

# Supreme Court of Florida

500 South Duval Street  
Tallahassee, Florida 32399-1925

CHARLES T. CANADY  
CHIEF JUSTICE  
RICKY POLSTON  
JORGE LABARGA  
C. ALAN LAWSON  
CARLOS G. MUÑIZ  
JOHN D. COURIEL  
JAMIE R. GROSSHANS  
JUSTICES

JOHN A. TOMASINO  
CLERK OF COURT

SILVESTER DAWSON  
MARSHAL

September 15, 2021

Mr. Chris Spencer, Director  
Office of Policy and Budget  
Executive Office of the Governor  
1701 The Capitol  
Tallahassee, Florida 32399-0001

Mr. Eric Pridgeon, Staff Director  
House Appropriations Committee  
The Florida House of Representatives  
221 The Capitol  
Tallahassee, Florida 32399-1300

Mr. Tim Sadberry, Staff Director  
Senate Committee on Appropriations  
The Florida Senate  
201 The Capitol  
Tallahassee, Florida 32399-1300


Dear Directors:

Pursuant to Chapter 216, Florida Statutes, the Judicial Branch Legislative Budget Request has been submitted in the format prescribed in the Legislative Budget Request Instructions for Fiscal Year 2022-23. Please contact Sharon Bosley, Budget Chief

Legislative Budget Request  
September 15, 2021  
Page 2

for the Office of the State Courts Administrator, at  
bosleys@flcourts.org or 850-410-1484 if you have any questions.

Sincerely,

  
Charles T. Canady

CTC:jem

cc: Elisabeth H. Kiel  
Ali Sackett  
Katie Cunningham  
Sharon Bosley

Department Level  
Exhibits and Schedules

## Schedule VII: Agency Litigation Inventory

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

<b>Agency:</b>	<b>OFFICE OF THE STATE COURTS ADMINISTRATOR</b>		
<b>Contact Person:</b>	Erica White	<b>Phone Number:</b>	850-488-1824
<b>Names of the Case: (If no case name, list the names of the plaintiff and defendant.)</b>			
<b>Court with Jurisdiction:</b>			
<b>Case Number:</b>			
<b>Summary of the Complaint:</b>			
<b>Amount of the Claim:</b>	\$		
<b>Specific Statutes or Laws (including GAA) Challenged:</b>			
<b>Status of the Case:</b>			
<b>Who is representing (of record) the state in this lawsuit? Check all that apply.</b>		Agency Counsel	
		Office of the Attorney General or Division of Risk Management	
		Outside Contract Counsel	
<b>If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).</b>			

**Schedule VIII - A**  
**Priority Listing of Agency Budget Issues**

**Supreme Court - 22010100**

<b>Issue Title</b>	<b>Issue Code</b>	<b>FTE</b>	<b>Amount</b>	<b>Fund</b>	<b>Priority</b>
Supreme Court Fellows Program	4200100	1	591,965	1000	1

**Schedule VIII - A**  
**Priority Listing of Agency Budget Issues**

**Executive Direction - 22010200**

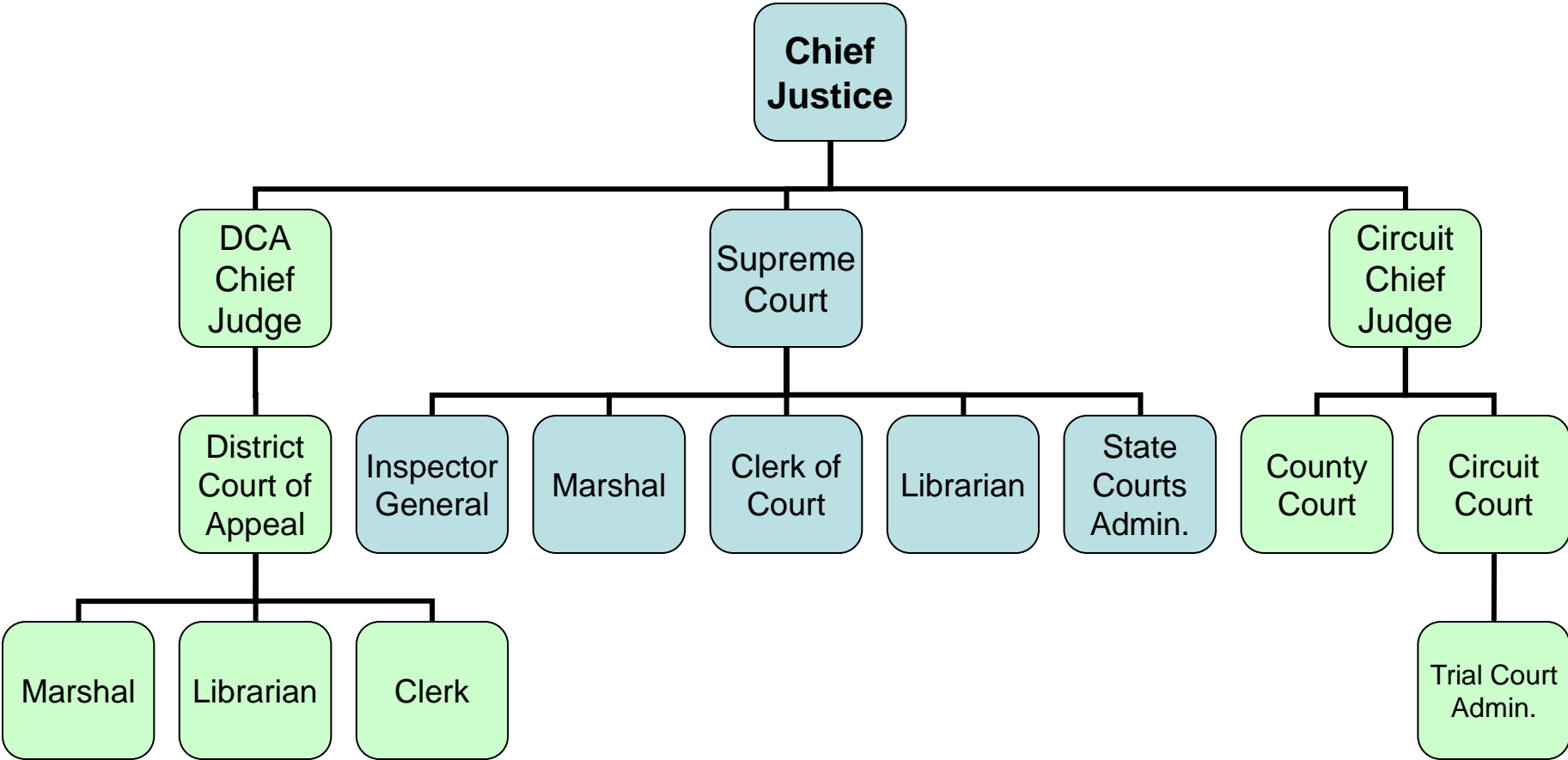
<b>Issue Title</b>	<b>Issue Code</b>	<b>FTE</b>	<b>Amount</b>	<b>Fund</b>	<b>Priority</b>
Appellate Case Management Solution	36320C0	0.00	4,509,816	1000	1
Court Operations Support	3003015	2.00	201,233	1000	2
Problem-Solving Court Support	3000135	1.00	147,625	1000	3

**Schedule VIII - A**  
**Priority Listing of Agency Budget Issues**

**Circuit Courts - 22300100**

<b>Issue Title</b>	<b>Issue Code</b>	<b>FTE</b>	<b>Amount</b>	<b>Fund</b>	<b>Priority</b>
Trial Courts Pandemic Recovery Plan	3001020	0.00	10,039,982	1000	1
Support for Post-Pandemic Proceedings	3003020	65.00	10,863,932	1000	2
Courthouse Furnishings-Nonpublic Areas	5402000	0.00	943,825	1000	3
Replacement Courthouse Furnishings-Nonpublic Areas	5402020	0.00	2,136,130	1000	4

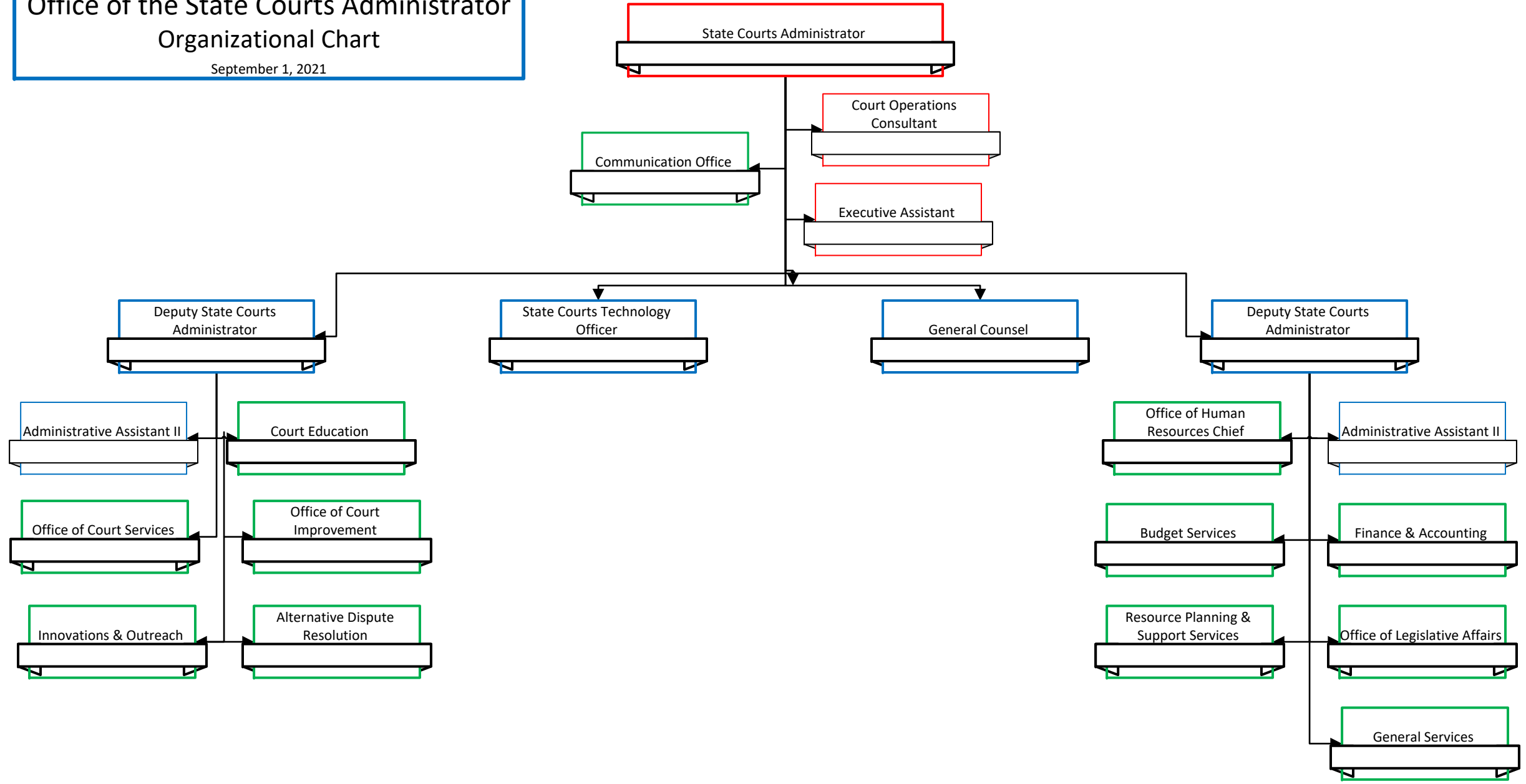
# FLORIDA STATE COURTS SYSTEM



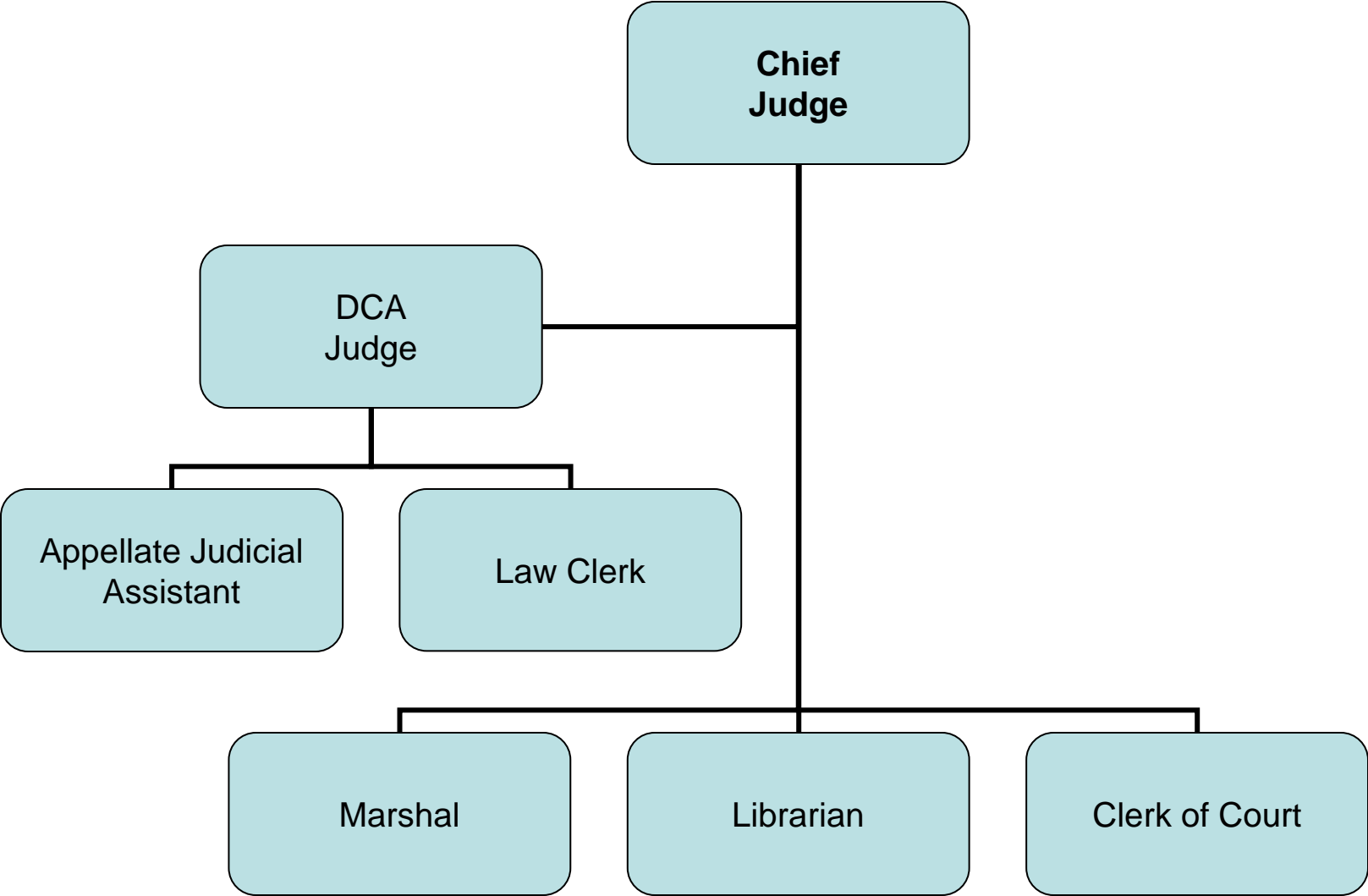


# Office of the State Courts Administrator Organizational Chart

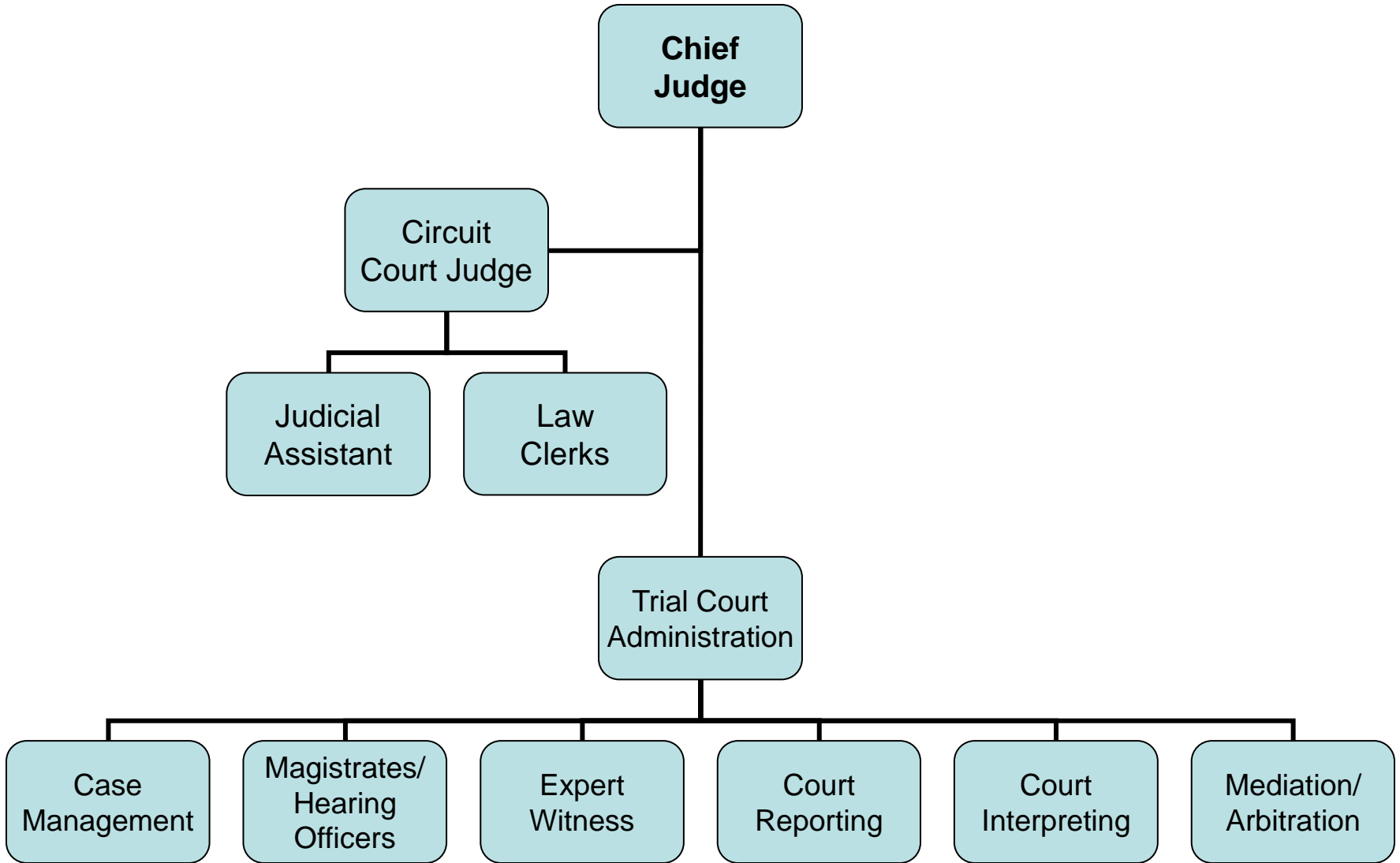
September 1, 2021



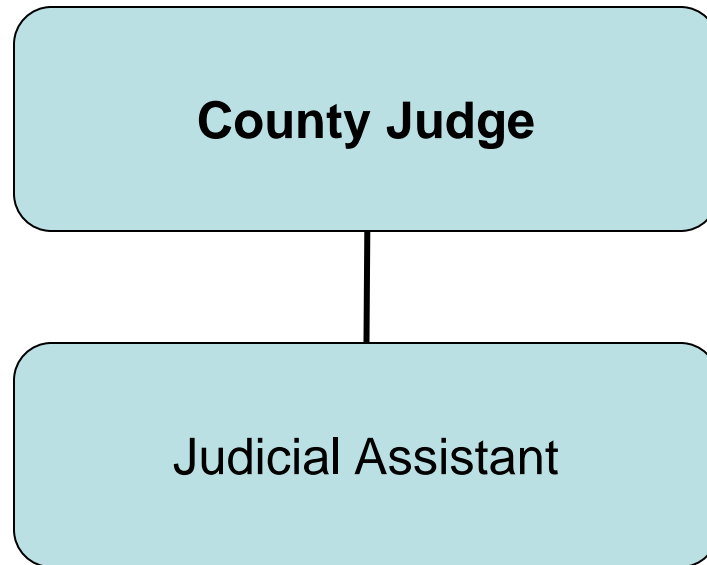
# DISTRICT COURTS OF APPEAL



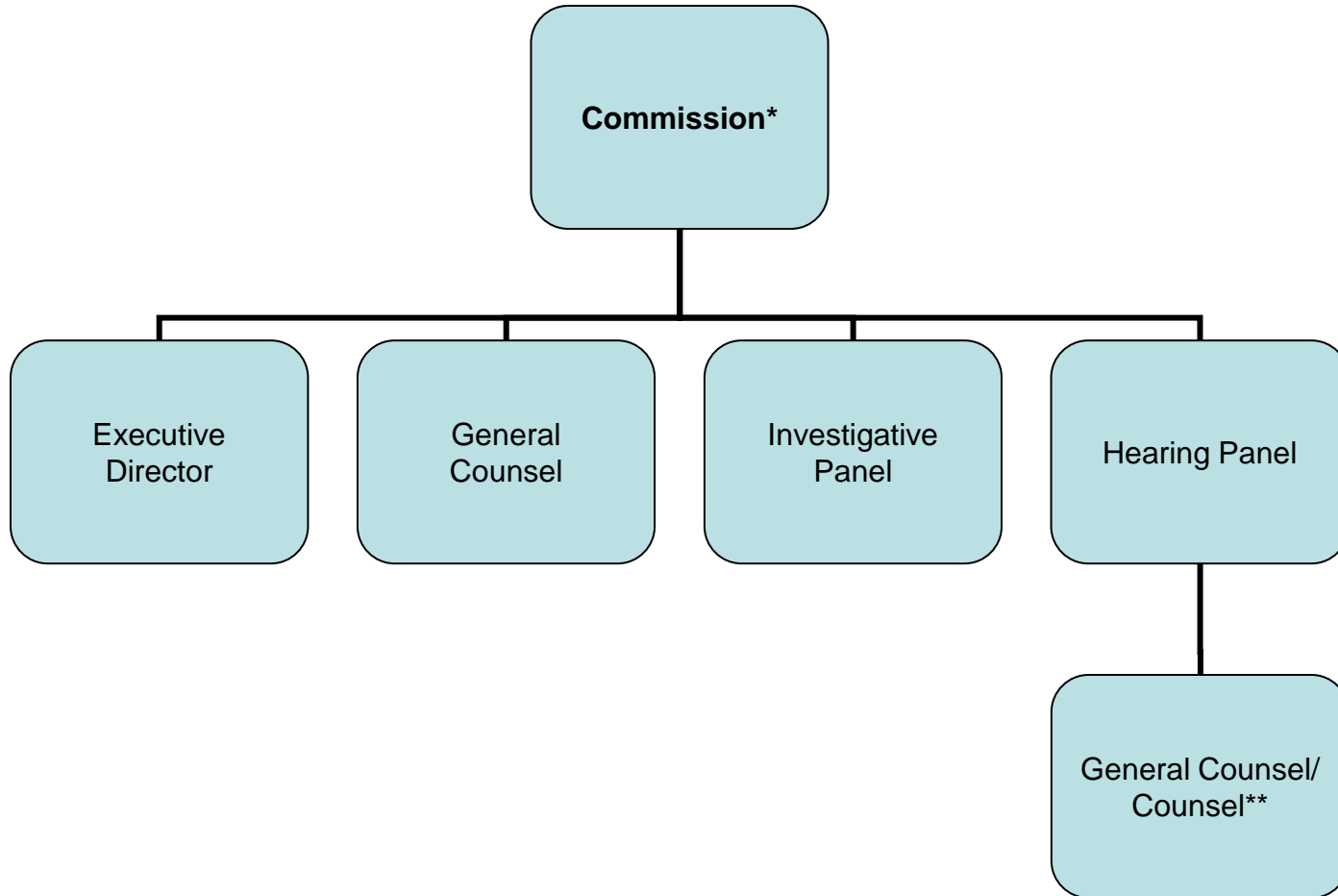
# CIRCUIT COURTS



# COUNTY COURTS



# JUDICIAL QUALIFICATIONS COMMISSION



\* Volunteer, Non-Salaried Positions

\*\* Contractual, Non-Salaried Positions



**Schedule XIV**  
**Variance from Long Range Financial Outlook**

Agency: State Courts System Contact: Sharon Bosley

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 2021 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 2022-2023 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 2022-2023 Estimate/Request Amount	
			Long Range Financial Outlook	Legislative Budget Request
a	Maintenance, Repairs, and Capital Improvements	B	75,800,000	0
b	Problem-solving courts and certification of additional judgeships	B	4,000,000	147,625
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.

a.) The budget driver amounts reported in the Long Range Financial Outlook for Maintenance, Repairs, and Capital Improvements appear to include all agencies and the judicial branch in the \$75,800,000 estimate. The Judicial Branch LBR does not include funding requests for FY 2022-23 maintenance, repairs, and fixed capital outlay.

b.) The Judicial Branch LBR includes requests for 1.0 FTE and \$147,625 in General Revenue funds to provide support for problem-solving courts.

The Judicial Branch will file a supplemental budget request after the release of the Supreme Court Order certifying the need for additional judgeships for FY 2022-23.

\* R/B = Revenue or Budget Driver

Supreme Court  
Exhibits and Schedules



Supreme Court  
Schedule I Series

**SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE**

<b>Department Title:</b>	<b>Budget Period: 2022 - 2023</b>
<b>Trust Fund Title:</b>	State Courts System
<b>Budget Entity:</b>	Administrative Trust Fund
<b>LAS/PBS Fund Number:</b>	22010100
	2021

	Balance as of 6/30/2021	SWFS* Adjustments	Adjusted Balance
<b>Chief Financial Officer's (CFO) Cash Balance</b>	16170 (A)		16170
ADD: Other Cash (See Instructions)			0
ADD: Investments			0
ADD: Outstanding Accounts Receivable			0
ADD: _____			0
<b>Total Cash plus Accounts Receivable</b>	<b>16170</b> (F)	<b>0</b>	<b>16170</b>
LESS Allowances for Uncollectibles			0
LESS Approved "A" Certified Forwards			0
Approved "B" Certified Forwards			0
Approved "FCO" Certified Forwards			0
LESS: Other Accounts Payable (Nonoperating)			0
LESS: _____			0
<b>Unreserved Fund Balance, 07/01/21</b>	<b>16170</b> (K)	<b>0</b>	<b>16170</b> **

**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.

# SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

**Budget Period: 2022 - 2023**

<b>Department Title:</b>	State Courts System
<b>Trust Fund Title:</b>	State Courts Revenue Trust Fund
<b>Budget Entity:</b>	22010100
<b>LAS/PBS Fund Number:</b>	2057

	Balance as of 6/30/2021		SWFS* Adjustments	Adjusted Balance
<b>Chief Financial Officer's (CFO) Cash Balance</b>	(890822)	(A)		(890822)
ADD: Other Cash (See Instructions)		(B)		0
ADD: Investments		(C)		0
ADD: Outstanding Accounts Receivable		(D)		0
ADD: _____		(E)		0
<b>Total Cash plus Accounts Receivable</b>	(890822)	(F)	0	(890822)
LESS Allowances for Uncollectibles		(G)		0
LESS Approved "A" Certified Forwards		(H)		0
Approved "B" Certified Forwards		(H)		0
Approved "FCO" Certified Forwards	168825	(H)		168825
LESS: Other Accounts Payable (Nonoperating)		(I)		0
LESS: _____		(J)		0
<b>Unreserved Fund Balance, 07/01/21</b>	(1059647)	(K)	0	(1059647) **

**Notes:**

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Executive Direction  
Exhibits and Schedules

Executive Direction  
Schedule I Series

**SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE**

<b>Department Title:</b>	<b>Budget Period: 2022 - 2023</b>
<b>Trust Fund Title:</b>	State Courts System
<b>Budget Entity:</b>	Administrative Trust Fund
<b>LAS/PBS Fund Number:</b>	22010200
	2021

	Balance as of 6/30/2021	SWFS* Adjustments	Adjusted Balance
<b>Chief Financial Officer's (CFO) Cash Balance</b>	1731761 (A)		1731761
ADD: Other Cash (See Instructions)			0
ADD: Investments			0
ADD: Outstanding Accounts Receivable	162329 (D)		162329
ADD: _____			0
<b>Total Cash plus Accounts Receivable</b>	<b>1894091 (F)</b>	<b>0</b>	<b>1894091</b>
LESS Allowances for Uncollectibles			0
LESS Approved "A" Certified Forwards	7077.16 (H)		7077
Approved "B" Certified Forwards	15557 (H)		15557
Approved "FCO" Certified Forwards			0
LESS: Other Accounts Payable (Nonoperating)	2512.35 (I)	(596)	1916
LESS: _____			0
<b>Unreserved Fund Balance, 07/01/21</b>	<b>1868944 (K)</b>	<b>596</b>	<b>1869540 **</b>

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# SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

**Budget Period: 2022 - 2023**

<b>Department Title:</b>	State Courts System
<b>Trust Fund Title:</b>	State Courts Revenue Trust Fund
<b>Budget Entity:</b>	22010200
<b>LAS/PBS Fund Number:</b>	2057

	Balance as of 6/30/2021		SWFS* Adjustments	Adjusted Balance
<b>Chief Financial Officer's (CFO) Cash Balance</b>	47772628	(A)		47772628
ADD: Other Cash (See Instructions)	65673	(B)		65673
ADD: Investments		(C)		0
ADD: Outstanding Accounts Receivable	2550	(D)		2550
ADD: _____		(E)		0
<b>Total Cash plus Accounts Receivable</b>	<b>47840852</b>	(F)	<b>0</b>	<b>47840852</b>
LESS Allowances for Uncollectibles		(G)		0
LESS Approved "A" Certified Forwards	76081.43	(H)		76081
Approved "B" Certified Forwards		(H)		0
Approved "FCO" Certified Forwards		(H)		0
LESS: Other Accounts Payable (Nonoperating)	3181772.46	(I)	(1360176)	1821597
LESS: _____		(J)		0
<b>Unreserved Fund Balance, 07/01/21</b>	<b>44582998</b>	(K)	<b>1360176</b>	<b>45943174</b> **

**Notes:**

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## SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

<b>Department Title:</b>	<b>Budget Period: 2022 - 2023</b>
<b>Trust Fund Title:</b>	State Courts System
<b>Budget Entity:</b>	Court Education Trust Fund
<b>LAS/PBS Fund Number:</b>	Departmental
	2146

	Balance as of 6/30/2021		SWFS* Adjustments	Adjusted Balance
<b>Chief Financial Officer's (CFO) Cash Balance</b>	6093155	(A)		6093155
ADD: Other Cash (See Instructions)	2357	(B)		2357
ADD: Investments		(C)		0
ADD: Outstanding Accounts Receivable		(D)		0
ADD: _____		(E)		0
<b>Total Cash plus Accounts Receivable</b>	<b>6095512</b>	(F)	<b>0</b>	<b>6095512</b>
LESS Allowances for Uncollectibles		(G)		0
LESS Approved "A" Certified Forwards	75000	(H)		75000
Approved "B" Certified Forwards	32887	(H)		32887
Approved "FCO" Certified Forwards		(H)		0
LESS: Other Accounts Payable (Nonoperating)	158352.78	(I)	(60842)	97511
LESS: _____		(J)		0
<b>Unreserved Fund Balance, 07/01/21</b>	<b>5829272</b>	(K)	<b>60842</b>	<b>5890113</b> **

**Notes:**

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## SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

<b>Department Title:</b>	<b>Budget Period: 2022 - 2023</b>
<b>Trust Fund Title:</b>	State Courts System
<b>Budget Entity:</b>	Federal Grants Trust Fund
<b>LAS/PBS Fund Number:</b>	22010200
	2261

	Balance as of 6/30/2021		SWFS* Adjustments	Adjusted Balance
<b>Chief Financial Officer's (CFO) Cash Balance</b>	(56222)	(A)		(56222)
ADD: Other Cash (See Instructions)		(B)		0
ADD: Investments		(C)		0
ADD: Outstanding Accounts Receivable	435444	(D)	37867	473310
ADD: _____		(E)		0
<b>Total Cash plus Accounts Receivable</b>	<b>379221</b>	(F)	<b>37867</b>	<b>417088</b>
LESS Allowances for Uncollectibles		(G)		0
LESS Approved "A" Certified Forwards		(H)		0
Approved "B" Certified Forwards	278900	(H)		278900
Approved "FCO" Certified Forwards		(H)		0
LESS: Other Accounts Payable (Nonoperating)	47245.37	(I)		47245
LESS: _____		(J)		0
<b>Unreserved Fund Balance, 07/01/21</b>	<b>53076</b>	(K)	<b>37867</b>	<b>90943</b> **

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# SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

<b>Department Title:</b>	<b>Budget Period: 2022 - 2023</b>
<b>Trust Fund Title:</b>	State Courts System
<b>Budget Entity:</b>	Grants and Donations
<b>LAS/PBS Fund Number:</b>	22010200
	2339

	Balance as of 6/30/2021		SWFS* Adjustments		Adjusted Balance
<b>Chief Financial Officer's (CFO) Cash Balance</b>	49042	(A)			49042
ADD: Other Cash (See Instructions)		(B)			0
ADD: Investments		(C)			0
ADD: Outstanding Accounts Receivable		(D)			0
ADD: _____		(E)			0
<b>Total Cash plus Accounts Receivable</b>	<b>49042</b>	(F)	<b>0</b>		<b>49042</b>
LESS Allowances for Uncollectibles		(G)			0
LESS Approved "A" Certified Forwards		(H)			0
Approved "B" Certified Forwards		(H)			0
Approved "FCO" Certified Forwards		(H)			0
LESS: Other Accounts Payable (Nonoperating)		(I)			0
LESS: _____		(J)			0
<b>Unreserved Fund Balance, 07/01/21</b>	<b>49042</b>	(K)	<b>0</b>		<b>49042</b> **

**Notes:**

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# District Courts of Appeal Exhibits and Schedules

District Court of Appeal  
Schedule I Series

**SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE**

<b>Department Title:</b>	<b>Budget Period: 2022 - 2023</b>
<b>Trust Fund Title:</b>	State Courts System
<b>Budget Entity:</b>	Administrative Trust Fund
<b>LAS/PBS Fund Number:</b>	22100600
	2021

	Balance as of 6/30/2021	SWFS* Adjustments	Adjusted Balance
<b>Chief Financial Officer's (CFO) Cash Balance</b>	442488 (A)		442488
ADD: Other Cash (See Instructions)			0
ADD: Investments			0
ADD: Outstanding Accounts Receivable			0
ADD: _____			0
<b>Total Cash plus Accounts Receivable</b>	<b>442488</b> (F)	<b>0</b>	<b>442488</b>
LESS Allowances for Uncollectibles			0
LESS Approved "A" Certified Forwards	29554.79 (H)		29555
Approved "B" Certified Forwards	54810 (H)		54810
Approved "FCO" Certified Forwards			0
LESS: Other Accounts Payable (Nonoperating)			0
LESS: _____			0
<b>Unreserved Fund Balance, 07/01/21</b>	<b>358123</b> (K)	<b>0</b>	<b>358123</b> **

**Notes:**

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# SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

**Budget Period: 2022 - 2023**

<b>Department Title:</b>	State Courts System
<b>Trust Fund Title:</b>	State Courts Revenue Trust Fund
<b>Budget Entity:</b>	22100600
<b>LAS/PBS Fund Number:</b>	2057

	Balance as of 6/30/2021		SWFS* Adjustments	Adjusted Balance
<b>Chief Financial Officer's (CFO) Cash Balance</b>	1048434	(A)		1048434
ADD: Other Cash (See Instructions)		(B)		0
ADD: Investments		(C)		0
ADD: Outstanding Accounts Receivable		(D)		0
ADD: _____		(E)		0
<b>Total Cash plus Accounts Receivable</b>	<b>1048434</b>	(F)	<b>0</b>	<b>1048434</b>
LESS Allowances for Uncollectibles		(G)		0
LESS Approved "A" Certified Forwards		(H)		0
Approved "B" Certified Forwards		(H)		0
Approved "FCO" Certified Forwards		(H)		0
LESS: Other Accounts Payable (Nonoperating)		(I)		0
LESS: _____		(J)		0
<b>Unreserved Fund Balance, 07/01/21</b>	<b>1048434</b>	(K)	<b>0</b>	<b>1048434</b> **

**Notes:**

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# SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

**Budget Period: 2022 - 2023**

<b>Department Title:</b>	State Courts System
<b>Trust Fund Title:</b>	Grants and Donations
<b>Budget Entity:</b>	22100600
<b>LAS/PBS Fund Number:</b>	2339

	Balance as of 6/30/2021		SWFS* Adjustments	Adjusted Balance
<b>Chief Financial Officer's (CFO) Cash Balance</b>	583	(A)		583
ADD: Other Cash (See Instructions)		(B)		0
ADD: Investments		(C)		0
ADD: Outstanding Accounts Receivable		(D)		0
ADD: _____		(E)		0
<b>Total Cash plus Accounts Receivable</b>	<b>583</b>	<b>(F)</b>	<b>0</b>	<b>583</b>
LESS Allowances for Uncollectibles		(G)		0
LESS Approved "A" Certified Forwards		(H)		0
Approved "B" Certified Forwards		(H)		0
Approved "FCO" Certified Forwards		(H)		0
LESS: Other Accounts Payable (Nonoperating)		(I)		0
LESS: _____		(J)		0
<b>Unreserved Fund Balance, 07/01/21</b>	<b>583</b>	<b>(K)</b>	<b>0</b>	<b>583</b> **

**Notes:**

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# Circuit Courts

## Exhibits and Schedules



Circuit Courts  
Schedule I Series

**SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE**

<b>Department Title:</b>	<b>Budget Period: 2022 - 2023</b>
<b>Trust Fund Title:</b>	State Courts System
<b>Budget Entity:</b>	Administrative Trust Fund
<b>LAS/PBS Fund Number:</b>	22300100
	2021

	Balance as of 6/30/2021	SWFS* Adjustments	Adjusted Balance
<b>Chief Financial Officer's (CFO) Cash Balance</b>	2754782 (A)		2754782
ADD: Other Cash (See Instructions)	8325 (B)		8325
ADD: Investments			0
ADD: Outstanding Accounts Receivable			0
ADD: _____			0
<b>Total Cash plus Accounts Receivable</b>	<b>2763107 (F)</b>	<b>0</b>	<b>2763107</b>
LESS Allowances for Uncollectibles			0
LESS Approved "A" Certified Forwards	241350.75 (H)		241351
Approved "B" Certified Forwards	100578 (H)		100578
Approved "FCO" Certified Forwards			0
LESS: Other Accounts Payable (Nonoperating)	26619.17 (I)	(11672)	14947
LESS: _____			0
<b>Unreserved Fund Balance, 07/01/21</b>	<b>2394559 (K)</b>	<b>11672</b>	<b>2406232 **</b>

**Notes:**

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# SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

**Budget Period: 2022 - 2023**

<b>Department Title:</b>	State Courts System
<b>Trust Fund Title:</b>	State Courts Revenue Trust Fund
<b>Budget Entity:</b>	22300100
<b>LAS/PBS Fund Number:</b>	2057

	Balance as of 6/30/2021		SWFS* Adjustments		Adjusted Balance
<b>Chief Financial Officer's (CFO) Cash Balance</b>	(22797905)	(A)			(22797905)
ADD: Other Cash (See Instructions)		(B)			0
ADD: Investments		(C)			0
ADD: Outstanding Accounts Receivable		(D)			0
ADD: _____		(E)			0
<b>Total Cash plus Accounts Receivable</b>	(22797905)	(F)	0		(22797905)
LESS Allowances for Uncollectibles		(G)			0
LESS Approved "A" Certified Forwards	3832.08	(H)			3832
Approved "B" Certified Forwards		(H)			0
Approved "FCO" Certified Forwards		(H)			0
LESS: Other Accounts Payable (Nonoperating)		(I)			0
LESS: _____		(J)			0
<b>Unreserved Fund Balance, 07/01/21</b>	(22801738)	(K)	0		(22801738)**

**Notes:**

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## SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

<b>Department Title:</b>	<b>Budget Period: 2022 - 2023</b>
<b>Trust Fund Title:</b>	State Courts System
<b>Budget Entity:</b>	Federal Grants Trust Fund
<b>LAS/PBS Fund Number:</b>	22300100
	2261

	Balance as of 6/30/2021		SWFS* Adjustments		Adjusted Balance
<b>Chief Financial Officer's (CFO) Cash Balance</b>	365539	(A)			365539
ADD: Other Cash (See Instructions)		(B)			0
ADD: Investments		(C)			0
ADD: Outstanding Accounts Receivable	305152	(D)			305152
ADD: _____		(E)			0
<b>Total Cash plus Accounts Receivable</b>	<b>670691</b>	(F)	<b>0</b>		<b>670691</b>
LESS Allowances for Uncollectibles		(G)			0
LESS Approved "A" Certified Forwards		(H)			0
Approved "B" Certified Forwards	9249	(H)			9249
Approved "FCO" Certified Forwards		(H)			0
LESS: Other Accounts Payable (Nonoperating)	115084.06	(I)			115084
LESS: _____		(J)			0
<b>Unreserved Fund Balance, 07/01/21</b>	<b>546358</b>	(K)	<b>0</b>		<b>546358</b> **

**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.

# SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

**Budget Period: 2022 - 2023**

<b>Department Title:</b>	State Courts System
<b>Trust Fund Title:</b>	Grants and Donations
<b>Budget Entity:</b>	22300100
<b>LAS/PBS Fund Number:</b>	2339

	Balance as of 6/30/2021		SWFS* Adjustments	Adjusted Balance
<b>Chief Financial Officer's (CFO) Cash Balance</b>	16677	(A)		16677
ADD: Other Cash (See Instructions)		(B)		0
ADD: Investments		(C)		0
ADD: Outstanding Accounts Receivable		(D)		0
ADD: _____		(E)		0
<b>Total Cash plus Accounts Receivable</b>	<b>16677</b>	<b>(F)</b>	<b>0</b>	<b>16677</b>
LESS Allowances for Uncollectibles		(G)		0
LESS Approved "A" Certified Forwards		(H)		0
Approved "B" Certified Forwards		(H)		0
Approved "FCO" Certified Forwards		(H)		0
LESS: Other Accounts Payable (Nonoperating)		(I)		0
LESS: _____		(J)		0
<b>Unreserved Fund Balance, 07/01/21</b>	<b>16677</b>	<b>(K)</b>	<b>0</b>	<b>16677</b> **

**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.

# County Courts

## Exhibits and Schedules

County Courts  
Schedule I Series

# SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

**Budget Period: 2022 - 2023**

<b>Department Title:</b>	State Courts System
<b>Trust Fund Title:</b>	State Courts Revenue Trust Fund
<b>Budget Entity:</b>	22300200
<b>LAS/PBS Fund Number:</b>	2057

	Balance as of 6/30/2021		SWFS* Adjustments	Adjusted Balance
<b>Chief Financial Officer's (CFO) Cash Balance</b>	(3848592)	(A)		(3848592)
ADD: Other Cash (See Instructions)		(B)		0
ADD: Investments		(C)		0
ADD: Outstanding Accounts Receivable		(D)		0
ADD: _____		(E)		0
<b>Total Cash plus Accounts Receivable</b>	(3848592)	(F)	0	(3848592)
LESS Allowances for Uncollectibles		(G)		0
LESS Approved "A" Certified Forwards		(H)		0
Approved "B" Certified Forwards		(H)		0
Approved "FCO" Certified Forwards		(H)		0
LESS: Other Accounts Payable (Nonoperating)		(I)		0
LESS: _____		(J)		0
<b>Unreserved Fund Balance, 07/01/21</b>	(3848592)	(K)	0	(3848592) **

**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.



Judicial Qualifications Commission  
Exhibits and Schedules

Judicial Qualifications Commission  
Schedule I Series

# SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

**Budget Period: 2022 - 2023**

<b>Department Title:</b>	State Courts System
<b>Trust Fund Title:</b>	State Courts Revenue Trust Fund
<b>Budget Entity:</b>	22300200
<b>LAS/PBS Fund Number:</b>	2057

	Balance as of 6/30/2021		SWFS* Adjustments	Adjusted Balance
<b>Chief Financial Officer's (CFO) Cash Balance</b>	221110	(A)		221110
ADD: Other Cash (See Instructions)		(B)		0
ADD: Investments		(C)		0
ADD: Outstanding Accounts Receivable		(D)		0
ADD: _____		(E)		0
<b>Total Cash plus Accounts Receivable</b>	<b>221110</b>	<b>(F)</b>	<b>0</b>	<b>221110</b>
LESS Allowances for Uncollectibles		(G)		0
LESS Approved "A" Certified Forwards		(H)		0
Approved "B" Certified Forwards		(H)		0
Approved "FCO" Certified Forwards		(H)		0
LESS: Other Accounts Payable (Nonoperating)		(I)		0
LESS: _____		(J)		0
<b>Unreserved Fund Balance, 07/01/21</b>	<b>221110</b>	<b>(K)</b>	<b>0</b>	<b>221110</b> **

**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.

# SCHEDULE IV-B FOR APPELLATE CASE MANAGEMENT SOLUTION

For Fiscal Year 202~~1~~-2~~3~~2



October 2020, Updated September 2021

OFFICE OF STATE COURTS ADMINISTRATOR

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**SCHEDULE IV-B FOR APPELLATE CASE MANAGEMENT SOLUTION**

**I. Schedule IV-B Cover Sheet**

Schedule IV-B Cover Sheet and Agency Project Approval	
Agency: Office of State Courts Administrator	Schedule IV-B Submission Date: October 15, 2020 <u>Updated September 15, 2021</u>
Project Name: Appellate Case Management Solution	Is this project included in the Agency's LRPP? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
FY 2021-22 LBR Issue Code: 36320C0	FY 2021-22 LBR Issue Title: Appellate Case Management Solution
Agency Contact for Schedule IV-B (Name, Phone #, and E-mail address): Roosevelt Sawyer, Jr., 850-414-7824, sawyerr@flcourts.org	
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: <u>Elisabeth H. Kiel</u>	Date: <u>9/14/2021</u>
Printed Name: Elisabeth H. Kiel	
Agency Chief Information Officer (or equivalent): <u>Roosevelt Sawyer Jr.</u>	Date: <u>9/14/2021</u>
Printed Name: Roosevelt Sawyer, Jr.	
Budget Officer: <u>Sharon Bosley</u>	Date: <u>09/14/2021</u>
Printed Name: Sharon Bosley	
Planning Officer: <u>Roosevelt Sawyer Jr.</u>	Date: <u>9/14/2021</u>
Printed Name: Roosevelt Sawyer, Jr.	
Project Sponsor: <u>Elisabeth H. Kiel</u>	Date: <u>9/14/2021</u>
Printed Name: Elisabeth H. Kiel	
Schedule IV-B Preparers (Name, Phone #, and E-mail address):	
Business Need:	Mary Cay Blanks, 850-488-6577, blanksma@flcourts.org
Cost Benefit Analysis:	Jessie McMillan, 850-487-0155, mcMillanj@flcourts.org
Risk Analysis:	Roosevelt Sawyer, Jr., 850-424-7824, sawyerr@flcourts.org
Technology Planning:	Alan Neubauer, 850-414-7741, neubauer@flcourts.org
Project Planning:	Brian Peterson, 850-487-7981, petersonb@flcourts.org



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

### A. Background and Strategic Needs Assessment

#### 1. Business Need

The Florida Constitution vests with the courts the duty of adjudicating disputes as well as directing its business and administrative functions. In order to carry out this constitutional mandate, the courts rely increasingly on technology and are evaluating new ways in which technology can best be utilized in the judicial branch. Today, the courts are dependent on information technology in almost every area of court business, including electronic filing, case management, electronic document management and imaging, workflow management, and public access to court-related documents.

The judicial branch has long embraced the use of technology to increase the effectiveness, efficiency, and accessibility of the courts, in order to carry out its mission of protecting rights and liberties, upholding and interpreting the law, and providing for the peaceful resolution of disputes. The *Long-Range Strategic Plan for the Florida Judicial Branch 2016-2021*<sup>1</sup> identified five issues of critical importance to the judiciary. One such issue is “[m]odernize the administration of justice and operation of court facilities,” which includes, in part, the goals of compatible technology infrastructure to improve case management, improved data exchange and integration processes with justice system partners, modernization of court processes, and sufficient financial resources for technology and innovation to meet current needs and future challenges.

In this modern judiciary, judges are working with electronic case files, and the appellate clerks are running their business processes using automation and electronic data, forms, and documents. E-filing of cases, electronic transfers, and the use of information by system users at all levels makes it essential for judges and court staff to have the necessary tools to work effectively with electronic documents to carry out their adjudicatory function, as well as to manage the operations of the courts.

The Florida appellate courts include the Supreme Court and five (5) district courts of appeal. The total number of cases filed in the appellate courts during FY2019-20 is 19,808. The number of documents filed during that same time period is approximately 288,556, the majority of which are electronically filed through the Florida Courts E-Filing Portal<sup>2</sup> (Portal). Paper documents filed with the courts are converted to electronic documents. All documents are processed by the appellate court clerk’s offices through the current eFACTS and iDCA case management systems. Judges and judicial staff work with electronic files through manual and automated workflows. Within the case management systems, cases are processed from initiation to disposition: filings are docketed and reviewed for accuracy, readability, appropriate indexing, completeness, and compliance with applicable laws and rules. Electronic files and case management are necessary to comply with the strategic

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<sup>1</sup> The Florida Supreme Court Long-Range Strategic Plan Workgroup. *Long-Range Strategic Plan for the Florida Judicial Branch 2016-2021*. <https://www.flcourts.org/Administration-Funding/Innovations-Outreach/Long-Range-Strategic-Plan>

<sup>2</sup> A detailed history of the process of automating filing of court documents is available on the Florida Courts website at <http://www.flcourts.org/resources-and-services/court-technology/efiling/>.

plan cited above.

The importance of reliable, electronic case management solutions has become even more apparent with the onset of the COVID-19 pandemic. The reliance on electronic files and case management is of utmost importance in the appellate courts' ability to function with a partially remote workforce. The ability to automate manual processes and support a mobile workforce, along with remote operations and cyber security, are crucial to the operations of the appellate courts. During the process of supporting the appellate courts throughout this pandemic, the realization that the current case management systems are lacking vital features necessary to continue to maintain the timely resolution of all cases through effective case management has only become more stark.

### ***Solution to Address Business Needs***

The Office of the State Courts Administrator (OSCA) and the appellate courts are requesting funding for a long-term sustainable solution through a commercial-off-the-shelf (COTS) appellate case management system, which will enable the courts to continue to provide essential appellate court services, in the present and post COVID-19 eras. The current systems are rooted in 1990s technology. Using current forecasts, the Office of the State Courts Administrator and the appellate courts no longer have the resources or skillsets in-house to invest in continually evolving case management software. Therefore, a COTS system is necessary to facilitate the transition of data from existing systems with expediency, while minimalizing any down time caused by the transition.

A COTS system provides the crucial modules missing from the current systems, including, but not limited to:

- Enhanced security with role-based permissions.
- Cloud-based design.
- Support for mobile devices using multiple platforms.
- Calendaring with related automation.
- Auto-calculation of due dates.
- Highly configurable rules' engines that assist in the automated flow and processing of cases throughout their lifecycle.
- Robust document generation automation.
- Automated electronic service from the courts to the parties; the service includes direct links to the filings in the statewide e-filing portal.
- Ability to manage users at the local level.
- Public and restricted access to the docket and images.

These features are no longer considered optional; they have become essential components of an appellate court case management system. Additional benefits will also be realized with the future software updates and maintenance services included with a COTS system. Once the appellate courts make the transition, future costs will be predictable and checked by market forces.

### ***Funding the Solution***

In FY 2021-2022, the Legislature funded the first year of the project from the trust fund authority in the amount of \$4,689,834 (non-recurring). To date, the OSCA and the appellate

SCHEDULE IV-B FOR APPELLATE CASE MANAGEMENT SOLUTION

court clerks have completed the case management discovery to produce the list of functional and technical business requirements for the solution. Additionally, the implementation statement of work, scope, budget and deliverables are finalized. A contract with Thomson Reuters Court Management Solutions was signed and the project “kick-off” took place in August 2021.

The Office of the State Courts Administrator requests the final year of funds in the amount of \$8,609,262.00~~4,509,816.00~~ (~~\$7,999,262.00~~3,899,816.00 non-recurring) in General Revenue and one (1) OPS position, to fund ~~a commercial off the shelf (COTS~~the Thomson Reuters C-Track) appellate case management solution for the Supreme Court and each of the five (5) District Courts of Appeal. The solution would modernize the case management functions for the appellate courts in Florida to ensure the continued timely resolution of all appellate cases through effective and efficient case management.

The OSCA anticipates a two and a half-year project to implement the solution for all appellate courts. The total cost of the solution has not changed since being initially submitted in FY 2021-22. The requested funding allocation to support the solution including recurring support services, maintenance and salary and benefits for Fiscal Year 2021-2022 is \$4,689,834, (\$4,099,834 non-recurring) and for FY 2022-2023 is \$3,919,834~~4,509,816.00~~ (~~\$3,899,834~~ 3,899,816.00 non-recurring).<sup>3</sup>

The funding requests include software licenses and cloud hosting; and contracted services for planning, configuration, implementation, maintenance, and support; as well as funding for an OPS position to ensure the success of this transformational project. The OPS position will integrate the people and technology elements required for the success of this important project. These key elements are driven by, but not limited to, organizational change management functions with communications, change readiness, business process standardization, training strategy, project management, and stakeholder reporting.

The following table illustrates the costs associated with a COTS appellate case management solution:

Category\Year	21-22	21-22 NR	22-23	22-23 NR
OPS	\$ 99,631.00	\$ 99,631.00	\$ 99,631.00	\$ 99,631.00
Expenses	\$ 2,440,000.00	\$ 2,300,000.00	<u>\$ 140,000.00</u>	
Contracted Services	\$ 2,150,000.00	\$ 1,700,000.00	\$ <del>34,820</del> <u>27,000</u> .00	\$ 3,800,000.00
Human Resources	\$ 203.00	\$ 203.00	\$ <del>203</del> <u>185</u> .00	\$

<sup>3</sup> Note that the original total project request over two years was \$8,609,650.00 (\$7,999,650.00 non-recurring and \$590,000 recurring). Since the first-year funding did not include the recurring component, the second-year request was adjusted to include the recurring costs funded as non-recurring in year one. Also note that the OSCA will be seeking revert and reappropriate language during the 2022 Legislative Session to ensure that any unspent funds can be used in FY 2022-23.

SCHEDULE IV-B FOR APPELLATE CASE MANAGEMENT SOLUTION

				203185.00
TOTALS	\$ 4,689,834.00	\$ 4,099,834.00	\$ <del>34,919,509,834</del> 816.00	\$ 3,899,834816.00

***Impact of Not Funding the Solution:***

The current systems are outdated, vulnerable to cyber-attack, and lack efficiency in certain areas. If a COTS appellate case management solution is not funded, the appellate courts will face debilitating challenges as technology continues to be integral to the effective operations of the appellate courts. The challenges would include: 1) a reliance on manual processing that causes delays and negatively impacts the timely resolution of cases; 2) the inability to efficiently support a mobile and remote workforce; 3) vulnerability to cyber-attacks that threaten data privacy and continuity of operations; 4) inability to efficiently maintain servers utilized for the exiting systems; 5) continued commitment to solutions that do not align with legislative policy for a ‘cloud-first’ preference for third party data systems; 6) inability to redirect technical resources currently dedicated to the appellate court case management to mission-critical needs in the judicial branch; and 7) the citizens will not receive all of the benefits and efficiencies that enhanced technology facilitates in the appellate courts.

**2. Business Objectives**

***a. Modernize the Case Management Functions for the Supreme Court and District Courts of Appeal***

The primary business objective of the proposed COTS appellate case management solution is to modernize the case management functions for the Supreme Court and each of the five (5) District Courts of Appeal in Florida to meet the needs of court users and public citizens through the use of technology. This objective would include enhancing security, supporting a mobile and remote workforce, and supplying vital components missing from the current case management system. Along with existing basic functions, components of a modernized appellate case management solution would include the following crucial features:

- Cloud solution designed to enhance cybersecurity, stability, performance, mobility, and support the continuity of operations.
- Highly configurable automated workflows, automated case assignment, and calendaring to increase the efficiency of judicial duties.
- Automated electronic service to the parties and participants with direct links to filings to enhance the broad range of court services.
- Public and restricted access to dockets and images ensuring broad public access while preserving confidentiality requirements of court data.
- The ability for the appellate courts to pull data from the Florida Courts E-Filing Portal and to share data between the appellate courts.
- Robust communication features to capture all internal case related discussions directly within the system.

- Feature-rich opinion drafting, voting, and processing, all tracked within the system.
- Feature-rich data searching and ad hoc reporting.
- Public visibility into individual court and statewide appellate case statistics.

***b. Consolidate and Standardize the Case Management and Workflow Applications of the Supreme Court and the District Courts of Appeal***

An additional business objective of the proposed COTS appellate case management solution is to consolidate and standardize the case management and workflow applications to improve the efficiency of the administration of case processing through the appellate court system. Several benefits would be realized in a consolidated and standardized solution:

- Single point of entry for litigants and attorneys to access their case related documents across all appellate courts.
- Straightforward training of new staff.
- Reallocate the majority of court IT resources supporting the current system to other mission-critical judicial branch needs.
- Uniform maintenance and updates from provider will keep appellate courts secure and current in essential operations.

The objectives listed above directly support the Judicial Branch Long-Range Issue #4 – Modernize the Administration of Justice and Operation of Court Facilities.

## **B. Baseline Analysis**

### **1. Current Business Process(es)**

To establish a baseline analysis, each element of the current business process was evaluated.

Development of the current case management and workflow systems started back in 1990. The current systems include basic functions such as case initiation, docketing, party/attorney management, document management, ticklers, case assignment, document generation, voting, financial accounting, reporting, and internal court access to court dockets. Many of the functions in the current systems either require manual processes or lack efficiency and data integration. Additionally, the appellate courts are using the statewide E-Filing Portal for filing and a combination of two systems, with variations based on local needs, for day-to-day case management, workflow, secure access, and service of court documents, but still must turn to other technology to provide access to dockets and to generate reports and statistics.

In addition to modernizing the current case management and workflow systems, the solution would consolidate and standardize the applications of case management and workflow for all courts, allowing the Supreme Court to have its own configurations, as needed, and each district court to have the same set of configurations which would support

business continuity and benefit all court users and litigants.

While it is technically possible to programmatically refactor and consolidate the current appellate case management systems into one and then migrate them to the cloud, this option has a significant cost, a high risk of failure, an extended timeline for completion, and would substantially limit the efficient management of cases for an estimated minimum of five years. It would take at least three years to re-architect the current systems for the cloud, in addition to the five-plus years to build out the now industry-standard essential automation features. Also, the security architecture of the current appellate case management systems needs to be completely rewritten. The time necessary to implement these security changes would be in addition to the automation and workflow system improvements.

## 2. Assumptions and Constraints

*Assumptions* – The following assumptions are recognized:

- The appellate courts are willing to standardize and agree on a uniform configuration.
- The vendor has the capacity to deliver the solution in the specified time frame.
- Funds requested in the legislative budget request will be available.

*Constraints* - The following constraints are acknowledged:

- Multiple governing bodies are responsible for the different aspects of appellate court technology.
- Available resources.
- Time: A quick transition to a modern system is necessary to ensure the timely resolution of cases.
- Compliance with existing and future laws, rules, and regulations.
- Court processes are not uniform in the different appellate courts.
- Off-the-shelf system constraints: outside of configuration and integration with existing Application Programmable Interfaces (APIs), system customization may not be viable.
- The existing appellate case management systems must remain operational and fully functional throughout the transition.
- Historical data must remain accessible even after the appellate courts have transitioned over to a modern appellate case management system.

## C. Proposed Business Process Requirements

### 1. Proposed Business Process Requirements

Electronic case management and workflow systems are integral components to the business of the courts. These systems must be kept at high standards to ensure that the business of the courts is enhanced by technology and that any solutions improve the efficiency and

effectiveness of the court system to carry out its duties and service. As noted previously under the business needs, implementing a modern, long-term sustainable solution through a commercial-off-the-shelf (COTS) appellate case management system will enable the courts to continue to provide essential appellate court services at a level which best meets the needs of all court users and citizens of the state of Florida.

## 2. Business Solution Alternatives

In lieu of a COTS appellate case management solution, the current systems may be restructured and enhanced if there are additional financial resources and skillsets in-house available to manage and enhance the continually evolving case management software.

While this option may be an alternative solution, initial estimates to incorporate the necessary automation into the current systems indicate that it will take a minimum of five years to complete. In those five years, technology will have evolved beyond the initial design. The current systems also require the maintenance of over 30 servers and continuously providing support related to licensing, upgrading operating systems, patching servers, upgrading frameworks, refreshing hardware, managing anti-virus software, monitoring services, backups, disaster recovery preparedness, and managing security controls. In addition to requiring extensive maintenance, the systems' aging architecture limits their ability to be significantly upgraded. Additionally, while it is technically possible to programmatically refactor and consolidate the current appellate case management systems into one and then migrate them to the cloud, this option has a high risk of failure and substantially limits the opportunity to efficiently manage cases for the estimated minimum of five years. It would take at least three years to re-architect the current systems for the cloud, in addition to the five-plus years to build out the essential automation features. Further, the above estimates do not include an unknown amount of time that would be needed to ensure appropriate information security.

## 3. Rationale for Selection

The rationale for selecting a COTS appellate case management solution is based on following criteria:

- Availability of a comprehensive, modern, and secure case management system designed for the appellate courts.
- Ability to connect with the existing Florida Courts E-Filing Portal to accept incoming filings and to serve court documents to litigants.
- Cloud-based design.
- Inclusion of critical features missing from the current systems.
- Consolidated and standardized case management and workflow system.
- A long-term sustainable solution in which maintenance and updates would be included with the solution.

## 4. Recommended Business Solution

After receiving approval from the Appellate Case Management Change Advisory Board (CAB) to investigate potential solutions, the appellate court clerks conducted extensive research and review of COTS appellate case management solutions. Subsequently, the

CAB and the Appellate Court Technology Committee (ACTC) approved the project to proceed. Based on the comprehensive functionality and benefits offered through a COTS solution and recommendations from the CAB and ACTC, the Court recommend procurement and implementation of a commercial off-the-shelf (COTS) appellate case management system.

#### D. Functional and Technical Requirements

The following functional and technical requirements are associated with the need to implement a modernized appellate case management solution:

- Identify necessary business processes.
- Determine standard appellate case management features and functions.
- Portal access to case management system’s public, party, and attorney information.
- Identify gaps and determine any recommended customizations.
- Identify a set of configurations for the supreme court.
- Identify a set of standard configurations for the district courts.
- Determine data and document migration.
- Identify required system integrations.
- Determine any e-filing or payment processing changes in collaboration with the Florida Courts E-Filing Portal.
- Install any necessary peripheral hardware and system software.
- Install cloud hosting services.

### III. Success Criteria

SUCCESS CRITERIA TABLE				
#	Description of Criteria	How will the Criteria be measured/assessed?	Who benefits?	Realization Date (MM/YY)
1	Consolidated and standardized case management configuration and workflow that improves efficiency of adjudicating court cases, sunsets legacy systems, and frees up some of the technical resources currently dedicated to maintaining the appellate case management system for other judicial branch	<ol style="list-style-type: none"> <li>1. Measure efficiency: Examine report data for case filings and disposition measures.</li> <li>2. Verify that the legacy systems have been removed or transitioned into</li> </ol>	Judges, judicial staff, appellate clerks, attorneys, litigants, public.	7/23



SCHEDULE IV-B FOR APPELLATE CASE MANAGEMENT SOLUTION

SUCCESS CRITERIA TABLE				
	mission critical tasks.	<p>their final state.</p> <p>3. Free up technical resources: Count number of tech staff assigned to supporting the appellate case management system.</p>		
2	Secure opinion voting and processing with revision tracking and fingertip access to related case documents.	<p>1. Test and Audit Secure Voting</p> <p>2. Functional Tests and User Acceptance Testing for revision tracking.</p> <p>3. User Acceptance Testing across different devices for fingertip access to related case documents.</p>	Judges.	07/23
3	Improved internal communications; capture all internal case related discussions directly within the system.	<p>1. Check external systems being used today to validate that users are no longer using them for case communication.</p> <p>2. Check the new case management system to ensure the communications features are being used in all courts.</p>	Judges, judicial staff, and appellate clerks.	07/23

SCHEDULE IV-B FOR APPELLATE CASE MANAGEMENT SOLUTION

SUCCESS CRITERIA TABLE				
4	Enhanced public access to court and litigant access to the docket and filing images while preserving confidentiality requirements.	<ol style="list-style-type: none"> <li>1. Measure and monitor the number of requests for court records.</li> <li>2. Measure availability of information and public access usage.</li> <li>3. Audit confidentiality of records.</li> </ol>	Attorneys, litigants, and public.	07/23
5	Automated electronic service of documents from the courts to attorneys and parties using the e-Filing Portal.	<ol style="list-style-type: none"> <li>1. Functional Testing.</li> <li>2. User Acceptance Testing and monitoring of electronic service</li> </ol>	Attorneys, litigants, and appellate clerks.	07/23
6	A cloud solution to improve system security and continuity of operations.	<ol style="list-style-type: none"> <li>1. Ensure systems are retired.</li> <li>2. Measure and monitor system and service ability.</li> </ol>	Courts and public.	07/23
7	Automated presentation of case statistics and performance measures to the public in a timely manner.	<ol style="list-style-type: none"> <li>1. Number of records requests.</li> <li>2. Measure availability and number of users viewing the information.</li> </ol>	Public.	07/23
8	Mobile access.	<ol style="list-style-type: none"> <li>1. User Acceptance Testing cross different mobile devices.</li> <li>2. Measure and monitor system access by device type.</li> </ol>	Attorneys, litigants, public, judges, and court personnel.	07/23

SCHEDULE IV-B FOR APPELLATE CASE MANAGEMENT SOLUTION

SUCCESS CRITERIA TABLE				
9	Automated workflow and processing, including auto-calculation of due dates, calendaring to increase efficiency of document processing and progression of cases.	<ol style="list-style-type: none"> <li>1. Case performance measures via reporting.</li> <li>2. Reduced training time for new employees.</li> </ol>	Judges, judicial staff, and appellate clerks.	07/23
10	Support for remote workforce.	Ability to process cases remotely.	Judges, judicial staff, appellate clerks, and public.	07/23
11	Document generation with the ability to pull-in data from any field in database.	Productivity measures. Audit data entry errors and mistake counts.	Judges, judicial staff, appellate clerks, attorneys, litigants and public.	07/23
12	Shared data between e-filing portal and courts, and between different courts.	Audit data entry errors and mistake counts.	Judges, judicial staff, appellate clerks, attorneys, litigants, and public.	07/23
13	Role-based access control.	Auditing.	Appellate courts and public.	07/23
14	Ability to manage users at the local level.	Court staff are able to manage user access and privileges.	Appellate courts and OSCA.	07/23
15	Easy-to-use system-wide search features with the ability to do custom granular searches when needed.	Search usability testing and ranking.	Judges, judicial staff, appellate clerks and, OSCA.	07/23
16	Ad hoc reporting.	<ol style="list-style-type: none"> <li>1. Reduction in IT support tickets related to creating custom reports.</li> </ol>	Appellate courts and public.	07/23

SUCCESS CRITERIA TABLE				
17	Ability to exchange information, transfer cases and documents between courts.	<ol style="list-style-type: none"> <li>1. User Acceptance Testing.</li> <li>2. Measure and monitor cross-system usage.</li> </ol>	Judges, judicial staff, appellate clerks, attorneys, and litigants.	07/23
18	Maintenance and Update Schedule with Vendor.	<ol style="list-style-type: none"> <li>1. Security Review.</li> <li>2. Periodic survey of features available in marketplace.</li> </ol>	Judges, judicial staff, appellate clerks, OSCA, attorneys, litigants, and public.	07/23

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

##### A. Benefits Realization Table

BENEFITS REALIZATION TABLE					
#	Description of Benefit	Who receives the benefit?	How is benefit realized?	How is the realization of the benefit measured?	Realization Date (MM/YY)
1	Better service to the citizens of Florida and litigants through enhanced public access to the dockets and filing images while preserving confidentiality and public trust.	Public, attorneys, and litigants.	Through the implementation of a modern appellate case management system public portal.	By monitoring public access to dockets and images, measuring the number of requests for records, the availability of information, public access usage, and auditing record confidentiality.	07/23
2	Improved privacy protection, auditing, and guards against cybersecurity	Judges, judicial staff, appellate clerks, attorneys,	Through the implementation of a modern role-based appellate case management	1. Monitor privacy and security settings, logs, intelligent threat detection/protection, and network	07/23

SCHEDULE IV-B FOR APPELLATE CASE MANAGEMENT SOLUTION

BENEFITS REALIZATION TABLE					
	threats.	litigants, and public.	system combined with security risk assessment and mitigation.	activity. 2. Incident reporting. 3. Internal and third-party auditing.	
3	Alignment with the State of Florida's Cloud-first initiatives.	Public, attorneys, litigants, judges, judicial staff, and appellate clerks.	Through the implementation of a modern appellate case management system designed for cloud computing.	By verifying alignment with the Florida Statute section 28.206(1) - Cloud-first policy in state agencies.	07/23
4	Case management for a remote, mobile workforce working across multiple types of devices.	Judges, judicial staff, appellate clerks, attorneys, litigants.	Through the implementation a modern web-based, mobile friendly appellate case management system.	1. User Acceptance Testing across multiple devices. 2. Monitor usage by browser and device type.	07/23
5	Improved efficiency in processing and adjudicating court cases.	Judges, judicial staff, appellate clerks, litigants, public, and other stakeholders.	Through automated calendaring, document generation, auto-population of data from the e-portal, and workflow automation.	Through the appellate court performance measures and dashboards.	07/23
6	Improved emergency preparedness and Continuity of Operations.	Judges, judicial staff, appellate clerks, attorneys,	Through the implementation of a unified, appellate case management system, hosted	Through the results, observed outcomes, and retrospectives of scheduled disaster simulations,	07/23

SCHEDULE IV-B FOR APPELLATE CASE MANAGEMENT SOLUTION

BENEFITS REALIZATION TABLE					
		litigants, public, and other stakeholders.	in a cloud environment.	exercises, and drills.	
7	Ability to redirect technical resources currently dedicated to the appellate court case management to mission-critical needs in the judicial branch.	Courts, OSCA, and public.	Through the implementation of a COTS appellate case management system that includes vendor support and maintenance in the contract.	Through portfolio management reporting.	07/23
8	ADA compliance.	Public, attorneys, litigants, judges, judicial staff, judicial staff, and clerks.	By selecting and implementing a modern COTS appellate case management system with built-in ADA compliant features.	<ol style="list-style-type: none"> <li>1. Vendor ADA compliance test results.</li> <li>2. User Testing.</li> <li>3. Support tickets related to ADA.</li> </ol>	07/23
9	Ability to leverage and benefit from appellate case management features and automation implemented in other states.	Judges, judicial staff, and appellate clerks,	Through the implementation of COTS appellate case management system that is deployed in multiple states. And by regularly communicating with users in other states.	The frequency and availability of vendor updates and feature upgrades to the appellate case management system.	07/23
10	Ad-hoc reporting allows	Judges, appellate	Through the implementation	By examining the number of custom	07/23

SCHEDULE IV-B FOR APPELLATE CASE MANAGEMENT SOLUTION

BENEFITS REALIZATION TABLE					
	courts to get the data they need to make critical decisions fast without a dependency on external resources.	clerks, OSCA, and public.	of a COTS appellate case management system that provides feature-rich data searching, filtering, and ad-hoc reporting.	reports generated in-house.	
11	Ability to track case related communications within the case management system.	Judges, judicial staff, and appellate clerks.	Through the implementation of an appellate case management system that provides the ability to communicate on cases within the system.	By examining case related communications and determining whether the information is stored externally or kept within the system.	07/23
12	Evergreen appellate case management solution: ability to stay current and keep up with the ever-changing appellate court technology, automation, and data integration needs in the judicial branch.	Public, attorneys, litigants, judges, judicial staff, appellate clerks, and OSCA.	Through the implementation of a COTS appellate case management system that contractually agrees to continue to offer periodic software updates/updates for the life of the product.	Monitor vendor provide maintenance, support, and available upgrades.	07/23

**B. Cost Benefit Analysis (CBA)**

Please see Appendix A for the updated Cost Benefit Analysis on the Appellate Case Management Solution.

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

Please see Appendix B for the [updated](#) Project Risk Assessment. Risk mitigation measures are discussed below.

### **Risk Mitigation**

#### *Strategic*

Modernizing the appellate courts' case management systems is clearly aligned with the State Courts System's mission and constitutional authority. Objectives are documented and understood by stakeholder and senior management and executive stakeholders will remain actively involved throughout the project. The proposed technology solution is expected to produce a direct, measurable impact on the business processes. To the extent possible at this stage of the project, business area requirements, assumptions, constraints, and priorities have been defined and documented. Externally, the litigants and the public will experience quality access to the appellate courts through a unified solution. Internally, judges, court staff, and other court partners will experience the benefits of a secure and efficient case management system. These are all viewed as positive benefits of the proposed solution.

#### *Technology*

Although the OSCA and the appellate courts have limited experience with operating and supporting the proposed technical solution, the benefit of selecting a COTS appellate case management solution is that the systems are well-established and in production in many other state and federal jurisdictions. Additionally, the proposed COTS technical solution complies with relevant industry standards and aligns with the State's "cloud first" policy and would require minor or no infrastructure change to the appellate courts existing technology infrastructure.

#### *Organizational Change Management*

Moderate organizational change is expected as a result of implementing a COTS appellate case management solution. Although only some of the process changes have been identified and documented, all business processes will be reviewed and unified to the extent possible during the discovery phase and prior to procurement of the proposed solution. The organizational changes are expected to produce a positive impact on the appellate courts and is not expected to have any negative impact on Florida's citizens or state agencies with regard to the way users access the appellate courts.

#### *Communication*

The State Courts System prides itself on fostering a collaborative environment where solutions are fostered by the Supreme Court-appointed councils, commissions, and committees comprised of judicial branch leaders from around the state. The Appellate Case Management Change Advisory Board (CAB) and the Appellate Court Technology Committee (ACTC) are the governing authorities over the development and implementation of the Appellate Case Management Solution. A formal Communication Plan is currently being developed and communications are on-going and established through numerous channels with all affected stakeholders. Prior to engaging a vendor, the formal Communication Plan will be submitted to the CAB for final approval.



***Fiscal***

A spending plan has been approved and is proposed in association with this legislative budget request. See Section D.2 above.

***Project Organization***

The Appellate Case Management Change Advisory Board (CAB) and the Appellate Court Technology Committee (ACTC) provides the governance framework over the project and all roles and responsibilities are clearly defined. Additionally, the project management office will be responsible for managing the project with the oversight of the Court Information Officer. Business functional and technical experts are dedicated full-time to the project.

***Project Management***

This project will be managed with a high-level of oversight from the State Courts System executive management teams (CAB and ACTC). The project management team will use the methodology selected by the systems integrator which will be consistent with the Project Management Institute's Project Management Body of Knowledge.

***Project Complexity***

The State Courts System has implemented technology projects of similar complexity. This project involves the appellate courts (Supreme Court and District Courts); end users are dispersed across six (6) sites. The project is not expected to affect state operations or external entities but is projected to have a positive impact on the appellate courts business processes and infrastructure.

**VI. Schedule IV-B Technology Planning**

**A. Current Information Technology Environment**

**1. Information Technology Standards**

The current system consists of the Supreme Court and District Courts disbursed throughout the state. Each appellate court has approximately three servers at its location, including a web server, a database server, and a file server. Some locations have additional backup servers as well. All appellate courts share an e-filing server and a document processing server, which are separate. Disaster Recovery hardware has been added in Jacksonville, including 10 additional servers (web, database, file processing, document processing, and file servers).

**a. Description of Current System**

The current systems run on .Net 2017 with an Oracle 19c backend and peripheral software for support (see table below).

**b. Current System Resource Requirements**

Please see the table below for resource requirements, as they vary by server function and location.

**c. Current System Performance**

Current system performance is reliable, with approximately 98% up time.

**2. Information Technology Standards**

The solution was built around technology standards from early 2000s and 2010s. The current solution is not completely ADA compliant.

**B. Current Hardware and/or Software Inventory**

The following chart illustrates the current hardware and software used to support the current appellate case management systems:

Software Name	# Licenses	Cost
Aspose	6	\$9,000
Atalasoftware	6	\$14,000
Oracle	11	\$107,000
ITextPDF	1	\$10,400

# Servers	CPU	Memory	Storage/Hard Drive	Type
7	Xeon E5 2697 2.3GHz	16GB	100GB	Web
1	Xeon E5 2697 2.3GHz	32GB	200GB	Document Processing
18	Xeon E5 2697 2.3GHz	64GB	5TB	File Storage
2	Xeon E5 2697 2.3 GHz	16GB	3.5TB	E-Filing Processing
11	Xeon E5 2640 2.6GHz	64GB	700GB	Database

**C. Proposed Technical Solution**

The proposed technical solution is a commercial off-the-shelf (COTS) vendor provisioned,

maintained, and supported web-based case management solution hosted in a secure, scalable cloud environment. The solution must implement security that integrates with the existing Appellate Court Active Directory infrastructure. The system must also be designed around a role-based access control model to ensure security can be managed in compliance with Florida Judicial Branch requirements. The system must also have the ability to delegate role administration so that individual courts can locally manage system access for their users. Security components must also include audit logs of all transactions, redundant points of access, and backup capabilities that mitigate data loss from accidental, intentional, or malicious events. The solution must comply with regulatory requirements and include a well-documented, industry-standard, web-services Application Programmable Interface (API) that allows for the development of custom integrations. The system must also have a public access portal and secure authentication so that parties and attorneys can look up their filings and case information. Attorney and party user authentication should not be tied to Active Directory so that Courts do not incur charges for each new user. The solution must support TWAIN-compliant desktop scanners, batch scanning, and Optical Character Recognition (OCR.). Service level agreements between the vendor and court support staff will be developed to ensure role and support assignments are unambiguous, and performance and availability requirements are mutually agreed on. Additionally, the system must integrate with the Florida Courts E-Filing Portal. The system must also be a multi-tenant system that allows data and document sharing between appellate courts.

**1. Technical Solution Alternatives**

- a. Same as the proposed solution above except that the OSCA would manage, maintain, and support the application rather than the vendor.
- b. Rearchitect and evolve the current on-premise case management system.

**2. Rationale for Selection**

The proposed solution facilitates the greatest efficiency from the fiscal and human resources perspective while aligning with the executive and legislative branch “cloud-first” initiatives. A mature, cloud-based COTS solution can also be implemented in less time, with less risk, and provides enhanced cybersecurity, stability, performance, mobility, and continuity of operations. It also already includes the best appellate courts business needs and automation features from around the country.

**3. Recommended Technical Solution**

See the above “Proposed Technical Solution.”

**D. Proposed Solution Description**

**1. Summary Description of Proposed System**

- a. **System type (e.g., OLTP, data warehouse, document management system, web application, database)**

- Case Management System
- b. **Connectivity requirements (e.g., wired vs. wireless)**
  - Cloud-based
- c. **Requirements for security, privacy, confidentiality, and public access to comply with applicable federal/state laws, including sections 282.601-282.606, F.S.**
  - Florida state law section 282.601-282.602, Accessibility of Information and Technology
- d. **Development and procurement approach**
  - COTS
- e. **Internal and external interfaces**
  - REST API
  - Electronic Filing Manager (EFM)
  - Public portal
- f. **Maturity and life expectancy of the technology**
  - A mature COTS Appellate Case Management System with a track record of success in multiple state and federal jurisdictions. Software upgrades and updates available at regular intervals; an evergreen model with no known end-of-life date.
- g. **Other system(s) proposed solution must integrate with**
  - Florida Courts E-Filing Portal

## 2. Resource and summary level funding requirements for proposed solution

1. **Anticipated technical platform and hardware requirements**
  - Cloud-based solution, no physical hardware requirements other than the user's desktop scanners must be TWAIN-compliant.
2. **Required data center services to be provided by the state data center or other service provider**
  - Not applicable
3. **Anticipated software requirements**
  - See "Proposed Technical Solution"
4. **Anticipated staffing requirements**
  - See "Cost Benefits Analysis"

SCHEDULE IV-B FOR APPELLATE CASE MANAGEMENT SOLUTION

5. Anticipated ongoing operating costs

- See “Cost Benefits Analysis”

Summary Level Funding Requirements for Proposed Solution

A legislative budget request has been vetted by the Appellate Case Management Change Advisory Board (CAB) and the Appellate Court Technology Committee (ACTC) and approved by the Florida Supreme Court. The table below shows projected costs for fiscal years 2021-22 and 2022-23. Cost estimates were based on General Services Administration negotiated prices and by using appropriate industry pricing tools.

	Contracted Services	Expenses	OPS Other Personal Services	HR Human Resource Services	Total
<b>FY 2021-22</b>					
Software Licenses		\$2,300,000.00			\$2,300,000.00
Planning, Configuration and Implementation	\$1,700,000.00				\$1,700,000.00
Maintenance & Support Services	\$ 450,000.00				\$ 450,000.00
Cloud Hosting Costs		\$ 140,000.00			\$ 140,000.00
OPS Position			\$ 99,631.00		\$ 99,631.00
HR Costs				\$ 203.00	\$ 203.00
<b>Sub-Total</b>	<b>\$2,150,000.00</b>	<b>\$2,440,000.00</b>	<b>\$ 99,631.00</b>		<b>\$4,689,834.00</b>
<b>FY 2022-23</b>					
Implementation	\$3,800,000.00				\$3,800,000.00
<u>Maintenance/Support Services (Year 1 recurring portion not picked up)</u>	<u>\$ 450,000.00</u>				<u>\$ 450,000.00</u>
<u>Maintenance &amp; Support Services (Year 2 Recurring)</u>	<u>\$ 2020,000.00</u>				<u>\$ 2020,000.00</u>
<u>Cloud Hosting Costs (Year 1 recurring not picked up)</u>		<u>\$ -140,000.00</u>			<u>\$ 140,000.00</u>
OPS Position			<del>\$99,631.00</del>	<del>\$185.00</del>	<del>\$ 99,631.00</del>
<u>HR Costs</u>	-	-		<del>\$ 203.00</del>	<del>\$ 203.00</del>
<b>Sub-Total</b>	<b><u>\$43,28720,000.00</u></b>	<b><u>\$-140,000.00</u></b>	<b><u>\$99,631.00</u></b>	<b><u>\$185.00</u></b>	<b><u>\$34,919509,834816.00</u></b>

~~\$~~ \_\_\_\_\_ -

**\$98,609,199,668,650.00**

### E. Capacity Planning

The proposed solution is cloud-based and designed to scale from the smallest appellate court to the largest. Capacity planning will be part of the discovery phase of the project, in cooperation with the selected vendor.

## VII. Schedule IV-B Project Management Planning

### Project Scope

#### Objective

Implement a secure, modern COTS appellate case management system designed for a remote, mobile workforce that meets the objectives of the Courts and aids in the fair and timely resolution of cases. The same system will be used by all five (5) District Courts and the Supreme Court via a singular, global configuration. The Supreme Court may include its own variations of the configuration, but all District Courts will use the same configuration to better support business continuity.

#### Deliverables

##### Professional Services

- Project management.
- Project discovery with stakeholders to develop a final Statement of Work and project timeline.
- Gap analysis and the development of a business implementation plan.
- System configuration.
- Data migration for case information, docket entries, and documents; migration will not include financials.
- Training for users, judges/justices, system administrators, and support staff.
- Deployment of the software.
- Security hardening to remediate risks identified by OSCA and security partners.

##### Components

- Core appellate case management system (see features below).
- Clerk review module & integration with the existing statewide e-filing portal for incoming filings and outgoing messages/responses.
- Document management system.
- Reporting.
- Public access.

- Integration services and an API Toolkit to connect external systems and facilitate custom automation and data exchanges.
- System Documentation.

### Features

- ADA compliance.
- Auto calculation of due dates.
- Automated electronic service from the courts to the parties via direct links to the statewide portal.
- Calendaring & scheduling.
- Case consolidation.
- Case initiation workflow.
- Chambers and opinion processing.
- Configurable templates.
- Data harvesting from lower court.
- Enhanced search features.
- Highly configurable rules' engines that assist in the processing of cases throughout the case lifecycle.
- Integration with Attorney Registration System.
- Judicial panel management.
- Motion and petition management.
- Originating court/agency information.
- Party/participant management.
- Performance measurements.
- Potential conflicts management.
- Public and restricted access to the docket and images.
- Record and document management.
- Responsive front-end & mobile-friendly access.
- Robust document generation automation.
- Ticklers and alerts.
- User management and configuration at the local level.
- Voting and circulation.
- Will use the existing entities in the statewide e-filing portal to automatically populate case parties, attorneys, and other entity types when possible.

### Maintenance

#### Annual support and maintenance of the installed solution

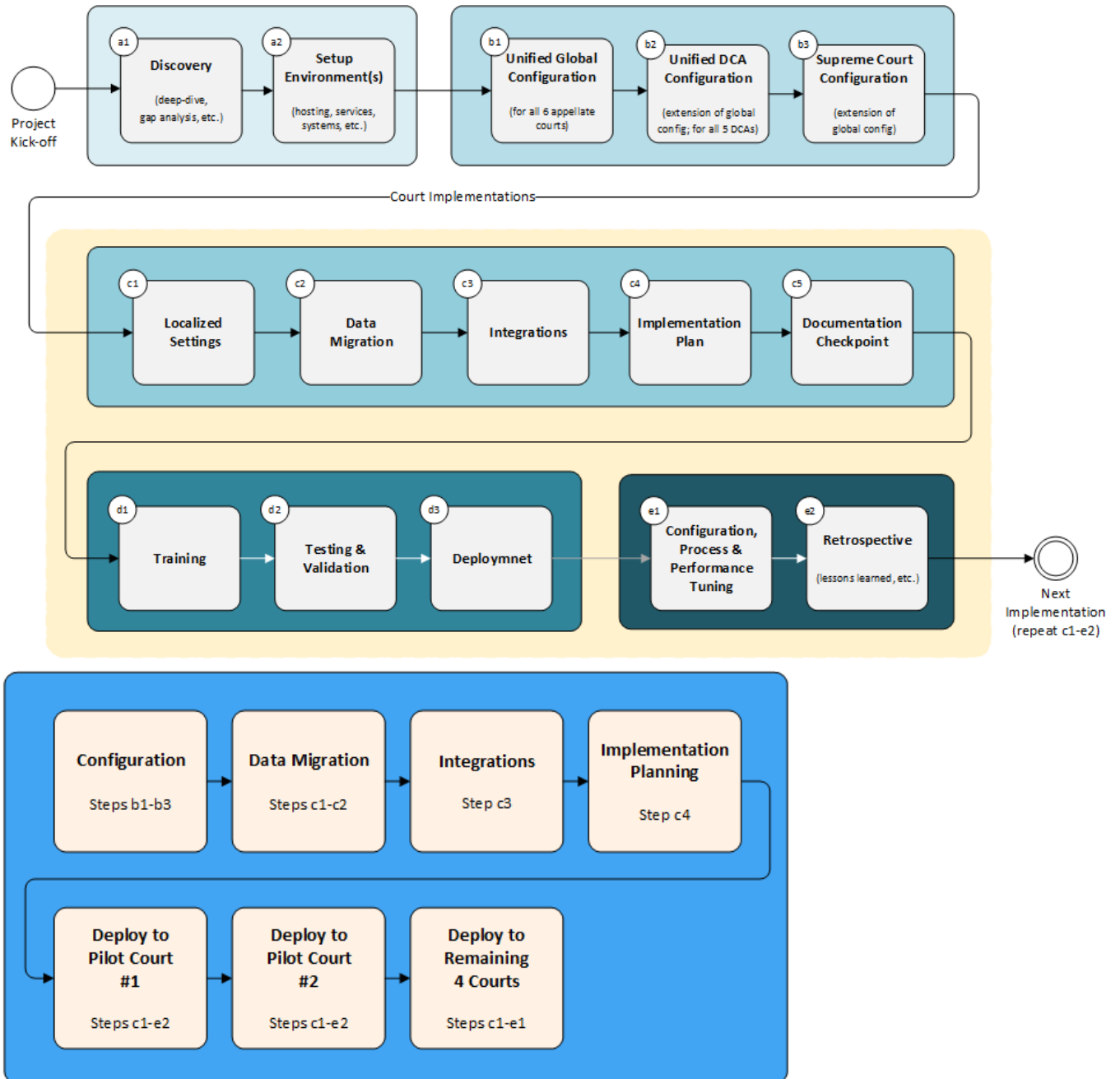
- Software maintenance & support; upgrades available; evergreen
- Bug fixes & patches necessary to keep the software current, secure, and in accordance with the SSA.

#### Separate agreement with the vendor or a 3rd party vendor for cloud hosting services

- Service Level Agreement

### Project Phasing Plan

Baseline phasing plan; subject to change at the direction of the Appellate Case Management Change Advisory Board.





## Baseline Schedule

TARGET COMPLETION DATES	
MONTH	EVENT
<del>14</del>	<del>Contract Negotiation Project kick-off</del>
<del>22</del>	<del>Contract Execution and Project Governance and Solution Architecture Discovery-</del>
<del>33</del>	<del>Environment SetupSetup environment, including hosting services</del>
<del>73</del>	<del>Pilot – Data Migration Cycle #1 Configuration, including chambers processing workflows-</del>
<del>137</del>	<del>Pilot – Custom Functionality and Data Migration Cycle #2 Pilot court #1 localization-</del>
<del>157</del>	<del>Pilot – Solution Validation and Data Migration Cycle #3 Pilot court #1 data migration-cycle #1-</del>
<del>179</del>	<del>Pilot – Release Candidate #1 Pilot court #1 data migration-cycle #2-</del>
<del>1813</del>	<del>Pilot – Release Candidate #2 Pilot court #1 system administrator, judicial, and court staff role-based training-</del>
<del>1913</del>	<del>Pilot – Post Go Live Hot Fix Pilot court #1 data migration-cycle #3-</del>
<del>2013</del>	<del>Pilot – Post Go Live Maintenance Release Pilot court #1 testing &amp; validation-</del>
<del>2115</del>	<del>Group 2 – Data Migration Cycle #1 Pilot court #1 go-live-</del>
<del>2215</del>	<del>Group 2 – Solution Validation and Data Migration Cycle #2 Pilot court #1 configuration, process, and performance tuning-</del>
<del>25</del>	<del>Group 2 – Release Candidate</del>
<del>25</del>	<del>Group 2 – Post Go Live Hotfix</del>
<del>2715</del>	<del>Group 3 – Data Migration Cycle #1 Pilot court #2 preparation and implementation planning-</del>
<del>2816</del>	<del>Group 3 – Solution Validation and Data Migration Cycle #2 Pilot court #2 go-live-</del>
<del>3117</del>	<del>Group 3 – Release Candidate Pilot court #2 configuration, process, and performance tuning-</del>
<del>3118</del>	<del>Group 3 – Post Go Live Hotfix Pilot courts #1 &amp; #2 post go-live maintenance release-</del>
<del>18-24</del>	<del>Roll-out remaining courts-</del>

The schedule will be built-out and refined in cooperation with the selected vendor, stakeholders, project team, and other subject matter experts. In addition to milestones, the schedule will include a Work Breakdown Structure (WBS), dependencies, Gantt charts, lead times, etc.

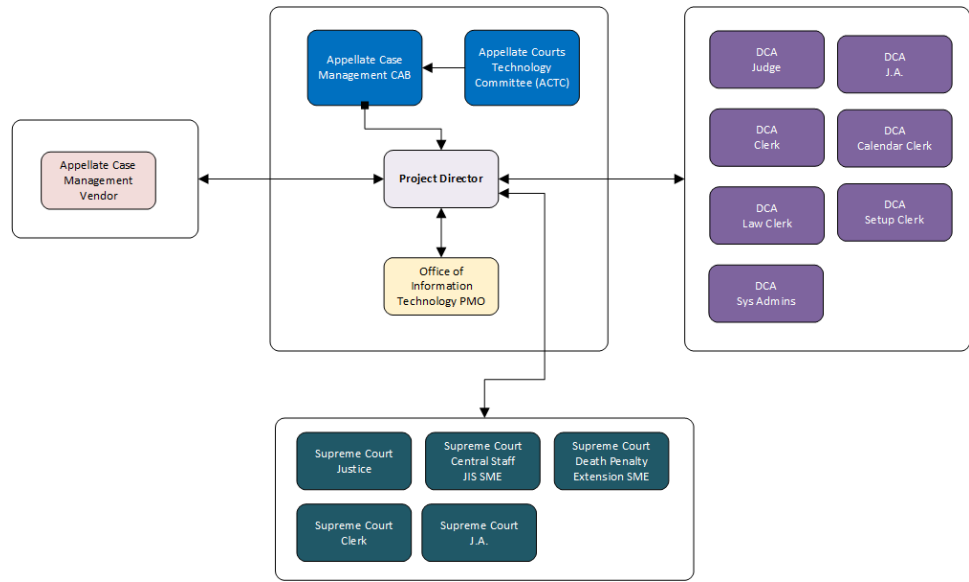
## Project Organization

### Governance

The Judicial Branch employs a number of governing bodies to carry out critical initiatives. The key governing bodies in the appellate court system include commissions and committees appointed

by the Supreme Court, and the chief judges of each appellate court. Five primary stakeholder groups are instrumental in planning the integration of the COTS Case Management Solution: The Appellate Case Management Change Advisory Board (CAB), the Appellate Court Technology Committee (ACTC), chief judges of the appellate courts, clerks of the appellate courts, and the OSCA, Office of Information Technology.

### Organizational Structure



### Strategic Plan

Planning for technology should align with the Long-Range Strategic Plan of the Florida Judicial Branch 2016-2021, in which the Supreme Court adopted long-range issues and associated goals (noted in the list below, in pertinent part) to support the mission and vision of the judicial branch and improve accessibility, fairness, effectiveness, responsiveness, and accountability of the court system.

#### Long-Range Goals Supported by COTS Appellate Case Management Solution Plan

Goal 1.2 – Ensure the fair and timely resolution of all cases through effective case management.

Goal 2.1 – Minimize economic barriers to court access and services.

Goal 2.2 – Provide useful information about court procedures, available services, forms, and other resources.

Goal 3.4 – Coordinate with justice system partners to share information and promote services which further the interests of court users.

Goal 4.2 – Safeguard the security, integrity, and confidentiality of court data and technology systems.

Goal 4.3 – Create a compatible technology infrastructure to improve case management and meet the needs of the judicial branch and court users.

Goal 4.6 – Secure sufficient financial resources for technology and innovation to meet current needs and future challenges.

Goal 5.6 – Ensure judges and court employees have the technological skills necessary to perform more efficiently.

### **Quality Assurance Plan**

The project’s quality assurance plan will include the measurements described in the Success Criteria section of this document. It will also be built-out in cooperation with the selected vendor, stakeholders, project team, and other subject matter experts. It will include but not be limited to continuous integration with industry-standard testing best practices, data migration validation tools, workflow/business process validation, extensive User Acceptance Testing, system audits, performance & load testing, integration data validation & testing, and Service Level Agreements (SLAs) included as part of the contract with the hosting services provider.

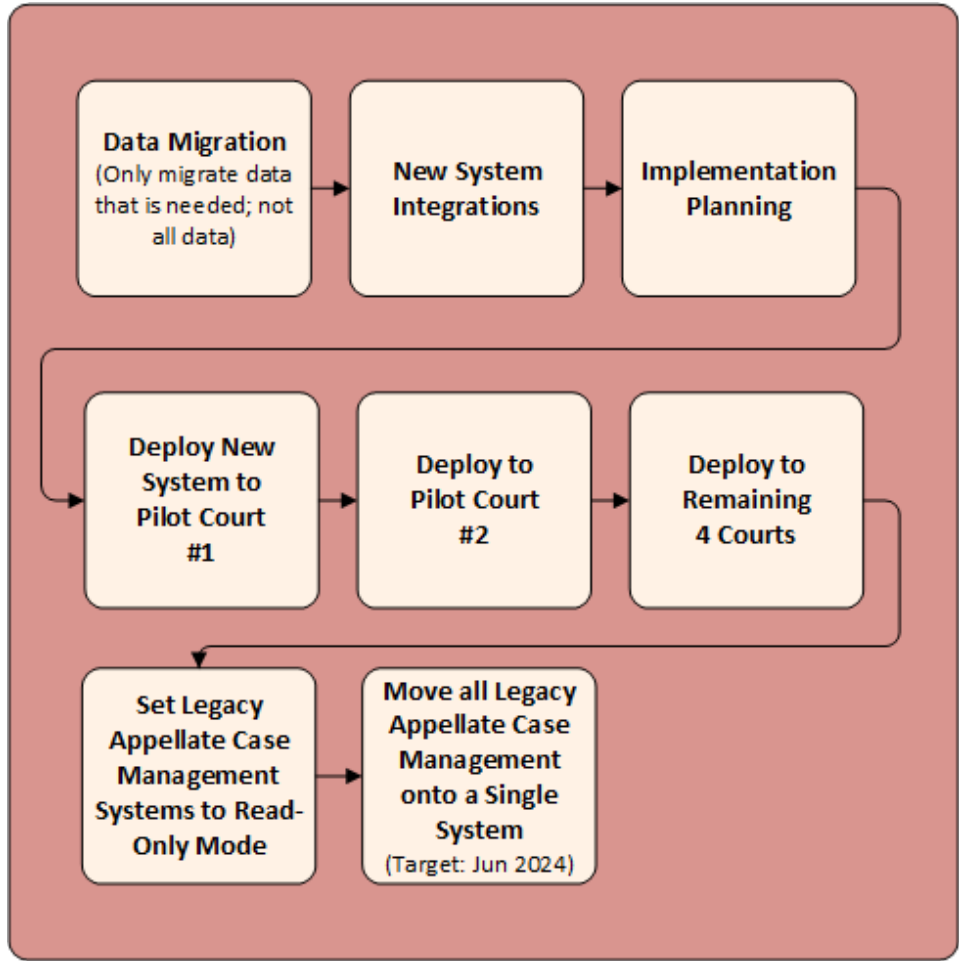
### **Risk Management Plan**

The project team will be incorporating risk assessment, analysis, evaluation, and response planning before each of the major phases described under the Project Phasing Plan along with continuous monitoring, review, and mitigation throughout the duration project. Risk management planning will be performed in cooperation with the selected vendor, stakeholders, project team, and other subject matter experts.

### **Implementation Plan**

See Project Phasing and baseline schedule section for additional details. The implementation plan will be developed in cooperation with the selected appellate case management system vendor, and the project stakeholders.

Data migration will be kept to a minimum to ensure a quick transition to the new system. Archived data will be kept in the legacy system and accessible as read-only.



## VIII. Appendices

Appendix A-Updated Cost Benefits Analysis

Appendix B-Updated Project Risk Assessment

CBAForm 1 - Net Tangible Benefits

Agency State Court System Project Appellate Case Management System

Net Tangible Benefits - Operational Cost Changes (Costs of Current Operations versus Proposed Operations as a Result of the Project) and Additional Tangible Benefits -- CBAForm 1A															
Agency <i>(Recurring Costs Only -- No Project Costs)</i>	FY 2022-23			FY 2023-24			FY 2024-25			FY 2025-26			FY 2026-27		
	(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
<b>A. Personnel Costs -- Agency-Managed Staff</b>	\$239,094	\$115,982	\$355,075	\$355,075	-\$103,814	\$251,261	\$251,261	-\$102,736	\$148,525	\$148,525	\$0	\$148,525	\$148,525	\$0	\$148,525
<b>A.b Total Staff</b>	4.25	0.00	4.25	4.25	-1.00	3.25	3.25	-1.75	1.50	1.50	0.00	1.50	1.50	0.00	1.50
A-1.a. State FTEs (Salaries & Benefits)	\$219,494	\$115,982	\$335,475	\$335,475	-\$94,014	\$241,461	\$241,461	-\$92,936	\$148,525	\$148,525	\$0	\$148,525	\$148,525	\$0	\$148,525
A-1.b. State FTEs (#)	3.25		3.25	3.25	-1.00	2.25	2.25	-0.75	1.50	1.50	0.00	1.50	1.50	0.00	1.50
A-2.a. OPS Staff (Salaries)	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
A-2.b. OPS (#)	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
A-3.a. Staff Augmentation (Contract Cost)	\$19,600	\$0	\$19,600	\$19,600	-\$9,800	\$9,800	\$9,800	-\$9,800	\$0	\$0	\$0	\$0	\$0	\$0	\$0
A-3.b. Staff Augmentation (# of Contractors)	1.00	0.00	1.00	1.00	0.00	1.00	1.00	-1.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
<b>B. Application Maintenance Costs</b>	\$244,991	\$471,950	\$716,941	\$716,941	\$22,407	\$739,348	\$739,348	-\$138,806	\$600,542	\$600,542	\$22,531	\$623,073	\$623,073	\$2,195	\$625,268
B-1. Managed Services (Staffing)	\$65,000	\$1,950	\$66,950	\$66,950	\$2,009	\$68,959	\$68,959	\$2,069	\$71,028	\$71,028	\$2,131	\$73,159	\$73,159	\$2,195	\$75,354
B-2. Hardware	\$6,165	\$0	\$6,165	\$6,165		\$6,165	\$6,165	-\$6,165	\$0	\$0	\$0	\$0	\$0	\$0	\$0
B-3. Software	\$173,826	\$0	\$173,826	\$173,826		\$173,826	\$173,826	-\$154,326	\$19,500	\$19,500	\$0	\$19,500	\$19,500	\$0	\$19,500
B-4. Other <i>Maintenance and Support Services</i>	\$0	\$470,000	\$470,000	\$470,000	\$20,398	\$490,398	\$490,398	\$19,616	\$510,014	\$510,014	\$20,400	\$530,414	\$530,414	\$0	\$530,414
<b>C. Data Center Provider Costs</b>	\$0	\$140,000	\$140,000	\$140,000	\$0	\$140,000	\$140,000	\$0	\$140,000	\$140,000	\$0	\$140,000	\$140,000	\$0	\$140,000
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	\$140,000	\$140,000	\$140,000	\$0	\$140,000	\$140,000	\$0	\$140,000	\$140,000	\$0	\$140,000	\$140,000	\$0	\$140,000
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
<b>D. Plant &amp; Facility Costs</b>	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
<b>E. Other Costs</b>	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
E-1. Training	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
E-2. Travel	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
E-3. Other <i>Specify</i>	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
<b>Total of Recurring Operational Costs</b>	\$484,085	\$727,932	\$1,212,016	\$1,212,016	-\$81,408	\$1,130,608	\$1,130,609	-\$241,542	\$889,067	\$889,067	\$22,531	\$911,598	\$911,598	\$2,195	\$913,793
<b>F. Additional Tangible Benefits:</b>		\$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	
<b>Total Net Tangible Benefits:</b>		(\$727,932)			\$81,408			\$241,542			(\$22,531)			(\$2,195)	

CHARACTERIZATION OF PROJECT BENEFIT ESTIMATE -- CBAForm 1B			
Choose Type	Estimate Confidence	Enter % (+/-)	
Detailed/Rigorous	<input checked="" type="checkbox"/>	Confidence Level	95%
Order of Magnitude	<input type="checkbox"/>	Confidence Level	
Placeholder	<input type="checkbox"/>	Confidence Level	

	A	B	C	D	E	F	G	H	I	J	K	L	M	N	O	P	Q	R	S	T	
1	State Court System	Appellate Case Management System			CBAForm 2A Baseline Project Budget																
2	Costs entered into each row are mutually exclusive. Insert rows for detail and modify appropriation categories as necessary, but do not remove any of the provided project cost elements. Reference vendor quotes in the Item Description where applicable.				FY2022-23			FY2023-24			FY2024-25			FY2025-26			FY2026-27			TOTAL	
3	Include only one-time project costs in this table. Include any recurring costs in CBA Form 1A.				\$ 7,844,346	\$ 3,206,442			\$ 1,397,075			\$ -			\$ -			\$ -			\$ 12,447,863
4	Item Description (remove guidelines and annotate entries here)	Project Cost Element	Appropriation Category	Current & Previous Years Project-Related Cost	YR 1 #	YR 1 LBR	YR 1 Base Budget	YR 2 #	YR 2 LBR	YR 2 Base Budget	YR 3 #	YR 3 LBR	YR 3 Base Budget	YR 4 #	YR 4 LBR	YR 4 Base Budget	YR 5 #	YR 5 LBR	YR 5 Base Budget	TOTAL	
5	Costs for all state employees working on the project.	FTE	S&B	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	\$ -	\$ -
6	Costs for all OPS employees working on the project.	OPS	OPS	\$ 99,834	1.00	\$ 99,816	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	\$ -	\$ 199,650
7	Staffing costs for personnel using Time & Expense.	Staff Augmentation	Contracted Services	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	\$ -	\$ -
8	Project management personnel and related deliverables.	Project Management	Contracted Services	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	\$ -	\$ -
9	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	\$ -	\$ -	\$ -	\$ -
10	Staffing costs for all professional services not included in other categories.	Consultants/Contractors	Contracted Services	\$ 2,339,338	0.00	\$ -	\$ 140,000	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	\$ -	\$ 2,479,338
11	Separate requirements analysis and feasibility study procurements.	Project Planning/Analysis	Contracted Services	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -
12	Hardware purchases not included in data center services.	Hardware	OCO	\$ 559,415		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ 559,415
13	Commercial software purchases and licensing costs.	Commercial Software	Contracted Services	\$ 3,754,024		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ 3,754,024
14	Professional services with fixed-price costs (i.e. software development, installation, project documentation)	Project Deliverables	Contracted Services	\$ 1,062,374		\$ 2,966,626	\$ -		\$ -	\$ 1,397,075		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ 5,426,075
15	All first-time training costs associated with the project.	Training	Contracted Services	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -
16	Include the quote received from the data center provider for project equipment and services. Only include one-time project costs in this row. Recurring, project-related data center costs are included in CBA Form 1A.	Data Center Services - One Time Costs	Data Center Category	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -
17	Other contracted services not included in other categories.	Other Services	Contracted Services	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -
18	Include costs for non-state data center equipment required by the project and the proposed solution (insert additional rows as needed for detail)	Equipment	Expense	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -
19	Include costs associated with leasing space for project personnel.	Leased Space	Expense	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -
20	Other project expenses not included in other categories.	Other Expenses	Expense	\$ 29,361		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ 29,361
21	<b>Total</b>			\$ 7,844,346	1.00	\$ 3,066,442	\$ 140,000	0.00	\$ -	\$ 1,397,075	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -		\$ 12,447,863

CBAForm 2 - Project Cost Analysis

Agency <u>State Court System</u>	Project <u>Appellate Case Management System</u>
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PROJECT COST SUMMARY	PROJECT COST SUMMARY (from CBAForm 2A)					TOTAL
	FY 2022-23	FY 2023-24	FY 2024-25	FY 2025-26	FY 2026-27	
TOTAL PROJECT COSTS (*)	\$3,206,442	\$1,397,075	\$0	\$0	\$0	\$12,447,863
CUMULATIVE PROJECT COSTS <small>(includes Current &amp; Previous Years' Project-Related Costs)</small>	\$11,050,788	\$12,447,863	\$12,447,863	\$12,447,863	\$12,447,863	
Total Costs are carried forward to CBAForm3 Project Investment Summary worksheet.						

PROJECT FUNDING SOURCES	PROJECT FUNDING SOURCES - CBAForm 2B					TOTAL
	FY 2022-23	FY 2023-24	FY 2024-25	FY 2025-26	FY 2026-27	
General Revenue	\$4,509,816	\$0	\$0	\$0	\$0	\$4,509,816
Trust Fund	\$0	\$0	\$0	\$0	\$0	\$0
Federal Match <input type="checkbox"/>	\$0	\$0	\$0	\$0	\$0	\$0
Grants <input type="checkbox"/>	\$0	\$0	\$0	\$0	\$0	\$0
Other <input type="checkbox"/> Specify	\$0	\$0	\$0	\$0	\$0	\$0
TOTAL INVESTMENT	\$4,509,816	\$0	\$0	\$0	\$0	\$4,509,816
CUMULATIVE INVESTMENT	\$4,509,816	\$4,509,816	\$4,509,816	\$4,509,816	\$4,509,816	

Characterization of Project Cost Estimate - CBAForm 2C			
Choose Type	Estimate Confidence	Enter % (+/-)	
Detailed/Rigorous	Confidence Level	x	95%
Order of Magnitude	Confidence Level		
Placeholder	Confidence Level		

CBAForm 3 - Project Investment Summary

Agency	<u>State Court System</u>	Project	<u>Appellate Case Management System</u>
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COST BENEFIT ANALYSIS -- CBAForm 3A						
	FY 2022-23	FY 2023-24	FY 2024-25	FY 2025-26	FY 2026-27	TOTAL FOR ALL YEARS
Project Cost	\$3,206,442	\$1,397,075	\$0	\$0	\$0	\$12,447,863
Net Tangible Benefits	(\$727,932)	\$81,408	\$241,542	(\$22,531)	(\$2,195)	(\$429,708)
Return on Investment	(\$11,778,720)	(\$1,315,667)	\$241,542	(\$22,531)	(\$2,195)	(\$12,877,570)
Year to Year Change in Program Staffing	0	(1)	(2)	0	0	

RETURN ON INVESTMENT ANALYSIS -- CBAForm 3B		
Payback Period (years)	NO PAYBACK	Payback Period is the time required to recover the investment costs of the project.
Breakeven Fiscal Year	NO PAYBACK	Fiscal Year during which the project's investment costs are recovered.
Net Present Value (NPV)	(\$12,513,904)	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 2022-23	FY 2023-24	FY 2024-25	FY 2025-26	FY 2026-27
Cost of Capital	2.69%	2.90%	3.09%	3.29%	3.48%



	B	C	D	E	F	G	H
3	<b>Project</b>		<i>Appellate Case Management Solution</i>				
4							
5	<b>Agency</b>		<i>Office of State Courts Administrator</i>				
6	<b>FY 2021-22 LBR Issue Code:</b>			<b>FY 2021-22 LBR Issue Title:</b>			
7	<i>36320C0</i>			<i>Appellate Case Management Solution</i>			
8	<b>Risk Assessment Contact Info (Name, Phone #, and E-mail Address):</b>						
9	<i>Roosevelt Sawyer, Jr., 850-414-7824, sawyerr@flcourts.org</i>						
10	<b>Executive Sponsor</b>		<i>Elisabeth H. Kiel</i>				
11	<b>Project Manager</b>		<i>Brian Peterson</i>				
12	<b>Prepared By</b>		<i>Roosevelt Sawyer, Jr.</i>			<i>8/20/2021</i>	
14	<b>Risk Assessment Summary</b>						
15							
16	<b>Business Strategy</b>	<b>Level of Project Risk</b>					
17							
18							
19							
20							
21							
22							
23							
24							
25							
26							
27							
28							
29							
30							
31							
32							
34	<b>Project Risk Area Breakdown</b>						
35	<b>Risk Assessment Areas</b>						<i>Risk Exposure</i>
36	<b>Strategic Assessment</b>						<b>MEDIUM</b>
37							
38	<b>Technology Exposure Assessment</b>						<b>MEDIUM</b>
39							
40	<b>Organizational Change Management Assessment</b>						<b>MEDIUM</b>
41							
42	<b>Communication Assessment</b>						<b>MEDIUM</b>
43							
44	<b>Fiscal Assessment</b>						<b>MEDIUM</b>
45							
46	<b>Project Organization Assessment</b>						<b>LOW</b>
47							
48	<b>Project Management Assessment</b>						<b>MEDIUM</b>
49							
50	<b>Project Complexity Assessment</b>						<b>MEDIUM</b>
51							
52							
53	<b>Overall Project Risk</b>						<b>MEDIUM</b>

	B	C	D	E
1	<b>Agency: Office of State Courts Administrator</b>		<b>Project: Appellate Case Management Solution</b>	
3	<b>Section 1 -- Strategic Area</b>			
4	<b>#</b>	<b>Criteria</b>	<b>Values</b>	<b>Answer</b>
5	1.01	Are project objectives clearly aligned with the agency's legal mission?	0% to 40% -- Few or no objectives aligned	81% to 100% -- All or nearly all objectives aligned
6			41% to 80% -- Some objectives aligned	
7			81% to 100% -- All or nearly all objectives aligned	
8	1.02	Are project objectives clearly documented and understood by all stakeholder groups?	Not documented or agreed to by stakeholders	Documented with sign-off by stakeholders
9			Informal agreement by stakeholders	
10			Documented with sign-off by stakeholders	
11	1.03	Are the project sponsor, senior management, and other executive stakeholders actively involved in meetings for the review and success of the project?	Not or rarely involved	Most regularly attend executive steering committee meetings
12			Most regularly attend executive steering committee meetings	
13			Project charter signed by executive sponsor and executive team actively engaged in steering committee meetings	
14	1.04	Has the agency documented its vision for how changes to the proposed technology will improve its business processes?	Vision is not documented	Vision is completely documented
15			Vision is partially documented	
16			Vision is completely documented	
17	1.05	Have all project business/program area requirements, assumptions, constraints, and priorities been defined and documented?	0% to 40% -- Few or none defined and documented	41% to 80% -- Some defined and documented
18			41% to 80% -- Some defined and documented	
19			81% to 100% -- All or nearly all defined and documented	
20	1.06	Are all needed changes in law, rule, or policy identified and documented?	No changes needed	No changes needed
21			Changes unknown	
22			Changes are identified in concept only	
23			Changes are identified and documented	
24			Legislation or proposed rule change is drafted	
25	1.07	Are any project phase or milestone completion dates fixed by outside factors, e.g., state or federal law or funding restrictions?	Few or none	Few or none
26			Some	
27			All or nearly all	
28	1.08	What is the external (e.g. public) visibility of the proposed system or project?	Minimal or no external use or visibility	Extensive external use or visibility
29			Moderate external use or visibility	
30			Extensive external use or visibility	
31	1.09	What is the internal (e.g. state agency) visibility of the proposed system or project?	Multiple agency or state enterprise visibility	Multiple agency or state enterprise visibility
32			Single agency-wide use or visibility	
33			Use or visibility at division and/or bureau level only	
34	1.10	Is this a multi-year project?	Greater than 5 years	Between 1 and 3 years
35			Between 3 and 5 years	
36			Between 1 and 3 years	
37			1 year or less	

	B	C	D	E
1	<b>Agency: Office of State Courts Administrator</b>		<b>Project: Appellate Case Management Solution</b>	
3	<b>Section 2 -- Technology Area</b>			
4	<b>#</b>	<b>Criteria</b>	<b>Values</b>	<b>Answer</b>
5	2.01	Does the agency have experience working with, operating, and supporting the proposed technical solution in a production environment?	Read about only or attended conference and/or vendor presentation	Read about only or attended conference and/or vendor presentation
6			Supported prototype or production system less than 6 months	
7			Supported production system 6 months to 12 months	
8			Supported production system 1 year to 3 years	
9			Installed and supported production system more than 3 years	
10	2.02	Does the agency's internal staff have sufficient knowledge of the proposed technical solution to implement and operate the new system?	External technical resources will be needed for implementation and operations	External technical resources will be needed for implementation and operations
11			External technical resources will be needed through implementation only	
12			Internal resources have sufficient knowledge for implementation and operations	
13	2.03	Have all relevant technical alternatives/ solution options been researched, documented and considered?	No technology alternatives researched	All or nearly all alternatives documented and considered
14			Some alternatives documented and considered	
15			All or nearly all alternatives documented and considered	
16	2.04	Does the proposed technical solution comply with all relevant agency, statewide, or industry technology standards?	No relevant standards have been identified or incorporated into proposed technology	Proposed technology solution is fully compliant with all relevant agency, statewide, or industry standards
17			Some relevant standards have been incorporated into the proposed technology	
18			Proposed technology solution is fully compliant with all relevant agency, statewide, or industry standards	
19	2.05	Does the proposed technical solution require significant change to the agency's existing technology infrastructure?	Minor or no infrastructure change required	Minor or no infrastructure change required
20			Moderate infrastructure change required	
21			Extensive infrastructure change required	
22			Complete infrastructure replacement	
23	2.06	Are detailed hardware and software capacity requirements defined and documented?	Capacity requirements are not understood or defined	Capacity requirements are defined only at a conceptual level
24			Capacity requirements are defined only at a conceptual level	
25			Capacity requirements are based on historical data and new system design specifications and performance requirements	

	B	C	D	E
1	<b>Agency: Office of State Courts Administrator</b>		<b>Project: Appellate Case Management Solution</b>	
3	<b>Section 3 -- Organizational Change Management Area</b>			
4	<b>#</b>	<b>Criteria</b>	<b>Values</b>	<b>Answer</b>
5	3.01	What is the expected level of organizational change that will be imposed within the agency if the project is successfully implemented?	Extensive changes to organization structure, staff or business processes	Moderate changes to organization structure, staff or business processes
6			Moderate changes to organization structure, staff or business processes	
7			Minimal changes to organization structure, staff or business processes structure	
8	3.02	Will this project impact essential business processes?	Yes	Yes
9			No	
10	3.03	Have all business process changes and process interactions been defined and documented?	0% to 40% -- Few or no process changes defined and documented	81% to 100% -- All or nearly all processes defined and documented
11			41% to 80% -- Some process changes defined and documented	
12			81% to 100% -- All or nearly all processes defined and documented	
13	3.04	Has an Organizational Change Management Plan been approved for this project?	Yes	No
14			No	
15	3.05	Will the agency's anticipated FTE count change as a result of implementing the project?	Over 10% FTE count change	Less than 1% FTE count change
16			1% to 10% FTE count change	
17			Less than 1% FTE count change	
18	3.06	Will the number of contractors change as a result of implementing the project?	Over 10% contractor count change	Over 10% contractor count change
19			1 to 10% contractor count change	
20			Less than 1% contractor count change	
21	3.07	What is the expected level of change impact on the citizens of the State of Florida if the project is successfully implemented?	Extensive change or new way of providing/receiving services or information)	Minor or no changes
22			Moderate changes	
23			Minor or no changes	
24	3.08	What is the expected change impact on other state or local government agencies as a result of implementing the project?	Extensive change or new way of providing/receiving services or information	Minor or no changes
25			Moderate changes	
26			Minor or no changes	
27	3.09	Has the agency successfully completed a project with similar organizational change requirements?	No experience/Not recently (>5 Years)	Recently completed project with fewer change requirements
28			Recently completed project with fewer change requirements	
29			Recently completed project with similar change requirements	
30			Recently completed project with greater change requirements	

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

	B	C	D	E
1	Agency: Office of State Courts Administrator		Project: Appellate Case Management Solution	
3	Section 5 -- Fiscal Area			
4	#	Criteria	Values	Answer
5	5.01	Has a documented Spending Plan been approved for the entire project lifecycle?	Yes	Yes
6			No	
7	5.02	Have all project expenditures been identified in the Spending Plan?	0% to 40% -- None or few defined and documented	81% to 100% -- All or nearly all defined and documented
8			41% to 80% -- Some defined and documented	
9			81% to 100% -- All or nearly all defined and documented	
10	5.03	What is the estimated total cost of this project over its entire lifecycle?	Unknown	Between \$2 M and \$10 M
11			Greater than \$10 M	
12			Between \$2 M and \$10 M	
13			Between \$500K and \$1,999,999	
14	Less than \$500 K			
15	5.04	Is the cost estimate for this project based on quantitative analysis using a standards-based estimation model?	Yes	Yes
16			No	
17	5.05	What is the character of the cost estimates for this project?	Detailed and rigorous (accurate within ±10%)	Detailed and rigorous (accurate within ±10%)
18			Order of magnitude – estimate could vary between 10-100%	
19			Placeholder – actual cost may exceed estimate by more than 100%	
20	5.06	Are funds available within existing agency resources to complete this project?	Yes	No
21			No	
22	5.07	Will/should multiple state or local agencies help fund this project or system?	Funding from single agency	Funding from single agency
23			Funding from local government agencies	
24			Funding from other state agencies	
25	5.08	If federal financial participation is anticipated as a source of funding, has federal approval been requested and received?	Neither requested nor received	Not applicable
26			Requested but not received	
27			Requested and received	
28			Not applicable	
29	5.09	Have all tangible and intangible benefits been identified and validated as reliable and achievable?	Project benefits have not been identified or validated	Most project benefits have been identified but not validated
30			Some project benefits have been identified but not validated	
31			Most project benefits have been identified but not validated	
32			All or nearly all project benefits have been identified and validated	
33	5.10	What is the benefit payback period that is defined and documented?	Within 1 year	No payback
34			Within 3 years	
35			Within 5 years	
36			More than 5 years	
37			No payback	
38	5.11	Has the project procurement strategy been clearly determined and agreed to by affected stakeholders?	Procurement strategy has not been identified and documented	Stakeholders have reviewed and approved the proposed procurement strategy
39			Stakeholders have not been consulted re: procurement strategy	
40			Stakeholders have reviewed and approved the proposed procurement strategy	
41	5.12	What is the planned approach for acquiring necessary products and solution services to successfully complete the project?	Time and Expense (T&E)	Combination FFP and T&E
42			Firm Fixed Price (FFP)	
43			Combination FFP and T&E	
44	5.13	What is the planned approach for procuring hardware and software for the project?	Timing of major hardware and software purchases has not yet been determined	Just-in-time purchasing of hardware and software is documented in the project schedule
45			Purchase all hardware and software at start of project to take advantage of one-time discounts	
46			Just-in-time purchasing of hardware and software is documented in the project schedule	
47	5.14	Has a contract manager been assigned to this project?	No contract manager assigned	Contract manager assigned is not the procurement manager or the project manager
48			Contract manager is the procurement manager	
49			Contract manager is the project manager	
50			Contract manager assigned is not the procurement manager or the project manager	
51	5.15	Has equipment leasing been considered for the project's large-scale computing purchases?	Yes	No
52			No	
53	5.16	Have all procurement selection criteria and outcomes been clearly identified?	No selection criteria or outcomes have been identified	All or nearly all selection criteria and expected outcomes have been defined and documented
54			Some selection criteria and outcomes have been defined and documented	
55			All or nearly all selection criteria and expected outcomes have been defined and documented	
56	5.17	Does the procurement strategy use a multi-stage evaluation process to progressively narrow the field of prospective vendors to the single, best qualified candidate?	Procurement strategy has not been developed	Multi-stage evaluation and proof of concept or prototype planned/used to select best qualified vendor
57			Multi-stage evaluation not planned/used for procurement	
58			Multi-stage evaluation and proof of concept or prototype planned/used to select best qualified vendor	
59	5.18	For projects with total cost exceeding \$10 million, did/will the procurement strategy require a proof of concept or prototype as part of the bid response?	Procurement strategy has not been developed	Not applicable
60			No, bid response did/will not require proof of concept or prototype	
61			Yes, bid response did/will include proof of concept or prototype	
62			Not applicable	

	B	C	D	E
1	Agency: Office of State Courts Administrator		Project: Appellate Case Management Solution	
3	Section 6 -- Project Organization Area			
4	#	Criteria	Values	Answer
5	6.01	Is the project organization and governance structure clearly defined and documented within an approved project plan?	Yes	Yes
6			No	
7	6.02	Have all roles and responsibilities for the executive steering committee been clearly identified?	None or few have been defined and documented	All or nearly all have been defined and documented
8			Some have been defined and documented	
9			All or nearly all have been defined and documented	
10	6.03	Who is responsible for integrating project deliverables into the final solution?	Not yet determined	System Integrator (contractor)
11			Agency	
12			System Integrator (contractor)	
13	6.04	How many project managers and project directors will be responsible for managing the project?	3 or more	3 or more
14			2	
15			1	
16	6.05	Has a project staffing plan specifying the number of required resources (including project team, program staff, and contractors) and their corresponding roles, responsibilities and needed skill levels been developed?	Needed staff and skills have not been identified	Staffing plan identifying all staff roles, responsibilities, and skill levels have been documented
17			Some or most staff roles and responsibilities and needed skills have been identified	
18			Staffing plan identifying all staff roles, responsibilities, and skill levels have been documented	
19	6.06	Is an experienced project manager dedicated fulltime to the project?	No experienced project manager assigned	Yes, experienced project manager dedicated full-time, 100% to project
20			No, project manager is assigned 50% or less to project	
21			No, project manager assigned more than half-time, but less than full-time to project	
22			Yes, experienced project manager dedicated full-time, 100% to project	
23	6.07	Are qualified project management team members dedicated full-time to the project	None	Yes, business, functional or technical experts dedicated full-time, 100% to project
24			No, business, functional or technical experts dedicated 50% or less to project	
25			No, business, functional or technical experts dedicated more than half-time but less than full-time to project	
26			Yes, business, functional or technical experts dedicated full-time, 100% to project	
27	6.08	Does the agency have the necessary knowledge, skills, and abilities to staff the project team with in-house resources?	Few or no staff from in-house resources	Completely staffed from in-house resources
28			Half of staff from in-house resources	
29			Mostly staffed from in-house resources	
30			Completely staffed from in-house resources	
31	6.09	Is agency IT personnel turnover expected to significantly impact this project?	Minimal or no impact	Minimal or no impact
32			Moderate impact	
33			Extensive impact	
34	6.10	Does the project governance structure establish a formal change review and control board to address proposed changes in project scope, schedule, or cost?	Yes	Yes
35			No	
36	6.11	Are all affected stakeholders represented by functional manager on the change review and control board?	No board has been established	No, all stakeholders are not represented on the board
37			No, only IT staff are on change review and control board	
38			No, all stakeholders are not represented on the board	
39			Yes, all stakeholders are represented by functional manager	

	B	C	D	E
1	Agency: Office of State Courts Administrator		Project: Appellate Case Management Solution	
3	Section 7 -- Project Management Area			
4	#	Criteria	Values	Answer
5	7.01	Does the project management team use a standard commercially available project management methodology to plan, implement, and control the project?	No	Project Management team will use the methodology selected by the systems integrator
6			Project Management team will use the methodology selected by the systems integrator	
7			Yes	
8	7.02	For how many projects has the agency successfully used the selected project management methodology?	None	More than 3
9			1-3	
10			More than 3	
11	7.03	How many members of the project team are proficient in the use of the selected project management methodology?	None	All or nearly all
12			Some	
13			All or nearly all	
14	7.04	Have all requirements specifications been unambiguously defined and documented?	0% to 40% -- None or few have been defined and documented	81% to 100% -- All or nearly all have been defined and documented
15			41 to 80% -- Some have been defined and documented	
16			81% to 100% -- All or nearly all have been defined and documented	
17	7.05	Have all design specifications been unambiguously defined and documented?	0% to 40% -- None or few have been defined and documented	81% to 100% -- All or nearly all have been defined and documented
18			41 to 80% -- Some have been defined and documented	
19			81% to 100% -- All or nearly all have been defined and documented	
20	7.06	Are all requirements and design specifications traceable to specific business rules?	0% to 40% -- None or few are traceable	41 to 80% -- Some are traceable
21			41 to 80% -- Some are traceable	
22			81% to 100% -- All or nearly all requirements and specifications are traceable	
23	7.07	Have all project deliverables/services and acceptance criteria been clearly defined and documented?	None or few have been defined and documented	Some deliverables and acceptance criteria have been defined and documented
24			Some deliverables and acceptance criteria have been defined and documented	
25			All or nearly all deliverables and acceptance criteria have been defined and documented	
26	7.08	Is written approval required from executive sponsor, business stakeholders, and project manager for review and sign-off of major project deliverables?	No sign-off required	Review and sign-off from the executive sponsor, business stakeholder, and project manager are required on all major project deliverables
27			Only project manager signs-off	
28			Review and sign-off from the executive sponsor, business stakeholder, and project manager are required on all major project deliverables	
29	7.09	Has the Work Breakdown Structure (WBS) been defined to the work package level for all project activities?	0% to 40% -- None or few have been defined to the work package level	41 to 80% -- Some have been defined to the work package level
30			41 to 80% -- Some have been defined to the work package level	
31			81% to 100% -- All or nearly all have been defined to the work package level	
32	7.10	Has a documented project schedule been approved for the entire project lifecycle?	Yes	No
33			No	
34	7.11	Does the project schedule specify all project tasks, go/no-go decision points (checkpoints), critical milestones, and resources?	Yes	No
35			No	
36	7.12	Are formal project status reporting processes documented and in place to manage and control this project?	No or informal processes are used for status reporting	No or informal processes are used for status reporting
37			Project team uses formal processes	
38			Project team and executive steering committee use formal status reporting processes	
39	7.13	Are all necessary planning and reporting templates, e.g., work plans, status reports, issues and risk management, available?	No templates are available	Some templates are available
40			Some templates are available	
41			All planning and reporting templates are available	
42	7.14	Has a documented Risk Management Plan been approved for this project?	Yes	No
43			No	
44	7.15	Have all known project risks and corresponding mitigation strategies been identified?	None or few have been defined and documented	None or few have been defined and documented
45			Some have been defined and documented	
46			All known risks and mitigation strategies have been defined	
47	7.16	Are standard change request, review and approval processes documented and in place for this project?	Yes	Yes
48			No	
49	7.17	Are issue reporting and management processes documented and in place for this project?	Yes	Yes
50			No	



	B	C	D	E
1	Agency: Office of State Courts Administrator		Project: Appellate Case Management Solution	
2				
3	<b>Section 8 -- Project Complexity Area</b>			
4	#	Criteria	Values	Answer
5	8.01	How complex is the proposed solution compared to the current agency systems?	Unknown at this time	Similar complexity
6			More complex	
7			Similar complexity	
8			Less complex	
9	8.02	Are the business users or end users dispersed across multiple cities, counties, districts, or regions?	Single location	More than 3 sites
10			3 sites or fewer	
11			More than 3 sites	
12	8.03	Are the project team members dispersed across multiple cities, counties, districts, or regions?	Single location	More than 3 sites
13			3 sites or fewer	
14			More than 3 sites	
15	8.04	How many external contracting or consulting organizations will this project require?	No external organizations	1 to 3 external organizations
16			1 to 3 external organizations	
17			More than 3 external organizations	
18	8.05	What is the expected project team size?	Greater than 15	9 to 15
19			9 to 15	
20			5 to 8	
21			Less than 5	
22	8.06	How many external entities (e.g., other agencies, community service providers, or local government entities) will be impacted by this project or system?	More than 4	None
23			2 to 4	
24			1	
25			None	
26	8.07	What is the impact of the project on state operations?	Business process change in single division or bureau	Business process change in single division or bureau
27			Agency-wide business process change	
28			Statewide or multiple agency business process change	
29	8.08	Has the agency successfully completed a similarly-sized project when acting as Systems Integrator?	Yes	Yes
30			No	
31	8.09	What type of project is this?	Infrastructure upgrade	Combination of the above
32			Implementation requiring software development or purchasing commercial off the shelf (COTS) software	
33			Business Process Reengineering	
34			Combination of the above	
35	8.10	Has the project manager successfully managed similar projects to completion?	No recent experience	Similar size and complexity
36			Lesser size and complexity	
37			Similar size and complexity	
38			Greater size and complexity	
39	8.11	Does the agency management have experience governing projects of equal or similar size and complexity to successful completion?	No recent experience	Similar size and complexity
40			Lesser size and complexity	
41			Similar size and complexity	
42			Greater size and complexity	

**SCHEDULE IX: MAJOR AUDIT FINDINGS AND RECOMMENDATIONS**

**Budget Period: 2022-2023**

**Department:** State Courts System

**Chief Internal Auditor:** Millicent Burns

**Budget Entity:** All State Courts

**Phone Number:** 850-488-9123

(1)	(2)	(3)	(4)	(5)	(6)
REPORT NUMBER	PERIOD ENDING	UNIT/AREA	SUMMARY OF FINDINGS AND RECOMMENDATIONS	SUMMARY OF CORRECTIVE ACTION TAKEN	ISSUE CODE
A.19.20.06	Report issued March 10, 2021	Office of the State Courts Administrator - Office of Human Resources - Payroll	Recommendations were made regarding improved controls over timekeeping practices and updating guidelines and internal training.	The Office of the State Courts Administrator has developed an action plan to address these areas and has taken corrective action.	

## Fiscal Year 2022-23 LBR Technical Review Checklist

Department/Budget Entity (Service): State Courts System

Agency Budget Officer/OPB Analyst Name: Sharon Bosley

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)				
	22010100	22010200	22100600	Trial Courts	22350100

### 1. GENERAL

1.1 Are Columns A01, A04, A05, A91, A92, A93, A94, A95, A96, A36, A10, IA1, IA4, 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)? <b>(CSDI or Web LBR Column Security)</b>	Yes	Yes	Yes	Yes	Yes
1.2 Is Column A03 set to TRANSFER CONTROL for DISPLAY and UPDATE status for both the Budget and Trust Fund columns? <b>(CSDI)</b>	Yes	Yes	Yes	Yes	Yes

### AUDITS:

1.3 Have Column A03 budget files been copied to Column A12? Run the Exhibit B Audit Comparison Report to verify. <b>(EXBR, EXBA)</b>	Yes	Yes	Yes	Yes	Yes
1.4 Have Column A03 trust fund files been copied to Column A12? Run Schedule I <b>(SC1R, SC1 or SC1R, SC1D adding column A12)</b> to verify.	Yes	Yes	Yes	Yes	Yes
1.5 Has Column A12 security been set correctly to ALL for DISPLAY status and MANAGEMENT CONTROL for UPDATE status for Budget and Trust Fund files? <b>(CSDR, CSA)</b>	Yes	Yes	Yes	Yes	Yes
<b>TIP</b> 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 included in the LAS/PBS Web upload process requires 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 57 of the LBR Instructions?	Yes	Yes	Yes	Yes	Yes
2.2 Are the statewide issues generated systematically (estimated expenditures, nonrecurring expenditures, etc.) included?	Yes	Yes	Yes	Yes	Yes
2.3 Are the issue codes and titles consistent with <i>Section 3</i> of the LBR Instructions (pages 15 through 27)? Do they clearly describe the issue?	Yes	Yes	Yes	Yes	Yes

### 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.	Yes	Yes	Yes	Yes	Yes
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### AUDITS:

3.2 Negative Appropriation Category Audit for Agency Request (Columns A03 and A04): Are all appropriation categories positive by budget entity and program component at the FSI level? Are all nonrecurring amounts less than requested amounts? <b>(NACR, NAC - Report should print "No Negative Appropriation Categories Found")</b>	Yes	Yes	Yes	Yes	Yes
3.3 Current Year Estimated Verification Comparison Report: Is Column A02 equal to Column B07? <b>(EXBR, EXBC - Report should print "Records Selected Net To Zero")</b>	Yes	Yes	Yes	Yes	Yes
<b>TIP</b> Generally look for and be able to fully explain significant differences between A02 and A03.					

Action		Program or Service (Budget Entity Codes)				
		22010100	22010200	22100600	Trial Courts	22350100
TIP	Exhibit B - A02 equal to B07: Compares Current Year Estimated column to a backup of A02. This audit is necessary to ensure that the historical detail records have not been adjusted. Records selected should net to zero.					
TIP	Requests for appropriations which require advance payment authority must use the sub-title "Grants and Aids". For advance payment authority to local units of government, the Aid to Local Government appropriation category (05XXXX) should be used. For advance payment authority to non-profit organizations or other units of state government, a Special Categories appropriation category (10XXXX) should be used.					
<b>4. EXHIBIT D (EADR, EXD)</b>						
4.1	Is the program component objective statement consistent with the agency LRPP, and does it conform to the directives provided on page 61 of the LBR Instructions?	Yes	Yes	Yes	Yes	Yes
4.2	Is the program component code and title used correct?	Yes	Yes	Yes	Yes	Yes
TIP	Fund shifts or transfers of services or activities between program components will be displayed on an Exhibit D whereas it may not be visible on an Exhibit A.					
<b>5. EXHIBIT D-1 (ED1R, EXD1)</b>						
5.1	Are all object of expenditures positive amounts? (This is a manual check.)	Yes	Yes	Yes	Yes	Yes
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")	Yes	Yes	Yes	Yes	Yes
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.)	Yes	Yes	Yes	Yes	Yes
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.)	Yes	Yes	Yes	Yes	Yes
TIP	If objects are negative amounts, the agency must make adjustments to Column A01 to correct the object amounts. In addition, the fund totals must be adjusted to reflect the adjustment made to the object data.					
TIP	If fund totals and object totals do not agree or negative object amounts exist, the agency must adjust Column A01.					
TIP	Exhibit B - A01 less than B04: This audit is to ensure that the disbursements and carry/certifications forward in A01 are less than FY 2020-21 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.					
<b>6. EXHIBIT D-3 (ED3R, ED3) (Not required in the LBR - for analytical purposes only.)</b>						
6.1	Are issues appropriately aligned with appropriation categories?	Yes	Yes	Yes	Yes	Yes
TIP	Exhibit D-3 is not required in the budget submission but may be needed for this particular appropriation category/issue sort. Exhibit D-3 is also a useful report when identifying negative appropriation category problems.					
<b>7. EXHIBIT D-3A (EADR, ED3A) (Required to be posted to the Florida Fiscal Portal)</b>						
7.1	Are the issue titles correct and do they clearly identify the issue? (See pages 15 through 27 of the LBR Instructions.)	Yes	Yes	NA	Yes	NA
7.2	Does the issue narrative adequately explain the agency's request and is the explanation consistent with the LRPP? (See pages 65 through 68 of the LBR Instructions.)	Yes	Yes	NA	Yes	NA
7.3	Does the narrative for Information Technology (IT) issue follow the additional narrative requirements described on pages 67 through 69 of the LBR Instructions?	NA	Yes	NA	Yes	NA
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?	NA	Yes	NA	Yes	NA

Action		Program or Service (Budget Entity Codes)				
		22010100	22010200	22100600	Trial Courts	22350100
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.5 of the LBR Instructions.)	NA	Yes	NA	Yes	NA
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.	NA	Yes	NA	Yes	NA
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 93 through 95 of the LBR Instructions.)	NA	Yes	NA	NA	NA
7.8	Does the issue narrative include the Consensus Estimating Conference forecast, where appropriate?	NA	NA	NA	NA	NA
7.9	Does the issue narrative reference the specific county(ies) where applicable?	NA	NA	NA	NA	NA
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 #22-001?	NA	NA	NA	NA	NA
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. <b>(PLRR, PLMO)</b>	NA	NA	NA	NA	NA
7.12	Does the issue narrative include plans to satisfy additional space requirements when requesting additional positions?	NA	NA	NA	NA	NA
7.13	Has the agency included a 160XXX0 issue and 210XXXX and 260XXX0 issues as required for lump sum distributions?	NA	NA	NA	NA	NA
7.14	Do the amounts reflect appropriate FSI assignments?	Yes	Yes	Yes	Yes	Yes
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.	NA	NA	NA	NA	NA
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 26 and 90 of the LBR Instructions.)	NA	NA	NA	NA	NA
7.17	Do the issues relating to <i>Information Technology (IT)</i> have a "C" in the sixth position of the issue code (36XXXXCX) and are the correct issue codes used (361XXC0, 362XXC0, 363XXC0, 24010C0, 30010C0, 33011C0, 160E470, or 160E480)?	NA	Yes	NA	NA	NA
7.18	Are the issues relating to <i>major audit findings and recommendations</i> properly coded (4A0XXX0, 4B0XXX0)?	NA	NA	NA	NA	NA
7.19	Does the issue narrative identify the strategy or strategies in the Five Year Statewide Strategic Plan for Economic Development?	NA	NA	NN	NA	NA
<b>AUDIT:</b>						
7.20	Does the General Revenue for 160XXXX (Adjustments to Current Year Expenditures) issues net to zero? <b>(GENR, LBR1)</b>	NA	NA	NA	NA	NA
7.21	Does the General Revenue for 180XXXX (Intra-Agency Reorganizations) issues net to zero? <b>(GENR, LBR2)</b>	NA	NA	NA	NA	NA
7.22	Does the General Revenue for 200XXXX (Estimated Expenditures Realignment) issues net to zero? <b>(GENR, LBR3)</b>	Yes	Yes	Yes	Yes	Yes
7.23	Have FCO appropriations been entered into the nonrecurring column (A04)? <b>(GENR, LBR4 - Report should print "No Records Selected For Reporting" or a listing of D-3A issue(s) assigned to Debt Service (IOE N) or in some cases State Capital Outlay - Public Education Capital Outlay (IOE L))</b>	NA	NA	NA	NA	NA
7.24	Has narrative been entered for all issues requested by the agency? Agencies do not need to include narrative for startup issues (1001000, 2103XXX, etc.) that were not input by the agency. <b>(NAAR, BSNR)</b>	Yes	Yes	Yes	Yes	Yes

Action		Program or Service (Budget Entity Codes)				
		22010100	22010200	22100600	Trial Courts	22350100
7.25	Has the agency entered annualization issues (260XXX0) for any issue that was partially funded in Fiscal Year 2021-22? Review Column G66 to determine whether any incremental amounts are needed to fully fund an issue that was initially appropriated in Fiscal Year 2021-22. Do not add annualization issues for pay and benefit distribution issues, as those annualization issues (26AXXXX) have already been added to A03.	NA	NA	NA	NA	NA
TIP	Salaries and Benefits amounts entered using the OADA/C transactions must be thoroughly justified in the D-3A issue narrative. Agencies can run <b>OADA/OADR</b> from STAM to identify the amounts entered into OAD and ensure these entries have been thoroughly explained in the D-3A issue narrative.					
TIP	The issue narrative must completely and thoroughly explain and justify each D-3A issue. Agencies must ensure it provides the information necessary for the OPB and legislative analysts to have a complete understanding of the issue submitted. Thoroughly review pages 65 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 2021-22 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.					
<b>8. SCHEDULE I &amp; RELATED DOCUMENTS (SC1R, SC1 - Budget Entity Level or SC1R, SC1D - Department Level) (Required to be posted to the Florida Fiscal Portal)</b>						
8.1	Has a separate department level Schedule I and supporting documents package been submitted by the agency?	Yes	Yes	Yes	Yes	Yes
8.2	Has a Schedule I and Schedule IB been completed in LAS/PBS for each operating trust fund?	Yes	Yes	Yes	Yes	Yes
8.3	Have the appropriate Schedule I supporting documents been included for the trust funds (Schedule IA, Schedule IC, and Reconciliation to Trial Balance)?	Yes	Yes	Yes	Yes	Yes
8.4	Have the Examination of Regulatory Fees Part I and Part II forms been included for the applicable regulatory programs?	NA	Yes	NA	NA	NA
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)?	Yes	Yes	Yes	Yes	Yes
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?	NA	Yes	NA	NA	NA
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?	NA	NA	NA	NA	NA
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?	NA	NA	N	NA	NA
8.9	Are the revenue codes correct? In the case of federal revenues, has the agency appropriately identified direct versus indirect receipts (object codes 000700, 000750, 000799, 001510 and 001599)? For non-grant federal revenues, is the correct revenue code identified (codes 000504, 000119, 001270, 001870, 001970)?	Yes	Yes	Yes	Yes	Yes
8.10	Are the statutory authority references correct?	Yes	Yes	Yes	Yes	Yes
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.)	Yes	Yes	Yes	Yes	Yes

Action		Program or Service (Budget Entity Codes)				
		22010100	22010200	22100600	Trial Courts	22350100
8.12	Is this an accurate representation of revenues based on the most recent Consensus Estimating Conference forecasts?	Yes	Yes	Yes	Yes	Yes
8.13	If there is no Consensus Estimating Conference forecast available, do the revenue estimates appear to be reasonable?	Yes	Yes	Yes	Yes	Yes
8.14	Are the federal funds revenues reported in Section I broken out by individual grant? Are the correct CFDA codes used?	Yes	Yes	Yes	Yes	Yes
8.15	Are anticipated grants included and based on the state fiscal year (rather than federal fiscal year)?	Yes	Yes	Yes	Yes	Yes
8.16	Are the Schedule I revenues consistent with the FSI's reported in the Exhibit D-3A?	Yes	Yes	Yes	Yes	Yes
8.17	If applicable, are nonrecurring revenues entered into Column A04?	NA	NA	NA	NA	NA
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?	Yes	Yes	Yes	Yes	Yes
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?	Yes	Yes	Yes	Yes	Yes
8.20	Are appropriate General Revenue Service Charge nonoperating amounts included in Section II?	Yes	Yes	Yes	Yes	Yes
8.21	Are nonoperating expenditures to other budget entities/departments cross-referenced accurately?	Yes	Yes	Yes	Yes	Yes
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.)	Yes	Yes	Yes	Yes	Yes
8.23	Are nonoperating expenditures recorded in Section II and adjustments recorded in Section III?	Yes	Yes	Yes	Yes	Yes
8.24	Are prior year September operating reversions appropriately shown in column A01, Section III?	Yes	Yes	Yes	Yes	Yes
8.25	Are current year September operating reversions (if available) appropriately shown in column A02, Section III?	Yes	Yes	Yes	Yes	Yes
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?	Yes	Yes	Yes	Yes	Yes
8.27	Has the agency properly accounted for continuing appropriations (category 13XXXX) in column A01, Section III?	NA	NA	NA	NA	NA
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?	Yes	Yes	Yes	Yes	Yes
8.29	Does Line I of Column A01 (Schedule I) equal Line K of the Schedule IC?	Yes	Yes	Yes	Yes	Yes
<b>AUDITS:</b>						
8.30	Is Line I a positive number? (If not, the agency must adjust the budget request to eliminate the deficit).	Yes	Yes	Yes	Yes	Yes
8.31	Is the June 30 Adjusted Unreserved Fund Balance (Line I) equal to the July 1 Unreserved Fund Balance (Line A) of the following year? If a Schedule IB was prepared, do the totals agree with the Schedule I, Line I? ( <b>SC1R, SC1A - Report should print "No Discrepancies Exist For This Report"</b> )	Yes	Yes	Yes	Yes	Yes
8.32	Has a Department Level Reconciliation been provided for each trust fund and does Line A of the Schedule I equal the CFO amount? If not, the agency must correct Line A. ( <b>SC1R, DEPT</b> )	Yes	Yes	Yes	Yes	Yes
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?	Yes	Yes	Yes	Yes	Yes
8.34	Have A/R been properly analyzed and any allowances for doubtful accounts been properly recorded on the Schedule IC?	Yes	Yes	Yes	Yes	Yes
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!					

Action		Program or Service (Budget Entity Codes)				
		22010100	22010200	22100600	Trial Courts	22350100
TIP	Determine if the agency is scheduled for trust fund review. (See page 126 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.					
<b>9. SCHEDULE II (PSCR, SC2)</b>						
AUDIT:						
9.1	Is the pay grade minimum for salary rate utilized for positions in segments 2 and 3? ( <b>BRAR, BRAA - Report should print "No Records Selected For This Request"</b> ) Note: Amounts other than the pay grade minimum should be fully justified in the D-3A issue narrative. (See <i>Base Rate Audit</i> on page 156 of the LBR Instructions.)	All positions are requested at 10% above minimum				
<b>10. SCHEDULE III (PSCR, SC3)</b>						
10.1	Is the appropriate lapse amount applied? (See page 88 of the LBR Instructions.)	Yes	Yes	Yes	Yes	Yes
10.2	Are amounts in <i>Other Salary Amount</i> appropriate and fully justified? (See pages 93 through 95 of the LBR Instructions for appropriate use of the OAD transaction.) Use <b>OADI</b> or <b>OADR</b> to identify agency other salary amounts requested.	Yes	Yes	Yes	Yes	Yes
<b>11. SCHEDULE IV (EADR, SC4)</b>						
11.1	Are the correct Information Technology (IT) issue codes used?	Yes	Yes	Yes	Yes	Yes
TIP	If IT issues are not coded (with "C" in 6th position or within a program component of 1603000000), they will not appear in the Schedule IV.					
<b>12. SCHEDULE VIIIA (EADR, SC8A)</b>						
12.1	Is there only one #1 priority, one #2 priority, one #3 priority, etc. reported on the Schedule VIII-A? Are the priority narrative explanations adequate? Note: FCO issues can be included in the priority listing.	Yes	Yes	Yes	Yes	Yes
<b>13. SCHEDULE VIIIB-1 (EADR, S8B1)</b>						
13.1	Do the reductions comply with the instructions provided on pages 100 through 103 of the LBR Instructions regarding an 8.5% reduction in 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.)	NA	NA	NA	NA	NA
TIP	If all or a portion of an issue is intended to be reduced on a nonrecurring basis, include the total reduction amount in Column A91 and the nonrecurring portion in					
<b>14. SCHEDULE VIIIB-2 (EADR, S8B2) (Required to be posted to the Florida Fiscal Portal)</b>						
14.1	Do the reductions comply with the instructions provided on pages 100 through 103 of the LBR Instructions regarding a 10% reduction in 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.)	Yes	Yes	Yes	Yes	Yes
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.					
TIP	If all or a portion of an issue is intended to be reduced on a nonrecurring basis, in the absence of a nonrecurring column, include that intent in narrative.					
<b>15. SCHEDULE VIIIC (EADR, S8C) (This Schedule is optional, but if included it is required to be posted to the Florida Fiscal Portal)</b>						
15.1	Does the schedule display reprioritization issues that are each comprised of two unique issues - a deduct component and an add-back component which net to zero at the department level?	NA	NA	NA	NA	NA
15.2	Are the priority narrative explanations adequate and do they follow the guidelines on pages 97 through 103 of the LBR instructions?	NA	NA	NA	NA	NA



Action		Program or Service (Budget Entity Codes)				
		22010100	22010200	22100600	Trial Courts	22350100
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?	NA	NA	NA	NA	NA
<b>AUDIT:</b>						
15.4	Do the issues net to zero at the department level? ( <b>GENR, LBR5</b> )	NA	NA	NA	NA	NA
<b>16. SCHEDULE XI (UCSR,SCXI) (LAS/PBS Web - see pages 111-115 of the LBR Instructions for detailed instructions) (Required to be posted to the Florida Fiscal Portal in Manual Documents)</b>						
16.1	Agencies are required to generate this spreadsheet via the LAS/PBS Web. <b>The Final Excel version no longer has to be submitted to OPB for inclusion on the Governor's Florida Performs Website.</b> (Note: Pursuant to section 216.023(4) (b), Florida Statutes, the Legislature can reduce the funding level for any agency that does not provide this information.)	Yes	Yes	Yes	Yes	Yes
16.2	Do the PDF files uploaded to the Florida Fiscal Portal for the LRPP and LBR match?	Yes	Yes	Yes	Yes	Yes
<b>AUDITS INCLUDED IN THE SCHEDULE XI REPORT:</b>						
16.3	Does the FY 2020-21 Actual (prior year) Expenditures in Column A36 reconcile to Column A01? ( <b>GENR, ACT1</b> )	Yes	Yes	Yes	Yes	Yes
16.4	None of the executive direction, administrative support and information technology statewide activities (ACT0010 thru ACT0490) have output standards (Record Type 5)? ( <b>Audit #1 should print "No Activities Found"</b> )	Yes	Yes	Yes	Yes	Yes
16.5	Does the Fixed Capital Outlay (FCO) statewide activity (ACT0210) only contain 08XXXX or 14XXXX appropriation categories? ( <b>Audit #2 should print "No Operating Categories Found"</b> )	Yes	Yes	Yes	Yes	Yes
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 <b>Audit #3</b> 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.)	Yes	Yes	Yes	Yes	Yes
16.7	Does Section I (Final Budget for Agency) and Section III (Total Budget for Agency) equal? ( <b>Audit #4 should print "No Discrepancies Found"</b> )	Yes	Yes	Yes	Yes	Yes
<b>TIP</b>	If Section I and Section III have a small difference, it may be due to rounding and therefore will be acceptable.					
<b>17. MANUALLY PREPARED EXHIBITS &amp; SCHEDULES (Required to be posted to the Florida Fiscal Portal)</b>						
17.1	Do exhibits and schedules comply with LBR Instructions (pages 52 through 84 of the LBR Instructions), and are they accurate and complete?	Yes	Yes	Yes	Yes	Yes
17.2	Does manual exhibits tie to LAS/PBS where applicable?	Yes	Yes	Yes	Yes	Yes
17.3	Are agency organization charts (Schedule X) provided and at the appropriate level of detail?	Yes	Yes	Yes	Yes	Yes
17.4	Does the LBR include a separate Schedule IV-B for each IT project over \$1 million (see page 136 of the LBR instructions for exceptions to this rule)? Have all IV-Bs been emailed to: <b>IT@LASPBS.STATE.FL.US</b> ?	Yes	Yes	Yes	Yes	Yes
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) ?	NA	NA	NA	NA	NA
<b>AUDITS - GENERAL INFORMATION</b>						
<b>TIP</b>	Review <i>Section 6: Audits</i> of the LBR Instructions (pages 155-157) for a list of audits and their descriptions.					
<b>TIP</b>	Reorganizations may cause audit errors. Agencies must indicate that these errors are due to an agency reorganization to justify the audit error.					
<b>18. CAPITAL IMPROVEMENTS PROGRAM (CIP) (Required to be posted to the Florida Fiscal Portal)</b>						
18.1	Are the CIP-2, CIP-3, CIP-A and CIP-B forms included?	Yes	Yes	Yes	Yes	Yes
18.2	Are the CIP-4 and CIP-5 forms submitted when applicable (see CIP Instructions)?	Yes	Yes	Yes	Yes	Yes
18.3	Do all CIP forms comply with CIP Instructions where applicable (see CIP Instructions)?	Yes	Yes	Yes	Yes	Yes

Action		Program or Service (Budget Entity Codes)				
		22010100	22010200	22100600	Trial Courts	22350100
18.4	Does the agency request include 5 year projections (Columns A03, A06, A07, A08 and A09)?	Yes	Yes	Yes	Yes	Yes
18.5	Are the appropriate counties identified in the narrative?	Yes	Yes	Yes	Yes	Yes
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?	Yes	Yes	Yes	Yes	Yes
TIP	Requests for Fixed Capital Outlay appropriations which are Grants and Aids to Local Governments and Non-Profit Organizations must use the Grants and Aids to Local Governments and Non-Profit Organizations - Fixed Capital Outlay major appropriation category (140XXX) and include the sub-title "Grants and Aids". These appropriations utilize a CIP-B form as justification.					
<b>19. FLORIDA FISCAL PORTAL</b>						
19.1	Have all files been assembled correctly and posted to the Florida Fiscal Portal as outlined in the Florida Fiscal Portal Submittal Process?	Yes	Yes	Yes	Yes	Yes