their comments or changes to the PMO, copying their corresponding PMT-SME member.
 - a. The PMO will review and route the comments or changes back to the Vendor for clarification and/or correction.
 - b. The Vendor will collaborate with the MST-SME member(s) to address any issues or questions submitted by the MST-SME member(s).
 - c. Once clarification or correction is provided, the PMO will notify the MST-SME member(s) that the deliverable is available for review.
 - d. The review timeframe will restart and the MST-SME member(s) will have three (3) business days to review the amended deliverable. The MST-SME member(s) review will be limited to the Vendor's clarification or corrections.

The diagram below depicts the roles responsible to Accept and Approve deliverables across Subject tracks.



3.2.4 EXCEPTIONS TO THE DELIVERABLE ACCEPTANCE/APPROVAL PROCESS

1. All Independent Verification & Validation (IV&V) deliverables will follow the steps listed above but will be Accepted by the Contract Manager and Approved by the EPS.
2. Systems Integrator Project Management Monthly Status Reports will be Accepted by the WPPI Project Director and Approved by the Technology Lead.
3. Systems Integrator Managed Advantage Technical Monthly Status Reports will follow the Office of Information Technology Track Acceptance and Approval process.
4. Systems Integrator Organizational Change Management Monthly Status Reports will follow the Organizational Change Management Track Acceptance and Approval process.

3.2.5 DELIVERABLE INVOICING

Once a deliverable is Accepted and Approved, the PMO will notify the Vendor Project Manager by providing the Deliverable Approval (PDF copy of the email) and completed DAD. The Vendor Project Manager creates an Invoice Package (Deliverable Approval, DAD and Invoice) and submits to the PMO, who will then forward to the Contract Manager for payment.

All artifacts associated with a deliverable will be maintained in SharePoint by the PMO.

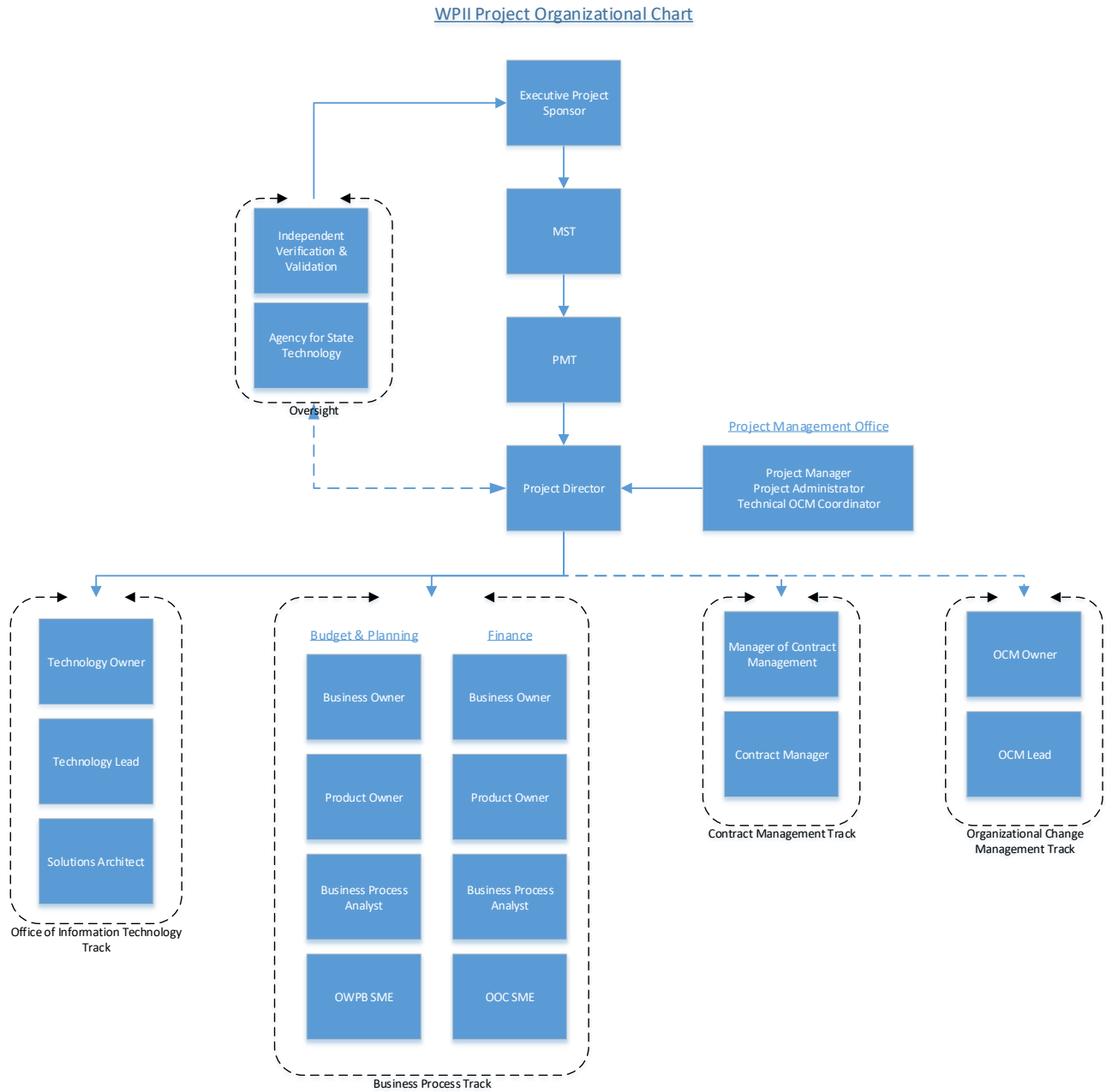
3.2.6 SYSTEMS INTEGRATOR PHASE GATE APPROVAL

Once all deliverables have been accepted and approved by the PMT/MST Members the PMO will send an email notification to the EPS stating that all deliverables for that portion of the task work order are complete and the Project is requesting Interim Phase Gate approval to continue to the next phase of the current task work order or Final Phase Gate approval to begin the next project phase and related task work order(s). The EPS will have two (2) business days to respond to the PMO with their approval or denial of the phase gate request. This will be done for the interim and final phase gates.

Phase Gate approval applies to the CGI task work order specifically. All artifacts associated with the phase gate approval will be maintained in SharePoint by the PMO. Interim and Final Phase Gates are defined in the WPPI Master Agreement.

3.3 PROJECT ORGANIZATIONAL CHART

Below is the WPPI Project Organizational Chart.



3.4 PROJECT ROLES AND RESPONSIBILITIES

Below are the roles and responsibilities for project team members and stakeholders on the project.

Role	Name	Responsibilities
Key Sponsors	<p>The Assistant Secretaries: April Blackburn, F&A Brian Blanchard, E&O Thomas Byron, SD</p> <p>The District Secretaries and Turnpike Executive Director: Greg Evans (D2) Phillip Gainer (D3) David Gwynn (D7) L.K. Nandam (D1) Gerry O'Reilly (D4) Mike Shannon (D5) Paul Wai (TE) Jim Wolfe (D6)</p>	<p>Responsible for:</p> <ol style="list-style-type: none"> 1. Providing guidance on overall scope and project direction; 2. Supporting the time commitments of the Liaisons, Change Agents, Functional Coordinators (FCs), and Subject Matter Experts (SMEs); 3. Approving project scope artifacts for their respective areas; and 4. Serving as champions for the Project within FDOT.
Executive Project Sponsor (EPS)	April Blackburn	<p>The EPS is <u>accountable</u> for the success of the Project, ensuring it meets the documented scope, schedule and cost. The EPS <u>responsibilities</u> include:</p> <ol style="list-style-type: none"> 1. Serving as a champion of the Project within FDOT; 2. Ensuring cross-functional FDOT alignment; 3. Providing guidance and direction to the Project Team; 4. Resolving any issues escalated to Governance Tier 3 for resolution; 5. Reviewing and Approving IV&V deliverables; and 6. Participating in the EPS/MST Meetings and providing guidance and direction to the MST.
Business Owners	Lisa Saliba Robin Naitove	<p>Responsible for:</p> <ol style="list-style-type: none"> 1. Owning the WP II Solution; 2. Reviewing and Approving Business Process Track Deliverables; 3. Participating in MST Meetings; 4. Participating in WP II Chair Meetings; and 5. Providing support to the Product Owners.

Role	Name	Responsibilities
Product Owners	Lisa Evans Greg Patterson	<p><u>Responsible for:</u></p> <ol style="list-style-type: none"> 1. Defining the processes and functional content for FDOT as a whole; 2. Engaging SMEs as required to fill in any scope; 3. Assisting in preparing internal and external project communication; 4. Driving the design of the overall To-Be Business Process Vision for FDOT; 5. Reviewing and Accepting Business Process Track Deliverables; 6. Participating in PMT meetings; 7. Working with the WPII Project Director and the Vendor Project Manager(s) to ensure the appropriate functional progress is being made day-to-day; 8. Serving as Chief Innovators for their individual specialized line of business; and 9. Serving as the Project Business Solution Architects for respective tracks.
Management Steering Team (MST)	Lisa Saliba, Chair Robin Naitove, Deputy Chair Greg Smiley Allison Black Stacy Miller Alan Autry Annette Lapkowski	<p>The MST members are <u>responsible</u> for:</p> <ol style="list-style-type: none"> 1. Reviewing and Approving contract changes with material Scope, Schedule or Cost variance with in the Tier 2 thresholds via the Change Control process; 2. Serving as champions of the Project within FDOT; and 3. Resolving any issues escalated to Governance Tier 2 for resolution (referenced in Governance section).
Project Management Team (PMT)	Greg Patterson, Chair Lisa Evans, Deputy Chair Lori Ciszak Karalius Leslie Wetherell Karen Corman Glendora Fortune Alan Busenbark	<p>The PMT is charged with the following:</p> <ol style="list-style-type: none"> 1. Reviewing and Approving contract changes with material Scope, Schedule or Cost variance with in the Tier 1 thresholds via the Change Control process; and 2. Resolving any issues escalated to Governance Tier 1 for resolution (referenced in Governance section).
Project Management Office (PMO)	Lori Ciszak Karalius Siby Koshy Vallie Mandell Chad Mayer	<p>The PMO is <u>Responsible</u> for:</p> <ol style="list-style-type: none"> 1. Identifying and developing project management methodology, best practices, standards and templates per the PMI PMBOK standards; 2. Monitoring compliance with project management standards, policies, procedures, and templates; 3. Working with the Independent Verification and Validation Vendor (IV&V) to meet all project reporting and oversight requirements set forth in Chapter 74.1.009, F.A.C.; 4. Coordinating project communication; and 5. Coaching, mentoring, and training Project Team resources on the project processes as needed.

Role	Name	Responsibilities
WPII Liaisons	Jason Adank (CO-OOC) Kelli Bradley (D7) Duane Compo (D5) Jamie Driggers (D2) Carla Hodges (D3) Dan Hurtado (CO-E&O) Michael Lucero (D6) Rachel Perkins (CO-SD) Kendra Sheffield (CO-OWPB) Melissa Slater (D1) Leslie Wetherell (D4) Troy Williams (TE)	The WPII Liaisons are <u>Responsible</u> for: <ol style="list-style-type: none"> 1. Ensuring appropriate District and Central Office participation in the Project activities and communication between the Project and the Districts/Central Office(s); 2. Being the focal point for any sign-off of Future State Business Processes or other solution functionality for their respective areas; 3. Providing an insider’s view of the Project to influence others; 4. Speaking proactively about the upcoming changes; 5. Explaining anticipated features and the intent behind them, as key representatives of future-state design concepts; 6. Expressing concerns and relaying questions for executive management; and 7. Sharing information from the Project Team, answer questions from peers, and serving as another “listening post.”
OIT Liaisons	District 1 District 2 District 3 District 4 District 5 District 6 District 7 Turnpike Central Offices	<u>Responsible for:</u> <ol style="list-style-type: none"> 1. Coordinating and communicating with the WPII Technical OCM Coordinator; 2. Communicating technical impacts because of the WPII solution to District stakeholders with effected applications; 3. Mitigating resistance; and 4. Executing the Technical Change Readiness Plan
Change Agents (By Stakeholder Group)	<u>Stake Holder Groups</u> District 1 District 2 District 3 District 4 District 5 District 6 District 7 Turnpike Central Offices	The Change Agents are <u>Responsible</u> for: <ol style="list-style-type: none"> 1. Communicating with Stakeholder Group; 2. Serving as a Liaison for Stakeholder Group; 3. Advocating for the Project within Stakeholder Group; 4. Identifying and Managing Resistance within Stakeholder Group; and 5. Serving as Coach for members of Stakeholder Group. <p><u>Note:</u> Names of the Change Agents will be maintained in the WPII OCM Plan.</p>

Role	Name	Responsibilities
WPPI Project Director	Lori Ciszak Karalius	The WPPI Project Director has <u>responsibility</u> for all facets of the Project: <ol style="list-style-type: none"> 1. Providing daily leadership and strategic direction for the Project; 2. Making sure all Project Team members have the tools to perform their respective responsibilities; 3. Monitoring compliance with project management standards, policies, procedures, and templates; 4. Coordinating and facilitating communications internal and external; 5. Reviewing and Approving AST documentation, including monthly AST-0505B Status Report and monthly AST Key Performance Indicator (KPI); 6. Facilitating monthly EPS/MST meetings; 7. Providing Transportation Technology (TT) Executive Workshop Updates; 8. Maintaining and update Legislative Budget Request (LBR) documents; including Schedule IV-B; 9. Working with the Finance and Contracts Administrator to develop quarterly release requests, work with Budget Office to deliver requests quarterly; 10. Holding Vendors accountable for contracted deliverables; and 11. Overseeing the Master Project Schedule and PMP.
Project Manager	Siby Koshy, PMP	<u>Responsible for:</u> <ol style="list-style-type: none"> 1. Ensuring all facets of the Project are delivered on time and within cost: Project, Functional and Technical; 2. Monitoring the daily operations of the Project and escalating issues as needed to the WPPI Project Director; 3. Monitoring and Reporting on the Project RAID Log; 4. Managing the Project Spend Plan; 5. Managing the Project Schedule; 6. Monitoring Vendor deliverables for completion; 7. Holding Vendors accountable for contracted deliverables; 8. Creating and delivering the monthly AST-050B Status Reports to AST; 9. Reviewing and providing feedback to the monthly AST Key Performance Indicator (KPI) Tool; 10. Reviewing and providing feedback to IV&V Project Manager; and 11. Facilitating the PMT Meetings.
Risk Manager	Siby Koshy, PMP	<u>Responsible for:</u> <ol style="list-style-type: none"> 1. Per Rule 74-1 an individual responsible for managing a project's risk, such as conducting risk management planning, risk identification, analysis, response planning, and tracking of risks and mitigation throughout the project.

Role	Name	Responsibilities
Project Administrator	Vallie Mandell	<p><u>Responsible for:</u></p> <ol style="list-style-type: none"> 1. Providing administrative support for meetings by recording and typing notes, development and distribution of agenda and supporting documents, and ensuring that assignments or follow up that may be required is communicated to appropriate staff and tracked to completion; 2. Facilitating onboarding efforts for Staff Augmentation, Management Services, and Systems Integrator Consultants; 3. Coordinating meeting logistics for the Project Team including meeting rooms, teleconference & video numbers, GoToMeeting and Skype, etc.; 4. Setting up and managing the structure of the WPPI SharePoint; 5. Working with the WPPI Project Director and Project Manager on the development and completion of project updates and reports including: Monthly AST and MST Status Reports, Innotas Status Updates, LBR Status Report, Executive Workshop Updates, etc.; 6. Assisting Project Manager with resource management by monitoring monthly Innotas and People's First charges; 7. Collecting and recording WPPI Staff Augmentation timesheets monthly and reconciling FLAIR transactions with the Finance Manager. 8. Working with Project and Business Offices on Scope of Services development for Staff Augmentation Positions; and 9. Coordinating the advertisement of Staff Augmentation positions with Contract Manager in MFMP Sourcing.

Role	Name	Responsibilities
Contract Manager	Alan Busenbark	<p><u>Responsible for:</u></p> <ol style="list-style-type: none"> 1. Coordinating the development of all new procurement efforts on the project to ensure compliance with F.S. 287; 2. Reviewing Scope of Services for all new procurement efforts from a contract and procurement prospective; 3. Advertising all DMS State Term Contract related solicitations for the project; 4. Monitoring and maintaining My Florida Marketplace (MFMP) purchase orders executed for WP II; 5. Monitoring and maintaining all B Contracts executed for WP II; 6. Reviewing all project invoices for completion and compliance with F.S. 215; 7. Working with Finance Manager to ensure payments are processed; 8. Monitoring the project spend plan; 9. Coordinating with the PMO to ensure project budget reporting is accurate and up to date; 10. Performing Vendor Management activities, including general communication about upcoming opportunities or follow up inquiries about the WP II project; 11. Tracking all vendor responses to procurement solicitations to ensure compliance with F.S. 286; and 12. Ensuring overall adherence to the Vendors' contracts.
Finance and Contracts Administrator	Annette Lapkowski	<p><u>Responsible for:</u></p> <ol style="list-style-type: none"> 1. Working with the PMO to develop quarterly release requests; 2. Working with the PMO, Vendor, and applicable SME's to gather TWO information to adjust quarterly release requests over time; 3. Maintaining the Forecasted Spend Plan; 4. Coordinating with the Finance Manager and Contract Manager to reflect consumption of funds by month; and 5. Coordinating with the Budget Office on requests related to quarterly releases.
Finance Manager	David Perrin	<p><u>Responsible for:</u></p> <ol style="list-style-type: none"> 1. Tracking FLAIR transactions; 2. Overseeing the encumbrance of project funds; and 3. Ensuring funds are encumbered correctly and timely.
WP II Organizational Change Management (OCM) Lead	Kiyana Edwards	<p><u>Responsible for:</u></p> <ol style="list-style-type: none"> 1. Championing OCM activities associated with the Project to the entire organization; 2. Creating and communicating OCM plan to the stakeholders; 3. Coordinating with the WPI Technical OCM Coordinator; 4. Coordinating the WP II Liaisons; 5. Coordinating the Change Agents; 6. Mitigating resistance; and 7. Coordinating execution of the Communications Plan

Role	Name	Responsibilities
WPPI Technical OCM Coordinator	Chad Mayer	<p><u>Responsible for:</u></p> <ol style="list-style-type: none"> 1. Confirming common enterprise-wide metrics for District readiness to better enable broad change across FDOT; 2. Providing metrics for project teams/SI resources to record District readiness results; 3. Coordinating with the Impact Remediation and Legacy Modernization (IRLM) OIT Project Manager; 4. Creating and communicating technical impacts because of the WPPI solution and IRLM to the OIT Liaisons and stakeholders; 5. Coordinating the technical changes and impacts coming out of the WPPI Project with the district and OIT Liaisons; 6. Serving as the WPPI Change Agent for the Office of Information Technology; 7. Providing internal perspective, accurate information, and status of the other projects that relate to and/or may be impacted by the WPPI project; 8. Developing a strategy for standard change network onboarding and engagement; 9. Engaging and collaborating with project networks at all levels across the enterprise; and 10. Coordinating execution of the Technical Change Readiness Plan with the OCM Lead.
Solutions Architect	Brian Toppel	<p><u>The Solutions Architect is responsible for:</u></p> <ol style="list-style-type: none"> 1. Serving as the Technology Track liaison to the WPPI Project; 2. Working closely with the Systems Integrator to ensure OIT standards are followed; 3. Coordinating the completion of the FDOT Security Plan between the Systems Integrator and OIT Security Office; 4. Ensuring all OIT objectives are addressed as part of the final solution; 5. Initiating, driving and delivering effective experiences in partnership with distributed cross-functional teams and ensuring all aspects of the architectural vision are communicated, supported and delivered to the highest standards; and 6. Aligning core .NET based platform development initiatives with Department development vision, strategy and deployment.

Role	Name	Responsibilities
Senior Business Process Lead	Drew Evers Michael Stephens	<p>The Senior Business Process Lead has the <u>responsibility</u> for:</p> <ol style="list-style-type: none"> 1. Assisting the Product Owners in the developing and executing of business process standardization activities; 2. Coordinating and leading business process standardization sessions with the Functional Coordinators and SMEs (in collaboration with the SI); 3. Identifying additional opportunities for Subject Matter Expert engagement in the definition of detail functional requirements, data conversion rules and cleansing activities and development of testing scenarios to confirm business outcomes; 4. Facilitating process mapping meetings and assisting with artifact creation to document alignment with future state business processes; 5. Assisting in documenting specifications for data conversions, functional interfaces, reporting requirements and workflow definitions; and 6. Documenting and coordinating resolution of parking lot items from Functional Coordinator and SME work sessions.
Grant Thornton Key Personnel *	Nicole Geller (IV&V Project Manager)	<p>Reporting to the Executive Project Sponsor, the Grant Thornton Project Manager is <u>accountable</u> for providing an objective, neutral, third-party view of the Project with the intent of protecting FDOT's interests.</p> <p>The Grant Thornton Project Manager has the <u>responsibility</u> to:</p> <ol style="list-style-type: none"> 1. Evaluating and assessing the Project throughout the Project lifecycle and reporting on a monthly and quarterly basis; and 2. Complying with IV&V regulatory requirements detailed in US Code of Federal Regulations 45 CFR 95.626 and the Project Management and Oversight Standards, detailed in Chapter 74-1.009, F.A.C.
AST Oversight	Ann Neidhardt	<ol style="list-style-type: none"> 1. Providing oversight as outlined in Chapter 74-1.009, F.A.C.
System Integrator - CGI	John Jones SI Engagement Manager	<p>The CGI Engagement Manager will have responsibility for:</p> <ol style="list-style-type: none"> 1. Managing FDOT's ERP Project initiative from a business perspective; 2. Holding and conveying the vision of the ERP Project initiative to all levels of the CGI organization, including the project team and stakeholders; 3. Providing the objectives and parameters by which the project team operates (e.g. minimal customizations, staying as close to out-of-box functionality as possible; instead reengineering processes to adapt to the solution); 4. Making critical and key decisions when asked by the PMO and Project Management staff to keep the initiative moving forward without delay or effect; 5. Working to educate project stakeholders and the Executive Project Sponsor about important issues; 6. Recognizing and removing roadblocks for the project.

Role	Name	Responsibilities
	Byron Woodruff SI Project Director/Manager	<p>The CGI Project Director/Manager will have overall responsibility for:</p> <ol style="list-style-type: none"> 1. Overseeing the successful execution of the project by managing the partnership between the FDOT and CGI; 2. Overseeing the successful execution of the project by removing project obstacles and supporting the project team by aligning the team resources necessary to be successful; 3. Providing daily leadership and strategic direction for the Project; 4. Participating in PMO related direction, risk review, and mitigation strategies. 5. Serving as a point of escalation for issues related to the project and works in the interests of the project team to resolve in a timely manner, in line with project objectives; 6. Communicating regularly with FDOT's WPPII Project Management Office; 7. Delivering a weekly status report of CGI team activities; 8. Delivering a monthly status report of CGI team activities; 9. Managing the CGI Project Schedule; 10. Providing recommended updates, as applicable, to the PMP; 11. Making sure all Project Team members have the tools to perform their respective responsibilities; 12. Monitoring compliance with project management standards, policies, procedures, and templates; 13. Coordinating and facilitating CGI communications, internal and external.
	Randy Keltner SI Deputy PM	<p>The CGI Deputy Project Manager will have responsibility for:</p> <ol style="list-style-type: none"> 1. Serving as Deputy Project Director/Manager providing support to Project Director in his responsibilities; 2. Serving as the CGI Solution Architect for the WPPII solution; 3. Developing and maintaining the solution design; 4. Ensuring and confirming teams are building the solution as designed; 5. Proactively highlights solution design impacts as they occur.

Role	Name	Responsibilities
	<p>Jon Gingrich SI Business Process Lead</p>	<p>The CGI Business Process Lead will have responsibility for:</p> <ol style="list-style-type: none"> 1. Supporting definition of the processes and functional content for the WP II solution; 2. Assisting in preparing internal and external project communication; 3. Driving the design of FDOT WP II To-Be Business Process Vision within the Advantage WP II solution; 4. Developing and reviewing CGI Business Process Track Deliverables; 5. Managing day to day activities of the functional team; 6. Coordinating with functional leads on proposing solutions for business processes; 7. Coordinating with the OCM team to obtain buy in and adoption of new processes.
	<p>Carl Grammer SI Technical Lead</p>	<p>The CGI Technical Lead has the responsibility for:</p> <ol style="list-style-type: none"> 1. Serving as the Technology Track Lead; 2. Leading technical teams in meeting deliverables; 3. Managing infrastructure activities including configuration, maintenance and upgrade of hardware, OS level patching of Linux and Windows Servers, VMWare configuration and management; 4. Assisting staff with troubleshooting and resolving application and performance issues; 5. Troubleshooting and tuning Data-warehouse performance and deployment issues; 6. Collaborating with implementation team on failover and disaster recovery testing; 7. Deploying of applications.
	<p>Sara Ramelb SI OCM Lead</p>	<p>The CGI OCM Lead will have responsibility for:</p> <ol style="list-style-type: none"> 1. Collaboratively working with FDOT WP II OCM Lead to provide OCM methodology and services to support transition to the new WP II system and standardized business processes; 2. Leading the delivery of WP II Solution Change Management Activities; 3. Managing CGI OCM work stream of OCM, Training, & Readiness Activities; 4. Coordinating with the CGI WP II Implementation Liaison Team; 5. Coordinating with the CGI Training Team; 6. Coordinating the reporting of WP II Solution OCM and District/Turnpike/CO readiness; 7. Supporting Center of Excellence and Solution Management Sustainability.

SECTION 4 SCOPE MANAGEMENT

4.1 PROJECT OBJECTIVES

Successful completion of the Business Outcomes is the most accurate measure of the WP II Solution’s ability to manage the funding, budget authority and cash flow of the Work Program as required by FDOT’s various oversight bodies. The ultimate success of the WP II Project will be the ability of the WP II Solution to successfully complete the twenty (20) Business Outcomes included in the table below. Each of the 20 Business Outcomes can be traced to one or more of WP II’s 39 Level 2 Business Sub-Functions.

Business Outcome	Business Outcome Description	Level 2 Sub-Function	Level 2 Sub-Function Purpose
1. Work Program Policy Development and Implementation	FDOT must convert policy guidance into data within the proposed solution that serves as the basis for rules-engine processing of projects and funds. The implemented solution must provide the functionality and data required to establish and enforce revenue sources and revenue uses to demonstrate compliance with state and federal law.	1. Develop Policy	Process to develop policies for identifying priority investments and determining how FDOT will create the mechanical checks and balances in the financial system.
		2. Implement Policy	Process to create mechanical structures in the form of fund allocations and targets to implement into the Tentative Work Program the policies determined in the Program Planning Workshops.
2. Transportation Project Initiation and Prioritization	FDOT must be able to establish project definitions, work breakdown structure, and data characteristics for each individual project. These allow FDOT to enforce eligibility criteria and develop the basis for the rules engine, as well as prioritize projects for funding and budget requests. The implemented solution must provide the functionality and data required to establish project identifiers and populate the data necessary to define the project and connect and enforce the rules of revenue source and use to prove compliance with	3. Establish Candidate Through Unique Identifier	Process to develop the Tentative Work Program beginning with the establishment of candidate projects (i.e., project concepts) that conform to a common work breakdown structure which enables more effective planning, tracking, communication, and decision making.
		4. Prioritize Project	Process to perform the initial assignment of revenue sources to move a project from candidate to inclusion in the Tentative Work Program.

Business Outcome	Business Outcome Description	Level 2 Sub-Function	Level 2 Sub-Function Purpose
	state and federal law as projects are prioritized.		
3. Tentative Capital Plan of Projects Development	<p>FDOT is statutorily required to propose a program of transportation projects that consumes available funding and budget resources to accomplish transportation goals of the state and municipalities. To do this, funding sources must be assigned to eligible projects that satisfy statutory and policy-based spending levels on specific programs or outcomes.</p> <p>To accomplish this, FDOT must match project characteristics to eligible revenue sources and uses and define all project characteristics required for inclusion in the Tentative Work Program.</p> <p>FDOT must implement controls during the development of the Tentative Work Program to manage updates due to changes in project scope, schedule and estimates for all versions of the tentative work program.</p> <p>The solution must provide the functionality and information necessary to produce summarized versions of the tentative work program by budget category, revenue use and other agency unique designations and satisfy the requirements necessary to confirm the adherence to all laws, rules, policies, and</p>	5. Program a Project	Process describes the tools to address scope, schedule, and estimate changes during development of the Tentative Work Program.
		6. Manage Tentative Project Changes	Process to ensure FDOT's tentative capital plan of programmed projects is based on a balanced financial plan where forecasted cash outflows are supported by projected revenues and funding reimbursements.

Business Outcome	Business Outcome Description	Level 2 Sub-Function	Level 2 Sub-Function Purpose
	<p>procedures during the first fiscal year after go-live.</p>		
<p>4. Tentative Work Program Financing</p>	<p>FDOT must confirm forecasted cash outflows are supported by projected revenues and funding reimbursements for all versions of the tentative work program. FDOT must implement processes to model cash receipt and disbursement projections and determine needed financing adjustments for each iteration of the tentative work program. The solution must provide the functionality and data necessary to produce tentative work program versions that have a balanced financial plan for all department maintained trust funds.</p>	<p>7. Confirm Financial Soundness of Tentative Work Program</p>	<p>Process to prioritize projects and consume all available resources to produce transportation infrastructure that meets the goals of FDOT.</p>

Business Outcome	Business Outcome Description	Level 2 Sub-Function	Level 2 Sub-Function Purpose
5. Capital Plan of Projects Oversight	To satisfy Florida Statutes, FDOT must provide an opportunity for public and local government comment on the Tentative Work Program. FDOT must consider feedback from the public and local governments before submission of the Tentative Work Program to the Executive Office of the Governor and Legislature. The solution must provide the functionality and data necessary to convert tentative work program data into material for public consumption and record and provide traceability with respect to action item feedback from public hearings and FDOT's response to the feedback for the Secretary of Transportation and the Florida Transportation Commission (FTC) reviews of the tentative work program.	8. Collect Stakeholder Feedback and Approval of Work Program	Process to gather Work Program-related feedback from public and local officials and make any project adjustments before submission of the Tentative Work Program to the Executive Office of the Governor and Legislature.
6. Legislative Budget Request Submittal	FDOT must submit the initial Legislative Budget Request (LBR) by the date specified in the Legislative Budget Request Instructions published by the Executive Office of the Governor (EOG). The implemented solution must provide the functionality and data required to complete submission of the LBR in accordance with the LBR Instructions.	9. Submit Legislative Budget Request	Process to obtain budget, or spending authority, for FDOT's projects through the submission of the Legislative Budget Request (LBR) which includes the final Tentative Work Program, the requested operating budget to cover expenses, contracted services, salary budget, etc., and the budget for the Fixed Capital Outlay (FCO) buildings and grounds.

Business Outcome	Business Outcome Description	Level 2 Sub-Function	Level 2 Sub-Function Purpose
7. Fiscal Year End Transition	<p>FDOT must perform core activities at the end of the state fiscal year to close out financial activities from the prior year, bring forward accounting and budget related balances from the previous year, and initialize accounting and budget related balances and supporting control structures for the upcoming state fiscal year. FDOT must implement processes for the application of predetermined inflation rates to project phase estimates and application of indirect rates to financial project direct expenditures based on FDOT's Indirect Cost Allocation Plan (ICAP). The solution must provide the functionality and data necessary to address the continuity of FDOT's multiyear capital plan of projects and prepare all project phases and information for the ongoing management of the adopted work program.</p>	10. Manage Fiscal Year End Transitions	<p>Process to undertake procedures at the end of the state fiscal year to close out financial activities for the year, bring forward accounting and budget related balances, and initialize accounting and budget related balances and supporting control structures for the upcoming state fiscal year.</p>

Business Outcome	Business Outcome Description	Level 2 Sub-Function	Level 2 Sub-Function Purpose
8, Certification Forward and Carry Forward Budget Request	<p>FDOT must implement processes to identify outstanding obligations eligible for operating carry forward and certification forward budget requests. FDOT must implement accountability and monitoring systems to identify and manage any unexpended contractual commitments remaining at the end of the fiscal year and commitments for contracts that have been let. The solution must provide the functionality and data necessary to segregate outstanding obligations by legislative budget category (i.e. operating, fixed capital outlay, work program) and the eligibility for operating carry forward and certification forward.</p>	10. Manage Fiscal Year End Transitions	<p>Process to undertake procedures at the end of the state fiscal year to close out financial activities for the year, bring forward accounting and budget related balances, and initialize accounting and budget related balances and supporting control structures for the upcoming state fiscal year.</p>

Business Outcome	Business Outcome Description	Level 2 Sub-Function	Level 2 Sub-Function Purpose
<p>9. Roll Forward Budget Amendment</p>	<p>FDOT must implement processes to identify any project phases in the adopted work program that will not be included in FDOT’s certification forward budget request and will be eligible for roll forward into the next fiscal year of the adopted work program. FDOT must implement accountability and monitoring systems to provide traceability for spending authority associated with the project phases identified to roll forward into the next fiscal year and prepare the annual budget amendment to submit for approval by the Legislative Budget Commission. The solution must provide the functionality and data necessary to identify project budget eligible for roll forward, manage required justifications and provide data to submit FDOT’s roll forward budget amendment.</p>	<p>10. Manage Fiscal Year End Transitions</p>	<p>Process to undertake procedures at the end of the state fiscal year to close out financial activities for the year, bring forward accounting and budget related balances, and initialize accounting and budget related balances and supporting control structures for the upcoming state fiscal year.</p>

Business Outcome	Business Outcome Description	Level 2 Sub-Function	Level 2 Sub-Function Purpose
10. Capital Plan of Projects Adoption	On or before July 1 of each year, the first step in the delivery of the work program is the adoption of all projects within the first year of FDOT’s capital plan of projects approved by the Legislature and Executive Office of the Governor. FDOT must update projects and business rules to reflect FDOT’s planned execution of the General Appropriations Act (GAA) and supporting statutes. The Solution must provide the functionality and data to ensure all required statutes and policies are satisfied for the Secretary of Transportation to Adopt the 5-Year Work Program.	11. Adopt the Work Program	Process to adjust project programming to align with the annual budget approved by the Legislature via the General Appropriations Act (GAA).
11. Adopted Work Program Financing	FDOT must confirm forecasted cash outflows for the adopted work program are supported by projected revenues and funding reimbursements. FDOT must implement processes to model revised cash receipt and disbursement projections and determine needed financing adjustments for the anticipated delivery of the adopted work program. The solution must provide the functionality and data necessary to produce an adopted work program that has a balanced financial plan for all department-maintained trust funds.	12. Confirm Financial Soundness of Adopted Work Program	Process to ensure FDOT's Adopted capital plan of projects continues to have a balanced financial plan where forecasted cash outflows are supported by projected revenues and funding reimbursements.
12. Capital Plan of Projects Budget Oversight	FDOT must implement accountability and monitoring systems to confirm compliance with the General Appropriations Act (GAA) and adherence to internal controls for budget	13. Establish Budgetary Baseline	Process to establish the annual budget at the appropriate levels within FDOT to align with the overall limits set in the General Appropriations Act (GAA).

Business Outcome	Business Outcome Description	Level 2 Sub-Function	Level 2 Sub-Function Purpose
	spending authority by organizational responsibility. FDOT must adjust planned financial project budget use and address events which impact the scope, schedule, and cost estimate of projects. The implemented solution must provide the functionality and data required to organize post, and modify budget allocations and produce variance reporting between the GAA and department budget consumption.	14. Ensure Budget Compliance	Process to allocate the approved budget at the appropriate levels and ensure FDOT stays within budget limitations throughout the fiscal year.
		22. Adjust Budget to Meet Project Needs	Process to ensure the necessary budget (i.e., spending authority) is available to meet a project's needs.
		28. Obtain Legislative Approval of Project Modifications	Process to identify the need for and submission of Work Program Amendments to ensure any applicable scope, schedule, or cost changes are properly communicated in accordance with statute.
		29. Obtain Budget Modifications	Process to identify the need for and submission of Budget Amendments to request budget adjustments for realignment, Roll Forward, and increases to approved levels.
13. Contract Impact Oversight	FDOT must procure and execute contracts for goods and services to deliver transportation projects in the adopted work program. FDOT must implement accountability and monitoring systems to reflect the contractual impacts of changes during the lifecycle of	15. Coordinate Lockdown Plan	Process to create and manage the Lockdown Plan which is a baseline by which production can be measured to ensure FDOT is achieving its stated goals and objectives through transportation infrastructure.

Business Outcome	Business Outcome Description	Level 2 Sub-Function	Level 2 Sub-Function Purpose
	<p>the project, such as funding changes, bid versus estimates, overall operational delays, project closing activities, etc. The implemented solution must provide the functionality and data required to provide project funding and budget allocations for these legal agreements, modify scope attributes associated to projects to reflect the scope of contracts and ensure the fiscal responsibility and data integrity of the Work Program is maintained. Additionally, the implemented solution must provide the functionality and data required to measure performance against planned contract commitments established during the adoption of the Work Program.</p>	16. Procure Contracted Resources	Process to obtain a statement from the FDOT Comptroller, in the form of funds approval, that funds and budget are available prior to entering into any contract or binding commitment of funds.
		20. Make Contract Adjustments	Process to review and authorize contract modifications and/or funding revisions during the lifecycle of a project and process appropriate programming changes, funds approvals, and contract supplementals/amendments as necessary.
		23. Manage Contract	Process to address the primary financial elements associated with a contract's lifecycle, including advertising and award, funds authorization, and Certification Forward.
		24. Close Contract	Process to close a contract after all activities within the contract are deemed complete.
14. Funds Approval	<p>FDOT shall require a statement from the comptroller of FDOT that funds and budget are available prior to entering into any contract or other binding commitment of funds. FDOT must implement a process to ensure that the budget and funds are in place and set the</p>	15. Coordinate Lockdown Plan	Process to create and manage the Lockdown Plan which is a baseline by which production can be measured to ensure FDOT is achieving its stated goals and objectives through transportation infrastructure.

Business Outcome	Business Outcome Description	Level 2 Sub-Function	Level 2 Sub-Function Purpose
	budget and funds aside for payment of the specific contract. The implemented solution must provide the functionality and data required to confirm that budget authority and revenue use is accurately committed at the project level (for all department projects) and can be mechanically attached to a contract to provide transaction level traceability for the use of that budget authority and revenue.	16. Procure Contracted Resources	Process to obtain a statement from the FDOT Comptroller, in the form of funds approval, that funds and budget are available prior to entering into any contract or binding commitment of funds.
		20. Make Contract Adjustments	Process to review and authorize contract modifications and/or funding revisions during the lifecycle of a project and process appropriate programming changes, funds approvals, and contract supplementals/amendments as necessary.
		23. Manage Contract	Process to address the primary financial elements associated with a contract's lifecycle, including advertising and award, funds authorization, and Certification Forward.
		24. Close Contract	Process to close a contract after all activities within the contract are deemed complete.
15. Project Scope, Schedule, and Estimate Management	FDOT must execute the entire 5-Year Work Program, specifically making required adjustments to individual projects based on events which impact the scope, schedule, and cost estimate of the project. The implemented solution must provide the functionality and data required to adjust scope, schedule, and	17. Manage Project Estimates Prior to Award	Process to modify project financial estimates over the project's lifecycle.
		18. Authorize Funds for Project	Process to authorize project phases, both federal and non-federal as appropriate, to allow them to be encumbered and/or expended.

Business Outcome	Business Outcome Description	Level 2 Sub-Function	Level 2 Sub-Function Purpose
	estimate data attributes for individual project activities as well as for the sum of the Work Program capital plan of projects as required by law.	25. Close Project	Process to close a financial project after all activities within the financial project phase group are deemed complete.
16. Project Accounting	FDOT must implement accountability and internal control systems to ensure uniform compliance with Generally Accepted Accounting Principles (GAAP) and to confirm traceability from source accounting transactions to funding and budget consumption for financial projects within FDOT's Adopted Work Program. FDOT must perform core activities to allow for the reimbursement of federal, local, bond and toll-related funds. The implemented solution must provide the functionality and data required to determine the net position of the financial projects at any point in time with respect to the consumption of funds and budget and validate FDOT's interface with the statewide accounting system	26. Consume Project Resources	Process to classify and accumulate actual financial activity (direct and indirect) on each financial project. This allows FDOT to know the net position of its financial projects at any point in time with respect to the consumption of funds and budget.
17. Cash Flow Management	FDOT must establish controls and measures to ensure the adopted capital plan of projects continues to remain financed as actual cash receipts, commitment and disbursement activities occur throughout the	30. Forecast Work Program Cash Flow	Process to evaluate actual commitments and actual receipts, in conjunction with rate variances, to project disbursements, bond expenditures, and reimbursements.

Business Outcome	Business Outcome Description	Level 2 Sub-Function	Level 2 Sub-Function Purpose
	<p>year. To operate on a cash flow basis, FDOT is required to convert project estimates and outstanding commitments to monthly cash flow projections for multiple years and maintain cash flow assumptions during the state fiscal year to reflect legislative changes, Revenue Estimating Conference (REC) forecasts, economic changes and actual commitment and disbursement activities. The implemented solution must provide the functionality and data required to validate that FDOT maintained trust funds will have cash on hand to adequately meet outstanding commitments as they become due.</p>	<p>31. Confirm Balanced Financial Plan</p>	<p>Process to evaluate key FDOT financial instruments, including AC Conversion Plans, Obligating Authority Plans, and projected bond sales to develop the Balanced Financial Plan to support the Work Program plan of projects.</p>
		<p>32. Confirm Cash Management Policy</p>	<p>Process to develop the Cash Management Plan and the related Cash Management Policies to support delivery of the Work Program plan of projects.</p>
<p>18. Federal Program Oversight</p>	<p>FDOT must establish controls to manage grants from federal programs, account for vital federal funding sources and support FDOT's partnerships with federal agencies. FDOT must implement business rules and processes, systems and system interfaces to adhere to all applicable state statutes, federal regulations and other mandates. The implemented solution must provide the functionality and data required to confirm the adherence to all applicable state statutes, federal regulations and other mandates.</p>	<p>19. Consume Toll Credits</p>	<p>Process to determine the appropriate use and application of soft match toll credits as a way of satisfying the required non-federal match requirements on projects which use federal revenue sources.</p>
		<p>27. Ensure Federal Compliance via TIP/STIP Amendments</p>	<p>Process to identify the need for and submission of TIP/STIP Amendments to ensure any applicable scope, schedule, or cost changes on federally funded or regionally significant projects are in compliance with federal reporting requirements.</p>

Business Outcome	Business Outcome Description	Level 2 Sub-Function	Level 2 Sub-Function Purpose
		33. Consume Federal Obligor Authority	Process FDOT completes to manage the conversion of Advance Construction (AC) funded project costs, ensure full consumption of Obligor Authority, and address cashflow needs.
		34. Consume Federal Grants	Process to plan, authorize, and track the use of federal grant revenue sources on transportation projects.
		35. Manage Toll Credits	Process to manage the overall inventory, consumption, and acquisition of toll credits as a mechanism for satisfying the required non-federal match requirements on projects which use federal revenue sources.
19. Revenue Uses Management and Monitoring	FDOT must implement measures to ensure the appropriate use of revenue sources within established eligibility criteria. FDOT must monitor the modification and ongoing management of revenue uses to ensure uniform compliance and quality performance by the districts and central office units that implement transportation programs. The implemented solution must provide the functionality and data required to confirm the adherence to all laws, rules, policies, and procedures and reconcile fund source and use balances for activity from prior year actions.	36. Reconcile Federal Project Resources	Process to reconcile adjustments to prior year projects, i.e. contract adjustments, to reflect appropriate amount of federal resources in the current year.
		37. Reconcile Non-Federal Project Resources	Process to reconcile adjustments to prior year projects, i.e. contract adjustments, to reflect appropriate amount of non-federal resources in the current year.

Business Outcome	Business Outcome Description	Level 2 Sub-Function	Level 2 Sub-Function Purpose
20. Work Program Plan Measurement and Monitoring	FDOT must implement accountability and monitoring systems to evaluate whether FDOT's goals are being accomplished efficiently and cost-effectively, and ensure compliance with all laws, rules, policies, and procedures. The implemented solution must provide the functionality and data required to confirm the adherence to all laws, rules, policies, and procedures.	38. Record and Report Annual Performance of the Work Program	Process to record the data elements and perform the relevant calculations to produce the annual Work Program performance measures for tracking and decision-making support.
		39. Provide Monthly Resource and Production Reporting to Executive Team	Process to record the data elements and perform the relevant calculations to produce the Monthly Resource and Production Reporting for tracking and executive decision-making support.

4.2 SCOPE BASELINE

The 39 business functional areas (Level Two Business Sub-functions) have been agreed upon to document the scope of the Project. These sub-functions are included along with the Business Outcomes above.

Technical scope and detailed requirements as they relate to the 39 business functional areas will be defined during the Define Phase of the project.

Additional information regarding In Scope items can be found in the Vendors' contract agreements.

SECTION 5 DELIVERABLES MANAGEMENT

Deliverables are managed throughout the project lifecycle and are defined as part of a Vendor's contractual Statements of Work (SOW). Also, the Project has adopted the practice of having Task Work Orders (TWO) developed and approved before work commences. The TWOs will define specific work products as part of a deliverable, as well as responsibilities, costs, acceptance criteria, quality standards and timeframes. Each TWO will have Key Activities, Work Products and Responsibilities that identifies the Vendor's and FDOT's responsibilities required to complete the referenced Deliverables.

5.1.1 DELIVERABLE DEVELOPMENT PROCESS

The key, at a high level, to making sure surprises are minimized during the deliverable review process is the involvement of the Project Team SME(s) in the deliverable development process. Sharing working drafts of deliverables in a collaborative manner throughout the project facilitates the identification of issues, differences of opinions, and misunderstandings. Where practicable, large deliverables will be developed and released incrementally to facilitate review and approval.

During the Deliverable Development process decisions may be agreed upon by the SME, PMT, MST, or EPS and the Vendor Project Manager that impacts the deliverable expectations documented in the TWO. When this occurs, a change request may be required to update the expectations as defined in the TWO prior to the Vendor Project Team making the updates to the current version of the deliverable and eventual submission to the WPPI Project Director. The WPPI Project Director is responsible for managing the dissemination of the updated deliverable expectations.

5.1.2 INTERNAL VENDOR DELIVERABLE REVIEW

In alignment with the project schedule, each project deliverable will go through an internal Vendor quality assurance review. During this review, the Vendor Project Manager and members of the Vendor team will review the deliverable and assess whether it meets its intended scope, is clear and concise, and meets expectations. The internal Vendor review team will focus on content but will also review the deliverable to ensure consistent and proper document formatting. Deliverables will not be submitted to the PMO for approval until the deliverable has been subject to this internal Vendor review.

Deliverable Acceptance Documents (DAD) will be produced as a final cover document for approval describing the deliverable specifically noting how it meets the associated TWO.

Additional information regarding the Deliverable acceptance and approval process can be found in Section 3 of this document.

5.2 DELIVERABLE ACCEPTANCE CRITERIA

Deliverable expectations for each Project Deliverable will be documented in the respective TWO. The TWO will define expected content, reviewers, and schedule for completing the deliverable. Deliverables should be reviewed for quality in terms of the following criteria (as applicable):

- Content
- Correctness
- Completeness
- Clarity
- Contractual concerns
- Functional content and accuracy
- Performance impact
- Project standards/format
- Scope

- Technical content
- Value/benefit to the client

Example Deliverable Acceptance Criteria:

Criteria	Description
Content	<p>Ensure that the content is appropriate and meets the intent.</p> <p>Verify the document meets the requirements specified in the contract/Statement of Work.</p> <p>If applicable, verify the document conforms to the specified industry and/or government standards, statutes, rules, policies and procedures.</p>
Correctness	<p>Ensure the deliverable is technically correct, clear, consistent, and testable or verifiable (if appropriate).</p>
Completeness	<p>Ensure the topic is covered in a comprehensive fashion and no sections are incomplete.</p>

If significant changes or decisions are made that affect the final deliverable scope, a change request to the respective TWO will be required in accordance with Section 16, Change Management.

SECTION 6 REQUIREMENTS MANAGEMENT

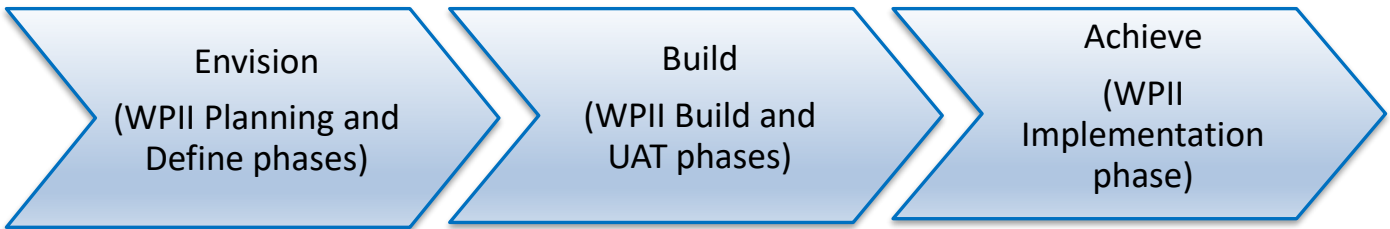
6.1 INTRODUCTION

The Requirements Management Plan (RMP) describes the processes and tools utilized throughout the Project to develop and manage the FDOT WPPI Solution requirements. The plan describes the processes to facilitate the gathering, analysis, documenting, baselining, communication, traceability, and control of the WPPI requirements throughout the Project. Activities include requirements confirmation, Fit-Gap analysis, gap resolution, and the creation and enhancement of the Requirements Traceability Matrix (RTM).

The Requirements Management Plan includes control of the requirements. Once the requirements are baselined at the conclusion of the Define Phase, enhancements to the requirements will be addressed in accordance with the Change Management section of the PMP. It is expected during the Build Phase that progressive elaboration will lead to requirement changes as the WPPI solution is developed. Progressive elaboration is utilized as all detailed requirements are not known at the start of the WPPI project. Requirements will be collaboratively and iteratively created and refined throughout the Define phase, with interim approvals at the end of each requirement set and final validation at the final phase gate to establish the requirements baseline.

6.2 REQUIREMENTS MANAGEMENT PROCESSES

Requirements will be created and validated during the Define phase, and used to direct the design, development, configuration, and test activities of the WPPI solution throughout the project.



<p>Requirements will be collaboratively and iteratively created and refined throughout the Define phase, with interim approvals at the end of each requirement set and final validation at the final phase gate to establish the requirements baseline</p>	<p>Potential additions, removals or revisions to the requirements baseline that arise during this Build phase will be subject to the change control process and periodically bundled for presentation to the PMO for their review and approval</p>	<p>Requirements will not be added, removed or revised during the Implementation phase except in extraordinary circumstances and only when mutually agreed to be necessary for a successful implementation</p>
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During the Define phase, the 39 primary business functions, along with any enablers necessary to provide those functions, will be divided into 5 requirement sets. The grouping of functions will allow for similar activities to be tackled during the same set and will also strike a balance between planning and execution activities to facilitate efficient utilization of Vendor and FDOT team members. Each set will be a focus for a period of four weeks, with a series of workshops held with subject matter experts to discuss and demonstrate business processes, configure and prototype certain functionality and ultimately define solution-specific requirements. CGI will work iteratively with FDOT to review and refine the requirements through these sessions for anything considered to be a fit and to identify any gaps. Demonstrations will allow for gap resolution analysis via the review of alternative approaches, workarounds, potential requirement changes and/or possible enhancements. Within each requirement set, adequate time is provided for completing close out activities for the set and transitioning to the next set. FDOT will provide representative example scenarios for discussion, analysis and prototyping. One of the key outputs of the Define phase is the RTM, which serves as the repository for the requirements.

During the Build phase, the business processes and the new system will be designed, configured, integrated, built, and tested. User stories will be developed during this phase based on the baseline requirements defined during the Define phase. Any potential enhancements to the requirements baseline during the Build phase will be subject to the change management control process, with approved changes being reflected via updates to the requirements and RTM.

During the UAT phase, any potential enhancements to the requirements baseline will be subject to the change management control process, with approved changes being reflected via updates to the requirements and RTM.

The Implementation phase includes cutover preparation and system implementation to allow FDOT to go live and initiate the execution of the new system in production operations. The bulk of this phase occurs subsequent to successful completion of UAT and FHWA certification and a “Go” decision to proceed with implementation, thus only extraordinary circumstances will warrant consideration for new or revised requirements during this phase.

The overall WPPI Requirements Management Process is outlined as follows:

- Identify and utilize stakeholders:** WPPI domain knowledge is important for stakeholders participating in requirements management activities. The ability to engage additional subject matter experts to provide the necessary requirements will be critical to ensure requirements are defined and reviewed for accuracy. Key stakeholders and their responsibilities are outlined in section 5.5 below.
- Gather and analyze requirements:** FDOT has compiled use cases and design features for each of the thirty-nine primary business functions, which will serve as the starting point for identifying Advantage-specific requirements. The Define phase will include five requirement sets, with each set representing a subset of the primary business functions. The onset of each three-week set cycle will be devoted to functional coordinators for CGI and FDOT collaboratively elaborating on the use cases and design features to create the initial group of requirements for the set. Working sessions will include single sessions to cover requirements for functions that cross both Planning (Advantage Performance Budgeting) and Execution (Advantage Financial) functionality as well as breakout sessions where Subject Matter Experts (SMEs) will be divided into separate Planning and Execution groups for sessions that focus on requirements related to their specific area of expertise. Each requirement set will be approved via the deliverable approval process for the set.

The table below documents the types of requirements that will be developed and managed.

Requirement Type	Hierarchy Level	Description
39 WPPI Primary Business Functions	1.0	39 WPPI Primary Business Functions (a.k.a. Level 2 Business Sub-Functions per Exhibit F of the WPPI Agreement) documented in Sparx Enterprise Architect (EA).
Epics	2.0	Epics are the containers that capture and manage the most significant initiatives that occur within a project. There are two types of epics, 1) business epics directly deliver business value, and 2) enabler epics deliver non-functional architectural requirements to support the Business solution.
Features	3.0	Features are the services that fulfill stakeholder needs including business and enabler type features. Features are sized to deliver the business value in a Product Increment (PI).
Requirements	3.1	Requirement details specific to Advantage functionality and components that support delivering features.

The table below documents the requirement artifacts that are developed.

Requirement Artifacts	Description	Tool
39 WPPI Primary Business Functions	Originated in Sparx EA tool. A copy will be imported to ProAction to support requirements traceability.	Stored in ProAction application lifecycle management tool
Epics	WPPI Use Cases developed in Sparx EA and captured in ProAction to support requirements processing.	
Features	WPPI Design Features developed in Sparx EA and captured in ProAction to support requirements processing.	
Requirements	Requirement details specific to Advantage functionality and components that support developing features.	
Requirements Traceability Matrix (RTM)	Electronic RTM containing linked requirements in the requirements hierarchy.	
Requirements and To-Be Processes: 5 Sets	<ul style="list-style-type: none"> Set requirements and To-Be Processes RTM is updated with Set requirements Updates provided for the To-Be Processes Possible Gaps are identified and documented for Fit-Gap Analysis 	
Fit-Gap Analysis and Report	<ul style="list-style-type: none"> Fit-Gap Analysis Fit-Gap Report RTM updated with Fit-Gap disposition and recommendations for handling "Gaps" (configuration change, process change, or customization) 	Stored in ProAction and FDOT SharePoint
Configuration and Development Inventory	Configuration and Development Inventory including: <ul style="list-style-type: none"> Configuration Tables that drive system options, workflow rules and application security Budget Forms Reports Interfaces Conversion Programs, and Enhancements/Customizations 	MS Excel workbook stored in ProAction and FDOT SharePoint
User Stories	A description of a software feature from an end-user perspective within the context of a business process. The user story describes the type of user, what they want and why. User Stories implement the features leveraging the Advantage functionality and components documented in the requirements.	Stored in ProAction
Test Case	Test Cases are used to validate the implementation and coverage of the requirements in the Solution.	Stored in ProAction

- Document requirements:** Requirement records will be entered into CGI ProAction and include a unique identifying number, a short name and description. As requirements are analyzed, each will be categorized as either “Fit” or “Gap”. Gaps will include references to the alternatives explored to achieve a fit (e.g. application configuration, redesigned business process, potential work-around, possible enhancement) along with a recommendation for addressing the gap. Each requirement will also have a status of initial, approved set, baselined, or revised (i.e. changed subsequent to being baselined). Comments and revised descriptions will be used to track requirement revision history.

The table below documents the attributes for each requirement in ProAction.

Requirement Attribute	Description
Requirement identifier	Unique identifier.
Requirement name	A short meaningful name.
Requirement description	A brief description that is understandable.
Fit-Gap	“Fit” or “Gap”. Gap alternatives: will include references to the alternatives explored to achieve a fit (e.g. possible enhancement, redesigned business process, potential work-around)
Requirement Status	Each requirement will also have a status of initial, approved set, baselined, or revised (i.e. changed subsequent to being baselined).
Requirement change history	Comments and revised descriptions will be used to track requirement revision history.
Requirement type	See table above.

- Baseline requirements:** Upon exit of the Define phase, requirements will be baselined. Relying on the gathering and analysis of requirements throughout the phase and the approvals for each of the five sets, completing the final phase gate for Define will signify that the requirements are anticipated to be complete, unambiguous, and verifiable.
- Communicate requirements:** View-only access to the requirements in CGI ProAction will be provided to all project team members and will serve as a vehicle for requirement communication, providing as-needed access to requirements details. Requirement-related deliverables (e.g. Fit-Gap Analysis and Report, RTM) will also be produced.
- Monitor requirements:** Requirements will be monitored and tracked during the project to verify requirement validation in the Solution. The Requirement Traceability Matrix (RTM) lives on throughout the project lifecycle and will be used to monitor and track requirements during development, configuration, and test activities.
- Control changes to requirements:** Subsequent to the Define phase, requirement revisions will be presented to the PMO as they arise, in conjunction with the overall governance plan for the project. Any

project team member can be the source to identify a suggested requirement revision and will document their recommendation. The appropriate business analyst will be identified to assess the impact of the change. The appropriate leadership team member will follow the Change Management processes and submit the change to the PMO for processing.

- **Report requirements compliance:** Requirements will be linked to user stories, testing scenarios/cases as they are developed, with results of various rounds of testing (e.g. Integrated System Test, User Acceptance Test, FHWA certification, etc.) determining compliance with the desired outcomes. Linking requirements to test cases also facilitates the design of testing that is thorough and provides coverage for requirements and also allows potentially redundant test cases to be identified and eliminated.

6.3 REQUIREMENTS MANAGEMENT TOOLS

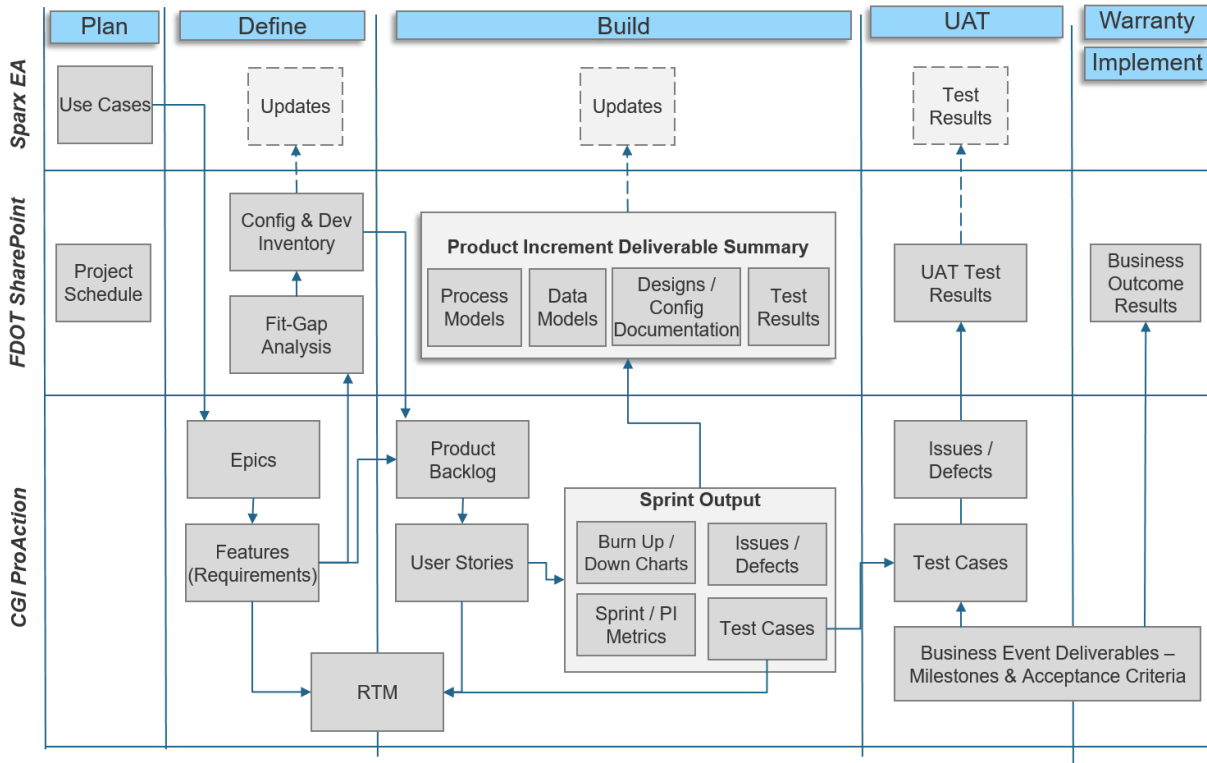
FDOT currently uses the **Sparx Enterprise Architect (EA)** tool to document the use cases and activity diagrams related to the 39 Primary Business Functions. This documentation will be the starting point for the requirement and business case analysis that will be performed. The use cases in EA will be established in ProAction as epics. FDOT will update the existing To-Be Processes in EA with information provided by the Vendor as derived throughout the Define phase.

The **FDOT SharePoint** site will store many project artifacts, including the Fit-Gap Analysis and Configuration & Development Inventory that will be outputs from the Define phase.

The **CGI ProAction** tool will be the repository for the requirements and RTM. ProAction will be used for the management and traceability of requirements throughout the Project. ProAction will be configured to establish EA use cases as epics with traceability to the primary business functions defined for WP II. During the Define phase, features will be defined that tie to the epics. The Advantage specific requirements will tie to the features. This will comprise the initial requirement baseline. Features will be linked to user stories that are defined during the Build phase, with traceability to Fit-Gap assessment, enhancements (where applicable), and test scenarios.

ProAction requirements and the RTM will be used for the management and traceability of requirements throughout the Project.

The following exhibit shows the various components managed in each tool by phase:



6.4 REQUIREMENTS TRACEABILITY

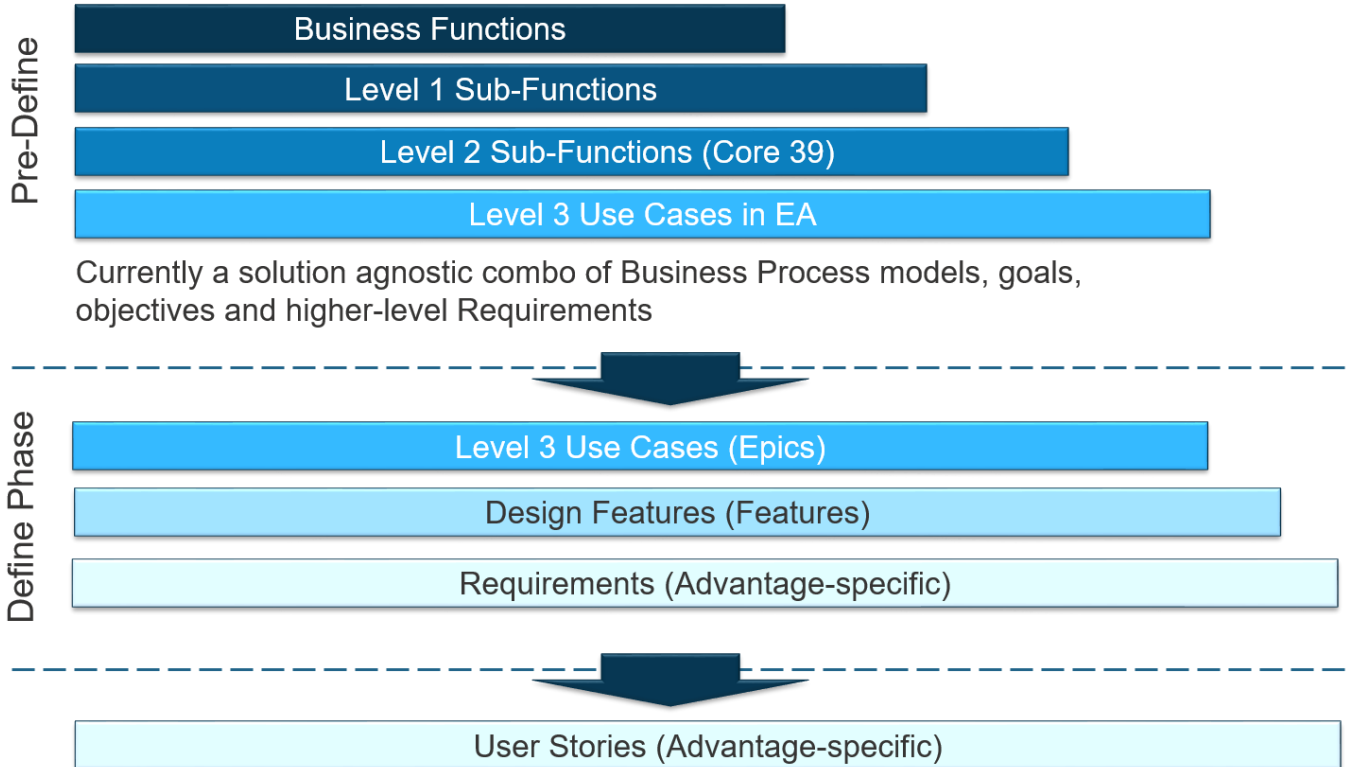
The Requirements Traceability Matrix (RTM) links project requirements from their origin to the components that satisfy them and helps ensure that each requirement adds business value by linking it to the business and project objectives (which achieve the contractually-defined business outcomes). It provides a means to track requirements throughout the project life cycle, helping to ensure that requirements approved in the requirements documentation are delivered at the end of the project.

The RTM at a minimum will include the following tracing requirements:

- The 39 WPPII Primary Business Functions (a.k.a. Level 2 Business Sub-Functions per Exhibit F of the WPPII Agreement)
- Project Epics, Features, Requirements (Advantage specific details), and User Stories
- Product design, when applicable (e.g. the enhancement included in Exhibit I of the WPPII Agreement)
- Product development, when applicable (e.g. the enhancement included in Exhibit I of the WPPII Agreement)
- Test scenarios for Integrated System Test and User Acceptance Test

The RTM will be managed throughout the Project and will be defined at the beginning of the Define Phase of the Project. Any changes to the requirements will be maintained by the PMO, reviewed and approved by the PMT and escalated through the governance process if scope is impacted. The requirements and RTM will be managed in the CGI ProAction tool and will leverage the Level 2 sub-functions, use cases and design features produced by FDOT prior to the Define phase as outlined in the following exhibit:

Leverage existing artifacts produced by FDOT during Define:



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6.5 STAKEHOLDER ROLES AND RESPONSIBILITIES

The Stakeholder roles and responsibilities relating to Requirements Management are presented in the table below.

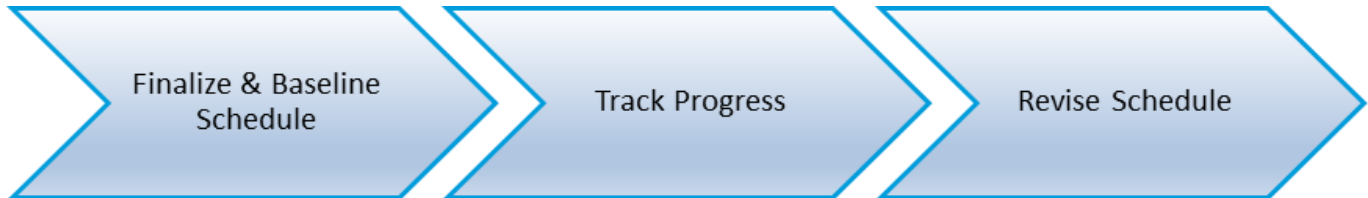
Role	Responsibilities
Functional Coordinators (FC)	<p>FDOT:</p> <ul style="list-style-type: none"> Jointly with CGI, define and validate the WPII requirements Actively participate in working and prototyping sessions Identify business processes to standardize and/or reengineer, and further define the To-Be Business Processes for WPII <p>CGI:</p> <ul style="list-style-type: none"> Jointly with FDOT, define and validate the WPII requirements Conduct working and prototyping sessions during which a subset of the To-Be Business Processes will be configured and demonstrated within the context of the Advantage Solution Document requirements in the RTM tool and confirm they are traceable to one or more of the 39 Primary Business Functions (or Enablers needed to support future business functionality)

Role	Responsibilities
Operational Subject Matter Experts (SMEs)	<ul style="list-style-type: none"> As needed, actively participate in the definition and validation of the WPPI requirements
WPPI Liaisons	<ul style="list-style-type: none"> As needed, actively participate in the definition and validation of the WPPI requirements
North Highland Key Personnel	<ul style="list-style-type: none"> As needed, actively participate in the definition and validation of the WPPI requirements Update and maintain the To-Be Process models currently documented in Sparx EA

SECTION 7 SCHEDULE MANAGEMENT

7.1 OVERVIEW

Consistent, high-quality schedule management processes allow the Project Team to understand the current situation, accurately assess the impact of changes, correctly prioritize team efforts, and effectively communicate the schedule health of the Project. A structured process allows the team to develop a baseline and report progress against the planned project schedule.



Project and task planning involves identifying the specific tasks that must be performed to achieve the stated goals and objectives of the project. This includes, estimating the duration of the task, defining the other tasks on which the task is dependent (predecessor tasks) and other tasks that are dependent on the task (successor tasks). Detailed task plans represent a decomposition of the high-level project schedule.

There are three schedules maintained: baseline, actual, and planned. These reflect the three different states of data.

1. **Baseline Schedule Data** – Baseline schedule data are those schedule activities that have, through management processes, been agreed to as the established dates for the project. The baseline represents the plan of record and is the base against which progress and deviations are measured. The baseline is established in a six month continuous rolling wave and then revised by management action and through the Change Control process. Change Requests altering scope or methodology often alter the schedule for the project. When a Change Order for an accepted Change Request indicates that a schedule change is required, it will specify the areas of the schedule to be changed. The schedule will then be updated in a timely manner as specified in the Change Order and those elements affected will be re-baselined.
2. **Actual Schedule Data** - Actual schedule data captures the dates on which tasks or milestones occurred. Actual data is updated weekly with coordination between Vendor Project Manager and WP11 Project Director. This provides for accurate and timely reporting of actual starts, actual finishes, estimates to complete, and a detailed basis for reporting.
3. **Planned Schedule Data** - Planned data is the current best assessment of when tasks or milestones are likely to occur. They are based on history, revised plans, and management insight.

The Project schedule will serve as the baseline plan for the WP11 project once it has been accepted by the WP11 Project Director. Regular updates to the plan will be made and reported weekly. Status will be reported against the planned schedule data. In addition, planned schedule to baseline comparison reports will be available as needed for review.

7.2 PROJECT SCHEDULE

Schedule Management is the process by which the WP11 work plan is kept current and accurate. The Project Schedule is fully resource loaded and is updated on a weekly basis. The WP11 Project Schedule will be maintained using Microsoft Project and stored in WP11 SharePoint.

7.3 SCHEDULE MANAGEMENT, PROCEDURES, ROLES AND RESPONSIBILITIES

The PMO in collaboration with the Vendor will jointly manage the overall Project Schedule and administer project coordination and integration with the team leads. Upon approval of Change Requests that influence the Project Schedule, the PMO will update the Project Schedule with the changes, and recalculate the new baselines. The PMO will coordinate ad hoc changes to the Project Schedule that do not impact the deployment date.

7.4 DEVELOPMENT AND MAINTENANCE OF THE PROJECT SCHEDULE

The purpose of the project schedule is to define the tasks and activities necessary to complete the WPPI project.

The project schedule is comprised of the actions necessary to define, integrate, and coordinate planning and execution activities for each deliverable of the project. The Project schedule includes details regarding the key activities and the related Deliverables / work products.

Each Deliverable or major activity is assigned an owner who has ultimate responsibility for managing and completing the assigned Deliverable or activity. The tasks in the project schedule are at a level which enables the PMO to monitor overall progress on the project.

Once baselined, the project schedule will be updated by the PMO on a weekly basis to reflect progress of project tasks, add task and activity detail and revise based on the completion of project tasks and actual completion dates.

PMO in collaboration with the Vendors will have the responsibility for the input of ongoing updates to the project schedule.

7.5 SCHEDULE PROGRESS AND VARIANCE REPORTING

Schedule progress is provided as part of the weekly Status Reports. The Vendor Project Managers are responsible for reporting on their respective status of the project, and specific major tasks.

At the end of each reporting period, the Vendor is responsible for the schedule activities and to report the percent complete on Vendor related tasks.

If there is a schedule variance that affects the critical path, the PMO will execute the governance process to accept the critical actions.

7.6 FINALIZE SCHEDULE

Throughout the project lifecycle, a key objective for the Project Team is to revise, baseline, and communicate the Project's scope and schedule.

The steps that constitute the final schedule activities include:

- Review existing draft schedules and plans
- Review and baseline the Work Breakdown Structure (WBS)
- Review and baseline the activity durations
- Review and baseline activity dependencies including the creation of milestones
- Review the overall schedule and integration of tasks between teams including incorporating external dependencies

7.7 APPROVE SCHEDULE

The PMO in collaboration with the Vendors will implement changes to the project schedule with approved change requests (see Change Management Plan).

7.8 TRACK PROGRESS

The PMO and the Vendors will utilize the project status meetings and status reports to track and communicate progress against the schedule. This process consists of the following steps:

- Track, review and document progress updates
- Review the schedule and report progress
- Analyze progress and determine corrective actions

7.9 DOCUMENT CORRECTIVE ACTIONS

In the event there is a project related corrective action that impacts the project schedule, the PMO will escalate via the governance process, update the project schedule in collaboration with the vendor, and report the changes through the project status reporting process.

SECTION 8 COST MANAGEMENT

8.1 BUDGET

While the project has a forecasted total project cost, Legislative Budget Requests will be submitted on an annual basis for the following fiscal year's funding. Information regarding the budget can be found in the FDOT WPPI FY18/19 Schedule IV-B under Section IV B Cost Benefit Analysis.

8.2 PROJECT SPENDING PLAN

The Project Spend Plan is maintained by the PMO in the WPPI SharePoint.

8.3 COST MANAGEMENT

Cost management activities are subject to the governance and escalation processes described in the Organizational and Governance Plan and change control processes as described in the Change Management Plan.

SECTION 9 QUALITY MANAGEMENT

Quality management is more than ensuring quality work products and deliverables. Quality management is also establishing a process that enhances the project team to build quality into each major activity in the delivery process. A quality process provides repeatable and consistent results. A quality process imposes discipline on the work of the project team, improving the ability of each team member to produce high quality work products and deliverables.

9.1.1 QUALITY ASSURANCE ACTIVITIES

To support a quality outcome, there are several activities that need to be carried out over the life of a project to make sure that expectations are met and aligned. The exhibit below illustrates the high-level Quality Management Components.



9.1.2 DELIVERABLE EXPECTATIONS

The Deliverable Expectations are provided in the Task Work Order (TWO) that includes the respective deliverable. They are used to record mutually agreed deliverable content and acceptance criteria, and will facilitate an efficient

and effective process to obtain final approval on deliverables. Also recorded in the TWO is the Vendor's general approach, anticipated schedule, and authors/reviewers/approvers for meeting the deliverable requirements through the development process.

The deliverable acceptance criteria are recorded in the TWO. The acceptance criteria must be clearly defined and absent of subjectivity and ambiguity wherever practical. Recorded in the TWO are the specifics of how the criteria will be measured, and any comments pertinent to further clarifying the criteria or assessment. Anticipated reviewers will be expected to review the deliverable expectations and acceptance criteria prior to the TWO being approved.

Once agreement is reached with the PMO and respective reviewers on the expectations and acceptance criteria, the Vendor will finalize the draft and submit the TWO to the WPPI Project Director. The WPPI Project Director will submit the TWO for subsequent review and approval.

9.1.3 QUALITY CONTROL ACTIVITIES

The Quality Control Activities will be developed as part of the Procurement Phase of the project.

9.2 QUALITY AND SOFTWARE DELIVERABLES

9.2.1 TEST PLAN

Testing is an important part of quality management of the configured Solution. Test Plans, schedules, and scripts will be developed in accordance with the respective TWO deliverable expectations, and executed as part of the sprints during DDI phase of the project. In addition, the project will be performing Integrated System, User Acceptance, and Performance test efforts. If appropriate, the PMP will be updated with processes as prescribed in the respective test plans,

9.3 INDEPENDENT VERIFICATION & VALIDATION (IV&V)

As per the F.A.C. Chapter 74-1, Grant Thornton was selected as the IV&V Vendor for the Project on October 2017.

SECTION 10 RESOURCE MANAGEMENT

10.1 HUMAN RESOURCES

Once the resource plan has been built in the project schedule and approved, the WPPI Project Director works with the PMT, MST, EST and others as needed to ensure appropriate FDOT staff and time is available to meet the work requirements. Any conflicts will be raised through the Project Governance process.

10.2 ONBOARDING / OFFBOARDING

During the life of the Project, when a project resource is onboarded or offboarded, the PMT will decide if this change requires a formal Change Request to be processed. It is the responsibility of the manager of the respective group to notify the PMO. The exiting team resource, or the manager of the group, will be responsible to get the new project resource up to speed. When a project resource leaves the Project, the PMT, working with the PMO, will be responsible to either transfer the responsibilities or identify the plan to fill the gap. The PMO will ensure any required paper work (AARF Requests, Security Badges, Advertisements, etc.) are processed by the responsible party.

The WPPI Offboard and Onboard Resource Plan provides the procedures to be followed when new staff members are added to the project, or staff members leave or are removed from the project. This plan can be found in SharePoint at the following link: WPPI Offboard and Onboard Resource Plan.

10.3 VACATION AND LEAVE SCHEDULING

This section outlines the process that will be used for vacation and leave scheduling. The FDOT WPPI SharePoint Project Calendar will be used as the central repository for all scheduled vacation and leave requests.

1. **Vendors:** The Vendor Project Manager is responsible for reviewing and approving individual requests for vacation or leave. Requests for vacation and leave should be submitted as early as possible. Every effort will be made to accommodate vacation and leave requests. However, the impact on the overall project schedule, deliverables, and availability of staff must be considered in approving all vacation and leave requests. Vacation and leave requests will be reviewed and discussed jointly with the WPPI Project Director during critical times on the project schedule. Approved leave will be posted on the FDOT WPPI SharePoint Project Calendar.
2. **FDOT WPPI staff:** The FDOT WPPI Team members are responsible for informing the PMO of their leave schedule. The impact on the overall project schedule, deliverables, and availability of staff must be considered in approving all vacation and leave requests. Vacation and leave requests will be reviewed and discussed jointly with the Vendor Project Manager during critical times on the project schedule. Upon approval by the employee's manager, the WPPI Project Director will post the vacation or leave request on the FDOT WPPI SharePoint Project Calendar.

Requests for vacation or leave should be submitted for approval as far in advance as possible to permit the appropriate staff planning to ensure the scheduled completion of project tasks and deliverables.

10.4 NOTICE OF WORK ABSENCE

In case of illness or personal emergency, project team members are required to inform their respective Project Manager. The Project Manager will in turn update the FDOT WPPI SharePoint Project Calendar to reflect the time that the team member will be absent.

10.5 EQUIPMENT/MATERIALS RESOURCES

Any equipment and/or materials necessary to complete the scope of the Project will be defined during the procurement phase of the Project. Other investments required will be encapsulated in the annual Legislative Budget Request cycle.

SECTION 11 COMMUNICATIONS MANAGEMENT

There are two broad types of communication for the WPPI Project: Outreach and Status Reporting. Outreach represents the group of communications that are intended to promote stakeholder ownership, as well as facilitate the implementation of new and revised business processes. Outreach communications will be covered in conjunction with organizational change management (OCM) tasks. The WPPI OCM Communications Plan and Calendar is a forward-looking schedule of planned project communications and will provide a comprehensive view of project communication activities across the project lifecycle. The current OCM Communications Plan is maintained in the WPPI SharePoint site as part of the Organizational Change Management Plan.

Changes to this plan will be coordinated by the FDOT and CGI OCM Leads in coordination with the WPPI Project Director.

11.1 ORGANIZATIONAL CHANGE MANAGEMENT

The WPPI OCM Communications Plan and Calendar is a forward-looking schedule of planned project communications and will provide a comprehensive view of project communication activities across the project lifecycle. The OCM Communications Plan is maintained in the WPPI SharePoint site as part of the Organizational Change Management Plan. Changes to this plan will be coordinated by the FDOT and CGI OCM Leads in coordination with the WPPI Project Director.

The WPPI project Organizational Change Management Plan is designed to assess and document the impact of delivering the WPPI solution to the organization and individual users, gauge the readiness of the organization and individual users to accept those changes, and identify, describe, and plan the action(s) necessary to facilitate those changes.

11.2 PROJECT COMMUNICATIONS – STATUS REPORTING

The primary purpose of Status Reporting is to keep the project management and stakeholder community informed about the project's progress and to help set expectations regarding the preparations for implementation. The target audiences, type and content of communications, the channels over which they are delivered and the feedback from stakeholders and affected parties are important elements of an effective communication approach.

11.2.1 TYPES AND MODES OF COMMUNICATION

A number of established forums will be used to effectively deliver the appropriate messages to each stakeholder group. In order to determine the appropriate modes of communication, the nature and specific content of the messages to be delivered must first be defined. The following communication modes will be considered:

- **WPPI Project SharePoint Site.** The [WPPI Project SharePoint](#) site is a powerful communication tool to support status reporting and outreach. Information presented on the SharePoint site can be easily accessed by a broad base of State of Alabama stakeholders.
- **Formal presentations and informational sessions.** A more personal way of communication, that facilitates dialog and feedback.
- **Established mass communication media.** Project newsletters, memos and FDOT bulletins provide a low-cost way of disseminating information.

11.2.2 EXTERNAL STAKEHOLDER COMMUNICATIONS

Project communications management includes the policies and procedures required to ensure timely and appropriate generation and dissemination of project information. It is important that the project management team control communication to prevent miscommunication that can be potentially disruptive to the success of the project. There is no limit to internal communication except as limited by the Vendor to FDOT or FDOT to the Vendor. This communication will be controlled internal to each organization and not defined in this document.

Project team internal communication is any communication with the immediate project team including Vendor employees and WPPI employees engaged in the project. It does not include extended stakeholders in the project such as District liaisons and Subject Matter Experts that support the project part time. All formal communication

external to the project must be reviewed and approved by the PMO. Formal communication includes reports, briefings, and information published to the project web site that is established for the purpose of communicating to external stakeholders. The WPPI SharePoint site may contain internal communication, and therefore access to areas of the site will be limited to extended stakeholder groups as appropriate. Informal communication includes email and ad hoc discussions. Internal project stakeholders must understand the types of informal communication that is appropriate and what should be avoided. Project team members must avoid informal communication of the following information to external stakeholders:

- **Project status.** Only the WPPI Project Director should communicate project status to external stakeholders. All other project team members have a limited view of the project and very likely do not understand the overall progress of the project and the impact of issues outside of their area of responsibility.
- **Financial Information.** Most financial information should be internal to FDOT and Vendor organizations. Financial information appropriate to be discussed between Vendors and FDOT will be discussed between the WPPI Project Director and Vendor Project Manager. WPPI's project financial status will be presented to the Management Steering Team and Executive Project Sponsor at the regularly scheduled meetings.
- **Opinion.** Particularly if the communication is a negative view of activity occurring on the project, the team member should not express personal views of the project or other team members. All project team member concerns or issues must be discussed with the PMO and appropriately escalate issues within their Vendor or FDOT organization structure as appropriate.

It is important that project team members understand the significance of appropriate communication. By recognizing appropriate methods and types of communication, the project will have a higher probability of success.

11.2.3 PROJECT COMMUNICATION TARGET AUDIENCES

The project will provide regularly scheduled communications with the following target audiences to provide them with the identified project information.

Communication of Target Audiences

Target Audience	Project Information Presented
PMT and MST	<ul style="list-style-type: none"> • Overall Project Status • Unresolved Project Issues requiring decision-making • Scope, budget, or critical path changes • Change Requests impacting scope, schedule and/or budget
EPS	<ul style="list-style-type: none"> • Overall Project Status • Project Issues to be addressed by the EPS • Project Risks to be addressed by the EPS • What project needs from the EPS • How the project is impacting other departments • Change Requests impacting scope, schedule and/or budget • Project Health Checks at both Interim and Final Phase Gates
Project Team Members	<ul style="list-style-type: none"> • High-Level Project Schedule and Status • Project Deliverable Expectations • Project Organization Structure and Staffing • Project Administrative Items

Target Audience	Project Information Presented
	<ul style="list-style-type: none"> Project Social / Team Building Activities
FDOT Management and District Liaisons	<ul style="list-style-type: none"> Overall Project Status and Schedule What project needs from each District Interface and conversion information and requirements What to expect over next three months District specific decision points and deliverables WPPI Advantage Functionality Updates

11.2.4 COMMUNICATION VEHICLES

The following table presents the communication vehicle, timing and who will be responsible for delivering the project communications to each target audience.

Communication Vehicles for Target Audiences

Target Audience	Communication Vehicle	Frequency	Owner
EPS, WPPI Project Director, CGI Account Manager, CGI Engagement Manager, and CGI Project Manager	<ul style="list-style-type: none"> EPS Meeting 	<ul style="list-style-type: none"> Monthly 	<ul style="list-style-type: none"> CGI and PMO
Project Team Members	<ul style="list-style-type: none"> Agenda and Meeting Minutes 	<ul style="list-style-type: none"> Weekly 	<ul style="list-style-type: none"> FDOT and appropriate Vendor Project Managers FDOT and Vendor Leads
EPS and CGI Engagement Manager	<ul style="list-style-type: none"> Project Status Report 	<ul style="list-style-type: none"> Monthly 	<ul style="list-style-type: none"> FDOT and appropriate Vendor Project Managers
Project Team Members	<ul style="list-style-type: none"> Status Report 	<ul style="list-style-type: none"> Weekly 	<ul style="list-style-type: none"> FDOT and appropriate Vendor Project Managers
Project Team Members	<ul style="list-style-type: none"> Agenda and Meeting Minutes 	<ul style="list-style-type: none"> As Needed 	<ul style="list-style-type: none"> FDOT and appropriate Vendor Project Managers
WPPI Project Director, CGI Engagement Manager, EPS	<ul style="list-style-type: none"> Escalation 	<ul style="list-style-type: none"> As Needed 	<ul style="list-style-type: none"> WPPI Project Director, CGI Engagement Manager, CGI Project Manager

11.2.5 COMMUNICATION FEEDBACK MECHANISMS

The following table presents the approach that will be used to receive and respond to feedback received from each of the targeted communication audiences.

Communication Feedback

Feedback to Target Audience	Feedback Mechanism	Feedback Response
EPS	<ul style="list-style-type: none"> • Verbal at Meetings • Emails to EPS 	<ul style="list-style-type: none"> • Verbal and Emails to EPS
WPPI Project Director, Vendor Engagement Manager, Vendor Project Manager	<ul style="list-style-type: none"> • Verbal at Meetings • Emails to WPPI Project Director / Vendor Engagement Manager 	<ul style="list-style-type: none"> • Monthly Report / Meeting • Emails to WPPI Project Director / Vendor Engagement Manager and Project Manager
Project Team Members	Work assignments including WBS tasks, action items, etc. <ul style="list-style-type: none"> • Verbal at Meetings • Emails from Team Leads 	<ul style="list-style-type: none"> • Meeting Handouts • Emails to Project Team Members
FDOT Management and District Liaisons	<ul style="list-style-type: none"> • Emails to FDOT Managers • WPPI SharePoint site 	<ul style="list-style-type: none"> • Newsletter, Emails, WPPI SharePoint site as appropriate

11.2.6 EXECUTIVE BRIEFING FORMAT

Executive briefings will occur once each month. The briefings will provide the status of the project and identify any risks/issues needing executive input and guidance. An agenda will be prepared prior to each meeting that includes the following discussion points:

- High-level Project Status
- Project Roadmap / Key Milestone Dates
- Risk and Issue Review
- Project Needs
- Question / Answer Session

SECTION 12 DOCUMENTATION MANAGEMENT

The Document Management section describes the document management practices for this project. Document management includes document creation, document revision, delivery approach, and version control. A standard process will be used for project related documents and applies to the creation and management of documentation including minutes, notes, deliverables and other outputs for this phase of the project.

Document Creation and Delivery Approach Objectives

This approach is designed to ensure:

- Defined objectives are met
- Expectations of the major stakeholders of the project are fulfilled to the extent appropriate
- Approved principles, measures, standards, and methods are applied uniformly
- Consistency and continuity is maintained for project artifacts

12.1 PURPOSE OF DOCUMENT MANAGEMENT

The purpose of Document Management is to define the process for how documents developed by the Vendors will be managed and submitted to FDOT for approval.

This document identifies the steps in the document creation and update processes, from the initial creation of a document through approval by the Project Team (if applicable), including any revisions or updates necessary throughout the document's useful life.

12.2 DOCUMENT TEMPLATES

Standard project document templates will be created that describe the format, organization and content to be used for preparing work products and deliverables. These project document templates will be stored on the WPPII SharePoint Site.

The following project templates will be available in electronic form on the WPPII SharePoint site under the Document Templates folder:

1. General Administration Templates

- **Project Memorandum:** Used for preparing project memorandums
- **Meeting Agenda:** Used for preparing meeting agendas
- **Meeting Minutes:** Used for documenting meeting minutes
- **Presentations:** Used for preparing presentations

2. Project Control Templates

- **Change Request:** Used for documenting and tracking change requests
- **Weekly Status Report:** Used to review project status and provide to WPPII Project Director.
- **Issue Log:** Used to document and track project issues from inception through resolution
- **Risk Log:** Used to document and track project risks
- **Decision Log:** Used to document and track project decisions

3. Deliverable Templates

- **Deliverable Acceptance:** Used as a cover sheet that is provided with project deliverables submitted for initial review and approval.

- **Document Comment Form:** Used for preparing comments on the document deliverables

12.3 DOCUMENT MANAGEMENT STRATEGY

The PMO and all Vendors will work together to ensure quality in the documents submitted to the PMO for review and approval. To support this goal, several tactical actions are planned or have already been performed:

- The project will use the WPPI SharePoint to organize large, complex information sources and manage documents with multiple authors and approvers. SharePoint provides for version tracking, check-in and check-out to ensure that only one person works on a document at a time, controlled document access based on user roles, and automated routing of documents to reviewers.
- Some documents in draft status will use the WPPI Project SharePoint Collaborative Library. This allows multiple users to develop draft documents before they are transferred to the Document Repository.
- Vendors can create an internal SharePoint (or similar) site to manage and maintain their working documents. The PMO maintains the WPPI SharePoint and grants Vendors the ability to add and update folders and documents. As the standard protocol for the project, the following documents will be maintained on the WPPI Team site:
 - Status Reports
 - Submitted deliverable documents for review and the associated companion documents consisting of: deliverable review workbooks, deliverable acceptance documents, etc.
 - Working documents defined as those artifacts created to support the project such as milestone documents, data analysis models, inventory spreadsheets and artifacts collected from state scan or agency interviews
 - Meeting agenda and summaries
- The approach and the document naming standards defined in this plan will be adhered to for documents that will be maintained by the Vendors and submitted to the PMO.
- As relevant project documentation, including hard copy documents (i.e. charts, graphs, and other supporting documents) are gathered, to the extent practicable and as determined appropriate, documents will be scanned and stored in SharePoint following standards and processes defined in this plan.
- Each project document will have an owner who is responsible for the creation of and updates to the document throughout its useful life.

12.4 DOCUMENT NAMING STANDARDS

Artifacts will use a standard naming convention to provide consistency in the way project related artifacts are named. The file naming conventions used on this project include (e.g. WPPI-Artifact-Name-XXX):

- WPPI is the project code
- Artifact-Name is a short description of the document

If an artifact is a deliverable, or related to a deliverable, it shall be prefixed by WPPI-XX (where XX is an abbreviation of the Vendor name) and shall be appended by:

- DEL – The Deliverable itself
- DAD – The Deliverable Acceptance Document

If the document is time sensitive (e.g. monthly project status), the document name will also be appended by:

- YYMMDD

And if it is anticipated that the document is to be modified and exchanged several times with an outside entity, it may also be appended by:

- V### is the version tracking number. Minor updates are indicated by changes to the third digit. Major updates are indicated by changes to the first digit.
- V100 identifies the final version of the document

Note: Artifact-Name – Replace this value with the deliverable name and always use hyphens instead of spaces (due to limitations within SharePoint). Additional text or details to the name of the file (no initials, change details, etc.) should not be added. The Revision History table and check-in comments included in each document template will be used within SharePoint to include the details of what was changed in each version.

Version Control

The project will standardize version control for project artifacts. This will provide consistent document version control. The following steps will be followed for each project artifact:

- Documents will have a consistent name throughout the update process, with versioning being indicated through a version number and date listed within the document, and as part of the document name.
- Each new document will start at version v001 (for external documents – internal documents will use SharePoint versioning)
- The version number will be incremented by 1 until the Project Team has approved the document
- The first digit of the three-digit version identifier will be used for approved deliverables. Example: Version 002 will become Version 100 after being approved and accepted.
- If revisions are made after the initial acceptance, the version number will be incremented by 001 until another approval. Minor updates will keep the incremental version number (Example: 103). Major updates will increment to the next full number (Example 200).
- All versions (incremental and approved) will be documented in the Revision History table within the document.
- Version number and date will be indicated on the cover page of each document, or alternate location as appropriate based on the type of document.

12.5 CENTRALIZED DOCUMENT REPOSITORY

The Document Repository is established in WPPII SharePoint (Microsoft SharePoint) and will contain current and previous versions of deliverable and work product documents. The Project Team Members will use Microsoft's SharePoint software as the collaboration tool. This tool provides version control and many additional features that may be implemented to maximize project communications. The WPPII SharePoint repository can be found at <https://fldot.sharepoint.com/sites/FDOT-EXT-WPPII>

SECTION 13 RISK MANAGEMENT

13.1 RISK & COMPLEXITY ASSESSMENT

Since WPPI will have a total project cost of greater than \$10 million and is under AST oversight the project will be managed as Risk and Complexity Category 4 project. All Project risks, issues, actions, decisions, and change controls will be maintained using the RAID Log in SharePoint.

13.2 RISK MANAGEMENT PLAN

Risk management will be an on-going process conducted throughout the life of the project. The process begins with identifying, assessing, and developing response plans for significant risks. It continues with regular risk monitoring, ongoing identification of new risks, and timely implementation of mitigation plans.

This Risk Management Process addresses identified risks that require visibility at the highest levels of the project and will be managed by the Project Management Team.

The PMO will use a straightforward method that includes identifying and categorizing project risks (Identify), assessing and prioritizing the risks (Analyze) so they are manageable, developing a response strategy and assigning responsibility (Plan), tracking the risks by reviewing them at key project milestones (Track), implementing the defined response strategies as required (Control) and most importantly, communicating the risks and strategies on an ongoing basis throughout the life of the project. Risk management processes address internal risks (those under the control or influence of the Project Team, such as quality of deliverables, cost, schedule, or technical risks) as well as external risks (those outside the control of the Project Team such as governmental legislation or emergency event).

The exhibit below illustrates the high-level Risk Management Process Flow.



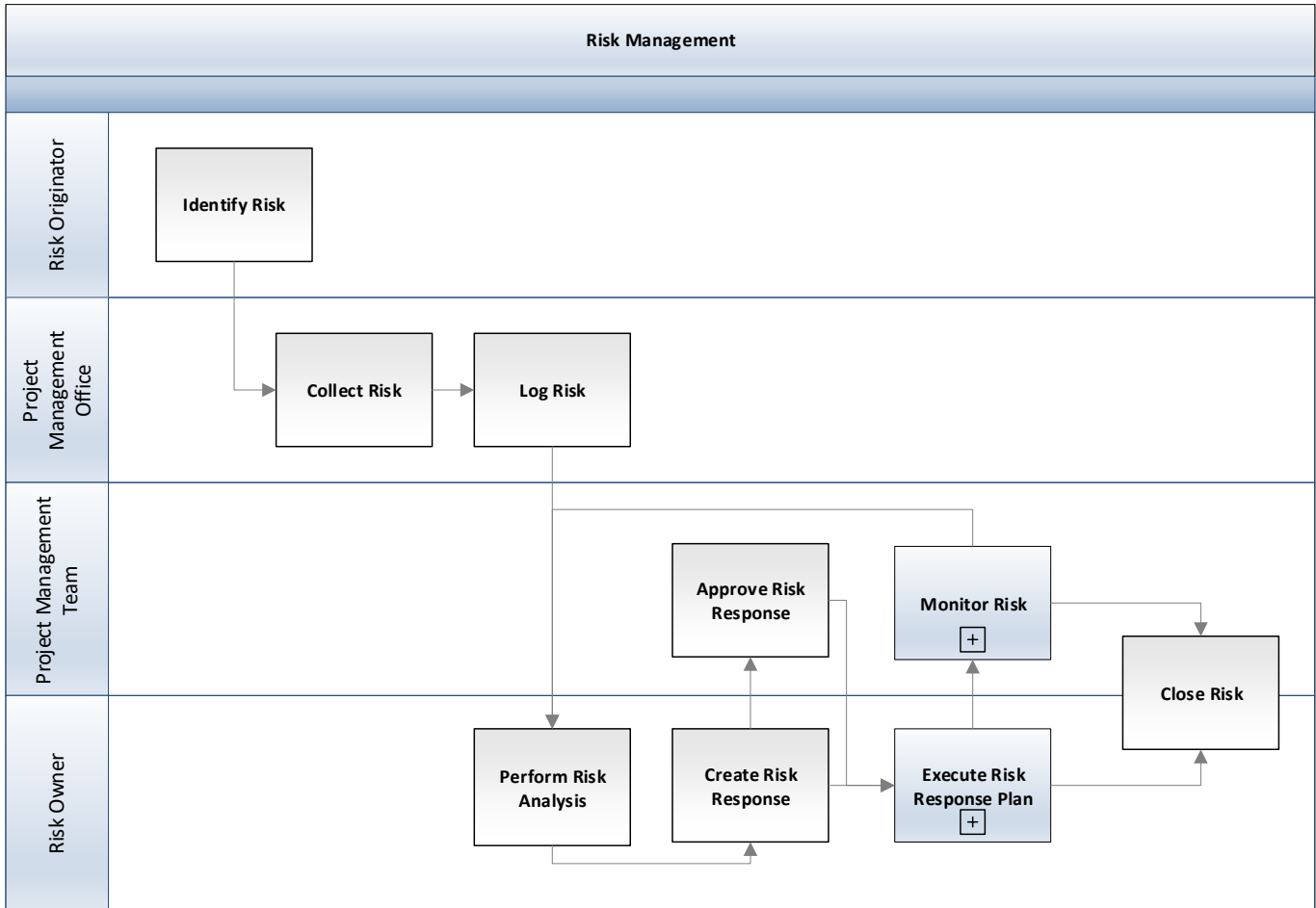
13.3 RISK IDENTIFICATION

The roles and responsibilities relating to Risk Management are presented as follows:

Role	Responsibilities
Risk Originator (anyone)	<ul style="list-style-type: none"> Identifies risk
WPPI Risk Manager	<ul style="list-style-type: none"> Collects, formats and registers risks in the RAID Log (eliminates duplicates as identified) Manages and facilitates risk mitigation, acceptance, and resolution Maintains the risks in the RAID Log
Project Management Team (WPPI Project Director, WPPI Risk Manager and Vendor Project Management or designees)	<ul style="list-style-type: none"> Performs risk analysis Approves risk response plans Monitors risk Approves closure of risk

Role	Responsibilities
Risk Owner (Assigned by the PMT)	<ul style="list-style-type: none"> Formulates and executes risk response plan

The exhibit below is a graphical representation of the risk management workflow. The exhibit depicts the processes that a risk will proceed through during risk management as well as the identification of the individual or team responsible for the process step.



13.4 RISK ANALYSIS

Once project risks have been identified, analysis will be performed to determine relative priorities and to develop a prioritized risk list for planning the appropriate level of response to the risks. An analysis will be performed on each risk using a probability and impact rating.

13.5 RISK MITIGATION

13.5.1 RISK RESPONSE

Risk Response Planning is the process for determining the set of actions intended to reduce the negative and adverse impact on the objectives of the WPPI Project. The risk responses must be relevant to the significance (probability and impact) of the impact.

13.5.2 RISK MONITORING

Risk monitoring is an iterative process of reviewing, re-assessing, and tracking risks as well as maintaining risk response plans. The objective of this step is to regularly reassess the disposition of identified risks and to verify the Project Team is actively managing and controlling risks. The Risk Manager and the PMT will discuss risks in the weekly status meetings, and ad-hoc as necessary, to review and re-examine risks and review mitigation effectiveness.

13.5.3 RISK ESCALATION

The Project Management Team will work together, during the weekly status meeting, to identify risks that warrant escalation to Project Sponsors. Risks that are either increasing in their likelihood (i.e., becoming imminent) will automatically be raised to the Project Sponsors.

Once a risk has been identified, the PMO will execute the Project Governance Process listed in the PMP to escalate risks.

13.5.4 RISK CLOSURE

During the Project Governance Process, MST will be responsible for approving the closure of any identified risks. Once the Project Team determines that a risk has occurred causing the risk to become an issue or considers a risk to have been sufficiently mitigated or no longer a factor, the Risk Manager may close the risk in the Risk Log. The Risk Manager can then remove it from future status reports if currently listed. Closed risks will remain in the Risk Log to provide a historical record.

13.6 ISSUE MANAGEMENT

Disciplined management of Issues and Action Items enables a Project Team to effectively resolve the issues and complete action items in a timely manner in order to keep a project on track. A formal Issue / Action Item Management process provides the mechanism throughout the life cycle of the project to bring issues and action items to resolution.

- Issue - An ISSUE is an existing constraint that is negatively impacting project timeliness, quality, resources, or budget.
- Action item - An ACTION is a proactive task identified by the Project Team to address a known issue, problem or situation. Actions may also come from a risk or issue item. Incomplete or overdue action items may create additional issues.

The Issue / Action item high-level workflow depicted in the exhibit below shows the various stages of the Issue/Action Item management process.



13.6.1 PLAN ISSUE/ACTION ITEM MANAGEMENT

The first step in creating an effective Issue/Action Item management process is defining how the process should work. The following table describes the Project Team’s roles and responsibilities for reporting issues and action items:

Team Role	Issue and Action Item Responsibilities
Project Governance	<ul style="list-style-type: none"> • PM/PD - Make the decision to resolve or escalate Issues. • PMT – Recommends that an Issue has been materialized and requires decision and/or escalation • MST – Reviewing and approving action plan/resolution to ensure issue as originally defined will be resolved
Risk Manager	<ul style="list-style-type: none"> • Ownership of Issue / Action Item Tracking Logs in the RAID Log • Monitoring and management of open issues and action items • Logging action items identified during the course of the project including issues and action item status within the Project Status Report • Reviewing issues and action items to prevent duplication
Issue Owner	<ul style="list-style-type: none"> • Identifying an issue requiring resolution • Defining the issue / action item further as required • Participating in discussions with the PMT to fully understand the issue or action item • Researching and drafting the Action plan/resolution • Driving the issue / action items to resolution and closure

13.6.2 IDENTIFY ISSUE/ACTION ITEMS

The first step in the Issue resolution process starts with the identification of a project issue by an Identifier. The Identifier contacts the PMO who will review the issue for structure and verify the issue has not already been reported and possibly resolved.

The Identifier must describe the issue and include any other information that could be helpful to whoever is assigned the issue to resolve. Updates to issues or action items already captured in the RAID Log can be made by Project Team members or issue/action named owners; and, the Issue Coordinator or designee is the responsible for maintenance of items in the RAID Log.

An issue may be identified in any number of ways for example:

- A problem for which there is no apparent answer.
- A risk that has escalated into an issue.
- A current situation or event that cannot be answered immediately but requires some research and analysis to provide insight into actions that should be taken.
- An inability of two project entities or functional groups to come to an agreement on a particular item or process.
- The need for information external to the project inhibits or stops the development of the project solution until resolved.

The Risk Manager will enter the pertinent information about the issue into the RAID Log. The information will include but not be limited to:

- Detailed description of the issue.
- Assessment of the potential impact to the project if the issue is not resolved.

- Resolution due date.
- Information identifying the Owner of the issue.
- Assignment of the resolution plan as the named owner.

13.6.3 ISSUE ESCALATION PROCESS

In the event an issue persists or remains unresolved at a certain level of project governance responsibility, the established governance process is to be used.

Project issues that cannot be resolved within a reasonable timeframe or deemed to cause project delay will need to be escalated to the next level in the governance structure. The project will follow the following escalation trigger timeframes when an issue resolution plan is not agreed:

- Level 1 to Level 2 – 2 business days
- Level 2 to Level 3 – 4 business days

Exhausting options for resolution at the project level can also be considered a reason to escalate. Issues that are not resolved within five calendar days of their due date will automatically result in a specific discussion between the Vendor Project Manager and the WPPI Project Director on whether the issue warrants being escalated to the Project Sponsor, even only for awareness. Escalated issues are to be documented in the Issue Log, should indicate “Escalated” under the Status column, and the appropriate name of the assigned new owner is entered under the “Named Owner” column.

Issues that cannot be resolved at Level 3 will follow the Dispute Resolution process defined in the appropriate contract in place for that Vendor.

13.6.4 ISSUE LOG

The Project Team will utilize an Issue Log to document and track issues. The focus will be on speedy resolution of issues in order to maintain the project schedule and quality of deliverables, with a target of a 30-day resolution timeframe. The Issue Log will be part of the RAID Log and will serve as a template for identifying and managing issues for this project.

13.6.5 PLAN ISSUE/ACTION ITEM RESPONSES

Once the Issue/Action Item has been documented the Vendor Project Manager and WPPI Project Director will review the Issue and assign responsibility for developing and implementing an action plan/resolution to an Issue Owner. The Issue Owner will analyze the Issue and develop an Issue resolution plan that describes the activities that need to be completed in order to address the Issue.

13.6.6 MONITORING AND CONTROLLING ISSUES/ACTION ITEMS

This task completes the process and involves implementing the Issue plan, tracking progress, identifying Actions as appropriate, and evaluating the Issue/Action management process throughout the project life cycle.

From time to time issues need to be resolved by escalating them to a more senior level. Criteria for escalating issues include:

- An issue or action item’s resolution is more than seven calendar days past due.
- An issue has reached an impasse and cannot be resolved within the current schedule.
- An agreement cannot be reached on the severity of an issue.
- An issue or action item is not making adequate progress toward resolution or completion.
- An impact analysis reveals the resolution of a given issue would be costly to the project in terms of resources or potential impact to other components of the project.

The criteria above are guidelines and should be evaluated within the project context. Prior to any issue or action item being escalated, the WPPI Project Director and the Vendor Project Manager will discuss the item and come to

consensus on the appropriate next step (i.e., escalate vs. not escalating). If an issue or action item is deemed as requiring escalation, the WPII Project Director will immediately escalate to the Executive Project Sponsor.

13.6.7 DECISION LOG

Throughout the project, the need for decisions will arise. The Decision Log will capture questions that need to be answered and may have an impact on the project's scope, schedule, budget and/or quality depending on the answer. Questions will be recorded in the Decision Log and documented on the weekly status report, assuming that they remain unanswered or open. Questions that have been answered (i.e., decision made) will be removed from the Status Report but retained on the Decision Log with the answer documented and a reference to who provided the answer so that the information is available for future reference if needed.

The Vendor Project Manager (or designee) will identify and document decisions made by Project Leadership, the Vendor Project Team or by others using the project Decision Log. The Vendor and WPII Project Director will work together to determine how and to whom the decision needs to be communicated to minimize future surprises and at what point a decision can be marked as closed.

SECTION 14 PROCUREMENT MANAGEMENT

14.1 PROCUREMENT MANAGEMENT PROCEDURE

Purchasing for the project is either a major procurement (related to contracts and the hardware, software and services required for the new system) or minor procurement (related to daily activities such as supply ordering).

Minor purchases are handled through FDOT's existing processes using MyFloridaMarketPlace (MFMP). All expenditures made against the WPII budget require approval from the WPII Project Director unless otherwise noted. Staff Augmentation will be procured utilizing Requests for Quote via the State Term Contract process.

14.2 CONTRACTS MANAGEMENT PROCEDURE

Contract Management will align with FDOT's standard operating procedures. WPII has a contract manager assigned to the project that will monitor and verify appropriate internal procedures will be followed for monitoring and administering the contract, and the process for contract payment. Any contract amendments from the change control process will adhere to the appropriate internal procedures.

SECTION 15 STAKEHOLDER ENGAGEMENT

Stakeholder engagement will be managed via the WPII Organizational Change Management Plan.

SECTION 16 CHANGE MANAGEMENT

16.1 OVERVIEW

Throughout the life of the project, any change to the current scope, schedule, critical path, budget, quality or Key Resources will follow the Change Control process. In order to control these changes, the Project Team will utilize a formal change control management process for identifying, reviewing, approving, coordinating, archiving, and reporting the status of these change requests.

Project members have a role in this process that is based on analysis of the change and the implication of the proposed change on project scope, schedule, budget, and benefit.



16.2 ESTABLISH BASELINE

The scope defines the boundaries of the project (e.g. project goals and objectives, requirements, work products, schedule, quality, resources, etc.).

The purpose of establishing and maintaining baselines is to provide a reference point to control the risk that the scope, budget, or schedule of the project will be adversely impacted by a potential change. The PMP and Project Schedule documents will establish the project’s initial baseline. From that point forward, the PMO will not allow a change to the baseline without an approved schedule change request.

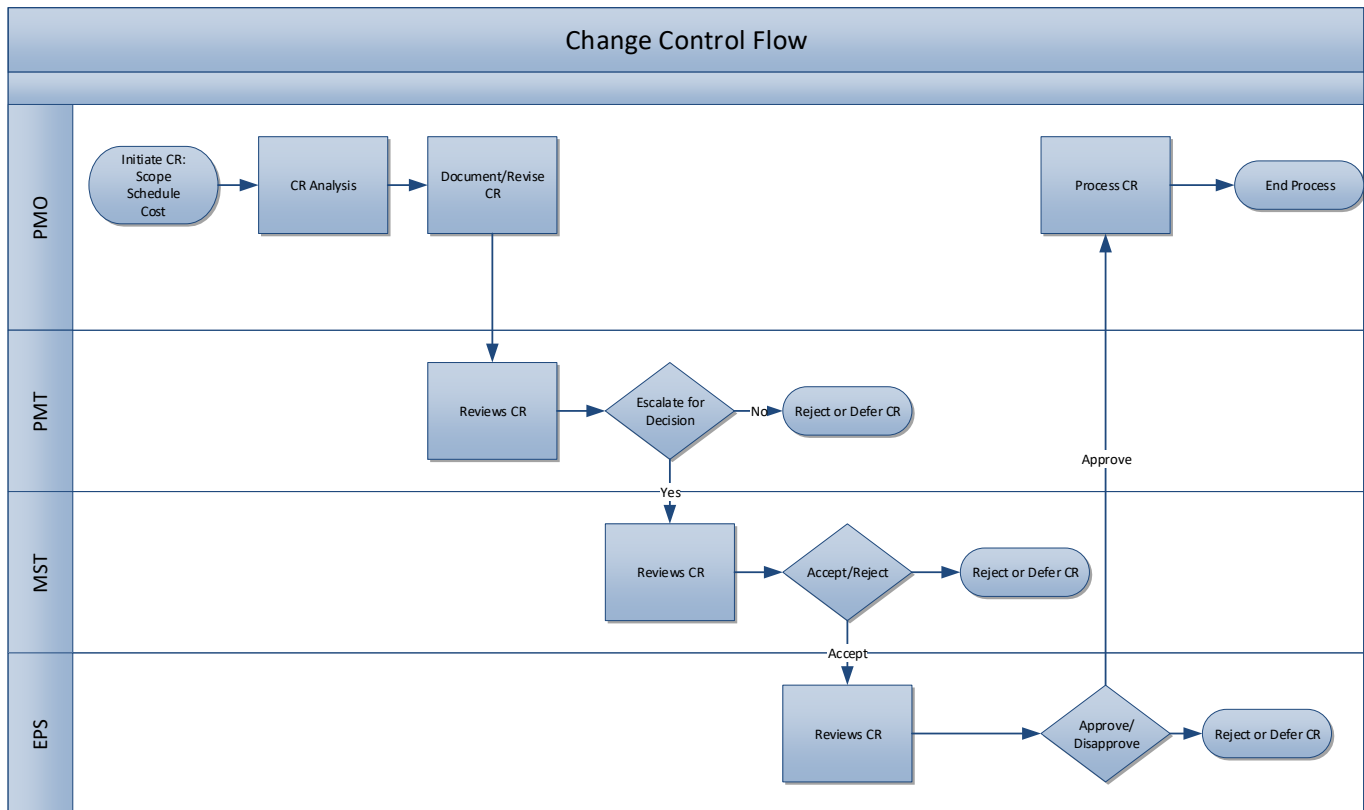
16.3 CHANGE MANAGEMENT ROLES AND RESPONSIBILITIES

The Change Management process will be in effect for any substantive changes in scope, budget, schedule, critical path or Key Resources.

16.4 MANAGE CHANGE CONTROL

Any entity that is impacted by the project can bring an issue to the PMO to be addressed. The PMO can then decide if it is of sufficient impact to require a Change Request (CR). The PMO will be responsible to collect and document the CR. The CR will then be escalated for review and disposition.

The following flowchart outlines the process for how changes are requested, analyzed, and either authorized or denied.



16.5 IMPLEMENT APPROVED CHANGES

Once a CR has been approved, the responsible party is responsible for implementing the change. Key activities to complete (as needed) are:

- The PMO will update the Project documentation baseline, including Project Schedule (archive previous baseline version)
- The PMO will update the project spend plan as it relates to the contract
- The Contract Manager will oversee the appropriate change to the project purchase order in MyFloridaMarketPlace
- The WP II Project Director will communicate disposition of CR to the PMT, MST, and EST

16.6 REPORT CHANGE CONTROL STATUS

The PMO will include the status of open CRs and number of CRs closed in the current reporting period on the Project Status Report. The WP II Project Director will also track and monitor that Project Team members are incorporating approved CRs in their project activities and documentation.

16.7 CHANGE REQUEST FORM

The Change Request Form provided by the PMO, and associated components, will be used to capture any project CRs.

16.8 TRACK PROJECT CHANGES

Throughout the project, the Project Team will document CRs in the Project Change Control log which is a tab on the RAID log. The disposition and status of submitted CRs will be captured in the Change Control Log.

SECTION 17 CONFIGURATION MANAGEMENT

Within the context of FDOT WPPI Project, configuration management (CM) is the process of identifying, at a given point in time, the state of configuration items (CIs) that make up the WPPI system. CI's may include source code, reports and forms, configuration files, etc. The process will systematically track and control change and thereby maintain the integrity and traceability of the CIs throughout the project's life cycle. CIs will be documented when the CM process is implemented.

The process will establish a system baseline for each controlled environment and track the movement of CI changes to and between controlled environments. The controlled environments for WPPI are the User Acceptance Test (UAT) and Production environments. Changes are guided by the business requirements as established within an approved requirements baseline. The requirements baseline will be tracked as a part of the overall Change Management process as described in Section 14 above. Changes may also arise from any required patches or updates to the Advantage product.

CGI's Advantage product group maintains the application baseline for the Advantage product. The WPPI project level CM process does not track any CIs that are a part of or within any WPPI Advantage application or patch release, but the application and patch distribution file(s) themselves will be tracked.

The CM Process will be developed in conjunction with the Vendor, documented in the WPPI Configuration Management Plan, and stored in the project SharePoint site.

SECTION 18 SYSTEM SECURITY PLAN

The System Security Plan will be created and maintained once the non-functional and technical requirements are defined as part of the Define Requirements Phase of the project.

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

For Fiscal Year 2020-21



September 16, 2019


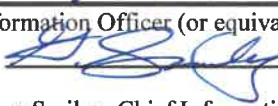


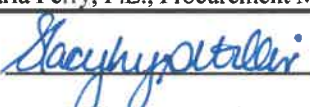
FLORIDA DEPARTMENT OF TRANSPORTATION

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

I. Schedule IV-B Cover Sheet

Schedule IV-B Cover Sheet and Agency Project Approval	
Agency: Florida Department of Transportation	Schedule IV-B Submission Date: September 04, 2019
Project Name: Consultant Invoice Transmittal System (CITS) Modernization	Is this project included in the Agency's LRPP? ____ Yes __X__ No
FY 2020-21 LBR Issue Code: 36237C0	FY 2020-21 LBR Issue Title: Consultant Invoice Transmittal Replacement
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: 09-13-2019
Printed Name: Kevin J. Thibault, P.E., Secretary of Transportation	
Agency Chief Information Officer (or equivalent): 	Date: 09-13-2019
Printed Name: Greg Smiley, Chief Information Officer	
Budget Officer: 	Date: 09-13-2019
Printed Name: Mechelle Marcum, Budget Officer	
Planning Officer: 	Date: 09-13-2019
Printed Name: Carla Perry, P.E., Procurement Manager	
Project Sponsor: 	Date: 09-13-2019
Printed Name: Stacy L. Miller, P.E., Assistant Secretary, Finance and Administration	
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 section 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 Office 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 2,200 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 eighteen-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 uploads into CITS. It has received minor upgrades since implementation in 2002. The AFP macros render the

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

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.

Adoption of a new CITS application will provide for automation of manual contract monitoring tasks including invoice/timesheet review, desk audit reviews, observations, and trend analysis.

Department of Financial Services issued Memorandum No. 06 for Contract Monitoring and Documenting Contractor Performance requires Agencies to perform contract monitoring to verify performance and compliance with the terms and conditions of the contract.

CITS will assist FDOT Project Managers with accomplishing compliance with the fiscal and programmatic aspects of contract monitoring. CITS will provide controls to ensure strict adherence to method of compensation limits, and will provide for strict adherence to billing only in accordance with the agreement. Date constraints will provide further compliance in that the limits established by the agreement cannot be exceeded. Restricting access to only rates that are authorized will be an added benefit of the application to address concerns regarding use of rates that are not supported or justified. Further compliance is upheld with the multi-review process once an invoice has been submitted through the application.

The system will provide for billing on specific projects to allow accounting for proper costs/accounts. For task assignment type agreements, only assigned tasks with a notice to proceed date will be accessible for billing, and task work orders will have a documented begin and end date. The system will allow for proper management of the scope of work and deliverables. Reporting functionality will be enhanced with the new system to allow project managers to extract reports to assist in determining burn rates, and other important information.

The application will also include functionality to assign a performance grade after reviewing an invoice. An email reminder will be sent to the Project Manager after invoice approval with a link to the Consultant Evaluation system.

Further, the system will allow for storage of invoice history on the Department’s EDMS system. The current system does not provide for this functionality. If a new employee begins managing a contract, the new employee will be able to have the added benefit of retrieving prior invoices and have full access to past progress reports, and invoicing, for full 360-degree history of the contract. DFS stated that review of monthly invoice processing with budget, quarterly reports are part of a low risk monitoring. With CITS, this can be done across the board, on all contracts.

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 the flexibility required for a TWO.
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 Procurement Development Application 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 are 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

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

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.

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:

Section 287.055, Florida Statutes

Section 337.105, Florida Statutes

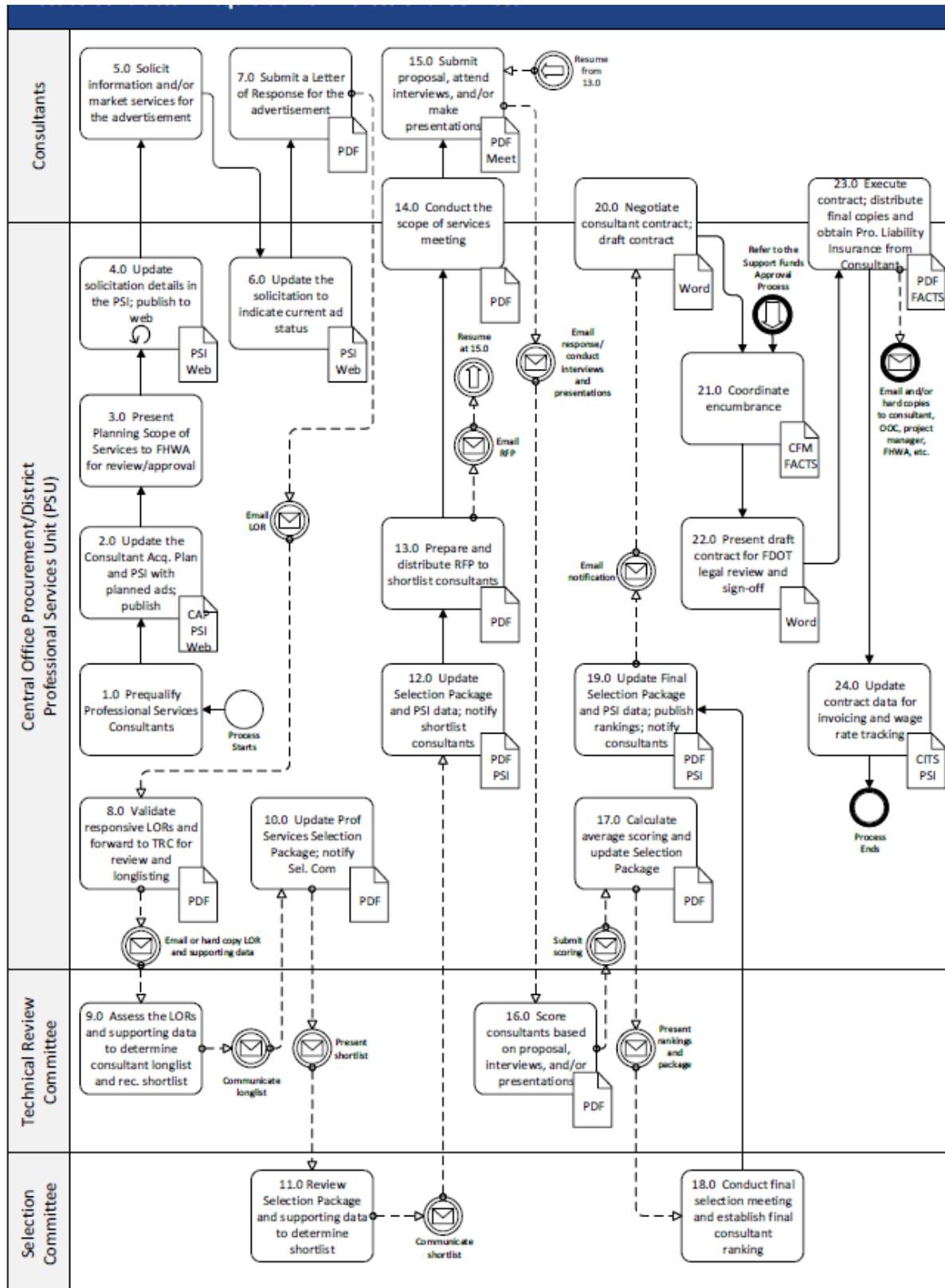
Section 337.107, Florida Statutes

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 Ipswich 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 Ipswich 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 COOL:Gen 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, and the American Council of Engineering Companies (ACEC-FL). 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 eighteen-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	07/22
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	07/22
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	07/22
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.	07/22
5	Ad hoc reporting	The data can be retrieved from the web-based application with little to no delay.	FDOT, External Stakeholders, legislature, and the public.	07/22
6	Successful tracking of individual project expenditures	Projects will not be able to exceed the allowable amount of expenditures.	FDOT, External Stakeholders	07/22

SUCCESS CRITERIA TABLE				
7	Accurate Status Update	Users can retrieve a real-time snapshot of the status of individual or multiple projects.	FDOT, External Stakeholders	07/22
8	FHWA Funds Tracking	Users can successfully track the payments made on contracts using federal funds.	FDOT, External Stakeholders, and the public.	07/22
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	07/22
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	07/22
11	Intuitive	90% of the users will be able to successfully operate the application with little to no training.	FDOT, External Stakeholders	07/22

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	Reduction in risk due to project end of useful life	FDOT & external stakeholders	FDOT & external stakeholders will not experience	Reduction in staff time and costs related to application failure.	07/22

BENEFITS REALIZATION TABLE					
			delays in processing data		
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.	07/22

B. Cost Benefit Analysis (CBA)

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

The 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

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	CITS Modernization	
Agency	Department of Transportation	
FY 2020-21 LBR Issue Code:	FY 2020-21 LBR Issue Title:	
Issue Code	Issue Title	
Risk Assessment Contact Info (Name, Phone #, and E-mail Address):		
Robert Skoglund, 414-4486, robert.skoglund@dot.state.fl.us		
Executive Sponsor	Stacy L. Miller, P.E.	
Project Manager	Project Manager Name	
Prepared By	Robert Skoglund	6/12/2019
Risk Assessment Summary		
Business Strategy	Most Aligned	Least Aligned
	Least Risk	Most Risk
Level of Project Risk		
Project Risk Area Breakdown		
Risk Assessment Areas		<i>Risk Exposure</i>
Strategic Assessment		LOW
Technology Exposure Assessment		LOW
Organizational Change Management Assessment		MEDIUM
Communication Assessment		LOW
Fiscal Assessment		MEDIUM
Project Organization Assessment		LOW
Project Management Assessment		LOW
Project Complexity Assessment		MEDIUM
<i>Overall Project Risk</i>		MEDIUM

VI. Schedule IV-B Technology Planning

A. Current Information Technology Environment

1. Current System

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 Web Focus (Reporting)
- 4. Oracle Database
- 5. IBI Managed Reporting Environment
- 6. Batch Job Scheduler (BJS)
- 7. WS_FTP IPSWITCH

c. Current System Performance

There are 80 defined CICS transactions for the CITS application. These transactions are the number one application user (excluding Web FOCUS) 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 Department of State Technology (DST) 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 Web Focus (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 6-13-19.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	FDOT	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 2020-21			FY 2021-22			FY 2022-23			FY 2023-24			FY 2024-25		
	(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

FDOT

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.

			CBA Form 2A Baseline Project Budget																		
			FY2020-21			FY2021-22			FY2022-23			FY2023-24			FY2024-25			TOTAL			
			\$ 1,044,341			\$ 1,912,734			\$ -			\$ -			\$ -			\$ 2,957,075			
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	\$ -	\$ -	0.00	\$ -	
Staffing costs for personnel using Time & Expense.	Staff Augmentation	Contracted Services	\$ -	0.00	\$ -	\$ -	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	\$ -	\$ -	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	\$ -	\$ -	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	\$ -	\$ -	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	\$ -	\$ -	0.00	\$ -	\$ 2,957,075

CBAForm 2 - Project Cost Analysis

Agency	<u>FDOT</u>	Project	<u>CITS Modernization</u>
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PROJECT COST SUMMARY	PROJECT COST SUMMARY (from CBAForm 2A)					TOTAL
	FY 2020-21	FY 2021-22	FY 2022-23	FY 2023-24	FY 2024-25	
TOTAL PROJECT COSTS (*)	\$1,044,341	\$1,912,734	\$0	\$0	\$0	\$2,957,075
CUMULATIVE PROJECT COSTS <small>(includes Current & Previous Years' Project-Related Costs)</small>	\$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 2020-21	FY 2021-22	FY 2022-23	FY 2023-24	FY 2024-25	
General Revenue	\$0	\$0	\$0	\$0	\$0	\$0
Trust Fund	\$1,044,341	\$1,912,734	\$0	\$0	\$0	\$2,957,075
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

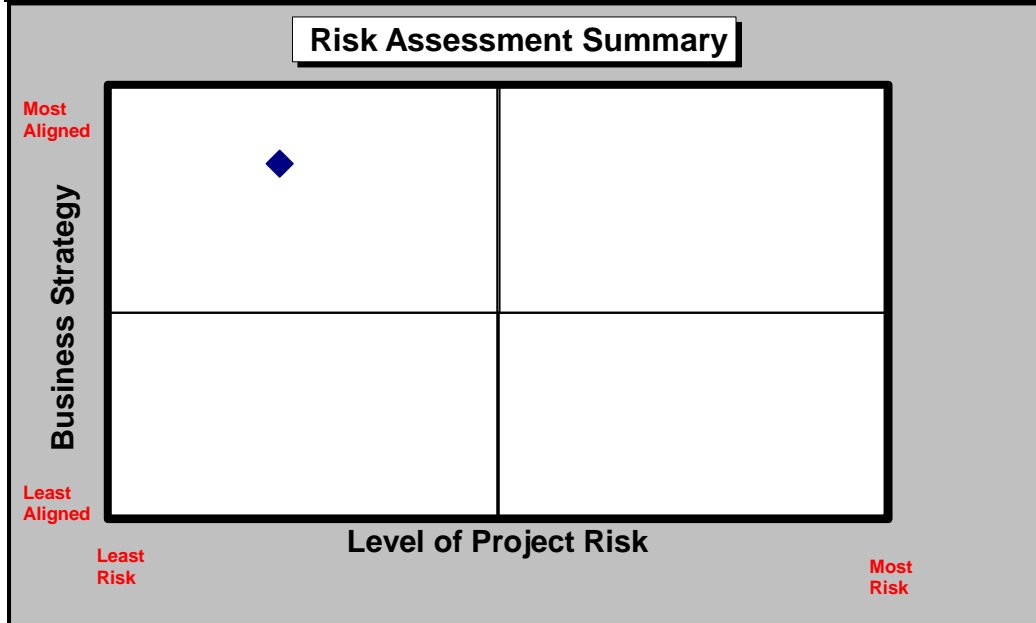
Agency	<u>FDOT</u>	Project	<u>CITS Modernization</u>
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COST BENEFIT ANALYSIS -- CBAForm 3A						
	FY 2020-21	FY 2021-22	FY 2022-23	FY 2023-24	FY 2024-25	TOTAL FOR ALL YEARS
Project Cost	\$1,044,341	\$1,912,734	\$0	\$0	\$0	\$2,957,075
Net Tangible Benefits	\$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	2023-24	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 2020-21	FY 2021-22	FY 2022-23	FY 2023-24	FY 2024-25
Cost of Capital	1.94%	2.07%	3.18%	4.32%	4.85%

Project	<i>CITS Modernization</i>	
Agency	<i>Department of Transportation</i>	
FY 2020-21 LBR Issue Code:	FY 2020-21 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>Stacy L. Miller, P.E.</i>	
Project Manager	<i>Project Manager Name</i>	
Prepared By	<i>Robert Skoglund</i>	<i>6/12/2019</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: 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: 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: 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: 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	Yes
		No	
5.02	Have all project expenditures been identified in the Spending Plan?	0% to 40% -- None or few defined and documented	81% to 100% -- All or nearly all defined and documented
		41% to 80% -- Some defined and documented	
		81% to 100% -- All or nearly all defined and documented	
5.03	What is the estimated total cost of this project over its entire lifecycle?	Unknown	Between \$2 M and \$10 M
		Greater than \$10 M	
		Between \$2 M and \$10 M	
		Between \$500K and \$1,999,999	
		Less than \$500 K	
5.04	Is the cost estimate for this project based on quantitative analysis using a standards-based estimation model?	Yes	Yes
		No	
5.05	What is the character of the cost estimates for this project?	Detailed and rigorous (accurate within ±10%)	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)	Firm Fixed Price (FFP)
		Firm Fixed Price (FFP)	
		Combination FFP and T&E	
5.13	What is the planned approach for procuring hardware and software for the project?	Timing of major hardware and software purchases has not yet been determined	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	No
		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	
		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: 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: 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: 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 FDOT 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 (project development and environmental studies, 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 spreadsheets, 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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Adoption of a new CITS application will provide for automation of manual contract monitoring tasks including invoice/timesheet review, desk audit reviews, observations, and trend analysis.

Department of Financial Services issued Memorandum No. 06 for Contract Monitoring and Documenting Contractor Performance requires Agencies to perform contract monitoring to verify performance and compliance with the terms and conditions of the contract.

CITS will assist FDOT Project Managers with accomplishing compliance with the fiscal and programmatic aspects of contract monitoring. CITS will provide controls to ensure strict adherence to method of compensation limits, and will provide for strict adherence to billing only in accordance with the agreement. Date constraints will provide further compliance in that the limits established by the agreement cannot be exceeded. Restricting access to only rates that are authorized will be an added benefit of the application to address concerns regarding use of rates that are not supported or justified. Further compliance is upheld with the multi-review process once an invoice has been submitted through the application.

The system will provide for billing on specific projects to allow accounting for proper costs/accounts. For task assignment type agreements, only assigned tasks with a notice to proceed date will be accessible for billing, and task work orders will have a documented begin and end date. The system will allow for proper management of the scope of work and deliverables. Reporting functionality will be enhanced with the new system to allow project managers to extract reports to assist in determining burn rates, and other important information.

The application will also include functionality to assign a performance grade after reviewing an invoice. An email reminder will be sent to the Project Manager after invoice approval with a link to the Consultant Evaluation system.

Further, the system will allow for storage of invoice history on the Department's EDMS system. The current system does not provide for this functionality. If a new employee begins managing a contract, the new employee will be able to have the added benefit of retrieving prior invoices and have full access to past progress reports, and invoicing, for full 360-degree history of the contract. DFS stated that review of monthly invoice processing with budget, quarterly reports are part of a low risk monitoring. With CITS, this can be done across the board, on all contracts.

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.

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Milestones	No. of Days	Completion Date
Consultant Onboarding	20	7/31/2020
Requirements Gathering	160	12/21/2020
As Is and To Be Documentation	45	1/10/2021
Database design and review	45	2/1/2021
System design and review	90	4/2/2021
Reporting design and review	90	5/1/2021
Data conversion design and review	120	7/1/2021
Database development	60	9/1/2021
Application development	145	1/10/2022
Reporting development	150	2/1/2022
Database standards review	20	9/22/2021
.NET Code standards, web application standards, and 508 standards reviews	20	1/30/2022
Unit test scripting and testing	115	1/10/2022
System Integration scripting and testing	50	3/5/2022
User acceptance Testing	20	4/21/2022
Implementation planning	15	5/16/2022
System documentation	30	6/1/2022
User Manual development	30	6/1/2022
System Training	14	6/16/2022
Implementation	2	6/22/2022
Post implementation debriefing	7	6/30/2022
Warranty	180	12/31/2022

2 Out-of-Scope

Application Computer Based Training (CBT) is not in Scope.

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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.

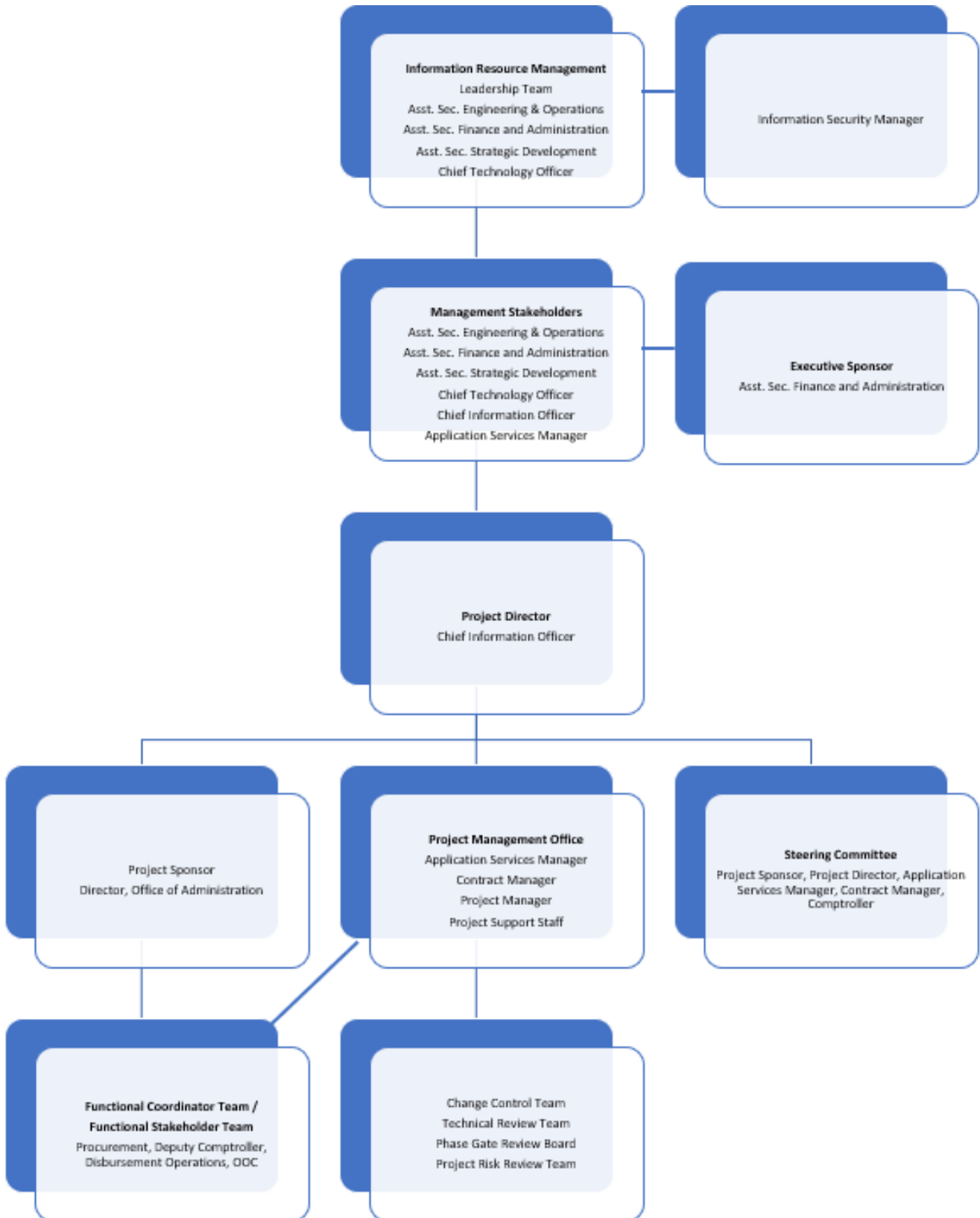
4 Baseline Schedule

Task	Status	Planned Start	Planned Finish
CITS Rewrite	<i>Pending Funding</i>		
	<i>Pending Funding</i>		
	<i>Pending Funding</i>		
	<i>Pending Funding</i>		
	<i>Pending Funding</i>		
	<i>Pending Funding</i>		
	<i>Pending Funding</i>		

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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 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 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 Office of Information Technology 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 Technology Systems management and

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to other Offices or work groups within the Department as required.

- **Project Manager:** The Project Manager is accountable for maintaining project scope, cost, and schedule in accordance with the baselines established in the Project Plan. The Project Manager plans, assigns, and oversees the deliverables provided by team members.
- **Contract Manager:** a department employee responsible for enforcing performance of the contract terms and conditions, serving as liaison with the vendor and ensuring that the contractual terms have been complied with prior to processing the invoice for payment.
- **Change Control Team (CCT):** responsible for reviewing and determining the outcome of all change requests submitted to the project during the project life cycle. The CCT will meet as often as necessary, as changes are introduced throughout the project, to discuss potential impacts or changes to the scope, schedule or budget. If the CCT approves a change, the CCT must then seek authorization from the Executive Sponsor, Project Sponsor, Application Services Portfolio Manager, or combination of those stakeholders, depending on the type of impact, the change will have on the project.
- **Technical Review Team:** reviews technical components of the project to ensure alignment with scope, time, budget and quality.
- **Project Risk Review Team:** prioritizes and ranks all risks identified for project, and 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 and Procurement

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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.

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.

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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.

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

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		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 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

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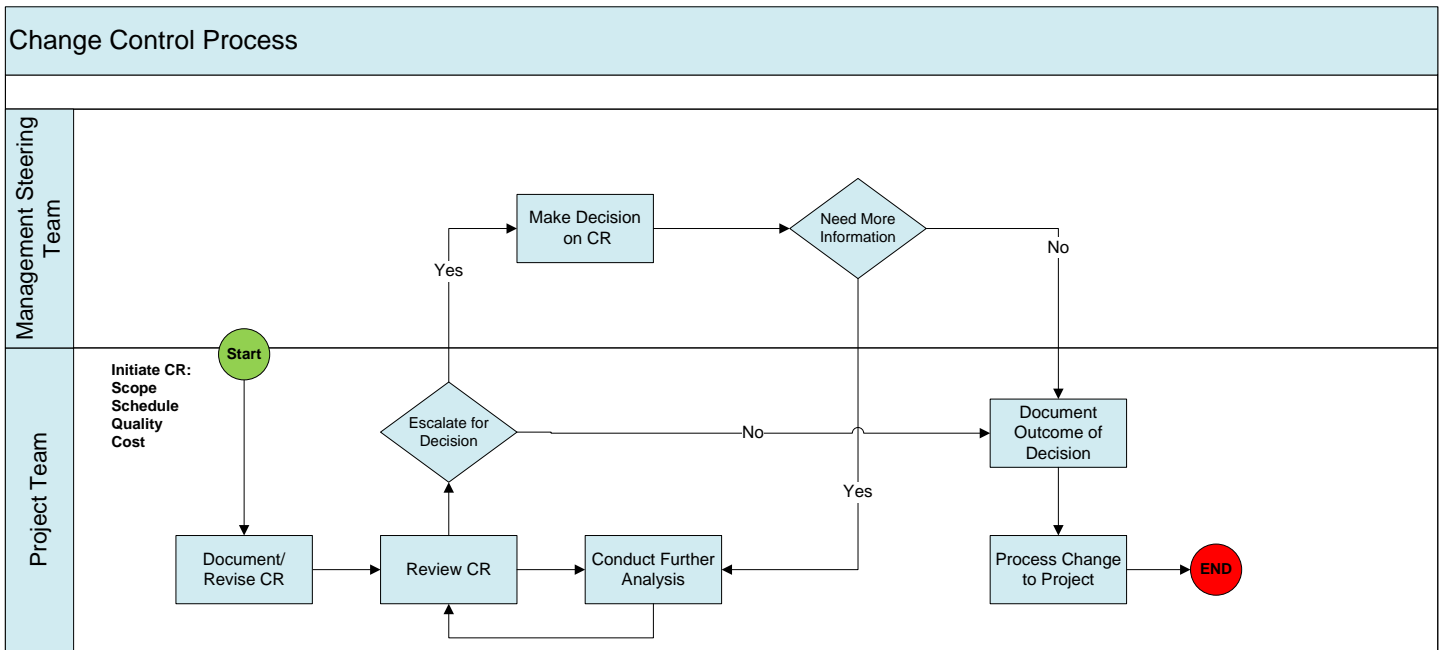
		<ul style="list-style-type: none"> • Develop scope change process that requires demonstrated link to targeted business benefits and program steering committee approval of any proposed scope changes
Project Organization, Project Management	Availability of FDOT resources (business and technical) to support 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

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 Procedures

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			Should Have
1.3	Functional		Allow Consultants to login to the CITS using their ISA account credentials so that they can access the CITS application.	Should Have
2.0	Scope	Consultant Account Inform	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 Functionali	Allow Admins to manage the Authorized Users	Should Have
3.1	Functional		Allow Admin users to add Users to a particular User Role and provide access to CITS so that they can access the CITS application and perform the activities as needed.	Should Have
3.2	Functional		Allow Admin user to revoke user access from CITS so that unauthorized user cannot access any information in CITS.	Should Have
3.3	Functional		Allow Admin user change user role in CITS so that they can perform specific activities as needed.	Should Have
3.4	Functional		Allow Admin user to generate specific/confidential Reports in CITS so that confidential information can be handled accordingly. Ability to keep consultant name current in cases of Assignment Agreements.	Should Have
			Retention function needed in Admin module - Ability to remove contracts based on date ranges. Ability to identify firms subject to contracting limitations based on audit (configurable)	
			All items under section 10: Email notifications, fall under the Administrator Functionalities.	Should Have

Requirement ID	Requirement Type	Requirement Name	Description	Priority
4.0	Scope	User Dashboard (Home Page)	Provide Users a dashboard Provide 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, users would see the contract information based on their ROLE. Consultants should only see Contract information for their Firm.	Should Have
4.1 Functional				
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) 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: +Contract Details + Consultant Information + Employee Information + Standard Testing Rates + Loaded Rates information +Wage Rate Date Range +CEI Analysis +Testing Rate Analysis +Prof and Vend Firms +Table 6 only + Work Effort Unloaded information + Overtime Rate information + Work Effort Loaded information + Burdened Unloaded Rates information + Partially Loaded without Operating Margin Rates information + Commitment + 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				

Requirement ID	Requirement Type	Requirement Name	Description	Priority
5.3	Functional		Allow Consultants to submit updated AFP information for review and concurrence with the department prior to finalization of negotiations.	Should Have
5.4	Functional		Allow FDOT User to submit updated AFP information for review and concurrence with the consultant prior to finalization of negotiations-	Should Have
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.	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	Should Have
6.0	Scope	Contract Information	<p>FDOT User should have the ability to delete an AFP at any time.</p> <p>Allow FDOT Internal Users to Add Contract information in CITS</p> <p>Allow FDOT Internal users to Add/Update the Contract and Amendment information in CITS, allowing additional contract related information to be reviewed and used during the contract lifecycle within CITS.</p> <p>Contract information such as:</p> <ul style="list-style-type: none"> + Basic Contract information + Constraints information + Payment information + Sub-Contractor information + Amendment + 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... <p>Note: Once contract has been submitted and approved by Financial Services, the contract information cannot be updated until an Amendment is executed or invoice reviews are updated. (Administrative role may override)</p>	Should Have
6.1	Functional			

Requirement ID	Requirement Type	Requirement Name	Description	Priority
6.2	Functional		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.	Should Have
6.3	Functional		Allow FDOT internal users to send Contract information to Financial Services so that Financial Services can review and approve the contract.	Should Have
6.4	Functional		Ability to identify firms subject to contracting limitations based on audit	Should Have
6.5	Functional		Ability to pull data from AFP Wage Rate and Table 6 report for comparison purposes.	Should Have
7.0	Scope	Task Work Order Informati	Allow FDOT Internal Users and Consultants to manage Task Work Order (TWO) information in CITS	Should Have
7.1	Functional		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. A Contract can have one or multiple Task Work Orders. + A TWO can have multiple Financial Project Numbers 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.	Should Have
7.2	Functional		The ability to build the TWO from data already in the system. 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.	Should Have
7.3	Functional		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.	Should Have
7.4	Functional		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.	Should Have
7.5	Functional			
7.6	Functional		Allow Consultant to Review and Accept the TWO or TWO Amendment fee sheet in CITS.	Should Have

Requirement ID	Requirement Type	Requirement Name	Description	Priority
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 from further updates 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 processed quickly and transferred to Financial Services electronically.	Should Have
8.4	Functional		Allow FDOT Internal users (PM) to assign another Reviewer systematically for the contract to review and Approve the submitted invoices in CITS so that secondary review and approval can be performed if required. The assignment of reviewers will allow a begin and end date.	Should Have
8.5	Functional		Allow FDOT Internal Users (PM) to transfer approved invoices automatically/systematically thru the assigned flow 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 in Admin	Should Have

Requirement ID	Requirement Type	Requirement Name	Description	Priority
			<ul style="list-style-type: none"> • 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 & FDOT internal users once Contract information is Updated in CITS • Notify Consultant & FDOT internal users once Contract Amendment is requested • Notify Consultant & FDOT internal users once Contract Amendment is Approved/Denied • Notify Financial Services, Consultant, & FDOT internal users once the Contract has been finalized • Notify Consultant once the Task Work Order (TWO) has been created • Notify Consultant & FDOT internal users once the TWO has been Accepted and Approved • Notify Consultant & FDOT Internal users once the TWO Amendment has been created • Notify Consultant & FDOT internal users once the TWO Amendment has been Accepted & Approved • Notify FDOT internal users once the Invoice has been submitted by the Consultant • Notify Consultant once the Invoice has been reviewed & approved or require any changes <p>Notify PM when TWO is near expiration.</p>	Should Have
10.1	Functional			
10.2	Functional		The System shall provide the functionality to send automated email notifications to the appropriate users during the procurement/contract lifecycle.	Should Have
10.3	Functional		The system shall provide the capability of notifying Procurement Staff that they have been assigned a new role in the application	Should Have
10.4	Functional		The System shall have the capability for the administrator to create a new email notification based on configurable settings/fields in the system.	Should Have
10.5	Functional		The System shall have the ability to send email notifications with an attachment supplied in PDF format.	Should Have
10.6	Functional		The System shall provide functionality to notify specified roles of procurement/advertisement/contract status changes.	Should Have
10.7	Functional		The System shall provide functionality to add additional email addresses from PQ to receive email notifications at certain review levels.	Should Have

Requirement ID	Requirement Type	Requirement Name	Description	Priority
10.8	Functional		The System shall provide a mechanism to allow users to list email addresses to receive email notifications.	Should Have
10.9	Functional		All email notifications sent to internal users shall contain a link to the appropriate system page for a particular contract (query logic).	Should Have
10.10	Functional		The System shall provide the ability to maintain email templates.	Should Have
10.11	Functional		The System shall provide the ability to identify the roles that shall receive email notifications based on the template.	Should Have
10.12	Functional		The email verbiage must be able to contain markers/variables to allow embedded data such as: Ad Number, Contract Number, Project Manager, Contract Analyst, Prime Consultant/Vendor Name, FEID, etc. The email notification admin page shall allow for formatting with Rich Text Formatting	Should Have
10.13	Functional		The Default Reminder Frequency shall be daily, weekly, monthly or yearly.	Should Have
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

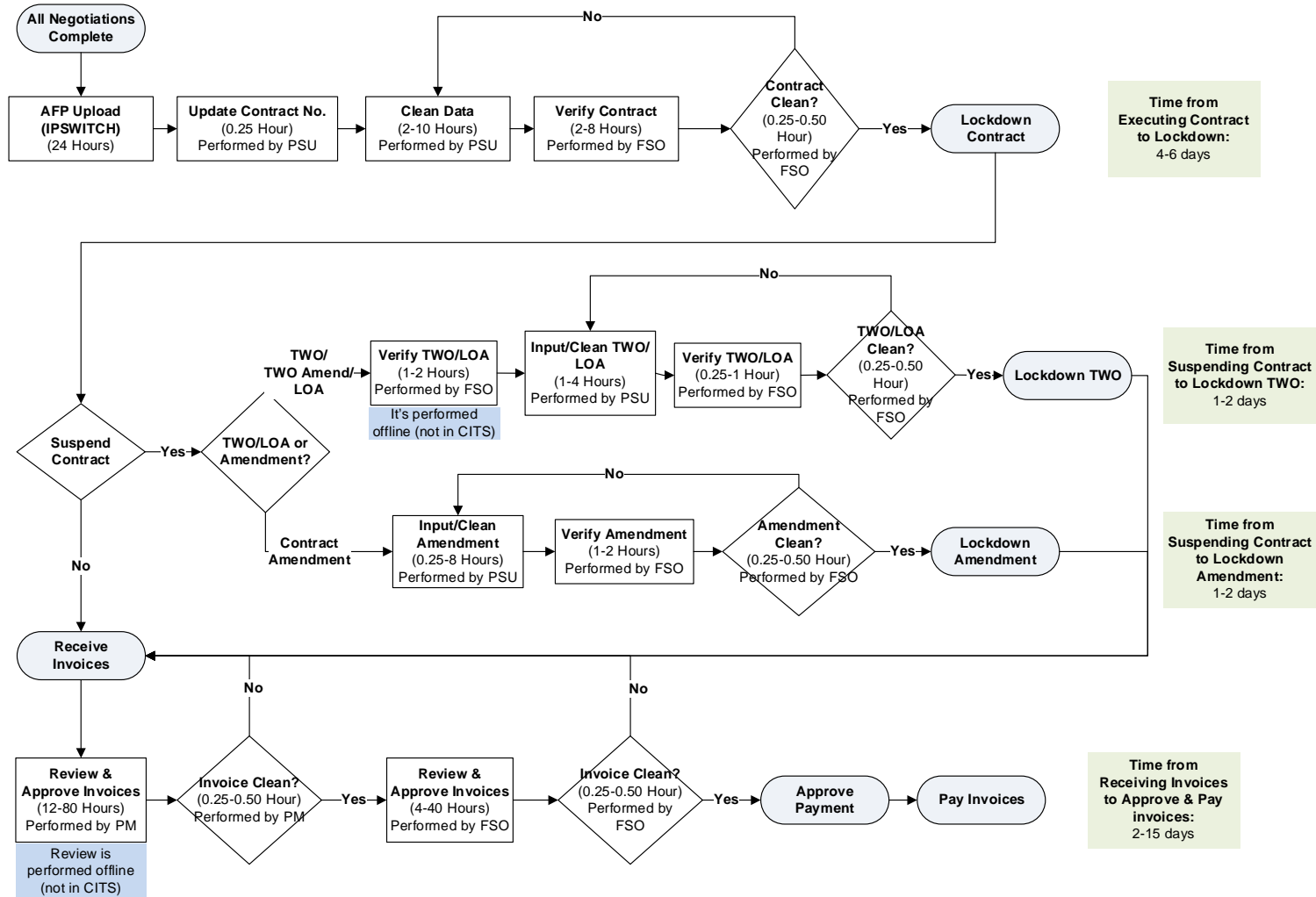
The post-study portion of the VE study includes the draft and final preparation of this Value Engineering Study Report and the discussions and resolution meetings with FDOT personnel. The District should analyze each recommendation and prepare a short response, recommending incorporating the idea into 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

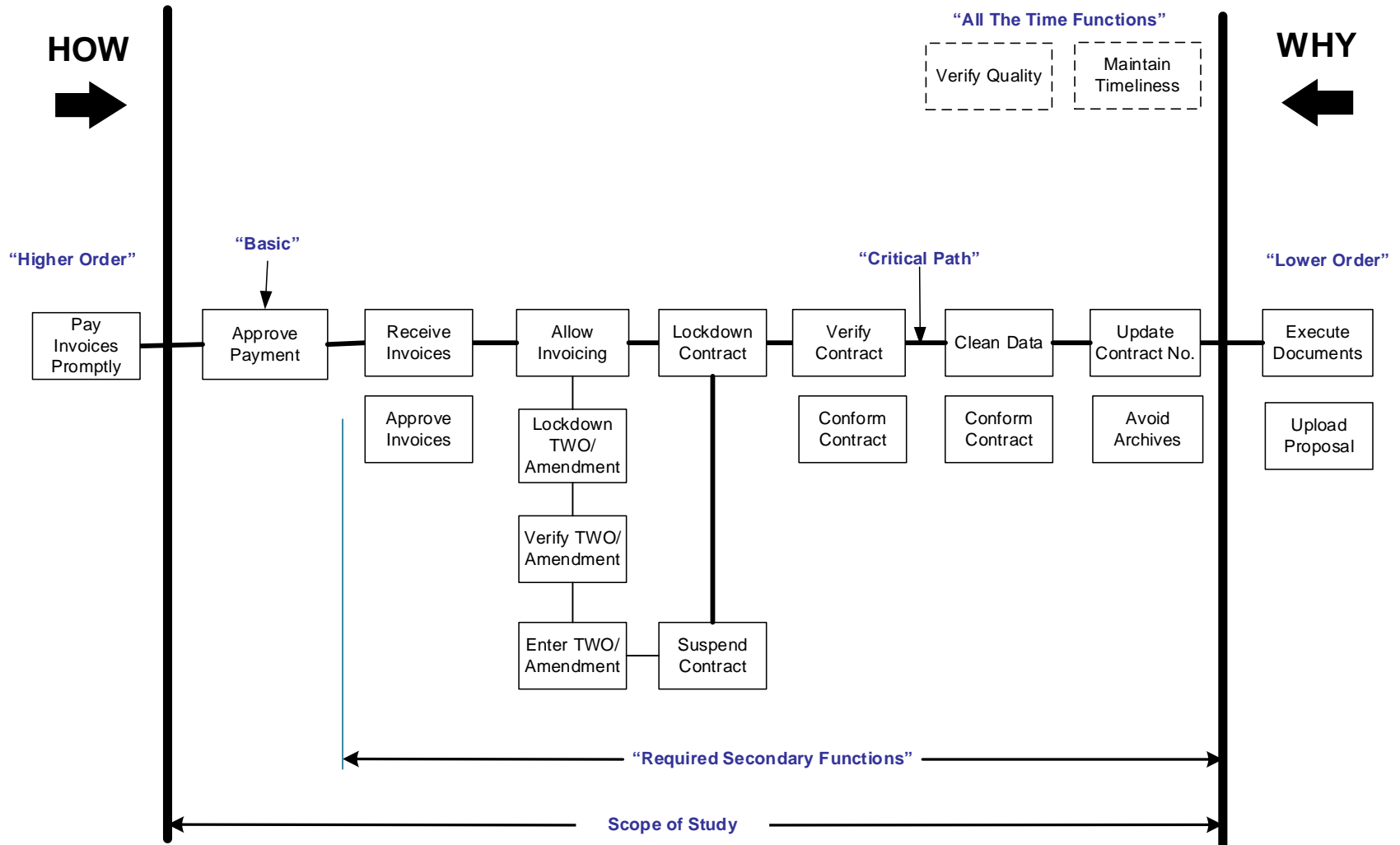
3.2 Function Analysis

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

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
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 	◆ 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 	◆ 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) <i>See below</i>
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		
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		
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	
<i>Location: FDOT District Four Second Floor Conference Room</i>	
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 TWOs & 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 TWOs & 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 TWOs & 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 imputing 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

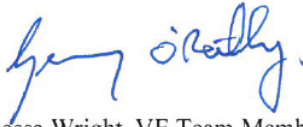
RICK SCOTT
GOVERNOR

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

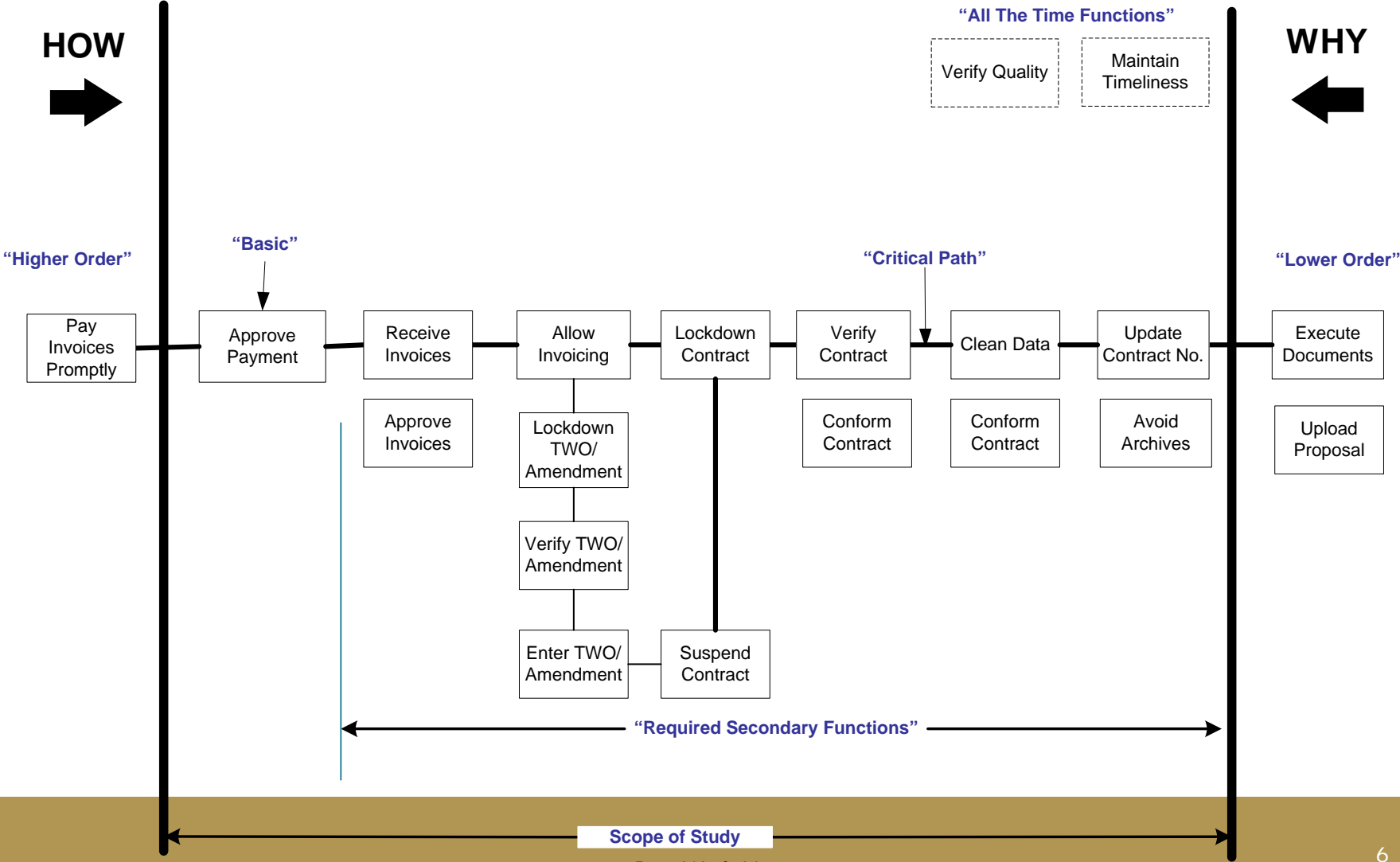
Using the VE Job Plan the objective of the CITS process study is:

- 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

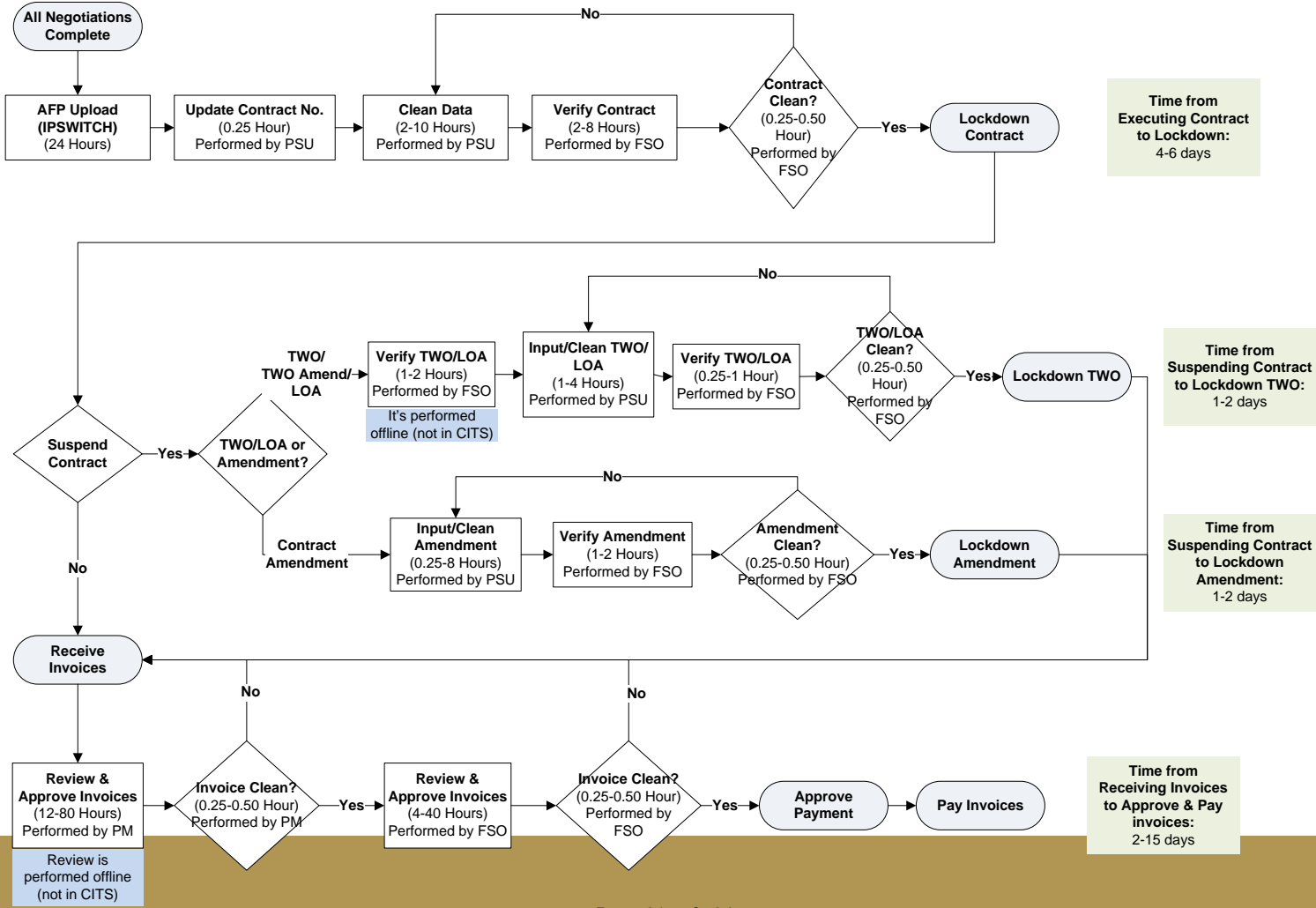


CITS Flow Diagram

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	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

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

- Faster data entry
- Less input errors
- Time efficient
- Less frustration
- Eliminates the IPSWITCH
- Eliminates the AFP upload
- Less stress

Disadvantages

- 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

What system limitations have you observed with CITS?	What additional functionality in CITS be helpful to you (i.e., time savings or efficiencies)?	If this functionality were added, how many hours would this save you annually when invoicing the Department?
Not being able to see contracts when we are not the prime	Being able to see the contracts even if it was a read only	Can't put a measure on it because we just started not be able to see contracts so I don't know what issues are going to come about.
having to clear all entered hours on the schedules in order to change dates on Main Invoice		
Maybe the ability to run reports to see a breakdown of invoices billed to a specific FM number and see the total billed by FM number.	See invoices billed by Task Work Order (TWO) to include the sum of the invoices. Currently we can see the 'total' billed to a TWO.	No sure. We currently track this info in an Excel spreadsheet.
I am new to CITS so really cannot comment on this at this time.	I am new to CITS so really cannot comment on this at this time.	N/A
dates restrictions when an Amendment is added, you have to know that first before invoicing		
Another date issue, a TWO has been loaded, the work is completed and depending on PM, you may have to wait for next billing cycle to invoice.	When there are multiple items in a TWO and you want to invoice all at (for example) 75%, you have to keep going back to the same TWO over and over. Also, if CITS had the TWO's in the same order as Exhibit A when we get the executed TWO from FDOT.	a lot of time and more accurate.
deleting and organizing by task order	balancing	1 hour
Limited hours. If we are working late or on weekends we are unable to prepare invoices in CITS.	It would be helpful if we did not have to zero out an invoice before changing the date. Sometimes a date needs to be adjusted for one reason or another (or a subconsultant invoice date is incorrect) and we have to start from scratch rather than making a minor adjustment which can be very time consuming.	
CITS is down on Sunday	Stay available later in evening during week	100
When remitting, the contract number and invoice number are what's referenced. You have to go to FLAIR to see the actual invoice number.	If we could upload our backup to the CITS invoice, that may be helpful.	I think it would save auditors and the employees who work with auditors many hours per year.
As a company who is a primarily a sub, I liked it so much better with the old contracts and being able to enter our own invoices in to CITS, no worries of rounding or resubmitting for another approval because it came out different for the prime because you could not access CITS. Each firm could enter their own and not be at the mercy of a prime that may have so many subs it is difficult for them to enter all of the invoices in a timely manner and be accurate. I also think it would save the primes time to already have the invoices entered and just review them for submittal. Each sub would be responsible for their own invoices and the accuracy and they have a vested interest to enter it promptly and correctly so it will go through the system smoothly and be paid quickly.	Access as a sub to enter our invoices in to the system. I liked it because I could put a copy of the CITS Invoice Summary with my invoice when billing the prime and sending it in for approval with the FDOT, sort of like a triple check on the numbers.	Several hours

SCHEDULE IV-B FOR SECURE ACCESS MANAGEMENT

For Fiscal Year 2020-21






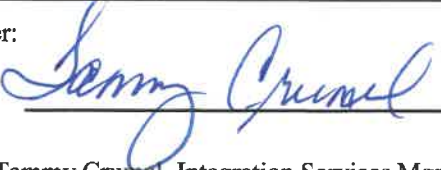
September 16, 2019

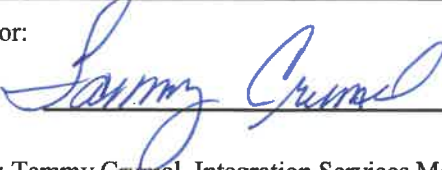
Department of Transportation

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I. Schedule IV-B Cover Sheet

Schedule IV-B Cover Sheet and Agency Project Approval	
Agency: Transportation	Schedule IV-B Submission Date: September 15, 2019
Project Name: Secure Access Management	Is this project included in the Agency's LRPP? _____ Yes <u> x </u> No
FY 2020-21 LBR Issue Code: 36238C0	FY 2020-21 LBR Issue Title: Secure Access Management
Agency Contact for Schedule IV-B (Name, Phone #, and E-mail address): Stephanie Tanner, 850-414-4011, stephanie.tanner@dot.state.fl.us Tammy Crumel, 850-414-4292, tammy.crumel@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: 9/13/19
Printed Name: Kevin Thibault, Secretary of Transportation	
Agency Chief Information Officer (or equivalent): 	Date: 9/13/19
Printed Name: Greg Smiley, Chief Information Officer	
Budget Officer: 	Date: 9/13/19
Printed Name: Mechelle Marcum, Budget Officer	
Planning Officer: 	Date: 9/13/19
Printed Name: Tammy Crumel, Integration Services Mgr.	

Project Sponsor: 	Date: 9/13/19
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 60GG-2 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.
- K. Access Management (AM)
 - a. Provide analytics that monitor and control system accesses based on factors such as job roles, user behavior, and location.
 - b. Provide infrastructure to support Privilege Access Management (PAM) and Multi-Factor Authentication (MFA).
- L. Privileged Access Management (PAM)
 - a. Provide additional security measures on privileged (elevated) accounts, including staff with the ability to manage servers, databases, networking and communications equipment, authentication systems, and environmental services.
 - b. Provide additional security measures on privileged (elevated) accounts, including staff with roles within systems that allow them to complete high-value transactions, such as those dealing with financial or human resource systems.
 - c. Provide additional security measures for service accounts, which are non-human accounts used for communications between systems and databases.
- M. Multi-Factor Authentication (MFA)
 - a. Provide capability for multi-factor authentication for all Department accounts, including network communication infrastructure, VPN and cloud-services (other than Office 365 which already has MFA).

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.
7. The system will provide added security to support the State's Cloud First Initiative.

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.

N. 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. Access Management (AM) Requests
- a. Access Management (AM) system catalogs user behavior to be able to detect anomalies.
 - b. User attempts to access Departmental system.
 - c. AM system looks at factors surrounding the access request (location, role, time, etc)
 - d. AM system allows access or implements additional access controls depending on perceived

- risk (MFA, user questions, etc.)
- P. Privileged Access Management (PAM)
 - a. User with privileged access attempts to access a system.
 - b. PAM system analyzes who and what type of access has been granted to the privileged asset.
 - c. PAM system grants/denies access to the privileged system.
 - d. PAM system logs details of session with privileged system.
 - e. PAM system provides notification for failed access to System Administrators for potential investigation.
 - Q. Multi-Factor Authentication (MFA)
 - a. User Account attempts to access FDOT network resources, such as network login, VPN, or cloud-service accounts.
 - b. MFA solution, using intelligences from an Access Management system, evaluates the situation surrounding the access requests.
 - c. MFA requests additional authentication method.
 - d. MFA system provides notification for failed MFA attempts to System Administrators for potential investigation.

R. Business Solution Alternatives

The Department has chosen SailPoint as its Identity Access Governance solution. Implementation of SailPoint is underway during FY 19-20.

There are several viable Access Management solutions in the current market. Research shows fourteen vendors in Gartner's Magic Quadrant for Access Management vendors (published August 12, 2019). Preliminary research shows several vendors that have functionality in line with the department's business needs. These Access Management vendors often provide, or lay the groundwork, for a variety of vendors in the Privileged Account Management and Multi-Factor Authentication arena.

S. Rationale for Selection

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

T. Recommended Business Solution

The recommended business solutions for Access Management, Privileged Access Management and Multi-Factor Authentication have not been selected. It is anticipated that the solution will be a custom-off-the-shelf product, or software as a service to support the Governor's Cloud First Initiative.

O. 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
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

Success Criteria Table				
#	Description of Criteria	How will the Criteria be measured/ assessed?	Who benefits?	Realization Date (MM/YY)
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
14.	Ability to provide staff and consultants of FDOT with additional security while using cloud and on-premise resources.	Ability to make risk-based decisions before granting access to FDOT resources.	FDOT	06/2021 or 1 month after full implementation
15.	Ability to provide staff and consultant of FDOT with multiple layers of identity confirmation.	Ability to minimize breaching of userids.	FDOT	06/2021 or 1 month after full implementation
16.	Ability to provide staff and consultants of FDOT with privileged access management capabilities.	Ability to minimize breach of privileged accounts.	FDOT	06/2021 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.	06/2021 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.	06/2021 or 1 month after full implementation
		FDOT Information Security Manager	Improved defense against malicious social engineering attacks.	Reduction in security incidents and breaches.	06/2021 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 60GG-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 60GG-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
11.	Ability to provide staff and consultants of FDOT with additional security while using cloud and on-premise resources.	FDOT	Ability to make risk-based decisions before granting access to FDOT resources.	Improved Security Maturity level.	06/2021 or 1 month after full implementation
12.	Ability to provide staff and consultants of FDOT with privileged access management capabilities.	FDOT	Ability to minimize breach of privileged accounts.	Improved Security Maturity level.	06/2021 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	<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

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 60GG-1 F.A.C.

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

There are minimal systems providing Multi-Factor Authentication and Privileged Access Management.

Multi-Factor Authentication is provided for the Department's Office 365 environment. While this provides a much needed level of protection, the Department still needs to implement MFA on the network login accounts, VPN/remote access, and cloud-based accounts.

Privileged Access Management is available only on servers managed by the Division of State Technology through their Centrify system. The remaining servers housed at FDOT will benefit from a privileged access management 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 60GG-2 , 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 60GG-5, 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. The Department puts a priority on finding a Cloud solution to support the Governor's Cloud First Initiative.

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 60GG-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 3)	Complete	6/2017	6/2018
Project Gate: Funding Approved? Yes	Complete	6/2018	6/2018
Project Planning/Formalization	In progress	7/2018	12/2018

Task	Status	Planned Start	Planned Stop
Study (Requirements, Market Scan, Product Selection)	In Progress	8/2018	12/2018
Obtain Funding (Year 2 of 3)	Complete	9/2018	6/2019
Project Gate: Funding Approved? Yes	Complete	6/2019	6/2019
Procurement Activities (Solution)	Complete	1/2019	2/2019
Establish Environment	Complete	2/2019	5/2019
Obtain Funding (Year 3 of 3)	In Progress	3/2019	3/2020
Project Gate: Funding Approved?	Pending Funding	1/2020	7/2020
Product Configuration	In Progress	5/2019	5/2020
Procurement Activities (Staffing/PMO Support, Implementation Services) Year 2 Funding	Complete	5/2019	6/2019
Use Case Confirmation & Testing	In Progress	3/2019	3/2020
IAG Implementation	In Progress	7/2019	5/2020
Procurement Activities: Implementation Services, Tools for Access Management, Privileged Access Management, Multi-Factor Authentication; Staffing	Pending Funding	7/2020	9/2020
Establish Environment(s)	Pending Funding	9/2020	12/2020
Product Configuration	Pending Funding	12/2020	3/2021
Testing	Pending Funding	2/2021	4/2021
Implementation	Pending Funding	4/2021	6/2021

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 60GG-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	<p>Establish organizational change management program</p> <p>Engage stakeholders from various agencies in defining process changes</p>
Change Management, Technology	Perception by various FDOT business units about apparent loss of tailored functionality	<p>Encourage early involvement by key business units</p> <p>Ensure Change Management and Communication Plan emphasizes benefits of enterprise solution</p> <p>Ensure consistent and ongoing senior management support</p>
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>

Inventory of Potential Risks and Response Strategies

Risk Type	Risk Description	Risk Response Strategy and Notes
Fiscal	Less funding than requested is approved for the program effort	<p>Actively engage with stakeholders and policymakers to obtain approval</p> <p>Revisit budgets regularly; economic factors should be on agenda at Steering Committee meetings or executive briefings as appropriate</p> <p>Adjust scope and/or program schedule as necessary based on timing of funding</p>
Project Complexity	Challenges in aligning project schedule with current hosting services or the vendor’s hosting solution	Initiate early discussions with the current hosting provider and/or the vendor hosting team and continue dialogue throughout planning process
Communication	Project delays not resolved in a timely manner	<p>Initiate early discussions</p> <p>Monitor and track resolution</p> <p>Ensure management understands required timeline for resolution and cost/schedule impact of not resolving</p>
Strategic	Desired business benefits not achieved	<p>Adhere to requirements, involve stakeholders and tie scope decisions to performance measures and anticipated benefits to ensure success</p> <p>Incorporate business process training and mentoring into the work plan</p>
Project Organization	Staff not being able to participate when needed or review deliverables within schedule	<p>Utilize a project approach that leverages best practices as a starting point for discussions to better leverage staff time</p> <p>Proactively identify resource constraints and escalate in a timely manor</p> <p>Re-assign some responsibilities of key extended team members</p> <p>Reprioritize some activities assigned to extended team members</p>

Inventory of Potential Risks and Response Strategies		
Risk Type	Risk Description	Risk Response Strategy and Notes
Project Complexity	Project scope too large or complex and/or implementation strategy attempts to implement too much at one time	<p>Establish implementation plan, carefully develop the plan and link it to expected business benefits</p> <p>Link project scope to business benefits</p> <p>Careful review by FDOT Steering Committee of requirements and implementation plan before approving implementation go-ahead</p> <p>Develop scope change process that requires demonstrated link to targeted business benefits and program steering committee approval of any proposed scope changes</p>
Project Organization, Project Management	Availability of FDOT resources (business and technical) to support implementation	<p>Develop detailed estimates of resource requirements as early as possible as part of planning</p> <p>Develop an implementation strategy and work plan that is in sync with availability of FDOT resources</p> <p>Obtain specific commitment of resources from FDOT management prior to start of implementation</p>
Project Complexity, Project Management	Need to provide large number of employees with training on various new application functions	<p>Initiate organizational change management program from start of program</p> <p>Develop training strategy for each project component early and monitor status of training effort closely</p>

Implementation Plan

The Implementation Phase will be defined as the project progresses.

Project Staffing and Continuity

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

VIII. Appendices

Appendix A – Cost Benefit Analysis

Appendix B - Project Risk Assessment

CBAForm 1 - Net Tangible Benefits

Agency <u>Transportation</u>	Project <u>Secure Access Management</u>
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Net Tangible Benefits - Operational Cost Changes (Costs of Current Operations versus Proposed Operations as a Result of the Project) and Additional Tangible Benefits -- CBAForm 1A															
Agency <i>(Recurring Costs Only -- No Project Costs)</i>	FY 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	\$0
A.b Total Staff	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
A-1.a. State FTEs (Salaries & Benefits)	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
A-1.b. State FTEs (#)	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
A-2.a. OPS Staff (Salaries)	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
A-2.b. OPS (#)	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
A-3.a. Staff Augmentation (Contract Cost)	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
A-3.b. Staff Augmentation (# of Contractors)	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
B. Application Maintenance Costs	\$0	\$0	\$0	\$0	\$112,500	\$112,500	\$0	\$739,360	\$739,360	\$0	\$739,360	\$739,360	\$0	\$739,360	\$739,360
B-1. Managed Services (Staffing)	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$177,840	\$177,840	\$0	\$177,840	\$177,840	\$0	\$177,840	\$177,840
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 Yearly Subscription (IAG, AM, PAM,	\$0	\$0	\$0	\$0	\$112,500	\$112,500	\$0	\$561,520	\$561,520	\$0	\$561,520	\$561,520	\$0	\$561,520	\$561,520
C. Data Center Provider Costs	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$50,000	\$50,000	\$0	\$50,000	\$50,000	\$50,000	\$0	\$50,000
C-1. Managed Services (Staffing)	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
C-2. Infrastructure	\$0	\$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 Cloud Infrastructure	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$50,000	\$50,000	\$0	\$50,000	\$50,000	\$50,000	\$0	\$50,000
D. Plant & Facility Costs	\$0	\$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	\$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 Hitachi Password Manager	\$28,000	\$0	\$28,000	\$28,000	\$0	\$28,000	\$28,000	-\$28,000	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Total of Recurring Operational Costs	\$28,000	\$0	\$28,000	\$28,000	\$112,500	\$140,500	\$28,000	\$761,360	\$789,360	\$0	\$789,360	\$789,360	\$50,000	\$739,360	\$789,360
F. Additional Tangible Benefits:		\$0			\$0			\$0			\$0			\$0	
F-1. Specify		\$0			\$0			\$0			\$0			\$0	
F-2. Specify		\$0			\$0			\$0			\$0			\$0	
F-3. Specify		\$0			\$0			\$0			\$0			\$0	
Total Net Tangible Benefits:		\$0			(\$112,500)			(\$761,360)			(\$789,360)			(\$739,360)	

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

Transportation

Secure 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.

Item Description <i>(remove guidelines and annotate entries here)</i>	Project Cost Element	Appropriation Category	Current & Previous Years Project-Related Cost	FY2018-19		FY2019-20		FY2020-21		FY2021-22		FY2022-23		TOTAL				
				\$ -		\$ 1,000,000		\$ 1,013,464		\$ 2,343,733		\$ 1,171,860		\$ 1,171,860		\$ 6,700,917		
				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	\$ -	\$ -	\$ -	\$ -	
Project Manager and Business Analyst (Project Management Office Staff)	Project Management	Contracted Services	\$ -	0.00	\$ -	\$ -	0.00	\$ 400,964	\$ -	0.00	\$ 400,140	\$ -	0.00	\$ -	\$ -	\$ -	\$ 801,104	
IAG/AM Support Staff	Staff Augmentation	Contracted Services						\$ 177,840			\$ 177,840			\$ 177,840			\$ 533,520	
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	\$ -	\$ -	\$ -	\$ -	
Project Implementation Services	Consultants/Contractors	Contracted Services	\$ -	0.00	\$ 300,000	\$ -	0.00	\$ 500,000	\$ -	0.00	\$ 375,000	\$ -	0.00	\$ -	\$ -	\$ -	\$ 1,175,000	
Study/Requirements/Product Selection	Project Planning/Analysis	Contracted Services	\$ -		\$ 250,000	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ 250,000	
Cloud Infrastructure	Other Expenses	Expense	\$ -		\$ -	\$ -		\$ -	\$ -		\$ 50,000	\$ -		\$ 50,000	\$ -		\$ 150,000	
Commercial software purchases and licensing costs for Identity Governance	Commercial Software	Expense	\$ -		\$ 350,000	\$ -		\$ -	\$ -		\$ 377,733	\$ -		\$ -	\$ -		\$ 727,733	
Commercial Software Maintenance - Identity Governance	Commercial Software	Expense						\$ 112,500			\$ 112,500			\$ 112,500			\$ 450,000	
Commercial software purchases and licensing costs for Access Management (Internal Users)	Commercial Software	Expense	\$ -		\$ -	\$ -		\$ -	\$ -		\$ 300,000	\$ -		\$ 300,000	\$ -		\$ 900,000	
Commercial software purchases and licensing costs for Access Management (External Users)	Commercial Software	Expense	\$ -		\$ -	\$ -		\$ -	\$ -		\$ 119,520	\$ -		\$ 119,520	\$ -		\$ 358,560	
Commercial software purchases and licensing costs for Multi Factor Authentication	Commercial Software	Expense	\$ -		\$ -	\$ -		\$ -	\$ -		\$ 37,000	\$ -		\$ 37,000	\$ -		\$ 111,000	
Commercial software purchases and licensing costs for Privileged Access Management	Commercial Software	Expense	\$ -		\$ -	\$ -		\$ -	\$ -		\$ 375,000	\$ -		\$ 375,000	\$ -		\$ 1,125,000	
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	\$ -		\$ -	\$ -		\$ -	\$ -		\$ 19,000	\$ -		\$ -	\$ -		\$ 19,000	
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	\$ 1,013,464	\$ -	0.00	\$ 2,343,733	\$ -	0.00	\$ 1,171,860	\$ -	0.00	\$ 1,171,860	\$ 6,700,917

CBAForm 2 - Project Cost Analysis

Agency	<u>Transportation</u>	Project		<u>Secure Access Management</u>
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PROJECT COST SUMMARY	PROJECT COST SUMMARY (from CBAForm 2A)					TOTAL
	FY 2018-19	FY 2019-20	FY 2020-21	FY 2021-22	FY 2022-23	
TOTAL PROJECT COSTS (*)	\$1,000,000	\$1,013,464	\$2,343,733	\$1,171,860	\$1,171,860	\$6,700,917
CUMULATIVE PROJECT COSTS <i>(includes Current & Previous Years' Project-Related Costs)</i>	\$1,000,000	\$2,013,464	\$4,357,197	\$5,529,057	\$6,700,917	
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

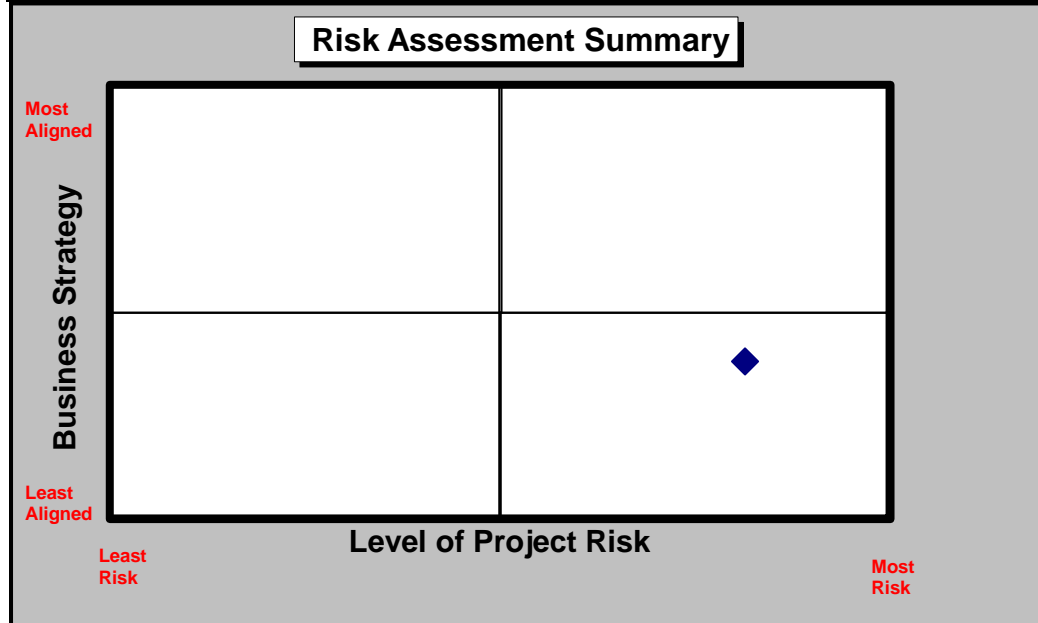
Agency	<u>Transportation</u>	Project	<u>Secure Access Management</u>
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COST BENEFIT ANALYSIS -- CBAForm 3A						
	FY 2018-19	FY 2019-20	FY 2020-21	FY 2021-22	FY 2022-23	TOTAL FOR ALL YEARS
Project Cost	\$1,000,000	\$1,013,464	\$2,343,733	\$1,171,860	\$1,171,860	\$6,700,917
Net Tangible Benefits	\$0	(\$112,500)	(\$761,360)	(\$789,360)	(\$739,360)	(\$2,402,580)
Return on Investment	(\$1,000,000)	(\$1,125,964)	(\$3,105,093)	(\$1,961,220)	(\$1,911,220)	(\$9,103,497)
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)	(\$8,052,698)	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>Secure Access Management</i>	
Agency	<i>Transportation</i>	
FY 2018-19 LBR Issue Code:	<i>36238C0</i>	FY 2018-19 LBR Issue Title:
		<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>9/3/2019</i>



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	MEDIUM
Project Management Assessment	MEDIUM
Project Complexity Assessment	HIGH
Overall Project Risk	HIGH

Agency: Transportation

Project: Secure 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: Secure 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: Secure 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)	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	No
		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	Yes
		No	
4.04	Are all affected stakeholders included in the Communication Plan?	Yes	Yes
		No	
4.05	Have all key messages been developed and documented in the Communication Plan?	Plan does not include key messages	Some key messages have been developed
		Some key messages have been developed	
		All or nearly all messages are documented	
4.06	Have desired message outcomes and success measures been identified in the Communication Plan?	Plan does not include desired messages outcomes and success measures	Plan does not include desired messages outcomes and success measures
		Success measures have been developed for some messages	
		All or nearly all messages have success measures	
4.07	Does the project Communication Plan identify and assign needed staff and resources?	Yes	No
		No	

Agency: Transportation

Project: Secure 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: Secure 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	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	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: Secure 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	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	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	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: Transportation

Project: Secure 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 VI: DETAIL OF DEBT SERVICE

Department: 55 Transportation
Budget Entities: 55100100 - Transportation Systems Development
 55150200 - Highway Operations

Budget Period 2020 - 2021

(1)	(2)	(3)	(4)
	ACTUAL	ESTIMATED	REQUEST
SECTION I	FY 2018-2019	FY 2019-2020	FY 2020-2021
Interest on Debt (A)	97,246,771	131,540,886	172,425,831
Principal (B)	111,065,000	149,300,000	188,700,000
Repayment of Loans (C)	0	0	0
Fiscal Agent or Other Fees (D)	234,336	315,143	385,544
Other Debt Service (E)	0	0	0
Total Debt Service (F)	208,546,107	281,156,029	361,511,375

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, 2020	June 30, 2021
		(7)	(8)	(9)
		ACTUAL	ESTIMATED	REQUEST
		FY 2018-2019	FY 2019-2020	FY 2020-2021
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, 2020	June 30, 2021
		ACTUAL	ESTIMATED	REQUEST
		FY 2018-2019	FY 2019-2020	FY 2020-2021
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 2020 - 2021

(1)	(2)	(3)	(4)
SECTION I	ACTUAL	ESTIMATED	REQUEST
	FY 2018-2019	FY 2019-2020	FY 2020-2021
Interest on Debt (A)	993,500	903,250	808,500
Principal (B)	1,805,000	1,895,000	1,990,000
Repayment of Loans (C)	0	0	0
Fiscal Agent or Other Fees (D)	1,987	1,807	1,617
Other Debt Service (E)	0	0	0
Total Debt Service (F)	2,800,487	2,800,057	2,800,117

Explanation: Total debt service for outstanding 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	ESTIMATED	REQUEST
		FY 2018-2019	FY 2019-2020	FY 2020-2021
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 2018-2019	FY 2019-2020	FY 2020-2021
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 2020 - 2021

(1)	(2)	(3)	(4)
SECTION I	ACTUAL FY 2018-2019	ESTIMATED FY 2019-2020	REQUEST FY 2020-2021
Interest on Debt (A)	993,500	903,250	808,500
Principal (B)	1,805,000	1,895,000	1,990,000
Repayment of Loans (C)	0	0	0
Fiscal Agent or Other Fees (D)	1,987	1,807	1,617
Other Debt Service (E)	0	0	0
Total Debt Service (F)	2,800,487	2,800,057	2,800,117

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 2018-2019	ESTIMATED FY 2019-2020	REQUEST FY 2020-2021		
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 2018-2019	ESTIMATED FY 2019-2020	REQUEST FY 2020-2021		
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 2020 - 2021

(1)	(2)	(3)	(4)
	ACTUAL	ESTIMATED	REQUEST
SECTION I	FY 2018-2019	FY 2019-2020	FY 2020-2021
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	ESTIMATED	REQUEST
		FY 2018-2019	FY 2019-2020	FY 2020-2021
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 2018-2019	FY 2019-2020	FY 2020-2021
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 2020 - 2021

(1) <u>SECTION I</u>	(2) ACTUAL FY 2018-2019	(3) ESTIMATED FY 2019-2020	(4) REQUEST FY 2020-2021
Interest on Debt (A)	5,974,050	5,843,800	5,706,800
Principal (B)	2,605,000	2,740,000	2,875,000
Repayment of Loans (C)	0	0	0
Fiscal Agent or Other Fees (D)	12,270	12,010	11,736
Other Debt Service (E)	0	0	0
Total Debt Service (F)	8,591,320	8,595,810	8,593,536

Explanation:

Combined total debt service for outstanding and proposed Seaport Investment Program 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, 2020	(6) June 30, 2021
		(7) ACTUAL FY 2018-2019	(8) ESTIMATED FY 2019-2020	(9) REQUEST FY 2020-2021
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, 2020	June 30, 2021
		ACTUAL FY 2018-2019	ESTIMATED FY 2019-2020	REQUEST FY 2020-2021
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 2020 - 2021

(1)	(2)	(3)	(4)
<u>SECTION I</u>	ACTUAL FY 2018-2019	ESTIMATED FY 2019-2020	REQUEST FY 2020-2021
Interest on Debt (A)	5,974,050	5,843,800	5,706,800
Principal (B)	2,605,000	2,740,000	2,875,000
Repayment of Loans (C)	0	0	0
Fiscal Agent or Other Fees (D)	12,270	12,010	11,736
Other Debt Service (E)		0	0
Total Debt Service (F)	8,591,320	8,595,810	8,593,536

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, 2020	June 30, 2021
(7)	(8)	(9)		
ACTUAL FY 2018-2019	ESTIMATED FY 2019-2020	REQUEST FY 2020-2021		
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, 2020	June 30, 2021
ACTUAL FY 2018-2019	ESTIMATED FY 2019-2020	REQUEST FY 2020-2021		
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 2020 - 2021

(1)	(2)	(3)	(4)
	ACTUAL	ESTIMATED	REQUEST
	FY 2018-2019	FY 2019-2020	FY 2020-2021
<u>SECTION I</u>			
Interest on Debt	(A) 0	0	0
Principal	(B) 0	0	0
Repayment of Loans	(C) 0	0	0
Fiscal Agent or Other Fees	(D) 0	0	0
Other Debt Service	(E) 0	0	0
Total Debt Service	(F) 0	0	0

Explanation: 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, 2020	June 30, 2021
		(7)	(8)	(9)
		ACTUAL	ESTIMATED	REQUEST
		FY 2018-2019	FY 2019-2020	FY 2020-2021
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, 2020	June 30, 2021
		(7)	(8)	(9)
		ACTUAL	ESTIMATED	REQUEST
		FY 2018-2019	FY 2019-2020	FY 2020-2021
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 2020 - 2021

(1) SECTION I	(2) ACTUAL FY 2018-2019	(3) ESTIMATED FY 2019-2020	(4) REQUEST FY 2020-2021
Interest on Debt (A)	1,167,856	807,856	487,856
Principal (B)	7,200,000	6,400,000	3,560,000
Repayment of Loans (C)	0	0	0
Fiscal Agent or Other Fees (D)	7,217	6,497	5,857
Other Debt Service (E)	0	0	0
Total Debt Service (F)	8,375,073	7,214,353	4,053,713

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, 2020	(6) June 30, 2021
(7) ACTUAL FY 2018-2019	(8) ESTIMATED FY 2019-2020	(9) REQUEST FY 2020-2021		
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) INTEREST RATE	(3) MATURITY DATE	(4) ISSUE AMOUNT	(5) June 30, 2020	(6) June 30, 2021
(7) ACTUAL FY 2018-2019	(8) ESTIMATED FY 2019-2020	(9) REQUEST FY 2020-2021		
Interest on Debt (G)	0	0	0	0
Principal (H)	0	0	0	0
Fiscal Agent or Other Fees (I)	0	0	0	0
Other (J)	0	0	0	0
Total Debt Service (K)	0	0	0	0

SCHEDULE VI: DETAIL OF DEBT SERVICE

Department: 55 Transportation
Budget Entity: 55150200 - Highway Operations

Budget Period 2020 - 2021

(1) <u>SECTION I</u>	(2) ACTUAL FY 2018-2019	(3) ESTIMATED FY 2019-2020	(4) REQUEST FY 2020-2021
Interest on Debt (A)	1,167,856	807,856	487,856
Principal (B)	7,200,000	6,400,000	3,560,000
Repayment of Loans (C)	0	0	0
Fiscal Agent or Other Fees (D)	7,217	6,497	5,857
Other Debt Service (E)	0	0	0
Total Debt Service (F)	8,375,073	7,214,353	4,053,713

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, 2020	(6) June 30, 2021
(7) ACTUAL FY 2018-2019	(8) ESTIMATED FY 2019-2020	(9) REQUEST FY 2020-2021		
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, 2020	June 30, 2021
ACTUAL FY 2018-2019	ESTIMATED FY 2019-2020	REQUEST FY 2020-2021		
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 2020 - 2021

(1) SECTION I	(2) ACTUAL FY 2018-2019	(3) ESTIMATED FY 2019-2020	(4) REQUEST FY 2020-2021
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:** No proposed SIB issuance

(2) INTEREST RATE	(3) MATURITY DATE	(4) ISSUE AMOUNT	(5) June 30, 2020	(6) June 30, 2021
(7) ACTUAL FY 2018-2019	(8) ESTIMATED FY 2019-2020	(9) REQUEST FY 2020-2021		
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) INTEREST RATE	(3) MATURITY DATE	(4) ISSUE AMOUNT	(5) June 30, 2020	(6) June 30, 2021
(7) ACTUAL FY 2018-2019	(8) ESTIMATED FY 2019-2020	(9) REQUEST FY 2020-2021		
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 2020 - 2021

(1) <u>SECTION I</u>	(2) ACTUAL FY 2018-2019	(3) ESTIMATED FY 2019-2020	(4) REQUEST FY 2020-2021
Interest on Debt (A)	0	4,391,023	3,847,750
Principal (B)	0	2,480,000	3,025,000
Repayment of Loans (C)	0	0	0
Fiscal Agent or Other Fees (D)	722	8,416	8,114
Other Debt Service (E)	0	0	0
Total Debt Service (F)	722	6,879,439	6,880,864

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, 2020	(6) June 30, 2021
(7) ACTUAL FY 2018-2019	(8) ESTIMATED FY 2019-2020	(9) REQUEST FY 2020-2021		
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, 2020	(6) June 30, 2021
(7) ACTUAL FY 2018-2019	(8) ESTIMATED FY 2019-2020	(9) REQUEST FY 2020-2021		
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 2020 - 2021

(1) <u>SECTION I</u>	(2) ACTUAL FY 2018-2019	(3) ESTIMATED FY 2019-2020	(4) REQUEST FY 2020-2021
Interest on Debt (A)	0	4,391,023	3,847,750
Principal (B)	0	2,480,000	3,025,000
Repayment of Loans (C)	0	0	0
Fiscal Agent or Other Fees (D)	722	8,416	8,114
Other Debt Service (E)	0	0	0
Total Debt Service (F)	722	6,879,439	6,880,864

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, 2020	(6) June 30, 2021
		(7) ACTUAL FY 2018-2019	(8) ESTIMATED FY 2019-2020	(9) REQUEST FY 2020-2021
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, 2020	June 30, 2021
		ACTUAL FY 2018-2019	ESTIMATED FY 2019-2020	REQUEST FY 2020-2021
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 2020 - 2021

(1) SECTION I	(2) ACTUAL FY 2018-2019	(3) ESTIMATED FY 2019-2020	(4) REQUEST FY 2020-2021
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 issuance for Sunshine Skyway Revenue Bonds.

SECTION II

(1) **ISSUE:**

(2) INTEREST RATE	(3) MATURITY DATE	(4) ISSUE AMOUNT	(5) June 30, 2020	(6) June 30, 2021
		(7) ACTUAL FY 2018-2019	(8) ESTIMATED FY 2019-2020	(9) REQUEST FY 2020-2021
Interest on Debt		(G) 0		
Principal		(H) 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, 2020	June 30, 2021
		ACTUAL FY 2018-2019	ESTIMATED FY 2019-2020	REQUEST FY 2020-2021
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 2020 - 2021

(1)	(2)	(3)	(4)
SECTION I	ACTUAL FY 2018-2019	ESTIMATED FY 2019-2020	REQUEST FY 2020-2021
Interest on Debt (A)	6,284,785	17,086,300	22,335,550
Principal (B)	9,205,000	17,590,000	25,390,000
Repayment of Loans (C)	0	0	0
Fiscal Agent or Other Fees (D)	12,300	34,471	44,969
Other Debt Service (E)	0	0	0
Total Debt Service (F)	15,502,086	34,710,771	47,770,519

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, 2020	June 30, 2021
(7)	(8)	(9)		
ACTUAL FY 2018-2019	ESTIMATED FY 2019-2020	REQUEST FY 2020-2021		
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, 2020	June 30, 2021
ACTUAL FY 2018-2019	ESTIMATED FY 2019-2020	REQUEST FY 2020-2021		
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 2020 - 2021

(1)	(2)	(3)	(4)
SECTION I	ACTUAL FY 2018-2019	ESTIMATED FY 2019-2020	REQUEST FY 2020-2021
Interest on Debt (A)	6,284,785	7,591,050	7,196,050
Principal (B)	9,205,000	7,900,000	8,295,000
Repayment of Loans (C)	0	0	0
Fiscal Agent or Other Fees (D)	12,300	15,480	14,690
Other Debt Service (E)	0	0	0
Total Debt Service (F)	15,502,086	15,506,530	15,505,740

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, 2020	June 30, 2021
(7)	(8)	(9)		
ACTUAL FY 2018-2019	ESTIMATED FY 2019-2020	REQUEST FY 2020-2021		
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, 2020	June 30, 2021
(7)	(8)	(9)		
ACTUAL FY 2018-2019	ESTIMATED FY 2019-2020	REQUEST FY 2020-2021		
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 2020 - 2021

(1)	(2)	(3)	(4)
	ACTUAL	ESTIMATED	REQUEST
SECTION I	FY 2018-2019	FY 2019-2020	FY 2020-2021
Interest on Debt (A)	0	9,495,250	15,139,500
Principal (B)	0	9,690,000	17,095,000
Repayment of Loans (C)	0	0	0
Fiscal Agent or Other Fees (D)	0	18,991	30,279
Other Debt Service (E)	0	0	0
Total Debt Service (F)	0	19,204,241	32,264,779

Explanation: Total debt service for proposed Department of Transportation Financing Corporation Revenue Bonds.

SECTION II

(1) **ISSUE:** Financing Corporation Bond issuance 7/1/2019

(2)	(3)	(4)	(5)	(6)
INTEREST RATE	MATURITY DATE	ISSUE AMOUNT	June 30, 2020	June 30, 2021
5.000%	7/1/2033	189,905,000	180,215,000	170,040,000
		(7)	(8)	(9)
		ACTUAL	ESTIMATED	REQUEST
		FY 2018-2019	FY 2019-2020	FY 2020-2021
Interest on Debt (G)		0	9,495,250	9,010,750
Principal (H)		0	9,690,000	10,175,000
Fiscal Agent or Other Fees (I)		0	18,991	18,022
Other (J)		0	0	0
Total Debt Service (K)		0	19,204,241	19,203,772

(1) **ISSUE:** Proposed Financing Corporation Bond issuance 7/1/2020

(2)	(3)	(4)	(5)	(6)
INTEREST RATE	MATURITY DATE	ISSUE AMOUNT	June 30, 2020	June 30, 2021
5.000%	7/1/2033	122,575,000		115,655,000
		(7)	(8)	(9)
		ACTUAL	ESTIMATED	REQUEST
		FY 2018-2019	FY 2019-2020	FY 2020-2021
Interest on Debt (G)		0	0	6,128,750
Principal (H)		0	0	6,920,000
Fiscal Agent or Other Fees (I)		0	0	12,258
Other (J)		0	0	0
Total Debt Service (K)		0	0	13,061,008

TRUTH-IN-BONDING WORKSHEET

1. A listing of the purpose of the debt or obligation: Florida Department of Transportation Financing Corporation as authorized by Section 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 Section 339.0809(4) Florida Statutes.
3. The principal amount of the debt or obligation: \$122,575,000
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>\$980,600</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 \$122,575,000 of debt or obligation for the purpose of the Florida Department of Transportation Financing Corporation, as authorized by Section 339.0809, Florida Statutes.

This debt or obligation is expected to be repaid over a period of 13 years. At a forecasted interest rate of 5.000%, total interest paid over the life of the debt or obligation will be \$47,061,500.

The proposed issuance date is 7/1/2020.

FINC121M20

Dated: 07/01/2020

FINC121M20

Delivered: 07/01/2020

Sizing Debt Service Schedule

\$122,575,000.00

<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 Rev Int & Prin</i>	<i>Constr. Fund Interest</i>	<i>Net Semi-Annl Dbt Svc</i>	<i>Net Fiscal Dbt Svc</i>
21	1/1/2021				3,064,375.00	3,064,375.00				3,064,375.00	
21	7/1/2021	N	5.000	6,920,000.00	3,064,375.00	9,984,375.00				9,984,375.00	13,048,750.00
22	1/1/2022				2,891,375.00	2,891,375.00				2,891,375.00	
22	7/1/2022	N	5.000	7,265,000.00	2,891,375.00	10,156,375.00				10,156,375.00	13,047,750.00
23	1/1/2023				2,709,750.00	2,709,750.00				2,709,750.00	
23	7/1/2023	N	5.000	7,630,000.00	2,709,750.00	10,339,750.00				10,339,750.00	13,049,500.00
24	1/1/2024				2,519,000.00	2,519,000.00				2,519,000.00	
24	7/1/2024	N	5.000	8,010,000.00	2,519,000.00	10,529,000.00				10,529,000.00	13,048,000.00
25	1/1/2025				2,318,750.00	2,318,750.00				2,318,750.00	
25	7/1/2025	N	5.000	8,410,000.00	2,318,750.00	10,728,750.00				10,728,750.00	13,047,500.00
26	1/1/2026				2,108,500.00	2,108,500.00				2,108,500.00	
26	7/1/2026	N	5.000	8,830,000.00	2,108,500.00	10,938,500.00				10,938,500.00	13,047,000.00
27	1/1/2027				1,887,750.00	1,887,750.00				1,887,750.00	
27	7/1/2027	N	5.000	9,275,000.00	1,887,750.00	11,162,750.00				11,162,750.00	13,050,500.00
28	1/1/2028				1,655,875.00	1,655,875.00				1,655,875.00	
28	7/1/2028	N	5.000	9,735,000.00	1,655,875.00	11,390,875.00				11,390,875.00	13,046,750.00
29	1/1/2029				1,412,500.00	1,412,500.00				1,412,500.00	
29	7/1/2029	N	5.000	10,225,000.00	1,412,500.00	11,637,500.00				11,637,500.00	13,050,000.00
30	1/1/2030				1,156,875.00	1,156,875.00				1,156,875.00	
30	7/1/2030	N	5.000	10,735,000.00	1,156,875.00	11,891,875.00				11,891,875.00	13,048,750.00
31	1/1/2031				888,500.00	888,500.00				888,500.00	
31	7/1/2031	N	5.000	11,270,000.00	888,500.00	12,158,500.00				12,158,500.00	13,047,000.00
32	1/1/2032				606,750.00	606,750.00				606,750.00	
32	7/1/2032	N	5.000	11,840,000.00	606,750.00	12,446,750.00				12,446,750.00	13,053,500.00
33	1/1/2033				310,750.00	310,750.00				310,750.00	
33	7/1/2033	N	5.000	12,430,000.00	310,750.00	12,740,750.00				12,740,750.00	13,051,500.00
				122,575,000.00	47,061,500.00	169,636,500.00	0.00	0.00	0.00	169,636,500.00	169,636,500.00

<i>True Interest Cost (TIC)</i>	5.1323695	<i>Arbitrage Yield Limit (AYL)</i>	5.0000000
<i>Net Interest Cost (NIC)</i>	5.1041828	<i>Arbitrage Net Interest Cost (ANIC)</i>	5.0000000

FINC121M20

Dated: 07/01/2020

FINC121M20

Delivered: 07/01/2020

Summary of Sizing Inputs

\$122,575,000.00

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

07/01/2020-> Dated (bond issue) date
 07/01/2020-> Delivery date
 01/01/2021-> 1st coupon date
 07/01/2021-> First principal payment
 07/01/2033-> Last maturity date
 No CABS in bond issue

Gross Construction Costs

Total project costs	121,318,042.00
Total prior costs	
Net total project costs:	121,318,042.00
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 1,358.00

Costs of Issuance

Underwriter spread: 8.000/\$1,000	-980,600.00
Bond insurance: 0.000% (net of accrued & cap. interest)	
Other TIC costs:	275,000.00

FINC121M20

Dated: 07/01/2020

FINC121M20

Delivered: 07/01/2020

Summary of Sizing Calculations

\$122,575,000.00

<u>Sources of Funds</u>	
Par amount of bonds	122,575,000.00
Original Issue Premium	
Accrued Interest	
<u>Construction Costs</u>	
Costs to complete construction	121,318,042.00
Prior costs to be paid from bond proceeds	
Gross Construction Costs	121,318,042.00
<u>Restricted Funds</u>	
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	1,358.00
<u>Costs of Issuance</u>	
Underwriter spread: 8.000/\$1,000	-980,600.00
Bond insurance: 0.000%	
Other issuance costs	275,000.00
<u>Calculations</u>	
Net Interest Cost (NIC)	5.1041828
True Interest Cost (TIC)	5.1323695
All-Inclusive TIC:	5.1697680
Arbitrage Net Interest Cost (NIC)	5.0000000
Arbitrage Yield Limit (AYL)	5.0000000
Total Bond Years (delivery date)	941,230,000.00
Average Bond Years (Delivery date)	7.68
Level debt service calculation	13,048,828.23

SCHEDULE VI: DETAIL OF DEBT SERVICE

Department: 55 Transportation
Budget Entity: 55100100 - Transportation Systems Development

Budget Period 2020 - 2021

(1)	(2)	(3)	(4)
SECTION I	ACTUAL FY 2018-2019	ESTIMATED FY 2019-2020	REQUEST FY 2020-2021
Interest on Debt (A)	82,826,579	91,282,407	106,281,375
Principal (B)	90,250,000	104,090,000	108,860,000
Repayment of Loans (C)	0	0	0
Fiscal Agent or Other Fees (D)	199,839	229,491	247,336
Other Debt Service (E)	0	0	0
Total Debt Service (F)	173,276,419	195,601,898	215,388,711

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, 2020	June 30, 2021
(7)	(8)	(9)		
ACTUAL FY 2018-2019	ESTIMATED FY 2019-2020	REQUEST FY 2020-2021		
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, 2020	June 30, 2021
(7)	(8)	(9)		
ACTUAL FY 2018-2019	ESTIMATED FY 2019-2020	REQUEST FY 2020-2021		
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 2020 - 2021

(1) SECTION I	(2) ACTUAL FY 2018-2019	(3) ESTIMATED FY 2019-2020	(4) REQUEST FY 2020-2021
Interest on Debt (A)	82,826,579	86,184,657	82,351,375
Principal (B)	90,250,000	96,240,000	101,460,000
Repayment of Loans (C)	0	0	0
Fiscal Agent or Other Fees (D)	199,839	209,100	199,476
Other Debt Service (E)	0	0	0
Total Debt Service (F)	173,276,419	182,633,757	184,010,851

Explanation:

Total debt service requirements for outstanding Right-of-Way Acquisition and Bridge Construction bonds.

SECTION II

(1) ISSUE:

(2) INTEREST RATE	(3) MATURITY DATE	(4) ISSUE AMOUNT	(5) June 30, 2020	(6) June 30, 2021
		(7) ACTUAL FY 2018-2019	(8) ESTIMATED FY 2019-2020	(9) REQUEST FY 2020-2021
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, 2020	June 30, 2021
		ACTUAL FY 2018-2019	ESTIMATED FY 2019-2020	REQUEST FY 2020-2021
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 2020 - 2021

(1) SECTION I	(2) ACTUAL FY 2018-2019	(3) ESTIMATED FY 2019-2020	(4) REQUEST FY 2020-2021
Interest on Debt (A)	0	5,097,750	23,930,000
Principal (B)	0	7,850,000	7,400,000
Repayment of Loans (C)	0	0	0
Fiscal Agent or Other Fees (D)	0	20,391	47,860
Other Debt Service (E)	0	0	0
Total Debt Service (F)	0	12,968,141	31,377,860

Explanation:

**Total debt service for proposed Right-of-Way Acquisition and Bridge
Construction bond sales.**

SECTION II

(1) **ISSUE:** Right-of-Way and Bridge Construction Bond issuance 1/1/2020

(2) INTEREST RATE	(3) MATURITY DATE	(4) ISSUE AMOUNT	(5) June 30, 2020	(6) June 30, 2021
5.000%	7/1/2049	203,910,000	196,060,000	192,915,000
(7) ACTUAL FY 2018-2019	(8) ESTIMATED FY 2019-2020	(9) REQUEST FY 2020-2021		
Interest on Debt (G)	0	5,097,750	9,803,000	
Principal (H)	0	7,850,000	3,145,000	
Fiscal Agent or Other Fees (I)	0	20,391	19,606	
Other (J)	0	0	0	
Total Debt Service (K)	0	12,968,141	12,967,606	

(1) **ISSUE:** Proposed Right-of-Way and Bridge Construction Bond issuance 7/1/2020

(2) INTEREST RATE	(3) MATURITY DATE	(4) ISSUE AMOUNT	(5) June 30, 2020	(6) June 30, 2021
5.000%	7/1/2050	282,540,000	0	278,285,000
(7) ACTUAL FY 2018-2019	(8) ESTIMATED FY 2019-2020	(9) REQUEST FY 2020-2021		
Interest on Debt (G)	0	0	14,127,000	
Principal (H)	0	0	4,255,000	
Fiscal Agent or Other Fees (I)	0	0	28,254	
Other (J)	0	0	0	
Total Debt Service (K)	0	0	18,410,254	

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: \$282,540,000
4. The interest rate on the debt or obligation (per EEC): 5.000%
5. A schedule of annual debt service payments (attached)
6. The method of sale of the debt or obligation, as determined by the Governing Board of the Division of Bond Finance.
7. The costs of issuance of the debt or obligation, including a detailed listing of the amounts of the major costs of issuance:

<u>Underwriter Discount</u>	<u>\$2,260,320</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 \$282,540,000 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 \$268,837,000.

The proposed issuance date is 7/1/2020.

ROW280M21

Dated: 07/01/2020

ROW280M21

Delivered: 07/01/2020

Sizing Debt Service Schedule

\$282,540,000.00

<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>DbtSvcRcv 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	15,120,000.00	1,629,125.00	16,749,125.00				16,749,125.00	18,378,250.00
48	1/1/2048				1,251,125.00	1,251,125.00				1,251,125.00	
48	7/1/2048	N	5.000	15,875,000.00	1,251,125.00	17,126,125.00				17,126,125.00	18,377,250.00
49	1/1/2049				854,250.00	854,250.00				854,250.00	
49	7/1/2049	N	5.000	16,670,000.00	854,250.00	17,524,250.00				17,524,250.00	18,378,500.00
50	1/1/2050				437,500.00	437,500.00				437,500.00	
50	7/1/2050	N	5.000	17,500,000.00	437,500.00	17,937,500.00				17,937,500.00	18,375,000.00
				282,540,000.00	268,837,000.00	551,377,000.00	0.00	0.00	0.00	551,377,000.00	551,377,000.00

<i>True Interest Cost (TIC)</i>	5.0701317	<i>Arbitrage Yield Limit (AYL)</i>	5.0000000
<i>Net Interest Cost (NIC)</i>	5.0420389	<i>Arbitrage Net Interest Cost (ANIC)</i>	5.0000000

ROW280M21

Dated: 07/01/2020

ROW280M21

Delivered: 07/01/2020

Sizing Debt Service Schedule

\$282,540,000.00

Fiscal Yr	Coupon Date	Zer Cpn	Cpn Rate	Maturing Principal	Periodic Interest	Gross Semi-Annl Dbt Svc	Cap Int	Dbt Svc Rev Int & Prin	Constr. Fund Interest	Net Semi-Annl Dbt Svc	Net Fiscal Dbt Svc
21	1/1/2021				7,063,500.00	7,063,500.00				7,063,500.00	
21	7/1/2021	N	5.000	4,255,000.00	7,063,500.00	11,318,500.00				11,318,500.00	18,382,000.00
22	1/1/2022				6,957,125.00	6,957,125.00				6,957,125.00	
22	7/1/2022	N	5.000	4,465,000.00	6,957,125.00	11,422,125.00				11,422,125.00	18,379,250.00
23	1/1/2023				6,845,500.00	6,845,500.00				6,845,500.00	
23	7/1/2023	N	5.000	4,690,000.00	6,845,500.00	11,535,500.00				11,535,500.00	18,381,000.00
24	1/1/2024				6,728,250.00	6,728,250.00				6,728,250.00	
24	7/1/2024	N	5.000	4,925,000.00	6,728,250.00	11,653,250.00				11,653,250.00	18,381,500.00
25	1/1/2025				6,605,125.00	6,605,125.00				6,605,125.00	
25	7/1/2025	N	5.000	5,170,000.00	6,605,125.00	11,775,125.00				11,775,125.00	18,380,250.00
26	1/1/2026				6,475,875.00	6,475,875.00				6,475,875.00	
26	7/1/2026	N	5.000	5,430,000.00	6,475,875.00	11,905,875.00				11,905,875.00	18,381,750.00
27	1/1/2027				6,340,125.00	6,340,125.00				6,340,125.00	
27	7/1/2027	N	5.000	5,700,000.00	6,340,125.00	12,040,125.00				12,040,125.00	18,380,250.00
28	1/1/2028				6,197,625.00	6,197,625.00				6,197,625.00	
28	7/1/2028	N	5.000	5,985,000.00	6,197,625.00	12,182,625.00				12,182,625.00	18,380,250.00
29	1/1/2029				6,048,000.00	6,048,000.00				6,048,000.00	
29	7/1/2029	N	5.000	6,285,000.00	6,048,000.00	12,333,000.00				12,333,000.00	18,381,000.00
30	1/1/2030				5,890,875.00	5,890,875.00				5,890,875.00	
30	7/1/2030	N	5.000	6,595,000.00	5,890,875.00	12,485,875.00				12,485,875.00	18,376,750.00
31	1/1/2031				5,726,000.00	5,726,000.00				5,726,000.00	
31	7/1/2031	N	5.000	6,925,000.00	5,726,000.00	12,651,000.00				12,651,000.00	18,377,000.00
32	1/1/2032				5,552,875.00	5,552,875.00				5,552,875.00	
32	7/1/2032	N	5.000	7,275,000.00	5,552,875.00	12,827,875.00				12,827,875.00	18,380,750.00
33	1/1/2033				5,371,000.00	5,371,000.00				5,371,000.00	
33	7/1/2033	N	5.000	7,635,000.00	5,371,000.00	13,006,000.00				13,006,000.00	18,377,000.00
34	1/1/2034				5,180,125.00	5,180,125.00				5,180,125.00	
34	7/1/2034	N	5.000	8,020,000.00	5,180,125.00	13,200,125.00				13,200,125.00	18,380,250.00
35	1/1/2035				4,979,625.00	4,979,625.00				4,979,625.00	
35	7/1/2035	N	5.000	8,420,000.00	4,979,625.00	13,399,625.00				13,399,625.00	18,379,250.00
36	1/1/2036				4,769,125.00	4,769,125.00				4,769,125.00	
36	7/1/2036	N	5.000	8,840,000.00	4,769,125.00	13,609,125.00				13,609,125.00	18,378,250.00
37	1/1/2037				4,548,125.00	4,548,125.00				4,548,125.00	
37	7/1/2037	N	5.000	9,285,000.00	4,548,125.00	13,833,125.00				13,833,125.00	18,381,250.00
38	1/1/2038				4,316,000.00	4,316,000.00				4,316,000.00	
38	7/1/2038	N	5.000	9,745,000.00	4,316,000.00	14,061,000.00				14,061,000.00	18,377,000.00
39	1/1/2039				4,072,375.00	4,072,375.00				4,072,375.00	
39	7/1/2039	N	5.000	10,235,000.00	4,072,375.00	14,307,375.00				14,307,375.00	18,379,750.00
40	1/1/2040				3,816,500.00	3,816,500.00				3,816,500.00	
40	7/1/2040	N	5.000	10,745,000.00	3,816,500.00	14,561,500.00				14,561,500.00	18,378,000.00
41	1/1/2041				3,547,875.00	3,547,875.00				3,547,875.00	
41	7/1/2041	N	5.000	11,285,000.00	3,547,875.00	14,832,875.00				14,832,875.00	18,380,750.00
42	1/1/2042				3,265,750.00	3,265,750.00				3,265,750.00	
42	7/1/2042	N	5.000	11,850,000.00	3,265,750.00	15,115,750.00				15,115,750.00	18,381,500.00
43	1/1/2043				2,969,500.00	2,969,500.00				2,969,500.00	
43	7/1/2043	N	5.000	12,440,000.00	2,969,500.00	15,409,500.00				15,409,500.00	18,379,000.00
44	1/1/2044				2,658,500.00	2,658,500.00				2,658,500.00	
44	7/1/2044	N	5.000	13,060,000.00	2,658,500.00	15,718,500.00				15,718,500.00	18,377,000.00
45	1/1/2045				2,332,000.00	2,332,000.00				2,332,000.00	
45	7/1/2045	N	5.000	13,715,000.00	2,332,000.00	16,047,000.00				16,047,000.00	18,379,000.00
46	1/1/2046				1,989,125.00	1,989,125.00				1,989,125.00	
46	7/1/2046	N	5.000	14,400,000.00	1,989,125.00	16,389,125.00				16,389,125.00	18,378,250.00
47	1/1/2047				1,629,125.00	1,629,125.00				1,629,125.00	

ROW280M21

Dated: 07/01/2020

ROW280M21

Delivered: 07/01/2020

Summary of Sizing Inputs

\$282,540,000.00

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

07/01/2020-> Dated (bond issue) date
07/01/2020-> Delivery date
01/01/2021-> 1st coupon date
07/01/2021-> First principal payment
07/01/2050-> Last maturity date
No CABS in bond issue

Gross Construction Costs

Total project costs	280,000,000.00
Total prior costs	
Net total project costs:	280,000,000.00
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 4,680.00

Costs of Issuance

Underwriter spread: 8.000/\$1,000	-2,260,320.00
Bond insurance: 0.000% (net of accrued & cap. interest)	
Other TIC costs:	275,000.00

ROW280M21

Dated: 07/01/2020

ROW280M21

Delivered: 07/01/2020

Summary of Sizing Calculations

\$282,540,000.00

<u>Sources of Funds</u>	
Par amount of bonds	282,540,000.00
Original Issue Premium	
Accrued Interest	
<u>Construction Costs</u>	
Costs to complete construction	280,000,000.00
Prior costs to be paid from bond proceeds	
Gross Construction Costs	280,000,000.00
<u>Restricted Funds</u>	
Gross capitalized interest	
Less: Interest earned on Capitalized Interest Fund @ 5.000%	
Net deposit to Capitalized Interest Fund	
<u>Calculations</u>	
Arbitrage Net Interest Cost (NIC)	5.0000000
Arbitrage Yield Limit (AYL)	5.0000000
Total Bond Years (delivery date)	5,376,740,000.00
Average Bond Years (Delivery date)	19.03
Level debt service calculation	18,379,601.45
<u>Restricted Funds</u>	
Net deposit to Debt Service Reserve Fund	
Net deposit to Contingency Fund	4,680.00
<u>Costs of Issuance</u>	
Underwriter spread: 8.000/\$1,000	-2,260,320.00
Bond insurance: 0.000%	
Other issuance costs	275,000.00
<u>Calculations</u>	
Net Interest Cost (NIC)	5.0420389
True Interest Cost (TIC)	5.0701317
All-Inclusive TIC:	5.0787235

SCHEDULE VI: DETAIL OF DEBT SERVICE

Department: 55 Transportation
Budget Entity: 55100100 - Transportation Systems Development

Budget Period 2020 - 2021

(1)	(2)	(3)	(4)
SECTION I	ACTUAL FY 2018-2019	ESTIMATED FY 2019-2020	REQUEST FY 2020-2021
Interest on Debt (A)	0	11,226,250	32,958,000
Principal (B)	0	14,105,000	43,000,000
Repayment of Loans (C)	0	0	0
Fiscal Agent or Other Fees (D)	0	22,453	65,916
Other Debt Service (E)	0	0	0
Total Debt Service (F)	0	25,353,703	76,023,916

Explanation:

Combined total debt service for proposed and outstanding Grant Anticipation Revenue Vehicle (GARVEE) Bonds.

SECTION II

(1) **ISSUE:** _____

(2)	(3)	(4)	(5)	(6)
INTEREST RATE	MATURITY DATE	ISSUE AMOUNT	June 30, 2020	June 30, 2021
(7)	(8)	(9)		
ACTUAL FY 2018-2019	ESTIMATED FY 2019-2020	REQUEST FY 2020-2021		
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, 2020	June 30, 2021
ACTUAL FY 2018-2019	ESTIMATED FY 2019-2020	REQUEST FY 2020-2021		
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 2020 - 2021

(1)	(2)	(3)	(4)
<u>SECTION I</u>	ACTUAL FY 2018-2019	ESTIMATED FY 2019-2020	REQUEST FY 2020-2021
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, 2020	June 30, 2021
(7)	(8)	(9)		
ACTUAL FY 2018-2019	ESTIMATED FY 2019-2020	REQUEST FY 2020-2021		
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, 2020	June 30, 2021
(7)	(8)	(9)		
ACTUAL FY 2018-2019	ESTIMATED FY 2019-2020	REQUEST FY 2020-2021		
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 2020 - 2021

(1)	(2)	(3)	(4)
	ACTUAL	ESTIMATED	REQUEST
SECTION I	FY 2018-2019	FY 2019-2020	FY 2020-2021
Interest on Debt (A)	0	11,226,250	32,958,000
Principal (B)	0	14,105,000	43,000,000
Repayment of Loans (C)	0	0	0
Fiscal Agent or Other Fees (D)	0	22,453	65,916
Other Debt Service (E)	0	0	0
Total Debt Service (F)	0	25,353,703	76,023,916

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:** GARVEE Bond issuance 7/1/2019

(2)	(3)	(4)	(5)	(6)
INTEREST RATE	MATURITY DATE	ISSUE AMOUNT	June 30, 2020	June 30, 2021
5.000%	7/1/2031	224,525,000	210,420,000	195,610,000
		(7)	(8)	(9)
		ACTUAL	ESTIMATED	REQUEST
		FY 2018-2019	FY 2019-2020	FY 2020-2021
Interest on Debt (G)		0	11,226,250	10,521,000
Principal (H)		0	14,105,000	14,810,000
Fiscal Agent or Other Fees (I)		0	22,453	21,042
Other (J)		0	0	0
Total Debt Service (K)		0	25,353,703	25,352,042

(1) **ISSUE:** Proposed GARVEE Bond issuance 7/1/2020

(2)	(3)	(4)	(5)	(6)
INTEREST RATE	MATURITY DATE	ISSUE AMOUNT	June 30, 2020	June 30, 2021
5.000%	7/1/2032	448,740,000	0	420,550,000
		(7)	(8)	(9)
		ACTUAL	ESTIMATED	REQUEST
		FY 2018-2019	FY 2019-2020	FY 2020-2021
Interest on Debt (G)		0	0	22,437,000
Principal (H)		0	0	28,190,000
Fiscal Agent or Other Fees (I)		0	0	44,874
Other (J)		0	0	0
Total Debt Service (K)		0	0	50,671,874

TRUTH-IN-BONDING WORKSHEET

1. A listing of the purpose of the debt or obligation: Grant Anticipation Revenue Vehicle (GARVEE) as authorized by Section 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: \$448,740,000
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>\$3,589,920</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>\$44,874,000</u>

TRUTH-IN-BONDING STATEMENT

The State of Florida is proposing to issue \$448,740,000 of debt or obligation for the purpose of leveraging federal aid highway funds, as authorized by Section 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 \$158,814,000.

The proposed issuance date is 7/1/2020.

GAR400M21

Dated: 07/01/2020

GAR400M21

Delivered: 07/01/2020

Sizing Debt Service Schedule

\$448,740,000.00

<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>DbtSvcRcv Int & Prin</i>	<i>Constr. Fund Interest</i>	<i>Net Semi-Annl Dbt Svc</i>	<i>Net Fiscal Dbt Svc</i>
21	1/1/2021				11,218,500.00	11,218,500.00		1,121,850.00		10,096,650.00	
21	7/1/2021	N	5.000	28,190,000.00	11,218,500.00	39,408,500.00		1,121,850.00		38,286,650.00	48,383,299.99
22	1/1/2022				10,513,750.00	10,513,750.00		1,121,850.00		9,391,900.00	
22	7/1/2022	N	5.000	29,600,000.00	10,513,750.00	40,113,750.00		1,121,850.00		38,991,900.00	48,383,799.99
23	1/1/2023				9,773,750.00	9,773,750.00		1,121,850.00		8,651,900.00	
23	7/1/2023	N	5.000	31,080,000.00	9,773,750.00	40,853,750.00		1,121,850.00		39,731,900.00	48,383,799.99
24	1/1/2024				8,996,750.00	8,996,750.00		1,121,850.00		7,874,900.00	
24	7/1/2024	N	5.000	32,635,000.00	8,996,750.00	41,631,750.00		1,121,850.00		40,509,900.00	48,384,799.99
25	1/1/2025				8,180,875.00	8,180,875.00		1,121,850.00		7,059,025.00	
25	7/1/2025	N	5.000	34,270,000.00	8,180,875.00	42,450,875.00		1,121,850.00		41,329,025.00	48,388,049.99
26	1/1/2026				7,324,125.00	7,324,125.00		1,121,850.00		6,202,275.00	
26	7/1/2026	N	5.000	35,980,000.00	7,324,125.00	43,304,125.00		1,121,850.00		42,182,275.00	48,384,549.99
27	1/1/2027				6,424,625.00	6,424,625.00		1,121,850.00		5,302,775.00	
27	7/1/2027	N	5.000	37,780,000.00	6,424,625.00	44,204,625.00		1,121,850.00		43,082,775.00	48,385,549.99
28	1/1/2028				5,480,125.00	5,480,125.00		1,121,850.00		4,358,275.00	
28	7/1/2028	N	5.000	39,670,000.00	5,480,125.00	45,150,125.00		1,121,850.00		44,028,275.00	48,386,549.99
29	1/1/2029				4,488,375.00	4,488,375.00		1,121,850.00		3,366,525.00	
29	7/1/2029	N	5.000	41,655,000.00	4,488,375.00	46,143,375.00		1,121,850.00		45,021,525.00	48,388,049.99
30	1/1/2030				3,447,000.00	3,447,000.00		1,121,850.00		2,325,150.00	
30	7/1/2030	N	5.000	43,735,000.00	3,447,000.00	47,182,000.00		1,121,850.00		46,060,150.00	48,385,299.99
31	1/1/2031				2,353,625.00	2,353,625.00		1,121,850.00		1,231,775.00	
31	7/1/2031	N	5.000	45,925,000.00	2,353,625.00	48,278,625.00		1,121,850.00		47,156,775.00	48,388,549.99
32	1/1/2032				1,205,500.00	1,205,500.00		1,121,850.00		83,650.00	
32	7/1/2032	N	5.000	48,220,000.00	1,205,500.00	49,425,500.00		45,995,850.18		3,429,649.82	3,513,299.82
				448,740,000.00	158,814,000.00	607,554,000.00	0.00	71,798,400.27	0.00	535,755,599.73	535,755,599.73

<i>True Interest Cost (TIC)</i>	5.1412768	<i>Arbitrage Yield Limit (AYL)</i>	5.0000000
<i>Net Interest Cost (NIC)</i>	5.1130228	<i>Arbitrage Net Interest Cost (ANIC)</i>	5.0000000

GAR400M21

Dated: 07/01/2020

GAR400M21

Delivered: 07/01/2020

Summary of Sizing Inputs

\$448,740,000.00

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

07/01/2020-> Dated (bond issue) date
 07/01/2020-> Delivery date
 01/01/2021-> 1st coupon date
 07/01/2021-> First principal payment
 07/01/2032-> Last maturity date
 No CABS in bond issue

Gross Construction Costs

Total project costs	400,000,000.00
Total prior costs	
Net total project costs:	400,000,000.00
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 44,874,000.17
 Net deposit to Contingency Fund 1,079.82

Costs of Issuance

Underwriter spread: 8.000/\$1,000	-3,589,920.00
Bond insurance: 0.000% (net of accrued & cap. interest)	
Other TIC costs:	275,000.00

GAR400M21

Dated: 07/01/2020

GAR400M21

Delivered: 07/01/2020

Summary of Sizing Calculations

\$448,740,000.00

<u>Sources of Funds</u>	
Par amount of bonds	448,740,000.00
Original Issue Premium	
Accrued Interest	
<u>Construction Costs</u>	
Costs to complete construction	400,000,000.00
Prior costs to be paid from bond proceeds	
Gross Construction Costs	400,000,000.00
<u>Restricted Funds</u>	
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	44,874,000.17
Net deposit to Contingency Fund	1,079.82
<u>Costs of Issuance</u>	
Underwriter spread: 8.000/\$1,000	-3,589,920.00
Bond insurance: 0.000%	
Other issuance costs	275,000.00
<u>Calculations</u>	
Net Interest Cost (NIC)	5.1130228
True Interest Cost (TIC)	5.1412768
All-Inclusive TIC:	5.1521666
Arbitrage Net Interest Cost (NIC)	5.0000000
Arbitrage Yield Limit (AYL)	5.0000000
Total Bond Years (delivery date)	3,176,280,000.00
Average Bond Years (Delivery date)	7.08
Level debt service calculation	50,629,398.72

SCHEDULE VI: DETAIL OF DEBT SERVICE

Department: 55 Transportation

Budget Period 2020 - 2021

Budget Entity: 55180100 - Florida Turnpike Enterprise

(1)	(2)	(3)	(4)
	ACTUAL	ESTIMATED	REQUEST
SECTION I	FY 2018-2019	FY 2019-2020	FY 2020-2021
Interest on Debt (A)	116,031,720	123,520,046	132,489,046
Principal (B)	143,680,000	149,975,000	156,795,000
Repayment of Loans (C)	0	0	0
Fiscal Agent or Other Fees (D)	259,442	298,993	308,910
Other Debt Service (E)	0	0	0
Total Debt Service (F)	259,971,162	273,794,039	289,592,956

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, 2020	June 30, 2021
		(7)	(8)	(9)
		ACTUAL	ESTIMATED	REQUEST
		FY 2018-2019	FY 2019-2020	FY 2020-2021
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, 2020	June 30, 2021
		ACTUAL	ESTIMATED	REQUEST
		FY 2018-2019	FY 2019-2020	FY 2020-2021
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 2020 - 2021

(1)	(2)	(3)	(4)
SECTION I	ACTUAL FY 2018-2019	ESTIMATED FY 2019-2020	REQUEST FY 2020-2021
Interest on Debt (A)	116,031,720	113,280,921	106,570,921
Principal (B)	143,680,000	134,200,000	140,880,000
Repayment of Loans (C)	0	0	0
Fiscal Agent or Other Fees (D)	259,442	258,037	244,617
Other Debt Service (E)			
Total Debt Service (F)	259,971,162	247,738,958	247,695,538

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, 2020	June 30, 2021
(7)	(8)	(9)		
ACTUAL FY 2018-2019	ESTIMATED FY 2019-2020	REQUEST FY 2020-2021		
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, 2020	June 30, 2021
(7)	(8)	(9)		
ACTUAL FY 2018-2019	ESTIMATED FY 2019-2020	REQUEST FY 2020-2021		
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 2020 - 2021

(1)	(2)	(3)	(4)
SECTION I	ACTUAL FY 2018-2019	ESTIMATED FY 2019-2020	REQUEST FY 2020-2021
Interest on Debt (A)	0	10,239,125	25,918,125
Principal (B)	0	15,775,000	15,915,000
Repayment of Loans (C)	0	0	0
Fiscal Agent or Other Fees (D)	0	40,957	64,294
Other Debt Service (E)	0	0	0
Total Debt Service (F)	0	26,055,082	41,897,419

Explanation:

Debt service for proposed Florida Turnpike bonds.
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, 2020	June 30, 2021
5.000%	7/1/2049	409,565,000	393,790,000	387,470,000
		(7)	(8)	(9)
		ACTUAL FY 2018-2019	ESTIMATED FY 2019-2020	REQUEST FY 2020-2021
Interest on Debt (G)		0	10,239,125	19,689,500
Principal (H)		0	15,775,000	6,320,000
Fiscal Agent or Other Fees (I)		0	40,957	39,379
Other (J)		0	0	0
Total Debt Service (K)		0	26,055,082	26,048,879

(1) **ISSUE:** Proposed Turnpike Bond Sale 1/1/2021

(2)	(3)	(4)	(5)	(6)
INTEREST RATE	MATURITY DATE	ISSUE AMOUNT	June 30, 2020	June 30, 2021
5.000%	7/1/2050	249,145,000		239,550,000
		(7)	(8)	(9)
		ACTUAL FY 2018-2019	ESTIMATED FY 2019-2020	REQUEST FY 2020-2021
Interest on Debt (G)		0	0	6,228,625
Principal (H)		0	0	9,595,000
Fiscal Agent or Other Fees (I)		0	0	24,915
Other (J)		0	0	0
Total Debt Service (K)		0	0	15,848,540

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: \$249,145,000
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>\$1,993,160</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>\$15,823,625</u>

TRUTH-IN-BONDING STATEMENT

The State of Florida is proposing to issue \$249,145,000 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 \$225,488,125.

The proposed issuance date is 1/1/2021.

TPK231M21

Dated: 01/01/2021

TPK231M21

Delivered: 01/01/2021

Sizing Debt Service Schedule

\$249,145,000.00

<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 Rev Int & Prin</i>	<i>Constr. Fund Interest</i>	<i>Net Semi-Annl Dbt Svc</i>	<i>Net Fiscal Dbt Svc</i>
48	1/1/2048				1,077,125.00	1,077,125.00		395,590.62		681,534.38	
48	7/1/2048	N	5.000	13,665,000.00	1,077,125.00	14,742,125.00		395,590.62		14,346,534.38	15,028,068.75
49	1/1/2049				735,500.00	735,500.00		395,590.62		339,909.38	
49	7/1/2049	N	5.000	14,350,000.00	735,500.00	15,085,500.00		395,590.62		14,689,909.38	15,029,818.75
50	1/1/2050				376,750.00	376,750.00		395,590.62		-18,840.62	
50	7/1/2050	N	5.000	15,070,000.00	376,750.00	15,446,750.00		16,219,215.63		-772,465.62	-791,306.25
				249,145,000.00	225,488,125.00	474,633,125.00	0.00	39,163,471.87	0.00	435,469,653.13	435,469,653.13

<i>True Interest Cost (TIC)</i>	5.0731356	<i>Arbitrage Yield Limit (AYL)</i>	5.0000000
<i>Net Interest Cost (NIC)</i>	5.0441966	<i>Arbitrage Net Interest Cost (ANIC)</i>	5.0000000

TPK231M21

Dated: 01/01/2021

TPK231M21

Delivered: 01/01/2021

Sizing Debt Service Schedule

\$249,145,000.00

<i>Fiscal</i> <i>Yr</i>	<i>Coupon</i> <i>Date</i>	<i>Zer</i> <i>Cpn</i>	<i>Cpn</i> <i>Rate</i>	<i>Maturing</i> <i>Principal</i>	<i>Periodic</i> <i>Interest</i>	<i>Gross Semi-</i> <i>Annl Dbt Svc</i>	<i>Cap</i> <i>Int</i>	<i>DbtSvcRcv</i> <i>Int & Prin</i>	<i>Constr. Fund</i> <i>Interest</i>	<i>Net Semi-</i> <i>Annl Dbt Svc</i>	<i>Net Fiscal</i> <i>Dbt Svc</i>
21	7/1/2021	N	5.000	9,595,000.00	6,228,625.00	15,823,625.00		395,590.62		15,428,034.37	15,428,034.37
22	1/1/2022				5,988,750.00	5,988,750.00		395,590.62		5,593,159.37	
22	7/1/2022	N	5.000	3,845,000.00	5,988,750.00	9,833,750.00		395,590.62		9,438,159.37	15,031,318.75
23	1/1/2023				5,892,625.00	5,892,625.00		395,590.62		5,497,034.38	
23	7/1/2023	N	5.000	4,035,000.00	5,892,625.00	9,927,625.00		395,590.62		9,532,034.38	15,029,068.75
24	1/1/2024				5,791,750.00	5,791,750.00		395,590.62		5,396,159.38	
24	7/1/2024	N	5.000	4,240,000.00	5,791,750.00	10,031,750.00		395,590.62		9,636,159.38	15,032,318.75
25	1/1/2025				5,685,750.00	5,685,750.00		395,590.62		5,290,159.38	
25	7/1/2025	N	5.000	4,450,000.00	5,685,750.00	10,135,750.00		395,590.62		9,740,159.38	15,030,318.75
26	1/1/2026				5,574,500.00	5,574,500.00		395,590.62		5,178,909.38	
26	7/1/2026	N	5.000	4,670,000.00	5,574,500.00	10,244,500.00		395,590.62		9,848,909.38	15,027,818.75
27	1/1/2027				5,457,750.00	5,457,750.00		395,590.62		5,062,159.38	
27	7/1/2027	N	5.000	4,905,000.00	5,457,750.00	10,362,750.00		395,590.62		9,967,159.38	15,029,318.75
28	1/1/2028				5,335,125.00	5,335,125.00		395,590.62		4,939,534.38	
28	7/1/2028	N	5.000	5,150,000.00	5,335,125.00	10,485,125.00		395,590.62		10,089,534.38	15,029,068.75
29	1/1/2029				5,206,375.00	5,206,375.00		395,590.62		4,810,784.38	
29	7/1/2029	N	5.000	5,410,000.00	5,206,375.00	10,616,375.00		395,590.62		10,220,784.38	15,031,568.75
30	1/1/2030				5,071,125.00	5,071,125.00		395,590.62		4,675,534.38	
30	7/1/2030	N	5.000	5,680,000.00	5,071,125.00	10,751,125.00		395,590.62		10,355,534.38	15,031,068.75
31	1/1/2031				4,929,125.00	4,929,125.00		395,590.62		4,533,534.38	
31	7/1/2031	N	5.000	5,965,000.00	4,929,125.00	10,894,125.00		395,590.62		10,498,534.38	15,032,068.75
32	1/1/2032				4,780,000.00	4,780,000.00		395,590.62		4,384,409.38	
32	7/1/2032	N	5.000	6,260,000.00	4,780,000.00	11,040,000.00		395,590.62		10,644,409.38	15,028,818.75
33	1/1/2033				4,623,500.00	4,623,500.00		395,590.62		4,227,909.38	
33	7/1/2033	N	5.000	6,575,000.00	4,623,500.00	11,198,500.00		395,590.62		10,802,909.38	15,030,818.75
34	1/1/2034				4,459,125.00	4,459,125.00		395,590.62		4,063,534.38	
34	7/1/2034	N	5.000	6,905,000.00	4,459,125.00	11,364,125.00		395,590.62		10,968,534.38	15,032,068.75
35	1/1/2035				4,286,500.00	4,286,500.00		395,590.62		3,890,909.38	
35	7/1/2035	N	5.000	7,250,000.00	4,286,500.00	11,536,500.00		395,590.62		11,140,909.38	15,031,818.75
36	1/1/2036				4,105,250.00	4,105,250.00		395,590.62		3,709,659.38	
36	7/1/2036	N	5.000	7,610,000.00	4,105,250.00	11,715,250.00		395,590.62		11,319,659.38	15,029,318.75
37	1/1/2037				3,915,000.00	3,915,000.00		395,590.62		3,519,409.38	
37	7/1/2037	N	5.000	7,990,000.00	3,915,000.00	11,905,000.00		395,590.62		11,509,409.38	15,028,818.75
38	1/1/2038				3,715,250.00	3,715,250.00		395,590.62		3,319,659.38	
38	7/1/2038	N	5.000	8,390,000.00	3,715,250.00	12,105,250.00		395,590.62		11,709,659.38	15,029,318.75
39	1/1/2039				3,505,500.00	3,505,500.00		395,590.62		3,109,909.38	
39	7/1/2039	N	5.000	8,810,000.00	3,505,500.00	12,315,500.00		395,590.62		11,919,909.38	15,029,818.75
40	1/1/2040				3,285,250.00	3,285,250.00		395,590.62		2,889,659.38	
40	7/1/2040	N	5.000	9,250,000.00	3,285,250.00	12,535,250.00		395,590.62		12,139,659.38	15,029,318.75
41	1/1/2041				3,054,000.00	3,054,000.00		395,590.62		2,658,409.38	
41	7/1/2041	N	5.000	9,715,000.00	3,054,000.00	12,769,000.00		395,590.62		12,373,409.38	15,031,818.75
42	1/1/2042				2,811,125.00	2,811,125.00		395,590.62		2,415,534.38	
42	7/1/2042	N	5.000	10,200,000.00	2,811,125.00	13,011,125.00		395,590.62		12,615,534.38	15,031,068.75
43	1/1/2043				2,556,125.00	2,556,125.00		395,590.62		2,160,534.38	
43	7/1/2043	N	5.000	10,705,000.00	2,556,125.00	13,261,125.00		395,590.62		12,865,534.38	15,026,068.75
44	1/1/2044				2,288,500.00	2,288,500.00		395,590.62		1,892,909.38	
44	7/1/2044	N	5.000	11,240,000.00	2,288,500.00	13,528,500.00		395,590.62		13,132,909.38	15,025,818.75
45	1/1/2045				2,007,500.00	2,007,500.00		395,590.62		1,611,909.38	
45	7/1/2045	N	5.000	11,805,000.00	2,007,500.00	13,812,500.00		395,590.62		13,416,909.38	15,028,818.75
46	1/1/2046				1,712,375.00	1,712,375.00		395,590.62		1,316,784.38	
46	7/1/2046	N	5.000	12,395,000.00	1,712,375.00	14,107,375.00		395,590.62		13,711,784.38	15,028,568.75
47	1/1/2047				1,402,500.00	1,402,500.00		395,590.62		1,006,909.38	
47	7/1/2047	N	5.000	13,015,000.00	1,402,500.00	14,417,500.00		395,590.62		14,021,909.38	15,028,818.75

TPK231M21

Dated: 01/01/2021

TPK231M21

Delivered: 01/01/2021

Summary of Sizing Inputs

\$249,145,000.00

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

01/01/2021-> Dated (bond issue) date
01/01/2021-> Delivery date
07/01/2021-> 1st coupon date
07/01/2021-> First principal payment
07/01/2050-> Last maturity date
No CABS in bond issue

Gross Construction Costs

Total project costs	231,050,000.00
Total prior costs	
Net total project costs:	231,050,000.00
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 15,823,625.00
Net deposit to Contingency Fund 3,194.98

Costs of Issuance

Underwriter spread: 8.000/\$1,000	-1,993,160.00
Bond insurance: 0.000% (net of accrued & cap. interest)	
Other TIC costs:	275,000.00

TPK231M21

Dated: 01/01/2021

TPK231M21

Delivered: 01/01/2021

Summary of Sizing Calculations

\$249,145,000.00

<u>Sources of Funds</u>	
Par amount of bonds	249,145,000.00
Original Issue Premium	
Accrued Interest	
<u>Construction Costs</u>	
Costs to complete construction	231,050,000.00
Prior costs to be paid from bond proceeds	
Gross Construction Costs	231,050,000.00
<u>Restricted Funds</u>	
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	15,823,625.00
Net deposit to Contingency Fund	3,194.98
<u>Costs of Issuance</u>	
Underwriter spread: 8.000/\$1,000	-1,993,160.00
Bond insurance: 0.000%	
Other issuance costs	275,000.00
Rounding due to denomination size	20.02
<u>Calculations</u>	
Net Interest Cost (NIC)	5.0441966
True Interest Cost (TIC)	5.0731356
All-Inclusive TIC:	5.0832994
Arbitrage Net Interest Cost (NIC)	5.0000000
Arbitrage Yield Limit (AYL)	5.0000000
Total Bond Years (delivery date)	4,509,762,500.00
Average Bond Years (Delivery date)	18.10
Level debt service calculation	15,821,142.61

SCHEDULE IX: MAJOR AUDIT FINDINGS AND RECOMMENDATIONS

Budget Period: 2020-2021

Department: Transportation

Chief Internal Auditor: Kris Sullivan

Budget Entity: Transportation Systems Development

Phone Number: 850-410-5506

(1) REPORT NUMBER	(2) PERIOD ENDING	(3) UNIT/AREA	(4) SUMMARY OF FINDINGS AND RECOMMENDATIONS	(5) SUMMARY OF CORRECTIVE ACTION TAKEN	(6) ISSUE CODE
			Not Applicable		

Fiscal Year 2020-21 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, A94, A95, A96, A36, A10, IA1, IA5, IA6, IP1, IV1, IV3 and NV1 set to TRANSFER CONTROL for DISPLAY status and MANAGEMENT CONTROL for UPDATE status for both the Budget and Trust Fund columns (no trust fund files for narrative columns)? Is Column A02 set to TRANSFER CONTROL for DISPLAY status and MANAGEMENT CONTROL for UPDATE status for the Trust Fund Files (the Budget Files should already be on TRANSFER CONTROL for DISPLAY and MANAGEMENT CONTROL for UPDATE)? Are Columns A06, A07, A08 and A09 for Fixed Capital Outlay (FCO) set to TRANSFER CONTROL for DISPLAY status only (UPDATE status remains on OWNER)? (CSDI 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? (CSDI)	Y	Y	Y	Y	Y	Y

AUDITS:

1.3 Has Column A03 been copied to Column A12? Run the Exhibit B Audit Comparison Report to verify. (EXBR, EXBA)	Y	Y	Y	Y	Y	Y
1.4 Has Column A12 security been set correctly to 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 58 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 28)? 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
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AUDITS:

Action	Program or Service (Budget Entity Codes)					
	55100100	55100500	55102000	55105000	55106000	55180100
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.						
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 61 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.						

Action		Program or Service (Budget Entity Codes)					
		55100100	55100500	55150200	55150500	55150600	55180100
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 2018-19 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 28 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 66 through 68 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 68 through 70 of the LBR Instructions?	Y	N/A	N/A	Y	Y	N/A
7.4	Are all issues with an IT component identified with a "Y" in the "IT COMPONENT?" field? If the issue contains an IT component, has that component been identified and documented?	Y	N/A	N/A	Y	Y	N/A
7.5	Does the issue narrative explain any variances from the Standard Expense and Human Resource Services Assessments package? Is the nonrecurring portion in the nonrecurring column? (See pages E.4 through E.6 of the LBR Instructions.)	N/A	N/A	N/A	N/A	N/A	N/A
7.6	Does the salary rate request amount accurately reflect any new requests and are the amounts proportionate to the Salaries and Benefits request? Note: Salary rate should always be annualized.	N/A	Y	N/A	N/A	N/A	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 94 and 95 of the LBR Instructions.)	Y	Y	N/A	N/A	N/A	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 #20-002?	Y	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

Action	Program or Service (Budget Entity Codes)					
	55100100	55100500	55150200	55150500	55150600	55180100
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.	Y	N/A	Y	Y	Y	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 27 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, 24010C0, 30010C0, 33011C0, 160E470, or 160E480)?	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)	FDOT does not have GR. However, there is a 160XXXX issue in 55100100 in the Trust Funds for the M-CORES issue. All other Budget Entities are 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 to zero at the department level for the Trust Funds.					
7.22 Does the General Revenue for 200XXXX (Estimated Expenditures Realignment) issues net to zero? (GENR, LBR3)						
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.						

Action	Program or Service (Budget Entity Codes)					
	\$5100100	\$5100500	\$5102000	\$5105000	\$5106000	\$5180100

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 66 through 70 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 2019-20 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
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, 001270, 001870, 001970)?	Y
8.10	Are the statutory authority references correct?	Y

Action	Program or Service (Budget Entity Codes)					
	\$5100100	\$5100500	\$5150200	\$5150500	\$5150600	\$5180100
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		

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 159 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 92 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 95 of the LBR Instructions for appropriate use of the OAD transaction.) Use OADI or OADR to identify agency other salary amounts requested.	Y	Y	N/A	N/A	N/A	N/A
11. SCHEDULE IV (EADR, SC4)						
11.1 Are the correct Information Technology (IT) issue codes used?	Y	N/A	N/A	Y	Y	N/A
TIP If IT issues are not coded (with "C" in 6th position or within a program component of 1603000000), they will not appear in the Schedule IV.						
12. SCHEDULE VIIIA (EADR, SC8A)						
12.1 Is there only one #1 priority, one #2 priority, one #3 priority, etc. reported on the Schedule VIII-A? Are the priority narrative explanations adequate? Note: FCO issues can be included in the priority listing.	Y	Y	Y	Y	Y	Y
13. SCHEDULE VIIIB-1 (EADR, S8B1)						
13.1 NOT REQUIRED FOR THIS YEAR	N/A	N/A	N/A	N/A	N/A	N/A
14. SCHEDULE VIIIB-2 (EADR, S8B2) (Required to be posted to the Florida Fiscal Portal)						

Action	Program or Service (Budget Entity Codes)					
	55100100	55100500	55150200	55150500	55150600	55180100
14.1 Do the reductions comply with the instructions provided on pages 101 through 103 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
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 VIII C (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 FY2020-21.					
15.2 Are the priority narrative explanations adequate and do they follow the guidelines on pages 104-106 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)	Y					
16. SCHEDULE XI (UCSR, SCXI) (LAS/PBS Web - see pages 107-111 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 2018-19 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

Action	Program or Service (Budget Entity Codes)					
	55100100	55100500	55150200	55150500	55150600	55180100
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 112 through 156 of the LBR Instructions), and are they accurate and complete?				Y		
17.2 Does manual exhibits tie to LAS/PBS where applicable?				Y		
17.3 Are agency organization charts (Schedule X) provided and at the appropriate level of detail?				Y		
17.4 Does the LBR include a separate Schedule IV-B for each IT project over \$1 million (see page 132 of the LBR instructions for exceptions to this rule)? Have all IV-Bs been emailed to: IT@LASPBS.STATE.FL.US?				Y		
17.5 Are all forms relating to Fixed Capital Outlay (FCO) funding requests submitted in the proper form, including a Truth in Bonding statement (if applicable) ?				Y		
AUDITS - GENERAL INFORMATION						
TIP Review <i>Section 6: Audits</i> of the LBR Instructions (pages 158-160) 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		