OFFICE OF THE ATTORNEY GENERAL

ASHLEY MOODY
ATTORNEY GENERAL
STATE OF FLORIDA

PL-01 The Capitol
Tallahassee, FL 32399-1050
Phone (850) 414-3300
http://www.myfloridalegal.com

LEGISLATIVE BUDGET REQUEST

Department of Legal Affairs

October 15, 2024

Brandi Gunder, Deputy 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 Department of Legal Affairs 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 2025-26 Fiscal Year. This submission has been approved by Attorney General Ashley Moody.

Included in this submission is the Schedule VIIIB-2 as required by Article III, section 19 of the Florida Constitution and Section 216.221(5), F.S. Required targeted reductions included in these schedules would have a significant impact to the important programs that provide services to crime victims and at-risk youth. It is the General's sincere request that if reductions become necessary, that impacts are minimal.

Sincerely,

Susan Renee Nelms
Operations and Budget Manager

Legislative Budget Request

FY 2025-26

Department of Legal Affairs
Office of the Attorney General

Department Level Exhibits and Schedules

PL 01 The Capitol
Tallahassee, Florida 32399-1050

Schedule VII: Agency Litigation Inventory

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

Agency:	**Department of Legal Affairs**		
Contact Person:	Anita Patel	Phone Number:	850-414-3694

Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	DREAM DEFENDERS V. DESANTIS, ET AL., L.T. USDC – ND Fla. case no. 4:21-cv-191
Court with Jurisdiction:	11th Cir. Court of Appeals
Case Number:	21-13489
Summary of the Complaint:	This case challenges chapter 2021-6, LOF (The Anti-Riot law). Plaintiffs are a group of organizations focused on outreach and community mobilization. They challenge: section 1, relating to municipalities' efforts to reduce law enforcement budgets; section 2, amending section 316.2045 regarding pedestrian violations resulting in the obstruction of traffic; section 8, creating the new offense of mob intimidation; section 14, creating a new crime of cyberintimidation by publication; section 15, amending the definition of "riot" in section 870.01(2), Fla. Stat.; section 16, requiring those arrested for unlawful assembly to be held without bail; and section 18, creating a new affirmative defense to damages claim that the injury for which damages are sought arose from the participation in a riot. Plaintiffs assert various constitutional challenges, including violations of the Equal Protection Clause (discriminatory purpose in enactment), the 1st Amendment (speech is chilled), and violations of the 14th Amendment for vagueness.

Amount of the Claim:	$ n/a	
Specific Statutes or Laws (including GAA) Challenged:	Sections 166.241(4) and (5), 316.2045, 784.0495, 836.115, 870.01(2), 870.02, 870.07, Fla. Stat.	
Status of the Case:	On June 20, 2024, the Florida Supreme Court's opinion answering the certified question (above) was filed in the 11th Circuit. Waiting for an opinion from the 11th Circuit.	
Who is representing (of record) the state in this lawsuit? Check all that	x	Agency Counsel
	x	Office of the Attorney General or Division of Risk Management

apply.		Outside Contract Counsel
If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).		

Schedule VII: Agency Litigation Inventory

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Agency:	**Department of Legal Affairs**		
Contact Person:	William Stafford	Phone Number:	850-414-3785

Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	NETCHOICE, LLC, ET AL. V. ASHLEY MOODY, ET AL. United States Supreme Court case no. 22-277 11th Circuit case no. 21-12355 L.T. USDC – ND Fla. case no. 4:21-cv-00220-RH-MAF
Court with Jurisdiction:	USDC NDFL
Case Number:	4:21-cv-220
Summary of the Complaint:	Plaintiffs, two trade associations of major social media platforms, sued to enjoin chapter 2021-32, Florida's social media de-platforming law. Claims have been asserted for violations of freedom of speech, due process, equal protection, the Commerce Clause, and the Supremacy Clause.
Amount of the Claim:	$ n/a
Specific Statutes or Laws (including GAA) Challenged:	Sections 106.072, 287.137, and 501.2041, Fla. Stat.
Status of the Case:	On September 23, 2024, Defendants filed a Motion for Partial Judgment on the Pleadings requesting the Court to dismiss Counts I and IV of the Complaint for lack of standing and failure to state a cause of action. Plaintiffs have until Nov 1 to respond to the Motion or file an amended complaint. The current discovery and trial deadlines will likely be moved back a couple of months.

Who is representing (of record) the state in this lawsuit? Check all that apply.		Agency Counsel
	x	Office of the Attorney General or Division of Risk Management
		Outside Contract Counsel
If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).		

Schedule VII: Agency Litigation Inventory

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Agency:	**Department of Legal Affairs**		
Contact Person:	Tim Newhall	Phone Number:	850-414-3633

Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	NATIONAL RIFLE ASSN. OF AMERICA, INC. V. MOODY AND RICK SWEARINGEN 11th Circuit case no. 21-12314 L.T. USDC – ND Fla. case no. 4:18-cv-137
Court with Jurisdiction:	11th Cir. Court of Appeals
Case Number:	21-12314
Summary of the Complaint:	By Second Amended Complaint filed November 19, 2019, plaintiffs National Rifle Association and Radford Fant seek declaratory and injunctive relief against the Attorney General and the Commissioner of FDLE. Plaintiffs bring facial and as-applied challenges under the Second Amendment and the Equal Protection clause to section 11 of chapter 2018-3, Laws of Florida, (the Marjory Stoneman Douglas High School Public Safety Act), which prohibits the sale of a firearm by a licensed importer, manufacturer or dealer to a person younger than 21 (except individuals who are correctional officers, members of law enforcement or military service members). On June 24, 2021, the court granted summary judgment for the state, holding that the Second Amendment does not protect the sale of firearms to individuals under the age of 21.

Amount of the Claim:	$ n/a
Specific Statutes or Laws (including GAA) Challenged:	Chapter 2018-3, LOF
Status of the Case:	En Banc Briefing in the 11th Cir. completed September 20, 2024. OA scheduled for October 22, 2024 in Atlanta.

Who is representing (of		Agency Counsel

record) the state in this lawsuit? Check all that apply.	x	Office of the Attorney General or Division of Risk Management
		Outside Contract Counsel
If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).		

Office of Policy and Budget – June 2024

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.

Agency:	**Department of Legal Affairs**		
Contact Person:	Anita Patel	Phone Number:	8504143694

Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	RENE GARCIA (MIAMI-DADE COUNTY COMM'NER), ET AL., V. KERRIE STILLMAN, IN HER OFFICIAL CAPACITY AS E.D. OF THE FLORIDA COMM'N ON ETHICS, ET AL USDC FLSD 1:22-cv-24156	
Court with Jurisdiction:	11th Cir. Court of Appeals	
Case Number:	23-12663	
Summary of the Complaint:	Plaintiffs are 4 elected local government officials who claim to represent clients, either as lobbyists and/or attorneys, while serving in office. Plaintiffs challenge the 2018 amendments to Article 2, section 8 of the Florida Constitution (effective December 31, 2022) which ban lobbying by public officials. Article 2, section 8(f)(1) – (5) and 8(h)(2) prohibit public officers from lobbying for compensation on issues of policy, appropriations or procurement before the federal government, the legislature, any state body or agency or any political subdivision of the state while in office. The lobbying ban also prohibits public officials from lobbying their former agency or governing body for a period of 6 years after leaving office. Plaintiffs also challenge the 2022 enabling legislation (chapter 2022-140, LOF, codified at section 112.3122, Fla. Stat.)	
Amount of the Claim:	$n/a	
Specific Statutes or Laws (including GAA) Challenged:	Article 2, section 8(f)(1) – (5) and 8(h)(2)	
Status of the Case:	On August 18, 2023, defendants (the state) appealed the final judgment. Plaintiffs cross-appealed on September 12, 2023. Briefing is complete as of May 15, 2024.	
Who is representing (of		Agency Counsel

record) the state in this lawsuit? Check all that	x	Office of the Attorney General or Division of Risk Management
apply.		Outside Contract Counsel
If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).		

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Agency:	**Department of Legal Affairs**		
Contact Person:	Stephanie Morse	Phone Number:	8504143664

Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	HISPANIC FEDERATION, ET AL. V. CORD BYRD, ET AL., USDC- ND Fla.- case no. 4:23-cv-218	
Court with Jurisdiction:	11th Cir. Court of Appeals	
Case Number:	24-11892	
Summary of the Complaint:	Lawsuit challenging SB 7050 (2023) which amends Fla. Stat. § 97.0575. Plaintiffs specifically challenge Fla. Stat. § 97.0575(1)(f) which requires 3PVRO to affirm that each person collecting or handling voter registration applications is a U.S. citizen and imposes a $50,000 fine on the organization for each person collecting or handling applications who fails to meet this requirement. Plaintiffs allege that the provision: (1) impermissibly burdens their right to free speech and association; (2) is overbroad because it regulates a substantial amount of protected expression; (3) that it impermissibly burdens their right to political speech in connection with the fundamental right to vote; (4) is void for vagueness; (5) violates the non-citizen Plaintiffs' right to Equal Protection by discriminating on the basis of alienage; and (6) violates the non-citizen Plaintiffs' right to contract.	
Amount of the Claim:	$ n/a	
Specific Statutes or Laws (including GAA) Challenged:	Fla. Stat. § 97.0575(1)(f)	
Status of the Case:	The state defendants appealed the district court's ruling following a trial. The appeal is stayed pending decisions in NAACP and LOWV related cases.	
Who is representing (of record) the state in this lawsuit? Check all that apply.		Agency Counsel
	x	Office of the Attorney General or Division of Risk Management
		Outside Contract Counsel

If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).	

Schedule VII: Agency Litigation Inventory

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Agency:	**Department of Legal Affairs**		
Contact Person:	Stephanie Morse	Phone Number:	8504143664

Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	LEAGUE OF WOMEN'S VOTERS OF FLORIDA , ET AL. V. MOODY, USDC- ND Fla.- case no. 4:23-cv-00216	
Court with Jurisdiction:	USDC FLND	
Case Number:	4:23-cv-00216	
Summary of the Complaint:	Lawsuit challenging SB 7050 (2023) which amends Fla. Stat. § 97.0575. Plaintiffs specifically challenge a provision that bars non- citizens and people with certain felony convictions from collecting and handling voter registration applications, a provision that requires 3PVRO to send a receipt to every voter registration applicant, a provision that reduces the time 3PVROs have to deliver applications, and re-registration requirements for 3PVROs. Plaintiffs allege that the challenged provisions: (1) violate their right to free speech and expressive conduct; (2) violate their right to free association; (3) are overbroad; and (4) are void for vagueness. Plaintiffs are seeking declaratory and injunctive relief.	
Amount of the Claim:	$n/a	
Specific Statutes or Laws (including GAA) Challenged:	Fla. Stat. § 97.0575	
Status of the Case:	On July 3, 2023 the court entered a Preliminary Injunction that enjoins the Secretary of State and the Attorney General from enforcing the provisions prohibiting felons or noncitizens from collecting or handling ballots and the provision that criminalizes retention of voter information. The State Defendants appealed the injunction. Trial held in April. Awaiting final decision.	
Who is representing (of record) the state in this lawsuit? Check all that apply.		Agency Counsel
	x	Office of the Attorney General or Division of Risk Management
		Outside Contract Counsel

If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).	

Schedule VII: Agency Litigation Inventory

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Agency:	**Department of Legal Affairs**		
Contact Person:	Stephanie Morse	Phone Number:	8504143664

Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	Florida State Conference and Youth Units of the NAACP, et al. v. Cord Byrd, et al., USDC- ND Fla.- case no. 4:23-cv-00215	
Court with Jurisdiction:	USDC FLND	
Case Number:	4:23-cv-00215	
Summary of the Complaint:	Lawsuit challenging SB 7050 (2023) which amends Fla. Stat. § 97.0575. Plaintiff specifically challenge a provision that bars non-citizens and people with certain felony convictions from collecting and handling voter registration applications, a provision that increases fines for late-returned voter registration applications and applications inadvertently submitted to the wrong county, a provision that criminalizes retention of voter information for any purpose other than registration, and a provision that requires Supervisors of Elections to only receive mail in ballots from the a voter, a member of the voter's family, or the voter's legal guardian.	
Amount of the Claim:	$n/a	
Specific Statutes or Laws (including GAA) Challenged:	Fla. Stat. § 97.0575	
Status of the Case:	On July 3, 2023 the court entered a Preliminary Injunction that enjoins the Secretary of State and the Attorney General from enforcing the provisions prohibiting felons or noncitizens from collecting or handling ballots and the provision that criminalizes retention of voter information. The State Defendants appealed the injunction. Trial held in April 2024. Awaiting final decision.	
Who is representing (of record) the state in this lawsuit? Check all that		Agency Counsel
	x	Office of the Attorney General or Division of Risk Management

apply.		Outside Contract Counsel
If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).		

Schedule VII: Agency Litigation Inventory

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Agency:	**Department of Legal Affairs**		
Contact Person:	Bilal Faruqui	Phone Number:	850-414-3757

Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	TALLAHASSEE BAIL FUND, INC. V. GWENDOLYN MARSHALL, IN HER CAPACITY AS CLERK OF THE CIRCUIT COURT USDC – ND Fla. case no. 4:22-cv-297	
Court with Jurisdiction:	11th Cir. Court of Appeals	
Case Number:	24-10827	
Summary of the Complaint:	TBF brings this 1983 action seeking declaratory and injunctive relief, as well as compensatory damages, challenging section 903.286, Florida Statutes, which requires that court costs, fines and fees are to be withheld from the return of a cash bond posted by a person or entity (e.g., TBF) other than a bail bond agent. Counts I and II assert that the statute violates the 8th Amendment's prohibition of excessive bail and excessive fines, and count III asserts a due process claim, arguing that the TBF has a pre-deprivation right to be heard before the costs, fines and fees are deducted. The Attorney General was granted the right to intervene. Final Order in favor of Plaintiff issued on 2/20/2024. Joint NOA filed on 3/19/2024.	
Amount of the Claim:	$ n/a	
Specific Statutes or Laws (including GAA) Challenged:	Section 903.286, Fla. Stat.	
Status of the Case:	The defendants appealed an adverse ruling by the district court. Appellant-Cross Appellees brief filed on 9/26/24. Appellee granted extension until 11/18/24 to file reply brief.	
Who is representing (of record) the state in this lawsuit? Check all that apply.		Agency Counsel
	x	Office of the Attorney General or Division of Risk Management
		Outside Contract Counsel

Office of Policy and Budget – June 2024

Schedule VII: Agency Litigation Inventory

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Agency:	**Department of Legal Affairs**		
Contact Person:	William Stafford	Phone Number:	8504143785

Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	UPSIDE FOODS, INC. V. WILTON SIMPSON, ASHLEY MOODY, STATE ATTY JACK CAMPBELL (2d Jud Cir.), STATE ATTY BRUCE BARTLETT (6th Jud. Cir.), ANDREW BAIN (9th Jud. Cir.) and STATE ATTY KATHLEEN FERNANDEZ RUNDLE (11 Jud. Cir.)	
Court with Jurisdiction:	USDC FLND	
Case Number:	4:24-cv-316	
Summary of the Complaint:	Plaintiff, a start-up company headquartered in California, produces "cultivated meat," which consists of animal cells grown in a facility rather than being grown inside an animal. Plaintiff has filed a 1983 claim, seeking declaratory and injunctive relief. Count 1 asserts a Supremacy Clause violation, claiming that federal law preempts the regulation of the production and distribution of poultry products under the Poultry Products Inspection Act (21 USC ss. 451-73). Count 2 asserts a similar federal preemption in the regulation of the facilities in which poultry production occurs (also the PPIA). Upside claims that it has a Grant of Inspection from the USDA for its manufacturing facility and Florida's ban substitutes a new regulatory scheme for the one used by the USDA. Count 3 claims a violation of the Dormant Commerce Clause because the Florida ban unduly burdens interstate commerce. OAG represents General Moody and State Attorneys. Complaint filed August 12, 2024.	
Amount of the Claim:	$n/a	
Specific Statutes or Laws (including GAA) Challenged:	Poultry Products Inspection Act (21 USC ss. 451-73)	
Status of the Case:	This case is in the early stages of litigation. An initial scheduling order was entered by the Court which provides for a Jan 3 deadline for discovery with MSJ due at the end of January. Plaintiffs filed a PI Motion which will be heard on October 7, 2024. Limited discovery is allowed before PI.	
Who is representing (of record) the state in this lawsuit? Check all that apply.		Agency Counsel
	x	Office of the Attorney General or Division of Risk Management
		Outside Contract Counsel

If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).	

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Agency:	**Department of Legal Affairs**		
Contact Person:	Anita Patel	Phone Number:	8504143694

Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	JCB OF GAINESVILLE, INC. d/b/a Café Risque (8th Jud. Cir.), MHHS-SINSATIONS, LLC, (4TH JUD CIR), EXOTIC FANTASIES, INC. AND SERENITY MICHELLE BUSHEY, V. ASHLEY MOODY, STATE ATTY BRIAN KRAMER (8TH JUD CIR) AND STATE ATTY MELISSA NELSON (4TH JUD CIR)	
Court with Jurisdiction:	USDC NDFL	
Case Number:	4:24-cv-00261	
Summary of the Complaint:	Plaintiffs JCB and Sinsations are adult entertainment establishments (defined by section 847.001, Fla. Stat. to include "special cabarets" that have live nude entertainment) located in Gainesville and Jacksonville, respectively. JCB (Café Risque) operates a restaurant with live, fully nude entertainment and Sinsations operates a juice bar with nude dancing. Exotic Fantasies operates a commercial retail store selling lingerie and other products as well as adult videos and books- according to the complaint, there is no live entertainment at Exotic Fantasies, and no booths or facilities on site for the viewing of adult videos. Bushey is a 19-year-old adult dancer who no longer can work at Café Risque due to the new age restriction in HB 7063, which went into effect July 1, 2024. Defendants include the Attorney General (named in her official capacity as the AG and as the statutory chair of the Statewide Council on Human Trafficking, which is charged with "[making] recommendations for apprehending and prosecuting traffickers and enhancing coordination of responses . . . .") and State Attorneys Brian Kramer (8th Jud. Cir.) and Melissa Nelson (4th Jud. Cir.) The OAG represents only the Attorney General.	
Amount of the Claim:	$n/a	
Specific Statutes or Laws (including GAA) Challenged:	Fla. Stat. 787.30(2)	
Status of the Case:	This case is in the early stages of litigation. AG filed a motion to dismiss which has not been fully briefed. The State Attorneys' response to Complaint is due Oct. 15. Discovery is stayed pending resolution of motions to dismiss.	
Who is representing (of		Agency Counsel

record) the state in this lawsuit? Check all that apply.	x	Office of the Attorney General or Division of Risk Management
		Outside Contract Counsel
If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).		

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Agency:	**Department of Legal Affairs**		
Contact Person:	William Stafford	Phone Number:	8504143785

Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	LOPER, BLACK, GROSS, BIRCH, ET AL. V. LUKIS, ANCHORS, ET AL. (MEMBERS OF THE FLORIDA COMMN ON ETHICS)	
Court with Jurisdiction:	USDC FLSD	
Case Number:	1:24-cv-20604	
Summary of the Complaint:	Ch. 2023-49, LOF, requires by July 1, 2024 all elected municipal officials (and candidates for office) to submit the Ethics Commission's Form 6 Full and Public Disclosure of Financial Interests. The 1976 Sunshine Amendment to the Florida Constitution provides for full and public disclosure of financial interests for "elected constitutional officers and candidates for such offices and, as may be determined by law, other public officers, candidates, and employees . . ." Historically, Form 6 was required of elected constitutional officers at the state and county level, with all others subject only to the limited disclosure of Form 1. Chapter 2023-49, LOF, expands the Form 6 disclosure requirement to city and municipally elected officials. Plaintiffs currently hold office in various towns, cities, villages, and other municipal entities throughout Florida. Defendants are the individually named members of the Florida Ethics Commn. Plaintiffs seek declaratory and injunctive relief, claiming that the law violates their 1st Amendment rights by compelling government speech.	
Amount of the Claim:	$n/a	
Specific Statutes or Laws (including GAA) Challenged:	SB 774 (2023-49)	
Status of the Case:	The parties are currently at the summary judgment stage. Motions for summary judgment are due October 11, 2024 with full briefing completed by November 8, 2024.	
Who is representing (of record) the state in this lawsuit? Check all that apply.		Agency Counsel
	x	Office of the Attorney General or Division of Risk Management
		Outside Contract Counsel

If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).	

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Agency:	**Department of Legal Affairs**		
Contact Person:	William Stafford	Phone Number:	8504143785

Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	TOWN OF BRINY BREEZES, CITY OF MIAMI SPRINGS, ET AL. AND LOPER, BLACK, GROSS, ET AL V. LUKIS, ANCHORS, ET AL. (MEMBERS OF THE FLORIDA COMMN ON ETHICS)	
Court with Jurisdiction:	Florida 2d. Jud. Cir.	
Case Number:	2024 CA 283	
Summary of the Complaint:	State court case with same allegations as above. Plaintiffs are the same 74 specifically identified individuals who hold office throughout Florida identified above as well as the 26 various towns, cities, villages and other municipal entities for whom those elected officials serve. Defendants are the members of the FL Ethics Commn. Plaintiffs seek declaratory and injunctive relief, claiming a violation of article I, section 23, Fla. Const. (Florida's Right to Privacy).	
Amount of the Claim:	$n/a	
Specific Statutes or Laws (including GAA) Challenged:	Article I, section 23, Fla. Const.	
Status of the Case:	The Defendants filed a motion to dismiss the complaint which is fully brief however the parties plan to seek an abatement of the proceeding pending a decision in Loper.	
Who is representing (of record) the state in this lawsuit? Check all that apply.		Agency Counsel
	x	Office of the Attorney General or Division of Risk Management
		Outside Contract Counsel
If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).		

Office of Policy and Budget – June 2024

Schedule VII: Agency Litigation Inventory

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Agency:	**Department of Legal Affairs**		
Contact Person:	Anita Patel	Phone Number:	8504143694

Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	CARLOS EDUARDO MARRON, ET AL. V. NICOLAS MADURO MORO, ET AL.	
Court with Jurisdiction:	USDC FLSD	
Case Number:	1:21-cv-23190	
Summary of the Complaint:	The case challenges SB 1442 (2023), which amended Fla. Stat. § 772.13 to expand the fugitive disentitlement doctrine to post judgment collection proceedings for civil actions related to an act of terrorism. Plaintiffs are victims of terrorism who received a money judgment against the defendants, who include the President of Venezuela, the former VP of Venezuela, and the Cartel of the Suns. Plaintiffs, pursuant to the Terrorism Risk Insurance Act (TRIA), seek an order finding Samark Lopez Bello to be an agent or instrumentality of the former VP and the Cartel so that they can execute on certain assets that have been blocked by the federal government. Lopez Bello, a fugitive, filed a motion seeking to find SB 1442 unconstitutional. The AG intervened and filed opposition to Lopez-Bello's motion to declare SB 1442 unconstitutional.	
Amount of the Claim:	$n/a	
Specific Statutes or Laws (including GAA) Challenged:	Fla. Stat. § 772.13	
Status of the Case:	No action currently being taken by the AG as the court previously found that the issue of constitutionality is not ripe until an agency or instrumentality determination is made by the Court.	
Who is representing (of record) the state in this lawsuit? Check all that apply.		Agency Counsel
	x	Office of the Attorney General or Division of Risk Management
		Outside Contract Counsel
If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).		

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Agency:	**Department of Legal Affairs**		
Contact Person:	Anita Patel	Phone Number:	8504143694

Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	The Farmworker Association of Florida, inc. et al. v. DeSantis, et al.,	
Court with Jurisdiction:	USDC FLSD	
Case Number:	1:23-cv-22655	
Summary of the Complaint:	This lawsuit challenges the constitutionality of a provision in SB 1718 (2023) that imposes criminal penalties on a person who transports a person who entered the US in violation of law and has not been inspected by the Federal Government since his or her unlawful entry. Plaintiffs are a non-profit organization and several individuals who fear that they maybe subject to criminal penalties under the law because they transport immigrants into Florida. Plaintiffs allege that the law: (1) violates the Supremacy Clause as immigration is preempted by federal law (Count 1); and (2) is overly broad and vague in violation of the 14th Amendment (Count II). Plaintiffs seek preliminary and permanent injunctive relief. The OAG represents the Statewide Prosecutor, the Attorney General and the Governor (as co-counsel with attorneys for the EOG).	
Amount of the Claim:	$n/a	
Specific Statutes or Laws (including GAA) Challenged:	Fla. Stat. 787.07	
Status of the Case:	On May 22, 2024, District Judge Roy Altman entered a statewide injunction against the Attorney General enjoining enforcement of 2023-40 (codified at section 787.07, Fla. Stat.) As of June 27, 2024, all briefing is complete on the state's motion for reconsideration.	
Who is representing (of record) the state in this lawsuit? Check all that apply.		Agency Counsel
	x	Office of the Attorney General or Division of Risk Management
		Outside Contract Counsel
If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).		

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Agency:	**Department of Legal Affairs**		
Contact Person:	Anita Patel	Phone Number:	8504143694

Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	YOUNG V. CITY OF GAINESVILLE, HARVEY WARD (AS MAYOR OF GAINESVILLE), AND CRAIG CARTER (AS CHAIRMAN OF THE GAINESVILLE REGIONAL UTILITY AUTHORITY)	
Court with Jurisdiction:	Florida 8th Jud. Cir. Ct.	
Case Number:	2023 CA 4376	
Summary of the Complaint:	Petitioners seek quo warranto against respondents, claiming that chapter 2023-348, LOF, is unconstitutional and void ab initio. Petitioners are taxpayers and voters in Alachua County, and customers of the municipally-owned utility. They seek a writ of quo warranto to the city regarding the city's authority and duty to "give up" its ability to manage the utilities. They also seek a writ of quo warranto to the mayor regarding his authority to administer the oath of office to the newly-appointed members of the GRUA. And they seek a writ of quo warranto to the chairman of the GRUA regarding his authority to govern the City of Gainesville's utility system. They also seek declaratory relief that chapter 2023-348 is unconstitutional and void as a violation of Article 1, section 4, Fla. Const. (freedom of speech).	
Amount of the Claim:	$n/a	
Specific Statutes or Laws (including GAA) Challenged:	Chapter 2023-348	
Status of the Case:	A Complaint for Declaratory Judgment remains pending as does motions to dismiss filed by the AG and the City.	
Who is representing (of record) the state in this lawsuit? Check all that apply.		Agency Counsel
	x	Office of the Attorney General or Division of Risk Management
		Outside Contract Counsel

If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).	

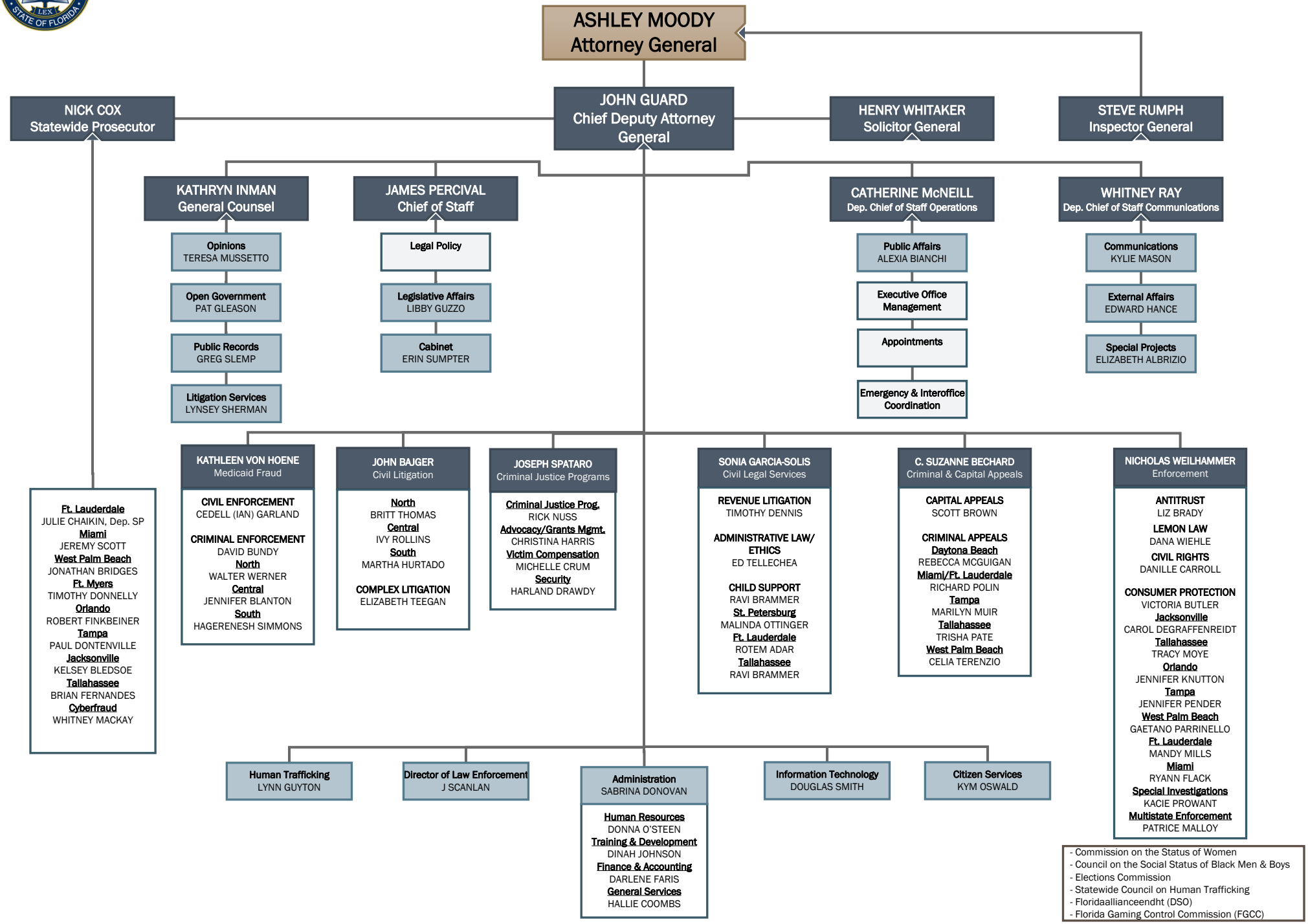
Schedule VII: Agency Litigation Inventory

For directions on completing this schedule, please see the "Legislative Budget Request (LBR) Instructions" located on the Florida Fiscal Portal.

Agency:	**Executive Officer of the Governor**		
Contact Person:	Ryan Newman	Phone Number:	(850) 717-9310

Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	Honeyfund.com, Inc., et al., v. DeSantis, et. al	
Court with Jurisdiction:	United States District Court for the Northern District of Florida	
Case Number:	4:22-cv-227-MW-MAF	
Summary of the Complaint:	Section 760.10(8), Fla. Stat. (2022), as amended by the "Stop WOKE Act," is unconstitutional, and Defendants must be temporarily and permanently enjoined from enforcing it. Plaintiffs should be awarded reasonable attorneys' fees and costs.	
Amount of the Claim:	$790, 786.00 (Attorneys' fees and costs per 42 U.S.C. § 1988)	
Specific Statutes or Laws (including GAA) Challenged:	760.10(8), Fla. Stat. (2022) ("Stop WOKE Act")	
Status of the Case:	District court entered temporary injunction to enforcement of 760.10(8) (2022), which was upheld by Eleventh Circuit. The parties stipulated to entry of a permanent injunction. Defendants have acknowledged that Plaintiffs are prevailing parties per 42 U.S.C. § 1988 and is entitled to recover reasonable attorneys' fees and costs. Plaintiffs are seeking fees and costs in the amount of $790,786.00.	
Who is representing (of record) the state in this lawsuit? Check all that apply.		Agency Counsel
	x	Office of the Attorney General or Division of Risk Management
		Outside Contract Counsel
If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).		

STATE OF FLORIDA
OFFICE OF THE ATTORNEY GENERAL



As of: 08/15/2024

LEGAL AFFAIRS, DEPARTMENT OF, AND ATTORNEY GENERAL

SECTION I: BUDGET	FISCAL YEAR 2023-24 OPERATING	FIXED CAPITAL OUTLAY
TOTAL ALL FUNDS GENERAL APPROPRIATIONS ACT	360,841,996	1,217,800
ADJUSTMENTS TO GENERAL APPROPRIATIONS ACT (Supplementals, Vetoes, Budget Amendments, etc.)	23,963,265	0
FINAL BUDGET FOR AGENCY	384,805,261	1,217,800

SECTION II: ACTIVITIES * MEASURES	Number of Units	(1) Unit Cost	(2) Expenditures (Allocated)	(3) FCO
Executive Direction, Administrative Support and Information Technology (2)				1,217,800
Lemon Law * **Number of Active Lemon Law Cases**	498	4,479.71	2,230,895	
Child Support Enforcement * **Number of final orders obtained representing the Department of Revenue in child support enforcement proceedings.**	44,417	201.67	8,957,695	
Antitrust * **Number of cases enforcing provisions of the Antitrust Act**	63	83,905.06	5,286,019	
Racketeer Influenced And Corrupt Organization (rico)/ Consumer Fraud * **Cases enforcing the Racketeer Influenced and Corrupt Act and Unfair and Deceptive Trade Practices Act.**	335	49,627.74	16,625,292	
Commission On Ethics Prosecutions * **Number of cases prosecuted before the Florida Commission on Ethics**	149	2,283.83	340,291	
Medicaid Fraud Control * **Number of cases investigated involving Medicaid fraud activities**	990	24,988.11	24,738,225	
Civil Rights * **Number of cases investigated and prosecuted involving violations of civil rights**	32	33,978.28	1,087,305	
Solicitor General And Complex Litigation * **Number of cases**	490	6,391.97	3,132,067	
Opinions * **Number of Opinions Issued**	5	213,685.40	1,068,427	
Cabinet Support Services * **Number of Cabinet Meetings**	5	158,592.60	792,963	
Eminent Domain * **Cases representing the Department of Transportation and other government agencies in eminent domain proceedings.**	5	84,650.80	423,254	
Sexual Predator Civil Commitment Appeals * **Number of cases**	32	14,398.91	460,765	
Non-capital Criminal Appeals * **Number of cases - non-capital appellate litigation**	18,475	1,385.01	25,588,051	
Capital Appeals * **Number of cases - capital appellate litigation**	351	14,055.91	4,933,623	
Administrative Law * **Number of cases**	218	20,875.84	4,550,934	
Tax Law * **Number of cases enforcing, defending and collecting tax assessments**	1,200	1,485.13	1,782,153	
Civil Litigation Defense Of State Agencies * **Number of cases defending the state and its agents in litigation of appellate, corrections, employment, state programs and tort.**	2,009	6,011.03	12,076,162	
Grants-victims Of Crime Advocacy * **Number of victims served through grants.**	1,020,752	106.25	108,452,196	
Victim Notification * **Number of criminal and capital appellate services provided**	14,455	301.63	4,360,091	
Victim Compensation * **Number of victim compensation claims recieved**	12,250	1,531.71	18,763,450	
Local Initiatives * **Number of crime prevention programs and local funding initiatives assisted.**	13	1,222,691.92	15,894,995	
Grants-crime Stoppers * **Number of Crime Stopper agencies assisted**	27	170,724.59	4,609,564	
Crime Prevention/Training * **Number of people attending training**	1,565	407.69	638,040	
Investigation And Prosecution Of Multi-circuit Organized Crime * **Annual volume of investigations handled**	920	17,929.23	16,494,890	
Florida Elections Commission * **Number of cases pursuant to Chapters 104 and 106, Florida Statutes.**	592	3,030.40	1,793,999	
TOTAL			285,081,346	1,217,800

SECTION III: RECONCILIATION TO BUDGET				
PASS THROUGHS				
TRANSFER - STATE AGENCIES				
AID TO LOCAL GOVERNMENTS				
PAYMENT OF PENSIONS, BENEFITS AND CLAIMS				
OTHER				
REVERSIONS			99,569,237	
TOTAL BUDGET FOR AGENCY (Total Activities + Pass Throughs + Reversions) - Should equal Section I above. (4)			384,650,583	1,217,800

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

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

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

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

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

SECTION III - PASS THROUGH ACTIVITY ISSUE CODES SELECTED:

TRANSFER-STATE AGENCIES ACTIVITY ISSUE CODES SELECTED:

1-8:

AID TO LOCAL GOVERNMENTS ACTIVITY ISSUE CODES SELECTED:

1-8:

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

*** NO ACTIVITIES FOUND ***

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

*** NO OPERATING CATEGORIES FOUND ***

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

*** NO ACTIVITIES FOUND ***

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

DEPARTMENT: 41	EXPENDITURES	FCO
FINAL BUDGET FOR AGENCY (SECTION I):	384,805,261	1,217,800
TOTAL BUDGET FOR AGENCY (SECTIONS II + III):	384,650,583	1,217,800
DIFFERENCE:	154,678	
(MAY NOT EQUAL DUE TO ROUNDING)		

Difference in Revert/Reappropriate for Category 100781 $154,573

Rounding Difference $105

Schedule XIV
Variance from Long Range Financial Outlook

Agency: **Department of Legal Affairs** **Contact:** **Renee Nelms**

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 2024 contain revenue or expenditure estimates related to your agency?

Yes [ ] No [X]

2) If yes, please list the estimates for revenues and budget drivers that reflect an estimate for your agency for Fiscal Year 2025-2026 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 2025-2026 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

Office of Policy and Budget - June 2024

SCHEDULE IV-B FOR IT BUSINESS CONTINUITY AND DISASTER RECOVERY PROGRAM

For Fiscal Year 2025-26

June 2024

FLORIDA DEPARTMENT OF LEGAL AFFAIRS

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I. Schedule IV-B Cover Sheet

Schedule IV-B Cover Sheet and Agency Project Approval	
Agency: Florida Department of Legal Affairs	Schedule IV-B Submission Date: October, 2024
Project Name: *DLA* Information Technology Business Continuity and Disaster Recovery	Is this project included in the Agency's LRPP? ____ Yes ____ No
FY 2025-26 LBR Issue Code: 36203C0	FY 2025-26 LBR Issue Title: Information Technology Business Continuity and Disaster Recovery
Agency Contact for Schedule IV-B (Name, Phone #, and E-mail address): Susan "Renee" Nelms, 850-414-3414, Susan.Nelms@myfloridalegal.com	
AGENCY APPROVAL SIGNATURES	
I am submitting the attached Schedule IV-B in support of our legislative budget request. I have reviewed the estimated costs and benefits documented in the Schedule IV-B and believe the proposed solution can be delivered within the estimated time for the estimated costs to achieve the described benefits. I agree with the information in the attached Schedule IV-B.	
Agency Head: Printed Name: Attorney General Ashley Moody	Date:
Agency Chief Information Officer (or equivalent): Printed Name: Douglas Smith	Date:
Budget Officer: Printed Name: Susan "Renee" Nelms	Date:
Planning Officer: Printed Name: Douglas Smith	Date:
Project Sponsor: Printed Name: John Guard, Chief Deputy Attorney General	Date:
Schedule IV-B Preparers (Name, Phone #, and E-mail address):	
Business Need:	John Guard, 850-245-0180, John.Guard@myfloridalegal.com
Cost Benefit Analysis:	Sabrina Donovan, 850-414-3535, Sabrina.Donovan@myfloridalegal.com
Risk Analysis:	Douglas Smith, 850-414-3511, Douglas.Smith@myfloridalegal.com
Technology Planning:	Douglas Smith, 850-414-3511, Douglas.Smith@myfloridalegal.com
Project Planning:	Steven G. Ritacco, 850-414-3521, Steven.Ritacco@myfloridalegal.com

Executive Summary

Proposed IT Business Continuity and Disaster Recovery Program

The purpose of this summary is to provide an overview of the proposed Information Technology IT Business Continuity and Disaster Recovery Program for the Florida Department of Legal Affairs (DLA), the business case behind it, and the costs and expected benefits of implementing the program.

Current IT Environment

The DLA triannual Risk Assessment was conducted during 2023 by an external vendor pursuant to 282.318, F.S. The assessment indicated several areas of concern. The DLA analyzed the assessment recommendations and prioritized the top two areas of concern based on criticality. The top two areas of concern that must be remediated are:

1. Data Protection – Data Loss Prevention
2. Disaster Recovery

Proposed Solution

DLA proposes the following two-part plan.

The **first part** of the remediation plan requires an infrastructure upgrade to meet the requirements to remediate Data Loss Prevention. A major risk to continuity of operations is that OAG has a single point of presence to Internet, cloud, and mission critical state resources through the Collins Building in Tallahassee. Orlando has been identified as a preferred location for an additional point of presence. This requires a backup site that can minimize or remove the possibility of data loss. The remediation plan requires the following upgrades:

1. Network circuit upgrade to manage the additional network traffic to support the Orlando site.
2. Firewall and perimeter defense upgrade.
3. VMWare to manage additional servers.
4. Data Backup software
5. UPS improvements in the backup location.
6. One-time battery replacement service for the primary UPS.
7. Email Protection- can be significantly improved by leveraging existing software with additional services.

The **second part** of the remediation plan requires an Azure Cloud based Disaster Recovery site. The current OAG Azure Cloud Tenant resides in Virginia. The proposed Disaster Recovery site will be in Texas. The DLA will leverage existing cloud services for Disaster Recovery within the cloud environments and on-premises resources.

Section VI. Schedule IV-B Technology Planning is a detailed overview of the current and future state of the DLA technology initiatives. This provides the basis for this request when considering all of the mission critical applications and the data that is available for a possible cyber threat attack.

Cost and Timeline

The DLA determined the project will result in a positive return on investment which will have a break-even value in the same fiscal year. The overall net present value of this project is $518,325 dollars over a one-year period. This represents a positive return on investment within a 12-month period for the State of Florida. Below is an overview of the estimated budget for this modernization program. A detailed cost-benefit analysis can be found in Section IV of the Schedule IV-B – Business Continuity and Disaster Recovery Program.

Project Years					5 Year Totals
FY 2025-26	FY 2026-27	FY 2027-28	FY 2028-29	FY 2029-30	
$ 1,159,977	$ 1,032,000	$ 1,032,000	$ 1,032,000	$ 1,032,000	**$ 5,287,977**

Exhibit I-0: Estimated IT Business Continuity and Disaster Recovery Program Budget Overview

Based on this assessment, DLA requests in Fiscal Year 2025-26 $1.2 million to mitigate the risks associated with data loss and disaster recovery scenarios. In addition to the costs and benefits calculated in this report, we believe that this program will have a positive impact on DLA's data protection and disaster recovery capabilities.

To best frame this program request, a review of the IBM Security Report – ***Cost of a Data Breach 2024*** identified the average total cost of a breach at $4.88M. *"The average cost of a data breach jumped to USD 4.88 million from USD 4.45 million in 2023, a 10% spike and the highest increase since the pandemic."*

The report lists the Industry demographics chosen for the study as the basis for the report. *"The selection of 17 industries has been consistent across multiple years of the study. This year, the top 4 industries: financial, industrial,* ***professional services*** *and technology accounted for 47% of the 604 organizations studied."*

Professional Services includes legal, accounting and consulting firms and these organizations were 11% of the total organizations studied. The total cost of data breaches for this category is $5.08M. Assuming a distribution of 33% the loss to law firms is $1.63M.

The complete report is available in Appendix C – Reference Reports.

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

A. Background and Strategic Needs Assessment

1. Background

The Florida Department of Legal Affairs, also referred to as the "DLA" throughout this document encompasses the Office of the Attorney General (OAG) and serves as the law firm for the State of Florida. The DLA is pursuing the modernization of key applications used to carry out the DLA's mission.

The Attorney General is the Chief Legal Officer for the State of Florida. The OAG is composed of several units whose chief goal is to provide the highest quality legal services economically and efficiently to the State of Florida and its agencies for the benefit of all Floridians. Specific responsibilities enumerated in

Article 4, Section 4 of the Florida Constitution and in Chapter 16, Florida Statutes, have been expanded through the years by the Florida Legislature and by amendment of the Constitution, for the protection of the public's interests. The functions of the Office of the Attorney General span the legal landscape, from Capital Appeals and Medicaid Fraud to Child Support Enforcement, Ethics, and Elections. The broad categories of the DLA's functions are Criminal and Civil Litigation; Victim Services; and Constitutional Legal Services. Exhibit II-2: Department Organization Chart shows the structure of units and resources at DLA.

State law specifies that the Department of Legal Affairs (DLA) is responsible for providing all legal services required by State agencies, unless otherwise provided by law. The DLA's other statutory responsibilities include enforcing State consumer protection, antitrust, and civil rights laws, prosecuting criminal racketeering, operating the State's Medicaid Fraud Control Unit, and administering programs to assist victims of crime.

To carry out its responsibilities, the DLA operates through multiple program units, including Criminal and Civil Litigation, Victim Services, Executive Direction and Support Services, and Office of Statewide Prosecution.

Exhibit II-1: Selected Program Unit Appropriations and Approved Positions for the 2024-25 Fiscal Year summarizes the 2023-24 fiscal year appropriations and approved positions for these program units.

Program Unit	Appropriations	Positions
Criminal and Civil Litigation	$ 115,590,864	910
Victim Services	206,908,446	130
Executive Direction and Support Services	23,537,449	157
Office of Statewide Prosecution	14,138,568	94.5
Totals	**$360,175,327**	**1,291.5**

Exhibit II-1: Selected Program Unit Appropriations and Approved Positions for the 2023-24 Fiscal Year

Source: Chapter 2014-51, Laws of Florida, General Appropriations Act

To determine the strategy to pursue, DLA procured an information technology security firm to assess, identify, analyze, and document the security risks and associated controls aligned with the DLA's security program.

This information would be used to identify remediation efforts to improve DLA's cybersecurity posture by prioritizing spending on projects that would have the most significant impact. The assessment evaluated:

1. Network security
2. Endpoint security (virtual desktops, anti-virus software, drive encryption, email gateway)
3. Application security
4. Data security
5. Identity & Access Management
6. Cloud security
7. Security Operations & Incident Response
8. Governance and Risk Management

The results of the ***Cyber Risk Assessment Department of Legal Affairs*** report conducted on September 15, 2023, led to the evaluation, development of strategic planning, and budgeting to remediate the identified critical risk areas.

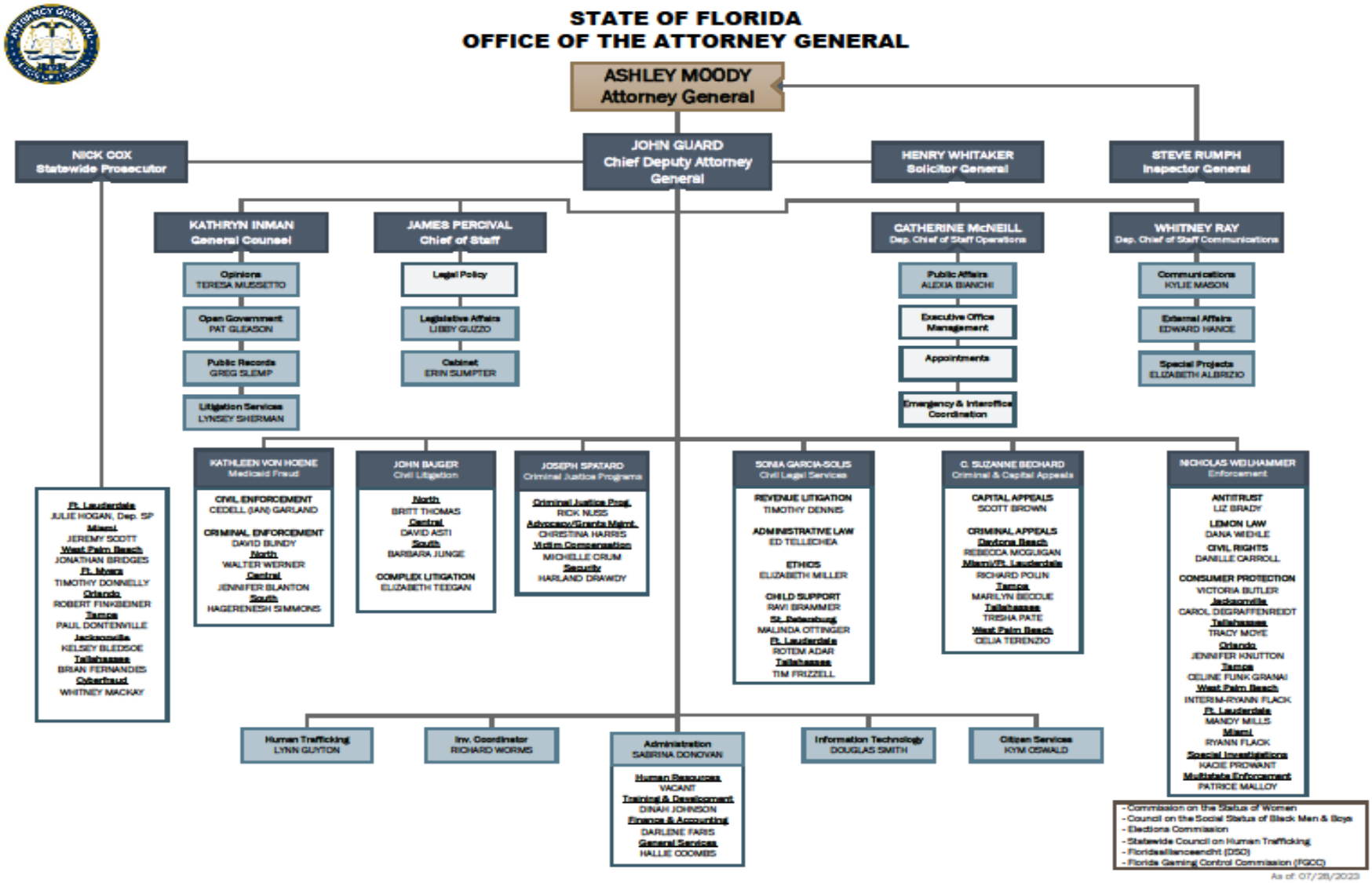

Exhibit II-2: DLA Organization Chart

2. Business Need

The DLA is considered the law firm for the State of Florida and as such any data loss from a cyber-attack or loss due to poor disaster recovery processes could compromise an open criminal or civil legal case. The impact may result in:

1. Financial Loss
2. Damaged Reputation
3. Disrupted Business Continuity
4. Compromised Information Disclosure
5. Failure to maintain Data Compliance

The **first business need** necessitates the implementation of a second disaster recovery site. This will require an infrastructure upgrade to meet the requirements to remediate **Data Loss Prevention**.

The **second business need** requires an Azure Cloud based **Disaster Recovery** site. The DLA has moved mission critical applications to the Azure Cloud in compliance with Legislative mandates.

3. Business Objectives

The business objectives of this project are to implement a security strategy that addresses the risks documented in the ***Cyber Risk Assessment Department of Legal Affairs*** report conducted on September 15, 2023. The potential impact of failing to address the critical risks may cause barriers in the areas of applications, electronic document management, and staffing that limit the effectiveness of the DLA to perform its mission.

Specifically, the DLA's business objectives for the project are to:

Increase continuity of operations capability – Currently, the DLA has a single point of presence to the internet, cloud, and mission critical state resources through the Collins Building in Tallahassee. An additional point of presence in Orlando would mitigate this risk dramatically. It will also allow DLA to respond rapidly to emergency situations that might demand legal representatives on the scene of crisis situations as they unfold because business operations would not be affected.

Protect sensitive information – An important objective of the project is to improve sensitive data protections throughout the life cycle of collection and use. Two points of presence for disaster recovery will provide the immediate capability to restore data in the event of a cyber breach.

B. Baseline Analysis

1. Current Business Process(es)

The DLA contracted with a vendor that provides **Security Operations Center (SOC)** services. The SOC provides:

1. Continuous 24/7 security monitoring
2. Identification of possible cyber threats
3. A collection and analysis of log data generated by every network event
4. Responses to threats or actual incidents to limit damage
5. A repository of incident response evidence
6. Compliance with the Florida Administrative Code 60GG requirements

Privileged Access Management (PAM) consisting of cybersecurity strategies and technologies were implemented to exert control over elevated ("privileged") access and permissions for users, accounts, processes, and systems across the DLA information technology environment.

Application Performance Monitoring (APM) systems were implemented to collect and catalog, user, network, and application metrics. This is used to measure, analyze and monitor response time of critical software applications.

Exhibit II-3: DLA Business Capability Model depicts an overview of the DLA business and functional capabilities. The model organizes business and functional capabilities into logical groupings. A cyber-attack that results in a data breach could affect all people, business units, and functions in the DLA. It could also affect information sharing partners.

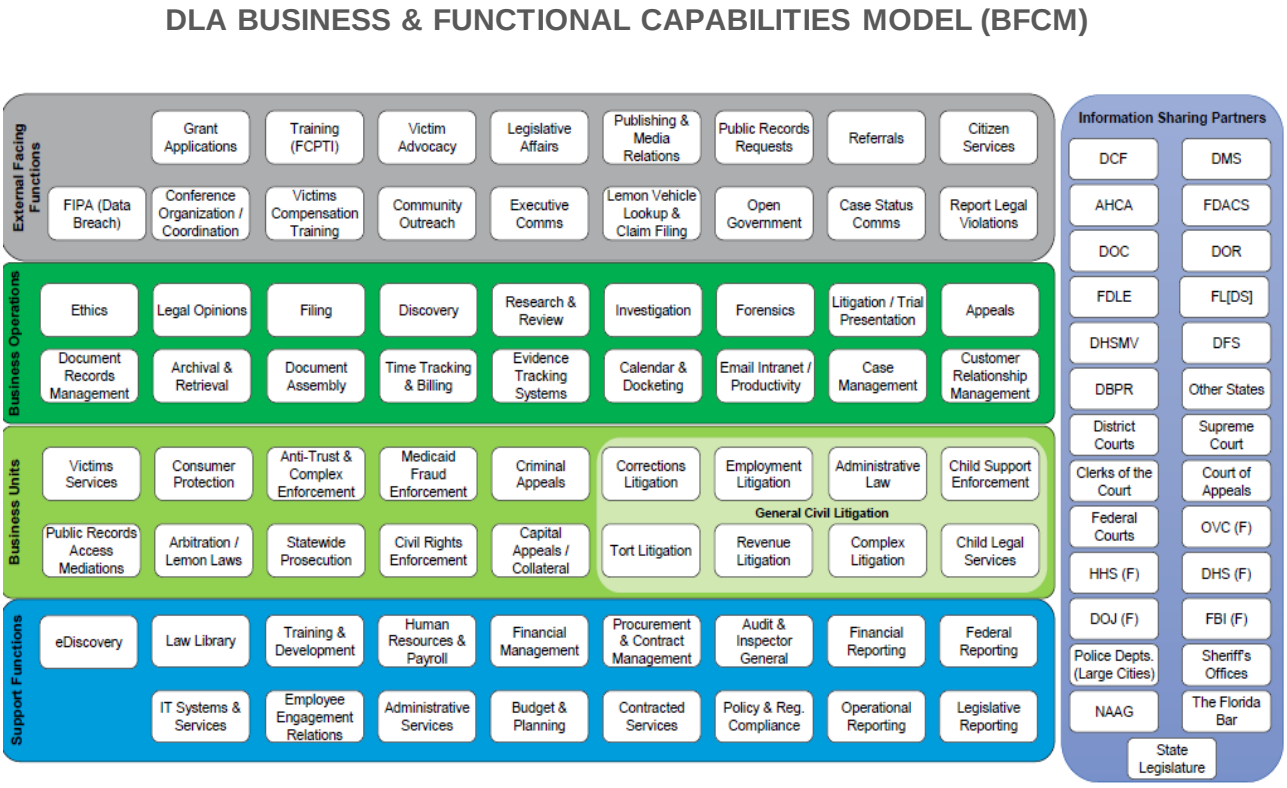

Exhibit II-3: DLA Business Capability Model

A **data loss event** will affect all people, business units, and functions in the DLA. The project touches a DLA wide audience because it modernizes the core application systems, office productivity tools, electronic document repository, and content archiving solutions. The project could also eventually affect information sharing partners. The project implementation approach would minimize impact to information sharing partners by implementing data loss protection and disaster recovery capabilities.

2. Assumptions and Constraints

This section highlights the assumptions, Exhibit II 4: Business Case Assumptions, and constraints, Exhibit II 5: Business Case Constraints, that could limit the available solution alternatives or affect the overall outcomes from the recommended solution.

Assumption	Total project costs will increase with project timelines due to the need to maintain and operate the current DLA environment over a longer period of time.
Assumption	Annual Legislative appropriation for the project will be under $10M.
Assumption	Funding to maintain and operate current systems and applications will continue.
Assumption	Vendors can implement the solution in the designated time frame, in the sequence prescribed, and in alignment with budgetary allocations/restrictions.
Assumption	The project team (DLA and vendor) will be staffed appropriately to complete deliverables, achieve milestones, implement infrastructure changes and to ensure proper testing.
Assumption	The solution will emphasize establishing and improving automated data interfaces with other Agencies to facilitate automated data exchange.
Assumption	The project leadership will enable stakeholder involvement needed to support the project.
Assumption	Operational continuity is mandatory; there can be no break in meeting the mission of the DLA.
Assumption	All relevant stakeholders (IT, compliance, legal, business units) are committed to the project and will provide necessary support and resources.
Assumption	The chosen DLP solution will seamlessly integrate with existing security tools and workflows, minimizing disruption.

Exhibit II-4: Business Case Assumptions

Constraint	Project activities, schedules, and milestones depend on the continual availability of appropriated funds.
Constraint	State statutory changes, changes in administrative rules, and DLA policy changes could affect the project.
Constraint	Project funding is appropriated annually and may be subject to periodic releases throughout the year.
Constraint	There is a limit to current staffing levels support with respect to initiative implementation within a given year.
Constraint	The complexity and variety of data types within the organization may pose challenges in effectively classifying and protecting sensitive information.
Constraint	The chosen DLP solution must be scalable to accommodate future growth, but limitations in design or budget may restrict scalability options.

Exhibit II-5: Business Case Constraints

C. Proposed Business Process Requirements

1. Proposed Business Process Requirements

The specific business process requirements for a data Loss Prevention and Disaster Recovery requirements are identified in Exhibit II 6: Business Case Requirements.

Requirement	Vendor must fully analyze all statutory, regulatory, contractual, and other external requirements impacting DLA's system environment.
Requirement	Vendor must implement tools to automatically discover and classify sensitive data across all storage locations (e.g., on-premises, cloud, endpoints).
Requirement	Vendor must assist the OAG in defining a comprehensive data classification scheme that categorizes data based on sensitivity levels (e.g., public, internal, confidential, restricted).
Requirement	Vendor must incorporate encryption for sensitive data at rest and in transit to prevent unauthorized access.
Requirement	Vendor solution must facilitate data sharing between the DLP solution and other security systems for enhanced threat detection.
Requirement	Vendor solution must implement robust reporting capabilities to provide insights into data access, policy violations, and incident trends.

Exhibit II-6: Business Case Requirements

2. Business Solution Alternatives

The business solution alternatives, involve maintaining status quo:

- Single point of presence to Internet, cloud, and mission critical state resources through the Collins Building in Tallahassee.
- Single point of presence of the Azure Cloud Tenant that resides in Virginia.

These alternatives do not mitigate the two critical areas identified in the ***Cyber Risk Assessment Department of Legal Affairs*** report conducted on September 15, 2023.

3. Recommended Business Solution

The recommended business solution is:

1. Implement a second disaster recovery site in Orlando, Florida.
2. Implement an Azure Cloud based disaster recovery site in Texas.

D. Functional and Technical Requirements

The specific detailed **functional and technical requirements** will be defined concurrently.

The **functional requirements** for a Data Loss Prevention program that provides a Disaster Recovery (DR) component is essential for ensuring that an organization can recover and continue operations in the event of a disaster, system failure, or data loss incident. A well-defined DLP and DR program outlines the policies, procedures, and technology needed to restore critical business functions and data, minimizing downtime and financial impact. Below are the key functional requirements for a comprehensive DLP and DR program:

1. Business Impact Analysis (BIA) and Risk Assessment

- Business Impact Analysis (BIA): Assess the criticality of business functions and the impact of disruptions to prioritize recovery efforts.
- Risk Assessment: Identify potential risks (e.g., natural disasters, cyber-attacks, hardware failures) and vulnerabilities that could affect systems and operations.
- Establish Recovery Time Objectives (RTOs) and Recovery Point Objectives (RPOs) for each business-critical system.

2. DR Strategy and Planning

- Define the Disaster Recovery Plan (DRP), including strategies for data recovery, system failover, and business continuity.
- Develop playbooks or runbooks for specific disaster scenarios (e.g., power outage, ransomware attack, hardware failure).
- Determine and document the sequence of recovery for business functions based on priorities.

3. Data Backup and Recovery

- Implement automated and regular data backups for critical systems, ensuring data consistency and integrity.
- Support for multiple types of backups (full, incremental, differential, and continuous replication).
- Define data retention policies and ensure compliance with legal and regulatory requirements.
- Implement off-site or cloud-based storage for disaster recovery copies of backup data.
- Capability for rapid data restoration based on the RPO requirements, minimizing data loss.

4. System Failover and Redundancy

- Establish high availability (HA) and redundancy mechanisms for critical systems (e.g., clustering, load balancing).
- Failover capabilities for applications and systems to an alternate data center or cloud environment.
- Support for hot sites, warm sites, and cold sites based on organizational requirements.

5. Infrastructure and Application Resilience

- Design systems with resilient architecture to withstand disasters, including redundancy for servers, storage, and network components.
- Support for virtualized environments and containerization to enhance portability and flexibility in recovery.
- Use of orchestration and automation for faster system recovery (e.g., Infrastructure as Code (IaC) for rebuilding environments).

6. Disaster Recovery Testing and Validation

- Develop a testing plan for regular disaster recovery drills and simulations.
- Ability to perform non-disruptive testing to validate DR plans without impacting production.
- Document results from each test, identify gaps, and update the DRP accordingly.
- Establish a feedback loop for continuous improvement of DR plans and processes.

7. Communication and Coordination Plans

- Define communication protocols for internal stakeholders, IT teams, and third-party vendors during a disaster.
- Maintain up-to-date contact information for key personnel and ensure availability of

emergency communication channels.
- Create predefined communication templates for notifying stakeholders, customers, and partners during a recovery event.

8. Incident Detection and Response

- Implement tools and procedures for real-time detection of incidents (e.g., system outages, data breaches).
- Establish a Disaster Recovery Command Center for centralized management of the recovery process.
- Provide capabilities for incident logging, root cause analysis, and corrective action tracking.

9. Compliance and Documentation

- Ensure the DRP aligns with industry standards (e.g., ISO 22301, NIST SP 800-34) and regulatory requirements (e.g., HIPAA, PCI-DSS).
- Maintain up-to-date documentation, including DR plans, playbooks, and configurations.
- Support for auditing and reporting on DR compliance and plan effectiveness.
- Roles and Responsibilities
- Clearly define roles and responsibilities for disaster recovery team members.
- Include escalation procedures and contact information for key decision-makers.
- Designate primary and secondary personnel for each critical role to ensure coverage in all scenarios.

11. Integration with Business Continuity Plan (BCP)

- Align the DRP with the broader Business Continuity Plan (BCP) to ensure coordination between IT recovery and business processes.
- Document dependencies between business processes and IT services to streamline recovery efforts.
- Include plans for alternate work locations and remote access to ensure business continuity.

12. Access Management and Security

- Implement secure access controls for recovery environments, ensuring that only authorized personnel can initiate recovery processes.
- Enforce multi-factor authentication (MFA) for critical DR operations.
- Maintain encrypted communication and data protection during the recovery process.

13. Cloud and Hybrid Environment Support

- Capability to support cloud-based DR strategies, such as using cloud services for backups and failover.
- Integration with hybrid cloud environments for seamless recovery between on-premises and cloud systems.
- Use of cloud-native tools for data replication, orchestration, and recovery automation.

14. Cost and Resource Management

- Define a budget for DR activities, including costs for DR sites, software, and ongoing testing.
- Track resource allocation and optimize DR resources based on changing business needs.
- Include strategies for resource scaling during a disaster to handle increased load or data traffic.

15. Vendor Management and Third-Party Dependencies

- Include plans for coordinating with third-party service providers (e.g., cloud vendors,

hardware suppliers) during recovery.
- Maintain Service Level Agreements (SLAs) and ensure vendor capabilities meet organizational RTOs and RPOs.
- Establish contingency plans for critical third-party dependencies, such as alternative vendors or contracts.

16. Automation and Orchestration

- Use automation tools for failover, system configuration, and service restoration.
- Enable orchestration of recovery tasks (e.g., boot order, interdependencies) to streamline the recovery process.
- Implement self-healing capabilities for minor incidents to reduce manual intervention.

By addressing these functional requirements, a DR program can ensure that an organization has the capabilities to respond to, recover from, and continue operations in the event of a disaster or significant disruption.

The **technical requirements** for a Data Loss Prevention (DLP) that aligns with a Disaster Recovery (DR) program focus' on the **infrastructure**, tools, and technology needed to ensure business continuity in the event of a disaster or system failure. These requirements provide the technical foundation to implement and execute a DR plan, helping organizations to recover critical systems, data, and operations within acceptable timeframes. Below are the primary technical requirements for a robust disaster recovery program:

1. Data Backup and Replication

- Automated Backup Solutions: Support for automatic, scheduled backups of critical data, applications, and configurations.
- Incremental and Differential Backups: Ability to perform full, incremental, and differential backups to optimize storage and bandwidth usage.
- Real-Time Data Replication: Continuous replication of critical data to a secondary site (e.g., cloud or remote data center) for near real-time data availability.
- Snapshot-Based Backups: Use of snapshots for creating point-in-time copies of systems, reducing recovery time and ensuring data consistency.
- Offsite Backup Storage: Capability to store backup copies at offsite locations (e.g., secondary data centers, cloud storage) to protect against site-wide disasters.

2. High Availability and Redundancy

- Server Redundancy: Implementation of redundant servers (e.g., clusters) to prevent single points of failure.
- Data Center Redundancy: Geographic redundancy across multiple data centers to ensure availability even if one location is impacted.
- Network Redundancy: Use of redundant network paths, switches, and routers to ensure network connectivity remains intact during a disaster.
- Storage Redundancy: Redundant storage systems (e.g., RAID configurations, SAN mirroring) to protect against hardware failures.

3. Failover and Recovery Solutions

- Automated Failover Mechanism: Automated failover to a secondary site or standby environment in the event of a primary site failure.
- Application-Level Failover: Support for application-level failover to ensure minimal disruption to business-critical applications.
- Database Replication and Failover: Use of database replication (e.g., MySQL replication,

Microsoft SQL Server Always On) to maintain consistency and availability.
- Virtualization Failover: Capability to failover virtual machines (VMs) using hypervisor-based tools (e.g., VMware vSphere Replication, Hyper-V Replica).

4**. Disaster Recovery Sites**

- **Primary and Secondary Data Centers:** Configuration of primary and secondary data centers with the necessary infrastructure to support failover.
- Hot, Warm, and Cold Sites: Support for different types of recovery sites (hot, warm, cold) based on the recovery time and budgetary requirements.
- Cloud-Based DR Sites: Integration with cloud providers (e.g., AWS, Azure, GCP) for setting up DR sites to reduce infrastructure costs and increase scalability.
- DR Site Connectivity: Reliable and high-speed connectivity between primary and secondary sites for replication and failover operations.

5. Disaster Recovery Orchestration and Automation

- Orchestration Tools: Use of orchestration platforms to automate and manage complex DR tasks (e.g., starting applications in a specific order, reconfiguring networks).
- Runbook Automation: Automated execution of recovery steps defined in runbooks, reducing manual intervention and recovery time.
- Scripted Failover and Recovery: Support for scripts (e.g., PowerShell, Python) to automate failover, data restoration, and system configuration.
- Automated Testing: Tools to automate DR testing, validation, and report generation without impacting production systems.

6. Data and Application Consistency

- Consistency Groups: Ability to group related VMs, applications, or databases together to ensure consistency across all components during replication and failover.
- Transactionally Consistent Replication: Support for application-consistent snapshots and replication (e.g., VSS integration for Windows).
- Quiescing Support: Integration with application quiescing features to ensure data is in a consistent state during backups or snapshots.

7. Virtualization and Container Support

- VM Replication and Migration: Capability to replicate, move, and restore VMs between sites or cloud environments.
- Container-Based Disaster Recovery: Support for container orchestration platforms (e.g., Kubernetes, Docker) to back up, replicate, and recover containerized applications.
- Hypervisor Integration: Integration with virtualization platforms (e.g., VMware, Hyper-V) for native backup, replication, and failover support.

8. Network Configuration and Management

- Dynamic DNS and IP Management: Automated reconfiguration of DNS and IP addresses during failover to direct traffic to the DR site.
- Network Segmentation: Design of segmented networks to isolate recovery environments and minimize risks during recovery operations.
- Firewall and Load Balancer Configurations: Automated updating of firewall rules and load balancer settings to support failover scenarios.
- VPN and Secure Access: Ensure secure access to recovery sites through VPNs and encrypted communication channels.

9. Data Protection and Security

- Encryption: Support for data encryption both at rest and in transit using industry-standard protocols (e.g., AES-256, TLS).
- Access Control Mechanisms: Role-based access controls (RBAC) to limit access to DR systems and data based on user roles.
- Multi-Factor Authentication (MFA): Enforce MFA for accessing DR environments and performing recovery operations.
- Data Integrity Checks: Automatic validation of backup and replication data integrity to prevent corrupted data recovery.

10. Monitoring and Alerting

- Real-Time Monitoring: Continuous monitoring of DR components (e.g., replication status, server health, network availability).
- Alerts and Notifications: Configurable alerts (e.g., email, SMS) for critical events, such as replication failures, site unavailability, or data inconsistencies.
- System Health Checks: Automated health checks to validate that DR systems are ready to take over if needed.

11. Compliance and Reporting

- Compliance Reporting: Generate reports to demonstrate compliance with DR-specific regulations (e.g., SOC 2, ISO 22301) and industry standards.
- Audit Logging: Maintain detailed logs of all DR operations, including data transfers, failovers, and user actions.
- Testing and Validation Reports: Generate and archive reports for each DR test, including RTO/RPO metrics, gaps, and areas for improvement.

12. Disaster Recovery Testing and Validation

- Non-Disruptive Testing: Support for non-disruptive testing of DR plans to validate readiness without impacting production.
- Sandbox Environments: Ability to spin up isolated test environments that mirror the production environment for comprehensive DR testing.
- Simulated Disaster Scenarios: Tools to simulate various disaster scenarios (e.g., power outages, network failures, ransomware attacks) for testing and validation.
- Automated Testing: Automate routine testing and report results for easier tracking and continuous improvement.

13. Cloud Integration and Hybrid DR Capabilities

- Cloud Storage Integration: Support for cloud-based storage (e.g., AWS S3, Azure Blob Storage) as a backup and replication target.
- Hybrid Cloud DR Support: Capability to replicate data between on-premises systems and cloud environments.
- Cloud-Based DRaaS (Disaster Recovery as a Service): Integration with third-party DRaaS solutions for on-demand failover and recovery to a cloud environment.

14. Performance and Scalability

- Scalable Architecture: Ability to scale horizontally and vertically to accommodate growing data volumes and increased workloads during a disaster.
- Optimized Performance: Performance optimization features to minimize latency and ensure fast recovery times, even for large-scale environments.

- Bandwidth Management: Efficient use of network bandwidth during replication and failover to avoid performance degradation.

15. Integration with ITSM and BCP

- IT Service Management (ITSM) Integration: Integration with ITSM tools (e.g., ServiceNow, Jira) to manage DR incidents and tasks.
- BCP Integration: Ensure alignment between the Disaster Recovery Plan and Business Continuity Plan (BCP) to maintain both technical and business processes.

By fulfilling these technical requirements, a disaster recovery program can ensure high availability, data integrity, and rapid recovery of critical systems and data, minimizing the impact of unexpected disruptions on business operations.

III. Success Criteria

The success of a Disaster Recovery (DR) program is measured by its ability to restore critical business functions, systems, and data in the event of a disruption, within predefined timeframes and with minimal impact to the organization.

The major success criteria for the project, along with the Key Performance Indicators (KPIs), are listed in the table below. The success criteria and the KPIs form the basis of any contracts pursued to implement the new solution. The DLA anticipates the project management team responsible for the implementation of the solution will develop a benefit realization strategy and plan. The benefit realization plan will be designed to complete baseline measurement and several interim measurements before the final benefit realization report is complete.

Success Criteria		
#	**Description of Success Criteria**	**Key Performance Indicator**
1	Recovery Time Objective (RTO) Met for All Critical Systems	• Definition: The RTO is the maximum acceptable duration that a service or application can be down after a failure before it negatively impacts business operations. • Success Criterion: All critical systems and services are restored within their defined RTOs during both tests and real incidents.
2	Recovery Point Objective (RPO) Achieved for All Critical Data	• Definition: The RPO is the maximum amount of data loss (measured in time) that is acceptable for a particular application or system. • Success Criterion: Data is restored up to the most recent acceptable point, with data loss not exceeding the defined RPO for each critical system.
3	Comprehensive Coverage of Critical Business Functions	• Definition: All critical business functions, systems, and applications are identified, prioritized, and included in the DR plan. • Success Criterion: No critical systems or functions are left out of the DR plan, and each has appropriate recovery strategies documented.

Success Criteria		
#	**Description of Success Criteria**	**Key Performance Indicator**
4	Successful DR Testing and Validation	• Definition: Regular testing of the DR plan is conducted to validate the effectiveness of recovery procedures and identify any weaknesses or gaps. • Success Criterion: DR tests (both full and partial) are conducted at scheduled intervals, with a minimum success rate of 95% for each component tested, and any failures are addressed promptly.
5	Minimal Downtime During DR Drills and Real Failovers	• Definition: Downtime during planned DR tests and real failovers should be minimized to prevent disruption to business operations. • Success Criterion: DR drills are performed without impacting production systems, and actual failovers are completed with downtime falling within predefined RTOs.
6	Clear, Up-to-Date, and Accessible DR Documentation	• Definition: All DR plans, procedures, and runbooks must be documented, kept current, and accessible to relevant personnel during an incident. • Success Criterion: DR documentation is reviewed and updated annually (or whenever major changes occur), and key stakeholders have access to it during tests or actual incidents.
7	Automated and Manual Recovery Processes Function as Expected	• Definition: Both automated and manual recovery processes must work as designed during testing or a real event. • Success Criterion: Automated recovery processes (e.g., failover scripts, orchestration) execute successfully, and manual procedures can be followed without deviation from the documented plan.
8	Effective Communication and Coordination During Incidents	• Definition: The ability of the DR team to coordinate activities, communicate status updates, and escalate issues as needed is critical to minimizing the impact of a disaster. • Success Criterion: Communication channels (e.g., email, messaging platforms, conference bridges) are functional and used effectively during DR tests or real events, with no breakdowns in coordination.
9	No Data Integrity Issues Post-Recovery	• Definition: All recovered data should be intact, accurate, and usable without corruption or loss of critical information. • Success Criterion: Post-recovery validation confirms that all data is restored correctly, with no integrity issues identified during testing or real recovery operations.
10	Compliance with Regulatory Requirements and Internal Policies	• Definition: The DR program must meet all applicable regulatory, industry, and internal policy requirements. • Success Criterion: Regular audits and assessments show compliance with relevant regulations (e.g., F.A.C. 60GG, GDPR, HIPAA, ISO 22301) and internal disaster recovery policies.

Success Criteria		
#	**Description of Success Criteria**	**Key Performance Indicator**
11	Minimal Business Impact During Disaster Scenarios	• Definition: The overall impact of a disaster, including revenue loss, customer disruption, and reputational damage, should be minimized through effective recovery strategies. • Success Criterion: Business impact assessments (BIAs) show minimal adverse effects during simulated or real disaster scenarios, and customer-facing services remain available as much as possible.
12	Defined Escalation and Decision-Making Protocols Followed	• Definition: Clear escalation paths and decision-making frameworks should be in place to handle complex recovery scenarios and unexpected issues. • Success Criterion: During tests or actual incidents, escalation and decision-making are handled according to predefined protocols, with no delays or confusion in executing the DR plan.
13	Satisfactory Stakeholder and Executive Reporting	• Definition: Timely and accurate reporting of DR activities, test results, and incident outcomes to senior management and stakeholders. • Success Criterion: Post-test and post-incident reports are delivered within 5 business days, highlighting successes, issues, and areas for improvement, with no major gaps in the information presented.
14	Positive Feedback from DR Plan Stakeholders	• Definition: Regular feedback from DR team members, IT staff, and business units is solicited to gauge the effectiveness and clarity of the DR plan. • Success Criterion: At least 90% of stakeholders express confidence in the DR plan's ability to meet business recovery requirements.
15	Continuous Improvement and Optimization	• Definition: Regular updates and optimizations are made to the DR plan based on lessons learned, changes in the IT environment, or evolving business requirements. • Success Criterion: Documented improvements are made following each test or incident review, and the DR plan is optimized at least annually to incorporate new technologies, processes, or threats.

Exhibit III-1 Project Success Criteria

These success criteria ensure that the disaster recovery program is robust, responsive, and aligned with the organization's needs, ultimately safeguarding business continuity during adverse events.

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

A. Benefits Realization Table

The purpose of this section is to describe and compare the costs and the expected benefits for the proposed OAG Modernization Program. The Cost Benefit Analysis (CBA) forms presented in this section identify:

- Estimated program costs
- Estimated program benefits, both tangible and intangible
- Fiscal metrics associated with implementing the program

Data Loss Prevention (DLP) and Disaster Recovery (DR) Programs are designed to protect sensitive data from being leaked, lost, or accessed by unauthorized users and enable organizations to recover IT systems, data, and business operations after a disruptive event, such as a cyberattack, natural disaster, or hardware failure.

By implementing a comprehensive DLP and DR strategies, organizations can gain several benefits such as:

1. Minimized Downtime and Faster Recovery
2. Improved Business Continuity
3. Reduced Data Loss
4. Regulatory Compliance and Risk Mitigation
5. Enhanced Customer and Stakeholder Confidence
6. Lower Total Cost of Ownership (TCO)
7. Improved Decision-Making during Crises
8. Protection Against a Wide Range of Threats
9. Tested and Validated Recovery Procedures
10. Strategic Advantage and Competitive Edge
11. Increased Resilience Against Cybersecurity Threats

The expected benefits and how the benefits will be realized are described in Exhibit IV-1: Benefits Realization Table. The DLA is developing a method to capture the data for the KPI metrics.

#	Description of Benefit	Tangible or Intangible	Who receives the benefit?	How is the benefit realized?	How will the realization of the benefit be assessed / measured?	Realization Date
1	Minimized Downtime and Faster Recovery (F-1.)	Tangible	DLA/State of Florida	• Ensures business-critical systems are restored quickly after an outage, minimizing operational disruptions. • Reduces downtime costs and helps maintain productivity by enabling rapid failover and recovery of applications, servers, and networks.	**Recovery Time Objective (RTO)** Measure the time taken to recover critical systems and services after an outage. Compare actual recovery time during tests and real events against predefined RTO targets. **Assessment Method**: Track and log the time taken for each recovery step, starting from the moment of disruption to the complete restoration of systems and applications. **KPI**: 100% of critical systems are recovered within the defined RTO of 4 hours. ***DLA is developing a method to capture the data for the KPI metrics.***	FY 2025-2026
2	Improved Business Continuity (F-6.)	Tangible	DLA/State of Florida	• Supports overall business continuity by enabling the organization to continue operating even during adverse events. • Protects against financial losses, reputational damage, and loss of customer trust by ensuring continuity of services.	**Measure Recovery Success Rate** **Definition**: Evaluate the percentage of successful recoveries during DR tests. **Assessment Method**: Conduct full or partial DR tests and calculate the success rate for each component (e.g., server restoration, data recovery, application failover). **KPI**: 95% or higher success rate for all planned DR tests. **Additional Metric**: Number of failed recovery attempts during testing phases and reasons for failure (e.g., software errors, configuration issues). ***DLA is developing a method to capture the data for the KPI metrics.***	FY 2025-2026

3	Reduced Data Loss (F-3.)	Tangible	DLA/State of Florida	• Protects against data loss by implementing regular backups, real-time replication, and recovery strategies that restore data to the most recent consistent state. • Meets Recovery Point Objectives (RPOs) by ensuring minimal data loss during recovery.	**Recovery Point Objective (RPO)** Measure the amount of data loss (in time) that is acceptable during a disaster recovery. Compare data recovered during tests or real incidents against the defined RPO. • **Assessment Method**: Verify data integrity and consistency post-recovery by comparing recovery points against the most recent backups or replicated data. • **KPI**: Data loss does not exceed 15 minutes for critical databases ***DLA is developing a method to capture the data for the KPI metrics.***	FY 2025-2026
4	Regulatory Compliance and Risk Mitigation (F-6.)	Tangible	DLA/State of Florida	• Helps meet regulatory and compliance requirements related to data availability, disaster preparedness, and business continuity planning. • Reduces risk exposure by having documented, tested plans to handle various disaster scenarios, including natural disasters, cyberattacks, and system failures.	**Assess Regulatory Standards Compliance** **Definition**: Measure adherence to Service Level Agreements (SLAs) and compliance with relevant regulations. **Assessment Method**: Compare actual recovery performance against SLAs and regulatory requirements (e.g., RTO, RPO, data retention). **KPI**: 100% compliance with all DR-related regulatory requirements (e.g., F.A.C. 60GG, GDPR, ISO 22301). ***DLA is developing a method to capture the data for the KPI metrics.***	FY 2025-2026

5	Enhanced Customer and Stakeholder Confidence	Tangible	DLA/State of Florida	• Demonstrates the organization's preparedness to handle emergencies, which builds confidence among customers, partners, and stakeholders. • Reduces the risk of losing clients or business opportunities due to concerns about business continuity.	**Track Downtime and Business Impact During Testing** **Definition**: Monitor the impact of DR testing on business operations to ensure minimal disruption during drills. **Assessment Method**: Measure downtime of business services and compare it against acceptable thresholds defined by stakeholders. **KPI**: No more than 5% of business services experience disruption during planned DR tests. ***DLA is developing a method to capture the data for the KPI metrics.***	FY 2025-2026
6	Lower Total Cost of Ownership (TCO) (F-4.)	Tangible	DLA/State of Florida	• Avoids expensive emergency recovery costs by having preemptive measures and resources in place. • Optimizes the cost of infrastructure and recovery resources through efficient use of DR sites, cloud services, and automation.	**Measure Recovery Success Rate** **Definition**: Evaluate the percentage of successful recoveries during DR tests. **Assessment Method**: Conduct full or partial DR tests and calculate the success rate for each component (e.g., server restoration, data recovery, application failover). **KPI**: 95% or higher success rate for all planned DR tests. **Additional Metric**: Number of failed recovery attempts during testing phases and reasons for failure (e.g., software errors, configuration issues). ***DLA is developing a method to capture the data for the KPI metrics.***	FY 2025-2026

7	Improved Decision-Making During Crises	Tangible	DLA/State of Florida	• Provides clear guidelines and documented procedures for handling different types of disasters, reducing the risk of miscommunication or poor decisions. • Ensures that critical decisions (e.g., whether to fail over to a secondary site) are made swiftly and correctly.	**Analyze Incident Response and Communication Efficiency** **Definition**: Measure how effectively the DR team communicates and coordinates during incidents or tests. **Assessment Method**: Track the time taken to communicate key decisions, initiate failovers, and inform stakeholders during DR events. **KPI:** Achieve communication of critical status updates to stakeholders within 15 minutes of incident detection. ***DLA is developing a method to capture the data for the KPI metrics.***	FY 2025-2026
8	Protection Against a Wide Range of Threats (F-4.)	Tangible	DLA/State of Florida	• Safeguards the organization against various scenarios, including cyberattacks, hardware failures, data corruption, natural disasters, and power outages. • Enables flexible, scenario-based planning to adapt to different types of disasters and their impact.	**Track Continuous Improvement and Lessons Learned** **Definition**: Measure how quickly and effectively gaps or issues identified during DR testing are addressed and incorporated into the DR plan. **Assessment Method**: Record and analyze the time taken to resolve issues, update the DR plan, and perform retraining if needed. **KPI**: Implement corrective actions for all identified issues within 30 days of a DR test or incident. ***DLA is developing a method to capture the data for the KPI metrics.***	FY 2025-2026

9	Tested and Validated Recovery Procedures (F-6.)	Tangible	DLA/State of Florida	• Regular testing ensures that recovery plans are effective, up-to-date, and can be executed successfully when needed. • Identifies gaps and weaknesses in recovery procedures, allowing for continuous improvement and fine-tuning of the DR program.	**Calculate Cost Savings and Avoidance** **Definition**: Quantify the financial benefits of avoiding prolonged downtime and reducing recovery costs. **Assessment Method**: Calculate potential losses prevented during disruptions, including lost revenue, SLA penalties, and productivity impacts. **KPI**: Estimate cost savings by comparing potential downtime costs (e.g., $500,000 per hour of downtime) against actual downtime costs during incidents. **ROI Calculation**: Use Return on Investment (ROI) to measure the financial effectiveness of the DR program: ROI=[Cost of Downtime Avoided −Cost of DR Program /Cost of DR Program] × 100 ***DLA is developing a method to capture the data for the KPI metrics.***	FY 2025-2026
10	Strategic Advantage and Competitive Edge	Intangible	DLA/State of Florida	• Positions the organization as a resilient and reliable business partner by ensuring service availability, even under adverse conditions. • Provides a competitive edge in industries where business continuity is a critical consideration for customers and partners.		FY 2025-2026

11	Increased Resilience Against Cybersecurity Threats (F-4.)	Tangible	DLA/State of Florida	• Protects against the impact of ransomware attacks and other cybersecurity threats by enabling rapid restoration of clean data and systems. • Reduces the risk of prolonged downtime or business paralysis due to malicious activities.	**Monitor System and Data Integrity Post-Recovery** **Definition**: Ensure that all recovered systems and data are intact and that there are no integrity issues. **Assessment Method**: Perform data validation checks and system integrity assessments post-recovery. **KPI**: 100% of recovered systems pass integrity and functionality tests post-recovery. ***DLA is developing a method to capture the data for the KPI metrics.***	FY 2025-2026

Exhibit IV-1: Benefits Realization Table

By implementing both DLP and DR programs, organizations can create a comprehensive strategy that not only prevents data breaches and loss but also ensures business continuity and resilience in the face of both internal and external threats.

B. Cost Benefit Analysis (CBA)

This section contains the CBA forms that present the cost and benefit analyses for the OAG Modernization Program. The typical five-year timeline established in the CBA forms has not been extended.

The projected net benefits for the IT Business Continuity and Disaster Recovery Program are significant and compelling. The estimated Net Present Value (NPV) from the IT Business Continuity and Disaster Recovery Program in the first year is **$518,325.** The total program costs are **$1,159,977** with a **break-even in the first year.**

a. Program Costs

The estimated total cost of implementing the proposed IT Business Continuity and Disaster Recovery Program cost is $1.16 M for year one and a recurring cost of $1,032,000 over the project life.

b. Program Financial Return Analysis

The DLA has computed the following values for the IT Business Continuity and Disaster Recovery program.

Investment Term	Computed Value
Total Cost	$1.2 M
Benefits	$518,325 in total benefits
Payback Period	Less than 1 year
Payback Period	FY 2025-2026
	6 Year Analysis
Net Tangible Benefits	$1.7 M (total benefits minus total costs)
NPV	$518,325
IRR	NO IRR – break-even in 1 year

Exhibit IV-2: Financial Return Analysis

The breakeven year is FY 2025-26. This rapid breakeven indicates a strong program that pays for itself quickly.

- The six-year NPV is $518,325. By this measure, the IT Business Continuity and Disaster Recovery Program is a sound investment.
- There is no IRR because the break-even period occurs in the first year of the project. The New York University ***Cost of Capital by Sector*** analysis estimates the Software (System & Application) sector cost of capital for investment purposes to be 9.83 percent. The analysis included 351 firms, and the data used is as of January 2024. This report is available in Appendix C – Reference Reports.
- Given that the IT Business Continuity and Disaster Recovery program's IRR significantly exceeds the forecasted cost of capital, the program would provide a positive impact to the DLA's financial position.

The tangible benefits of this program significantly outweigh the upfront costs, making this program a sound investment for the Florida Legislature to approve. In addition, the intangible benefits are significant. The minimized risk of mistakes related to public records requests, the reduced risk of a cyber security incident impacting the Department of Legal Affairs, the increased ability to respond quickly and competently when crises occur anywhere in the State, and the increased ability to hire and retain top tier talent, all have real-world beneficial impacts on State government and Florida citizens. The intangible benefits should be considered as well.

The DLA recommends that the proposed IT Business Continuity and Disaster Recovery Program be approved and authorized to proceed with the initiation of the program's implementation activities, and that the required funding be requested by the Executive Office of the Governor and approved by the Legislature.

The following spreadsheets provide the CBA forms and detailed cost and benefits calculations.

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

SCHEDULE IV-B FOR IT BUSINESS CONTINUITY AND DISASTER RECOVERY PROGRAM

State of Florida
Cost Benefit Analysis

APPENDIX A

Fiscal Year 2025-26

CBAForm 1 - Net Tangible Benefits

Agency Department of Legal Affairs **Project** IT Business Continuity and Disaster Recovery

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

Agency (Recurring Costs Only – No Project Costs)	FY 2025-26			FY 2026-27			FY 2027-28			FY 2028-29			FY 2029-30		
	(a) Existing Program Costs	(b) Operational Cost Change	(c) = (a)+(b) New Program Costs resulting from Proposed Project	(a) Existing Program Costs	(b) Operational Cost Change	(c) = (a) + (b) New Program Costs resulting from Proposed Project	(a) Existing Program Costs	(b) Operational Cost Change	(c) = (a) + (b) New Program Costs resulting from Proposed Project	(a) Existing Program Costs	(b) Cost Change Operational Cost Change	(c) = (a) + (b) New Program Costs resulting from Proposed Project	(a) Existing Program Costs	(b) Operational Cost Change	(c) = (a) + (b) New Program Costs resulting from Proposed Project
A. Personnel Costs – Agency-Managed Staff	$442,883	$0	$442,883	$442,883	$0	$442,883	$442,883	$0	$442,883	$442,883	$0	$442,883	$442,883	$0	$442,883
A.b Total Staff	4.00	0.00	4.00	4.00	0.00	4.00	4.00	0.00	4.00	4.00	0.00	4.00	4.00	0.00	4.00
A-1.a. State FTEs (Salaries & Benefits)	$442,883	$0	$442,883	$442,883	$0	$442,883	$442,883	$0	$442,883	$442,883	$0	$442,883	$442,883	$0	$442,883
A-1.b. State FTEs (#)	4.00	0.00	4.00	4.00	0.00	4.00	4.00	0.00	4.00	4.00	0.00	4.00	4.00	0.00	4.00
A-2.a. OPS Staff (Salaries)	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0
A-2.b. OPS (#)	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
A-3.a. Staff Augmentation (Contract Cost)	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0
A-3.b. Staff Augmentation (# of Contractors)	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
B. Application Maintenance Costs	$290,000	$0	$290,000	$290,000	$0	$290,000	$290,000	$0	$290,000	$290,000	$0	$290,000	$290,000	$0	$290,000
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	$290,000	$0	$290,000	$290,000	$0	$290,000	$290,000	$0	$290,000	$290,000	$0	$290,000	$290,000	$0	$290,000
B-4. Other	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0
C. Data Center Provider Costs	$0	$0	$1,159,977	$1,032,000	$0	$1,032,000	$1,032,000	$0	$1,032,000	$1,032,000	$0	$1,032,000	$1,032,000	$0	$1,032,000
C-1. Managed Services (Staffing)	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0
C-2. Infrastructure	$0	$0	$127,977	$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	$1,032,000	$1,032,000	$0	$1,032,000	$1,032,000	$0	$1,032,000	$1,032,000	$0	$1,032,000	$1,032,000	$0	$1,032,000
C-5. Other Specify	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0
D. Plant & Facility Costs	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0
E. Other Costs	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0
E-1. Training	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0
E-2. Travel	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0
E-3. Other Specify	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0
Total of Recurring Operational Costs	$732,883	$0	$1,892,860	$1,764,883	$0	$1,764,883	$1,764,883	$0	$1,764,883	$1,764,883	$0	$1,764,883	$1,764,883	$0	$1,764,883
F. Additional Tangible Benefits:		$1,693,333			$0			$0			$0			$0	
F-1. Data Breach Cost		$1,693,333			$0			$0			$0			$0	
F-2.		$0			$0			$0			$0			$0	
F-3.		$0			$0			$0			$0			$0	
Total Net Tangible Benefits:		$1,693,333			$0			$0			$0			$0	

CHARACTERIZATION OF PROJECT BENEFIT ESTIMATE – CBAForm 1B			
Choose Type		Estimate Confidence	Enter % (+/-)
Detailed/Rigorous	☐	Confidence Level	
Order of Magnitude	☐	Confidence Level	
Placeholder	☑	Confidence Level	

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Cost Benefit Analysis

	A	B	C	D	E	F	G	H	I	J	K	L	M	N	O	P	Q	R	S	T
1	Department of Legal Affairs	IT Business Continuity and Disaster Recovery			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.***				FY2025-26			FY2026-27			FY2027-28			FY2028-29			FY2029-30			TOTAL
3				$ -	$ 1,159,977			$ -			$ -			$ -			$ -			$ 1,159,977
4	Item Description *(remove guidelines and annotate entries here)*	Project Cost Element	Appropriation Category	Current & Previous Years Project-Related Cost	YR 1 #	YR 1 LBR	YR 1 Base Budget	YR 2 #	YR 2 LBR	YR 2 Base Budget	YR 3 #	YR 3 LBR	YR 3 Base Budget	YR 4 #	YR 4 LBR	YR 4 Base Budget	YR 5 #	YR 5 LBR	YR 5 Base Budget	TOTAL
5	Costs for all state employees working on the project.	FTE	S&B	$ -	0.00	$ -	$ -	0.00	$ -	$ -	0.00	$ -	$ -	0.00	$ -	$ -	0.00	$ -	$ -	$ -
6	Costs for all OPS employees working on the project.	OPS	OPS	$ -	0.00		$ -	0.00	$ -	$ -	0.00	$ -	$ -	0.00	$ -	$ -	0.00	$ -	$ -	$ -
7	Staffing costs for personnel using Time & Expense.	Staff Augmentation	Contracted Services	$ -	0.00	$ -	$ -	0.00	$ -	$ -	0.00	$ -	$ -	0.00	$ -	$ -	0.00	$ -	$ -	$ -
8	Project management personnel and related deliverables.	Project Management	Contracted Services	$ -	0.00	$ -	$ -	0.00	$ -	$ -	0.00	$ -	$ -	0.00	$ -	$ -	0.00	$ -	$ -	$ -
9	Project oversight to include Independent Verification & Validation (IV&V) personnel and related deliverables.	Project Oversight	Contracted Services	$ -	0.00	$ -	$ -	0.00	$ -	$ -	0.00	$ -	$ -	0.00	$ -	$ -	0.00	$ -	$ -	$ -
10	Staffing costs for all professional services not included in other categories.	Consultants/Contractors	Contracted Services	$ -	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	$ -		$ 127,977	$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -	$ 127,977
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	Disaster Revory	Other Expenses	Expense	$ -		$ 1,032,000	$ -			$ -			$ -			$ -			$ -	$ 1,032,000
21		Total		$ -	0.00	$ 1,159,977	$ -	0.00	$ -	$ -	0.00	$ -	$ -	0.00	$ -	$ -	0.00	$ -	$ -	$ 1,159,977

State of Florida
Cost Benefit Analysis

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Fiscal Year 2025-26

CBAForm 2 - Project Cost Analysis

Agency Department of Legal Affairs Project Business Continuity and Disaster Recov

PROJECT COST SUMMARY	PROJECT COST SUMMARY (from CBAForm 2A)					TOTAL
	FY 2025-26	FY 2026-27	FY 2027-28	FY 2028-29	FY 2029-30	
TOTAL PROJECT COSTS (*)	$1,159,977	$0	$0	$0	$0	$1,159,977
CUMULATIVE PROJECT COSTS (includes Current & Previous Years' Project-Related Costs)	$1,159,977	$1,159,977	$1,159,977	$1,159,977	$1,159,977	
Total Costs are carried forward to CBAForm3 Project Investment Summary worksheet.						

PROJECT FUNDING SOURCES	PROJECT FUNDING SOURCES - CBAForm 2B					TOTAL
	FY 2025-26	FY 2026-27	FY 2027-28	FY 2028-29	FY 2029-30	
General Revenue	$0	$0	$0	$0	$0	$0
Trust Fund	$0	$0	$0	$0	$0	$0
Federal Match ☐	$0	$0	$0	$0	$0	$0
Grants	$0	$0	$0	$0	$0	$0
Other ☐ Specify	$0	$0	$0	$0	$0	$0
TOTAL INVESTMENT	$0	$0	$0	$0	$0	$0
CUMULATIVE INVESTMENT	$0	$0	$0	$0	$0	

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

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State of Florida
Cost Benefit Analysis

APPENDIX A

Fiscal Year 2025-26

CBAForm 3 - Project Investment Summary

Agency	Department of Legal Affairs	Project	IT Business Continuity and Disaster Recovery

COST BENEFIT ANALYSIS – CBAForm 3A

	FY 2025-26	FY 2026-27	FY 2027-28	FY 2028-29	FY 2029-30	TOTAL FOR ALL YEARS
Project Cost	$1,159,977	$0	$0	$0	$0	$1,159,977
Net Tangible Benefits	$1,693,333	$0	$0	$0	$0	$1,693,333
Return on Investment	$533,356	$0	$0	$0	$0	$533,356
Year to Year Change in Program Staffing	0	0	0	0	0	

RETURN ON INVESTMENT ANALYSIS – CBAForm 3B

Payback Period (years)	N/A	Payback Period is the time required to recover the investment costs of the project.
Breakeven Fiscal Year	2025-26	Fiscal Year during which the project's investment costs are recovered.
Net Present Value (NPV)	$518,325	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 2025-26	FY 2026-27	FY 2027-28	FY 2028-29	FY 2029-30
Cost of Capital	2.90%	3.10%	3.30%	3.40%	3.50%

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V. Schedule IV-B Major Project Risk Assessment

A project risk assessment of the OAG Modernization Program was performed using the assessment tool provided as part of the Information Technology Guidelines and Forms on the Florida Fiscal Portal. The tool involves answering 89 questions about the project being considered, divided into eight assessment categories. The results of the assessment in Appendix B are summarized in the following sections. Questions in this assessment were answered with the expectation that many of the foundational tasks will be formulated in the next year as the DLA ramps up processes and documentation to prepare for the first year of implementation.

For the purposes of the Project Risk Assessment section, the OAG Modernization Program will be referred to as a single "project".

A. Risk Assessment Summary

The overall risk assessment of the project is rated as "Medium" based on the risk assessment tool. This rating reflects assessment ratings of "Low" in three of the eight assessment areas, "Medium" in four of the eight assessment areas and "High" in one of the eight assessment areas. The DLA has diligently reduced risk by providing technical training to IT staff and the knowledge transfer sessions provided during the course of the ITMP.

The only category assessed as "high risk" was the Project Complexity Assessment score. The overall risk assessment rating aligns with expectations for a project of this scope and type regardless of solution or approach.

Exhibit V-1 Project Risk Assessment Summary is a graphical representation of the results computed by the risk assessment tool.

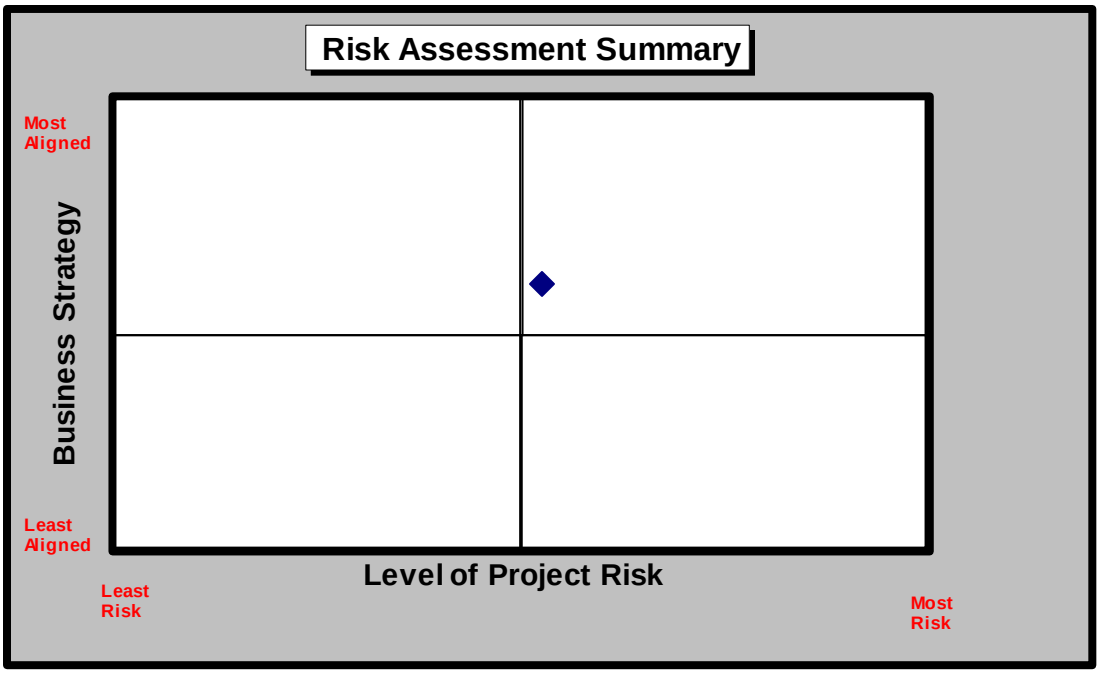

Exhibit V-1 Project Risk Assessment Summary

Exhibit V-2 Project Risk Assessment Summary Table illustrates the risk assessment areas that were evaluated, and the breakdown of the risk exposure assessed in each area. As indicated above, the overall project risk should diminish significantly by the conclusion of the first year when the project structure is in place, business processes and requirements are fully mapped and defined, and the foundational technology elements have been implemented.

The DLA's plan to continually identify, assess, and mitigate risk throughout the life of the project is discussed in Section VII, Project Management Planning.

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

Exhibit V-2 Project Risk Assessment Summary Table

VI. Schedule IV-B Technology Planning

A. Current Information Technology Environment

1. Current System

a. Description of Current System

The current DLA processing platform technology consists primarily of:

- HCL Domino, a cloud-based applications
- A cloud-based COTS Electronic Content Management System (ECM)
- Microsoft Office 365 applications for workforce productivity
- Other COTS products that provide common architecture processing.

The current application systems are primarily business unit specific implementations that have been custom built using IBM Notes/Domino (migrated to the Cloud and HCL Notes) as an application development, data storage and execution platform. OnBase is the COTS Electronic Content Management System used to store open and closed case file documents and relevant email records. Microsoft Office 365 is a COTS product used for worker productivity processing including word processing, spreadsheets, presentations, graphics, and work planning. Other COTS products and cloud-based services support specific business processing functions including eDiscovery, fraud analytics, and other areas.

Exhibit VI-1: Current Processing Platform Overview depicts the major technology of the current processing platform.

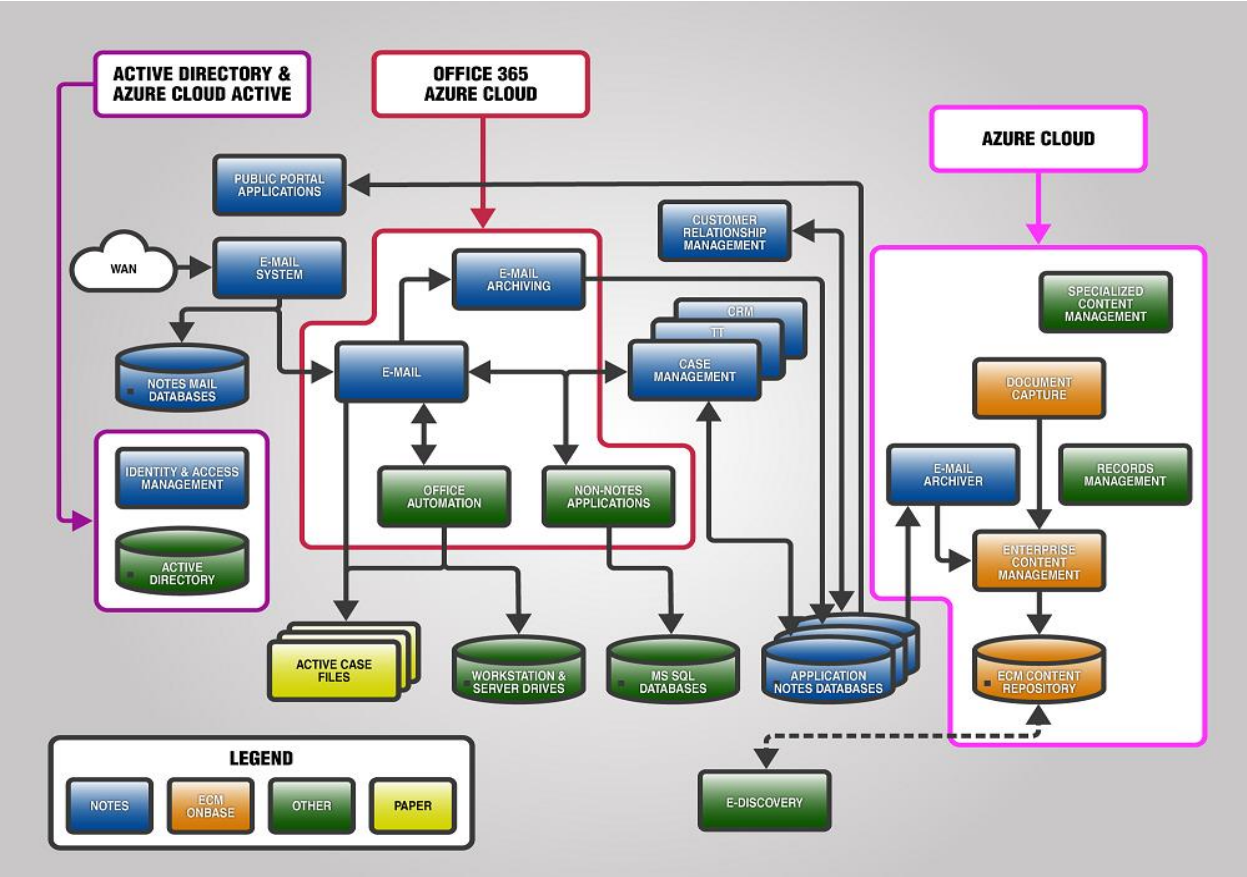

Exhibit VI-1: Current Processing Platform Overview

b. Technical Architecture

The current platform uses tightly integrated functionality and processing services of the IBM Notes/Domino platform. Specific technical architecture services provided by the IBM Notes/Domino platform include:

1. Custom application data entry, maintenance, and validation
2. Application data storage
3. Task management
4. Workflow
5. Custom application mail integration
6. Public portal applications

The OnBase system is an ECM system that supports:

1. Document Ingestion (via CoFAX)
2. Document Indexing
3. Document Retrieval
4. Document Storage
5. Document Search
6. Business Process Workflows

The COTS applications used for worker productivity are primarily:

1. Microsoft Office – word processing, spreadsheets, presentations, etc.
2. Microsoft SQL Server
3. eDocs – used for active case document storage
4. Other unit specific COTS products

The following table lists the DLA hardware and the technical architecture:

DLA Equipment	Host	Usage
Cisco OAG Firewall	N/A	Firewall
Server	TLH07	Public Portal
Server	TLH02	Primary Production 1
Server	TLH08	Production 1 Replica
Server	TLH14	Primary Production 2
Server	TLH27	Production 2 Replica
Server	TLH11	Victims
Server	TLH12	Victims Replica
Server	TLH23	OAG Development
Server	PHNX01	OAG Development
Server	PHNX02	OAG Development
Server	Daily VMWare Snapshots	Backup
Server	ORL01	Backup
Server	CLD01	Backup

Exhibit VI-2: DLA Technical Architecture - Hardware

The following diagram illustrates the technical architecture of the HCL Notes Application Systems:

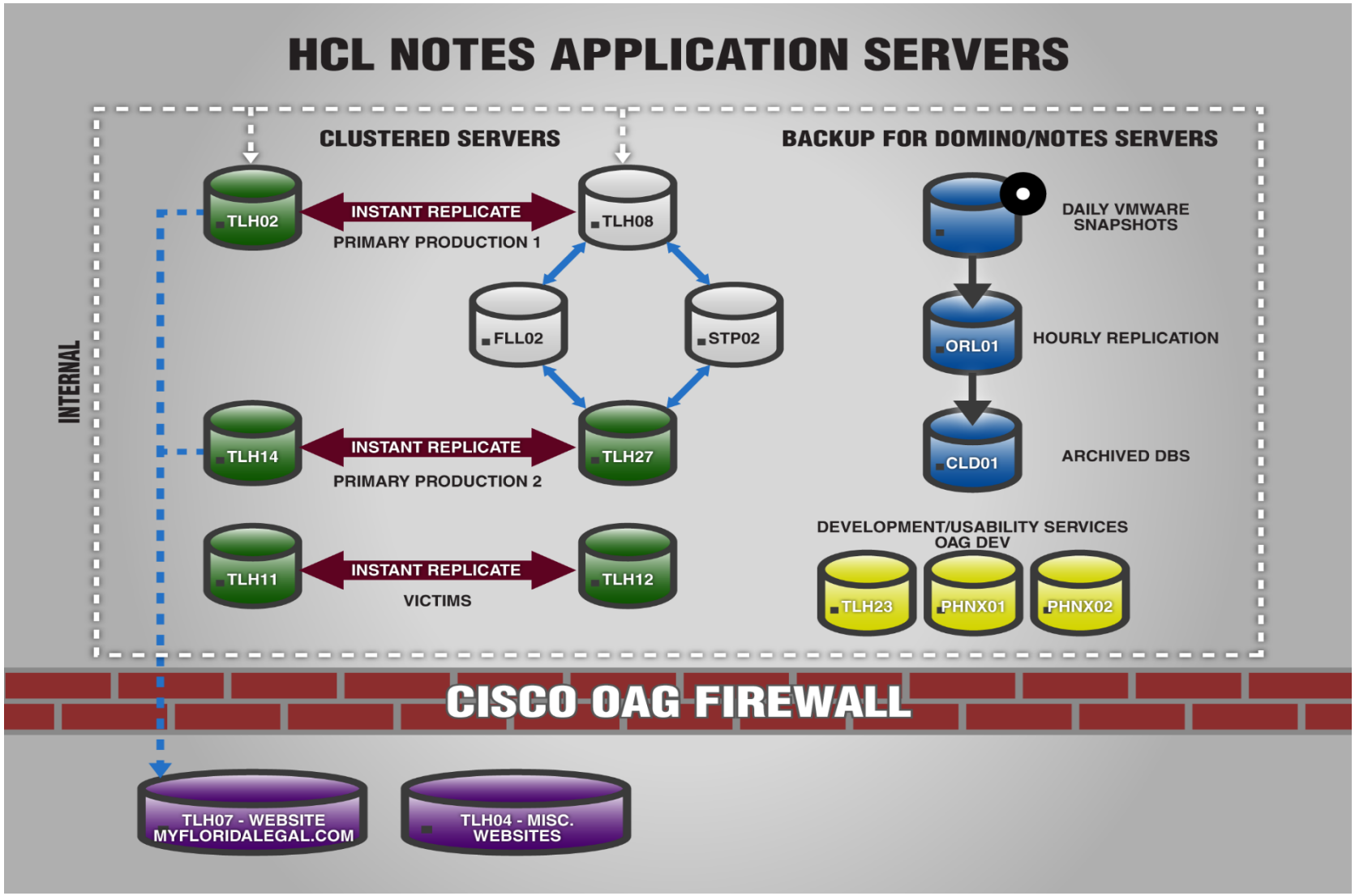

Exhibit VI-3: IBM Notes/Domino Application Technical Architecture

c. Custom Application Software

The DLA manages over 130 instances of custom developed and maintained Notes/Domino applications that use the Notes/Domino platform. Included in the total count are replica copies of a Notes database that are created to get past Notes storage size limits for each instance. Exhibit VI-4: Application Instances by Processing Function lists the number of application instances for each major DLA processing function.

Function	Application Instances
Accounting and Finance	3
Calendar and Docketing	8
Case Management System (CMS)	34
Conference Management	1
Contact Management	2
Customer Relationship Management (CRM)	16
Document Records Management	24
eDiscovery	6
Email, Intranet & Productivity Software	11
Evidence Tracking Systems	2
Federal Reporting	1
Finance Reporting	1
Grant Management and Reporting (outsourced to AGATE)	3
Human Resources	1
Interface	3
Management Reporting	4
Procurement and Contract Management	2
Time Tracking	4
Training and Development	4
Trouble Ticketing	1
Total Application Instances	**134**

Exhibit VI-4: Application Instances by Processing Function

d. Current System Resource Requirements

Electronic Content Management System - OnBase	3 App servers 2 File servers 2 Full Text Document servers 2 web servers 1 Managed Instance SQL database.
HCL Notes/Domino System	8 Production Application Servers 2 Domino Web Servers 3 Development Servers
HCL Notes Backup Servers	Two Servers Tape Backup – 2 Drives 48 Tapes

Exhibit VI-5: Current Resource Requirements

e. Current System Performance

Current System Performance: Most of the existing DLA Notes/Domino database applications perform responsively for users in the Tallahassee Collins Building that access the Notes/Domino databases from a local area network. Users in remote field offices away from the Tallahassee Collins Building can experience less responsive application access when accessing Notes/Domino databases instances hosted in Tallahassee using the DLA's private Wide Area Network (WAN). Slower response time is attributable to WAN latency and periodic contention for bandwidth. Notes/Domino databases do have replica feature that allows creation of a database copy that synchronizes local and remote copies of a Notes/Domino database. The use of replicas allows users to create and access information from the local replica database on a local network much faster than accessing the Notes database in another location. User updates to the database synchronize to the master database copy asynchronously. As long as users avoid concurrent updates to the same record in the master and replica databases, replication conflicts are avoided.

The DLA uses hourly replication to maintain up to date replica copies of production applications located at a remote location for disaster recover purposes.

2. Information Technology Standards

The DLA follows the technology standards necessary to protect sensitive information that it accesses and manages. This includes the technology and security standards and requirements documented in the:

- Florida Information Technology Standards described in Florida Administrative Rule 60GG-2.001 through 60GG-2.006
- Florida Administrative Code (FAC), and the Florida Cybersecurity Standards described in Florida Administrative Rule 74.2001
- HIPAA Security and Privacy Rule (**Note**: OAG is not a HIPAA agency)
- National Institute of Standards and Technology (NIST) Initiatives – NIST PUB 800-53
- Health Information Technology for Economic and Clinical Health (HITECH) Act
- Criminal Justice Information Services (CJIS) Security Policy
- Federal Tax Information (FTI) Protection I.R.C. § 6103
- Federal Regulations on Civil Procedures (FRCP)

Additional DLA specific technology and security standards could apply for information access and data protection that occurs in the DLA's role of supporting State agencies.

B. Current Hardware and/or Software Inventory

1. Software Maintenance Costs

Vendor	Product	Qty	2023 Annual Cost
Hyland	OnBase (server and client capture licenses)	60+	$10,623
Microsoft	Microsoft Office365 subscription	1250	$150,000
IBM	Lotus Notes Client License	1350	$ 83,653
IBM	Lotus Notes/Domino Server	280	$3,220
IBM	IBM Xworks Server	2	$1792
Team Studio	Team Studio	8	$12,100
TechSmith	Camtasia/SnagIt Bundle	16	$2,098
	Total Software Maintenance		$263,486

Exhibit VI-6: Current Software Maintenance Costs

C. Proposed Technical Solution

1. Technical Solution Alternatives

a. Background – To-Be Integrated Processing Platform

The DLA has defined a To-Be integrated processing platform direction that accomplishes the following technology objectives:

- Use market relevant vendor supported software products
- Migrate from custom developed applications built with the IBM Notes/Domino platform to configurable platform solutions supporting case management, CRM, and other business processes
- Maintain security and protection of sensitive data

The new Integrated Platform migrates from software products specified in the current platform to software solutions specified in the To-Be Integrated Platform below.

Capability	Current	To-Be Integrated Platform
Case Management Applications	Custom HCL Notes Database Applications	COTS - LawBase
Customer Relationship Management	Custom HCL Notes	Microsoft Dynamics 365
Administrative Systems	Custom HCL Notes	OnBase
eDiscovery	On Premise & Outsourced	Cloud & On Premise
Projects Completed		
Worker Productivity	Microsoft Office 365	Cloud
Email	Microsoft Office 365 - Outlook	Cloud
Document Management	OnBase	Cloud
Email Archiving	Email Archive	COTS

Exhibit VI-7: To-Be Integrated Processing Platform Components

The DLA previously defined a To-Be integrated processing platform direction and has accomplished the following technology objectives:

- Enable real time storage, management and sharing of document and electronic content management
  - **Accomplished** with the implementation of Microsoft Office 365 - Outlook
- Use content type and electronic system information specific ingestion, indexing, storage, archiving and search capabilities
  - **Accomplished** during ITMP **Phase 1 – ECM Implementation with ECM OnBase**
- Support content type specific "best of breed" processing (e.g., email, photo, video, sensor data types) to improve storage efficiency, automated indexing, content analysis, and content analytics
  - **Accomplished during** ITMP **Phase 1 – ECM Implementation with ECM OnBase**

Exhibit VI-8: Future Integrated Processing Platform Overview below shows the new platform components and the integration between components.

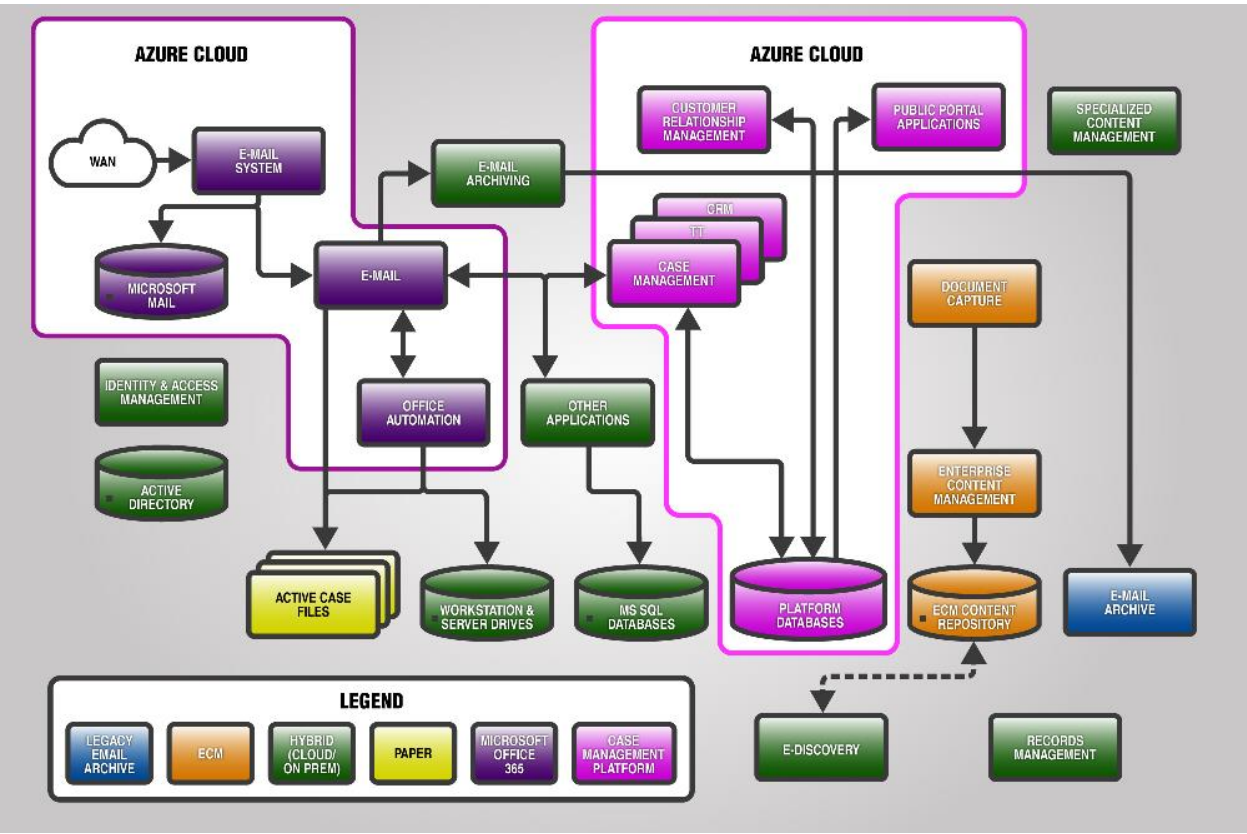

Exhibit VI-8: Future Integrated Processing Platform Overview

b. Implementation Alternatives

Following are a description, benefits, and risks of each implementation alternative to migrate from the current state to the To-Be Integrated Platform:

- Implement by technology component
- Phased implementation of fully integrated platform
- Implement by business process
- Big bang implementation

c. Implement by Technology Component

The Implement by Technology Component alternative replaces each major technology component of the DLA processing platform until all new technology components replace current components to create the new fully integrated platform. This approach minimizes the concurrent use of different technology components that perform the same function. During the implementation period, the implementation team integrates each new technology components with the other old and new technology components. For example, under this scenario the DLA would implement the new CMS system with ECM OnBase for document search, retrieval and archiving.

Benefits:

- Reduces period of duplicated operations costs of legacy systems and technology support
- Reduces overall demand on technical support resources
- Improves processing consistency across units
- Spreads technology changes requiring training and affecting users across a longer elapsed time

Drawbacks:

- Requires development of integrations to legacy case management Notes applications and new platform
- Higher level of business unit disruption because of multiple implementations and changes to legacy applications

d. Phased Implementation of Fully Integrated Platform

The Phased Implementation of Fully Integrated Platform alternative establishes the new fully integrated platform comprised of all new solution components that replace legacy components. In this approach, the new case management system and customer relationship management system integrate to the new ECM solution. After these integrations with the case management and customer relationship management system platforms, the approach rolls out the fully integrated platform in multiple phases to groupings of business units. The units that migrate to the new fully integrated platform stop using the legacy technology components. The rollout of the fully integrated platform would begin with a pilot group of units. Groups included in the first implementation would include groups with limited requirements to migrate data from legacy systems. The units that need data migration would follow in subsequent phases. Implementation phases could be sequential or overlapping.

Benefits:

- Minimizes disruption to business units to a single period of migration
- Increases consistency of business processing because units leverage work of other units
- Phased implementation allows learnings from previous releases to benefit later units
- Ability to schedule and migrate to the new platform during non-critical business periods

Drawbacks:

- Concentrated period of change in technology products and processing for business units
- Reduces engagement of organizational leadership and unit specific focus on the implementation

e. Implement by Business Process

The Implement by Business Process alternative is the approach of implementing replacement technologies based on business process. The implementation team configures and integrates the new technology components to support a business process and then rolls out updates of that business process across all units. Using this approach, users would use the new platform to perform the implemented case management functions. During implementation, users would use the legacy applications and legacy technologies to perform case management functions scheduled for later implementation on the new platform.

Benefits:

- Implements functionality in smaller chunks
- Avoids investment to mitigate current system risks and establish new system
- Reduces fixed cost allowing savings if mail volumes are reduced

Drawbacks:

- More integration work where business functions share data or hand-off between people
- Users within one unit may use both old and new platforms until full implementation
- May be difficult to align unit specific requirements for a business function

f. Big Bang Implementation

The Big Bang Implementation alternative is the approach of implementing the new integrated platform to all units as part of a single cutover. Developers collect requirements and build the new platform based on processing input from all units. All units cut over to use the new system starting on a single day. The migration of data from the legacy systems of all units occurs as part of the cutover process.

Benefits:

- Requires high engagement by leadership and all unit stakeholders
- Reduces period of duplicated operations costs of legacy systems and technology support

Drawbacks:

- High risk of business disruption
- Requires greatest amount of unit coordination
- Greater risk of delayed implementation of processing improvements
- Requires high peak number of resources for development, testing, change management and other coordination activities
- All units experience the defects and issues resulting from the implementation

2. Rationale for Selection

The primary factors considered in the selection of a technology implementation approach include:

- *Speed to Implementation* – The elapsed time to complete implementation of the solution for selected units of the DLA and the elapsed time to complete implementation for the entire DLA.
- *Timing of Benefits* – The amount and elapsed time from project initiation until benefits of the integrated platform occur.
- *Business agility* – The extent the solution provides flexibility and speed to adapt to business changes within units of the DLA, to establish new units or to modify existing units of the DLA.
- *Technology agility* – The extent the solution provides flexibility and speed to adapt to technology changes within the DLA, State, or marketplace.
- *Integration Complexity Reduction* – The extent the solution reduces complex or time-consuming interim integrations between the new solution components and components of the old solution.
- *Data security and protection* – The extent the solution maintains and enhances data security and data protection of DLA managed data.
- *Overall Implementation Cost* – The total cost to implement a solution.

- *Risk* – The level of risk that is attributable to a solution.
- *Business Disruption* - The extent of business disruption to units within the DLA. This considers the total amount of time, the number of times, and the percent of a unit's resources that spend time on the implementation of a solution.
- *Rework* – The number of resources spent on rework and change to interim or existing components during the implementation of the solution.
- *Change Management* – The amount of organizational change management required to implement a solution.

Exhibit VI 9: Solution Implementation Approach Factors below depicts the alignment of each implementation alternative with the alternative selection rationale criteria.

Evaluation Criteria	Implement by Technology Component	Phased Implementation of Integrated Platform	Implement by Business Function	Big Bang Implementation
Speed to implement				
Timing of Benefits				
Business agility				
Technology agility				
Integration Complexity				
Data security and protection				
Overall Implementation Cost				
Risk				
Business Disruption				
Rework				
Change Management				
Legend				
Solution alignment	**Best**	**Some**	**Slight**	**None**

Exhibit VI-9: Solution Implementation Approach Factors

Below is analysis for each of the implementation approach factors.

- *Speed to Implementation* – The implement by technology component approach implements specific technology components faster than other approaches. The phased implementation of integrated platform strategy should implement the integrated platform of all new technology to select business units and full implementation to all business units faster than other approaches. The implement by business process would cause the slowest full implementation. The big bang implementation approach is the slowest to implement components to any unit.
- *Timing of Benefits* – The implement by technology approach is the first to cause benefits to occur. The phased implementation of integrated platform strategy gets the most benefits faster than other approaches. The implement by business process and big bang implementation has long periods until benefits occur.
- *Business agility* – The phased implementation of integrated platform provides the best agility because it establishes the new integrated platform that can be used to establish new units or change processing of business units the soonest. The big bang implementation approach provides the least agility because it requires a freeze of business change during design and development that precedes implementation and is the slowest to implement for any units.
- *Technology agility* – The implement by technology component provides the most technical agility allowing change of technical components before, during, and after integration with new platform. The phased implementation of integrated platform also provides a high level of technology agility because once integrated to the new platform technology, the DLA can make changes easily.
- *Integration Complexity Reduction* – The phased implementation of integrated platform simplifies integration the most. The initial work to establish the integrated platform and then repeated roll-out of the integrated platform eliminates most integration with legacy components while the legacy components are being used by a unit.
- *Data security and protection* – All of the solutions will maintain data security and protections. The implement by technology component and implement by business process require slightly more work to maintain security levels because they cause a mix of new and legacy security capabilities and processes to be in use concurrently.
- *Overall Implementation Cost* – The big bang implementation conceivably could be the lowest implementation cost if the costs of unit governance and requirement agreement are small. The phased implementation of integrated platform is lower than the other options because it has reduced integration costs with legacy components.
- *Risk* – The big bang implementation approach would be the riskiest. The phased implementation of integrated platform reduces risk by doing integration once and using multiple phases to limit impact and to build on lessons learned from earlier implementation phases.
- *Business Disruption* - The big bang and phased implementation of integrated platform create low business disruption because the business only engages in design and implementation activities once. The other approaches require repeated engagement of business units as additional technology components are implemented or additional business functions are implemented.
- *Rework* – The implement by technology component and implement by business process have the most rework because they require more integration with legacy solutions and rework to shift to the new components.
- *Change Management* – The implement by technology component and implement by business process require the most change management because they have repeated integrations with business units as components are implemented and integrations change. The big bang

implementation approach has more change management than the phased implementation because it requires more resources to concurrently support DLA wide change.

3. Recommended Technical Solution

The recommended approach to modernize the DLA technology platform is to use a phased implementation of the fully integrated platform. The first step is to implement new replacement technology components and integrate those replacement components to create a new integrated DLA processing platform. Prior to rollout to DLA units the implementation team validates the integration of new components including:

- LawBase Legal Matter Management System processing platform with the new ECM OnBase solution
- Case processing platform with CRM platform
- Case processing platform with Microsoft Office 365 products

Migration from the legacy Notes-based processing platform to the new DLA processing platform would occur using a phased rollout. The migration phases include a pilot group of units followed by three subsequent implementation phases to remaining units. Work performed in each implementation phase includes design, configure and testing of unit specific business rules and processing in the new integrated platform.

The implementation process migrates or converts unit data to the new integrated platform and trains users to use the new DLA platform. Following the phased rollout of the new processing platform, the team would implement the added advanced capabilities (e.g., Analytics, eDiscovery) followed by common administrative (e.g. HR, Accounting) capabilities.

The benefits of creating the new integrated platform and then rolling out the platform in three phases are:

- DLA will quickly have a platform that supports rapid establishment of new business units or types of processing, if needed
- The pilot implementation phase will identify and resolve issues and implement unforeseen opportunities that benefit units in subsequent implementation phases
- Units that follow the pilot phase are able to leverage processes defined by earlier units increasing processing consistency
- Phased roll-out reduces overall business disruption compared to a big bang
- Provides additional scheduling flexibility for units to implement at non-peak business periods
- Phased implementation allows units without data migration and complex data conversion issues to use the system in early phases

D. Proposed Solution Description

1. Summary Description of Proposed System

The proposed solution to replace the IBM Notes/Domino platform will include the following components:

Legal Matter Management System (Case Management) Processing Platform – The case management processing platform replaces all custom developed Notes/Domino case management processing. The case management processing platform will support unit specific configuration of pages, field labels, dropdown values, data entry validation rules, business rules and workflows. Users will use browser-based pages of unit specific configurations and implementation for data entry, maintenance validation, configuration, business rules engine determinations, and workflow processing

management.

Customer Relationship Management (CRM) Platform –Customer representatives use the CRM platform to record and manage interactions with the public. The platform manages customer contact information, contact history, and provides tools to start interactions with the DLA and support case status inquiry. Customer relationship management platform capabilities may be available with the case management processing platform potentially providing simplifying integration.

Analytics and Reporting – The Analytics and Reporting solution provides dashboards, standard reporting, ad-hoc reporting, and drill down reporting and descriptive reporting capabilities primarily about DLA case data.

eDiscovery – The eDiscovery process is a search and analysis tool to identify relevant content, documents, records, and evidence related to a case.

Exhibit VI-10: Proposed Implementation Roadmap for the New Integrated Platform shows the Gantt chart of the proposed implementation approach. This approach shows pre-DDI activities that elaborate requirements and perform procurements of the specific technology component solution of the new integrated platform.

This plan depicts implementation to DLA units occurring in three phases staggered over a period of two and a half years. The units included in the first phase will be those units that have limited data conversion requirements. Later phases configure and implement the new integrated platform to business units that have more complexity or increasing data conversion complexities to migrate from the existing systems. Examples of more complex data migrations might include units that have multiple replicas, data conflict and values that conflict with values of other units.

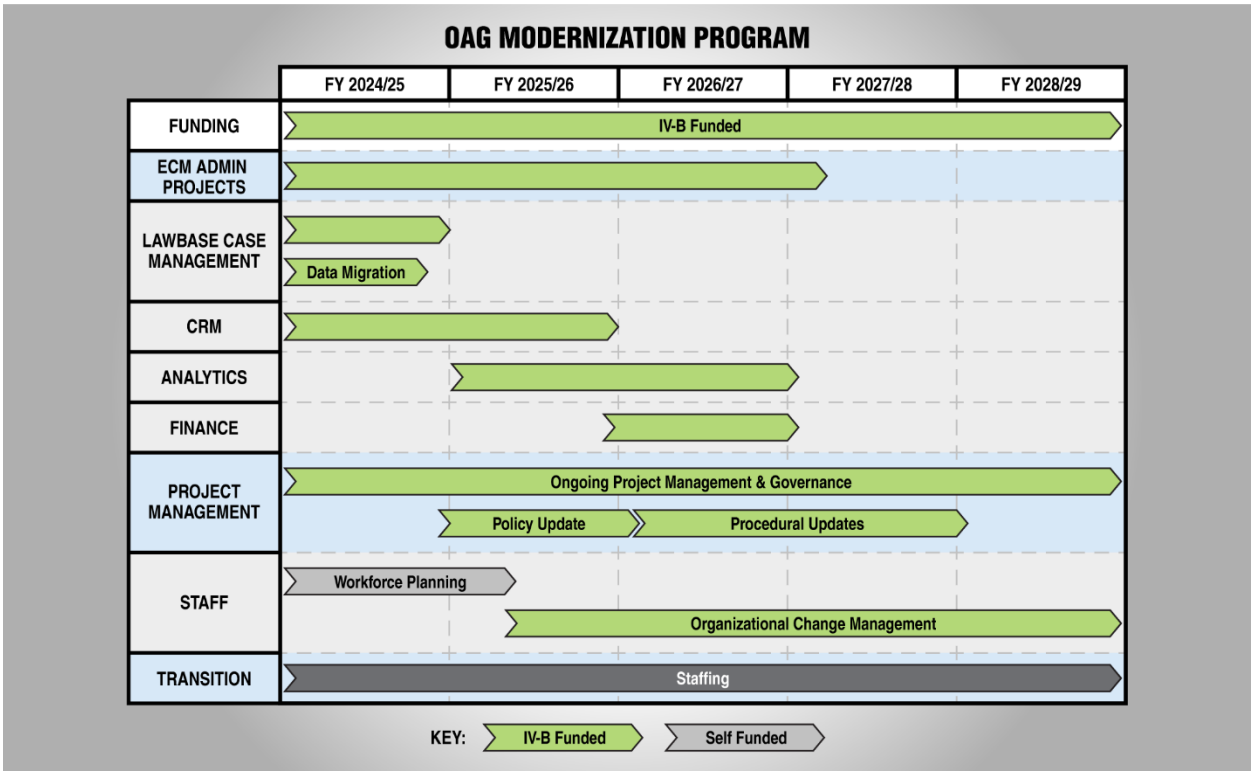

Exhibit VI-10: Proposed Implementation Roadmap for the New Integrated Platform

2. Requirements for Proposed Solution

Technical Requirements are those items needed to support and operate the information technology processes of the DLA. The requirements specify capabilities and processes the solution must support, from a technical perspective, to meet the DLA's technical environment needs.

Technical Requirements

- The system must be operable and available 24x7.
- The system must use defined data standards (e.g., consistent data schema, data elements, data class, field lengths, data tables, viewing naming conventions).
- The system must provide the ability to associate supporting documentation (e.g., scanned documents) with a case record.
- The system must use market relevant vendor supported software technologies and versions (e.g., programming languages, application frameworks, hosting models).
- The system must support the ability to perform ongoing maintenance and modifications using configuration tools that are part of the solution or extensions using programming languages used by the DLA.
- The system must be upgradeable to vendor supported hardware versions.
- The system must expedite the ingestion of documents and electronic system information. (e.g., same-day or hours).
- The system must use a data model that enforces referential integrity.
- The system must provide a mechanism for recording and viewing system errors and warnings.
- The system must provide a mechanism to alert the system administrator when definable performance and storage thresholds are exceeded.
- The system must allow for maintenance and support activities to be carried out while the application and supporting systems are online (e.g., "Hot" backup procedures).
- The system must provide the ability to report on interface transmissions (e.g., total number of records loaded, date of interface transmission, amount of time to execute the interface transmission, errors, and failures).
- The system must include tools for monitoring and reporting capacity for all system components.
- The system must include tools for monitoring and reporting performance for all system components.
- The system must include tools for customizing the system (e.g., adding functionality, modifying existing functionality, modifying configurable settings).
- The system must support the latest encryption standards for the transmission of data.
- The system must provide the ability to send the scanned data through multiple methods (e.g., FTP, web-service).
- The system must provide data security to meet electronic privacy and regulations.
- The system must provide approved end-users with authorized access to data and system resources.
- The system must provide the ability to generate reports based on report specific user-defined parameters.
- The system must provide the ability to search for
- a range of data values.
- The system must provide the ability to uniquely identify users by User ID.
- The system must limit a user's access to reports based on the user's security profile.
- The system must provide the ability to issue notifications or restrictions as reminders to users

to key in required fields.
- The system must record and archive logs of system usage.

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

1. IBM Lotus/Notes Database Usage and Growth

The DLA is upgraded the IBM Lotus/Notes platform to the cloud-based HCL Notes platform. The IBM Lotus/Notes platform requires 21 servers to process data from the CMS and CRM applications. The cloud-based HCL Domino platform requires 15 servers. This results in a reduction of 6 servers. **This upgrade was completed during October 2023.**

The Exhibit VI-2: IBM Lotus/Notes Database Count and Storage Requirements in terabytes (TB) is shown below.

IBM Lotus/Notes Database	# of Databases	# of Terabytes (TB)	Projected Growth (TB per Year)
Case Management System (CMS)	298	3.80	.50
Customer Relationship Management (CRM)	87	.65	.25
Totals	**385**	**4.50**	**.75**

Exhibit VI-2: IBM Lotus/Notes Database Count and Storage Requirements

Growth Rate

IBM Lotus/Notes databases grew at approximately .75 terabytes per year. The current infrastructure now supports continued operation in the Azure Cloud.

VII. Schedule IV-B Project Management Planning

The following section includes the DLA's project management plan and any associated planning tools/documents that will be used for the OAG Modernization Program, which includes numerous projects.

A. Program Charter

The program charter establishes a foundation for the program by ensuring that all participants share a clear understanding of the program purpose, objectives, scope, approach, deliverables, and timeline. It serves as a reference of authority for the future of the program. It includes the following:

1. Program Name

This overall activity is referred to as the OAG Modernization Program. Several projects exist within this program.

2. Purpose

The purpose of the OAG Modernization Program is to select a technology solution and vendors to modernize the business environment at the Florida Department of Legal Affairs (DLA) that will meet the DLA's strategic objectives by implementing modern system functions and infrastructure over a three-year period, with the year prior to IV-B funding (referred to as "year 0") scheduled for Pre-Design, Direction,

and Implementation (DDI) activity. This will be done through multiple procurements to replace specific products with Commercial-Off-the-Shelf (COTS) products.

The tangible benefits for the OAG Modernization Program can be broken down into six different categories:

Organizational Effectiveness

- Improve Data Sharing between Business Units

Data Quality/ Access/ Duplication

- Reduce Duplicate Entry
- Reduce Employee Time Extracting Data

Operational Efficiencies

- Reduction in Archiving Costs
- Efficiency Gains from Document Assembly and Court e-Filing
- Efficiency Gains from Mobile Computing

Improved Knowledge Management

- Transfer Institutional Knowledge from Workforce to Systems
- Reduce Training Time
- Reduce Employee Onboarding Costs

Administrative/IT Efficiencies

- Improved tools that increase the ability to support Business needs
- Increase Data Security and Protection
- Efficiency Gains from Tracking/Invoicing/Collections
- Efficiency Gains from Leveraged IT Staffing

Operational Responsiveness

- Quicker Turnaround for Public Records Request
- Increased efficiency within Citizen's Services

In addition, there are four intangible benefits of the OAG Modernization Program:

- Improve Accuracy and Completeness of Public Records
- Improve IT Security Conditions
- Improve Crisis Reaction Time
- Improve Staff Recruitment/Retention

3. Objectives

The DLA's Information Technology Division, in partnership with North Highland, created a list of overall objectives for the ITMP. The DLA defined and updated their business and technology objectives to be addressed as part of the modernization effort in the OAG Modernization Program. The objectives will be used to assess the viability of replacement options, future implementation schedules, and to ensure any future system and implementation strategy aligns with the needs of the DLA.

Objectives include:

- Move away from a Lotus Notes Development Shop to a COTS system
- Pursue agency-wide solutions
- Pursue a best-of-breed approach to new technology

- Replacement of SIRE with OnBase, an agency-wide ECM system that covers both current casework and closed case archiving, has completed during ITMP **Phase 1 – ECM Implementation**
- Provide a unified case management system that allows sharing of information
- Increase eDiscovery and analytics capabilities
- Provide a system with customer relationship management systems
- Modernize financial and administrative processes

4. Individual Projects

The enhancement/replacement of DLA's business system will encompass specific and clearly defined projects which will include:

- Attorney and Legal Staff Time Tracking & Billing Project
- Integrated Case Management System Transformation Project
- Customer Relations Management (CRM) Implementation Project
- Analytics Project
- Finance Support System Project
- Administrative Support System Project

In addition, there are several items that will not be considered full projects but will be structured activities necessary for completion of the program. They include:

- Ongoing Project Management and Governance Activity
- Policy and Procedure Updates Activity
- Workforce Planning Activity
- Organizational Change Management Activity

The program is envisioned to include a phased rollout of technical and functional capabilities. Many projects will happen simultaneously or overlap at points.

The DLA will invest internal resources and funds to begin several of these projects prior to the first official year (FY 2024-25) of funding requested in this IV-B. These activities will accelerate the implementation timeline and allow benefits to be achieved sooner. Prior to the first year of funding the DLA will identify and establish the program management and governance structures, business process re-engineering activities and organizational change management. Activities providing ongoing control, monitoring, support, and staff for the overall program will be established prior to starting individual projects implementation. This allows the DLA to establish a sound foundation to effectively manage the program.

5. Management Methodology

The preferred management methodology used by the DLA is based on the PMI's Project Management Framework. The Program Director or Executive Sponsor may consider changes to the methodology at any point, as deemed appropriate, including the use of Agile methodologies that focus on customer satisfaction through the early and continuous delivery of working software, close cooperation between business users and software developers, quality improvement, and continuous attention to technical excellence and good design.

Regardless of the specific program management methodology employed, management and control mechanisms along with appropriate project artifacts will be relevant to all projects including:

- Program Charter
- Project Charters
- Project Contracts

- Program Management Plan
- Baseline project schedule
- Program Change Management
- Program Issues Management
- Program Risk Management
- Financial Management
- Reporting

The use of the program control framework indicated above, together with the application of the Program Management Plan, will assist both the Program Manager and the Executive Sponsor in planning, executing, managing, administering, and controlling all projects of the program. Control activities will include, but may not be limited to:

- Monitoring program progress: identifying, documenting, evaluating, and resolving project related issues that may arise
- Reviewing, evaluating, and making decisions with regard to proposed changes: changes to project scope will be tightly controlled according to a documented change management process which includes a formal request along with a stakeholder review and approval process
- Monitoring and taking appropriate actions with regard to risks as required by the risk management plan
- Monitoring and tracking issues as required by a documented issue reporting and management process
- Monitoring the quality of program deliverables and taking appropriate actions with regard to any program deliverables that are deficient in quality
- ITMP project artifacts will be analyzed and reused if applicable

6. "Year Zero" Pre-Work

The DLA allocated significant resources to setting the stage for a successful ITMP. The DLA established the Program Management Office, performed all the initial requirements definition and procurement activities to allow for the ECM solution to be purchased as soon as July 2018. These activities along with several others would have allowed for the DLA to complete the project within 3 years (starting July 2018).

The failure of the ITMP **Phase 3 – CMS/CRM Implementation** has placed the DLA in a position to capitalize on lessons learned and continue the efforts to complete remaining ITMP goals through the OAG Modernization Program.

Some of the activities to be completed in this "Year Zero" include:

- Update previously developed PMO templates, process, and organizational structure procurement
- Continue workforce planning
- Continue communications planning
- Complete activities leading to the procurement of a Legal Staff Time Tracking & Billing system

The table below summarizes the activities to support the future modernization effort:

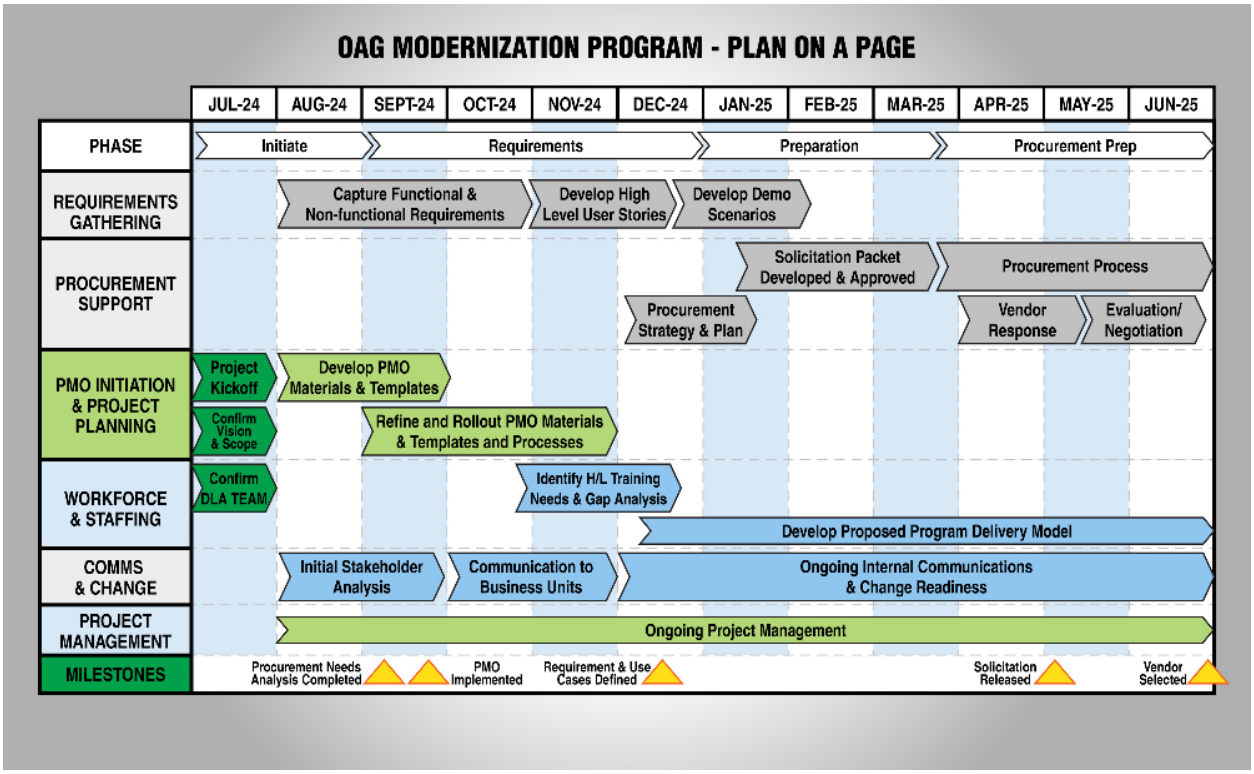

Exhibit VII-1: OAG Modernization Program Activities – Plan on a Page

7. Deliverables

The following table contains a preliminary list of program deliverables. The final deliverables list, which will include acceptance criteria, will be developed in conjunction with the selected systems implementation vendor(s) and will be appropriate to the technology solution chosen.

Name	Deliverable Description
Program Level	
Program Management Status Reports	Weekly status reports to program management team.
Risk and Issue Registers	Prioritized lists of risks and issues identified and reviewed during the course of the program.
Meeting Minutes	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 DLA's Legislative Budget Request for follow on projects.
Program Charter	Issued Executive Sponsor that formally authorizes the existence of the project and provides the Program Manager with the authority to apply organizational resources to program activities.

Program Management Plan	Includes the following documents as required by the DLA Program Director and/or the PMO: • Work Breakdown Structure • Resource Loaded Project Schedule • Change Management Plan • Communication Plan • Document Management Plan • Scope Management Plan • Quality Management Plan • Risk Management Plan • Risk Response Plan • Issue Management Plan • Resource Management Plan • Conflict Resolution Plan • Baseline Project Budget
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. The process flows are developed using standard business process notation. This document should include narrative descriptions of key activities, including owners, inputs, and outputs.
Organizational Change Management (OCM) 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 OCM for the project.
OCM Status Reports	Weekly status reports to program 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.
Project Level	
Program Management Status Reports	Weekly status reports to project management team.
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 program and identifies action plans to remedy any lack of readiness.
Data Migration Plan	Plan for migration of data from existing systems to new databases (as required).
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 system agency wide.
Knowledge Transfer Plan	Based on a gap analysis, this plan will detail the steps taken to transfer knowledge about the system to the resources that ultimately will be responsible for 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.

Exhibit VII-2: Project Deliverables

8. Milestones

It is anticipated that the OAG Modernization Program will be managed according to the following milestones. Go/No-Go checkpoints may be added to the program schedule, or individual project schedules where appropriate based on the chosen solution. Checkpoints will require Executive Sponsor sign-off prior to commencing the next activity.

Milestone	Deliverable(s) to Complete
Legislative Approval	Updated Schedule IV-B
Project Kick-Off	Project Charter
Project Management Documents Completed	Various (See deliverable list)
Business Process Analysis Completed	As-Is Business Process Flows To-Be Business Process Flows
Acceptance of Functional and Technical Requirements	System Requirements Document Public Assistance Requirements Document
Project Management Documents Completed	Various (See deliverable list)
Acceptance of Validated Requirements	Validated Functional Requirements Document
Acceptance of User Interface Prototypes	User Interface Prototypes
Acceptance of Functional and Technical Design Specifications	Functional and Technical Design Specification documents
User Acceptance Testing Completed	Sign Off
End User Training Completed	On-site training sessions Training materials
System Deployment	Functional system released into production
Project & Project Close-out	Lessons Learned Knowledge Transfer Contract Compliance Checklist Project Close-out Checklist

Exhibit VII-3: Project Milestones and Go/No-Go Decision Points

9. Change Request Process

Projects of this magnitude should expect change as the program progresses through the design, development, and implementation projects. All change requests will be formally documented and validated by the PMO and the Change Control Board (CCB), which will be comprised of key project stakeholders according to the Change Management Plan. Once validation has occurred, the appropriate

stakeholders will assess the change, determine the associated time, and cost implications.

Upon acceptance of the change request and its validation by the PMO, the tasks to implement the change will be incorporated into the program plan and a project change order will be initiated. A priority will be assigned, and the request will be scheduled accordingly. Exhibit VII-4 illustrates the proposed change request process.

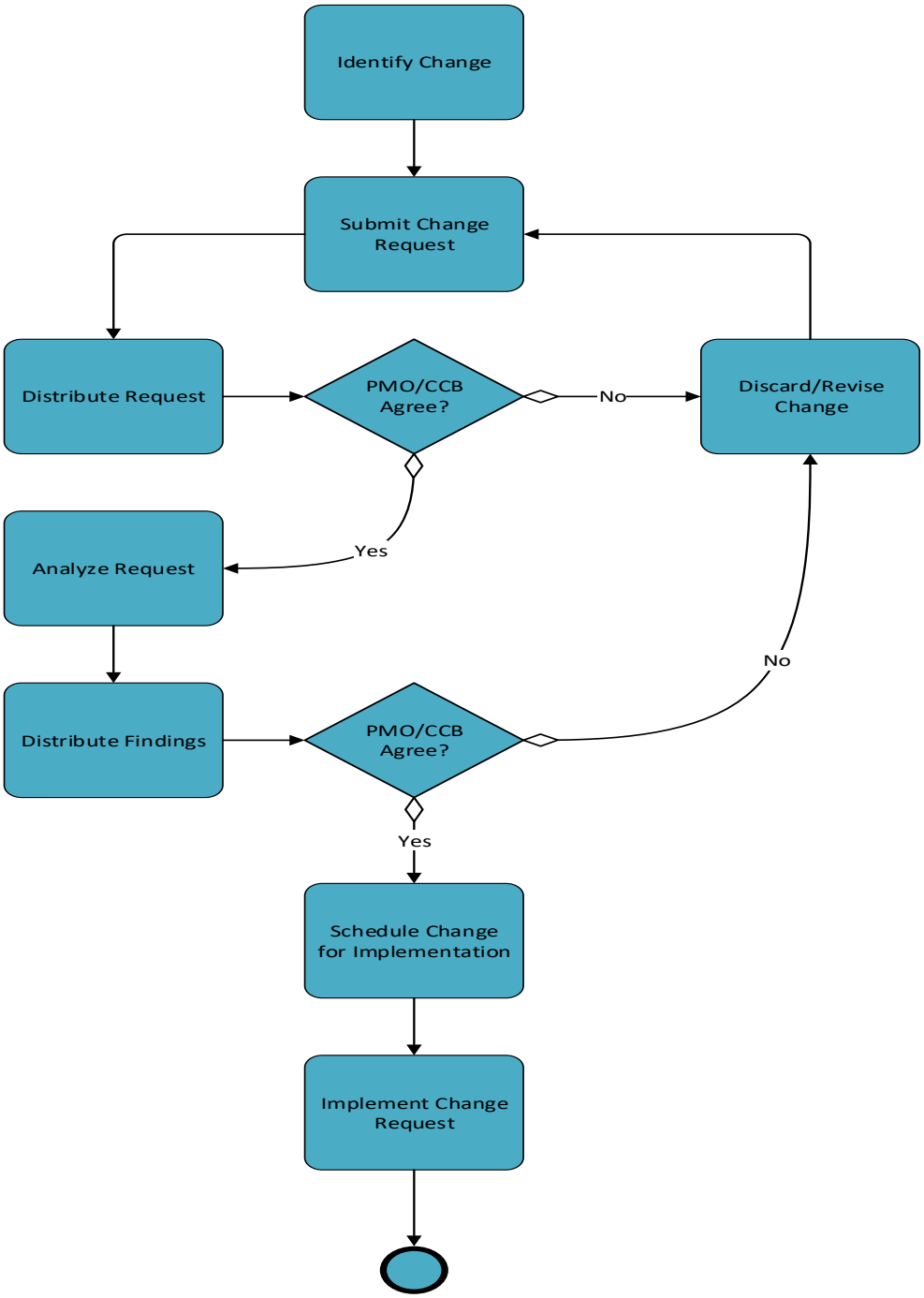

Exhibit VII-4: Proposed Change Request Process

B. Schedule

The actual program schedule will be highly dependent upon the business need priority, technical complexities, and solutions available. The development of the actual program schedule will be the responsibility of the DLA Program Manager and implementation vendor(s). The figure below represents the high-level program schedule that reflects the planned five-year approach to the enhancement or replacement of the system.

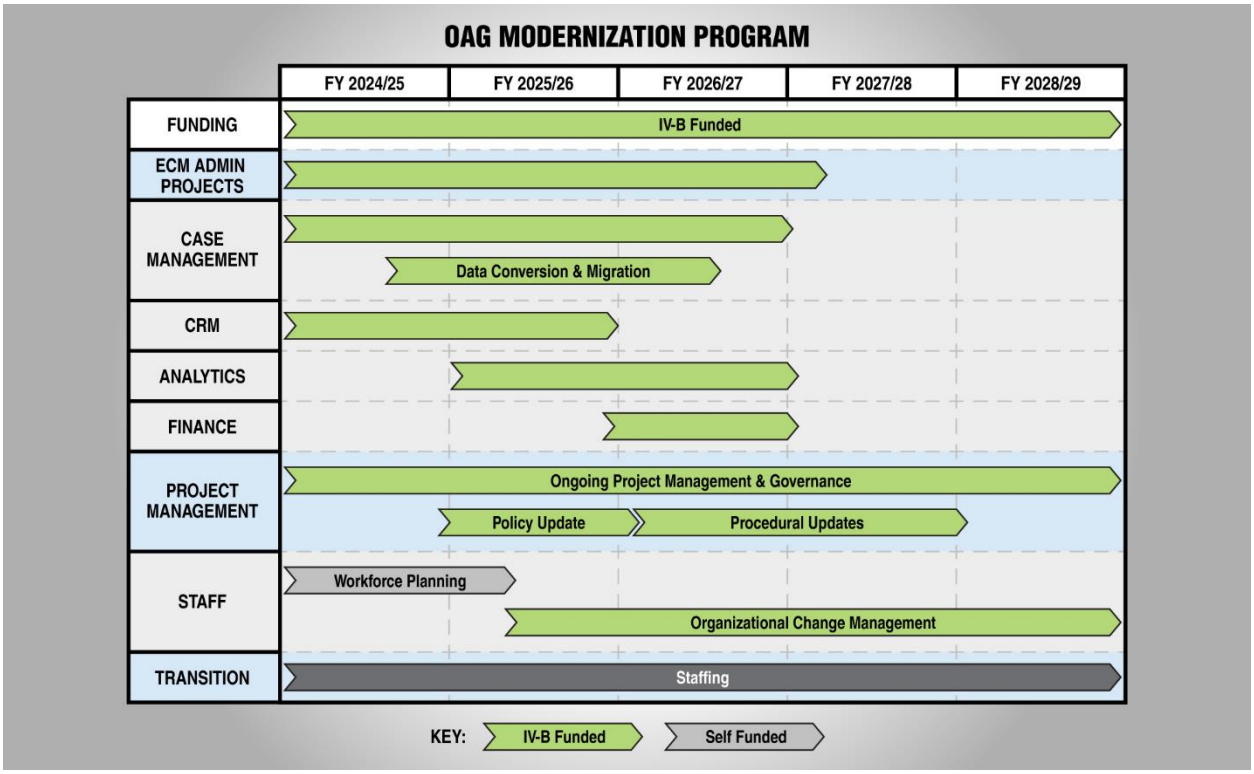

Exhibit VII-5: OAG Modernization Program Roadmap – Plan on a Page (5yr)

C. Organization

The Program Management Team will be headed by the DLA Program Director and will include the Vendor Program Manager. This team will be responsible for day-to-day oversight of the program. Individual Projects will also be organized to ensure all objectives are met.

1. Program Organization

For a program of this size and duration, the DLA will implement a Program Management Office (PMO) to create program management plans, monitor program issues and risks, and provide general support to the Program Director throughout the project.

The program business stakeholders include seasoned DLA staff from the program's core business areas. These key stakeholders will be instrumental in the design, development and testing of the new business system and will assist in the review and approval of all program deliverables.

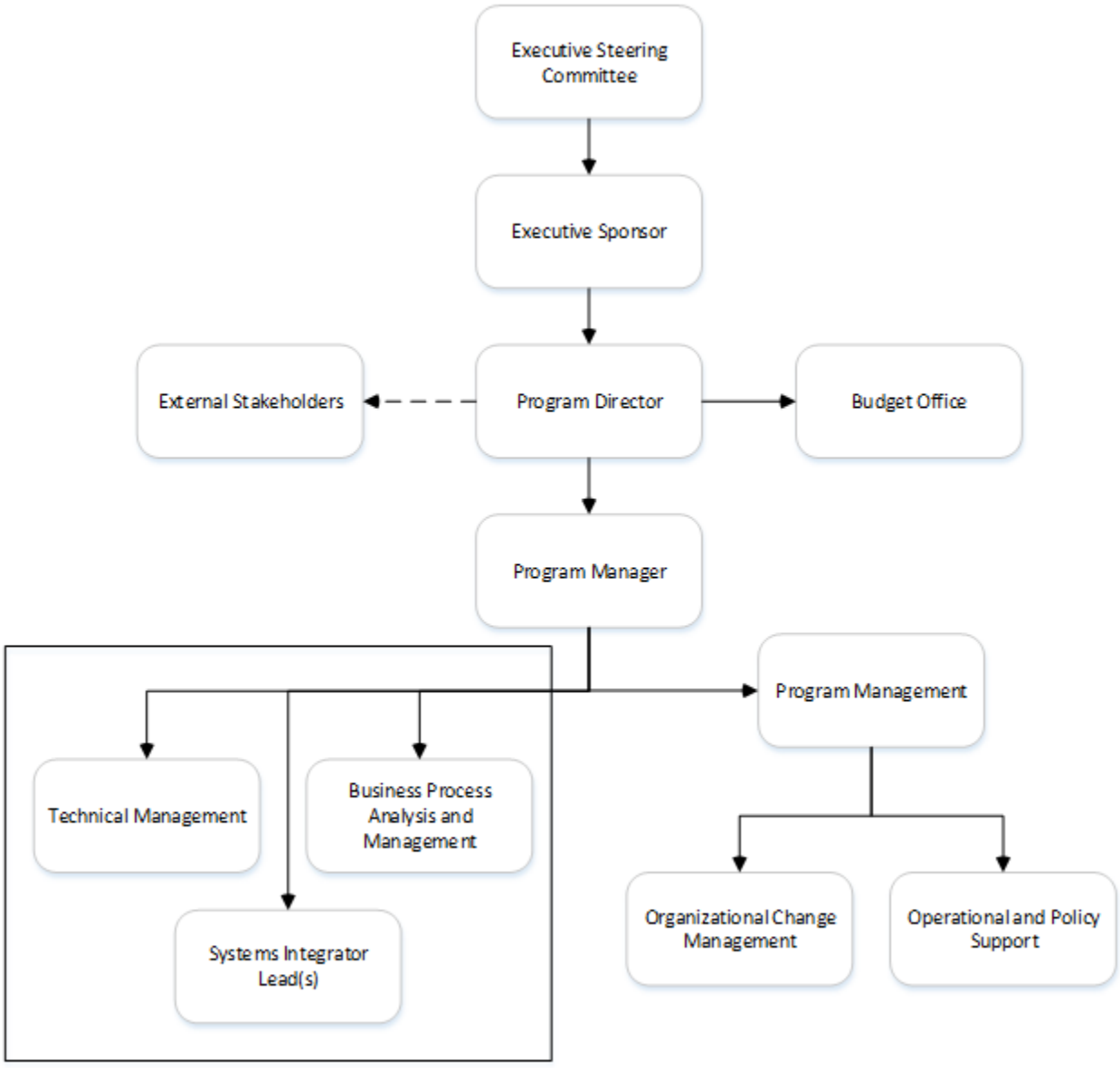

Exhibit VII-6: Proposed Program Organization

2. Typical Project Organization

An implementation with multiple projects will be organized as a Program with a Program Manager that reports to a Program Director. It also includes a Program Budget Officer and an individual Systems Integrator/Project Manager for each project. The project teams will lead the day-to-day implementation of each project and communicate with the Program Management Office.

The following table identifies roles in the program organization and a summary of their responsibilities.

Role Name	Description	Assigned To
Executive Sponsor	• Provides executive oversight to the program • Acts as final escalation for all issue resolution • Directs governance	TBD
Program Business Sponsor	• Has programmatic decision-making authority • Champions the program within the customer's organization • Provides guidance on overall strategic direction • Provides business resources for program success • Has responsibility for successful development and implementation of the program	TBD
Program IT Sponsor	• Has IT decision making authority • Champions the program within the customer's organization • Provides guidance on overall strategic direction • Provides IT resources for program success • Has responsibility for successful development and implementation of the program	TBD
Program Budget Officer	• Controls program budget • Provides budget related input into program scope and contract change decision making process	TBD
Program Director	• Has overall responsibility • Oversees the development of the program • Oversees the development of the Program Management Office • Liaison with IT Sponsor for resources	TBD
Program Management Office	• Responsible for day-to-day program oversight • Provides overall guidance and direction to the System Integrator • Coordinates with the Program Director for resources • Works with System Integrator Program Manager to ensure stakeholder needs are met • Has daily decision-making authority • Oversees and manages program plan • Facilitates the Business Stakeholders Committee • Coordinates program resources, budgets, and contract management • Reviews and provides feedback on program deliverables • Responsible for program management areas including scope, risk, quality, and change control • Coordinates program status communications • Liaison with external agencies as needed	TBD
Program Business Stakeholders Committee	• Provides input on functional requirements • Participates in program user group meetings and sessions • Provides input on program activities • Reviews and comments on program documents and deliverables	TBD

	• Disseminates program information and updates to local internal/external stakeholders	
Program Manager	• Has responsibility for the successful implementation of the projects • Oversees the Systems Integrator(s) implementation of each project • Communicates with Program Director and Executive Sponsor • Liaison with Program Business Sponsor for business resources and day-to-day activities • Liaison with Program IT Sponsor	TBD
Project Budget Officer	• Controls project budget • Provides budget related input into project scope and contract change decision making process • Liaisons with Program Budget Director	TBD
Vendor Project Manager	• Reports to the Contract Manager • Works with the Program Management Office to seek guidance and direction • Responsible for systems program management activities • Leads the planning and development of project deliverables • Develops and manages the project schedule and associated tasks • Maintains all project documentation including detailed project plan • Ensure adherence to the process and project management standards and guidelines • Responsible for project management areas including scope, risk, quality, and change control • Prepare formal project reports and presentations • Ensure deliverables conform to the DLA standards • Facilitate project related meetings as required	TBD

Exhibit VII-7: Program & Project Organization Members - Roles & Descriptions

D. Quality Control

The program will follow the PMO guidelines delineating timeline, budget, and quality specifications for each deliverable. Each deliverable will be assigned detailed acceptance criteria in the program contract. Quality will be monitored and controlled by the individual Project Management Teams and deliverables will be accepted only when
acceptance criteria have been met.

The PMO will provide oversight and assistance to the entire Program Team to ensure that standards are followed.

Program Area	Description
Testing Management	If applicable, the vendor will follow the established standards of the DLA PMO for Testing Management. This includes unit testing, integration testing, system testing, load testing, and user acceptance testing.
Approval	All deliverables will require individual stakeholder approval and sign-off upon completion of the final draft.
Software Configuration Management	If applicable, the vendor will follow the established standards of the DLA PMO for Software Configuration Management. This includes Stakeholder sign-off, documentation, and version control.
Contract Management	The DLA PMO will be involved in contract management. All contracts must pass executive and legal approval. In addition, external project oversight will be required for contract negotiation.

Exhibit VII-8: Quality Standards by Individual Project Area

In addition to these formal areas of quality control, the following practices will be maintained during the life of the program.

- Peer reviews of artifacts
- Program team acceptance and approval
- Periodic program team meetings
- Program status meetings
- Periodic vendor, contract manager, program manager and program team meetings
- Change control management processes, including the creation of a change review and control board that provides representation for all affected stakeholders
- Contract manager and the DLA Program Director acceptance and approval
- Maintain detailed requirements definitions under configuration management
- Defined test plan with standard levels of technical and acceptance testing
- Risk Management and Mitigation

Quality will be monitored throughout the program by the PMO. Multiple levels of acceptance by all stakeholders will be built into the process to ensure program quality control.

E. Risk Management

The purpose of risk management is to identify the risk factors for the project and establish a risk management plan to minimize the probability that the risk will negatively affect the project.

The project management methodology chosen for this project will include processes, templates, and

procedures for documenting and mitigating risk. Formal risk analysis, tracking, and mitigation will be ongoing throughout all projects of the program. Risks are actively identified, detailed, and prioritized. Mitigation strategies are developed. Risks are tracked, mitigated, and closed throughout the lifecycle. A source of risks for the project would include items from the Risk Assessment in Section V of this IV-B Feasibility Study that were rated High, and should be mitigated in the first year of the project.

1. Risk Management Plan

All projects of the program will follow the standards defined by the PMO. Standards include processes, templates, and procedures for documenting and mitigating risk. Formal risk analysis, tracking, and mitigation will be ongoing throughout all projects. Risks are actively identified, detailed, and prioritized. Mitigation strategies are developed.

Risks are tracked, mitigated, and closed throughout the lifecycle.

A Risk Management Plan (RMP) will be developed and adhered to throughout all projects. The RMP will include clear risk management procedures including standard checkpoints and mitigation strategies. Execution of a well-defined RMP with clear mitigation strategies for each risk is critical to the success of the IT Modernization Program. The purpose of risk management is to identify the risk factors for each project and establish a risk management plan to minimize the probability that the risk will negatively affect the program. It is recommended that the following checkpoints be followed during the program:

Task	Recommendation
Risk Management Plan	Have planned semi-annual reviews and updates after the submission and approval of the Risk Management Plan with the Program Director and Executive Sponsor. More frequent or "as required" updates should be performed.
Risk Management Reviews	As part of a disciplined approach to addressing program risks, monthly Risk Meetings should be conducted during the program lifecycle.

Exhibit VII-9: Program Risk Checkpoints

F. Organizational Change Management

Effective Organizational Change Management (OCM) will be integral to the success of this program and will be a critical success factor for ensuring staff participation in business process improvement, implementation, and user acceptance. Significant organizational change is expected as a result of automating existing manual processes. Throughout the DLA, OCM will be effectively implemented through communication, awareness, and training. While much of the organizational change management will occur at the program level, at the individual project level there will be unique activities in each project that will require special consideration. As such, there must be continuous communication between the Program Management Team and the individual project teams on the issue of organizational change management.

A specific OCM methodology has not been identified at this Program but will be identified in the Organizational Change Management Plan.

At a minimum, the following will be included in the final Organizational Change Management Plan:

- Description of roles, responsibilities, and communication between vendor and customer
- To-be process maps including a role-oriented flowchart (swim lane view) of the organization
- Skill/Role gap analysis between the existing system and the proposed system
- Training plan including platform (classroom, CBT, etc.), schedule, and curriculum

- OCM Communication Plan

The following key roles will have varying degrees of responsibility for executing the change management plan and delivering a consistent, positive message about change throughout the life of the program:

- Organizational Change Manager (a member of the program management team dedicated to OCM)
- Program Director
- The DLA Program Manager
- Executive Sponsor
- The DLA Executive Steering Committee

All projects of the program will use communication methods proven to be effective on large-scale business modernization programs and will follow the standards developed by the PMO. These will include a communication plan, a formal project kick off meeting, status meetings, milestone reviews, adoption of methodology in defining roles, responsibilities and quality measures of deliverables, regular status reports, regular review and evaluation of program issues and risks, periodic program evaluation, regular system demonstrations and reviews, and a program artifact repository.

Disseminating knowledge among stakeholders is essential to the program's success. Executive Sponsor and Program Director, core program team members, and key stakeholders must be kept informed of the program status and how changes to the status affect them. The more people are kept informed about the progress of the program and how it will help them in the future the more they will participate and benefit.

At this time, the specific communication needs of program stakeholders and the methods and frequency of communication have not been established. A high-level Program Communication Plan will be completed during year zero.

VIII. Appendices

The following supporting documents are included as part of the feasibility study:

Appendix A – Cost Benefit Analysis Tool

Appendix B – Risk Assessment Tool

Appendix C – Reference Reports

A. Cost Benefit Analysis Tool

The following embedded document represent Appendix A - IT-Schedule IV-B Cost Benefit Analysis FY 24-25 for OAG Modernization Program.

Appendix A - Cost Benefit Analysis.DLA

B. Risk Assessment Tool

The following embedded document represent Appendix B – IT-Schedule IV-B Project Risk Assessment for OAG Modernization Program.

Appendix B - Risk Assessment Tool.Sch

C. Reference Reports

Cost of a Data Breach 2024 by IBM Security

Cost of a Data Breach Report_2024.

Cost of Capital by Sector 2024 by New York University

NYU Cost of Capital by Sector 2024 Repo

SCHEDULE IV-B FOR OAG MODERNIZATION PROGRAM

For Fiscal Year 2025-26

June 2024

FLORIDA DEPARTMENT OF LEGAL AFFAIRS

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I. Schedule IV-B Cover Sheet

Schedule IV-B Cover Sheet and Agency Project Approval	
Agency: Florida Department of Legal Affairs	Schedule IV-B Submission Date: October, 2024
Project Name: *DLA OAG Modernization Program* (DOMP)	Is this project included in the Agency's LRPP? ____ Yes ____ No
FY 2025-26 LBR Issue Code: 36219C0	FY 2025-26 LBR Issue Title: Office of the Attorney General Modernization Program
Agency Contact for Schedule IV-B (Name, Phone #, and E-mail address): Susan "Renee" Nelms, 850-414-3414, Susan.Nelms@myfloridalegal.com	
AGENCY APPROVAL SIGNATURES	
I am submitting the attached Schedule IV-B in support of our legislative budget request. I have reviewed the estimated costs and benefits documented in the Schedule IV-B and believe the proposed solution can be delivered within the estimated time for the estimated costs to achieve the described benefits. I agree with the information in the attached Schedule IV-B.	
Agency Head: Printed Name: Attorney General Ashley Moody	Date:
Agency Chief Information Officer (or equivalent): Printed Name: Douglas Smith	Date:
Budget Officer: Printed Name: Susan "Renee" Nelms	Date:
Planning Officer: Printed Name: Douglas Smith	Date:
Project Sponsor: Printed Name: John Guard, Chief Deputy Attorney General	Date:
Schedule IV-B Preparers (Name, Phone #, and E-mail address):	
Business Need:	John Guard, 850-245-0180, John.Guard@myfloridalegal.com
Cost Benefit Analysis:	Sabrina Donovan, 850-414-3535, Sabrina.Donovan@myfloridalegal.com
Risk Analysis:	Douglas Smith, 850-414-3511, Douglas.Smith@myfloridalegal.com
Technology Planning:	Douglas Smith, 850-414-3511, Douglas.Smith@myfloridalegal.com
Project Planning:	Steven G. Ritacco, 850-414-3521, Steven.Ritacco@myfloridalegal.com

Executive Summary

Proposed DLA OAG Modernization Program

The purpose of this summary is to provide an overview of the proposed OAG Modernization Program for the Florida Department of Legal Affairs (DLA), the business case behind it, and the costs and expected benefits of implementing the program. Further details of the proposed DLA OAG Modernization Program can be found in the Fiscal Year 2024-25 Schedule IV-B – OAG Modernization Program.

Current IT Environment

DLA had been operating on the same technology systems and architecture for over twenty years. Like all law offices, DLA's business model is document intensive and governed by statues, court mandates, and other requirements of the legal profession. In addition, Florida Sunshine Laws require DLA to maintain, and have quick access to, the vast majority of documents they produce or interact with. This has become increasingly challenging in the current business and IT environments.

The previous program, Information Technology Modernization Program (ITMP), was funded by the Legislature during Fiscal Year 2019-20. The ITMP design, development and implementation was procured through an Invitation to Negotiate (ITN) and the contractor that was awarded **Contract K04834 ITMP System Integrator** was to deliver the ITMP in three phases.

Phase 1 – ECM Implementation involved replacing the SIRE Electronic Document Management System (EDMS) with an Enterprise Content Management (ECM).

The SIRE system was not designed to collect and categorize non-traditional data types and electronic system information (e.g., text messages, social network posts), which was becoming increasingly important in legal cases. This gap and limited standards for data classification created a risk of inadvertent disclosure of confidential or exempt information. The failure to identify and secure data may lead to accidental or intentional data breaches.

OnBase was chosen as the solution because it could scale up to handle the DLA's data consumption that had grown exponentially from 14 terabytes (approximately 164 million documents) to a projected rate of 1.5 terabytes per year.

Phase 1 - ECM Implementation was completed on time and within budget. The professional services and document conversion deliverables submitted, $4,469,551.00, and OnBase software licenses, $1.527,677.56, for a grand total of $5,997,228.56, were approved and subsequently paid by the DLA. OnBase was moved to production during 2020.

Phase 2 – Analysis conducted an in-depth analysis of the current case management system and customer relationship management systems to determine the scope of the ITMP.

DLA currently continues to use HCL Notes, recently upgraded from IBM Lotus/Notes, instead of the Microsoft based platform. This is an outdated technology that is no longer widely used by businesses today. The HCL Notes platform is not sufficient for today's business needs, and the databases do not meet functional requirements. In addition, it is extremely difficult to find developers with experience in HCL Notes.

Because of this antiquated system, DLA has had to rely on their IT staff to create in-house applications to solve short term business problems and this solution relies heavily on existing institutional knowledge and experienced managers who understand the processes and custom designed programs with little to no external support. Even more problematic, the obsolete technology forced DLA developers to duplicate databases over and over, in an attempt to maintain all needed functions for the entire agency in a rapidly expanding data environment. Currently, there are over 1,400 databases that were designed to accomplish slightly over 100 business applications. This business practice will become more and more untenable over time as experienced staff transition out of DLA in the coming years.

Phase 2 - Analysis was completed on time and within budget. The professional services deliverables submitted, $726,935.86, were approved and subsequently paid by the DLA.

Phase 3 – CMS/CRM Implementation design, development and implementation of a case management system and customer relationship management systems solutions and the data conversion of IBM Lotus/Notes database data.

During **Phase 2 – Analysis** the system integrator determined the best fit to develop these solutions would be Microsoft Dynamics 365 in the Microsoft Azure Cloud environment.

The DLA approved project plan for this phase was updated to employ the Agile method to manage the ITMP. Approved by PMBOK, Agile is a disciplined and iterative method that has proven faster and more successful than traditional methods of managing large, complex projects. Iterations of work are known as "Sprints." The smallest unit of work is n Sprint in known as a "user story," which is a short, informal, plain language description of what a user wants to do within a software product.

The initial project schedule submitted by the systems integrator indicated three “Sprints” with a three-week duration for each “Sprint”. The system integrator requested 22 more “Sprints” for a total of 25 “Sprints” to complete development due to the underestimating of the complexity and scope of work.

Phase 3 - ITMP was not completed. There were 35 Deliverables totaling **$5,242,341.75**. The DLA rejected 11 deliverables that totaled **$2,545,702.50**.

Both solutions, case management and customer relationship management solutions **did not go into production.** The ***Final ITMP Project Quarterly IV&V Status Report*** for July-August 2022 dated September 27, 2022, stated in Section 3.5 Requirements Management:

> *“Clearly, NTT Data did not fully understand OAG’s requirements and failed to provide a useable system.”*

This failure resulted in a new initiative titled OAG Modernization Program.

Proposed Solution

DLA proposes continuing the completion of the OAG Modernization Program full agency-wide systems modernization program: developing or installing customizable and commercially available case management software, improving analytical capabilities, and providing administrative and financial upgrades.

This program will also include staff training to operate and support the new technology.

The proposed OAG Modernization Program completes the holistic approach to modernizing the IT environment at DLA to ensure greater efficiency, better interoperability, reduced risk, and continuity of operations. Some major changes to the IT environment include:

- **Implementation of a modern Legal Matter Management System** which will dramatically improve the speed which documents are produced and approved.
- Implementation of a modern Customer Relationship Management system which will dramatically improve the efficiency of processing incoming calls and correspondence.
- Upgrades to support applications needed by the business units.
- Increased mobility options for DLA employees.
- A hybrid data storage solution that allows for both cloud technology and direct controlled data storage.

A competitive procurement was initiated under ITN No. DLA-2023.04 to procure a customizable **Legal Matter Management System**. The LawBase commercial-off-the-shelf (COTS) software application developed by Synaptec Software, Inc., dba LawBase, was selected. The Contract was executed on May 22, 2024. The following table shows the LawBase implementation schedule. This major project in the OAG Modernization Program will be completed during June 2025.

Business Unit	Kickoff	Discovery	Develop	Configure	Data Migration	UAT	Training	Go Live
Office of Statewide Prosecution	May-24	Jun-24 to Jul-24			Jul-24 to Aug 24	Aug-24	Aug-24	Aug 23, 2024
Criminal & Capital Appeals	Aug-24	Aug-24 to Sep-24			Sep-24	Oct-24	Oct-24	Nov 07, 2024
Lemon Law Arbitration	Aug-24	Aug-24 to Sep-24			Sep-24	Oct-24	Oct-24	Nov 07, 2024
Consumer Protection	Nov-24	Nov-24 to Dec-24			Dec-24 to Jan-25	Jan-24	Jan-25	Jan 30, 2024
Administrative Law	Nov-24	Nov-24 to Dec-24			Dec-24 to Jan-25	Jan-24	Jan-25	Jan 30, 2025
Revenue Litigation	Nov-24	Nov-24 to Dec-24			Dec-24 to Jan-25	Jan-24	Jan-25	Jan 30, 2025
Ethics	Nov-24	Nov-24 to Dec-24			Dec-24 to Jan-25	Jan-24	Jan-25	Jan 30, 2025
Civil Litigation	Jan-25	Jan-25 to Feb-25			Feb-25 to Mar-25	Mar-25	Apr-25	Apr 17, 2025
Solicitor General	Jan-25	Jan-25 to Feb-25			Feb-25 to Mar-25	Mar-25	Apr-25	Apr 17, 2025
Civil Rights	Jan-25	Jan-25 to Feb-25			Feb-25 to Mar-25	Mar-25	Apr-25	Apr 17, 2025
Medicaid Fraud Control Unit	Jan-25	Jan-25 to Feb-25			Feb-25 to Mar-25	Mar-25	Apr-25	Apr 17, 2025
Child Support Enforcement	Apr-25	Apr-25 to May-25			May-25 to Jun-25	Jun-25	Jun-25	Jun 27, 2025
Antitrust	Apr-25	Apr-25 to May-25			May-25 to Jun-25	Jun-25	Jun-25	Jun 27, 2025
Litigation Services	Apr-25	Apr-25 to May-25			May-25 to Jun-25	Jun-25	Jun-25	Jun 27, 2025
Florida Elections Commission	Apr-25	Apr-25 to May-25			May-25 to Jun-25	Jun-25	Jun-25	Jun 27, 2025

Cost and Timeline

The DLA feasibility study that was produced for Fiscal Year 2017-18 Schedule IV-B for the IT Modernization Program (ITMP) was updated for the Fiscal Year 2024-25 Schedule IV-B OAG Modernization Program. Funds available from the ITMP that were not executed, $2.7 M, because the systems integrator failed to produce a workable solution are being used to fund the OAG Modernization Program during Fiscal Year 2023-2024.

The DLA determined the project will result in a positive return on investment which will have a break-even in value after 2.75 years. The overall net present value of this project is $13.1 million dollars over a five-year period. This represents a positive return on investment of 45.63 percent for the State of Florida. Below is an overview of the estimated budget for this modernization program. A detailed cost-benefit analysis can be found in Section IV of the Schedule IV-B – OAG Modernization Program.

Project Years					5 Year Totals
FY 2025-26	FY 2026-27	FY 2027-28	FY 2028-29	FY 2029-30	
$ 6,183,840	$ 1,784,360	$ 982,000	$ 0	$ 0	**$ 18,826,600**

Exhibit 0-1: Estimated OAG Modernization Program Budget Overview

Based on this assessment, DLA requests a total of $18.8 million to finish the implementation of the modernization program. In addition to the costs and benefits calculated in this report, we believe that this modernization program will have a positive impact on DLA's maintenance and operational costs. The long-term cost and value of this cannot fully be determined until DLA has implemented technology solutions within various units at DLA.

A breakdown of the timeline for the proposed program plan is listed in Exhibit II-16. The estimate to implement this project and complete the modernization program that began in FY 2024-25 and through FY 2028-29 for five fiscal years.

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

A. Background and Strategic Needs Assessment

1. Background

The Florida Department of Legal Affairs, also referred to as the "DLA" throughout this document encompasses the Office of the Attorney General (OAG) and serves as the law firm for the State of Florida. The DLA is pursuing the modernization of key applications used to carry out the DLA's mission.

The Attorney General is the Chief Legal Officer for the State of Florida. The OAG is composed of several units whose chief goal is to provide the highest quality legal services economically and efficiently to the State of Florida and its agencies for the benefit of all Floridians. Specific responsibilities enumerated in Article 4, Section 4 of the Florida Constitution and in Chapter 16, Florida Statutes, have been expanded through the years by the Florida Legislature and by amendment of the Constitution, for the protection of the public's interests. The functions of the Office of the Attorney General span the legal landscape, from Capital Appeals and Medicaid Fraud to Child Support Enforcement, Ethics, and Elections. The broad categories of the DLA's functions are Criminal and Civil Litigation; Victim Services; and Constitutional Legal Services. Exhibit II-1: Department Organization Chart shows the structure of units and resources at DLA.

To determine the strategy to pursue, DLA assessed existing technology systems and developed recommendations to address the issues described in the Schedule IV-B IT Modernization Program for Fiscal Year 2017-18. The assessment evaluated system components, processes, and associated technical and operational risks, and staffing requirements to support the new environment. The results of the assessment led to the development of planning and budgeting documentation, and the evaluation of a build or buy decision for replacement or redesign of systems supporting core DLA business functions.

Funding was provided for the OAG Modernization Program (OAGMP) and Fiscal Year 2024-25 Schedule IV-B OAG Modernization Program addressed the assessment previously provided during Fiscal Year 2017-18. The funding request identifies the final phase of the ITMP that was not completed by the systems integrator during the ITMP contract period August 29, 2019, through August 28, 2022.

State law specifies that the Department of Legal Affairs (DLA) is responsible for providing all legal services required by State agencies, unless otherwise provided by law. The DLA's other statutory responsibilities include enforcing State consumer protection, antitrust, and civil rights laws, prosecuting criminal racketeering, operating the State's Medicaid Fraud Control Unit, and administering programs to assist victims of crime.

To carry out its responsibilities, the DLA operates through multiple program units, including Criminal and Civil Litigation, Victim Services, Executive Direction and Support Services, and Office of Statewide Prosecution. Exhibit II-2: Selected Program Unit Appropriations and Approved Positions for the 2024-25 Fiscal Year summarizes the 2023-24 fiscal year appropriations and approved positions for these program units.

Program Unit	Appropriations	Positions
Criminal and Civil Litigation	$ 115,590,864	910
Victim Services	206,908,446	130
Executive Direction and Support Services	23,537,449	157
Office of Statewide Prosecution	14,138,568	94.5
Totals	**$360,175,327**	**1,291.5**

Exhibit II-2: Selected Program Unit Appropriations and Approved Positions for the 2023-24 Fiscal Year

Source: Chapter 2014-51, Laws of Florida, General Appropriations Act

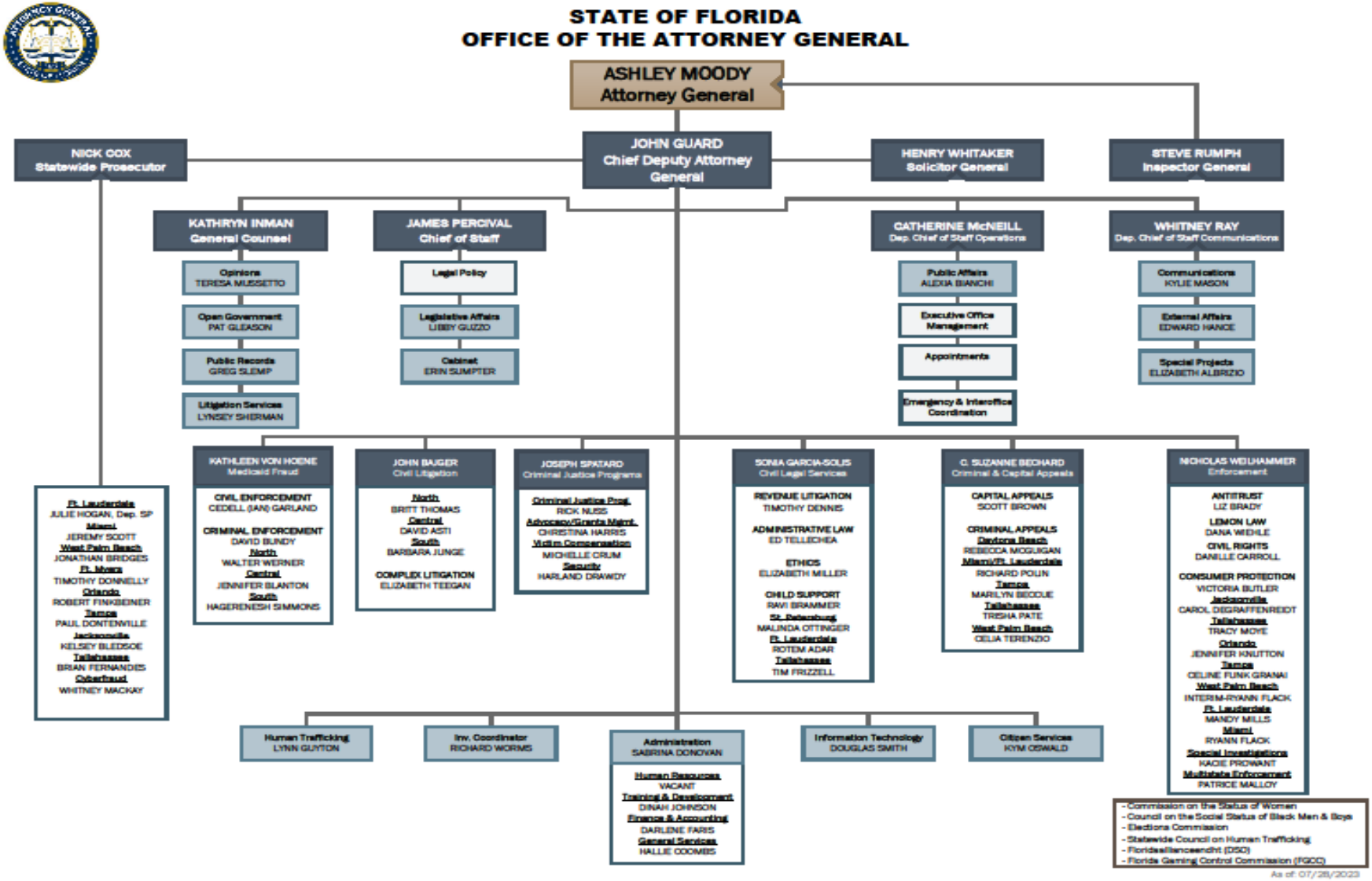

Exhibit II-1: DLA Organization Chart

2. Business Need

DLA processing is paper intensive and governed by statute, court mandates, and requirements of the legal profession. The systems and technologies the DLA uses are aging and the availability of people that can support these technologies is declining with approaching retirements. Using these technologies, DLA staff struggle to implement the business changes, updates and enhancements required by the DLA's business units on a timely basis.

The DLA is proactively planning its future now, before information technology and staff availability further limit the DLA from adapting to the changing needs of the State and its stakeholders. The DLA also is trying to address operational, reputational and information security risks that exist because of systems that lack an enterprise-wide strategic approach to collecting, storing, managing, or disseminating information:

- Significant amounts of data collected by units within the DLA are not accessible to other business units. Opportunities exist to reduce the need to re-enter information in different systems. Improving the enterprise use of DLA collected information presents significant opportunities to improve effectiveness.
- An integrated view across information assets (e.g., from using a single repository) would enhance the DLA's ability to determine if it is being fully responsive to public record requests and/or legal discovery processes.
- Current DLA systems, standards, policies, and procedures do not fully address non-traditional data types and electronic system information (e.g., text messages, social network posts). This gap and limited standards for data classification creates a risk of inadvertent disclosure of confidential or exempt information. The failure to identify and secure data may lead to accidental or intentional data breaches.
- There is no enterprise-wide data dictionary or metadata repository to catalog the characteristics and authoritative source of discrete data elements captured and used by the DLA.
- The DLA's current information management systems are stove piped repositories that manage data elements relevant to each unit. Inconsistent data collection, format and validation rules results in inconsistent and duplicated information that is difficult to analyze. There is no integration of data to enforce information consistency or a data warehouse to provide a single, seamless view into a particular case or subject matter.
- Documents and electronic information related to active case files is now stored in the ECM that provides role-based access controls and usage logging.

The DLA faced a number of significant challenges to improve its information management capabilities. Analysis of the DLA's information needs identified a specific initiative, that was resolved during the ITMP, to operationalize strategic improvements. The recommended activity included changing business processes to capture documents to the ECM OnBase for active cases.

a. Applications

The DLA currently custom develops, enhances, and maintains most of its business applications. The DLA developed applications over the past 20 years. Some business units also have procured tactical commercial-off-the-shelf (COTS) applications to meet specific needs. DLA applications resided on a technologically dated IBM Lotus Notes/Domino platform. DLA purchased and implemented IBM Lotus Notes/Domino as its main client server software platform in 1996. Since then, the DLA has used the product to develop customized applications for the DLA user database environment, as well as develop and maintain web presence and data-driven websites and capabilities. Continued use of this platform is creating challenges for the DLA. Specific issues include database size limits, lack of scalability of the Lotus Notes/Domino platform, required duplication of applications/databases, lack of integration with the document management system and issues in providing skilled people to provide support. The DLA also uses a custom developed email archive process that it built on the Notes/Domino platform. Overall, the current IBM Lotus Notes/Domino platform is not a market relevant solution, not strategic to the vendor, and represents significant architectural risk to the DLA in the future.

The DLA recently **upgraded** the IBM Lotus Notes/Domino to HCL Notes as a result of IBM no longer supporting this product after selling it to HCL.

The email archive process that saved email in SIRE was replaced with Microsoft Outlook email solution. It is capable of performing high volume policy-based mail archiving.

b. ECM

The current electronic content management system (ECM) OnBase solution was purchased during the ITMP **Phase 1 - ECM Implementation.** This has mitigated the risk of the previous SIRE repository of over 14 terabytes of data. The DLA has successfully dealt with data management issues and is continuously developing methodologies to address its eDiscovery and Public Records mandates.

c. Staffing

An assessment of the IT staff profiles indicated an immediate skills and knowledge gap in six specific areas:

- Business Analysis
- Continuous Improvement
- Service Transition
- Management Information and Reporting
- Portfolio Management

3. Business Objectives

The business objectives of this project are to implement a technology strategy that addresses business systems issues and barriers in the areas of applications, electronic document management, and staffing that limit the effectiveness of the DLA to perform its mission.

Specifically, the DLA's business objectives for the project are to:

Increase business agility – Currently, technology constrains the ability of business units to make application system and business process updates to meet statutory requirements and effectiveness improvement initiatives. Improving business agility will allow DLA to respond quickly and thoroughly to short-suspense deadlines. It will also allow DLA to respond rapidly to emergency situations that might demand legal representatives on the scene of crisis situations as they unfold.

Increase reuse of information – Currently, technology has driven the creation of stovepipe application implementations that are not consistent. These systems often require users to spend time re-entering information from one application into another application. Further it is difficult to view and search for information across the application system boundaries. This undermines important cross unit functions and synergies. This change will dramatically free up the time of attorneys and legal professionals at DLA, allowing them to spend more time analyzing and investigating cases important to the State of Florida.

Protect sensitive information – An important objective of the project is to improve sensitive data protections throughout the life cycle of collection and use. Currently, documents and content for active cases are stored external from the ECM (sometimes on workstation, server drives, or as paper) creating a risk of loss or inappropriate access. This component is critical to protect sensitive information in the coming decades.

Ensure accuracy of public information requests – With the growing volumes of data and distributed information within units of the DLA, it is increasingly difficult to efficiently gather all relevant data that should be provided in response to a public records request. A business objective is to reduce the dependence on manual processes to preserve and provide information to satisfy records requests.

Reduce the risk of catastrophic impact resulting from use of legacy technology – The DLA relies on software that is no longer market relevant. In the case of HCL Notes, industry analysts advise no new development and migration to more modern and market relevant solutions. This project aims to move DLA completely off of HCL Notes.

B. Baseline Analysis

1. Current Business Process(es)

The proposed project will affect all people, business units, and functions in the DLA. The project touches a DLA wide audience because it modernizes the core application systems, office productivity tools, electronic document repository, and content archiving solutions. The project could also eventually affect information sharing partners. The project implementation approach would minimize impact to information sharing partners by maintaining current system interface formats during the migration to the DLA's new integrated platform. Improved integration capabilities with the new platform would allow real-time integrations, sharing of more data sources and data types, and other changes that could eventually affect external information sharing partners.

Exhibit II-3: DLA Business Capability Model depicts an overview of the DLA business and functional capabilities. The model organizes business and functional capabilities into logical groupings. A brief definition of each capability or function follows in Exhibit II-4: DLA Business Capability Model – Business Functions, Exhibit II-5: DLA Business Capability Model – Business and Support Units, and Exhibit II 6: DLA Business Capability Model – Information Sharing Partners.

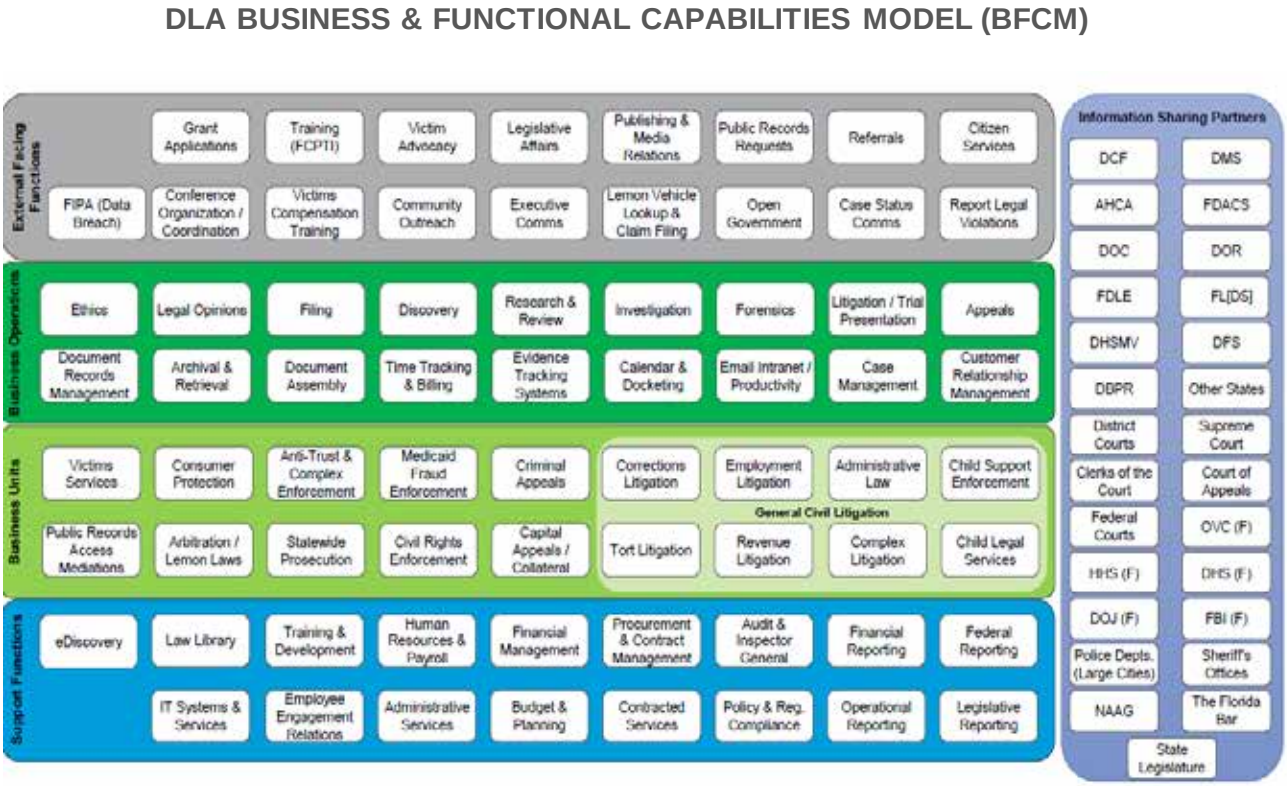

Exhibit II-3: DLA Business Capability Model

Area	Name	Definition
External Facing Functions	Grant Applications	Applications made to solicit funding (usually associated with Federal programs).
	Conference Organization & Coordination	The planning and managing of conferences for training and professional development purposes
	Training (FCPTI)	Florida Crime Prevention Training Institute
	Victims Compensation Training	Training offered to people & groups supporting victims of crime relating to compensation
	Victim Advocacy	Advocacy or representation for victims of crime undertaken by the DLA.
	Community Outreach	Activities associated with educating various communities about OAG services and assistance.
	Legislative Affairs	Activities associated with the interaction of OAG and the Florida Legislature.
	Executive Communications	Communications between OAG and the Governor/Cabinet.
	Publishing & Media Relations	Public Information Office activities and artifacts related to OAG.
	Lemon Vehicle Lookup & Claim Filing	This office manages an impartial arbitration system for faulty automobile sales.
	Public Records Requests	Management of activities associated with the public's requests for OAG records.
	Open Government	Linked to Public Records Requests and Access Mediation.
	Referrals	Processes related to the referral of cases and inquiries from or to external agencies.
	Case Status Communications	Activities associated with status reporting for ongoing cases to various interested parties.
	Citizen Services	Services provided to Florida citizens by OAG. Primary point of contact and interaction with the general public.
	Report Legal Violations	Complaints to OAG by consumers and constituents.
Business Operations	Legal Opinions	Review of legal issues in response to requests from other entities (including state agencies, local government entities and law enforcement agencies), includes Solicitor General.
	Ethics	Handles all ethics issues and cases on behalf of the State of Florida.
	Filing	Filing cases, documents, etc. with the courts.
	Discovery	The disclosure, by a party to an action, of relevant documents referred to by the other party (eDiscovery refers to information in electronic format.)
	Research & Review	Initial legal research as well as a reconsideration; second view or examination; revision; consideration for purposes of correction.
	Investigation	Investigating something or someone; formal or systematic examination or research; may utilize internal or external resources.
	Forensics	The use of science and technology to investigate and establish facts in criminal or civil courts of law.
	Litigation / Trial Presentation	The process of taking a case to a court of law.
	Appeals	An application to a higher court for a decision to be reversed.
	Document Records Management	The supervision and administration of digital or paper records, regardless of format.
	Archival & Retrieval	Moving and retrieving data that is no longer actively used to a separate storage device for long-term retention.
	Document Assembly	Systems and workflows that assist in the creation of electronic documents.
	Time Tracking & Billing	The process of tracking time and using the data to perform billing (where applicable).
	Evidence Tracking Systems	The administration and control of evidence related to an event.
	Calendar & Docketing	Management of proceedings/dates associated with judicial activities.
	Email, Intranet & Productivity Software	Desktop and other general technology applications for internal users.

Exhibit II-4: DLA Business Capability Model – Business Functions

Area	Name	Definition
Business Units	Victims Services	A Division of DLA that focuses on assisting victims of violent crimes through grant programs: This comprises victims' compensation, criminal justice programs and Victims Advocacy and Grants (VOCA).
	Consumer Protection	Looks into cases of alleged fraud towards consumers in Florida. They often collaborate with other states.
	Anti-Trust & Complex Enforcement	Works on anti-trust cases on behalf of the State of Florida.
	Medicaid Fraud Enforcement	This law enforcement unit investigates companies suspected of defrauding the State Medicaid program.
	Criminal Appeals	Handles all criminal appeals for the State of Florida.
	Public Records Access Mediations	Mediation in cases of public record request disputes between Florida public sector organizations and people putting in the request.
	Arbitration / Lemon Laws	Sets up and supports arbitration hearings for faulty car sale claims.
	Statewide Prosecution	Takes care of complex, criminal prosecution for the State of Florida. Often these cases cross county lines.
	Civil Rights Enforcement	Deals with cases related to alleged Civil Rights violations on behalf of the State of Florida.
	Capital Appeals/ Collateral	Covers all criminal appeals relating to capital crime cases within the state of Florida.
	Corrections Litigation	Handles with lawsuits filed against the Florida Department of Corrections by individuals currently incarcerated by the Department of Corrections.
	Employment Litigation	Focuses on litigation related to employees whose employment with the State of Florida was terminated.
	Administrative Law	Serves as council to professional licensure boards and disciplinary boards with DBPR and DOH.
	Child Support Enforcement	An office in DLA that has one client, the Department of Revenue (DOR). They engage in disputes over Child Support payments.
	State Programs	Provides legal defense to State agencies. This branch differentiates from Tort Litigation in that it focuses on litigation other than wrongful injury or death lawsuits.
	Revenue Litigation	Defends tax assessment decisions made by the DOR.
	Complex Litigation	Deals with civil litigation that is more complex or does not fit into one clearly defined category.
	Tort Litigation	Provides legal defense to State agencies and employees. This branch differentiates from State Programs as it specializes in wrongful injury or death lawsuits.
	Child Legal Services	Works to remove children from abusive or dangerous homes. These cases are due to drugs, violence, and/or mental instability.
Support Functions	eDiscovery	The disclosure, by a party to an action, of relevant electronic records referred to by the other party
	Law Library	A library designed to assist attorneys and anyone else who finds it necessary to correctly determine the state of the law.
	IT Systems & Services	Internal Information Technology and support services.
	Training & Development	Employee training and career development.
	Employee Relations	Staff Support Services and channel for grievances/complaints to be resolved, may interact with DMS to complete.
	Human Resources & Payroll	Employee management and payroll processing.
	General Services	This includes facilities management, mailroom, and print shop services.
	Financial Management	Activities surrounding customary finance and accounting operations/artifacts.
	Budget & Planning	Services around preparing and managing the DLA budget and planning cycle.
	Procurement & Contract Management	Activities associated with procuring third-party goods and services and contract management.
	Contracted Services	Third-party (external) services (e.g., outside counsel, IT support provided by vendors).
	Audit & Inspector General	Internal audits and IG activities.
	Policy & Regulatory Compliance	Oversight of DLA policy and regulatory compliance.
	Financial Reporting	Reporting associated with DLA financial management.

	Operational Reporting	Management reporting associated with internal processes.
	Federal Reporting	Federally mandated reporting (e.g., Medicaid fraud, crime statistics, Uniform Grant Guidance).
	Legislative Reporting	Reporting associated with requests/mandates from the Florida Legislature.

Exhibit II-5: DLA Business Capability Model – Business and Support Units

Area	Name	Definition
Information Sharing Partners	Department of Children and Families (DCF)	Provides social services to children, adults, refugees, domestic violence victims, human trafficking victims, homeless community, and childcare providers.
	Department of Management Services (DMS)	Supports other Florida agencies through business and workforce operations
	Agency for Health Care Administration (AHCA)	Administers the Florida Medicaid program, licenses and regulates Florida's health facilities.
	Florida Department of Agriculture and Consumer Services (FDACS)	Supports and promotes Florida agriculture, safeguards consumers, and ensures the safety and wholesomeness of food. Many of their programs and activities extend past agriculture
	Department of Corrections (DOC)	Manages the incarceration of convicted individuals.
	Department of Revenue (DOR)	Responsible for collecting taxes for the State government. They also manage the Child Support program for the State.
	Florida Department of Law Enforcement (FDLE)	Promotes public safety and strengthens domestic security by providing services in partnership with local, state, and federal criminal justice agencies to prevent, investigate, and solve crimes while protecting Florida's citizens and visitors.
	Florida Digital Services F[DS]	Oversees the state's essential technology projects. Their director serves as Florida's Chief Information Officer.
	Department of Highway Safety and Motor Vehicles (DHSMV)	Duties include oversight and services (in conjunction with county tax collectors) for the issuance of driver licenses, and registrations and titles for automobiles, trailers, boats, and mobile homes.
	Department of Financial Services (DFS)	Provides information to and from the Statewide accounting system (FLAIR).
	Department of Business and Professional Regulation (DBPR)	Responsible for licensing and regulating businesses and professionals in the State of Florida, such as cosmetologists, veterinarians, real estate agents and pari-mutuel wagering facilities.
	District Courts	General trial courts in the federal court system.
	Supreme Court	The highest court in the United States.
	Clerks of the Court	Officers of the court system responsible for administrative duties and business processes of the courts.
	Court of Appeals	The second instance court in the U.S. Federal Court system.
	Federal Courts	The judiciary branch of the U.S. government. DLA often represents the Florida government in these courts.
	Office for Victims of Crime (OVC)- Federal	This office within the U.S. Department of Justice administers State victim assistance and compensation programs through the Victims of Crime Act (VOCA). These grants supplement state funds that reimburse victims for out-of-pocket expenses resulting from the crime.
	Health and Human Services (HHS) - Federal	This department manages Medicare for the federal government.
	Department of Homeland Security (DHS) - Federal	A federal intelligence and security service. This agency cooperates with DLA on certain criminal investigations.
	Department of Justice (DOJ) - Federal	DLA's federal counterpart. They contain the FBI and the Office of Victims of Crime (OVC).
	Federal Bureau of Investigation (FBI) - Federal	A federal law enforcement agency. Works with DLA on cases that may cross State lines.
	Police Departments (large cities)	All police departments from major metropolitan areas that OAG interacts with, or exchanges data with.
	Sheriff Offices	Each County's Sheriff's offices that OAG interacts with, or exchanges data with.
	Other States	Any other states that FL OAG is interacting with to prosecute complex or multi-jurisdictional cases, etc.

	National Association of Attorneys General (NAAG)	Membership bodies that OAG interacts with.
	The Florida Bar (TFB)	Membership bodies that OAG interacts with.
	State Legislature	The legislative branch of the Florida Government. Provides funding to the DLA in yearly State budgets.

Exhibit II-6: DLA Business Capability Model – Information Sharing Partners

The DLA IT team received some training from the ITMP system integrator on the Microsoft Azure Cloud and Dynamics 365 during the course of the ITMP. Additionally, the DLA IT Division personnel has taken technical courses in these subject areas from Microsoft. This has strengthened the core technical skills that will be required to engage in a new project. A recent addition to the IT Team has been the engagement of an Azure Architect consultant acquired on the IT Staff Augmentation contract.

The previous assessment conducted during 2017 by a third-party vendor consisted of an evaluation of system components, processes, technical and operational risks, and staffing needs to support DLA business processing.

These were identified in the **Schedule IV-B IT Modernization Program** submitted on September 17, 2017. The execution of the ITMP during 2019 through 2022 has resulted in the DLA to update assessment in certain areas.

The previous assessment scope conducted during 2017 consisted of:

- Validation of the existing application inventory was performed
  - Current Status - completed during ITMP **Phase 2 – Analysis**
- Analysis of the existing electronic document management system (EDMS)
  - Current Status - completed during ITMP **Phase 1 – ECM Implementation**. ECM OnBase replaced EDMS SIRE.
- Analysis of current staffing levels and technical skills required
  - Current Status - Updated to current state.
- Market research about the technology and systems of other state-level Attorney General Offices
  - State of Texas OAG CMS Statement of Work posted during February 2022 has been reviewed.
  - A CMS survey was conducted of the NAGTRI members was reviewed.
  - Market research has been ongoing.

The analyses provided a foundation from which the team was able to determine and document where the DLA technology and strategy currently falls across three disparate spectrums: Buy vs. Build, Centralized vs. Federated, and Generalized vs. Specialized.

Buy vs. Build - The DLA experience and knowledge gained during the ITMP indicates that the DLA technology and strategy best fits a hybrid **Build and Buy with customization** spectrum. All information technology on the **Build** spectrum requires the DLA to develop, enhance, and maintain all IT resources (includes software and human resources; hardware is purchased or leased). The rationale for this strategy is based on the security model complexity of information sharing within and between business Units. The **Buy** spectrum, where all information technology (hardware, software, and human resources) is purchased, leased, or licensed from 3rd parties is not a realistic option.

Centralized vs. Federated – This relates to governance and funding. Centralized means all IT activities (and funding) are controlled by single, central authority within the DLA (all DLA business units rely solely on the IT unit for all information technology needs); the Federated end of the spectrum means that each DLA business unit procures its own information technology resources to meet their respective needs.

Generalized vs. Specialized – This spectrum has various meanings, highly dependent upon context. For Applications, Generalized means applications are procured from a single vendor (e.g., Microsoft) which may have a suite of offerings to meet various business needs. The Specialized end of the spectrum relates to Best of Breed applications, which represent the best possible solution for a given need.

For ECM, Generalized refers to a solution which can process many kinds of data (e.g., documents, email, and geospatial data), but does so in a manner which may restrict or limit the use of that data. For ECM, a specialized solution includes many Best of Breed components that are highly adept at processing specific data types (e.g., photos, videos, and social media). The replacement of SIRE with OnBase during the ITMP **Phase 1 – ECM Implementation** has addressed this issue.

For staffing, the spectrum relates to skills and knowledge. Generalized refers to a cadre of resources who possess a wide range of skills and knowledge which may be used to address DLA needs across the full suite of its IT assets. Specialized is related to resources who are highly trained on a single (or limited) technology.

Analysis and market research enabled the DLA to evaluate technology solutions and strategy changes that could better support DLA business processes for the foreseeable future.

a. Analysis - Applications

The DLA's inventory of applications was determined during **Phase 2 - Analysis** of the ITMP. The system integrator analyzed the "As Is" IBM Lotus/Notes databases and business processes. This analysis identified the scope of the project.

In the first instance, a list of over 1,400 reported applications was "normalized" (i.e., duplicates were removed or combined, entries for non-applications were deleted) and the various applications were categorized by business function (e.g., Case Management, Time Tracking).

Over the last two decades, internal staff has custom-built most of the DLA applications using IBM's Lotus Notes/Domino platform. IBM Lotus Notes is the workstation application that provides Notes database application access. IBM Lotus Domino is the server infrastructure that provides a complete development framework to create, deploy, and manage multiple distributed Notes database applications. All applications were migrated to HCL Notes in the Azure Cloud.

Many of the custom-built Case Management and Trouble Ticketing systems rely upon an email as the trigger to start a case or to open a support request.

Some of the key business functions being performed by these applications include:

- Calendaring and Docketing
- Customer Relationship Management (CRM)
- Case Management
- Document Records Management
- Time Tracking
- Evidence Tracking Systems
- Reporting (e.g., Federal, Financial, Management)
- Grant Management
- Trouble Ticketing

As previously noted, the full spectrum of applications includes a mixture of internally developed applications and commercial solutions. The DLA's application inventory is a combination of commercial off-the-shelf (COTS) software packages and custom software solutions developed by both internal staff and external resources.

Almost every one of the DLA's Business Units implemented one or more applications to address their business process needs. Those applications are tailored to unit specific operational needs. Multiple instances of similar applications support the common business functions of the DLA. For example, there are 34 Case Management applications, many of which share a fundamental codebase that was modified over the years in response to specific requests made by individual business units. As a result, the applications may be considered, generically, as the same "type" of application with the same starting point, but they are different due to enhancements and modifications

made over time. A summary of the DLA's current application inventory, organized by function, is shown in Exhibit II-7: Application Instances by Function.

Function	Instances
Accounting and Finance	3
Calendar and Docketing	8
Case Management	34
Conference Management	1
Contact Management	2
Customer Relationship Management (CRM)	16
Document Records Management	24
eDiscovery	6
Intranet & Productivity Software	10
Evidence Tracking Systems	2
Federal Reporting	1
Finance Reporting	1
Grant Management and Reporting	3
Human Resources	1
Management Reporting	4
Procurement and Contract Management	2
Public Records Access Mediations	2
Time Tracking	4
Training and Development	4
Trouble Ticketing	1
Web Publishing	1

Exhibit II-7: Application Instances by Function

Approximately 95% of the applications are custom built and maintained/enhanced by internal staff; others were developed and are supported by external entities. The inventory also includes COTS packages purchased by various DLA business units to address specific business/technical needs.

The DLA's heavy reliance on the IBM Lotus Notes/Domino (upgraded to HCL Notes) platform for a significant portion of its business applications/solutions has exposed some real and perceived risks:

Database Size Limits: HCL Notes databases are limited to 265 Gigabytes (per instance). As a result of the vast storage volumes associated with the DLA's work (the State's law firm), application development staff are routinely required to create new instances of the many databases to allow for future growth.

Email Integration: The tight integration of the IBM Lotus Notes/Domino email system with many DLA applications is no longer a challenge because the DLA has moved to an Outlook email implementation.

Platform Migration: Migration from HCL Notes applications to other platforms or COTS solutions may be more difficult for solutions that require export/transform/load (ETL) processing for legacy data.

Resource Availability: HCL Notes is a mature development platform; finding staff resources to maintain the vast array of DLA applications may be increasingly difficult in the future.

The ITMP **Phase 3 – CMS/CRM Implementation** was to replace all HCL Notes databases with Microsoft Dynamics 365 solutions that would reside in the Azure Cloud. The CRM Project is under development using Microsoft Dynamics 365 and the CMS development is now a COTS software application-LawBase.

b. Analysis - ECM

Enterprise Content Management (ECM) is an umbrella term covering document management, web content management, search, collaboration, records management, digital asset management, workflow management, capture and scanning. The electronic document management system (EDMS), SIRE, was replaced during the ITMP **Phase 1 – ECM Implementation** with OnBase. The SIRE software program has been retired and all documents were converted to the OnBase ECM software product.

The DLA now enjoys the primary benefits listed below:

- Provides a central repository for corporate knowledge
- Assists in meeting compliance mandates
- Helps contain costs
- Security and privacy protection
- Data integrity enhancement
- Disaster recovery
- Customer satisfaction

The DLA ECM OnBase stores many types of information used for many different purposes. The primary use of the DLA's document management system is to store documents and electronic records, retain email, protect electronic evidence, and to archive closed case artifacts.

c. Analysis – Staffing

A systematic approach to the analysis of current staffing levels and types that are in place within the DLA's IT unit to support current operations and application development was conducted and documented in the previous **Schedule IV-B IT Modernization Program** submitted on September 17, 2017.

The staffing analysis used a best practice IT operating model as a reference to categorize the IT staff and their roles within the model. The model will be updated to reflect the current state.

One way of representing the decomposition of a best practice IT operating model, is shown in Exhibit II 8: Best Practice – Operating Model below. There are four major component parts to this model, each with a number of sub-components (some of which may have cross-functional boundaries):

Shape – All activities relating to Technology Strategy and Architecture, along with demand management of the business customers and end users' future technology needs

Build – Any activities relating to the delivery of projects to design build and configure future solutions, including project management and business analysis

Run – The overall operations and maintenance of the IT function, including all break/fix support such as the helpdesk, 2nd/3rd line support and other activities involved in Testing and Service Transition

Govern – Consists of all necessary support functions, to ensure the smooth running of the IT function (in conjunction with services provided by third party vendors)

There is a further grouping of sub-functions described in this model as "Business Engagement," which represents customer-facing IT activities and require interactions with end users or business stakeholders such as demand management, business readiness and communication, and training. These are separated out because they will often drive the end user perception of the strength, value, and responsiveness of an IT function and necessitate robust lines of communication and effective governance to be successful.

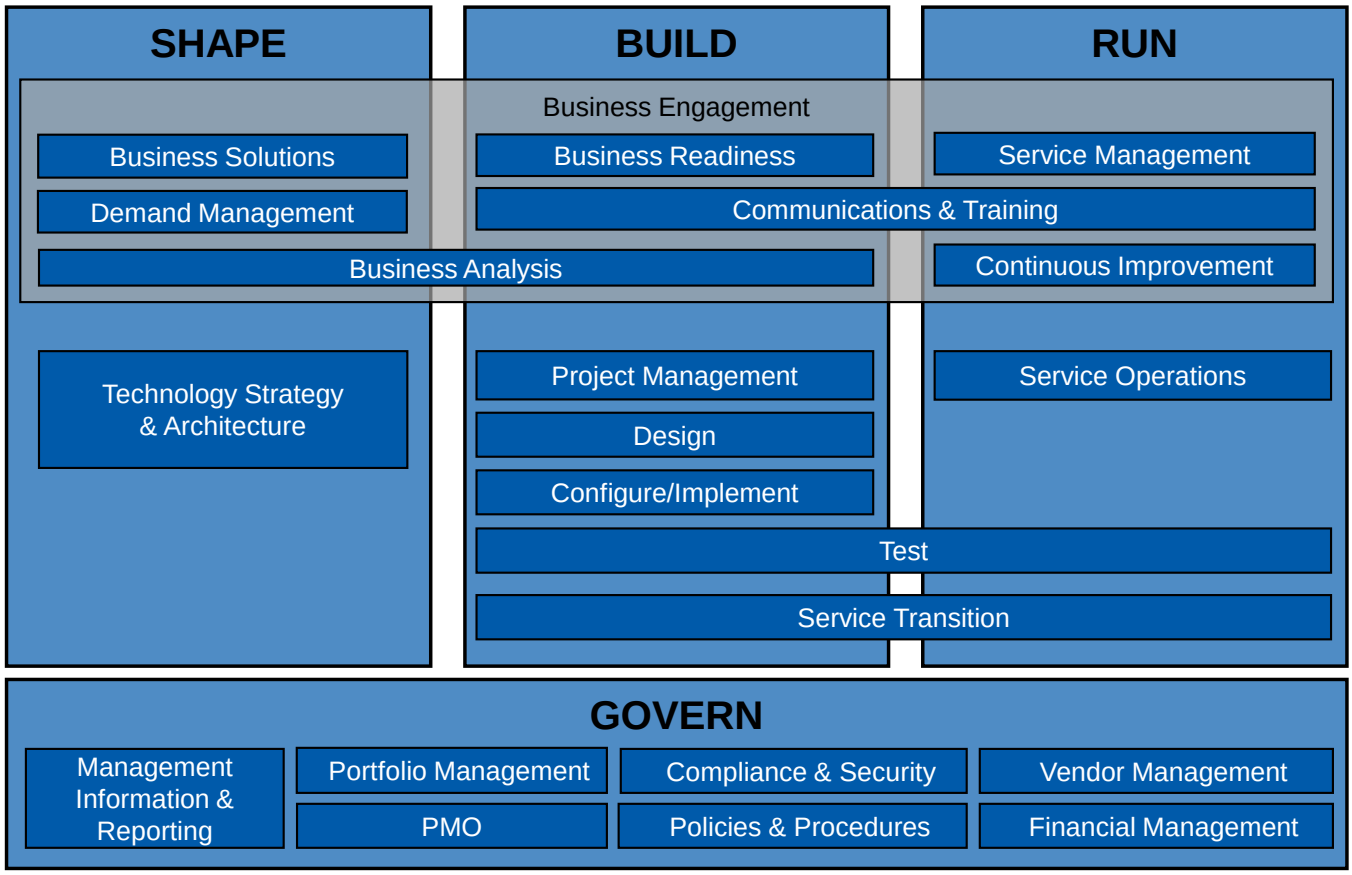

Exhibit II-8: Best Practice – Operating Model

The staff skills and knowledge items represented by the model that were used to assess the DLA's staff profile and to inform future planning when migrating to a new or modified approach to information technology management and operations is still accurate today and are defined in Exhibit II 9: Best Practice – Operating Model Definitions.

Area	Description
Business Engagement	Any function in which the IT team engages with business stakeholders or end users to shaping needs, building, and deploying systems, and running ongoing operations.
Business Solutions	Manage relationship with the business, develop high level IT solution design with business units
Demand Management	Creates the longer-term demand roadmap and future view of resource needs based on the organization Strategic Plan, and goals, liaising with relevant teams to prioritize
Business Analysis	Review, assess, and document changes to processes and procedures, define functional and non-functional requirements for projects, assist with UAT, track benefits realization
Technology Strategy & Architecture	Recommend new uses of IT to enable the organization's vision and goals, defines and maintains the DLA-wide Information and Technology Architecture
Business Readiness	Undertake Impact / Risk Assessments, Organizational Change Management

Communications & Training	Assessing training needs, planning, and delivering training to end users impacted by system changes, communicate solution availability and capability within IT and to the business
Project Management	Delivering projects to time, budget, quality and within scope, monitoring progress, managing risks and issues, and escalating with the business when necessary
Design	System and application design, prototyping and specifications
Configure / Implement	Any changes to COTS packages or configuration on agreed platforms
Test	System & Integration Testing, User Acceptance Testing
Service Transition	Introduce and transition new services: Change, release & deployment management, solution evaluation, configuration & asset management, service validation & testing
Service Management	Service Desk, including Incident Management, Problem Management and Service Request, Remote / telephone and "On the ground" user support, KPIs and metrics
Continuous Improvement	Post Project Reviews, Lessons learned, knowledge transfer, business process redesign
Service Operations	Infrastructure support, 2nd/3rd line application support, availability, capacity management
Management Information & Reporting	End-to-end provision of Management Information on behalf of Business Units, including operational reporting, federal reporting, and performance of KPIs
Portfolio Management	Maintaining the prioritized IT project portfolio
PMO	Project Management Office. Tracks and reports on project progress
Compliance & Security	Ensuring adherence to policies and procedures, managing and testing IT security
Policies & Procedures	Reviewing and managing updates to IT policies, reference guides and operating procedures
Vendor Management	Oversee IT procurement & contract management process, responsible for complex vendor negotiations, create and maintain vendor scorecards across projects and operations
Financial Management	Management and reporting of operational (Operations Expenditures) and project (Capital Expenditures) spending and ensure integrity of IT budgets and forecasting

Exhibit II-9: Best Practice – Operating Model Definitions

The implementation of new technologies and processes requires the right capability and capacity, from a staffing perspective, to implement the DLA's business Modernization strategy. For the project to be successful, the appropriate (and necessary) skills and knowledge to move forward must be provided by DLA staff, or procured from external resources.

A high-level diagram shows the gaps between current ("As Is") and likely needed ("To Be") capability and capacity to highlight how the current staffing profile changes to support future DLA activities (both technical and functional).

Staffing – Current State

As depicted in Exhibit II 15: Best Practice – Resource Gaps below, DLA's current IT staff of 40 is allocated across a number of different areas (some current staff perform more than one specific area). The activities involved with the initial phase of the modernization project were limited to the IT staff positions and did not include a full organizational assessment. The interviews and staff assessments undertaken did highlight a number of current gaps.

The initial assessment (depicted in the **Schedule IV-B IT Modernization Program** submitted on September 17, 2017) of the IT staff profile indicated a need to bolster skills and knowledge in six specific areas shown as "High" on the Exhibit II 10: Best Practice – Resource Gaps diagram:

- Business Analysis
- Project Management
- Continuous Improvement
- Service Transition
- Management Information and Reporting
- Portfolio Management

The "Medium" gaps address more global issues related to business process improvement activities:

- Demand Management
- Business Readiness
- Communications and Training
- Technology Strategy and & Architecture
- Design
- Policies and Procedures
- Financial Management

The DLA's leadership team recognized these issues and has addressed the high-level gaps.

The following Resource Gaps have been updated **from Medium to Low** to reflect the experience and skills that were gained from the ITMP **Phase 3 – CMS/CRM Implementation.** These Resource Gaps are now colored **green**.

- Business Readiness
- Communications & Training
- Business Analysis
- Technology Strategy & Architecture
- Project Management
- Design

The diagram shown in Exhibit II 15: Business Case Requirements appeared in the **Schedule IV-B IT Modernization Program** submitted on September 17, 2017. It is shown below to allow the reader to review the progress that has been made since 2019.

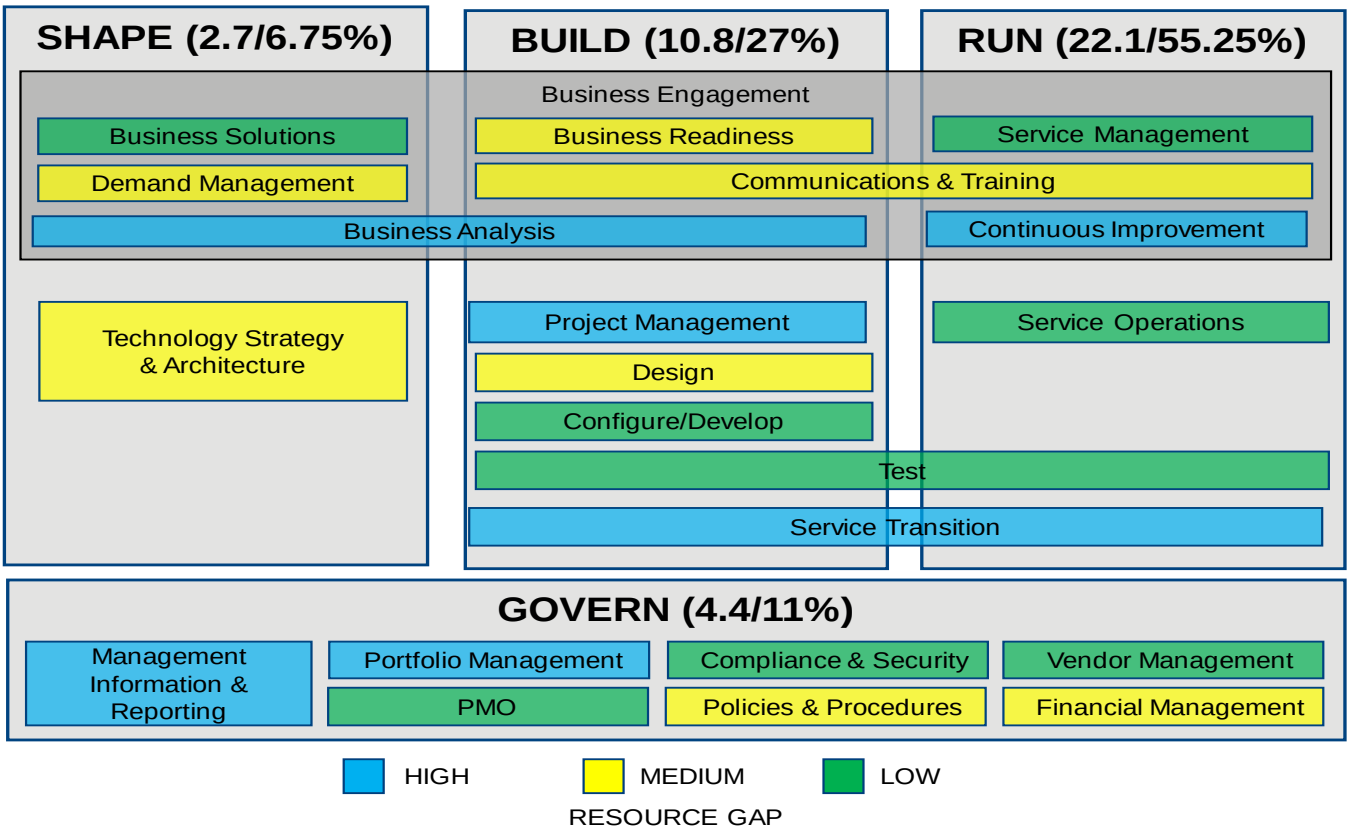

Exhibit II 10: Best Practice – Resource Gaps

Current IT Staffing by Function

The previous analysis conducted and documented in the **Schedule IV-B IT Modernization Program** submitted on September 17, 2017, is still valid. The proportion of the 40 FTE and OPS staff directly involved in IT related activities and the time spent in each of the areas of the best practice functional model is shown in the exhibit below. In the Shape and Govern functions, approximately 50% of the resources across the IT function are involved in the activities in these areas, but in general, it is only a small proportion of their overall responsibilities.

Functional Area	# Roles	% Staff	# FTE	% Total
Shape	19	48%	2.6	7%
Build	26	65%	10.8	27%
Run	36	90%	22.1	55%
Govern	22	55%	4.4	11%

Exhibit II-11: IT Staff by Function

A further analysis was undertaken to map the level of direct support across each for the 100+ applications that is supported by the 11 IT application staff. The results are listed below.

Function	# of Applications	Direct Support FTEs
Accounting and Finance	3	0.31
Calendar and Docketing	8	0.21
Case Management	34	5.57
Conference Management	1	0.05
Contact Management	2	0.02
Customer Relationship Management (CRM)	16	0.69
Document Records Management	24	1
eDiscovery	6	.01
Email, Intranet & Productivity Software	11	0.32
Evidence Tracking Systems	2	0.2
Federal Reporting	1	0.1
Finance Reporting	1	0.25
Grant Management and Reporting	3	1.1
Human Resources	1	0.05
Interface	3	0.31
Management Reporting	4	0.31
Procurement and Contract Management	2	0.06
Public Records Access Mediations	2	.01
Time Tracking	4	0.31
Training and Development	4	0.12
Trouble Ticketing	1	0.01
Web Publishing	1	0.1

Exhibit II-12: IT Staffing Support by Application Type

2. Assumptions and Constraints

This section highlights the assumptions and constraints that could limit the available solution alternatives or affect the overall outcomes from the recommended solution.

Assumption	Total project costs will increase with project timelines due to the need to maintain and operate the current DLA environment over a longer period of time.
Assumption	Annual Legislative appropriation for the project will be under $10M.
Assumption	Funding to maintain and operate current systems and applications will continue until the new system is implemented.
Assumption	Vendors can implement the solution in the designated time frame, in the sequence prescribed, and in alignment with budgetary allocations/restrictions.
Assumption	DLA desires to increase operational efficiencies and effectiveness and to eliminate manual processes that rely upon the use of ad-hoc tools.
Assumption	Any operational efficiencies and resource gains that DLA realizes from the modernization activities and solutions will be allocated to activities that directly support the DLA's mission.
Assumption	A suitable architecture model exists to facilitate rapid and scalable deployment of the technical and functional initiatives outlined in the proposed solution.
Assumption	DLA will employ the Organizational Change Management (OCM) activities required to implement the recommended solution in the most successful fashion.
Assumption	The project team (DLA and vendor) will be staffed appropriately to complete deliverables, achieve milestones, implement infrastructure changes, manage user involvement, and to ensure proper testing.
Assumption	The solution will emphasize establishing and improving automated data interfaces with other Agencies to facilitate automated data exchange.
Assumption	Labor rates for contracted staff are assumed to align with the IT Consulting and Management Consulting Services State Term Contracts for staff augmentation and will be comparable to similar projects recently undertaken by other Florida state agencies.
Assumption	The project leadership will enable stakeholder involvement needed to support the project.
Assumption	The DLA will host data storage and application processing solutions.
Assumption	User workstations are current and able to use browser based, graphical applications.
Assumption	Technologies (workstations or mobile devices) used to enter data without using paper can be used in DLA offices around the state.
Assumption	The DLA desires a multi-year rollout, implementing technology and functionality phased in over time.
Assumption	Operational continuity is mandatory; there can be no break in meeting the mission of the DLA.

Exhibit II-13: Business Case Assumptions

Constraint	Project activities, schedules, and milestones depend on the continual availability of appropriated funds.
Constraint	State statutory changes, changes in administrative rules, and DLA policy changes could affect the project.
Constraint	Specific software tools supporting desired capabilities will be determined based on the solutions proposed by the market.
Constraint	Project funding is appropriated annually and may be subject to periodic releases throughout the year.
Constraint	There is a limit to current staffing levels support with respect to initiative implementation within a given year.
Constraint	Legacy DLA solutions will require ongoing operation of the legacy systems for some units during the rollout period of the new system.
Constraint	During concurrent operations of the new and old systems, both the old and new systems may need temporary bridging interfaces to transport information between the old and new systems to retain the operational integrity of each system.
Constraint	There is a high level of coordination (functional, cost, and technical) associated with a phased implementation, which necessitates a heavy emphasis on mitigation strategies.

Exhibit II-14: Business Case Constraints

C. Proposed Business Process Requirements

1. Proposed Business Process Requirements

The specific business process requirements for each of the discrete program components were addressed during the ITMP but must be analyzed to determine their validity. ITMP **Phase 3 CMS/CRM Implementation** failure will require a review of the previous analyses.

Requirement	Vendor must fully analyze all statutory, regulatory, contractual, and other external requirements impacting DLA's system environment.
Requirement	Vendor must fully analyze relevant DLA business processes, workflows, and business needs per applicable facility, division, bureau, or other work section with regards to DLA's systems.
Requirement	Vendor must review, validate, and update existing DLA environment documentation (to include previous ITMP deliverables) to ensure documentation is comprehensive and accurately reflects the existing DLA system environment. Supporting documentation includes any questionnaires and/or interview documentation available per DLA division/business unit, and industry best practices, standards, guidelines, and frameworks used in determinations and comparisons.
Requirement	Vendor must fully analyze any documented, operational, managed, or measured DLA processes relevant to the systems modernization.
Requirement	Vendor must provide an overall complete summary assessment of all existing DLA environment components, including vendors, contract terms, identified gaps between existing environment and future state options, etc.
Requirement	Vendor must document the gaps between 'as-is' and 'future state' environment with prioritizations of each ranked by importance relative to DLA business objectives. This includes reviewing the previous ITMP deliverables.

Exhibit II-15: Business Case Requirements

2. Business Solution Alternatives

The alternatives, as represented by the spectrum diagrams included and discussed in this document, were assessed in light of prevailing and projected DLA resources and assets. The results demonstrated what is possible; the final spectrum positions (recommendations) reflect what is viable given the DLA's technology and business profiles. The DLA, through additional analysis and discussion, will determine precisely where it ends up across the various application, and staffing spectrums that will define its future state. Circumstances will change over the next three years and along the way, decisions, technologies, resources, or statute may alter where the DLA eventually ends up on the spectrums, but today, the DLA has decided to proceed in the manner outlined in this document.

Approach

The DLA market research focused on COTS (Commercial-off-the Shelf) CMS (Case Management System) and CRM (Customer Relationship Management) products. A NAGTRI CMS survey was conducted to see what other state Attorneys General offices used for CMS. This survey included the CMS features and a brief assessment of the office's opinion on its utility.

Most CMS' were a **Buy vs. Build** option:

- Software as a Service
- COTS with Configuration and Limited Development
- Custom Development

Similarly, the CRM options mirrored the CMS **Buy vs. Build** option.

3. Rationale for Selection

The rationale for selecting the recommended technology project strategy and implementation direction is to proactively address the issues and business drivers that affect current DLA business processes and the business agility to meet the future needs of the State and stakeholders of the DLA. Specifically, these factors are the drivers of the project recommendation:

Dated Technology: The DLA's application inventory is built on technology that is two decades old (Lotus Notes/Domino). While the technology is still supported by a major vendor (IBM), few organizations choose to use the Lotus Notes platform when considering internal development options. The technology has constraints such as database size limits that prevent use of common applications and create barriers to integration and data sharing. This results in duplicate data entry between systems consuming valuable worker time.

Specialization: Most organizations have opted for commercial products rather than coding their own solutions. Embracing a COTS-based application suite will reduce personnel-related risks to the DLA, as it would negate the need for internal resources who specialize in a particular technology.

Loss of Institutional Skills and Knowledge: The rules, policies, procedures, and functions are embodied in DLA staff rather than in the systems and solutions that support its operations. There is a risk that loss of key staff members could affect the DLA's ability to meet its mission. In addition, the use of dated technology makes it increasingly difficult to find and hire people with the requisite platform skills and knowledge. The workforce currently possesses the necessary skills in the Notes/Domino technology. Many have attained, or will soon reach, retirement age. The DLA will eventually find itself without a cadre of Notes/Domino professionals to maintain its applications.

Inability to Meet Department Needs: The DLA's IT functions are currently aligned to a federated model with a central IT organization providing support to DLA business units. This works fine for some functions like network and Help Desk support. However, when application development or modification is called for, some business units have found it necessary to go outside the IT unit for support. The IT unit has limited capacity to develop and maintain large applications. Often applications can be procured in the commercial market, much faster and at significantly less cost than can be custom developed using internal staff.

Data Security, Access, and Management: The DLA, as part of the initial analysis and in consideration of its statutory obligations and mission, has reviewed the potential risk and benefits of a cloud-based approach for its data storage and management needs. In light of significant historical and business-driven requirements, DLA has concluded that a solution that provides full data security and access control, managed by the DLA, is most appropriate to meet its needs.

ITMP Lessons Learned: The failure of the ITMP **Phase 3 – CMS/CRM Implementation** was directly attributable to the system integrator underestimating the complexity and the scope of the ITMP. The chosen solution development framework, Microsoft Dynamics 365 in the Azure Cloud, was a good one.

4. Recommended Business Solution

The recommended business solution is to implement an integrated application platform that aligns with changes in technology strategy in the areas of applications, ECM, and IT staffing. The sections that follow describe the recommended changes in technology and application strategy followed by a business implementation recommendation to move to the "To-Be' state.

a. Applications Recommendation

Currently, the DLA still develops, enhances, and maintains most of its business applications, written over the past 20 years, with a small number of COTS packages procured by various business units to meet specific needs. As described earlier in this document, its applications reside on a technologically dated HCL Notes platform with a dwindling resource pool of developers. Furthermore, the DLA has used its Notes/Domino toolbox to solve problems for which the tools were never intended. That approach represents significant risk to the DLA in the near future.

The ITMP **would have** replaced the legacy applications with customized solutions for the DLA CMS and CRM business processes including external interfaces. If the DLA moved to a more COTS-centric IT applications

approach, governed by appropriate IT standards and oversight, taking advantage of market offerings tailored to meet specific business needs the extent of customization may be beyond the capability of the COTS solution.

The **OAG Modernization Program** approach involves a combination of **Build and Buy with customization.**

The OAG Modernization Program would necessitate a formal procurement to **Buy with customization** a case management COTS solution. The ITMP deliverables produced during ITMP **Phase 2 – Analysis** could be used to reduce discovery time dedicated to determining the scope of the project. The decision to **Build** appears to be the best solution for developing a customer relationship management system using staff augmentation to gain the technical skills needed. This effort is underway now in Fiscal Year 2023-24.

The following progress has been made to continue the technology modernization goals:

1. OnBase Projects
    a. Dozier/Okeechobee Claims web application – in Production
    b. Attorney Preference Questionnaire - in Production in Production
    c. Upgrade OnBase to latest version - in Production
    d. Travel Authorization Request – in Production
    e. Telework Request/Approval – in Production
    f. Contract Management Creation & Routing – in User Acceptance Testing phase
    g. PAR (Personnel Action Request) – in Production
    h. RfPA (Request for Position Action) - in User Acceptance Testing phase
    i. RTA (Request to Advertise) – future goal
    j. NAGTRI Training Request – future goal
2. CRM Project – in progress using IT staff augmentation
3. Legal Matter Management System
    a. LawBase application for the Office of Statewide Prosecution - in Production
    b. This is the solution for all of OAG business units

b. Staffing Recommendations

The DLA has aggressively pursued Microsoft Dynamics 365 technical training for the application developers and Microsoft Azure Cloud for the server team and training for the OnBase system administrators. Training will continue throughout the project lifecycle.

The OAGMP Program Manager has been retained as a staff augmentation consultant.

c. Modernization Plan Recommendation

The directional strategies defined in the area of applications, and staffing recommended in the **Schedule IV-B IT Modernization Program** submitted on September 17, 2017, advised the DLA to move to a more COTS-centric IT applications approach, governed by appropriate IT standards and oversight, taking advantage of market offerings that may be tailored to meet specific business needs. The data now suggests a significant change in the DLA's approach. A combination of **Buy with customization** COTS-centric solution and **Build** applications that use a hybrid cloud-based solution with an emphasis on highly specialized content management tools and options is the preferred direction.

Exhibit II-16: OAG Modernization Program Roadmap shows the overall program components, milestones, and durations, which comprise the modernization strategy over Fiscal Year 2024-25.

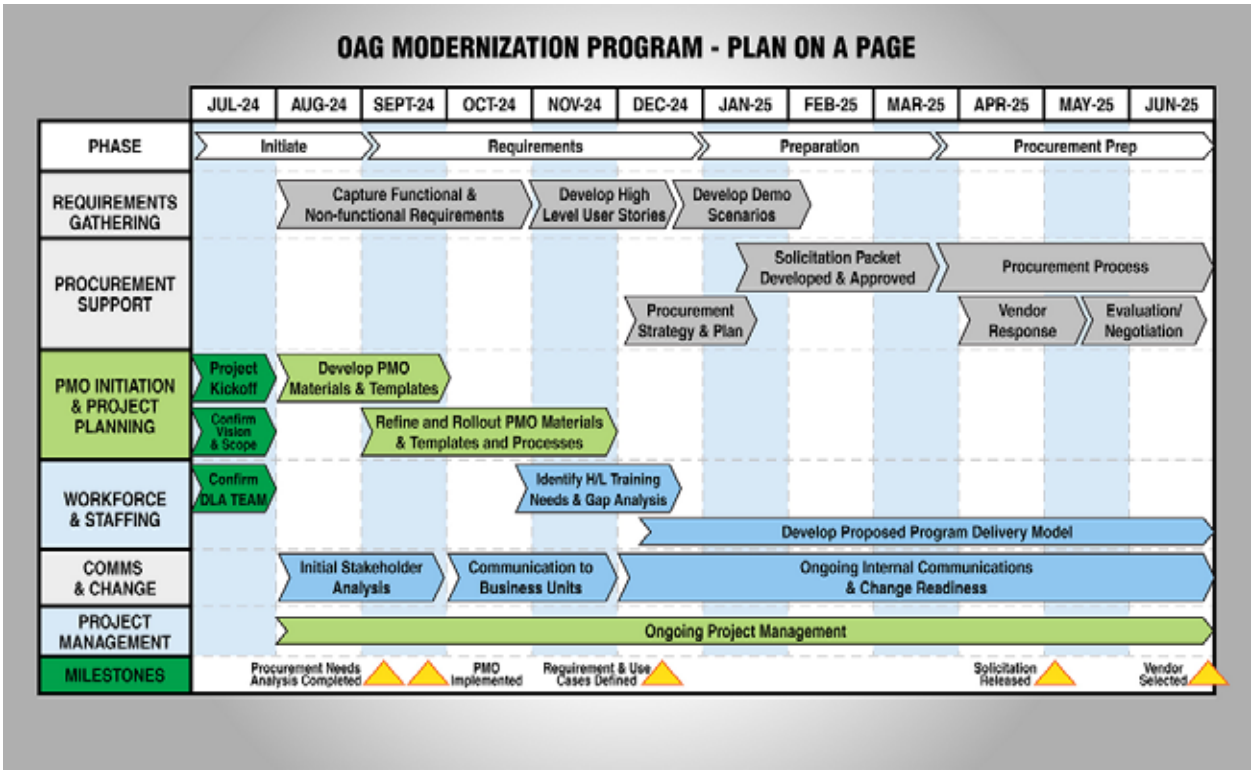

Exhibit II-16: Modernization Program Roadmap

As shown in Exhibit II 16: Modernization Program Roadmap, the primary modernization project components fall into four major work streams:

- **Applications** – Integrated Case Management (ICM), Customer Relationship Management (CRM), Analytics, Finance, and Administration.
- **Project Management** – Development, execution, and oversight of project management strategies and procurement activities to acquire applications and support services for the new technical and functional environment. Includes project governance and manages the development, modification, or elimination of DLA Policies and Procedures that must be aligned with and guide the future IT profile. The DLA has expanded its Program Management Office (PMO) staffing to prepare for the modernization effort.
- **Transition** – Migration from existing HCL Notes development and application platform (technical) and transformation of existing IT staff resources to support the new systems and environment.
- **Staff** –Workforce Planning, Organizational Change Management (OCM).

In addition to the Pre-DDI support, the selected vendor will work in conjunction with DLA staff to achieve the goals and objectives for various on-going tasks shown in Exhibit II 16: Modernization Program Roadmap. Specifically, the selected vendor will perform and/or support the following:

- **Data Migration** – Assist in the creation and execution of a data migration plan to move existing IBM Lotus/Notes CMS and CRM data to the new Azure Cloud platform; includes all functional application data/information (e.g., Case structures and financial information).
- **Policy and Procedure Updates** – Assist in the creation/update of DLA policies and procedures to reflect the new business/IT environment; tasks may include Public Records, eDiscovery, and Archive/Retention of DLA information assets.

- **Workforce Planning** – Create, implement, and mange a detailed Workforce Transition Plan to align staff with the new business strategies. The workforce transition plan also describes how to manage, develop, and motivate talent while ensuring any major business and technology changes effectively serve business needs.
- **Organizational Change Management –** Develop and execute a stakeholder and organizational impact analysis to quantify the types and levels of required change management efforts. Includes a communication strategy and plan to inform all stakeholders of on-going and anticipated project activities.
- **Transition** (Staffing and Lotus Notes/Domino Platform Migration) – Assist the DLA IT staff during the transition from the current application development environment to a COTS-centric approach and ensure all necessary automated business functions are migrated from the Notes platform to the various functional applications and solutions.

D. Functional and Technical Requirements

The specific detailed functional and technical requirements will be defined concurrently.

Legal Matter Management System - Case Management

- The system must have the ability to configure and tailor unique Case Screens per business units.
- The system must be able create unique folders for paperless case files; have workflow capabilities; have access controls.
- The system must allow for secure transmission (incoming and outgoing) of files (documents, pictures, audios, videos, etc.) that can handle large data files, have access controls and activity logs.
- The system must accommodate several hundred concurrent users at multiple sites throughout the State; be compatible with our other IT products (i.e.: Windows 10, Windows 7, Microsoft Office 2016, Microsoft Office 365, Outlook email, Internet Explorer 11).
- The system must possess defined workflow processes with tracking functions, both for users as well as sections.
- The system must possess the capability to reassign tasks.
- The system must be able to run on premise or be cloud based. If on premise, it should be Microsoft SQL Server back-end (current version), on a Microsoft O/S (also current version) environment.
- The system must be able to be accessed via a web browser.
- The system must allow each division to have its own secure area within the case management system.
- The system should have address validation and review with pre-population of fields capabilities.
- The system must allow the import and export of data in delimited text files, MS Excel, and other standard data formats.
- The system must provide a range of query and report options, including ad-hoc, custom and user-defined reports (online and web enabled).
- The system should integrate with Microsoft Outlook e-mail and calendars in order to integrate with both personal e-mails and personal calendars.
- The system should have the ability to produce e-mail reminders prior to the deadline date and to do so on a flexible scheduled basis for those reminders.
- ***NOTE: The above requirements have been met with the procurement of the LawBase software system.***

CRM (Customer Relationship Management)

- The system should allow users to add, edit, view, or print Contacts.
- Contacts in the system should be able to be linked to one or many Cases.
- The system should provide Specialty, Relationship, and Categories for Mailing List generation.
- The system should allow the importing of contacts from online address book.
- The system should provide a place to store all types of contacts, i.e., opposing party names, opposing counsel names, attorney and paralegal names, judges' names, witnesses, expert witnesses, etc.
- The system should have a contact directory for each office.
- The system should provide address validation and review with pre-population of fields' capabilities.
- ***Note: The CRM Project has been under development using a staff augmentation team of Microsoft Dynamics 365 consultants.***

Technical Requirements

- The system must employ defined data standards (e.g., consistent data schema, data elements, data class, field lengths, and data tables, naming conventions).
- The system must provide the ability to associate supporting documentation (e.g., scanned documents) with a system record.
- The system must be upgraded to support vendor supported hardware versions.
- The system must employ a data model that enforces referential integrity.
- The system must provide a mechanism for recording and viewing system errors and warnings.
- The system must provide a mechanism to notify the system administrator when definable performance and storage thresholds are exceeded.
- The system must allow for maintenance and support activities to be carried out while the application and supporting systems are online (e.g., "Hot" backup procedures).
- The system must provide the ability to report on interface transmissions (e.g., total number of records loaded, date of interface transmission, amount of time to execute the interface transmission, errors, and failures).
- The system must include tools for monitoring and reporting capacity for all system components.
- The system must include tools for monitoring and reporting performance for all system components.
- The system must include tools for customizing the system (e.g., adding functionality, modifying existing functionality, modifying configurable settings).
- The system must support the latest encryption standards for the transmission of data.
- The system must provide the ability to transmit the scanned data through multiple methods (e.g., FTP, web-service).
- The system must provide data security with regard to electronic privacy and regulations.
- The system must provide approved end-users with the appropriate access to modify report queries on-line.
- The system must provide the ability to generate reports based on report specific user-defined parameters.
- The system must provide the ability to search a range of data values.
- The system must provide the ability to identify users by User ID.
- The system must limit a user's access to reports based on the user's security profile.
- The system must be Criminal Justice Information Systems (CJIS) compliant.
- The system must have access controls.
- The system must retain the security that all data stored or accessed through the solution belongs to OAG.
- The system must allow each division to have its own secure area within the case management software.
- The system must allow for secure transmission (incoming and outgoing) of files (documents, pictures, audios, videos, etc.) that can handle large data files, have access controls and activity logs.
- The system must provide user security and screen level access integrated with Active Directory.
- The system should be configurable without programming.
- The system should allow the import and export data in delimited text files, MS Excel, and other standard data formats.

The ITMP Deliverable 2.05 Requirements Specification Document Final is attached along with the IBM Lotus/Notes “As Is” Designs. The attachments are the analyses performed on 215 IBM Lotus/Notes databases that comprised the scope of the project. These deliverables were produced during the ITMP **Phase 3 CMS/CRM Implementation** by the system integrator.

OAG ITMP 2.05 Requirements Speci

Supporting As-Is Designs.zip

OAG ITMP 2.06 Fit Gap Analysis and Re

A fit gap analysis was performed during the ITMP **Phase 2 – Analysis** and is attached.

ITMP Deliverables 3.04 CMS/CRM Development Environment and 3.05 Installation of the CMS CRM Solution Final were both delivered during the ITMP **Phase 3 CMS/CRM Implementation**.

OAG ITMP 3.04 CMS CRM Development E

OAG ITMP 3.05 Installation of the C

III. Success Criteria

The success of the OAG Modernization Program will be based on a number of quantitative and qualitative factors. Each of these factors are in alignment with the business objectives and proposed business process requirements, as well as the overall vision and mission of the DLA.

The major success criteria for the project, along with the Key Performance Indicators (KPIs), are listed in the table below. The success criteria and the KPIs form the basis of any contracts pursued to implement the new solution. The DLA anticipates the project management team responsible for the implementation of the solution will develop a benefit realization strategy and plan. The benefit realization plan will be designed to complete baseline measurement and several interim measurements before the final benefit realization report is complete.

Success Criteria		
#	**Description of Success Criteria**	**Key Performance Indicator**
1	The solution will enable the DLA to improve its internal operating efficiency.	· Reduce turnaround time on document production · Reduce percentage of duplicate entries · Reduce time spent correcting data errors
2	The solution will enable the DLA to adapt more quickly to legislative and end-of-year changes.	· Time to implement mandated changes
3	The solution will mitigate the potential risk associated with on-going support and maintenance of the system.	· On-going support and maintenance costs · Number of old systems eliminated
4	The solution will present program data in an integrated view.	· Process efficiencies/performance · Staff efficiencies/performance
5	The solution will provide value to the DLA through additional automated options.	· Percent of automated v. manual processes · Efficiencies/performance increases
6	The solution implemented in ITMP Phase 1 - Implementation created a unified electronic content management system (ECM).	· Installation of new ECM OnBase system · Usage of new ECM OnBase agency-wide
7	The solution will provide an underlying data structure that is scalable to meet future growth.	· Data storage capacity after installation of new ECM · Long-term capability to augment data storage capacity
8	The solution will allow DLA to develop a more comprehensive public records request process.	· Ability to quickly pinpoint requests to the correct office · Ability to quickly determine if there is material available
9	The solution will provide a positive financial Return on Investment (ROI) and Internal Rate of Return (IRR) to the State of Florida.	· Project ROI · Project IRR
10	The project will be completed on-schedule, in accordance with an approved project plan.	· Interim project milestones
11	The project will be completed within the prescribed budget constraints defined in advance of project initiation.	· Project financial data

Success Criteria		
#	**Description of Success Criteria**	**Key Performance Indicator**
12	The project will achieve anticipated Cost Benefits.	· Cost Benefit Analysis outcomes
13	The project will facilitate data exchange with external stakeholders	· Maintain data exchange with key systems

Exhibit III-1 Project Success Criteria

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

A. Benefits Realization Table

The purpose of this section is to describe and compare the costs and the expected benefits for the proposed OAG Modernization Program. The Cost Benefit Analysis (CBA) forms presented in this section identify:

- Estimated program costs
- Estimated program benefits, both tangible and intangible
- Fiscal metrics associated with implementing the program

The OAG Modernization Program will enable substantial improvements in the remittance and document processing activities of the DLA.

The OAG Modernization Program benefits described in this analysis will be the result of aligning the DLA's business processes with technology best practices to maximize return on investment. Benefits will accrue as a result of updated imaging functionality that has already been implemented, in combination with targeted improvements in existing business processes. The expected benefits are described in Exhibit IV-1: Benefits Realization Table.

#	Description of Benefit	Tangible or Intangible	Who receives the benefit?	How is the benefit realized?	How will the realization of the benefit be assessed / measured?	Realization Date
1	Improved Data Sharing between Units (F-1.)	Tangible	DLA/State of Florida	The new case management and customer relationship management systems will reduce the frequency of data error, reducing the need for staff to manually key in the correct data.	($ in work hours spent per employee (weighted by job title and salary) per year) * 75% efficiency gain Est. Annual Benefit Value: $4,137,492	FY 2025-2026
2	Increased Efficiency to System Changes in Support of Business Needs (F-6.)	Tangible	DLA/State of Florida	With a simplified IT environment, the IT application development team will spend less time modifying, repairing, and replacing existing unit-specific programs. The result will be more time that the IT staff can spend on other projects, or trouble shooting larger issues.	(# of IT staff members that support business needs * average salary for IT personnel) * 20% efficiency gain Est. Annual Benefit Value: $296,692	FY 2025-2026
3	Reduce Employee Onboarding Costs (F-3.)	Tangible	DLA/State of Florida	The byzantine, fragmented nature of the current business environment results in additional time required to train new employees or unit-to-unit transfers when they arrive at a new DLA office. A modern, unified system can reduce the training time needed.	estimated time saved to train new employee * average employee salary * number of new employees per year Est. Annual Benefit Value: $356,416	FY 2025-2026

4	Increased Data Security and Protection (F-6.)	Tangible	DLA/State of Florida	Because of the outdated design of the IT security environment, the application development team spends significant time controlling and maintaining access to different programs and databases. A modernized and unified system will enable access control management to be delegated to individual business units, reducing the time needed to protect critical data.	(amount of time spent by IT staff on data security and protection * average hourly IT salary) * 60% efficiency gain Est. Annual Benefit Value: $97,099	FY 2025-2026
5	Improved Citizen Services Efficiency (F-2.)	Tangible	DLA/State of Florida	The call center in Citizen Services currently does not employ a modern Customer Relations Management program to allow quick, accurate responses. Installing a Customer Relations Management program will improve the time and efficiency in which an employee in Citizen Services can respond to citizens' requests.	(operating budget for Citizen Services) *10% efficiency gain Est. Annual Benefit Value: $188,472	FY 2025-2026
6	Transfer of Institution Knowledge from Workforce to System (F-4.)	Tangible	DLA/State of Florida	Due to the decentralized structure of the current IT environment and the numerous internally built programs, a lot of the knowledge in document management and process flow is retained by a select few people. A more centralized, automated system will remove a "single point of failure" from the process.	estimated reduced time to recover after an employee separates from their office * average employee salary * number of employee separations per year Est. Annual Benefit Value: $389,830	FY 2025-2026
7	Reduced Time for Training Transferred Employees (F-4.)	Tangible	DLA/State of Florida	Currently, when an employee moves from one business unit to another at DLA, the IT environment changes dramatically. It can be as if they are moving to another agency. With an updated IT environment, the time needed to retrain transferring employees will be significantly reduced.	estimated time saved to train a transferred employee * average employee salary * number of transferred employees per year Est. Annual Benefit Value: $50,987	FY 2025-2026

8	Timely Tracking and Invoicing/ Collections (F-3.)	Tangible	DLA/State of Florida	Because of the antiquated and decentralized nature of DLA's business environment, the invoicing, and collections process (which is centralized) is extremely inefficient. A modern system could dramatically increase efficiency.	(estimated time spent on tracking, invoicing, and collection * salary of select employees) * 33% efficiency gain Est. Annual Benefit Value: $52,199	FY 2025-2026
9	Efficiency Gain from Better Leveraged IT Staffing (F-6.)	Tangible	DLA/State of Florida	Currently, the IT staff has numerous backlogged projects that they plan to spend considerable resources on. The IT modernization program will remove the need for a great number of these projects, creating significant savings for DLA.	# estimated workhours for backlogged projects that will be redundant after modernization efforts * average IT salary Est. Annual Benefit Value: **$298,247 (this is a one-time benefit)**	FY 2025-2026
10	Increased Efficiency from Mobile Computing F-5	Tangible	DLA/State of Florida	The ability for managers, attorneys, and other staff members to work on mobile devices will dramatically improve workplace productivity, according to recent data by the American Productivity & Quality Center. Allowing mobile computing will give managers the ability to complete approvals and facilitate other day-to-day decision-making tasks.	average time saved using mobile computing * # of employees not currently using mobile computing * average DLA salary Est. Annual Benefit Value: $1,013,559	FY 2025-2026
11	Improved IT Security Conditions	Intangible	DLA/State of Florida	A more modern IT environment will reduce the risk of any IT Security issue occurring, and limit fallout from an issue, if it does occur.	- Not measured for the purposes of this analysis. Est. Annual Benefit Value: NA	Upon Implementation
12	Improved Crisis Reaction Time	Intangible	DLA/State of Florida	Modern, centralized IT, with mobile computing capabilities will allow DLA employees to respond quickly to crisis or high-profile situations.	- An estimated reduction in effort involved in supporting applications associated with the imaging environment. Est. Annual Benefit Value: NA	Upon Implementation
13	Improved Staff Capture/ Retention	Intangible	DLA/State of Florida	Updated, current technology will make it easier to attract and retain talented employees to DLA.	- Not measured for the purposes of this analysis. Est. Annual Benefit Value: NA	Upon Implementation

Exhibit IV-1: Benefits Realization Table

B. Cost Benefit Analysis (CBA)

This section contains the CBA forms that present the cost and benefit analyses for the OAG Modernization Program. The typical five-year timeline established in the CBA forms has not been extended.

The projected net benefits for the OAG Modernization Program are significant and compelling. The estimated Net Present Value (NPV) from the OAG Modernization Program over the next five years is **$13,124,162.** The NPV calculation includes an estimate of **$34,627,591** in total Program Net Tangible Benefits and total program costs of **$18,826,600. This total does not include the Current & Previous Years Project-Related Cost of $2,740,000.** Because benefits continue after the five-year period, the calculated NPV is very conservative, potentially understating benefits of the program to the DLA and Florida stakeholders.

a. Program Costs

The estimated total cost of implementing the proposed OAG Modernization Program cost is $19.5 Million over the project life.

b. Program Financial Return Analysis

The DLA has computed the following values for the OAG Modernization program.

Investment Term	Computed Value
Total Cost	$18.8 M distributed over five fiscal years
Benefits	$34.6 M in total benefits
Payback Period	2.75 years
Payback Date	FY 2027-2028
	6 Year Analysis
Net Tangible Benefits	$15.8 M (total benefits minus total costs)
NPV	$13.1 M
IRR	45.63%

Exhibit IV-2: Financial Return Analysis

The breakeven year is FY 2027-28. This rapid breakeven indicates a strong program that pays for itself quickly.

- The five-year NPV is $15.8 Million. By this measure, the OAG Modernization Program is a sound investment.
- The IRR is 45.63 percent. The New York University ***Cost of Capital by Sector*** analysis estimates the Software (System & Application) sector cost of capital for investment purposes to be 9.83 percent. The analysis included 351 firms and the data used is as of January 2024. This report is available in Appendix C – Reference Report.
- Given that the OAG Modernization Program's IRR significantly exceeds the forecasted cost of capital, the program would provide a positive impact to the DLA's financial position.

The tangible benefits of this program significantly outweigh the upfront costs, making this program a sound investment for the Florida Legislature to approve. In addition, the intangible benefits are significant. The minimized risk of mistakes related to public records requests, the reduced risk of a cyber security incident impacting the Department of Legal Affairs, the increased ability to respond quickly and competently when crises occur anywhere in the State, and the increased ability to hire and retain top tier talent, all have real-world beneficial impacts on State government and Florida citizens. The intangible benefits should be considered as well.

The DLA recommends that the proposed OAG Modernization Program be approved and authorized to proceed with the initiation of the program's pre-implementation and procurement activities, and that the required funding be requested by the Executive Office of the Governor and approved by the Legislature.

The DLA, to get the program moving forward in FY 2023-2024 and to evidence its confidence that the investment required to fund the OAG Modernization Program will produce the identified benefits, is planning to continue to

self-fund the activities that are underway. The recommended next step is to secure funding of $6,183,840 for FY 2025-2026 to move forward with the OAG Modernization Program.

The following spreadsheets provide the CBA forms and detailed cost and benefits calculations.

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

State of Florida
Cost Benefit Analysis

APPENDIX A

Fiscal Year 2025-26

CBAForm 1 - Net Tangible Benefits

Agency: Department of Legal Affairs Project: OAG Modernization Program

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

Agency (Recurring Costs Only – No Project Costs)	FY 2025-26			FY 2026-27			FY 2027-28			FY 2028-29			FY 2029-30		
	(a) Existing Program Costs	(b) Operational Cost Change	(c) = (a)+(b) New Program Costs resulting from Proposed Project	(a) Existing Program Costs	(b) Operational Cost Change	(c) = (a) + (b) New Program Costs resulting from Proposed Project	(a) Existing Program Costs	(b) Operational Cost Change	(c) = (a) + (b) New Program Costs resulting from Proposed Project	(a) Existing Program Costs	(b) Cost Change Operational Cost Change	(c) = (a) + (b) New Program Costs resulting from Proposed Project	(a) Existing Program Costs	(b) Operational Cost Change	(c) = (a) + (b) New Program Costs resulting from Proposed Project
A. Personnel Costs – Agency-Managed Staff	$121,028,733	$322,400	$121,351,133	$121,351,133	-$1,638,000	$119,713,133	$119,713,133	$0	$119,713,133	$119,713,133	-$190,000	$119,523,133	$119,523,133	$0	$119,523,133
A.b Total Staff	1325.00	1.00	1326.00	1326.00	-8.00	1318.00	1318.00	0.00	1318.00	1318.00	-1.00	1317.00	1317.00	0.00	1317.00
A-1.a. State FTEs (Salaries & Benefits)	$119,200,733	$0	$119,200,733	$119,200,733	$0	$119,200,733	$119,200,733	$0	$119,200,733	$119,200,733	$0	$119,200,733	$119,200,733	$0	$119,200,733
A-1.b. State FTEs (#)	1316.00	0.00	1316.00	1316.00	0.00	1316.00	1316.00	0.00	1316.00	1316.00	0.00	1316.00	1316.00	0.00	1316.00
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	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)	$1,828,000	$322,400	$2,150,400	$2,150,400	-$1,638,000	$512,400	$512,400	$0	$512,400	$512,400	-$190,000	$322,400	$322,400	$0	$322,400
A-3.b. Staff Augmentation (# of Contractors)	9.00	1.00	10.00	10.00	-8.00	2.00	2.00	0.00	2.00	2.00	-1.00	1.00	1.00	0.00	1.00
B. Application Maintenance Costs	$600,000	$1,183,400	$1,783,400	$2,263,400	$0	$2,263,400	$2,263,400	$0	$2,263,400	$2,263,400	$0	$2,263,400	$2,263,400	$0	$2,263,400
B-1. Managed Services (Staffing)	$600,000	$192,000	$792,000	$792,000	$0	$792,000	$792,000	$0	$792,000	$792,000	$0	$792,000	$792,000	$0	$792,000
B-2. Hardware	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0
B-3. Software	$0	$991,400	$991,400	$1,471,400	$0	$1,471,400	$1,471,400	$0	$1,471,400	$1,471,400	$0	$1,471,400	$1,471,400	$0	$1,471,400
B-4. Other LawBase Project Deliverables	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0
C. Data Center Provider Costs	$921,600	$1,178,400	$2,100,000	$2,100,000	$0	$2,100,000	$2,100,000	$0	$2,100,000	$2,100,000	$0	$2,100,000	$2,100,000	$0	$2,100,000
C-1. Managed Services (Staffing)	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0
C-2. Infrastructure	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0
C-3. Network / Hosting Services	$921,600	$38,400	$960,000	$960,000	$0	$960,000	$960,000	$0	$960,000	$960,000	$0	$960,000	$960,000	$0	$960,000
C-4. Disaster Recovery	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0
C-5. Other Azure Cloud	$0	$1,140,000	$1,140,000	$1,140,000	$0	$1,140,000	$1,140,000	$0	$1,140,000	$1,140,000	$0	$1,140,000	$1,140,000	$0	$1,140,000
D. Plant & Facility Costs	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0
E. Other Costs	$300,000	-$120,000	$180,000	$180,000	$0	$180,000	$150,000	$0	$150,000	$150,000	$0	$150,000	$150,000	$0	$150,000
E-1. Training	$300,000	-$150,000	$150,000	$150,000	$0	$150,000	$150,000	$0	$150,000	$150,000	$0	$150,000	$150,000	$0	$150,000
E-2. Travel	$0	$30,000	$30,000	$30,000	$0	$30,000	$0	$0	$0	$0	$0	$0	$0	$0	$0
E-3. Other Specify	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0
Total of Recurring Operational Costs	$122,850,333	$2,564,200	$125,414,533	$125,894,533	-$1,638,000	$124,256,533	$124,226,533	$0	$124,226,533	$124,226,533	-$190,000	$124,036,533	$124,036,533	$0	$124,036,533
F. Additional Tangible Benefits:		$7,072,758			$7,072,758			$7,072,758			$7,072,758			$7,072,758	
F-1. Data Quality/ Access/ Duplication		$4,252,799			$4,252,799			$4,252,799			$4,252,799			$4,252,799	
F-2. Organizational Effectiveness		$193,724			$193,724			$193,724			$193,724			$193,724	
F-3. IT/ Administrative Efficiencies		$420,002			$420,002			$420,002			$420,002			$420,002	
F-4. Improved Knowledge Management		$453,103			$453,103			$453,103			$453,103			$453,103	
F-5. Operational Responsiveness		$1,041,806			$1,041,806			$1,041,806			$1,041,806			$1,041,806	
F-6. Operational Efficiencies		$711,324			$711,324			$711,324			$711,324			$711,324	
Total Net Tangible Benefits:		$4,508,558			$8,710,758			$7,072,758			$7,262,758			$7,072,758	

CHARACTERIZATION OF PROJECT BENEFIT ESTIMATE – CBAForm 1B

Choose Type		Estimate Confidence	Enter % (+/-)
Detailed/Rigorous	✓	Confidence Level	95%
Order of Magnitude		Confidence Level	
Placeholder		Confidence Level	

State of Florida

Cost Benefit Analysis

APPENDIX A

Fiscal Year 2025-26

	A	B	C	D	E	F	G	H	I	J	K	L	M	N	O	P	Q	R	S	T
1	Department of Legal Affairs	OAG Modernization Program			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.*				FY2025-26			FY2026-27			FY2027-28			FY2028-29			FY2029-30			TOTAL
3				$ 9,876,400		$ 6,183,840			$ 1,784,360			$ 982,000			$ -			$ -		$ 18,826,600
4	Item Description *(remove guidelines and annotate entries here)*	Project Cost Element	Appropriation Category	Current & Previous Years Project-Related Cost	YR 1 #	YR 1 LBR	YR 1 Base Budget	YR 2 #	YR 2 LBR	YR 2 Base Budget	YR 3 #	YR 3 LBR	YR 3 Base Budget	YR 4 #	YR 4 LBR	YR 4 Base Budget	YR 5 #	YR 5 LBR	YR 5 Base Budget	TOTAL
5	Costs for all state employees working on the project.	FTE	S&B	$ -	0.00	$ -	$ -	0.00	$ -	$ -	0.00	$ -	$ -	0.00	$ -	$ -	0.00	$ -	$ -	$ -
6	Costs for all OPS employees working on the project.	OPS	OPS	$ -	0.00		$ -	0.00	$ -	$ -	0.00	$ -	$ -	0.00	$ -	$ -	0.00	$ -	$ -	$ -
7	Staffing costs for personnel using Time & Expense.	Staff Augmentation	Contracted Services	$ 3,344,000	0.00	$ 1,960,400	$ -	0.00	$ 322,400	$ -	0.00	$ -	$ -	0.00	$ -	$ -	0.00	$ -	$ -	$ 5,626,800
8	Project management personnel and related deliverables.	Project Management	Contracted Services	$ 360,000	0.00	$ 190,000	$ -	0.00	$ 190,000	$ -	0.00	$ 190,000	$ -	0.00	$ -	$ -	0.00	$ -	$ -	$ 930,000
9	Project oversight to include Independent Verification & Validation (IV&V) personnel and related deliverables.	Project Oversight	Contracted Services	$ -	0.00	$ -	$ -	0.00	$ -	$ -	0.00	$ -	$ -	0.00	$ -	$ -	0.00	$ -	$ -	$ -
10	Staffing costs for all professional services not included in other categories.	Consultants/Contractors	Contracted Services	$ -	0.00	$ 792,000	$ -	0.00	$ 792,000	$ -	0.00	$ 792,000	$ -	0.00	$ -	$ -	0.00	$ -	$ -	$ 2,376,000
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	$ 3,906,800		$ 991,440	$ -		$ 479,960	$ -		$ -	$ -		$ -	$ -		$ -	$ -	$ 5,378,200
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	$ 600,000		$ 150,000	$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -	$ 750,000
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	Azure Cloud Costs	Other Services	Contracted Services	$ -		$ 1,140,000	$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -	$ 1,140,000
18	Include costs for non-state data center equipment required by the project and the proposed solution (insert additional rows as needed for detail)	Equipment	Expense	$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -	$ -
19	Include costs associated with leasing space for project personnel.	Leased Space	Expense	$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -	$ -
20	Networking/Hosting Services	Other Expenses	Expense	$ 1,665,600		$ 960,000	$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -	$ 2,625,600
21		Total		$ 9,876,400	0.00	$ 6,183,840	$ -	0.00	$ 1,784,360	$ -	0.00	$ 982,000	$ -	0.00	$ -	$ -	0.00	$ -	$ -	$ 18,826,600

CBAForm 2 - Project Cost Analysis

Agency Department of Legal Affairs **Project** OAG Modernization Program

PROJECT COST SUMMARY	PROJECT COST SUMMARY (from CBAForm 2A)					TOTAL
	FY 2025-26	FY 2026-27	FY 2027-28	FY 2028-29	FY 2029-30	
TOTAL PROJECT COSTS (*)	$6,183,840	$1,784,360	$982,000	$0	$0	$18,826,600
CUMULATIVE PROJECT COSTS (includes Current & Previous Years' Project-Related Costs)	$16,060,240	$17,844,600	$18,826,600	$18,826,600	$18,826,600	
Total Costs are carried forward to CBAForm3 Project Investment Summary worksheet.						

PROJECT FUNDING SOURCES	PROJECT FUNDING SOURCES - CBAForm 2B					TOTAL
	FY 2025-26	FY 2026-27	FY 2027-28	FY 2028-29	FY 2029-30	
General Revenue	$0	$0	$0	$0	$0	$0
Trust Fund	$0	$0	$0	$0	$0	$0
Federal Match ☐	$0	$0	$0	$0	$0	$0
Grants	$0	$0	$0	$0	$0	$0
Other ☐ Specify	$0	$0	$0	$0	$0	$0
TOTAL INVESTMENT	$0	$0	$0	$0	$0	$0
CUMULATIVE INVESTMENT	$0	$0	$0	$0	$0	

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

CBAForm 3 - Project Investment Summary

Agency Department of Legal Affairs **Project** OAG Modernization Program

COST BENEFIT ANALYSIS – CBAForm 3A						
	FY 2025-26	FY 2026-27	FY 2027-28	FY 2028-29	FY 2029-30	TOTAL FOR ALL YEARS
Project Cost	$6,183,840	$1,784,360	$982,000	$0	$0	$18,826,600
Net Tangible Benefits	$4,508,558	$8,710,758	$7,072,758	$7,262,758	$7,072,758	$34,627,591
Return on Investment	($11,551,682)	$6,926,398	$6,090,758	$7,262,758	$7,072,758	$15,800,991
Year to Year Change in Program Staffing	1	(8)	0	(1)	0	

RETURN ON INVESTMENT ANALYSIS – CBAForm 3B		
Payback Period (years)	2 3/4	Payback Period is the time required to recover the investment costs of the project.
Breakeven Fiscal Year	2027-28	Fiscal Year during which the project's investment costs are recovered.
Net Present Value (NPV)	$13,124,162	NPV is the present-day value of the project's benefits less costs over the project's lifecycle.
Internal Rate of Return (IRR)	45.63%	IRR is the project's rate of return.

Investment Interest Earning Yield – CBAForm 3C					
Fiscal Year	FY 2025-26	FY 2026-27	FY 2027-28	FY 2028-29	FY 2029-30
Cost of Capital	2.90%	3.10%	3.30%	3.40%	3.50%

V. Schedule IV-B Major Project Risk Assessment

A project risk assessment of the OAG Modernization Program was performed using the assessment tool provided as part of the Information Technology Guidelines and Forms on the Florida Fiscal Portal. The tool involves answering 89 questions about the project being considered, divided into eight assessment categories. The results of the assessment in Appendix B are summarized in the following sections. Questions in this assessment were answered with the expectation that many of the foundational tasks will be formulated in the next year as the DLA ramps up processes and documentation to prepare for the first year of implementation.

For the purposes of the Project Risk Assessment section, the OAG Modernization Program will be referred to as a single "project".

A. Risk Assessment Summary

The overall risk assessment of the project is rated as "Medium" based on the risk assessment tool. This rating reflects assessment ratings of "Low" in three of the eight assessment areas, "Medium" in four of the eight assessment areas and "High" in one of the eight assessment areas. The DLA has diligently reduced risk by providing technical training to IT staff and the knowledge transfer sessions provided during the course of the ITMP.

The only category assessed as "high risk" was the Project Complexity Assessment score. The overall risk assessment rating aligns with expectations for a project of this scope and type regardless of solution or approach.

Exhibit V-1 Project Risk Assessment Summary is a graphical representation of the results computed by the risk assessment tool.

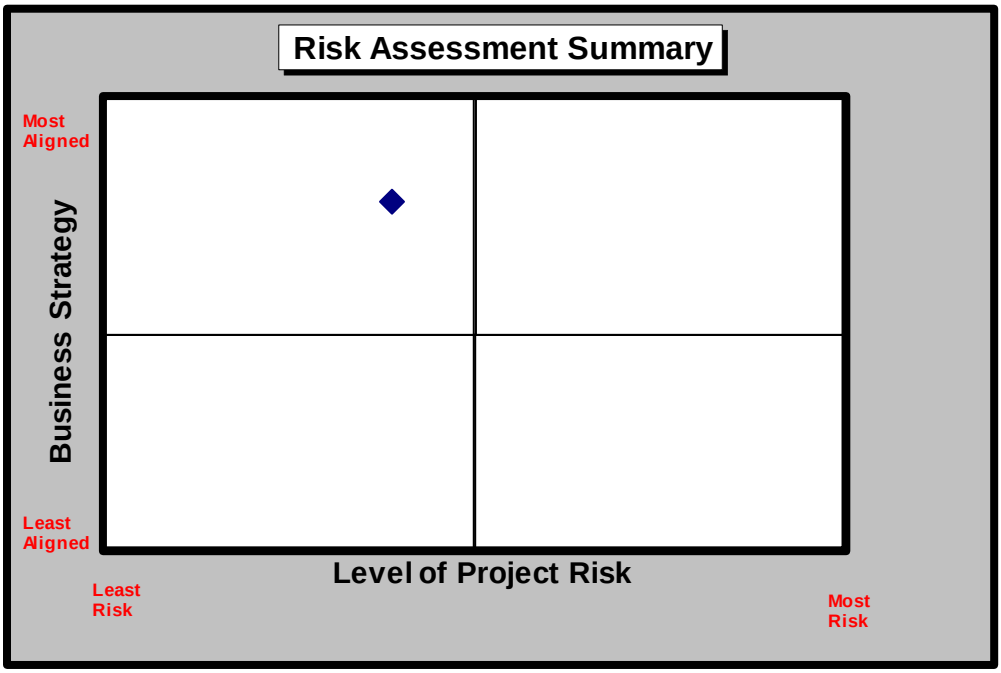

Exhibit V-1 Project Risk Assessment Summary

The Project Risk Area Breakdown is as follows:

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

Exhibit V-2 Project Risk Assessment Summary Table

Factors that contributed to the project's risk assessment level of "Medium" and its placement in the upper-left quadrant of the Risk Assessment Summary in Exhibit V-1 Project Risk Assessment Summary were addressed during the ITMP. The OAG Modernization Program will mitigate all category risks listed during the first year of the project. These include:

- Strategic Risk
  a. The project objectives will be clearly documented and signed off by the stakeholders
  b. The project charter will be signed by the executive sponsor
  c. All of the project requirements, assumptions, constraints, and priorities will be defined
- Technology Risk
  a. The internal staff will gain sufficient experience during the first year of implementation
- Change Management Risk
  a. All of the business process changes will be defined and documented
  b. An Organizational Change Management Plan will be developed early in the project
- Communication Risk
  a. A Communication Plan will be approved
  b. The Communication Plan will promote the routine use of feedback (at a minimum)
  c. All affected stakeholders will be included in the Communication Plan
  d. All key messages will be documented in the Communication Plan
  e. The Communication Plan will identify and assign needed staff
- Fiscal Risk
  a. A Spending Plan will be documented and approved for the project lifecycle
  b. All project expenditures will be identified and documented in the Spending Plan
  c. The cost estimates for the project will be accurate within +/- 10%
  d. Funds will be available within existing resources to complete the project
  e. The procurement strategy will be reviewed and approved

- Project Organization
    a. The project organization and governance structure will be defined and documented
    b. A project staffing plan will identify and document all staff roles and responsibilities
    c. The Change Review and Control Board will include representation from all stakeholders
- Project Management Risk
    a. All requirements and specifications will be defined and documented
    b. All requirements and specifications will be traceable to specific business rules
    c. All project deliverables and acceptance criteria will be identified
    d. The Work Breakdown Structure will be defined to the work package level
    e. The project schedule will specify all project tasks, go/no-go decision points, milestones and resources
    f. Formal project status reporting will be in place
    g. All planning and reporting templates will be available
    h. All known project risks and mitigation strategies will be identified

Exhibit V-2 Project Risk Assessment Summary Table illustrates the risk assessment areas that were evaluated, and the breakdown of the risk exposure assessed in each area. As indicated above, the overall project risk should diminish significantly by the conclusion of the first year when the project structure is in place, business processes and requirements are fully mapped and defined, and the foundational technology elements have been implemented.

The DLA's plan to continually identify, assess, and mitigate risk throughout the life of the project is discussed in Section VII, Project Management Planning.

VI. Schedule IV-B Technology Planning

A. Current Information Technology Environment

1. Current System

a. Description of Current System

The current DLA processing platform technology consists primarily of:

- HCL Domino, a cloud-based system, is replacing IBM Notes/Domino databases and applications
- A new cloud-based COTS Electronic Content Management System (ECM), OnBase, was implemented during ITMP **Phase 1 – ECM Implementation**
- Microsoft Office 365 applications for workforce productivity
- Other COTS products that provide common architecture processing.

The current application systems are primarily business unit specific implementations that have been custom built using IBM Notes/Domino as an application development, data storage and execution platform. OnBase is the COTS Electronic Content Management System used to store open and closed case file documents and relevant email records. Microsoft Office 365 is a COTS product used for worker productivity processing including word processing, spreadsheets, presentations, graphics, and work planning. Other COTS products and cloud-based services support specific business processing functions including eDiscovery, fraud analytics, and other areas.

Exhibit VI-1: Current Processing Platform Overview depicts the major technology of the current processing platform.

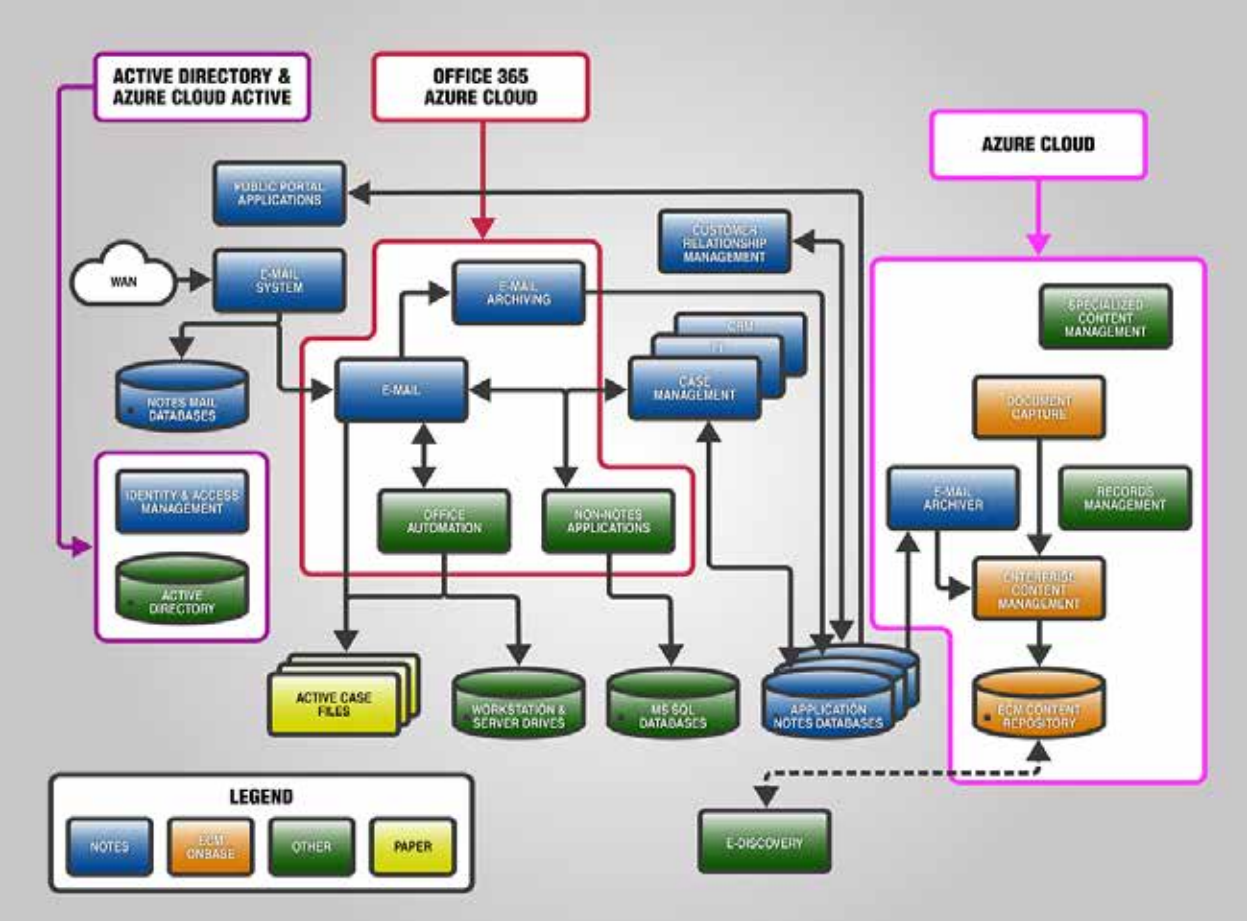

Exhibit VI-2: Current Processing Platform Overview

b. Technical Architecture

The current platform uses tightly integrated functionality and processing services of the IBM Notes/Domino platform. Specific technical architecture services provided by the IBM Notes/Domino platform include:

1. Custom application data entry, maintenance, and validation
2. Application data storage
3. Task management
4. Workflow
5. Custom application mail integration
6. Public portal applications

The OnBase system is an ECM system that supports:

7. Document Ingestion (via CoFAX)
8. Document Indexing
9. Document Retrieval
10. Document Storage
11. Document Search
12. Business Process Workflows

The COTS applications used for worker productivity are primarily:

13. Microsoft Office – word processing, spreadsheets, presentations, etc.

14. Microsoft SQL Server
15. eDocs – used for active case document storage
16. Other unit specific COTS products

The following table lists the DLA hardware and the technical architecture:

DLA Equipment	Host	Usage
Cisco OAG Firewall	N/A	Firewall
Server	TLH07	Public Portal
Server	TLH02	Primary Production 1
Server	TLH08	Production 1 Replica
Server	TLH14	Primary Production 2
Server	TLH27	Production 2 Replica
Server	TLH11	Victims
Server	TLH12	Victims Replica
Server	TLH23	OAG Development
Server	PHNX01	OAG Development
Server	PHNX02	OAG Development
Server	Daily VMWare Snapshots	Backup
Server	ORL01	Backup
Server	CLD01	Backup

Exhibit VI-3: DLA Technical Architecture - Hardware

The following diagram illustrates the technical architecture of the HCL Notes Application Systems:

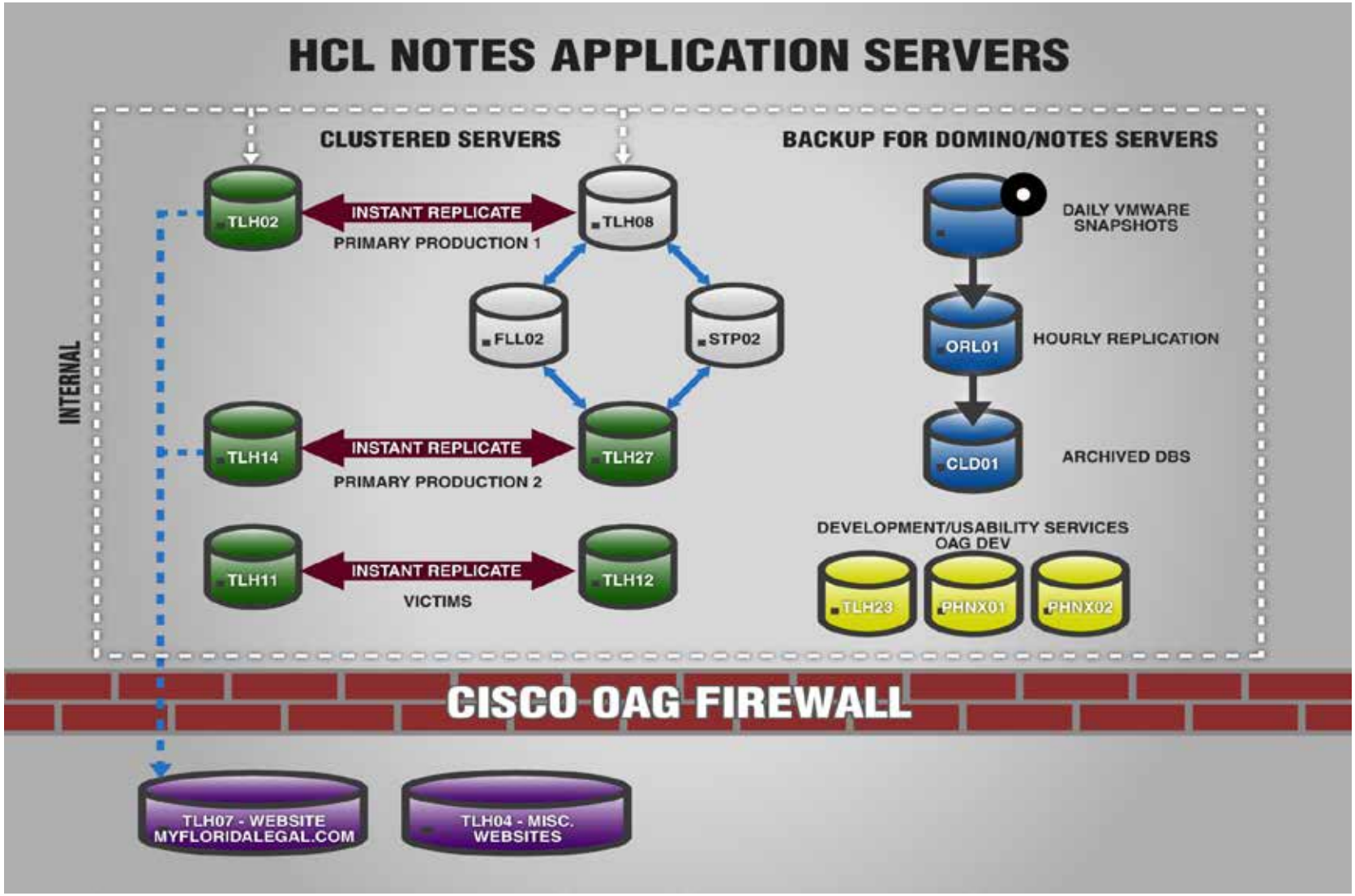

Exhibit VI-4: IBM Notes/Domino Application Technical Architecture

c. Custom Application Software

The DLA manages over 130 instances of custom developed and maintained Notes/Domino applications that use the Notes/Domino platform. Included in the total count are replica copies of a Notes database that are created to get past Notes storage size limits for each instance. Exhibit VI-5: Application Instances by Processing Function lists the number of application instances for each major DLA processing function.

Function	Application Instances
Accounting and Finance	3
Calendar and Docketing	8
Case Management System (CMS)	34
Conference Management	1
Contact Management	2
Customer Relationship Management (CRM)	16
Document Records Management	24
eDiscovery	6
Email, Intranet & Productivity Software	11
Evidence Tracking Systems	2
Federal Reporting	1
Finance Reporting	1
Grant Management and Reporting (outsourced to AGATE)	3
Human Resources	1
Interface	3
Management Reporting	4
Procurement and Contract Management	2
Time Tracking	4
Training and Development	4
Trouble Ticketing	1
Total Application Instances	**134**

Exhibit VI-5: Application Instances by Processing Function

d. Current System Resource Requirements

Electronic Content Management System - OnBase	3 App servers 2 File servers 2 Full Text Document servers 2 web servers 1 Managed Instance SQL database.
HCL Notes/Domino System	8 Production Application Servers 2 Domino Web Servers 3 Development Servers
HCL Notes Backup Servers	Two Servers Tape Backup – 2 Drives 48 Tapes

Exhibit VI-6: Current Resource Requirements

e. Current System Performance

Current System Performance: Most of the existing DLA Notes/Domino database applications perform responsively for users in the Tallahassee Collins Building that access the Notes/Domino databases from a local area network. Users in remote field offices away from the Tallahassee Collins Building can experience less responsive application access when accessing Notes/Domino databases instances hosted in Tallahassee using the DLA's private Wide Area Network (WAN). Slower response time is attributable to WAN latency and periodic contention for bandwidth. Notes/Domino databases do have replica feature that allows creation of a database copy that synchronizes local and remote copies of a Notes/Domino database. The use of replicas allows users to create and access information from the local replica database on a local network much faster than accessing the Notes database in another location. User updates to the database synchronize to the master database copy asynchronously. As long as users avoid concurrent updates to the same record in the master and replica databases, replication conflicts are avoided.

The DLA uses hourly replication to maintain up to date replica copies of production applications located at a remote location for disaster recover purposes.

Impact of Notes/Domino Database Application Storage Limitations: HCL Notes has a maximum size limit of 265 Gb per physical database file. If a Notes database grows larger than 265 Gb, the DLA creates a new copy of the Notes database to store new information. The Notes size limitation requires units to maintain multiple Notes/Domino databases that otherwise would be in a single database. Use of multiple copies of a Notes database complicates search, workflow processes, and cross database integrations. Notes databases can store attached files to Notes database records. Use of attached files is a primary reason for rapid growth in database size.

2. Information Technology Standards

The DLA follows the technology standards necessary to protect sensitive information that it accesses and manages. This includes the technology and security standards and requirements documented in the:

- Florida Information Technology Standards described in Florida Administrative Rule 60GG-2.001 through 60GG-2.006
- Florida Administrative Code (FAC), and the Florida Cybersecurity Standards described in Florida Administrative Rule 74.2001
- HIPAA Security and Privacy Rule (**Note**: OAG is not a HIPAA agency)
- National Institute of Standards and Technology (NIST) Initiatives – NIST PUB 800-53
- Health Information Technology for Economic and Clinical Health (HITECH) Act
- Criminal Justice Information Services (CJIS) Security Policy
- Federal Tax Information (FTI) Protection I.R.C. § 6103
- Federal Regulations on Civil Procedures (FRCP)

Additional DLA specific technology and security standards could apply for information access and data protection that occurs in the DLA's role of supporting State agencies.

B. Current Hardware and/or Software Inventory

1. Software Maintenance Costs

Vendor	Product	Qty	2023 Annual Cost
Hyland	OnBase (server and client capture licenses)	60+	$10,623
Microsoft	Microsoft Office365 subscription	1250	$150,000
IBM	Lotus Notes Client License	1350	$ 83,653
IBM	Lotus Notes/Domino Server	280	$3,220
IBM	IBM Xworks Server	2	$1792
Team Studio	Team Studio	8	$12,100
TechSmith	Camtasia/SnagIt Bundle	16	$2,098
	Total Software Maintenance		$263,486

Exhibit VI-7: Current Software Maintenance Costs

C. Proposed Technical Solution

1. Technical Solution Alternatives

a. Background – To-Be Integrated Processing Platform

The DLA has defined a To-Be integrated processing platform direction that accomplishes the following technology objectives:

- Use market relevant vendor supported software products
- Migrate from custom developed applications built with the IBM Notes/Domino platform to configurable platform solutions supporting case management, CRM, and other business processes
- Maintain security and protection of sensitive data

The new Integrated Platform migrates from software products specified in the current platform to software solutions specified in the To-Be Integrated Platform below.

Capability	Current	To-Be Integrated Platform
Case Management Applications	Custom HCL Notes Database Applications	COTS - LawBase
Customer Relationship Management	Custom HCL Notes	Microsoft Dynamics 365
Administrative Systems	Custom HCL Notes	OnBase
eDiscovery	On Premise & Outsourced	Cloud & On Premise
Projects Completed		
Worker Productivity	Microsoft Office 365	Cloud
Email	Microsoft Office 365 - Outlook	Cloud
Document Management	OnBase	Cloud
Email Archiving	Email Archive	COTS

Exhibit VI-8: To-Be Integrated Processing Platform Components

The DLA previously defined a To-Be integrated processing platform direction and has accomplished the following technology objectives:

- Enable real time storage, management and sharing of document and electronic content management
  - **Accomplished** with the implementation of Microsoft Office 365 - Outlook
- Use content type and electronic system information specific ingestion, indexing, storage, archiving and search capabilities
  - **Accomplished** during ITMP **Phase 1 – ECM Implementation with ECM OnBase**
- Support content type specific "best of breed" processing (e.g., email, photo, video, sensor data types) to improve storage efficiency, automated indexing, content analysis, and content analytics
  - **Accomplished during** ITMP **Phase 1 – ECM Implementation with ECM OnBase**

Exhibit VI-9: Future Integrated Processing Platform Overview below shows the new platform components and the integration between components.

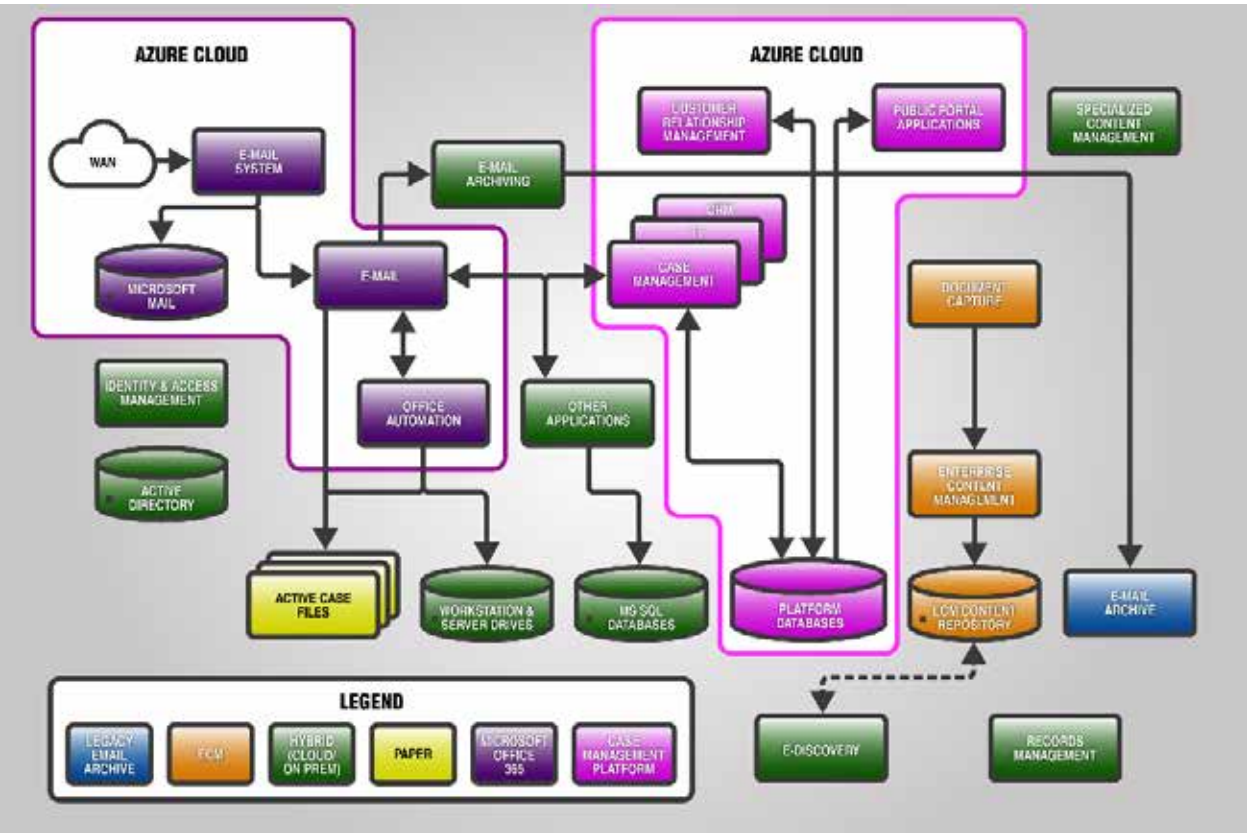

Exhibit VI-9: Future Integrated Processing Platform Overview

b. Implementation Alternatives

Following are a description, benefits, and risks of each implementation alternative to migrate from the current state to the To-Be Integrated Platform:

- Implement by technology component
- Phased implementation of fully integrated platform
- Implement by business process
- Big bang implementation

c. Implement by Technology Component

The Implement by Technology Component alternative replaces each major technology component of the DLA processing platform until all new technology components replace current components to create the new fully integrated platform. This approach minimizes the concurrent use of different technology components that perform the same function. During the implementation period, the implementation team integrates each new technology components with the other old and new technology components. For example, under this scenario the DLA would implement the new CMS system with ECM OnBase for document search, retrieval and archiving.

Benefits:

- Reduces period of duplicated operations costs of legacy systems and technology support
- Reduces overall demand on technical support resources
- Improves processing consistency across units
- Spreads technology changes requiring training and affecting users across a longer elapsed time

Drawbacks:

- Requires development of integrations to legacy case management Notes applications and new platform
- Higher level of business unit disruption because of multiple implementations and changes to legacy applications

d. Phased Implementation of Fully Integrated Platform

The Phased Implementation of Fully Integrated Platform alternative establishes the new fully integrated platform comprised of all new solution components that replace legacy components. In this approach, the new case management system and customer relationship management system integrate to the new ECM solution. After these integrations with the case management and customer relationship management system platforms, the approach rolls out the fully integrated platform in multiple phases to groupings of business units. The units that migrate to the new fully integrated platform stop using the legacy technology components. The rollout of the fully integrated platform would begin with a pilot group of units. Groups included in the first implementation would include groups with limited requirements to migrate data from legacy systems. The units that need data migration would follow in subsequent phases. Implementation phases could be sequential or overlapping.

Benefits:

- Minimizes disruption to business units to a single period of migration
- Increases consistency of business processing because units leverage work of other units
- Phased implementation allows learnings from previous releases to benefit later units
- Ability to schedule and migrate to the new platform during non-critical business periods

Drawbacks:

- Concentrated period of change in technology products and processing for business units
- Reduces engagement of organizational leadership and unit specific focus on the implementation

e. Implement by Business Process

The Implement by Business Process alternative is the approach of implementing replacement technologies based on business process. The implementation team configures and integrates the new technology components to support a business process and then rolls out updates of that business process across all units. Using this approach, users would use the new platform to perform the implemented case management functions. During implementation, users would use the legacy applications and legacy technologies to perform case management functions scheduled for later implementation on the new platform.

Benefits:

- Implements functionality in smaller chunks
- Avoids investment to mitigate current system risks and establish new system
- Reduces fixed cost allowing savings if mail volumes are reduced

Drawbacks:

- More integration work where business functions share data or hand-off between people
- Users within one unit may use both old and new platforms until full implementation
- May be difficult to align unit specific requirements for a business function

f. Big Bang Implementation

The Big Bang Implementation alternative is the approach of implementing the new integrated platform to all units as part of a single cutover. Developers collect requirements and build the new platform based on processing input from all units. All units cut over to use the new system starting on a single day. The migration of data from the legacy systems of all units occurs as part of the cutover process.

Benefits:

- Requires high engagement by leadership and all unit stakeholders
- Reduces period of duplicated operations costs of legacy systems and technology support

Drawbacks:

- High risk of business disruption
- Requires greatest amount of unit coordination
- Greater risk of delayed implementation of processing improvements
- Requires high peak number of resources for development, testing, change management and other coordination activities
- All units experience the defects and issues resulting from the implementation

2. Rationale for Selection

The primary factors considered in the selection of a technology implementation approach include:

- *Speed to Implementation* – The elapsed time to complete implementation of the solution for selected units of the DLA and the elapsed time to complete implementation for the entire DLA.
- *Timing of Benefits* – The amount and elapsed time from project initiation until benefits of the integrated platform occur.
- *Business agility* – The extent the solution provides flexibility and speed to adapt to business changes within units of the DLA, to establish new units or to modify existing units of the DLA.
- *Technology agility* – The extent the solution provides flexibility and speed to adapt to technology changes within the DLA, State, or marketplace.
- *Integration Complexity Reduction* – The extent the solution reduces complex or time-consuming interim integrations between the new solution components and components of the old solution.
- *Data security and protection* – The extent the solution maintains and enhances data security and data protection of DLA managed data.
- *Overall Implementation Cost* – The total cost to implement a solution.
- *Risk* – The level of risk that is attributable to a solution.
- *Business Disruption* - The extent of business disruption to units within the DLA. This considers the total amount of time, the number of times, and the percent of a unit's resources that spend time on the implementation of a solution.
- *Rework* – The number of resources spent on rework and change to interim or existing components during the implementation of the solution.
- *Change Management* – The amount of organizational change management required to implement a solution.

Exhibit VI 10: Solution Implementation Approach Factors below depicts the alignment of each implementation alternative with the alternative selection rationale criteria.

Evaluation Criteria	Implement by Technology Component	Phased Implementation of Integrated Platform	Implement by Business Function	Big Bang Implementation
Speed to implement				
Timing of Benefits				
Business agility				
Technology agility				
Integration Complexity				
Data security and protection				
Overall Implementation Cost				
Risk				
Business Disruption				
Rework				
Change Management				
Legend				
Solution alignment	**Best**	**Some**	**Slight**	**None**

Exhibit VI-10: Solution Implementation Approach Factors

Below is analysis for each of the implementation approach factors.

- *Speed to Implementation* – The implement by technology component approach implements specific technology components faster than other approaches. The phased implementation of integrated platform strategy should implement the integrated platform of all new technology to select business units and full implementation to all business units faster than other approaches. The implement by business process would cause the slowest full implementation. The big bang implementation approach is the slowest to implement components to any unit.
- *Timing of Benefits* – The implement by technology approach is the first to cause benefits to occur. The phased implementation of integrated platform strategy gets the most benefits faster than other approaches. The implement by business process and big bang implementation has long periods until benefits occur.
- *Business agility* – The phased implementation of integrated platform provides the best agility because it establishes the new integrated platform that can be used to establish new units or change processing of business units the soonest. The big bang implementation approach provides the least agility because it requires a freeze of business change during design and development that precedes implementation and is the slowest to implement for any units.
- *Technology agility* – The implement by technology component provides the most technical agility allowing change of technical components before, during, and after integration with new platform. The

phased implementation of integrated platform also provides a high level of technology agility because once integrated to the new platform technology, the DLA can make changes easily.

- *Integration Complexity Reduction* – The phased implementation of integrated platform simplifies integration the most. The initial work to establish the integrated platform and then repeated roll-out of the integrated platform eliminates most integration with legacy components while the legacy components are being used by a unit.
- *Data security and protection* – All of the solutions will maintain data security and protections. The implement by technology component and implement by business process require slightly more work to maintain security levels because they cause a mix of new and legacy security capabilities and processes to be in use concurrently.
- *Overall Implementation Cost* – The big bang implementation conceivably could be the lowest implementation cost if the costs of unit governance and requirement agreement are small. The phased implementation of integrated platform is lower than the other options because it has reduced integration costs with legacy components.
- *Risk* – The big bang implementation approach would be the riskiest. The phased implementation of integrated platform reduces risk by doing integration once and using multiple phases to limit impact and to build on lessons learned from earlier implementation phases.
- *Business Disruption* - The big bang and phased implementation of integrated platform create low business disruption because the business only engages in design and implementation activities once. The other approaches require repeated engagement of business units as additional technology components are implemented or additional business functions are implemented.
- *Rework* – The implement by technology component and implement by business process have the most rework because they require more integration with legacy solutions and rework to shift to the new components.
- *Change Management* – The implement by technology component and implement by business process require the most change management because they have repeated integrations with business units as components are implemented and integrations change. The big bang implementation approach has more change management than the phased implementation because it requires more resources to concurrently support DLA wide change.

3. Recommended Technical Solution

The recommended approach to modernize the DLA technology platform is to use a phased implementation of the fully integrated platform. The first step is to implement new replacement technology components and integrate those replacement components to create a new integrated DLA processing platform. Prior to rollout to DLA units the implementation team validates the integration of new components including:

- LawBase Legal Matter Management System processing platform with the new ECM OnBase solution
- Case processing platform with CRM platform
- Case processing platform with Microsoft Office 365 products

Migration from the legacy Notes-based processing platform to the new DLA processing platform would occur using a phased rollout. The migration phases include a pilot group of units followed by three subsequent implementation phases to remaining units. Work performed in each implementation phase includes design, configure and testing of unit specific business rules and processing in the new integrated platform.

The implementation process migrates or converts unit data to the new integrated platform and trains users to use the new DLA platform. Following the phased rollout of the new processing platform, the team would implement the added advanced capabilities (e.g., Analytics, eDiscovery) followed by common administrative (e.g. HR, Accounting) capabilities.

The benefits of creating the new integrated platform and then rolling out the platform in three phases are:

- DLA will quickly have a platform that supports rapid establishment of new business units or types of processing, if needed
- The pilot implementation phase will identify and resolve issues and implement unforeseen opportunities that benefit units in subsequent implementation phases

- Units that follow the pilot phase are able to leverage processes defined by earlier units increasing processing consistency
- Phased roll-out reduces overall business disruption compared to a big bang
- Provides additional scheduling flexibility for units to implement at non-peak business periods
- Phased implementation allows units without data migration and complex data conversion issues to use the system in early phases

D. Proposed Solution Description

1. Summary Description of Proposed System

The proposed solution to replace the IBM Notes/Domino platform will include the following components:

Legal Matter Management System (Case Management) Processing Platform – The case management processing platform replaces all custom developed Notes/Domino case management processing. The case management processing platform will support unit specific configuration of pages, field labels, dropdown values, data entry validation rules, business rules and workflows. Users will use browser-based pages of unit specific configurations and implementation for data entry, maintenance validation, configuration, business rules engine determinations, and workflow processing management.

Customer Relationship Management (CRM) Platform –Customer representatives use the CRM platform to record and manage interactions with the public. The platform manages customer contact information, contact history, and provides tools to start interactions with the DLA and support case status inquiry. Customer relationship management platform capabilities may be available with the case management processing platform potentially providing simplifying integration.

Analytics and Reporting – The Analytics and Reporting solution provides dashboards, standard reporting, ad-hoc reporting, and drill down reporting and descriptive reporting capabilities primarily about DLA case data.

eDiscovery – The eDiscovery process is a search and analysis tool to identify relevant content, documents, records, and evidence related to a case.

Exhibit VI-11: Proposed Implementation Roadmap for the New Integrated Platform shows the Gantt chart of the proposed implementation approach. This approach shows pre-DDI activities that elaborate requirements and perform procurements of the specific technology component solution of the new integrated platform.

This plan depicts implementation to DLA units occurring in three phases staggered over a period of two and a half years. The units included in the first phase will be those units that have limited data conversion requirements. Later phases configure and implement the new integrated platform to business units that have more complexity or increasing data conversion complexities to migrate from the existing systems. Examples of more complex data migrations might include units that have multiple replicas, data conflict and values that conflict with values of other units.

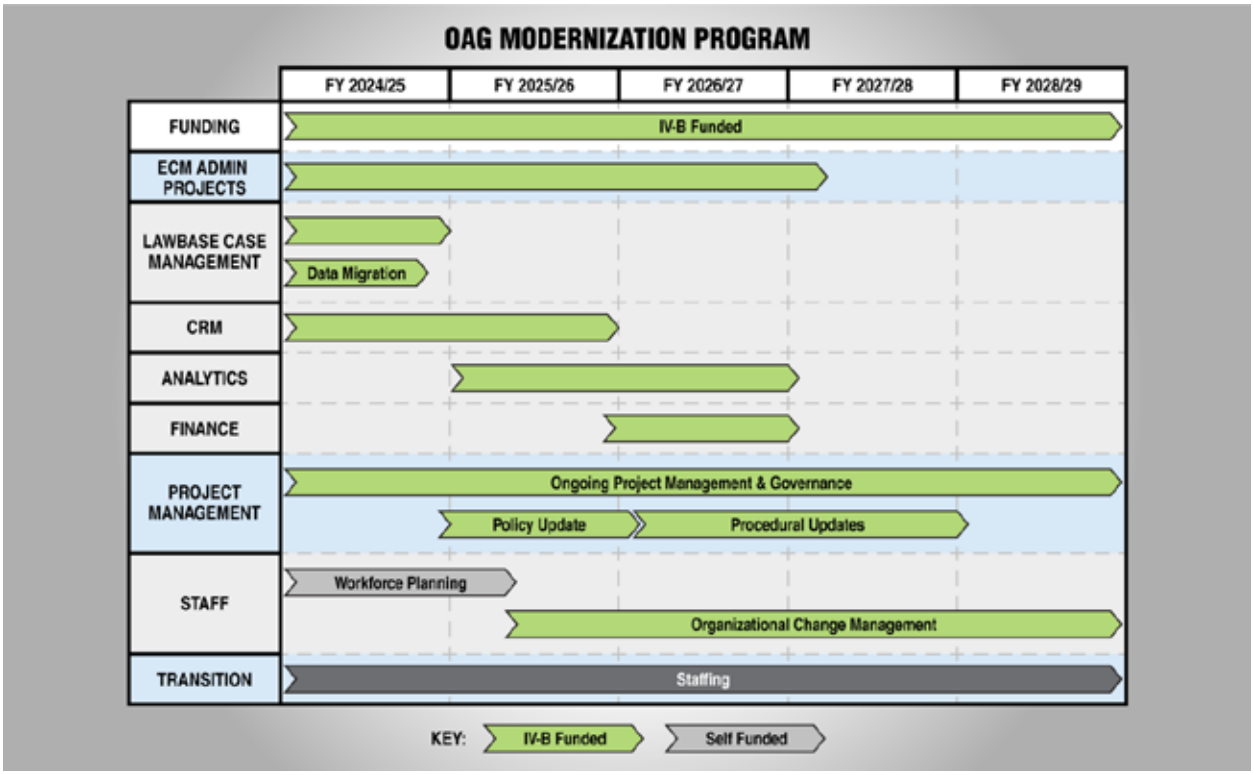

Exhibit VI-11: Proposed Implementation Roadmap for the New Integrated Platform

2. Requirements for Proposed Solution

Technical Requirements are those items needed to support and operate the information technology processes of the DLA. The requirements specify capabilities and processes the solution must support, from a technical perspective, to meet the DLA's technical environment needs.

Technical Requirements

- The system must be operable and available 24x7.
- The system must use defined data standards (e.g., consistent data schema, data elements, data class, field lengths, data tables, viewing naming conventions).
- The system must provide the ability to associate supporting documentation (e.g., scanned documents) with a case record.
- The system must use market relevant vendor supported software technologies and versions (e.g., programming languages, application frameworks, hosting models).
- The system must support the ability to perform ongoing maintenance and modifications using configuration tools that are part of the solution or extensions using programming languages used by the DLA.
- The system must be upgradeable to vendor supported hardware versions.
- The system must expedite the ingestion of documents and electronic system information. (e.g., same-day or hours).
- The system must use a data model that enforces referential integrity.
- The system must provide a mechanism for recording and viewing system errors and warnings.
- The system must provide a mechanism to alert the system administrator when definable performance and storage thresholds are exceeded.
- The system must allow for maintenance and support activities to be carried out while the application and supporting systems are online (e.g., "Hot" backup procedures).
- The system must provide the ability to report on interface transmissions (e.g., total number of records loaded, date of interface transmission, amount of time to execute the interface transmission, errors, and

failures).

- The system must include tools for monitoring and reporting capacity for all system components.
- The system must include tools for monitoring and reporting performance for all system components.
- The system must include tools for customizing the system (e.g., adding functionality, modifying existing functionality, modifying configurable settings).
- The system must support the latest encryption standards for the transmission of data.
- The system must provide the ability to send the scanned data through multiple methods (e.g., FTP, web-service).
- The system must provide data security to meet electronic privacy and regulations.
- The system must provide approved end-users with authorized access to data and system resources.
- The system must provide the ability to generate reports based on report specific user-defined parameters.
- The system must provide the ability to search for
- a range of data values.
- The system must provide the ability to uniquely identify users by User ID.
- The system must limit a user's access to reports based on the user's security profile.
- The system must provide the ability to issue notifications or restrictions as reminders to users to key in required fields.
- The system must record and archive logs of system usage.

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

1. IBM Lotus/Notes Database Usage and Growth

The DLA is upgraded the IBM Lotus/Notes platform to the cloud-based HCL Notes platform. The IBM Lotus/Notes platform requires 21 servers to process data from the CMS and CRM applications. The cloud-based HCL Domino platform requires 15 servers. This results in a reduction of 6 servers. **This upgrade was completed during October 2023.**

The Exhibit VI-12: IBM Lotus/Notes Database Count and Storage Requirements in terabytes (TB) is shown below.

IBM Lotus/Notes Database	# of Databases	# of Terabytes (TB)	Projected Growth (TB per Year)
Case Management System (CMS)	298	3.80	.50
Customer Relationship Management (CRM)	87	.65	.25
Totals	**385**	**4.50**	**.75**

Exhibit VI-12: IBM Lotus/Notes Database Count and Storage Requirements

Growth Rate

IBM Lotus/Notes databases grew at approximately .75 terabytes per year. The current infrastructure now supports continued operation in the Azure Cloud.

VII. Schedule IV-B Project Management Planning

The following section includes the DLA's project management plan and any associated planning tools/documents that will be used for the OAG Modernization Program, which includes numerous projects.

A. Program Charter

The program charter establishes a foundation for the program by ensuring that all participants share a clear understanding of the program purpose, objectives, scope, approach, deliverables, and timeline. It serves as a reference of authority for the future of the program. It includes the following:

1. Program Name

This overall activity is referred to as the OAG Modernization Program. Several projects exist within this program.

2. Purpose

The purpose of the OAG Modernization Program is to select a technology solution and vendors to modernize the business environment at the Florida Department of Legal Affairs (DLA) that will meet the DLA's strategic objectives by implementing modern system functions and infrastructure over a three-year period, with the year prior to IV-B funding (referred to as "year 0") scheduled for Pre-Design, Direction, and Implementation (DDI) activity. This will be done through multiple procurements to replace specific products with Commercial-Off-the-Shelf (COTS) products.

The tangible benefits for the OAG Modernization Program can be broken down into six different categories:

Organizational Effectiveness

- Improve Data Sharing between Business Units

Data Quality/ Access/ Duplication

- Reduce Duplicate Entry
- Reduce Employee Time Extracting Data

Operational Efficiencies

- Reduction in Archiving Costs
- Efficiency Gains from Document Assembly and Court e-Filing
- Efficiency Gains from Mobile Computing

Improved Knowledge Management

- Transfer Institutional Knowledge from Workforce to Systems
- Reduce Training Time
- Reduce Employee Onboarding Costs

Administrative/IT Efficiencies

- Improved tools that increase the ability to support Business needs
- Increase Data Security and Protection
- Efficiency Gains from Tracking/Invoicing/Collections
- Efficiency Gains from Leveraged IT Staffing

Operational Responsiveness

- Quicker Turnaround for Public Records Request
- Increased efficiency within Citizen's Services

In addition, there are four intangible benefits of the OAG Modernization Program:

- Improve Accuracy and Completeness of Public Records
- Improve IT Security Conditions
- Improve Crisis Reaction Time
- Improve Staff Recruitment/Retention

3. Objectives

The DLA's Information Technology Division, in partnership with North Highland, created a list of overall objectives for the ITMP. The DLA defined and updated their business and technology objectives to be addressed as part of the modernization effort in the OAG Modernization Program. The objectives will be used to assess the viability of replacement options, future implementation schedules, and to ensure any future system and implementation strategy aligns with the needs of the DLA.

Objectives include:

- Move away from a Lotus Notes Development Shop to a COTS system
- Pursue agency-wide solutions
- Pursue a best-of-breed approach to new technology
- Replacement of SIRE with OnBase, an agency-wide ECM system that covers both current casework and closed case archiving, has completed during ITMP **Phase 1 – ECM Implementation**
- Provide a unified case management system that allows sharing of information
- Increase eDiscovery and analytics capabilities
- Provide a system with customer relationship management systems
- Modernize financial and administrative processes

4. Individual Projects

The enhancement/replacement of DLA's business system will encompass specific and clearly defined projects which will include:

- Attorney and Legal Staff Time Tracking & Billing Project
- Integrated Case Management System Transformation Project
- Customer Relations Management (CRM) Implementation Project
- Analytics Project
- Finance Support System Project
- Administrative Support System Project

In addition, there are several items that will not be considered full projects but will be structured activities necessary for completion of the program. They include:

- Ongoing Project Management and Governance Activity
- Policy and Procedure Updates Activity
- Workforce Planning Activity
- Organizational Change Management Activity

The program is envisioned to include a phased rollout of technical and functional capabilities. Many projects will happen simultaneously or overlap at points.

The DLA will invest internal resources and funds to begin several of these projects prior to the first official year (FY 2024-25) of funding requested in this IV-B. These activities will accelerate the implementation timeline and allow benefits to be achieved sooner. Prior to the first year of funding the DLA will identify and establish the program management and governance structures, business process re-engineering activities and organizational change management. Activities providing ongoing control, monitoring, support, and staff for the overall program will be established prior to starting individual projects implementation. This allows the DLA to establish a sound foundation to effectively manage the program.

5. Management Methodology

The preferred management methodology used by the DLA is based on the PMI's Project Management Framework. The Program Director or Executive Sponsor may consider changes to the methodology at any point, as deemed appropriate, including the use of Agile methodologies that focus on customer satisfaction through the early and continuous delivery of working software, close cooperation between business users and software developers, quality improvement, and continuous attention to technical excellence and good design.

Regardless of the specific program management methodology employed, management and control mechanisms along with appropriate project artifacts will be relevant to all projects including:

- Program Charter
- Project Charters
- Project Contracts
- Program Management Plan
- Baseline project schedule
- Program Change Management
- Program Issues Management
- Program Risk Management
- Financial Management
- Reporting

The use of the program control framework indicated above, together with the application of the Program Management Plan, will assist both the Program Manager and the Executive Sponsor in planning, executing, managing, administering, and controlling all projects of the program. Control activities will include, but may not be limited to:

- Monitoring program progress: identifying, documenting, evaluating, and resolving project related issues that may arise
- Reviewing, evaluating, and making decisions with regard to proposed changes: changes to project scope will be tightly controlled according to a documented change management process which includes a formal request along with a stakeholder review and approval process
- Monitoring and taking appropriate actions with regard to risks as required by the risk management plan
- Monitoring and tracking issues as required by a documented issue reporting and management process
- Monitoring the quality of program deliverables and taking appropriate actions with regard to any program deliverables that are deficient in quality
- ITMP project artifacts will be analyzed and reused if applicable

6. "Year Zero" Pre-Work

The DLA allocated significant resources to setting the stage for a successful ITMP. The DLA established the Program Management Office, performed all the initial requirements definition and procurement activities to allow for the ECM solution to be purchased as soon as July 2018. These activities along with several others would have allowed for the DLA to complete the project within 3 years (starting July 2018).

The failure of the ITMP **Phase 3 – CMS/CRM Implementation** has placed the DLA in a position to capitalize on lessons learned and continue the efforts to complete remaining ITMP goals through the OAG Modernization Program.

Some of the activities to be completed in this "Year Zero" include:

- Update previously developed PMO templates, process, and organizational structure procurement
- Continue workforce planning
- Continue communications planning
- Complete activities leading to the procurement of a Legal Staff Time Tracking & Billing system

The table below summarizes the activities to support the future modernization effort:

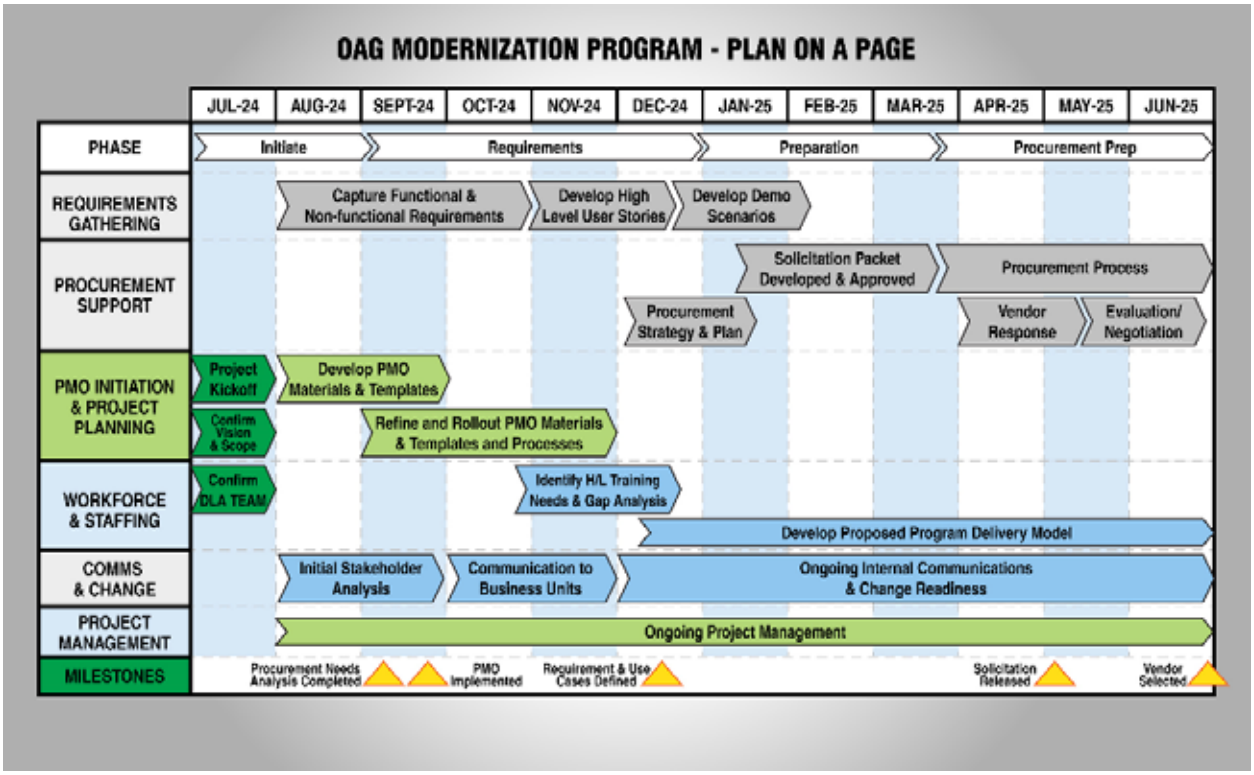

Exhibit VII-1: OAG Modernization Program Activities – Plan on a Page

7. Deliverables

The following table contains a preliminary list of program deliverables. The final deliverables list, which will include acceptance criteria, will be developed in conjunction with the selected systems implementation vendor(s) and will be appropriate to the technology solution chosen.

Name	Deliverable Description
Program Level	
Program Management Status Reports	Weekly status reports to program management team.
Risk and Issue Registers	Prioritized lists of risks and issues identified and reviewed during the course of the program.
Meeting Minutes	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 DLA's Legislative Budget Request for follow on projects.
Program Charter	Issued Executive Sponsor that formally authorizes the existence of the project and provides the Program Manager with the authority to apply organizational resources to program activities.
Program Management Plan	Includes the following documents as required by the DLA Program Director

	and/or the PMO: · Work Breakdown Structure · Resource Loaded Project Schedule · Change Management Plan · Communication Plan · Document Management Plan · Scope Management Plan · Quality Management Plan · Risk Management Plan · Risk Response Plan · Issue Management Plan · Resource Management Plan · Conflict Resolution Plan · Baseline Project Budget
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. The process flows are developed using standard business process notation. This document should include narrative descriptions of key activities, including owners, inputs, and outputs.
Organizational Change Management (OCM) 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 OCM for the project.
OCM Status Reports	Weekly status reports to program 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.
Project Level	
Program Management Status Reports	Weekly status reports to project management team.
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 program and identifies action plans to remedy any lack of readiness.
Data Migration Plan	Plan for migration of data from existing systems to new databases (as required).
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 system agency wide.
Knowledge Transfer Plan	Based on a gap analysis, this plan will detail the steps taken to transfer knowledge about the system to the resources that ultimately will be responsible for 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.

Exhibit VII-2: Project Deliverables

8. Milestones

It is anticipated that the OAG Modernization Program will be managed according to the following milestones. Go/No-Go checkpoints may be added to the program schedule, or individual project schedules where appropriate based on the chosen solution. Checkpoints will require Executive Sponsor sign-off prior to commencing the next activity.

Milestone	Deliverable(s) to Complete
Legislative Approval	Updated Schedule IV-B
Project Kick-Off	Project Charter
Project Management Documents Completed	Various (See deliverable list)
Business Process Analysis Completed	As-Is Business Process Flows To-Be Business Process Flows
Acceptance of Functional and Technical Requirements	System Requirements Document Public Assistance Requirements Document
Project Management Documents Completed	Various (See deliverable list)
Acceptance of Validated Requirements	Validated Functional Requirements Document
Acceptance of User Interface Prototypes	User Interface Prototypes
Acceptance of Functional and Technical Design Specifications	Functional and Technical Design Specification documents
User Acceptance Testing Completed	Sign Off
End User Training Completed	On-site training sessions Training materials
System Deployment	Functional system released into production
Project & Project Close-out	Lessons Learned Knowledge Transfer Contract Compliance Checklist Project Close-out Checklist

Exhibit VII-3: Project Milestones and Go/No-Go Decision Points

9. Change Request Process

Projects of this magnitude should expect change as the program progresses through the design, development, and implementation projects. All change requests will be formally documented and validated by the PMO and the Change Control Board (CCB), which will be comprised of key project stakeholders according to the Change Management Plan. Once validation has occurred, the appropriate stakeholders will assess the change, determine the associated time, and cost implications.

Upon acceptance of the change request and its validation by the PMO, the tasks to implement the change will be incorporated into the program plan and a project change order will be initiated. A priority will be assigned, and the request will be scheduled accordingly. Exhibit VII-4 illustrates the proposed change request process.

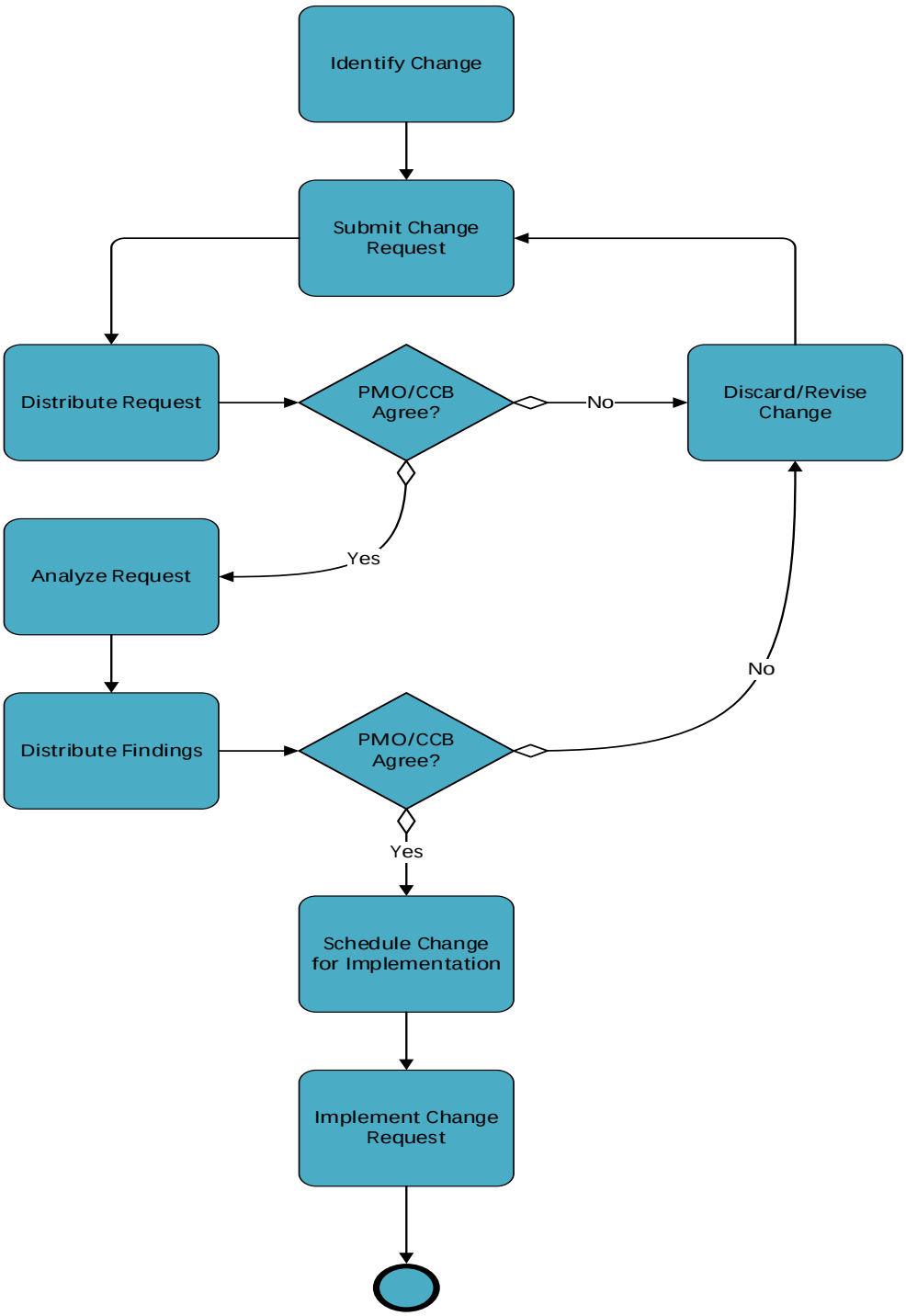

Exhibit VII-4: Proposed Change Request Process

B. Schedule

The actual program schedule will be highly dependent upon the business need priority, technical complexities, and solutions available. The development of the actual program schedule will be the responsibility of the DLA Program Manager and implementation vendor(s). The figure below represents the high-level program schedule that reflects the planned five-year approach to the enhancement or replacement of the system.

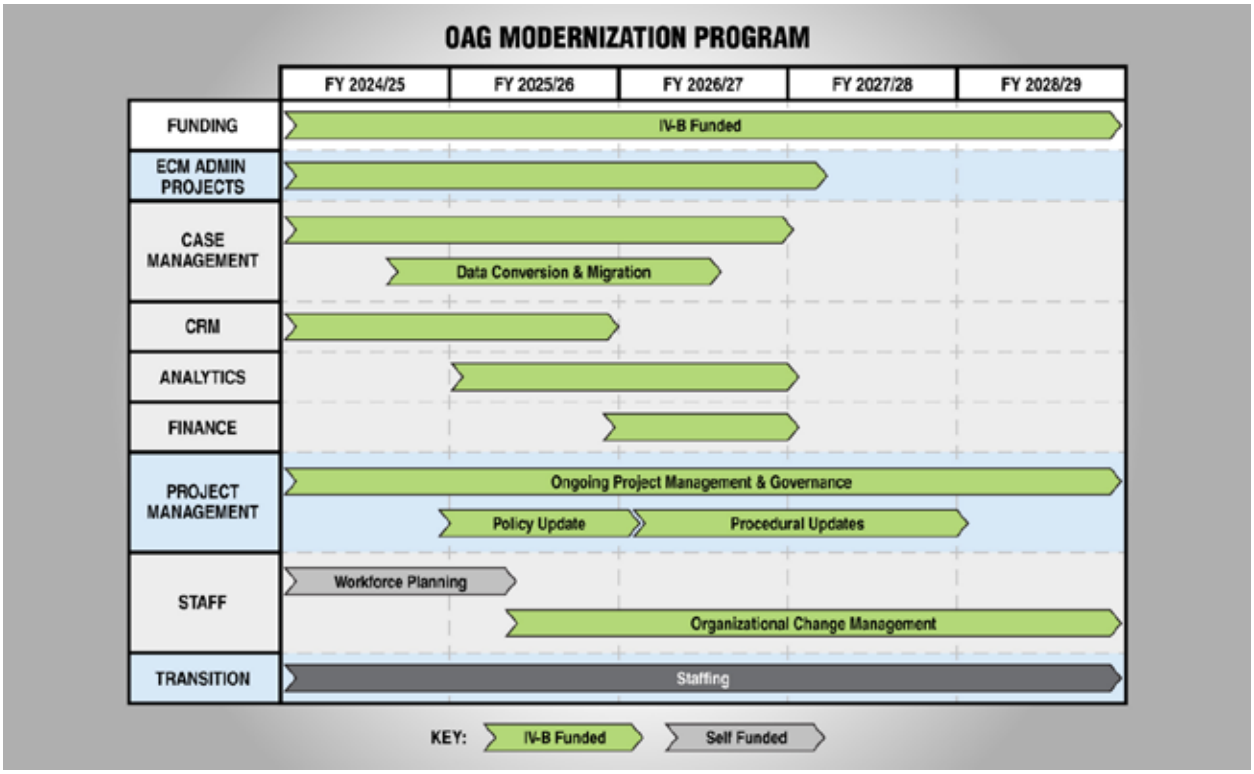

Exhibit VII-5: OAG Modernization Program Roadmap – Plan on a Page (5yr)

C. Organization

The Program Management Team will be headed by the DLA Program Director and will include the Vendor Program Manager. This team will be responsible for day-to-day oversight of the program. Individual Projects will also be organized to ensure all objectives are met.

1. Program Organization

For a program of this size and duration, the DLA will implement a Program Management Office (PMO) to create program management plans, monitor program issues and risks, and provide general support to the Program Director throughout the project.

The program business stakeholders include seasoned DLA staff from the program's core business areas. These key stakeholders will be instrumental in the design, development and testing of the new business system and will assist in the review and approval of all program deliverables.

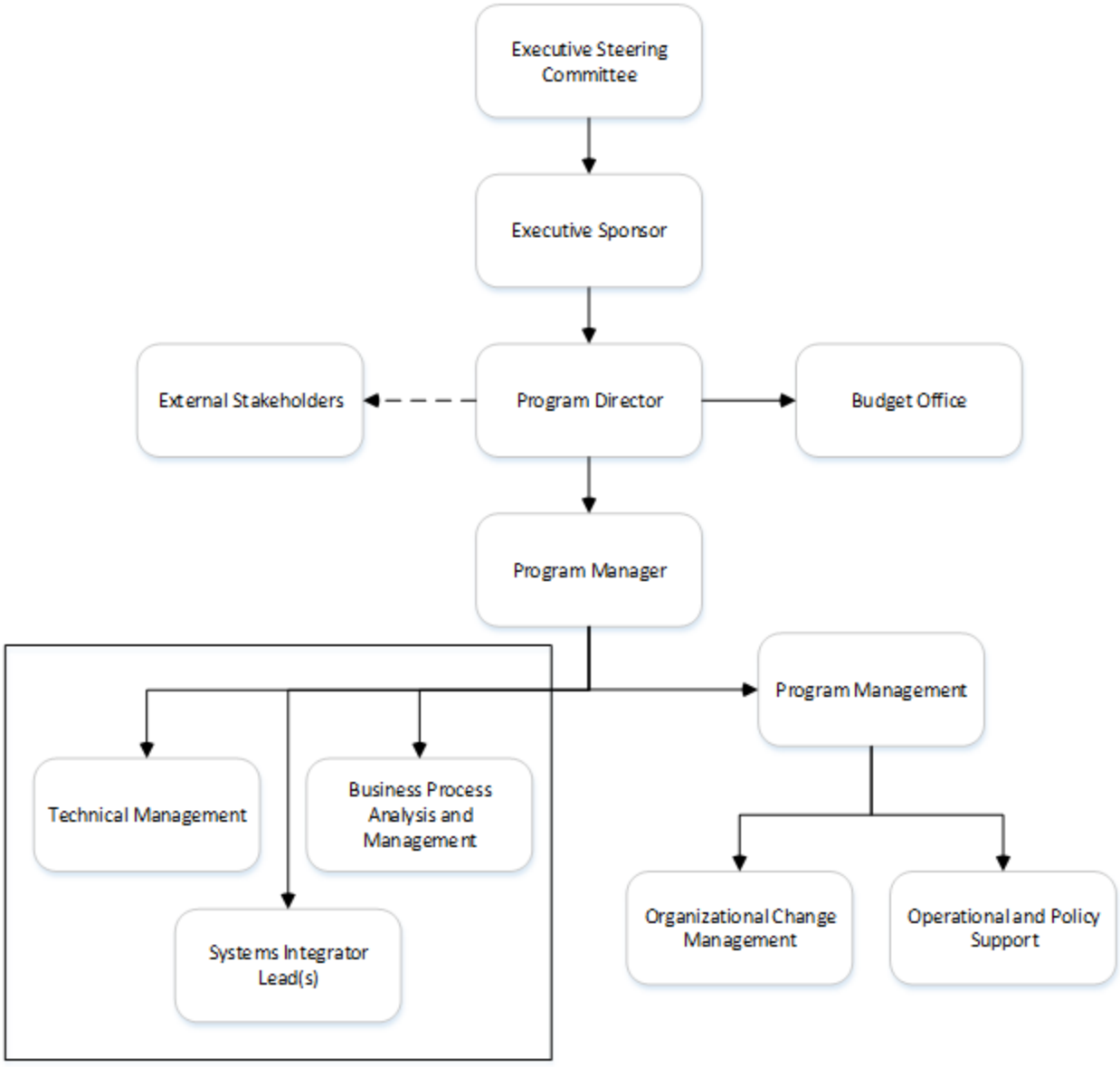

Exhibit VII-6: Proposed Program Organization

2. Typical Project Organization

An implementation with multiple projects will be organized as a Program with a Program Manager that reports to a Program Director. It also includes a Program Budget Officer and an individual Systems Integrator/Project Manager for each project. The project teams will lead the day-to-day implementation of each project and communicate with the Program Management Office.

The following table identifies roles in the program organization and a summary of their responsibilities.

Role Name	Description	Assigned To
Executive Sponsor	· Provides executive oversight to the program · Acts as final escalation for all issue resolution · Directs governance	TBD
Program Business Sponsor	· Has programmatic decision-making authority · Champions the program within the customer's organization · Provides guidance on overall strategic direction · Provides business resources for program success · Has responsibility for successful development and implementation of the program	TBD
Program IT Sponsor	· Has IT decision making authority · Champions the program within the customer's organization · Provides guidance on overall strategic direction · Provides IT resources for program success · Has responsibility for successful development and implementation of the program	TBD
Program Budget Officer	· Controls program budget · Provides budget related input into program scope and contract change decision making process	TBD
Program Director	· Has overall responsibility · Oversees the development of the program · Oversees the development of the Program Management Office · Liaison with IT Sponsor for resources	TBD
Program Management Office	· Responsible for day-to-day program oversight · Provides overall guidance and direction to the System Integrator · Coordinates with the Program Director for resources · Works with System Integrator Program Manager to ensure stakeholder needs are met · Has daily decision-making authority · Oversees and manages program plan · Facilitates the Business Stakeholders Committee · Coordinates program resources, budgets, and contract management · Reviews and provides feedback on program deliverables · Responsible for program management areas including scope, risk, quality, and change control · Coordinates program status communications · Liaison with external agencies as needed	TBD
Program Business Stakeholders Committee	· Provides input on functional requirements · Participates in program user group meetings and sessions · Provides input on program activities · Reviews and comments on program documents and deliverables · Disseminates program information and updates to local	TBD

	internal/external stakeholders	
Program Manager	· Has responsibility for the successful implementation of the projects · Oversees the Systems Integrator(s) implementation of each project · Communicates with Program Director and Executive Sponsor · Liaison with Program Business Sponsor for business resources and day-to-day activities · Liaison with Program IT Sponsor	TBD
Project Budget Officer	· Controls project budget · Provides budget related input into project scope and contract change decision making process · Liaisons with Program Budget Director	TBD
Vendor Project Manager	· Reports to the Contract Manager · Works with the Program Management Office to seek guidance and direction · Responsible for systems program management activities · Leads the planning and development of project deliverables · Develops and manages the project schedule and associated tasks · Maintains all project documentation including detailed project plan · Ensure adherence to the process and project management standards and guidelines · Responsible for project management areas including scope, risk, quality, and change control · Prepare formal project reports and presentations · Ensure deliverables conform to the DLA standards · Facilitate project related meetings as required	TBD

Exhibit VII-7: Program & Project Organization Members - Roles & Descriptions

D. Quality Control

The program will follow the PMO guidelines delineating timeline, budget, and quality specifications for each deliverable. Each deliverable will be assigned detailed acceptance criteria in the program contract. Quality will be monitored and controlled by the individual Project Management Teams and deliverables will be accepted only when acceptance criteria have been met.

The PMO will provide oversight and assistance to the entire Program Team to ensure that standards are followed.

Program Area	Description
Testing Management	If applicable, the vendor will follow the established standards of the DLA PMO for Testing Management. This includes unit testing, integration testing, system testing, load testing, and user acceptance testing.
Approval	All deliverables will require individual stakeholder approval and sign-off upon completion of the final draft.
Software Configuration Management	If applicable, the vendor will follow the established standards of the DLA PMO for Software Configuration Management. This includes Stakeholder sign-off, documentation, and version control.
Contract Management	The DLA PMO will be involved in contract management. All contracts must pass executive and legal approval. In addition, external project oversight will be required for contract negotiation.

Exhibit VII-8: Quality Standards by Individual Project Area

In addition to these formal areas of quality control, the following practices will be maintained during the life of the program.

- Peer reviews of artifacts
- Program team acceptance and approval
- Periodic program team meetings
- Program status meetings
- Periodic vendor, contract manager, program manager and program team meetings
- Change control management processes, including the creation of a change review and control board that provides representation for all affected stakeholders
- Contract manager and the DLA Program Director acceptance and approval
- Maintain detailed requirements definitions under configuration management
- Defined test plan with standard levels of technical and acceptance testing
- Risk Management and Mitigation

Quality will be monitored throughout the program by the PMO. Multiple levels of acceptance by all stakeholders will be built into the process to ensure program quality control.

E. Risk Management

The purpose of risk management is to identify the risk factors for the project and establish a risk management plan to minimize the probability that the risk will negatively affect the project.

The project management methodology chosen for this project will include processes, templates, and procedures for documenting and mitigating risk. Formal risk analysis, tracking, and mitigation will be ongoing throughout all projects of the program. Risks are actively identified, detailed, and prioritized. Mitigation strategies are developed. Risks are tracked, mitigated, and closed throughout the lifecycle. A source of risks for the project would include items from the Risk Assessment in Section V of this IV-B Feasibility Study that were rated High, and should be mitigated in the first year of the project.

1. Risk Management Plan

All projects of the program will follow the standards defined by the PMO. Standards include processes, templates, and procedures for documenting and mitigating risk. Formal risk analysis, tracking, and mitigation will be ongoing throughout all projects. Risks are actively identified, detailed, and prioritized. Mitigation strategies are developed.

Risks are tracked, mitigated, and closed throughout the lifecycle.

A Risk Management Plan (RMP) will be developed and adhered to throughout all projects. The RMP will include clear risk management procedures including standard checkpoints and mitigation strategies. Execution of a well-defined RMP with clear mitigation strategies for each risk is critical to the success of the IT Modernization Program. The purpose of risk management is to identify the risk factors for each project and establish a risk management plan to minimize the probability that the risk will negatively affect the program. It is recommended that the following checkpoints be followed during the program:

Task	Recommendation
Risk Management Plan	Have planned semi-annual reviews and updates after the submission and approval of the Risk Management Plan with the Program Director and Executive Sponsor. More frequent or "as required" updates should be performed.
Risk Management Reviews	As part of a disciplined approach to addressing program risks, monthly Risk Meetings should be conducted during the program lifecycle.

Exhibit VII-9: Program Risk Checkpoints

F. Organizational Change Management

Effective Organizational Change Management (OCM) will be integral to the success of this program and will be a critical success factor for ensuring staff participation in business process improvement, implementation, and user acceptance. Significant organizational change is expected as a result of automating existing manual processes. Throughout the DLA, OCM will be effectively implemented through communication, awareness, and training. While much of the organizational change management will occur at the program level, at the individual project level there will be unique activities in each project that will require special consideration. As such, there must be continuous communication between the Program Management Team and the individual project teams on the issue of organizational change management.

A specific OCM methodology has not been identified at this Program but will be identified in the Organizational Change Management Plan.

At a minimum, the following will be included in the final Organizational Change Management Plan:

- Description of roles, responsibilities, and communication between vendor and customer
- To-be process maps including a role-oriented flowchart (swim lane view) of the organization
- Skill/Role gap analysis between the existing system and the proposed system
- Training plan including platform (classroom, CBT, etc.), schedule, and curriculum
- OCM Communication Plan

The following key roles will have varying degrees of responsibility for executing the change management plan and delivering a consistent, positive message about change throughout the life of the program:

- Organizational Change Manager (a member of the program management team dedicated to OCM)
- Program Director
- The DLA Program Manager
- Executive Sponsor
- The DLA Executive Steering Committee

All projects of the program will use communication methods proven to be effective on large-scale business modernization programs and will follow the standards developed by the PMO. These will include a communication plan, a formal project kick off meeting, status meetings, milestone reviews, adoption of methodology in defining roles, responsibilities and quality measures of deliverables, regular status reports, regular review and evaluation of program issues and risks, periodic program evaluation, regular system demonstrations and reviews, and a program artifact repository.

Disseminating knowledge among stakeholders is essential to the program's success. Executive Sponsor and Program Director, core program team members, and key stakeholders must be kept informed of the program status and how changes to the status affect them. The more people are kept informed about the progress of the program and how it will help them in the future the more they will participate and benefit.

At this time, the specific communication needs of program stakeholders and the methods and frequency of communication have not been established. A high-level Program Communication Plan will be completed during year zero.

VIII. Appendices

The following supporting documents are included as part of the feasibility study:

Appendix A – Cost Benefit Analysis Tool

Appendix B – Risk Assessment Tool

Appendix C – Reference Report

A. Cost Benefit Analysis Tool

The following embedded document represent Appendix A - IT-Schedule IV-B Cost Benefit Analysis FY 2025-2026 for OAG Modernization Program.

Appendix A - Cost Benefit Analysis.DLA

B. Risk Assessment Tool

The following embedded document represent Appendix B – IT-Schedule IV-B Project Risk Assessment for OAG Modernization Program.

Appendix B - Risk Assessment Tool.Scl

C. Reference Report

Cost of Capital by Sector 2024 by New York University

NYU Cost of Capital by Sector 2024 Repo

SCHEDULE IX: MAJOR AUDIT FINDINGS AND RECOMMENDATIONS

Budget Period: 2025 - 2026

Department: Department of Legal Affairs

Chief Internal Auditor: Kimberly Rolfe

Budget Entity: 41101000

Phone Number: 850-414-3591

(1) REPORT NUMBER	(2) PERIOD ENDING	(3) UNIT/AREA	(4) SUMMARY OF FINDINGS AND RECOMMENDATIONS	(5) SUMMARY OF CORRECTIVE ACTION TAKEN	(6) ISSUE CODE
22-05	FYE 2023	Training and Development	The Training and Development Unit did not have a policy and procedure manual	Fully Corrected	
2024-076	FYE 2024	Divivision of Administration	Department controls over the adminsitration of the Florida Single Audit Act requirements need improvments	Fully corrected	
2024-174	FYE 2023	Crime Victim Assistance	The FDLA did not always timely follow up with subrecipients regarding deficiencies noted during monitoring reviews. Additionally FDLA records did not substantively evidence Quarterly Performance Report (QPR) reviews.	Fully corrected	
2024-174	FYE 2023	Medicaid Fraud Control Unit	The list used by the FDLA to conduct periodic IBM Notes user access privlege reviews did not promoted an effective review of the appropriateness ofa ll user accounts	Fully corrected	

Office of Policy and Budget - June 2024

Fiscal Year 2025-26 LBR Technical Review Checklist

Department/Budget Entity (Service): Department of Legal Affairs

Agency Budget Officer/OPB Analyst Name:

A "Y" indicates "YES" and is acceptable, an "N/J" indicates "NO/Justification Provided" - these require further explanation/justification

		Program or Service (Budget Entity Codes)		
	Action	41100000	41200000	41300000
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)? **(CSDI or Web LBR Column Security)**	Y	Y	Y
1.2	Is Column A03 set to TRANSFER CONTROL for DISPLAY and UPDATE status for both the Budget and Trust Fund columns? **(CSDI)**	Y	Y	Y
AUDITS:				
1.3	Have Column A03 budget files been copied to Column A12? Run the Exhibit B Audit Comparison Report to verify. **(EXBR, EXBA)**	Y	Y	Y
1.4	Have Column A03 trust fund files been copied to Column A12? Run Schedule I **(SC1R, SC1 or SC1R, SC1D adding column A12**) to verify.	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? **(CSDR, CSA)**	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 56 of the LBR Instructions?	Y	Y	Y
2.2	Are the statewide issues generated systematically (estimated expenditures, nonrecurring expenditures, etc.) included?	Y	Y	Y
2.3	Are the issue codes and titles consistent with *Section 3* of the LBR Instructions (pages 14 through 27)? Do they clearly describe the issue?	Y	Y	Y

Fiscal Year 2025-26 LBR Technical Review Checklist

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		Program or Service (Budget Entity Codes)		
	Action	41100000	41200000	41300000
3. EXHIBIT B (EXBR, EXB)				
3.1	Is it apparent that there is a fund shift where an appropriation category's funding source is different between A02 and A03? Were the issues entered into LAS/PBS correctly? Check D-3A funding shift issue 340XXX0 - a unique deduct and unique add back issue should be used to ensure fund shifts display correctly on the LBR exhibits.	Y	Y	Y
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? **(NACR, NAC - Report should print "No Negative Appropriation Categories Found")**	Y	Y	Y
3.3	Current Year Estimated Verification Comparison Report: Is Column A02 equal to Column B07? **(EXBR, EXBC - Report should print "Records Selected Net To Zero")**	Y	Y	Y
TIP	Generally look for and be able to fully explain significant differences between A02 and A03.			
TIP	Exhibit B - A02 equal to B07: Compares Current Year Estimated column to a backup of A02. This audit is necessary to ensure that the historical detail records have not been adjusted. Records selected should net to zero.			
TIP	Requests for appropriations which require advance payment authority must use the sub-title "Grants and Aids". For advance payment authority to local units of government, the Aid to Local Government appropriation category (05XXXX) should be used. For advance payment authority to non-profit organizations or other units of state government, a Special Categories appropriation category (10XXXX) should be used.			
4. EXHIBIT D (EADR, EXD)				
4.1	Is the program component objective statement consistent with the agency LRPP, and does it conform to the directives provided on page 59 of the LBR Instructions?	Y	Y	Y
4.2	Is the program component code and title used correct?	Y	Y	Y
TIP	Fund shifts or transfers of services or activities between program components will be displayed on an Exhibit D whereas it may not be visible on an Exhibit A.			

Fiscal Year 2025-26 LBR Technical Review Checklist

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		Program or Service (Budget Entity Codes)		
	Action	41100000	41200000	41300000
5. EXHIBIT D-1 (ED1R, EXD1)				
5.1	Are all object of expenditures positive amounts? (This is a manual check.)	Y	Y	Y
AUDITS:				
5.2	Do the fund totals agree with the object category totals within each appropriation category? **(ED1R, XD1A - Report should print "No Differences Found For This Report")**	Y	Y	Y
5.3	FLAIR Expenditure/Appropriation Ledger Comparison Report: Is Column A01 less than Column B04? **(EXBR, EXBB - Negative differences [with a $5,000 allowance] need to be corrected in Column A01.)**	Y	Y	Y
5.4	A01/State Accounts Disbursements and Carry Forward Comparison Report: Does Column A01 equal Column B08? **(EXBR, EXBD - Differences [with a $5,000 allowance at the department level] need to be corrected in Column A01.)**	Y	Y	Y
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 2023-24 approved budget. Amounts should be positive. The $5,000 allowance is necessary for rounding.			
TIP	If B08 is not equal to A01, check the following: 1) the initial FLAIR disbursements or carry forward data load was corrected appropriately in A01; 2) the disbursement data from departmental FLAIR was reconciled to State Accounts; and 3) the FLAIR disbursements did not change after Column B08 was created. Note that there is a $5,000 allowance at the department level.			
6. EXHIBIT D-3 (ED3R, ED3) (Not required in the LBR - for analytical purposes only.)				
6.1	Are issues appropriately aligned with appropriation categories?	Y	Y	Y
TIP	Exhibit D-3 is not required in the budget submission but may be needed for this particular appropriation category/issue sort. Exhibit D-3 is also a useful report when identifying negative appropriation category problems.			
7. EXHIBIT D-3A (EADR, ED3A) (Required to be posted to the Florida Fiscal Portal)				
7.1	Are the issue titles correct and do they clearly identify the issue? (See pages 14 through 27 of the LBR Instructions.)	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 64 through 69 of the LBR Instructions.)	Y	Y	Y
7.3	Does the narrative for Information Technology (IT) issue follow the additional narrative requirements described on pages 66 through 69 of the LBR Instructions?	Y	Y	Y
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

Fiscal Year 2025-26 LBR Technical Review Checklist

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Agency Budget Officer/OPB Analyst Name:

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		Program or Service (Budget Entity Codes)		
	Action	41100000	41200000	41300000
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.7 of the LBR Instructions.)	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
7.7	Does the issue narrative thoroughly explain/justify all Salaries and Benefits amounts entered into the Other Salary Amounts transactions (OADA/C)? Amounts entered into OAD are reflected in the Position Detail of Salaries and Benefits section of the Exhibit D-3A. (See pages 93 through 94 of the LBR Instructions.)	Y	Y	Y
7.8	Does the issue narrative include the Consensus Estimating Conference forecast, where appropriate?	N/A	N/A	N/A
7.9	Does the issue narrative reference the specific county(ies) where applicable?	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 #24-040?	Y	Y	Y
7.11	When appropriate are there any 160XXX0 issues included to delete positions placed in reserve in the LAS/PBS Position and Rate Ledger (e.g. unfunded grants)? Note: Lump sum appropriations not yet allocated should not be deleted. **(PLRR, PLMO)**	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
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
7.14	Do the amounts reflect appropriate FSI assignments?	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
7.16	Do the issue codes relating to special *Salaries and Benefits* issues (e.g., position reclassification, pay grade adjustment, overtime/on-call pay, etc.) have an "A" in the fifth position of the issue code (XXXXAXX) and are they self-contained (not combined with other issues)? (See pages 26 and 27 of the LBR Instructions.)	Y	Y	Y
7.17	Do the issues relating to *Information Technology (IT)* have a "C" in the sixth position of the issue code (36XXXCX) and are the correct issue codes used (361XXC0, 362XXC0, 363XXC0, 24010C0, 30010C0, 33011C0, 160E470, or 160E480)?	Y	Y	Y
7.18	Are the issues relating to *Major Audit Findings and Recommendations* properly coded (4A0XXX0, 4B0XXX0)?	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
AUDIT:				
7.20	Does the General Revenue for 160XXXX (Adjustments to Current Year Expenditures) issues net to zero? **(GENR, LBR1)**	N/A	N/A	N/A

Fiscal Year 2025-26 LBR Technical Review Checklist

Department/Budget Entity (Service): Department of Legal Affairs

Agency Budget Officer/OPB Analyst Name:

A "Y" indicates "YES" and is acceptable, an "N/J" indicates "NO/Justification Provided" - these require further explanation/justification

	Action	Program or Service (Budget Entity Codes) 41100000	41200000	41300000
7.21	Does the General Revenue for 180XXXX (Intra-Agency Reorganizations) issues net to zero? **(GENR, LBR2)**	N/A	N/A	N/A
7.22	Does the General Revenue for 200XXXX (Estimated Expenditures Realignment) issues net to zero? **(GENR, LBR3)**	N/A	N/A	N/A
7.23	Have FCO appropriations been entered into the nonrecurring column (A04)? **(GENR, LBR4 - Report should print "No Records Selected For Reporting" or a listing of D-3A issue(s) assigned to Debt Service (IOE N) or in some cases State Capital Outlay - Public Education Capital Outlay (IOE L)**	N/A	N/A	N/A
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. **(NAAR, BSNR)**	Y	Y	Y
7.25	Has the agency entered annualization issues (260XXX0) for any issue that was partially funded in Fiscal Year 2024-25? Review Column G66 to determine whether any incremental amounts are needed to fully fund an issue that was initially appropriated in Fiscal Year 2024-25. Do not add annualization issues for pay and benefit distribution issues, as those annualization issues (26AXXXX) have already been added to A03.	N/A	N/A	N/A
TIP	Salaries and Benefits amounts entered using the OADA/C transactions must be thoroughly justified in the D-3A issue narrative. Agencies can run **OADA/OADR** from STAM to identify the amounts entered into OAD and ensure these entries have been thoroughly explained in the D-3A issue narrative.			
TIP	The issue narrative must completely and thoroughly explain and justify each D-3A issue. Agencies must ensure it provides the information necessary for the OPB and legislative analysts to have a complete understanding of the issue submitted. Thoroughly review pages 64 through 69 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 2024-25 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)				
8.1	Has a separate department level Schedule I and supporting documents package been submitted by the agency?	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
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

Fiscal Year 2025-26 LBR Technical Review Checklist

Department/Budget Entity (Service): Department of Legal Affairs

Agency Budget Officer/OPB Analyst Name:

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	Action	Program or Service (Budget Entity Codes) 41100000	41200000	41300000
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
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
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
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
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
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
8.10	Are the statutory authority references correct?	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
8.12	Is this an accurate representation of revenues based on the most recent Consensus Estimating Conference forecasts?	N/A	N/A	N/A
8.13	If there is no Consensus Estimating Conference forecast available, do the revenue estimates appear to be reasonable?	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
8.15	Are anticipated grants included and based on the state fiscal year (rather than federal fiscal year)?	Y	Y	Y
8.16	Are the Schedule I revenues consistent with the FSI's reported in the Exhibit D-3A?	Y	Y	Y
8.17	If applicable, are nonrecurring revenues entered into Column A04?	N/A	N/A	N/A
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
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
8.20	Are appropriate General Revenue Service Charge nonoperating amounts included in Section II?	Y	Y	Y
8.21	Are nonoperating expenditures to other budget entities/departments cross-referenced accurately?	Y	Y	Y

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		Program or Service (Budget Entity Codes)		
Action		41100000	41200000	41300000
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
8.23	Are nonoperating expenditures recorded in Section II and adjustments recorded in Section III?	Y	Y	Y
8.24	Are prior year September operating reversions appropriately shown in column A01, Section III?	Y	Y	Y
8.25	Are current year September operating reversions (if available) appropriately shown in column A02, Section III?	Y	Y	Y
8.26	Does the Schedule IC properly reflect the unreserved fund balance for each trust fund as defined by the LBR Instructions, and is it reconciled to the agency accounting records?	Y	Y	Y
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
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
8.29	Does Line I of Column A01 (Schedule I) equal Line K of the Schedule IC?	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
8.31	Is the June 30 Adjusted Unreserved Fund Balance (Line I) equal to the July 1 Unreserved Fund Balance (Line A) of the following year? If a Schedule IB was prepared, do the totals agree with the Schedule I, Line I? **(SC1R, SC1A - Report should print "No Discrepancies Exist For This Report")**	Y	Y	Y
8.32	Has a Department Level Reconciliation been provided for each trust fund and does Line A of the Schedule I equal the CFO amount? If not, the agency must correct Line A. **(SC1R, DEPT)**	Y	Y	Y
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
8.34	Have A/R been properly analyzed and any allowances for doubtful accounts been properly recorded on the Schedule IC?	Y	Y	Y
TIP	The Schedule I is the most reliable source of data concerning the trust funds. It is very important that this schedule is as accurate as possible!			
TIP	Determine if the agency is scheduled for trust fund review. (See page 124 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:				

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	Program or Service (Budget Entity Codes)		
Action	41100000	41200000	41300000
9.1 Is the pay grade minimum for salary rate utilized for positions in segments 2 and 3? **(BRAR, BRAA - Report should print "No Records Selected For This Request")** Note: Amounts other than the pay grade minimum should be fully justified in the D-3A issue narrative. (See *Base Rate Audit* on page 155 of the LBR Instructions.)	Y	Y	Y

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		Program or Service (Budget Entity Codes)		
	Action	41100000	41200000	41300000
10. SCHEDULE III (PSCR, SC3)				
10.1	Is the appropriate lapse amount applied? (See page 90 of the LBR Instructions.)			
10.2	Are amounts in *Other Salary Amount* appropriate and fully justified? (See pages 93 and 94 of the LBR Instructions for appropriate use of the OAD transaction.) Use **OADI** or **OADR** to identify agency other salary amounts requested.	Y	Y	Y
11. SCHEDULE IV (EADR, SC4)				
11.1	Are the correct Information Technology (IT) issue codes used?	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
13. SCHEDULE VIIIB-1 (EADR, S8B1)				
13.1	**NOT REQUIRED FOR THIS YEAR**	N/A	N/A	N/A
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 VIIIB-2 (EADR, S8B2) (Required to be posted to the Florida Fiscal Portal)				
14.1	Do the reductions comply with the instructions provided on pages 99 through 102 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
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 VIIIC (EADR, S8C) (NO LONGER REQUIRED)				
16. SCHEDULE XI (UCSR,SCXI) (LAS/PBS Web - see pages 104-108 of the LBR Instructions for detailed instructions)				
16.1	Agencies are required to generate this spreadsheet via the LAS/PBS Web. **The Final Excel version no longer has to be submitted to OPB for inclusion on the Governor's Florida Performs Website.** (Note: Pursuant to section 216.023(4) (b), Florida Statutes, the Legislature can reduce the funding level for any agency that does not provide this information.)	Y	Y	Y
16.2	Do the PDF files uploaded to the Florida Fiscal Portal for the LRPP (if submitting) and LBR match?	N/A	N/A	N/A

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		Program or Service (Budget Entity Codes)		
	Action	41100000	41200000	41300000
AUDITS INCLUDED IN THE SCHEDULE XI REPORT:				
16.3	Does the FY 2023-24 Actual (prior year) Expenditures in Column A36 reconcile to Column A01? **(GENR, ACT1)**	Y	Y	Y
16.4	None of the executive direction, administrative support and information technology statewide activities (ACT0010 thru ACT0490) have output standards (Record Type 5)? **(Audit #1 should print "No Activities Found")**	Y	Y	Y
16.5	Does the Fixed Capital Outlay (FCO) statewide activity (ACT0210) only contain 08XXXX or 14XXXX appropriation categories? **(Audit #2 should print "No Operating Categories Found")**	Y	Y	Y
16.6	Has the agency provided the necessary standard (Record Type 5) for all activities which <u>should</u> appear in Section II? (Note: The activities listed in **Audit #3** do not have an associated output standard. In addition, the activities were not identified as a Transfer to a State Agency, as Aid to Local Government, or a Payment of Pensions, Benefits and Claims. Activities listed here should represent transfers/pass-throughs that are not represented by those above or administrative costs that are unique to the agency and are not appropriate to be allocated to all other activities.)	Y	Y	Y
16.7	Does Section I (Final Budget for Agency) and Section III (Total Budget for Agency) equal? **(Audit #4 should print "No Discrepancies Found")**	Y	Y	Y
TIP	If Section I and Section III have a small difference, it may be due to rounding and therefore will be acceptable.			
17. MANUALLY PREPARED EXHIBITS & SCHEDULES (Required to be posted to the Florida Fiscal Portal)				
17.1	Do exhibits and schedules comply with LBR Instructions (pages 52 through 152 of the LBR Instructions), and are they accurate and complete?	Y	Y	Y
17.2	Does manual exhibits tie to LAS/PBS where applicable?	Y	Y	Y
17.3	Are agency organization charts (Schedule X) provided and at the appropriate level of detail?	Y	Y	Y
17.4	Does the LBR include a separate Schedule IV-B for each IT project over $1 million (see page 128 and 129 of the LBR instructions for exceptions to this rule)? Have all IV-Bs been emailed to: **IT@LASPBS.STATE.FL.US?**	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) ?	N/A	N/A	N/A
AUDITS - GENERAL INFORMATION				
TIP	Review *Section 6: Audits* of the LBR Instructions (pages 154 through 156) for a list of audits and their descriptions.			
TIP	Reorganizations may cause audit errors. Agencies must indicate that these errors are due to an agency reorganization to justify the audit error.			

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		Program or Service (Budget Entity Codes)		
	Action	41100000	41200000	41300000
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
18.2	Are the CIP-4 and CIP-5 forms submitted when applicable (see CIP Instructions)?	Y	Y	Y
18.3	Do all CIP forms comply with CIP Instructions where applicable (see CIP Instructions)?	Y	Y	Y
18.4	Does the agency request include 5 year projections (Columns A03, A06, A07, A08 and A09)?	Y	Y	Y
18.5	Are the appropriate counties identified in the narrative?	Y	Y	Y
18.6	Has the CIP-2 form (Exhibit B) been modified to include the agency priority for each project and the modified form saved as a PDF document?	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