



FLORIDA DEPARTMENT *of* STATE

RICK SCOTT
Governor

KEN DETZNER
Secretary of State

LEGISLATIVE BUDGET REQUEST

Department of State

Tallahassee, FL

October 14, 2016

Cynthia Kelly, Director
Office of Policy and Budget
Executive Office of the Governor
1701 Capitol
Tallahassee, Florida 32399-0001

JoAnne Leznoff, Staff Director
House Appropriations Committee
221 Capitol
Tallahassee, Florida 32399-1300

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

Dear Directors:

Pursuant to Chapter 216, Florida Statutes, our Legislative Budget Request for the Department of State 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 2017-18 Fiscal Year. This submission has been approved by Ken Detzner, Secretary of State.

Sincerely,

A handwritten signature in blue ink, appearing to read "Ken Detzner".

Ken Detzner
Secretary of State

Attachments



FLORIDA DEPARTMENT OF STATE

Temporary Special Duty - General Pay Additives Implementation Plan for Fiscal Year 2017-2018

1. General Provisions

A “temporary special duties - general” pay additive may be granted to a Career Service employee whose position has been assigned temporary duties and responsibilities not customarily assigned to the position for reasons other than as a result of another employee being absent from work pursuant to the Family and Medical Leave Act or authorized military leave. Circumstances under which a temporary special duty - general pay additive may be granted are:

- (a) the employee is temporarily assigned duties of a vacant position; or
- (b) the employee is temporarily assigned to work on a special project that is outside the normal duties of the employee’s position.

The organizational unit requesting the additive must have sufficient salary rate and dollars to pay the additive.

The employee to whom the additive will be granted must be consistently meeting the established performance standards and expectations for his or her position.

2. Justification

The employee is being required to assume additional duties and responsibilities not customarily assigned to his or her position, in addition to his or her normal job duties and responsibilities, and should be reasonably compensated for having to perform those additional duties and responsibilities.

3. Procedures

The additive must be requested in writing by the Division Director. The request shall include:

- (a) the name, classification and work unit of the employee for whom the additive is being requested;
- (b) a description of the temporary duties and responsibilities that will be assigned to the employee;
- (c) the reason(s) why assignment of the temporary duties and responsibilities is necessary;

(d) the anticipated amount of time the temporary duties and responsibilities will be required; and

(e) the amount of the additive being requested.

The request shall be submitted to the Director of Administrative Services who shall verify that the Division has sufficient salary rate and dollars to pay the additive. If approved by the Director of Administrative Services, the request shall be submitted to the Deputy Secretary for review and approval. If approved by the Deputy Secretary, the request shall be submitted to the Assistant Secretary for final review. The Deputy Secretary and Assistant Secretary shall determine whether assignment of the temporary special duties and granting the additive to the employee is necessary to enable the Department to perform mission critical functions.

4. Period of Time Additive May Be In Effect

The period of time the additive may be in effect will vary depending upon the specific circumstances under which the additive is implemented. The additive may be approved for up to six (6) months, unless an extension is granted; provided, however, that if the additive will be in effect for more than 90 days, the Department will review the circumstances under which the additive was implemented at the end of the 90-day period. If the circumstances under which the additive was granted have changed, the additive shall be removed or adjusted as appropriate.

An extension of the additive may be granted upon written approval by the Director of Administrative Services, Deputy Secretary and Assistant Secretary based on documented justification that continuation of the temporary special duties and additive is necessary to enable the Department to perform mission critical functions.

5. Effective Date of Additive

The effective date of the additive will be the first day the additional duties are assigned, unless a different date is required by an applicable collective bargaining agreement then in effect.

6. Amount of Additive

The amount of the additive may not exceed ten percent (10%) of the employee's current base rate of pay, unless a higher amount is approved by the Director of Administrative Services, Deputy Secretary and Assistant Secretary based on documented justification of the need for a higher rate.

7. Classes and Number of Positions Affected

The classes and number of positions that might be approved for a temporary special duty-general pay additive during FY 2017-2018 is unknown. No temporary special duty-general pay additives were approved by the Department during FY 2015-2016.

8. Historical Data

The temporary special duty pay additive was first implemented by the Department in or about 1999. No temporary special duty-general pay additives were approved by the Department during FY 2015-2016.

9. Estimated Annual Cost

The Department estimates that the annual cost of the additive will not exceed \$15,000. (Note: Because this additive is not being requested for an entire class of positions, and the Department has no historical data regarding past implementation of this additive, no specific salary estimates can be provided at this time.)

10. Collective Bargaining Units Impacted

Employee units covered by the AFSCME Master Contract will be impacted in accordance with Article 21 (Out of Title Work):

(A) Each time an employee is designated by the employee's immediate supervisor to act in a vacant established position in a higher broadband level than the employee's current broadband level, and actually performs a major portion of the duties of a higher level position, irrespective of whether the higher level position is funded, for a period of time more than 22 workdays within any six consecutive months, the employee shall be eligible to receive a temporary special duty additive in accordance with the Personnel Rules, beginning with the 23rd day.

(B) Employees being paid at a higher rate while temporarily filling a position in a higher broadband level will be returned to their regular rate of pay when the period of temporary employment in the higher broadband level is ended.



FLORIDA DEPARTMENT *of* STATE

Budget Entity Level Exhibits and Schedules

Legislative Budget Request

FY 2017-2018

Schedule VII: Agency Litigation Inventory

| | | | |
|---|--|---|--------------|
| Agency: | Department of State | | |
| Contact Person: | Adam S. Tanenbaum | Phone Number: | 850-245-6536 |
| Names of the Case: (If no case name, list the names of the plaintiff and defendant.) | <i>Fla. Defenders of the Environment, Inc., et al. v. Detzner, et al.</i> | | |
| Court with Jurisdiction: | Second Judicial Circuit – Leon County, Florida | | |
| Case Number: | 2015-CA-2682 | | |
| Summary of the Complaint: | Declaratory and injunctive relief action challenging constitutionality of various appropriations in the 2015-16 and 2016-17 GAAs out of LATF. | | |
| Amount of the Claim: | Costs. No monetary damages. | | |
| Specific Statutes or Laws (including GAA) Challenged: | 2015-2016 GAA and 2016-2017 GAA. | | |
| Status of the Case: | On August 3, 2016, the trial court denied the Secretary’s motion to dismiss, but granted the Legislature’s motion to intervene. The Secretary has 20 days to serve an answer to the complaint. There are requests for admission pending, and responses to those are due at the beginning of September. | | |
| Who is representing (of record) the state in this lawsuit? Check all that apply. | <input checked="" type="checkbox"/> | Agency Counsel | |
| | <input type="checkbox"/> | Dept. of Legal Affairs or Division of Risk Management | |
| | <input type="checkbox"/> | Outside Contract Counsel | |
| If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s). | N/A | | |

Schedule VII: Agency Litigation Inventory

| | | | |
|---|--|---|--------------|
| Agency: | Department of State | | |
| Contact Person: | Adam S. Tanenbaum | Phone Number: | 850-245-6536 |
| Names of the Case: (If no case name, list the names of the plaintiff and defendant.) | <i>Pitts v. Detzner, et. al.</i> | | |
| Court with Jurisdiction: | Second Judicial Circuit – Leon County, Florida | | |
| Case Number: | 16 CA 165 | | |
| Summary of the Complaint: | Complaint for declaratory relief that determine all of the bills/laws enacted by the Florida House and Senate, including the 2015-2016 GAA, passed during the 2015A special session, are invalid because they were not enacted in compliance with the sections of the Florida Constitution applying to legislative sessions. | | |
| Amount of the Claim: | N/A | | |
| Specific Statutes or Laws (including GAA) Challenged: | All of the bills/laws enacted by the Florida House and Senate during the 2015A special legislative session have been challenged. | | |
| Status of the Case: | Motion to dismiss filed and pending. | | |
| Who is representing (of record) the state in this lawsuit? Check all that apply. | <input type="checkbox"/> | Agency Counsel | |
| | <input checked="" type="checkbox"/> | Dept. of Legal Affairs or Division of Risk Management | |
| | <input type="checkbox"/> | Outside Contract Counsel | |
| If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s). | N/A | | |

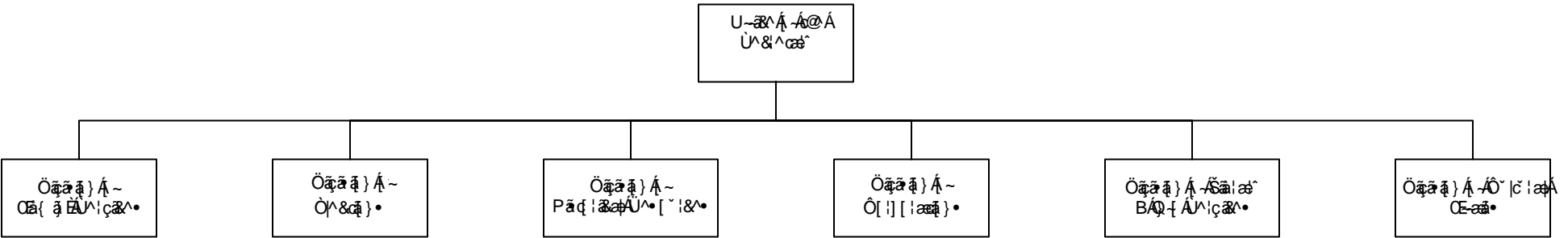
Schedule VII: Agency Litigation Inventory

| | | | |
|---|---|---|--------------|
| Agency: | Department of State | | |
| Contact Person: | Adam S. Tanenbaum | Phone Number: | 850-245-6536 |
| Names of the Case: (If no case name, list the names of the plaintiff and defendant.) | <i>Floridians for Ethics in Judicial Elections v. Fla. Elections Comm'n and Fla. Sec'y of State</i> | | |
| Court with Jurisdiction: | U.S. District Court, Northern District of Florida | | |
| Case Number: | Case No. 4:16-cv-357 | | |
| Summary of the Complaint: | Section 1983 action that challenges FEC's enforcement of provision in chapter 106 that requires a political committee to identify any candidates that it is supporting when it files its organizational papers. | | |
| Amount of the Claim: | Attorney fees and costs. | | |
| Specific Statutes or Laws (including GAA) Challenged: | Section 106.03(2), Florida Statutes. | | |
| Status of the Case: | Motion to dismiss on sovereign immunity grounds filed on July 28, 2016. Case management conference not yet held. | | |
| Who is representing (of record) the state in this lawsuit? Check all that apply. | <input checked="" type="checkbox"/> | Agency Counsel | |
| | <input type="checkbox"/> | Dept. of Legal Affairs or Division of Risk Management | |
| | <input type="checkbox"/> | Outside Contract Counsel | |
| If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s). | N/A | | |

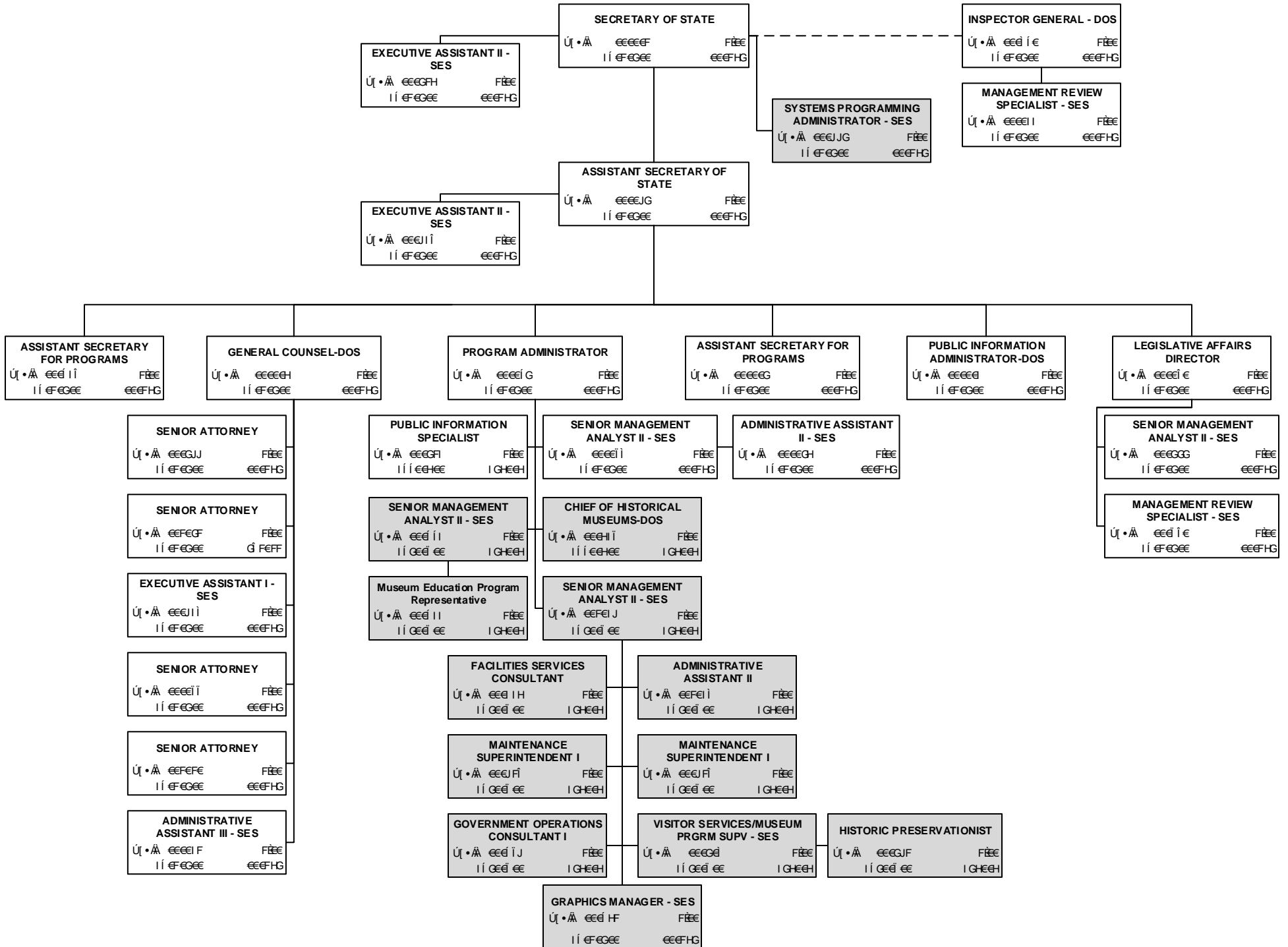
Schedule VII: Agency Litigation Inventory

| | | | |
|---|--|---|--------------|
| Agency: | Department of State | | |
| Contact Person: | Adam S. Tanenbaum | Phone Number: | 850-245-6536 |
| Names of the Case: (If no case name, list the names of the plaintiff and defendant.) | <i>Northwood Associates v. Fla. Sec’y of State et al.</i> | | |
| Court with Jurisdiction: | Second Judicial Circuit – Leon County | | |
| Case Number: | Case No. 2016 CA 823 | | |
| Summary of the Complaint: | Challenging constitutionality of provisos in 2016-2017 GAA precluding various agencies from paying rent after June 30, 2016, at the Northwood Centre. Secretary purportedly named only as custodian of the original law. | | |
| Amount of the Claim: | Purportedly none against the Secretary. | | |
| Specific Statutes or Laws (including GAA) Challenged: | 2016-2017 GAA | | |
| Status of the Case: | Motion to dismiss filed on May 23, 2016. No hearing set yet. | | |
| Who is representing (of record) the state in this lawsuit? Check all that apply. | <input checked="" type="checkbox"/> | Agency Counsel | |
| | <input type="checkbox"/> | Dept. of Legal Affairs or Division of Risk Management | |
| | <input type="checkbox"/> | Outside Contract Counsel | |
| If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s). | N/A | | |

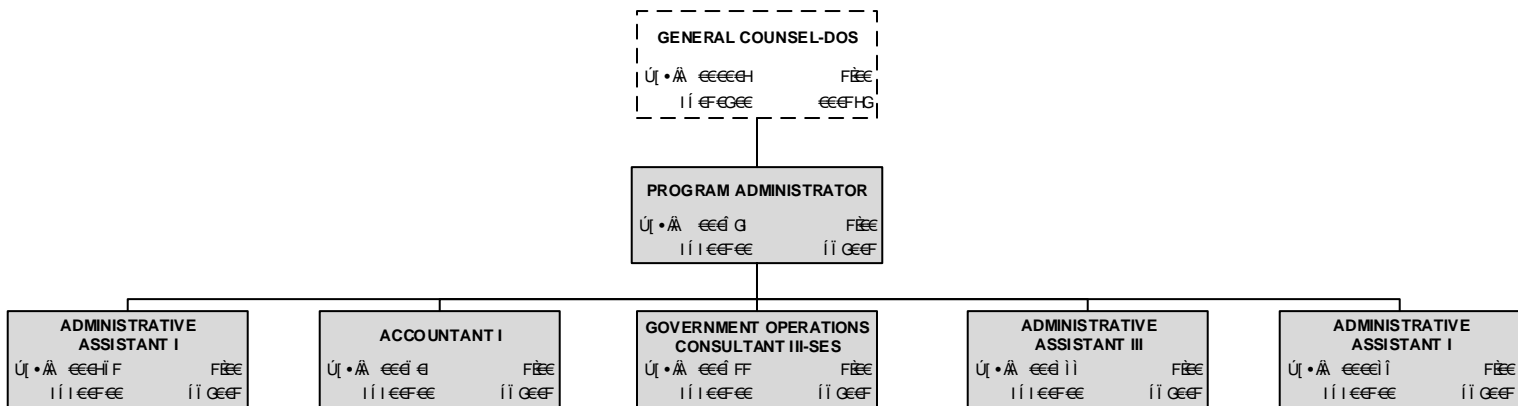
Department of State
Organizational Units
(406.00 FTE)



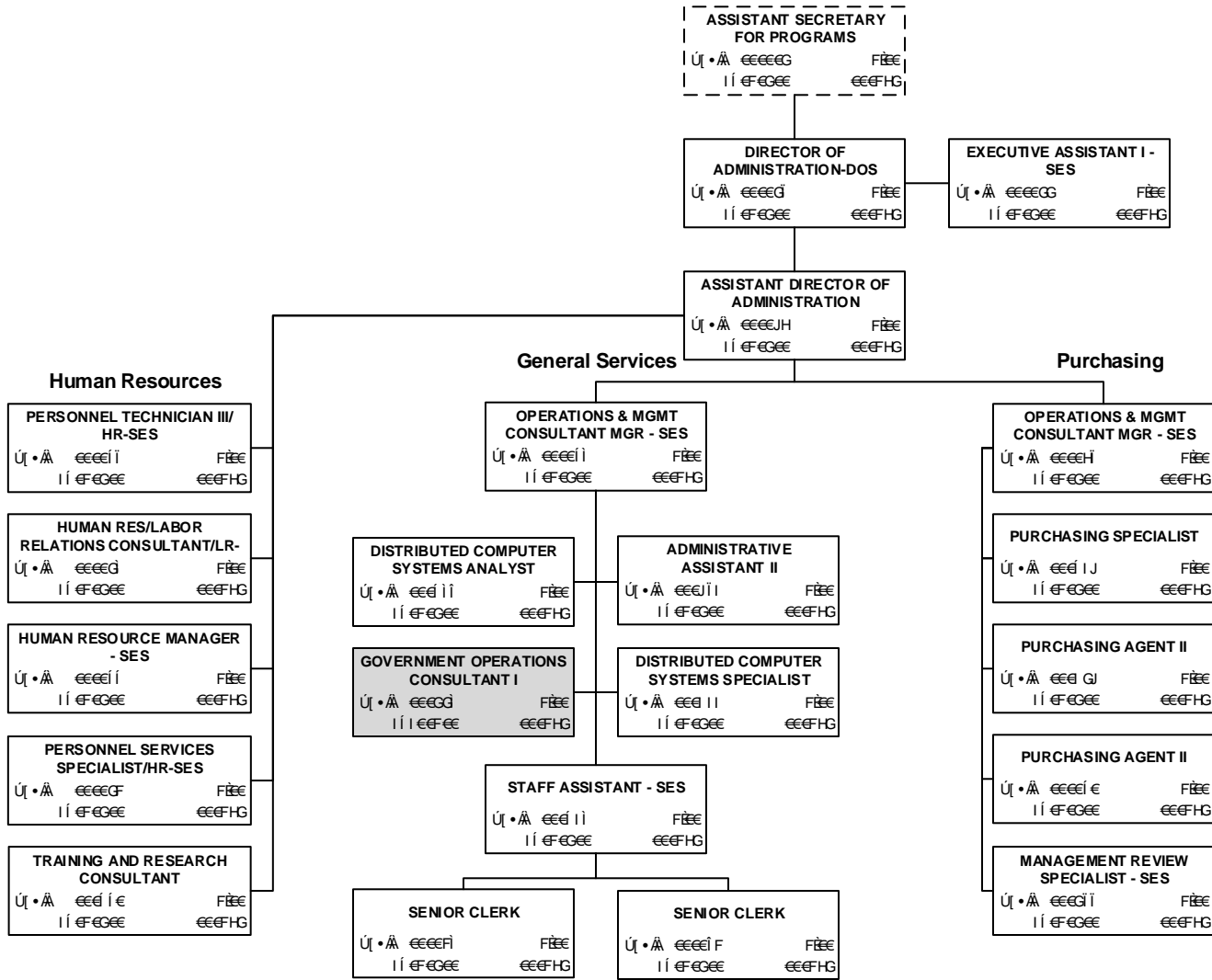
OFFICE OF THE SECRETARY
(Page 1 of 2)



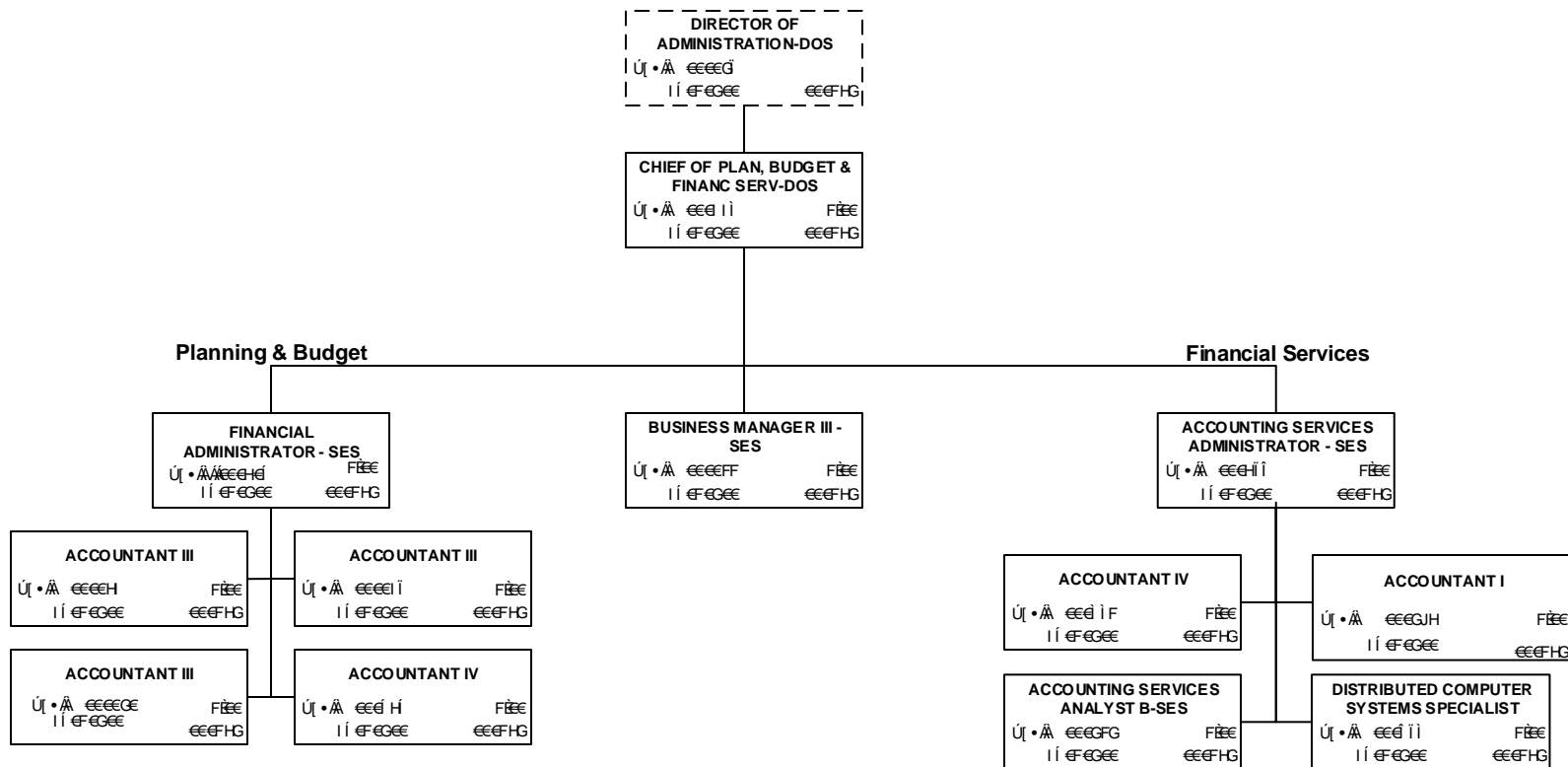
FAR, Laws & Code



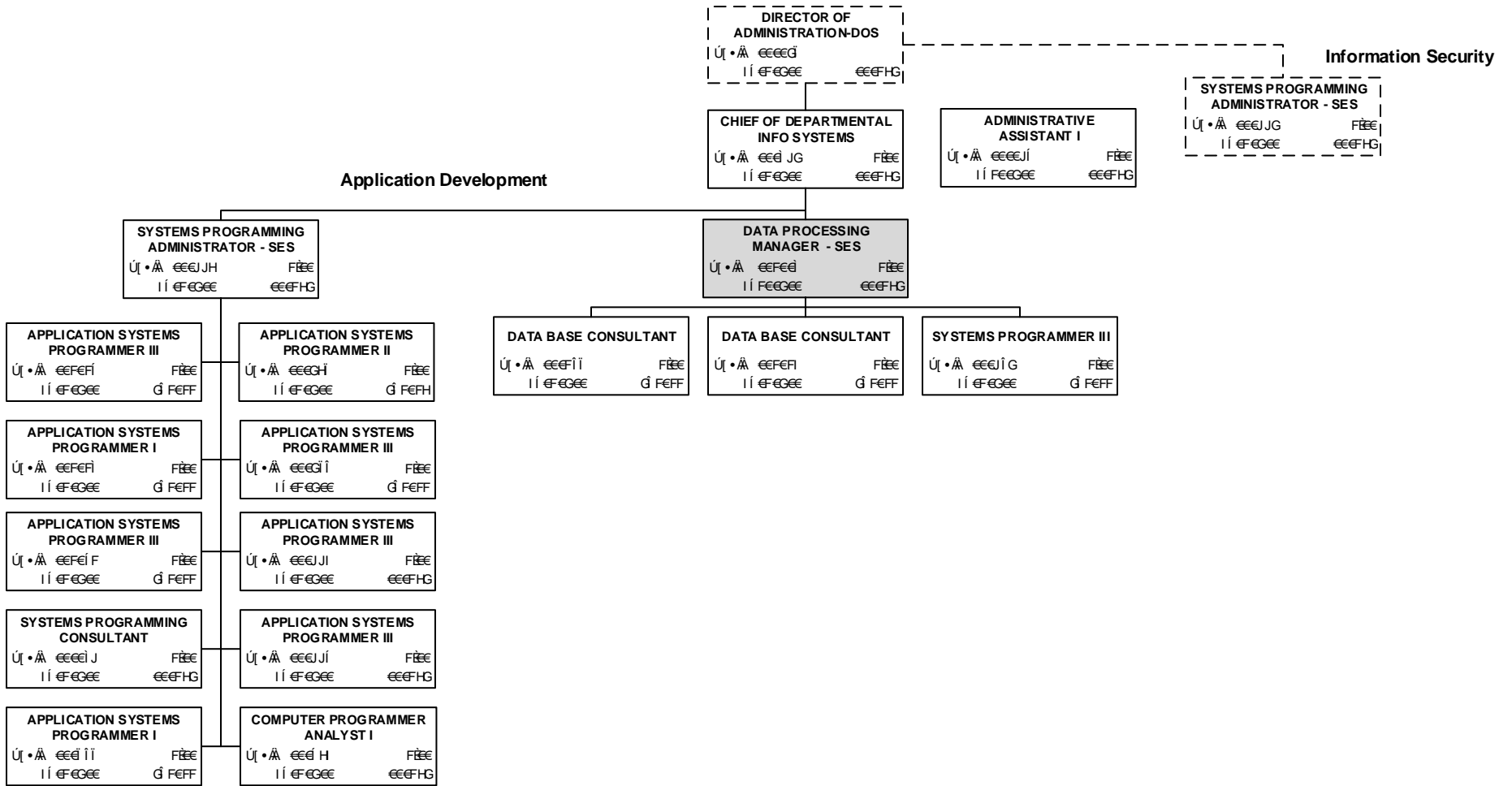
**DIVISION OF ADMINISTRATIVE SERVICES
Office of Division Director**



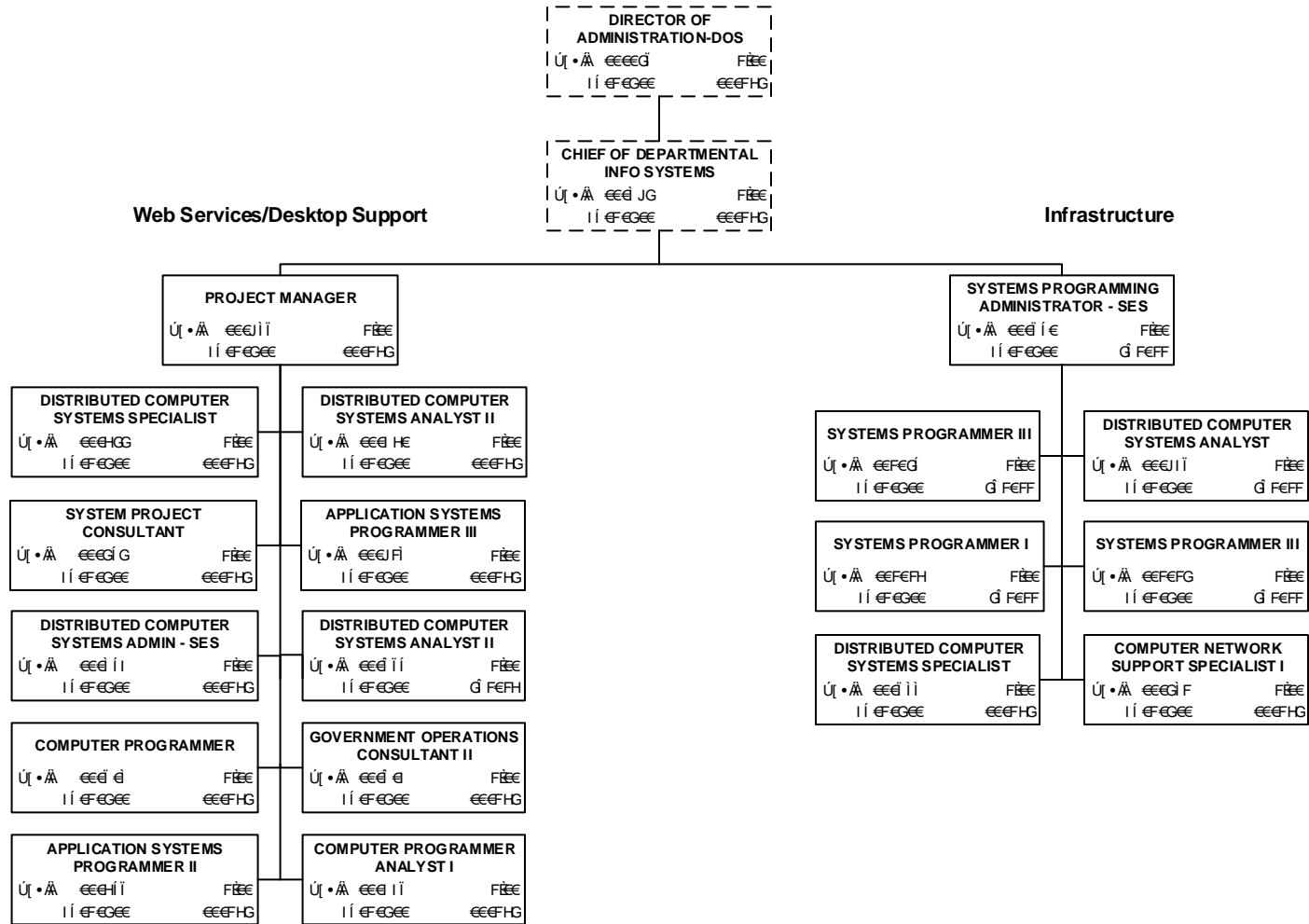
DIVISION OF ADMINISTRATIVE SERVICES
Bureau of Planning, Budget & Financial Services



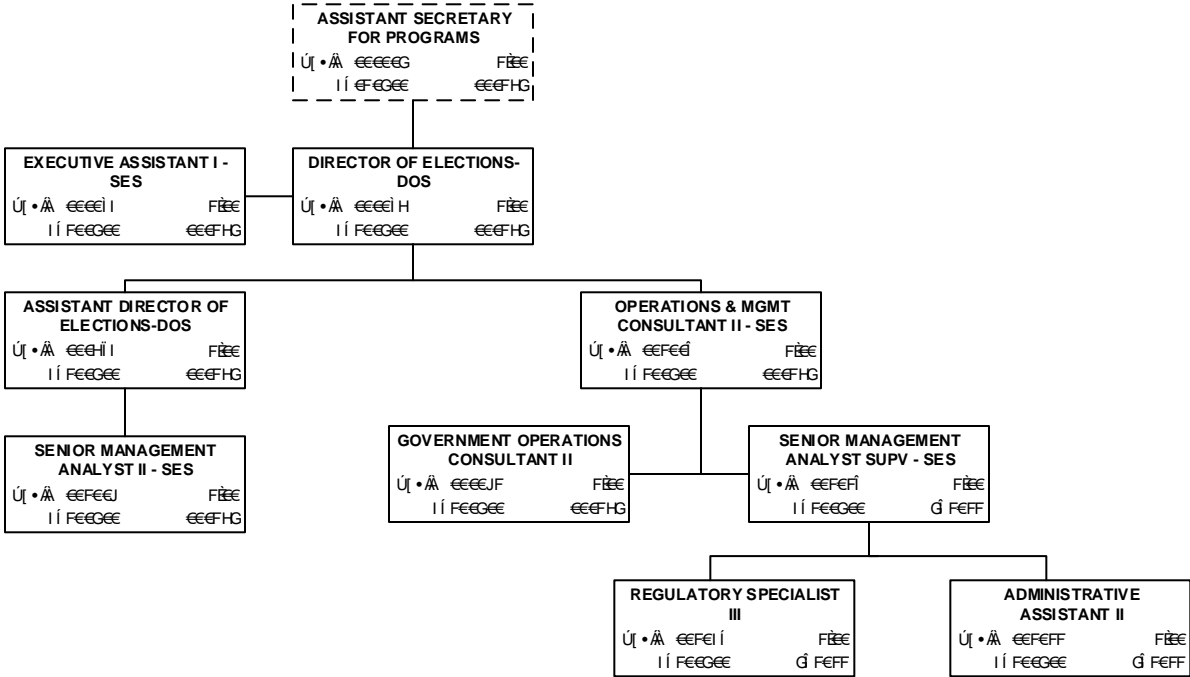
DIVISION OF ADMINISTRATIVE SERVICES
Bureau of Departmental Information Systems
 (Page 1 of 2)



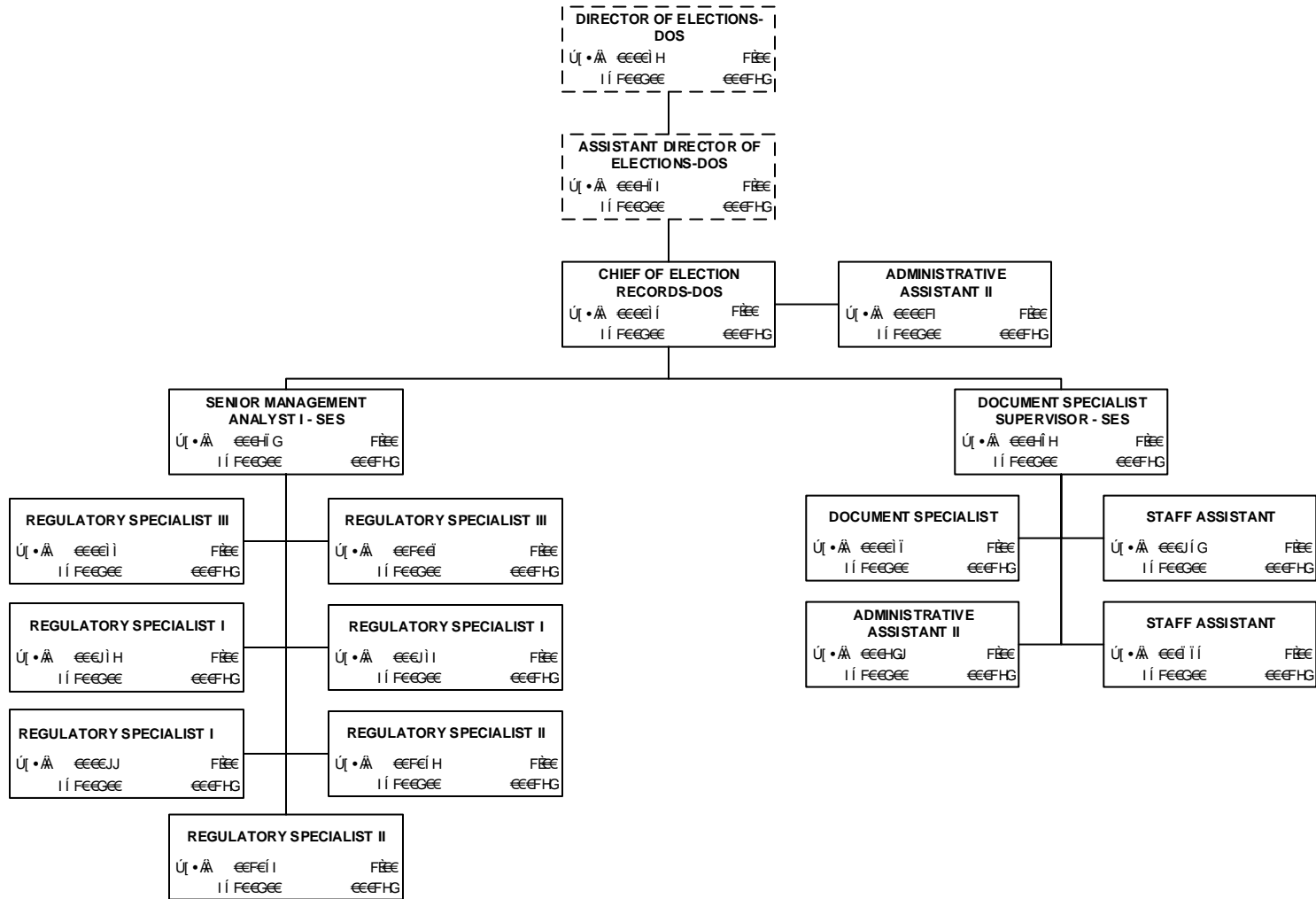
DIVISION OF ADMINISTRATIVE SERVICES
Bureau of Departmental Information Systems
 (Page 2 of 2)



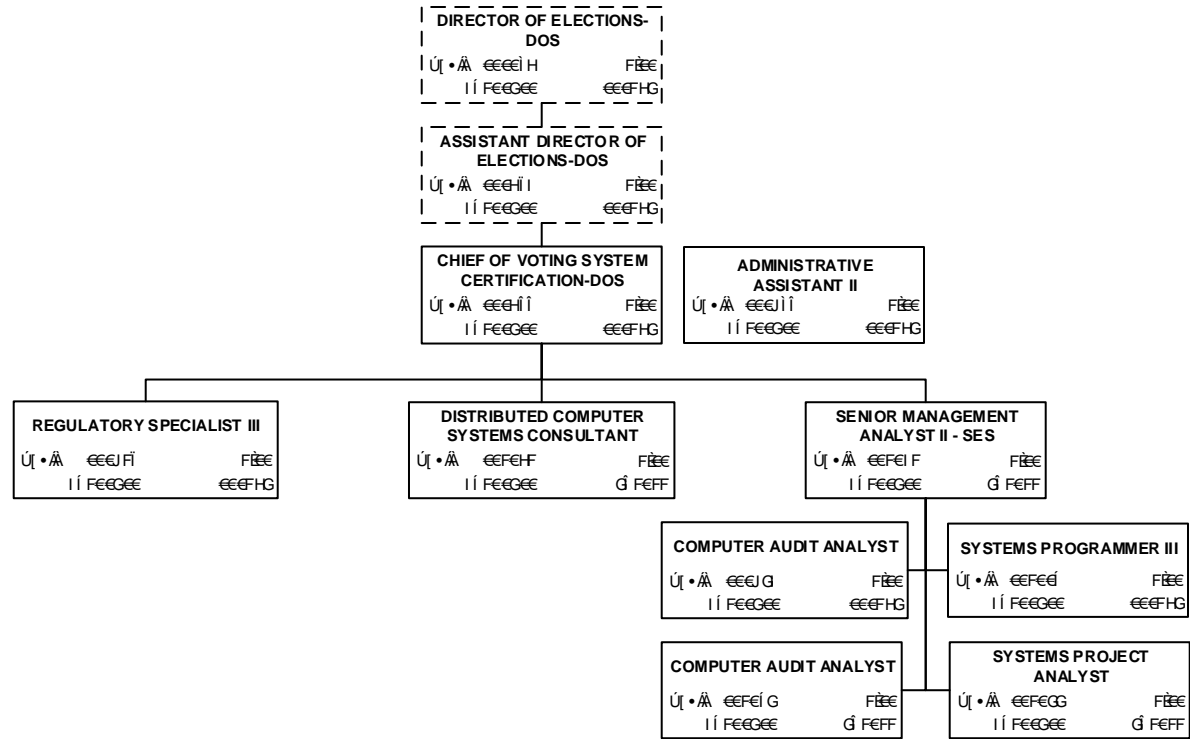
DIVISION OF ELECTIONS
Office of Division Director



DIVISION OF ELECTIONS Bureau of Election Records

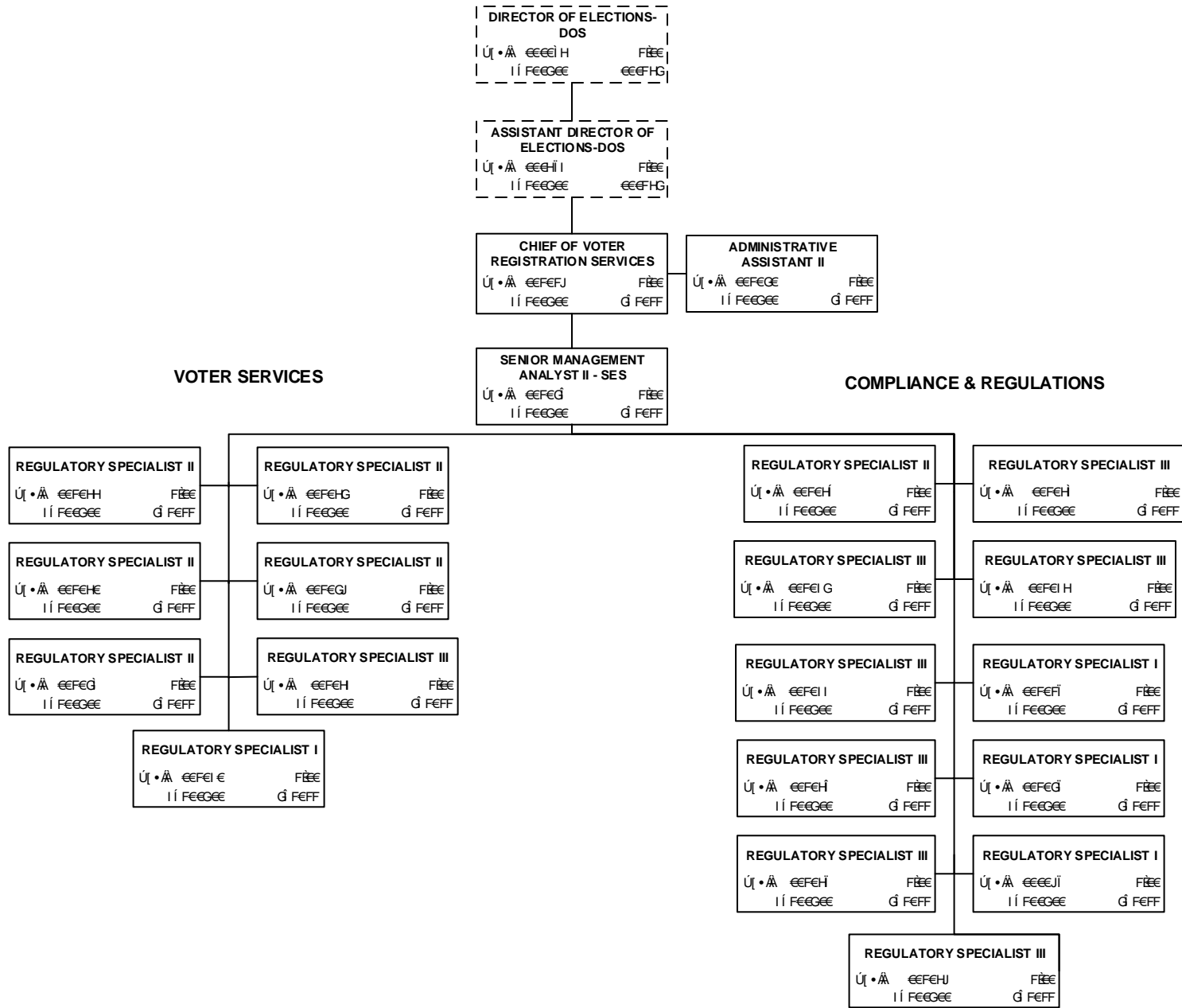


**DIVISION OF ELECTIONS
Bureau of Voting System Certification**

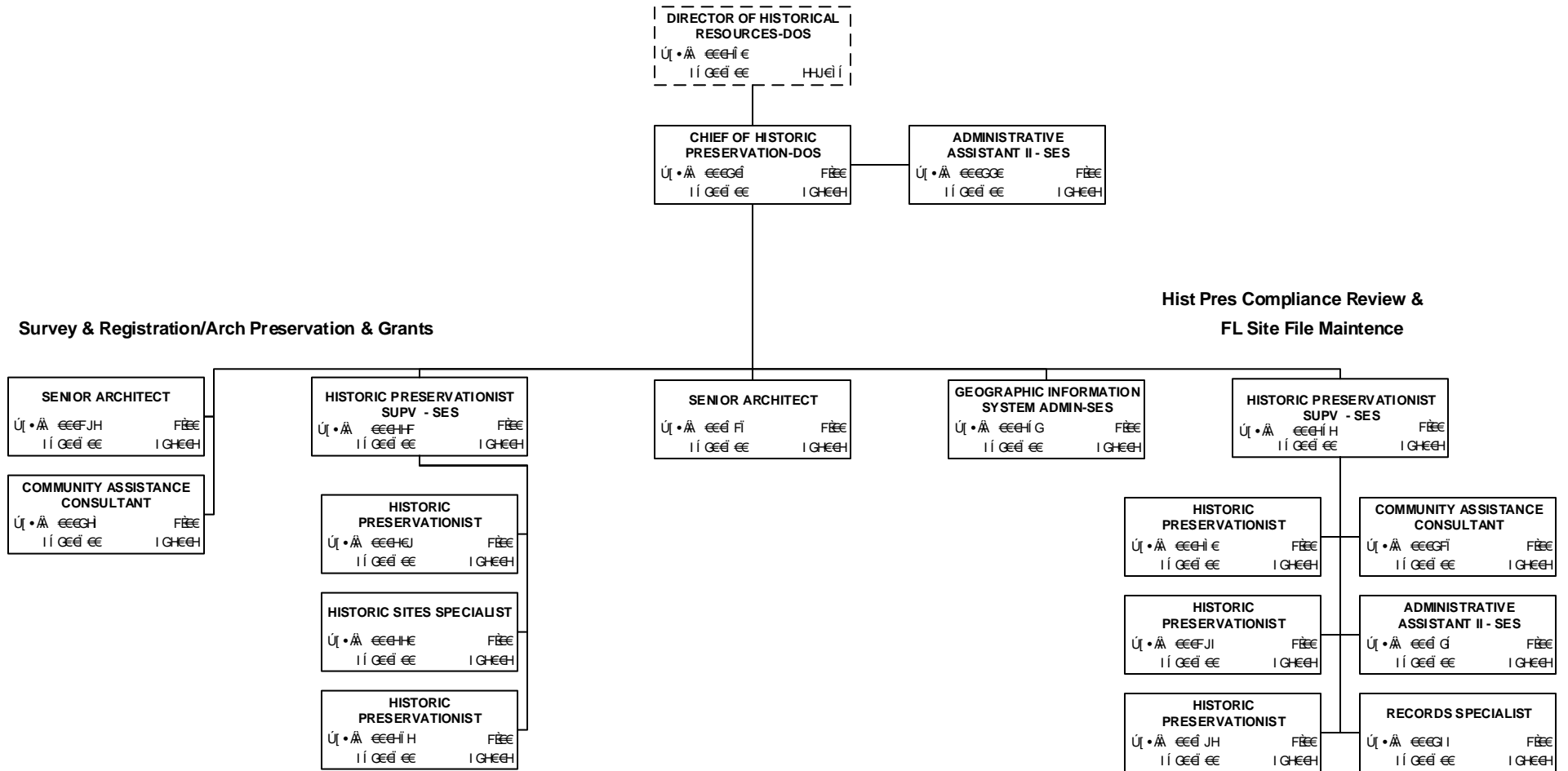


DIVISION OF ELECTIONS

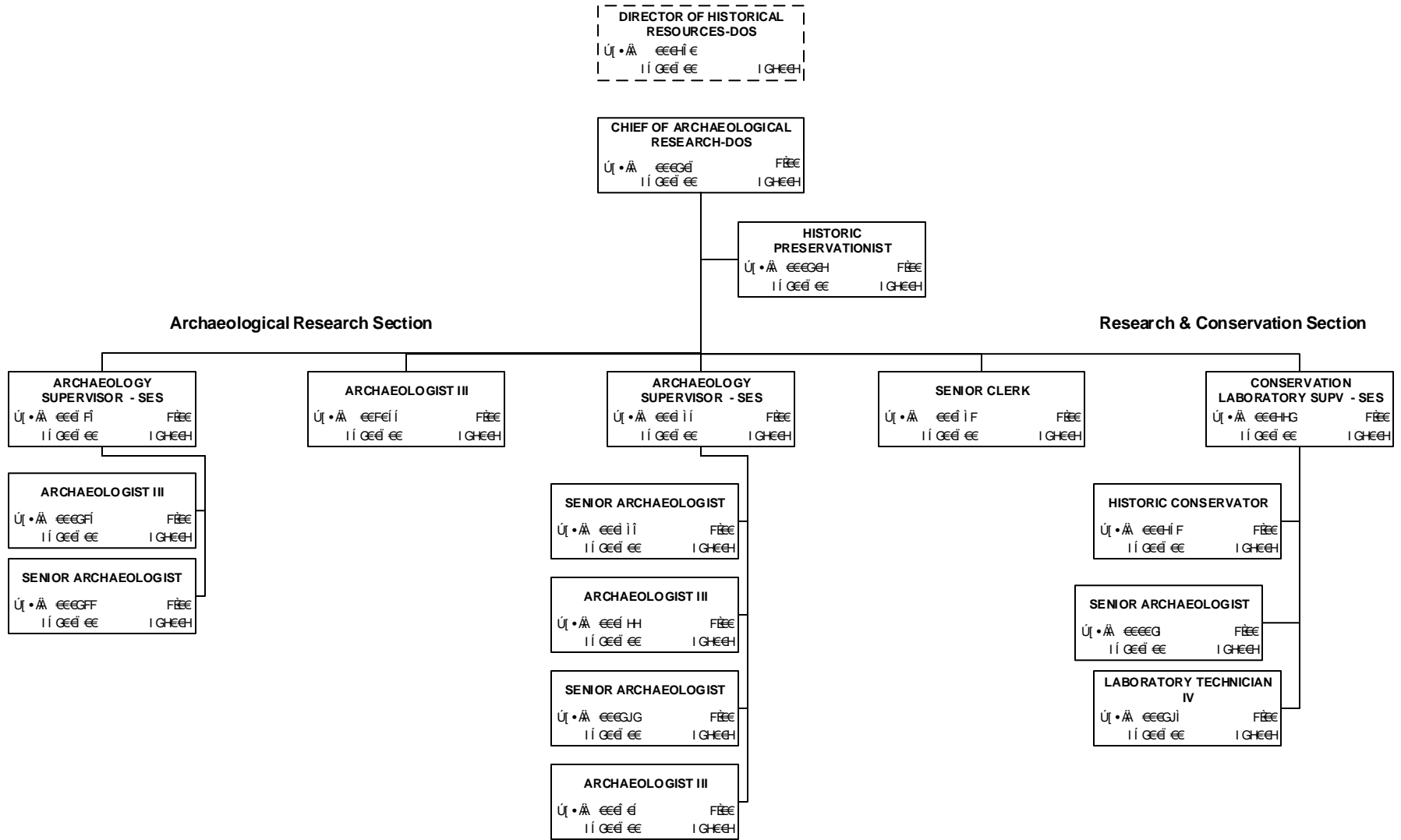
Bureau of Voter Registration Services



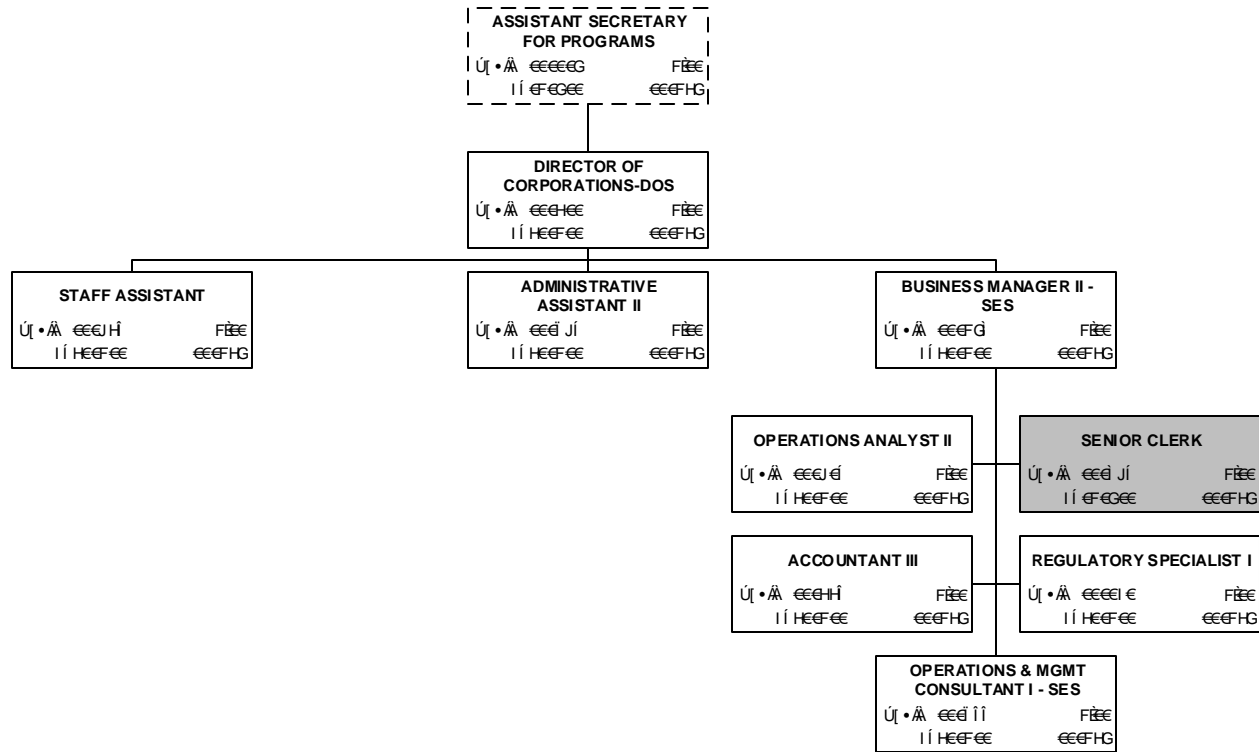
**DIVISION OF HISTORICAL RESOURCES
Bureau of Historic Preservation**



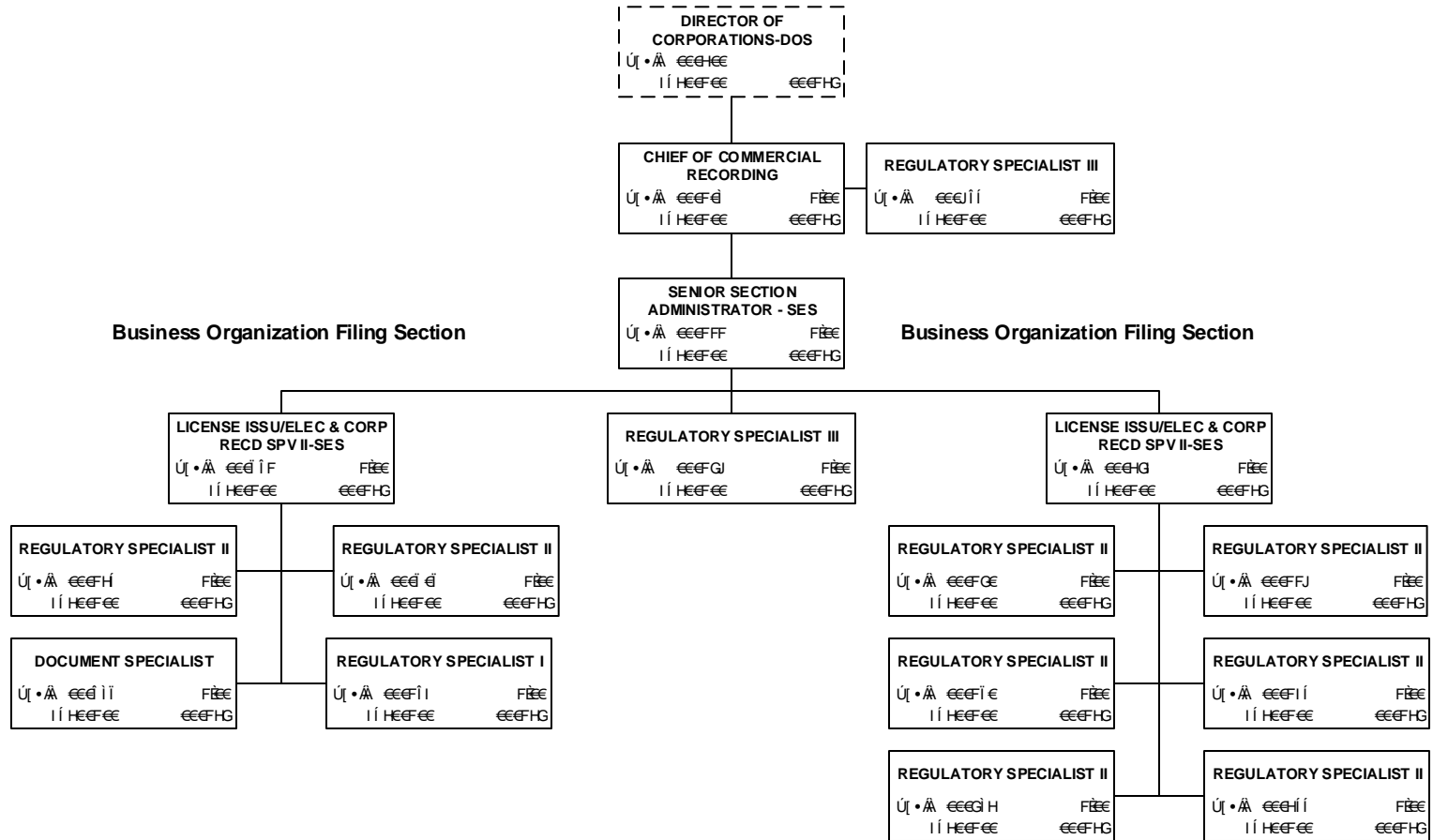
DIVISION OF HISTORICAL RESOURCES
Bureau of Archaeological Research



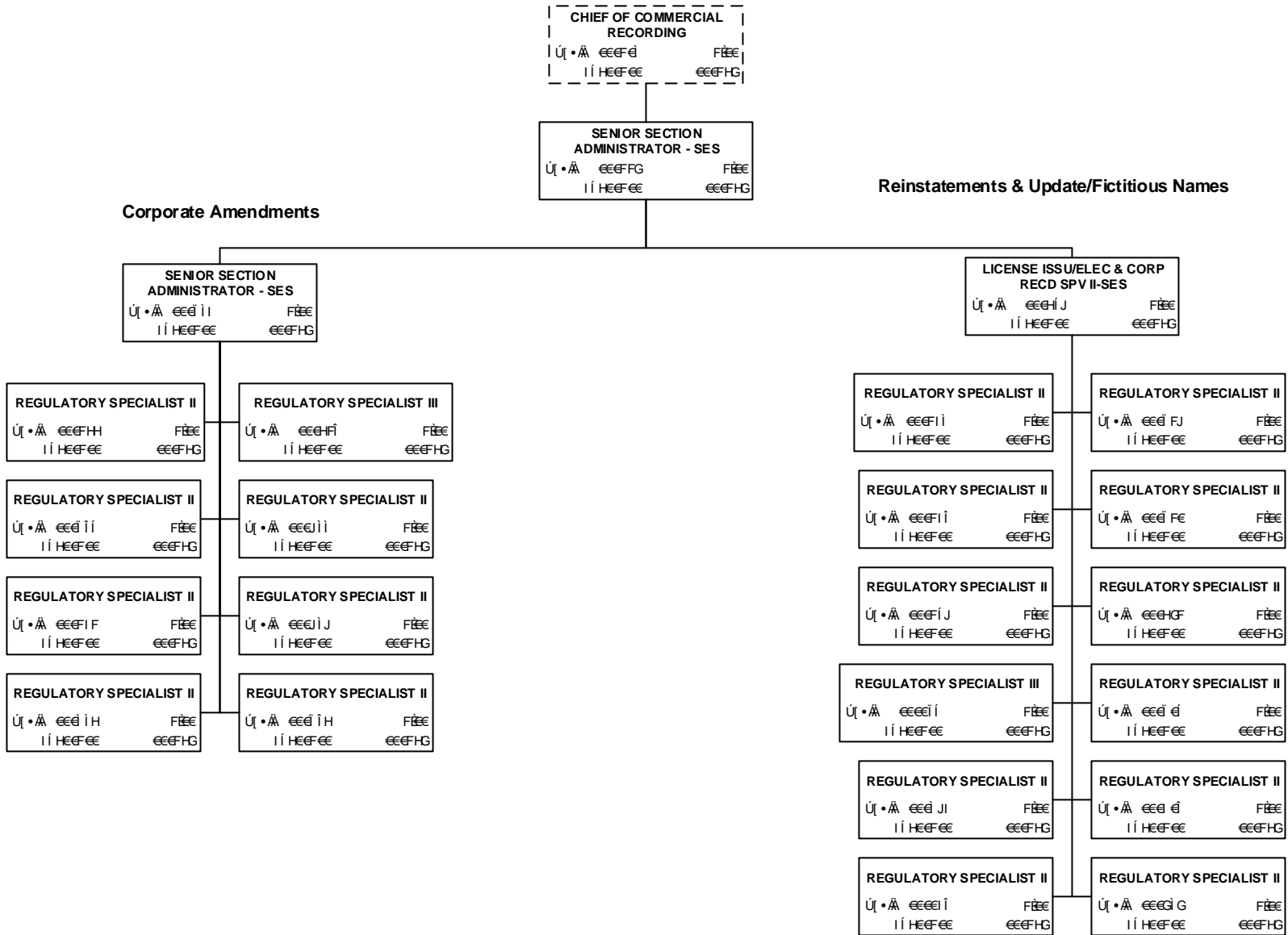
**DIVISION OF CORPORATIONS
Office of Division Director**



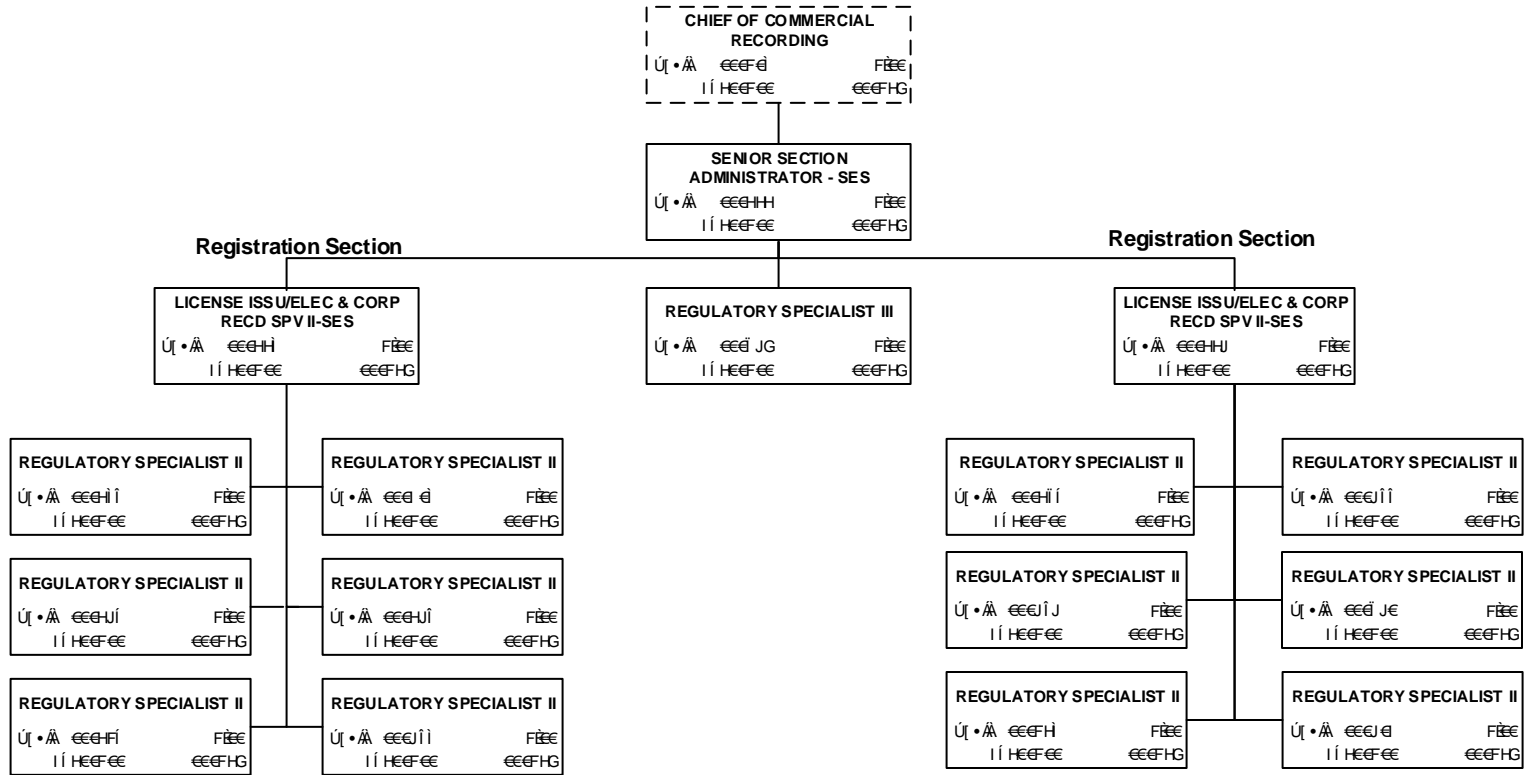
DIVISION OF CORPORATIONS
Bureau of Commercial Recording
 (Page 1 of 3)



DIVISION OF CORPORATIONS
Bureau of Commercial Recording
 (Page 2 of 3)

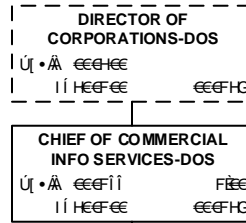


DIVISION OF CORPORATIONS
Bureau of Commercial Recording
 (Page 3 of 3)



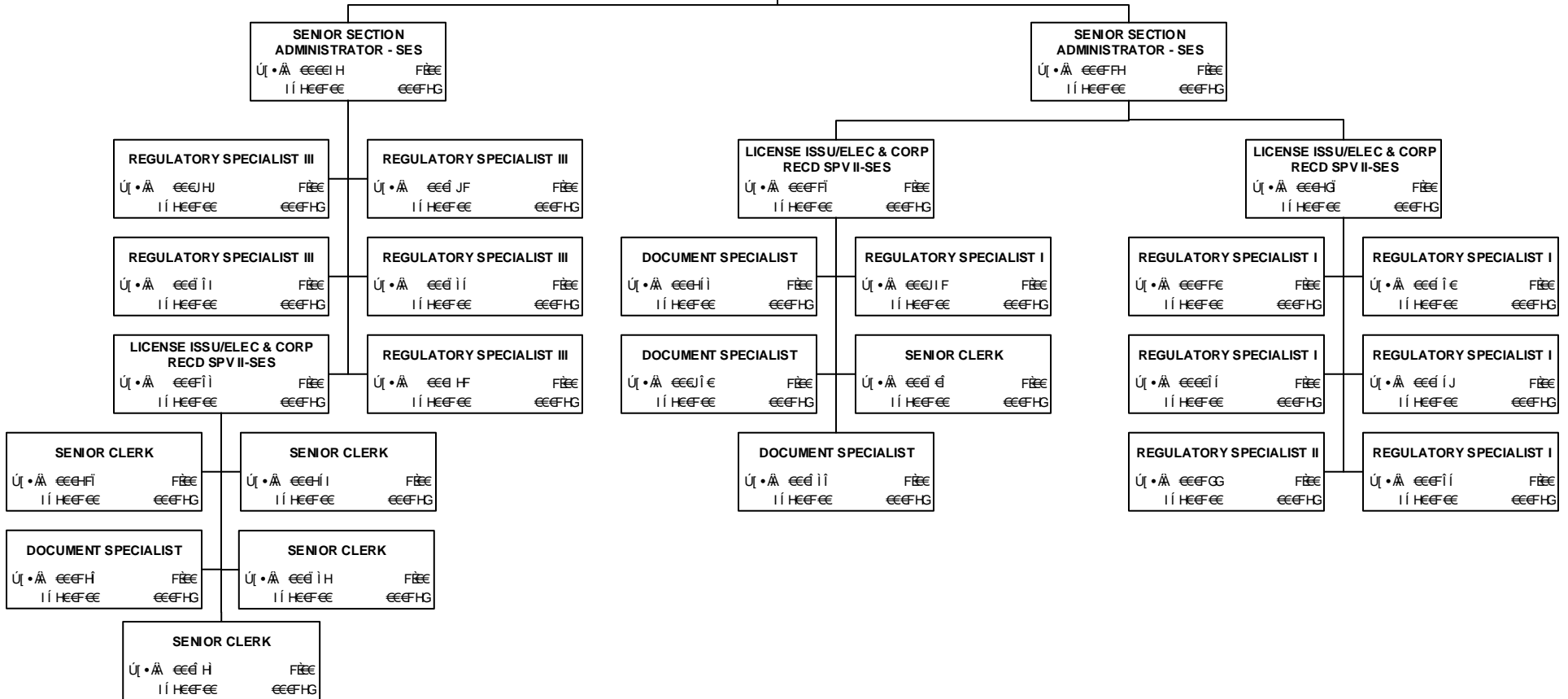
DIVISION OF CORPORATIONS
Bureau of Commercial Information Services

(Page 1 of 2)

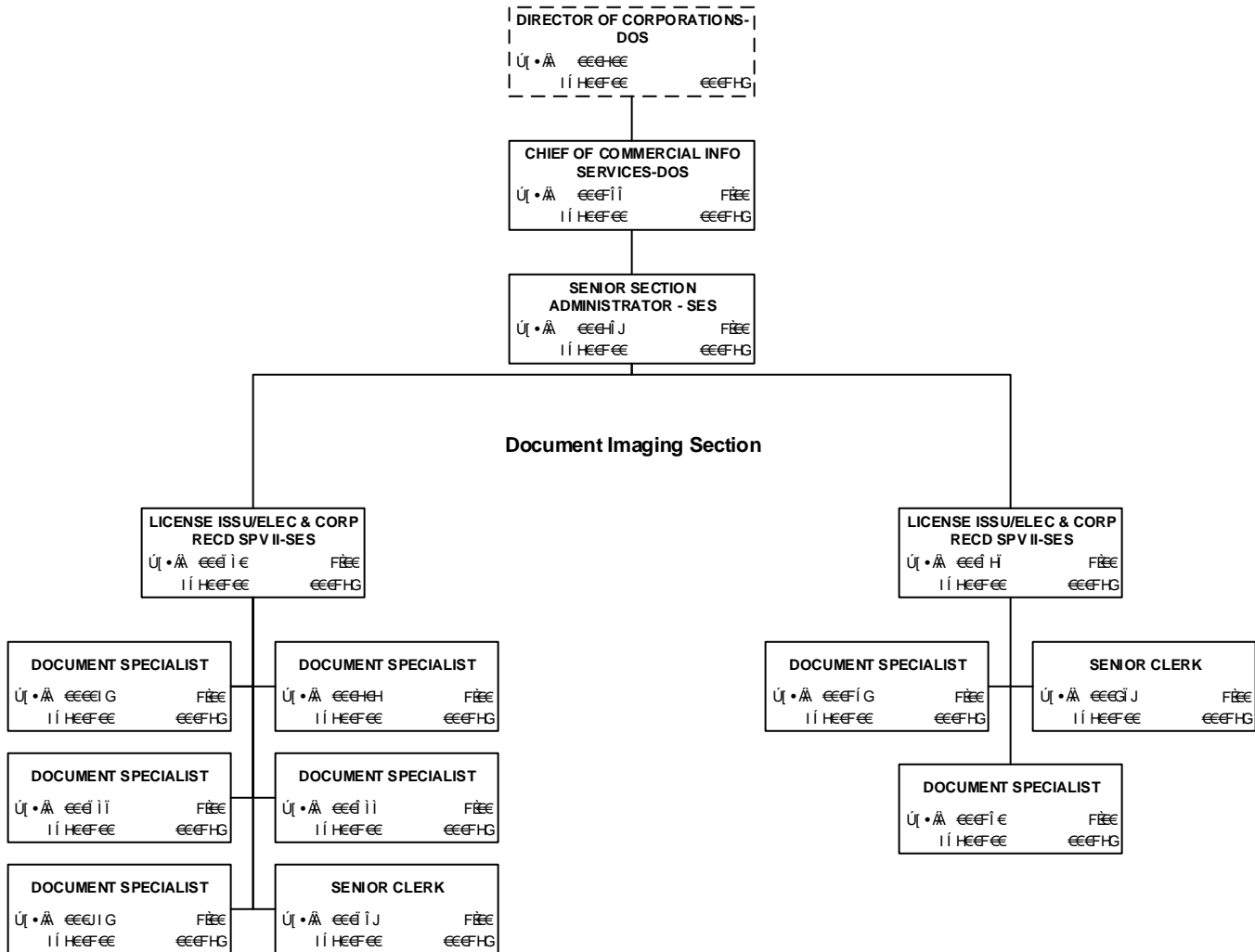


E-File/Internet Section

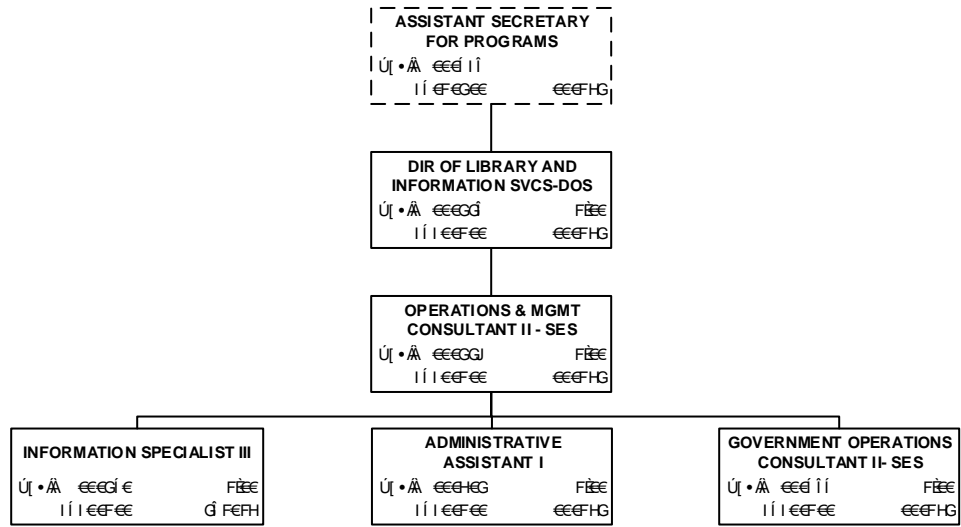
Records Certification Section



DIVISION OF CORPORATIONS
Bureau of Commercial Information Services
 (Page 2 of 2)

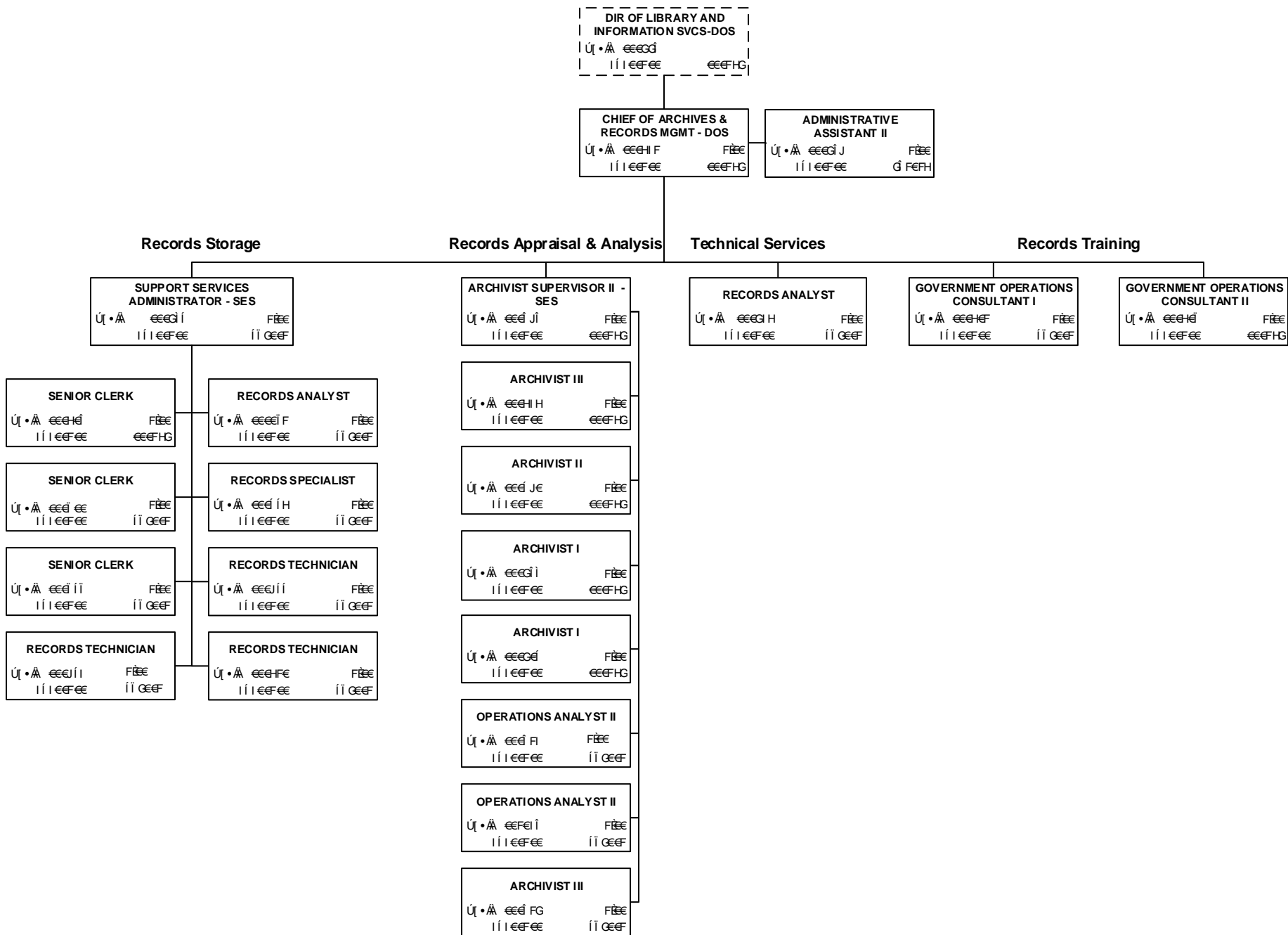


**DIVISION OF LIBRARY AND INFORMATION SERVICES
Office of Division Director**

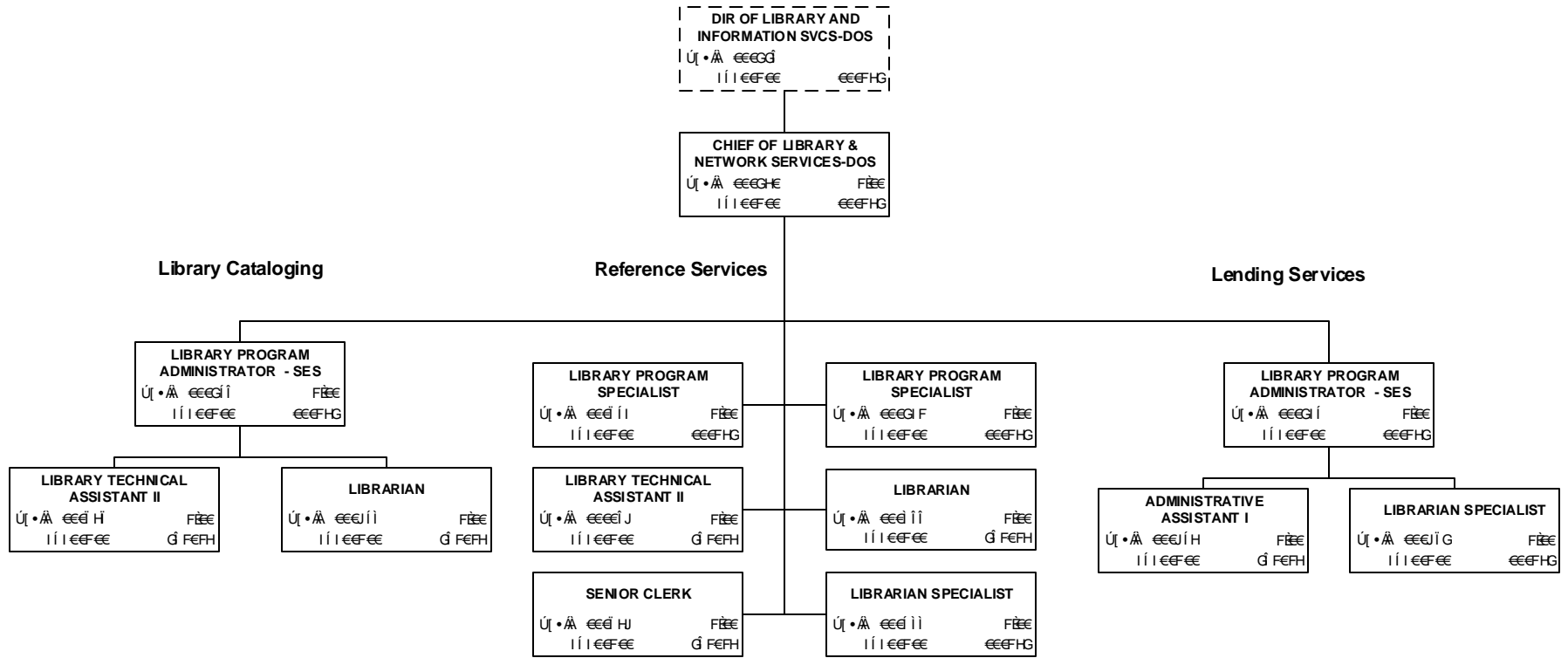


**DIVISION OF LIBRARY AND INFORMATION SERVICES
Bureau of Archives & Records Management**

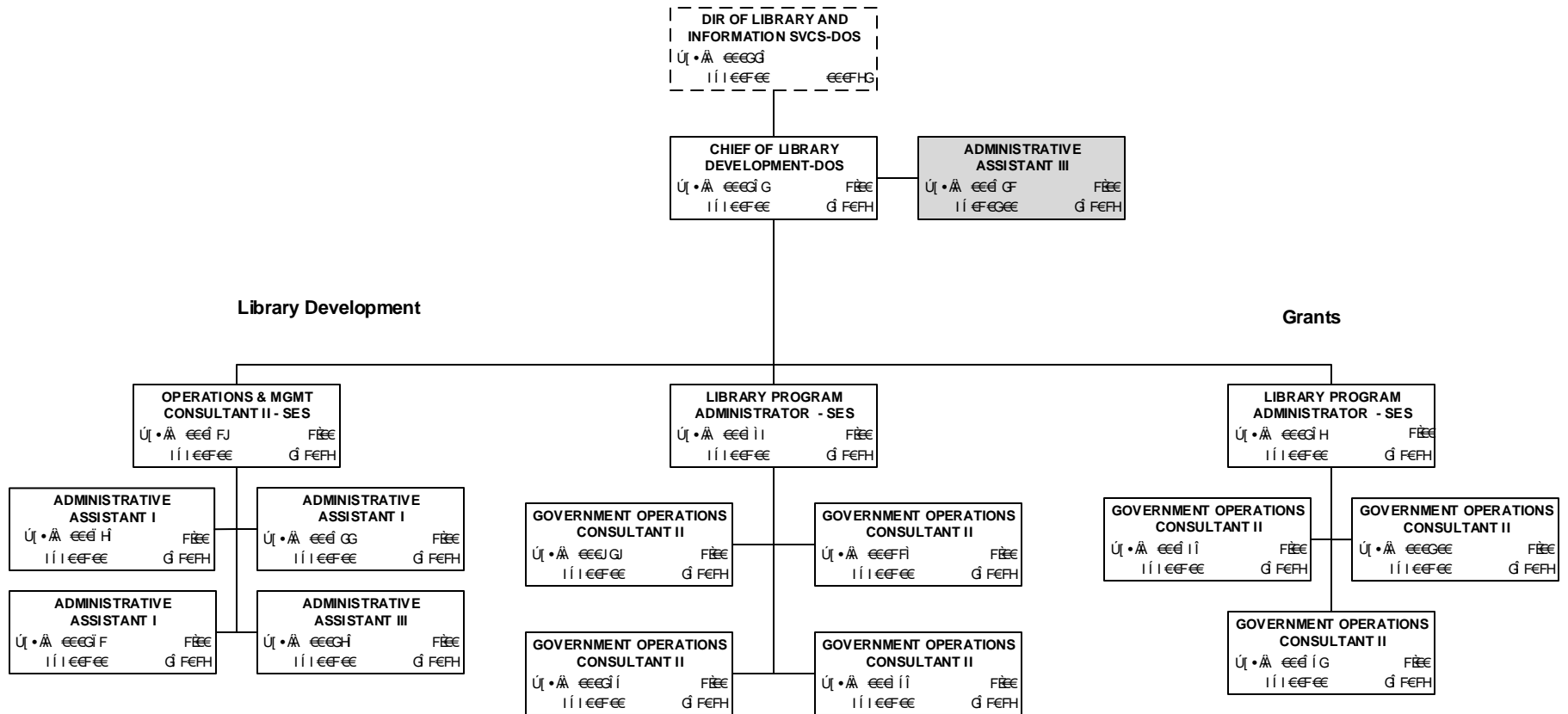
(Page 1 of 2)



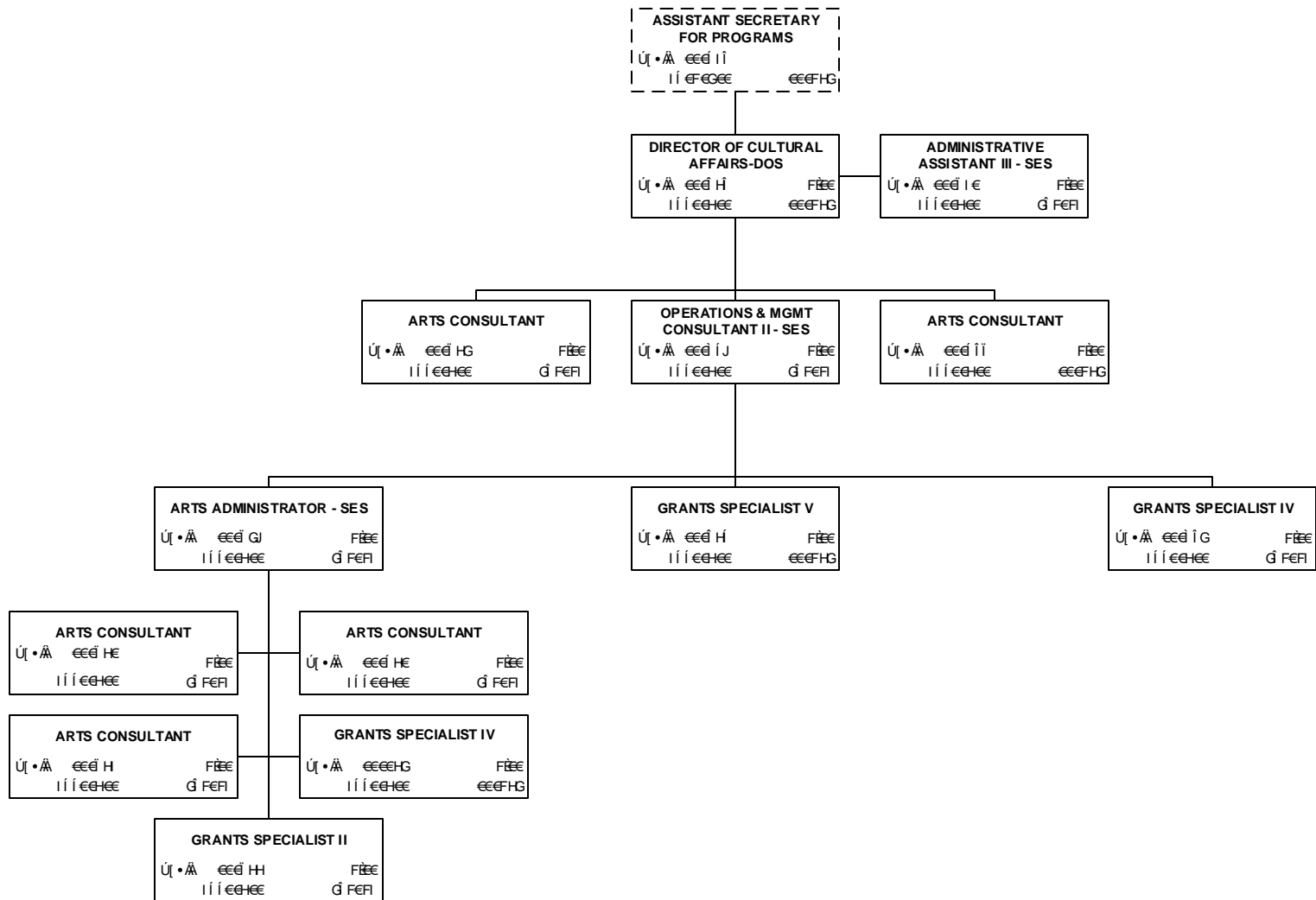
DIVISION OF LIBRARY AND INFORMATION SERVICES
Bureau of Library & Network Services



DIVISION OF LIBRARY AND INFORMATION SERVICES
Bureau of Library Development



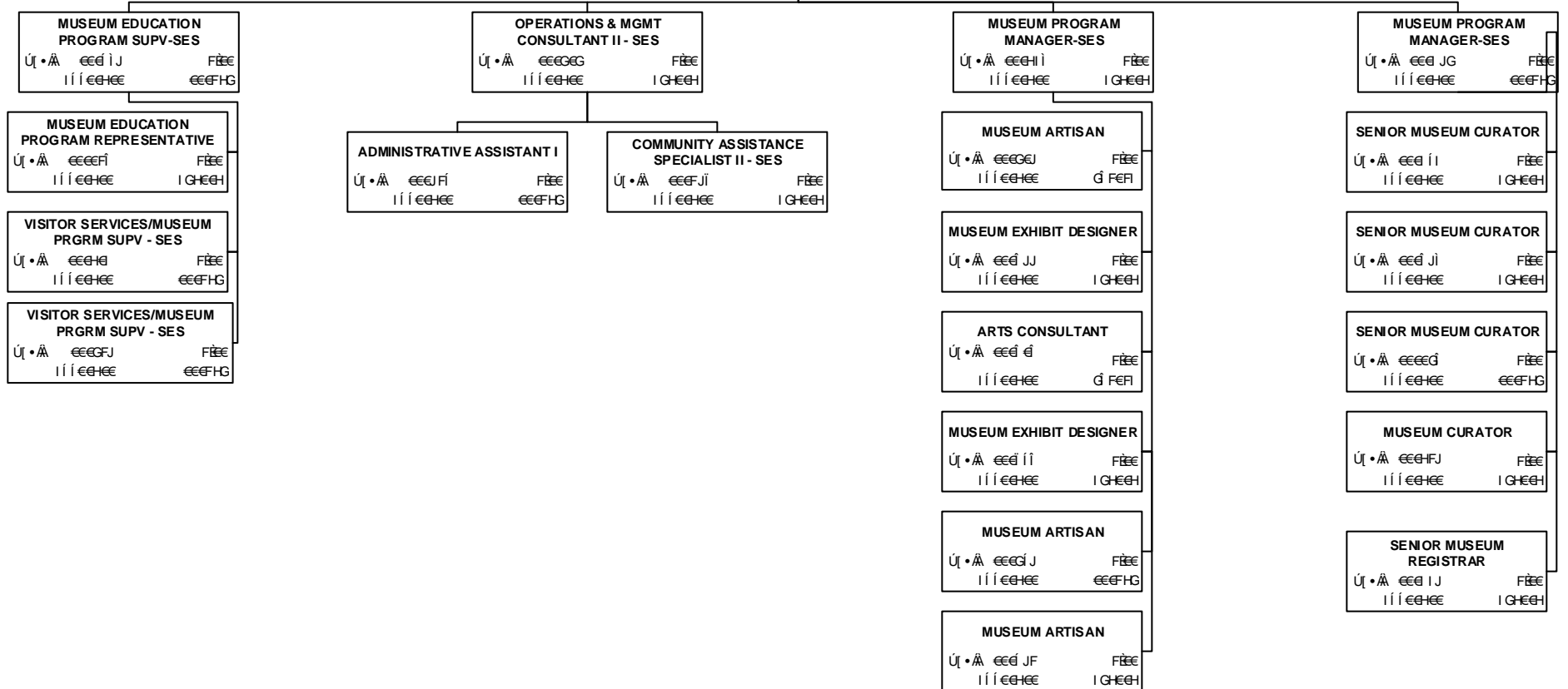
**DIVISION OF CULTURAL AFFAIRS
Office of Division Director**



**DIVISION OF CULTURAL AFFAIRS
Bureau of Historical Museums**

DIRECTOR OF CULTURAL
AFFAIRS-DOS
Út.Á. 000 H F000
ÍÍ0000 000FHG

CHIEF OF HISTORICAL
MUSEUMS-DOS
Út.Á. 000HÍ F000
ÍÍ0000 1G00H



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

Agency: Department of State Contact: Christie Fitz-Patrick 850-245-6512

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 2016 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 2017-2018 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 2017-18 Estimate/Request Amount | |
|---|---|------|------------------------------------|----------------------------|
| | | | Long Range Financial Outlook | Legislative Budget Request |
| a | Division of Cultural Affairs Grants | B | \$ 47,300,000 | \$ 3,320,109 |
| b | Division of Historical Resources Grants | B | \$ 15,100,000 | \$ 1,187,190 |
| c | Division of Library and Information Services Grants | B | \$ 4,800,000 | \$ 800,000 |
| d | Elections | B | \$ 1,800,000 | \$ 1,728,003 |

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

* R/B = Revenue or Budget Driver

**SCHEDULE XV:
CONTRACT INFORMATION FOR EACH CONTRACT IN WHICH THE
CONSIDERATION TO BE PAID TO THE AGENCY IS A PERCENTAGE OF
THE VENDOR REVENUE AND IN EXCESS OF \$10 MILLION**

| |
|---|
| Contact Information |
| Agency: FLORIDA DEPARTMENT OF STATE |
| Name: BRENDA L. VORISEK, DIRECTOR, DIVISION OF CORPORATIONS |
| Phone: (850) 245-6911 |
| E-mail address: Brenda.Vorisek@DOS.MyFlorida.com |

| | | |
|---|---|---|
| 1. Vendor Name | | |
| Image API, Inc. | | |
| 2. Brief description of services provided by the vendor. | | |
| Serves as the Filing Office/Officer for the Florida Secured Transaction Registry. Responsible for all Uniform Commercial Code filing activities. Duties include developing programs, maintaining databases and website, processing filings, depositing fees, and interacting with the public in person and via telephone. | | |
| 3. Contract terms and years remaining. | | |
| January 1, 2012 – December 31, 2016, with one 5 year renewal option. | | |
| 4. Amount of revenue generated | | |
| Prior Fiscal Year \$5,683,581 15/16 | Current Fiscal Year \$5,683,581 16/17 | Next Fiscal Year (Request Year) \$5,683,581 17/18 |
| 5. Amount of revenue remitted | | |
| Prior Fiscal Year \$4,252,566 15/16 | Current Fiscal Year \$4,435,393 16/17 | Next Fiscal Year (Request Year) \$4,435,393 17/18 |
| 6. Value of capital improvement | | |
| N/A | | |
| 7. Remaining amount of capital improvement | | |
| N/A | | |
| 8. Amount of state appropriations | | |
| Prior Fiscal Year N/A | Current Fiscal Year N/A | Next Fiscal Year (Request Year) N/A |



FLORIDA DEPARTMENT *of* STATE

Budget Entity Level Exhibits and Schedules

Legislative Budget Request

FY 2017-2018



FLORIDA DEPARTMENT *of* STATE

Office of the Secretary & Administrative Services

Schedule I Series

| | COL A01 | COL A02 | COL A03 | COL A04 |
|--|-------------|-------------|-------------|-------------|
| | ACT PR YR | CURR YR EST | AGY REQUEST | AGY REQ N/R |
| | EXP 2015-16 | EXP 2016-17 | FY 2017-18 | FY 2017-18 |

STATE, DEPT OF 45000000
 PGM: SECRETARY/ADMIN SVCS 45010000
 EXECUTIVE DIR/SUPPORT SVCS 45010200

FUND: FEDERAL GRANTS TRUST FUND 2261

SECTION I: DETAIL OF REVENUES

| REVENUE CAP SVC AUTH | MATCHING % | CFDA |
|----------------------|----------------|------|
| CODE CHG% | ST I/C LOC I/C | NO. |

TOTAL TO LINE B IN SECTION IV

SECTION II: DETAIL OF NONOPERATING EXPENDITURES

| OBJECT TRANSFER CFDA |
|----------------------|
| CODE TO BE NO. |

04 BUDGET ENTITY TRANSFER IN 45100200/2261 810000 45010200 1,038,813- 1,249,466- 1,254,912-
 05 BUDGET ENTITY TRANSFER IN 45400100/2261 810000 45010200 134,246- 154,428- 155,102-

TOTAL TO LINE E IN SECTION IV

SECTION III: ADJUSTMENTS

| OBJECT CODE |
|-------------|
|-------------|

02 SEPTEMBER 2015 CF REVERSIONS 991000 467

TOTAL TO LINE H IN SECTION IV

SECTION IV: SUMMARY

| | | | | |
|--|-----|------------|------------|------------|
| UNRESERVED FUND BALANCE - JULY 1 | (A) | | | |
| ADD: REVENUES (FROM SECTION I) | (B) | | | |
| TOTAL FUNDS AVAILABLE (LINE A + LINE B) | (C) | | | |
| LESS: OPERATING EXPENDITURES | (D) | 1,173,526 | 1,403,894 | 1,410,014 |
| LESS: NONOPERATING EXPENDITURES (SECTION II) | (E) | 1,173,059- | 1,403,894- | 1,410,014- |
| LESS: FIXED CAPITAL OUTLAY (TOTAL ONLY) | (F) | | | |
| UNRESERVED FUND BALANCE - JUNE 30 - BEFORE ADJ | (G) | 467- | | |
| NET ADJUSTMENTS (FROM SECTION III) | (H) | 467 | | |
| ADJUSTED UNRESERVED FUND BALANCE - JUNE 30 | (I) | | | |

| | | COL A01 | COL A02 | COL A03 | COL A04 |
|---|------------------------------|-------------|-------------|-------------|-------------|
| | | ACT PR YR | CURR YR EST | AGY REQUEST | AGY REQ N/R |
| | | EXP 2015-16 | EXP 2016-17 | FY 2017-18 | FY 2017-18 |
| STATE, DEPT OF | 45000000 | | | | |
| PGM: SECRETARY/ADMIN SVCS | 45010000 | | | | |
| EXECUTIVE DIR/SUPPORT SVCS | 45010200 | | | | |
| FUND: GRANTS AND DONATIONS TF | 2339 | | | | |
| SECTION I: DETAIL OF REVENUES | | | | | |
| | REVENUE CAP SVC AUTH | | MATCHING % | | CFDA |
| | CODE CHG% ST I/C LOC I/C NO. | | | | |
| TOTAL TO LINE B IN SECTION IV | | | | | |
| SECTION II: DETAIL OF NONOPERATING EXPENDITURES | | | | | |
| | OBJECT TRANSFER CFDA | | | | |
| | CODE TO BE NO. | | | | |
| 01 TRANSFER FROM 45200700/2339 | 810000 | 17,951- | | | |
| 02 TRANSFER TO 45200700/2339 | 810000 | | 18,014 | | |
| TOTAL TO LINE E IN SECTION IV | | | | | |
| SECTION III: ADJUSTMENTS | | | | | |
| | OBJECT | | | | |
| | CODE | | | | |
| 02 SEPTEMBER 2015 CF REVERSIONS | 991000 | 63 | | | |
| TOTAL TO LINE H IN SECTION IV | | | | | |
| SECTION IV: SUMMARY | | | | | |
| UNRESERVED FUND BALANCE - JULY 1 | (A) | | 18,014 | | |
| ADD: REVENUES (FROM SECTION I) | (B) | | | | |
| TOTAL FUNDS AVAILABLE (LINE A + LINE B) | (C) | | 18,014 | | |
| LESS: OPERATING EXPENDITURES | (D) | | | | |
| LESS: NONOPERATING EXPENDITURES (SECTION II) | (E) | 17,951- | 18,014 | | |
| LESS: FIXED CAPITAL OUTLAY (TOTAL ONLY) | (F) | | | | |
| UNRESERVED FUND BALANCE - JUNE 30 - BEFORE ADJ | (G) | 17,951 | | | |
| NET ADJUSTMENTS (FROM SECTION III) | (H) | 63 | | | |
| ADJUSTED UNRESERVED FUND BALANCE - JUNE 30 | (I) | 18,014 | | | |

| | | COL A01 | COL A02 | COL A03 | COL A04 |
|-----------------------------------|----------|-------------|-------------|-------------|-------------|
| | | ACT PR YR | CURR YR EST | AGY REQUEST | AGY REQ N/R |
| | | EXP 2015-16 | EXP 2016-17 | FY 2017-18 | FY 2017-18 |
| STATE, DEPT OF | 45000000 | | | | |
| PGM: SECRETARY/ADMIN SVCS | 45010000 | | | | |
| <u>EXECUTIVE DIR/SUPPORT SVCS</u> | 45010200 | | | | |
| FUND: GRANTS AND DONATIONS TF | 2339 | | | | |

SCHEDULE IB: DETAIL OF UNRESERVED FUND BALANCE

| | FUNDING SOURCE | | |
|--|----------------|-----------------|--------|
| | STATE(S) | RESTRICTED(R) | |
| | NONSTATE(N) | UNRESTRICTED(U) | |
| 01 TRANSFER IN-DEP-CARL | S | U | 18,014 |
| ADJUSTED UNRESERVED FUND BALANCE - JUNE 30 | | | 18,014 |

| | | COL A01 | COL A02 | COL A03 | COL A04 |
|---|----------------------|-------------|-------------|-------------|-----------------|
| | | ACT PR YR | CURR YR EST | AGY REQUEST | AGY REQ N/R |
| | | EXP 2015-16 | EXP 2016-17 | FY 2017-18 | FY 2017-18 |
| STATE, DEPT OF | 45000000 | | | | |
| PGM: SECRETARY/ADMIN SVCS | 45010000 | | | | |
| EXECUTIVE DIR/SUPPORT SVCS | 45010200 | | | | |
| FUND: LAND ACQUISITION TF | 2423 | | | | |
| SECTION I: DETAIL OF REVENUES | | | | | |
| | REVENUE CAP SVC AUTH | | MATCHING % | | CFDA |
| | CODE CHG% | ST | I/C LOC I/C | | NO. |
| TOTAL TO LINE B IN SECTION IV | | | | | |
| SECTION II: DETAIL OF NONOPERATING EXPENDITURES | | | | | |
| | | OBJECT | TRANSFER | | CFDA |
| | | CODE | TO BE | | NO. |
| 01 TRANSFER IN FROM 45200700/2423 | | 810000 | 45010200 | 54,084- | 67,733- 67,733- |
| TOTAL TO LINE E IN SECTION IV | | | | | |
| | | | | 54,084- | 67,733- 67,733- |
| SECTION III: ADJUSTMENTS | | | | | |
| | | OBJECT | | | |
| | | CODE | | | |
| TOTAL TO LINE H IN SECTION IV | | | | | |
| SECTION IV: SUMMARY | | | | | |
| UNRESERVED FUND BALANCE - JULY 1 | (A) | | | | |
| ADD: REVENUES (FROM SECTION I) | (B) | | | | |
| TOTAL FUNDS AVAILABLE (LINE A + LINE B) | (C) | | | | |
| LESS: OPERATING EXPENDITURES | (D) | | | 54,084 | 67,733 67,733 |
| LESS: NONOPERATING EXPENDITURES (SECTION II) | (E) | | | 54,084- | 67,733- 67,733- |
| LESS: FIXED CAPITAL OUTLAY (TOTAL ONLY) | (F) | | | | |
| UNRESERVED FUND BALANCE - JUNE 30 - BEFORE ADJ | (G) | | | | |
| NET ADJUSTMENTS (FROM SECTION III) | (H) | | | | |
| ADJUSTED UNRESERVED FUND BALANCE - JUNE 30 | (I) | | | | |

| | | COL A01 | COL A02 | COL A03 | COL A04 |
|----------------------------|----------|-------------|-------------|-------------|-------------|
| | | ACT PR YR | CURR YR EST | AGY REQUEST | AGY REQ N/R |
| | | EXP 2015-16 | EXP 2016-17 | FY 2017-18 | FY 2017-18 |
| STATE, DEPT OF | 45000000 | | | | |
| PGM: SECRETARY/ADMIN SVCS | 45010000 | | | | |
| EXECUTIVE DIR/SUPPORT SVCS | 45010200 | | | | |

FUND: RECORDS MANAGEMENT TF 2572

SECTION I: DETAIL OF REVENUES

| REVENUE | CAP | SVC | AUTH | MATCHING % | CFDA |
|---------|-----|------|------|-------------|------|
| CODE | | CHG% | ST | I/C LOC I/C | NO. |

TOTAL TO LINE B IN SECTION IV

SECTION II: DETAIL OF NONOPERATING EXPENDITURES

| OBJECT | TRANSFER | CFDA |
|--------|----------|------|
| CODE | TO BE | NO. |

02 BUDGET ENTITY TRANSFER IN 45400100/2572

| | | | | |
|--------|----------|---------|---------|---------|
| 810000 | 45010200 | 86,108- | 86,965- | 87,449- |
|--------|----------|---------|---------|---------|

TOTAL TO LINE E IN SECTION IV

| | | | | |
|--|--|---------|---------|---------|
| | | 86,108- | 86,965- | 87,449- |
|--|--|---------|---------|---------|

SECTION III: ADJUSTMENTS

| OBJECT |
|--------|
| CODE |

TOTAL TO LINE H IN SECTION IV

SECTION IV: SUMMARY

| | |
|--|-----|
| UNRESERVED FUND BALANCE - JULY 1 | (A) |
| ADD: REVENUES (FROM SECTION I) | (B) |
| TOTAL FUNDS AVAILABLE (LINE A + LINE B) | (C) |
| LESS: OPERATING EXPENDITURES | (D) |
| LESS: NONOPERATING EXPENDITURES (SECTION II) | (E) |
| LESS: FIXED CAPITAL OUTLAY (TOTAL ONLY) | (F) |
| UNRESERVED FUND BALANCE - JUNE 30 - BEFORE ADJ | (G) |
| NET ADJUSTMENTS (FROM SECTION III) | (H) |
| ADJUSTED UNRESERVED FUND BALANCE - JUNE 30 | (I) |

| | | |
|---------|---------|---------|
| 86,108 | 86,965 | 87,449 |
| 86,108- | 86,965- | 87,449- |

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

| | |
|-----------------------------|--|
| Department Title: | Budget Period: 2017-18 |
| Trust Fund Title: | Department of State |
| Budget Entity: | Federal Grants Trust Fund - Combined |
| LAS/PBS Fund Number: | 45100200/45010200/45200700/45400100/45500300 |
| | 2261 |

| | Balance as of 6/30/2016 | SWFS* Adjustments | Adjusted Balance |
|---|----------------------------|----------------------|---------------------|
| Chief Financial Officer's (CFO) Cash Balance | 740,032 (A) | 133,475 | 873,507 |
| ADD: Other Cash (See Instructions) | 0 (B) | 0 | 0 |
| ADD: Investments | 31,825,382 (C) | 0 | 31,825,382 |
| ADD: Outstanding Accounts Receivable | 1,911 (D) | 0 | 1,911 |
| ADD: _____ | 0 (E) | 0 | 0 |
| Total Cash plus Accounts Receivable | 32,567,325 (F) | 133,475 | 32,700,800 |
| LESS: Allowances for Uncollectibles | 20 (G) | 0 | 20 |
| LESS: "A" Carry Forwards | 547,449 (H) | 0 | 547,449 |
| LESS: "B" Carry Forwards | 130,398 (H) | 0 | 130,398 |
| LESS: Approved "FCO" Certified Forwards | 0 (H) | 0 | 0 |
| LESS: Other Accounts Payable (Nonoperating) | 9,978 (I) | 0 | 9,978 |
| LESS: OCO Adjustment | 0 (J) | 0 | 0 |
| Unreserved Fund Balance, 07/01/2016 | 31,879,480 (K) | 133,475 | 32,012,954 ** |

Notes:

*SWFS = Statewide Financial Statement

** This amount should agree with Line I, Section IV of the Schedule I for the most recent completed fiscal year and Line A for the following year.

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

| | |
|-----------------------------|--|
| Department Title: | Budget Period: 2017-18 |
| Trust Fund Title: | Department of State |
| Budget Entity: | Grants & Donations Trust Fund - Combined |
| LAS/PBS Fund Number: | 45200700/45010200/45400100/45500300 |
| | 2339 |

| | Balance as of 6/30/2016 | SWFS* Adjustments | Adjusted Balance |
|---|----------------------------|----------------------|---------------------|
| Chief Financial Officer's (CFO) Cash Balance | 4,111,359 (A) | 20,690 | 4,132,049 |
| ADD: Other Cash (See Instructions) | 0 (B) | 0 | 0 |
| ADD: Investments | 0 (C) | 0 | 0 |
| ADD: Outstanding Accounts Receivable | 3,557 (D) | 0 | 3,557 |
| ADD: _____ | 0 (E) | 0 | 0 |
| Total Cash plus Accounts Receivable | 4,114,916 (F) | 20,690 | 4,135,605 |
| LESS: Allowances for Uncollectibles | 5,563 (G) | 0 | 5,563 |
| LESS: "A" Carry Forwards | 0 (H) | 0 | 0 |
| "B" Carry Forwards | 0 (H) | 0 | 0 |
| Approved "FCO" Certified Forwards | 500,000 (H) | 0 | 500,000 |
| LESS: Other Accounts Payable (Non-operating) | 0 (I) | 0 | 0 |
| LESS: Service Charge to General Revenue | 0 (J) | 94 | 94 |
| Unreserved Fund Balance, 07/01/2016 | 3,609,352 (K) | 20,596 | 3,629,948 ** |

Notes:

*SWFS = Statewide Financial Statement

** This amount should agree with Line I, Section IV of the Schedule I for the most recent completed fiscal year and Line A for the following year.

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

Budget Period: 2017-18

| | |
|-----------------------------|--|
| Department Title: | Department of State |
| Trust Fund Title: | Land Acquisition Trust Fund - Combined |
| Budget Entity: | 45200700/45010200/45500300 |
| LAS/PBS Fund Number: | 2423 |

| | Balance as of 6/30/2016 | SWFS* Adjustments | Adjusted Balance |
|---|----------------------------|----------------------|---------------------|
| Chief Financial Officer's (CFO) Cash Balance | 6,608,978 (A) | (1,376,860) | 5,232,118 |
| ADD: Other Cash (See Instructions) | 0 (B) | 0 | 0 |
| ADD: Investments | 0 (C) | 0 | 0 |
| ADD: Outstanding Accounts Receivable | 0 (D) | 0 | 0 |
| ADD: _____ | 0 (E) | 0 | 0 |
| Total Cash plus Accounts Receivable | 6,608,978 (F) | (1,376,860) | 5,232,118 |
| LESS: Allowances for Uncollectibles | 0 (G) | 0 | 0 |
| LESS: "A" Carry Forwards | 1,705,580 (H) | 0 | 1,705,580 |
| "B" Carry Forwards | 156,812 (H) | 0 | 156,812 |
| Approved "FCO" Certified Forwards | 2,823,432 (H) | 0 | 2,823,432 |
| LESS: Other Accounts Payable (Non-operating) | 0 (I) | 0 | 0 |
| LESS: Due to General Revenue | 0 (J) | 144 | 144 |
| Unreserved Fund Balance, 07/01/2016 | 1,923,155 (K) | (1,377,004) | 546,150 ** |

Notes:

*SWFS = Statewide Financial Statement

** This amount should agree with Line I, Section IV of the Schedule I for the most recent completed fiscal year and Line A for the following year.

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

| | |
|-----------------------------|--|
| Department Title: | Budget Period: 2017-18 |
| Trust Fund Title: | Department of State |
| Budget Entity: | Records Management Trust Fund - Combined |
| LAS/PBS Fund Number: | 45400100/45010200 |
| | 2572 |

| | Balance as of 6/30/2016 | SWFS* Adjustments | Adjusted Balance |
|---|----------------------------|----------------------|---------------------|
| Chief Financial Officer's (CFO) Cash Balance | 1,487,126 (A) | (88,140) | 1,398,986 |
| ADD: Other Cash (See Instructions) | 0 (B) | 0 | 0 |
| ADD: Investments | 0 (C) | 0 | 0 |
| ADD: Outstanding Accounts Receivable | 125,486 (D) | 0 | 125,486 |
| ADD: _____ | 0 (E) | 0 | 0 |
| Total Cash plus Accounts Receivable | 1,612,612 (F) | (88,140) | 1,524,471 |
| LESS Allowances for Uncollectibles | 0 (G) | 0 | 0 |
| LESS "A" Carry Forwards | 21,672 (H) | 0 | 21,672 |
| "B" Carry Forwards | 32,840 (H) | 0 | 32,840 |
| Approved "FCO" Certified Forwards | 0 (H) | 0 | 0 |
| LESS: Other Accounts Payable (Non-Operating) | 0 (I) | 0 | 0 |
| LESS: Service Charge to General Revenue | 0 (J) | 10,139 | 10,139 |
| Unreserved Fund Balance, 07/01/2016 | 1,558,100 (K) | (98,279) | 1,459,821 ** |

Notes:

*SWFS = Statewide Financial Statement

** This amount should agree with Line I, Section IV of the Schedule I for the most recent completed fiscal year and Line A for the following year.



FLORIDA DEPARTMENT *of* STATE

Elections

Schedule I Series

| | | COL A01 | COL A02 | COL A03 | COL A04 |
|---|-----------------|-------------|-------------|-------------|-------------|
| | | ACT PR YR | CURR YR EST | AGY REQUEST | AGY REQ N/R |
| | | EXP 2015-16 | EXP 2016-17 | FY 2017-18 | FY 2017-18 |
| STATE, DEPT OF | 45000000 | | | | |
| PGM: ELECTIONS | 45100000 | | | | |
| ELECTIONS | 45100200 | | | | |
| FUND: FEDERAL GRANTS TRUST FUND 2261 | | | | | |
| SECTION I: DETAIL OF REVENUES | | | | | |
| | REVENUE CAP SVC | AUTH | MATCHING % | CFDA | |
| | CODE CHG% | ST | I/C LOC I/C | NO. | |
| 01 FEES, CHARGES, COMMISSIONS AND SALES | 000100 YES 0.0 | 216 | 0.00 0.00 | | |
| 02 INTEREST-STATE TREASURY | 000504 NO 0.0 | 17.61 | 0.00 0.00 | | |
| 16 PENALTIES-NSF FEES | 001202 NO 0.0 | 17.61 | 0.00 0.00 | | |
| 18 US DEPT HEALTH/HUM SERV | 000700 NO 0.0 | 97.012 | 0.00 0.00 | 93.617 | |
| TOTAL TO LINE B IN SECTION IV | | | | | |
| | | 3,718,286 | 940,000 | 940,000 | |
| SECTION II: DETAIL OF NONOPERATING EXPENDITURES | | | | | |
| | OBJECT | TRANSFER | CFDA | | |
| | CODE | TO BE | NO. | | |
| 03 TRANSFER TO FDLE,2261,HAVA | 811000 | 71700100 | | | |
| 07 REFUND NONSTATE REVENUES | 860000 | | | | |
| 13 BUDGET ENTITY TRANSFER OUT 45010200/2261 | 810000 | 45010200 | | | |
| 14 ASSESSMENT ON INVESTMENTS | 840000 | | | | |
| TOTAL TO LINE E IN SECTION IV | | | | | |
| | | 1,293,117 | 1,484,466 | 1,489,912 | |
| SECTION III: ADJUSTMENTS | | | | | |
| | OBJECT | | | | |
| | CODE | | | | |
| 03 2016 CF REVERSIONS | 991000 | | | 164 | |
| 06 SEPTEMBER 2015 CF REVERSIONS | 991000 | | 48,883 | | |
| 07 SWFS #B4500001 ADJ COMMITTED FUND BAL | 991000 | | 4,503,435- | | |
| 08 SWFS #B4500002 ADJ REL CASH IN STATE TREA | 991000 | | 133,987 | | |
| 09 SWFS #B4500011 ADJ RESTRICTED BY FED GOV | 991000 | | 2,092,211 | | |
| TOTAL TO LINE H IN SECTION IV | | | | | |
| | | 2,228,354- | 164 | | |

| | | COL A01 | COL A02 | COL A03 | COL A04 |
|---------------------------------|-----------------|-------------|-------------|-------------|-------------|
| | | ACT PR YR | CURR YR EST | AGY REQUEST | AGY REQ N/R |
| | | EXP 2015-16 | EXP 2016-17 | FY 2017-18 | FY 2017-18 |
| STATE, DEPT OF | 45000000 | | | | |
| PGM: ELECTIONS | 45100000 | | | | |
| <u>ELECTIONS</u> | <u>45100200</u> | | | | |
| FUND: FEDERAL GRANTS TRUST FUND | 2261 | | | | |

SECTION IV: SUMMARY

| | | | | | |
|--|-----|------------|------------|------------|--|
| UNRESERVED FUND BALANCE - JULY 1 | (A) | 40,051,966 | 31,832,910 | 20,936,907 | |
| ADD: REVENUES (FROM SECTION I) | (B) | 3,718,286 | 940,000 | 940,000 | |
| TOTAL FUNDS AVAILABLE (LINE A + LINE B) | (C) | 43,770,252 | 32,772,910 | 21,876,907 | |
| LESS: OPERATING EXPENDITURES | (D) | 8,415,871 | 10,351,701 | 9,364,953 | |
| LESS: NONOPERATING EXPENDITURES (SECTION II) | (E) | 1,293,117 | 1,484,466 | 1,489,912 | |
| LESS: FIXED CAPITAL OUTLAY (TOTAL ONLY) | (F) | | | | |
| UNRESERVED FUND BALANCE - JUNE 30 - BEFORE ADJ | (G) | 34,061,264 | 20,936,743 | 11,022,042 | |
| NET ADJUSTMENTS (FROM SECTION III) | (H) | 2,228,354- | 164 | | |
| ADJUSTED UNRESERVED FUND BALANCE - JUNE 30 | (I) | 31,832,910 | 20,936,907 | 11,022,042 | |

SCHEDULE IB: DETAIL OF UNRESERVED FUND BALANCE

| | FUNDING SOURCE | | | | |
|--|----------------|-----------------|------------|------------|------------|
| | STATE(S) | RESTRICTED(R) | | | |
| | NONSTATE(N) | UNRESTRICTED(U) | | | |
| 01 FEDERAL HELP AMERICA VOTE ACT | N | R | 31,832,910 | 20,936,907 | 11,022,042 |
| ADJUSTED UNRESERVED FUND BALANCE - JUNE 30 | | | 31,832,910 | 20,936,907 | 11,022,042 |

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

| | |
|-----------------------------|--|
| Department Title: | Budget Period: 2017-18 |
| Trust Fund Title: | Department of State |
| Budget Entity: | Federal Grants Trust Fund - Combined |
| LAS/PBS Fund Number: | 45100200/45010200/45200700/45400100/45500300 |
| | 2261 |

| | Balance as of 6/30/2016 | SWFS* Adjustments | Adjusted Balance |
|---|----------------------------|----------------------|---------------------|
| Chief Financial Officer's (CFO) Cash Balance | 740,032 (A) | 133,475 | 873,507 |
| ADD: Other Cash (See Instructions) | 0 (B) | 0 | 0 |
| ADD: Investments | 31,825,382 (C) | 0 | 31,825,382 |
| ADD: Outstanding Accounts Receivable | 1,911 (D) | 0 | 1,911 |
| ADD: _____ | 0 (E) | 0 | 0 |
| Total Cash plus Accounts Receivable | 32,567,325 (F) | 133,475 | 32,700,800 |
| LESS: Allowances for Uncollectibles | 20 (G) | 0 | 20 |
| LESS: "A" Carry Forwards | 547,449 (H) | 0 | 547,449 |
| LESS: "B" Carry Forwards | 130,398 (H) | 0 | 130,398 |
| LESS: Approved "FCO" Certified Forwards | 0 (H) | 0 | 0 |
| LESS: Other Accounts Payable (Nonoperating) | 9,978 (I) | 0 | 9,978 |
| LESS: OCO Adjustment | 0 (J) | 0 | 0 |
| Unreserved Fund Balance, 07/01/2016 | 31,879,480 (K) | 133,475 | 32,012,954 ** |

Notes:

*SWFS = Statewide Financial Statement

** This amount should agree with Line I, Section IV of the Schedule I for the most recent completed fiscal year and Line A for the following year.

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

Budget Period: 2017-18

| | |
|-----------------------------|---------------------------------------|
| Department Title: | Department of State |
| Trust Fund Title: | Federal Grants Trust Fund - Elections |
| Budget Entity: | 45100200 |
| LAS/PBS Fund Number: | 2261 |

| | Balance as of 6/30/2016 | SWFS* Adjustments | Adjusted Balance |
|---|----------------------------|----------------------|----------------------|
| Chief Financial Officer's (CFO) Cash Balance | 90,673 (A) | 133,987 | 224,660 |
| ADD: Other Cash (See Instructions) | 0 (B) | 0 | 0 |
| ADD: Investments | 31,825,382 (C) | 0 | 31,825,382 |
| ADD: Outstanding Accounts Receivable | 1,911 (D) | 0 | 1,911 |
| ADD: _____ | (E) | 0 | 0 |
| Total Cash plus Accounts Receivable | 31,917,966 (F) | 133,987 | 32,051,953 |
| LESS: Allowances for Uncollectibles | 20 (G) | 0 | 20 |
| LESS: "A" Carry Forwards | 208,880 (H) | 0 | 208,880 |
| "B" Carry Forwards | 164 (H) | 0 | 164 |
| Approved "FCO" Certified Forwards | (H) | 0 | 0 |
| LESS: Other Accounts Payable (Non-operating) | 9,978 (I) | 0 | 9,978 |
| LESS: _____ | (J) | 0 | 0 |
| Unreserved Fund Balance, 07/01/2016 | 31,698,923 (K) | 133,987 | 31,832,910 ** |

Notes:

*SWFS = Statewide Financial Statement

** This amount should agree with Line I, Section IV of the Schedule I for the most recent completed fiscal year and Line A for the following year.



FLORIDA DEPARTMENT *of* STATE

Historical Resources Schedule I Series

| | | | | | | | | | | COL A01 | COL A02 | COL A03 | COL A04 |
|---|----------|-----|------|---------|------------|----------|----------|----------|-----------|-------------|-------------|-------------|-------------|
| | | | | | | | | | | ACT PR YR | CURR YR EST | AGY REQUEST | AGY REQ N/R |
| | | | | | | | | | | EXP 2015-16 | EXP 2016-17 | FY 2017-18 | FY 2017-18 |
| STATE, DEPT OF | 45000000 | | | | | | | | | | | | |
| PGM: HISTORICAL RESOURCES | 45200000 | | | | | | | | | | | | |
| <u>HISTORICAL RESOURCES</u> | 45200700 | | | | | | | | | | | | |
| FUND: FEDERAL GRANTS TRUST FUND | | | | | | | | | | 2261 | | | |
| SECTION I: DETAIL OF REVENUES | | | | | | | | | | | | | |
| | REVENUE | CAP | SVC | AUTH | MATCHING % | | | CFDA | | | | | |
| | CODE | | CHG% | ST | I/C | LOC | I/C | NO. | | | | | |
| 05 DOT TRANSFER IN | 001510 | NO | 0.0 | 267.031 | 0.00 | 0.00 | 20.205 | | 120,475 | 240,950 | 240,950 | | |
| 07 NAT'L PARK SERVICE | 000700 | NO | 0.0 | 267.031 | 60.00 | C | 40.00 | C 15.904 | 1,037,337 | 1,031,832 | 1,031,832 | | |
| 10 NAT'L ENDOWMENT F/ARTS | 000700 | NO | 0.0 | 267.031 | 0.00 | 0.00 | 45.025 | | 31,495 | 55,000 | 55,000 | | |
| 30 NATIONAL MARITIME HERITAGE GRANT | 000700 | NO | 0.0 | 267.031 | 0.00 | 100.00 | C 15.925 | | | 52,500 | 52,500 | | |
| 31 STATE FEES | 000100 | YES | 0.0 | 267.031 | 0.00 | 0.00 | | | 10,000 | 10,000 | 10,000 | | |
| TOTAL TO LINE B IN SECTION IV | | | | | | | | | 1,199,307 | 1,390,282 | 1,390,282 | | |
| SECTION II: DETAIL OF NONOPERATING EXPENDITURES | | | | | | | | | | | | | |
| | | | | | OBJECT | TRANSFER | CFDA | | | | | | |
| | | | | | CODE | TO BE | NO. | | | | | | |
| TOTAL TO LINE E IN SECTION IV | | | | | | | | | | | | | |
| SECTION III: ADJUSTMENTS | | | | | | | | | | | | | |
| | | | | | OBJECT | | | | | | | | |
| | | | | | CODE | | | | | | | | |
| 02 SEPTEMBER 2015- CERT FORWARD/REVERSIONS | | | | | 991000 | 2,510 | | | | | | | |
| 03 2016 CF REVERSIONS | | | | | 991000 | 22,603 | | | | | | | |
| 04 ADJ LINE A-PR YR CF "B" ENCUM | | | | | 991000 | 15,040- | | | | | | | |
| TOTAL TO LINE H IN SECTION IV | | | | | | | | | 12,530- | 22,603 | | | |

| | COL A01 ACT PR YR EXP 2015-16 | COL A02 CURR YR EST EXP 2016-17 | COL A03 AGY REQUEST FY 2017-18 | COL A04 AGY REQ N/R FY 2017-18 |
|---------------------------------|-------------------------------------|---------------------------------------|--------------------------------------|--------------------------------------|
| STATE, DEPT OF | 45000000 | | | |
| PGM: HISTORICAL RESOURCES | 45200000 | | | |
| <u>HISTORICAL RESOURCES</u> | 45200700 | | | |
| FUND: FEDERAL GRANTS TRUST FUND | 2261 | | | |

SECTION IV: SUMMARY

| | | | | |
|--|-----|-----------|-----------|-----------|
| UNRESERVED FUND BALANCE - JULY 1 | (A) | 67,826 | 127 | 25,138 |
| ADD: REVENUES (FROM SECTION I) | (B) | 1,199,307 | 1,390,282 | 1,390,282 |
| TOTAL FUNDS AVAILABLE (LINE A + LINE B) | (C) | 1,267,133 | 1,390,409 | 1,415,420 |
| LESS: OPERATING EXPENDITURES | (D) | 1,254,476 | 1,387,874 | 1,391,448 |
| LESS: NONOPERATING EXPENDITURES (SECTION II) | (E) | | | |
| LESS: FIXED CAPITAL OUTLAY (TOTAL ONLY) | (F) | | | |
| UNRESERVED FUND BALANCE - JUNE 30 - BEFORE ADJ | (G) | 12,657 | 2,535 | 23,972 |
| NET ADJUSTMENTS (FROM SECTION III) | (H) | 12,530- | 22,603 | |
| ADJUSTED UNRESERVED FUND BALANCE - JUNE 30 | (I) | 127 | 25,138 | 23,972 |

SCHEDULE IB: DETAIL OF UNRESERVED FUND BALANCE

| | FUNDING SOURCE | | | | |
|--|----------------|-----------------|-----|--------|--------|
| | STATE(S) | RESTRICTED(R) | | | |
| | NONSTATE(N) | UNRESTRICTED(U) | | | |
| 02 NATIONAL PARK SERVICE | N | R | 127 | 25,138 | 23,972 |
| ADJUSTED UNRESERVED FUND BALANCE - JUNE 30 | | | 127 | 25,138 | 23,972 |

| | | COL A01 ACT PR YR EXP 2015-16 | COL A02 CURR YR EST EXP 2016-17 | COL A03 AGY REQUEST FY 2017-18 | COL A04 AGY REQ N/R FY 2017-18 |
|-----------------------------|----------|-------------------------------------|---------------------------------------|--------------------------------------|--------------------------------------|
| STATE, DEPT OF | 45000000 | | | | |
| PGM: HISTORICAL RESOURCES | 45200000 | | | | |
| <u>HISTORICAL RESOURCES</u> | 45200700 | | | | |

FUND: GRANTS AND DONATIONS TF 2339

SECTION I: DETAIL OF REVENUES

| | REVENUE CODE | CAP | SVC CHG% | AUTH ST | MATCHING % I/C LOC I/C | CFDA NO. | |
|-------------------------------|-----------------|-----|-------------|------------|---------------------------|-------------|--------|
| 10 SALE OF SURPLUS PROPERT | 002900 | NO | 8.0 | 216 | 0.00 0.00 | | 11,279 |
| 18 PRIOR YEAR REFUNDS | 001800 | NO | 0.0 | 216 | 0.00 0.00 | | 10,620 |
| 41 VIVA FLORIDA | 001905 | YES | 0.0 | 265 | 0.00 0.00 | | 10,350 |
| 45 PRESV OF ARTIFACTS-NPS | 001904 | NO | 0.0 | 267 | 0.00 0.00 | | 719 |
| 46 REST PENALTY FINE | 001200 | NO | 0.0 | 216.177 | 0.00 0.00 | | 750 |
| 52 BP SHIPWRECK TRAIL GRANT | 001111 | NO | 0.0 | 267 | 0.00 0.00 | | 17,020 |
| TOTAL TO LINE B IN SECTION IV | | | | | | | 50,738 |

SECTION II: DETAIL OF NONOPERATING EXPENDITURES

| | OBJECT CODE | TRANSFER TO BE | CFDA NO. | |
|---|----------------|-------------------|-------------|------------------|
| 13 BE TSFR IN 2339/45010200 | 810000 | 45200700 | | 18,014- |
| 14 BE TSFR IN 2339/45400100 | 810000 | 45200700 | | 2,001- |
| 15 BE TSFR IN 2339/45500300 | 810000 | 45200700 | | 9,460- |
| 51 TRANSFER TO GR- SERVICE CHARGE | 880800 | | | 1,811 |
| 52 BUDGET ENTITY TRANSFER OUT 45500300/2339 | 810000 | 45500300 | | 8,321 4,000,000 |
| 53 BUDGET ENTITY TRANSFER OUT 45400100/2339 | 810000 | 45400100 | | 2,006 |
| 54 BUDGET ENTITY TRANSFER OUT 45010200/2339 | 810000 | 45010200 | | 17,951 |
| TOTAL TO LINE E IN SECTION IV | | | | 30,089 3,970,525 |

SECTION III: ADJUSTMENTS

| | OBJECT CODE | |
|--|----------------|---------|
| 31 AMOUNT APPROPRIATED NOT AWARDED INS CASH | 991000 | 370,052 |
| 32 SWFS ADJ #B4500006 ADJ REL CASH IN ST TRE | 991000 | 20,690 |
| 33 SWFS ADJ #B4500015 RECORD SVC CHG TO GR | 991000 | 94- |

| | | COL A01 ACT PR YR EXP 2015-16 | COL A02 CURR YR EST EXP 2016-17 | COL A03 AGY REQUEST FY 2017-18 | COL A04 AGY REQ N/R FY 2017-18 |
|-------------------------------|----------|-------------------------------------|---------------------------------------|--------------------------------------|--------------------------------------|
| STATE, DEPT OF | 45000000 | | | | |
| PGM: HISTORICAL RESOURCES | 45200000 | | | | |
| <u>HISTORICAL RESOURCES</u> | 45200700 | | | | |
| FUND: GRANTS AND DONATIONS TF | 2339 | | | | |

SECTION III: ADJUSTMENTS

| | OBJECT CODE | | | | |
|--|----------------|--|----------|---------|--|
| 34 SWFS ADJ #C4500012 ADJ FUND REST FED GOVT | 991000 | | 914,597- | | |
| 55 SEPTEMBER 2015 CF REVERSIONS | 991000 | | 40,481 | | |
| TOTAL TO LINE H IN SECTION IV | | | 853,520- | 370,052 | |

SECTION IV: SUMMARY

| | | | | | |
|--|-----|-----------|-----------|--|--|
| UNRESERVED FUND BALANCE - JULY 1 | (A) | 4,470,989 | 3,600,473 | | |
| ADD: REVENUES (FROM SECTION I) | (B) | 50,738 | | | |
| TOTAL FUNDS AVAILABLE (LINE A + LINE B) | (C) | 4,521,727 | 3,600,473 | | |
| LESS: OPERATING EXPENDITURES | (D) | 37,645 | | | |
| LESS: NONOPERATING EXPENDITURES (SECTION II) | (E) | 30,089 | 3,970,525 | | |
| LESS: FIXED CAPITAL OUTLAY (TOTAL ONLY) | (F) | | | | |
| UNRESERVED FUND BALANCE - JUNE 30 - BEFORE ADJ | (G) | 4,453,993 | 370,052- | | |
| NET ADJUSTMENTS (FROM SECTION III) | (H) | 853,520- | 370,052 | | |
| ADJUSTED UNRESERVED FUND BALANCE - JUNE 30 | (I) | 3,600,473 | | | |

SCHEDULE IB: DETAIL OF UNRESERVED FUND BALANCE

| | FUNDING SOURCE | | | | |
|--|----------------|-----------------|-----------|--|--|
| | STATE(S) | RESTRICTED(R) | | | |
| | NONSTATE(N) | UNRESTRICTED(U) | | | |
| 61 TRANSFER IN-DEP-CARL | S | U | 3,600,473 | | |
| ADJUSTED UNRESERVED FUND BALANCE - JUNE 30 | | | 3,600,473 | | |

| | | COL A01 | COL A02 | COL A03 | COL A04 |
|---|------------------------------|-------------|-------------|-------------|-------------------------------|
| | | ACT PR YR | CURR YR EST | AGY REQUEST | AGY REQ N/R |
| | | EXP 2015-16 | EXP 2016-17 | FY 2017-18 | FY 2017-18 |
| STATE, DEPT OF | 45000000 | | | | |
| PGM: HISTORICAL RESOURCES | 45200000 | | | | |
| <u>HISTORICAL RESOURCES</u> | 45200700 | | | | |
| FUND: LAND ACQUISITION TF | 2423 | | | | |
| SECTION I: DETAIL OF REVENUES | | | | | |
| | REVENUE CAP SVC AUTH | | MATCHING % | | CFDA |
| | CODE CHG% ST I/C LOC I/C NO. | | | | |
| 01 UNDERWATER EXPLORATION/SALVAGE | 000100 YES 8.0 | 267 | 0.00 0.00 | | |
| 02 ROYALTIES | 000115 NO 8.0 | 267 | 0.00 0.00 | | |
| 07 TRANSFER IN-DEP LAND MANAGEMENT | 001500 NO 0.0 | 267.031 | 0.00 0.00 | | |
| | | | | 12,903,310 | 9,741,663 9,741,663 |
| TOTAL TO LINE B IN SECTION IV | | | | 12,906,386 | 9,741,663 9,741,663 |
| SECTION II: DETAIL OF NONOPERATING EXPENDITURES | | | | | |
| | | OBJECT | TRANSFER | CFDA | |
| | | CODE | TO BE | NO. | |
| 08 TRANSFER TO GENERAL REVENUE-SERV CHRG | | 880800 | | 45 | |
| 09 BUDGET ENTITY TRANSFER OUT 45500300/2423 | | 810000 | 45500300 | | 1,398,114 1,498,005 1,503,292 |
| 10 BUDGET ENTITY TRANSFER OUT 45010200/2423 | | 810000 | 45010200 | | 54,084 67,733 67,733 |
| 11 5% TRUST FUND RESERVE | | 999000 | | | 487,083 487,083 |
| TOTAL TO LINE E IN SECTION IV | | | | 1,452,243 | 2,052,821 2,058,108 |
| SECTION III: ADJUSTMENTS | | | | | |
| | | OBJECT | | | |
| | | CODE | | | |
| 01 2016 CF REVERSIONS | | 991000 | | | 264,661 |
| 02 SWFS ADJ #B4500016 | | 991000 | | 144- | |
| 03 ROUNDING | | 991000 | | 5 | |
| 04 UNFUNDED BUDGET ITEM | | 991000 | | | 1,998,440 |
| TOTAL TO LINE H IN SECTION IV | | | | 139- | 264,661 1,998,440 |

| | | COL A01 | COL A02 | COL A03 | COL A04 |
|-----------------------------|----------|-------------|-------------|-------------|-------------|
| | | ACT PR YR | CURR YR EST | AGY REQUEST | AGY REQ N/R |
| | | EXP 2015-16 | EXP 2016-17 | FY 2017-18 | FY 2017-18 |
| STATE, DEPT OF | 45000000 | | | | |
| PGM: HISTORICAL RESOURCES | 45200000 | | | | |
| <u>HISTORICAL RESOURCES</u> | 45200700 | | | | |
| FUND: LAND ACQUISITION TF | 2423 | | | | |

SECTION IV: SUMMARY

| | | | | | |
|--|-----|------------|------------|------------|-----------|
| UNRESERVED FUND BALANCE - JULY 1 | (A) | | 546,150 | 800,155 | |
| ADD: REVENUES (FROM SECTION I) | (B) | 12,906,386 | 9,741,663 | 9,741,663 | |
| TOTAL FUNDS AVAILABLE (LINE A + LINE B) | (C) | 12,906,386 | 10,287,813 | 10,541,818 | |
| LESS: OPERATING EXPENDITURES | (D) | 7,626,531 | 7,699,498 | 9,399,100 | 1,648,440 |
| LESS: NONOPERATING EXPENDITURES (SECTION II) | (E) | 1,452,243 | 2,052,821 | 2,058,108 | |
| LESS: FIXED CAPITAL OUTLAY (TOTAL ONLY) | (F) | 3,281,323 | | 350,000 | 350,000 |
| UNRESERVED FUND BALANCE - JUNE 30 - BEFORE ADJ | (G) | 546,289 | 535,494 | 1,265,390- | |
| NET ADJUSTMENTS (FROM SECTION III) | (H) | 139- | 264,661 | 1,998,440 | |
| ADJUSTED UNRESERVED FUND BALANCE - JUNE 30 | (I) | 546,150 | 800,155 | 733,050 | |

SCHEDULE IB: DETAIL OF UNRESERVED FUND BALANCE

| | FUNDING SOURCE | | | | |
|--|----------------|-----------------|---------|---------|---------|
| | STATE(S) | RESTRICTED(R) | | | |
| | NONSTATE(N) | UNRESTRICTED(U) | | | |
| 01 TRANSFER IN DEP LAND MANAGEMENT | S | U | 546,150 | 800,155 | 733,050 |
| ADJUSTED UNRESERVED FUND BALANCE - JUNE 30 | | | 546,150 | 800,155 | 733,050 |

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

| | |
|-----------------------------|--|
| Department Title: | Budget Period: 2017-18 |
| Trust Fund Title: | Department of State |
| Budget Entity: | Federal Grants Trust Fund - Combined |
| LAS/PBS Fund Number: | 45100200/45010200/45200700/45400100/45500300 |
| | 2261 |

| | Balance as of 6/30/2016 | SWFS* Adjustments | Adjusted Balance |
|---|----------------------------|----------------------|---------------------|
| Chief Financial Officer's (CFO) Cash Balance | 740,032 (A) | 133,475 | 873,507 |
| ADD: Other Cash (See Instructions) | 0 (B) | 0 | 0 |
| ADD: Investments | 31,825,382 (C) | 0 | 31,825,382 |
| ADD: Outstanding Accounts Receivable | 1,911 (D) | 0 | 1,911 |
| ADD: _____ | 0 (E) | 0 | 0 |
| Total Cash plus Accounts Receivable | 32,567,325 (F) | 133,475 | 32,700,800 |
| LESS: Allowances for Uncollectibles | 20 (G) | 0 | 20 |
| LESS: "A" Carry Forwards | 547,449 (H) | 0 | 547,449 |
| LESS: "B" Carry Forwards | 130,398 (H) | 0 | 130,398 |
| LESS: Approved "FCO" Certified Forwards | 0 (H) | 0 | 0 |
| LESS: Other Accounts Payable (Nonoperating) | 9,978 (I) | 0 | 9,978 |
| LESS: OCO Adjustment | 0 (J) | 0 | 0 |
| Unreserved Fund Balance, 07/01/2016 | 31,879,480 (K) | 133,475 | 32,012,954 ** |

Notes:

*SWFS = Statewide Financial Statement

** This amount should agree with Line I, Section IV of the Schedule I for the most recent completed fiscal year and Line A for the following year.

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

| | |
|-----------------------------|--|
| Department Title: | Budget Period: 2017-18 |
| Trust Fund Title: | Department of State |
| Budget Entity: | Federal Grants Trust Fund - Historical Resources |
| LAS/PBS Fund Number: | 45200700 |
| | 2261 |

| | Balance as of 6/30/2016 | | SWFS* Adjustments | Adjusted Balance |
|---|----------------------------|------------|----------------------|---------------------|
| Chief Financial Officer's (CFO) Cash Balance | 178,802 | (A) | 0 | 178,802 |
| ADD: Other Cash (See Instructions) | 0 | (B) | 0 | 0 |
| ADD: Investments | 0 | (C) | 0 | 0 |
| ADD: Outstanding Accounts Receivable | 0 | (D) | 0 | 0 |
| ADD: _____ | 0 | (E) | 0 | 0 |
| Total Cash plus Accounts Receivable | 178,802 | (F) | 0 | 178,802 |
| LESS Allowances for Uncollectibles | 0 | (G) | 0 | 0 |
| LESS "A" Carry Forwards | 177,480 | (H) | 0 | 177,480 |
| "B" Carry Forwards | 1,194 | (H) | 0 | 1,194 |
| Approved "FCO" Certified Forwards | 0 | (H) | 0 | 0 |
| LESS: Other Accounts Payable (Non-operating) | 0 | (I) | 0 | 0 |
| LESS: _____ | 0 | (J) | 0 | 0 |
| Unreserved Fund Balance, 07/01/2016 | 127 | (K) | 0 | 127 ** |

Notes:

*SWFS = Statewide Financial Statement

** This amount should agree with Line I, Section IV of the Schedule I for the most recent completed fiscal year and Line A for the following year.

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

| | |
|-----------------------------|--|
| Department Title: | Budget Period: 2017-18 |
| Trust Fund Title: | Department of State |
| Budget Entity: | Grants & Donations Trust Fund - Combined |
| LAS/PBS Fund Number: | 45200700/45010200/45400100/45500300 |
| | 2339 |

| | Balance as of 6/30/2016 | SWFS* Adjustments | Adjusted Balance |
|---|----------------------------|----------------------|---------------------|
| Chief Financial Officer's (CFO) Cash Balance | 4,111,359 (A) | 20,690 | 4,132,049 |
| ADD: Other Cash (See Instructions) | 0 (B) | 0 | 0 |
| ADD: Investments | 0 (C) | 0 | 0 |
| ADD: Outstanding Accounts Receivable | 3,557 (D) | 0 | 3,557 |
| ADD: _____ | 0 (E) | 0 | 0 |
| Total Cash plus Accounts Receivable | 4,114,916 (F) | 20,690 | 4,135,605 |
| LESS: Allowances for Uncollectibles | 5,563 (G) | 0 | 5,563 |
| LESS: "A" Carry Forwards | 0 (H) | 0 | 0 |
| "B" Carry Forwards | 0 (H) | 0 | 0 |
| Approved "FCO" Certified Forwards | 500,000 (H) | 0 | 500,000 |
| LESS: Other Accounts Payable (Non-operating) | 0 (I) | 0 | 0 |
| LESS: Service Charge to General Revenue | 0 (J) | 94 | 94 |
| Unreserved Fund Balance, 07/01/2016 | 3,609,352 (K) | 20,596 | 3,629,948 ** |

Notes:

*SWFS = Statewide Financial Statement

** This amount should agree with Line I, Section IV of the Schedule I for the most recent completed fiscal year and Line A for the following year.

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

| | |
|-----------------------------|--|
| Department Title: | Budget Period: 2017-18 |
| Trust Fund Title: | Department of State |
| Budget Entity: | Grants & Donations Trust Fund - Historical Resources |
| LAS/PBS Fund Number: | 45200700 |
| | 2339 |

| | Balance as of 6/30/2016 | | SWFS* Adjustments | | Adjusted Balance |
|---|----------------------------|-----|----------------------|--|---------------------|
| Chief Financial Officer's (CFO) Cash Balance | 4,111,359 | (A) | 20,690 | | 4,132,049 |
| ADD: Other Cash (See Instructions) | 0 | (B) | 0 | | 0 |
| ADD: Investments | | (C) | 0 | | 0 |
| ADD: Outstanding Accounts Receivable | 3,557 | (D) | 0 | | 3,557 |
| ADD: _____ | | (E) | 0 | | 0 |
| Total Cash plus Accounts Receivable | 4,114,916 | (F) | 20,690 | | 4,135,605 |
| LESS: Allowances for Uncollectibles | 5,563 | (G) | 0 | | 5,563 |
| LESS: "A" Carry Forwards | 0 | (H) | 0 | | 0 |
| "B" Carry Forwards | 0 | (H) | 0 | | 0 |
| Approved "FCO" Certified Forwards | 500,000 | (H) | 0 | | 500,000 |
| LESS: Other Accounts Payable (Non-operating) | | (I) | 0 | | 0 |
| LESS: Service Charge to General Revenue | 0 | (J) | 94 | | 94 |
| Unreserved Fund Balance, 07/01/2016 | 3,609,352 | (K) | 20,596 | | 3,629,948 ** |

Notes:

*SWFS = Statewide Financial Statement

** This amount should agree with Line I, Section IV of the Schedule I for the most recent completed fiscal year and Line A for the following year.

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

Budget Period: 2017-18

| | |
|-----------------------------|--|
| Department Title: | Department of State |
| Trust Fund Title: | Land Acquisition Trust Fund - Combined |
| Budget Entity: | 45200700/45010200/45500300 |
| LAS/PBS Fund Number: | 2423 |

| | Balance as of 6/30/2016 | | SWFS* Adjustments | | Adjusted Balance |
|---|----------------------------|-----|----------------------|--|---------------------|
| Chief Financial Officer's (CFO) Cash Balance | 6,608,978 | (A) | (1,376,860) | | 5,232,118 |
| ADD: Other Cash (See Instructions) | 0 | (B) | 0 | | 0 |
| ADD: Investments | 0 | (C) | 0 | | 0 |
| ADD: Outstanding Accounts Receivable | 0 | (D) | 0 | | 0 |
| ADD: _____ | 0 | (E) | 0 | | 0 |
| Total Cash plus Accounts Receivable | 6,608,978 | (F) | (1,376,860) | | 5,232,118 |
| LESS: Allowances for Uncollectibles | 0 | (G) | 0 | | 0 |
| LESS: "A" Carry Forwards | 1,705,580 | (H) | 0 | | 1,705,580 |
| "B" Carry Forwards | 156,812 | (H) | 0 | | 156,812 |
| Approved "FCO" Certified Forwards | 2,823,432 | (H) | 0 | | 2,823,432 |
| LESS: Other Accounts Payable (Non-operating) | 0 | (I) | 0 | | 0 |
| LESS: Due to General Revenue | 0 | (J) | 144 | | 144 |
| Unreserved Fund Balance, 07/01/2016 | 1,923,155 | (K) | (1,377,004) | | 546,150 ** |

Notes:

*SWFS = Statewide Financial Statement

** This amount should agree with Line I, Section IV of the Schedule I for the most recent completed fiscal year and Line A for the following year.



FLORIDA DEPARTMENT *of* STATE

Library & Information Services Schedule I Series

| | | | | | | | | | | COL A01 | COL A02 | COL A03 | COL A04 |
|---|---|---------------|------|--------|------------|----------|--------|-----------|-----------|-------------|-------------|-------------|-------------|
| | | | | | | | | | | ACT PR YR | CURR YR EST | AGY REQUEST | AGY REQ N/R |
| | | | | | | | | | | EXP 2015-16 | EXP 2016-17 | FY 2017-18 | FY 2017-18 |
| STATE, DEPT OF | 45000000 | | | | | | | | | | | | |
| PGM: LIBRARY/INFO SVCS | 45400000 | | | | | | | | | | | | |
| LIBRARY/ARCHIVES/INFO SVCS | 45400100 | | | | | | | | | | | | |
| FUND: FEDERAL GRANTS TRUST FUND | | | | | | | | | | 2261 | | | |
| SECTION I: DETAIL OF REVENUES | | | | | | | | | | | | | |
| | REVENUE | CAP | SVC | AUTH | MATCHING % | | CFDA | | | | | | |
| | CODE | | CHG% | ST | I/C | LOC | I/C | NO. | | | | | |
| 22 | INSTITUTE OF MUSEUM & LIBRARY SRV | | | | | | | | | | | | |
| | 000700 | NO | 0.0 | 257.12 | 0.00 | 0.00 | 45.310 | 8,107,876 | 8,259,897 | 8,259,897 | | | |
| 23 | INTERST-GRANTS REVENUE-(FEDERAL) | | | | | | | | | | | | |
| | 000504 | NO | 0.0 | 257.12 | 0.00 | 0.00 | | 33 | 100 | 100 | | | |
| TOTAL TO LINE B IN SECTION IV | | | | | | | | | | 8,107,909 | 8,259,997 | 8,259,997 | |
| SECTION II: DETAIL OF NONOPERATING EXPENDITURES | | | | | | | | | | | | | |
| | | | | | OBJECT | TRANSFER | CFDA | | | | | | |
| | | | | | CODE | TO BE | NO. | | | | | | |
| 27 | BUDGET ENTITY TRANSFER OUT | 45010200/2261 | | | 810000 | 45010200 | | 134,246 | 154,428 | 155,102 | | | |
| TOTAL TO LINE E IN SECTION IV | | | | | | | | | | 134,246 | 154,428 | 155,102 | |
| SECTION III: ADJUSTMENTS | | | | | | | | | | | | | |
| | | | | | OBJECT | | | | | | | | |
| | | | | | CODE | | | | | | | | |
| 12 | 2016 CERTIFIED FORWARD REVERSIONS | | | | 991000 | | | | 92,368 | | | | |
| 28 | SEPTEMBER 2015 CF REVERSIONS | | | | 991000 | | | 12,562 | | | | | |
| 29 | ADJ TO LINE A-PY CF ENCUMBRANCES | | | | 991000 | | | 157,349- | | | | | |
| 32 | SWFS #B4500003 ADJ RELEASED CASH STATE TR | | | | 991000 | | | 513- | | | | | |
| 33 | UNFUNDED BUDGET ITEM | | | | 991000 | | | | | 800,000 | | | |
| TOTAL TO LINE H IN SECTION IV | | | | | | | | | | 145,300- | 92,368 | 800,000 | |

| | COL A01 ACT PR YR EXP 2015-16 | COL A02 CURR YR EST EXP 2016-17 | COL A03 AGY REQUEST FY 2017-18 | COL A04 AGY REQ N/R FY 2017-18 |
|---------------------------------|-------------------------------------|---------------------------------------|--------------------------------------|--------------------------------------|
| STATE, DEPT OF | 45000000 | | | |
| PGM: LIBRARY/INFO SVCS | 45400000 | | | |
| LIBRARY/ARCHIVES/INFO SVCS | 45400100 | | | |
| FUND: FEDERAL GRANTS TRUST FUND | 2261 | | | |

SECTION IV: SUMMARY

| | | | | | |
|--|-----|-----------|-----------|-----------|---------|
| UNRESERVED FUND BALANCE - JULY 1 | (A) | 19,552 | 151,989 | 198,625 | |
| ADD: REVENUES (FROM SECTION I) | (B) | 8,107,909 | 8,259,997 | 8,259,997 | |
| TOTAL FUNDS AVAILABLE (LINE A + LINE B) | (C) | 8,127,461 | 8,411,986 | 8,458,622 | |
| LESS: OPERATING EXPENDITURES | (D) | 7,695,926 | 8,151,301 | 8,960,977 | 800,000 |
| LESS: NONOPERATING EXPENDITURES (SECTION II) | (E) | 134,246 | 154,428 | 155,102 | |
| LESS: FIXED CAPITAL OUTLAY (TOTAL ONLY) | (F) | | | | |
| UNRESERVED FUND BALANCE - JUNE 30 - BEFORE ADJ | (G) | 297,289 | 106,257 | 657,457- | |
| NET ADJUSTMENTS (FROM SECTION III) | (H) | 145,300- | 92,368 | 800,000 | |
| ADJUSTED UNRESERVED FUND BALANCE - JUNE 30 | (I) | 151,989 | 198,625 | 142,543 | |

SCHEDULE IB: DETAIL OF UNRESERVED FUND BALANCE

| | FUNDING SOURCE | | | | |
|--|----------------|-----------------|---------|---------|---------|
| | STATE(S) | RESTRICTED(R) | | | |
| | NONSTATE(N) | UNRESTRICTED(U) | | | |
| 02 LIBRARY SERVICES AND TECHNOLOGY ACT | N | R | 151,989 | 198,625 | 142,543 |
| ADJUSTED UNRESERVED FUND BALANCE - JUNE 30 | | | 151,989 | 198,625 | 142,543 |

| | COL A01 | COL A02 | COL A03 | COL A04 |
|--|-------------|-------------|-------------|-------------|
| | ACT PR YR | CURR YR EST | AGY REQUEST | AGY REQ N/R |
| | EXP 2015-16 | EXP 2016-17 | FY 2017-18 | FY 2017-18 |

STATE, DEPT OF 45000000
 PGM: LIBRARY/INFO SVCS 45400000
 LIBRARY/ARCHIVES/INFO SVCS 45400100

FUND: GRANTS AND DONATIONS TF 2339

SECTION I: DETAIL OF REVENUES

| REVENUE CAP SVC AUTH | MATCHING % | CFDA |
|----------------------|----------------|------|
| CODE CHG% | ST I/C LOC I/C | NO. |

TOTAL TO LINE B IN SECTION IV

SECTION II: DETAIL OF NONOPERATING EXPENDITURES

| OBJECT TRANSFER CFDA |
|----------------------|
| CODE TO BE NO. |

01 BUDGET ENTITY TRANSFER IN 45200700/2339 810000 45400100 2,006-
 02 BUDGET ENTITY TRANSFER TO 45200700-2339 810000 45200700 2,001
 03 SERVICE CHARGE TO GENERAL REVENUE 880800 5

TOTAL TO LINE E IN SECTION IV

SECTION III: ADJUSTMENTS

| OBJECT CODE |
|-------------|
|-------------|

TOTAL TO LINE H IN SECTION IV

SECTION IV: SUMMARY

| | | |
|--|-----|--------|
| UNRESERVED FUND BALANCE - JULY 1 | (A) | 2,001 |
| ADD: REVENUES (FROM SECTION I) | (B) | |
| TOTAL FUNDS AVAILABLE (LINE A + LINE B) | (C) | 2,001 |
| LESS: OPERATING EXPENDITURES | (D) | |
| LESS: NONOPERATING EXPENDITURES (SECTION II) | (E) | 2,001- |
| LESS: FIXED CAPITAL OUTLAY (TOTAL ONLY) | (F) | 2,001 |
| UNRESERVED FUND BALANCE - JUNE 30 - BEFORE ADJ | (G) | 2,001 |
| NET ADJUSTMENTS (FROM SECTION III) | (H) | |
| ADJUSTED UNRESERVED FUND BALANCE - JUNE 30 | (I) | 2,001 |

| | | COL A01 | COL A02 | COL A03 | COL A04 |
|-----------------------------------|----------|-------------|-------------|-------------|-------------|
| | | ACT PR YR | CURR YR EST | AGY REQUEST | AGY REQ N/R |
| | | EXP 2015-16 | EXP 2016-17 | FY 2017-18 | FY 2017-18 |
| STATE, DEPT OF | 45000000 | | | | |
| PGM: LIBRARY/INFO SVCS | 45400000 | | | | |
| <u>LIBRARY/ARCHIVES/INFO SVCS</u> | 45400100 | | | | |
| FUND: GRANTS AND DONATIONS TF | 2339 | | | | |

SCHEDULE IB: DETAIL OF UNRESERVED FUND BALANCE

| | FUNDING SOURCE | | |
|--|----------------|-----------------|-------|
| | STATE(S) | RESTRICTED(R) | |
| | NONSTATE(N) | UNRESTRICTED(U) | |
| 61 TRANSFER IN-DEP-CARL | N | U | 2,001 |
| ADJUSTED UNRESERVED FUND BALANCE - JUNE 30 | | | 2,001 |

| | | | | | | | | | | COL A01 | COL A02 | COL A03 | COL A04 |
|---|---------------|-----|------|---------|------------|------|-----|------|-----------|-------------|-------------|-------------|-------------|
| | | | | | | | | | | ACT PR YR | CURR YR EST | AGY REQUEST | AGY REQ N/R |
| | | | | | | | | | | EXP 2015-16 | EXP 2016-17 | FY 2017-18 | FY 2017-18 |
| STATE, DEPT OF | 45000000 | | | | | | | | | | | | |
| PGM: LIBRARY/INFO SVCS | 45400000 | | | | | | | | | | | | |
| LIBRARY/ARCHIVES/INFO SVCS | 45400100 | | | | | | | | | | | | |
| FUND: RECORDS MANAGEMENT TF | 2572 | | | | | | | | | | | | |
| SECTION I: DETAIL OF REVENUES | | | | | | | | | | | | | |
| | REVENUE | CAP | SVC | AUTH | MATCHING % | | | CFDA | | | | | |
| | CODE | | CHG% | ST | I/C | LOC | I/C | NO. | | | | | |
| 28 PENALTIES-NSF | 001202 | NO | 0.0 | 257.375 | 0.00 | 0.00 | | | 46,823 | 46,823 | | | |
| 41 ADV FL ADM REGISTER-STA | 001903 | NO | 0.0 | 120.55 | 0.00 | 0.00 | | | 478,807 | 478,807 | 478,807 | | |
| 42 ADV FL ADM REGISTER-NS | 001905 | YES | 8.0 | 120.55 | 0.00 | 0.00 | | | 87,845 | 87,845 | 87,845 | | |
| 43 MICRO/ARCHIVAL STOR-STA | 001905 | YES | 0.0 | 257 | 0.00 | 0.00 | | | 751,071 | 748,316 | 748,316 | | |
| 44 MICRO/ARCHIVAL STOR-NS | 001905 | YES | 8.0 | 257 | 0.00 | 0.00 | | | 272,207 | 118,334 | 118,334 | | |
| 45 CERT/COPIES/ADM REG-STA | 001903 | NO | 0.0 | 120.55 | 0.00 | 0.00 | | | 188 | | | | |
| 46 CERT/COPIES/AD REG-NS | 001904 | NO | 8.0 | 257 | 0.00 | 0.00 | | | 5,400 | 108,682 | 108,682 | | |
| 47 RECYCLING/REC MGMT-STA | 001903 | NO | 0.0 | 257 | 0.00 | 0.00 | | | 1,957 | 3,261 | 3,261 | | |
| 49 ROYALTIES/ADMIN CODE | 000115 | NO | 8.0 | 120.55 | 0.00 | 0.00 | | | 84,230 | 84,230 | 84,230 | | |
| 50 FEES | 000100 | YES | 0.0 | 257 | 0.00 | 0.00 | | | 15 | | | | |
| TOTAL TO LINE B IN SECTION IV | | | | | | | | | 1,681,720 | 1,676,298 | 1,676,298 | | |
| SECTION II: DETAIL OF NONOPERATING EXPENDITURES | | | | | | | | | | | | | |
| | | | | OBJECT | TRANSFER | CFDA | | | | | | | |
| | | | | CODE | TO BE | NO. | | | | | | | |
| 18 SERVICE CHARGE TO GENERAL REVENUE | | | | 880800 | | | | | 25,443 | 25,443 | 25,443 | | |
| 19 REFUND OF STATE REVENUES | | | | 860000 | | | | | 11,838 | | | | |
| 20 BUDGET ENTITY TRANSFER OUT | 45010200/2572 | | | 810000 | 45010200 | | | | 86,108 | 86,965 | 87,449 | | |
| 22 REFUND OF NONSTATE REVENUES | | | | 860000 | | | | | 720 | | | | |
| TOTAL TO LINE E IN SECTION IV | | | | | | | | | 124,109 | 112,408 | 112,892 | | |

| | | COL A01 ACT PR YR EXP 2015-16 | COL A02 CURR YR EST EXP 2016-17 | COL A03 AGY REQUEST FY 2017-18 | COL A04 AGY REQ N/R FY 2017-18 |
|--|----------------|-------------------------------------|---------------------------------------|--------------------------------------|--------------------------------------|
| STATE, DEPT OF | 45000000 | | | | |
| PGM: LIBRARY/INFO SVCS | 45400000 | | | | |
| LIBRARY/ARCHIVES/INFO SVCS | 45400100 | | | | |
| FUND: RECORDS MANAGEMENT TF | 2572 | | | | |
| SECTION III: ADJUSTMENTS | | | | | |
| | OBJECT CODE | | | | |
| 01 SEPTEMBER 2016-CERT FORWARD/REVERSIONS | 991000 | | 400 | | |
| 02 SWFS #B4500000-COMPENSATED ABSENCES LIAB | 991000 | 22,773 | | | |
| 10 ADJ LINE A-PRIOR YR CF "B" ENCUM | 991000 | 32,840- | | | |
| 19 ADJ LINE A-PRIOR YR ACCT PAYABLES-NOT CER | 991000 | 5,712 | | | |
| 55 SWFS ADJ#B4500009 ADJ REL CASH STATE TREA | 991000 | 88,140- | | | |
| 56 SWFS ADJ#B4500018 ADJ SVC CHG TO GR | 991000 | 10,139- | | | |
| TOTAL TO LINE H IN SECTION IV | | 102,634- | 400 | | |

SECTION IV: SUMMARY

| | | | | |
|--|-----|-----------|-----------|-----------|
| UNRESERVED FUND BALANCE - JULY 1 | (A) | 1,676,551 | 1,459,821 | 1,185,573 |
| ADD: REVENUES (FROM SECTION I) | (B) | 1,681,720 | 1,676,298 | 1,676,298 |
| TOTAL FUNDS AVAILABLE (LINE A + LINE B) | (C) | 3,358,271 | 3,136,119 | 2,861,871 |
| LESS: OPERATING EXPENDITURES | (D) | 1,671,707 | 1,838,538 | 1,836,407 |
| LESS: NONOPERATING EXPENDITURES (SECTION II) | (E) | 124,109 | 112,408 | 112,892 |
| LESS: FIXED CAPITAL OUTLAY (TOTAL ONLY) | (F) | | | |
| UNRESERVED FUND BALANCE - JUNE 30 - BEFORE ADJ | (G) | 1,562,455 | 1,185,173 | 912,572 |
| NET ADJUSTMENTS (FROM SECTION III) | (H) | 102,634- | 400 | |
| ADJUSTED UNRESERVED FUND BALANCE - JUNE 30 | (I) | 1,459,821 | 1,185,573 | 912,572 |

SCHEDULE IB: DETAIL OF UNRESERVED FUND BALANCE

| | FUNDING SOURCE | | | |
|--|----------------|-----------------|-----------|-------------------|
| | STATE(S) | RESTRICTED(R) | | |
| | NONSTATE(N) | UNRESTRICTED(U) | | |
| 58 ADMINISTRATIVE REGISTER/ARCHIVES | S | R | 1,459,821 | 1,185,573 912,572 |
| ADJUSTED UNRESERVED FUND BALANCE - JUNE 30 | | | 1,459,821 | 1,185,573 912,572 |

SCHEDULE 1A: DETAIL OF FEES AND RELATED PROGRAM COSTS

Department: 45 State **Budget Period:** **2017-18**
Program: 0309.00.00.00 Educational Support
Fund: 2572 Records Mgmt Trust Fund

Specific Authority: Chapters 120.55 and 257.375, F.S.
Purpose of Fees Collected: Funds deposited in the Records Management Trust Fund shall be used to support programs of State Archives, Records and Info Management and Administrative Code/Register/Laws.

Type of Fee or Program: (Check **ONE** Box and answer questions as indicated.)

| | |
|-------------------------------------|---|
| <input type="checkbox"/> | Regulatory services or oversight to businesses or professions. (Complete Sections I, II, and III and attach Examination of Regulatory Fees Form - Part I and II.) |
| <input checked="" type="checkbox"/> | Non-regulatory fees authorized to cover full cost of conducting a specific program or service. (Complete Sections I, II, and III only.) |

| <u>SECTION I - FEE COLLECTION</u> | ACTUAL | ESTIMATED | REQUEST |
|---|---------------------|-------------------|-------------------|
| | FY 2015 - 16 | FY 2016-17 | FY 2017-18 |
| <u>Receipts:</u> | | | |
| <u>Records/Microfilm/Media Storage</u> | 1,022,641 | 916,734 | 916,734 |
| <u>Advertising/Fla Administrative Register</u> | 553,336 | 675,334 | 675,334 |
| <u>Cert Copies/Royalties/Recycling/Misc</u> | 89,848 | 84,230 | 84,230 |
| <u>Uncumbered Cash</u> | 15,894 | | |
| Total Fee Collection to Line (A) - Section | 1,681,719 | 1,676,298 | 1,676,298 |

| <u>SECTION II - FULL COSTS</u> | | | |
|---|------------------|------------------|------------------|
| <u>Direct Costs:</u> | | | |
| <u>Salaries and Benefits</u> | 1,074,333 | 995,314 | 995,314 |
| <u>Other Personal Services</u> | 132,939 | 64,038 | 64,038 |
| <u>Expenses</u> | 263,066 | 370,409 | 370,409 |
| <u>Operating Capital Outlay</u> | 3,036 | 9,740 | 9,740 |
| <u>Contracted Services</u> | 244,768 | 180,586 | 180,586 |
| <u>Lease/Purchase/Equipment</u> | 2,715 | 3,724 | 3,724 |
| <u>TR/DMS/HR Svcs/ STW Contract</u> | 7,850 | 7,697 | 7,697 |
| <u>Indirect Costs Charged to Trust Fund</u> | 162,585 | 161,000 | 161,000 |
| Total Full Costs to Line (B) - Section III | 1,891,292 | 1,792,508 | 1,792,508 |

Basis Used: I. Estimated is average of last 3 fiscal year's collected amounts.
II. Estimated is CY Appropriated amounts less FY15-16 Reversions.

| <u>SECTION III - SUMMARY</u> | | | |
|-------------------------------------|------------|------------------|------------------|
| TOTAL SECTION I | (A) | 1,681,719 | 1,676,298 |
| TOTAL SECTION II | (B) | 1,891,292 | 1,792,508 |
| TOTAL - Surplus/Deficit | (C) | (209,573) | (116,210) |

EXPLANATION of LINE C:
III. Deficit is representative of lag time between collections of billed amounts.

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

| | |
|-----------------------------|--|
| Department Title: | Budget Period: 2017-18 |
| Trust Fund Title: | Department of State |
| Budget Entity: | Federal Grants Trust Fund - Combined |
| LAS/PBS Fund Number: | 45100200/45010200/45200700/45400100/45500300 |
| | 2261 |

| | Balance as of 6/30/2016 | SWFS* Adjustments | Adjusted Balance |
|---|----------------------------|----------------------|---------------------|
| Chief Financial Officer's (CFO) Cash Balance | 740,032 (A) | 133,475 | 873,507 |
| ADD: Other Cash (See Instructions) | 0 (B) | 0 | 0 |
| ADD: Investments | 31,825,382 (C) | 0 | 31,825,382 |
| ADD: Outstanding Accounts Receivable | 1,911 (D) | 0 | 1,911 |
| ADD: _____ | 0 (E) | 0 | 0 |
| Total Cash plus Accounts Receivable | 32,567,325 (F) | 133,475 | 32,700,800 |
| LESS: Allowances for Uncollectibles | 20 (G) | 0 | 20 |
| LESS: "A" Carry Forwards | 547,449 (H) | 0 | 547,449 |
| LESS: "B" Carry Forwards | 130,398 (H) | 0 | 130,398 |
| LESS: Approved "FCO" Certified Forwards | 0 (H) | 0 | 0 |
| LESS: Other Accounts Payable (Nonoperating) | 9,978 (I) | 0 | 9,978 |
| LESS: OCO Adjustment | 0 (J) | 0 | 0 |
| Unreserved Fund Balance, 07/01/2016 | 31,879,480 (K) | 133,475 | 32,012,954 ** |

Notes:

*SWFS = Statewide Financial Statement

** This amount should agree with Line I, Section IV of the Schedule I for the most recent completed fiscal year and Line A for the following year.

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

| | |
|-----------------------------|--|
| Department Title: | Budget Period: 2017-18 |
| Trust Fund Title: | Department of State |
| Budget Entity: | Federal Grants Trust Fund - Library Services |
| LAS/PBS Fund Number: | 45400100 |
| | 2261 |

| | Balance as of 6/30/2016 | | SWFS* Adjustments | | Adjusted Balance |
|---|----------------------------|------------|----------------------|--|---------------------|
| Chief Financial Officer's (CFO) Cash Balance | 434,721 | (A) | (513) | | 434,208 |
| ADD: Other Cash (See Instructions) | 0 | (B) | 0 | | 0 |
| ADD: Investments | 0 | (C) | 0 | | 0 |
| ADD: Outstanding Accounts Receivable | 0 | (D) | 0 | | 0 |
| ADD: _____ | 0 | (E) | 0 | | 0 |
| Total Cash plus Accounts Receivable | 434,721 | (F) | (513) | | 434,208 |
| LESS Allowances for Uncollectibles | 0 | (G) | 0 | | 0 |
| LESS "A" Carry Forwards | 157,338 | (H) | 0 | | 157,338 |
| "B" Carry Forwards | 124,880 | (H) | 0 | | 124,880 |
| Approved "FCO" Certified Forwards | 0 | (H) | 0 | | 0 |
| LESS: Other Accounts Payable (Non-operating) | 0 | (I) | 0 | | 0 |
| LESS: _____ | 0 | (J) | 0 | | 0 |
| Unreserved Fund Balance, 07/01/2016 | 152,502 | (K) | (513) | | 151,989 ** |

Notes:

*SWFS = Statewide Financial Statement

** This amount should agree with Line I, Section IV of the Schedule I for the most recent completed fiscal year and Line A for the following year.

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

| | |
|-----------------------------|--|
| Department Title: | Budget Period: 2017-18 |
| Trust Fund Title: | Department of State |
| Budget Entity: | Grants & Donations Trust Fund - Combined |
| LAS/PBS Fund Number: | 45200700/45010200/45400100/45500300 |
| | 2339 |

| | Balance as of 6/30/2016 | SWFS* Adjustments | Adjusted Balance |
|---|----------------------------|----------------------|---------------------|
| Chief Financial Officer's (CFO) Cash Balance | 4,111,359 (A) | 20,690 | 4,132,049 |
| ADD: Other Cash (See Instructions) | 0 (B) | 0 | 0 |
| ADD: Investments | 0 (C) | 0 | 0 |
| ADD: Outstanding Accounts Receivable | 3,557 (D) | 0 | 3,557 |
| ADD: _____ | 0 (E) | 0 | 0 |
| Total Cash plus Accounts Receivable | 4,114,916 (F) | 20,690 | 4,135,605 |
| LESS: Allowances for Uncollectibles | 5,563 (G) | 0 | 5,563 |
| LESS: "A" Carry Forwards | 0 (H) | 0 | 0 |
| "B" Carry Forwards | 0 (H) | 0 | 0 |
| Approved "FCO" Certified Forwards | 500,000 (H) | 0 | 500,000 |
| LESS: Other Accounts Payable (Non-operating) | 0 (I) | 0 | 0 |
| LESS: Service Charge to General Revenue | 0 (J) | 94 | 94 |
| Unreserved Fund Balance, 07/01/2016 | 3,609,352 (K) | 20,596 | 3,629,948 ** |

Notes:

*SWFS = Statewide Financial Statement

** This amount should agree with Line I, Section IV of the Schedule I for the most recent completed fiscal year and Line A for the following year.

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

| | |
|-----------------------------|--|
| Department Title: | Budget Period: 2017-18 |
| Trust Fund Title: | Department of State |
| Budget Entity: | Records Management Trust Fund - Library Services |
| LAS/PBS Fund Number: | 45400100/45010200 |
| | 2572 |

| | Balance as of 6/30/2016 | | SWFS* Adjustments | Adjusted Balance |
|---|----------------------------|------------|----------------------|---------------------|
| Chief Financial Officer's (CFO) Cash Balance | 1,487,126 | (A) | (88,140) | 1,398,986 |
| ADD: Other Cash (See Instructions) | 0 | (B) | 0 | 0 |
| ADD: Investments | 0 | (C) | 0 | 0 |
| ADD: Outstanding Accounts Receivable | 125,486 | (D) | 0 | 125,486 |
| ADD: _____ | 0 | (E) | 0 | 0 |
| Total Cash plus Accounts Receivable | 1,612,612 | (F) | (88,140) | 1,524,471 |
| LESS Allowances for Uncollectibles | 0 | (G) | 0 | 0 |
| LESS "A" Carry Forwards | 21,672 | (H) | 0 | 21,672 |
| "B" Carry Forwards | 32,840 | (H) | 0 | 32,840 |
| Approved "FCO" Certified Forwards | 0 | (H) | 0 | 0 |
| LESS: Other Accounts Payable (Non-Operating) | 0 | (I) | 0 | 0 |
| LESS: Service Charge to General Revenue | 0 | (J) | 10,139 | 10,139 |
| Unreserved Fund Balance, 07/01/2016 | 1,558,100 | (K) | (98,279) | 1,459,821 ** |

Notes:

*SWFS = Statewide Financial Statement

** This amount should agree with Line I, Section IV of the Schedule I for the most recent completed fiscal year and Line A for the following year.



FLORIDA DEPARTMENT *of* STATE

Cultural Affairs Schedule I Series

| | | | | | | | | | | COL A01 | COL A02 | COL A03 | COL A04 |
|---|----------|----------|------|---------|------------|-----|-------|-----|--------|-------------|-------------|-------------|-------------|
| | | | | | | | | | | ACT PR YR | CURR YR EST | AGY REQUEST | AGY REQ N/R |
| | | | | | | | | | | EXP 2015-16 | EXP 2016-17 | FY 2017-18 | FY 2017-18 |
| STATE, DEPT OF | 45000000 | | | | | | | | | | | | |
| PGM: CULTURAL AFFAIRS | 45500000 | | | | | | | | | | | | |
| CULTURAL AFFAIRS | 45500300 | | | | | | | | | | | | |
| FUND: FEDERAL GRANTS TRUST FUND | | | | | | | | | | 2261 | | | |
| SECTION I: DETAIL OF REVENUES | | | | | | | | | | | | | |
| | REVENUE | CAP | SVC | AUTH | MATCHING % | | CFDA | | | | | | |
| | CODE | | CHG% | ST | I/C | LOC | I/C | NO. | | | | | |
| 11 NAT'L ENDOWMENT FOR THE ARTS | 000700 | NO | 0.0 | 265.606 | 25.00 | C | 25.00 | C | 45.025 | 781,194 | 810,520 | 810,520 | |
| TOTAL TO LINE B IN SECTION IV | | | | | | | | | | 781,194 | 810,520 | 810,520 | |
| SECTION II: DETAIL OF NONOPERATING EXPENDITURES | | | | | | | | | | | | | |
| | OBJECT | TRANSFER | CFDA | | | | | | | | | | |
| | CODE | TO | BE | NO. | | | | | | | | | |
| TOTAL TO LINE E IN SECTION IV | | | | | | | | | | | | | |
| SECTION III: ADJUSTMENTS | | | | | | | | | | | | | |
| | OBJECT | | | | | | | | | | | | |
| | CODE | | | | | | | | | | | | |
| 01 SEPTEMBER 2015- CERT FORWARD/ REVERSIONS | 991000 | | | | | | | | | 4,398 | | | |
| 03 ADJ TO LINE A-PRIOR YR CF "B" ENCUMBRANCE | 991000 | | | | | | | | | 4,148- | | | |
| 13 ROUNDING | 991000 | | | | | | | | | 1- | | | |
| TOTAL TO LINE H IN SECTION IV | | | | | | | | | | 249 | | | |
| SECTION IV: SUMMARY | | | | | | | | | | | | | |
| UNRESERVED FUND BALANCE - JULY 1 | (A) | | | | | | | | | 4,909 | 27,927 | 112,046 | |
| ADD: REVENUES (FROM SECTION I) | (B) | | | | | | | | | 781,194 | 810,520 | 810,520 | |
| TOTAL FUNDS AVAILABLE (LINE A + LINE B) | (C) | | | | | | | | | 786,103 | 838,447 | 922,566 | |
| LESS: OPERATING EXPENDITURES | (D) | | | | | | | | | 758,425 | 726,401 | 729,679 | |
| LESS: NONOPERATING EXPENDITURES (SECTION II) | (E) | | | | | | | | | | | | |
| LESS: FIXED CAPITAL OUTLAY (TOTAL ONLY) | (F) | | | | | | | | | | | | |
| UNRESERVED FUND BALANCE - JUNE 30 - BEFORE ADJ | (G) | | | | | | | | | 27,678 | 112,046 | 192,887 | |
| NET ADJUSTMENTS (FROM SECTION III) | (H) | | | | | | | | | 249 | | | |
| ADJUSTED UNRESERVED FUND BALANCE - JUNE 30 | (I) | | | | | | | | | 27,927 | 112,046 | 192,887 | |

| | | COL A01 | COL A02 | COL A03 | COL A04 |
|---------------------------------|----------|-------------|-------------|-------------|-------------|
| | | ACT PR YR | CURR YR EST | AGY REQUEST | AGY REQ N/R |
| | | EXP 2015-16 | EXP 2016-17 | FY 2017-18 | FY 2017-18 |
| STATE, DEPT OF | 45000000 | | | | |
| PGM: CULTURAL AFFAIRS | 45500000 | | | | |
| <u>CULTURAL AFFAIRS</u> | 45500300 | | | | |
| FUND: FEDERAL GRANTS TRUST FUND | 2261 | | | | |

SCHEDULE IB: DETAIL OF UNRESERVED FUND BALANCE

| | FUNDING SOURCE | | | | |
|--|----------------|-----------------|--------|---------|---------|
| | STATE(S) | RESTRICTED(R) | | | |
| | NONSTATE(N) | UNRESTRICTED(U) | | | |
| 14 NATIONAL ENDOWMENT FOR THE ARTS | N | R | 27,927 | 112,046 | 192,887 |
| ADJUSTED UNRESERVED FUND BALANCE - JUNE 30 | | | 27,927 | 112,046 | 192,887 |

| | | COL A01 | COL A02 | COL A03 | COL A04 |
|---|------------------------------|-------------|-------------|-------------|-------------------|
| | | ACT PR YR | CURR YR EST | AGY REQUEST | AGY REQ N/R |
| | | EXP 2015-16 | EXP 2016-17 | FY 2017-18 | FY 2017-18 |
| STATE, DEPT OF | 45000000 | | | | |
| PGM: CULTURAL AFFAIRS | 45500000 | | | | |
| CULTURAL AFFAIRS | 45500300 | | | | |
| FUND: GRANTS AND DONATIONS TF | 2339 | | | | |
| SECTION I: DETAIL OF REVENUES | | | | | |
| | REVENUE CAP SVC AUTH | | MATCHING % | | CFDA |
| | CODE CHG% ST I/C LOC I/C NO. | | | | |
| TOTAL TO LINE B IN SECTION IV | | | | | |
| SECTION II: DETAIL OF NONOPERATING EXPENDITURES | | | | | |
| | | OBJECT | TRANSFER | CFDA | |
| | | CODE | TO BE | NO. | |
| 01 BUDGET ENTITY TRANSFER IN 45200700/2339 | | 810000 | 45500300 | | 8,321- 4,000,000- |
| 08 BUDGET ENTITY TRANSFER TO 45200700/2339 | | 810000 | 45200700 | | 9,460 |
| TOTAL TO LINE E IN SECTION IV | | | | | |
| SECTION III: ADJUSTMENTS | | | | | |
| | | OBJECT | | | |
| | | CODE | | | |
| 02 FCO PY APPROPRIATION | | 991000 | | | 500,000 |
| 03 SEPTEMBER 2015 REVERSIONS | | 991000 | | | 1,139 |
| TOTAL TO LINE H IN SECTION IV | | | | | |
| SECTION IV: SUMMARY | | | | | |
| UNRESERVED FUND BALANCE - JULY 1 | (A) | | | | 9,460 |
| ADD: REVENUES (FROM SECTION I) | (B) | | | | |
| TOTAL FUNDS AVAILABLE (LINE A + LINE B) | (C) | | | | 9,460 |
| LESS: OPERATING EXPENDITURES | (D) | | | | 4,000,000 |
| LESS: NONOPERATING EXPENDITURES (SECTION II) | (E) | | | 8,321- | 3,990,540- |
| LESS: FIXED CAPITAL OUTLAY (TOTAL ONLY) | (F) | | | 500,000 | |
| UNRESERVED FUND BALANCE - JUNE 30 - BEFORE ADJ | (G) | | | 491,679- | |
| NET ADJUSTMENTS (FROM SECTION III) | (H) | | | 501,139 | |
| ADJUSTED UNRESERVED FUND BALANCE - JUNE 30 | (I) | | | 9,460 | |

| | | COL A01 | COL A02 | COL A03 | COL A04 |
|-------------------------------|----------|-------------|-------------|-------------|-------------|
| | | ACT PR YR | CURR YR EST | AGY REQUEST | AGY REQ N/R |
| | | EXP 2015-16 | EXP 2016-17 | FY 2017-18 | FY 2017-18 |
| STATE, DEPT OF | 45000000 | | | | |
| PGM: CULTURAL AFFAIRS | 45500000 | | | | |
| <u>CULTURAL AFFAIRS</u> | 45500300 | | | | |
| FUND: GRANTS AND DONATIONS TF | 2339 | | | | |

SCHEDULE IB: DETAIL OF UNRESERVED FUND BALANCE

| | FUNDING SOURCE | | |
|--|----------------|-----------------|-------|
| | STATE(S) | RESTRICTED(R) | |
| | NONSTATE(N) | UNRESTRICTED(U) | |
| 01 GRANTS- CULTURAL FACILITIES | S | U | 9,460 |
| ADJUSTED UNRESERVED FUND BALANCE - JUNE 30 | | | 9,460 |

| | | COL A01 | COL A02 | COL A03 | COL A04 |
|---|----------------------|-------------|-------------|-------------|-----------------------|
| | | ACT PR YR | CURR YR EST | AGY REQUEST | AGY REQ N/R |
| | | EXP 2015-16 | EXP 2016-17 | FY 2017-18 | FY 2017-18 |
| STATE, DEPT OF | 45000000 | | | | |
| PGM: CULTURAL AFFAIRS | 45500000 | | | | |
| <u>CULTURAL AFFAIRS</u> | 45500300 | | | | |
| FUND: LAND ACQUISITION TF | 2423 | | | | |
| SECTION I: DETAIL OF REVENUES | | | | | |
| | REVENUE CAP SVC AUTH | | MATCHING % | | CFDA |
| | CODE CHG% | ST | I/C LOC I/C | | NO. |
| ----- | | | | | |
| TOTAL TO LINE B IN SECTION IV | | | | | |
| ===== | | | | | |
| SECTION II: DETAIL OF NONOPERATING EXPENDITURES | | | | | |
| | | OBJECT | TRANSFER | | CFDA |
| | | CODE | TO BE | | NO. |
| 05 BUDGET ENTITY TRANSFER IN 45200700/2339 | | 810000 | 45500300 | 1,398,114- | 1,498,005- 1,503,292- |
| ----- | | | | | |
| TOTAL TO LINE E IN SECTION IV | | | | | |
| ===== | | | | | |
| SECTION III: ADJUSTMENTS | | | | | |
| | | OBJECT | | | |
| | | CODE | | | |
| 01 SEPTEMBER 2016 CF REVERSIONS | | 991000 | | 7,217 | |
| ----- | | | | | |
| TOTAL TO LINE H IN SECTION IV | | | | | |
| ===== | | | | | |
| SECTION IV: SUMMARY | | | | | |
| UNRESERVED FUND BALANCE - JULY 1 | (A) | | | | 7,217 |
| ADD: REVENUES (FROM SECTION I) | (B) | | | | |
| TOTAL FUNDS AVAILABLE (LINE A + LINE B) | (C) | | | | 7,217 |
| LESS: OPERATING EXPENDITURES | (D) | 1,398,114 | 1,498,005 | 1,503,292 | |
| LESS: NONOPERATING EXPENDITURES (SECTION II) | (E) | 1,398,114- | 1,498,005- | 1,503,292- | |
| LESS: FIXED CAPITAL OUTLAY (TOTAL ONLY) | (F) | | | | |
| UNRESERVED FUND BALANCE - JUNE 30 - BEFORE ADJ | (G) | | | | 7,217 |
| NET ADJUSTMENTS (FROM SECTION III) | (H) | | | 7,217 | |
| ADJUSTED UNRESERVED FUND BALANCE - JUNE 30 | (I) | | | 7,217 | 7,217 |

| | | COL A01 | COL A02 | COL A03 | COL A04 |
|---------------------------|----------|-------------|-------------|-------------|-------------|
| | | ACT PR YR | CURR YR EST | AGY REQUEST | AGY REQ N/R |
| | | EXP 2015-16 | EXP 2016-17 | FY 2017-18 | FY 2017-18 |
| STATE, DEPT OF | 45000000 | | | | |
| PGM: CULTURAL AFFAIRS | 45500000 | | | | |
| <u>CULTURAL AFFAIRS</u> | 45500300 | | | | |
| FUND: LAND ACQUISITION TF | 2423 | | | | |

SCHEDULE IB: DETAIL OF UNRESERVED FUND BALANCE

| | FUNDING SOURCE | | | |
|--|----------------|-----------------|-------|-------|
| | STATE(S) | RESTRICTED(R) | | |
| | NONSTATE(N) | UNRESTRICTED(U) | | |
| 01 LAND ACQUISITION TRUST FUND-DEP | S | U | 7,217 | 7,217 |
| ADJUSTED UNRESERVED FUND BALANCE - JUNE 30 | | | 7,217 | 7,217 |

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

| | |
|-----------------------------|--|
| Department Title: | Budget Period: 2017-18 |
| Trust Fund Title: | Department of State |
| Budget Entity: | Federal Grants Trust Fund - Combined |
| LAS/PBS Fund Number: | 45100200/45010200/45200700/45400100/45500300 |
| | 2261 |

| | Balance as of 6/30/2016 | SWFS* Adjustments | Adjusted Balance |
|---|----------------------------|----------------------|---------------------|
| Chief Financial Officer's (CFO) Cash Balance | 740,032 (A) | 133,475 | 873,507 |
| ADD: Other Cash (See Instructions) | 0 (B) | 0 | 0 |
| ADD: Investments | 31,825,382 (C) | 0 | 31,825,382 |
| ADD: Outstanding Accounts Receivable | 1,911 (D) | 0 | 1,911 |
| ADD: _____ | 0 (E) | 0 | 0 |
| Total Cash plus Accounts Receivable | 32,567,325 (F) | 133,475 | 32,700,800 |
| LESS: Allowances for Uncollectibles | 20 (G) | 0 | 20 |
| LESS: "A" Carry Forwards | 547,449 (H) | 0 | 547,449 |
| LESS: "B" Carry Forwards | 130,398 (H) | 0 | 130,398 |
| LESS: Approved "FCO" Certified Forwards | 0 (H) | 0 | 0 |
| LESS: Other Accounts Payable (Nonoperating) | 9,978 (I) | 0 | 9,978 |
| LESS: OCO Adjustment | 0 (J) | 0 | 0 |
| Unreserved Fund Balance, 07/01/2016 | 31,879,480 (K) | 133,475 | 32,012,954 ** |

Notes:

*SWFS = Statewide Financial Statement

** This amount should agree with Line I, Section IV of the Schedule I for the most recent completed fiscal year and Line A for the following year.

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

| | |
|-----------------------------|--|
| Department Title: | Budget Period: 2017-18 |
| Trust Fund Title: | Department of State |
| Budget Entity: | Federal Grants Trust Fund - Cultural Affairs |
| LAS/PBS Fund Number: | 45500300 |
| | 2261 |

| | Balance as of 6/30/2016 | SWFS* Adjustments | Adjusted Balance |
|---|----------------------------|----------------------|---------------------|
| Chief Financial Officer's (CFO) Cash Balance | 35,837 (A) | 0 | 35,837 |
| ADD: Other Cash (See Instructions) | 0 (B) | 0 | 0 |
| ADD: Investments | 0 (C) | 0 | 0 |
| ADD: Outstanding Accounts Receivable | 0 (D) | 0 | 0 |
| ADD: _____ | 0 (E) | 0 | 0 |
| Total Cash plus Accounts Receivable | 35,837 (F) | 0 | 35,837 |
| LESS Allowances for Uncollectibles | 0 (G) | 0 | 0 |
| LESS "A" Carry Forwards | 3,750 (H) | 0 | 3,750 |
| "B" Carry Forwards | 4,160 (H) | 0 | 4,160 |
| Approved "FCO" Certified Forwards | 0 (H) | 0 | 0 |
| LESS: Other Accounts Payable (Non-operating) | 0 (I) | 0 | 0 |
| LESS: _____ | 0 (J) | 0 | 0 |
| Unreserved Fund Balance, 07/01/2016 | 27,927 (K) | 0 | 27,927 ** |

Notes:

*SWFS = Statewide Financial Statement

** This amount should agree with Line I, Section IV of the Schedule I for the most recent completed fiscal year and Line A for the following year.

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

| | |
|-----------------------------|--|
| Department Title: | Budget Period: 2017-18 |
| Trust Fund Title: | Department of State |
| Budget Entity: | Grants & Donations Trust Fund - Combined |
| LAS/PBS Fund Number: | 45200700/45010200/45400100/45500300 |
| | 2339 |

| | Balance as of 6/30/2016 | SWFS* Adjustments | Adjusted Balance |
|---|----------------------------|----------------------|---------------------|
| Chief Financial Officer's (CFO) Cash Balance | 4,111,359 (A) | 20,690 | 4,132,049 |
| ADD: Other Cash (See Instructions) | 0 (B) | 0 | 0 |
| ADD: Investments | 0 (C) | 0 | 0 |
| ADD: Outstanding Accounts Receivable | 3,557 (D) | 0 | 3,557 |
| ADD: _____ | 0 (E) | 0 | 0 |
| Total Cash plus Accounts Receivable | 4,114,916 (F) | 20,690 | 4,135,605 |
| LESS: Allowances for Uncollectibles | 5,563 (G) | 0 | 5,563 |
| LESS: "A" Carry Forwards | 0 (H) | 0 | 0 |
| "B" Carry Forwards | 0 (H) | 0 | 0 |
| Approved "FCO" Certified Forwards | 500,000 (H) | 0 | 500,000 |
| LESS: Other Accounts Payable (Non-operating) | 0 (I) | 0 | 0 |
| LESS: Service Charge to General Revenue | 0 (J) | 94 | 94 |
| Unreserved Fund Balance, 07/01/2016 | 3,609,352 (K) | 20,596 | 3,629,948 ** |

Notes:

*SWFS = Statewide Financial Statement

** This amount should agree with Line I, Section IV of the Schedule I for the most recent completed fiscal year and Line A for the following year.

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

Budget Period: 2017-18

| | |
|-----------------------------|--|
| Department Title: | Department of State |
| Trust Fund Title: | Land Acquisition Trust Fund - Combined |
| Budget Entity: | 45200700/45010200/45500300 |
| LAS/PBS Fund Number: | 2423 |

| | Balance as of 6/30/2016 | SWFS* Adjustments | Adjusted Balance |
|---|----------------------------|----------------------|---------------------|
| Chief Financial Officer's (CFO) Cash Balance | 6,608,978 (A) | (1,376,860) | 5,232,118 |
| ADD: Other Cash (See Instructions) | 0 (B) | 0 | 0 |
| ADD: Investments | 0 (C) | 0 | 0 |
| ADD: Outstanding Accounts Receivable | 0 (D) | 0 | 0 |
| ADD: _____ | 0 (E) | 0 | 0 |
| Total Cash plus Accounts Receivable | 6,608,978 (F) | (1,376,860) | 5,232,118 |
| LESS: Allowances for Uncollectibles | 0 (G) | 0 | 0 |
| LESS: "A" Carry Forwards | 1,705,580 (H) | 0 | 1,705,580 |
| "B" Carry Forwards | 156,812 (H) | 0 | 156,812 |
| Approved "FCO" Certified Forwards | 2,823,432 (H) | 0 | 2,823,432 |
| LESS: Other Accounts Payable (Non-operating) | 0 (I) | 0 | 0 |
| LESS: Due to General Revenue | 0 (J) | 144 | 144 |
| Unreserved Fund Balance, 07/01/2016 | 1,923,155 (K) | (1,377,004) | 546,150 ** |

Notes:

*SWFS = Statewide Financial Statement

** This amount should agree with Line I, Section IV of the Schedule I for the most recent completed fiscal year and Line A for the following year.

SCHEDULE IX: MAJOR AUDIT FINDINGS AND RECOMMENDATIONS

Budget Period: 2017-2018

Department: Department of State

Chief Internal Auditor: Candie Fuller, Acting Inspector General

Budget Entity: 45010200

Phone Number: 850-245-6195

| (1) REPORT NUMBER | (2) PERIOD ENDING | (3) UNIT/ AREA | (4) SUMMARY OF FINDINGS AND RECOMMENDATIONS | (5) SUMMARY OF CORRECTIVE ACTION TAKEN | (6) ISSUE CODE |
|------------------------|----------------------|---|--|--|-------------------|
| AG Report No. 2014-181 | 3/31/2014 | Operational Audit of the Department of State, Voting System Standards and Certification and Prior Audit Follow-up | <p>Audit Finding #1: The Department's voting system examination and certification processes needs improvement to ensure compliance with State law and Florida Voting System Standards.</p> <p>Recommendation: We recommend that the Department management ensure that:</p> <ul style="list-style-type: none"> - Voting system examination tools are consistently utilized and properly completed and that documentation is retained to demonstrate the Department's examination efforts. - All required voting system examination reports and documentation are prepared in accordance with State law and the Standards. - Voting systems are approved or disapproved within the time frame established in State law. | <p>As required by Section 20.055(6)(h), Florida Statutes, a six-month follow-up performed by the Department of State, Office of Inspector General(OIG) in September 2014. The report gave a status of corrective action taken by the Department concerning the findings and recommendations contained in the Auditor General's Operational Audit. An additional information gathered by the OIG in July 2016 on status of corrective action. The results of the follow-up report and status of correction action gathered by the OIG are included after the agency response</p> <p>Agency Response: The Department concurs with the findings that the submission, examination and approval process should be adequately documented including a final report or closing report whichever is applicable following an examination and recommendation to approve or disapprove. Instances do occur in which a vendor may for any stated or unstated reason to choose to withdraw or suspend his or her system before an examination is even completed and/or a determination is ever reached as to approval or disapproval of a system or modification to a system. The Department has already initiated procedures to ensure better documentation in the application process, including communications, withdrawal, suspension, status reports, and recommendation for approval or disapproval for each voting system's application. The Department has also begun to substantially revise and update its Voting Systems Standards.</p> | |

| REPORT NUMBER | PERIOD ENDING | UNIT/ AREA | SUMMARY OF FINDINGS AND RECOMMENDATIONS | SUMMARY OF CORRECTIVE ACTION TAKEN | ISSUE CODE |
|------------------------|---------------|---|---|---|------------|
| AG Report No. 2014-181 | 3/31/2014 | Operational Audit of the Department of State, Voting System Standards and Certification and Prior Audit Follow-up | | <p><u>Department's Response to the Status of Corrective Action for Finding No. 1 in September 2014-status report:</u> As stated in the initial Agency Response, the Department has initiated procedures to document the status of a voting system as it undergoes testing and the Department has completed a substantial draft of revisions to the Florida Voting Systems Standards, Form DS-DE 101, which is incorporated by reference in Rule 1S-5.001 (Voting Systems Equipment Regulations), Fla. Admin. Code. The Florida Voting Systems Standards is a very lengthy and detailed, technological document that will require extensive review by staff and the public before its adoption. The Department expects the rulemaking process for the rule to be completed no later than June 2015.</p> <p><u>OIG conclusion to the Status of Corrective Action for Finding No. 1 in September 2014-status report</u> The Department has begun developing procedures to document the status of a voting system as it undergoes testing and the Department has begun to substantially draft revisions to the Florida Voting Systems Standards, Form DS-DE 101, which is incorporated by reference in Rule 1S-5.001 (Voting Systems Equipment Regulations), Fla. Admin. Code. The Department plans to fully implement the corrective action no later than June 2015.</p> | |

| REPORT NUMBER | PERIOD ENDING | UNIT/ AREA | SUMMARY OF FINDINGS AND RECOMMENDATIONS | SUMMARY OF CORRECTIVE ACTION TAKEN | ISSUE CODE |
|------------------------|---------------|---|---|---|------------|
| AG Report No. 2014-181 | 3/31/2014 | Operational Audit of the Department of State, Voting System Standards and Certification and Prior Audit Follow-up | | <p>Status of Correction Action for Finding No. 1 as of July 2016: The recommendation is still open.</p> | |

| REPORT NUMBER | PERIOD ENDING | UNIT/AREA | SUMMARY OF FINDINGS AND RECOMMENDATIONS | SUMMARY OF CORRECTIVE ACTION TAKEN | ISSUE CODE |
|------------------------|---------------|---|--|--|------------|
| AG Report No. 2014-181 | 3/31/2014 | Operational Audit of the Department of State, Voting System Standards and Certification and Prior Audit Follow-up | <p>Audit Finding #2: The Department had not established policies and procedures to ensure compliance with the State law requiring that the Secretary of State and any examiners have no pecuniary (financial) interest in the voting systems equipment examined.</p> <p>Recommendation: We recommend that Department management establish and implement policies and procedures that designate the employee positions with voting system examiner responsibilities and that provide for periodic written attestations from the Secretary of State and designated examiners affirming the absence of any pecuniary interests in any voting equipment.</p> | <p>Agency Response: The Department of State concurs with the finding and recommendation. The Department has developed the use of a form to fulfill the recommendation (BVSC 023, eff. 02/2014). For each submitted application for approval of a voting system or equipment, each examiner and the Secretary of State will complete the form to indicate whether they have any pecuniary interest in the voting equipment. Additionally, the Department will amend Rule 1S-5.001 (Voting Systems Equipment Regulations), Fla. Admin. Code, with its incorporated form, DS-DE 101 (Florida Voting Systems Standards), to define “examiner” as a person within BVSC who has the official duty to check that entity testing is done correctly according to statutes and rules and who recommends a system for approval or disapproval to Florida Division of Elections.”</p> <p>Department’s Response to the Status of Corrective Action for Finding No. 2 in September 2014-status report The Department has initiated the use of Form BVSC 023 to ensure each “examiner” and the Secretary of State verify they have no pecuniary interest in voting equipment. Also, the Department will incorporate into Rule 1S-5.001 (Voting Systems Equipment Regulations), Fla. Admin. Code, a definition of “examiner” through the revised, incorporated Florida Voting Systems Standards, Form DS-DE 101. The Department expects the rulemaking process for the rule to be completed no later than June 2015.</p> | |

| REPORT NUMBER | PERIOD ENDING | UNIT/AREA | SUMMARY OF FINDINGS AND RECOMMENDATIONS | SUMMARY OF CORRECTIVE ACTION TAKEN | ISSUE CODE |
|------------------------|---------------|---|---|--|------------|
| AG Report No. 2014-181 | 3/31/2014 | Operational Audit of the Department of State, Voting System Standards and Certification and Prior Audit Follow-up | | <p><u>OIG conclusion to the Status of Corrective Action for Finding No. 2 in September 2014-status report</u></p> <p>The Department is using Form BVSC 023 to ensure each “examiner” and the Secretary of State verify they have no pecuniary interest in voting equipment. The Department plans to fully implement the corrective action no later than June 2015.</p> <p><u>Status of Correction Action for Finding No. 2 as of July 2016:</u></p> <p>The recommendation is still open.</p> | |

| REPORT NUMBER | PERIOD ENDING | UNIT/AREA | SUMMARY OF FINDINGS AND RECOMMENDATIONS | SUMMARY OF CORRECTIVE ACTION TAKEN | ISSUE CODE |
|------------------------|---------------|---|--|--|------------|
| AG Report No. 2014-181 | 3/31/2014 | Operational Audit of the Department of State, Voting System Standards and Certification and Prior Audit Follow-up | <p>Audit Finding No. 3: The Department did not seek reimbursement from voting system vendors, as provided for in State law, for all the actual costs associated with voting system examinations.</p> <p>Recommendation: We recommend that Department management seek legislative clarification regarding the actual voting system examination costs subject to voting system applicant reimbursement pursuant to State law. Additionally, we recommend that Department management enhance the review of reimbursement requests for voting system examination costs to ensure that all costs permitted by State law are included.</p> | <p>Agency Response: The Department of State concurs with the finding and believes that through the rulemaking process it can seek clarification from the Florida Legislature’s Joint Administrative Procedures Committee, regarding what constitutes “actual costs” under s. 101.5605(2)(b), Florida Statutes. As the agency charged with interpreting the statute, the Department intends to define “actual costs” when it revises the Florida Voting Systems Standards (Form DS-DE 101), as incorporated by reference into Rule 1S-5.001 (Voting Systems Equipment Regulations), Fla. Admin. Code. The current rule draft includes the following: “[r]eimbursable actual costs of testing include reasonable travel costs such as lodging, car rental, parking, gas, airfare, travel-related fees and in the case of meals, not to exceed the per diem rate established per s. 112.061(6), F.S.”</p> <p>To further enhance the recommended review of reimbursement requests for voting system examination costs, the Department will submit BVSC’s reimbursement requests to the same level of scrutiny and review currently applied to reimbursement requests sought by state employees for state-related travel. This review will occur before presenting the costs for reimbursement to the entity which had the voting system tested.</p> | |

| REPORT NUMBER | PERIOD ENDING | UNIT/AREA | SUMMARY OF FINDINGS AND RECOMMENDATIONS | SUMMARY OF CORRECTIVE ACTION TAKEN | ISSUE CODE |
|------------------------|---------------|---|---|---|------------|
| AG Report No. 2014-181 | 3/31/2014 | Operational Audit of the Department of State, Voting System Standards and Certification and Prior Audit Follow-up | | <p><u>Department’s Response to the Status of Corrective Action for Finding No. 3 in September 2014-status report:</u> The Department will incorporate into Rule 1S-5.001 (Voting Systems Equipment Regulations), Fla. Admin. Code, a definition of “actual costs” through the revised, incorporated Florida Voting Systems Standards, Form DS-DE 101. The Department expects the rulemaking process for the rule to be completed no later than June 2015. Also, as stated in the Agency Response, the Department will have the cost reimbursement requests reviewed before their submission to ensure the requests capture all reimbursable costs.</p> <p><u>OIG conclusion to the Status of Corrective Action for Finding No. 3 in September 2014-status report</u> The Department plans to fully implement the corrective action no later than June 2015</p> <p><u>Status of Correction Action for Finding No. 3 as of July 2016:</u> The recommendation is still open.</p> | |

| REPORT NUMBER | PERIOD ENDING | UNIT/AREA | SUMMARY OF FINDINGS AND RECOMMENDATIONS | SUMMARY OF CORRECTIVE ACTION TAKEN | ISSUE CODE |
|------------------------|---------------|---|---|---|------------|
| AG Report No. 2014-181 | 3/31/2014 | Operational Audit of the Department of State, Voting System Standards and Certification and Prior Audit Follow-up | <p>Audit Finding No. 5: Improvements are needed in the conduct and documentation of Department reviews of county voting system security procedures to better ensure and demonstrate that the procedures meet the minimum security standards established pursuant to State law.</p> <p>Recommendation: We recommend that Department management enhance the Department's policies and procedures to:</p> <ul style="list-style-type: none"> · Require timely follow up with counties that have security procedures deficiencies to ensure that the counties appropriately revise the procedures to comply with State law and to meet the minimum security standards set forth in Department rules. · Ensure that reviews of revised county voting system security procedures are completed within 30 days in accordance with Department rules. · Better ensure that Department staff maintain adequate documentation to demonstrate the receipt and review of revised county security procedures and Department management's approval of the review package and to promote compliance with the applicable State records retention schedule. · Verify, in advance of performing a statutorily required biennial voting system security procedures review, that the Department has the county's most recent security procedures on file. · Provide counties with the results of the biennial voting system security procedures reviews and to follow up with counties, as appropriate, to promote the establishment of county security procedures that comply with State law and minimum security standards. | <p>Agency Response: The Department of State concurs with the finding and recommendations regarding enhancements to our procedures. Rule 1S-2.015, Fla. Admin. Code, is currently undergoing revisions and those revisions will address the findings by implementing the recommended corrective action.</p> <p>Department's Response to the Status of Corrective Action for Finding No. 5 in September 2014-status report As stated in the Agency Response, the Department intends to amend Rule 1S-2.015, Fla. Admin. Code, to address the findings by implementing the recommended corrective action. The Department expects the rulemaking process to be completed no later than June 2015.</p> <p>OIG conclusion to the Status of Corrective Action for Finding No. 5 in September 2014-status report The Department plans to fully implement the corrective action no later than June 2015.</p> <p>Status of Correction Action for Finding No. 5 as of July 2016: The recommendation is still open.</p> | |

| REPORT NUMBER | PERIOD ENDING | UNIT/AREA | SUMMARY OF FINDINGS AND RECOMMENDATIONS | SUMMARY OF CORRECTIVE ACTION TAKEN | ISSUE CODE |
|------------------------|---------------|---|--|---|------------|
| AG Report No. 2014-181 | 3/31/2014 | Operational Audit of the Department of State, Voting System Standards and Certification and Prior Audit Follow-up | <p><u>Audit Finding No. 7:</u> The Department's user access privilege controls related to the grants administration system continue to need enhancement.</p> <p><u>Recommendation:</u> We recommend that Department management continue efforts to strengthen user access privilege controls for the grants administration system to reduce the risk of unauthorized access to, modification of, or destruction of Department data and IT resources.</p> | <p><u>Agency Response:</u> The Department of State concurs with the finding. The corrective actions are on file with the Secretary of State.</p> <p><u>Department's Response to the Status of Corrective Action for Finding No. 7 in September 2014-status report</u> The group membership has been reviewed and the roles have been divided into five groups that require different levels of access. The implementation of these access levels into the code will be performed through a complete rewrite of the application. The timeline for completion will be September 2015.</p> <p>As an intermediate step, members of the current administrative group who only require report generation can be removed from the system and tools can be provided to create those reports within the application. This reporting piece will be completed by November 2014.</p> <p><u>OIG conclusion to the Status of Corrective Action for Finding No. 7 in September 2014-status report</u> The Department plans to fully implement the corrective action no later than September 2015.</p> <p><u>Status of Correction Action for Finding No. 7 as of July 2016:</u> The recommendation is still open.</p> | |

| REPORT NUMBER | PERIOD ENDING | UNIT/AREA | SUMMARY OF FINDINGS AND RECOMMENDATIONS | SUMMARY OF CORRECTIVE ACTION TAKEN | ISSUE CODE |
|------------------------|---------------|---|---|---|------------|
| OIG Report No. 2011-10 | 5/2/2014 | Audit of Financial Information on Three State Historic Preservation Grants awarded in Fiscal Year 2012-2013 | <p><u>Audit Finding No. 1:</u> Grant payments were submitted for payment by grant managers without required documentation from the grantee per the grant agreement.</p> <p><u>Objective:</u> To assess if there was adequate support for the disbursements of the Historic Preservation Grants.</p> <p><u>Criteria:</u> The grantee is required to submit documentation that helps ensure grant funds are being used within the scope and guidelines set forth in the grant agreement. The Division of Administrative Services' staff relies on the grant manager to obtain proper documentation before a payment request is submitted by staff of the grant division to ensure that grant funds are disbursed properly.</p> <p><u>Condition Revealed during the audit:</u> Our evaluation of the grant files determined that grant payments were made to the grantee without the required back up documentation in place. Specifically:</p> <ul style="list-style-type: none"> · On one grant, the grantee wanted to substitute the Scope of Work in place of the Project Schedule which was required before the payment was made. The bureau chief instructed the grant manager to accept the scope of work as a proper deliverable and payment was made | <p><u>Division Response:</u> Regarding the sole audit finding that grant payments were submitted for payment by grant managers without required documentation from the grantee pursuant to the grant agreement, the Division agrees with the finding and offers the following comments regarding the conditions revealed during the audit:</p> <ul style="list-style-type: none"> · The substitution of a Scope of Work in place of the Project Schedule is an unacceptable substitution. Staff has been instructed that in all cases, a Project Schedule is a necessary condition of the Grant Award Agreement. · The Bureau Chief admittedly instructed the grant manager to submit a certified payment request, knowing that a report outlining previous expenses had not been submitted. However, the Bureau Chief had personal knowledge of the completed grant deliverables and was experiencing difficulties effectively communicating with the grantee regarding the sequence of requirements in order to ensure payments to third party vendors necessary for the successful completion of the final phase of the grant project. · Accurate, justifiable and verifiable wage rates are a necessary requirement of grant awards. Division staff has been instructed to strictly adhere to compliance with permissible wage rates. | |

| REPORT NUMBER | PERIOD ENDING | UNIT/AREA | SUMMARY OF FINDINGS AND RECOMMENDATIONS | SUMMARY OF CORRECTIVE ACTION TAKEN | ISSUE CODE |
|------------------------|---------------|---|--|--|------------|
| OIG Report No. 2011-10 | 5/2/2014 | Audit of Financial Information on Three State Historic Preservation Grants awarded in Fiscal Year 2012-2013 | <p>·A grant manager put the bureau chief on notice that the third payment request was made on a grant without the proper documents in place. The bureau chief instructed the grant manager to submit a certified payment request in spite of knowing the proper documentation has not been received to justify payment. The quarterly reports were submitted after payments were made.</p> <p>·On one grant, timesheet rates were paid that were over the minimum wage rate and no justification was obtained from the grantee by the grant manager. We did request and received verification that the unjustified wage rates were paid out to the vendors at the requested rates.</p> <p>·On one grant, the grantee entered subcontractor agreements before the approval by the grant manager and the subcontractor waiver requests were submitted after the agreements were executed.</p> <p>·The grant managers did not obtain a project schedule in all three grants which is required by the grant agreement before any grant funding will be released.</p> <p>Conclusion: The grant managers submitted payment request without the proper documentation from the grantee per the grant agreement.</p> <p>Recommendation: We recommend the following to address issues related to this finding:</p> | <p>·The Division agrees with the finding that on one grant, the grantee entered subcontractor agreements before the approval by the grant manager and the subcontractor waiver requests were submitted after the agreements were executed. Staff has been instructed to provide better information to grantees on the subcontractor approval process. Noncompliance with the process will result in a rejection of the agreement and require an amendment to the Grant Agreement.</p> <p>·The Division agrees that grant managers did not obtain a Project Schedule prior to a release of grant funding. Staff has been instructed that a Project Schedule is a requirement of the Grant Agreement and that a request for payment must be rejected if proper documentation has not been received from the grantee.</p> <p><u>Regarding the Inspector General's recommendations:</u></p> <p>·Grant managers will require grantees to submit necessary documents prior to the disbursement of grant funds. The Supervisor of the grant managers is now reviewing and signing off on all grant payment requests prior to submission to the Division of Administrative Services.</p> <p>·The streamlining of Historic Preservation Grant Award agreements is an ongoing Division initiative with an anticipated completion of June 2014.</p> | |

| REPORT NUMBER | PERIOD ENDING | UNIT/AREA | SUMMARY OF FINDINGS AND RECOMMENDATIONS | SUMMARY OF CORRECTIVE ACTION TAKEN | ISSUE CODE |
|------------------------|---------------|---|--|--|------------|
| OIG Report No. 2011-10 | 5/2/2014 | Audit of Financial Information on Three State Historic Preservation Grants awarded in Fiscal Year 2012-2013 | <ul style="list-style-type: none"> ·The grant managers receive the necessary documents from grantees prior to submission for payment and the bureau chief or grant manager supervisor who handles Historic Preservation Grants perform a review and sign off on the payment package before it is submitted to the Division of Administrative Services for payment. ·The bureau chief and the grant manager supervisor need to work with the Division of Administrative Services' personnel in streamlining the Historic Preservation Grant Award agreements and narrow down the deliverables that a grantee must provide before a payment is made. <p>The Division of Historical Resources should hold grant management training for all personnel involved in the Historic Preservation Grant process that addresses the following items: Chapter 1A-39 Florida Administrative Code entitled Historic Preservation Grant Programs, revisions to the agreements and changes to the required deliverables from grantee before a payment is made.</p> <ul style="list-style-type: none"> ·The Division Director needs to closely monitor the Historic Preservation Grant process by meeting on a regular basis with the bureau chief to receive a detailed update on grant activities. ·Department management should consider formal disciplinary action that they consider appropriate related to the performance of managing these grants by departmental personnel. | <ul style="list-style-type: none"> ·All grant staff are either scheduled to attend or have attended Department of Financial Services training. Regular and continuing education in grant management practices will be provided for staff. ·The Division Director has initiated regular and frequent meetings to monitor closely the Historic Preservation grant process and to receive detailed updates on grant activities. ·Formal disciplinary action will be taken related to the performance of grant management by Division personnel. <p><u>OIG conclusion to the Status of Actions taken by the Division of Historical Resources in response to the recommendation made by the Office of Inspector General as of January 2016</u> The Division of Historical Resources fully implemented the recommendation.</p> | |

| REPORT NUMBER | PERIOD ENDING | UNIT/AREA | SUMMARY OF FINDINGS AND RECOMMENDATIONS | SUMMARY OF CORRECTIVE ACTION TAKEN | ISSUE CODE |
|------------------------|---------------|---|--|--|------------|
| AG Report No. 2016-002 | 7/31/2015 | Department of State Information Technology (IT) Operational Audit of the Florida Voter Registration System (FVRS) and Prior Audit Follow-up | <p>Finding No. 1: Department FVRS IT maintenance controls needed improvement.</p> <p>Recommendation: The Department should improve FVRS IT maintenance controls to include appropriate documentation of maintenance schedules, maintenance records, and routine analyses of maintenance records.</p> | <p>As required by Section 20.055(6)(h), Florida Statutes, a six-month follow-up performed by the Department of State, Office of Inspector General(OIG) in December 2015. The report gave a status of corrective action taken by the Department concerning the findings and recommendations contained in the Auditor General’s Operational Audit. An additional information gathered by the OIG in July 2016 on status of corrective action. The results of the follow-up report and status of correction action gathered by the OIG are included after the agency response</p> <p>Agency Response:</p> <p>In addition to the processes in current use, the Department implemented a series of additional processes to record maintenance. The process details the extent of the maintenance, the timeframe, and signoff by management.</p> <p>Department’s Response to the Status of Corrective Action for Finding No. 1 in December 2015-status report</p> <p>The Department has created and implemented forms and documents that detail the extent of the maintenance, the timeframe, and signoff by management.</p> <p>OIG conclusion to the Status of Corrective Action for Finding No. 1 in December 2015-status report</p> <p>The Department has fully implemented the corrective action.</p> | |

| REPORT NUMBER | PERIOD ENDING | UNIT/AREA | SUMMARY OF FINDINGS AND RECOMMENDATIONS | SUMMARY OF CORRECTIVE ACTION TAKEN | ISSUE CODE |
|------------------------|---------------|---|--|---|------------|
| AG Report No. 2016-002 | 7/31/2015 | Department of State Information Technology (IT) Operational Audit of the Florida Voter Registration System (FVRS) and Prior Audit Follow-up | <p>Finding No. 2: Department FVRS performance and capacity monitoring controls needed improvement.</p> <p>Recommendation: The Department should improve FVRS performance and capacity monitoring controls.</p> <p>Finding No. 3: Although the Department had a Disaster Recovery Plan (Plan) in place for the FVRS, the Plan had not been tested since April 2011.</p> <p>Recommendation: The Department should conduct testing of the FVRS Disaster Recovery Plan at least annually pursuant to Rule and Department Policy.</p> | <p>Agency Response: The Department is migrating to a new platform in July 2015. A baseline will be established on the new platform. This baseline will determine metrics that will be monitored and documented on a monthly basis. The Department will compare past, current, and future database performance and capacity data to ensure optimal efficiency of the FVRS database.</p> <p>Department's Response to the Status of Corrective Action for Finding No. 2 in December 2015-status report The Department creates a monthly report that represents database performance. These reports allowed the Department to establish a base line for the database and offers the ability to observe trends and usage on a monthly basis.</p> <p>OIG conclusion to the Status of Corrective Action for Finding No. 2 in December 2015-status report The Department has fully implemented the corrective action.</p> <p>Agency Response: The Department has tested every step of the current disaster recovery process except for taking the production database offline. It is imperative that the production system for FVRS is active at all times. The Department is migrating to a new hardware platform in July 2015. The set up for the new platform will not require the production system to be down during disaster testing. Once the new hardware is in place, the Department will annually conduct testing of the Disaster Recovery Plan pursuant to Rule and Department Policy.</p> | |

| REPORT NUMBER | PERIOD ENDING | UNIT/AREA | SUMMARY OF FINDINGS AND RECOMMENDATIONS | SUMMARY OF CORRECTIVE ACTION TAKEN | ISSUE CODE |
|------------------------|---------------|---|--|--|------------|
| AG Report No. 2016-002 | 7/31/2015 | Department of State Information Technology (IT) Operational Audit of the Florida Voter Registration System (FVRS) and Prior Audit Follow-up | <p>Finding No. 4: Some inappropriate and unnecessary access privileges existed in the Voter Focus application that is used to enter data into the FVRS.</p> <p>Recommendation: The Department should take steps to ensure that access privileges of Voter Focus accounts are commensurate with users' assigned job duties and are necessary.</p> | <p><u>Department's Response to the Status of Corrective Action for Finding No. 3 in December 2015-status report</u></p> <p>The Department has placed into production two separate, new and completely redundant systems in two separate data centers. These systems were tested for redundancy during implementation. For Disaster Recovery purposes, the Department will continue to test redundancy annually in accordance with Rule and Department Policy.</p> <p><u>OIG conclusion to the Status of Corrective Action for Finding No. 3 in December 2015-status report</u></p> <p>The Department has fully implemented the corrective action.</p> <p><u>Agency Response:</u></p> <p>The Department recognizes the limitations of the current Voter Focus application. The 14 users that are referenced will have the use of the Voter Focus application added to their job duties. For access to data in FVRS, the Department relies upon an annual outside vendor license which serves as the interface application. Only two levels of access currently exist in that program: a) Full administrative and b) Inquiry/update. All assigned users involve staff in confidential or managerial positions and have had a level 1 or level 2-background check as a matter of employment. The Department is currently undergoing a major rewrite of FVRS in which the ability to restrict access privileges to inquiry-only will become a part of a system.</p> | |

| REPORT NUMBER | PERIOD ENDING | UNIT/AREA | SUMMARY OF FINDINGS AND RECOMMENDATIONS | SUMMARY OF CORRECTIVE ACTION TAKEN | ISSUE CODE |
|------------------------|---------------|---|---|--|------------|
| AG Report No. 2016-002 | 7/31/2015 | Department of State Information Technology (IT) Operational Audit of the Florida Voter Registration System (FVRS) and Prior Audit Follow-up | | <p><u>Department’s Response to the Status of Corrective Action for Finding No. 4 in December 2015-status report</u></p> <p>The positions descriptions for the referenced users have been amended to specify that their duties “may include accessing the Florida Voter Registration System (FVRS) to perform necessary duties to view or enter registration data in FVRS.” As stated in the above agency response, the ability to restrict access privileges to “inquiry-only” is unable to occur until the completion of the FVRS rewrite. The FVRS rewrite is scheduled for completion in October 2017.</p> <p><u>OIG conclusion to the Status of Corrective Action for Finding No. 4 in December 2015-status report</u></p> <p>The Department amended the position descriptions for the referenced users to specify that their duties “may include accessing the FVRS to perform necessary duties to view or enter registration data in FVRS.” The Department plans to fully implement the corrective action no later than October 2017.</p> <p><u>Status of Correction Action for Finding No. 4 as of July 2016:</u></p> <p>The recommendation is still open.</p> | |

| REPORT NUMBER | PERIOD ENDING | UNIT/AREA | SUMMARY OF FINDINGS AND RECOMMENDATIONS | SUMMARY OF CORRECTIVE ACTION TAKEN |
|------------------------|---------------|---|---|---|
| AG Report No. 2016-002 | 7/31/2015 | Department of State Information Technology (IT) Operational Audit of the Florida Voter Registration System (FVRS) and Prior Audit Follow-up | <p>Finding No. 5: The Department had not established a mechanism to provide reasonable assurance that all changes implemented into the FVRS production database environment were properly authorized, tested, and approved.</p> <p>Recommendation: The Department should ensure that a post implementation mechanism is in place that provides reasonable assurance that all database changes implemented into the FVRS production database environment have gone through the appropriate change control process.</p> <p>Finding No. 6: Security awareness training for members of the Department workforce hired since July 1, 2014, had not been conducted in a timely manner.</p> <p>Recommendation: The Department should strengthen controls to ensure that security awareness training is conducted in a timely manner.</p> | <p>Agency Response: The Department created a change management control document. This document provides reasonable assurance that all database changes implemented into the FVRS production database are properly authorized, tested, and approved. Additionally, the Department will use system logging to ensure that only authorized, tested, and approved changes were made to the database.</p> <p>Department's Response to the Status of Corrective Action for Finding No. 5 in December 2015-status report The Department has created and implemented documents for change control. Additionally, the system monitors and logs any schema addition or alteration of the data base. A report is automatically generated every week that reflects any changes.</p> <p>OIG conclusion to the Status of Corrective Action for Finding No. 5 in December 2015-status report The Department has fully implemented the corrective action.</p> <p>Agency Response: All newly-hired employees are provided with a copy of the Department's IT Security policies and procedures, as well as a copy of the PowerPoint training, so they are aware of IT security protocols at the commencement of their employment with the agency. A written acknowledgement is required and placed in the file. Although employees received the policies, a limited number of employees during the audit period had not received the PowerPoint. This issue was addressed and the Department has strengthened controls.</p> |

| REPORT NUMBER | PERIOD ENDING | UNIT/AREA | SUMMARY OF FINDINGS AND RECOMMENDATIONS | SUMMARY OF CORRECTIVE ACTION TAKEN |
|---------------------------|---------------|---|--|--|
| AG Report No. 2016-002 | 7/31/2015 | Department of State Information Technology (IT) Operational Audit of the Florida Voter Registration System (FVRS) and Prior Audit Follow-up | <p data-bbox="800 699 1360 849">Finding No. 7: Certain Department security controls related to protection of confidential and exempt data, software support, authentication, logging, and separation of duties needed improvement.</p> <p data-bbox="800 883 1360 1060">Recommendation: The Department should improve security controls related to the protection of confidential and exempt data, software support, authentication, logging, and separation of duties to ensure the confidentiality, integrity, and availability of FVRS data and IT resources.</p> | <p data-bbox="1377 183 1957 272"><u>Department's Response to the Status of Corrective Action for Finding No. 6 in December 2015-status report</u></p> <p data-bbox="1377 277 1957 516">All current employees, including all employee's previously missed, have been provided with a copy of the Department's IT Security Awareness Training presentation. In addition, a written acknowledgement of training completion is placed in the employee's personnel file. All new hires are provided IT security policies and procedures and a copy of the Security Awareness Training presentation.</p> <p data-bbox="1377 550 1957 607"><u>OIG conclusion to the Status of Corrective Action for Finding No. 6 in December 2015-status report</u></p> <p data-bbox="1377 612 1957 669">The Department has fully implemented the corrective action.</p> <p data-bbox="1377 703 1583 727"><u>Agency Response:</u></p> <p data-bbox="1377 732 1957 909">The Department has implemented improved security controls related to protection of confidential and exempt data, software support, authentication, logging, and separation of duties to ensure the confidentiality, integrity, and availability of FVRS data and IT resources.</p> <p data-bbox="1377 943 1957 1032"><u>Department's Response to the Status of Corrective Action for Finding No. 7 in December 2015-status report</u></p> <p data-bbox="1377 1037 1957 1214">The Department has implemented improved security controls related to protection of confidential and exempt data, software support, authentication, logging, and separation of duties to ensure the confidentiality, integrity, and availability of FVRS data and IT resources.</p> |

| REPORT NUMBER | PERIOD ENDING | UNIT/AREA | SUMMARY OF FINDINGS AND RECOMMENDATIONS | SUMMARY OF CORRECTIVE ACTION TAKEN |
|---------------------------|---------------|---|---|---|
| AG Report No. 2016-002 | 7/31/2015 | Department of State Information Technology (IT) Operational Audit of the Florida Voter Registration System (FVRS) and Prior Audit Follow-up | | <p data-bbox="1375 183 1961 240"><u>OIG conclusion to the Status of Corrective Action for Finding No. 7 in December 2015-status report</u></p> <p data-bbox="1375 240 1961 362">The Department has implemented some corrective actions. The Department plans to fully implement the corrective action no later than October 2017 when the FVRS rewrite is complete.</p> <p data-bbox="1375 394 1961 451"><u>Status of Correction Action for Finding No. 7 as of July 2016:</u></p> <p data-bbox="1375 451 1961 492">The recommendation is still open.</p> |

Fiscal Year 2017-18 LBR Technical Review Checklist

Department/Budget Entity (Service): Department of State/ 45000000

Agency Budget Officer/OPB Analyst Name: Christie Fitz-Patrick/ Sherie Carrington

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) | | | | | |
|--------|--|------|------|------|------|------|
| | 4501 | 4510 | 4520 | 4530 | 4540 | 4550 |

1. GENERAL

| | | | | | | | |
|-----|--|---|---|---|---|---|---|
| 1.1 | Are Columns A01, A02, A04, A05, A23, A24, A25, A36, A93, IA1, IA5, IA6, IP1, IV1, IV3 and NV1 set to TRANSFER CONTROL for DISPLAY status and MANAGEMENT CONTROL for UPDATE status for both the Budget and Trust Fund columns (no trust fund files for narrative columns)? Are Columns A06, A07, A08 and A09 for Fixed Capital Outlay (FCO) set to TRANSFER CONTROL for DISPLAY status only (UPDATE status remains on OWNER)? (CSDI) | Y | Y | Y | Y | Y | Y |
| 1.2 | Is Column A03 set to TRANSFER CONTROL for DISPLAY and UPDATE status for both the Budget and Trust Fund columns? (CSDI) | Y | Y | Y | Y | Y | Y |

AUDITS:

| | | | | | | | |
|-----|--|---|---|---|---|---|---|
| 1.3 | Has Column A03 been copied to Column A12? Run the Exhibit B Audit Comparison Report to verify. (EXBR, EXBA) | Y | Y | Y | Y | Y | Y |
| 1.4 | Has security been set correctly to TRANSFER CONTROL for DISPLAY status and MANAGEMENT CONTROL for UPDATE status? (CSDR, CSA) | Y | Y | Y | Y | Y | 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. A security control feature has been added to the LAS/PBS Web upload process that will require columns to be in the proper status before uploading. | | | | | | |

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 59 of the LBR Instructions? | Y | Y | Y | Y | Y | Y |
| 2.2 | Are the statewide issues generated systematically (estimated expenditures, nonrecurring expenditures, etc.) included? | Y | Y | Y | Y | Y | Y |
| 2.3 | Are the issue codes and titles consistent with <i>Section 3</i> of the LBR Instructions (pages 15 through 29)? Do they clearly describe the issue? | Y | Y | Y | Y | Y | Y |

3. EXHIBIT B (EXBR, EXB)

| | | | | | | | |
|-----|---|-----|-----|-----|-----|-----|-----|
| 3.1 | Is it apparent that there is a fund shift where an appropriation category's funding source is different between A02 and A03? Were the issues entered into LAS/PBS correctly? Check D-3A funding shift issue 340XXX0 - a unique deduct and unique add back issue should be used to ensure fund shifts display correctly on the LBR exhibits. | N/A | N/A | N/A | N/A | N/A | N/A |
|-----|---|-----|-----|-----|-----|-----|-----|

| | | Program or Service (Budget Entity Codes) | | | | | |
|------------------------------------|--|--|------|------|------|------|------|
| Action | | 4501 | 4510 | 4520 | 4530 | 4540 | 4550 |
| 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 | Y | Y | Y | Y | Y |
| 3.3 | Current Year Estimated Verification Comparison Report: Is Column A02 equal to Column B07? (EXBR, EXBC - Report should print "Records Selected Net To Zero") | Y | Y | Y | Y | Y | Y |
| TIP | Generally look for and be able to fully explain significant differences between A02 and A03. | | | | | | |
| TIP | Exhibit B - A02 equal to B07: Compares Current Year Estimated column to a backup of A02. This audit is necessary to ensure that the historical detail records have not been adjusted. Records selected should net to zero. | | | | | | |
| TIP | Requests for appropriations which require advance payment authority must use the sub-title "Grants and Aids". For advance payment authority to local units of government, the Aid to Local Government appropriation category (05XXXX) should be used. For advance payment authority to non-profit organizations or other units of state government, a Special Categories appropriation category (10XXXX) should be used. | | | | | | |
| 4. EXHIBIT D (EADR, EXD) | | | | | | | |
| 4.1 | Is the program component objective statement consistent with the agency LRPP, and does it conform to the directives provided on page 62 of the LBR Instructions? | Y | Y | Y | Y | Y | Y |
| 4.2 | Is the program component code and title used correct? | Y | Y | Y | Y | Y | Y |
| TIP | Fund shifts or transfers of services or activities between program components will be displayed on an Exhibit D whereas it may not be visible on an Exhibit A. | | | | | | |
| 5. EXHIBIT D-1 (ED1R, EXD1) | | | | | | | |
| 5.1 | Are all object of expenditures positive amounts? (This is a manual check.) | Y | Y | Y | Y | Y | Y |
| AUDITS | | | | | | | |
| 5.2 | Do the fund totals agree with the object category totals within each appropriation category? (ED1R, XD1A - Report should print "No Differences Found For This Report") | Y | Y | Y | Y | Y | Y |
| 5.3 | FLAIR Expenditure/Appropriation Ledger Comparison Report: Is Column A01 less than Column B04? (EXBR, EXBB - Negative differences [with a \$5,000 allowance] need to be corrected in Column A01.) | Y | Y | Y | Y | Y | Y |
| 5.4 | A01/State Accounts Disbursements and Carry Forward Comparison Report: Does Column A01 equal Column B08? (EXBR, EXBD - Differences [with a \$5,000 allowance at the department level] need to be corrected in Column A01.) | Y | Y | Y | Y | Y | Y |
| TIP | If objects are negative amounts, the agency must make adjustments to Column A01 to correct the object amounts. In addition, the fund totals must be adjusted to reflect the adjustment made to the object data. | | | | | | |
| TIP | If fund totals and object totals do not agree or negative object amounts exist, the agency must adjust Column A01. | | | | | | |

| | | Program or Service (Budget Entity Codes) | | | | | |
|---|---|--|------|------|------|------|------|
| Action | | 4501 | 4510 | 4520 | 4530 | 4540 | 4550 |
| 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 2015-16 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 to be submitted in the LBR - for analytical purposes only.) | | | | | | | |
| 6.1 | Are issues appropriately aligned with appropriation categories? | Y | Y | Y | Y | Y | 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 29 of the LBR Instructions.) | Y | Y | Y | Y | Y | Y |
| 7.2 | Does the issue narrative adequately explain the agency's request and is the explanation consistent with the LRPP? (See pages 67 through 69 of the LBR Instructions.) | Y | Y | Y | Y | Y | Y |
| 7.3 | Does the narrative for Information Technology (IT) issue follow the additional narrative requirements described on pages 69 through 72 of the LBR Instructions? | Y | Y | Y | Y | Y | Y |
| 7.4 | Are all issues with an IT component identified with a "Y" in the "IT COMPONENT?" field? If the issue contains an IT component, has that component been identified and documented? | Y | Y | Y | Y | Y | Y |
| 7.5 | Does the issue narrative explain any variances from the Standard Expense and Human Resource Services Assessments package? Is the nonrecurring portion in the nonrecurring column? (See pages E.4 through E.6 of the LBR Instructions.) | N/A | N/A | N/A | N/A | N/A | N/A |
| 7.6 | Does the salary rate request amount accurately reflect any new requests and are the amounts proportionate to the Salaries and Benefits request? Note: Salary rate should always be annualized. | Y | Y | Y | Y | Y | 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. | N/A | N/A | N/A | N/A | N/A | N/A |
| 7.8 | Does the issue narrative include the Consensus Estimating Conference forecast, where appropriate? | N/A | N/A | N/A | N/A | N/A | N/A |
| 7.9 | Does the issue narrative reference the specific county(ies) where applicable? | N/A | N/A | N/A | N/A | N/A | N/A |
| 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 #17-001? | N/A | N/A | N/A | N/A | N/A | N/A |

| Action | | Program or Service (Budget Entity Codes) | | | | | |
|---------------|---|--|------|------|------|------|------|
| | | 4501 | 4510 | 4520 | 4530 | 4540 | 4550 |
| 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 | N/A | N/A | N/A | N/A | N/A |
| 7.12 | Does the issue narrative include plans to satisfy additional space requirements when requesting additional positions? | N/A | N/A | N/A | N/A | N/A | N/A |
| 7.13 | Has the agency included a 160XXX0 issue and 210XXXX and 260XXX0 issues as required for lump sum distributions? | Y | Y | Y | Y | Y | Y |
| 7.14 | Do the amounts reflect appropriate FSI assignments? | Y | Y | Y | Y | Y | Y |
| 7.15 | Are the 33XXXX0 issues negative amounts only and do not restore nonrecurring cuts from a prior year or fund any issues that net to a positive or zero amount? Check D-3A issues 33XXXX0 - a unique issue should be used for issues that net to zero or a positive amount. | N/A | N/A | N/A | N/A | N/A | N/A |
| 7.16 | Do the issue codes relating to special <i>salary and benefits</i> issues (e.g., position reclassification, pay grade adjustment, overtime/on-call pay, etc.) have an "A" in the fifth position of the issue code (XXXXAXX) and are they self-contained (not combined with other issues)? (See pages 28 and 90 of the LBR Instructions.) | N/A | N/A | N/A | N/A | N/A | N/A |
| 7.17 | Do the issues relating to <i>Information Technology (IT)</i> have a "C" in the sixth position of the issue code (36XXXXCX) and are the correct issue codes used (361XXC0, 362XXC0, 363XXC0, 17C01C0, 17C02C0, 17C03C0, 24010C0, 33001C0, 30010C0, 33011C0, 160E470, 160E480 or 55C01C0)? | N/A | N/A | N/A | N/A | N/A | N/A |
| 7.18 | Are the issues relating to <i>major audit findings and recommendations</i> properly coded (4A0XXX0, 4B0XXX0)? | N/A | N/A | N/A | N/A | N/A | N/A |
| 7.19 | Does the issue narrative identify the strategy or strategies in the Five Year Statewide Strategic Plan for Economic Development? | Y | Y | Y | Y | Y | Y |
| AUDIT: | | | | | | | |
| 7.20 | 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 | Y | Y | Y | Y | Y |
| 7.21 | Does the General Revenue for 160XXXX (Adjustments to Current Year Expenditures) issues net to zero? (GENR, LBR1) | Y | Y | Y | Y | Y | Y |
| 7.22 | Does the General Revenue for 180XXXX (Intra-Agency Reorganizations) issues net to zero? (GENR, LBR2) | Y | Y | Y | Y | Y | Y |
| 7.23 | Does the General Revenue for 200XXXX (Estimated Expenditures Realignment) issues net to zero? (GENR, LBR3) | Y | Y | Y | Y | Y | Y |
| 7.24 | 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)) | Y | Y | Y | Y | Y | Y |
| 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. | | | | | | |

| | | Program or Service (Budget Entity Codes) | | | | | |
|---|--|--|------|------|------|------|------|
| Action | | 4501 | 4510 | 4520 | 4530 | 4540 | 4550 |
| 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 67 through 71 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 a state agency needs to include in its LBR a realignment or workload request issue to align its data processing services category with its projected FY 2017-18 data center costs, this can be completed by using the State Data Center data processing services category (210001). | | | | | | |
| TIP | If an appropriation made in the FY 2016-17 General Appropriations Act duplicates an appropriation made in substantive legislation, the agency must create a unique deduct nonrecurring issue to eliminate the duplicated appropriation. Normally this is taken care of through line item veto. | | | | | | |
| 8. SCHEDULE I & RELATED DOCUMENTS (SC1R, SC1 - Budget Entity Level or SC1R, SC1D - Department Level) | | | | | | | |
| 8.1 | Has a separate department level Schedule I and supporting documents package been submitted by the agency? | Y | Y | Y | Y | Y | Y |
| 8.2 | Has a Schedule I and Schedule IB been completed in LAS/PBS for each operating trust fund? | Y | Y | Y | Y | Y | Y |
| 8.3 | Have the appropriate Schedule I supporting documents been included for the trust funds (Schedule IA, Schedule IC, and Reconciliation to Trial Balance)? | Y | Y | Y | Y | Y | Y |
| 8.4 | Have the Examination of Regulatory Fees Part I and Part II forms been included for the applicable regulatory programs? | N/A | N/A | N/A | N/A | N/A | N/A |
| 8.5 | Have the required detailed narratives been provided (5% trust fund reserve narrative; method for computing the distribution of cost for general management and administrative services narrative; adjustments narrative; revenue estimating methodology narrative; fixed capital outlay adjustment narrative)? | Y | Y | Y | Y | Y | Y |
| 8.6 | Has the Inter-Agency Transfers Reported on Schedule I form been included as applicable for transfers totaling \$100,000 or more for the fiscal year? | Y | Y | Y | Y | Y | Y |
| 8.7 | If the agency is scheduled for the annual trust fund review this year, have the Schedule ID and applicable draft legislation been included for recreation, modification or termination of existing trust funds? | N/A | N/A | N/A | N/A | N/A | N/A |
| 8.8 | If the agency is scheduled for the annual trust fund review this year, have the necessary trust funds been requested for creation pursuant to section 215.32(2)(b), Florida Statutes - including the Schedule ID and applicable legislation? | N/A | N/A | N/A | N/A | N/A | N/A |

| Action | | Program or Service (Budget Entity Codes) | | | | | |
|--------|--|--|------|------|------|------|------|
| | | 4501 | 4510 | 4520 | 4530 | 4540 | 4550 |
| 8.9 | Are the revenue codes correct? In the case of federal revenues, has the agency appropriately identified direct versus indirect receipts (object codes 000700, 000750, 000799, 001510 and 001599)? For non-grant federal revenues, is the correct revenue code identified (codes 000504, 000119, 001270, 001870, 001970)? | Y | Y | Y | Y | Y | Y |
| 8.10 | Are the statutory authority references correct? | Y | Y | Y | Y | Y | Y |
| 8.11 | Are the General Revenue Service Charge percentage rates used for each revenue source correct? (Refer to section 215.20, Florida Statutes, for appropriate General Revenue Service Charge percentage rates.) | N/A | Y | Y | Y | Y | Y |
| 8.12 | Is this an accurate representation of revenues based on the most recent Consensus Estimating Conference forecasts? | N/A | N/A | N/A | N/A | N/A | N/A |
| 8.13 | If there is no Consensus Estimating Conference forecast available, do the revenue estimates appear to be reasonable? | Y | Y | Y | Y | Y | Y |
| 8.14 | Are the federal funds revenues reported in Section I broken out by individual grant? Are the correct CFDA codes used? | Y | Y | Y | Y | Y | Y |
| 8.15 | Are anticipated grants included and based on the state fiscal year (rather than federal fiscal year)? | Y | Y | Y | Y | Y | Y |
| 8.16 | Are the Schedule I revenues consistent with the FSI's reported in the Exhibit D-2A? | Y | Y | Y | Y | Y | Y |
| 8.17 | If applicable, are nonrecurring revenues entered into Column A04? | Y | Y | Y | Y | Y | Y |
| 8.18 | Has the agency certified the revenue estimates in columns A02 and A03 to be the latest and most accurate available? Does the certification include a statement that the agency will notify OPB of any significant changes in revenue estimates that occur prior to the Governor's Budget Recommendations being issued? | Y | Y | Y | Y | Y | 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? | N/A | N/A | Y | N/A | N/A | N/A |
| 8.20 | Are appropriate General Revenue Service Charge nonoperating amounts included in Section II? | Y | Y | Y | Y | Y | Y |
| 8.21 | Are nonoperating expenditures to other budget entities/departments cross-referenced accurately? | Y | Y | Y | Y | Y | Y |
| 8.22 | Do transfers balance between funds (within the agency as well as between agencies)? (See also 8.6 for required transfer confirmation of amounts totaling \$100,000 or more.) | Y | Y | Y | Y | Y | Y |
| 8.23 | Are nonoperating expenditures recorded in Section II and adjustments recorded in Section III? | Y | Y | Y | Y | Y | Y |
| 8.24 | Are prior year September operating reversions appropriately shown in column A02? | Y | Y | Y | Y | Y | Y |
| 8.25 | Are current year September operating reversions appropriately shown in column A02? | Y | Y | Y | Y | Y | Y |
| 8.26 | Does the Schedule IC properly reflect the unreserved fund balance for each trust fund as defined by the LBR Instructions, and is it reconciled to the agency accounting records? | Y | Y | Y | Y | Y | Y |
| 8.27 | Has the agency properly accounted for continuing appropriations (category 13XXXX) in column A01, Section III? | N/A | N/A | N/A | N/A | N/A | N/A |

| Action | | Program or Service (Budget Entity Codes) | | | | | |
|-------------------------------------|---|--|------|------|------|------|------|
| | | 4501 | 4510 | 4520 | 4530 | 4540 | 4550 |
| 8.28 | Does Column A01 of the Schedule I accurately represent the actual prior year accounting data as reflected in the agency accounting records, and is it provided in sufficient detail for analysis? | Y | Y | Y | Y | Y | Y |
| 8.29 | Does Line I of Column A01 (Schedule I) equal Line K of the Schedule IC? | Y | Y | Y | Y | Y | Y |
| AUDITS: | | | | | | | |
| 8.30 | Is Line I a positive number? (If not, the agency must adjust the budget request to eliminate the deficit). | Y | Y | Y | Y | Y | Y |
| 8.31 | Is the June 30 Adjusted Unreserved Fund Balance (Line I) equal to the July 1 Unreserved Fund Balance (Line A) of the following year? If a Schedule IB was prepared, do the totals agree with the Schedule I, Line I? (SC1R, SC1A - Report should print "No Discrepancies Exist For This Report") | Y | Y | Y | Y | Y | Y |
| 8.32 | Has a Department Level Reconciliation been provided for each trust fund and does Line A of the Schedule I equal the CFO amount? If not, the agency must correct Line A. (SC1R, DEPT) | Y | Y | Y | Y | Y | Y |
| 8.33 | Has a Schedule IB been provided for ALL trust funds having an unreserved fund balance in columns A01, A02 and/or A03, and if so, does each column's total agree with line I? | Y | Y | Y | Y | Y | Y |
| 8.34 | Have A/R been properly analyzed and any allowances for doubtful accounts been properly recorded on the Schedule IC? | Y | Y | Y | Y | Y | Y |
| TIP | The Schedule I is the most reliable source of data concerning the trust funds. It is very important that this schedule is as accurate as possible! | | | | | | |
| TIP | Determine if the agency is scheduled for trust fund review. (See page 130 of the LBR Instructions.) Transaction DFTR in LAS/PBS is also available and provides an LBR review date for each trust fund. | | | | | | |
| TIP | Review the unreserved fund balances and compare revenue totals to expenditure totals to determine and understand the trust fund status. | | | | | | |
| TIP | Typically nonoperating expenditures and revenues should not be a negative number. Any negative numbers must be fully justified. | | | | | | |
| 9. SCHEDULE II (PSCR, SC2) | | | | | | | |
| AUDIT: | | | | | | | |
| 9.1 | Is the pay grade minimum for salary rate utilized for positions in segments 2 and 3? (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 161 of the LBR Instructions.) | Y | Y | Y | Y | Y | Y |
| 10. SCHEDULE III (PSCR, SC3) | | | | | | | |
| 10.1 | Is the appropriate lapse amount applied? (See page 92 of the LBR Instructions.) | N/A | N/A | N/A | N/A | N/A | N/A |
| 10.2 | Are amounts in <i>Other Salary Amount</i> appropriate and fully justified? (See page 99 of the LBR Instructions for appropriate use of the OAD transaction.) Use OADI or OADR to identify agency other salary amounts requested. | N/A | N/A | N/A | N/A | N/A | N/A |

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|--------|--|------|------|------|------|------|
| | Program or Service (Budget Entity Codes) | | | | | |
| Action | 4501 | 4510 | 4520 | 4530 | 4540 | 4550 |

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| 11. SCHEDULE IV (EADR, SC4) | | | | | | |
| 11.1 | Are the correct Information Technology (IT) issue codes used? | Y | Y | Y | Y | Y |
| TIP | If IT issues are not coded (with "C" in 6th position or within a program component of 1603000000), they will not appear in the Schedule IV. | | | | | |

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|--|--|---|---|---|---|---|
| 12. SCHEDULE VIIIA (EADR, SC8A) | | | | | | |
| 12.1 | Is there only one #1 priority, one #2 priority, one #3 priority, etc. reported on the Schedule VIII-A? Are the priority narrative explanations adequate? Note: FCO issues can now be included in the priority listing. | Y | Y | Y | Y | Y |

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| 13. SCHEDULE VIIIB-1 (EADR, S8B1) | | | | | | |
| 13.1 | NOT REQUIRED FOR THIS YEAR | | | | | |

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|--|---|---|---|---|---|---|
| 14. SCHEDULE VIIIB-2 (EADR, S8B2) | | | | | | |
| 14.1 | Do the reductions comply with the instructions provided on pages 104 through 106 of the LBR Instructions regarding a 10% reduction in recurring General Revenue and Trust Funds, including the verification that the 33BXXX0 issue has NOT been used? | Y | Y | Y | Y | Y |

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| 15. SCHEDULE VIIIC (EADR, S8C) (LAS/PBS Web - see page 107-109 of the LBR Instructions for detailed instructions) | | | | | | |
| 15.1 | Agencies are required to generate this schedule via the LAS/PBS Web. | Y | Y | Y | Y | Y |
| 15.2 | Does the schedule include at least three and no more than 10 unique reprioritization issues, in priority order? Manual Check. | Y | Y | Y | Y | Y |
| 15.3 | Does the schedule display reprioritization issues that are each comprised of two unique issues - a deduct component and an add-back component which net to zero at the department level? | Y | Y | Y | Y | Y |
| 15.4 | Are the priority narrative explanations adequate and do they follow the guidelines on pages 107-109 of the LBR instructions? | Y | Y | Y | Y | Y |
| 15.5 | Does the issue narrative in A6 address the following: Does the state have the authority to implement the reprioritization issues independent of other entities (federal and local governments, private donors, etc.)? Are the reprioritization issues an allowable use of the recommended funding source? | Y | Y | Y | Y | Y |

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|---------------|---|---|---|---|---|---|
| AUDIT: | | | | | | |
| 15.6 | Do the issues net to zero at the department level? (GENR, LBR5) | Y | Y | Y | Y | Y |

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| 16. SCHEDULE XI (USCR,SCXI) (LAS/PBS Web - see page 110-114 of the LBR Instructions for detailed instructions) | | | | | | |
| 16.1 | Agencies are required to generate this spreadsheet via the LAS/PBS Web. The Final Excel version no longer has to be submitted to OPB for inclusion on the Governor's Florida Performs Website. (Note: Pursuant to section 216.023(4) (b), Florida Statutes, the Legislature can reduce the funding level for any agency that does not provide this information.) | | | | | |
| 16.2 | Do the PDF files uploaded to the Florida Fiscal Portal for the LRPP and LBR match? | Y | Y | Y | Y | Y |

| | | Program or Service (Budget Entity Codes) | | | | | |
|--|---|--|------|------|------|------|------|
| Action | | 4501 | 4510 | 4520 | 4530 | 4540 | 4550 |
| AUDITS INCLUDED IN THE SCHEDULE XI REPORT: | | | | | | | |
| 16.3 | Does the FY 2015-16 Actual (prior year) Expenditures in Column A36 reconcile to Column A01? (GENR, ACT1) | Y | Y | Y | Y | Y | Y |
| 16.4 | None of the executive direction, administrative support and information technology statewide activities (ACT0010 thru ACT0490) have output standards (Record Type 5)? (Audit #1 should print "No Activities Found") | Y | Y | Y | Y | Y | Y |
| 16.5 | Does the Fixed Capital Outlay (FCO) statewide activity (ACT0210) only contain 08XXXX or 14XXXX appropriation categories? (Audit #2 should print "No Operating Categories Found") | Y | Y | Y | Y | Y | Y |
| 16.6 | Has the agency provided the necessary standard (Record Type 5) for all activities which <u>should</u> appear in Section II? (Note: 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 | Y | Y | Y | Y | Y |
| 16.7 | Does Section I (Final Budget for Agency) and Section III (Total Budget for Agency) equal? (Audit #4 should print "No Discrepancies Found") | Y | Y | Y | Y | Y | Y |
| TIP If Section I and Section III have a small difference, it may be due to rounding and therefore will be acceptable. | | | | | | | |
| 17. MANUALLY PREPARED EXHIBITS & SCHEDULES | | | | | | | |
| 17.1 | Do exhibits and schedules comply with LBR Instructions (pages 115 through 158 of the LBR Instructions), and are they accurate and complete? | Y | Y | Y | Y | Y | Y |
| 17.2 | Does manual exhibits tie to LAS/PBS where applicable? | Y | Y | Y | Y | Y | Y |
| 17.3 | Are agency organization charts (Schedule X) provided and at the appropriate level of detail? | Y | Y | Y | Y | Y | Y |
| 17.4 | Does the LBR include a separate Schedule IV-B for each IT project over \$1 million (see page 134 of the LBR instructions for exceptions to this rule)? Have all IV-Bs been emailed to: IT@LASPBS.STATE.FL.US? | N/A | N/A | N/A | N/A | N/A | N/A |
| 17.5 | Are all forms relating to Fixed Capital Outlay (FCO) funding requests submitted in the proper form, including a Truth in Bonding statement (if applicable) ? | N/A | N/A | N/A | N/A | N/A | N/A |
| AUDITS - GENERAL INFORMATION | | | | | | | |
| TIP Review <i>Section 6: Audits</i> of the LBR Instructions (pages 160-162) 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. | | | | | | | |
| 18. CAPITAL IMPROVEMENTS PROGRAM (CIP) | | | | | | | |
| 18.1 | Are the CIP-2, CIP-3, CIP-A and CIP-B forms included? | Y | Y | Y | Y | Y | Y |
| 18.2 | Are the CIP-4 and CIP-5 forms submitted when applicable (see CIP Instructions)? | Y | Y | Y | Y | Y | Y |
| 18.3 | Do all CIP forms comply with CIP Instructions where applicable (see CIP | Y | Y | Y | Y | Y | Y |
| 18.4 | Does the agency request include 5 year projections (Columns A03, A06, A07, A08 and A09)? | N/A | N/A | N/A | N/A | N/A | N/A |

| | | Program or Service (Budget Entity Codes) | | | | | |
|----------------------------------|---|--|------|------|------|------|------|
| Action | | 4501 | 4510 | 4520 | 4530 | 4540 | 4550 |
| 18.5 | Are the appropriate counties identified in the narrative? | N/A | N/A | N/A | N/A | N/A | N/A |
| 18.6 | Has the CIP-2 form (Exhibit B) been modified to include the agency priority for each project and the modified form saved as a PDF document? | N/A | N/A | N/A | N/A | N/A | 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. | | | | | | |
| 19. FLORIDA FISCAL PORTAL | | | | | | | |
| 19.1 | Have all files been assembled correctly and posted to the Florida Fiscal Portal as outlined in the Florida Fiscal Portal Submittal Process? | Y | Y | Y | Y | Y | Y |