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Department of Transportation

FLORIDA ACCOUNTABILITY CONTRACT TRACKING SYSTEM

AUTHORITY:

Sections 20.23(3)(a) and 334.048(3), Florida Statutes (F.S.)

REFERENCES:

Chapter 119 and Section 215.985, F.S.

23 Code of Federal Regulations (CFR) Section 172.7(b), Audits

23 United State Code (USC) Section 112(b)(2)(E), Pre-notification, Confidentiality of Data

Procedure No. 325-000-002, Information Technology Resource User's Manual

Procedure No. 350-020-200, Contract Funds Management Funds Approval

Procedure No. 050-020-026, Distribution of Exempt Documents Concerning Department Structures and Confidential and Exempt Security System Plans

STATEMENT OF POLICY:

This procedure establishes uniform requirements for entering contract and grant agreement information into the Florida Accountability Contract Tracking System (FACTS), and for uploading images of contract and grant agreements into FACTS.

SCOPE:

This procedure applies to all offices of the Florida Department of Transportation (Department) that produce contract and grant documents.

DEFINITIONS:

Automated Access Request Form (AARF): AARF is the online application used for obtaining security access to the Department's information technology resources, including CFM.

Complete Scanned Electronic Record: An electronic record that is complete when all original source document pages have been scanned, and a review of the electronic scanned document has been performed to ensure that all confidential or exempt information has been properly redacted from the document, including any confidential or exempt metadata, where applicable.

Contract: Written agreement or purchase order issued for the purchase of goods or services or a written agreement for the receipt of state or federal financial assistance (grant).

Contract Document: Fully executed agreement associated with a contract or grant. Examples include, but are not limited to, the original agreement, supplemental, amendment, renewal, work order, task work order, task work order amendment, memorandum of agreement, memorandum of understanding, master agreement, interagency agreement, notice to proceed, funding authorization letter, letter of authorization, termination agreement, certificate of completion, etc. The Department of Financial Services will audit payments against the contract documents in FACTS. For purposes of this procedure, the term Contract Document also means Grant Document, and Contract Agreement shall also mean Grant Agreement.

Contract Funds Management System (CFM): The Department's automated system used for obtaining fund approvals and systematically uploading contract information and contract document images into FACTS, via the FDOT Enterprise EDMS. The system checks for available budget, ensures that projects are programmed for the appropriate amount and year in the adopted Work Program, and also checks for any required federal authorizations. CFM is completely independent of FACTS, but captures the same data element fields required in FACTS.

Contract Manager: The Department staff assigned responsibility for the general administration of the contract and who assures that the vendor provides the specified services at a satisfactory level of quality (meets performance measures/metrics) in accordance with the terms and conditions of the contract, and is responsible for receipt and approval of goods, services, or both. For purposes of this procedure, the term Contract Manager also means Project Manager, Grant Manager, or both. The Contract Manager data field is a mandatory data field, and must be updated in CFM when a new contract manager is assigned.

Department of Financial Services (DFS): The State of Florida agency with financial oversight for contract and grant payments. DFS is the owner of the statewide Florida Accountability Contract Tracking System (FACTS).

Florida Accountability Contract Tracking System (FACTS): A secure contract tracking system established and maintained by DFS that provides information and documentation for contracts procured by state entities.

Electronic Document Management System (EDMS): The Department-approved enterprise electronic document storage system. The Enterprise EDMS allows for the storage and retrieval of electronic records. CFM includes functionality to allow loading of contract images into the FDOT Enterprise EDMS System.

Electronic Estimate Disbursement (EED) System: The Department system that electronically processes payment requests for certain construction, design-build, maintenance, and professional services consultant contracts.

Encumbrance: A financial commitment of the State of Florida that is recorded in the Florida Accounting Information Resource (FLAIR). A FACTS record is required for all encumbrance items, including future year encumbrances. FACTS records are also required for negative encumbrances.

Florida Accounting Information Resource (FLAIR): The statewide computer-based general ledger accounting system utilized to perform the State's accounting and financial management functions. DFS is the system owner of FLAIR.

Grant Award Agreements: Agreements for the receipt of either federal, state, or local financial assistance by a reporting entity.

Image: Electronic copy of an executed contract, grant, or procurement document.

Metadata: The hidden digital data that may be present in a computer file. Examples of metadata include, but are not limited to, imbedded content such as vendor identification numbers, imbedded search indexes, links, form data, and hidden review and comment data.
Procurement Documents: Any document provided to the public or a vendor as part of a formal competitive solicitation, and any document submitted in response to a formal competitive solicitation by a vendor who is awarded the contract. Procurement documents may include advertisements, Requests for Proposals (RFP) if not part of the contract, addenda to the RFP, questions and answers regarding the solicitation, emails, memos, etc. Procurement documents shall not include negotiation documentation. Only contracts that were competitively procured require procurement documents to be uploaded.

Revenue Agreements: Contracts where revenue is received for goods and services provided on behalf of governmental entities. An example of this is contracted concessions or food services, where the contractor manages the delivery of services and charges user fees for them, and then submits commissions back to the Department. Revenue agreements are not required to be entered into FACTS.

Scanning: The process of creating a document image using a digital scanner. The acceptable formats for images submitted to CFM are Portable Document Format (PDF) or Tagged Image File Format (TIFF).

Settlement Agreement: An agreement obligating the Department to expend state funds to discharge a debt owed to a person, entity, or group of persons when the amount owed, pursuant to a contract, purchase order, or other form of indebtedness, is in dispute. Settlement agreements that pertain to any contract or purchase order shall be entered into CFM by Office of Comptroller (OOC), who is also responsible for scanning and uploading settlement agreement images.

GENERAL:

In 2011, the Florida Legislature amended **Section 215.985, F.S.**, relating to the Transparency Florida Act, requiring DFS to provide public access to a state contract tracking system; identifying the information that must be made available on the system; and requiring Florida state governmental entities to update data in the system. On March 1, 2012, DFS implemented a centralized web-based contract reporting system to increase transparency and accountability in government contracting in Florida. The system, known as Florida Accountability Contract Tracking System or FACTS, displays grant and contract procurement information, expenditure data, audit information, and contract document images. The link to the FACTS public website is:

<https://facts.fldfs.com>

FACTS provides query tools for state entities and members of the public to search the contract information and generate reports. DFS extracts Purchase Order information from MyFloridaMarketPlace for display in FACTS.

1.0 ENTERING FACTS CONTRACT INFORMATION

FACTS contract information is required to be entered within 30 days of execution of a new contract, or within 30 days of a major change to a contract. A major change to a contract includes, but is not limited to, contract renewal, termination, extension, amendment, or modification, and issuance of a task work order or memorandum of agreement/memorandum of understanding. Failure to properly complete the required contract information data fields may result in payment delays by DFS.

The Department has developed CFM, an internal application for processing funds approvals and updating FACTS. On a daily basis, contract information entered into CFM is electronically loaded into FACTS using a batch upload process. FACTS then transfers or passes information to FLAIR, which is used to title the contract (assigning contract ID). Contract titling in FLAIR is necessary in order to process contract payments. The contract ID is required on all contract disbursement transactions in FLAIR.

Contract information must be entered into CFM in order to create a FACTS record and obtain an approved encumbrance, including future year encumbrances. Allow up to two days after submitting a FACTS record in order to obtain an approved encumbrance from CFM. A user account for CFM is granted through the AARF system.

2.0 SCANNING, IMAGE REDACTION, AND UPLOAD REQUIREMENTS

2.1 Responsibility for Scanning and Uploading Processes

To update the contract status in CFM to an executed or active status (also known as status 10), the Disbursement Operations Office or District Financial Services Office must receive a copy of the **contract document**, either as a scanned image or as a paper document. Work flow processes for submitting the contract document to the Disbursement Operations Office or District Financial Services Office are established by the offices that produce contract documents. The office responsible for submitting a copy of the executed contract document to the Disbursement Operations or District Financial Services Office shall also be responsible for scanning and uploading the contract document image and procurement documents where applicable, into CFM. The process for contract image scanning and uploading shall be standardized such that the office designated for preparing and submitting contract status changes to the Disbursement Operations Office or District Financial Services Office shall upload images into CFM within 30 days of execution of a new contract or modification to an existing contract.

All grant award agreements shall be scanned and uploaded into CFM by the Office of Comptroller - General Accounting Office.

2.2 Contract Redaction Process/Confidential and Exempt Information

Prior to scanning the required documentation, the appropriate document preparation is necessary to ensure readability of the scanned image. These tasks include removing staples and paperclips, unfolding and straightening document pages, reviewing and inventorying for missing or unreadable pages, flagging confidential or exempt

information for redaction (where applicable) and adjusting scanners for single or double-sided copies to ensure a fully readable contract or grant image is produced. After scanning, any confidential or exempt information shall be redacted from the image and metadata shall be removed. For purposes of this procedure, confidential or exempt information is defined as: social security numbers, financial account numbers, vendor financial statements, professional services consultant financial audit data, documents showing the structural elements used in the design and construction of FDOT structures, or security system plans. A Vendor ID number may represent a social security number for an individual (typically Vendor ID numbers preceded by the letter "S" or "N" represent social security numbers). Offices such as Right of Way that frequently execute contracts with individuals shall redact Vendor ID numbers that represent social security numbers from contract images. Professional services consultant contracts shall be redacted to remove consultant financial audit rates from the professional services contract images. All documents referenced in ***Procedure No. 050-020-026, Distribution of Exempt Documents Concerning Department Structures and Confidential and Exempt Security System Plans***, shall also be redacted or excluded from contract document images to be submitted through CFM. The Department may identify other items as exempt or confidential, where appropriate. Offices responsible for redacting contract data are responsible for purchasing the necessary redaction software. The recommended software platform used for redaction shall be Nuance PDF Converter Enterprise software. Offices shall coordinate with the Office of Information Technology (OIT) before purchasing redaction software.

The scanning office shall perform a review of the electronic scanned image to ensure that it is legible and complete (not missing pages), all confidential or exempt information has been properly redacted from the image, and all metadata has been removed.

2.3 Contract Image Uploading into CFM

Once scanned and redacted, the contract image shall be submitted through the CFM Contract Images module within 30 days of execution of a new contract, or any modification to a contract. The responsible office shall enter all required data elements along with the image to be uploaded. The contract identifier field is optional. If assigning a contract identifier, a consistent naming convention is recommended. The contract identifier field does not upload into FACTS. A complete scanned electronic record shall be uploaded for each contract document. In CFM, contract images will be linked to contract and encumbrance records. As part of the CFM document upload process, users will be prompted by the system to acknowledge and agree to the following: "I attest to and have verified that the public records I am uploading into FACTS have been reviewed and that any information made exempt or confidential by law has been redacted from those public records."

Images can be viewed in FACTS two days after images are uploaded into CFM.

2.4 Procurement Document Image Uploading into CFM

Procurement documents associated with a contract shall be combined and uploaded into CFM as a single image. The procurement document image shall be uploaded separately from the contract document image. The office designated for acquiring the contract shall upload the procurement document image into CFM within 30 days of execution of a new contract or amendment.

2.5 Scanning Equipment

All procurement requirements will be complied with for the purchase of scanner equipment for contract imaging. Offices responsible for scanning shall contact OIT prior to procuring any new scanning equipment for purposes of contract imaging.

2.6 Enterprise EDMS

OIT shall support and maintain the FDOT Enterprise EDMS system. OIT will be responsible for the electronic security and management of the images after they are loaded from CFM into the Enterprise EDMS.

3.0 Summary of Contractual Services Agreement/Purchase Order Receiving Report and Invoice Transmittal - Contracts

All contracts for which payments are not processed through EED will require the Contract Summary form to be completed and submitted with all contractual services payment request. In such instances, the Contract Summary form shall be completed through CFM. See the "Contract Payments" topic in the ***Disbursement Operations Handbook for Employees and Managers*** for additional information.

4.0 QUALITY ASSURANCE/QUALITY CONTROL (QA/QC) REVIEW

4.1 Responsibility for Accuracy of FACTS Record and Contract Images

It shall be the responsibility of the Contract Manager to periodically perform a quality control review of FACTS contract information and images displayed on the public FACTS website. Checking once a month for all new information and images loaded to the public FACTS site in the prior month is recommended.

4.2 Unacceptable Scanned Images

If the results of the review identify a document that does not comply with scanning or redaction requirements (e.g. document image is illegible, incomplete, or contains

confidential or exempt information), the noncompliant document shall be immediately replaced through CFM. Unacceptable images cannot be removed, and may only be supplemented. If confidential or exempt information is posted to FACTS that was not properly redacted, the Contract Manager shall immediately coordinate replacement of the contract document with a properly redacted document.

5.0 TRAINING

CFM training is available on the Learning Curve Application.

6.0 FORMS

The following form can be accessed from the Department's Forms Library:

350-060-02 Summary of Contractual Services Agreement/Purchase
Order Receiving Report and Invoice Transmittal - Contracts