
LEGISLATIVE BUDGET REQUEST

Department of Elder Affairs

Tallahassee

October 15, 2008

Mr. Jerry L. McDaniel, Director
Office of Policy and Budget
Executive Office of the Governor
1701 Capitol
Tallahassee, FL 32399-0001

Mr. Michael Hansen, Budget Director
House Policy and Budget Council
418 Capitol
Tallahassee, Florida 32399-1300

Ms. Cynthia Kelly, Staff Director
Senate Fiscal Policy & Calendar Committee
201 Capitol
Tallahassee, Florida 32399-1300

Dear Directors:

Pursuant to Chapter 216, *Florida Statutes*, our Legislative Budget Request for the Department of Elder Affairs is submitted in the format prescribed in the budget instructions. The information provided electronically and contained herein is a true and accurate presentation of our proposed needs for the 2009-10 Fiscal Year. This submission has been approved by E. Douglas Beach, Secretary.

Sincerely,



Tonya M. Kidd
Chief Financial Officer

DEPARTMENT OF ELDER AFFAIRS

**Comprehensive Eligibility Services – 65100200
Home and Community Services – 65100400
Executive Direction and Support Services – 65100600
Consumer Advocate Services - 65101000**

Department Level Exhibits and Schedules

Schedule VII	Agency Litigation Inventory
Schedule X	Organization Structure
Schedule XI	Agency Level Unit Cost Summary
Schedule XII	Series Outsourcing or Privatization of State Service or Activity
Schedule XIII	Proposed Consolidated Financing of Deferred-Payment Commodity Contracts

Schedule VII: Agency Litigation Inventory

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

Agency:	Department of Elder Affairs		
Contact Person:	Theresa G. Walsh	Phone Number:	(850) 414-2000
Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	<u>William Long, Charles Todd Lee, Rodney Peterson, John Boyd, Clayton L. Griffin, Margaret Washington, and Louise Seymour, on behalf of themselves and all others similarly situated v. Holly Benson, in her official capacity as Secretary, Florida Agency for Health Care Administration, and Douglas Beach, in his official capacity as Secretary, Florida Department of Elder Affairs</u>		
Court with Jurisdiction:	United States District Court in and for the Northern District of Florida		
Case Number:	4:08-cv-26-RH-WCS		
Summary of the Complaint:	<p>Class action lawsuit alleging that Florida is in violation of Americans with Disabilities Act, 42 U.S.C. §12132 and the Rehabilitation Act of 1973, 29 U.S.C. §794(a)(Section 504) by failing to cover services and support in appropriate, integrated community settings. The Plaintiffs seek declaratory and injunctive relief. They ask the Court for injunctive relief requiring Florida to inform Plaintiffs and class members that they may be eligible for publicly-funded community services and that they have a choice of such services; and ensure coverage of, as appropriate, long-term care services and supports in the most integrated setting appropriate for Plaintiffs and class members and refrain from providing unnecessary and unwanted long-term care only in institutional settings. Plaintiffs ask the court to declare that Florida's failure to provide Plaintiffs and class members with services in the most integrated setting appropriate to their needs violates Title II of the American with Disabilities Act and Section 504 of the Rehabilitation Act. Plaintiffs also seek attorneys' fees and costs.</p>		
Amount of the Claim:	The plaintiffs do not seek monetary damages; however, according to AHCA, the monetary impact could exceed \$25,000,000 annually in additional Medicaid payments if the plaintiffs were successful.		
Specific Statutes or Laws (including GAA) Challenged:			
Status of the Case:	The Agency was served with Class Action Complaint on January 15, 2008. Defendants requested and were granted additional time to respond to the Class Action Complaint. On February 19, 2008, the Plaintiffs filed an Amended Class Action Complaint for Declaratory and Injunctive Relief. On March 7, 2008, the Defendants filed a Motion to Dismiss Amended Complaint. On March 21, 2008, the Defendants filed a Response in Opposition to the Plaintiffs' Motion to Certify Class. On		

	<p>March 24, 2008, the Plaintiffs requested Oral Argument. On June 7, 2008, the Court entered an order denying the Defendants' Motion to Dismiss and Deferring Ruling on Class Certification. On July 7, 2008, the Defendants filed an Answer to the Plaintiffs' Amended Complaint. On September 17, 2008, Plaintiffs filed a Motion for Preliminary Injunction and Expedited Hearing. The Motion for Class Certification and Preliminary Injunction are set for hearing on September 30, 2008. Court ordered Mediation is to take place by January 2, 2009. Trial is set to begin April 6, 2009.</p>	
<p>Who is representing (of record) the state in this lawsuit? Check all that apply.</p>		<p>Agency Counsel</p>
	<p>X</p>	<p>Office of the Attorney General or Division of Risk Management</p>
	<p>X</p>	<p>Outside Contract Counsel</p>
<p>If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).</p>	<p>Class is not certified to date. Jodi Siegel with Southern Legal Counsel, Inc. Neil Chonin with Southern Legal Counsel, Inc. Gabriella Ruiz with Southern Legal Counsel, Inc. Stephen F. Gold, P.A. Stacy Canan, D.C. with AARP Foundation Litigation Bruce Vignery, D.C. with AARP Foundation Litigation Sarah Somers, N.C. with National Health Law Program</p>	

DEPARTMENT OF ELDER AFFAIRS
Effective 09/25/2008

Secretary
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Advisory Council
ADI

Advisory Council
DOEA

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DOEA
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Deputy Secretary & Chief of Staff
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External Affairs
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Community Based Services
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Administrative Assistant
II- SES
Sandra McNair
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CARES
See Page 8-18

Long-Term Care
And Support
See Page 7

Community & Support
Services
See Page 8

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Senior Attorney – SES
MaryEllen McDonald
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Senior Legal Assist.
Vacant
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Guardianship
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Operations &
Management Consultant
I-SES
Frankie Leland
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Government Analyst I
LyShaundra Williams
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Administrative Assist. II
Margo Mitchell
0395 (18) (0712) 1.00

Long-Term Care
Ombudsman Program
See Page 19-20

General Services/
Human Resources
See Page 4

Information Technology
See Page 4

Communities for a
Lifetime
See Page 5

Training Manager - SES
Felipe Martinez
0378 (419) (1330) 1.00

Legislative Affairs
See Page 3

Communications
See Page 3

Elder Rights
See Page 3

Planning & Evaluation
See Page 6

Administrative Assist. II
– SES
Secret Williams
0078 (418) (0712) 1.00

Senior Management
Analyst II - SES
Eloise Williams
0024 (426) (2225) 1.00

Senior Clerk
Vacant
OPS 65650019 .50

Accounting
See Page 2

Revenue Management
See Page 2

Budget
See Page 2

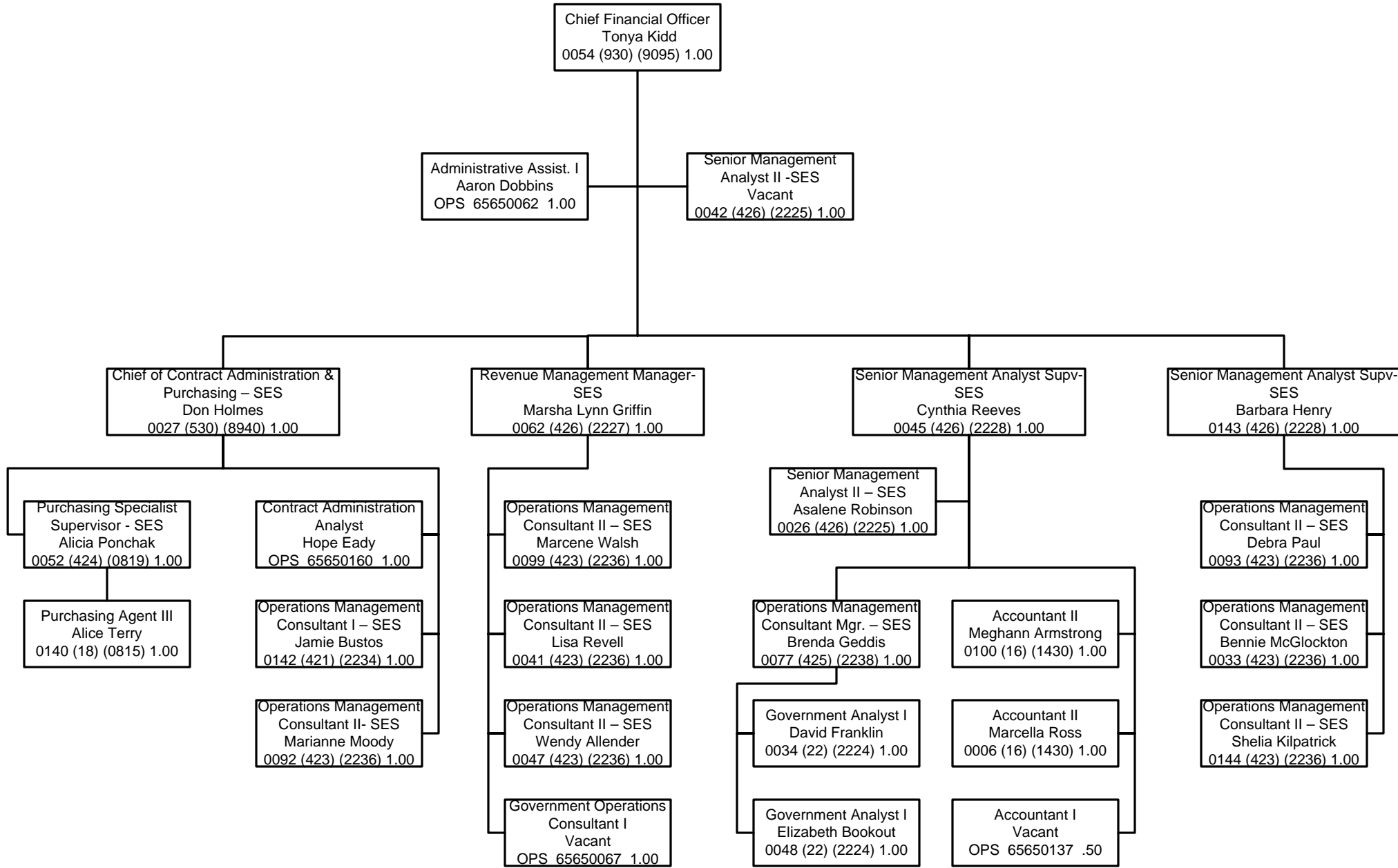
Contract Administration
& Purchasing
See Page 2

Senior Management
Analyst II – SES
Antony Hernandez
0005 (426) (2225) 1.00

Administrative Assist. I
Andria Farmer
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Senior Management
Analyst II
Vacant
OPS 65650005 .50

Division of Financial Administration



Director of Internal & External Affairs
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LEGISLATIVE AFFAIRS

Legislative Affairs
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 SES
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 Coordinator - SES
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 Coord – SES
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Administrative Assist. II
 Vacant
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Public Information Spec
 Carolyn Devonshire
 0342 (19) (3718) 1.00

Switchboard Operator II
 Shelley Paschall
 0086 (07) (0255) 1.00

Operations &
 Management Consultant
 II – SES
 Liz Jameson
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Switchboard Operator I
 Vacant
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Graphic Consultant
 Saudade Hernandez-
 Benjamin
 OPS 65650204 1.00

Switchboard Operator I
 Shalone James
 OPS 65650163 1.00

Switchboard Operator I
 Pene Miller
 OPS 65650178 1.00

ELDER RIGHTS

Chief of Elder Rights-DOEA
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Administrative Assist. I
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 OPS 65650297 1.00

Abuse Prevention

Government Analyst II
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 00075 (26) (2225) .50
 OPS 65650051 .50

**SHINE & Sunshine for Seniors
 Health Insurance & Education**

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 Supervisor – SES
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 Management Consultant
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 OPS 65650208 1.00

Data Entry Operator
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 OPS 65650136 1.00

SHINE VOLUNTEERS

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 OPS 65650334 1.00
 Effective July 1st 2008

Public Information
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 OPS 65650214 1.00

Sunshine for Seniors
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Senior Clerk
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Human Resources Specialist - SES
 Jamie Clifton
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Human Resources Specialist - SES
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Systems Programmer III
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 Qian Chen
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Systems Programmer
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Enterprise Support Systems Project Analyst – SES
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Distributed Computer Systems Analyst
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 Vacant
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Distributed Computer Systems Specialist
 Trang Ly
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Computer Operator II
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 OPS 65650176 .50

Computer Operator I
 Cassandra Anderson
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ARC, CIRT
 Computer Programmer Analyst II
 Audrey Mei Ji
 0322 (22) (2103) 1.00

Data Processing Consultant
 Vacant
 OPS 65650209 1.00

Systems Programmer III
 Zhirong Du
 OPS 65650299 1.00

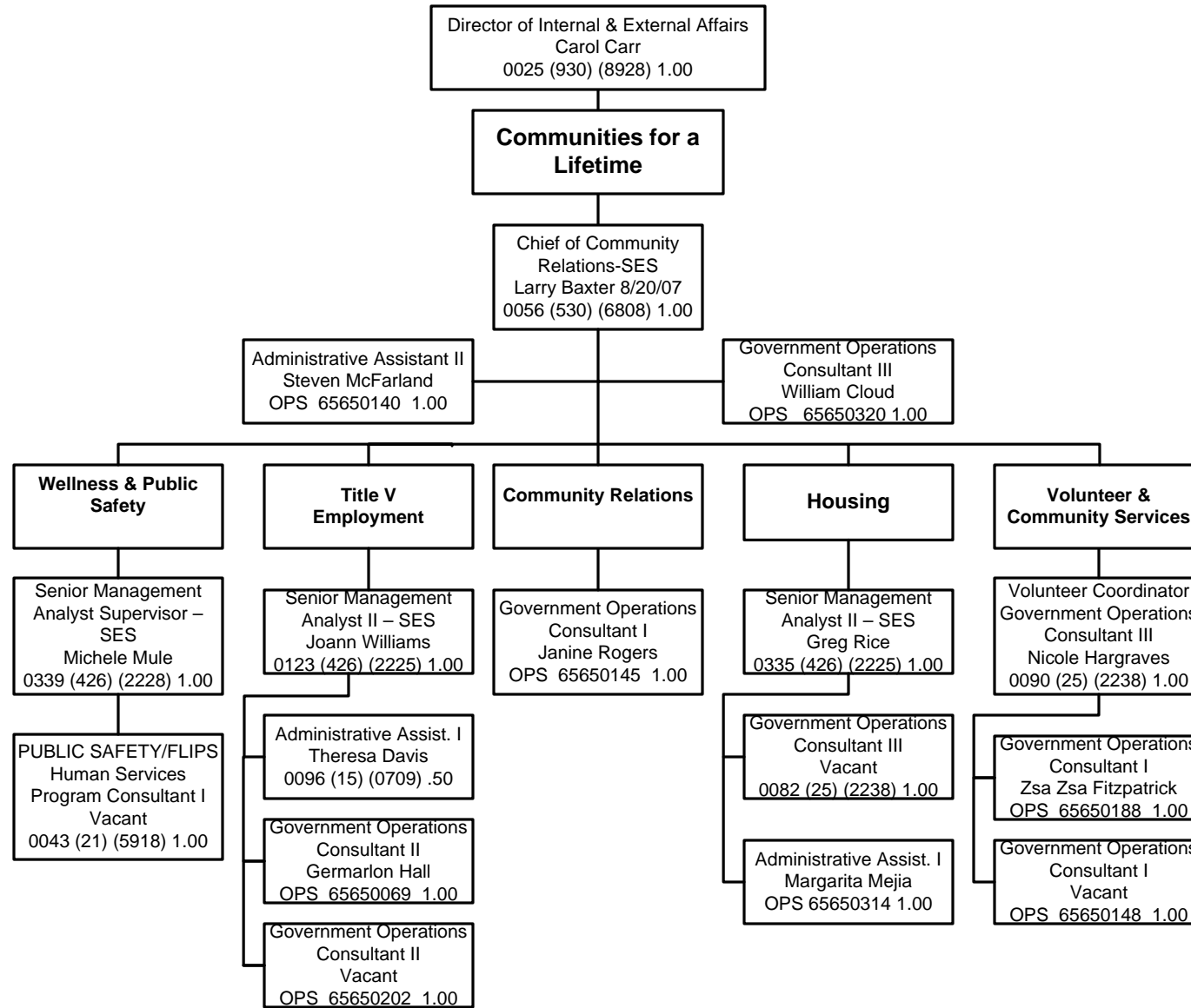
Distributed Computer Systems Analyst
 Matthew White
 OPS 65650018 1.00

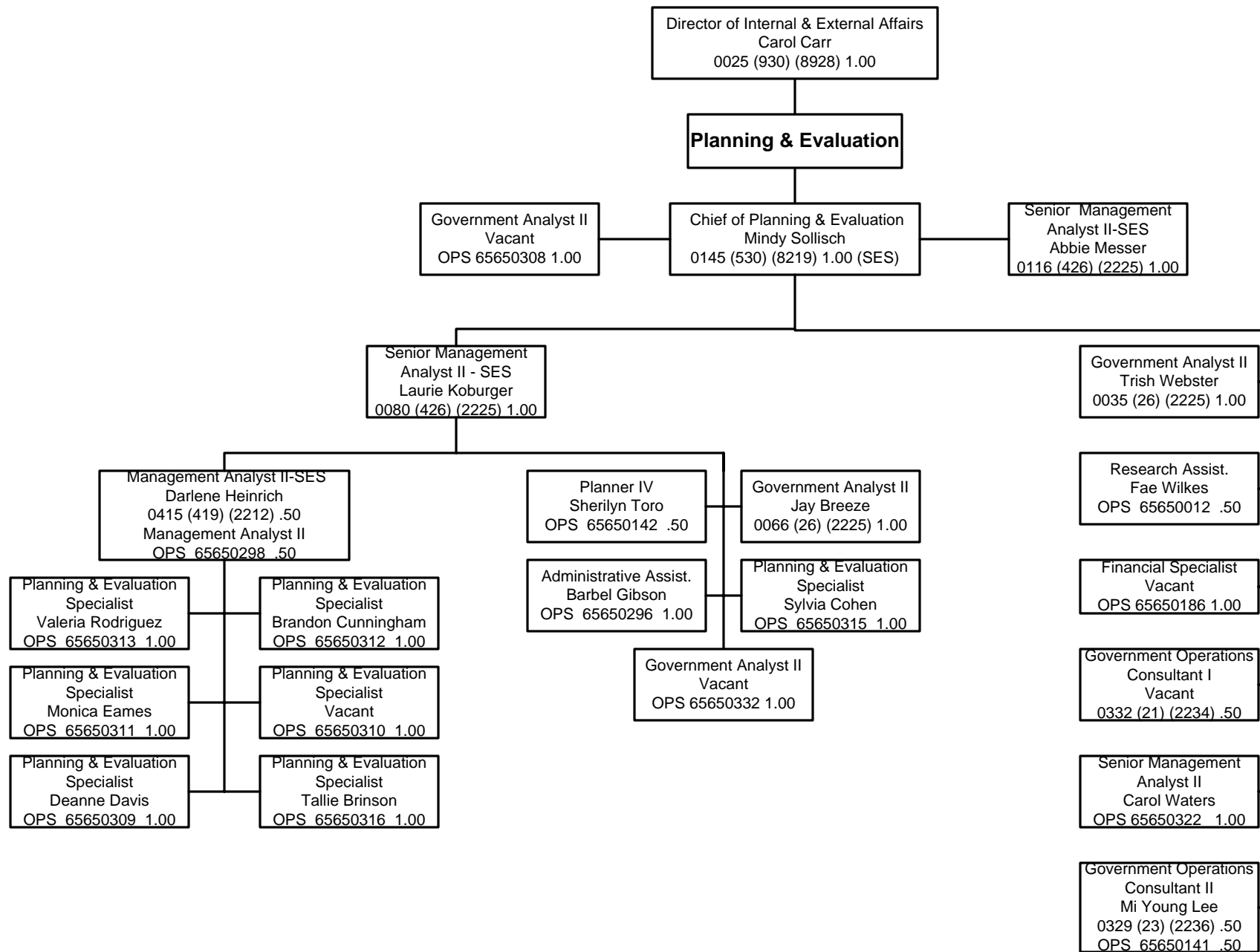
Other Systems Computer Programmer Analyst I
 Yanfang Wang
 0061 (20) (2102) 1.00

Data Processing Consultant
 Sheng Ye
 OPS 65650195 1.00

Sr. Webpage Design Specialist
 Government Operations Consultant I
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Medical/Health Care
 Program Analyst
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Medical/Health Care
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 SES
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 Consultant I
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Government Analyst I
 Karen Sims
 OPS 65650131 1.00

Operations Analyst I
 Pora Ju
 OPS 65650149 1.00

CARES

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 Pia Neustadter
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Government Analyst II
 Kathryn Chisolm
 0282 (26) (2225) 1.00

Staff Assist.
 Telicia Lewis
 OPS 65650276 1.00

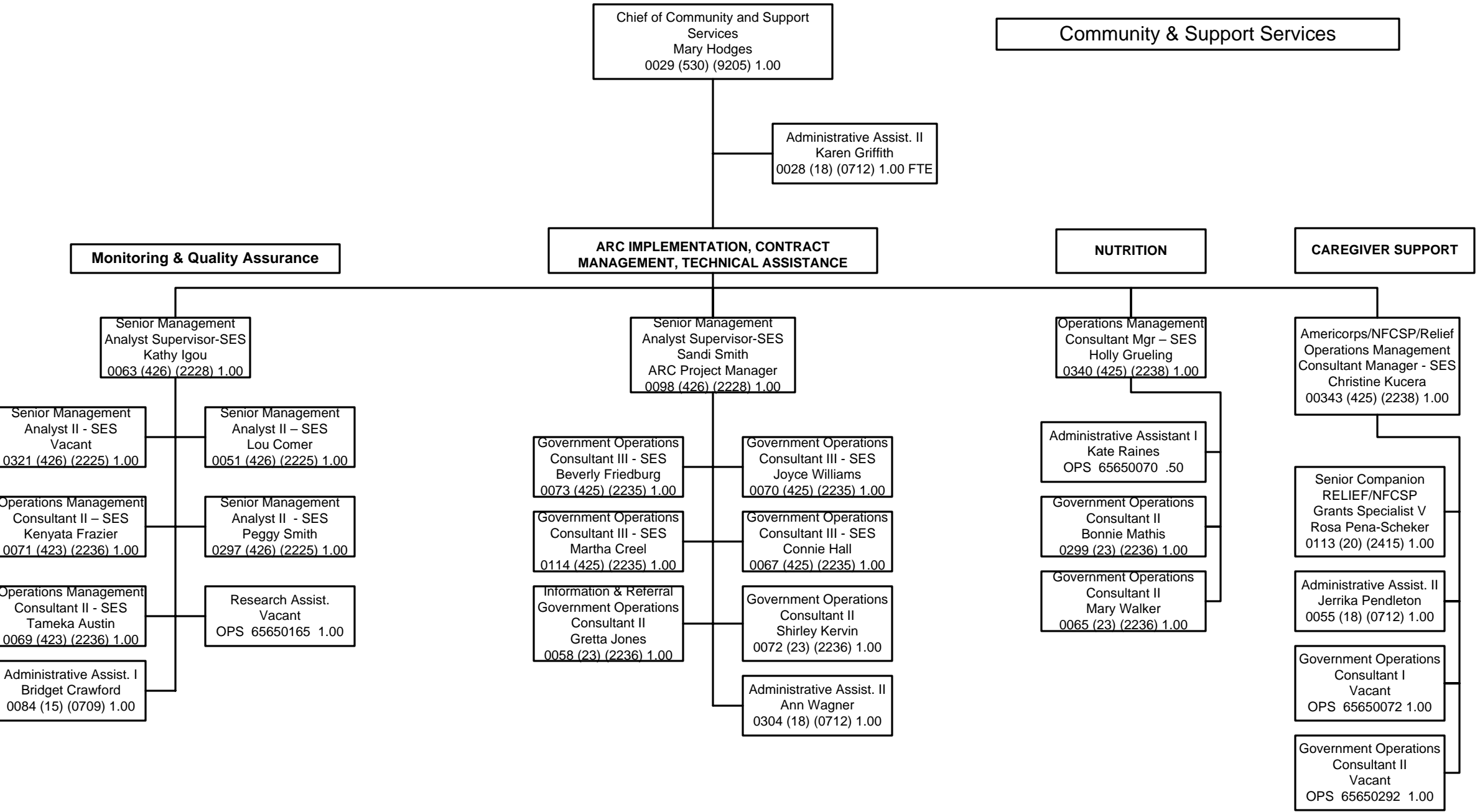
Government Analyst II
 Vacant
 0215 (26) (2225) 1.00

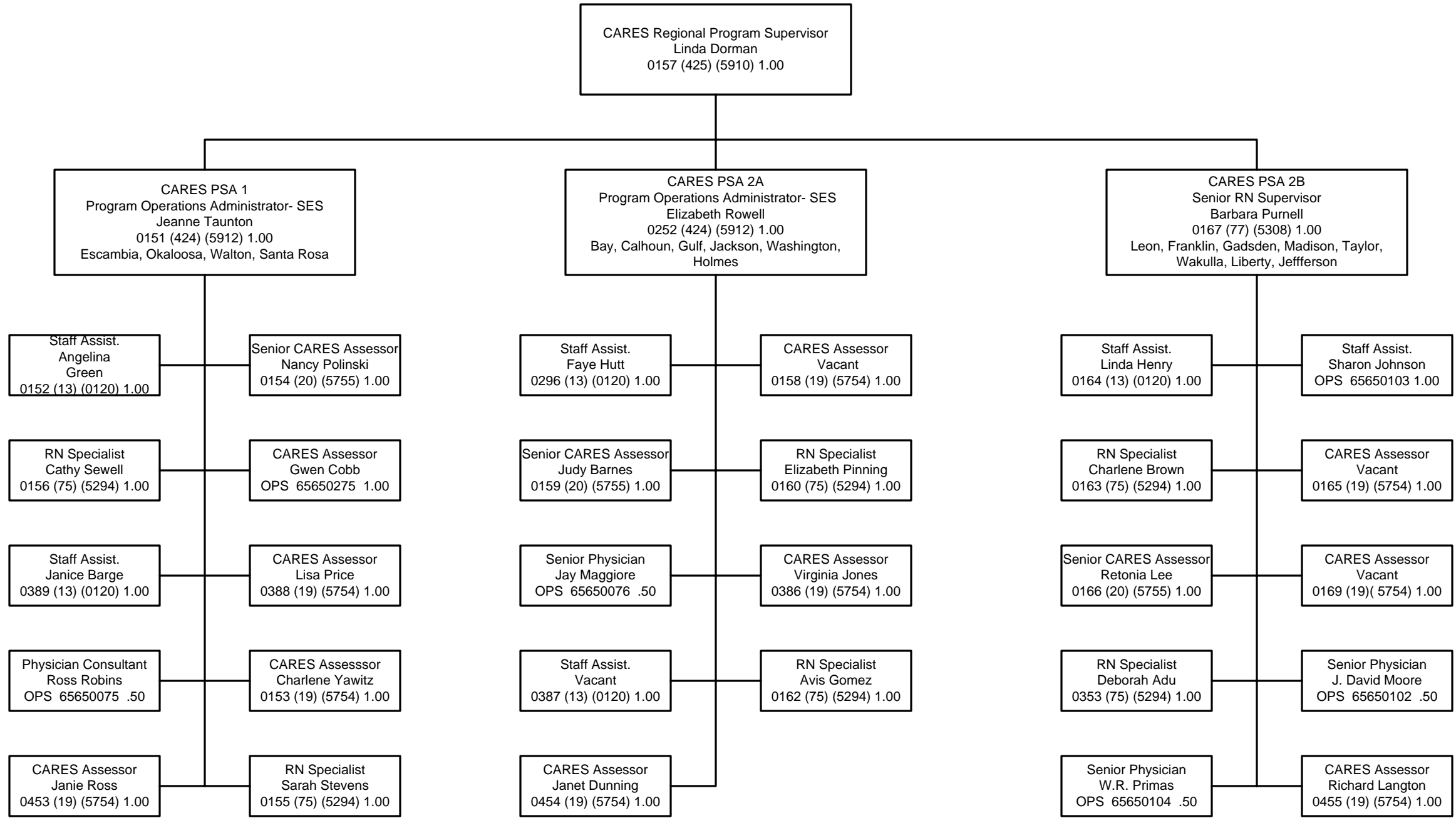
Regional Program
 Supervisor - SES
 Linda Dorman
 0157 (425) (5910) 1.00

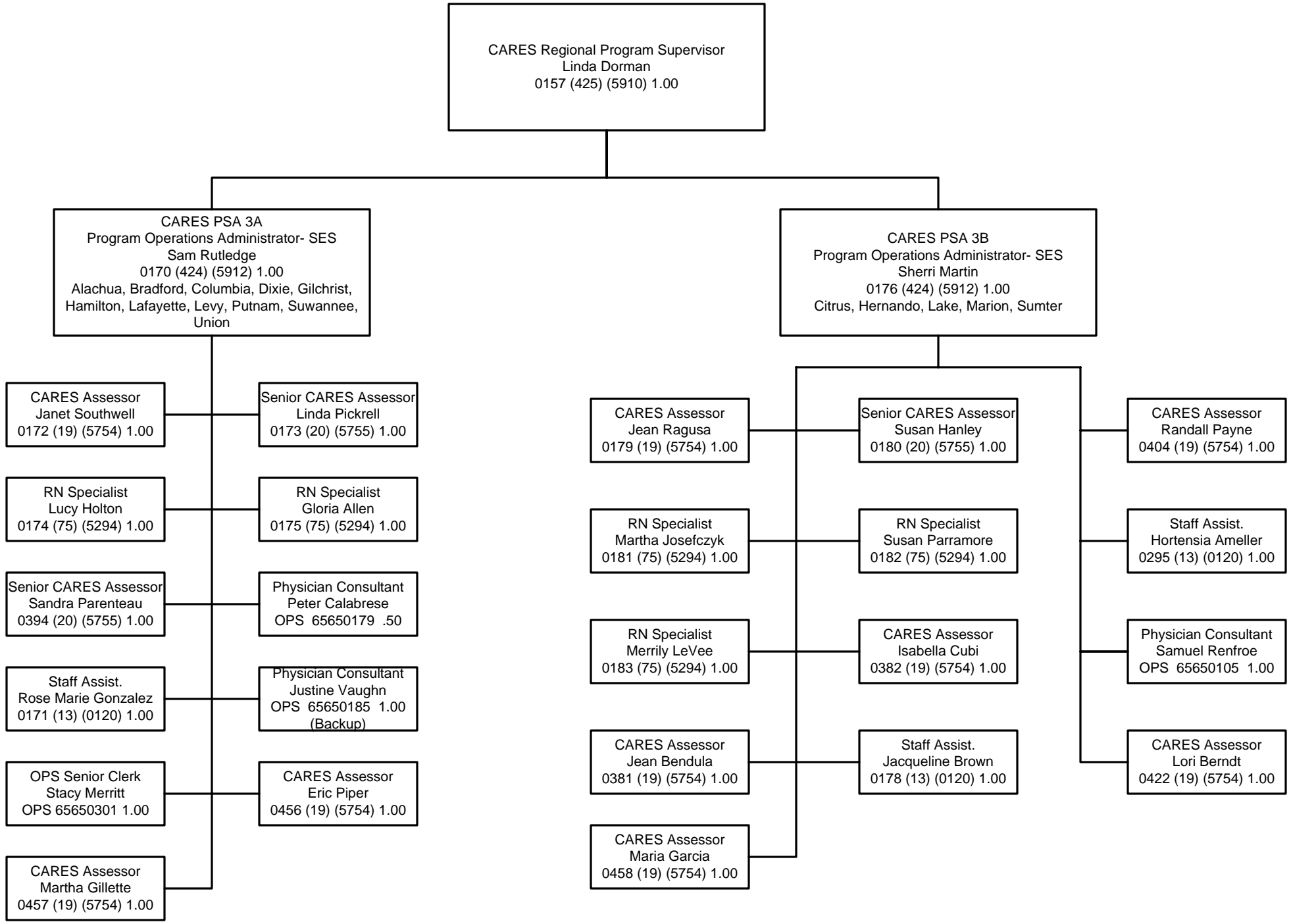
Regional Program
 Supervisor-SES
 Sheila Mitchell
 0256 (425) (5910) 1.00

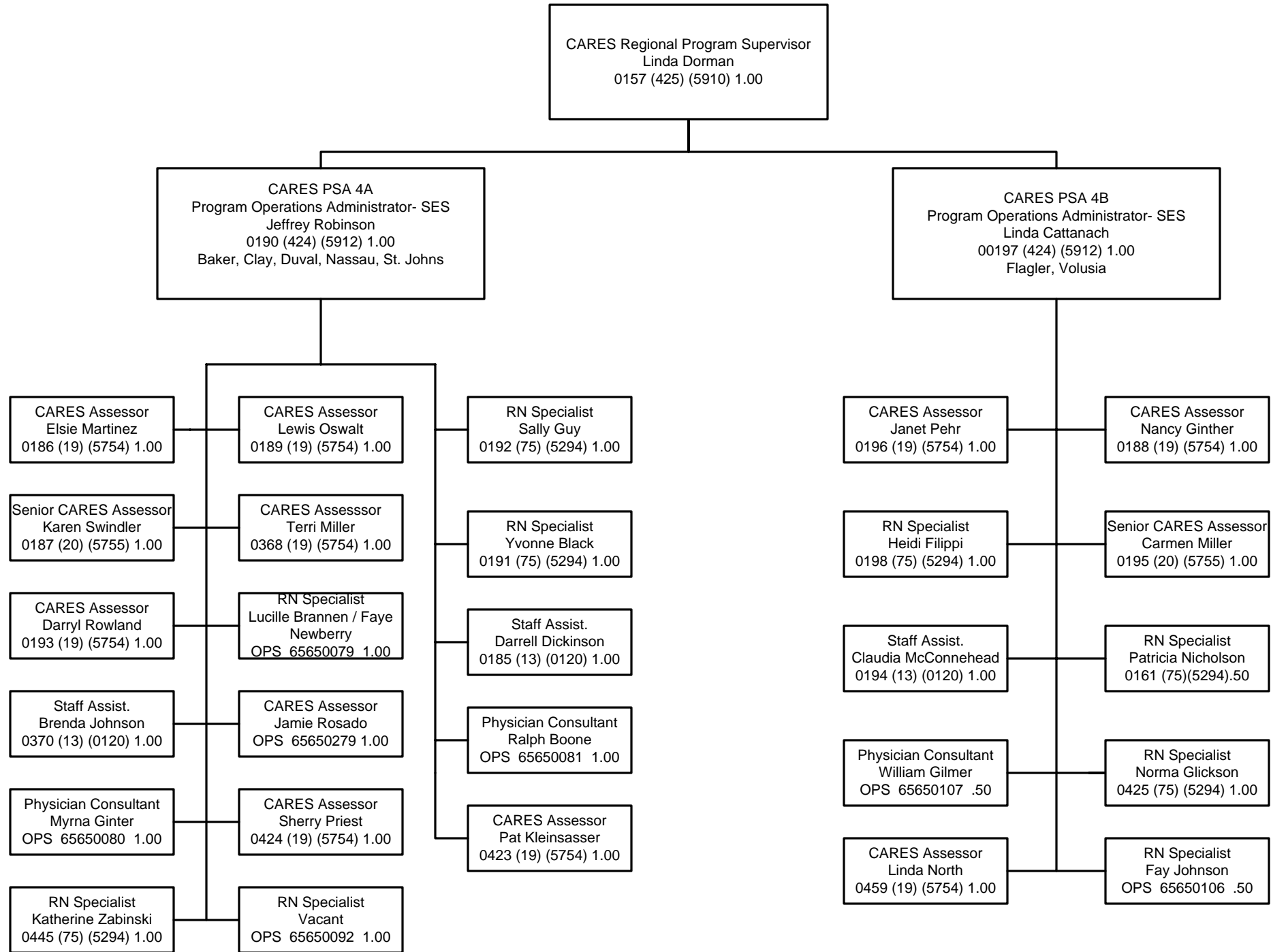
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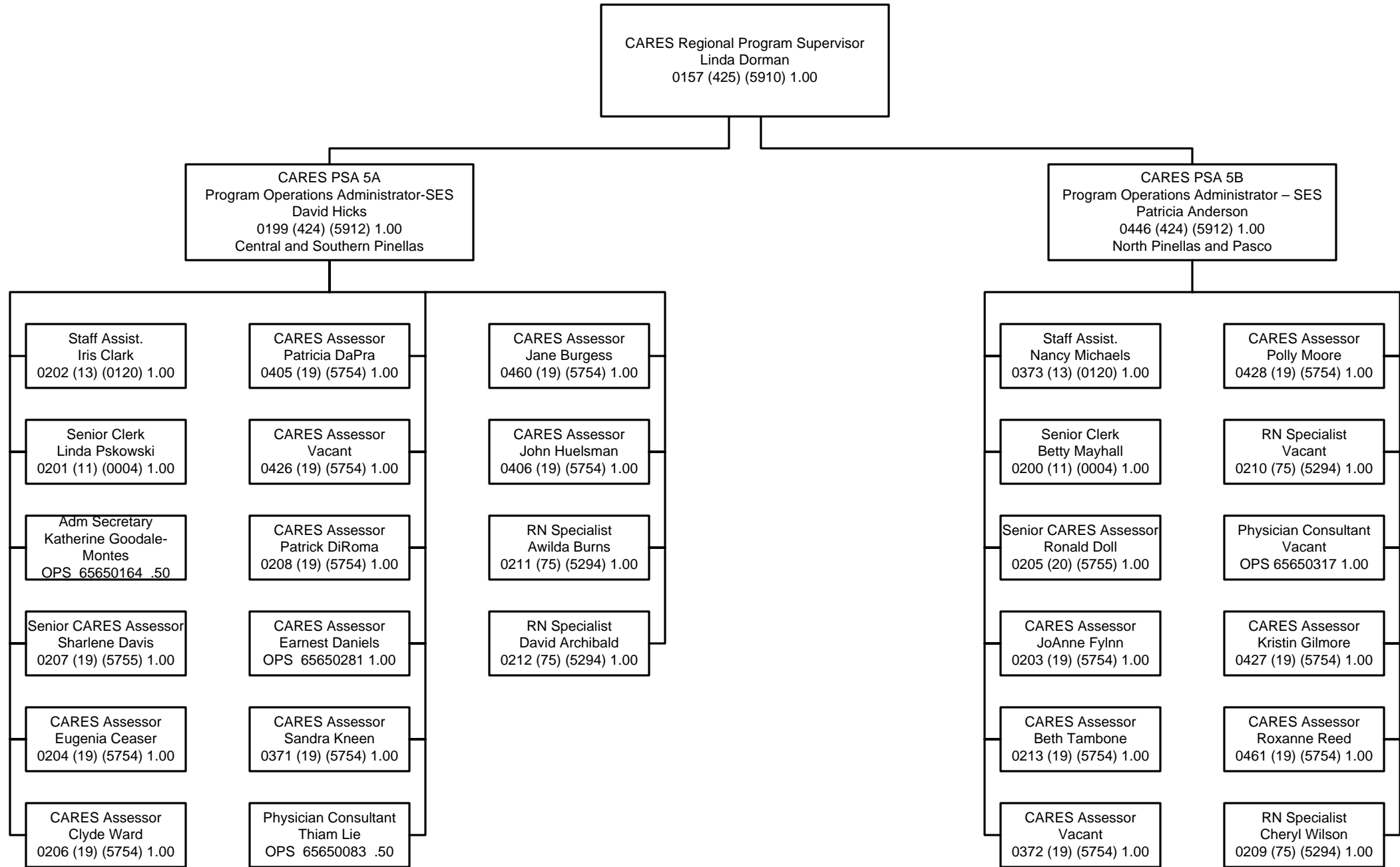
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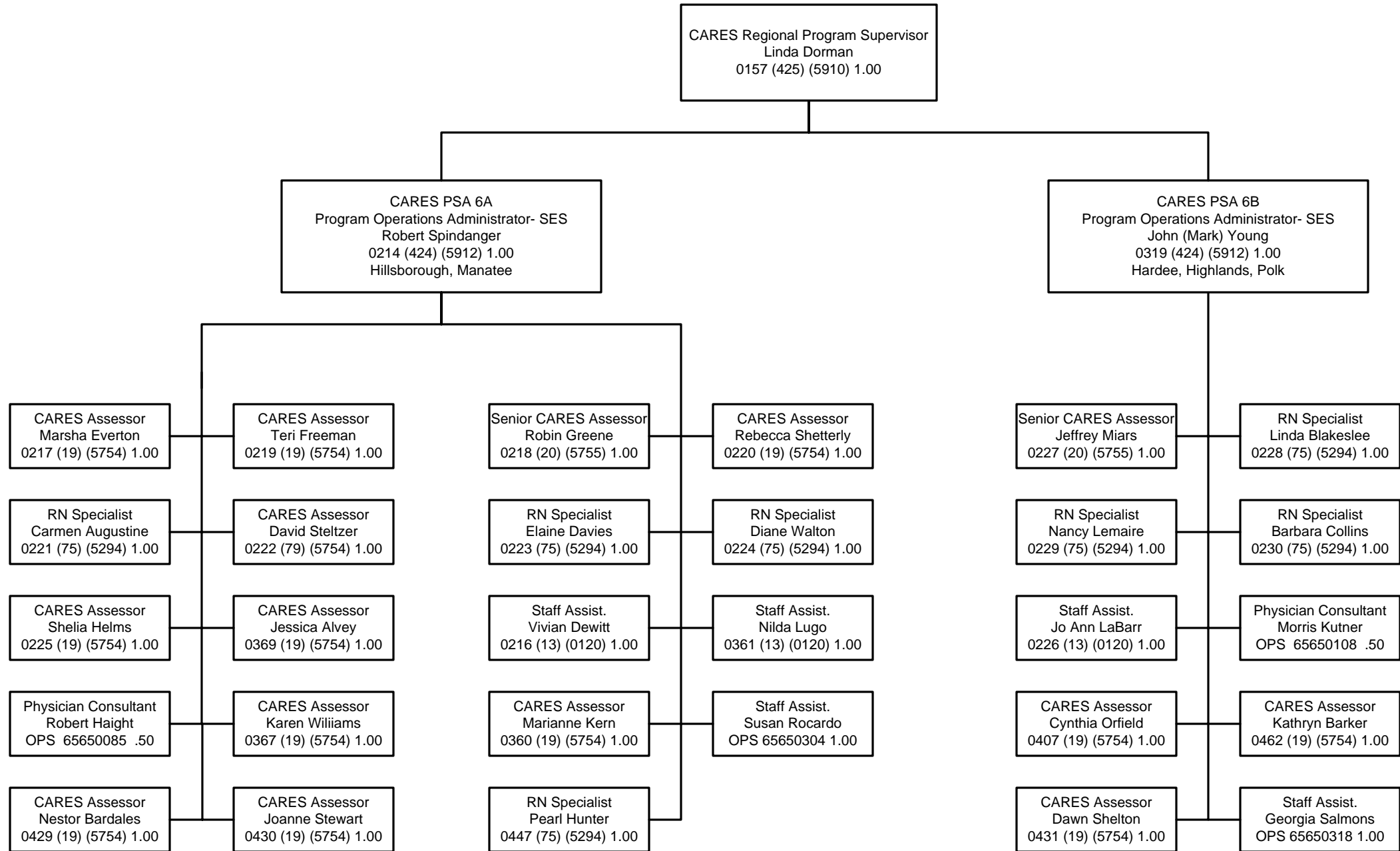


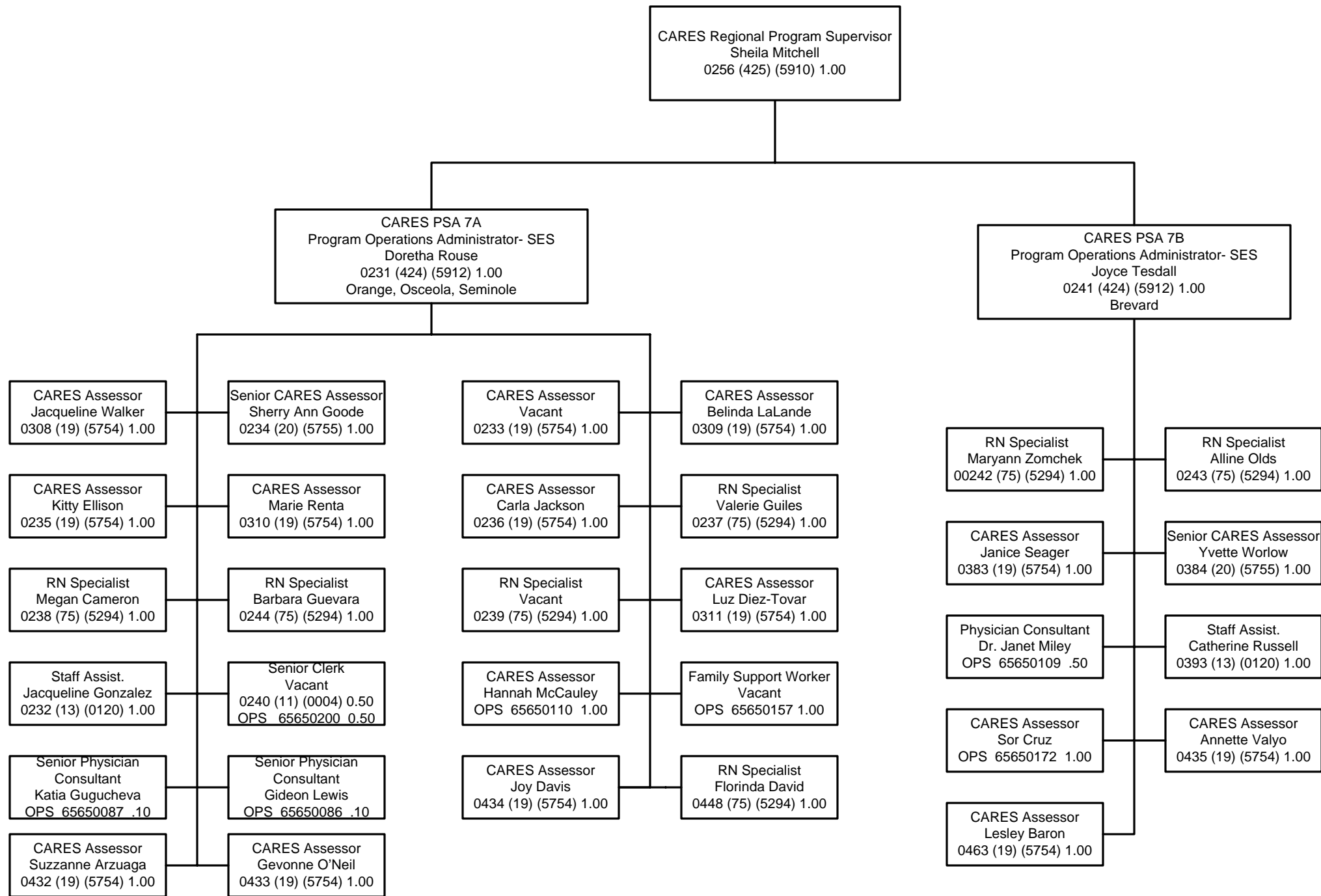


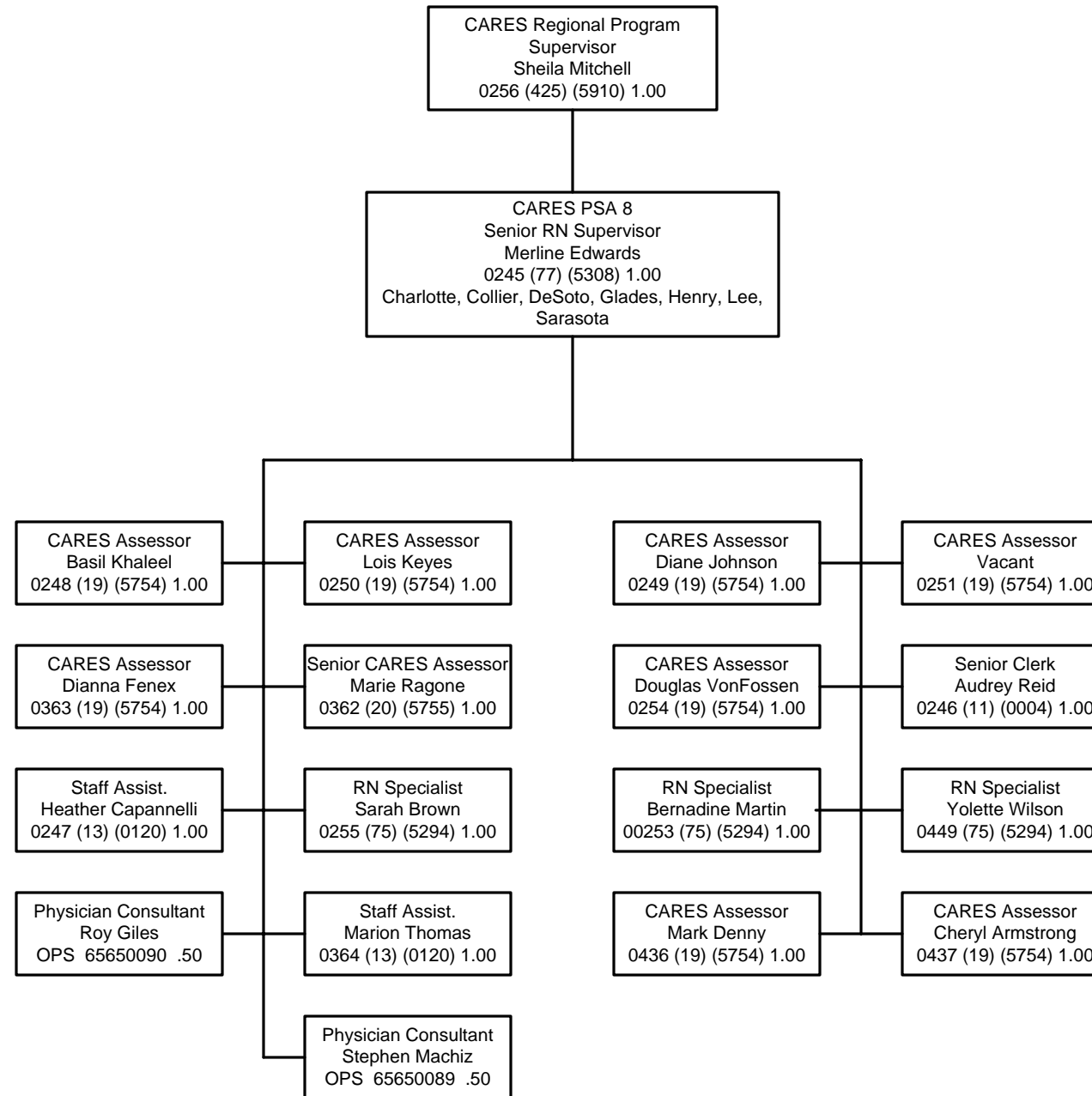


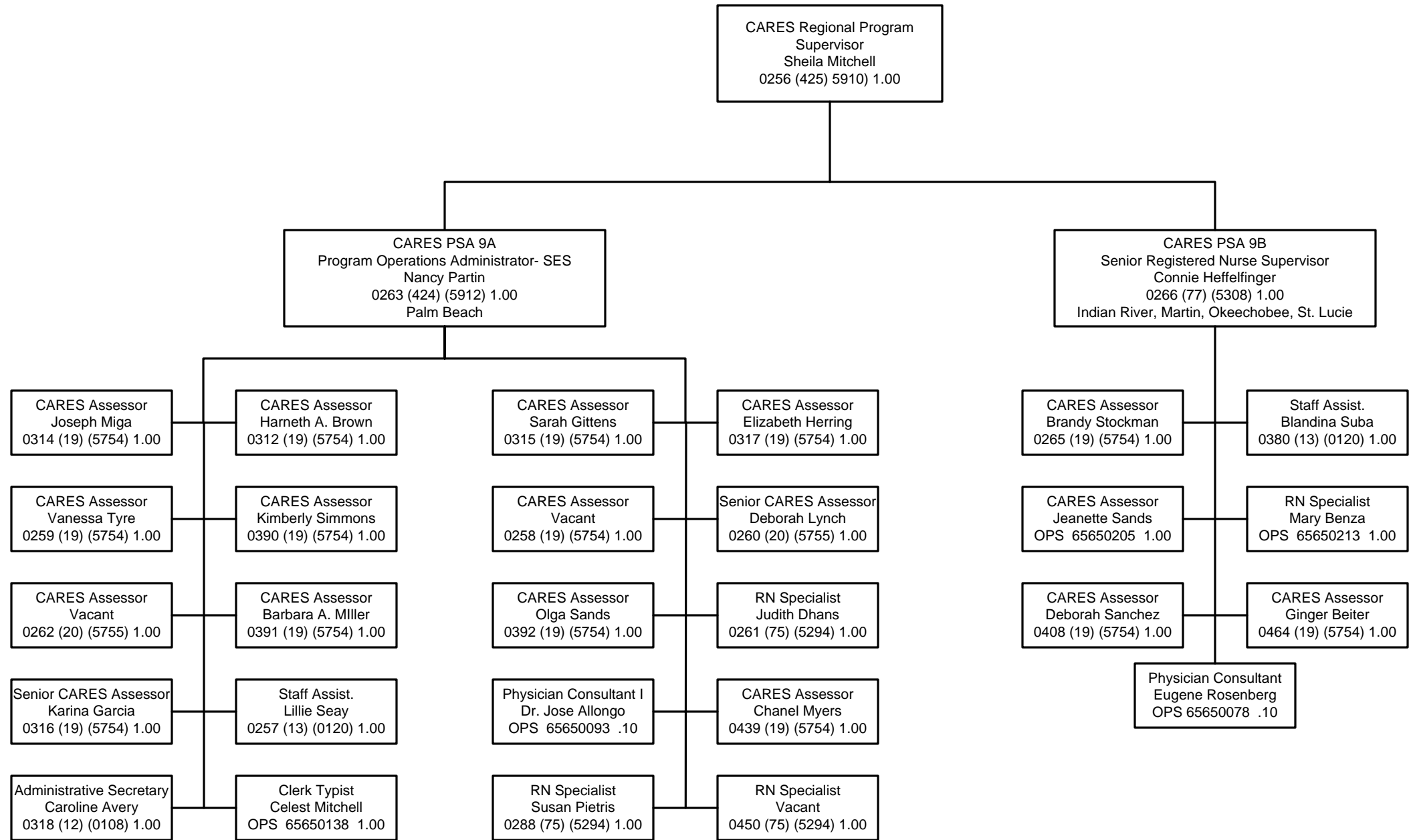


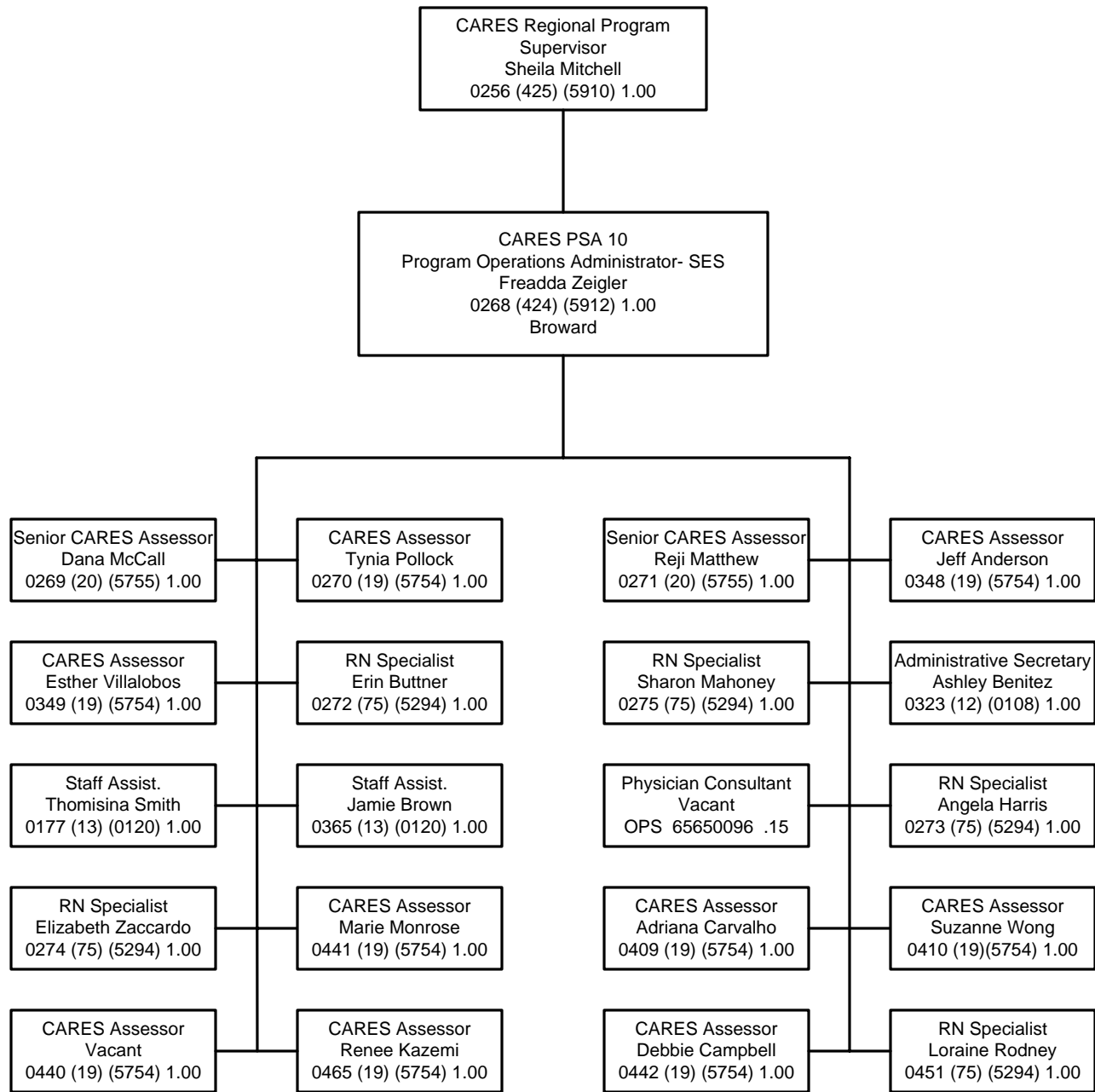








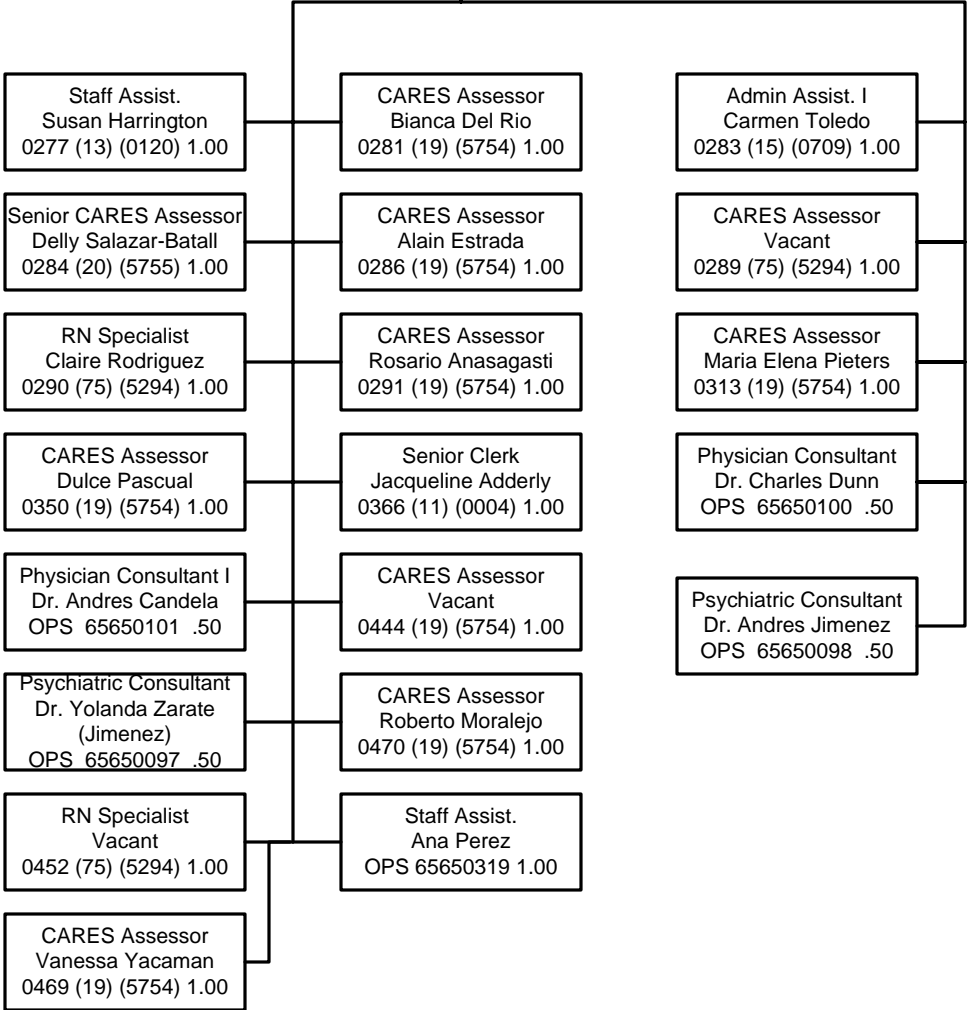
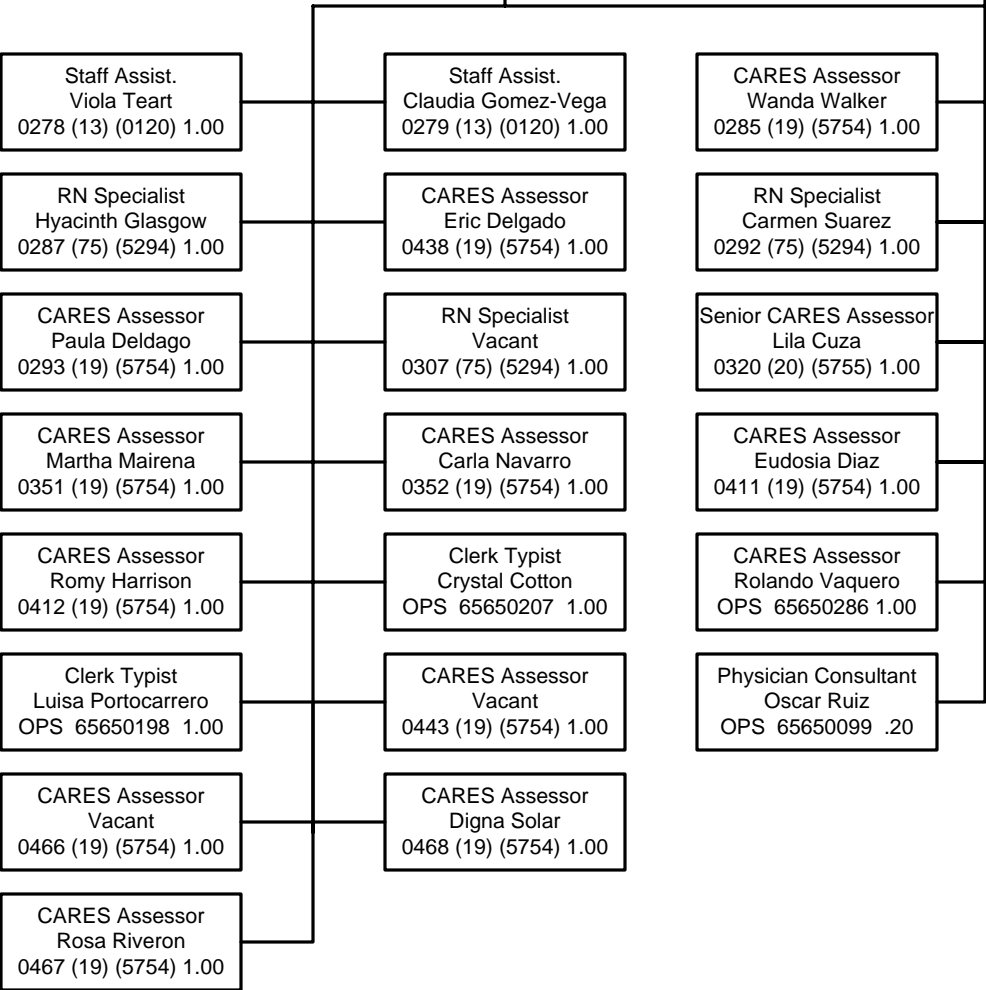


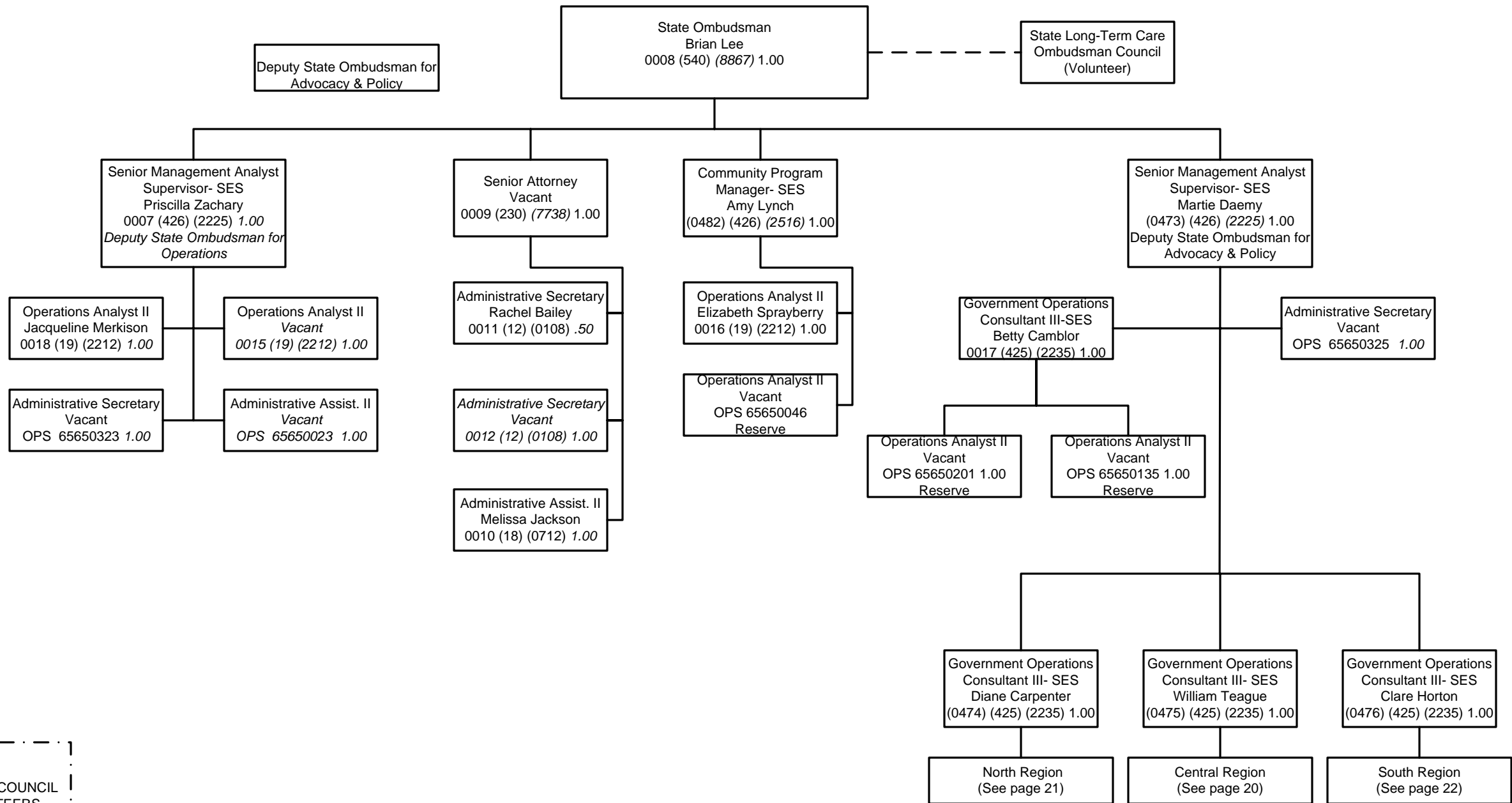


CARES Regional Program Supervisor
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0256 (425) (5910) 1.00

CARES PSA 11A
Program Operations Administrator- SES
Emmanuel Meniru
0413 (424) (5912) 1.00
North and Central Miami-Dade

CARES PSA 11B
Program Operations Administrator- SES
Rachel Sigael
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South Miami-Dade and Monroe





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Senior Management Analyst I SES
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 Bay, Calhoun, Gadsden, Liberty,
 Gulf, Franklin, Leon, Madison,
 Taylor, Jefferson, Wakulla

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 Lafayette, Dixie, Levy, Union,
 Putnam, Alachua, Bradford, Gilchrist

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 Marion, Citrus, Hernando, Sumter,
 Lake

Senior Management Analyst I-SES
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 Middle & South Pinellas

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 Vacant
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 Pasco, North Pinellas

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Administrative Secretary
 Mittie Newman-Thornton
 OPS 65650161 1.00

Administrative Secretary
 Vacant
 OPS 65650192 1.00

Administrative Secretary
 Melba Garay
 OPS 65650022 1.00

Administrative Secretary
 Judy Lott
 0107 (12) (0108) 1.00

Administrative Secretary
 Susan Strothers
 OPS 65650196 1.00

Operations Analyst II
 Vacant
 OPS 65650150 1.00
 Reserve

Administrative Secretary
 Vacant
 OPS 65650168 1.00

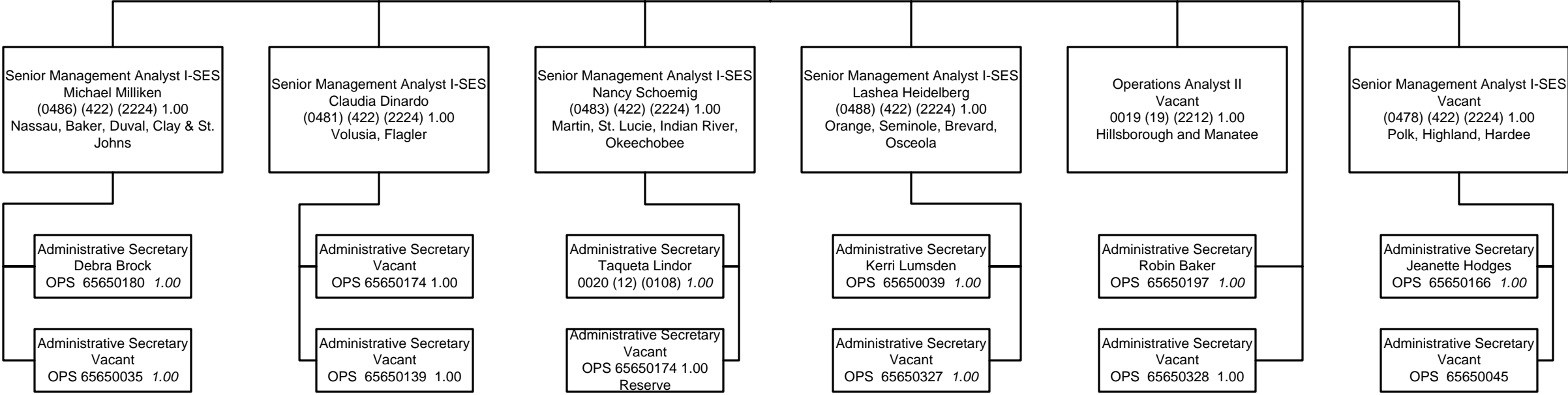
Administrative Secretary
 Ryan Miller
 OPS 65650187 1.00

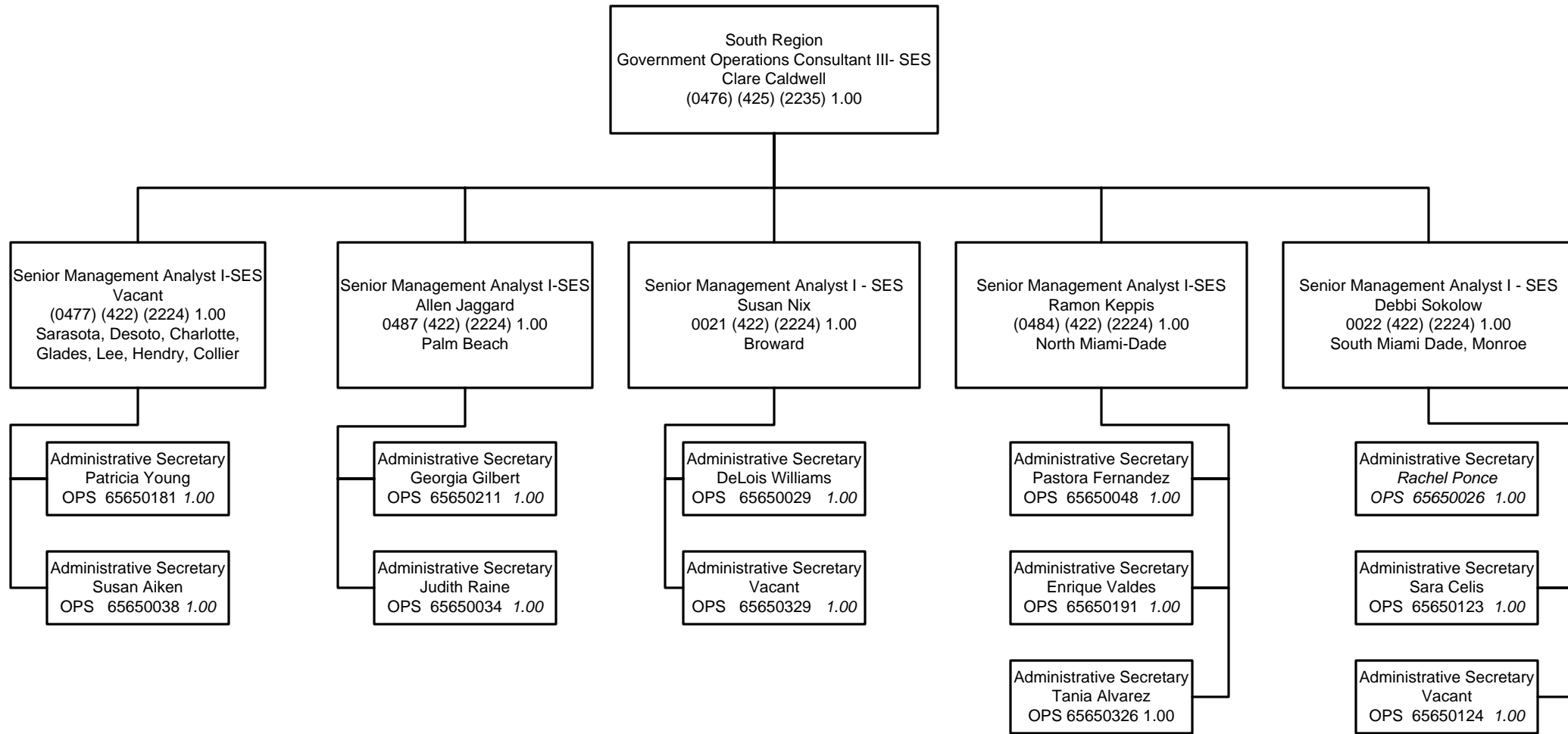
Administrative Secretary
 Vacant
 OPS 65650324 1.00

Administrative Secretary
 Vacant
 OPS 65650155 1.00

Administrative Secretary
 Lynn Penley
 OPS 65650024 1.00

Central Region
Government Operations Consultant III- SES
William Teague
(0475) (425) (2235) 1.00





**SCHEDULE XII: OUTSOURCING OR PRIVATIZATION OF A SERVICE OR ACTIVITY
BUSINESS CASE**

NOT APPLICABLE

Schedule XII Cover Sheet and Agency Project Approval	
Agency: Department of Elder Affairs	Schedule XII Submission Date:
Project Name:	Is this project included in the Agency's LRPP? _____ Yes _____ No
FY 2009-2010 LBR Issue Code:	FY 2009-2010 LBR Issue Title:
Agency Contact for Schedule XII (Name, Phone #, and E-mail address):	
AGENCY APPROVAL SIGNATURES	
I am submitting the attached Schedule XII in support of our legislative budget request. I have reviewed and agree with the information in the attached Schedule XII.	
Agency Head:	Date:
Printed Name:	
Agency Chief Information Officer: <i>(If applicable)</i>	Date:
Printed Name:	
Budget Officer:	Date:
Printed Name:	
Planning Officer:	Date:
Printed Name:	
Project Sponsor:	Date:
Printed Name:	

**SCHEDULE XII: OUTSOURCING OR PRIVATIZATION OF A SERVICE OR ACTIVITY
BUSINESS CASE**

I. Background Information	
1.	Describe the service or activity proposed to be outsourced or privatized.
2.	How does the service or activity support the agency's mission? What are the agency's goals and objectives for the performance of this service or activity?
3.	Provide the legal citation authorizing the agency's performance of the service or activity.
4.	Identify the service's or activity's major stakeholders, including customers, clients, and affected organizations or agencies.
5.	Describe how the service or activity is currently performed and list the resources, including information technology services and personnel resources, and processes used.
6.	Provide the existing or needed legal authorization, if any, for outsourcing or privatizing the service or activity.

7. Provide the reasons for changing the delivery or performance of the service or activity. What is the current cost of service and revenue source?

II. Evaluation of Options

1. Provide a description of the available options for performing the service or activity and list for each option the general resources and processes needed to perform the service or activity.
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2. For each option, describe its current market. How many vendors are currently providing the specific service or activity on a scale similar to the proposed option? How mature is this market?
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3. List the criteria used to evaluate the options. Include a cost comparison as appropriate.
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4. Based upon the evaluation criteria, identify and describe the advantages and disadvantages of each option.

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5. For each option, describe the anticipated impact on the agency and the stakeholders, including impacts on other state agencies and their operations.

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<p>6. Identify changes in cost and/or service delivery that will result from each option. Describe how the changes will be realized. Describe how benefits will be measured and what the annual cost will be.</p>
<p>7. List the major risks for each option and how the risks could be mitigated.</p>
<p>8. Describe any relevant experience of other agencies, other states, or the private sector in implementing similar options.</p>

<p>III. Information on Recommended Option</p>
<p>1. Identify the proposed procurement method including the anticipated number of respondents.</p>
<p>2. Provide the agency's timeline for outsourcing or privatization of the service or activity including key deliverables and milestones for transitioning it from the state to the vendor. Provide copy of the agency's transition plan.</p>
<p>3. Identify all forms of compensation to the vendor(s) for performance of the service or activity, including in-kind allowances and state resources to be transferred to the vendor(s). Provide a detailed cost estimate of each.</p>

4.	Provide an analysis of the potential impact on federal, state, and local revenues, and expenditures. If federal dollars currently fund all or part of the service or activity, what has been the response of the federal funding agency(ies) to the proposed change in the service delivery method?
5.	What responsibilities, if any, required for the performance of the service or activity will be retained and performed by the agency? What costs, including personnel costs, will the agency continue to incur after the change in the service delivery model? Provide these cost estimations.
6.	Describe the agency's contract management process for the outsourced or privatization contract, including how the agency will address potential contractor nonperformance.
7.	Provide the agency's contingency plan(s) that describes how the agency will resume the in-house provision of the service or activity in the event of contract termination/non-renewal.
8.	Identify all other Legislative Budget Request issues that are related to this proposal.
9.	Explain whether or not the agency can achieve similar results by a method other than outsourcing or privatization and at what cost. Please provide the estimated expenditures by fiscal year over the expected life of the project.

10. Identify the specific performance measures that are to be achieved or that will be impacted by changing the service's or activity's delivery method.
11. Provide verification of vendor(s) agreement to comply with public records law.
12. If applicable, provide verification of compliance with applicable federal and state law, including sections 282.601-282.606, <i>Florida Statutes</i> , regarding accessibility by persons with disabilities.
13. If applicable, provide a description of potential differences in current agency policies or processes and a plan to standardize or consolidate.

Office of Policy and Budget – July 2008

**SCHEDULE XIII
PROPOSED CONSOLIDATED FINANCING OF DEFERRED-PAYMENT
COMMODITY CONTRACTS
NOT APPLICABLE**

Contact Information
Agency: Department of Elder Affairs
Name:
Phone:
E-mail address:

Deferred-payment commodity contracts are approved by the Department of Financial Services (department). The rules governing these contracts are in Chapter 69I-3, *Florida Administrative Code* and may be accessed via the following website <https://www.flrules.org/gateway/ChapterHome.asp?Chapter=69I-3> . Information on the program and other associated information on the Consolidated Equipment Financing Program and Guaranteed Energy Savings Contracts may be accessed via the following website <http://www.fldfs.com/aadir/cefp/index.htm>.

For each proposed deferred-payment commodity contract that exceeds the threshold for Category IV as defined in Section 287.017, *Florida Statutes*, complete the following information and submit Department of Financial Services forms Lease Checklist DFS-A1-411 and CEFP Checklist DFS-A1-410 with this schedule.

1. Commodities proposed for purchase.
2. Describe and justify the need for the deferred-payment commodity contract including guaranteed energy performance savings contracts.
3. Summary of one-time payment versus financing analysis including a summary amortization schedule for the financing by fiscal year (amortization schedule and analysis detail may be attached separately).
4. Identify base budget proposed for payment of contract and/or issue code and title of budget request if increased authority is required for payment of the contract.

DEPARTMENT OF ELDER AFFAIRS

Schedule IV-A	Data Center Reconciliation
Schedule IV-B	Information Technology Projects
Schedule VI	Detail of Debt Service
Schedule IX	Major Audit Findings and Recommendations
Technical Checklist LBR Review	

ISSUE #	(B/E Code) (B/E Title)	(B/E Code) (B/E Title)	(B/E Code) (B/E Title)	TOTAL
<u>SALARIES AND BENEFITS</u>		NOT APPLICABLE		
TOTAL SALARIES AND BENEFITS				
<u>OTHER PERSONAL SERVICES</u>				
TOTAL OTHER PERSONAL SERVICES				
<u>EXPENSES</u>				
TOTAL EXPENSES				
<u>OPERATING CAPITAL OUTLAY</u>				
TOTAL OPERATING CAPITAL OUTLAY				
<u>DATA PROCESSING SERVICE</u>				
TOTAL ALL CATEGORIES				

Schedule IV-B Cover Sheet and Agency Project Approval	
Agency: Dept. of Elder Affairs	Schedule IV-B Submission Date:
Project Name: Not Applicable	Is this project included in the Agency's LRPP? ___ Yes ___ No
FY 2009-2010 LBR Issue Code:	FY 2009-2010 LBR Issue Title:
Agency Contact for Schedule IV-B (Name, Phone #, and E-mail address):	
AGENCY APPROVAL SIGNATURES	
I am submitting the attached Schedule IV-B in support of our legislative budget request. I have reviewed the estimated costs and benefits documented in the Schedule IV-B and believe the proposed solution can be delivered within the estimated time for the estimated costs to achieve the described benefits. I agree with the information in the attached Schedule IV-B.	
Agency Head:	Date:
Printed Name:	
Agency Chief Information Officer:	Date:
Printed Name:	
Budget Officer:	Date:
Printed Name:	
Planning Officer:	Date:
Printed Name:	
Project Sponsor:	Date:
Printed Name:	
Schedule IV-B Preparers (Name, Phone #, and E-mail address):	
Business Need:	
Cost Benefit Analysis:	
Risk Analysis:	
Technology Planning:	
Project Planning:	

SCHEDULE VI: DETAIL OF DEBT SERVICE

Department: Department of Elder Affairs
Budget Entity: Not Applicable

Budget Period 2009 - 2010

(1)	(2)	(3)	(4)
SECTION I	ACTUAL	ESTIMATED	REQUEST
	FY 20__ - __	FY 20__ - __	FY 20__ - __
Interest on Debt (A)	<input type="text"/>	<input type="text"/>	<input type="text"/>
Principal (B)	<input type="text"/>	<input type="text"/>	<input type="text"/>
Repayment of Loans (C)	<input type="text"/>	<input type="text"/>	<input type="text"/>
Fiscal Agent or Other Fees (D)	<input type="text"/>	<input type="text"/>	<input type="text"/>
Other Debt Service (E)	<input type="text"/>	<input type="text"/>	<input type="text"/>
Total Debt Service (F)	<input type="text"/>	<input type="text"/>	<input type="text"/>

Explanation: _____

SECTION II

ISSUE: _____

(1)	(2)	(3)	(4)	(5)
INTEREST RATE	MATURITY DATE	ISSUE AMOUNT	JUNE 30, 20__	JUNE 30, 20__
(6)		(7)	(8)	(9)
		ACTUAL	ESTIMATED	REQUEST
		FY 20__ - __	FY 20__ - __	FY 20__ - __
Interest on Debt (G)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Principal (H)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Fiscal Agent or Other Fees (I)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Other (J)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Total Debt Service (K)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

ISSUE: _____

INTEREST RATE	MATURITY DATE	ISSUE AMOUNT	JUNE 30, 20__	JUNE 30, 20__
		ACTUAL	ESTIMATED	REQUEST
		FY 20__ - __	FY 20__ - __	FY 20__ - __
Interest on Debt (G)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Principal (H)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

SCHEDULE IX: MAJOR AUDIT FINDINGS AND RECOMMENDATIONS

Budget Period: 2008 - 2009

Department: Elder Affairs

Chief Internal Auditor: Tony Hernandez

Budget Entity: 65100200, 65100400, 65100600, 65101000

Phone Number: 414-2117

(1)	(2)	(3)	(4)	(5)
REPORT NUMBER	PERIOD ENDING	UNIT/AREA	SUMMARY OF FINDINGS AND RECOMMENDATIONS	SUMMARY OF CORRECTIVE ACTION TAKEN
#2008-013	September-07	Operational Audit of DOEA	<p>Finding No. 1: For the Department’s home and community-based programs, improvements continue to be needed in the management of the Assessed Prioritized Consumer List. We recommend that the Department enhance its policies and procedures to ensure that all individuals on the APCL are timely re-assessed and that the data in the APCL is current and accurate. We also recommend that the Department monitor the AAAs’ compliance with APCL policies and guidelines. The Department should also consider the feasibility of comparing its CIRTS records to the death file maintained by the Department of Health, Bureau of Vital Statistics, to further ensure the accuracy of the APCL.</p> <p>Finding No. 2: The Department did not always timely and correctly record property acquisitions in its property records. We recommend the Department more closely monitor the performance of procedures designed to reasonably ensure the timely and accurate recording of property purchases. We further recommend that the Department take steps to correct the acquisition costs of the property items incorrectly recorded in the system.</p>	<p>The Department concurs with this recommendation. On March 14, 2008, the department issued the Notice of Instrument #031408-1-I-SWCBS to the area aging (AAAs) to enhance maintenance and integrity of data in the Client Information Registration and Tracking (CIRTS) database. The department’s MIS staff electronically provided AAA LAN staff with death data reports to analyze. The department will monitor the AAAs’ performance in recording client data when a death certificate has been issued. The department will review the timeliness and appropriateness of the changes made to records for deceased clients.</p> <p>The Department concurs with this recommendation. New procedures and processes will be developed to ensure accurate recording of property purchases for computer equipment used in the purchasing card have been prohibited for emergency replacements or repairs. Purchase orders are prepared and submitted for computer purchases and the Property Administrator is now included in the process flow. This has improved our ability to track purchases from the onset and ensure timely and accurate invoicing, payment, receipt, and recording of all transactions occur. The use of Direct Orders has also reduced the number of entries in the pending property files created in the FLAIR/SAMAS system that result in missing information that is not captured.</p>

			<p>Finding No. 3: Property deletion records did not always sufficiently describe the details of property dispositions.</p> <p>We recommend the Department continue efforts to improve controls over property deletions to ensure that future disposals and related records conform to applicable laws, rules, and Department policy.</p>	<p>The Department concurs with this recommendation. We will continue to control to ensure that property disposal records conform to applicable rules, and Department policy. We have a unique file folder for each property include documentation on the procurement each item, invoice and corresponding transaction, FLAIR/SAMAS update, tag add sheet, transfer forms, and inventory sheets. In the event that the item is sold the corresponding information and material disposal will also be documented in the file and logged in the surplus control</p>
#06-07-A-002	June-08	DOEA OIG Ethics Audit	<p>Finding 1: Effective communication of the department's ethics standards, policies and procedures can be improved. We recommend the department develop and implement an annual training program for all employees on ethics standards and procedures. This strengthens conformity with Executive Order 07-01 and improves employees' understanding of the complaint process for any ethical transgressions noted. Training can be in a classroom environment or via Web-based programs for geographically dispersed locations.</p> <p>Finding 2: The notification process, upon completion of employees' background checks, needs improvement. We recommend hiring supervisors be e-mailed once background checks are completed to conform with the Department's Criminal History Background Check Policy #550.20.</p> <p>Finding 3: Technical corrections are needed for the department's ethics policies and procedures. We recommend the department review and update its Code of Ethics #550.30 with the technical corrections previously mentioned in the finding along with any other necessary corrections.</p>	<p>We have reviewed the availability of commercial training and find that it does not address the specific requirements of the DOEA Code of Ethics. We will work with the agency Chief Ethics Officer to develop a web-based training program for use by our employees.</p> <p>We concur with this recommendation. The Chief Ethics Officer's assistant to the Director of Internal & External Affairs or her backup will e-mail the hiring supervisor and division director once the background check has been completed. The Chief Ethics Officer's mail will advise that the background check is complete and provide a name and number. If the supervisor may call to obtain results.</p> <p>The Chief Ethics Officer has reviewed and revised DOEA's existing Code of Ethics. We will make the corrections noted and incorporate changes to it associated with v.3 of the Code of Ethics issued by the Executive Office of the Governor.</p>

Agency Budget Officer/OPB Analyst Name: Barbara Henry/Tonja Webb

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)				
	65100200	65100400	65100600	65101000	Dept.
1. GENERAL					
1.1	Are Columns A01, A02, A04, A05, A10, A11, A36, IA1, IV1, IV3 and NV1 set to TRANSFER CONTROL for DISPLAY status and MANAGEMENT CONTROL for UPDATE status for both the Budget and Trust Fund columns? Are Columns A06, A07, A08 and A09 for Fixed Capital Outlay set to TRANSFER CONTROL for DISPLAY status only? (CSDI)				
	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	
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	
1.4	Has security been set correctly? (CSDR, CSA)				
	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.				
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 53 of the LBR Instructions?				
	Y	Y	Y	Y	
2.2	Are the statewide issues generated systematically (estimated expenditures, nonrecurring expenditures, etc.) included?				
	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 25)? Do they clearly describe the issue?				
	Y	Y	Y	Y	
2.4	Have the coding guidelines in <i>Section 3</i> of the LBR Instructions (pages 15 through 25) been followed?				
	Y	Y	Y	Y	
3. EXHIBIT B (EADR, EXB)					
3.1	Is it apparent that there is a fund shift and were the issues entered into LAS/PBS correctly? Check D-3A funding shift issue 340XXX0 - a unique deduct and unique add back issue should be used to ensure fund shifts display correctly on the LBR exhibits.				
			Y		
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	
3.3	Current Year Estimated Verification Comparison Report: Is Column A02 equal to Column B02? (EXBR, EXBC - Report should print "Records Selected Net To Zero")				
	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 B02: 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.				

Action		Program or Service (Budget Entity Codes)				
		65100200	65100400	65100600	65101000	Dept.
TIP	Requests for appropriations which require advance payment authority must use the sub-title "Grants and Aids". For advance payment authority to local units of government, the Aid to Local Government appropriation category (05XXXX) should be used. For advance payment authority to non-profit organizations or other units of state government, the Special Categories appropriation category (10XXXX) should be used.					
4. EXHIBIT D (EADR, EXD)						
4.1	Is the program component objective statement consistent with the agency LRPP, and does it conform to the directives provided on page 56 of the LBR Instructions?	Y	Y	Y	Y	
4.2	Is the program component code and title used correct?	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	
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	
5.3	FLAIR Expenditure/Appropriation Ledger Comparison Report: Is Column A01 less than Column G07? (EXBR, EXBB - Negative differences need to be corrected in Column A01.)	Y	Y	Y	Y	
5.4	A01/State Accounts Disbursements and Carry Forward Comparison Report: Does Column A01 equal Column G08? (EXBR, EXBD - Differences need to be corrected in Column A01.)	Y	Y	Y	Y	
TIP	If objects are negative amounts, the agency must make adjustments to Column A01 to correct the object amounts. In addition, the fund totals must be adjusted to reflect the adjustment made to the object data.					
TIP	If fund totals and object totals do not agree or negative object amounts exist, the agency must adjust Column A01.					
TIP	Exhibit B - A01 less than G07: This audit is to ensure that the disbursements and carry/certifications forward in A01 are less than FY 2007-08 approved budget. Amounts should be positive.					
TIP	If G08 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 G08 was created.					
6. EXHIBIT D-3 (ED3R, ED3) (Not required in the LBR - for analytical purposes only.)						
6.1	Are issues appropriately aligned with appropriation categories?	Y	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	
7.2	Does the issue narrative adequately explain the agency's request and is the explanation consistent with the LRPP? (See page 62 of the LBR Instructions.)	Y	Y	Y	Y	
7.3	Does the narrative for Information Technology (IT) issue follow the additional narrative requirements described on pages 63 and 64 of the LBR Instructions?	Y				

Action		Program or Service (Budget Entity Codes)				
		65100200	65100400	65100600	65101000	Dept.
7.4	Are all issues with an IT component identified with a "Y" in the "IT COMPONENT?" field? If the issue contains an IT component, has that component been identified and documented?	Y				
7.5	Does the issue narrative explain any variances from the Standard Expense, Operating Capital Outlay (OCO), and Human Resource Services Assessments package? Is the nonrecurring portion in the nonrecurring column? (See pages E-4 and E-5 of the LBR Instructions).	Y	Y		Y	
7.6	Does the salary rate request amount accurately reflect any new requests and are the amounts proportionate to the Salaries and Benefits request? Note: Salary rate should always be annualized.		Y	Y	Y	
7.7	Does the issue narrative thoroughly explain/justify all Salaries and Benefits amounts entered into the Other Salary Amounts transactions (OADA/C)? Amounts entered into OAD are reflected in the Position Detail of Salaries and Benefits section of the Exhibit D-3A.		Y	Y		
7.8	Does the issue narrative include the Consensus Estimating Conference forecast, where appropriate?					
7.9	Does the issue narrative reference the specific county(ies) where applicable?					
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 #09-002?		Y	Y	Y	
7.11	When appropriate are there any 160XXX0 issues included to delete positions placed in reserve in the OPB Position and Rate Ledger (e.g. unfunded grants)? Note: Lump sum appropriations not yet allocated should <u>not</u> be deleted. (PLRR, PLMO)					
7.12	Does the issue narrative include plans to satisfy additional space requirements when requesting additional positions?					
7.13	Has the agency included a 160XXX0 issue and 210XXXX and 260XXX0 issues as required for lump sum distributions?					
7.14	Do the amounts reflect appropriate FSI assignments?	Y	Y	Y	Y	
7.15	Do the issues relating to <i>salary and benefits</i> have an "A" in the fifth position of the issue code (XXXXAXX) and are they self-contained (not combined with other issues)? (See page 24 and 80 of the LBR Instructions.)					
7.16	Do the issues relating to <i>Information Technology (IT)</i> have a "C" in the sixth position of the issue code (36XXXXCX) and are the correct issue codes used (361XXC0, 362XXC0 or 363XXC0)?	Y				
7.17	Are the issues relating to <i>major audit findings and recommendations</i> properly coded (4A0XXX0, 4B0XXX0)?					
AUDIT:						
7.18	Are all FSI's equal to '1', '2', '3', or '9'? There should be no FSI's equal to '0'. (EADR, FSIA - Report should print "No Records Selected For Reporting")	Y	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.					
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 61 through 64 of the LBR Instructions.					

Action		Program or Service (Budget Entity Codes)				
		65100200	65100400	65100600	65101000	Dept.
TIP	Check BAPS to verify status of budget amendments. Check for reapprovals not picked up in the General Appropriations Act. Verify that Lump Sum appropriations in Column A02 do not appear in Column A03. Review budget amendments to verify that 160XXX0 issue amounts correspond accurately and net to zero for General Revenue funds.					
TIP	If an agency is receiving federal funds from another agency the FSI should = 9 (Transfer - Recipient of Federal Funds). The agency that originally receives the funds directly from the federal agency should use FSI = 3 (Federal Funds).					
TIP	If an appropriation made in the FY 2008-09 General Appropriations Act duplicates an appropriation made in substantive legislation, the agency must create a unique deduct nonrecurring issue to eliminate the duplicated appropriation. Normally this is taken care of through line item veto.					
8. SCHEDULE I & RELATED DOCUMENTS (SC1R, SC1 - Budget Entity Level or SC1R, SC1D - Department Level)						
8.1	Has a separate department level Schedule I and supporting documents package been submitted by the agency?					Y
8.2	Has a Schedule I been completed in LAS/PBS for each operating trust fund?					Y
8.3	Have the appropriate Schedule I supporting documents been included for the trust funds (Schedule IA, Schedule IB, Schedule IC, and Reconciliation to Trial Balance)?					Y
8.4	Have the Examination of Regulatory Fees Part I and Part II forms been included for the applicable regulatory programs?					Y
8.5	Have the required detailed narratives been provided (5% trust fund reserve narrative; method for computing the distribution of cost for general management and administrative services narrative; adjustments narrative; revenue estimating methodology narrative)?					Y
8.6	Has the Inter-Agency Transfers Reported on Schedule I form been included as applicable for transfers totaling \$100,000 or more for the fiscal year?					Y
8.7	If the agency is scheduled for the annual trust fund review this year, have the Schedule ID and applicable draft legislation been included for recreation, modification or termination of existing trust funds?					N/J
8.8	If the agency is scheduled for the annual trust fund review this year, have the necessary trust funds been requested for creation pursuant to <i>section 215.32(2)(b), Florida Statutes</i> - including the Schedule ID and applicable legislation?					N/J
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, 000799, 001510 and 001599)?					Y
8.10	Are the statutory authority references correct?					Y
8.11	Are the General Revenue Service Charge percentage rates used for each revenue source correct? (Refer to Section 215.20, F.S. for appropriate general revenue service charge percentage rates.)					Y
8.12	Is this an accurate representation of revenues based on the most recent Consensus Estimating Conference forecasts?					N/A
8.13	If there is no Consensus Estimating Conference forecast available, do the revenue estimates appear to be reasonable?					Y
8.14	Are the federal funds revenues reported in Section I broken out by individual grant? Are the correct CFDA codes used?					Y
8.15	Are anticipated grants included and based on the state fiscal year (rather than federal fiscal year)?					Y

Action		Program or Service (Budget Entity Codes)				
		65100200	65100400	65100600	65101000	Dept.
8.16	Are the Schedule I revenues consistent with the FSI's reported in the Exhibit D-3A?					Y
8.17	If applicable, are nonrecurring revenues entered into Column A04?					Y
8.18	Has the agency certified the revenue estimates in columns A02 and A03 to be the latest and most accurate available?					Y
8.19	Is a 5% trust fund reserve reflected in Section II? If not, is sufficient justification provided for exemption? Are the additional narrative requirements provided?					Y
8.20	Are appropriate service charge nonoperating amounts included in Section II?					Y
8.21	Are nonoperating expenditures to other budget entities/departments cross-referenced accurately?					Y
8.22	Do transfers balance between funds (within the agency as well as between agencies)? (See also 8.6 for required transfer confirmation of amounts totaling \$100,000 or more.)					Y
8.23	Are nonoperating expenditures recorded in Section II and adjustments recorded in Section III?					Y
8.24	Are prior year September operating reversions appropriately shown in column A01?					Y
8.25	Are current year September operating reversions appropriately shown in column A02?					Y
8.26	Does the Schedule IC properly reflect the unreserved fund balance for each trust fund as defined by the LBR Instructions, and is it reconciled to the agency accounting records?					Y
8.27	Does Column A01 of the Schedule I accurately represent the actual prior year accounting data as reflected in the agency accounting records, and is it provided in sufficient detail for analysis?					Y
8.28	Does Line I of Column A01 (Schedule I) equal Line K of the Schedule IC?					Y
AUDITS:						
8.29	Is Line I a positive number? (If not, the agency must adjust the budget request to eliminate the deficit).					Y
8.30	Is the June 30 Adjusted Unreserved Fund Balance (Line I) equal to the July 1 Unreserved Fund Balance (Line A) of the following year? (SC1R, SC1A - Report should print "No Discrepancies Exist For This Report")					Y
8.31	Has a Department Level Reconciliation been provided for each trust fund and does Line A of the Schedule I equal the CFO amount? If not, the agency must correct Line A. (SC1R, DEPT)					Y
TIP	The Schedule I is the most reliable source of data concerning the trust funds. It is very important that this schedule is as accurate as possible!					
TIP	Determine if the agency is scheduled for trust fund review. (See page 119 of the LBR Instructions.)					
TIP	Review the unreserved fund balances and compare revenue totals to expenditure totals to determine and understand the trust fund status.					
TIP	Typically nonoperating expenditures and revenues should not be a negative number. Any negative numbers must be fully justified.					

Action		Program or Service (Budget Entity Codes)				
		65100200	65100400	65100600	65101000	Dept.
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 150 of the LBR Instructions.)	Y	Y	Y	Y	
10. SCHEDULE III (PSCR, SC3)						
10.1	Is the appropriate lapse amount applied in Segment 3? (See page 82 of the LBR Instructions.)					
10.2	Are amounts in <i>Other Salary Amount</i> appropriate and fully justified? (See page 89 of the LBR Instructions for appropriate use of the OAD transaction.) Use OADI or OADR to identify agency other salary amounts requested.		Y	Y		
11. SCHEDULE IV (EADR, SC4)						
11.1	Are the correct Information Technology (IT) issue codes used?	Y				
TIP	If IT issues are not coded correctly (with "C" in 6th position), they will not appear in the Schedule IV.					
12. SCHEDULE VIIIA (EADR, SC8A)						
12.1	Is there only one #1 priority, one #2 priority, one #3 priority, etc. reported on the Schedule VIII-A? Are the priority narrative explanations adequate?					Y
13. SCHEDULE VIIIB-1						
13.1	This schedule is not required in the October 15, 2008 LBR submittal.					
14. SCHEDULE VIIIB-2 (EADR, S8B2)						
14.1	Do the reductions comply with the instructions provided on pages 95 and 96 of the LBR Instructions regarding a 10% reduction in recurring General Revenue and Trust Funds?					Y
15. SCHEDULE XI (LAS/PBS Web - see page 102 of the LBR Instructions for detailed instructions)						
15.1	Has the Schedule XI one page summary been e-mailed to OPB? Agencies are required to generate this spreadsheet via the LAS/PBS Web. (Note: Pursuant to <i>section 216.023(4) (b), Florida Statutes</i> , the Legislature can reduce the funding level for any agency that does not provide this information.)					Y
AUDITS INCLUDED IN THE SCHEDULE XI REPORT:						
15.2	Does the FY 2007-08 Actual (prior year) Expenditures in Column A36 reconcile to Column A01? (GENR, ACT1)	Y	Y	Y	Y	
15.3	None of the executive direction, administrative support and information technology statewide activities (ACT0010 thru ACT0490) have output standards (Record Type 5)? (Audit #1 should print "No Activities Found")				Y	
15.4	Does the Fixed Capital Outlay (FCO) statewide activity (ACT0210) only contain 08XXXX or 14XXXX appropriation categories? (Audit #2 should print "No Operating Categories Found")					Y
15.5	Has the agency provided the necessary demand (Record Type 5) for all activities which <u>should</u> appear in Section II? (Note: Audit #3 will identify those activities that do NOT have a Record Type '5' and have not been identified as a 'Pass Through' activity. These activities will be displayed in Section III with the 'Payment of Pensions, Benefits and Claims' activity and 'Other' activities. Verify if these activities should be displayed in Section III. If not, an output standard would need to be added for that activity and the Schedule XI submitted again.)	Y	Y		Y	
15.6	Does Section I (Final Budget for Agency) and Section III (Total Budget for Agency) equal? (Audit #4 should print "No Discrepancies Found")					Y

Action		Program or Service (Budget Entity Codes)				
		65100200	65100400	65100600	65101000	Dept.
TIP	If Section I and Section III have a small difference, it may be due to rounding and therefore will be acceptable.					
16. MANUALLY PREPARED EXHIBITS & SCHEDULES						
16.1	Do exhibits and schedules comply with LBR Instructions (pages 103 through 147 of the LBR Instructions), and are they accurate and complete?					Y
16.2	Are appropriation category totals comparable to Exhibit B, where applicable?	Y	Y	Y	Y	
16.3	Are agency organization charts (Schedule X) provided and at the appropriate level of detail?	Y	Y	Y	Y	
AUDITS - GENERAL INFORMATION						
TIP	Review <i>Section 6: Audits</i> of the LBR Instructions for a list of audits and their descriptions.					
TIP	Reorganizations may cause audit errors. Agencies must indicate that these errors are due to an agency reorganization to justify the audit error.					
17. CAPITAL IMPROVEMENTS PROGRAM (CIP)						
17.1	Are the CIP-2, CIP-3, CIP-A and CIP-B forms included?	Y		Y	Y	
17.2	Are the CIP-4 and CIP-5 forms submitted when applicable (see CIP Instructions)?					
17.3	Do all CIP forms comply with CIP Instructions where applicable (see CIP Instructions)?					Y
17.4	Does the agency request include 5 year projections (Columns A03, A06, A07, A08 and A09)?					
17.5	Are the appropriate counties identified in the narrative?					
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.					