



Florida Department of  
Law Enforcement

J. Mark Glass  
*Commissioner*

**Office of Executive Director**  
Post Office Box 1489  
Tallahassee, Florida 32302-1489  
(850) 410-7001  
www.fdle.state.fl.us

Ron DeSantis, *Governor*  
Ashley Moody, *Attorney General*  
Jimmy Patronis, *Chief Financial Officer*  
Wilton Simpson, *Commissioner of Agriculture*

## LEGISLATIVE BUDGET REQUEST

Florida Department of Law Enforcement  
Tallahassee, Florida

September 15, 2023

Chris Spencer, Director  
Office of Policy and Budget  
Executive Office of the Governor  
1702 Capitol  
Tallahassee, Florida 32399-0001

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

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

Dear Directors:

Pursuant to Chapter 216, Florida Statutes, our Legislative Budget Request for the Florida Department of Law Enforcement is submitted in the format prescribed in the budget instructions. The information provided electronically and contained herein is a true and accurate presentation of our proposed needs for the 2024-25 Fiscal Year. This submission has been approved by J. Mark Glass, Commissioner.

Sincerely,

A handwritten signature in blue ink, appearing to read 'J. Mark Glass', is written over a light blue horizontal line.

J. Mark Glass  
Commissioner

## FLORIDA DEPARTMENT OF LAW ENFORCEMENT

### Request for Approval Temporary Special Duty – General Pay Additives Implementation Plan For Fiscal Year 2024-25

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

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

#### Pay Additive – General

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

#### Pay Additive – Absent Coworker

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

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

During fiscal year 2022-23, the agency implemented a total of 128 temporary special duty additives, all of which would fall within the scenarios described above. The positions granted included the following classes; Accounting Services Analyst B and C, Administrative Assistant I and II, Business Consultant I, Contract Administration Analyst, Crime Intelligence Analyst I and II, Crime Laboratory Analyst, Crime Laboratory Technician, Criminal Justice Information Specialist, Criminal Justice Information Consultant I and II, Criminal Justice Information Examiner, Criminal Justice Information Analyst I and II, Education and Training Specialist, Forensic Technologist, Government Analyst I and II, Government Operations Consultant I, II, and III, Law Enforcement Officer, Network Systems Analyst, Operations Analyst I, Operations Review Specialist, Program Consultant, Purchasing Analyst, Research and Training Specialist, Senior Crime Intelligence Analyst II, Senior Professional Accountant, Special Agent, Special Agent Supervisor, Staff Assistant and Systems Programming Consultant.

The agency expended approximately \$122,371 on these additives and anticipates expenditures to be comparable to those in the past year.

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

#### State of Florida and the Police Benevolent Association – Law Enforcement

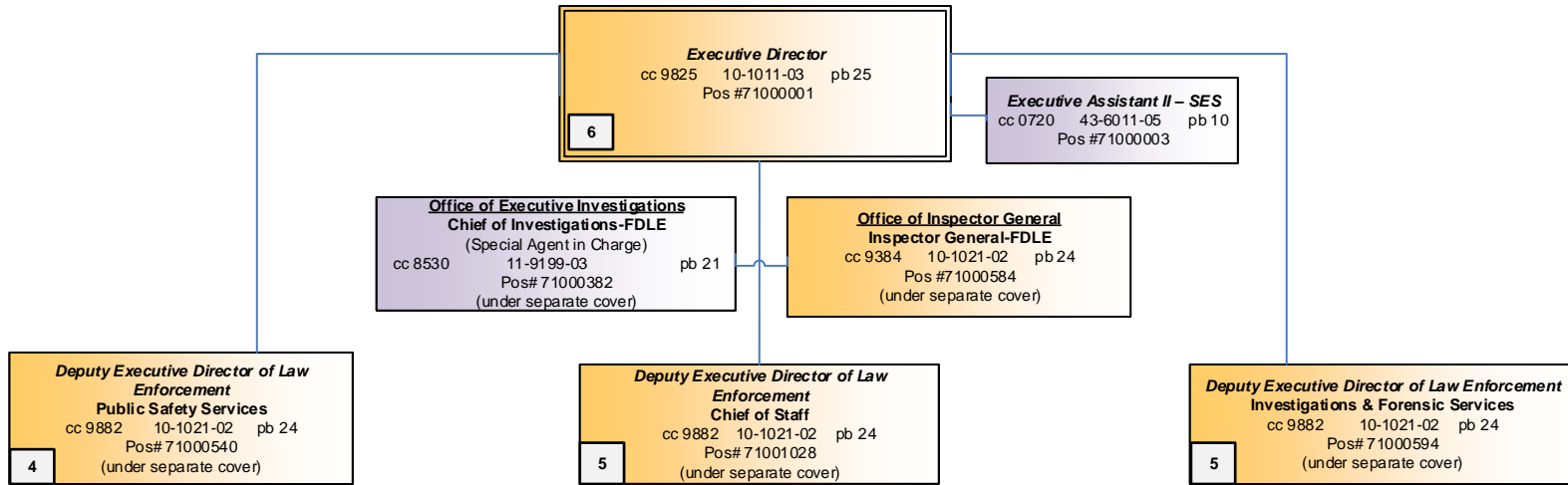
Article 21 Compensation for Temporary Special Duty in Higher Level Position, Section 1

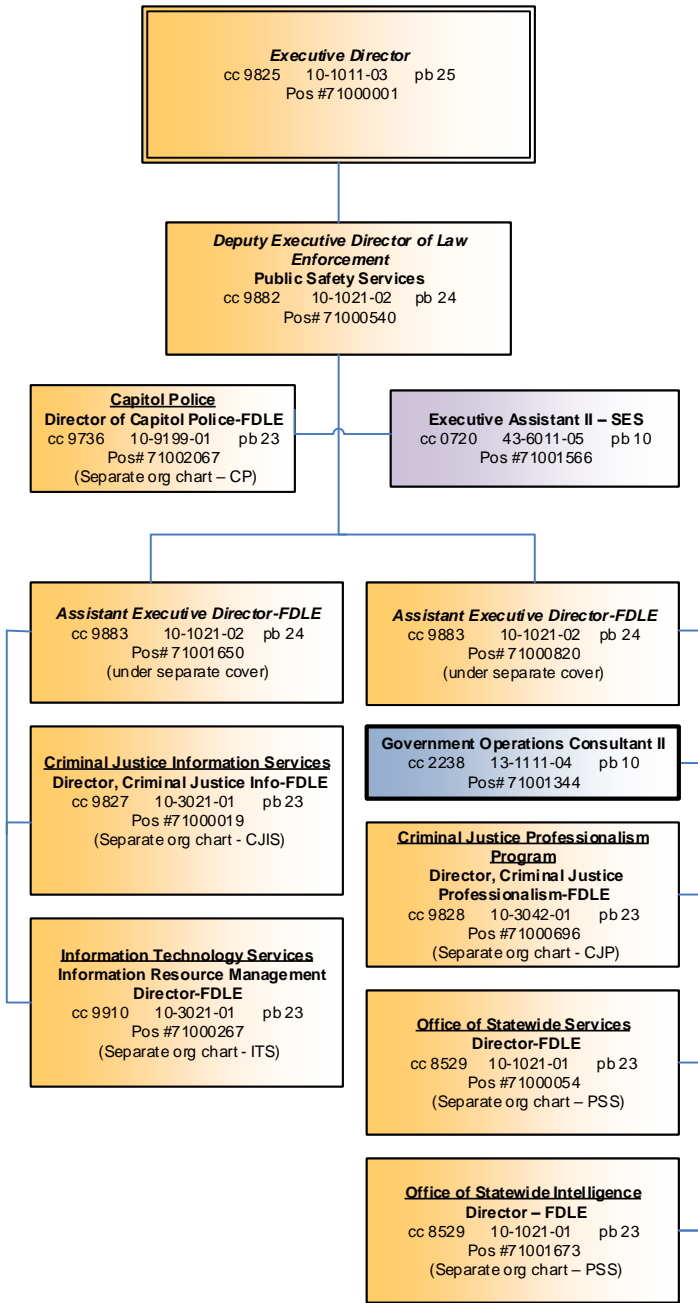
#### State of Florida and the Fraternal Order of Police – Special Agent

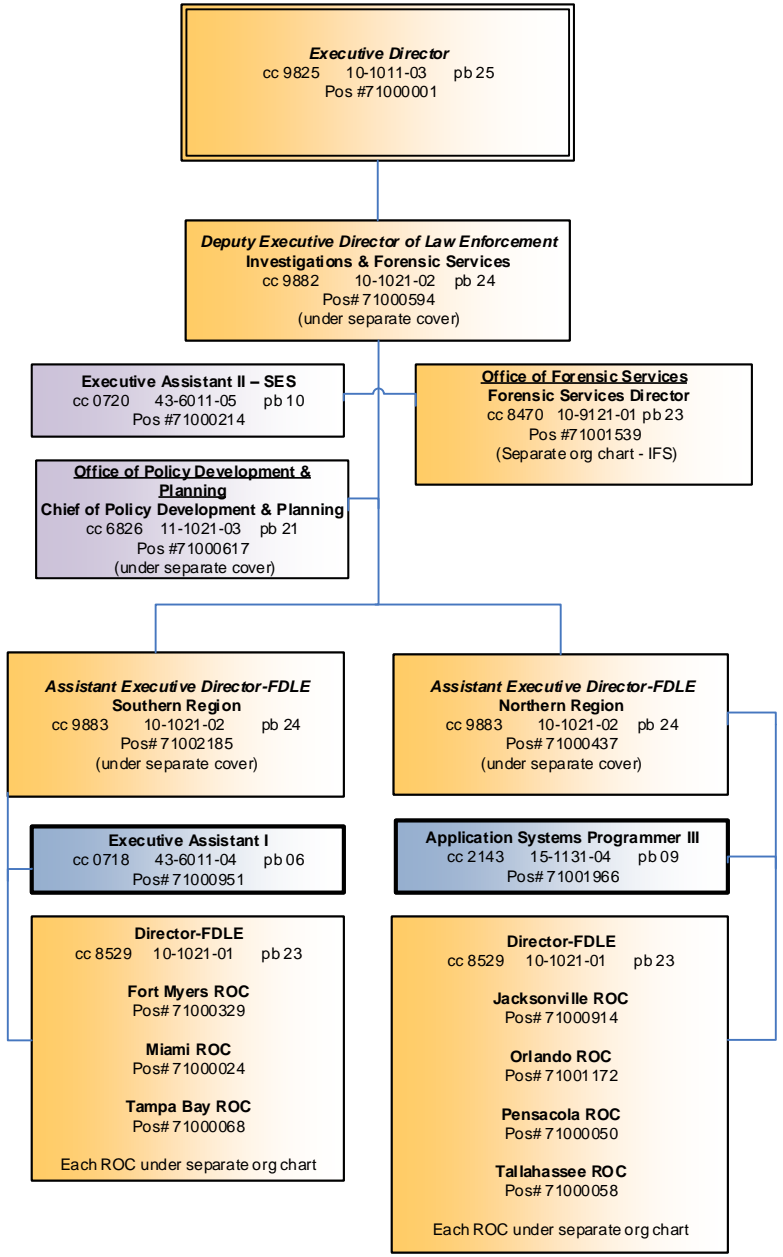
Article 21 Compensation for Temporary Special Duty in Higher Level Position, Section 1

#### AFSCME Master Contract

Article 21 Compensation for Temporary Special Duty in Higher Level Position, A







**Florida Department of Law Enforcement**  
Office of Executive Director  
Chief of Staff  
**CURRENT**

**SMS**  
**SES**  
**CS**  
**OPS**

**Executive Director – FDLE**  
cc 9825 10-1011-03 pb 25  
Pos #71000001

**Deputy Executive Director of Law Enforcement**  
**Chief of Staff**  
cc 9882 10-1021-02 pb 24  
Pos# 71001028

**Executive Assistant II – SES**  
cc 0720 43-6011-05 pb 10  
Pos #71000526

**Deputy Chief of Staff**  
cc 6701 10-1021-02 pb 24  
Pos #71000204

**Protective Operations Services**  
**Chief of Investigations-FDLE**  
cc 8530 11-9199-03 pb 21  
Pos #71000418  
(under separate cover)

**Business Support Program**  
**Director of Business Support**  
**Program-SES**  
cc 9586 10-3011-01 pb 23  
Pos #71000772  
(under separate cover)

**Public Info. & Special Prog. Admin -**  
**FDLE**  
cc 9964 11-2031-03 pb 21  
Pos #71000355

**Legislative Affairs**  
**Legislative Affairs Administrator**  
cc 8698 11-1021-02 pb 20  
Pos #71000465  
**On loan from CJIS**

**External Affairs**  
**Planning & Policy Administrator**  
cc 8536 11-1021-03 pb 21  
Pos #71000595

**Communications Coordinator - FDLE**  
cc 1373 11-2031-02 pb 20  
Pos #71000150  
Pos #71002032  
Pos #71000963

**Senior Budget Officer - SES**  
cc 1711 11-3031-03 pb 21  
Pos #71000151  
**Research and Planning**  
**Administrator**  
cc 2217 13-1199-04 pb 10  
Pos #71000049

**Senior Management Analyst II -**  
**SES**  
cc 2225 13-1111-04 pb 10  
Pos #71000142  
**Government Analyst II**  
cc 2225 13-1111-04 pb 10  
Pos #71002570

**OPS Planning & Evaluation**  
**Specialist**  
cc 2303 13-1111-01 pb 03  
Pos #71900008

**Florida Department of Law Enforcement**  
 Office of Executive Director  
 Office of General Counsel  
**CURRENT**

**Deputy Executive Director of Law Enforcement**  
**Chief of Staff**  
 cc 9882 10-1021-02 pb 24  
 Pos# 71001028

**SMS**  
**SES**  
**CS**  
**OPS**

9  
Direct  
Reports

**General Counsel – FDLE**  
 cc 8965 10-9199-02 pb 24  
 Pos # 71000144

**Business Consultant I**  
 cc 0736 13-1111-03 pb 07  
 Pos #71000808

8  
Direct  
Reports

**Deputy General Counsel**  
 cc 8416 11-9199-04 pb 125  
 Pos #71000616

**Executive Senior Attorney**  
 cc 7739 23-1011-04 pb 14  
 Pos #71000501  
 Pos #71000848  
 Pos #71000849  
 Pos #71000955  
 Pos #71002337  
 Pos #71002603

**Deputy General Counsel**  
 cc 8416 11-9199-04 pb 125  
 Pos #71000314

8  
Direct  
Reports

**Assistant General Counsel**  
 cc 7745 11-9199-04 pb 22  
 Pos #71000695  
 Pos #71000353  
**Senior Attorney**  
 cc 7738 23-1011-04 pb 14  
 Pos #71000037  
 Pos #71000162  
 Pos #71000629  
 Pos #71001464

**Assistant General Counsel**  
 cc 7745 11-9199-04 pb 22  
 Pos #71000573  
 Pos #71002369  
 Pos #71002385  
**Senior Attorney**  
 cc 7738 23-1011-04 pb 14  
 Pos #71001061  
 Pos #71001146

12  
Direct  
Reports

**Operations & Management Consultant  
 Manager**  
 cc 2238 11-1021-02 pb 20  
 Pos #71000120

**OPS Senior Attorney**  
 cc 7738 23-1011-04 pb 14  
 Pos #71900055  
 Pos #71900118

**Government Operations Consultant III**  
 cc 2236 13-1111-04 pb 10  
 Pos #71000731  
**Government Operations Consultant II**  
 cc 2236 13-1111-04 pb 10  
 Pos #71000520  
 Pos #71000183  
 Pos #71002569  
**Government Operations Consultant I**  
 cc 2234 13-1111-03 pb 07  
 Pos #71001532  
 Pos #71002571  
 Pos #71002572  
 Pos #71002573  
**Administrative Secretary**  
 cc 0108 43-6011-02 pb 03  
 Pos #71002321 (0.5 FTE)  
 Pos #71001513 (0.5 FTE)

**OPS Government Operations Consultant I**  
 cc 2234 13-1111-03 pb 07  
 Pos #71900312

**Florida Department of Law Enforcement**

Office of the Executive Director

Office of Inspector General

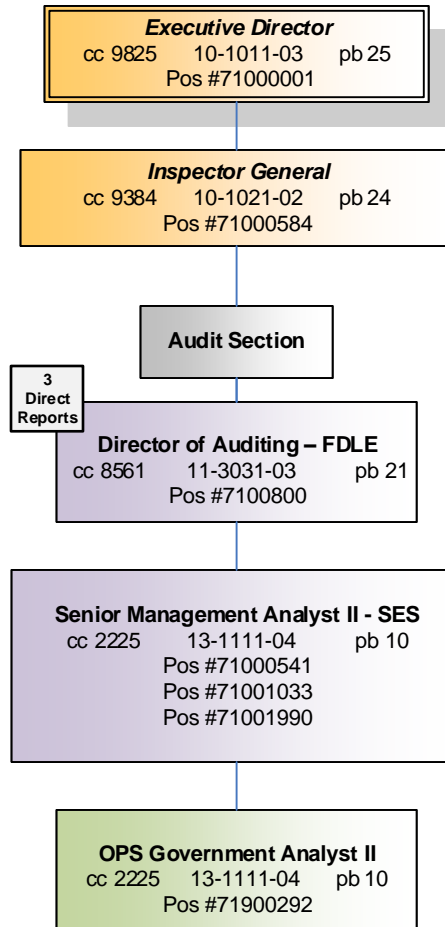
**CURRENT**

SMS

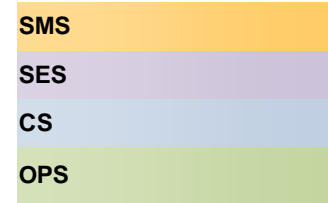
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OPS

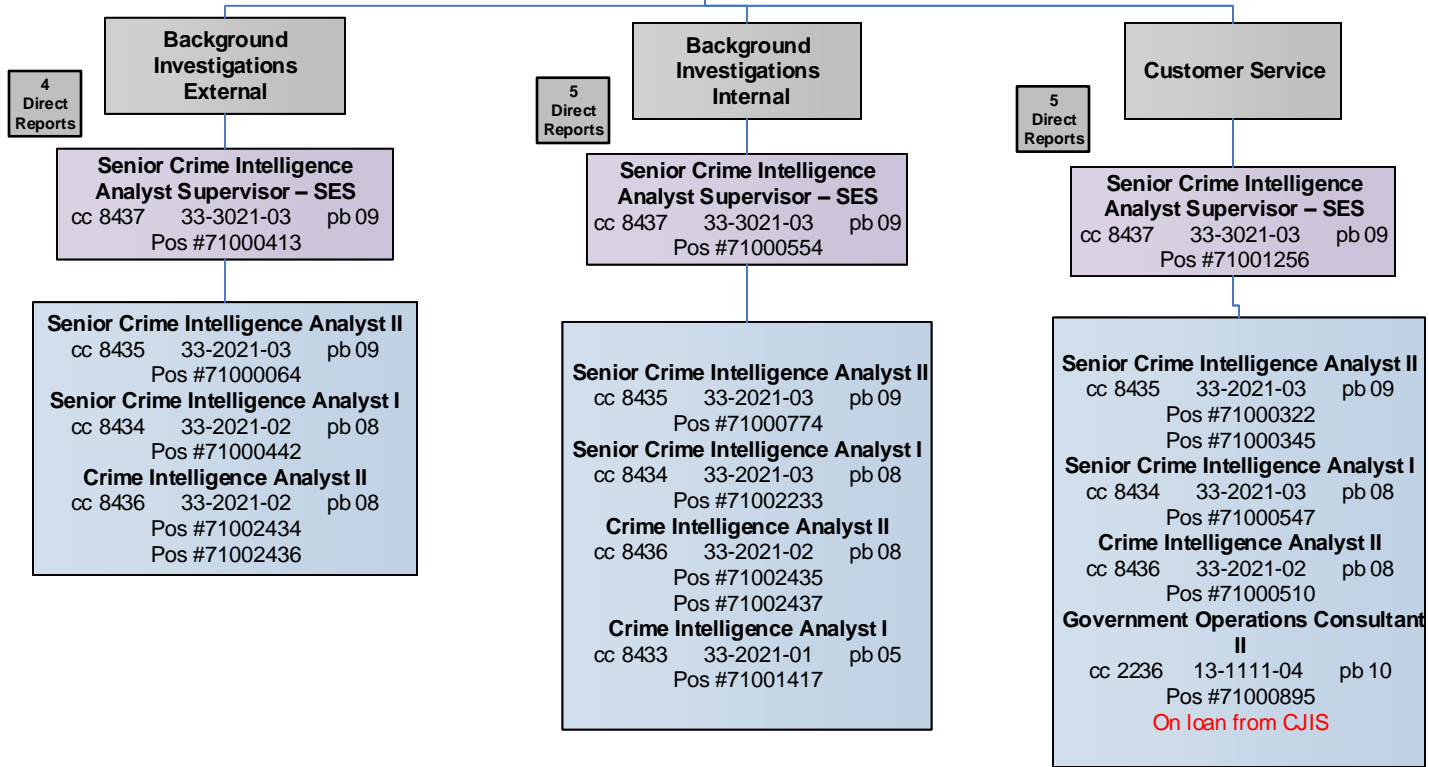






**Executive Director**  
 cc 9825 10-1011-03 pb 25  
 Pos #71000001

**Chief of Investigations – FDLE**  
 cc 8530 11-9199-03 pb 21  
 Pos #71000382



**Florida Department of Law Enforcement**

Office of the Executive Director  
Office of Executive Investigations

Page 1 of 2

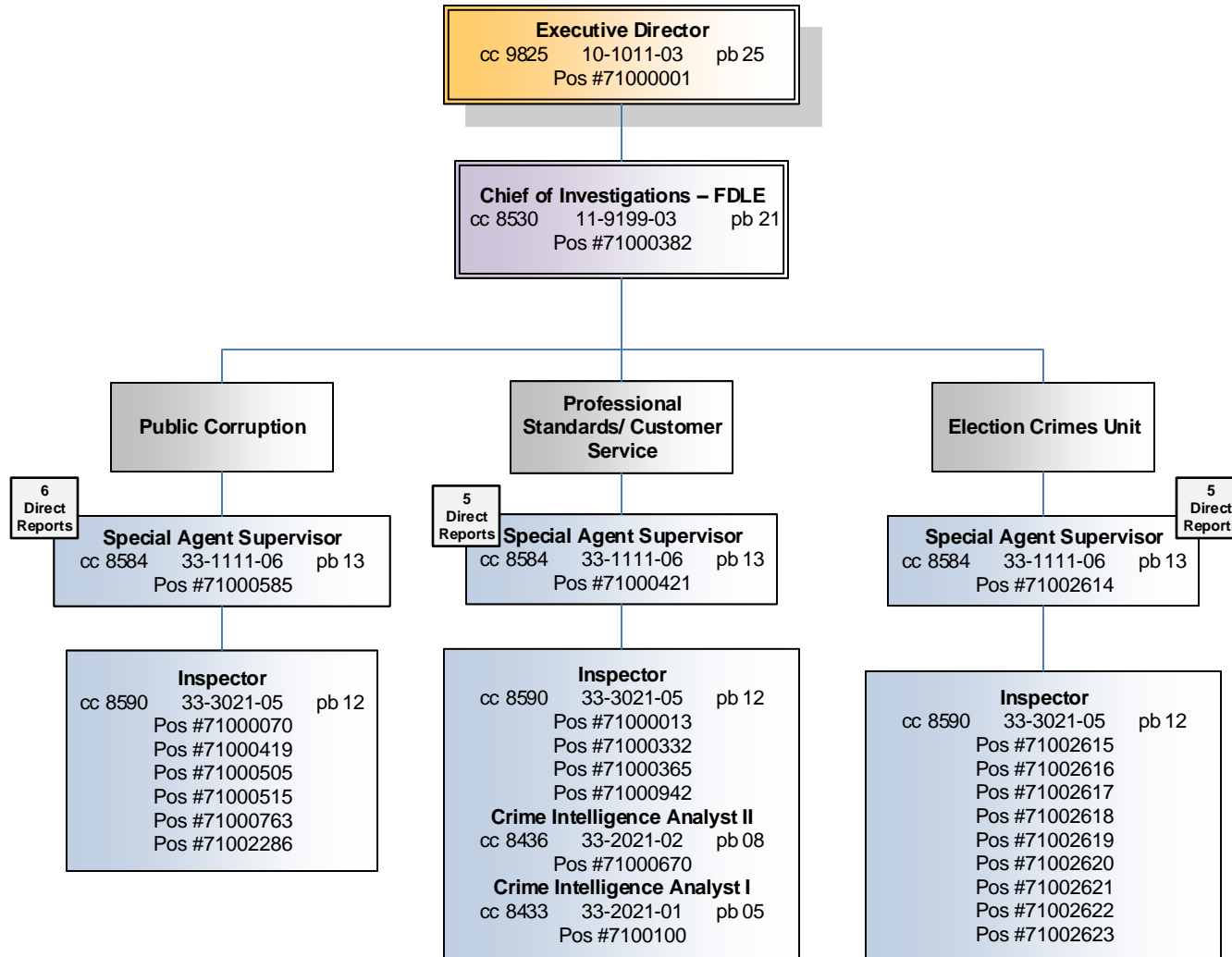
**CURRENT**

SMS

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CS

OPS



**Florida Department of Law Enforcement**  
 Office of Executive Director  
 Protective Operations Services  
**CURRENT**

**SMS**  
**SES**  
**CS**  
**OPS**

**Deputy Executive Director of Law Enforcement**  
**Chief of Staff - FDLE**  
 cc 9882 10-1021-02 pb 24  
 Pos #71001028

**Protective Operations Services**  
**Chief of Investigations-FDLE**  
 cc 8530 11-9199-03 pb 21  
 Pos #71000418  
 6 Direct Reports

**OPS Administrative Assistant II**  
 cc 0712 43-6011-03 pb 05  
 Pos #71900237

**Senior Crime Intelligence Analyst II**  
 cc 8435 33-2021-03 pb 09  
 Pos #71001658  
 Pos #71000121  
 On Loan from CJIS Business Services

**Protective Operations Intelligence**  
**Special Agent Supervisor**  
 cc 8584 33-1111-06 pb 13  
 Pos #71000331  
 5 Direct Reports

**Special Agent Supervisor**  
 cc 8584 33-111-06 pb 13  
 Pos #71000168  
 On loan from MROC  
 11 Direct Reports

**Special Agent Supervisor**  
 cc 8584 33-111-06 pb 13  
 Pos #71001677  
 On loan from MROC  
 10 Direct Reports

**Inspector**  
 cc 8590 33-3021-05 pb 12  
 Pos #71000830  
 On Loan from IFS  
**Special Agent**  
 cc 8581 33-3021-05 pb 12  
 Pos #71000029  
 Pos #71001052  
 On Loan from TROC  
**Senior Crime Intelligence Analyst II**  
 cc 8435 33-2021-03 pb 09  
 Pos #71001423  
**OPS Crime Intelligence Technician**  
 cc 8433 33-2021-01 pb 05  
 Pos #71900168

**Special Agent**  
 cc 8581 33-3021-05 pb 12  
 Pos #71000030  
 Pos #71000169  
 On Loan from OROC  
 Pos #71000226  
 Pos #71000236  
 Pos #71000411  
 Pos #71000417  
 Pos #71000666  
 Pos #71000758  
 Pos #71000809  
 Pos #71002459  
 Pos #71002541  
 On Loan from MROC

**Special Agent**  
 cc 8581 33-3021-05 pb 12  
 Pos #71000156  
 On Loan from IFS  
 Pos #71000357  
 On Loan from MROC  
 Pos #71000938  
 On Loan from TBROC  
 Pos #71001008  
 On Loan from TROC  
 Pos #71001043  
 Pos #71001090  
 Pos #71001301  
 Pos #71001530  
 On Loan from OSI  
 Pos #71001713  
 Pos #71001740  
 On Loan from TROC

**Florida Department of Law Enforcement**  
Business Support Program  
Director's Office  
**CURRENT**

**SMS**  
**SES**  
**CS**  
**OPS**

**Deputy Executive Director of Law Enforcement**  
**Chief of Staff - FDLE**  
cc 9882 10-1021-02 pb 24  
Pos #71001028

**Deputy Chief of Staff - FDLE**  
cc 6701 10-1021-02 pb 24  
Pos #71000204

**Director of Business Support Program**  
cc 9586 10-3011-01 pb 23  
Pos #71000772

**OPS Government Analyst II**  
cc 2225 13-1111-04 pb 10  
Pos #71900127

**Assistant Director of Administration – SES**  
cc 8709 13-3011-04 pb 22  
Pos #71001298

**Office of Criminal Justice Grants**  
(under separate cover)

**Office of Human Resources**  
(under separate cover)

**Financial Administrator-SES**  
cc 1587 11-3031-02 pb 20  
Pos #71001249

**Senior Management Analyst Supervisor-SES**  
cc 2225 13-1111-04 pb 10  
Pos #71001111

**Office of General Services**  
(under separate cover)

**Office of Financial Management**  
(under separate cover)

**Senior Management Analyst II-SES**  
cc 2225 13-1111-04 pb 10  
Pos #71000143

**SMS**  
**SES**  
**CS**  
**OPS**

**Deputy Chief of Staff - FDLE**  
 cc 6701 10-1021-02 pb 24  
 Pos #71000204

**Director of Business Support Program**  
 cc 9586 10-3011-01 pb 23  
 Pos #71000772

**Assistant Director of Administration**  
 cc 8709 11-3011-04 pb 22  
 Pos #71001298

**Chief of Financial Support Services**  
 cc 8717 11-3031-03 pb 21  
 Pos #71000009

**Financial Administrator-SES**  
 cc 1587 11-3031-02 pb 20  
 Pos #71000071

**PALM**

**Financial Control Analyst-SES**  
 cc 1567 13-2051-04 pb 09  
 Pos #71001252

**Revenue Management**  
**Cash Receipts**  
**Accounts Receivable**

**Senior Management Analyst**  
**Supervisor-SES**  
 cc 2228 13-1111-04 pb 10  
 Pos #710002073  
 (on loan from Capitol Police)

**Senior Professional Accountant**  
 cc 1468 13-2011-03 pb 08  
 Pos #71000431  
**Accounting Services Analyst A**  
 cc 4947 13-2011-03 pb 08  
 Pos #71001451  
**Accounting Services Analyst B**  
 Cc4948 13-2011-03 pb 08  
 Position #71000379  
**Accountant IV**  
 cc 1437 13-2011-03 pb 08  
 Pos #71000669  
 Pos #71001053  
 Pos #71001248

**OPS Accountant I**  
 cc1427 13-2011-01 pb 04  
 Pos #71900257

**Reconciliations / Quality Control / Payroll**

**Senior Management Analyst**  
**Supervisor-SES**  
 cc 2228 13-1111-04 pb 10  
 Pos #71001253

**Financial Control Analyst**  
 cc 1567 13-2051-04 pb 09  
 Pos #71000445  
**Accounting Services Analyst C**  
 cc 4949 13-2011-03 pb 08  
 Pos #71000596  
**Accounting Services Analyst B**  
 cc 4948 13-2011-03 pb 08  
 Pos #71001037

**Florida Department of Law Enforcement**

Business Support Program  
Office of Financial Management  
Page 2 of 2

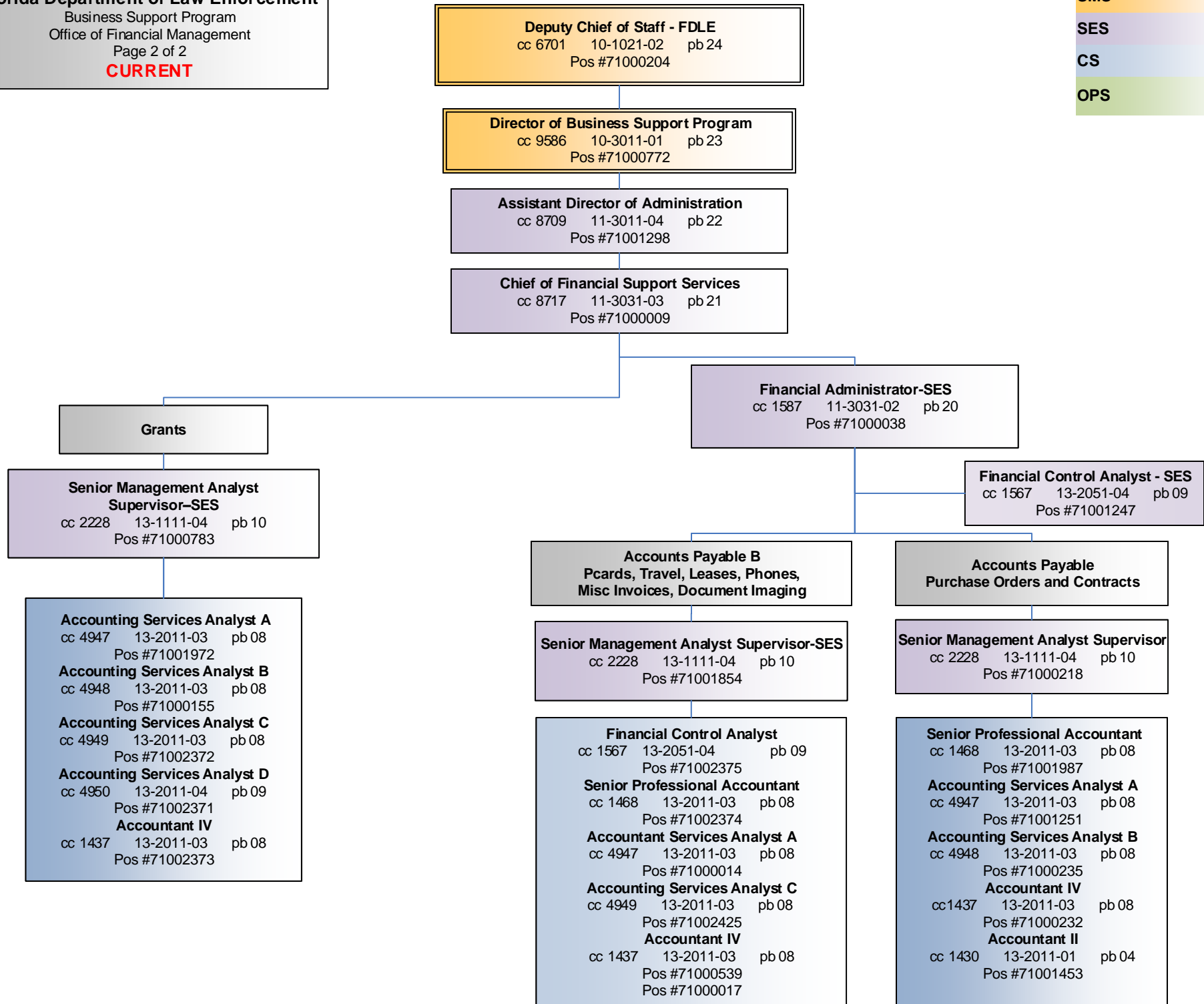
**CURRENT**

SMS

SES

CS

OPS



**Grants**

**Senior Management Analyst Supervisor-SES**  
cc 2228 13-1111-04 pb 10  
Pos #71000783

**Accounting Services Analyst A**  
cc 4947 13-2011-03 pb 08  
Pos #71001972  
**Accounting Services Analyst B**  
cc 4948 13-2011-03 pb 08  
Pos #71000155  
**Accounting Services Analyst C**  
cc 4949 13-2011-03 pb 08  
Pos #71002372  
**Accounting Services Analyst D**  
cc 4950 13-2011-04 pb 09  
Pos #71002371  
**Accountant IV**  
cc 1437 13-2011-03 pb 08  
Pos #71002373

**Deputy Chief of Staff - FDLE**  
cc 6701 10-1021-02 pb 24  
Pos #71000204

**Director of Business Support Program**  
cc 9586 10-3011-01 pb 23  
Pos #71000772

**Assistant Director of Administration**  
cc 8709 11-3011-04 pb 22  
Pos #71001298

**Chief of Financial Support Services**  
cc 8717 11-3031-03 pb 21  
Pos #71000009

**Financial Administrator-SES**  
cc 1587 11-3031-02 pb 20  
Pos #71000038

**Accounts Payable B**  
Pcards, Travel, Leases, Phones,  
Misc Invoices, Document Imaging

**Senior Management Analyst Supervisor-SES**  
cc 2228 13-1111-04 pb 10  
Pos #71001854

**Financial Control Analyst**  
cc 1567 13-2051-04 pb 09  
Pos #71002375  
**Senior Professional Accountant**  
cc 1468 13-2011-03 pb 08  
Pos #71002374  
**Accountant Services Analyst A**  
cc 4947 13-2011-03 pb 08  
Pos #71000014  
**Accounting Services Analyst C**  
cc 4949 13-2011-03 pb 08  
Pos #71002425  
**Accountant IV**  
cc 1437 13-2011-03 pb 08  
Pos #71000539  
Pos #71000017

**Financial Control Analyst - SES**  
cc 1567 13-2051-04 pb 09  
Pos #71001247

**Accounts Payable**  
Purchase Orders and Contracts

**Senior Management Analyst Supervisor**  
cc 2228 13-1111-04 pb 10  
Pos #71000218

**Senior Professional Accountant**  
cc 1468 13-2011-03 pb 08  
Pos #71001987  
**Accounting Services Analyst A**  
cc 4947 13-2011-03 pb 08  
Pos #71001251  
**Accounting Services Analyst B**  
cc 4948 13-2011-03 pb 08  
Pos #71000235  
**Accountant IV**  
cc 1437 13-2011-03 pb 08  
Pos #71000232  
**Accountant II**  
cc 1430 13-2011-01 pb 04  
Pos #71001453

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

**Deputy Chief of Staff**  
 cc 6701 10-1021-02 pb 24  
 Pos #71000204

**Director of Business Support Program – FDLE**  
 cc 9586 10-3011-01 pb 23  
 Pos #71000772

**Chief of Human Resource Management**  
 cc 9756 11-3121-03 pb 21  
 Pos #71000141

**Employee Relations/EEO/ADA  
 Human Relations Manager – SES**  
 cc 9149 11-3121-02 pb 20  
 Pos #71000309

**Human Resource Manager – SES**  
 cc 1333 11-3121-02 pb 20  
 Pos #71002305

**Senior Personnel Manager - SES**  
 cc 1049 11-3121-02 pb 20  
 Pos #7101023  
 (On loan from CJIS)

**SPECIAL PROJECTS**  
**Senior Management Analyst II – SES**  
 cc 2225 13-1111-04 pb 10  
 Pos #71000383  
**FMLA**  
**Senior Management Analyst II – SES**  
 cc 2225 13-1111-04 pb 10  
 Pos #71000749  
**ATTENDANCE AND LEAVE/IMPROMPTU REPORTS**  
**Personnel Services Specialist – SES**  
 cc 0170 13-1071-03 pb 07  
 Pos #71000680  
**Human Resource Specialist**  
 cc 0190 13-1071-03 pb 07  
 Pos #71000490  
**BENEFITS**  
**Personnel Services Specialist – SES**  
 cc 0170 13-1071-03 pb 07  
 Pos #71000147  
**ADMINISTRATIVE/PERSONNEL FILES**  
**Personnel Services Specialist – SES**  
 cc 0170 13-1071-03 pb 07  
 Pos #71002376

**Human Resource Manager I - SES**  
 cc 1337 11-3121-01 pb 19  
 Pos #71000351  
 (On loan from CJIS)

**RECRUITMENT / SELECTION**  
**Senior Management Analyst II – SES**  
 cc 2225 13-1111-04 pb 10  
 Pos #71000148  
 Pos #71000590  
 Pos #71002304  
**Government Analyst II**  
 cc 2225 13-1111-04 pb 10  
 Pos #71000463  
 (On loan from CJIS)  
 Pos #71002438  
 (On loan from CJIS)  
 Pos #71000290  
 (On loan from ITS)  
 Pos #71001850  
 (On loan from IFS)  
 Pos #71001108  
 (On loan from CJIS)

**Human Resource Manager I - SES**  
 cc 1337 11-3121-01 pb 19  
 Pos #71000560

**SPECIAL PROJECTS**  
**Senior Management Analyst II – SES**  
 cc 2225 13-1111-04 pb 10  
 Pos #71001567  
 Pos #71000083  
**Government Operations Consult I**  
 cc 2234 13-1111-03 pb 07  
 Pos #71000781  
 (On loan from OGS)  
**Administrative Assistant II – SES**  
 cc 0712 43-6011-03 pb 05  
 Pos #71000790  
**OPS Administrative Assistant II**  
 cc 0712 43-6011-03 pb 05  
 Pos #71900310  
 Pos #71900252  
 (On loan from OGS)

**SMS**  
**SES**  
**CS**  
**OPS**

**Florida Department of Law Enforcement**  
 Business Support Program  
 Office of General Services  
**CURRENT**

**SMS**  
**SES**  
**CS**  
**OPS**

**Deputy Chief of Staff - FDLE**  
 cc 6701 10-1021-02 pb 24  
 Pos #71000204

**Director of Business Support Program**  
 cc 9586 10-3011-01 pb 23  
 Pos #71000772

**Assistant Director of Administration – SES**  
 cc 8709 11-3011-04 pb 22  
 Pos #71001298

**Chief of General Services**  
 cc 7780 11-3011-03 pb 21  
 Pos #71000238

**Support Services Section**

**Purchasing Section**

**Facilities Management**

**Senior Management Analyst  
 Supervisor – SES**  
 cc 2228 13-1111-04 pb 10  
 Pos #71001852

**General Services Purchasing  
 Manager – SES**  
 cc 9147 11-3061-02 pb 20  
 Pos #71000007

**Construction Projects Consultant II**  
 cc 4692 11-9021-02 pb 20  
 Pos #71000602

**Senior Management Analyst II-SES**  
 cc 2225 13-1111-04 pb 10  
 Pos #71000602

**Print Shop**

**Administrative Assistant II**  
 cc 0712 43-6011-03 pb 05  
 Pos #71000391

**Mailroom**

**Administrative Assistant II**  
 cc 0712 43-6011-03 pb 05  
 Pos #71000775  
 Pos #71000782  
 Pos #71001851

**OPS Administrative Assistant II**  
 cc 0712 43-6011-03 pb 05  
 Pos #71900231  
 Pos #71900183

**Government Analyst II**  
 cc 2225 13-1111-04 pb 10  
 Pos #71000110

**Property/Fleet Management**

**Government Analyst II**  
 cc 2225 13-1111-04 pb 10  
 Pos #71001484 Vacant  
*(on loan from TBROC)*

**Government Analyst II**  
 cc 2225 13-1111-04 pb 10  
 Pos #71000350

**Government Operations Consult II**  
 cc 2236 13-1111-04 pb 10  
 Pos 71001456

**Purchasing**

**Government Analyst I**  
 cc 2224 13-1111-03 pb 07  
 Pos #71000010

**Operations Review Specialist**  
 cc 2239 13-1111-04 pb 10  
 Pos #71000016

**Government Analyst II**  
 cc 2225 13-1111-04 pb 10  
 Pos #71000582

**OPS Administrative Assistant II**  
 cc 0712 43-6011-03 pb 05  
 Pos #71900015

**Procurement Contracts**

**Government Analyst II**  
 cc 2225 13-1111-04 pb 10  
 Pos #71000152

**Senior Program Analyst  
 (Contract Administrator)**  
 cc 6843 13-1199-94 pb 10  
 Pos #71001989

**Operations Review Specialist**  
 cc 2239 13-1111-04 pb 10  
 Pos #71001067



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

**SMS**  
**SES**  
**CS**  
**OPS**

**Deputy Chief of Staff - FDLE**  
 cc 6701 10-1021-02 pb 24  
 Pos #71000204

**Director of Business Support Program,**  
 cc 9586 10-3011-01 pb 23  
 Pos #71000772

**Chief of Planning & Performance**  
 cc 4591 11-1021-03 pb 21  
 Pos #71001971

**Government Analyst II**  
 cc 2225 13-1111-04 pb 10  
 Pos #71001984  
 Pos #71001988

**SAM**

**CPR**

**Senior Management Analyst  
 Supervisor – SES**  
 cc 2228 13-1111-04 pb 10  
 Pos #71001976

**Senior Management Analyst  
 Supervisor – SES**  
 cc 2228 13-1111-04 pb 10  
 Pos #71001985

**Grant Specialist B**  
 cc 2232 13-2099-04 pb 09  
 Pos #71001975  
 Pos #71001977  
 Pos #71001980  
 Pos #71001981  
 Pos #71001982  
 Pos #71001991  
 Pos #71001992  
 Pos #71001993

**Government Analyst II**  
 cc 2225 13-1111-04 pb 10  
 Pos #71002288  
 Pos #71002595  
 (on loan from ITS)  
 Pos #71000637  
 (on loan from OGC)  
**Grant Specialist C**  
 cc 2242 13-2099-03 pb 08  
 Pos #71001974  
 Pos #71001979  
 Pos #71001983  
 Pos #71001986  
 Pos #71002472  
**Administrative Assistant II**  
 cc 0712 43-6011-03 pb 05  
 Pos #71002424

**Florida Department of Law Enforcement**  
 Criminal Justice Information Services  
**CURRENT**

|                          |     |    |     |
|--------------------------|-----|----|-----|
| SMS                      | SES | CS | OPS |
| Number of direct reports |     |    |     |

**Executive Director – FDLE**  
 cc 9825 10-1011-03 pb 25  
 Pos #71000001

**Deputy Executive Director of Law Enforcement – FDLE**  
 cc 9882 10-1021-02 pb 24  
 Pos #71000540

**Assistant Executive Director - FDLE**  
 cc 9883 10-1021-02 pb 24  
 Pos #71001650

**Director, Criminal Justice Information – FDLE**  
 cc 9827 10-3021-01 pb 23  
 Pos #71000019

**Information Services Deputy Program Director**  
 cc 9698 11-3021-04 pb 22  
 Pos #71000126

**Crime Information Bureau**  
 (under separate cover)

**Firearm Eligibility Bureau**  
 (under separate cover)

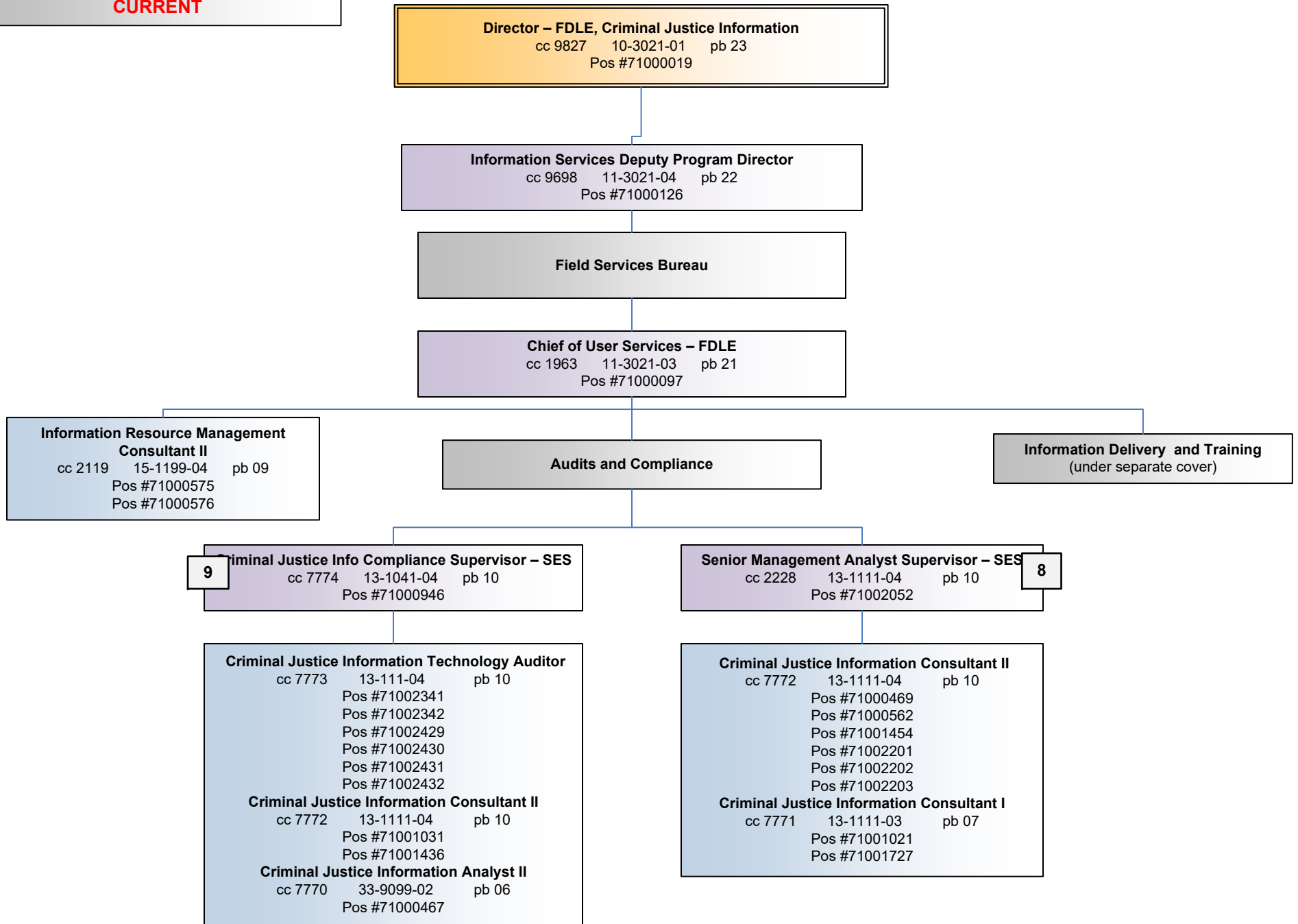
**Criminal History Services**  
 (under separate cover)

**Field Services Bureau**  
 (under separate cover)

**Business Services**  
 (under separate cover)

**Criminal Justice Analytics Bureau**  
 (under separate cover)

**Government Analyst II**  
 cc 2225 13-1111-04 pb 10  
 Pos #71000315  
 Pos #71002314  
**Executive Assistant I**  
 cc 0718 43-6011-04 pb 06  
 Pos #71000033  
**Training and Research Consultant**  
 cc 6004 13-1151-04 pb 10  
 Pos #71002440



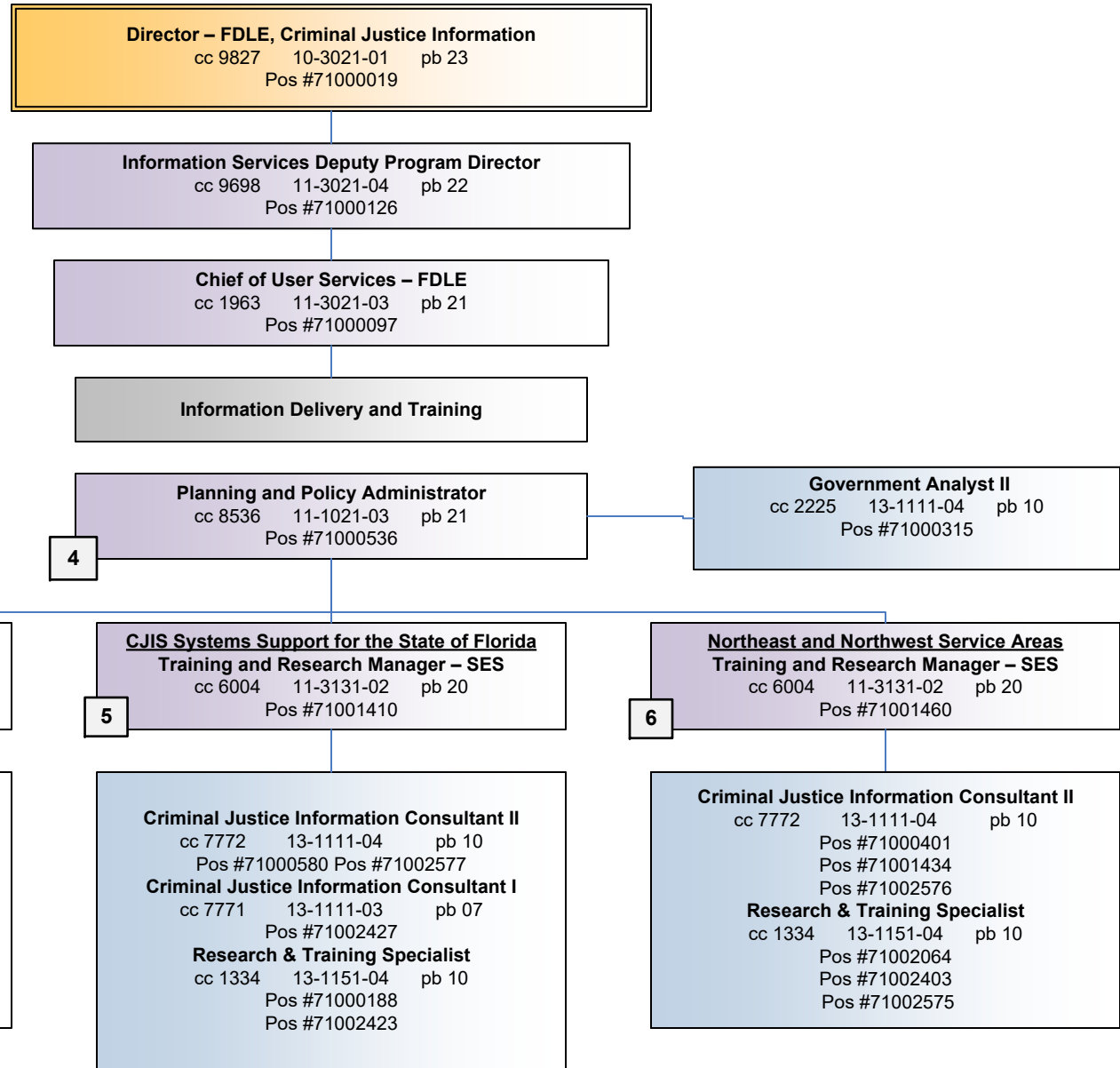
**Florida Department of Law Enforcement**

Criminal Justice Information Services

Field Services Bureau

Page 2 of 2

**CURRENT**

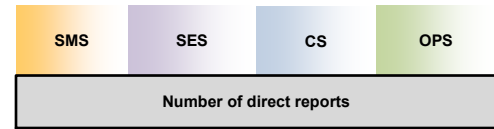


**Florida Department of Law Enforcement**

Criminal Justice Information Services

Business Services

**CURRENT**



**Director – FDLE, Criminal Justice Information**  
cc 9827    10-3021-01    pb 23  
Pos #71000019

**Business Services**

**Senior Management Analyst Supervisor – SES**  
cc 2228    13-1111-04    pb 10  
Pos #71001652

7

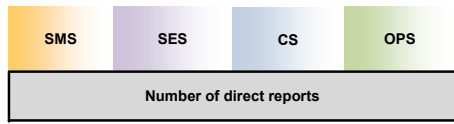
**Government Analyst II**  
cc 2225    13-1111-04    pb 10  
Pos #71000140  
Pos #71002561  
Pos #71002272

**Government Operations Consultant III**  
cc 2238    13-1111-04    pb 10  
Pos #71001569

**Business Consultant I**  
cc 0736    13-1111-03    pb 07  
Pos #71000544

**OPS Administrative Assistant II**  
cc 0712    43-6011-03    pb 05  
Pos #71900186  
Pos #71900357

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



**Director – FDLE, Criminal Justice Information**  
 cc 9827 10-3021-01 pb 23  
 Pos #71000019

**Criminal Justice Analytics Bureau**

**Chief of Florida Crime Information-FDLE, cc 1962**  
 Pos #71002553

**Administrative Assistant II**  
 cc 0712 43-6011-03 pb 05  
 Pos #71000303

**Statistical Analysis Center**

**Uniform Crime Reports**

**Planning and Policy Administrator**  
 cc 8536 11-1021-03 pb 21  
 Pos #71001029

**Senior Management Analyst Supervisor – SES**  
 cc 2228 13-1111-04 pb 10  
 Pos #71002554

**Research and Statistics Consultant**  
 cc 3142 15-2041-03 pb 08  
 Pos #71002580  
 Pos #71002582  
**Senior Program Analyst**  
 cc 6843 13-1199-94 pb 10  
 Pos #71001430  
**Criminal Justice Information Consultant II**  
 cc 7772 13-1111-04 pb 10  
 Pos #71000281  
 Pos #71002295  
 Pos #71002320  
 Pos #71002578  
 Pos #71002579  
**Criminal Justice Information Consultant I**  
 cc 7771 13-1111-03 pb 07  
 Pos# 71001726

**Operations & Management Consultant Manager**  
 cc 2238 11-1021-02 pb 20  
 Pos #71002555

**Operations & Management Consultant Manager**  
 cc 2238 11-1021-02 pb 20  
 Pos# 71002558

**OPS Criminal Justice Information Consultant I**  
 cc 7771 13-1111-03 pb 07  
 Pos #71900083  
**OPS Criminal Justice Information Examiner**  
 cc 7768 33-9099-01 pb 05  
 Pos #71900079

**Criminal Justice Information Consultant II**  
 cc 7772 13-1111-04 pb 10  
 Pos #71001032  
 Pos #71001796  
**Criminal Justice Information Consultant I**  
 cc 7771 13-1111-03 pb 07  
 Pos #71001351  
 Pos #71002441  
**Criminal Justice Information Analyst II**  
 cc 7770 33-9099-02 pb 06  
 Pos #71001664  
 Pos #71002581

**Criminal Justice Information Consultant II**  
 cc 7772 13-1111-04 pb 10  
 Pos# 71002559  
 Pos #71002634  
**Criminal Justice Information Consultant I**  
 cc 7771 13-1111-03 pb 07  
 Pos #71002635  
**Criminal Justice Information Analyst II**  
 cc 7770 33-9099-02 pb 06  
 Pos #71000577  
 Pos #71002594

**Director – FDLE, Criminal Justice Information**  
 cc 9827 10-3021-01 pb 23  
 Pos #71000019

**Information Services Deputy Program Director**  
 cc 9698 11-3021-04 pb 22  
 Pos #71000126

**Criminal History Services**

**Planning and Policy Administrator**  
 cc 8536 11-1021-03 pb 21  
 Pos #71001725

3

**Operations & Management Consultant  
 Manager – SES**  
 cc 2238 11-1021-02 pb 20  
 Pos #71001425

8

**Operations & Management Consultant  
 Manager – SES**  
 cc 2238 11-1021-02 pb 20  
 Pos #71001663

9

**Operations & Management Consultant  
 Manager – SES**  
 cc 2238 11-1021-02 pb 20  
 Pos #71002296

9

**Criminal Justice Information Consultant I**  
 cc 7771 13-1111-03 pb 07  
 Pos #71000581  
 Pos #71001443

**Criminal Justice Information Analyst II**  
 cc 7770 33-9099-02 pb 06  
 Pos #71000475  
 Pos #71002271  
 Pos #71002318  
 Pos #71002319

**Criminal Justice Information Analyst I**  
 cc 7769 33-9099-02 pb 06  
 Pos #71001649

**Criminal Justice Information Examiner**  
 cc 7768 33-9099-01 pb 05  
 Pos #71001219

**Criminal Justice Information  
 Consultant II**  
 cc 7772 13-1111-04 pb 10  
 Pos #71000340

**Criminal Justice Information Consultant I**  
 cc 7771 13-1111-03 pb 07  
 Pos #71001803

**Criminal Justice Information Analyst II**  
 cc 7770 33-9099-02 pb 06  
 Pos #71000471  
 Pos #71000485  
 Pos #71000498  
 Pos #71001106  
 Pos #71001559  
 Pos #71002273

**Criminal Justice Information Examiner**  
 cc 7768 33-9099-01 pb 05  
 Pos #71001667 Tonnette Keaton

**Criminal Justice Information  
 Consultant II**  
 cc 7772 13-1111-04 pb 10  
 Pos #71002393

**Criminal Justice Information Consultant I**  
 cc 7771 13-1111-03 pb 07  
 Pos #71001210

**Criminal Justice Information Analyst II**  
 cc 7770 33-9099-02 pb 06  
 Pos #71000199  
 Pos #71000491  
 Pos #71002183  
 Pos #71002297

**Criminal Justice Information Analyst I**  
 cc 7769 33-9099-02 pb 06  
 Pos #71001024

**Criminal Justice Information Examiner**  
 cc 7768 33-9099-01 pb 05  
 Pos #71001659  
 Pos #71001668

**Florida Department of Law Enforcement**

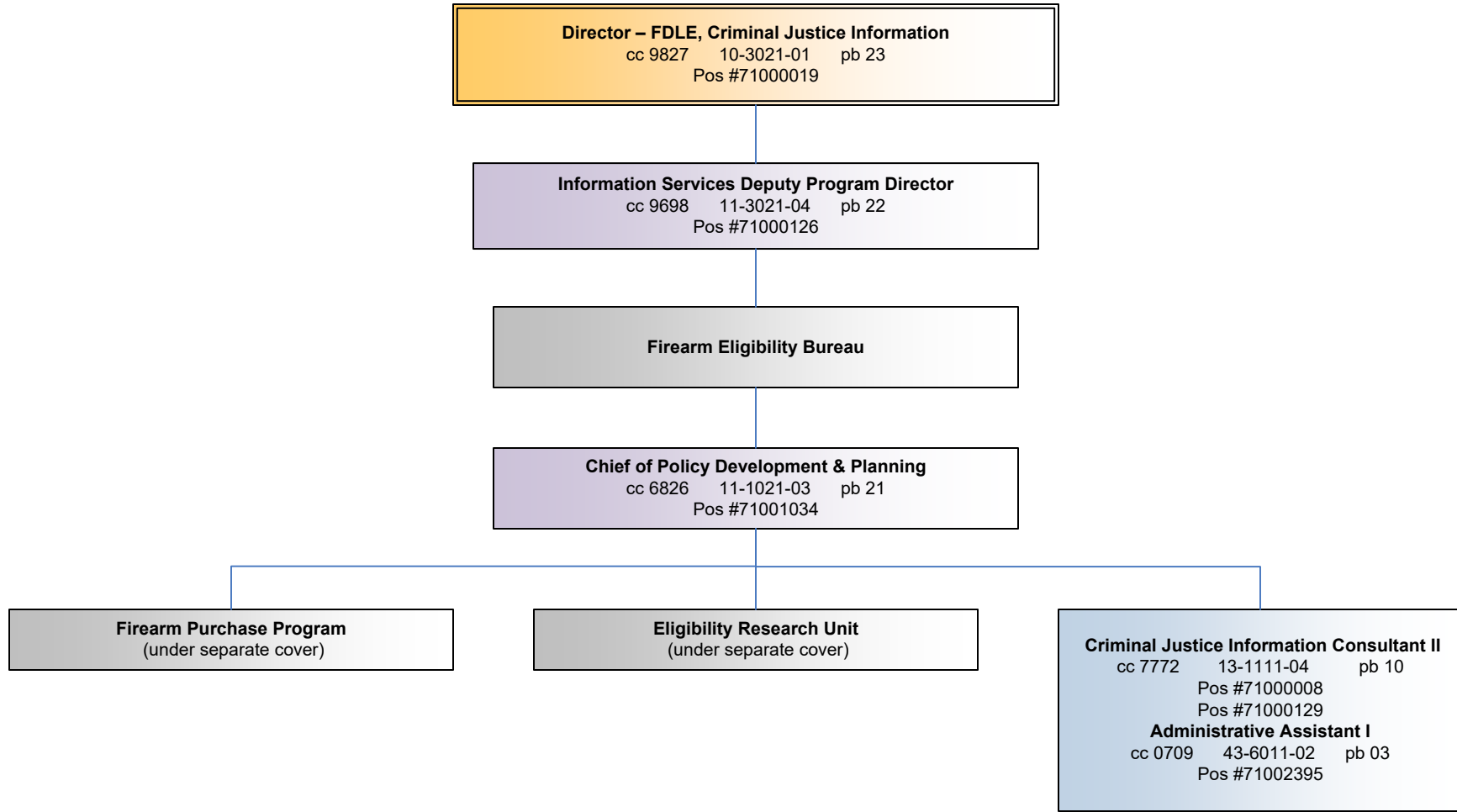
Criminal Justice Information Services

Firearm Eligibility Bureau

Page 1 of 4

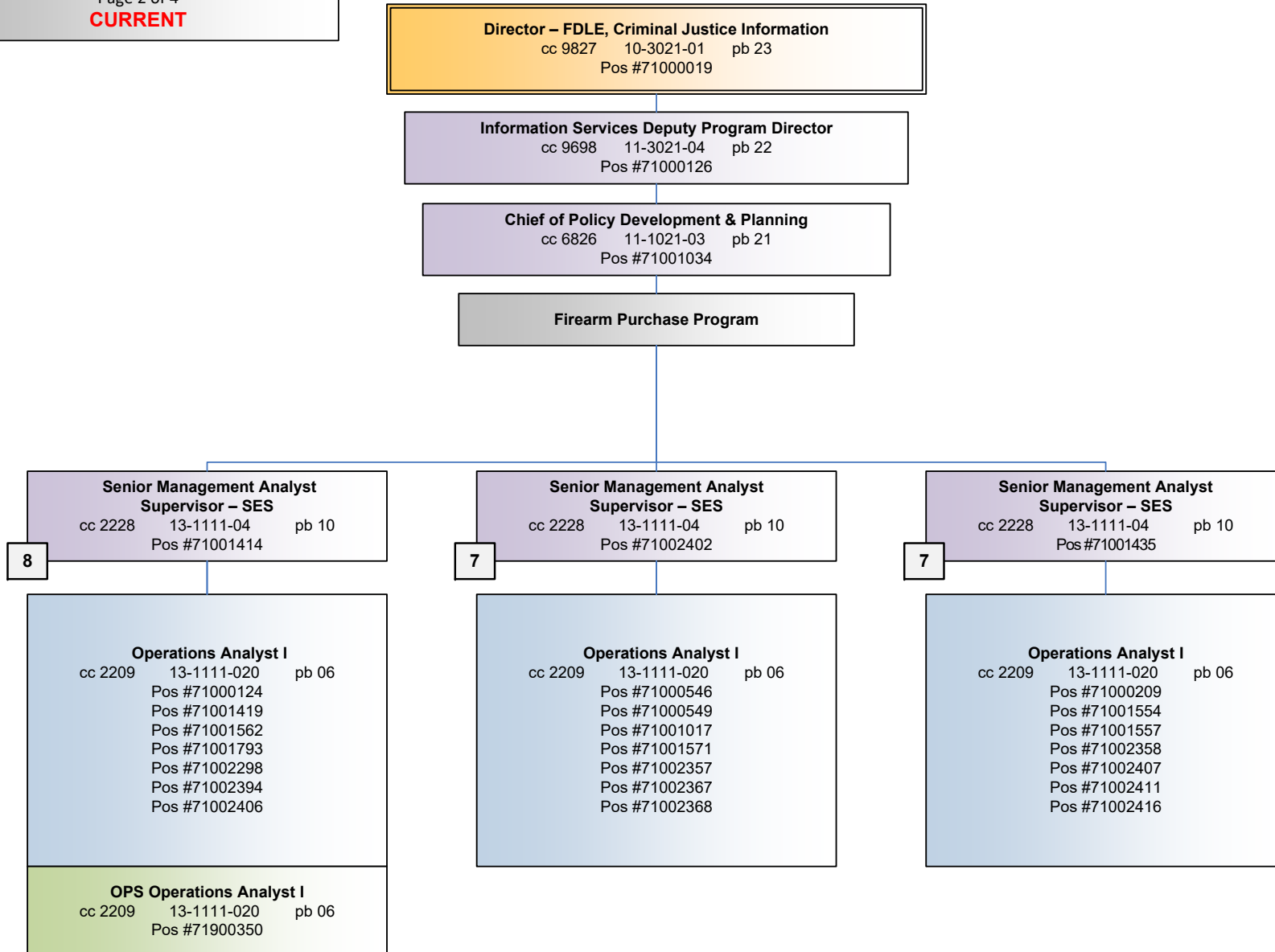
**CURRENT**

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|--------------------------|-----|----|-----|
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| Number of direct reports |     |    |     |

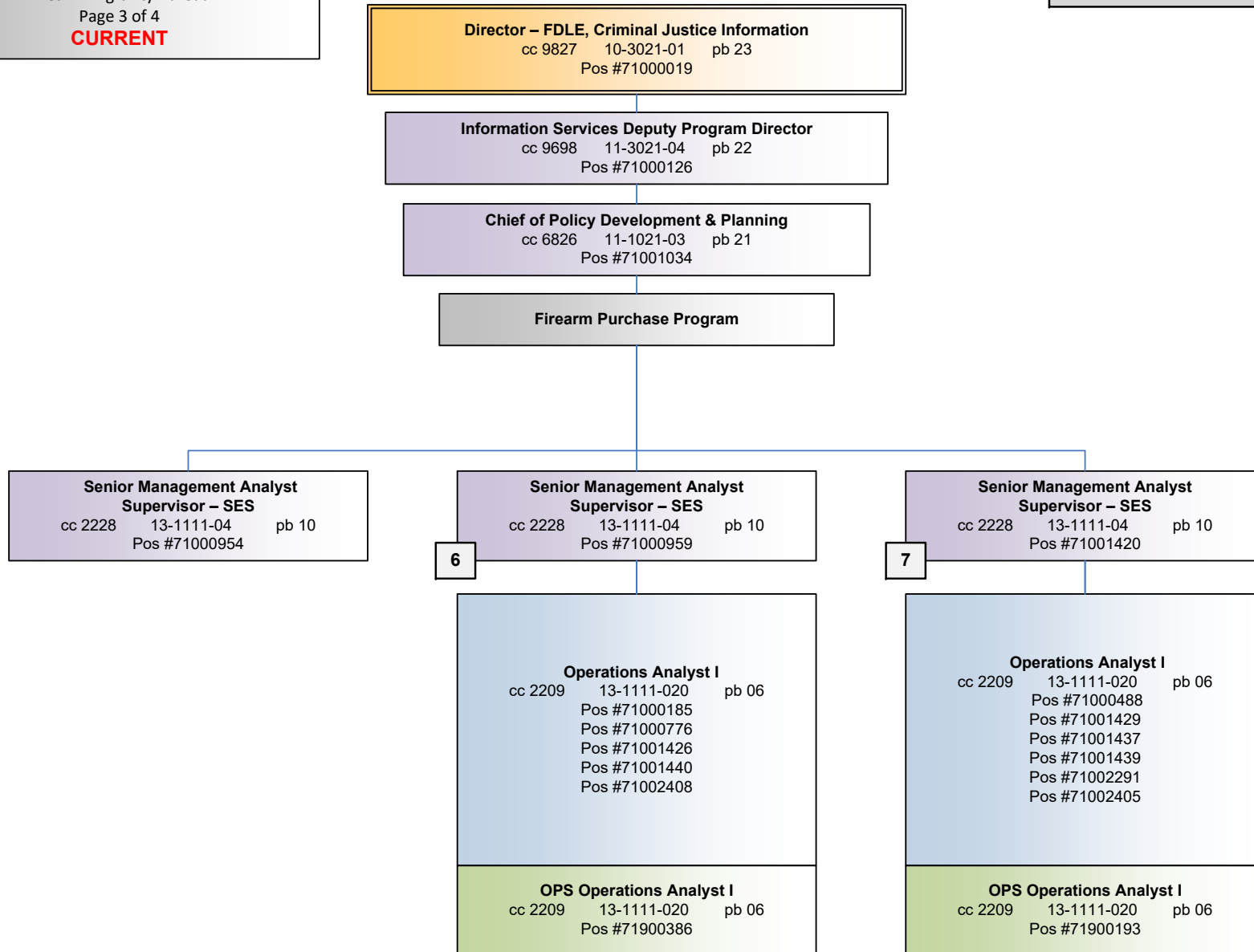




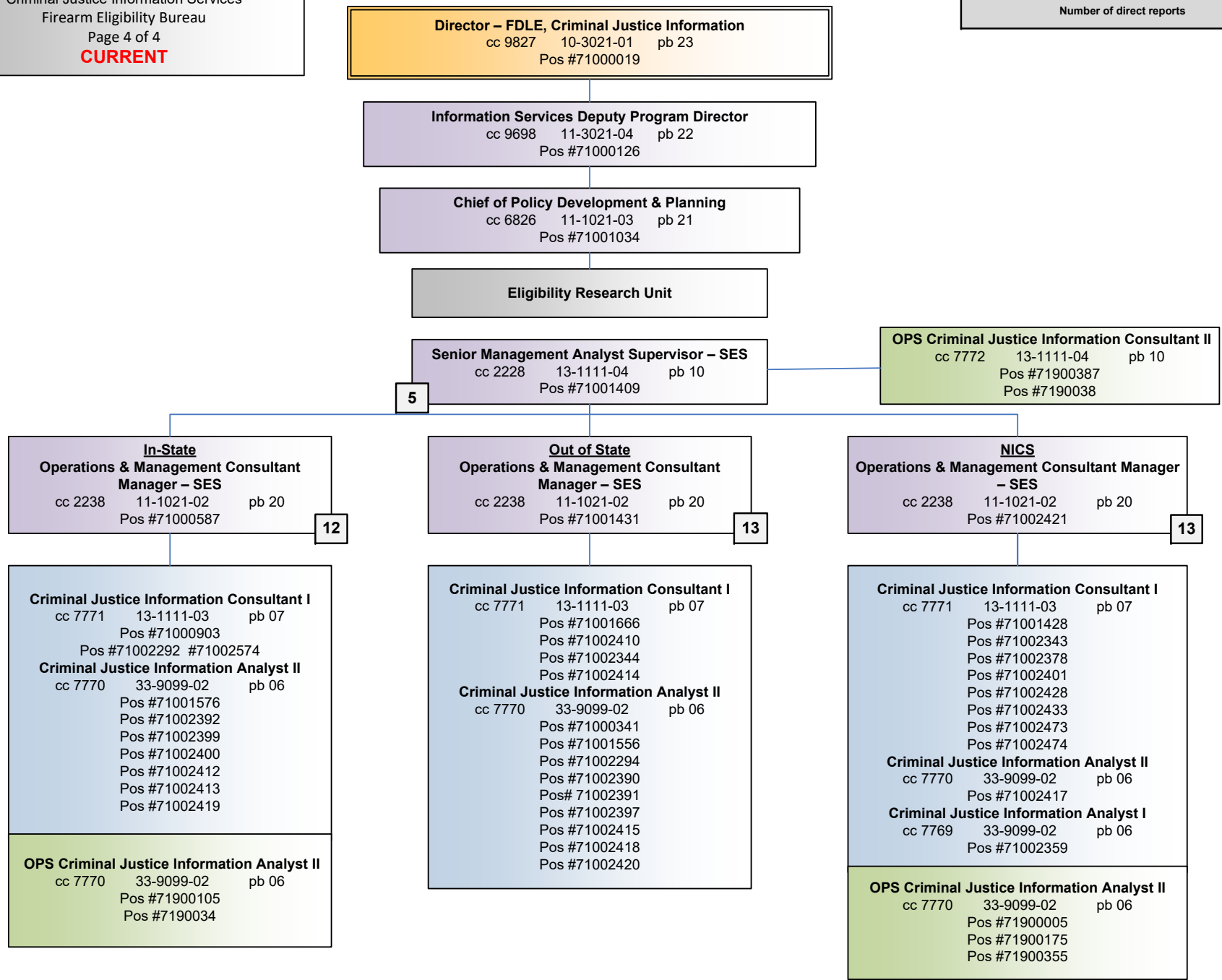
|                          |     |    |     |
|--------------------------|-----|----|-----|
| SMS                      | SES | CS | OPS |
| Number of direct reports |     |    |     |



|                          |     |    |     |
|--------------------------|-----|----|-----|
| SMS                      | SES | CS | OPS |
| Number of direct reports |     |    |     |



|                          |     |    |     |
|--------------------------|-----|----|-----|
| SMS                      | SES | CS | OPS |
| Number of direct reports |     |    |     |



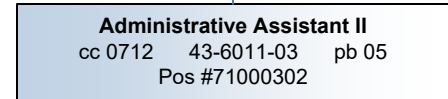
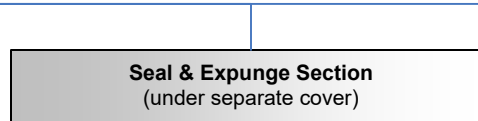
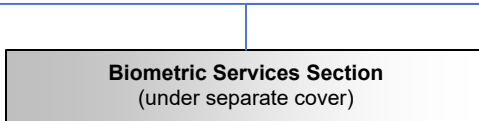
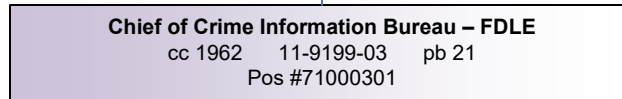
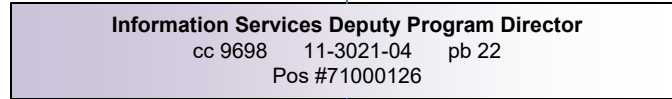
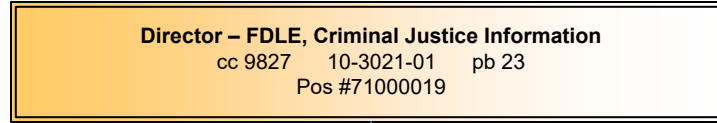
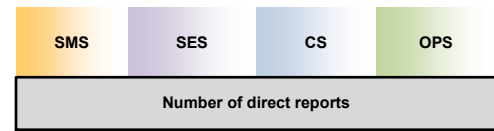
**Florida Department of Law Enforcement**

Criminal Justice Information Services

Crime Information Bureau

Page 1 of 4

**CURRENT**



**Director – FDLE, Criminal Justice Information**  
 cc 9827 10-3021-01 pb 23  
 Pos #71000019

**Information Services Deputy Program Director**  
 cc 9698 11-3021-04 pb 22  
 Pos #71000126

**Chief of Crime Information Bureau – FDLE**  
 cc 1962 11-9199-03 pb 21  
 Pos# 71000301

**Criminal History Record Maintenance Section**

**Senior Management Analyst Supervisor – SES**  
 cc 2228 13-1111-04 pb 10  
 Pos# 710000458

3

**Operations & Management Consultant Manager – SES**  
 cc 2238 11-1021-02 pb 20  
 Pos #71000703

12

**Operations & Management Consultant Manager – SES**  
 cc 2238 11-1021-02 pb 20  
 Pos #71001403

9

**Operations & Management Consultant Manager – SES**  
 cc 2238 11-1021-02 pb 20  
 Pos #71001421

11

**Criminal Justice Information Consultant I**  
 cc 7771 13-1111-03 pb 07  
 Pos #71001206  
 Pos #71001208  
 Pos #71001665

**Criminal Justice Information Analyst II**  
 cc 7770 33-9099-02 pb 06  
 Pos #71000128  
 Pos #71000564  
 Pos #71000567  
 Pos #71000704  
 Pos #71001016  
 Pos #71001432  
 Pos #71002384

**Criminal Justice Information Examiner**  
 cc 7768 33-9099-01 pb 05  
 Pos #71000570

**Criminal Justice Information Consultant II**  
 cc 7772 13-1111-04 pb 10  
 Pos #71001109  
 Pos #71002186

**Criminal Justice Information Consultant I**  
 cc 7771 13-1111-03 pb 07  
 Pos #71000551  
 Pos #71001402  
 Pos #71002409  
 Pos #71002422

**Criminal Justice Information Analyst II**  
 cc 7770 33-9099-02 pb 06  
 Pos #71000460  
 Pos #71002303

**Criminal Justice Information Consultant I**  
 cc 7771 13-1111-03 pb 07  
 Pos #71001671  
 Pos #71001805

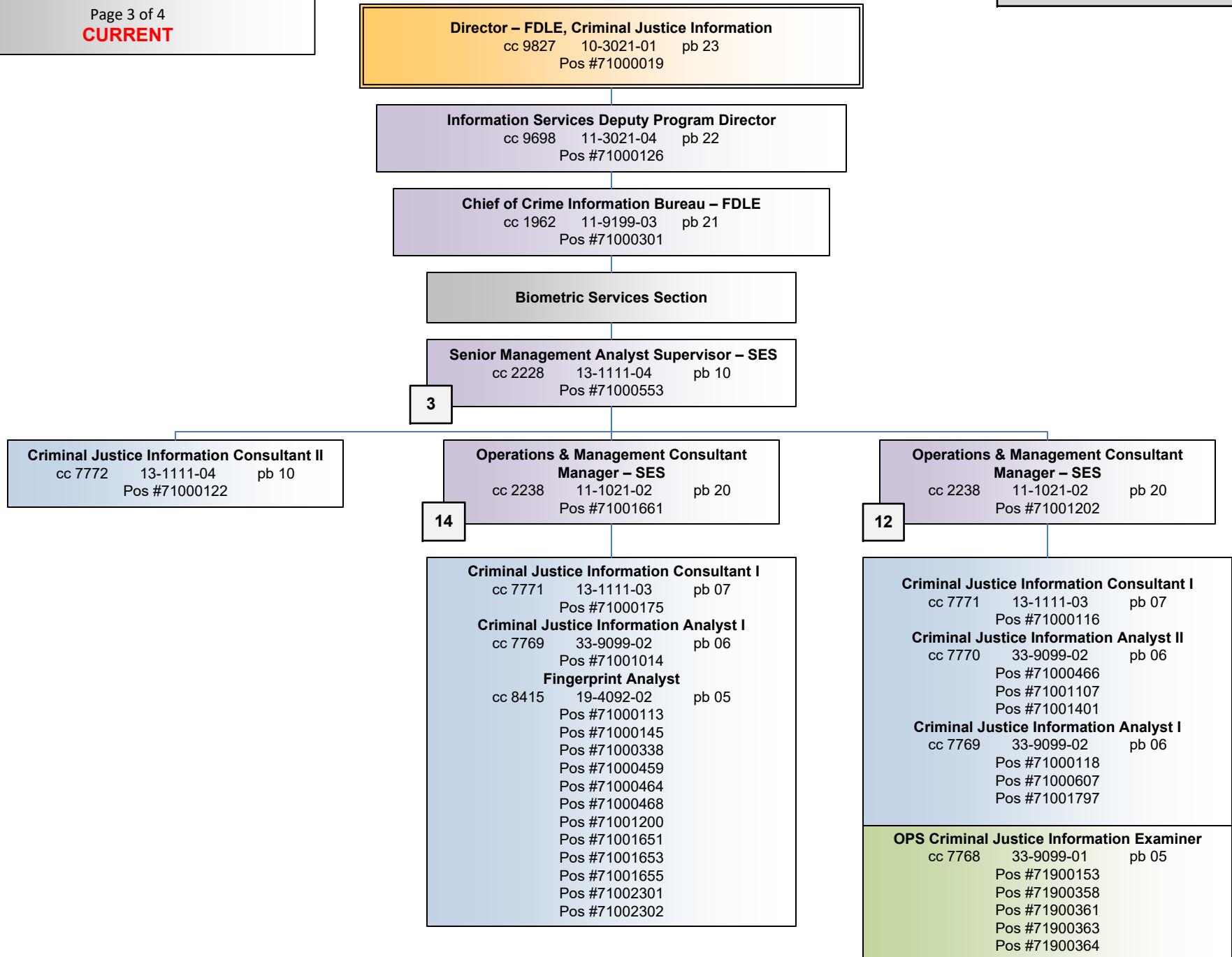
**Criminal Justice Information Analyst II**  
 cc 7770 33-9099-02 pb 06  
 Pos #71000130  
 Pos #71000176  
 Pos #71000462  
 Pos #71000474  
 Pos #71001272  
 Pos #71001400  
 Pos #71001433

**OPS Criminal Justice Information Analyst I**  
 cc 7769 33-9099-02 pb 06  
 Pos #71900180

**OPS Criminal Justice Information Analyst I**  
 cc 7769 33-9099-02 pb 06  
 Pos #71900025

**OPS Criminal Justice Information Analyst I**  
 cc 7769 33-9099-02 pb 06  
 Pos #71900219  
 Pos #71900271

|                          |     |    |     |
|--------------------------|-----|----|-----|
| SMS                      | SES | CS | OPS |
| Number of direct reports |     |    |     |



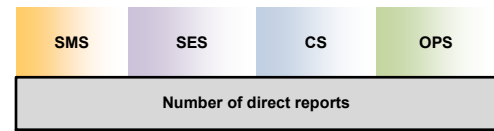
**Florida Department of Law Enforcement**

Criminal Justice Information Services

Crime Information Bureau

Page 4 of 4

**CURRENT**



**Director – FDLE, Criminal Justice Information**  
 cc 9827 10-3021-01 pb 23  
 Pos #71000019

**Information Services Deputy Program Director**  
 cc 9698 11-3021-04 pb 22  
 Pos #71000126

**Chief of Crime Information Bureau – FDLE**  
 cc 1962 11-9199-03 pb 21  
 Pos #71000301

**Seal & Expunge Section**

**Senior Management Analyst Supervisor – SES**  
 cc 2228 13-1111-04 pb 10  
 Pos #7100055

**4**

**Criminal Justice Information Consultant II**  
 cc 7772 13-1111-04 pb 10  
 Pos #71000574

**Operations & Management Consultant Manager – SES**  
 cc 2238 11-1021-02 pb 20  
 Pos #71000502

**8**

**Operations & Management Consultant Manager – SES**  
 cc 2238 11-1021-02 pb 20  
 Pos #71002377

**9**

**Operations & Management Consultant Manager – SES**  
 cc 2238 11-1021-02 pb 20  
 Pos #71002557

**11**

**Criminal Justice Information Consultant I**  
 cc 7771 13-1111-03 pb 07  
 Pos #71000589

**Criminal Justice Information Analyst II**  
 cc 7770 33-9099-02 pb 06  
 Pos #71001201  
 Pos #71001273  
 Pos #71001654  
 Pos #71002299  
 Pos #71002300

**Criminal Justice Information Analyst I**  
 cc 7769 33-9099-02 pb 06  
 Pos #71001018

**OPS Criminal Justice Information Analyst II**  
 cc 7770 33-9099-02 pb 06  
 Pos #71900139

**Criminal Justice Information Consultant I**  
 cc 7771 13-1111-03 pb 07  
 Pos #71000559  
 Pos #71002560

**Criminal Justice Information Analyst II**  
 cc 7770 33-9099-02 pb 06  
 Pos #71000134  
 Pos #71000349  
 Pos #71000473  
 Pos #71000483  
 Pos #71001573  
 Pos #71001798  
 Pos #71002366

**Criminal Justice Information Analyst I**  
 cc 7769 33-9099-02 pb 06  
 Pos #71001025  
 Pos #71001728  
 Pos #71000572

**OPS Criminal Justice Information Consultant I**  
 cc 7771 13-1111-03 pb 07  
 Pos #71900348

**OPS Criminal Justice Information Analyst II**  
 cc 7770 33-9099-02 pb 06  
 Pos #71900111  
 Pos #71900129

**OPS Criminal Justice Information Analyst I**  
 cc 7769 33-9099-02 pb 06  
 Pos #71900225  
 Pos #71900141  
 Pos #71900132  
 Pos #71900080  
 Pos #71900072

**Florida Department of Law Enforcement**

Criminal Justice Information Services

**CURRENT**

**Projects**

(under separate cover)

**Positions on loan to ITS**

**Criminal Justice Information Consultant I**

cc 7771 13-1111-03 pb 07  
Pos #71002442

**Pos #71002443 Justice Information Consultant II**

cc 7772 13-1111-04 pb 10  
Pos #71001564 t

**Data Processing Manager**

cc 2133 11-3021-02 pb 20  
Pos #71000339

**Government Analyst II**

cc 2225 13-1111-04 pb 10  
Pos #71002398  
Pos #71002270

**Senior Info Tech Business Consultant**

cc 2114 15-1199-04 pb 09  
Pos #71000543  
Pos #71002439

**Senior Management Analyst Supervisor**

cc 2228 13-1111-04 pb 10  
Pos #71002396

**Information Services Deputy Program Director**

cc 9698 11-3021-04 pb 22  
Pos #71001650

**Position on loan to OED 3/2023**

**Program Wide**  
(under separate cover)

**Research & Training Specialist**

cc 1334 13-1151-04 pb 10  
Pos #71001408

**Position on loan to MROC**

Pos #71001023

**Position on loan to OED 10/2022**

Pos #71001577

**Position on loan to OED 3/2023**

**Senior Attorney**

cc 07738 23-1011-04 pb 14  
Pos #71001061

**Position on loan to OGC**

**Administrative Assistant I**

cc 0709 43-6011-02 pb 03  
Pos #71001398

**Position on loan to IFS**

Pos #710000590

**Position on loan to OED 9/2022**

**Senior Crime Intelligence Analyst II cc 8435**

Pos #71001423  
Pos #71001658

**Position on loan to POS**

**Government Analyst II**

cc 2225 13-1111-04 pb 10  
Pos #71000121 Vacant

**Position on loan to OED 3/2022**

Pos #71001022

Pos #71001108

Pos #71002438

**Position on loan to BSP 2/2023**

**Legislative Affairs Administrator**

cc bb code pb  
Pos #71000465

**Position on loan to OED 7/2022**

**Chief of Policy Development & Planning**

cc 6826 11-1021-03 pb 21  
Pos #710001570

**Position on loan to BSP 2/2023**

**Senior Management Analyst Supervisor**

cc 2228 13-1111-04 pb10  
Pos #710001575

**Position on loan to BSP 2/2023**

SMS

SES

CS

OPS

Number of direct reports

**Criminal Justice Information Consultant II**

cc 7772 13-1111-04 pb 10  
**Positions on loan to OED 3/2023:**

Pos #71000316

Pos #710002556

Pos #71001555

**Criminal Justice Information Consultant I**

cc 7771 13-1111-03 pb 07  
**Positions on loan to OED 3/2023:**

Pos #71001238

Pos #71001563

**Criminal Justice Information Analyst II**

cc 7770 33-9099-02 pb 06  
**Positions on loan to OED 10/2022:**

Pos #710000351

Pos #710000463

Pos #710001271

**Positions on loan to OED 03/2023:**

Pos #71001105

Pos #71001459

Pos #71001561

Pos #71002293

Pos #71002379

Pos #71002404

Pos #71002583

**Criminal Justice Information Analyst I**

cc 7769 33-9099-02 pb 05  
**Positions on loan to OED 10/2022:**

Pos #710001015

Pos #710001019

Pos #710001566

**Criminal Justice Information Examiner**

cc 7768 33-9099-01 pb 05  
**Positions on loan to OED 9/2022:**

Pos #710000345

Pos #710001274

Pos #710001417

**Positions on loan to OED 10/2022:**

Pos #71000951

Pos #710001438

**Position on loan to OED 3/2023:**

Pos #71001418

Pos #71001461



**Florida Department of Law Enforcement**  
 Criminal Justice Professionalism  
 Director's Office  
**CURRENT**

**Assistant Executive Director – FDLE**  
 cc 9883 10-1021-02 pb 24  
 Pos #71000820

**SMS**  
**SES**  
**CS**  
**OPS**

**Director, Criminal Justice Professionalism**  
 cc 9828 10-3042-01 pb 23  
 Pos #71000696

**Executive Assistant I**  
 cc 0718 43-6011-04 pb 06  
 Pos #71001465

**Deputy Director**  
 cc 8709 11-3011-04 pb 22  
 Pos #71001822

**Bureau of Professional Development**  
 (under separate cover)

**Sworn Training and Inspections**

**Florida Accreditation Office**  
 (under separate cover)

**Bureau of Standards**  
 (under separate cover)

**Bureau of Policy & Special Programs**  
 (under separate cover)

**Bureau of Training**  
 (under separate cover)

**Government Analyst II**  
 cc 2225 13-1111-04 pb 10  
 Pos #71001207  
 Pos #71001537  
**Senior Management Analyst II**  
 cc 2225 13-1111-04 pb 10  
 Pos #71000461

**Special Agent Supervisor**  
 cc 8584 33-1111-06 pb 13  
 Pos #71000231

**Sworn Training Unit**

**DARE Program**

**Inspector**  
 cc 8590 33-3021-05 pb 12  
 Pos #71001296  
 Pos #71001317  
 Pos #71001318  
 Pos #71001500  
 (on loan from MROC)  
 Pos #71001533  
**Special Agent**  
 cc 8581 33-3021-05 pb 12  
 Pos #71001395 Paul Peebles  
 (on loan from TBROC)  
 Pos #71001674 Bradley Hudson

**Government Analyst I**  
 cc 2224 13-1111-03 pb 07  
 Pos #71000109  
**Inspector**  
 cc 8590 33-3021-05 pb 12  
 Pos #71000427

**Senior Attorney**  
 cc 7738 23-1011-04 pb 14  
 Pos #71000629  
 Pos #71000695  
 Pos #71001146  
 Pos #71001464  
 Funded/supports CJP – reports to OGC

**OPS Attorney**  
 cc 7738 23-1011-04 pb 14  
 Pos #71900118  
 Funded/supports CJP – reports to OGC

**Florida Department of Law Enforcement**  
 Criminal Justice Professionalism  
 Bureau of Standards  
**CURRENT**

**SMS**  
**SES**  
**CS**  
**OPS**

**Assistant Executive Director**  
 cc 9883 10-1021-02 pb 24  
 Pos #71000820

**Director, Criminal Justice Professionalism**  
 cc 9828 10-3042-01 pb 23  
 Pos #71000696

**Deputy Director**  
 cc 8709 11-3011-04 pb 22  
 Pos #71001822

**Chief of Standards – FDLE**  
 cc 3628 11-3131-03 pb 21  
 Pos #71000624

**Field Services and Records**

**Government Operations Consultant I**  
 cc 2234 13-1111-03 pb 07  
 Pos #71000630  
 Pos #71000795

**Professional Compliance**

**Training & Research Manager – SES**  
 cc 6004 11-3131-02 pb 20  
 Pos #71001245

**Training & Research Manager**  
 cc 6004 11-3131-02 pb 20  
 Pos #71000701

**Field Services**

**Records**

**Professional Compliance**

**Administrative Assistant II**  
 cc 0712 43-6011-03 pb 05  
 Pos #71001468  
**Government Operations Consultant I**  
 cc 2234 13-1111-03 pb 07  
 Pos #710000795 Kimberly Rowell  
**Government Analyst II**  
 cc 2225 13-1111-04 pb 10  
 Pos #71000394 PROC  
 Pos #71000395 TBROC  
 Pos #71000604 TROC  
 Pos #71000605 FMROC  
 Pos #71000698 OROC  
 Pos #71000768 MROC  
 Pos #71001102 TROC  
 Pos #71001103 JROC  
 Pos #71001140 FMROC (Sarasota)  
 Pos #71001141 TBROC (Lakeland)  
 Above GA IIs funded and report to CJP – supports Regions

**Government Analyst I**  
 cc 2224 13-1111-03 pb 07  
 Pos #71000626  
 Pos #71001142  
 Pos #71001356  
 Pos #71001357  
**OPS Senior Clerk**  
 cc 0004 43-9061-02 pb 03  
 Pos #71900226

**Administrative Assistant II**  
 cc 0712 43-6011-03 pb 05  
 Pos #71000700  
**Government Operations Consultant III**  
 cc 2238 13-1111-04 pb 10  
 Pos #71000600  
 Pos #71001143  
 Pos #71000688  
 Pos #71000792  
 Pos #71000799  
 Pos #71001469  
 Pos #71001466  
 Pos #71001538  
 Pos #71000791  
**OPS Senior Clerk**  
 cc 0004 43-9061-02 pb 03  
 Pos #71900100

**Florida Department of Law Enforcement**  
 Criminal Justice Professionalism  
 Bureau of Training  
**CURRENT**

**Assistant Executive Director**  
 cc 9883 10-1021-02 pb 24  
 Pos #71000820

**Director, Criminal Justice Professionalism**  
 cc 9828 10-3042-01 pb 23  
 Pos #71000696

**Deputy Director**  
 cc 8709 11-3011-04 pb 22  
 Pos #71001822

**Chief of Training – FDLE**  
 cc 3630 11-3131-03 pb 21  
 Pos #71000627

**SMS**  
**SES**  
**CS**  
**OPS**

**Research & Assessment**

**Basic Curriculum**

**Post Basic Curriculum**

**Training & Research Manager – SES**  
 cc 6004 11-3131-02 pb 20  
 Pos #71001148

**Training & Research Manager – SES**  
 cc 6004 11-3131-02 pb 20  
 Pos #71000793

**Training & Research Manager – SES**  
 cc 6004 11-3131-02 pb 20  
 Pos #71000697

**Exam Administration**

**Exam Development & Research**

**Government Analyst II**  
 cc 2225 13-1111-04 pb 10  
 Pos #71000634

**Government Analyst II**  
 cc 2225 13-1111-04 pb 10  
 Pos #71000693  
 Pos #71001471  
 Pos #71001978

**Government Analyst II**  
 cc 2225 13-1111-04 pb 10  
 Pos #71001147  
 Pos #71000787  
**Government Operations Consultant III**  
 cc 2238 13-1111-04 pb 10  
 Pos #71000766  
 Pos #71001144  
 Pos #71001244  
 Pos #71001344  
 Pos #71001534  
 Pos #71001536

**Government Analyst II**  
 cc 2225 13-1111-04 pb 10  
 Pos #71001145  
**Government Operations Consultant III**  
 cc 2238 13-1111-04 pb 10  
 Pos #71000788  
 Pos #71001412  
 Pos #71001467

**OPS Government Analyst II**  
 cc 2225 13-1111-04 pb 10  
 Pos #71900108

**Assistant Executive Director**  
 cc 9883 10-1021-02 pb 24  
 Pos #71000820

**Director, Criminal Justice Professionalism**  
 cc 9828 10-3042-01 pb 23  
 Pos #71000696

**Bureau of Professional Development**

**Accreditation Commission**

**Chief of Professional Development – FDLE**  
 cc 3631 11-3131-03 pb 21  
 Pos #71000127

**Florida Law Enforcement Accreditation Director**  
 cc 8535 11-3131-02 pb 20  
 Pos #71001297

**Training & Research Manager – SES**  
 cc 6004 11-3131-02 pb 20  
 Pos #71001320

**Training & Research Manager – SES**  
 cc 6004 11-3131-02 pb 20  
 Pos #71000907

**Administrative Assistant II**  
 cc 0712 43-6011-03 pb 05  
 Pos #71001066

**Government Analyst II**  
 cc 2225 13-1111-04 pb 10  
 Pos #71001199

**Government Analyst II**  
 cc 2225 13-1111-04 pb 10  
 Pos #71000702  
 Pos #71001695  
 Pos #71001696

**Senior Program Analyst**  
 cc 6843 13-1199-94 pb 10  
 Pos #71002204

**Business Consultant I**  
 cc 0736 13-1111-03 pb 07  
 Pos #71001246

**Administrative Assistant II**  
 cc 0712 43-6011-03 pb 05  
 Pos #71001347

**Government Analyst II**  
 cc 2225 13-1111-04 pb 10  
 Pos #71001065

**Research & Training Specialist**  
 cc 1334 13-1151-04 pb 10  
 Pos #71001535

**Radio-Television Producer-Director**  
 cc 3793 27-2012-03 pb 07  
 Pos #71001316

**Government Analyst II**  
 cc 2225 13-1111-04 pb 10  
 Pos #71000883

**Art Editor**  
 cc 3716 27-1011-03 pb 07  
 Pos #71001235

**Research & Training Specialist**  
 cc 1334 13-1151-04 pb 10  
 Pos #71001242  
 Pos #71001243  
 Pos #71001340

**OPS Research & Training Specialist**  
 cc 1334 13-1151-04 pb 10  
 Pos #71900110

**OPS Senior Clerk**  
 cc 0004 43-9061-02 pb 03  
 Pos #71900187

**OPS Administrative Assistant I**  
 cc 0709 43-6011-02 pb 03  
 Pos #71900130

**Assistant Executive Director**  
 cc 9883 10-1021-02 pb 24  
 Pos #71000820

**Director, Criminal Justice Professionalism**  
 cc 9828 10-3042-01 pb 23  
 Pos #71000696

**Deputy Director**  
 cc 8709 11-3011-04 pb 22  
 Pos #71001822

**Chief of Policy & Special Programs – FDLE**  
 cc 3632 11-9199-03 pb 21  
 Pos #71000023

**Medical Examiners Commission Support**

**Planning & Support**

**Alcohol Testing**

**Government Analyst I**  
 cc 2224 13-1111-03 pb 07  
 Pos #71000671

**Government Analyst II**  
 cc 2225 13-1111-04 pb 10  
 Pos #71000858  
 Pos #71001346

**Operations & Management Consultant Manager – SES**  
 cc 2238 11-1021-02 pb 20  
 Pos #71000631

**Senior Management Analyst Supervisor – SES**  
 cc 2228 13-1111-04 pb 10  
 Pos #71000850

**Senior Program Analyst**  
 cc 6843 13-1199-94 pb 10  
 Pos #71001518

**Administrative Assistant I**  
 cc 0709 43-6011-02 pb 03  
 Pos #71000851  
**Business Consultant I**  
 cc 0736 13-1111-03 pb 07  
 Pos #71000794 Vacant  
**Government Operations Consultant III**  
 cc 2238 13-1111-04 pb 10  
 Pos #71001139

**Government Analyst I**  
 cc 2224 13-1111-03 pb 07  
 Pos #71001519  
**Government Analyst II**  
 cc 2225 13-1111-04 pb 10  
 Pos #71000797  
**Program Consultant**  
 cc 5915 13-1111-04 pb 10  
 Pos #71001512  
 Pos #71001514  
 Pos #71001515  
 Pos #71001516  
 Pos #71001517  
 These positions support multiple regional offices

**OPS Staff Assistant**  
 cc 0120 43-6011-03 pb 03  
 Pos #71900098  
**OPS Administrative Assistant II**  
 cc 0712 43-6011-03 pb 05  
 Pos #71900102

**SMS**  
**SES**  
**CS**  
**OPS**

8  
 Direct  
 Reports

**Senior Management Analyst Supervisor – SES**  
 cc 2228 13-1111-04 pb 10  
 Pos #71002092

**Assistant Executive Director**  
 cc 9883 10-1021-02 pb 24  
 Pos #71000540

**Director of Capitol Police**  
 cc 9736 10-9199-01 pb 23  
 Pos #71002067

**Administrative Assistant II**  
 cc 0712 46-6011-03 pb 05  
 Pos #71000569

**Government Analyst II**  
 cc 2225 13-1111-04 pb 10  
 Pos #71000598  
**Government Operations Consultant III**  
 cc 2238 13-1111-04 pb 10  
 Pos #71002093  
**Administrative Assistant II**  
 cc 0712 46-6011-03 pb 05  
 Pos #71002089  
**MAIL CENTER**  
**Government Analyst II**  
 cc 2225 13-1111-04 pb 10  
 Pos #71002070  
**Government Analyst II**  
 cc 2225 13-1111-04 pb 10  
 Pos #71002102

**Chief of Law Enforcement Services**  
 cc 8383 11-1021-04 pb 22  
 Pos #71002068

**OPS Administrative Assistant II**  
 cc 0712 46-6011-03 pb 05  
 Pos #71900019  
**OPS Administrative Assistant II**  
 cc 0712 46-6011-03 pb 05  
 Pos #71900243

|   |   |
|---|---|
| <p><b>Distributed Computer Systems Analyst</b><br/>         cc 2052 15-1142-02 pb 06<br/>         Pos #71000206<br/>         (On Loan to ITS)</p> <p><b>Criminal Justice Customer Service Specialist</b><br/>         cc 1350 33-9099-02 pb 06<br/>         Pos #71000325<br/>         (On loan to ITS)</p> | <p><b>Senior Management Analyst Supervisor – SES</b><br/>         cc 2228 13-1111-04 pb 10<br/>         Pos #71002073<br/>         (On Loan to BSP)</p> |
|---|---|

**Assistant Executive Director**  
 cc 9883 10-1021-02 pb 24  
 Pos #71000540

**Director of Capitol Police**  
 cc 9736 10-9199-01 pb 23  
 Pos #71002067

**Law Enforcement Major**  
 cc 8630 33-1012-05 pb 13  
 Pos #71002068 5 Direct Reports

**PATROL**  
**LE Lieutenant**  
 cc 8522 33-1012-04 pb 12 3 Direct Reports  
 Pos #71002087

**LE Sergeant**  
 cc 8519 33-1012-03 pb 10 3 Direct Reports  
 Pos #71002151

**LE Officer**  
 cc 8515 33-3051-01 pb 08  
 Pos #71002104  
 Pos #71002111  
 Pos #71002129

**LE Sergeant**  
 cc 8519 33-1012-03 pb 10 5 Direct Reports  
 Pos #71002130

**LE Officer**  
 cc 8515 33-3051-01 pb 08  
 Pos #71002078  
 Pos #71002091  
 Pos #71002099  
 Pos #71002108  
 Pos #71002118

**LE Sergeant**  
 cc 8519 33-1012-03 pb 10 6 Direct Reports  
 Pos #71002106

**LE Officer**  
 cc 8515 33-3051-01 pb 08  
 Pos #71002088  
 Pos #71002107  
 Pos #71002110  
 Pos #71002112  
 Pos #71002133  
 Pos #71002135

**LE Lieutenant**  
 cc 8522 33-1012-04 pb 12 2 Direct Reports  
 Pos #71002086

**LE Sergeant**  
 cc 8519 33-1012-03 pb 10 10 Direct Reports  
 Pos #71002121

**LE Officer**  
 cc 8515 33-3051-01 pb 08  
 Pos #71002128  
**LE Officer Trainee**  
 cc 8515 33-3051-01 pb 08  
 Pos #71002069  
 Pos #71002074  
 Pos #71002076  
 Pos #71002090  
 Pos #71002126  
 Pos #71002144

**OPS Security Officer**  
 cc 8206 33-9032-01 pb 01  
 (\*\*) Pos #71900151  
 (\*\*) Pos #71900172  
 (\*\*) Pos #71900251

**LE Sergeant**  
 cc 8519 33-1012-03 pb 10  
 Pos #71002123

**LE Officer**  
 cc 8515 33-3051-01 pb 08  
 Pos #71002084  
 Pos #71002101  
 Pos #71002120  
 Pos #71002138  
 Pos #71002145

**Law Enforcement Captain**  
 cc 8632 33-1012-05 pb 13 4 Direct Reports  
 Pos #71002125

**Duty Officer Supervisor**  
 cc 8411 33-1099-03 pb 07 5 Direct Reports  
 Pos #71002097

**Duty Officer**  
 cc 8410 33-9099-01 pb 05  
 Pos #71002096  
 Pos #71002098  
 Pos #71002127  
 Pos #71002140  
 Pos #71002142

**Duty Officer Supervisor**  
 cc 8411 33-1099-03 pb 07 3 Direct Reports  
 Pos #71002095

**Duty Officer**  
 cc 8410 33-9099-01 pb 05  
 Pos #71002094  
 Pos #71002137  
 Pos #71002141

**LE Lieutenant**  
 cc 8522 33-1012-04 pb 12 5 Direct Reports  
 Pos #71002148

**LE Sergeant**  
 cc 8519 33-1012-03 pb 10 4 Direct Reports  
 Pos #71002072

**LE Officer**  
 cc 8515 33-3051-01 pb 08  
 Pos #71002071  
 Pos #71002103  
 Pos #71002109  
 Pos #71002132

**LE Sergeant**  
 cc 8519 33-1012-03 pb 10 6 Direct Reports  
 Pos #71002153

**LE Officer**  
 cc 8515 33-3051-01 pb 08  
 Pos #71002113  
 Pos #71002116  
 Pos #71002131  
 Pos #71002134  
 Pos #71002136  
 Pos #71002147

**LE Sergeant**  
 cc 8519 33-1012-03 pb 10 6 Direct Reports  
 Pos #71002085

**LE Officer**  
 cc 8515 33-3051-01 pb 08  
 Pos #71002077  
 Pos #71002082  
 Pos #71002083  
 Pos #71002105  
 Pos #71002124  
 Pos #71002143

**OPS LE Officer**  
 cc 8515 33-3051-01 pb 08  
 Pos #71900126  
 Pos #71900136

**LE Lieutenant**  
 cc 8522 33-1012-04 pb 12 7 Direct Reports  
 Pos #71002081

**LE Sergeant**  
 cc 8519 33-1012-03 pb 10 3 Direct Reports  
 Pos #71002150

**LE Officer**  
 cc 8515 33-3051-01 pb 08  
 Pos #71002079  
 Pos #71002122  
 Pos #71002152

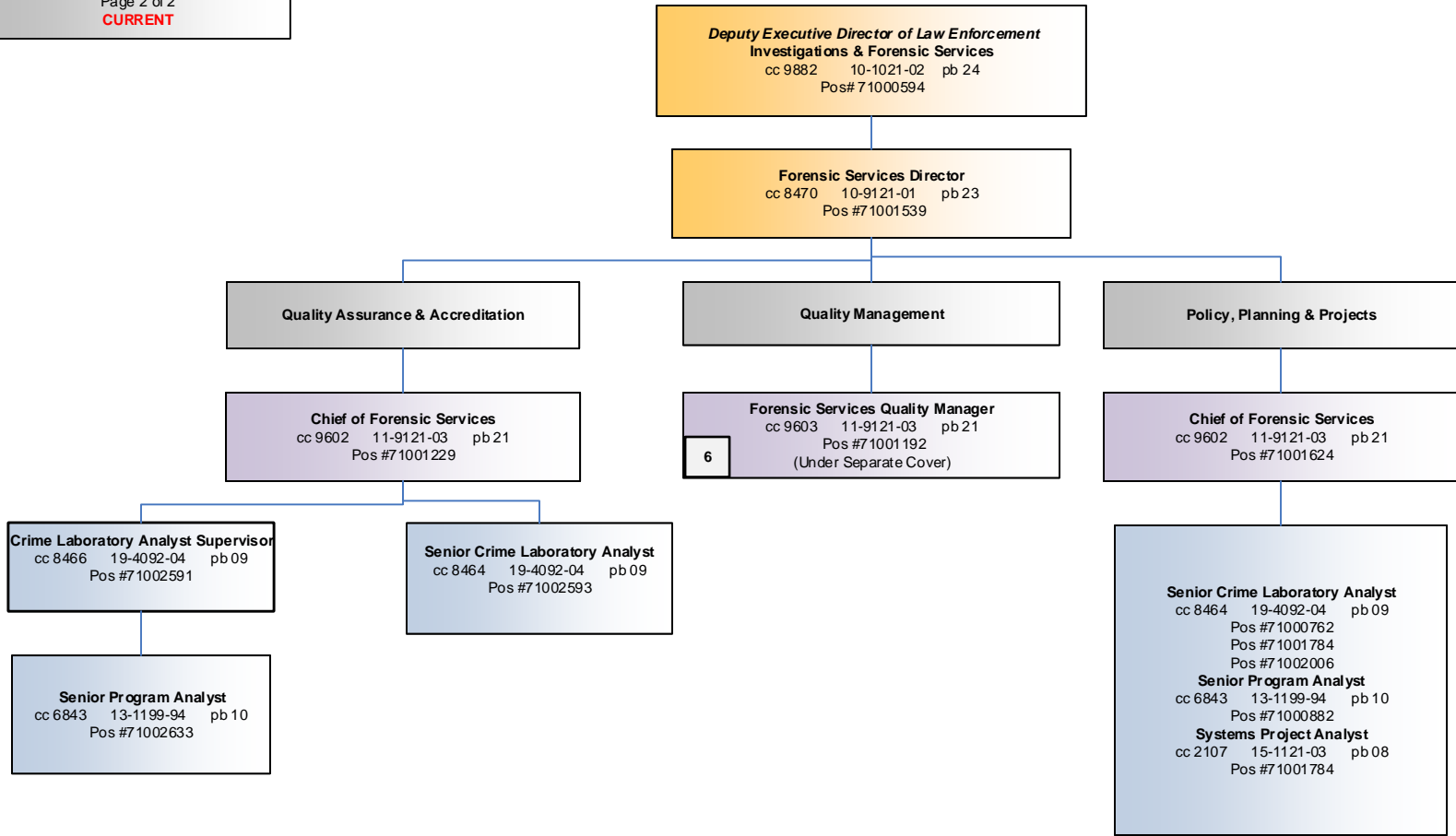
**LE Sergeant**  
 cc 8519 33-1012-03 pb 10 5 Direct Reports  
 Pos #71002100

**LE Officer**  
 cc 8515 33-3051-01 pb 08  
 \*\*Pos #71000366  
 \*\*Pos #71000452  
 \*\*Pos #71001405  
 \*\*Pos #71002075  
**Administrative Assistant I**  
 cc 0709 43-6011-02 pb 03  
 \*\*Pos #71000789

**LE Sergeant**  
 cc 8519 33-1012-03 pb 10 3 Direct Reports  
 Pos #71002080

**LE Officer**  
 cc 8515 33-3051-01 pb 08  
 Pos #71002114  
 Pos #71002149  
 Pos #71002139

**LE Investigator II**  
 cc 8541 33-3021-04 pb 10  
 \*Pos #71000166  
 \*Pos #71000832  
 Pos #71002115  
 Pos #71002117

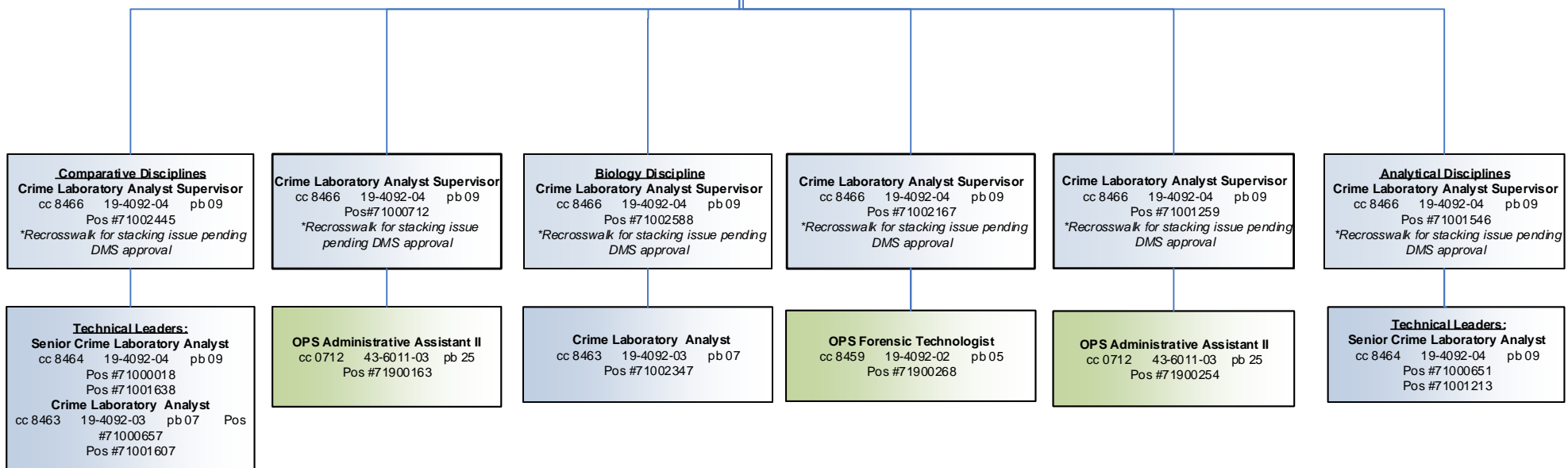




**Forensic Services Director**  
 cc 8470 10-9121-01 pb 23  
 Pos #71001539

**Quality Management**

**Forensic Services Quality Manager**  
 cc 9603 11-9121-03 pb 21  
 Pos #71001192



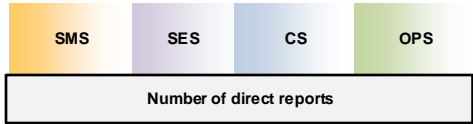
Florida Department of Law Enforcement  
 Public Safety Services  
 Office of Statewide Investigative Services (Division)  
 Field Services (Bureau)  
**CURRENT**

**Deputy Executive Director of Law Enforcement**  
 cc 9882 10-1021-02 pb 24  
 Pos# 71000540

**Director-FDLE**  
 cc 8520 10-1021-01 pb 23  
 Pos# 71000054

**Field Services**  
**Chief of Investigations**  
 cc 8530 11-9199-03 pb 21  
 Pos# 71000304

4



**Law Enforcement Services**  
**Special Agent Supervisor**  
 cc 8584 33-1111-06 pb 13  
 Pos# 71002493

**Law Enforcement Services**  
**Special Agent Supervisor**  
 cc 8584 33-1111-06 pb 13  
 Pos# 71001276

**Systems Administration**  
**Senior Management Analyst Supervisor**  
 cc 2228 13-1111-04 pb 10  
 Pos# 71000112

**Cyber High Tech Crime**  
**Training & Outreach**  
**Special Agent Supervisor**  
 cc 8584 33-1111-06 pb 13  
 Pos #71000061

**Mutual Aid**  
**Inspector**  
 cc 8590 33-3021-05 pb 12  
 Pos# 71000021

**Special Agent**  
 cc 8581 33-3021-05 pb 12  
 Pos# 71002548  
 (on loan from MROC)

**Operations Review Specialist**  
 cc 2239 13-1111-04 pb 10  
 Pos# 71000770

**Aviation Unit**  
**Special Agent Chief Pilot**  
 cc 8581 33-3021-05 pb 12  
 Pos# 71001170  
 On loan from TBROC

**Special Agent**  
 cc 8581 33-3021-05 pb 12  
 Pos# 71000354  
 Pos# 71000767  
 Pos# 71002329

**Multi-Engine Reciprocal Aircraft Pilot**  
 cc 6572 53-2011-04 pb 09  
 Pos# 71002584  
 Pos# 71002585  
 Pos# 71002586  
 Pos# 71002587

**Operations Review Specialist**  
 cc 2239 13-1111-04 pb 10  
 Pos# 71002021

**Government Analyst II**  
 cc 2225 13-1111-04 pb 10  
 Pos# 71001075  
 Pos# 71002028

**OPS Planning Consultant**  
 cc 2336 13-1111-04 pb 10  
 Pos# 71900331

**Inspector**  
 cc 8590 33-3021-05 pb 12  
 Pos #71000818  
 Pos #71001099

**Special Agent**  
 cc 8581 33-3021-05 pb 12  
 Pos# 71002059

**Systems Programming Consultant**  
 cc 2117 15-1131-04 pb 09  
 Pos# 71000328  
 Pos# 71002003  
 Pos# 71002031

**Telecommunications Consultant**  
 cc 2039 15-1142-03 pb 08  
 Pos# 71000773

**Senior Information Technology Business Consultant**  
 cc 2114 15-1199-04 pb 09  
 Pos# 71002016

**Digital Forensic Consultant**  
 cc 8468 33-3021-04 pb 10  
 Pos# 71002005

**Senior Crime Intelligence Analyst II**  
 cc 8435 33-2021-03 pb 09  
 Pos# 71002205

**OPS Special Agent**  
 cc 8581 33-3021-05 pb 12  
 Pos# 71900052

**Deputy Executive Director of Law Enforcement**  
**Investigations & Forensic Services**  
cc 9882 10-1021-02 pb 24  
Pos# 71000594

**Chief of Policy Development & Planning**  
cc 6826 11-1021-03 pb 21  
Pos #71000617  
4

**Business Support**  
**Senior Management Analyst Supervisor**  
cc 2228 13-1111-04 pb 10  
Pos #71000211  
6

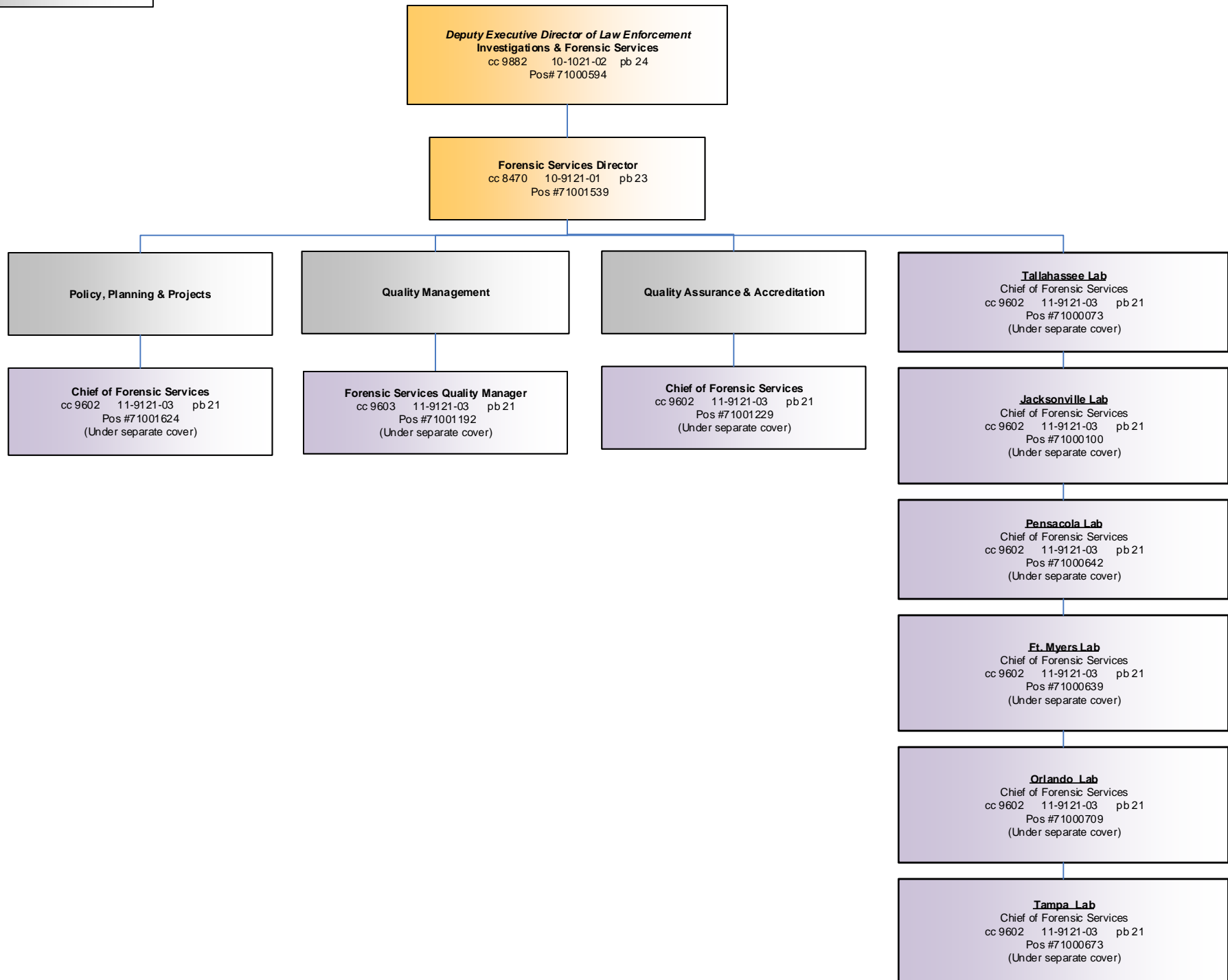
**Government Analyst II**  
cc 2225 13-1111-04 pb 10  
Pos #71001277  
**Government Operations Consultant III**  
cc 2238 13-1111-04 pb 10  
Pos #71000998  
**Business Consultant I**  
cc 0736 13-1111-03 pb 07  
Pos #71000633

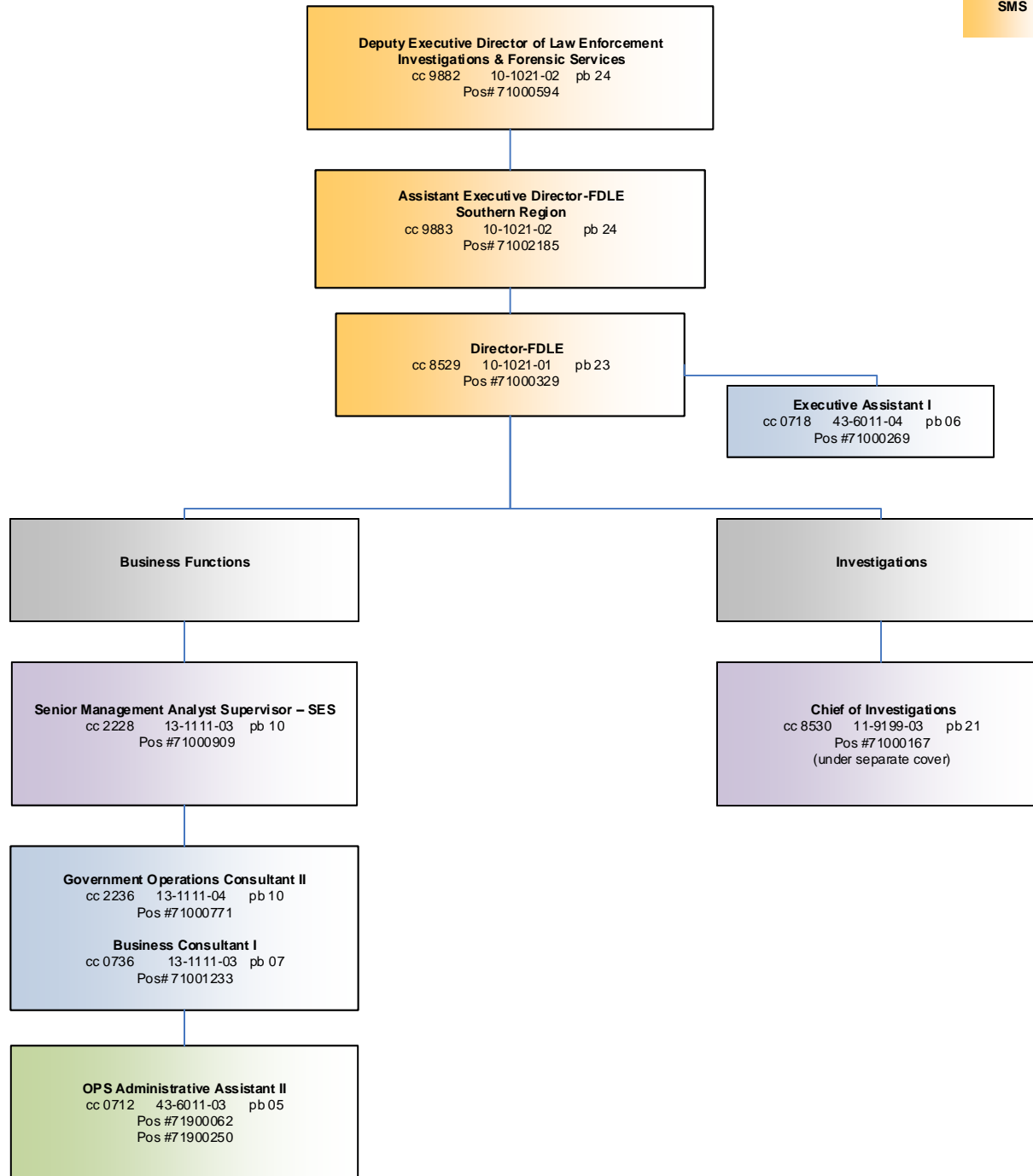
**OPS Administrative Assistant II**  
cc 0712 43-6011-03 pb 05  
Pos #71900275  
Pos #71900276  
**OPS Crime Intelligence Technician**  
cc 8427 33-3021-01 pb 05  
Pos #71900176

**Policy & Planning**  
**Senior Management Analyst Supervisor**  
cc 2228 13-1111-04 pb 10  
Pos #71001520  
3

**Senior Program Analyst**  
cc 6843 13-1199-94 pb 10  
Pos #71001804  
**Government Analyst II**  
cc 2225 13-1111-04 pb 10  
Pos #71000450  
Pos #71002017

**Human Resources**  
**Government Analyst II**  
cc 2225 13-1111-04 pb 10  
Pos #71000149  
Pos #71000330





**Deputy Executive Director of Law Enforcement  
 Investigations & Forensic Services**  
 cc 9882 10-1021-02 pb 24  
 Pos# 71000594

**Forensic Services Director**  
 cc 8470 10-9121-01 pb 23  
 Pos #71001539

**Chief of Forensic Services**  
 cc 9602 11-9121-03 pb 21  
 Pos #71000639

**Senior Crime Laboratory Analyst**  
 cc 8464 19-4092-04 pb 09  
 Pos #71000711

**Biology**

**Crime Laboratory Analyst Supervisor**  
 cc 8466 19-4092-04 pb 09  
 Pos #71001582

**Crime Laboratory Analyst**  
 cc 8463 19-4092-03 pb 07  
 Pos #71000640  
 Pos #71000660  
 Pos #71000710  
 Pos #71000778  
 Pos #71001478  
 Pos #71001768  
 Pos #71002224  
 Pos #71002346  
 Pos #71002356  
 Pos #71002504  
**Forensic Technologist**  
 cc 8459 19-4092-02 pb 05  
 Pos #71001231  
 Pos #71001594

**OPS Forensic Technologist**  
 cc 8459 19-4092-02 pb 05  
 Pos #71900373

**Crime Scene/  
 Latents**

**Crime Laboratory Analyst Supervisor**  
 cc 8466 19-4092-04 pb 09  
 Pos #71000086  
*\*Recrosswalk for stacking issue pending DMS approval*

**Latents**  
**Crime Laboratory Analyst**  
 cc 8463 19-4092-03 pb 07  
 Pos #71000738  
 Pos #71001543  
 Pos #71001611  
 Pos #71001628  
 Pos #71002452  
**Forensic Technologist**  
 cc 8459 19-4092-02 pb 05  
 Pos #71001595

**OPS Forensic Technologist**  
 cc 8459 19-4092-02 pb 05  
 Pos #71900060

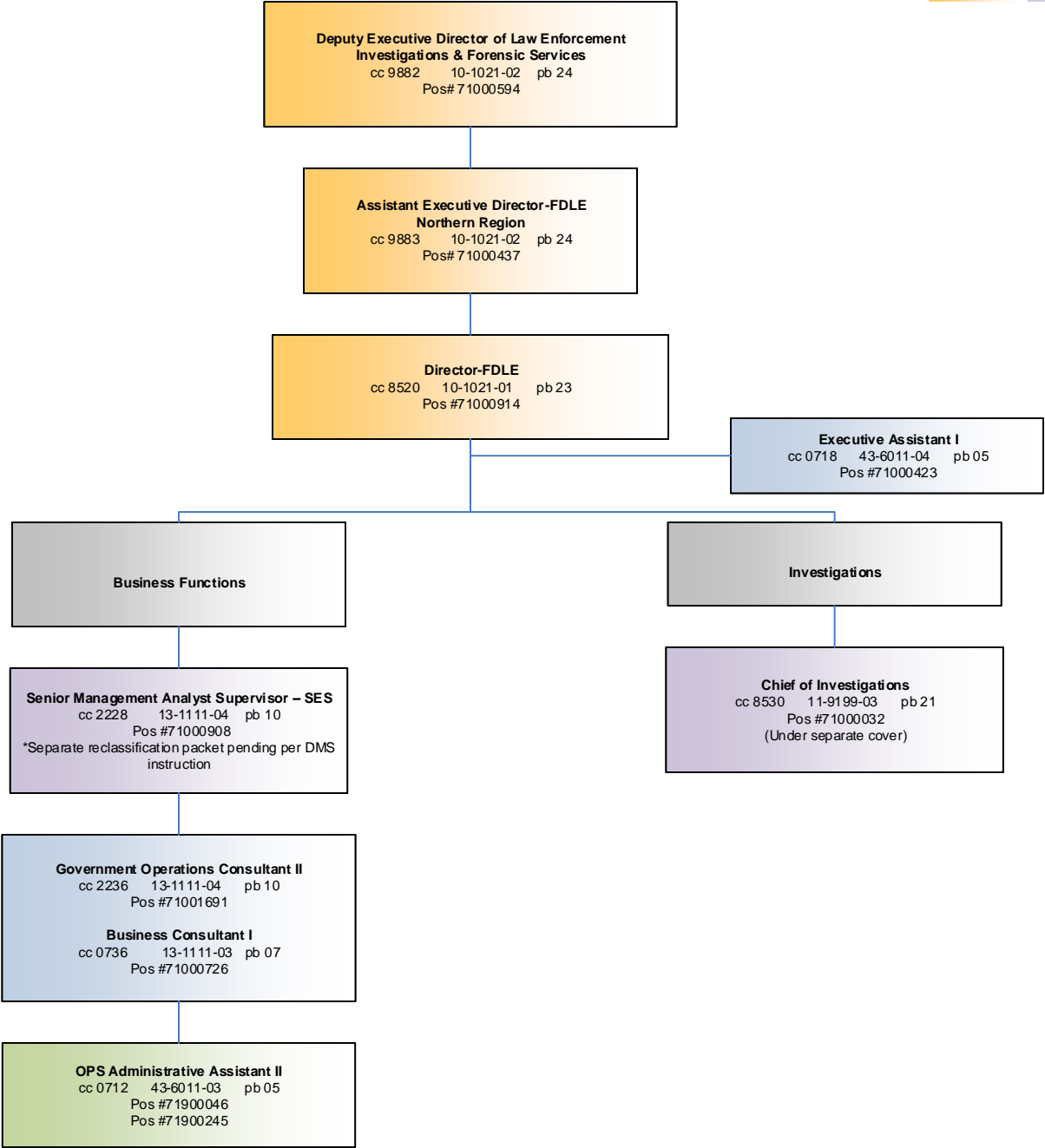
**Crime Scene**  
**Senior Crime Laboratory Analyst**  
 cc 8464 19-4092-04 pb 09  
 Pos #71001640  
**Crime Laboratory Analyst**  
 cc 8463 19-4092-03 pb 07  
 Pos #71001635

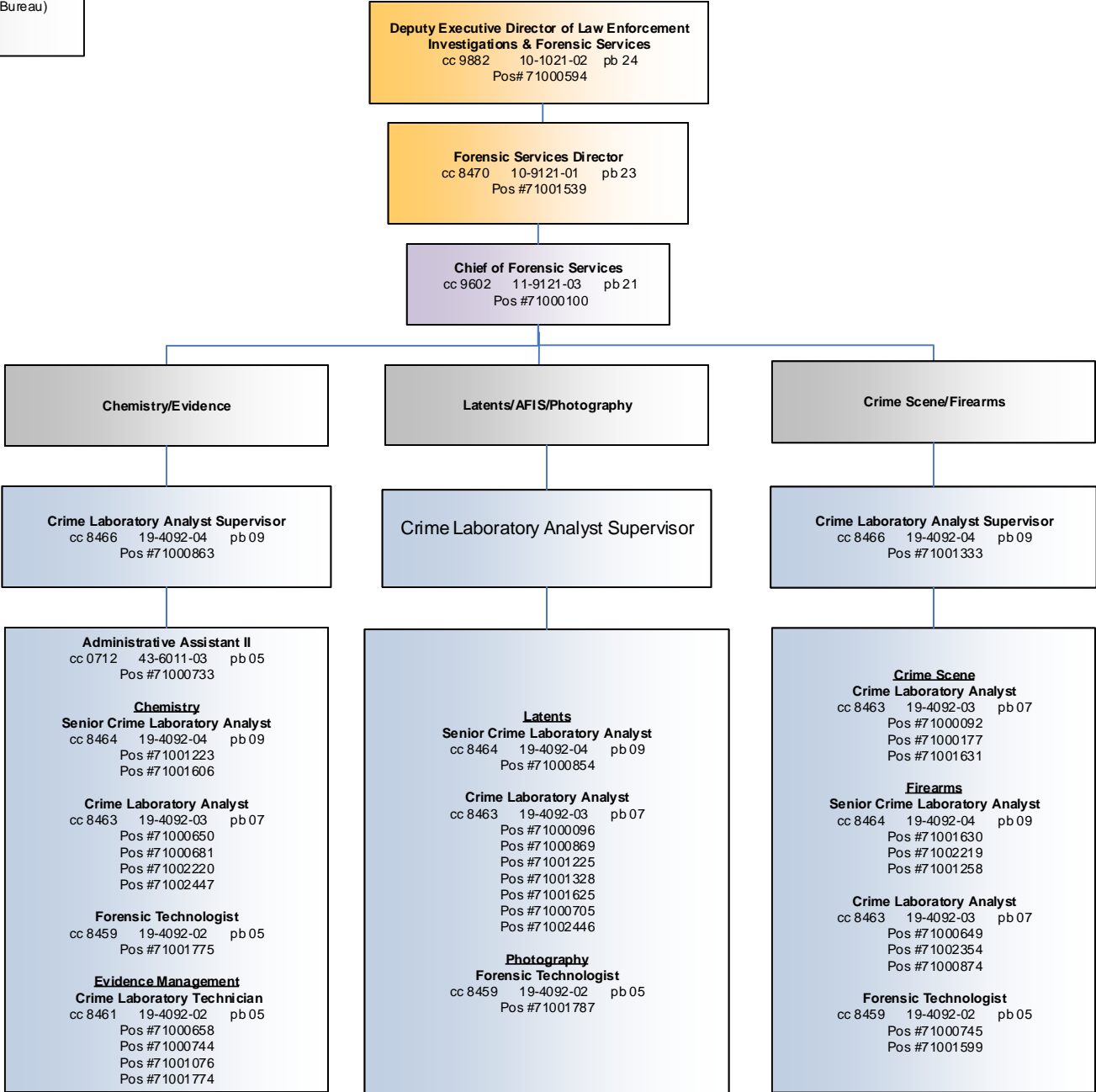
**Chemistry/Evidence**

**Crime Laboratory Analyst Supervisor**  
 cc 8466 19-4092-04 pb 09  
 Pos #71001592  
*\*Recrosswalk for stacking issue pending DMS approval*

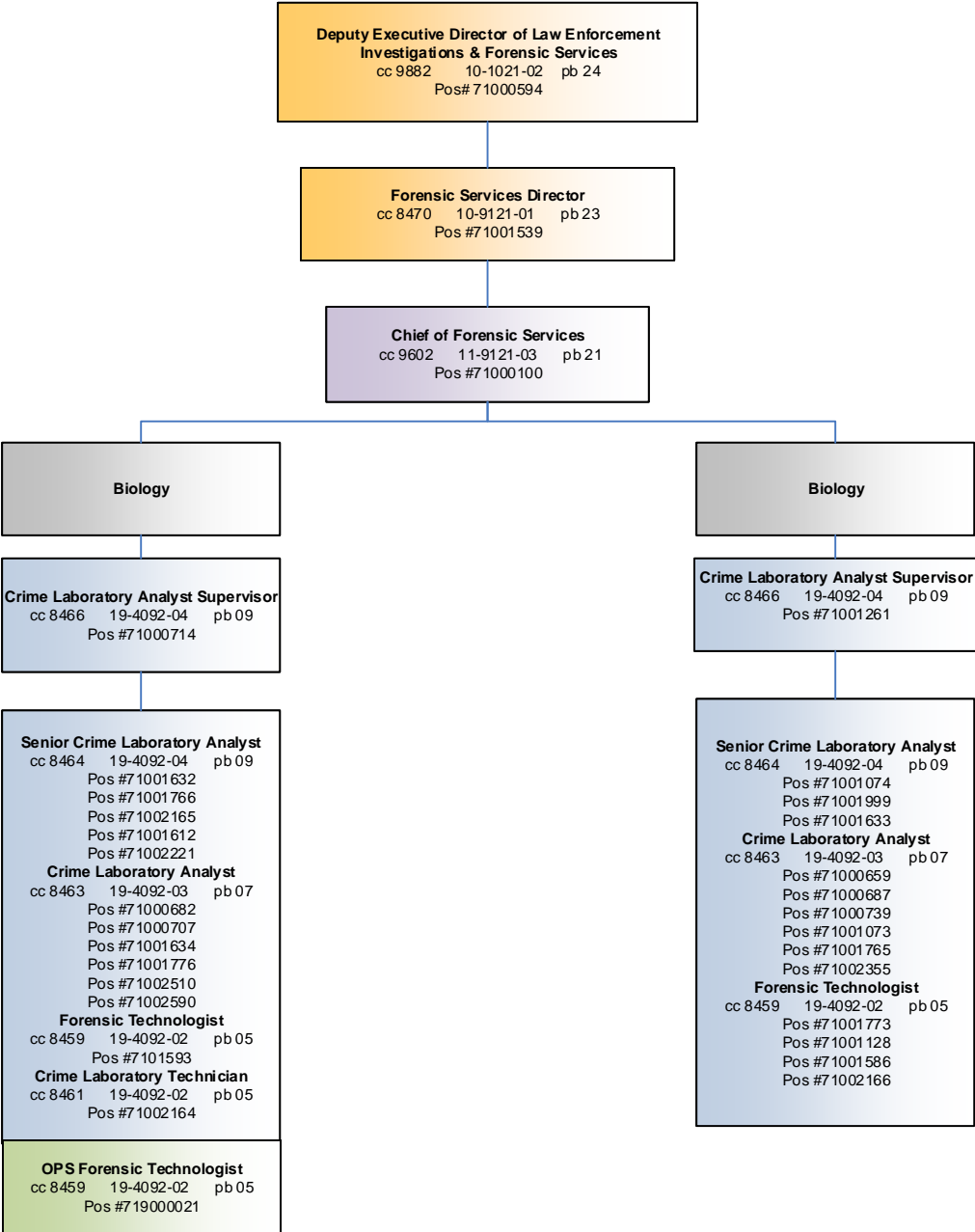
**Chemistry**  
**Senior Crime Laboratory Analyst**  
 cc 8464 19-4092-04 pb 09  
 Pos #71000723  
 Pos #71001996  
 Pos #71002450  
**Crime Laboratory Analyst**  
 cc 8463 19-4092-03 pb 07  
 Pos #71001589  
 Pos #71001771  
**Forensic Technologist**  
 cc 8459 19-4092-02 pb 05  
 Pos #71001547

**Evidence**  
**Crime Laboratory Technician**  
 cc 8461 19-4092-02 pb 05  
 Pos #71000871  
 Pos #71001789









**Deputy Executive Director of Law Enforcement  
 Investigations & Forensic Services**  
 cc 9882 10-1021-02 pb 24  
 Pos# 71000594

**Assistant Executive Director-FDLE  
 Southern Region**  
 cc 9883 10-1021-02 pb 24  
 Pos# 71002185

**Director-FDLE**  
 cc 8529 10-1021-01 pb 23  
 Pos # 71000024

**Executive Assistant I**  
 cc 0718 43-6011-04 pb 06  
 Pos# 71000523  
 Pos #71001314

**Investigations**

**Chief of Investigations-FDLE**  
 cc 8530 11-9199-03 pb 21  
 Pos #71001006  
 (under separate cover)

**Chief of Investigations-FDLE**  
 cc 8530 11-9199-03 pb 21  
 Pos #71000962  
 (under separate cover)

**Information Services IT & Training**

**Operations & Mgmt Consultant Mgr**  
 cc 2238 11-1021-02 pb 20  
 Pos # 71001408

**Administrative Assistant II**  
 cc 0712 43-6011-03 pb 05  
 Pos # 71000239

**OPS Administrative Assistant II**  
 cc 0712 43-6011-03 pb 05  
 Pos #71900336

**Business Office**

**Senior Management Analyst Supervisor – SES**  
 cc 2228 13-1111-04 pb 10  
 Pos #71000241  
 \*Separate reclassification packet pending per DMS instruction

**Administrative Assistant II**  
 cc 0712 43-6011-03 pb 05  
 Pos # 71000159

**Crime Intelligence Technician**  
 cc 8427 33-3021-01 pb 05  
 Pos #71000433

**OPS Administrative Assistant II**  
 cc 0712 43-6011-03 pb 05  
 Pos #71900031  
 Pos #71900034

**Deputy Executive Director of Law Enforcement  
Investigations & Forensic Services**  
cc 9882 10-1021-02 pb 24  
Pos# 71000594

**Assistant Executive Director-FDLE  
Northern Region**  
cc 9883 10-1021-02 pb 24  
Pos# 71000437

**Director-FDLE**  
cc 8520 10-1021-01 pb 23  
Pos #71001172

**Executive Assistant I**  
cc 0718 43-6011-04 pb 05  
Pos #71001288

**Investigations**

**Chief of Investigations**  
cc 8530 11-9199-03 pb 21  
Pos #71000432  
(under separate cover)

**Genetic Genealogy**

**Senior Crime Intelligence Analyst Supervisor -  
SES**  
cc 8437 33-3021-03 pb 09  
Pos #71002596

**Senior Crime Intelligence Analyst II**  
cc 8435 33-2021-03 pb 09  
Pos #71002597  
Pos #71002598

**Crime Intelligence Analyst II**  
cc 8436 33-2021-02 pb 08  
Pos #71002599  
Pos #71002600

**OPS Crime Intelligence Analyst I**  
cc 8433 33-2021-01 pb 05  
Pos #71900384

**Business Functions**

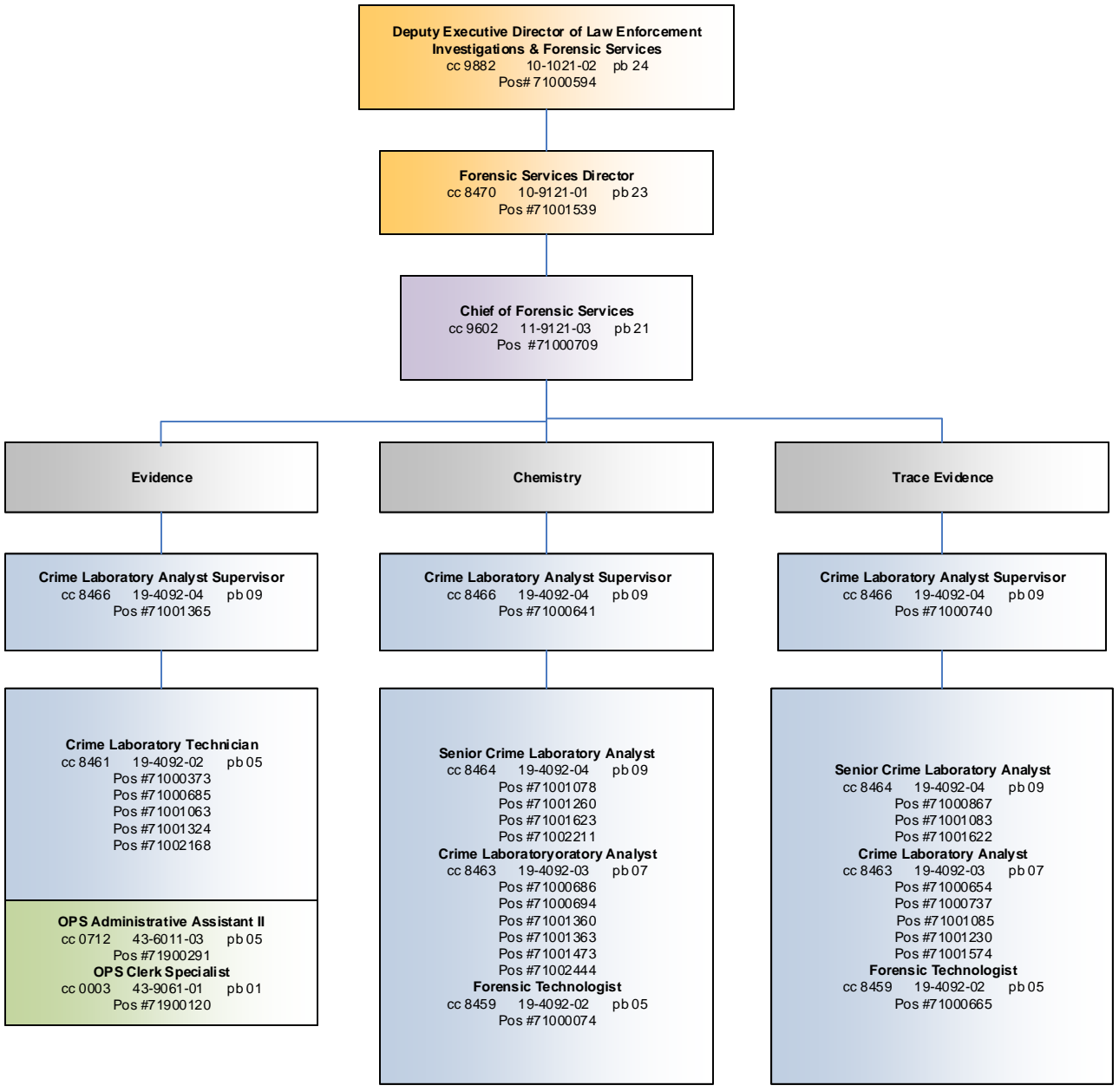
**Senior Management Analyst Supervisor - SES**  
cc 2228 13-1111-04 pb 20  
Pos #71001287

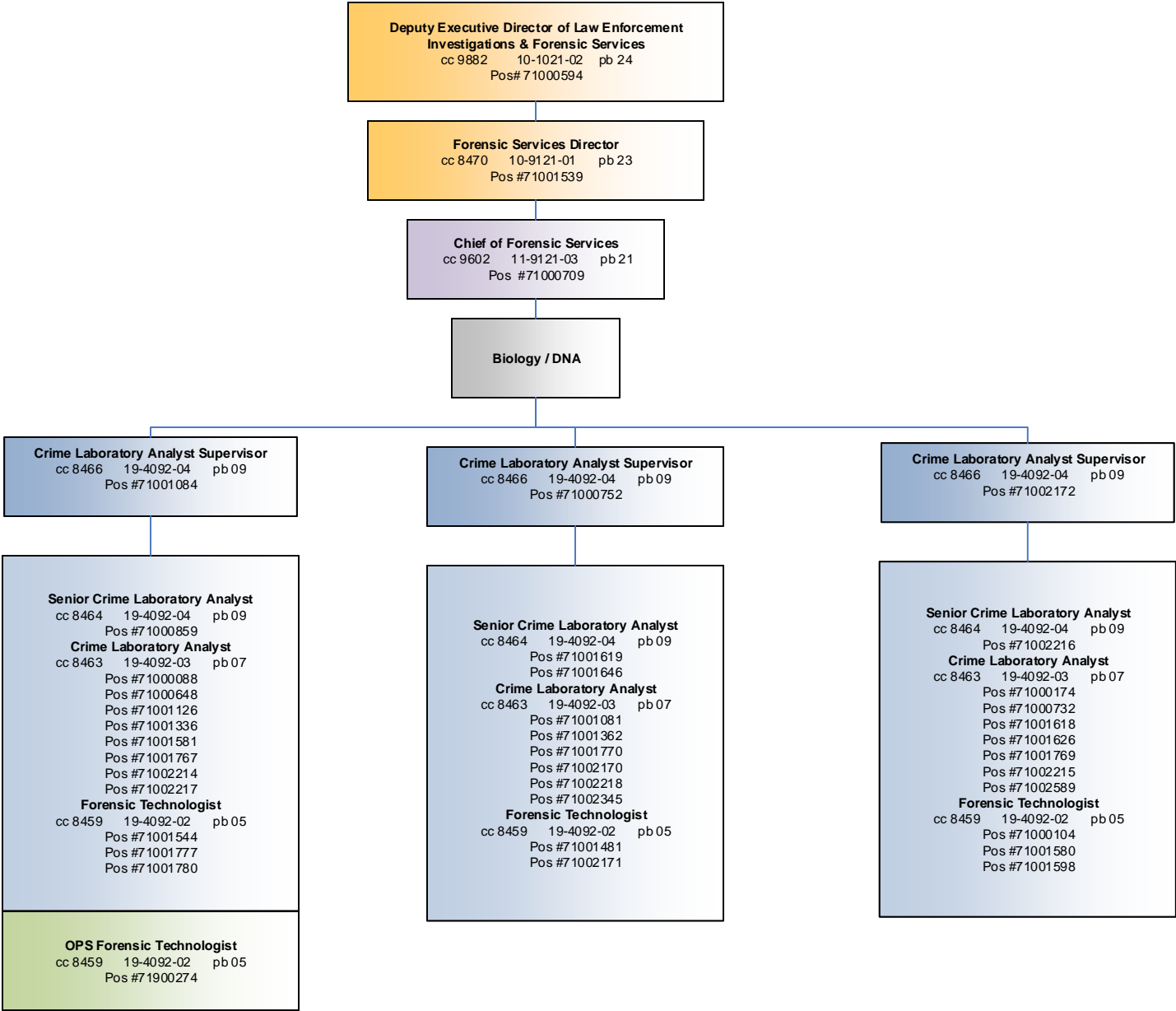
**Government Operations Consultant II**  
cc 2236 13-1111-04 pb 05  
Pos #71001180

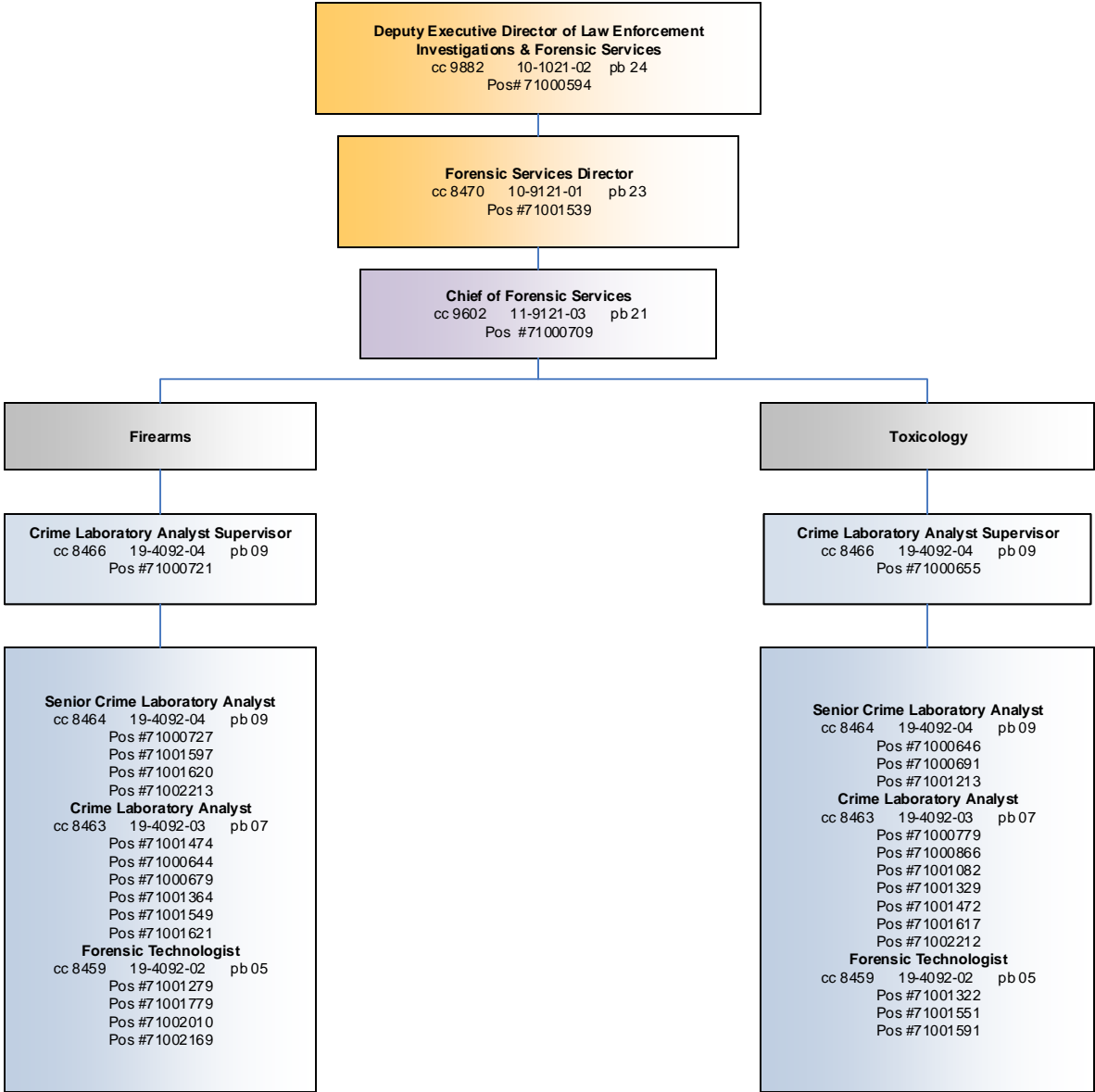
**Business Consultant I**  
cc 0736 13-1111-03 pb 05  
Pos #71000408

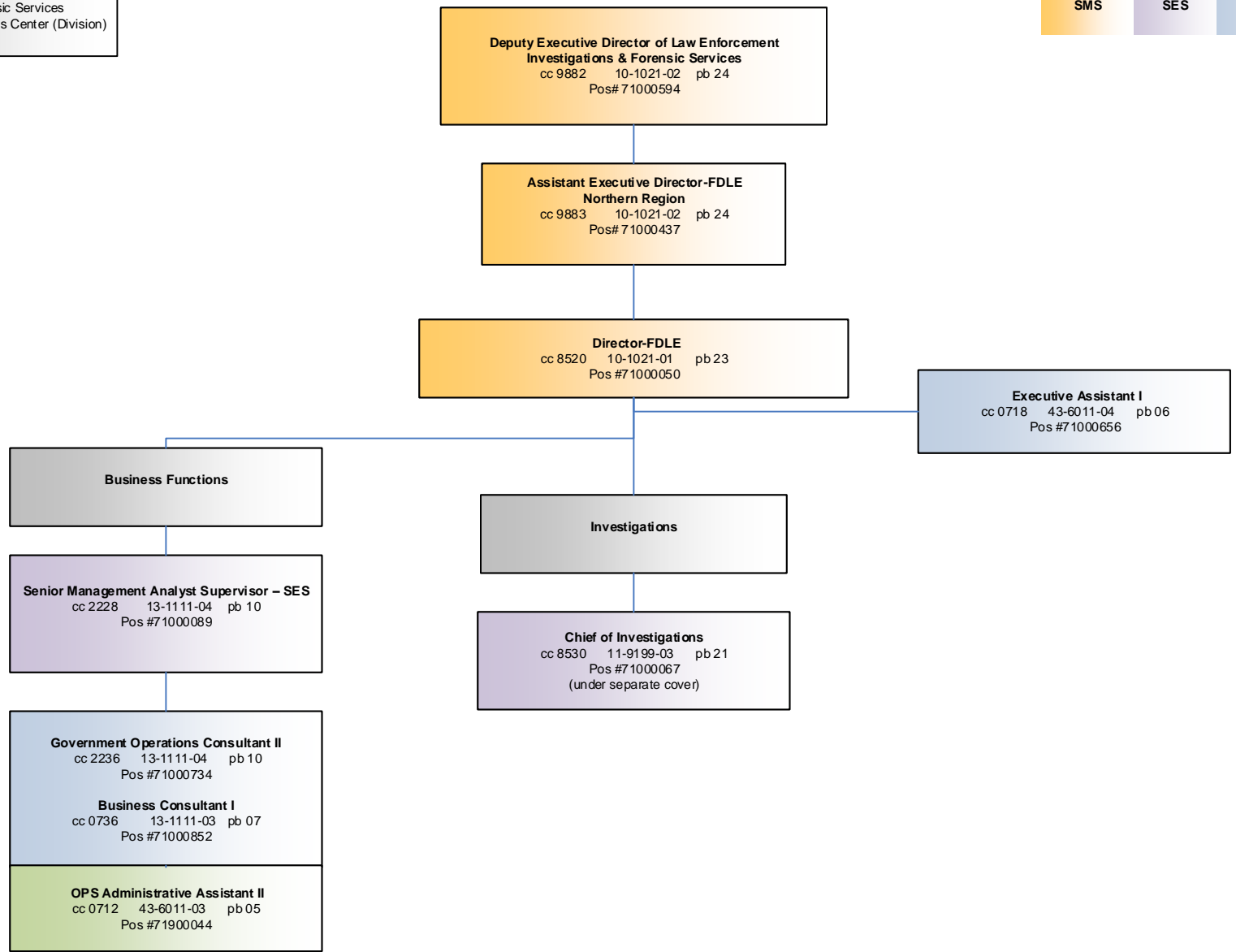
**Administrative Assistant II**  
cc 0712 43-6011-03 pb 05  
Pos #71001840

**OPS Administrative Assistant II**  
cc 0712 43-6011-03 pb 05  
Pos #71900197









**Deputy Executive Director of Law Enforcement  
Investigations & Forensic Services**  
cc 9882 10-1021-02 pb 24  
Pos# 71000594

SMS

SES

CS

OPS

**Forensic Services Director**  
cc 8470 10-9121-01 pb 23  
Pos #71001539

**Chief of Forensic Services**  
cc 9602 11-9121-03 pb 21  
Pos #71000642

**Latents/Documents/Photography/Crime Scene**

**Chemistry/Evidence**

**Biology/DNA**

**Crime Laboratory Analyst Supervisor**  
cc 8466 19-4092-04 pb 09  
Pos #71001129

**Crime Laboratory Analyst Supervisor**  
cc 8466 19-4092-04 pb 09  
Pos #71000870

**Crime Laboratory Analyst Supervisor**  
cc 8466 19-4092-04 pb 09  
Pos #71000751

**Crime Laboratory Analyst Supervisor**  
cc 8466 19-4092-04 pb 09  
Pos #71001596

**Senior Crime Laboratory Analyst**  
cc 8464 19-4092-04 pb 09  
Pos #71000077  
Pos #71000079  
Pos #71000422  
Pos #71001217  
**Crime Laboratory Analyst**  
cc 8463 19-4092-03 pb 07  
Pos #71000002  
Pos #71000664  
Pos #71000736  
Pos #71000741  
Pos #71001584  
Pos #71001609  
Pos #71002453  
Pos #71002222  
**Forensic Technologist**  
cc 8459 19-4092-02 pb 05  
Pos #71000093

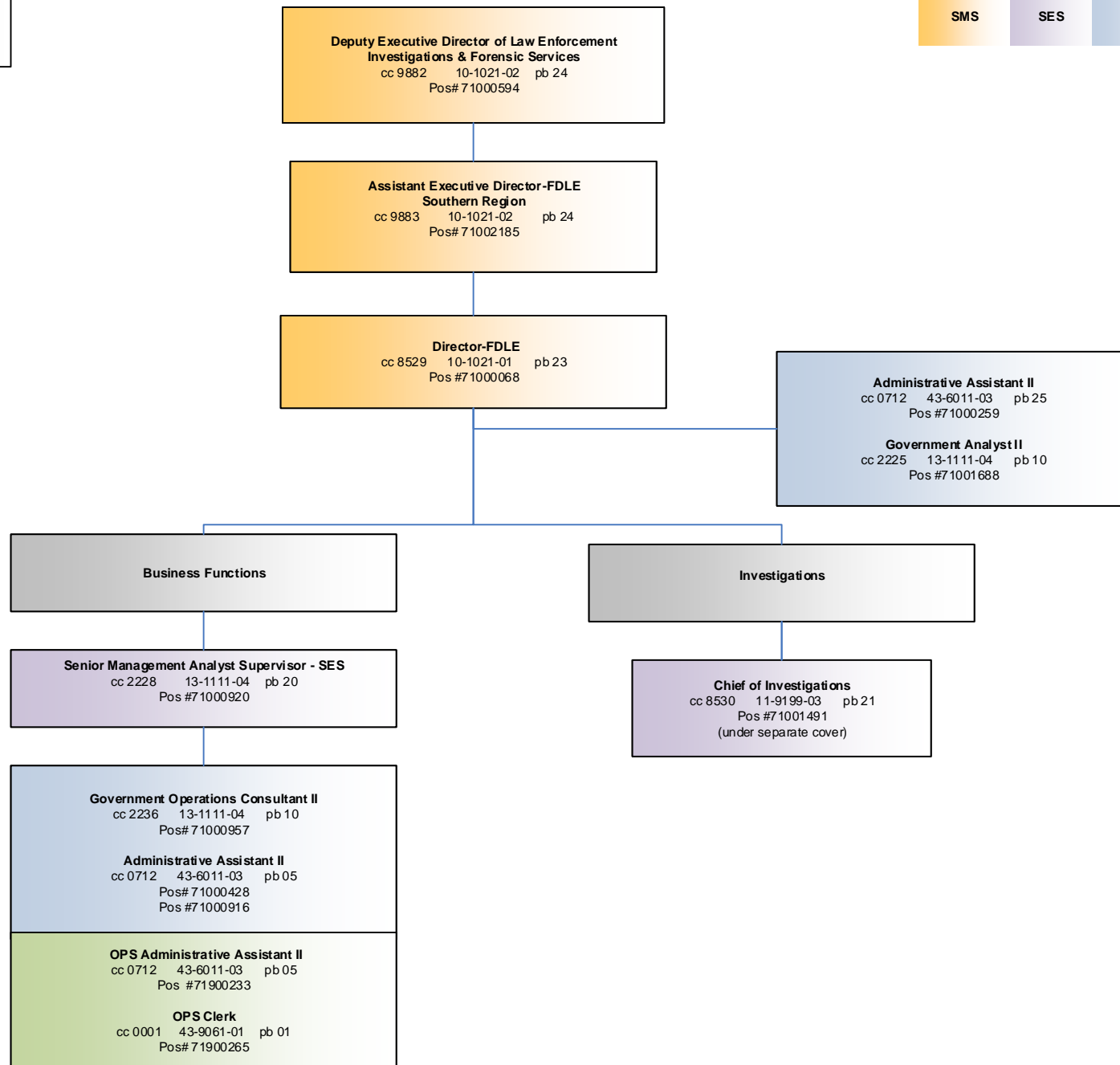
**Crime Laboratory Analyst**  
cc 8463 19-4092-03 pb 07  
Pos #71000098  
Pos #71000706  
Pos #71000873  
Pos #71001997  
Pos #71002454  
Pos #71001772  
Pos #71001615  
**Forensic Technologist**  
cc 8459 19-4092-02 pb 05  
Pos #71000853  
**Crime Laboratory Technician**  
cc 8461 19-4092-02 pb 05  
Pos #71001335  
Pos #71001368  
Pos #71002161

**Senior Crime Laboratory Analyst**  
cc 8464 19-4092-04 pb 09  
Pos #71001218  
Pos #71001583  
Pos #71001614  
**Crime Laboratory Analyst**  
cc 8463 19-4092-03 pb 07  
Pos #71000647  
Pos #71001227  
Pos #71001761  
Pos #71001762  
Pos #71002163  
Pos #71002349  
Pos #71002350  
Pos #71002351  
Pos #71002636  
Pos #71000708  
Pos #71002347  
**Forensic Technologist**  
cc 8459 19-4092-02 pb 05  
Pos #71001079  
Pos #71001130  
Pos #71002162

**Crime Laboratory Analyst**  
cc 8463 19-4092-03 pb 07  
Pos #71000708  
Pos #71002636

**OPS Crime Laboratory Technician**  
cc 8461 19-4092-02 pb 05  
Pos #71900232

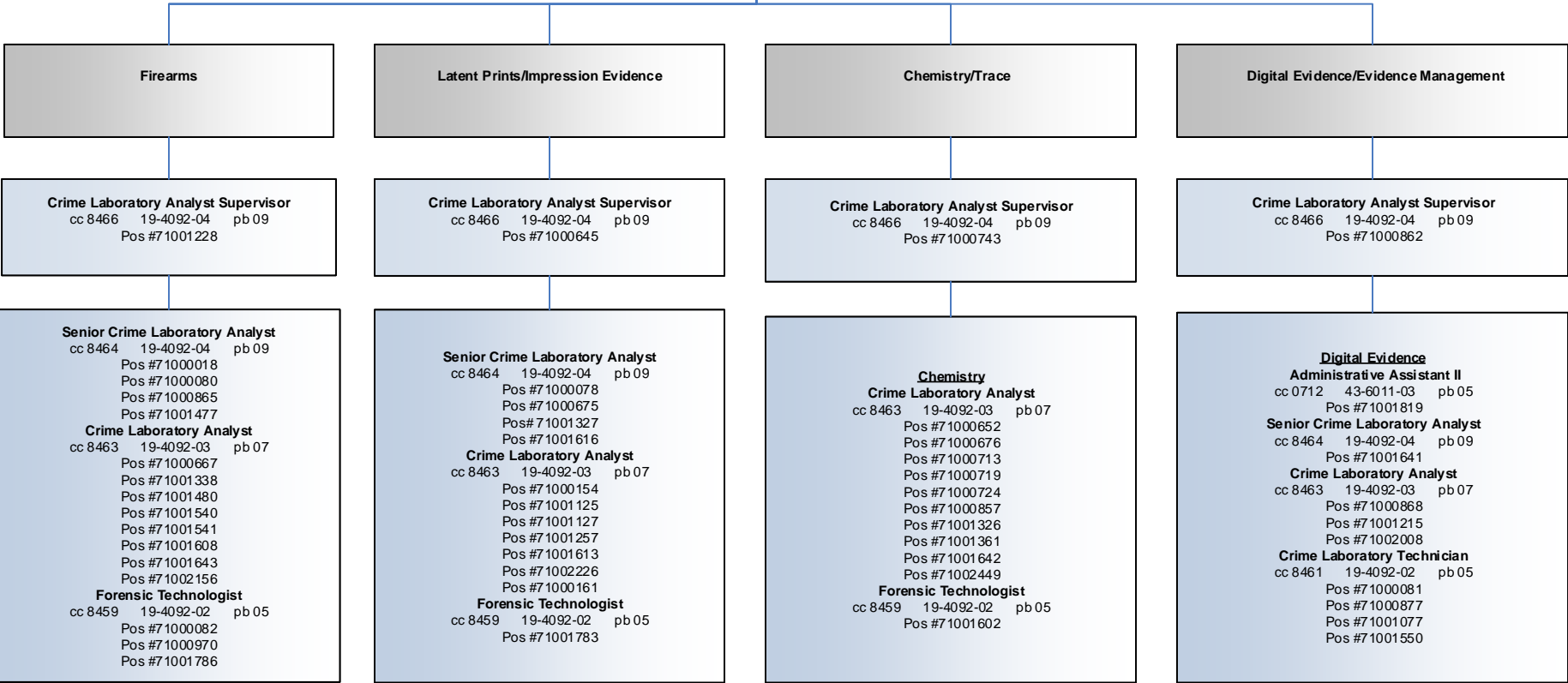


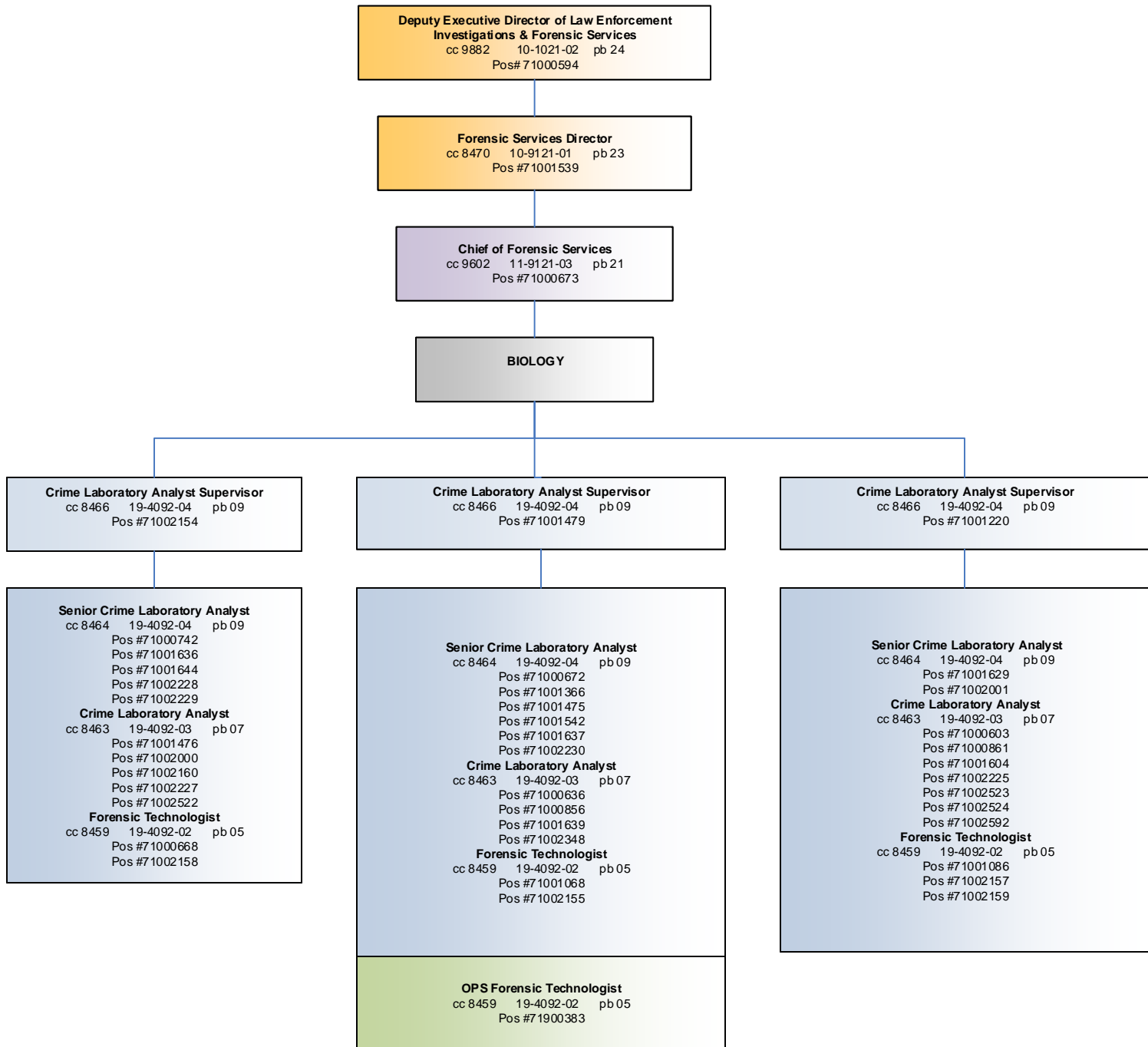


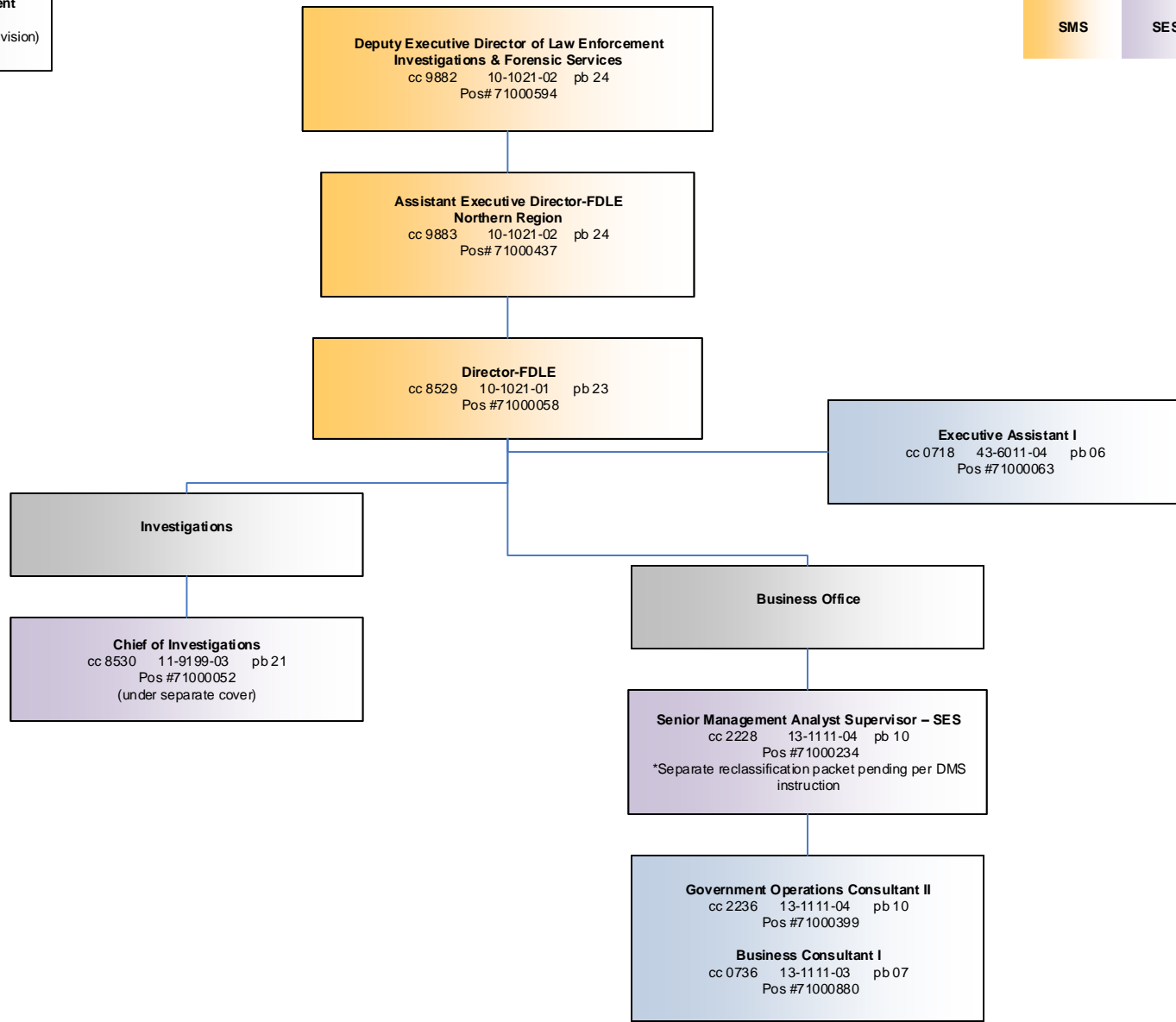
**Deputy Executive Director of Law Enforcement  
 Investigations & Forensic Services**  
 cc 9882 10-1021-02 pb 24  
 Pos# 71000594

**Forensic Services Director**  
 cc 8470 10-9121-01 pb 23  
 Pos #71001539

**Chief of Forensic Services**  
 cc 9602 11-9121-03 pb 21  
 Pos #71000673







**Deputy Executive Director of Law Enforcement  
 Investigations & Forensic Services**  
 cc 9882 10-1021-02 pb 24  
 Pos# 71000594

**Forensic Services Director**  
 cc 8470 10-9121-01 pb 23  
 Pos #71001539

**Chief of Forensic Services**  
 cc 9602 11-9121-03 pb 21  
 Pos #71000073

**Latent Prints/Photography/Firearms**

**Crime Laboratory Analyst Supervisor**  
 cc 8466 19-4092-04 pb 09  
 Pos #71000102

**Latents**  
**Senior Crime Laboratory Analyst**  
 cc 8464 19-4092-04 pb 09  
 Pos #71000864  
 Pos #71001069  
 Pos #71001132  
**Crime Laboratory Analyst**  
 cc 8463 19-4092-03 pb 07  
 Pos #71001579  
 Pos #71002448  
 Pos #71002451  
**Firearms**  
**Senior Crime Laboratory Analyst**  
 cc 8464 19-4092-04 pb 09  
 Pos #71000715  
**Crime Laboratory Analyst**  
 cc 8463 19-4092-03 pb 07  
 Pos #71000720  
 Pos #71001610  
 Pos #71000210  
**Forensic Technologist**  
 cc 8459 19-4092-02 pb 05  
 Pos #71001545  
 Pos #71002178

**Biometric ID System**

**Fingerprint Manager**  
 cc 8424 11-9199-02 pb 20  
 Pos #71001263

**Fingerprint Analyst**  
 cc 8415 19-4092-02 pb 05  
 Pos #71000103  
 Pos #71000456  
 Pos #71000722  
 Pos #71000878  
 Pos #71001352  
 Pos #71001601  
 Pos #71002360  
 Pos #71002361  
 Pos #71002362  
 Pos #71002363  
 Pos #71002364  
 Pos #71002365

**Evidence/Crime Scene/ Digital Evidence**

**Crime Laboratory Analyst Supervisor**  
 cc 8466 19-4092-04 pb 09  
 Pos #71000747

**Evidence**  
**Crime Laboratory Technician**  
 cc 8461 19-4092-02 pb 05  
 Pos #71000663  
 Pos #71000876  
 Pos #71002176  
**Crime Scene**  
**Senior Crime Laboratory Analyst**  
 cc 8464 19-4092-04 pb 09  
 Pos #71000746  
**Crime Laboratory Analyst**  
 cc 8463 19-4092-03 pb 07  
 Pos #71000075  
 Pos #71000716  
 Pos #71001603  
**Digital Evidence**  
**Senior Crime Laboratory Analyst**  
 cc 8464 19-4092-04 pb 09  
 Pos #71002223  
**Crime Laboratory Analyst**  
 cc 8463 19-4092-03 pb 07  
 Pos #71000890  
 Pos #71001332  
 Pos #71002009  
 Pos #71002007

**Biology/DNA**

**Crime Laboratory Analyst Supervisor**  
 cc 8466 19-4092-04 pb 09  
 Pos #71000099

**Senior Crime Laboratory Analyst**  
 cc 8464 19-4092-04 pb 09  
 Pos #71001763  
 Pos #71000653  
**Crime Laboratory Analyst**  
 cc 8463 19-4092-03 pb 07  
 Pos #71000094  
 Pos #71000613  
 Pos #71000678  
 Pos #71000729  
 Pos #71001232  
 Pos #71001367  
 Pos #71001764  
 Pos #71002352  
**Forensic Technologist**  
 cc 8459 19-4092-02 pb 05  
 Pos #71001585  
 Pos #71002177  
 Pos #71002179  
 Pos #71001072  
 Pos #71000106

**Deputy Executive Director of Law Enforcement  
 Investigations & Forensic Services**  
 cc 9882 10-1021-02 pb 24  
 Pos# 71000594

**Forensic Services Director**  
 cc 8470 10-9121-01 pb 23  
 Pos #71001539

**Chief of Forensic Services**  
 cc 9602 11-9121-03 pb 21  
 Pos #71000073

**Toxicology**

**Senior Crime Laboratory Analyst**  
 cc 8464 19-4092-04 pb 09  
 Pos #71001785

**DNA Database**

**Crime Laboratory Analyst Supervisor**  
 cc 8466 19-4092-04 pb 09  
 Pos #71000872

**Crime Laboratory Analyst Supervisor**  
 cc 8466 19-4092-04 pb 09  
 Pos #71001552

**Crime Laboratory Analyst Supervisor**  
 cc 8466 19-4092-04 pb 09  
 Pos #71000662

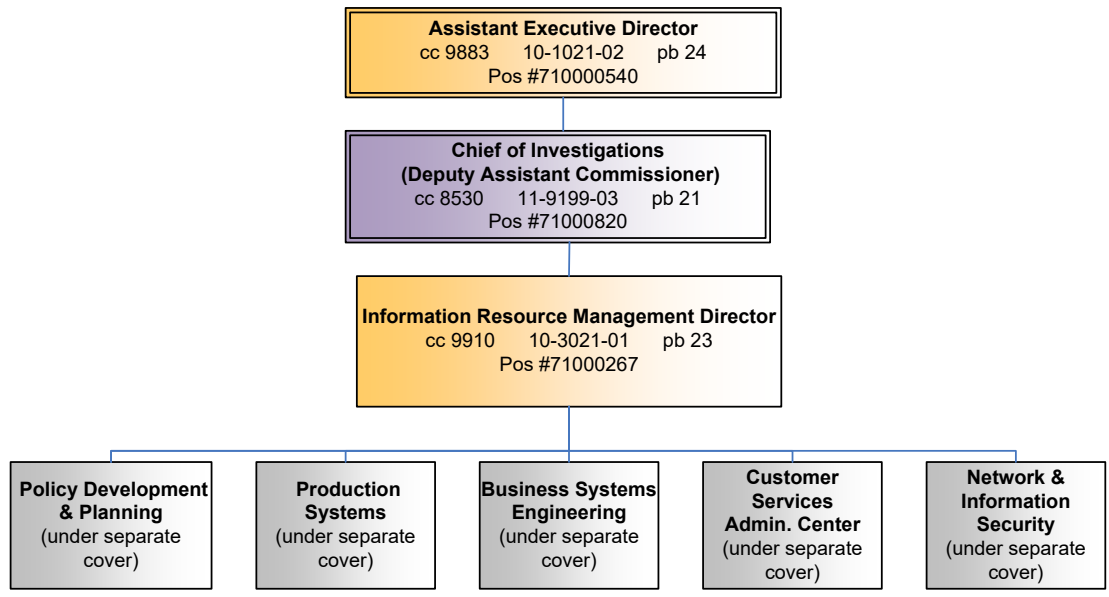
**Senior Crime Laboratory Analyst**  
 cc 8464 19-4092-04 pb 09  
 Pos #71000725  
**Forensic Technologist**  
 cc 8459 19-4092-02 pb 05  
 Pos #71001600  
 Pos #71001782  
 Pos #71001790  
**Crime Laboratory Analyst**  
 cc 8463 19-4092-03 pb 07  
 Pos #71000198  
 Pos #71000213  
 Pos #71000690  
 Pos #71001334  
 Pos #71001627  
 Pos #71001645  
 Pos #71001998

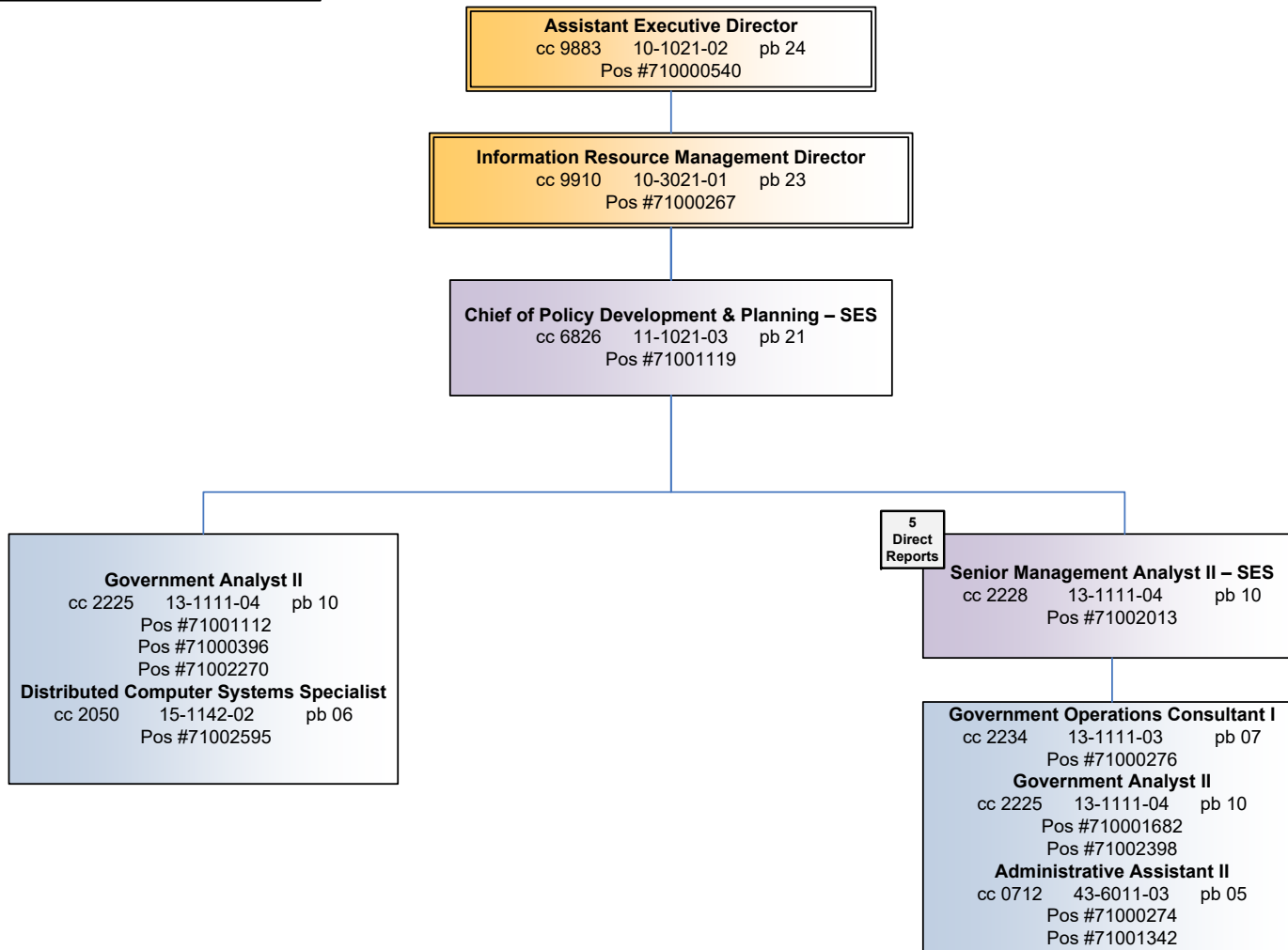
**Crime Laboratory Technician**  
 cc 8461 19-4092-02 pb 05  
 Pos #71001588  
 Pos #71001760  
 Pos #71001994  
 Pos #71002175  
 Pos #71002277  
 Pos #71002313  
 Pos #71002173

**Senior Crime Laboratory Analyst**  
 cc 8464 19-4092-04 pb 09  
 Pos #71000310  
 Pos #71001647  
 Pos #71001995  
 Pos #71002190  
 Pos #71002276  
**Crime Laboratory Analyst**  
 cc 8463 19-4092-03 pb 07  
 Pos #71000985  
**Forensic Technologist**  
 cc 8459 19-4092-02 pb 05  
 Pos #71001483  
 Pos #71001758  
 Pos #71001759

**OPS Administrative Assistant II**  
 cc 0712 43-6011-03 pb 05  
 Pos #71900042

**OPS Administrative Assistant II**  
 cc 0712 43-6011-03 pb 05  
 Pos #71900107  
 Pos #71900113





**Government Analyst II**  
 cc 2225 13-1111-04 pb 10  
 Pos #71002270  
 Pos #71002398  
 On loan to ITS from CJIS



**SMS**

**SES**

**CS**

**OPS**

**Florida Department of Law Enforcement**  
 Information Technology Services  
 Production Systems Services  
**CURRENT**

**Assistant Executive Director**  
 cc 9883 10-1021-02 pb 24  
 Pos #710000540

**Information Resource Management Director**  
 cc 9910 10-3021-01 pb 23  
 Pos #710000267

**Chief of Production System Services**  
 cc 8396 11-3021-03 pb 21  
 Pos #71000612

**Data Center Operations**

1 Direct Reports

**Data Processing Manager – SES**  
 cc 2133 11-3021-02 pb 20  
 Pos #71000272

**Office Automation Specialist II**  
 cc 2043 15-1151-01 pb 04  
 Pos #71000271

**Systems Administration**

7 Direct Reports

**Data Processing Manager – SES**  
 cc 2133 11-3021-02 pb 20  
 Pos #71001136

**Operating Systems Programmer III**  
 cc 2140 15-1131-04 pb 09  
 Pos #71001131  
 Pos #71001211  
 Pos #71001353

**Operating Systems Programmer II**  
 cc 2139 15-1021-03 pb 08  
 Pos #71001134

**Operating Systems Programmer I**  
 cc 2138 15-1131-02 pb 06  
 Pos #71000730  
 Pos #71001446  
 Pos #71001794

8 Direct Reports

**Data Processing Manager – SES**  
 cc 2133 11-3021-02 pb 20  
 Pos #71000484

**Operating Systems Programmer I**  
 cc 2138 15-1131-02 pb 06  
 Pos #71000043  
 Pos #71000609

**Operating Systems Programmer II**  
 cc 2139 15-1021-03 pb 08  
 Pos #71000045  
 Pos #71001113

**Operating Systems Programmer III**  
 cc 2140 15-1131-04 pb 09  
 Pos #71000101  
 Pos #71000286

**Distributed Computer Systems Consultant**  
 cc 2053 15-1142-04 pb 09  
 Pos #71001482

**Systems Programming Consultant**  
 cc 2117 15-1131-04 pb 09  
 Pos #71000599

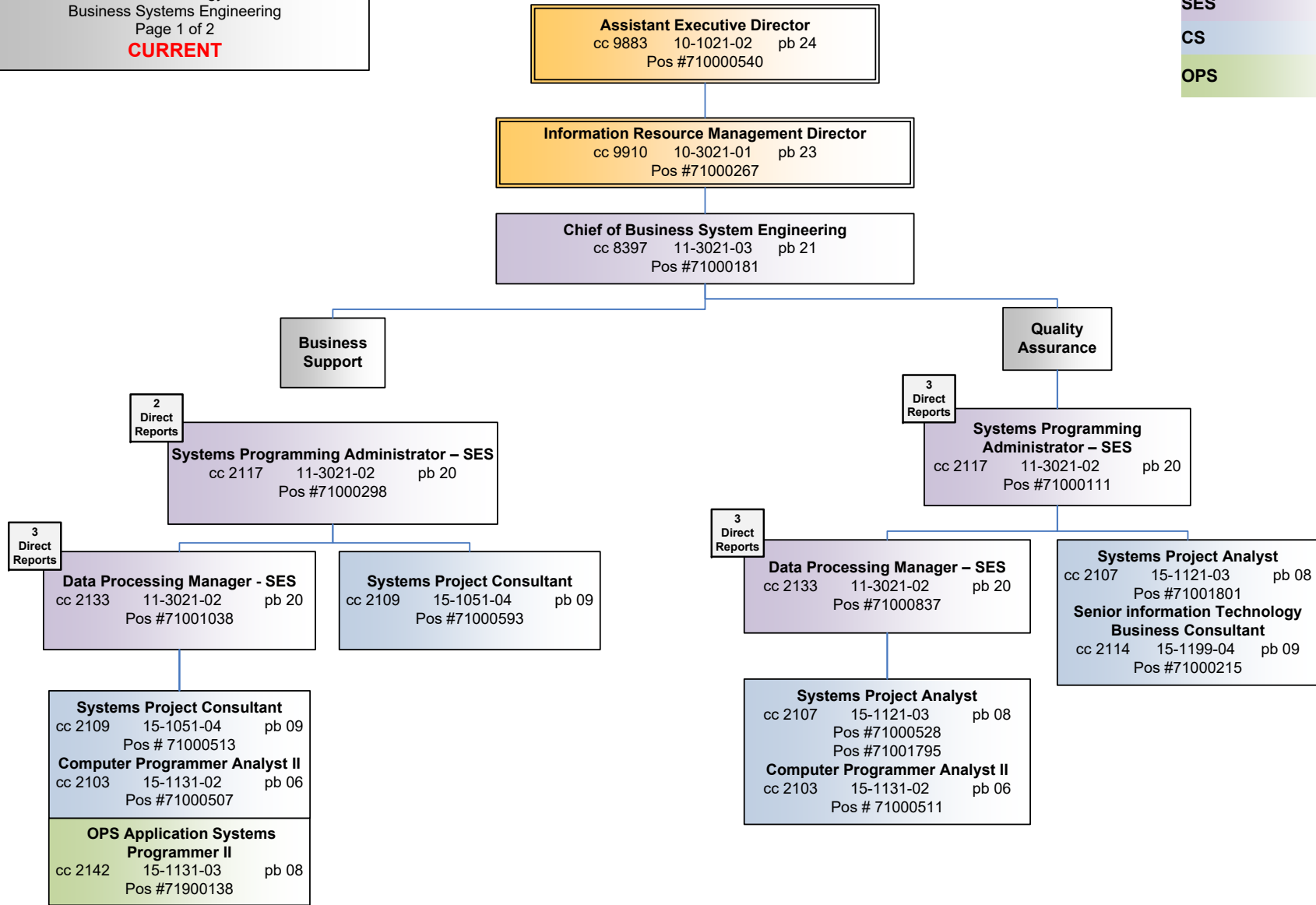
**Database Administration**

6 Direct Reports

**Data Processing Manager – SES**  
 cc 2133 11-3021-02 pb 20  
 Pos #71000896

**Data Base Consultant**  
 cc 2127 15-1141-04 pb 09  
 Pos #71000205  
 Pos #71001262  
 Pos #71001444  
 Pos #71002567

**Senior Data Base Analyst**  
 cc 2122 15-1141-04 pb 09  
 Pos #71001847  
 Pos #71002310



**SMS**  
**SES**  
**CS**  
**OPS**

**Assistant Executive Director**  
 cc 9883 10-1021-02 pb 24  
 Pos #71000540

**Information Resource Management Director**  
 cc 9910 10-3021-01 pb 23  
 Pos #71000267

**Chief of Business Systems Engineering**  
 cc 8397 11-3021-03 pb 21  
 Pos #71000181

3 Direct Reports  
**Systems Programming Administrator – SES**  
 cc 2117 11-3021-02 pb 20  
 Pos #71001413

3 Direct Reports  
**Systems Programming Administrator – SES**  
 cc 2117 11-3021-02 pb 20  
 Pos #71000258  
**Computer Programmer Analyst II**  
 cc 2103 15-1131-02 pb 06  
 Pos # 71000290

**CJIS - Background**

**CJIS - FCIC**

**CJIS – Criminal Unit**

**FCIC Section**

**Law Enforcement**

5 Direct Reports  
**Data Processing Manager -SES**  
 cc 2133 11-3021-02 pb 20  
 Pos #71000339

3 Direct Reports  
**Data Processing Manager -SES**  
 cc 2133 11-3021-02 pb 20  
 Pos #71000180

5 Direct Reports  
**Data Processing Manager -SES**  
 cc 2133 11-3021-02 pb 20  
 Pos #71002396

2 Direct Reports  
**Data Processing Manager -SES**  
 cc 2133 11-3021-02 pb 20  
 Pos #71001845

2 Direct Reports  
**Data Processing Manager – SES**  
 cc 2133 11-3021-02 pb 20  
 Pos #71000888

**Systems Programming Consultant**  
 cc 2117 15-1131-04 pb 09  
 Pos #71001848  
**Applications Systems Programmer III**  
 cc 2143 15-1131-04 pb 09  
 Pos #71001844  
 Pos #71000380  
 Pos #71001966  
**Applications Systems Programmer II**  
 cc 2142 15-1131-03 pb 08  
 Pos #71002185

**Systems Project Consultant**  
 cc 2109 15-1051-04 pb 09  
 Pos #71000207  
**Systems Programming Consultant**  
 cc 2117 15-1131-04 pb 09  
 Pos #71001133  
 Pos #71002317

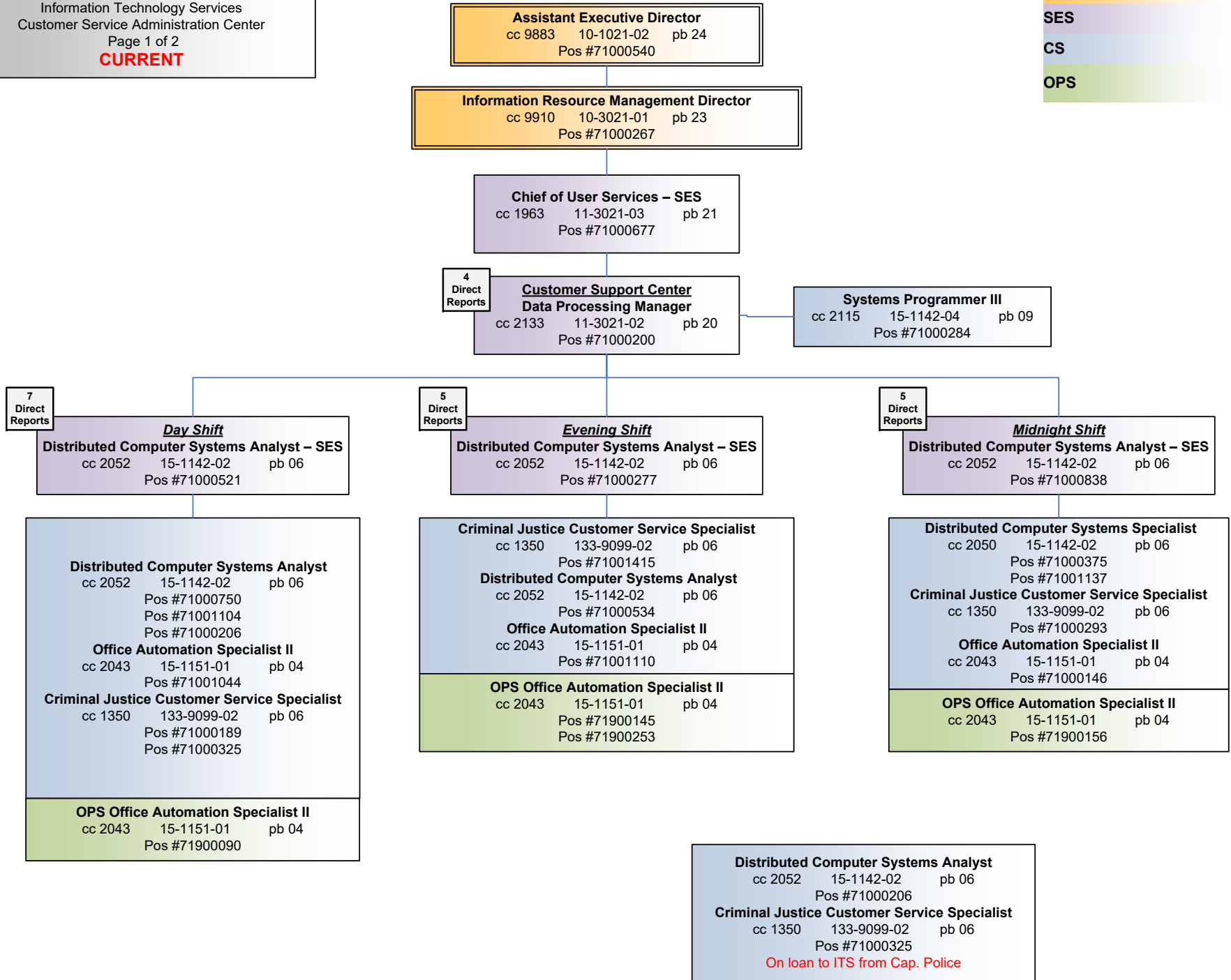
**Senior Information Technology Business Consultant**  
 cc 2114 15-1199-04 pb 09  
 Pos #71002439  
 Pos #71000543  
 Pos #71001564  
**Systems Project Analyst**  
 cc 2107 15-1121-03 pb 08  
 Pos #71002442  
 Pos #71002443

**Systems Programming Consultant**  
 cc 2117 15-1131-04 pb 09  
 Pos #71001969  
**Application Systems Programmer I**  
 cc 2115 15-1142-04 pb 09  
 Pos #71000190

**Computer Programmer Analyst I**  
 cc 2102 15-1131-02 pb 06  
 Pos #71000204  
**Computer Programmer Analyst II**  
 cc 2103 15-1131-02 pb 06  
 Pos # 71000378

**Data Processing Manager - SES**  
 cc 2133 11-3021-02 pb 20  
 Pos #71000339  
**Data Processing Manager - SES**  
 cc 2133 11-3021-02 pb 20  
 Pos #71002396  
 On loan to ITS from CJIS  
**Senior Information Technology Business Consultant**  
 cc 2114 15-1199-04 pb 09  
 Pos #71002439  
 Pos #71000543  
 Pos #71001564  
**Systems Project Analyst**  
 cc 2107 15-1121-03 pb 08  
 Pos #71002442  
 Pos #71002443

**SMS**  
**SES**  
**CS**  
**OPS**



**Assistant Executive Director**  
 cc 9883 10-1021-02 pb 24  
 Pos #71000540

**Information Resource Management Director**  
 cc 9910 10-3021-01 pb 23  
 Pos #71000267

**Chief of User Services – SES**  
 cc 1963 11-3021-03 pb 21  
 Pos #71000677

**SMS**  
**SES**  
**CS**  
**OPS**

12  
Direct  
Reports

**Regional System Administration**  
**Data Processing Manager**  
 cc 2133 11-3021-02 pb 20  
 Pos #71000005

10  
Direct  
Reports

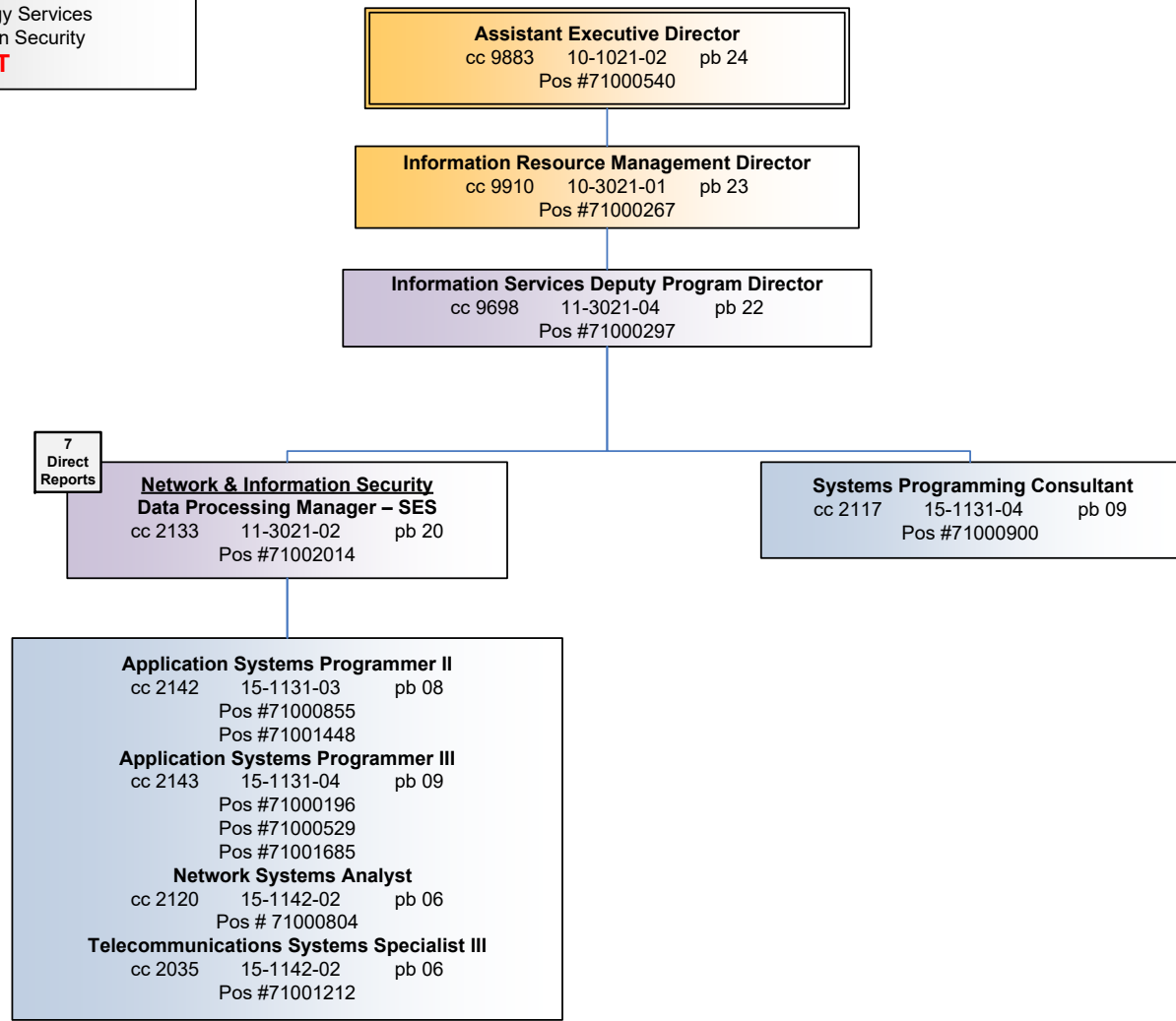
**Distributed Systems Administration**  
**Data Processing Manager**  
 cc 2133 11-3021-02 pb 20  
 Pos #71001354

**Funded/Reports to ITS/Supports:**  
**Systems Programmer III**  
 cc 2115 15-1142-04 pb 09  
 Pos #71000034 Miami  
 Pos #71000228 Miami  
 Pos #71000295 Orlando  
 Pos #71000919 Tampa  
 Pos #71001339 Pensacola  
 Pos #71001452 Jacksonville  
 Pos #71001693 Ft. Myers  
**Systems Programmer I**  
 cc 2111 15-1142-02 pb 06  
 Pos #71000796 Jacksonville  
 Pos #71000233 Tampa  
 Pos #71000243 Orlando  
 Pos #71001967 Pensacola  
 Pos #71000891 Ft Myers  
**These positions are under Regional Systems Administration in the Regional Offices**

**Distributed Computer Systems Specialist**  
 cc 2050 15-1142-02 pb 06  
 Pos #71000268  
**Distributed Computer Systems Analyst**  
 cc 2052 15-1142-02 pb 06  
 Pos #71000571  
 Pos #71001355  
**Telecommunications Specialist III**  
 cc 2035 15-1142-02 pb 06  
 Pos #71000489  
**Systems Programmer I**  
 cc 2111 15-1142-02 pb 06  
 Pos #71000699  
 Pos #71000786  
 Pos #71002119  
**Systems Programmer II**  
 cc 2113 15-1142-03 pb 08  
 Pos #71002146  
**Systems Programmer III**  
 cc 2115 15-1142-04 pb 09  
 Pos #71000999  
**OPS Distributed Computer Systems Analyst**  
 cc 2052 15-1142-02 pb 06  
 Pos #71900244

**Florida Department of Law Enforcement**  
 Information Technology Services  
 Network & Information Security  
**CURRENT**

**SMS**  
**SES**  
**CS**  
**OPS**



| LAW ENFORCEMENT, DEPARTMENT OF  |  | FISCAL YEAR 2022-23 |               |                                 |            |
|---|--|---------------------|---------------|---------------------------------|------------|
| SECTION I: BUDGET   |  | OPERATING           |               | FIXED CAPITAL<br>OUTLAY         |            |
| TOTAL ALL FUNDS GENERAL APPROPRIATIONS ACT  |  |                     | 331,631,772   | 56,005,000                      |            |
| ADJUSTMENTS TO GENERAL APPROPRIATIONS ACT (Supplementals, Vetoes, Budget Amendments, etc.)  |  |                     | 50,224,587    | -10,715,000                     |            |
| FINAL BUDGET FOR AGENCY   |  |                     | 381,856,359   | 45,290,000                      |            |
| SECTION II: ACTIVITIES * MEASURES   |  | Number of<br>Units  | (1) Unit Cost | (2) Expenditures<br>(Allocated) | (3) FCO    |
| Executive Direction, Administrative Support and Information Technology (2)  |  |                     |               |                                 | 45,290,000 |
| Capitol Complex Security * Number of calls for Capitol Police services  |  | 4,923               | 2,128.36      | 10,477,939                      |            |
| Dna Database * Number of DNA samples added to the DNA Database  |  | 77,429              | 48.30         | 3,739,883                       |            |
| Crime Laboratory Services * Number of lab service requests completed  |  | 66,481              | 955.63        | 63,531,121                      |            |
| Investigative Services * Number of criminal investigations  |  | 2,161               | 45,966.49     | 99,333,579                      |            |
| Domestic Security * Number of domestic security activities  |  | 3,453               | 4,094.63      | 14,138,748                      |            |
| Intelligence Initiatives * Number of intelligence reports   |  | 11,575              | 508.37        | 5,884,365                       |            |
| Missing Persons * Number of missing persons intelligence checks conducted   |  | 50,852              | 45.64         | 2,320,670                       |            |
| Criminal History Record Checks * Number of criminal history record checks processed for employment, licensure, volunteers and the public                                    |  | 3,183,277           | 3.56          | 11,341,186                      |            |
| Criminal History Record Checks - Gun Transfer Requests * Number of criminal history record checks processed for gun transfer requests from licensed federal firearm dealers |  | 1,150,739           | 6.74          | 7,756,473                       |            |
| Criminal History Creation And Maintenance * Number of arrest records created and maintained   |  | 29,484,495          | 0.89          | 26,341,745                      |            |
| Officer Compliance * Number of criminal justice officer disciplinary actions.   |  | 509                 | 9,407.22      | 4,788,273                       |            |
| Officer Records Management * Number of professional law enforcement certificates issued   |  | 26,210              | 53.23         | 1,395,176                       |            |
| Criminal Justice Training * Number of individuals who pass the basic professional certification examination   |  | 7,300               | 871.34        | 6,360,749                       |            |
| TOTAL   |  |                     |               | 257,409,907                     | 45,290,000 |
| SECTION III: RECONCILIATION TO BUDGET   |  |                     |               |                                 |            |
| PASS THROUGHS   |  |                     |               |                                 |            |
| TRANSFER - STATE AGENCIES   |  |                     |               |                                 |            |
| AID TO LOCAL GOVERNMENTS  |  |                     |               | 49,799,864                      |            |
| PAYMENT OF PENSIONS, BENEFITS AND CLAIMS  |  |                     |               |                                 |            |
| OTHER   |  |                     |               |                                 |            |
| REVERSIONS  |  |                     |               | 74,025,837                      |            |
| TOTAL BUDGET FOR AGENCY (Total Activities + Pass Throughs + Reversions) - Should equal Section I above. (4)   |  |                     |               | 381,235,608                     | 45,290,000 |

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

- (1) Some activity unit costs may be overstated due to the allocation of double budgeted items.
- (2) Expenditures associated with Executive Direction, Administrative Support and Information Technology have been allocated based on FTE. Other allocation methodologies could result in significantly different unit costs per activity.
- (3) Information for FCO depicts amounts for current year appropriations only. Additional information and systems are needed to develop meaningful FCO unit costs.
- (4) Final Budget for Agency and Total Budget for Agency may not equal due to rounding.

Final Budget for the Agency and Total Budget for the agency are out of balance because BOB Section 120, part 4 unbudgeted reserve was not moved forward.

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

Agency: Florida Department of Law Enforcement

Contact: Patty Carpenter

Article III, section 19(a)3 of the 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 2023 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 2024-2025 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 2024-2025 Estimate/Request Amount |                            |
|---|----------------------------------|------|--------------------------------------|----------------------------|
|   |                                  |      | Long Range Financial Outlook         | Legislative Budget Request |
| a |                                  |      |                                      |                            |
| b |                                  |      |                                      |                            |
| c |                                  |      |                                      |                            |
| d |                                  |      |                                      |                            |
| e |                                  |      |                                      |                            |
| f |                                  |      |                                      |                            |

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

\* R/B = Revenue or Budget Driver



# SCHEDULE IV-B FOR REVENUE ACCOUNT MANAGEMENT SYSTEM (RAMS) RECONFIGURATION FOR PALM

For Fiscal Year 2024-25




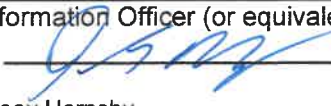


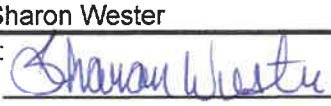
September 15, 2023

FLORIDA DEPARTMENT OF LAW ENFORCEMENT

Contents

- I. Schedule IV-B Cover Sheet .....2
- II. Schedule IV-B Business Case – Strategic Needs Assessment.....3
  - A. Background and Strategic Needs Assessment..... 3
    - 1. Business Need.....3
    - 2. Business Objectives.....3
  - B. Baseline Analysis ..... 4
    - 1. Current Business Process(es).....4
    - 2. Assumptions and Constraints.....10
  - C. Proposed Business Process Requirements..... 11
    - 1. Proposed Business Process Requirements .....11
    - 2. Business Solution Alternatives .....13
    - 3. Rationale for Selection.....15
    - 4. Recommended Business Solution.....15
  - D. Functional and Technical Requirements..... 16
    - 1. Functional Requirements .....16
    - 2. Technical Requirements.....16
- III. Success Criteria .....16
- IV. Schedule IV-B Benefits Realization and Cost Benefit Analysis .....17
  - A. Benefits Realization Table ..... 17
  - B. Cost Benefit Analysis (CBA) ..... 18
- V. Schedule IV-B Major Project Risk Assessment .....18
- VI. Schedule IV-B Technology Planning .....20
  - A. Current Information Technology Environment ..... 20
    - 1. Current System.....20
    - 2. Information Technology Standards.....23
  - B. Current Hardware and/or Software Inventory ..... 23
  - C. Proposed Technical Solution ..... 24
  - D. Proposed Solution Description..... 25
    - 1. Summary Description of Proposed System.....25
    - 2. Resource and Summary Level Funding Requirements for Proposed Solution (if known) .....26
  - E. Capacity planning (*historical and current trends versus projected requirements*) ..... 26
- VII. Schedule IV-B Project Management Planning .....26
- VIII. Appendices .....27

I. Schedule IV-B Cover Sheet

| Schedule IV-B Cover Sheet and Agency Project Approval   |   |
|---|---|
| Agency:<br>Florida Department of Law Enforcement  | Schedule IV-B Submission Date:<br>September 15, 2023  |
| Project Name:<br>Revenue Account Management System Reconfiguration for PALM   | Is this project included in the Agency's LRPP?<br>X_ Yes ___ No   |
| FY 2024-25 LBR Issue Code:  | FY 2024-25 LBR Issue Title: Revenue Account Management System Reconfiguration for PALM                        |
| Agency Contact for Schedule IV-B (Name, Phone #, and E-mail address):<br>Becky Bezemek, 850-410-8459, <a href="mailto:beckybezemek@fdle.state.fl.us">beckybezemek@fdle.state.fl.us</a>  |   |
| 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:<br>  | Date:<br>12 AUG 23  |
| Printed Name: Mark Glass  |   |
| Agency Chief Information Officer (or equivalent):<br>  | Date:<br>8/4/23   |
| Printed Name: Joey Hornsby  |   |
| Budget Officer:<br>  | Date:<br>8/7/23   |
| Printed Name: Patricia Carpenter  |   |
| Planning Officer:<br>  | Date:<br>8/10/2023  |
| Printed Name: Sharon Wester   |   |
| Project Sponsor:<br>   | Date:<br>8/10/2023  |
| Printed Name: Sharon Wester   |   |
| Schedule IV-B Preparers (Name, Phone #, and E-mail address):  |   |
| Business Need:  | Mike Moore, 850-410-7171, <a href="mailto:mikemoore@fdle.state.fl.us">mikemoore@fdle.state.fl.us</a>          |
| Cost Benefit Analysis:  | Erica Wolaver, 850-410-8511, <a href="mailto:ericawolaver@fdle.state.fl.us">ericawolaver@fdle.state.fl.us</a> |
| Risk Analysis:  | Becky Bezemek, 850-410-8459, <a href="mailto:beckybezemek@fdle.state.fl.us">beckybezemek@fdle.state.fl.us</a> |
| Technology Planning:  | Becky Bezemek, 850-410-8459, <a href="mailto:beckybezemek@fdle.state.fl.us">beckybezemek@fdle.state.fl.us</a> |
| Project Planning:   | Becky Bezemek, 850-410-8459, <a href="mailto:beckybezemek@fdle.state.fl.us">beckybezemek@fdle.state.fl.us</a> |

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

### A. Background and Strategic Needs Assessment

#### 1. Business Need

Florida PALM (Planning, Accounting, and General Ledger Management) is the State of Florida's new Enterprise Resource Planning (ERP) system that will replace the State's current accounting and financial management system, FLAIR. In collaboration with agencies, the Florida PALM Team is developing and implementing a statewide system that will improve business operations in Florida and position it for future innovation. On July 1, 2014, the Florida PALM Project was launched. On July 20, 2018, a contract for integrated software and implementation support services was signed. In 2021, Florida PALM began the first phase of rollout by enabling cash management capabilities for the State in the new system. Remaining PALM functionality (Financials, Payroll, and Data Warehouse) is currently projected to go live January 1, 2026.

FDLE's Revenue Accounting Management System (RAMS) is a highly customized agency specific Oracle ERP Financials modules-based Accounts Receivable and General Ledger system. RAMS interacts with multiple internal criminal justice information systems - Civil Workflow Control System (CWCS), State Histories Electronically Delivered (SHIELD), Florida's Integrated Criminal History System (FALCON), Firearm Eligibility System (FES), Credit Card Services (CCService), Electronic Payments (E-Pay) and external agencies- Department of Revenue (DOR), Department of Financial Services (DFS) to maintain customer information and manage billing and payments. For fiscal year 2021-2022, RAMS processed approximately \$3.1 million in credit card payments via CCService and E-pay applications and \$39 million in total receipts.

FDLE initially planned to phase out RAMS and modify our current billing systems to communicate directly with PALM. This would have been a cost avoidance and given FDLE the capability to leverage PALM for its enhanced standardized functionalities. However, because of the recent restructuring (January 2023) of the PALM project, FDLE must retain RAMS and utilize modules that will not be available in PALM. If RAMS is not updated for compatibility with PALM, FDLE will no longer be able to account for receivables and cash receipts and upload transactions to the state accounting system.

#### 2. Business Objectives

The refined requirements for the updated RAMS system include ensuring compatibility with PALM. This would include both cash receipts and account receivable activities. Currently, activity in RAMS generates accounting codes in compliance with the FLAIR chart of accounts. The updated system must comply with the PALM chart of accounts. *RAMS must be able to upload all required accounting information into PALM.* In addition to the accounting functions, the RAMS system has several data interfaces (which consist of one or more data transfers) with external systems. The complete lifecycle of the RAMS process is depicted below:

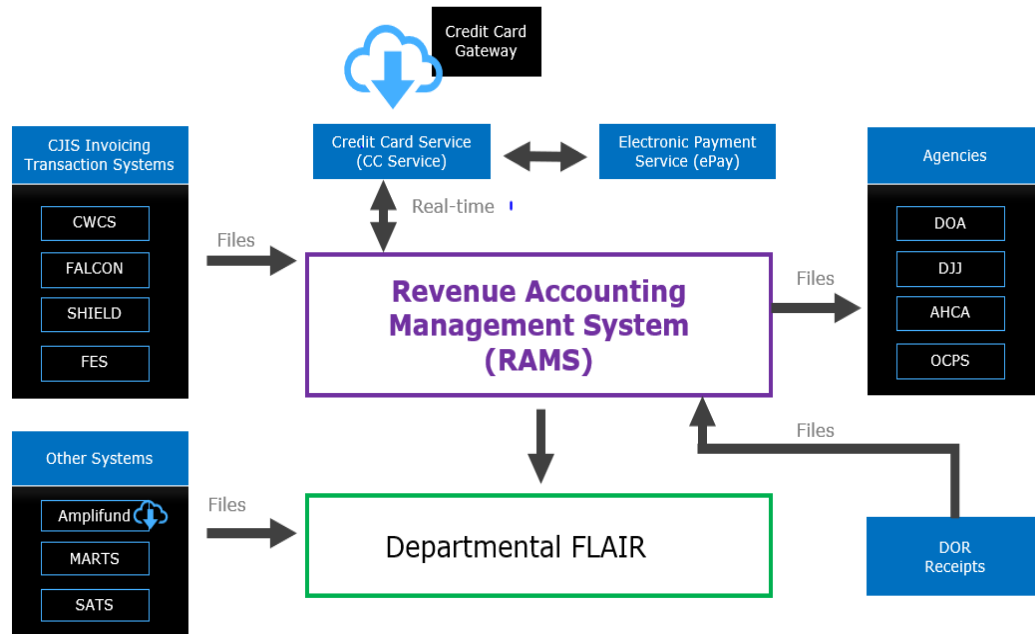


Figure 1 RAMS Ecosystem

- RAMS collects payments from customers for background checks requested through various sources, including FALCON, FES (FPP), Livescan, and SHIELD imports.
- 
- RAMS provides a daily upload file to FLAIR for journal entries and cash receipts (customer payments), ensuring up-to-date financial records.
- Customer payments for background checks received from Department of Revenue (DOR) for FPP invoices are processed by RAMS.
- RAMS invoices CWCS customers with fingerprint Livescan equipment who prefer to be billed through the system, with FDLE receivables obtained through RAMS import.
- RAMS invoices FPP customers for background checks, with FDLE receivables obtained through RAMS import.
- RAMS invoices SHIELD customers, with FDLE receivables obtained through RAMS import.
- RAMS invoices FALCON customers for retained fingerprints, with FDLE receivables obtained through RAMS import.
- RAMS provides the capability for FPP customers to view details of outstanding FPP invoices and make payments via credit card. The flow performs tasks such as creating and reversing standard and miscellaneous receipts. The functionalities are accomplished using REST web services that are exposed to E-pay application.
- RAMS provides a variety of reports to support accounting reconciliation, customer payments, customer setups, collections, aging statements, invoices and other relevant areas.

## B. Baseline Analysis

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

### 1. Current Business Process(es)

Oracle E-Business Suite (EBS) is one of Oracle Corporation's major product lines. It is an integrated set of business applications for automating customer relationship management (CRM), enterprise resource planning (ERP) and supply chain management (SCM) processes with organizations.

The Oracle EBS suite of applications runs on top of oracle database software. Oracle EBS suite consists of 300+ modules to manage various aspects of day-to-day processing of organizations. It was designed to help users manage global businesses, improve decision-making, reduce costs and increase corporate performance. Oracle also has pre-integrated its business intelligence applications with E-Business Suite to provide EBS users with Business Intelligence (BI) and analytics capabilities.

The RAMS application is a customized version of Oracle E-Business Suite (EBS) R12.2 financial modules. Oracle E-Business Suite Financial Management streamlines and automates financial business processes for daily business intelligence across enterprise applications. Topics covered in this Expertise include System Administration, General Management, E-Business Tax, Internet Expenses, iReceivables and Advanced Collections. Expertise in Oracle E-Business Suite provides a basis for developing advanced knowledge in the following areas: Asset Management, General Ledger Management, and Order to Cash and Procure to Pay.

Oracle General Ledger is a comprehensive financial management solution that provides highly automated financial processing, effective management control, and real-time visibility to financial results. It provides everything you need to meet financial compliance and improve your bottom line. Oracle General Ledger is part of the Oracle E-Business Suite, an integrated suite of applications that drive enterprise profitability, reduce costs, improve internal controls and increase efficiency.

Oracle Receivables is a comprehensive solution that enables you to streamline invoicing, receipt, and customer deduction processing. It provides the tools, flexibility and strategic information needed to meet the demands of a global market with strong financial controls to assist in instilling corporate and fiscal discipline. Oracle Receivables is the cornerstone of Oracle's Credit to Cash solution, which helps you improve cash flow, increase efficiencies, and optimize customer relationships.

#### **A. FDLE Processing**

Governmental agencies and private companies that request Criminal History Record Checks from FDLE are invoiced at the end of each month for their accumulated charges. In addition, Governmental and Non-governmental agencies request that FDLE retain fingerprints on file for subjects for whom they have requested Criminal History Record Checks. FDLE charges these entities Retention Fees that are also invoiced at the end of each month. In the RAMS application, Invoices are called Transactions. This process creates the monthly invoices / transactions.

To create these invoices, OFM receives import files from FDLE Criminal History Services (CHS) and Firearms Eligibility Bureau (FEB), and the transactions/invoices are created in RAMS using this data. In addition, the Department of Financial Services (DFS) requires that the invoices include line item fee descriptions to validate charges against State statutes and fee-for-service contracts. The data import steps in this process compare the customer fee types, related charges in RAMS with those that CHS sends on their import to ensure our system charges are in sync, and the generated invoices in turn will meet the DFS requirements.

RAMS performs the following main activities:

#### **INVOICING**

FDLE invoices governmental and non-governmental entities eligible for the Volunteer & Employee Criminal History System (VECHS) program for criminal history record checks and fingerprint retention requests. FDLE also invoices gun dealers for criminal history record checks related to gun sales. The information about these transactions is maintained in internal FDLE systems: SHIELD, CWCS, and FALCON, and FPP.

At the beginning of each month, RAMS imports a transaction file for each of these systems. The transaction files contain detailed information about the transactions to be invoiced. Based on this information, RAMS creates invoices to be printed and mailed to each customer. Each system generates

its own import file with information specific to transactions in that system. The import files include specific information that is required in FLAIR but will not be required in PALM or will be in a different format in PALM. RAMS must accommodate the changes that will be necessary to the import files to comply with PALM.

RAMS also creates manual invoices for transactions other than criminal history record checks. RAMS generates a data extract of transaction lines for specific, high-volume customers.

### **PAST DUE ACCOUNTS**

RAMS is used to pursue payment for past due invoices of customers. It generates past-due letters programmatically based on the type of account. RAMS is also used to comply with the debt collection requirements of the State of Florida by identifying accounts that must be referred to collections and tracking those referrals. RAMS is also used to write-off uncollectable amounts when approved by DFS. All customer invoices include clear payment terms and due dates to encourage prompt payment. To monitor the status of customer invoices and identify past due accounts, OFM can run collections reports or to view aging analysis, which categorizes invoices based on their due dates. OFM also sends dunning letters to customers with overdue invoices. These communications have been automated based on predefined criteria and are sent via postal mail. OFM uses functionality of the collection process to prioritize and track collection efforts, record collection notes, and manage the interaction with customers regarding their past due accounts.

### **RECEIPTS**

RAMS creates receipts to identify payments received from customers. RAMS receives payments in form of cash, check, ACH, Journal Transfer (JT), and credit card. A large majority of these are manually entered by FDLE members on a daily basis.

Payments are exported to RAMS from internal SHIELD system on a daily basis in form of receipts file. FDLE creates miscellaneous receipts from these payment files to recognize miscellaneous revenue that is not specific to any customer.

DOR sends customer payments in the form of lockbox files multiple times in a day. A lockbox is a bank or company operated mailing address or post office (PO) box that a business can use to collect payments from its customers. FDLE uses lockbox commercial service from DOR to process customer check payments. FDLE creates standard receipts and applies these receipts to customer invoices using the data provided in lockbox payment files.

RAMS Integrated SOA Gateway (ISG) Web Services interacts with Epay, CCSservice, and FES/FPP in real time to process credit related standard and miscellaneous receipts.

### **REPORTS**

In order to ensure that general ledger is accurate and up-to-date, FDLE uses multiple custom and standard Oracle reports for financial reporting and decision making. FDLE also does General Ledger reconciliation by comparing GL balances FLAIR. RAMS produces more than fifty reports to support these processes. Below are some of RAMS reporting features:

- The Trial Balance by Account Report (GL Module) provides in detail the list of all accounts in the general ledger, along with their balances.
- The FDLE Aging – 7 Buckets – By Account Report (AR module) provides a breakdown of accounts receivable by age and account code.
- The FDLE GL Summary Account Information Report provides a summary of all accounts in the general ledger, along with their balances and other key information.
- The FDLE RAMS to FLAIR Reconciliation Report compares balances in the RAMS and FLAIR systems.

- The FDLE RAMS Customer overpayment and address details reports provides data of customers who have paid more than their balance of invoices. This report provides data that is referenced in manual letters sent to customers, making them aware of their overpayments.
- The FDLE AR Deposit details report provides information of all receipts paid by checks that have been remitted in the system. These checks are sent to bank and assigned a unique deposit number, that number is in turn used for cash reconciliation within RAMS.

### **UPLOAD**

The RAMS to FLAIR upload is an essential daily activity in RAMS, in which the day's transactions are uploaded to FLAIR so that they are recorded in the official financial records of the state. Once invoices, receipts, credit memos, debit memos, etc. are created in RAMS, the accounting information related to these transactions is transferred to the General Ledger (GL) by executing the Oracle standard Submit Accounting program. This program creates journal batches, headers, and lines.

OFM users then initiate custom programs to generate transaction files containing these accounts receivable (AR) transactions and upload them to FLAIR. The file format is text (.txt). This file includes necessary details such as FLAIR data elements, customer information, transaction dates, invoice amounts, type of activity, and payment information. Before uploading the transaction file, OFM validates the data to ensure its accuracy and integrity. RAMS has a variety of reports to confirm that the data in the RAMS system is consistent with the data in FLAIR.

This daily file is crucial to the daily interaction of RAMS with FLAIR. There will be extensive changes to this process when we transition to PALM due to the accounting code changes.

### **ACCOUNTING ADJUSTMENTS**

Accounting Adjustments are used to make changes or corrections to the accounting entries related to AR transactions and GL journals. These adjustments help ensure accurate financial reporting and reconcile any discrepancies in the AR and GL accounting records.

FDLE uses standard adjustments to modify accounting entries related to AR transactions like credit memo, On-account cash, miscellaneous receipts and unapplied receipts. These adjustments affect the revenue, receivable, and general ledger accounts associated with the original AR transactions.

FDLE uses various reports and tools to aid in the reporting and reconciliation of AR accounting adjustments. Here are examples of such reports:

- Adjustment Register report – This lists all adjustments made within a specified period
- Subledger Accounting (SLA) report – This provides detailed accounting entries
- RAMS adjusts customer account balances with credit and debit memos

RAMS is also used to meet the unclaimed property requirements as per Florida Statutes section 717.113 and 717.117.

### **CUSTOMERS**

FDLE uses its AR module to maintain detailed information about customers, including their profiles, addresses, and payment terms. The customer master record serves as a central repository for customer information. It contains details such as customer name, number, contact information, and payment terms. The customer master record also includes customer aging information.

FDLE has defined custom customer profile classes, which define the default values and attributes for customers. These profile classes are referenced at customer account and site levels during customer setup. They control various customer-level setups such as payment terms, statement cycles, and collector information. By assigning a profile class to a customer, FDLE ensures consistent settings for similar types of customers.



Customer sites represent the different locations associated with a customer, such as branch offices or warehouses. Each FDLE customer site has a unique address and have specific shipping and billing instructions. Sites allow FDLE to track customer transactions separately based on the shipping or billing location.

Customer contacts provide FDLE information about specific individuals within a customer organization. Contacts includes details such as name, phone number, email address, and job title. Contacts are mostly associated with customer billing sites and are useful for communication purposes.

### **OTHER CUSTOMIZATIONS**

The AR and GL modules in RAMS system have been customized to meet the organization's specific business requirements. The customizations have been made at both the system setup level and the custom code level. Some of the important customizations that have been made to RAMS are listed below:

- Custom AutoAccounting rules have been defined with various attributes such as customer, transaction type, or salesperson. These rules are used to derive the appropriate GL accounts for each AR transaction, and to ensure accurate financial reporting.
- Custom transaction types have been defined in AR for invoices, credit memos, debit memos, etc. These transaction types fit FDLE's business needs. Customization options include setting default values, enabling or disabling certain features, and defining transaction-specific flexfields.
- Custom document sequences have been defined in AR to determine the unique numbering scheme for transaction documents, such as invoices or credit memos. Different sequences have been defined for each transaction type, to set the starting number, specify the increment value, and configure the numbering format. Customizing document sequences ensured that AR transaction documents are numbered correctly and sequentially.
- Custom payment terms have been defined to specify the terms and conditions under which customers are expected to pay their invoices. Payment term structures are based on different criteria such as due date. Customization options include setting default values.
- Custom aging buckets are defined in AR to categorize outstanding receivables based on the number of days they are overdue. These aging buckets align with FDLE's collection policies. FDLE has defined multiple aging buckets with different aging periods and aging intervals. Custom aging buckets help FDLE in tracking and managing outstanding receivables efficiently.
- Custom receipt classes have been set up in AR to define the attributes and processing rules for receipt transactions. Receipt classes have been customized to meet FDLE's specific business needs.

These are just some of the important customizations that have been made to the AR and GL modules in FDLE's system. These customizations have helped the organization to better meet its specific business requirements and to improve the efficiency of its financial reporting and accounting processes.

### **COLLECTIONS**

FDLE utilizes Collections module functionality in AR to manage and track customer payments. Collections supports features such as promise to pay, dunning letters, and aging analysis for efficient collections management. FDLE utilizes both custom and standard AR reports and inquiries to retrieve customer-related information. These include aging reports, customer transaction histories, and account analysis reports. Inquiries allow users to view specific details about a customer, such as open invoices or payment history. FDLE manages customer records by creating and updating customer party, account, site, site use and profiles.

Custom dunning letters have been defined to send reminders to customers for overdue payments. In AR, customized dunning letters match FDLE's communication style and requirements. Customizing

dunning letters allows FDLE to automate the collections process and improve the effectiveness of collection efforts. The system programmatically provides the letters to print.

FDLE utilizes the Collections Workbench tools for recording and tracking customer communications. Collectors record promise to pay, schedule follow-up actions, and store and attach documents related to collections activities.

### **DATA CLEANSING**

FDLE utilizes data cleansing features of Oracle E-Business Suite (EBS) R12 to identify and rectify inaccuracies, inconsistencies, duplicates, and other data issues within the AR module. FDLE uses data cleansing to improve the data quality, enhance system performance, and ensure accurate financial reporting. Data discrepancies could be related to incomplete or missing customer information, duplicate customer records, incorrect transaction details, and outdated or invalid data. After identifying data issues, FDLE has both manual processes and custom programs in place to validate and correct the data. Sometimes during data cleansing, duplicate customer records are merged or removed. Duplicates could be based on specific criteria, such as customer name, address, and contact information.

### **SYSTEM ADMINISTRATION**

RAMS utilizes a system administration module to control access to the application and to ensure that operations are secure and efficient. The system administration module utilizes the Application Object Library (AOL) technology layer, which provides common functionality for all EBS products through a library of reusable database objects, programs, and code.

FDLE has used the system administration module features to:

- Configure security infrastructure, such as user accounts, roles, and permissions.
- Collect data diagnostics for any issues, such as tracking errors and performance problems.
- Manage and audit users, such as tracking user activity and ensuring that users' access is appropriate.
- Create and manage concurrent programs, such as ensuring that programs run in the correct order and that they do not conflict with each other.
- Set up request groups, which are used to group together related requests.
- Configure responsibilities, which are used to define the tasks that users can perform.
- Schedule programs, which is used to run programs at specific times.

The system administration module is an important part of RAMS, as it helps to ensure that the application is secure and efficient. The module provides a variety of features that can be used to configure the application, manage users, and troubleshoot problems.

## **B. Current Performance/Operational Issues**

FDLE is in the process of migrating to the PALM accounting system. In order to be compliant with PALM, FDLE must review and potentially remediate all of the current business processes in RAMS.

The General Ledger module of RAMS contains all of the account setups information and is the source of the Chart of Accounts. These accounts are used during the setup of invoice, receipts, credit memos, and debit memo transactions. The transactions also store FLAIR accounting information, such as the organization code (ORG), Expansion Option (EO), object code, Grant ID, Contract, and OCA.

When transactions are created in RAMS, the accounting information from the Receivables module is transferred to the General Ledger module via the Oracle standard program "Submit Accounting." Once the data is reconciled, custom programs are executed in the General Ledger module to generate accounting data extracts with the details required by the DFS FLAIR system. These extracts are then

processed by FLAIR to create journal entries related to FDLE Transaction Types 30 (TR30) and 10 (TR10). TR30 is used to post receipts remitted in RAMS (deposits), while TR10 is used to post the creation and applications of RAMS transactions (invoice lines, credit memos, and debit memos).

In order to be compliant with PALM, FDLE must reconfigure all accounting setups in the General Ledger module and transaction setups in the Receivables module. This includes updating the chart of accounts, organization codes, expansion option codes, object codes, Grant ID, Contract, OCA, transaction types, transaction lines, and receipt classes to match the PALM standards. Once these changes are completed, all transactions related accounting information will be compliant with PALM accounting standards.

## **2. Assumptions and Constraints**

### **Assumptions**

- The Office of Financial Management (OFM) will assemble a project team to design and provide employee training.
- Business Systems Engineering (BSE) will retain responsibility for maintaining the applications.
- The project team will be led by a full-time Business Lead from OFM and another Project Manager from Information Technology Services (ITS).
- The project schedule, aligned with the PALM project's Readiness Workplan, will be used to define and monitor task scope, progress, milestones, and deliverables.
- The project budget will be approved annually, allowing for the engagement of consultants if required.
- All existing FLAIR reports will be phased out following the implementation of PALM.
- Additional business rules linked to Functional and Non-functional requirements will be documented during requirement sessions as the project progresses.
- The scope and specifications of the RAMS reconfiguration project will remain unchanged once initiated.
- The system will adhere to the security policies of the State of Florida and the FBI Criminal Justice Information Services (CJIS).
- The IT support for the project, whether through in-house development or a purchased solution, will enable the reconfiguration of the RAMS system to meet current business needs.

### **Constraints**

- OFM is responsible for absorbing the workload associated with application change requirements, ensuring smooth transition and integration.
- ITS should allocate and prioritize Business Analysis (BA) and Testing resources according to the project schedule for Unit/System/User Acceptance Testing.
- The project budget will be approved on a yearly basis throughout the duration of the project, allowing for necessary financial resources to be allocated.
- OFM will anticipate and proactively manage resistance to change during the PALM project, as system enhancements and new functionality may trigger reluctance or challenges from stakeholders.
- Both the existing systems and the new system being developed must remain fully operational and up-to-date until the new system is ready for implementation. Careful management of data in both systems is crucial to ensure accuracy of the system in production at any given time.
- The reconfigured RAMS system must replace existing functionality with Department of Revenue (DOR) and agency partners such as Department of Agriculture and Consumer Services (DOACS), Department of Juvenile Justice (DJJ), Agency for Health Care Administration (AHCA), and Orange County Public Schools (OCPS), establishing robust connections and seamless integration.
- RAMS analysts, who play a crucial role in the project, may experience unexpected unavailability due to time-sensitive issues that arise throughout the business day. Contingency plans and effective communication should be in place to manage such situations efficiently.

## C. Proposed Business Process Requirements

### 1. Proposed Business Process Requirements

The system shall perform the following business processes. Functional requirements of each process are identified in Appendix E.

#### **General Ledger**

The General Ledger (GL) module is a critical component of any accounting system. It is used to track the financial transactions of an organization and to generate financial reports. The GL module in RAMS should provide the following features:

- Accounting setups: The system should provide features to define and maintain accounting setups in GL. This includes the ability to define the chart of accounts, the organization codes (ORG), expansion options (EO), object codes, grant codes, contract codes, and other cost accumulator (OCA) codes.
- Accounting calendar: The system should provide the ability to create and maintain an accounting calendar in GL. This calendar tracks the start and end dates of accounting periods.
- Journals: The system should provide the ability to import or create manually journal batches, journal headers, and journal lines in GL. Journals are used to record financial transactions in the GL.
- Posting: The system should provide the ability to post journals in both regular and adjustment accounting periods of GL. This ensures that all financial transactions are recorded in the GL.
- Open/close accounting periods: The system should provide the ability to open or close accounting periods in GL. This is necessary to ensure that the GL is accurate and up-to-date.

These features are essential for the GL module to be effective. By providing these features, the system can help organizations to track their financial transactions accurately and to generate accurate financial reports.

#### **Accounts Receivables**

The Accounts Receivables (AR) module is responsible for managing customer accounts, including invoicing, payments, and collections. The following are the key requirements for the AR module:

- Import monthly invoices from FPP, SHIELD, FALCON, and CWCS into RAMS.
- Generate Balance Forward Billing (BFB) consolidated invoices using imported and manual individual invoices.
- Generate Firearms Purchase Program (FPP) printable individual invoices.
- Generate data extracts of invoice lines for specific high-volume transaction customers.
- Edit customer information relevant to invoice import setups.
- Review and edit invoice errors in draft mode before generating final version of invoices.

- Create manual invoices.
- Identify incomplete invoices.
- Adjust customer outstanding balance manually using credit or debit memos.
- Automate application of receipts to invoices with outstanding balances.
- Upload receivables transactions data from RAMS to FLAIR.
- Provide reports/programs to reconcile with FLAIR application.
- Provide reports/programs for day to day processing of transactions.
- Create standard or miscellaneous receipts.
- Provide ability to batch receipts deposited in bank.
- Provide features to query, print and export details of customer, receipts and invoices.
- Import customer-based receipts file to create standard receipts and apply them to outstanding invoices.
- Import non-customer-based receipts file and create miscellaneous receipts.
- Create standard and miscellaneous credit card receipts via E-Pay application.
- Create, update and delete customer information.
- Create and maintain customer profile classes.
- Create and maintain Accounting calendar.

### **Collections**

The Collections module is responsible for managing delinquent accounts, including sending collection letters; conducting scoring of customer setups, outstanding invoice balances, age of invoices and a few other factors; and identifying delinquent accounts. The following are the key requirements for the Collections module:

- Track collections and write-off status of invoices.
- Provide features to collect on delinquent accounts.
- Record and update collection notes and comments.
- Generate and send collection letters and statements to customers.
- Conduct scoring of customer setups, outstanding invoice balances, age of invoices and a few other factors and identify delinquent accounts.
- Provide a centralized workbench for collectors to view and manage overdue invoices, collection notes, and customer contact details.
- Support ad-hoc query and analysis capabilities for custom reporting needs.

### **Data Quality Management**

The Data Quality Management (DQM) module is responsible for ensuring the quality of data in the AR system. This includes validating data entered or modified in customer screens, and ensuring data meets predefined quality Trading Community Architecture (TCA) module standards and business rules. The following are the key requirements for the DQM module:

- Run necessary background programs needed for data synchronization and peak performance.
- Validate data entered or modified in customer screens and ensure data meets predefined quality Trading Community Architecture (TCA) standards and business rules.
- Provide functionality to cleanse and standardize customer data. It should help identify and correct inconsistent, inaccurate, or duplicate data records.

- Ensure DQM integrates with various Oracle EBS modules, such as Customer Relationship Management (CRM), Human Resources (HR) and Accounts Receivables (AR). It should ensure data quality across different functional areas of the EBS system.

### **Security and Administration**

The Security and Administration module is responsible for managing user access to RAMS, and for maintaining the system's security. The following are the key requirements for the Security and Administration module:

- Create and maintain RAMS users.
- Create RAMS responsibilities (Security Controls) to allow only the appropriate users to view/update the data in application.
- Set or reset user passwords.
- Audit user status and roles.
- Provide access to application oracle forms irrespective of user's browser.
- Provide printing capabilities from application to network printers on Windows OS.

## **2. Business Solution Alternatives**

This section describes the analysis of alternative approaches considered for implementing a replacement for the current RAMS application.

To conduct the alternatives analysis the following steps were performed:

- Developed high-level functional requirements that the new system must be capable of addressing
- Identified and defined a list of potential alternative system implementation methods
- Established a set of uniform evaluation criteria against which each alternative was measured
- Evaluated each of the alternatives through the application of the evaluation criteria
- Determined the best alternative for FDLE

Three approaches are presented below:

### **Approach 1: Upgrade RAMS Chart of Accounts**

This option would have FDLE upgrade the existing chart of accounts setup in RAMS (Oracle R12.2 Receivables and General Ledger). This would allow RAMS to provide the transactions information needed by the new PALM system. It would also allow accounting data to be reconciled between the two systems.

The benefits of this option include:

- Organizational Change Management (OCM): This approach would cause the least changes for the actual users of RAMS. Once RAMS is upgraded OFM users should see very little differences in their daily work.
- Accuracy: The upgraded chart of accounts would ensure that the transaction information provided to PALM is accurate.
- Reconciliation: The ability to reconcile accounting data between RAMS and PALM would help to ensure that the two systems are in sync.
- Cost: This option is relatively inexpensive, as it only requires an upgrade to the existing chart of accounts.

The drawbacks of this option include:

- Time: The upgrade to the chart of accounts may take some time to complete.

- Complexity: The upgrade may be complex, as it may require changes to the RAMS application.

Overall, this option is a good choice for FDLE to ensure that the transactions information provided to PALM is accurate and that accounting data can be reconciled between the two systems.

### **Approach 2: On-Premise Financial Solution Replacement**

One approach to addressing the PALM compliance requirements is to replace the existing on-premise financial solution with a new system. There are several on-premise applications that offer similar functionality to Oracle R12.2 Receivables (RAMS). One of the popular options is SAP S/4HANA Finance (previously known as SAP ERP Financials). SAP S/4HANA Finance provides comprehensive accounts receivables management capabilities. It offers features such as:

- Credit management: This includes the ability to define credit policies, assess customer creditworthiness, and track customer credit limits.
- Billing: This includes the ability to create and send invoices, manage payments, and track receivables.
- Collections: This includes the ability to track overdue accounts, send collection letters, and work with customers to resolve delinquent accounts.
- Dispute management: This includes the ability to track and resolve customer disputes.
- Cash application: This includes the ability to apply payments to invoices and track cash receipts.

The benefits of this option include:

- Increased efficiency: The system's automated processes can help to improve efficiency and reduce costs.
- Enhanced reporting and analytics: The system's reporting and analytics capabilities can help users to make better decisions.
- Increased flexibility and scalability: The system can be customized to meet the specific needs of the organization.

The drawbacks of this option include:

- OCM: This approach would cause significant changes for the OFM users.
- Cost: The cost of implementing SAP S/4HANA Finance can be significant.
- Complexity: The system can be complex to implement and use.
- Time: The upgrade to the chart of accounts may take significant time to complete.
- Training: Users will need to be trained on the new system.

Overall, replacing the existing on-premise financial solution with SAP S/4HANA Finance can be very expensive and challenging for FDLE.

### **Approach 3: Cloud-Based Financial Solution Replacement**

Another approach to addressing the PALM compliance requirements is to replace the existing on-premise financial solution with a cloud-based system. There are several cloud-based applications that offer similar functionality to Oracle R12.2 Receivables (RAMS). One of the popular options is Oracle Fusion Cloud Financials. Oracle Fusion Cloud Financials is the successor to Oracle EBS R12 Receivables module. It provides comprehensive accounts receivables management capabilities in a cloud-based environment. It offers features such as:

- Invoicing: This includes the ability to create and send invoices, manage payments, and track receivables.
- Credit management: This includes the ability to define credit policies, assess customer creditworthiness, and track customer credit limits.
- Collections: This includes the ability to track overdue accounts, send collection letters, and

- work with customers to resolve delinquent accounts.
- Revenue recognition: This includes the ability to track and recognize revenue in accordance with accounting standards.
- Real-time analytics: This provides users with real-time insights into their accounts receivables data.

The benefits of this option include:

- Compliance: Oracle Fusion Cloud Financials is designed to meet the compliance requirements of a wide range of industries.
- Increased efficiency: The system's automated processes can help to improve efficiency and reduce costs.
- Enhanced reporting and analytics: The system's reporting and analytics capabilities can help users to make better decisions.
- Increased flexibility and scalability: The system can be customized to meet the specific needs of the organization.

The drawbacks of this option include:

- OCM: This approach would cause significant changes for the OFM users.
- Data security: The organization's data will be stored in the cloud, which may raise security concerns.
- Dependency on internet: The system will be dependent on an internet connection, which could be a problem in areas with poor connectivity.
- Cost: The cost of implementing Oracle Fusion Cloud Financials can be significant.
- CJIS Compliance: Storing CJIS data in cloud would require Oracle suite to be CJIS certified.

Overall, replacing the existing on-premise financial solution with Oracle Fusion Cloud Financials can be a good choice for organizations that are looking to improve their compliance, efficiency, and reporting capabilities, and not dealing with CJIS data. However, for FDLE this may not be a viable option.

### 3. Rationale for Selection

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

- Ability to meet the business requirements: The solution must be able to meet the specific needs of FDLE, communicate with agency partners, and integrate with other systems.
- .
- Ability to streamline data entry for time entered and accuracy: The solution should make it easy for users to enter data accurately and efficiently.
- Expand the ability to integrate with additional systems: The solution should be able to integrate with other systems as needed, to allow FDLE to share data and collaborate with other agencies.

### 4. Recommended Business Solution

Based on these criteria, FDLE must select a solution that meets its specific needs and is able to meet the challenges of the future. The selected solution is Approach 1: Upgrade RAMS Chart of Accounts. It is also scalable and flexible, so it can be adapted to meet FDLE's changing needs.

The solution is expected to improve FDLE's ability to track and manage alerts, communicate with agency partners, and integrate with other systems. It is also expected to streamline data entry and improve the accuracy of data entry. The solution is also flexible enough to add new alert types as they are legislated. Overall, the solution is a good fit for FDLE's needs and is expected to improve the agency's ability to meet its mission.



For this reason, FDLE is submitting the costs associated with having a contracted team to reconfigure RAMS for the first two years. After that time, FDLE will take over maintenance and support in-house.

### D. Functional and Technical Requirements

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

#### 1. Functional Requirements

The Functional Requirements can be found in Appendix E.

#### 2. Technical Requirements

The Technical Requirements can be found in Appendix E.

### III. Success Criteria

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

| SUCCESS CRITERIA TABLE |  |  |               |                          |
|------------------------|--|--|---------------|--------------------------|
| #                      | Description of Criteria  | How will the Criteria be measured/assessed?  | Who benefits? | Realization Date (MM/YY) |
| 1                      | Ability to generate accounting data in a format acceptable by PALM system from DFS | Transactions are successfully reconciled in PALM system  | FDLE<br>DFS   | 01/2026                  |
| 2                      | Ability to manage cash flow with the newly configured PALM Chart of Accounts.      | Faster processing of invoices and payments   | FDLE          | 01/2026                  |
| 3                      | Enhanced customer relationships  | Provide better customer service, handle inquiries and issues efficiently                                 | FDLE          | 01/2026                  |
| 4                      | Automation and efficiency  | Eliminating manual processes and reducing paperwork significantly, achieve higher operational efficiency | FDLE          | 01/2026                  |
| 5                      | Financial reporting and analytics  | Availability of BI publisher, RDF, RXi designer reports in   | FDLE          | 01/2026                  |

| SUCCESS CRITERIA TABLE |                         |  |      |         |
|------------------------|-------------------------|--|------|---------|
|                        |                         | text, excel, pdf etc. formats                    |      |         |
| 6                      | Compliance and controls | Continued compliance and reduced financial risks | FDLE | 01/2026 |

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

### A. Benefits Realization Table

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

| BENEFITS REALIZATION TABLE |  |  |  |   |                          |
|----------------------------|--|--|--|---|--------------------------|
| #                          | Description of Benefit   | Who receives the benefit?                | How is benefit realized?   | How is the realization of the benefit measured?                                   | Realization Date (MM/YY) |
| 1                          | Ability to generate accounting data in a format acceptable by PALM system from DFS | DFS will receive benefit via PALM system | Chart of Accounts upgrade  | Transactions are successfully reconciled in PALM system                           | 01/01/2026               |
| 2                          | Streamlined invoice-to-cash process  | OFM                                      | It helps streamline the invoice to cash process, resulting in faster payments and improved cash flow         | Faster processing of invoices and payments  | 01/01/2026               |
| 3                          | Improved collections process   | OFM                                      | Ability to analyze past due customer data and provides multiple dunning plans to handle non-paying customers | Collect and process past due payments faster                                      | 01/01/2026               |
| 4                          | Improved reporting capabilities  | OFM                                      | Providing insight into AR financial reports, and aging analyses.   | Customer will be able to see reports for both historical and current transactions | 01/01/2026               |

| BENEFITS REALIZATION TABLE |  |  |  |   |  |
|----------------------------|--|--|--|---|--|
|                            |  |  |  | activity even if data belongs to different chart of accounts. |  |

### B. Cost Benefit Analysis (CBA)

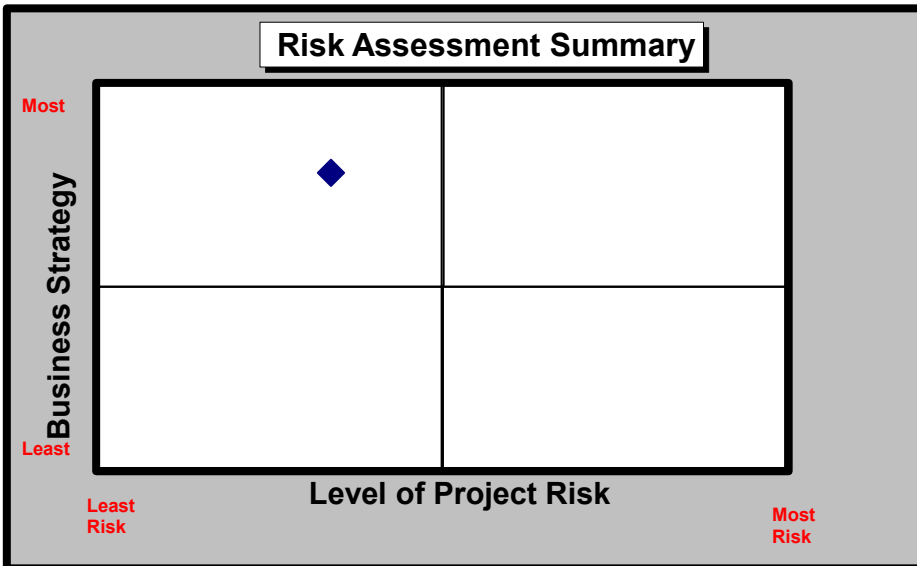
*Purpose: To provide a comprehensive financial prospectus specifying the project’s tangible benefits, funding requirements, and proposed source(s) of funding.*

Please see Appendix B.

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

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

The complete risk assessment worksheets are in Appendix C.



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

Figure 2 - Project Risk Assessment

## VI. Schedule IV-B Technology Planning

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

### A. Current Information Technology Environment

FDLE's Revenue Accounting Management System (RAMS) is a highly customized agency-specific Oracle ERP Financials modules-based Accounts Receivable system. RAMS interacts with multiple internal criminal justice information systems (CWCS/SHIELD/FALCON/FES) and external applications (DOR/DFS) to maintain customer information and manage billing and payments. RAMS distributes invoices by mail only.

#### 1. Current System

##### a. Description of Current System

The RAMS application is made up of multiple modules from Oracle E-Business Suite R12.2.9. FDLE has paid license and support fees for General Ledger and Receivables modules. In addition to these two modules, FDLE has also implemented other shared modules like – AOL for system administration, Human Resources (HR) for employee management, CRM for user resource management, base Collections module for collectors etc. All the shared modules are free and are part of 300+ modules of Oracle EBS system.

Here are some statistics related to current system:

|   |  |
|---|--|
| System Type                             | Oracle E-Business Suite version R12.2.9  |
| Number of Users & Types                 | 54 active users with varying roles and responsibilities  |
| Invoices Metrics                        | Total FY 21/22 52,006 invoices totaling \$39,429,287   |
| Security Access Requirements            | Oracle EBS AOL user authorization and authentication   |
| Scalability                             | The current system is a fully scalable version of software and reporting solution.   |
| Development and Maintenance Approach    | The support of the current application components follows FDLE's approved maintenance and project governance rules.  |
| Maturity of the Technology              | The current application components were initially implemented in 2000 and have been upgraded at regular intervals recommended by Oracle corporation per license and support contract stipulations.   |
| Future Data Sharing with other Entities | Information is being shared by the current application in the form of extract files and REST web services.   |
| Hardware Characteristics                | <p>There are three RAMS environments: production, test, and development.</p> <ul style="list-style-type: none"> <li>• The RAMS production environment is housed on one physical sever. This server is attached to a SAN that hosts the database.</li> <li>• The RAMS test environment runs inside a virtual machine</li> </ul> |

**SCHEDULE IV-B FOR REVENUE ACCOUNT MANAGEMENT SYSTEM (RAMS) RECONFIGURATION FOR PALM**

|   |   |
|---|---|
|   | <p>(VM) that is housed on a physical server.</p> <ul style="list-style-type: none"> <li>• The RAMS development environment runs inside a virtual machine (VM) that is housed on a physical server.</li> <li>• The scheduled RAMS application concurrent jobs consume/produce the files with transactional data and transfer files to/from FDLE and DFS Secured File Transfer Protocol (SFTP) servers</li> </ul>   |
| <p>Software Characteristics</p>           | <p>RAMS is FDLE's implementation of the Oracle E-Business Suite (EBS) product that consists of Oracle Applications 12.2 and Oracle Database 19c.</p> <ul style="list-style-type: none"> <li>• Database: Oracle 19c             <ul style="list-style-type: none"> <li>➢ The stored procedures are in SQL and PL/SQL</li> </ul> </li> <li>• The RAMS (Oracle EBS R12.2) Application             <ul style="list-style-type: none"> <li>➢ Operating System: Red Hat Linux 7</li> <li>➢ Application Server: Oracle Weblogic</li> <li>➢ Primary Oracle EBS modules – General Ledger (GL), Accounts Receivables (AR) and Subledger Accounting (SLA)</li> <li>➢ Shared modules – Application Object Library (AOL), Customer Resource Management (CRM), Human Resources (HR), Collections, Data Quality Management (DQM) etc.</li> <li>➢ BI Publisher Reports</li> <li>➢ Oracle Forms</li> <li>➢ Oracle Reports</li> <li>➢ Oracle Reports eXchange Designer</li> <li>➢ REST Web Services</li> <li>➢ Oracle Workflow</li> <li>➢ Open Reports</li> <li>➢ MS-Excel &amp; MS-Word for report exports</li> <li>➢ Java (OA Framework based web pages)</li> <li>➢ XML</li> <li>➢ Oracle Java Web Start (JWS)</li> </ul> </li> <li>• All database data and application servers are backed-up with Commvault Enterprise Software</li> </ul> |
| <p>Network Connectivity Requirements</p>  | <p>The RAMS database and application are on FDLE's Corporate (CORP) network.</p>  |
| <p>Internal &amp; External Interfaces</p> | <ul style="list-style-type: none"> <li>• Internal FDLE Applications             <ul style="list-style-type: none"> <li>➢ E-Pay and CCService (via Web Services)</li> <li>➢ CWCS, FALCON, SHIELD and FES (via flat files)</li> </ul> </li> <li>• External Partners             <ul style="list-style-type: none"> <li>➢ Department of Revenue (DOR)</li> <li>➢ Department of Financial Services (DFS)</li> <li>➢ Agency for Health Care and Administration (AHCA)</li> <li>➢ Department of Juvenile Justice (DJJ)</li> <li>➢ Orange County Public Schools (OCPS)</li> <li>➢ Department of Agriculture and Consumer Services (DOACS)</li> </ul> </li> </ul>   |

**SCHEDULE IV-B FOR REVENUE ACCOUNT MANAGEMENT SYSTEM (RAMS) RECONFIGURATION FOR PALM**

|          |  |
|----------|--|
| Staffing | <ul style="list-style-type: none"> <li>• 1 Contract Developer/Technical Architect</li> <li>• 1 State Developer/Programmer</li> </ul> |
|----------|--|

Oracle R12.2 ERP (Enterprise Resource Planning) is a comprehensive suite of business applications designed to streamline and automate various financial processes within an organization. It offers a wide range of financial modules that enable companies to manage their accounting, financial reporting, budgeting, and other financial activities efficiently. Here are details of FDLE implemented financial modules in Oracle R12.2 ERP:

**General Ledger (GL):** The General Ledger module is the core of Oracle's financial system. It provides a centralized repository for recording and reporting financial transactions. GL allows you to define and manage charts of accounts, perform journal entries, conduct financial analysis, and generate financial reports.

**Accounts Receivable (AR):** The Accounts Receivable module tracks and manages customer invoices and receipts. It enables businesses to create and manage customer accounts, generate invoices, receive payments, and perform credit management. AR provides insights into cash flow, aging reports, and customer performance analysis.

These modules are integrated within Oracle R12.2 ERP, allowing seamless data flow and real-time updates across various financial processes. They enable organizations to streamline financial operations, improve accuracy, enhance decision-making, and maintain regulatory compliance.

RAMS system also interacts with multiple internal and external applications and processes data in either file layouts or using REST web services.

**b. Current System Resource Requirements**

|                                   |   |
|-----------------------------------|---|
| Location                          | Hosted on-site in FDLE's Data Center  |
| Internal & External Interfaces    | <ul style="list-style-type: none"> <li>• Internal FDLE Applications <ul style="list-style-type: none"> <li>➢ E-Pay and CCService (via Web Services)</li> <li>➢ CWCS, FALCON, SHIELD and FES (via flat files)</li> </ul> </li> <li>• External Partners <ul style="list-style-type: none"> <li>➢ Department of Revenue (DOR)</li> <li>➢ Department of Financial Services (DFS)</li> <li>➢ Agency for Health Care and Administration (AHCA)</li> <li>➢ Department of Juvenile Justice (DJJ)</li> <li>➢ Orange County Public Schools (OCPS)</li> <li>➢ Department of Agriculture and Consumer Services (DOACS)</li> </ul> </li> </ul> |
| Network Connectivity Requirements | The RAMS database and application are on FDLE's CORP network.   |
| Staffing                          | <ul style="list-style-type: none"> <li>• 1 Contract Developer/Technical Architect</li> <li>• 1 State Developer/Programmer</li> </ul>  |

**c. Current System Performance**

|  |   |
|--|---|
| Ability of System to Meet Current and Project Workload | Supports current operations and is highly scalable to handle future operations. |
|--|---|

**SCHEDULE IV-B FOR REVENUE ACCOUNT MANAGEMENT SYSTEM (RAMS) RECONFIGURATION FOR PALM**

|                                 |   |
|---------------------------------|---|
| Level of User Satisfaction      | High level of satisfaction due to availability of all features needed to complete day-to-day activities of OFM in most efficient manner.  |
| Level of Technical Satisfaction | High because system is highly customizable and adaptable to latest real time processing features.   |
| Anticipated Failures            | None  |
| Network & System Availability   | 24 hours per day/7 days a week with limited scheduled maintenance windows   |
| Network & System Reliability    | The system is brought down for scheduled maintenance when needed. These times are communicated with the customer and performed during non-peak business hours so as not to adversely impact access of system. |
| Backup & Disaster Recovery      | Backups are performed nightly and the disaster recovery plan follows FDLE established procedures for IT systems.  |

**2. Information Technology Standards**

See attached Appendix A.

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

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

|                          |  |
|--------------------------|--|
| Location                 | Hosted on-site in FDLE's Data Center   |
| Hardware Characteristics | <p>There are three RAMS environments: production, test, and development.</p> <ul style="list-style-type: none"> <li>• The RAMS production environment is housed on one physical sever. This server is attached to a SAN that hosts the database and local disk hosts the software.</li> <li>• The RAMS test environment runs inside a virtual machine (VM) that is housed on a physical server.</li> <li>• The RAMS development environment runs inside a virtual machine (VM) that is housed on a physical server.</li> <li>• The scheduled RAMS application concurrent jobs consume/produce the files with transactional data and transfer files to/from FDLE and DFS Secured File Transfer Protocol (SFTP) servers</li> </ul> |
| Software Characteristics | <p>RAMS is FDLE's implementation of the Oracle E-Business Suite (EBS) product that consists of Oracle Applications 12.2 and Oracle Database 19c.</p> <ul style="list-style-type: none"> <li>• Database: Oracle 19c <ul style="list-style-type: none"> <li>➤ The stored procedures are in SQL and PL/SQL</li> </ul> </li> </ul>   |



|                                   |   |
|-----------------------------------|---|
|                                   | <ul style="list-style-type: none"> <li>• The RAMS (Oracle EBS R12.2) Application             <ul style="list-style-type: none"> <li>➤ Operating System: Red Hat Linux 7</li> <li>➤ Application Server: Oracle Weblogic</li> <li>➤ Primary modules – General Ledger (GL), Accounts Receivables (AR) and Subledger Accounting (SLA)</li> <li>➤ Shared modules – Application Object Library (AOL), Customer Resource Management (CRM), Human Resources (HR), Collections, Data Quality Management (DQM) etc.</li> <li>➤ BI Publisher RTF templates</li> <li>➤ Oracle Forms</li> <li>➤ Oracle RDF Reports</li> <li>➤ Oracle Reports eXchange Designer</li> <li>➤ REST Web Services</li> <li>➤ Oracle Workflow</li> <li>➤ Open Reports</li> <li>➤ MS-Excel &amp; MS-Word for report exports</li> <li>➤ Java (OA Framework based web pages)</li> <li>➤ XML</li> <li>➤ Oracle Java Web Start (JWS)</li> </ul> </li> <li>• All database data and application servers are backed-up with Commvault Enterprise</li> </ul> |
| Network Connectivity Requirements | The RAMS database and application are on FDLE's CORP network.   |

## C. Proposed Technical Solution

### 1. Technical Solution Alternatives

This section describes the analysis of alternative approaches considered for implementing a replacement for the current RAMS application.

To conduct the alternatives analysis the following steps were performed:

- Developed high-level functional requirements that the new system must be capable of addressing
- Identified and defined a list of potential alternative system implementation methods
- Established a set of uniform evaluation criteria against which each alternative was measured
- Evaluated each of the alternatives through the application of the evaluation criteria
- Determined the best alternative for FDLE

Three approaches are presented in section C-2 (Business Solution Alternatives) that addresses both business and technical solution alternatives.

### 2. Rationale for Selection

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

### 3. Recommended Technical Solution

After comparing the on-premise RAMS (Oracle R12.2 receivables and general ledger modules) to the cloud-based solution, FDLE recommends Approach 1: Upgrade RAMS Chart of Accounts. This upgrade will meet FDLE's needs for generating day to day RAMS transactions with accounting data that would map to chart of accounts defined in PALM system by DFS. New transactions and accounting setups, reporting changes and all other modifications/new-custom code can be handled by in-house FTE and contractor resources. FDLE is able to minimize the initial cost and adjust the solution as needed. The risk of not implementing this solution would mean that RAMS and PALM systems cannot be reconciled and FDLE accounting data cannot be accounted in PALM system.

## D. Proposed Solution Description

### 1. Summary Description of Proposed System

Upgrading the Chart of Accounts in Oracle E-Business Suite (EBS) R12 involves several significant changes and considerations. Here are some key aspects to consider during the upgrade process:

- **Chart of Accounts Structure:** The upgrade involves modifying the existing chart of accounts structure to align with new reporting requirements or organizational changes. This could include adding or removing segments, redefining segment values, or reorganizing the chart of accounts hierarchy.
- **Segment Value Changes:** Upgrading the chart of accounts might require updating or redefining segment values to reflect changes in business processes, new reporting needs, or compliance requirements. It involves mapping existing values to new values or introducing additional values to accommodate evolving business needs.
- **Accounting Flexfield Changes:** The upgrade process necessitates modifications to the accounting flexfield structure, which is the underlying framework for the chart of accounts. This could involve changing the number of segments, segment lengths, segment order, or flexfield qualifiers.
- **Data Migration:** Upgrading the chart of accounts typically involves migrating existing financial data from the old chart of accounts structure to the new one. This requires careful planning and validation to ensure data integrity and accuracy during the transition.
- **Balances and Open Transactions:** As part of the upgrade, balances and open transactions need to be considered. It is crucial to analyze the impact on existing balances, reconcile data before and after the upgrade, and address any discrepancies or adjustments required.
- **Reporting and Analysis:** Upgrading the chart of accounts provides an opportunity to enhance reporting and analysis capabilities. It is essential to assess reporting requirements, including financial statements, management reports, and statutory/regulatory reporting, and ensure that the upgraded chart of accounts supports these needs effectively.
- **Integration and Interfaces:** The upgrade impacts various integration points and interfaces with other systems or modules within the EBS ecosystem. It is necessary to identify and update these integration points to accommodate the changes in the chart of accounts structure.
- **User Training and Communication:** Upgrading the chart of accounts involves changes that affect users across the organization. Proper training and communication are vital to ensure that end-users understand the new chart of accounts structure, segment values, and any revised processes or procedures.

Throughout the upgrade process, it is crucial to engage key stakeholders, including finance teams, IT teams, and business users, to ensure a smooth transition. Adequate testing, validation, and data reconciliation should be performed to minimize any potential disruptions and ensure data accuracy and integrity in the upgraded chart of accounts.

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

| Cost Elements            | FY24-25          | FY25-26          | FY26-27    | FY27-28    | Totals             |
|--------------------------|------------------|------------------|------------|------------|--------------------|
| <b>Staff</b>             |                  |                  |            |            |                    |
| State Staff              | \$0              | \$0              | \$0        | \$0        | \$0                |
| OPS                      | \$0              | \$0              | \$0        | \$0        | \$0                |
| <b>Expenses</b>          |                  |                  |            |            |                    |
| Project Deliverables     |                  | \$0              | \$0        | \$0        | \$0                |
| Other Expenses           | \$91,000         | \$30,000         |            | \$0        | \$121,000          |
|                          |                  |                  |            |            | \$0                |
| <b>OCO</b>               |                  |                  |            | \$0        | \$0                |
| Other OCO                | \$105,000        | \$30,000         |            | \$0        | \$135,000          |
|                          |                  |                  |            |            | \$0                |
| <b>Contract Services</b> |                  |                  |            |            | \$0                |
| Contract Staff           | \$670,000        | \$670,000        |            | \$0        | \$1,340,000        |
| Project Deliverables     |                  |                  |            | \$0        | \$0                |
| Other IT Services        | \$30,000         | \$30,000         |            | \$0        | \$60,000           |
|                          |                  |                  |            |            | \$0                |
| <b>Total</b>             | <b>\$896,000</b> | <b>\$760,000</b> | <b>\$0</b> | <b>\$0</b> | <b>\$1,656,000</b> |

E. Capacity planning

*(historical and current trends versus projected requirements)*

The RAMS System is the primary billing application for all invoice-based customers. Invoices are generated based on transactions in CWCS, SHIELD, FALCON and FES applications. Primary transaction count in RAMS for year 2021-2022 and projected volume until 2026 is provided in the table below:

| Invoices               | %Change | 2021    | 2022    | 2023    | 2024    | 2025    | 2026    |
|------------------------|---------|---------|---------|---------|---------|---------|---------|
| Individual Invoices    | 3%      | 389,945 | 426,277 | 440,226 | 454,631 | 469,508 | 484,872 |
| Consolidated Invoices  | 4%      | 254,778 | 264,140 | 275,290 | 286,911 | 299,023 | 311,646 |
| Standard Receipts      | 3%      | 41,545  | 44,250  | 45,724  | 47,248  | 48,822  | 50,449  |
| Miscellaneous Receipts | 3%      | 26,550  | 27,669  | 28,499  | 29,354  | 30,235  | 31,142  |
| E-Pay Transactions     | 25%     | 20,476  | 23,866  | 29,833  | 37,291  | 46,613  | 58,267  |

Table 1 – Capacity Projections

VII. Schedule IV-B Project Management Planning

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

See attached Appendix F for the Project Management Plan.

## VIII. Appendices

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

Appendix A – Standards and Definitions

Appendix B – Cost-Benefit Analysis Worksheet

Appendix C – Risk Assessment Worksheet

Appendix D – Estimated Project Schedule

Appendix E – RAMS Requirements

Appendix F – Project Management Plan

## **Appendix A – Standards and Definitions**

- 1. Chapter 60GG-2, STATE OF FLORIDA CYBERSECURITY STANDARDS**  
<https://www.flrules.org/gateway/ChapterHome.asp?Chapter=60GG-2>
- 2. Chapter 60GG-1, State of Florida Project Management and Oversight**  
<https://www.flrules.org/gateway/ChapterHome.asp?Chapter=60GG-1>
- 3. Chapter 60GG-3, Data Center Operations**  
<https://www.flrules.org/gateway/ChapterHome.asp?Chapter=60GG-3>
- 4. Chapter 60GG-4, Cloud Computing**  
<https://www.flrules.org/gateway/ChapterHome.asp?Chapter=60GG-4>
- 5. Chapter 60GG-5, State of Florida Enterprise Architecture**  
<https://www.flrules.org/gateway/ChapterHome.asp?Chapter=60GG-5>
- 6. CJIS Security Policy**  
[Criminal Justice Information Services \(CJIS\) Security Policy \(pa.gov\)](#)
- 7. United States Rehabilitation Act – Section 508**  
[Manage an IT Accessibility/508 Program | Section508.gov](#)

CBAForm 1 - Net Tangible Benefits

|  |   |   |
|--|---|---|
|  | Agency <u>Florida Department of Law Enforcement</u> | Project <u>Revenue Account Management System Reconfiguration for PALM</u> |
|--|---|---|

| Net Tangible Benefits - Operational Cost Changes (Costs of Current Operations versus Proposed Operations as a Result of the Project) and Additional Tangible Benefits -- CBAForm 1A |                               |                                |  |                               |                                |  |                               |                                |  |                               |  |  |                               |                                |  |
|---|-------------------------------|--------------------------------|--|-------------------------------|--------------------------------|--|-------------------------------|--------------------------------|--|-------------------------------|--|--|-------------------------------|--------------------------------|--|
| Agency<br><i>(Recurring Costs Only -- No Project Costs)</i>   | FY 2024-25                    |                                |  | FY 2025-26                    |                                |  | FY 2026-27                    |                                |  | FY 2027-28                    |  |  | FY 2028-29                    |                                |  |
|   | (a)<br>Existing Program Costs | (b)<br>Operational Cost Change | (c) = (a)+(b)<br>New Program Costs resulting from Proposed Project | (a)<br>Existing Program Costs | (b)<br>Operational Cost Change | (c) = (a) + (b)<br>New Program Costs resulting from Proposed Project | (a)<br>Existing Program Costs | (b)<br>Operational Cost Change | (c) = (a) + (b)<br>New Program Costs resulting from Proposed Project | (a)<br>Existing Program Costs | (b)<br>Cost Change Operational Cost Change | (c) = (a) + (b)<br>New Program Costs resulting from Proposed Project | (a)<br>Existing Program Costs | (b)<br>Operational Cost Change | (c) = (a) + (b)<br>New Program Costs resulting from Proposed Project |
| <b>A. Personnel Costs -- Agency-Managed Staff</b>   | \$242,000                     | \$0                            | \$242,000  | \$242,000                     | \$0                            | \$242,000  | \$242,000                     | \$0                            | \$242,000  | \$242,000                     | \$0  | \$242,000  | \$242,000                     | \$0                            | \$242,000  |
| <b>A.b Total Staff</b>  | 1.00                          | 0.00                           | 1.00   | 1.00                          | 0.00                           | 1.00   | 1.00                          | 0.00                           | 1.00   | 1.00                          | 0.00                                       | 1.00   | 1.00                          | 0.00                           | 1.00   |
| A-1.a. State FTEs (Salaries & Benefits)   | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0  | \$0  | \$0                           | \$0                            | \$0  |
| A-1.b. State FTEs (#)   | 0.00                          | 0.00                           | 0.00   | 0.00                          | 0.00                           | 0.00   | 0.00                          | 0.00                           | 0.00   | 0.00                          | 0.00                                       | 0.00   | 0.00                          | 0.00                           | 0.00   |
| A-2.a. OPS Staff (Salaries)   | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0  | \$0  | \$0                           | \$0                            | \$0  |
| A-2.b. OPS (#)  | 0.00                          | 0.00                           | 0.00   | 0.00                          | 0.00                           | 0.00   | 0.00                          | 0.00                           | 0.00   | 0.00                          | 0.00                                       | 0.00   | 0.00                          | 0.00                           | 0.00   |
| A-3.a. Staff Augmentation (Contract Cost)   | \$242,000                     | \$0                            | \$242,000  | \$242,000                     | \$0                            | \$242,000  | \$242,000                     | \$0                            | \$242,000  | \$242,000                     | \$0  | \$242,000  | \$242,000                     | \$0                            | \$242,000  |
| A-3.b. Staff Augmentation (# of Contractors)  | 1.00                          | 0.00                           | 1.00   | 1.00                          | 0.00                           | 1.00   | 1.00                          | 0.00                           | 1.00   | 1.00                          | 0.00                                       | 1.00   | 1.00                          | 0.00                           | 1.00   |
| <b>B. Application Maintenance Costs</b>   | \$100,275                     | \$0                            | \$100,275  | \$100,275                     | \$0                            | \$100,275  | \$100,275                     | \$0                            | \$100,275  | \$100,275                     | \$0  | \$100,275  | \$100,275                     | \$0                            | \$100,275  |
| B-1. Managed Services (Staffing)  | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0  | \$0  | \$0                           | \$0                            | \$0  |
| B-2. Hardware   | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0  | \$0  | \$0                           | \$0                            | \$0  |
| B-3. Software   | \$100,275                     | \$0                            | \$100,275  | \$100,275                     | \$0                            | \$100,275  | \$100,275                     | \$0                            | \$100,275  | \$100,275                     | \$0  | \$100,275  | \$100,275                     | \$0                            | \$100,275  |
| B-4. Other <i>Specify</i>   | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0  | \$0  | \$0                           | \$0                            | \$0  |
| <b>C. Data Center Provider Costs</b>  | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0  | \$0  | \$0                           | \$0                            | \$0  |
| C-1. Managed Services (Staffing)  | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0  | \$0  | \$0                           | \$0                            | \$0  |
| C-2. Infrastructure   | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0  | \$0  | \$0                           | \$0                            | \$0  |
| C-3. Network / Hosting Services   | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0  | \$0  | \$0                           | \$0                            | \$0  |
| C-4. Disaster Recovery  | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0  | \$0  | \$0                           | \$0                            | \$0  |
| C-5. Other <i>Specify</i>   | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0  | \$0  | \$0                           | \$0                            | \$0  |
| <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>   | \$342,275                     | \$0                            | \$342,275  | \$342,275                     | \$0                            | \$342,275  | \$342,275                     | \$0                            | \$342,275  | \$342,275                     | \$0  | \$342,275  | \$342,275                     | \$0                            | \$342,275  |
| <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>   |                               | \$0                            |  |                               | \$0                            |  |                               | \$0                            |  |                               | \$0  |  |                               | \$0                            |  |

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



CBAForm 2 - Project Cost Analysis

|  |   |   |
|--|---|---|
|  | Agency <u>Florida Department of Law Enforcement</u> | Project <u>Revenue Account Management System Reconfiguration for PALM</u> |
|--|---|---|

| PROJECT COST SUMMARY   | PROJECT COST SUMMARY (from CBAForm 2A) |             |             |             |             | TOTAL       |
|--|--|-------------|-------------|-------------|-------------|-------------|
|  | FY 2024-25                             | FY 2025-26  | FY 2026-27  | FY 2027-28  | FY 2028-29  |             |
| TOTAL PROJECT COSTS (*)  | \$1,116,000                            | \$980,000   | \$0         | \$0         | \$0         | \$2,096,000 |
| <b>CUMULATIVE PROJECT COSTS</b><br><i>(includes Current &amp; Previous Years' Project-Related Costs)</i> | \$1,116,000                            | \$2,096,000 | \$2,096,000 | \$2,096,000 | \$2,096,000 |             |
| Total Costs are carried forward to CBAForm3 Project Investment Summary worksheet.                        |  |             |             |             |             |             |

| PROJECT FUNDING SOURCES                | PROJECT FUNDING SOURCES - CBAForm 2B |             |             |             |             | TOTAL       |
|--|--------------------------------------|-------------|-------------|-------------|-------------|-------------|
|  | FY 2024-25                           | FY 2025-26  | FY 2026-27  | FY 2027-28  | FY 2028-29  |             |
| General Revenue                        | \$1,116,000                          | \$980,000   | \$0         | \$0         | \$0         | \$2,096,000 |
| 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         |
| <b>TOTAL INVESTMENT</b>                | \$1,116,000                          | \$980,000   | \$0         | \$0         | \$0         | \$2,096,000 |
| <b>CUMULATIVE INVESTMENT</b>           | \$1,116,000                          | \$2,096,000 | \$2,096,000 | \$2,096,000 | \$2,096,000 |             |

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



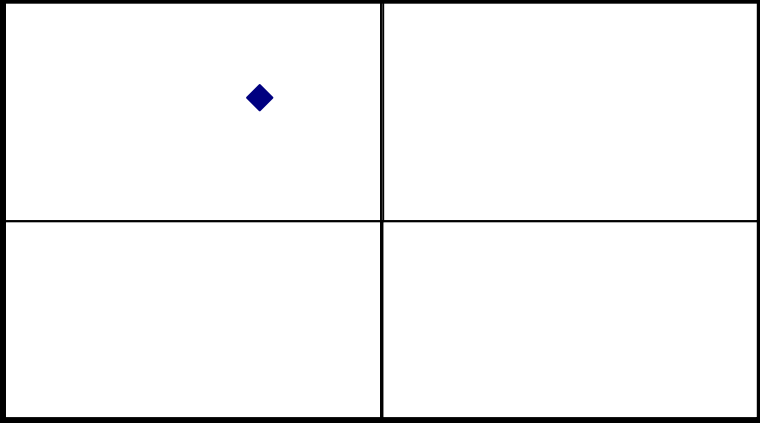
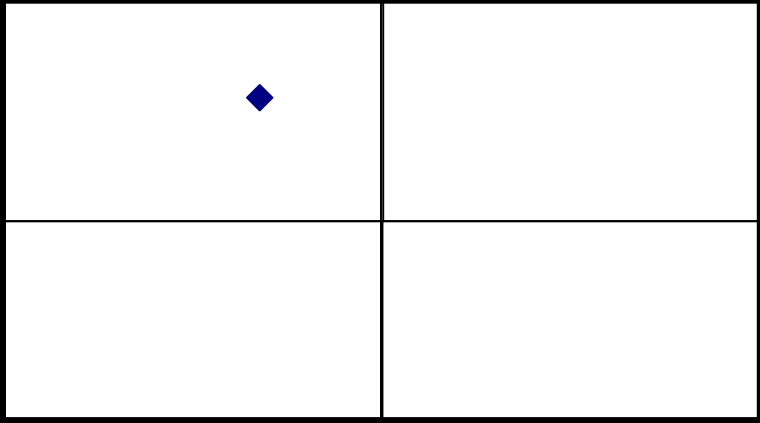
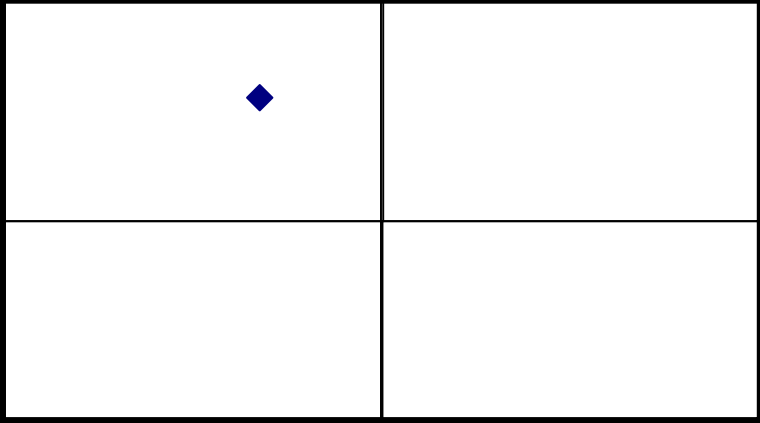
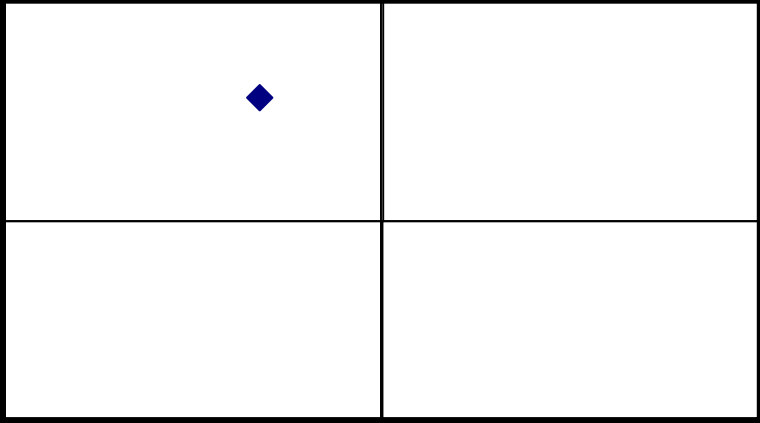
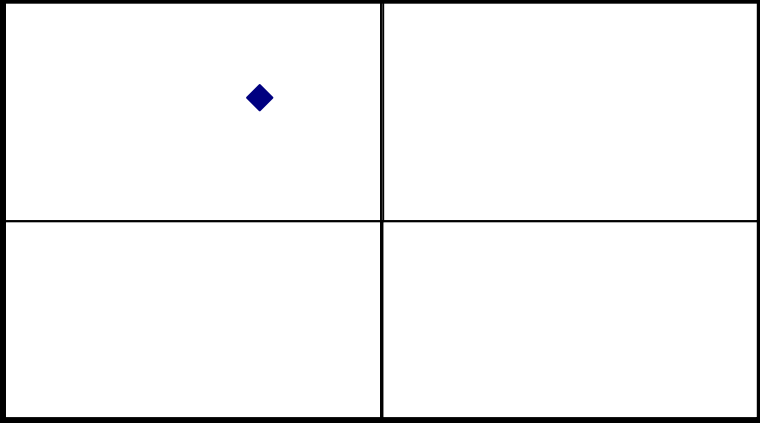
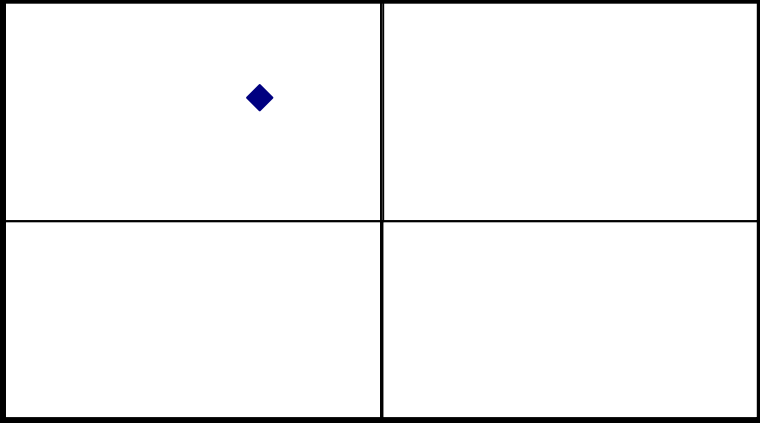
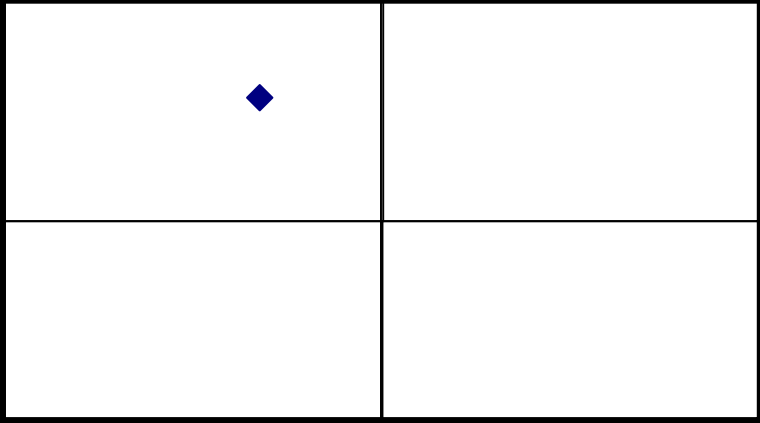
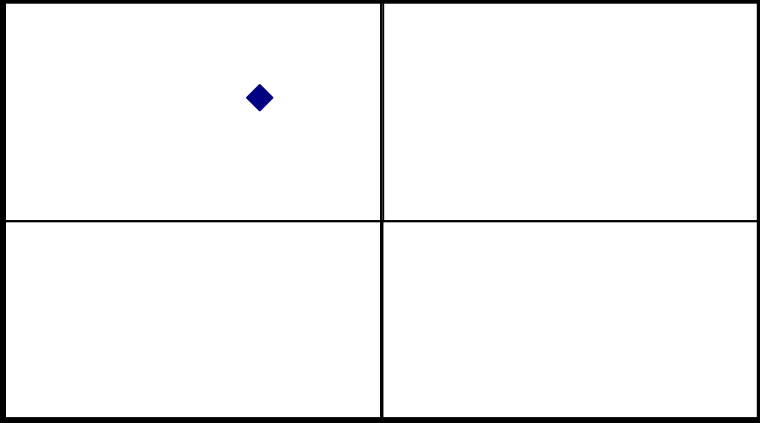
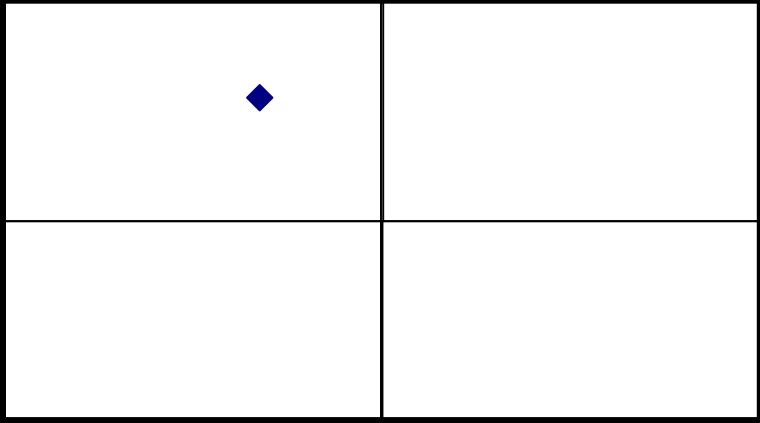
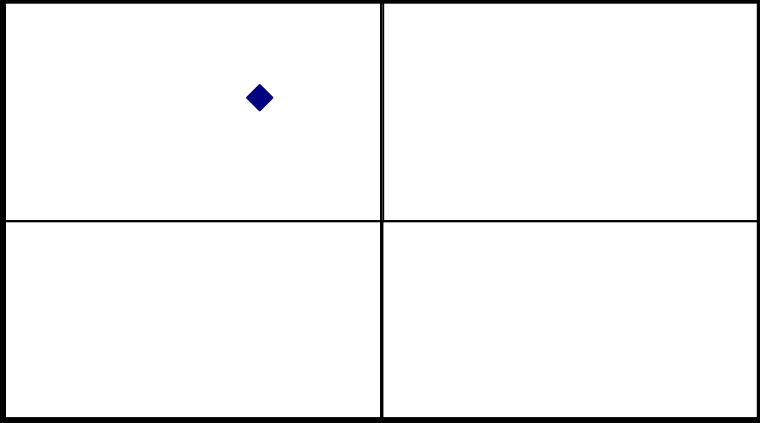
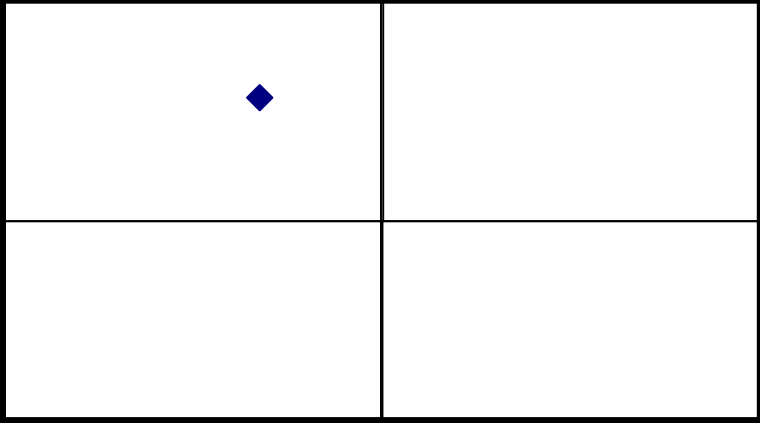
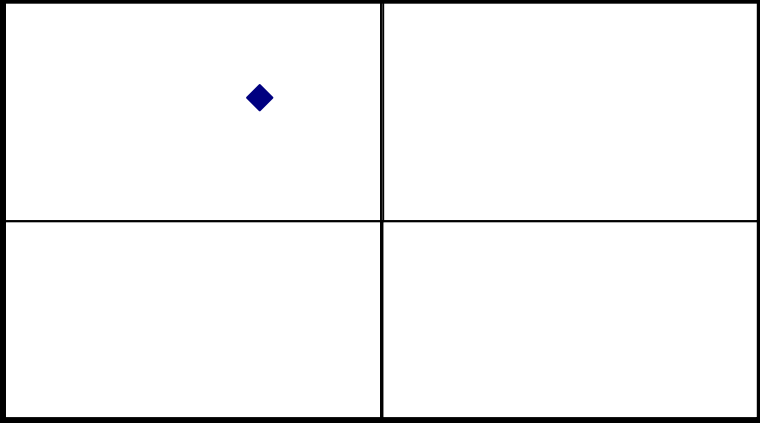
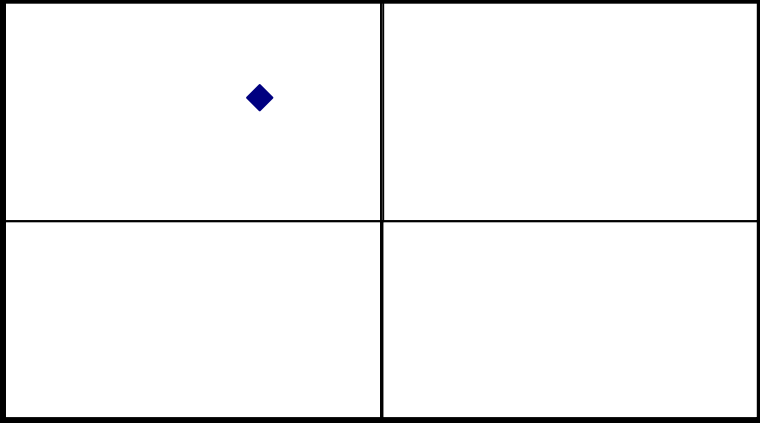
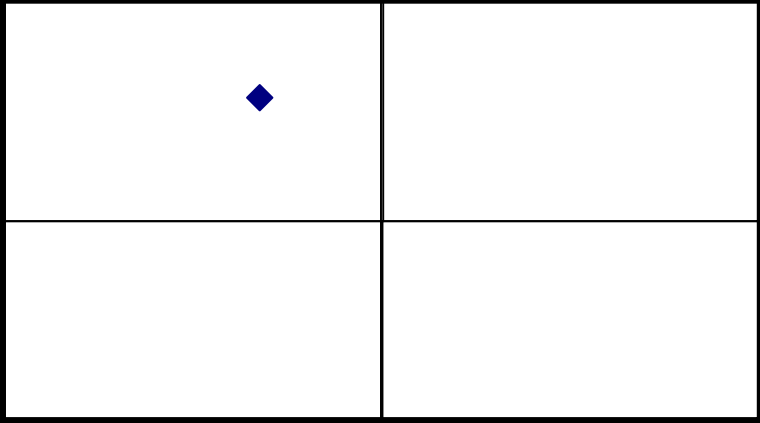
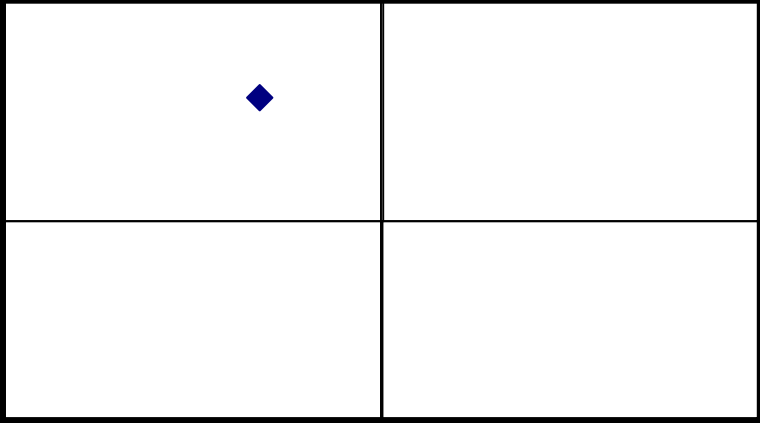
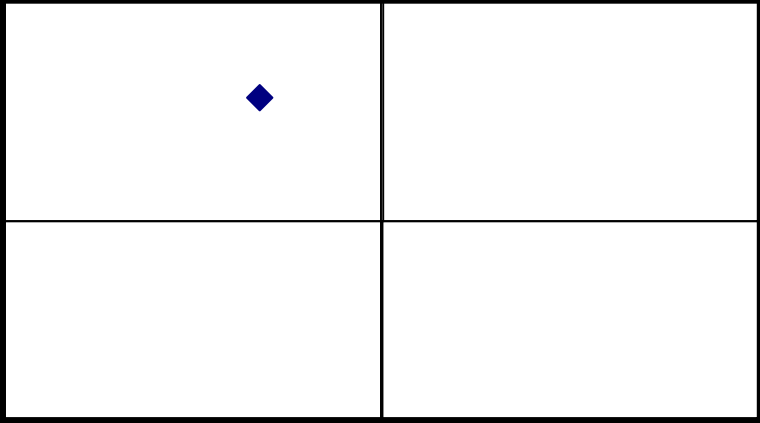
CBAForm 3 - Project Investment Summary

|        |  |   |
|--------|--|---|
| Agency | Florida Department of Law<br>Enforcement | Project <u>Management System Record</u> |
|--------|--|---|

| COST BENEFIT ANALYSIS -- CBAForm 3A     |               |               |               |               |               |                        |
|---|---------------|---------------|---------------|---------------|---------------|------------------------|
|   | FY<br>2024-25 | FY<br>2025-26 | FY<br>2026-27 | FY<br>2027-28 | FY<br>2028-29 | TOTAL FOR ALL<br>YEARS |
| Project Cost                            | \$1,116,000   | \$980,000     | \$0           | \$0           | \$0           | \$2,096,000            |
| Net Tangible Benefits                   | \$0           | \$0           | \$0           | \$0           | \$0           | \$0                    |
| Return on Investment                    | (\$1,116,000) | (\$980,000)   | \$0           | \$0           | \$0           | (\$2,096,000)          |
| Year to Year Change in Program Staffing | 0             | 0             | 0             | 0             | 0             |                        |

| RETURN ON INVESTMENT ANALYSIS -- CBAForm 3B |               |   |
|---|---------------|---|
| Payback Period (years)                      | NO PAYBACK    | Payback Period is the time required to recover the investment costs of the project.             |
| Breakeven Fiscal Year                       | NO PAYBACK    | Fiscal Year during which the project's investment costs are recovered.                          |
| Net Present Value (NPV)                     | (\$2,006,501) | 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<br>Year                                  | FY<br>2024-25 | FY<br>2025-26 | FY<br>2026-27 | FY<br>2027-28 | FY<br>2028-29 |
| Cost of Capital                                 | 2.90%         | 3.10%         | 3.30%         | 3.40%         | 3.50%         |

|    | B   | C   | D  | E                                    | F | G                | H   |   |                              |                              |  |  |   |   |                              |                              |  |  |   |   |                              |                              |  |  |   |   |                              |                              |  |  |  |   |  |                              |  |                      |  |   |  |                              |  |  |  |   |  |                              |  |  |  |   |  |                              |  |  |  |   |  |                              |  |  |  |   |  |                              |  |  |  |
|----|---|---|--|--------------------------------------|---|------------------|---|---|------------------------------|------------------------------|--|--|---|---|------------------------------|------------------------------|--|--|---|---|------------------------------|------------------------------|--|--|---|---|------------------------------|------------------------------|--|--|--|---|--|------------------------------|--|----------------------|--|---|--|------------------------------|--|--|--|---|--|------------------------------|--|--|--|---|--|------------------------------|--|--|--|---|--|------------------------------|--|--|--|---|--|------------------------------|--|--|--|
| 3  | <b>Project</b>  |   | <i>RAMS Reconfiguration for PALM</i>         |                                      |   |                  |   |   |                              |                              |  |  |   |   |                              |                              |  |  |   |   |                              |                              |  |  |   |   |                              |                              |  |  |  |   |  |                              |  |                      |  |   |  |                              |  |  |  |   |  |                              |  |  |  |   |  |                              |  |  |  |   |  |                              |  |  |  |   |  |                              |  |  |  |
| 4  |   |   |  |                                      |   |                  |   |   |                              |                              |  |  |   |   |                              |                              |  |  |   |   |                              |                              |  |  |   |   |                              |                              |  |  |  |   |  |                              |  |                      |  |   |  |                              |  |  |  |   |  |                              |  |  |  |   |  |                              |  |  |  |   |  |                              |  |  |  |   |  |                              |  |  |  |
| 5  | <b>Agency</b>   |   | <i>Florida Department of Law Enforcement</i> |                                      |   |                  |   |   |                              |                              |  |  |   |   |                              |                              |  |  |   |   |                              |                              |  |  |   |   |                              |                              |  |  |  |   |  |                              |  |                      |  |   |  |                              |  |  |  |   |  |                              |  |  |  |   |  |                              |  |  |  |   |  |                              |  |  |  |   |  |                              |  |  |  |
| 6  | <b>FY 2022-23 LBR Issue Code:</b>   |   |  | <b>FY 2022-23 LBR Issue Title:</b>   |   |                  |   |   |                              |                              |  |  |   |   |                              |                              |  |  |   |   |                              |                              |  |  |   |   |                              |                              |  |  |  |   |  |                              |  |                      |  |   |  |                              |  |  |  |   |  |                              |  |  |  |   |  |                              |  |  |  |   |  |                              |  |  |  |   |  |                              |  |  |  |
| 7  | <i>Issue Code</i>   |   |  | <i>RAMS Reconfiguration for PALM</i> |   |                  |   |   |                              |                              |  |  |   |   |                              |                              |  |  |   |   |                              |                              |  |  |   |   |                              |                              |  |  |  |   |  |                              |  |                      |  |   |  |                              |  |  |  |   |  |                              |  |  |  |   |  |                              |  |  |  |   |  |                              |  |  |  |   |  |                              |  |  |  |
| 8  | <b>Risk Assessment Contact Info (Name, Phone #, and E-mail Address):</b>            |   |  |                                      |   |                  |   |   |                              |                              |  |  |   |   |                              |                              |  |  |   |   |                              |                              |  |  |   |   |                              |                              |  |  |  |   |  |                              |  |                      |  |   |  |                              |  |  |  |   |  |                              |  |  |  |   |  |                              |  |  |  |   |  |                              |  |  |  |   |  |                              |  |  |  |
| 9  | <i>Becky Bezemek - 850-410-8459 - BeckyBezemek@fdle.state.fl.us</i>                 |   |  |                                      |   |                  |   |   |                              |                              |  |  |   |   |                              |                              |  |  |   |   |                              |                              |  |  |   |   |                              |                              |  |  |  |   |  |                              |  |                      |  |   |  |                              |  |  |  |   |  |                              |  |  |  |   |  |                              |  |  |  |   |  |                              |  |  |  |   |  |                              |  |  |  |
| 10 | <b>Executive Sponsor</b>  |   | <i>Mike Moore</i>                            |                                      |   |                  |   |   |                              |                              |  |  |   |   |                              |                              |  |  |   |   |                              |                              |  |  |   |   |                              |                              |  |  |  |   |  |                              |  |                      |  |   |  |                              |  |  |  |   |  |                              |  |  |  |   |  |                              |  |  |  |   |  |                              |  |  |  |   |  |                              |  |  |  |
| 11 | <b>Project Manager</b>  |   | <i>TBD - when funded</i>                     |                                      |   |                  |   |   |                              |                              |  |  |   |   |                              |                              |  |  |   |   |                              |                              |  |  |   |   |                              |                              |  |  |  |   |  |                              |  |                      |  |   |  |                              |  |  |  |   |  |                              |  |  |  |   |  |                              |  |  |  |   |  |                              |  |  |  |   |  |                              |  |  |  |
| 12 | <b>Prepared By</b>  |   | <i>Shajil Kalathil</i>                       |                                      |   | <i>5/27/2023</i> |   |   |                              |                              |  |  |   |   |                              |                              |  |  |   |   |                              |                              |  |  |   |   |                              |                              |  |  |  |   |  |                              |  |                      |  |   |  |                              |  |  |  |   |  |                              |  |  |  |   |  |                              |  |  |  |   |  |                              |  |  |  |   |  |                              |  |  |  |
| 14 | <b>Risk Assessment Summary</b>  |   |  |                                      |   |                  |   |   |                              |                              |  |  |   |   |                              |                              |  |  |   |   |                              |                              |  |  |   |   |                              |                              |  |  |  |   |  |                              |  |                      |  |   |  |                              |  |  |  |   |  |                              |  |  |  |   |  |                              |  |  |  |   |  |                              |  |  |  |   |  |                              |  |  |  |
| 15 |   |   |  |                                      |   |                  |   |   |                              |                              |  |  |   |   |                              |                              |  |  |   |   |                              |                              |  |  |   |   |                              |                              |  |  |  |   |  |                              |  |                      |  |   |  |                              |  |  |  |   |  |                              |  |  |  |   |  |                              |  |  |  |   |  |                              |  |  |  |   |  |                              |  |  |  |
| 16 | <b>Business Strategy</b>  |  |  | <b>Level of Project Risk</b>         |   |                  |   |   |                              |                              |  |  |   |   |                              |                              |  |  |   |   |                              |                              |  |  |   |   |                              |                              |  |  |  |   |  |                              |  |                      |  |   |  |                              |  |  |  |   |  |                              |  |  |  |   |  |                              |  |  |  |   |  |                              |  |  |  |   |  |                              |  |  |  |
| 17 |   |   |  |                                      |   |                  |   |  |                              | <b>Level of Project Risk</b> |  |  |   |   |                              |                              |  |  |   |   |                              |                              |  |  |   |   |                              |                              |  |  |  |   |  |                              |  |                      |  |   |  |                              |  |  |  |   |  |                              |  |  |  |   |  |                              |  |  |  |   |  |                              |  |  |  |   |  |                              |  |  |  |
| 18 |   |   |  |                                      |   |                  |   |   |                              |                              |  |  |   |  |                              | <b>Level of Project Risk</b> |  |  |   |   |                              |                              |  |  |   |   |                              |                              |  |  |  |   |  |                              |  |                      |  |   |  |                              |  |  |  |   |  |                              |  |  |  |   |  |                              |  |  |  |   |  |                              |  |  |  |   |  |                              |  |  |  |
| 19 |   |   |  |                                      |   |                  |   |   |                              |                              |  |  |   |   |                              |                              |  |  |   |  |                              | <b>Level of Project Risk</b> |  |  |   |   |                              |                              |  |  |  |   |  |                              |  |                      |  |   |  |                              |  |  |  |   |  |                              |  |  |  |   |  |                              |  |  |  |   |  |                              |  |  |  |   |  |                              |  |  |  |
| 20 |   |   |  |                                      |   |                  |   |   |                              |                              |  |  |   |   |                              |                              |  |  |   |   |                              |                              |  |  |   |  |                              | <b>Level of Project Risk</b> |  |  |  |   |  |                              |  |                      |  |   |  |                              |  |  |  |   |  |                              |  |  |  |   |  |                              |  |  |  |   |  |                              |  |  |  |   |  |                              |  |  |  |
| 21 |   |   |  |                                      |   |                  |   |   |                              |                              |  |  |   |   |                              |                              |  |  |   |   |                              |                              |  |  |   |   |                              |                              |  |  |  |  |  | <b>Level of Project Risk</b> |  |                      |  |   |  |                              |  |  |  |   |  |                              |  |  |  |   |  |                              |  |  |  |   |  |                              |  |  |  |   |  |                              |  |  |  |
| 22 |   |   |  |                                      |   |                  |   |   |                              |                              |  |  |   |   |                              |                              |  |  |   |   |                              |                              |  |  |   |   |                              |                              |  |  |  |   |  |                              |  |                      |  |  |  | <b>Level of Project Risk</b> |  |  |  |   |  |                              |  |  |  |   |  |                              |  |  |  |   |  |                              |  |  |  |   |  |                              |  |  |  |
| 23 |   |   |  |                                      |   |                  |   |   |                              |                              |  |  |   |   |                              |                              |  |  |   |   |                              |                              |  |  |   |   |                              |                              |  |  |  |   |  |                              |  |                      |  |   |  |                              |  |  |  |  |  | <b>Level of Project Risk</b> |  |  |  |   |  |                              |  |  |  |   |  |                              |  |  |  |   |  |                              |  |  |  |
| 24 |   |   |  |                                      |   |                  |   |   |                              |                              |  |  |   |   |                              |                              |  |  |   |   |                              |                              |  |  |   |   |                              |                              |  |  |  |   |  |                              |  |                      |  |   |  |                              |  |  |  |   |  |                              |  |  |  |  |  | <b>Level of Project Risk</b> |  |  |  |   |  |                              |  |  |  |   |  |                              |  |  |  |
| 25 |   |   |  |                                      |   |                  |   |   |                              |                              |  |  |   |   |                              |                              |  |  |   |   |                              |                              |  |  |   |   |                              |                              |  |  |  |   |  |                              |  |                      |  |   |  |                              |  |  |  |   |  |                              |  |  |  |   |  |                              |  |  |  |  |  | <b>Level of Project Risk</b> |  |  |  |   |  |                              |  |  |  |
| 26 |   |   |  |                                      |   |                  |   |   |                              |                              |  |  |   |   |                              |                              |  |  |   |   |                              |                              |  |  |   |   |                              |                              |  |  |  |   |  |                              |  |                      |  |   |  |                              |  |  |  |   |  |                              |  |  |  |   |  |                              |  |  |  |   |  |                              |  |  |  |  |  | <b>Level of Project Risk</b> |  |  |  |
| 27 |   |   |  |                                      |   |                  |   |   |                              |                              |  |  |   |   |                              |                              |  |  |   |   |                              |                              |  |  |   |   |                              |                              |  |  |  |   |  |                              |  |                      |  |   |  |                              |  |  |  |   |  |                              |  |  |  |   |  |                              |  |  |  |   |  |                              |  |  |  |   |  |                              |  |  |  |
| 28 |  |   | <b>Level of Project Risk</b>                 |                                      |   |                  |   |   |                              |                              |  |  |   |   |                              |                              |  |  |   |   |                              |                              |  |  |   |   |                              |                              |  |  |  |   |  |                              |  |                      |  |   |  |                              |  |  |  |   |  |                              |  |  |  |   |  |                              |  |  |  |   |  |                              |  |  |  |   |  |                              |  |  |  |
| 29 |   |   |  |                                      |   |                  |  |   | <b>Level of Project Risk</b> |                              |  |  |   |   |                              |                              |  |  |   |   |                              |                              |  |  |   |   |                              |                              |  |  |  |   |  |                              |  |                      |  |   |  |                              |  |  |  |   |  |                              |  |  |  |   |  |                              |  |  |  |   |  |                              |  |  |  |   |  |                              |  |  |  |
| 30 |   |   |  |                                      |   |                  |   |   |                              |                              |  |  |  |   | <b>Level of Project Risk</b> |                              |  |  |   |   |                              |                              |  |  |   |   |                              |                              |  |  |  |   |  |                              |  |                      |  |   |  |                              |  |  |  |   |  |                              |  |  |  |   |  |                              |  |  |  |   |  |                              |  |  |  |   |  |                              |  |  |  |
| 31 |   |   |  |                                      |   |                  |   |   |                              |                              |  |  |   |   |                              |                              |  |  |  |   | <b>Level of Project Risk</b> |                              |  |  |   |   |                              |                              |  |  |  |   |  |                              |  |                      |  |   |  |                              |  |  |  |   |  |                              |  |  |  |   |  |                              |  |  |  |   |  |                              |  |  |  |   |  |                              |  |  |  |
| 32 |   |   |  |                                      |   |                  |   |   |                              |                              |  |  |   |   |                              |                              |  |  |   |   |                              |                              |  |  |  |   | <b>Level of Project Risk</b> |                              |  |  |  |   |  |                              |  |                      |  |   |  |                              |  |  |  |   |  |                              |  |  |  |   |  |                              |  |  |  |   |  |                              |  |  |  |   |  |                              |  |  |  |
| 34 |   |   |  |                                      |   |                  |   |   |                              |                              |  |  |   |   |                              |                              |  |  |   |   |                              |                              |  |  |   |   |                              |                              |  |  | <b>Project Risk Area Breakdown</b>                 |   |  |                              |  |                      |  |   |  |                              |  |  |  |   |  |                              |  |  |  |   |  |                              |  |  |  |   |  |                              |  |  |  |   |  |                              |  |  |  |
| 35 |   |   |  |                                      |   |                  |   |   |                              |                              |  |  |   |   |                              |                              |  |  |   |   |                              |                              |  |  |   |   |                              |                              |  |  | <b>Risk Assessment Areas</b>                       |   |  |                              |  | <b>Risk Exposure</b> |  |   |  |                              |  |  |  |   |  |                              |  |  |  |   |  |                              |  |  |  |   |  |                              |  |  |  |   |  |                              |  |  |  |
| 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>LOW</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>LOW</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  | Agency: Florida Department of Law Enforcement |   | Project: RAMS Reconfiguration for PALM   |   |
| 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  | 81% to 100% -- All or nearly all defined and documented     |
| 18 |   |   | 41% to 80% -- Some defined and documented  |   |
| 19 |   |   | 81% to 100% -- All or nearly all defined and documented  |   |
| 20 | 1.06  | Are all needed changes in law, rule, or policy identified and documented?   | No changes needed  | No changes needed   |
| 21 |   |   | Changes unknown  |   |
| 22 |   |   | Changes are identified in concept only   |   |
| 23 |   |   | Changes are identified and documented  |   |
| 24 |   |   | Legislation or proposed rule change is drafted   |   |
| 25 | 1.07  | Are any project phase or milestone completion dates fixed by outside factors, e.g., state or federal law or funding restrictions?                     | Few or none  | Few or none   |
| 26 |   |   | Some   |   |
| 27 |   |   | All or nearly all  |   |
| 28 | 1.08  | What is the external (e.g. public) visibility of the proposed system or project?  | Minimal or no external use or visibility   | 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  | Agency: Florida Department of Law Enforcement |  | Project: RAMS Reconfiguration for PALM   |  |
| 3  | Section 2 -- Technology Area                  |  |  |  |
| 4  | #   | Criteria   | Values   | Answer   |
| 5  | 2.01  | Does the agency have experience working with, operating, and supporting the proposed technical solution in a production environment?   | Read about only or attended conference and/or vendor presentation  | Installed and supported production system more than 3 years  |
| 6  |   |  | Supported prototype or production system less than 6 months  |  |
| 7  |   |  | Supported production system 6 months to 12 months  |  |
| 8  |   |  | Supported production system 1 year to 3 years  |  |
| 9  |   |  | Installed and supported production system more than 3 years  |  |
| 10 | 2.02  | Does the agency's internal staff have sufficient knowledge of the proposed technical solution to implement and operate the new system? | External technical resources will be needed for implementation and operations  | External technical resources will be needed through implementation only  |
| 11 |   |  | External technical resources will be needed through implementation only  |  |
| 12 |   |  | Internal resources have sufficient knowledge for implementation and operations                                       |  |
| 13 | 2.03  | Have all relevant technical alternatives/ solution options been researched, documented and considered?                                 | No technology alternatives researched  | All or nearly all alternatives documented and considered   |
| 14 |   |  | Some alternatives documented and considered  |  |
| 15 |   |  | All or nearly all alternatives documented and considered   |  |
| 16 | 2.04  | Does the proposed technical solution comply with all relevant agency, statewide, or industry technology standards?                     | No relevant standards have been identified or incorporated into proposed technology                                  | Proposed technology solution is fully compliant with all relevant agency, statewide, or industry standards           |
| 17 |   |  | Some relevant standards have been incorporated into the proposed technology  |  |
| 18 |   |  | Proposed technology solution is fully compliant with all relevant agency, statewide, or industry standards           |  |
| 19 | 2.05  | Does the proposed technical solution require significant change to the agency's existing technology infrastructure?                    | Minor or no infrastructure change required   | Moderate infrastructure change required  |
| 20 |   |  | Moderate infrastructure change required  |  |
| 21 |   |  | Extensive infrastructure change required   |  |
| 22 |   |  | Complete infrastructure replacement  |  |
| 23 | 2.06  | Are detailed hardware and software capacity requirements defined and documented?   | Capacity requirements are not understood or defined  | Capacity requirements are based on historical data and new system design specifications and performance requirements |
| 24 |   |  | Capacity requirements are defined only at a conceptual level   |  |
| 25 |   |  | Capacity requirements are based on historical data and new system design specifications and performance requirements |  |

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

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

|    | B   | C  | D   | E  |
|----|---|--|---|--|
| 1  | Agency: Florida Department of Law Enforcement |  | Project: RAMS Reconfiguration for PALM  |  |
| 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 \$500K and \$1,999,999   |
| 11 |   |  | Greater than \$10 M   |  |
| 12 |   |  | Between \$2 M and \$10 M  |  |
| 13 |   |  | Between \$500K and \$1,999,999  |  |
| 14 |   |  | Less than \$500 K   |  |
| 15 | 5.04  | Is the cost estimate for this project based on quantitative analysis using a standards-based estimation model?   | Yes   | Yes  |
| 16 |   |  | No  |  |
| 17 | 5.05  | What is the character of the cost estimates for this project?  | Detailed and rigorous (accurate within ±10%)  | Detailed and rigorous (accurate within ±10%)   |
| 18 |   |  | Order of magnitude -- estimate could vary between 10-100%   |  |
| 19 |   |  | Placeholder -- actual cost may exceed estimate by more than 100%                                      |  |
| 20 | 5.06  | Are funds available within existing agency resources to complete this project?   | Yes   | No   |
| 21 |   |  | No  |  |
| 22 | 5.07  | Will/should multiple state or local agencies help fund this project or system?   | Funding from single agency  | Funding from single agency   |
| 23 |   |  | Funding from local government agencies  |  |
| 24 |   |  | Funding from other state agencies   |  |
| 25 | 5.08  | If federal financial participation is anticipated as a source of funding, has federal approval been requested and received?  | Neither requested nor received  | Not applicable   |
| 26 |   |  | Requested but not received  |  |
| 27 |   |  | Requested and received  |  |
| 28 |   |  | Not applicable  |  |
| 29 | 5.09  | Have all tangible and intangible benefits been identified and validated as reliable and achievable?  | Project benefits have not been identified or validated  | All or nearly all project benefits have been identified and validated                          |
| 30 |   |  | Some project benefits have been identified but not validated  |  |
| 31 |   |  | Most project benefits have been identified but not validated  |  |
| 32 |   |  | All or nearly all project benefits have been identified and validated                                 |  |
| 33 | 5.10  | What is the benefit payback period that is defined and documented?   | Within 1 year   | 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)  | Firm Fixed Price (FFP)   |
| 42 |   |  | Firm Fixed Price (FFP)  |  |
| 43 |   |  | Combination FFP and T&E   |  |
| 44 | 5.13  | What is the planned approach for procuring hardware and software for the project?  | Timing of major hardware and software purchases has not yet been determined                           | Purchase all hardware and software at start of project to take advantage of one-time discounts |
| 45 |   |  | Purchase all hardware and software at start of project to take advantage of one-time discounts        |  |
| 46 |   |  | Just-in-time purchasing of hardware and software is documented in the project schedule                |  |
| 47 | 5.14  | Has a contract manager been assigned to this project?  | No contract manager assigned  | Contract manager is the procurement manager  |
| 48 |   |  | Contract manager is the procurement manager   |  |
| 49 |   |  | Contract manager is the project manager   |  |
| 50 |   |  | Contract manager assigned is not the procurement manager or the project manager                       |  |
| 51 | 5.15  | Has equipment leasing been considered for the project's large-scale computing purchases?   | Yes   | No   |
| 52 |   |  | No  |  |
| 53 | 5.16  | Have all procurement selection criteria and outcomes been clearly identified?  | No selection criteria or outcomes have been identified  | Some selection criteria and outcomes have been defined and documented                          |
| 54 |   |  | Some selection criteria and outcomes have been defined and documented                                 |  |
| 55 |   |  | All or nearly all selection criteria and expected outcomes have been defined and documented           |  |
| 56 | 5.17  | Does the procurement strategy use a multi-stage evaluation process to progressively narrow the field of prospective vendors to the single, best qualified candidate? | Procurement strategy has not been developed   | Multi-stage evaluation not planned/used for procurement  |
| 57 |   |  | Multi-stage evaluation not planned/used for procurement   |  |
| 58 |   |  | Multi-stage evaluation and proof of concept or prototype planned/used to select best qualified vendor |  |
| 59 | 5.18  | For projects with total cost exceeding \$10 million, did/will the procurement strategy require a proof of concept or prototype as part of the bid response?          | Procurement strategy has not been developed   | Not applicable   |
| 60 |   |  | No, bid response did/will not require proof of concept or prototype                                   |  |
| 61 |   |  | Yes, bid response did/will include proof of concept or prototype                                      |  |
| 62 |   |  | Not applicable  |  |

|    | B   | C  | D  | E  |
|----|---|--|--|--|
| 1  | Agency: Florida Department of Law Enforcement |  | Project: RAMS Reconfiguration for PALM   |  |
| 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  | 1  |
| 14 |   |  | 2  |  |
| 15 |   |  | 1  |  |
| 16 | 6.05  | Has a project staffing plan specifying the number of required resources (including project team, program staff, and contractors) and their corresponding roles, responsibilities and needed skill levels been developed? | Needed staff and skills have not been identified   | 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   | No, business, functional or technical experts dedicated 50% or less to project                     |
| 24 |   |  | No, business, functional or technical experts dedicated 50% or less to project                                 |  |
| 25 |   |  | No, business, functional or technical experts dedicated more than half-time but less than full-time to project |  |
| 26 |   |  | Yes, business, functional or technical experts dedicated full-time, 100% to project                            |  |
| 27 | 6.08  | Does the agency have the necessary knowledge, skills, and abilities to staff the project team with in-house resources?   | Few or no staff from in-house resources  | Few or no staff from in-house resources  |
| 28 |   |  | Half of staff from in-house resources  |  |
| 29 |   |  | Mostly staffed from in-house resources   |  |
| 30 |   |  | Completely staffed from in-house resources   |  |
| 31 | 6.09  | Is agency IT personnel turnover expected to significantly impact this project?   | Minimal or no impact   | Minimal or no impact   |
| 32 |   |  | Moderate impact  |  |
| 33 |   |  | Extensive impact   |  |
| 34 | 6.10  | Does the project governance structure establish a formal change review and control board to address proposed changes in project scope, schedule, or cost?  | Yes  | Yes  |
| 35 |   |  | No   |  |
| 36 | 6.11  | Are all affected stakeholders represented by functional manager on the change review and control board?  | No board has been established  | Yes, all stakeholders are represented by functional manager  |
| 37 |   |  | No, only IT staff are on change review and control board   |  |
| 38 |   |  | No, all stakeholders are not represented on the board  |  |
| 39 |   |  | Yes, all stakeholders are represented by functional manager  |  |



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

|    | B   | C  | D  | E  |
|----|---|--|--|--|
| 1  | Agency: Florida Department of Law Enforcement |  | Project: RAMS Reconfiguration for PALM   |  |
| 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  | Single location  |
| 10 |   |  | 3 sites or fewer   |  |
| 11 |   |  | More than 3 sites  |  |
| 12 | 8.03  | Are the project team members dispersed across multiple cities, counties, districts, or regions?  | Single location  | Single location  |
| 13 |   |  | 3 sites or fewer   |  |
| 14 |   |  | More than 3 sites  |  |
| 15 | 8.04  | How many external contracting or consulting organizations will this project require?   | No external organizations  | More than 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  | Less than 5  |
| 19 |   |  | 9 to 15  |  |
| 20 |   |  | 5 to 8   |  |
| 21 |   |  | Less than 5  |  |
| 22 | 8.06  | How many external entities (e.g., other agencies, community service providers, or local government entities) will be impacted by this project or system? | More than 4  | 2 to 4   |
| 23 |   |  | 2 to 4   |  |
| 24 |   |  | 1  |  |
| 25 |   |  | None   |  |
| 26 | 8.07  | What is the impact of the project on state operations?   | Business process change in single division or bureau   | Agency-wide business process change  |
| 27 |   |  | Agency-wide business process change  |  |
| 28 |   |  | Statewide or multiple agency business process change   |  |
| 29 | 8.08  | Has the agency successfully completed a similarly-sized project when acting as Systems Integrator?   | Yes  | Yes  |
| 30 |   |  | No   |  |
| 31 | 8.09  | What type of project is this?  | Infrastructure upgrade   | Implementation requiring software development or purchasing commercial off the shelf (COTS) software |
| 32 |   |  | Implementation requiring software development or purchasing commercial off the shelf (COTS) software |  |
| 33 |   |  | Business Process Reengineering   |  |
| 34 |   |  | Combination of the above   |  |
| 35 | 8.10  | Has the project manager successfully managed similar projects to completion?   | No recent experience   | Greater size and complexity  |
| 36 |   |  | Lesser size and complexity   |  |
| 37 |   |  | Similar size and complexity  |  |
| 38 |   |  | Greater size and complexity  |  |
| 39 | 8.11  | Does the agency management have experience governing projects of equal or similar size and complexity to successful completion?                          | No recent experience   | Greater size and complexity  |
| 40 |   |  | Lesser size and complexity   |  |
| 41 |   |  | Similar size and complexity  |  |
| 42 |   |  | Greater size and complexity  |  |

# Appendix D – Project Schedule

| WBS | Task Name                          | Duration   | Start        | Finish       | 2025  |     |     |     |     |     |     |     |     |     |     |     | 2026 |  |  |
|-----|------------------------------------|------------|--------------|--------------|---|-----|-----|-----|-----|-----|-----|-----|-----|-----|-----|-----|------|--|--|
|     |                                    |            |              |              | May   | Jul | Sep | Nov | Jan | Mar | May | Jul | Sep | Nov | Jan | Mar | May  |  |  |
| 0   | RAMS - PALM Compliance Remediation | 521.5 days | Mon 7/1/24   | Tue 6/30/26  | [Gantt bar spanning from Mon 7/1/24 to Tue 6/30/26] |     |     |     |     |     |     |     |     |     |     |     |      |  |  |
| 1   | Define Scope                       | 3.5 days   | Mon 7/1/24   | Thu 7/4/24   | [Gantt bar from Mon 7/1/24 to Thu 7/4/24]           |     |     |     |     |     |     |     |     |     |     |     |      |  |  |
| 2   | Onboard Resources                  | 40 days    | Thu 7/4/24   | Thu 8/29/24  | [Gantt bar from Thu 7/4/24 to Thu 8/29/24]          |     |     |     |     |     |     |     |     |     |     |     |      |  |  |
| 3   | Analysis/Requirements              | 65.5 days  | Thu 8/29/24  | Thu 11/28/24 | [Gantt bar from Thu 8/29/24 to Thu 11/28/24]        |     |     |     |     |     |     |     |     |     |     |     |      |  |  |
| 4   | Design                             | 159 days   | Thu 9/19/24  | Wed 4/30/25  | [Gantt bar from Thu 9/19/24 to Wed 4/30/25]         |     |     |     |     |     |     |     |     |     |     |     |      |  |  |
| 5   | Configuration                      | 82 days    | Wed 4/30/25  | Fri 8/22/25  | [Gantt bar from Wed 4/30/25 to Fri 8/22/25]         |     |     |     |     |     |     |     |     |     |     |     |      |  |  |
| 6   | Customization                      | 73 days    | Wed 5/14/25  | Mon 8/25/25  | [Gantt bar from Wed 5/14/25 to Mon 8/25/25]         |     |     |     |     |     |     |     |     |     |     |     |      |  |  |
| 7   | Testing                            | 158 days   | Wed 4/30/25  | Mon 12/8/25  | [Gantt bar from Wed 4/30/25 to Mon 12/8/25]         |     |     |     |     |     |     |     |     |     |     |     |      |  |  |
| 7.1 | Develop Test Plans                 | 80 days    | Wed 4/30/25  | Wed 8/20/25  | [Gantt bar from Wed 4/30/25 to Wed 8/20/25]         |     |     |     |     |     |     |     |     |     |     |     |      |  |  |
| 7.2 | System Integration Testing-1       | 14 days    | Fri 8/22/25  | Thu 9/11/25  | [Gantt bar from Fri 8/22/25 to Thu 9/11/25]         |     |     |     |     |     |     |     |     |     |     |     |      |  |  |
| 7.3 | System Integration Testing-2       | 14 days    | Thu 9/11/25  | Wed 10/1/25  | [Gantt bar from Thu 9/11/25 to Wed 10/1/25]         |     |     |     |     |     |     |     |     |     |     |     |      |  |  |
| 7.4 | System Integration Testing-3       | 14 days    | Wed 10/1/25  | Tue 10/21/25 | [Gantt bar from Wed 10/1/25 to Tue 10/21/25]        |     |     |     |     |     |     |     |     |     |     |     |      |  |  |
| 7.5 | User Acceptance Testing-1          | 17 days    | Tue 10/21/25 | Thu 11/13/25 | [Gantt bar from Tue 10/21/25 to Thu 11/13/25]       |     |     |     |     |     |     |     |     |     |     |     |      |  |  |
| 7.6 | User Acceptance Testing-2          | 17 days    | Thu 11/13/25 | Mon 12/8/25  | [Gantt bar from Thu 11/13/25 to Mon 12/8/25]        |     |     |     |     |     |     |     |     |     |     |     |      |  |  |
| 8   | Deployment                         | 37 days    | Tue 10/21/25 | Thu 12/11/25 | [Gantt bar from Tue 10/21/25 to Thu 12/11/25]       |     |     |     |     |     |     |     |     |     |     |     |      |  |  |
| 9   | Post Implementation Review         | 143 days   | Thu 12/11/25 | Tue 6/30/26  | [Gantt bar from Thu 12/11/25 to Tue 6/30/26]        |     |     |     |     |     |     |     |     |     |     |     |      |  |  |



# **Revenue Account Management System (RAMS) Reconfiguration for PALM**

## **System Requirements Document**



## Table of Contents

|  |    |
|--|----|
| 1. Revision History .....              | 1  |
| 2. Introduction.....                   | 2  |
| 2.1. Purpose.....                      | 2  |
| 2.2. Business Context .....            | 2  |
| 2.3. Scope .....                       | 2  |
| 3. Project Description .....           | 5  |
| 3.1. Project Context.....              | 5  |
| 4. Specific Requirements .....         | 6  |
| 4.1. Functional Requirements .....     | 6  |
| 4.2. Non-Functional Requirements ..... | 22 |



### 1. Revision History

Identify changes to the Requirements document.

| Version # | Date   | Name   | Description      |
|-----------|--------|--|------------------|
| 1.0       | 4/2023 | Ajay Katta,<br>Sudha Gorijavolu,<br>Melody Gillander,<br>Shajil Kalathil | Initial Creation |
|           |        |  |                  |
|           |        |  |                  |
|           |        |  |                  |
|           |        |  |                  |
|           |        |  |                  |



## 2. Introduction

### 2.1. Purpose

These requirements pertain to the reconfiguration of RAMS system for PALM. The RAMS system comprises various application components. The reconfiguration process aims to ensure compatibility with PALM, encompassing cash receipts and account receivable activities. Currently, RAMS generates accounting codes in compliance with the chart of accounts. The updated system must adhere to the PALM chart of accounts, and all necessary accounting information should be seamlessly uploaded from RAMS to PALM. Apart from accounting functions, the RAMS system also interfaces with external systems through various data interfaces involving data transfers.

### 2.2. Business Context

The Office of Financial Management (OFM) plays a crucial role in safeguarding FDLE's financial information and records. Their primary responsibilities include ensuring data accuracy, protection, and compliance with accounting standards. OFM handles the collection and recording of revenue and accounts receivables, guarantees accurate and timely payment of member reimbursements and vendor invoices, and conducts financial record reconciliation.

RAMS serves as a vital interface with multiple internal criminal justice information systems, such as the CWCS, SHIELD, FALCON, FES, CCSservice, and E-Pay. Additionally, RAMS interacts with external agencies like DOR, and DFS to manage customer information, billing, and payments.

Due to the recent restructuring of the PALM project in January 2023, FDLE is required to retain RAMS and incorporate specific modules that will not be available in PALM. It is essential to update RAMS to ensure compatibility with PALM, as failure to do so would result in FDLE's inability to manage receivables, cash receipts, and upload transactions to the state accounting system. Thus, reconfiguring RAMS to make it PALM compliant is critical for FDLE to maintain accurate accounting processes and integrate with the overall financial management system. The next section details the scope.

### 2.3. Scope

The RAMS system is comprised of several components; these components must be reconfigured to support PALM's accounting structure. The following components must be reconfigured to make them PALM compliant:

1. General Ledger:
  - a. Accounting setups
  - b. Accounting calendar
  - c. Journals
  - d. Posting
  - e. Open/close accounting periods
  
2. Accounts Receivables
  - a. Import monthly invoices from application



- b. Generate Balance Forward Billing
- c. Generate FPP printable individual invoices
- d. Generate data extracts of invoice
- e. Edit customer information
- f. Review and edit invoice
- g. Create manual invoices
- h. Identify incomplete invoices
- i. Adjust customer outstanding balance
- j. Automate application of receipts to invoices with outstanding balances
- k. Upload receivables transactions data from RAMS to PALM
- l. Provide reports/programs to reconcile with PALM application
- m. Provide reports/programs for day to day processing of transactions
- n. Create standard or miscellaneous receipts
- o. Provide ability to batch receipts deposited in bank
- p. Provide features to query, print and export details of customer, receipts and invoices
- q. Import customer-based receipts file to create standard receipts
- r. Apply standard receipts to outstanding invoices
- s. Import non-customer-based receipts file and create miscellaneous receipts
- t. Create standard and miscellaneous credit card receipts via E-Pay application
- u. Create, update and delete customer information
- v. Create and maintain customer profile classes
- w. Create and maintain Accounting calendar

### 3. Collections

- a. Track collections and write-off status of invoices
- b. Provide features to collect on delinquent accounts
- c. Record and update collection notes and comments
- d. Generate and send collection letters and statements to customers
- e. Conduct scoring of customer setups, outstanding invoice balances, age of invoices and a few other factors and identify delinquent accounts
- f. Provide a centralized workbench for collectors to view and manage overdue invoices, collection notes, and customer contact details
- g. Support ad-hoc query and analysis capabilities for custom reporting needs

### 4. Data Quality Management

- a. Run necessary background programs needed for data synchronization and peak performance.
- b. Validate data entered or modified in customer screens and ensure data meets predefined quality Trading Community Architecture (TCA) standards and business rules.
- c. Provide functionality to cleanse and standardize customer data. It should help identify and correct inconsistent, inaccurate, or duplicate data records.
- d. Ensure DQM integrates with various Oracle EBS modules, such as Customer Relationship Management (CRM), Human Resources (HR) and Accounts Receivables (AR). It should ensure data quality across different functional areas of the EBS system.

### 5. Security and Administration

- a. Create and maintain RAMS users.





- b. Create RAMS responsibilities (Security Controls) to allow only the appropriate users to view/update the data in application.
- c. Set or reset user passwords.
- d. Audit user status and roles.
- e. Provide access to application oracle forms irrespective of user's browser.
- f. Provide printing capabilities from application to network printers on Windows OS.



## 3. Project Description

### 3.1. Project Context

Florida PALM is the State of Florida's new enterprise resource planning (ERP) system housed in the cloud that replaces the State's current accounting and financial management system, FLAIR. In collaboration with agencies, the Florida PALM Team is developing and implementing a statewide system that will improve business operations in Florida and position it for future innovation. Beginning on July 1, 2014, the Florida PALM Project was launched. On July 20, 2018, a contract for integrated software and implementation support services was linked. In 2021, Florida PALM began the first phase of rollout by enabling cash management capabilities for the State in the new system. PALM is currently projected to go live January 1, 2026.

FDLE's Revenue Accounting Management System (RAMS) is a highly customized agency specific Oracle ERP Financials modules-based Accounts Receivable system. RAMS interacts with multiple internal criminal justice information systems (CWCS/SHIELD/FALCON/FES) and external applications (DOR/DFS) to maintain customer information and manage billing and payments. RAMS distributes invoices by mail only. For FY 21/22, RAMS processed ~ \$70 million in credit card payments, \$176 million in revenue management, and \$39 million in receipts.

FDLE initially planned to phase out RAMS and modify our current billing systems to communicate directly with PALM. This would have been a cost avoidance and given FDLE the capability to leverage PALM for its enhanced standardized functionalities. However, as a result of the recent restructuring (January 2023) of the PALM project, FDLE must retain RAMS and utilize certain modules that will not be available in PALM.



## 4. Specific Requirements

### 4.1. Functional Requirements

#### RAMS Business Processes

| BUSINESS PROCESS   |   |
|--|---|
| <b>Describe the Business Process:</b> Create and maintain RAMS users |   |
| <b>Priority of the Requirements for this Business Process:</b>       | Critical  |
| <b>Frequency this Business Process is Performed:</b>                 | As Needed   |
| FUNCTIONAL REQUIREMENTS  |   |
| Req. #   | Requirement   |
| 1  | The system shall create, edit, activate, and inactivate users.        |
| 2  | The system shall assign, enable, end date roles assigned to the user. |
| 3  | The system shall search for existing users by name.                   |
| 4  | The system shall assign default RAMS printer to users.                |

| BUSINESS PROCESS  |  |
|---|--|
| <b>Describe the Business Process:</b> Create RAMS responsibilities (Security Controls) to allow only the appropriate users to view/update the data in application |  |
| <b>Priority of the Requirements for this Business Process:</b>  | High   |
| <b>Frequency this Business Process is Performed:</b>  | As Needed - - users will be added as new RAMS users change job responsibilities and reports will be run as needed.   |
| FUNCTIONAL REQUIREMENTS   |  |
| Req. #  | Requirement  |
| 1   | The system shall provide role-based security (RBAC).<br>Current roles are: Receivables Manager, System Administrator, GL Super User etc.   |
| 2   | The system shall provide Administrators the ability to create, edit, activate, inactivate, or end date user and their responsibilities.(ex. add/update user access, reset passwords if user is unable to self-service reset password, lock/unlock accounts). |
| 3   | The system shall provide capability to assign specified users as collectors.   |
| 4   | The system shall provide either view only or modify access as required.  |
| 5   | The system shall provide a report, which indicates the RAMS users in each responsibility.  |
| 6   | The system shall provide history of updates on all data (date updated, updated by).  |
| 7   | The system shall provide audit reports of data updates made throughout the system. (ex. security changes, alert changes, case data changes).   |
| BUSINESS PROCESS  |  |
| <b>Describe the Business Process:</b> Set or reset user passwords   |  |
| <b>Priority of the Requirements for this Business Process:</b>  | critical   |
| <b>Frequency this Business Process is Performed:</b>  | As Needed  |



### FUNCTIONAL REQUIREMENTS

| Req. # | Requirement  |
|--------|--|
| 1      | The system shall have provision to assign or reset user passwords manually.              |
| 2      | The system shall have login assistance link allowing users to reset their own passwords. |
| 3      | The system shall follow FDLE policy for setting passwords.                               |

### BUSINESS PROCESS

|   |           |
|---|-----------|
| <b>Describe the Business Process:</b> Audit user status and roles |           |
| <b>Priority of the Requirements for this Business Process:</b>    | critical  |
| <b>Frequency this Business Process is Performed:</b>              | quarterly |

### FUNCTIONAL REQUIREMENTS

| Req. # | Requirement   |
|--------|---|
| 1      | The system shall provide a list of active users and their assigned roles. |

### BUSINESS PROCESS

|  |          |
|--|----------|
| <b>Describe the Business Process:</b> Import FPP monthly invoices file into RAMS to create receivables invoices for FPP customers. |          |
| <b>Priority of the Requirements for this Business Process:</b>   | Critical |
| <b>Frequency this Business Process is Performed:</b>   | Monthly  |

### FUNCTIONAL REQUIREMENTS

| Req. # | Requirement   |
|--------|---|
| 1      | The system shall provide capability to store FPP invoice flat file in a specific directory of RAMS application server.  |
| 2      | The system shall provide custom program to import the contents of flat file, derive other data in RAMS on basis of flat file fields and populate oracle invoice staging tables with data needed for creating invoices for the customer. |
| 3      | The system shall provide ability to create standard oracle invoices for all customers in flat file, when the oracle standard 'Autoinvoice Master Program' and 'Autoinvoice Import Program' jobs are executed.                           |
| 4      | The system shall provide details of both successful and error records for further review.   |

### BUSINESS PROCESS

|  |          |
|--|----------|
| <b>Describe the Business Process:</b> Import SHIELD monthly invoices file into RAMS to create receivables invoices for SHIELD customers. |          |
| <b>Priority of the Requirements for this Business Process:</b>   | Critical |
| <b>Frequency this Business Process is Performed:</b>   | Monthly  |

### FUNCTIONAL REQUIREMENTS

| Req. # | Requirement   |
|--------|---|
| 1      | The system shall provide capability to store SHIELD invoice flat file in a specific directory of RAMS application server.   |
| 2      | The system shall provide custom program to import the contents of flat file, derive other data in RAMS on basis of flat file fields and populate oracle invoice staging tables with data needed for creating invoices for the customer. |



|   |   |
|---|---|
| 3 | The system shall provide ability to create standard oracle invoices for all customers in flat file, when the oracle standard 'Autoinvoice Master Program' and 'Autoinvoice Import Program' jobs are executed. |
| 4 | The system shall provide details of both successful and error records for further review.   |

| BUSINESS PROCESS  |   |
|---|---|
| <b>Describe the Business Process:</b> Import FALCON monthly invoices files into RAMS to create receivables invoices for FALCON customers. |   |
| <b>Priority of the Requirements for this Business Process:</b>  | Critical  |
| <b>Frequency this Business Process is Performed:</b>  | Monthly   |
| FUNCTIONAL REQUIREMENTS   |   |
| Req. #  | Requirement   |
| 1   | The system shall provide capability to store FALCON invoice flat files (both for 1- and 5-year anniversary) in a specific directory of RAMS application server.   |
| 2   | The system shall provide custom program to import the contents of flat file, derive other data in RAMS on basis of flat file fields and populate oracle invoice staging tables with data needed for creating invoices for the customer. |
| 3   | The system shall provide ability to create standard oracle invoices for all customers in flat file, when the oracle standard 'Autoinvoice Master Program' and 'Autoinvoice Import Program' jobs are executed.                           |
| 4   | The system shall provide details of both successful and error records for further review.   |

| BUSINESS PROCESS   |   |
|--|---|
| <b>Describe the Business Process:</b> Import CWCS monthly invoices files into RAMS to create receivables invoices for CWCS customers |   |
| <b>Priority of the Requirements for this Business Process:</b>   | Critical  |
| <b>Frequency this Business Process is Performed:</b>   | Monthly   |
| FUNCTIONAL REQUIREMENTS  |   |
| Req. #   | Requirement   |
| 1  | The system shall provide capability to store Livescan/CWCS flat file in a specific directory of RAMS application server.  |
| 2  | The system shall provide custom program to import the contents of flat file, derive other data in RAMS on basis of flat file fields and populate oracle invoice staging tables with data needed for creating invoices for the customer. |
| 3  | The system shall provide ability to create standard oracle invoices for all customers in flat file, when the oracle standard 'Autoinvoice Master Program' and 'Autoinvoice Import Program' jobs are executed.                           |
| 4  | The system shall provide details of both successful and error records for further review.   |

| BUSINESS PROCESS   |          |
|--|----------|
| <b>Describe the Business Process:</b> Generate Balance Forward Billing (BFB) consolidated invoices using imported and manual individual invoices |          |
| <b>Priority of the Requirements for this Business Process:</b>   | Critical |



|  |   |
|--|---|
| <b>Frequency this Business Process is Performed:</b> | Monthly   |
| <b>FUNCTIONAL REQUIREMENTS</b>                       |   |
| <b>Req. #</b>  | <b>Requirement</b>  |
| 1  | The system must be able to combine imported lines into single invoices for each customer using Balance Forward Billing (BFB). |
| 2  | The system must be able to generate a PDF of BFB invoices in a specified format.  |

|  |  |
|--|--|
| <b>BUSINESS PROCESS</b>  |  |
| <b>Describe the Business Process:</b> Generate Firearms Purchase Program (FPP) printable individual invoices |  |
| <b>Priority of the Requirements for this Business Process:</b>   | Critical   |
| <b>Frequency this Business Process is Performed:</b>   | Monthly  |
| <b>FUNCTIONAL REQUIREMENTS</b>   |  |
| <b>Req. #</b>  | <b>Requirement</b>   |
| 1  | The system must be able to generate printable invoices for each FPP customer who had transactions on the import file.                        |
| 2  | The system must be able to generate FPP invoices in a specified format.  |
| 3  | The system must be able to print necessary coding (MICR code) at the appropriate place on the invoice to allow electronic processing by DOR. |

|  |  |
|--|--|
| <b>BUSINESS PROCESS</b>  |  |
| <b>Describe the Business Process:</b> Generate data extracts of invoice lines for specific high-volume transaction customers |  |
| <b>Priority of the Requirements for this Business Process:</b>   | Critical   |
| <b>Frequency this Business Process is Performed:</b>   | Monthly  |
| <b>FUNCTIONAL REQUIREMENTS</b>   |  |
| <b>Req. #</b>  | <b>Requirement</b>   |
| 1  | The system shall automate extraction of transaction lines for the month being invoiced and place on an FTP server. |
| 2  | The system shall manually generate the extract if the automatic extract is unsuccessful.                           |

|   |  |
|---|--|
| <b>BUSINESS PROCESS</b>   |  |
| <b>Describe the Business Process:</b> Edit customer information relevant to invoice import setups |  |
| <b>Priority of the Requirements for this Business Process:</b>                                    | Critical   |
| <b>Frequency this Business Process is Performed:</b>  | Monthly  |
| <b>FUNCTIONAL REQUIREMENTS</b>  |  |
| <b>Req. #</b>   | <b>Requirement</b>   |
| 1   | The system shall provide reports of specified customer set-up issues.            |
| 2   | The system shall correct customer set-up issues programmatically where possible. |



| BUSINESS PROCESS   |   |
|--|---|
| <b>Describe the Business Process:</b> Review and edit invoice errors in draft mode before generating final version of invoices |   |
| <b>Priority of the Requirements for this Business Process:</b>   | Critical  |
| <b>Frequency this Business Process is Performed:</b>   | Monthly   |
| FUNCTIONAL REQUIREMENTS  |   |
| Req. #   | Requirement   |
| 1  | The system shall provide a program to identify invoices with missing or incorrect object codes. |

| BUSINESS PROCESS   |   |
|--|---|
| <b>Describe the Business Process:</b> Create manual invoices   |   |
| <b>Priority of the Requirements for this Business Process:</b> | Critical  |
| <b>Frequency this Business Process is Performed:</b>           | As Needed   |
| FUNCTIONAL REQUIREMENTS  |   |
| Req. #   | Requirement   |
| 1  | The system shall have provision to create manual invoices for customer types not included in the Balance Forward Billing (BFB) or Firearms Purchase Program (FPP) import files. |
| 2  | The system shall have provision to create manual invoices for customers that experienced errors during the BFB or FPP imports.  |
| 3  | The system shall have provision to create manual invoices for other reasons as needed (NSF checks, etc.).   |

| BUSINESS PROCESS   |  |
|--|--|
| <b>Describe the Business Process:</b> Identify incomplete invoices |  |
| <b>Priority of the Requirements for this Business Process:</b>     | Critical   |
| <b>Frequency this Business Process is Performed:</b>               | Monthly  |
| FUNCTIONAL REQUIREMENTS  |  |
| Req. #   | Requirement  |
| 1  | The system shall provide a program to identify existing invoices that have not been marked as completed. |

| BUSINESS PROCESS   |           |
|--|-----------|
| <b>Describe the Business Process:</b> Adjust customer outstanding balance manually using credit or debit memos |           |
| <b>Priority of the Requirements for this Business Process:</b>   | Critical  |
| <b>Frequency this Business Process is Performed:</b>   | As Needed |
| FUNCTIONAL REQUIREMENTS  |           |



| Req. # | Requirement   |
|--------|---|
| 1      | The system shall have provision to create credit memo.  |
| 2      | The system shall have provision to apply credit memo to invoices or debit memos.  |
| 3      | The system shall have provision to create debit memo.   |
| 4      | The system shall have provision to apply debit memo to receipts or credit memos.  |
| 5      | The system shall provide a report of open credit and debit memos.   |
| 6      | The system shall have provision to assign account information to the credit memo or debit memo by bill-to customer type and transaction type. |
| 7      | The system shall have provision to allow users to enter accounting information manually for miscellaneous type credit or debit memos.         |
| 8      | The system shall have provision to allow users to edit pre-populated accounting information.  |
| 9      | The system shall have provision to allow users to create and edit comments/notes on credit/debit memos.                                       |

| BUSINESS PROCESS   |   |
|--|---|
| <b>Describe the Business Process:</b> Automate application of receipts to invoices with outstanding balances |   |
| <b>Priority of the Requirements for this Business Process:</b>   | Critical  |
| <b>Frequency this Business Process is Performed:</b>   | Weekly  |
| FUNCTIONAL REQUIREMENTS  |   |
| Req. #   | Requirement   |
| 1  | The system shall programmatically apply unapplied receipts to open invoices on the account.                                 |
| 2  | The system shall provide a user-maintained table of customers that should not have invoices automatically applied.          |
| 3  | The system shall generate a report of receipts that were programmatically applied.  |
| 4  | The system shall generate a list of customers with open invoices and open receipts that were not applied to those invoices. |

| BUSINESS PROCESS  |   |
|---|---|
| <b>Describe the Business Process:</b> Upload receivables transactions data from RAMS to FLAIR |   |
| <b>Priority of the Requirements for this Business Process:</b>                                | Critical  |
| <b>Frequency this Business Process is Performed:</b>  | Daily   |
| FUNCTIONAL REQUIREMENTS   |   |
| Req. #  | Requirement   |
| 1   | The system shall create and upload file of daily transactions in the required format to upload to FLAIR.            |
| 2   | The system shall provide a report that can be viewed in Excel to review the transactions to be uploaded for errors. |
| 3   | The system shall provide a user interface to make changes to the proposed upload file.                              |
| 4   | The system shall provide a way to regenerate the upload file after changes are made.                                |
| 5   | The system shall place the upload file onto an FTP server to be picked up by DFS FLAIR process.                     |
| 6   | The system shall provide a report on the following day of upload items that caused errors.                          |

| BUSINESS PROCESS  |  |
|---|--|
| <b>Describe the Business Process:</b> Provide access to application oracle forms irrespective of user's browser |  |





|  |  |
|--|--|
| <b>Priority of the Requirements for this Business Process:</b>   | Critical   |
| <b>Frequency this Business Process is Performed:</b>   | As Needed  |
| <b>FUNCTIONAL REQUIREMENTS</b>   |  |
| <b>Req. #</b>  | <b>Requirement</b>   |
| 1  | The system shall allow RAMS to run on the existing Java installation on a user's PC regardless of version.   |
| 2  | The system shall allow RAMS application oracle forms to be opened regardless of type of browser being used by user.  |
| <b>BUSINESS PROCESS</b>  |  |
| <b>Describe the Business Process:</b> Provide printing capabilities from application to network printers on Windows OS |  |
| <b>Priority of the Requirements for this Business Process:</b>   | High   |
| <b>Frequency this Business Process is Performed:</b>   | As needed  |
| <b>FUNCTIONAL REQUIREMENTS</b>   |  |
| <b>Req. #</b>  | <b>Requirement</b>   |
| 1  | System shall provide ability to print reports or any other RAMS documents directly from RAMS application.  |
| 2  | While processing print commands the system shall take care of synchronization issues between Linux based Operating System (OS) of RAMS and Windows based OS of user PC (using CUPS printer and printer drivers). |

|  |  |
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| <b>BUSINESS PROCESS</b>  |  |
| <b>Describe the Business Process:</b> Provide reports/programs to reconcile with FLAIR application |  |
| <b>Priority of the Requirements for this Business Process:</b>                                     | Critical   |
| <b>Frequency this Business Process is Performed:</b>   | Monthly  |
| <b>FUNCTIONAL REQUIREMENTS</b>   |  |
| <b>Req. #</b>  | <b>Requirement</b>   |
| 1  | The system shall provide a program to purge temporary journal import interface tables created by Subledger accounting module of oracle   |
| 2  | The system shall post all journals in GL module for period being reconciled.   |
| 3  | The system shall provide Trial Balance by Account Report (GL Module) needed for GL accounts reconciliation                               |
| 4  | The system shall provide a report with details of Invoice Aging (By Customer Account) Report with provision to export output into Excel. |
| 5  | The system shall provide GL Summary Account Information Report with details of debit and credit totals at account level                  |
| 6  | The system shall provide RAMS to FLAIR Reconciliation Report that compares GL balances in RAMS versus FLAIR accounts.                    |
| 8  | The system shall provide ability to verify that year end adjusting entries from the previous fiscal year were reversed.                  |



| BUSINESS PROCESS   |   |
|--|---|
| <b>Describe the Business Process:</b> Provide reports/programs for day to day processing of transactions |   |
| <b>Priority of the Requirements for this Business Process:</b>   | Critical  |
| <b>Frequency this Business Process is Performed:</b>   | Monthly   |
| FUNCTIONAL REQUIREMENTS  |   |
| Req. #   | Requirement   |
| 1  | The FDLE RAMS Customer overpayment and address details reports provides data of customers who have paid more than their balance of invoices.                      |
| 2  | System shall provide a report that gives list of state agencies with date and primary sales person information  |
| 3  | FDLE Receipts Report provides details of receipt date, GL date, customer account and receipt balances information and other data specific to FDLE requirements    |
| 4  | The system shall provide user ability to search for and view reports they have created.   |
| 5  | Receipt Register is a standard oracle report that is similar to FDLE Receipts Report without any customizations.  |
| 6  | Miscellaneous Receipt Register is a standard oracle report that provides details of miscellaneous receipts.   |
| 7  | The system shall provide a report with detail of Unapplied Receipts in FDLE specified layout  |
| 8  | The system shall provide a custom report that list details of outstanding invoice amounts by other state agencies to FDLE   |
| 9  | The system shall provide a report with detailed information about AR Deposit details per FDLE layout.   |
| 10   | The system shall provide details of all receipts related to Expunge payments  |
| 11   | The system shall provide a report with details of FDLE ORG and EO Combinations.   |
| 12   | The system shall provide a report with details of Chart of Accounts Listing.  |
| 13   | The system shall provide a report with details of Chart of Accounts Segment Values Listing.   |
| 14   | The system shall provide a Credit Memo Audit Report.  |
| 15   | The system shall provide a report that lists RAMS User by role and status.  |
| 16   | The system shall provide Debit Memo and Credit Memo Audit Reports with details of the each type of memo along with invoice/receipt balances and customer details. |
| BUSINESS PROCESS   |   |
| <b>Describe the Business Process:</b> System shall create standard or miscellaneous receipts             |   |
| <b>Priority of the Requirements for this Business Process:</b>   | Critical  |
| <b>Frequency this Business Process is Performed:</b>   | Daily   |
| FUNCTIONAL REQUIREMENTS  |   |
| Req. #   | Requirement   |
| 1  | The system shall create receipt batches.  |
| 2  | The system shall add receipts to receipt batches.   |
| 3  | The system shall add receipts independent of receipt batches.   |
| 4  | The system shall query receipt batches and individual receipts.   |
| 5  | The system shall manually assign receipt number to entered receipts.  |
| 6  | The system shall allow multiple receipts with the same receipt number to be created on a single customer.   |
| 7  | The system shall assign accounting information for standard receipts based on receipt class.  |
| 8  | Enter miscellaneous receipts.   |
| 9  | The system shall allow users to create and edit comments/notes on receipts.   |



|    |  |
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| 10 | The system shall reverse receipts.   |
| 11 | The system shall assign accounting information for miscellaneous receipts based on receipt activity or receipt method. |

| BUSINESS PROCESS  |  |
|---|--|
| <b>Describe the Business Process:</b> Provide ability to batch receipts deposited in bank |  |
| <b>Priority of the Requirements for this Business Process:</b>                            | Critical   |
| <b>Frequency this Business Process is Performed:</b>                                      | Daily  |
| FUNCTIONAL REQUIREMENTS   |  |
| Req. #  | Requirement  |
| 1   | The system shall assign receipts to a remittance batch.  |
| 2   | The system shall approve remittance batch.               |
| 3   | The system shall allow users to assign a deposit number. |

| BUSINESS PROCESS   |  |
|--|--|
| <b>Describe the Business Process:</b> Track collections and write-off status of invoices |  |
| <b>Priority of the Requirements for this Business Process:</b>                           | Critical   |
| <b>Frequency this Business Process is Performed:</b>                                     | Monthly  |
| FUNCTIONAL REQUIREMENTS  |  |
| Req. #   | Requirement  |
| 1  | The system shall allow users to edit the custom created collections and write-off status fields. |
| 2  | The system shall provide a report/listing of invoices by collections or write-off status fields. |

| BUSINESS PROCESS  |  |
|---|--|
| <b>Describe the Business Process:</b> System shall provide features to collect on delinquent accounts |  |
| <b>Priority of the Requirements for this Business Process:</b>  | Critical   |
| <b>Frequency this Business Process is Performed:</b>  | Daily  |
| FUNCTIONAL REQUIREMENTS   |  |
| Req. #  | Requirement  |
| 1   | The system shall provide a report of past due invoices by date.  |
| 2   | The system shall allow users to enter or edit contact information for customers on the Collections screen.   |
| 3   | The system shall identify delinquent invoices and mark for dunning.  |
| 4   | The system shall allow user to view and edit the dunning level of individual invoices.                       |
| 5   | The system shall provide a list of invoices for which letters were generated.                                |
| 6   | The system shall print dunning letters to pdf on a user-provided template.                                   |
| 7   | The system shall use different dunning letter language depending on type of invoice and number of days late. |
| 8   | The system must be able to generate a report of receipts applied to invoices for specific transaction date.  |



|   |  |
|---|--|
| 9 | The system shall generate a list of past due reports greater than 90 days past due to send to collections. |
|---|--|

| BUSINESS PROCESS  |   |
|---|---|
| <b>Describe the Business Process:</b> System shall provide features to query, print and export details of customer, receipts and invoices |   |
| <b>Priority of the Requirements for this Business Process:</b>  | Critical  |
| <b>Frequency this Business Process is Performed:</b>  | Daily   |
| FUNCTIONAL REQUIREMENTS   |   |
| Req. #  | Requirement   |
| 1   | The system shall allow querying of account details by specific field.   |
| 2   | The system shall allow querying of Receipts/Receipts Summary by specific field.   |
| 3   | The system shall allow querying of Transactions/Transactions Summary (invoices, debit memos, credit memos) by specific field. |
| 4   | The system shall allow querying of Remittance batches.  |
| 5   | The system shall allow user to print individual transaction and receipt screens to a local printer.                           |

| BUSINESS PROCESS  |   |
|---|---|
| <b>Describe the Business Process:</b> System shall run necessary background programs needed for data synchronization and peak performance |   |
| <b>Priority of the Requirements for this Business Process:</b>  | Critical  |
| <b>Frequency this Business Process is Performed:</b>  | Daily   |
| FUNCTIONAL REQUIREMENTS   |   |
| Req. #  | Requirement   |
| 1   | The system shall schedule and run program Oracle Applications Manager (OAM) Applications Dashboard Collection to monitor Oracle EBS instance. |
| 2   | The system shall schedule and run Special Concurrent Manager Queue Control to manager system and user requests submission.                    |
| 3   | The system shall schedule and run program gather schema statistics program to tune the indexes.   |

| BUSINESS PROCESS   |   |
|--|---|
| <b>Describe the Business Process:</b> System shall provide features to define and maintain accounting setups |   |
| <b>Priority of the Requirements for this Business Process:</b>   | Critical  |
| <b>Frequency this Business Process is Performed:</b>   | As needed   |
| FUNCTIONAL REQUIREMENTS  |   |
| Req. #   | Requirement   |
| 1  | The system shall allow creation and editing of following account code values: <ol style="list-style-type: none"> <li>1. Budget Entity</li> <li>2. Category</li> <li>3. Fund ID</li> </ol> |



|   |   |
|---|---|
|   | <ol style="list-style-type: none"> <li>4. GL Code</li> <li>5. Org</li> <li>6. EO</li> <li>7. Object codes</li> <li>8. Code combinations</li> </ol>                              |
| 2 | The system shall allow creation and editing of Sales reps.  |
| 3 | The system shall allow creation and editing of the following other attributes: <ol style="list-style-type: none"> <li>1. Receipt methods</li> <li>2. Receipt classes</li> </ol> |
| 4 | The system shall allow creation and editing of receivables activities.  |
| 5 | The system shall allow creation and editing of transaction classes.   |
| 6 | The system shall allow creation and editing of bank account information.  |

| BUSINESS PROCESS  |   |
|---|---|
| <i>Describe the Business Process:</i> Import non-customer based receipts file and create miscellaneous receipts |   |
| <b>Priority of the Requirements for this Business Process:</b>  | Critical  |
| <b>Frequency this Business Process is Performed:</b>  | Daily (sometimes multiple files are processed in the same day)  |
| FUNCTIONAL REQUIREMENTS   |   |
| Req. #  | Requirement   |
| 1   | The system shall restrict access to import receipts lockbox file only to users with 'FDLE ACCOUNTS RECEIVABLE' and 'Receivables Manager' responsibilities in RAMS.                                      |
| 2   | The system shall provide capability to process single or multiple receipt files that are being transferred to a directory in secure FDLE Windows FTP server.  |
| 3   | The system shall transfer files from Windows FTP server to RAMS application server for further processing.  |
| 4   | The system shall provide custom code to import receipts in FDLE staging tables, validate data, derive all other necessary data from existing setups and populate data in Oracle interim staging tables. |
| 5   | The system shall convert data from Oracle staging tables in to RAMS receipts when 'Process Lockboxes' oracle program is executed.   |
| 6   | The system shall provide details of both successful and error records for further review.   |

| BUSINESS PROCESS  |   |
|---|---|
| <i>Describe the Business Process:</i> Import non-customer based receipts file and create miscellaneous receipts |   |
| <b>Priority of the Requirements for this Business Process:</b>  | Critical  |
| <b>Frequency this Business Process is Performed:</b>  | Daily   |
| FUNCTIONAL REQUIREMENTS   |   |
| Req. #  | Requirement   |
| 1   | The system shall Import receipts from CHS for SHIELD miscellaneous transactions.  |
| 2   | The system shall provide a report of SHIELD payments.   |
| 3   | The system shall create RAMS receipts from the imported information and assign receipt numbers in the format specified by FDLE. |

| BUSINESS PROCESS   |  |
|--|--|
| <i>Describe the Business Process:</i> Create standard and miscellaneous credit card receipts via E-Pay application |  |



| <b>Priority of the Requirements for this Business Process:</b> | Critical  |
|--|---|
| <b>Frequency this Business Process is Performed:</b>           | Daily   |
| <b>FUNCTIONAL REQUIREMENTS</b>                                 |   |
| Req. #   | Requirement   |
| 1  | The system shall assign receipt numbers in the format specified by FDLE.  |
| 2  | The system shall create miscellaneous receipts for the convenience fee.   |
| 3  | The system must allow FPP customers to pay invoices with credit card online.  |
| 4  | The system must automatically reactivate eligible dealers when payment is received online.  |
| 5  | The system shall allow customers to pay invoices online with a credit card.   |
| 6  | The system shall provide a report of convenience fees received in a given time period.  |
| 7  | The system shall provide FDLE E-PAY Activity Log Report.  |
| 8  | The system shall have custom code to derive details of all open invoices for either single or multiple gun dealer ORIs provided by application that invoking the custom code. |
| 9  | The system shall send back details of both successful and error results for further review.   |
| 10   | The system should have ability to list gun dealer outstanding invoices in E-Pay.  |

| <b>BUSINESS PROCESS</b>   |   |
|---|---|
| <i><b>Describe the Business Process:</b></i> System should have ability to create, update and delete customer information |   |
| <b>Priority of the Requirements for this Business Process:</b>  | High  |
| <b>Frequency this Business Process is Performed:</b>  | Daily   |
| <b>FUNCTIONAL REQUIREMENTS</b>  |   |
| Req. #  | Requirement   |
| 1   | The system shall have standard screens to create customer party information (includes legal entity details).  |
| 2   | The system shall provide standard screens to create a customer account and associate that to party created in step 1 above. In addition, system should also provide fields to store customer number (ex: ORI#) and other important fields from third party applications like CWCS, SHIELD etc. that interact with RAMS. |
| 3   | The system shall provide standard screens to create customer account sites for billing, shipping and associate these sites to customer account from step 2 above.   |
| 4   | The system shall provide standard screens to create customer account site purpose details that store information related to sales person, payment terms etc.  |
| 5   | The system shall allow users to edit, activate, or deactivate customers.  |
| 6   | The system shall allow users to search for existing customers.  |
| 7   | The system shall provide a program to activate/inactivate accounts programmatically and to rename with an inactive designation.   |
| 8   | The system shall generate a list of accounts programmatically inactivated.  |
| 9   | The system shall programmatically update customer account names multiple times daily to enforce formatting rules.   |
| 10  | The system shall allow users to merge duplicate customers or accounts.  |

|  |      |
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| <b>BUSINESS PROCESS</b>  |      |
| <i><b>Describe the Business Process:</b></i> System should have capability to create and maintain customer profile classes |      |
| <b>Priority of the Requirements</b>  | High |



|  |           |
|--|-----------|
| <b>for this Business Process:</b>                    |           |
| <b>Frequency this Business Process is Performed:</b> | As Needed |

| FUNCTIONAL REQUIREMENTS |   |
|-------------------------|---|
| Req. #                  | Requirement   |
| 1                       | The system shall provide screens to create and update profile class which store information like Balance Forward Billing options, payment terms, Collectors details, Invoicing, Statements and Dunning, Receipts matching option etc. |
| 2                       | The system shall provide features to link profile classes created in step 1 above to customer at account and site levels. This will help in defaulting BFB, payment terms options etc. and avoid manual entry by users.               |

| BUSINESS PROCESS  |          |
|---|----------|
| <b>Describe the Business Process:</b> Create and maintain Accounting calendar in Accounts Receivables |          |
| <b>Priority of the Requirements for this Business Process:</b>  | Critical |
| <b>Frequency this Business Process is Performed:</b>  | Monthly  |

| FUNCTIONAL REQUIREMENTS |   |
|-------------------------|---|
| Req. #                  | Requirement   |
| 1                       | The system shall allow creation of a new accounting calendar for each fiscal year.    |
| 2                       | The system shall validate that calendar is set up correctly.                          |
| 3                       | The system shall allow user to open or close Accounts Receivables accounting periods. |

| BUSINESS PROCESS  |          |
|---|----------|
| <b>Describe the Business Process:</b> Provide ability to open or close accounting periods in General Ledger(GL) |          |
| <b>Priority of the Requirements for this Business Process:</b>  | Critical |
| <b>Frequency this Business Process is Performed:</b>  | Monthly  |

| FUNCTIONAL REQUIREMENTS |  |
|-------------------------|--|
| Req. #                  | Requirement  |
| 1                       | The system shall allow creation of a new accounting calendar for each fiscal year.   |
| 2                       | The system shall validate that calendar is set up correctly.                         |
| 3                       | The system shall allow user to open or close General Ledger (GL) accounting periods. |

| BUSINESS PROCESS   |           |
|--|-----------|
| <b>Describe the Business Process:</b> Import or Create manually journal batches, journal headers and journal lines in GL |           |
| <b>Priority of the Requirements for this Business Process:</b>   | Critical  |
| <b>Frequency this Business Process is Performed:</b>   | As Needed |

| FUNCTIONAL REQUIREMENTS |   |
|-------------------------|---|
| Req. #                  | Requirement   |
| 1                       | The system shall have ability to create journal batches by category. Example – Sales Receipts, Receipts, Miscellaneous Receipts, Credit Memos, Debit Memos etc. |
| 2                       | The system shall have ability to create individual journals for each category in step 1 above regardless  |



|   |  |
|---|--|
|   | of whether they are associated to a batch.   |
| 3 | The system shall have option to import journals from Accounts Receivables of EBS, create manually and outside applications (if needed) |

| BUSINESS PROCESS   |   |
|--|---|
| <b>Describe the Business Process:</b> Provide ability to post journals in both regular and adjustment accounting periods of GL |   |
| <b>Priority of the Requirements for this Business Process:</b>   | Critical  |
| <b>Frequency this Business Process is Performed:</b>   | As Needed   |
| FUNCTIONAL REQUIREMENTS  |   |
| Req. #   | Requirement   |
| 1  | The system shall capture journals that are balanced i.e. credit and debit totals should match and be equal in the journal |
| 2  | The system shall allow creation of adjustment journals during year-end for reconciling deferred revenue.                  |

| BUSINESS PROCESS  |   |
|---|---|
| <b>Describe the Business Process:</b> System shall validate data entered or modified in customer screens and ensure data meets predefined quality Trading Community Architecture (TCA) standards and business rules |   |
| <b>Priority of the Requirements for this Business Process:</b>  | Critical  |
| <b>Frequency this Business Process is Performed:</b>  | As Needed   |
| FUNCTIONAL REQUIREMENTS   |   |
| Req. #  | Requirement   |
| 1   | The system shall allow addition of custom FDLE specific data at party, account, site and site purpose levels                          |
| 2   | The system shall allow linking of customer profile classes at account and site levels   |
| 3   | The system shall allow linking of type of organization example – federal, state, county, city, private etc. at the site purpose level |
| 4   | The system shall validate customer information entered/modified by end user as per oracle standard TCA rules                          |

| BUSINESS PROCESS   |   |
|--|---|
| <b>Describe the Business Process:</b> System shall provide functionality to cleanse and standardize customer data. It should help identify and correct inconsistent, inaccurate, or duplicate data records |   |
| <b>Priority of the Requirements for this Business Process:</b>   | Critical  |
| <b>Frequency this Business Process is Performed:</b>   | As Needed   |
| FUNCTIONAL REQUIREMENTS  |   |
| Req. #   | Requirement   |
| 1  | The system shall store reference of external application customer number in ORI copy field (attribute13) and original reference field at customer account level |
| 2  | The system shall NOT allow duplicate reference of same customer number from step 1 again in   |





|   |   |
|---|---|
|   | original reference field  |
| 3 | The system shall provide oracle standard reports to identify data inconsistencies                           |
| 4 | The system shall provide oracle standard programs to merge duplicate customers                              |
| 5 | The system shall provide custom reports to identify customers with duplicate ORI copy field values repeated |

### BUSINESS PROCESS

**Describe the Business Process:** System shall ensure DQM integrates with various Oracle EBS modules, such as Customer Relationship Management (CRM), Human Resources (HR) and Accounts Receivables (AR). It should ensure data quality across different functional areas of the EBS system

|  |           |
|--|-----------|
| <b>Priority of the Requirements for this Business Process:</b> | Critical  |
| <b>Frequency this Business Process is Performed:</b>           | As Needed |

### FUNCTIONAL REQUIREMENTS

| Req. # | Requirement   |
|--------|---|
| 1      | The system shall integrate Trading Community Architecture (TCA) setup of customers in AR with Data Quality Management (DQM) tools and features that provide powerful searching and matching functionality for search, duplicate identification, duplicate prevention, and other data management features. |
| 2      | The system shall help with searches for parties, addresses, contacts, and contact points in the TCA Registry  |
| 3      | The system shall help with prevention of duplicate entry into the Registry when records are created or updated  |
| 4      | The system shall help identifying possible duplicates that currently exist in the Registry  |

### BUSINESS PROCESS

**Describe the Business Process:** System shall record and update collection notes and comments

|  |           |
|--|-----------|
| <b>Priority of the Requirements for this Business Process:</b> | Critical  |
| <b>Frequency this Business Process is Performed:</b>           | As Needed |

### FUNCTIONAL REQUIREMENTS

| Req. # | Requirement  |
|--------|--|
| 1      | The system shall provide many places where a collector can enter and view notes about a customer or related transactions during the collections process. |
| 2      | The Notes shall be accessible for review prior to interacting with a customer or shared between users with the appropriate access rights.                |

### BUSINESS PROCESS

**Describe the Business Process:** System shall generate and send collection letters and statements to customers

|  |          |
|--|----------|
| <b>Priority of the Requirements for this Business Process:</b> | Critical |
| <b>Frequency this Business Process is Performed:</b>           | Monthly  |

### FUNCTIONAL REQUIREMENTS



| Req. # | Requirement   |
|--------|---|
| 1      | The system shall allow customizing the standard Oracle pre-configured dunning letters in Oracle Advanced Collections based on business needs and rules. |
| 2      | The system shall allow creation of brand-new dunning letters based on business needs and rules.   |
| 3      | The system shall integrate dunning letter generation with Oracle BI publisher setup to automate letter generation.                                      |
| 4      | The system shall allow reprinting of historical dunning letters   |

| BUSINESS PROCESS  |  |
|---|--|
| <b>Describe the Business Process:</b> System shall conduct scoring of customer setups, outstanding invoice balances, age of invoices and few other factors and identify delinquent accounts |  |
| <b>Priority of the Requirements for this Business Process:</b>  | Critical   |
| <b>Frequency this Business Process is Performed:</b>  | Monthly  |
| FUNCTIONAL REQUIREMENTS   |  |
| Req. #  | Requirement  |
| 1   | The system shall score (rate) Receivables invoices, debit memos, or chargebacks etc. to determine if customer is delinquent, pre-delinquent or current on specific transaction scored.     |
| 2   | The system shall utilized scoring value assigned to an invoice to determine the appropriate collections strategy or dunning plan   |
| 3   | The system shall provide standard oracle programs to determine customer/transaction delinquency status, calculate scores, create delinquencies, and assign appropriate strategies to them. |

| BUSINESS PROCESS  |  |
|---|--|
| <b>Describe the Business Process:</b> System shall provide a centralized workbench for collectors to view and manage overdue invoices, collection notes, and customer contact details |  |
| <b>Priority of the Requirements for this Business Process:</b>  | Critical   |
| <b>Frequency this Business Process is Performed:</b>  | As Needed  |
| FUNCTIONAL REQUIREMENTS   |  |
| Req. #  | Requirement  |
| 1   | The system shall show customer-level scores at collections header level regardless of view by account, bill to, or delinquency level.  |
| 2   | The system shall provide s oracle forms-based windows for tasks performed by collections agents and managers; and web pages for setup, advanced delinquency management, and administration of Oracle Collections |
| 3   | The system shall provide roles like Collections Agent, Collections Administrator and Collections Manager to manage various collections related activities of FDLE.   |
| 4   | The system shall provide collections window as a central work area for activities relating to collecting debt from a customer.   |
| 5   | The system shall provide a unique work queue to each collector to help with segregation of duties.   |

| BUSINESS PROCESS   |          |
|--|----------|
| <b>Describe the Business Process:</b> System shall support ad-hoc query and analysis capabilities for custom reporting needs |          |
| <b>Priority of the</b>   | Critical |



|  |           |
|--|-----------|
| <b>Requirements for this Business Process:</b>       |           |
| <b>Frequency this Business Process is Performed:</b> | As Needed |

| FUNCTIONAL REQUIREMENTS |  |
|-------------------------|--|
| Req. #                  | Requirement  |
| 1                       | The System shall support multiple interfaces to query the RAMS database example – command prompt, Oracle SQL Developer, TOAD Oracle Query Builder etc. |
| 2                       | The system shall provide both read only and role based query access to customer, receivables, collections, GL and system setup/foundation data         |
| 3                       | The system shall provide ability to generate reports in text, excel etc. layouts directly from querying tools.   |

## 4.2. Non-Functional Requirements

| NON-FUNCTIONAL REQUIREMENTS: Project Documentation |  |
|--|--|
| Req. #   | Requirement  |
| 1  | Shall prepare the required documentation for review by FDLE's ITS Project Manager in compliance with FL Digital Services Rule 60-GG and FDLE's ITS Project Management Standards.   |
| 2  | Shall provide a detailed project schedule bi-weekly with tasks, dependencies, work effort, duration, and resources identified. FDLE must be able to determine when its' members or computer resources are needed to keep the project on-schedule.  |
| 3  | Shall propose the system configuration with any required purchases at FDLE at the time of any contract execution(s) so that the computer hardware, software, other 3 <sup>rd</sup> party software, SaaS, PaaS or IaaS required to be purchased by FDLE can be received timely so the project schedule is not adversely impacted. |
| 4  | Shall provide a System Design document that will include specifications for setting up the computer hardware, software, 3 <sup>rd</sup> party software, SaaS, PaaS or IaaS to deploy and operate the proposed system.  |
| 5  | Shall provide the project with detailed Test Plans.  |
| 6  | Shall conduct performance tests on the applications which support the MEPIC system.  |
| 7  | Shall provide a detailed Implementation Plan.  |
| 8  | Shall provide an Operations & Maintenance Plan which includes Disaster Recovery as well as routine Backup and Recovery.  |

| NON-FUNCTIONAL REQUIREMENTS: Architecture |   |
|---|---|
| Req. #                                    | Requirement   |
| 1   | Shall operate on MS-Windows compatible computers using MS-Windows 10 or above in a web-based application for RAMS application.  |
| 2   | Shall provide safeguards to prevent unauthorized access to information stored in the RAMS application, which is a criminal justice information system.                      |
| 3   | Shall be designed to support a 24/7 Production environment.   |
| 4   | Shall be compatible with the current version and two previous versions of Microsoft Edge and the current release of other major browsers, like Chrome, Firefox, and Safari. |
| 5   | Shall operate the database and operating systems on the current version or previous version.  |
| 6   | Shall indicate which part(s) of FDLE's existing network infrastructure will be used and shall be  |



|   |   |
|---|---|
|   | designed to operate within the FDLE network connections, protocols, and service level. Any required purchases or configuration changes must be approved by FDLE prior to contract engagement. |
| 7 | Shall operate in a cloud environment or with SaaS as technically feasible.  |

| NON-FUNCTIONAL REQUIREMENTS: System Availability |  |
|--|--|
| Req. #   | Requirement  |
| 1  | Shall follow FDLE's standards on system availability: 24 hours a day, 7 days a week, and 365 days a year (except during maintenance window of time). |

| NON-FUNCTIONAL REQUIREMENTS: System Support |   |
|---|---|
| Req. #                                      | Requirement   |
| 1   | Shall ensure downtime is minimal.   |
| 2   | Shall ensure that the hardware and software products used in the system (example: web servers, database servers, operating systems, 3 <sup>rd</sup> party software, etc.) are upgraded or replaced prior to reaching end-of-life or unsupported status. |
| 3   | Shall provide Help Desk support 24 hours per day, 7 days a week, and 365 days a year to assist with technical issues.   |
| 4   | Shall not share FDLE data across customers. The data contained in the database is owned by FDLE.  |
| 5   | Shall provide a minimum of two (2) work days' notice for planned system downtime and downtime should be applied during non-peak hours (5 AM – 9 AM). All changes shall be coordinated with FDLE.  |
| 6   | Shall notify of software patches, updates, and upgrades times so that coordination can be done between all stakeholders in a timely manner.   |
| 7   | Shall log technical errors and alert technical staff to review the technical errors.  |

| NON-FUNCTIONAL REQUIREMENTS: Security |  |
|---------------------------------------|--|
| Req. #                                | Requirement  |
| 1                                     | Shall provide policies and procedures for securing RAMS information and system resources.  |
| 2                                     | Shall provide security controls to be in place to minimize the risks to the confidentiality, integrity, and availability of the system and data.   |
| 3                                     | Shall base access to information in the RAMS Application based on user roles and associated access rights. Access shall be provided and assigned on the principle of "Least Privilege" and managed according to documented procedures. |
| 4                                     | Shall protect system resources by physical controls. Shall provide procedures to manage physical access to information technology facilities housing RAMS information.   |
| 5                                     | Shall provide procedures to notify RAMS System Owner of any suspected cybersecurity incident or breach of information.   |

# FLORIDA DEPARTMENT OF LAW ENFORCEMENT



## RAMS Reconfiguration Project

## PROJECT MANAGEMENT PLAN

*Approved June 1, 2023*

*Last Revision June 1, 2023*

# VERSION HISTORY

| Version | Date     | Change        | Editor          |
|---------|----------|---------------|-----------------|
| 1.0     | 1/6/2023 | Initial Draft | Shajil Kalathil |
|         |          |               |                 |
|         |          |               |                 |
|         |          |               |                 |
|         |          |               |                 |
|         |          |               |                 |
|         |          |               |                 |

# CONTACT

|                                       |                               |
|---------------------------------------|-------------------------------|
| <b>Project Manager: Andrew Gutsch</b> |                               |
| <b>Phone:</b>                         | Andrew Gutsch                 |
| <b>Email:</b>                         | AndrewGutsch@fdle.state.fl.us |

## SIGNATURE AND ACCEPTANCE PAGE

I have reviewed this Project Management Plan (PMP) and agree that the content of the document is accurate and clearly describes the project management methodology for the project.

Signature: \_\_\_\_\_ Date: \_\_\_\_\_  
Print Name: TBD  
Title: \_\_\_\_\_  
Agency: FDLE  
Role: Project Manager

Signature: \_\_\_\_\_ Date: \_\_\_\_\_  
Print Name: Terry Speed  
Title: Financial Administrator  
Agency: FDLE  
Role: Business Lead/Manager

Signature: \_\_\_\_\_ Date: \_\_\_\_\_  
Print Name: Brian Browning  
Title: BSE Bureau Chief  
Agency: FDLE  
Role: Project Steering Group Member

Signature: Joey Hornsby Date: \_\_\_\_\_  
Print Name: ITS Director  
Title: FDLE  
Agency: FDLE  
Role: Project Sponsor - ITS

Signature: Fraser, Charlotte Date: \_\_\_\_\_  
Print Name: Project Sponsor  
Title: FDLE  
Agency: Project Sponsor - Business  
Role: Fraser, Charlotte

## TABLE OF CONTENTS

|     |   |    |
|-----|---|----|
| 1.  | EXECUTIVE SUMMARY .....                             | 2  |
| 2.  | PROJECT CHARTER .....                               | 2  |
| 3.  | WORK BREAKDOWN STRUCTURE .....                      | 3  |
| 4.  | PROJECT PHASES.....                                 | 4  |
| 5.  | LESSONS LEARNED .....                               | 4  |
| 6.  | PROJECT ORGANIZATIONAL & GOVERNANCE STRUCTURE ..... | 4  |
| 7.  | RESOURCES .....                                     | 5  |
|     | PROJECT TEAM.....                                   | 5  |
|     | STAKEHOLDERS .....                                  | 5  |
|     | Equipment/Materials Resources .....                 | 5  |
| 8.  | PROJECT SCHEDULE MANAGEMENT .....                   | 5  |
|     | Project Schedule .....                              | 5  |
|     | Schedule Maintenance .....                          | 5  |
| 9.  | COST MANAGEMENT .....                               | 6  |
|     | Budget.....   | 6  |
|     | Project Spending Plan .....                         | 6  |
| 10. | PROCUREMENT MANAGEMENT .....                        | 6  |
| 11. | COMMUNICATIONS MANAGEMENT .....                     | 7  |
| 12. | CHANGE MANAGEMENT.....                              | 7  |
| 13. | ORGANIZATIONAL CHANGE MANAGEMENT .....              | 7  |
| 14. | QUALITY MANAGEMENT .....                            | 7  |
| 15. | DELIVERABLE ACCEPTANCE .....                        | 10 |
| 16. | RISK MANAGEMENT .....                               | 10 |
|     | Risk & Complexity Assessment .....                  | 10 |
|     | Project Risk Management.....                        | 10 |
| 17. | ISSUE MANAGEMENT .....                              | 12 |
| 18. | SYSTEM SECURITY .....                               | 13 |



## 1. EXECUTIVE SUMMARY

This project has been approved by FDLE's Business Unit and the Division of Information Technology Services, to fulfill the business needs identified in the [Project Charter](#).

## 2. PROJECT CHARTER

The [Project Charter](#) describes the work to be performed to deliver the product, service, and/or results that have been identified to meet the business need.

The [Project Charter](#) includes the following sections with pertinent details:

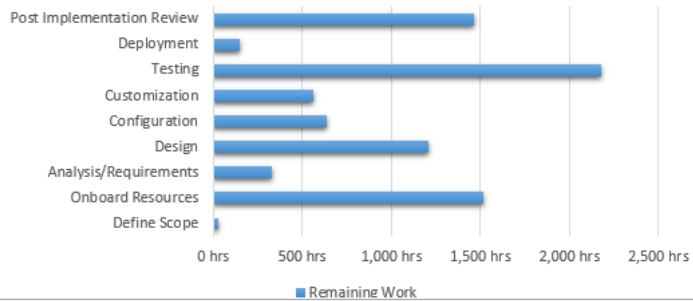
- Project Name, Project Sponsor, Project Manager, Business Lead, Project Number, Date
- Executive Summary - a summary description of the project.
- Business Case – Background, business need, business problem(s) to be solved.
- Cost Benefit Analysis – Summarizes cost savings, cost avoidance, tangible benefits, ROI or value to the agency.
- Business Objectives – Project objectives, outcomes of the project.
- Stakeholders – A list of key stakeholders and their role in the project.
- Deliverables – Documents and other deliverables that will be created for the project.
- In Scope - The work that is approved to be completed within this project and is included in the estimation of budget, schedule, and resource needs.
- Out of Scope – Specific work that is excluded from the project, and will not be completed.
- Assumptions and Constraints – Assumptions list what is currently known and expected to be true throughout the life of the project. Constraints are considered limitations or restrictions that may impact the project and will be planned for accordingly.
- Risks – The Risk and Complexity Category as determined from the Pre-Charter Risk and Complexity Assessment (RCA) and a list of any known risks associated with the project prior to initiation.
- Interdependencies - Identifies production systems, other projects or initiatives that may impact or be impacted by the project.
- Estimated Project Budget – Provides an estimated 3 pt. estimate, space for listing estimated costs of staff, hardware, software and other costs, a total estimation, and a funding source.
- Project Schedule Estimates – Schedule Constraints or Hard Due Dates (Describe any known deadlines), Planned Start (Listed expected start date and reason), Known Milestones (Describe any milestones and dates that are known at this time) and Planned Finish (List expected finish date and reason).
- Approval – Provides Spaces for the Project Manager, Business Lead, Project Sponsor and ITS Director to list their name and sign/type/date their approval of the Project Charter. If the document is electronically submitted, a copy of it will be stored in the project documentation centralized repository.

### 3. WORK BREAKDOWN STRUCTURE

The Project Schedule contains a hierarchical and incremental decomposition of the project, broken down into phases, deliverables, and work packages. The schedule represents the Work Breakdown Structure (WBS) and identifies all the tasks required to deliver the total scope of work to produce each deliverable. Tasks in the schedule are decomposed into subtasks until they can be estimated, observed, and evaluated.

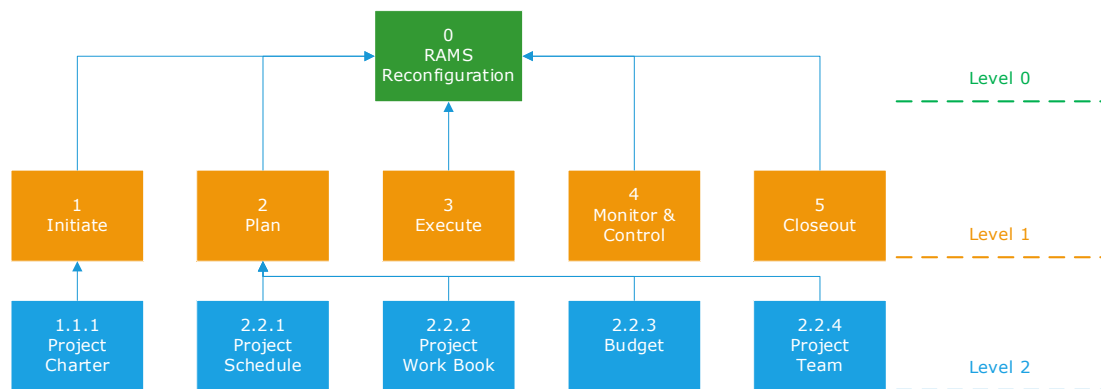
A sample of the project schedule is provided below:

#### RAMS - PALM Compliance Remediation



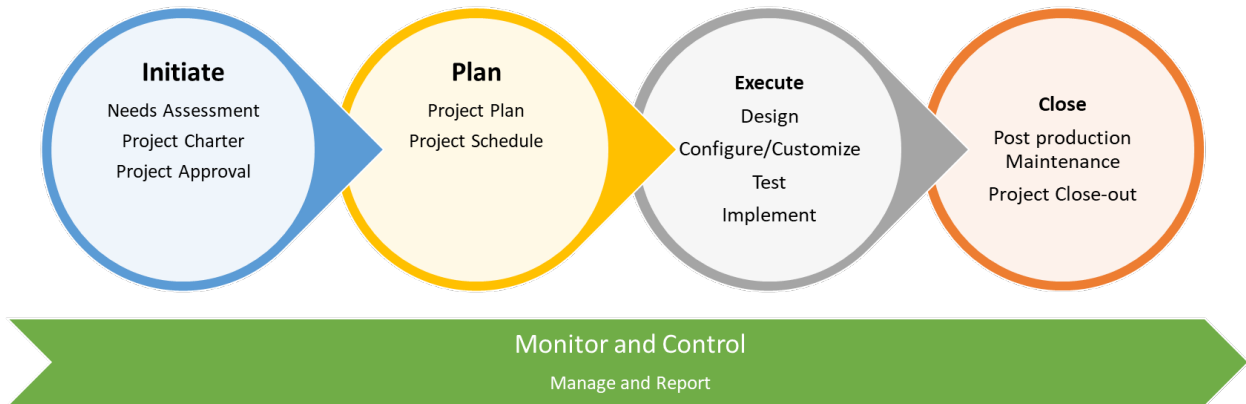
| WBS | Task Name   | Duration   | Start        | Finish       | Predecessors | Resource Names                          |
|-----|---|------------|--------------|--------------|--------------|---|
| 0   | RAMS Reconfiguration                                      | 521.5 days | Mon 7/1/24   | Tue 6/30/26  |              |   |
| 1   | Define Scope  | 3.5 days   | Mon 7/1/24   | Thu 7/4/24   |              |   |
| 2   | Onboard Resources   | 40 days    | Thu 7/4/24   | Thu 8/29/24  | 7            |   |
| 3   | Analysis/Requirements                                     | 65.5 days  | Thu 8/29/24  | Thu 11/28/24 |              |   |
| 4   | Design  | 159 days   | Thu 9/19/24  | Wed 4/30/25  |              |   |
| 4.1 | Determine the mapping logic                               | 5 days     | Thu 9/19/24  | Thu 9/26/24  | 18           | Functional Consultant                   |
| 4.2 | Assess the impact of mapping on business processes        | 20 days    | Thu 9/26/24  | Thu 10/24/24 | 25,18        | Functional Consultant                   |
| 4.3 | Review preliminary software specifications                | 5 days     | Fri 11/29/24 | Thu 12/5/24  | 23,26        | Business Analyst,Functional             |
| 4.4 | Develop functional specifications                         | 5 days     | Fri 12/6/24  | Thu 12/12/24 | 27           | Business Analyst,Functional             |
| 4.5 | Develop prototype based on functional specifications      | 5 days     | Fri 12/13/24 | Thu 12/19/24 | 28           | Business Analyst, Functional Consultant |
| 4.6 | Review functional specifications                          | 1 day      | Fri 12/20/24 | Fri 12/20/24 | 29           | Business Analyst,Functional             |
| 4.7 | Incorporate feedback into functional specifications       | 0.5 days   | Mon 12/23/24 | Mon 12/23/24 | 30           | Business Analyst, Functional Consultant |
| 4.8 | Design changes to Invoicing, Lockbox, Receipts Interfaces | 20 days    | Mon 12/23/24 | Mon 1/20/25  | 31           | Technical Consultant                    |

A diagram of the WBS is provided below.



## 4. PROJECT PHASES

Projects normally go through at least five distinct Project Phases as shown below:



At the end of each phase, known as a phase-gate, it is important to document lessons learned and reassess the projects performance before entering the next phase.

## 5. LESSONS LEARNED

Throughout each project life cycle, lessons are learned and opportunities for improvement are discovered. As part of a continuous improvement process, documenting lessons learned helps the project team discover the root causes of problems that occurred and avoid those problems in later project stages or future projects. Lessons Learned on projects are recorded in the workbook on the “Lessons Learned Log” on the “Lessons Learned” tab.

The objective of gathering all of this relevant information is for better planning of later project stages, improving implementation of new projects, and preventing or minimizing risks for future projects.

## 6. PROJECT ORGANIZATIONAL & GOVERNANCE STRUCTURE

The Project Sponsor provides leadership and guidance to the Project Manager with regards to the business problem being solved, requirements, and the objectives of the project. The Project Sponsor assists with obtaining the resources that are needed to conduct the work and fulfill the objectives of the project. Any issues that cannot be resolved by the Sponsor are escalated to the Commissioner’s Office.

The Project Manager follows the project management methods in the PMBOK guide. There is a centralized repository for PM artifacts, templates and tools for the PM, and assistance in complying with rule F.A.C. 74-1, the Project Management Standards. Any issues that cannot be resolved by the PM and Executive Steering Committee are escalated to the ITS Division Director and/or the Project Sponsor, whichever is appropriate and applicable.

The Project Manager oversees the work of the project and project team. The PM is responsible for developing the project plans and work with the project team to develop the project schedule. During the execution phase, the PM monitors and reports on the status of the project, including the work of the team. The PM also manages issues and risks and escalates any issues that may impact Scope, Quality, Schedule, or Budget to the Project Sponsor or Executive Steering Committee. The PM documents risks, issues, and lessons learned throughout the project and reviews lessons

learned during the closing phase with the sponsor, business owner, project team and the Executive Steering Committee.

## 7. RESOURCES

### PROJECT TEAM

All of the people that make-up the Project Team are listed on the “Project Team Roster” on the “Roster” tab in the Project Workbook. The Project Team Roster provides the project team member’s name, business unit, project role, contact data and responsibility.

### STAKEHOLDERS

The people that are not directly on the project team but have some level of involvement in the project are Stakeholders. They are listed in a “Stakeholders” log on the “Stakeholder” tab in the Project Workbook. The Stakeholder log provides the stakeholder’s name, role, impact, influence, risk tolerance, needs and responsibility.

### EQUIPMENT/MATERIALS RESOURCES

Equipment, hardware, software, contract services, and any other resource(s) that will be procured for the project are provided in the Budget document. This document is created by the ITS Budget and Planning Office in a stand-alone Excel file and is stored in the centralized project repository. The budget is updated throughout the lifecycle of the project so all expenses incurred by the project are captured and updated with the most current data as data changes occur.

## 8. PROJECT SCHEDULE MANAGEMENT

### PROJECT SCHEDULE

The Project Schedule was developed starting with a work breakdown structure listing all of the work and activities that will be conducted, captured in project phases or by milestones based on the PM’s preference. The project dependencies and durations are identified, resulting in the estimation of planned start and finish dates for the project as a whole and each individual task. For schedules that are created using MS Project® the planned dates are auto-scheduled based on those dependencies and durations. Some schedules are created in a MS Word® table or in an MS Excel® spreadsheet, in which case the planned dates have to be manually calculated by the PM.

The schedule is baselined when it is approved by the team and the project sponsor and any other time a significant change occurs. The PM may also elect to periodically re-baseline the schedule, and is authorized to do so with approval of the project sponsor, using incremental baseline numbers. Re-baselining a schedule is reported in the status report.

The project schedule is reported on bi-weekly or monthly status reports, depending on the category of the project. The variances of planned versus actual dates are calculated, evaluated and reported upon in the status reports.

### SCHEDULE MAINTENANCE

The project schedule is maintained and updated by the PM bi-weekly for Category 1 and 2 projects based on input from the resources that are assigned to do the work. As tasks start or finish, the actual start and actual finish dates are updated in the schedule. When the schedule is updated, the percentage complete is provided for in-progress tasks so that the current state of the project can be determined.

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

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

## 9. COST MANAGEMENT

Managing the cost of the project involves two parts, the Budget and the Project Spending Plan. Both of these are primarily handled by the ITS Administration staff with information provided by the project manager.

### BUDGET

The Project Budget determines the estimated costs associated with defined project activities and procurements. The Budget is developed by the PM and ITS Budget and Planning staff and includes the following:

- Source of funds, which may include grants, general revenue or trust funds
- Total costs for the project by major expense category (Contract Services, Expense, Other Capital Outlay, etc.)
- Planned and Actual costs by fiscal year over the life of the project
- The Budget is reported monthly in the status report

### PROJECT SPENDING PLAN

The Project Spend Plan is managed by the ITS Budget and Planning staff, and updated based on expenditures and funds encumbered in that month. Project costs are monitored to identify both positive and negative variances between planned and actual expenditures.

The planned costs are compared against the actual costs for a given month to compute the actual cost variance for the month. (Formula: cost variance / total planned cost for the period). The variance is reported monthly and variances greater than or equal to 10% are explained in the status report and reported to stakeholders.

## 10. PROCUREMENT MANAGEMENT

Equipment, resources, and services that are needed for the project are procured by the ITS Policy Development and Planning (PDP) staff, using the standard ITS Procurement process. An Information Resource Request (IRR) form is submitted to the ITS PDP team for review and approval by the ITS Director. ITS PDP staff procures the approved items using FDLE processes, following FDLE policy and abiding by the State of Florida Contract and Procurement rules.

All procurement artifacts (IRRs, quotes, copies of Purchase Orders, Delivery Acceptance documents, etc.) are maintained and stored in ITS PDP.

## 11.COMMUNICATIONS MANAGEMENT

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

The Communication Plan is outlined on the “Communication” tab in the Project Workbook. It identifies the type of communication, a description of the information being communicated, the frequency of communication, the format of the communication, the owner and the recipient of the communication.

## 12.CHANGE MANAGEMENT

During the project lifecycle, changes are expected. Any change impacting scope, time, or cost initiates the Project Change Request (PCR) process.

Changes that are needed, identified, or requested are submitted to the PM in writing. The PM, with the appropriate project team members and/or FDLE resources, will assess the change request and the potential impact to the approved schedule, budget, and scope. The PM will then confer with the Project Sponsor and customer to obtain approval to accept the change and integrate the additional work and costs into the appropriate project plans, schedule, tasks, documentation, etc. and assign resources to complete the work.

The PM will log and track PCR's on the “Project Change Management Plan (CMP)” on the “Change” tab of the Project Workbook. Changes that require re-planning the Schedule and/or the Budget may also result in re-baselining those project documents. Any changes to the project are reported in the Status Report.

## 13.ORGANIZATIONAL CHANGE MANAGEMENT

Implementation and deployment plans are captured in the project schedule. These may include training, creation of documentation or user manuals, or activities required by the business unit to implement changes to business processes. Internal (FDLE) business user will experience business process changes during this period. This project will introduce new, processes, and tools to create, update and change criminal records. FDLE will employ a range of informational, mentoring, and training efforts to assist members in assuming their new responsibilities.

The FDLE PM and Business lead will prepare an organizational change management plan. The organizational change management plan will document the activities, participants, and schedule required to manage change introduced through this project.

## 14.QUALITY MANAGEMENT

Quality is managed throughout the lifecycle of the project.

The Project Manager will use the processes defined by ITS, FDLE policy, and F.A.C. rule 60GG-1, the Project Management Standards.

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

| <b>Quality Assurance Processes</b>           |   |   |
|--|---|---|
| <b>Topic</b>                                 | <b>Description</b>  | <b>Frequency</b>  |
| Quality Reviews                              | <p>The FDLE Project Team will review and assess the overall quality of each deliverable. The Project Team evaluates each deliverable prior to delivery to the Project Steering Committee for approval. The Project Team performs quality reviews on deliverables by:</p> <ol style="list-style-type: none"> <li>1. Performing reviews of all created documentation for the project prior to release/publishing.</li> <li>2. Reviewing conformity to requirements for all deliverables by the vendor.</li> <li>3. Discussing quality during each weekly team meeting.</li> </ol> | Throughout Project  |
| Skilled Staff                                | <p>Using skilled staff for the Project Team will directly affect the quality of the deliverables produced. Skilled staff should have the knowledge, skills, and experience required to undertake the specific task or tasks allocated in the Project Plan with minimal training in order to achieve the level of quality desired. Hired Project Team members will assure quality by:</p> <ol style="list-style-type: none"> <li>1. Having a satisfactory level of experience in similar projects for their job duties.</li> </ol>   | Throughout Project  |
| Project, Contract, and System Change Control | <p>A clear project change control process ensures the level of quality is not impacted for any deliverable. The Project Manager and the vendor will use the established project change control process to assure quality.</p>   | When changes in scope, contract, or system are identified |
| Project Management                           | <p>The Project Manager will ensure consistent application of project management processes and techniques by both the FDLE Project Team and the vendor Project Team. The PM assigned to this project will be certified as a Project Management Professional (PMP).</p>   | Throughout Project  |

| Quality Assurance Processes |   |   |
|-----------------------------|---|---|
| Topic                       | Description   | Frequency   |
| Requirements Definition     | A well-defined set of requirements provides the vendor with a clear understanding of what they have to achieve in order to deliver customer satisfaction. Detailed business requirements are used during the procurement effort. Once a vendor is selected, a requirements traceability effort is used to track system requirements and those requirements are used to complete the project. The Project Team and vendor will assure all system requirements are documented so there is no question or vagueness in what the requirement attempts to accomplish.  | During development of any requirements (initial or through change control)  |
| Mapping of Requirements     | The Project Team will map all requirements to work packages to assure quality of the delivered product and compliance with the requirements; the Project Manager will verify and validate.  | During development reviews, functional testing, and user acceptance testing |
| Document Standards          | The FDLE Project Team will use templates for Microsoft Office products to ensure that all documentation follows the same layout. Each document will go through team reviews sufficient to assure quality prior to submission to the customer or to the Project Steering Committee. The vendor is expected to follow the same method to ensure all documentation provided is consistent with previously delivered documents. The FDLE Project Team will review all delivered vendor documentation prior to release to the Steering Committee. In addition to templates, the FDLE Project Team will ensure that all documentation complies with established document standards, established version control, and requirements. The Project Team will also ensure that all documentation is accurate and timely. For example, reports should identify potential problems early so they can be avoided or resolved. | During the creation of any document deliverable                             |



| Quality Assurance Processes                 |   |   |
|---|---|---|
| Topic                                       | Description   | Frequency   |
| Testing                                     | The team will map all system requirements to system functionality for functional and user acceptance testing. The test cases and system will also have adequate sample record data sufficient for determining level of compliance with quality. The Project Team will verify and validate.  | During development, functional, and user acceptance testing |
| FDLE Team Peer Reviews                      | The FDLE Project Team will perform peer reviews on each other's deliverables by: <ol style="list-style-type: none"> <li>1. Performing team reviews of all deliverables for the project prior to release/publishing to the end users.</li> <li>2. Discussing quality at every review and during each weekly team meeting.</li> </ol> | Throughout Project  |
| Inspection and Verification of Deliverables | The Project Manager is responsible for ensuring that project deliverables are inspected at the appropriate time, by qualified staff, and documented. Then the Project Manager reports to the Project Steering Committee with a recommendation regarding acceptance.   | Throughout the Project                                      |

## 15. DELIVERABLE ACCEPTANCE

Project deliverables will be reviewed by the project team and business users to ensure they meet quality expectations and functionality. Complete system testing by project team members and stakeholders is completed to ensure the solution meets the requirements, pre-determined scope and objectives. System requirements, test plans, test cases, use cases, and other technical artifacts are approved by the business owner to indicate formal acceptance of the deliverables to indicate the requirements meet their quality expectations.

Deliverables are tracked by the PM in the "Deliverable Acceptance Log" on the "Deliver" tab of the Project Workbook.

## 16. RISK MANAGEMENT

### RISK & COMPLEXITY ASSESSMENT

The Risk & Complexity Assessment (RCA) document provided by FLDS is conducted at three different stage-gates throughout the first 3 phases of the project (Pre-Charter, Initiation and Planning), and then again anytime a significant change is introduced and accepted into the project (Event-Driven). This assessment is conducted primarily by the Project Manager; however, the Project Sponsor and other project participants or stakeholders may attend. A copy of the Risk & Complexity Assessment is stored in the centralized project repository.

### PROJECT RISK MANAGEMENT

The PM is the lead in managing risks, which includes risk identification, risk analysis, prioritization, and mitigation strategies or risk response. At the beginning of the project, the PM will conduct an exercise with the project team to

identify any known risks and document those on the "Risk Management Matrix" (RMM) on the "Risk" tab of the Project Workbook.

When a risk is added to the RMM and on a bi-weekly basis throughout the project, the PM and project team will conduct an analytical review of them. This review will confirm the date the risk was entered, a description of the risk, the probability, impact, detectability, importance, category, trigger event/indicator, risk response and description, contingency plan, residual probability, residual impact, residual detectability, residual importance, owner, status, status date, date to review and date of completion. Once a risk analysis and mitigation strategy is implemented, the PM will score the Residual Risk that exists after mitigation.

If, and when, a risk occurs, the risk becomes an open issue and will be added to the issues log. The Issue Log is located on the "Issues" tab of the Project Workbook. This realized risk needs to be resolved under the issue management plan.

New risks and updates are monitored by the PM and reported on the Status Report.

## 17.ISSUE MANAGEMENT

The PM is responsible for managing project issues. When a risk becomes an issue, or a new issue is identified, it is logged in the Issues Log located on the “Issues” tab in the Project Workbook. On a bi-weekly or weekly basis throughout the project, the PM and project team will conduct a review of open issues. This review will confirm the date entered, description of the issue, impact on the project, how the issue will be handled, owner, status, status date, staff resource assigned to review, date resolved and impact to project’s deliverables, scope, budget or baseline.

During status meetings, use the following chart to assign ownership of an issue based on issue impact and escalate accordingly using the escalation plan.

| Governance Body                    | Potential Impact  | Scope  | Schedule  | Cost  | Risk/Issues  |
|------------------------------------|---|--|---|---|--|
| <b><u>Steering Committee</u></b>   | <b>High Impact</b><br><br>Project results could be heavily impacted<br><br>No resolution plan | Deferral of functionality with impact to Business Objective(s)<br><br>Legislative and/or Policy changes<br><br>Go/No Go Decision Point | Missed phase gate<br><br>Schedule delays which could impact missing key deliverables or milestone dates.<br><br>SPI trending +/- 10% for the reporting period.          | Spending over/under budget +/-10% for the reporting period.<br><br>CPI trending +/- 10% for the reporting period.<br><br>Changes to the project budget or allocations within budget categories. | Decisions involving potential risks and issues that may have an impact on project success.                                       |
| <b><u>Project Manager</u></b>      | <b>Medium impact</b><br><br>Project results impacted  | Deferral of functionality but no impact to business objectives<br><br>Workaround exists  | Impact >5 to 10 business days, can be managed with the functioning team and is not on the critical path.<br><br>SPI trending +/- 5% for the reporting period.           | Spending over/under budget +/-5% for the reporting period.<br><br>CPI trending +/- 5% for the reporting period.   | New risks and issues do not pose a significant threat to the project success.  |
| <b><u>Team Manager or Lead</u></b> | <b>Low impact</b><br><br>Project results not significantly impacted                           | Minor changes to a functioning team’s scope or requirement delays that can be managed within the team.<br><br>Workaround exists.       | Impact 5 business days or less and is not on the critical path.<br><br>Does not impact any other task on the critical path.<br><br>Managed within the functioning team. | Impact can be managed within the functioning team.  | New risks and issues do not pose a significant threat to functioning team.<br><br>Impact can be managed within functioning team. |

To prevent a negative impact of issues on the project, the PM monitors issues, actively works to resolve them and reports issues in the Status Report.

Once an issue is closed, the Lessons Learned Log on the “Lessons Learned” tab in the Project Workbook is updated with the date entered, category of issue (Lesson Learned, Project Success, and Project Shortcoming), Lesson, Factors that Contributed, Recommended Future Action (if any) and who submitted it

## 18.SYSTEM SECURITY

All FDLE systems and data are subject to the State of Florida's Information Technology Resource Security Policies and Standards Rule, 60GG-2, F.A.C. Systems that contain Criminal Justice Information (CJI) are subject to comply with the FBI's CJIS Security Policy. FDLE has internal processes that ensure all systems meet these Security Requirements. Further, this project adheres to FDLE's Information Security Document, Policy #2.5, and complies with Florida Cybersecurity Standards, Chapter 60GG-2, and Information Technology Security Requirements. FDLE Security Office conducts independent security audits at least every three years. Any IT Project will be a part of this audit once in production.

# SCHEDULE IV-B FOR BIOMETRIC IDENTIFICATION SOLUTION (BIS) MODERNIZATION

For Fiscal Year 2024-25




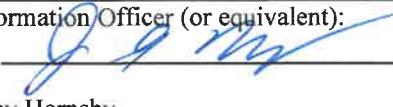

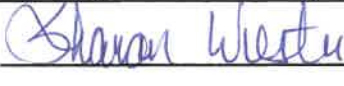
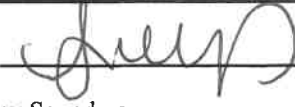
September 15, 2023

FLORIDA DEPARTMENT OF LAW ENFORCEMENT

## Contents

|       |   |    |
|-------|---|----|
| I.    | Schedule IV-B Cover Sheet.....  | 2  |
| II.   | Schedule IV-B Business Case – Strategic Needs Assessment.....                                 | 3  |
| A.    | Background and Strategic Needs Assessment.....  | 3  |
| 1.    | Business Need.....  | 3  |
| 2.    | Business Objectives.....  | 4  |
| B.    | Baseline Analysis.....  | 5  |
| 1.    | Current Business Process(es).....   | 5  |
| 2.    | Assumptions and Constraints.....  | 6  |
| C.    | Proposed Business Process Requirements.....   | 7  |
| 1.    | Proposed Business Process Requirements.....   | 7  |
| 2.    | Business Solution Alternatives.....   | 7  |
| 3.    | Rationale for Selection.....  | 8  |
| 4.    | Recommended Business Solution.....  | 8  |
| D.    | Functional and Technical Requirements.....  | 9  |
| III.  | Success Criteria.....   | 10 |
| IV.   | Schedule IV-B Benefits Realization and Cost Benefit Analysis.....                             | 11 |
| A.    | Benefits Realization Table.....   | 11 |
| B.    | Cost Benefit Analysis (CBA).....  | 15 |
| V.    | Schedule IV-B Major Project Risk Assessment.....  | 16 |
| VI.   | Schedule IV-B Technology Planning.....  | 17 |
| A.    | Current Information Technology Environment.....   | 17 |
| 1.    | Current System.....   | 17 |
| 2.    | Information Technology Standards.....   | 20 |
| B.    | Current Hardware and/or Software Inventory.....   | 20 |
| C.    | Proposed Technical Solution.....  | 22 |
| 1.    | Technical Solution Alternatives.....  | 22 |
| 2.    | Rationale for Selection.....  | 22 |
| 3.    | Recommended Technical Solution.....   | 23 |
| D.    | Proposed Solution Description.....  | 24 |
| 1.    | Summary Description of Proposed System.....   | 24 |
| 2.    | Resource and Summary Level Funding Requirements for Proposed Solution (if known).....         | 26 |
| E.    | Capacity Planning ( <i>historical and current trends versus projected requirements</i> )..... | 27 |
| VII.  | Schedule IV-B Project Management Planning.....  | 29 |
| VIII. | Appendices.....   | 37 |

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

| Schedule IV-B Cover Sheet and Agency Project Approval   |   |
|---|---|
| Agency:<br>Florida Department of Law Enforcement  | Schedule IV-B Submission Date:<br>September 15, 2023  |
| Project Name:<br>Biometric Identification Solution (BIS) Modernization  | Is this project included in the Agency's LRPP?<br><input checked="" type="checkbox"/> Yes <input type="checkbox"/> No |
| FY 2024-25 LBR Issue Code:<br>36124C0   | FY 2024-25 LBR Issue Title:<br>Biometric Identification Solution (BIS) Modernization                                  |
| Agency Contact for Schedule IV-B (Name, Phone #, and E-mail address):<br>Becky Bezemek, 850-410-8459, <a href="mailto:beckybezemek@fdle.state.fl.us">beckybezemek@fdle.state.fl.us</a>  |   |
| 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:<br>  | Date:<br>10 AUG 23  |
| Printed Name: Mark Glass  |   |
| Agency Chief Information Officer (or equivalent):<br>  | Date:<br>8/4/23   |
| Printed Name: Joey Hornsby  |   |
| Budget Officer:<br>  | Date:<br>8/7/23   |
| Printed Name: Patricia Carpenter  |   |
| Planning Officer:<br>  | Date:<br>8/10/2023  |
| Printed Name: Sharon Wester   |   |
| Project Sponsor:<br>   | Date:<br>8/7/2023   |
| Printed Name: Lucy Saunders   |   |
| Schedule IV-B Preparers (Name, Phone #, and E-mail address):  |   |
| Business Need:  | Mary Jackson, 850-410-7874, <a href="mailto:maryjackson@fdle.state.fl.us">maryjackson@fdle.state.fl.us</a>            |
| Cost Benefit Analysis:  | Erica Wolaver, 850-410-8511, <a href="mailto:ericawolaver@fdle.state.fl.us">ericawolaver@fdle.state.fl.us</a>         |
| Risk Analysis:  | Becky Bezemek, 850-410-8459, <a href="mailto:beckybezemek@fdle.state.fl.us">beckybezemek@fdle.state.fl.us</a>         |
| Technology Planning:  | Becky Bezemek, 850-410-8459, <a href="mailto:beckybezemek@fdle.state.fl.us">beckybezemek@fdle.state.fl.us</a>         |
| Project Planning:   | Becky Bezemek, 850-410-8459, <a href="mailto:beckybezemek@fdle.state.fl.us">beckybezemek@fdle.state.fl.us</a>         |

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

### A. Background and Strategic Needs Assessment

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

#### 1. Business Need

Florida Statute 943.051 designates the Florida Department of Law Enforcement (FDLE) as the state's central criminal justice information repository responsible for collecting, storing, maintaining, and retaining criminal history records. The Multi-Biometric Identification Solution (BIS) acts as a national fingerprint file (NFF) repository and fingerprint searching and identification system for the state, to include fingerprints, palm prints, and facial images collected during arrest booking events. BIS is used to identify persons booked in jail, for Rapid ID checks (roadside instant checks to verify identity), and for persons undergoing fingerprint-based criminal history record checks for civilians working with vulnerable populations, obtaining a professional license, and for the issuance of concealed weapons permits. BIS is also used by latent examiners across the state to process fingerprint and palm print images obtained from crime scenes. BIS also submits biometric data to the Federal Bureau of Investigation (FBI) for use in nationwide criminal history record checks. BIS is the means that associated arrest information, such as demographics and charging information, is received, and passed on to the Computerized Criminal History (CCH) system to update individual criminal history records.

The FDLE BIS is the third largest repository in the nation, containing approximately 9.8 million unique person IDs and 32.5 million fingerprint images, for both criminals and civilian monitored populations such as licensees and employees in positions of special trust. BIS receives and processes 2,000 criminal booking submissions and over 8,300 fingerprint-based criminal history record check submissions daily. Additionally, there are over 9,000 active Rapid ID devices throughout the state that submit over 1.5 million searches per year to the BIS Rapid ID matchers.

The current BIS went into production in 2009 with an original five-year life-cycle expectancy, and subsequently underwent three major planned upgrades to expand its capacities and extend its life expectancy. This proprietary system is completely vendor supported. The BIS system has reached end of life and exceeded its contracted capacity in December 2021. The overall volume of Florida's criminal and civilian monitored populations has steadily grown, and the trend will continue to increase. The demand for improved system performance and additional storage is essential for maintaining the biometric records.

In 2019, FDLE signed a three-year extension of the current BIS maintenance contract, after which time the BIS vendor advised FDLE the system may begin experiencing a degradation of service with an unpredictable impact on biometric processing. No further substantive expansions are possible to improve the current system as its core architecture is at the end of its life cycle. Failure to modernize the system may limit FDLE's ability to conduct biometric searches and comparisons. Due to the age of the associated hardware, there is an increased risk of catastrophic equipment failure, resulting in a system downtime of a week or longer. Processing will slow down, and response times to stakeholder groups will increase. The increased time to complete a fingerprint search and return a response will create a public safety concern.

The BIS degradation of service will also slow the processing times of fingerprint-based criminal history checks in Florida for those attempting to obtain a license from a regulatory agency, obtain employment in a position of special trust or serve vulnerable populations. Furthermore, it will adversely affect the ability to share biometric data with the FBI for nation-wide searches.



Already local agencies utilizing latent workstations are operating on outdated and unsupported hardware and software which creates a security vulnerability and cannot be addressed in the current system. Without modernizing FDLE's automated fingerprint identification system, the current BIS risks catastrophic system failure which will immediately impact FDLE's operating trust fund based on the inability to make identifications for fingerprint-based criminal history background checks. These daily functions also include supporting officer and public safety at booking, criminal arrests, and communication with the FBI. Ultimately, if not remedied, the degradation of the system will impact safety for all Floridians and visitors to the state of Florida.

## 2. Business Objectives

In order to comply with Florida Statute 943.051 and the expectations of leaders, administrators, and decision-makers, the BIS Modernization project must support the following business objectives:

- Provide a statewide repository to support the collection of booking (ten-print) records, latent prints, retained civil prints; photographs to include booking, tattoos, and iris; and Rapid Identification (Rapid ID) workload through a cloud-based solution
- Provide improved processes for receiving, storing, and displaying data
- Provide more rapid development and deployment of applications and services
- Ability to provide increased storage capacity as required
- Establish a Disaster Recovery (DR) solution for biometric data housed in BIS, thereby providing a quicker recovery time from a catastrophic system outage and provide redundancy in the storage of the data
- Provide the ability to monitor capacity and increase capacity as data requirements continue to expand
- Provide an improved process for the management of images including fingerprints, palmprints, latent prints, and images such as mugshots, tattoos, and scars
- Provide a method for managing civil records independently from criminal records
- Provide improved reporting capability including the ability to run real-time reports
- Provide full functioning, identical test, and production systems
- Provide improved existing workflows within BIS
- Provide criminal workflows for Notices to Appear (NTA) and added charges while in custody
- Automate sealed and expunged records indicators
- Ability to establish new workflows for processes such as Livescan in the courtrooms, added charges, personal reviews, and deceased records
- Support enhanced communication between BIS and CCH
- Support enhanced communications between BIS and the FBI's Next Generation Identification (NGI) system
- Meet current FBI, FDLE and state security requirements
- Support an interface to local Automated Fingerprint Information System (AFIS) installations that comply with the Interface Control Document (ICD)
- Comply with state and national fingerprint retention requirements
- Provide the ability to receive, process and submit data through NIEM XML standards and the FBI's Electronic Biometric Transmission Specification (EBTS)
- Support data submissions to Florida's CJIS Portal
- Take advantage of the enhanced system accuracy.

## B. Baseline Analysis

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

### 1. Current Business Process(es)

FDLE is responsible for collecting, processing, storing, maintaining, and disseminating criminal justice information records necessary to the operation of Florida's criminal justice agencies. For every adult physically arrested and for juveniles arrested for specified offenses, the statute requires a booking event that includes fingerprints, palm prints, and facial images be submitted to FDLE's BIS. All criminal history records maintained by FDLE are based on positive biometric identification. Each offender is assigned a unique number called a State Identification (SID) number, also known as an FDLE number. Fingerprints may be captured using the "ten-print" which includes fingerprints from all ten digits from criminals and civilians and "less-than-ten" which is the industry term for transactions like Rapid ID.

BIS contains fingerprints, palm prints, and facial images. This includes a total of 31.5 million fingerprints and 9.6 million subject fingerprints; 8.9 million palm prints; and 5.1 million facial images. (There are approximately 400,000 subjects in CCH who have fingerprints on microfilm that are not searchable in BIS.) BIS also contains:

- Demographic information such as name, date of birth, sex, race, height, weight, hair color, eye color, social security number, scars/marks/tattoos, and other personal and physical descriptors
- Charge information including arrest dates, arresting/booking agency, and arrest charges
- Custody information for offenders sentenced to state prison
- Registration information for subjects required to register as a sexual offender, sexual predator, career offender, and those sentenced to felony probation

#### Booking Ten-print Process:

Upon receipt of booking and registration fingerprints from local agencies, BIS compares the submitted fingerprints to existing criminal and civil retained fingerprints to determine if the person has a prior event. If there is a prior event, the fingerprints are verified as being of the same individual prior to the new set of fingerprints being added to the existing record. The booking information is submitted electronically via Livescan fingerprint submissions from sheriff's offices, police departments, county corrections, Department of Juvenile Justice, and other submitting agencies from Florida's 67 counties. While the electronic fingerprint submission of a booking is preferred, in some instances, an agency may need to submit booking information on hard fingerprint cards. Fingerprint cards mailed to FDLE containing the required data elements are forwarded to the Biometric Services Section for entry and verification. When missing or invalid data elements are detected, the fingerprint card is flagged for corrective action. The submitting agency is contacted to resolve any discrepancies found on the fingerprint cards. Upon resolution of the error(s), the information is entered and verified. The fingerprint cards are then scanned and electronically submitted through BIS. BIS also receives Livescan submissions from the Department of Corrections reception centers when inmates are processed for admission to a correctional institution.

#### Latent Print Process:

Latent prints are impressions produced by the ridged skin, known as friction ridges, on human fingers, palms, and soles of the feet. Examiners analyze and compare latent prints to known

prints of individuals to make identifications or exclusions. The Latent Stations located in the FDLE crime laboratories and local crime laboratories directly submit latent images to FDLE. Latents are searched against 20 fingers (10 finger blocks and the plain impressions or slaps) as well as the palm recordings for each hand, and all incidents for each individual stored in the FDLE BIS. This exponentially increases the potential to identify the source of the latent print. Latent Stations interface with the FBI's NGI Remote Universal Latent Workstation (ULW). The BIS Latent Station submits latent transactions using Hyper Text Transfer Protocol (HTTP). The Remote ULW uses email to send /receive NIST-formatted files to/from the FDLE BIS Data Exchange Services (DES) using SMTP, POP3, and IMAP4 protocol. The NIST files are included as SMIME-encoded email attachments.

Retained Civil Print Process:

Section 943.05, Florida Statutes, allows for the submission and subsequent retention of civil fingerprints to FDLE. Following a state and national fingerprint-based record check, FDLE will retain civil fingerprints if: (a) the Authorized Recipient or Qualified Entity requests fingerprint retention, or (b) the Authorized Recipient or Qualified Entity is required to retain civil fingerprints under Florida law. Incoming criminal fingerprints submitted to FDLE are searched against all retained fingerprints. If a fingerprint match occurs, FDLE provides criminal event notifications to the Authorized Recipient or Qualified Entity of the retained monitored civilian. The Florida Integrated Criminal History System (FALCON) automatically provides each criminal registration and arrest notification to the Authorized Recipient or Qualified Entity via the FDLE Information Notification System (FINS). FDLE requires all Authorized Recipients and Qualified Entities to validate and manage their own retained civilian fingerprints through FALCON.

Rapid Identification (Rapid ID):

Small, often portable, "less-than-ten" fingerprint readers referred to as edge devices are required to perform rapid identification transactions. The edge devices capture and submit biometric data to Rapid ID, which makes a search against fingerprint minutia data from events provided from BIS. Edge devices are employed in a variety of settings including jails, courtrooms, and patrol cars to quickly perform searches to determine if a person has a criminal event in BIS. Rapid ID is used with multiple functions to include re-registering a sex offender, checking the status of a DNA submission, or querying the FBI's Repository for Individuals of Special Concern (RISC).

**2. Assumptions and Constraints**

**Assumptions**

- Detailed requirements must be documented before moving forward with the project for each implementation phase.
- The system will comply with state of Florida and FBI Criminal Justice Information Services (CJIS) Security Policies.
- The system will comply with the standardized system communications FDLE based on NIEM XML.
- Fingerprint matching algorithms are proprietary.
- Livescan devices will not require any software change.

**Constraints**

- Existing latent workstations must be replaced to connect to the modernized BIS.
- CCH, FALCON, Civil Workflow Control System (CWCS) interfaces must be modified to

- connect to the modernized BIS.
- Livescan devices will need to be updated with the modernized workstation software.

### C. Proposed Business Process Requirements

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

#### 1. Proposed Business Process Requirements

The system shall meet the following requirements:

- Collect latent prints, ten-prints, images, and data for criminal bookings from local and state agencies
- Collect ten-prints and data for civil fingerprint submissions
- Collect palm prints data from local and state agencies
- Collect latent prints from unsolved criminal investigations for comparison to retained criminal and civil fingerprints
- Expand image collection beyond mugshots to other modalities
- Improved matching algorithms
- Provide the following interfaces:
  - Livescan
  - Latent Workstations
  - County AFIS
  - FBI's Next Generation Identification (NGI) system
  - FALCON
  - CWCS
  - Digital Image System
  - CCH
- Retain all source fingerprint submissions
- Generate workload and throughput statistics for canned and ad hoc reporting
- Provide notifications when specific trigger events occur within the system
- Provide separate work queues for processing data submissions
- Provide administrative functions and features
- Support or improve existing functionality
- Establish a Disaster Recovery (DR) solution
- Expand criminal workflows for new processes (e.g., NTA)
- Support new and projected expansion and data storage needs

#### 2. Business Solution Alternatives

This section describes the analysis of alternative approaches considered for implementing a replacement for the current BIS system.

To conduct the alternatives analysis the following steps were performed:

- Identified and defined a list of potential alternative system implementation methods
- Developed high-level functional requirements the new system must be capable of addressing
- Established a set of uniform evaluation criteria against which each alternative was measured

- Evaluated each of the alternatives through the application of the evaluation criteria
- Determined the best alternative for the Department

Three approaches are presented:

### **Approach 1: In-House Management of Fingerprint Processing**

Develop a new in-house system using a combination of staff and contracted staff. This approach is not feasible. FDLE does not have the technical expertise to build a biometric identification system or biometric matching algorithms.

### **Approach 2: System Replacement**

Replace the current biometric identification system with a new solution which can meet FDLE's functional requirements and capacity needs. Replacing the aging BIS system allows for a new, more robust AFIS system with improved matching capabilities while also supporting expanded capabilities for new biometric modalities like facial recognition and iris scans.

### **Approach 3: Status Quo/As-Is**

Continue to operate FDLE's current biometric identification system. No modifications or improvement can be made at this time. Additionally, system hardware is of an age where replacement of parts is no longer feasible or available, requiring potential replacement of whole portions of the system which the current vendor has indicated is no longer possible.

## **3. Rationale for Selection**

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

These criteria include:

- Additional effort required to migrate data to an alternative proprietary system
- Initial and future workload for state and local agencies
- Ability to automate or streamline biometric identification processes
- Expand the ability to integrate with additional systems
- Ability to dynamically expand capacity as growing workload demands
- Impact to vendor and agency systems
- Impact to FDLE IT services and systems
- Cost to transition to a different vendor
- Accuracy of record matching

## **4. Recommended Business Solution**

After evaluation of several approaches, the recommended business solution is to replace the current BIS with a new modernized solution, based on Approach 2, above. This system will meet Florida's needs for collecting, processing, storing, maintaining, and disseminating of biometrically based records. FDLE intends to modernize the BIS with sole source procurement that is customizable to meet current and future business needs and integrate with existing systems. FDLE has been operating Idemia biometric identification solution since the 1980's and has extensive experience with the fingerprint technology they provide. In order to reduce the inherent risk of this large technology project, contracting with the existing vendor reduces the risk and cost associated with attempting to procure and integrate fingerprint identification

technology from other firms. Each biometric identification company has proprietary fingerprint matching algorithms; therefore, migrating to another proprietary matching algorithm would be costly and time-consuming.

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

- BIS repository
- BIS matching subsystem
- Integration with existing interfaces
- Incorporating Rapid ID
- Software as a service
- Project management services
- Workflow software customization services
- User Management
- Data analysis and migration services
- System integration and testing services
- Implementation and configuration
- Training services (technical and user)
- Security services

#### **D. Functional and Technical Requirements**

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

The following are the high-level requirements for the new BIS:

- Improve the methods of receiving, storing, and displaying data
- Improve system performance and flexibility of the database, programs, and reports in real time
- Store the demographic information for the retained civil fingerprint submissions
- Expand criminal and civil workflows
- Provide a function for managing agency users and associated licenses
- Provide management functionality for administrators
- Provide full system auditing and search capability
- Provide error queue management functionality
- Provide full functioning, identical test, and production systems
- Collect and manage ten-print, palm print images and data from local agencies
- Provide counties access to their submitted data
- Improved automated matching capabilities
- Provide connectivity and interoperability to latent print workstations
- Provide new modalities for facial recognition and iris scans
- Establish a Disaster Recovery (DR) solution with real-time failover capability
- Meet FDLE's information technology (IT) standards and policies
- Maintain compliance with the FBI CJIS Security Policy (CSP), state of Florida, and FDLE security rules
- Follow FDLE standard on system availability: minimum 99.5% uptime, 24 hours a day, 7 day a week and 365 days a year

- Contain all migrated data from the current BIS to the new solution
- Meet the estimated capacity needs
- Interface with existing internal and external systems and include extensive security measures

### III. Success Criteria

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

| SUCCESS CRITERIA TABLE |   |   |                        |                          |
|------------------------|---|---|------------------------|--------------------------|
| #                      | Description of Criteria   | How will the Criteria be measured/assessed?   | Who benefits?          | Realization Date (MM/YY) |
| 1                      | More detailed and accurate fingerprint information available      | Increase of BIS completing prints without review by a fingerprint analyst above 99% | FDLE<br>Local Agencies | 12/2025                  |
| 2                      | More complete biometric data available                            | Able to have the technology to capture facial and iris capabilities                 | FDLE<br>Local Agencies | 12/2025                  |
| 3                      | Decrease the amount of manual processing                          | Data verification information generated by BIS and available users                  | FDLE                   | 12/2025                  |
| 4                      | Leverage new technology   | Use of latest and standardized technology and services                              | FDLE                   | 12/2025                  |
| 5                      | Improve workflows and support new workflows                       | Validation of workflows   | FDLE                   | 12/2025                  |
| 6                      | Improved real time run reports with better layout for readability | Validation of real time reports   | FDLE                   | 12/2025                  |
| 7                      | Improved user-friendly administrator screens                      | Validation of Administrator screens   | FDLE                   | 12/2025                  |
| 8                      | Ability to view original submission                               | Validation of submission  | FDLE                   | 12/2025                  |

| SUCCESS CRITERIA TABLE |  |  |      |         |
|------------------------|--|--|------|---------|
| 9                      | Provide a test system that is functionally identical to production                                     | Validation of test system  | FDLE | 10/2025 |
| 10                     | Implementation of a DR system  | Measured by the existence of a DR system for the BIS production system | FDLE | 10/2023 |
| 11                     | Meet FDLE’s high availability requirements   | Validation of BIS; Must be available 99.5% of the time.                | FDLE | 06/2025 |
| 12                     | Meet FDLE’s Information Technology (IT) standards and policies   | Review of BIS processes to FDLE standards and policies                 | FDLE | 12/2025 |
| 13                     | Maintain compliance with the FBI CJIS Security Policy (CSP), State of Florida, and FDLE security rules | Validation of Compliance   | FDLE | 12/2025 |
| 14                     | Support current and new interfaces   | Validation of interfaces   | FDLE | 12/2025 |
| 15                     | Successful migration of BIS data   | Measured by the system containing all data from the legacy BIS system  | FDLE | 10/2023 |

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

##### A. Benefits Realization Table

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

| 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) |



| BENEFITS REALIZATION TABLE |  |  |  |  |         |
|----------------------------|--|--|--|--|---------|
| 1                          | Modern system for the 21 <sup>st</sup> century | <ul style="list-style-type: none"> <li>• Public</li> <li>• Criminal Justice Agencies</li> <li>• Non-criminal Justice Agencies</li> <li>• FDLE</li> </ul> | The current BIS was put into production in 2009 with an original 5-year contract plan, and subsequently underwent three major planned upgrades to expand its capacities and extend its life expectancy. It will have a framework that is scalable and extensible allowing it to respond and adapt to the internet age, provide new functions and services  | A modern system for the 21 <sup>st</sup> century will be measured by the implementation.   | 12/2025 |
| 2                          | Improved public and officer safety             | <ul style="list-style-type: none"> <li>• Public</li> <li>• Criminal Justice Agencies</li> <li>• Non-criminal Justice Agencies</li> </ul>                 | The “cost of a life” is priceless. Improved effectiveness and efficiency to match biometric data will have a significant impact on criminal justice stakeholders which include the ability to quickly share necessary biometric information during the course of a criminal investigation, the decision to release an inmate on bail during judicial proceedings or determining eligibility for civilians seeking a license or employment to serve vulnerable populations. | Improved public safety is not easily measured. Improved matching capability should provide improved information sharing with stakeholder partners. | 12/2025 |

| BENEFITS REALIZATION TABLE |  |  |   |   |         |
|----------------------------|--|--|---|---|---------|
| 3                          | More complete and timely data for the criminal history background checks ( <i>Non-criminal Justice</i> ) | <ul style="list-style-type: none"> <li>• Public</li> <li>• Vulnerable populations</li> <li>• DCF</li> <li>• DJJ</li> <li>• AHCA</li> <li>• DOH</li> <li>• APD</li> <li>• DOACS</li> <li>• DBPR</li> <li>• Elder Affairs</li> </ul> | Implementing new technologies that will enable the BIS to handle larger volumes of transactions more efficiently, provide more accurate biometric matching, and add previously unavailable system functionalities such as Iris and Facial capabilities. Improved effectiveness and efficiency to match biometric data will have a significant impact on criminal justice stakeholders which include the ability to quickly share necessary biometric information to determine eligibility for civilians seeking a license or employment, such as those that serve vulnerable populations. | More complete and timely data for the criminal history background checks (Non-criminal Justice) use will be measured by the implementation of new methods for receiving data, storing data, and displaying data in a new BIS. | 12/2025 |

| BENEFITS REALIZATION TABLE |   |   |  |   |         |
|----------------------------|---|---|--|---|---------|
| 4                          | More complete and timely information for criminal justice use | <ul style="list-style-type: none"> <li>• Public</li> <li>• Law Enforcement Agencies</li> <li>• Department of Corrections</li> <li>• Courts</li> <li>• State Attorneys</li> <li>• Jails</li> </ul> | <p>The completeness and timeliness of criminal data have a significant impact on criminal justice decisions which increase public safety. Examples are:</p> <ul style="list-style-type: none"> <li>• Investigations</li> <li>• Arrests and booking decisions</li> <li>• Pre-trial release (bail and bond) decisions</li> <li>• Charging decisions</li> <li>• Jail classification decisions</li> <li>• Sentencing and disposition decisions</li> <li>• Custody classification decisions</li> <li>• Sex offender registrations</li> <li>• Collection of DNA from felony offenders</li> </ul> | <p>More complete and timely information for criminal justice use will be measured by the implementation of new methods for receiving data, storing data, and displaying data in a new BIS system. It also contributes to the improved accuracy of criminal history records maintained with the CCH.</p> | 12/2025 |
| 5                          | Improved database structure                                   | <ul style="list-style-type: none"> <li>• FDLE</li> </ul>  | <p>A modernized BIS will have a new structure that will improve data storage and reliability. The current system would require a minimum of 7-14 days to recover from catastrophic failure in order to rebuild the repository and repair/replace hardware. The modernized system will have failover disaster recovery capability and require approximately 2 days of recovery time to main system operability.</p>   | <p>The improved database structure will be measured by improved data integrity through improved data storage and improved performance of the database updates.</p>  | 12/2025 |

## B. Cost Benefit Analysis (CBA)

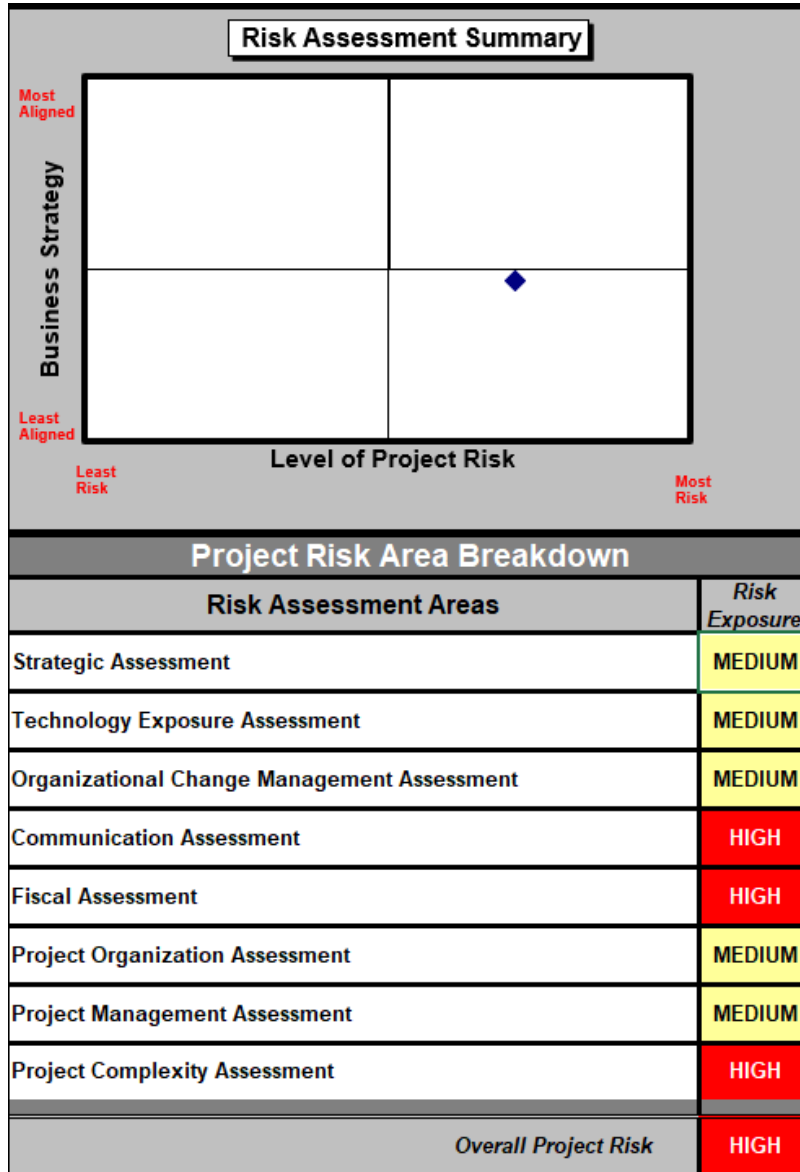
*Purpose: To provide a comprehensive financial prospectus specifying the project's tangible benefits, funding requirements, and proposed source(s) of funding.*

The forms required for CBA are included as Appendix B.

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

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

### A. Risk Assessment Summary Table



The complete risk assessment worksheets are in Appendix C.

## VI. Schedule IV-B Technology Planning

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

### A. Current Information Technology Environment

The current BIS was originally deployed in 2009 and designed to meet the FDLE capacity, throughput and / requirements for 5 years (2013). The BIS has been incrementally upgraded three separate times since 2013 to expand its capacity and extend its life expectancy. The life expectancy designs of systems use estimates of future capacity and throughput, and the BIS is no different. Actual production figures often differ from projections and as a result, manufacturers tend to add extra 'buffer' into their designs to mitigate the risk of reaching system capacities earlier than planned. The actual BIS production data analysis concluded that the contingency contracted capacities will fully be at capacity by January 2022. This could result in delayed system response time.

Estimate is based on the following assumptions:

- Average or projected database growth based on the 2018 actuals rate remains constant
- Average throughput remains constant based on the 2018 actuals

#### 1. Current System

##### a. Description of Current System

The FDLE BIS is the third largest repository in the nation, containing approximately 9.8 million unique person IDs and 32.5 million fingerprint images, for both criminals and civilian monitored populations such as licensees and employees in positions of special trust. BIS receives and processes 2,000 criminal booking submissions and over 8,300 fingerprint-based criminal history record check submissions daily. Additionally, there are over 9,000 active Rapid ID devices throughout the state that submit over 1.5 million searches per year to the BIS Rapid ID matchers. The Interface Control Document (ICD) details the system's existing processes.

The existing BIS was installed in 2009, and many of the components are approaching or at End of Support (EOS) or End of Life (EOL) as defined by the Original Equipment Manufacturers (OEMs).

- The core architecture is reaching capacity as throughput continues to increase.
- Hardware replacement is unavailable for most components.
- Failure of servers will disable the system.

The table below shows the monthly Performance Metrics of the Transactions.

| DATE                       | 2023-04 | 2023-03 | 2023-02 | 2023-01 | 2022-12 |
|----------------------------|---------|---------|---------|---------|---------|
| Total All Transaction      | 513,339 | 574,133 | 510,210 | 538,177 | 454,595 |
| Total Criminal Search TOT  | 63,181  | 63,267  | 56,841  | 60,350  | 51,584  |
| Total Applicant Search TOT | 211,317 | 243,413 | 210,200 | 228,897 | 188,773 |
| Total Latent Search TOT    | 6,516   | 7,585   | 6,549   | 6,932   | 6,324   |
| Total None Search TOT      | 232,325 | 259,868 | 236,620 | 241,998 | 207,914 |

### **Requirements for Public Access, Security, Privacy, and Confidentiality**

The BIS meets the requirements of the FBI concerning access and use of criminal records and Florida Statutes that allow public access.

### **Hardware Characteristics**

The overall FDLE system consists of two (2) Advanced Data Storage (ADS) production servers. There are separate network interfaces for users accessing via CJNET versus the internet, and each interface includes a network load balancer. Most storage is internal to the servers, may use the FDLE SAN.

### **Software Characteristics**

The overall FDLE system uses a number of different software and data-based components that have been developed over the years. The characteristics for software used by state and local agencies that submit data to FDLE vary by agency.

### **Existing System and Process Documentation**

The current processes, software products and tools in use at FDLE have evolved over the years. Documentation for the total system as a whole does not exist, although some individual processes and software products have been documented. System and process documentation available at state and local agencies that submit data to FDLE are unknown.

### **System Interfaces**

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

- Rapid DNA
- LiveScan
- Latent Workstations
- County AFIS
- FBI's NGI system
- FALCON
- CWCS
- Digital Image System
- CCH

### **Consistency with FDLE's Software Standards and Hardware Platforms**

The BIS is consistent with agency software standards and hardware platforms. The agency has adopted Oracle on Linux operating system and Microsoft SQL Server on Windows operating system as its standard relational database management system and Java as its standard programming language.

## **b. Current System Resource Requirements**

### **BIS Web Application Architecture**

The current BIS web application architecture is hosted at FDLE and consists of:

- Two (2) Advanced Data Storage (ADS) Servers – Oracle Real Application Cluster
- One Storage Area Network
- One Backup Server (BUPS) with EMC Legato NetWorker

- One Advanced Matching Service (AMS) Subsystem
- Six (6) Data Exchange Services (DES) – Red Hat Linux Cluster
- Eight (8) Data Processing Services (DPS) Computers
- Two (2) Web/Application Servers – Cluster
- One Centralized Management Service (CMS) Computer
- One Centralized Print Service (CPS) Computer
- Six (6) System Server Cabinets
- Three (3) System Console with KVM Switches
- Six (6) Ethernet Switches
- Two (2) Storage Cabinets
- One Tape Library Cabinet
- Two (2) BatchScan Stations
- Three (3) PrintScan stations
- Forty-one (41) PrintScan Software Licenses (without card scanning capability)
- Twelve (12) Latent Stations
- Ten (10) Report Laser Printers
- Two (2) Fingerprint/Palmprint Card Laser Printers
- Eight (8) Photo Quality Printers
- Ninety-Two (92) Review Station Software Licenses
- Eight (8) Review Stations (for county BIS database maintenance and reports), including:
  - Seventy-Two (72) Descriptor Data Completion Entry (DDCE) Software Licenses
  - Four (4) Review Station Software Licenses (to be used for FDLE system support personnel)

The following software is part of the FDLE system:

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

### **c. Current System Performance**

The amount of BIS data grows every year. The BIS has been incrementally upgraded three separate times since 2009 to expand its capacity and extend its life expectancy, which expanded and optimized the Data Exchange Services of the BIS to allow adequately process increased message volumes. The upgrades also expanded and improved the Matching Sub-System (matchers) and replaced and expanded the SAN and Oracle database to meet



expanding capacity and throughput demands. It expanded the Matching Sub-System and workflows to integrate the Applicant AFIS (Black Box Plus) workflows and 1.8 million retained applicant records and extend the capacity and throughput support through December 31, 2021. The BIS core architecture cannot support any further substantive expansions.

The life expectancy designs of systems use estimates of future capacity and throughput, and the BIS is no different. Actual production figures often differ from projections and as a result, manufacturers tend to add extra 'buffer' into their designs to mitigate the risk of reaching system capacities earlier than planned. However, the vendor notified FDLE that our current system would be End of Life on December 31, 2020, and the agency may begin to see a degradation of the systems that will impact the safety of all Floridians and visitors of the State of Florida.

### Strategic Information Technology Direction

FDLE embraces and promotes open system standards that are established within the IT industry such as, American National Standards Institute (ANSI), and NIEM. These standards and models support the strategic direction of the agency.

- **Architecture** – Promote the use of a multi-tier architecture that allows flexibility, scalability, and reusability.
- **Server Operating Systems** – Utilize server operating systems that will be either Red Hat Linux or Microsoft Windows Server.
- **Server Hardware** – Promote the use of server virtualization
- **Database Management Systems** – Store data in relational database(s) using either Oracle Relational Database Management System (RDBMS) or Microsoft SQL Server.
- **Application Software** – Develop application software using Java Platform Enterprise Edition (Java EE).
- **Storage** – Promote the use of SAN.
- **System Reliability and Availability** – Provide information systems and network services that give end users high (99.5+ %) reliability and availability/redundancy.
- **Integration and Efficiency** – Create modular, integrated systems that can be maintained by FDLE staff and can be easily modified to meet changing business needs of the agency.
- **High Availability and Disaster Recovery** – Provide a modular, integrated system that provides high availability through disaster recovery.

### 2. Information Technology Standards

Details are available in Appendix A.

## B. Current Hardware and/or Software Inventory

### BIS Web Application Architecture

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

- Firewall protecting FDLE user access
- Two (2) Advanced Data Storage (ADS) Servers – Oracle Real Application Cluster, including:
  - Four (4) Oracle Enterprise License
  - Four (4) Oracle RAC

- One Storage Area Network, including:
  - Two (2) Fiber Channel Hubs
  - One RAID Array Storage Subsystem (50 TB)
  - One LTO Automated Tape Library (50 TB)
- One Backup Server (BUPS) with EMC Legato NetWorker
- One Advanced Matching Service (AMS) Subsystem, including
  - Two (2) Advanced Matcher Controller (AMC) – Red Hat Linux Cluster
  - Eighty (80) Adaptive Matcher Processor (AMP)
  - Four (4) Expert Matching (EM)
  - Thirty (30) Palmprint Adaptive Matcher Processor (PAMP)
  - Two (2) Grayscale Matcher (GSM)
- Six (6) Data Exchange Services (DES) – red Hat Linux Cluster; as per the following:
  - Two (2) LiveScan/CWCS/ULW Interface – Cluster
  - Two (2) CCH Interface/NGI/Interstate AFIS Interface – Cluster
  - Two (2) Mail servers – Cluster
- Eight (8) Data Processing Services (DPS) Computers
- Two (2) Web/Application Servers – Cluster
- One Centralized Management Service (CMS) Computer
- One Centralized Print Service (CPS) Computer
- Six (6) System Server Cabinets
- Three (3) System Console with KVM Switches
- Six (6) Ethernet Switches
- Two (2) Storage Cabinets
- One Tape Library Cabinet
- Two (2) BatchScan Stations, Including:
  - One Workstation PC with 20” Flat Panel Display, Keyboard & mouse
  - Two (2) Flatbed Scanners with Automatic Document Feeder
  - One Workstation Desk and Chair
- Three (3) PrintScan stations
  - One Workstation PC with 24” and 20” Flat Panel Displays, Keyboards & Mouse
  - One Flatbed Scanner
  - One Workstation Desk and Chair
- Forty-one (41) PrintScan Software Licenses (without card scanning capability)
- Twelve (12) Latent Stations
  - One Workstation PC with 24” and 20” Flat Panel Display, Keyboard & Mouse
- Ten (10) Report Laser Printers
- Two (2) Fingerprint/Palmprint Card Laser Printers
- Eight (8) Photo Quality Printers
- Ninety-Two (92) Review Station Software Licenses
- Eight (8) Review Stations (for county BIS database maintenance and reports), including:
  - One Workstation PC with Monitor, Keyboard and Mouse
  - One Review Station Software License
- Seventy-Two (72) Descriptor Data Completion Entry (DDCE) Software Licenses
  - One for each existing FDLE Motorola LiveScan that does not have a JMS
- Four (4) Review Station Software Licenses (to be used for FDLE system support personnel)

The following software is part of the FDLE system:

- Microsoft Windows 2012
- Linux

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

## C. Proposed Technical Solution

### 3. Technical Solution Alternatives

This section describes the analysis of alternative approaches considered for implementing a replacement for the current BIS.

To conduct the alternatives analysis the following steps were performed:

- Identified and defined a list of potential alternative system implementation methods
- Developed high-level functional requirements that the new system must be capable of addressing
- Established a set of uniform evaluation criteria against which each alternative was measured
- Evaluated each of the alternatives through the application of the evaluation criteria
- Determined the best alternative for the Department

Three approaches are presented:

#### **Approach 1: On-Premises Solution Replacement**

Replace the current biometric identification system with an on-premises option to be housed in the FDLE data center.

#### **Approach 2: Cloud-Based Solution Replacement**

Replace the current biometric identification system with a vendor provided and supported cloud-based solution/service.

#### **Approach 3: Status Quo/As-Is**

Continue to operate FDLE's current biometric identification system. No modifications or improvement can be made at this time and the vendor has notified FDLE that the current system will be at End of Support on December 31, 2021.

### 4. Rationale for Selection

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

These criteria include:

- Additional effort required to migrate data to an alternative proprietary system
- Initial and future workload for state and local agencies

- Ability to automate or streamline biometric identification processes
- Expand the ability to integrate with additional systems
- Ability to dynamically expand capacity as growing workload demands
- Impact to vendor and agency systems
- Impact to FDLE IT services and systems
- Cost to transition to a different vendor
- Accuracy of record matching

Fingerprint matching is at the utmost importance due to the necessity to accurately match records and is a critical factor in the selection rationale of the solution.

## 5. Recommended Technical Solution

After comparing the on-premises option to the cloud-based solution, FDLE recommends replacing the current BIS with a new modernized cloud-based solution. This recommendation is based on many factors however a few critical factors are summarized below. This system will meet Florida's needs for collecting, processing, storing, maintaining, and disseminating of biometrically based records. Software as a service will allow FDLE to avoid purchasing and maintaining physical hardware. In addition, the upfront cost is significantly reduced. By utilizing software as a service and a phased approach to modernizing the BIS, FDLE is able to minimize the initial cost and adjust the solution as needed. By paying annual maintenance fees, FDLE will no longer make large scale budget requests for a multi-year projects every 7-10 years to sustain the state's biometric repository.

FDLE intends to modernize the BIS with a sole source procurement that is customizable to meet current and future business needs and integrate with existing systems. FDLE has been operating Idemia biometric identification systems since the 1980's and has extensive experience with the fingerprint technology they provide. In order to reduce the inherent risk of this large technology project, contracting with the existing vendor reduces the risk and cost associated with attempting to procure and integrate fingerprint identification technology from other firms. Each biometric identification company has proprietary fingerprint matching algorithms; therefore, migrating to another proprietary matching algorithm would be costly and time-consuming. The vendor's cloud-based system maintained at multiple identical sites allows for more robust backup and recovery capabilities, improved capability of matchers and processing for increased speed and accuracy. The modernized cloud-based BIS will be able to process and store all biometric data due to its ability to dynamically expand to support current and future capacity needs unlike traditional on-premises systems. In addition, the system will be able to perform all necessary upgrades as required with seamless scalability. The ability to expand and upgrade continuously will support the efforts to ensure public safety.

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

- BIS repository
- BIS matching subsystem
- Cloud-based disaster recovery
- Integration with existing interfaces
- Incorporating Rapid ID
- Software as a service
- Project management services
- Workflow software customization services

- User management
- Data analysis and migration services
- System integration and testing services
- Implementation and configuration
- Training services (technical and user)
- Security services

The risks of not implementing a new BIS are listed below:

- Slower processing times of fingerprint-based criminal history checks in Florida for those attempting to obtain a license from a regulatory agency, obtain employment in a position of special trust or serve vulnerable populations could create citizen safety concerns.
- Adversely affect the ability to share biometric data with the FBI for nation-wide searches
- Catastrophic system failure would immediately impact FDLE's operating trust fund based on the inability to make identifications for fingerprint-based criminal history background checks.
- The inability to process daily functions including supporting officer and public safety for all Floridians and visitors to the state of Florida would be jeopardized.
- It will be difficult to incorporate the enhancements required by business or legislation.
- Old technology is limited regarding compliance with emerging federal data communications standards.
- The current BIS is limited to operating latent workstations under Microsoft Windows 7 Operating System. This creates potential security issues moving forward.
- Over time, it will be difficult to acquire technical resources to maintain the old technology. It is also anticipated that this will also result in more frequent and longer down times of the system.
- The current system is showing signs of hardware failure; at least five hard drives have failed to date, and server fans are being replaced regularly.
- The BIS core architecture cannot support any further substantive expansions.
- BIS production data analysis concluded that the contingency contracted capacities will be at capacity by January 2022. This could result in delayed system response time.

## D. Proposed Solution Description

The proposed solution is to replace the current BIS with a new modernized cloud-based solution that will be customized to meet Florida's public safety needs.

### 1. Summary Description of Proposed System

FDLE plans to implement the modernized cloud-based BIS solution in multiple phases. Due to the current capacity issues addressing disaster recovery and Rapid ID, will provide critical relief to the issues with the current BIS and are executed concurrently. FDLE needs to implement the new system in the following phases:

**Phase 1a:** Replicates data storage from the on-premises Storage Area Network (SAN – used within the Advanced Data Services) to the Azure Government Cloud. This provides FDLE two active copies of the AFIS data. If the on-premises SAN fails before the full cloud migration, we will switchover to using the Azure cloud storage. The database in the Azure cloud will also be backed up to a geo-redundant cloud site to eliminate reliance on the on-premises tape library for data backup.

The use of Azure to provide a backup solution also allows the Oracle RAC HA solution on the existing system to be maintained.

**Phase 1b:** Builds upon Phase 1a by establishing the FDLE Multi-Biometric Identification System (MBIS) in the Cloud and moving the Rapid ID functionality into the Cloud.

**Phase 2:** Builds upon Phase 1b by expanding the scale and functionality of the FDLE Cloud MBIS platform by adding all remaining ABIS functionality

- Latent, finger, and palm print identification services
- Delivery to FDLE of new Latent Expert workstations with Windows 10 or newer operating systems, to enhance FBI CJIS compliance
- Criminal and Applicant processing
- Two-factor authentication
  - IDEMIA I&S will leverage the Azure’s Active Directory (AD). During the requirements-gathering phase, the project team will work with FDLE to determine the 2<sup>nd</sup> factor.
- MBIS Dashboard functionality
- Face Expert facial comparison capabilities built into the solution
- Iris Matching algorithm libraries included within the MBSS matching sub-system
  - 10 x Ruggedized LiveScans with iris capture functionality delivered to the Department of Corrections to begin building the Iris database

After Phase 2, all system processing will be performed using the Azure cloud MBIS, and a mutually agreed upon decommission plan will be implemented for the legacy on-premises BIS AFIS.

**System Type**

- Microsoft Azure Government Cloud
- Software as a service
- Web-based interface

**Connectivity**

The modernized BIS will interface with the FBI system over existing secure connections. FDLE will provide connectivity to the new BIS.

**Security, Privacy, Confidentiality, Access**

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

**Development and Procurement Approach**

To realize the business solution, FDLE plans a sole source procurement process to acquire the commercially available system that can be customized to meet FDLE’s business requirements.

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

- BIS repository
- BIS matching subsystem
- Integration with existing interfaces
- Incorporating Rapid ID
- Software as a service

- Project management services
- Workflow software customization services
- User management
- Data analysis and migration services
- System integration and testing services
- Implementation and configuration
- Training services (technical and user)
- Security services

Fingerprint matching is at the utmost importance due to the necessity to accurately match records that is relied upon for public safety. In order to accomplish the above objectives and timelines needed to continue operations of FDLE current BIS while addressing current capacity and degradation issues, FDLE must enter into a sole source procurement. This will allow FDLE to avoid continued degradation of the current system, operational failure in the impending future and ensure the highest level of accuracy is maintained.

***Internal and External Interfaces***

BIS interfaces with several systems. The systems interfaces are listed below:

- Rapid DNA
- LiveScan
- Latent Workstations
- County AFIS
- FBI's NGI system
- FALCON
- CWCS
- Digital Image System
- CCH

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

Anticipated total project costs are summarized in the table below:

SCHEDULE IV-B FOR BIOMETRIC IDENTIFICATION SOLUTION (BIS) MODERNIZATION

|                        |                                       |                          |                |
|------------------------|---------------------------------------|--------------------------|----------------|
| <b>Title:</b>          | BIS Modernization                     | <b>Customer Contact:</b> |                |
| <b>Tracking #:</b>     | TBD                                   | <b>ITS Lead:</b>         | Abdullah Alman |
| <b>Customer:</b>       | Criminal Justice Information Services | <b>Planned Finish:</b>   | 6/30/2025      |
| <b>Manager:</b>        |                                       | <b>Version #:</b>        | 1.0            |
| <b>Planned Start:</b>  | 7/1/2022                              |                          |                |
| <b>Duration (mos):</b> | 36.5                                  |                          |                |
| <b>Baseline Date:</b>  | 7/1/2022                              |                          |                |
| <b>Revision Date:</b>  |                                       |                          |                |

| Project Budget           | Planned            | Planned            | Planned            | Planned    |                     |
|--------------------------|--------------------|--------------------|--------------------|------------|---------------------|
| Cost Elements            | FY22-23            | FY23-24            | FY24-25            | FY25-26    | Totals              |
| <b>Staff</b>             |                    |                    |                    |            |                     |
| State Staff              | \$0                | \$0                | \$0                | \$0        | \$0                 |
| OPS                      | \$0                | \$0                | \$0                | \$0        | \$0                 |
| <b>Expenses</b>          |                    |                    |                    |            |                     |
| Project Deliverables     | \$0                | \$0                | \$0                | \$0        | \$0                 |
| Other Expenses           | \$30,000           | \$30,000           | \$30,000           | \$0        | \$90,000            |
|                          |                    |                    |                    |            | \$0                 |
| <b>Contract Services</b> |                    |                    |                    |            | \$0                 |
| Contract Staff           | \$540,000          | \$540,000          | \$595,000          | \$0        | \$1,675,000         |
| Project Deliverables     | \$2,719,497        | \$3,500,000        | \$2,741,376        | \$0        | \$8,960,873         |
| Other IT Services        | \$480,000          | \$650,000          | \$1,436,820        | \$0        | \$2,566,820         |
|                          |                    |                    |                    |            | \$0                 |
| <b>Total</b>             | <b>\$3,769,497</b> | <b>\$4,720,000</b> | <b>\$4,803,196</b> | <b>\$0</b> | <b>\$13,292,693</b> |

| Recurring Maintenance Budget                      |                  |                    |                    |                     |
|---|------------------|--------------------|--------------------|---------------------|
| Cost Elements                                     | FY 22 -23        | FY 23 -24          | FY 24-25           | FY 25-26 & etc      |
| Maintenance Expenses (MFN2 Network costs)         | \$180,000        | \$1,500,000        | \$1,500,000        | \$1,500,000         |
| Contracted Services Maintenance (Idemia contract) | \$0              | \$1,946,082        | \$6,579,303        | \$8,525,385         |
| <b>Total</b>                                      | <b>\$180,000</b> | <b>\$3,446,082</b> | <b>\$8,079,303</b> | <b>\$10,025,385</b> |

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

The FDLE BIS is the third largest repository in the nation, containing approximately 9.5 million unique person IDs and 31.5 million fingerprint images, for both criminals and civilian monitored populations such as licensees and employees in positions of special trust. BIS receives and processes 2,000 criminal booking submissions and over 8,300 fingerprint-based criminal history record check submissions daily. Additionally, there are over 9,000 active Rapid ID devices throughout the state that submit over 1.5 million searches per year to the BIS Rapid ID matchers. The Interface Control Document (ICD) details the system’s existing processes.

The existing BIS was installed in 2009, and many of the components are approaching or at End of Support (EOS) or End of Life (EOL) as defined by the Original Equipment Manufacturers (OEMs).

- The core architecture is reaching capacity as throughput continues to increase.
- The existing hardware is supported until December 31, 2021.
- Hardware replacement is unavailable for most components.
- Failure of servers will disable the system.
- Security patching will no longer be provided leaving the system vulnerable.



The table below shows the monthly Performance Metrics of the Transactions.

| DATE                       | 2023-04 | 2023-03 | 2023-02 | 2023-01 | 2022-12 |
|----------------------------|---------|---------|---------|---------|---------|
| Total All Transaction      | 513,339 | 574,133 | 510,210 | 538,177 | 454,595 |
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| Total Applicant Search TOT | 211,317 | 243,413 | 210,200 | 228,897 | 188,773 |
| Total Latent Search TOT    | 6,516   | 7,585   | 6,549   | 6,932   | 6,324   |
| Total None Search TOT      | 232,325 | 259,868 | 236,620 | 241,998 | 207,914 |

**Hardware Characteristics**

The overall FDLE system consists of two (2) Advanced Data Storage (ADS) production servers. There are separate network interfaces for users accessing via CJNET versus the internet, and each interface includes a network load balancer. Most storage is internal to the servers, may use the FDLE SAN.

**Software Characteristics**

The overall FDLE system uses a number of different software and data-based components that have been developed over the years. The characteristics for software used by state and local agencies that submit data to FDLE vary by agency.

**Capacity Concerns and Forecast**

- The large number of LTO-4 tapes currently required to do a backup translates to a 6 to 15 days timeline to restore the system should the system experience catastrophic failure.

|                      | Contractual | Values from System Statistics |            |            |            |            |            |            |            |
|----------------------|-------------|-------------------------------|------------|------------|------------|------------|------------|------------|------------|
|                      |             | Jan 2018                      | Jan 2019   | Jan 2020   | Jan 2021   | Jan 2022   | Jan 2023   | Jan 2024   | Jan 2025   |
| Tenprint Person      | 12,500,000  | 8,754,244                     | 9,074,007  | 9,385,069  | 9,522,499  | 9,732,758  | 10,016,477 | 10,024,741 | 10,325,483 |
| Tenprint Incidents   | 32,000,000  | 27,218,091                    | 28,619,909 | 29,960,057 | 30,959,464 | 32,034,040 | 33,223,990 | 33,443,538 | 34,446,844 |
| Palm Print Person    | 3,200,000   | 2,351,522                     | 2,510,785  | 2,660,873  | 2,778,583  | 2,902,095  | 3,036,339  | 3,070,417  | 3,162,529  |
| Palm Print Incidents | 9,000,000   | 6,756,574                     | 7,464,748  | 8,159,274  | 8,707,976  | 9,261,741  | 9,848,059  | 9,863,754  | 10,159,667 |
| Mugshots             | 2,000,000   | 2,900,371                     | 3,553,863  | 4,240,724  | 4,823,887  | 5,419,003  | 6,055,030  | 6,150,568  | 6,335,085  |

**Projected Requirements**

The modernized BIS must migrate all data from the current BIS to the new solution. The table below is an example of the data needed to be migrated.

| Record Type              | Number of Records |
|--------------------------|-------------------|
| Ten-print                | 33,100,000        |
| Palm Print               | 10,200,000        |
| Face Incidents(Mugshots) | 6,400,000         |
| Latent Case              | 150,000           |
| Latent Palm              | 97,000            |

The modernized BIS must meet, at a minimum, the estimated capacity needs documented in the table below.

| Record Type                            | Initial Capacity | Yr-7 Capacity |
|--|------------------|---------------|
| Ten-print Incidents (500 ppi)          | 33,100,000       | 52,100,000    |
| Palm print Incidents (500 ppi)         | 10,200,000       | 17,200,000    |
| Latent Case                            | 200,000          | 325,000       |
| Latent                                 | 181,000          | 310,000       |
| Face Incidents (Mugshots per incident) | 6,400,000        | 13,400,000    |
| Unsolved Latent Fingers                | 181,000          | 310,000       |
| Unsolved Latent Palms                  | 90,700           | 155,700       |
| Iris Incidents                         | 200,000          | 245,000       |

## VII. Schedule IV-B Project Management Planning

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

### **Project Scope**

The scope of this project is to design, develop, and replace the current BIS with more modernized automated fingerprint identification system. BIS is a statewide automated fingerprint identification system capable of, but not limited to, reading, classifying, matching, and storing fingerprints, rolled fingerprints, and latent fingerprints. The system is available to every criminal justice agency that is responsible for the administration of criminal justice.

BIS holds all criminal fingerprints, palm prints, mugshots, and scars, marks and tattoo images collected during booking in the state of Florida along with subject’s demographic information and criminal charge data. The system uses a combination of automated and manual matching of fingerprints (and palm prints) of new/unknown persons against the existing repository with the purpose of establishing identity. It is used by law enforcement and criminal justice agencies for identification of criminals and by forensic labs for solving crimes.

BIS also compares civil fingerprints submitted for criminal history record checks by Authorized Recipients or Qualified Entities to the criminal fingerprints held in the repository. In addition, Authorized Recipients or Qualified Entities can have these civil fingerprints retained for additional comparison to all incoming booking and criminal registration fingerprints. If a fingerprint match of an incoming criminal submission occurs to a retained civil fingerprint, FALCON transmits a notification of the match to the Authorized Recipient or Qualified Entity.

In addition, the scope of the project includes to build and administer an IT infrastructure to support new and projected expansion and data storage needs related to the storage of criminal data.

FDLE's primary objectives for this project are to:

- Replace current BIS
- Support existing and new interfaces
- Support current and future BIS functionality
- Incorporate several enhancements to the system
- Support additional storage needed to store criminal information
- Support future storage needs

### **Project Phasing Plan**

This project consists of three high-level phases: detailed planning, procurement/contracting, and implementation and deployment. Given the number of state and local agencies that interface to the BIS, the overall timeframe for this project is relatively long. Additionally, FDLE needs to have the new BIS in place by June 2025 therefore, all phases of the project will overlap, so at least partial functionality is in place by then.

#### **Phase 1 – Detailed Planning**

The detailed planning phase involves designing and developing the BIS technical specification and technical requirements, assembling the project team, and establishing mechanisms for FDLE to collaborate with state and local law enforcement agencies and with vendors. The technical specification and technical requirements documentation are provided to state and local agencies to gain their feedback. During this phase, FDLE will also continue to collect and update information collected during readiness assessments to fill in missing information and to make updates. This was completed in year 2022.

#### **Phase 2 - Contracting**

This phase of project will include obtaining funding and statutory approvals to move forward with the sole source procurement process. FDLE signed the contract with Idemia on October 2022.

#### **Phase 3 - Implementation and Deployment**

The implementation and deployment phase start as soon as the technical specification and requirements are available. Additionally, FDLE can start development of a test plan and various documentation and software tools to simplify development and testing of products. Once the procurement/contracting phase is complete, vendors can start development of the BIS either by developing a new system or customizations of an existing product.

FDLE will provide technical assistance to those agencies and vendors to aid with the rapid adjustment, to answer questions, and to provide support to ensure a successful BIS replacement.

Toward the end of this phase, desirable additional features or requirements may have been identified; technology advances may be available that would improve the process and related systems; user requests may have been received; new features may be available in the various products; etc. Therefore, it is anticipated that a round of future enhancements and technology refreshes are beneficial to improve services; stay current with technology; and continue to improve the overall process. These enhancements and refreshes are conducted in parallel to any ongoing work. FDLE will retire and decommission outdated business process, tools, methods, and functions that no longer add value to BIS.

### **Baseline Schedule**

A more detailed baseline schedule is prepared after a contract is established with vendors. The MBIS project schedule has been created working with Idemia and FDLE.

### **Project Organization**

The comprehensive nature of the BIS necessitates the coordination among a variety of disparate agencies and groups. This project requires coordination and management of a skilled project staff consisting of technical, functional, and administrative staff, mixed with contract staff and task-specific vendors.

The BIS Project organization consists of the Project Steering Committee (PSC), the Project Manager, and the Project Team. FDLE SME's and a number of other groups provide additional support. Each group performs a particular role for the project and is comprised of members of ITS, CJIS, and FDLE leadership.

#### **FDLE Executive Leadership**

The Executive Leadership consists of the Deputy Executive Director (Public Safety Services), Deputy Executive Director of Office of Statewide Investigative and Forensic Services, Assistant Executive Director (A), Assistant Executive Director (B), Director of CJIS (also the project sponsor), and the Chief Information Officer (CIO). The CJIS Director and CIO report to the Assistant Executive Director (A) of Public Safety Services. The Executive Leadership provides guidance on project decisions that impact scope, schedule, and budget.

#### **FDLE Project Steering Committee**

The PSC monitors and resolves risks and issues and provides direction to the PM for the day-to-day operations, to minimize impact to project scope, schedule, and budget.

Regular meetings are conducted (based on direction from the PSC) to provide project updates. Meetings focus on action items, scope change requests, and risks (issues impacting budget or timeliness). The meetings follow a standard agenda. Critical project needs are addressed, and guidance and direction are requested from the PSC as appropriate. The PSC provides assessment and analysis, ensuring that supporting initiatives are based upon knowledgeable and information decisions.

A status report is prepared for each meeting and is distributed to each attendee. The member of the PSC will be determined at a project initiation.

#### **Project Manager**

The PM is responsible for the overall management and coordination of the work effort and successful completion of the BIS project. The PM monitors the day-to-day status of project team efforts. This includes establishing and maintaining the project management plan, assigning, directing, and monitoring the work of project staff, serving as FDLE's primary point of contact for the prime contractor, managing issues and risks, monitoring, and reporting project status, and reviewing contract deliverables prior to delivery to the PSC for approval.

#### **Project Team**

The BIS Project Team consists of a core group of FDLE members responsible for the day-to-day tasks associated with the project. This team is comprised largely of members of Criminal Justice Information Services, Information Technology Services, and any other positions (FTE or Contract) deemed necessary for the successful completion of the project.

#### **Contract Manager**

As a member of the Project Team, the Contract Manager is responsible for gathering the necessary information for developing the SOW and other contracting vehicles, monitoring the award of those contracts, ensuring performance delivery as required by the contract and closing out contracts when the tasks are completed. The Contract Manager works closely with FDLE contract and legal members to ensure that all work is accomplished within State and FDLE contracting rules and guidelines. The Contract Manager will coordinate budget issues and maintain awareness of all expenditures and accounts payable.

#### FDLE Implementation and Transition Unit (ITU)

Workgroups will assist the Project Team in ensuring that the BIS project meets the operational needs. SMEs, representatives from business operations, and IT are assigned to the project. Business staff consisting of management and Criminal Justice Information Consultants, is assembled to improve BIS. The unit is responsible for implementation and transition of external agencies to the new system, as well as for stakeholder and customer communication, education/training, preparation, and readiness for the new technology. They will evaluate existing policies and determine whether modifications are needed, or if new policies need to be created, to mitigate privacy or other risks related to new services and business processes.

The ITU will serve as the conduit through which user community stakeholders and program personnel communicate, ensuring the resulting services are compliant with the mission. This includes policy identification/coordination for new services, questions for the record, and public inquires. This project will require extensive coordination with loyal agencies as they make modifications to their systems to become compliant with state specifications.

#### **Quality Assurance Plan**

The focus of the quality management process is to build effective processes that enable the production of high-quality deliverables that meet the specified business requirements. The quality management procedure consists of two principal processes: Quality Assurance (QA) and Quality Control (QC). This plan is created and approved by FDLE.

#### **Quality Assurance**

QA is the practice of adhering to planned, established and systematic approaches designed to ensure the high caliber of the deliverables and the detection and correction of any errors. It provides information about a common set of guidelines and standards to be applied by the Project Team. The primary aspect of a QA review is to ensure that the processes established for the project are being followed. If new processes are required, a group will be formed to establish the quality procedure. The benefits of following quality assurance processes include the following:

- Improved communication
- Improved planning and requirement gathering/definition processes
- Improved development process
- Improved product quality
- Better criteria for hardware and software testing
- Easier transition to production for hardware and software

The most effective QA activity is a formal QA review. The Project Team will conduct these reviews of project processes. Using results generated by this review, the PM will direct follow-up actions to ensure that the project uses sound processes. Additionally, the ESC will advise the PM of any observed deficiencies in processes and the PM will take corrective action to resolve the deficiency in the future.

### **Quality Control**

QC activities are those focused on the inspection and/or testing of the deliverable produced. The QC Team will verify that the deliverables are of acceptable quality and that they are technically accurate. QC is the responsibility of the Project Team and the PM or Task Lead responsible for a deliverable. The PM will monitor the activities associated with the acceptance of deliverables. QC is conducted before a deliverable is submitted as final to be approved by the PM. The Project Manager is responsible for developing and maintaining a Quality Plan. The Quality Plan will document major deliverables of the project, completeness and correctness criteria, quality control activities and quality assurance activities.

#### **Topics Addressed in the Quality Plan:**

Quality Control activities associated with project deliverables:

- Document Deliverables
- Hardware and Software Deliverables
- Service Deliverables

Quality Assurance activities:

- QA processes (Requirements Traceability, Testing, Data Migration, etc.)
- Responsibility for QA processes

Quality Metrics for the project such as:

- Customer Satisfaction
- IT Satisfaction
- Vendor Satisfaction
- Changes in Scope
- Changes to Schedule
- Changes in Cost
- Number and Type of Issues
- Number and Type of Defects
- Preparedness of customer to assume production responsibilities
- Preparedness of IT to assume production responsibilities
- Solution "Fitness for Use"

System testing and operational acceptance testing will be the primary QC processes used to assure that deliverables meet FDLE's documented requirements. System testing will involve specific testing and measurement at a technical level to verify compatibility, usability, performance, accuracy, and content of results.

### **External Project Oversight**

Criminal and Juvenile Justice Information Systems Council (CJJIS)

The CJJIS Council was created by section 943.08, F.S., with the purpose to develop and implement a statewide strategy for identification, sharing, and coordination of criminal and juvenile justice data among federal, state, and local criminal justice agencies. The Council is comprised by 15 members, consisting of representatives from the Attorney General, State Attorneys, Department of Law Enforcement, Department of Corrections, Parole Commission, Department of Juvenile Justice, Department of Highway Safety and Motor Vehicles, Department of Children and Families, Public Defenders, and the Office of State Court Administrators. The Governor of Florida appoints two sheriffs, two police chiefs, and one clerk of court to the Council. With this broad representation of the criminal justice community, all issues receive a full and fair hearing from all perspectives.

Pursuant to Rule 74-1.009 F.A.C., this project will include the contracting of an independent verification and validation vendor to provide additional project oversight. FDLE contracted with a third-party vendor to perform IV&V services for this project.

### **Change Management**

Change management occurs throughout the lifecycle of the project. A change can be related to any facet of the project – scope creep, schedule revision, funding / cost changes, team / resource changes, issues and risks, etc.

If the change is minor (no change to scope, schedule or budget), the PM may determine the change can be met within current project parameters and the formal change process is not necessary. If the change could impact requirements, deliverables, payment schedule, cost, or completion date of a major milestone, the PM (or team member assigned) will consult with the contract manager and fully research the impact of the project change and formulate a resolution. The PM will complete a formal Project Change Request form and present the change to the Project Steering Committee.

The Project Steering Committee will determine if the proposed change should be approved. Members of the Project Steering Committee will signify approval or disapproval of a proposed project change by signing the Project Change Request form.

The PM and Project Steering Committee must consult with FDLE Executive Management if the proposed change significantly alters requirements, deliverables, payment schedule, cost, or completion date of a major milestone. FDLE Executive Management will determine if the proposed change should be approved.

If the Project Steering Committee or FDLE Management determines that the approved project change will require a Contract Amendment, the PM and the contract manager will work with the vendor to prepare the Contract Amendment for the PSC's review and approval. The contract amendment will then be processed according to FDLE contract procedures. This plan is created and approved by FDLE.

### **Communications Plan**

The PM will develop a Communications Plan to provide a framework for addressing change management with customers. The Communications Plan outlines a comprehensive strategy of both communicating project and process change information to the BIS customer base and others affected by the project as well as receiving and processing input/feedback from customers and others. The Communication Plan identifies communication strategies which will be used to target the different audience groups (users, stakeholders, advisors, media, decision-makers, etc.) via an assortment of communication methods (Internet and email, formal and informal documents, multi-media presentations, and face-to-face meetings). This document serves as the core of the BIS change management effort and will be updated throughout the life of the project.

Effective communication and outreach, both internal and external to FDLE is critical to the overall new repository statewide BIS during the design, development, and implementation phase of the project and to ensure increased understanding, involvement, and buy-in from all stakeholders. The objectives of the Communications Plan include the following:

- To ensure that target audiences are aware of and understand the purpose and mission of FDLE, particularly as it relates to crime statistics reporting, understand the rationale for development of a new system, and know what will and what will not change as a result of this project.

- To ensure that all audiences and stakeholder groups recognize the benefits of an updated reporting method, and how it will help organizations achieve their criminal justice objectives.
- To provide information to external customers on how implementation of the updated BIS may affect current and future work processes and what will be done to mitigate any perceived negative effects, address and clarify any unrealistic user expectations, and achieve “buy-in” from the internal and external user community.
- To maintain a dynamic and proactive communications campaign, in which information is updated and continuously provided for the benefit of the entire user community, and to establish a culture in which feedback is encouraged and is gathered and evaluated to ensure that project objectives will be met and project goals achieved.

The Project Manager is responsible for developing and maintaining a Communication Management Plan. This plan will document how and in what format information will be communicated, when and where communications are made, and who is responsible for providing each type of communication.

Topics included in the Communication Management Plan:

1. Target Audience - Identification of all possible audience groups in as much detail as possible:
  - Specific stakeholder groups (police departments, sheriffs’ offices, etc.)
  - Project Team
  - Project Steering Committee
  - FDLE management
  - FDLE customers
  - Legislature
  - Oversight agencies
2. Communication Method - Communications may be formal, such as status reports, Operational Work Plans, newsletters, and quarterly meetings or informal such as notices or announcements through email or website. Communications may also be in written form or face-to-face. Examples include such things as:
  - Status reports
  - Operational Work Plans
  - Stakeholder /customer surveys
  - Project newsletters
  - Pamphlets
  - Project website
  - Ad Hoc notices
  - Project Steering Committee meetings
  - Project Team meetings
  - FDLE Executive Management briefs
3. Method of Delivery - Methods of delivery could be such things as:
  - Emails
  - Presentations
  - Reports
  - Website
  - Documents (electronic or paper)
  - Meetings



4. Frequency

Some communications could be set at regular intervals such as meetings or reports required annually, quarterly, biweekly, etc. or upon specific project milestone or phase timelines according to project needs. Some communication could also be random and event-specific such as notices dealing with specific issues.

5. Responsibility

Each type of communication must be assigned to the PM or a specific member of the Project Team.

This plan is created and approved by FDLE.

**Risk Management**

The selected vendor(s) will provide a Risk Management Plan that describes the plan to manage risks throughout the life of the project. A risk refers to future conditions or circumstances, which will have an adverse impact on the project if they occur, that exist outside of the control of FDLE or the Project Team. In other words, a risk is a potential future problem. Risk management is performed continually over the life of the project. Risk management includes the following:

Step 1: Identify major risks to project success

Step 2: Assess the potential impact of each risk and its probability of occurrence

Step 3: Determine appropriate contingency plans

Step 4: Determine the acceptable level of tolerance for each risk

Step 5: Specify mitigation strategies to be implemented for critical risks

Step 6: Periodically review the effectiveness of mitigation strategies and identify any new risks.

Risk identification occurs throughout the life of the project. Any project stakeholder, Project Team member, customer or contractor can submit a risk at any time. A risk mitigation session is conducted at the start of each build or phase. The PM will manage the FDLE risk documents which one of the artifacts maintained throughout the life of the project. Distribution of the risk document will be agreed upon between the FDLE and the vendor PM at the beginning of the engagement. The risk document will be an electronic document and available to the Project Team at all times during the project.

The PM (in consultation with the PSC) evaluates the risk and recommends a risk level. The risk level is used to set the priority of the risk and determine how risks should be addressed.

Risk management includes an ongoing cycle of risk identification, analysis and monitoring. FDLE uses TenStep to perform risk management. Each risk with a risk level of medium or high is evaluated to determine if the impact is severe enough that a risk mitigation plan should be created. If a risk mitigation plan is required, the risk is investigated to determine whether or not the resolution of a risk causes the budget, personnel, scope or schedule to change. In the event a risk mitigation plan must be exercised, project change control processes will be used (if necessary) and activities associated with the risk mitigation plan will be added to the Project Schedule to ensure the work is completed. The PM monitors all risk mitigation plans to ensure they are being executed successfully.

This plan is created and approved by FDLE.

**Implementation Plan**

FDLE will develop the BIS technical specification using the existing BIS specification as the foundation. This specification will include complete documentation, data elements listings, diagrams, and sample data submission messages. FDLE will also establish a developer portal where vendors and agencies can download the technical specification, access documentation and software/tools, ask questions, and request assistance.

Once the sole source procurement contract is in place for the BIS, the vendor(s) will modify their products to meet FDLE's needs and adhere to the business process requirements and the functional and technical requirements defined by FDLE.

The projects will utilize an implementation plan for deploying the solutions to the projection environment. The implementation plan identifies all activities required for successful deployment of the solutions for production use.

The implementation plan will include:

- Implementation Plan (Step-by-step instructions)
- Go-Live Schedule
- Implementation Approvals
- Implementation Communication Plan
- Dependencies
- Resource Requirements
- Failback Plan
- Post-Implementation Tasks

## VIII. Appendices

Appendix A – Standards and Definitions

Appendix B – Cost-Benefit Analysis Worksheet

Appendix C – Risk Assessment Worksheet

Appendix D – Estimated Project Schedule

Appendix A – Standards and Definitions

1. **Chapter 60GG-2, STATE OF FLORIDA CYBERSECURITY STANDARDS**  
<https://www.flrules.org/gateway/ChapterHome.asp?Chapter=60GG-2>
2. **Chapter 60GG-1, State of Florida Project Management and Oversight**  
<https://www.flrules.org/gateway/ChapterHome.asp?Chapter=60GG-1>
3. **Chapter 60GG-3, Data Center Operations**  
<https://www.flrules.org/gateway/ChapterHome.asp?Chapter=60GG-3>
4. **Chapter 60GG-4, Cloud Computing**  
<https://www.flrules.org/gateway/ChapterHome.asp?Chapter=60GG-4>
5. **Chapter 60GG-5, State of Florida Enterprise Architecture**  
<https://www.flrules.org/gateway/ChapterHome.asp?Chapter=60GG-5>
6. **CJIS Security Policy**  
[Criminal Justice Information Services \(CJIS\) Security Policy \(pa.gov\)](#)
7. **United States Rehabilitation Act – Section 508**  
[Manage an IT Accessibility/508 Program | Section508.gov](#)

Appendix B – Cost-Benefit Analysis Worksheet

See additional documents

Appendix C – Risk Assessment Worksheet

See additional documents

Appendix D – Estimated Project Schedule

See additional documents

CBAForm 1 - Net Tangible Benefits

|               |                                       |                |                   |
|---------------|---------------------------------------|----------------|-------------------|
| <b>Agency</b> | Florida Department of Law Enforcement | <b>Project</b> | BIS Modernization |
|---------------|---------------------------------------|----------------|-------------------|

| Net Tangible Benefits - Operational Cost Changes (Costs of Current Operations versus Proposed Operations as a Result of the Project) and Additional Tangible Benefits -- CBAForm 1A |                               |                                |  |                               |                                |  |                               |                                |  |                               |  |  |                               |                                |  |
|---|-------------------------------|--------------------------------|--|-------------------------------|--------------------------------|--|-------------------------------|--------------------------------|--|-------------------------------|--|--|-------------------------------|--------------------------------|--|
| Agency<br><i>(Recurring Costs Only -- No Project Costs)</i>   | FY 2024-25                    |                                |  | FY 2025-26                    |                                |  | FY 2026-27                    |                                |  | FY 2027-28                    |  |  | FY 2028-29                    |                                |  |
|   | (a)<br>Existing Program Costs | (b)<br>Operational Cost Change | (c) = (a)+(b)<br>New Program Costs resulting from Proposed Project | (a)<br>Existing Program Costs | (b)<br>Operational Cost Change | (c) = (a) + (b)<br>New Program Costs resulting from Proposed Project | (a)<br>Existing Program Costs | (b)<br>Operational Cost Change | (c) = (a) + (b)<br>New Program Costs resulting from Proposed Project | (a)<br>Existing Program Costs | (b)<br>Cost Change Operational Cost Change | (c) = (a) + (b)<br>New Program Costs resulting from Proposed Project | (a)<br>Existing Program Costs | (b)<br>Operational Cost Change | (c) = (a) + (b)<br>New Program Costs resulting from Proposed Project |
| <b>A. Personnel Costs -- Agency-Managed Staff</b>   | \$166,764                     | \$0                            | \$166,764  | \$166,764                     | \$0                            | \$166,764  | \$166,764                     | \$0                            | \$166,764  | \$166,764                     | \$0  | \$166,764  | \$166,764                     | \$0                            | \$166,764  |
| <b>A.b Total Staff</b>  | 2.50                          | 0.00                           | 2.50   | 2.50                          | 0.00                           | 2.50   | 2.50                          | 0.00                           | 2.50   | 2.50                          | 0.00                                       | 2.50   | 2.50                          | 0.00                           | 2.50   |
| <b>A-1.a. State FTEs (Salaries &amp; Benefits)</b>  | \$166,764                     | \$0                            | \$166,764  | \$166,764                     | \$0                            | \$166,764  | \$166,764                     | \$0                            | \$166,764  | \$166,764                     | \$0  | \$166,764  | \$166,764                     | \$0                            | \$166,764  |
| <b>A-1.b. State FTEs (#)</b>  | 2.50                          | 0.00                           | 2.50   | 2.50                          | 0.00                           | 2.50   | 2.50                          | 0.00                           | 2.50   | 2.50                          | 0.00                                       | 2.50   | 2.50                          | 0.00                           | 2.50   |
| <b>A-2.a. OPS Staff (Salaries)</b>  | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0  | \$0  | \$0                           | \$0                            | \$0  |
| <b>A-2.b. OPS (#)</b>   | 0.00                          | 0.00                           | 0.00   | 0.00                          | 0.00                           | 0.00   | 0.00                          | 0.00                           | 0.00   | 0.00                          | 0.00                                       | 0.00   | 0.00                          | 0.00                           | 0.00   |
| <b>A-3.a. Staff Augmentation (Contract Cost)</b>  | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0  | \$0  | \$0                           | \$0                            | \$0  |
| <b>A-3.b. Staff Augmentation (# of Contractors)</b>   | 0.00                          | 0.00                           | 0.00   | 0.00                          | 0.00                           | 0.00   | 0.00                          | 0.00                           | 0.00   | 0.00                          | 0.00                                       | 0.00   | 0.00                          | 0.00                           | 0.00   |
| <b>B. Application Maintenance Costs</b>   | \$1,946,082                   | \$6,759,303                    | \$8,705,385  | \$0                           | \$8,705,385                    | \$8,705,385  | \$0                           | \$8,705,385                    | \$8,705,385  | \$0                           | \$8,705,385                                | \$8,705,385  | \$0                           | \$8,705,385                    | \$8,705,385  |
| <b>B-1. Managed Services (Staffing)</b>   | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0  | \$0  | \$0                           | \$0                            | \$0  |
| <b>B-2. Hardware</b>  | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0  | \$0  | \$0                           | \$0                            | \$0  |
| <b>B-3. Software</b>  | \$1,946,082                   | \$6,579,303                    | \$8,525,385  | \$0                           | \$8,525,385                    | \$8,525,385  | \$0                           | \$8,525,385                    | \$8,525,385  | \$0                           | \$8,525,385                                | \$8,525,385  | \$0                           | \$8,525,385                    | \$8,525,385  |
| <b>B-4. Other <span style="float: right;">Express Route</span></b>  | \$0                           | \$180,000                      | \$180,000  | \$0                           | \$180,000                      | \$180,000  | \$0                           | \$180,000                      | \$180,000  | \$0                           | \$180,000                                  | \$180,000  | \$0                           | \$180,000                      | \$180,000  |
| <b>C. Data Center Provider Costs</b>  | \$0                           | \$1,500,000                    | \$1,500,000  | \$0                           | \$1,500,000                    | \$1,500,000  | \$0                           | \$1,500,000                    | \$1,500,000  | \$0                           | \$1,500,000                                | \$1,500,000  | \$0                           | \$1,500,000                    | \$1,500,000  |
| <b>C-1. Managed Services (Staffing)</b>   | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0  | \$0  | \$0                           | \$0                            | \$0  |
| <b>C-2. Infrastructure</b>  | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0  | \$0  | \$0                           | \$0                            | \$0  |
| <b>C-3. Network / Hosting Services</b>  | \$0                           | \$1,500,000                    | \$1,500,000  | \$0                           | \$1,500,000                    | \$1,500,000  | \$0                           | \$1,500,000                    | \$1,500,000  | \$0                           | \$1,500,000                                | \$1,500,000  | \$0                           | \$1,500,000                    | \$1,500,000  |
| <b>C-4. Disaster Recovery</b>   | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0  | \$0  | \$0                           | \$0                            | \$0  |
| <b>C-5. Other <span style="float: right;">Specify</span></b>  | \$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  |
| <b>E-1. Training</b>  | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0  | \$0  | \$0                           | \$0                            | \$0  |
| <b>E-2. Travel</b>  | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0  | \$0  | \$0                           | \$0                            | \$0  |
| <b>E-3. Other <span style="float: right;">Specify</span></b>  | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0  | \$0  | \$0                           | \$0                            | \$0  |
| <b>Total of Recurring Operational Costs</b>   | \$2,112,846                   | \$8,259,303                    | \$10,372,149   | \$166,764                     | \$10,205,385                   | \$10,372,149   | \$166,764                     | \$10,205,385                   | \$10,372,149   | \$166,764                     | \$10,205,385                               | \$10,372,149   | \$166,764                     | \$10,205,385                   | \$10,372,149   |
| <b>F. Additional Tangible Benefits:</b>   |                               | \$0                            |  |                               | \$0                            |  |                               | \$0                            |  |                               | \$0  |  |                               | \$0                            |  |
| <b>F-1. <span style="float: right;">Specify</span></b>  |                               | \$0                            |  |                               | \$0                            |  |                               | \$0                            |  |                               | \$0  |  |                               | \$0                            |  |
| <b>F-2. <span style="float: right;">Specify</span></b>  |                               | \$0                            |  |                               | \$0                            |  |                               | \$0                            |  |                               | \$0  |  |                               | \$0                            |  |
| <b>F-3. <span style="float: right;">Specify</span></b>  |                               | \$0                            |  |                               | \$0                            |  |                               | \$0                            |  |                               | \$0  |  |                               | \$0                            |  |
| <b>Total Net Tangible Benefits:</b>   |                               | (\$8,259,303)                  |  |                               | (\$10,205,385)                 |  |                               | (\$10,205,385)                 |  |                               | (\$10,205,385)                             |  |                               | (\$10,205,385)                 |  |

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

| A  | B  |                                       | C                      | D   | E                                   | F            |                     | G         | H           | I                | J         | K           | L                |           | M           | N                | O         | P           | Q                | R            | S            | T                   |
|--|--|---------------------------------------|------------------------|---|-------------------------------------|--------------|---------------------|-----------|-------------|------------------|-----------|-------------|------------------|-----------|-------------|------------------|-----------|-------------|------------------|--------------|--------------|---------------------|
| 1  | Florida Department of Law Enforcement  |                                       | BIS Modernization      |   | CBA Form 2A Baseline Project Budget |              |                     |           |             |                  |           |             |                  |           |             |                  |           |             |                  |              |              |                     |
| Costs entered into each row are mutually exclusive. Insert rows for detail and modify appropriation categories as necessary, but do not remove any of the provided project cost elements. Reference vendor quotes in the Item Description where applicable. Include only one-time project costs in this table. Include any recurring costs in CBA Form 1A. |  |                                       |                        |   | FY2024-25                           |              |                     | FY2025-26 |             |                  | FY2026-27 |             |                  | FY2027-28 |             |                  | FY2028-29 |             |                  | TOTAL        |              |                     |
| 2  |  |                                       |                        |   | \$ 5,277,209                        |              |                     | \$ -      |             |                  | \$ -      |             |                  | \$ -      |             |                  | \$ -      |             |                  | \$ 5,277,209 |              |                     |
| 3  |  |                                       |                        |   | \$ -                                |              |                     | \$ -      |             |                  | \$ -      |             |                  | \$ -      |             |                  | \$ -      |             |                  | \$ -         |              |                     |
| 4  | Item Description<br>(remove guidelines and annotate entries here)  | Project Cost Element                  | Appropriation Category | Current & Previous Years Project-Related Cost | YR 1 #                              | YR 1 LBR     | YR 1 Base Budget    | YR 2 #    | YR 2 LBR    | YR 2 Base Budget | YR 3 #    | YR 3 LBR    | YR 3 Base Budget | YR 4 #    | YR 4 LBR    | YR 4 Base Budget | YR 5 #    | YR 5 LBR    | YR 5 Base Budget | TOTAL        |              |                     |
| 5  | Costs for all state employees working on the project.  | FTE                                   | S&B                    | \$ -  | 0.00                                | \$ -         | \$ -                | 0.00      | \$ -        | \$ -             | 0.00      | \$ -        | \$ -             | 0.00      | \$ -        | \$ -             | 0.00      | \$ -        | \$ -             | \$ -         | \$ -         |                     |
| 6  | Costs for all OPS employees working on the project.  | OPS                                   | OPS                    | \$ -  | 0.00                                | \$ -         | \$ -                | 0.00      | \$ -        | \$ -             | 0.00      | \$ -        | \$ -             | 0.00      | \$ -        | \$ -             | 0.00      | \$ -        | \$ -             | \$ -         | \$ -         |                     |
| 7  | Staffing costs for personnel using Time & Expense.   | Staff Augmentation                    | Contracted Services    | \$ -  | 2.00                                | \$ 375,000   | \$ -                | 0.00      | \$ -        | \$ -             | 0.00      | \$ -        | \$ -             | 0.00      | \$ -        | \$ -             | 0.00      | \$ -        | \$ -             | \$ -         | \$ 375,000   |                     |
| 8  | Project management personnel and related deliverables.   | Project Management                    | Contracted Services    | \$ -  | 1.00                                | \$ 220,000   | \$ -                | 0.00      | \$ -        | \$ -             | 0.00      | \$ -        | \$ -             | 0.00      | \$ -        | \$ -             | 0.00      | \$ -        | \$ -             | \$ -         | \$ 220,000   |                     |
| 9  | Project oversight to include Independent Verification & Validation (IV&V) personnel and related deliverables.  | Project Oversight                     | Contracted Services    | \$ -  | 0.00                                | \$ 350,000   | \$ -                | 0.00      | \$ -        | \$ -             | 0.00      | \$ -        | \$ -             | 0.00      | \$ -        | \$ -             | 0.00      | \$ -        | \$ -             | \$ -         | \$ 350,000   |                     |
| 10   | Staffing costs for all professional services not included in other categories.   | Consultants/Contractors               | Contracted Services    | \$ -  | 0.00                                | \$ -         | \$ -                | 0.00      | \$ -        | \$ -             | 0.00      | \$ -        | \$ -             | 0.00      | \$ -        | \$ -             | 0.00      | \$ -        | \$ -             | \$ -         | \$ -         |                     |
| 11   | Separate requirements analysis and feasibility study procurements.   | Project Planning/Analysis             | Contracted Services    | \$ -  |                                     | \$ -         | \$ -                |           | \$ -        | \$ -             |           | \$ -        | \$ -             |           | \$ -        | \$ -             |           | \$ -        | \$ -             | \$ -         | \$ -         |                     |
| 12   | Hardware purchases not included in data center services.   | Hardware                              | OCO                    | \$ -  |                                     | \$ -         | \$ -                |           | \$ -        | \$ -             |           | \$ -        | \$ -             |           | \$ -        | \$ -             |           | \$ -        | \$ -             | \$ -         | \$ -         |                     |
| 13   | Commercial software purchases and licensing costs.   | Commercial Software                   | Contracted Services    | \$ -  |                                     | \$ -         | \$ -                |           | \$ -        | \$ -             |           | \$ -        | \$ -             |           | \$ -        | \$ -             |           | \$ -        | \$ -             | \$ -         | \$ -         |                     |
| 14   | Professional services with fixed-price costs (i.e. software development, installation, project documentation)  | Project Deliverables                  | Contracted Services    | \$ -  |                                     | \$ 2,741,376 | \$ -                |           | \$ -        | \$ -             |           | \$ -        | \$ -             |           | \$ -        | \$ -             |           | \$ -        | \$ -             | \$ -         | \$ 2,741,376 |                     |
| 15   | All first-time training costs associated with the project. 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. | Training                              | Contracted Services    | \$ -  |                                     | \$ -         | \$ -                |           | \$ -        | \$ -             |           | \$ -        | \$ -             |           | \$ -        | \$ -             |           | \$ -        | \$ -             | \$ -         | \$ -         |                     |
| 16   | Other contracted services not included in other categories.  | Data Center Services - One Time Costs | Data Center Category   | \$ -  |                                     | \$ -         | \$ -                |           | \$ -        | \$ -             |           | \$ -        | \$ -             |           | \$ -        | \$ -             |           | \$ -        | \$ -             | \$ -         | \$ -         |                     |
| 17   | Include costs for non-state data center equipment required by the project and the proposed solution (insert additional rows as needed for detail)  | Other Services                        | Contracted Services    | \$ -  |                                     | \$ 1,560,833 | \$ -                |           | \$ -        | \$ -             |           | \$ -        | \$ -             |           | \$ -        | \$ -             |           | \$ -        | \$ -             | \$ -         | \$ 1,560,833 |                     |
| 18   | Include costs associated with leasing space for project personnel.   | Equipment                             | Expense                | \$ -  |                                     | \$ -         | \$ -                |           | \$ -        | \$ -             |           | \$ -        | \$ -             |           | \$ -        | \$ -             |           | \$ -        | \$ -             | \$ -         | \$ -         |                     |
| 19   | Other project expenses not included in other categories.   | Leased Space                          | Expense                | \$ -  |                                     | \$ -         | \$ -                |           | \$ -        | \$ -             |           | \$ -        | \$ -             |           | \$ -        | \$ -             |           | \$ -        | \$ -             | \$ -         | \$ -         |                     |
| 20   |  | Other Expenses                        | Expense                | \$ -  |                                     | \$ 30,000    | \$ -                |           | \$ -        | \$ -             |           | \$ -        | \$ -             |           | \$ -        | \$ -             |           | \$ -        | \$ -             | \$ -         | \$ 30,000    |                     |
| 21   | <b>Total</b>   |                                       |                        |   | \$ -                                | <b>3.00</b>  | <b>\$ 5,277,209</b> | \$ -      | <b>0.00</b> | \$ -             | \$ -      | <b>0.00</b> | \$ -             | \$ -      | <b>0.00</b> | \$ -             | \$ -      | <b>0.00</b> | \$ -             | \$ -         | \$ -         | <b>\$ 5,277,209</b> |

CBAForm 2 - Project Cost Analysis

|  |   |  |                                  |
|--|---|--|----------------------------------|
|  | Agency <u>Florida Department of Law Enforcement</u> |  | Project <u>BIS Modernization</u> |
|--|---|--|----------------------------------|

| PROJECT COST SUMMARY   | PROJECT COST SUMMARY (from CBAForm 2A) |             |             |             |             | TOTAL       |
|--|--|-------------|-------------|-------------|-------------|-------------|
|  | FY 2024-25                             | FY 2025-26  | FY 2026-27  | FY 2027-28  | FY 2028-29  |             |
| TOTAL PROJECT COSTS (*)  | \$5,277,209                            | \$0         | \$0         | \$0         | \$0         | \$5,277,209 |
| <b>CUMULATIVE PROJECT COSTS</b><br><i>(includes Current &amp; Previous Years' Project-Related Costs)</i> | \$5,277,209                            | \$5,277,209 | \$5,277,209 | \$5,277,209 | \$5,277,209 |             |
| Total Costs are carried forward to CBAForm3 Project Investment Summary worksheet.                        |  |             |             |             |             |             |

| PROJECT FUNDING SOURCES                | PROJECT FUNDING SOURCES - CBAForm 2B |              |              |              |              | TOTAL        |
|--|--------------------------------------|--------------|--------------|--------------|--------------|--------------|
|  | FY 2024-25                           | FY 2025-26   | FY 2026-27   | FY 2027-28   | FY 2028-29   |              |
| General Revenue                        | \$8,904,004                          | \$0          | \$0          | \$0          | \$0          | \$8,904,004  |
| Trust Fund                             |                                      | \$0          | \$0          | \$0          | \$0          | \$0          |
| Federal Match <input type="checkbox"/> | \$2,952,508                          | \$0          | \$0          | \$0          | \$0          | \$2,952,508  |
| Grants <input type="checkbox"/>        | \$0                                  | \$0          | \$0          | \$0          | \$0          | \$0          |
| Other <input type="checkbox"/> Specify | \$0                                  | \$0          | \$0          | \$0          | \$0          | \$0          |
| <b>TOTAL INVESTMENT</b>                | \$11,856,512                         | \$0          | \$0          | \$0          | \$0          | \$11,856,512 |
| <b>CUMULATIVE INVESTMENT</b>           | \$11,856,512                         | \$11,856,512 | \$11,856,512 | \$11,856,512 | \$11,856,512 |              |

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

CBAForm 3 - Project Investment Summary

|        |  |         |                   |
|--------|--|---------|-------------------|
| Agency | Florida Department of Law<br>Enforcement | Project | BIS Modernization |
|--------|--|---------|-------------------|

| COST BENEFIT ANALYSIS -- CBAForm 3A     |                |                |                |                |                |                        |
|---|----------------|----------------|----------------|----------------|----------------|------------------------|
|   | FY<br>2024-25  | FY<br>2025-26  | FY<br>2026-27  | FY<br>2027-28  | FY<br>2028-29  | TOTAL FOR ALL<br>YEARS |
| Project Cost                            | \$5,277,209    | \$0            | \$0            | \$0            | \$0            | \$5,277,209            |
| Net Tangible Benefits                   | (\$8,259,303)  | (\$10,205,385) | (\$10,205,385) | (\$10,205,385) | (\$10,205,385) | (\$49,080,843)         |
| Return on Investment                    | (\$13,536,512) | (\$10,205,385) | (\$10,205,385) | (\$10,205,385) | (\$10,205,385) | (\$54,358,052)         |
| Year to Year Change in Program Staffing | 0              | 0              | 0              | 0              | 0              |                        |

| RETURN ON INVESTMENT ANALYSIS -- CBAForm 3B |                |   |
|---|----------------|---|
| Payback Period (years)                      | NO PAYBACK     | Payback Period is the time required to recover the investment costs of the project.             |
| Breakeven Fiscal Year                       | NO PAYBACK     | Fiscal Year during which the project's investment costs are recovered.                          |
| Net Present Value (NPV)                     | (\$49,534,677) | 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<br>2024-25 | FY<br>2025-26 | FY<br>2026-27 | FY<br>2027-28 | FY<br>2028-29 |
| Cost of Capital                                 | 2.90%         | 3.10%         | 3.30%         | 3.40%         | 3.50%         |

|    | B  | C                            | D  | E                                  | F | G                | H                    |
|----|--|------------------------------|--|------------------------------------|---|------------------|----------------------|
| 3  | <b>Project</b>   |                              | <i>Biometric Identification Solution Modernization</i> |                                    |   |                  |                      |
| 4  |  |                              |  |                                    |   |                  |                      |
| 5  | <b>Agency</b>  |                              | <i>Florida Department of Law Enforcement</i>           |                                    |   |                  |                      |
| 6  | <b>FY 2024-25 LBR Issue Code:</b>  |                              |  | <b>FY 2024-25 LBR Issue Title:</b> |   |                  |                      |
| 7  | <i>36124C0</i>   |                              |  | <i>BIS Modernization</i>           |   |                  |                      |
| 8  | <b>Risk Assessment Contact Info (Name, Phone #, and E-mail Address):</b> |                              |  |                                    |   |                  |                      |
| 9  | <i>Becky Bezemek, 850-410-8459, beckybezemek@fdle.state.fl.us</i>        |                              |  |                                    |   |                  |                      |
| 10 | <b>Executive Sponsor</b>   |                              | <i>Lucy Saunders</i>                                   |                                    |   |                  |                      |
| 11 | <b>Project Manager</b>   |                              | <i>Abdullah Alman</i>                                  |                                    |   |                  |                      |
| 12 | <b>Prepared By</b>   |                              | <i>Abdullah Alman</i>                                  |                                    |   | <i>5/24/2023</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>LOW</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>MEDIUM</b>        |
| 47 |  |                              |  |                                    |   |                  |                      |
| 48 | <b>Project Management Assessment</b>                                     |                              |  |                                    |   |                  | <b>MEDIUM</b>        |
| 49 |  |                              |  |                                    |   |                  |                      |
| 50 | <b>Project Complexity Assessment</b>                                     |                              |  |                                    |   |                  | <b>HIGH</b>          |
| 51 |  |                              |  |                                    |   |                  |                      |
| 52 |  |                              |  |                                    |   |                  |                      |
| 53 | <b>Overall Project Risk</b>  |                              |  |                                    |   |                  | <b>HIGH</b>          |



|    | B   | C   | D  | E   |
|----|---|---|--|---|
| 1  | Agency: Florida Department of Law Enforcement |   | Project: Biometric Identification Solution Modernization   |   |
| 3  | Section 1 -- Strategic Area                   |   |  |   |
| 4  | #   | Criteria  | Values   | Answer  |
| 5  | 1.01  | Are project objectives clearly aligned with the agency's legal mission?   | 0% to 40% -- Few or no objectives aligned  | 81% to 100% -- All or nearly all objectives aligned         |
| 6  |   |   | 41% to 80% -- Some objectives aligned  |   |
| 7  |   |   | 81% to 100% -- All or nearly all objectives aligned  |   |
| 8  | 1.02  | Are project objectives clearly documented and understood by all stakeholder groups?   | Not documented or agreed to by stakeholders  | Informal agreement by stakeholders                          |
| 9  |   |   | Informal agreement by stakeholders   |   |
| 10 |   |   | Documented with sign-off by stakeholders   |   |
| 11 | 1.03  | Are the project sponsor, senior management, and other executive stakeholders actively involved in meetings for the review and success of the project? | Not or rarely involved   | Most regularly attend executive steering committee meetings |
| 12 |   |   | Most regularly attend executive steering committee meetings  |   |
| 13 |   |   | Project charter signed by executive sponsor and executive team actively engaged in steering committee meetings |   |
| 14 | 1.04  | Has the agency documented its vision for how changes to the proposed technology will improve its business processes?                                  | Vision is not documented   | Vision is completely documented                             |
| 15 |   |   | Vision is partially documented   |   |
| 16 |   |   | Vision is completely documented  |   |
| 17 | 1.05  | Have all project business/program area requirements, assumptions, constraints, and priorities been defined and documented?                            | 0% to 40% -- Few or none defined and documented  | 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   | Greater than 5 years  |
| 35 |   |   | Between 3 and 5 years  |   |
| 36 |   |   | Between 1 and 3 years  |   |
| 37 |   |   | 1 year or less   |   |

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

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

|    | B                                      | C  | D  | E  |
|----|--|--|--|--|
| 1  | Agency: Agency Name                    |  | Project: Project Name  |  |
| 3  | <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  | Yes  |
| 6  |  |  | No   |  |
| 7  | 4.02                                   | Does the project Communication Plan promote the collection and use of feedback from management, project team, and business stakeholders (including end users)? | Negligible or no feedback in Plan                                    | Routine 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                                   | Plan does not include key messages                                   |
| 15 |  |  | Some key messages have been developed                                |  |
| 16 |  |  | All or nearly all messages are documented                            |  |
| 17 | 4.06                                   | Have desired message outcomes and success measures been identified in the Communication Plan?  | Plan does not include desired messages outcomes and success measures | Plan does not include desired messages outcomes and success measures |
| 18 |  |  | Success measures have been developed for some messages               |  |
| 19 |  |  | All or nearly all messages have success measures                     |  |
| 20 | 4.07                                   | Does the project Communication Plan identify and assign needed staff and resources?  | Yes  | Yes  |
| 21 |  |  | No   |  |

|    | B   | C  | D   | E  |
|----|---|--|---|--|
| 1  | Agency: Florida Department of Law Enforcement |  | Project: Biometric Identification Solution Modernization  |  |
| 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   | Greater than \$10 M  |
| 11 |   |  | Greater than \$10 M   |  |
| 12 |   |  | Between \$2 M and \$10 M  |  |
| 13 |   |  | Between \$500K and \$1,999,999  |  |
| 14 |   |  | Less than \$500 K   |  |
| 15 | 5.04  | Is the cost estimate for this project based on quantitative analysis using a standards-based estimation model?   | Yes   | Yes  |
| 16 |   |  | No  |  |
| 17 | 5.05  | What is the character of the cost estimates for this project?  | Detailed and rigorous (accurate within ±10%)  | Order of magnitude -- estimate could vary between 10-100%                              |
| 18 |   |  | Order of magnitude -- estimate could vary between 10-100%   |  |
| 19 |   |  | Placeholder -- actual cost may exceed estimate by more than 100%                                      |  |
| 20 | 5.06  | Are funds available within existing agency resources to complete this project?   | Yes   | No   |
| 21 |   |  | No  |  |
| 22 | 5.07  | Will/should multiple state or local agencies help fund this project or system?   | Funding from single agency  | Funding from single agency   |
| 23 |   |  | Funding from local government agencies  |  |
| 24 |   |  | Funding from other state agencies   |  |
| 25 | 5.08  | If federal financial participation is anticipated as a source of funding, has federal approval been requested and received?  | Neither requested nor received  | Requested but not received   |
| 26 |   |  | Requested but not received  |  |
| 27 |   |  | Requested and received  |  |
| 28 |   |  | Not applicable  |  |
| 29 | 5.09  | Have all tangible and intangible benefits been identified and validated as reliable and achievable?  | Project benefits have not been identified or validated  | All or nearly all project benefits have been identified and validated                  |
| 30 |   |  | Some project benefits have been identified but not validated  |  |
| 31 |   |  | Most project benefits have been identified but not validated  |  |
| 32 |   |  | All or nearly all project benefits have been identified and validated                                 |  |
| 33 | 5.10  | What is the benefit payback period that is defined and documented?   | Within 1 year   | 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   | Yes  |
| 52 |   |  | No  |  |
| 53 | 5.16  | Have all procurement selection criteria and outcomes been clearly identified?  | No selection criteria or outcomes have been identified  | Some selection criteria and outcomes have been defined and documented                  |
| 54 |   |  | Some selection criteria and outcomes have been defined and documented                                 |  |
| 55 |   |  | All or nearly all selection criteria and expected outcomes have been defined and documented           |  |
| 56 | 5.17  | Does the procurement strategy use a multi-stage evaluation process to progressively narrow the field of prospective vendors to the single, best qualified candidate? | Procurement strategy has not been developed   | Multi-stage evaluation not planned/used for procurement                                |
| 57 |   |  | Multi-stage evaluation not planned/used for procurement   |  |
| 58 |   |  | Multi-stage evaluation and proof of concept or prototype planned/used to select best qualified vendor |  |
| 59 | 5.18  | For projects with total cost exceeding \$10 million, did/will the procurement strategy require a proof of concept or prototype as part of the bid response?          | Procurement strategy has not been developed   | Yes, bid response did/will include proof of concept or prototype                       |
| 60 |   |  | No, bid response did/will not require proof of concept or prototype                                   |  |
| 61 |   |  | Yes, bid response did/will include proof of concept or prototype                                      |  |
| 62 |   |  | Not applicable  |  |

|    | B   | C  | D  | E  |
|----|---|--|--|--|
| 1  | Agency: Florida Department of Law Enforcement |  | Project: Biometric Identification Solution Modernization   |  |
| 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   | Some or most staff roles and responsibilities and needed skills have been identified                           |
| 17 |   |  | Some or most staff roles and responsibilities and needed skills have been identified                           |  |
| 18 |   |  | Staffing plan identifying all staff roles, responsibilities, and skill levels have been documented             |  |
| 19 | 6.06  | Is an experienced project manager dedicated fulltime to the project?   | No experienced project manager assigned  | Yes, experienced project manager dedicated full-time, 100% to project  |
| 20 |   |  | No, project manager is assigned 50% or less to project   |  |
| 21 |   |  | No, project manager assigned more than half-time, but less than full-time to project                           |  |
| 22 |   |  | Yes, experienced project manager dedicated full-time, 100% to project  |  |
| 23 | 6.07  | Are qualified project management team members dedicated full-time to the project   | None   | No, business, functional or technical experts dedicated more than half-time but less than full-time to project |
| 24 |   |  | No, business, functional or technical experts dedicated 50% or less to project                                 |  |
| 25 |   |  | No, business, functional or technical experts dedicated more than half-time but less than full-time to project |  |
| 26 |   |  | Yes, business, functional or technical experts dedicated full-time, 100% to project                            |  |
| 27 | 6.08  | Does the agency have the necessary knowledge, skills, and abilities to staff the project team with in-house resources?   | Few or no staff from in-house resources  | Mostly staffed from in-house resources   |
| 28 |   |  | Half of staff from in-house resources  |  |
| 29 |   |  | Mostly staffed from in-house resources   |  |
| 30 |   |  | Completely staffed from in-house resources   |  |
| 31 | 6.09  | Is agency IT personnel turnover expected to significantly impact this project?   | Minimal or no impact   | Minimal or no impact   |
| 32 |   |  | Moderate impact  |  |
| 33 |   |  | Extensive impact   |  |
| 34 | 6.10  | Does the project governance structure establish a formal change review and control board to address proposed changes in project scope, schedule, or cost?  | Yes  | Yes  |
| 35 |   |  | No   |  |
| 36 | 6.11  | Are all affected stakeholders represented by functional manager on the change review and control board?  | No board has been established  | No, all stakeholders are not represented on the board  |
| 37 |   |  | No, only IT staff are on change review and control board   |  |
| 38 |   |  | No, all stakeholders are not represented on the board  |  |
| 39 |   |  | Yes, all stakeholders are represented by functional manager  |  |

|    | B   | C  | D  | E  |
|----|---|--|--|--|
| 1  | Agency: Florida Department of Law Enforcement |  | Project: Biometric Identification Solution Modernization   |  |
| 3  | Section 7 -- Project Management Area          |  |  |  |
| 4  | #   | Criteria   | Values   | Answer   |
| 5  | 7.01  | Does the project management team use a standard commercially available project management methodology to plan, implement, and control the project?     | No   | Yes  |
| 6  |   |  | Project Management team will use the methodology selected by the systems integrator  |  |
| 7  |   |  | Yes  |  |
| 8  | 7.02  | For how many projects has the agency successfully used the selected project management methodology?  | None   | More than 3  |
| 9  |   |  | 1-3  |  |
| 10 |   |  | More than 3  |  |
| 11 | 7.03  | How many members of the project team are proficient in the use of the selected project management methodology?   | None   | Some   |
| 12 |   |  | Some   |  |
| 13 |   |  | All or nearly all  |  |
| 14 | 7.04  | Have all requirements specifications been unambiguously defined and documented?  | 0% to 40% -- None or few have been defined and documented  | 41 to 80% -- Some have been defined and documented   |
| 15 |   |  | 41 to 80% -- Some have been defined and documented   |  |
| 16 |   |  | 81% to 100% -- All or nearly all have been defined and documented  |  |
| 17 | 7.05  | Have all design specifications been unambiguously defined and documented?  | 0% to 40% -- None or few have been defined and documented  | 41 to 80% -- Some have been defined and documented   |
| 18 |   |  | 41 to 80% -- Some have been defined and documented   |  |
| 19 |   |  | 81% to 100% -- All or nearly all have been defined and documented  |  |
| 20 | 7.06  | Are all requirements and design specifications traceable to specific business rules?   | 0% to 40% -- None or few are traceable   | 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   | 81% to 100% -- All or nearly all have been defined to the work package level   |
| 30 |   |  | 41 to 80% -- Some have been defined to the work package level  |  |
| 31 |   |  | 81% to 100% -- All or nearly all have been defined to the work package level   |  |
| 32 | 7.10  | Has a documented project schedule been approved for the entire project lifecycle?  | Yes  | Yes  |
| 33 |   |  | No   |  |
| 34 | 7.11  | Does the project schedule specify all project tasks, go/no-go decision points (checkpoints), critical milestones, and resources?                       | Yes  | Yes  |
| 35 |   |  | No   |  |
| 36 | 7.12  | Are formal project status reporting processes documented and in place to manage and control this project?  | No or informal processes are used for status reporting   | Project team and executive steering committee use formal status reporting processes  |
| 37 |   |  | Project team uses formal processes   |  |
| 38 |   |  | Project team and executive steering committee use formal status reporting processes  |  |
| 39 | 7.13  | Are all necessary planning and reporting templates, e.g., work plans, status reports, issues and risk management, available?                           | No templates are available   | All planning and reporting templates are available   |
| 40 |   |  | Some templates are available   |  |
| 41 |   |  | All planning and reporting templates are available   |  |
| 42 | 7.14  | Has a documented Risk Management Plan been approved for this project?  | Yes  | No   |
| 43 |   |  | No   |  |
| 44 | 7.15  | Have all known project risks and corresponding mitigation strategies been identified?  | None or few have been defined and documented   | Some have been defined and documented  |
| 45 |   |  | Some have been defined and documented  |  |
| 46 |   |  | All known risks and mitigation strategies have been defined  |  |
| 47 | 7.16  | Are standard change request, review and approval processes documented and in place for this project?   | Yes  | Yes  |
| 48 |   |  | No   |  |
| 49 | 7.17  | Are issue reporting and management processes documented and in place for this project?   | Yes  | Yes  |
| 50 |   |  | No   |  |

|    | B   | C  | D  | E  |
|----|---|--|--|--|
| 1  | Agency: Florida Department of Law Enforcement |  | Project: Biometric Identification Solution Modernization   |  |
| 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  | More than 4  |
| 23 |   |  | 2 to 4   |  |
| 24 |   |  | 1  |  |
| 25 |   |  | None   |  |
| 26 | 8.07  | What is the impact of the project on state operations?   | Business process change in single division or bureau   | Statewide or multiple agency business process change |
| 27 |   |  | Agency-wide business process change  |  |
| 28 |   |  | Statewide or multiple agency business process change   |  |
| 29 | 8.08  | Has the agency successfully completed a similarly-sized project when acting as Systems Integrator?   | Yes  | Yes  |
| 30 |   |  | No   |  |
| 31 | 8.09  | What type of project is this?  | Infrastructure upgrade   | 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   | Greater size and complexity                          |
| 40 |   |  | Lesser size and complexity   |  |
| 41 |   |  | Similar size and complexity  |  |
| 42 |   |  | Greater size and complexity  |  |





# SCHEDULE IV-B FOR FDLE'S RECORDS MANAGEMENT SYSTEM MODERNIZATION



September 15, 2023

FLORIDA DEPARTMENT OF LAW ENFORCEMENT

# Table of Contents

- I. Schedule IV-B Cover Sheet..... 1
- II. Schedule IV-B Business Case – Strategic Needs Assessment..... 2
  - A. Background and Strategic Needs Assessment ..... 2
    - 1. Business Need ..... 2
    - 2. Business Objectives..... 4
  - B. Baseline Analysis..... 7
    - 1. Current Business Process(es) ..... 7
    - 2. Assumptions and Constraints ..... 20
  - C. Proposed Business Process Requirements ..... 20
    - 1. Business Solution Alternatives ..... 24
    - 2. Rationale for Selection ..... 24
    - 3. Recommended Business Solution ..... 25
  - D. Functional and Technical Requirements..... 26
- III. Success Criteria ..... 32
- IV. Schedule IV-B Benefits Realization and Cost Benefit Analysis..... 35
  - A. Benefits Realization Table ..... 35
  - B. Cost Benefit Analysis (CBA)..... 39
- V. Schedule IV-B Major Project Risk Assessment..... 40
- VI. Schedule IV-B Technology Planning ..... 41
  - A. Current Information Technology Environment ..... 41
    - 1. Current System ..... 41
    - 2. Information Technology Standards ..... 47
  - B. Current Hardware and/or Software Inventory..... 47
  - C. Proposed Technical Solution ..... 48
    - 1. Technical Solution Alternatives ..... 48
    - 2. Rationale for Selection ..... 49
    - 3. Recommended Technical Solution..... 49
  - D. Proposed Solution Description ..... 49
    - 1. Summary Description of Proposed System ..... 49
    - 2. Resource and Summary Level Funding Requirements for Proposed Solution (if known)..... 50
  - E. Capacity Planning (*historical and current trends versus projected requirements*)..... 50
- VII. Schedule IV-B Project Management Planning ..... 53
  - A. Project Scope ..... 53
    - 1. Investigative and Intelligence Infrastructure Replacement..... 53
  - B. Project Phasing Plan ..... 53
  - C. Baseline Schedule..... 54
  - D. Project Organization ..... 54

|       |  |    |
|-------|--|----|
| 1.    | Scope Management .....                 | 59 |
| 2.    | Schedule Management.....               | 59 |
| 3.    | Cost Management.....                   | 60 |
| 4.    | Change Management.....                 | 61 |
| 5.    | Procurement Management.....            | 61 |
| 6.    | Deliverable Management.....            | 62 |
| 7.    | Communication Management .....         | 66 |
| E.    | Quality Assurance.....                 | 69 |
| F.    | Risk Management .....                  | 70 |
| 1.    | Risks .....                            | 70 |
| 2.    | Action Items .....                     | 71 |
| 3.    | Issues .....                           | 71 |
| 4.    | Decisions .....                        | 71 |
| G.    | Implementation Plans .....             | 72 |
| 1.    | Organizational Change Management ..... | 72 |
| 2.    | System Implementation Plans .....      | 72 |
| 3.    | Operations & Maintenance Plans .....   | 72 |
| VIII. | Appendix .....                         | 73 |
| A.    | CBA Workbook.....                      | 73 |
| B.    | Risk Assessment Tool.....              | 73 |
| C.    | Estimated Schedule.....                | 73 |

## Table of Figures

|   |    |
|---|----|
| Figure 1: Business Process Requirement Categories ..... | 21 |
| Figure 2: Current System Configuration.....             | 44 |
| Figure 3: Project Organization Chart.....               | 55 |

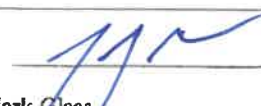




## Table of Tables

|  |    |
|--|----|
| Table 1: Strategic Objectives for Investigative & Intelligence Infrastructure Replacement..... | 6  |
| Table 2: User Security Access Recommendations.....   | 8  |
| Table 3: General Case Profile Recommendations.....   | 9  |
| Table 4: Administration Recommendations.....   | 10 |
| Table 5: Events Recommendations.....   | 12 |
| Table 6: Cost Recommendations .....  | 14 |
| Table 7: Purge Intelligence Cases Recommendations .....  | 15 |
| Table 8: Management Reports Recommendations.....   | 16 |
| Table 9: Party Profiles Recommendations.....   | 17 |

|   |    |
|---|----|
| Table 10: Searching and Reporting Recommendations .....         | 18 |
| Table 11: Other Agency Data Searches Recommendations.....       | 19 |
| Table 12: Functional Requirements .....                         | 27 |
| Table 13: Technical Requirements .....                          | 30 |
| Table 14: Success Criteria .....                                | 32 |
| Table 15: Benefits Realization.....                             | 35 |
| Table 16: Hardware and Software Inventory .....                 | 48 |
| Table 17: General Case Profiles.....                            | 51 |
| Table 18: Investigative Reports .....                           | 51 |
| Table 19: Party Profiles .....                                  | 51 |
| Table 20: Related Items (All Modules).....                      | 51 |
| Table 21: Project Organization Roles and Responsibilities ..... | 55 |
| Table 22: Project Deliverables.....                             | 62 |
| Table 23: Project Milestones .....                              | 65 |
| Table 24: Project Communication Matrix.....                     | 67 |

SCHEDULE IV-B FOR FDLE'S RECORDS MANAGEMENT SYSTEM MODERNIZATION

I. Schedule IV-B Cover Sheet

| Schedule IV-B Cover Sheet and Agency Project Approval   |   |
|---|---|
| Agency:<br>Florida Department of Law Enforcement  | Schedule IV-B Submission Date:<br>September 15, 2023  |
| Project Name:<br>Records Management System Modernization  | Is this project included in the Agency's LRPP?<br><input checked="" type="checkbox"/> Yes <input type="checkbox"/> No |
| FY 2024-25 LBR Issue Code:  | FY 2024-25 LBR Issue Title: Records Management System Modernization   |
| Agency Contact for Schedule IV-B (Name, Phone #, and E-mail address):<br>Becky Bezemek, 850-410-8459, beckybezemek@fdle.state.fl.us   |   |
| AGENCY APPROVAL SIGNATURES  |   |
| I am submitting the attached Schedule IV-B in support of our legislative budget request. I have reviewed the estimated costs and benefits documented in the Schedule IV-B and believe the proposed solution can be delivered within the estimated time for the estimated costs to achieve the described benefits. I agree with the information in the attached Schedule IV-B. |   |
| Agency Head:<br>  | Date:<br>10 Aug 20 23   |
| Printed Name: Mark Glass  |   |
| Agency Chief Information Officer (or equivalent):<br>  | Date:<br>8/14/23  |
| Printed Name: J. Hornsby  |   |
| Budget Officer:<br>  | Date:<br>8/7/23   |
| Printed Name: Patricia Carpenter  |   |
| Planning Officer:<br>  | Date:<br>8/10/2023  |
| Printed Name: Sharon Wester   |   |
| Project Sponsor:<br>   | Date:<br>8/14/23  |
| Printed Name: Eli Lawson  |   |
| Schedule IV-B Preparers (Name, Phone #, and E-mail address):  |   |
| Business Need:  | Eli Lawson, 239-335-7480, elilawson@fdle.state.fl.us  |
| Cost Benefit Analysis:  | Erica Wolaver, 850-410-8511, ericawolaver@fdle.state.fl.us  |
| Risk Analysis:  | Becky Bezemek, 850-410-8459, beckybezemek@fdle.state.fl.us  |
| Technology Planning:  | Becky Bezemek, 850-410-8459, beckybezemek@fdle.state.fl.us  |
| Project Planning:   | Becky Bezemek, 850-410-8459, beckybezemek@fdle.state.fl.us  |

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

### A. Background and Strategic Needs Assessment

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

#### 1. Business Need

The FDLE implemented the Automated Investigation Management System (AIMS) in 1999 after a multi-year in-house development project. After nearly 25 years of use, AIMS is an inefficient tool that has fallen considerably behind the records management system (RMS) solutions used by peer state and local law enforcement agencies in terms of features and functionality. AIMS currently supports the following agency functions:

1. AIMS is the agency's RMS which is a category of software typically geared toward investigative case management in the law enforcement community. Every investigative case is logged into AIMS, with "parties" to the case indexed and stored in a separate data structure within AIMS. Parties in the AIMS context refer to subjects or entities such as persons, vehicles, businesses, and criminal organizations.
2. Sworn special agents and non-sworn analysts use AIMS to file their Investigative Reports (IR) for review and approval by supervisors. Investigative reports document investigative activity taken on a case by users working the case. If charges are recommended, the entire case is typically provided to both the prosecuting attorney for a charging decision, and if charges are filed, the defense attorney through the discovery process.
3. AIMS is the agency's primary internal repository for intelligence-gathering. Intelligence is filed in the system as Investigative Reports also. Some of this intelligence may later be disseminated to other parties through other systems.

As an RMS, AIMS is outdated in terms of its ability to provide an efficient interface for users and lacks modern policing capabilities provided by other RMS solutions to assist law enforcement in apprehending criminals. As an in-house developed application, AIMS provides functionality to meet agency needs that is not typical of a RMS. Ancillary features in AIMS, such as those referenced at the end of this Business Need section, would be better solved using other commercial off-the-shelf (COTS) applications tailored to meet those functional requirements.

Since its initial implementation in 1999, AIMS has been modernized three times in an attempt to keep pace with technology improvements. The first two modernizations were client-server version upgrades while the most recent modernization was upgrading to a web-based Java architecture. Users describe the current iteration of AIMS as "version 3.0" and explain that the upgrades have been for the user interface only. The RMS functionality has not been enhanced to assist law enforcement operating in today's technology elements.

When Microsoft retired Internet Explorer (IE) in June 2022, FDLE moved to Microsoft's new Edge browser. Critical AIMS functionality that previously worked in IE did not work in MS-Edge. Although programming changes were made for AIMS to comply with MS-Edge's specifications, some of the changes caused basic functionality to become more cumbersome. Some AIMS' features were not able to be adapted in programming without a significant redesign and programming costs. Those areas in AIMS require user workarounds to input case information. AIMS is currently supported by FDLE ITS members who have other application support responsibilities and can only dedicate a portion of their time to AIMS.

Concerns with the operation of AIMS to support FDLE's current investigative activities which include statewide Behavioral Threat Assessment and Management investigations led the agency to pursue a software feasibility assessment. A company specializing in feasibility studies was engaged to provide an assessment of AIMS in relation to a modern RMS with estimated costs of procurement.

After conducting interviews with AIMS subject matter experts, the top five feature issues impacting usability and productivity were identified as:

1. The AIMS word processor feature is not functional since the MS-Edge upgrade which creates a burden on users by wasting considerable time dealing with the issues of:
  - Misidentifying correctly spelled words and suggesting non-existent words as corrections when making minor changes to Investigative Reports.
  - Performing workarounds to create the Investigative Report in MS-Word by copy/pasting to AIMS which results in numerous formatting changes that must be corrected before submission.

- Some common difficulties with formatting include adding a line at the top of the document, changing font style/size mid-document, and generating inconsistent paragraph and line spacing throughout the document. The Word Processor identifies HTML coding characters and often misinterprets those as deliberate formatting requests.
  - Feedback on Investigative Reports between supervisors and the investigative report author is not in-line, so revisions are not clearly called out in a “track changes” style format as seen in other word processors such as Microsoft Word. It is therefore unclear as to what revisions are necessary to be made. Then, after revisions are made by the investigative report author, the supervisor is not provided with their own comments to remember what changes he or she recommended.
  - Indexing of people (ex. suspects, witnesses), vehicles and other “party profiles” requires navigating away from the current Investigative Report screen to create the party. The system does not allow for multiple windows to be open at the same time so users must find and then reopen the Investigative Report to complete the “party profile” indexing. There are several inefficiencies brought on by the inability to open multiple windows simultaneously.
  - The system lacks an autosave function when writing Investigative Reports. If the system crashes, which it does from time to time, progress on an Investigative Report are lost.
2. Users often need to perform multiple searches for content based on the system’s design. Even then, users do not trust they performed all of the necessary searches to ensure they received all of the information related to their search criteria.
    - The Library search provides too many methods for users to search which reduces the feature’s intuitiveness for the average user.
    - Users that create ad-hoc searches and reports to retrieve data for purposes such as quarterly reports for command staff must recreate these searches each time the search is performed. There is no feature to “save” a prior search or report without requesting it from the AIMS system administration team. Those requests must include parameters that can be used by other regions and two versions of the output (PDF version to view only to accompany the Excel export version). If the request is approved, the report is then sent to AIMS developers for implementation. This inefficiency wastes considerable staff time.
  3. Party profiles tracking individuals, criminal organizations, vehicles, and other specific parties are frequently duplicated.
    - A person tracked as a party profile may exist multiple times with the same name. Seeing four or five iterations of a single party profile is common.
    - AIMS makes no effort to suggest a newly created “party” may be a duplicate of an existing party, even if the two parties share a birthdate or Social Security Number.
    - To avoid creating duplicates, users must search for the information multiple ways, a time-consuming step that is often skipped.
    - Merging duplicate party profiles requires an email or phone call to the AIMS helpdesk. The functionality cannot be accomplished by end-user analysts or special agents. The ability to flag possible duplicates for administrative review would save time in fulfilling deduplication efforts in the new RMS. Priority should still be placed on preventing duplicates on the front end as the data is entered.
  4. The body of “Related Items,” also known as attachments, are lacking in features that are typical of some RMS’ or in conjunction with a document management system.
    - Intelligence end-users would like to run a search across the entire set of content in AIMS. A real-world example is when searching for the name of a new street drug. The current AIMS search can look across all investigative reports, but if the search criteria is contained in the body of attached spreadsheets, Word, or PDF documents, that content is not indexed and is therefore unsearchable.
    - Related Items have a file size limit of 50MB. Any items larger in size (such as large video or audio files) must be categorized as “Hard Copy Related Items” and saved on one of the approved hardware types (CD/DVD/thumb drive/hard drive, etc.).
  5. Digital evidence is inaccessible from AIMS and is not stored in a digital evidence repository system.
    - FDLE’s BEAST system is used for tracking the status and chain of custody for all evidence.
    - Neither BEAST nor AIMS have digital evidence storage capabilities.
    - The integration between AIMS and BEAST stopped consistently functioning over five years ago. Users must access each system independently.



## 2. Business Objectives

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

AIMS currently supports, to varying degrees, all four of the FDLE's goals in the FY2022-2023 Long Range Program Plan, as well as eight of the 11 agency objectives. As the agency's investigative case management and intelligence platform, the processes managed by AIMS enable timely and quality criminal investigations contributing to the agency's ability to effectively disseminate intelligence to domestic security partners. Without AIMS, the FDLE would be conducting all its report-writing and intelligence documentation processes manually. Even with AIMS, much investigative content is not stored digitally and several processes are performed inefficiently. This section explains the agency goals and objectives AIMS currently meets and where deficiencies exist in those goals and objectives.

### Goals

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

- AIMS is the repository of case data and intelligence regarding criminal activity.
- AIMS is presently built to only be a repository of information. While the FDLE has other initiatives that enable detection of crime and faster apprehension of suspected criminals, AIMS is not currently a platform that supports these efforts proactively beyond its additional use as an intelligence repository, and the ability to search that data is limited and not trusted.
- Modern RMS solutions have algorithmic and artificial intelligence-based features to enable faster apprehension of criminals as well as proactive detection of crime.

Goal 2: Support the prosecution of criminal cases.

- The entire body of work produced by FDLE members for a case, including the investigative report and related items, are generated into an eBook for distribution to prosecutors. These eBooks are also provided as discovery from AIMS to defense counsel.
- The creation of eBooks for distribution to prosecutors is a time-consuming, labor-intensive process that requires pulling information not only from AIMS, but from other adjacent applications. Modern RMS solutions have more efficient means of distributing case information to prosecutors.

Goal 3: Prevent crime and promote public safety.

- Intelligence collected by the FDLE is created and approved in AIMS as investigative reports, but it only supports limited aspects of the Intelligence Cycle and does not integrate with the FDLE's other intelligence tools resulting in an inefficient and frustrating workflow.
- AIMS is primarily an investigative case management system. The use of the agency's RMS for intelligence workflows may not be ideal in a future system. The FDLE will need to evaluate whether RMS solutions have intelligence workflow capabilities, or whether a separate intelligence system may be a better approach.

Goal 4: Prevent and respond to threats against domestic security and other disasters.

- The current non-RMS use of AIMS as a repository of criminal and domestic security intelligence currently supports this goal. This intelligence is disseminated through other programs such as InSite (an ACISS-platformed database used as the State of Florida's official statewide intelligence database). Information housed in InSite, however, cannot be kept longer than is useable.
- A vast repository of potential intelligence data is contained in the "related items" associated with cases. The content of these related items is currently unindexed and unsearchable. Including a document management component in a RMS will make the content accessible and searchable for intelligence gatherers to find connections between cases currently hidden in attachments.

## Agency Objectives

Objective I: Conduct effective criminal investigations.

- AIMS currently supports this objective as the agency's investigative case management platform.
- Special agents, inspectors, and analysts currently feel they spend too much time navigating AIMS and working around bugs which takes away their time from effective investigative work.
- An objective of replacing AIMS is to reduce the time spent in the RMS by users through an improved user interface and simplified workflows; thus, providing more time for investigative work.

Objective II: Provide timely and quality forensic and investigative assistance.

- Providing assistance to other law enforcement agencies is a critical part of the FDLE's mission. The FDLE members who are focused on assisting other agencies currently document the assistance they provide in cases within AIMS. These case types are commonly referred to as umbrella or investigative assist cases.
- While the assistance provided and intelligence gleaned from these exchanges may best be documented in an RMS or an intelligence-gathering repository, the actual exchanges with outside parties may be better suited to a Customer Relationship Management (CRM) platform in the future.
- An objective of replacing AIMS with a modernized RMS is to procure a solution that improves the digital workflow exchanges between the FDLE and other law enforcement agencies.

Objective III: Promote availability and effective use of criminal justice information and intelligence.

- AIMS supports the initial documentation of criminal justice information and intelligence case work.
- Dissemination of information and intelligence is currently electronically distributed by other platforms such as InSite, RISSNet, and other related systems. Then it is manually re-entered in AIMS to most other systems (LInX is automated). Much of the dissemination of information currently happens manually through calls, emails, and meetings, but could be moved to a more efficient process with a modern RMS.
- An objective of the new RMS system is to make information more accessible and gather information and intelligence more efficiently. Integrating other disparate systems with the new RMS will greatly help in achieving this objective.

Objective IV: Ensure the effectiveness and quality of evidence collection, analysis, and processes.

- Evidence management is currently tracked through a separate application, BEAST. At one time, AIMS was integrated with BEAST, but this integration stopped working properly over five years ago.
- Currently, the activities performed to gather evidence are documented in investigative reports in AIMS. Evidence is stored in secure physical evidence storage rooms and logged with a chain of custody in BEAST.
- An objective of replacing AIMS will be the procurement of a new RMS that will have the modern digital evidence management capabilities. A modern solution will have advanced capabilities for storing, processing, and sharing digital evidence.

Objective V: Provide timely and useful criminal justice information in support of criminal prosecutions.

- The entire body of work produced by FDLE members for a case, including the investigative report and related items, are generated into an eBook or similar presentation styles for distribution to prosecutors. These eBooks are also provided as discovery from AIMS to prosecutors.
- The creation of eBooks for distribution to prosecutors is a time-consuming and labor-intensive process that requires pulling information not only from AIMS, but from other adjacent applications as well.
- An objective for the investigative & intelligence infrastructure replacement is a solution with simplified means for securely distributing cases to prosecutors.

Objective VII: Support local law enforcement and criminal justice agencies through enhanced information sharing.

- AIMS has limited support for information sharing today, as Investigative and Intelligence Reports are not easily exportable. The FDLE relies on other applications, such as LInX and InSite, and manual processes to

distribute information to local law enforcement and criminal justice agencies.

- An objective of replacing AIMS is the procurement of an RMS with strong application programming interfaces (APIs) to facilitate integration with other law enforcement systems in a secure manner.

Objective X: Provide intelligence to and promote information sharing among local and state domestic security partners to prevent acts of terrorism.

- AIMS is the in-house repository of collected intelligence for the FDLE, while other systems such as InSite are used to house and disseminate the information available and applicable to local and state partner agencies.
- Today, most external partners, such as task force agents, do not have direct access to AIMS, unless on the FDLE network, as role-based security options are limited allowing most users to access the majority of the reports in AIMS. By contrast, interviewees indicated the FBI has a similar system that does allow for external access to partner agencies such as the FDLE when a case is relevant to FDLE task force members.
- An objective for the investigative & intelligence infrastructure replacement is a system with more sophisticated role-based security that allows for the creation of guest accounts for vetted external partner agencies. Security can be set up so these agencies are only able to access cases or intelligence relevant to their needs.

Objective XI: Protect, police, and secure the Capitol Complex.

- Today, the Capitol Police, a Division of the FDLE, use AIMS as their RMS for investigative case management, but use a separate system for their computer aided dispatch (CAD) needs. This results in yet another silo of information with duplicate data entry for persons, vehicles, and other information.
- Most RMS platforms have a CAD module that integrates seamlessly with the RMS.
- An objective for the investigative & intelligence infrastructure replacement is procurement of an RMS system that can integrate with CAD, enabling Capitol Police to increase efficiency through a unified platform.

Building off the existing agency objectives as described above, Table 1 outlines strategic objectives for the future investigative & intelligence infrastructure replacement project.

**Table 1: Strategic Objectives for Investigative & Intelligence Infrastructure Replacement**

| STRATEGIC OBJECTIVES FOR INVESTIGATIVE & INTELLIGENCE INFRASTRUCTURE REPLACEMENT |   |
|--|---|
| #  | Description   |
| 1  | Reduce time spent in the RMS by FDLE members through an improved user interface and simplified workflows, freeing up time for Investigative and Intelligence work.  |
| 2  | Procure a solution that improves the digital workflow for exchanges between the FDLE and local agencies, increasing operational efficiency.   |
| 3  | Simplify the searching and distribution of criminal justice and intelligence information through application integrations (APIs), enabling a more coordinated criminal justice community.   |
| 4  | Procure a RMS that has modern digital evidence management capabilities with advanced capabilities for searching and processing evidence.  |
| 5  | Simplify the analysis, export, and reporting of RMS data so that information can be easier to disseminated to prosecuting attorneys and other parties, and reports can be generated and shared with the Legislature and other stakeholders. |

| STRATEGIC OBJECTIVES FOR INVESTIGATIVE & INTELLIGENCE INFRASTRUCTURE REPLACEMENT |  |
|--|--|
| #  | Description  |
| 6  | Allow for the creation of guest accounts for vetted external partner agencies, simplifying access to case information where appropriate to enable better intelligence sharing with partners. |
| 7  | Procure an RMS that has an integrated CAD module, increasing Capitol Police efficiency through a unified platform.   |

## B. Baseline Analysis

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

### 1. Current Business Process(es)

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

The AIMS modules are identified by 13 core functionality areas and one related area that represent the majority of functionality AIMS currently supports. Ten of those modules were identified as the most critical from an investigative processes' perspective. These ten high-level modules, along with their respective submodules, have been thoroughly evaluated in the following subsections. AIMS modules will also be referenced as part of Technology Planning (Section VI).

1. User Security Access
2. General Case Profile
3. Administration
4. Events
5. Costs
6. Purge Intelligence Cases
7. Management Reports
8. Party Profiles
9. Searching and Reporting
10. Other Agency Data Searches

Each module description below documents its purpose, how it is used, associated pain points experienced consistently among the AIMS users, and opportunities for improvement within Tables 3-12 below. Each module subsection will also provide a table for recommendations identified by current system users through interviews. An additional column indicates whether each recommendation is a "Procedural Request" that can be implemented immediately after internal consideration, such as training or policy issues, or a "RMS Feature Request" that could be incorporated into future RMS requirements.

#### a. User Security Access

The purpose of the User Security Access module is to provide authorized users appropriate access to the system and/or cases according to pre-defined security roles, while unauthorized users are restricted. As FDLE members need access to AIMS or need to update their access based on changes in their job responsibilities, an access request is generated and sent to the AIMS Application Administrator. A username and password are required for entry.

A key pain point AIMS users experience in the User Security Access module revolves around data sync delays. When user security roles change, for example, due to hiring, separation, or promotion, these changes must be administered manually and are not synchronized through data integration with any external systems such as People First or other HR data sources. Modern RMS platforms keep track of changes in organizational structures,

automatically changing user access based on role or squad assignment. AIMS has no such automated functionality and access must be administered manually to the AIMS Application Administrator based on receiving such notification. Users express a desire to eliminate the need to remember separate passwords for AIMS and other systems. Any future RMS procured by the FDLE should have multi-factor authentication functionality built in and the ability to integrate with other systems authentication providers for federated, multi-factor authentication when signing into the new solution. Any such providers must meet Criminal Justice Information Services (CJIS) standards and FL Digital Services Rule 60-GG.

Table 2 provides an overview of user recommendations.

**Table 2: User Security Access Recommendations**

| USER RECOMMENDATIONS |  |                     |
|----------------------|--|---------------------|
| #                    | Description  | Request Type        |
| 1                    | Multi-factor authentication when signing into AIMS, eliminating the need to remember a separate password while also providing enhanced security. | RMS Feature Request |
| 2                    | Delegating access granting for specific cases to the regions.  | RMS Feature Request |
| 3                    | Additional user access nuance, for example to allow users to enter data while not allowing search privileges                                     | RMS Feature Request |

**b. General Case Profile**

The purpose of the General Case Profile module is to properly categorize the case for tracking and to properly log and document case related items attached to the investigative report. The General Case Profile module contains two primary views into the case as a whole:

- Case Composites: provide an overview and link to every aspect of the case including profiles of persons, vehicles, organizations indexed in the case and all of the investigative reports and related items.
- Case Related Items: list all related items in the case and where they are stored in the case (be it within an investigative report or in the Case Profile screen and attached to the case as a whole).

The General Case Profile module contains coding and case demographic information that categorizes cases based on offenses being investigated. This allows users to see the types of cases worked and if they are in line with the FDLE’s priorities. Regarding the process, creating a general case profile is relatively easy since there are specific portions required to be filled in before a case can be opened. If the user has the required information, he or she can open a case by filling out the required boxes and a case number is generated based on the next case number available for the type of case that is selected.

Related items in AIMS are file attachments that do not rise to the level of being evidence but are still important to the case. Users may attach related items to cases and document them as either electronic or as hard copy. This process consists of logging related items in the electronic general case profile or investigative reports attaching the applicable electronic files in the log and marking log entries as physical related items if no electronic format is available. Related items linked to investigative reports must be referenced within the body of the investigative report where the item is attached.

There are several challenges that AIMS users encounter in the General Case Profile module. These pain points include:

- Agents need new cases generated while in the field and are unable to do so until they return to the office.
- The inability to search the body of related items in AIMS. Only the body of an investigative report is indexed, not the content of related items. This issue extends beyond the General Case Profiles and investigative reports and is relevant system wide.
- Attaching related items can result in “broken” links. These erroneous links occur due to a Microsoft Edge

caching issue requiring the user to delete the Microsoft Edge cache and download history to allow the system to recognize the correct file.

- Related item size limitations prevent the submission of large digital evidence, such as audio and video recordings.
- While doing backgrounds, users have to abbreviate the case name because the name of the applicant is usually too long with the other parts of the title (i.e., Comprehensive Background Investigation on Judicial Nominee John Doe)

To combat these challenges, Table 3 provides an overview of user recommendations.

**Table 3: General Case Profile Recommendations**

| USER RECOMMENDATIONS |   |                     |
|----------------------|---|---------------------|
| #                    | Description   | Request Type        |
| 1                    | Generate cases remotely from a phone app.                       | RMS Feature Request |
| 2                    | Search the contents of related items during the search process. | RMS Feature Request |
| 3                    | Ability to have a longer case name.                             | RMS Feature Request |

**c. Administration**

The purpose of the Administration module is to properly document the opening of a case and monitor each case for progress. The Administration module contains the following components:

- Predicate Summary / Investigative Plan
- Investigative Updates
- Quarterly Case Review
- Dissemination Log
- Administrative Log
- Lead Request

The Administrative module and its screens are fairly intuitive. Reviewing information already contained in these screens can be accessed by typing in the case number and using arrows to review the information. A common pain point for users while navigating certain screens is the current system requires clicking through sometimes dozens or hundreds of keystrokes to access a particular field or screen. Modern interfaces focus on intuitive screen design that allows for optimized navigation to key information. Lists of information to filter on and select from are more efficient than the current system’s approach of clicking through items one at a time.

Predicate summaries are the FDLE’s case plans. After a user generates a case in General Case Profile, for any cases designated as “Major,” users must fill out a predicate summary with information such as what the alleged primary crime is, who is involved, or who is going to take on that case. If there is a new development throughout the duration of the case, predicate summaries should be updated accordingly.

Investigative updates are used in lieu of investigative reports for updates immaterial to a case and do not need to be provided in discovery. For example, an agent might be on leave for a month and not have time to update a case, so he or she would enter an investigative update to help someone reviewing the case understand why the case received no updates for a period of time, rather than entering an investigative report that would be part of the material provided to the attorneys involved in the case. These updates are used primarily for internal matters immaterial to the court that should still be tracked, such as changing an associated agent.

Quarterly case reviews are open-text fields where users respond to questions intended to ensure case activity aligns with the essential purpose and mission of the department. These reviews show a reason for continuing to pursue a case. Quarterly case reviews are required for Major cases by procedure, but the system does not enforce them in any way or remind users to complete them.

Dissemination logs and administrative logs are used to administratively document information such as verbally disseminated information and administrative activities. The dissemination log is an automatic record of investigative reports that are printed, which requires the user to enter the party to which the report will be provided. The administrative log is available to record administrative functions in a case to include dissemination of a case in whole or in part.

Lead requests are currently an unused feature of the system, where one member can file a workflow request to another member in any region of the state for help with a follow-up. For example, if a wellness check related to a case needs to be made on a property in another region of the state the assigned case agent cannot easily access, an agent could place a lead request for another user of AIMS to fulfill. Based on interviewee feedback, this appears to be an unused module within AIMS. Currently, these types of requests are handled via email or phone conversation with AIMS administrators.

There are several challenges AIMS users encounter in the Administration module. These pain points include:

- Users cannot open multiple windows in AIMS at once. Because they must enter duplicative information, many processes in AIMS would be accomplished more efficiently if multiple records could be open at the same time so information can be correctly read and copied to another field. Currently, if users want to view other agency data search results on a different screen, users must back out of the current screen. This can amount to a large portion of time lost when required to navigate frequently between screens.
- The system does not automatically notate when a report has been reviewed. Users must manually route a report for review, then click an indicator when it has been reviewed. Currently, the system tracks when users open a record, but it may not automatically indicate that a supervisor has reviewed the item.
- Supervisor comments included on a review are also not stored after the initial route-back to the report-writing member. Once the supervisor receives the changes back, he or she has no record of what changes were requested from the original report-writer.
- Policy requires the agents to complete a Predicate Summary and Investigative Plan within 30 days of creating a case, along with updating summaries as the case progresses; however, AIMS does not enforce this rule.

To combat these challenges, Table 4 provides an overview of user recommendations.

**Table 4: Administration Recommendations**

| USER RECOMMENDATIONS |   |                     |
|----------------------|---|---------------------|
| #                    | Description   | Request Type        |
| 1                    | The ability to have multiple windows open at one time, and programmatically allow for the use of multiple monitors within the RMS.  | RMS Feature Request |
| 2                    | A reminder or display on the screen to show what case is currently being worked on by users.  | RMS Feature Request |
| 3                    | An automated log documenting who has accessed a case with a workflow feature included to confirm that cases/reports have been reviewed.   | RMS Feature Request |
| 4                    | A tickler/alert should be issued by the system if predicate summaries and quarterly case reviews have not been completed.   | RMS Feature Request |
| 5                    | The system should have the ability to enforce policy such as the requirement to complete a Predicate Summary/ Investigative Plan within 30 days of creating an “Operational” type case and Quarterly Reviews. | RMS Feature Request |

| USER RECOMMENDATIONS |  |                     |
|----------------------|--|---------------------|
| #                    | Description  | Request Type        |
| 6                    | Store the comments written into a workflow step for future reference, so changes requested by a supervisor are logged for subsequent readers of the report. Purge comments once the document is finalized. | RMS Feature Request |

**d. Events**

The purpose of the Events module is to properly document case activities and arrests. The Events module contains the following components:

- Investigative Reports (IR)
- Arrest and Charges Reports

IRs are the official record of FDLE investigative and intelligence activity. After opening a case, users use a built-in word processor to provide a description of their investigative activities which may include intelligence documentation, request from other agencies, or duty call documentation. When an investigative report is first created, at the top of the form, there are fields for the date range along with a brief description of the activity. Once these preliminary fields are completed, the narrative of the report can be entered. Due to issues with the built-in AIMS word processing function that renders it nearly useless, most users described writing their investigative reports in a Microsoft Word document then importing or pasting that content into AIMS. Any relevant subjects to include such as people or businesses mentioned in the investigative report are then searched to see if they are already stored in AIMS. If the person, vehicle, or organization is already in AIMS, they are then indexed in the investigative report as an “involved party.” If the subject is not already entered in AIMS as a party profile, they are added and then indexed to the report. Additional details on indexing can be found in the Party Profiles section. Attachments (related items) under 50MB can also be added to the investigative report. The investigative report spell-check feature does not currently work but the investigative report can be viewed for formatting. The report is then forwarded to the appropriate supervisor for approval.

IRs include any investigative step or action taken during the investigation. If an arrest were to occur, it would be documented inside an investigative report and the arrestee would be indexed appropriately. In most regions, based on the state attorney’s office’s (SAO) preference, all investigative reports are exported alongside evidence and other items to an Adobe (eBook) format which can then be presented as the case file to the SAO. Some regional SAOs may have different formatting requests for case referrals.

An Arrest and Charges Report is generated when a person, who is indexed as an “arrestee” in an investigative report, is selected in the Arrest and Charges page and the user fills in the information related to the arrest and charges. Each individual charge can be populated with a state statute or listed as a federal violation. Throughout the year, a report is run to identify all arrests performed within a timeframe. Each individual case is then viewed by regionally designated members and analyzed to determine if the charge qualifies for Uniform Crime Reporting (UCR), a federally established standard for reporting crime data that helps establish trends in the law enforcement community. At times, the actual arrest form or warrant needs to be reviewed for charges and to see if it will be included in the UCR data. Once the reportable data is identified, demographic information is gathered by analysts reviewing each individual report. This was reported as summary data until Florida transitioned to incident-based reporting using the FBI’s National Incident-Based Reporting System (NIBRS). The information gathered for UCR is now being reported via duplicate entry into a separate RMS with the capability to transmit the required information to Florida’s Incident-Based Reporting System (FIBRS), a system that collects all NIBRS data elements and other information for systems such as Florida’s Criminal Justice Data Transparency (CJDT) and the FBI’s National Use-of-Force Data.

There are several challenges that AIMS users encounter in the Events module. These pain points include:

- The word processor used to write investigative reports does not work properly. There is a broken spell check feature, no auto-save feature, and the character encoding differences between Microsoft Word and AIMS’s investigative report Module cause significant formatting issues within the AIMS version of the document. Some of the more common formatting issues include copy and paste functions creating



inconsistent line spacing and justification which also impacts the print/preview format. Additional issues arise from unseen coding issues most commonly related to HTML code or unrecognized characters causing coding issues within the investigative report. Users typically write their reports in a separate Word document, then import or paste them into AIMS, which can change the formatting of the documents requiring significant time spent making manual edits.

- It can be difficult to track the number of times a member of the public has contacted the FDLE typically to speak to a duty agent to report a complaint.
- In the arrest and charges, the Statute/Sub Section/Additional Charge Description does not have all the applicable statutes, etc. choices available. Annually, the CJIS team does create a CJIS Arrest Statute Table which is then available to local agencies to use to build their list of potential charges and case highlights for use in their RMS. AIMS is not currently capable of ingesting this table to build a list of case highlights or charges. These are typically added in response to an agent finding a statute they wish to reference in a case is not available, at which point a manual request is made to have the statute added.
- Entering information on an arrest is difficult because there are multiple windows for each charge. This exacerbates the challenge of not being able to have multiple windows open at once.
- In the AIMS switchover from IE to Edge, a necessity arose requiring users to type in a dissemination every time a user wants to view an approved investigative report which adds significant time to that process. Often, an analyst may be opening dozens or hundreds of investigative reports just to find the one he or she needs to read. Having to enter dissemination information, regardless of if the investigative report is disseminated every time the user opens an approved investigative report, is a common frustration mentioned in interviews. The system already logs who is opening investigative reports, so users feel that entering a username is duplicative in instances where they do not plan to share the report with anyone else. Several users spoke of improperly entering random characters instead of their name to save time.
- FIBRS reporting does not currently take place within AIMS. Users must manually reenter the data into a separate RMS, known as SmartCOP, hosted by Florida Department of Highway Safety & Motor Vehicles (DHSMV) in the Florida Highway Patrol data warehouse. The new RMS will need to support direct FIBRS reporting.

To combat these challenges, Table 5 provides an overview of user recommendations.

**Table 5: Events Recommendations**

| USER RECOMMENDATIONS |  |                     |
|----------------------|--|---------------------|
| #                    | Description  | Request Type        |
| 1                    | CRM functionality that can be included in the new RMS system.  | Procedural Request  |
| 2                    | Ability to have arrest data auto-populate from any appropriate field.  | RMS Feature Request |
| 3                    | A functional word processor including auto-save and spell check for free text fields including reports.  | RMS Feature Request |
| 4                    | Support direct FIBRS reporting.  | RMS Feature Request |
| 5                    | A way to combine evidence stored external to the RMS with all Related Items in the RMS so they can be extracted to an eBook through an RMS function. | RMS Feature Request |

**e. Cost**

The Cost module consists of various processes that account for expenses incurred by investigations. This information is often used to recoup investigative costs from convicted offenders through the restitution process. The

Cost module contains the following components:

- Travel Cost Records
- Purchase Orders
- Aircraft Mission
- Information and Evidence Justifications (I&E)
- HR module feeding into case-cost analysis

In addition to investigative cost-tracking, the Cost module also allows members to enter information about the costs associated with providing dignitary protection services. Indexed data in the Cost module includes dignitaries escorted, mileage, hotels, meals, parking, destinations visited, and a description of the travel. Each of these data points are frequently used based on feedback provided by interviewees. Upon request, or during periodic intervals, reports of this data are generated to summarize case cost information.

The Travel Cost Records process for dignitary support is duplicative data entry for AIMS users as the same information is submitted to accounting for travel reimbursement. This process begins by clicking on protective operations and putting the dates of when the travel took place, then selecting the name of the agent providing protective services and where he or she traveled. Further on the screen, users then populate fields identifying the dignitary escorted and reimbursable costs.

Purchase Orders screens are used to log purchases made in support of a case that is not related to travel costs. The costs of a member's travel to investigate a case are covered under Travel Cost Records, whereas Purchase Orders are used with relation to items or services that may be purchased in support of an investigation.

The I&E module is used to document the expense and any recovered funds from intelligence operations and is typically used in cases where the payments are confidential, for example, with confidential informants. Impacted teams use the I&E module in AIMS to log amounts to be paid, request the monetary amount required, obtain direction on which bank to utilize to obtain funds, then track the use of funds (operational performance costs, confidential informant payments, etc.). Agents have 30 days to log this information and provide documentation, which is then routed to a supervisor for approval.

The HR module that feeds case-cost analysis captures the hourly rates for members documenting time spent on cases. This is used to calculate overall member cost, including employee benefits, logged to a specific case.

Timesheets must be completed by users in both AIMS and People First for different purposes. Agents who work additional off-duty hours also have to submit a third timesheet. These is a duplicate data entry pain point that was raised by most SMEs interviewed. In AIMS, users document their hours by the cases worked and what type of work was being performed. People First only requires the total number of hours. Input of hours into AIMS is used to help report on the overall cost of a case, while time entry to People First is used for generating labor payments to employees. A future automated process could potentially export a user's timesheet from the RMS into People First, based on the hours reported by a user in AIMS across different cases during a single pay period. This would require coordination with and approval by the State's People First administrators. In the event direct back-end integration is deemed impractical, modern Robotic Process Automation (RPA) tools that have been used in other Florida state agencies may be utilized to bridge connections to People First. RPA platforms enable systems to exchange data using the front-end user interface, by simulating the keystrokes and mouse clicks of a human operator. Pilot efforts at other Florida agencies have proven that the People First user interface can be interacted with using some RPA platforms. Procurement of an RPA platform is not in the scope of this project. Requiring a future RMS to provide APIs that enable the use of RPA tools or a more direct integration to People First is a priority to future-proof the solution.

The HR/Hours report uses the information entered into AIMS timesheets to provide a view in to how many hours a member, or group of members, have spent on one or more cases. Not every RMS platform includes time-tracking features out of the box, so this requirement will need to be emphasized when providing any requirements to potential vendors to enable these reports in a future system.

There are several challenges that AIMS users encounter in the Cost module. These pain points include:

- Users cannot capture all costs because they are currently divided up into several sections.
- Duplicate cost entries can occur when a regional agent or analyst enters their costs and other users may not realize it was already in there, entering it again.

- Documentation is not always provided within the 30-day window allotted resulting in compliance issues.
- The HR module feeding case cost analysis does not accurately capture changing hourly rates for members over time as time is logged to a case.
- There is a desire for additional functionality using the data source with People First, to alleviate the task of entering timesheet data twice.

To combat these challenges, Table 6 provides an overview of user recommendations.

**Table 6: Cost Recommendations**

| USER RECOMMENDATIONS |   |  |
|----------------------|---|--|
| #                    | Description   | Request Type                               |
| 1                    | Ability to easily enter case costs into one section/screen and sync costs across integrated systems that also capture travel and purchase order costs to eliminate duplicate entry.                       | RMS Feature Request                        |
| 2                    | Separate vehicle and aircraft maintenance as well as firearm inventory modules in to separate applications, while preserving the ability to track case costs related to the use of vehicles and aircraft. | RMS Feature Request and Procedural Request |
| 3                    | Update workflow. Include a checklist so all required documents are uploaded before a message is sent to the I&E Statewide Administrator. Add system reminders if the 30-day due date is near.             | RMS Feature Request and Procedural Request |
| 4                    | Ability to detect duplicate travel and I&E cost entries with a pop-up warning.  | RMS Feature Request                        |
| 5                    | Ability to scan or use a phone to import receipts which is documented as Search / OCR.  | RMS Feature Request                        |

**f. Purge Intelligence Cases**

The Purge Intelligence Cases module generates a list of intelligence cases eligible to be purged in compliance with 28 Code of Federal Regulations (CFR) Part 23 of the Code of Federal Regulations. The regulation provides that information retained in a shared intelligence system must be reviewed and validated for continuing compliance with system submission criteria within a two-year period for intelligence tips, and a five-year retention period for all other intelligence. Any information not validated within that period must be purged from the system (28 CFR 23.20(h)).

Intelligence cases are treated in the same manner as investigative cases within AIMS, using a “48” in the standard case numbering syntax that identifies them as intelligence. AIMS allows users to collect intelligence through the investigative reports feature. When storing intelligence, everything must resolve back to a case number and this can be done based off incident, type of crime, geographical location, and other criteria. Intelligence cases are unique in that they are purged from the system based on pre-established rules, such as the amount of time that has passed and whether the intelligence is still relevant to an ongoing matter.

AIMS allows a user to run a report to identify cases that meet the timeline and content criteria that make them eligible for purging. The report is provided to a supervisor for assignment to agents for purging review. Upon the agents’ review and consideration, a recommendation is made as to whether the case should be purged, and it is recorded on a handwritten form. The form is then approved by a supervisor and returned to the business office for consolidating the lists back together of which cases have purge eligibility. The generated list will give disqualifiers based on the operating principles of 28 CFR Part 23 for cases that cannot be purged. For cases that qualify for

purging, agents, and analysts then review every related item as an additional step. Supervisors then handle the action of marking the cases to be retained. AIMS administrators then handle the action of deleting cases that can be purged. Currently, there is a paper process for approving purging, but some users suggested they would like to see a digital option in the future.

Pain points for the Purge Intelligence Cases module include:

- This process has proper oversight and complies with 28 CFR Part 23, but the frequency with which purges are performed does not appear to be consistent. AIMS does not currently have an automated means of queuing up intelligence cases for purge review after a specified timeframe with purging as an automated outcome after approval, so the process of initiating a purge is currently handled manually on an infrequent basis.
- Intelligence tips are not flagged separately from other types of intelligence, requiring manual review to understand if the tip should be purged or which retention schedule is appropriate.

To combat these challenges, Table 7 provides an overview of user recommendations.

**Table 7: Purge Intelligence Cases Recommendations**

| <b>USER RECOMMENDATIONS</b> |   |                     |
|-----------------------------|---|---------------------|
| <b>#</b>                    | <b>Description</b>  | <b>Request Type</b> |
| 1                           | Ability to flag cases to be retained, with a reason provided.   | RMS Feature Request |
| 2                           | An automated notation or visible “clock” for intelligence cases to easily identify when a case is nearing the 2-year or 5-year threshold. This inactivity status follows the FDLE’s compliance with 28 CFR Part 23. | RMS Feature Request |
| 3                           | An automated system that detects when cases should be reviewed for purging and notifies the case agent and supervisor.  | RMS Feature Request |
| 4                           | An electronic and automated workflow to route purge-eligible cases through required parties, such as Legal, to ultimately obtain approval to complete the purge.  | RMS Feature Request |

***g. Management Reports***

The Management Reports module enables users to generate reports to understand and manage their work areas. The Management Reports module contains the following components:

- Auditing Reports
- Business Support
- Case Information
- Region/Squad Statistics
- Human Resources (HR) / Hours
- Members
- Confidential Sources
- PAMS (Performance Accountability Measurement System)
- Intelligence Cases and Purge

There are several pre-configured reports a user can quickly navigate to, make a few selections from drop down menus, and run the report. Depending on the statistical data needed, the user can select specific criteria and generate a report. For example, in some reports, by selecting region, squad, sworn, non-sworn, and/or specific case numbers,

users can filter the report down to specific data.

There are several challenges AIMS users encounter in the Management Reports module. These pain points include:

- Pre-configured management report types are sometimes unclear, require criteria to drill down, and may be labeled similarly.
- The HR hours are sorted by squad and not by member, which creates a problem when members have switched squads during the reporting period. This sorting determination is made within the query written for the report, not by the system.
- When viewing cost reports, the system is unable to track what a user's historical pay-rate and role was at any given time. This results in a report showing the cost of a user's time reflecting their current pay-rate as opposed to understanding that their cost was different at a historical point in time when that time was entered. Analysts currently perform manual work to determine the true cost. A future RMS should track changes to pay rates and automatically calculate the correct costs to avoid additional work performed by analysts to document the true cost of a case.

To combat these challenges, Table 8 provides an overview of user recommendations.

**Table 8: Management Reports Recommendations**

| USER RECOMMENDATIONS |   |                     |
|----------------------|---|---------------------|
| #                    | Description   | Request Type        |
| 1                    | Ability to customize and save a report specific to a user's profile.  | RMS Feature Request |
| 2                    | Ability to generate custom reporting templates that could be made available to all or part of the agency based on role.   | RMS Feature Request |
| 3                    | Have a standardized monthly, quarterly, and annual report that meets management needs.  | RMS Feature Request |
| 4                    | A feature that sends reminders to agents when/if reports are required.  | RMS Feature Request |
| 5                    | Users should be able to manipulate and filter the data as needed, such as seeing all hours for a member for a specific timeframe regardless of the squad they are in, or vice-versa.                    | RMS Feature Request |
| 6                    | The drop-down tool for narrowing down the fields should be better streamlined. Currently, if you select a region, the next drop down is not tailored to squads of that regions; it includes all squads. | RMS Feature Request |

***h. Party Profiles***

The Party Profiles module maintains a database of records on organizations, people, and other entities for reporting and analysis. Records within this module include people, businesses, vehicles, criminal organizations such as gangs, agencies, and confidential sources that can be associated or “indexed” to an investigative report. The Party Profiles module contains the following types of parties:

- Confidential Sources
- Agencies
- Persons
- Businesses
- Vehicles
- Criminal Organizations

The Party Profiles module is accessible from the main menu and from within an investigative report. Users populate fields with identifying information. The relevant party is then indexed into the investigative report and designated as one of several categories, such as target, subject, victim, or referenced. Confidential sources are also indexed similarly, but via a separate module. Access is restricted to only those members who need the confidential source’s identifying information. Indexing is part of writing an investigative report. To start, users are supposed to check to see if the entity has already been created which requires them to run multiple queries of the system from two different screens. If they find a match, they will index the related investigative report with the existing profile. This check can be completed in two ways if users elect to search at all because the process is so tedious. They can search for the person by last name, first name from the investigative report directly. Or they can search for the person using multiple identifiers to ensure the person has not already been created using a different last name or incorrect spelling or an alias. This may require multiple queries. Duplicates are commonly created due to the limitations of the first search method. The level of detail and effort put into the second search method typically finds duplicate entries, at which point those users commonly send requests to the Help Desk for consolidation. If a profile still cannot be found using the search methods above, users will create the party profile and index the investigative report with the newly created profile. This process does not always catch existing parties and duplicate entries are frequently created.

Challenges that AIMS users encounter in the Party Profiles module include the following pain points:

- Duplicate party profiles are extremely common.
- It is difficult to determine if everything that should be indexed has been indexed. Some SMEs use a similar FBI system that proactively suggests indexing parties if it recognizes names and other identifiers within the body of the investigative report, and they would like to see a similar function in the new RMS.

To combat these challenges, Table 9 provides an overview of user recommendations.

**Table 9: Party Profiles Recommendations**

| <b>USER RECOMMENDATIONS</b> |   |                     |
|-----------------------------|---|---------------------|
| <b>#</b>                    | <b>Description</b>  | <b>Request Type</b> |
| 1                           | The ability for the system to automatically notify users upon entry of duplicate data.  | RMS Feature Request |
| 2                           | The capability to require other demographic information in profiles if the race and sex are unknown, such as a social security number, driver’s license state and number, address, or date of birth.                    | RMS Feature Request |
| 3                           | Adding fields to capture data that could be linked to a person other than a criminal organization, such as social media accounts or if they are associated with a business.   | RMS Feature Request |
| 4                           | Provide an enhanced attachment feature to automatically link digital files to a party profile. Digital files such as a picture of the person or a copy of documents related to the person and not the case necessarily. | RMS Feature Request |
| 5                           | The ability to associate any entity with another entity. Entities would be expanded beyond current party profiles to include vehicles, persons, businesses, organizations, geographies, or properties.                  | RMS Feature Request |
| 6                           | Integrate the new system with DAVID, FCIC, and LInX to query those systems and return information matching what is being entered into the RMS.  | RMS Feature Request |
| 7                           | Include a checklist for documents that must be uploaded when a Confidential Source is added to obtain an approval and a notification when all required documents are added.   | RMS Feature Request |

| USER RECOMMENDATIONS |   |                     |
|----------------------|---|---------------------|
| #                    | Description   | Request Type        |
| 8                    | Proactively suggest that entities mentioned in the investigative report be indexed, if the party already exists in the RMS. | RMS Feature Request |

*i. Searching and Reporting*

The purpose of the Searching and Reporting module is to return subjects, cases, and intelligence relevant to a user’s search. The Searching and Reporting module contains the following components:

- Module Search
- Library Search
- Ad Hoc Search

The process for searching often includes using the library search option in AIMS. This requires selecting the modules to be queried, typing the keywords to be searched, and selecting the Operator (Exact, Fuzzy, etc.). From the search criteria, a list of possible matches is generated, and each possible match must be opened and read to determine if the searched keyword is present. Typically, users must match what is in the data table exactly or else no return will be generated.

There are several challenges that AIMS users encounter in the Searching and Reporting module. These pain points include:

- The ability to search within AIMS is limited. False positives on keywords happen often. Searching AIMS is cumbersome and not conclusive. As a result, users do not trust AIMS’ search capability.
- Excessive duplication of party profiles results in search results that may be false positives, requiring further drill-down to find the proper subjects of the search.
- Users cannot go back to search results if they are searching for multiple modules at once; otherwise, they must re-enter criteria when wanting to go back to the list. Users are also unable to save results with the links to the individual results intact. These limitations make searches incredibly inefficient and frustrating for users.
- Related items are not searchable, leaving immense amounts of valuable data hidden from users.

To combat these challenges, Table 10 provides an overview of user recommendations.

**Table 10: Searching and Reporting Recommendations**

| USER RECOMMENDATIONS |  |                     |
|----------------------|--|---------------------|
| #                    | Description  | Request Type        |
| 1                    | A single search tool that allows users to search the entire system and refine their queries as needed.   | RMS Feature Request |
| 2                    | Ability to search the body of related items that are attached would increase the ability to connect disparate pieces of information that are currently unsearchable. | RMS Feature Request |
| 3                    | Search functions need to utilize a fuzzy operator to return search results that match a term closely instead of exactly allowing for a broader range of results.     | RMS Feature Request |
| 4                    | The system should allow users to open various module links at the same time to accommodate review of search results.   | RMS Feature Request |

**j. Other Agency Data Searches**

The purpose of the Other Agency Data Searches module is to search for and import information from other agencies into AIMS to aid investigations. The Other Agency Data Searches module contains the following options to search external sources:

- Data Repository Search by Social Security Number (SSN) – This module allows users to search by SSN. The result will include the modules that have a record for the SSN. This module is used as a master search for the modules below.
- Death Files Search – This module allows users to search deaths by SSN using data provided by Florida’s Department of Health (DOH).
- Employee Wage Search – This module allows users to search for and displays employment earnings recorded with the Department of Economic Opportunity (DEO) for an individual.
- Employer Information Search – This module allows users to search for and display employer information recorded with the Department of Economic Opportunity.
- Interstate Unemployment Compensation Search – This module determines if the SSN entered has received any unemployment compensation from another state while residing in Florida.
- Stop Inmate Fraud Information Search – This module determines if the SSN entered represents a person who has been in a Florida prison or jail in the last three years.
- Unemployment Compensation Information Search – This module determines if the SSN entered represents a person who has received unemployment compensation in Florida in the last three years. This process includes searching by social security number. If a search yields positive results, the system notifies the user of the documents that are returned.

There are several challenges that AIMS users encounter in the Other Agency Data Searches module. These pain points include:

- Search results can return multiple deaths for the same SSN. This can be caused by error, misinformation, or multiple people using the same SSN.
- Currently, there is no way to validate the data imported into AIMS from outside sources. At present, the agency uses these sources to collect information and the data is not used to create records in AIMS.

Table 11 below provides an overview of user recommendations.

**Table 11: Other Agency Data Searches Recommendations**

| USER RECOMMENDATIONS |  |                     |
|----------------------|--|---------------------|
| #                    | Description  | Request Type        |
| 1                    | The new system should have the ability to connect to other data sources the FDLE currently accesses or from which the FDLE receives data, such as Law Enforcement Information Exchange (LInX), InSite, Judicial Inquiry System (JIS), Sexual Offender & Predator System (SOPS), and Florida Crime Information Center (FCIC), Computerized Criminal History (CCH). Eventually, include the FDLEs partner’s data resources, especially the Department of Highway Safety and Motor Vehicles’ (DHSMV) Driver and Vehicle Information Database (DAVID), the Florida Department of Corrections (FDOC), etc. This capability should be well documented for use by external vendors and other parties developing or configuring compatible interfaces. | RMS Feature Request |
| 2                    | The future system should have the ability to configure new integration of data sources from within the application using the user interface. The task could be completed by Administrators and would not require new software development.   | RMS Feature Request |



## 2. Assumptions and Constraints

As part of the baseline analysis for this needs assessment, the following assumptions and constraints have been identified for the FDLE's Investigative and Intelligence Infrastructure Replacement and the future state environment.

### Foreseeable Assumptions:

- Stakeholder commitment to achieving project objectives.
- Business program staff will be mutually aligned in their commitment to acquire applications that increase efficiency and effectiveness through process automation and the reduction of manual steps relying on the use of manual, non-digital processes.
- A suitable government cloud environment that meets FBI CJIS Security Policy and has been approved by the FDLE, the Florida Digital Service's cybersecurity requirements, and the State of Florida's cloud-first initiatives is available for hosting the infrastructure replacement.
- More than one commercial off-the-shelf (COTS) application will be required to replace AIMS, given AIMS currently houses functions typical of an RMS, a CRM, a timekeeping and cost-tracking system, a fleet management system, a workflow and task-management platform, and a limited document management system.
- The FDLE's project team and subject matter experts will remain adequately staffed over the anticipated multi-year deployment period to accomplish the project's deliverables and milestones, manage any infrastructure requirements, facilitate user engagement, ensure proper testing, produce necessary project planning documents, report project status, and complete other project management tasks.
- Migration from multiple systems and/or databases will be required.
- Vendors meeting the infrastructure replacement need are able to map existing data structures to matching data structures in replacement systems.
- The FDLE will retain resources (staff and IT hardware/software) to maintain AIMS as only investigative and intelligence functionality will be migrated to replacement systems. AIMS will need to remain available for all remaining functionality, public records, and other archival purposes.
- Required state government and internal staff resources with the necessary skill sets will be available throughout the project.
- Replacing AIMS is anticipated to be a multi-year effort, and the required funds will be provided by the Legislature each year to complete this effort.

### Foreseeable Constraints:

- An in-house developed investigative & intelligence infrastructure upgrade would not be as feature-rich as COTS products and more expensive to continually update with modern features year after year, versus a COTS product where features have been continuously developed over many years, with maintenance and new-feature development costs are spread among many customers.
- Project funding is subject to an annual legislative budget process.
- All schedules and project timelines are dependent on the availability of funds.
- Information requests from external oversight agencies and partners will be time-consuming and must be incorporated into project timelines.
- State and/or federal statutory changes, changes in administrative rules, FBI CJIS Security Policy and FDLE policy and priority changes could materially impact the project outcomes and project timelines.

## C. Proposed Business Process Requirements

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

AIMS as an RMS platform is used for several business processes, with facilitation of investigative cases and intelligence gathering efforts being its primary purpose. Traditional RMS use cases such as documenting case summaries, making updates to an existing case, entering charges filed, and noting parties involved will be facilitated by any future RMS solution that the FDLE chooses. In addition to investigative case services, the FDLE performs additional business processes currently facilitated by AIMS that are not typically handled by RMS solutions. A market survey has shown these functions do not appear to be supported by modern RMS platforms and must be

accommodated by separate systems. In the short-term, continuing to use these non-investigative functions inside of AIMS after the investigative infrastructure replacement is complete may be necessary. The following modules are considered out of scope for the effort of implementing a new investigative and intelligence solution:

- **Fleet Maintenance:** The FDLE currently manages the use and maintenance of official vehicles in AIMS and uses the data stored in AIMS to provide reports to the Department of Management Services (DMS) on vehicle usage. The FDLE is evaluating fleet maintenance applications as part of a separate initiative.
- **Weapon Inventory:** Weapons maintained and assigned to agency members are tracked within AIMS. While modern RMS solutions do not offer a module for maintaining weapons inventory as part of the core RMS functionality, the RMS vendors may sell add-on modules to accommodate the functionality.
- **Other Agency Data Sources:** AIMS allows users to view information provided by other State of Florida agencies for ease of use when looking up data that may be useful in an investigation. This data is presented for viewing only and cannot be automatically imported into a case or party profile. This data is housed in a set of tables as part of the exiting database. The new RMS product will not have the ability to connect to or display this data without customization. The RMS may provide configurable Open Database Connectivity (ODBC) or similar interfaces to the needed data for query purposes. As a separate initiative, the FDLE could consider evaluating Business Intelligence (BI) applications that can provide a separate view of these data extracts for users to access outside of the new RMS.

The following sections provide an overview of the business process requirements the future solution would support. These high-level requirements are a starting point for a more detailed requirements gathering effort which will be conducted during procurement efforts of the proposed project. Information on how these business process requirements will be satisfied is described below in terms of functional requirements.

Business process requirements fall into four high-level categories, listed below, and visualized in Figure 1.

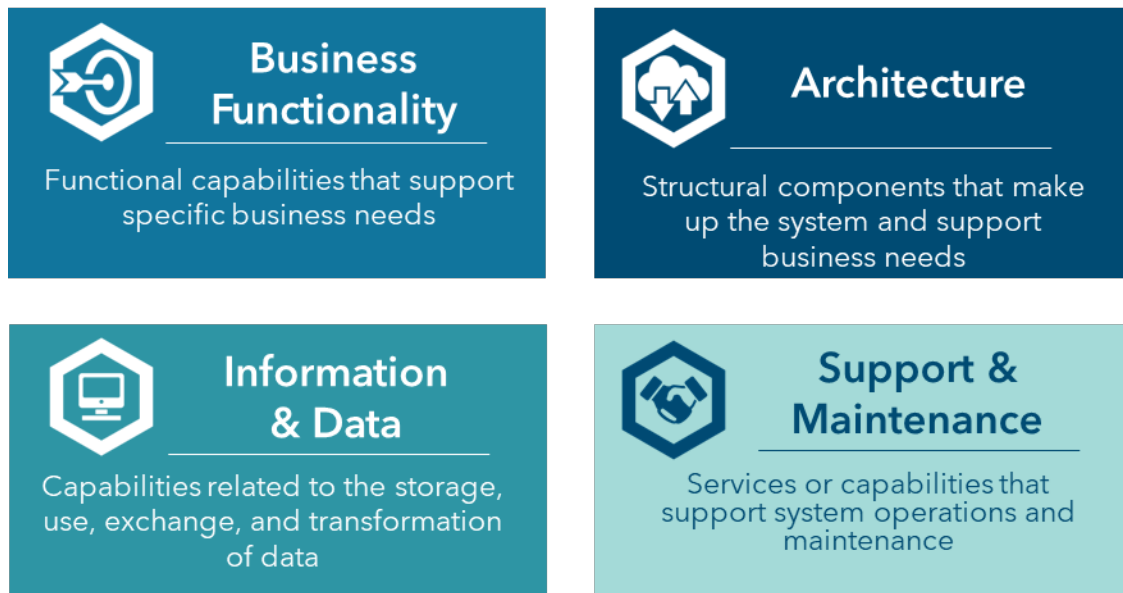


Figure 1: Business Process Requirement Categories

**Business Functionality:**

The requirements included in this area involve the primary business functions of the FDLE. Business requirements include:

- **Investigative Case Management:** The proposed solution will track everything that happens in a case, including how the case is initiated, planned, and investigated. Every action taken by the FDLE and its partners will be tracked and logged into the case through the filing of a variety of report types, including

investigative reports, arrest reports, and incident reports. The system will also allow for the configuration of any other type of report relevant to a case.

- **Intelligence Repository:** Intelligence gathering and dissemination activities to deter crime are a significant part of the FDLE's operations. AIMS is currently used to store intelligence on criminal activity and information about the activities undertaken to collect intelligence. The proposed solution will enable the collection of intelligence into intelligence cases. Intelligence cases will be categorized separately from investigative cases but both case types will be stored in a shared repository that all users can access. Only those cases categorized as restricted will have limited user access.
- **Mobile Access:** The proposed solution will provide real-time access to the FDLE users in the field from mobile devices. Mobile application interfaces will have an offline mode to allow for the collection of information and media while out of service to be synchronized when back in mobile service range. The system should be compatible with all FDLE-approved mobile devices.
- **Workflow Visibility:** The proposed solution will provide routing capabilities for reports and other task approvals, with a list of currently assigned tasks presented to users upon logging in as well as management task dashboards. The solution should provide case-update history tracking with a view of user comments displaying feedback provided on tasks that are submitted for approval.
- **Business Rule Management:** The proposed solution should include robust business-rule-management functionality that will at a minimum provide alerts, notifications, and reminders on timelines based on configurable business rules, including an automated notification when a workflow has reached a specified lifecycle phase.
- **Case-Cost Analysis:** For the purpose of tracking the overall cost of an investigation, the proposed solution will allow users to track their time related to a case as well as any expenses incurred and will automatically calculate changes in pay rates. The solution will build the timesheet in a People First format so that future integration with People First is possible.
- **Performance Monitoring:** The proposed solution system shall include performance dashboards for management to track the status and hours worked on each case within the system as well as other performance metrics of investigations.
- **Document Management for "Related Items":** The proposed solution shall allow internal users the ability to upload attachments (in various media types) directly into the RMS. Attachments may be uploaded through the browser-based interface or through the mobile app. Attachments stored in the RMS should be fully-searchable, visible, and accessible to users when they are looking at a particular case or party associated with the attachment or searching the system unless it is attached to a restricted case.
- **Indexing/Tagging:** The proposed RMS shall provide the ability to index or tag documents (files, emails, and other work items) within cases to support association of information on a case. Files associated with a case should also be visible on all associated records across business units as defined by the FDLE business rules and user security roles. This feature will also enable the ability to group related items outside of standard taxonomy, for the purposes of associating items with a public records request or administrative investigative matter.

*Information and Data*

The requirements included in this area involve the data inputs and outputs that make up the system. Data requirements include:

- **User Interface:** The system shall provide an intuitive interface which allows users of varying skill levels to easily enter, manage, and search for data.
- **Data Management:** The system shall facilitate ongoing data clean-up through the ability for users to flag duplicate information for review and administrators to merge party profiles and cases. The system will allow administrators to apply controls to the type and format of data required through front-end validation during data entry to improve data consistency.
- **Data Migration:** The system shall include critical investigation and intelligence historical data from AIMS, as determined by the FDLE. The system will be capable of maintaining and enforcing the FDLE's current case numbering structure or converting to a new format as determined by the FDLE.
- **Document Management:** The proposed system shall provide for robust document management, including full text scanning, OCR, and uploading of attachments (in various media types) to any system record. The document management will have functions to index, search, access, replace, and view those attachments. Full versioning control must be maintained as documents are replaced. File size restrictions must be

configurable. The system must offer the capability to handle high volume, high retrieval rates, full context search, and the redaction of confidential information. The system should also have a configurable records retention engine capable of meeting the different retention schedules for each class of stored documents with the RMS case status field.

- **Digital Evidence Management:** Digital evidence stored in the RMS shall be listed and linked within the RMS while looking at a specific case. Evidence shall be quickly accessible, allowing for immediate streaming of video and audio content within a browser interface without downloading the complete file. The chain of custody must be tracked. The location and chain of custody of physical evidence within a property and evidence room shall be stored in the RMS. The system shall facilitate evidence custodians running an audit of all or a portion of evidence stored. Common partial audits are typically scoped by high-liability items or similarly categorized evidence. This evidence inventory must include the physical location to account for all evidence. Digital files must be saved in a secure fashion preventing any changes to the file in any manner. Copies of digital evidence can be used for processing, but the original evidence must be stored in a secure "read only" format.
- **Reporting:** The RMS shall include canned (standard) reports as well as ad-hoc reporting available to internal system users. Users should have the capability to save customized or ad-hoc reports for future use. Canned reports shall be pre-defined by system administrators using modifiable parameters. Report outputs should be provided in the following file formats at a minimum: CSV, PDF, and Microsoft Word. Additional functionality used to export reports to Power BI, i2/Analyst Notebook, or other analysis tools should be considered. Ad-hoc reporting capabilities shall include the majority of the fields in the system as both input and output options.

**Architecture**

The requirements included in this area involve the structural components and technology foundation that make up the solution. Architecture requirements include:

- **Modern Infrastructure:** The proposed solution shall establish a consolidated, scalable on-demand, modern platform residing in the cloud, providing the flexibility needed to mitigate future maintenance and operation costs. The solution shall be hosted in a CJIS-certified cloud or hosted environment with sufficient redundancy in data storage shall be in place to prevent data loss. The proposed solution shall also support increased workloads, facilitate the implementation of future operational efficiencies, and allow a more rapid response to future state changes. Vendor support shall ensure ongoing development and implementation of new features.,
- **Modern User Interface:** A browser-based interface with the ability to adapt to device types (Mobile, PC, etc.). These user interfaces are responsive, accessible, and comply with Section 508 and follow Web Content Accessibility Guidelines (WCAG).
- **Enhanced Interfaces:** The proposed system will enable direct integrations with inbound and outbound external systems, such as DAVID, FIBRS, LInX, and FCIC/NCIC.
- **Configuration Access:** The proposed system will provide the FDLE with the ability to configure most system functions in-house without the need for vendor support. This will include the configuration of built-in user interfaces as well as robust documentation of Application Programming Interfaces (APIs) to enable the FDLE to build additional integrations as needed.
- **Integrated Authentication Provider:** The proposed solution will be capable of using MS Office 365 Active Directory and (as needed) a separate SAML-based authentication provider to provide multi-factor authentication as well as single sign-on (SSO) user authentication to eliminate redundancies and administrative burden. Single sign-on should al Active Directory and (as needed) a separate SAML-based authentication provider to provide multi-factor authentication as well as single sign-on user authentication low the user to log in once and access all the integrated platforms without re-entering their logon information and authentication factors.

**Support and Maintenance**

The requirements included in this area involve the activities required for the operation and maintenance of the future investigative and intelligence system, including but not limited to operating the system, monitoring system performance, fixing defects, testing changes, and performing software maintenance and upgrades.

Selected vendor(s) will have comprehensive client support programs, reducing the FDLE's need to support the

application. Infrastructure will be handled by the vendor, as the proposed solutions will either operate as Software as a Service (SaaS) or Platform as a Service (PaaS), with the application installed in the PaaS environment. Vendor(s) will also provide level 2 and higher technical support for user questions and issues with level 1 support handled by FDLE administrators.

## 1. Business Solution Alternatives

This section describes the alternative solutions considered for replacing the current AIMS system.

To conduct the alternatives analysis, the following steps were performed:

- Documented the functional and non-functional requirements that a new solution must meet for the project to be successful
- Identified the potential system implementation options
- Established measurable success criteria

Three options were identified:

### Alternative 1: Status Quo/As-Is

Continue to operate the current AIMS with its current functionality. Very little new functionality can be added and the business needs are not being met.

### Alternative 2: Custom write the AIMS System Replacement

This option would have FDLE redesign and enhance the AIMS system incorporating improvements recommended by FDLE members. The new system would offer current capabilities (with improved appearance and navigation) and new functions as described in the Proposed Business Process Requirements section of this document.

### Alternative 3: System Replacement

Replace the current AIMS system with a new solution which can meet FDLE's functional requirements and capacity needs. Replacing the aging AIMS system allows for a new, more robust features and moves the solution to the cloud.

## 2. Rationale for Selection

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

These criteria include:

- Ability to meet the business requirements
- Ability to streamline data entry for time entered and accuracy
- Expand the ability to integrate with additional systems
- Flexibility to add new alert types as they are legislated
- Impact to FDLE IT services and systems

### 3. Recommended Business Solution

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

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After evaluation of several approaches, the recommended business solution is to replace the current AIMS with a new modernized solution, based on Approach 3, above. This system will meet Florida's needs for records and investigative management. FDLE intends to modernize the AIMS system with a procurement that is customizable to meet current and future business needs and integrate with existing systems.

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

- Modern Infrastructure
- Modern user interface
- Enhanced interfaces
- Configuration Access
- Software as a service
- Project management services
- User Management
- Data analysis and migration services
- System integration and testing services
- Implementation and configuration
- Security services

## D. Functional and Technical Requirements

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

The purpose of this section is to identify functional and technical requirements.

- Functional requirements describe how the business process requirement shall be accomplished. These are the capabilities needed to support business needs including types of business functions and processes.
- Technical requirements also describe how the business process requirement will be accomplished, but from a technical perspective. These are capabilities focused on the structural components that make up the system and the services or capabilities that support system operations and maintenance.

Table 12 and Table 13 below contain the functional and technical requirements that must be met by this project. These requirements were gleaned through interviews with the FDLE staff as well as analysis of the documentation of processes and procedures. In addition, best practices in the areas of user interface, functionality, system architecture, and workflows were also used to gather requirements.

Table 12: Functional Requirements

| FUNCTIONAL REQUIREMENTS |                         |  |
|-------------------------|-------------------------|--|
| #                       | Initiative              | Description  |
| F1                      | Analytical Capabilities | <p>The solution shall provide analytical capabilities and integrate with other analytical systems (where applicable). Many examples of analytical capabilities desired, though not required, of a new solution are provided below:</p> <ul style="list-style-type: none"> <li>• Enterprise knowledge model based on rules and sources</li> <li>• Collaboration between law enforcement personnel in analysis efforts</li> <li>• Social network analysis</li> <li>• Geospatial analysis with geotagging of unstructured Data</li> <li>• Timeline &amp; frequency analysis</li> <li>• Fraud detection &amp; analysis</li> <li>• Financial analysis</li> <li>• Self-organized mapping</li> <li>• Object-based entity linking &amp; relational analysis</li> <li>• Bayesian analysis</li> <li>• Textual analysis</li> <li>• Linguistic analysis</li> <li>• Predictive analysis</li> <li>• Automated &amp; enhanced data visualization</li> <li>• Statistical analysis</li> <li>• Data clustering &amp; segmenting</li> <li>• Sequential &amp; temporal event patterning</li> <li>• Automated entity extraction from unstructured narrative reporting</li> <li>• Entity summarization analysis</li> <li>• Entity, financial, &amp; commodity flow charting analysis</li> <li>• Temporal evidentiary visualization (i.e., story boarding)</li> </ul> |
| F2                      | Attachments             | <p>The solution shall have the ability to upload documents, audio files, images, and video files.</p>  |
| F3                      | Case Management         | <p>The solution shall provide the functionalities with respect to case management:</p> <ul style="list-style-type: none"> <li>• Comprehensive case management for complex, long-term law enforcement intelligence and criminal investigations, including attachment or relation of case supporting documentation or evidentiary documents in multiple file formats.</li> <li>• Physical or logical segregation of law enforcement intelligence and criminal investigative reports in narrative format. Intelligence information shall be available to all users unless there is a specific need to restrict access.</li> <li>• Adaptive case management.</li> <li>• Adaptive workflow management (design by doing).</li> <li>• Object-based, entity-centric data indexing (e.g., persons, organizations, etc.).</li> <li>• Multiple end-user case collaboration environment.</li> <li>• Delineation between juvenile and adult data.</li> <li>• Automated de-confliction and end-user prompted merger of duplicative data.</li> </ul>  |



**SCHEDULE IV-B FOR FDLE'S RECORDS MANAGEMENT SYSTEM MODERNIZATION**

| <b>FUNCTIONAL REQUIREMENTS</b> |                       |   |
|--------------------------------|-----------------------|---|
| <b>#</b>                       | <b>Initiative</b>     | <b>Description</b>  |
| F4                             | Case Management       | The solution shall provide the ability to conduct case-cost analysis.   |
| F5                             | Case Management       | The solution shall have the ability to flag cases not to be purged, with a reason provided. In addition, the system shall have the ability to flag cases that should be purged.   |
| F6                             | Case Management       | The solution shall provide an automated notation or visible “clock” for intelligence cases to easily identify when a case is nearing the 2-year or 5-year threshold. This inactivity status follows the FDLE’s compliance with 28 CFR Part 23.  |
| F7                             | Case Management       | The solution shall have the ability to associate any entity with another entity. Entities could include vehicles, persons, businesses, organizations, geographies, or properties.   |
| F8                             | Case Management       | The solution shall proactively suggest that mentioned entities in investigative reports be indexed, if the party already exists in the RMS.   |
| F9                             | Confidentiality       | The solution shall enable the identification of data that is subject to a public records request. The system shall include functionality capable of restricting data that is exempt from public records laws. The protection of confidentiality shall be maintained, and redaction of sensitive information done automatically where applicable. Automatic redaction could be based on common data element formats such as SSN (###-##-####) or DOB (##/##/####). |
| F10                            | Conversion            | A Data Synchronization Plan to move legacy data from AIMS to the new RMS must be built and executed.  |
| F11                            | Data Entry            | The solution shall have the ability to auto-populate data already present in the RMS.   |
| F12                            | Document Management   | The solution should provide for robust document management, including uploading and removing attachments (in various media types) to various types of cases including applications and investigations, as well as automatic OCR and the ability to easily index, search, access, and view those attachments. The solution shall maintain the capability to handle high volume, high retrieval, full context search, and multiple multimedia types.                |
| F13                            | Document Management   | The solution shall serve as a repository for investigative documentation such as investigative summaries, affidavits, subpoenas, operational plans, etc.  |
| F14                            | Export                | The solution shall have the ability to bulk export cases, investigative reports, electronic media, etc.   |
| F15                            | Help                  | The solution should provide a module for Help/FAQ.  |
| F16                            | Input Data Validation | The solution input forms shall contain validation rules to check that required input fields have been entered using the correct format. The system shall have the ability to support conditional validations that could be triggered based on user input.   |

| FUNCTIONAL REQUIREMENTS |                       |  |
|-------------------------|-----------------------|--|
| #                       | Initiative            | Description  |
| F17                     | Integration           | The solution shall integrate with Florida's incident-based reporting structure, CJIS, Driver and Vehicle Information Database (DAVID) Driver's License Records, Florida Crime Information Center (FCIC)/National Crime Information Center (NCIC), Law Enforcement Information eXchange (LInX), People First (timesheets). Additionally, the ability to export data in National Information Exchange Model (NIEM), National Incident-Based Reporting System, or other standardized formats. Optional integrations could also include the Lab Information Management System (LIMS) and BEAST depending on FDLE needs and licensing issues. |
| F18                     | Logging               | The solution shall have the ability to capture performance metrics, including timelines of actions and data updates (e.g., dissemination tracking, what user opened/closed a case, reports viewed, printed, or saved and why).   |
| F19                     | Notices               | The solution shall generate all required notices electronically, through email and/or within the system itself (in-application notices) to alert system users of action items needed within the system.  |
| F20                     | Notices               | The solution shall have the ability to generate reminders when tasks are due or past due.  |
| F21                     | Reporting             | The solution shall provide reporting that satisfies the FDLE needs. Including but not limited to information regarding investigative updates, quarterly case reviews, case related items, investigative Reports, regional/squad statistics, confidential sources, etc.   |
| F22                     | Reporting             | The solution shall provide configurable dashboards for management, including enhanced search, sort, and filter functionality.  |
| F23                     | Reporting             | The solution shall have the ability to customize and save a report specific to a user's profile. These reports need the ability to be saved as templates that could be shared across the FDLE.   |
| F24                     | Search                | The solution shall provide the ability to search cases, entities, members/users, attached documents. Including the multiple search types (e.g., Boolean, free-text, natural-language, regular expressions, fuzzy, etc.) and strategies (e.g., keywords, phrases, metadata, file formats, etc.).  |
| F25                     | Search                | The solution shall provide the ability to create, save, and share automated end-user searches.   |
| F26                     | System Administration | The solution shall provide the ability to delegate access to cases based on security roles and permissions.  |
| F27                     | Training              | The solution providers shall work with the FDLE to build robust training programs for each system. The RMS provider will customize their training materials to include training on how to use the integrated products.   |
| F28                     | User Interface        | The solution shall provide interactive, intuitive, and menu-based navigation capability such that all functions are readily available. This includes dynamic data visualization (dashboards) and will require minimal end-user training or support.  |

| FUNCTIONAL REQUIREMENTS |                 |   |
|-------------------------|-----------------|---|
| #                       | Initiative      | Description   |
| F29                     | User Interface  | The solution shall have the ability to track the case, person, or member the user is currently working on as they navigate through the system.  |
| F30                     | User Management | The solution shall provide role-based authorization so that users can be assigned to roles that grant access according to the assigned role. User account and permission levels must be retained in audit logs. |
| F31                     | Word Processor  | The solution shall provide a built-in or integrated word processor and spelling/grammar check with auto-save capabilities.  |
| F32                     | Workflow        | The solution shall support customizable process workflows. For example, approval of investigative reports will need to follow a business process defined by the FDLE.   |
| F33                     | Workflow        | The solution should store the comments made on a report (e.g., investigative report, etc.) for future reference and training purposes.  |

Table 13: Technical Requirements

| TECHNICAL REQUIREMENTS |                |   |
|------------------------|----------------|---|
| #                      | Initiative     | Description   |
| T1                     | Authentication | The solution shall support integration with MS Office 365 Active Directory Active Directory and (as needed) a separate SAML-based authentication provider to provide multi-factor authentication as well as single sign-on user authentication ensure only authenticated users have access and allow users to log in to multiple authorized systems without having to reauthenticate. |
| T2                     | Automation     | The solution shall enable automation wherever possible to reduce time spent on manual and paper-based processes.  |
| T3                     | Availability   | Operational 24 hours per day, 7 days per week, and 365 days per year with “peak” usage during standard business hours (M-F; 8:00 AM ET – 6:00 PM ET) or any hours during critical incident response (e.g., hurricane, civil unrest, acts of terrorism, etc.). In total, 99.9% availability is expected.   |
| T4                     | Environment    | The solution shall support the use of multiple environments, including development, testing, and production environments.   |
| T5                     | Hosting        | The solution should have the ability to be hosted in a cloud environment or on the FDLE premises.   |
| T6                     | Hosting        | The solution should support the scaling of hardware resources to ensure capacity is increased and decreased to match load. (Cloud only). Non-cloud environments should also be scalable and support a long-term capacity plan developed by the vendor prior to implementation.  |
| T7                     | Integration    | The solution shall be able to integrate with all existing systems that currently integrate with AIMS. These integrations shall have the ability to be bi-directional when necessary and shall support common formats such as flat-files, CSV, XML, direct database access. This should not be considered a complete list of integration formats.                                      |

| TECHNICAL REQUIREMENTS |                    |   |
|------------------------|--------------------|---|
| #                      | Initiative         | Description   |
| T8                     | Integration        | The solution shall have the ability to import and export data to and from formatted files (CSV, flat, etc.) to accommodate current integrations.  |
| T9                     | Integration        | The solution should support a modern and well- documented API framework to integrate with external systems for real-time data transfer, including Representational State Transfer (REST)ful Web Services.   |
| T10                    | Integration        | The solution provider will work with the FDLE to build new integrations where integrations do not already exist, considering the needs of partner systems and working to accommodate the export of as much data and metadata as necessary to meet the FDLE's needs. Where possible, the solution provider will build new integrations to be real-time through secure RESTful web service APIs or through other solutions agreed upon between the solution provider and the FDLE. New integrations will not rely on nightly data exports if real-time API integration is possible. |
| T11                    | Reporting          | The solution shall provide a function for reporting both hardware health and software system performance reports. The solution shall provide a system monitoring function sophisticated enough to detect infrastructure-level outages or changes and notify the vendor who will be required to monitor system health and respond to issues.   |
| T12                    | Scalability        | The solution shall have the ability to scale to fit the demands of the FDLE. This includes supporting a long-term capacity plan developed in conjunction with the vendor prior to implementation.   |
| T13                    | Security           | System architecture shall support the latest version of operating systems and applications to ensure all recent security patches are available and if hosted in the cloud, provide for intrusion detection and other proactive security measures.   |
| T14                    | Storage            | The solution shall store system data in a way that is FBI CJIS Security compliant.  |
| T15                    | System Performance | The solution shall support at least 1,500 end-users who are physically dispersed in office locations throughout the state of Florida.   |
| T16                    | System Redundancy  | The solution shall provide redundancy such that the failure of a single system component will not result in overall lack of availability of the system (high availability, automatic failover).   |
| T17                    | User Interface     | The solution shall support the latest two versions of Edge and Chrome.  |
| T18                    | User Interface     | The solution shall allow users to co-browse multiple windows or tabs at once.   |
| T19                    | User Interface     | The solution shall provide intuitive, menu-based navigation capability such that all functions are readily available.   |
| T20                    | User Interface     | The solution shall support the use of mobile devices and tablets by reformatting the interface so that horizontal scrolling or other adaptations are not required. At a minimum, all end-user functionality of the solution shall be available on mobile devices.   |

### III. Success Criteria

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

Table 14 below describes each the most impactful criteria to the success of the project. Each criterion includes how the criteria will be measured, the recipient of the success criteria benefit, and when the benefit will be realized.

Table 14: Success Criteria

| SUCCESS CRITERIA |   |  |   |                          |
|------------------|---|--|---|--------------------------|
| #                | Description of Criteria   | How will the Criteria be measured/assessed?  | Who benefits?                               | Realization Date (MM/YY) |
| 1                | Comprehensive case management solution using secure modern architecture in the cloud (or hosted on premises) managed by the system provider(s), providing state-of-the-art investigative and intelligence case management functions for the FDLE. | The system meets FBI CJIS Security Policy and State of Florida requirements and has notable improvements over AIMS in nearly all functional areas.   | FDLE Staff<br>Florida Citizens and Visitors | 06/30/2028               |
| 2                | AIMS antiquated user interface is replaced by a modern intuitive interface.   | The new solution is user friendly with simple user capabilities and minimal training and support required. The solution could include a Help query tool similar to Microsoft products; decreasing the need for administrative oversight such as data deletions.  | FDLE Staff                                  | 06/30/2028               |
| 3                | The workforce productivity is increased when measured against similar functionality required by AIMS.   | Increased workforce productivity providing timely case documentation minimizing duplicate data entry, inefficient navigation of the interface, and other and inefficient activities currently taking place in AIMS. Improving time needed to gather data from various sources and auto-populating template forms where applicable. | FDLE Staff<br>Florida Citizens              | 06/30/2028               |

SCHEDULE IV-B FOR FDLE'S RECORDS MANAGEMENT SYSTEM MODERNIZATION

| SUCCESS CRITERIA |   |   |  |                          |
|------------------|---|---|--|--------------------------|
| #                | Description of Criteria   | How will the Criteria be measured/assessed?   | Who benefits?                                | Realization Date (MM/YY) |
| 4                | Word processing capabilities through a modern built-in interface, or integration with Office products.  | A Word Processor is in place with working capabilities.   | FDLE Staff                                   | 06/30/2028               |
| 5                | Case related items / attachments are OCR indexed and searchable through a built-in user interface that is integrated with an external DMS.  | The new system has robust search functionality including key word searching with inclusion/exclusion capabilities. Functionality should also include the Link Analysis analytics technique which provides intuitive suggested search responses. | FDLE Staff                                   | 06/30/2028               |
| 6                | Duplicate case and party profile data entry is reduced with automatic duplicate detection functionality.  | The new system can detect duplicative entries and suggest options.  | FDLE Staff                                   | 06/30/2028               |
| 7                | Ad Hoc report creation is more efficient, saving users' time.   | The new system can create customized reports that are saved to the user's account.  | FDLE Staff<br>FDLE Leadership<br>Legislature | 06/30/2028               |
| 8                | The solution has the capability to integrate with a variety of external applications, such as other investigative and intelligence data sources, DEMS, DMS, and back-office systems such as PALM and People First through the availability of APIs. | The new system can integrate with and query or pull data from other systems.  | FDLE Staff<br>Florida Citizens and Visitors  | 06/30/2028               |
| 9                | The FDLE members have a robust training program for the solution, with all new employees receiving the same structured training when hired.   | A new training program is in place.   | FDLE Staff                                   | 06/30/2028               |
| 10               | The platform supports integration with other Florida state agency databases (i.e., People First).   | The new solution will successfully integrate/migrate information (i.e., timesheets).  | FDLE Staff<br>Other Agency Staff             | 06/30/2028               |

| SUCCESS CRITERIA |   |   |  |                          |
|------------------|---|---|--|--------------------------|
| #                | Description of Criteria   | How will the Criteria be measured/assessed?   | Who benefits?  | Realization Date (MM/YY) |
| 11               | The solution supports enhanced role-based and case-specific security settings, allowing for nuanced access to case information for both internal members and external partners. | The new system can restrict user access by role level and by case.                                | FDLE Staff<br>FDLE Leadership  | 06/30/2028               |
| 12               | The solution supports the capture of all case-specific costs, including investigative, lab work, vehicle/fleet, and I&E expenses.   | The new system will capture all work data and hours to help identify cost recovery opportunities. | FDLE Staff<br>FDLE Leadership<br>State<br>Attorneys/Courts<br>Florida Citizens | 06/30/2028               |
| 13               | Core AIMS data is migrated to the new solution and AIMS has established a sustainment plan to keep the system running for archival purposes.                                    | Core AIMS data is available in the new system. Archived AIMS data remains available.              | FDLE Staff<br>State<br>Attorneys/Courts<br>Florida Citizens                    | 06/30/2028               |

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

### A. Benefits Realization Table

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

Table 15 below describes the most impactful benefits to the FDLE's mission and public safety. Each benefit includes the recipient of the benefit, how and when the benefit is realized, and how the realization will be measured.

**Table 15: Benefits Realization**

| BENEFITS REALIZATION |  |   |                                |   |  |                          |
|----------------------|--|---|--------------------------------|---|--|--------------------------|
| #                    | Type of Benefit (Tangible or Intangible) | Description of Benefit  | Who receives the benefit?      | How is benefit realized?  | How is the realization of the benefit measured?  | Realization Date (MM/YY) |
| 1                    | Intangible                               | There is increased workforce productivity when measured against similar functionality required by AIMS. | FDLE Staff<br>Florida Citizens | <ul style="list-style-type: none"> <li>Increased automation</li> <li>Reduced data entry</li> <li>Enhanced search functionality</li> <li>More intuitive and functional navigation</li> </ul> | Increased workforce productivity providing timely case documentation. Improving time needed to gather data from various sources and auto-populating template forms where applicable. | 06/30/2028               |
| 2                    | Intangible                               | Word processing capabilities through a modern built-in interface, or integration with Office products.  | FDLE Staff                     | Word Processor capabilities including spellcheck, formatting, and compatibility with modern word processing software.   | A modern Word Processor is in place with working capabilities.   | 06/30/2028               |



| BENEFITS REALIZATION |  |   |  |   |  |                          |
|----------------------|--|---|--|---|--|--------------------------|
| #                    | Type of Benefit (Tangible or Intangible) | Description of Benefit  | Who receives the benefit?                    | How is benefit realized?  | How is the realization of the benefit measured?  | Realization Date (MM/YY) |
| 3                    | Intangible                               | Case related items/attachments are OCR-indexed and searchable through a built-in interface. | FDLE Staff                                   | <ul style="list-style-type: none"> <li>More efficient and robust indexing and searching capabilities</li> <li>The ability to search through text included in attached documents</li> </ul>  | The new system has robust search functionality including key word searching with inclusion/exclusion capabilities. Functionality should also include the Link Analysis analytics technique which provides intuitive suggested search responses | 06/30/2028               |
| 4                    | Intangible                               | Duplicate case and party profile data entry is reduced with automatic duplicate             | FDLE Staff                                   | <ul style="list-style-type: none"> <li>Better data integrity</li> <li>A reduction in time spent reconciling duplicate records</li> </ul>  | The new system can detect duplicative entries and suggest options.   | 06/30/2028               |
| 5                    | Intangible                               | Ad Hoc report creation is more efficient (able to be saved), saving users' time.            | FDLE Staff<br>FDLE Leadership<br>Legislature | <ul style="list-style-type: none"> <li>FDLE staff do not need to regularly recreate reports as needed</li> <li>Staff can now leverage previous efforts to create reports</li> </ul>   | The new system can create customized reports that are saved to the user's account.   | 06/30/2028               |
| 6                    | Intangible                               | Modern integration architecture is present.   | FDLE Staff<br>Florida Citizens               | The RMS platform has the capability to integrate with a variety of external applications, such as other investigative and intelligence data sources and back-office systems such as PALM and People First through the availability of APIs. | The new system can integrate with, query, and pull data from other systems. The number of integrations is also measured.   | 06/30/2028               |

| BENEFITS REALIZATION |  |   |                                |  |  |                          |
|----------------------|--|---|--------------------------------|--|--|--------------------------|
| #                    | Type of Benefit (Tangible or Intangible) | Description of Benefit  | Who receives the benefit?      | How is benefit realized?   | How is the realization of the benefit measured?  | Realization Date (MM/YY) |
| 7                    | Intangible                               | There is an increase in user adoption and proficiency.                    | FDLE Staff                     | FDLE Members have a robust training program for the RMS platform, with all new employees receiving the same structured training when identified as requiring access to the system.   | A new training program is in place, more users are on the system, and there are less requests for support. | 06/30/2028               |
| 8                    | Intangible                               | The RMS supports enhanced role-based and case-specific security settings. | FDLE Staff<br>FDLE Leadership  | There is the ability to provide nuanced access to case information for both internal members and external partners.  | The new system can restrict user access by role level and by case.   | 06/30/2028               |
| 9                    | Intangible                               | The platform is supported externally.                                     | FDLE Staff<br>Florida Citizens | <ul style="list-style-type: none"> <li>Vendor-supported platform which optimizes the FDLE benefit and minimizes the FDLE effort</li> <li>Vendor support staff can be allocated to resolution of bug fixes and troubleshooting software issues</li> </ul> | The solution is not constrained by budget cuts and staffing shortages.                                     | 06/30/2028               |
| 10                   | Intangible                               | Providers constantly update and improve software.                         | FDLE Staff<br>Florida Citizens | <ul style="list-style-type: none"> <li>Vendor-supported platform which optimizes the FDLE benefit and minimizes the FDLE effort</li> <li>Vendor support staff can specialize in development and enhancement of existing platform</li> </ul>              | The new solution will stay up to date with security and overall web technologies.                          | 06/30/2028               |

| BENEFITS REALIZATION |  |  |                                |   |  |                          |
|----------------------|--|--|--------------------------------|---|--|--------------------------|
| #                    | Type of Benefit (Tangible or Intangible) | Description of Benefit   | Who receives the benefit?      | How is benefit realized?  | How is the realization of the benefit measured?  | Realization Date (MM/YY) |
| 11                   | Intangible                               | Using a modular approach that integrates high quality products rather than a generalized approach with the new solution.   | FDLE Staff<br>Florida Citizens | <ul style="list-style-type: none"> <li>Allows for optimized functionality</li> <li>Specialized software for each system module</li> <li>Provides more targeted and robust features than a general RMS can provide</li> </ul>  | The new solution will have the latest law enforcement tools and IT features. FDLE staff will be more efficient in their performance.   | 06/30/2028               |
| 12                   | Intangible                               | Cloud architecture is managed by third-party security professionals, ensuring a consistent security posture, enabling protection against threats, and reducing risk. | FDLE Staff<br>Florida Citizens | <ul style="list-style-type: none"> <li>Allows for vulnerability scanning to identify critical risks and threats</li> <li>Provides remediation guidance for detected threats</li> <li>Ensures FBI CJIS Security Policy compliance at the infrastructure and platform layers</li> </ul> | The new solution will have the ability to monitor security threats and offer remediation for vulnerabilities.                          | 06/30/2028               |
| 13                   | Intangible                               | Cloud architecture provides on-demand scaling of storage and processing.   | FDLE Staff<br>Florida Citizens | Storage and processing can be quickly increased or reduced, depending on system demands.  | User surveys on relative responsiveness and speed of system over time, showing an increase in satisfaction with system responsiveness. | 06/30/2028               |

## B. Cost Benefit Analysis (CBA)

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

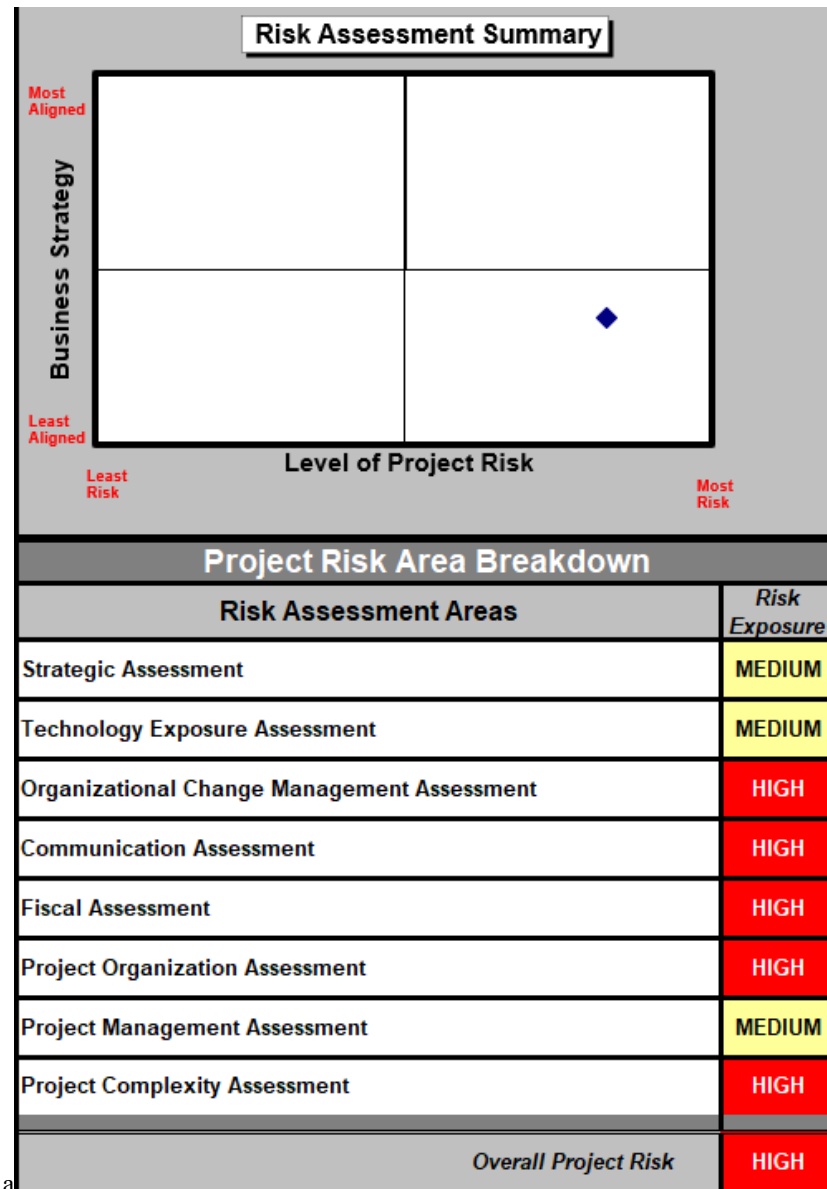
The forms required for the CBA are included as Appendix A.

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

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

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

See Appendix B for more information.



## VI. Schedule IV-B Technology Planning

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

### A. Current Information Technology Environment

#### 1. Current System

AIMS is a multifaceted, custom, and in-house-built system that enables the FDLE to complete tasks and processes regarding law enforcement activities. This system tracks information about all of the FDLE's investigations. AIMS is composed of approximately 90 modules and submodules which range in degree of complexity from one to multiple screens. These screens are used to enter, view, modify, and in some circumstances, delete case information.

The following list is a subset of the modules included in AIMS along with a brief description of each:

- User Security Access – Used to control user access to AIMS by the statewide administrator. Users are assigned roles based on their duties within the agency.
- General Case Profile – Used for the entry, modification, and retrieval of information regarding cases. This includes information about the case agent/member, the date opened, the type of crime being investigated, and other agencies involved. The General Case Profile module is the primary area for data entry and retrieval regarding an investigation and the status of that investigation.
- Case Composite – Used to display and navigate all information sets associated with a specific case. Information sets include Predicate Summaries, Investigative Updates, and Quarterly Case Reviews.
- Predicate Summary/Investigation Plan – Used to enter, update, and retrieve the initial case data and plans for the case being created. It includes information such as the author, date completed, and the summary itself. In summary, it is an explanation of why the case is being opened and how it conforms to an investigative strategy.
- Investigative Updates – Used to manage information about noteworthy events related to the general case profile. These events may include arrests, seizures, or property recovery.
- Quarterly Case Review – Used to manage information relating to quarterly case reviews. It includes information such as the author and current case review. Supervisors must periodically conduct inspections of cases worked by persons under their supervision. The quarterly case review documents these inspections by the supervisors.
- Dissemination Log – Used to log the dissemination of approved investigative reports. Once an approved investigative report is viewed, it is automatically logged on to the dissemination log with the AIMS user who disseminated the approved investigative report and why it was disseminated.
- Administrative Log – Used to manage non-investigative information regarding cases. This information includes minutes from meetings, and trial discovery information.
- Lead Request – Used to document lead information that needs follow up in other FDLE offices or squads. This module was designed to transfer investigative leads between multiple regions of the FDLE, but it is not currently being used.
- Case Related Items – Used to manage attachments to records in AIMS. These related items may be electronic files such as MS Word documents, MS Excel spread sheets, text files, photographs (JPG files) or other graphic files. Items too large for attaching (>50MB) such as video files and other physical case related items are given a related item number as a place holder and the actual item is stored in a proper location. These related items may be hard copy documents such as fingerprint cards, copies of arrest warrants, copies of phone bills, video tape, audio tape, etc.
- Investigative Reports – Used to document events and activities related to an investigation. Once an investigative report is approved, it becomes an official document. If an AIMS user views the approved investigative report, it is automatically logged on to the dissemination log with the AIMS user who disseminated the approved investigative report, along with where and why it was disseminated.
- Arrest and Charges Report – Used to document arrests made during an investigation. Some examples of the information included are case number, investigative report number, arresting agent, arrest date, arrestee's name, and the charge information.
- Evidence Management System (EMS) Exhibits – Used to display information about evidence associated

with an FDLE case. Only evidence that has been entered into EMS (BEAST) will be displayed in this module. This connection is currently not maintained and does not function.

- Travel Cost Record – Used to manage cost information for a specific trip and a specific case. It includes information such as case number, dates of the trip, activity, traveler’s name, travel site, cost codes, the person being reimbursed, reimbursement amount, purpose of the trip, and total cost of all trips for the case. It also includes an itemized list of all the travel cost items such as cost type, cost amount, and a comment for each item. This module is used to associate travel costs to specific cases to determine overall case costs.
- Purchase Order – Used for the management of case-related purchase information. This module includes information such as the purchase order number, issue date, total purchase order cost, description, and remarks. Furthermore, also included is a line-item breakdown of each purchase made under this purchase order. The purchase order is used to document costs attributed to a specific case.
- Aircraft Mission – Used to track costs related to the use of an aircraft attributed to a specific FDLE case. It includes information such as case number, aircraft number and type, mission date and type, pilot name, and number of occupants in the aircraft during the mission.
- Information and Evidence Justification – Used to track information related to the purchase of information and/or evidence pursuant to an FDLE Case. This module is closely related to the Confidential Source Module. A frequent source of information and evidence comes from confidential sources controlled either by the FDLE or other criminal justice entities.
- Management Reports – The following are modules related to the Management Reports. Each of these modules contains reports regarding cases and investigations.
  - Business Support
  - Case Information
  - Region/Squad Statistics
  - Human Resource/Hours
  - Member
  - Confidential Source
  - PAMS
  - Purge Intelligence Cases
  - Miscellaneous Reports
- Confidential Source – This module is used for the management of information regarding the identity and personal data of FDLE controlled confidential sources and non-FDLE controlled confidential sources. The information includes the controlling agent, alternate agent, controlling agent’s supervisor, controlling agency (for non-FDLE controlled confidential sources), etc.
- Agency – Used for tracking information regarding agencies. This includes information such as the agency name, director’s title/name, agency address and telephone details.
- Person – Used to track information regarding people. This includes the person’s name, aliases(s), nickname(s), telephone information, address information, hair color, eye color, height, weight, sex, race, skin tone, ethnicity, citizenship, and all cases the person has been “indexed” in and/or marked as an arrestee in, etc.
- Business – Used to track information regarding businesses, groups, and organizations. Businesses are regularly encountered as a part of the FDLE’s everyday investigative activities.
- Vehicle – Used to track vehicle information. Vehicles are encountered or used as a part of FDLE investigations, and some vehicles are linked to person(s), or business(es) involved in an FDLE investigation.
- Criminal Organization – Used to track information regarding criminal organizations. This includes the organization’s name, type, major ethnicity, primary and secondary activity codes, telephone information, address information, and geographic scope (region, county, state, and country).
- Module Search – This module is intended to allow quick searches of a module’s real-time data in the database. A user can only search one module at a time. However, a search can include multiple fields within a particular module. The results for the search are displayed as a grid that the user can select items from to display further details. The results may also be exported to a spreadsheet or PDF.
- Data Repository Search by SSN – Searches the Data Repository tables by Social Security Number (SSN) and returns a list of the modules where that SSN is contained in the records accessed by that module.
- Death File – Searches on a Social Security Number (SSN) entered by the user. If the SSN identifies a person who has died in the State of Florida and is listed as dead on the death records provided by the DOH,

information about the person and their death is displayed.

- Employee Wage – Searches for employment earnings recorded with the DEO for an individual. The wage/hour data goes back five years and is uploaded to AIMS every quarter.
- Employer – Searches for employer information recorded with the DEO.
- Interstate Unemployment Compensation – Searches for people who have received unemployment compensation from another state while residing in Florida in the last three years.
- Stop Inmate Fraud – Searches for people who have been in a Florida prison or jail in the last three years and if that incarceration record was sent to the FDLE. This data source is no longer supported.
- Unemployment Compensation – Searches for people who have received unemployment compensation in Florida in the last three years.

**a. Description of Current System**

AIMS contains highly confidential data such as the identities and contact information of confidential informants, undercover agents, details of active investigations, and links to sensitive information from other agencies. The utilization, management, and protection of this information is paramount to the mission of the FDLE.

The system's primary purpose is to be a comprehensive investigative case management tool for all FDLE investigations. This system provides many functionalities that allow the FDLE to accomplish its mission. These functionalities include case management, investigative analysis, case cost analysis, reporting, and information sharing within the FDLE. The system is also the FDLE's in-house intelligence repository of record. Intelligence matters are also logged as cases.

The current system configuration, which consists of a custom in-house web application, integration processes, and multiple databases, is illustrated below in Figure 2.



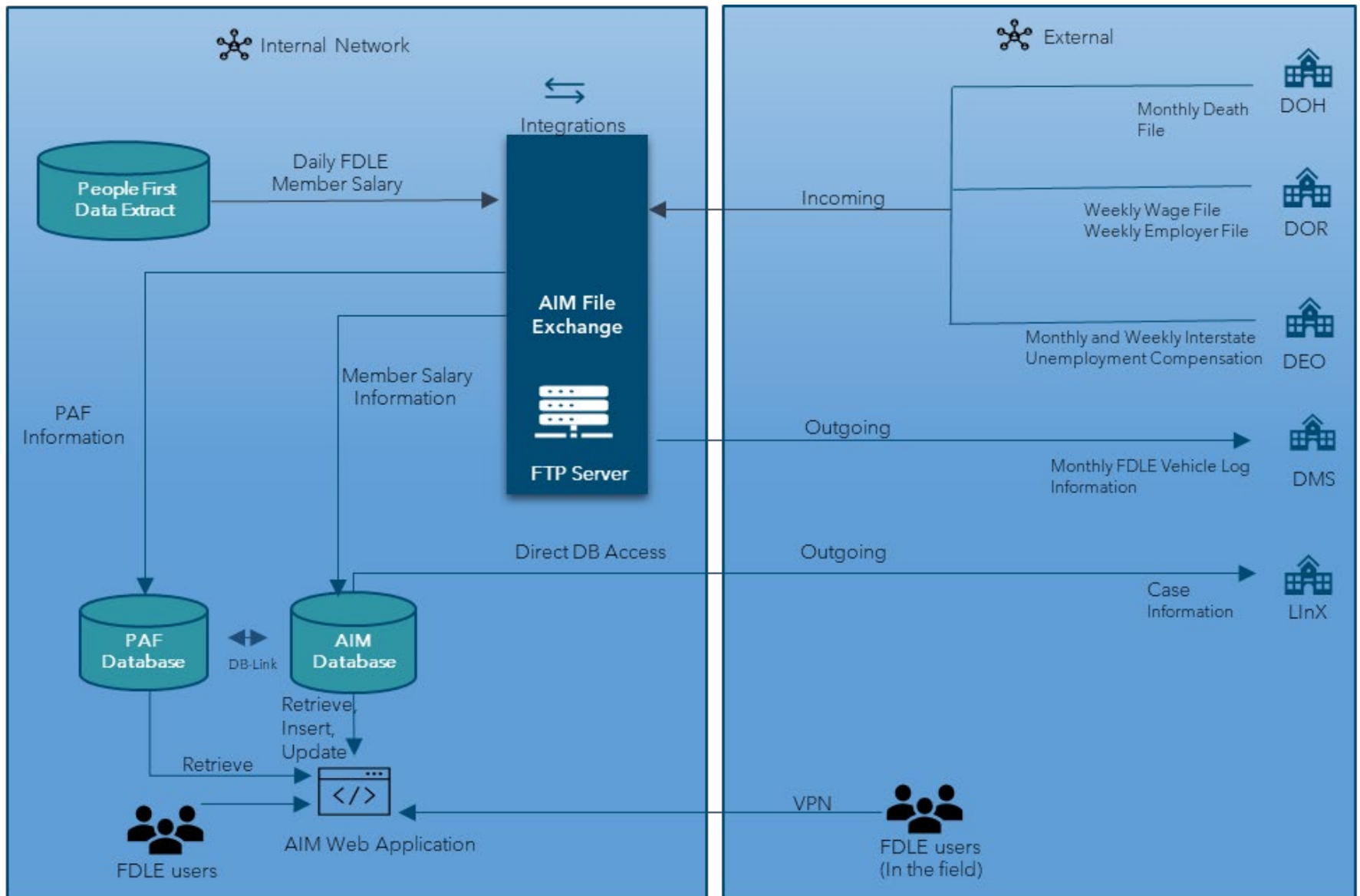


Figure 2: Current System Configuration

**Integrations:**

In support of its mission, the FDLE shares data with other local, state, tribal, and federal entities. These integrations are made possible through batch processes that import and export files using secure file transfer protocol (SFTP). To facilitate these integrations, the files must have a specific format that allows the data to be processed correctly.

Furthermore, each integration has its own specific folder on SFTP server and access is restricted to these folders for security purposes. The following are the current integrations supported by AIMS:

- **Incoming File Integrations:** These are processes where a text file of a particular format is received on the FDLE SFTP server from external entities. These files are then processed and the data they contain is inserted into the AIMS database. Below are the incoming file integrations:
  - Department of Revenue (DOR)
    - Wage File (weekly)
    - Employer File (weekly)
  - DOH: Death File (monthly)
  - DEO
    - Unemployment Compensation File (weekly)
    - Interstate Unemployment Compensation File (monthly)
- **Outgoing File Integrations:** These are processes where data from the AIMS database is inserted into a formatted file and placed on the secure file transfer protocol server of an external entity. The only outgoing file integration is with the Department of Management Services for the FDLE Vehicle Log File (monthly).

The AIMS file integrations are composed of three processes which are secure file transfer protocol, Import, and Export. The secure file transfer protocol process, which runs every three hours, is responsible for placing files received from external partners into specific locations for further processing. The import process uses Oracle SQL\*Loader along with database stored procedures to import data from received files into the AIMS business database tables. The Oracle SQL\*Loader is a tool used to load data from external files into tables of an Oracle database. The export process is responsible for retrieving data from specific AIMS database tables, creating a file, then transferring the files to the SFTP server of the receiving agency.

**External Direct Database Access Integrations** – AIMS also integrates with external entities by way of direct database access. For example, the LInX integration has direct access to specific export tables in the AIMS database. This integration is implemented as a scheduled daily database job. This process extracts select major and investigative assistance case summary information, case narratives, parties (business, person, vehicle) indexed in the case narratives, charges and arrests related to the case narratives, case party involved information. This data is inserted into a specific AIMS database table, which is then retrieved by the LInX system and imported into the data warehouse along with any changes from the previous upload. For security purposes, the access of the LInX system is restricted to only the specific table needed for the integration.

LInX is an advanced information sharing system and analytical data warehouse containing information from participating federal, tribal, state, and local law enforcement agencies. It is a joint initiative sponsored by the Naval Criminal Investigative Service (NCIS) of the U.S. Department of the Navy, and various regional and local law enforcement agencies located throughout the nation and is integrated with the FBI's National Data Exchange (N-DEx).

**Internal Integration** – AIMS also has the capability to share data with other systems internal to the FDLE. In this type of integration, the data is shared by way of direct database access. The AIMS application connects directly with the database to retrieve the data it needs. An example of this type of integration is the People First Data Export where member salary information is imported daily. AIMS uses this data to update the member profile records in the AIMS database.

**Storage:**

AIMS currently uses the following databases to persist data:

- AIMS – This is the primary database. It is used to persist law enforcement information for AIMS.
- The Department of Financial Services, Division of Public Assistance Fraud – Public Assistance Fraud database. The data in this database is received from the external AIMS integrations. It is used for searching in the Public Assistance Fraud module of AIMS.

**b. Current System Resource Requirements**

In support of the AIMS application and adjacent systems, the FDLE is required to operate and maintain specific hardware and software. Additionally, the FDLE also uses multiple environments running AIMS in accordance with modern software development best practices.

- Hardware and Software – All hardware servers are maintained and operated on premises at the FDLE facilities. A complete list of the required hardware and software components and tools is included in the Current Hardware and/or Software Inventory section of this document.
- Environments – The FDLE maintains three software development environments. In this context, an environment is a collection of software and hardware components and tools used to build and host an application such as AIMS. Each environment serves a particular purpose with respect to the software development process.
  - Development – This environment is where new features and changes are deployed and debugged.
  - Test – This environment is used specifically for testing and mirrors the production environment as closely as possible.
  - Production – This environment is the final place for new features and application changes. It is the actual environment the FDLE uses to conduct official business. This environment is also deployed as a cluster. In other words, there are multiple instances of the AIMS application running in the production environment. This configuration shares the load of HTTPS requests initialized by FDLE staff using AIMS. Furthermore, it acts as a fail-safe if one instance of AIMS goes offline, the other will be available to service FDLE user requests.

**c. Current System Performance**

The current AIMS has been in existence since 1999. Over the past two and a half decades, new features and capabilities have been added to keep the system in line as best as possible with the FDLE needs and the current technologies of the time. AIMS is maintained completely in-house by FDLE staff which gives the FDLE the benefit of having a system that is customized to the agency’s needs. However, there are serious limitations and drawbacks to the functionality an in-house system can provide compared to many COTS systems on the market today and some basic features and integrations no longer function due to changes to browsers and other third-party applications. Due to budgetary constraints with respect to information technology staffing size and salary levels, the FDLE does not have the resources or expertise to compete with private sector companies that specialize in COTS solutions of the magnitude needed.

The purpose of AIMS is to be a comprehensive case management tool for all FDLE investigations. Unfortunately, AIMS is currently struggling to meet the basic needs of the FDLE in this regard. When contrasted against the technological advances present in other systems on the market, the functions offered by AIMS are antiquated and rudimentary. As a result of the age and state of AIMS, the probability of a catastrophic failure will increase as the FDLE continues to rely on it. A failure to this extent would be highly detrimental to the operations of FDLE. Urgent action is needed in this infrastructure replacement to prevent any disruption of the important responsibilities the FDLE provides. After many interviews with current FDLE staff members, usability, reliability, duplicative data, and the inefficient interface are among the most common topics discussed.

- **Growing need to increase usability and efficiency:** Systems that are streamlined and efficient are paramount to any organization. The current AIMS has some major problems with respect to usability and efficiency. For example, FDLE staff frequently require the ability to view information from multiple screens or multiple modules simultaneously. This is currently not supported in the current AIMS. FDLE staff are required to completely exit their current window to view information in another window.

Furthermore, there are many inefficiencies with having to provide duplicative information to AIMS that has previously been entered in another module or another system used by the FDLE. For example, occasionally new cases are created in AIMS based on an existing case. In this situation, FDLE staff has to re-enter all the case information from the existing case to create the new case. It would be much more efficient for staff to be able to “spin off” a new case with information already entered from the existing case. These kinds of duplicative efforts are costly and hinder FDLE investigations by taking considerable time away from other duties. As the business processes of the FDLE evolve to satisfy current and future investigative needs, modern systems that are engineered with a focus on high usability and efficiency will be required.

- **Increasing need for a reliable system:** Investigations are dependent on good information. FDLE staff face many glaring issues concerning reliability and trust while using AIMS. With respect to searching, this is a major issue that needs to be rectified in any future system. For instance, results for a particular search may be dependent on whether a staff member has entered a space before or after a search term. Furthermore, AIMS does not account for the possible different spellings of a person’s name. These types of situations cause FDLE staff to not fully trust and rely on the results of one search. Which compel them to execute multiple searches with slightly different search terms in an attempt to compensate for the shortcomings of AIM. In addition, AIMS does not provide solutions to help limit erroneous data entry. As a result of these kinds of problems, FDLE staff members have expressed their reluctance to completely trust the searches they conduct in AIMS.
- **Security and confidentiality:** Protecting confidential information is paramount to any investigative agency’s overall mission and daily operations. The current AIMS contains highly confidential information, such as the identities of confidential informants, undercover agents, and details of active investigations. Moreover, AIMS also contains links to sensitive information from other agencies. AIMS is an in-house built application with components and modules added over time. As a result, there is an increased risk of confidential information being exposed to personnel that should not have access to it. This is due to an out-of-date system design and the fact that the FDLE currently does not have the necessary resources consisting of quality assurance analysts and test engineers to ensure that software updates and new features do not unwittingly expose sensitive information.

## 2. Information Technology Standards

AIMS is governed by the following Information Technology Standards and Rules:

- Rule 60GG-2, F.A.C., which establishes the state standards relating to Information Technology security.
- Rule 60GG-4.001, F.A.C., directs state agencies to show a preference for cloud-computing solutions.
- Americans with Disability Act, Section 508 Accessibility Compliance.

## B. Current Hardware and/or Software Inventory

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

Table 16 below outlines the key components of AIMS current hardware and software inventory.

Table 16: Hardware and Software Inventory

| HARDWARE AND SOFTWARE INVENTORY                             |  |
|---|--|
| Name  | Description  |
| (3) Red Hat JBoss Enterprise Application Platform (EAP) 7.4 | Servers running the EAP subscription-based/open-source Java Enterprise Edition (EE)-based application server runtime platform.<br><br>Intel Xeon Gold 6244 3.6G, 8C/16T, 10.4GT/s, 24.75M Cache, Turbo, Hyper-Threading (HT) (150W) DDR4-2933 126GB of RAM 3200MT/s, Dual Rank 8GB bAEx4 |
| Apache Wicket – 1.7   | Web Server for Java framework  |
| TinyMCE 7.x   | Rich-text editor   |
| Red Hat Code Studio: 12.21.0.GA (IDE)                       | Integrated Development Environment   |
| JAVA 1.8 (Open JDK)   | Java Development Kit   |
| Jasper Report 5.5   | Reporting tool   |
| SQL Developer 4.13.x  | A free graphical user interface, Oracle SQL Developer allows database users and administrators to do their database tasks in fewer clicks and keystrokes.  |
| Oracle 19c  | Oracle Database 1.8TB  |
| Oracle Partitioning 19C                                     | Oracle Database 752GB  |

### C. Proposed Technical Solution

Since 1999, AIMS has expanded to provide functionality not typical of an RMS platform. Any platform replacement should support as many of the FDLE needs as possible, whether those needs are provided through the new RMS or through integrated systems implemented as part of the same overall project. All the investigative functions facilitated by AIMS can be served through COTS platforms; however, no singular COTS platform can replace all of the features built into AIMS today.

#### 1. Technical Solution Alternatives

This section describes the alternative solutions considered for replacing the current AIMS system.

To conduct the alternatives analysis, the following steps were performed:

- Documented the functional and non-functional requirements that a new solution must meet for the project to be successful
- Identified the potential system implementation options
- Established measurable success criteria

Three options were identified:

##### Alternative 1: Status Quo/As-Is

Continue to operate the current AIMS with its current functionality. Very little new functionality can be added and the business needs are not being met.

##### Alternative 2: Custom write the AIMS System Replacement

This option would have FDLE redesign and enhance the AIMS system incorporating improvements recommended by FDLE members. The new system would offer current capabilities (with improved appearance and navigation) and new functions as described in the Proposed Business Process Requirements section of this document.

**Alternative 3: System Replacement**

Replace the current AIMS system with a new solution which can meet FDLE's functional requirements and capacity needs. Replacing the aging AIMS system allows for a new, more robust features and moves the solution to the cloud.

**2. Rationale for Selection**

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

These criteria include:

- Ability to meet the business requirements
- Ability to streamline data entry for time entered and accuracy
- Expand the ability to integrate with additional systems
- Flexibility to add new alert types as they are legislated
- Impact to FDLE IT services and systems

**3. Recommended Technical Solution**

The recommended technical solution is to acquire a cloud-hosted, market leading RMS. This will enable the FDLE to replicate most of the current AIMS functionality, while adding significant modern investigative and intelligence capabilities. One of the most common issues raised by the FDLE SMEs was the inability to search within attachments linked to a case. The RMS should have native OCR and other types of indexing that will enable users to quickly search through many terabytes of non-evidence attachments while still linking those attachments to the case through integration. OCR is achieved through built in automation that can extract text from scanned/PDF documents into separate machine-readable indexes that can be searched. The solution should have advanced functionality for media transcription and will provide a better means of storing the increasing quantity of video sent to the FDLE. A digital evidence management portal will also provide a secure means of transferring evidence to the FDLE from partner agencies, which currently is provided primarily on thumb drives through a manual courier.

**D. Proposed Solution Description**

**1. Summary Description of Proposed System**

The proposed solution is to replace the investigative and intelligence infrastructure of AIMS with a COTS solution.

- **RMS:** an investigative case management platform commonly used in law enforcement organizations to manage investigations and intelligence gathering efforts. This should include a process for indexing and processing documents and attachments. Additionally the solution should include logging, chain of custody, and maintenance of evidence in property/evidence rooms.

To replace the FDLE's investigative platform, the RMS system listed above is in scope for this project. Some existing functionality that does not typically reside in an RMS platform will remain in the current system, or be addressed separately, which is out of scope for this project.

Implementing a RMS, the core investigative and intelligence functionality of AIMS will be replaced and enhanced with modern features. Certain non-core features that are not standard for an RMS platform will be addressed separately.

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

Estimated total project costs are summarized in the table below:

|                        |                   |                          |       |
|------------------------|-------------------|--------------------------|-------|
| <b>Title:</b>          | RMS Modernization | <b>Customer Contact:</b> | _____ |
| <b>Tracking #:</b>     | TBD               | <b>ITS Lead:</b>         | _____ |
| <b>Customer:</b>       | _____             | <b>Planned Finish:</b>   | _____ |
| <b>Manager:</b>        | _____             | <b>Version #:</b>        | 1.0   |
| <b>Planned Start:</b>  | 7/1/2024          |                          |       |
| <b>Duration (mos):</b> | _____             |                          |       |
| <b>Baseline Date:</b>  | 7/1/2024          |                          |       |
| <b>Revision Date:</b>  | _____             |                          |       |

| <b>Project Budget</b>               | <b>Planned</b>     | <b>Planned</b>     | <b>Planned</b>     |                     |              |
|-------------------------------------|--------------------|--------------------|--------------------|---------------------|--------------|
| <b>Cost Elements</b>                | <b>FY24-25</b>     | <b>FY25-26</b>     | <b>FY26-27</b>     | <b>Totals</b>       | <b>Notes</b> |
| <b>Staff</b>                        |                    |                    |                    |                     |              |
| State Staff                         | \$0                | \$0                | \$0                | \$0                 |              |
| OPS                                 | \$0                | \$0                | \$0                | \$0                 |              |
| <b>Expenses</b>                     |                    |                    |                    |                     |              |
| Project Deliverables                | \$0                | \$0                | \$0                | \$0                 |              |
| Other Expenses                      | \$45,000           | \$30,000           | \$30,000           | \$105,000           |              |
|                                     |                    |                    |                    | \$0                 |              |
| <b>Contract Services</b>            |                    |                    |                    |                     |              |
| Contract Staff                      | \$1,140,000        | \$1,140,000        | \$1,140,000        | \$3,420,000         |              |
| Project Deliverables                | \$1,300,000        | \$2,300,000        | \$2,300,000        | \$5,900,000         |              |
| Other IT Services                   | \$600,000          | \$600,000          | \$600,000          | \$1,800,000         |              |
|                                     |                    |                    |                    | \$0                 |              |
| <b>Total</b>                        | <b>\$3,085,000</b> | <b>\$4,070,000</b> | <b>\$4,070,000</b> | <b>\$11,225,000</b> |              |
| <b>Recurring Maintenance Budget</b> |                    |                    |                    |                     |              |
| <b>Cost Elements</b>                | <b>FY24-25</b>     | <b>FY25-26</b>     | <b>FY26-27</b>     | <b>Totals</b>       |              |
| Maintenance Expenses                | \$0                | \$0                | \$3,000,000        | \$3,000,000         |              |
| Project Management                  | \$0                |                    | \$0                | \$0                 |              |
| <b>Total</b>                        | <b>\$0</b>         | <b>\$0</b>         | <b>\$3,000,000</b> | <b>\$3,000,000</b>  |              |

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

For this assessment, existing capacity and trends over the past five years were reviewed to determine projections for the future solution capacity. Any new system must be able to satisfy the current and projected capacity demands of the FDLE. To gain an accurate view of the capacity requirements for an investigative and intelligence infrastructure replacement, the following factors were considered:

- Workload trends of the FDLE.
- Current utilization and capacity trends of AIMS.
- Current vulnerabilities of AIMS.
- Population trends with respect to law enforcement needs.

The workload of the FDLE has increased every year over the past five years. As illustrated in Tables 21-24 below, the yearly totals for General Case Profile, Investigative Reports, Party Profiles, and Related Items have all increased. The new system must be able to handle this increased load in an efficient and stable manner. This is a major concern of the FDLE regarding AIMS. AIMS is an aging system, and any unhandled system failure would be detrimental to the business operations of the FDLE. Therefore, when capacity planning for any new system, built-in failover functionality must be considered. 2023 numbers in the tables below were calculated as of April 26, 2023, and do not represent a full year of data.

Table 17: General Case Profiles

| Year                       | 2019    | 2020    | 2021    | 2022    | 2023    |
|----------------------------|---------|---------|---------|---------|---------|
| <b>Yearly Total</b>        | 446,143 | 449,020 | 452,171 | 455,696 | 456,839 |
| <b>Percentage Increase</b> |         | 0.64%   | 0.70%   | 0.77%   | 0.25%   |

Table 18: Investigative Reports

| Year                       | 2019    | 2020    | 2021    | 2022      | 2023      |
|----------------------------|---------|---------|---------|-----------|-----------|
| <b>Yearly Total</b>        | 906,089 | 943,452 | 981,722 | 1,021,051 | 1,032,826 |
| <b>Percentage Increase</b> |         | 3.96%   | 3.90%   | 3.85%     | 1.14%     |

Table 19: Party Profiles

| Year                       | 2019      | 2020      | 2021      | 2022      | 2023      |
|----------------------------|-----------|-----------|-----------|-----------|-----------|
| <b>Yearly Total</b>        | 1,740,455 | 1,772,339 | 1,803,428 | 1,834,800 | 1,846,103 |
| <b>Percentage Increase</b> |           | 1.80%     | 1.72%     | 1.71%     | 0.61%     |

Table 20: Related Items (All Modules)

| Year                       | 2019      | 2020      | 2021      | 2022      | 2023      |
|----------------------------|-----------|-----------|-----------|-----------|-----------|
| <b>Yearly Total</b>        | 1,049,493 | 1,105,381 | 1,160,943 | 1,218,670 | 1,238,735 |
| <b>Percentage Increase</b> |           | 5.06%     | 4.79%     | 4.74%     | 1.62%     |

The current system supports approximately 924 active users with peak utilization of approximately 440 concurrent users. Utilization fluctuates greatly under emergency situations, such as acts of terrorism or extreme weather events such as hurricanes. The future system must have the processing power and stability to handle a sudden increase in user activity due to these types of unforeseen events. Unlike most modern cloud-based systems, AIMS does not have the ability to scale up its processing power in response to user demand. Migrating to a cloud-based SaaS infrastructure will improve system availability and reliability when utilization is high by scaling up processing power.

AIMS is the central RMS for the FDLE and contains highly confidential information, such as the identities and contact information of confidential informants and undercover agents, details of active investigations, and links to sensitive information. Therefore, it is imperative that the FDLE has a system that is stable, scalable, and secure. The aging framework AIMS is built on can no longer meet the needs of the FDLE. To prevent the increasing possibility



of interruptions to the operations of the FDLE due to system outages and broken functionality, the investigative and intelligence infrastructure should be replaced with a modern system that can satisfy current and future law enforcement needs.

The state of Florida is one of the fastest-growing states with regard to population. Over the last 20 years, Florida has experienced an annual population growth of 1.7%, which was 70% higher than the 1.0% national growth rate<sup>1</sup>. With a current population of approximately 21.5 million people, Florida's law enforcement needs are greater than ever. However, some of the need for more law enforcement personnel can be alleviated by employing technologies that can improve efficiencies enabling the FDLE members to increase their productivity. Unfortunately, the aging AIMS lacks many of the technological advances that modern systems provide. Therefore, when planning for the capacity of any new system deployed by the FDLE, historical growth trends of Florida's population must be considered.

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<sup>1</sup> United States Census Bureau. [Florida Fastest-Growing State for First Time Since 1957 \(census.gov\)](https://www.census.gov/newsroom/press-releases/2021/florida-fastest-growing-state.html)

## VII. Schedule IV-B Project Management Planning

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

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

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### A. Project Scope

#### 1. Investigative and Intelligence Infrastructure Replacement

This project includes the acquisition of equipment, software, and services to implement an integrated solution that will be used by agents and analysts to manage investigative and intelligence cases, information about entities (persons, groups, and businesses), crime and trend analysis, statistical reporting, and related investigative processes including evidence and document management.

Organizational Change

Intelligence-Led Policing concepts and practices along with the implementation of the RMS will instigate change in the FDLE. However, the benefits of these initiatives will only be realized if there is a focused, organized strategy for introducing and managing change. A steering committee will be organized within the FDLE to help identify, champion, and implement this change. Members of the steering committee will come from within the FDLE.

### B. Project Phasing Plan

This project consists of three high-level phases: detailed planning, procurement/contracting, and implementation and deployment.

#### Phase 1 – Detailed Planning

The detailed planning phase involves designing and developing the AIMS technical specification and technical requirements, assembling the project team, and establishing mechanisms for FDLE to collaborate with state and local law enforcement agencies and with vendors.

#### Phase 2 - Contracting

This phase of project will include obtaining funding and statutory approvals to move forward with the procurement process.

#### Phase 3 - Implementation and Deployment

The implementation and deployment phase start as soon as the technical specification and requirements are available. Additionally, FDLE can start development of a test plan and various documentation and software tools to simplify development and testing of products. Once the procurement/contracting phase is complete, implementation can start.

Toward the end of this phase, desirable additional features or requirements may have been identified; technology advances may be available that would improve the process and related systems; user requests may have been received; new features may be available in the various products; etc. Therefore, it is anticipated that a round of future enhancements and technology refreshes are beneficial to improve services; stay current with technology; and continue to improve the overall process. These enhancements and refreshes are conducted in parallel to any ongoing work. FDLE will retire and decommission outdated business process, tools, methods, and functions that no longer add value to AIMS.

### C. Baseline Schedule

A baseline schedule can be found in Appendix C. A more detailed baseline schedule is prepared after a contract is established with a vendor.

### D. Project Organization

Successful implementation of the proposed solution requires establishing a model of governance by applying a structured decision-making process. Functions critical to project success within this governance process will include measures to document and maintain requirements and compare solutions in advance of implementing architectural change. Such a process will also facilitate decision-making and manage all aspects of the replacement project efforts.

The FDLE's enterprise approach and governance structure ensures that there is an integrated process, vertically and horizontally, for requesting new projects and funding.

- Vertical integration will require receiving bottom-up input on the costs and status of each project and top-down prioritization and approval of prospective projects.
- Horizontal integration will require the internal transfer of knowledge and information between functional and operational support units to maximize effectiveness of prospective projects and mitigate against risks of unintended future consequences.

Effective collaboration is essential to the successful implementation of the proposed solution. Collaboration provides visibility to stakeholders, produces the necessary exchange of information, coordinates work efforts, and produces useful information about stakeholder needs. The Project Team will establish guidelines for effectively managing collaboration with project stakeholders before, during, and between projects or project phases.

The FDLE's enterprise approach and governance structure will be developed to make coordinated IT decisions at an enterprise level and align business decisions with strategic objectives. The proposed organization chart is provided in Figure 3 below.

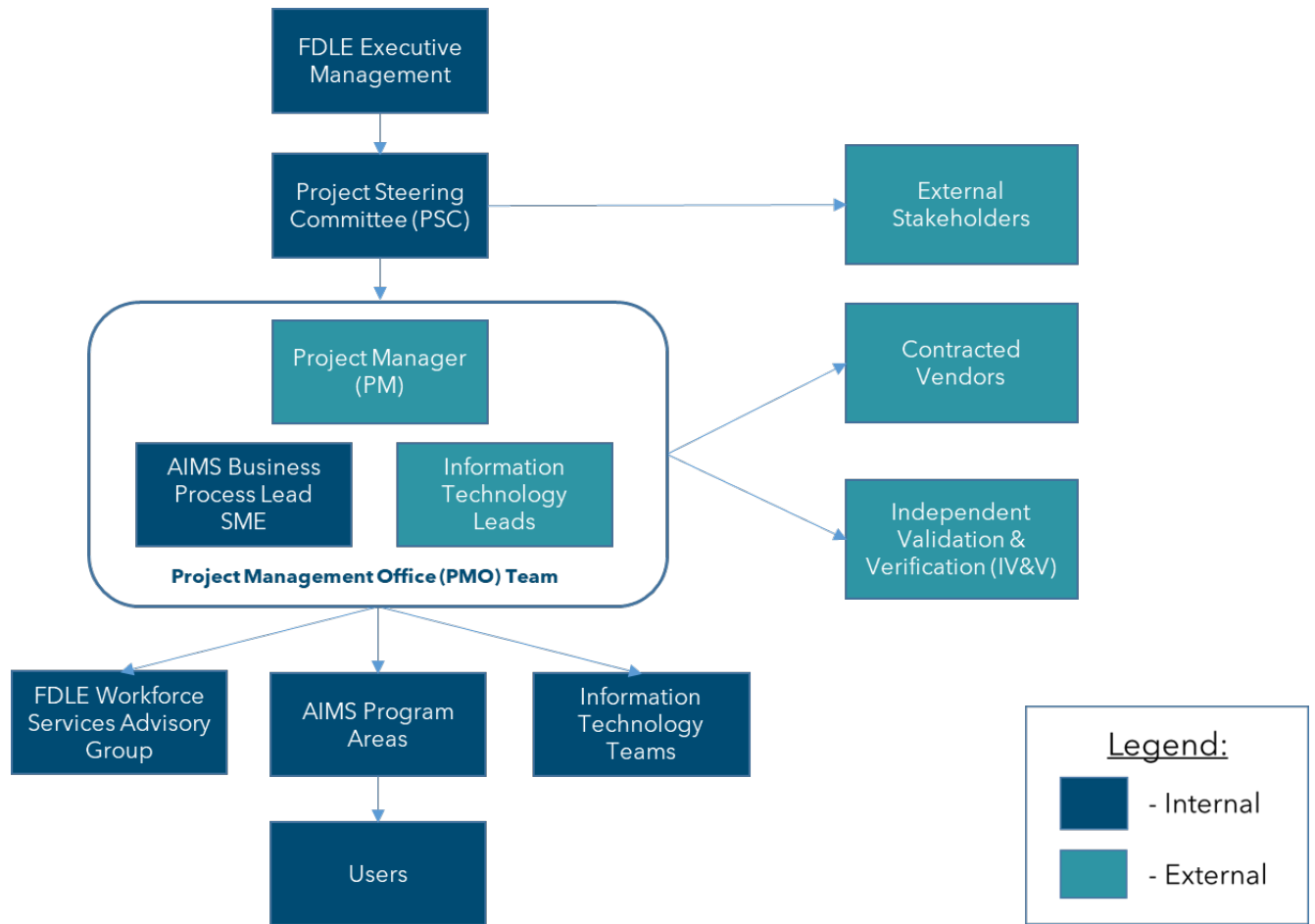


Figure 3: Project Organization Chart

Roles and functions within the proposed organizational governance structure will evolve over time to ensure organizational agility and continuous modernization. For the initial proposed organizational structure, roles, responsibilities, and/or processes are defined in Table 26 below.

Table 21: Project Organization Roles and Responsibilities

| Project Organization      |  |
|---------------------------|--|
| Roles                     | Responsibilities   |
| FDLE Executive Management | <ul style="list-style-type: none"> <li>Appoint members of the Project Steering Committee and the Committee Leader.</li> <li>Obtain Legislative approvals and funding.</li> <li>Review and approve proposed changes to scope, cost, or schedules.</li> <li>Provide management direction on issues that cannot be resolved by the Project Steering Committee.</li> <li>Communicate policy objectives that will drive or materially impact IT strategy.</li> <li>Make “go/no-go” decisions, provide written approvals for proposed projects, and to the extent required in a given Project Management Plan, provide approvals for individual project phases.</li> </ul> |

| Project Organization             |   |
|----------------------------------|---|
| Roles                            | Responsibilities  |
|                                  | <ul style="list-style-type: none"> <li>• Make recommendations to close or terminate an active project.</li> </ul>   |
| Project Steering Committee (PSC) | <ul style="list-style-type: none"> <li>• Assess project health and provide regular reports to Executive Management.</li> <li>• Approve recommendations regarding deliverables and authorize payments.</li> <li>• Provide final approval for acceptance of all active project deliverables.</li> <li>• Review and recommend proposed changes to scope, cost, or schedules.</li> <li>• Provide management direction to and address issues submitted by Project Manager.</li> </ul>  |
| Project Manager (PM)             | <ul style="list-style-type: none"> <li>• Manage project management plans and subsidiary documents.</li> <li>• Oversee and manage execution of the project.</li> <li>• Assign, prioritize, manage, and review work assignments.</li> <li>• Oversee system integration firms and other IT service providers associated with project.</li> <li>• Initiate, Plan, Execute, Monitor and Control, and Close Out project activities.</li> <li>• Manage project risks and issues.</li> <li>• Report to the Project Steering Committee regarding status, progress, risk mitigation, and issues.</li> <li>• Inspect deliverables and makes recommendations for acceptance or rejection.</li> <li>• Collaborate with business units and IT support to ensure a smooth transition from implementation to operations and maintenance.</li> </ul> |
| Project Team                     | <p>Two of the most time-consuming tasks for the project team include:</p> <ul style="list-style-type: none"> <li>• Serve as the FDLE point of contact with the Florida Digital Services and provide them with required documentation.</li> <li>• Serve as the FDLE point of contact for IV&amp;V and provide the IV&amp;V vendor with required documentation.</li> <li>• Analysis and preparation required for procurement documents.</li> <li>• Project management</li> </ul>  |
| External Stakeholders            | <ul style="list-style-type: none"> <li>• Maintain and strengthen established relationships with divisions throughout the FDLE and other state and federal agencies.</li> <li>• Conduct regular meetings to facilitate collaboration, exchange information vital to project success and gather essential input. Such regular meetings might include:                             <ul style="list-style-type: none"> <li>○ Touchpoints – Strategic one-on-one meetings with the PSC to discuss needs and concerns.</li> <li>○ Project and key stakeholder meetings – Planned meetings to provide scheduled updates or obtain feedback.</li> <li>○ Quarterly project update meetings – Division/Unit staff meetings to provide updates on project progress and upcoming activities.</li> </ul> </li> </ul>                             |

| Project Organization  |  |
|---|--|
| Roles   | Responsibilities   |
| Independent Validation & Verification (IV&V)                    | <p>The selected IV&amp;V Contractor shall perform ongoing project monitoring activities and will review and validate issues/deficiencies/risks identified with the project. Minimally required project monitoring activities and deliverables include, but are not limited to:</p> <ul style="list-style-type: none"> <li>• Providing an independent, objective, third-party view of project efforts with the intent of protecting the State's interests.</li> <li>• Providing personnel, processes, approaches, and tools to perform IV&amp;V services for Florida information technology projects.</li> <li>• Performing assessments on both project and program management processes and work products.</li> <li>• Providing objective observations and recommendations.</li> <li>• Assessing and reporting overall project performance, extrapolating future project progress and success, and identifying any possible impediments to successful project completion.</li> <li>• Examining all project artifacts and documents to evaluate the effectiveness of the project management controls, procedures, and methodology.</li> <li>• Assessing the effectiveness of project communication, assessing Customer involvement.</li> <li>• Developing performance metrics that facilitate the tracking of progress/completion of project tasks and milestones.</li> <li>• Reviewing all project cost and expenditure documentation and making recommendations for efficient use of funds.</li> <li>• Validating identified risks and issues and proposed response(s) and assessing impact to the project progress or success.</li> <li>• Verifying and validating the quality of project work products (deliverables).</li> <li>• Reviewing statements-of-work, solicitations, and contracts to verify alignment between requirements and solicited or contracted terms.</li> <li>• Providing guidance and training on standards and best practices for project management.</li> <li>• Ensuring project teams for the supporting platforms follow required standards, including, but not limited to, Administrative Rules, Florida Statutes, and federal requirements.</li> </ul> |
| FDLE Workforce Services Advisory Group (new group to be formed) | <ul style="list-style-type: none"> <li>• Coordinate and align project activities with broader goals and objectives of the FDLE Workforce Services.</li> <li>• Conduct regular meetings to facilitate collaboration, exchange information vital to project success, and gather essential input. Such regular meetings might include:                             <ul style="list-style-type: none"> <li>○ Touchpoints – Strategic one-on-one meetings with the PSC to discuss needs and concerns.</li> <li>○ Quarterly project update meetings – Meetings to provide updates on project progress and upcoming activities.</li> </ul> </li> </ul>  |
| AIMS Business Process Lead SME                                  | <ul style="list-style-type: none"> <li>• Serve as member of Project Team.</li> <li>• Provide oversight and input to align AIMS project and project activities with broader goals and performance objectives of AIMS Business Services.</li> <li>• Conduct regular meetings to facilitate collaboration, exchange information vital to project success and gather essential input. Such regular meetings might include:</li> </ul>  |

| Project Organization         |  |
|------------------------------|--|
| Roles                        | Responsibilities   |
|                              | <ul style="list-style-type: none"> <li>○ Touchpoints – Strategic one-on-one meetings with AIMS Program Areas and Project Team to identify needs and resolve concerns.</li> <li>○ Quarterly project update meetings – Periodic meetings to provide updates on proposed project planning, active project progress, and upcoming activities.</li> </ul>   |
| Information Technology Lead  | <ul style="list-style-type: none"> <li>● Serve as member of Project Team.</li> <li>● Provide oversight and input to align project and project activities with broader goals and support objectives of AIMS Services.</li> <li>● Provide management and oversight for the following work activities:                             <ul style="list-style-type: none"> <li>○ Information architecture</li> <li>○ Technical architecture</li> <li>○ Software Development Life Cycle (SDLC) management</li> <li>○ Software documentation management</li> <li>○ SSAE 18, SOC 1 – Type 2 and SOC 2 – Type 2 reports (if required)</li> <li>○ Systems testing/UAT</li> <li>○ Data Security</li> <li>○ System Security</li> </ul> </li> <li>● Conduct regular meetings to facilitate collaboration, exchange information vital to project success, and gather essential input. Such regular meetings might include:                             <ul style="list-style-type: none"> <li>○ Touchpoints – Strategic one-on-one meetings with AIMS and project management teams to identify needs and resolve concerns.</li> <li>○ Quarterly project update meetings – Periodic meetings to provide updates on proposed project planning, active project progress, and upcoming activities.</li> </ul> </li> </ul> |
| AIMS Program Areas           | <ul style="list-style-type: none"> <li>● Provide necessary input and documentation regarding functional requirements and functional specifications for the project and project activities.</li> <li>● Conduct regular meetings to facilitate collaboration, exchange information vital to project success, and gather essential input. Such regular meetings might include:                             <ul style="list-style-type: none"> <li>○ Touchpoints – Strategic one-on-one meetings with AIMS Business Lead and the Project Team to identify needs and resolve concerns.</li> <li>○ Quarterly project update meetings – Periodic meetings to provide updates on proposed project planning, active project progress, and upcoming activities.</li> </ul> </li> </ul>   |
| Information Technology Teams | <ul style="list-style-type: none"> <li>● Provide necessary input and documentation regarding technical specifications for the project and project activities.</li> <li>● Perform IT project tasks in accordance with the Project Management Plan and Project Schedules.</li> <li>● Maintaining RAID (Risk Management, Action Items, Issue Management, Decisions) logs the project and reporting problems to the Information Technology Lead; monitoring reported problems until resolved.</li> <li>● Conduct regular meetings to facilitate collaboration, exchange information vital to project success, and gather essential input. Such regular meetings might include:                             <ul style="list-style-type: none"> <li>○ Touchpoints – Strategic one-on-one meetings with Information</li> </ul> </li> </ul>  |

| Project Organization |  |
|----------------------|--|
| Roles                | Responsibilities   |
|                      | Technology Lead and Project Team to identify needs and resolve concerns. <ul style="list-style-type: none"> <li>○ Quarterly project update meetings – Periodic meetings to provide updates on proposed project planning, active project progress, and upcoming activities.</li> </ul>  |
| Users                | Through the AIMS Program Areas group or subgroups, planned and coordinated interaction with system end-users would include the following actions: <ul style="list-style-type: none"> <li>● Provide essential feedback and input regarding needs desired functionality of system users.</li> <li>● Conduct Customer Experience (CX)/User Experience (UX) qualitative research (e.g., focus groups or structured interviews) and quantitative research (e.g., survey tools) to gather essential design input.</li> <li>● To the extent feasible, conduct meetings and leverage digital platforms to facilitate collaboration, exchange information vital to project success, and gather essential user input.</li> <li>● Provide project updates at regular intervals leveraging digital platforms.</li> </ul> |
| Contracted Vendors   | Oversight and management of Contracted Vendors will be performed by the FDLE Project Manager. Responsibilities and functions might include the following activities: <ul style="list-style-type: none"> <li>● Contract management and monitoring of contract deliverables.</li> <li>● Project management and monitoring of project deliverables to be provided by Contracted Vendors.</li> <li>● Maintaining RAID logs for Contracted Vendor performance and reporting problems to the FDLE.</li> <li>● Monitoring reported problems until resolved.</li> </ul>  |

### 1. Scope Management

Scope management ensures that a project includes all work required, and only the work required, to complete a project successfully. This involves, but is not limited to, managing functional and non-functional requirements, monitoring contract deliverables and payments, and tracking the achievement of project objectives.

Only the FDLE Project Manager may submit requests to modify the scope of a project. Such a request will be documented in an FDLE-approved Project Change Request. The Project Change Request will be presented by the Project Manager to the Project Steering Committee.

If a proposed change alters requirements, deliverables, payment schedule, cost, or completion date of a major milestone, the Lead of the Project Steering Committee will consult with Executive Management. FDLE Executive Management will determine if the proposed change should be approved. See Procurement Management procedure for steps associated with approved change requests.

If the proposed change does not alter requirements, deliverables, payment schedule, cost, or completion date of a major milestone, the Project Steering Committee will determine if the proposed change should be approved.

Members of the Project Steering Committee will signify approval or disapproval of a proposed scope change by signing the Project Change Request form.

### 2. Schedule Management

The schedule included in this document is a preliminary schedule based on a number of assumptions. Through the procurement process associated with system implementation, more definitive schedules will be developed. After contracts for each system are established, the project schedule will be evaluated and refined. After contracts have been established, a baselined schedule will be set with agreement of all involved parties.



Once the baselined schedule is set, the Project Manager will be responsible for monitoring activities and ensuring that the schedule is updated. The project schedule will be updated bi-weekly based on reports from assigned staff. Progress is evaluated against the baselined schedule. The Project Manager will analyze the schedule and report to the Project Steering Committee. Key metrics from the updated schedule will be included in monthly and quarterly status reports.

As described in Scope Management, only the FDLE's Project Manager may submit requests to modify critical milestones, phase end dates, or completion dates associated with project. Such a request will be documented in an the FDLE-approved Project Change Request.

Schedule management consists of the following three areas: schedule development, schedule administration, and schedule change control. The actual project schedule will be highly dependent upon the business need priority, technical complexities, and solutions available. The development of the actual project schedule will be the responsibility of the FDLE Project Manager and implementation vendor(s).

#### ***a. Schedule Development***

Schedule development is the process of taking the work breakdown structure and breaking it down into activities and tasks that can be assigned and managed. Tasks that are dependent on others are linked. Work efforts and resources are assigned to each task. Once the draft is complete and correct, the schedule will be baselined so that any future changes can be tracked.

The project schedule is the definitive source of project activity, dates, and assignment information. A high-level schedule is provided above. Prior to project initiation, a resource-loaded Microsoft Project Schedule will be generated with milestones and task durations.

#### ***b. Schedule Administration***

The schedule will be kept up-to-date weekly. Task progress and percent completion will be input into the schedule. Variances between planned and actual progress will be managed with particular attention to the critical path. Each week, the Project Manager will evaluate the baselined schedule against current progress, identifying the following at a minimum:

- Overdue tasks and computation of the percentage of late tasks related to total tasks to date (number of overdue tasks divided by number of total tasks).
- Overall task completion trending towards an overall project variance equal to or greater than 10%.

The Project Manager will communicate the variance explanation to the project's key stakeholders. This information will be used as input into the weekly status reporting. Any variance where the critical path is significantly behind will automatically result in a red status on the weekly status report.

Corrective actions will be developed as needed to resolve schedule variances. Schedule management techniques of crashing, fast-tracking, and compression will be considered as will other solutions like resource shifting or work rescheduling. Schedule forecasting will be used to look beyond the current status so that, to every extent possible, corrective actions can be applied before there are schedule variances.

#### ***c. Schedule Changes***

Once the schedule has been developed, approved, and baselined, any significant changes will have to be approved through the change control process. All other schedule changes can be made at the discretion of project leadership and will be reported and discussed with the weekly status report.

### **3. Cost Management**

Cost management ensures that project costs are appropriately planned, estimated, budgeted, and controlled so that the project can be completed within the approved budget.

The cost estimates included in this document are budgetary estimates prepared for the purpose of submitting a budget request. Through the system procurement process associated with each project, definitive cost estimates will be developed. After contracts for each system are established, project budgets will be evaluated and refined. Similar to the practice in schedule management, the FDLE will establish baselined budgets for each project.

Once baselined project budgets are set, the Project Manager will be responsible for operating within those budgets. Each fiscal year, a spend plan will be prepared to capture planned versus actual costs. Spend plans will be updated monthly. Updated spend plans will be included in monthly and quarterly status reports.

As described in Scope and Schedule Management, the FDLE Project Manager may submit requests to modify costs associated with the project. Such a request will be documented in an FDLE-approved Project Change Request. The Project Change Request will be presented by the Project Manager to the Project Steering Committee for review.

#### 4. Change Management

Projects of this magnitude should expect change as the project progresses through the design, development, and implementation phases. All change requests will be formally documented and validated by the Project Team in accordance with a documented change management plan or documented change management procedures. Once validation has occurred, the appropriate stakeholders will assess the change and determine the associated time and cost implications.

Upon acceptance of the change request and its validation by the Project Team, the tasks to implement the change will be incorporated into the project plan and a project change request will be initiated. A priority will be assigned, and the request will be scheduled accordingly.

During the project lifecycle, changes are expected and may be identified or requested by individuals involved in the project. Requests for change will initiate the Project Change Request (PCR) process.

All change requests will be submitted to the Project Manager in writing. The Project Manager, with the appropriate Project Team members and/or other FDLE members, will assess the change request and analyze the potential impact on the approved schedule, budget, scope, and deliverables. Change Requests that the Project Manager believes are valid will be submitted to the Project Steering Committee for review.

The Project Manager is responsible for ensuring that Change Requests are recorded in a Change Management Log. Changes that require re-planning the Schedule and/or the Budget may also result in re-baselining those respective plans. Changes to the project and subsequent adjustments to the Schedule and Budget are all reported in the Monthly Status Report.

#### 5. Procurement Management

The IT Services Policy Development and Planning (PDP) Bureau located in the FDLE's Office of IT Services (ITS) is responsible for coordinating the procurement of products and services needed for the project. The Project Manager or their designee will submit requests to procure products and services to the ITS PDP Bureau. Requests must include an Information Resource Request form. The Information Resource Request form is then submitted to the FDLE's Chief Information Officer (CIO) for review and approval. After CIO approval, ITS PDP staff coordinates the acquisition of approved products and services following the FDLE Policy and State of Florida Contract and Procurement rules and laws.

All procurement artifacts (Information Resource Requests, quotes, copies of Purchase Orders, Contracts, deliverable acceptance documents, etc.) are maintained and stored with ITS PDP.

The Procurement Management Plan seeks to outline how the project will procure resources necessary to complete the project objectives. It defines the procurement methodology for this project, lays out the process for managing procurement throughout the life of the project, and will be updated if and when the project needs change. This plan identifies and defines the goods and services to be procured, the types of contracts to be used in support of this project, the contract approval process, and the decision criteria. The importance of coordinating the procurement activities, establishing firm contract deliverables, and metrics in measuring procurement activities is included in the following subsections.

The FDLE Purchasing Office will provide oversight and management for all procurement activities under this project. The Project Manager will work with the Project Team to identify the scope of services to be procured for the successful completion of the project. The FDLE Project Team will review and refine all procurement needs prior to approving the development of final documentation.

inclusion in **Error! Reference source not found.** below.

**6. Deliverable Management**

Table 22 below contains a preliminary list of project deliverables. The final deliverables list, which will include acceptance criteria, will be developed in conjunction with the selected implementation vendors and will be appropriate to the technology solutions chosen.

**Table 22: Project Deliverables**

| Project Deliverables                      |   |
|---|---|
| Name                                      | Deliverable Description   |
| Project Management Status Reports         | Weekly status reports to project management team.   |
| Risk and Issue Registers                  | Prioritized lists of risks and issues identified and reviewed during the course of the project.   |
| Meeting Summaries                         | Record of decisions, action items, issues, and risks identified during formal stakeholder meetings.   |
| Schedule IV-B Feasibility Study (Updates) | Incorporates information to be submitted with the FDLE's Legislative Budget Request for follow-on phases.   |
| Project Charter                           | Issued by the FDLE Executive Management and formally authorizes the existence of the project and provides the Project Manager with the authority to apply organizational resources to project activities.   |
| Project Management Plan                   | Includes the following documents as required by the FDLE Project Manager: <ul style="list-style-type: none"> <li>• Work Breakdown Structure</li> <li>• Resource Loaded Project Schedule</li> <li>• Change Management Plan</li> <li>• Communication Plan</li> <li>• Procurement Management Plan</li> <li>• Document Management Plan</li> <li>• Scope Management Plan</li> <li>• Quality Management Plan</li> <li>• Risk Management Plan</li> <li>• Issue Management Plan</li> <li>• Resource Management Plan</li> <li>• Conflict Resolution Plan</li> <li>• Baseline Project Budget</li> </ul> |
| As-Is Business Process Flows              | Represents, graphically, the current-state of business processes using standard business process notation. This document should include narrative descriptions of key activities, including owners, inputs, and outputs.  |
| To-Be Business Process Flows              | Represents the future-state of business processes, as reengineered by the vendor in conjunction with FDLE SMEs. The process flows are developed using standard business process notation. This document should include narrative descriptions of key activities, including owners, inputs, and outputs.   |

| Project Deliverables                            |  |
|---|--|
| Name  | Deliverable Description  |
| Technical Design Specification                  | Detailed technical design for data and information processing in the new business solution to include: <ul style="list-style-type: none"> <li>• Data Model/ Entity Relationship Diagram (ERD)</li> <li>• Data Dictionary</li> <li>• Technical Architecture (to include a hardware usage plan)</li> <li>• Capacity Plan</li> </ul>  |
| Design Demonstration                            | Review and acceptance of the system design required before proceeding to development. Key stakeholders will experience the prototype and then a go/no-go decision will be submitted to the Executive Management for action.  |
| Data Synchronization Plan                       | Describes the data clean-up, data conversion, data migration, and data interface efforts. This plan defines the approach for converting data from existing systems to meet the specifications of the new database design which includes detailed data conversion mapping. The plan also defines the approach for migrating data from existing systems to new databases (as required). This plan also defines the data interfaces that will need to be maintained between the new systems for the life of the solution. |
| Organizational Change Management Plan           | Describes the overall objectives and approach for managing organizational change during the project, including the methodologies and deliverables that will be used to implement Organizational Change Management for the project.   |
| Organizational Change Management Status Reports | Monthly status reports to project management team.   |
| Stakeholder Analysis                            | Identifies the groups impacted by the change, the type and degree of impact, group attitude toward the change and related change management needs.   |
| Training Plan                                   | Defines the objectives, scope, and approach for training all stakeholders who require education about the new organizational structures, processes, policies, and system functionality.  |
| Change Readiness Assessment                     | Surveys the readiness of the impacted stakeholders to “go live” with the project and identifies action plans to remedy any lack of readiness.  |
| IV&V Project Charter                            | A document issued by the Executive Management that formalizes the scope, objectives, and deliverables of the IV&V effort.  |
| IV&V Status Reports                             | Quarterly reports to the Executive Management Team.  |

| Project Deliverables                  |   |
|---------------------------------------|---|
| Name                                  | Deliverable Description   |
| IV&V Periodic Assessments             | Documents the results of IV&V activity to determine the status of project management processes and outcomes including but not limited to: <ul style="list-style-type: none"> <li>• Schedule Review Summary</li> <li>• Budget Review Summary</li> <li>• Business Alignment Summary</li> <li>• Risk Review Summary</li> <li>• Issue Review Summary</li> <li>• Organizational Readiness Summary</li> <li>• Recommended Next Steps/Actions for each of the above areas</li> <li>• Milestone and Deliverable reviews (to determine if the project is prepared to proceed to the next phase in the project work plan)</li> <li>• Current scorecard of the project management disciplines</li> <li>• Strengths and areas for improvement in the project management disciplines</li> <li>• IV&amp;V Next Steps/Actions</li> </ul> |
| IV&V Contract Compliance Checklist    | Documents that vendors involved with the project have met all contractual requirements.   |
| Test Plans                            | Detailed test plans for unit testing, system testing, load testing, and user acceptance testing.  |
| Test Cases                            | Documented set of actions to be performed within the system to determine whether all functional requirements have been met.   |
| Implementation Plan                   | Detailed process steps for implementing the new business solution statewide.  |
| Defect Management Plan                | Detailed plans to manage defect identification, reporting, prioritization, and resolution.  |
| Knowledge Transfer Plan               | Based on a gap analysis, this plan will detail the steps taken to transfer knowledge about the solution to the resources that ultimately will be responsible for implementation and post-implementation support.  |
| Functional Business System            | Final production version of the new business system.  |
| System Operation and Maintenance Plan | Detailed plan for how the finished system will be operated and maintained.  |

**a. Project Milestones**

It is anticipated the project will be managed according to Table 23 below. Go/no-go checkpoints may be added to the project schedule where appropriate based on the chosen solution. Checkpoints will require Executive Management sign-off prior to commencing the next activity.

Table 23: Project Milestones

| Project Milestones  |  |
|---|--|
| Milestone   | Deliverable(s) to Complete   |
| Legislative Approval  | Updated Schedule IV-B  |
| Funding Approval  | Advance Planning Document  |
| Project Kick-Off  | Project Charter  |
| Project Management Documents Completed                                    | Various (See deliverable list)   |
| Business Process Analysis Completed for Each Phase                        | <ul style="list-style-type: none"> <li>As-Is Business Process Flows</li> <li>To-Be Business Process Flows</li> </ul>   |
| Acceptance of Functional and Technical Requirements for Each Phase        | <ul style="list-style-type: none"> <li>System Requirements Document</li> <li>Validated Functional Requirements Document</li> <li>Requirements Traceability Matrix</li> </ul> |
| Acceptance of User Interface Configuration Mockups for Each Phase         | User Interface Configuration Mockups   |
| Acceptance of Each Phase's Functional and Technical Design Specifications | Functional and Technical Design Specification documents  |
| User Acceptance Testing for Each Phase Completed                          | User Acceptance Testing Scripts  |
| End User Training for Each Phase Completed                                | <ul style="list-style-type: none"> <li>On-site training sessions for internal users</li> <li>Training materials</li> </ul>   |
| System Deployment   | Functional system released into production   |
| Warranty Period   | Completion of punch list items   |
| Project Close-out   | <ul style="list-style-type: none"> <li>Lessons Learned</li> <li>Knowledge Transfer</li> <li>Contract Compliance Checklist</li> <li>Project Close-out Checklist</li> </ul>    |

**b. General Project Approach**

The following activities are required to finish the system replacement project:

1. Submit a Legislative Budget Request.
2. Execute procurement(s).
3. Execute contract(s).
4. Initiate and plan the project.
5. Execute the project.
6. Monitor and control the project.
7. Develop and test the proposed solution.
8. Implement the proposed solution.
9. Conduct Organizational Change Management and Communications activities.
10. Develop and Conduct Training.
11. Deploy the solution to trained users who are fully prepared to use the new solution and are supported by on-screen help.
12. Conduct knowledge transfer.
13. Continued operations, administration, and support of the solution through the warranty period.
14. Close Out the project.
15. Operate and enhance the solution throughout its service life.

## 7. Communication Management

The Project Manager is responsible for planning project-related communications to ensure that executive management, the Project Team, business stakeholders, and end users are kept informed of the project status and critical information on a timely basis. This communication plan should also promote the collection and use of feedback from the impacted stakeholder groups above. This plan serves as a guide for communications throughout the life of the project and will be updated as communication needs change. Topics addressed in the Communication Management Plan include:

- Target Audience
- Purpose
- Method of Delivery
- Schedule for Key Events
- Frequency
- Responsibility

The communications plan includes, but is not limited to, meetings and meeting summaries, project governance meetings, stakeholder communications, and project status reports. Stakeholder management will be incorporated into the communications plan.

### *a. Communication Plan*

The communication plan is designed to provide the right information, at the right level, to the right audience, at the right time. The plan addresses key audiences, messages, frequency, and methods of communication.

This plan, depicted in Table 24 below, describes the various forms of communication, appropriate channels of communication, and target audiences for this project. The communication matrix identifies the different tools that will be used to guide the planning for communication about the project to various audiences and purposes. It should be considered a general guide for the effective dissemination of information that is received, understood, and used by the target audiences for successful completion of the project. This communication matrix will be customized for each project to reflect the various communication forms, frequencies, and audiences that will be used during the project. This matrix will also ensure that communication channels are properly maintained throughout the project and updated if communication needs to change.

Table 24: Project Communication Matrix

| Project Communication Matrix |   |         |                      |               |                        |  |   |
|------------------------------|---|---------|----------------------|---------------|------------------------|--|---|
| Item                         | Purpose   | Format  | Frequency            | Type          | Initiator              | Recipient  | Feedback  |
| Status Reports               | Provide detailed information on the progress of the project against the plan      | Email   | Weekly               | Mandatory     | FDLE Project Manager   | Vendor Project Manager   | Verbal and follow-up email                                    |
| Status Meetings              | Review the status report, resolve issues, and make decisions                      | Meeting | Bi-Weekly            | Mandatory     | FDLE Project Manager   | Vendor Project Manager   | Verbal and follow-up email                                    |
| Sponsor Meetings             | Review project progress, resolve issues, and make decisions at an executive level | Meeting | Monthly              | Mandatory     | Vendor Project Manager | FDLE Executive Management  | Verbal and follow-up email                                    |
| Project Deliverables         | Provide deliverables to client for review   | Email   | Per project schedule | Mandatory     | FDLE Project Manager   | Vendor Project Manager for distribution  | Written vetted, consolidated, and actionable comments         |
| Deliverable Review Feedback  | Provide vetted, consolidated, and actionable written comments                     | Email   | Per project schedule | Mandatory     | Vendor Project Manager | FDLE Project Manager   | Written/email follow-up using Deliverable Review Comment Form |
| Deliverable Review Meetings  | Confirm mutual understanding of desired deliverable changes                       | Meeting | As needed            | Informational | FDLE Project Manager   | Vendor Project Manager   | Verbal or written   |
| Work Sessions                | Gather information from SMEs (current providers)                                  | Meeting | Per project schedule | Mandatory     | FDLE Project Manager   | Provide SMEs (only if the Vendor Project Manager has approved the communication) | Verbal and follow-up email                                    |



| Project Communication Matrix         |   |        |                      |               |                                |  |                           |
|--------------------------------------|---|--------|----------------------|---------------|--------------------------------|--|---------------------------|
| Item                                 | Purpose   | Format | Frequency            | Type          | Initiator                      | Recipient  | Feedback                  |
| Work Session Follow-Up               | To answer questions or clarify information gathered | Email  | As needed            | Informational | FDLE Project Manager           | Provider SMEs (only have Vendor Project Manager) has approved the communication) | Verbal or email follow-up |
| Online Survey                        | Gather information from SMEs (former providers)     | Email  | Per project schedule | Mandatory     | FDLE Project Manager           | Provider SMEs (only have Vendor Project Manager) has approved the communication) | Verbal or email follow-up |
| Project issues                       | Documentation of project issues                     | Email  | As needed            | Mandatory     | Any Stakeholder                | FDLE Project Manager   | Written/email follow-up   |
| Project issues escalation            | To resolve project issues                           | Email  | As needed            | Mandatory     | FDLE or Vendor Project Manager | FDLE or Vendor Project Sponsor   | Written/email follow-up   |
| Change requests                      | Document project changes to scope of work           | Email  | As needed            | Mandatory     | FDLE or Vendor Project Manager | FDLE or Vendor Project Sponsor   | Written/email follow-up   |
| Project closeout and lessons learned | Formal project closeout meeting                     | Email  | Per project schedule | Mandatory     | FDLE Project Manager           | Vendor Project Manager   | Written/email follow-up   |

### *b. Bi-weekly Status Reporting*

Vendors will be required to submit status reports throughout the project at several levels. The primary source of status information is the bi-weekly written status report, which will communicate at a minimum the following information:

- **Project Status:** This section depicts the project status at a summary level using a red/yellow/green method supported by two to three essential questions that are answered to determine summary status. The red/yellow/green method is not meant to be a grading system but instead a way to easily identify the areas of the project that need the most attention to make it successful.
- **Overview of Project Progress:** This section describes significant accomplishments achieved in the reporting period.
- **Project Milestones, Deliverables, and Latest Tasks:** This section contains the major deliverables of the project, the planned and actual completion dates, and the status.
- **Risks, Action Items, Issues, and Decisions:** This section will link to the project risk, action item, issue, and decision tracking tool. The project tracking tool contains all items tracked during the project.

## **E. Quality Assurance**

Quality represents how closely the implemented solution meets the requirements and expectations. Quality assurance focuses on preventative steps used to manage and deliver a solution and to identify and eliminate variances in deliverables from documented requirements and quality targets.

The Project Manager is responsible for developing and maintaining a Quality Plan. The Quality Plan will document major deliverables of the project, completeness and correctness criteria, quality control activities, and quality assurance activities. Topics addressed in the Quality Plan include:

- Quality Control activities associated with project deliverables:
  - Document Deliverables
  - Hardware and Software Deliverables
  - Service Deliverables
- Quality Assurance activities:
  - QA processes (Requirements Traceability, Testing, Data Migration, etc.)
  - Responsibility for QA processes
- Metrics:
  - User Satisfaction
  - IT Satisfaction
  - Vendor Satisfaction
  - Changes in Scope
  - Changes to Schedule
  - Changes in Cost
  - Number and Type of Issues
  - Number and Type of Defects
  - Preparedness of IFS to assume production responsibilities
  - Preparedness of IT to assume production responsibilities
  - Solution "Fitness for Use"

The Quality Plan is a subsidiary plan within the FDLE's Project Management Plan.

Whether the FDLE executes project tasks with internal resources, or oversees deliverables provided by contracted providers, quality management will be a key factor for project success. Quality Management details the processes to ensure quality services and deliverables. The FDLE will use disciplined processes and inspections to confirm quality throughout the life of the project. These inspections are performed at key points in the creation and review of documents and confirmation of the value of services the PMO Team provides. Quality Management includes two components: Deliverable Quality Control and Services Quality. The FDLE commits to the highest quality in project execution and PMO Team members' performance. To achieve a positive outcome, these processes will be carried out so expectations are understood, aligned, and met.

The FDLE will follow a rigid quality assurance process. The project will follow these processes and procedures to ensure the highest level of execution.

**Quality Management:** The primary responsibility of the Project Team is to provide oversight and ensure the FDLE objectives are met by meeting regularly with the Project Manager and the FDLE leadership.

The Project Manager is responsible for understanding project requirements and the FDLE expectations. A preliminary internal project meeting is held near the start of each project with all stakeholders. This meeting will include a discussion of task assignments to clarify the scope of work and how it will be accomplished.

The following quality management activities will be completed for each project:

- **Internal Kickoff Meeting:** Prior to project commencement, the Project Manager will ensure all team members understand the project's requirements, scope, and quality control processes. This meeting includes a discussion of task assignments to clarify the scope of work and how it will be accomplished. This awareness is maintained throughout the duration of the project through ongoing and as necessary PMO Team meetings.
- **Executive Checkpoints:** Each Project Manager will schedule regular contact with the Executive Management. This allows the Project Manager to voice their perspective on assignment progress and communicate any relevant risks, action items, issues, or decisions made or encountered during the project.
- **Deliverable Reviews:** Prior to submission to the FDLE, all vendors' deliverables are required to first undergo a thorough review. This review includes technical editing, validation, clarity, and ensuring conformance to the FDLE standards and expectations.

## F. Risk Management

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

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

Risks are evaluated for Probability and Impact and are prioritized based on the resulting score. High priority risks are monitored and managed with a high degree of attention. Mitigation plans are determined and documented in the Risk Register. When a risk is added to the Risk Register and on a periodic basis throughout the project, the Project Manager and Project Team will conduct a review of risks. This review will confirm the description of the risk, the owner, a mitigation strategy, the probability, impact, and criticality of the risk.

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

The subsections below describe the "RAID" methodology for tracking risks, action items, issues, and decisions. The FDLE will follow a centralized approach that minimizes miscommunication or misinformation among project stakeholders. The FDLE will diligently maintain a "master" project tracking log for each project, a master log for the system replacement project overall, and a Microsoft Excel workbook with multiple tabs intended to capture the details and the latest attributes of items tracked by the Project Manager.

### 1. Risks

Risks are characteristics, circumstances, or features of the environment that may have an adverse effect on the project or the quality of the work products. The risk management plan outlines the process to identify and analyze the effects of uncertainties on the project. This plan establishes a framework of working practices, which enables PMO Team members to identify, analyze, respond to, monitor, and communicate risks before they become issues and jeopardize the success of the project. If a risk becomes an issue, the FDLE will work with the involved stakeholders to assess its impact on the project and assign responsibility for issue resolution, including a target date for closure. Risks will be managed in the following manner:

- During status meetings, any stakeholder can raise a risk for discussion.
- The Project Team will discuss the risk and determine if it warrants being monitored in the risk log.
- The Project Manager will enter the item in the risk log.
- The team will discuss mitigation strategies and assign who will own the risk item.
- At each subsequent status meeting, the risk(s) will be reviewed until the risk(s) can be closed.

## 2. Action Items

Action items are unplanned tasks that occur during a project that are too small to be added to the schedule. These items must be within the scope of the project and are often tasks that support scheduled tasks, issue resolution, risk management, or some other aspect of the project. The action item log is created and maintained as part of the project tracking log. Action items will be managed in the following manner:

- During status meetings, any stakeholder can raise an action item for discussion.
- The Project Team will discuss the action item and determine if it warrants being monitored in the action item log.
- The Project Manager will enter the item in the log.
- The team will set the priority for the action item (high/medium/low), assign an action item owner, and set a planned completion date.
- At each subsequent status meeting, the action item(s) will be reviewed until they can be closed.

## 3. Issues

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

An issue is defined as a current situation or event that must be resolved to avoid adverse impact to the project. Issues can originate from a risk that has materialized. The Project Manager will document all issues that are brought up in meetings. When issues arise, they need to be resolved in a disciplined manner to maintain the quality of the work products and control the schedule and costs. The issue resolution process verifies differences and questions. Any unplanned requests are defined properly, escalated for management attention, and resolved quickly and efficiently.

The issue resolution process is intended to handle technical issues, requirements, or conflicts, as well as to address process, organizational, and operational issues of the engagement. Issues will be managed in the following manner:

- During status meetings, any stakeholder can raise a potential issue for discussion.
- The Project Team will discuss the potential issue and determine if the item is indeed an issue.
- If the team determines the item is an issue, the Project Manager will enter it in the issue log.
- The team will discuss resolution steps, assign an issue owner, and set a target date for resolution.
- At each subsequent status meeting, the issue(s) will be reviewed until they can be closed.

## 4. Decisions

Decisions are leadership answers to questions that arise during the project. The Decision Log is created and maintained as part of the project tracking log. Decisions will be managed in the following manner:

- During status meetings, any stakeholder can raise a question that requires a decision.
- If the team determines a decision needs to be made, the Project Manager will enter it in the decision log.
- The team will discuss the impact to the project, assign a decision maker, and set a date for when the decision is needed.
- At each subsequent status meeting, the decision item(s) will be reviewed until they can be closed.

## G. Implementation Plans

### 1. Organizational Change Management

The FDLE will form a steering committee under the leadership of an FDLE manager to be appointed by the FDLE Executive Management. The steering committee manager will work with the Project Manager who is responsible for the new RMS. The team will prepare an Organizational Change Management Plan that will be used to guide how the FDLE members learn new behaviors and skills due to the introduction of new tools and business processes. This is a process that starts at the beginning of the first project, operates continuously throughout project execution, and continues after the project is completed.

### 2. System Implementation Plans

System implementation plans will be prepared for each system. These plans will include information required to move systems into development and testing to full production. Plans will include operational readiness assessments, types (subject, format, content) of communications required during the implementation process, staffing requirements, step-by-step instructions for IT staff, implementation schedules, roll-back procedures, and post-implementation tasks.

### 3. Operations & Maintenance Plans

Operations and maintenance plans will be prepared for each system. These plans will include information required to maintain the systems in good working order. Plans will include a system overview, system design components, operating instructions, maintenance procedures, disaster recovery capabilities, capacity plans, and supporting documents.

## VIII. Appendix

- A. CBA Workbook
- B. Risk Assessment Tool
- C. Estimated Schedule

CBAForm 1 - Net Tangible Benefits

|               |  |                |  |
|---------------|--|----------------|--|
| <b>Agency</b> | <u>Florida Department of Law Enforcement</u> | <b>Project</b> | <u>Records Management System Modernization</u> |
|---------------|--|----------------|--|

| Net Tangible Benefits - Operational Cost Changes (Costs of Current Operations versus Proposed Operations as a Result of the Project) and Additional Tangible Benefits -- CBAForm 1A |                               |                                |  |                               |                                |  |                               |                                |  |                               |  |  |                               |                                |  |
|---|-------------------------------|--------------------------------|--|-------------------------------|--------------------------------|--|-------------------------------|--------------------------------|--|-------------------------------|--|--|-------------------------------|--------------------------------|--|
| Agency<br><i>(Recurring Costs Only -- No Project Costs)</i>   | FY 2024-25                    |                                |  | FY 2025-26                    |                                |  | FY 2026-27                    |                                |  | FY 2027-28                    |  |  | FY 2028-29                    |                                |  |
|   | (a)<br>Existing Program Costs | (b)<br>Operational Cost Change | (c) = (a)+(b)<br>New Program Costs resulting from Proposed Project | (a)<br>Existing Program Costs | (b)<br>Operational Cost Change | (c) = (a) + (b)<br>New Program Costs resulting from Proposed Project | (a)<br>Existing Program Costs | (b)<br>Operational Cost Change | (c) = (a) + (b)<br>New Program Costs resulting from Proposed Project | (a)<br>Existing Program Costs | (b)<br>Cost Change Operational Cost Change | (c) = (a) + (b)<br>New Program Costs resulting from Proposed Project | (a)<br>Existing Program Costs | (b)<br>Operational Cost Change | (c) = (a) + (b)<br>New Program Costs resulting from Proposed Project |
| <b>A. Personnel Costs -- Agency-Managed Staff</b>   | \$111,250                     | \$0                            | \$111,250  | \$111,250                     | \$0                            | \$111,250  | \$111,250                     | \$0                            | \$111,250  | \$0                           | \$0  | \$0  | \$0                           | \$0                            | \$0  |
| <b>A.b Total Staff</b>  | 2.00                          | 0.00                           | 2.00   | 2.00                          | 0.00                           | 2.00   | 2.00                          | 0.00                           | 2.00   | 0.00                          | 0.00                                       | 0.00   | 0.00                          | 0.00                           | 0.00   |
| A-1.a. State FTEs (Salaries & Benefits)   | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0  | \$0  | \$0                           | \$0                            | \$0  |
| A-1.b. State FTEs (#)   | 0.00                          | 0.00                           | 0.00   | 0.00                          | 0.00                           | 0.00   | 0.00                          | 0.00                           | 0.00   | 0.00                          | 0.00                                       | 0.00   | 0.00                          | 0.00                           | 0.00   |
| A-2.a. OPS Staff (Salaries)   | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0  | \$0  | \$0                           | \$0                            | \$0  |
| A-2.b. OPS (#)  | 0.00                          | 0.00                           | 0.00   | 0.00                          | 0.00                           | 0.00   | 0.00                          | 0.00                           | 0.00   | 0.00                          | 0.00                                       | 0.00   | 0.00                          | 0.00                           | 0.00   |
| A-3.a. Staff Augmentation (Contract Cost)   | \$111,250                     | \$0                            | \$111,250  | \$111,250                     | \$0                            | \$111,250  | \$111,250                     | \$0                            | \$111,250  | \$0                           | \$0  | \$0  | \$0                           | \$0                            | \$0  |
| A-3.b. Staff Augmentation (# of Contractors)  | 2.00                          | 0.00                           | 2.00   | 2.00                          | 0.00                           | 2.00   | 2.00                          | 0.00                           | 2.00   | 0.00                          | 0.00                                       | 0.00   | 0.00                          | 0.00                           | 0.00   |
| <b>B. Application Maintenance Costs</b>   | \$13,374                      | \$0                            | \$13,374   | \$13,374                      | \$0                            | \$13,374   | \$13,374                      | \$3,000,000                    | \$3,013,374  | \$0                           | \$0  | \$0  | \$0                           | \$0                            | \$0  |
| B-1. Managed Services (Staffing)  | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0  | \$0  | \$0                           | \$0                            | \$0  |
| B-2. Hardware   | \$13,374                      | \$0                            | \$13,374   | \$13,374                      | \$0                            | \$13,374   | \$13,374                      | \$0                            | \$13,374   | \$0                           | \$0  | \$0  | \$0                           | \$0                            | \$0  |
| B-3. Software   | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$3,000,000                    | \$3,000,000  | \$0                           | \$0  | \$0  | \$0                           | \$0                            | \$0  |
| B-4. Other <i>Specify</i>   | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0  | \$0  | \$0                           | \$0                            | \$0  |
| <b>C. Data Center Provider Costs</b>  | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0  | \$0  | \$0                           | \$0                            | \$0  |
| C-1. Managed Services (Staffing)  | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0  | \$0  | \$0                           | \$0                            | \$0  |
| C-2. Infrastructure   | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0  | \$0  | \$0                           | \$0                            | \$0  |
| C-3. Network / Hosting Services   | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0  | \$0  | \$0                           | \$0                            | \$0  |
| C-4. Disaster Recovery  | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0  | \$0  | \$0                           | \$0                            | \$0  |
| C-5. Other <i>Specify</i>   | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0  | \$0  | \$0                           | \$0                            | \$0  |
| <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>   | \$124,624                     | \$0                            | \$124,624  | \$124,624                     | \$0                            | \$124,624  | \$124,624                     | \$3,000,000                    | \$3,124,624  | \$0                           | \$0  | \$0  | \$0                           | \$0                            | \$0  |
| <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>   |                               | \$0                            |  |                               | \$0                            |  |                               | (\$3,000,000)                  |  |                               | \$0  |  |                               | \$0                            |  |

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

| A  | B  |   | C                                   | D   | E            | F            | G                | H            | I            | J                | K            | L            | M                | N         | O        | P                | Q         | R        | S                | T             |               |
|----|--|---|-------------------------------------|---|--------------|--------------|------------------|--------------|--------------|------------------|--------------|--------------|------------------|-----------|----------|------------------|-----------|----------|------------------|---------------|---------------|
| 1  | Florida Department of Law Enforcement  | Records Management System Modernization | CBA Form 2A Baseline Project Budget |   |              |              |                  |              |              |                  |              |              |                  |           |          |                  |           |          |                  |               |               |
| 2  | Costs entered into each row are mutually exclusive. Insert rows for detail and modify appropriation categories as necessary, but do not remove any of the provided project cost elements. Reference vendor quotes in the Item Description where applicable. Include only one-time project costs in this table. Include any recurring costs in CBA Form 1A. |   |                                     |   | FY2024-25    |              |                  | FY2025-26    |              |                  | FY2026-27    |              |                  | FY2027-28 |          |                  | FY2028-29 |          |                  | TOTAL         |               |
| 3  |  |   | \$ -                                |   | \$ 3,085,000 |              |                  | \$ 4,070,000 |              |                  | \$ 4,070,000 |              |                  | \$ -      |          |                  | \$ -      |          |                  | \$ 11,225,000 |               |
| 4  | Item Description<br>(remove guidelines and annotate entries here)  | Project Cost Element                    | Appropriation Category              | Current & Previous Years Project-Related Cost | YR 1 #       | YR 1 LBR     | YR 1 Base Budget | YR 2 #       | YR 2 LBR     | YR 2 Base Budget | YR 3 #       | YR 3 LBR     | YR 3 Base Budget | YR 4 #    | YR 4 LBR | YR 4 Base Budget | YR 5 #    | YR 5 LBR | YR 5 Base Budget | TOTAL         |               |
| 5  | Costs for all state employees working on the project.  | FTE                                     | S&B                                 | \$ -  | 0.00         | \$ -         | \$ -             | 0.00         | \$ -         | \$ -             | 0.00         | \$ -         | \$ -             | 0.00      | \$ -     | \$ -             | 0.00      | \$ -     | \$ -             | \$ -          | \$ -          |
| 6  | Costs for all OPS employees working on the project.  | OPS                                     | OPS                                 | \$ -  | 0.00         | \$ -         | \$ -             | 0.00         | \$ -         | \$ -             | 0.00         | \$ -         | \$ -             | 0.00      | \$ -     | \$ -             | 0.00      | \$ -     | \$ -             | \$ -          | \$ -          |
| 7  | Staffing costs for personnel using Time & Expense.   | Staff Augmentation                      | Contracted Services                 | \$ -  | 5.00         | \$ 900,000   | \$ -             | 5.00         | \$ 900,000   | \$ -             | 5.00         | \$ 900,000   | \$ -             | 0.00      | \$ -     | \$ -             | 0.00      | \$ -     | \$ -             | \$ -          | \$ 2,700,000  |
| 8  | Project management personnel and related deliverables.   | Project Management                      | Contracted Services                 | \$ -  | 1.00         | \$ 240,000   | \$ -             | 1.00         | \$ 240,000   | \$ -             | 1.00         | \$ 240,000   | \$ -             | 0.00      | \$ -     | \$ -             | 0.00      | \$ -     | \$ -             | \$ -          | \$ 720,000    |
| 9  | Project oversight to include Independent Verification & Validation (IV&V) personnel and related deliverables.  | Project Oversight                       | Contracted Services                 | \$ -  | 0.00         | \$ 500,000   | \$ -             | 0.00         | \$ 500,000   | \$ -             | 0.00         | \$ 500,000   | \$ -             | 0.00      | \$ -     | \$ -             | 0.00      | \$ -     | \$ -             | \$ -          | \$ 1,500,000  |
| 10 | Staffing costs for all professional services not included in other categories.   | Consultants/Contractors                 | Contracted Services                 | \$ -  | 0.00         | \$ -         | \$ -             | 0.00         | \$ -         | \$ -             | 0.00         | \$ -         | \$ -             | 0.00      | \$ -     | \$ -             | 0.00      | \$ -     | \$ -             | \$ -          | \$ -          |
| 11 | Separate requirements analysis and feasibility study procurements.   | Project Planning/Analysis               | Contracted Services                 | \$ -  |              | \$ -         | \$ -             |              | \$ -         | \$ -             |              | \$ -         | \$ -             |           | \$ -     | \$ -             |           | \$ -     | \$ -             | \$ -          | \$ -          |
| 12 | Hardware purchases not included in data center services.   | Hardware                                | OCO                                 | \$ -  |              | \$ -         | \$ -             |              | \$ -         | \$ -             |              | \$ -         | \$ -             |           | \$ -     | \$ -             |           | \$ -     | \$ -             | \$ -          | \$ -          |
| 13 | Commercial software purchases and licensing costs.   | Commercial Software                     | Contracted Services                 | \$ -  |              | \$ -         | \$ -             |              | \$ -         | \$ -             |              | \$ -         | \$ -             |           | \$ -     | \$ -             |           | \$ -     | \$ -             | \$ -          | \$ -          |
| 14 | Professional services with fixed-price costs (i.e. software development, installation, project documentation)  | Project Deliverables                    | Contracted Services                 | \$ -  |              | \$ 1,300,000 | \$ -             |              | \$ 2,300,000 | \$ -             |              | \$ 2,300,000 | \$ -             |           | \$ -     | \$ -             |           | \$ -     | \$ -             | \$ -          | \$ 5,900,000  |
| 15 | All first-time training costs associated with the project. 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.   | Training                                | Contracted Services                 | \$ -  |              | \$ -         | \$ -             |              | \$ -         | \$ -             |              | \$ -         | \$ -             |           | \$ -     | \$ -             |           | \$ -     | \$ -             | \$ -          | \$ -          |
| 16 | Other contracted services not included in other categories.  | Data Center Services - One Time Costs   | Data Center Category                | \$ -  |              | \$ -         | \$ -             |              | \$ -         | \$ -             |              | \$ -         | \$ -             |           | \$ -     | \$ -             |           | \$ -     | \$ -             | \$ -          | \$ -          |
| 17 | Other contracted services not included in other categories.  | Other Services                          | Contracted Services                 | \$ -  |              | \$ 100,000   | \$ -             |              | \$ 100,000   | \$ -             |              | \$ 100,000   | \$ -             |           | \$ -     | \$ -             |           | \$ -     | \$ -             | \$ -          | \$ 300,000    |
| 18 | Include costs for non-state data center equipment required by the project and the proposed solution (insert additional rows as needed for detail)  | Equipment                               | Expense                             | \$ -  |              | \$ 15,000    | \$ -             |              | \$ -         | \$ -             |              | \$ -         | \$ -             |           | \$ -     | \$ -             |           | \$ -     | \$ -             | \$ -          | \$ 15,000     |
| 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                             | \$ -  |              | \$ 30,000    | \$ -             |              | \$ 30,000    | \$ -             |              | \$ 30,000    | \$ -             |           | \$ -     | \$ -             |           | \$ -     | \$ -             | \$ -          | \$ 90,000     |
| 21 | Total  |   |                                     | \$ -  | 6.00         | \$ 3,085,000 | \$ -             | 6.00         | \$ 4,070,000 | \$ -             | 6.00         | \$ 4,070,000 | \$ -             | 0.00      | \$ -     | \$ -             | 0.00      | \$ -     | \$ -             | \$ -          | \$ 11,225,000 |



CBAForm 2 - Project Cost Analysis

|               |  |                |  |
|---------------|--|----------------|--|
| <b>Agency</b> | Florida Department of Law<br>Enforcement | <b>Project</b> | Records Management System<br>Modernization |
|---------------|--|----------------|--|

| PROJECT COST SUMMARY   | PROJECT COST SUMMARY (from CBAForm 2A) |             |              |              |              | TOTAL        |
|--|--|-------------|--------------|--------------|--------------|--------------|
|  | FY 2024-25                             | FY 2025-26  | FY 2026-27   | FY 2027-28   | FY 2028-29   |              |
| <b>TOTAL PROJECT COSTS (*)</b>   | \$3,085,000                            | \$4,070,000 | \$4,070,000  | \$0          | \$0          | \$11,225,000 |
| <b>CUMULATIVE PROJECT COSTS</b><br><i>(includes Current &amp; Previous Years' Project-Related Costs)</i> | \$3,085,000                            | \$7,155,000 | \$11,225,000 | \$11,225,000 | \$11,225,000 |              |
| Total Costs are carried forward to CBAForm3 Project Investment Summary worksheet.                        |  |             |              |              |              |              |

| PROJECT FUNDING SOURCES                | PROJECT FUNDING SOURCES - CBAForm 2B |             |              |              |              | TOTAL        |
|--|--------------------------------------|-------------|--------------|--------------|--------------|--------------|
|  | FY 2024-25                           | FY 2025-26  | FY 2026-27   | FY 2027-28   | FY 2028-29   |              |
| General Revenue                        | \$1,785,000                          | \$4,070,000 | \$6,350,000  | \$0          | \$0          | \$12,205,000 |
| 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          |
| <b>TOTAL INVESTMENT</b>                | \$1,785,000                          | \$4,070,000 | \$6,350,000  | \$0          | \$0          | \$12,205,000 |
| <b>CUMULATIVE INVESTMENT</b>           | \$1,785,000                          | \$5,855,000 | \$12,205,000 | \$12,205,000 | \$12,205,000 |              |

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

CBAForm 3 - Project Investment Summary

|        |  |         |  |
|--------|--|---------|--|
| Agency | Florida Department of Law<br>Enforcement | Project | Records Management<br>System Modernization |
|--------|--|---------|--|

| COST BENEFIT ANALYSIS -- CBAForm 3A        |               |               |               |               |               |                        |
|--|---------------|---------------|---------------|---------------|---------------|------------------------|
|  | FY<br>2024-25 | FY<br>2025-26 | FY<br>2026-27 | FY<br>2027-28 | FY<br>2028-29 | TOTAL FOR ALL<br>YEARS |
| Project Cost                               | \$3,085,000   | \$4,070,000   | \$4,070,000   | \$0           | \$0           | \$11,225,000           |
| Net Tangible Benefits                      | \$0           | \$0           | (\$3,000,000) | \$0           | \$0           | (\$3,000,000)          |
| Return on Investment                       | (\$3,085,000) | (\$4,070,000) | (\$7,070,000) | \$0           | \$0           | (\$14,225,000)         |
| Year to Year Change in Program<br>Staffing | 0             | 0             | 0             | 0             | 0             |                        |

| RETURN ON INVESTMENT ANALYSIS -- CBAForm 3B |                |   |
|---|----------------|---|
| Payback Period (years)                      | NO PAYBACK     | Payback Period is the time required to recover the investment costs of the project.             |
| Breakeven Fiscal Year                       | NO PAYBACK     | Fiscal Year during which the project's investment costs are recovered.                          |
| Net Present Value (NPV)                     | (\$13,240,828) | 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<br>Year                                  | FY<br>2024-25 | FY<br>2025-26 | FY<br>2026-27 | FY<br>2027-28 | FY<br>2028-29 |
| Cost of Capital                                 | 2.90%         | 3.10%         | 3.30%         | 3.40%         | 3.50%         |

|    | B  | C | D  | E                                  | F | G                | H                    |                              |
|----|--|---|--|------------------------------------|---|------------------|----------------------|------------------------------|
| 3  | <b>Project</b>   |   | <i>Records Management System Modernization</i> |                                    |   |                  |                      |                              |
| 4  |  |   |  |                                    |   |                  |                      |                              |
| 5  | <b>Agency</b>  |   | <i>Florida Department of Law Enforcement</i>   |                                    |   |                  |                      |                              |
| 6  | <b>FY 2022-23 LBR Issue Code:</b>  |   |  | <b>FY 2022-23 LBR Issue Title:</b> |   |                  |                      |                              |
| 7  | <i>Issue Code</i>  |   |  | <i>Records Management System</i>   |   |                  |                      |                              |
| 8  | <b>Risk Assessment Contact Info (Name, Phone #, and E-mail Address):</b> |   |  |                                    |   |                  |                      |                              |
| 9  | <i>Becky Bezemek, 850-410-8459, beckybezemek@fdle.state.fl.us</i>        |   |  |                                    |   |                  |                      |                              |
| 10 | <b>Executive Sponsor</b>   |   | <i>Eli Lawson</i>                              |                                    |   |                  |                      |                              |
| 11 | <b>Project Manager</b>   |   | <i>Kurt Posey</i>                              |                                    |   |                  |                      |                              |
| 12 | <b>Prepared By</b>   |   | <i>Kurt Posey</i>                              |                                    |   | <i>7/19/2023</i> |                      |                              |
| 14 | <b>Risk Assessment Summary</b>   |   |  |                                    |   |                  |                      |                              |
| 15 |  |   |  |                                    |   |                  |                      |                              |
| 16 | <b>Business Strategy</b>   |   |  |                                    |   |                  |                      |                              |
| 17 |  |   |  |                                    |   |                  |                      | <b>Level of Project Risk</b> |
| 18 |  |   |  |                                    |   |                  |                      |                              |
| 19 |  |   |  |                                    |   |                  |                      |                              |
| 20 |  |   |  |                                    |   |                  |                      |                              |
| 21 |  |   |  |                                    |   |                  |                      |                              |
| 22 |  |   |  |                                    |   |                  |                      |                              |
| 23 |  |   |  |                                    |   |                  |                      |                              |
| 24 |  |   |  |                                    |   |                  |                      |                              |
| 25 |  |   |  |                                    |   |                  |                      |                              |
| 26 |  |   |  |                                    |   |                  |                      |                              |
| 27 |  |   |  |                                    |   |                  |                      |                              |
| 28 |  |   |  |                                    |   |                  |                      |                              |
| 29 | <b>Level of Project Risk</b>   |   |  |                                    |   |                  |                      |                              |
| 30 | <b>Least Risk</b>  |   |  |                                    |   | <b>Most Risk</b> |                      |                              |
| 31 | <b>Least Risk</b>  |   |  |                                    |   | <b>Most Risk</b> |                      |                              |
| 32 | <b>Least Risk</b>  |   |  |                                    |   | <b>Most Risk</b> |                      |                              |
| 34 | <b>Project Risk Area Breakdown</b>                                       |   |  |                                    |   |                  |                      |                              |
| 35 | <b>Risk Assessment Areas</b>   |   |  |                                    |   |                  | <b>Risk Exposure</b> |                              |
| 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>HIGH</b>          |                              |
| 41 |  |   |  |                                    |   |                  |                      |                              |
| 42 | <b>Communication Assessment</b>  |   |  |                                    |   |                  | <b>HIGH</b>          |                              |
| 43 |  |   |  |                                    |   |                  |                      |                              |
| 44 | <b>Fiscal Assessment</b>   |   |  |                                    |   |                  | <b>HIGH</b>          |                              |
| 45 |  |   |  |                                    |   |                  |                      |                              |
| 46 | <b>Project Organization Assessment</b>                                   |   |  |                                    |   |                  | <b>HIGH</b>          |                              |
| 47 |  |   |  |                                    |   |                  |                      |                              |
| 48 | <b>Project Management Assessment</b>                                     |   |  |                                    |   |                  | <b>MEDIUM</b>        |                              |
| 49 |  |   |  |                                    |   |                  |                      |                              |
| 50 | <b>Project Complexity Assessment</b>                                     |   |  |                                    |   |                  | <b>HIGH</b>          |                              |
| 51 |  |   |  |                                    |   |                  |                      |                              |
| 52 |  |   |  |                                    |   |                  |                      |                              |
| 53 | <b>Overall Project Risk</b>  |   |  |                                    |   |                  | <b>HIGH</b>          |                              |

|    | B   | C   | D  | E  |
|----|---|---|--|--|
| 1  | Agency: Florida Department of Law Enforcement |   | Project: Records Management System Modernization   |  |
| 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   | Project charter signed by executive sponsor and executive team actively engaged in steering committee meetings |
| 12 |   |   | Most regularly attend executive steering committee meetings  |  |
| 13 |   |   | Project charter signed by executive sponsor and executive team actively engaged in steering committee meetings |  |
| 14 | 1.04  | Has the agency documented its vision for how changes to the proposed technology will improve its business processes?                                  | Vision is not documented   | Vision is partially documented   |
| 15 |   |   | Vision is partially documented   |  |
| 16 |   |   | Vision is completely documented  |  |
| 17 | 1.05  | Have all project business/program area requirements, assumptions, constraints, and priorities been defined and documented?                            | 0% to 40% -- Few or none defined and documented  | 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  | Changes unknown  |
| 21 |   |   | Changes unknown  |  |
| 22 |   |   | Changes are identified in concept only   |  |
| 23 |   |   | Changes are identified and documented  |  |
| 24 |   |   | Legislation or proposed rule change is drafted   |  |
| 25 | 1.07  | Are any project phase or milestone completion dates fixed by outside factors, e.g., state or federal law or funding restrictions?                     | Few or none  | Few or none  |
| 26 |   |   | Some   |  |
| 27 |   |   | All or nearly all  |  |
| 28 | 1.08  | What is the external (e.g. public) visibility of the proposed system or project?  | Minimal or no external use or visibility   | Minimal or no external use or visibility   |
| 29 |   |   | Moderate external use or visibility  |  |
| 30 |   |   | Extensive external use or visibility   |  |
| 31 | 1.09  | What is the internal (e.g. state agency) visibility of the proposed system or project?  | Multiple agency or state enterprise visibility   | Single agency-wide use or visibility   |
| 32 |   |   | Single agency-wide use or visibility   |  |
| 33 |   |   | Use or visibility at division and/or bureau level only   |  |
| 34 | 1.10  | Is this a multi-year project?   | Greater than 5 years   | Between 3 and 5 years  |
| 35 |   |   | Between 3 and 5 years  |  |
| 36 |   |   | Between 1 and 3 years  |  |
| 37 |   |   | 1 year or less   |  |

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

|    | B  | C  | D  | E  |
|----|--|--|--|--|
| 1  | Agency: Florida Department of Law Enforcement      |  | Project: Records Management System Modernization                                 |  |
| 3  | Section 3 -- Organizational Change Management Area |  |  |  |
| 4  | #  | Criteria   | Values   | Answer   |
| 5  | 3.01   | What is the expected level of organizational change that will be imposed within the agency if the project is successfully implemented? | Extensive changes to organization structure, staff or business processes         | Moderate changes to organization structure, staff or business processes    |
| 6  |  |  | Moderate changes to organization structure, staff or business processes          |  |
| 7  |  |  | Minimal changes to organization structure, staff or business processes structure |  |
| 8  | 3.02   | Will this project impact essential business processes?   | Yes  | Yes  |
| 9  |  |  | No   |  |
| 10 | 3.03   | Have all business process changes and process interactions been defined and documented?  | 0% to 40% -- Few or no process changes defined and documented                    | 0% to 40% -- Few or no process changes defined and documented              |
| 11 |  |  | 41% to 80% -- Some process changes defined and documented                        |  |
| 12 |  |  | 81% to 100% -- All or nearly all processes 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       | Extensive change or new way of providing/receiving services or information |
| 25 |  |  | Moderate changes   |  |
| 26 |  |  | Minor or no changes  |  |
| 27 | 3.09   | Has the agency successfully completed a project with similar organizational change requirements?                                       | No experience/Not recently (>5 Years)  | Recently completed project with similar change requirements                |
| 28 |  |  | Recently completed project with fewer change requirements                        |  |
| 29 |  |  | Recently completed project with similar change requirements                      |  |
| 30 |  |  | Recently completed project with greater change requirements                      |  |

|    | B                                      | C  | D  | E  |
|----|--|--|--|--|
| 1  | Agency: Agency Name                    |  | Project: Project Name  |  |
| 3  | <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                                    | Routine feedback in Plan   |
| 8  |  |  | Routine feedback in Plan   |  |
| 9  |  |  | Proactive use of feedback in Plan                                    |  |
| 10 | 4.03                                   | Have all required communication channels been identified and documented in the Communication Plan?   | Yes  | No   |
| 11 |  |  | No   |  |
| 12 | 4.04                                   | Are all affected stakeholders included in the Communication Plan?  | Yes  | No   |
| 13 |  |  | No   |  |
| 14 | 4.05                                   | Have all key messages been developed and documented in the Communication Plan?   | Plan does not include key messages                                   | Plan does not include key messages                                   |
| 15 |  |  | Some key messages have been developed                                |  |
| 16 |  |  | All or nearly all messages are documented                            |  |
| 17 | 4.06                                   | Have desired message outcomes and success measures been identified in the Communication Plan?  | Plan does not include desired messages outcomes and success measures | Plan does not include desired messages outcomes and success measures |
| 18 |  |  | Success measures have been developed for some messages               |  |
| 19 |  |  | All or nearly all messages have success measures                     |  |
| 20 | 4.07                                   | Does the project Communication Plan identify and assign needed staff and resources?  | Yes  | No   |
| 21 |  |  | No   |  |

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



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

|    | B   | C  | D  | E  |
|----|---|--|--|--|
| 1  | Agency: Florida Department of Law Enforcement |  | Project: Records Management System Modernization   |  |
| 3  | Section 7 -- Project Management Area          |  |  |  |
| 4  | #   | Criteria   | Values   | Answer   |
| 5  | 7.01  | Does the project management team use a standard commercially available project management methodology to plan, implement, and control the project?     | No   | Yes  |
| 6  |   |  | Project Management team will use the methodology selected by the systems integrator  |  |
| 7  |   |  | Yes  |  |
| 8  | 7.02  | For how many projects has the agency successfully used the selected project management methodology?  | None   | More than 3  |
| 9  |   |  | 1-3  |  |
| 10 |   |  | More than 3  |  |
| 11 | 7.03  | How many members of the project team are proficient in the use of the selected project management methodology?   | None   | Some   |
| 12 |   |  | Some   |  |
| 13 |   |  | All or nearly all  |  |
| 14 | 7.04  | Have all requirements specifications been unambiguously defined and documented?  | 0% to 40% -- None or few have been defined and documented  | 0% to 40% -- None or few have been defined and documented  |
| 15 |   |  | 41 to 80% -- Some have been defined and documented   |  |
| 16 |   |  | 81% to 100% -- All or nearly all have been defined and documented  |  |
| 17 | 7.05  | Have all design specifications been unambiguously defined and documented?  | 0% to 40% -- None or few have been defined and documented  | 41 to 80% -- Some have been defined and documented   |
| 18 |   |  | 41 to 80% -- Some have been defined and documented   |  |
| 19 |   |  | 81% to 100% -- All or nearly all have been defined and documented  |  |
| 20 | 7.06  | Are all requirements and design specifications traceable to specific business rules?   | 0% to 40% -- None or few are traceable   | 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   | 0% to 40% -- None or few have been defined to the work package level   |
| 30 |   |  | 41 to 80% -- Some have been defined to the work package level  |  |
| 31 |   |  | 81% to 100% -- All or nearly all have been defined to the work package level   |  |
| 32 | 7.10  | Has a documented project schedule been approved for the entire project lifecycle?  | Yes  | No   |
| 33 |   |  | No   |  |
| 34 | 7.11  | Does the project schedule specify all project tasks, go/no-go decision points (checkpoints), critical milestones, and resources?                       | Yes  | No   |
| 35 |   |  | No   |  |
| 36 | 7.12  | Are formal project status reporting processes documented and in place to manage and control this project?  | No or informal processes are used for status reporting   | Project team and executive steering committee use formal status reporting processes  |
| 37 |   |  | Project team uses formal processes   |  |
| 38 |   |  | Project team and executive steering committee use formal status reporting processes  |  |
| 39 | 7.13  | Are all necessary planning and reporting templates, e.g., work plans, status reports, issues and risk management, available?                           | No templates are available   | 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  | Yes  |
| 43 |   |  | No   |  |
| 44 | 7.15  | Have all known project risks and corresponding mitigation strategies been identified?  | None or few have been defined and documented   | Some have been defined and documented  |
| 45 |   |  | Some have been defined and documented  |  |
| 46 |   |  | All known risks and mitigation strategies have been defined  |  |
| 47 | 7.16  | Are standard change request, review and approval processes documented and in place for this project?   | Yes  | Yes  |
| 48 |   |  | No   |  |
| 49 | 7.17  | Are issue reporting and management processes documented and in place for this project?   | Yes  | Yes  |
| 50 |   |  | No   |  |

|    | B   | C  | D  | E                                   |
|----|---|--|--|-------------------------------------|
| 1  | Agency: Florida Department of Law Enforcement |  | Project: Records Management System Modernization   |                                     |
| 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   | More complex                        |
| 6  |   |  | More complex   |                                     |
| 7  |   |  | Similar complexity   |                                     |
| 8  |   |  | Less complex   |                                     |
| 9  | 8.02  | Are the business users or end users dispersed across multiple cities, counties, districts, or regions?   | Single location  | More than 3 sites                   |
| 10 |   |  | 3 sites or fewer   |                                     |
| 11 |   |  | More than 3 sites  |                                     |
| 12 | 8.03  | Are the project team members dispersed across multiple cities, counties, districts, or regions?  | Single location  | More than 3 sites                   |
| 13 |   |  | 3 sites or fewer   |                                     |
| 14 |   |  | More than 3 sites  |                                     |
| 15 | 8.04  | How many external contracting or consulting organizations will this project require?   | No external organizations  | More than 3 external organizations  |
| 16 |   |  | 1 to 3 external organizations  |                                     |
| 17 |   |  | More than 3 external organizations   |                                     |
| 18 | 8.05  | What is the expected project team size?  | Greater than 15  | Greater than 15                     |
| 19 |   |  | 9 to 15  |                                     |
| 20 |   |  | 5 to 8   |                                     |
| 21 |   |  | Less than 5  |                                     |
| 22 | 8.06  | How many external entities (e.g., other agencies, community service providers, or local government entities) will be impacted by this project or system? | More than 4  | More than 4                         |
| 23 |   |  | 2 to 4   |                                     |
| 24 |   |  | 1  |                                     |
| 25 |   |  | None   |                                     |
| 26 | 8.07  | What is the impact of the project on state operations?   | Business process change in single division or bureau   | Agency-wide business process change |
| 27 |   |  | Agency-wide business process change  |                                     |
| 28 |   |  | Statewide or multiple agency business process change   |                                     |
| 29 | 8.08  | Has the agency successfully completed a similarly-sized project when acting as Systems Integrator?   | Yes  | No                                  |
| 30 |   |  | No   |                                     |
| 31 | 8.09  | What type of project is this?  | Infrastructure upgrade   | 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   | Greater size and complexity         |
| 40 |   |  | Lesser size and complexity   |                                     |
| 41 |   |  | Similar size and complexity  |                                     |
| 42 |   |  | Greater size and complexity  |                                     |

| <b>Baseline Schedule</b> |   |                            |
|--------------------------|---|----------------------------|
| <b>Fiscal Year</b>       | <b>Activity/Milestone</b>                     | <b>Planned Completion</b>  |
| 2023-24                  | Submit Legislative Budget Request (LBR)       | September 2023             |
|                          | Prepare RMS Procurement                       | September 2023 - July 2024 |
| 2024-25                  | Obtain funding                                | July 2024                  |
|                          | Hire Project Team                             | July 2024                  |
|                          | Prepare Organizational Change Management Plan | July 2024                  |
|                          | RMS Procurement Process                       | July 2024 – March 2025     |
|                          | Establish RMS Contract                        | May 2025                   |
|                          | Begin Implementation of RMS                   | June 2025 - TBD            |

# SCHEDULE IV-B FOR ALCOHOL TESTING PROGRAM – NEW BREATH TEST INSTRUMENT

For Fiscal Year 2024-25



September 15, 2023




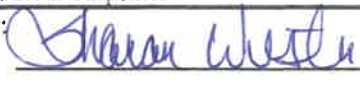

FLORIDA DEPARTMENT OF LAW ENFORCEMENT

## Contents

|              |  |    |
|--------------|--|----|
| <b>I.</b>    | <b>Schedule IV-B Cover Sheet</b>   | 2  |
| <b>II.</b>   | <b>Schedule IV-B Business Case – Strategic Needs Assessment</b>                          | 3  |
| A.           | Background and Strategic Needs Assessment  | 3  |
| 1.           | Business Need  | 3  |
| 2.           | Business Objectives  | 3  |
| B.           | Baseline Analysis  | 3  |
| 1.           | Current Business Process(es)   | 3  |
| 2.           | Assumptions and Constraints  | 4  |
| C.           | Proposed Business Process Requirements   | 4  |
| 1.           | Proposed Business Process Requirements   | 4  |
| 2.           | Business Solution Alternatives   | 5  |
| 3.           | Rationale for Selection  | 5  |
| 4.           | Recommended Business Solution  | 6  |
| D.           | Functional and Technical Requirements  | 6  |
| 2.           | Technical Requirements   | 7  |
| <b>III.</b>  | <b>Success Criteria</b>  | 7  |
| <b>IV.</b>   | <b>Schedule IV-B Benefits Realization and Cost Benefit Analysis</b>                      | 8  |
| A.           | Benefits Realization Table   | 8  |
| B.           | Cost Benefit Analysis (CBA)  | 9  |
| <b>V.</b>    | <b>Schedule IV-B Major Project Risk Assessment</b>                                       | 10 |
| <b>VI.</b>   | <b>Schedule IV-B Technology Planning</b>   | 11 |
| A.           | Current Information Technology Environment   | 11 |
| 1.           | Current System   | 11 |
| 2.           | Information Technology Standards   | 13 |
| B.           | Current Hardware and/or Software Inventory   | 15 |
| C.           | Proposed Technical Solution  | 15 |
| D.           | Proposed Solution Description  | 16 |
| 1.           | Summary Description of Proposed System   | 16 |
| 2.           | Resource and Summary Level Funding Requirements for Proposed Solution (if known)         | 17 |
| E.           | Capacity Planning ( <i>historical and current trends versus projected requirements</i> ) | 18 |
| <b>VII.</b>  | <b>Schedule IV-B Project Management Planning</b>   | 19 |
| <b>VIII.</b> | <b>Appendices</b>  | 27 |

**SCHEDULE IV-B FOR ALCOHOL TESTING PROGRAM - NEW BREATH TEST INSTRUMENT**

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

| <b>Schedule IV-B Cover Sheet and Agency Project Approval</b>  |   |
|---|---|
| Agency:<br>Florida Department of Law Enforcement  | Schedule IV-B Submission Date:<br>September 15, 2023  |
| Project Name:<br>Alcohol Testing Program-New Breath Test Instrumentation  | Is this project included in the Agency's LRPP?<br><input checked="" type="checkbox"/> Yes <input type="checkbox"/> No |
| FY 2024-25 LBR Issue Code:<br>3621000   | FY 2024-25 LBR Issue Title:<br>Alcohol Testing Program-New Breath Test Instrumentation                                |
| Agency Contact for Schedule IV-B (Name, Phone #, and E-mail address):<br>Becky Bezemek, 850-410-8459, <a href="mailto:becky.bezemek@fdle.state.fl.us">becky.bezemek@fdle.state.fl.us</a>  |   |
| <b>AGENCY APPROVAL SIGNATURES</b>   |   |
| 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:<br>   | Date:<br>12 AUG 23  |
| Printed Name: Mark Glass  |   |
| Agency Chief Information Officer (or equivalent):<br>  | Date:<br>8/4/23   |
| Printed Name: Joey Hornsby  |   |
| Budget Officer:<br>  | Date:<br>8/7/23   |
| Printed Name: Patricia Carpenter  |   |
| Planning Officer:<br>  | Date:<br>8/10/2023  |
| Printed Name: Sharon Wester   |   |
| Project Sponsor:<br>   | Date:<br>8/7/23   |
| Printed Name: Chad Brown  |   |
| <b>Schedule IV-B Preparers (Name, Phone #, and E-mail address):</b>   |   |
| Business Need:  | Brett Kirkland, 850-410-7586, <a href="mailto:brettkirkland@fdle.state.fl.us">brettkirkland@fdle.state.fl.us</a>      |
| Cost Benefit Analysis:  | Erica Wolaver, 850-410-8511, <a href="mailto:ericawolaver@fdle.state.fl.us">ericawolaver@fdle.state.fl.us</a>         |
| Risk Analysis:  | Becky Bezemek, 850-410-8459, <a href="mailto:becky.bezemek@fdle.state.fl.us">becky.bezemek@fdle.state.fl.us</a>       |
| Technology Planning:  | Becky Bezemek, 850-410-8459, <a href="mailto:becky.bezemek@fdle.state.fl.us">becky.bezemek@fdle.state.fl.us</a>       |
| Project Planning:   | Becky Bezemek, 850-410-8459, <a href="mailto:becky.bezemek@fdle.state.fl.us">becky.bezemek@fdle.state.fl.us</a>       |

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

### A. Background and Strategic Needs Assessment

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

#### 1. Business Need

F.S. 316, 322, and 327 task the Alcohol Testing Program (ATP) with ensuring the accuracy and reliability of breath and blood alcohol testing across the state of Florida. Currently, the instrument used to test a person's breath for the presence of alcohol is the Intoxilyzer 8000. It has been authorized as Florida's evidentiary breath test instrument since 2004, and was put into service in 2006. This instrument relies upon analog communication (dial-up modems) between the Intoxilyzer 8000 and the Alcohol Testing Program's central database. Analog communication is an outdated technology. Maintenance and troubleshooting of these forms of communication are increasingly difficult. This has led to a heavy burden upon local agencies attempting to upload their instrument's information. There are many failures with the dial-up modems and some agencies cannot upload from their office; they have to go to another agency for uploading. It has also been a workload burden on FDLE's Office of Professionalism ATP and Information Technology Service (ITS) members troubleshooting the data uploads using analog technology. The vendor is strongly recommending that the dial-up modems be replaced with ethernet connections to upload the data.

Furthermore, the instrument relies on parallel port printers to print test reports. These types of printers are no longer easily available to purchase and cost significantly more than modern USB printers. Combined with the availability of replacement parts, this has made the instrument increasingly difficult to maintain. Also, the cost of parts and labor for the Intoxilyzer 8000 continues to increase with continued use of them in the field. The majority of the instruments in the field are at least 10 years old with the majority of those being closer to 13 years old.

#### 2. Business Objectives

The business objectives of the proposed project are:

- Provide state, federal and local law enforcement agencies with validated breath testing instrumentation and a system for utilizing the equipment in the State of Florida.
- Provide improved business processes and supporting technologies that enable FDLE to ensure data quality.
- Provide the ability to share breath alcohol testing information with other government agencies.
- Leverage technology to effectively manage breath alcohol testing and the potential growth in information collected.
- Provide a user-friendly breath alcohol test instrument for users.
- Improve the process to upload breath alcohol tests.
- Maintain consistency in reporting breath alcohol testing across the state.

### B. Baseline Analysis

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

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

FDLE's Alcohol Testing Program is responsible for the oversight and administration of Florida's breath and blood alcohol testing. Responsibilities include, but are not limited to, the testing and selection of the Breath Alcohol Testing instruments used in Florida, providing training and certification for all Agency Inspectors and Breath Test Operators, providing maintenance support to the criminal justice agencies, providing testimony at the request of State Attorneys during criminal proceedings, providing testimony at the request



of the Department of Highway Safety and Motor Vehicles Hearing Officers, providing annual inspections for all Breath Alcohol Testing instruments, permitting analysts who perform blood alcohol analyses, and providing legal review and expertise in breath testing matters.

The Alcohol Testing Program has established Rule 11D-8 F.A.C., and implemented a breath alcohol instrument for determining breath alcohol content. This instrument is the CMI Inc., Intoxilyzer 8000. The Intoxilyzer 8000 was put into service in 2006. There are currently about 550 evidential breath test instruments used in Florida. These instruments are required to undergo routine monthly and annual inspections pursuant to Rule 11D-8, F.A.C., to ensure accuracy and reliability of breath tests. Furthermore, pursuant to Rule 11D-8.0075, F.A.C., each agency must electronically transmit each month to the Department all breath tests conducted on an agency's Intoxilyzer 8000. These monthly data submissions are stored on a central database called Computer Online Breath Archive (COBRA). ATP then reviews the data for instrument performance and to identify any potential issues between the mandated annual inspections and monthly inspections.

## 2. Assumptions and Constraints

Assumptions:

Florida conducts more than 30,000 evidential breath tests each year. The assumption is that there will continue to be a large number of breath test conducted in Florida.

Also, FDLE serves as the central repository for these breath tests as per Rule 11D-8.0075 F.A.C. Another basic assumption is that FDLE will remain a repository for these breath test.

Local agency office network infrastructure will continue to be modernized. Plain Old Telephone Service (POTS) lines are required for the analog lines which offices are unknowingly replacing with digital.

Constraints:

Relying on dial-up modem connections is unsustainable for FDLE and local agencies. Most agencies have already moved to digital communication systems and must maintain antiquated modem lines solely for breath test instruments. The instrument also relies on parallel port printers to print test reports. These types of printers are no longer routinely available and cost significantly more than modern USB printers.

The availability of replacement parts for the Intoxilyzer 8000 is becoming increasingly more difficult for the vendor to obtain in order to make necessary repairs of existing instruments.

The Intoxilyzer 8000 is no longer being produced by the manufacturer.

## C. Proposed Business Process Requirements

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

### 1. Proposed Business Process Requirements

The Evidential Breath Test Instrument and Solution (EBTIS) shall meet the following requirements:

- Provide Ethernet capability
- Provide a user interface
- Provide the ability to analyze standards
- Provide the ability to collect a breath test
- Provide the ability to detect mouth alcohol in a breath sample
- Provide the ability to detect interfering substances in a breath sample
- Provide the ability to shield against/detect radio frequency interference (RFI)
- Provide EBTIS architectural solution model. i.e. on-premise, cloud, hybrid, etc.

- a. Quality control
  - b. Portability
  - c. Information retention
  - d. Customized report formats and ad-hoc reports
  - e. USB external printer and list of compatible printer paper
  - f. Remote access
  - g. Transfer data
  - h. Communication between instrument and solution
- Provide calibration methods
  - Provide Operator’s training plan
  - Provide Administrator’s training plan
  - Provide equipment warranty plan

## 2. Business Solution Alternatives

This section describes the analysis of alternative approaches considered for implementing a replacement for the current COBRA V5 system.

To conduct the alternatives analysis the following steps were performed:

- Developed high-level functional requirements the new system must be capable of addressing
- Identified the potential alternative evidential breath test instrument and solution
- Established a set of uniform evaluation criteria against which each alternative was measured
- Evaluated each of the alternatives through the application of the evaluation criteria
- Determined the best alternative for the Department

Three approaches are presented:

### Approach #1- Status Quo/As-Is

This option would have FDLE to continue to operate the current instruments and breath test system. This option is not feasible. No modifications or improvement can be made at this time. Additionally, instruments are of an age where replacement of parts is no longer feasible or available, requiring potential replacement of whole portions of the instrument which the current vendor has indicated is no longer possible.

### Approach #2- On-Premise Instrument and Solution Replacement

This option would have FDLE replace the current instruments and solution with an on-premise option for the centralized database and network connectivity for instrument uploads to be housed in FDLE data center. Replacing the breath test solution allows for improved system technology capabilities.

### Approach #3- Cloud-Based Instrument and Solution Replacement

This option would have FDLE replace the current instruments and COBRA V5 System with a vendor cloud-based data repository. Replacing the breath test solution allows for improved system technology capabilities.

## 3. Rationale for Selection

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

These criteria include:

- Efforts to implement
- Initial and future workload for state and local agencies
- Impact to vendor and agency

- Impact to Business and IT units in FDLE
- Cost to transition to a different vendor

#### 4. Recommended Business Solution

FDLE advertised an Invitation to Negotiate (ITN) for the Evidential Breath Testing Instrumentation and Solution. FDLE deemed two vendors responsive to this solicitation. Both vendors submitted a proposal for the use of their breath test instrumentation and Forensic Advantage's Breath Alcohol Database (BrAD) solution on a cloud infrastructure on the NLETS environment. Subsequently, one vendor withdrew from the ITN which resulted in CMI, Inc. being the only available vendor for the solicitation. After the evaluation and vendor demonstrations, the recommended business solution is to replace the current breath testing instrumentation and COBRA V5 system with a new modernized solution, based on Approach 3 above. This system will meet Florida's needs for collecting, storing, maintaining, and disseminating of breath alcohol test records. FDLE intends to procure this solution by means of an exceptional purchase.

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

- Breath Test central repository
- Client Application Software
- Integration with existing interfaces
- Software as a service
- Project management services
- User Management
- Data analysis and migration services
- System integration and testing services
- Implementation and configuration
- Training services (technical and user)
- Security services

## D. Functional and Technical Requirements

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

### 1. Functional Requirements

The new Evidential Breath Test Instrument and Solution (EBTIS) shall:

- Provide Ethernet network capability
- Provide a user interface
- Provide search and filter capabilities
- Provide the ability to analyze standards
- Provide the ability to complete a breath test
- Provide the ability to detect mouth alcohol in a breath sample
- Provide the ability to detect interfering substances in a breath sample
- Provide the ability to shield against/detect radio frequency interference (RFI)
- Provide software update flexibility
- Provide the ability to be portable
- Provide the ability to customized report formats and ad-hoc reports
- Provide a USB external printer port and a compatible printer paper
- Provide remote access
- Provide the ability to transfer data
- Provide the ability to communicate between the instrument and solution

- Provide the ability to calibrate methods
- Provide operator’s training
- Provide Administrator’s training
- Provide equipment warranty plan

**2. Technical Requirements**

- Provide a database environment for centralize storing of breath alcohol test data
- Provide an application environment for accessing the centralized storing of breath alcohol test data
- Provide data integration for breath alcohol test data
- Provide technical IT training
- Provide Project Management Services
- Provide maintenance and technical support
- Meet FDLE’s information technology (IT) standards and policies
- Maintain compliance with the FBI CJIS Security Policy (CSP), state of Florida, and FDLE security rules
- Follow FDLE standard on system availability: minimum 99.5% uptime, 24 hours a day, 7 day a week and 365 days a year
- Provide technical support 5 day a week from 8:00am to 6:00pm

**III. Success Criteria**

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

| SUCCESS CRITERIA TABLE |  |  |                                   |                          |
|------------------------|--|--|-----------------------------------|--------------------------|
| #                      | Description of Criteria  | How will the Criteria be measured/assessed?  | Who benefits?                     | Realization Date (MM/YY) |
| 1                      | Approve new breath test instrumentation for use in Florida           | A new breath test instrument, Intoxilyzer 9000, is approved for evidential breath testing in Florida | FDLE<br>Federal<br>Local Agencies | 5/2023                   |
| 2                      | Rule promulgation for the new evidential breath test                 | Rule change to authorize the use of the Intoxilyzer 9000 instrument in Florida                       | FDLE<br>Federal<br>Local Agencies | 5/2024                   |
| 3                      | Provide a test system that is identical to production                | Validation of test system  | FDLE                              | 6/2024                   |
| 4                      | Implementation of the evidential breath test instrument and solution | Measured by the existence of the evidential breath test instrument solution on the FAS NLETS Cloud   | FDLE                              | 10/2024                  |

**SCHEDULE IV-B FOR ALCOHOL TESTING PROGRAM – NEW BREATH TEST INSTRUMENT**

| SUCCESS CRITERIA TABLE |  |   |                                   |                  |
|------------------------|--|---|-----------------------------------|------------------|
|                        |  | Network   |                                   |                  |
| 5                      | Purchase 520 Evidential breath test instruments and supporting software/hardware                       | 520 breath test instruments and supporting software/hardware are purchased  | FDLE<br>Federal<br>Local Agencies | 12/2025          |
| 6                      | Register instruments for use at local agencies in Florida  | New breath test instruments are registered in accordance with Rule 11D-8, F.A.C., and sent out to local agencies to perform evidential breath tests | FDLE<br>Federal<br>Local Agencies | 7/2023 – 12/2025 |
| 7                      | Successful migration of alcohol breath test data   | Measured by the system containing the all data from the current system  | FDLE                              | 10/2025          |
| 8                      | Leverage new technology  | Use of latest and standard technology   | FDLE<br>Federal<br>Local Agencies | 10/2025          |
| 9                      | Meet FDLE’s Information Technology (IT) standards and policies   | Review of the alcohol breath test processes to FDLE standards and policies  | FDLE                              | 10/2025          |
| 10                     | Maintain compliance with the FBI CJIS Security Policy (CSP), State of Florida, and FDLE security rules | Validation of Compliance  | FDLE                              | 10/2025          |

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

**A. Benefits Realization Table**

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

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

| BENEFITS REALIZATION TABLE |                        |                           |                          |                           |                  |
|----------------------------|------------------------|---------------------------|--------------------------|---------------------------|------------------|
| #                          | Description of Benefit | Who receives the benefit? | How is benefit realized? | How is the realization of | Realization Date |

| BENEFITS REALIZATION TABLE |  |  |   |  |                                |
|----------------------------|--|--|---|--|--------------------------------|
|                            |  |  |   | the benefit measured?  | (MM/YY)                        |
| 1                          | Improved local agency experience with new breath test instrument | Public, Local Law Enforcement, Federal, FDLE | New breath test instrument in the field                 | Feedback from federal and local LE agencies.                               | 6/30/2026; fully by 12/30/2029 |
| 2                          | Improved agencies upload process                                 | Public, Local Law Enforcement, Federal, FDLE | Reduction in requests to ITS to restart the application | Feedback from Federal and local LE agencies                                | 6/30/2026; fully by 12/30/2029 |
| 3                          | Improved Reporting Capabilities                                  | FDLE   | Reports are easily generated                            | Reduction in programming requests to the vendor to provide routine reports | 6/30/2026; fully by 12/30/2029 |

### B. Cost Benefit Analysis (CBA)

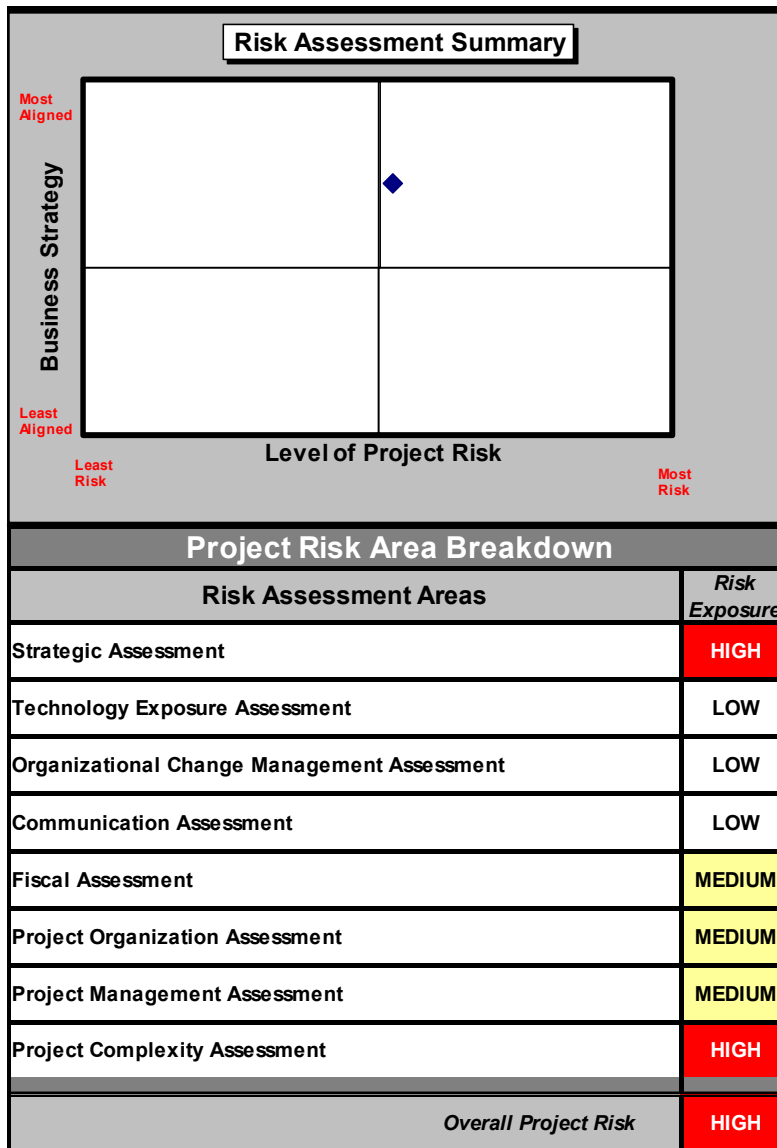
*Purpose: To provide a comprehensive financial prospectus specifying the project’s tangible benefits, funding requirements, and proposed source(s) of funding.*

The forms required for CBA are included as Appendix B.

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

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

### A. Risk Assessment Summary Table



The complete risk assessment worksheets are in Appendix E.

## VI. Schedule IV-B Technology Planning

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

### A. Current Information Technology Environment

#### 1. Current System

##### a. Description of Current System

The Alcohol Testing Program established Rule 11D-8, F.A.C., and implemented a breath alcohol instrument for determining breath alcohol content. This instrument is the CMI Inc., Intoxilyzer 8000. The Intoxilyzer 8000 was put into service in 2006. There are currently about 550 evidential breath test instruments used in Florida. These instruments are required to undergo routine monthly and annual inspections pursuant to Rule 11D-8, F.A.C., to ensure accuracy and reliability of breath tests. Furthermore, pursuant to Rule 11D-8.0075, F.A.C., each agency must electronically transmit each month to the Department all breath tests conducted on an agency’s Intoxilyzer 8000. These monthly data submissions are stored on a central database called Computer Online Breath Archive (COBRA). ATP then reviews the data for instrument performance and to identify any potential issues between the mandated annual inspections and monthly inspections.

The COBRA V5 system was installed in 2006, and many of the components are approaching or at the End of Support (EOS) or End of Life (EOL) as defined by the Original Equipment Manufacturers (OEMs).

- The vendor is no longer manufacturing the Intoxilyzer 8000.
- Analog communication and 56k modems technology is outdated technology.
- Printers are no longer routinely available and cost significantly more than modern USB printers.

The following provides a breakdown of the current system:

|                              |   |
|------------------------------|---|
| System Type                  | The Computer Online Breath Archive (COBRA) V5 components follow: <ol style="list-style-type: none"> <li>1. The presentation tier is presented in a web browser.</li> <li>2. The data-tier is the Microsoft SQL database.</li> </ol>   |
| Number of Users & Types      | <ol style="list-style-type: none"> <li>1. 15 FDLE members</li> <li>2. 529 Agency Inspectors (AI)</li> <li>3. 73 Breath Test Instructors (BTI)</li> <li>4. 6078 Breath Test Operator (BTO)</li> </ol>  |
| Security Access Requirements | COBRA V5 use a built-in authentication system.  |
| Hardware Characteristics     | <p>COBRA V5 consists of development, test and production areas.</p> <p>Development &amp; System Test Servers:</p> <ul style="list-style-type: none"> <li>• 1 web application server (Shared with Microsoft SQL Database)</li> <li>• 1 COBRA Application Software</li> <li>• 1 Microsoft SQL database</li> <li>• 1 56K modem</li> <li>• 1 Analog Telephone line (PBX)</li> </ul> |



**SCHEDULE IV-B FOR ALCOHOL TESTING PROGRAM – NEW BREATH TEST INSTRUMENT**

|   |  |
|---|--|
|   | <p>Production Servers:</p> <ul style="list-style-type: none"> <li>• 1 web application server (Shared with Microsoft SQL Database)</li> <li>• 1 COBRA Application Software</li> <li>• 1 Microsoft SQL database</li> <li>• 4 56K modems</li> <li>• 4 Analog Telephone lines (PBX)</li> </ul> |
| Software Characteristics                | <p>Application Server Operating system: Microsoft Windows Server</p> <p>3<sup>rd</sup> Party Tools: COBRA Client, COBRA Remote, and Microsoft SQL Express</p> <p>Database: Microsoft SQL Server</p>  |
| Scalability                             | The current system is not fully scalable in its end-of-life programming version of software and reporting solution.  |
| Connectivity Requirements               | DMZ, telephone lines, and 56k modems   |
| Development and Maintenance Approach    | The support of the current application components follows FDLE’s approved maintenance and project governance rules.  |
| Maturity of the Technology              | The current application components were implemented in 2006 and rely on modem technology.  |
| Future Data Sharing with other Entities | Information is shared by the current application in the form of extract files produced by the Intoxilyzer 8000.  |

**b. Current System Resource Requirements**

|                       |   |
|-----------------------|---|
| Technical Platform    | <p>Hosted at FDLE Information Technology Services (ITS)</p> <p>3<sup>rd</sup> Party Tools: COBRA Client, COBRA Remote, and MS SQL Express</p>   |
| Hardware Requirements | <p>Production and Test Web Application Servers</p> <p>Production and Test Database</p> <p>Production and Test 56K Modems</p> <p>Production and Test Analog Telephone lines (PBX)</p>        |
| Software Requirements | <p>Application Server Operating system: Windows Server</p> <p>3<sup>rd</sup> Party Tools: COBRA Client, COBRA Remote, and MS SQL Express</p> <p>Database: Microsoft SQL Server Database</p> |
| Staffing Requirements | <p>1 State Developer/Programmer</p> <p>1 Contract Developer/Systems Analyst</p>   |

**c. Current System Performance**

|  |  |
|--|--|
| Ability of System to Meet Current and Project Workload | Supports current operations but vendor finds its increasingly difficult to adapt to changes requested by customer.   |
| Level of User Satisfaction                             | Moderate to low due to technical failures with the older technology  |
| Level of Technical Satisfaction                        | Low due to the technical failures of the older technology  |
| Anticipated Failures                                   | The vendor is no longer manufacturing the Intoxilyzer 8000 breath test instruments.  |
| Network & System Availability                          | 24 hours per day/7 days a week with limited scheduled maintenance windows  |
| Network & System Reliability                           | The system is brought down for scheduled maintenance when needed. These times are communicated with the customer and performed during non-peak business hours so as not to adversely impact breath test uploads. |
| Backup & Disaster Recovery                             | Backups are performed nightly and the disaster recovery plan follows FDLE established procedures for IT systems.   |

**2. Information Technology Standards**

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

**a. Architecture**

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

**b. Servers**

- Rack-mountable servers will be used for information systems.
- Individual servers will be scaled to handle large bursts of transactions on each interface where appropriate.
- Server operating systems will be Microsoft Windows Server. The COBRA V5 uses Microsoft Windows Server.

*c. Storage*

- Information systems will be designed to use redundant disk arrays in the FDLE Data Center.

*d. Network*

- Firewall protecting FDLE user access

*e. Database*

- Data will be stored in a relational database using Microsoft SQL Server.

*f. Application Software*

- Software development standards are specified in FDLE Development Standards.

*g. Security*

- The alcohol testing data is of vital importance to FDLE and must meet the following system security requirements:
  - The system shall meet the state of Florida and FDLE security policy.
  - FDLE information security requirements are specified in FDLE Policies 1.4 – Use of FDLE Resources, 2.5 – Information Resources, and 3.1 – Background Investigations.
- Rule 74-2, F.A.C. Some of the key topics are:
  - Access Control
  - Awareness and Training
  - Audit and Accountability
  - Contingency Planning and Disaster Recovery
  - Identification and Authentication
  - Incident Response
  - Maintenance
  - Methodology used to develop and maintain software used for the service, including secure coding guidelines and standards to protect the site from unauthorized access and use
  - Physical and Environmental Protection
  - System and Communications Protection
  - System and Information Integrity
  - Compliance with the following standards is preferred:
    - Lightweight Directory Access Protocol (LDAP)/Active Directory (AD)

*h. Availability*

- The system will follow FDLE’s standards on availability for the COBRA V5: minimum 99.5% uptime

*i. Usability*

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

## B. Current Hardware and/or Software Inventory

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

The COBRA V5 application components are a web-based application which reports the statewide data for alcohol testing once the evidential breath test instrument data is uploaded. The presentation tier consists of client application. The business tier consists of application running on a Microsoft Windows server with four 56k modems and a firewall. The business tier also utilizes some third-party components (COBRA Remote, COBRA Application). The database tier connects to the Microsoft SQL database.

## C. Proposed Technical Solution

### 1. Technical Solution Alternatives

This section describes the analysis of alternative approaches considered for implementing a replacement for the current Evidential Breath Test Instrument and Solution.

To conduct the alternatives analysis the following steps were performed:

- Developed high-level functional requirements that the new system must be capable of addressing
- Identified and defined a list of potential alternative system implementation methods
- Established a set of uniform evaluation criteria against which each alternative was measured
- Evaluated each of the alternatives through the application of the evaluation criteria
- Determined the best alternative for the Department

Three approaches are presented:

#### **Approach #1- Status Quo/As-Is**

This option would have FDLE to continue to operate the current breath test system with the existing instruments and modem architecture for uploading the local agency data. No modifications or improvements can be made to the existing configuration; the CMI 8000 instruments use modem architecture. FDLE recommends upgrading the server hardware and SQL database to keep supported, but the instrument vendor must do extensive tests to certify the upgrades can occur. The vendor recommends upgrading to Ethernet network connectivity with new instruments.

#### **Approach #2- On-Premise Instrument and Solution Replacement**

This option would have FDLE replace the current breath test solution and instrument, with the Intoxilyzer 9000 and an Ethernet architecture for uploading the local agency data. The Ethernet architecture consists of a server which runs COBRA V5 software, SQL database and reporting solution on-premise in FDLE's data center. FDLE's network could accept the Ethernet instrument upgrade.

#### **Approach #3- Cloud-Based Instrument and Solution Replacement**

This option would have FDLE replace the current breath test solution and instrument with the Intoxilyzer 9000 and cloud-based solution operating in the NLETS data center.

### 2. Rationale for Selection

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

### 3. Recommended Technical Solution

After comparing the on-premise option to the cloud-based solution, FDLE recommends replacing the current COBRA V5 system with a new cloud-based solution operating in the NLETS data center. This system will meet Florida’s needs for collecting, processing, storing, maintaining the breath alcohol test records. Software as a service (SaaS) will avoid FDLE purchasing and maintaining physical hardware in the years to come. In addition, the upfront cost is significantly reduced. By utilizing software as a service and a phased approach to modernizing the evidential breath test solution, FDLE is able to minimize the initial cost and adjust the solution as needed.

The risks of not implementing a new breath alcohol test solution are listed below:

- Breath testing in the state of Florida will be difficult to sustain. The Intoxilyzer 8000 is no longer being produced by the manufacturer. Agencies are unable to purchase new instrumentation to add to their fleet, or replace existing units. In addition, turn-around-time on instrument repairs has grown due to limited availability of parts.
- Local law enforcement will not be able to upload their information timely to the central repository for statewide reporting. The old technology is limiting compliance with emerging federal data communications standards.
- It will be difficult to acquire old technology resources, such as analog modems or the parallel printers that are compatible with the existing system.
- The current system requires at least three system restarts on days of heavy agency uploads. System restarts may no longer be the quick fix which would disrupt processing of breath test.

## D. Proposed Solution Description

The proposed solution is to replace the current COBRA V5 system with a cloud-based solution that will be customized to meet Florida’s public safety needs.

### 1. Summary Description of Proposed System

FDLE plans to implement the modernized cloud-based COBRA V5 solution in multiple phases. Due to the increasing age of the instrument and associated components, this will provide relief to the issues with the current COBRA V5 System. FDLE needs to implement the new system in the following phases:

**Intoxilyzer 9000 Software Configuration:** Configure the Intoxilyzer 9000 software to have similar functionality to the current Intoxilyzer 8000 software. Customization of user access and log-in requirements. Develop breath test and inspection test sequences to meet FDLE legislative requirements. Development of FDLE specific forms.

**COBRA V5 Software Configuration:** Configure the COBRA V5 software to have similar functionality to the current Intoxilyzer 8000 software. Configuring the user access database, agency database, and instrument inventory. Customization of FDLE specific forms, customer reports or data views.

**BrAD Implementation:** Configure the cloud infrastructure on the NLETS environment. Configure instruments module. Configure the security roles for system users. Develop the public utility tool interface with 8000 and 9000 instruments. Develop custom user reports, user training, and system documentation.

**Intoxilyzer 9000 Instrument:** Register and distribute the Intoxilyzer 9000 instruments to the law enforcement offices across the State of Florida.

#### *System Type*

- NLETS Cloud Network
- Software as a service

- Web-based interface

***Connectivity***

The Intoxilyzer 9000 will interface with Forensic Advantage’s BrAD system over secure connections. FDLE will provide connectivity to the new COBRA V5 solution.

***Security, Privacy, Confidentiality, Access***

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

***Development and Procurement Approach***

To realize the business solution, FDLE plans an exceptional procurement process to acquire the commercially available system that can be customized to meet FDLE’s business requirements.

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

- Forensic Advantage BrAD repository
- Integration with existing interfaces
- Software as a service
- Project management services
- Software customization services
- User management
- Data analysis and migration services
- System integration and testing services
- Implementation and configuration
- Training services (technical and user)
- Security services
- Maintenance services

In order to accomplish the above objectives and timelines needed to continue operations of FDLE current COBRA V5 solution while addressing current issues, FDLE must enter into an exceptional procurement. This will allow FDLE to avoid continued deficiency of the current system, operational failure in the impending future and ensure the highest level of accuracy is maintained.

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

Anticipated total project costs are summarized in the table below:

**SCHEDULE IV-B FOR ALCOHOL TESTING PROGRAM – NEW BREATH TEST INSTRUMENT**

|                        |   |                          |
|------------------------|---|--------------------------|
| <b>Title:</b>          | Evidential Breath Test Instrument and Solution Replacemnt |                          |
| <b>Tracking #:</b>     | TBD   |                          |
| <b>Customer:</b>       | Criminal Justice Professionalism                          | <b>Customer Contact:</b> |
| <b>Manager:</b>        | TBD   | <b>ITS Lead:</b>         |
| <b>Planned Start:</b>  | 7/1/2022  | <b>Planned Finis</b>     |
| <b>Duration (mos):</b> | 36.5  | 6/30/2025                |
| <b>Baseline Date:</b>  | 7/1/2022  |                          |
| <b>Revision Date:</b>  |   | <b>Version #:</b> 1.0    |

| Project Budget                      | Planned            | Planned            | Planned          | Planned          |                    |
|-------------------------------------|--------------------|--------------------|------------------|------------------|--------------------|
| Cost Elements                       | FY 23 –24          | FY 24–25           | FY 25–26         | FY 26–27         | Totals             |
| <b>Staff</b>                        |                    |                    |                  |                  |                    |
| State Staff                         | \$0                | \$0                | \$0              | \$0              | \$0                |
| OPS                                 | \$0                | \$0                | \$0              | \$0              | \$0                |
| <b>Expenses</b>                     |                    |                    |                  |                  |                    |
| <b>OCO</b>                          |                    |                    |                  |                  |                    |
| Intoxilyzer 9000 devices            | \$2,930,720        | \$2,930,720        | \$0              | \$0              | \$5,861,440        |
| <b>Contract Services</b>            |                    |                    |                  |                  |                    |
| Project Deliverables                | \$110,000          | \$0                | \$0              | \$0              | \$110,000          |
| Other IT Services                   | \$404,009          | \$0                | \$0              | \$0              | \$404,009          |
| Contingency                         | \$20,000           | \$20,000           |                  |                  | \$40,000           |
| <b>Total</b>                        | <b>\$3,464,729</b> | <b>\$2,950,720</b> | <b>\$0</b>       | <b>\$0</b>       | <b>\$6,375,449</b> |
| <b>Recurring Maintenance Budget</b> |                    |                    |                  |                  |                    |
| Cost Elements                       | FY 22–23           | FY 23 –24          | FY 24–25         | FY 25–26         | Totals             |
| Maintenance Expenses                | \$120,000          | \$120,000          | \$120,000        | \$120,000        | \$480,000          |
| <b>Total</b>                        | <b>\$120,000</b>   | <b>\$120,000</b>   | <b>\$120,000</b> | <b>\$120,000</b> | <b>\$480,000</b>   |

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

The Breath Alcohol Test System is the central repository for tracking of breath test information for the State of Florida. The architecture will be a cloud-based solution operating on the NLETS data center. The COBRA software solution will remain as a web-based application.

| Years                   | 2018   | 2019   | 2020   | 2021   | 2022   |
|-------------------------|--------|--------|--------|--------|--------|
| Breath Test Instruments | 504    | 509    | 523    | 544    | 551    |
| Breath Tests Performed  | 30,138 | 31,045 | 26,041 | 29,764 | 30,182 |
| Breath Test Operators   | 6,862  | 6,612  | 6,344  | 6,078  | 6,003  |
| Agency Inspectors       | 564    | 568    | 563    | 529    | 533    |
| Breath Test Instructors | 74     | 75     | 72     | 73     | 71     |

## VII. Schedule IV-B Project Management Planning

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

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

### **Project Scope**

The scope of this project is to:

Replace the current system with an instrument and solution that provides new technology.

- Ethernet capabilities
- 4 infrared wavelengths for breath sample analysis
- USB Printers
- Touchscreen
- Bar code scanners

Design and development the new instrument and solution

Rule Change and approvals for the new instrument and solution

Purchase new instruments for law enforcement agencies

Training curriculum update and approvals

Train the users (end/technical users)

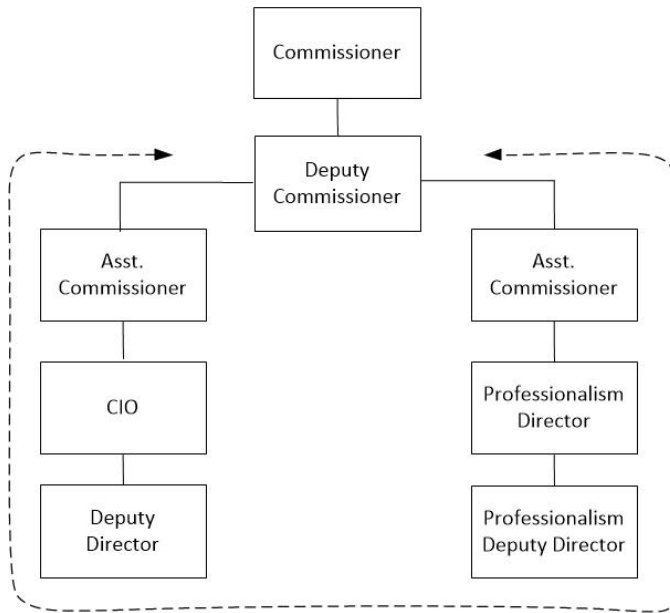
Register and issue the instruments to law enforcement agencies

### **Project Organization & Governance**

The Evidential Breath Test Instrument and Solution Project organization will include agency Executive Management, a Project Steering Committee (PSC), a Project Manager, the Project Team, and the Project Management Office. FDLE subject matter experts and other groups will provide additional support. Each group performs a particular role for the project and is comprised of members of Alcohol Test Program, Information Technology Services and FDLE leadership. The project organization is shown below.

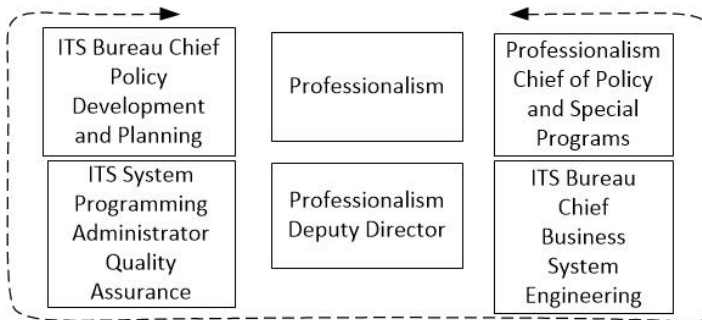


**SCHEDULE IV-B FOR ALCOHOL TESTING PROGRAM – NEW BREATH TEST INSTRUMENT**



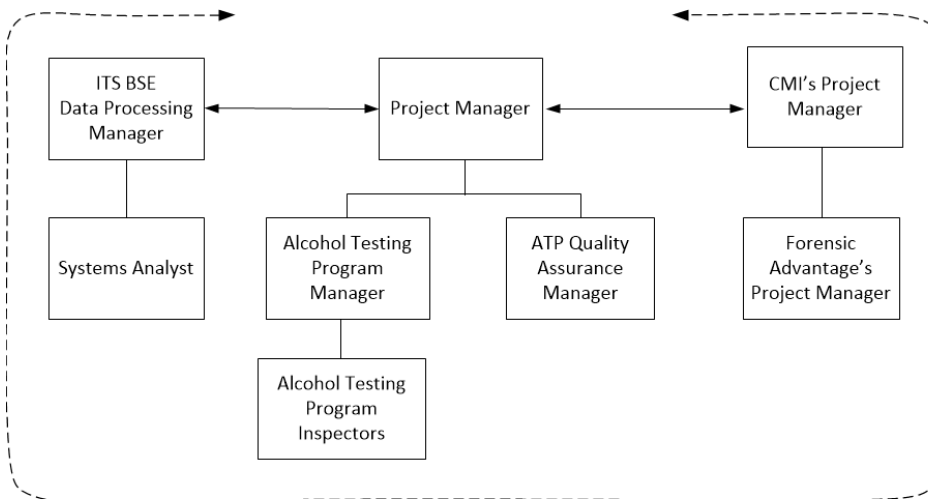
**Executive Leadership** provides guidance to the Project Steering Committee when project decisions cannot be resolved.

**Executive Leadership**



**Project Steering Committee (PSC)** monitors progress, risks, and issues, and provides guidance and support to the Project Manager. They make project decisions that impact scope, schedule, and budget.

**Project Steering Committee**



**Project Team** members are charged with achieving objectives of the project.

**Project Team**

### **FDLE Executive Leadership**

The Executive Leadership consists of the Assistant Commissioners, Professionalism Director (the project sponsor), Professionalism Deputy Director, Chief Information Officer (CIO), and the Information Technology Services Deputy Director. Executive Leadership provides guidance on project decisions that impact scope, schedule, and budget.

### **Project Steering Committee**

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

A status report is prepared for each meeting and is distributed to each attendee. Minutes are taken during each meeting and made available to the attendees. Composition of the Steering Committee will be determined at a later date.

### **Project Management Office**

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

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

### **FDLE Project Team**

The Project Team members are dedicated project resources that have been selected to achieve the goals of the project. These members consist of contractors that report to the PM and are responsible for the day-to-day tasks associated with the project. The Project Team is led by the PM, and consists of a Data Processing Manager, Systems Analyst, Alcohol Testing Program Manager, Alcohol Testing Program Quality Assurance Manager, Alcohol Testing Program Inspectors, CMI's Project Manager and Forensic Advantage Project Manager.

### **Project Schedule Management**

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

dependencies and durations. Some schedules are created in a MS Word® table or in an MS Excel® spreadsheet, in which case the planned dates are manually calculated by the PM.

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

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

### **Schedule Maintenance**

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

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

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

### **Project Cost Management**

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

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

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

### **Project Change Management**

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

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

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

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

### **Risk Management**

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

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

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

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

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

### **Issue Management**

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

### **Quality Management**

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

**SCHEDULE IV-B FOR ALCOHOL TESTING PROGRAM – NEW BREATH TEST INSTRUMENT**

| <b>Quality Assurance Processes</b>           |  |   |
|--|--|---|
| <b>Topic</b>                                 | <b>Description</b>   | <b>Frequency</b>  |
| Quality Reviews                              | The FDLE Project Team will review and assess the overall quality of each deliverable. The Project Team evaluates each deliverable prior to delivery to the Project Steering Committee for approval. The Project Team performs quality reviews on deliverables by: <ol style="list-style-type: none"> <li>1. Performing reviews of all created documentation for the project prior to release/publishing.</li> <li>2. Reviewing conformity to requirements for all deliverables by the vendor.</li> <li>3. Discussing quality during each weekly team meeting.</li> </ol> | Throughout Project  |
| Skilled Staff                                | Using skilled staff for the Project Team will directly affect the quality of the deliverables produced. Skilled staff should have the knowledge, skills, and experience required to undertake the specific task or tasks allocated in the Project Plan with minimal training in order to achieve the level of quality desired. Hired Project Team members will assure quality by: <ol style="list-style-type: none"> <li>1. Having a satisfactory level of experience in similar projects for their job duties.</li> </ol>   | Throughout Project  |
| Project, Contract, and System Change Control | A clear project change control process ensures the level of quality is not impacted for any deliverable. The Project Manager and the vendor will use the established project change control process to assure quality.   | When changes in scope, contract, or system are identified                   |
| Project Management                           | The Project Manager will ensure consistent application of project management processes and techniques by both the FDLE Project Team.   | Throughout Project  |
| Requirements Definition                      | A well-defined set of requirements provides the vendor with a clear understanding of what they have to achieve in order to deliver customer satisfaction. Detailed business requirements are used during the procurement effort. Once a vendor is selected, a requirements traceability effort is used to track system requirements and those requirements are used to complete the project. The Project Team and vendor will assure all system requirements are documented so there are no questions or vagueness in what the requirement attempts to accomplish.       | During development of any requirements (initial or through change control)  |
| Mapping of Requirements                      | The Project Team will map all requirements to work packages to assure quality of the delivered product and compliance with the requirements; the Project Manager will verify and validate.   | During development reviews, functional testing, and user acceptance testing |

**SCHEDULE IV-B FOR ALCOHOL TESTING PROGRAM – NEW BREATH TEST INSTRUMENT**

| <b>Quality Assurance Processes</b>          |   |   |
|---|---|---|
| <b>Topic</b>                                | <b>Description</b>  | <b>Frequency</b>  |
| Document Standards                          | <p>The FDLE Project Team will use templates for Microsoft Office products to ensure that all documentation follows the same layout. Each document will go through team reviews sufficient to assure quality prior to submission to the customer or to the Project Steering Committee. The vendor is expected to follow the same method to ensure all documentation provided is consistent with previously delivered documents. The FDLE Project Team will review all delivered vendor documentation prior to release to the Steering Committee.</p> <p>In addition to templates, the FDLE Project Team will ensure that all documentation complies with established document standards, established version control, and requirements. The Project Team will also ensure that all documentation is accurate and timely. For example, reports should identify potential problems early so they can be avoided or resolved.</p> | During the creation of any document deliverable             |
| Testing                                     | The team will map all system requirements to system functionality for functional and user acceptance testing. The test cases and system will also have adequate sample record data sufficient for determining level of compliance with quality. The Project Team will verify and validate.  | During development, functional, and user acceptance testing |
| FDLE Team Peer Reviews                      | <p>The FDLE Project Team will perform peer reviews on each other’s deliverables by:</p> <ol style="list-style-type: none"> <li>1. Performing team reviews of all deliverables for the project prior to release/publishing to the end users.</li> <li>2. Discussing quality at every review and during each weekly team meeting.</li> </ol>  | Throughout Project  |
| Inspection and Verification of Deliverables | The Project Manager is responsible for ensuring that project deliverables are inspected at the appropriate time, by qualified staff, and documented. Then the Project Manager reports to the Project Steering Committee with a recommendation regarding acceptance.   | Throughout the Project                                      |

**Procurement Management**

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

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

**Communications Management**

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

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

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

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

Stakeholder management will incorporate into the Communications Plan.

### **Organizational Change Management**

Internal (FDLE) users of the Breath Alcohol Test solution will experience minimal business process changes during this period. This project will introduce new technology and tools to create, store and manage breath test records. FDLE will employ a range of informational, mentoring, and training efforts to assist members with the new breath test instrument and solution.

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

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

## VIII. Appendices

Appendix A – Standards and Definitions

Appendix B – Cost-Benefit Analysis Worksheets

Appendix C – Risk Assessment Worksheets

Appendix D – Estimated Project Schedule



Appendix A – Standards and Definitions

1. **Chapter 60GG-2, STATE OF FLORIDA CYBERSECURITY STANDARDS**  
<https://www.flrules.org/gateway/ChapterHome.asp?Chapter=60GG-2>
2. **Chapter 60GG-1, State of Florida Project Management and Oversight**  
<https://www.flrules.org/gateway/ChapterHome.asp?Chapter=60GG-1>
3. **Chapter 60GG-3, Data Center Operations**  
<https://www.flrules.org/gateway/ChapterHome.asp?Chapter=60GG-3>
4. **Chapter 60GG-4, Cloud Computing**  
<https://www.flrules.org/gateway/ChapterHome.asp?Chapter=60GG-4>
5. **Chapter 60GG-5, State of Florida Enterprise Architecture**  
<https://www.flrules.org/gateway/ChapterHome.asp?Chapter=60GG-5>
6. **CJIS Security Policy**  
[Criminal Justice Information Services \(CJIS\) Security Policy \(pa.gov\)](#)
7. **United States Rehabilitation Act – Section 508**  
[Manage an IT Accessibility/508 Program | Section508.gov](#)

Appendix B – Cost-Benefit Analysis Worksheets

See additional documents

Appendix C – Risk Assessment Worksheets

See additional documents

Appendix D – Estimated Project Schedule

See additional documents

CBAForm 1 - Net Tangible Benefits

|        |                                       |         |  |
|--------|---------------------------------------|---------|--|
| Agency | Florida Department of Law Enforcement | Project | Alcohol Testing Program-<br>New Breath Test<br>Instrumentation |
|--------|---------------------------------------|---------|--|

| 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<br><i>(Recurring Costs Only -- No Project Costs)</i>   | FY 2024-25                    |                                |  | FY 2025-26                    |                                |  | FY 2026-27                    |                                |  | FY 2027-28                    |  |  | FY 2028-29                    |                                |  |
|   | (a)<br>Existing Program Costs | (b)<br>Operational Cost Change | (c) = (a)+(b)<br>New Program Costs resulting from Proposed Project | (a)<br>Existing Program Costs | (b)<br>Operational Cost Change | (c) = (a) + (b)<br>New Program Costs resulting from Proposed Project | (a)<br>Existing Program Costs | (b)<br>Operational Cost Change | (c) = (a) + (b)<br>New Program Costs resulting from Proposed Project | (a)<br>Existing Program Costs | (b)<br>Cost Change Operational Cost Change | (c) = (a) + (b)<br>New Program Costs resulting from Proposed Project | (a)<br>Existing Program Costs | (b)<br>Operational Cost Change | (c) = (a) + (b)<br>New Program Costs resulting from Proposed Project |
| <b>A. Personnel Costs -- Agency-Managed Staff</b>   | \$160,000                     | \$0                            | \$160,000  | \$160,000                     | \$0                            | \$160,000  | \$160,000                     | \$0                            | \$160,000  | \$160,000                     | \$0  | \$160,000  | \$160,000                     | \$0                            | \$160,000  |
| <b>A.b Total Staff</b>  | 1.00                          | 0.00                           | 1.00   | 1.00                          | 0.00                           | 1.00   | 1.00                          | 0.00                           | 1.00   | 1.00                          | 0.00                                       | 1.00   | 1.00                          | 0.00                           | 1.00   |
| A-1.a. State FTEs (Salaries & Benefits)   | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0  | \$0  | \$0                           | \$0                            | \$0  |
| A-1.b. State FTEs (#)   | 0.00                          | 0.00                           | 0.00   | 0.00                          | 0.00                           | 0.00   | 0.00                          | 0.00                           | 0.00   | 0.00                          | 0.00                                       | 0.00   | 0.00                          | 0.00                           | 0.00   |
| A-2.a. OPS Staff (Salaries)   | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0  | \$0  | \$0                           | \$0                            | \$0  |
| A-2.b. OPS (#)  | 0.00                          | 0.00                           | 0.00   | 0.00                          | 0.00                           | 0.00   | 0.00                          | 0.00                           | 0.00   | 0.00                          | 0.00                                       | 0.00   | 0.00                          | 0.00                           | 0.00   |
| A-3.a. Staff Augmentation (Contract Cost)   | \$160,000                     | \$0                            | \$160,000  | \$160,000                     | \$0                            | \$160,000  | \$160,000                     | \$0                            | \$160,000  | \$160,000                     | \$0  | \$160,000  | \$160,000                     | \$0                            | \$160,000  |
| A-3.b. Staff Augmentation (# of Contractors)  | 1.00                          | 0.00                           | 1.00   | 1.00                          | 0.00                           | 1.00   | 1.00                          | 0.00                           | 1.00   | 1.00                          | 0.00                                       | 1.00   | 1.00                          | 0.00                           | 1.00   |
| <b>B. Application Maintenance Costs</b>   | \$4,000                       | \$120,000                      | \$124,000  | \$4,000                       | \$120,000                      | \$124,000  | \$4,000                       | \$120,000                      | \$124,000  | \$4,000                       | \$120,000                                  | \$124,000  | \$4,000                       | \$120,000                      | \$124,000  |
| B-1. Managed Services (Staffing)  | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0  | \$0  | \$0                           | \$0                            | \$0  |
| B-2. Hardware   | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0  | \$0  | \$0                           | \$0                            | \$0  |
| B-3. Software   | \$4,000                       | \$120,000                      | \$124,000  | \$4,000                       | \$120,000                      | \$124,000  | \$4,000                       | \$120,000                      | \$124,000  | \$4,000                       | \$120,000                                  | \$124,000  | \$4,000                       | \$120,000                      | \$124,000  |
| B-4. Other <i>Specify</i>   | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0  | \$0  | \$0                           | \$0                            | \$0  |
| <b>C. Data Center Provider Costs</b>  | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0  | \$0  | \$0                           | \$0                            | \$0  |
| C-1. Managed Services (Staffing)  | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0  | \$0  | \$0                           | \$0                            | \$0  |
| C-2. Infrastructure   | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0  | \$0  | \$0                           | \$0                            | \$0  |
| C-3. Network / Hosting Services   | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0  | \$0  | \$0                           | \$0                            | \$0  |
| C-4. Disaster Recovery  | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0  | \$0  | \$0                           | \$0                            | \$0  |
| C-5. Other <i>Specify</i>   | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0  | \$0  | \$0                           | \$0                            | \$0  |
| <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>   | \$164,000                     | \$120,000                      | \$284,000  | \$164,000                     | \$120,000                      | \$284,000  | \$164,000                     | \$120,000                      | \$284,000  | \$164,000                     | \$120,000                                  | \$284,000  | \$164,000                     | \$120,000                      | \$284,000  |
| <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>   |                               | (\$120,000)                    |  |                               | (\$120,000)                    |  |                               | (\$120,000)                    |  |                               | (\$120,000)                                |  |                               | (\$120,000)                    |  |

| CHARACTERIZATION OF PROJECT BENEFIT ESTIMATE -- CBAForm 1B |                     |               |
|--|---------------------|---------------|
| Choose Type  | Estimate Confidence | Enter % (+/-) |
| Detailed/Rigorous  | Confidence Level    |               |
| Order of Magnitude   | Confidence Level    |               |
| Placeholder  | Confidence Level    |               |

| A  | B  |                                       | C   | D   | E            | F                   |                  | G           | H        | I                | J           | K        |                  | L           | M                                  | N                | O           | P        | Q                | R           | S            | T                   |  |  |  |  |
|----|--|---------------------------------------|---|---|--------------|---------------------|------------------|-------------|----------|------------------|-------------|----------|------------------|-------------|------------------------------------|------------------|-------------|----------|------------------|-------------|--------------|---------------------|--|--|--|--|
| 1  | Florida Department of Law Enforcement  |                                       | Alcohol Testing Program-New Breath Test Instrumentation |   |              |                     |                  |             |          |                  |             |          |                  |             | CBAForm 2A Baseline Project Budget |                  |             |          |                  |             |              |                     |  |  |  |  |
| 2  | Costs entered into each row are mutually exclusive. Insert rows for detail and modify appropriation categories as necessary, but do not remove any of the provided project cost elements. Reference vendor quotes in the Item Description where applicable. Include only one-time project costs in this table. Include any recurring costs in CBA Form 1A. |                                       |   |   |              |                     |                  |             |          |                  |             |          |                  |             |                                    |                  |             |          |                  |             |              |                     |  |  |  |  |
| 3  |  |                                       |   | \$ -  | \$ 2,930,720 |                     | \$ -             |             | \$ -     |                  | \$ -        |          | \$ -             |             | \$ -                               |                  | \$ -        |          | \$ -             |             | \$ 2,930,720 |                     |  |  |  |  |
| 4  | Item Description<br><i>(remove guidelines and annotate entries here)</i>   | 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        | \$ -     | \$ -             | 0.00        | \$ -         | \$ -                |  |  |  |  |
| 6  | Costs for all OPS employees working on the project.  | OPS                                   | OPS   | \$ -  | 0.00         | \$ -                | \$ -             | 0.00        | \$ -     | \$ -             | 0.00        | \$ -     | \$ -             | 0.00        | \$ -                               | \$ -             | 0.00        | \$ -     | \$ -             | 0.00        | \$ -         | \$ -                |  |  |  |  |
| 7  | Staffing costs for personnel using Time & Expense.   | Staff Augmentation                    | Contracted Services                                     | \$ -  | 0.00         | \$ -                | \$ -             | 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        | \$ -     | \$ -             | 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        | \$ -     | \$ -             | 0.00        | \$ -         | \$ -                |  |  |  |  |
| 10 | Staffing costs for all professional services not included in other categories.   | Consultants/Contractors               | Contracted Services                                     | \$ -  | 0.00         | \$ -                | \$ -             | 0.00        | \$ -     | \$ -             | 0.00        | \$ -     | \$ -             | 0.00        | \$ -                               | \$ -             | 0.00        | \$ -     | \$ -             | 0.00        | \$ -         | \$ -                |  |  |  |  |
| 11 | Separate requirements analysis and feasibility study procurements.   | Project Planning/Analysis             | Contracted Services                                     | \$ -  |              | \$ -                | \$ -             |             | \$ -     | \$ -             |             | \$ -     | \$ -             |             | \$ -                               | \$ -             |             | \$ -     | \$ -             |             | \$ -         | \$ -                |  |  |  |  |
| 12 | Hardware purchases not included in data center services.   | Hardware                              | OCO   | \$ -  |              | \$ 2,930,720        | \$ -             |             | \$ -     | \$ -             |             | \$ -     | \$ -             |             | \$ -                               | \$ -             |             | \$ -     | \$ -             |             | \$ -         | \$ 2,930,720        |  |  |  |  |
| 13 | Commercial software purchases and licensing costs.   | Commercial Software                   | Contracted Services                                     | \$ -  |              | \$ -                | \$ -             |             | \$ -     | \$ -             |             | \$ -     | \$ -             |             | \$ -                               | \$ -             |             | \$ -     | \$ -             |             | \$ -         | \$ -                |  |  |  |  |
| 14 | Professional services with fixed-price costs (i.e. software development, installation, project documentation)  | Project Deliverables                  | Contracted Services                                     | \$ -  |              | \$ -                | \$ -             |             | \$ -     | \$ -             |             | \$ -     | \$ -             |             | \$ -                               | \$ -             |             | \$ -     | \$ -             |             | \$ -         | \$ -                |  |  |  |  |
| 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   | \$ -  |              | \$ -                | \$ -             |             | \$ -     | \$ -             |             | \$ -     | \$ -             |             | \$ -                               | \$ -             |             | \$ -     | \$ -             |             | \$ -         | \$ -                |  |  |  |  |
| 21 | <b>Total</b>   |                                       |   | \$ -  | <b>0.00</b>  | <b>\$ 2,930,720</b> | \$ -             | <b>0.00</b> | \$ -     | \$ -             | <b>0.00</b> | \$ -     | \$ -             | <b>0.00</b> | \$ -                               | \$ -             | <b>0.00</b> | \$ -     | \$ -             | <b>0.00</b> | \$ -         | <b>\$ 2,930,720</b> |  |  |  |  |

CBAForm 2 - Project Cost Analysis

|  |  |
|--|--|
| Agency <u>la Department of Law Enforce</u> | Project <u>esting Program-New Breath Test Instru</u> |
|--|--|

| PROJECT COST SUMMARY  | PROJECT COST SUMMARY (from CBAForm 2A) |               |               |               |               | TOTAL       |
|---|--|---------------|---------------|---------------|---------------|-------------|
|   | FY<br>2024-25                          | FY<br>2025-26 | FY<br>2026-27 | FY<br>2027-28 | FY<br>2028-29 |             |
| TOTAL PROJECT COSTS (*)   | \$2,930,720                            | \$0           | \$0           | \$0           | \$0           | \$2,930,720 |
| CUMULATIVE PROJECT COSTS<br><small>(includes Current &amp; Previous Years' Project-Related Costs)</small> | \$2,930,720                            | \$2,930,720   | \$2,930,720   | \$2,930,720   | \$2,930,720   |             |
| Total Costs are carried forward to CBAForm3 Project Investment Summary worksheet.                         |  |               |               |               |               |             |

| PROJECT FUNDING SOURCES                | PROJECT FUNDING SOURCES - CBAForm 2B |               |               |               |               | TOTAL       |
|--|--------------------------------------|---------------|---------------|---------------|---------------|-------------|
|  | FY<br>2024-25                        | FY<br>2025-26 | FY<br>2026-27 | FY<br>2027-28 | FY<br>2028-29 |             |
| General Revenue                        | \$3,070,720                          | \$0           | \$0           | \$0           | \$0           | \$3,070,720 |
| 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                       | \$3,070,720                          | \$0           | \$0           | \$0           | \$0           | \$3,070,720 |
| CUMULATIVE INVESTMENT                  | \$3,070,720                          | \$3,070,720   | \$3,070,720   | \$3,070,720   | \$3,070,720   |             |

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

CBAForm 3 - Project Investment Summary

|        |  |         |                                |
|--------|--|---------|--------------------------------|
| Agency | <u>Florida Department of Law Enforcement</u> | Project | <u>Program-New Breath Test</u> |
|--------|--|---------|--------------------------------|

| COST BENEFIT ANALYSIS -- CBAForm 3A        |               |               |               |               |               |                        |
|--|---------------|---------------|---------------|---------------|---------------|------------------------|
|  | FY<br>2024-25 | FY<br>2025-26 | FY<br>2026-27 | FY<br>2027-28 | FY<br>2028-29 | TOTAL FOR ALL<br>YEARS |
| Project Cost                               | \$2,930,720   | \$0           | \$0           | \$0           | \$0           | \$2,930,720            |
| Net Tangible Benefits                      | (\$120,000)   | (\$120,000)   | (\$120,000)   | (\$120,000)   | (\$120,000)   | (\$600,000)            |
| Return on Investment                       | (\$3,050,720) | (\$120,000)   | (\$120,000)   | (\$120,000)   | (\$120,000)   | (\$3,530,720)          |
| Year to Year Change in Program<br>Staffing | 0             | 0             | 0             | 0             | 0             |                        |

| RETURN ON INVESTMENT ANALYSIS -- CBAForm 3B |               |   |
|---|---------------|---|
| Payback Period (years)                      | NO PAYBACK    | Payback Period is the time required to recover the investment costs of the project.             |
| Breakeven Fiscal Year                       | NO PAYBACK    | Fiscal Year during which the project's investment costs are recovered.                          |
| Net Present Value (NPV)                     | (\$3,392,513) | 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<br>Year                                  | FY<br>2024-25 | FY<br>2025-26 | FY<br>2026-27 | FY<br>2027-28 | FY<br>2028-29 |
| Cost of Capital                                 | 2.90%         | 3.10%         | 3.30%         | 3.40%         | 3.50%         |

|    |   |           |   |  |   |                  |                      |                          |  |   |  |
|----|---|-----------|---|--|---|------------------|----------------------|--------------------------|--|---|--|
|    | B   | C         | D   | E  | F | G                | H                    |                          |  |   |  |
| 3  | <b>Project</b>  |           | <i>Evidential Breath Test Instrument and Solution</i> |  |   |                  |                      |                          |  |   |  |
| 4  |   |           |   |  |   |                  |                      |                          |  |   |  |
| 5  | <b>Agency</b>   |           | <i>Florida Department of Law Enforcement</i>          |  |   |                  |                      |                          |  |   |  |
| 6  | <b>FY 2024-25 LBR Issue Code:</b>   |           |   | <b>FY 2024-25 LBR Issue Title:</b>                             |   |                  |                      |                          |  |   |  |
| 7  | <i>Issue Code<br/>3621000</i>   |           |   | <i>Alcohol Testing Program-New Breath Test Instrumentation</i> |   |                  |                      |                          |  |   |  |
| 8  | <b>Risk Assessment Contact Info (Name, Phone #, and E-mail Address):</b>  |           |   |  |   |                  |                      |                          |  |   |  |
| 9  | <i>Becky Bezemek, 850-410-8459, beckybezemek@fdle.state.fl.us</i>   |           |   |  |   |                  |                      |                          |  |   |  |
| 10 | <b>Executive Sponsor</b>  |           | <i>Felipe Williams</i>                                |  |   |                  |                      |                          |  |   |  |
| 11 | <b>Project Manager</b>  |           | <i>Tina King</i>                                      |  |   |                  |                      |                          |  |   |  |
| 12 | <b>Prepared By</b>  |           | <i>Tina King/Pam Bullard</i>                          |  |   | <i>6/19/2023</i> |                      |                          |  |   |  |
| 14 | <b>Risk Assessment Summary</b>  |           |   |  |   |                  |                      |                          |  |   |  |
| 15 | <div style="border: 1px solid black; padding: 10px;"> <table border="1" style="width: 100%; height: 100%; border-collapse: collapse;"> <tr> <td style="width: 50%;"></td> <td style="width: 50%;"></td> </tr> <tr> <td style="text-align: center; vertical-align: middle;">◆</td> <td></td> </tr> </table> </div> |           |   |  |   |                  |                      |                          |  | ◆ |  |
|    |   |           |   |  |   |                  |                      |                          |  |   |  |
| ◆  |   |           |   |  |   |                  |                      |                          |  |   |  |
| 16 |   |           |   |  |   |                  |                      |                          |  |   |  |
| 17 |   |           |   |  |   |                  |                      | Most Aligned             |  |   |  |
| 18 |   |           |   |  |   |                  |                      |                          |  |   |  |
| 19 |   |           |   |  |   |                  |                      | <b>Business Strategy</b> |  |   |  |
| 20 |   |           |   |  |   |                  |                      |                          |  |   |  |
| 21 |   |           |   |  |   |                  |                      |                          |  |   |  |
| 22 |   |           |   |  |   |                  |                      |                          |  |   |  |
| 23 |   |           |   |  |   |                  |                      |                          |  |   |  |
| 24 |   |           |   |  |   |                  |                      |                          |  |   |  |
| 25 |   |           |   |  |   |                  |                      |                          |  |   |  |
| 26 |   |           |   |  |   |                  |                      |                          |  |   |  |
| 27 |   |           |   |  |   |                  |                      |                          |  |   |  |
| 28 |   |           |   |  |   |                  |                      |                          |  |   |  |
| 29 | Least Aligned   |           |   |  |   |                  |                      |                          |  |   |  |
| 30 | Least Risk  | Most Risk |   |  |   |                  |                      |                          |  |   |  |
| 31 | <b>Level of Project Risk</b>  |           |   |  |   |                  |                      |                          |  |   |  |
| 32 |   |           |   |  |   |                  |                      |                          |  |   |  |
| 34 | <b>Project Risk Area Breakdown</b>  |           |   |  |   |                  |                      |                          |  |   |  |
| 35 | <b>Risk Assessment Areas</b>  |           |   |  |   |                  | <i>Risk Exposure</i> |                          |  |   |  |
| 36 | <b>Strategic Assessment</b>   |           |   |  |   |                  | <b>HIGH</b>          |                          |  |   |  |
| 37 |   |           |   |  |   |                  |                      |                          |  |   |  |
| 38 | <b>Technology Exposure Assessment</b>   |           |   |  |   |                  | LOW                  |                          |  |   |  |
| 39 |   |           |   |  |   |                  |                      |                          |  |   |  |
| 40 | <b>Organizational Change Management Assessment</b>  |           |   |  |   |                  | LOW                  |                          |  |   |  |
| 41 |   |           |   |  |   |                  |                      |                          |  |   |  |
| 42 | <b>Communication Assessment</b>   |           |   |  |   |                  | LOW                  |                          |  |   |  |
| 43 |   |           |   |  |   |                  |                      |                          |  |   |  |
| 44 | <b>Fiscal Assessment</b>  |           |   |  |   |                  | MEDIUM               |                          |  |   |  |
| 45 |   |           |   |  |   |                  |                      |                          |  |   |  |
| 46 | <b>Project Organization Assessment</b>  |           |   |  |   |                  | MEDIUM               |                          |  |   |  |
| 47 |   |           |   |  |   |                  |                      |                          |  |   |  |
| 48 | <b>Project Management Assessment</b>  |           |   |  |   |                  | MEDIUM               |                          |  |   |  |
| 49 |   |           |   |  |   |                  |                      |                          |  |   |  |
| 50 | <b>Project Complexity Assessment</b>  |           |   |  |   |                  | <b>HIGH</b>          |                          |  |   |  |
| 51 |   |           |   |  |   |                  |                      |                          |  |   |  |
| 52 |   |           |   |  |   |                  |                      |                          |  |   |  |
| 53 | <b>Overall Project Risk</b>   |           |   |  |   |                  | <b>HIGH</b>          |                          |  |   |  |

|    | B   | C   | D  | E   |
|----|---|---|--|---|
| 1  | Agency: Florida Department of Law Enforcement |   | Project: Evidential Breath Test Instrument and Solution  |   |
| 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  | 81% to 100% -- All or nearly all defined and documented     |
| 18 |   |   | 41% to 80% -- Some defined and documented  |   |
| 19 |   |   | 81% to 100% -- All or nearly all defined and documented  |   |
| 20 | 1.06  | Are all needed changes in law, rule, or policy identified and documented?   | No changes needed  | Changes are identified in concept only                      |
| 21 |   |   | Changes unknown  |   |
| 22 |   |   | Changes are identified in concept only   |   |
| 23 |   |   | Changes are identified and documented  |   |
| 24 |   |   | Legislation or proposed rule change is drafted   |   |
| 25 | 1.07  | Are any project phase or milestone completion dates fixed by outside factors, e.g., state or federal law or funding restrictions?                     | Few or none  | All or nearly all   |
| 26 |   |   | Some   |   |
| 27 |   |   | All or nearly all  |   |
| 28 | 1.08  | What is the external (e.g. public) visibility of the proposed system or project?  | Minimal or no external use or visibility   | Moderate external use or visibility                         |
| 29 |   |   | Moderate external use or visibility  |   |
| 30 |   |   | Extensive external use or visibility   |   |
| 31 | 1.09  | What is the internal (e.g. state agency) visibility of the proposed system or project?  | Multiple agency or state enterprise visibility   | Multiple agency or state enterprise visibility              |
| 32 |   |   | Single agency-wide use or visibility   |   |
| 33 |   |   | Use or visibility at division and/or bureau level only   |   |
| 34 | 1.10  | Is this a multi-year project?   | Greater than 5 years   | Between 3 and 5 years                                       |
| 35 |   |   | Between 3 and 5 years  |   |
| 36 |   |   | Between 1 and 3 years  |   |
| 37 |   |   | 1 year or less   |   |

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



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

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

|    | B   | C  | D   | E   |
|----|---|--|---|---|
| 1  | Agency: Florida Department of Law Enforcement |  | Project: Evidential Breath Test Instrument and Solution   |   |
| 3  | Section 5 -- Fiscal Area                      |  |   |   |
| 4  | #   | Criteria   | Values  | Answer  |
| 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)  | Firm Fixed Price (FFP)  |
| 42 |   |  | Firm Fixed Price (FFP)  |   |
| 43 |   |  | Combination FFP and T&E   |   |
| 44 | 5.13  | What is the planned approach for procuring hardware and software for the project?  | Timing of major hardware and software purchases has not yet been determined                           | Just-in-time purchasing of hardware and software is documented in the project schedule                |
| 45 |   |  | Purchase all hardware and software at start of project to take advantage of one-time discounts        |   |
| 46 |   |  | Just-in-time purchasing of hardware and software is documented in the project schedule                |   |
| 47 | 5.14  | Has a contract manager been assigned to this project?  | No contract manager assigned  | Contract manager assigned is not the procurement manager or the project manager                       |
| 48 |   |  | Contract manager is the procurement manager   |   |
| 49 |   |  | Contract manager is the project manager   |   |
| 50 |   |  | Contract manager assigned is not the procurement manager or the project manager                       |   |
| 51 | 5.15  | Has equipment leasing been considered for the project's large-scale computing purchases?   | Yes   | No  |
| 52 |   |  | No  |   |
| 53 | 5.16  | Have all procurement selection criteria and outcomes been clearly identified?  | No selection criteria or outcomes have been identified  | Some selection criteria and outcomes have been defined and documented                                 |
| 54 |   |  | Some selection criteria and outcomes have been defined and documented                                 |   |
| 55 |   |  | All or nearly all selection criteria and expected outcomes have been defined and documented           |   |
| 56 | 5.17  | Does the procurement strategy use a multi-stage evaluation process to progressively narrow the field of prospective vendors to the single, best qualified candidate? | Procurement strategy has not been developed   | Multi-stage evaluation and proof of concept or prototype planned/used to select best qualified vendor |
| 57 |   |  | Multi-stage evaluation not planned/used for procurement   |   |
| 58 |   |  | Multi-stage evaluation and proof of concept or prototype planned/used to select best qualified vendor |   |
| 59 | 5.18  | For projects with total cost exceeding \$10 million, did/will the procurement strategy require a proof of concept or prototype as part of the bid response?          | Procurement strategy has not been developed   | 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: Florida Department of Law Enforcement |  | Project: Evidential Breath Test Instrument and 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  | 2  |
| 14 |   |  | 2  |  |
| 15 |   |  | 1  |  |
| 16 | 6.05  | Has a project staffing plan specifying the number of required resources (including project team, program staff, and contractors) and their corresponding roles, responsibilities and needed skill levels been developed? | Needed staff and skills have not been identified   | Staffing plan identifying all staff roles, responsibilities, and skill levels have been documented             |
| 17 |   |  | Some or most staff roles and responsibilities and needed skills have been identified                           |  |
| 18 |   |  | Staffing plan identifying all staff roles, responsibilities, and skill levels have been documented             |  |
| 19 | 6.06  | Is an experienced project manager dedicated fulltime to the project?   | No experienced project manager assigned  | No, project manager is assigned 50% or less to project   |
| 20 |   |  | No, project manager is assigned 50% or less to project   |  |
| 21 |   |  | No, project manager assigned more than half-time, but less than full-time to project                           |  |
| 22 |   |  | Yes, experienced project manager dedicated full-time, 100% to project  |  |
| 23 | 6.07  | Are qualified project management team members dedicated full-time to the project   | None   | No, business, functional or technical experts dedicated more than half-time but less than full-time to project |
| 24 |   |  | No, business, functional or technical experts dedicated 50% or less to project                                 |  |
| 25 |   |  | No, business, functional or technical experts dedicated more than half-time but less than full-time to project |  |
| 26 |   |  | Yes, business, functional or technical experts dedicated full-time, 100% to project                            |  |
| 27 | 6.08  | Does the agency have the necessary knowledge, skills, and abilities to staff the project team with in-house resources?   | Few or no staff from in-house resources  | Mostly staffed from in-house resources   |
| 28 |   |  | Half of staff from in-house resources  |  |
| 29 |   |  | Mostly staffed from in-house resources   |  |
| 30 |   |  | Completely staffed from in-house resources   |  |
| 31 | 6.09  | Is agency IT personnel turnover expected to significantly impact this project?   | Minimal or no impact   | Minimal or no impact   |
| 32 |   |  | Moderate impact  |  |
| 33 |   |  | Extensive impact   |  |
| 34 | 6.10  | Does the project governance structure establish a formal change review and control board to address proposed changes in project scope, schedule, or cost?  | Yes  | Yes  |
| 35 |   |  | No   |  |
| 36 | 6.11  | Are all affected stakeholders represented by functional manager on the change review and control board?  | No board has been established  | Yes, all stakeholders are represented by functional manager  |
| 37 |   |  | No, only IT staff are on change review and control board   |  |
| 38 |   |  | No, all stakeholders are not represented on the board  |  |
| 39 |   |  | Yes, all stakeholders are represented by functional manager  |  |

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

|    | B   | C  | D  | E  |
|----|---|--|--|--|
| 1  | Agency: Florida Department of Law Enforcement |  | Project: Evidential Breath Test Instrument and 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  | 3 sites or fewer                                     |
| 13 |   |  | 3 sites or fewer   |  |
| 14 |   |  | More than 3 sites  |  |
| 15 | 8.04  | How many external contracting or consulting organizations will this project require?   | No external organizations  | 1 to 3 external organizations                        |
| 16 |   |  | 1 to 3 external organizations  |  |
| 17 |   |  | More than 3 external organizations   |  |
| 18 | 8.05  | What is the expected project team size?  | Greater than 15  | Greater than 15                                      |
| 19 |   |  | 9 to 15  |  |
| 20 |   |  | 5 to 8   |  |
| 21 |   |  | Less than 5  |  |
| 22 | 8.06  | How many external entities (e.g., other agencies, community service providers, or local government entities) will be impacted by this project or system? | More than 4  | More than 4  |
| 23 |   |  | 2 to 4   |  |
| 24 |   |  | 1  |  |
| 25 |   |  | None   |  |
| 26 | 8.07  | What is the impact of the project on state operations?   | Business process change in single division or bureau   | Statewide or multiple agency business process change |
| 27 |   |  | Agency-wide business process change  |  |
| 28 |   |  | Statewide or multiple agency business process change   |  |
| 29 | 8.08  | Has the agency successfully completed a similarly-sized project when acting as Systems Integrator?   | Yes  | Yes  |
| 30 |   |  | No   |  |
| 31 | 8.09  | What type of project is this?  | Infrastructure upgrade   | Infrastructure upgrade                               |
| 32 |   |  | Implementation requiring software development or purchasing commercial off the shelf (COTS) software |  |
| 33 |   |  | Business Process Reengineering   |  |
| 34 |   |  | Combination of the above   |  |
| 35 | 8.10  | Has the project manager successfully managed similar projects to completion?   | No recent experience   | Similar size and complexity                          |
| 36 |   |  | Lesser size and complexity   |  |
| 37 |   |  | Similar size and complexity  |  |
| 38 |   |  | Greater size and complexity  |  |
| 39 | 8.11  | Does the agency management have experience governing projects of equal or similar size and complexity to successful completion?                          | No recent experience   | Greater size and complexity                          |
| 40 |   |  | Lesser size and complexity   |  |
| 41 |   |  | Similar size and complexity  |  |
| 42 |   |  | Greater size and complexity  |  |







# SCHEDULE IV-B FOR MEPIC TECHNOLOGY UPGRADE

For Fiscal Year 2024-25



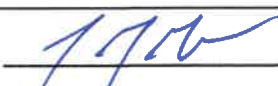
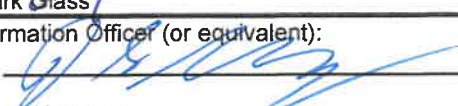
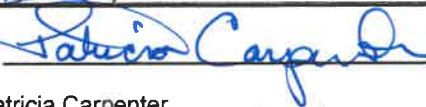
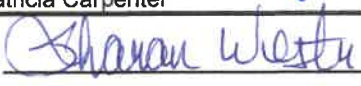

September 15, 2023

**FLORIDA DEPARTMENT OF LAW ENFORCEMENT**

## Contents

|       |   |    |
|-------|---|----|
| I.    | Schedule IV-B Cover Sheet.....  | 2  |
| II.   | Schedule IV-B Business Case – Strategic Needs Assessment .....                                | 3  |
| A.    | Background and Strategic Needs Assessment.....  | 3  |
| 1.    | Business Need.....  | 3  |
| 2.    | Business Objectives .....   | 3  |
| B.    | Baseline Analysis.....  | 5  |
| 1.    | Current Business Process(es) .....  | 5  |
| A.    | FDLE Processing.....  | 7  |
| 2.    | Assumptions and Constraints .....   | 10 |
| C.    | Proposed Business Process Requirements .....  | 11 |
| 1.    | Proposed Business Process Requirements.....   | 11 |
| 2.    | Business Solution Alternatives.....   | 12 |
| 3.    | Rationale for Selection.....  | 12 |
| 4.    | Recommended Business Solution .....   | 12 |
| D.    | Functional and Technical Requirements.....  | 13 |
| 1.    | Functional Requirements.....  | 13 |
| 2.    | Technical Requirements .....  | 13 |
| III.  | Success Criteria.....   | 14 |
| IV.   | Schedule IV-B Benefits Realization and Cost Benefit Analysis .....                            | 16 |
| A.    | Benefits Realization Table.....   | 16 |
| B.    | Cost Benefit Analysis (CBA) .....   | 18 |
| V.    | Schedule IV-B Major Project Risk Assessment.....  | 18 |
| VI.   | Schedule IV-B Technology Planning .....   | 19 |
| A.    | Current Information Technology Environment.....   | 19 |
| 1.    | Current System .....  | 19 |
| 2.    | Information Technology Standards .....  | 24 |
| B.    | Current Hardware and/or Software Inventory.....   | 25 |
| C.    | Proposed Technical Solution .....   | 27 |
| 1.    | Technical Solution Alternatives.....  | 27 |
| 2.    | Rationale for Selection.....  | 27 |
| 3.    | Recommended Technical Solution.....   | 27 |
| D.    | Proposed Solution Description .....   | 28 |
| 1.    | Summary Description of Proposed System .....  | 28 |
| 2.    | Resource and Summary Level Funding Requirements for Proposed Solution (if known).....         | 30 |
| E.    | Capacity Planning ( <i>historical and current trends versus projected requirements</i> )..... | 30 |
| VII.  | Schedule IV-B Project Management Planning .....   | 33 |
| VIII. | Appendices.....   | 33 |

### I. Schedule IV-B Cover Sheet

| Schedule IV-B Cover Sheet and Agency Project Approval   |   |
|---|---|
| Agency:<br>Florida Department of Law Enforcement  | Schedule IV-B Submission Date:<br>September 15, 2023  |
| Project Name:<br>MEPIC Technology Upgrade   | Is this project included in the Agency's LRPP?<br><input checked="" type="checkbox"/> Yes <input type="checkbox"/> No |
| FY 2024-25 LBR Issue Code: 3622000  | FY 2024-25 LBR Issue Title: MEPIC Technology Upgrade  |
| Agency Contact for Schedule IV-B (Name, Phone #, and E-mail address):<br>Becky Bezemek, 850-410-8459, <a href="mailto:beckybezemek@fdle.state.fl.us">beckybezemek@fdle.state.fl.us</a>  |   |
| 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:<br>   | Date:<br>10 Aug 23  |
| Printed Name: Mark Glass  |   |
| Agency Chief Information Officer (or equivalent):<br>   | Date:<br>8/14/23  |
| Printed Name: Joey Hornsby  |   |
| Budget Officer:<br>  | Date:<br>8/7/23   |
| Printed Name: Patricia Carpenter  |   |
| Planning Officer:<br>  | Date:<br>8/10/2023  |
| Printed Name: Sharon Wester   |   |
| Project Sponsor:<br>   | Date:<br>8/7/23   |
| Printed Name: Mike Phillips   |   |
| Schedule IV-B Preparers (Name, Phone #, and E-mail address):  |   |
| Business Need:  | Mike Phillips, 850-410-8320, <a href="mailto:mikephillips@fdle.state.fl.us">mikephillips@fdle.state.fl.us</a>         |
| Cost Benefit Analysis:  | Erica Wolaver, 850-410-8511, <a href="mailto:ericawolaver@fdle.state.fl.us">ericawolaver@fdle.state.fl.us</a>         |
| Risk Analysis:  | Becky Bezemek, 850-410-8459, <a href="mailto:beckybezemek@fdle.state.fl.us">beckybezemek@fdle.state.fl.us</a>         |
| Technology Planning:  | Becky Bezemek, 850-410-8459, <a href="mailto:beckybezemek@fdle.state.fl.us">beckybezemek@fdle.state.fl.us</a>         |
| Project Planning:   | Becky Bezemek, 850-410-8459, <a href="mailto:beckybezemek@fdle.state.fl.us">beckybezemek@fdle.state.fl.us</a>         |

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

### A. Background and Strategic Needs Assessment

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

#### 1. Business Need

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

In response to the concern for missing children in Florida, the 1982 Florida Legislature appropriated funds to the Florida Department of Law Enforcement for the establishment of the first state Missing Endangered Persons Information Clearinghouse (MEPIC) in the nation. MEPIC was officially established in 1983 and since then has served as a liaison between citizens, private organizations and law enforcement officials regarding missing endangered persons information.

FDLE’s MEPIC work unit provides 24 hours a day services to law enforcement agencies regarding missing and endangered child and adult cases. The MEPIC analysts are well-trained in the criteria legislatively required to issue alerts. They work with local law enforcement agencies to ensure the criteria are met for alert activation and provide training about services.

The MEPIC system issues alerts to assist in the search and recovery of the missing person. Presently, MEPIC is responsible for the administration and issuance of Florida’s AMBER, Missing Child, Silver, and Purple Alerts. MEPIC issues Blue Alerts in coordination with FDLE’s Florida Fusion Center because of the fast and broad outreach to public citizens and the already established communication channels. Cases are established in MEPIC and remain active until the missing person or Blue Alert suspect is found.

The current system was implemented in 2003 converted from a MS-Access database to a classic ASP application. The number of cases and circumstances of the cases (one person vs. multiple persons; vehicles involved, etc.), in the Clearinghouse has increased since its inception. FDLE has been legislatively required to add alert activation types and partnerships to the missing person Clearinghouse. FDLE added the functionality to support the legislation without programming funding using the existing application framework of classic ASP and the SQL database design from 2003.

The MEPIC system needs to be replaced with a database re-design and programming in newer technology with web screens that adhere to the current business needs rather than MEPIC analysts navigating many screens to issue time sensitive alerts, such as AMBER alerts. The screens need to provide information that would identify visually, thru business rule identification, some leads that may have gone unnoticed by manual inspection. The current system has so many screens with so many pieces of information, those visual cues that could be provided would still require manual inspection and memory to cross-reference. The goal is for technology to assist in the recovery of missing persons. The MEPIC system does not need to be constrained by its current database design and programming language which inhibits functionality.

#### 2. Business Objectives

In order to comply with Florida Statute 937.022 in protection of vulnerable citizens, the technology upgrade of the MEPIC System and all of its application components must support the following business objectives:

- Improve and streamline missing person alert activation steps when navigating web pages.
  - The current system is multiple screens and multiple steps.
- Be more intuitive and versatile for rapid development and deployment when additional alert types are legislatively required.
- Ensure the data collected during an alert activation is incrementally saved or available for entry off-line should there be a technical failure.

- Provide technical redundancy, where possible, in alert activations for communication to the public and partner agencies.
- Improve edits in a modernized programming language to ensure data quality for the volume of data collected and input manually during stressful activations.
- Expand communication channels to public citizens to take advantage of newer technologies such as posting on social media about missing persons or Blue Alert suspects.
- Develop a mobile-friendly flyer containing the missing person(s) or Blue Alert suspect(s) information so it is easily viewable on smart-phones and other mobile devices.
- Provide case management functionality for analyst workload analysis.
- Upgrade the interfaces to use newer technology (ex. web services or API's) to obtain or provide missing person or Blue Alert suspect information:
  - Florida's Crime Information Center (FCIC)
  - Florida Department of Transportation (FDOT)
  - Florida Lottery
  - Florida Department of Children and Families (DCF)
  - NCMEC
- Implement document management functionality to store all associated documents of a missing person with their case.
- Expand usage of FCIC to collect more information about missing persons in the MEPIC Maintenance Application.
- Automate checks for missing persons, such as driver license checks and credit checks.
- Expand the unidentified deceased capabilities to reflect the technology avenues that Medical Examiners and FDLE utilize to identify the person.
- Provide full system audit and expanded search capabilities.
- Improve investigative support services and tools for law enforcement agencies.
- Establish redundant fail-over solutions for the alert activations.
  - Missing person calls increase when a natural disaster, such as a hurricane or tornado devastates a region. Redundancy is needed with the database, communication channels to Everbridge, and storing active alert flyers.
- Provide better search and reporting capabilities for end-users.
- Develop methods for using mapping technologies, geocoding, and USPS address validation.
- Develop use of embedded video, when available, in social media with effective compression techniques and benchmarked performance speeds.
- Provide configurable management functionalities for system administrators.
- Provide infrastructure that will support a high-volume of public citizens accessing certain alert type flyers (AMBER, Enhanced Missing Child Alerts, and Blue Alerts) within a short time span without failure.
- Comply with the FBI CJIS Security Policy (CSP), State of Florida and FDLE Information Technology (IT) and Rule 60-GG laws, and Section 508 Rehabilitation Act.
- Follow FDLE standards for system availability: minimum 99.5% uptime, 24 hours per day, 7 days a week, and 365 days a year.
- Migrate all data from the current MEPIC database structure to a redesigned, relational database structure that reflects the business needs.
- Leverage technology to effectively manage the missing, endangered and unidentified persons in the State of Florida.

## B. Baseline Analysis

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

### 1. Current Business Process(es)

The Missing Endangered Persons Information Clearinghouse (MEPIC) is the central repository of information regarding missing endangered persons in Florida. MEPIC assists law enforcement agencies in finding missing persons by providing analytical services and engaging the public in the search. As part of these services, MEPIC has worked with partner agencies to develop the Florida AMBER Plan and Florida Silver Alert Plan. MEPIC is responsible for issuing all AMBER Alerts, Missing Child Alerts, State Silver Alerts, Purple Alerts, and Blue Alerts in Florida. In addition, MEPIC assists law enforcement in cases involving unidentified deceased and crimes against children.

The MEPIC work unit as well as the MEPIC system is located in the Enforcement and Investigative Support Bureau as part of the Investigations and Forensic Science Program at FDLE. Formerly known as the Missing Children Information Clearinghouse, MEPIC was renamed in 2008 when the Florida Legislature expanded the clearinghouse to include endangered missing adult cases.

MEPIC assists law enforcement in locating missing persons by providing analytical services for active cases, collecting and disseminating relevant information and engaging the public in the search for the missing person. MEPIC also works together with other state clearinghouse cases, the National Center for Missing and Exploited Children and INTERPOL to exchange information; tips and leads about missing persons and to help provide each missing person with the best chance of recovery no matter where they might have been taken.

In 2005, MEPIC began working in collaboration with the Medical Examiners Commission on the Unidentified Deceased Initiative to help Florida families find the closure that they deserve. Today, there is a MEPIC analyst who works exclusively on unidentified cases as well as helping law enforcement to collect DNA samples to ensure that Florida families can be notified if their loved one is located anywhere in the country.

MEPIC has an Inspector who provides training and assistance to law enforcement agencies on crimes against children and child death cases.

Additional services provided by MEPIC include the issuance of AMBER, Missing Child, State Silver Alerts, Purple Alerts, and Blue Alerts; creation of missing person cases with flyers to help locate the person(s); training for law enforcement agencies and public/private organizations regarding missing persons programs; a directory of resources available for additional assistance in locating a child; and development and distribution of safety publications that provide guidance on how to keep you and your family safe.

Also, the missing person cases in MEPIC are honored each year at Florida Missing Children's Day in Tallahassee. It is a formal ceremony which remembers all of Florida's missing with recognition to citizens, such as bus drivers, who have helped avert a possible abduction as well as the K9 trailing teams. Families of the missing are invited to attend along with other dignitaries. Pictures of some of the missing are placed on posters with the date they went missing. This information comes from MEPIC.

Florida's Missing Endangered Persons Information Clearinghouse consists of following main activities:

AMBER Alert Program. The Florida Department of Law Enforcement in cooperation with the Division of Emergency Management, Florida Association of Broadcasters, Inc., Florida Department of Highway Safety and Motor Vehicles, Florida Highway Patrol, Florida Department of Lottery, Florida Department of Transportation, Florida's Police Departments and Sheriff's Offices and private partners is responsible for activation of the Florida AMBER Alert in accordance with the Florida AMBER Plan. The Florida AMBER Plan was established in 2000, making Florida the second

state in the nation to develop a statewide AMBER Alert. The purpose of the Plan is to broadcast critical information of an abducted child as quickly as possible to the media and general public. The initial plan included use of the Emergency Alert System (EAS) to notify the media and public. The plan was expanded in 2002 to include use of road signs and lottery machines when an Alert is activated. Additionally, the Plan now includes the ability for members of the public to receive emails or free text messages when an AMBER Alert is activated. To aid in the recovery of missing children who are in danger where there is no evidence of abduction, the Florida Department of Law Enforcement established the Missing Child Alert in 2003. The AMBER Alert was named for nine year-old Amber Hagerman. She was abducted in 1996 while riding her bicycle outside of her grandparent's home in Texas. She was found deceased four days later. The case is still unsolved. AMBER has since become an acronym for "America's Missing: Broadcasting Emergency Response". In 2003, Congress passed the PROTECT Act to establish and support the development of AMBER plans in each state.

Missing Child Alert Program. The Florida Missing Child Alert was established in 2003 to provide law enforcement with a tool to quickly disseminate information when a child is missing and believed to be in life-threatening danger, but there is no indication that the child has been abducted. The Missing Child Alert is a media-focused emergency broadcast designed to engage the public in the search for the missing child. A Missing Child Alert may evolve into an AMBER Alert if the law enforcement investigation later reveals an indication that the child has been abducted. In these instances, the Missing Child Alert can serve as a mechanism to begin releasing information to the public while law enforcement continues to investigate the cause of the disappearance.

Silver Alert Program. The Florida Chiefs and Sheriffs, Florida Department of Transportation, Florida Department of Elder Affairs, Department of Highway Safety and Motor Vehicles Florida Highway Patrol, Florida Department of Law Enforcement, Florida Department of Lottery, and Florida legislators have worked in conjunction with concerned citizens and organizations to develop Florida's Silver Alert Plan. The Florida Silver Alert is used to locate missing persons suffering from an irreversible deterioration of intellectual faculties. The Florida Silver Alert Plan outlines two levels of Silver Alert Activation: Local and State. Local and State Silver Alerts engage the public in the search for the missing person and provide a standardized and coordinated community response.

Purple Alert Program. The Florida Legislature enacted Purple Alerts effective July 1, 2022 to assist in the location of missing adults suffering from a mental or cognitive disability that is not Alzheimer's disease or a dementia-related disorder; an intellectual disability or a developmental disability; a brain injury, other physical, mental or emotional disabilities that are not related to substance abuse, or a combination of any of these and whose disappearance poses a credible threat of immediate danger or serious bodily harm. Since becoming effective thru 8/31/2022, there have been 50 Purple Alert activations in 62 days.

Unidentified Program. A joint initiative between FDLE Missing Endangered Persons Information Clearinghouse (MEPIC) and the Medical Examiners Commission (MEC) has formed. The purpose of this initiative is to gather resources and methods to identify the unidentified deceased persons and bring renewed attention to the growing number unidentified persons in Florida.

Since the advancement of computer and forensic technological resources, the chances of matches occurring between long term missing persons and the unidentified deceased persons have increased. Due to enhancements in laboratories and databases, law enforcement and medical examiners are encouraged to re-submit fingerprints, dental records and DNA on older cases as the technology has evolved over the years which in turn could generate positive identifications.

Case Management. Every missing person or unidentified deceased case is considered active until the person is found or identified. MEPIC analysts are assigned active cases for which they will follow-up with local law enforcement about any new leads to document in the Clearinghouse. They manually run the person's identification information periodically in systems like DHSMV's DAVID or FCIC to determine if the person has any activity since their missing date. There have been 828 recoveries by MEPIC analysts due to running these periodic checks.

## A. FDLE Processing

The event that triggers the process takes places when a person goes missing and is reported to the local law enforcement agencies as such. The local law enforcement agencies, as per procedure, enter information about the missing persons into the Florida Crime Information Center (FCIC) database and also the National Crime Information Center (NCIC) database. The agency entering the missing person's information in the FCIC system is advised about the availability of the MEPIC service for assistance in the case, and the relevant contact information is provided to them. The agencies in turn may advise the parent or the guardian of the missing person of such a service.

The involvement of FDLE's MEPIC unit starts when the information is received from a local law enforcement agency requesting assistance to issue an alert. The MEPIC analyst manually documents the information provided on what is referred to as a Missing Child Reporting Form (and hence referred to as the MCRF) maintained by the MEPIC unit. Although the information via the MCRF is mandatory, some exceptions are made as it pertains to the particular type of alert and case. All information also may not be available when an out-of-state agency or international agency sends information about a missing person requesting FDLE's assistance. It is assumed that the information provided has been verified at the local level and that the minimum requirements for the MEPIC data entry are met.

The MCRF is designed to capture relevant data about the missing person and the circumstances under which the person went missing. An important part of the MCRF is the consent declaration at the end of the form, which can be signed by the parent, guardian, or the relevant law enforcement authority. A recent photograph of the child is also required with the submission. Although a lot of information is solicited from the requestor, there are only certain mandatory fields that are required for a MEPIC case number to be assigned to the missing person. When a completed MCRF is received by the MEPIC analyst, a check on the person is performed using the person's information in the FCIC system. A negative result from the FCIC system results in the re-evaluation of the case by contacting the law enforcement agency that originally received the information about the person. This is done to ascertain whether the status of the person has changed since the MCRF was filed. It follows that the requirement for entry into the MEPIC system is the presence of the missing person's information in the FCIC/NCIC systems. A positive result from the FCIC/NCIC system results in the cross-checking of information about the person between the FCIC system response and the MCRF information at hand. Any discrepancies are noted and resolved by contacting the law enforcement agency and/or the parent/guardian of the child.

The MEPIC analyst inputs the information in the MEPIC Maintenance Application which opens the case and automatically generates the case number. The information is saved in the database which feeds the other processes to communicate to the public and partner agencies about the missing person in hopes of the public communication assisting to find the person when an alert is issued for them.

Case management occurs after the alert has been issued because the focus is in finding the person immediately. Case management relates to the documentation: letting other organizations know the person has been reported missing and potentially finding the person because of activity in other systems.

If the case involves a child, then MEPIC transmits their flyer to NCMEC. This assists if the missing person leaves Florida.

Cases identified by DCF (on a daily basis) are reviewed to ensure they are already present in FCIC. MEPIC personnel review the cases in the queue at DCF to ascertain whether they meet the necessary criteria for being valid and whether DCF has all necessary information in their system. Cases that satisfy the criteria are then brought in to MEPIC and assigned a case number by querying the DCF database using the DCF webservice. Once the child is located,



MEPIC receives the “outcome” information from DCF.

The MEPIC unit deals with different types of cases depending on the origination of the case and the demographic information about the missing person. The business processes outlined below when flagging a person in other areas for activity after the date they were reported missing may or may not apply to the different types of cases. And, the remainder of the business processes are performed manually aside from MEPIC generating the missing person flyer and letters. Origination of cases are categorized as:

- In-State: Where the missing person is a resident of Florida and is reported missing in Florida.
- Out-of-State: Where the missing person is not a resident of Florida but is a resident of the United States and was either reported missing in Florida or reported missing from another state but is believed to be in Florida.
- International: Where the missing person is not a resident of the United States and was reported missing out of the US and is believed to be in Florida.

A standard letter is sent to the Office of Vital Statistics for the person’s birth certificate to be flagged if the person was born in the State of Florida. A standard letter is also sent to the relevant county school district for flagging of school records if the child was attending school in the State of Florida. A copy of the flyer is sent to the MEPIC Publications Coordinator for inclusion in the monthly bulletin. Along with the flyer, a copy of the information and the photo is sent for inclusion in the monthly public service announcement if there is sufficient information about the vehicle the person was reported missing in or about the abductor and their vehicle. A flag is also entered in the FCIC Hot-file should that vehicle be stopped by law enforcement. A flyer is also sent to FDLE’s Office of Statewide Intelligence (OSI) for inclusion in the Florida Criminal Activity Bulletin (FCAB) if the person is reported endangered or if it is a parental abduction. And, the case is sent to NCMEC if it is a child. If the missing person is an adult, then checks will be performed periodically to see if there has been any activity related to them. For example, their name will be run in DAVID to see if they have been issued a replacement driver’s license, a credit check will be done, or a query for an arrest will be done in FCIC.

An important part of case management is the maintenance and processing of leads. The general public including the parents/guardians of the person, law enforcement officials, NCMEC, Office of Vital Statistics, and the County School District reports leads. Leads can be solicited, coming from Vital Statistics etc., or unsolicited tips from the public etc. MEPIC staff maintains information about the leads in MEPIC for existing cases. If leads are reported for a case that doesn’t exist in MEPIC, then it is determined to be an intelligence lead reported to local law enforcement authorities to follow-up on a possible case of a missing person.

A missing person case remains active until the person is located.

The current MEPIC system consists of:

- The MEPIC Maintenance Application
  - a. Intake information about potential cases to issue one of the legislated alerts
    - i. Demographics (Name, DOB, SSN, Addresses, etc.)
    - ii. Pictures provided of the missing person(s) or Blue Alert suspect
    - iii. Vehicles, if involved
    - iv. Local agency contact information
  - b. Alert Issuance to public citizens and partnering agencies
  - c. Import all missing person cases from FCIC
  - d. Issue the BOLO to FCIC for alerts that FDLE sends
  - e. Import cases from DCF when a child is missing (mostly runaway) and then when DCF identifies they have been found
  - f. Sending NCMEC the missing children information for Florida
  - g. Identification of Case Worker(s) associated with the DCF cases

- h. Identifications of parents, guardians, or other relatives associated with the missing child
- i. Searching cases by names or case types
- j. Generation of flyers for viewing missing person information in the public access systems
- k. Generation of letters
- l. Entry of leads on open cases
- m. Entry of leads for not-on-file cases and/ or intelligence purposes
- n. Entry of the checks performed in other systems to locate the person (ex. DAVID, CCIS, social networks, Dept. of Corrections, etc.)
- o. Entry of unidentified person information (ex. body part located, DNA information related to that body part)
- Scheduled jobs which MEPIC provides information to:
  - a. Pinellas County FACES
  - b. LinX
- The FDLE MEPIC CJNet website which provides resources to local law enforcement
- The MEPIC public access systems which communicate public information about the missing person or Blue Alert suspect and also allows searching includes:
  - a. The FDLE MEPIC public website
  - b. MEPIC Lite in the FDLE public mobile app
  - c. Public communication to alert subscribers via Everbridge

**B. Current Performance/Operational Issues**

**Classic ASP as the Foundation Programming Language & the Database Design**

The MEPIC Maintenance Application, public website, and CJNet website are written in classic ASP. The Clearinghouse is at risk because classic ASP has not been updated by Microsoft since 2002. Classic ASP was released in 1996 for Windows NT 4.0. There have been many new operating system versions released since 2002 running on Microsoft servers and Windows desktops. There have also been major updates to browsers such as Microsoft replacing Internet Explorer with MS-Edge. As newer technologies surrounding classic ASP are updated, patched, enhanced and overhauled to accommodate cyber security needs, increased performance and more robust development frameworks, classic ASP has been left behind with no updates or improvements over the past 20 years. Without updates, the ability for classic ASP to integrate with the newer technologies and security requirements continues to diminish each year.

Tracing the end-of-life support for classic ASP is nebulous. The use of classic ASP is tied to Microsoft's Internet Information Services (IIS). IIS is included in Windows operating systems. Therefore, classic ASP and IIS lifecycles are tied to the server operating system. FDLE is using the Windows 2019 operating system, which is the latest version that Microsoft has released. The mainstream end date for the Windows 2019 operating system is 1/9/2024 and extended support is 1/9/2029.

When FDLE converted from Microsoft Internet Explorer browser to Microsoft Edge (the chromium version), several Javascript programming changes had to be made to the MEPIC system. Fortunately, Microsoft gave enough lead time so that testing could be performed in MS-Edge. Every web screen and field on the screen had to be tested to ensure that it worked properly.

When MEPIC went live in 2003, it was primarily a person tracking system with no publishing or alerting capabilities. While enhancements have been made, there is only one alert channel that is "push button". The other alerting channels involve multiple steps for the MEPIC analyst. Some of the steps include the image sizing, creating emails, and saving documents to attach to agency partner emails. MEPIC members must quality control any given file several times before an alert is published in order to maximize the effectiveness of the alert and check for the correctness of data. While the quality controls will remain in place, the current system

requires constant application navigation and regeneration of files to review until the files are of proper quality for public dissemination. Each one of these steps only takes a small amount of time, but these multiple short timeframes stack up which increases alert activation times. The MEPIC command chain is comfortable saying a modernized, redesigned system will significantly decrease activation times and create a better product for public consumption. This can be crucial for saving a missing person who is in danger of death or serious bodily harm.

Partner agencies such as NCMEC have upgraded their systems to more modern application frameworks which require the security to any interfacing systems to adhere. The classic ASP MEPIC system could not adhere to the necessary specification. Another application had to be written to send the XML of missing children to NCMEC.

Another example of the classic ASP MEPIC system not being able to meet the required functionality was when Everbridge was engaged for public subscriber communications. FDLE was able to leverage the FL Dept. of Emergency Management's use of Everbridge to contract with Everbridge which provided more functionality such as WEA issuance. An ASP.NET application was written to send the flyers and metadata to Everbridge's email ingestion protocol. The MEPIC analysts have to navigate several steps to issue communication to this leader in event mass notifications channel. As stated above, it takes only a small amount of time to navigate, but time adds up when a life is in danger.

With MEPIC original purpose being a person tracking system, the database was designed to support that functionality. Over the years, missing person cases have become multi-dimensional. They may involve multiple missing persons with multiple companions travelling in a vehicle. These are all displayed on one alert flyer. The data entry, due to the database design of 2003, requires MEPIC analysts to input the same information repeatedly (area missing, vehicle information, etc.) for each person involved.

FDLE and the FL Dept. of Transportation partnered when a vehicle is involved. FDLE can send the text to be displayed on the interstate road signs and they will post them immediately. Also, FDLE can send AMBER, Missing Child, and Blue Alerts to the FL Dept. of Lottery to put on their scrolling lottery terminals. MEPIC analysts must send the scripts to both of these partner agencies manually.

Additional steps that MEPIC analysts have to navigate, QA, and manually process increases alert activation times. The point of highlighting this level of detail is that the current MEPIC system is built on an older application framework and database model that does not meet the current needs and is not prepared to scale to adapt to future needs.

### **Development Time & Enhancements**

Purple Alerts were the last, large enhancement added to the MEPIC Maintenance Application. They were added using the same code model as the existing AMBER, MCA, and Silver Alerts. It was basically a clone of the other alerts rather than efficient processing. Eight new RTF templates and 14 new Purple Alert stored procedures were created. The system is not built dynamically. Any time another alert type is legislated, the same sort of cloning will be done because of the way the system is architected and to not adversely impact the existing alerts. Regression testing was significant. This legislation required nine months to get to Production. This is an example where the cost of the legislated enhancement is taking longer to work with the current system. The IFS MEPIC customers have wanted other enhancements, such as a mobile-friendly flyer for the missing person or document management, but when presented with the estimates and knowing the delicate nature of the current system, there was not enough time for the people resources to devote to code and test the enhancement. The system technology should not be holding back leveraging new technologies for missing person cases.

## **2. Assumptions and Constraints**

### **Assumptions**

- Additional business rules associated with the Functional and Non-functional requirements will

be documented in JAD sessions as the project moves forward.

- The scope and specifications of the project to replace the MEPIC system will not change once the project takes place. Legislation will not impact the Clearinghouse to issue different alert types during the project period.
- The system will comply with State of Florida and FBI Criminal Justice Information Services (CJIS) Security Policies. Case data may contain CJJ as well as sensitive victim information.
- The IT support for the project, whether in-house development or a purchased solution, will be able to design a new MEPIC system to meet the current business needs with flexibility knowing additional alert types and data analytic needs will continue in the future.
- The new MEPIC system will overcome technical difficulties to deliver a system with clear system error messages for quick trouble-shooting, good system performance, and redundancy for alert in-take and distribution.

**Constraints**

- Existing functionality with other systems (ex. FCIC, Everbridge) and agency partners (NCMEC, DCF, FL Dept. of Lottery, FL Dept. of Children & Families, FL Dept. of Transportation) must be replaced to connect to the upgraded MEPIC system.
- When the MEPIC Maintenance application is technically offline, the ability to continue to input information collected in the personal interactions with local law enforcement agencies requesting alert activations must be saved. No information should be lost if there is a technical failure during the alert information in-take.
- MEPIC analysts who must participate in the project will sometimes be unavailable due to the time sensitivity of issuing alerts which arise unexpectedly throughout the business day.

**C. Proposed Business Process Requirements**

**1. Proposed Business Process Requirements**

The system shall perform the following business processes. Functional requirements of each process are identified in Appendix E.

- a. Support or improve existing functionality in a redesigned MEPIC Maintenance Application and database model
- b. Maintain security controls for users to view/update case information or issue alerts
- c. Develop a flexible Alert Management module for legislated alerts to activate, update, or cancel alerts
- d. Automate more functions of Case Management
- e. Interface with:
  - i. Everbridge for communication to public subscribers
  - ii. Florida’s Crime Information Center (FCIC)
  - iii. FL Dept. of Children & Families
  - iv. National Center for Missing and Exploited Children (NCMEC)
  - v. Florida Sexual Offender / Predator Registry
  - vi. MS-Office products (MS-Word and MS-Excel)
  - vii. FDLE’s public website currently using Kentico
  - viii. Document Management
- f. Generate reports using search and filter criteria
- g. Improve investigative support from the leads provided about missing persons
- h. Provide configurable administrative features
- i. Improve the MEPIC public website and CJNet website for easier navigation and access on mobile devices
- j. Reconfigure the external system interfaces for Pinellas County and LInX for the redesigned database
- k. Obtain addresses of importance for geographical mapping analysis for investigative purposes to locate the missing person

## 2. Business Solution Alternatives

This section describes the alternative solutions considered for replacing the MEPIC system and its database.

To conduct the alternatives analysis, the following steps were performed:

- Documented the functional and non-functional requirements that a new solution must meet for the project to be successful
- Identified the potential system implementation options
- Established measurable success criteria

Three options were identified:

### **Alternative 1: Status Quo/As-Is**

Continue to operate the legislated missing persons Clearinghouse with its current functionality in classic ASP. Very little new functionality can be added with the classic ASP framework. This is not a viable alternative.

### **Alternative 2: Custom-write the MEPIC System Replacement**

Rewrite the MEPIC system using a more modern programming framework, redesign the database, and convert the data from the existing structure to the new structures. The development can be done by FDLE hiring a dedicated project team for the duration of a 3-year project. After the project is over, in-house ITS Business Systems Engineering (BSE) application contractors can maintain and support the system.

This is a viable alternative. This was the model for the successful LBR for the Sexual Offender / Predator Registry Improvement Project for Fiscal Years 7/1/2017 – 6/30/2020.

### **Alternative 3: Purchase a Missing Persons Application with Alert and Case Management Functionality**

FDLE issued a RFI to determine if there was a viable solution which included the alerting requirements and case management requirements. Four companies responded to the RFI with custom-built solutions; none had a product readily available to meet the requirements. Gartner research also was unable to identify a solution with both critical components. The research could not identify a case management software product tailored for missing persons, but they identified several mass event notification applications. After review of the RFI respondents, this was not a viable alternative.

## 3. Rationale for Selection

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

These criteria include:

- Ability to meet the business requirements
- Effort required to migrate data from the existing SQL 2019 to a new database model
- Alert activation time and communication to agency partners
- Ability to streamline data entry for time entered and accuracy
- Expand the ability to integrate with additional systems
- Flexibility to add new alert types as they are legislated

## 4. Recommended Business Solution

FDLE would procure a solution which can meet the requirements if an acceptable one is identified in the RFI. There was not a full-scope solution without customized development.

For this reason, FDLE is requesting Year 2 funds to continue building MEPIC using a contracted team. The project was submitted as a three-year project with in-house maintenance and support by FDLE (Alternative #2).

## D. Functional and Technical Requirements

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

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

1. **Functional Requirements**
2. **Technical Requirements**

The Functional and Technical Requirements can be found in Appendix E.

### III. Success Criteria

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

| SUCCESS CRITERIA TABLE |   |   |   |                          |
|------------------------|---|---|---|--------------------------|
| #                      | Description of Criteria   | How will the Criteria be measured/assessed?   | Who benefits?   | Realization Date (MM/YY) |
| 1                      | Ability to dynamically add more alert types as legislatively required | Configurable by a MEPIC system administrator with the ability to select documents to be produced and partner agencies who need to be contacted  | The Legislature<br>FDLE<br>Local Law Enforcement<br>The Missing Person  | 6/30/2026                |
| 2                      | Shortened alert activation times                                      | Streamlined data entry to issue alerts faster than in the old MEPIC system  | FDLE<br>Local Law Enforcement<br>The Missing Person   | 6/30/2026                |
| 3                      | Improved Case Management Reporting                                    | <ol style="list-style-type: none"> <li>Automated periodic checks to determine if there has been activity in peripheral systems since the missing date.</li> <li>Improved searching filters</li> </ol>       | FDLE<br>Local Law Enforcement<br>The Missing Person's Family  | 6/30/2026                |
| 4                      | Mobile-friendly alert flyers  | Ability to view a missing person or Blue Alert suspect flyer without horizontal scrolling   | Public citizens<br>The Missing Person   | 6/30/2026                |
| 5                      | Leveraging the latest technology and designs                          | <ol style="list-style-type: none"> <li>Redesigned MEPIC Maintenance web screens with a redesigned relational database which streamlines the system navigation</li> <li>Incorporation of document</li> </ol> | FDLE<br>Local Law Enforcement agencies<br>Partner agencies, like FL Dept. of Lottery and FL Dept. of Transportation | 6/30/2026                |

| SUCCESS CRITERIA TABLE |   |  |  |           |
|------------------------|---|--|--|-----------|
|                        |   | management, web services, and mapping capabilities   |  |           |
| 6                      | Redundancy when activating alerts   | Use of Everbridge's API as well as email ingestion protocol  | FDLE                                   | 6/30/2026 |
| 7                      | Implementation of a DR Plan   | DR system exists and is tested for failover  | FDLE<br>The Missing Person             | 6/30/2026 |
| 8                      | Implementation of new MEPIC Maintenance Application system interfaces                               | Integration with the Sexual Offender / Predator System relating to addresses of offenders near the missing address   | FDLE<br>Local Law Enforcement Agencies | 6/30/2026 |
| 9                      | Successful data conversion from the old MEPIC database structure to an expanded relational database | Verification that the number of alerts and cases properly converted  | FDLE<br>The Missing Persons            | 6/30/2026 |
| 10                     | Updated MEPIC System Documentation  | Delivery of the FL Digital Services documents; FDLE project documents; functional design documents; and an Operations & Maintenance Plan for the system moving forward | FDLE                                   | 6/30/2026 |



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

### A. Benefits Realization Table

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

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

| BENEFITS REALIZATION TABLE |  |   |   |  |                          |
|----------------------------|--|---|---|--|--------------------------|
| #                          | Description of Benefit   | Who receives the benefit?   | How is benefit realized?  | How is the realization of the benefit measured?                              | Realization Date (MM/YY) |
| 1                          | Modernized and streamlined MEPIC Maintenance Application and Public/CJNet websites | FDLE<br>Local Law Enforcement<br>Public citizens<br>The missing persons | Redesigned user interfaces  | Reduction in the number of web pages navigated to perform business functions | 6/30/2026                |
| 2                          | Ability to store electronic documents associated with a case                       | FDLE<br>Local Law Enforcement   | All case documents will be accessible online  | Growth in case documentation   | 6/30/2026                |
| 3                          | Expanded Reporting Capabilities without programming assistance                     | FDLE<br>Local Law Enforcement   | Standard reports within the MEPIC Maintenance Application as well as search and filter capabilities | Reports will be viewable   | 6/30/2026                |
| 4                          | Modernized Programming Software Foundation Framework                               | FDLE  | Modernized web page navigation with an improved "look & feel"                                       | Programming language will have a roadmap for future expansion                | 6/30/2026                |
| 5                          | Mobile-friendly flyers   | FDLE<br>Local Law Enforcement<br>Public citizens<br>The missing persons | Use of Smartphones and tablets in addition to the personal computers and laptops when viewing a     | Google Analytics on the flyers   | 6/30/2026                |

| BENEFITS REALIZATION TABLE |  |  |  |  |           |
|----------------------------|--|--|--|--|-----------|
|                            |  |  | missing person flyer   |  |           |
| 6                          | Improved system security   | MEPIC Maintenance Application Users  | Ability to separate business functions by roles and expanded use by local law enforcement agencies                       | Security audit reports   | 6/30/2026 |
| 7                          | Improved database design   | FDLE   | Data entry for case information is simplified and the amount of redundant information that has to be input is eliminated | <ol style="list-style-type: none"> <li>1. A more balanced and denormalized database model</li> <li>2. Less complex programming code</li> </ol> | 6/30/2026 |
| 8                          | Shortened programming durations to add new alert types when legislated | Legislature<br>FDLE<br>Local Law Enforcement<br>The Person who meets the criteria for the new alert type | A flexible design solution to add a new alert type and select the customizations required for it                         | Reduced (or eliminated) programming to implement; reduced testing time   | 6/30/2026 |

## B. Cost Benefit Analysis (CBA)

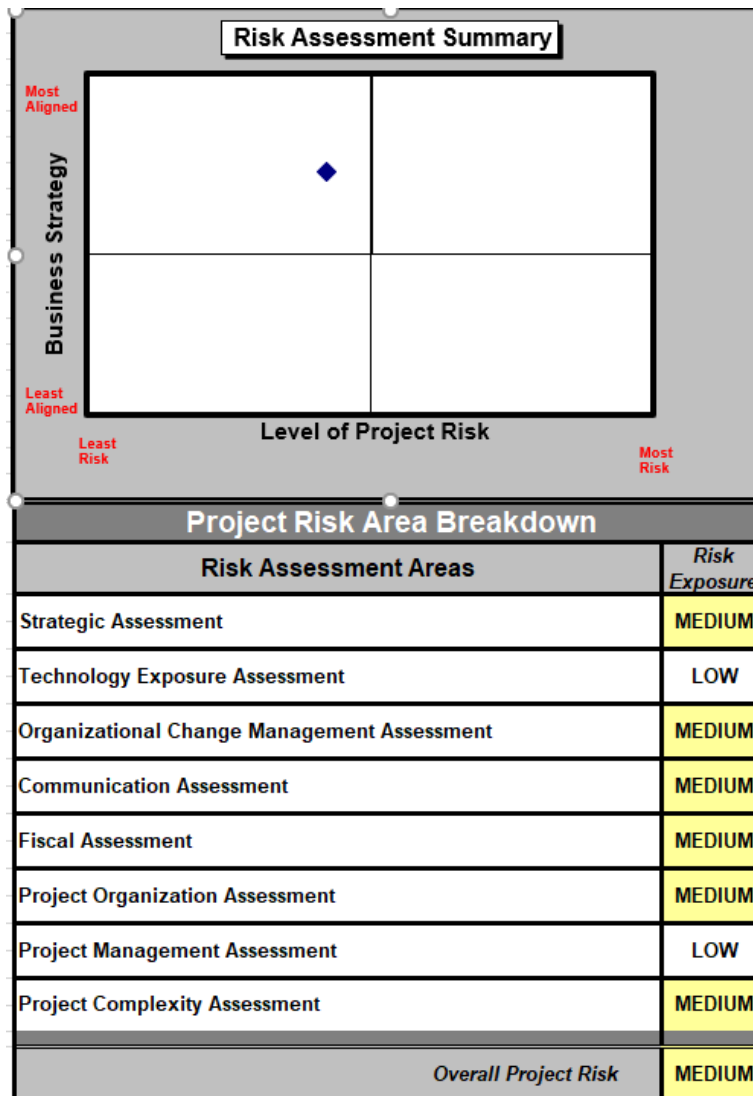
*Purpose: To provide a comprehensive financial prospectus specifying the project’s tangible benefits, funding requirements, and proposed source(s) of funding.*

The forms required for CBA are included as Appendix B.

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

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

The complete risk assessment worksheets are in Appendix C.



## VI. Schedule IV-B Technology Planning

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

### A. Current Information Technology Environment

The current MEPIC system was developed almost 20 years ago; it was implemented in 2003. It consists of a MEPIC Maintenance Application which is the core of the legislated clearinghouse because it is the data entry system and database. MEPIC has a public website; CJNet website; a presence in FDLE’s public mobile app; and provides files to law enforcement with information about missing persons.

#### 1. Current System

##### a. Description of Current System

FDLE’s MEPIC Maintenance Application is the most comprehensive missing person system in the United States since it is centralized at a state agency level. Many other states, such as California, have their missing person clearinghouses localized at the county level. FDLE’s MEPIC Maintenance Application is also the most full-functioning application with alert activation and case management functionality in one system.

The table below provides some statistics about the MEPIC System:

| Number of Users   | 25 FDLE members  |      |  |                      |       |                      |       |    |    |     |    |    |        |     |     |        |     |     |
|---|--|------|--|----------------------|-------|----------------------|-------|----|----|-----|----|----|--------|-----|-----|--------|-----|-----|
| Number of Classic ASP Web Pages                                     | <ul style="list-style-type: none"> <li>• The MEPIC Maintenance Application                             <ul style="list-style-type: none"> <li>➢ 161 classic ASP pages</li> </ul> </li> <li>• The MEPIC Public &amp; CJNet Website                             <ul style="list-style-type: none"> <li>➢ Each site has 53 web pages</li> </ul> </li> </ul> |      |  |                      |       |                      |       |    |    |     |    |    |        |     |     |        |     |     |
| Number of Rich Text Format (.rtf) Templates                         | 59<br>These templates generate the alert scripts, agency partner information, and letters sent to schools, Office of Vital Statistics, police report requests, etc.  |      |  |                      |       |                      |       |    |    |     |    |    |        |     |     |        |     |     |
| Number of Alerts Activated  | <table border="1"> <thead> <tr> <th>Alert Type</th> <th>2021</th> <th>2022</th> </tr> </thead> <tbody> <tr> <td>AMBER</td> <td>10</td> <td>12</td> </tr> <tr> <td>MCA</td> <td>48</td> <td>55</td> </tr> <tr> <td>Silver</td> <td>287</td> <td>273</td> </tr> <tr> <td>Purple</td> <td>N/A</td> <td>143</td> </tr> </tbody> </table>                     |      |  | Alert Type           | 2021  | 2022                 | AMBER | 10 | 12 | MCA | 48 | 55 | Silver | 287 | 273 | Purple | N/A | 143 |
| Alert Type  | 2021   | 2022 |  |                      |       |                      |       |    |    |     |    |    |        |     |     |        |     |     |
| AMBER   | 10   | 12   |  |                      |       |                      |       |    |    |     |    |    |        |     |     |        |     |     |
| MCA   | 48   | 55   |  |                      |       |                      |       |    |    |     |    |    |        |     |     |        |     |     |
| Silver  | 287  | 273  |  |                      |       |                      |       |    |    |     |    |    |        |     |     |        |     |     |
| Purple  | N/A  | 143  |  |                      |       |                      |       |    |    |     |    |    |        |     |     |        |     |     |
| Number of Purple Alerts Activated since becoming effective 7/1/2022 | <table border="1"> <tbody> <tr> <td>7/1/2022 – 8/31/2022</td> <td>50</td> </tr> <tr> <td>7/1/2022 – 5/31/2023</td> <td>229</td> </tr> </tbody> </table>  |      |  | 7/1/2022 – 8/31/2022 | 50    | 7/1/2022 – 5/31/2023 | 229   |    |    |     |    |    |        |     |     |        |     |     |
| 7/1/2022 – 8/31/2022  | 50   |      |  |                      |       |                      |       |    |    |     |    |    |        |     |     |        |     |     |
| 7/1/2022 – 5/31/2023  | 229  |      |  |                      |       |                      |       |    |    |     |    |    |        |     |     |        |     |     |
| Average Number of MEPIC Cases Opened                                | <table border="1"> <tbody> <tr> <td>Past 5 years</td> <td>2,884</td> </tr> <tr> <td>Past 6 years</td> <td>2,836</td> </tr> </tbody> </table>   |      |  | Past 5 years         | 2,884 | Past 6 years         | 2,836 |    |    |     |    |    |        |     |     |        |     |     |
| Past 5 years  | 2,884  |      |  |                      |       |                      |       |    |    |     |    |    |        |     |     |        |     |     |
| Past 6 years  | 2,836  |      |  |                      |       |                      |       |    |    |     |    |    |        |     |     |        |     |     |

|  |     |
|--|-----|
| Number of Active Unidentified Deceased Cases             | 132 |
| Number of Unidentified Deceased Who have been Identified | 28  |

**Requirements for Public Access, Security, Privacy, and Confidentiality**

Florida has engaged public citizens in the search for missing persons. FDLE has partnered with agencies, such as the FL Dept. of Transportation and FL Dept. of Lottery, to use interstate signage and Lottery terminals to assist when a vehicle is involved. FDLE has engaged in contracted services to provide public citizens with the ability to subscribe for alert notifications. The information provided in these public outlets is public information.

The MEPIC Maintenance Application contains information that must be secured. It contains CJI information derived from NCIC and FCIC. It contains private, personal information relating to circumstances of the of the missing person. Many of the cases in the clearinghouse are children who are victims of sexual abuse by their abductor. It contains Public Identifying Information (PII). It also contains leads that are reported to FDLE either by the public or by agency partners.

The MEPIC Application Access Administrator (AAA) authorizes users in FDLE’s Application Security Module (ASM) to use the MEPIC Maintenance Application with appropriate access roles. The MEPIC Maintenance Application login web page authenticates the users via ASM with their Active Directory username and password.

MEPIC system components containing CJI is located on-premise at FDLE Headquarters in the Data Center.

**Hardware Characteristics**

The MEPIC system has development, test, and production environments for the Windows platform. The application servers are shared virtual machines. The database server for MEPIC is a shared physical server.

**Software Characteristics**

The current MEPIC system with its various applications has been developed over time as enhancements have been identified. Some enhancements were received internally from the MEPIC unit as missing person cases evolved over the years and the gravity felt to reduce activation times given that Florida has lost several missing children. New alert types have been required by the legislature, such as the Silver Alert Program (2008) and most recently the Purple Alerts (2022). And, partner agencies (NCMEC, DCF) have upgraded their systems to be more secure which required changes when sending or receiving information from them. These changes were built using the foundational database model implemented in 2003; just adding fields and peripheral tables as needed. Some changes could be incorporated in the classic ASP programming language. Other changes were more complex, such as the Everbridge email ingestion, which necessitated using ASP.NET. The flow of the system is not as seamless due to the years of enhancements and varied programming languages.

**Existing System and Process Documentation**

Documentation for the whole MEPIC system does not exist, although documentation has been created for the major enhancements and complex processes. The IFS MEPIC unit follows documented procedures closely when they work within the MEPIC Maintenance Application and provide training.

**System Interfaces**

The MEPIC Maintenance Application currently interfaces with:

- FDLE’s ASM
- FCIC
- Kentico
- Everbridge Email Ingestion Service
- FL Dept. of Children & Families Web Service
- NCMEC
- Airtel’s SaaS for MS-Azure Blob Storage

**Consistency with FDLE’s Software Standards and Hardware Platforms**

MEPIC was consistent with agency software standards when it was originally developed. The agency has adopted the Java platform as its standard programming language for in-house written applications.

MEPIC is consistent with the agency hardware platforms.

**b. Current System Resource Requirements**

|                          |   |
|--------------------------|---|
| Location                 | Hosted on-site in FDLE’s Data Center  |
| Hardware Characteristics | <p>MEPIC applications have development, system test, and production environments</p> <ul style="list-style-type: none"> <li>• The MEPIC SQL 2019 database is housed on CJNet on shared and clustered physical servers for the environments</li> <li>• The MEPIC Maintenance Application                             <ul style="list-style-type: none"> <li>➤ CJNet shared virtual machine (VM) web application server for Development</li> <li>➤ CJNet shared VM web application server for Test</li> <li>➤ CJNet shared VM web application server for Production</li> <li>➤ Corporate Network shared VM web application server for Production redundancy during unexpected technical outages</li> </ul> </li> <li>• The MEPIC CJNet Website                             <ul style="list-style-type: none"> <li>➤ Shared VM web application server for Development</li> <li>➤ Shares with the Maintenance Application server</li> </ul> </li> <li>• The MEPIC Public Website                             <ul style="list-style-type: none"> <li>➤ Shared with other public facing Windows application servers</li> <li>➤ Shared DMZ VM web application servers</li> </ul> </li> <li>• The scheduled database jobs output the files to VM Secured File Transfer Protocol (SFTP) servers</li> <li>• MEPIC Lite for FDLE’s public mobile app                             <ul style="list-style-type: none"> <li>➤ 2 DMZ shared JBoss application servers Primary Instance for Development</li> <li>➤ 2 DMZ shared JBoss application servers Primary Instance for Test</li> <li>➤ 2 DMZ shared JBoss application servers Primary Instance for Production</li> </ul> </li> </ul> |

|   |  |
|---|--|
| <p>Software Characteristics</p>           | <ul style="list-style-type: none"> <li>• Database: SQL Server 2019             <ul style="list-style-type: none"> <li>➤ The scheduled jobs are SSIS packages</li> <li>➤ The stored procedures are SQL</li> </ul> </li> <br/> <li>• The MEPIC Maintenance Application             <ul style="list-style-type: none"> <li>➤ Windows Application Server Operating System: WIN2019 running IIS v.6.2</li> <li>➤ Classic ASP 3.0</li> <li>➤ VBScript</li> <li>➤ RTF for templates</li> <li>➤ SoftArtisan's FileUp (Classic ASP file upload for pictures)</li> <li>➤ HiQPDF (flyers HTML to PDF converter)</li> <li>➤ REST Services</li> <li>➤ E-Agent JXI Gateway Service (FCIC)</li> <li>➤ Everbridge Email Ingestion (public communication)</li> <li>➤ SaaS with Airnet for MS-Azure Blob Storage (for WEA URL)</li> <li>➤ Jasper Reports</li> <li>➤ MS-Excel &amp; MS-Word for report exports</li> <li>➤ ASP.NET</li> <li>➤ Java</li> <li>➤ XML</li> </ul> </li> <br/> <li>• The MEPIC Public and CJNet Websites             <ul style="list-style-type: none"> <li>➤ Windows Application Server Operating System: WIN2019 running IIS v.6.2</li> <li>➤ Classic ASP 3.0</li> </ul> </li> <br/> <li>• MEPIC Lite for FDLE's public mobile app             <ul style="list-style-type: none"> <li>➤ Java</li> <li>➤ PrimeFaces</li> <li>➤ Apache Components</li> <li>➤ iText Core</li> <li>➤ Native Javascript</li> <li>➤ OJDBC8</li> </ul> </li> <br/> <li>• All source code is stored in GIT</li> <li>• All database data and application servers are backed-up with Commvault Enterprise</li> </ul> |
| <p>Network Connectivity Requirements</p>  | <p>The MEPIC SQL 2019 database, MEPIC Maintenance Application and CJNet website are on FDLE's CJNet network.</p> <p>A copy of the MEPIC Maintenance Application is on FDLE's Corporate network.</p> <p>The MEPIC Public website is available from the internet.</p>  |
| <p>Internal &amp; External Interfaces</p> | <ul style="list-style-type: none"> <li>• Internal FDLE Applications             <ul style="list-style-type: none"> <li>➤ FDLE's Application Security Module (ASM)</li> <li>➤ Florida Crime Information Center (FCIC)</li> <li>➤ FDLE's Public Website (Kentico)</li> </ul> </li> <br/> <li>• External Partners             <ul style="list-style-type: none"> <li>➤ Everbridge Email Ingestion Service</li> </ul> </li> </ul>  |

|          |  |
|----------|--|
|          | <ul style="list-style-type: none"> <li>➤ FL Dept. of Children &amp; Families Web Service</li> <li>➤ Airnet’s SaaS for MS-Azure Blob Storage (for WEA URL)</li> <li>➤ National Center for Missing &amp; Exploited Children (NCMEC)</li> </ul> |
| Staffing | <ul style="list-style-type: none"> <li>• 1 Full-time Contract Position</li> </ul>  |

**c. Current System Performance**

The current system was built using older Microsoft technologies and a database design built for tracking missing persons. It performs best when there is one missing person involved in the case. Data entry for the MEPIC analysts increases exponentially when a case involves multiple persons.

To explain how much data entry has to be done by the MEPIC analyst: it is the number of person records (including law enforcement, case workers, etc.) added to the number of vehicle records, multiplied by the number of people that are actually missing.

Example: Three siblings run away together; they each get a case assigned for them. This is the multiplier (3). Each case has 1 main child, 2 companion children, 1 case worker, 1 law enforcement officer and 1 vehicle for 6 records total. The MEPIC analyst will input 18 (6 \* 3) records into the MEPIC Maintenance Application for 15 person records and 3 vehicle records.

The example shows the amount of duplicate data entry to accommodate the situation of 3 siblings running away together as constrained by the database design. The data entry navigation involves multiple screens for each case. These factors increase alert activation times in addition to the time that the MEPIC analyst spends on the phone with local law enforcement collecting the information. Statistics show that 74% of abduction-murder cases where the children were harmed or murdered happen within the first three hours of the abduction.

Moreover, the application was built with Internet Explorer 6.0 as the target browser. With the Windows 10 migration and the upgrade to MS-Edge (chromium version) in 2021, the MEPIC applications required programming changes to fix the Javascript errors. Application maintenance is an uphill task. It is becoming more difficult with the classic ASP support in newer browsers. Reaching out for support receives the recommendation to upgrade the application to newer technology.

**Strategic Information Technology Direction**

FDLE embraces and promotes open system standards that are established within the IT industry such as, American National Standards Institute (ANSI), and NIEM. These standards and models support the strategic direction of the agency.

- **Architecture** – Promote the use of a multi-tier architecture that allows flexibility, scalability, and reusability.
- **Server Operating Systems** – Utilize server operating systems that will be either Red Hat Linux or Microsoft Windows Server.
- **Server Hardware** – Promote the use of server virtualization
- **Database Management Systems** – Store data in relational database(s) using either Oracle Relational Database Management System (RDBMS) or Microsoft SQL Server.
- **Application Software** – Develop application software using Java Platform Enterprise Edition (Java EE).
- **Storage** – Promote the use of SAN.
- **System Reliability and Availability** – Provide information systems and network services that give end users high (99.5+ %) reliability and availability/redundancy.
- **Integration and Efficiency** – Create modular, integrated systems that can be maintained by FDLE staff and can be easily modified to meet changing business needs of the agency.
- **High Availability and Redundancy** – Provide a modular, integrated system that provides high availability through redundancy of critical business alert activation processes.



**2. Information Technology Standards**

See attached Appendix A.

## B. Current Hardware and/or Software Inventory

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

| Location                 | Hosted on-site in FDLE's Data Center  |
|--------------------------|---|
| Hardware Characteristics | <p>MEPIC applications have development, system test, and production environments</p> <ul style="list-style-type: none"> <li>• The MEPIC SQL 2019 database is housed on CJNet on shared and clustered physical servers for the environments</li> <li>• The MEPIC Maintenance Application                             <ul style="list-style-type: none"> <li>➤ CJNet shared virtual machine (VM) web application server for Development</li> <li>➤ CJNet shared VM web application server for Test</li> <li>➤ CJNet shared VM web application server for Production</li> <li>➤ Corporate Network shared VM web application server for Production redundancy during unexpected technical outages</li> </ul> </li> <li>• The MEPIC CJNet Website                             <ul style="list-style-type: none"> <li>➤ Shared VM web application server for Development</li> <li>➤ Shared with the MEPIC Maintenance Application server</li> </ul> </li> <li>• The MEPIC Public Website                             <ul style="list-style-type: none"> <li>➤ Shared server with other DMZ web applications</li> <li>➤ Shared DMZ VM web application servers</li> </ul> </li> <li>• The scheduled database jobs output the files to VM Secured File Transfer Protocol (SFTP) servers</li> <li>• MEPIC Lite for FDLE's public mobile app                             <ul style="list-style-type: none"> <li>➤ 2 DMZ shared JBoss application servers Primary Instance for Development</li> <li>➤ 2 DMZ shared JBoss application servers Primary Instance for Test</li> <li>➤ 2 DMZ shared JBoss application servers Primary Instance for Production</li> </ul> </li> </ul> |
| Software Characteristics | <ul style="list-style-type: none"> <li>• Database: SQL Server 2019                             <ul style="list-style-type: none"> <li>➤ The scheduled jobs are SSIS packages</li> <li>➤ The stored procedures are SQL</li> </ul> </li> <li>• The MEPIC Maintenance Application                             <ul style="list-style-type: none"> <li>➤ Windows Application Server Operating System: WIN2019 running IIS v.6.2</li> <li>➤ Classic ASP 3.0</li> <li>➤ VBScript</li> <li>➤ RTF for templates</li> </ul> </li> </ul>   |

|   |  |
|---|--|
|   | <ul style="list-style-type: none"> <li>➤ SoftArtisan's FileUp (Classic ASP file upload for pictures)</li> <li>➤ HiQPDF (flyers HTML to PDF converter)</li> <li>➤ REST Services</li> <li>➤ E-Agent JXI Gateway Service (FCIC)</li> <li>➤ Everbridge Email Ingestion (public communication)</li> <li>➤ SaaS with Airnet for MS-Azure Blob Storage (for WEA URL)</li> <li>➤ Jasper Reports</li> <li>➤ MS-Excel &amp; MS-Word for report exports</li> <li>➤ ASP.NET</li> <li>➤ Java</li> <li>➤ XML</li> </ul> <ul style="list-style-type: none"> <li>• The MEPIC Public and CJNet Websites             <ul style="list-style-type: none"> <li>➤ Windows Application Server Operating System: WIN2019 running IIS v.6.2</li> <li>➤ Classic ASP 3.0</li> </ul> </li> <li>• MEPIC Lite for FDLE's public mobile app             <ul style="list-style-type: none"> <li>➤ Java</li> <li>➤ PrimeFaces</li> <li>➤ Apache Components</li> <li>➤ iText Core</li> <li>➤ Native Javascript</li> <li>➤ OJDBC8</li> </ul> </li> <li>• All source code is stored in GIT</li> <li>• All database data and application servers are backed-up with Commvault Enterprise</li> </ul> |
| <p>Network Connectivity Requirements</p>  | <p>The MEPIC SQL 2019 database, MEPIC Maintenance Application and CJNet website are on FDLE's CJNet network.</p> <p>A copy of the MEPIC Maintenance Application is on FDLE's Corporate network.</p> <p>The MEPIC Public website is available from the internet.</p>  |
| <p>Internal &amp; External Interfaces</p> | <ul style="list-style-type: none"> <li>• Internal FDLE Applications             <ul style="list-style-type: none"> <li>➤ FDLE's Application Security Module (ASM)</li> <li>➤ Florida Crime Information Center (FCIC)</li> <li>➤ FDLE's Public Website (Kentico)</li> </ul> </li> <li>• External Partners             <ul style="list-style-type: none"> <li>➤ Everbridge Email Ingestion Service</li> <li>➤ FL Dept. of Children &amp; Families Web Service</li> <li>➤ Airnet's SaaS for MS-Azure Blob Storage (for WEA URL)</li> <li>➤ National Center for Missing &amp; Exploited Children (NCMEC)</li> </ul> </li> </ul>  |
| <p>Staffing</p>                           | <ul style="list-style-type: none"> <li>• 1 Full-time Contract Position</li> </ul>  |

## C. Proposed Technical Solution

### 1. Technical Solution Alternatives

To conduct the alternatives analysis, the following steps were performed as it relates to hiring a contract team under the direction of ITS-BSE because those costs and infrastructure required are known. If a solution is provided from the RFI, it will also be analyzed using the same criteria. The alternative criteria were based on the:

- New system required interfaces
- Identified and defined lists of potential alternative system implementation methods
- Established set of uniform evaluation criteria against which each alternative was measured
- Determination of the best alternative for FDLE to efficiently process in MEPIC to assist in the location of the missing person(s)

The technical solution alternatives were considered:

#### **Approach 1: Vendor Product MEPIC System Replacement**

This will be determined pending the responses from the RFI.

#### **Approach 2: Cloud-Based MEPIC System Replacement**

Replace the current MEPIC system with the MEPIC application and database in cloud infrastructure recognizing that some other systems being interfaced with will not be cloud.

#### **Approach 3: On-Premise MEPIC System Replacement**

Replace the current MEPIC system with the application and database on-premise at FDLE's data center using cloud resources where most effective.

### 2. Rationale for Selection

FDLE applied several criteria to compare alternatives and recommend a business solution that best meets the business and strategic needs of the agency, agency partners, and the missing person who needs to be located.

These criteria included:

- Ability to dynamically manage new alert types that will probably be legislated in the future
- Ability to integrate with additional systems to provide leads for locating the missing person
- Streamline data entry for alerts and missing person cases
- Ability to automate more interfaces that are currently performed manually
- Additional effort required for data conversion
- Cost

### 3. Recommended Technical Solution

First, evaluate the Request for Information (RFI) respondents to determine if there is a solution available on the market. If there is a viable alternative which can meet the requirements and is cost effective, then that would be strongly supported.

If there is not a viable solution, then FDLE recommends replacing the current system with an on-premise solution. FDLE would contract a team for three years using FDLE's strategic IT architecture. The scope of the project would replace the MEPIC system's classic ASP framework, re-design the SQL Server 2019 database model, and convert the data from the old database structure to the redesigned structure. Enhancements, such as document management, address functionality with mapping, and better reporting would be included.

Replacing the current MEPIC system with on-premise servers, databases, and standardized application frameworks is the least cost development approach. Existing server infrastructure has the capacity to add the MEPIC system and database. FDLE's networks are already communicating to the internal and external interfaces required. And, ITS-BSE has led successful projects with this model in the past, namely the Automated Training Management System LBR and the Sexual Offender / Predator Registry Improvement LBR. Both of these LBR projects were developed to scope within the LBR timeframe and transitioned seamlessly to the internal maintenance teams for those applications.

## D. Proposed Solution Description

The proposed solution to replace the current MEPIC system with a modernized system requires contracting a project team with oversight by a FDLE manager for a three-year project. Once the project is complete, the internal FDLE ITS Business Systems Engineering (BSE) team will provide operational and maintenance support.

### 1. Summary Description of Proposed System

FDLE plans to address the modernized MEPIC solution in the following phases:

#### **Phase 1.1: MEPIC Database Redesign**

Phase 1.1 redesigns the current database tables with new database tables. Data mapping between the structures is completed. Data conversion scripts are written. While the new structures cannot be implemented in the Production environment for use because the classic ASP application will not be modified to use them, it does provide the project with converted data in the test environment. The data conversion scripts will be run several times in the test environment with user confirmation that data is converted correctly. This will be completed by 4/17/2025.

#### **Phase 1.2: MEPIC Maintenance Application Upgrade**

Phase 1.2 develops a new MEPIC Maintenance Application using FDLE's strategic infrastructure framework. The system components will use the redesigned database structures which means that the data conversion effort must be done in this implementation. The MEPIC Maintenance Application will be written to dynamically add alert types with indication of their required interfaces and documentation as the legislature requires. Data entry of alerts will be more streamlined. This will also be when manual processes, such as the communication to FDOT and FL Dept. of Lottery will be automated. The flyer of the missing person will be mobile-friendly. Case management functionality will include existing functionality better organized in web page navigation, case assignments, automated checks, and better reporting. Document management will be included in this implementation. This will be completed by 6/30/2026.

#### **System Type**

- Web-based user interface
- SQL Database
- Automated interfaces

#### **Connectivity**

The modernized MEPIC system will continue to operate using FDLE's existing secure connections.

#### **Security, Privacy, Confidentiality, Access**

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

***Development Approach***

To realize the business solution, FDLE will staff a contract team dedicated full-time to the MEPIC upgrade. The project team will consist of a Project Manager and two Business Analysts. At least one of the Business Analysts must be proficient in writing test plans and conducting thorough system testing. Eight developers will be hired who are proficient in Java programming, writing SQL stored procedures and scripts, and working with SQL databases. One of the developers will be a lead senior developer for the Java programming and database design. They will review the current database design and define the right mix to denormalize to meet the current business requirements and future growth. They will oversee and QA the adherence to FDLE coding standards. One developer will be dedicated to writing the SQL scripts to convert the data from the current tables to redesigned database tables so the old tables can be decommissioned and removed from the database. The remaining six developers will spend most of the project schedule programming the MEPIC Maintenance application functionality. All of the existing functionality will be required as well as new enhancements.

The contracted team will deliver the following:

- Implementation of MEPIC Lite to utilize the new data structures
- Implementation of the scheduled jobs to utilize the new data structures
- Implementation of upgraded public and CJNet MEPIC websites
- Implementation of an upgraded MEPIC Maintenance application using web services where possible
- Data analysis and data conversion services to include data cleanup where applicable
- System integration and testing services
- Decommissioning of the classic ASP MEPIC public website, CJNet website, and the Maintenance application
- Post implementation support
- Training services (technical and MEPIC users)
- Project management services
- Project communication to stakeholders
- Project documentation required by FL Digital Services and FDLE
- System documentation for future maintenance and support

***MEPIC Maintenance Application Internal FDLE Systems and External Interfaces***

The interfaces will include:

- FCIC
  - SOPS
  - FDLE’s public website (currently Kentico software)
  - Everbridge
  - FL Dept. of Children & Families
  - NCMEC
  - DHSMV
  - Melissa Data Cloud Service
  - Google Maps API
  - ASM
- Integration with MS-Office to produce the documents and templates is required.
  - Integration with MS-Office to send emails will be included.
  - Web services for communication to agency partners such as FDOT and FL Dept. of Lottery will be developed.

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

| Cost Elements | 2023-24            | 2024-25            | 2025-26            | Totals             |
|---------------|--------------------|--------------------|--------------------|--------------------|
| Staff         | \$1,900,000        | \$1,900,000        | \$1,900,000        | \$5,700,000        |
| Hardware      | \$35,000           | \$                 | \$                 | \$35,000           |
| Software      | \$30,000           | \$                 | \$                 | \$30,000           |
| Services      | \$0                | \$0                | \$0                | \$0                |
| Other         | \$0                | \$0                | \$0                | \$0                |
| <b>Total</b>  | <b>\$1,965,000</b> | <b>\$1,900,000</b> | <b>\$1,900,000</b> | <b>\$5,765,000</b> |

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

MEPIC is the central repository for missing persons for the State of Florida. The data that must be converted from the old SQL database table structures to the new SQL database table structures are:

|   | FY 24-25 Submission | FY 23-24 Submission |
|---|---------------------|---------------------|
| MEPIC Database Size   | 130,431 MB          | 128,294 MB          |
| # of Missing Person Pictures Stored                                   | 56,714              | 32,370              |
| # of "Active" Missing Person Cases to be converted                    | 791                 | 717                 |
| # of "Active" Unidentified Deceased Cases to be converted             | 132                 | 132                 |
| # of "Closed" Missing Person Cases that are < 5 years old (retention) | 60,037              | 58,025              |





**SCHEDULE IV-B FOR MEPIC TECHNOLOGY UPGRADE**

The expected capacity needs for document management is calculated as:

There are no documents which will be converted with the implementation; it is a Day 1 implementation.

Trending 2026 – 2030, MEPIC would have 13,942 cases \* average 3 documents/case \* average size of 700K/document = 27 Gigabytes

The numbers below represent people who have been reported to local law enforcement as missing by their families asking for assistance to find them for growth projections:

| Statistic            | Actuals |        |        |        |        | Trend Analysis |        |        |        |        |
|----------------------|---------|--------|--------|--------|--------|----------------|--------|--------|--------|--------|
|                      | 2018    | 2019   | 2020   | 2021   | 2022   | 2023           | 2024   | 2025   | 2026   | 2027   |
| AMBER Alerts         | 9       | 13     | 19     | 10     | 12     | 12             | 15     | 15     | 10     | 13     |
| Change               |         | 4      | 6      | -9     | 2      | 0              | 3      | 0      | -5     | 3      |
| % Change             |         | 44%    | 46%    | -47%   | 20%    | 0%             | 25%    | -1%    | -31%   | 26%    |
| Missing Child Alerts | 59      | 24     | 33     | 48     | 55     | 41             | 29     | 44     | 50     | 45     |
| Change               |         | -35    | 9      | 15     | 7      | -14            | -12    | 15     | 6      | -5     |
| % Change             |         | -59%   | 38%    | 45%    | 15%    | -26%           | -28%   | 52%    | 13%    | -10%   |
| Silver Alerts        | 257     | 273    | 249    | 287    | 275    | 258            | 269    | 265    | 281    | 266    |
| Change               |         | 16     | -24    | 38     | -12    | -17            | 11     | -4     | 15     | -15    |
| % Change             |         | 6%     | -9%    | 15%    | -4%    | -6%            | 4%     | -1%    | 6%     | -5%    |
| Purple Alerts        | N/A     | N/A    | N/A    | N/A    | 143    |                |        |        |        |        |
| Change               |         |        |        |        |        |                |        |        |        |        |
| % Change             |         |        |        |        |        |                |        |        |        |        |
| MEPIC Case Openings  | 2,812   | 2,613  | 2,641  | 2,684  | 3,131  | 2,634          | 2,634  | 2,758  | 2,838  | 2,892  |
| Change               |         | -199   | 28     | 43     | 447    | (497)          | 0      | 123    | 81     | 53     |
| % Change             |         | -7%    | 1%     | 2%     | 17%    | -16%           | 0%     | 5%     | 3%     | 2%     |
| FCIC Openings        | 38,505  | 36,762 | 34,372 | 35,842 | 39,097 | 36,863         | 35,602 | 35,659 | 37,385 | 37,847 |
| Change               |         | -1,743 | -2,390 | 1,470  | 3,255  | -2,234         | -1,261 | 57     | 1,726  | 462    |
| % Change             |         | -5%    | -7%    | 4%     | 9%     | -6%            | -3%    | 0%     | 5%     | 1%     |

In December 2019, FEMA enhanced capabilities of wireless emergency alerts by supporting up to 360 characters for newer mobile devices and supporting URLs to be included. FDLE implemented this functionality on 10/20/2020 by engaging a SaaS cloud provider to store the flyers for AMBER, Enhanced Missing Child, and Blue Alerts accessible by a URL. The SaaS provides high availability access thru the Content Delivery Network (CDN). This was done to offload the network traffic when WEAs are sent and public access is within a short time span. From 10/2020 – 8/2022, there were 49 alerts issued with the WEA involving 92,041,090 hits.

## VII. Schedule IV-B Project Management Planning

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

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

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

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See attached Appendix F for the Project Management Plan.

## VIII. Appendices

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

Appendix A – Standards and Definitions

Appendix B – Cost-Benefit Analysis Worksheet

Appendix C – Risk Assessment Worksheet

Appendix D – Estimated Project Schedule

Appendix E – MEPIC Requirements

Appendix F – Project Management Plan

Appendix A – Standards and Definitions

1. **Chapter 60GG-2, STATE OF FLORIDA CYBERSECURITY STANDARDS**  
<https://www.flrules.org/gateway/ChapterHome.asp?Chapter=60GG-2>
2. **Chapter 60GG-1, State of Florida Project Management and Oversight**  
<https://www.flrules.org/gateway/ChapterHome.asp?Chapter=60GG-1>
3. **Chapter 60GG-3, Data Center Operations**  
<https://www.flrules.org/gateway/ChapterHome.asp?Chapter=60GG-3>
4. **Chapter 60GG-4, Cloud Computing**  
<https://www.flrules.org/gateway/ChapterHome.asp?Chapter=60GG-4>
5. **Chapter 60GG-5, State of Florida Enterprise Architecture**  
<https://www.flrules.org/gateway/ChapterHome.asp?Chapter=60GG-5>
6. **CJIS Security Policy**  
[Criminal Justice Information Services \(CJIS\) Security Policy \(pa.gov\)](#)
7. **United States Rehabilitation Act – Section 508**  
[Manage an IT Accessibility/508 Program | Section508.gov](#)

Appendix B – Cost-Benefit Analysis Worksheet

See additional documents

Appendix C – Risk Assessment Worksheet

See additional documents

Appendix D – Estimated Project Schedule

See additional documents

Appendix E – MEPIC Requirements

See additional documents

Appendix F – Project Management Plan

See additional documents

CBAForm 1 - Net Tangible Benefits

|        |                                       |         |                          |
|--------|---------------------------------------|---------|--------------------------|
| Agency | Florida Department of Law Enforcement | Project | MEPIC Technology Upgrade |
|--------|---------------------------------------|---------|--------------------------|

| 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<br><i>(Recurring Costs Only -- No Project Costs)</i>   | FY 2024-25                    |                                |  | FY 2025-26                    |                                |  | FY 2026-27                    |                                |  | FY 2027-28                    |  |  | FY 2028-29                    |                                |  |
|   | (a)<br>Existing Program Costs | (b)<br>Operational Cost Change | (c) = (a)+(b)<br>New Program Costs resulting from Proposed Project | (a)<br>Existing Program Costs | (b)<br>Operational Cost Change | (c) = (a) + (b)<br>New Program Costs resulting from Proposed Project | (a)<br>Existing Program Costs | (b)<br>Operational Cost Change | (c) = (a) + (b)<br>New Program Costs resulting from Proposed Project | (a)<br>Existing Program Costs | (b)<br>Cost Change Operational Cost Change | (c) = (a) + (b)<br>New Program Costs resulting from Proposed Project | (a)<br>Existing Program Costs | (b)<br>Operational Cost Change | (c) = (a) + (b)<br>New Program Costs resulting from Proposed Project |
| <b>A. Personnel Costs -- Agency-Managed Staff</b>   | \$160,000                     | \$0                            | \$160,000  | \$160,000                     | \$0                            | \$160,000  | \$160,000                     | \$0                            | \$160,000  | \$160,000                     | \$0  | \$160,000  | \$160,000                     | \$0                            | \$160,000  |
| <b>A.b Total Staff</b>  | 1.00                          | 0.00                           | 1.00   | 1.00                          | 0.00                           | 1.00   | 1.00                          | 0.00                           | 1.00   | 1.00                          | 0.00                                       | 1.00   | 1.00                          | 0.00                           | 1.00   |
| A-1.a. State FTEs (Salaries & Benefits)   | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0  | \$0  | \$0                           | \$0                            | \$0  |
| A-1.b. State FTEs (#)   | 0.00                          | 0.00                           | 0.00   | 0.00                          | 0.00                           | 0.00   | 0.00                          | 0.00                           | 0.00   | 0.00                          | 0.00                                       | 0.00   | 0.00                          | 0.00                           | 0.00   |
| A-2.a. OPS Staff (Salaries)   | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0  | \$0  | \$0                           | \$0                            | \$0  |
| A-2.b. OPS Staff (#)  | 0.00                          | 0.00                           | 0.00   | 0.00                          | 0.00                           | 0.00   | 0.00                          | 0.00                           | 0.00   | 0.00                          | 0.00                                       | 0.00   | 0.00                          | 0.00                           | 0.00   |
| A-3.a. Staff Augmentation (Contract Cost)   | \$160,000                     | \$0                            | \$160,000  | \$160,000                     | \$0                            | \$160,000  | \$160,000                     | \$0                            | \$160,000  | \$160,000                     | \$0  | \$160,000  | \$160,000                     | \$0                            | \$160,000  |
| A-3.b. Staff Augmentation (# of Contractors)  | 1.00                          | 0.00                           | 1.00   | 1.00                          | 0.00                           | 1.00   | 1.00                          | 0.00                           | 1.00   | 1.00                          | 0.00                                       | 1.00   | 1.00                          | 0.00                           | 1.00   |
| <b>B. Application Maintenance Costs</b>   | \$0                           | \$15,000                       | \$15,000   | \$0                           | \$15,000                       | \$15,000   | \$0                           | \$15,000                       | \$15,000   | \$0                           | \$15,000                                   | \$15,000   | \$0                           | \$15,000                       | \$15,000   |
| B-1. Managed Services (Staffing)  | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0  | \$0  | \$0                           | \$0                            | \$0  |
| B-2. Hardware   | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0  | \$0  | \$0                           | \$0                            | \$0  |
| B-3. Software   | \$0                           | \$15,000                       | \$15,000   | \$0                           | \$15,000                       | \$15,000   | \$0                           | \$15,000                       | \$15,000   | \$0                           | \$15,000                                   | \$15,000   | \$0                           | \$15,000                       | \$15,000   |
| B-4. Other <span style="float: right;">Specify</span>   | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0  | \$0  | \$0                           | \$0                            | \$0  |
| <b>C. Data Center Provider Costs</b>  | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0  | \$0  | \$0                           | \$0                            | \$0  |
| C-1. Managed Services (Staffing)  | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0  | \$0  | \$0                           | \$0                            | \$0  |
| C-2. Infrastructure   | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0  | \$0  | \$0                           | \$0                            | \$0  |
| C-3. Network / Hosting Services   | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0  | \$0  | \$0                           | \$0                            | \$0  |
| C-4. Disaster Recovery  | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0  | \$0  | \$0                           | \$0                            | \$0  |
| C-5. Other <span style="float: right;">Specify</span>   | \$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 <span style="float: right;">Specify</span>   | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0                            | \$0  | \$0                           | \$0  | \$0  | \$0                           | \$0                            | \$0  |
| <b>Total of Recurring Operational Costs</b>   | \$160,000                     | \$15,000                       | \$175,000  | \$160,000                     | \$15,000                       | \$175,000  | \$160,000                     | \$15,000                       | \$175,000  | \$160,000                     | \$15,000                                   | \$175,000  | \$160,000                     | \$15,000                       | \$175,000  |
| <b>F. Additional Tangible Benefits:</b>   |                               | \$0                            |  |                               | \$0                            |  |                               | \$0                            |  |                               | \$0  |  |                               | \$0                            |  |
| F-1. <span style="float: right;">Specify</span>   |                               | \$0                            |  |                               | \$0                            |  |                               | \$0                            |  |                               | \$0  |  |                               | \$0                            |  |
| F-2. <span style="float: right;">Specify</span>   |                               | \$0                            |  |                               | \$0                            |  |                               | \$0                            |  |                               | \$0  |  |                               | \$0                            |  |
| F-3. <span style="float: right;">Specify</span>   |                               | \$0                            |  |                               | \$0                            |  |                               | \$0                            |  |                               | \$0  |  |                               | \$0                            |  |
| <b>Total Net Tangible Benefits:</b>   |                               | (\$15,000)                     |  |                               | (\$15,000)                     |  |                               | (\$15,000)                     |  |                               | (\$15,000)                                 |  |                               | (\$15,000)                     |  |

| CHARACTERIZATION OF PROJECT BENEFIT ESTIMATE -- CBAForm 1B |                     |               |
|--|---------------------|---------------|
| Choose Type  | Estimate Confidence | Enter % (+/-) |
| Detailed/Rigorous  | Confidence Level    |               |
| Order of Magnitude   | Confidence Level    |               |
| Placeholder  | Confidence Level    |               |

| A  | B  |                                       | C                        | D  | E                                   | F                   | G                   | H            | I                   | J                   | K           | L        | M                   | N           | O        | P                   | Q           | R        | S                   | T            |                     |
|----|--|---------------------------------------|--------------------------|--|-------------------------------------|---------------------|---------------------|--------------|---------------------|---------------------|-------------|----------|---------------------|-------------|----------|---------------------|-------------|----------|---------------------|--------------|---------------------|
| 1  | Florida Department of Law Enforcement  |                                       | MEPIC Technology Upgrade |  | CBA Form 2A Baseline Project Budget |                     |                     |              |                     |                     |             |          |                     |             |          |                     |             |          |                     |              |                     |
| 2  | Costs entered into each row are mutually exclusive. Insert rows for detail and modify appropriation categories as necessary, but do not remove any of the provided project cost elements. Reference vendor quotes in the Item Description where applicable. Include only one-time project costs in this table. Include any recurring costs in CBA Form 1A. |                                       |                          |  | FY2024-25                           |                     |                     | FY2025-26    |                     |                     | FY2026-27   |          |                     | FY2027-28   |          |                     | FY2028-29   |          |                     | TOTAL        |                     |
| 3  |  |                                       |                          |  | \$ 1,900,000                        |                     |                     | \$ 1,900,000 |                     |                     | \$ -        |          |                     | \$ -        |          |                     | \$ -        |          |                     | \$ 3,800,000 |                     |
| 4  | Item Description<br><i>(remove guidelines and annotate entries here)</i>   | Project Cost Element                  | Appropriation Category   | Current & Previous<br>Years Project-<br>Related Cost | YR 1 #                              | YR 1 LBR            | YR 1 Base<br>Budget | YR 2 #       | YR 2 LBR            | YR 2 Base<br>Budget | YR 3 #      | YR 3 LBR | YR 3 Base<br>Budget | YR 4 #      | YR 4 LBR | YR 4 Base<br>Budget | YR 5 #      | YR 5 LBR | YR 5 Base<br>Budget | TOTAL        |                     |
| 5  | Costs for all state employees working on the project.  | FTE                                   | S&B                      | \$ -   | 0.00                                | \$ -                | \$ -                | 0.00         | \$ -                | \$ -                | 0.00        | \$ -     | \$ -                | 0.00        | \$ -     | \$ -                | 0.00        | \$ -     | \$ -                | \$ -         | \$ -                |
| 6  | Costs for all OPS employees working on the project.  | OPS                                   | OPS                      | \$ -   | 0.00                                | \$ -                | \$ -                | 0.00         | \$ -                | \$ -                | 0.00        | \$ -     | \$ -                | 0.00        | \$ -     | \$ -                | 0.00        | \$ -     | \$ -                | \$ -         | \$ -                |
| 7  | Staffing costs for personnel using Time & Expense.   | Staff Augmentation                    | Contracted<br>Services   | \$ -   | 11.00                               | \$ 1,900,000        | \$ -                | 11.00        | \$ 1,900,000        | \$ -                | 0.00        | \$ -     | \$ -                | 0.00        | \$ -     | \$ -                | 0.00        | \$ -     | \$ -                | \$ -         | \$ 3,800,000        |
| 8  | Project management personnel and related deliverables.   | Project Management                    | Contracted<br>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<br>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<br>Services   | \$ -   | 0.00                                | \$ -                | \$ -                | 0.00         | \$ -                | \$ -                | 0.00        | \$ -     | \$ -                | 0.00        | \$ -     | \$ -                | 0.00        | \$ -     | \$ -                | \$ -         | \$ -                |
| 11 | Separate requirements analysis and feasibility study procurements.   | Project Planning/Analysis             | Contracted<br>Services   | \$ -   |                                     | \$ -                | \$ -                |              | \$ -                | \$ -                |             | \$ -     | \$ -                |             | \$ -     | \$ -                |             | \$ -     | \$ -                | \$ -         | \$ -                |
| 12 | Hardware purchases not included in data center services.   | Hardware                              | OCO                      | \$ -   |                                     | \$ -                | \$ -                |              | \$ -                | \$ -                |             | \$ -     | \$ -                |             | \$ -     | \$ -                |             | \$ -     | \$ -                | \$ -         | \$ -                |
| 13 | Commercial software purchases and licensing costs.   | Commercial Software                   | Contracted<br>Services   | \$ -   |                                     | \$ -                | \$ -                |              | \$ -                | \$ -                |             | \$ -     | \$ -                |             | \$ -     | \$ -                |             | \$ -     | \$ -                | \$ -         | \$ -                |
| 14 | Professional services with fixed-price costs (i.e. software development, installation, project documentation)  | Project Deliverables                  | Contracted<br>Services   | \$ -   |                                     | \$ -                | \$ -                |              | \$ -                | \$ -                |             | \$ -     | \$ -                |             | \$ -     | \$ -                |             | \$ -     | \$ -                | \$ -         | \$ -                |
| 15 | All first-time training costs associated with the project.   | Training                              | Contracted<br>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<br>Category  | \$ -   |                                     | \$ -                | \$ -                |              | \$ -                | \$ -                |             | \$ -     | \$ -                |             | \$ -     | \$ -                |             | \$ -     | \$ -                | \$ -         | \$ -                |
| 17 | Other contracted services not included in other categories.  | Other Services                        | Contracted<br>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                  | \$ -   |                                     | \$ -                | \$ -                |              | \$ -                | \$ -                |             | \$ -     | \$ -                |             | \$ -     | \$ -                |             | \$ -     | \$ -                | \$ -         | \$ -                |
| 21 | <b>Total</b>   |                                       |                          | \$ -   | <b>11.00</b>                        | <b>\$ 1,900,000</b> | \$ -                | <b>11.00</b> | <b>\$ 1,900,000</b> | \$ -                | <b>0.00</b> | \$ -     | \$ -                | <b>0.00</b> | \$ -     | \$ -                | <b>0.00</b> | \$ -     | \$ -                | \$ -         | <b>\$ 3,800,000</b> |

CBAForm 2 - Project Cost Analysis

|               |                                       |                |  |                          |
|---------------|---------------------------------------|----------------|--|--------------------------|
| <b>Agency</b> | Florida Department of Law Enforcement | <b>Project</b> |  | MEPIC Technology Upgrade |
|---------------|---------------------------------------|----------------|--|--------------------------|

| PROJECT COST SUMMARY  | PROJECT COST SUMMARY (from CBAForm 2A) |             |             |             |             | TOTAL       |
|---|--|-------------|-------------|-------------|-------------|-------------|
|   | FY 2024-25                             | FY 2025-26  | FY 2026-27  | FY 2027-28  | FY 2028-29  |             |
| TOTAL PROJECT COSTS (*)   | \$1,900,000                            | \$1,900,000 | \$0         | \$0         | \$0         | \$3,800,000 |
| CUMULATIVE PROJECT COSTS<br><small>(includes Current &amp; Previous Years' Project-Related Costs)</small> | \$1,900,000                            | \$3,800,000 | \$3,800,000 | \$3,800,000 | \$3,800,000 |             |
| Total Costs are carried forward to CBAForm3 Project Investment Summary worksheet.                         |  |             |             |             |             |             |

| PROJECT FUNDING SOURCES                | PROJECT FUNDING SOURCES - CBAForm 2B |             |             |             |             | TOTAL       |
|--|--------------------------------------|-------------|-------------|-------------|-------------|-------------|
|  | FY 2024-25                           | FY 2025-26  | FY 2026-27  | FY 2027-28  | FY 2028-29  |             |
| General Revenue                        | \$1,900,000                          | \$1,900,000 | \$0         | \$0         | \$0         | \$3,800,000 |
| Trust Fund                             | \$0                                  | \$0         | \$0         | \$0         | \$0         | \$0         |
| Federal Match <input type="checkbox"/> | \$0                                  | \$0         | \$0         | \$0         | \$0         | \$0         |
| Grants <input type="checkbox"/>        | \$0                                  | \$0         | \$0         | \$0         | \$0         | \$0         |
| Other <input type="checkbox"/> Specify | \$0                                  | \$0         | \$0         | \$0         | \$0         | \$0         |
| TOTAL INVESTMENT                       | \$1,900,000                          | \$1,900,000 | \$0         | \$0         | \$0         | \$3,800,000 |
| CUMULATIVE INVESTMENT                  | \$1,900,000                          | \$3,800,000 | \$3,800,000 | \$3,800,000 | \$3,800,000 |             |

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

CBAForm 3 - Project Investment Summary

|        |  |         |                          |
|--------|--|---------|--------------------------|
| Agency | Florida Department of Law<br>Enforcement | Project | MEPIC Technology Upgrade |
|--------|--|---------|--------------------------|

| <i>COST BENEFIT ANALYSIS -- CBAForm 3A</i> |               |               |               |               |               |                        |
|--|---------------|---------------|---------------|---------------|---------------|------------------------|
|  | FY<br>2024-25 | FY<br>2025-26 | FY<br>2026-27 | FY<br>2027-28 | FY<br>2028-29 | TOTAL FOR ALL<br>YEARS |
| Project Cost                               | \$1,900,000   | \$1,900,000   | \$0           | \$0           | \$0           | \$3,800,000            |
| Net Tangible Benefits                      | (\$15,000)    | (\$15,000)    | (\$15,000)    | (\$15,000)    | (\$15,000)    | (\$75,000)             |
| Return on Investment                       | (\$1,915,000) | (\$1,915,000) | (\$15,000)    | (\$15,000)    | (\$15,000)    | (\$3,875,000)          |
| Year to Year Change in Program Staffing    | 0             | 0             | 0             | 0             | 0             |                        |

| <i>RETURN ON INVESTMENT ANALYSIS -- CBAForm 3B</i> |               |   |
|--|---------------|---|
| 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)                            | (\$3,701,961) | 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.  |

| <i>Investment Interest Earning Yield -- CBAForm 3C</i> |               |               |               |               |               |
|--|---------------|---------------|---------------|---------------|---------------|
| Fiscal<br>Year   | FY<br>2024-25 | FY<br>2025-26 | FY<br>2026-27 | FY<br>2027-28 | FY<br>2028-29 |
| Cost of Capital  | 2.90%         | 3.10%         | 3.30%         | 3.40%         | 3.50%         |



|    | B  | C | D  | E                                  | F | G                | H                    |  |  |  |  |  |  |
|----|--|---|--|------------------------------------|---|------------------|----------------------|--|--|--|--|--|--|
| 3  | <b>Project</b>   |   | <i>MEPIC Technology Upgrade</i>              |                                    |   |                  |                      |  |  |  |  |  |  |
| 4  |  |   |  |                                    |   |                  |                      |  |  |  |  |  |  |
| 5  | <b>Agency</b>  |   | <i>Florida Department of Law Enforcement</i> |                                    |   |                  |                      |  |  |  |  |  |  |
| 6  | <b>FY 2024-25 LBR Issue Code:</b>  |   |  | <b>FY 2024-25 LBR Issue Title:</b> |   |                  |                      |  |  |  |  |  |  |
| 7  | <i>Issue Code</i>  |   |  | <i>MEPIC Technology Upgrade</i>    |   |                  |                      |  |  |  |  |  |  |
| 8  | <b>Risk Assessment Contact Info (Name, Phone #, and E-mail Address):</b> |   |  |                                    |   |                  |                      |  |  |  |  |  |  |
| 9  | <i>Becky Bezemek - 850-410-8459 - BeckyBezemek@fdle.state.fl.us</i>      |   |  |                                    |   |                  |                      |  |  |  |  |  |  |
| 10 | <b>Executive Sponsor</b>   |   | <i>SAC Mike Phillips</i>                     |                                    |   |                  |                      |  |  |  |  |  |  |
| 11 | <b>Project Manager</b>   |   | <i>TBD</i>                                   |                                    |   |                  |                      |  |  |  |  |  |  |
| 12 | <b>Prepared By</b>   |   | <i>Pamela Bullard</i>                        |                                    |   | <i>7/10/2023</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>LOW</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>MEDIUM</b>        |  |  |  |  |  |  |
| 47 |  |   |  |                                    |   |                  |                      |  |  |  |  |  |  |
| 48 | <b>Project Management Assessment</b>                                     |   |  |                                    |   |                  | <b>LOW</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  | Agency: Florida Department of Law Enforcement |   | Project: MEPIC Technology Upgrade  |   |
| 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  | 81% to 100% -- All or nearly all defined and documented     |
| 18 |   |   | 41% to 80% -- Some defined and documented  |   |
| 19 |   |   | 81% to 100% -- All or nearly all defined and documented  |   |
| 20 | 1.06  | Are all needed changes in law, rule, or policy identified and documented?   | No changes needed  | No changes needed   |
| 21 |   |   | Changes unknown  |   |
| 22 |   |   | Changes are identified in concept only   |   |
| 23 |   |   | Changes are identified and documented  |   |
| 24 |   |   | Legislation or proposed rule change is drafted   |   |
| 25 | 1.07  | Are any project phase or milestone completion dates fixed by outside factors, e.g., state or federal law or funding restrictions?                     | Few or none  | Few or none   |
| 26 |   |   | Some   |   |
| 27 |   |   | All or nearly all  |   |
| 28 | 1.08  | What is the external (e.g. public) visibility of the proposed system or project?  | Minimal or no external use or visibility   | Moderate 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  | Agency: Florida Department of Law Enforcement |  | Project: MEPIC Technology Upgrade  |  |
| 3  | Section 2 -- Technology Area                  |  |  |  |
| 4  | #   | Criteria   | Values   | Answer   |
| 5  | 2.01  | Does the agency have experience working with, operating, and supporting the proposed technical solution in a production environment?   | Read about only or attended conference and/or vendor presentation  | Installed and supported production system more than 3 years  |
| 6  |   |  | Supported prototype or production system less than 6 months  |  |
| 7  |   |  | Supported production system 6 months to 12 months  |  |
| 8  |   |  | Supported production system 1 year to 3 years  |  |
| 9  |   |  | Installed and supported production system more than 3 years  |  |
| 10 | 2.02  | Does the agency's internal staff have sufficient knowledge of the proposed technical solution to implement and operate the new system? | External technical resources will be needed for implementation and operations  | External technical resources will be needed through implementation only  |
| 11 |   |  | External technical resources will be needed through implementation only  |  |
| 12 |   |  | Internal resources have sufficient knowledge for implementation and operations                                       |  |
| 13 | 2.03  | Have all relevant technical alternatives/ solution options been researched, documented and considered?                                 | No technology alternatives researched  | All or nearly all alternatives documented and considered   |
| 14 |   |  | Some alternatives documented and considered  |  |
| 15 |   |  | All or nearly all alternatives documented and considered   |  |
| 16 | 2.04  | Does the proposed technical solution comply with all relevant agency, statewide, or industry technology standards?                     | No relevant standards have been identified or incorporated into proposed technology                                  | Proposed technology solution is fully compliant with all relevant agency, statewide, or industry standards           |
| 17 |   |  | Some relevant standards have been incorporated into the proposed technology  |  |
| 18 |   |  | Proposed technology solution is fully compliant with all relevant agency, statewide, or industry standards           |  |
| 19 | 2.05  | Does the proposed technical solution require significant change to the agency's existing technology infrastructure?                    | Minor or no infrastructure change required   | Minor or no infrastructure change required   |
| 20 |   |  | Moderate infrastructure change required  |  |
| 21 |   |  | Extensive infrastructure change required   |  |
| 22 |   |  | Complete infrastructure replacement  |  |
| 23 | 2.06  | Are detailed hardware and software capacity requirements defined and documented?   | Capacity requirements are not understood or defined  | Capacity requirements are based on historical data and new system design specifications and performance requirements |
| 24 |   |  | Capacity requirements are defined only at a conceptual level   |  |
| 25 |   |  | Capacity requirements are based on historical data and new system design specifications and performance requirements |  |

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

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

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

|    | B   | C  | D  | E  |
|----|---|--|--|--|
| 1  | Agency: Florida Department of Law Enforcement |  | Project: MEPIC Technology Upgrade  |  |
| 3  | Section 6 -- Project Organization Area        |  |  |  |
| 4  | #   | Criteria   | Values   | Answer   |
| 5  | 6.01  | Is the project organization and governance structure clearly defined and documented within an approved project plan?   | Yes  | No   |
| 6  | 6.01  |  | 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  | 6.02  |  | Some have been defined and documented  |  |
| 9  | 6.02  |  | 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 | 6.03  |  | Agency   |  |
| 12 | 6.03  |  | System Integrator (contractor)   |  |
| 13 | 6.04  | How many project managers and project directors will be responsible for managing the project?  | 3 or more  | 1  |
| 14 | 6.04  |  | 2  |  |
| 15 | 6.04  |  | 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 | 6.05  |  | Some or most staff roles and responsibilities and needed skills have been identified                           |  |
| 18 | 6.05  |  | 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 | 6.06  |  | No, project manager is assigned 50% or less to project   |  |
| 21 | 6.06  |  | No, project manager assigned more than half-time, but less than full-time to project                           |  |
| 22 | 6.06  |  | Yes, experienced project manager dedicated full-time, 100% to project  |  |
| 23 | 6.07  | Are qualified project management team members dedicated full-time to the project   | None   | No, business, functional or technical experts dedicated 50% or less to project                     |
| 24 | 6.07  |  | No, business, functional or technical experts dedicated 50% or less to project                                 |  |
| 25 | 6.07  |  | No, business, functional or technical experts dedicated more than half-time but less than full-time to project |  |
| 26 | 6.07  |  | Yes, business, functional or technical experts dedicated full-time, 100% to project                            |  |
| 27 | 6.08  | Does the agency have the necessary knowledge, skills, and abilities to staff the project team with in-house resources?   | Few or no staff from in-house resources  | Few or no staff from in-house resources  |
| 28 | 6.08  |  | Half of staff from in-house resources  |  |
| 29 | 6.08  |  | Mostly staffed from in-house resources   |  |
| 30 | 6.08  |  | 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 | 6.09  |  | Moderate impact  |  |
| 33 | 6.09  |  | 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 | 6.10  |  | No   |  |
| 36 | 6.11  | Are all affected stakeholders represented by functional manager on the change review and control board?  | No board has been established  | Yes, all stakeholders are represented by functional manager  |
| 37 | 6.11  |  | No, only IT staff are on change review and control board   |  |
| 38 | 6.11  |  | No, all stakeholders are not represented on the board  |  |
| 39 | 6.11  |  | Yes, all stakeholders are represented by functional manager  |  |

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



|    | B   | C  | D  | E  |
|----|---|--|--|--|
| 1  | Agency: Florida Department of Law Enforcement |  | Project: MEPIC Technology Upgrade  |  |
| 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  | Single location                                      |
| 10 |   |  | 3 sites or fewer   |  |
| 11 |   |  | More than 3 sites  |  |
| 12 | 8.03  | Are the project team members dispersed across multiple cities, counties, districts, or regions?  | Single location  | Single location                                      |
| 13 |   |  | 3 sites or fewer   |  |
| 14 |   |  | More than 3 sites  |  |
| 15 | 8.04  | How many external contracting or consulting organizations will this project require?   | No external organizations  | More than 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  | More than 4  |
| 23 |   |  | 2 to 4   |  |
| 24 |   |  | 1  |  |
| 25 |   |  | None   |  |
| 26 | 8.07  | What is the impact of the project on state operations?   | Business process change in single division or bureau   | 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   | Infrastructure upgrade                               |
| 32 |   |  | Implementation requiring software development or purchasing commercial off the shelf (COTS) software |  |
| 33 |   |  | Business Process Reengineering   |  |
| 34 |   |  | Combination of the above   |  |
| 35 | 8.10  | Has the project manager successfully managed similar projects to completion?   | No recent experience   | Similar size and complexity                          |
| 36 |   |  | Lesser size and complexity   |  |
| 37 |   |  | Similar size and complexity  |  |
| 38 |   |  | Greater size and complexity  |  |
| 39 | 8.11  | Does the agency management have experience governing projects of equal or similar size and complexity to successful completion?                          | No recent experience   | Greater size and complexity                          |
| 40 |   |  | Lesser size and complexity   |  |
| 41 |   |  | Similar size and complexity  |  |
| 42 |   |  | Greater size and complexity  |  |





# **Missing Endangered Persons Information Clearinghouse (MEPIC)**

## **System Requirements Document**



## Table of Contents

|      |                                   |    |
|------|-----------------------------------|----|
| 1.   | Revision History .....            | 1  |
| 2.   | Introduction.....                 | 2  |
| 2.1. | Purpose.....                      | 2  |
| 2.2. | Business Context .....            | 2  |
| 2.3. | Scope .....                       | 3  |
| 3.   | Project Description .....         | 4  |
| 3.1. | Project Context.....              | 4  |
| 4.   | Specific Requirements .....       | 5  |
| 4.1. | Functional Requirements .....     | 5  |
| 4.2. | Non-Functional Requirements ..... | 14 |



### 1. Revision History

Identify changes to the Requirements document.

| Version # | Date   | Name                            | Description      |
|-----------|--------|---------------------------------|------------------|
| 1.0       | 6/2022 | Pamela Bullard<br>IFS Customers | Initial Creation |
|           |        |                                 |                  |
|           |        |                                 |                  |
|           |        |                                 |                  |
|           |        |                                 |                  |
|           |        |                                 |                  |



## 2. Introduction

### 2.1. Purpose

These requirements are for the Missing and Exploited Persons Information Center (MEPIC) system upgrade. The MEPIC system includes several application components. The upgrade will include reprogramming the online web screens from classic ASP, as well as redesign of its database model. The end result of the project will decommission the classic ASP MEPIC system and convert the data from the old database design which is basically one core Case table converted from MS-Access in 2003 to new, relational database structures to improve data entry. All MEPIC application components will be impacted by the database redesign. Some application components will require a complete rewrite; some will require the fields to be updated to the new database table fields. All functionality of the existing MEPIC system is included in the scope, as well as some enhancements.

### 2.2. Business Context

FDLE's MEPIC unit within Investigations and Forensic Science (IFS) Office of Statewide Investigative Services (OSIS) is responsible for issuing the missing person alerts and the Blue Alerts for Florida's Fusion Center. They manage the statewide Missing Persons Hotline, which operates 24/7, to receive calls from local law enforcement agencies in regard to issuing an alert. They must ensure the case meets the criteria set forth legislatively which allows FDLE to issue the alert to public citizens and agency partners.

FDLE's MEPIC application has system interfaces to Florida's Crime Information Center (FCIC) and the Florida Department of Children & Families. These are mechanisms for creating the case in MEPIC, which facilitate FDLE to be ready when a local law enforcement agency calls to ask FDLE to issue an alert. When the local law enforcement agency calls, the MEPIC analysts gather more information about the case to include in the alert flyer. They input all information provided to MEPIC, which will generate the flyer with the picture provided of the missing person(s), companion(s), suspect(s), and vehicle (if applicable). The flyer contains information that would be beneficial to public citizens if they were to see the missing person or suspect. When the flyer is ready, the MEPIC analyst sends the flyer to Everbridge from MEPIC for public subscriber communication. MEPIC generates text scripts for the Wireless Emergency Alert (WEA) (if an AMBER or Enhanced Missing Child Alert or Blue Alert), Florida Department of Lottery and Florida Department of Transportation (if a vehicle is involved). MEPIC generates the script text, but the MEPIC analyst currently has manual intervention to send these communications to the partners.

Equally important in the MEPIC Application is the case management functionality. Not all cases are quickly resolved by the missing person being found within short time periods. Cases remain active in MEPIC until the person is found. The MEPIC analysts document investigative leads related to the cases in MEPIC. They run peripheral checks with credit card vendors or law enforcement applications for the missing person. They contribute to the Sexual Offender & Predator and Career Offender registries when cases appear to involve sexual or brutal offenses. These systems are part of IFS' OSIS Enforcement & Investigative Support (EIS) unit. For the cases which appear to involve a sexual act or a career criminal, the MEPIC analysts share information with Inspectors working the cases. Presently, the sharing of information is manual by viewing the information in the case and discussing it with the Inspectors or emailing.

MEPIC also is the repository for unidentified persons. Information about remains are documented. FDLE has been able to identify 28 remains over the years of this functionality being a part of MEPIC.

IFS serves as the investigative arm of FDLE. MEPIC is one system that IFS relies on to be able to effectively assist families with finding their missing loved one.



## 2.3.Scope

The MEPIC system is comprised of several classic ASP applications:

- There is a **public website** on the internet and a **law enforcement website** on FDLE's CJNet network. These websites allow searching of missing person or unidentified person information by various parameters such as case category, name, county, city, age, race, or sex. They show the list of Active alerts with their flyers. The websites provide general information relating to criteria required to activate each alert type, Missing Children's Day, the MEPIC Advisory Board, various Publications, and Safety Tips.
- **FDLE's public mobile application**, available in the Google Play Store and Apple's App Store, **shows all active missing person alerts** (referred to as MEPIC Lite).
- There are **scheduled jobs** which import data to or extract data from MEPIC:
  1. Local law enforcement enters missing person information to FCIC to share with deputies within their jurisdiction. MEPIC imports that information every half hour to have a "head start" on the data entry when local law enforcement calls to issue an alert.
  2. A file of missing persons is sent to Pinellas County daily for age progression as part of their Face Analysis Comparison & Examination System (FACES) for facial recognition accessed by more than 275 law enforcement agencies.
  3. Florida cases are sent to the National Center for Missing & Exploited Children (NCMEC) and the Law Enforcement Information Exchange (LInX).
- MEPIC has what is referred to as a "**Maintenance Application**" which is the Clearinghouse referenced in Florida Statutes. It is the application in which MEPIC analysts input information related to each case. Its database provides information to the public/CJNet websites, FDLE's public mobile app, and imports or provides data for the scheduled jobs. When the MEPIC Maintenance Application was originally written, it was more of a missing person tracking system. Today's version of the MEPIC Maintenance Application was implemented in 2003 by converting a MS-Access database to classic ASP and a SQL database. Case investigations have evolved as well as legislation for additional alert types for which the MEPIC Maintenance Application has been enhanced to accommodate the need with the case-centric database model. At the end of this project, due to the redesigned database and the upgrade in programming technology, a new MEPIC Maintenance Application will be used, and the 2003 version will be decommissioned.

Because of the difficulty of writing required functionality using classic ASP, additional screens and tabs have complicated the navigation. Some enhancements have not been done in classic ASP. Some data entry processes are multi-step navigating many web pages. This could jeopardize someone's life when trying to get an alert out quickly for public citizen or partner agency assistance in locating them.

The database needs to be redesigned by de-normalizing the Case table. By doing this, the duplicate data entry that has to be done when there are multiple persons involved in the same case can be eliminated. Data entry can be better streamlined. Reporting is not easy in the current database structure without IT programming assistance.



## 3. Project Description

### 3.1. Project Context

This project involves modernizing all of the MEPIC system components and database. Both aspects are needed to better reflect the business needs of the legislated use of the missing persons Clearinghouse. FDLE has added functionality, mostly related to issuing alerts, as the Florida Legislature has enacted new alert types. The programming language in which the current system is written is classic ASP. This has made it difficult to make the programming changes quickly. Missing person alerts, especially AMBER Alerts, generate high public interest. Predatory stranger abductions can result in the homicide of a kidnapped child. By definition, this is a cataclysmic event for the child and their families, but the pain and anguish associated with the assault and death of a child also radiates out to the local community and the public at large. FDLE is a leader in missing person clearinghouse functionality with the ability to issue alerts, but it is becoming harder to incorporate newer technology with the older programming and database design. Because of the high stakes involved with missing person alerting, an agile, robust, and stable system is a necessity.

This project will involve streamlining the application so that it more efficiently allows the MEPIC analysts to issue alerts. It will involve redesigning the database from a “case centric” database design to a more flexible design that allows easier data entry for alerts and cases. It will involve creating a new user interface design so the users do not need to navigate multiple screens to perform single business processes. A new design will also make it more intuitive.

One of the latest technology enhancements to MEPIC has been the incorporation of using a hosted platform to store AMBER Alerts and Enhanced Missing Child Alerts with a generated URL. This was a critical enhancement. The FCC required cell phone providers to increase the length of text that can be included in a Wireless Emergency Alert (WEA), which is what initiated moving the AMBER and Enhanced Missing Child Alerts to a hosted platform. FDLE really wanted to use this functionality because of the public outreach of the WEA. FDLE’s network could not handle the load of potentially millions of people clicking on a WEA link at or near the same time. FDLE engaged a cloud service to store the AMBER and Enhanced Missing Child Alerts with a generated URL and a high availability service level agreement which could be used with the WEA. The impact of this enhancement has been significant. One Blue Alert had 10 million hits. It has doubled the effectiveness of Missing Child Alerts.

For the last five full calendar years (2017 - 2021), MEPIC has issued an average of 12 AMBER Alerts, 43 Missing Child Alerts and 268 Silver Alerts. In addition, the newly instituted Purple Alerts are expected to have numbers similar to or slightly above the number of Silver Alerts. This leads to a total of between 550 to 600 alerts issued per calendar year. In addition, every alert that is activated will eventually be cancelled. This means well over a thousand alerts messages may be disseminated from the application and database. These numbers do not include the updating of an active alert, which is always a possibility.

Additional enhancements to the upgraded MEPIC system include mapping the missing person address area, automated communication to agency partners to eliminate the manual steps, better searching and reporting of case data, and automated checks for case work to assist in finding the missing person.





## 4. Specific Requirements

### 4.1. Functional Requirements

#### MEPIC Maintenance Application Business Processes

| BUSINESS PROCESS   |  |
|--|--|
| <b>Describe the Business Process:</b> MEPIC Maintenance Application Security Controls to allow only the appropriate users to view/update the case information or issue alerts. |  |
| <b>Priority of the Requirements for this Business Process:</b>   | High   |
| <b>Frequency this Business Process is Performed:</b>   | Ad hoc - - users will be added as new MEPIC users change job responsibilities and reports will be run as needed.   |
| FUNCTIONAL REQUIREMENTS  |  |
| Req. #   | Requirement  |
| 1  | The system shall provide role-based security.<br>Current roles are: Admin, Analyst, Read Only, Leads Only, PIO User, Banner User.  |
| 2  | The system shall provide an easy mechanism for Application Access Administrators to update security roles from within the MEPIC Maintenance Application.   |
| 3  | The system shall provide Application Access Administrators the ability to maintain user accounts (ex. add/update user access, reset passwords if user is unable to self-service reset password, lock/unlock accounts). |
| 4  | The system shall provide use FDLE's active directory so FDLE users have the same user name and password.   |
| 5  | The system shall provide a report which indicates the MEPIC users in each role.  |
| 6  | The system shall provide history of updates on all data (date updated, updated by).  |
| 7  | The system shall provide audit reports of data updates made throughout the system. (ex. security changes, alert changes, case data changes)  |
| 8  | The system shall provide a mechanism to relate users with records.   |

| BUSINESS PROCESS   |   |
|--|---|
| <b>Describe the Business Process:</b> Alert Management in the upgraded MEPIC Maintenance Application |   |
| <b>Priority of the Requirements for this Business Process:</b>                                       | Critical  |
| <b>Frequency this Business Process is Performed:</b>   | Daily, multiple times   |
| FUNCTIONAL REQUIREMENTS  |   |
| Req. #   | Requirement   |
| 1  | The system shall provide the ability to activate, update, and cancel alerts.<br>Current alert types are: AMBER, Missing Child, Silver, Purple, and Blue.  |
| 2  | The system shall create a unique MEPIC case number with each alert activation if the case is not already existing in MEPIC from the FCIC data import, or a MEPIC analyst direct input prior to activation.  |
| 3  | The system shall provide flexibility to add new alert types as legislatively mandated.<br><b>Background:</b> Legislative sessions have sometimes <b>proposed</b> other alerts for FDLE to issue (ex. Active Shooter, Camo, Yellow, etc.) but they failed to pass. |
| 4  | The system shall provide edits on alert data entry to ensure data quality.  |



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|           | Examples include: valid dates, valid height and weight entries, correctly masked phone numbers, etc.  |
| <b>5</b>  | The system shall provide easy data entry methods both by typing or using mouse to accommodate the innate preference of the MEPIC analyst responsible for data entry during stressful alert activations.<br>Example: If a drop-down menu, then allow the value to be selected or allow the user to type the first few letters to quickly get to the value needed. This is in addition to selecting with a mouse.   |
| <b>6</b>  | The system shall be able to configure which alert data entry points are required for the alert type.<br>Example: Silver Alerts require vehicle information; other alert types may not always involve a vehicle.   |
| <b>7</b>  | The system shall provide a spell-check feature with the ability to add/remove words from a custom dictionary.   |
| <b>8</b>  | The system shall provide the ability to bold, highlight, or change color to text that will be displayed on the alert flyer for emphasis.  |
| <b>9</b>  | The system shall provide the ability to include multiple missing persons and multiple suspects for the alert being issued.<br>In addition: <ul style="list-style-type: none"> <li>• the missing person(s) or suspect(s) may be traveling in a vehicle or boat which shall also be identified in the alert.</li> <li>• the missing person(s) may have other adults (ex. non-custodial parents, relatives, etc.) that may be with them that also be identified in the alert.</li> </ul>   |
| <b>10</b> | The system shall provide free text fields for data entry to describe more information about the missing person or suspect in a Blue Alert.<br>Examples include: clothes descriptions, captions associated with images   |
| <b>11</b> | The system shall provide the ability to indicate that person(s) involved in the alert are Armed and Dangerous.  |
| <b>12</b> | The system shall provide the ability to upload multiple images for a single alert.<br>Examples: multiple images for the missing person plus a vehicle image   |
| <b>13</b> | The system shall provide the ability to utilize flexible MS-Word templates for the flyers for each alert type.<br>Example: AMBER alerts having one format and Silver Alerts having a different format.  |
| <b>14</b> | The system shall provide ability to indicate which documents and communication channels are applicable to the specific alert being issued or updated.<br>Examples: <ul style="list-style-type: none"> <li>• Silver Alerts <b>always</b> require sending to FDOT.</li> <li>• An AMBER Alert may not have a vehicle involved; so, no communication should be sent to FDOT. But, if the AMBER Alert does involve a vehicle, then the information should be sent to FDOT.</li> <li>• All alert types send the flyers to Everbridge.</li> <li>• All alert types send notification to FL Department of Lottery.</li> <li>• Only Silver Alerts are sent to the FL Dept. of Elder Affairs.</li> <li>• Only AMBER and Missing Child Alerts are sent to NCMEC.</li> </ul> |
| <b>15</b> | The system shall provide AMBER, Enhanced Missing Child, and Blue Alerts a hosted storage area with URL access and high availability.<br><b>Background:</b> AMBER, Enhanced Missing Child, and Blue Alerts are communicated via Wireless Emergency Alerts (WEAs) to public citizens. The URL of the flyer containing the information about the missing children or the suspect in the Blue Alert is placed in the WEA to allow the public citizen to click on the link to see it from their mobile devices. Depending on the area that the WEA is sent (statewide or within a region of Florida), millions of citizens could click the link within a very short period of time.  |
| <b>16</b> | The system shall provide integration from within the upgraded MEPIC Maintenance Application for alerts being activated, updated, or cancelled with other systems or services: Everbridge, FCIC, NCMEC, DCF.   |
| <b>17</b> | The system shall not prevent the data entry of address information even though it is not accurate by USPS and geographical references. The Alert Management processes are concerned with sending the communication that local law enforcement agencies have provided to public citizens and partner agencies in order to locate the person(s) quickly.  |



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| 18 | The system shall provide the ability to save information as input so that no information is lost while the analyst is typing it. This is required to save time in the alert activations.   |
| 19 | The system shall provide the ability to input the information in one process. The MEPIC analyst issuing the alert should not have to go to multiple screens or should not miss inputting key pieces of information during the stressful minutes of alert activation. The system should guide the MEPIC analyst in a smooth flow. |
| 20 | The system shall provide the ability to generate the text for AMBER Alert voice scripts which will be made available to television and radio outlets.  |
| 21 | The system shall provide the ability to generate a custom flyer for the missing person or Blue Alert suspect. The flyers help locate the person because they typically have an associated picture and the public information for the alert.  |
| 22 | The system shall provide the ability to ensure the flyers are mobile-friendly for smartphones and mobile devices.  |
| 23 | The system shall provide a geographic preview on a map for which a pinpoint of the address where the person was last seen can be viewed with the ability to draw a radius or polygon for the region of a targeted WEA so those coordinates can be sent to Everbridge.  |
| 24 | The system shall provide the ability to Generate JSON or XML files for the alert flyer information.  |

| BUSINESS PROCESS   |   |
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| <b>Describe the Business Process:</b> System Integration with Everbridge in the upgraded MEPIC Maintenance Application |   |
| <b>Priority of the Requirements for this Business Process:</b>   | Critical  |
| <b>Frequency this Business Process is Performed:</b>   | Daily, each time an alert is activated, updated, or cancelled   |
| FUNCTIONAL REQUIREMENTS  |   |
| Req. #   | Requirement   |
| 1  | The system shall provide integration between the upgraded MEPIC Maintenance Application solution and Everbridge for subscriber-based mass notification to the public.<br><br>The current system uses Everbridge's email ingestion protocol.   |
| 2  | The system shall provide Everbridge API integration in the upgraded MEPIC Maintenance Application. The Everbridge API provides features unavailable with email ingestion. This will make new Everbridge features available as Everbridge adds functionality.<br><br>The Everbridge API will provide redundancy in sending the flyers from MEPIC to ensure the notifications are sent to the public should email ingestion fail which would avoid manual intervention by MEPIC analysts. |
| 3  | The system shall provide the ability to store the information sent through the API or email ingestion process.  |



| BUSINESS PROCESS   |  |
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| <b>Describe the Business Process:</b> System Integration with USPS Address Standardization Service in the upgraded MEPIC Maintenance Application |  |
| <b>Priority of the Requirements for this Business Process:</b>   | High   |
| <b>Frequency this Business Process is Performed:</b>   | Daily  |
| FUNCTIONAL REQUIREMENTS  |  |
| Req. #   | Requirement  |
| 1  | The system shall not prohibit addresses to be input as received from local law enforcement or leads from other sources. The address should be enterable as provided.   |
| 2  | The system shall indicate that there is an address similar to the one input for the user to select if they want to change to that address or not. The similar address would be from a USPS address standardization protocol. |
| 3  | The system shall provide the ability to store the address as input as well as the USPS address, even though they may be the same.  |

| BUSINESS PROCESS   |   |
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| <b>Describe the Business Process:</b> System Integration with Mapping Capabilities |   |
| <b>Priority of the Requirements for this Business Process:</b>                     | Critical  |
| <b>Frequency this Business Process is Performed:</b>                               | Daily   |
| FUNCTIONAL REQUIREMENTS  |   |
| Req. #   | Requirement   |
| 1  | The system shall provide geographical coordinates corresponding to locations which can be shown on a map.                         |
| 2  | The system shall provide a map interface for missing person addresses and other addresses of importance as indicated by the user. |

| BUSINESS PROCESS   |  |
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| <b>Describe the Business Process:</b> System Integration with FCIC in the upgraded MEPIC Maintenance Application |  |
| <b>Priority of the Requirements for this Business Process:</b>   | Critical   |
| <b>Frequency this Business Process is Performed:</b>   | Daily  |
| FUNCTIONAL REQUIREMENTS  |  |
| Req. #   | Requirement  |
| 1  | <p>The system shall provide integration between the upgraded MEPIC Maintenance Application solution and FCIC for real-time queries. Will use the FDLE protocol for accessing FCIC.</p> <ol style="list-style-type: none"> <li>1. The upgraded MEPIC Maintenance Application be able to import the data that FCIC places in data tables.               <ol style="list-style-type: none"> <li>a. Missing Person Disability (EMD)</li> <li>b. Missing Person Disability - Caution (EMDC)</li> <li>c. Missing Person Endangered (EME)</li> <li>d. Missing Person Endangered - Caution (EMEC)</li> <li>e. Missing Person Involuntary (EMI)</li> <li>f. Missing Person Involuntary - Caution (EMIC)</li> <li>g. Missing Juvenile Disability (EMJD)</li> </ol> </li> </ol> |



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|  | <ul style="list-style-type: none"> <li>h. Missing Juvenile Endangered (EMJE)</li> <li>i. Missing Juvenile Involuntary (EMJI)</li> <li>j. Missing Juvenile Parental Abduction (EMJP)</li> <li>k. Missing Juvenile Runaway (EMJR)</li> <li>l. Missing Juvenile Catastrophe Victim (EMJV)</li> <li>m. Missing Person Other (EMO)</li> <li>n. Missing Person Other - Caution (EMOC)</li> <li>o. Missing Person Catastrophe Victim (EMV)</li> <li>p. Missing Person Catastrophe Victim - Caution (EMVC)</li> <li>q. Modify Missing Person (MM)</li> <li>r. Missing Person Supplemental Data (EMN)</li> <li>s. Cancel Missing Person Supplemental Data (XMN)</li> <li>t. Persons With Information (PWI)</li> <li>u. Missing Person Circumstances (MPC)</li> </ul> <p>2. The upgraded MEPIC Maintenance Application shall send Florida Administrative Messages (FAMs) to FCIC when an alert is activated or cancelled. It is known as the BOLO (Be On Look Out) for the missing person or Blue Alert suspect.</p> |
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| BUSINESS PROCESS  |  |
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| <b>Describe the Business Process:</b> System Integration with FL Dept. of Children and Families (DCF) in the upgraded MEPIC Maintenance Application |  |
| <b>Priority of the Requirements for this Business Process:</b>  | Critical   |
| <b>Frequency this Business Process is Performed:</b>  | Daily, as needed   |
| FUNCTIONAL REQUIREMENTS   |  |
| Req. #  | Requirement  |
| 1   | <p>The system shall provide integration between the new MEPIC Maintenance Application and DCF.</p> <ul style="list-style-type: none"> <li>1. The new MEPIC Maintenance Application shall be able to pull the information about missing children from DCF once the DCF Liaison provides their Agency Case Number key values. This will be done at the point of opening a new case in MEPIC when it is a DCF case as well as pulling the outcome of the case from DCF when notified the child has been located.</li> <li>2. The new MEPIC Maintenance Application shall be able to store the XML sent to DCF.</li> </ul> |
| 2   | The system shall provide a link to DCF's child protection database, Florida Safe Families Network.   |

| BUSINESS PROCESS  |  |
|---|--|
| <b>Describe the Business Process:</b> System Integration with NCMEC in the upgraded MEPIC Maintenance Application |  |
| <b>Priority of the Requirements for this Business Process:</b>  | Critical   |
| <b>Frequency this Business Process is Performed:</b>  | Daily, as needed   |
| FUNCTIONAL REQUIREMENTS   |  |
| Req. #  | Requirement  |
| 1   | <p>The system shall provide integration between the new MEPIC Maintenance Application solution and NCMEC.</p> <ul style="list-style-type: none"> <li>1. The new MEPIC Maintenance Application shall be able to generate and transfer XML to send to NCMEC with cases involving children when the case is opened.</li> <li>2. The new MEPIC Maintenance Application shall be able to generate and transfer XML to send</li> </ul> |



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|   | to NCMEC when the missing child has been recovered.                  |
| 2 | The system shall provide the ability to store all XML sent to NCMEC. |

| BUSINESS PROCESS   |   |
|--|---|
| <b>Describe the Business Process:</b> System Integration with MS-Office products in the upgraded MEPIC Maintenance Application |   |
| <b>Priority of the Requirements for this Business Process:</b>   | Critical  |
| <b>Frequency this Business Process is Performed:</b>   | Daily, as needed  |
| FUNCTIONAL REQUIREMENTS  |   |
| Req. #   | Requirement   |
| 1  | The system shall provide integration between the new MEPIC Maintenance Application solution and MS-Word and MS-Excel for document creation, editing, and exporting. |
| 2  | The system shall provide integration between the new MEPIC Maintenance Application solution and MS-Outlook for sending emails in alert activations.                 |

| BUSINESS PROCESS   |  |
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| <b>Describe the Business Process:</b> System Integration with FDLE's public website (www.fdle.state.fl.us) |  |
| <b>Priority of the Requirements for this Business Process:</b>   | High   |
| <b>Frequency this Business Process is Performed:</b>   | Dependent on AMBER, Missing Child Alert, and Blue Alert Issuance   |
| FUNCTIONAL REQUIREMENTS  |  |
| Req. #   | Requirement  |
| 1  | The system shall provide integration between the upgraded MEPIC Maintenance Application solution and FDLE's public website to show AMBER, Missing Child, and Blue Alerts activated for up to 5 days, or the alert is cancelled.  |
| 2  | The system shall provide ability for MEPIC Maintenance Application users having the Admin, Analyst, or PIO User roles to suppress showing a particular alert. Users should also be able to remove the suppression so it would show if the alert was still within the 5 day period of activation. |

| BUSINESS PROCESS  |   |
|---|---|
| <b>Describe the Business Process:</b> Case Management in the upgraded MEPIC Maintenance Application |   |
| <b>Priority of the Requirements for this Business Process:</b>                                      | Critical  |
| <b>Frequency this Business Process is Performed:</b>  | Daily   |
| FUNCTIONAL REQUIREMENTS   |   |
| Req. #  | Requirement   |
| 1   | The system shall provide the ability to search for cases by: <ul style="list-style-type: none"> <li>• the unique case number or</li> <li>• person's name or</li> <li>• the status of cases or</li> <li>• the category of cases or</li> <li>• FDLE Region or</li> <li>• the county that the person is missing from or</li> <li>• whether or not it is a DCF case or</li> <li>• Process Control Number (PCN)</li> </ul> |



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|           | The system shall provide the ability to allow drill-down on any search results that meet the criteria.   |
| <b>2</b>  | The system shall provide the ability to allow new cases to be added manually in addition to the automated FCIC and DCF processes.  |
| <b>3</b>  | <p>The system shall allow data entry for cases:</p> <ul style="list-style-type: none"> <li>• Categorization, status, and basic information about the case such as the date the case was opened, closed, if it is a DCF case, if it is an international case, and the outcome of the case if it has been resolved.</li> <li>• Law enforcement agency case information (FBI, FCIC, Local Agency Case Number, FDLE's Records Management System Case Number) for the purpose of being able to reference it depending on who a MEPIC analyst is working with.</li> <li>• Information about the missing person or Blue Alert suspect (demographics, location where they went missing, the last time they were seen, and any pictures of the missing person or Blue Alert suspect).</li> <li>• Information about any suspects in the case (example: demographics, relationship to the missing person).</li> <li>• Information about any relatives/spouses/friends/teachers/coaches/anybody associated with the missing person(s) or Blue Alert suspect which might be beneficial in locating the person.</li> <li>• Information about DCF Case Workers associated with the case.</li> <li>• Information about any vehicles associated with the case.</li> <li>• Information about leads (tips) that have been provided about the case</li> <li>• Notes</li> <li>• Pictures</li> </ul> |
| <b>4</b>  | The system shall provide the ability to allow for assigning and re-assigning of cases to FDLE MEPIC analysts with history of the assignments.  |
| <b>5</b>  | The system shall provide the ability to allow for input of information relating to cases originating in other states where the missing person or Blue Alert suspect is headed to Florida.  |
| <b>6</b>  | The system shall provide the ability to include document management functionality.   |
| <b>7</b>  | The system shall provide the ability to attach videos to cases efficiently.  |
| <b>8</b>  | The system shall provide the ability to automate driver license and credit card checks for all missing persons meeting selected criteria.  |
| <b>9</b>  | The system shall provide the ability to comply with retention requirements of case data.   |
| <b>10</b> | The system shall provide the ability to compare information reported to MEPIC from DCF and FCIC using the PCN.   |

| BUSINESS PROCESS   |   |
|--|---|
| <b>Describe the Business Process:</b>                          | Unidentified Deceased in the upgraded MEPIC Maintenance Application   |
| <b>Priority of the Requirements for this Business Process:</b> | High  |
| <b>Frequency this Business Process is Performed:</b>           | Daily   |
| FUNCTIONAL REQUIREMENTS  |   |
| Req. #   | Requirement   |
| <b>1</b>   | The system shall provide the ability to identify human remains and the characteristics of those remains.  |
| <b>2</b>   | The system shall provide the ability to identify the systems that have been inquired to identify who the remains are of. This should include the dates that those systems were checked and any pertinent notes. |



| BUSINESS PROCESS   |  |
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| <b>Describe the Business Process:</b> Management Reporting in the upgraded MEPIC Maintenance Application |  |
| <b>Priority of the Requirements for this Business Process:</b>   | High   |
| <b>Frequency this Business Process is Performed:</b>   | Some Daily, Some Weekly, Some Monthly, Some Annual   |
| FUNCTIONAL REQUIREMENTS  |  |
| Req. #   | Requirement  |
| 1  | The system shall provide the ability to have a management Dashboard which shows statewide statistics for each alert type during various periods of time for Active and Inactive alerts in that alert type. |
| 2  | The system shall provide the ability to “drill-down” to view the Active alerts shows on the Dashboard for each alert type.   |
| 3  | The system shall provide 10 standard reports with the ability to export the information to MS-Excel format or PDF.   |
| 4  | The system shall provide the ability to search by filter criteria for ad hoc reporting with the ability to export the information to MS-Excel format or PDF.   |

| BUSINESS PROCESS   |   |
|--|---|
| <b>Describe the Business Process:</b> Notification Services    |   |
| <b>Priority of the Requirements for this Business Process:</b> | Critical  |
| <b>Frequency this Business Process is Performed:</b>           | Daily, each time an alert is activated, updated, or cancelled   |
| FUNCTIONAL REQUIREMENTS  |   |
| Req. #   | Requirement   |
| 1  | The system shall provide a notification service for agency partners when alerts are activated, updated, or cancelled. |
| 2  | The system shall provide a notification service for agency partners to show all active alerts on their websites.      |

### MEPIC Website Business Processes

| BUSINESS PROCESS  |  |
|---|--|
| <b>Describe the Business Process:</b> Public Citizen Communication ( <a href="http://FloridaMissingEndangeredPersonsSearch.state.fl.us">Florida Missing Endangered Persons Search (state.fl.us)</a> ) |  |
| <b>Priority of the Requirements for this Business Process:</b>  | High   |
| <b>Frequency this Business Process is Performed:</b>  | FDLE makes available 24/7  |
| FUNCTIONAL REQUIREMENTS   |  |
| Req. #  | Requirement  |
| 1   | The system shall provide the ability to search MEPIC cases for public citizens by case category, name, county missing from, city missing from, or demographic information. |
| 2   | The system shall provide the ability to identify all active alerts, by alert type (AMBER, MCA, Purple, Silver, Blue) on the website.                                       |
| 3   | The system shall provide the ability to customize links as needed for public information (example: Signup, Case Criteria, state, and national links, etc.)                 |





| BUSINESS PROCESS  |  |
|---|--|
| <b>Describe the Business Process:</b> Law Enforcement Communication ( <a href="#">Florida Missing Endangered Persons Search (ficjn.net)</a> ) |  |
| <b>Priority of the Requirements for this Business Process:</b>  | High   |
| <b>Frequency this Business Process is Performed:</b>  | FDLE makes available 24/7  |
| FUNCTIONAL REQUIREMENTS   |  |
| Req. #  | Requirement  |
| 1   | The system shall provide the ability to search MEPIC cases for law enforcement by case category, name, county missing from, city missing from, or demographic information. |
| 2   | The system shall provide the ability to identify all active alerts, by alert type (AMBER, MCA, Purple, Silver, Blue) on the website.                                       |
| 3   | The system shall provide the ability to customize links as needed for law enforcement information (example: Signup, Case Criteria, state and national links, etc.)         |

### MEPIC Presence in FDLE Public Mobile App

| BUSINESS PROCESS  |  |
|---|--|
| <b>Describe the Business Process:</b> Active Alerts in MEPIC Lite |  |
| <b>Priority of the Requirements for this Business Process:</b>    | High   |
| <b>Frequency this Business Process is Performed:</b>              | FDLE makes available 24/7  |
| FUNCTIONAL REQUIREMENTS   |  |
| Req. #  | Requirement  |
| 1   | The system shall provide public citizens with the ability to search MEPIC cases in the FDLE public mobile app keeping the same user interface, but update for the new database design. |
| 2   | The system shall provide the ability to identify all active alerts by alert type (AMBER, MCA, Purple, Silver, Blue).   |

### MEPIC External System Interfaces

| BUSINESS PROCESS  |  |
|---|--|
| <b>Describe the Business Process:</b> Providing Missing Person Information to Pinellas County for FACES |  |
| <b>Priority of the Requirements for this Business Process:</b>  | Critical   |
| <b>Frequency this Business Process is Performed:</b>  | Scheduled once daily   |
| FUNCTIONAL REQUIREMENTS   |  |
| Req. #  | Requirement  |
| 1   | The system shall provide a file in the designated format for all missing persons to Pinellas County. |



| BUSINESS PROCESS   |   |
|--|---|
| <b>Describe the Business Process:</b> Providing Missing Person Information to Law Enforcement (LInX) |   |
| <b>Priority of the Requirements for this Business Process:</b>                                       | Critical  |
| <b>Frequency this Business Process is Performed:</b>   | Scheduled once daily  |
| FUNCTIONAL REQUIREMENTS  |   |
| Req. #   | Requirement   |
| 1  | The system shall provide a file in the designated format for all missing persons for the LInX system. |

| BUSINESS PROCESS  |   |
|---|---|
| <b>Describe the Business Process:</b> Obtaining Addresses of Importance (NEW functionality) |   |
| <b>Priority of the Requirements for this Business Process:</b>                              | Important   |
| <b>Frequency this Business Process is Performed:</b>  | Scheduled once daily  |
| FUNCTIONAL REQUIREMENTS   |   |
| Req. #  | Requirement   |
| 1   | The system shall provide the ability to obtain updates of foster family group homes and their addresses from DCF for MEPIC analysis involving missing children. |
| 2   | The system shall provide the ability to obtain updates of campgrounds, state parks from FL Dept of Environmental Protection.                                    |
| 3   | The system shall provide the ability to obtain updates of schools and child care centers from FL Dept. Of Education.  |
| 4   | The system shall provide the ability to integrate with FDLE's Sexual Offender and Predator System (SOPS).   |
|   |   |

## 4.2. Non-Functional Requirements

| NON-FUNCTIONAL REQUIREMENTS: Project Documentation |  |
|--|--|
| Req. #   | Requirement  |
| 1  | Shall prepare the required documentation for review by FDLE's ITS Project Manager in compliance with FL Digital Services Rule 60-GG and FDLE's ITS Project Management Standards.   |
| 2  | Shall provide a detailed project schedule bi-weekly with tasks, dependencies, work effort, duration, and resources identified. FDLE must be able to determine when its' members or computer resources are needed to keep the project on-schedule.  |
| 3  | Shall propose the system configuration with any required purchases at FDLE at the time of any contract execution(s) so that the computer hardware, software, other 3 <sup>rd</sup> party software, SaaS, PaaS or IaaS required to be purchased by FDLE can be received timely so the project schedule is not adversely impacted. |
| 4  | Shall provide a System Design document that will include specifications for setting up the computer hardware, software, 3 <sup>rd</sup> party software, SaaS, PaaS or IaaS to deploy and operate the proposed system.  |
| 5  | Shall provide the project with detailed Test Plans.  |
| 6  | Shall conduct performance tests on the applications which support the MEPIC system.  |
| 7  | Shall provide a detailed Implementation Plan.  |
| 8  | Shall provide an Operations & Maintenance Plan which includes Disaster Recovery as well as routine Backup and Recovery.  |



| NON-FUNCTIONAL REQUIREMENTS: Architecture |  |
|---|--|
| Req. #                                    | Requirement  |
| 1   | Shall operate on MS-Windows compatible computers using MS-Windows 10 or above in a web-based application for the MEPIC Maintenance Application and websites.   |
| 2   | Shall provide safeguards to prevent unauthorized access to information stored in the MEPIC Maintenance Application which is a criminal justice information system.   |
| 3   | Shall be designed to support a 24/7 Production environment.  |
| 4   | Shall be compatible with the current version and two previous versions of Microsoft Edge and the current release of other major browsers, like Chrome, Firefox, and Safari.  |
| 5   | Shall operate the database and operating systems on the current version or previous version.   |
| 6   | Shall indicate which part(s) of FDLE's existing network infrastructure will be used and shall be designed to operate within the FDLE network connections, protocols, and service level. Any required purchases or configuration changes must be approved by FDLE prior to contract engagement. |
| 7   | Shall operate in a cloud environment or with SaaS as technically feasible.   |

| NON-FUNCTIONAL REQUIREMENTS: System Availability |  |
|--|--|
| Req. #   | Requirement  |
| 1  | Shall follow FDLE's standards on system availability: minimum 99.5% uptime, 24 hours a day, 7 days a week, and 365 days a year.  |
| 2  | Shall provide a plan for redundancy for alert issuance for all alert types (AMBER, Missing Child Alerts, Purple, Silver, and Blue plus any other alert types that the legislature may require FDLE to issue). Shall adhere to the Section 508 Rehabilitation Act for all web applications. |

| NON-FUNCTIONAL REQUIREMENTS: System Support |   |
|---|---|
| Req. #                                      | Requirement   |
| 1   | Shall remain operational and available during system and database backups.  |
| 2   | Shall ensure that the hardware and software products used in the system (example: web servers, database servers, operating systems, 3 <sup>rd</sup> party software, etc.) are upgraded or replaced prior to reaching end-of-life or unsupported status.                           |
| 3   | Shall provide Help Desk support 24 hours per day, 7 days a week, and 365 days a year to assist with technical issues.   |
| 4   | Shall not share FDLE data across customers. The data contained in the database is owned by FDLE.  |
| 5   | Shall provide a minimum of two (2) work days' notice for planned system downtime and downtime should be applied during non-peak hours (5 AM – 9 AM). All changes shall be coordinated with FDLE.  |
| 6   | Shall notify of software patches, updates, and upgrades times so that coordination can be done if an alert is about to be issued. An alert activation would delay the time.   |
| 7   | Shall log technical errors and alert technical staff to review the technical errors.  |
| 8   | Shall provide a defined escalation plan for technical problems that cannot be resolved by the first-line technical support. The escalation plan must include a definition of severity levels and specific escalation procedures based upon the severity of the technical problem. |



| NON-FUNCTIONAL REQUIREMENTS: Security |   |
|---------------------------------------|---|
| Req. #                                | Requirement   |
| 1                                     | Shall provide policies and procedures for securing MEPIC's information and system resources.  |
| 2                                     | Shall provide security controls to be in place to minimize the risks to the confidentiality, integrity, and availability of the system and data.  |
| 3                                     | Shall encrypt all data in transit using TLS 1.2 or higher, with minimum cypher strength of 128 bits (AES 256 preferred).  |
| 4                                     | Shall base access to information in the MEPIC Maintenance Application based on user roles and associated access rights. Access shall be provided and assigned on the principle of "Least Privilege" and managed according to documented procedures. |
| 5                                     | Shall protect system resources by physical controls. Shall provide procedures to manage physical access to information technology facilities housing MEPIC information.   |
| 6                                     | Shall provide procedures to notify MEPIC System Owner of any suspected cybersecurity incident or breach of information.   |
| 7                                     | Shall comply with requirements for data security for Criminal Justice Information (CJI) data.   |

| NON-FUNCTIONAL REQUIREMENTS: Data Conversion |  |
|--|--|
| Req. #                                       | Requirement  |
| 1  | Shall provide mapping between the old MEPIC database data structures to the proposed solution. This will be done in conjunction with FDLE MEPIC and ITS team members.                |
| 2  | Shall convert the data from the old MEPIC database structures to the proposed solution at the point of implementation of the new MEPIC system and all of its application components. |

# FLORIDA DEPARTMENT OF LAW ENFORCEMENT



## 839 MEPIC Technology Upgrade

### PROJECT MANAGEMENT PLAN

***Approved <Date>***

***9/5/2022***

# VERSION HISTORY

| Version | Date     | Change           | Editor         |
|---------|----------|------------------|----------------|
| 1.0     | 9/5/2022 | Initial Creation | Pamela Bullard |
|         |          |                  |                |
|         |          |                  |                |
|         |          |                  |                |
|         |          |                  |                |
|         |          |                  |                |
|         |          |                  |                |

# CONTACT

|  |  |
|--|--|
| <b>Project Manager: TBD (LBR funded)</b> |  |
| <b>Phone:</b>                            |  |
| <b>Email:</b>                            |  |

## SIGNATURE AND ACCEPTANCE PAGE

I have reviewed this Project Management Plan (PMP) and agree that the content of the document is accurate and clearly describes the project management methodology for the project.

Signature: \_\_\_\_\_ Date: \_\_\_\_\_  
Print Name: \_\_\_\_\_  
Title: \_\_\_\_\_  
Agency: FDLE  
Role: Project Manager

Signature: \_\_\_\_\_ Date: \_\_\_\_\_  
Print Name: Mike Phillips  
Title: Special Agent in Charge  
Agency: FDLE  
Role: Project Sponsor

Signature: \_\_\_\_\_ Date: \_\_\_\_\_  
Print Name: Chad Brown  
Title: Assistant Special Agent in Charge  
Agency: FDLE  
Role: Subject Matter Expert

Signature: \_\_\_\_\_ Date: \_\_\_\_\_  
Print Name: Peter Warren  
Title: Senior Management Analyst Supervisor  
Agency: FDLE  
Role: Subject Matter Expert

Signature: \_\_\_\_\_ Date: \_\_\_\_\_  
Print Name: Pamela Bullard  
Title: Systems Programming Administrator  
Agency: FDLE  
Role: Responsible FDLE Manager for MEPIC

## TABLE OF CONTENTS

|     |   |    |
|-----|---|----|
| 1.  | EXECUTIVE SUMMARY .....                             | 2  |
| 2.  | PROJECT CHARTER .....                               | 2  |
| 3.  | WORK BREAKDOWN STRUCTURE .....                      | 3  |
| 4.  | PROJECT PHASES.....                                 | 4  |
| 5.  | LESSONS LEARNED .....                               | 4  |
| 6.  | PROJECT ORGANIZATIONAL & GOVERNANCE STRUCTURE ..... | 4  |
| 7.  | RESOURCES .....                                     | 5  |
|     | PROJECT TEAM.....                                   | 5  |
|     | STAKEHOLDERS .....                                  | 5  |
|     | Equipment/Materials Resources .....                 | 5  |
| 8.  | PROJECT SCHEDULE MANAGEMENT .....                   | 5  |
|     | Project Schedule .....                              | 5  |
|     | Schedule Maintenance .....                          | 5  |
| 9.  | COST MANAGEMENT .....                               | 6  |
|     | Budget.....   | 6  |
|     | Project Spending Plan.....                          | 6  |
| 10. | PROCUREMENT MANAGEMENT .....                        | 6  |
| 11. | COMMUNICATIONS MANAGEMENT .....                     | 7  |
| 12. | CHANGE MANAGEMENT.....                              | 7  |
| 13. | ORGANIZATIONAL CHANGE MANAGEMENT .....              | 7  |
| 14. | QUALITY MANAGEMENT .....                            | 7  |
| 15. | DELIVERABLE ACCEPTANCE .....                        | 7  |
| 16. | RISK MANAGEMENT .....                               | 8  |
|     | Risk & Complexity Assessment .....                  | 8  |
|     | Project Risk Management.....                        | 8  |
| 17. | ISSUE MANAGEMENT .....                              | 9  |
| 18. | SYSTEM SECURITY .....                               | 10 |



## 1. EXECUTIVE SUMMARY

This project has been approved by FDLE's Business Unit and the Division of Information Technology Services, to fulfill the business needs identified in the [Project Charter](#).

## 2. PROJECT CHARTER

The [Project Charter](#) describes the work to be performed to deliver the product, service, and/or results that have been identified to meet the business need.

The [Project Charter](#) includes the following sections with pertinent details:

- Project Name, Project Sponsor, Project Manager, Business Lead, Project Number, Date
- Executive Summary - a summary description of the project.
- Business Case – Background, business need, business problem(s) to be solved.
- Cost Benefit Analysis – Summarizes cost savings, cost avoidance, tangible benefits, ROI or value to the agency.
- Business Objectives – Project objectives, outcomes of the project.
- Stakeholders – A list of key stakeholders and their role in the project.
- Deliverables – Documents and other deliverables that will be created for the project.
- In Scope - The work that is approved to be completed within this project and is included in the estimation of budget, schedule, and resource needs.
- Out of Scope – Specific work that is excluded from the project, and will not be completed.
- Assumptions and Constraints – Assumptions list what is currently known and expected to be true throughout the life of the project. Constraints are considered limitations or restrictions that may impact the project and will be planned for accordingly.
- Risks – The Risk and Complexity Category as determined from the Pre-Charter Risk and Complexity Assessment (RCA) and a list of any known risks associated with the project prior to initiation.
- Interdependencies - Identifies production systems, other projects or initiatives that may impact or be impacted by the project.
- Estimated Project Budget – Provides an estimated 3 pt. estimate, space for listing estimated costs of staff, hardware, software and other costs, a total estimation, and a funding source.
- Project Schedule Estimates – Schedule Constraints or Hard Due Dates (Describe any known deadlines), Planned Start (Listed expected start date and reason), Known Milestones (Describe any milestones and dates that are known at this time) and Planned Finish (List expected finish date and reason).
- Approval – Provides Spaces for the Project Manager, Business Lead, Project Sponsor and ITS Director to list their name and sign/type/date their approval of the Project Charter. If the document is electronically submitted, a copy of it will be stored in the project documentation centralized repository.

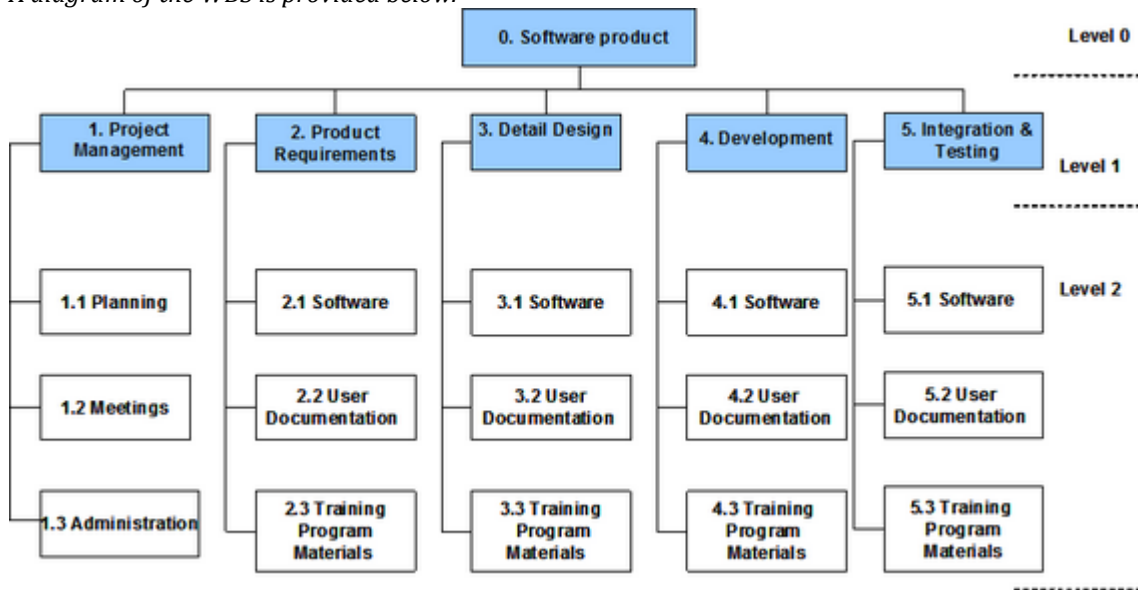
### 3. WORK BREAKDOWN STRUCTURE

The Project Schedule contains a hierarchical and incremental decomposition of the project, broken down into phases, deliverables, and work packages. The schedule represents the Work Breakdown Structure (WBS) and identifies all the tasks required to deliver the total scope of work to produce each deliverable. Tasks in the schedule are decomposed into subtasks until they can be estimated, observed, and evaluated.

A sample of the project schedule is provided below:

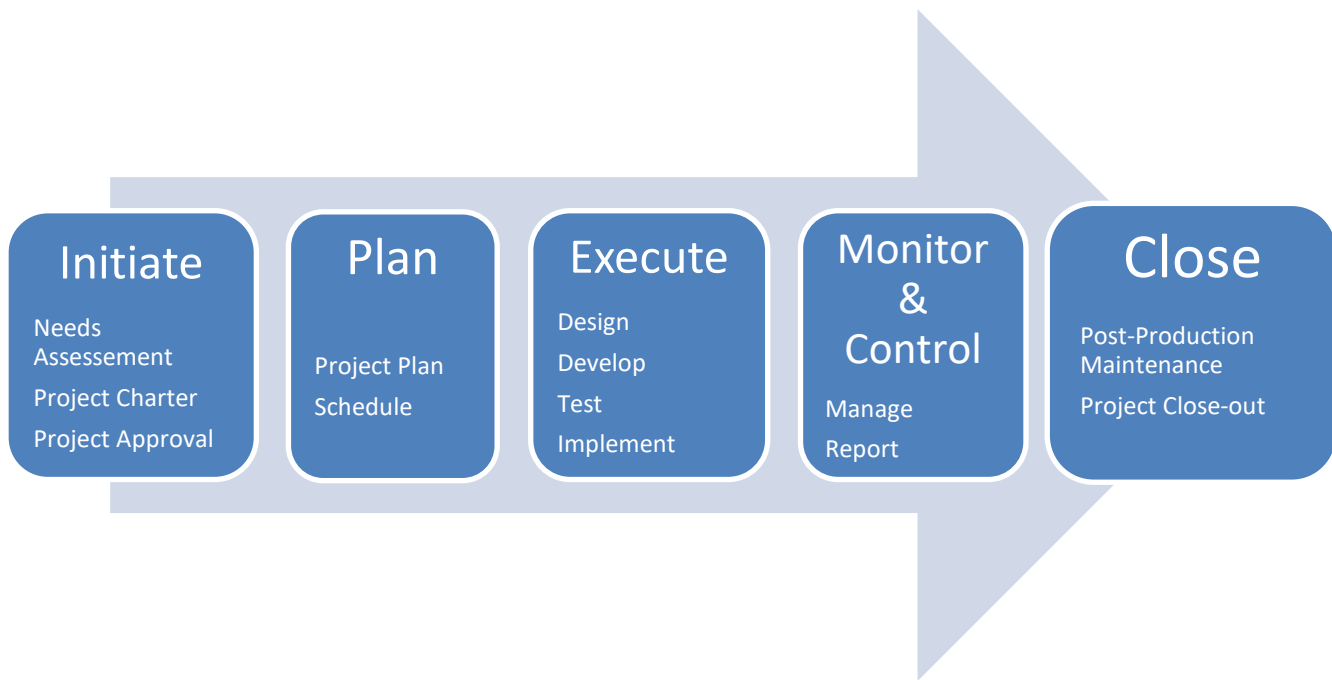
| ID | Task Name  | Duration | Actual Duration | Start        | Finish       | Predecessors | Nov 21, '10 | S | M | T | W |
|----|--|----------|-----------------|--------------|--------------|--------------|-------------|---|---|---|---|
| 1  | Initiate   | 1 day?   | 0 days          | Tue 11/23/10 | Tue 11/23/10 |              |             |   |   |   |   |
| 2  | Create Project Request                             | 1 day?   | 0 days          | Tue 11/23/10 | Tue 11/23/10 |              |             |   |   |   |   |
| 3  | Provide Project Summary & Business Case            | 1 day?   | 0 days          | Tue 11/23/10 | Tue 11/23/10 |              |             |   |   |   |   |
| 4  | Estimate Start and End Dates                       | 1 day?   | 0 days          | Tue 11/23/10 | Tue 11/23/10 |              |             |   |   |   |   |
| 5  | Describe Project Objectives                        | 1 day?   | 0 days          | Tue 11/23/10 | Tue 11/23/10 |              |             |   |   |   |   |
| 6  | Determine Project Level                            | 1 day?   | 0 days          | Tue 11/23/10 | Tue 11/23/10 |              |             |   |   |   |   |
| 7  | Determine Project Impact & Visibility              | 1 day?   | 0 days          | Tue 11/23/10 | Tue 11/23/10 |              |             |   |   |   |   |
| 8  | Determine Project Scope                            | 1 day?   | 0 days          | Tue 11/23/10 | Tue 11/23/10 |              |             |   |   |   |   |
| 9  | Determine Project Key Deliverables                 | 1 day?   | 0 days          | Tue 11/23/10 | Tue 11/23/10 |              |             |   |   |   |   |
| 10 | Determine Project Assumptions, Constraints, Issues | 1 day?   | 0 days          | Tue 11/23/10 | Tue 11/23/10 |              |             |   |   |   |   |

A diagram of the WBS is provided below.



## 4. PROJECT PHASES

Projects normally go through at least five distinct Project Phases as shown below:



At the end of each phase, known as a phase-gate, it is important to document lessons learned and reassess the projects performance before entering the next phase.

## 5. LESSONS LEARNED

Throughout each project life cycle, lessons are learned and opportunities for improvement are discovered. As part of a continuous improvement process, documenting lessons learned helps the project team discover the root causes of problems that occurred and avoid those problems in later project stages or future projects. Lessons Learned on projects are recorded in the workbook on the “Lessons Learned Log” on the “Lessons Learned” tab.

The objective of gathering all of this relevant information is for better planning of later project stages, improving implementation of new projects, and preventing or minimizing risks for future projects.

## 6. PROJECT ORGANIZATIONAL & GOVERNANCE STRUCTURE

The Project Sponsor provides leadership and guidance to the Project Manager with regards to the business problem being solved, requirements, and the objectives of the project. The Project Sponsor assists with obtaining the resources that are needed to conduct the work and fulfill the objectives of the project. Any issues that cannot be resolved by the Sponsor are escalated to the Commissioner’s Office.

The Project Manager follows the project management methods in the PMBOK guide. There is a centralized repository for PM artifacts, templates and tools for the PM, and assistance in complying with rule F.A.C. 60GG-1, the Project Management Standards. Any issues that cannot be resolved by the PM and Executive Steering Committee are escalated to the ITS Division Director and/or the Project Sponsor, whichever is appropriate and applicable.

The Project Manager oversees the work of the project and project team. The PM is responsible for developing the project plans and work with the project team to develop the project schedule. During the execution phase, the PM monitors and reports on the status of the project, including the work of the team. The PM also manages issues and risks and escalates any issues that may impact Scope, Quality, Schedule, or Budget to the Project Sponsor or Executive Steering Committee. The PM documents risks, issues, and lessons learned throughout the project and reviews lessons learned during the closing phase with the sponsor, business owner, project team and the Executive Steering Committee.

## 7. RESOURCES

### PROJECT TEAM

All of the people that make-up the Project Team are listed on the “Project Team Roster” on the “Roster” tab in the Project Workbook. The Project Team Roster provides the project team member’s name, business unit, project role, contact data and responsibility.

### STAKEHOLDERS

The people that are not directly on the project team but have some level of involvement in the project are Stakeholders. They are listed in a “Stakeholders” log on the “Stakeholder” tab in the Project Workbook. The Stakeholder log provides the stakeholder’s name, role, impact, influence, risk tolerance, needs and responsibility.

### EQUIPMENT/MATERIALS RESOURCES

Equipment, hardware, software, contract services, and any other resource(s) that will be procured for the project are provided in the Budget document. This document is created by the Budget Office in a stand-alone Excel file and is stored in the centralized project repository. The budget is updated throughout the lifecycle of the project so all expenses incurred by the project are captured and updated with the most current data as data changes occur.

## 8. PROJECT SCHEDULE MANAGEMENT

### PROJECT SCHEDULE

The Project Schedule was developed starting with a work breakdown structure listing all of the work and activities that will be conducted, captured in project phases or by milestones based on the PM’s preference. The project dependencies and durations are identified, resulting in the estimation of planned start and finish dates for the project as a whole and each individual task. For schedules that are created using MS Project® the planned dates are auto-scheduled based on those dependencies and durations. Some schedules are created in a MS Word® table or in an MS Excel® spreadsheet, in which case the planned dates have to be manually calculated by the PM.

The schedule is baselined when it is approved by the team and the project sponsor and any other time a significant change occurs. The PM may also elect to periodically re-baseline the schedule, and is authorized to do so with approval of the project sponsor, using incremental baseline numbers. Re-baselining a schedule is reported in the status report.

The project schedule is reported on bi-weekly or monthly status reports, depending on the category of the project. The variances of planned versus actual dates are calculated, evaluated and reported upon in the status reports.

### SCHEDULE MAINTENANCE

The project schedule is maintained and updated by the PM bi-weekly for Category 1 and 2 projects based on input from the resources that are assigned to do the work. As tasks start or finish, the actual start and actual finish dates

are updated in the schedule. When the schedule is updated, the percentage complete is provided for in-progress tasks so that the current state of the project can be determined.

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

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

## 9. COST MANAGEMENT

Managing the cost of the project involves two parts, the Budget and the Project Spending Plan. Both of these are primarily handled by the ITS Administration staff with information provided by the project manager.

### BUDGET

The Project Budget determines the estimated costs associated with defined project activities and procurements. The Budget is developed by the PM and ITS Budget staff and includes the following:

- Source of funds, which may include grants, general revenue or trust funds
- Total costs for the project by major expense category (Contract Services, Expense, Other Capital Outlay, etc.)
- Planned and Actual costs by fiscal year over the life of the project
- The Budget is reported monthly in the status report

### PROJECT SPENDING PLAN

The Project Spend Plan is managed by the ITS Budget and Planning staff, and updated based on expenditures and funds encumbered in that month. Project costs are monitored to identify both positive and negative variances between planned and actual expenditures.

The planned costs are compared against the actual costs for a given month to compute the actual cost variance for the month. (Formula: cost variance / total planned cost for the period). The variance is reported monthly and variances greater than or equal to 10% are explained in the status report and reported to stakeholders.

## 10. PROCUREMENT MANAGEMENT

Equipment, resources, and services that are needed for the project are procured by the ITS Policy Development and Planning (PDP) staff, using the standard ITS Procurement process. An Information Resource Request (IRR) form is submitted to the ITS PDP team for review and approval by the ITS Director. ITS PDP staff procures the approved items using FDLE processes, following FDLE policy and abiding by the State of Florida Contract and Procurement rules.

All procurement artifacts (IRRs, quotes, copies of Purchase Orders, Delivery Acceptance documents, etc.) are maintained and stored in ITS PDP.

## 11. COMMUNICATIONS MANAGEMENT

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

The Communication Plan is outlined on the “Communication” tab in the Project Workbook. It identifies the type of communication, a description of the information being communicated, the frequency of communication, the format of the communication, the owner and the recipient of the communication.

## 12. CHANGE MANAGEMENT

During the project lifecycle, changes are expected. Any change impacting scope, time, or cost initiates the Project Change Request (PCR) process.

Changes that are needed, identified, or requested are submitted to the PM in writing. The PM, with the appropriate project team members and/or FDLE resources, will assess the change request and the potential impact to the approved schedule, budget, and scope. The PM will then confer with the Project Sponsor and customer to obtain approval to accept the change and integrate the additional work and costs into the appropriate project plans, schedule, tasks, documentation, etc. and assign resources to complete the work.

The PM will log and track PCR's on the “Project Change Management Plan (CMP)” on the “Change” tab of the Project Workbook. Changes that require re-planning the Schedule and/or the Budget may also result in re-baselining those project documents. Any changes to the project are reported in the Status Report.

## 13. ORGANIZATIONAL CHANGE MANAGEMENT

Implementation and deployment plans are captured in the project schedule. These may include training, creation of documentation or user manuals, or activities required by the business unit to implement changes to business processes. For projects that have a sizable impact to internal or external-to-FDLE stakeholders, a separate Organizational Change Management Plan may be developed by the PM and Business Owners that address business and organizational changes that will be needed to successfully adopt the new system, product or service being created.

## 14. QUALITY MANAGEMENT

Quality is managed throughout the lifecycle of the project.

The Project Manager will use the processes defined by ITS, FDLE policy, and F.A.C. rule 60GG-1, the Project Management Standards.

## 15. DELIVERABLE ACCEPTANCE

Project deliverables will be reviewed by the project team and business users to ensure they meet quality expectations and functionality. Complete system testing by project team members and stakeholders is completed to ensure the solution meets the requirements, pre-determined scope and objectives. System requirements, test plans, test cases, use cases, and other technical artifacts are approved by the business owner to indicate formal acceptance of the deliverables to indicate the requirements meet their quality expectations.

Deliverables are tracked by the PM in the “Deliverable Acceptance Log” on the “Deliver” tab of the Project Workbook.

## 16. RISK MANAGEMENT

### RISK & COMPLEXITY ASSESSMENT

The Risk & Complexity Assessment (RCA) document provided by FLDS is conducted at three different stage-gates throughout the first 3 phases of the project (Pre-Charter, Initiation and Planning), and then again anytime a significant change is introduced and accepted into the project (Event-Driven). This assessment is conducted primarily by the Project Manager; however, the Project Sponsor and other project participants or stakeholders may attend. A copy of the Risk & Complexity Assessment is stored in the centralized project repository.

### PROJECT RISK MANAGEMENT

The PM is the lead in managing risks, which includes risk identification, risk analysis, prioritization, and mitigation strategies or risk response. At the beginning of the project, the PM will conduct an exercise with the project team to identify any known risks and document those on the "Risk Management Matrix" (RMM) on the "Risk" tab of the Project Workbook.

When a risk is added to the RMM and on a bi-weekly basis throughout the project, the PM and project team will conduct an analytical review of them. This review will confirm the date the risk was entered, a description of the risk, the probability, impact, detectability, importance, category, trigger event/indicator, risk response and description, contingency plan, residual probability, residual impact, residual detectability, residual importance, owner, status, status date, date to review and date of completion. Once a risk analysis and mitigation strategy is implemented, the PM will score the Residual Risk that exists after mitigation.

If, and when, a risk occurs, the risk becomes an open issue and will be added to the issues log. The Issue Log is located on the "Issues" tab of the Project Workbook. This realized risk needs to be resolved under the issue management plan.

New risks and updates are monitored by the PM and reported on the Status Report.

## 17. ISSUE MANAGEMENT

The PM is responsible for managing project issues. When a risk becomes an issue, or a new issue is identified, it is logged in the Issues Log located on the “Issues” tab in the Project Workbook. On a bi-weekly or weekly basis throughout the project, the PM and project team will conduct a review of open issues. This review will confirm the date entered, description of the issue, impact on the project, how the issue will be handled, owner, status, status date, staff resource assigned to review, date resolved and impact to project’s deliverables, scope, budget or baseline.

During status meetings, use the following chart to assign ownership of an issue based on issue impact and escalate accordingly using the escalation plan.

| Governance Body                    | Potential Impact  | Scope  | Schedule  | Cost  | Risk/Issues  |
|------------------------------------|---|--|---|---|--|
| <b><u>Steering Committee</u></b>   | <b>High Impact</b><br>Project results could be heavily impacted<br>No resolution plan | Deferral of functionality with impact to Business Objective(s)<br>Legislative and/or Policy changes<br>Go/No Go Decision Point | Missed phase gate<br>Schedule delays which could impact missing key deliverables or milestone dates.<br>SPI trending +/- 10% for the reporting period.          | Spending over/under budget +/-10% for the reporting period.<br>CPI trending +/- 10% for the reporting period.<br>Changes to the project budget or allocations within budget categories. | Decisions involving potential risks and issues that may have an impact on project success.                                   |
| <b><u>Project Manager</u></b>      | <b>Medium impact</b><br>Project results impacted                                      | Deferral of functionality but no impact to business objectives<br>Workaround exists  | Impact >5 to 10 business days, can be managed with the functioning team and is not on the critical path.<br>SPI trending +/- 5% for the reporting period.       | Spending over/under budget +/-5% for the reporting period.<br>CPI trending +/- 5% for the reporting period.   | New risks and issues do not pose a significant threat to the project success.  |
| <b><u>Team Manager or Lead</u></b> | <b>Low impact</b><br>Project results not significantly impacted                       | Minor changes to a functioning team’s scope or requirement delays that can be managed within the team.<br>Workaround exists.   | Impact 5 business days or less and is not on the critical path.<br>Does not impact any other task on the critical path.<br>Managed within the functioning team. | Impact can be managed within the functioning team.  | New risks and issues do not pose a significant threat to functioning team.<br>Impact can be managed within functioning team. |

To prevent a negative impact of issues on the project, the PM monitors issues, actively works to resolve them and reports issues in the Status Report.

Once an issue is closed, the Lessons Learned Log on the “Lessons Learned” tab in the Project Workbook is updated with the date entered, category of issue (Lesson Learned, Project Success, and Project Shortcoming), Lesson, Factors that Contributed, Recommended Future Action (if any) and who submitted it



## **18. SYSTEM SECURITY**

All FDLE systems and data are subject to the State of Florida's Information Technology Resource Security Policies and Standards Rule, 60GG, F.A.C. Systems that contain Criminal Justice Information (CJI) are subject to comply with the FBI's CJIS Security Policy version 5.5. FDLE has internal processes that ensure all systems meet these Security Requirements. Further, this project adheres to FDLE's Information Security Document, Policy #2.5, and complies with Florida Cybersecurity Standards, Chapter 60GG-2, and Information Technology Security Requirements. FDLE Security Office conducts independent security audits at least every three years. Any IT Project will be a part of this audit once in production.

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

**Budget Period: 2022 - 2023**

**Department:** Office of Inspector General

**Chief Internal Auditor:** Lourdes Howell-Thomas

**Budget Entity:** 710000

**Phone Number:** (850) 410-7241

| (1)<br>REPORT<br>NUMBER | (2)<br>PERIOD<br>ENDING    | (3)<br>UNIT/AREA   | (4)<br>SUMMARY OF<br>FINDINGS AND RECOMMENDATIONS   | (5)<br>SUMMARY OF<br>CORRECTIVE ACTION TAKEN | (6)<br>ISSUE<br>CODE |
|-------------------------|----------------------------|--|---|--|----------------------|
| IA-2122-01              | Report Issued<br>June 2023 | Information Technology<br>Services and Capitol<br>Police | <p><u><b>This audits confidential.</b></u></p> <p>The objective of this audit was to assess the FDLE's controls and compliance with the Security Continuous Monitoring Category within the Detect (DE) function of Chapter 60GG-2.004, F.A.C. Additionally, other functions within Chapter 60GG-2, F.A.C. were used as criteria when evaluating compliance, as these requirements and guidelines were established in previous functions within the rule.</p> <p>This audit concentrated on the ITS Division and the CP-HQ Building Security Office practices regarding the following subcategories of the DE function of Chapter 60GG-2.004(2), F.A.C.:</p> <ol style="list-style-type: none"> <li>1) Monitor the network to detect potential cybersecurity events;</li> <li>2) Monitor the physical environment to detect potential cybersecurity events;</li> <li>3) Monitor external service provider activity to detect potential cybersecurity events;</li> <li>4) Monitor for unauthorized personnel, connections, devices, and software; and</li> <li>5) Perform vulnerability scans.</li> </ol> <p>Seven findings with recommendations were identified.</p> | Corrective actions are in progress.          |                      |

## Schedule VII: Agency Litigation Inventory

*For directions on completing this schedule, please see the “Legislative Budget Request (LBR) Instructions” located on the Florida Fiscal Portal.*

|   |   |   |               |
|---|---|---|---------------|
| <b>Agency:</b>  | Florida Department of Law Enforcement   |   |               |
| <b>Contact Person:</b>  | Kate Holmes   | <b>Phone Number:</b>  | (850)410-7682 |
| <b>Names of the Case: (If no case name, list the names of the plaintiff and defendant.)</b>   | National Rifle Association of America, Inc.<br>vs.<br>Ashley Moody, Attorney General of Florida &<br>Richard Swearingen, Commissioner<br>Florida Department of Law Enforcement  |   |               |
| <b>Court with Jurisdiction:</b>   | United States Court of Appeals for the Eleventh Circuit<br>Trial Court: United States District Court, Northern District of Florida  |   |               |
| <b>Case Number:</b>   | 4:18-cv-00137-MW-CAS<br>COA: 21-12314   |   |               |
| <b>Summary of the Complaint:</b>  | Declaratory and Injunctive action challenging the law, Section 790.065(13), Florida Statutes, which prohibits the sale of firearms to persons under the age of 21. The complaint alleges that the law is unconstitutional under the Second and Fourteenth Amendments to the United States Constitution.   |   |               |
| <b>Amount of the Claim:</b>   | \$  |   |               |
| <b>Specific Statutes or Laws (including GAA) Challenged:</b>  | Section 790.065(13), Florida Statutes   |   |               |
| <b>Status of the Case:</b>  | Order Granting Defendant’s Motion for Summary Judgment filed on June 24, 2021. Plaintiff’s filed Notice of Appeal to the 11 <sup>th</sup> Circuit Court of Appeals. Case is pending before the 11 <sup>th</sup> Circuit. The 11 <sup>th</sup> Circuit held oral arguments on March 24, 2022. Panel opinion issued on March 9, 2023 withdrawn and vacated by court. Case now being heard en banc and en banc briefs are to be filed. |   |               |
| <b>Who is representing (of record) the state in this lawsuit? Check all that apply.</b>   | <input type="checkbox"/>  | Agency Counsel  |               |
|   | <input checked="" type="checkbox"/>   | Office of the Attorney General or Division of Risk Management |               |
|   | <input type="checkbox"/>  | 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 VII: Agency Litigation Inventory

*For directions on completing this schedule, please see the “Legislative Budget Request (LBR) Instructions” located on the Florida Fiscal Portal.*

|   |  |   |               |
|---|--|---|---------------|
| <b>Agency:</b>  | Florida Department of Law Enforcement  |   |               |
| <b>Contact Person:</b>  | Kate Holmes  | <b>Phone Number:</b>  | (850)410-7682 |
| <b>Names of the Case: (If no case name, list the names of the plaintiff and defendant.)</b>   | John Does 1-5 al v. Richard Swearingen   |   |               |
| <b>Court with Jurisdiction:</b>   | United States Court of Appeals for the Eleventh Circuit<br>Trial Court: United States District Court, Southern District of Florida   |   |               |
| <b>Case Number:</b>   | District: 1:18-cv-24145-KMW<br>COA: 21-10644   |   |               |
| <b>Summary of the Complaint:</b>  | Constitutional challenge to Florida’s sex offender registration laws found in section 943.0435, Florida Statutes. Claims for relief include ex post facto violations, violations of procedural due process, violation of substantive due process, 8 <sup>th</sup> Amendment cruel and unusual punishment, and allegations of vague terms.  |   |               |
| <b>Amount of the Claim:</b>   | \$   |   |               |
| <b>Specific Statutes or Laws (including GAA) Challenged:</b>  | Section 943.0435, Florida Statutes   |   |               |
| <b>Status of the Case:</b>  | Trial Court granted Defendant’s Motion to Dismiss. Plaintiff filed appeal with the 11 <sup>th</sup> Circuit. Oral Argument in the 11 <sup>th</sup> Circuit held on May 20, 2022. On October 21, 2022, the appellate court affirmed in part, reversed in part and remanded to trial court for further proceedings. The appellate court held that some of the Plaintiff’s claims were filed timely or satisfied the continuing violation doctrine and held that Count II and Count IV(D) were time barred by the statute of limitations. On July 25, 2023, Defendant filed a motion to dismiss the Second Amended Complaint. |   |               |
| <b>Who is representing (of record) the state in this lawsuit? Check all that apply.</b>   | <input type="checkbox"/>   | Agency Counsel  |               |
|   | <input checked="" type="checkbox"/>  | Office of the Attorney General or Division of Risk Management |               |
|   | <input type="checkbox"/>   | 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 VII: Agency Litigation Inventory

*For directions on completing this schedule, please see the “Legislative Budget Request (LBR) Instructions” located on the Florida Fiscal Portal.*

|   |  |   |               |
|---|--|---|---------------|
| <b>Agency:</b>  | Florida Department of Law Enforcement  |   |               |
| <b>Contact Person:</b>  | Kate Holmes  | <b>Phone Number:</b>  | (850)410-7682 |
| <b>Names of the Case: (If no case name, list the names of the plaintiff and defendant.)</b>   | Stephanie Ashley Harper v. Mark Glass (formerly Richard Swearingen)  |   |               |
| <b>Court with Jurisdiction:</b>   | United States District Court, Northern District of Florida   |   |               |
| <b>Case Number:</b>   | 4:21-cv-00085-RH-MAF   |   |               |
| <b>Summary of the Complaint:</b>  | Constitutional challenge to Florida’s sex offender registration laws found in section 943.0435, Florida Statutes. Claims for relief include ex post facto violations, violations of procedural due process, violations of substantive due process, and allegations of vague terms. |   |               |
| <b>Amount of the Claim:</b>   | \$   |   |               |
| <b>Specific Statutes or Laws (including GAA) Challenged:</b>  | Section 943.0435, Florida Statutes   |   |               |
| <b>Status of the Case:</b>  | Plaintiff added an additional witness to the case who is a plaintiff in <i>Does 1-5</i> . Case is currently set for trial the week of November 6, 2023 for two weeks.  |   |               |
| <b>Who is representing (of record) the state in this lawsuit? Check all that apply.</b>   | <input type="checkbox"/>   | Agency Counsel  |               |
|   | <input checked="" type="checkbox"/>  | Office of the Attorney General or Division of Risk Management |               |
|   | <input type="checkbox"/>   | 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 VII: Agency Litigation Inventory

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|   |   |   |               |
|---|---|---|---------------|
| <b>Agency:</b>  | Florida Department of Law Enforcement   |   |               |
| <b>Contact Person:</b>  | Kate Holmes   | <b>Phone Number:</b>  | (850)410-7682 |
| <b>Names of the Case: (If no case name, list the names of the plaintiff and defendant.)</b>   | Thomas Kennedy v. Ron Desantis, in his official capacity of Governor of the State of Florida, Mark Glass, in his official capacity as Acting Commissioner of the Florida Department of Law Enforcement, et al.  |   |               |
| <b>Court with Jurisdiction:</b>   | United States District Court, Southern District of Florida  |   |               |
| <b>Case Number:</b>   | 1:22-cv-21827-KMW   |   |               |
| <b>Summary of the Complaint:</b>  | Complaint alleging declaratory and injunctive relief alleging violations of freedom of speech under the First and Fourteenth Amendment to the Constitution, Violation of Equal Protection, Violation of Procedural Due Process, Violation of Substantive Due Process, unconstitutional vagueness. |   |               |
| <b>Amount of the Claim:</b>   | \$  |   |               |
| <b>Specific Statutes or Laws (including GAA) Challenged:</b>  | First, Fifth, Fourteenth Amendments to the United States Constitution   |   |               |
| <b>Status of the Case:</b>  | Case currently for trial in October 2023. Defendant filed Motion to Dismiss which is currently pending. No hearing date has been set yet.   |   |               |
| <b>Who is representing (of record) the state in this lawsuit? Check all that apply.</b>   | <input type="checkbox"/>  | Agency Counsel  |               |
|   | <input type="checkbox"/>  | Office of the Attorney General or Division of Risk Management |               |
|   | <input checked="" type="checkbox"/>   | Outside Contract Counsel                                      |               |
| <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 VII: Agency Litigation Inventory

*For directions on completing this schedule, please see the “Legislative Budget Request (LBR) Instructions” located on the Florida Fiscal Portal.*

|   |   |   |               |
|---|---|---|---------------|
| <b>Agency:</b>  | Florida Department of Law Enforcement   |   |               |
| <b>Contact Person:</b>  | Kate Holmes   | <b>Phone Number:</b>  | (850)410-7682 |
| <b>Names of the Case: (If no case name, list the names of the plaintiff and defendant.)</b>   | Christopher Pretzer, Mark Wood, Richard A. Barsky, Richard Chamnes, Edward Henry, Florida Carry, Inc., and U.S. Lawshield Legal Expense Insurance Corp.,<br>vs.<br>Rick Swearingen and<br>Florida Department of Law Enforcement |   |               |
| <b>Court with Jurisdiction:</b>   | Second Judicial Circuit Court, Leon County, Florida<br>First District Court of Appeal   |   |               |
| <b>Case Number:</b>   | 2019-CA-1123, 1D22-1863   |   |               |
| <b>Summary of the Complaint:</b>  | Declaratory and Injunctive action challenging the law related to background checks conducted by FDLE on individuals attempting to purchase firearms under sections 790.065 and 790.0655, Florida Statutes.                      |   |               |
| <b>Amount of the Claim:</b>   | \$100.00 per day of delay of the right to purchase a firearm  |   |               |
| <b>Specific Statutes or Laws (including GAA) Challenged:</b>  | Sections 790.065 and 790.0655, Florida Statutes   |   |               |
| <b>Status of the Case:</b>  | Trial Court granted Defendant’s Motion for Judgment on the Pleadings on May 17, 2022. Plaintiff appealed to First District Court of Appeal. Oral arguments set for October 3, 2023.   |   |               |
| <b>Who is representing (of record) the state in this lawsuit? Check all that apply.</b>   | <input type="checkbox"/>  | Agency Counsel  |               |
|   | <input type="checkbox"/>  | Office of the Attorney General or Division of Risk Management |               |
|   | <input checked="" type="checkbox"/>   | Outside Contract Counsel                                      |               |
| <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 VII: Agency Litigation Inventory

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|   |  |   |               |
|---|--|---|---------------|
| <b>Agency:</b>  | Florida Department of Law Enforcement  |   |               |
| <b>Contact Person:</b>  | Kate Holmes  | <b>Phone Number:</b>  | (850)410-7682 |
| <b>Names of the Case: (If no case name, list the names of the plaintiff and defendant.)</b>   | Sean Caranna and Florida Carry, Inc.,<br>vs.<br>Rick Swearingen and Florida Department of Law Enforcement  |   |               |
| <b>Court with Jurisdiction:</b>   | Second Judicial Circuit Court, Leon County, Florida<br>First District Court of Appeal  |   |               |
| <b>Case Number:</b>   | 2019-CA-1973/ 1D21-3863  |   |               |
| <b>Summary of the Complaint:</b>  | Declaratory and Injunctive action challenging the law related to background checks conducted by FDLE on individuals attempting to purchase firearms under sections 790.065 and 790.0655, Florida Statutes. |   |               |
| <b>Amount of the Claim:</b>   | \$ 100 per day of delay of the right to purchase a firearm   |   |               |
| <b>Specific Statutes or Laws (including GAA) Challenged:</b>  | Sections 790.065 and 790.0655, Florida Statutes  |   |               |
| <b>Status of the Case:</b>  | Trial Court dismissed case for failure to exhaust administrative remedies on November 16, 2021. Plaintiff filed appeal to First District Court of Appeal and appeal is pending.                            |   |               |
| <b>Who is representing (of record) the state in this lawsuit? Check all that apply.</b>   | <input type="checkbox"/>   | Agency Counsel  |               |
|   | <input type="checkbox"/>   | Office of the Attorney General or Division of Risk Management |               |
|   | <input checked="" type="checkbox"/>  | Outside Contract Counsel                                      |               |
| <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 VII: Agency Litigation Inventory

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|   |   |   |               |
|---|---|---|---------------|
| <b>Agency:</b>  | Florida Department of Law Enforcement   |   |               |
| <b>Contact Person:</b>  | Kate Holmes   | <b>Phone Number:</b>  | (850)410-7682 |
| <b>Names of the Case: (If no case name, list the names of the plaintiff and defendant.)</b>   | Cynthia E. Heffron<br>vs.<br>Florida Department of Agriculture, Division of Licensing and Florida Department of Law Enforcement   |   |               |
| <b>Court with Jurisdiction:</b>   | Second Judicial Circuit Court, Leon County, Florida   |   |               |
| <b>Case Number:</b>   | 2020-CA-001275  |   |               |
| <b>Summary of the Complaint:</b>  | Declaratory and Injunctive relief claim based upon FDACS denial of Plaintiff's application for a concealed weapons permit based upon FDLE's search of the National Instant Check System (NICS) which showed Plaintiff was ineligible to receive a concealed weapon permit pursuant to Section 790.06(2)(n), Florida Statutes. |   |               |
| <b>Amount of the Claim:</b>   | n/a   |   |               |
| <b>Specific Statutes or Laws (including GAA) Challenged:</b>  | Section 790.33, Florida Statutes  |   |               |
| <b>Status of the Case:</b>  | Trial Court granted Motion to Dismiss FDLE as a party. Plaintiff appealed to the First District Court of Appeal and appeal is pending.  |   |               |
| <b>Who is representing (of record) the state in this lawsuit? Check all that apply.</b>   | <input type="checkbox"/>  | Agency Counsel  |               |
|   | <input type="checkbox"/>  | Office of the Attorney General or Division of Risk Management |               |
|   | <input checked="" type="checkbox"/>   | Outside Contract Counsel                                      |               |
| <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 VII: Agency Litigation Inventory

*For directions on completing this schedule, please see the “Legislative Budget Request (LBR) Instructions” located on the Florida Fiscal Portal.*

|   |   |   |               |
|---|---|---|---------------|
| <b>Agency:</b>  | Florida Department of Law Enforcement   |   |               |
| <b>Contact Person:</b>  | Kate Holmes   | <b>Phone Number:</b>  | (850)410-7682 |
| <b>Names of the Case: (If no case name, list the names of the plaintiff and defendant.)</b>   | Florida Rights Restoration Coalition v. Ron DeSantis, Mark Glass, et al.  |   |               |
| <b>Court with Jurisdiction:</b>   | United States District Court Southern District of Florida   |   |               |
| <b>Case Number:</b>   | 23-cv-22688-CMA   |   |               |
| <b>Summary of the Complaint:</b>  | Plaintiff filed suit alleging violations of Amendment 4 of the Florida Constitution and prohibits voters from voting with the passage of SB 7066 in reference to voting. Plaintiff alleges violations of the Voting Rights Act of 1965 particularly Section 11(b), violations of the Equal Protection Clause of the 14 <sup>th</sup> Amendment and 42 U.S.C. §1983 (arbitrary and disparate treatment of voters in different counties), and violations of the 1 <sup>st</sup> and 14 <sup>th</sup> Amendments and 42 U.S.C. § 1983 (undue burden on the right to vote). |   |               |
| <b>Amount of the Claim:</b>   | \$  |   |               |
| <b>Specific Statutes or Laws (including GAA) Challenged:</b>  | Amendment 4 of the Florida Constitution, Section 98.0751, Florida Statutes.   |   |               |
| <b>Status of the Case:</b>  | Amended Complaint filed on July 26, 2023. FDLE to waive formal service of the Summons and Complaint. AG retained to represent FDLE.   |   |               |
| <b>Who is representing (of record) the state in this lawsuit? Check all that apply.</b>   | <input type="checkbox"/>  | Agency Counsel  |               |
|   | <input checked="" type="checkbox"/>   | Office of the Attorney General or Division of Risk Management |               |
|   | <input type="checkbox"/>  | 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> |   |   |               |

# Fiscal Year 2024-25 LBR Technical Review Checklist

|   |
|---|
| Department/Budget Entity (Service): Florida Department of Law Enforcement |
| Agency Budget Officer/OPB Analyst Name: Patricia Carpenter                |

*A "Y" indicates "YES" and is acceptable, an "N/J" indicates "NO/Justification Provided" - these require further explanation/justification (additional sheets can be used as necessary), and "TIPS" are other areas to consider.*

|        | Program or Service (Budget Entity Codes) |      |      |      |      |
|--------|--|------|------|------|------|
| Action | 7115                                     | 7155 | 7160 | 7170 | 7180 |

## 1. GENERAL

|   |   |   |   |   |   |
|---|---|---|---|---|---|
| 1.1 Are Columns A01, A04, A05, A91, A92, A93, A36, A10, IA1, IA4, IA5, 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> | Y | Y | Y | Y | Y |
| 1.2 Is Column A03 set to TRANSFER CONTROL for DISPLAY and UPDATE status for both the Budget and Trust Fund columns? <b>(CSDI)</b>   | Y | Y | Y | Y | Y |

### 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>                                  | Y | Y | Y | Y | Y |
| 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.                          | Y | Y | Y | Y | Y |
| 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> | Y | Y | Y | Y | Y |

**TIP** The agency should prepare the budget request for submission in this order: 1) Copy Column A03 to Column A12, and 2) Lock columns as described above. A security control feature 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? | Y | Y | Y | Y | Y |
| 2.2 Are the statewide issues generated systematically (estimated expenditures, nonrecurring expenditures, etc.) included?   | Y | Y | Y | Y | Y |
| 2.3 Are the issue codes and titles consistent with <i>Section 3</i> of the LBR Instructions (pages 15 through 28)? Do they clearly describe the issue?                  | Y | Y | Y | Y | Y |

## 3. EXHIBIT B (EXBR, EXB)

## Fiscal Year 2024-25 LBR Technical Review Checklist

|   |
|---|
| Department/Budget Entity (Service): Florida Department of Law Enforcement |
| Agency Budget Officer/OPB Analyst Name: Patricia Carpenter                |

*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) |      |      |      |      |
|--------|--|------|------|------|------|
|        | 7115                                     | 7155 | 7160 | 7170 | 7180 |

|   |     |     |     |     |     |
|---|-----|-----|-----|-----|-----|
| 3.1 Is it apparent that there is a fund shift where an appropriation category's funding source is different between A02 and A03? Were the issues entered into LAS/PBS correctly? Check D-3A funding shift issue 340XXX0 - a unique deduct and unique add back issue should be used to ensure fund shifts display correctly on the LBR exhibits. | N/A | N/A | N/A | N/A | N/A |
|---|-----|-----|-----|-----|-----|

**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> | Y | Y | Y | Y | Y |
|--|---|---|---|---|---|

|  |   |   |   |   |   |
|--|---|---|---|---|---|
| 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> | Y | Y | Y | Y | Y |
|--|---|---|---|---|---|

|   |  |  |  |  |  |
|---|--|--|--|--|--|
| <b>TIP</b> Generally look for and be able to fully explain significant differences between A02 and A03. |  |  |  |  |  |
|---|--|--|--|--|--|

|   |  |  |  |  |  |
|---|--|--|--|--|--|
| <b>TIP</b> 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. |  |  |  |  |  |
|---|--|--|--|--|--|

|   |  |  |  |  |  |
|---|--|--|--|--|--|
| <b>TIP</b> Requests for appropriations which require advance payment authority must use the sub-title "Grants and Aids". For advance payment authority to local units of government, the Aid to Local Government appropriation category (05XXXX) should be used. For advance payment authority to non-profit organizations or other units of state government, a Special Categories appropriation category (10XXXX) should be used. |  |  |  |  |  |
|---|--|--|--|--|--|

**4. EXHIBIT D (EADR, EXD)**

|  |   |   |   |   |   |
|--|---|---|---|---|---|
| 4.1 Is the program component objective statement consistent with the agency LRPP, and does it conform to the directives provided on page 60 of the LBR Instructions? | Y | Y | Y | Y | Y |
|--|---|---|---|---|---|

|   |   |   |   |   |   |
|---|---|---|---|---|---|
| 4.2 Is the program component code and title used correct? | Y | Y | Y | Y | Y |
|---|---|---|---|---|---|

|   |  |  |  |  |  |
|---|--|--|--|--|--|
| <b>TIP</b> Fund shifts or transfers of services or activities between program components will be displayed on an Exhibit D whereas it may not be visible on an Exhibit A. |  |  |  |  |  |
|---|--|--|--|--|--|

**5. EXHIBIT D-1 (ED1R, EXD1)**

|  |   |   |   |   |   |
|--|---|---|---|---|---|
| 5.1 Are all object of expenditures positive amounts? (This is a manual check.) | Y | Y | Y | Y | Y |
|--|---|---|---|---|---|

**AUDITS:**

|   |   |   |   |   |   |
|---|---|---|---|---|---|
| 5.2 Do the fund totals agree with the object category totals within each appropriation category? <b>(ED1R, XD1A - Report should print "No Differences Found For This Report")</b> | Y | Y | Y | Y | Y |
|---|---|---|---|---|---|

## Fiscal Year 2024-25 LBR Technical Review Checklist

Department/Budget Entity (Service): Florida Department of Law Enforcement

Agency Budget Officer/OPB Analyst Name: Patricia Carpenter

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| Action | Program or Service (Budget Entity Codes) |      |      |      |      |
|--------|--|------|------|------|------|
|        | 7115                                     | 7155 | 7160 | 7170 | 7180 |

|   |   |   |   |   |   |
|---|---|---|---|---|---|
| 5.3 FLAIR Expenditure/Appropriation Ledger Comparison Report: Is Column A01 less than Column B04? <b>(EXBR, EXBB - Negative differences [with a \$5,000 allowance] need to be corrected in Column A01.)</b>   | Y | Y | Y | Y | Y |
| 5.4 A01/State Accounts Disbursements and Carry Forward Comparison Report: Does Column A01 equal Column B08? <b>(EXBR, EXBD - Differences [with a \$5,000 allowance at the department level] need to be corrected in Column A01.)</b>  | Y | Y | Y | Y | Y |
| TIP If objects are negative amounts, the agency must make adjustments to Column A01 to correct the object amounts. In addition, the fund totals must be adjusted to reflect the adjustment made to the object data.   |   |   |   |   |   |
| TIP If fund totals and object totals do not agree or negative object amounts exist, the agency must adjust Column A01.  |   |   |   |   |   |
| TIP Exhibit B - A01 less than B04: This audit is to ensure that the disbursements and carry/certifications forward in A01 are less than FY 2022-23 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?   | Y | Y | Y | Y | Y |
| TIP Exhibit D-3 is not required in the budget submission but may be needed for this particular appropriation category/issue sort. Exhibit D-3 is also a useful report when identifying negative appropriation category problems.  |   |   |   |   |   |
| <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 28 of the LBR Instructions.)   | Y | Y | Y | Y | Y |
| 7.2 Does the issue narrative adequately explain the agency's request and is the explanation consistent with the LRPP? (See pages 63 through 70 of the LBR Instructions.)  | Y | Y | Y | Y | Y |
| 7.3 Does the narrative for Information Technology (IT) issue follow the additional narrative requirements described on pages 67 through 70 of the LBR Instructions?   | Y | Y | Y | Y | Y |

## Fiscal Year 2024-25 LBR Technical Review Checklist

|   |
|---|
| Department/Budget Entity (Service): Florida Department of Law Enforcement |
| Agency Budget Officer/OPB Analyst Name: Patricia Carpenter                |

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|  | Program or Service (Budget Entity Codes) |      |      |      |      |
|--|--|------|------|------|------|
|  | 7115                                     | 7155 | 7160 | 7170 | 7180 |
| Action   |  |      |      |      |      |
| 7.4 Are all issues with an IT component identified with a "Y" in the "IT COMPONENT?" field? If the issue contains an IT component, has that component been identified and documented?  | Y  | Y    | Y    | Y    | Y    |
| 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.)   | Y  | Y    | Y    | Y    | Y    |
| 7.6 Does the salary rate request amount accurately reflect any new requests and are the amounts proportionate to the Salaries and Benefits request? Note: Salary rate should always be annualized.   | Y  | Y    | Y    | Y    | Y    |
| 7.7 Does the issue narrative thoroughly explain/justify all Salaries and Benefits amounts entered into the Other Salary Amounts transactions (OAD/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.) | Y  | Y    | Y    | Y    | Y    |
| 7.8 Does the issue narrative include the Consensus Estimating Conference forecast, where appropriate?  | N/A                                      | N/A  | N/A  | N/A  | N/A  |
| 7.9 Does the issue narrative reference the specific county(ies) where applicable?  | Y  | Y    | Y    | Y    | Y    |
| 7.10 Do the 160XXX0 issues reflect budget amendments that have been approved (or in the process of being approved) and that have a recurring impact (including Lump Sums)? Have the approved budget amendments been entered in Column A18 as instructed in Memo #24-003?   | Y  | Y    | Y    | Y    | Y    |
| 7.11 When appropriate are there any 160XXX0 issues included to delete positions placed in reserve in the LAS/PBS Position and Rate Ledger (e.g. unfunded grants)? Note: Lump sum appropriations not yet allocated should <u>not</u> be deleted. <b>(PLRR, PLMO)</b>  | N/A                                      | N/A  | N/A  | N/A  | N/A  |
| 7.12 Does the issue narrative include plans to satisfy additional space requirements when requesting additional positions?   | Y  | Y    | Y    | Y    | Y    |
| 7.13 Has the agency included a 160XXX0 issue and 210XXXX and 260XXX0 issues as required for lump sum distributions?  | N/A                                      | N/A  | N/A  | N/A  | N/A  |
| 7.14 Do the amounts reflect appropriate FSI assignments?   | Y  | Y    | Y    | Y    | Y    |
| 7.15 Are the 33XXXX0 issues negative amounts only and do not restore nonrecurring cuts from a prior year or fund any issues that net to a positive or zero amount? Check D-3A issues 33XXXX0 - a unique issue should be used for issues that net to zero or a positive amount.   | Y  | Y    | Y    | Y    | Y    |

## Fiscal Year 2024-25 LBR Technical Review Checklist

Department/Budget Entity (Service): Florida Department of Law Enforcement

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| Action | Program or Service (Budget Entity Codes) |      |      |      |      |
|--------|--|------|------|------|------|
|        | 7115                                     | 7155 | 7160 | 7170 | 7180 |

|  |     |     |     |     |     |
|--|-----|-----|-----|-----|-----|
| 7.16 Do the issue codes relating to special <i>salary and benefits</i> issues (e.g., position reclassification, pay grade adjustment, overtime/on-call pay, etc.) have an "A" in the fifth position of the issue code (XXXXAXX) and are they self-contained (not combined with other issues)? (See pages 27 and 89 of the LBR Instructions.)   | Y   | Y   | Y   | Y   | Y   |
| 7.17 Do the issues relating to <i>Information Technology (IT)</i> have a "C" in the sixth position of the issue code (36XXXCX) and are the correct issue codes used (361XXC0, 362XXC0, 363XXC0, 24010C0, 30010C0, 33011C0, 160E470, or 160E480)?   | Y   | Y   | Y   | Y   | Y   |
| 7.18 Are the issues relating to <i>major audit findings and recommendations</i> properly coded (4A0XXX0, 4B0XXX0)?   | N/A | N/A | N/A | N/A | N/A |
| 7.19 Does the issue narrative identify the strategy or strategies in the Five Year Statewide Strategic Plan for Economic Development?  | Y   | Y   | Y   | Y   | Y   |
| <b>AUDIT:</b>  |     |     |     |     |     |
| 7.20 Does the General Revenue for 160XXXX (Adjustments to Current Year Expenditures) issues net to zero? ( <b>GENR, LBR1</b> )   | Y   | Y   | Y   | Y   | Y   |
| 7.21 Does the General Revenue for 180XXXX (Intra-Agency Reorganizations) issues net to zero? ( <b>GENR, LBR2</b> )   | N/A | N/A | N/A | N/A | N/A |
| 7.22 Does the General Revenue for 200XXXX (Estimated Expenditures Realignment) issues net to zero? ( <b>GENR, LBR3</b> )   | Y   | Y   | Y   | Y   | Y   |
| 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> )   | Y   | Y   | Y   | Y   | Y   |
| 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> )   | Y   | Y   | Y   | Y   | Y   |
| 7.25 Has the agency entered annualization issues (260XXX0) for any issue that was partially funded in Fiscal Year 2023-24? Review Column G66 to determine whether any incremental amounts are needed to fully fund an issue that was initially appropriated in Fiscal Year 2023-24. Do not add annualization issues for pay and benefit distribution issues, as those annualization issues (26AXXXX) have already been added to A03. | Y   | Y   | Y   | Y   | Y   |

## Fiscal Year 2024-25 LBR Technical Review Checklist

|   |
|---|
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| Agency Budget Officer/OPB Analyst Name: Patricia Carpenter                |

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|        | Program or Service (Budget Entity Codes) |      |      |      |      |
|--------|--|------|------|------|------|
| Action | 7115                                     | 7155 | 7160 | 7170 | 7180 |

|     |  |  |  |  |  |  |
|-----|--|--|--|--|--|--|
| 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 63 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 2023-24 General Appropriations Act duplicates an appropriation made in substantive legislation, the agency must create a unique deduct nonrecurring issue to eliminate the duplicated appropriation. Normally this is taken care of through line item veto.   |  |  |  |  |  |

**8. SCHEDULE I & RELATED DOCUMENTS (SC1R, SC1 - Budget Entity Level or SC1R, SC1D - Department Level) (Required to be posted to the Florida Fiscal Portal)**

|     |  |     |     |     |     |     |
|-----|--|-----|-----|-----|-----|-----|
| 8.1 | Has a separate department level Schedule I and supporting documents package been submitted by the agency?  | Y   | Y   | Y   | Y   | Y   |
| 8.2 | Has a Schedule I and Schedule IB been completed in LAS/PBS for each operating trust fund?  | Y   | Y   | Y   | Y   | Y   |
| 8.3 | Have the appropriate Schedule I supporting documents been included for the trust funds (Schedule IA, Schedule IC, and Reconciliation to Trial Balance)?  | Y   | Y   | Y   | Y   | Y   |
| 8.4 | Have the Examination of Regulatory Fees Part I and Part II forms been included for the applicable regulatory programs?   | N/A | N/A | N/A | N/A | N/A |
| 8.5 | Have the required detailed narratives been provided (5% trust fund reserve narrative; method for computing the distribution of cost for general management and administrative services narrative; adjustments narrative; revenue estimating methodology narrative; fixed capital outlay adjustment narrative)? | Y   | Y   | Y   | Y   | Y   |
| 8.6 | Has the Inter-Agency Transfers Reported on Schedule I form been included as applicable for transfers totaling \$100,000 or more for the fiscal year?   | Y   | Y   | Y   | Y   | Y   |



## Fiscal Year 2024-25 LBR Technical Review Checklist

Department/Budget Entity (Service): Florida Department of Law Enforcement

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| Action | Program or Service (Budget Entity Codes) |      |      |      |      |
|--------|--|------|------|------|------|
|        | 7115                                     | 7155 | 7160 | 7170 | 7180 |

|  |     |     |     |     |     |
|--|-----|-----|-----|-----|-----|
| 8.7 If the agency is scheduled for the annual trust fund review this year, have the Schedule ID and applicable draft legislation been included for recreation, modification or termination of existing trust funds?  | N/A | N/A | N/A | N/A | N/A |
| 8.8 If the agency is scheduled for the annual trust fund review this year, have the necessary trust funds been requested for creation pursuant to section 215.32(2)(b), Florida Statutes - including the Schedule ID and applicable legislation?   | N/A | N/A | N/A | N/A | N/A |
| 8.9 Are the revenue codes correct? In the case of federal revenues, has the agency appropriately identified direct versus indirect receipts (object codes 000700, 000750, 000799, 001510 and 001599)? For non-grant federal revenues, is the correct revenue code identified (codes 000504, 000119, 001270, 001870, 001970)? | Y   | Y   | Y   | Y   | Y   |
| 8.10 Are the statutory authority references correct?   | Y   | Y   | Y   | Y   | Y   |
| 8.11 Are the General Revenue Service Charge percentage rates used for each revenue source correct? (Refer to section 215.20, Florida Statutes, for appropriate General Revenue Service Charge percentage rates.)   | Y   | Y   | Y   | Y   | Y   |
| 8.12 Is this an accurate representation of revenues based on the most recent Consensus Estimating Conference forecasts?  | Y   | Y   | Y   | Y   | Y   |
| 8.13 If there is no Consensus Estimating Conference forecast available, do the revenue estimates appear to be reasonable?  | Y   | Y   | Y   | Y   | Y   |
| 8.14 Are the federal funds revenues reported in Section I broken out by individual grant? Are the correct CFDA codes used?   | Y   | Y   | Y   | Y   | Y   |
| 8.15 Are anticipated grants included and based on the state fiscal year (rather than federal fiscal year)?   | Y   | Y   | Y   | Y   | Y   |
| 8.16 Are the Schedule I revenues consistent with the FSI's reported in the Exhibit D-3A?   | Y   | Y   | Y   | Y   | Y   |
| 8.17 If applicable, are nonrecurring revenues entered into Column A04?   | Y   | Y   | Y   | Y   | Y   |
| 8.18 Has the agency certified the revenue estimates in columns A02 and A03 to be the latest and most accurate available? Does the certification include a statement that the agency will notify OPB of any significant changes in revenue estimates that occur prior to the Governor's Budget Recommendations being issued?  | Y   | Y   | Y   | Y   | Y   |
| 8.19 Is a 5% trust fund reserve reflected in Section II? If not, is sufficient justification provided for exemption? Are the additional narrative requirements provided?   | Y   | Y   | Y   | Y   | Y   |

## Fiscal Year 2024-25 LBR Technical Review Checklist

|   |
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| Action | Program or Service (Budget Entity Codes) |      |      |      |      |
|--------|--|------|------|------|------|
|        | 7115                                     | 7155 | 7160 | 7170 | 7180 |

|      |   |     |     |     |     |     |
|------|---|-----|-----|-----|-----|-----|
| 8.20 | Are appropriate General Revenue Service Charge nonoperating amounts included in Section II?   | Y   | Y   | Y   | Y   | Y   |
| 8.21 | Are nonoperating expenditures to other budget entities/departments cross-referenced accurately?   | Y   | Y   | Y   | Y   | Y   |
| 8.22 | Do transfers balance between funds (within the agency as well as between agencies)? (See also 8.6 for required transfer confirmation of amounts totaling \$100,000 or more.)                      | Y   | Y   | Y   | Y   | Y   |
| 8.23 | Are nonoperating expenditures recorded in Section II and adjustments recorded in Section III?   | Y   | Y   | Y   | Y   | Y   |
| 8.24 | Are prior year September operating reversions appropriately shown in column A01, Section III?   | Y   | Y   | Y   | Y   | Y   |
| 8.25 | Are current year September operating reversions (if available) appropriately shown in column A02, Section III?  | N/A | N/A | N/A | N/A | N/A |
| 8.26 | Does the Schedule IC properly reflect the unreserved fund balance for each trust fund as defined by the LBR Instructions, and is it reconciled to the agency accounting records?                  | Y   | Y   | Y   | Y   | Y   |
| 8.27 | Has the agency analyzed for continuing appropriations (category 13XXXX) and properly accounted for in the appropriate column(s) in Section III?   | Y   | Y   | Y   | Y   | Y   |
| 8.28 | Does Column A01 of the Schedule I accurately represent the actual prior year accounting data as reflected in the agency accounting records, and is it provided in sufficient detail for analysis? | Y   | Y   | Y   | Y   | Y   |
| 8.29 | Does Line I of Column A01 (Schedule I) equal Line K of the Schedule IC?   | Y   | Y   | Y   | Y   | Y   |

**AUDITS:**

|      |   |   |   |   |   |   |
|------|---|---|---|---|---|---|
| 8.30 | Is Line I a positive number? (If not, the agency must adjust the budget request to eliminate the deficit).  | Y | Y | Y | Y | Y |
| 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> | Y | Y | Y | Y | Y |
| 8.32 | Has a Department Level Reconciliation been provided for each trust fund and does Line A of the Schedule I equal the CFO amount? If not, the agency must correct Line A. <b>(SC1R, DEPT)</b>   | Y | Y | Y | Y | Y |
| 8.33 | Has a Schedule IB been provided for ALL trust funds having an unreserved fund balance in columns A01, A02 and/or A03, and if so, does each column's total agree with line I of the Schedule I?  | Y | Y | Y | Y | Y |

## Fiscal Year 2024-25 LBR Technical Review Checklist

|   |
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|        | Program or Service (Budget Entity Codes) |      |      |      |      |
|--------|--|------|------|------|------|
| Action | 7115                                     | 7155 | 7160 | 7170 | 7180 |

|   |   |   |   |   |   |
|---|---|---|---|---|---|
| 8.34 Have A/R been properly analyzed and any allowances for doubtful accounts been properly recorded on the Schedule IC?  | Y | Y | Y | Y | Y |
| TIP The Schedule I is the most reliable source of data concerning the trust funds. It is very important that this schedule is as accurate as possible!  |   |   |   |   |   |
| TIP Determine if the agency is scheduled for trust fund review. (See pages 121 through 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.   |   |   |   |   |   |

### 9. SCHEDULE II (PSCR, SC2)

| 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.) | Y | Y | Y | Y | Y |

### 10. SCHEDULE III (PSCR, SC3)

|   |   |   |   |   |   |
|---|---|---|---|---|---|
| 10.1 Is the appropriate lapse amount applied? (See page 91 of the LBR Instructions.)  | Y | Y | Y | Y | Y |
| 10.2 Are amounts in <i>Other Salary Amount</i> appropriate and fully justified? (See pages 94 and 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. | Y | Y | Y | Y | Y |

### 11. SCHEDULE IV (EADR, SC4)

|   |   |   |   |   |   |
|---|---|---|---|---|---|
| 11.1 Are the correct Information Technology (IT) issue codes used?  | Y | Y | Y | Y | Y |
| TIP If IT issues are not coded (with "C" in 6th position or within a program component of 1603000000), they will not appear in the Schedule IV. |   |   |   |   |   |

### 12. SCHEDULE VIIIA (EADR, SC8A)

|   |   |   |   |   |   |
|---|---|---|---|---|---|
| 12.1 Is there only one #1 priority, one #2 priority, one #3 priority, etc. reported on the Schedule VIII-A? Are the priority narrative explanations adequate? Note: FCO issues can be included in the priority listing. | Y | Y | Y | Y | Y |
|---|---|---|---|---|---|

### 13. SCHEDULE VIIIB-1 (EADR, S8B1)

|  |     |     |     |     |     |
|--|-----|-----|-----|-----|-----|
| 13.1 <b>NOT REQUIRED FOR THIS YEAR</b> | N/A | N/A | N/A | N/A | N/A |
|--|-----|-----|-----|-----|-----|

## Fiscal Year 2024-25 LBR Technical Review Checklist

|   |
|---|
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|        | Program or Service (Budget Entity Codes) |      |      |      |      |
|--------|--|------|------|------|------|
| Action | 7115                                     | 7155 | 7160 | 7170 | 7180 |

**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 Column A92.

**14. SCHEDULE VIII B-2 (EADR, S8B2) (Required to be posted to the Florida Fiscal Portal)**

|  |   |   |   |   |   |
|--|---|---|---|---|---|
| 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.) | Y | Y | Y | Y | Y |
|--|---|---|---|---|---|

**TIP** Compare the debt service amount requested (IOE N or other IOE used for debt service) with the debt service need included in the Schedule VI: Detail of Debt Service, to determine whether any debt has been retired and may be reduced.

**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.

**15. SCHEDULE VIII C (EADR, S8C) (NO LONGER REQUIRED)**

**16. SCHEDULE XI (UCSR, SCXI) (LAS/PBS Web - see pages 105-109 of the LBR Instructions for detailed instructions) (Required to be posted to the Florida Fiscal Portal in Manual Documents)**

|  |   |   |   |   |   |
|--|---|---|---|---|---|
| 16.1 Agencies are required to generate this spreadsheet via the LAS/PBS Web. <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.) | Y | Y | Y | Y | Y |
|--|---|---|---|---|---|

|   |   |   |   |   |   |
|---|---|---|---|---|---|
| 16.2 Do the PDF files uploaded to the Florida Fiscal Portal for the LRPP and LBR match? | Y | Y | Y | Y | Y |
|---|---|---|---|---|---|

**AUDITS INCLUDED IN THE SCHEDULE XI REPORT:**

|   |   |   |   |   |   |
|---|---|---|---|---|---|
| 16.3 Does the FY 2022-23 Actual (prior year) Expenditures in Column A36 reconcile to Column A01? ( <b>GENR, ACT1</b> )  | Y | Y | Y | Y | Y |
| 16.4 None of the executive direction, administrative support and information technology statewide activities (ACT0010 thru ACT0490) have output standards (Record Type 5)? ( <b>Audit #1 should print "No Activities Found"</b> ) | Y | Y | Y | Y | Y |
| 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> )                                    | Y | Y | Y | Y | Y |

## Fiscal Year 2024-25 LBR Technical Review Checklist

|   |
|---|
| Department/Budget Entity (Service): Florida Department of Law Enforcement |
| Agency Budget Officer/OPB Analyst Name: Patricia Carpenter                |

*A "Y" indicates "YES" and is acceptable, an "N/J" indicates "NO/Justification Provided" - these require further explanation/justification (additional sheets can be used as necessary), and "TIPS" are other areas to consider.*

|        | Program or Service (Budget Entity Codes) |      |      |      |      |
|--------|--|------|------|------|------|
| Action | 7115                                     | 7155 | 7160 | 7170 | 7180 |

|   |   |   |   |   |   |
|---|---|---|---|---|---|
| 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.) | Y | Y | Y | Y | Y |
| 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> )  | Y | Y | Y | Y | Y |
| <b>TIP</b> If Section I and Section III have a small difference, it may be due to rounding and therefore will be acceptable.  |   |   |   |   |   |

**17. MANUALLY PREPARED EXHIBITS & SCHEDULES (Required to be posted to the Florida Fiscal Portal)**

|   |   |   |   |   |   |
|---|---|---|---|---|---|
| 17.1 Do exhibits and schedules comply with LBR Instructions (pages 53 through 109 of the LBR Instructions), and are they accurate and complete?   | Y | Y | Y | Y | Y |
| 17.2 Does manual exhibits tie to LAS/PBS where applicable?  | Y | Y | Y | Y | Y |
| 17.3 Are agency organization charts (Schedule X) provided and at the appropriate level of detail?   | Y | Y | Y | Y | Y |
| 17.4 Does the LBR include a separate Schedule IV-B for each IT project over \$1 million (see page 129 and 130 of the LBR instructions for exceptions to this rule)? Have all IV-Bs been emailed to: <b>IT@LASPBS.STATE.FL.US?</b> | Y | Y | Y | Y | Y |
| 17.5 Are all forms relating to Fixed Capital Outlay (FCO) funding requests submitted in the proper form, including a Truth in Bonding statement (if applicable) ?   | Y | Y | Y | Y | Y |

**AUDITS - GENERAL INFORMATION**

|   |  |  |  |  |  |
|---|--|--|--|--|--|
| <b>TIP</b> Review <i>Section 6: Audits</i> of the LBR Instructions (pages 155 through 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. |  |  |  |  |  |

**18. CAPITAL IMPROVEMENTS PROGRAM (CIP) (Required to be posted to the Florida Fiscal Portal)**

|   |   |   |   |   |   |
|---|---|---|---|---|---|
| 18.1 Are the CIP-2, CIP-3, CIP-A and CIP-B forms included?                                    | Y | Y | Y | Y | Y |
| 18.2 Are the CIP-4 and CIP-5 forms submitted when applicable (see CIP                         | Y | Y | Y | Y | Y |
| 18.3 Do all CIP forms comply with CIP Instructions where applicable (see CIP Instructions)?   | Y | Y | Y | Y | Y |
| 18.4 Does the agency request include 5 year projections (Columns A03, A06, A07, A08 and A09)? | Y | Y | Y | Y | Y |
| 18.5 Are the appropriate counties identified in the narrative?                                | Y | Y | Y | Y | Y |

## Fiscal Year 2024-25 LBR Technical Review Checklist

Department/Budget Entity (Service): Florida Department of Law Enforcement

Agency Budget Officer/OPB Analyst Name: Patricia Carpenter

*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) |      |      |      |      |
|--------|--|------|------|------|------|
|        | 7115                                     | 7155 | 7160 | 7170 | 7180 |

|      |   |   |   |   |   |   |
|------|---|---|---|---|---|---|
| 18.6 | Has the CIP-2 form (Exhibit B) been modified to include the agency priority for each project and the modified form saved as a PDF document?   | Y | Y | Y | Y | Y |
| TIP  | Requests for Fixed Capital Outlay appropriations which are Grants and Aids to Local Governments and Non-Profit Organizations must use the Grants and Aids to Local Governments and Non-Profit Organizations - Fixed Capital Outlay major appropriation category (140XXX) and include the sub-title "Grants and Aids". These appropriations utilize a CIP-B form as justification. |   |   |   |   |   |

**19. FLORIDA FISCAL PORTAL**

|      |   |   |   |   |   |   |
|------|---|---|---|---|---|---|
| 19.1 | Have all files been assembled correctly and posted to the Florida Fiscal Portal as outlined in the Florida Fiscal Portal Submittal Process? | Y | Y | Y | Y | Y |
|------|---|---|---|---|---|---|