



State of Florida
Department of Children and Families

Charlie Crist
Governor

George H. Sheldon
Secretary

LEGISLATIVE BUDGET REQUEST

Department of Children and Families
Tallahassee, Florida

October 15, 2009

Mr. Jerry L. McDaniel, Director
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Executive Office of the Governor
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Tallahassee, FL 32399-0001

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House Full Appropriations Council on General Government & Health Care
221 The Capitol
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Cynthia Kelly, Staff Director
Senate Fiscal Policy & Calendar Committee
201 The Capitol
Tallahassee, FL 32399-1300

Dear Directors:

Pursuant to Chapter 216, *Florida Statutes*, our Legislative Budget Request for the Department of Children and Families 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 2010-11 Fiscal Year.

Sincerely,

George H. Sheldon
Secretary

1317 Winewood Boulevard, Tallahassee, Florida 32399-0700

Florida Department of Children and Families

Fiscal Year 2010-2011



Department Level Exhibits & Schedules

Listing of Strategic IT Services

(FY 2010-11 Schedule IV-C

Worksheet SC-2)

Dept/Agency: Department of Children and Families

Prepared by: Lori Schultz

Phone: 487-8902

Date Completed: October 6, 2009

1. Child and Adult Safety Service

Supports the department's need to record reports of child and adult abuse or neglect, record information gathered during the investigation, track services delivered by community-based care and law enforcement agencies and DCF counselors, provide payment to foster families; provide database and search capability to assist in finding permanent homes for children waiting to be adopted, and generate management reports. This service supports child welfare, adult services, and abuse hotline programs administered by the department.

The following statewide IT Systems are constituent elements of this Strategic IT Service:

- 1.a. Abuse Hotline Web Reporting Tool** – provides the general public a way to report adult and child abuse and neglect to the Florida Abuse Hotline via the Internet.
- 1.b. Adoption Exchange System (AES)** – provides a statewide data base of children receiving adoption services, and families seeking to adopt special needs children. The system enables adoption counselors and home finders statewide to seek matches on certain traits between prospective families and children, and also provides a source for measurement of some adoption performance and outcome indicators.
- 1.c. Adoption Reunion Registry** – gives adult adoptees a chance to be reunited with their birth families without taking court action to have their adoption records unsealed. Adopted adults and members of the birth family sign up with the registry. A staff person verifies the adoption and completes a search to find a match to anyone else in the system. If a consent form is on file, staff release information about the adoption after verifying the requester's identity and relationship to the adopted adult.
- 1.d. Adult Services Information System (ASIS)** – provides a statewide database of clients waiting for services, medwaiver log/tracking component for identifying and approving clients to receive Medicaid waiver services, and case management component.

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- 1.e. **Caretaker Screening Information System (CSIS)** - tracks the results of background screening required for individuals serving as caretakers for the children and families served by the department's programs.
 - 1.f. **Children Not Seen System** – provides an opportunity for headquarters operations staff to monitor and communicate with regions about the status of required face-to-face visits with children under department supervision. In addition, the system is used as a tool at the Region and Community Based Care (CBC) provider level to monitor and address visitation. The system is populated daily (M-F) with data from the Florida Safe Families Network (FSFN) about children for who required face to face visits have not been completed.
 - 1.g. **Child Welfare Legal System** - tracks courts hearings, document filing, court deadlines, court order drafting and submission, scheduled depositions, case planning conferences, and CWLS legal case file locations. Provides attorneys with a tool to prepare for court hearings at which judges will make a decision affecting the safety and well being of children.
 - 1.h. **Child Welfare Resource Record** – consolidation of forms and documents, automates entry of common information throughout the various forms used by child welfare staff.
 - 1.i. **Enterprise Client Index – VS Deaths** – provides search and view of Department of Health Vital Statistics death records.
 - 1.j. **Enterprise Client Index – Vital Statistics** – provides Family Safety and Hotline staff access to confidential birth records from the Department of Health to verify identities and perform diligent searches. Includes HIPAA compliant audit trail.
 - 1.k. **Explore Adoption Newsletter Subscription Request** – an internet website to assist with increasing awareness on adoption in Florida with functionality to subscribe to a monthly newsletter.
 - 1.l. **Family Safety Bulletin Tracker** – a mechanism to track and provide training credit for Family Safety staff that access and review the monthly Family Safety Monthly Newsletter.
 - 1.m. **Florida Safe Families Network (FSFN)** – statewide automated child welfare information system. Incorporates reporting and tracking of

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alleged child and adult abuse or neglect, child and adult safety assessment tools, and case management functions.

- 1.n. Integrated Child Welfare Services Information System (ICWSIS)** – tracks out of home placements, payments, and services provided (supported by Suncoast Region).
- 1.o. Interstate Compact System** - maintains and tracks the interstate placements made by the State of Florida for other states and the requests for placements made by the State of Florida to other states. Maintains information on cases sent to and from Florida, every agency with which the Interstate Compact on the Placement of Children (ICPC) office interacts, each home study requested and completed, correspondence and various other information pertaining to these cases.
- 1.p. Missing Children Tracking System (MCTS)** - tracks children that have been reported missing and transmits the incident to FDLE.
- 1.q. phoeniX** - used to document all calls to the Hotline. Application provides screen pop information and also provides the functionality that is mandated for the Crime Intelligent Unit at the Hotline.
- 1.r. Private Adoption Image Management System** – provides adoption staff with the ability to electronically store, index, and retrieve documents related to private agency adoptions finalized in the state of Florida.

The following region IT Systems are constituent elements of this Strategic IT Service:

- 1.s. AS-Pic-Database** – digital picture tracking program for Adult Services (Northeast Region)
- 1.t. Caretaker** – Used to retrieve historical caretaker screening results (Suncoast Region).
- 1.u. FS PI Case Tracker** – tracks investigations from date received until completion. Tracks actions done and due on each case (Northeast Region).
- 1.v. Record Storage Information System** – tracks stored case file information from child and adult abuse/neglect investigations, Agency

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for Persons with Disabilities, death review, foster care/protective services, adoption, and foster care licensing (Suncoast Region).

- 1.w. Red Flag Log** - *used to track Child Protective Investigator staffings and assignments for high profile cases (Suncoast Region).*

2. Self Sufficiency Service

Supports the department's efforts to assist individuals and families become self-sufficient. Includes needs-based public assistance programs (Temporary Assistance for Needy Families, Medicaid, refugee assistance, and food stamps) that provide benefits to children and families, and aged, blind or disabled adults. This service also supports child support case management, payment collection and payment distribution activities for the Department of Revenue (DOR/CSE), provides Medicaid eligibility information to the Agency for Health Care Administration (AHCA) for provider payment processing, and provides the primary vehicle for the exchange of data between a variety of state and federal agencies. This service also provides data and database capabilities for monitoring and reporting.

The following statewide IT Systems are constituent elements of this Strategic IT Service.

- 2.a. ACCESS Document Imaging** - *allow users to scan documents, create thumbnails, and store the records and user demographics for later retrieval. System includes a web-enabled viewing application for retrieving documents for on-line viewing.*
- 2.b. ACCESS Florida web application** - *an intranet/internet application that allows recipients and applicants to complete an electronic application for Food Stamps, Cash Assistance, Medicaid and Nursing home and Medicaid Coverage.*
- 2.c. ACCESS Florida Prescreening Tool** - *quick and easy way for customers to find out if their household might be able to get: help buying food, cash assistance, low or no cost health care, or help paying Medicare premiums.*
- 2.d. ACCESS Kidcare** - *intranet application for processing KidCare Applications. Florida's KidCare program provides children with medical coverage and the Department's role is to determine if these children are eligible for Medicaid coverage. Receives records from Florida Healthy Kids, the group that determines eligibility for the KidCare program, and then notifies them of the disposition of each application.*

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- 2.e. ACCESS Management System (AMS)** – web enabled application for the ESS worker. Provides worker a Browser based presentation of the client entered data, and matching data from FLORIDA. Allows the worker to modify data entered in ACCESS by the client. Worker is able to initiate the transfer of the CR data into FLORIDA.
- 2.f. Florida On-line Recipient Integrated Data Access System (FLORIDA)** – provides operational support for Public Assistance eligibility determination and Child Support Enforcement processing. It serves the working poor, children, and elderly or disabled citizens of the state who are eligible for public assistance, medical assistance and child support enforcement services.
- 2.g. Food for Florida (FFF)** –provides food stamps benefits to Florida’s residents who have experienced a natural disaster whenever the emergency food stamp program is authorized following a disaster.
- 2.h. Intake Management System** – used to track applications from the point they are submitted by a client until they are authorized or denied.
- 2.i. Integrated Benefit Recovery System** - facilitates and aids in the recovery of over-issuance of public assistance benefits.
- 2.j. My Account Status** – used by the DCF clients to access their own personal data. My Account Status pages application to shows the status of the account, pending verification list, appointment information, detail information about the status of the benefit, and benefit history information. It enables a client to view: current benefits, the date benefits will be available, next review date, when an appointment is scheduled, benefit account history, a list of pending information, and also print a temporary Medicaid card.
- 2.k. Platinum Community Partner** - to assist with the application process, providing eligibility and case information about ACCESS clients to Platinum Community Partners. That information includes: Individual demographic information, living address, list of recently received information, list of items needed to process the case, date of the next scheduled appointment, cash, Food Stamps and Medical eligibility status, and Personal Identification number(PIN).
- 2.l. Report Change System** – online system for customers to report changes in household circumstances such as changes in address, employment, household composition or utility expenses.

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- 2.m. Supplemental Payment System (SPS)** – *authorizes payments for the Optional State Supplementation and the Personal Needs Allowance supplement.*

The following region/central office IT Systems are constituent elements of this Strategic IT Service:

- 2.n. IMS Plus** – *assists in the assigning of cases to available case workers. Produces required documents (Suncoast Region).*

3. Substance Abuse and Mental Health Service

This service supports the delivery of medical and behavioral health services to individuals with mental health or substance abuse problems in the community as well as in state mental health treatment facilities. This service also supports the daily operation of the department's mental health treatment facilities as well as the monitoring and reporting of services and service outcomes pertaining to clients served in state-contracted community substance abuse and mental health provider agencies.

The following statewide IT Systems are constituent elements of this Strategic IT Service.

- 3.a. Forensic Waiting List** - *database for tracking and reporting individuals on waiting lists for admissions into state-operated mental health treatment facilities. It is used daily by Central Program Office staff for collecting, analyzing and producing various management reports, including length of stay, waiting list, and Dashboard performance measures (supported by SAMH Program).*
- 3.b. Juvenile Incompetent to Proceed (JITP)** - *database for clients served in the JITP facility. It is used daily by the Children Mental Health Program staff as an assessment tool to collect, analyze and report data pertaining to socio-demographic characteristics, eligibility determination and enrollment of clients served in the JITP facility. It produces various management reports, including length of stay, waiting list, and Dashboard performance measures (supported by SAMH Program).*
- 3.c. Sexually Violent Predator Program (SVPP) Database** - *database for clients served in Sexually Violent Predator Program (SVPP). It is used daily as an assessment tool to evaluate the status and provide treatment for clients referred to DCF for eligibility determination. The database is used for reporting the socio-demographic and clinical profile of clients served, including beginning and ending censuses, admissions*

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and discharges, length of stay, and for producing data related to Dashboard performance measures (supported by SAMH Program).

- 3.d. Substance Abuse Licensure Information System (SALIS)** - *contains information on licensing in a centralized database that can be used to monitor and evaluate the overall effectiveness of the licensing process. Used to conduct licensing inspections and report results and to reduce variability in the licensing process, as well as track collection of licensing fees.*
- 3.e. Substance Abuse Mental Health (SAMH)** - *captures and reports provider, demographic, admission, assessment, discharge and service delivery data from Substance Abuse and Mental Health contracted service providers, mental health institutions, and contracted and/or state-owned treatment facilities.*
- 3.f. Substance Abuse Mental Health Waitlist** - *provides a statewide database of clients waiting for services. This is a sub-component of SAMH system.*

The following region/institution IT Systems are constituent elements of this Strategic IT Service:

- 3.g. Refer to Attachment 1** *which provides a list/description of the strategic systems maintained by the department's three mental health institutions.*

4. (External) Agency for Persons with Disabilities Service

Provides for the delivery of therapeutic and case management services to individuals with certain disabilities.

DCF Information Technology Services no longer provides strategic services for the operation of the Allocation, Budget and Contract Control (ABC) System. APD is responsible for programming for this system and the hosting of this system is now the responsibility of the Northwood Shared Resource Center.

The following region IT Systems are constituent elements of this Strategic IT Service:

- 4.a. Agency for Persons with Disabilities Home and Community Based Services Information System (MWDB)** - *tracks medwaiver providers, the services they provide, and enrollment information (Suncoast Region).*

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- 4.b. Applicant Tracking Information System (APTIS)** – tracks an applicant through the referral and eligibility determination (Suncoast Region).

5. (External) Department of Health Service

Provides for delivery of benefits to women, infants and children in need of nutritional supplementation through the WIC program, and for maintenance of statewide vital records such as death and divorce, on behalf of the Department of Health.

The following IT Systems are constituent elements of this Strategic IT Service.

- 5.a. Vital Statistics Birth Registration** – Birth Notification printing, FDLE processing, DEATHLINK processing. System is partially shut down and is only available to a limited number of individuals. System previously maintained official records of births within the state, as well as births to Florida residents which occur out of state; generated Certificates of Live Births and notification mailers.
- 5.b. Vital Records System** – maintains official records of deaths, divorces, and fetal deaths within the state, as well as deaths of Florida residents which occur out of state. Generates Certificates of Death, Marriage, and Dissolution. Data is supplied to external national and federal organizations. The online portion of the system is maintained by Humansoft and the batch portion is maintained by DCF.
- 5.c. Women, Infants and Children System (WIC)** – provides for client registration, appointment scheduling, medical and nutritional assessments, check issuance/reconciliation, vendor registration, tape interface to Centers for Disease Control (CDC), tape interface for bank processing, tracking of service delivery and complaints, immunization tracking, inventory of special formula and check stock, multilevel output reports, and ad hoc capability.

6. Emergency Transition Services

Provides for the delivery of services to individuals in need of emergency services due to relocation to the United States as refugees, asylees, Cuban/Haitian entrants and victims of human trafficking, individuals in need of emergency housing assistance, or victims of domestic violence. Includes the provision of financial assistance through the Emergency Financial Assistance for Housing Program as well as the monitoring and reporting of services (both needed and

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provided) delivered by contracted service providers, and the provision of information related to available resources.

The following statewide IT Systems are constituent elements of this Strategic IT Service:

- 6.a. Domestic Violence Batterer Intervention Program Lookup** – *a resource tool available on the internet to provide the public with information and search capability on batterer prevention programs statewide.*
- 6.b. Emergency Financial Assistance for Housing Program (EFAHP)** – *provides a one-time payment of up to \$400 to families who are totally without shelter or face the loss of shelter because of non-payment of rent or mortgage. It also helps those families who have had household disasters such as fire, flood, or other accidents.*
- 6.c. Refugee Services Database System** – *records summarized service units submitted by contracted providers to support reporting to funding sources, deliverables, invoices and monitoring.*

7. Child Care Services

Supports the Department's activities associated with the regulation of licensed child care facilities, licensed family day care homes, licensed large family child care homes, and licensed mildly ill facilities in 60 of the 67 counties in Florida, and administration of the registration of family day care homes not required to be licensed..

The following statewide IT Systems are constituent elements of this Strategic IT Service:

- 7.a. Child Care Information Systems (CCIS)** – *a web and client based information system used to manage child care licensing. The public portal is a comprehensive web based resource for parents interested in locating quality child care arrangements and for individuals working within the child care arena. The private portal is a comprehensive web based resource for child care licensing staff and contractors to conduct and manage licensing inspections and administer child care training course, issue credentials based on child care training and report on all data captured within the system.*

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Attachment 1: Strategic Systems Maintained by the Department's Institutions

Institution	System	Description
FSH	Abnormal Involuntary Movement Scale	Tracks resident Tardive data.
FSH	Baker Act Court Reporting	Tracks court information on Baker Act residents.
FSH	Behavior Tracking	Tracks/records resident behaviors.
FSH	Canteen Point-of-Sale System	Tracks Resident Canteen Inventory and Sales.
FSH	CARF Question and Answer Forum	Provides an online means to submit CARF questions to CARF coordinator.
FSH	Case Manager Tracking	Tracks residents' case managers.
FSH	Census/Demographic Tracking	Records resident demographics and tracks admissions, discharges and transfers.
FSH	Chart Review	Provides a comprehensive overview of resident clinical data.
FSH	Clinical Scorecard	Displays/reports medication usage.
FSH	Computrition Food Management/Nutritional Assessment	Tracks and records resident diet information and provides recipe/menu management.
FSH	Court Report Scheduler	Schedules Resident Competency Evaluations.
FSH	Court Reports Tracking System	Tracks Resident Competency Evaluations.
FSH	Critical Incident Reporting	Tracks/records resident critical incidents.
FSH	Diagnosis Tracking	Tracks Resident Diagnosis.
FSH	Emergency Treatment Order Tracking	Tracks Emergency Treatment Orders.
FSH	E-Plans	Electronic resident recovery plan.
FSH	Forensic Staff Reporting (Direct Care)	Records Forensic Services direct care staffing per shift.
FSH	FSH Intranet Web site	Portal to staff and resident data.
FSH	Functional Assessment Rating System	Tracks residents' functional assessment ratings.
FSH	Functional Disabilities Tracking	Tracks resident functional disabilities.
FSH	Guardian/Representative Info	Tracks resident Guardian information.
FSH	Horitherapy Point-of-Sale	Tracks Horitherapy Inventory and Sales.
FSH	Laboratory System	Tracks lab requests and results.
FSH	Living Environment Alternative Preferences Tracking	Displays Virtual Tours of Discharge Facilities.
FSH	Maladaptive Behaviors	Tracks/records resident maladaptive behaviors.
FSH	Medical Clinics/Registries (15)	Tracks Medical Clinics and Registries data.

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Institution	System	Description
FSH	Medical Service Director Review	Allows monitoring of physicians' caseloads.
FSH	Medical Unit Admissions/Transfers	Tracks Medical Unit Admissions/Transfers.
FSH	Medication Consent Tracking	Tracks all resident medication consents.
FSH	Minor Property	Tracks property under \$1000.
FSH	Monthly Nursing Progress Notes	Provides electronic version of Form 78.
FSH	Music Therapy Media Inventory System	Provides online tracking and inventory of music therapy library
FSH	Observation/Maladaptive Behaviors Database (Unit 27)	Records/tracks observations, schedules attendance, and tracks performance reward points.
FSH	OrderImage	Provides a means to scan pharmacy orders into the Pharmacy application via the unit fax machines.
FSH	Pharmacy System	Tracks administration and inventory of medications.
FSH	Psychotropic Drug Refusals	Tracks resident medication refusals.
FSH	Recovery Plan Scheduling	Schedules Recovery Plan Team Reviews.
FSH	Recovery Referral Services	Electronic referral to help speed up referral services to residents.
FSH	Resident Desk Files	Displays Resident-specific information.
FSH	Resident Personal Safety Plan	Provides electronic version of Form 325.
FSH	Resident Physical Information	Tracks resident physical data.
FSH	Resident Readiness Assessment	Provides electronic version of Form 208.
FSH	Resident Services Attendance Tracker	Tracks resident attendance in services provided.
FSH	RxAssist	Records/tracks Pharmacy interventions.
FSH	Seclusion/Restraint Tracking System	Tracks resident seclusion/restraint.
FSH	Social Services Tracking System	Tracks Resident Discharge Planning and Competency data.
FSH	Statewide Dental Services	Tracks resident dental procedures.
FSH	Training Management System	Tracks employee training.
FSH	Tuberculosis Tracking	Tracks resident TB/screening data.
FSH	Unit 31 Clinics Scheduling	Scheduling tool for Unit 31 inpatient and outpatient clinics.
FSH	Weight/BMI Tracking/Reporting	Provides a means to track resident weight/BMI.
FSH	X-Ray Tracking System	Tracks/records X-Rays.
NEFSH	Code Search	Assist in defining proper diagnosis coding
NEFSH	Community Assessment	Clinical Evaluation

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Institution	System	Description
NEFSH	Community Provider	Community Provider Database
NEFSH	Diagnosis Tracking	Client Diagnosis Database
NEFSH	Dietary	Dietary Tracking and Food Delivery System
NEFSH	Functional Assessment Rating System	Clinical Evaluation for improvement.
NEFSH	Kodak Digital X-Ray	Digitizer for X-Ray system
NEFSH	Medics Pharmacy System	Pharmacy Inventory and Distribution System
NEFSH	Resident Admission	Track Client Admissions
NEFSH	Resident Banking	Tracking of client funds
NEFSH	Resident Clothing	Tracking clothing issued to clients
NEFSH	Resident Customer Satisfaction	Track and report client satisfaction
NEFSH	Resident Daily Census	Tracks client population
NEFSH	Resident Discharge	Tracks client discharge
NEFSH	Resident Incident Tracking	Tracks and reports client incidents
NEFSH	Resident Individual Habilitation System	Tracks and reports client Habilitation plan and schedule
NEFSH	Resident Infection Control	Tracks and reports client disease and inoculations
NEFSH	Resident Leave Tracking	Tracks client Leave
NEFSH	Resident Legal Competency	Tracks Client Legal Competency status
NEFSH	Resident Legal Status	Tracks Client Legal Status and Charges
NEFSH	Resident Living Area Assignment	Tracks bed utilization
NEFSH	Resident Medical Appointments	Schedules and Tracks Client Medical Appointments
NEFSH	Resident Medication Occurrence	Tracks Medication Occurrence errors
NEFSH	Resident Pre-Admission	Tracks pre-admissions to facility
NEFSH	Resident Pre-Discharge	Tracks and reports clients in discharge status
NEFSH	Resident Relationship Tracking	Tracks, reports and notification of individuals responsible for care of client
NEFSH	Resident Responsible Staff	Tracks and reports staff member responsible for client
NEFSH	Resident Seclusion/Restraints Tracking	Tracks and reports the use of Seclusion and Restraints
NEFSH	Schick Dental X-Ray System	Digital Dental X-Ray system
NEFSH	Staff Infection Control Staff	Tracks and reports staff disease and inoculations
NEFSH	X-Ray Tracking	Storage of completed X-Ray reports

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Institution	System	Description
NFETC	Admissions Processing	Tracks admission processing compliance
NFETC	Inventory - Food	Center food inventory tracking
NFETC	Inventory - Medication/Drug Room	Center Medications inventory tracking
NFETC	Inventory - Pills (Drugs)	Pills inventory tracking
NFETC	MedCart	Medication Management Software
NFETC	Medical & Dental Appointments	Tracks resident appoints (internal and external)
NFETC	Plan - Electronic Health Record	Implement Electronic Record Software
NFETC	Plan - Wireless	Add Wireless access
NFETC	Psychological Testing	Records/reports MMPI test results
NFETC	Psychotropic Medication Compliance	Tracks audits of medication compliance
NFETC	QS1 (Pharmacy)	Pharmaceutical software
NFETC	Resident Chart Audits	Records/reports on chart deficiencies
NFETC	Resident Competency Assessments	Tracks resident competency assessment
NFETC	Resident Dietary	Records/reports resident diets
NFETC	Resident DISCUS Tracking	Tracks Discus performance
NFETC	Resident FARS Scoring	Tracks FARS scores
NFETC	Resident Information System	Record/report resident demographics, census, admissions & discharges
NFETC	Resident Laboratory Specimens	Record/report on resident lab work
NFETC	Resident Medication Court Hearings	Records/schedules resident court hearings
NFETC	Resident Records Requests	Records/report clinical records requests/receipts
NFETC	Resident Recovery/Service & Nursing Care Planning	Records/report clinical and nursing service plans
NFETC	Resident Seclusion and Restraint Tracking	Records/report resident seclusion/restraint hours
NFETC	Resident Treatment Participation	Record/report resident participation in treatment activities
NFETC	Security and Incident Reporting	Record/report incident and security reports
NFETC	Smartserver (E-forms, Inc)	Enables Voucher printing from Samas
NFETC	Sure Quest Three Squares	Food Svs recipe and menu software

FY 2010-11 Schedule IV-C: Information Technology (IT) Costs & Service Requirements
IT Service Requirements Worksheet: IT Support Service for Agency Financial and Administrative Functions

Dept/Agency: **Department of Children and Families**
Submitted by: **Ramin Kouzehkanani, Chief Information Officer**
Phone: **921-5565**
Date submitted: **October 6, 2009**

IT Support Service for Agency Financial and Administrative Systems

This service enables users in the agency's administrative and support areas to operate and maintain the non-strategic applications that support agency administrative. Please consult the *Guidelines for Schedule IV-C: IT Costs and Service Requirements* for the complete definition of this IT Service and specific direction on how to complete this document.

Identify major IT Systems (applications) that are included (in whole or part) in this IT Service:			
1	Automated Requisitions Tracking System (ARTS)	5	DCF Tracker
2	Certified Forward	6	Grants Revenue and Allocation Tracking System (GRANTS)
3	Chart 8	7	SAMAS User Accounting
4	Personnel/Payroll Management Data System (PMDS)	8	Supply Inventory Management System (SIMS)

1. IT Service Definition

1.1. Who is the service provider? **(Indicate all that apply)**

- | | |
|--|---|
| <input checked="" type="checkbox"/> Central IT staff | <input checked="" type="checkbox"/> State Primary Data Center |
| <input type="checkbox"/> Program staff | <input type="checkbox"/> Other External service provider |
| <input type="checkbox"/> Another State agency | |

1.2. Who uses the service? **(Indicate all that apply)**

- ☒ Agency staff (state employees or contractors)
☐ Employees or contractors from one or more additional state agencies
☐ External service providers
☐ Public (please explain in Question 5.2)

1.3. Please identify the number of users of this service. 5,000

1.4. How many locations currently host agency financial/ administrative systems? 2

2. Service Unique to Agency

2.1. Is a similar or identical IT service provided by another agency or external service provider?

(Identical, Very Similar, No)

Very Similar

2.2. If the same level of service could be provided through another agency or source for less than the current cost of the IT service, could your agency change to another service provider?

☒ Yes ☐ No

2.2.1. If yes, what must happen for your agency to use another IT service provider?

Funds must be provided and the federally approved cost allocation plan must be modified and re-approved to recoup costs. Applications would have to be available to meet all of the various business needs of the Department's administrative and support functions with the appropriate business rules in place to support unique requirements.

FY 2010-11 Schedule IV-C: Information Technology (IT) Costs & Service Requirements
IT Service Requirements Worksheet: IT Support Service for Agency Financial and Administrative Functions

Services provided by NSRC would require 180 days notification prior to terminating services.

2.2.2. If not, why does your agency need to maintain the current provider for this IT service?

3. IT Service Levels Required to Support Business Functions

Answer the following questions for the primary or dominant IT system within this IT Service.

3.1. Has the agency specified the service level requirements for this IT Service?

- ☐ Yes; formal Service Level Agreement(s)
☐ Yes; informal agreement(s)
☒ No; specific requirements have not been determined and approved by the department

If you answered "Yes," identify major (formal or informal) service level requirements:

DCF and NSRC are in the process of developing a formal SLA which will establish standards for the hosting of the applications.

3.2. Timing and Service Delivery Requirements

3.2.1. Hours/Days that service is required (**e.g., 0700-1800 M-F, 24/7**) for:

3.2.1.1. User-facing components of this IT service (online) 0700-1900

3.2.1.2. Back-office-facing components of this IT service (batch and maintenance) 1900-0700

3.2.2. What is the agency's tolerance for down time during peak periods, i.e., time before management-level intervention occurs (**e.g., 15 min, 30 min, 60 min**)? The duty manager is immediately notified (DCF IS SOP C-25) so that the issue is addressed and resolved

3.2.2.1. What are the impacts on the agency's business if this down-time standard is exceeded?

Department staff would be unable to perform essential administrative and financial functions such as managing the Department's budget and personnel, tracking assignments, collecting and processing reimbursements, and generating reports necessary to draw down federal funding

3.2.3. Are there any agency-unique service requirements? ☐ Yes ☐ No

If yes, specify (**include any applicable constitutional, statutory, or rule requirements**)

Several of these service delivery applications are developed in Lotus Notes that also is our e-mail system.

3.2.4. What are security requirements for this IT service? (**Indicate all that apply**)

- ☒ User ID/Password ☐ Access through Internet or external network
☒ Access through internal network only ☐ Access through Internet with secure encryption
☐ Other _____

3.2.5. Are there any federal, state, or agency privacy policies or restrictions applicable to this IT Service?

- ☒ Yes ☐ No

FY 2010-11 Schedule IV-C: Information Technology (IT) Costs & Service Requirements
IT Service Requirements Worksheet: IT Support Service for Agency Financial and Administrative Functions

3.2.5.1. If yes, please specify and describe:

State privacy and data-encryption standards and portions of Title XIX, Title IV-A, Title IV-E, and HIPAA that address issues of confidentiality of data

4. User/customer satisfaction

4.1. Are service level metrics reported to business stakeholders or agency management

☐ Yes ☒ No

If yes, briefly describe the frequency of reports and how they are provided:

4.2. Are currently defined IT service levels adequate to support the business needs?

☒ Yes ☐ No

4.2.1. If no, what changes need to be made to the current IT service? **(Briefly explain)**

4.2.2. List any significant projects that are underway or planned to upgrade or enhance any system associated with this IT service.

Project Name	Description	Start Date	End Date	Estimated Total Cost to Complete

5. Additional Information

5.1. Please describe the funding source(s), i.e., general revenue, trust fund, federal grant, or other, which is used to provide this service. Identify whether there is a cost recovery or cost allocation plan for this service. Be sure to describe any anticipated adjustments to the funding source(s) or funding level for FY 2010-11. If such adjustments are anticipated, please describe any corresponding change needed in the service funding model (e.g., charge-back, cost allocation, fee-per-transaction, etc.).

General revenue, trust fund, and federal funds participation (FFP). FFP requires formal federal prior approval of this agency's cost allocation plan

5.2. Other comments (Briefly describe the usage pattern for any public user groups identified in Question 1.3, e.g., annual use, occasional use, self-service, or optional use, and any other comments to explain the service.)

IT Service Requirements Worksheet: Child Care ServiceDept/Agency: **Department of Children and Families**Submitted by: **Ramin Kouzehkanani, Chief Information Officer**Phone: **921-5565**Date submitted: **October 6, 2009****Child Care Service**

Identify major commercial hardware/software that are included (in whole or part) in this IT Service:			
1	Provided by SSRC	5	
2		6	
3		7	
4		8	

1. IT Service Definition

1.1.1. Provide the definition of this service as identified on Form SC2 (Strategic IT Service Catalog).

Supports the Department's activities associated with the regulation of licensed child care facilities, licensed family day care homes, licensed large family child care homes, and licensed mildly ill facilities in 60 of the 67 counties in Florida, and administration of the registration of family day care homes not required to be licensed..

1.2. Who is the service provider? **(Indicate all that apply)**

- ☐ Central IT staff
 ☒ State Shared Resource Center
☐ Program staff
 ☒ External service provider
☐ Another State agency

1.3. Who uses the service? **(Indicate all that apply)**

- ☒ Agency staff (state employees or contractors)
☒ Employees or contractors from one or more additional state agencies
☒ External service providers
☒ Public

1.4. Please identify the number of users of this service.

927 –CCLS, 484 – CCTA (80K users from the public), 199 – CCRAIN

1.5. How many locations currently host this service?

2**2. Service Unique to Agency**

2.1. Is a similar or identical IT service provided by another agency or external service provider?

(Identical, Very Similar, No)No

2.2. If the same level of service could be provided through another agency or source for less than the current cost of the IT service, could your agency change to another service provider?

- ☒ Yes
 ☐ No

IT Service Requirements Worksheet: Child Care Service

2.2.1. If yes, what must happen for your agency to use another IT service provider?

All current service levels in place must be met or exceeded.

Criteria in Chapter 282.201(4)(a), F.S. would have to be met regarding relocation restrictions and prior notification.

2.2.2. If not, why does your agency need to maintain the current provider for this IT service?

3. IT Service Levels Required to Support Business Functions

3.1. Has the agency specified the service level requirements for this IT Service?

- ☒ Yes; formal Service Level Agreement(s)
☐ Yes; informal agreement(s)
☐ No; specific requirements have not been determined and approved by the department

If you answered "Yes," identify major (formal or informal) service level requirements:

Enhancements, maintenance and support

3.2. Timing and Service Delivery Requirements

3.2.1. Hours/Days that service is required (*e.g., 0700-1800 M-F, 24/7*) for:

3.2.1.1. User-facing components of this IT service (online) 24/7

3.2.1.2. Back-office-facing components of this IT service (batch and maintenance) 24/7

3.2.2. What is the agency's tolerance for down time during peak periods, i.e., time before management-level intervention occurs (*e.g., 15 min, 30 min, 60 min*)?

15 minutes

3.2.2.1. What are the impacts on the agency's business if this down-time standard is exceeded?

Disruption to staff, providers and the general public

3.2.3. Are there any agency-unique service requirements? ☒ Yes ☐ No

If yes, specify (*include any applicable constitutional, statutory, or rule requirements*)

Data encryption for personnel information, including social security numbers

3.2.4. What are security requirements for this IT service? (*Indicate all that apply*)

- ☒ User ID/Password ☐ Access through Internet or external network
☐ Access through internal network only ☒ Access through Internet with secure encryption
☐ Other _____

3.2.5. Are there any federal, state, or agency privacy policies or restrictions applicable to this IT Service?

☒ Yes ☐ No

3.2.5.1. If yes, please specify and describe:

Data encryption for personnel information, including social security numbers

4. User/customer satisfaction

IT Service Requirements Worksheet: Child Care Service

4.1. Are service level metrics reported to business stakeholders or agency management

☒ Yes ☐ No

4.1.1. If yes, briefly describe the frequency of reports and how they are provided:

Monthly invoices include tasks performed by SSRC and weekly reports outlining issues and enhancements

4.2. Are currently defined IT service levels adequate to support the business needs?

☒ Yes ☐ No

4.2.1. If no, what changes need to be made to the current IT service? **(Briefly explain)**

4.2.2. List any significant projects that are underway or planned to upgrade or enhance any system associated with this IT service.

Project Name	Description	Start Date	End Date	Estimated Total Cost to Complete

5. Additional Information

5.1. Please describe the funding source(s), i.e., general revenue, trust fund, federal grant, or other, that is used to provide this service. Identify whether there is a cost recovery or cost allocation plan for this service. Be sure to describe any anticipated adjustments to the funding source(s) or funding level for FY 2009-10. If such adjustments are anticipated, please describe any corresponding change needed in the service funding model (e.g., charge-back, cost allocation, fee-per-transaction, etc.).

FGTF supports the system and this funding originates as Child Care Development Funding through an interagency agreement with the Agency for Workforce Innovation.

5.2. Other comments

IT Service Requirements Worksheet: Desktop Computing ServiceDept/Agency: **Department of Children and Families**Submitted by: **Ramin Kouzehkanani, Chief Information Officer**Phone: **921-5565**Date submitted: **October 6, 2009****Desktop Computing Service**

This service enables use of standard office automation functions, as well as access to other applications that require standard desktop functionality. Please consult the *Guidelines for Schedule IV-C: IT Costs and Service Requirements* for the complete definition of this IT Service and specific direction on how to complete this document.

Identify the major commercial hardware and software associated with the Desktop Computer Service:

1	Desktop PCs/Laptops (Intel)	5	Visio
2	Printers, scanners, MFDs	6	e-Trust Antivirus
3	Microsoft Office Suite	7	BlueZone
4	Microsoft Project	8	

1. IT Service Definition1.1. Who is the service provider? **(Indicate all that apply)**☒ Central IT staff☐ State Primary Data Center☒ Program staff☒ Other External service provider☐ Another State agency1.2. Who uses the service? **(Indicate all that apply)**☒ Agency staff (state employees or contractors)☒ Employees or contractors from one or more additional state agencies☒ External service providers☒ Public

1.3. Please identify the number of users of this service.

1500Approx

1.4. How many locations currently use desktop computing services?

Approx 30**2. Service Unique to Agency**

2.1. Is a similar or identical IT service provided by another agency or external service provider?

(Identical, Very Similar, No, Unknown)very similar

2.2. If the same level of service could be provided through another agency or source for less than the current cost of the IT service, could your agency change to another service provider?

☒ Yes☐ No

2.2.1. If yes, what must happen for your agency to use another IT service provider?

Service level requirements must be validated to ensure another IT service provider could install and update desktop software and trouble-shoot the desktops for all of our 15,000+ users in all locations statewide and for those private sector business partners who depend on us for their desktop service. Would require training for specific agency unique applications. Funds must be provided and the federally approved cost allocation plan must be modified and re-approved to recoup costs

IT Service Requirements Worksheet: Desktop Computing Service

2.2.2. If not, why does your agency need to maintain the current provider for this IT service?

3. IT Service Levels Required to Support Business Functions

3.1. Has the agency specified the service level requirements for this IT Service?

- ☒ Yes; formal Service Level Agreement(s)
☒ Yes; informal agreement(s)
☐ No; specific requirements have not been determined and approved by the department

If you answered "Yes," identify major (formal or informal) service level requirements:

There are no standard service level requirements established for this service. Warranties do not have a required response time. Tier 1, 2 support has specific response time requirements. However, PC maintenance contract has a fix or replace in 12 hours clause.

3.2. Timing and Service Delivery Requirements

3.2.1. Hours/Days that service is required (*e.g., 0800-1600 M-F, 24/7*)

24/7

3.2.2. What are the impacts on the agency's business if the Desktop Service is not available?

If staffing is not sufficient to maintain and/or troubleshoot existing equipment for those staff responsible for handling abuse reporting and protective investigations, at-risk children and adults could die, or investigations could be overly extended due to lack of research capability and access to on-line systems. Other employees would not be able to access department applications, use email, or access web-based services such as PeopleFirst. Services to customers may be disrupted if alternative PCs are not available in case of failure. If equipment does not meet minimal department standards, staff cannot access and run applications needed to perform their duties.

3.2.3. Are there any agency-unique service requirements?

☒ Yes

☐ No

If yes, specify (*include any applicable constitutional, statutory, or rule requirements*)

Must accommodate mobile workforce who are on call 24/7 for abuse hotline calls and protective investigations in the field statewide. Must also accommodate data center staff who may work non-traditional hours and who are on call.

3.2.4. What are security requirements for this IT service? (*Indicate all that apply*)

- ☒ User ID/Password ☐ Access through Internet or external network
☒ Access through internal network only ☐ Access through Internet with secure encryption
☒ Other Virus and intrusion detection and eradication; built-in spam filter; mandatory security awareness training for anyone accessing a PC.

3.2.5. Are there any federal, state, or agency privacy policies or restrictions applicable to this IT Service?

☒ Yes

☐ No

3.2.5.1. If yes, please specify and describe:

Data encryption standards and portions of Title XIX, Title IV-A, Title IV-E, and HIPAA that address issues of data confidentiality

4. User/customer satisfaction

IT Service Requirements Worksheet: Desktop Computing Service

4.1. Are service level metrics reported to business stakeholders or agency management

☒ Yes ☐ No

If yes, briefly describe the frequency of reports and how they are provided:

Hardware and software inventory reported in the Enterprise Resource Planning & Management report annually. Hardware and software needs are reviewed annually with program offices for the budget cycle

4.2. Are currently defined IT service levels adequate to support the business needs?

☐ Yes ☒ No

4.2.1. If no, what changes need to be made to the current IT service? **(Briefly explain)**

A dependable, recurring source of funding needs to be provided to cover equipment refresh. The Department is planning to implement a 4-year desktop refresh cycle.

4.2.2. List any significant projects (e.g., total cost more than \$500,000) that are underway or planned to upgrade or enhance any resource or system associated with this IT service.

Project Name	Description	Start Date	End Date	Estimated Total Cost to Complete

5. Additional Information

5.1. Please describe the funding source(s), i.e., general revenue, trust fund, federal grant, or other, which is used to provide this service. Identify whether there is a cost recovery or cost allocation plan for this service. Be sure to describe any anticipated adjustments to the funding source(s) or funding level for FY 2010-11. If such adjustments are anticipated, please describe any corresponding change needed in the service funding model (e.g., charge-back, cost allocation, fee-per-transaction, etc.).

General revenue, trust fund, federal reimbursement. Federal funding requires formal federal approval of cost allocation plan.

5.2. Other comments

FY 2010-11 Schedule IV-C: Information Technology (IT) Costs & Service Requirements
IT Service Requirements Worksheet: E-Mail, Messaging, and Calendaring Service

Dept/Agency: **Department of Children and Families**
 Submitted by: **Ramin Kouzehkanani, Chief Information Officer**
 Phone: **921-5565**
 Date submitted: **October 6, 2009**

E-Mail, Messaging, and Calendaring Service

This service enables users to send and receive e-mail and attachments, perform departmental calendaring, manage address lists, create and maintain shared or private folders, and store message data provided through the e-mail service. Please consult the *Guidelines for Schedule IV-C: IT Costs and Service Requirements* for the complete definition of this IT Service and specific direction on how to complete this document.

Identify the major commercial hardware and software associated with the E-Mail Service:			
1	(NSRC) HP/Compaq Proliant Servers, Storage and Tape Backup Devices	5	(NSRC) CA BrightStor Enterprise Backup Software
2	(NSRC) Windows Server 2003 Standard Operating Systems SP2	6	Commonstore for Lotus Domino (Archive e-mail) migrating to Computer Associate's CAMM product.
3	Lotus Domino Server Software	7	
4	Lotus Notes Client Software	8	

1. IT Service Definition

1.1. Who is the service provider? **(Indicate all that apply)**

- | | |
|--|---|
| <input checked="" type="checkbox"/> Central IT staff | <input checked="" type="checkbox"/> State Primary Data Center |
| <input type="checkbox"/> Program staff | <input type="checkbox"/> Other External service provider |
| <input type="checkbox"/> Another State agency | |

1.2. Who uses the service? **(Indicate all that apply)**

- ☒ Agency staff (state employees or contractors)
☒ Employees or contractors from one or more additional state agencies
☐ External service providers
☐ Public (please explain in Question 5.2)

1.3. Please identify the number of users (e-mail accounts/mailboxes) of this service. Approx
20,000

1.4. How many locations currently host IT assets and resources used to provide e-mail, messaging, and calendaring services? 2

2. Service Unique to Agency

2.1. Is a similar or identical IT service provided by another agency or external service provider?
(Identical, Very Similar, No)

Somewhat Similar

2.2. If the same level of service could be provided through another agency or source for less than the current cost of the IT service, could your agency change to another service provider?

- ☒ Yes ☐ No

FY 2010-11 Schedule IV-C: Information Technology (IT) Costs & Service Requirements
IT Service Requirements Worksheet: E-Mail, Messaging, and Calendaring Service

2.2.1. If yes, what must happen for your agency to use another IT service provider?

Service level requirements must be validated to ensure another IT service provider could provide equivalent functionality and maintain and trouble-shoot problems with the service. If the software changed, the department would have to provide re-training for all staff utilizing the service. A transition plan would have to be in place to implement the service statewide and to ensure access to historical data. Applications that have been developed using Notes functionality would have to be re-written and re-deployed, or else Notes would have to be retained. Provider would have to be able to meet on-demand requests for email searches to comply with public records requests. Funds must be provided and the federally approved cost allocation plan must be modified and reapproved to recoup costs.

Services provided by NSRC would require 180 days notification prior to terminating services.

2.2.2. If not, why does your agency need to maintain the current provider for this IT service?

3. IT Service Levels Required to Support Business Functions

3.1. Has the agency specified the service level requirements for this IT Service?

- ☐ Yes; formal Service Level Agreement(s)
☒ Yes; informal agreement(s)
☐ No; specific requirements have not been determined and approved by the department

If you answered "Yes," identify major (formal or informal) service level requirements:

3.2. Timing and Service Delivery Requirements

3.2.1. Hours/Days that service is required (*e.g., 0600-2100 M-F, 24/7*): 24/7

3.2.2. What is the agency's tolerance for down time during peak periods, i.e., time before management-level intervention occurs (*e.g., 5 min, 15 min, 60 min*)? The duty manager is notified immediately when any system is down (DCF IS SOP C-25) so that the issue can be addressed.

3.2.2.1. What are the impacts on the agency's business if this down-time standard is exceeded?

The department staff would experience delays in their ability to share data and communicate information on-line, schedule meetings, maintain calendars, and would be unable use applications developed in Notes that impact daily workflow.

3.2.3. Are there any agency-unique service requirements? ☒ Yes ☐ No

If yes, specify (*include any applicable constitutional, statutory, or rule requirements*)

Service must accommodate mobile users and allow for secure Internet access.

3.2.4. What are security requirements for this IT service? (*Indicate all that apply*)

- ☒ User ID/Password ☒ Access through Internet or external network
☒ Access through internal network only ☒ Access through Internet with secure encryption
☐ Other: Virus and intrusion detection and eradication; spam filters

FY 2010-11 Schedule IV-C: Information Technology (IT) Costs & Service Requirements
IT Service Requirements Worksheet: E-Mail, Messaging, and Calendaring Service

3.2.5. Are there any federal, state, or agency records retention or privacy policies, restrictions, or requirements applicable to this IT Service?

☒ Yes ☐ No

3.2.5.1. If yes, please specify and describe:

Data encryption standards, and portions of Title XIX, Title IV-A, Title IV-E, and HIPAA that address issues of data confidentiality.

Records retention requirements are:

4. User/customer satisfaction

4.1. Are service level metrics reported to business stakeholders or agency management?

☒ Yes ☐ No

If yes, briefly describe the frequency of reports and how they are provided:

Data from periodic user satisfaction surveys is compiled and reported to management. Weekly and monthly service level performance reports are produced and published.

4.2. Are currently defined IT service levels adequate to support the business needs?

☒ Yes ☐ No

4.2.1. If no, what changes need to be made to the current IT service? **(Briefly explain)**

4.2.2. List any significant projects (e.g., total cost greater than \$500,000) that are underway or planned to upgrade or enhance any resource or system associated with this IT service.

Project Name	Description	Start Date	End Date	Estimated Total Cost to Complete

5. Additional Information

5.1. Please describe the funding source(s), i.e., general revenue, trust fund, federal grant, or other, which is used to provide this service. Identify whether there is a cost recovery or cost allocation plan for this service. Be sure to describe any anticipated adjustments to the funding source(s) or funding level for FY 2010-11. If such adjustments are anticipated, please describe any corresponding change needed in the service funding model (e.g., charge-back, cost allocation, fee-per-transaction, etc.).

General revenue, trust fund, federal reimbursement. Federal funding requires formal federal approval of cost allocation plan

5.2. Other comments (Briefly describe the usage pattern for any public user groups identified in Question 1.3, e.g., annual use, occasional use, self-service, or optional use, and any other comments to explain the service.)

IT Service Requirements Worksheet: Helpdesk Service

1.7. Please identify the major IT systems or services for which the Help Desk must provide assistance:

1	FLORIDA	5	Security
2	ACCESS Florida	6	
3	Florida Safe Families Network (FSFN)	7	
4	Technical (Tier 1, Tier 2)	8	

2. Service Unique to Agency

2.1. Is a similar or identical IT service provided by another agency or external service provider?

(Identical, Very Similar, No, Unknown)

Somewhat Similar

2.2. If the same level of service could be provided through another agency or source for less than the current cost of the IT service, could your agency change to another service provider?

☒ Yes ☐ No

2.2.1. If yes, what must happen for your agency to use another IT service provider?

Service provider must have expert knowledge of FLORIDA and Florida Safe Families Network (FSFN) applications. The federally approved cost allocation plan must be modified and re-approved to recoup costs.

Services provided by NSRC would require 180 days notification prior to terminating services.

2.2.2. If not, why does your agency need to maintain the current provider for this IT service?

3. IT Service Levels Required to Support Business Functions

3.1. Has the agency specified the service level requirements for this IT Service?

- ☐ Yes; formal Service Level Agreement(s)
☒ Yes; informal agreement(s)
☐ No; specific requirements have not been determined and approved by the department

If you answered "Yes," identify major (formal or informal) service level requirements:

Target established at 90% of calls handled.

DCF and NSRC are in the process of developing a formal SLA.

3.2. Timing and Service Delivery Requirements

3.2.1. Hours/Days the Help Desk service is required **(e.g., 0800-1600 M-F, 24/7)** 0700-2000
M-Th, F 0700-1900, Sat. 0800-1700 and on-call evenings

3.2.2. What are the impacts on the **agency's business** if the Help Desk service is not available?

Unable to resolve hardware, software, network, security and application-specific problems/questions or get problems referred to vendors to resolve.

3.2.3. What is the average monthly volume of calls/cases/tickets? 17,000

3.2.4. Are there any agency-unique service requirements? ☐ Yes ☐ No

IT Service Requirements Worksheet: Helpdesk ServiceIf yes, specify **(include any applicable constitutional, statutory, or rule requirements)**

Help Desk staff must have expert knowledge of the department's strategic systems, FLORIDA (including ACCESS Florida) and Florida Safe Family Network (FSFN).

3.2.5. What are security requirements for this IT service? **(Indicate all that apply)**

- ☒ User ID/Password
 ☒ Access through Internet or external network
☒ Access through internal network only
 ☒ Access through Internet with secure encryption
☒ Other Aventail

3.2.6. Are there any federal, state, or agency privacy policies or restrictions applicable to this IT Service?

- ☒ Yes
 ☐ No

3.2.6.1. If yes, please specify and describe:

Data encryption standards and portions of Title XIX, Title IV-A, Title IV-E, and HIPAA that address issues of data confidentiality

4. User/customer satisfaction

4.1. Are service level metrics reported to business stakeholders or agency management?

- ☒ Yes
 ☐ No

If yes, briefly describe the frequency of reports and how they are provided:

Reports on volume of calls, type of calls, resolution rate and cost per call are provided to management on a monthly basis via the department's intranet site

4.2. Are currently defined IT service levels adequate to support the business needs?

- ☒ Yes
 ☐ No

4.2.1. If no, what changes need to be made to the current IT service? **(Briefly explain)**

4.2.2. List any significant projects (e.g., total cost greater than \$500,000) that are underway or planned to upgrade or enhance any resource or system associated with this IT service.

Project Name	Description	Start Date	End Date	Estimated Total Cost to Complete

5. Additional Information

5.1. Please describe the funding source(s), i.e., general revenue, trust fund, federal grant, or other, which is used to provide this service. Identify whether there is a cost recovery or cost allocation plan for this service. Be sure to describe any anticipated adjustments to the funding source(s) or funding level for FY 2010-11. If such adjustments are anticipated, please describe any corresponding change needed in the service funding model (e.g., charge-back, cost allocation, fee-per-transaction, etc.).

IT Service Requirements Worksheet: Helpdesk Service

General revenue, trust fund, federal reimbursement. Federal funding requires formal federal approval of cost allocation plan.

- 5.2. Other comments (Briefly describe the usage pattern for any public user groups identified in Question 1.3, e.g., annual use, occasional use, self-service, or optional use, and any other comments to explain the service.)

FY 2010-11 Schedule IV-C: Information Technology (IT) Costs & Service Requirements
IT Service Requirements Worksheet: IT Administration and Management Service

Dept/Agency: Department of Children and Families
Submitted by: Ramin Kouzehkanani, Chief Information Officer
Phone: 921-5565
Date submitted: October 6, 2009

IT Administration and Management Service

This service enables the management and administration of the agency's central IT program or unit. Please consult the *Guidelines for Schedule IV-C: IT Costs and Service Requirements* for the complete definition of this IT Service and specific direction on how to complete this document.

Identify major IT Systems (applications) that are included (in whole or part) in this IT Service:			
1	Application Registry	5	Training Tracker System (TTS)
2	Information Resource Request (IRR) Tracking System	6	Windows Work In Progress (WinWip)
3	Information System for Allocating Costs (ISAC)	7	
4	ServiceCenter	8	

1. IT Service Definition

1.1. Who is the service provider? *(Indicate all that apply)*

- ☒ Central IT staff
 ☐ External service provider
☐ Program staff
 ☒ State Primary Data Center
☐ Another State agency

1.2. How many locations currently host assets and resources used to provide IT administration and management services? 1

2. Service Unique to Agency

2.1. If the same level of service could be provided through another agency or external source for less than the current cost of the IT service, could your agency change to another service provider?

- ☒ Yes
 ☐ No

2.1.1. If yes, what must happen for your agency to use another IT service provider?

An external service provider could perform these services only if that provider is able to meet federal requirements for receiving funds and allocation costs. The department must have prior federal approval to make certain IT expenditures. Also, the department has a complex, federally-approved cost allocation plan that must be maintained and adhered to in order to keep from jeopardizing federal funding.

Services provided by NSRC would require 180 days notification prior to terminating services.

2.1.2. If not, why does your agency need to maintain the current provider for this IT service?

3. IT Service Levels Required to Support Business Functions

3.1. Has the agency specified the service level requirements for this IT Service?

- ☐ Yes; formal Service Level Agreement(s)

FY 2010-11 Schedule IV-C: Information Technology (IT) Costs & Service Requirements
IT Service Requirements Worksheet: IT Administration and Management Service

- ☐ Yes; informal agreement(s)
☒ No; specific requirements have not been determined and approved by the department

If you answered "Yes," identify major (formal or informal) service level requirements:

3.2. Timing and Service Delivery Requirements

- 3.2.1. Hours/Days that service is required (*e.g., 0800-1600 M-F, 24/7*) for the systems included in this service: 0700-1900
- 3.2.2. What is the agency's tolerance for down time during peak periods, i.e., time before management-level intervention occurs (*e.g., 5 min, 15 min, 60 min*)? The duty manager is notified immediately when any system is down (DCF IS SOP C-25) so that the issue can be addressed.
- 3.2.3. Are there any federal, state, or agency privacy policies or restrictions applicable to this IT Service?
☒ Yes ☐ No

If yes, please specify and describe:

HIPPA and other state/federal laws that address issues of personal or other data confidentiality

- 3.2.4. Are there any agency-unique service requirements? ☒ Yes ☐ No

If yes, specify (*include any applicable constitutional, statutory, or rule requirements*)

Extensive federal coordination is required for both expenditure and reimbursement of IT expenses (agency-unique cost allocation)

4. User/customer satisfaction

- 4.1. Are service level metrics reported to business stakeholders or agency management?
☐ Yes ☒ No

If yes, briefly describe the frequency of reports and how they are provided:

- 4.2. Are currently defined IT service levels adequate to support the business needs of the agency?

☒ Yes ☐ No

If no, what changes need to be made to the current IT service? (*Briefly explain*)

- 4.3. List any significant projects that are underway or planned to upgrade or enhance any system, resource, or process associated with this IT service.

Project Name	Description	Start Date	End Date	Estimated Total Cost of Completion

5. Additional Information

IT Service Requirements Worksheet: IT Administration and Management Service

- 5.1. Please describe the funding source(s), i.e., general revenue, trust fund, federal grant, or other, which is used to provide this service. Identify whether there is a cost recovery or cost allocation plan for this service. Be sure to describe any anticipated adjustments to the funding source(s) or funding level for FY 2010-11. If such adjustments are anticipated, please describe any corresponding change needed in the service funding model (e.g., charge-back, cost allocation, fee-per-transaction, etc.).

General revenue, trust fund, and federal funds participation (FFP). FFP requires formal federal prior approval of this agency's cost allocation plan and certain expenditures over specified thresholds

- 5.2. Other comments

FY 2010-11 Schedule IV-C: Information Technology (IT) Costs & Service Requirements
IT Service Requirements Worksheet: IT Security/Risk Mitigation Service

Dept/Agency: **Department of Children and Families**
Submitted by: **Ramin Kouzehkanani, Chief Information Officer**
Phone: **921-5565**
Date submitted: **October 6, 2009**

IT Security/Risk Mitigation Service

This service involves the implementation of measures to reduce risk and ensure continuity of the IT Services supporting the agency. Please consult the *Guidelines for Schedule IV-C: IT Costs and Service Requirements* for the complete definition of this IT Service and specific direction on how to complete this document.

1. IT Service Definition

1.1. Who is the service provider? **(Indicate all that apply)**

- | | |
|--|---|
| <input checked="" type="checkbox"/> Central IT staff | <input checked="" type="checkbox"/> State Primary Data Center |
| <input checked="" type="checkbox"/> Program staff | <input checked="" type="checkbox"/> Other External service provider |
| <input type="checkbox"/> Another State agency | |

1.2. Who uses the service? **(Indicate all that apply)**

- ☒ Agency staff (state employees or contractors)
- ☒ Employees or contractors from one or more additional state agencies
- ☒ External service providers
- ☒ Public (please explain in Question 5.2)

2. Service Unique to Agency

2.1. Is a similar or identical IT service provided by another agency or external service provider?
(Identical, Very Similar, No) **No**

2.2. If the same level of service could be provided through another agency or source for less than the current cost of the IT service, could your agency change to another service provider?

☐ Yes ☒ No

2.2.1. If yes, what must happen for your agency to use another IT service provider?

2.2.2. If not, why does your agency need to maintain the current provider for this IT service?

The provider must have in-depth knowledge of the department's business, data, and systems—as well as knowledge of state and federal privacy and security requirements—in order to make sure that information is properly protected. The security and risk mitigation requirements are very detailed because of the type of data protected. The provider would have to be able to pass an SSA and IRS safeguard audits and procedures would have to be in place to ensure that an external provider has no access to that data. In fact, having anyone other than this agency's employees having access to the IRS data is a federal crime and therefore no other agency or provider may run Economic Self-sufficiency Systems that DCF currently owns and operates. Other issues relating to Federal funds must be resolved, such as the federally approved cost allocation plan must be modified and re-approved to recoup costs. If any part of the service could be moved to another provider, any portion of the service currently provided by the NSRC would require 180 days notice prior to the change.

FY 2010-11 Schedule IV-C: Information Technology (IT) Costs & Service Requirements
IT Service Requirements Worksheet: IT Security/Risk Mitigation Service

3. IT Service Levels Required to Support Business Functions

3.1. Has the agency specified the service level requirements for this IT Service?

- ☒ Yes; formal Service Level Agreement(s)
☒ Yes; informal agreement(s)
☐ No; specific requirements have not been determined and approved by the department

If you answered "Yes," identify major (formal or informal) service level requirements:

Physical and logical security, including building security, badges, security profiles, access to data as approved by customer, etc

DCF and NSRC are in the process of developing a formal SLA.

3.2. Timing and Service Delivery Requirements

3.2.1. Hours/Days that service is required (*e.g., 0800-1600 M-F, 24/7*): 24/7

3.2.2. In the event of an emergency, how quickly must essential services be restored to maintain the agency's continuity of operations? Within 72 hours

3.2.3. How frequently must the IT disaster recovery plan be tested? Annually

3.2.4. In the event of a security breach, what is the agency's tolerance for down time of security IT services during peak periods, i.e., time before management-level intervention occurs (*e.g., 10 min, 60 min, 4 hours*)? 10 minutes

3.2.5. Are there any agency-unique service requirements? ☒ Yes ☐ No

If yes, specify (*include any applicable constitutional, statutory, or rule requirements*)

The provider has to be able to pass SSA and IRS safeguard audits and procedures must be in place to ensure that an external provider has no access to that data.

3.2.6. What are security requirements for this IT service? (*Indicate all that apply*)

- | | |
|--|--|
| <input checked="" type="checkbox"/> User ID/Password | <input checked="" type="checkbox"/> Access through Internet or external network |
| <input checked="" type="checkbox"/> Access through internal network only | <input checked="" type="checkbox"/> Access through Internet with secure encryption |
| <input checked="" type="checkbox"/> Other _____ | |

3.2.7. Are there any federal, state, or agency privacy policies or restrictions applicable to this IT Service?

- ☒ Yes ☐ No

If yes, please specify and describe:

HIPAA, CFOPs 50-2, 50-4, 50-5, 50-7, 50-13, 50-14, Information Systems SOP's, S-1, S-2, S-3, S-5, S-7, S-8, S-9, department disaster recovery plan, Title IV-A, Title IV-D, Title IV-E, Title XIX, specific Social Security Administration and Internal Revenue Service requirements

4. User/customer satisfaction

4.1. Are service level metrics reported regularly to business stakeholders or agency management?

- ☒ Yes ☐ No

If yes, briefly describe the frequency of reports and how they are provided:

Annual safeguard reviews, periodic security audits, as-needed management updates

4.2. Are currently defined IT service levels adequate to support the business needs?

FY 2010-11 Schedule IV-C: Information Technology (IT) Costs & Service Requirements
IT Service Requirements Worksheet: IT Security/Risk Mitigation Service

☐ Yes ☐ No

4.2.1. If no, what changes need to be made to the current IT service? ***(Briefly explain)***

4.2.2. List any significant projects (e.g., total cost greater than \$500,000) that are underway or planned to upgrade or enhance any resource or system associated with this IT service.

Project Name	Description	Start Date	End Date	Estimated Total Cost to Complete

5. Additional Information

5.1. Please describe the funding source(s), i.e., general revenue, trust fund, federal grant, or other, which is used to provide this service. Identify whether there is a cost recovery or cost allocation plan for this service. Be sure to describe any anticipated adjustments to the funding source(s) or funding level for FY 2010-11. If such adjustments are anticipated, please describe any corresponding change needed in the service funding model (e.g., charge-back, cost allocation, fee-per-transaction, etc.).

General revenue, trust fund, federal funds participation (FFP). FFP requires formal federal prior approval of the agency's cost allocation plan.

5.2. Other comments (Briefly describe the usage pattern for any public user groups identified in Question 1.3, e.g., annual use, occasional use, self-service, or optional use, and any other comments to explain the service.)

IT Service Requirements Worksheet: Network Service

Dept/Agency: **Department of Children and Families**
 Submitted by: **Ramin Kouzehkanani, Chief Information Officer**
 Phone: **921-5565**
 Date submitted: **October 6, 2009**

Network Service

This service enables data connectivity and transport using Local Area Network (LAN) and/or Wide Area Network (WAN) technologies. Please consult the *Guidelines for Schedule IV-C: IT Costs and Service Requirements* for the complete definition of this IT Service and specific direction on how to complete this document.

Identify the major commercial hardware and software associated with the Network Service:			
1	(NSRC) HP/Dell-Intel Servers with Active Directory	5	Citrix Metaframe for Remote Access
2	(NSRC) HP/Compaq Disk array with Tape Backup	6	(NSRC) Radware WSD, Bluecoat SG, Proventia IPS and Aventail SSL VPN Concentrators (DCF provides Aventail administration)
3	(NSRC) IBM Netview/VTAM/NCP Software	7	(NSRC and DCF) Suncom/MFN Network Services
4	(NSRC) IBM Disk Arrays with IBM 3584 LTO3 Tape Library	8	(NSRC and DCF) Cisco Routers, Switches, and Firewalls
9	(NSRC and DCF) Computer Associates Brightstor Enterprise Backup	10	

1. IT Service Definition

1.1. Who is the LAN service provider? **(Indicate all that apply)**

- ☒ Central IT staff
 ☐ State Primary Data Center
☐ Program staff
 ☐ Other External service provider
☐ Another State agency

1.2. Who is the WAN service provider? **(Indicate all that apply)**

- ☒ Central IT staff
☐ Program staff
☐ Another State agency
☐ External service provider

1.3. Who uses the service? **(Indicate all that apply)**

- ☒ Agency staff (state employees or contractors)
☒ Employees or contractors from one or more additional state agencies
☒ External service providers
☒ Public (please explain in Question 5.2)

1.4. Please identify the number of users of the Network Service.

20,000

Approx

1.5. How many locations currently host IT assets and resources used to provide LAN services?

Approx 235

1.6. How many locations currently use WAN services?

157

1.7. What types of WAN connections are included in this service? **(Indicate all that apply)**

IT Service Requirements Worksheet: Network Service

- | | | |
|--|---|--|
| <input type="checkbox"/> ATM | <input checked="" type="checkbox"/> Frame Relay | <input checked="" type="checkbox"/> Cellular Network |
| <input checked="" type="checkbox"/> SUNCOM RTS | <input checked="" type="checkbox"/> Internet | <input type="checkbox"/> Dedicated Wired connection |
| <input checked="" type="checkbox"/> Radio | <input type="checkbox"/> Satellite | <input checked="" type="checkbox"/> Dial-up connection |
| <input type="checkbox"/> Other | | |

2. Service Unique to Agency

- 2.1. Is a similar or identical IT service provided by another agency or external service provider?

(Identical, Very Similar, No)**Somewhat Similar**

- 2.2. If the same level of service could be provided through another agency or source for less than the current cost of the IT service, could your agency change to another service provider?

☒ Yes ☐ No

- 2.2.1. If yes, what must happen for your agency to use another IT service provider?

Service level requirements must be validated to ensure another IT service provider could maintain circuits, equipment, all servers and user accounts, install and update relevant software and troubleshoot any WAN/LAN problems for all of our 20,000 (approx.) users in all locations statewide and for those private sector business partners (if any) who depend on us for their LAN service. In addition, funds must be provided and the federally approved cost allocation plan must be modified and reapproved to recoup costs.

Services provided by NSRC would require 180 days notification prior to terminating services.

- 2.2.2. If not, why does your agency need to maintain the current provider for this IT service?

3. IT Service Levels Required to Support Business Functions

- 3.1. Has the agency specified the service level requirements for LAN service?

- ☐ Yes; formal Service Level Agreement(s)
- ☒ Yes; informal agreement(s)
- ☐ No; specific requirements have not been determined and approved by the department

If you answered "Yes," identify major (formal or informal) service level requirements:

Subscribed bandwidth, proactive monitoring/troubleshooting, coordinated maintenance and 99.99% availability for LAN services. Additionally, that servers are available 24x7 except for scheduled maintenance for central office. Some outlying sites require uptime during regular business hours only.

DCF and NSRC are in the process of developing a formal SLA.

- 3.2. Has the agency specified the service level requirements for WAN service?

- ☐ Yes; formal Service Level Agreement(s)
- ☒ Yes; informal agreement(s)
- ☐ No; specific requirements have not been determined and approved by the department

If you answered "Yes," identify major (formal or informal) service level requirements:

Subscribed bandwidth, proactive monitoring/troubleshooting, coordinated maintenance and 99.99% availability for WAN services. Some outlying sites require uptime during regular business

IT Service Requirements Worksheet: Network Service

hours only.

DCF and NSRC are in the process of developing a formal SLA.

3.3. Timing and Service Delivery Requirements

3.3.1. Hours/Days that service is required **(e.g., 0800-1600 M-F, 24/7)** for:

3.3.1.1. Online availability

24/7

3.3.1.2. Offline and availability for maintenance

as needed

3.3.2. What is the agency's tolerance for down time during peak periods, i.e., time before management-level intervention occurs **(e.g., 5 min, 15 min, 60 min)**?

Management becomes involved with process as soon as they are notified of an outage. This can be from any of our service areas that are on the DCF WAN/ LAN. There is no general tolerance level for the system to be down from unplanned outages

3.3.2.1. What are the impacts on the agency's business if this down-time standard is exceeded?

The LAN service provides backbone connectivity in each of the department's facilities throughout the state. Staff utilizes the WAN/LAN in some way to provide virtually all services provided by the department. If the WAN/LAN service is unavailable, department staff would have difficulties providing services to clients, access strategic applications, share automated data, run e-mail, and communicate information on-line

3.3.3. Does the agency have a standard for required bandwidth its locations? ☒ Yes ☐ No

If yes, indicate the standard **(e.g. fiber channels for certain locations)**

10mb minimum workstation connect from the LAN switch. 10mb from the LAN switch to premise router. WAN connection varies depending on usage at site.

3.3.4. Are there any agency-unique service requirements? ☒ Yes ☐ No

If yes, specify **(include any applicable constitutional, statutory, or rule requirements)**

The system must accommodate mobile/remote users and VPN/extranet connections to partner entities.

3.3.5. What are security requirements for this IT service? **(Indicate all that apply)**

☒ User ID/Password

☒ Access through Internet or external network

☒ Access through internal network only

☒ Access through Internet with secure encryption

☐ Other _____

3.3.6. Are there any federal, state, or agency privacy policies or restrictions applicable to this IT Service?

☒ Yes

☐ No

3.3.6.1. If yes, please specify and describe:

Data encryption standards, and portions of Title XIX, Title IV-A, Title IV-E, and HIPAA that address issues of data confidentiality

4. User/customer satisfaction

IT Service Requirements Worksheet: Network Service

4.1. Are service level metrics reported to business stakeholders or agency management?

☒ Yes ☐ No

If yes, briefly describe the frequency of reports and how they are provided:

We provide weekly reports to management detailing if uptime statistics are within stated goals.

4.2. Are currently defined IT service levels adequate to support the business needs?

☒ Yes ☐ No

4.2.1. If no, what changes need to be made to the current IT service? **(Briefly explain)**

4.2.2. List any significant projects (e.g., total cost greater than \$500,000) that are underway or planned to upgrade or enhance any resources or system associated with this IT service.

Project Name	Description	Start Date	End Date	Estimated Total Cost to Complete

5. Additional Information

5.1. Please describe the funding source(s), i.e., general revenue, trust fund, federal grant, or other, which is used to provide this service. Identify whether there is a cost recovery or cost allocation plan for this service. Be sure to describe any anticipated adjustments to the funding source(s) or funding level for FY 2010-11. If such adjustments are anticipated, please describe any corresponding change needed in the service funding model (e.g., charge-back, cost allocation, fee-per-transaction, etc.).

General Revenue, Trust Fund, Federal Financial Participation (FFP). FFP requires formal federal prior approval of cost allocation plan.

5.2. Other comments (Briefly describe the usage pattern for any public user groups identified in Question 1.3, e.g., annual use, occasional use, self-service, or optional use, and any other comments to explain the service.)

FY 2010-11 Schedule IV-C: Information Technology (IT) Costs & Service Requirements
IT Service Requirements Worksheet: Portal/Web Management Service

Dept/Agency: **Department of Children and Families**
 Submitted by: **Ramin Kouzehkanani, Chief Information Officer**
 Phone: **921-5565**
 Date submitted: **October 6, 2009**

Portal/Web Management Service

The Portal/Web Management service enables the publishing of the agency's standard, mission-critical information with its employees and the public. Please consult the Guidelines for Schedule IV-C: IT Costs and Service Requirements for the complete definition of this IT Service and specific direction on how to complete this document.

Identify the major commercial hardware and software associated with this service:			
1	(NSRC) Compaq, Dell and HP Servers	5	
2	.Net	6	
3		7	
4		8	

1. IT Service Definition

1.1. Who is the service provider? *(Indicate all that apply)*

- | | |
|--|---|
| <input checked="" type="checkbox"/> Central IT staff | <input checked="" type="checkbox"/> State Primary Data Center |
| <input checked="" type="checkbox"/> Program staff | <input type="checkbox"/> Other External service provider |
| <input type="checkbox"/> Another State agency | |

1.2. Who uses the service? *(Indicate all that apply)*

- ☒ Agency staff (state employees or contractors)
☒ Employees or contractors from one or more additional state agencies
☒ External service providers
☒ Public (please explain in Question 5.2)

1.3. Please identify the number of Internet users of this service. potentially any member of the general public, all agency employees and all other agencies have access to the Internet

1.4. Please identify the number of intranet users of this service. 20,000+

1.5. How many locations currently host IT assets and resources used to provide this service?

2. Service Unique to Agency

2.1. Is a similar or identical IT service provided by another agency or external service provider? *(Identical, Very Similar, No)* Very Similar

2.2. If the same level of service could be provided through another agency or source for less than the current cost of the IT service, could your agency change to another service provider?

☒ Yes ☐ No

2.2.1. If yes, what must happen for your agency to use another IT service provider?

Funds must be provided and the federally approved cost allocation plan must be modified and reapproved to recoup costs. Service must be able to support existing online services provided to

FY 2010-11 Schedule IV-C: Information Technology (IT) Costs & Service Requirements
IT Service Requirements Worksheet: Portal/Web Management Service

the citizens of the State of Florida.

Services provided by NSRC would require 180 days notification prior to terminating services.

2.2.2. If not, why does your agency need to maintain the current provider for this IT service?

3. IT Service Levels Required to Support Business Functions

3.1. Has the agency specified the service level requirements for this IT Service?

- ☐ Yes; formal Service Level Agreement(s)
☐ Yes; informal agreement(s)
☒ No; specific requirements have not been determined and approved by the department

If you answered "Yes," identify major (formal or informal) service level requirements:

DCF and NSRC are in the process of establishing a formal SLA.

3.2. Timing and Service Delivery Requirements

3.2.1. Hours/Days that service is required (*e.g., 0600-2100 M-F, 24/7*): 24/7

3.2.2. What is the agency's tolerance for down time during peak periods, i.e., time before management-level intervention occurs (*e.g., 5 min, 15 min, 60 min*)? 5 minutes

3.2.2.1. What are the impacts on the agency's business if this down-time standard is exceeded?

Unable to serve Clients and Community-based partners. Information will not be as readily available to the general public and to government employees and would have to be distributed in an alternative format such as paper documents

3.2.3. Are there any agency-unique service requirements? ☐ Yes ☒ No

If yes, specify (*include any applicable constitutional, statutory, or rule requirements*)

3.2.4. What are security requirements for this IT service? (*Indicate all that apply*)

- ☒ User ID/Password ☒ Access through Internet or external network
☒ Access through internal network only ☒ Access through Internet with secure encryption
☐ Other _____

3.2.5. Are there any federal, state, or agency privacy policies or restrictions applicable to this IT Service?

☒ Yes ☐ No

3.2.5.1. If yes, please specify and describe:

Data encryption standards, and portions of Title XIX, Title IV-A, Title IV-E, and HIPAA that address issues of data confidentiality

4. User/customer satisfaction

FY 2010-11 Schedule IV-C: Information Technology (IT) Costs & Service Requirements
IT Service Requirements Worksheet: Portal/Web Management Service

4.1. Are service level metrics reported to business stakeholders or agency management?

☐ Yes ☒ No

4.1.1. If yes, briefly describe the frequency of reports and how they are provided:

4.2. Are currently defined IT service levels adequate to support the business needs?

☒ Yes ☐ No

4.2.1. If no, what changes need to be made to the current IT service? **(Briefly explain)**

4.2.2. List any significant projects (e.g., total cost greater than \$500,000) that are underway or planned to upgrade or enhance any resource or system associated with this IT service.

Project Name	Description	Start Date	End Date	Estimated Total Cost to Complete

5. Additional Information

5.1. Please describe the funding source(s), i.e., general revenue, trust fund, federal grant, or other, which is used to provide this service. Identify whether there is a cost recovery or cost allocation plan for this service. Be sure to describe any anticipated adjustments to the funding source(s) or funding level for FY 2010-11. If such adjustments are anticipated, please describe any corresponding change needed in the service funding model (e.g., charge-back, cost allocation, fee-per-transaction, etc.).

General revenue, trust fund, federal reimbursement. Federal funding requires formal federal approval of cost allocation plan.

5.2. Other comments (Briefly describe the usage pattern for any public user groups identified in Question 1.3, e.g., annual use, occasional use, self-service, or optional use, and any other comments to explain the service.)

Web/portal provides 24/7 information to public regarding services provided by the Department. Also provides citizens with 24/7 online application for ACCESS services and usage will be expanded to further allow ACCESS customers to perform an increasing number of self-service activities associated with their public assistance benefits.

FY 2010-11 Schedule IV-C: Information Technology (IT) Costs & Service Requirements
IT Service Requirements Worksheet: Child and Adult Safety Service

Dept/Agency: **Department of Children and Families**
 Submitted by: **Ramin Kouzehkanani, Chief Information Officer**
 Phone: **921-5565**
 Date submitted: **October 6, 2009**

Child and Adult Safety Service

Identify major commercial hardware/software that are included (in whole or part) in this IT Service:			
1	CIU Web Server	14	IC Commander
2	phoeniX	15	(NSRC) Media Brightstor Backup Server
3	Adobe Elements	16	ActivExperts
4	Interactive Voice Response	17	ISI Call Accounting
5	Pop 3 Server	18	(NSRC) IBM z107
6	LightningFax	19	(NSRC) Z800 Coupling Facility
7	BluePumpkin	20	(NSRC) IBM zOS 1.9
8	Contact Center Express	21	(NSRC) DB2 v8
9	Nice Analyzer	22	(NSRC) HP Servers
10	LXR Server	23	(NSRC) Red Hat 5.0
11	Avaya PBX System and related software	24	(NSRC) Web Logic BEA 9.2 MP3
12	Ultra 6.7 Recording System	25	(NSRC) IBM UDB v8
13	CMS SunServer – Centre Vu		

1. IT Service Definition

1.1.1. Provide the definition of this service as identified on Form SC2 (Strategic IT Service Catalog).

Supports the department's need to record reports of child and adult abuse or neglect, record information gathered during the investigation, track services delivered by community-based care and law enforcement agencies and DCF counselors, provide payment to foster families; provide database and search capability to assist in finding permanent homes for children waiting to be adopted, and generate management reports. This service supports child welfare, adult services, and abuse hotline programs administered by the department.

1.2. Who is the service provider? **(Indicate all that apply)**

- | | |
|--|--|
| <input checked="" type="checkbox"/> Central IT staff | <input checked="" type="checkbox"/> State Shared Resource Center |
| <input checked="" type="checkbox"/> Program staff | <input type="checkbox"/> External service provider |
| <input type="checkbox"/> Another State agency | |

1.3. Who uses the service? **(Indicate all that apply)**

- ☒ Agency staff (state employees or contractors)
☒ Employees or contractors from one or more additional state agencies
☒ External service providers
☒ Public

1.4. Please identify the number of users of this service. 11,500
plus any member of the general public wishing to report suspected child or adult abuse

1.5. How many locations currently host this service? 4

FY 2010-11 Schedule IV-C: Information Technology (IT) Costs & Service Requirements
IT Service Requirements Worksheet: Child and Adult Safety Service

2. Service Unique to Agency

2.1. Is a similar or identical IT service provided by another agency or external service provider?

(Identical, Very Similar, No)

No

2.2. If the same level of service could be provided through another agency or source for less than the current cost of the IT service, could your agency change to another service provider?

☒ Yes

☐ No

2.2.1. If yes, what must happen for your agency to use another IT service provider?

The provider would have to meet existing service levels and operational requirements of 24/7/365 availability for the major applications (Hotline and FSFN), and be able to locate hotline in single location with 24/7 access for hotline staff to work in shifts, IT staff, and system, with requisite emergency power, backup and failover system, in self-contained facility.

Data sharing agreements and processes currently in place and in progress would have to be re-evaluated and revised as necessary.

Criteria in Chapter 282.201 (4)(a), F.S. would have to be met regarding relocation restrictions and prior notification.

2.2.2. If not, why does your agency need to maintain the current provider for this IT service?

3. IT Service Levels Required to Support Business Functions

3.1. Has the agency specified the service level requirements for this IT Service?

☐ Yes; formal Service Level Agreement(s)

☐ Yes; informal agreement(s)

☒ No; specific requirements have not been determined and approved by the department

If you answered "Yes," identify major (formal or informal) service level requirements:

DCF is in the process of developing a formal SLA

3.2. Timing and Service Delivery Requirements

3.2.1. Hours/Days that service is required **(e.g., 0700-1800 M-F, 24/7)** for:

3.2.1.1. User-facing components of this IT service (online)

24/7/365

for Hotline and FSFN, other applications have varying schedules

3.2.1.2. Back-office-facing components of this IT service (batch and maintenance)

Hotline has

batch and maintenance running 24/7. 1900-0700 daily for FSFN

3.2.2. What is the agency's tolerance for down time during peak periods, i.e., time before management-level intervention occurs **(e.g., 15 min, 30 min, 60 min)?**

0 minutes

for Hotline and FSFN, other applications may be down longer

3.2.2.1. What are the impacts on the agency's business if this down-time standard is exceeded?

Abused/neglected children and adults are put at risk. Suspected abuse could not be reported, investigations of abuse could not be initiated in a timely manner.

3.2.3. Are there any agency-unique service requirements?

☒ Yes

☐ No

FY 2010-11 Schedule IV-C: Information Technology (IT) Costs & Service Requirements
IT Service Requirements Worksheet: Child and Adult Safety Service

If yes, specify **(include any applicable constitutional, statutory, or rule requirements)**

Statutory requirement for 24/7/365 availability to report suspected abuse, requirements to initiate investigations within specific time frames. Need to track wait lists for services.

3.2.4. What are security requirements for this IT service? **(Indicate all that apply)**

- ☒ User ID/Password ☐ Access through Internet or external network
☒ Access through internal network only ☒ Access through Internet with secure encryption
☐ Other _____

3.2.5. Are there any federal, state, or agency privacy policies or restrictions applicable to this IT Service?

- ☒ Yes ☐ No

3.2.5.1. If yes, please specify and describe:

HIPAA, Title IV-E, Chapter 39, F.S., Chapter 409, F.S., Title XIX, IV-D and IV-A.

4. User/customer satisfaction

4.1. Are service level metrics reported to business stakeholders or agency management

- ☒ Yes ☐ No

4.1.1. If yes, briefly describe the frequency of reports and how they are provided:

Monthly via internet and intranet, ad hoc per request

4.2. Are currently defined IT service levels adequate to support the business needs?

- ☐ Yes ☐ No

4.2.1. If no, what changes need to be made to the current IT service? **(Briefly explain)**

4.2.2. List any significant projects that are underway or planned to upgrade or enhance any system associated with this IT service.

Project Name	Description	Start Date	End Date	Estimated Total Cost to Complete

5. Additional Information

5.1. Please describe the funding source(s), i.e., general revenue, trust fund, federal grant, or other, that is used to provide this service. Identify whether there is a cost recovery or cost allocation plan for this service. Be sure to describe any anticipated adjustments to the funding source(s) or funding level for FY 2009-10. If such adjustments are anticipated, please describe any corresponding change needed in the service funding model (e.g., charge-back, cost allocation, fee-per-transaction, etc.).

IT Service Requirements Worksheet: Child and Adult Safety Service

GR, trust fund, federal reimbursement. Federal funding requires formal federal approval of Advance Planning Document (APD) as well as prior approvals of individual expenditures over federally established threshold.

5.2. Other comments

FY 2010-11 Schedule IV-C: Information Technology (IT) Costs & Service Requirements
IT Service Requirements Worksheet: Emergency Transition Service

Dept/Agency: **Department of Children and Families**
 Submitted by: **Ramin Kouzehkanani, Chief Information Officer**
 Phone: **921-5565**
 Date submitted: **October 6, 2009**

Emergency Transition Service

Identify major commercial hardware/software that are included (in whole or part) in this IT Service:			
1	.net	5	
2	(NSRC) SQL Server	6	
3	Windows LAN	7	
4		8	

1. IT Service Definition

1.1.1. Provide the definition of this service as identified on Form SC2 (Strategic IT Service Catalog).

Provides for the delivery of services to individuals in need of emergency services due to relocation to the United States as refugees, asylees, Cuban/Haitian entrants and victims of human trafficking, individuals in need of emergency housing assistance, or victims of domestic violence. Includes the provision of financial assistance through the Emergency Financial Assistance for Housing Program as well as the monitoring and reporting of services (both needed and provided) delivered by contracted service providers, and the provision of information related to available resources.

1.2. Who is the service provider? **(Indicate all that apply)**

- | | |
|--|--|
| <input checked="" type="checkbox"/> Central IT staff | <input checked="" type="checkbox"/> State Shared Resource Center |
| <input type="checkbox"/> Program staff | <input type="checkbox"/> External service provider |
| <input type="checkbox"/> Another State agency | |

1.3. Who uses the service? **(Indicate all that apply)**

- ☒ Agency staff (state employees or contractors)
☐ Employees or contractors from one or more additional state agencies
☐ External service providers
☒ Public

1.4. Please identify the number of users of this service. 10
designated users and any member of the general public who is in need of domestic violence intervention information

1.5. How many locations currently host this service? 2

2. Service Unique to Agency

2.1. Is a similar or identical IT service provided by another agency or external service provider?
(Identical, Very Similar, No) No

2.2. If the same level of service could be provided through another agency or source for less than the current cost of the IT service, could your agency change to another service provider?

- ☒ Yes ☐ No

FY 2010-11 Schedule IV-C: Information Technology (IT) Costs & Service Requirements
IT Service Requirements Worksheet: Emergency Transition Service

"

2.2.1. If yes, what must happen for your agency to use another IT service provider?

Service level requirements must be validated to ensure another IT service provider could provide equivalent functionality and maintain and trouble-shoot existing applications. Existing licenses would need to be transferred to the new service provider. Legislative appropriation of funds must be changed and the federally approved cost allocation plan must be modified and reapproved.

Criteria in Chapter 282.201 (4)(a), F.S. would have to be met regarding relocation restrictions and prior notification.

2.2.2. If not, why does your agency need to maintain the current provider for this IT service?

3. IT Service Levels Required to Support Business Functions

3.1. Has the agency specified the service level requirements for this IT Service?

- ☐ Yes; formal Service Level Agreement(s)
☒ Yes; informal agreement(s)
☐ No; specific requirements have not been determined and approved by the department

If you answered "Yes," identify major (formal or informal) service level requirements:

We depend on IT staff to make necessary changes in programming and updating software.

3.2. Timing and Service Delivery Requirements

3.2.1. Hours/Days that service is required (*e.g., 0700-1800 M-F, 24/7*) for:

3.2.1.1. User-facing components of this IT service (online) 24/7/365

3.2.1.2. Back-office-facing components of this IT service (batch and maintenance) N/A

3.2.2. What is the agency's tolerance for down time during peak periods, i.e., time before management-level intervention occurs (*e.g., 15 min, 30 min, 60 min*)? 15 minutes

3.2.2.1. What are the impacts on the agency's business if this down-time standard is exceeded?

When there is down time we cannot process and approve payments for overdue rent or mortgage. If checks do not go out in a timely manner, our applicants face eviction or foreclosure, and in the worst case, homelessness. Individuals in need of domestic violence intervention information would be unable to access intervention resources.

3.2.3. Are there any agency-unique service requirements? ☐ Yes ☒ No

If yes, specify (*include any applicable constitutional, statutory, or rule requirements*)

Secure bank processing

3.2.4. What are security requirements for this IT service? (*Indicate all that apply*)

- ☒ User ID/Password ☐ Access through Internet or external network
☒ Access through internal network only ☒ Access through Internet with secure encryption
☐ Other _____

3.2.5. Are there any federal, state, or agency privacy policies or restrictions applicable to this IT Service?

FY 2010-11 Schedule IV-C: Information Technology (IT) Costs & Service Requirements
IT Service Requirements Worksheet: Emergency Transition Service

☒ Yes ☐ No

3.2.5.1. If yes, please specify and describe:

Federal restrictions on protection of SSNs. Applicants and family members must have SSNs. They also submit other personal information that must be kept private and secure.

4. User/customer satisfaction

4.1. Are service level metrics reported to business stakeholders or agency management

☐ Yes ☒ No

4.1.1. If yes, briefly describe the frequency of reports and how they are provided:

4.2. Are currently defined IT service levels adequate to support the business needs?

☒ Yes ☐ No

4.2.1. If no, what changes need to be made to the current IT service? **(Briefly explain)**

4.2.2. List any significant projects that are underway or planned to upgrade or enhance any system associated with this IT service.

Project Name	Description	Start Date	End Date	Estimated Total Cost to Complete

5. Additional Information

5.1. Please describe the funding source(s), i.e., general revenue, trust fund, federal grant, or other, that is used to provide this service. Identify whether there is a cost recovery or cost allocation plan for this service. Be sure to describe any anticipated adjustments to the funding source(s) or funding level for FY 2009-10. If such adjustments are anticipated, please describe any corresponding change needed in the service funding model (e.g., charge-back, cost allocation, fee-per-transaction, etc.).

Funding for additional programming and upkeep of EFHAP online come from TANF funds through the ACCESS program. The batterers intervention application funding is 100% state funded, part of which is supported with fees collected via checks from Batterer's Intervention Program Service Providers.

5.2. Other comments

"

IT Service Requirements Worksheet: Self Sufficiency ServiceDept/Agency: **Department of Children and Families**Submitted by: **Ramin Kouzehkanani, Chief Information Officer**Phone: **921-5565**Date submitted: **October 96, 2009****Self Sufficiency Service**

Identify major commercial hardware/software that are included (in whole or part) in this IT Service:			
1	(NSRC) IBM z107	5	(NSRC) Windows 2003 OS
2	(NSRC) EMC DASD	6	(NSRC) SQL database
3	(NSRC) IBM z800 Coupling Facility	7	(NSRC) Oracle
4	(NSRC) IBM zOS 1.9	8	(NSRC) SUSE 9.2
	(NSRC) IBM IMS v9		(NSRC) Red Hat 4.0
	(NSRC) IBM & HP Blades		(NSRC) Weblogic 9.2
	(NSRC) Code 1		(NSRC) Tomcat 5.5

1. IT Service Definition

1.1.1. Provide the definition of this service as identified on Form SC2 (Strategic IT Service Catalog).

Supports the department's efforts to assist individuals and families become self-sufficient. Includes needs-based public assistance programs (Temporary Assistance for Needy Families, Medicaid, refugee assistance, and food stamps) that provide benefits to children and families, and aged, blind or disabled adults. This service also supports child support case management, payment collection and payment distribution activities for the Department of Revenue (DOR/CSE), provides Medicaid eligibility information to the Agency for Health Care Administration (AHCA) for provider payment processing, and provides the primary vehicle for the exchange of data between a variety of state and federal agencies. This service also provides data and database capabilities for monitoring and reporting

1.2. Who is the service provider? **(Indicate all that apply)**☒ Central IT staff☒ Program staff☐ Another State agency☒ State Shared Resource Center☐ External service provider1.3. Who uses the service? **(Indicate all that apply)**☒ Agency staff (state employees or contractors)☒ Employees or contractors from one or more additional state agencies☒ External service providers☒ Public

1.4. Please identify the number of users of this service.

Approx.9,500 designated users and any resident of the state who wishes to apply for public assistance benefits, or who currently receives benefits.

1.5. How many locations currently host this service?

2**2. Service Unique to Agency**2.1. Is a similar or identical IT service provided by another agency or external service provider?
(Identical, Very Similar, No)No

IT Service Requirements Worksheet: Self Sufficiency Service

- 2.2. If the same level of service could be provided through another agency or source for less than the current cost of the IT service, could your agency change to another service provider?

☒ Yes ☐ No

- 2.2.1. If yes, what must happen for your agency to use another IT service provider?

DCF IT staff who are state employees must retain the capability to trouble-shoot and maintain IRS data carried by the system. Only state employees of the department are authorized to handle/see this federal data—contracted staff are not permitted to even troubleshoot problems that involve IRS data. In addition, FLORIDA is the federally identified gateway for data exchanges with the US Department of Health and Human Services, through DCF. That designation would have to be changed. The cost allocation plan that allows DCF to recoup federal funds would have to be changed and approved by the federal government to move to another agency, and could potentially result in a loss of matching funds that the state needs to operate the system if not done properly.

Criteria in Chapter 282.201(4)(a), F.S. would have to be met regarding relocation restrictions and prior notification.

- 2.2.2. If not, why does your agency need to maintain the current provider for this IT service?

3. IT Service Levels Required to Support Business Functions

- 3.1. Has the agency specified the service level requirements for this IT Service?

- ☒ Yes; formal Service Level Agreement(s)
☐ Yes; informal agreement(s)
☐ No; specific requirements have not been determined and approved by the department

If you answered "Yes," identify major (formal or informal) service level requirements:

SLA with DOR contains requirements for application support services, billing and cost recovery, help desk, security, and contracted services for printing and mailing of client notices.

DCF and NSRC are in the process of developing a formal SLA.

- 3.2. Timing and Service Delivery Requirements

- 3.2.1. Hours/Days that service is required (***e.g., 0700-1800 M-F, 24/7***) for:

3.2.1.1. User-facing components of this IT service (online) 24/7/365

3.2.1.2. Back-office-facing components of this IT service (batch and maintenance) 0001-0700 M-F; 1901-2400 M-F; 0001-2400 S-S

- 3.2.2. What is the agency's tolerance for down time during peak periods, i.e., time before management-level intervention occurs (***e.g., 15 min, 30 min, 60 min***)? The duty manager is immediately notified (DCF IS SOP C-25) so that the issue is addressed and resolved

- 3.2.2.1. What are the impacts on the agency's business if this down-time standard is exceeded?

Citizens unable to apply for benefits, recipients unable to self-manage cases, staff unable to process applications for public assistance benefits and unable to manage child support cases.

- 3.2.3. Are there any agency-unique service requirements? ☒ Yes ☐ No

IT Service Requirements Worksheet: Self Sufficiency Service

If yes, specify **(include any applicable constitutional, statutory, or rule requirements)**

Only state employees of the department are authorized to handle/see certain federal data that is carried by the system—contracted staff are not permitted to even troubleshoot problems that involve this data. In addition, FLORIDA is the federally identified gateway for data exchanges with the US Department of Health and Human Services and other state and federal data sources, for DCF as well as other state agencies.

3.2.4. What are security requirements for this IT service? **(Indicate all that apply)**

- ☒ User ID/Password
 ☐ Access through Internet or external network
☐ Access through internal network only
 ☒ Access through Internet with secure encryption
☐ Other _____

3.2.5. Are there any federal, state, or agency privacy policies or restrictions applicable to this IT Service?

- ☒ Yes
 ☐ No

3.2.5.1. If yes, please specify and describe:

HIPAA, Title XIX, Title IV-A, Title IV-D, IRS

4. User/customer satisfaction

4.1. Are service level metrics reported to business stakeholders or agency management

- ☒ Yes
 ☐ No

4.1.1. If yes, briefly describe the frequency of reports and how they are provided:

Daily operational reviews, frequent meetings, work sessions, customer satisfaction surveys, hard copy status reports of work in progress/completed.

4.2. Are currently defined IT service levels adequate to support the business needs?

- ☐ Yes
 ☒ No

4.2.1. If no, what changes need to be made to the current IT service? **(Briefly explain)**

NSRC has indicated they do not have sufficient resources to support planned initiatives to provide online storage of client notices for access by customers, staff, and community partners.

4.2.2. List any significant projects that are underway or planned to upgrade or enhance any system associated with this IT service.

Project Name	Description	Start Date	End Date	Estimated Total Cost to Complete

5. Additional Information

5.1. Please describe the funding source(s), i.e., general revenue, trust fund, federal grant, or other, that is used to provide this service. Identify whether there is a cost recovery or cost allocation plan for this service. Be sure to describe any anticipated adjustments to the funding source(s) or funding level for

IT Service Requirements Worksheet: Self Sufficiency Service

FY 2009-10. If such adjustments are anticipated, please describe any corresponding change needed in the service funding model (e.g., charge-back, cost allocation, fee-per-transaction, etc.).

General revenue, trust fund, and federal funds participation (FFP). FFP requires formal federal prior approval of this agency's cost allocation plan, as well as formal approval of certain expenditures.

Funding for the Department of Revenue's share of this service is appropriated to DOR within the Data Processing Category as double budget mirrored within DCF's WCTF to allow for cost recovery through billings based on a federally approved cost allocation plan.

5.2. Other comments

FY 2010-11 Schedule IV-C: Information Technology (IT) Costs & Service Requirements
IT Service Requirements Worksheet: Substance Abuse and Mental Health Service

Dept/Agency: **Department of Children and Families**
Submitted by: **Ramin Kouzehkanani, Chief Information Officer**
Phone: **921-5565**
Date submitted: **October 6, 2009**

Substance Abuse and Mental Health Service

Identify major commercial hardware/software that are included (in whole or part) in this IT Service:			
1	(NSRC) HP DL585	12	MEDICS pharmacy software
2	(NSRC) Tomcat 5.5	13	CLINlab laboratory software
3	(NSRC) Enterprise Red Hat 5.0	14	Kodak Digital X-Ray
4	(NSRC) Oracle	15	Schick CDR Dental X-Ray
5	(NSRC) SQL Server	16	Primecare QS1 pharmacy software
6	(NSRC) IBM AIX P5000 server	17	Microtest Q MMPI Testing psychology software
7	(NSRC) Dell PowerEdge servers	18	CMHC software
8	(NSRC) IBM E-Servers	19	Quest Lab Reporting laboratory software
9	(NSRC) Windows 2003 server	20	SureQuest 3Squares food management/dietary software
10	(NSRC) Dell 2900 server	21	DICTRAN dictation/transcription software
11	Computrition food management/nutritional assessment software		

1. IT Service Definition

1.1.1. Provide the definition of this service as identified on Form SC2 (Strategic IT Service Catalog).

This service supports the delivery of medical and behavioral health services to individuals with mental health or substance abuse problems in the community as well as in state mental health treatment facilities. This service also supports the daily operation of the department's mental health treatment facilities as well as the monitoring and reporting of services and service outcomes pertaining to clients served in state-contracted community substance abuse and mental health provider agencies.

1.2. Who is the service provider? **(Indicate all that apply)**

- | | |
|--|--|
| <input checked="" type="checkbox"/> Central IT staff | <input checked="" type="checkbox"/> State Shared Resource Center |
| <input checked="" type="checkbox"/> Program staff | <input type="checkbox"/> External service provider |
| <input type="checkbox"/> Another State agency | |

1.3. Who uses the service? **(Indicate all that apply)**

- ☒ Agency staff (state employees or contractors)
☒ Employees or contractors from one or more additional state agencies
☒ External service providers
☒ Public

1.4. Please identify the number of users of this service.

6150

1.5. How many locations currently host this service?

4

2. Service Unique to Agency

FY 2010-11 Schedule IV-C: Information Technology (IT) Costs & Service Requirements
IT Service Requirements Worksheet: Substance Abuse and Mental Health Service

2.1. Is a similar or identical IT service provided by another agency or external service provider?

(Identical, Very Similar, No)

No

2.2. If the same level of service could be provided through another agency or source for less than the current cost of the IT service, could your agency change to another service provider?

☒ Yes

☐ No

2.2.1. If yes, what must happen for your agency to use another IT service provider?

A budget request must be submitted by the Department and approved by the Legislature to provide the funds needed for ongoing development and maintenance of the systems.

Criteria in Chapter 282.201 (4)(a), F.S. would have to be met regarding relocation.

2.2.2. If not, why does your agency need to maintain the current provider for this IT service?

3. IT Service Levels Required to Support Business Functions

3.1. Has the agency specified the service level requirements for this IT Service?

☒ Yes; formal Service Level Agreement(s)

☒ Yes; informal agreement(s)

☐ No; specific requirements have not been determined and approved by the department

If you answered "Yes," identify major (formal or informal) service level requirements:

Maintenance agreements for updates and software issues related to performance. Informal IT related performance measures.

3.2. Timing and Service Delivery Requirements

3.2.1. Hours/Days that service is required (**e.g., 0700-1800 M-F, 24/7**) for:

3.2.1.1. User-facing components of this IT service (online)

24/7/365

at Institutions, 0700-1900 M-S others

3.2.1.2. Back-office-facing components of this IT service (batch and maintenance)

varies from

24/7/365 to 1900-2200

3.2.2. What is the agency's tolerance for down time during peak periods, i.e., time before management-level intervention occurs (**e.g., 15 min, 30 min, 60 min**)?

5 minutes

3.2.2.1. What are the impacts on the agency's business if this down-time standard is exceeded?

Risk to health and safety of clients served in state mental health treatment facilities due to essential clinical treatment not being provided (e.g., medications thru the pharmacy system). Staff time wasted and services delayed in community provider agencies due to lack of timely data needed for treatment plan, eligibility determination, aftercare referral of clients released from the Department of Corrections, etc.

3.2.3. Are there any agency-unique service requirements?

☒ Yes

☐ No

If yes, specify (**include any applicable constitutional, statutory, or rule requirements**)

Chapter 2008-243, Laws of Florida, and Section 394.9082, Florida Statutes, require the department to develop and maintain a behavioral health data management and reporting system, which

FY 2010-11 Schedule IV-C: Information Technology (IT) Costs & Service Requirements
IT Service Requirements Worksheet: Substance Abuse and Mental Health Service

promotes efficient use of data by the service delivery system, but also addresses the management and clinical care needs of the service providers and managing entities and provides information needed for various state and federal reporting requirements.

3.2.4. What are security requirements for this IT service? **(Indicate all that apply)**

- ☒ User ID/Password ☐ Access through Internet or external network
☒ Access through internal network only ☒ Access through Internet with secure encryption
☐ Other _____

3.2.5. Are there any federal, state, or agency privacy policies or restrictions applicable to this IT Service?

- ☒ Yes ☐ No

3.2.5.1. If yes, please specify and describe:

Data encryption standards, portions of Title XIX, IV-A, HIPAA that address data confidentiality, forensic confidentiality requirements, DCF security policies.

4. User/customer satisfaction

4.1. Are service level metrics reported to business stakeholders or agency management

- ☒ Yes ☐ No

4.1.1. If yes, briefly describe the frequency of reports and how they are provided:

Daily capacity charts, monthly help desk performance standards, monthly performance review process.

4.2. Are currently defined IT service levels adequate to support the business needs?

- ☐ Yes ☒ No

4.2.1. If no, what changes need to be made to the current IT service? **(Briefly explain)**

There is a need to increase data accessibility and visibility by providing online standard and ad hoc reports needed by stakeholders at the federal, state, regional, circuit and local provider levels.

4.2.2. List any significant projects that are underway or planned to upgrade or enhance any system associated with this IT service.

Project Name	Description	Start Date	End Date	Estimated Total Cost to Complete

5. Additional Information

5.1. Please describe the funding source(s), i.e., general revenue, trust fund, federal grant, or other, that is used to provide this service. Identify whether there is a cost recovery or cost allocation plan for this service. Be sure to describe any anticipated adjustments to the funding source(s) or funding level for FY 2009-10. If such adjustments are anticipated, please describe any corresponding change needed in the service funding model (e.g., charge-back, cost allocation, fee-per-transaction, etc.).

FY 2010-11 Schedule IV-C: Information Technology (IT) Costs & Service Requirements
IT Service Requirements Worksheet: (External) Agency for Persons with Disabilities Service

Dept/Agency: **Department of Children and Families**
 Submitted by: **Ramin Kouzehkanani, Chief Information Officer**
 Phone: **921-5565**
 Date submitted: **October 6, 2009**

(External) Agency for Persons with Disabilities Service

Identify major commercial hardware/software that are included (in whole or part) in this IT Service:			
1	None	5	
2		6	
3		7	
4		8	

1. IT Service Definition

1.1.1. Provide the definition of this service as identified on Form SC2 (Strategic IT Service Catalog).

Provides for the delivery of therapeutic and case management services to individuals with certain disabilities.

1.2. Who is the service provider? **(Indicate all that apply)**

- | | |
|---|---|
| <input type="checkbox"/> Central IT staff | <input type="checkbox"/> State Shared Resource Center |
| <input checked="" type="checkbox"/> Program staff | <input type="checkbox"/> External service provider |
| <input type="checkbox"/> Another State agency | |

1.3. Who uses the service? **(Indicate all that apply)**

- ☐ Agency staff (state employees or contractors)
☒ Employees or contractors from one or more additional state agencies
☐ External service providers
☐ Public

1.4. Please identify the number of users of this service. 16-20

1.5. How many locations currently host this service? 1

2. Service Unique to Agency

2.1. Is a similar or identical IT service provided by another agency or external service provider?
(Identical, Very Similar, No) No

2.2. If the same level of service could be provided through another agency or source for less than the current cost of the IT service, could your agency change to another service provider?

☒ Yes ☐ No

2.2.1. If yes, what must happen for your agency to use another IT service provider?

This service is provided to the Agency for Persons with Disabilities. It is up to APD to determine whether or not another IT service provider could be used.

2.2.2. If not, why does your agency need to maintain the current provider for this IT service?

FY 2010-11 Schedule IV-C: Information Technology (IT) Costs & Service Requirements
IT Service Requirements Worksheet: (External) Agency for Persons with Disabilities Service

3. IT Service Levels Required to Support Business Functions

3.1. Has the agency specified the service level requirements for this IT Service?

- ☐ Yes; formal Service Level Agreement(s)
☐ Yes; informal agreement(s)
☒ No; specific requirements have not been determined and approved by the department

If you answered "Yes," identify major (formal or informal) service level requirements:

3.2. Timing and Service Delivery Requirements

3.2.1. Hours/Days that service is required (*e.g., 0700-1800 M-F, 24/7*) for:

3.2.1.1. User-facing components of this IT service (online) 0600-2359
M-S

3.2.1.2. Back-office-facing components of this IT service (batch and maintenance) 2400-0559
M-S

3.2.2. What is the agency's tolerance for down time during peak periods, i.e., time before management-level intervention occurs (*e.g., 15 min, 30 min, 60 min*)? 1 minute

3.2.2.1. What are the impacts on the agency's business if this down-time standard is exceeded?

Unable to access tracking data.

3.2.3. Are there any agency-unique service requirements? ☐ Yes ☐ No

If yes, specify (*include any applicable constitutional, statutory, or rule requirements*)

3.2.4. What are security requirements for this IT service? (*Indicate all that apply*)

- | | |
|--|---|
| <input type="checkbox"/> User ID/Password | <input type="checkbox"/> Access through Internet or external network |
| <input checked="" type="checkbox"/> Access through internal network only | <input type="checkbox"/> Access through Internet with secure encryption |
| <input type="checkbox"/> Other _____ | |

3.2.5. Are there any federal, state, or agency privacy policies or restrictions applicable to this IT Service?

- ☐ Yes ☒ No

3.2.5.1. If yes, please specify and describe:

4. User/customer satisfaction

4.1. Are service level metrics reported to business stakeholders or agency management

- ☐ Yes ☒ No

4.1.1. If yes, briefly describe the frequency of reports and how they are provided:

FY 2010-11 Schedule IV-C: Information Technology (IT) Costs & Service Requirements
IT Service Requirements Worksheet: (External) Agency for Persons with Disabilities Service

4.2. Are currently defined IT service levels adequate to support the business needs?

☒ Yes ☐ No

4.2.1. If no, what changes need to be made to the current IT service? **(Briefly explain)**

4.2.2. List any significant projects that are underway or planned to upgrade or enhance any system associated with this IT service.

Project Name	Description	Start Date	End Date	Estimated Total Cost to Complete

5. Additional Information

5.1. Please describe the funding source(s), i.e., general revenue, trust fund, federal grant, or other, that is used to provide this service. Identify whether there is a cost recovery or cost allocation plan for this service. Be sure to describe any anticipated adjustments to the funding source(s) or funding level for FY 2009-10. If such adjustments are anticipated, please describe any corresponding change needed in the service funding model (e.g., charge-back, cost allocation, fee-per-transaction, etc.).

General revenue

5.2. Other comments

FY 2010-11 Schedule IV-C: Information Technology (IT) Costs & Service Requirements
IT Service Requirements Worksheet: (External) Department of Health Service

Dept/Agency: **Department of Children and Families**
 Submitted by: **Ramin Kouzehkanani, Chief Information Officer**
 Phone: **921-5565**
 Date submitted: **October 6, 2009**

(External) Department of Health Service

Identify major commercial hardware/software that are included (in whole or part) in this IT Service:			
1	None	5	
2		6	
3		7	
4		8	

1. IT Service Definition

1.1.1. Provide the definition of this service as identified on Form SC2 (Strategic IT Service Catalog).

Provides for delivery of benefits to women, infants and children in need of nutritional supplementation through the WIC program, and for maintenance of statewide vital records such as death and divorce, on behalf of the Department of Health.

1.2. Who is the service provider? **(Indicate all that apply)**

- | | |
|--|--|
| <input checked="" type="checkbox"/> Central IT staff | <input checked="" type="checkbox"/> State Shared Resource Center |
| <input type="checkbox"/> Program staff | <input type="checkbox"/> External service provider |
| <input type="checkbox"/> Another State agency | |

1.3. Who uses the service? **(Indicate all that apply)**

- ☐ Agency staff (state employees or contractors)
☒ Employees or contractors from one or more additional state agencies
☐ External service providers
☐ Public

1.4. Please identify the number of users of this service. 1534

1.5. How many locations currently host this service? 1

2. Service Unique to Agency

2.1. Is a similar or identical IT service provided by another agency or external service provider?
(Identical, Very Similar, No) No

2.2. If the same level of service could be provided through another agency or source for less than the current cost of the IT service, could your agency change to another service provider?

- ☒ Yes ☐ No

FY 2010-11 Schedule IV-C: Information Technology (IT) Costs & Service Requirements
IT Service Requirements Worksheet: (External) Department of Health Service

2.2.1. If yes, what must happen for your agency to use another IT service provider?

This service is provided to the Department of Health. It is up to DOH to determine whether or not another IT service provider could be used. The federally approved cost allocation plan must be modified and reapproved, and the DCF budget adjusted to reflect a reduction in costs recovered.

2.2.2. If not, why does your agency need to maintain the current provider for this IT service?

3. IT Service Levels Required to Support Business Functions

3.1. Has the agency specified the service level requirements for this IT Service?

- ☒ Yes; formal Service Level Agreement(s)
☐ Yes; informal agreement(s)
☐ No; specific requirements have not been determined and approved by the department

If you answered "Yes," identify major (formal or informal) service level requirements:

Enhancements, maintenance and support

3.2. Timing and Service Delivery Requirements

3.2.1. Hours/Days that service is required (**e.g., 0700-1800 M-F, 24/7**) for:

3.2.1.1. User-facing components of this IT service (online) 0700-1900

M-S

3.2.1.2. Back-office-facing components of this IT service (batch and maintenance) 1900-0700

M-S

3.2.2. What is the agency's tolerance for down time during peak periods, i.e., time before management-level intervention occurs (**e.g., 15 min, 30 min, 60 min**)?

15 minutes

3.2.2.1. What are the impacts on the agency's business if this down-time standard is exceeded?

Inability to authorize benefits for women, infants and children in need of services. Inability to process vital records for FDLE, and unable to maintain official records.

3.2.3. Are there any agency-unique service requirements? ☒ Yes ☐ No

If yes, specify (**include any applicable constitutional, statutory, or rule requirements**)

Secure bank processing

3.2.4. What are security requirements for this IT service? (**Indicate all that apply**)

- ☒ User ID/Password ☐ Access through Internet or external network
☐ Access through internal network only ☒ Access through Internet with secure encryption
☐ Other _____

3.2.5. Are there any federal, state, or agency privacy policies or restrictions applicable to this IT Service?

☒ Yes ☐ No

3.2.5.1. If yes, please specify and describe:

FY 2010-11 Schedule IV-C: Information Technology (IT) Costs & Service Requirements
IT Service Requirements Worksheet: (External) Department of Health Service

Title XXIX, XIX, IV-A, IV-E, Florida Statutes, and HIPAA that address data confidentiality

4. User/customer satisfaction

4.1. Are service level metrics reported to business stakeholders or agency management

☒ Yes ☐ No

4.1.1. If yes, briefly describe the frequency of reports and how they are provided:

Metrics are reported by NSRC for services they provide

4.2. Are currently defined IT service levels adequate to support the business needs?

☒ Yes ☐ No

4.2.1. If no, what changes need to be made to the current IT service? **(Briefly explain)**

4.2.2. List any significant projects that are underway or planned to upgrade or enhance any system associated with this IT service.

Project Name	Description	Start Date	End Date	Estimated Total Cost to Complete

5. Additional Information

5.1. Please describe the funding source(s), i.e., general revenue, trust fund, federal grant, or other, that is used to provide this service. Identify whether there is a cost recovery or cost allocation plan for this service. Be sure to describe any anticipated adjustments to the funding source(s) or funding level for FY 2009-10. If such adjustments are anticipated, please describe any corresponding change needed in the service funding model (e.g., charge-back, cost allocation, fee-per-transaction, etc.).

Funding for this service is appropriated to DOH within the Data Processing Category as double budget mirrored within DCF's WCTF to allow for cost recovery through billings based on a federally approved cost allocation plan.

5.2. Other comments

Non-Strategic IT Service: Network Service									
Dept/Agency: Department of Children and Families Prepared by: Lori Schultz Phone: 487-8902				Form: FY 2010-11 Schedule IV-C -Non-Strategics; Ver 1					
Service Provisioning -- Assets & Resources (Cost Elements)			Footnote Number	# of Assets & Resources Apportioned to this IT Service in FY 2010-11		Estimated IT Service Costs			
				Number used for this service	Number w/ costs in FY 2010-11	A Initial Estimate for Fiscal Year 2009-10	B Estimated FY 2009-10 Allocation of Recurring Base Budget (based on Column G64 minus G65)	C Estimated FY 2010-11 Allocation of Recurring Base Budget (based on Column G64 minus G65)	D Planned Increase/Decrease Use of Recurring Base Funding (Columns C - B)
A. Personnel				29.00		\$2,392,523	\$2,392,523	\$3,502,535	\$1,110,012
A-1.1	State FTE	1, 2	28.00		\$2,270,426	\$2,270,426	3,502,535	\$1,232,109	
A-2.1	OPS FTE		1.00		\$122,097	\$122,097	\$0	-\$122,097	
A-3.1	Contractor Positions (Staff Augmentation)		0.00		\$0	\$0	\$0	\$0	
B. Hardware				3	0	\$726,434	\$726,434	\$1,032	-\$725,402
B-1	Servers		3	0	\$572,302	\$572,302	\$0	-\$572,302	
B-2	Server Maintenance & Support		0	0	\$154,132	\$154,132	\$1,032	-\$153,100	
B-3.1	Network Devices & Hardware (e.g., routers, switches, hubs, cabling, etc.)		0	0	\$0	\$0	\$0	\$0	
B-3.2	Other Hardware Assets (e.g., system mgt workstation, printers, UPS, etc)		0	0	\$0	\$0	\$0	\$0	
C. Software						\$342,602	\$342,602	\$0	-\$342,602
D. External Service Provider(s)						\$1,394,380	\$1,394,380	\$0	-\$1,394,380
D-1	LAN External Service Provider		0	0	\$0	\$0	\$0	\$0	
D-2	WAN External Service Provider	3	0	0	\$1,394,380	\$1,394,380	\$0	-\$1,394,380	
E. Plant & Facility for LAN/WAN Service				0	0	\$172,153	\$172,153	\$0	-\$172,153
F. Other (Please describe in Footnotes Section below)			4			\$175,578	\$175,578	\$97,884	-\$77,694
H. Total for IT Service						\$5,203,670	\$5,203,670	\$3,601,451	-\$1,602,219
Footnotes - Please be sure to indicate there is a footnote for the corresponding row above. Maximum footnote length is 1024 characters.									
1	Comparability with last year's Sch. IV-C's is affected for two reasons. First, DCF Office of Information Technology Services implemented a new federally-approved cost allocation plan during FY 2009. While this plan better matches the nonstrategic and strategic services, it does not preserve much of the cost element detail. Detail of nonallocated costs (and those outside OITS) is broken out, however. Second, the formation of the Northwood Shared Resource Center								
2	19.00 from OITS, 9.00 from central office and regions								
3	Cost plan methodology spreads this cost to benefiting services and is shown there								
4	FTE and allocated costs								
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Non-Strategic IT Service:		E-Mail, Messaging, and Calendaring Service					
Agency: Department of Children and Families		Form: FY 2010-11 Schedule IV-C -Non-Strategics; Ver 1					
Prepared by: Lori Schultz		# of Assets & Resources Apportioned to this IT Service in FY 2009-10		Estimated IT Service Costs			
Phone: 487-8902				A	B	C	D
				Initial Estimate for Fiscal Year 2009-10	Estimated FY 2009-10 Allocation of Recurring Base Budget (based on Column G64 minus G65)	Estimated FY 2010-11 Allocation of Recurring Base Budget (based on Column G64 minus G65)	Planned Increase/Decrease Use of Recurring Base Funding (Columns C - B)
Service Provisioning -- Assets & Resources (Cost Elements)		Footnote Number	Number used for this service	Number w/ costs in FY 2010-11			
A. Personnel			11.75		\$1,009,208	\$1,009,208	\$1,527,175
A-1	State FTE	1, 2	11.75		\$1,009,208	\$1,009,208	\$1,527,175
A-2	OPS FTE		0.00		\$0	\$0	\$0
A-3	Contractor Positions (Staff Augmentation)		0.00		\$0	\$0	\$0
B. Hardware			0	0	\$26,589	\$26,589	\$0
B-1	Servers		0	0	\$17,826	\$17,826	\$0
B-2	Server Maintenance & Support		0	0	\$8,763	\$8,763	\$0
B-3.1	Wireless Communication Devices & Related Hardware		0	0	\$0	\$0	\$0
B-3.2	Other Hardware Assets (e.g., system mgt workstation, printers, etc)		0	0	\$0	\$0	\$0
C. Software		1			\$327,852	\$327,852	\$0
D. External Service Provider(s)			0	0	\$0	\$0	\$0
E. Plant & Facility			0	0	\$91,337	\$91,337	\$0
F. Other (Please describe in Footnotes Section below)		3			\$57,979	\$57,979	\$33,876
G. Total for IT Service					\$1,512,965	\$1,512,965	\$1,561,051
Administrative Overhead - Percentage of Other Non-Strategic IT Service Costs Supporting Email Service							
	Non-Strategic Service	Footnote	%	Cost	To determine the fully-loaded cost of the e-mail service, agencies must estimate the amount (percentage) of the other non-strategic IT services that are "consumed" by the e-mail service. For example, desktop support personnel install and configure the e-mail software on the desktop, which is used in the e-mail service, so to obtain a fully-loaded cost for the e-mail service, it is important to include the indirect workload and associated costs of the desktop service expended in support of the e-mail service. The portion of Network, IT Security & Risk Mitigation, and IT Administration & Management services will be estimated by the AEIT based on the agency Schedule IV-C submissions for these IT services. For the purposes of the Schedule IV-C analysis, the data submitted in this section will NOT be added to the cost of the e-mail service.		
OT-1	Network						
OT-2	Desktop IT Service	4	14.40%	\$ 594,984			
OT-3	Help Desk	4	5.21%	\$ 151,352			
OT-4	IT Security & Risk Mitigation						
OT-5	IT Administration & Management						
				SUBTOTAL	\$ 746,335		
Fully-loaded IT Service Cost \$					2,307,386		
Footnotes - Please be sure to indicate there is a footnote for the corresponding row above. Maximum footnote length is 1024 characters.							
1	Comparability with last year's Sch. IV-Cs is affected for two reasons. First, DCF Office of Information Technology Services implemented a new federally-approved cost allocation plan during FY 2009. While this plan better matches the nonstrategic and strategic services, it does not preserve much of the cost element detail. Detail of nonallocated costs (and those outside OITS) is broken out, however. Second, the formation of the Northwood Shared Resource Center results in a major change of how						
2	6.00 from OITS, 5.75 from central office and regions						
3	FTE and allocated expenses						
4	Used methodology in instructions. 4,843 (email incidents)/34,257 (total incidents) for Desktop and 6,674 (email incidents)/128,156 (total incidents) for Help Desk						
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Non-Strategic IT Service: Desktop Computing Service									
Agency: Department of Children and Families Prepared by: Lori Schultz Phone: 487-8902				Form: FY 2010-11 Schedule IV-C -Non-Strategics; Ver 1					
Service Provisioning -- Assets & Resources (Cost Elements)			# of Assets & Resources Apportioned to this IT Service in FY 2010-11		Estimated IT Service Costs				
			Footnote Number	Number used for this service	Number w/ costs in FY 2010-11	A Initial Estimate for Fiscal Year 2009-10	B Estimated FY 2009-10 Allocation of Recurring Base Budget (based on Column G64 minus G65)	C Estimated FY 2010-11 Allocation of Recurring Base Budget (based on Column G64 minus G65)	D Planned Increase/Decrease Use of Recurring Base Funding (Columns C - B)
A. Personnel				64.25		\$3,465,524	\$3,465,524	\$3,317,510	-\$148,014
A-1	State FTE	1, 2	64.25		\$3,389,882	\$3,389,882	\$3,317,510	-\$72,372	
A-2	OPS FTE		0.00		\$75,642	\$75,642	\$0	-\$75,642	
A-3	Contractor Positions (Staff Augmentation)		0.00		\$0	\$0	\$0	\$0	
B. Hardware				2.8	0	\$157,774	\$157,774	\$812	-\$156,962
B-1	Servers		2.8	0	\$0	\$0	\$0	\$0	
B-2	Server Maintenance & Support		0	0	\$37	\$37	\$812	\$775	
B-3.1	Desktop Computers		0	0	\$0	\$0	\$0	\$0	
B-3.2	Mobile Computers (e.g., Laptop, Notebook, Handheld, Wireless Computer)		0	0	\$157,737	\$157,737	\$0	-\$157,737	
B-3.3	Other Hardware Assets (e.g., system mgt workstation, printers, scanners, etc)		0	0	\$0	\$0	\$0	\$0	
C. Software						\$6,742	\$6,742	\$204,216	\$197,474
D. External Service			1	0	0	\$0	\$0	\$235,484	\$235,484
E. Plant & Facility				0	0	\$91,938	\$91,938	\$0	-\$91,938
F. Other (Please describe in Footnotes Section below)			3			\$454,081	\$454,081	\$373,808	-\$80,273
G. Total for IT Service						\$4,176,059	\$4,176,059	\$4,131,830	-\$44,229
Footnotes - Please be sure to indicate there is a footnote for the corresponding row above. Maximum footnote length is 1024 characters.									
1	Comparability with last year's SCH. IV-C's is affected for two reasons. First, DCF Office of Information Technology Services implemented a new federally-approved cost allocation plan during FY 2009. While this plan better matches the nonstrategic and strategic services, it does not preserve much of the cost element detail. Detail of nonallocated costs (and those outside OITS) is broken out, however. Second, the formation of the Northwood Shared Resource Center								
2	12.00 from OITS, 52.25 from central office and regions								
3	FTE and allocated expenses								
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Non-Strategic IT Service:		Helpdesk Service		Form: FY 2010-11 Schedule IV-C -Non-Strategics; Ver 1				
Agency: Department of Children and Families								
Prepared by: Lori Schultz								
Phone: 487-8902								
Service Provisioning -- Assets & Resources (Cost Elements)		Footnote Number	# of Assets & Resources Apportioned to this IT Service in FY 2010-11		A	Estimated IT Service Costs		
			Number used for this service	Number w/ costs in FY 2010-11	Initial Estimate for Fiscal Year 2009-10	B Estimated FY 2009-10 Allocation of Recurring Base Budget (based on Column G64 minus G65)	C Estimated FY 2010-11 Allocation of Recurring Base Budget (based on Column G64 minus G65)	D Planned Increase/Decrease Use of Recurring Base Funding (Columns C - B)
A. Personnel			14.00		\$2,688,446	\$2,688,446	\$747,820	-\$1,940,626
A-1	State FTE	1, 2	13.75		\$2,620,442	\$2,620,442	\$737,468	-\$1,882,974
A-2	OPS FTE		0.25		\$68,004	\$68,004	\$10,352	-\$57,652
A-3	Contractor Positions (Staff Augmentation)		0.00		\$0	\$0	\$0	\$0
B. Hardware			0	0	\$77,385	\$77,385	\$0	-\$77,385
B-1	Servers		0	0	\$61,482	\$61,482	\$0	-\$61,482
B-2	Server Maintenance & Support		0	0	\$15,903	\$15,903	\$0	-\$15,903
B-3	Other Hardware Assets (e.g., system mgt workstation, printers, etc)		0	0	\$0	\$0	\$0	\$0
C. Software					\$25,518	\$25,518	\$0	-\$25,518
D. External Service Provider(s)		1	0	0	\$34,930	\$34,930	\$2,060,780	\$2,025,850
E. Plant & Facility			0	0	\$58,343	\$58,343	\$0	-\$58,343
F. Other (Please describe in Footnotes Section below)		3			\$138,572	\$138,572	\$96,425	-\$42,147
G. Total for IT Service					\$3,023,194	\$3,023,194	\$2,905,025	-\$118,169
Footnotes - Please be sure to indicate there is a footnote for the corresponding row above. Maximum footnote length is 1024 characters.								
1	Comparability with last year's Sch. IV-C's is affected for two reasons. First, DCF Office of Information Technology Services implemented a new federally-approved cost allocation plan during FY 2009. While this plan better matches the nonstrategic and strategic services, it does not preserve much of the cost element detail. Detail of nonallocated costs (and those outside OITS) is broken out, however. Second, the formation of the Northwood Shared Resource Center results in a major change of how certain costs are reported (i.e., they become External Service) and in the							
2	All from central office and regions							
3	FTE and allocated expenses							
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Non-Strategic IT Service: IT Security/Risk Mitigation Service									
Agency: Department of Children and Families				Form: FY 2010-11 Schedule IV-C -Non-Strategics; Ver 1					
Prepared by: Lori Schultz									
Phone: 487-8902									
			# of Assets & Resources Apportioned to this IT Service in FY 2010-11		Estimated IT Service Costs				
					A	B	C	D	
					Initial Estimate for Fiscal Year 2009-10	Estimated FY 2009-10 Allocation of Recurring Base Budget (based on Column G64 minus G65)	Estimated FY 2010-11 Allocation of Recurring Base Budget (based on Column G64 minus G65)	Planned Increase/Decrease Use of Recurring Base Funding (Columns C - B)	
Service Provisioning -- Assets & Resources (Cost Elements)			Footnote Number	Number used for this service	Number w/ costs in FY 2010-11				
A. Personnel				20.00		\$1,298,818	\$1,298,818	\$1,504,186	\$205,368
A-1	State FTE		1, 2	19.00		\$1,134,701	\$1,134,701	\$1,504,186	\$369,485
A-2	OPS FTE			1.00		\$164,117	\$164,117	\$0	-\$164,117
A-3	Contractor Positions (Staff Augmentation)			0.00		\$0	\$0	\$0	\$0
B. Hardware				2	0	\$115,941	\$115,941	\$688	-\$115,253
B-1	Servers			2	0	\$18,317	\$18,317	\$0	-\$18,317
B-2	Server Maintenance & Support			0	0	\$97,624	\$97,624	\$688	-\$96,936
B-3	Other Hardware Assets (e.g., system mgt workstation, printers, UPS, etc)			0	0	\$0	\$0	\$0	\$0
C. Software						\$32,933	\$32,933	\$13,202	-\$19,731
D. External Service Provider(s)				0	0	\$146,990	\$146,990	\$0	-\$146,990
E. Plant & Facility				0	0	\$40,529	\$40,529	\$0	-\$40,529
F. Other (Please describe in Footnotes Section below)			3			\$108,724	\$108,724	\$72,845	-\$35,879
G. Total for IT Service						\$1,743,935	\$1,743,935	\$1,590,921	-\$153,014
Footnotes - Please be sure to indicate there is a footnote for the corresponding row above. Maximum footnote length is 1024 characters.									
1	Comparability with last year's Sch. IV-C is affected for two reasons. First, DCI Office of Information Technology Services implemented a new federally-approved cost allocation plan during FY 2009. While this plan better matches the nonstrategic and strategic services, it does not preserve much of the cost element detail. Detail of nonallocated costs (and those outside OITS) is broken out, however. Second, the formation of the Northwood Shared Resource Center								
2	7.00 from OITS, 12.00 from central office and regions								
3	FTE and allocated expenses								
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Non-Strategic IT Service: IT Support Service for Agency Financial and Administrative Systems									
Agency: Department of Children and Families				Form: FY 2010-11 Schedule IV-C -Non-Strategics; Ver 1					
Prepared by: Lori Schultz									
Phone: 487-8902									
Service Provisioning -- Assets & Resources (Cost Elements)			Footnote Number	# of Assets & Resources Apportioned to this IT Service in FY 2010-11		Estimated IT Service Costs			
				Number used for this service	Number w/ costs in FY 2010-11	A Initial Estimate for Fiscal Year 2009-10	B Estimated FY 2009-10 Allocation of Recurring Base Budget (based on Column G64 minus G65)	C Estimated FY 2010-11 Allocation of Recurring Base Budget (based on Column G64 minus G65)	D Planned Increase/Decrease Use of Recurring Base Funding (Columns C - B)
A. Personnel				26.25		\$2,409,633	\$2,409,633	\$1,940,428	-\$469,205
A-1	State FTE	1, 2	22.75		\$1,642,855	\$1,642,855	\$1,383,587	-\$259,268	
A-2	OPS FTE		0.00		\$48,459	\$48,459	\$0	-\$48,459	
A-3	Contractor Positions (Staff Augmentation)		3.50		\$718,319	\$718,319	\$556,841	-\$161,478	
B. Hardware				11	0	\$231,027	\$231,027	\$95,683	-\$135,344
B-1	Servers		11	0	\$66,997	\$66,997	\$0	-\$66,997	
B-2	Server Maintenance & Support		0	0	\$164,030	\$164,030	\$94,192	-\$69,838	
B-3	Other Hardware Assets (e.g., system mgt workstation, printers, etc)		0	0	\$0	\$0	\$1,491	\$1,491	
C. Software					\$1,976,688	\$1,976,688	\$528,780	-\$1,447,908	
D. External Service Provider(s)			1	0	0	\$262,093	\$262,093	\$1,550,272	\$1,288,179
E. Plant & Facility				0	0	\$0	\$0	\$0	\$0
F. Other (Please describe in Footnotes Section below)			3		\$63,836	\$63,836	\$19,313	-\$44,523	
G. Total for IT Service						\$4,943,277	\$4,943,277	\$4,134,476	-\$808,801
Footnotes - Please be sure to indicate there is a footnote for the corresponding row above. Maximum footnote length is 1024 characters.									
1	Comparability with last year's Sch. IV-CS is affected for two reasons. First, DCF Office of Information Technology Services implemented a new federally-approved cost allocation plan during FY 2009. While this plan better matches the nonstrategic and strategic services, it does not preserve much of the cost element detail. Detail of nonallocated costs (and those outside OITS) is broken out, however. Second, the formation of the Northwood Shared Resource Center								
2	22.00 from OITS, .75 from central office and regions								
3	FTE and allocated expenses								
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Non-Strategic IT Service: IT Administration and Management Service										
Agency: Department of Children and Families				Form: FY 2010-11 Schedule IV-C -Non-Strategics; Ver 1						
Prepared by: Lori Schultz				# of Assets & Resources Apportioned to this IT Service in FY 2010-11		Estimated IT Service Costs				
Phone: 487-8902						A	B	C	D	
						Initial Estimate for Fiscal Year 2009-10	Estimated FY 2009-10 Allocation of Recurring Base Budget (based on Column G64 minus G65)	Estimated FY 2010-11 Allocation of Recurring Base Budget (based on Column G64 minus G65)	Planned Increase/Decrease Use of Recurring Base Funding (Columns C - B)	
Service Provisioning -- Assets & Resources (Cost Elements)				Footnote Number	Number used for this service	Number w/ costs in FY 2010-11				
A. Personnel					53.00		\$4,902,611	\$4,902,611	\$1,055,370	-\$3,847,241
A-1	State FTE			1, 2	52.00		\$4,671,341	\$4,671,341	\$1,055,370	-\$3,615,971
A-2	OPS FTE				1.00		\$66,865	\$66,865	\$0	-\$66,865
A-3	Contractor Positions (Staff Augmentation)				0.00		\$164,405	\$164,405	\$0	-\$164,405
B. Hardware					1.45	0	\$163,044	\$163,044	\$461	-\$162,583
B-1	Servers				1.45	0	\$85,319	\$85,319	\$0	-\$85,319
B-2	Server Maintenance & Support				0	0	\$77,725	\$77,725	\$461	-\$77,264
B-3	Other Hardware Assets (e.g., system mgt workstation, printers, etc)				0	0	\$0	\$0	\$0	\$0
C. Software							\$163,496	\$163,496	\$0	-\$163,496
D. External Service Provider(s)					0	0	\$339,485	\$339,485	\$0	-\$339,485
E. Plant & Facility					0	0	\$2,884,339	\$2,884,339	\$0	-\$2,884,339
F. Other (Please describe in Footnotes Section below)				3			\$530,193	\$530,193	\$88,076	-\$442,117
G. Total for IT Service							\$8,983,168	\$8,983,168	\$1,143,906	-\$7,839,262
Footnotes - Please be sure to indicate there is a footnote for the corresponding row above. Maximum footnote length is 1024 characters.										
1	Comparability with last year's Sch. IV-C's is affected for two reasons. First, DCF Office of Information Technology Services implemented a new federally-approved cost allocation plan during FY 2009. While this plan better matches the nonstrategic and strategic services, it does not preserve much of the cost element detail. Detail of nonallocated costs (and those outside OITS) is broken out, however. Second, the formation of the Northwood Shared Resource Center									
2	37.00 from OITS, 15.00 from central office and regions									
3	FTE and allocated expenses									
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Non-Strategic IT Service:

Dept/Agency: Department of Children and Families
Prepared by: Lori Schultz
Phone: 487-8902

Portal/Web Management Service

Form: Schedule IV-C -Strategic; v.20090701

Strategic IT Service:		Child and Adult Safety						
Dept/Agency: Department of Children and Families		Form: Schedule IV-C -Strategic: v.20090701						
Prepared by: Lori Schultz		# of Assets & Resources apportioned to this IT Service		Estimated IT Service Costs				
Phone: 487-8902				A	B	C	D	
Service Provisioning -- Assets & Resources (Cost Elements)		Footnote Number	Number used for this service	Number w/ costs in FY 2010-11	Initial Estimate for Fiscal Year 2009-10	Estimated FY 2009-10 Allocation of Recurring Base Budget <small>(based on Column G64 minus G65)</small>	Estimated FY 2010-11 Allocation of Recurring Base Budget <small>(based on Column G64 minus G65)</small>	Planned Increase/Decrease Use of Recurring Base Funding
A. Personnel			13.25		\$1,692,695	\$1,692,695	\$822,982	-\$869,713
A-1.1	State FTE	1, 2	12.75		\$1,664,405	\$1,664,405	\$822,982	-\$841,423
A-2.1	OPS FTE		0.00		\$28,290	\$28,290	\$0	-\$28,290
A-3.1	Contractor Positions (Staff Augmentation)		0.50		\$0	\$0	\$0	\$0
B. Hardware			15.4	0	\$1,160,528	\$1,160,528	\$82,368	-\$1,078,160
B-1	Servers - Mainframe		0	0	\$376,951	\$376,951	\$0	-\$376,951
B-2	Servers - Other than mainframe		15.4	0	\$776,022	\$776,022	\$0	-\$776,022
B-3	Server Maintenance & Support				\$7,555	\$7,555	\$76,708	\$69,153
B-4	Other Hardware Assets (e.g., system mgt workstation, printers, UPS)				\$0	\$0	\$5,660	\$5,660
C. Software					\$3,470,886	\$3,470,886	\$847,559	-\$2,623,327
D. External Service Provider(s)		1	0	0	\$3,416,431	\$3,416,431	\$7,639,327	\$4,222,896
E. Plant & Facility			Total SF	Est SF Utilized	\$0	\$0	\$1,174	\$1,174
E-1	Data Center		0	0	\$0	\$0	\$0	\$0
E-2	Computer/Server Room		0	0	\$0	\$0	\$0	\$0
E-3	Office Space (e.g., lease & associated maintenance fees)		0	0	\$0	\$0	\$1,174	\$1,174
E-4	Utilities and Other (please specify in Footnotes Section below)				\$0	\$0	\$0	\$0
F. Other (Please describe in Footnotes Section below)		3			\$93,536	\$93,536	\$31,311	-\$62,225
G. Total for IT Service					\$9,834,076	\$9,834,076	\$9,424,721	-\$409,355
	Footnotes - Please be sure to indicate there is a footnote for the corresponding row above. Maximum footnote length is 1024 characters.							
1	Comparability with last year's Sch. IV-Cs is affected for two reasons. First, DCF Office of Information Technology Services implemented a new federally-approved cost allocation plan during FY 2009. While this plan better matches the nonstrategic and strategic services, it							
2	11.50 from OITS, 1.25 from central office and regions							
3	FTE and allocated expenses							
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Strategic IT Service:		Self Sufficiency									
Dept/Agency:		Department of Children and Families				Form: Schedule IV-C -Strategic- v.20090701					
Prepared by:		Lori Schultz									
Phone:		487-8902									
Service Provisioning -- Assets & Resources			(Cost Elements)		Footnote Number	# of Assets & Resources apportioned to this IT Service		Estimated IT Service Costs			
						Number used for this service	Number w/ costs in FY 2010-11	A	B	C	D
								Initial Estimate for Fiscal Year 2009-10	Estimated FY 2009-10 Allocation of Recurring Base Budget (based on Column G64 minus G65)	Estimated FY 2010-11 Allocation of Recurring Base Budget (based on Column G64 minus G65)	Planned Increase/Decrease Use of Recurring Base Funding
A. Personnel						123.25		\$23,302,191	\$23,302,191	\$17,366,281	-\$5,935,910
A-1.1	State FTE			1, 2		25.00		\$3,791,356	\$3,791,356	\$2,077,258	-\$1,714,098
A-2.1	OPS FTE							\$24,325	\$24,325	\$0	-\$24,325
A-3.1	Contractor Positions (Staff Augmentation)					98.25		\$19,486,510	\$19,486,510	\$15,289,023	-\$4,197,487
B. Hardware						16.5	0	\$1,932,573	\$1,932,573	\$164,960	-\$1,767,613
B-1	Servers - Mainframe					0	0	\$1,586,363	\$1,586,363	\$0	-\$1,586,363
B-2	Servers - Other than mainframe					16.5	0	\$346,210	\$346,210	\$5,152	-\$341,058
B-3	Server Maintenance & Support							\$0	\$0	\$140,794	\$140,794
B-4	Other Hardware Assets (e.g., system mgt workstation, printers, UPS)							\$0	\$0	\$19,014	\$19,014
C. Software								\$5,289,875	\$5,289,875	\$1,213,132	-\$4,076,743
D. External Service Provider(s)				1		0	0	\$246,645	\$246,645	\$12,891,621	\$12,644,976
E. Plant & Facility						Total SF	Est SF Utilized	\$85,970	\$85,970	\$0	-\$85,970
E-1	Data Center					0	0	\$0	\$0	\$0	\$0
E-2	Computer/Server Room					0	0	\$85,970	\$85,970	\$0	-\$85,970
E-3	Office Space (e.g., lease & associated maintenance fees)					0	0	\$0	\$0	\$0	\$0
E-4	Utilities and Other (please specify in Footnotes Section below)							\$0	\$0	\$0	\$0
F. Other (Please describe in Footnotes Section below)				3				\$613,620	\$613,620	\$264,484	-\$349,136
G. Total for IT Service								\$31,470,874	\$31,470,874	\$31,900,478	\$429,604
	Footnotes - Please be sure to indicate there is a footnote for the corresponding row above. Maximum footnote length is 1024 characters.										
1	Comparability with last year's Sch. IV-Cs is affected for two reasons. First, DCF Office of Information Technology Services implemented a new federally-approved cost allocation plan during FY 2009. While this plan better matches the nonstrategic and strategic services, it										
2	23.00 from OITS, 2.00 from central office and regions										
3	FTE and allocated expenses										
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Strategic IT Service: Substance Abuse and Mental Health							
Dept/Agency: Department of Children and Families				Form: Schedule IV-C -Strategic: v.20090701			
Prepared by: Lori Schultz							
Phone: 487-8902							
Service Provisioning -- Assets & Resources		(Cost Elements)	Footnote Number	# of Assets & Resources apportioned to this IT Service		Estimated IT Service Costs	
				Number used for this service	Number w/ costs in FY 2010-11	A Initial Estimate for Fiscal Year 2009-10	B Estimated FY 2009-10 Allocation of Recurring Base Budget (based on Column G64 minus G65)
						C Estimated FY 2010-11 Allocation of Recurring Base Budget (based on Column G64 minus G65)	D Planned Increase/Decrease Use of Recurring Base Funding
A. Personnel				22.50		\$1,334,076	\$1,334,076
A-1.1	State FTE		1, 2	20.50		\$1,223,583	\$1,223,583
A-2.1	OPS FTE			2.00		\$110,493	\$110,493
A-3.1	Contractor Positions (Staff Augmentation)			0.00		\$0	\$0
B. Hardware				3.85	0	\$12,421	\$12,421
B-1	Servers - Mainframe			0	0	\$0	\$0
B-2	Servers - Other than mainframe			3.85	0	\$8,284	\$8,284
B-3	Server Maintenance & Support					\$4,137	\$4,137
B-4	Other Hardware Assets (e.g., system mgt workstation, printers, UPS)					\$0	\$0
C. Software						\$296,621	\$296,621
D. External Service Provider(s)			1	0	0	\$405,007	\$405,007
E. Plant & Facility				Total SF	Est SF Utilized	\$0	\$0
E-1	Data Center			0	0	\$0	\$0
E-2	Computer/Server Room			0	0	\$0	\$0
E-3	Office Space (e.g., lease & associated maintenance fees)			0	0	\$0	\$0
E-4	Utilities and Other (please specify in Footnotes Section below)					\$0	\$0
F. Other (Please describe in Footnotes Section below)			3			\$75,289	\$75,289
G. Total for IT Service						\$2,123,414	\$2,123,414
Footnotes - Please be sure to indicate there is a footnote for the corresponding row above. Maximum footnote length is 1024 characters.							
1	Comparability with last year's Sch. IV-Cs is affected for two reasons. First, DCF Office of Information Technology Services implemented a new federally-approved cost allocation plan during FY 2009. While this plan better matches the nonstrategic and strategic services, it						
2	6.00 from OITS, 14.50 from central office and regions						
3	FTE and allocated expenses						
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Strategic IT Service: (External) Agency for Persons with Disabilities									
Dept/Agency: Department of Children and Families				Form: Schedule IV-C -Strategic: v.20090701					
Prepared by: Lori Schultz									
Phone: 487-8902									
Service Provisioning -- Assets & Resources (Cost Elements)			Footnote Number	# of Assets & Resources apportioned to this IT Service		Estimated IT Service Costs			
				Number used for this service	Number w/ costs in FY 2010-11	A Initial Estimate for Fiscal Year 2009-10	B Estimated FY 2009-10 Allocation of Recurring Base Budget (based on Column G64 minus G65)	C Estimated FY 2010-11 Allocation of Recurring Base Budget (based on Column G64 minus G65)	D Planned Increase/Decrease Use of Recurring Base Funding
A. Personnel				0.00		\$16,401	\$16,401	\$0	-\$16,401
A-1.1	State FTE			0.00		\$0	\$0	\$0	\$0
A-2.1	OPS FTE			0.00		\$16,401	\$16,401	\$0	-\$16,401
A-3.1	Contractor Positions (Staff Augmentation)			0.00		\$0	\$0	\$0	\$0
B. Hardware				0	0	\$0	\$0	\$0	\$0
B-1	Servers - Mainframe			0	0	\$0	\$0	\$0	\$0
B-2	Servers - Other than mainframe			0	0	\$0	\$0	\$0	\$0
B-3	Server Maintenance & Support					\$0	\$0	\$0	\$0
B-4	Other Hardware Assets (e.g., system mgt workstation, printers, UPS)					\$0	\$0	\$0	\$0
C. Software						\$809,584	\$809,584	\$0	-\$809,584
D. External Service Provider(s)				0	0	\$0	\$0	\$0	\$0
E. Plant & Facility				Total SF	Est SF Utilized	\$0	\$0	\$0	\$0
E-1	Data Center			0	0	\$0	\$0	\$0	\$0
E-2	Computer/Server Room			0	0	\$0	\$0	\$0	\$0
E-3	Office Space (e.g., lease & associated maintenance fees)			0	0	\$0	\$0	\$0	\$0
E-4	Utilities and Other (please specify in Footnotes Section below)					\$0	\$0	\$0	\$0
F. Other (Please describe in Footnotes Section below)						\$18,791	\$18,791	\$0	-\$18,791
G. Total for IT Service						\$844,776	\$844,776	\$0	-\$844,776
	Footnotes - Please be sure to indicate there is a footnote for the corresponding row above. Maximum footnote length is 1024 characters.								
1	DCF OITS no longer provides strategic services to APD								
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Strategic IT Service:		(External) Dept. of Health										
Dept/Agency:		Department of Children and Families							Form: Schedule IV-C -Strategic: v.20090701			
Prepared by:		Lori Schultz										
Phone:		487-8902										
Service Provisioning -- Assets & Resources			(Cost Elements)		Footnote Number		# of Assets & Resources apportioned to this IT Service		Estimated IT Service Costs			
									A	B	C	D
									Initial Estimate for Fiscal Year 2009-10	Estimated FY 2009-10 Allocation of Recurring Base Budget (based on Column G64 minus G65)	Estimated FY 2010-11 Allocation of Recurring Base Budget (based on Column G64 minus G65)	Planned Increase/Decrease Use of Recurring Base Funding
A. Personnel					3.75				\$926,730	\$926,730	\$479,212	-\$447,518
A-1.1	State FTE		1, 2		0.75				\$362,632	\$362,632	\$74,849	-\$287,783
A-2.1	OPS FTE				0.00				\$5,798	\$5,798	\$0	-\$5,798
A-3.1	Contractor Positions (Staff Augmentation)				3.00				\$558,300	\$558,300	\$404,363	-\$153,937
B. Hardware					0		0		\$254,690	\$254,690	\$113,593	-\$141,097
B-1	Servers - Mainframe				0		0		\$221,269	\$221,269	\$0	-\$221,269
B-2	Servers - Other than mainframe				0		0		\$0	\$0	\$97,338	\$97,338
B-3	Server Maintenance & Support								\$33,421	\$33,421	\$16,255	-\$17,166
B-4	Other Hardware Assets (e.g., system mgt workstation, printers, UPS)								\$0	\$0	\$0	\$0
C. Software									\$824,793	\$824,793	\$31,146	-\$793,647
D. External Service Provider(s)					0		0		\$0	\$0	\$0	\$0
E. Plant & Facility					Total SF		Est SF Utilized		\$0	\$0	\$12,956	\$12,956
E-1	Data Center				0		0		\$0	\$0	\$0	\$0
E-2	Computer/Server Room				0		0		\$0	\$0	\$0	\$0
E-3	Office Space (e.g., lease & associated maintenance fees)				0		0		\$0	\$0	\$12,956	\$12,956
E-4	Utilities and Other (please specify in Footnotes Section below)								\$0	\$0	\$0	\$0
F. Other (Please describe in Footnotes Section below)			3						\$14,532	\$14,532	\$3,021	-\$11,511
G. Total for IT Service									\$2,020,745	\$2,020,745	\$639,928	-\$1,380,817
	Footnotes - Please be sure to indicate there is a footnote for the corresponding row above. Maximum footnote length is 1024 characters.											
1	Comparability with last year's Sch. IV-Cs is affected for two reasons. First, DCF Office of Information Technology Services implemented a new federally-approved cost allocation plan during FY 2009. While this plan better matches the nonstrategic and strategic services, it											
2	All from OITS											
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Strategic IT Service: Emergency Transition									
Dept/Agency: Department of Children and Families				Form: Schedule IV-C -Strategic: v.20090701					
Prepared by: Lori Schultz									
Phone: 487-8902									
Service Provisioning -- Assets & Resources (Cost Elements)			Footnote Number	# of Assets & Resources apportioned to this IT Service		Estimated IT Service Costs			
					A	B	C	D	
					Initial Estimate for Fiscal Year 2009-10	Estimated FY 2009-10 Allocation of Recurring Base Budget (based on Column G64 minus G65)	Estimated FY 2010-11 Allocation of Recurring Base Budget (based on Column G64 minus G65)	Planned Increase/Decrease Use of Recurring Base Funding	
				Number used for this service	Number w/ costs in FY 2010-11				
A. Personnel				6.25		\$395,289	\$395,289	\$372,320	-\$22,969
A-1.1	State FTE		1, 2	5.75		\$376,266	\$376,266	\$355,067	-\$21,199
A-2.1	OPS FTE			0.50		\$19,023	\$19,023	\$17,254	-\$1,769
A-3.1	Contractor Positions (Staff Augmentation)			0.00		\$0	\$0	\$0	\$0
B. Hardware				0	0	\$1,535	\$1,535	\$2,283	\$748
B-1	Servers - Mainframe			0	0	\$0	\$0	\$0	\$0
B-2	Servers - Other than mainframe			0	0	\$1,028	\$1,028	\$0	-\$1,028
B-3	Server Maintenance & Support					\$507	\$507	\$2,283	\$1,776
B-4	Other Hardware Assets (e.g., system mgt workstation, printers, UPS)					\$0	\$0	\$0	\$0
C. Software						\$5,252	\$5,252	\$2,386	-\$2,866
D. External Service Provider(s)				0	0	\$833	\$833	\$2,889	\$2,056
E. Plant & Facility				Total SF	Est SF Utilized	\$0	\$0	\$0	\$0
E-1	Data Center			0	0	\$0	\$0	\$0	\$0
E-2	Computer/Server Room			0	0	\$0	\$0	\$0	\$0
E-3	Office Space (e.g., lease & associated maintenance fees)			0	0	\$0	\$0	\$0	\$0
E-4	Utilities and Other (please specify in Footnotes Section below)					\$0	\$0	\$0	\$0
F. Other (Please describe in Footnotes Section below)			3			\$77,568	\$77,568	\$81,283	\$3,715
G. Total for IT Service						\$480,477	\$480,477	\$461,161	-\$19,316
	Footnotes - Please be sure to indicate there is a footnote for the corresponding row above. Maximum footnote length is 1024 characters.								
1	Comparability with last year's Sch. IV-Cs is affected for two reasons. First, DCF Office of Information Technology Services implemented a new federally-approved cost allocation plan during FY 2009. While this plan better matches the nonstrategic and strategic services, it								
2	.50 from OITS, 5.25 from central office and regions								
3	FTE and allocated expenses								
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Schedule IV-C: Information Technology
(IT) Costs and Service Requirements

Strategic IT Service: Child Care									
Dept/Agency: Department of Children and Families				Form: Schedule IV-C -Strategic: v.20090701					
Prepared by: Lori Schultz									
Phone: 487-8902									
Service Provisioning -- Assets & Resources (Cost Elements)			Footnote Number	# of Assets & Resources apportioned to this IT Service		Estimated IT Service Costs			
				Number used for this service	Number w/ costs in FY 2010-11	A Initial Estimate for Fiscal Year 2009-10	B Estimated FY 2009-10 Allocation of Recurring Base Budget (based on Column G64 minus G65)	C Estimated FY 2010-11 Allocation of Recurring Base Budget (based on Column G64 minus G65)	D Planned Increase/Decrease Use of Recurring Base Funding
A. Personnel				0.00		\$5,979	\$5,979	\$5,277	-\$702
A-1.1	State FTE		1	0.00		\$5,964	\$5,964	\$5,277	-\$687
A-2.1	OPS FTE			0.00		\$15	\$15	\$0	-\$15
A-3.1	Contractor Positions (Staff Augmentation)			0.00		\$0	\$0	\$0	\$0
B. Hardware				0	0	\$206	\$206	\$2,447	\$2,241
B-1	Servers - Mainframe			0	0	\$0	\$0	\$0	\$0
B-2	Servers - Other than mainframe			0	0	\$109	\$109	\$0	-\$109
B-3	Server Maintenance & Support					\$97	\$97	\$2,447	\$2,350
B-4	Other Hardware Assets (e.g., system mgt workstation, printers, UPS)					\$0	\$0	\$0	\$0
C. Software						\$4,726	\$4,726	\$579	-\$4,147
D. External Service Provider(s)			1	0	0	\$726	\$726	\$10,548	\$9,822
E. Plant & Facility				Total SF	Est SF Utilized	\$0	\$0	\$0	\$0
E-1	Data Center			0	0	\$0	\$0	\$0	\$0
E-2	Computer/Server Room			0	0	\$0	\$0	\$0	\$0
E-3	Office Space (e.g., lease & associated maintenance fees)			0	0	\$0	\$0	\$0	\$0
E-4	Utilities and Other (please specify in Footnotes Section below)					\$0	\$0	\$0	\$0
F. Other (Please describe in Footnotes Section below)			2			\$273	\$273	\$724	\$451
G. Total for IT Service						\$11,910	\$11,910	\$19,574	\$7,664
	Footnotes - Please be sure to indicate there is a footnote for the corresponding row above. Maximum footnote length is 1024 characters.								
1	Comparability with last year's Sch. IV-Cs is affected for two reasons. First, DCF Office of Information Technology Services implemented a new federally-approved cost allocation plan during FY 2009. While this plan better matches the nonstrategic and strategic services, it								
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Strategic IT Service:		Agency Strategic IT Service #8							
Dept/Agency:		Department of Children and Families						Form: Schedule IV-C -Strategic- v.20090701	
Prepared by:		Lori Schultz							
Phone:		487-8902							
Service Provisioning -- Assets & Resources		(Cost Elements)	Footnote Number	# of Assets & Resources apportioned to this IT Service		Estimated IT Service Costs			
				Number used for this service	Number w/ costs in FY 2010-11	A Initial Estimate for Fiscal Year 2009-10	B Estimated FY 2009-10 Allocation of Recurring Base Budget (based on Column G64 minus G65)	C Estimated FY 2010-11 Allocation of Recurring Base Budget (based on Column G64 minus G65)	D Planned Increase/Decrease Use of Recurring Base Funding
A. Personnel				0.00		\$0	\$0	\$0	\$0
A-1.1	State FTE			0.00		\$0	\$0	\$0	\$0
A-2.1	OPS FTE			0.00		\$0	\$0	\$0	\$0
A-3.1	Contractor Positions (Staff Augmentation)			0.00		\$0	\$0	\$0	\$0
B. Hardware				0	0	\$0	\$0	\$0	\$0
B-1	Servers - Mainframe			0	0	\$0	\$0	\$0	\$0
B-2	Servers - Other than mainframe			0	0	\$0	\$0	\$0	\$0
B-3	Server Maintenance & Support					\$0	\$0	\$0	\$0
B-4	Other Hardware Assets (e.g., system mgt workstation, printers, UPS)					\$0	\$0	\$0	\$0
C. Software						\$0	\$0	\$0	\$0
D. External Service Provider(s)				0	0	\$0	\$0	\$0	\$0
E. Plant & Facility				Total SF	Est SF Utilized	\$0	\$0	\$0	\$0
E-1	Data Center			0	0	\$0	\$0	\$0	\$0
E-2	Computer/Server Room			0	0	\$0	\$0	\$0	\$0
E-3	Office Space (e.g., lease & associated maintenance fees)			0	0	\$0	\$0	\$0	\$0
E-4	Utilities and Other (please specify in Footnotes Section below)					\$0	\$0	\$0	\$0
F. Other (Please describe in Footnotes Section below)						\$0	\$0	\$0	\$0
G. Total for IT Service						\$0	\$0	\$0	\$0
	Footnotes - Please be sure to indicate there is a footnote for the corresponding row above. Maximum footnote length is 1024 characters.								
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Strategic IT Service: Agency Strategic IT Service #9									
Dept/Agency: Department of Children and Families				Form: Schedule IV-C -Strategic: v.20090701					
Prepared by: Lori Schultz									
Phone: 487-8902									
Service Provisioning -- Assets & Resources (Cost Elements)			Footnote Number	# of Assets & Resources apportioned to this IT Service		Estimated IT Service Costs			
				Number used for this service	Number w/ costs in FY 2010-11	A Initial Estimate for Fiscal Year 2009-10	B Estimated FY 2009-10 Allocation of Recurring Base Budget (based on Column G64 minus G65)	C Estimated FY 2010-11 Allocation of Recurring Base Budget (based on Column G64 minus G65)	D Planned Increase/Decrease Use of Recurring Base Funding
A. Personnel				0.00		\$0	\$0	\$0	\$0
A-1.1	State FTE			0.00		\$0	\$0	\$0	\$0
A-2.1	OPS FTE			0.00		\$0	\$0	\$0	\$0
A-3.1	Contractor Positions (Staff Augmentation)			0.00		\$0	\$0	\$0	\$0
B. Hardware				0	0	\$0	\$0	\$0	\$0
B-1	Servers - Mainframe			0	0	\$0	\$0	\$0	\$0
B-2	Servers - Other than mainframe			0	0	\$0	\$0	\$0	\$0
B-3	Server Maintenance & Support					\$0	\$0	\$0	\$0
B-4	Other Hardware Assets (e.g., system mgt workstation, printers, UPS)					\$0	\$0	\$0	\$0
C. Software						\$0	\$0	\$0	\$0
D. External Service Provider(s)				0	0	\$0	\$0	\$0	\$0
E. Plant & Facility				Total SF	Est SF Utilized	\$0	\$0	\$0	\$0
E-1	Data Center			0	0	\$0	\$0	\$0	\$0
E-2	Computer/Server Room			0	0	\$0	\$0	\$0	\$0
E-3	Office Space (e.g., lease & associated maintenance fees)			0	0	\$0	\$0	\$0	\$0
E-4	Utilities and Other (please specify in Footnotes Section below)					\$0	\$0	\$0	\$0
F. Other (Please describe in Footnotes Section below)						\$0	\$0	\$0	\$0
G. Total for IT Service						\$0	\$0	\$0	\$0
	Footnotes - Please be sure to indicate there is a footnote for the corresponding row above. Maximum footnote length is 1024 characters.								
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Strategic IT Service: Agency Strategic IT Service #10									
Dept/Agency: Department of Children and Families				Form: Schedule IV-C -Strategic: v.20090701					
Prepared by: Lori Schultz									
Phone: 487-8902									
Service Provisioning -- Assets & Resources (Cost Elements)			Footnote Number	# of Assets & Resources apportioned to this IT Service		Estimated IT Service Costs			
					A	B	C	D	
					Initial Estimate for Fiscal Year 2009-10	Estimated FY 2009-10 Allocation of Recurring Base Budget (based on Column G64 minus G65)	Estimated FY 2010-11 Allocation of Recurring Base Budget (based on Column G64 minus G65)	Planned Increase/Decrease Use of Recurring Base Funding	
A. Personnel				0.00		\$0	\$0	\$0	\$0
A-1.1	State FTE			0.00		\$0	\$0	\$0	\$0
A-2.1	OPS FTE			0.00		\$0	\$0	\$0	\$0
A-3.1	Contractor Positions (Staff Augmentation)			0.00		\$0	\$0	\$0	\$0
B. Hardware				0	0	\$0	\$0	\$0	\$0
B-1	Servers - Mainframe			0	0	\$0	\$0	\$0	\$0
B-2	Servers - Other than mainframe			0	0	\$0	\$0	\$0	\$0
B-3	Server Maintenance & Support					\$0	\$0	\$0	\$0
B-4	Other Hardware Assets (e.g., system mgt workstation, printers, UPS)					\$0	\$0	\$0	\$0
C. Software						\$0	\$0	\$0	\$0
D. External Service Provider(s)				0	0	\$0	\$0	\$0	\$0
E. Plant & Facility				Total SF	Est SF Utilized	\$0	\$0	\$0	\$0
E-1	Data Center			0	0	\$0	\$0	\$0	\$0
E-2	Computer/Server Room			0	0	\$0	\$0	\$0	\$0
E-3	Office Space (e.g., lease & associated maintenance fees)			0	0	\$0	\$0	\$0	\$0
E-4	Utilities and Other (please specify in Footnotes Section below)					\$0	\$0	\$0	\$0
F. Other (Please describe in Footnotes Section below)						\$0	\$0	\$0	\$0
G. Total for IT Service						\$0	\$0	\$0	\$0
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Strategic IT Service:		Agency Strategic IT Service #11						
Dept/Agency:		Department of Children and Families						Form: Schedule IV-C -Strategic- v.20090701
Prepared by:		Lori Schultz						
Phone:		487-8902						
Service Provisioning -- Assets & Resources		(Cost Elements)	Footnote Number	# of Assets & Resources apportioned to this IT Service		Estimated IT Service Costs		
					A	B	C	D
					Initial Estimate for Fiscal Year 2009-10	Estimated FY 2009-10 Allocation of Recurring Base Budget (based on Column G64 minus G65)	Estimated FY 2010-11 Allocation of Recurring Base Budget (based on Column G64 minus G65)	Planned Increase/Decrease Use of Recurring Base Funding
A. Personnel				0.00		\$0	\$0	\$0
A-1.1	State FTE			0.00		\$0	\$0	\$0
A-2.1	OPS FTE			0.00		\$0	\$0	\$0
A-3.1	Contractor Positions (Staff Augmentation)			0.00		\$0	\$0	\$0
B. Hardware				0	0	\$0	\$0	\$0
B-1	Servers - Mainframe			0	0	\$0	\$0	\$0
B-2	Servers - Other than mainframe			0	0	\$0	\$0	\$0
B-3	Server Maintenance & Support					\$0	\$0	\$0
B-4	Other Hardware Assets (e.g., system mgt workstation, printers, UPS)					\$0	\$0	\$0
C. Software						\$0	\$0	\$0
D. External Service Provider(s)				0	0	\$0	\$0	\$0
E. Plant & Facility				Total SF	Est SF Utilized	\$0	\$0	\$0
E-1	Data Center			0	0	\$0	\$0	\$0
E-2	Computer/Server Room			0	0	\$0	\$0	\$0
E-3	Office Space (e.g., lease & associated maintenance fees)			0	0	\$0	\$0	\$0
E-4	Utilities and Other (please specify in Footnotes Section below)					\$0	\$0	\$0
F. Other (Please describe in Footnotes Section below)						\$0	\$0	\$0
G. Total for IT Service						\$0	\$0	\$0
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Strategic IT Service: Agency Strategic IT Service #12									
Dept/Agency: Department of Children and Families				Form: Schedule IV-C -Strategic: v.20090701					
Prepared by: Lori Schultz									
Phone: 487-8902									
Service Provisioning -- Assets & Resources (Cost Elements)			Footnote Number	# of Assets & Resources apportioned to this IT Service		Estimated IT Service Costs			
				Number used for this service	Number w/ costs in FY 2010-11	A Initial Estimate for Fiscal Year 2009-10	B Estimated FY 2009-10 Allocation of Recurring Base Budget (based on Column G64 minus G65)	C Estimated FY 2010-11 Allocation of Recurring Base Budget (based on Column G64 minus G65)	D Planned Increase/Decrease Use of Recurring Base Funding
A. Personnel				0.00		\$0	\$0	\$0	\$0
A-1.1	State FTE			0.00		\$0	\$0	\$0	\$0
A-2.1	OPS FTE			0.00		\$0	\$0	\$0	\$0
A-3.1	Contractor Positions (Staff Augmentation)			0.00		\$0	\$0	\$0	\$0
B. Hardware				0	0	\$0	\$0	\$0	\$0
B-1	Servers - Mainframe			0	0	\$0	\$0	\$0	\$0
B-2	Servers - Other than mainframe			0	0	\$0	\$0	\$0	\$0
B-3	Server Maintenance & Support					\$0	\$0	\$0	\$0
B-4	Other Hardware Assets (e.g., system mgt workstation, printers, UPS)					\$0	\$0	\$0	\$0
C. Software						\$0	\$0	\$0	\$0
D. External Service Provider(s)				0	0	\$0	\$0	\$0	\$0
E. Plant & Facility				Total SF	Est SF Utilized	\$0	\$0	\$0	\$0
E-1	Data Center			0	0	\$0	\$0	\$0	\$0
E-2	Computer/Server Room			0	0	\$0	\$0	\$0	\$0
E-3	Office Space (e.g., lease & associated maintenance fees)			0	0	\$0	\$0	\$0	\$0
E-4	Utilities and Other (please specify in Footnotes Section below)					\$0	\$0	\$0	\$0
F. Other (Please describe in Footnotes Section below)						\$0	\$0	\$0	\$0
G. Total for IT Service						\$0	\$0	\$0	\$0
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Strategic IT Service: Agency Strategic IT Service #13									
Dept/Agency: Department of Children and Families				Form: Schedule IV-C -Strategic: v.20090701					
Prepared by: Lori Schultz									
Phone: 487-8902									
Service Provisioning -- Assets & Resources (Cost Elements)			Footnote Number	# of Assets & Resources apportioned to this IT Service		Estimated IT Service Costs			
				Number used for this service	Number w/ costs in FY 2010-11	A Initial Estimate for Fiscal Year 2009-10	B Estimated FY 2009-10 Allocation of Recurring Base Budget (based on Column G64 minus G65)	C Estimated FY 2010-11 Allocation of Recurring Base Budget (based on Column G64 minus G65)	D Planned Increase/Decrease Use of Recurring Base Funding
A. Personnel				0.00		\$0	\$0	\$0	\$0
A-1.1	State FTE			0.00		\$0	\$0	\$0	\$0
A-2.1	OPS FTE			0.00		\$0	\$0	\$0	\$0
A-3.1	Contractor Positions (Staff Augmentation)			0.00		\$0	\$0	\$0	\$0
B. Hardware				0	0	\$0	\$0	\$0	\$0
B-1	Servers - Mainframe			0	0	\$0	\$0	\$0	\$0
B-2	Servers - Other than mainframe			0	0	\$0	\$0	\$0	\$0
B-3	Server Maintenance & Support					\$0	\$0	\$0	\$0
B-4	Other Hardware Assets (e.g., system mgt workstation, printers, UPS)					\$0	\$0	\$0	\$0
C. Software						\$0	\$0	\$0	\$0
D. External Service Provider(s)				0	0	\$0	\$0	\$0	\$0
E. Plant & Facility				Total SF	Est SF Utilized	\$0	\$0	\$0	\$0
E-1	Data Center			0	0	\$0	\$0	\$0	\$0
E-2	Computer/Server Room			0	0	\$0	\$0	\$0	\$0
E-3	Office Space (e.g., lease & associated maintenance fees)			0	0	\$0	\$0	\$0	\$0
E-4	Utilities and Other (please specify in Footnotes Section below)					\$0	\$0	\$0	\$0
F. Other (Please describe in Footnotes Section below)						\$0	\$0	\$0	\$0
G. Total for IT Service						\$0	\$0	\$0	\$0
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Strategic IT Service:		Agency Strategic IT Service #14						
Dept/Agency: Department of Children and Families		Form: Schedule IV-C -Strategic; v.20090701						
Prepared by: Lori Schultz		# of Assets & Resources apportioned to this IT Service		Estimated IT Service Costs				
Phone: 487-8902				A Initial Estimate for Fiscal Year 2009-10	B Estimated FY 2009-10 Allocation of Recurring Base Budget <small>(based on Column G64 minus G65)</small>	C Estimated FY 2010-11 Allocation of Recurring Base Budget <small>(based on Column G64 minus G65)</small>	D Planned Increase/Decrease Use of Recurring Base Funding	
Service Provisioning -- Assets & Resources <small>(Cost Elements)</small>		Footnote Number	Number used for this service					Number w/ costs in FY 2010-11
A. Personnel			0.00		\$0	\$0	\$0	\$0
A-1.1	State FTE		0.00		\$0	\$0	\$0	\$0
A-2.1	OPS FTE		0.00		\$0	\$0	\$0	\$0
A-3.1	Contractor Positions (Staff Augmentation)		0.00		\$0	\$0	\$0	\$0
B. Hardware			0	0	\$0	\$0	\$0	\$0
B-1	Servers - Mainframe		0	0	\$0	\$0	\$0	\$0
B-2	Servers - Other than mainframe		0	0	\$0	\$0	\$0	\$0
B-3	Server Maintenance & Support				\$0	\$0	\$0	\$0
B-4	Other Hardware Assets (e.g., system mgt workstation, printers, UPS)				\$0	\$0	\$0	\$0
C. Software					\$0	\$0	\$0	\$0
D. External Service Provider(s)			0	0	\$0	\$0	\$0	\$0
E. Plant & Facility			Total SF	Est SF Utilized	\$0	\$0	\$0	\$0
E-1	Data Center		0	0	\$0	\$0	\$0	\$0
E-2	Computer/Server Room		0	0	\$0	\$0	\$0	\$0
E-3	Office Space (e.g., lease & associated maintenance fees)		0	0	\$0	\$0	\$0	\$0
E-4	Utilities and Other (please specify in Footnotes Section below)				\$0	\$0	\$0	\$0
F. Other (Please describe in Footnotes Section below)					\$0	\$0	\$0	\$0
G. Total for IT Service					\$0	\$0	\$0	\$0
	Footnotes - Please be sure to indicate there is a footnote for the corresponding row above. Maximum footnote length is 1024 characters.							
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Strategic IT Service: Agency Strategic IT Service #15									
Dept/Agency: Department of Children and Families				Form: Schedule IV-C -Strategic: v.20090701					
Prepared by: Lori Schultz									
Phone: 487-8902									
Service Provisioning -- Assets & Resources (Cost Elements)			Footnote Number	# of Assets & Resources apportioned to this IT Service		Estimated IT Service Costs			
					A	B	C	D	
					Initial Estimate for Fiscal Year 2009-10	Estimated FY 2009-10 Allocation of Recurring Base Budget (based on Column G64 minus G65)	Estimated FY 2010-11 Allocation of Recurring Base Budget (based on Column G64 minus G65)	Planned Increase/Decrease Use of Recurring Base Funding	
A. Personnel				0.00		\$0	\$0	\$0	\$0
A-1.1	State FTE			0.00		\$0	\$0	\$0	\$0
A-2.1	OPS FTE			0.00		\$0	\$0	\$0	\$0
A-3.1	Contractor Positions (Staff Augmentation)			0.00		\$0	\$0	\$0	\$0
B. Hardware				0	0	\$0	\$0	\$0	\$0
B-1	Servers - Mainframe			0	0	\$0	\$0	\$0	\$0
B-2	Servers - Other than mainframe			0	0	\$0	\$0	\$0	\$0
B-3	Server Maintenance & Support					\$0	\$0	\$0	\$0
B-4	Other Hardware Assets (e.g., system mgt workstation, printers, UPS)					\$0	\$0	\$0	\$0
C. Software						\$0	\$0	\$0	\$0
D. External Service Provider(s)				0	0	\$0	\$0	\$0	\$0
E. Plant & Facility				Total SF	Est SF Utilized	\$0	\$0	\$0	\$0
E-1	Data Center			0	0	\$0	\$0	\$0	\$0
E-2	Computer/Server Room			0	0	\$0	\$0	\$0	\$0
E-3	Office Space (e.g., lease & associated maintenance fees)			0	0	\$0	\$0	\$0	\$0
E-4	Utilities and Other (please specify in Footnotes Section below)					\$0	\$0	\$0	\$0
F. Other (Please describe in Footnotes Section below)						\$0	\$0	\$0	\$0
G. Total for IT Service						\$0	\$0	\$0	\$0
	Footnotes - Please be sure to indicate there is a footnote for the corresponding row above. Maximum footnote length is 1024 characters.								
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Strategic: v.20090701					Strategic Services																
Agency: Department of Children and Families					Portal/Web Management Service	Child and Adult Safety	Self Sufficiency	Substance Abuse and Mental Health	(External) Agency for Persons with Disabilities	(External) Dept. of Health	Emergency Transition	Child Care	Agency Strategic IT Service #8	Agency Strategic IT Service #9	Agency Strategic IT Service #10	Agency Strategic IT Service #11	Agency Strategic IT Service #12	Agency Strategic IT Service #13	Agency Strategic IT Service #14	Agency Strategic IT Service #15	
Budget Entity Name	BE Code	Program Component Code	Program Component Name	Identified Funding as % of Total Cost of Service		100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%									
				Costs within BE	Funding Identified for IT Service	\$905,626	\$9,424,721	\$31,900,478	\$2,026,128	\$0	\$639,928	\$461,161	\$19,574	\$0	\$0	\$0	\$0	\$0	\$0	\$0	
1	Executive Dir/support Svcs	60900101	1602600100	Executive Leadership	\$69,156	69,156	0	0	0	0	0	0	0	0	0	0	0	0	0	0	
2	Executive Dir/support Svcs	60900101	1602600300	District Administration	\$217,180	204,666	1,346	10,918	250	0	0	0	0	0	0	0	0	0	0	0	
3	Family Safety/preservation	60910310	1304080000	Florida Abuse Hotline	\$92,258	0	86,492	0	0	0	0	5,766	0	0	0	0	0	0	0	0	
4	Family Safety/preservation	60910310	1602000000	Exec Leadership/supprt Svc	\$58,518	49,791	8,727	0	0	0	0	0	0	0	0	0	0	0	0	0	
5	Mental Health Services	60910506	1301020000	Civil Commitment Program	\$475,215	27,309	0	0	447,906	0	0	0	0	0	0	0	0	0	0	0	
6	Mental Health Services	60910506	1301030000	Forensic Commitment Prog	\$304,195	46,661	0	0	257,534	0	0	0	0	0	0	0	0	0	0	0	
7	Mental Health Services	60910506	1301070000	Sexual Predator Program	\$50,373	0	0	0	50,373	0	0	0	0	0	0	0	0	0	0	0	
8	Mental Health Services	60910506	1301080000	Adult/comm/mental/health	\$80,646	0	0	0	80,646	0	0	0	0	0	0	0	0	0	0	0	
9	Mental Health Services	60910506	1602000000	Exec Leadership/supprt Svc	\$168,640	0	0	0	168,640	0	0	0	0	0	0	0	0	0	0	0	
10	Economic Self Sufficiency Service	60910708	1304010000	Comprehensive/eligib/svcs	\$0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	
11	Economic Self Sufficiency Service	60910708	1304000000	Services/most Vulnerable	\$461,713	31,006	0	0	0	0	430,707	0	0	0	0	0	0	0	0	0	
12	Economic Self Sufficiency Service	60910708	1602000000	Exec Leadership/supprt Svc	\$197,552	0	0	197,562	0	0	0	0	0	0	0	0	0	0	0	0	
13	Information Technology	60900202	1603000000	Information Technology	\$24,760,774	477,036	3,927,092	18,841,506	860,631	623,684	27,565	3,260	0	0	0	0	0	0	0	0	
14	Executive Dir/support Svcs	60900101	1602600200	Asst/secretary/admin	\$18,437,580	\$0	5,397,249	12,850,502	160,148	16,244	2,889	10,548	0	0	0	0	0	0	0	0	
15	Florida Abuse Hotline	60910305	1304000000	Services/most Vulnerable	\$3,815		\$3,815						0	0	0	0	0	0	0	0	
16					\$0								0	0	0	0	0	0	0	0	
17					\$0								0	0	0	0	0	0	0	0	
18					\$0								0	0	0	0	0	0	0	0	
19					\$0								0	0	0	0	0	0	0	0	
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28					\$0								0	0	0	0	0	0	0	0	
29					\$0								0	0	0	0	0	0	0	0	
30					\$0								0	0	0	0	0	0	0	0	
Sum of IT Cost Elements Across IT Services																					
	IT Cost Element Data as entered on IT Service Worksheets	Personnel	State FTE (#)	73.00	8.25	12.75	25.00	20.50	0.00	0.75	5.75	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	
			State FTE (Costs)	\$5,343,268	\$772,506	\$822,982	\$2,077,258	\$1,235,331	\$0	\$74,849	\$355,067	\$5,277	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	
		Personnel	OPS FTE (#)	2.75	0.25	0.00	0.00	2.00	0.00	0.00	0.50	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	
			OPS FTE (Cost)	\$169,755	\$6,901	\$0	\$0	\$145,600	\$0	\$0	\$17,254	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	
		Personnel	Vendor/Staff Augmentation (# Positions)	101.75	0.00	0.50	98.25	0.00	0.00	3.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	
			Vendor/Staff Augmentaion (Costs)	\$15,693,386	\$0	\$0	\$15,289,023	\$0	\$0	\$404,363	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	
		Hardware		\$406,429	\$15,358	\$82,368	\$164,960	\$25,420	\$0	\$113,593	\$2,283	\$2,447	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	
		Software		\$2,226,773	\$51,086	\$847,559	\$1,213,132	\$80,885	\$0	\$31,146	\$2,386	\$579	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	
		External Services		\$21,064,298	\$17,668	\$7,639,327	\$12,891,621	\$502,245	\$0	\$0	\$2,889	\$10,548	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	
		Plant & Facility		\$14,130	\$0	\$1,174	\$0	\$0	\$0	\$12,956	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
		Other		\$459,576	\$42,106	\$31,311	\$264,484	\$36,648	\$0	\$3,021	\$81,283	\$724	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Totals of Costs				\$45,377,616	\$905,626	\$9,424,721	\$31,900,478	\$2,026,128	\$0	\$639,928	\$461,161	\$19,574	\$0	\$0	\$0	\$0	\$0	\$0	\$0		
Totals of FTE				177.50	8.50	13.25	123.25	22.50	0.00	3.75	6.25	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00		

FY 2010-11 Schedule IV-C: Information Technology (IT) Costs & Service Requirements
IT Service Requirements Worksheet: Substance Abuse and Mental Health Service

General revenue, trust fund, federal reimbursement. Federal funding requires formal federal approval of cost allocation plan.

5.2. Other comments

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 Children and Families		
Contact Person:	Susan Maher	Phone Number:	850-414-3643
Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	Canupp v. Liberty Behavioral Health Care Corp. and Hadi.		
Court with Jurisdiction:	USDC (Middle)		
Case Number:	2:04-cv-260-FtM-33DNF		
Summary of the Complaint:	Federal Class action alleging constitutionally inadequate sex offender treatment and special needs treatment at FCCC.		
Amount of the Claim:	State defendant (DCF) agreed to pay \$245,000(covered by Division of Risk Management) to plaintiffs' counsel for attorney fees and costs. No other monetary award is anticipated.		
Specific Statutes or Laws (including GAA) Challenged:	42 U.S.C. sec. 12131 and 14 th Amendment		
Status of the Case:	Case has tentatively settled, pending a November, 2009 fairness hearing and court approval of the settlement. DCF/Division of Risk Management will continue to incur attorney fees from the Attorney General's office during FY 09-10, but at a greatly reduced amount		
Who is representing (of record) the state in this lawsuit? Check all that apply.	<input type="checkbox"/>	Agency Counsel	
	<input checked="" type="checkbox"/>	Office of the Attorney General or Division of Risk Management	
	<input type="checkbox"/>	Outside Contract Counsel	

<p>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).</p>	<p>Kristen M. Cooley, Esq. Florida Institutional Legal Services, Inc.</p> <p>Christopher M. Jones, Esq. Florida Institutional Legal Services, Inc.</p> <p>Cassandra J. Capobianco, Esq. Florida Institutional Legal Services, Inc.</p> <p>Florida Institutional Legal Services, Inc. 1010-B NW 8th Street Gainesville, Florida 32601 352-375-2494 352-271-4366(FAX)</p> <p>Southern Legal Counsel, Inc. 1229 NW 12th Avenue Gainesville, Florida 32601 352-271-8890 352-271-8347 (FAX)</p> <p>Peter P. Sleasman, Esq. Legal Advocacy Center of Central Florida 222 SW Broadway Street Ocala, Florida 352-482-0179 352-482-0181</p> <p>Alice K. Nelson, Esq. Southern Legal Counsel, Inc. 14043 Shady Shores Drive Tampa, Florida 33613-1934 813-962-1582</p>
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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 Children and Families		
Contact Person:	Chesterfield Smith Jr.	Phone Number:	850-414-3300
Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	Florida Pediatric Society v. AHCA, DCF and DOH		
Court with Jurisdiction:	USDC (Southern)		
Case Number:	2:05-23037-CIV-HUCK		
Summary of the Complaint:	Federal Class action alleging constitutional violation of Federal Law for failing to provide children in Florida essential medical and dental services as required by Title XIX of the Social Security Act, 42 U.S.C. sec. 1396		
Amount of the Claim:	Value of the claim is not known at this time.		
Specific Statutes or Laws (including GAA) Challenged:	42 U.S.C. sec 1396 and 14 th Amendment		
Status of the Case:	Currently scheduled for trial on 9/14/09		
Who is representing (of record) the state in this lawsuit? Check all that apply.	<input type="checkbox"/>	Agency Counsel	
	<input checked="" type="checkbox"/>	Office of the Attorney General or Division of Risk Management	
	<input checked="" type="checkbox"/>	Outside Contract Counsel	

<p>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).</p>	<p>Stuart H. Singer, Esq. Carl E. Goldfarb, Esq. Damien J. Marshall, Esq. BOIES, SCHILLER & FLEXNER LLP 401 East Los Olas Blvd, Suite 1200 Fort Lauderdale, Florida 33301 954-356-0011 954-356-0022 (FAX)</p> <p>Thomas K. Gihool, Esq. James Eiseman, Jr., Esq. PUBLIC INTEREST LAW CENTER OF PHILADELPHIA 125 South Ninth Street, Suite 700 Philadelphia, Pennsylvania 19107 215-627-7100 215-627-3183 (FAX)</p> <p>Louis W. Bullock MILLER KEFFER & BULLOCK PC 222 S. Kenosha Ave. Tulsa, Oklahoma 741120 918-584-2001 918-743-6689 (FAX)</p>
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Office of Policy and Budget – July 2009

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 Children and Families		
Contact Person:	John Slye	Phone Number:	850-413-6173
Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	"Karina Smith" and "Elijah Moses", individually and on behalf of others similarly situated, v. Jeff Rainey, Sunny Hall, Hillsborough Kids, Inc., First Health, AHCA, Holly Benson, DCF, George Sheldon, Nicholas Cox		
Court with Jurisdiction:	Circuit Court, Thirteenth Judicial Circuit, Hillsborough County		
Case Number:	09-CA-016377		
Summary of the Complaint:	Complaint for Damages and Injunctive Relief, alleging violations of rights of children in the Florida foster care system in Hillsborough county.		
Amount of the Claim:	\$ Indeterminate amount in excess of \$15,000.00		
Specific Statutes or Laws (including GAA) Challenged:	Americans with Disabilities Act, Chapter 39 and 409, Florida statutes, state and federal Early Periodic Screening Diagnosis and Treatment (EPSDT) Acts, Florida common law.		
Status of the Case:	Motion to Dismiss filed on behalf of DCF, George Sheldon and Nicholas Cox on August 14, 2009		
Who is representing (of record) the state in this lawsuit? Check all that apply.	<input type="checkbox"/>	Agency Counsel	
	<input checked="" type="checkbox"/>	Office of the Attorney General or Division of Risk Management	
	<input checked="" type="checkbox"/>	Outside Contract Counsel	

<p>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).</p>	<p>Gievers, P.A. Counsel for Plaintiff Karen Gievers 524 E. College Ave. Suite 2 Tallahassee, FL 32301 850-222-1961 FAX – 850-222-2153</p> <p>Roy D. Wasson Wasson & Associates, Chartered Co-counsel for Plaintiff Courthouse Plaza – Suite 600 28 West Flagler Street Miami, FL 33130</p>
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Office of Policy and Budget – July 2009

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 Children and Families		
Contact Person:	John Slye	Phone Number:	850 – 413-6173
Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	Middleton, Horne, Kiser, Jackson, individually and on behalf of others similarly situated, v. Dept. of Agriculture, Dept. of Children and Families, Department of Juvenile Justice, Department of Corrections, Troy Tidwell, Robert E. Curry		
Court with Jurisdiction:	Circuit Court of Sixth Judicial Circuit, Pinellas County		
Case Number:	2008-19597CI-19		
Summary of the Complaint:	Seeks money damages alleging four plaintiffs and others were subjected to physical and psychological abuse while residents of two Florida Reform schools, one located in Marianna, Florida, and the other in Okeechobee, Florida, between the years of 1940 and 1969.		
Amount of the Claim:	Indeterminate amount of damages.		
Specific Statutes or Laws (including GAA) Challenged:	Violation of Sections 1, 8, and 19 of the Declaration of Rights of the Florida Constitution (1885) Assault and Battery against Tidwell Intentional Infliction of Emotional Distress against Tidwell		
Status of the Case:	Motion to Change Venue Filed on behalf of all state Defendants; Motion Denied and Notice of Appeal filed. Motion to Dismiss filed on behalf of Defendants. Discovery ongoing.		
Who is representing (of record) the state in this lawsuit? Check all that apply.	<input type="checkbox"/>	Agency Counsel	
	<input checked="" type="checkbox"/>	Office of the Attorney General or Division of Risk Management	
	<input type="checkbox"/>	Outside Contract Counsel	

<p>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).</p>	<p>Mark P. Buell, Esq., BUELL & Elligett, P.A. 3003 W. Azeele Street, Suite 100 Tampa, Florida 33609</p> <p>Thomas D. Masterson, and Gregory Hoag Masterson Law Group, P.A. 699 First Avenue North St. Petersburg, Florida 33701</p> <p>James D. Beach Law Offices of James D. Beach, P.A. Chamber of Commerce Bldg. 100 2nd Avenue North, Suite 350 St. Petersburg, Florida 33701</p>
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Office of Policy and Budget – July 2009

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 Children and Families		
Contact Person:	Mark Dunn	Phone Number:	850/414-3300
Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	Miller, Frank Johnson, et al Michael Murphy, Jeb Bush, Department of Children & Families		
Court with Jurisdiction:	U.S. District court, Middle District of Florida, Tampa, Florida		
Case Number:	87-369-CIV – T-24E (Bucklew)		
Summary of the Complaint:	42 U.S.C. 1983 action concerning former state mental hospital G. Pierce Wood Hospital in Arcadia, Florida. The United States Department of Justice was allowed to intervene alleging ADA and CRIPA violations. DOJ’s claims were denied after a 5 week trial. Despite the closure of the hospital and the defeat of the DOJ claims, the consent decree remains.		
Amount of the Claim:	\$Indeterminate, but this case has policy ramifications as to how class members’ services are funded in the former GPW catchment area. This fiscal year \$39 million dollars was appropriated by the legislature to DCF for mental health services in the GPW catchment area. There are also monitor budgets and attorney fees to consider.		
Specific Statutes or Laws (including GAA) Challenged:	None		
Status of the Case:	Three paragraphs of the Consent Decree remain, which have to do with the Community in SunCoast Region, and old Districts 8, 14, and 15. Exiting the Consent Decree as to the Community is dependent on passing what are known as Exit Criteria, which were established by a 1993 Stipulation. Suncoast Region and districts 8, 14, and 15 may be able to exit the decree shortly. Attempts to exit the consent decree are being resisted by Plaintiffs’ attorneys, adding to expense of the case.		
Who is representing (of record) the state in this lawsuit? Check all that apply.	<input type="checkbox"/>	Agency Counsel	
	<input checked="" type="checkbox"/>	Office of the Attorney General or Division of Risk Management	
	<input type="checkbox"/>	Outside Contract Counsel	

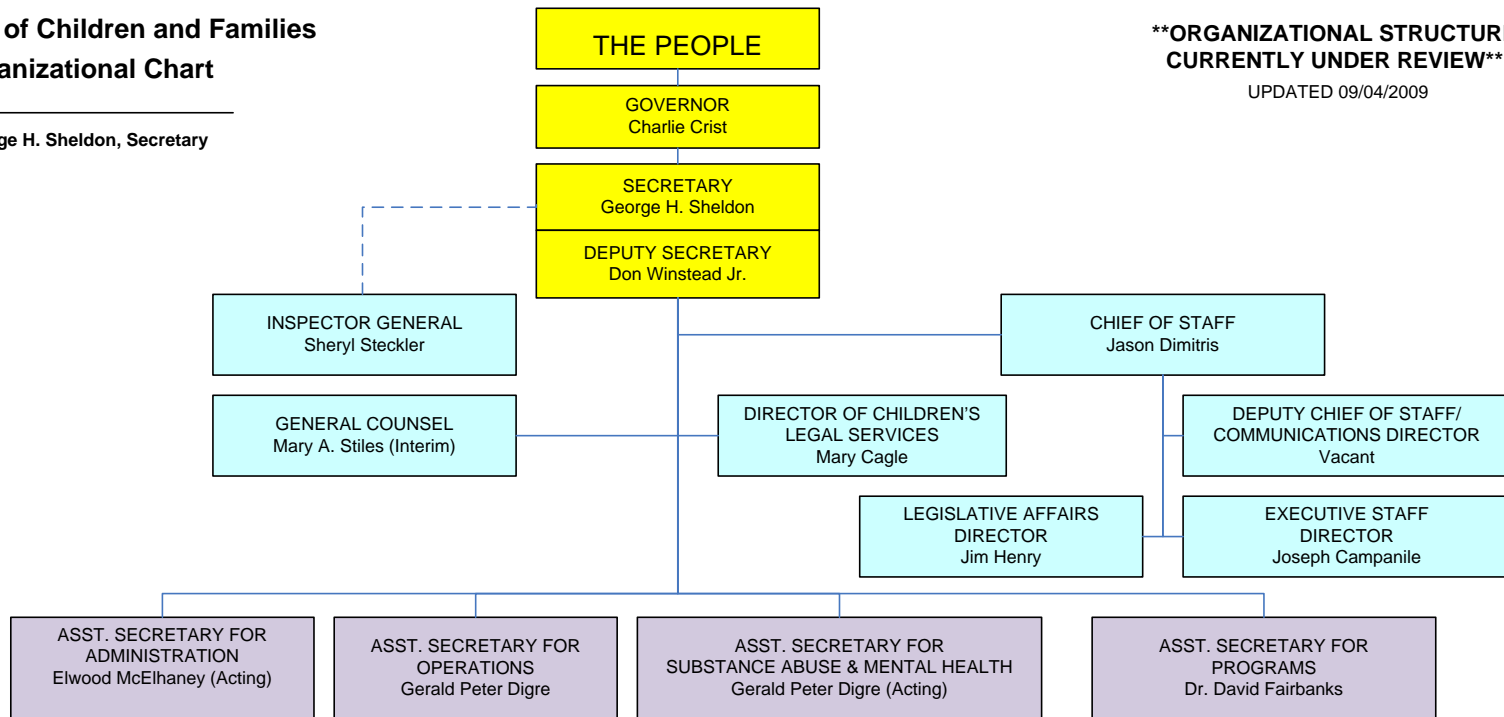
<p>If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).</p>	<p>Mr. James Green Ste. 1630 Esperante 222 Lakeview Ave. West Palm Beach, FL 33401 562-659-2029</p> <p>Syeven J. Schwartz Center for Public Representation 22 Green St. Northhampton, MA 10160 413-587-6200</p> <p>Robin Rosenburg Holland & Knight PO Box 3542 200 Central Ave. St. Petersburg, FL 33370 727-824-6199</p> <p>Mr. Hubert Grissom, Jr., General Counsel Advocacy Center for Persons with Disabilities Suite 513 1000 Ashley Dr. Tampa, FL 33602 954-967-1493</p> <p>Michael Dale (monitor's attorney) Nova University Shephard Broad Law Center 1305 College Ave. Ft. Lauderdale, FL 33314 954-262-6159</p>
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**Department of Children and Families
Organizational Chart**

George H. Sheldon, Secretary

****ORGANIZATIONAL STRUCTURE
CURRENTLY UNDER REVIEW****

UPDATED 09/04/2009



[illegible]

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

(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.

BUDGET PERIOD: 2000-2011

SCHED XI: AGENCY-LEVEL UNIT COST SUMMARY

STATE OF FLORIDA

AUDIT REPORT CHILDREN & FAMILY SERVICES

ACTIVITY ISSUE CODES SELECTED:

TRANSFER-STATE AGENCIES ACTIVITY ISSUE CODES SELECTED:

1-8:

AID TO LOCAL GOVERNMENTS ACTIVITY ISSUE CODES SELECTED:

1-8:

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

*** NO ACTIVITIES FOUND ***

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 ***

THE FOLLOWING ACTIVITIES DO NOT HAVE AN OUTPUT STANDARD (RECORD TYPE 5) AND ARE REPORTED AS 'OTHER' IN
SECTION III: (NOTE: 'OTHER' ACTIVITIES ARE NOT 'TRANSFER-STATE AGENCY' ACTIVITIES OR 'AID TO LOCAL
GOVERNMENTS' ACTIVITIES. ALL ACTIVITIES WITH AN OUTPUT STANDARD (RECORD TYPE 5) SHOULD BE REPORTED
IN SECTION II.)

*** NO ACTIVITIES FOUND ***

TOTALS FROM SECTION I AND SECTIONS II + III:

DEPARTMENT: 60	EXPENDITURES	FCO
FINAL BUDGET FOR AGENCY (SECTION I):	2,912,403,823	11,160,766
TOTAL BUDGET FOR AGENCY (SECTION III):	2,911,213,050	11,160,766
DIFFERENCE:	1,190,773	Footnote (1)
(MAY NOT EQUAL DUE TO ROUNDING)	=====	=====

Footnote (1) ARRA appropriations were not included in the reversion amount.

**Schedule XII
Series Outsourcing or Privatization of State Service or
Activity**

**Not Applicable
for
Fiscal Year 2010-2011**

**Schedule XIII
Proposed Consolidated Financing of Deferred-Payment
Commodity Contracts**

**Not Applicable
for
Fiscal Year 2010-2011**

Schedule XIV
Variance from Long Range Financial Outlook

Agency: Department of Children and Families

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

- 1) Does the long range financial outlook adopted by the Joint Legislative Budget Commission in September 2009 contain revenue or expenditure estimates related to your agency?

Yes ☒ No ☐

- 2) If yes, please list the estimates for revenues and budget drivers that reflect an estimate for your agency for Fiscal Year 2010-2011 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 2010-2011 Estimate/Request Amount	
			Long Range Financial Outlook	Legislative Budget Request
a	Base	R & B	\$2,776.9 M	\$2,776.9 M
b	TANF	B	\$50.9 M	\$0.0
c	Maintenance Adoption Subsidies and FMAP Adjustments (line 22 & 39 of Long Range Financial Outlook spreadsheet)	B	\$23.2 M	\$21.05
d	Community Based Care	B	\$3.5 M	0
e	Independent Living	B	\$1.6 M	\$10.0M
f	Sexually Violent Program	B	\$8.0 M	\$0.0
g	Forensic Mental Health	B	\$5.3 M	\$0.0
h	Mental Health Services	B	\$21.5	\$16.08
i	Substance Abuse	B	\$9.3 M	\$10.5
j	Homeless Housing	B	\$5.9 M	\$0
k	Capital Improvements/Maintenance and Repair	B	\$6.1 M	\$0

- 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.

B) Outlook will be reconciled pending the next TANF Estimating Conference (this is not a Department LBR adjustment, **C)** See note below, **D)** See note below, **E)** Variation in plan due to Legislative outlook is based on a restore and the Departments request is based on need, plus see note below, **F)** See note below, **G)** See note below, **H)** Variation is due to a \$2,775,000 was placed in the wrong program (was placed in Mental Health in the GAA), and is being requested to be restored in the correct program (Mental Health); plus related note below; **I)** Variation - see comment to "H", **J)** See note below, **K)** See note below.

NOTE: The Department of Children and Families identified needs associated with its mission and statutory mandates. Following the identification of needs the department analyzed its ability to meet those needs utilizing only existing recurring resources embedded within its budget, increasing federal resources and cash reserves. Utilizing that funding frame the department prioritized its legislative budget request. Differences between the department's request and the long range financial plan are related to the differences inherent in the funding frame utilized by the department and the funding frame utilized by the those preparing the long range financial plan

Florida Department of Children and Families

Fiscal Year 2010-2011



Exhibits or Schedules

INFORMATION MANAGEMENT CENTER
FISCAL YEAR 2010-2011

LEGISLATIVE BUDGET REQUEST
DATA CENTER COST ALLOCATION
BY BUDGET ENTITY AND ISSUE

SCHEDULE IV-A

ISSUE #	INFORMATION SYSTEMS	EXECUTIVE DIRECTION AND SUPPORT SERVICES	DEPARTMENT OF HEALTH	DEPARTMENT OF REVENUE	AGENCY FOR PERSONS WITH DISABILITIES	Department of State	TOTAL
<u>SALARIES AND BENEFITS</u>							
1001000	ESTIMATED EXPENDITURES - OPERATIONS	12,049,478	10,934,036	1,119,346	52,805	0	12,106,187 *
1002000	ADJ TO ST HLTH INS PREMIUM CONTRIB FY 2009-10	13,053	12,052	706	295	0	13,053
17051C0	INTERAGENCY REORG ALIGN NSRC BETWEEN AGENCIES	(2,347,330)	(2,748,732)	(905,667)	0		(3,654,399) **
26A1200	ST HLTH INS PREM CONTRIB ANNUALIZATION 10 Mths	65,265	60,260	3,530	1,475	0	65,265
	TOTAL SALARIES AND BENEFITS	9,780,466	8,257,616	217,915	54,575	0	8,530,106
<u>OTHER PERSONAL SERVICES</u>							
1001000	ESTIMATED EXPENDITURES - OPERATIONS	463,333	448,180	1,866	6,594	6,693	463,333
	TOTAL OTHER PERSONNEL SERVICES	463,333	448,180	1,866	6,594	6,693	463,333
<u>EXPENSES</u>							
1001000	ESTIMATED EXPENDITURES - OPERATIONS	3,929,593	3,183,376	280,730	208,987	56,500	3,929,593
17051C0	INTERAGENCY REORG ALIGN NSRC BETWEEN AGENCIES	(530,106)	(204,078)	(80,163)	(45,865)	(200,000)	(530,106)
	TOTAL EXPENSES	3,399,487	2,979,298	200,567	208,987	10,635	3,399,487
<u>OPERATING CAPITAL OUTLAY</u>							
1001000	ESTIMATED EXPENDITURES - OPERATIONS	51,087	45,282	5,217	0	588	51,087
17051C0	INTERAGENCY REORG ALIGN NSRC BETWEEN AGENCIES	(3,649)	(3,172)			(477)	(3,649)
	TOTAL OPERATING CAPITAL OUTLAY	47,438	42,110	5,217	0	111	47,438
<u>COMPUTER RELATED EXPENSES</u>							
1001000	ESTIMATED EXPENDITURES - OPERATIONS	20,136,021	8,999,035	608,534	10,017,140	511,312	20,136,021
17051C0	INTERAGENCY REORG ALIGN NSRC BETWEEN AGENCIES	(640,871)	(1,947,330)	(416,464)	0	(417,891)	(2,781,685) **
17050C0	INTERAGENCY REORG ALIGN NSRC BETWEEN AGENCIES	0	0		1,144,845		1,144,845 **
36214C0	AGENCY-WIDE INFO TECH GEOGRAPHIC INFO SYS	425,000	425,000				425,000
36219C0	DCF FLORIDA SAFE FAMILIES NETWORK	940,500	940,500				940,500
36220C0	DCF ACCESS FL SUPPT DOR CAMS PROJECT	1,132,200	1,132,200				1,132,200
36315C0	ACCESS FLORIDA IMPROVED CUSTOMER SERVICE	4,324,730	4,324,730				4,324,730
	TOTAL COMPUTER RELATED EXPENSE	26,317,580	13,874,135	192,070	11,161,985	93,421	25,321,611
<u>RISK MANAGEMENT INSURANCE</u>							
1001000	ESTIMATED EXPENDITURES - OPERATIONS	100,624	91,891	4,251	0	4,482	100,624
1001090	CASUALTY INSURANCE PREMIUM ADJUSTMENT	60,762	60,762	0	0	0	60,762
17051C0	INTERAGENCY REORG ALIGN NSRC BETWEEN AGENCIES	(22,215)	(20,653)	(760)	0	(802)	(22,215)
	TOTAL RISK MANAGEMENT EXPENSE	139,171	132,000	3,491	0	3,680	139,171
<u>QUALIFIED EXPENDITURES</u>							
1001000	ESTIMATED EXPENDITURES - OPERATIONS	1,178,617	1,178,617				1,178,617
2103249	NONRECURRING EXPENDITURES FLA SACWIS SYSTEM	(1,178,617)	(1,178,617)	0	0	0	(1,178,617)
	TOTAL QUALIFIED EXPENDITURE	0	0	0	0		0
	TOTAL ALL CATEGORIES	40,147,475	25,733,339	621,126	11,432,141	114,540	37,901,146

NOTES:

* This difference is due to the 2%, \$56,709 reduction in issue 33B being taken in the Working Capital Trust Fund in BE 60900202 but not in the double budget Data Processing category in BE 60900101.

** This \$2,303,038 represents the amount of nonoperating transfer budget authority that will be needed to fund the Working Capital Trust Fund for Administrative costs that the Office of Information Technology Services will provide for the Northwood Shared Resource Center.

NORTHWOOD SHARED RESOURCE CENTER
FISCAL YEAR 2010-2011

LEGISLATIVE BUDGET REQUEST
DATA CENTER COST ALLOCATION
BY BUDGET ENTITY AND ISSUE

SCHEDULE IV-A

ISSUE #	INFORMATION SYSTEMS	EXECUTIVE DIRECTION AND SUPPORT SERVICES	DEPARTMENT OF HEALTH	DEPARTMENT OF REVENUE	AGENCY FOR PERSONS WITH DISABILITIES	Department of State	Department of Juvenile Justice	Department of Education	Department of Professional and Business Regulation	TOTAL
<u>SALARIES AND BENEFITS</u>										
1001000	ESTIMATED EXPENDITURES - OPERATIONS	4,866,629	4,424,770	413,123	51,640	0	0	0	0	4,889,533 *
1002000	ADJ TO ST HLTH INS PREMIUM CONTRIB FY 2009-10	5,776	5,479	297			0	0	0	5,776
17C03C0	CONSOLIDATE SVCS IN PRIMARY DATA CENTERS	780,487	0	0	0					0 **
17050C0	INTERAGENCY REORG ALIGN NSRC BETWEEN AGENCIES	2,347,330	2,347,330	0	0	0		0	0	2,347,330
26A1200	ST HLTH INS PREM CONTRIB ANNUALIZATION 10 Mths	28,880	27,395	1,485	0	0	0	0	0	28,880
	TOTAL SALARIES AND BENEFITS	8,029,102	6,804,974	414,905	51,640	0	0	0	0	7,271,519
<u>OTHER PERSONAL SERVICES</u>										
1001000	ESTIMATED EXPENDITURES - OPERATIONS	198,571	188,643	1,986	3,971	3,971	0	0	0	198,571
	TOTAL OTHER PERSONNEL SERVICES	198,571	188,643	1,986	3,971	3,971	0	0	0	198,571
<u>EXPENSES</u>										
1001000	ESTIMATED EXPENDITURES - OPERATIONS	500,310	430,267	35,022	25,015	10,006	0	0	0	500,310
17050C0	INTERAGENCY REORG ALIGN NSRC BETWEEN AGENCIES	530,106	504,063	0	0	0	400,268	0	26,043	930,374 ***
	TOTAL EXPENSES	1,030,416	934,330	35,022	25,015	10,006	400,268	0	26,043	1,430,684
<u>OPERATING CAPITAL OUTLAY</u>										
1001000	ESTIMATED EXPENDITURES - OPERATIONS	21,895	19,267	2,190	0	438	0	0	0	21,895
17050C0	INTERAGENCY REORG ALIGN NSRC BETWEEN AGENCIES	3,649	3,649	0	0	0	0	0	0	3,649
	TOTAL OPERATING CAPITAL OUTLAY	25,544	22,916	2,190	0	438	0	0	0	25,544
<u>COMPUTER RELATED EXPENSES</u>										
1001000	ESTIMATED EXPENDITURES - OPERATIONS	17,422,496	7,478,368	1,327,746	8,291,236	325,146	0	0	0	17,422,496
17C03C0	CONSOLIDATE SVCS IN PRIMARY DATA CENTERS	1,120,644	0	0	0	0	0	0	0	0 **
17C02C0	CONSOLIDATE SVCS IN PRIMARY DATA CENTERS	0	0	0	0	55,825	822,856	473,692	215,809	809,866 ****
17050C0	INTERAGENCY REORG ALIGN NSRC BETWEEN AGENCIES	640,871	5,959,113	0	0	1,447,718	0	0	0	7,406,831 ***
17051C0	INTERAGENCY REORG ALIGN NSRC BETWEEN AGENCIES	0		(469,501)	(4,393,689)	0	0	0	0	(4,863,190) ***
36215C0	MAINT & OPER OF FLORIDA SAFE FAMILIES NETWORK	415,000	415,000	0	0	0	0	0	0	415,000
36217C0	DCF ACCESS INITIATIVES	788,943	788,943	0	0	0	0	0	0	788,943
36318C0	NSRC INFRASTRUCTURE NEEDS	2,248,408	2,248,408	0	0	0	0	0	0	2,248,408
36322C0	HARDWARE AND SOFTWARE TO SUPPT SUB ABUSE AND MENTAL HEALTH INFORMATION SYSTEM	134,852	134,852	0	0	0	0	0	0	134,852
36323C0	HARDWARE/SOFTWARE TO SUPPT SUB ABUSE AND MENTAL HEALTH WEB BASED TRAINING	69,601	69,601	0	0	0	0	0	0	69,601
	TOTAL COMPUTER RELATED EXPENSE	22,840,815	17,094,285	858,245	3,897,547	1,828,689	822,856	473,692	215,809	809,866 26,000,989
<u>RISK MANAGEMENT INSURANCE</u>										
1001000	ESTIMATED EXPENDITURES - OPERATIONS	43,125	39,675	1,294	0	2,156	0	0	0	43,125
1001090	CASUALTY INSURANCE PREMIUM ADJUSTMENT	(43,125)	(39,675)	(1,294)	0	(2,156)	0	0	0	(43,125)
17050C0	INTERAGENCY REORG ALIGN NSRC BETWEEN AGENCIES	22,215	22,215	0	0	0	0	0	0	22,215
	TOTAL RISK MANAGEMENT EXPENSE	22,215	22,215	0	0	0	0	0	0	22,215
	TOTAL ALL CATEGORIES	32,146,663	25,067,363	1,312,348	3,978,173	1,843,104	1,223,124	473,692	241,852	809,866 34,949,522

NOTES:

* The \$22,904 difference is due to the 2% reduction in issue 33B being taken in the Working Capital Trust Fund in BE 60900202 but not in the double budget Data Processing category (210022) in BE 60900101.

** The dollars shown in this issue are place holder amounts that will be adjusted during the supplemental LBR process or legislative session when more definitive amounts are known.

*** The \$2,303,038 sum of this issue is for the administrative Costs of OITS that the NSRC will transfer cash through a nonoperating category to OITS's Working Capital Trust Fund to fund.

**** The dollars shown in this issue are place holder amounts for the Full Service Agreement and Data Consolidation issues that will be finalized during the supplemental LBR process or the legislative session when more definitive amounts are known.

CHILDREN AND FAMILIES

SCHEDULE IV-B

FOR

GEOGRAPHIC INFORMATION SYSTEM

(GIS)

FOR

FISCAL YEAR 2010-11



State of Florida

The Florida Legislature

Governor's Office of Policy and Budget

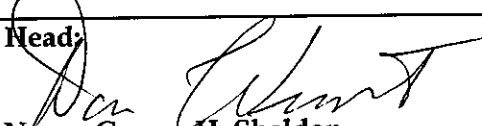
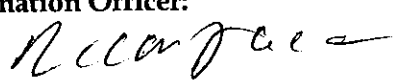


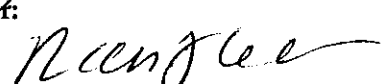
October 8, 2009

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**FY 2010-11 SCHEDULE IV-B FEASIBILITY STUDY FOR
GEOGRAPHIC INFORMATION SYSTEM (GIS)**

I. Schedule IV-B Cover Sheet

Schedule IV-B Cover Sheet and Agency Project Approval	
Agency: Children and Families	Schedule IV-B Submission Date: October 8, 2009
Project Name: GIS	Is this project included in the Agency's LRPP? ___X___ Yes ___ No
FY 2010-11 LBR Issue Code: 36214CO	FY 2010-11 LBR Issue Title: Geographic Information System
Agency Contact for Schedule IV-B: Lori Schultz (850) 487-8902 lori_schultz@dcf.state.fl.us	
AGENCY APPROVAL SIGNATURES	
I am submitting the attached Schedule IV-B in support of our legislative budget request. I have reviewed the estimated costs and benefits documented in the Schedule IV-B and believe the proposed solution can be delivered within the estimated time for the estimated costs to achieve the described benefits. I agree with the information in the attached Schedule IV-B.	
Agency Head:  Printed Name: George H. Sheldon	Date: 10/8/09
Agency Chief Information Officer:  Printed Name: Ramin Kouzehkanani	Date: 10/6/09
Budget Officer:  Printed Name: Nevin Smith	Date: 10/6/09
Planning Officer:  Printed Name: Nevin Smith	Date: 10/6/09
Project Sponsor:  Printed Name: Ramin Kouzehkanani	Date: 10/6/09
Schedule IV-B Response	
Business Need:	Not Required
Cost Benefit Analysis:	Not Required
Risk Analysis:	X
Technology Planning:	Not Required
Project Planning:	Not Required

II. Schedule IV-B Business Case – Not required

DCF requests \$425,000 for the implementation and operation of a GIS for public assistance and family safety services to the citizens of Florida.

This request will be implemented by funding additional software and support services. At this time, the Northwood Shared Resource Center estimates that existing hardware is adequate to support the proposed geographic information system.

III. Schedule IV-B Cost Benefit Analysis Not required

IV. Major Project Risk Assessment Component

The Major Project Risk Assessment Component identifies the risks faced by the project so the agency can enact appropriate mitigation strategies for managing those risks. **This Feasibility Study Component is required for *all* IT projects.**

A. Risk Assessment Tool – See Attachment I

B. Risk Assessment Summary

The Overall Risk Assessment is “Medium”. The Communication and Project Management Assessments are “High” because some of the questions and responses do not apply. This request is for additional software and support services only. NSRC estimates that existing hardware is adequate to support the proposed GIS.

V. Technology Planning Component Not required

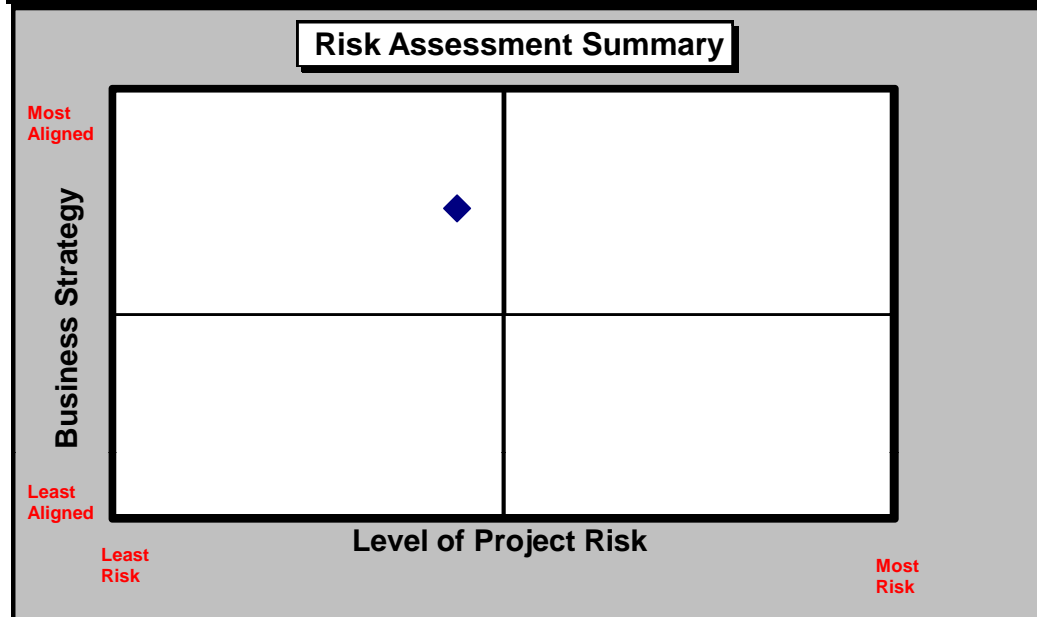
VI. Project Management Planning Component Not required

VII. Appendices

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

Attachment I = Risk Analysis

Project	DCF Geographic Information System	
Agency	Children and Families	
FY 2010-11 LBR Issue Code:	FY 2010-11 LBR Issue Title:	
36214CO	GIS	
Risk Assessment Contact Info (Name, Phone #, and E-mail Address):		
Lori Schultz 850-487-8902 lori_schultz@dcf.state.fl.us		
Executive Sponsor	Sponsor Name	
Project Manager	Project Manager Name	
Prepared By	Glenda Jenks	9/14/2009



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

Agency: Children and Families

Project: DCF Geographic Information System

Section 1 -- Strategic Area			
#	Criteria	Values	Answer
1.01	Are project objectives clearly aligned with the agency's legal mission?	0% to 40% -- Few or no objectives aligned	81% to 100% -- All or nearly all objectives aligned
		41% to 80% -- Some objectives aligned	
		81% to 100% -- All or nearly all objectives aligned	
1.02	Are project objectives clearly documented and understood by all stakeholder groups?	Not documented or agreed to by stakeholders	Documented with sign-off by stakeholders
		Informal agreement by stakeholders	
		Documented with sign-off by stakeholders	
1.03	Are the project sponsor, senior management, and other executive stakeholders actively involved in meetings for the review and success of the project?	Not or rarely involved	Project charter signed by executive sponsor and executive team actively engaged in steering committee meetings
		Most regularly attend executive steering committee meetings	
		Project charter signed by executive sponsor and executive team actively engaged in steering committee meetings	
1.04	Has the agency documented its vision for how changes to the proposed technology will improve its business processes?	Vision is not documented	Vision is completely documented
		Vision is partially documented	
		Vision is completely documented	
1.05	Have all project business/program area requirements, assumptions, constraints, and priorities been defined and documented?	0% to 40% -- Few or none defined and documented	81% to 100% -- All or nearly all defined and documented
		41% to 80% -- Some defined and documented	
		81% to 100% -- All or nearly all defined and documented	
1.06	Are all needed changes in law, rule, or policy identified and documented?	No changes needed	No changes needed
		Changes unknown	
		Changes are identified in concept only	
		Changes are identified and documented	
		Legislation or proposed rule change is drafted	
1.07	Are any project phase or milestone completion dates fixed by outside factors, e.g., state or federal law or funding restrictions?	Few or none	All or nearly all
		Some	
		All or nearly all	
1.08	What is the external (e.g. public) visibility of the proposed system or project?	Minimal or no external use or visibility	Minimal or no external use or visibility
		Moderate external use or visibility	
		Extensive external use or visibility	
1.09	What is the internal (e.g. state agency) visibility of the proposed system or project?	Multiple agency or state enterprise visibility	Use or visibility at division and/or bureau level only
		Single agency-wide use or visibility	
		Use or visibility at division and/or bureau level only	
1.10	Is this a multi-year project?	Greater than 5 years	1 year or less
		Between 3 and 5 years	
		Between 1 and 3 years	
		1 year or less	

Agency: Children and Families

Project: DCF Geographic Information System

Section 2 -- Technology Area			
#	Criteria	Values	Answer
2.01	Does the agency have experience working with, operating, and supporting the proposed technology in a production environment?	Read about only or attended conference and/or vendor presentation	Installed and supported production system more than 3 years
		Supported prototype or production system less than 6 months	
		Supported production system 6 months to 12 months	
		Supported production system 1 year to 3 years	
		Installed and supported production system more than 3 years	
2.02	Does the agency's internal staff have sufficient knowledge of the proposed technology to implement and operate the new system?	External technical resources will be needed for implementation and operations	External technical resources will be needed for implementation and operations
		External technical resources will be needed through implementation only	
		Internal resources have sufficient knowledge for implementation and operations	
2.03	Have all relevant technology alternatives/ solution options been researched, documented and considered?	No technology alternatives researched	All or nearly all alternatives documented and considered
		Some alternatives documented and considered	
		All or nearly all alternatives documented and considered	
2.04	Does the proposed technology comply with all relevant agency, statewide, or industry technology standards?	No relevant standards have been identified or incorporated into proposed technology	Proposed technology solution is fully compliant with all relevant agency, statewide, or industry standards
		Some relevant standards have been incorporated into the proposed technology	
		Proposed technology solution is fully compliant with all relevant agency, statewide, or industry standards	
2.05	Does the proposed technology require significant change to the agency's existing technology infrastructure?	Minor or no infrastructure change required	Minor or no infrastructure change required
		Moderate infrastructure change required	
		Extensive infrastructure change required	
		Complete infrastructure replacement	
2.06	Are detailed hardware and software capacity requirements defined and documented?	Capacity requirements are not understood or defined	Capacity requirements are based on historical data and new system design specifications and performance requirements
		Capacity requirements are defined only at a conceptual level	
		Capacity requirements are based on historical data and new system design specifications and performance requirements	

Agency: Children and Families

Project: DCF Geographic Information System

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

Agency: Agency Name

Project: Project Name

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

Agency: Children and Families

Project: DCF Geographic Information System

Section 5 -- Fiscal Area			
#	Criteria	Values	Answer
5.01	Has a documented Spending Plan been approved for the entire project lifecycle?	Yes No	Yes
5.02	Have all project expenditures been identified in the Spending Plan?	0% to 40% -- None or few defined and documented 41% to 80% -- Some defined and documented 81% to 100% -- All or nearly all defined and documented	81% to 100% -- All or nearly all defined and documented
5.03	What is the estimated total cost of this project over its entire lifecycle?	Unknown Greater than \$10 M Between \$2 M and \$10 M Between \$500K and \$1,999,999 Less than \$500 K	Less than \$500 K
5.04	Is the cost estimate for this project based on quantitative analysis using a standards-based estimation model?	Yes No	Yes
5.05	What is the character of the cost estimates for this project?	Detailed and rigorous (accurate within $\pm 10\%$) Order of magnitude – estimate could vary between 10-100% Placeholder – actual cost may exceed estimate by more than 100%	Detailed and rigorous (accurate within $\pm 10\%$)
5.06	Are funds available within existing agency resources to complete this project?	Yes No	No
5.07	Will/should multiple state or local agencies help fund this project or system?	Funding from single agency Funding from local government agencies Funding from other state agencies	Funding from single agency
5.08	If federal financial participation is anticipated as a source of funding, has federal approval been requested and received?	Neither requested nor received Requested but not received Requested and received Not applicable	Not applicable
5.09	Have all tangible and intangible benefits been identified and validated as reliable and achievable?	Project benefits have not been identified or validated Some project benefits have been identified but not validated Most project benefits have been identified but not validated All or nearly all project benefits have been identified and validated	All or nearly all project benefits have been identified and validated
5.10	What is the benefit payback period that is defined and documented?	Within 1 year Within 3 years Within 5 years More than 5 years No payback	Within 1 year
5.11	Has the project procurement strategy been clearly determined and agreed to by affected stakeholders?	Procurement strategy has not been identified and documented Stakeholders have not been consulted re: procurement strategy Stakeholders have reviewed and approved the proposed procurement strategy	Stakeholders have reviewed and approved the proposed procurement strategy
5.12	What is the planned approach for acquiring necessary products and solution services to successfully complete the project?	Time and Expense (T&E) Firm Fixed Price (FFP) Combination FFP and T&E	Firm Fixed Price (FFP)

Agency: Children and Families

Project: DCF Geographic Information System

Section 5 -- Fiscal Area			
#	Criteria	Values	Answer
5.13	What is the planned approach for procuring hardware and software for the project?	Timing of major hardware and software purchases has not yet been determined	Just-in-time purchasing of hardware and software is documented in the project schedule
		Purchase all hardware and software at start of project to take advantage of one-time discounts	
		Just-in-time purchasing of hardware and software is documented in the project schedule	
5.14	Has a contract manager been assigned to this project?	No contract manager assigned	Contract manager assigned is not the procurement manager or the project manager
		Contract manager is the procurement manager	
		Contract manager is the project manager	
		Contract manager assigned is not the procurement manager or the project manager	
5.15	Has equipment leasing been considered for the project's large-scale computing purchases?	Yes	Yes
		No	
5.16	Have all procurement selection criteria and outcomes been clearly identified?	No selection criteria or outcomes have been identified	All or nearly all selection criteria and expected outcomes have been defined and documented
		Some selection criteria and outcomes have been defined and documented	
		All or nearly all selection criteria and expected outcomes have been defined and documented	
5.17	Does the procurement strategy use a multi-stage evaluation process to progressively narrow the field of prospective vendors to the single, best qualified candidate?	Procurement strategy has not been developed	Multi-stage evaluation and proof of concept or prototype planned/used to select best qualified vendor
		Multi-stage evaluation not planned/used for procurement	
		Multi-stage evaluation and proof of concept or prototype planned/used to select best qualified vendor	
5.18	For projects with total cost exceeding \$10 million, did/will the procurement strategy require a proof of concept or prototype as part of the bid response?	Procurement strategy has not been developed	Yes, bid response did/will include proof of concept or prototype
		No, bid response did/will not require proof of concept or prototype	
		Yes, bid response did/will include proof of concept or prototype	
		Not applicable	

Agency: Children and Families

Project: DCF Geographic Information System

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

Agency: Children and Families

Project: DCF Geographic Information System

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

Agency: Children and Families

Project: DCF Geographic Information System

Section 7 -- Project Management Area			
#	Criteria	Values	Answer
7.11	Does the project schedule specify all project tasks, go/no-go decision points (checkpoints), critical milestones, and resources?	Yes	No
		No	
7.12	Are formal project status reporting processes documented and in place to manage and control this project?	No or informal processes are used for status reporting	No or informal processes are used for status reporting
		Project team uses formal processes	
		Project team and executive steering committee use formal status reporting processes	
7.13	Are all necessary planning and reporting templates, e.g., work plans, status reports, issues and risk management, available?	No templates are available	Some templates are available
		Some templates are available	
		All planning and reporting templates are available	
7.14	Has a documented Risk Management Plan been approved for this project?	Yes	No
		No	
7.15	Have all known project risks and corresponding mitigation strategies been identified?	None or few have been defined and documented	None or few have been defined and documented
		Some have been defined and documented	
		All known risks and mitigation strategies have been defined	
7.16	Are standard change request, review and approval processes documented and in place for this project?	Yes	No
		No	
7.17	Are issue reporting and management processes documented and in place for this project?	Yes	No
		No	

Agency: Children and Families

Project: DCF Geographic Information System

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

CHILDREN AND FAMILIES

SCHEDULE IV-B

FOR

RANDOM MOMENT SAMPLING (RMS)

FOR

FISCAL YEAR 2010-11



State of Florida

The Florida Legislature

Governor's Office of Policy and Budget

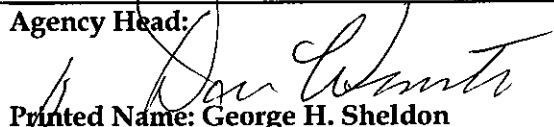
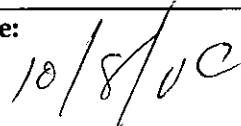
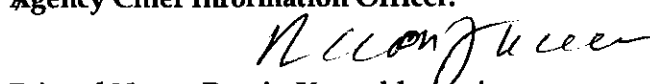
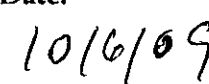

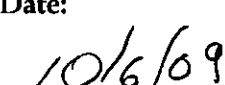

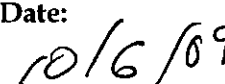
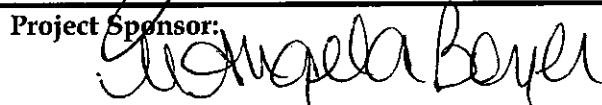
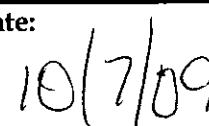
October 8, 2009

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V.	Technology Planning Component Not required	7
VI.	Project Management Planning Component Not required	8
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**FY 2010-11 SCHEDULE IV-B FEASIBILITY STUDY FOR
RANDOM MOMENT SAMPLING (RMS)**

I. Schedule IV-B Cover Sheet

Schedule IV-B Cover Sheet and Agency Project Approval	
Agency: Children and Families	Schedule IV-B Submission Date: October 8, 2009
Project Name: RMS	Is this project included in the Agency's LRPP? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
FY 2010-11 LBR Issue Code: 36223CO	FY 2010-11 LBR Issue Title: Random Moment Sampling
Agency Contact for Schedule IV-B: Lori Schultz (850) 487-8902 lori_schultz@dcf.state.fl.us	
AGENCY APPROVAL SIGNATURES	
<p>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.</p>	
Agency Head:  Printed Name: George H. Sheldon	Date: 
Agency Chief Information Officer:  Printed Name: Ramin Kouzehkanani	Date: 
Budget Officer:  Printed Name: Nevin Smith	Date: 
Planning Officer:  Printed Name: Nevin Smith	Date: 
Project Sponsor:  Printed Name: Angela Boyer	Date: 
Schedule IV-B Proposed for Schedule 2/3/390261 Schultz@dcf.state.fl.us	
Business Need:	Not Required
Cost Benefit Analysis:	Not Required
Risk Analysis:	X
Technology Planning:	Not Required
Project Planning:	Not Required

II. Schedule IV-B Business Case – Not required

The Department of Children and Families (DCF) requests \$190,000 in General Revenue funding for contracted services to purchase and implement a random moment sampling (RMS) replacement system. The current system used by DCF is no longer supported by the vendor. The Department plans to procure random moment sampling as a web-based service and does not intend to run it on-site.

III. Schedule IV-B Cost Benefit Analysis Not required

IV. Major Project Risk Assessment Component

The Major Project Risk Assessment Component identifies the risks faced by the project so the agency can enact appropriate mitigation strategies for managing those risks. **This Feasibility Study Component is required for *all* IT projects.**

A. Risk Assessment Tool – See Attachment I

B. Risk Assessment Summary

The overall Risk Summary is “Medium”. The Communication and Project Management Assessments are “High” because some of the questions and responses do not apply. This request is to replace the RMS system through contracted services. This is a web-based service and will not be hosted at NSRC.

V. Technology Planning Component Not required

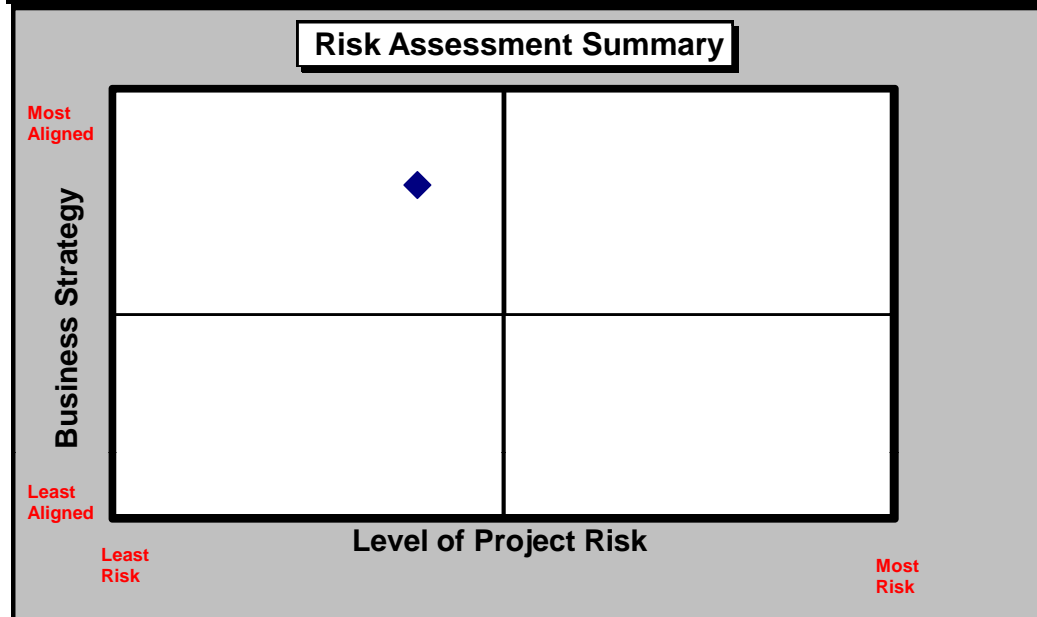
VI. Project Management Planning Component Not required

VII. Appendices

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

Attachment I = Risk Analysis

Project	DCF Random Moment Sampling	
Agency	Children and Families	
FY 2010-11 LBR Issue Code:	FY 2010-11 LBR Issue Title:	
36223CO	RMS	
Risk Assessment Contact Info (Name, Phone #, and E-mail Address):		
Lori Schultz 850-487-8902 lori_schultz@dcf.state.fl.us		
Executive Sponsor	Sponsor Name	
Project Manager	Project Manager Name	
Prepared By	Glenda Jenks	9/14/2009



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

Agency: Children and Families

Project: DCF Random Moment Sampling

Section 1 -- Strategic Area			
#	Criteria	Values	Answer
1.01	Are project objectives clearly aligned with the agency's legal mission?	0% to 40% -- Few or no objectives aligned	81% to 100% -- All or nearly all objectives aligned
		41% to 80% -- Some objectives aligned	
		81% to 100% -- All or nearly all objectives aligned	
1.02	Are project objectives clearly documented and understood by all stakeholder groups?	Not documented or agreed to by stakeholders	Documented with sign-off by stakeholders
		Informal agreement by stakeholders	
		Documented with sign-off by stakeholders	
1.03	Are the project sponsor, senior management, and other executive stakeholders actively involved in meetings for the review and success of the project?	Not or rarely involved	Project charter signed by executive sponsor and executive team actively engaged in steering committee meetings
		Most regularly attend executive steering committee meetings	
		Project charter signed by executive sponsor and executive team actively engaged in steering committee meetings	
1.04	Has the agency documented its vision for how changes to the proposed technology will improve its business processes?	Vision is not documented	Vision is completely documented
		Vision is partially documented	
		Vision is completely documented	
1.05	Have all project business/program area requirements, assumptions, constraints, and priorities been defined and documented?	0% to 40% -- Few or none defined and documented	81% to 100% -- All or nearly all defined and documented
		41% to 80% -- Some defined and documented	
		81% to 100% -- All or nearly all defined and documented	
1.06	Are all needed changes in law, rule, or policy identified and documented?	No changes needed	No changes needed
		Changes unknown	
		Changes are identified in concept only	
		Changes are identified and documented	
		Legislation or proposed rule change is drafted	
1.07	Are any project phase or milestone completion dates fixed by outside factors, e.g., state or federal law or funding restrictions?	Few or none	All or nearly all
		Some	
		All or nearly all	
1.08	What is the external (e.g. public) visibility of the proposed system or project?	Minimal or no external use or visibility	Minimal or no external use or visibility
		Moderate external use or visibility	
		Extensive external use or visibility	
1.09	What is the internal (e.g. state agency) visibility of the proposed system or project?	Multiple agency or state enterprise visibility	Use or visibility at division and/or bureau level only
		Single agency-wide use or visibility	
		Use or visibility at division and/or bureau level only	
1.10	Is this a multi-year project?	Greater than 5 years	1 year or less
		Between 3 and 5 years	
		Between 1 and 3 years	
		1 year or less	

Agency: Children and Families

Project: DCF Random Moment Sampling

Section 2 -- Technology Area			
#	Criteria	Values	Answer
2.01	Does the agency have experience working with, operating, and supporting the proposed technology in a production environment?	Read about only or attended conference and/or vendor presentation	Installed and supported production system more than 3 years
		Supported prototype or production system less than 6 months	
		Supported production system 6 months to 12 months	
		Supported production system 1 year to 3 years	
		Installed and supported production system more than 3 years	
2.02	Does the agency's internal staff have sufficient knowledge of the proposed technology to implement and operate the new system?	External technical resources will be needed for implementation and operations	External technical resources will be needed for implementation and operations
		External technical resources will be needed through implementation only	
		Internal resources have sufficient knowledge for implementation and operations	
2.03	Have all relevant technology alternatives/ solution options been researched, documented and considered?	No technology alternatives researched	All or nearly all alternatives documented and considered
		Some alternatives documented and considered	
		All or nearly all alternatives documented and considered	
2.04	Does the proposed technology comply with all relevant agency, statewide, or industry technology standards?	No relevant standards have been identified or incorporated into proposed technology	Proposed technology solution is fully compliant with all relevant agency, statewide, or industry standards
		Some relevant standards have been incorporated into the proposed technology	
		Proposed technology solution is fully compliant with all relevant agency, statewide, or industry standards	
2.05	Does the proposed technology require significant change to the agency's existing technology infrastructure?	Minor or no infrastructure change required	Minor or no infrastructure change required
		Moderate infrastructure change required	
		Extensive infrastructure change required	
		Complete infrastructure replacement	
2.06	Are detailed hardware and software capacity requirements defined and documented?	Capacity requirements are not understood or defined	Capacity requirements are based on historical data and new system design specifications and performance requirements
		Capacity requirements are defined only at a conceptual level	
		Capacity requirements are based on historical data and new system design specifications and performance requirements	

Agency: Children and Families

Project: DCF Random Moment Sampling

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

Agency: Agency Name

Project: Project Name

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

Agency: Children and Families

Project: DCF Random Moment Sampling

Section 5 -- Fiscal Area			
#	Criteria	Values	Answer
5.01	Has a documented Spending Plan been approved for the entire project lifecycle?	Yes No	Yes
5.02	Have all project expenditures been identified in the Spending Plan?	0% to 40% -- None or few defined and documented 41% to 80% -- Some defined and documented 81% to 100% -- All or nearly all defined and documented	81% to 100% -- All or nearly all defined and documented
5.03	What is the estimated total cost of this project over its entire lifecycle?	Unknown Greater than \$10 M Between \$2 M and \$10 M Between \$500K and \$1,999,999 Less than \$500 K	Less than \$500 K
5.04	Is the cost estimate for this project based on quantitative analysis using a standards-based estimation model?	Yes No	Yes
5.05	What is the character of the cost estimates for this project?	Detailed and rigorous (accurate within $\pm 10\%$) Order of magnitude – estimate could vary between 10-100% Placeholder – actual cost may exceed estimate by more than 100%	Detailed and rigorous (accurate within $\pm 10\%$)
5.06	Are funds available within existing agency resources to complete this project?	Yes No	Yes
5.07	Will/should multiple state or local agencies help fund this project or system?	Funding from single agency Funding from local government agencies Funding from other state agencies	Funding from single agency
5.08	If federal financial participation is anticipated as a source of funding, has federal approval been requested and received?	Neither requested nor received Requested but not received Requested and received Not applicable	Not applicable
5.09	Have all tangible and intangible benefits been identified and validated as reliable and achievable?	Project benefits have not been identified or validated Some project benefits have been identified but not validated Most project benefits have been identified but not validated All or nearly all project benefits have been identified and validated	All or nearly all project benefits have been identified and validated
5.10	What is the benefit payback period that is defined and documented?	Within 1 year Within 3 years Within 5 years More than 5 years No payback	Within 1 year
5.11	Has the project procurement strategy been clearly determined and agreed to by affected stakeholders?	Procurement strategy has not been identified and documented Stakeholders have not been consulted re: procurement strategy Stakeholders have reviewed and approved the proposed procurement strategy	Stakeholders have reviewed and approved the proposed procurement strategy
5.12	What is the planned approach for acquiring necessary products and solution services to successfully complete the project?	Time and Expense (T&E) Firm Fixed Price (FFP) Combination FFP and T&E	Firm Fixed Price (FFP)

Agency: Children and Families

Project: DCF Random Moment Sampling

Section 5 -- Fiscal Area			
#	Criteria	Values	Answer
5.13	What is the planned approach for procuring hardware and software for the project?	Timing of major hardware and software purchases has not yet been determined	Just-in-time purchasing of hardware and software is documented in the project schedule
		Purchase all hardware and software at start of project to take advantage of one-time discounts	
		Just-in-time purchasing of hardware and software is documented in the project schedule	
5.14	Has a contract manager been assigned to this project?	No contract manager assigned	Contract manager assigned is not the procurement manager or the project manager
		Contract manager is the procurement manager	
		Contract manager is the project manager	
		Contract manager assigned is not the procurement manager or the project manager	
5.15	Has equipment leasing been considered for the project's large-scale computing purchases?	Yes	Yes
		No	
5.16	Have all procurement selection criteria and outcomes been clearly identified?	No selection criteria or outcomes have been identified	All or nearly all selection criteria and expected outcomes have been defined and documented
		Some selection criteria and outcomes have been defined and documented	
		All or nearly all selection criteria and expected outcomes have been defined and documented	
5.17	Does the procurement strategy use a multi-stage evaluation process to progressively narrow the field of prospective vendors to the single, best qualified candidate?	Procurement strategy has not been developed	Multi-stage evaluation and proof of concept or prototype planned/used to select best qualified vendor
		Multi-stage evaluation not planned/used for procurement	
		Multi-stage evaluation and proof of concept or prototype planned/used to select best qualified vendor	
5.18	For projects with total cost exceeding \$10 million, did/will the procurement strategy require a proof of concept or prototype as part of the bid response?	Procurement strategy has not been developed	Yes, bid response did/will include proof of concept or prototype
		No, bid response did/will not require proof of concept or prototype	
		Yes, bid response did/will include proof of concept or prototype	
		Not applicable	

Agency: Children and Families

Project: DCF Random Moment Sampling

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

Agency: Children and Families

Project: DCF Random Moment Sampling

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

Agency: Children and Families

Project: DCF Random Moment Sampling

Section 7 -- Project Management Area			
#	Criteria	Values	Answer
7.11	Does the project schedule specify all project tasks, go/no-go decision points (checkpoints), critical milestones, and resources?	Yes	No
		No	
7.12	Are formal project status reporting processes documented and in place to manage and control this project?	No or informal processes are used for status reporting	No or informal processes are used for status reporting
		Project team uses formal processes	
		Project team and executive steering committee use formal status reporting processes	
7.13	Are all necessary planning and reporting templates, e.g., work plans, status reports, issues and risk management, available?	No templates are available	No templates are available
		Some templates are available	
		All planning and reporting templates are available	
7.14	Has a documented Risk Management Plan been approved for this project?	Yes	No
		No	
7.15	Have all known project risks and corresponding mitigation strategies been identified?	None or few have been defined and documented	None or few have been defined and documented
		Some have been defined and documented	
		All known risks and mitigation strategies have been defined	
7.16	Are standard change request, review and approval processes documented and in place for this project?	Yes	No
		No	
7.17	Are issue reporting and management processes documented and in place for this project?	Yes	No
		No	

Agency: Children and Families

Project: DCF Random Moment Sampling

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

CHILDREN AND FAMILIES

SCHEDULE IV-B

FOR

SUBSTANCE ABUSE LICENSING

SYSTEM (SALIS)

FOR

FISCAL YEAR 2010-11



State of Florida

The Florida Legislature

Governor's Office of Policy and Budget

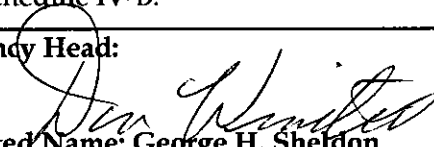
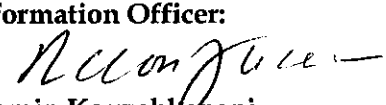


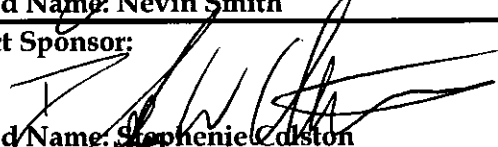
October 8, 2009

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**FY 2010-11 SCHEDULE IV-B FEASIBILITY STUDY FOR
SUBSTANCE ABUSE LICENSING SYSTEM (SALIS)**

I. Schedule IV-B Cover Sheet

Schedule IV-B Cover Sheet and Agency Project Approval	
Agency: Children and Families	Schedule IV-B Submission Date: October 8, 2009
Project Name: SALIS	Is this project included in the Agency's LRPP? <input checked="" type="checkbox"/> Yes
FY 2010-11 LBR Issue Code: 36325CO	FY 2010-11 LBR Issue Title: DCF Substance Abuse Licensing System
Agency Contact for Schedule IV-B: Lori Schultz (850) 487-8902 lori_schultz@dcf.state.fl.us	
AGENCY APPROVAL SIGNATURES	
<p>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.</p>	
Agency Head:  Printed Name: George H. Sheldon	Date: 10/8/09
Agency Chief Information Officer:  Printed Name: Ramin Kouzehkani	Date: 10/6/09
Budget Officer:  Printed Name: Nevin Smith	Date: 10/6/09
Planning Officer:  Printed Name: Nevin Smith	Date: 10/6/09
Project Sponsor:  Printed Name: Stephanie Carlson	Date: 10/7/09
Additional Schedule IV-B Requirements:	
Business Need:	Not Required
Cost Benefit Analysis:	Not Required
Risk Analysis:	X
Technology Planning:	Not Required
Project Planning:	Not Required

II. Schedule IV-B Business Case – Not required

The SALIS is currently a web-based application that is primarily accessed using desktop computers with internet connection or lap-top computers with air-cards through a cellular connection. DCF is requesting \$135,000 for contracted services for programming enhancements to automate the application form process and to develop a provider access portal to enable providers to enter their own licensure application data online. This will result in significant time savings for Department staff.

III. Schedule IV-B Cost Benefit Analysis Not required

IV. Major Project Risk Assessment Component

The Major Project Risk Assessment Component identifies the risks faced by the project so the agency can enact appropriate mitigation strategies for managing those risks. **This Feasibility Study Component is required for *all* IT projects.**

- A. Risk Assessment Tool - See Attachment I
- B. Risk Assessment Summary – Overall project risk is “Low” because this issue is requesting funds for contracted services for continued programming enhancements to automate the application form process and to develop a provider access portal to enable providers to enter their own licensure application data online.

V. Technology Planning Component Not required

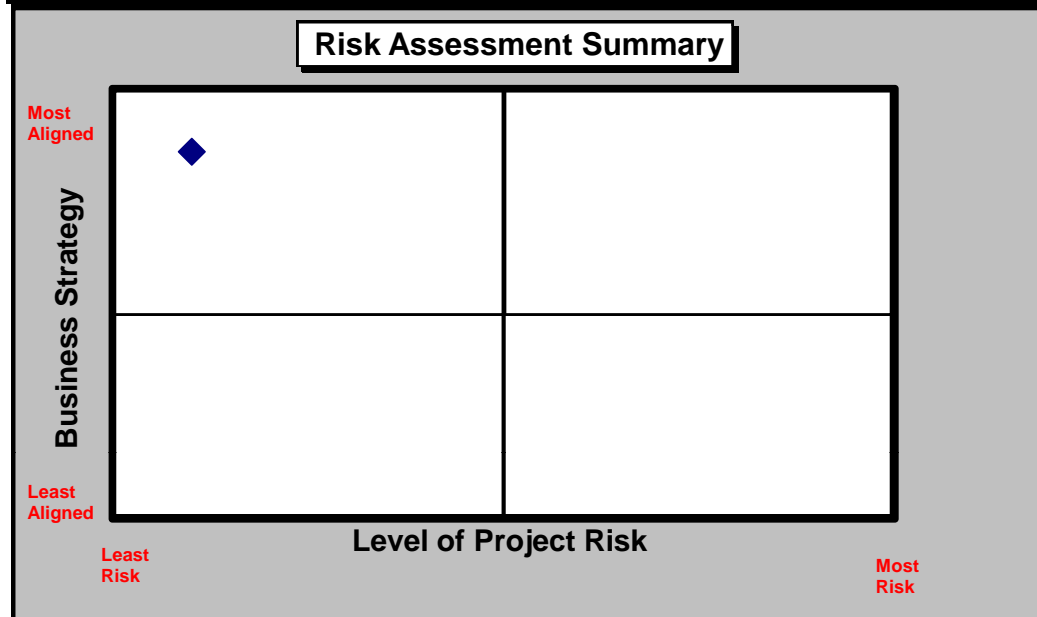
VI. Project Management Planning Component Not required

VII. Appendices

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

Attachment I = Risk Analysis

Project	<i>Substance Abuse Lincensing System</i>	
Agency	<i>Children and Families</i>	
FY 2010-11 LBR Issue Code:	FY 2010-11 LBR Issue Title:	
<i>36325CO</i>	<i>SALIS</i>	
Risk Assessment Contact Info (Name, Phone #, and E-mail Address):		
<i>Lori Schultz 850-487-8902 lori_schultz@dcf.state.fl.us</i>		
Executive Sponsor	<i>Stephenie Colston</i>	
Project Manager	<i>Project Manager Name</i>	
Prepared By	<i>Glenda Jenks</i>	<i>9/14/2009</i>



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

Agency: Children and Families

Project: Substance Abuse Lincensing System

Section 1 -- Strategic Area			
#	Criteria	Values	Answer
1.01	Are project objectives clearly aligned with the agency's legal mission?	0% to 40% -- Few or no objectives aligned	81% to 100% -- All or nearly all objectives aligned
		41% to 80% -- Some objectives aligned	
		81% to 100% -- All or nearly all objectives aligned	
1.02	Are project objectives clearly documented and understood by all stakeholder groups?	Not documented or agreed to by stakeholders	Informal agreement by stakeholders
		Informal agreement by stakeholders	
		Documented with sign-off by stakeholders	
1.03	Are the project sponsor, senior management, and other executive stakeholders actively involved in meetings for the review and success of the project?	Not or rarely involved	Most regularly attend executive steering committee meetings
		Most regularly attend executive steering committee meetings	
		Project charter signed by executive sponsor and executive team actively engaged in steering committee meetings	
1.04	Has the agency documented its vision for how changes to the proposed technology will improve its business processes?	Vision is not documented	Vision is completely documented
		Vision is partially documented	
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1.06	Are all needed changes in law, rule, or policy identified and documented?	No changes needed	No changes needed
		Changes unknown	
		Changes are identified in concept only	
		Changes are identified and documented	
		Legislation or proposed rule change is drafted	
1.07	Are any project phase or milestone completion dates fixed by outside factors, e.g., state or federal law or funding restrictions?	Few or none	Few or none
		Some	
		All or nearly all	
1.08	What is the external (e.g. public) visibility of the proposed system or project?	Minimal or no external use or visibility	Minimal or no external use or visibility
		Moderate external use or visibility	
		Extensive external use or visibility	
1.09	What is the internal (e.g. state agency) visibility of the proposed system or project?	Multiple agency or state enterprise visibility	Single agency-wide use or visibility
		Single agency-wide use or visibility	
		Use or visibility at division and/or bureau level only	
1.10	Is this a multi-year project?	Greater than 5 years	1 year or less
		Between 3 and 5 years	
		Between 1 and 3 years	
		1 year or less	

Agency: Children and Families

Project: Substance Abuse Lincensing System

Section 2 -- Technology Area			
#	Criteria	Values	Answer
2.01	Does the agency have experience working with, operating, and supporting the proposed technology in a production environment?	Read about only or attended conference and/or vendor presentation	Installed and supported production system more than 3 years
		Supported prototype or production system less than 6 months	
		Supported production system 6 months to 12 months	
		Supported production system 1 year to 3 years	
		Installed and supported production system more than 3 years	
2.02	Does the agency's internal staff have sufficient knowledge of the proposed technology to implement and operate the new system?	External technical resources will be needed for implementation and operations	Internal resources have sufficient knowledge for implementation and operations
		External technical resources will be needed through implementation only	
		Internal resources have sufficient knowledge for implementation and operations	
2.03	Have all relevant technology alternatives/ solution options been researched, documented and considered?	No technology alternatives researched	All or nearly all alternatives documented and considered
		Some alternatives documented and considered	
		All or nearly all alternatives documented and considered	
2.04	Does the proposed technology comply with all relevant agency, statewide, or industry technology standards?	No relevant standards have been identified or incorporated into proposed technology	Proposed technology solution is fully compliant with all relevant agency, statewide, or industry standards
		Some relevant standards have been incorporated into the proposed technology	
		Proposed technology solution is fully compliant with all relevant agency, statewide, or industry standards	
2.05	Does the proposed technology require significant change to the agency's existing technology infrastructure?	Minor or no infrastructure change required	Minor or no infrastructure change required
		Moderate infrastructure change required	
		Extensive infrastructure change required	
		Complete infrastructure replacement	
2.06	Are detailed hardware and software capacity requirements defined and documented?	Capacity requirements are not understood or defined	Capacity requirements are based on historical data and new system design specifications and performance requirements
		Capacity requirements are defined only at a conceptual level	
		Capacity requirements are based on historical data and new system design specifications and performance requirements	

Agency: Children and Families

Project: Substance Abuse Lincensing System

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

Agency: Agency Name

Project: Project Name

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

Agency: Children and Families

Project: Substance Abuse Lincensing System

Section 5 -- Fiscal Area			
#	Criteria	Values	Answer
5.01	Has a documented Spending Plan been approved for the entire project lifecycle?	Yes No	Yes
5.02	Have all project expenditures been identified in the Spending Plan?	0% to 40% -- None or few defined and documented 41% to 80% -- Some defined and documented 81% to 100% -- All or nearly all defined and documented	81% to 100% -- All or nearly all defined and documented
5.03	What is the estimated total cost of this project over its entire lifecycle?	Unknown Greater than \$10 M Between \$2 M and \$10 M Between \$500K and \$1,999,999 Less than \$500 K	Less than \$500 K
5.04	Is the cost estimate for this project based on quantitative analysis using a standards-based estimation model?	Yes No	Yes
5.05	What is the character of the cost estimates for this project?	Detailed and rigorous (accurate within $\pm 10\%$) Order of magnitude – estimate could vary between 10-100% Placeholder – actual cost may exceed estimate by more than 100%	Order of magnitude – estimate could vary between 10-100%
5.06	Are funds available within existing agency resources to complete this project?	Yes No	No
5.07	Will/should multiple state or local agencies help fund this project or system?	Funding from single agency Funding from local government agencies Funding from other state agencies	Funding from single agency
5.08	If federal financial participation is anticipated as a source of funding, has federal approval been requested and received?	Neither requested nor received Requested but not received Requested and received Not applicable	Not applicable
5.09	Have all tangible and intangible benefits been identified and validated as reliable and achievable?	Project benefits have not been identified or validated Some project benefits have been identified but not validated Most project benefits have been identified but not validated All or nearly all project benefits have been identified and validated	All or nearly all project benefits have been identified and validated
5.10	What is the benefit payback period that is defined and documented?	Within 1 year Within 3 years Within 5 years More than 5 years No payback	No payback
5.11	Has the project procurement strategy been clearly determined and agreed to by affected stakeholders?	Procurement strategy has not been identified and documented Stakeholders have not been consulted re: procurement strategy Stakeholders have reviewed and approved the proposed procurement strategy	Stakeholders have reviewed and approved the proposed procurement strategy
5.12	What is the planned approach for acquiring necessary products and solution services to successfully complete the project?	Time and Expense (T&E) Firm Fixed Price (FFP) Combination FFP and T&E	Combination FFP and T&E

Agency: Children and Families

Project: Substance Abuse Lincensing System

Section 5 -- Fiscal Area			
#	Criteria	Values	Answer
5.13	What is the planned approach for procuring hardware and software for the project?	Timing of major hardware and software purchases has not yet been determined	Just-in-time purchasing of hardware and software is documented in the project schedule
		Purchase all hardware and software at start of project to take advantage of one-time discounts	
		Just-in-time purchasing of hardware and software is documented in the project schedule	
5.14	Has a contract manager been assigned to this project?	No contract manager assigned	Contract manager is the project manager
		Contract manager is the procurement manager	
		Contract manager is the project manager	
		Contract manager assigned is not the procurement manager or the project manager	
5.15	Has equipment leasing been considered for the project's large-scale computing purchases?	Yes	No
		No	
5.16	Have all procurement selection criteria and outcomes been clearly identified?	No selection criteria or outcomes have been identified	All or nearly all selection criteria and expected outcomes have been defined and documented
		Some selection criteria and outcomes have been defined and documented	
		All or nearly all selection criteria and expected outcomes have been defined and documented	
5.17	Does the procurement strategy use a multi-stage evaluation process to progressively narrow the field of prospective vendors to the single, best qualified candidate?	Procurement strategy has not been developed	Multi-stage evaluation and proof of concept or prototype planned/used to select best qualified vendor
		Multi-stage evaluation not planned/used for procurement	
		Multi-stage evaluation and proof of concept or prototype planned/used to select best qualified vendor	
5.18	For projects with total cost exceeding \$10 million, did/will the procurement strategy require a proof of concept or prototype as part of the bid response?	Procurement strategy has not been developed	Not applicable
		No, bid response did/will not require proof of concept or prototype	
		Yes, bid response did/will include proof of concept or prototype	
		Not applicable	

Agency: Children and Families

Project: Substance Abuse Lincensing System

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

Agency: Children and Families

Project: Substance Abuse Lincensing System

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

Agency: Children and Families

Project: Substance Abuse Lincensing System

Section 7 -- Project Management Area			
#	Criteria	Values	Answer
7.11	Does the project schedule specify all project tasks, go/no-go decision points (checkpoints), critical milestones, and resources?	Yes	Yes
		No	
7.12	Are formal project status reporting processes documented and in place to manage and control this project?	No or informal processes are used for status reporting	Project team uses formal processes
		Project team uses formal processes	
		Project team and executive steering committee use formal status reporting processes	
7.13	Are all necessary planning and reporting templates, e.g., work plans, status reports, issues and risk management, available?	No templates are available	All planning and reporting templates are available
		Some templates are available	
		All planning and reporting templates are available	
7.14	Has a documented Risk Management Plan been approved for this project?	Yes	Yes
		No	
7.15	Have all known project risks and corresponding mitigation strategies been identified?	None or few have been defined and documented	All known risks and mitigation strategies have been defined
		Some have been defined and documented	
		All known risks and mitigation strategies have been defined	
7.16	Are standard change request, review and approval processes documented and in place for this project?	Yes	Yes
		No	
7.17	Are issue reporting and management processes documented and in place for this project?	Yes	Yes
		No	

Agency: Children and Families

Project: Substance Abuse Lincensing System

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

CHILDREN AND FAMILIES

SCHEDULE IV-B

FOR

SUBSTANCE ABUSE AND MENTAL

HEALTH WEB-BASED TRAINING

FOR

FISCAL YEAR 2010-11



State of Florida

The Florida Legislature

Governor's Office of Policy and Budget

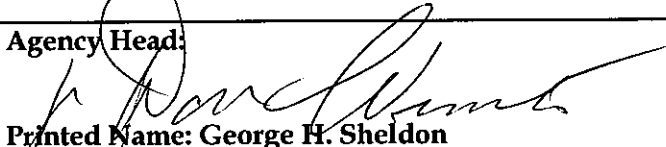
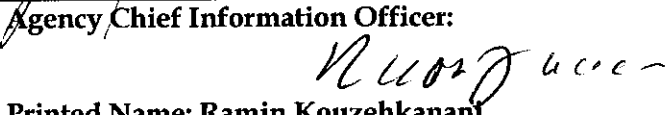
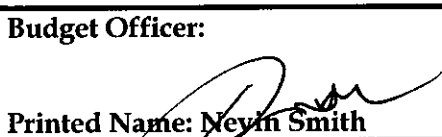
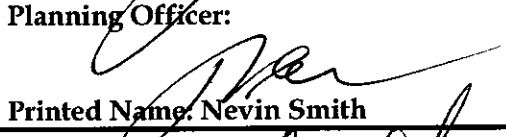
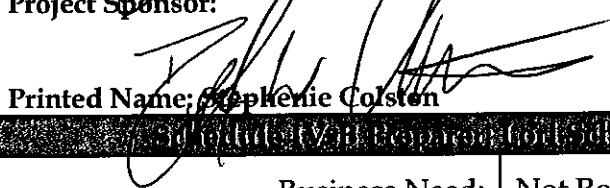
October 8, 2009

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**FY 2010-11 SCHEDULE IV-B FEASIBILITY STUDY FOR
SUBSTANCE ABUSE AND MENTAL HEALTH WEB-BASED TRAINING**

I. Schedule IV-B Cover Sheet

Schedule IV-B Cover Sheet and Agency Project Approval	
Agency: Children and Families	Schedule IV-B Submission Date: October 8, 2009
Project Name: SAMH Web-based Training	Is this project included in the Agency's LRPP? <input checked="" type="checkbox"/> Yes
FY 2010-11 LBR Issue Code: 36324CO	FY 2010-11 LBR Issue Title: DCF Substance Abuse and Mental Health Web-based Training
Agency Contact for Schedule IV-B: Lori Schultz (850) 487-8902 lori_schultz@dcf.state.fl.us	
AGENCY APPROVAL SIGNATURES	
<p>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.</p>	
Agency Head:  Printed Name: George H. Sheldon	Date: 10/8/09
Agency Chief Information Officer:  Printed Name: Ramin Kouzehkanani	Date: 10/6/09
Budget Officer:  Printed Name: Nevin Smith	Date: 10/6/09
Planning Officer:  Printed Name: Nevin Smith	Date: 10/6/09
Project Sponsor:  Printed Name: Stephanie Colston	Date: 10/7/09
Schedule IV-B Prepared by: Lori Schultz (850) 487-8902 lori_schultz@dcf.state.fl.us	
Business Need:	Not Required
Cost Benefit Analysis:	Not Required
Risk Analysis:	X
Technology Planning:	Not Required
Project Planning:	Not Required

II. Schedule IV-B Business Case – Not required

DCF is requesting \$310,489 including (\$260,750 nonrecurring and \$49,739 recurring funds) to develop web-based training for treatment staff and to integrate trauma-informed care practices within the Substance Abuse and Mental Health Programs of the Department of Children and Families (DCF) and its mental health and substance abuse service providers.

Consultants will be obtained through the RFP process to develop the web portal and web-based training and to deliver the training to the circuit teams in the regions. This application will reside at the Northwood Shared Resource Center and \$10,739 in recurring costs is included in the DCF LBR to cover the NSRC service fees.

NSRC is requesting \$58,862 (\$47,199 nonrecurring and \$11,663 recurring funds) to purchase equipment and software to support this issue. This includes system acquisition, configuration, and customization, server, operating system software, and annual license fees.

III. Schedule IV-B Cost Benefit Analysis Not required

IV. Major Project Risk Assessment Component

The Major Project Risk Assessment Component identifies the risks faced by the project so the agency can enact appropriate mitigation strategies for managing those risks. **This Feasibility Study Component is required for *all* IT projects.**

A. Risk Assessment Tool - See Attachment I

Purpose: To provide an initial high-level assessment of overall risk incurred by the project to enable appropriate risk mitigation and oversight to improve the likelihood of project success.

Eight major project risk assessment areas:

- Strategic
- Technology
- Change Management
- Communication
- Fiscal
- Project Organization
- Project Management
- Project Complexity

B. Risk Assessment Summary

The over Risk Assessment is high because a Communication Plan has not been developed for this project and all specifications and design have yet to be identified. A Communication Plan and the specifications will be completed after a gap analysis has been done.

V. Technology Planning Component Not required

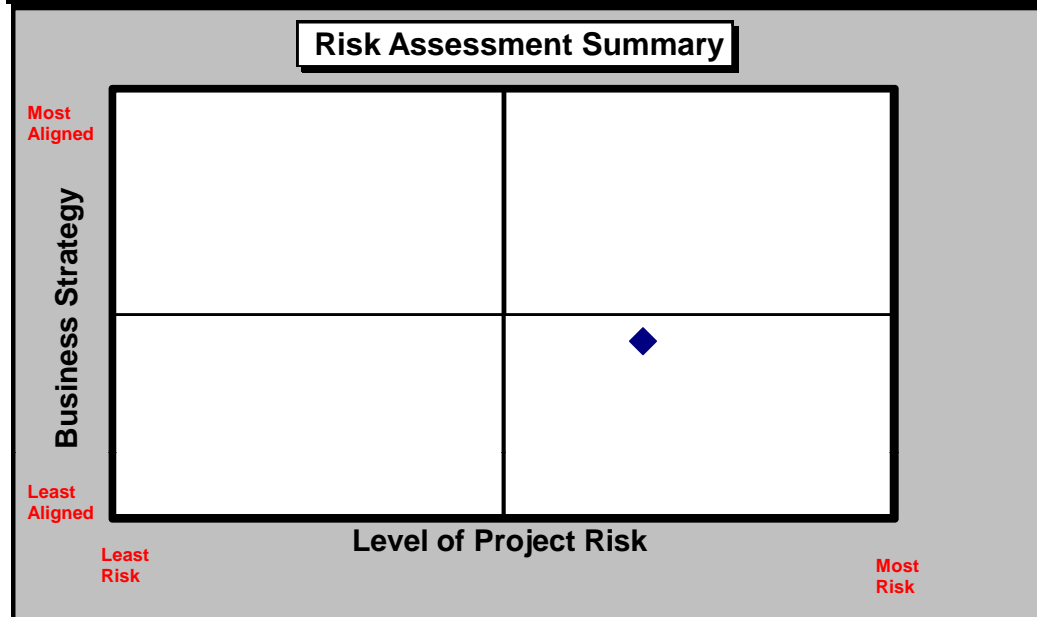
VI. Project Management Planning Component Not required

VII. Appendices

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

Attachment I = Risk Analysis

Project	SAMH Web-based Training	
Agency	Children and Families	
FY 2010-11 LBR Issue Code:	FY 2010-11 LBR Issue Title:	
36324CO	Substance Abuse and Mental health Web-	
Risk Assessment Contact Info (Name, Phone #, and E-mail Address):		
Lori Schultz 850-487-8902 lori_schultz@dcf.state.fl.us		
Executive Sponsor	Stephenie Colston	
Project Manager	Project Manager Name	
Prepared By	Glenda Jenks	9/14/2009



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

Agency: Children and Families

Project: SAMH Web-based Training

Section 1 -- Strategic Area			
#	Criteria	Values	Answer
1.01	Are project objectives clearly aligned with the agency's legal mission?	0% to 40% -- Few or no objectives aligned	81% to 100% -- All or nearly all objectives aligned
		41% to 80% -- Some objectives aligned	
		81% to 100% -- All or nearly all objectives aligned	
1.02	Are project objectives clearly documented and understood by all stakeholder groups?	Not documented or agreed to by stakeholders	Informal agreement by stakeholders
		Informal agreement by stakeholders	
		Documented with sign-off by stakeholders	
1.03	Are the project sponsor, senior management, and other executive stakeholders actively involved in meetings for the review and success of the project?	Not or rarely involved	Most regularly attend executive steering committee meetings
		Most regularly attend executive steering committee meetings	
		Project charter signed by executive sponsor and executive team actively engaged in steering committee meetings	
1.04	Has the agency documented its vision for how changes to the proposed technology will improve its business processes?	Vision is not documented	Vision is partially documented
		Vision is partially documented	
		Vision is completely documented	
1.05	Have all project business/program area requirements, assumptions, constraints, and priorities been defined and documented?	0% to 40% -- Few or none defined and documented	0% to 40% -- Few or none defined and documented
		41% to 80% -- Some defined and documented	
		81% to 100% -- All or nearly all defined and documented	
1.06	Are all needed changes in law, rule, or policy identified and documented?	No changes needed	No changes needed
		Changes unknown	
		Changes are identified in concept only	
		Changes are identified and documented	
		Legislation or proposed rule change is drafted	
1.07	Are any project phase or milestone completion dates fixed by outside factors, e.g., state or federal law or funding restrictions?	Few or none	Few or none
		Some	
		All or nearly all	
1.08	What is the external (e.g. public) visibility of the proposed system or project?	Minimal or no external use or visibility	Minimal or no external use or visibility
		Moderate external use or visibility	
		Extensive external use or visibility	
1.09	What is the internal (e.g. state agency) visibility of the proposed system or project?	Multiple agency or state enterprise visibility	Single agency-wide use or visibility
		Single agency-wide use or visibility	
		Use or visibility at division and/or bureau level only	
1.10	Is this a multi-year project?	Greater than 5 years	1 year or less
		Between 3 and 5 years	
		Between 1 and 3 years	
		1 year or less	

Agency: Children and Families

Project: SAMH Web-based Training

Section 2 -- Technology Area			
#	Criteria	Values	Answer
2.01	Does the agency have experience working with, operating, and supporting the proposed technology in a production environment?	Read about only or attended conference and/or vendor presentation	Installed and supported production system more than 3 years
		Supported prototype or production system less than 6 months	
		Supported production system 6 months to 12 months	
		Supported production system 1 year to 3 years	
		Installed and supported production system more than 3 years	
2.02	Does the agency's internal staff have sufficient knowledge of the proposed technology to implement and operate the new system?	External technical resources will be needed for implementation and operations	Internal resources have sufficient knowledge for implementation and operations
		External technical resources will be needed through implementation only	
		Internal resources have sufficient knowledge for implementation and operations	
2.03	Have all relevant technology alternatives/ solution options been researched, documented and considered?	No technology alternatives researched	All or nearly all alternatives documented and considered
		Some alternatives documented and considered	
		All or nearly all alternatives documented and considered	
2.04	Does the proposed technology comply with all relevant agency, statewide, or industry technology standards?	No relevant standards have been identified or incorporated into proposed technology	Proposed technology solution is fully compliant with all relevant agency, statewide, or industry standards
		Some relevant standards have been incorporated into the proposed technology	
		Proposed technology solution is fully compliant with all relevant agency, statewide, or industry standards	
2.05	Does the proposed technology require significant change to the agency's existing technology infrastructure?	Minor or no infrastructure change required	Minor or no infrastructure change required
		Moderate infrastructure change required	
		Extensive infrastructure change required	
		Complete infrastructure replacement	
2.06	Are detailed hardware and software capacity requirements defined and documented?	Capacity requirements are not understood or defined	Capacity requirements are based on historical data and new system design specifications and performance requirements
		Capacity requirements are defined only at a conceptual level	
		Capacity requirements are based on historical data and new system design specifications and performance requirements	

Agency: Children and Families

Project: SAMH Web-based Training

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

Agency: Agency Name

Project: Project Name

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

Agency: Children and Families

Project: SAMH Web-based Training

Section 5 -- Fiscal Area			
#	Criteria	Values	Answer
5.01	Has a documented Spending Plan been approved for the entire project lifecycle?	Yes No	No
5.02	Have all project expenditures been identified in the Spending Plan?	0% to 40% -- None or few defined and documented 41% to 80% -- Some defined and documented 81% to 100% -- All or nearly all defined and documented	0% to 40% -- None or few defined and documented
5.03	What is the estimated total cost of this project over its entire lifecycle?	Unknown Greater than \$10 M Between \$2 M and \$10 M Between \$500K and \$1,999,999 Less than \$500 K	Less than \$500 K
5.04	Is the cost estimate for this project based on quantitative analysis using a standards-based estimation model?	Yes No	Yes
5.05	What is the character of the cost estimates for this project?	Detailed and rigorous (accurate within $\pm 10\%$) Order of magnitude – estimate could vary between 10-100% Placeholder – actual cost may exceed estimate by more than 100%	Order of magnitude – estimate could vary between 10-100%
5.06	Are funds available within existing agency resources to complete this project?	Yes No	No
5.07	Will/should multiple state or local agencies help fund this project or system?	Funding from single agency Funding from local government agencies Funding from other state agencies	Funding from single agency
5.08	If federal financial participation is anticipated as a source of funding, has federal approval been requested and received?	Neither requested nor received Requested but not received Requested and received Not applicable	Not applicable
5.09	Have all tangible and intangible benefits been identified and validated as reliable and achievable?	Project benefits have not been identified or validated Some project benefits have been identified but not validated Most project benefits have been identified but not validated All or nearly all project benefits have been identified and validated	Most project benefits have been identified but not validated
5.10	What is the benefit payback period that is defined and documented?	Within 1 year Within 3 years Within 5 years More than 5 years No payback	No payback
5.11	Has the project procurement strategy been clearly determined and agreed to by affected stakeholders?	Procurement strategy has not been identified and documented Stakeholders have not been consulted re: procurement strategy Stakeholders have reviewed and approved the proposed procurement strategy	Stakeholders have reviewed and approved the proposed procurement strategy
5.12	What is the planned approach for acquiring necessary products and solution services to successfully complete the project?	Time and Expense (T&E) Firm Fixed Price (FFP) Combination FFP and T&E	Combination FFP and T&E

Agency: Children and Families

Project: SAMH Web-based Training

Section 5 -- Fiscal Area			
#	Criteria	Values	Answer
5.13	What is the planned approach for procuring hardware and software for the project?	Timing of major hardware and software purchases has not yet been determined	Just-in-time purchasing of hardware and software is documented in the project schedule
		Purchase all hardware and software at start of project to take advantage of one-time discounts	
		Just-in-time purchasing of hardware and software is documented in the project schedule	
5.14	Has a contract manager been assigned to this project?	No contract manager assigned	Contract manager is the project manager
		Contract manager is the procurement manager	
		Contract manager is the project manager	
		Contract manager assigned is not the procurement manager or the project manager	
5.15	Has equipment leasing been considered for the project's large-scale computing purchases?	Yes	Yes
		No	
5.16	Have all procurement selection criteria and outcomes been clearly identified?	No selection criteria or outcomes have been identified	Some selection criteria and outcomes have been defined and documented
		Some selection criteria and outcomes have been defined and documented	
		All or nearly all selection criteria and expected outcomes have been defined and documented	
5.17	Does the procurement strategy use a multi-stage evaluation process to progressively narrow the field of prospective vendors to the single, best qualified candidate?	Procurement strategy has not been developed	Multi-stage evaluation and proof of concept or prototype planned/used to select best qualified vendor
		Multi-stage evaluation not planned/used for procurement	
		Multi-stage evaluation and proof of concept or prototype planned/used to select best qualified vendor	
5.18	For projects with total cost exceeding \$10 million, did/will the procurement strategy require a proof of concept or prototype as part of the bid response?	Procurement strategy has not been developed	Not applicable
		No, bid response did/will not require proof of concept or prototype	
		Yes, bid response did/will include proof of concept or prototype	
		Not applicable	

Agency: Children and Families

Project: SAMH Web-based Training

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

Agency: Children and Families

Project: SAMH Web-based Training

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

Agency: Children and Families

Project: SAMH Web-based Training

Section 7 -- Project Management Area			
#	Criteria	Values	Answer
7.11	Does the project schedule specify all project tasks, go/no-go decision points (checkpoints), critical milestones, and resources?	Yes	No
		No	
7.12	Are formal project status reporting processes documented and in place to manage and control this project?	No or informal processes are used for status reporting	Project team uses formal processes
		Project team uses formal processes	
		Project team and executive steering committee use formal status reporting processes	
7.13	Are all necessary planning and reporting templates, e.g., work plans, status reports, issues and risk management, available?	No templates are available	Some templates are available
		Some templates are available	
		All planning and reporting templates are available	
7.14	Has a documented Risk Management Plan been approved for this project?	Yes	No
		No	
7.15	Have all known project risks and corresponding mitigation strategies been identified?	None or few have been defined and documented	Some have been defined and documented
		Some have been defined and documented	
		All known risks and mitigation strategies have been defined	
7.16	Are standard change request, review and approval processes documented and in place for this project?	Yes	No
		No	
7.17	Are issue reporting and management processes documented and in place for this project?	Yes	No
		No	

Agency: Children and Families

Project: SAMH Web-based Training

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

CHILDREN AND FAMILIES

SCHEDULE IV-B

FOR

SUBSTANCE ABUSE AND MENTAL

HEALTH INFORMATION SYSTEM

FOR

FISCAL YEAR 2010-11



State of Florida

The Florida Legislature

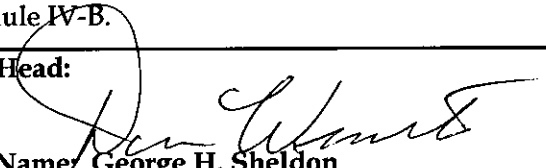
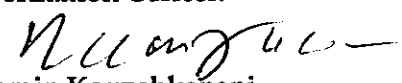


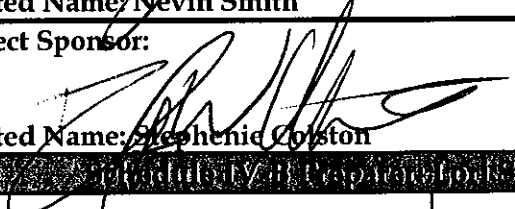
Governor's Office of Policy and Budget

October 8, 2009

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I. Schedule IV-B Cover Sheet

Schedule IV-B Cover Sheet and Agency Project Approval	
Agency: Children and Families	Schedule IV-B Submission Date: October 8, 2009
Project Name: SAMHIS	Is this project included in the Agency's LRPP? NO <input type="checkbox"/> Yes <input checked="" type="checkbox"/>
FY 2010-11 LBR Issue Code: 36310CO	FY 2010-11 LBR Issue Title: Substance Abuse and Mental Health Information System
Agency Contact for Schedule IV-B (Name, Phone #, and E-mail address): Lori Schultz, 850-487-8902, lori_schultz@dcf.state.fl.us	
<p align="center">AGENCY APPROVAL SIGNATURES</p> <p>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.</p>	
Agency Head:  Printed Name: George H. Sheldon	Date: 10/8/09
Agency Chief Information Officer:  Printed Name: Ramin Kouzehkanani	Date: 10/6/09
Budget Officer:  Printed Name: Nevin Smith	Date: 10/6/09
Planning Officer:  Printed Name: Nevin Smith	Date: 10/6/09
Project Sponsor:  Printed Name: Stephenie Colston	Date: 10/7/09
<p align="center">Schedule IV-B Preparation Log: 850-487-8902 / lori_schultz@dcf.state.fl.us</p>	
Business Need:	
Cost Benefit Analysis:	
Risk Analysis:	
Technology Planning:	
Project Planning:	

II. Schedule IV-B Business Case

Business Case Section	\$1-1.99M	\$2 - 10 M		> \$10 M
		Routine upgrades & infrastructure	Business or organizational change	
Background and Strategic Needs Assessment			X	X
Baseline Analysis			X	X
Proposed Business Process Requirements			X	X
Cost Benefit Analysis		X	X	X

A. Background and Strategic Needs Assessment

1. Agency Program(s)/Service(s) Environment

The current Substance Abuse and Mental Health Information System (SAMHIS) is an administrative data warehouse that is designed for query and analysis of limited data needed at the state level; it is not designed to support the total management of the service delivery at the state, region, circuit, and provider levels, as required by the following. A new system would significantly position us for managing a prospective payment system that links services, outcomes, and costs, and would also make us more compliant with the following state laws and federal regulations:

1.1 **Section 394.9082 (4) (d) 5., Florida Statutes**, requires the Department *to establish or develop data management and reporting systems that not only promote efficient use of data by the service delivery system, but also address the management and clinical care needs of the service providers and managing entities and provide information needed by the department for required state and federal reporting.*

The current system does not meet these statutory requirements, because it does not have any data modules to perform the following business functions:

- Provider Facility Management
- Human Resource Management
- Electronic Health Records (HER) Management
- Service Scheduling and Reporting
- Managed Care Coordination

1.2 **Section 394.77, Florida Statutes**, requires the Department *to establish, for the purposes of control of costs: (1) a uniform management information system and fiscal accounting system for use by providers of community substance abuse and mental health services, and (2) a uniform reporting system with uniform definitions and reporting categories.*

The current system does not meet these statutory requirements, because it does not have any data modules to perform the following business functions.

- Financial Management
- Contract Management
- Claims Processing and Payment
- Online Data Analysis and Reporting

- 1.3 **Section 394.674, Florida Statutes**, requires the Department to (a) *identify individuals who are eligible for publicly funded substance abuse and mental health services*, (b) *enroll these individuals into the state priority populations*, and (c) *implement fee collection requirements*.

The current system does not meet these statutory requirements, because it does not have adequate infrastructure that can be used by consumers, family members, providers and other stakeholders to access both standard and ad hoc reports and other critical information needed for various decision-making purposes. An infrastructure is needed that will support the interfaces with other agency data systems to perform the following business functions:

- Interface with Social Security Administration (SSA) database system for unique identification of substance abuse and mental health consumers served across provider agencies. This will require each person to have a single demographic record, which will allow the creation of a unique identifier per person based on demographic information from SSA database.
- Interface with Florida Department of Law Enforcement (FDLE) database system to collect and report the National Outcome Measures (NOMS) data and General Appropriation Act (GAA) performance measure data pertaining to substance abuse and mental health consumers involved in criminal justice system (i.e., number and percent of persons arrested before, during and after treatment);
- Interface with the Department of Juvenile Justice (DJJ) database system to collect and report NOMS and GAA data pertaining to substance abuse and mental health consumers involved in juvenile justice system (i.e., number and percent of persons in detention before, during and after treatment);
- Interface with the Department of Education database system to collect and report NOMS and GAA data pertaining to children's school attendance (i.e., number and percent of children expelled or suspended from schools);
- Interface with the Agency for Health Care Administration database system to collect and report encounter data required for needs assessment and for revenue maximization pertaining to Community Based Medicaid Administrative Claiming (CBMAC) program;
- Interface with Florida Safe Families Network (FSFN) for identifying individuals in child welfare system, including parents who put children at risk or children under state supervision, who need and receive substance abuse and mental health services;
- Interface with Drug Courts and Mental Health Courts for identifying individuals ordered by the courts to receive substance abuse and mental health treatment.

2. Business Objectives

Following are the major business objectives pertaining to substance abuse and mental health information technology in the Department's Long Range Program Plan:

- *Decrease all processing errors and processing time.*
Following are key initiatives to achieve this objective: (a) create a unique identifier per person based on demographic information from SSA database; (b) establish automated interfaces between the Substance Abuse and Mental Health Information System (SAMHIS) and the other agency data systems to minimize errors due to manual processes; and (c) conduct data validation to ensure the referential data integrity; and (c) develop and update user guides and provide

ongoing training of system users across provider agencies.

- *Increase efficiency, accuracy and effectiveness through information management and health information exchange.*

Following are key initiatives to achieve this objective: (a) increase the visibility and usability of the data through the development and implementation of online standard and ad hoc reports that are available and accessible not only to staff at the state, region and circuit levels, but also to community-based provider organizations, consumers, family members, and other stakeholders as needed; (b) provide online information for invoice verification and eligibility tracking for revenue maximization and cost avoidance; (c) reduce data redundancy through system interface and integration; and (d) provide automated referral and electronic consent for release of confidential information within and between service provider agencies.

B. Baseline Analysis

1. Current Business Process Requirements

- a. **Inputs** - The Substance Abuse and Mental Health (SAMH) system has fifty-four input processes, which capture information for various data modules. There are two for wait list; two for client demographic; eleven for community needs assessment (CNA); six for mental health (MH) outcome data; six for substance abuse (SA) outcome data; seven for client specific/non-client specific encounter data; seven for hospital admissions and related data; two for provider directory data; eight for children/adult functional assessment rating scale (CFARS/FARS); one for American Society for Addictive Medicines (ASAM); one for system announcement data; and three for Department of Corrections (DOC) referral interfaces.
- b. **Processing** - The SAMH system data input modules currently include processes that provide information to answer the following management question: *“who receives what services from whom, to achieve what outcomes at what cost?”*
 - **Who receive:** answers to this question are based on data modules pertaining to basic socio-demographic and clinical characteristics of the person served, including data elements describing the problems/conditions or eligibility criteria of each person served.
 - **What services:** answers to this question are based on data modules pertaining to service encounters and interventions, including the amounts and types of services provided to each person served.
 - **From whom:** answers to this question are based on data modules pertaining to provider sites, staff, and programs responsible for service provisions.
 - **What outcomes:** answers to this question are based on data modules pertaining to service performance outcomes, level of functioning, and level of care at the time of admission, during treatment and at discharge.
 - **At what cost:** answers to this question are based on data modules pertaining to contracted service unit rates and the actual service units as part of the client-specific service events and non client-specific service events.
- c. **Outputs** - The SAMH system currently has forty-four output processes. There are twelve standard reports and thirty-four other processes that provide information to meet stakeholder needs at the federal, state, and local levels, and for the public at large:

- **At the federal level**, the stakeholders are the Substance Abuse and Mental Health Services Administration (SAMHSA), including the Center for Mental Health Services (CMHS), the Center for Substance Abuse Treatment (CSAT), and the Center for Substance Abuse Prevention (CSAP). These SAMHSA centers require the department to collect and submit data pertaining to the Substance Abuse and Mental Health Block Grants; Data Infrastructure Grants; National Outcome Measures for substance abuse and mental health; Substance Abuse Access to Recovery (ATR); Drug and Alcohol Services Information System (DASIS); Treatment Episode Data System (TEDS); State Outcome Measurement and Management System (SOMMS); and Uniform Reporting System (URS) tables.
 - **At the state**, regional and circuit levels, the stakeholders include the Legislature, which requires data needed as part of the General Appropriation Act (GAA) performance measures, and the Department, which requires data needed for program performance monitoring, planning, and budgeting purposes.
 - **At the local levels**, the stakeholders are providers, individuals who receive our services, and family members, who require access to information needed for treatment decisions, including identification of services and providers that best meet their needs.
 - **In the general population**, the customers are Florida citizens, including lawyers, schools, employers, etc., who routinely request substance abuse and mental health information as needed to do their jobs.
- d. **Business Process Interfaces** - There are business process interfaces to the following data systems: Florida Accounting Information Resource (FLAIR); Medicaid Paid Claims Data; Medicaid Eligibility Data; Consumer Satisfaction Data; and the Department of Corrections Referral Data.
- e. **Business Process Participants** - Approximately 1,600 providers, the Substance Abuse and Mental Health Program Offices and the District Data liaisons.
- f. **Process Mapping** - see next page.

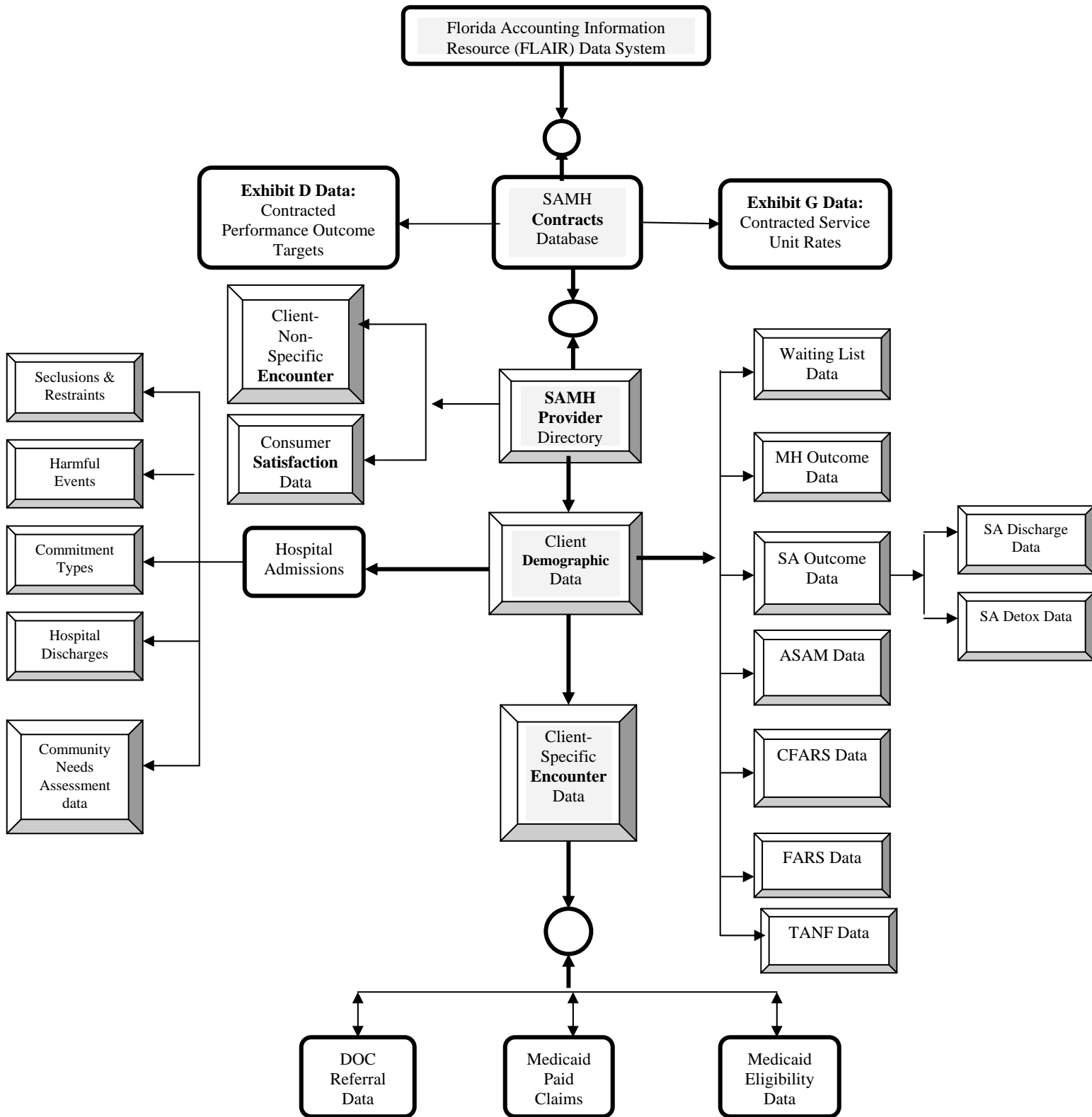
2. Assumptions and Constraints

NSRC LBR Issue #36322CO will have to be approved to purchase the hardware and software needed to support this project.

There will be recurring monthly charges to have the system hosted at the NSRC in Full Service Managed mode as mandated in Chapter 2008, 116 Laws of Florida (SB 1892) that all application/database systems must be hosted at a designated Primary Data Center. These charges are currently only an estimate as the NSRC is still in the process of getting the rate schedule published, and the rates are subject to change as approved by the Board of Trustees that govern the services and expenditures of the NSRC.

The Department anticipates that the current funds for the existing SAMH system will cover the NSRC services cost for the WITS System.

ENTITY RELATIONSHIP DIAGRAM FOR
Community Substance Abuse and Mental Health (SAMH) Data System



C. Proposed Business Process Requirements

1. **Proposed Business Process** - Use the RFI and RFP process to purchase federally approved software through a consortium. This will meet the President's Commission requirement for implementing the transformation of Mental Health system of care supported by an information system that is capable to perform the basic Electronic Health Records (EHR) functions. The vendor of the Web Infrastructure for Treatment Services (WITS) data system would be responsible for customization, configuration, and installation of the new system using the department's .NET/SQL Server environment. This includes the gap analysis, conversion and migration of the legacy data, and initial users training. Once the new system is customized, configured, and installed, the Department will be responsible for ongoing system operation and maintenance.
2. **Business Solution Alternatives** - The alternative would be to build in-house. Based on a functional point analysis, however, this would cost much more than buying and configuring a well established data system.
3. **Rationale for Selection** - Purchasing a system will take less time to market and we would be able to put the new system up within a year. This would be in line with the Secretary's initiative to provide better service for our clients and make providers more accountable. This would also meet the SAMHSA requirements for the transformation of Mental Health System for Care supported by a data system that is EHR capable. The costs for initial implementation of the WITS system are much less for the in-house hosting environment mainly because DCF technical staff are currently responsible for this environment, are already very familiar with the existing SAMH system and, therefore, the costs for gap analysis and data conversion would be less.
4. **Recommended Business Solution** - Purchase of federally approved software. To maximize the ability to meet federal, state and local requirements, Florida intends to be part of the consortium of the states that use WITS. This will be done using the appropriate procurement process, including the Request for Quote (RFQ), Request for Proposal, or sole source. A Change Control Committee would be formed to: (a) guide the initial implementation of the new system, (b) establish a comprehensive set of business rules regarding data definition, submission, processing, and reporting, and (c) ensure future system changes are based on these business rules to guarantee the reliability, validity and functionality of the data inputs and outputs.

III. Schedule IV-B Cost Benefit Analysis

A. The Cost-Benefit Analysis Forms – See Attachment I

B. CBA Forms

Step 1: Benefits Realization Table (Appendix C)

Benefits Realization Table						
	Description of Benefit	Tangible or Intangible	Who receives benefit?	How is benefit realized?	How will the realization of the benefit be assessed/measured?	Realization Date (MM/YY)
1	Cost avoidance from implementing the Financial Management, Contract management, and Claims Processing and Payment modules which will allow for verification of invoices and payments	Tangible	Department	By preventing double billing to Medicaid and the Department	o Increase in Medicaid enrollment and billing	Within 2 years following statewide deployment
2	Electronic Medical Records Management Module	Intangible	Client	Allows for a comprehensive service plan	o Online access to client records from multiple providers	Within 1 year following statewide deployment
3	Service Scheduling & Reporting Module	Intangible	Client	Reduces time to serve clients	o Reduced time between assessment and first treatment service	Within 1 year following statewide deployment
4	Human Resource Management Module	Intangible	Client	Ensures services are provided by qualified & skilled employees	o Increase in number of staff trained and certified	Within 2 years following statewide deployment
5	Contract Module	Intangible	Department	Ensures accountability		
6	Availability of both live and web-based technical assistance, training and certification for providers	Intangible	Department and Client	Allows for a consistent and well trained provider group regardless of their location	o Decrease in number of erroneous records submitted o Decrease in medication and treatment errors	Within 1 years following statewide deployment

Step 2: CBA Workbook – CBA Form 1 Net Tangible Benefits worksheet tab:

a) CBA Form 1-A Net Tangible Benefits

b) CBA-Form 1-B Character of Program Benefit Estimate

Step 3: *CBA Workbook – CBA Form 2 Project Costs* worksheet tab:

- a) CBA Form 2-A Project Cost
- b) CBA Form 2-B Character of Project Costs Estimate
- c) CBA Form 2-C Program(s) Costs for Current Operations
- d) CBA Form 2-D Character of Existing Program Cost Estimates

Step 4: *CBA Workbook – CBA Form 3 Project Investment Summary* worksheet tab:

- a) CBA Form 3-A Cost Benefit Analysis (enter no data, auto generated)
- b) CBA Form 3-B Return on Investment Analysis
- c) CBA Form 3-C Treasurer's Investment Interest Earning Yield

C. Cost-Benefit Analysis Results

The CBA worksheets show a payback in one year with an Internal Rate of Return of 5642.35%. This rough estimation of cost savings is based on FY 08-09 mental health clients served.

DCF served a total of 294,674 mental health clients and 97,508 of them or 33% received Medicaid billable services, but these services were not billed to Medicaid because they were not enrolled in Medicaid. If the proposed system is implemented, it will allow service providers to: (a) determine their Medicaid eligibility as part of the intake process; (b) enroll them into Medicaid system; and (c) bill Medicaid rather than DCF for Medicaid billable services. The average annual cost to serve each mental health client is about \$1,500. The DCF estimated annual savings for enrolling clients into Medicaid and billing Medicaid for Medicaid billable services received by these clients is **\$146,262,000** (i.e., \$1,500 * 97,508 clients)

The intangible benefits are time savings, increased efficiency, accuracy and effectiveness, and compliance with state laws and federal regulations.

IV. Major Project Risk Assessment Component

The Major Project Risk Assessment Component identifies the risks faced by the project so the agency can enact appropriate mitigation strategies for managing those risks. **This Feasibility Study Component is required for *all* IT projects.**

A. Risk Assessment Tool – See Attachment II

Eight major project risk assessment areas:

- Strategic
- Technology
- Change Management
- Communication
- Fiscal
- Project Organization
- Project Management
- Project Complexity

B. Risk Assessment Summary

The risk assessment summary is “Medium” because the communication plan, work breakdown structure, project schedule, etc. cannot be completed until a gap analysis is done and all required specifications have been identified. Through NDIIC membership the Department will be able to obtain the technical assistance to perform a gap analysis between WITS and the current SAMHIS system.

V. Technology Planning Component

Technology Planning Section	\$1-1.99M	\$2 - 10 M		> \$10 M
		Routine upgrades & infrastructure	Business or organizational change	
Current Information Technology Environment		X	X	X
Proposed Solution Description	X	X	X	X
Capacity Planning	X	X	X	X
Analysis of Alternatives	X	X	X	X

A. Current Information Technology Environment

1. Current System

- a. The SAMH application is JAVA based using two TOMCAT instances as the Application Server and Oracle 9.2.0 as the database. All components of the current application reside on a Unisys ES-7000 server.
- b. The SAMH system is in a shared resource environment hosted on a Unisys ES-7000 with multiple other Economic Self Sufficiency applications including the following: KidCare, WEBARU, Reported Change System, IVR, Suncap, and Food for Florida. The ES-7000 operating system is SUSE 9. The server has 4 Intel Xeon CPU's with 16 GB RAM. The present usable disk space allocated to this server is 2.6 TB.
- c. Current system performance - The SAMH application environment currently experiences problems when Institutions try to load or extract large volumes of data. At times this hardware becomes CPU and I/O bound due to the contention of the multiple applications and databases resident on this hardware.

At the federal level, the current system is not fully designed to collect, analyze and report all the data pertaining to the National Outcome Measures (NOMs), which are mandated by the Substance Abuse and Mental Health Services Administration (SAMHSA) as part of the Federal Block Grant data requirements.

At the state and local levels, the current system does not have adequate infrastructure (hardware and software) that can be used by consumers, family members, providers and other stakeholders to access standard and ad hoc reports needed for various decision-making purposes.

2. Strategic Information Technology Direction

The SAMHIS system would allow the department to provide a complete capture of data for a wider range of functional needs and to comply with mandated federal and state reporting. Through the implementation, the capacity of the system would be enhanced by providing a dedicated resource to support SAMHIS requirements over the current shared hardware resources.

3. Information Technology Standards

The department's technology standards embrace open systems technologies employing SQL RDBMS (SQL Server and Oracle) using Java and .Net for development of thin-client applications. As the demands on the SAMHIS system increase because of system growth, the ability to upgrade capacity to meet specific demands will be improved.

B. Proposed Solution Description

1. Summary description of proposed system

The proposed Web Infrastructure Treatment Services System is designed to run on Microsoft Windows Application servers and Microsoft SQL Server database servers. The migration of the existing data to the new system will be approximately the same size. The anticipated growth of the new system is estimated to be 40% per year.

2. Resource and summary level funding requirements for proposed system (if known) - RFI and RFP processes will be used to implement a comprehensive Substance Abuse and Mental Health Information System (SAMHIS).

3. Ability of the proposed system to meet projected performance requirements for:

- Network and system availability - The proposed system will be available 24/7 via the Internet for authorized users outside the Department's firewall or via the Intranet for authorized users inside the Department's firewall.
- Network and system capacity - The proposed system will be able to accommodate up to 500 concurrent users, who need to access the system for the following activities: (a) direct data entry via the input screens; (b) batch file processing via the File Transfer Protocol (FTP); and/or (c) data analysis and reporting. The response time should be no less than 10 seconds per transaction. The migration of the existing data to the new system will be approximately the same size. The anticipated growth of the new system is estimated to be 40% per year. The current system has been growing at a 20% per year rate and with the anticipated increased utilization of the new system we are estimating the growth rate will double.
- Network and system reliability - The proposed system is expected to be up and running 95 percent of the time with a maximum downtime of no more than two consecutive hours per day. The hardware resource model Information Technology Services utilized for architecting this issue takes advantage of industry trends in server and SAN technology as well as architecting an environment that will protect and safeguard the production environment with fail over and redundancy. The hardware will have limited to no single point of failure technology, including the capability to host the Production database server on the Development and Acceptance server in the case of a catastrophic hardware failure.
- Network and system backup and operational recovery - All regions will be backed up on tape via a high speed tape library system that will provide adequate resources for both emergency data recovery on-site and an off-site rotation of tapes for disaster recovery. This will be accomplished by adding tape backup devices to the existing DCF enterprise backup library system and purchasing sufficient tapes to provide the on-site and off-site tape rotations.
- Scalability to meet long-term system and network requirements - The data storage capacity and data processing capacity (memory) of the proposed system is expected to grow by a factor of five percent annually.

C. Capacity Planning - See Attachment III

D. Analysis of Alternatives

1. Assessment of Alternatives - As shown in the attached PDF document (see Attachment IV), the Department conducted a detailed Function Point Analysis in

2008 comparing the cost of building the SAMHIS system (\$4,774,000) versus the cost of buying and configuring a well established system. (\$1,606,352).

2. **Assessment Process** - The department looked at systems being used in other states and has previewed systems that would meet our business needs. The Request for Information (RFI) and Request for Proposal (RFP) process will be used to select a qualified vendor of a well-established and well-tested Substance Abuse and Mental Health Information System (SAMHIS). The SAMHIS vendor will be responsible for customization, configuration, and installation of the new system using the department's .NET/SQL Server environment. This includes the gap analysis, conversion and migration of the legacy data, and initial users training. Once the new system is customized, configured, and installed, the department will be responsible for ongoing system operation and maintenance.
3. **Technology Recommendation** - Host SAMHIS in DCF .NET/SQL Server Environment

VI. Project Management Planning Component

Project Management Section	\$1-1.99 M	\$2 – 10 M		> \$10 M
		Routine upgrades & infrastructure	Business or organizational change	
Project Charter	X	X	X	X
Work Breakdown Structure	X	X	X	X
Project Schedule	X	X	X	X
Project Budget	X	X	X	X
Project Organization			X	X
Project Quality Control			X	X
External Project Oversight			X	X
Risk Management			X	X
Organizational Change Management			X	X
Project Communication			X	X
Special Authorization Requirements			X	X

A. Project Charter

Project Sponsor: Substance Abuse and Mental Health Program Office

Project Team: The project team will include representatives of the following entities:

- Through the National Data Infrastructure Improvement Consortium (NDIIC) membership, the Department will be able to access NDIIC library of applications, including publicly owned or public domain software programs, which meet the State needs. Through this membership, NDIIC staff will provide the Department with free technical assistance regarding project planning, gap analysis and cost estimates, analysis of risks and benefits, and establishment of frameworks for implementation and deployment of the new system.
- The vendor of the new data system will be responsible for the configuration and installation of the new data system modules, annual maintenance and training, and system documentation.
- The Northwood Service Resource Center (NSRC) will be responsible for hosting the new system, including hardware and software.
- The Substance Abuse and Mental Health Program Office will be responsible for developing the business requirement specifications, conducting user acceptance testing, providing statewide training and ongoing user support.

Project Purpose: To acquire a well-established and well-tested Substance Abuse and Mental Health Information System (SAMHIS), that can be used by stakeholders to perform business functions at the local, state and federal levels. The purchase of an integrated system will allow for increased accountability for all stakeholders by providing better access to the data by state employees, community-based provider organizations, consumers, and family members. Cost avoidance will also be realized with invoice verification to manage prospective payment systems and the ability to

manage on the basis of costs and eligibility tracking for revenue maximization.

Project Timeframe: The department will issue a Request for Information (RFI) and a Request for Quote (RFQ) and follow the procedures for securing a vendor to acquire a well-established and well-tested Substance Abuse and Mental Health Information System (SAMHIS).

Activities	Duration	Timeline
1. Coordinate with NDIIC to develop and issue RFI/RFQ to select and acquire the most qualified SAMHIS vendor	2 months	07-01-2010 - 08-31-2010
2. Configure and new system data modules to reflect Florida's needs	6 months	09/01/2010 - 02/28/2011
3. Develop Florida's new specific data modules from the legacy system	6 months	09/01/2010 - 02/28/2011
4. Conduct User Acceptance Testing	2 months	03/01/2011 - 04/30/2011
5. Train system users and deploy system statewide	2 months	05/01/2011 - 06/30/2011

B. Work Breakdown Structure

Develop and issue RFI/RFP and select the most qualified vendor	07/01/2010 - 08/31/2010
Meet with selected SAMHIS vendor and conduct SAMHIS gap analysis	09/01/2010 - 09/31/2010
Acquire, configure and customize SAMHIS based on gap analysis	10/01/2010 - 02/28/2011
Test and pilot SAMHIS and provide training to system users	03/01/2011 - 05/30/2011
Deploy SAMHIS statewide	06/01/2011 - 06/30/2011

C. Resource Loaded Project Schedule

Project Schedule is minimally detailed until the status of resource availability is more clearly known and a gap analysis has been done to determine the WITS modules needed.

D. Project Budget – See Attachment V

DCF LBR Issue # 36310CO requests a total budget in the amount of \$2,427,702 to acquire the WITS system, gap analysis, enhancements, implementation, maintenance and support. This budget was estimated based on the survey of the twelve states and seven counties that currently use the WITS application.

NSRC LBR Issue # 36322CO requests a total budget in the amount of \$134,852 for hardware and software to host the WITS application in the DCF .NET/SQL Server Environment at the Northwood Shared Resource Center.

E. Project Organization

Information Systems will use current staffing with supplemental contract programming staff to customize the application as needed.

F. Project Quality Control

Existing formal and informal quality control processes and procedures will be followed during this activity, which will include customer testing and approval prior to implementation.

G. External Project Oversight

No external project oversight is required for this project.

H. Risk Management

Risk Description/Impact	Probability of Occurrence (high, medium, low)	Tolerance Level (high, medium, low)	Mitigation Strategy	Assigned Owner
1. Project is not funded	Department cannot proceed to implement efficiencies	Moderate	Get funding	Stephenie Colston
2. Project funded but not implemented timely	Efficiencies are delayed	Low	Develop & manage milestones & project schedule	NSRC
3. Project not managed effectively	Efficiencies are delayed	Low	Develop & manage milestones & project schedule	Denis Fouche

I. Organizational Change Management

NSRC will use current change management controls to ensure minimal impact to project.

J. Project Communication

NSRC will conduct technical walk-thrus of major milestone deliverables following ISDM standards to ensure communication and dissemination of information across all stakeholders and to facilitate a successful project implementation.

K. Special Authorization Requirements – No special authorization is required.

VII. Appendices

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

Attachment I – Cost Benefit Analysis Forms

Attachment II – Risk Assessment Tool

Attachment III = Capacity Plan

Attachment IV = Function Point Analysis

Attachment V = Budget Worksheets

CBAForm 1 - Net Tangible Benefits

Agency Children and FamiliesProject SAMHIS

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 (Operations Only -- No Project Costs)	FY 2010-11			FY 2011-12			FY 2012-13			FY 2013-14			FY 2014-15		
	(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) 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 -- Total FTE Costs (Salaries & Benefits)	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
A.b Total FTE	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
A-1.a. State FTEs (Salaries & Benefits)	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
A-1.b. State FTEs (# FTEs)	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
A-2.a. OPS FTEs (Salaries)	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
A-2.b. OPS FTEs (# FTEs)	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
A-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 Contract FTEs)	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
B. Data Processing -- Costs	\$0	\$0	\$0	\$0	\$15,567	\$15,567	\$0	\$15,567	\$15,567	\$0	\$15,567	\$15,567	\$0	\$15,567	\$15,567
B-1. Hardware	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
B-2. Software	\$0	\$0	\$0	\$0	\$15,567	\$15,567	\$0	\$15,567	\$15,567	\$0	\$15,567	\$15,567	\$0	\$15,567	\$15,567
B-3. Other	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
C. External Service Provider -- Costs	\$0	\$0	\$0	\$0	\$821,350	\$821,350	\$0	\$821,350	\$821,350	\$0	\$821,350	\$821,350	\$0	\$821,350	\$821,350
C-1. Consultant Services	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
C-2. Maintenance & Support Services	\$0	\$0	\$0	\$0	\$796,350	\$796,350	\$0	\$796,350	\$796,350	\$0	\$796,350	\$796,350	\$0	\$796,350	\$796,350
C-3. Network / Hosting Services	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
C-4. Data Communications Services	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
C-5. Other Annual membership fee	\$0	\$0	\$0	\$0	\$25,000	\$25,000	\$0	\$25,000	\$25,000	\$0	\$25,000	\$25,000	\$0	\$25,000	\$25,000
D. Plant & Facility -- Costs	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
E. Others -- 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 Operational Costs (Rows A through E)	\$0	\$0	\$0	\$0	\$836,917	\$836,917	\$0	\$836,917	\$836,917	\$0	\$836,917	\$836,917	\$0	\$836,917	\$836,917
F. Additional Tangible Benefits:		\$0			\$146,262,000			\$146,262,000			\$146,262,000			\$146,262,000	
F-1. Medicaid billable services		\$0			\$146,262,000			\$146,262,000			\$146,262,000			\$146,262,000	
F-2. Specify		\$0			\$0			\$0			\$0			\$0	
F-3. Specify		\$0			\$0			\$0			\$0			\$0	
Total Net Tangible Benefits:		\$0			\$145,425,083			\$145,425,083			\$145,425,083			\$145,425,083	

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

CBAForm 2 - Project Cost Analysis

Agency

Children and Families

Project

SAMHIS

PROJECT COST ELEMENTS	PROJECT COST TABLE -- CBAForm 2A					TOTAL
	FY 2010-11	FY 2011-12	FY 2012-13	FY 2013-14	FY 2014-15	
State FTEs (Salaries & Benefits)	\$0	\$0	\$0	\$0	\$0	\$0
OPS FTEs (Salaries)	\$0	\$0	\$0	\$0	\$0	\$0
Contractors (Costs)	\$0	\$0	\$0	\$0	\$0	\$0
Deliverables	\$2,427,702	\$821,350	\$821,350	\$821,350	\$821,350	\$5,713,102
Major Project Tasks	\$0	\$0	\$0	\$0	\$0	\$0
Hardware servers	\$51,419	\$0	\$0	\$0	\$0	\$51,419
COTS Software	\$52,881	\$15,567	\$15,567	\$15,567	\$15,567	\$115,149
Misc. Equipment disks & tape	\$30,552	\$0	\$0	\$0	\$0	\$30,552
Other Project Costs Specify	\$0	\$0	\$0	\$0	\$0	\$0
	\$0	\$0	\$0	\$0	\$0	\$0
TOTAL PROJECT COSTS (*)	\$2,562,554	\$836,917	\$836,917	\$836,917	\$836,917	\$5,910,222
CUMULATIVE PROJECT COSTS	\$2,562,554	\$3,399,471	\$4,236,388	\$5,073,305	\$5,910,222	
INVESTMENT SUMMARY						TOTAL
	FY 2010-11	FY 2011-12	FY 2012-13	FY 2013-14	FY 2014-15	
General Revenue	\$2,562,554	\$836,917	\$836,917	\$836,917	\$836,917	\$5,910,222
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 (*)	\$2,562,554	\$836,917	\$836,917	\$836,917	\$836,917	\$5,910,222
CUMULATIVE INVESTMENT (*)	\$2,562,554	\$3,399,471	\$4,236,388	\$5,073,305	\$5,910,222	

(*) Total Costs and Investments are carried forward to CBAForm3 Project Investment Summary worksheet.

Character of Project Costs Estimate - CBAForm 2B			
Choose Type		Estimate Confidence	Enter % (+/-)
Detailed/Rigorous	<input checked="" type="checkbox"/>	Confidence Level	
Order of Magnitude	<input type="checkbox"/>	Confidence Level	
Placeholder	<input type="checkbox"/>	Confidence Level	

CBAForm 3 - Project Investment Summary

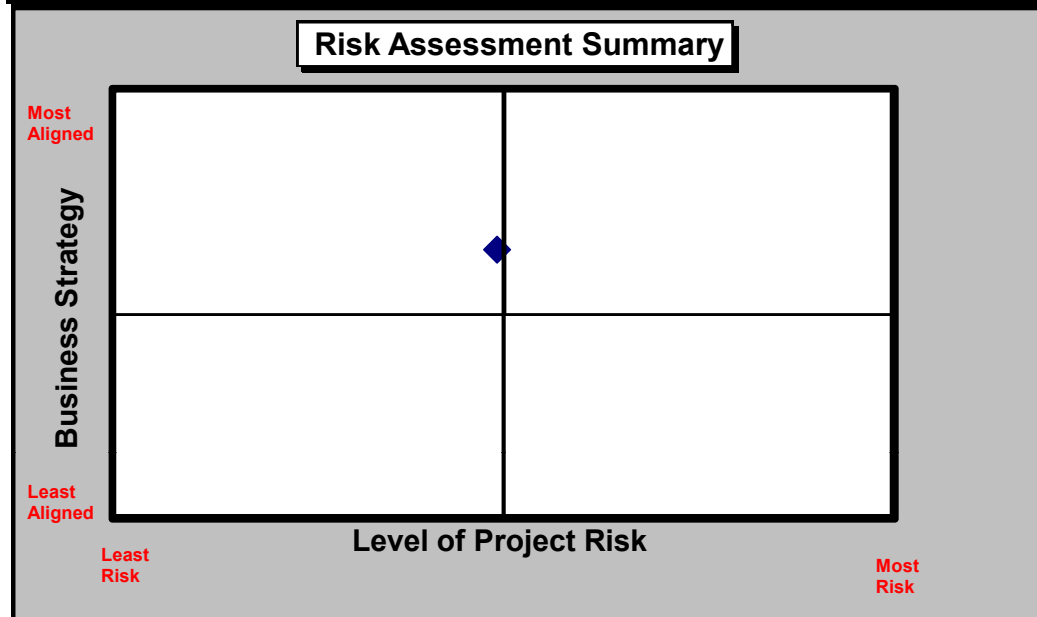
Agency	Children and Families	Project	SAMHIS
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COST BENEFIT ANALYSIS -- CBAForm 3A						
	FY 2010-11	FY 2011-12	FY 2012-13	FY 2013-14	FY 2014-15	TOTAL
Project Cost	\$2,562,554	\$836,917	\$836,917	\$836,917	\$836,917	\$5,910,222
Net Tangible Benefits	\$0	\$145,425,083	\$145,425,083	\$145,425,083	\$145,425,083	\$581,700,332
Return on Investment	(\$2,562,554)	\$144,588,166	\$144,588,166	\$144,588,166	\$144,588,166	\$575,790,110
Year to Year Change in Program Staffing	0	0	0	0	0	

RETURN ON INVESTMENT ANALYSIS -- CBAForm 3B		
Payback Period (years)	1	Payback Period is the time required to recover the investment costs of the project.
Breakeven Fiscal Year	2011-12	Fiscal Year during which the project's investment costs are recovered.
Net Present Value (NPV)	\$479,830,798	NPV is the present-day value of the project's benefits less costs over the project's lifecycle.
Internal Rate of Return (IRR)	5642.35%	IRR is the project's rate of return.

Treasurer's Investment Interest Earning Yield -- CBAForm 3C					
Fiscal Year	FY 2010-11	FY 2011-12	FY 2012-13	FY 2013-14	FY 2014-15
Cost of Capital	5.35%	5.38%	5.38%	5.38%	5.38%

Project	SAMHIS	
Agency	Children and Families	
FY 2010-11 LBR Issue Code:	FY 2010-11 LBR Issue Title:	
36310 CO	DCF SAMHIS	
Risk Assessment Contact Info (Name, Phone #, and E-mail Address):		
Lori Schultz, 487-8902, lori_schultz@dcf.state.fl.uw		
Executive Sponsor	Stephenie Colston	
Project Manager		
Prepared By	Sen-Yoni Musingo	9/11/2009



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

Agency: Children and Families

Project: SAMHIS

Section 1 -- Strategic Area			
#	Criteria	Values	Answer
1.01	Are project objectives clearly aligned with the agency's legal mission?	0% to 40% -- Few or no objectives aligned	81% to 100% -- All or nearly all objectives aligned
		41% to 80% -- Some objectives aligned	
		81% to 100% -- All or nearly all objectives aligned	
1.02	Are project objectives clearly documented and understood by all stakeholder groups?	Not documented or agreed to by stakeholders	Informal agreement by stakeholders
		Informal agreement by stakeholders	
		Documented with sign-off by stakeholders	
1.03	Are the project sponsor, senior management, and other executive stakeholders actively involved in meetings for the review and success of the project?	Not or rarely involved	Project charter signed by executive sponsor and executive team actively engaged in steering committee meetings
		Most regularly attend executive steering committee meetings	
		Project charter signed by executive sponsor and executive team actively engaged in steering committee meetings	
1.04	Has the agency documented its vision for how changes to the proposed technology will improve its business processes?	Vision is not documented	Vision is completely documented
		Vision is partially documented	
		Vision is completely documented	
1.05	Have all project business/program area requirements, assumptions, constraints, and priorities been defined and documented?	0% to 40% -- Few or none defined and documented	81% to 100% -- All or nearly all defined and documented
		41% to 80% -- Some defined and documented	
		81% to 100% -- All or nearly all defined and documented	
1.06	Are all needed changes in law, rule, or policy identified and documented?	No changes needed	No changes needed
		Changes unknown	
		Changes are identified in concept only	
		Changes are identified and documented	
		Legislation or proposed rule change is drafted	
1.07	Are any project phase or milestone completion dates fixed by outside factors, e.g., state or federal law or funding restrictions?	Few or none	Few or none
		Some	
		All or nearly all	
1.08	What is the external (e.g. public) visibility of the proposed system or project?	Minimal or no external use or visibility	Extensive external use or visibility
		Moderate external use or visibility	
		Extensive external use or visibility	
1.09	What is the internal (e.g. state agency) visibility of the proposed system or project?	Multiple agency or state enterprise visibility	Use or visibility at division and/or bureau level only
		Single agency-wide use or visibility	
		Use or visibility at division and/or bureau level only	
1.10	Is this a multi-year project?	Greater than 5 years	1 year or less
		Between 3 and 5 years	
		Between 1 and 3 years	
		1 year or less	

Agency: Children and Families

Project: SAMHIS

Section 2 -- Technology Area			
#	Criteria	Values	Answer
2.01	Does the agency have experience working with, operating, and supporting the proposed technology in a production environment?	Read about only or attended conference and/or vendor presentation	Installed and supported production system more than 3 years
		Supported prototype or production system less than 6 months	
		Supported production system 6 months to 12 months	
		Supported production system 1 year to 3 years	
		Installed and supported production system more than 3 years	
2.02	Does the agency's internal staff have sufficient knowledge of the proposed technology to implement and operate the new system?	External technical resources will be needed for implementation and operations	Internal resources have sufficient knowledge for implementation and operations
		External technical resources will be needed through implementation only	
		Internal resources have sufficient knowledge for implementation and operations	
2.03	Have all relevant technology alternatives/ solution options been researched, documented and considered?	No technology alternatives researched	All or nearly all alternatives documented and considered
		Some alternatives documented and considered	
		All or nearly all alternatives documented and considered	
2.04	Does the proposed technology comply with all relevant agency, statewide, or industry technology standards?	No relevant standards have been identified or incorporated into proposed technology	Proposed technology solution is fully compliant with all relevant agency, statewide, or industry standards
		Some relevant standards have been incorporated into the proposed technology	
		Proposed technology solution is fully compliant with all relevant agency, statewide, or industry standards	
2.05	Does the proposed technology require significant change to the agency's existing technology infrastructure?	Minor or no infrastructure change required	Moderate infrastructure change required
		Moderate infrastructure change required	
		Extensive infrastructure change required	
		Complete infrastructure replacement	
2.06	Are detailed hardware and software capacity requirements defined and documented?	Capacity requirements are not understood or defined	Capacity requirements are based on historical data and new system design specifications and performance requirements
		Capacity requirements are defined only at a conceptual level	
		Capacity requirements are based on historical data and new system design specifications and performance requirements	

Agency: Children and Families

Project: SAMHIS

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

Agency: Agency Name

Project: Project Name

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

Agency: Children and Families

Project: SAMHIS

Section 5 -- Fiscal Area			
#	Criteria	Values	Answer
5.01	Has a documented Spending Plan been approved for the entire project lifecycle?	Yes No	No
5.02	Have all project expenditures been identified in the Spending Plan?	0% to 40% -- None or few defined and documented 41% to 80% -- Some defined and documented 81% to 100% -- All or nearly all defined and documented	81% to 100% -- All or nearly all defined and documented
5.03	What is the estimated total cost of this project over its entire lifecycle?	Unknown Greater than \$10 M Between \$2 M and \$10 M Between \$500K and \$1,999,999 Less than \$500 K	Between \$2 M and \$10 M
5.04	Is the cost estimate for this project based on quantitative analysis using a standards-based estimation model?	Yes No	Yes
5.05	What is the character of the cost estimates for this project?	Detailed and rigorous (accurate within $\pm 10\%$) Order of magnitude – estimate could vary between 10-100% Placeholder – actual cost may exceed estimate by more than 100%	Detailed and rigorous (accurate within $\pm 10\%$)
5.06	Are funds available within existing agency resources to complete this project?	Yes No	No
5.07	Will/should multiple state or local agencies help fund this project or system?	Funding from single agency Funding from local government agencies Funding from other state agencies	Funding from single agency
5.08	If federal financial participation is anticipated as a source of funding, has federal approval been requested and received?	Neither requested nor received Requested but not received Requested and received Not applicable	Not applicable
5.09	Have all tangible and intangible benefits been identified and validated as reliable and achievable?	Project benefits have not been identified or validated Some project benefits have been identified but not validated Most project benefits have been identified but not validated All or nearly all project benefits have been identified and validated	All or nearly all project benefits have been identified and validated
5.10	What is the benefit payback period that is defined and documented?	Within 1 year Within 3 years Within 5 years More than 5 years No payback	No payback
5.11	Has the project procurement strategy been clearly determined and agreed to by affected stakeholders?	Procurement strategy has not been identified and documented Stakeholders have not been consulted re: procurement strategy Stakeholders have reviewed and approved the proposed procurement strategy	Stakeholders have reviewed and approved the proposed procurement strategy
5.12	What is the planned approach for acquiring necessary products and solution services to successfully complete the project?	Time and Expense (T&E) Firm Fixed Price (FFP) Combination FFP and T&E	Combination FFP and T&E

Agency: Children and Families

Project: SAMHIS

Section 5 -- Fiscal Area			
#	Criteria	Values	Answer
5.13	What is the planned approach for procuring hardware and software for the project?	Timing of major hardware and software purchases has not yet been determined	Just-in-time purchasing of hardware and software is documented in the project schedule
		Purchase all hardware and software at start of project to take advantage of one-time discounts	
		Just-in-time purchasing of hardware and software is documented in the project schedule	
5.14	Has a contract manager been assigned to this project?	No contract manager assigned	Contract manager assigned is not the procurement manager or the project manager
		Contract manager is the procurement manager	
		Contract manager is the project manager	
		Contract manager assigned is not the procurement manager or the project manager	
5.15	Has equipment leasing been considered for the project's large-scale computing purchases?	Yes	Yes
		No	
5.16	Have all procurement selection criteria and outcomes been clearly identified?	No selection criteria or outcomes have been identified	All or nearly all selection criteria and expected outcomes have been defined and documented
		Some selection criteria and outcomes have been defined and documented	
		All or nearly all selection criteria and expected outcomes have been defined and documented	
5.17	Does the procurement strategy use a multi-stage evaluation process to progressively narrow the field of prospective vendors to the single, best qualified candidate?	Procurement strategy has not been developed	Multi-stage evaluation and proof of concept or prototype planned/used to select best qualified vendor
		Multi-stage evaluation not planned/used for procurement	
		Multi-stage evaluation and proof of concept or prototype planned/used to select best qualified vendor	
5.18	For projects with total cost exceeding \$10 million, did/will the procurement strategy require a proof of concept or prototype as part of the bid response?	Procurement strategy has not been developed	Not applicable
		No, bid response did/will not require proof of concept or prototype	
		Yes, bid response did/will include proof of concept or prototype	
		Not applicable	

Agency: Children and Families

Project: SAMHIS

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

Agency: Children and Families

Project: SAMHIS

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

Agency: Children and Families

Project: SAMHIS

Section 7 -- Project Management Area			
#	Criteria	Values	Answer
7.11	Does the project schedule specify all project tasks, go/no-go decision points (checkpoints), critical milestones, and resources?	Yes	No
		No	
7.12	Are formal project status reporting processes documented and in place to manage and control this project?	No or informal processes are used for status reporting	Project team uses formal processes
		Project team uses formal processes	
		Project team and executive steering committee use formal status reporting processes	
7.13	Are all necessary planning and reporting templates, e.g., work plans, status reports, issues and risk management, available?	No templates are available	Some templates are available
		Some templates are available	
		All planning and reporting templates are available	
7.14	Has a documented Risk Management Plan been approved for this project?	Yes	No
		No	
7.15	Have all known project risks and corresponding mitigation strategies been identified?	None or few have been defined and documented	Some have been defined and documented
		Some have been defined and documented	
		All known risks and mitigation strategies have been defined	
7.16	Are standard change request, review and approval processes documented and in place for this project?	Yes	No
		No	
7.17	Are issue reporting and management processes documented and in place for this project?	Yes	No
		No	

Agency: Children and Families

Project: SAMHIS

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

DEPARTMENT OF CHILDREN & FAMILIES]

FISCAL YEAR 2010-2011

CAPACITY PLAN

FOR

SUBSTANCE ABUSE AND MENTAL HEALTH

INFORMATION SYSTEM



PREPARED FOR THE
TECHNOLOGY REVIEW WORKGROUP

PREPARED SEPTEMBER 2009

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CAPACITY PLAN FOR SAMHIS

SUMMARY AND INTRODUCTION

SAMH is the Department's current application system that will be replaced by the proposed application solution contained in SAMHIS D3A. The SAMH application is JAVA based using two TOMCAT instances as the Application Server and Oracle 10g as the database. All components of the current application reside on a HP Proliant DL585 Quad Dual-Core server with redundant paths to a Highly Scalable Storage Area Network.

The proposed Web Infrastructure Treatment Services System is designed to run on Microsoft Windows Application servers and Microsoft SQL Server database servers. The migration of the existing data to the new system will be approximately the same size. The anticipated growth of the new system is estimated to be 40% per year. The current system has been growing at a 20% per year rate and with the anticipated increased utilization of the new system we are estimating the growth rate will double.

The SAMH system is in a shared resource environment hosting multiple Oracle databases and several Tomcat application server instances. The proposed solution would not be viable to run in this shared environment due to operating system differences. The proposed solution requires a .Net application server front-end and a SQL server back-end environment.

The SAMH application environment currently experiences problems when Institutions try to load or extract large volumes of data. At times this hardware becomes CPU and I/O bound due to the contention of the multiple applications and databases resident on this hardware.

At the federal level, the current system is not fully designed to collect, analyze and report all the data pertaining to the National Outcome Measures (NOMs), which are mandated by the Substance Abuse and Mental Health Services Administration (SAMHSA) as part of the Federal Block Grant data requirements.

At the state and local levels, the current system does not have adequate infrastructure (hardware and software) that can be used by consumers, family members, providers and other stakeholders to access standard and ad hoc reports needed for various decision-making purposes.

We have not completed a previous capacity plan for this equipment and application environment.

I. Scope of the Plan

This capacity plan addresses the following IT services:

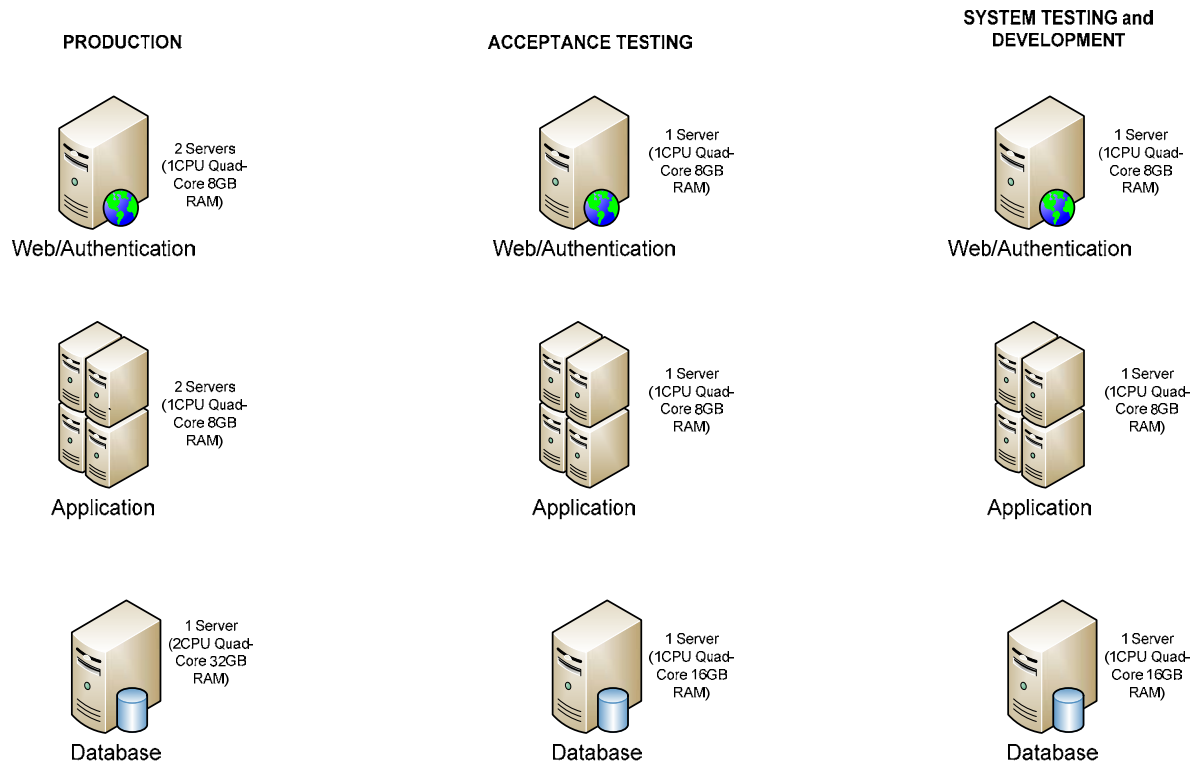
- SAMH Application
- SAMH database

This capacity plan addresses the following equipment:

Equipment (Brand name & model)	Quantity	Original Purchase Date	Replacement Cycle
HP DL585 4CPU dual-core (current environment)	1	06/2007	06/2012
2 cpu quad-core database server production 32 gig memory (proposed)	1		5 years
1 cpu quad-core blade production application servers 8 gig memory (proposed) (2 for app, 2 for authentication)	4		5 years
Storage Area Network Disk minimum 5 TB raid 5 (proposed)	1		5 years
1 cpu quad-core blade acceptance database server 16 gig memory (proposed)	1		5 years
1 cpu quad-core blade acceptance application servers 8 gig memory (proposed) (1 for app, 1 for authentication)	2		5 years
1 cpu quad-core blade system test/development database server 16 gig memory (proposed)	1		5 years
1 cpu quad-core blade system test/development application servers 8 gig memory (proposed) (1 for app, 1 for authentication)	2		5 years

II. Proposed Architecture Diagram

Web Infrastructure Treatment Services for Substance Abuse & Mental Health Proposed Architecture



III. Methods Used

The agency used the following methods to obtain the information provided in this capacity plan:

A. Method 1

The capacity plan was created through analysis of current SAMH application resource utilization reports.

B. Method 2

Information gathered during planning discussions with proposed system development team that supports these systems for several other states.

IV. Assumptions & Constraints

The information in this capacity plan is based on the following assumptions:

A. Assumption 1

Information Systems best business practices for application production deployment are that we separate our production environments where possible from non-production hardware. This practice minimizes our exposure to software failures that can be introduced by system level software and application software deployments. Additionally this configuration provides a more controlled production environment.

B. Assumption 2

Information Systems best business practices also include that hardware is best tailored to specific utilization. We currently architect our application environments by separating our application and database environments over two different physical servers utilizing a “best of breed” approach. Application servers can be smaller and fail over redundancy can be accommodated by multiple small servers. Database servers generally work harder and have more cpu’s and memory.

C. Assumption 3

Information Systems utilizes SAN technology relying on Storage Area networks rather than internal disk for new servers. This minimizes the amount of administrative overhead.

The information in this capacity plan is based on the following constraints:

A. Constraint 1

Additional funding will be required in the future for implementation of system changes due to any new data requirements by stakeholders.

B. Constraint 2

Constraint 2 description

V. Business Scenarios

A Substance Abuse and Mental Health Information System (SAMHIS)), which can be used by stakeholders to perform business functions at the local, state and federal levels is needed. The purchase of an integrated Substance Abuse and Mental Health Information System will allow for increased accountability for all stakeholders by providing better access to the data by state, district, community-based provider organizations, consumers, and family members. Cost avoidance will also be realized with invoice verification to manage prospective payment systems and the ability to manage on the basis of costs and eligibility tracking for revenue maximization.

VI. Service Capacity Summary

A. Current and Recent Service Provision

Current database capacity by region:

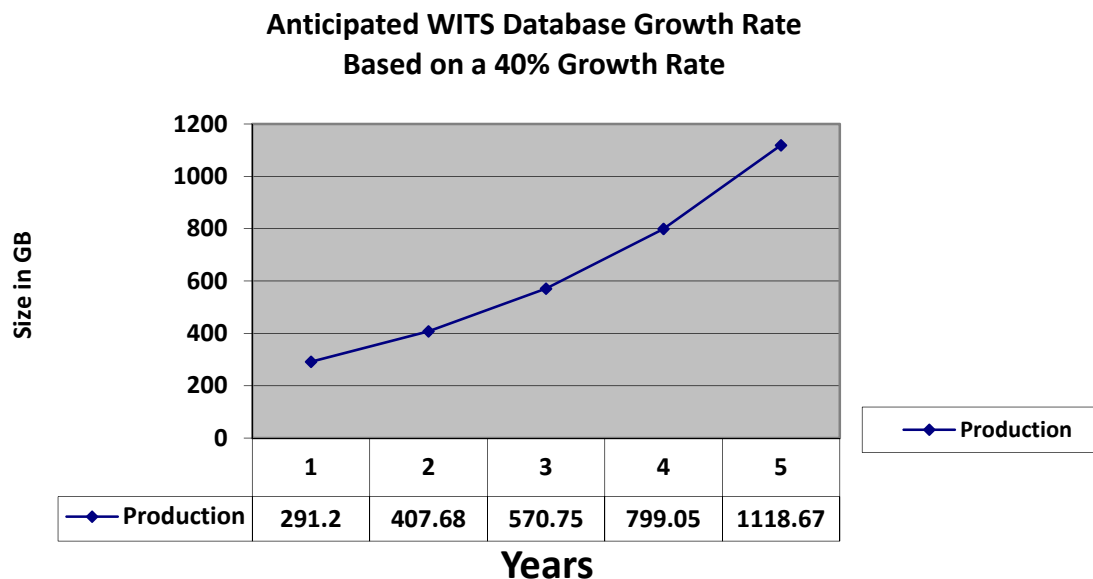
SAMH Production 208 Gig

SAMH Acceptance 8 Gig

SAMH Development 44 Gig

B. Capacity Forecasts

Short term trends indicate that the current database storage is increasing approximately 20 percent per year. The proposed WITS system could produce a 40 percent year growth rate based on increased utilization. See the chart below for anticipated growth rates based on 40 percent per year with a starting point of the current SAMH database size.



VII. Resource Capacity Summary

A. Current and Recent Resource Usage

The current platform and SAMH application system has not been the subject of a detailed capacity and utilization study.

B. Resource Forecasts

The resources identified in Section II were identified to resolve the identified Business problems within the Substance Abuse and Mental Health Program offices. These identified problems can be resolved with the purchase of an integrated well-established and well-tested Substance Abuse and Mental Health Information System that is hosted on a current hardware platform tailored to application and database deployment following Department “best business” practices.

VIII. Opportunities for Improvement

Maintaining the current environment will not provide an adequate hardware, software and application configuration that will meet the stated Mental Health and Substance Abuse business problems.

The proposed solution is to use the Request for Information (RFI) and Request for Proposal (RFP) processes to select a qualified vendor of a well-established and well-tested Substance Abuse and Mental Health Information System (SAMHIS) that will be used by stakeholders as needed to resolve the above business problems at the local, state and federal levels. The SAMHIS vendor would be responsible for customization, configuration, and installation of the new system using the Department's .NET/SQL Server environment. This includes the gap analysis, conversion and migration of the legacy data, and initial users training. Once the new system is customized, configured, and installed, the Department will be responsible for ongoing system operation and maintenance.

The hardware resource model Information Systems utilized for architecting this issue takes advantage of industry trends in server and SAN technology as well as architecting an environment that will protect and safeguard the production environment with fail over and redundancy. The hardware will have limited to no single point of failure technology, including the capability to host the Production database server on the Development and Acceptance server in the case of a catastrophic hardware failure.

The unknown effective utilization of the proposed system does not lend for drastic reduction in initial procurement costs. This solution does incorporate several options for reallocating hardware to the production region if needed and making virtualized server environments of the physical acceptance and system test environments.

Cost

DCF LBR Issue # 36310CO requests a total budget in the amount of \$2,427,702 to acquire the WITS system, gap analysis, enhancements, implementation, maintenance and support. This budget was estimated based on the survey of the twelve states and seven counties that currently use the WITS application.

NSRC LBR Issue # 36322CO requests a total budget in the amount of \$134,852 for hardware and software to host this application in the DCF .NET/SQL Server Environment at the Northwood Shared Resource Center.

	REQUEST FY 2009-10	NONRECURRING FY 2009-10
COMPUTER RELATED EXPENSES		
HARDWARE:		
Three (3) Database Servers	\$ 21,427	\$ 21,427
One (1) Production Server	\$13,553	
2 Processors, 32GB RAM,		
Two (2) Acceptance/Development Servers	\$ 7,874	
\$3,937 each, 1 Processor, 16GB RAM		
Eight (8) Web/Application Servers	\$ 29,992	\$ 29,992
Four (4) Production Servers	\$14,996	
\$3,749 each, 1 Processor, 8GB RAM		
Two (2) Acceptance Servers	\$ 7,498	
\$3,749 each, 1 Processor, 8GB RAM		
Two (2) Dev/System Test Servers	\$ 7,498	
\$3,749 each, 1 Processor, 8GB RAM		
Twenty-four (24) Disk	\$ 24,552	\$ 24,552
Sixteen (16) Production Disk	\$16,368	
\$1,023 each, 300GB SAN		
Four (4) Acceptance Disk	\$ 4,092	
\$1,023 each, 300GB SAN		
Four Dev/System Test Disk	\$ 4,092	
\$1,023 each, 300GB, SAN		
Two Hundred (200) Tapes	\$ 6,000	\$ 6,000
\$30.00 each, All Systems Tape Cartridges		
For Enterprise Tape Library Backup System		
SOFTWARE:		
Three (3) OS Windows Server 2008 Enterprise	\$ 8,766	\$ 5,904
@ \$2,922.14 each		
Eight (8) OS Windows Server 2008 Standard	\$ 5,762	\$ 4,562
@ \$720.28 each		
Four (4) SQL Server Standard Edition	\$ 29,645	\$ 20,752
@\$7,411.22 each		
Eleven (11) Management license	\$ 8,708	\$ 6,096
@\$791.66 each (provides monitoring, config, backup)		
Total	\$134,852	\$119,285

IX. Recommendations

The Department requests funds for FY 2008-2009 to acquire a well-established and well-tested Substance Abuse and Mental Health Information System (SAMHIS), which can be used by stakeholders to perform business functions at the local, state and federal levels. The purchase of an integrated Substance Abuse and Mental Health Information System will allow for increased accountability for all stakeholders by providing better access to the data by state, district, community-based provider organizations, consumers, and family members. Cost avoidance will also be realized with invoice verification to manage prospective payment systems and the ability to manage on the basis of costs and eligibility tracking for revenue maximization.

IMPACT OF NOT FUNDING: The lack of funding for this issue will impact the federal, state and local data reporting requirements as follows:

1. At the federal level, the current system is not fully designed to collect, analyze and report all the data pertaining to the National Outcome Measures (NOMs), which are mandated by the Substance Abuse and Mental Health Services Administration (SAMHSA) as part of the Federal Block Grant data requirements.
2. At the state and local levels, the current system does not have adequate infrastructure (hardware and software) that can be used by consumers, family members, providers and other stakeholders to access standard and ad hoc reports needed for various decision-making purposes.

Function Point Analysis for SAMHIS and Build v. Buy Cost Comparison

Attachment IV

The purpose of the following charts is to show estimates of what it would cost to construct the system that the Department proposes to purchase. The estimates are based on function points needed to construct the system.

RFI Requirements	Files/Function Points	Requested Functionality
Provider Facility Management	Demographics/30 points	Agency Profiles
	Sites (hours, programs), licensure/30 points	Provider Site Information
		Hours of Operation
		Service Capacities
	Total = 60 points	Specialty Programs
		Professional Licensure, Certifications
		Accreditations
Human Resources Management	Who/30 points	Staff Member Profiles (Basic Demographic information;
	Availability/40 points	Days and Hours of Operation
		Contact information
		Fee Structure
		Medicaid / Medicare participation
		Schedule availability
		Employment / Affiliation status
		Licensure / Education information
		Expertise

Function Point Analysis for SAMHIS and Build v. Buy Cost Comparison

RFI Requirements	Files/Function Points	Requested Functionality
	Total = 70 points	Insurance coverage)
Financial Management	Allocation/40 points	Contract-level information (revenues by funding source, program area and cost center)
	Expenditures/40 points	
	Revenues/40 points	Contract-level information (expenses by category, program area and cost center)
	Total = 120 points	
Contract Management	Budget/30 points	Contract-level information (Contracted for services & rates;
	Performance Expectations/30 points	Contracted for budget amounts;
	Units purchased/30 points	Contracted for effective & expiration dates;
		Targets per performance measure/indicator).
	Total = 90 points	
Federal Grants Management	What service/30 points	Access to Recovery (ATR) Voucher system, including ATR interview information;
	When/30 points	ATR Services needed & received by consumer;
	How much/30 points	ATR Amount of money encumbered and spent;
	Services table/40 points	Drug and Alcohol Services Information System (DASIS) data related to Treatment Episode Data System (TEDS) and State Outcomes Measurement and Management System (SOMMS).

Function Point Analysis for SAMHIS and Build v. Buy Cost Comparison

RFI Requirements	Files/Function Points	Requested Functionality
	Total = 130 points	National Outcome Measures (NOMS) for Substance Abuse Treatment
		National Outcome Measures for Substance Abuse Prevention
		National Outcome Measures for Mental Health
		Uniform Reporting System Data for Mental Health Block Grant
Electronic Medical Record (EMR) Management	Demographic/30 points	Evaluation and diagnosis
	Needs/30 points	Multi-disciplinary team planning and personal outcomes
	Service Plan/40 points	Consumer's and family members' feedback
	Medication management/30 points	Medication management
	Emergency contact/30 points	Emergency care information
	Incident status/30 points	Incident reports including restraint, seclusion, and vitals management
	Court orders and legal status/60 points	Court-ordered data and notification information of guardianship, court contacts, and duty-to-protect contacts
	Process notes/60 points	Legal assignments including legal status, criminal charges, and guardianship type
	Total = 310 points	Progress notes and electronic signatures

Function Point Analysis for SAMHIS and Build v. Buy Cost Comparison

RFI Requirements	Files/Function Points	Requested Functionality
Managed Care Coordination	Files already created in other functional modules; no additional function points	Utilization management (payment authorization, claims payment, (re)certifications, tracking authorized visits and procedures, monitoring of treatment and outcomes)
		Physician/clinician review and credentials verification
		Quality assurance including user-defined diagnostic categories, user-defined clinical events, individual-level core treatment outcomes, and individual-level performance standards
		Evidence-based practices (EBP) and clinical practice guidelines
		Case management, including information needed by consumers, family members and service providers
		Eligibility information including information related to insurance plans and benefits. Current roster of individuals eligible for coverage under various plans. Use of HIPAA electronic transactions for: healthcare eligibility benefit inquiry and response; benefit enrollment and disenrollment in health plans; and, health care services review, all using the applicable HIPAA ASC X12N standard.
		Waiting Lists, including pre-admission data for individuals receiving services or candidates for such services.
		Community needs assessment for consumers referred from community provider agencies to state mental health treatment facilities and vice versa.

Function Point Analysis for SAMHIS and Build v. Buy Cost Comparison

RFI Requirements	Files/Function Points	Requested Functionality
Service Scheduling and Reporting	Scheduling (appointments)/40 points Outcomes/40 points	Scheduling and tracking appointments for staff and clients
		Tracking service events/encounters, including recipients, providers, procedures, dates and times, service units, and other service data elements, as needed.
		Tracking non-direct service time of staff, e.g., attendance, meetings, vacation, sick leave, etc.
		Maintenance of rate schedules associated with various funding sources.
Total = 80 points		
Claims Processing and Payment	Eligible plans and rates/60 points	Maintenance of insurance plans
	Invoice generation/60 points	Determination of consumer eligibility status and billable services and payers.
	Payment processing/60 points	Pro-ration of uninsured bill portions and billing and re-billing for unpaid or partially-paid for by third-party insurance.
		Tracking of invoice payments with outstanding balances
		Determination of provider status at time of service

Function Point Analysis for SAMHIS and Build v. Buy Cost Comparison

RFI Requirements	Files/Function Points	Requested Functionality
		Maintenance of fee schedule for payment of services
		Review authorization of payment for service rendered by referencing authorized service levels.
		Coordination of benefits by referencing eligibility files and records of alternative coverage.
	Total = 180 points	
State Performance Measurement and Management	Files already created in other functional modules; no additional function points	Collection and reporting of data not captured elsewhere but required in the DCF Dashboard.

Function Point Analysis for SAMHIS and Build v. Buy Cost Comparison

Module	Total Function Points for Construction
Provider Facility Management	60
Human Resources Management	70
Financial Management	120
Contract Management	90
Federal Grants Management	130
Electronic Medical Record (EMR) Management	310
Managed Care Coordination	0
Service Scheduling and Reporting	80
Claims Processing and Payment	180
State Performance Measurement and Management	0
Total	1040 function points X 20 hours/function point = 20,800 hours for construction

Function Point Analysis for SAMHIS and Build v. Buy Cost Comparison

Construction Cost Estimate for Building Required Functionality			
Phase	Information Systems Time	Customer Time	Total Cost
Planning and Analysis	3,120 hours (15% of total construction hours)	12,480 (4 hours for every IS hour)	
Construction	20,800 hours (1040 function points X 20 hours/function points)	0	
Acceptance Testing	2,080 hours (10% of total construction hours)	8,320 (4 hours for every IS hour)	
Deployment	3,120 hours (15% of total construction hours)	6,240 (2 hours for every IS hour)	
Development Cost Totals	29,220 hours X \$100/hour = \$2,922,000	27,040 hours X \$50/hour = \$1,352,000	\$4,274,000
Hardware Needed for Construction			\$ 500,000
<i>TOTAL COST TO CONSTRUCT</i>			\$4,774,000
<i>TOTAL COST TO BUY</i>			\$1,396,000

Project Costs for SAMHIS												
Produced			For Children and Families				By Glenda Jenks		FY 2010-11			
PROJECT BUDGET WORKSHEET 1 (Captures All Major Direct & Indirect Costs associated with Development, Implementation, and Transition)												
Project Cost \ Quarter	Jul-Sep Planned	Jul-Sep Actual	Oct-Dec Planned	Oct-Dec Actual	Jan-March Planned	Jan-March Actual	April-June Planned	April-June Actual	Budget to Date	Actual to Date	Variance to Date	
State Staff												
# FTEs	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0	\$0	\$0	\$0
Subcontractors												
# FTEs	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0	\$0	\$0	\$0
Hardware												
Item 1	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0	\$0	\$0	\$0
Item 2	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0	\$0	\$0	\$0
Software												
Item 1	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0	\$0	\$0	\$0
Item 2	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0	\$0	\$0	\$0
Misc Equipment												
Item 1	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0	\$0	\$0	\$0
Item 2	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0	\$0	\$0	\$0
Other Costs												
Item 1 - fixed price contract	\$25,000.00	\$0.00	\$663,352.00	\$0.00	\$845,000.00	\$0.00	\$159,500.00	\$0.00	\$1,692,852	\$0	\$1,692,852	\$0
Item 2	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0	\$0	\$0	\$0
Total Costs	\$25,000	\$0	\$663,352	\$0	\$845,000	\$0	\$159,500	\$0	\$1,692,852	\$0	\$1,692,852	\$0
Progress Payments									\$0	\$0	\$0	\$0

Project Costs for SAMHIS												
Produced R 0.00				For Children and Families			By Glenda Jenks			FY 2010-11		
PROJECT BUDGET WORKSHEET 2 - OPERATIONAL COST IMPACT (INCURRED AFTER PROJECT IMPLEMENTATION and / or PRO-RATED IF PHASED ROLLOUT)												
	FY 2010-11			FY 2011-12			FY 2012-13			FY 2013-14		
	(a) Current	(b) Project	(c) = (b)-(a) Incremental Effect of Project	(a) Current	(b) Project	(c) = (b)-(a) Incremental Effect of Project	(a) Current	(b) Project	(c) = (b)-(a) Incremental Effect of Project	(a) Current	(b) Project	(c) = (b)-(a) Incremental Effect of Project
OPERATIONAL COSTS												
Salaries and Wages	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Pensions and Benefits	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Other Personal Services	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Consulting	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Hardware	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Software	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Data Processing	\$0	\$734,850	\$734,850	\$0	\$821,350	\$821,350	\$0	\$821,350	\$821,350	\$0	\$821,350	\$821,350
Data Processing Supplies	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Data Processing Communications	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Training	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Travel	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
TOTAL OPERATIONAL COSTS	\$0	\$734,850	\$734,850	\$0	\$821,350	\$821,350	\$0	\$821,350	\$821,350	\$0	\$821,350	\$821,350
FTE	0	0	0	0	0	0	0	0	0	0	0	0

NORTHWOOD SHARED RESOURCE CENTER

SCHEDULE IV-B FOR NSRC INFRASTRUCTURE FOR FISCAL YEAR 2010-11



State of Florida

The Florida Legislature

Governor's Office of Policy and Budget


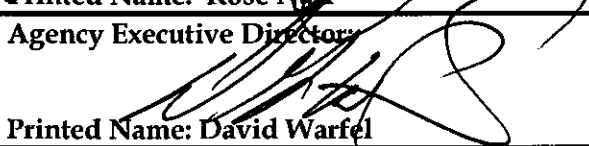

October 8, 2009

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**FY 2010-11 SCHEDULE IV-B FEASIBILITY STUDY FOR
NSRC INFRASTRUCTURE**

I. Schedule IV-B Cover Sheet

Schedule IV-B Cover Sheet and Agency Project Approval	
Agency: Northwood Shared Resource Center	Schedule IV-B Submission Date: October 8, 2009
Project Name: NSRC Infrastructure Enhancements	Is this project included in the Agency's LRPP? <u> X </u> Yes
FY 2010-11 LBR Issue Code: 36218CO	FY 2010-11 LBR Issue Title: Northwood Shared Resource Center Infrastructure Enhancements
Agency Contact for Schedule IV-B: Lori Schultz (850) 487-8902 lori_schultz@dcf.state.fl.us	
AGENCY APPROVAL SIGNATURES	
I am submitting the attached Schedule IV-B in support of our legislative budget request. I have reviewed the estimated costs and benefits documented in the Schedule IV-B and believe the proposed solution can be delivered within the estimated time for the estimated costs to achieve the described benefits. I agree with the information in the attached Schedule IV-B.	
Agency Board of Trustees Chair:  Printed Name: Rose Naff	Date: 10-8-09
Agency Executive Director:  Printed Name: David Warfel	Date: 10/8/2009
Budget Officer: N/A	Date:
Printed Name:	
Planning Officer: N/A	Date:
Printed Name:	
Project Sponsor:  Printed Name: David Warfel, NSRC Executive Director	Date: 10/8/2009
Feedback by B Preparation for Schedule IV-B	
Business Need:	Larry Kenyon (850) 921-2237
Cost Benefit Analysis:	Larry Kenyon (850) 921-2237
Risk Analysis:	Larry Kenyon (850) 921-2237
Technology Planning:	Ken Tomkinson (850)-414-2464
Project Planning:	Ken Tomkinson (850)-414-2464

II. Schedule IV-B Business Case

Business Case Section		\$2 - 10 M		> \$10 M
		Routine upgrades & infrastructure	Business or organizational change	
Background and Strategic Needs Assessment	\$1-1.99M		X	X
Baseline Analysis			X	X
Proposed Business Process Requirements			X	X
Cost Benefit Analysis		X	X	X

A. Background and Strategic Needs Assessment

1. Agency Program(s)/Service(s) Environment

As part of the Data Center Consolidation project the Northwood Shared Resource Center (NSRC) is requesting infrastructure enhancements to facilitate the integration of existing resources of the NSRC with the incoming resources from the various agencies. These infrastructure enhancements will allow the NSRC to comply with Chapter 2008, 116 Laws of Florida (SB 1892). These funds will be used to replace aging hardware, procure additional operating system licenses, procure monitoring software and virtual server software, purchase a Disk-Disk-Tape backup solution, upgrade capacity, provide redundancy and increase availability of the tape storage environment.

2. Business Objectives

The NSRC plans to implement a five year hardware replacement policy with all new purchases including a five year warranty agreement. This policy will keep hardware current and avoid managing maintenance contracts. The following resources need to be procured to start this policy.

- Servers – the NSRC will have approximately forty servers that will be over five years old during the 2010/2011 fiscal year. Only a portion of those will be covered under the virtualization strategy. The remaining ten servers are heavyweight database servers, other enterprise servers, or actual Virtual Host servers that need to be replaced.

- Storage – the NSRC will have approximately 60TB of Tier2 storage and 40TB of Tier3 storage that will be over five years old and under costly maintenance contract that need to be replaced.

The NSRC has and will acquire many systems that have various operating system versions. There is a need to procure additional licenses that will allow all operating systems to be standardized and kept current. This will provide an environment that is easier to maintain, support, and provide the best opportunity for the datacenter to provide un-interrupted service to its customers.

The NSRC currently has three monitoring solutions of which two are unsupported freeware. This will require extra overhead to manage several systems and even more problems in keeping the customers of the datacenter informed of system outages. The NSRC will need to consolidate all of these various systems into one uniform service management based monitoring solution that adds the ability to track performance,

capacity, and problems.

The NSRC has a strong server virtualization strategy and is in need of virtual server management software to make it even stronger. This software will allow the datacenter to continuously monitor server activity to plan which servers are candidates for virtualization, which servers are performing well as virtual servers, and identify which servers are not working well in a virtual environment. This software will also provide the tools needed to migrate servers from physical to virtual, virtual to virtual, and virtual back to physical as the needs are identified.

The NSRC has an enormous responsibility to provide backup and recovery, and disaster recovery solutions for a large amount of systems and data. The current technology available to tape only solutions will not provide the datacenter with the necessary capabilities to provide these services in a timely manner. The NSRC is proposing to procure a Disk-Disk-Tape solution that will greatly enhance the ability to provide timely backup and recovery services and still meet the needs of disaster recovery services by providing the off-site capabilities of tapes.

As the NSRC takes on additional systems the network infrastructure will need to be solidified to support the needs demanded by these resources and customers. The NSRC is in need of replacing small switches in the DMZ environment with larger switches that have additional capacity required for Internet facing applications. The NSRC will also need to upgrade the Intrusion Detection/Prevention infrastructure in the DMZ environment and add much needed support for the internal datacenter network. The NSRC also anticipates an increased number of systems that will require network-based load balancing providing application redundancy and reliability. The current load balancing systems used by the NSRC are approaching five years old and are not scalable to support even the current demands. Under the current growth rate of load balanced systems the datacenter will have to start turning down customer requests for load balancing leaving the environments in vulnerable situations of single points of failure.

The NSRC currently utilizes an automated tape library for its in-house non offsite tape needs. The NSRC has twenty-four stand alone tape drives which are over twelve years old and are very problematic. These drives are used to create data backup tapes stored offsite for disaster recovery. They are very slow and have a high failure rate which is beginning to have a negative impact on the daily disaster recovery process. Six new high-capacity, faster, tape drives are needed to replace the twenty-four older, stand alone drives. In addition, the automated tape library has eight tape drives addressable by the IBM Mainframe systems. These drives are primarily used for the daily and weekly backup processes. The growth of data in the IBM SYSTPLEX has outgrown the capacity of the available tape drives and is impacting the data center's ability to complete the required backups in a timely manner. Four additional high capacity and faster tape drives are needed to increase the available drives to twelve. Drives would be purchased with a five year warranty.

The tape storage environment has experienced outages in the past due to hardware failures and outages of the datacenter's communications equipment. Failures of the tape library's robot arms can cause outages of the online systems maintained by NSRC due to the inability to create log tapes by the online systems. Replacing of the failed arm also causes an outage for the same reason. An outage of the datacenter's communication

equipment can also cause an outage due to the inability to communicate with the tape library. The following resources need to be procured to provide redundancy and increased availability for the automated tape library.

- When a robotic arm fails, any tapes served by that arm are unavailable until the arm is repaired. If an online system needs to use an unavailable tape, the online system must be brought down until the tape is made available after the repair. Repairing the arm necessitates taking the entire automated tape library offline. Redundant arms would allow the tape library to remain in service until the repair can be scheduled for non online hours.

- When a repair is made to an arm in the tape library, the entire library must be taken offline. It takes twenty minutes plus the time for the repair to return the tape library to service. This can cause an outage of the online systems due to the need to create log tapes for recovery purposes. A maintenance door should be procured for the tape library. The maintenance door will allow an arm to be repaired without the need to take the library offline. The door will have a five year warranty.

- When the communications equipment at the datacenter fails, there is no way to communicate with the tape library due to having one communication path. A spare communication path should be procured for the tape library. The inability to communicate with the tape library can cause an outage of the online systems maintained by NSRC. A redundant TCP/IP connection is needed to allow the tape library to remain online and avoid an outage of the online systems. The communication path will have a five year warranty.

B. Baseline Analysis

1. Current Business Process Requirements

The current service levels are being met but with limitations that will be far exceeded as the support staff will be asked to support more with less staff and the datacenter will be relying more and more on the infrastructure to provide the best system support and allow the staff to work more efficiently.

The NSRC is planning for a tremendous amount of growth with the datacenter consolidation. The first year will provide lots of challenges to the NSRC while we incorporate various platforms, systems, networks, etc. The datacenter will be working to incorporate everything into existing standards and known operating environments that can provide the best possible service at the best possible cost.

2. Assumptions and Constraints

C. Proposed Business Process Requirements

1. Proposed Business Process

Infrastructure upgrades are needed to provide reliable service to the customers both that exist at the datacenter and those that will be incoming during the first year. Vintage equipment that requires costly maintenance contracts need to be replaced with new hardware with 5 year warranties. Infrastructure upgrades are needed to create an environment of standards and prepare the datacenter to offer quality, reliable services to its customer.

2. Business Solution Alternatives

The alternative is to maintain status quo.

3. Rationale for Selection

Without the infrastructure upgrades, NSRC will not be able to successfully integrate the incoming resources from the various agencies with existing NRSC resources.

4. Recommended Business Solution

Purchase and implement the infrastructure upgrades which will allow NSRC to comply with Chapter 2008, 116 Laws of Florida.

III. Schedule IV-B Cost Benefit Analysis – See Attachment I

A. The Cost-Benefit Analysis Forms

Cost Benefit Analysis	
Form	Description of Data Captured
<i>Benefits Realization Table</i> - Microsoft Word Template in Appendix C	A detailed description of all benefits identified for the project, including both tangible and intangible benefits. Each benefit identifies the recipient of the benefit, how and when it is realized, how the realization will be measured, and estimates of tangible benefit amounts.
<i>CBA Form 1 - Net Tangible Benefits</i>	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 <i>Benefits Realization Table</i> . These estimates appear in the year the benefits will be realized.
<i>CBA Form 2 - Project Cost Analysis</i>	Project Cost Elements: Estimated project costs for personnel, hardware software, consultants and other contracted services through project design, development, and implementation. Project Funding Sources: Identifies the planned sources of project funds, e.g., General Revenue, Trust Fund, Grants.
<i>CBA Form 3 - Project Investment Summary</i>	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

B. CBA Forms

Step 1: Benefits Realization Table (Appendix C)

Benefits Realization Table						
	Description of Benefit	Tangible or Intangible	Who receives benefit?	How is benefit realized?	How will the realization of the benefit be assessed/measured?	Realization Date (MM/YY)
1	Maintenance contracts	Tangible	NSRC agencies	Cost savings	Cost of equipment vs. cost of 5 year maintenance on old HW	07/01/2011
2	Increase availability of datacenter resources	Intangible	Agencies & Clients	Less down time	Statistical analysis	02/01/2011
3	Ability to track performance, capacity & problems	Intangible	NSRC agencies	Performance capacity measure- ment & forecasting	Statistical analysis	02/01/2011
4	Standardization of NSRC agencies OS	Intangible	NSRC agencies	Simplified OS maintenance	Staff work time	02/01/2011
5	Enhanced backup & recovery services	Intangible	Agencies & Clients	Faster backup times, greater capacity	Job scheduling	02/01/2011

Step 2: CBA Workbook – CBA Form 1 Net Tangible Benefits worksheet tab:

- a) CBA Form 1-A Net Tangible Benefits
- b) CBA-Form 1-B Character of Program Benefit Estimate

Step 3: CBA Workbook – CBA Form 2 Project Costs worksheet tab:

- a) CBA Form 2-A Project Cost
- b) CBA Form 2-B Character of Project Costs Estimate
- c) CBA Form 2-C Program(s) Costs for Current Operations
- d) CBA Form 2-D Character of Existing Program Cost Estimates

Step 4: CBA Workbook – CBA Form 3 Project Investment Summary worksheet tab:

- a) CBA Form 3-A Cost Benefit Analysis (enter no data, auto generated)
- b) CBA Form 3-B Return on Investment Analysis
- c) CBA Form 3-C Treasurer's Investment Interest Earning Yield

C. Cost-Benefit Analysis Results

The CBA forms do not indicate a payback period for this project. However, these infrastructure enhancements will allow NSRC to comply with the Laws of Florida by facilitating the integration of existing resources of the NSRC with the incoming resources from the various agencies as part of the data center consolidation project. The state will realize a cost savings upon completion of the data center consolidation project.

The only operational costs will be \$195,000 in recurring costs for the software licenses. A cost savings for maintenance fees would be realized when all 40 of the older servers are consolidated/virtualized down to the 10 new servers.

IV. Major Project Risk Assessment Component – See Attachment II

The Major Project Risk Assessment Component identifies the risks faced by the project so the agency can enact appropriate mitigation strategies for managing those risks. **This Feasibility Study Component is required for *all* IT projects.**

A. Risk Assessment Tool

Eight major project risk assessment areas:

- Strategic
- Technology
- Change Management
- Communication
- Fiscal
- Project Organization
- Project Management
- Project Complexity

B. Risk Assessment Summary

The overall Risk Assessment Summary is “Medium”. The project is planned to be completed with the requested fiscal year. The agency has a great deal of experience with the technology of large computing environments and its implementation. Enterprise-level processes and procedures are in place to manage this effort. Equipment standards and change management requirements and processes are well defined by agency policy. All purchasing methods are founded upon open and fair competition to provide the greatest benefit to the state at the least possible cost.

V. Technology Planning Component

Technology Planning Section	\$1-1.99M	\$2 - 10 M		> \$10 M
		Routine upgrades & infrastructure	Business or organizational change	
Current Information Technology Environment		X	X	X
Proposed Solution Description	X	X	X	X
Capacity Planning	X	X	X	X
Analysis of Alternatives	X	X	X	X

A. Current Information Technology Environment

1. Current System

The current system environment consists of hardware ranging from several (more than five) years old to equipment that is less than a few months old. The oldest systems are on a monthly maintenance contract, which amounts to a significant total cost. Because these older systems are also less powerful, more physical systems are required to maintain the required levels of service and performance for the hosted applications. The physical assets require individual operating system licenses, dedicated power connections and dedicated network connections. Many of them also use older, dedicated internal disk, which adds significant cost to each individual system. Each individual system adds to the cost of environmental conditions such as cooling, physical space, and network connections.

Because of the age of these systems, they are inherently slower (CPU speed, memory access speed, disk) and require higher power (voltage and watts) per CPU cycle.

2. Strategic Information Technology Direction

As part of the Data Center consolidation project, the Northwood Shared Resource Center is required to facilitate the integration of existing resources with the incoming resources from the various agencies to comply with Chapter 2008, 116 Laws of Florida (SB1892).

Implementation of the business objectives outlined in this document will facilitate the efficient operation of the Northwood Shared Resource Center by reducing recurring costs and increasing operational efficiency of hosted services. By implementing increased use shared system resources such as server virtualization, Storage Area Network technology, a five year hardware warranty policy, operating system version standards and performance monitoring and reporting software, the data center will be able to lower costs and meet the expectations of our customers.

3. Information Technology Standards

The agency requires the purchase and use of enterprise-class equipment and software. Hardware must meet standards for quality, redundancy and supportability. This means that the equipment must have redundant power, cooling, network and disk capabilities. It must also have reliable 24 x 7 support by certified service engineers with guaranteed 4 hour response times (24 x 7 x 4). Software must be supported by the manufacturer or certified resellers and have

24 x 7 support.

B. Proposed Solution Description

This request will replace vintage equipment that requires costly maintenance contracts due to the warranties being expired. This request will also allow the procurement of new hardware with 5 year warranty; this was adopted by the NSRC as a standard. This request will create an environment of standards and prepare the datacenter to offer quality, reliable services to its customer.

Replace aging hardware, procure additional operating system licenses, procure monitoring software and virtual server software, purchase a Disk-Disk-Tape backup solution, upgrade capacity, provide redundancy and increase availability of the tape storage environment.

The NSRC plans to implement a five year hardware replacement policy with all new purchases including a five year warranty agreement. This policy will keep hardware current and avoid managing maintenance contracts.

C. Capacity Planning - See Attachment III

D. Analysis of Alternatives

1. Assessment of Alternatives

The alternative to this plan is to merely maintain the status quo. By doing so, this will continue to incur overhead costs of maintenance fees, higher cost-to-performance ratios, higher outage frequencies due to equipment failure and higher cost of staff to address these weaknesses.

2. Assessment Process

A quantifiable comparison of the cost per CPU cycle of the existing hardware/software environment versus the cost per CPU cycle for the proposed solution was performed. The increase capacity, improved performance, reduced maintenance costs and outage windows outweighs the continued use of the old equipment and processes.

3. Technology Recommendation

The purchase and implementation guidelines described in this document should be implemented as soon as possible.

VI. Project Management Planning Component

Project Management Section	\$1-1.99 M	\$2 - 10 M		> \$10 M
		Routine upgrades & infrastructure	Business or organizational change	
Project Charter	X	X	X	X
Work Breakdown Structure	X	X	X	X
Project Schedule	X	X	X	X
Project Budget	X	X	X	X
Project Organization			X	X
Project Quality Control			X	X
External Project Oversight			X	X
Risk Management			X	X
Organizational Change Management			X	X
Project Communication			X	X
Special Authorization Requirements			X	X

A. Project Charter

The goal of this project is to provide cost-effective service levels to the current and future customers of the Northwood Shared Resource Center by reducing operational costs of the center and providing higher levels of performance in our hosted platforms. The project will be completed when all outdated hardware has been replaced and new processes to monitor and evaluate performance and reduce overhead are implemented.

B. Work Breakdown Structure

Conduct hardware/software RFI/RFQ process	07/01/2010 - 09/30/2010
Build separate project plans for each implementation	07/01/2010 - 09/30/2010
Conduct hardware/software procurement process	10/01/2010 - 10/31/2010
Receive hardware/software	11/01/2010 - 11/30/2010
Install, configure, & conduct testing of new hw/sw	12/01/2010 - 01/31/2011
In production	02/01/2011 - 02/01/2011

C. Resource Loaded Project Schedule

The project will begin with the availability of funding in the requested fiscal-year. Procurements through standard purchasing tools such as Requests for Quote and state contracts will be initiated upon authorization to access the funding. Existing state and contract staff will be used implement all aspects of this project.

D. Project Budget – See Attachment IV

Hardware = \$1,333,408

Software = \$ 915,000 with \$195,000 recurring

Total : \$ 2,248,408

E. Project Organization – not required for this project

F. Project Quality Control – not required for this project

G. External Project Oversight – not required for this project

A. Risk Management – not required for this project

Risk Description/Impact	Probability of Occurrence (high, medium, low)	Tolerance Level (high, medium, low)	Mitigation Strategy	Assigned Owner
1.				
2.				
3.				
4.				
5.				

B. Organizational Change Management – not required for this project

C. Project Communication – not required for this project

D. Special Authorization Requirements – not required for this project

VII. Appendices

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

Attachment I – Cost Benefit Analysis Forms

Attachment II – Risk Assessment Tool

Attachment III – Capacity Plan

Attachment IV – Budget Worksheets

CBAForm 1 - Net Tangible Benefits

Agency rhwood Shared Resource CerProject NSRC Infrastructure Needs

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 (Operations Only -- No Project Costs)	FY 2010-11			FY 2011-12			FY 2012-13			FY 2013-14			FY 2014-15		
	(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) 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 -- Total FTE Costs (Salaries & Benefits)	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
A.b Total FTE	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
A-1.a. State FTEs (Salaries & Benefits)	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
A-1.b. State FTEs (# FTEs)	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
A-2.a. OPS FTEs (Salaries)	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
A-2.b. OPS FTEs (# FTEs)	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
A-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 Contract FTEs)	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
B. Data Processing -- Costs	\$0	\$0	\$0	\$0	\$195,000	\$195,000	\$0	\$195,000	\$195,000	\$0	\$195,000	\$195,000	\$0	\$195,000	\$195,000
B-1. Hardware	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
B-2. Software	\$0	\$0	\$0	\$0	\$195,000	\$195,000	\$0	\$195,000	\$195,000	\$0	\$195,000	\$195,000	\$0	\$195,000	\$195,000
B-3. Other	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
C. External Service Provider -- Costs	\$0	(\$24,631)	(\$24,631)	\$0	(\$24,631)	(\$24,631)	\$0	(\$24,631)	(\$24,631)	\$0	(\$24,631)	(\$24,631)	\$0	(\$24,631)	(\$24,631)
C-1. Consultant Services	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
C-2. Maintenance & Support Services	\$0	(\$24,631)	(\$24,631)	\$0	(\$24,631)	(\$24,631)	\$0	(\$24,631)	(\$24,631)	\$0	(\$24,631)	(\$24,631)	\$0	(\$24,631)	(\$24,631)
C-3. Network / Hosting Services	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
C-4. Data Communications Services	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
C-5. Other Specify	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
D. Plant & Facility -- Costs	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
E. Others -- 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 Operational Costs (Rows A through E)	\$0	(\$24,631)	(\$24,631)	\$0	\$170,369	\$170,369	\$0	\$170,369	\$170,369	\$0	\$170,369	\$170,369	\$0	\$170,369	\$170,369
F. Additional Tangible Benefits:		\$0			\$0			\$0			\$0			\$0	
F-1. Specify		\$0			\$0			\$0			\$0			\$0	
F-2. Specify		\$0			\$0			\$0			\$0			\$0	
F-3. Specify		\$0			\$0			\$0			\$0			\$0	
Total Net Tangible Benefits:		\$24,631			(\$170,369)			(\$170,369)			(\$170,369)			(\$170,369)	

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

CBAForm 2 - Project Cost Analysis

Agency thwood Shared Resource CelProject NSRC Infrastructure Needs

PROJECT COST ELEMENTS	PROJECT COST TABLE -- CBAForm 2A					TOTAL
	FY 2010-11	FY 2011-12	FY 2012-13	FY 2013-14	FY 2014-15	
State FTEs (Salaries & Benefits)	\$0	\$0	\$0	\$0	\$0	\$0
OPS FTEs (Salaries)	\$0	\$0	\$0	\$0	\$0	\$0
Contractors (Costs)	\$0	\$0	\$0	\$0	\$0	\$0
Deliverables	\$0	\$0	\$0	\$0	\$0	\$0
Major Project Tasks	\$0	\$0	\$0	\$0	\$0	\$0
Hardware Servers, tape	\$1,333,408	\$0	\$0	\$0	\$0	\$1,333,408
COTS Software	\$915,000	\$0	\$0	\$0	\$0	\$915,000
Misc. Equipment Specify	\$0	\$0	\$0	\$0	\$0	\$0
Other Project Costs Specify	\$0	\$0	\$0	\$0	\$0	\$0
	\$0	\$0	\$0	\$0	\$0	\$0
TOTAL PROJECT COSTS (*)	\$2,248,408	\$0	\$0	\$0	\$0	\$2,248,408
CUMULATIVE PROJECT COSTS	\$2,248,408	\$2,248,408	\$2,248,408	\$2,248,408	\$2,248,408	
INVESTMENT SUMMARY						TOTAL
	FY 2010-11	FY 2011-12	FY 2012-13	FY 2013-14	FY 2014-15	
General Revenue	\$2,248,408	\$0	\$0	\$0	\$0	\$2,248,408
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 (*)	\$2,248,408	\$0	\$0	\$0	\$0	\$2,248,408
CUMULATIVE INVESTMENT (*)	\$2,248,408	\$2,248,408	\$2,248,408	\$2,248,408	\$2,248,408	

(*) Total Costs and Investments are carried forward to CBAForm3 Project Investment Summary worksheet.

Character of Project Costs Estimate - CBAForm 2B			
Choose Type		Estimate Confidence	Enter % (+/-)
Detailed/Rigorous	<input type="checkbox"/>	Confidence Level	
Order of Magnitude	<input checked="" type="checkbox"/>	Confidence Level	
Placeholder	<input type="checkbox"/>	Confidence Level	

CBAForm 3 - Project Investment Summary

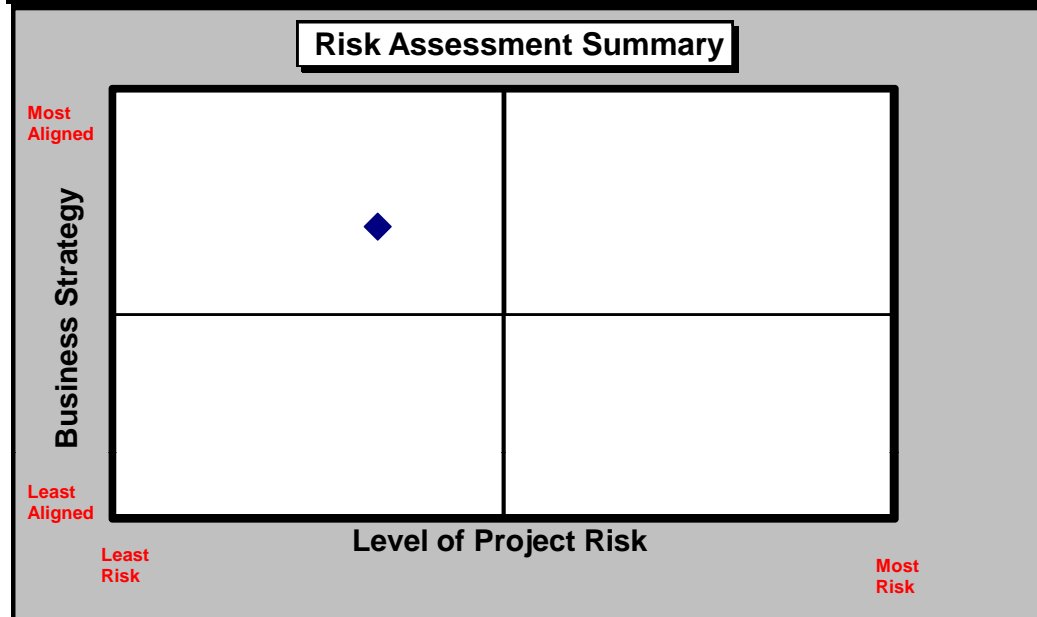
Agency Jorthwood Shared Resource CenteProject NSRC Infrastructure Needs

<i>COST BENEFIT ANALYSIS -- CBAForm 3A</i>						
	FY 2010-11	FY 2011-12	FY 2012-13	FY 2013-14	FY 2014-15	TOTAL
Project Cost	\$2,248,408	\$0	\$0	\$0	\$0	\$2,248,408
Net Tangible Benefits	\$24,631	(\$170,369)	(\$170,369)	(\$170,369)	(\$170,369)	(\$656,845)
Return on Investment	(\$2,223,777)	(\$170,369)	(\$170,369)	(\$170,369)	(\$170,369)	(\$2,905,253)
Year to Year Change in Program Staffing	0	0	0	0	0	

<i>RETURN ON INVESTMENT ANALYSIS -- CBAForm 3B</i>		
Payback Period (years)	NO PAYBACK	Payback Period is the time required to recover the investment costs of the project.
Breakeven Fiscal Year	NO PAYBACK	Fiscal Year during which the project's investment costs are recovered.
Net Present Value (NPV)	(\$2,679,100)	NPV is the present-day value of the project's benefits less costs over the project's lifecycle.
Internal Rate of Return (IRR)	NO IRR	IRR is the project's rate of return.

<i>Treasurer's Investment Interest Earning Yield -- CBAForm 3C</i>					
Fiscal Year	FY 2010-11	FY 2011-12	FY 2012-13	FY 2013-14	FY 2014-15
Cost of Capital	5.35%	5.38%	5.38%	5.38%	5.38%

Project	<i>NSRC Infrastructure Needs</i>	
Agency	<i>Northwood Shared Resource Center</i>	
FY 2010-11 LBR Issue Code:	FY 2010-11 LBR Issue Title:	
<i>36218CO</i>	<i>Issue Title</i>	
Risk Assessment Contact Info (Name, Phone #, and E-mail Address):		
<i>Lori Schultz 850-487-8902 lori_schultz@dcf.state.fl.us</i>		
Executive Sponsor	<i>Rose Naff</i>	
Project Manager	<i>David Warfel</i>	
Prepared By	<i>Preparer Name</i>	<i>MM/DD/YYYY</i>



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

Agency: Northwood Shared Resource Center

Project: NSRC Infrastructure Needs

Section 1 -- Strategic Area			
#	Criteria	Values	Answer
1.01	Are project objectives clearly aligned with the agency's legal mission?	0% to 40% -- Few or no objectives aligned	81% to 100% -- All or nearly all objectives aligned
		41% to 80% -- Some objectives aligned	
		81% to 100% -- All or nearly all objectives aligned	
1.02	Are project objectives clearly documented and understood by all stakeholder groups?	Not documented or agreed to by stakeholders	Documented with sign-off by stakeholders
		Informal agreement by stakeholders	
		Documented with sign-off by stakeholders	
1.03	Are the project sponsor, senior management, and other executive stakeholders actively involved in meetings for the review and success of the project?	Not or rarely involved	Project charter signed by executive sponsor and executive team actively engaged in steering committee meetings
		Most regularly attend executive steering committee meetings	
		Project charter signed by executive sponsor and executive team actively engaged in steering committee meetings	
1.04	Has the agency documented its vision for how changes to the proposed technology will improve its business processes?	Vision is not documented	Vision is completely documented
		Vision is partially documented	
		Vision is completely documented	
1.05	Have all project business/program area requirements, assumptions, constraints, and priorities been defined and documented?	0% to 40% -- Few or none defined and documented	81% to 100% -- All or nearly all defined and documented
		41% to 80% -- Some defined and documented	
		81% to 100% -- All or nearly all defined and documented	
1.06	Are all needed changes in law, rule, or policy identified and documented?	No changes needed	No changes needed
		Changes unknown	
		Changes are identified in concept only	
		Changes are identified and documented	
		Legislation or proposed rule change is drafted	
1.07	Are any project phase or milestone completion dates fixed by outside factors, e.g., state or federal law or funding restrictions?	Few or none	Few or none
		Some	
		All or nearly all	
1.08	What is the external (e.g. public) visibility of the proposed system or project?	Minimal or no external use or visibility	Minimal or no external use or visibility
		Moderate external use or visibility	
		Extensive external use or visibility	
1.09	What is the internal (e.g. state agency) visibility of the proposed system or project?	Multiple agency or state enterprise visibility	Use or visibility at division and/or bureau level only
		Single agency-wide use or visibility	
		Use or visibility at division and/or bureau level only	
1.10	Is this a multi-year project?	Greater than 5 years	1 year or less
		Between 3 and 5 years	
		Between 1 and 3 years	
		1 year or less	

Agency: Northwood Shared Resource Center

Project: NSRC Infrastructure Needs

Section 2 -- Technology Area			
#	Criteria	Values	Answer
2.01	Does the agency have experience working with, operating, and supporting the proposed technology in a production environment?	Read about only or attended conference and/or vendor presentation	Installed and supported production system more than 3 years
		Supported prototype or production system less than 6 months	
		Supported production system 6 months to 12 months	
		Supported production system 1 year to 3 years	
		Installed and supported production system more than 3 years	
2.02	Does the agency's internal staff have sufficient knowledge of the proposed technology to implement and operate the new system?	External technical resources will be needed for implementation and operations	Internal resources have sufficient knowledge for implementation and operations
		External technical resources will be needed through implementation only	
		Internal resources have sufficient knowledge for implementation and operations	
2.03	Have all relevant technology alternatives/ solution options been researched, documented and considered?	No technology alternatives researched	All or nearly all alternatives documented and considered
		Some alternatives documented and considered	
		All or nearly all alternatives documented and considered	
2.04	Does the proposed technology comply with all relevant agency, statewide, or industry technology standards?	No relevant standards have been identified or incorporated into proposed technology	Proposed technology solution is fully compliant with all relevant agency, statewide, or industry standards
		Some relevant standards have been incorporated into the proposed technology	
		Proposed technology solution is fully compliant with all relevant agency, statewide, or industry standards	
2.05	Does the proposed technology require significant change to the agency's existing technology infrastructure?	Minor or no infrastructure change required	Minor or no infrastructure change required
		Moderate infrastructure change required	
		Extensive infrastructure change required	
		Complete infrastructure replacement	
2.06	Are detailed hardware and software capacity requirements defined and documented?	Capacity requirements are not understood or defined	Capacity requirements are based on historical data and new system design specifications and performance requirements
		Capacity requirements are defined only at a conceptual level	
		Capacity requirements are based on historical data and new system design specifications and performance requirements	

Agency: Northwood Shared Resource Center

Project: NSRC Infrastructure Needs

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

Agency: Agency Name

Project: Project Name

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

Agency: Northwood Shared Resource Center

Project: NSRC Infrastructure Needs

Section 5 -- Fiscal Area			
#	Criteria	Values	Answer
5.01	Has a documented Spending Plan been approved for the entire project lifecycle?	Yes No	No
5.02	Have all project expenditures been identified in the Spending Plan?	0% to 40% -- None or few defined and documented 41% to 80% -- Some defined and documented 81% to 100% -- All or nearly all defined and documented	41% to 80% -- Some defined and documented
5.03	What is the estimated total cost of this project over its entire lifecycle?	Unknown Greater than \$10 M Between \$2 M and \$10 M Between \$500K and \$1,999,999 Less than \$500 K	Between \$2 M and \$10 M
5.04	Is the cost estimate for this project based on quantitative analysis using a standards-based estimation model?	Yes No	Yes
5.05	What is the character of the cost estimates for this project?	Detailed and rigorous (accurate within $\pm 10\%$) Order of magnitude – estimate could vary between 10-100% Placeholder – actual cost may exceed estimate by more than 100%	Detailed and rigorous (accurate within $\pm 10\%$)
5.06	Are funds available within existing agency resources to complete this project?	Yes No	No
5.07	Will/should multiple state or local agencies help fund this project or system?	Funding from single agency Funding from local government agencies Funding from other state agencies	Funding from other state agencies
5.08	If federal financial participation is anticipated as a source of funding, has federal approval been requested and received?	Neither requested nor received Requested but not received Requested and received Not applicable	Not applicable
5.09	Have all tangible and intangible benefits been identified and validated as reliable and achievable?	Project benefits have not been identified or validated Some project benefits have been identified but not validated Most project benefits have been identified but not validated All or nearly all project benefits have been identified and validated	All or nearly all project benefits have been identified and validated
5.10	What is the benefit payback period that is defined and documented?	Within 1 year Within 3 years Within 5 years More than 5 years No payback	Within 5 years
5.11	Has the project procurement strategy been clearly determined and agreed to by affected stakeholders?	Procurement strategy has not been identified and documented Stakeholders have not been consulted re: procurement strategy Stakeholders have reviewed and approved the proposed procurement strategy	Stakeholders have reviewed and approved the proposed procurement strategy
5.12	What is the planned approach for acquiring necessary products and solution services to successfully complete the project?	Time and Expense (T&E) Firm Fixed Price (FFP) Combination FFP and T&E	Firm Fixed Price (FFP)

Agency: Northwood Shared Resource Center

Project: NSRC Infrastructure Needs

Section 5 -- Fiscal Area			
#	Criteria	Values	Answer
5.13	What is the planned approach for procuring hardware and software for the project?	Timing of major hardware and software purchases has not yet been determined	Purchase all hardware and software at start of project to take advantage of one-time discounts
		Purchase all hardware and software at start of project to take advantage of one-time discounts	
		Just-in-time purchasing of hardware and software is documented in the project schedule	
5.14	Has a contract manager been assigned to this project?	No contract manager assigned	Contract manager assigned is not the procurement manager or the project manager
		Contract manager is the procurement manager	
		Contract manager is the project manager	
		Contract manager assigned is not the procurement manager or the project manager	
5.15	Has equipment leasing been considered for the project's large-scale computing purchases?	Yes	Yes
		No	
5.16	Have all procurement selection criteria and outcomes been clearly identified?	No selection criteria or outcomes have been identified	Some selection criteria and outcomes have been defined and documented
		Some selection criteria and outcomes have been defined and documented	
		All or nearly all selection criteria and expected outcomes have been defined and documented	
5.17	Does the procurement strategy use a multi-stage evaluation process to progressively narrow the field of prospective vendors to the single, best qualified candidate?	Procurement strategy has not been developed	Multi-stage evaluation not planned/used for procurement
		Multi-stage evaluation not planned/used for procurement	
		Multi-stage evaluation and proof of concept or prototype planned/used to select best qualified vendor	
5.18	For projects with total cost exceeding \$10 million, did/will the procurement strategy require a proof of concept or prototype as part of the bid response?	Procurement strategy has not been developed	Not applicable
		No, bid response did/will not require proof of concept or prototype	
		Yes, bid response did/will include proof of concept or prototype	
		Not applicable	

Agency: Northwood Shared Resource Center

Project: NSRC Infrastructure Needs

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

Agency: Northwood Shared Resource Center

Project: NSRC Infrastructure Needs

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

Agency: Northwood Shared Resource Center

Project: NSRC Infrastructure Needs

Section 7 -- Project Management Area			
#	Criteria	Values	Answer
7.11	Does the project schedule specify all project tasks, go/no-go decision points (checkpoints), critical milestones, and resources?	Yes	Yes
		No	
7.12	Are formal project status reporting processes documented and in place to manage and control this project?	No or informal processes are used for status reporting	Project team and executive steering committee use formal status reporting
		Project team uses formal processes	
		Project team and executive steering committee use formal status reporting processes	
7.13	Are all necessary planning and reporting templates, e.g., work plans, status reports, issues and risk management, available?	No templates are available	All planning and reporting templates are available
		Some templates are available	
		All planning and reporting templates are available	
7.14	Has a documented Risk Management Plan been approved for this project?	Yes	Yes
		No	
7.15	Have all known project risks and corresponding mitigation strategies been identified?	None or few have been defined and documented	Some have been defined and documented
		Some have been defined and documented	
		All known risks and mitigation strategies have been defined	
7.16	Are standard change request, review and approval processes documented and in place for this project?	Yes	Yes
		No	
7.17	Are issue reporting and management processes documented and in place for this project?	Yes	Yes
		No	

Agency: Northwood Shared Resource Center

Project: NSRC Infrastructure Needs

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

NORTHWOOD SHARED RESOURCE CENTER

FISCAL YEAR 2010-11 CAPACITY PLAN FOR NSRC INFRASTRUCTURE NEEDS



**PREPARED FOR THE
TECHNOLOGY REVIEW WORKGROUP**

PREPARED 09/08/2009

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CAPACITY PLAN FOR NSRC INFRASTRUCTURE NEEDS

I. Summary and Introduction

As part of the Data Center Consolidation project the Northwood Shared Resource Center (NSRC) is requesting \$2,248,408 for infrastructure enhancements to facilitate the integration of existing resources of the NSRC with the incoming resources from the various agencies. These infrastructure enhancements will allow the NSRC to comply with Chapter 2008, 116 Laws of Florida (SB 1892). These funds will be used to replace aging hardware, procure additional operating system licenses, procure monitoring software and virtual server software, purchase a Disk-Disk-Tape backup solution, upgrade capacity, provide redundancy and increase availability of the mainframe tape storage environment.

The NSRC is planning for a tremendous amount of growth pains under datacenter consolidation and these infrastructure needs are essential in providing reliable service to the customers both that exist at the datacenter and those that will be incoming during the first year. The first year will provide lots of challenges to the NSRC while we incorporate various platforms, systems, networks, etc., the datacenter will be working to incorporate everything into existing standards and known operating environments that can provide the best possible service at the best possible cost.

The current service levels are being met but with limitations that will be far exceeded as the support staff will be asked to support more with less staff and the datacenter will be relying more and more on the infrastructure to provide the best system support and allow the staff to work more efficiently. This request would provide infrastructure upgrades as follows:

- Replace old servers and storage to provide warranty based hardware support and not manage maintenance contracts.
- Standardize operating systems to minimize the effort to support multiple operating systems.
- Implement a standard business service management platform that will have a central configuration management database and provide a much needed solution to the datacenter. This solution will be key to keeping our customers aware of system availability, reporting on SLA objectives, and providing capacity planning for our customers to be able to forecast future IT needs.
- Provide a virtualization management platform that will allow the datacenter to manage moving servers from physical to virtual, virtual to virtual (VMware to Hyper-V, VMware to Xen, Hyper-V to VMware, Hyper-V to Xen, Xen to VMware, and Xen to Hyper-V) and also a move servers back to physical if needed.
- Enhance the midrange tape backup and recovery environment by adding a disk-disk-tape solution which would allow for backups to occur within maintenance windows and not run into the production hours and allow for on-site recovery processes to occur without going to the vault to retrieve tapes that have been stored off-site for disaster recovery purposes.
- Increase capacity of network load balancing solution, network DMZ switches,

and provide an internal intrusion detection and intrusion prevention system to supplement the current external system.

- Provide additional capacity and redundancy to the mainframe tape storage system.

II. Scope of the Plan

This capacity plan addresses the following IT services:

- Replace aging servers and storage arrays
- Upgrade Server OS licenses and add to Enterprise Agreement
- Server Monitoring Software
- Server Virtualization Management Software
- Disk-Disk-Tape Backup Solution
- Network upgrades to DMZ and Load Balancing environments
- Intrusion Detection/Intrusion Prevention System upgrade to include internal network environments

This capacity plan addresses the following equipment:

Equipment (Brand name & model)	Quantity	Original Purchase Date	Replacement Cycle
Various Intel/ AMD servers	50+	5 yrs +	5 yrs
Various IBM/EMC/HP Storage Arrays	3	5 yrs +	5 yrs
DMZ Switches	2	06/2005	5 yrs
Load Balancing Appliances	2	06/2005	5 yrs

III. Methods Used

The agency used the following methods to obtain the information provided in this capacity plan:

A. Method 1

Identified servers and storage arrays that will be 5 years or older requiring expensive maintenance contracts to maintain.

Identified server operating systems that are not covered under enterprise agreements and will need to be upgraded to avoid end-of-life support conflicts.

Capacity analysis of continuing to do regular tape backups of projected data at growth rates will make it impossible to complete the backup processes in timeframes required by standard Service Level Agreements.

Analysis of number of ports available to provide DMZ network connectivity and Load Balancing capabilities compared to demand for new and incoming connections requires upgrades to these environments.

B. Method 2

Research of monitoring software provides insight that there are gaps in the capabilities of the datacenter to provide the necessary information on systems availability to the customers of the datacenter.

Research of the growing number of systems to be virtualized and various virtual platforms that exist both currently in the data center and from early indications of the incoming platforms, it is determined that the need exists for a common management platform to manage these virtualized systems.

Research on the risk associated with internal network and system attacks identifies a need to have an internal Intrusion Detection and Intrusion Prevention system aside from the external Intrusion Detection and Intrusion Prevention system.

IV. Assumptions & Constraints

The information in this capacity plan is based on the following assumptions:

A. Assumption 1

Only takes into consideration the known hardware and software that exists at the datacenter today, any incoming systems may require modifications to the number of servers and storage arrays that need to be replaced.

B. Assumption 2

Majority of the aging hardware will be virtualized to minimize the number of new systems that have to be purchased, for instance we have identified over 40 physical servers that will be over 5 years old on July 1, 2010. This plan would only purchase 10 new servers and consolidate those 40 servers down to 10 through virtualization and consolidation.

C. Assumption 3

Assumption 3 description

The information in this capacity plan is based on the following constraints:

A. Constraint 1

Constraint 1 description

B. Constraint 2

Constraint 2 description

V. Business Scenarios

The NSRC plans to implement a five year hardware replacement policy with all new purchases including a five year warranty agreement. This policy will keep hardware current and avoid managing maintenance contracts. The following resources need to be procured to start this

policy. The NSRC will have approximately forty servers that will be over five years old during the 2010/2011 fiscal year. Only a portion of those will be covered under the virtualization strategy. The remaining ten servers are heavyweight database servers, other enterprise servers, or actual Virtual Host servers that need to be replaced. The NSRC also will have approximately 60TB of Tier2 storage and 40TB of Tier3 storage that will be over five years old and under costly maintenance contract that need to be replaced.

The NSRC has and will acquire many systems that have various operating system versions. There is a need to procure additional licenses that will allow all operating systems to be standardized and kept current. This will provide an environment that is easier to maintain, support, and provide the best opportunity for the datacenter to provide un-interrupted service to its customers.

The NSRC currently has three monitoring solutions of which two are unsupported freeware. This will require extra overhead to manage several systems and even more problems in keeping the customers of the datacenter informed of system outages. The NSRC will need to consolidate all of these various systems into one uniform service management based monitoring solution that adds the ability to track performance, capacity, and problems.

The NSRC has a strong server virtualization strategy and is in need of virtual server management software to make it even stronger. This software will allow the datacenter to continuously monitor server activity to plan which servers are candidates for virtualization, which servers are performing well as virtual servers, and identify which servers are not working well in a virtual environment. This software will also provide the tools needed to migrate servers from physical to virtual, virtual to virtual, and virtual back to physical as the needs are identified.

The NSRC has an enormous responsibility to provide backup and recovery, and disaster recovery solutions for a large amount of systems and data. The current technology available to tape only solutions will not provide the datacenter with the necessary capabilities to provide these services in a timely manner. The NSRC is proposing to procure a Disk-Disk-Tape solution that will greatly enhance the ability to provide timely backup and recovery services and still meet the needs of disaster recovery services by providing the off-site capabilities of tapes.

As the NSRC takes on additional systems the network infrastructure will need to be solidified to support the needs demanded by these resources and customers. The NSRC is in need of replacing small switches in the DMZ environment with larger switches that have additional capacity required for Internet facing applications. The NSRC will also need to upgrade the Intrusion Detection/Prevention infrastructure in the DMZ environment and add much needed support for the internal datacenter network. The NSRC also anticipates an increased number of systems that will require network-based load balancing providing application redundancy and reliability. The current load balancing systems used by the NSRC are approaching five years old and are not scalable to support even the current demands. Under the current growth rate of load balanced systems the datacenter will have to start turning down customer requests for load balancing leaving the environments in vulnerable situations of single points of failure.

The NSRC currently utilizes an automated tape library for its in-house non offsite tape needs.

The NSRC has twenty-four stand alone tape drives which are over twelve years old and are very problematic. These drives are used to create data backup tapes stored offsite for disaster recovery. They are very slow and have a high failure rate which is beginning to have a negative impact on the daily disaster recovery process. Six new high-capacity, faster, tape drives are needed to replace the twenty-four older, stand alone drives. In addition, the automated tape library has eight tape drives addressable by the IBM Mainframe systems. These drives are primarily used for the daily and weekly backup processes. The growth of data in the IBM SYSTPLEX has outgrown the capacity of the available tape drives and is impacting the data center's ability to complete the required backups in a timely manner. Four additional high capacity and faster tape drives are needed to increase the available drives to twelve. Drives would be purchased with a five year warranty.

The tape storage environment has experienced outages in the past due to hardware failures and outages of the datacenter's communications equipment. Failures of the tape library's robot arms can cause outages of the online systems maintained by NSRC due to the inability to create log tapes by the online systems. Replacing of the failed arm also causes an outage for the same reason. An outage of the datacenter's communication equipment can also cause an outage due to the inability to communicate with the tape library. The following resources need to be procured to provide redundancy and increased availability for the automated tape library.

- When a robotic arm fails, any tapes served by that arm are unavailable until the arm is repaired. If an online system needs to use an unavailable tape, the online system must be brought down until the tape is made available after the repair. Repairing the arm necessitates taking the entire automated tape library offline. Redundant arms would allow the tape library to remain in service until the repair can be scheduled for non online hours.

- When a repair is made to an arm in the tape library, the entire library must be taken offline. It takes twenty minutes plus the time for the repair to return the tape library to service. This can cause an outage of the online systems due to the need to create log tapes for recovery purposes. A maintenance door should be procured for the tape library. The maintenance door will allow an arm to be repaired without the need to take the library offline. The door will have a five year warranty.

- When the communications equipment at the datacenter fails, there is no way to communicate with the tape library due to having one communication path. A spare communication path should be procured for the tape library. The inability to communicate with the tape library can cause an outage of the online systems maintained by NSRC. A redundant TCP/IP connection is needed to allow the tape library to remain online and avoid an outage of the online systems. The communication path will have a five year warranty.

VI. Service Capacity Summary

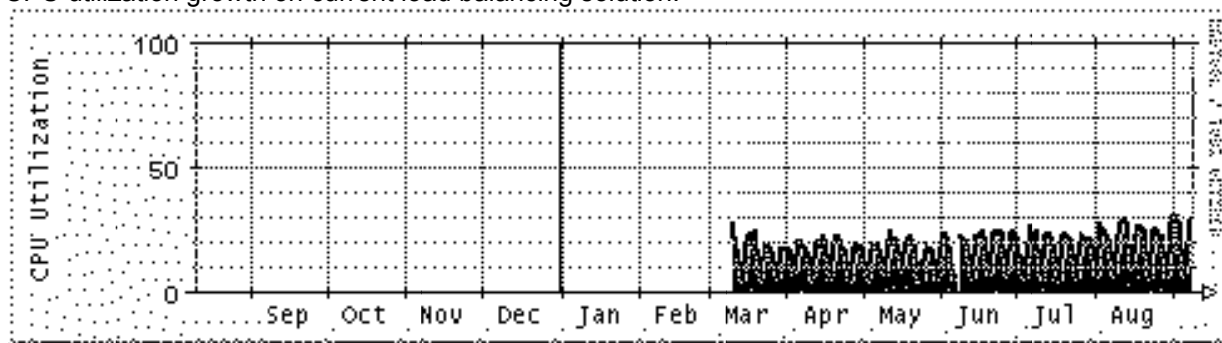
A. Current and Recent Service Provision

B. Capacity Forecasts

Current Load Balancing Solution:

We've grown from 12 defined load balanced farms and 40 load balanced servers to 42 defined load balanced farms and 204 load balanced servers, including prod, dev and test farms for many applications.

CPU utilization growth on current load balancing solution:



NOTE: This chart did not import to well but there are spikes growing each month starting in April at 60% to above 80% in August.

DMZ switches:

We're currently utilizing three 48 port switches in the DMZ that we've had to carve into 10 VLANs. Those VLANs cannot span the switches in the DMZ due to routing and security policies, and one switch has only four ports left for any new servers. We need a larger switch to separate VLANs and accommodate growth of additional servers/equipment in the DMZ.

VII. Resource Capacity Summary

A. Current and Recent Resource Usage

This subsection provides information on the current throughput and utilization, broken down by hardware platform.

B. Resource Forecasts

This subsection projects resources that will be needed to support the short-, medium-, and long-term IT service trends in identified in the previous section, broken down by hardware platform.

VIII. Opportunities for Improvement

This section should outline any viable options for service improvement, e.g., server consolidation, network upgrades to take advantage of technological advances, fine-tuning the use of current resources, and purchasing new hardware/software. Address at least three options, including maintaining the current environment.

IX. Cost Model

TOTAL PROJECT COSTS (BY MAJOR COMPONENT, IF APPLICABLE) FOR ALL YEARS:

	REQUEST FY 2010-11	NONRECURRING FY 2010-11
COMPUTER RELATED EXPENSES		
HARDWARE:		
Six (6) Tape Drives @ \$34,101 each	\$ 204,606	\$ 204,606
Four (4) Tape Drives @ \$37,801 each	\$ 151,204	\$ 151,204
Four (4) Redundant Arms, One (1) Maintenance Door, And one (1) Redundant Communications Path	\$ 107,598	\$ 107,598
Ten (10) Servers @ \$10,000 each	\$ 100,000	\$ 100,000
Two (2)Storage Arrays @ \$200,000 Tier2 and \$100,000 Tier3	\$ 300,000	\$ 300,000

CAPACITY PLAN FOR NSRC INFRASTRUCTURE
NEEDS

REFERENCE #

FY 2010-11

DMZ Network Switches	\$ 75,000	\$ 75,000
Intrusion Detection/Prevention	\$ 245,000	\$ 245,000
Load-Balancing	\$ 150,000	\$ 150,000

SOFTWARE:

Monitoring Software (Annual Subscription)	\$ 65,000	
OS Licenses	\$ 200,000	\$ 160,000
Disk-disk-Tape Backup	\$ 200,000	\$ 200,000
Virtual Server Management Software	\$ 450,000	\$ 360,000

Total:	\$2,248,408	\$2,053,408
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X. Recommendations

This section should identify the agency's choice among the options for service delivery improvement, and detail the reasons for the selection. It also should discuss each of the following items regarding the agency's selection:

- *Business Benefits Expected*
- *Potential Impact of Recommendation*
- *Risks Involved*
- *Resources Required*
- *Setup and Ongoing Costs*

Project Costs for NSRC Infrastructure Needs												
Produced <Date>				For Northwood Shared Resource				By Glenda Jenks		FY 2010-11		
PROJECT BUDGET WORKSHEET 1 (Captures All Major Direct & Indirect Costs associated with Development, Implementation, and Transition)												
Project Cost \ Quarter	Jul-Sep Planned	Jul-Sep Actual	Oct-Dec Planned	Oct-Dec Actual	Jan-March Planned	Jan-March Actual	April-June Planned	April-June Actual	Budget to Date	Actual to Date	Variance to Date	
State Staff												
# FTEs	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0	\$0	\$0	
Subcontractors												
# FTEs	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0	\$0	\$0	
Hardware												
Item 1-Servers, storage, switches, security, load balancers	\$0.00	\$0.00	\$870,000.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$870,000	\$0	\$870,000	
Item 2-tape drive, redundant arms, maint. Door, cassettes	\$0.00	\$0.00	\$463,408.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$463,408	\$0	\$463,408	
Software												
Item 1 - monitor software, OS licenses	\$0.00	\$0.00	\$265,000.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$265,000	\$0	\$265,000	
Item 2-disk backup, virtual software	\$0.00	\$0.00	\$650,000.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$650,000	\$0	\$650,000	
Misc Equipment												
Item 1	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0	\$0	\$0	
Item 2	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0	\$0	\$0	
Other Costs												
Item 1	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0	\$0	\$0	
Item 2	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0	\$0	\$0	
Total Costs	\$0	\$0	\$2,248,408	\$0	\$0	\$0	\$0	\$0	\$2,248,408	\$0	\$2,248,408	
Progress Payments									\$0	\$0	\$0	

Project Costs for <u>NSRC Infrastructure Needs</u>												
Produced <Date>				For Northwood Shared Resource			By Glenda Jenks			FY 2010-11		
PROJECT BUDGET WORKSHEET 2 - OPERATIONAL COST IMPACT INCURRED AFTER PROJECT IMPLEMENTATION and / or PRO-RATED IF PHASED ROLLOUT)												
	FY 2010-11			FY 2011-12			FY 2012-13			FY 2013-14		
	(a) Current	(b) Project	(c) = (b)-(a) Incremental Effect of Project	(a) Current	(b) Project	(c) = (b)-(a) Incremental Effect of Project	(a) Current	(b) Project	(c) = (b)-(a) Incremental Effect of Project	(a) Current	(b) Project	(c) = (b)-(a) Incremental Effect of Project
OPERATIONAL COSTS												
Salaries and Wages	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Pensions and Benefits	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Other Personal Services	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Consulting	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Hardware	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Software	\$0	\$0	\$0	\$0	\$195,000	\$195,000	\$0	\$195,000	\$195,000	\$0	\$195,000	\$195,000
Data Processing	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Data Processing Supplies	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Data Processing Communications	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Training	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Travel	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
TOTAL OPERATIONAL COSTS	\$0	\$0	\$0	\$0	\$195,000	\$195,000	\$0	\$195,000	\$195,000	\$0	\$195,000	\$195,000
FTE	0	0	0	0	0	0	0	0	0	0	0	0

NORTHWOOD SHARED RESOURCE CENTER

SCHEDULE IV-B FOR SUBSTANCE ABUSE AND MENTAL HEALTH INFORMATION SYSTEM FOR FISCAL YEAR 2010-11



State of Florida

The Florida Legislature

Governor's Office of Policy and Budget


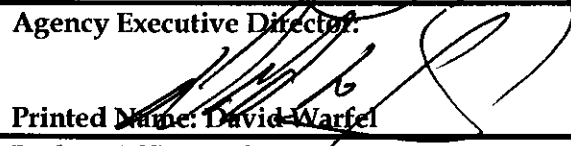
October 8, 2009

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**FY 2010-11 SCHEDULE IV-B FEASIBILITY STUDY FOR
DCF SUBSTANCE ABUSE AND MENTAL HEALTH INFORMATION SYSTEM**

I. Schedule IV-B Cover Sheet

Schedule IV-B Cover Sheet and Agency Project Approval	
Agency: Northwood Shared Resource Center	Schedule IV-B Submission Date: October 8, 2009
Project Name: SAMHIS	Is this project included in the Agency's LRPP? N/A ____ No ____ Yes
FY 2010-11 LBR Issue Code: 36322CO	FY 2010-11 LBR Issue Title: NSRC Substance Abuse and Mental Health Information System
Agency Contact for Schedule IV-B (Name, Phone #, and E-mail address): Lori Schultz, 850-487-8902, lori_schultz@dcf.state.fl.us	
AGENCY APPROVAL SIGNATURES	
I am submitting the attached Schedule IV-B in support of our legislative budget request. I have reviewed the estimated costs and benefits documented in the Schedule IV-B and believe the proposed solution can be delivered within the estimated time for the estimated costs to achieve the described benefits. I agree with the information in the attached Schedule IV-B.	
Agency Board of Directors Chair:  Printed Name: Rose Neff	Date: 10-8-09
Agency Executive Director:  Printed Name: David Warfel	Date: 10/8/2009
Budget Officer: N/A	Date:
Printed Name:	
Planning Officer: N/A	Date:
Printed Name:	
Project Sponsor: See DCF Issue #36310CO	Date:
Printed Name:	
Schedule IV-B Prepared by: Lori Schultz, 850-487-8902, lori_schultz@dcf.state.fl.us	
Business Need:	
Cost Benefit Analysis:	
Risk Analysis:	
Technology Planning:	
Project Planning:	

II. Schedule IV-B Business Case

Business Case Section	\$1-1.99M	\$2 - 10 M		> \$10 M
		Routine upgrades & infrastructure	Business or organizational change	
Background and Strategic Needs Assessment			X	X
Baseline Analysis			X	X
Proposed Business Process Requirements			X	X
Cost Benefit Analysis		X	X	X

A. Background and Strategic Needs Assessment

1. Agency Program(s)/Service(s) Environment

The current DCF Substance Abuse and Mental Health Information System (SAMHIS) is an administrative data warehouse that is designed for query and analysis of limited data needed at the state level; it is not designed to support the total management of the service delivery at the state, region, circuit, and provider levels, as required by the following. A new system would significantly position DCF for managing a prospective payment system that links services, outcomes, and costs, and would also make us more compliant with the following state laws and federal regulations:

1.1 **Section 394.9082 (4) (d) 5., Florida Statutes**, requires the DCF *to establish or develop data management and reporting systems that not only promote efficient use of data by the service delivery system, but also address the management and clinical care needs of the service providers and managing entities and provide information needed by the department for required state and federal reporting.*

The current system does not meet these statutory requirements, because it does not have any data modules to perform the following business functions:

- Provider Facility Management
- Human Resource Management
- Electronic Health Records (HER) Management
- Service Scheduling and Reporting
- Managed Care Coordination

1.2 **Section 394.77, Florida Statutes**, requires the DCF *to establish, for the purposes of control of costs: (1) a uniform management information system and fiscal accounting system for use by providers of community substance abuse and mental health services, and (2) a uniform reporting system with uniform definitions and reporting categories.*

The current system does not meet these statutory requirements, because it does not have any data modules to perform the following business functions.

- Financial Management
- Contract Management
- Claims Processing and Payment
- Online Data Analysis and Reporting

- 1.3 **Section 394.674, Florida Statutes**, requires the DCF to (a) *identify individuals who are eligible for publicly funded substance abuse and mental health services*, (b) *enroll these individuals into the state priority populations*, and (c) *implement fee collection requirements*.

The current system does not meet these statutory requirements, because it does not have adequate infrastructure that can be used by consumers, family members, providers and other stakeholders to access both standard and ad hoc reports and other critical information needed for various decision-making purposes. An infrastructure is needed that will support the interfaces with other agency data systems to perform the following business functions:

- Interface with Social Security Administration (SSA) database system for unique identification of substance abuse and mental health consumers served across provider agencies. This will require each person to have a single demographic record, which will allow the creation of a unique identifier per person based on demographic information from SSA database.
- Interface with Florida Department of Law Enforcement (FDLE) database system to collect and report the National Outcome Measures (NOMS) data and General Appropriation Act (GAA) performance measure data pertaining to substance abuse and mental health consumers involved in criminal justice system (i.e., number and percent of persons arrested before, during and after treatment);
- Interface with the Department of Juvenile Justice (DJJ) database system to collect and report NOMS and GAA data pertaining to substance abuse and mental health consumers involved in juvenile justice system (i.e., number and percent of persons in detention before, during and after treatment);
- Interface with the Department of Education database system to collect and report NOMS and GAA data pertaining to children's school attendance (i.e., number and percent of children expelled or suspended from schools);
- Interface with the Agency for Health Care Administration database system to collect and report encounter data required for needs assessment and for revenue maximization pertaining to Community Based Medicaid Administrative Claiming (CBMAC) program;
- Interface with Florida Safe Families Network (FSFN) for identifying individuals in child welfare system, including parents who put children at risk or children under state supervision, who need and receive substance abuse and mental health services;
- Interface with Drug Courts and Mental Health Courts for identifying individuals ordered by the courts to receive substance abuse and mental health treatment.

2. Business Objectives

Following are the major business objectives pertaining to substance abuse and mental health information technology in DCF's Long Range Program Plan:

- *Decrease all processing errors and processing time.*
Following are key initiatives to achieve this objective: (a) create a unique identifier per person based on demographic information from SSA database; (b) establish automated interfaces between the Substance Abuse and Mental Health Information System (SAMHIS) and the other agency data systems to minimize errors due to manual processes; and (c) conduct data validation to ensure the referential data integrity; and (c) develop and update user guides and provide

ongoing training of system users across provider agencies.

- *Increase efficiency, accuracy and effectiveness through information management and health information exchange.*

Following are key initiatives to achieve this objective: (a) increase the visibility and usability of the data through the development and implementation of online standard and ad hoc reports that are available and accessible not only to staff at the state, region and circuit levels, but also to community-based provider organizations, consumers, family members, and other stakeholders as needed; (b) provide online information for invoice verification and eligibility tracking for revenue maximization and cost avoidance; (c) reduce data redundancy through system interface and integration; and (d) provide automated referral and electronic consent for release of confidential information within and between service provider agencies.

B. Baseline Analysis

1. Current Business Process Requirements

- a. **Inputs** - The Substance Abuse and Mental Health (SAMH) system has fifty-four input processes, which capture information for various data modules. There are two for wait list; two for client demographic; eleven for community needs assessment (CNA); six for mental health (MH) outcome data; six for substance abuse (SA) outcome data; seven for client specific/non-client specific encounter data; seven for hospital admissions and related data; two for provider directory data; eight for children/adult functional assessment rating scale (CFARS/FARS); one for American Society for Addictive Medicines (ASAM); one for system announcement data; and three for Department of Corrections (DOC) referral interfaces.
- b. **Processing** - The SAMH system data input modules currently include processes that provide information to answer the following management question: *“who receives what services from whom, to achieve what outcomes at what cost?”*
 - **Who receive:** answers to this question are based on data modules pertaining to basic socio-demographic and clinical characteristics of the person served, including data elements describing the problems/conditions or eligibility criteria of each person served.
 - **What services:** answers to this question are based on data modules pertaining to service encounters and interventions, including the amounts and types of services provided to each person served.
 - **From whom:** answers to this question are based on data modules pertaining to provider sites, staff, and programs responsible for service provisions.
 - **What outcomes:** answers to this question are based on data modules pertaining to service performance outcomes, level of functioning, and level of care at the time of admission, during treatment and at discharge.
 - **At what cost:** answers to this question are based on data modules pertaining to contracted service unit rates and the actual service units as part of the client-specific service events and non client-specific service events.
- c. **Outputs** - The SAMH system currently has forty-four output processes. There are twelve standard reports and thirty-four other processes that provide information to meet stakeholder needs at the federal, state, and local levels, and for the public at large:

- **At the federal level**, the stakeholders are the Substance Abuse and Mental Health Services Administration (SAMHSA), including the Center for Mental Health Services (CMHS), the Center for Substance Abuse Treatment (CSAT), and the Center for Substance Abuse Prevention (CSAP). These SAMHSA centers require the department to collect and submit data pertaining to the Substance Abuse and Mental Health Block Grants; Data Infrastructure Grants; National Outcome Measures for substance abuse and mental health; Substance Abuse Access to Recovery (ATR); Drug and Alcohol Services Information System (DASIS); Treatment Episode Data System (TEDS); State Outcome Measurement and Management System (SOMMS); and Uniform Reporting System (URS) tables.
 - **At the state**, regional and circuit levels, the stakeholders include the Legislature, which requires data needed as part of the General Appropriation Act (GAA) performance measures, and the Department, which requires data needed for program performance monitoring, planning, and budgeting purposes.
 - **At the local levels**, the stakeholders are providers, individuals who receive our services, and family members, who require access to information needed for treatment decisions, including identification of services and providers that best meet their needs.
 - **In the general population**, the customers are Florida citizens, including lawyers, schools, employers, etc., who routinely request substance abuse and mental health information as needed to do their jobs.
- d. **Business Process Interfaces** - There are business process interfaces to the following data systems: Florida Accounting Information Resource (FLAIR); Medicaid Paid Claims Data; Medicaid Eligibility Data; Consumer Satisfaction Data; and the Department of Corrections Referral Data.
- e. **Business Process Participants** - Approximately 1,600 providers, the Substance Abuse and Mental Health Program Offices and the District Data liaisons.
- f. **Process Mapping** - see next page.

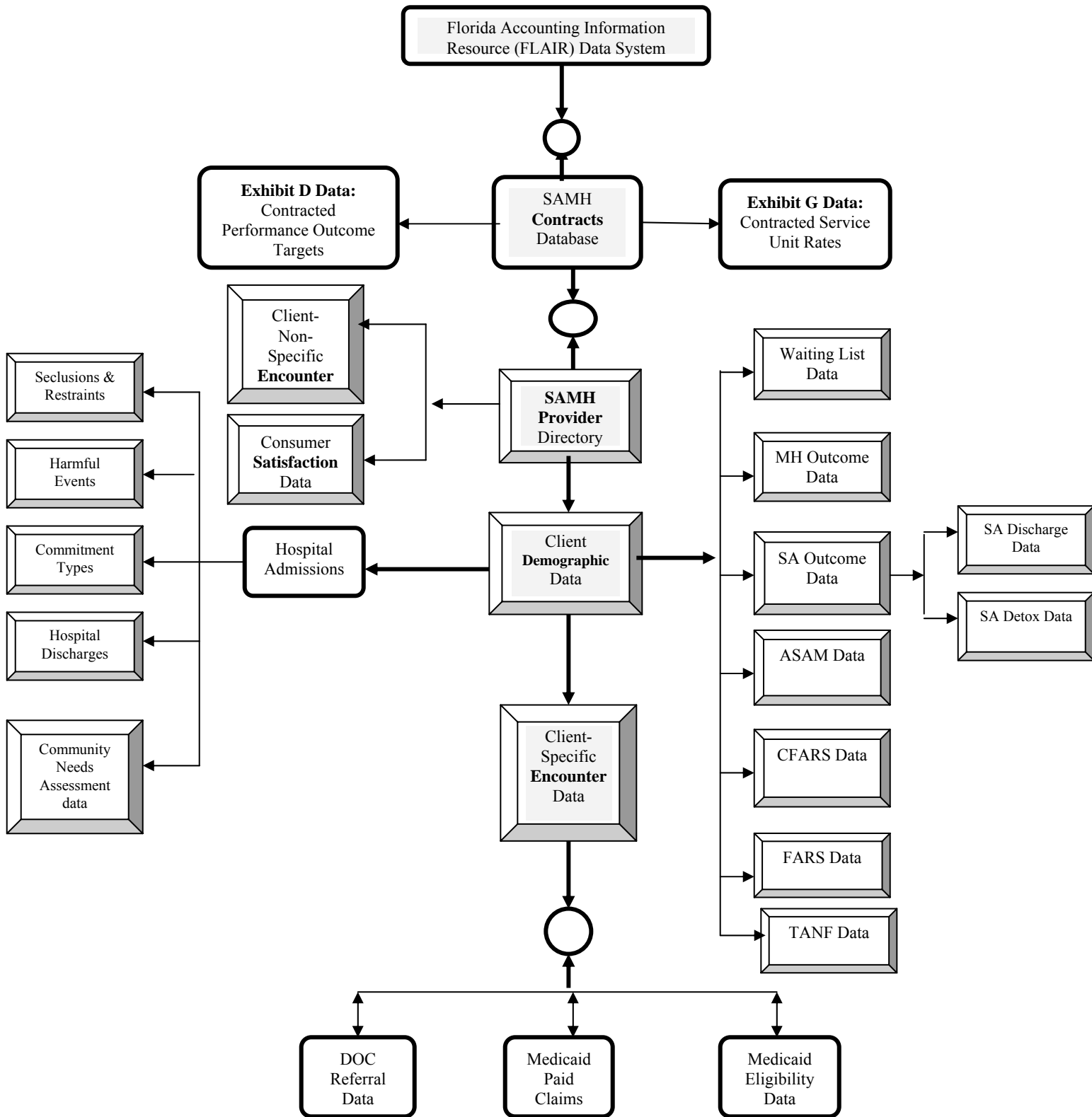
2. Assumptions and Constraints

DCF LBR Issue #36310CO will have to be approved to purchase the hardware and software needed to support this project.

There will be recurring monthly charges to have the system hosted at the NSRC in Full Service Managed mode as mandated in Chapter 2008, 116 Laws of Florida (SB 1892) that all application/database systems must be hosted at a designated Primary Data Center. These charges are currently only an estimate as the NSRC is still in the process of getting the rate schedule published, and the rates are subject to change as approved by the Board of Trustees that govern the services and expenditures of the NSRC.

The Department anticipates that the current funds for the existing SAMHIS system will cover the NSRC services cost for the WITS System.

ENTITY RELATIONSHIP DIAGRAM FOR
Community Substance Abuse and Mental Health (SAMH) Data System



C. Proposed Business Process Requirements

1. **Proposed Business Process** - Use the RFI and RFP process to purchase federally approved software through a consortium. This will meet the President's Commission requirement for implementing the transformation of Mental Health system of care supported by an information system that is capable to perform the basic Electronic Health Records (EHR) functions. The vendor of the Web Infrastructure for Treatment Services (WITS) data system would be responsible for customization, configuration, and installation of the new system using the department's .NET/SQL Server environment. This includes the gap analysis, conversion and migration of the legacy data, and initial users training. Once the new system is customized, configured, and installed, the Department will be responsible for ongoing system operation and maintenance.

NSRC will be responsible for procuring the hardware and software licenses necessary to implement the server environment to support the WITS application. NSRC will, based on approved funding timeline, conduct the procurement process, receive the hardware and software, install and configure the servers including all managed server components of the NSRC responsibility, and stage the equipment in preparation of the user acceptance and testing timeframe provided by the customer.

2. **Business Solution Alternatives** - The alternative would be to build in-house. Based on a functional point analysis, however, this would cost much more than buying and configuring a well established data system.
3. **Rationale for Selection** - Purchasing a system will take less time to market and we would be able to put the new system up within a year. This would be in line with the Secretary's initiative to provide better service for our clients and make providers more accountable. This would also meet the SAMHSA requirements for the transformation of Mental Health System for Care supported by a data system that is EHR capable. The costs for initial implementation of the WITS system are much less for the in-house hosting environment mainly because DCF technical staff are currently responsible for this environment, are already very familiar with the existing SAMH system and, therefore, the costs for gap analysis and data conversion would be less.
4. **Recommended Business Solution** - Purchase of federally approved software. To maximize the ability to meet federal, state and local requirements, Florida intends to be part of the consortium of the states that use WITS. This will be done using the appropriate procurement process, including the Request for Quote (RFQ), Request for Proposal, or sole source. A Change Control Committee would be formed to: (a) guide the initial implementation of the new system, (b) establish a comprehensive set of business rules regarding data definition, submission, processing, and reporting, and (c) ensure future system changes are based on these business rules to guarantee the reliability, validity and functionality of the data inputs and outputs.

III. Schedule IV-B Cost Benefit Analysis

A. The Cost-Benefit Analysis Forms – See Attachment I

B. CBA Forms

Step 1: Benefits Realization Table (Appendix C)

Benefits Realization Table						
	Description of Benefit	Tangible or Intangible	Who receives benefit?	How is benefit realized?	How will the realization of the benefit be assessed/measured?	Realization Date (MM/YY)
1	Cost avoidance from implementing the Financial Management, Contract management, and Claims Processing and Payment modules which will allow for verification of invoices and payments	Tangible	Department	By preventing double billing to Medicaid and the Department	o Increase in Medicaid enrollment and billing	Within 2 years following statewide deployment
2	Electronic Medical Records Management Module	Intangible	Client	Allows for a comprehensive service plan	o Online access to client records from multiple providers	Within 1 year following statewide deployment
3	Service Scheduling & Reporting Module	Intangible	Client	Reduces time to serve clients	o Reduced time between assessment and first treatment service	Within 1 year following statewide deployment
4	Human Resource Management Module	Intangible	Client	Ensures services are provided by qualified & skilled employees	o Increase in number of staff trained and certified	Within 2 years following statewide deployment
5	Contract Module	Intangible	Department	Ensures accountability		
6	Availability of both live and web-based technical assistance, training and certification for providers	Intangible	Department and Client	Allows for a consistent and well trained provider group regardless of their location	o Decrease in number of erroneous records submitted o Decrease in medication and treatment errors	Within 1 years following statewide deployment

Step 2: CBA Workbook – CBA Form 1 Net Tangible Benefits worksheet tab:

a) CBA Form 1-A Net Tangible Benefits

b) CBA-Form 1-B Character of Program Benefit Estimate

Step 3: *CBA Workbook – CBA Form 2 Project Costs* worksheet tab:

- a) CBA Form 2-A Project Cost
- b) CBA Form 2-B Character of Project Costs Estimate
- c) CBA Form 2-C Program(s) Costs for Current Operations
- d) CBA Form 2-D Character of Existing Program Cost Estimates

Step 4: *CBA Workbook – CBA Form 3 Project Investment Summary* worksheet tab:

- a) CBA Form 3-A Cost Benefit Analysis (enter no data, auto generated)
- b) CBA Form 3-B Return on Investment Analysis
- c) CBA Form 3-C Treasurer's Investment Interest Earning Yield

C. Cost-Benefit Analysis Results

The CBA does not show a payback for the purchase of hardware and software to support DCF LBR issue #36310CO.

The CBA for the matching DCF issue (#36310CO) shows a payback in one year with an Internal Rate of Return of 5642.35%. This rough estimation of cost savings is based on FY 08-09 mental health clients served.

The intangible benefits are time savings, increased efficiency, accuracy and effectiveness, and compliance with state laws and federal regulations.

IV. Major Project Risk Assessment Component

The Major Project Risk Assessment Component identifies the risks faced by the project so the agency can enact appropriate mitigation strategies for managing those risks. **This Feasibility Study Component is required for *all* IT projects.**

A. Risk Assessment Tool – See Attachment II

Eight major project risk assessment areas:

- Strategic
- Technology
- Change Management
- Communication
- Fiscal
- Project Organization
- Project Management
- Project Complexity

B. Risk Assessment Summary

The risk assessment summary is “Medium” because the communication plan, work breakdown structure, project schedule, etc. cannot be completed until a gap analysis is done and all required specifications have been identified. Through NDIIC membership the Department will be able to obtain the technical assistance to perform a gap analysis between WITS and the current SAMHIS system.

V. Technology Planning Component

Technology Planning Section	\$1-1.99M	\$2 - 10 M		> \$10 M
		Routine upgrades & infrastructure	Business or organizational change	
Current Information Technology Environment		X	X	X
Proposed Solution Description	X	X	X	X
Capacity Planning	X	X	X	X
Analysis of Alternatives	X	X	X	X

A. Current Information Technology Environment

1. Current System

- a. The SAMH application is JAVA based using two TOMCAT instances as the Application Server and Oracle 9.2.0 as the database. All components of the current application reside on a Unisys ES-7000 server.
- b. The SAMH system is in a shared resource environment hosted on a Unisys ES-7000 with multiple other Economic Self Sufficiency applications including the following: KidCare, WEBARU, Reported Change System, IVR, Suncap, and Food for Florida. The ES-7000 operating system is SUSE 9. The server has 4 Intel Xeon CPU's with 16 GB RAM. The present usable disk space allocated to this server is 2.6 TB.
- c. Current system performance - The SAMH application environment currently experiences problems when Institutions try to load or extract large volumes of data. At times this hardware becomes CPU and I/O bound due to the contention of the multiple applications and databases resident on this hardware.

At the federal level, the current system is not fully designed to collect, analyze and report all the data pertaining to the National Outcome Measures (NOMs), which are mandated by the Substance Abuse and Mental Health Services Administration (SAMHSA) as part of the Federal Block Grant data requirements.

At the state and local levels, the current system does not have adequate infrastructure (hardware and software) that can be used by consumers, family members, providers and other stakeholders to access standard and ad hoc reports needed for various decision-making purposes.

2. Strategic Information Technology Direction

The SAMHIS system would allow the department to provide a complete capture of data for a wider range of functional needs and to comply with mandated federal and state reporting. Through the implementation, the capacity of the system would be enhanced by providing a dedicated resource to support SAMHIS requirements over the current shared hardware resources.

3. Information Technology Standards

The department's technology standards embrace open systems technologies employing SQL RDBMS (SQL Server and Oracle) using Java and .Net for development of thin-client applications. As the demands on the SAMHIS system increase because of system growth, the ability to upgrade capacity to meet specific demands will be improved.

B. Proposed Solution Description

1. Summary description of proposed system

The proposed Web Infrastructure Treatment Services System is designed to run on Microsoft Windows Application servers and Microsoft SQL Server database servers. The migration of the existing data to the new system will be approximately the same size. The anticipated growth of the new system is estimated to be 40% per year.

2. Resource and summary level funding requirements for proposed system (if known) - RFI and RFP processes will be used to implement a comprehensive Substance Abuse and Mental Health Information System (SAMHIS). Equipment and software will be purchased off state term contract.

3. Ability of the proposed system to meet projected performance requirements for:

- Network and system availability - The proposed system will be available 24/7 via the Internet for authorized users outside the Department's firewall or via the Intranet for authorized users inside the Department's firewall.
- Network and system capacity - The proposed system will be able to accommodate up to 500 concurrent users, who need to access the system for the following activities: (a) direct data entry via the input screens; (b) batch file processing via the File Transfer Protocol (FTP); and/or (c) data analysis and reporting. The response time should be no less than 10 seconds per transaction. The migration of the existing data to the new system will be approximately the same size. The anticipated growth of the new system is estimated to be 40% per year. The current system has been growing at a 20% per year rate and with the anticipated increased utilization of the new system we are estimating the growth rate will double.
- Network and system reliability - The proposed system is expected to be up and running 95 percent of the time with a maximum downtime of no more than two consecutive hours per day. The hardware resource model Information Technology Services utilized for architecting this issue takes advantage of industry trends in server and SAN technology as well as architecting an environment that will protect and safeguard the production environment with fail over and redundancy. The hardware will have limited to no single point of failure technology, including the capability to host the Production database server on the Development and Acceptance server in the case of a catastrophic hardware failure.
- Network and system backup and operational recovery - All regions will be backed up on tape via a high speed tape library system that will provide adequate resources for both emergency data recovery on-site and an off-site rotation of tapes for disaster recovery. This will be accomplished by adding tape backup devices to the existing DCF enterprise backup library system and purchasing sufficient tapes to provide the on-site and off-site tape rotations.
- Scalability to meet long-term system and network requirements - The data storage capacity and data processing capacity (memory) of the proposed system is expected to grow by a factor of five percent annually.

C. Capacity Planning - See Attachment III

D. Analysis of Alternatives

1. Assessment of Alternatives - As shown in the attached PDF document (see Attachment IV), the Department conducted a detailed Function Point Analysis in

2008 comparing the cost of building the SAMHIS system (\$4,774,000) versus the cost of buying and configuring a well established system. (\$1,606,352).

2. **Assessment Process** - The department looked at systems being used in other states and has previewed systems that would meet our business needs. The Request for Information (RFI) and Request for Proposal (RFP) process will be used to select a qualified vendor of a well-established and well-tested Substance Abuse and Mental Health Information System (SAMHIS). The SAMHIS vendor will be responsible for customization, configuration, and installation of the new system using the department's .NET/SQL Server environment. This includes the gap analysis, conversion and migration of the legacy data, and initial users training. Once the new system is customized, configured, and installed, the department will be responsible for ongoing system operation and maintenance.
3. **Technology Recommendation** - Host SAMHIS in DCF .NET/SQL Server Environment

VI. Project Management Planning Component

Project Management Section	\$1-1.99 M	\$2 – 10 M		> \$10 M
		Routine upgrades & infrastructure	Business or organizational change	
Project Charter	X	X	X	X
Work Breakdown Structure	X	X	X	X
Project Schedule	X	X	X	X
Project Budget	X	X	X	X
Project Organization			X	X
Project Quality Control			X	X
External Project Oversight			X	X
Risk Management			X	X
Organizational Change Management			X	X
Project Communication			X	X
Special Authorization Requirements			X	X

A. Project Charter

Project Sponsor: Substance Abuse and Mental Health Program Office

Project Team: The project team will include representatives of the following entities:

- Through the National Data Infrastructure Improvement Consortium (NDIIC) membership, the Department will be able to access NDIIC library of applications, including publicly owned or public domain software programs, which meet the State needs. Through this membership, NDIIC staff will provide the Department with free technical assistance regarding project planning, gap analysis and cost estimates, analysis of risks and benefits, and establishment of frameworks for implementation and deployment of the new system.
- The vendor of the new data system will be responsible for the configuration and installation of the new data system modules, annual maintenance and training, and system documentation.
- The Northwood Service Resource Center (NSRC) will be responsible for hosting the new system, including hardware and software.
- The Substance Abuse and Mental Health Program Office will be responsible for developing the business requirement specifications, conducting user acceptance testing, providing statewide training and ongoing user support.

Project Purpose: To acquire a well-established and well-tested Substance Abuse and Mental Health Information System (SAMHIS), that can be used by stakeholders to perform business functions at the local, state and federal levels. The purchase of an integrated system will allow for increased accountability for all stakeholders by providing better access to the data by state employees, community-based provider organizations, consumers, and family members. Cost avoidance will also be realized with invoice verification to manage prospective payment systems and the ability to

manage on the basis of costs and eligibility tracking for revenue maximization.

Project Timeframe: DCF will issue a Request for Information (RFI) and a Request for Quote (RFQ) and follow the procedures for securing a vendor to acquire a well-established and well-tested Substance Abuse and Mental Health Information System (SAMHIS).

Activities	Duration	Timeline
1. Coordinate with NDIIC to develop and issue RFI/RFQ to select and acquire the most qualified SAMHIS vendor	2 months	07-01-2010 - 08-31-2010
2. Configure and new system data modules to reflect Florida's needs	6 months	09/01/2010 - 02/28/2011
3. Develop Florida's new specific data modules from the legacy system	6 months	09/01/2010 - 02/28/2011
4. Conduct User Acceptance Testing	2 months	03/01/2011 - 04/30/2011
5. Train system users and deploy system statewide	2 months	05/01/2011 - 06/30/2011

B. Work Breakdown Structure

Develop and issue RFI/RFP and select the most qualified vendor	07/01/2010 - 08/31/2010
Meet with selected SAMHIS vendor and conduct SAMHIS gap analysis	09/01/2010 - 09/31/2010
Acquire, configure and customize SAMHIS based on gap analysis	10/01/2010 - 02/28/2011
Test and pilot SAMHIS and provide training to system users	03/01/2011 - 05/30/2011
Deploy SAMHIS statewide	06/01/2011 - 06/30/2011
Conduct hardware/software procurement process	09/01/2010 - 10/31/2010
Receive hardware/software	11/01/2010 - 11/30/2010
Install, configure, and conduct testing of new hardware/software	12/01/2010 - 12/31/2010
Stage new environment in preparation of User Acceptance Testing	01/01/2011 - 02/28/2011

C. Resource Loaded Project Schedule

Project Schedule is minimally detailed until the status of resource availability is more clearly known and a gap analysis has been done to determine the WITS modules needed.

D. Project Budget - See Attachment V

DCF LBR Issue # 36310CO requests a total budget in the amount of \$2,427,702 to acquire the WITS system, gap analysis, enhancements, implementation, maintenance and support. This budget was estimated based on the survey of the twelve states and seven counties that currently use the WITS application.

NSRC LBR Issue # 36322CO requests a total budget in the amount of \$134,852 for hardware and software to host the WITS application in the DCF .NET/SQL Server Environment at the Northwood Shared Resource Center.

E. Project Organization

Information Systems will use current staffing with supplemental contract programming staff to customize the application as needed.

F. Project Quality Control

Existing formal and informal quality control processes and procedures will be followed during this activity, which will include customer testing and approval prior to implementation.

G. External Project Oversight

No external project oversight is required for this project.

H. Risk Management

Risk Description/Impact	Probability of Occurrence (high, medium, low)	Tolerance Level (high, medium, low)	Mitigation Strategy	Assigned Owner
1. Project is not funded	Department cannot proceed to implement efficiencies	Moderate	Get funding	Stephenie Colston
2. Project funded but not implemented timely	Efficiencies are delayed	Low	Develop & manage milestones & project schedule	NSRC
3. Project not managed effectively	Efficiencies are delayed	Low	Develop & manage milestones & project schedule	Denis Fouche

I. Organizational Change Management

NSRC will use current change management controls to ensure minimal impact to project.

J. Project Communication

NSRC will conduct technical walk-thrus of major milestone deliverables following ISDM standards to ensure communication and dissemination of information across all stakeholders and to facilitate a successful project implementation.

K. Special Authorization Requirements – No special authorization is required.

VII. Appendices

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

Attachment I – Cost Benefit Analysis Forms

Attachment II – Risk Assessment Tool

Attachment III = Capacity Plan

Attachment IV = Function Point Analysis

Attachment V = Budget Worksheets

CBAForm 1 - Net Tangible Benefits

Agency rhwood Shared Resource CerProject SAMHIS

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 (Operations Only -- No Project Costs)	FY 2010-11			FY 2011-12			FY 2012-13			FY 2013-14			FY 2014-15		
	(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) 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 -- Total FTE Costs (Salaries & Benefits)	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
A.b Total FTE	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
A-1.a. State FTEs (Salaries & Benefits)	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
A-1.b. State FTEs (# FTEs)	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
A-2.a. OPS FTEs (Salaries)	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
A-2.b. OPS FTEs (# FTEs)	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
A-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 Contract FTEs)	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
B. Data Processing -- Costs	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
B-1. Hardware	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
B-2. Software	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
B-3. Other	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
C. External Service Provider -- Costs	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
C-1. Consultant Services	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
C-2. Maintenance & Support Services	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
C-3. Network / Hosting Services	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
C-4. Data Communications Services	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
C-5. Other Annual membership fee	\$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. Others -- 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 Operational Costs (Rows A through E)	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
F. Additional Tangible Benefits:		\$0			\$0			\$0			\$0			\$0	
F-1. Annual customer charges		\$0			\$0			\$0			\$0			\$0	
F-2. Specify		\$0			\$0			\$0			\$0			\$0	
F-3. Specify		\$0			\$0			\$0			\$0			\$0	
Total Net Tangible Benefits:		\$0			\$0			\$0			\$0			\$0	

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

CBAForm 2 - Project Cost Analysis

Agency thwood Shared Resource CelProject SAMHIS

PROJECT COST ELEMENTS	PROJECT COST TABLE -- CBAForm 2A					TOTAL
	FY 2010-11	FY 2011-12	FY 2012-13	FY 2013-14	FY 2014-15	
State FTEs (Salaries & Benefits)	\$0	\$0	\$0	\$0	\$0	\$0
OPS FTEs (Salaries)	\$0	\$0	\$0	\$0	\$0	\$0
Contractors (Costs)	\$0	\$0	\$0	\$0	\$0	\$0
Deliverables	\$0	\$0	\$0	\$0	\$0	\$0
Major Project Tasks	\$0	\$0	\$0	\$0	\$0	\$0
Hardware <u>servers</u>	\$51,419	\$0	\$0	\$0	\$0	\$51,419
COTS Software	\$52,881	\$15,567	\$15,567	\$15,567	\$15,567	\$115,149
Misc. Equipment <u>disks & tape</u>	\$30,552	\$0	\$0	\$0	\$0	\$30,552
Other Project Costs <u>Specify</u>	\$0	\$0	\$0	\$0	\$0	\$0
	\$0	\$0	\$0	\$0	\$0	\$0
TOTAL PROJECT COSTS (*)	\$134,852	\$15,567	\$15,567	\$15,567	\$15,567	\$197,120
CUMULATIVE PROJECT COSTS	\$134,852	\$150,419	\$165,986	\$181,553	\$197,120	
INVESTMENT SUMMARY						TOTAL
	FY 2010-11	FY 2011-12	FY 2012-13	FY 2013-14	FY 2014-15	
General Revenue	\$134,852	\$15,567	\$15,567	\$15,567	\$15,567	\$197,120
Trust Fund	\$0	\$0	\$0	\$0	\$0	\$0
Federal Match	\$0	\$0	\$0	\$0	\$0	\$0
Grants	\$0	\$0	\$0	\$0	\$0	\$0
Other <u>Specify</u>	\$0	\$0	\$0	\$0	\$0	\$0
TOTAL INVESTMENT (*)	\$134,852	\$15,567	\$15,567	\$15,567	\$15,567	\$197,120
CUMULATIVE INVESTMENT (*)	\$134,852	\$150,419	\$165,986	\$181,553	\$197,120	

(*) Total Costs and Investments are carried forward to CBAForm3 Project Investment Summary worksheet.

Character of Project Costs Estimate - CBAForm 2B			
Choose Type		Estimate Confidence	Enter % (+/-)
Detailed/Rigorous	<input checked="" type="checkbox"/>	Confidence Level	
Order of Magnitude	<input type="checkbox"/>	Confidence Level	
Placeholder	<input type="checkbox"/>	Confidence Level	

CBAForm 3 - Project Investment Summary

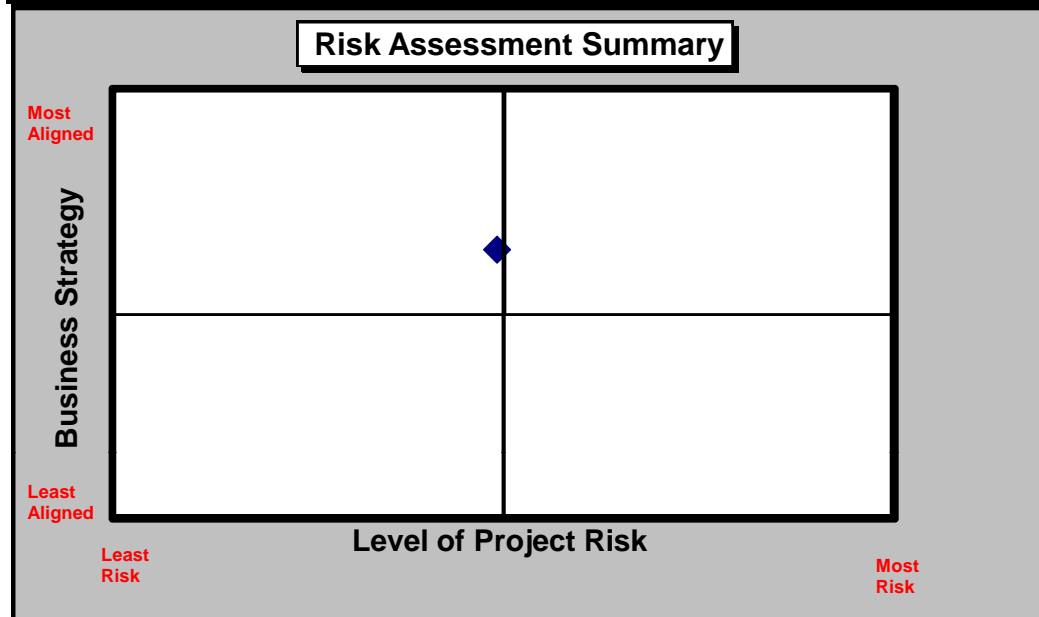
Agency Northwood Shared Resource CenterProject SAMHIS

<i>COST BENEFIT ANALYSIS -- CBAForm 3A</i>						
	FY 2010-11	FY 2011-12	FY 2012-13	FY 2013-14	FY 2014-15	TOTAL
Project Cost	\$134,852	\$15,567	\$15,567	\$15,567	\$15,567	\$197,120
Net Tangible Benefits	\$0	\$0	\$0	\$0	\$0	\$0
Return on Investment	(\$134,852)	(\$15,567)	(\$15,567)	(\$15,567)	(\$15,567)	(\$197,120)
Year to Year Change in Program Staffing	0	0	0	0	0	

<i>RETURN ON INVESTMENT ANALYSIS -- CBAForm 3B</i>		
Payback Period (years)	NO PAYBACK	Payback Period is the time required to recover the investment costs of the project.
Breakeven Fiscal Year	NO PAYBACK	Fiscal Year during which the project's investment costs are recovered.
Net Present Value (NPV)	(\$179,926)	NPV is the present-day value of the project's benefits less costs over the project's lifecycle.
Internal Rate of Return (IRR)	NO IRR	IRR is the project's rate of return.

<i>Treasurer's Investment Interest Earning Yield -- CBAForm 3C</i>					
Fiscal Year	FY 2010-11	FY 2011-12	FY 2012-13	FY 2013-14	FY 2014-15
Cost of Capital	5.35%	5.38%	5.38%	5.38%	5.38%

Project	SAMHIS	
Agency	Northwood Shared Resource Center	
FY 2010-11 LBR Issue Code:	FY 2010-11 LBR Issue Title:	
36322 CO	DCF SAMHIS	
Risk Assessment Contact Info (Name, Phone #, and E-mail Address):		
Lori Schultz, 487-8902, lori_schultz@dcf.state.fl.uw		
Executive Sponsor	Stephenie Colston	
Project Manager		
Prepared By	Sen-Yoni Musingo	9/11/2009



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

Agency: Northwood Shared Resource Center

Project: SAMHIS

Section 1 -- Strategic Area			
#	Criteria	Values	Answer
1.01	Are project objectives clearly aligned with the agency's legal mission?	0% to 40% -- Few or no objectives aligned	81% to 100% -- All or nearly all objectives aligned
		41% to 80% -- Some objectives aligned	
		81% to 100% -- All or nearly all objectives aligned	
1.02	Are project objectives clearly documented and understood by all stakeholder groups?	Not documented or agreed to by stakeholders	Informal agreement by stakeholders
		Informal agreement by stakeholders	
		Documented with sign-off by stakeholders	
1.03	Are the project sponsor, senior management, and other executive stakeholders actively involved in meetings for the review and success of the project?	Not or rarely involved	Project charter signed by executive sponsor and executive team actively engaged in steering committee meetings
		Most regularly attend executive steering committee meetings	
		Project charter signed by executive sponsor and executive team actively engaged in steering committee meetings	
1.04	Has the agency documented its vision for how changes to the proposed technology will improve its business processes?	Vision is not documented	Vision is completely documented
		Vision is partially documented	
		Vision is completely documented	
1.05	Have all project business/program area requirements, assumptions, constraints, and priorities been defined and documented?	0% to 40% -- Few or none defined and documented	81% to 100% -- All or nearly all defined and documented
		41% to 80% -- Some defined and documented	
		81% to 100% -- All or nearly all defined and documented	
1.06	Are all needed changes in law, rule, or policy identified and documented?	No changes needed	No changes needed
		Changes unknown	
		Changes are identified in concept only	
		Changes are identified and documented	
		Legislation or proposed rule change is drafted	
1.07	Are any project phase or milestone completion dates fixed by outside factors, e.g., state or federal law or funding restrictions?	Few or none	Few or none
		Some	
		All or nearly all	
1.08	What is the external (e.g. public) visibility of the proposed system or project?	Minimal or no external use or visibility	Extensive external use or visibility
		Moderate external use or visibility	
		Extensive external use or visibility	
1.09	What is the internal (e.g. state agency) visibility of the proposed system or project?	Multiple agency or state enterprise visibility	Use or visibility at division and/or bureau level only
		Single agency-wide use or visibility	
		Use or visibility at division and/or bureau level only	
1.10	Is this a multi-year project?	Greater than 5 years	1 year or less
		Between 3 and 5 years	
		Between 1 and 3 years	
		1 year or less	

Agency: Northwood Shared Resource Center

Project: SAMHIS

Section 2 -- Technology Area			
#	Criteria	Values	Answer
2.01	Does the agency have experience working with, operating, and supporting the proposed technology in a production environment?	Read about only or attended conference and/or vendor presentation	Installed and supported production system more than 3 years
		Supported prototype or production system less than 6 months	
		Supported production system 6 months to 12 months	
		Supported production system 1 year to 3 years	
		Installed and supported production system more than 3 years	
2.02	Does the agency's internal staff have sufficient knowledge of the proposed technology to implement and operate the new system?	External technical resources will be needed for implementation and operations	Internal resources have sufficient knowledge for implementation and operations
		External technical resources will be needed through implementation only	
		Internal resources have sufficient knowledge for implementation and operations	
2.03	Have all relevant technology alternatives/ solution options been researched, documented and considered?	No technology alternatives researched	All or nearly all alternatives documented and considered
		Some alternatives documented and considered	
		All or nearly all alternatives documented and considered	
2.04	Does the proposed technology comply with all relevant agency, statewide, or industry technology standards?	No relevant standards have been identified or incorporated into proposed technology	Proposed technology solution is fully compliant with all relevant agency, statewide, or industry standards
		Some relevant standards have been incorporated into the proposed technology	
		Proposed technology solution is fully compliant with all relevant agency, statewide, or industry standards	
2.05	Does the proposed technology require significant change to the agency's existing technology infrastructure?	Minor or no infrastructure change required	Moderate infrastructure change required
		Moderate infrastructure change required	
		Extensive infrastructure change required	
		Complete infrastructure replacement	
2.06	Are detailed hardware and software capacity requirements defined and documented?	Capacity requirements are not understood or defined	Capacity requirements are based on historical data and new system design specifications and performance requirements
		Capacity requirements are defined only at a conceptual level	
		Capacity requirements are based on historical data and new system design specifications and performance requirements	

Agency: Northwood Shared Resource Center

Project: SAMHIS

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

Agency: Agency Name

Project: Project Name

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

Agency: Northwood Shared Resource Center

Project: SAMHIS

Section 5 -- Fiscal Area			
#	Criteria	Values	Answer
5.01	Has a documented Spending Plan been approved for the entire project lifecycle?	Yes No	No
5.02	Have all project expenditures been identified in the Spending Plan?	0% to 40% -- None or few defined and documented 41% to 80% -- Some defined and documented 81% to 100% -- All or nearly all defined and documented	81% to 100% -- All or nearly all defined and documented
5.03	What is the estimated total cost of this project over its entire lifecycle?	Unknown Greater than \$10 M Between \$2 M and \$10 M Between \$500K and \$1,999,999 Less than \$500 K	Between \$2 M and \$10 M
5.04	Is the cost estimate for this project based on quantitative analysis using a standards-based estimation model?	Yes No	Yes
5.05	What is the character of the cost estimates for this project?	Detailed and rigorous (accurate within $\pm 10\%$) Order of magnitude – estimate could vary between 10-100% Placeholder – actual cost may exceed estimate by more than 100%	Detailed and rigorous (accurate within $\pm 10\%$)
5.06	Are funds available within existing agency resources to complete this project?	Yes No	No
5.07	Will/should multiple state or local agencies help fund this project or system?	Funding from single agency Funding from local government agencies Funding from other state agencies	Funding from single agency
5.08	If federal financial participation is anticipated as a source of funding, has federal approval been requested and received?	Neither requested nor received Requested but not received Requested and received Not applicable	Not applicable
5.09	Have all tangible and intangible benefits been identified and validated as reliable and achievable?	Project benefits have not been identified or validated Some project benefits have been identified but not validated Most project benefits have been identified but not validated All or nearly all project benefits have been identified and validated	All or nearly all project benefits have been identified and validated
5.10	What is the benefit payback period that is defined and documented?	Within 1 year Within 3 years Within 5 years More than 5 years No payback	No payback
5.11	Has the project procurement strategy been clearly determined and agreed to by affected stakeholders?	Procurement strategy has not been identified and documented Stakeholders have not been consulted re: procurement strategy Stakeholders have reviewed and approved the proposed procurement strategy	Stakeholders have reviewed and approved the proposed procurement strategy
5.12	What is the planned approach for acquiring necessary products and solution services to successfully complete the project?	Time and Expense (T&E) Firm Fixed Price (FFP) Combination FFP and T&E	Combination FFP and T&E

Agency: Northwood Shared Resource Center

Project: SAMHIS

Section 5 -- Fiscal Area			
#	Criteria	Values	Answer
5.13	What is the planned approach for procuring hardware and software for the project?	Timing of major hardware and software purchases has not yet been determined	Just-in-time purchasing of hardware and software is documented in the project schedule
		Purchase all hardware and software at start of project to take advantage of one-time discounts	
		Just-in-time purchasing of hardware and software is documented in the project schedule	
5.14	Has a contract manager been assigned to this project?	No contract manager assigned	Contract manager assigned is not the procurement manager or the project manager
		Contract manager is the procurement manager	
		Contract manager is the project manager	
		Contract manager assigned is not the procurement manager or the project manager	
5.15	Has equipment leasing been considered for the project's large-scale computing purchases?	Yes	Yes
		No	
5.16	Have all procurement selection criteria and outcomes been clearly identified?	No selection criteria or outcomes have been identified	All or nearly all selection criteria and expected outcomes have been defined and documented
		Some selection criteria and outcomes have been defined and documented	
		All or nearly all selection criteria and expected outcomes have been defined and documented	
5.17	Does the procurement strategy use a multi-stage evaluation process to progressively narrow the field of prospective vendors to the single, best qualified candidate?	Procurement strategy has not been developed	Multi-stage evaluation and proof of concept or prototype planned/used to select best qualified vendor
		Multi-stage evaluation not planned/used for procurement	
		Multi-stage evaluation and proof of concept or prototype planned/used to select best qualified vendor	
5.18	For projects with total cost exceeding \$10 million, did/will the procurement strategy require a proof of concept or prototype as part of the bid response?	Procurement strategy has not been developed	Not applicable
		No, bid response did/will not require proof of concept or prototype	
		Yes, bid response did/will include proof of concept or prototype	
		Not applicable	

Agency: Northwood Shared Resource Center

Project: SAMHIS

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

Agency: Northwood Shared Resource Center

Project: SAMHIS

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

Agency: Northwood Shared Resource Center

Project: SAMHIS

Section 7 -- Project Management Area			
#	Criteria	Values	Answer
7.11	Does the project schedule specify all project tasks, go/no-go decision points (checkpoints), critical milestones, and resources?	Yes	No
		No	
7.12	Are formal project status reporting processes documented and in place to manage and control this project?	No or informal processes are used for status reporting	Project team uses formal processes
		Project team uses formal processes	
		Project team and executive steering committee use formal status reporting processes	
7.13	Are all necessary planning and reporting templates, e.g., work plans, status reports, issues and risk management, available?	No templates are available	Some templates are available
		Some templates are available	
		All planning and reporting templates are available	
7.14	Has a documented Risk Management Plan been approved for this project?	Yes	No
		No	
7.15	Have all known project risks and corresponding mitigation strategies been identified?	None or few have been defined and documented	Some have been defined and documented
		Some have been defined and documented	
		All known risks and mitigation strategies have been defined	
7.16	Are standard change request, review and approval processes documented and in place for this project?	Yes	No
		No	
7.17	Are issue reporting and management processes documented and in place for this project?	Yes	No
		No	

Agency: Northwood Shared Resource Center

Project: SAMHIS

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

NORTHWOOD SHARED RESOURCE CENTER

FISCAL YEAR 2010-2011

CAPACITY PLAN

FOR

SUBSTANCE ABUSE AND MENTAL HEALTH INFORMATION SYSTEM



PREPARED FOR THE
TECHNOLOGY REVIEW WORKGROUP

PREPARED SEPTEMBER 2009

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CAPACITY PLAN FOR SAMHIS

SUMMARY AND INTRODUCTION

SAMH is the Department of Children and Families' current application system that will be replaced by the proposed application solution contained in SAMHIS D3A. The SAMH application is JAVA based using two TOMCAT instances as the Application Server and Oracle 10g as the database. All components of the current application reside on a HP Proliant DL585 Quad Dual-Core server with redundant paths to a Highly Scalable Storage Area Network.

The proposed Web Infrastructure Treatment Services System is designed to run on Microsoft Windows Application servers and Microsoft SQL Server database servers. The migration of the existing data to the new system will be approximately the same size. The anticipated growth of the new system is estimated to be 40% per year. The current system has been growing at a 20% per year rate and with the anticipated increased utilization of the new system we are estimating the growth rate will double.

The SAMH system is in a shared resource environment hosting multiple Oracle databases and several Tomcat application server instances. The proposed solution would not be viable to run in this shared environment due to operating system differences. The proposed solution requires a .Net application server front-end and a SQL server back-end environment.

The SAMH application environment currently experiences problems when Institutions try to load or extract large volumes of data. At times this hardware becomes CPU and I/O bound due to the contention of the multiple applications and databases resident on this hardware.

At the federal level, the current system is not fully designed to collect, analyze and report all the data pertaining to the National Outcome Measures (NOMs), which are mandated by the Substance Abuse and Mental Health Services Administration (SAMHSA) as part of the Federal Block Grant data requirements.

At the state and local levels, the current system does not have adequate infrastructure (hardware and software) that can be used by consumers, family members, providers and other stakeholders to access standard and ad hoc reports needed for various decision-making purposes.

We have not completed a previous capacity plan for this equipment and application environment.

I. Scope of the Plan

This capacity plan addresses the following IT services:

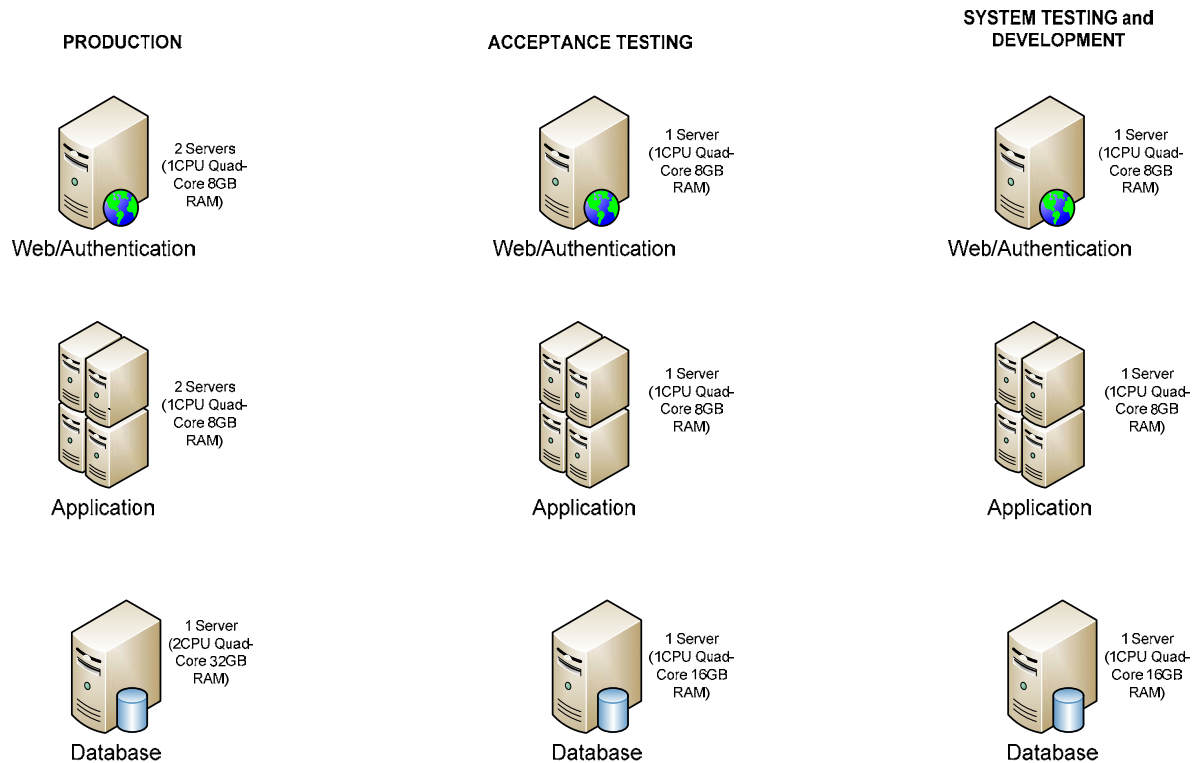
- SAMH Application
- SAMH database

This capacity plan addresses the following equipment:

Equipment (Brand name & model)	Quantity	Original Purchase Date	Replacement Cycle
HP DL585 4CPU dual-core (current environment)	1	06/2007	06/2012
2 cpu quad-core database server production 32 gig memory (proposed)	1		5 years
1 cpu quad-core blade production application servers 8 gig memory (proposed) (2 for app, 2 for authentication)	4		5 years
Storage Area Network Disk minimum 5 TB raid 5 (proposed)	1		5 years
1 cpu quad-core blade acceptance database server 16 gig memory (proposed)	1		5 years
1 cpu quad-core blade acceptance application servers 8 gig memory (proposed) (1 for app, 1 for authentication)	2		5 years
1 cpu quad-core blade system test/development database server 16 gig memory (proposed)	1		5 years
1 cpu quad-core blade system test/development application servers 8 gig memory (proposed) (1 for app, 1 for authentication)	2		5 years

II. Proposed Architecture Diagram

Web Infrastructure Treatment Services for Substance Abuse & Mental Health Proposed Architecture



III. Methods Used

The agency used the following methods to obtain the information provided in this capacity plan:

A. Method 1

The capacity plan was created through analysis of current SAMH application resource utilization reports.

B. Method 2

Information gathered during planning discussions with proposed system development team that supports these systems for several other states.

IV. Assumptions & Constraints

The information in this capacity plan is based on the following assumptions:

A. Assumption 1

Information Systems best business practices for application production deployment are that we separate our production environments where possible from non-production hardware. This practice minimizes our exposure to software failures that can be introduced by system level software and application software deployments. Additionally this configuration provides a more controlled production environment.

B. Assumption 2

Information Systems best business practices also include that hardware is best tailored to specific utilization. We currently architect our application environments by separating our application and database environments over two different physical servers utilizing a “best of breed” approach. Application servers can be smaller and fail over redundancy can be accommodated by multiple small servers. Database servers generally work harder and have more cpu’s and memory.

C. Assumption 3

Information Systems utilizes SAN technology relying on Storage Area networks rather than internal disk for new servers. This minimizes the amount of administrative overhead.

The information in this capacity plan is based on the following constraints:

A. Constraint 1

Additional funding will be required in the future for implementation of system changes due to any new data requirements by stakeholders.

B. Constraint 2

Constraint 2 description

V. Business Scenarios

A Substance Abuse and Mental Health Information System (SAMHIS)), which can be used by stakeholders to perform business functions at the local, state and federal levels is needed. The purchase of an integrated Substance Abuse and Mental Health Information System will allow for increased accountability for all stakeholders by providing better access to the data by state, district, community-based provider organizations, consumers, and family members. Cost avoidance will also be realized with invoice verification to manage prospective payment systems and the ability to manage on the basis of costs and eligibility tracking for revenue maximization.

VI. Service Capacity Summary

A. Current and Recent Service Provision

Current database capacity by region:

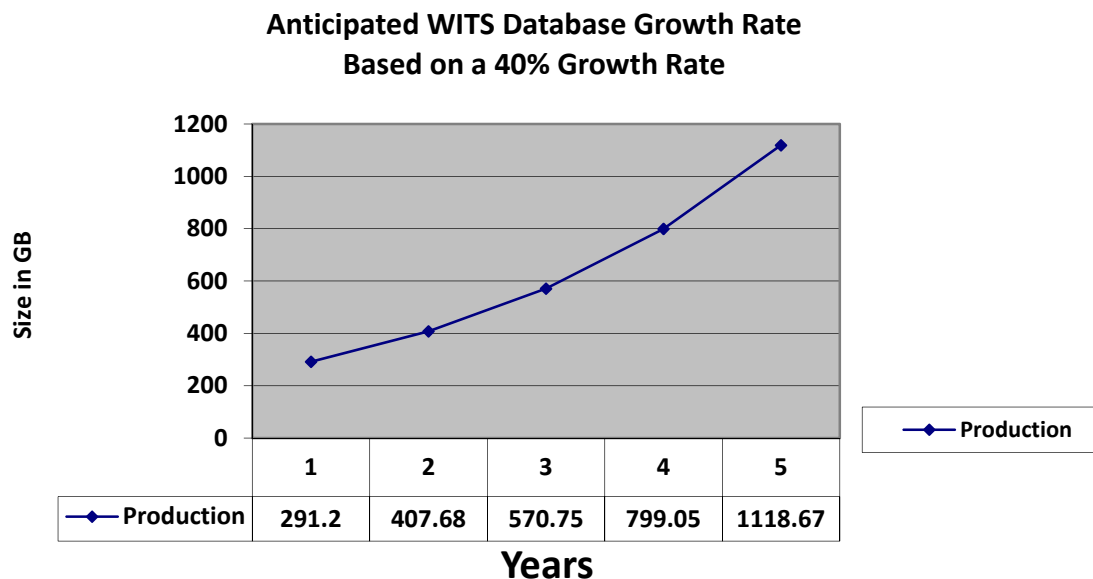
SAMH Production 208 Gig

SAMH Acceptance 8 Gig

SAMH Development 44 Gig

B. Capacity Forecasts

Short term trends indicate that the current database storage is increasing approximately 20 percent per year. The proposed WITS system could produce a 40 percent year growth rate based on increased utilization. See the chart below for anticipated growth rates based on 40 percent per year with a starting point of the current SAMH database size.



VII. Resource Capacity Summary

A. Current and Recent Resource Usage

The current platform and SAMH application system has not been the subject of a detailed capacity and utilization study.

B. Resource Forecasts

The resources identified in Section II were identified to resolve the identified Business problems within the Substance Abuse and Mental Health Program offices. These identified problems can be resolved with the purchase of an integrated well-established and well-tested Substance Abuse and Mental Health Information System that is hosted on a current hardware platform tailored to application and database deployment following Department “best business” practices.

VIII. Opportunities for Improvement

Maintaining the current environment will not provide an adequate hardware, software and application configuration that will meet the stated Mental Health and Substance Abuse business problems.

The proposed solution is to use the Request for Information (RFI) and Request for Proposal (RFP) processes to select a qualified vendor of a well-established and well-tested Substance Abuse and Mental Health Information System (SAMHIS) that will be used by stakeholders as needed to resolve the above business problems at the local, state and federal levels. The SAMHIS vendor would be responsible for customization, configuration, and installation of the new system using the Department's .NET/SQL Server environment. This includes the gap analysis, conversion and migration of the legacy data, and initial users training. Once the new system is customized, configured, and installed, the Department will be responsible for ongoing system operation and maintenance.

The hardware resource model Information Systems utilized for architecting this issue takes advantage of industry trends in server and SAN technology as well as architecting an environment that will protect and safeguard the production environment with fail over and redundancy. The hardware will have limited to no single point of failure technology, including the capability to host the Production database server on the Development and Acceptance server in the case of a catastrophic hardware failure.

The unknown effective utilization of the proposed system does not lend for drastic reduction in initial procurement costs. This solution does incorporate several options for reallocating hardware to the production region if needed and making virtualized server environments of the physical acceptance and system test environments.

Cost

DCF LBR Issue # 36310CO requests a total budget in the amount of \$2,427,702 to acquire the WITS system, gap analysis, enhancements, implementation, maintenance and support. This budget was estimated based on the survey of the twelve states and seven counties that currently use the WITS application.

NSRC LBR Issue # 36322CO requests a total budget in the amount of \$134,852 for hardware and software to host this application in the DCF .NET/SQL Server Environment at the Northwood Shared Resource Center.

	REQUEST FY 2009-10	NONRECURRING FY 2009-10
COMPUTER RELATED EXPENSES		
HARDWARE:		
Three (3) Database Servers	\$ 21,427	\$ 21,427
One (1) Production Server	\$13,553	
2 Processors, 32GB RAM,		
Two (2) Acceptance/Development Servers	\$ 7,874	
\$3,937 each, 1 Processor, 16GB RAM		
Eight (8) Web/Application Servers	\$ 29,992	\$ 29,992
Four (4) Production Servers	\$14,996	
\$3,749 each, 1 Processor, 8GB RAM		
Two (2) Acceptance Servers	\$ 7,498	
\$3,749 each, 1 Processor, 8GB RAM		
Two (2) Dev/System Test Servers	\$ 7,498	
\$3,749 each, 1 Processor, 8GB RAM		
Twenty-four (24) Disk	\$ 24,552	\$ 24,552
Sixteen (16) Production Disk	\$16,368	
\$1,023 each, 300GB SAN		
Four (4) Acceptance Disk	\$ 4,092	
\$1,023 each, 300GB SAN		
Four Dev/System Test Disk	\$ 4,092	
\$1,023 each, 300GB, SAN		
Two Hundred (200) Tapes	\$ 6,000	\$ 6,000
\$30.00 each, All Systems Tape Cartridges		
For Enterprise Tape Library Backup System		
SOFTWARE:		
Three (3) OS Windows Server 2008 Enterprise	\$ 8,766	\$ 5,904
@ \$2,922.14 each		
Eight (8) OS Windows Server 2008 Standard	\$ 5,762	\$ 4,562
@ \$720.28 each		
Four (4) SQL Server Standard Edition	\$ 29,645	\$ 20,752
@\$7,411.22 each		
Eleven (11) Management license	\$ 8,708	\$ 6,096
@\$791.66 each (provides monitoring, config, backup)		
Total	\$134,852	\$119,285

IX. Recommendations

The Department requests funds for FY 2008-2009 to acquire a well-established and well-tested Substance Abuse and Mental Health Information System (SAMHIS), which can be used by stakeholders to perform business functions at the local, state and federal levels. The purchase of an integrated Substance Abuse and Mental Health Information System will allow for increased accountability for all stakeholders by providing better access to the data by state, district, community-based provider organizations, consumers, and family members. Cost avoidance will also be realized with invoice verification to manage prospective payment systems and the ability to manage on the basis of costs and eligibility tracking for revenue maximization.

IMPACT OF NOT FUNDING: The lack of funding for this issue will impact the federal, state and local data reporting requirements as follows:

1. At the federal level, the current system is not fully designed to collect, analyze and report all the data pertaining to the National Outcome Measures (NOMs), which are mandated by the Substance Abuse and Mental Health Services Administration (SAMHSA) as part of the Federal Block Grant data requirements.
2. At the state and local levels, the current system does not have adequate infrastructure (hardware and software) that can be used by consumers, family members, providers and other stakeholders to access standard and ad hoc reports needed for various decision-making purposes.

Function Point Analysis for SAMHIS and Build v. Buy Cost Comparison

The purpose of the following charts is to show estimates of what it would cost to construct the system that the Department proposes to purchase. The estimates are based on function points needed to construct the system.

RFI Requirements	Files/Function Points	Requested Functionality
Provider Facility Management	Demographics/30 points Sites (hours, programs), licensure/30 points Total = 60 points	Agency Profiles
		Provider Site Information
		Hours of Operation
		Service Capacities
		Specialty Programs
		Professional Licensure, Certifications
		Accreditations
Human Resources Management	Who/30 points Availability/40 points	Staff Member Profiles (Basic Demographic information;
		Days and Hours of Operation
		Contact information
		Fee Structure
		Medicaid / Medicare participation
		Schedule availability
		Employment / Affiliation status
		Licensure / Education information
		Expertise

Function Point Analysis for SAMHIS and Build v. Buy Cost Comparison

RFI Requirements	Files/Function Points	Requested Functionality
	Total = 70 points	Insurance coverage)
Financial Management	Allocation/40 points	Contract-level information (revenues by funding source, program area and cost center)
	Expenditures/40 points	
	Revenues/40 points	Contract-level information (expenses by category, program area and cost center)
	Total = 120 points	
Contract Management	Budget/30 points	Contract-level information (Contracted for services & rates;
	Performance Expectations/30 points	Contracted for budget amounts;
	Units purchased/30 points	Contracted for effective & expiration dates;
		Targets per performance measure/indicator).
	Total = 90 points	
Federal Grants Management	What service/30 points	Access to Recovery (ATR) Voucher system, including ATR interview information;
	When/30 points	ATR Services needed & received by consumer;
	How much/30 points	ATR Amount of money encumbered and spent;
	Services table/40 points	Drug and Alcohol Services Information System (DASIS) data related to Treatment Episode Data System (TEDS) and State Outcomes Measurement and Management System (SOMMS).

Function Point Analysis for SAMHIS and Build v. Buy Cost Comparison

RFI Requirements	Files/Function Points	Requested Functionality
	Total = 130 points	National Outcome Measures (NOMS) for Substance Abuse Treatment
		National Outcome Measures for Substance Abuse Prevention
		National Outcome Measures for Mental Health
		Uniform Reporting System Data for Mental Health Block Grant
Electronic Medical Record (EMR) Management	Demographic/30 points	Evaluation and diagnosis
	Needs/30 points	Multi-disciplinary team planning and personal outcomes
	Service Plan/40 points	Consumer's and family members' feedback
	Medication management/30 points	Medication management
	Emergency contact/30 points	Emergency care information
	Incident status/30 points	Incident reports including restraint, seclusion, and vitals management
	Court orders and legal status/60 points	Court-ordered data and notification information of guardianship, court contacts, and duty-to-protect contacts
	Process notes/60 points	Legal assignments including legal status, criminal charges, and guardianship type
	Total = 310 points	Progress notes and electronic signatures

Function Point Analysis for SAMHIS and Build v. Buy Cost Comparison

RFI Requirements	Files/Function Points	Requested Functionality
Managed Care Coordination	Files already created in other functional modules; no additional function points	Utilization management (payment authorization, claims payment, (re)certifications, tracking authorized visits and procedures, monitoring of treatment and outcomes)
		Physician/clinician review and credentials verification
		Quality assurance including user-defined diagnostic categories, user-defined clinical events, individual-level core treatment outcomes, and individual-level performance standards
		Evidence-based practices (EBP) and clinical practice guidelines
		Case management, including information needed by consumers, family members and service providers
		Eligibility information including information related to insurance plans and benefits. Current roster of individuals eligible for coverage under various plans. Use of HIPAA electronic transactions for: healthcare eligibility benefit inquiry and response; benefit enrollment and disenrollment in health plans; and, health care services review, all using the applicable HIPAA ASC X12N standard.
		Waiting Lists, including pre-admission data for individuals receiving services or candidates for such services.
		Community needs assessment for consumers referred from community provider agencies to state mental health treatment facilities and vice versa.

Function Point Analysis for SAMHIS and Build v. Buy Cost Comparison

RFI Requirements	Files/Function Points	Requested Functionality
Service Scheduling and Reporting	Scheduling (appointments)/40 points Outcomes/40 points Total = 80 points	Scheduling and tracking appointments for staff and clients
		Tracking service events/encounters, including recipients, providers, procedures, dates and times, service units, and other service data elements, as needed.
		Tracking non-direct service time of staff, e.g., attendance, meetings, vacation, sick leave, etc.
		Maintenance of rate schedules associated with various funding sources.
Claims Processing and Payment	Eligible plans and rates/60 points Invoice generation/60 points Payment processing/60 points	Maintenance of insurance plans
		Determination of consumer eligibility status and billable services and payers.
		Pro-ration of uninsured bill portions and billing and re-billing for unpaid or partially-paid for by third-party insurance.
		Tracking of invoice payments with outstanding balances
		Determination of provider status at time of service

Function Point Analysis for SAMHIS and Build v. Buy Cost Comparison

RFI Requirements	Files/Function Points	Requested Functionality
		Maintenance of fee schedule for payment of services
		Review authorization of payment for service rendered by referencing authorized service levels.
		Coordination of benefits by referencing eligibility files and records of alternative coverage.
	Total = 180 points	
State Performance Measurement and Management	Files already created in other functional modules; no additional function points	Collection and reporting of data not captured elsewhere but required in the DCF Dashboard.

Function Point Analysis for SAMHIS and Build v. Buy Cost Comparison

Module	Total Function Points for Construction
Provider Facility Management	60
Human Resources Management	70
Financial Management	120
Contract Management	90
Federal Grants Management	130
Electronic Medical Record (EMR) Management	310
Managed Care Coordination	0
Service Scheduling and Reporting	80
Claims Processing and Payment	180
State Performance Measurement and Management	0
Total	1040 function points X 20 hours/function point = 20,800 hours for construction

Function Point Analysis for SAMHIS and Build v. Buy Cost Comparison

Construction Cost Estimate for Building Required Functionality			
Phase	Information Systems Time	Customer Time	Total Cost
Planning and Analysis	3,120 hours (15% of total construction hours)	12,480 (4 hours for every IS hour)	
Construction	20,800 hours (1040 function points X 20 hours/function points)	0	
Acceptance Testing	2,080 hours (10% of total construction hours)	8,320 (4 hours for every IS hour)	
Deployment	3,120 hours (15% of total construction hours)	6,240 (2 hours for every IS hour)	
Development Cost Totals	29,220 hours X \$100/hour = \$2,922,000	27,040 hours X \$50/hour = \$1,352,000	\$4,274,000
Hardware Needed for Construction			\$ 500,000
<i>TOTAL COST TO CONSTRUCT</i>			\$4,774,000
<i>TOTAL COST TO BUY</i>			\$1,396,000

Project Costs for SAMHIS											
Produced			For NSRC				By Glenda Jenks		FY 2010-11		
PROJECT BUDGET WORKSHEET 1 (Captures All Major Direct & Indirect Costs associated with Development, Implementation, and Transition)											
Project Cost \ Quarter	Jul-Sep Planned	Jul-Sep Actual	Oct-Dec Planned	Oct-Dec Actual	Jan-March Planned	Jan-March Actual	April-June Planned	April-June Actual	Budget to Date	Actual to Date	Variance to Date
State Staff											
# FTEs	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0	\$0	\$0
Subcontractors											
# FTEs	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0	\$0	\$0
Hardware											
Item 1- eleven (11) servers	\$0.00	\$0.00	\$51,419.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$51,419	\$0	\$51,419
Item 2 - 24 disks & 200 tapes	\$0.00	\$0.00	\$30,552.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$30,552	\$0	\$30,552
Software											
Item 1 - Eleven (11) OS Windows Server Lic	\$0.00	\$0.00	\$14,528.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$14,528	\$0	\$14,528
Item 2 - 4 SQL Server licenses & 11 Mgmt Lic	\$0.00	\$0.00	\$38,353.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$38,353	\$0	\$38,353
Misc Equipment											
Item 1	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0	\$0	\$0
Item 2	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0	\$0	\$0
Other Costs											
Item 1 - fixed price contract	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0	\$0	\$0
Item 2	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0	\$0	\$0
Total Costs	\$0	\$0	\$134,852	\$0	\$0	\$0	\$0	\$0	\$134,852	\$0	\$134,852
Progress Payments									\$0	\$0	\$0

Project Costs for <u>SAMHIS</u>												
Produced R 0.00				For NSRC			By Glenda Jenks			FY 2010-11		
PROJECT BUDGET WORKSHEET 2 - OPERATIONAL COST IMPACT INCURRED AFTER PROJECT IMPLEMENTATION and / or PRO-RATED IF PHASED ROLLOUT)												
	FY 2010-11			FY 2011-12			FY 2012-13			FY 2013-14		
	(a) Current	(b) Project	(c) = (b)-(a) Incremental Effect of Project	(a) Current	(b) Project	(c) = (b)-(a) Incremental Effect of Project	(a) Current	(b) Project	(c) = (b)-(a) Incremental Effect of Project	(a) Current	(b) Project	(c) = (b)-(a) Incremental Effect of Project
OPERATIONAL COSTS	Current	Project	Effect of Project	Current	Project	Effect of Project	Current	Project	Effect of Project	Current	Project	Effect of Project
Salaries and Wages	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Pensions and Benefits	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Other Personal Services	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Consulting	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Hardware	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Software	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Data Processing	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Data Processing Supplies	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Data Processing Communications	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Training	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Travel	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
TOTAL OPERATIONAL COSTS	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
FTE	0	0	0	0	0	0	0	0	0	0	0	0

SCHEDULE VI: DETAIL OF DEBT SERVICE

Department: 60 - Children & Families
Budget Entity: 60910506 - Mental Health Program

Budget Period 2010 -2011__

(1)	(2)	(3)	(4)
	PAGE 1		
SECTION I	ACTUAL	ESTIMATED	REQUEST
	FY 2008-2009	FY 2009- 2010	FY 2010- 2011
Interest on Debt	(A) 2,416,972.80	6,428,617.50	6,201,725.00
Principal	(B) 3,355,000.00	5,210,000.00	5,430,000.00
Repayment of Loans	(C)		
Fiscal Agent or Other Fees	(D) 18,388.00	30,321.00	29,614.00
Other Debt Service	(E)		
Total Debt Service	(F) 5,790,360.80	11,668,938.50	11,661,339.00

Explanation: South Florida State Hospital Certificate of Participation (COP) (\$37,985,000)
 South Florida Evaluation and Treatment Center COP (\$41,940,000)
 Florida Civil Commitment Center COP (\$68,730,000)
 (Payments made under lease-purchase agreement by DCF - Interest on Debt indicate a paid by DCF)

SECTION II

ISSUE: South Florida Evaluation Treatment Center-Series 2005

(1)	(2)	(3)	(4)	(5)
INTEREST RATE	MATURITY DATE	ISSUE AMOUNT	JUNE 30, 2010	JUNE 30, 2011
4.50%	10/1/2025	\$41,940,000.00	\$40,515,000.00	\$39,025,000.00
(6)		(7)	(8)	(9)
		ACTUAL	ESTIMATED	REQUEST
		FY 2008-09	FY 2009- 10	FY 2010- 2011
Interest on Debt	(G)	1,162,700.73	1,987,412.50	1,923,387.50
Principal	(H)	1,365,000.00	1,425,000.00	1,490,000.00
Fiscal Agent or Other Fees	(I)	8,000.00	8,473.00	8,181.00
Other	(J)			
Total Debt Service	(K)	2,535,700.73	3,420,885.50	3,421,568.50

ISSUE: South Florida State Hospital, Series 1998

INTEREST RATE	MATURITY DATE	ISSUE AMOUNT	JUNE 30, 2010	JUNE 30, 2011
4.50%	07/1/2018	\$37,985,000.00	\$35,995,000.00	\$33,920,000.00
		ACTUAL	ESTIMATED	REQUEST
		FY 2008-09	FY 2009- 10	FY 2010- 2011
Interest on Debt	(G)	1,191,589.12	1,149,220.00	1,058,752.50
Principal	(H)	1,990,000.00	1,990,000.00	2,075,000.00
Fiscal Agent or Other Fees	(I)	8,000.00	8,000.00	8,000.00
Other	(J)			
Total Debt Service	(K)	3,189,589.12	3,147,220.00	3,141,752.50

SCHEDULE VI: DETAIL OF DEBT SERVICE

Department: 60 - Children & Families
Budget Entity: 60910506 - Mental Health Program

Budget Period 2010 -2011__

(1)	(2)	(3)	(4)
	PAGE 2		
SECTION I	ACTUAL FY 2008-09	ESTIMATED FY 2009-10	REQUEST FY 2010-2011
Interest on Debt	(A) <input type="text"/>	<input type="text"/>	<input type="text"/>
Principal	(B) <input type="text"/>	<input type="text"/>	<input type="text"/>
Repayment of Loans	(C) <input type="text"/>	<input type="text"/>	<input type="text"/>
Fiscal Agent or Other Fees	(D) <input type="text"/>	<input type="text"/>	<input type="text"/>
Other Debt Service	(E) <input type="text"/>	<input type="text"/>	<input type="text"/>
Total Debt Service	(F) <input type="text"/>	<input type="text"/>	<input type="text"/>

Explanation:

SECTION II

ISSUE:

(1)	(2)	(3)	(4)	(5)
INTEREST RATE	MATURITY DATE	ISSUE AMOUNT	JUNE 30, 2010__	JUNE 30, 2011__
4.00%	10/1/2022	\$68,730,000.00	\$66,935,000.00	\$65,070,000.00
(6)		(7)		(9)
		ACTUAL FY 2008-09	ESTIMATED FY 2009-10	REQUEST FY 2010-11
Interest on Debt	(G)	<input type="text" value="\$62,682.95"/>	<input type="text" value="\$3,291,985.00"/>	<input type="text" value="\$3,219,585.00"/>
Principal	(H)	<input type="text"/>	<input type="text" value="1,795,000.00"/>	<input type="text" value="1,865,000.00"/>
Fiscal Agent or Other Fees	(I)	<input type="text" value="2,388.00"/>	<input type="text" value="13,848.00"/>	<input type="text" value="13,433.00"/>
Other	(J)	<input type="text"/>	<input type="text"/>	<input type="text"/>
Total Debt Service	(K)	<input type="text" value="\$65,070.95"/>	<input type="text" value="\$5,100,833.00"/>	<input type="text" value="\$5,098,018.00"/>

ISSUE:

INTEREST RATE	MATURITY DATE	ISSUE AMOUNT	JUNE 30, 20__	JUNE 30, 20__
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
		ACTUAL FY 20__ - __	ESTIMATED FY 20__ - __	REQUEST FY 20__ - __
Interest on Debt	(G)	<input type="text"/>	<input type="text"/>	<input type="text"/>
Principal	(H)	<input type="text"/>	<input type="text"/>	<input type="text"/>
Fiscal Agent or Other Fees	(I)	<input type="text"/>	<input type="text"/>	<input type="text"/>
Other	(J)	<input type="text"/>	<input type="text"/>	<input type="text"/>
Total Debt Service	(K)	<input type="text"/>	<input type="text"/>	<input type="text"/>

SCHEDULE IX: MAJOR AUDIT FINDINGS AND RECOMMENDATIONS
Budget Period: 2010 -11
Department: Children and Families
Chief Internal Auditor: Jerry Chesnutt

Budget Entity:
Phone Number: 850.488.8722

(1)	(2)	(3)	(4)	(5)	(6)
REPORT NUMBER	PERIOD ENDING	UNIT/AREA	SUMMARY OF FINDINGS AND RECOMMENDATIONS	SUMMARY OF CORRECTIVE ACTION TAKEN	ISSUE CODE
Controls for Processing P-card Transactions (A-0809-147)	FY 08-09	Administrative Services	The following findings related to purchasing card transactions were noted: The process of not reconciling travel alerts to vouchers for reimbursement of travel expenses creates an internal control weakness that may lead to fraud, voluntary use of the automated travel alert forms hinders efficiency related to processing payments, p-card purchases were made without documented prior approval, and improved timeliness in processing pending p-card charges could be achieved if cardholders and level 4 approvers would perform their responsibilities as outlined in Purchasing Card Program User Guidelines. Our recommendations included: ASSC reconcile travel alerts with vouchers for reimbursement of travel expenses and that ASG require in all published guidance, written supervisory approval for travel alerts to provide documented assurance that p-card travel charges were authorized in advance, revising Department guidelines to require travel alerts be prepared in ARTS, development of a standard report within ARTS identifying purchases made without prior approval that should be used by the p-card administrator to follow-up on these transactions and take appropriate action to stop this practice, and that level 4 approvers respond promptly to rejection reasons to expedite processing of pending charges, as well as, designate a back-up level 4 approver in each office to prevent delays and ensure that processing continues when the primary approver is unavailable	This audit was issued in late June, 2009. The auditee has concurred with all recommendations. A follow-up audit to monitor the implementation of these recommendations will be conducted in approximately six months.	
Foster Home Licensing Regulation, Process and Practice are Inconsistent (A-05-0809-023)	FY 08-09	Family Safety	The following findings related to foster home licensure were noted: CBC oversight and processing of licensing and re-licensing application packets are inconsistent, the quality of supporting documentation for foster home licensure needs improvement, supporting documentation for re-licensure is not always delivered timely, Department regional offices need to improve foster home licensing data, and three-year licenses do not increase efficiency in the licensing process. Our recommendations included: The Acting Assistant Secretary for Operations direct Regional managers to support efforts to ensure that CBC Lead Agencies are reviewing all foster home licensing packets and support contract managers in performing thorough oversight and enforcement of provider compliance with contract requirements, that Chapter 65C-13, FAC be revised to ensure consistency with the Department's CBC Contract Services Template, Family Safety issue a state-wide directive to inform DCF licensing staff, CBC lead agencies and subcontractors of the expected routing of both licensing and re-licensing packets, Development of state-wide uniform licensing and re-licensing checklists for use by all Department regions, CBC lead agencies and their sub-contractors, frequent training and/or communication on the proper implementation of foster home licensing regulations including Headquarters' Family Safety Program staff, regional licensing offices, CBC lead agencies and their sub-contractors, and more stringent reviews of licensing and re-licensing packets prior to delivery to the Department. In addition, when re-licensing supporting documentation is not reviewed and approved timely, the Department may issue a provisional license. To improve the efficiency (timeliness) of the re-licensing process, we recommend frequent training and/or communication on the proper implementation of foster home licensing regulations including Headquarters' Family Safety Program staff, regional licensing offices, CBC lead agencies and their sub-contractors, Evaluation of possible duplicative supporting documentation for meeting re-licensure requirements, and Continued discussions between Family Safety, CBCs and government agencies to improve information delivery time. Finally, Headquarters and Regional Family Safety Program staff should work together to develop a uniform document for recording important foster home licensing dates and activities and Family Safety Program Administrators work with CBCs to evaluate the requirements of the rule and develop ways to streamline documentation to increase efficiency in maintaining a three-year license without compromising the safety of children.	The Family Safety Program Office is committed to improving licensing.	

Assessment of the Implementation of the Substance Abuse Mental Health (SAMH) Managing Entity Initiative (A-0809-006)	FY 08-09	Substance Abuse/Mental Health	Implementing the managing entity initiative presents numerous challenges and risks. The SAMH Program Office is focusing attention on encouraging collaboration, identifying community needs, updating administrative rules, and development of procurement documents. An additional challenge, one that could hinder success, is that the Program Office does not yet have a comprehensive plan for implementation. Best practices demonstrate that successful projects involve planning processes such as development of a business case and an implementation plan, and a dedicated team of stakeholders working together. Without a clear plan, there are increased risks of having systems that may be ineffective, inefficient, and fail to achieve desired expectations. We recommend the SAMH Program Office establish a workgroup to develop a consumer-driven plan to address the following: Collaboration with Department staff and other stakeholders, Analysis of costs, benefits and risks, Milestones for implementation, Any necessary updates to existing laws and rules, Governance (i.e. board composition), and Roles and responsibilities of the Department and managing entities, particularly with regard to contract monitoring, subcontract monitoring, licensure, and quality assurance.	Management provided a copy of their draft implementation plan. In addition to the initial response, management provided the following clarification: stakeholders were involved in the development of the implementation plan, there are plans to analyze historical costs to accurately project future costs and to analyze the benefits and risks of the initiative, federal technical assistance is being requested, and an implementation plan will be finalized as soon as possible.	
Sexually Violent Predator Program (A-0910-006)	FY 08-09	Substance Abuse/Mental Health	The audit disclosed that over 90 percent (approximately 30,000) of referrals to the Department were determined during the assessment (screening) process to not be sexually violent predators, and therefore those cases were closed without progressing to a clinical evaluation. A backlog of referrals has resulted in additional staffing needs for the program, including paying two contracted psychologists approximately \$208,000 to provide screening services. The audit also disclosed two ethical issues, one which resulted in a provider voluntarily terminating their contract with the Department, and the other involving contracts with two former Department employees which violated a provision of the state's Code of Ethics. Recommendations included: Management of the Mental Health Program continue to work with FDLE in obtaining NCIC access to criminal history records of potential sexually violent predators through a dedicated terminal housed in SVPP's offices, Management of the Mental Health Program should create a work group with DOC to review the reasons why 90 percent of referrals are "screened out" by SVPP without progressing to an evaluation and based on this review, develop a more efficient and effective process for identifying and referring inmates to SVPP as potential sexually violent predators, which takes into account the inmate's prison mental health evaluation, as well as their criminal history. In addition, as part of the screening process, verify DOC's Sex Offender Compliance Unit is appropriately identifying and referring inmates who have been convicted of a sexually violent offense as defined under s. 394.912(9), F.S. We also recommend the Assistant Secretary for Substance Abuse and Mental Health direct that immediate corrective action be taken against these two former employees, up to and including full restitution of monies which they received during their first year under contract with the Department which exceeded their annual salary at the time of separation from the Department	This audit was issued in late June, 2009. The auditee has concurred with all recommendations, except our recommendation regarding the Department of Corrections. A follow-up audit to monitor the implementation of these recommendations will be conducted in approximately six months.	
Lack of Data Makes It Difficult to Assess Foster Parent Training (C-05-0809-020)	FY 08-09	Family Safety	Findings include: the size, cost, and effectiveness of MAPP training cannot be determined and that consolidated training should be monitored and selection criteria for equitable participation in consolidated pre-service training be developed. We recommended that CBC providers follow contract terms and submit required MAPP information via semi-annual reports and that CBC providers continue to survey licensed foster parents on the quality and effectiveness of MAPP during the 10th week of training, but also survey licensed foster parents after child placement. In addition, we recommended the Family Safety Program, in conjunction with the foster parents' association and CBC agencies, develop performance standards or indicators for pre-service training. These standards or indicators should be used to improve the effectiveness of pre-service training statewide. Finally, we recommended that the Department work with CBC providers to continue to proactively improve parent preparation training to include the following: involving more experienced foster parents and children in training, developing a tool for assessing the effectiveness of pre-service training, presenting more realistic experiences to prospective foster parents, examining pre-service training used in other states, and placing greater emphasis on behavior management.	Not implemented. In its response to our six-month follow-up, the Family Safety Office reported that a DCF/CBC workgroup determined that requiring CBC providers to conduct additional surveys will not address the underlying recruitment and retention issues associated with foster parent preparation and training. The Office stated that it was essential that providers have flexibility to use methods that they deem appropriate and that rather than require a standardized survey approach, the Department is collaborating with Youth Law Center, Eckerd Family Foundation and members of the Fostering Successes Task Force to determine more meaningful and effective means of training and recruitment. Three CBCs (HK1, CBC Seminole, and Big Bend CBC) are participating in a two year project to radically change these processes. Results regarding mid year successes and challenges will be shared with CBCs and the Department at the 2009 Dependency Summit. Not implemented. Based on consultation with the DCF/CBC workgroup, the Family Safety Program Office reported that it has determined that the existing performance standards are sufficient. The Office reported that contracts already include monthly/quarterly measures that provide the means to drill down to determine root causes. Not implemented. In its response to our six-month follow-up, that Office reported that the DCF/CBC workgroup agrees that CBCs should continue to monitor training as recommended. However, we believe it is premature to involve the Office of Civil Rights as the stakeholder groups continue to research best practices and innovative means for foster parent preparation. These projects are not intended to be quick fixes but thoughtful deliberate approaches to changing foster parent preparation. Fully implemented. In its response to our six-month follow-up, the Family Safety Program Office reported that it continues to receive and analyze semi-annual reports. They said that Training reports will continue to be a requirement in the CBC contract template. In addition, FSFN Release 2B will have increased capacity to track training data for foster parents. These methods will provide means for tracking foster parent preparation/training	

Fiscal Year 2010-11 LBR Technical Review Checklist

Department/Budget Entity (Service): Children and Families/Executive Leadership/Assistant Secretary for Administration/District Administration

Agency Budget Officer/OPB Analyst Name: Nevin Smith/Richard Perritti

A "Y" indicates "YES" and is acceptable, an "N/J" indicates "NO/Justification Provided" - these require further explanation/justification (additional sheets can be used as necessary), and "TIPS" are other areas to consider.

Action		Program or Service (Budget Entity Codes)				
		101				

1. GENERAL

1.1	Are Columns A01, A02, A04, A05, A10, A11, A36, IA1, 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? Are Columns A06, A07, A08 and A09 for Fixed Capital Outlay (FCO) set to TRANSFER CONTROL for DISPLAY status only? (CSDI)	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				

AUDITS:

1.3	Has Column A03 been copied to Column A12? Run the Exhibit B Audit Comparison Report to verify. (EXBR, EXBA)	Y				
1.4	Has security been set correctly? (CSDR, CSA)	Y				
TIP	The agency should prepare the budget request for submission in this order: 1) Lock columns as described above; 2) copy Column A03 to Column A12; and 3) set Column A12 column security to ALL for DISPLAY status and MANAGEMENT CONTROL for UPDATE status.					

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				
2.2	Are the statewide issues generated systematically (estimated expenditures, nonrecurring expenditures, etc.) included?	Y				
2.3	Are the issue codes and titles consistent with <i>Section 3</i> of the LBR Instructions (pages 15 through 27)? Do they clearly describe the issue?	Y				
2.4	Have the coding guidelines in <i>Section 3</i> of the LBR Instructions (pages 15 through 27) been followed?	Y				

3. EXHIBIT B (EXBR, EXB)

3.1	Is it apparent that there is a fund shift and 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				
-----	--	---	--	--	--	--

		Program or Service (Budget Entity Codes)				
Action		101				
AUDITS:						
3.2	Negative Appropriation Category Audit for Agency Request (Columns A03 and A04): Are all appropriation categories positive by budget entity at the FSI level? Are all nonrecurring amounts less than requested amounts? (NACR, NAC - Report should print "No Negative Appropriation Categories Found")	Y				
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				
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, the 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				
4.2	Is the program component code and title used correct?	Y				
TIP	Fund shifts or transfers of services or activities between program components will be displayed on an Exhibit D whereas it may not be visible on an Exhibit A.					
5. EXHIBIT D-1 (ED1R, EXD1)						
5.1	Are all object of expenditures positive amounts? (This is a manual check.)	Y				
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				
5.3	FLAIR Expenditure/Appropriation Ledger Comparison Report: Is Column A01 less than Column B04? (EXBR, EXBB - Negative differences need to be corrected in Column A01.)					
	<i>Please note that the LBR Instructions reference the wrong B column.</i>	Y				

Action		Program or Service (Budget Entity Codes)				
		101				
5.4	<p>A01/State Accounts Disbursements and Carry Forward Comparison Report: Does Column A01 equal Column B08? (EXBR, EXBD - Differences need to be corrected in Column A01.)</p> <p><i>Please note that the LBR Instructions reference the wrong B column.</i></p>					
TIP	<p>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.</p>	Y				

Action		Program or Service (Budget Entity Codes)				
		101				
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 2008-09 approved budget. Amounts should be positive.					
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.					
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				
TIP	Exhibit D-3 is no longer 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)						
7.1	Are the issue titles correct and do they clearly identify the issue? (See pages 15 through 31 of the LBR Instructions.)	Y				
7.2	Does the issue narrative adequately explain the agency's request and is the explanation consistent with the LRPP? (See page 65 of the LBR Instructions.)	Y				
7.3	Does the narrative for Information Technology (IT) issue follow the additional narrative requirements described on pages 66 through 70 of the LBR Instructions?	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				
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 and E-5 of the LBR Instructions.)	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				
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.	Y				
7.8	Does the issue narrative include the Consensus Estimating Conference forecast, where appropriate?	Y				
7.9	Does the issue narrative reference the specific county(ies) where applicable?	Y				

Action		Program or Service (Budget Entity Codes)				
		101				
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 #10-002?	Y				
7.11	When appropriate are there any 160XXX0 issues included to delete positions placed in reserve in the OPB Position and Rate Ledger (e.g. unfunded grants)? Note: Lump sum appropriations not yet allocated should <u>not</u> be deleted. (PLRR, PLMO)	Y				
7.12	Does the issue narrative include plans to satisfy additional space requirements when requesting additional positions?	Y				
7.13	Has the agency included a 160XXX0 issue and 210XXXX and 260XXX0 issues as required for lump sum distributions?	Y				
7.14	Do the amounts reflect appropriate FSI assignments?	Y				
7.15	Do the issues relating to <i>salary and benefits</i> have an "A" in the fifth position of the issue code (XXXXAXX) and are they self-contained (not combined with other issues)? (See page 26 and 86 of the LBR Instructions.)	Y				
7.16	Do the issues relating to <i>Information Technology (IT)</i> have a "C" in the sixth position of the issue code (36XXXXCX) and are the correct issue codes used (361XXC0, 362XXC0, 363XXC0, 17C01C0, 17C02C0, 17C03C0, 24010C0, 33001C0 or 55C01C0)?	Y				
7.17	Are the issues relating to <i>major audit findings and recommendations</i> properly coded (4A0XXX0, 4B0XXX0)?	Y				
AUDIT:						
7.18	Are all FSI's equal to '1', '2', '3', or '9'? There should be no FSI's equal to '0'. (EADR, FSIA - Report should print "No Records Selected For Reporting")	Y				
7.19	Does the General Revenue for 160XXXX issues net to zero? (GENR, LBR1)	Y				
7.20	Does the General Revenue for 180XXXX issues net to zero? (GENR, LBR2)	Y				
7.21	Does the General Revenue for 200XXXX issues net to zero? (GENR, LBR3)	Y				
7.22	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				

Action		Program or Service (Budget Entity Codes)				
		101				
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 70 of the LBR Instructions.					
TIP	Check BAPS to verify status of budget amendments. Check for reapprovals not picked up in the General Appropriations Act. Verify that Lump Sum appropriations in Column A02 do not appear in Column A03. Review budget amendments to verify that 160XXX0 issue amounts correspond accurately and net to zero for General Revenue funds.					
TIP	If an agency is receiving federal funds from another agency the FSI should = 9 (Transfer - Recipient of Federal Funds). The agency that originally receives the funds directly from the federal agency should use FSI = 3 (Federal Funds).					
TIP	If an appropriation made in the FY 2009-10 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				
8.2	Has a Schedule I been completed in LAS/PBS for each operating trust fund?	Y				
8.3	Have the appropriate Schedule I supporting documents been included for the trust funds (Schedule IA, Schedule IB, Schedule IC, and Reconciliation to Trial Balance)?	Y				
8.4	Have the Examination of Regulatory Fees Part I and Part II forms been included for the applicable regulatory programs?	Y				
8.5	Have the required detailed narratives been provided (5% trust fund reserve narrative; method for computing the distribution of cost for general management and administrative services narrative; adjustments narrative; revenue estimating methodology narrative)?	Y				
8.6	Has the Inter-Agency Transfers Reported on Schedule I form been included as applicable for transfers totaling \$100,000 or more for the fiscal year?	Y				
8.7	If the agency is scheduled for the annual trust fund review this year, have the Schedule ID and applicable draft legislation been included for recreation, modification or termination of existing trust funds?	Y				

Action		Program or Service (Budget Entity Codes)				
		101				
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 <i>section 215.32(2)(b), Florida Statutes</i> - including the Schedule ID and applicable legislation?	Y				
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)?	Y				

Action		Program or Service (Budget Entity Codes)				
		101				
8.10	Are the statutory authority references correct?	Y				
8.11	Are the General Revenue Service Charge percentage rates used for each revenue source correct? (Refer to Chapter 2009-78, Laws of Florida, for appropriate general revenue service charge percentage rates.)	Y				
8.12	Is this an accurate representation of revenues based on the most recent Consensus Estimating Conference forecasts?	Y				
8.13	If there is no Consensus Estimating Conference forecast available, do the revenue estimates appear to be reasonable?	Y				
8.14	Are the federal funds revenues reported in Section I broken out by individual grant? Are the correct CFDA codes used?	Y				
8.15	Are anticipated grants included and based on the state fiscal year (rather than federal fiscal year)?	Y				
8.16	Are the Schedule I revenues consistent with the FSI's reported in the Exhibit D-3A?	Y				
8.17	If applicable, are nonrecurring revenues entered into Column A04?	Y				
8.18	Has the agency certified the revenue estimates in columns A02 and A03 to be the latest and most accurate available?	Y				
8.19	Is a 5% trust fund reserve reflected in Section II? If not, is sufficient justification provided for exemption? Are the additional narrative requirements provided?	Y				
8.20	Are appropriate service charge nonoperating amounts included in Section II?	Y				
8.21	Are nonoperating expenditures to other budget entities/departments cross-referenced accurately?	Y				
8.22	Do transfers balance between funds (within the agency as well as between agencies)? (See also 8.6 for required transfer confirmation of amounts totaling \$100,000 or more.)	Y				
8.23	Are nonoperating expenditures recorded in Section II and adjustments recorded in Section III?	Y				
8.24	Are prior year September operating reversions appropriately shown in column A01?	Y				
8.25	Are current year September operating reversions appropriately shown in column A02?	Y				
8.26	Does the Schedule IC properly reflect the unreserved fund balance for each trust fund as defined by the LBR Instructions, and is it reconciled to the agency accounting records?	Y				
8.27	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				

Action		Program or Service (Budget Entity Codes)				
		101				
8.28	Does Line I of Column A01 (Schedule I) equal Line K of the Schedule IC?	Y				
AUDITS:						
8.29	Is Line I a positive number? (If not, the agency must adjust the budget request to eliminate the deficit).	Y				
8.30	Is the June 30 Adjusted Unreserved Fund Balance (Line I) equal to the July 1 Unreserved Fund Balance (Line A) of the following year? (SC1R, SC1A - Report should print "No Discrepancies Exist For This Report")	Y				
8.31	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				
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.)					
TIP	Review the unreserved fund balances and compare revenue totals to expenditure totals to determine and understand the trust fund status.					
TIP	Typically nonoperating expenditures and revenues should not be a negative number. Any negative numbers must be fully justified.					
9. SCHEDULE II (PSCR, SC2)						
AUDIT:						
9.1	Is the pay grade minimum for salary rate utilized for positions in segments 2 and 3? (BRAR, BRAA - Report should print "No Records Selected For This Request") Note: Amounts other than the pay grade minimum should be fully justified in the D-3A issue narrative. (See <i>Base Rate Audit</i> on page 156 of the LBR Instructions.)	Y				
10. SCHEDULE III (PSCR, SC3)						
10.1	Is the appropriate lapse amount applied in Segment 3? (See page 88 of the LBR Instructions.)	Y				
10.2	Are amounts in <i>Other Salary Amount</i> appropriate and fully justified? (See page 95 of the LBR Instructions for appropriate use of the OAD transaction.) Use OADI or OADR to identify agency other salary amounts requested.	Y				
11. SCHEDULE IV (EADR, SC4)						
11.1	Are the correct Information Technology (IT) issue codes used?	Y				
TIP	If IT issues are not coded correctly (with "C" in 6th position), they will not appear in the Schedule IV.					
12. SCHEDULE VIIIA (EADR, SC8A)						

Action		Program or Service (Budget Entity Codes)				
		101				
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?	Y				
13. SCHEDULE VIIIB-1						
13.1	This schedule is not required in the October 15, 2009 LBR submittal.					
14. SCHEDULE VIIIB-2 (EADR, S8B2)						
14.1	Do the reductions comply with the instructions provided on pages 101 and 102 of the LBR Instructions regarding a 10% reduction in recurring General Revenue and Trust Funds?	Y				
15. SCHEDULE XI (LAS/PBS Web - see page 108 of the LBR Instructions for detailed instructions)						
15.1	Has the Schedule XI one page summary Excel file been e-mailed to OPB at OPB.UnitCostSummary@laspbs.state.fl.us? Agencies are required to generate this spreadsheet via the LAS/PBS Web. (Note: Pursuant to <i>section 216.023(4) (b), Florida Statutes</i> , the Legislature can reduce the funding level for any agency that does not provide this information.)	Y				
15.2	Do the PDF files uploaded to the Florida Fiscal Portal for the LRPP and LBR match the Excel file e-mailed to OPB?	Y				
AUDITS INCLUDED IN THE SCHEDULE XI REPORT:						
15.3	Does the FY 2008-09 Actual (prior year) Expenditures in Column A36 reconcile to Column A01? (GENR, ACT1)	Y				
15.4	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				
15.5	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				
15.6	Has the agency provided the necessary demand (Record Type 5) for all activities which <u>should</u> appear in Section II? (Note: Audit #3 will identify those activities that do NOT have a Record Type '5' and have not been identified as a 'Pass Through' activity. These activities will be displayed in Section III with the 'Payment of Pensions, Benefits and Claims' activity and 'Other' activities. Verify if these activities should be displayed in Section III. If not, an output standard would need to be added for that activity and the Schedule XI submitted again.)	Y				
15.7	Does Section I (Final Budget for Agency) and Section III (Total Budget for Agency) equal? (Audit #4 should print "No Discrepancies Found")	Y				
TIP	If Section I and Section III have a small difference, it may be due to rounding and therefore will be acceptable.					

		Program or Service (Budget Entity Codes)				
Action		101				
16. MANUALLY PREPARED EXHIBITS & SCHEDULES						
16.1	Do exhibits and schedules comply with LBR Instructions (pages 109 through 153 of the LBR Instructions), and are they accurate and complete?	Y				
16.2	Are appropriation category totals comparable to Exhibit B, where applicable?	Y				
16.3	Are agency organization charts (Schedule X) provided and at the appropriate level of detail?	Y				
AUDITS - GENERAL INFORMATION						
TIP	Review <i>Section 6: Audits</i> of the LBR Instructions 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.					
17. CAPITAL IMPROVEMENTS PROGRAM (CIP)						
17.1	Are the CIP-2, CIP-3, CIP-A and CIP-B forms included?	Y				
17.2	Are the CIP-4 and CIP-5 forms submitted when applicable (see CIP Instructions)?	Y				
17.3	Do all CIP forms comply with CIP Instructions where applicable (see CIP Instructions)?	Y				
17.4	Does the agency request include 5 year projections (Columns A03, A06, A07, A08 and A09)?	Y				
17.5	Are the appropriate counties identified in the narrative?	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.					
18. FLORIDA FISCAL PORTAL						
18.1	Have all files been assembled correctly and posted to the Florida Fiscal Portal as outlined in the Florida Fiscal Portal Submittal Process?	Y				

Fiscal Year 2010-11 LBR Technical Review Checklist

Department/Budget Entity (Service): Children and Families/Information Technology entity.

Agency Budget Officer/OPB Analyst Name: Nevin Smith/Richard Perritti

A "Y" indicates "YES" and is acceptable, an "N/J" indicates "NO/Justification Provided" - these require further explanation/justification (additional sheets can be used as necessary), and "TIPS" are other areas to consider.

Action		Program or Service (Budget Entity Codes)				
		202				

1. GENERAL

1.1	Are Columns A01, A02, A04, A05, A10, A11, A36, IA1, 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? Are Columns A06, A07, A08 and A09 for Fixed Capital Outlay (FCO) set to TRANSFER CONTROL for DISPLAY status only? (CSDI)	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				

AUDITS:

1.3	Has Column A03 been copied to Column A12? Run the Exhibit B Audit Comparison Report to verify. (EXBR, EXBA)	Y				
1.4	Has security been set correctly? (CSDR, CSA)	Y				
TIP	The agency should prepare the budget request for submission in this order: 1) Lock columns as described above; 2) copy Column A03 to Column A12; and 3) set Column A12 column security to ALL for DISPLAY status and MANAGEMENT CONTROL for UPDATE status.					

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				
2.2	Are the statewide issues generated systematically (estimated expenditures, nonrecurring expenditures, etc.) included?	Y				
2.3	Are the issue codes and titles consistent with <i>Section 3</i> of the LBR Instructions (pages 15 through 27)? Do they clearly describe the issue?	Y				
2.4	Have the coding guidelines in <i>Section 3</i> of the LBR Instructions (pages 15 through 27) been followed?	Y				

3. EXHIBIT B (EXBR, EXB)

3.1	Is it apparent that there is a fund shift and 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				
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		Program or Service (Budget Entity Codes)				
Action		202				
AUDITS:						
3.2	Negative Appropriation Category Audit for Agency Request (Columns A03 and A04): Are all appropriation categories positive by budget entity at the FSI level? Are all nonrecurring amounts less than requested amounts? (NACR, NAC - Report should print "No Negative Appropriation Categories Found")	Y				
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				
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, the 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				
4.2	Is the program component code and title used correct?	Y				
TIP	Fund shifts or transfers of services or activities between program components will be displayed on an Exhibit D whereas it may not be visible on an Exhibit A.					
5. EXHIBIT D-1 (ED1R, EXD1)						
5.1	Are all object of expenditures positive amounts? (This is a manual check.)	Y				
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				
5.3	FLAIR Expenditure/Appropriation Ledger Comparison Report: Is Column A01 less than Column B04? (EXBR, EXBB - Negative differences need to be corrected in Column A01.)					
	<i>Please note that the LBR Instructions reference the wrong B column.</i>	Y				

Action		Program or Service (Budget Entity Codes)				
		202				
5.4	<p>A01/State Accounts Disbursements and Carry Forward Comparison Report: Does Column A01 equal Column B08? (EXBR, EXBD - Differences need to be corrected in Column A01.)</p> <p><i>Please note that the LBR Instructions reference the wrong B column.</i></p>					
TIP	<p>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.</p>	Y				

Action		Program or Service (Budget Entity Codes)				
		202				
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 2008-09 approved budget. Amounts should be positive.					
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.					
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				
TIP	Exhibit D-3 is no longer 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)						
7.1	Are the issue titles correct and do they clearly identify the issue? (See pages 15 through 31 of the LBR Instructions.)	Y				
7.2	Does the issue narrative adequately explain the agency's request and is the explanation consistent with the LRPP? (See page 65 of the LBR Instructions.)	Y				
7.3	Does the narrative for Information Technology (IT) issue follow the additional narrative requirements described on pages 66 through 70 of the LBR Instructions?	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				
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 and E-5 of the LBR Instructions.)	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				
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.	Y				
7.8	Does the issue narrative include the Consensus Estimating Conference forecast, where appropriate?	Y				
7.9	Does the issue narrative reference the specific county(ies) where applicable?	Y				

Action		Program or Service (Budget Entity Codes)				
		202				
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 #10-002?	Y				
7.11	When appropriate are there any 160XXX0 issues included to delete positions placed in reserve in the OPB Position and Rate Ledger (e.g. unfunded grants)? Note: Lump sum appropriations not yet allocated should <u>not</u> be deleted. (PLRR, PLMO)	Y				
7.12	Does the issue narrative include plans to satisfy additional space requirements when requesting additional positions?	Y				
7.13	Has the agency included a 160XXX0 issue and 210XXXX and 260XXX0 issues as required for lump sum distributions?	Y				
7.14	Do the amounts reflect appropriate FSI assignments?	Y				
7.15	Do the issues relating to <i>salary and benefits</i> have an "A" in the fifth position of the issue code (XXXXAXX) and are they self-contained (not combined with other issues)? (See page 26 and 86 of the LBR Instructions.)	Y				
7.16	Do the issues relating to <i>Information Technology (IT)</i> have a "C" in the sixth position of the issue code (36XXXXCX) and are the correct issue codes used (361XXC0, 362XXC0, 363XXC0, 17C01C0, 17C02C0, 17C03C0, 24010C0, 33001C0 or 55C01C0)?	Y				
7.17	Are the issues relating to <i>major audit findings and recommendations</i> properly coded (4A0XXX0, 4B0XXX0)?	Y				
AUDIT:						
7.18	Are all FSI's equal to '1', '2', '3', or '9'? There should be no FSI's equal to '0'. (EADR, FSIA - Report should print "No Records Selected For Reporting")	Y				
7.19	Does the General Revenue for 160XXXX issues net to zero? (GENR, LBR1)	Y				
7.20	Does the General Revenue for 180XXXX issues net to zero? (GENR, LBR2)	Y				
7.21	Does the General Revenue for 200XXXX issues net to zero? (GENR, LBR3)	Y				
7.22	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				

Action		Program or Service (Budget Entity Codes)				
		202				
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 70 of the LBR Instructions.					
TIP	Check BAPS to verify status of budget amendments. Check for reapprovals not picked up in the General Appropriations Act. Verify that Lump Sum appropriations in Column A02 do not appear in Column A03. Review budget amendments to verify that 160XXX0 issue amounts correspond accurately and net to zero for General Revenue funds.					
TIP	If an agency is receiving federal funds from another agency the FSI should = 9 (Transfer - Recipient of Federal Funds). The agency that originally receives the funds directly from the federal agency should use FSI = 3 (Federal Funds).					
TIP	If an appropriation made in the FY 2009-10 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				
8.2	Has a Schedule I been completed in LAS/PBS for each operating trust fund?	Y				
8.3	Have the appropriate Schedule I supporting documents been included for the trust funds (Schedule IA, Schedule IB, Schedule IC, and Reconciliation to Trial Balance)?	Y				
8.4	Have the Examination of Regulatory Fees Part I and Part II forms been included for the applicable regulatory programs?	Y				
8.5	Have the required detailed narratives been provided (5% trust fund reserve narrative; method for computing the distribution of cost for general management and administrative services narrative; adjustments narrative; revenue estimating methodology narrative)?	Y				
8.6	Has the Inter-Agency Transfers Reported on Schedule I form been included as applicable for transfers totaling \$100,000 or more for the fiscal year?	Y				
8.7	If the agency is scheduled for the annual trust fund review this year, have the Schedule ID and applicable draft legislation been included for recreation, modification or termination of existing trust funds?	Y				

Action		Program or Service (Budget Entity Codes)				
		202				
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 <i>section 215.32(2)(b), Florida Statutes</i> - including the Schedule ID and applicable legislation?	Y				
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)?	Y				

Action		Program or Service (Budget Entity Codes)				
		202				
8.10	Are the statutory authority references correct?	Y				
8.11	Are the General Revenue Service Charge percentage rates used for each revenue source correct? (Refer to Chapter 2009-78, Laws of Florida, for appropriate general revenue service charge percentage rates.)	Y				
8.12	Is this an accurate representation of revenues based on the most recent Consensus Estimating Conference forecasts?	Y				
8.13	If there is no Consensus Estimating Conference forecast available, do the revenue estimates appear to be reasonable?	Y				
8.14	Are the federal funds revenues reported in Section I broken out by individual grant? Are the correct CFDA codes used?	Y				
8.15	Are anticipated grants included and based on the state fiscal year (rather than federal fiscal year)?	Y				
8.16	Are the Schedule I revenues consistent with the FSI's reported in the Exhibit D-3A?	Y				
8.17	If applicable, are nonrecurring revenues entered into Column A04?	Y				
8.18	Has the agency certified the revenue estimates in columns A02 and A03 to be the latest and most accurate available?	Y				
8.19	Is a 5% trust fund reserve reflected in Section II? If not, is sufficient justification provided for exemption? Are the additional narrative requirements provided?	Y				
8.20	Are appropriate service charge nonoperating amounts included in Section II?	Y				
8.21	Are nonoperating expenditures to other budget entities/departments cross-referenced accurately?	Y				
8.22	Do transfers balance between funds (within the agency as well as between agencies)? (See also 8.6 for required transfer confirmation of amounts totaling \$100,000 or more.)	Y				
8.23	Are nonoperating expenditures recorded in Section II and adjustments recorded in Section III?	Y				
8.24	Are prior year September operating reversions appropriately shown in column A01?	Y				
8.25	Are current year September operating reversions appropriately shown in column A02?	Y				
8.26	Does the Schedule IC properly reflect the unreserved fund balance for each trust fund as defined by the LBR Instructions, and is it reconciled to the agency accounting records?	Y				
8.27	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				

Action		Program or Service (Budget Entity Codes)				
		202				
8.28	Does Line I of Column A01 (Schedule I) equal Line K of the Schedule IC?	Y				
AUDITS:						
8.29	Is Line I a positive number? (If not, the agency must adjust the budget request to eliminate the deficit).	Y				
8.30	Is the June 30 Adjusted Unreserved Fund Balance (Line I) equal to the July 1 Unreserved Fund Balance (Line A) of the following year? (SC1R, SC1A - Report should print "No Discrepancies Exist For This Report")	Y				
8.31	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				
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.)					
TIP	Review the unreserved fund balances and compare revenue totals to expenditure totals to determine and understand the trust fund status.					
TIP	Typically nonoperating expenditures and revenues should not be a negative number. Any negative numbers must be fully justified.					
9. SCHEDULE II (PSCR, SC2)						
AUDIT:						
9.1	Is the pay grade minimum for salary rate utilized for positions in segments 2 and 3? (BRAR, BRAA - Report should print "No Records Selected For This Request") Note: Amounts other than the pay grade minimum should be fully justified in the D-3A issue narrative. (See <i>Base Rate Audit</i> on page 156 of the LBR Instructions.)	Y				
10. SCHEDULE III (PSCR, SC3)						
10.1	Is the appropriate lapse amount applied in Segment 3? (See page 88 of the LBR Instructions.)	Y				
10.2	Are amounts in <i>Other Salary Amount</i> appropriate and fully justified? (See page 95 of the LBR Instructions for appropriate use of the OAD transaction.) Use OADI or OADR to identify agency other salary amounts requested.	Y				
11. SCHEDULE IV (EADR, SC4)						
11.1	Are the correct Information Technology (IT) issue codes used?	Y				
TIP	If IT issues are not coded correctly (with "C" in 6th position), they will not appear in the Schedule IV.					
12. SCHEDULE VIIIA (EADR, SC8A)						

Action		Program or Service (Budget Entity Codes)				
		202				
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?	Y				
13. SCHEDULE VIIIB-1						
13.1	This schedule is not required in the October 15, 2009 LBR submittal.					
14. SCHEDULE VIIIB-2 (EADR, S8B2)						
14.1	Do the reductions comply with the instructions provided on pages 101 and 102 of the LBR Instructions regarding a 10% reduction in recurring General Revenue and Trust Funds?	Y				
15. SCHEDULE XI (LAS/PBS Web - see page 108 of the LBR Instructions for detailed instructions)						
15.1	Has the Schedule XI one page summary Excel file been e-mailed to OPB at OPB.UnitCostSummary@laspbs.state.fl.us? Agencies are required to generate this spreadsheet via the LAS/PBS Web. (Note: Pursuant to <i>section 216.023(4) (b), Florida Statutes</i> , the Legislature can reduce the funding level for any agency that does not provide this information.)	Y				
15.2	Do the PDF files uploaded to the Florida Fiscal Portal for the LRPP and LBR match the Excel file e-mailed to OPB?	Y				
AUDITS INCLUDED IN THE SCHEDULE XI REPORT:						
15.3	Does the FY 2008-09 Actual (prior year) Expenditures in Column A36 reconcile to Column A01? (GENR, ACT1)	Y				
15.4	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				
15.5	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				
15.6	Has the agency provided the necessary demand (Record Type 5) for all activities which <u>should</u> appear in Section II? (Note: Audit #3 will identify those activities that do NOT have a Record Type '5' and have not been identified as a 'Pass Through' activity. These activities will be displayed in Section III with the 'Payment of Pensions, Benefits and Claims' activity and 'Other' activities. Verify if these activities should be displayed in Section III. If not, an output standard would need to be added for that activity and the Schedule XI submitted again.)	Y				
15.7	Does Section I (Final Budget for Agency) and Section III (Total Budget for Agency) equal? (Audit #4 should print "No Discrepancies Found")	Y				
TIP	If Section I and Section III have a small difference, it may be due to rounding and therefore will be acceptable.					

		Program or Service (Budget Entity Codes)				
Action		202				
16. MANUALLY PREPARED EXHIBITS & SCHEDULES						
16.1	Do exhibits and schedules comply with LBR Instructions (pages 109 through 153 of the LBR Instructions), and are they accurate and complete?	Y				
16.2	Are appropriation category totals comparable to Exhibit B, where applicable?	Y				
16.3	Are agency organization charts (Schedule X) provided and at the appropriate level of detail?	Y				
AUDITS - GENERAL INFORMATION						
TIP	Review <i>Section 6: Audits</i> of the LBR Instructions 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.					
17. CAPITAL IMPROVEMENTS PROGRAM (CIP)						
17.1	Are the CIP-2, CIP-3, CIP-A and CIP-B forms included?	Y				
17.2	Are the CIP-4 and CIP-5 forms submitted when applicable (see CIP Instructions)?	Y				
17.3	Do all CIP forms comply with CIP Instructions where applicable (see CIP Instructions)?	Y				
17.4	Does the agency request include 5 year projections (Columns A03, A06, A07, A08 and A09)?	Y				
17.5	Are the appropriate counties identified in the narrative?	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.					
18. FLORIDA FISCAL PORTAL						
18.1	Have all files been assembled correctly and posted to the Florida Fiscal Portal as outlined in the Florida Fiscal Portal Submittal Process?	Y				

Fiscal Year 2010-11 LBR Technical Review Checklist

Department/Budget Entity (Service): Children and Families/Northwood Shared Resource Center

Agency Budget Officer/OPB Analyst Name: Nevin Smith/Richard Perritti

A "Y" indicates "YES" and is acceptable, an "N/J" indicates "NO/Justification Provided" - these require further explanation/justification (additional sheets can be used as necessary), and "TIPS" are other areas to consider.

Action		Program or Service (Budget Entity Codes)				
		212				

1. GENERAL

1.1	Are Columns A01, A02, A04, A05, A10, A11, A36, IA1, 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? Are Columns A06, A07, A08 and A09 for Fixed Capital Outlay (FCO) set to TRANSFER CONTROL for DISPLAY status only? (CSDI)	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				

AUDITS:

1.3	Has Column A03 been copied to Column A12? Run the Exhibit B Audit Comparison Report to verify. (EXBR, EXBA)	Y				
1.4	Has security been set correctly? (CSDR, CSA)	Y				
TIP	The agency should prepare the budget request for submission in this order: 1) Lock columns as described above; 2) copy Column A03 to Column A12; and 3) set Column A12 column security to ALL for DISPLAY status and MANAGEMENT CONTROL for UPDATE status.					

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				
2.2	Are the statewide issues generated systematically (estimated expenditures, nonrecurring expenditures, etc.) included?	Y				
2.3	Are the issue codes and titles consistent with <i>Section 3</i> of the LBR Instructions (pages 15 through 27)? Do they clearly describe the issue?	Y				
2.4	Have the coding guidelines in <i>Section 3</i> of the LBR Instructions (pages 15 through 27) been followed?	Y				

3. EXHIBIT B (EXBR, EXB)

3.1	Is it apparent that there is a fund shift and 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				
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		Program or Service (Budget Entity Codes)				
Action		212				
AUDITS:						
3.2	Negative Appropriation Category Audit for Agency Request (Columns A03 and A04): Are all appropriation categories positive by budget entity at the FSI level? Are all nonrecurring amounts less than requested amounts? (NACR, NAC - Report should print "No Negative Appropriation Categories Found")	Y				
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				
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, the 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				
4.2	Is the program component code and title used correct?	Y				
TIP	Fund shifts or transfers of services or activities between program components will be displayed on an Exhibit D whereas it may not be visible on an Exhibit A.					
5. EXHIBIT D-1 (ED1R, EXD1)						
5.1	Are all object of expenditures positive amounts? (This is a manual check.)	Y				
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				
5.3	FLAIR Expenditure/Appropriation Ledger Comparison Report: Is Column A01 less than Column B04? (EXBR, EXBB - Negative differences need to be corrected in Column A01.)					
	<i>Please note that the LBR Instructions reference the wrong B column.</i>	Y				

Action		Program or Service (Budget Entity Codes)				
		212				
5.4	<p>A01/State Accounts Disbursements and Carry Forward Comparison Report: Does Column A01 equal Column B08? (EXBR, EXBD - Differences need to be corrected in Column A01.)</p> <p><i>Please note that the LBR Instructions reference the wrong B column.</i></p>					
TIP	<p>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.</p>	Y				

Action		Program or Service (Budget Entity Codes)				
		212				
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 2008-09 approved budget. Amounts should be positive.					
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.					
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				
TIP	Exhibit D-3 is no longer 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)						
7.1	Are the issue titles correct and do they clearly identify the issue? (See pages 15 through 31 of the LBR Instructions.)	Y				
7.2	Does the issue narrative adequately explain the agency's request and is the explanation consistent with the LRPP? (See page 65 of the LBR Instructions.)	Y				
7.3	Does the narrative for Information Technology (IT) issue follow the additional narrative requirements described on pages 66 through 70 of the LBR Instructions?	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				
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 and E-5 of the LBR Instructions.)	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				
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.	Y				
7.8	Does the issue narrative include the Consensus Estimating Conference forecast, where appropriate?	Y				
7.9	Does the issue narrative reference the specific county(ies) where applicable?	Y				

Action		Program or Service (Budget Entity Codes)				
		212				
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 #10-002?	Y				
7.11	When appropriate are there any 160XXX0 issues included to delete positions placed in reserve in the OPB Position and Rate Ledger (e.g. unfunded grants)? Note: Lump sum appropriations not yet allocated should <u>not</u> be deleted. (PLRR, PLMO)	Y				
7.12	Does the issue narrative include plans to satisfy additional space requirements when requesting additional positions?	Y				
7.13	Has the agency included a 160XXX0 issue and 210XXXX and 260XXX0 issues as required for lump sum distributions?	Y				
7.14	Do the amounts reflect appropriate FSI assignments?	Y				
7.15	Do the issues relating to <i>salary and benefits</i> have an "A" in the fifth position of the issue code (XXXXAXX) and are they self-contained (not combined with other issues)? (See page 26 and 86 of the LBR Instructions.)	Y				
7.16	Do the issues relating to <i>Information Technology (IT)</i> have a "C" in the sixth position of the issue code (36XXXXCX) and are the correct issue codes used (361XXC0, 362XXC0, 363XXC0, 17C01C0, 17C02C0, 17C03C0, 24010C0, 33001C0 or 55C01C0)?	Y				
7.17	Are the issues relating to <i>major audit findings and recommendations</i> properly coded (4A0XXX0, 4B0XXX0)?	Y				
AUDIT:						
7.18	Are all FSI's equal to '1', '2', '3', or '9'? There should be no FSI's equal to '0'. (EADR, FSIA - Report should print "No Records Selected For Reporting")	Y				
7.19	Does the General Revenue for 160XXXX issues net to zero? (GENR, LBR1)	Y				
7.20	Does the General Revenue for 180XXXX issues net to zero? (GENR, LBR2)	Y				
7.21	Does the General Revenue for 200XXXX issues net to zero? (GENR, LBR3)	Y				
7.22	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				

Action		Program or Service (Budget Entity Codes)				
		212				
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 70 of the LBR Instructions.					
TIP	Check BAPS to verify status of budget amendments. Check for reapprovals not picked up in the General Appropriations Act. Verify that Lump Sum appropriations in Column A02 do not appear in Column A03. Review budget amendments to verify that 160XXX0 issue amounts correspond accurately and net to zero for General Revenue funds.					
TIP	If an agency is receiving federal funds from another agency the FSI should = 9 (Transfer - Recipient of Federal Funds). The agency that originally receives the funds directly from the federal agency should use FSI = 3 (Federal Funds).					
TIP	If an appropriation made in the FY 2009-10 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				
8.2	Has a Schedule I been completed in LAS/PBS for each operating trust fund?	Y				
8.3	Have the appropriate Schedule I supporting documents been included for the trust funds (Schedule IA, Schedule IB, Schedule IC, and Reconciliation to Trial Balance)?	Y				
8.4	Have the Examination of Regulatory Fees Part I and Part II forms been included for the applicable regulatory programs?	Y				
8.5	Have the required detailed narratives been provided (5% trust fund reserve narrative; method for computing the distribution of cost for general management and administrative services narrative; adjustments narrative; revenue estimating methodology narrative)?	Y				
8.6	Has the Inter-Agency Transfers Reported on Schedule I form been included as applicable for transfers totaling \$100,000 or more for the fiscal year?	Y				
8.7	If the agency is scheduled for the annual trust fund review this year, have the Schedule ID and applicable draft legislation been included for recreation, modification or termination of existing trust funds?	Y				

Action		Program or Service (Budget Entity Codes)				
		212				
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 <i>section 215.32(2)(b), Florida Statutes</i> - including the Schedule ID and applicable legislation?	Y				
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)?	Y				

Action		Program or Service (Budget Entity Codes)				
		212				
8.10	Are the statutory authority references correct?	Y				
8.11	Are the General Revenue Service Charge percentage rates used for each revenue source correct? (Refer to Chapter 2009-78, Laws of Florida, for appropriate general revenue service charge percentage rates.)	Y				
8.12	Is this an accurate representation of revenues based on the most recent Consensus Estimating Conference forecasts?	Y				
8.13	If there is no Consensus Estimating Conference forecast available, do the revenue estimates appear to be reasonable?	Y				
8.14	Are the federal funds revenues reported in Section I broken out by individual grant? Are the correct CFDA codes used?	Y				
8.15	Are anticipated grants included and based on the state fiscal year (rather than federal fiscal year)?	Y				
8.16	Are the Schedule I revenues consistent with the FSI's reported in the Exhibit D-3A?	Y				
8.17	If applicable, are nonrecurring revenues entered into Column A04?	Y				
8.18	Has the agency certified the revenue estimates in columns A02 and A03 to be the latest and most accurate available?	Y				
8.19	Is a 5% trust fund reserve reflected in Section II? If not, is sufficient justification provided for exemption? Are the additional narrative requirements provided?	Y				
8.20	Are appropriate service charge nonoperating amounts included in Section II?	Y				
8.21	Are nonoperating expenditures to other budget entities/departments cross-referenced accurately?	Y				
8.22	Do transfers balance between funds (within the agency as well as between agencies)? (See also 8.6 for required transfer confirmation of amounts totaling \$100,000 or more.)	Y				
8.23	Are nonoperating expenditures recorded in Section II and adjustments recorded in Section III?	Y				
8.24	Are prior year September operating reversions appropriately shown in column A01?	Y				
8.25	Are current year September operating reversions appropriately shown in column A02?	Y				
8.26	Does the Schedule IC properly reflect the unreserved fund balance for each trust fund as defined by the LBR Instructions, and is it reconciled to the agency accounting records?	Y				
8.27	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				

		Program or Service (Budget Entity Codes)				
Action		212				
8.28	Does Line I of Column A01 (Schedule I) equal Line K of the Schedule IC?	Y				
AUDITS:						
8.29	Is Line I a positive number? (If not, the agency must adjust the budget request to eliminate the deficit).	Y				
8.30	Is the June 30 Adjusted Unreserved Fund Balance (Line I) equal to the July 1 Unreserved Fund Balance (Line A) of the following year? (SC1R, SC1A - Report should print "No Discrepancies Exist For This Report")	Y				
8.31	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				
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.)					
TIP	Review the unreserved fund balances and compare revenue totals to expenditure totals to determine and understand the trust fund status.					
TIP	Typically nonoperating expenditures and revenues should not be a negative number. Any negative numbers must be fully justified.					
9. SCHEDULE II (PSCR, SC2)						
AUDIT:						
9.1	Is the pay grade minimum for salary rate utilized for positions in segments 2 and 3? (BRAR, BRAA - Report should print "No Records Selected For This Request") Note: Amounts other than the pay grade minimum should be fully justified in the D-3A issue narrative. (See <i>Base Rate Audit</i> on page 156 of the LBR Instructions.)	Y				
10. SCHEDULE III (PSCR, SC3)						
10.1	Is the appropriate lapse amount applied in Segment 3? (See page 88 of the LBR Instructions.)	Y				
10.2	Are amounts in <i>Other Salary Amount</i> appropriate and fully justified? (See page 95 of the LBR Instructions for appropriate use of the OAD transaction.) Use OADI or OADR to identify agency other salary amounts requested.	Y				
11. SCHEDULE IV (EADR, SC4)						
11.1	Are the correct Information Technology (IT) issue codes used?	Y				
TIP	If IT issues are not coded correctly (with "C" in 6th position), they will not appear in the Schedule IV.					
12. SCHEDULE VIIIA (EADR, SC8A)						

Action		Program or Service (Budget Entity Codes)				
		212				
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?	Y				
13. SCHEDULE VIIIB-1						
13.1	This schedule is not required in the October 15, 2009 LBR submittal.					
14. SCHEDULE VIIIB-2 (EADR, S8B2)						
14.1	Do the reductions comply with the instructions provided on pages 101 and 102 of the LBR Instructions regarding a 10% reduction in recurring General Revenue and Trust Funds?	Y				
15. SCHEDULE XI (LAS/PBS Web - see page 108 of the LBR Instructions for detailed instructions)						
15.1	Has the Schedule XI one page summary Excel file been e-mailed to OPB at OPB.UnitCostSummary@laspbs.state.fl.us? Agencies are required to generate this spreadsheet via the LAS/PBS Web. (Note: Pursuant to <i>section 216.023(4) (b), Florida Statutes</i> , the Legislature can reduce the funding level for any agency that does not provide this information.)	Y				
15.2	Do the PDF files uploaded to the Florida Fiscal Portal for the LRPP and LBR match the Excel file e-mailed to OPB?	Y				
AUDITS INCLUDED IN THE SCHEDULE XI REPORT:						
15.3	Does the FY 2008-09 Actual (prior year) Expenditures in Column A36 reconcile to Column A01? (GENR, ACT1)	Y				
15.4	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				
15.5	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				
15.6	Has the agency provided the necessary demand (Record Type 5) for all activities which <u>should</u> appear in Section II? (Note: Audit #3 will identify those activities that do NOT have a Record Type '5' and have not been identified as a 'Pass Through' activity. These activities will be displayed in Section III with the 'Payment of Pensions, Benefits and Claims' activity and 'Other' activities. Verify if these activities should be displayed in Section III. If not, an output standard would need to be added for that activity and the Schedule XI submitted again.)	Y				
15.7	Does Section I (Final Budget for Agency) and Section III (Total Budget for Agency) equal? (Audit #4 should print "No Discrepancies Found")	Y				
TIP	If Section I and Section III have a small difference, it may be due to rounding and therefore will be acceptable.					

		Program or Service (Budget Entity Codes)				
Action		212				
16. MANUALLY PREPARED EXHIBITS & SCHEDULES						
16.1	Do exhibits and schedules comply with LBR Instructions (pages 109 through 153 of the LBR Instructions), and are they accurate and complete?	Y				
16.2	Are appropriation category totals comparable to Exhibit B, where applicable?	Y				
16.3	Are agency organization charts (Schedule X) provided and at the appropriate level of detail?	Y				
AUDITS - GENERAL INFORMATION						
TIP	Review <i>Section 6: Audits</i> of the LBR Instructions 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.					
17. CAPITAL IMPROVEMENTS PROGRAM (CIP)						
17.1	Are the CIP-2, CIP-3, CIP-A and CIP-B forms included?	Y				
17.2	Are the CIP-4 and CIP-5 forms submitted when applicable (see CIP Instructions)?	Y				
17.3	Do all CIP forms comply with CIP Instructions where applicable (see CIP Instructions)?	Y				
17.4	Does the agency request include 5 year projections (Columns A03, A06, A07, A08 and A09)?	Y				
17.5	Are the appropriate counties identified in the narrative?	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.					
18. FLORIDA FISCAL PORTAL						
18.1	Have all files been assembled correctly and posted to the Florida Fiscal Portal as outlined in the Florida Fiscal Portal Submittal Process?	Y				

Fiscal Year 2010-11 LBR Technical Review Checklist

Department/Budget Entity (Service): Children and Families/Child Care Regulation/Adult Protection/Child Protection/Florida Abuse Hotline;Executive Leadership & Support Services

Agency Budget Officer/OPB Analyst Name: Nevin Smith, Ph.D

A "Y" indicates "YES" and is acceptable, an "N/J" indicates "NO/Justification Provided" - these require further explanation/justification (additional sheets can be used as necessary), and "TIPS" are other areas to consider.

Action	Program or Service (Budget Entity Codes)				
	310				

1. GENERAL

1.1	Are Columns A01, A02, A04, A05, A10, A11, A36, IA1, 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? Are Columns A06, A07, A08 and A09 for Fixed Capital Outlay (FCO) set to TRANSFER CONTROL for DISPLAY status only? (CSDI)	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				

AUDITS:

1.3	Has Column A03 been copied to Column A12? Run the Exhibit B Audit Comparison Report to verify. (EXBR, EXBA)	Y				
1.4	Has security been set correctly? (CSDR, CSA)	Y				
TIP	The agency should prepare the budget request for submission in this order: 1) Lock columns as described above; 2) copy Column A03 to Column A12; and 3) set Column A12 column security to ALL for DISPLAY status and MANAGEMENT CONTROL for UPDATE status.					

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				
2.2	Are the statewide issues generated systematically (estimated expenditures, nonrecurring expenditures, etc.) included?	Y				
2.3	Are the issue codes and titles consistent with <i>Section 3</i> of the LBR Instructions (pages 15 through 27)? Do they clearly describe the issue?	Y				
2.4	Have the coding guidelines in <i>Section 3</i> of the LBR Instructions (pages 15 through 27) been followed?	Y				

3. EXHIBIT B (EXBR, EXB)

3.1	Is it apparent that there is a fund shift and 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				
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Action		Program or Service (Budget Entity Codes)				
		310				
AUDITS:						
3.2	Negative Appropriation Category Audit for Agency Request (Columns A03 and A04): Are all appropriation categories positive by budget entity at the FSI level? Are all nonrecurring amounts less than requested amounts? (NACR, NAC - Report should print "No Negative Appropriation Categories Found")	Y				
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				
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, the 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				
4.2	Is the program component code and title used correct?	Y				
TIP	Fund shifts or transfers of services or activities between program components will be displayed on an Exhibit D whereas it may not be visible on an Exhibit A.					
5. EXHIBIT D-1 (ED1R, EXD1)						
5.1	Are all object of expenditures positive amounts? (This is a manual check.)	Y				
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				
5.3	FLAIR Expenditure/Appropriation Ledger Comparison Report: Is Column A01 less than Column B04? (EXBR, EXBB - Negative differences need to be corrected in Column A01.) <i>Please note that the LBR Instructions reference the wrong B column.</i>	Y				

Action		Program or Service (Budget Entity Codes)				
		310				
5.4	<p>A01/State Accounts Disbursements and Carry Forward Comparison Report: Does Column A01 equal Column B08? (EXBR, EXBD - Differences need to be corrected in Column A01.)</p> <p><i>Please note that the LBR Instructions reference the wrong B column.</i></p>					
TIP	<p>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.</p>	Y				

		Program or Service (Budget Entity Codes)				
Action		310				
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 2008-09 approved budget. Amounts should be positive.					
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.					
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				
TIP	Exhibit D-3 is no longer 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)						
7.1	Are the issue titles correct and do they clearly identify the issue? (See pages 15 through 31 of the LBR Instructions.)	Y				
7.2	Does the issue narrative adequately explain the agency's request and is the explanation consistent with the LRPP? (See page 65 of the LBR Instructions.)	Y				
7.3	Does the narrative for Information Technology (IT) issue follow the additional narrative requirements described on pages 66 through 70 of the LBR Instructions?	N/A				
7.4	Are all issues with an IT component identified with a "Y" in the "IT COMPONENT?" field? If the issue contains an IT component, has that component been identified and documented?	N/A				
7.5	Does the issue narrative explain any variances from the Standard Expense and Human Resource Services Assessments package? Is the nonrecurring portion in the nonrecurring column? (See pages E-4 and E-5 of the LBR Instructions.)	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				
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.	Y				
7.8	Does the issue narrative include the Consensus Estimating Conference forecast, where appropriate?	N/A				
7.9	Does the issue narrative reference the specific county(ies) where applicable?	Y				

Action		Program or Service (Budget Entity Codes)				
		310				
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 #10-002?	Y				
7.11	When appropriate are there any 160XXX0 issues included to delete positions placed in reserve in the OPB Position and Rate Ledger (e.g. unfunded grants)? Note: Lump sum appropriations not yet allocated should <u>not</u> be deleted. (PLRR, PLMO)	N				
7.12	Does the issue narrative include plans to satisfy additional space requirements when requesting additional positions?	Y				
7.13	Has the agency included a 160XXX0 issue and 210XXXX and 260XXX0 issues as required for lump sum distributions?	Y				
7.14	Do the amounts reflect appropriate FSI assignments?	Y				
7.15	Do the issues relating to <i>salary and benefits</i> have an "A" in the fifth position of the issue code (XXXXAXX) and are they self-contained (not combined with other issues)? (See page 26 and 86 of the LBR Instructions.)	Y				
7.16	Do the issues relating to <i>Information Technology (IT)</i> have a "C" in the sixth position of the issue code (36XXXXCX) and are the correct issue codes used (361XXC0, 362XXC0, 363XXC0, 17C01C0, 17C02C0, 17C03C0, 24010C0, 33001C0 or 55C01C0)?	N/A				
7.17	Are the issues relating to <i>major audit findings and recommendations</i> properly coded (4A0XXX0, 4B0XXX0)?	N/A				
AUDIT:						
7.18	Are all FSI's equal to '1', '2', '3', or '9'? There should be no FSI's equal to '0'. (EADR, FSIA - Report should print "No Records Selected For Reporting")	Y				
7.19	Does the General Revenue for 160XXXX issues net to zero? (GENR, LBR1)	Y				
7.20	Does the General Revenue for 180XXXX issues net to zero? (GENR, LBR2)	Y				
7.21	Does the General Revenue for 200XXXX issues net to zero? (GENR, LBR3)	Y				
7.22	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				

Action		Program or Service (Budget Entity Codes)				
		310				
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 70 of the LBR Instructions.					
TIP	Check BAPS to verify status of budget amendments. Check for reapprovals not picked up in the General Appropriations Act. Verify that Lump Sum appropriations in Column A02 do not appear in Column A03. Review budget amendments to verify that 160XXX0 issue amounts correspond accurately and net to zero for General Revenue funds.					
TIP	If an agency is receiving federal funds from another agency the FSI should = 9 (Transfer - Recipient of Federal Funds). The agency that originally receives the funds directly from the federal agency should use FSI = 3 (Federal Funds).					
TIP	If an appropriation made in the FY 2009-10 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				
8.2	Has a Schedule I been completed in LAS/PBS for each operating trust fund?	Y				
8.3	Have the appropriate Schedule I supporting documents been included for the trust funds (Schedule IA, Schedule IB, Schedule IC, and Reconciliation to Trial Balance)?	Y				
8.4	Have the Examination of Regulatory Fees Part I and Part II forms been included for the applicable regulatory programs?	Y				
8.5	Have the required detailed narratives been provided (5% trust fund reserve narrative; method for computing the distribution of cost for general management and administrative services narrative; adjustments narrative; revenue estimating methodology narrative)?	Y				
8.6	Has the Inter-Agency Transfers Reported on Schedule I form been included as applicable for transfers totaling \$100,000 or more for the fiscal year?	Y				
8.7	If the agency is scheduled for the annual trust fund review this year, have the Schedule ID and applicable draft legislation been included for recreation, modification or termination of existing trust funds?	Y				

Action		Program or Service (Budget Entity Codes)				
		310				
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 <i>section 215.32(2)(b), Florida Statutes</i> - including the Schedule ID and applicable legislation?	Y				
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)?	Y				

Action		Program or Service (Budget Entity Codes)				
		310				
8.10	Are the statutory authority references correct?	Y				
8.11	Are the General Revenue Service Charge percentage rates used for each revenue source correct? (Refer to Chapter 2009-78, Laws of Florida, for appropriate general revenue service charge percentage rates.)	Y				
8.12	Is this an accurate representation of revenues based on the most recent Consensus Estimating Conference forecasts?	Y				
8.13	If there is no Consensus Estimating Conference forecast available, do the revenue estimates appear to be reasonable?	Y				
8.14	Are the federal funds revenues reported in Section I broken out by individual grant? Are the correct CFDA codes used?	Y				
8.15	Are anticipated grants included and based on the state fiscal year (rather than federal fiscal year)?	Y				
8.16	Are the Schedule I revenues consistent with the FSI's reported in the Exhibit D-3A?	Y				
8.17	If applicable, are nonrecurring revenues entered into Column A04?	Y				
8.18	Has the agency certified the revenue estimates in columns A02 and A03 to be the latest and most accurate available?	Y				
8.19	Is a 5% trust fund reserve reflected in Section II? If not, is sufficient justification provided for exemption? Are the additional narrative requirements provided?	Y				
8.20	Are appropriate service charge nonoperating amounts included in Section II?	Y				
8.21	Are nonoperating expenditures to other budget entities/departments cross-referenced accurately?	Y				
8.22	Do transfers balance between funds (within the agency as well as between agencies)? (See also 8.6 for required transfer confirmation of amounts totaling \$100,000 or more.)	Y				
8.23	Are nonoperating expenditures recorded in Section II and adjustments recorded in Section III?	Y				
8.24	Are prior year September operating reversions appropriately shown in column A01?	Y				
8.25	Are current year September operating reversions appropriately shown in column A02?	Y				
8.26	Does the Schedule IC properly reflect the unreserved fund balance for each trust fund as defined by the LBR Instructions, and is it reconciled to the agency accounting records?	Y				
8.27	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				

		Program or Service (Budget Entity Codes)				
Action		310				
8.28	Does Line I of Column A01 (Schedule I) equal Line K of the Schedule IC?	Y				
AUDITS:						
8.29	Is Line I a positive number? (If not, the agency must adjust the budget request to eliminate the deficit).	Y				
8.30	Is the June 30 Adjusted Unreserved Fund Balance (Line I) equal to the July 1 Unreserved Fund Balance (Line A) of the following year? (SC1R, SC1A - Report should print "No Discrepancies Exist For This Request")	Y				
8.31	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				
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.)					
TIP	Review the unreserved fund balances and compare revenue totals to expenditure totals to determine and understand the trust fund status.					
TIP	Typically nonoperating expenditures and revenues should not be a negative number. Any negative numbers must be fully justified.					
9. SCHEDULE II (PSCR, SC2)						
AUDIT:						
9.1	Is the pay grade minimum for salary rate utilized for positions in segments 2 and 3? (BRAR, BRAA - Report should print "No Records Selected For This Request") Note: Amounts other than the pay grade minimum should be fully justified in the D-3A issue narrative. (See <i>Base Rate Audit</i> on page 156 of the LBR Instructions.)	Y				
10. SCHEDULE III (PSCR, SC3)						
10.1	Is the appropriate lapse amount applied in Segment 3? (See page 88 of the LBR Instructions.)	Y				
10.2	Are amounts in <i>Other Salary Amount</i> appropriate and fully justified? (See page 95 of the LBR Instructions for appropriate use of the OAD transaction.) Use OADI or OADR to identify agency other salary amounts requested.	Y				
11. SCHEDULE IV (EADR, SC4)						
11.1	Are the correct Information Technology (IT) issue codes used?	N/A				
TIP	If IT issues are not coded correctly (with "C" in 6th position), they will not appear in the Schedule IV.					
12. SCHEDULE VIIIA (EADR, SC8A)						

Action		Program or Service (Budget Entity Codes)				
		310				
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?	Y				
13. SCHEDULE VIIIB-1						
13.1	This schedule is not required in the October 15, 2009 LBR submittal.					
14. SCHEDULE VIIIB-2 (EADR, S8B2)						
14.1	Do the reductions comply with the instructions provided on pages 101 and 102 of the LBR Instructions regarding a 10% reduction in recurring General Revenue and Trust Funds?	Y				
15. SCHEDULE XI (LAS/PBS Web - see page 108 of the LBR Instructions for detailed instructions)						
15.1	Has the Schedule XI one page summary Excel file been e-mailed to OPB at OPB.UnitCostSummary@laspbs.state.fl.us? Agencies are required to generate this spreadsheet via the LAS/PBS Web. (Note: Pursuant to <i>section 216.023(4) (b), Florida Statutes</i> , the Legislature can reduce the funding level for any agency that does not provide this information.)	Y				
15.2	Do the PDF files uploaded to the Florida Fiscal Portal for the LRPP and LBR match the Excel file e-mailed to OPB?	Y				
AUDITS INCLUDED IN THE SCHEDULE XI REPORT:						
15.3	Does the FY 2008-09 Actual (prior year) Expenditures in Column A36 reconcile to Column A01? (GENR, ACT1)	Y				
15.4	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")					
15.5	Does the Fixed Capital Outlay (FCO) statewide activity (ACT0210) only contain 08XXXX or 14XXXX appropriation categories? (Audit #2 should print "No Operating Categories Found")	N/A				
15.6	Has the agency provided the necessary demand (Record Type 5) for all activities which <u>should</u> appear in Section II? (Note: Audit #3 will identify those activities that do NOT have a Record Type '5' and have not been identified as a 'Pass Through' activity. These activities will be displayed in Section III with the 'Payment of Pensions, Benefits and Claims' activity and 'Other' activities. Verify if these activities should be displayed in Section III. If not, an output standard would need to be added for that activity and the Schedule XI submitted again.)	Y				
15.7	Does Section I (Final Budget for Agency) and Section III (Total Budget for Agency) equal? (Audit #4 should print "No Discrepancies Found")	Y				
TIP	If Section I and Section III have a small difference, it may be due to rounding and therefore will be acceptable.					

		Program or Service (Budget Entity Codes)				
Action		310				
16. MANUALLY PREPARED EXHIBITS & SCHEDULES						
16.1	Do exhibits and schedules comply with LBR Instructions (pages 109 through 153 of the LBR Instructions), and are they accurate and complete?	Y				
16.2	Are appropriation category totals comparable to Exhibit B, where applicable?	Y				
16.3	Are agency organization charts (Schedule X) provided and at the appropriate level of detail?	Y				
AUDITS - GENERAL INFORMATION						
TIP	Review <i>Section 6: Audits</i> of the LBR Instructions 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.					
17. CAPITAL IMPROVEMENTS PROGRAM (CIP)						
17.1	Are the CIP-2, CIP-3, CIP-A and CIP-B forms included?	N/A				
17.2	Are the CIP-4 and CIP-5 forms submitted when applicable (see CIP Instructions)?	N/A				
17.3	Do all CIP forms comply with CIP Instructions where applicable (see CIP Instructions)?	N/A				
17.4	Does the agency request include 5 year projections (Columns A03, A06, A07, A08 and A09)?	N/A				
17.5	Are the appropriate counties identified in the narrative?	N/A				
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.					
18. FLORIDA FISCAL PORTAL						
18.1	Have all files been assembled correctly and posted to the Florida Fiscal Portal as outlined in the Florida Fiscal Portal Submittal Process?					

Fiscal Year 2010-11 LBR Technical Review Checklist

Department/Budget Entity (Service): Children and Families/Civil Commitment Program/Forensic Commitment Program/Sexual Predator Program/Adult Community Mental Health Program/Children's Community Mental Health Program/Executive Leadership and

Agency Budget Officer/OPB Analyst Name: Nevin Smith/Richard Perritti

A "Y" indicates "YES" and is acceptable, an "N/J" indicates "NO/Justification Provided" - these require further explanation/justification (additional sheets can be used as necessary), and "TIPS" are other areas to consider.

Action		Program or Service (Budget Entity Codes)				
		506				

1. GENERAL

1.1	Are Columns A01, A02, A04, A05, A10, A11, A36, IA1, 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? Are Columns A06, A07, A08 and A09 for Fixed Capital Outlay (FCO) set to TRANSFER CONTROL for DISPLAY status only? (CSDI)	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				

AUDITS:

1.3	Has Column A03 been copied to Column A12? Run the Exhibit B Audit Comparison Report to verify. (EXBR, EXBA)	Y				
1.4	Has security been set correctly? (CSDR, CSA)	Y				
TIP	The agency should prepare the budget request for submission in this order: 1) Lock columns as described above; 2) copy Column A03 to Column A12; and 3) set Column A12 column security to ALL for DISPLAY status and MANAGEMENT CONTROL for UPDATE status.					

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				
2.2	Are the statewide issues generated systematically (estimated expenditures, nonrecurring expenditures, etc.) included?	Y				
2.3	Are the issue codes and titles consistent with <i>Section 3</i> of the LBR Instructions (pages 15 through 27)? Do they clearly describe the issue?	Y				
2.4	Have the coding guidelines in <i>Section 3</i> of the LBR Instructions (pages 15 through 27) been followed?	Y				

3. EXHIBIT B (EXBR, EXB)

3.1	Is it apparent that there is a fund shift and 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				
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		Program or Service (Budget Entity Codes)				
Action		506				
AUDITS:						
3.2	Negative Appropriation Category Audit for Agency Request (Columns A03 and A04): Are all appropriation categories positive by budget entity at the FSI level? Are all nonrecurring amounts less than requested amounts? (NACR, NAC - Report should print "No Negative Appropriation Categories Found")	Y				
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				
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, the 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				
4.2	Is the program component code and title used correct?	Y				
TIP	Fund shifts or transfers of services or activities between program components will be displayed on an Exhibit D whereas it may not be visible on an Exhibit A.					
5. EXHIBIT D-1 (ED1R, EXD1)						
5.1	Are all object of expenditures positive amounts? (This is a manual check.)	Y				
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				
5.3	FLAIR Expenditure/Appropriation Ledger Comparison Report: Is Column A01 less than Column B04? (EXBR, EXBB - Negative differences need to be corrected in Column A01.)					
	<i>Please note that the LBR Instructions reference the wrong B column.</i>	Y				

Action		Program or Service (Budget Entity Codes)				
		506				
5.4	<p>A01/State Accounts Disbursements and Carry Forward Comparison Report: Does Column A01 equal Column B08? (EXBR, EXBD - Differences need to be corrected in Column A01.)</p> <p><i>Please note that the LBR Instructions reference the wrong B column.</i></p>					
TIP	<p>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.</p>	Y				

Action		Program or Service (Budget Entity Codes)				
		506				
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 2008-09 approved budget. Amounts should be positive.					
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.					
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				
TIP	Exhibit D-3 is no longer 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)						
7.1	Are the issue titles correct and do they clearly identify the issue? (See pages 15 through 31 of the LBR Instructions.)	Y				
7.2	Does the issue narrative adequately explain the agency's request and is the explanation consistent with the LRPP? (See page 65 of the LBR Instructions.)	Y				
7.3	Does the narrative for Information Technology (IT) issue follow the additional narrative requirements described on pages 66 through 70 of the LBR Instructions?	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				
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 and E-5 of the LBR Instructions.)	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				
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.	Y				
7.8	Does the issue narrative include the Consensus Estimating Conference forecast, where appropriate?	Y				
7.9	Does the issue narrative reference the specific county(ies) where applicable?	Y				

Action		Program or Service (Budget Entity Codes)				
		506				
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 #10-002?	Y				
7.11	When appropriate are there any 160XXX0 issues included to delete positions placed in reserve in the OPB Position and Rate Ledger (e.g. unfunded grants)? Note: Lump sum appropriations not yet allocated should <u>not</u> be deleted. (PLRR, PLMO)	Y				
7.12	Does the issue narrative include plans to satisfy additional space requirements when requesting additional positions?	Y				
7.13	Has the agency included a 160XXX0 issue and 210XXXX and 260XXX0 issues as required for lump sum distributions?	Y				
7.14	Do the amounts reflect appropriate FSI assignments?	Y				
7.15	Do the issues relating to <i>salary and benefits</i> have an "A" in the fifth position of the issue code (XXXXAXX) and are they self-contained (not combined with other issues)? (See page 26 and 86 of the LBR Instructions.)	Y				
7.16	Do the issues relating to <i>Information Technology (IT)</i> have a "C" in the sixth position of the issue code (36XXXXCX) and are the correct issue codes used (361XXC0, 362XXC0, 363XXC0, 17C01C0, 17C02C0, 17C03C0, 24010C0, 33001C0 or 55C01C0)?	Y				
7.17	Are the issues relating to <i>major audit findings and recommendations</i> properly coded (4A0XXX0, 4B0XXX0)?	Y				
AUDIT:						
7.18	Are all FSI's equal to '1', '2', '3', or '9'? There should be no FSI's equal to '0'. (EADR, FSIA - Report should print "No Records Selected For Reporting")	Y				
7.19	Does the General Revenue for 160XXXX issues net to zero? (GENR, LBR1)	Y				
7.20	Does the General Revenue for 180XXXX issues net to zero? (GENR, LBR2)	Y				
7.21	Does the General Revenue for 200XXXX issues net to zero? (GENR, LBR3)	Y				
7.22	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				

Action		Program or Service (Budget Entity Codes)				
		506				
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 70 of the LBR Instructions.					
TIP	Check BAPS to verify status of budget amendments. Check for reapprovals not picked up in the General Appropriations Act. Verify that Lump Sum appropriations in Column A02 do not appear in Column A03. Review budget amendments to verify that 160XXX0 issue amounts correspond accurately and net to zero for General Revenue funds.					
TIP	If an agency is receiving federal funds from another agency the FSI should = 9 (Transfer - Recipient of Federal Funds). The agency that originally receives the funds directly from the federal agency should use FSI = 3 (Federal Funds).					
TIP	If an appropriation made in the FY 2009-10 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				
8.2	Has a Schedule I been completed in LAS/PBS for each operating trust fund?	Y				
8.3	Have the appropriate Schedule I supporting documents been included for the trust funds (Schedule IA, Schedule IB, Schedule IC, and Reconciliation to Trial Balance)?	Y				
8.4	Have the Examination of Regulatory Fees Part I and Part II forms been included for the applicable regulatory programs?	Y				
8.5	Have the required detailed narratives been provided (5% trust fund reserve narrative; method for computing the distribution of cost for general management and administrative services narrative; adjustments narrative; revenue estimating methodology narrative)?	Y				
8.6	Has the Inter-Agency Transfers Reported on Schedule I form been included as applicable for transfers totaling \$100,000 or more for the fiscal year?	Y				
8.7	If the agency is scheduled for the annual trust fund review this year, have the Schedule ID and applicable draft legislation been included for recreation, modification or termination of existing trust funds?	Y				

Action		Program or Service (Budget Entity Codes)				
		506				
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 <i>section 215.32(2)(b), Florida Statutes</i> - including the Schedule ID and applicable legislation?	Y				
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)?	Y				

Action		Program or Service (Budget Entity Codes)				
		506				
8.10	Are the statutory authority references correct?	Y				
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8.12	Is this an accurate representation of revenues based on the most recent Consensus Estimating Conference forecasts?	Y				
8.13	If there is no Consensus Estimating Conference forecast available, do the revenue estimates appear to be reasonable?	Y				
8.14	Are the federal funds revenues reported in Section I broken out by individual grant? Are the correct CFDA codes used?	Y				
8.15	Are anticipated grants included and based on the state fiscal year (rather than federal fiscal year)?	Y				
8.16	Are the Schedule I revenues consistent with the FSI's reported in the Exhibit D-3A?	Y				
8.17	If applicable, are nonrecurring revenues entered into Column A04?	Y				
8.18	Has the agency certified the revenue estimates in columns A02 and A03 to be the latest and most accurate available?	Y				
8.19	Is a 5% trust fund reserve reflected in Section II? If not, is sufficient justification provided for exemption? Are the additional narrative requirements provided?	Y				
8.20	Are appropriate service charge nonoperating amounts included in Section II?	Y				
8.21	Are nonoperating expenditures to other budget entities/departments cross-referenced accurately?	Y				
8.22	Do transfers balance between funds (within the agency as well as between agencies)? (See also 8.6 for required transfer confirmation of amounts totaling \$100,000 or more.)	Y				
8.23	Are nonoperating expenditures recorded in Section II and adjustments recorded in Section III?	Y				
8.24	Are prior year September operating reversions appropriately shown in column A01?	Y				
8.25	Are current year September operating reversions appropriately shown in column A02?	Y				
8.26	Does the Schedule IC properly reflect the unreserved fund balance for each trust fund as defined by the LBR Instructions, and is it reconciled to the agency accounting records?	Y				
8.27	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				

		Program or Service (Budget Entity Codes)				
Action		506				
8.28	Does Line I of Column A01 (Schedule I) equal Line K of the Schedule IC?	Y				
AUDITS:						
8.29	Is Line I a positive number? (If not, the agency must adjust the budget request to eliminate the deficit).	Y				
8.30	Is the June 30 Adjusted Unreserved Fund Balance (Line I) equal to the July 1 Unreserved Fund Balance (Line A) of the following year? (SC1R, SC1A - Report should print "No Discrepancies Exist For This Report")	Y				
8.31	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				
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!					
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AUDIT:						
9.1	Is the pay grade minimum for salary rate utilized for positions in segments 2 and 3? (BRAR, BRAA - Report should print "No Records Selected For This Request") Note: Amounts other than the pay grade minimum should be fully justified in the D-3A issue narrative. (See <i>Base Rate Audit</i> on page 156 of the LBR Instructions.)	Y				
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12. SCHEDULE VIIIA (EADR, SC8A)						

Action		Program or Service (Budget Entity Codes)				
		506				
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?	Y				
13. SCHEDULE VIIIB-1						
13.1	This schedule is not required in the October 15, 2009 LBR submittal.					
14. SCHEDULE VIIIB-2 (EADR, S8B2)						
14.1	Do the reductions comply with the instructions provided on pages 101 and 102 of the LBR Instructions regarding a 10% reduction in recurring General Revenue and Trust Funds?	Y				
15. SCHEDULE XI (LAS/PBS Web - see page 108 of the LBR Instructions for detailed instructions)						
15.1	Has the Schedule XI one page summary Excel file been e-mailed to OPB at OPB.UnitCostSummary@laspbs.state.fl.us? Agencies are required to generate this spreadsheet via the LAS/PBS Web. (Note: Pursuant to <i>section 216.023(4) (b), Florida Statutes</i> , the Legislature can reduce the funding level for any agency that does not provide this information.)	Y				
15.2	Do the PDF files uploaded to the Florida Fiscal Portal for the LRPP and LBR match the Excel file e-mailed to OPB?	Y				
AUDITS INCLUDED IN THE SCHEDULE XI REPORT:						
15.3	Does the FY 2008-09 Actual (prior year) Expenditures in Column A36 reconcile to Column A01? (GENR, ACT1)	Y				
15.4	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				
15.5	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				
15.6	Has the agency provided the necessary demand (Record Type 5) for all activities which <u>should</u> appear in Section II? (Note: Audit #3 will identify those activities that do NOT have a Record Type '5' and have not been identified as a 'Pass Through' activity. These activities will be displayed in Section III with the 'Payment of Pensions, Benefits and Claims' activity and 'Other' activities. Verify if these activities should be displayed in Section III. If not, an output standard would need to be added for that activity and the Schedule XI submitted again.)	Y				
15.7	Does Section I (Final Budget for Agency) and Section III (Total Budget for Agency) equal? (Audit #4 should print "No Discrepancies Found")	Y				
TIP	If Section I and Section III have a small difference, it may be due to rounding and therefore will be acceptable.					

		Program or Service (Budget Entity Codes)				
Action		506				
16. MANUALLY PREPARED EXHIBITS & SCHEDULES						
16.1	Do exhibits and schedules comply with LBR Instructions (pages 109 through 153 of the LBR Instructions), and are they accurate and complete?	Y				
16.2	Are appropriation category totals comparable to Exhibit B, where applicable?	Y				
16.3	Are agency organization charts (Schedule X) provided and at the appropriate level of detail?	Y				
AUDITS - GENERAL INFORMATION						
TIP	Review <i>Section 6: Audits</i> of the LBR Instructions 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.					
17. CAPITAL IMPROVEMENTS PROGRAM (CIP)						
17.1	Are the CIP-2, CIP-3, CIP-A and CIP-B forms included?	Y				
17.2	Are the CIP-4 and CIP-5 forms submitted when applicable (see CIP Instructions)?	Y				
17.3	Do all CIP forms comply with CIP Instructions where applicable (see CIP Instructions)?	Y				
17.4	Does the agency request include 5 year projections (Columns A03, A06, A07, A08 and A09)?	Y				
17.5	Are the appropriate counties identified in the narrative?	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.					
18. FLORIDA FISCAL PORTAL						
18.1	Have all files been assembled correctly and posted to the Florida Fiscal Portal as outlined in the Florida Fiscal Portal Submittal Process?	Y				

Fiscal Year 2010-11 LBR Technical Review Checklist

Department/Budget Entity (Service): Children and Families/Substance Abuse Services (Executive Leadership, Children and Adult Substance Abuse Services)

Agency Budget Officer/OPB Analyst Name: Nevin Smith PhD/Richard Periti

A "Y" indicates "YES" and is acceptable, an "N/J" indicates "NO/Justification Provided" - these require further explanation/justification (additional sheets can be used as necessary), and "TIPS" are other areas to consider.

Action		Program or Service (Budget Entity Codes)				
		60910604				

1. GENERAL

1.1 Are Columns A01, A02, A04, A05, A10, A11, A36, IA1, 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? Are Columns A06, A07, A08 and A09 for Fixed Capital Outlay (FCO) set to TRANSFER CONTROL for DISPLAY status only? **(CSDI)**

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

AUDITS:

1.3 Has Column A03 been copied to Column A12? Run the Exhibit B Audit Comparison Report to verify. **(EXBR, EXBA)**

Y

1.4 Has security been set correctly? **(CSDR, CSA)**

Y

TIP The agency should prepare the budget request for submission in this order: 1) Lock columns as described above; 2) copy Column A03 to Column A12; and 3) set Column A12 column security to ALL for DISPLAY status and MANAGEMENT CONTROL for UPDATE status.

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

2.2 Are the statewide issues generated systematically (estimated expenditures, nonrecurring expenditures, etc.) included?

Y

2.3 Are the issue codes and titles consistent with *Section 3* of the LBR Instructions (pages 15 through 27)? Do they clearly describe the issue?

Y

2.4 Have the coding guidelines in *Section 3* of the LBR Instructions (pages 15 through 27) been followed?

Y

3. EXHIBIT B (EXBR, EXB)

3.1 Is it apparent that there is a fund shift and 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

		Program or Service (Budget Entity Codes)				
Action		60910604				
AUDITS:						
3.2	Negative Appropriation Category Audit for Agency Request (Columns A03 and A04): Are all appropriation categories positive by budget entity at the FSI level? Are all nonrecurring amounts less than requested amounts? (NACR, NAC - Report should print "No Negative Appropriation Categories Found")	Y				
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				
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, the 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				
4.2	Is the program component code and title used correct?	Y				
TIP	Fund shifts or transfers of services or activities between program components will be displayed on an Exhibit D whereas it may not be visible on an Exhibit A.					
5. EXHIBIT D-1 (ED1R, EXD1)						
5.1	Are all object of expenditures positive amounts? (This is a manual check.)	Y				
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				
5.3	FLAIR Expenditure/Appropriation Ledger Comparison Report: Is Column A01 less than Column B04? (EXBR, EXBB - Negative differences need to be corrected in Column A01.)	Y				
<i>Please note that the LBR Instructions reference the wrong B column.</i>		Y				

Action		Program or Service (Budget Entity Codes)				
		60910604				
5.4	<p>A01/State Accounts Disbursements and Carry Forward Comparison Report: Does Column A01 equal Column B08? (EXBR, EXBD - Differences need to be corrected in Column A01.)</p> <p><i>Please note that the LBR Instructions reference the wrong B column.</i></p>	Y				
TIP	<p>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.</p>					

		Program or Service (Budget Entity Codes)				
Action		60910604				
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 2008-09 approved budget. Amounts should be positive.					
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.					
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				
TIP	Exhibit D-3 is no longer 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)						
7.1	Are the issue titles correct and do they clearly identify the issue? (See pages 15 through 31 of the LBR Instructions.)	Y				
7.2	Does the issue narrative adequately explain the agency's request and is the explanation consistent with the LRPP? (See page 65 of the LBR Instructions.)	Y				
7.3	Does the narrative for Information Technology (IT) issue follow the additional narrative requirements described on pages 66 through 70 of the LBR Instructions?	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				
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 and E-5 of the LBR Instructions.)	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				
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.	Y				
7.8	Does the issue narrative include the Consensus Estimating Conference forecast, where appropriate?	Y				
7.9	Does the issue narrative reference the specific county(ies) where applicable?	Y				

Action		Program or Service (Budget Entity Codes)				
		60910604				
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 #10-002?	N				
7.11	When appropriate are there any 160XXX0 issues included to delete positions placed in reserve in the OPB Position and Rate Ledger (e.g. unfunded grants)? Note: Lump sum appropriations not yet allocated should <u>not</u> be deleted. (PLRR, PLMO)	Y				
7.12	Does the issue narrative include plans to satisfy additional space requirements when requesting additional positions?	Y				
7.13	Has the agency included a 160XXX0 issue and 210XXXX and 260XXX0 issues as required for lump sum distributions?	Y				
7.14	Do the amounts reflect appropriate FSI assignments?	Y				
7.15	Do the issues relating to <i>salary and benefits</i> have an "A" in the fifth position of the issue code (XXXXAXX) and are they self-contained (not combined with other issues)? (See page 26 and 86 of the LBR Instructions.)	Y				
7.16	Do the issues relating to <i>Information Technology (IT)</i> have a "C" in the sixth position of the issue code (36XXXXCX) and are the correct issue codes used (361XXC0, 362XXC0, 363XXC0, 17C01C0, 17C02C0, 17C03C0, 24010C0, 33001C0 or 55C01C0)?	Y				
7.17	Are the issues relating to <i>major audit findings and recommendations</i> properly coded (4A0XXX0, 4B0XXX0)?	Y				
AUDIT:						
7.18	Are all FSI's equal to '1', '2', '3', or '9'? There should be no FSI's equal to '0'. (EADR, FSIA - Report should print "No Records Selected For Reporting")	Y				
7.19	Does the General Revenue for 160XXXX issues net to zero? (GENR, LBR1)	NA				
7.20	Does the General Revenue for 180XXXX issues net to zero? (GENR, LBR2)	NA				
7.21	Does the General Revenue for 200XXXX issues net to zero? (GENR, LBR3)	NA				
7.22	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)))	NA				

Action		Program or Service (Budget Entity Codes)				
		60910604				
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 70 of the LBR Instructions.					
TIP	Check BAPS to verify status of budget amendments. Check for reapprovals not picked up in the General Appropriations Act. Verify that Lump Sum appropriations in Column A02 do not appear in Column A03. Review budget amendments to verify that 160XXX0 issue amounts correspond accurately and net to zero for General Revenue funds.					
TIP	If an agency is receiving federal funds from another agency the FSI should = 9 (Transfer - Recipient of Federal Funds). The agency that originally receives the funds directly from the federal agency should use FSI = 3 (Federal Funds).					
TIP	If an appropriation made in the FY 2009-10 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				
8.2	Has a Schedule I been completed in LAS/PBS for each operating trust fund?	Y				
8.3	Have the appropriate Schedule I supporting documents been included for the trust funds (Schedule IA, Schedule IB, Schedule IC, and Reconciliation to Trial Balance)?	Y				
8.4	Have the Examination of Regulatory Fees Part I and Part II forms been included for the applicable regulatory programs?	Y				
8.5	Have the required detailed narratives been provided (5% trust fund reserve narrative; method for computing the distribution of cost for general management and administrative services narrative; adjustments narrative; revenue estimating methodology narrative)?	Y				
8.6	Has the Inter-Agency Transfers Reported on Schedule I form been included as applicable for transfers totaling \$100,000 or more for the fiscal year?	Y				
8.7	If the agency is scheduled for the annual trust fund review this year, have the Schedule ID and applicable draft legislation been included for recreation, modification or termination of existing trust funds?	Y				

Action		Program or Service (Budget Entity Codes)				
		60910604				
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 <i>section 215.32(2)(b), Florida Statutes</i> - including the Schedule ID and applicable legislation?	Y				
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)?	Y				

Action		Program or Service (Budget Entity Codes)				
		60910604				
8.10	Are the statutory authority references correct?	Y				
8.11	Are the General Revenue Service Charge percentage rates used for each revenue source correct? (Refer to Chapter 2009-78, Laws of Florida, for appropriate general revenue service charge percentage rates.)	Y				
8.12	Is this an accurate representation of revenues based on the most recent Consensus Estimating Conference forecasts?	Y				
8.13	If there is no Consensus Estimating Conference forecast available, do the revenue estimates appear to be reasonable?	Y				
8.14	Are the federal funds revenues reported in Section I broken out by individual grant? Are the correct CFDA codes used?	Y				
8.15	Are anticipated grants included and based on the state fiscal year (rather than federal fiscal year)?	Y				
8.16	Are the Schedule I revenues consistent with the FSI's reported in the Exhibit D-3A?	Y				
8.17	If applicable, are nonrecurring revenues entered into Column A04?	Y				
8.18	Has the agency certified the revenue estimates in columns A02 and A03 to be the latest and most accurate available?	Y				
8.19	Is a 5% trust fund reserve reflected in Section II? If not, is sufficient justification provided for exemption? Are the additional narrative requirements provided?	Y				
8.20	Are appropriate service charge nonoperating amounts included in Section II?	Y				
8.21	Are nonoperating expenditures to other budget entities/departments cross-referenced accurately?	Y				
8.22	Do transfers balance between funds (within the agency as well as between agencies)? (See also 8.6 for required transfer confirmation of amounts totaling \$100,000 or more.)	Y				
8.23	Are nonoperating expenditures recorded in Section II and adjustments recorded in Section III?	Y				
8.24	Are prior year September operating reversions appropriately shown in column A01?	Y				
8.25	Are current year September operating reversions appropriately shown in column A02?	Y				
8.26	Does the Schedule IC properly reflect the unreserved fund balance for each trust fund as defined by the LBR Instructions, and is it reconciled to the agency accounting records?	Y				
8.27	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				

		Program or Service (Budget Entity Codes)				
Action		60910604				
8.28	Does Line I of Column A01 (Schedule I) equal Line K of the Schedule IC?	Y				
AUDITS:						
8.29	Is Line I a positive number? (If not, the agency must adjust the budget request to eliminate the deficit).	Y				
8.30	Is the June 30 Adjusted Unreserved Fund Balance (Line I) equal to the July 1 Unreserved Fund Balance (Line A) of the following year? (SC1R, SC1A - Report should print "No Discrepancies Exist For This Report")	Y				
8.31	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				
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.)					
TIP	Review the unreserved fund balances and compare revenue totals to expenditure totals to determine and understand the trust fund status.					
TIP	Typically nonoperating expenditures and revenues should not be a negative number. Any negative numbers must be fully justified.					
9. SCHEDULE II (PSCR, SC2)						
AUDIT:						
9.1	Is the pay grade minimum for salary rate utilized for positions in segments 2 and 3? (BRAR, BRAA - Report should print "No Records Selected For This Request") Note: Amounts other than the pay grade minimum should be fully justified in the D-3A issue narrative. (See <i>Base Rate Audit</i> on page 156 of the LBR Instructions.)	Y				
10. SCHEDULE III (PSCR, SC3)						
10.1	Is the appropriate lapse amount applied in Segment 3? (See page 88 of the LBR Instructions.)	Y				
10.2	Are amounts in <i>Other Salary Amount</i> appropriate and fully justified? (See page 95 of the LBR Instructions for appropriate use of the OAD transaction.) Use OADI or OADR to identify agency other salary amounts requested.	Y				
11. SCHEDULE IV (EADR, SC4)						
11.1	Are the correct Information Technology (IT) issue codes used?	Y				
TIP	If IT issues are not coded correctly (with "C" in 6th position), they will not appear in the Schedule IV.					
12. SCHEDULE VIIIA (EADR, SC8A)						

Action		Program or Service (Budget Entity Codes)				
		60910604				
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?	Y				
13. SCHEDULE VIIIB-1						
13.1	This schedule is not required in the October 15, 2009 LBR submittal.	Y				
14. SCHEDULE VIIIB-2 (EADR, S8B2)						
14.1	Do the reductions comply with the instructions provided on pages 101 and 102 of the LBR Instructions regarding a 10% reduction in recurring General Revenue and Trust Funds?	Y				
15. SCHEDULE XI (LAS/PBS Web - see page 108 of the LBR Instructions for detailed instructions)						
15.1	Has the Schedule XI one page summary Excel file been e-mailed to OPB at OPB.UnitCostSummary@laspbs.state.fl.us? Agencies are required to generate this spreadsheet via the LAS/PBS Web. (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				
15.2	Do the PDF files uploaded to the Florida Fiscal Portal for the LRPP and LBR match the Excel file e-mailed to OPB?	Y				
AUDITS INCLUDED IN THE SCHEDULE XI REPORT:						
15.3	Does the FY 2008-09 Actual (prior year) Expenditures in Column A36 reconcile to Column A01? (GENR, ACT1)	Y				
15.4	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				
15.5	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				
15.6	Has the agency provided the necessary demand (Record Type 5) for all activities which <u>should</u> appear in Section II? (Note: Audit #3 will identify those activities that do NOT have a Record Type '5' and have not been identified as a 'Pass Through' activity. These activities will be displayed in Section III with the 'Payment of Pensions, Benefits and Claims' activity and 'Other' activities. Verify if these activities should be displayed in Section III. If not, an output standard would need to be added for that activity and the Schedule XI submitted again.)	Y				
15.7	Does Section I (Final Budget for Agency) and Section III (Total Budget for Agency) equal? (Audit #4 should print "No Discrepancies Found")	Y				
TIP	If Section I and Section III have a small difference, it may be due to rounding and therefore will be acceptable.					

		Program or Service (Budget Entity Codes)				
Action		60910604				

16. MANUALLY PREPARED EXHIBITS & SCHEDULES						
16.1	Do exhibits and schedules comply with LBR Instructions (pages 109 through 153 of the LBR Instructions), and are they accurate and complete?	Y				
16.2	Are appropriation category totals comparable to Exhibit B, where applicable?	Y				
16.3	Are agency organization charts (Schedule X) provided and at the appropriate level of detail?	Y				
AUDITS - GENERAL INFORMATION						
TIP	Review <i>Section 6: Audits</i> of the LBR Instructions 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.					
17. CAPITAL IMPROVEMENTS PROGRAM (CIP)						
17.1	Are the CIP-2, CIP-3, CIP-A and CIP-B forms included?	NA				
17.2	Are the CIP-4 and CIP-5 forms submitted when applicable (see CIP Instructions)?	NA				
17.3	Do all CIP forms comply with CIP Instructions where applicable (see CIP Instructions)?	NA				
17.4	Does the agency request include 5 year projections (Columns A03, A06, A07, A08 and A09)?	NA				
17.5	Are the appropriate counties identified in the narrative?	NA				
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 subtitle "Grants and Aids". These appropriations utilize a CIP-B form as justification.					
18. FLORIDA FISCAL PORTAL						
18.1	Have all files been assembled correctly and posted to the Florida Fiscal Portal as outlined in the Florida Fiscal Portal Submittal Process?					

Fiscal Year 2010-11 LBR Technical Review Checklist

Department/Budget Entity (Service): Children and Families/Comprehensive Eligibility Services/ Executive Leadership and Support Services/Services to Most Vulnerable

Agency Budget Officer/OPB Analyst Name: Nevin Smith/Richard Perritti

A "Y" indicates "YES" and is acceptable, an "N/J" indicates "NO/Justification Provided" - these require further explanation/justification (additional sheets can be used as necessary), and "TIPS" are other areas to consider.

Action	Program or Service (Budget Entity Codes)				
	708				

1. GENERAL

1.1	Are Columns A01, A02, A04, A05, A10, A11, A36, IA1, 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? Are Columns A06, A07, A08 and A09 for Fixed Capital Outlay (FCO) set to TRANSFER CONTROL for DISPLAY status only? (CSDI)	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				

AUDITS:

1.3	Has Column A03 been copied to Column A12? Run the Exhibit B Audit Comparison Report to verify. (EXBR, EXBA)	Y				
1.4	Has security been set correctly? (CSDR, CSA)	Y				
TIP	The agency should prepare the budget request for submission in this order: 1) Lock columns as described above; 2) copy Column A03 to Column A12; and 3) set Column A12 column security to ALL for DISPLAY status and MANAGEMENT CONTROL for UPDATE status.					

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				
2.2	Are the statewide issues generated systematically (estimated expenditures, nonrecurring expenditures, etc.) included?	Y				
2.3	Are the issue codes and titles consistent with <i>Section 3</i> of the LBR Instructions (pages 15 through 27)? Do they clearly describe the issue?	Y				
2.4	Have the coding guidelines in <i>Section 3</i> of the LBR Instructions (pages 15 through 27) been followed?	Y				

3. EXHIBIT B (EXBR, EXB)

3.1	Is it apparent that there is a fund shift and 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				
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		Program or Service (Budget Entity Codes)				
Action		708				
AUDITS:						
3.2	Negative Appropriation Category Audit for Agency Request (Columns A03 and A04): Are all appropriation categories positive by budget entity at the FSI level? Are all nonrecurring amounts less than requested amounts? (NACR, NAC - Report should print "No Negative Appropriation Categories Found")	Y				
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				
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, the 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				
4.2	Is the program component code and title used correct?	Y				
TIP	Fund shifts or transfers of services or activities between program components will be displayed on an Exhibit D whereas it may not be visible on an Exhibit A.					
5. EXHIBIT D-1 (ED1R, EXD1)						
5.1	Are all object of expenditures positive amounts? (This is a manual check.)	Y				
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				
5.3	FLAIR Expenditure/Appropriation Ledger Comparison Report: Is Column A01 less than Column B04? (EXBR, EXBB - Negative differences need to be corrected in Column A01.)					
	<i>Please note that the LBR Instructions reference the wrong B column.</i>	Y				

Action		Program or Service (Budget Entity Codes)				
		708				
5.4	<p>A01/State Accounts Disbursements and Carry Forward Comparison Report: Does Column A01 equal Column B08? (EXBR, EXBD - Differences need to be corrected in Column A01.)</p> <p><i>Please note that the LBR Instructions reference the wrong B column.</i></p>					
TIP	<p>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.</p>	Y				

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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 2008-09 approved budget. Amounts should be positive.					
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.					
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				
TIP	Exhibit D-3 is no longer 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)						
7.1	Are the issue titles correct and do they clearly identify the issue? (See pages 15 through 31 of the LBR Instructions.)	Y				
7.2	Does the issue narrative adequately explain the agency's request and is the explanation consistent with the LRPP? (See page 65 of the LBR Instructions.)	Y				
7.3	Does the narrative for Information Technology (IT) issue follow the additional narrative requirements described on pages 66 through 70 of the LBR Instructions?	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				
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 and E-5 of the LBR Instructions.)	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				
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.	Y				
7.8	Does the issue narrative include the Consensus Estimating Conference forecast, where appropriate?	N/A				
7.9	Does the issue narrative reference the specific county(ies) where applicable?	Y				

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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 #10-002?	Y				
7.11	When appropriate are there any 160XXX0 issues included to delete positions placed in reserve in the OPB Position and Rate Ledger (e.g. unfunded grants)? Note: Lump sum appropriations not yet allocated should <u>not</u> be deleted. (PLRR, PLMO)	N/A				
7.12	Does the issue narrative include plans to satisfy additional space requirements when requesting additional positions?	Y				
7.13	Has the agency included a 160XXX0 issue and 210XXXX and 260XXX0 issues as required for lump sum distributions?	Y				
7.14	Do the amounts reflect appropriate FSI assignments?	Y				
7.15	Do the issues relating to <i>salary and benefits</i> have an "A" in the fifth position of the issue code (XXXXAXX) and are they self-contained (not combined with other issues)? (See page 26 and 86 of the LBR Instructions.)	Y				
7.16	Do the issues relating to <i>Information Technology (IT)</i> have a "C" in the sixth position of the issue code (36XXXXCX) and are the correct issue codes used (361XXC0, 362XXC0, 363XXC0, 17C01C0, 17C02C0, 17C03C0, 24010C0, 33001C0 or 55C01C0)?	Y				
7.17	Are the issues relating to <i>major audit findings and recommendations</i> properly coded (4A0XXX0, 4B0XXX0)?	Y				
AUDIT:						
7.18	Are all FSI's equal to '1', '2', '3', or '9'? There should be no FSI's equal to '0'. (EADR, FSIA - Report should print "No Records Selected For Reporting")	Y				
7.19	Does the General Revenue for 160XXXX issues net to zero? (GENR, LBR1)	Y				
7.20	Does the General Revenue for 180XXXX issues net to zero? (GENR, LBR2)	Y				
7.21	Does the General Revenue for 200XXXX issues net to zero? (GENR, LBR3)	Y				
7.22	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				

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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 70 of the LBR Instructions.					
TIP	Check BAPS to verify status of budget amendments. Check for reapprovals not picked up in the General Appropriations Act. Verify that Lump Sum appropriations in Column A02 do not appear in Column A03. Review budget amendments to verify that 160XXX0 issue amounts correspond accurately and net to zero for General Revenue funds.					
TIP	If an agency is receiving federal funds from another agency the FSI should = 9 (Transfer - Recipient of Federal Funds). The agency that originally receives the funds directly from the federal agency should use FSI = 3 (Federal Funds).					
TIP	If an appropriation made in the FY 2009-10 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				
8.2	Has a Schedule I been completed in LAS/PBS for each operating trust fund?	Y				
8.3	Have the appropriate Schedule I supporting documents been included for the trust funds (Schedule IA, Schedule IB, Schedule IC, and Reconciliation to Trial Balance)?	Y				
8.4	Have the Examination of Regulatory Fees Part I and Part II forms been included for the applicable regulatory programs?	Y				
8.5	Have the required detailed narratives been provided (5% trust fund reserve narrative; method for computing the distribution of cost for general management and administrative services narrative; adjustments narrative; revenue estimating methodology narrative)?	Y				
8.6	Has the Inter-Agency Transfers Reported on Schedule I form been included as applicable for transfers totaling \$100,000 or more for the fiscal year?	Y				
8.7	If the agency is scheduled for the annual trust fund review this year, have the Schedule ID and applicable draft legislation been included for recreation, modification or termination of existing trust funds?	Y				

Action		Program or Service (Budget Entity Codes)				
		708				
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 <i>section 215.32(2)(b), Florida Statutes</i> - including the Schedule ID and applicable legislation?	Y				
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)?	Y				

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8.10	Are the statutory authority references correct?	Y				
8.11	Are the General Revenue Service Charge percentage rates used for each revenue source correct? (Refer to Chapter 2009-78, Laws of Florida, for appropriate general revenue service charge percentage rates.)	Y				
8.12	Is this an accurate representation of revenues based on the most recent Consensus Estimating Conference forecasts?	Y				
8.13	If there is no Consensus Estimating Conference forecast available, do the revenue estimates appear to be reasonable?	Y				
8.14	Are the federal funds revenues reported in Section I broken out by individual grant? Are the correct CFDA codes used?	Y				
8.15	Are anticipated grants included and based on the state fiscal year (rather than federal fiscal year)?	Y				
8.16	Are the Schedule I revenues consistent with the FSI's reported in the Exhibit D-3A?	Y				
8.17	If applicable, are nonrecurring revenues entered into Column A04?	Y				
8.18	Has the agency certified the revenue estimates in columns A02 and A03 to be the latest and most accurate available?	Y				
8.19	Is a 5% trust fund reserve reflected in Section II? If not, is sufficient justification provided for exemption? Are the additional narrative requirements provided?	Y				
8.20	Are appropriate service charge nonoperating amounts included in Section II?	Y				
8.21	Are nonoperating expenditures to other budget entities/departments cross-referenced accurately?	Y				
8.22	Do transfers balance between funds (within the agency as well as between agencies)? (See also 8.6 for required transfer confirmation of amounts totaling \$100,000 or more.)	Y				
8.23	Are nonoperating expenditures recorded in Section II and adjustments recorded in Section III?	Y				
8.24	Are prior year September operating reversions appropriately shown in column A01?	Y				
8.25	Are current year September operating reversions appropriately shown in column A02?	Y				
8.26	Does the Schedule IC properly reflect the unreserved fund balance for each trust fund as defined by the LBR Instructions, and is it reconciled to the agency accounting records?	Y				
8.27	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				

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8.28	Does Line I of Column A01 (Schedule I) equal Line K of the Schedule IC?	Y				
AUDITS:						
8.29	Is Line I a positive number? (If not, the agency must adjust the budget request to eliminate the deficit).	Y				
8.30	Is the June 30 Adjusted Unreserved Fund Balance (Line I) equal to the July 1 Unreserved Fund Balance (Line A) of the following year? (SC1R, SC1A - Report should print "No Discrepancies Exist For This Request")	Y				
8.31	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				
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.)					
TIP	Review the unreserved fund balances and compare revenue totals to expenditure totals to determine and understand the trust fund status.					
TIP	Typically nonoperating expenditures and revenues should not be a negative number. Any negative numbers must be fully justified.					
9. SCHEDULE II (PSCR, SC2)						
AUDIT:						
9.1	Is the pay grade minimum for salary rate utilized for positions in segments 2 and 3? (BRAR, BRAA - Report should print "No Records Selected For This Request") Note: Amounts other than the pay grade minimum should be fully justified in the D-3A issue narrative. (See <i>Base Rate Audit</i> on page 156 of the LBR Instructions.)	Y				
10. SCHEDULE III (PSCR, SC3)						
10.1	Is the appropriate lapse amount applied in Segment 3? (See page 88 of the LBR Instructions.)	Y				
10.2	Are amounts in <i>Other Salary Amount</i> appropriate and fully justified? (See page 95 of the LBR Instructions for appropriate use of the OAD transaction.) Use OADI or OADR to identify agency other salary amounts requested.	Y				
11. SCHEDULE IV (EADR, SC4)						
11.1	Are the correct Information Technology (IT) issue codes used?	Y				
TIP	If IT issues are not coded correctly (with "C" in 6th position), they will not appear in the Schedule IV.					
12. SCHEDULE VIIIA (EADR, SC8A)						

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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?	Y				
13. SCHEDULE VIIIB-1						
13.1	This schedule is not required in the October 15, 2009 LBR submittal.					
14. SCHEDULE VIIIB-2 (EADR, S8B2)						
14.1	Do the reductions comply with the instructions provided on pages 101 and 102 of the LBR Instructions regarding a 10% reduction in recurring General Revenue and Trust Funds?	Y				
15. SCHEDULE XI (LAS/PBS Web - see page 108 of the LBR Instructions for detailed instructions)						
15.1	Has the Schedule XI one page summary Excel file been e-mailed to OPB at OPB.UnitCostSummary@laspbs.state.fl.us? Agencies are required to generate this spreadsheet via the LAS/PBS Web. (Note: Pursuant to <i>section 216.023(4) (b), Florida Statutes</i> , the Legislature can reduce the funding level for any agency that does not provide this information.)	Y				
15.2	Do the PDF files uploaded to the Florida Fiscal Portal for the LRPP and LBR match the Excel file e-mailed to OPB?	Y				
AUDITS INCLUDED IN THE SCHEDULE XI REPORT:						
15.3	Does the FY 2008-09 Actual (prior year) Expenditures in Column A36 reconcile to Column A01? (GENR, ACT1)	Y				
15.4	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")					
15.5	Does the Fixed Capital Outlay (FCO) statewide activity (ACT0210) only contain 08XXXX or 14XXXX appropriation categories? (Audit #2 should print "No Operating Categories Found")	N/A				
15.6	Has the agency provided the necessary demand (Record Type 5) for all activities which <u>should</u> appear in Section II? (Note: Audit #3 will identify those activities that do NOT have a Record Type '5' and have not been identified as a 'Pass Through' activity. These activities will be displayed in Section III with the 'Payment of Pensions, Benefits and Claims' activity and 'Other' activities. Verify if these activities should be displayed in Section III. If not, an output standard would need to be added for that activity and the Schedule XI submitted again.)	Y				
15.7	Does Section I (Final Budget for Agency) and Section III (Total Budget for Agency) equal? (Audit #4 should print "No Discrepancies Found")	Y				
TIP	If Section I and Section III have a small difference, it may be due to rounding and therefore will be acceptable.					

		Program or Service (Budget Entity Codes)				
Action		708				
16. MANUALLY PREPARED EXHIBITS & SCHEDULES						
16.1	Do exhibits and schedules comply with LBR Instructions (pages 109 through 153 of the LBR Instructions), and are they accurate and complete?	Y				
16.2	Are appropriation category totals comparable to Exhibit B, where applicable?	Y				
16.3	Are agency organization charts (Schedule X) provided and at the appropriate level of detail?	Y				
AUDITS - GENERAL INFORMATION						
TIP	Review <i>Section 6: Audits</i> of the LBR Instructions 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.					
17. CAPITAL IMPROVEMENTS PROGRAM (CIP)						
17.1	Are the CIP-2, CIP-3, CIP-A and CIP-B forms included?	N/A				
17.2	Are the CIP-4 and CIP-5 forms submitted when applicable (see CIP Instructions)?	N/A				
17.3	Do all CIP forms comply with CIP Instructions where applicable (see CIP Instructions)?	N/A				
17.4	Does the agency request include 5 year projections (Columns A03, A06, A07, A08 and A09)?	N/A				
17.5	Are the appropriate counties identified in the narrative?	N/A				
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.					
18. FLORIDA FISCAL PORTAL						
18.1	Have all files been assembled correctly and posted to the Florida Fiscal Portal as outlined in the Florida Fiscal Portal Submittal Process?					