



STATE OF FLORIDA  
CHIEF FINANCIAL OFFICER  
ALEX SINK

October 15, 2009

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

JoAnne Leznoff, Council Director  
House Full Appropriations Council on General Government & Health Care  
221 Capitol  
Tallahassee, Florida 32399-1300

Skip Martin, Council Director  
House Full Appropriations Council on Education & Economic Development  
221 Capitol  
Tallahassee, Florida 32399-1300

Cynthia Kelly, Staff Director  
Senate Policy and Steering Committee on Ways and Means  
201 Capitol  
Tallahassee, Florida 32399-1300

Dear Directors:

I am submitting the Legislative Budget Request for the Department of Financial Services in accordance with Chapter 216, *Florida Statutes*. The information enclosed with this letter and forwarded to you electronically presents our proposed needs for the 2010-11 Fiscal Year.

Please let me know if you need additional information.

Sincerely,

Alex Sink

Enclosures

AS:bbv

# Department Level Exhibits and Schedules

Dept/Agency: **Department of Financial Services**  
 Submitted by: **Abe Kani, Chief Information Officer**  
 Phone: **413-1505**  
 Date submitted: **October 15, 2009**

**Desktop Computing Service**

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

Identify the major commercial hardware and software associated with the Desktop Computer Service:			
1	Desktop PCs (Intel)	6	Internet Explorer Browser 6.0 & 7.0
2	Local Printer (various models)	7	Windows OS (2000/XP/Vista)
3	Microsoft Office Suite (2000/2003/2007)	8	Microsoft Visio Software
4	Microsoft Project Software	9	Adobe (Reader/Writer)
5	TN 3270 plus	10	Win Zip

**1. IT Service Definition**

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

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

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

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

1.3. Please identify the number of users of this service. 3400

1.4. How many locations currently use desktop computing services? 38

**2. Service Unique to Agency**

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

2.2. If the same level of service could be provided through another agency or source for less than the current cost of the IT service, could your agency change to another service provider?  
 Yes       No

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

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

Desktop service level requirements provided by another entity would need to be validated to ensure timely and cost effective support levels. DFS has 3400 employees in 38 locations throughout the state. Support services are provided by central IT staff and regional staff. The Desktop support group establishes and controls all desktop support calls and prioritizes those calls.

Due to the wide dispersion of office locations throughout the state, it would be economically impossible for another entity to provide service and support at the same service level for the same or lesser costs than currently incurred by DFS.

### 3. IT Service Levels Required to Support Business Functions

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

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

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

Level I and Level II service calls. Level I service calls will be resolved within 8 hours and level II service calls will be resolved within 4 hours.

3.2. Timing and Service Delivery Requirements

3.2.1. Hours/Days that service is required (*e.g., 0800-1600 M-F, 24/7*) 7:30AM - 5:30PM

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

Unavailability of this service may result in disruption of services to our customers as department employees would not be able to access mission critical department applications or use e-mail, messaging and calendaring services

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

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

Accommodate departmental mobile workforce (e.g. Fire investigators, Workers' Compensation examiners)

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

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

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

- Yes  No

3.2.5.1. If yes, please specify and describe:

Sensitive data must be protected in accordance with State policy, HIPAA and Sarbanes-Oxley requirements; records must be retained to comply with State records retention policies.

### 4. User/customer satisfaction



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

Yes  No

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

Performance metrics data is collected and reported when the Help Desk sends customer surveys via email to users on resolved desktop support calls. Also, data from the Customer Feedback mailbox along with total number of Customer Gold cards issued each month is collected for performance measures.

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

Yes  No

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

Due to budget cuts, desktop support currently does not have enough FTE's to adequately fulfill all of our support.

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

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

## 5. Additional Information

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

This service is funded by General Revenue dollars and Trust Fund dollars.

5.2. Other comments

Dept/Agency: **Department of Financial Services**  
 Submitted by: **Abe Kani, Chief Information Officer**  
 Phone: **413-1505**  
 Date submitted: **October 15, 2009**

**E-Mail, Messaging, and Calendaring Service**

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

Identify the major commercial hardware and software associated with the E-Mail Service:			
1	Dell Server Hardware	7	Unified Voice Mail
2	Storage Area Network	8	Galaxy Backup and Encryption
3	Windows 2003 OS	9	Ironport E-mail Encryption
4	Exchange Server 2003 Enterprise	10	Spotlight Exchange Monitoring
5	Exchange Web Mail Server	11	Outlook Client
6	Mimosa Archive/Journal	12	

**1. IT Service Definition**

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

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

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

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

1.3. Please identify the number of users (e-mail accounts/mailboxes) of this service. 3482

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

**2. Service Unique to Agency**

2.1. Is a similar or identical IT service provided by another agency or external service provider? (*Identical, Very Similar, No*) Similar  
 the same level of service could be provided through another agency or source for less than the current cost of the IT service, could your agency change to another service provider?

- Yes
- No

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

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

The Department must retain its ability to add, delete, or change e-mail accounts and access in a timely manner. The ability to retrieve and review deleted or archived e-mail is a requirement in ongoing investigations and public record requests. DFS must retain control of these services based on application integration through client profiles and other customized applications that are critical in delivering services to DFS, OFR and OIR customers. The current architecture is designed to minimize cost while maintaining a high level of service. The Department currently provides timely and quality service. In order to obtain services from an external provider there would have to be a demonstration of their ability to timely and consistently deliver the same level and quality of service for the same or lesser cost.

### 3. IT Service Levels Required to Support Business Functions

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

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

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

The current Department standard of service is 24X7 for mail transport, calendaring, and business collaboration.

3.2. Timing and Service Delivery Requirements

3.2.1. Hours/Days that service is required (e.g., 0600-2100 M-F, 24/7): 24X7

3.2.2. What is the agency's tolerance for down time during peak periods, i.e., time before management-level intervention occurs (e.g., 5 min, 15 min, 60 min)? 30 min or less

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

Many primary business functions provided by this agency depend upon the availability of this service. Any excessive downtime would result in loss of productivity resulting in the inability to provide core services to the Department employees and customers.

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

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

The Department has an email encryption capability that is used by identified users to send encrypted emails, there are also agreements with customers and vendors to encrypt all communication between parties. The Department monitors emails that are sent that contain sensitive information such as credit card, or social security numbers.

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

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

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

- Yes
- No

3.2.5.1. If yes, please specify and describe:

Sensitive data must be protected in accordance with State policy, HIPAA and Sarbanes-Oxley requirements; records must be retained to comply with State records retention policies.

**4. User/customer satisfaction**

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

Yes  No

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

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

Yes  No

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

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

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

**5. Additional Information**

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

This service is funded by General Revenue dollars and Trust Fund dollars.

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

Dept/Agency: **Department of Financial Services**  
 Submitted by: **Abe Kani, Chief Information Officer**  
 Phone: **850-413-1505**  
 Date submitted: **October 15, 2009**

**Helpdesk Service**

This service involves the centralized or consolidated intake and resolution of IT system problems for users and stakeholders throughout the department. Please consult the *Guidelines for Schedule IV-C: IT Costs and Service Requirements* for the complete definition of this IT Service and specific direction on how to complete this document.

Identify any major commercial hardware and software associated with the Helpdesk Service:			
1	Remedy-Licenses: 33 fixed; 65 Floating	5	Remedy-SLA-User-Licenses; 1 Fixed
2	Remedy-Help Desk for the Enterprise-Licenses 23 Fixed; 50 Floating	6	Remedy-AR-Migrator Licenses; 1
3	Remedy-Asset Mgmt for the Enterprise-Licenses; 15 Fixed	7	Remedy-AR-Server Licenses; 1 Prod.; 1 Test
4	Remedy-Discovery Service Microsoft SMS-Licenses 1	8	Remedy Change Control

**1. IT Service Definition**

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

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

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

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

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

DFS = 3400;FLAIR = 10,000 (Note: numbers do not include vendors, OPS, or non-FLAIR state employees).

1.4. How many locations currently host IT assets and resources used to provide helpdesk services? 1

1.5. What communication channels are used for the service? *(Indicate all that apply)*

- On-line self-serve
- Telephone/IVR
- Remote desktop (e.g., PC Anywhere)
- Other Email
- On-line interactive
- Face-to-face

1.6. What is the scope of the service provided by the Help Desk: *(Check all boxes that apply)*

Help Desk Action	Simple problems	Moderately complex problems	Complex problems
Accepting and logging	X	X	X
Referring/escalating	X	X	X

Tracking and reporting	X	X	X
Resolving/closing	X	X	X

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

1	<b>FLAIR Application Support</b>	5	<b>Emergency Support Services for Disaster Recovery</b>
2	<b>Insurance Regulation Application Support</b>	6	<b>Remedy Reporting Services</b>
3	<b>Workers' Compensation Application Support</b>	7	<b>Project Support, Password Reset, &amp; Printer Services</b>
4	<b>Desktop Tier 1 Services</b>	8	<b>Customer Communication Services</b>

## 2. Service Unique to Agency

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

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

Yes  No

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

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

This service responds to IT service requests for all the Department's IT resources including but not limited to custom, Department-specific, mission-critical applications (e.g. FLAIR). An external service provider will not possess the required, specific institutional knowledge of departmental resources, applications and operations to provide the same level of service that internal staff currently provides.

## 3. IT Service Levels Required to Support Business Functions

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

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

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

DIS has established information SLAs as part of our Remedy Help Desk Tracking system.

3.2. Timing and Service Delivery Requirements

3.2.1. Hours/Days the Help Desk service is required (*e.g., 0800-1600 M-F, 24/7*) Monday thru Friday; 7:30AM – 5:30PM

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

Users will not have the IT resources they require to be operational. No problem resolution or service requests will be handled.

3.2.3. What is the average monthly volume of calls/cases/tickets? 6,113

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

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

The Help Desk is the central point of contact for IT resources coordination for mission critical applications (e.g. FLAIR) during emergency situations (e.g. hurricanes or system outages).

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

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

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

Yes  No

3.2.6.1. If yes, please specify and describe:

The Help Desk is responsible for securing all state employees' personal information (e.g. Social Security number, Date of Birth, and agency FLAIR access control custodians' PIN information). Sensitive data must be protected in accordance with State policy, HIPPA and Sarbanes-Oxley requirements; records must be retained to comply with State records retention policies.

**4. User/customer satisfaction**

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

Yes  No

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

1. Customer satisfaction surveys results are provided for the agency Long Range Program Plan (LRPP).
2. Upon completion of each service request, customer satisfaction surveys are submitted through Remedy.
3. DIS managers receive system generated e-mail notifications when SLAs are not met.
4. Weekly reports are distributed via e-mail from Remedy.

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

Yes  No

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

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

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

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**5. Additional Information**

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

This service is funded by General Revenue and Trust funds dollars.

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

DIS Help Desk receive weekly calls from insurance companies requiring Insurance Regulation application support.



Dept/Agency: **Department of Financial Services**  
 Submitted by: **Abe Kani, Chief Information Officer**  
 Phone: **413-1505**  
 Date submitted: **October 15, 2009**

**IT Administration and Management Service**

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

Identify major IT Systems (applications) that are included (in whole or part) in this IT Service:			
1	MFMP	5	
2	Remedy Change Control	6	
3	MS Project Server	7	
4		8	

**1. IT Service Definition**

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

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

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

1

**2. Service Unique to Agency**

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

- Yes
- No

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

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

The Division's administrative and management staff provide business expertise for the Division. This business expertise is based on the staff's knowledge of the Department's business needs, the State's business and IT environment, and the day-to-day operations of the Division. The business expertise that DIS management and staff possess, allows for effective decisions to be made in an environment where change occurs on a daily basis as well as in emergency situations where rapid decisions may be required. This function within the Division currently provides timely and quality service. In order to obtain services from an external provider there would have to be a demonstration of their ability to timely and consistently deliver the same level and quality of service for the same or lesser cost.

### 3. IT Service Levels Required to Support Business Functions

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

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

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

3.2. Timing and Service Delivery Requirements

3.2.1. Hours/Days that service is required (*e.g., 0800-1600 M-F, 24/7*) for the systems included in this service:

8:00AM – 5:00PM M-F

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

15 min

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

- Yes
- No

If yes, please specify and describe:

Confidential personal data must be protected in accordance with State statute; protected health information is subject to privacy requirements under HIPPA regulations. For security purposes, some application system specifications are kept confidential. The travel system contains employee information that must be kept confidential.

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

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

### 4. User/customer satisfaction

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

- Yes
- No

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

Metrics are reported monthly and quarterly on the agency's digital dashboard for executive management review. Annually, performance measures are reported to legislature.

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

Yes       No

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

Formal service level agreements are being created to clearly define all IT services with performance metrics.

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

Project Name	Description	Start Date	End Date	Estimated Total Cost of Completion
Organizational Restructuring	Required to better align IT resources with DIS new mission and vision	07/09	12/09	Using existing resources
IT Governance	Assure the investments in IT generate the best business value and mitigate any IT risks.	10/09	06/10	Using existing resources
ITIL Best Practice and Business Model Implementation	Implement best practice processes for 5 core areas – Service Strategy, Service Design, Service Transition, Service Operation and Continual Service Improvement	07/09	01/13	Using existing resources

**5. Additional Information**

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

This service is funded by General Revenue and Trust fund dollars.

5.2. Other comments

Dept/Agency: **Department of Financial Services**  
Submitted by: **Abe Kani, Chief Information Officer**  
Phone: **413-1505**  
Date submitted: **October 15, 2009**

## IT Security/Risk Mitigation Service

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

### 1. IT Service Definition

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

- Central IT staff
- Program staff
- Another State agency
- State Primary Data Center (*NWRDC provides storage for off-site tapes/media and recovery equipment*)
- Other External service provider (*SunGard currently provides recovery services*)

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

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

### 2. Service Unique to Agency

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

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

- Yes       No

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

Different security vendors could be used to provide specialized security services, such as risk assessment, intrusion detection/prevention/monitoring, penetration/vulnerability testing, encryption services (storage, network, devices), content monitoring, etc.

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

### 3. IT Service Levels Required to Support Business Functions

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

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

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

Security and business continuity/disaster recovery services are included in service level agreements and memorandums of understanding with our business units for IT services. Defined recovery priorities for computer systems are as follows: Priority 1 – requires recovery in 1-3 business days, Priority 2 – requires recovery in 4-30 business days, Priority 3 – requires recovery in 31-60 business days, priority 4 does not require recovery during a disaster, only when returning to normal.

3.2. Timing and Service Delivery Requirements

- 3.2.1. Hours/Days that service is required (*e.g., 0800-1600 M-F, 24/7*): 24 X 7
- 3.2.2. In the event of an emergency, how quickly must essential services be restored to maintain the agency's continuity of operations? See 3.1 above
- 3.2.3. How frequently must the IT disaster recovery plan be tested? Twice a year at SunGard
- 3.2.4. In the event of a security breach, what is the agency's tolerance for down time of security IT services during peak periods, i.e., time before management-level intervention occurs (*e.g., 10 min, 60 min, 4 hours*)? 15 minutes
- 3.2.5. Are there any agency-unique service requirements?  Yes  No

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

In the event of an emergency or disaster situation the statewide accounting system (FLAIR), treasury & cash management functions, statewide payroll, and warrant production functions must continue within a 1-3 day timeframe.

- 3.2.6. What are security requirements for this IT service? (*Indicate all that apply*)
- |  |  |
|--|--|
| <input checked="" type="checkbox"/> User ID/Password                     | <input checked="" type="checkbox"/> Access through Internet or external network    |
| <input checked="" type="checkbox"/> Access through internal network only | <input checked="" type="checkbox"/> Access through Internet with secure encryption |
| <input type="checkbox"/> Other _____                                     |  |
- 3.2.7. Are there any federal, state, or agency privacy policies or restrictions applicable to this IT Service?  
 Yes  No

If yes, please specify and describe:

Sensitive data must be protected in accordance with State policy, HIPAA and Sarbanes-Oxley requirements; records must be retained to comply with State records retention policies

4. User/customer satisfaction

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

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

An "After Action" report provides senior management and IT staff with the results of the disaster recovery tests.

- 4.2. Are currently defined IT service levels adequate to support the business needs?  
 Yes  No

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

The current disaster recovery services do not support all critical applications and the network bandwidth is insufficient to satisfactorily operate email and most distributed applications which run in the Windows and UNIX environments.

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

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

## 5. Additional Information

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

This service is funded by General Revenue dollars and Trust Fund dollars.

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

Dept/Agency: **Department of Financial Services**

Submitted by: **Abe Kani, Chief Information Officer**

Phone: **413-1505**

Date submitted: **October 15, 2009**

## IT Support Service for Agency Financial and Administrative Systems

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

Identify major IT Systems (applications) that are included (in whole or part) in this IT Service:			
1	See attached word documentation (FY2010-11-IV-C--SysListSC1_DFS.doc)	5	
2		6	
3		7	
4		8	

### 1. IT Service Definition

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

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

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

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

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

178

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

1

### 2. Service Unique to Agency

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

Unknown

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

- Yes
- No

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

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

These applications are necessary for the daily support of the fiscal, administrative and executive management functions of the agency. As such, they are critical to the daily operation of the agency. The Department currently provides timely and quality service. In order to obtain services

from an external provider there would have to be a demonstration of their ability to timely and consistently deliver the same level and quality of service for the same or lesser cost.

### 3. IT Service Levels Required to Support Business Functions

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

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

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

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

3.2. Timing and Service Delivery Requirements

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

3.2.1.1. User-facing components of this IT service (online) 8AM – 5PM

M-F

3.2.1.2. Back-office-facing components of this IT service (batch and maintenance) 24x7

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

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

Exceeded standard downtime for these applications would be catastrophic. These applications have been identified Priority 1 and 2 for disaster recovery. Defined recovery priorities for computer systems are as follows: Priority 1 – requires recovery in 1-3 business days, Priority 2 – requires recovery in 4-30 business days, Priority 3 – requires recovery in 31-60 business days.

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

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

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

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

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

- Yes
- No

3.2.5.1. If yes, please specify and describe:



The Department does not store credit card numbers. Sensitive data must be protected in accordance with State policy, HIPPA and Sarbanes-Oxley requirements; records must be retained to comply with State records retention policies.

**4. User/customer satisfaction**

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

Yes  No

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

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

Yes  No

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

Formal service level agreements are being created to clearly define all IT services with performance metrics.

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

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

**5. Additional Information**

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

This service is funded by General Revenue dollars and Trust Fund dollars.

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

Dept/Agency: **Department of Financial Services**  
 Submitted by: **Abe Kani, Chief Information Officer**  
 Phone: **413-1505**  
 Date submitted: **October 15, 2009**

**Network Service**

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

Identify the major commercial hardware and software associated with the LAN Service:			
1	Windows 2000/2003 Servers with MS/OS	6	What's UP Gold
2	Cisco Ethernet Switches, Firewalls, Routers, & Wireless Access	7	Commvault/Galaxy backup software
3	Cisco VoIP Telephony (Unity, CallManager, and IPIVR Call Center)	8	InferTel (CDR Call System)
4	Cisco Mars, IDS, and NAC Tools	9	BigFix software
5	Websense Software	10	

**1. IT Service Definition**

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

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

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

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

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

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

1.4. Please identify the number of users of the Network Service. 3400

1.5. How many locations currently host IT assets and resources used to provide LAN services? 3

1.6. How many locations currently use WAN services? 35

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

- ATM
- SUNCOM RTS
- Radio
- Frame Relay
- Internet
- Satellite
- Cellular Network
- Dedicated Wired connection
- Dial-up connection

Other Ethernet on My Florida Net

## 2. Service Unique to Agency

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

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

Yes  No

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

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

The Department must have the ability to establish priorities and time schedules in which problems must be resolved. The Department must have the ability to perform move, adds, changes and deletes to the LAN/WAN as required in order to maximize support to its customers. Modifications to systems must be done in a timely manner to support the Department's VoIP Telephony system, and services for non-strategic applications for DFS, OFR, and OIR. The Department currently provides quality services in a timely manner to its customers. In order to obtain services from an external provider there would have to be a demonstration of their ability to consistently deliver the same level and quality of service for the same or lesser cost. Service level requirements must be validated to ensure that another IT service provider could respond timely to our business needs at a lesser cost. The service provider must be able to provide the necessary skills and equipment to insure Quality of Service for all of the Department's Enterprise Network Infrastructure.

## 3. IT Service Levels Required to Support Business Functions

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

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

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

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

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

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

The Department of Management Service (SUNCOM), sets all service level requirements for the Departments WAN Service.

3.3. Timing and Service Delivery Requirements

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

3.3.1.1. Online availability

24x7

3.3.1.2. Offline and availability for maintenance

Sundays 4am to noon

3.3.2. What is the agency's tolerance for down time during peak periods, i.e., time before management-level intervention occurs (e.g., 5 min, 15 min, 60 min)?  30 Minutes or less except during the maintenance windows

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

The LAN/WAN and MAN service provides backbone connectivity to each departmental facility throughout the state. If the connectivity is not available, department employees will not be able to access strategic IT systems required to provide direct services to our customers (Floridians).

3.3.3. Does the agency have a standard for required bandwidth its locations?  Yes  No  
If yes, indicate the standard (e.g. fiber channels for certain locatlons)

T-1, 3mbps, 6mbps, 45mbps, 100mbps

3.3.4. Are there any agency-unique service requirements?  Yes  No  
If yes, specify (include any applicable constitutional, statutory, or rule requirements)

There is a requirement to utilize a QOS (Quality Of Service) policy on the network in order to support VoIP Telephony. Additionally DFS, OFR, and OIR staff includes approximately 500 mobile users that require remote access to the LAN (Local Area Network).

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

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

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

Yes  No

3.3.6.1. If yes, please specify and describe:

Sensitive data must be protected in accordance with State policy, HIPAA and Sarbanes-Oxley requirements; records must be retained to comply with State records retention policies.

#### 4. User/customer satisfaction

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

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

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

Yes  No

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

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

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

**5. Additional Information**

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

This service is funded by General Revenue dollars and Trust Fund dollars.

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

Dept/Agency: Department of Financial Services

Prepared by: Jennifer Grant

Phone: 413-3595

Date Completed: October 15, 2009

#	Name of IT System	Description of IT System	Agency Program or Function Supported	Notes
1	Access American Disabilities Tracking	Access American Disabilities Tracking	Administration	
2	Access APT	Appointment System	Chief of Staff	
3	Access Bad Checks	Tracks Bad Checks	Administration	
4	Access Cards	Access ATT American Express RNK Tracking	Administration	
5	Access Comaster	Insurance Company information	OIR	
6	Access Facilities	Facilities Management	Administration	
7	Access LeaseTrack	Lease Tracking System	Administration	
8	Access Redistr	Redistribution Tracking System; Redistribution of checks tracking.	Administration	
9	Access Returns	Tracks Checks Returned to Sender	Administration	
10	Access Travel	Labels for DFS travel reimbursement.	Administration	
11	DVS	Document Viewing System	Administration	
12	PERS	Administrative Personnel System	Administration	
13	ROTE	Reimbursement of Travel Expenses	Administration	
14	Payroll System	DFS payroll load to FLAIR	Administration	

#	Name of IT System	Description of IT System	Agency Program or Function Supported	Notes
15	DPRT - Document Public Requests Tracking System	Document Public Requests Tracking System	Administration	
16	PIRQ	Print & Inventory Requests	Administration	
17	Access Records Management	Records Management System	Administration	
18	Access Exam Billing	Exam Billing System	Administration	
19	Access RCT Receipt	RCT Receipt System	Administration	
20				
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32				

*(Insert as many rows into table as needed.)*

Non-Strategic IT Service:

# Network Service

Dept/Agency: **Department of Financial Services**  
 Prepared by: **Jennifer Grant**  
 Phone: **413-3595**

Form: FY 2010-11 Schedule IV-C -Non-Strategics: Ver 1

Service Provisioning - - Assets & Resources (Cost Elements)	Footnote Number	# of Assets & Resources Apportioned to this IT Service in FY 2010- 11		Estimated IT Service Costs			
		Number used for this service	Number w/ costs in FY 2010- 11	A Initial Estimate for Fiscal Year 2009- 10	B Estimated FY 2009- 10 Allocation of Recurring Base Budget (based on Column G64 minus G65)	C Estimated FY 2010- 11 Allocation of Recurring Base Budget (based on Column G64 minus G65)	D Planned Increase/Decrease Use of Recurring Base Funding (Columns C - B)
<b>A. Personnel</b>		9.50		\$759,071	\$570,885	\$570,885	\$0
A-1.1 State FTE	1	9.50		\$759,071	\$570,885	\$570,885	\$0
A-2.1 OPS FTE		0.00		\$0	\$0	\$0	\$0
A-3.1 Contractor Positions (Staff Augmentation)		0.00		\$0	\$0	\$0	\$0
<b>B. Hardware</b>		5067	0	\$460,309	\$1,107,010	\$1,107,010	\$0
B-1 Servers	2	509	0	\$0	\$0	\$0	\$0
B-2 Server Maintenance & Support	3	149	0	\$72,072	\$450,196	\$450,196	\$0
B-3.1 Network Devices & Hardware (e.g., routers, switches, hubs, cabling, etc.)	4	3809	0	\$372,273	\$656,814	\$656,814	\$0
B-3.2 Other Hardware Assets (e.g., system mgt workstation, printers, UPS, etc)	3	600	0	\$15,964	\$0	\$0	\$0
<b>C. Software</b>	5			\$221,551	\$124,535	\$124,535	\$0
<b>D. External Service Provider(s)</b>				\$791,780	\$945,837	\$945,837	\$0
D-1 LAN External Service Provider		0	0	\$0	\$0	\$0	\$0
D-2 WAN External Service Provider	6	5	0	\$791,780	\$945,837	\$945,837	\$0
<b>E. Plant &amp; Facility for LAN/WAN Service</b>		0	0	\$0	\$0	\$0	\$0
<b>F. Other (Please describe in Footnotes Section below)</b>				\$0	\$0	\$0	\$0
<b>H. Total for IT Service</b>				\$2,232,711	\$2,748,267	\$2,748,267	\$0

**Footnotes - Please be sure to indicate there is a footnote for the corresponding row above. Maximum footnote length is 1024 characters.**

1	9.5 State FTE positions support Servers, Server Maintenance, Local Area Network, Wide Area Network, hardware and software and Cisco IP Telephony systems. Positions counted at 50%. No anticipated salary increase for FY 2010-11.
2	Of the 509 servers, 41 are domain controllers and the other servers are for a SAN, file and print services and member services.
3	An on-call maintenance contract covers out-of-warranty servers, all desktop and laptop computers and all printers. Remaining servers are covered by factory warranty. Actual costs may vary depending on the number of service calls made.
4	This total includes 223 switches, 33 routers and 8 firewalls, 5 coreswitches, 30 voice servers and 3510 phones to support all Data and IP Telephony.
5	Costs are for Metaframe/Citrix, BigFix, Galaxy
6	Comcast, Pager, Satellite, BlackBerry and Department of Management Services (DMS) SUNCOM services cost
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## Schedule VII: Agency Litigation Inventory

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

<b>Agency:</b>	Department of Financial Services		
<b>Contact Person:</b>	David Hershel, Assistant General Counsel	<b>Phone Number:</b>	(850) 413-1686
<b>Names of the Case: (If no case name, list the names of the plaintiff and defendant.)</b>	Florida Sheriff's Workers' Compensation Self-Insurance Fund v. Department of Financial Services, Division of Workers' Compensation		
<b>Court with Jurisdiction:</b>	Relinquished to the Department by an Administrative Law Judge of the Division of Administrative Hearings		
<b>Case Number:</b>	91386-07-WC (previously DOAH Case No. 08-5948)		
<b>Summary of the Complaint:</b>	Petitioner is requesting refunds from the Special Disability Trust Fund in the amount of \$6,638,301.35, arguing that the statute cannot be constitutionally applied against Petitioner. If successful, Petitioner would not owe future assessments to the fund. An adverse decision might apply to other similarly situated entities.		
<b>Amount of the Claim:</b>	\$6,638,301.35		
<b>Specific Statutes or Laws (including GAA) Challenged:</b>	Section 440.49, Florida Statutes		
<b>Status of the Case:</b>	Informal hearing held 5/21/09; Final Order entered 9/4/09, adopting the Hearing Officer's Findings of Fact and Conclusions of Law. The Final Order affirmed the Department's denial of Petitioner's requests for refund. Petitioner has thirty days (30) days to appeal the Final Order.		
<b>Who is representing (of record) the state in this lawsuit? Check all that apply.</b>	<input checked="" type="checkbox"/>	Agency Counsel	
	<input type="checkbox"/>	Office of the Attorney General or Division of Risk Management	
	<input type="checkbox"/>	Outside Contract Counsel	
<b>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).</b>			

*Office of Policy and Budget – July 2009*

## Schedule VII: Agency Litigation Inventory

*For directions on completing this schedule, please see the “Legislative Budget Request (LBR) Instructions” located on the Governor’s website.*

<b>Agency:</b>	Department of Financial Services		
<b>Contact Person:</b>	Lesley Mendelson, Assistant General Counsel	<b>Phone Number:</b>	850-413-3604
<b>Names of the Case: (If no case name, list the names of the plaintiff and defendant.)</b>	Galaxie Fireworks, Inc., v. The Honorable Jeb Bush, Governor of the State of Florida, and State of Florida, et al (including State Fire Marshal); Itzhak Dickstein v. same (consolidated cases)		
<b>Court with Jurisdiction:</b>	Hillsborough County Circuit Court		
<b>Case Number:</b>	98-9608-A		
<b>Summary of the Complaint:</b>	Issuance of Emergency Order prohibiting sale of fireworks; inverse condemnation resulting in monetary damages.		
<b>Amount of the Claim:</b>	\$1,034.844		
<b>Specific Statutes or Laws (including GAA) Challenged:</b>			
<b>Status of the Case:</b>	Hearing on damages/court ordered mediation to be scheduled; just received expert's report.		
<b>Who is representing (of record) the state in this lawsuit? Check all that apply.</b>	<input type="checkbox"/>	Agency Counsel	
	<input checked="" type="checkbox"/>	Office of the Attorney General or Division of Risk Management	
	<input type="checkbox"/>	Outside Contract Counsel	
<b>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).</b>			

*Office of Policy and Budget – July 2009*

## Schedule VII: Agency Litigation Inventory

*For directions on completing this schedule, please see the “Legislative Budget Request (LBR) Instructions” located on the Governor’s website.*

Agency:	Office of Financial Regulation		
Contact Person:	Robert Beitler	Phone Number:	(850) 410-9896
Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	Alkow, et al. v. Pearlman, et al.		
Court with Jurisdiction:	U.S. District Court, Southern District of New York		
Case Number:	07-CV-2285(GBD)		
Summary of the Complaint:	This is a lawsuit by various victims of a \$300 million investment scam perpetrated by Lou Pearlman of Orlando. In addition to suing the persons actually responsible for the scam, plaintiffs sued the OFR, the Florida Governor, the Florida Attorney General, and various state employees.		
Amount of the Claim:	Plaintiffs asked for equitable relief only, but also asked that the state’s limits to it’s waiver of sovereign immunity be struck. So it appears that plaintiffs intend to seek monetary damages. The OFR believes the entire claim to be without merit based on the facts and all existing case law in Florida.		
Specific Statutes or Laws (including GAA) Challenged:	Section 768.28, F.S.		
Status of the Case:	The judge has entered an order dismissing the Florida Attorney General and the individual OFR defendants from the suit. But the other motions to dismiss filed by the state have not yet been ruled upon. Most recently, plaintiffs’ lead attorney was disbarred by the state of New York. No activity has taken place in this case in almost a year.		
Who is representing (of record) the state in this lawsuit? Check all that apply.	<input type="checkbox"/>	Agency Counsel	
	<input checked="" type="checkbox"/>	Office of the Attorney General or Division of Risk Management	
	<input checked="" type="checkbox"/>	Outside Contract Counsel	
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).	NA		

*Office of Policy and Budget – July 2009*

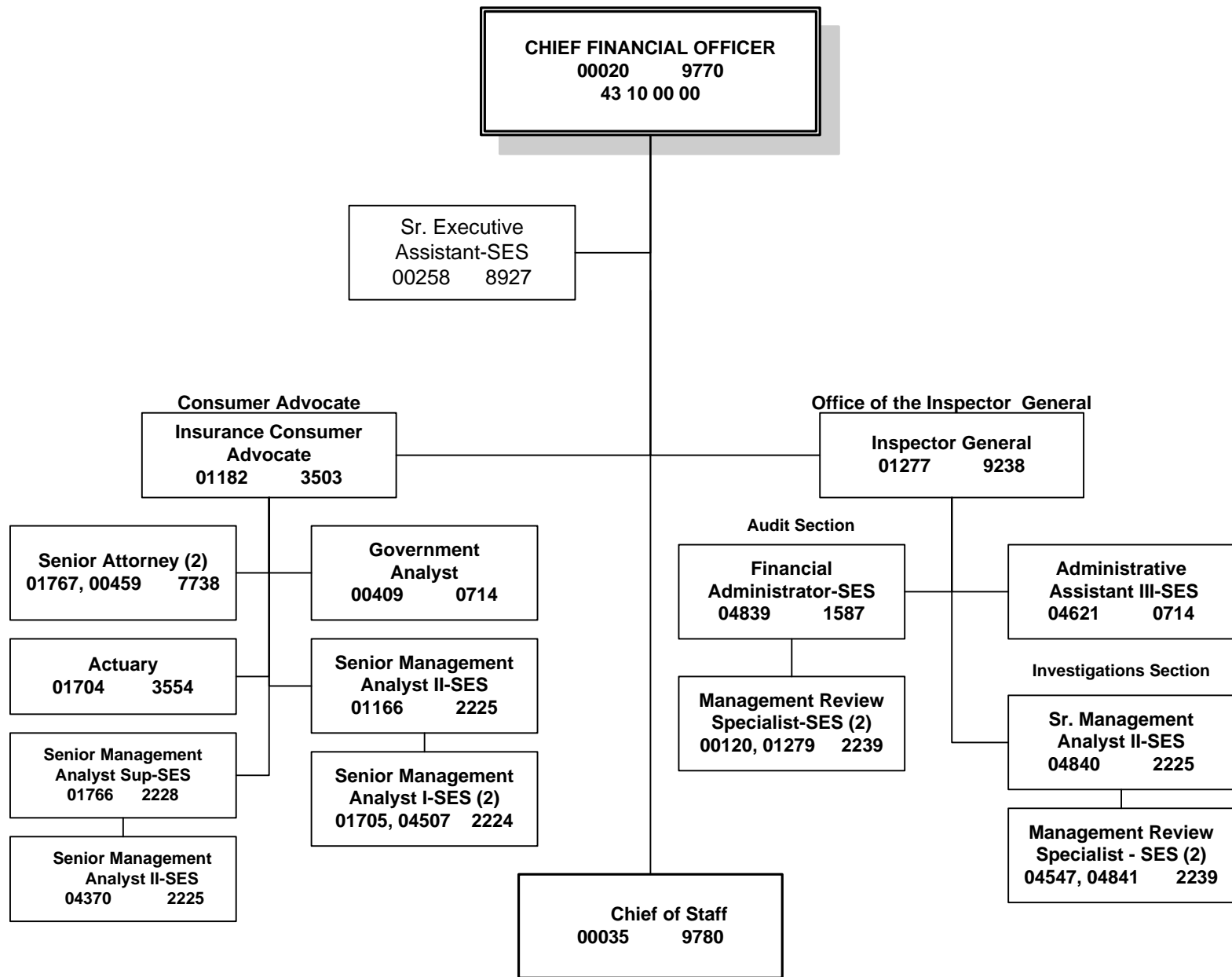
## Schedule VII: Agency Litigation Inventory

*For directions on completing this schedule, please see the “Legislative Budget Request (LBR) Instructions” located on the Governor’s website.*

Agency:	Office of Financial Regulation		
Contact Person:	Robert Beitler	Phone Number:	(850) 410-9896
Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	Young v. Crist, State of Florida, and Office of Financial Regulation		
Court with Jurisdiction:	Circuit Court, Hillsboro County, Florida		
Case Number:	08-30380 CA		
Summary of the Complaint:	This is similar to the Alkow suit filed in federal court in New York, also reported on a Schedule VII. Some of the same attorneys are involved on behalf of the plaintiffs, as are many of the same plaintiffs. The essence of the claim against OFR is the allegation that OFR was negligent and did not discover this scam soon enough, and therefore should reimburse the losses of those who invested in it.		
Amount of the Claim:	Unspecified. But the OFR is of the opinion that based on the facts and all known case law, the claims have no merit.		
Specific Statutes or Laws (including GAA) Challenged:			
Status of the Case:	Defendants have been served, and have filed a multi-faceted motion to dismiss, change venue, and to strike. Hearing on the motion to dismiss is scheduled for September 29.		
Who is representing (of record) the state in this lawsuit? Check all that apply.	<input type="checkbox"/>	Agency Counsel	
	<input checked="" type="checkbox"/>	Office of the Attorney General or Division of Risk Management	
	<input checked="" type="checkbox"/>	Outside Contract Counsel	
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).	NA		

*Office of Policy and Budget – July 2009*

# Department of Financial Services Chief Financial Officer



CFO Total FTE: 2

Consumer Advocate FTE: 10

Inspector General FTE: 8

FTE not Included in this Section

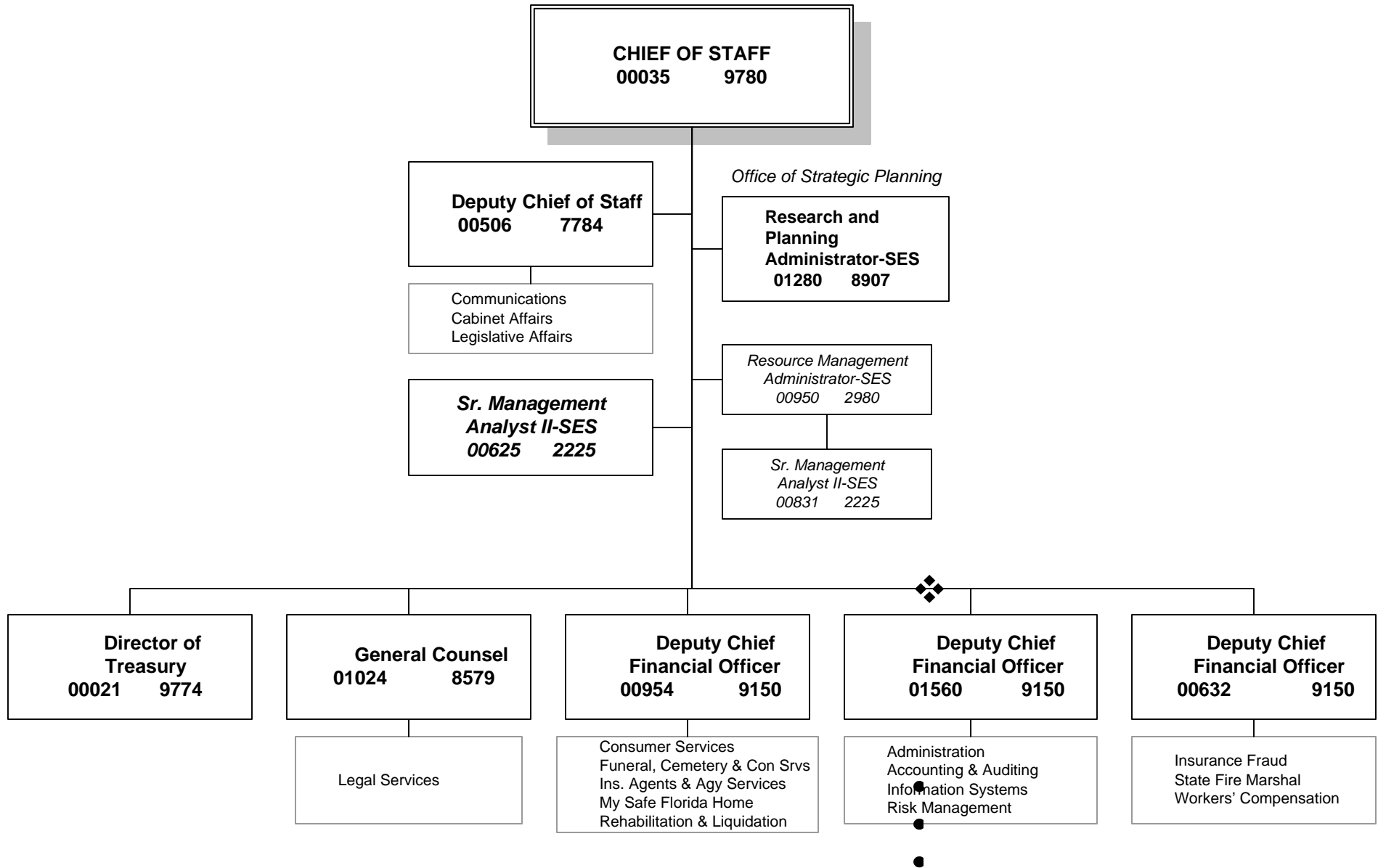
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Italic = Organizationally Assigned. Reports elsewhere administratively. FTE counted.

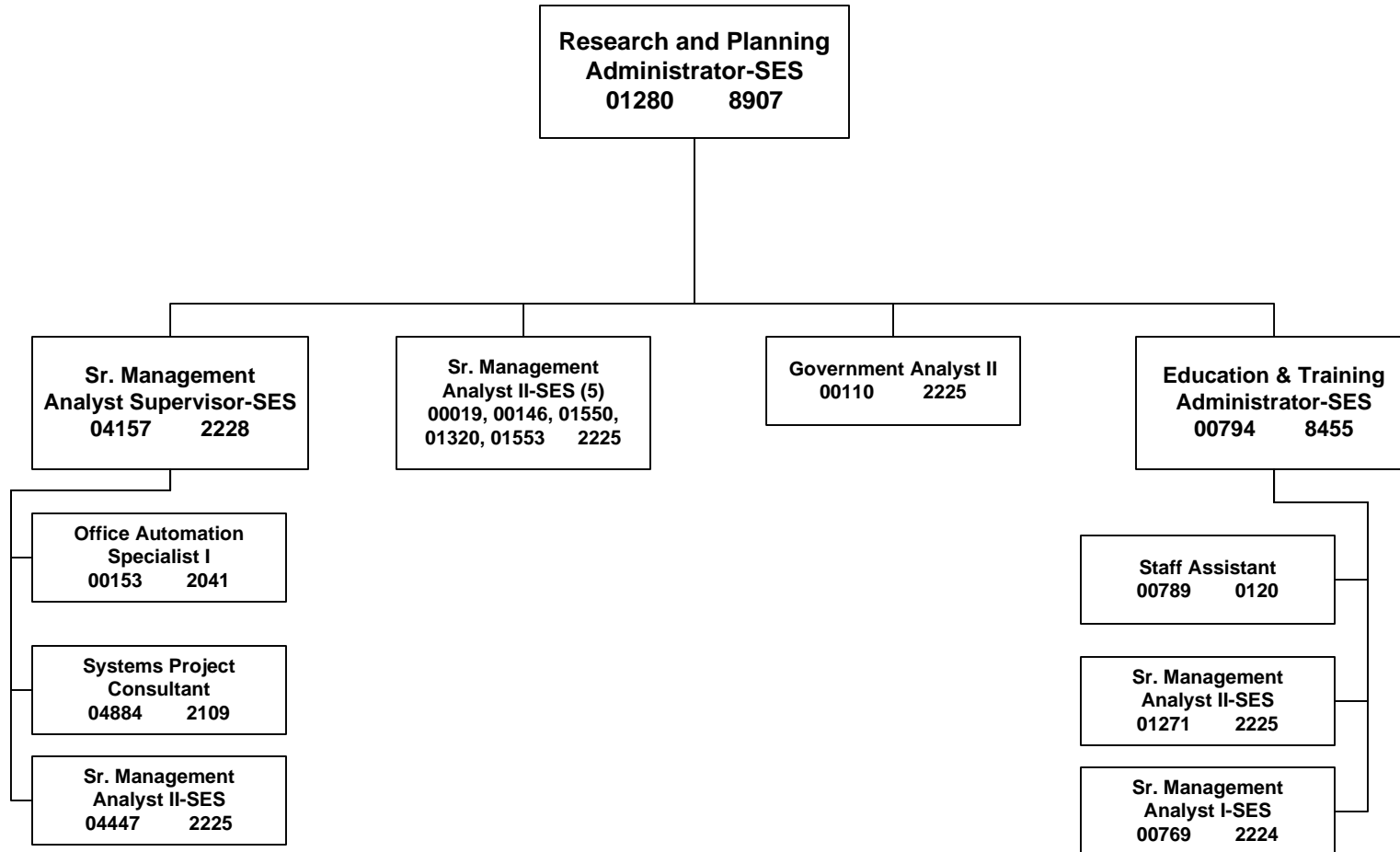
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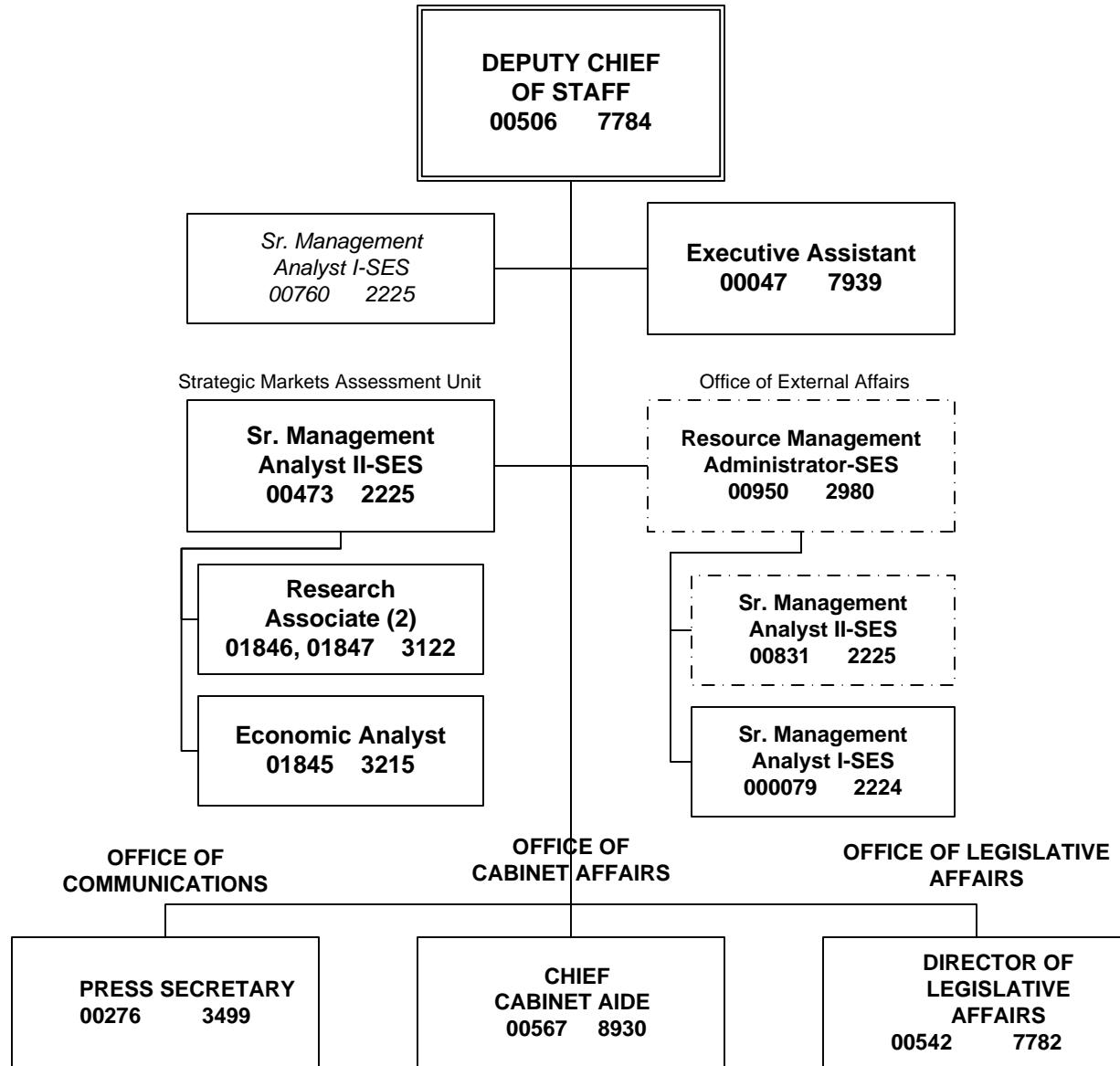
**Department of Financial Services  
Chief Financial Officer  
Office of the Chief of Staff**



**Department of Financial Services  
 Chief Financial Officer  
 Office of the Chief of Staff  
 Office of Strategic Planning**

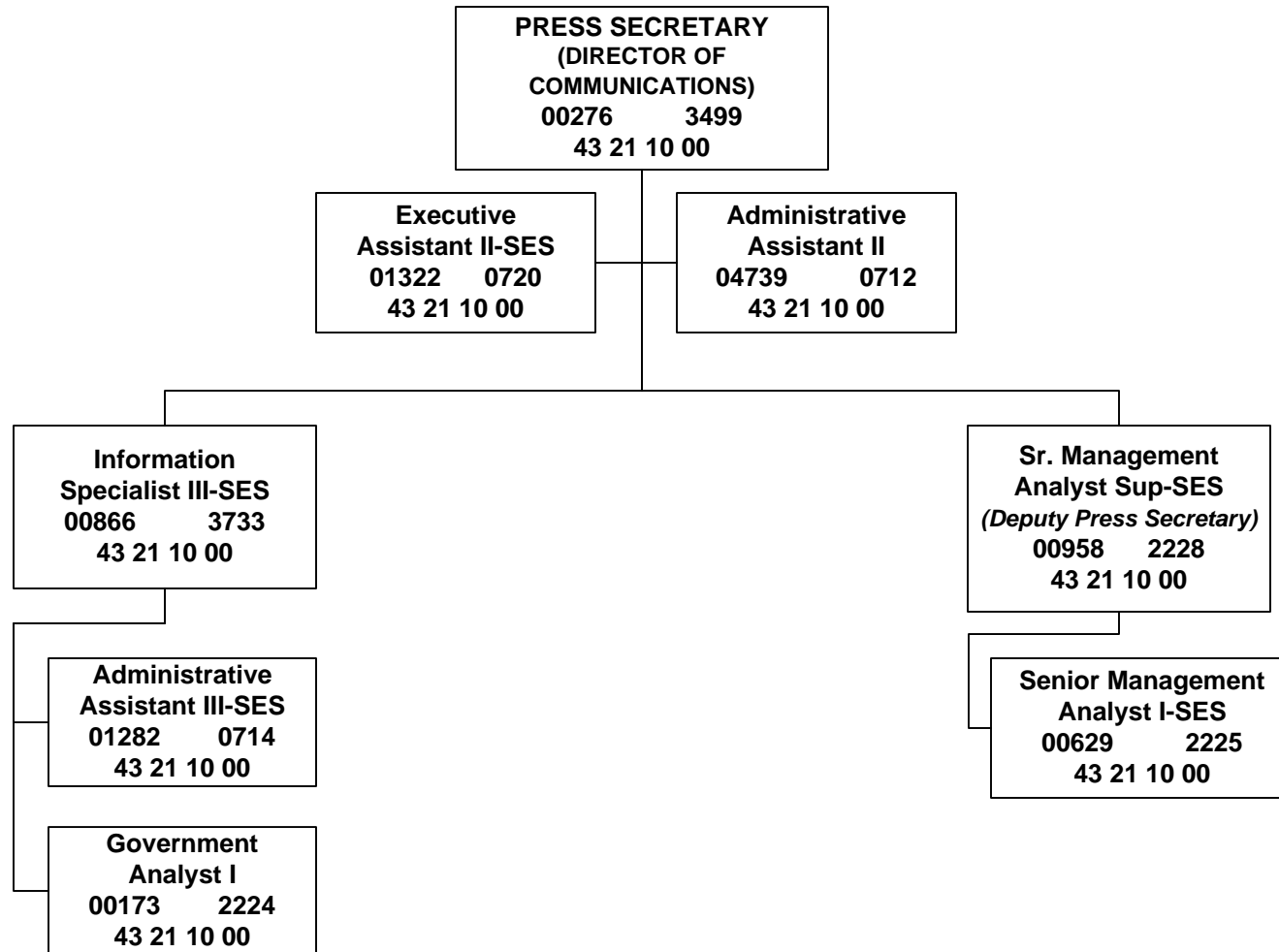


**Department of Financial Services  
Office of the Chief of Staff  
Office of the Deputy Chief of Staff**





**Department of Financial Services  
Office of the Chief of Staff  
Office of the Deputy Chief of Staff  
Office of Communications**



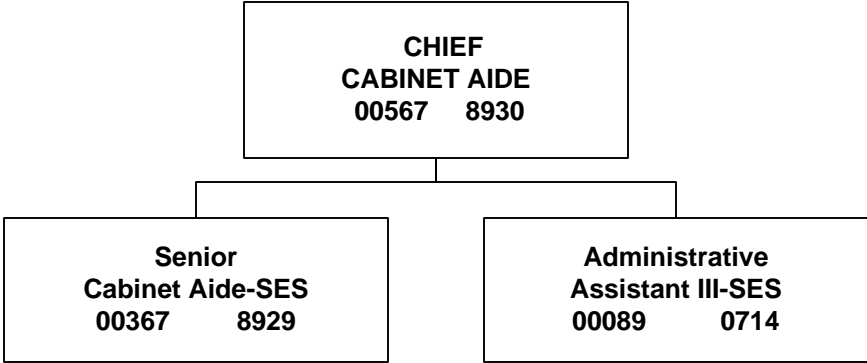
**Total FTE: 8**

FTE not Included in this Section  
 Dotted Line = Administratively Assigned. FTE not counted.  
 Italic = Organizationally Assigned. Reports elsewhere administratively. FTE counted.

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**Department of Financial Services  
Office of the Chief of Staff  
Office of the Deputy Chief of Staff  
Office of Cabinet Affairs**

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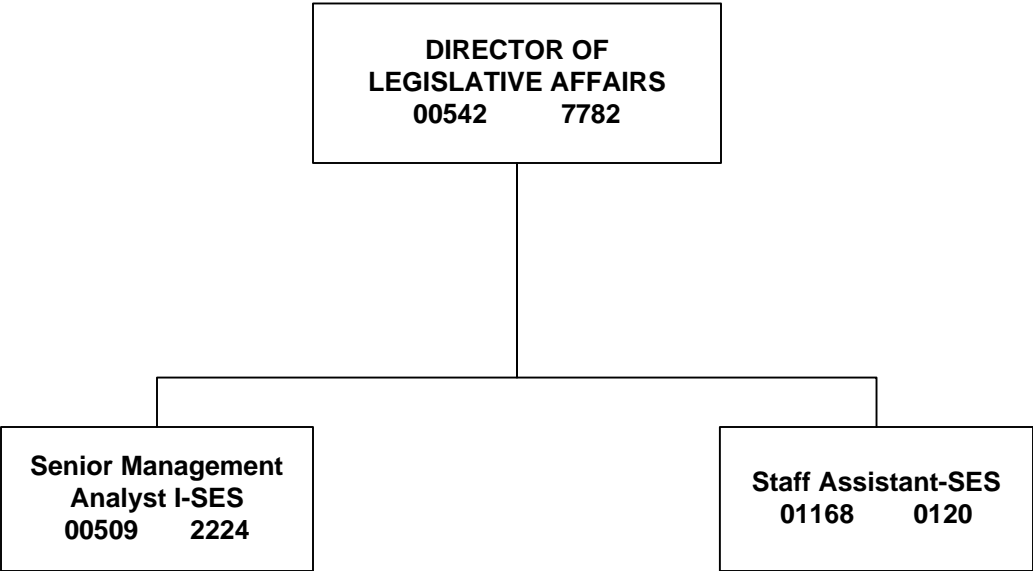
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Total FTE: 3

FTE not Included in this Section  
Dotted Line = Administratively Assigned. FTE not counted.  
Italic = Organizationally Assigned. Reports elsewhere administratively. FTE counted.

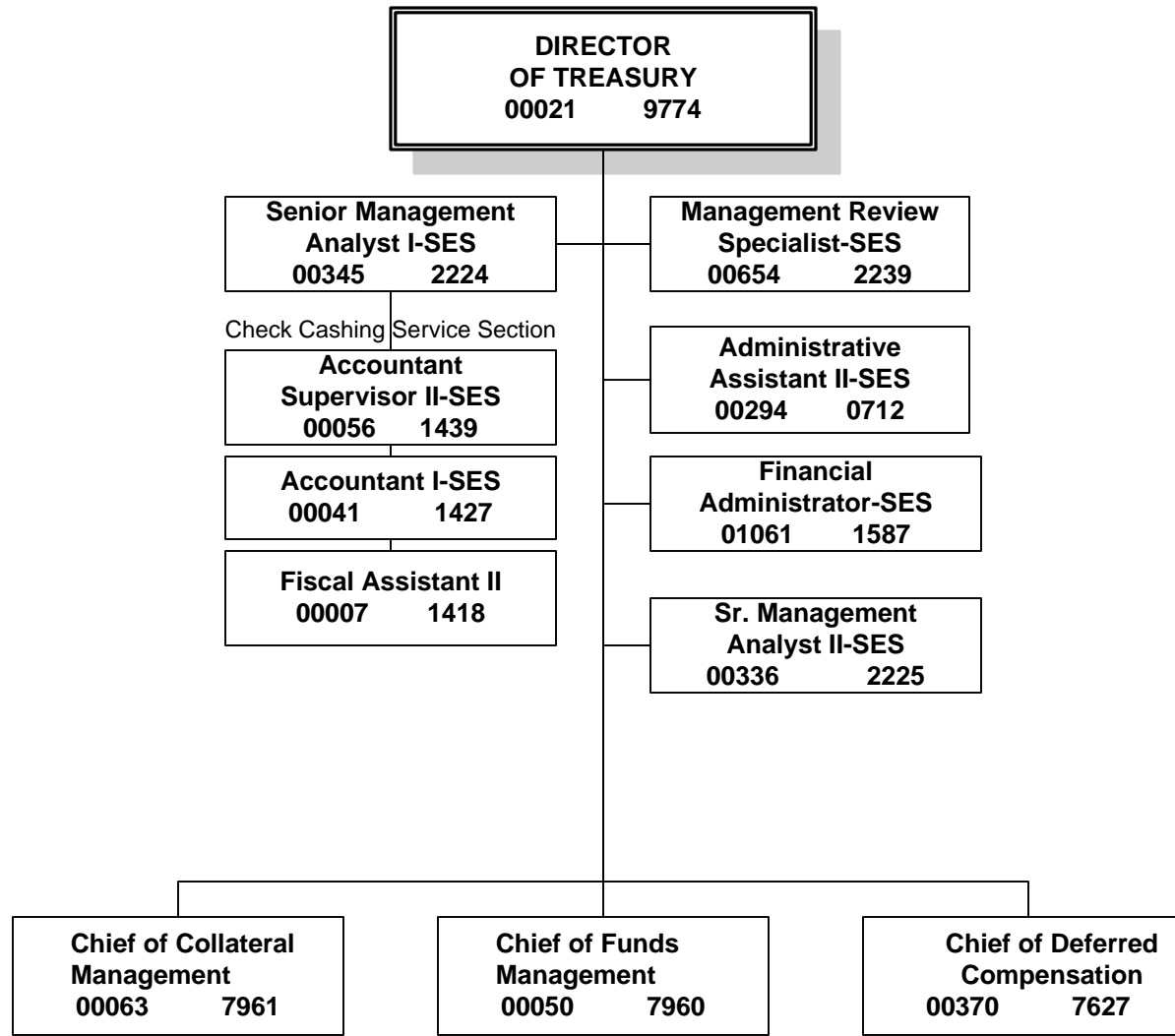
**Department of Financial Services  
Office of the Chief of Staff  
Office of the Deputy Chief of Staff  
Office of Legislative Affairs**

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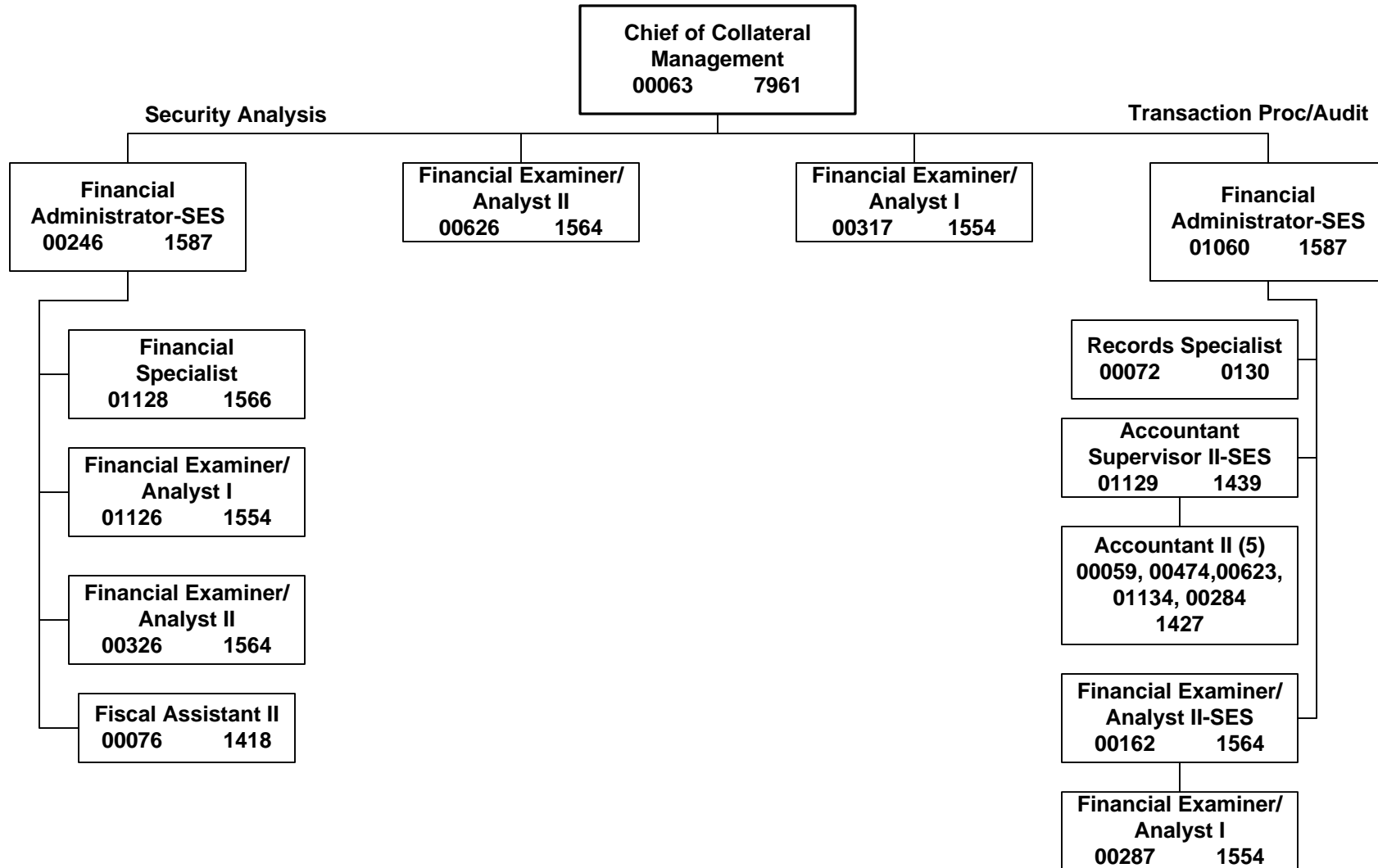


**Department of Financial Service  
Office of the Deputy Chief Financial Officer  
Division of Treasury  
Office of the Director**

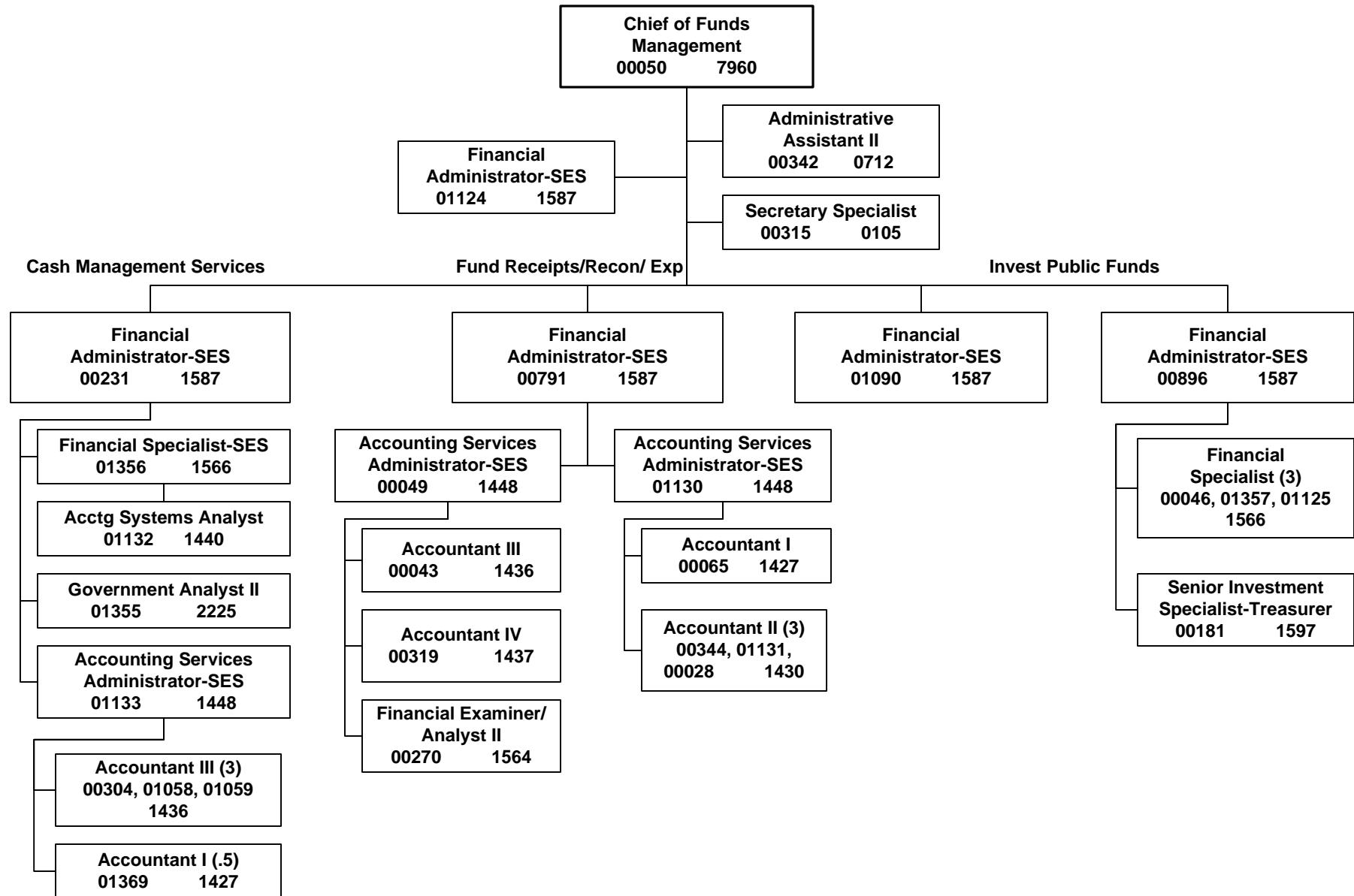
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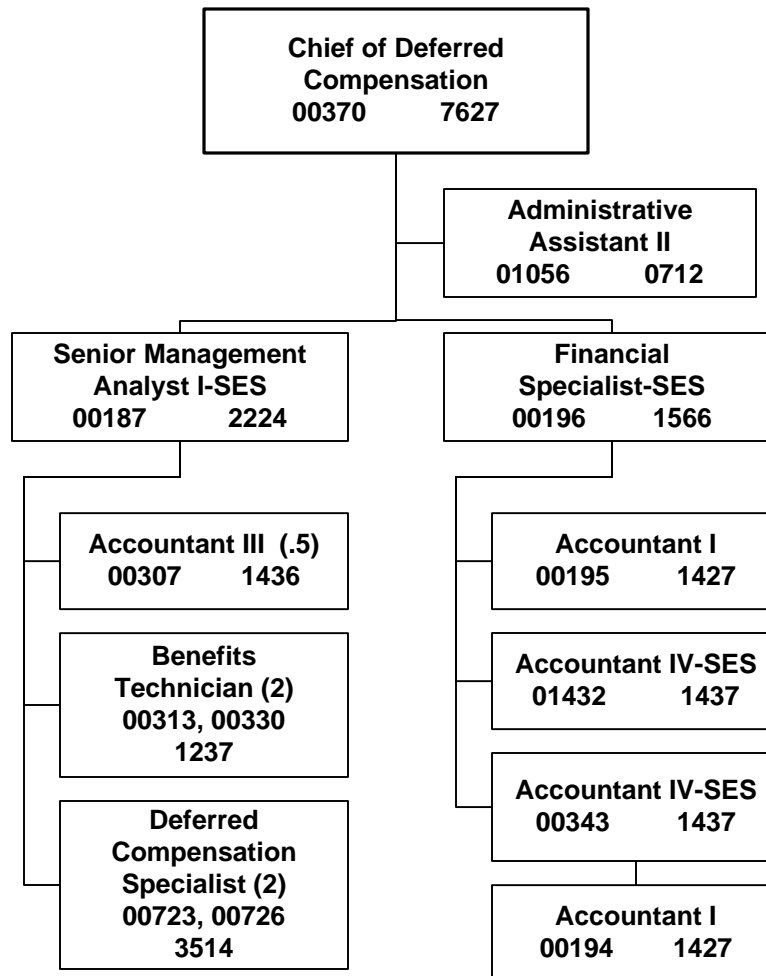
**Department of Financial Services  
Office of the General Counsel  
Division of Treasury  
Bureau of Collateral Management**



**Department of Financial Services  
Office of the General Counsel  
Division of Treasury  
Bureau of Funds Management**

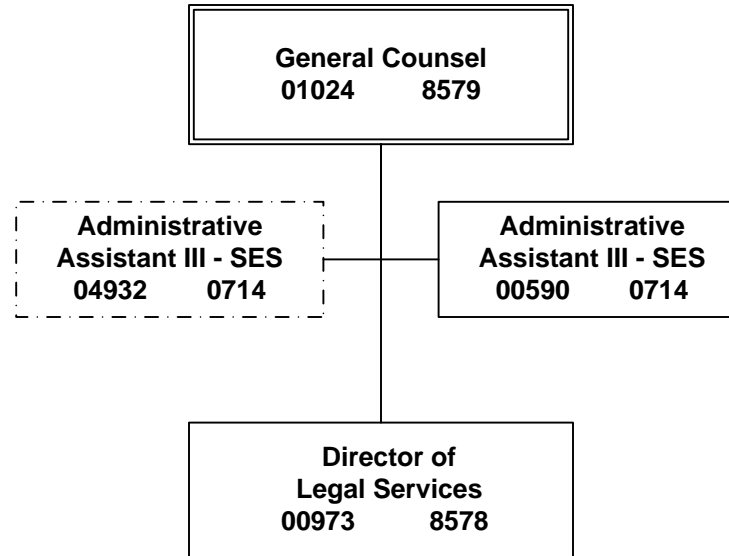


**Department of Financial Services  
Division of Treasury  
Bureau of Deferred Compensation**



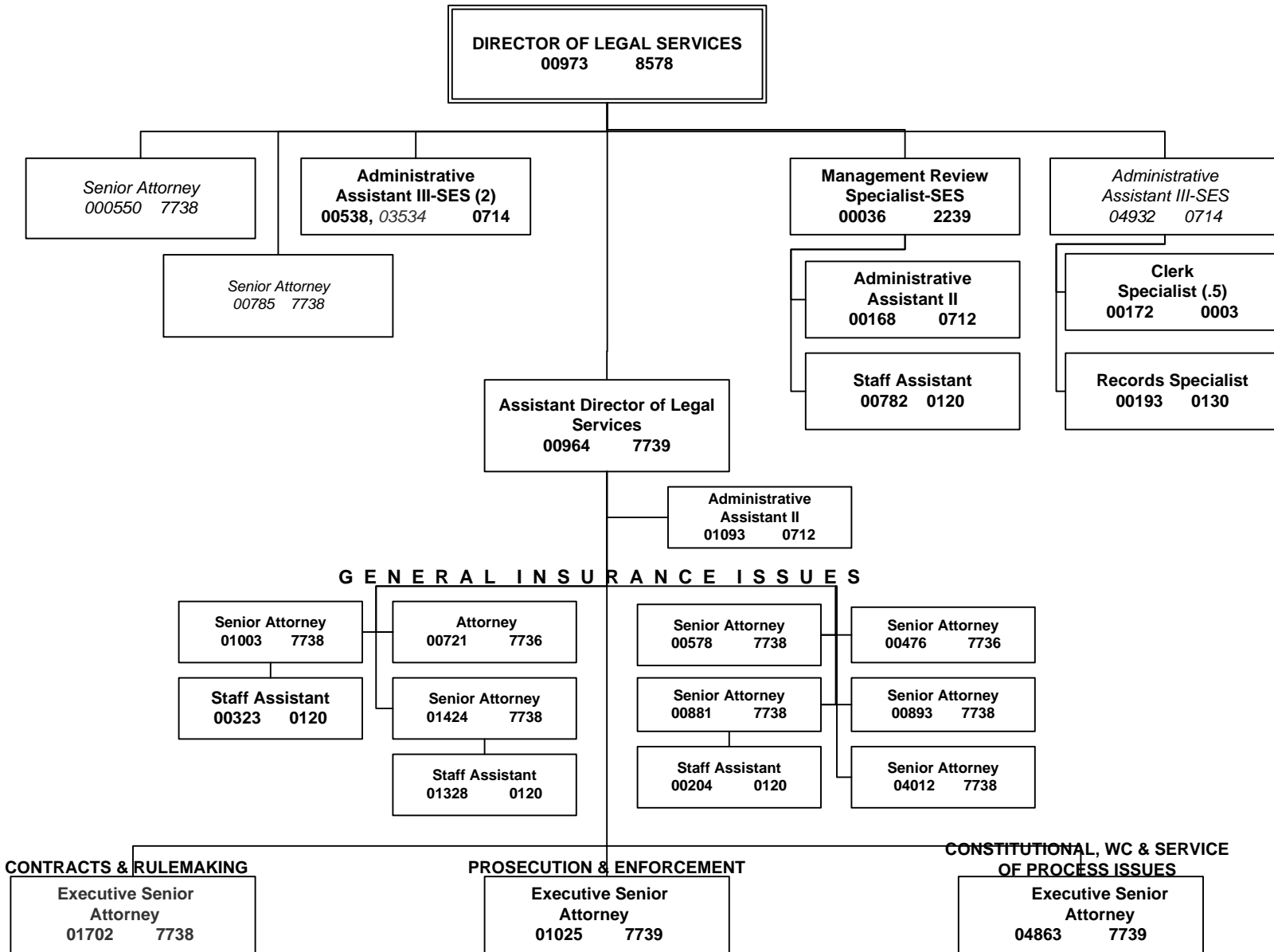
Department of Financial Services  
Office of the General Counsel

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**Department of Financial Services  
Office of the General Counsel  
Division of Legal Services  
Office of the Director**

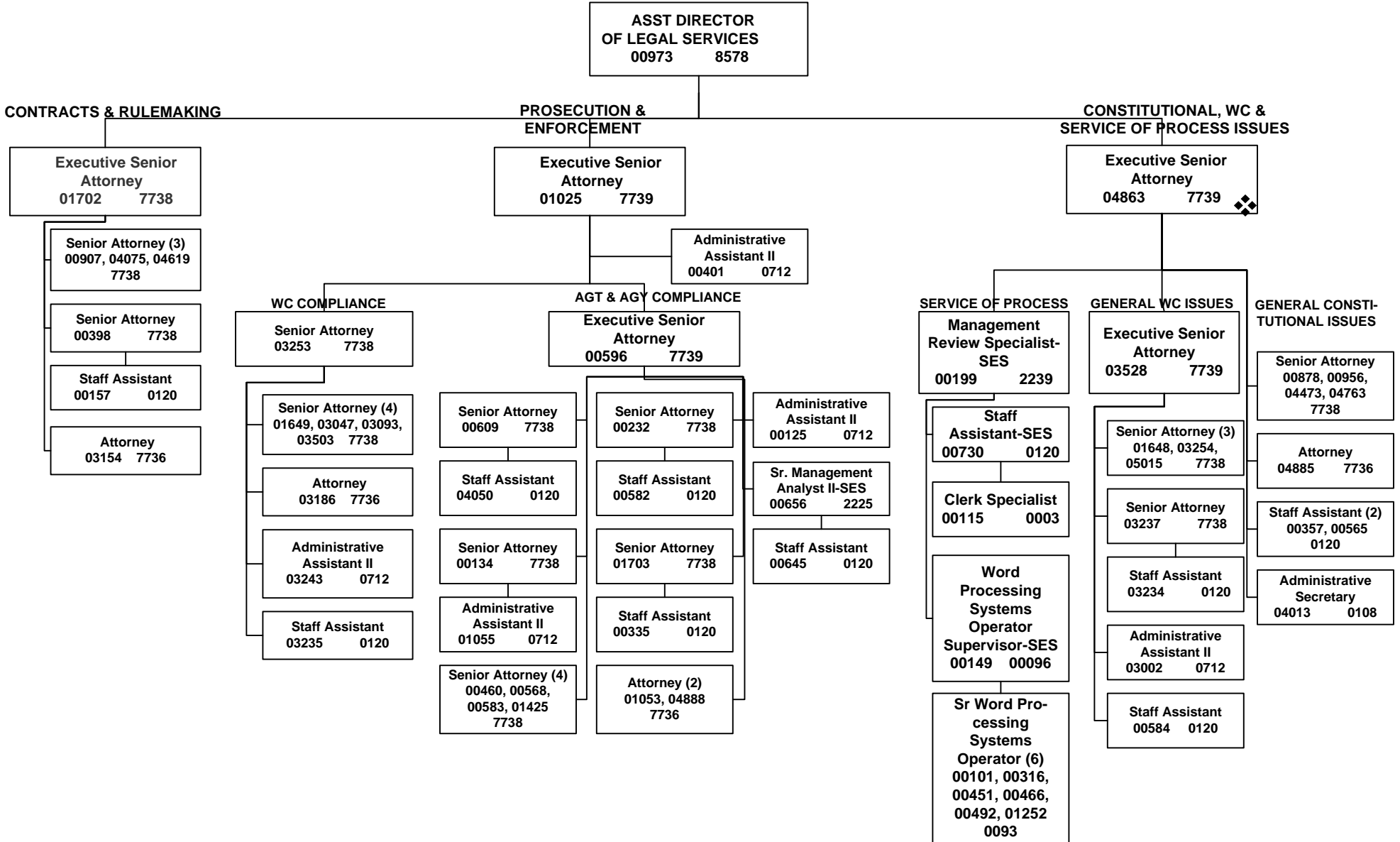


Director's Ofc FTE: 12.5  
General Ins Issues FTE: 11  
Division Total FTE: 85.5

FTE not Included in this Section  
Dotted Line = Administratively Assigned. FTE not counted.  
Italic = Organizationally Assigned. Reports elsewhere administratively. FTE counted.

Eff 07-01-09  
Rev 07-09-09

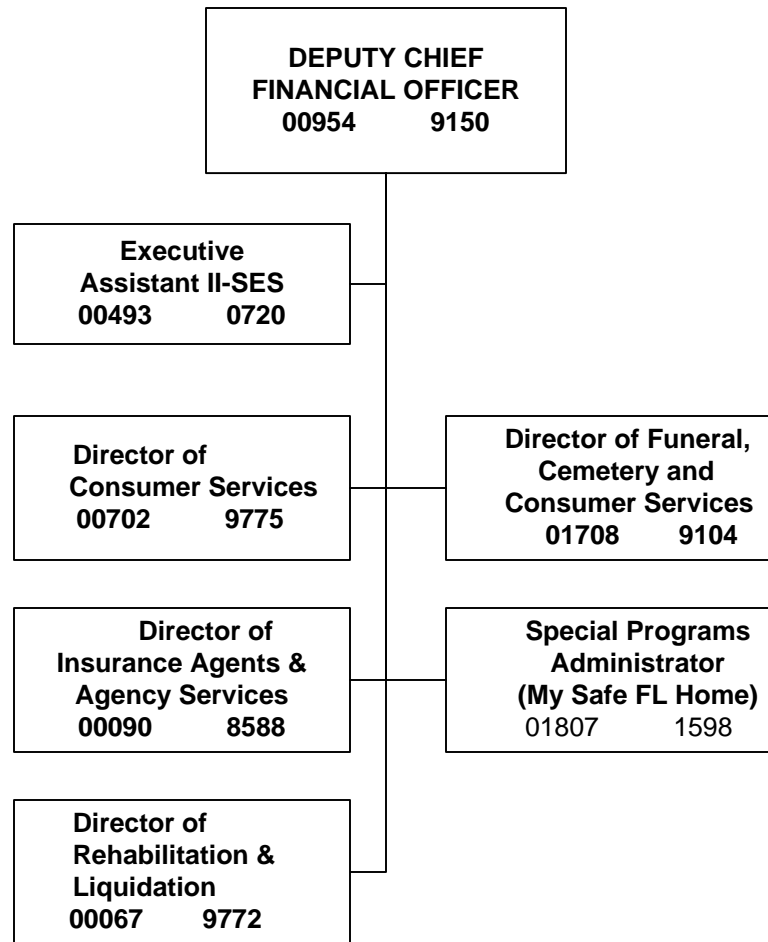
**Department of Financial Service  
Office of the General Counsel  
Division of Legal Services**



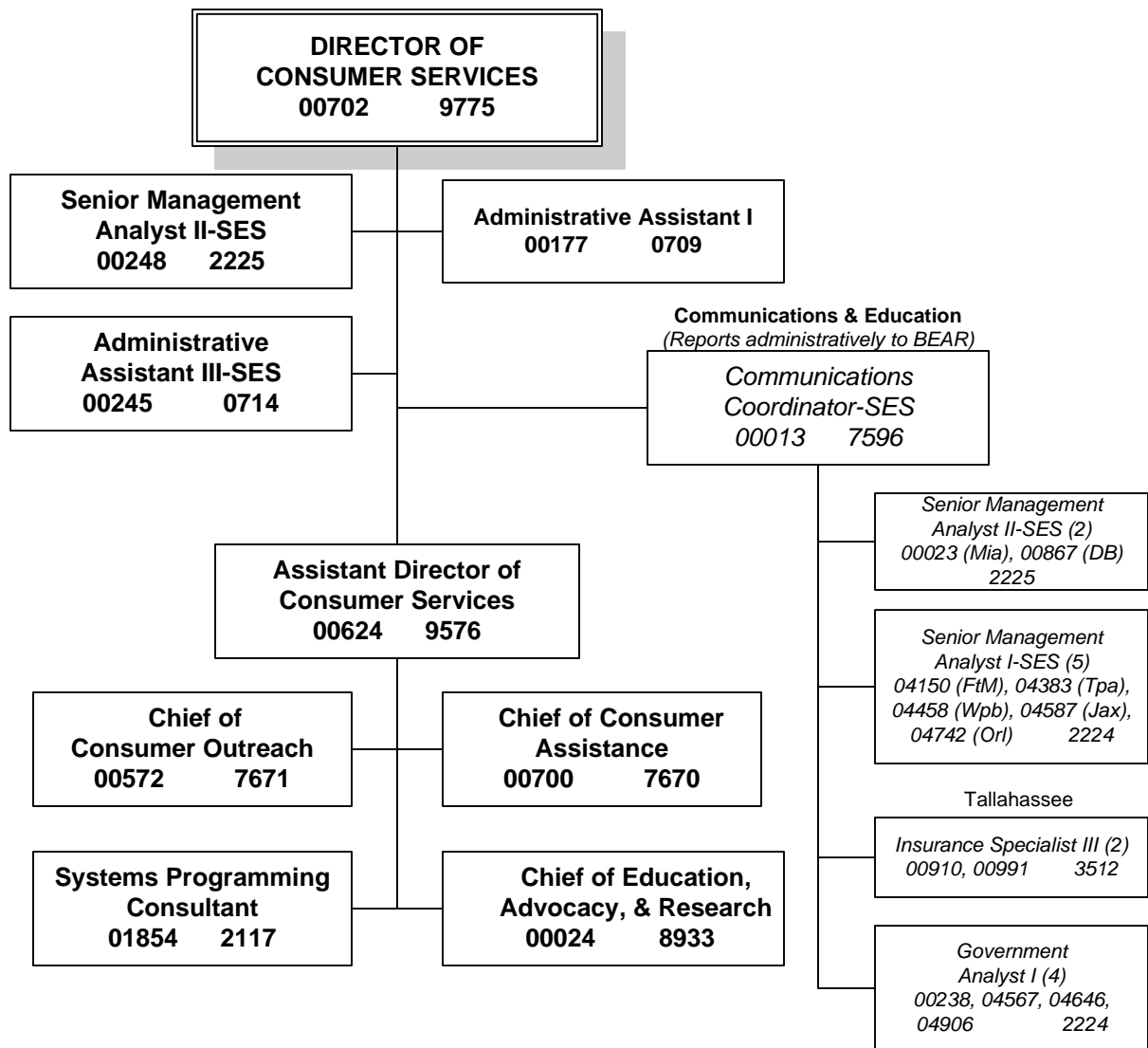
# Department of Financial Services

## Office of Deputy Chief Financial Officer

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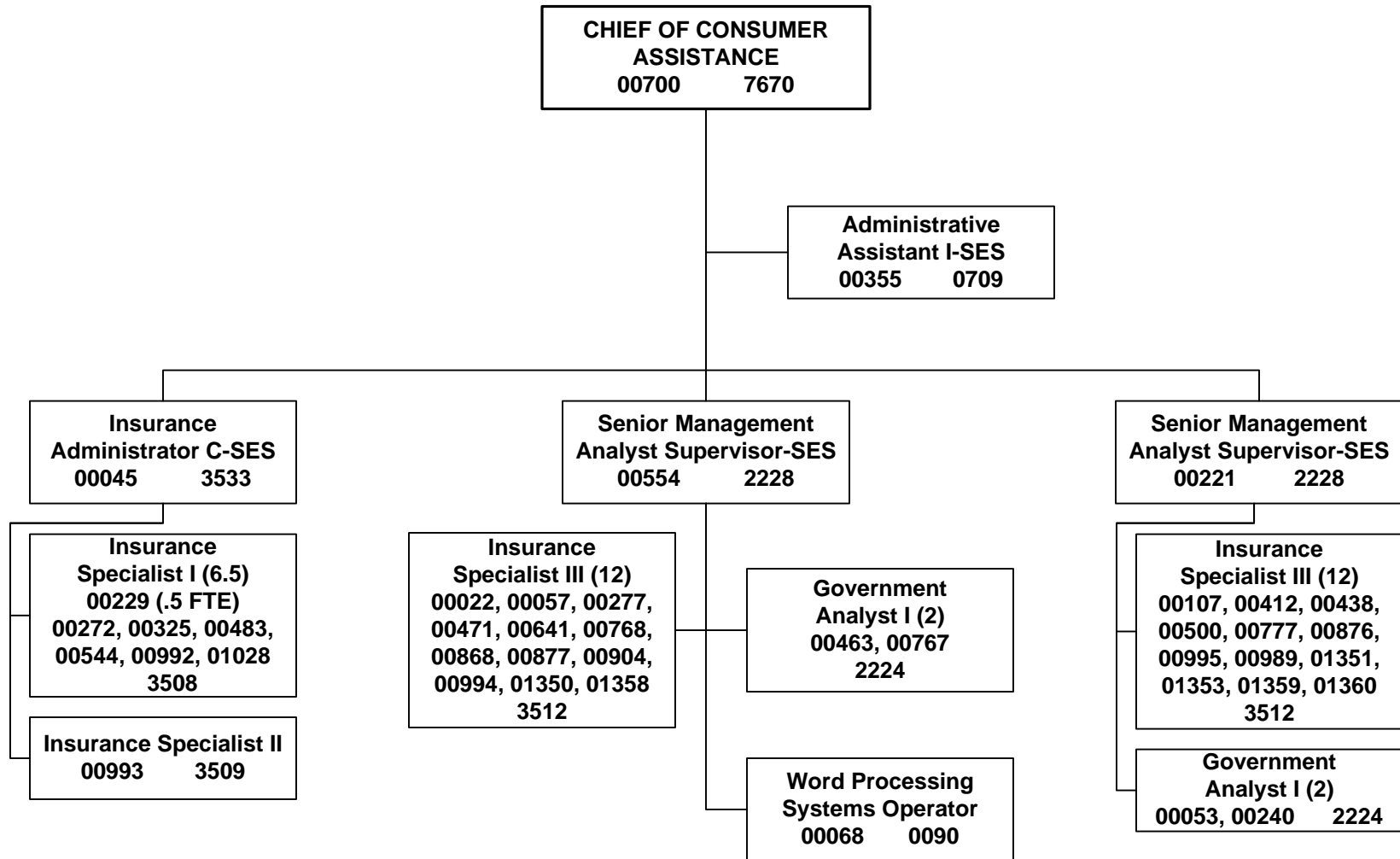


**Department of Financial Services  
Office of Deputy Chief Financial Officer  
Division of Consumer Services  
Office of the Director**



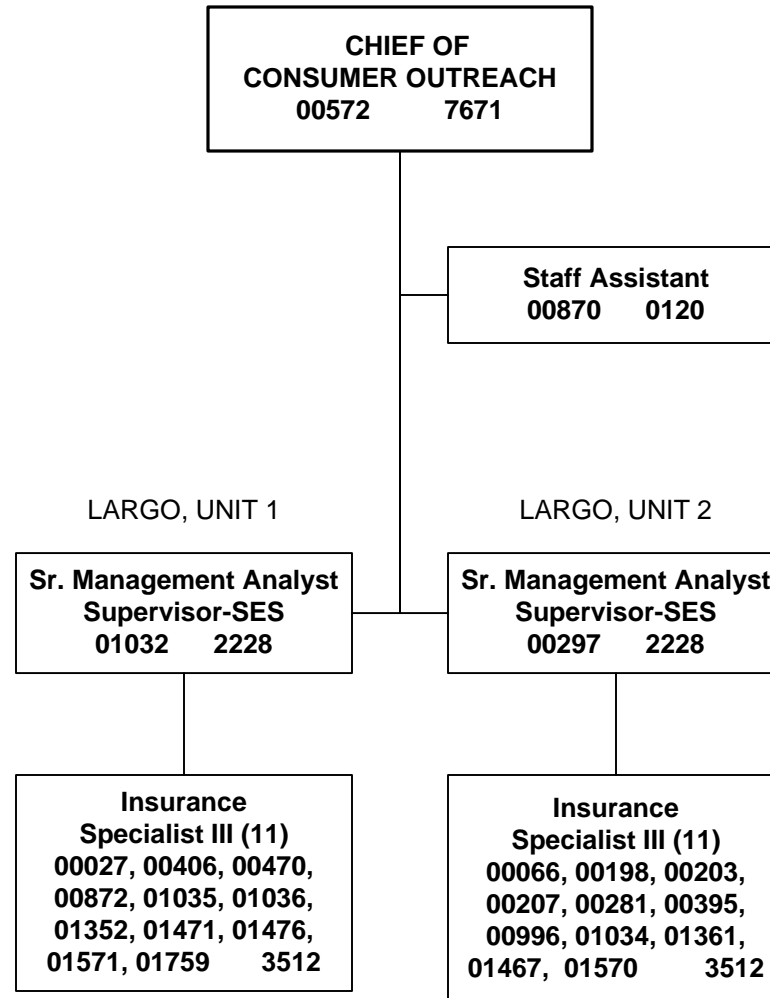
**Department of Financial Services  
Division of Consumer Services  
Bureau of Consumer Assistance**

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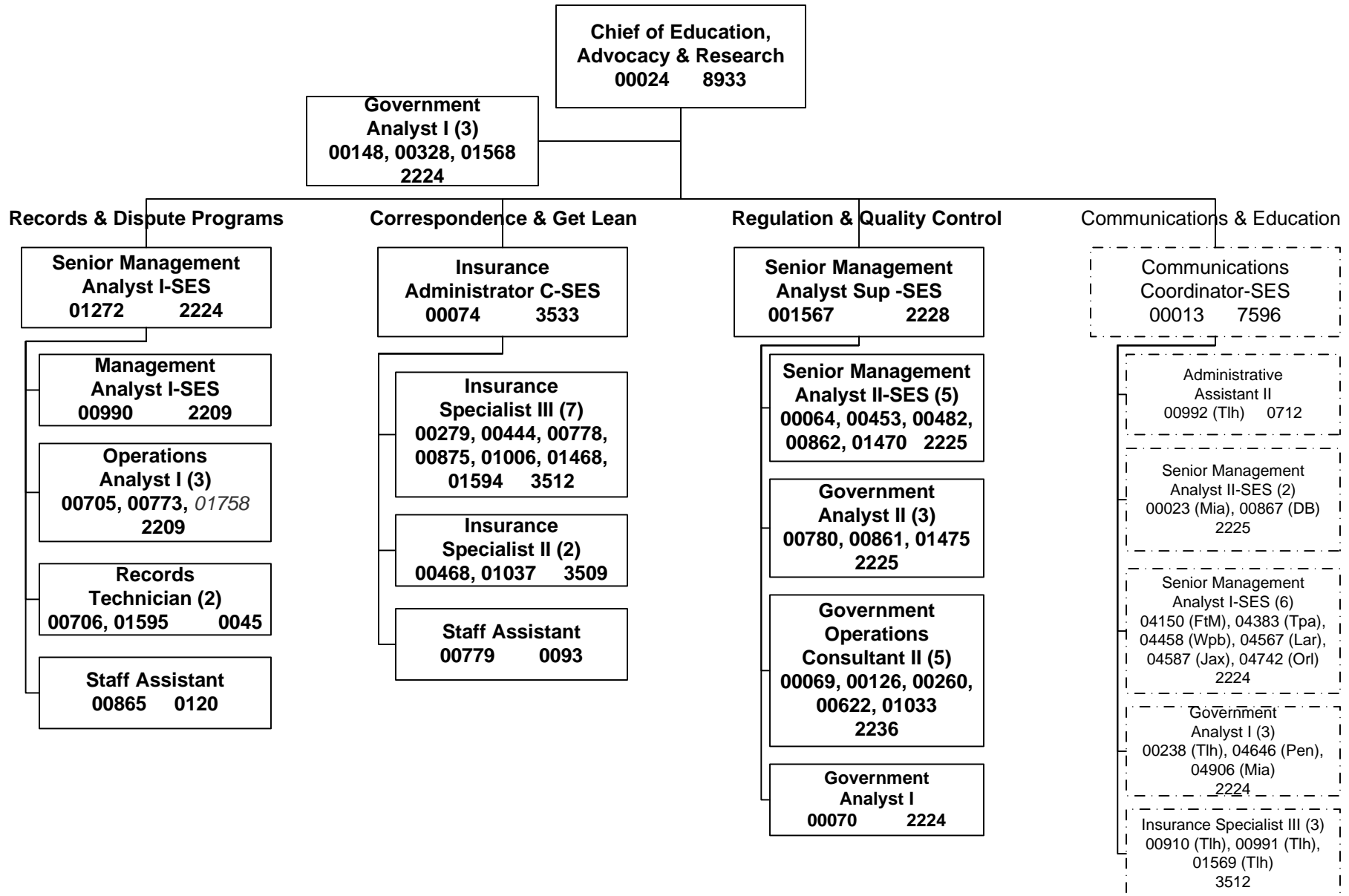


**Department of Financial Services  
Division of Consumer Services  
Bureau of Consumer Outreach**

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**Department of Financial Services  
Division of Consumer Services  
Bureau of Education, Advocacy, and Research**



Total FTE: 39

FTE not Included in this Section  
Dotted Line = Administratively Assigned. FTE not counted.  
Italic = Organizationally Assigned. Reports elsewhere administratively. FTE counted.

Eff 08-24-09

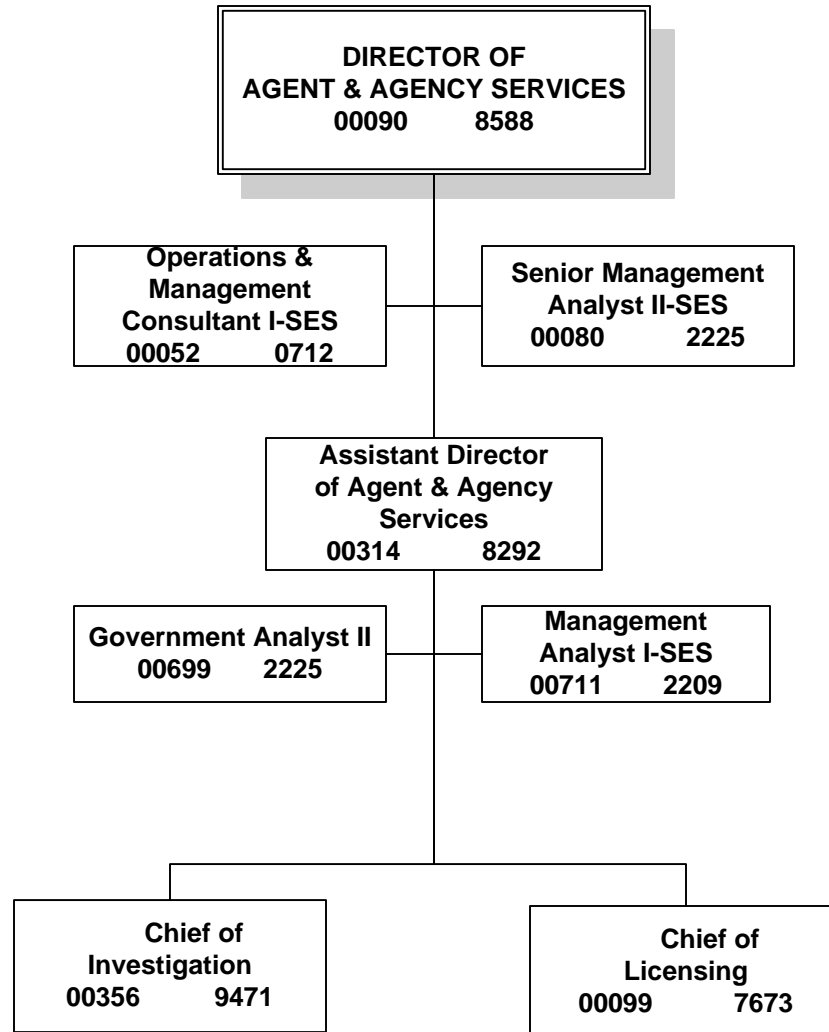
Rev 09-23-09

4-1-4

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**Department of Financial Services  
Division of Insurance Agents & Agency Services  
Office of the Director**

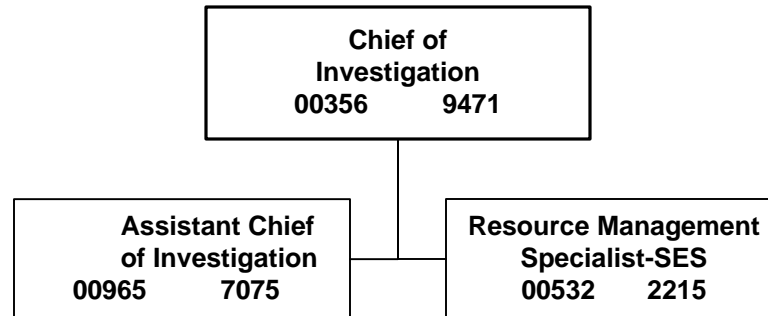
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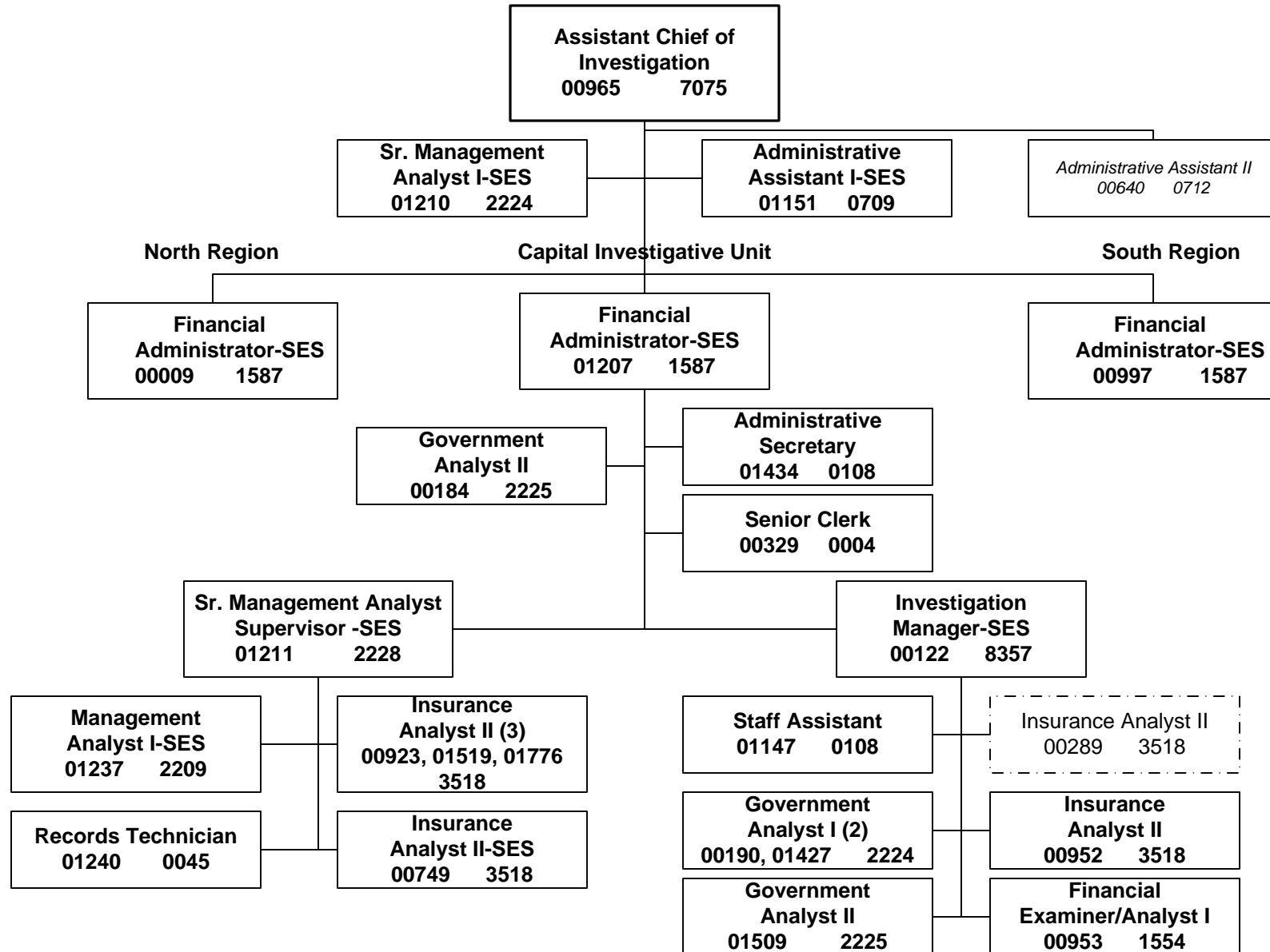


**Department of Financial Services  
Division of Insurance Agents & Agency Services  
Bureau of Investigation  
Office of the Chief**

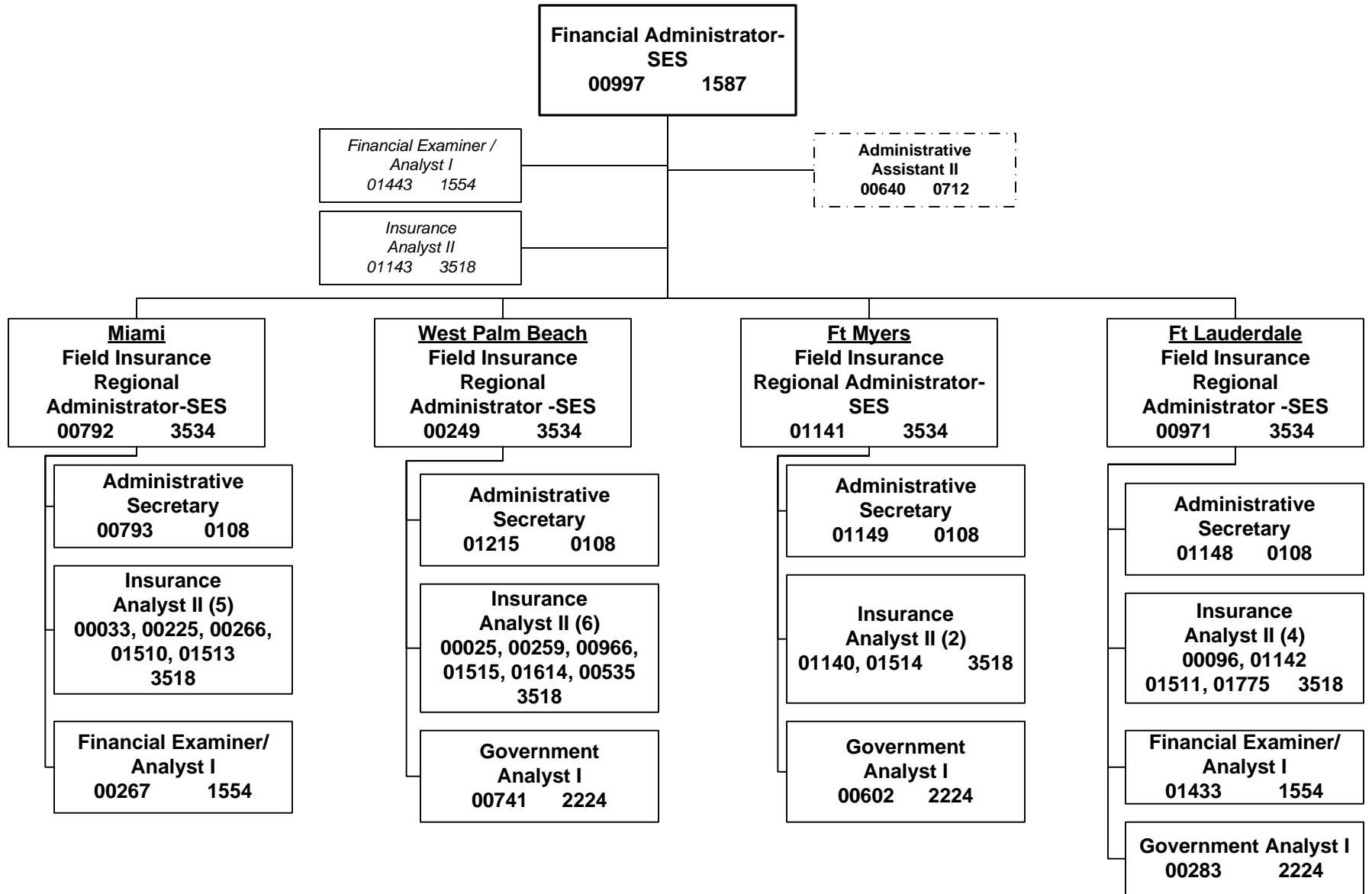
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**Department of Financial Services  
 Division of Insurance Agents & Agency Services  
 Bureau of Investigation  
 Office of the Assistant Chief**



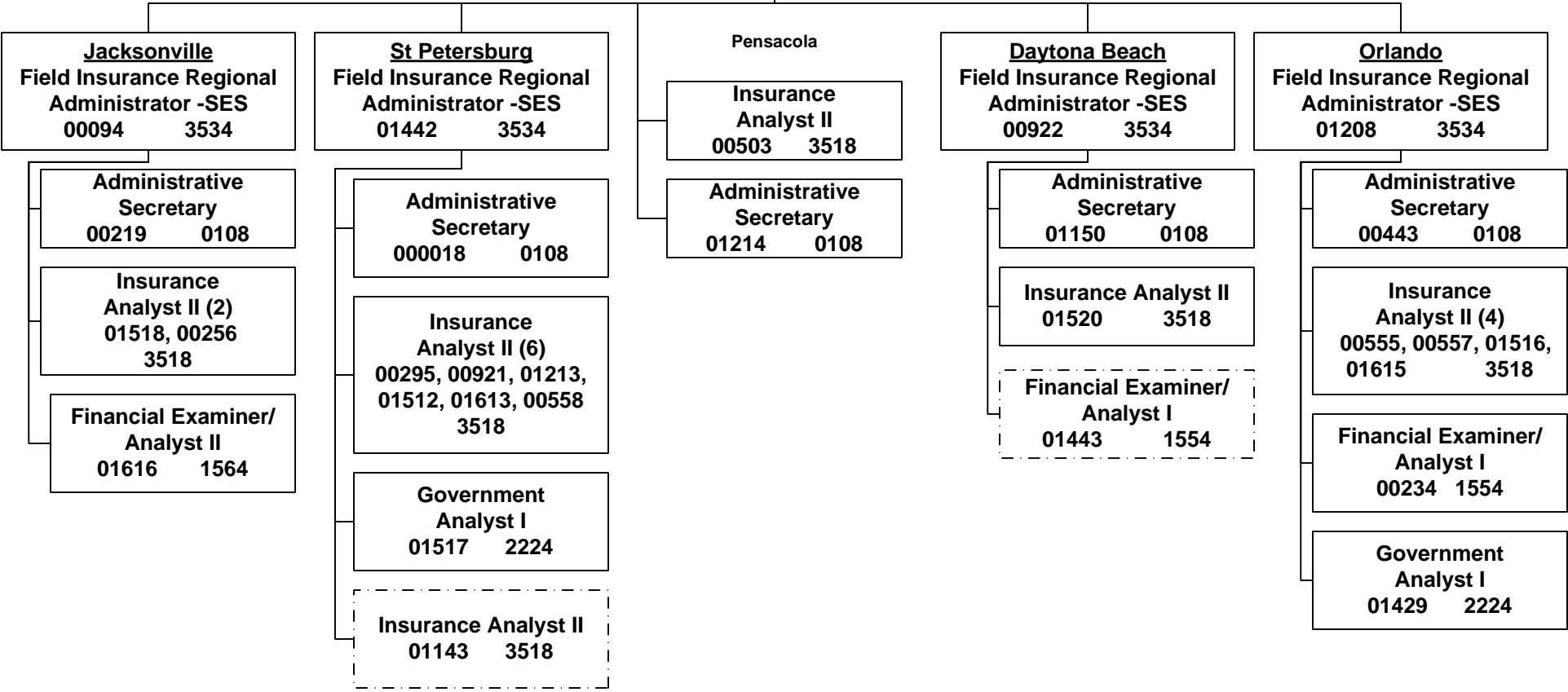
**Department of Financial Services  
Division of Insurance Agents & Agency Services  
Bureau of Investigation  
South Region**



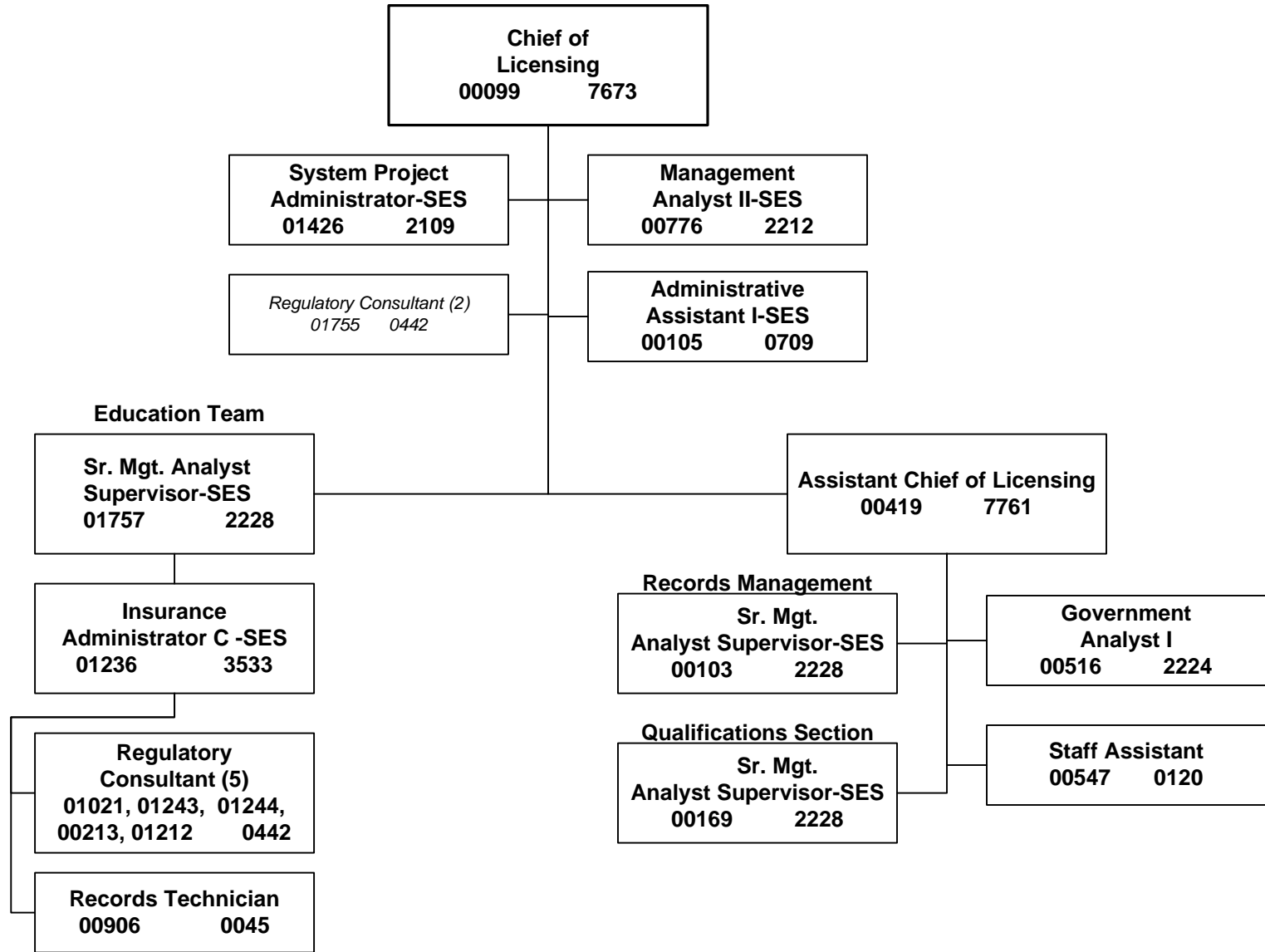
**Department of Financial Services  
 Division of Insurance Agents & Agency Services  
 Bureau of Investigation  
 North Region**

**Financial  
 Administrator-SES  
 00009 1587**

*Insurance  
 Analyst II  
 00289 3518*

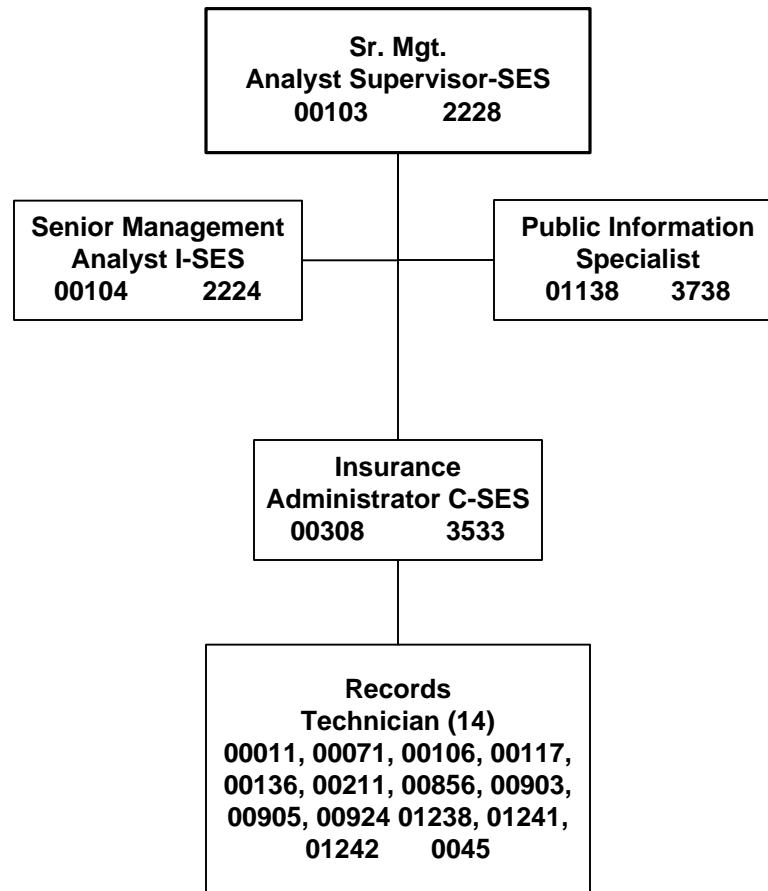


**Department of Financial Services  
Division of Insurance Agents & Agency Services  
Bureau of Licensing  
Office of the Chief**

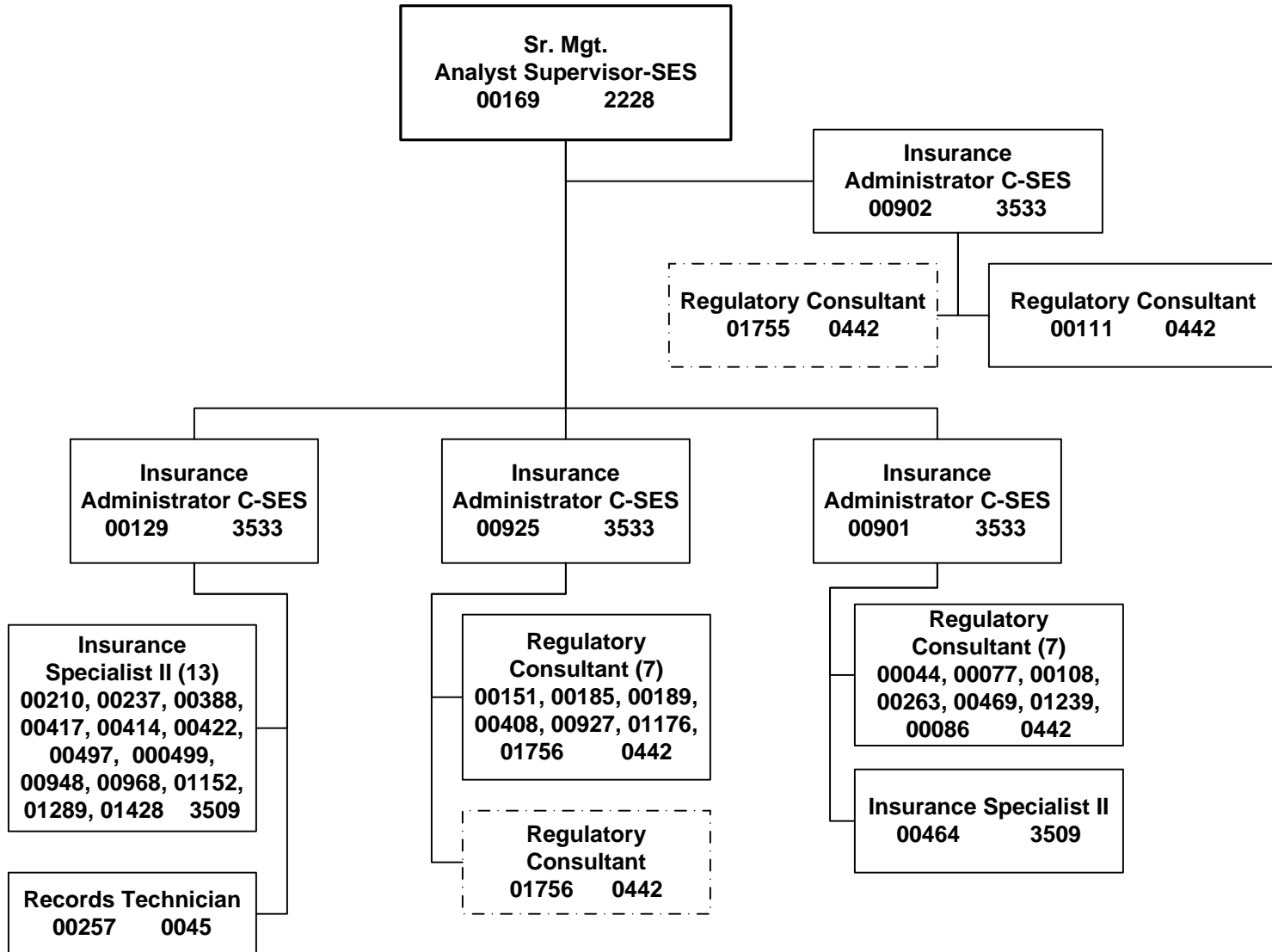


**Department of Financial Services  
Division of Insurance Agents & Agency Services  
Bureau of Licensing  
Records Management**

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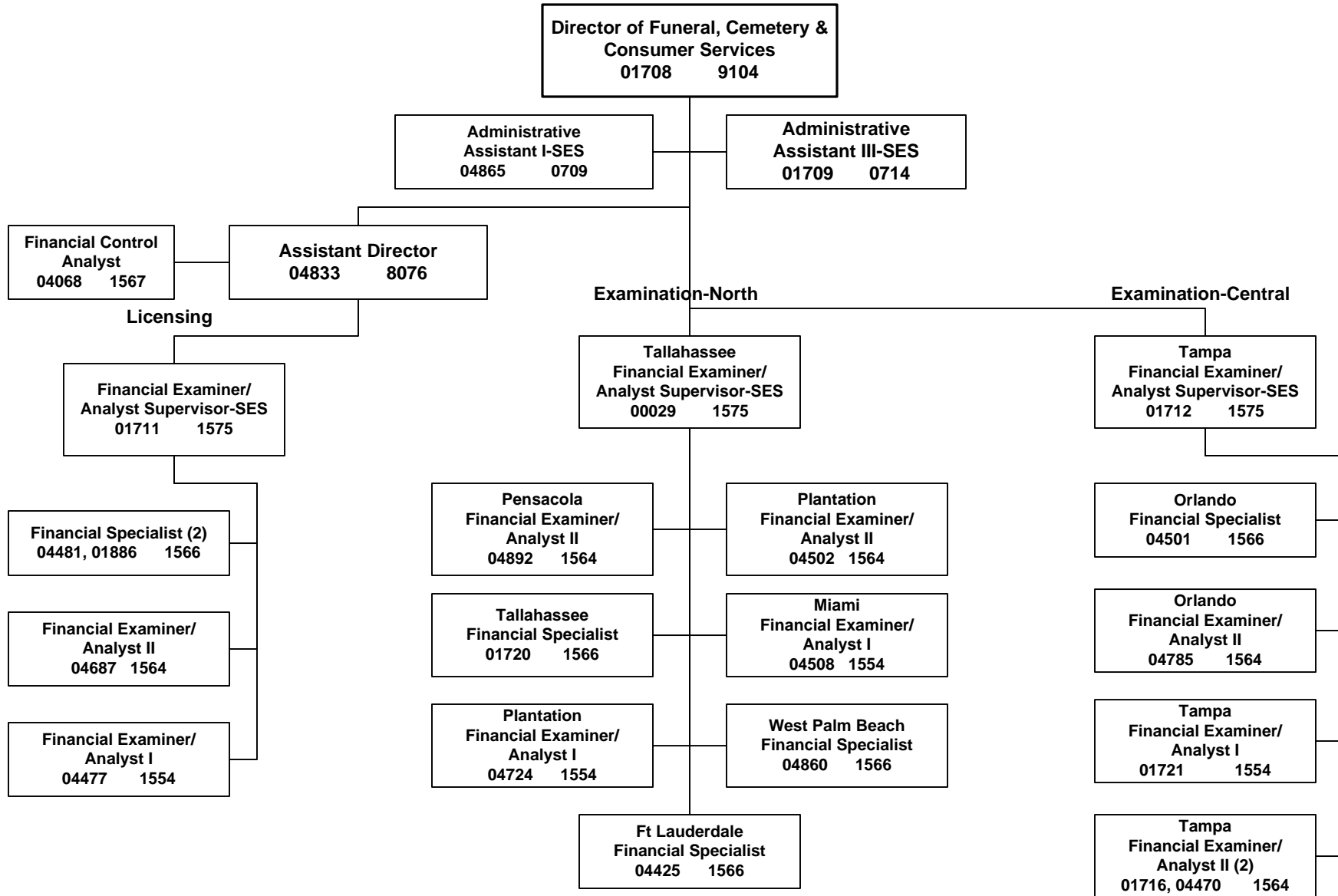


**Department of Financial Services  
 Division of Insurance Agents & Agency Services  
 Bureau of Licensing  
 Qualifications Section**



# Department of Financial Services

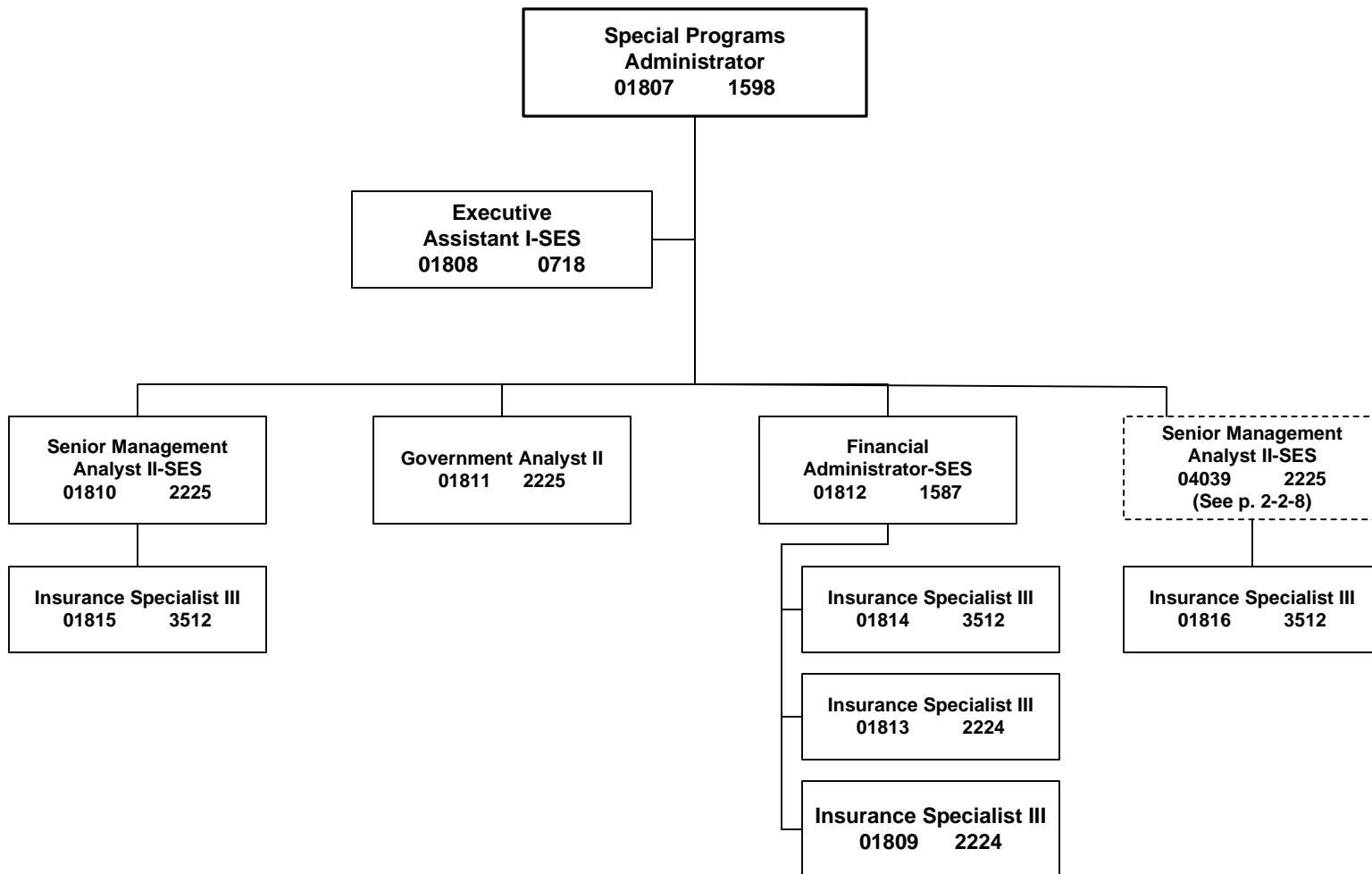
## Division of Funeral, Cemetery and Consumer Services



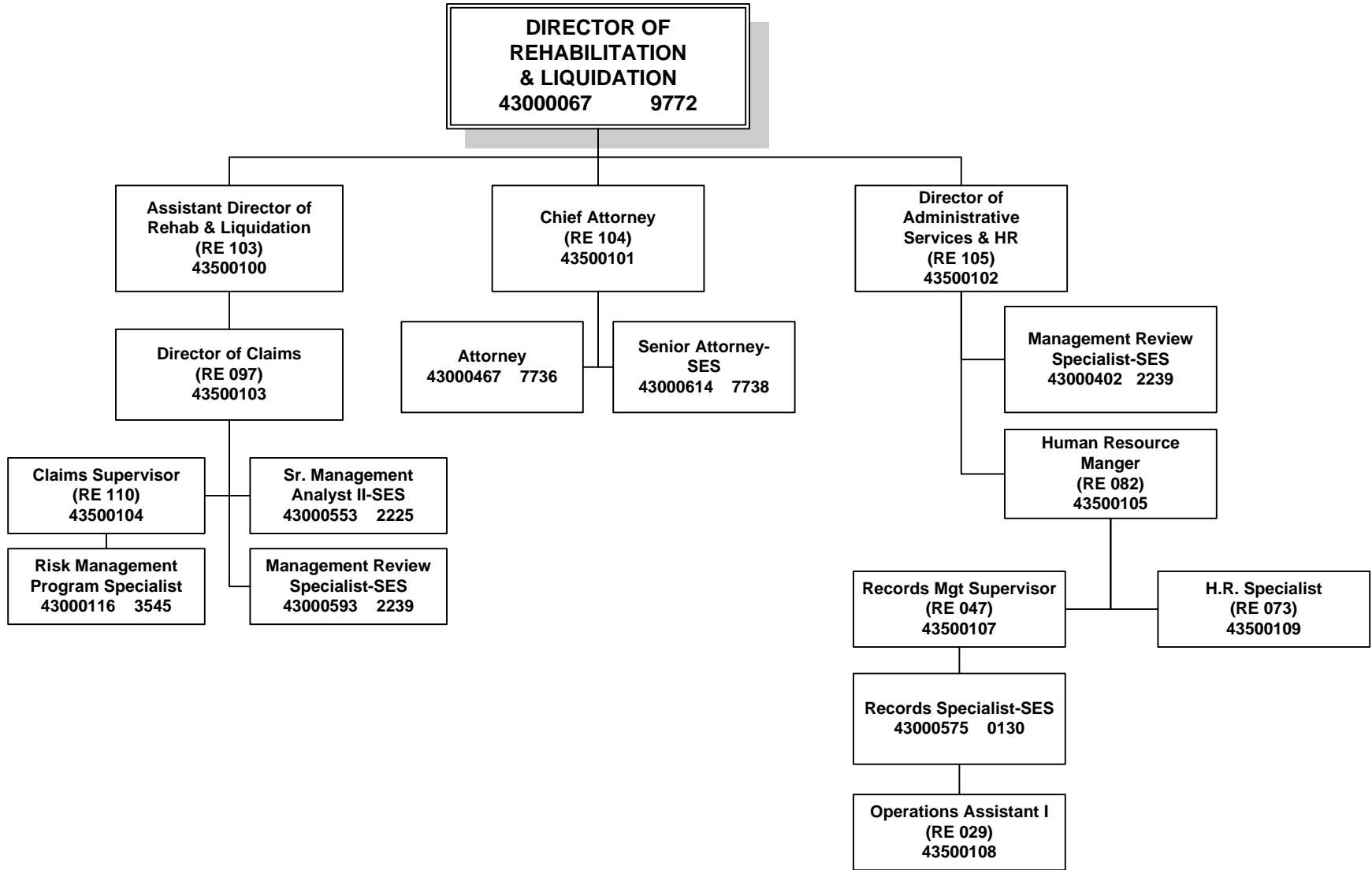


**Department of Financial Services  
Office of Deputy Chief Financial Officer  
My Safe Florida Home**

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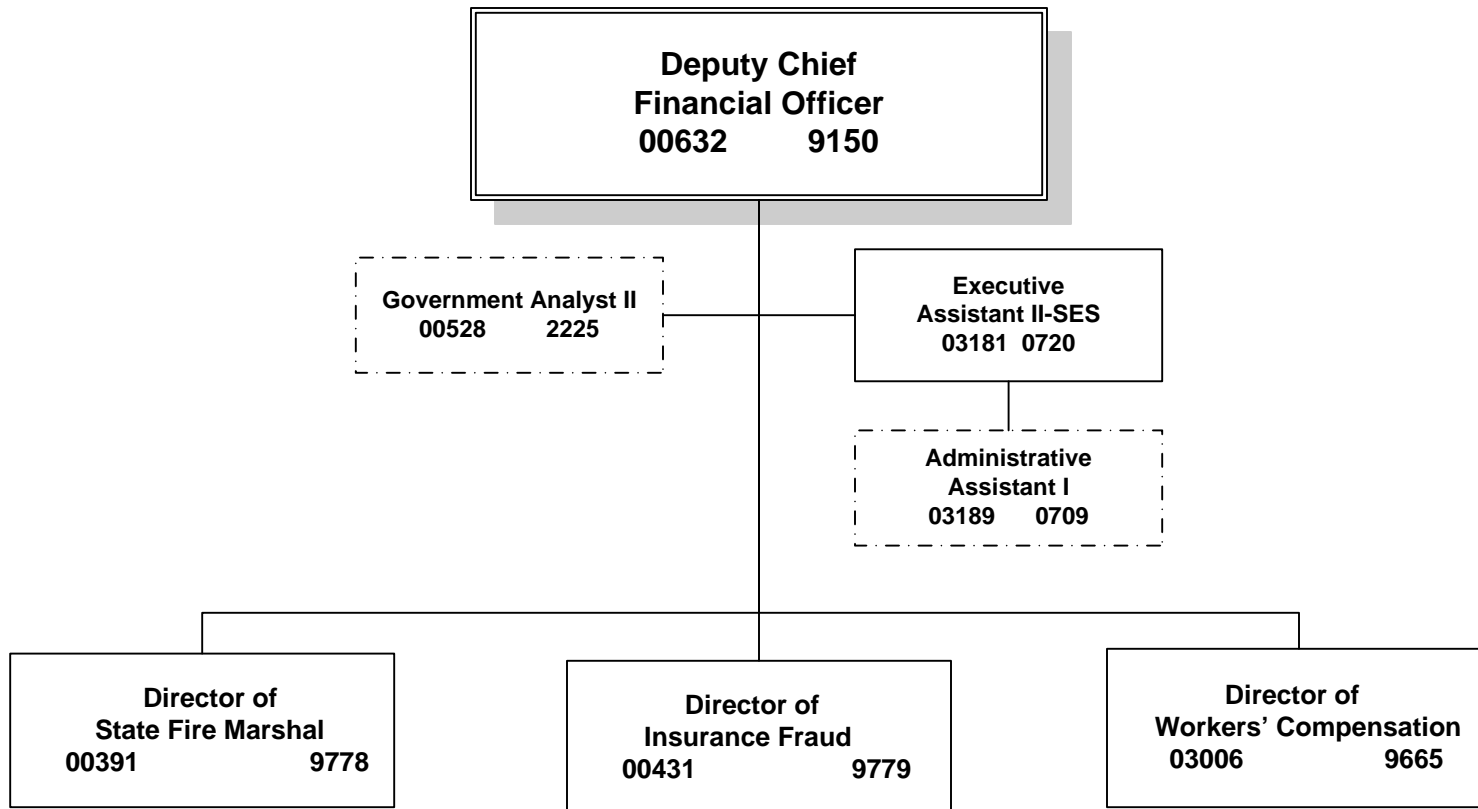


**Department of Financial Services  
Office of the General Counsel  
Division of Rehabilitation & Liquidation  
Office of the Director**



**Department of Financial Services  
Office of the Deputy Chief Financial Officer**

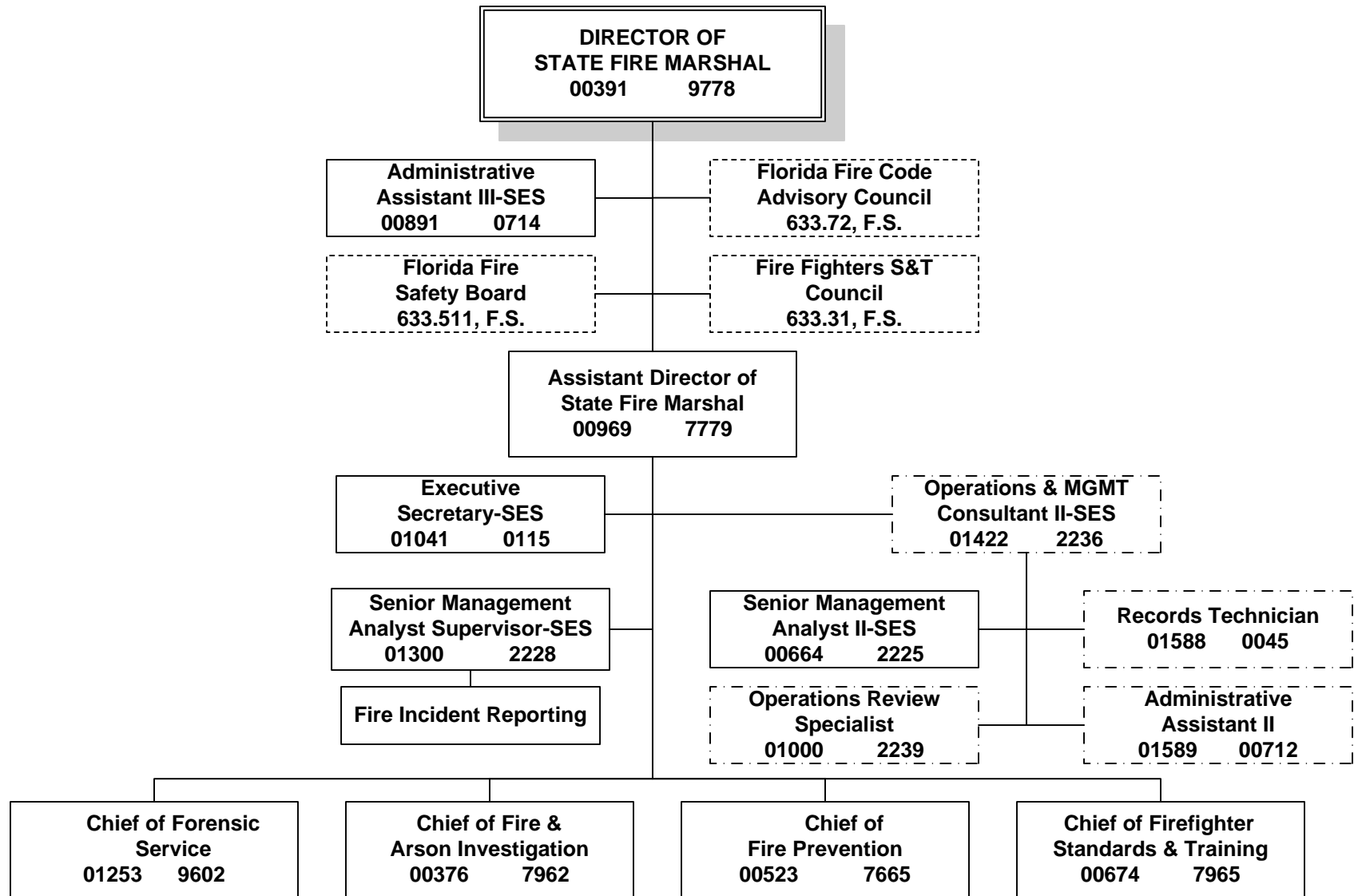
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Total FTE: 2

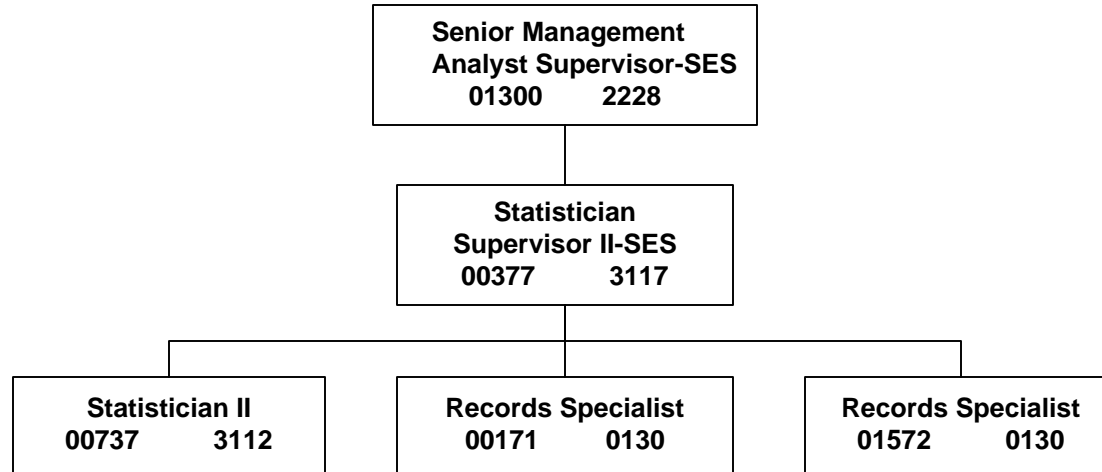
FTE not Included in this Section  
Dotted Line = Administratively Assigned. FTE not counted.  
Italic = Organizationally Assigned. Reports elsewhere administratively. FTE counted.

**Department of Financial Services  
Division of State Fire Marshal  
Office of the Director**



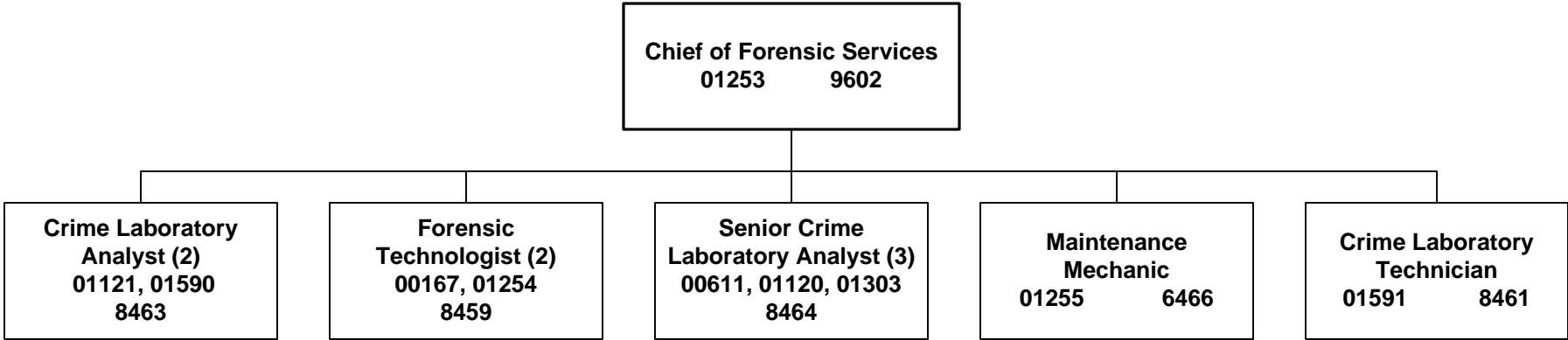
Department of Financial Services  
Division of State Fire Marshal  
Office of the Director  
Fire Incident Reporting Section

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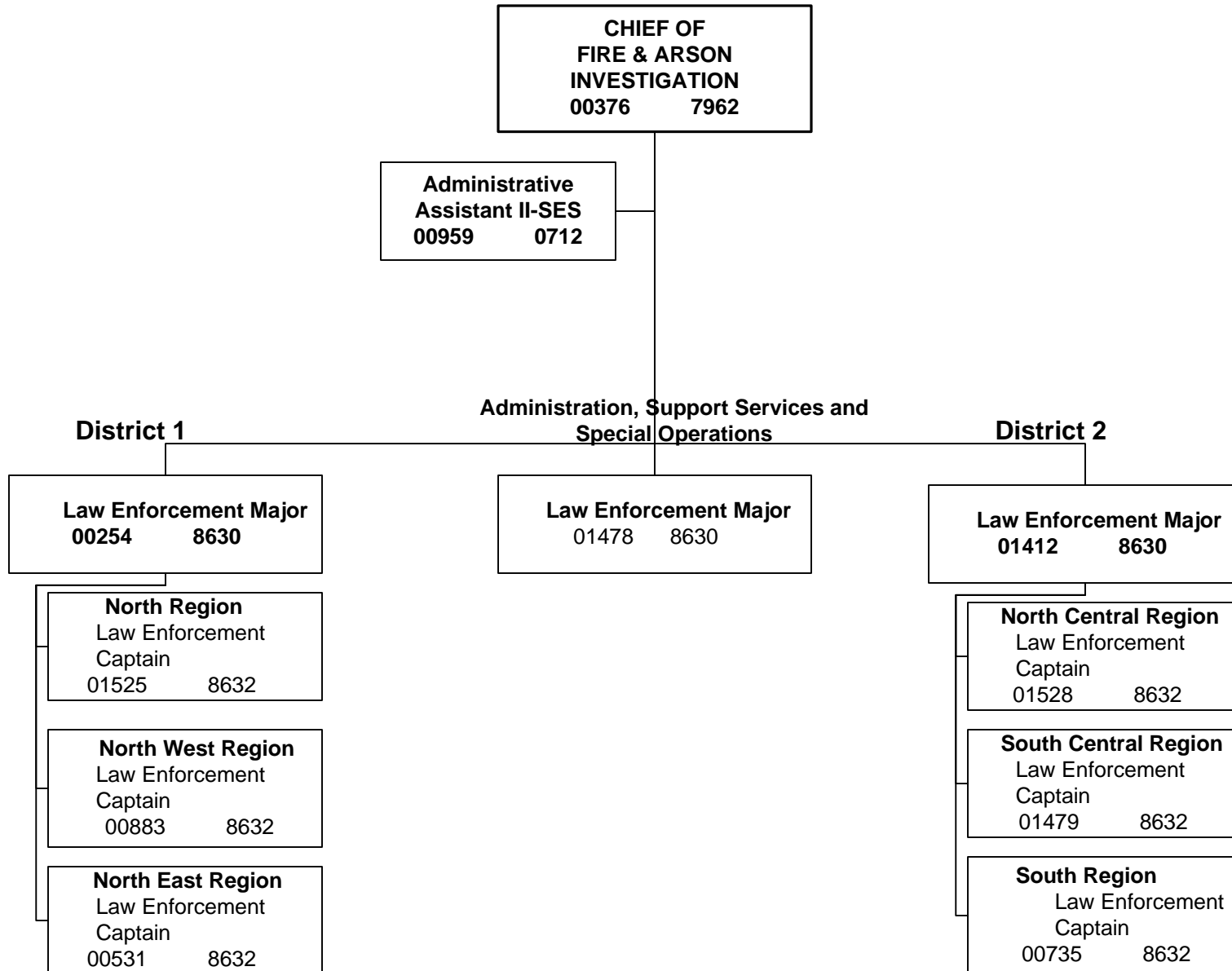


**Department of Financial Services  
Division of State Fire Marshal  
Bureau of Forensic Fire & Explosives Analysis**

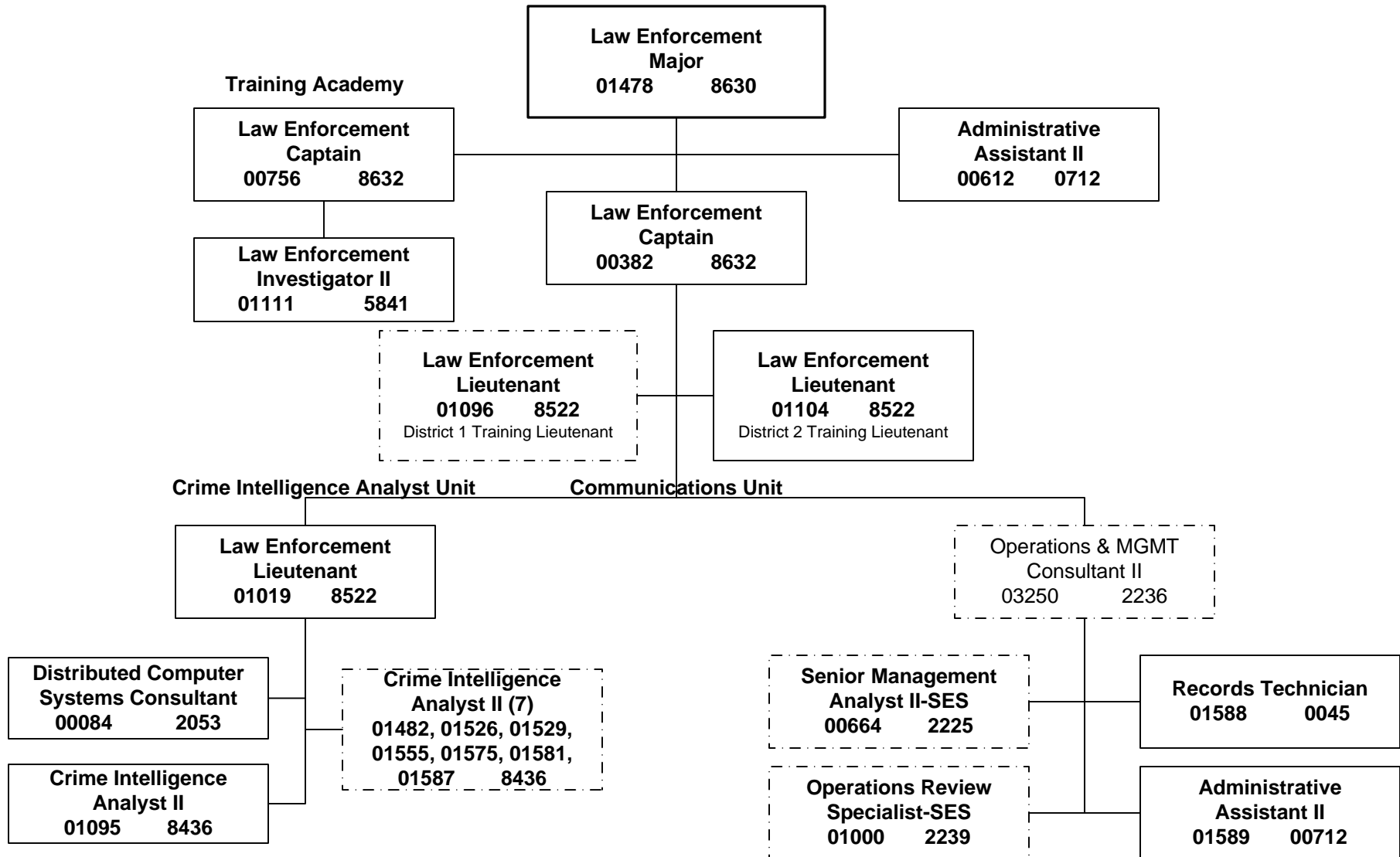
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**Department of Financial Services  
 Division of State Fire Marshal  
 Bureau of Fire & Arson Investigations  
 Office of the Chief**

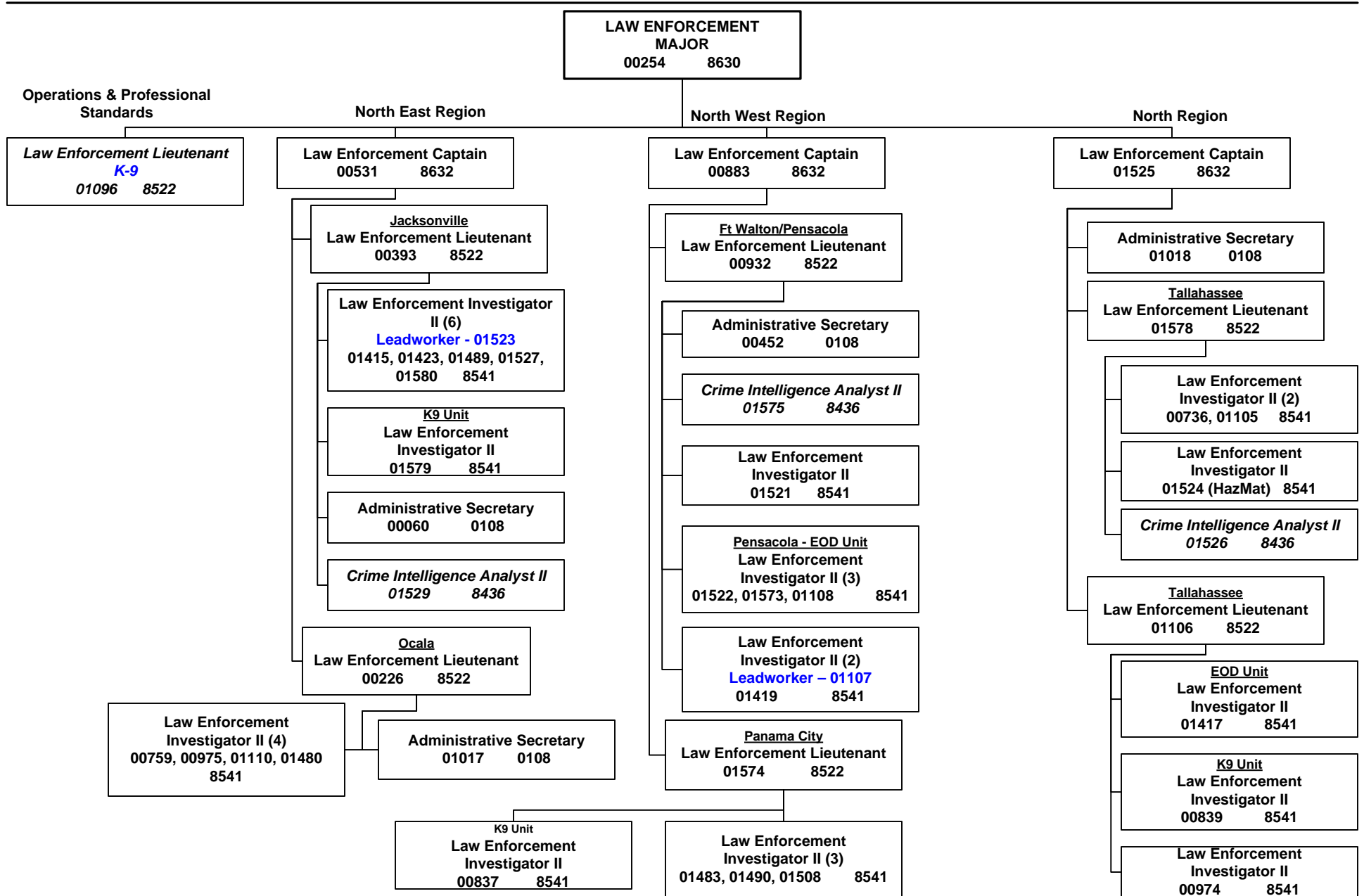


**Department of Financial Services  
Division of State Fire Marshal  
Office of the Chief  
Administration, Support Services and Special Operations**





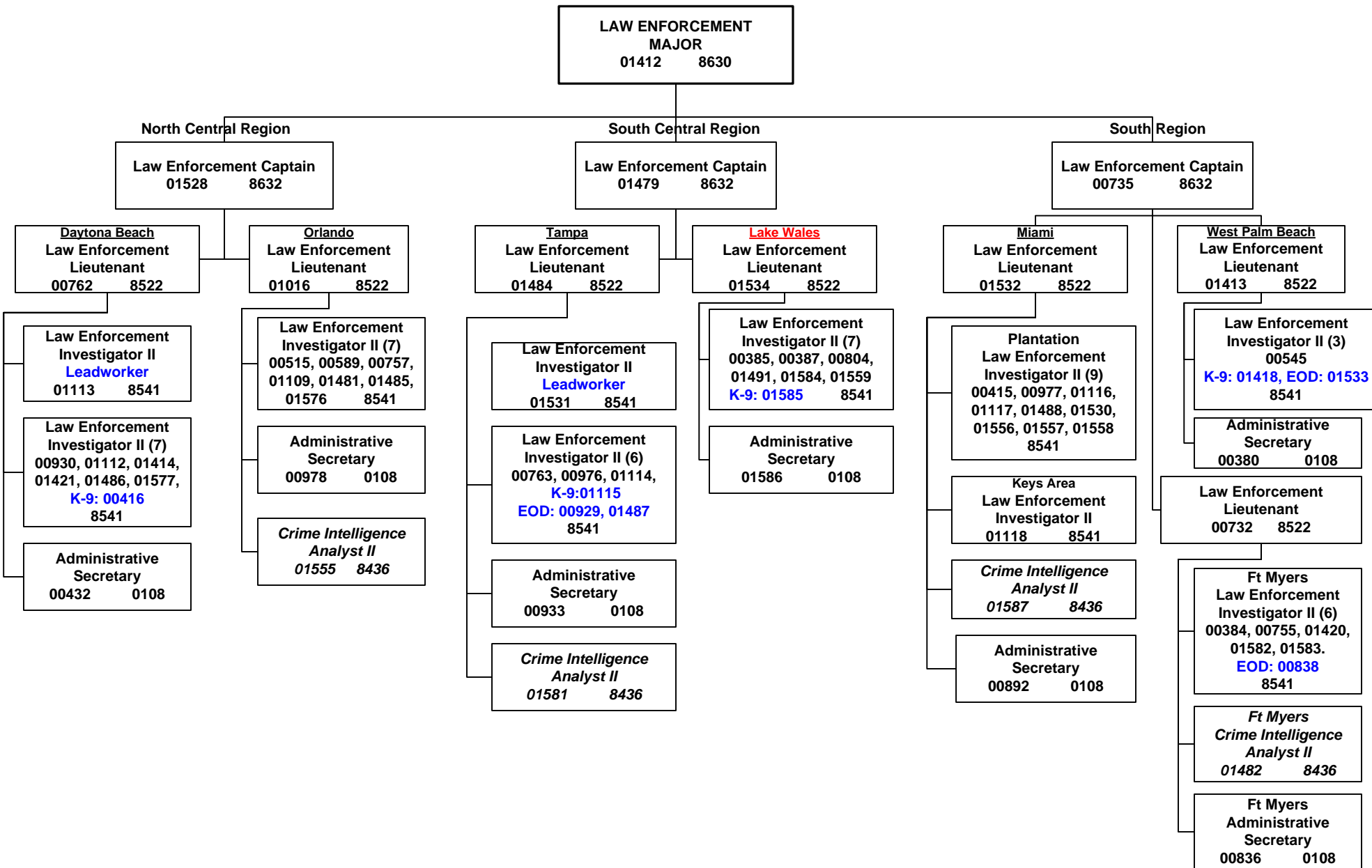
**Department of Financial Services  
Division of State Fire Marshal  
Bureau of Fire & Arson Investigation  
District 1**



Total FTE: 45

FTE not Included in this Section  
Dotted Line = Administratively Assigned. FTE not counted.  
Italic = Organizationally Assigned. Reports elsewhere administratively. FTE counted.

**Department of Financial Services  
Division of State Fire Marshal  
Bureau of Fire & Arson Investigations  
District 2**

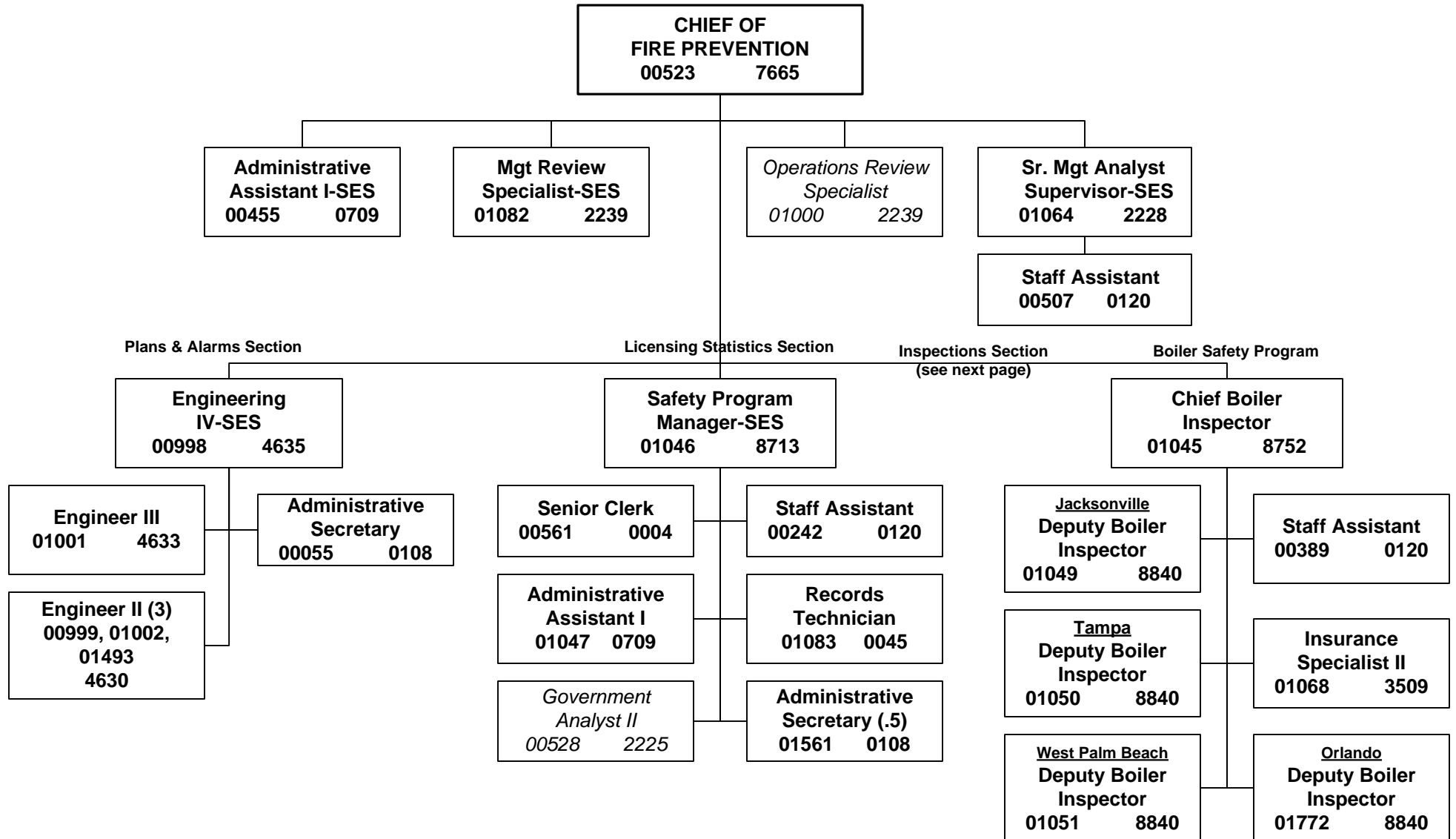


Total FTE: 69

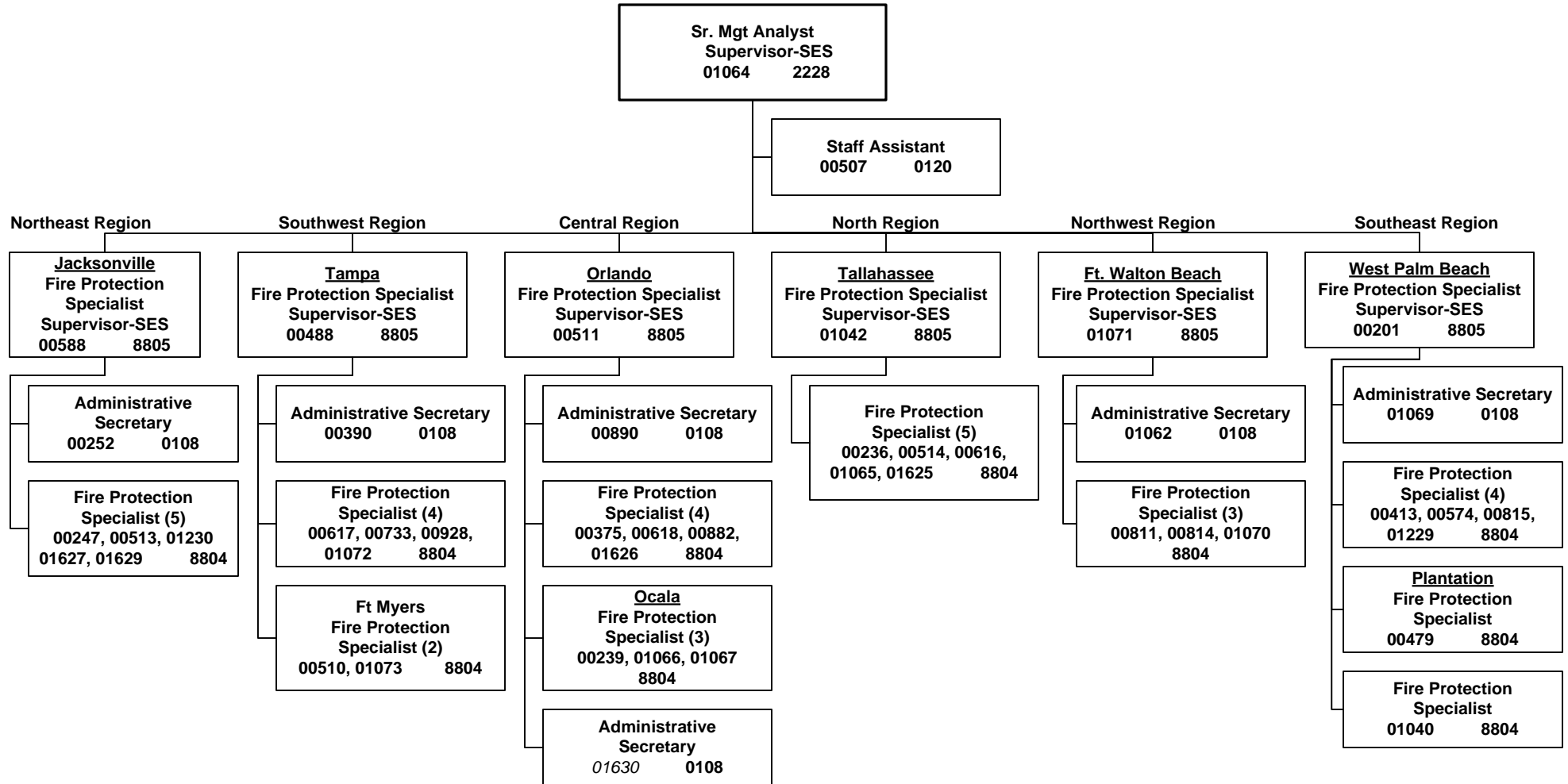
FTE not Included in this Section  
Dotted Line = Administratively Assigned. FTE not counted.  
Italic = Organizationally Assigned. Reports elsewhere administratively. FTE counted.

Eff 08-26-09  
Rev 08-26-09  
Page 70 of 373  
5-1-7

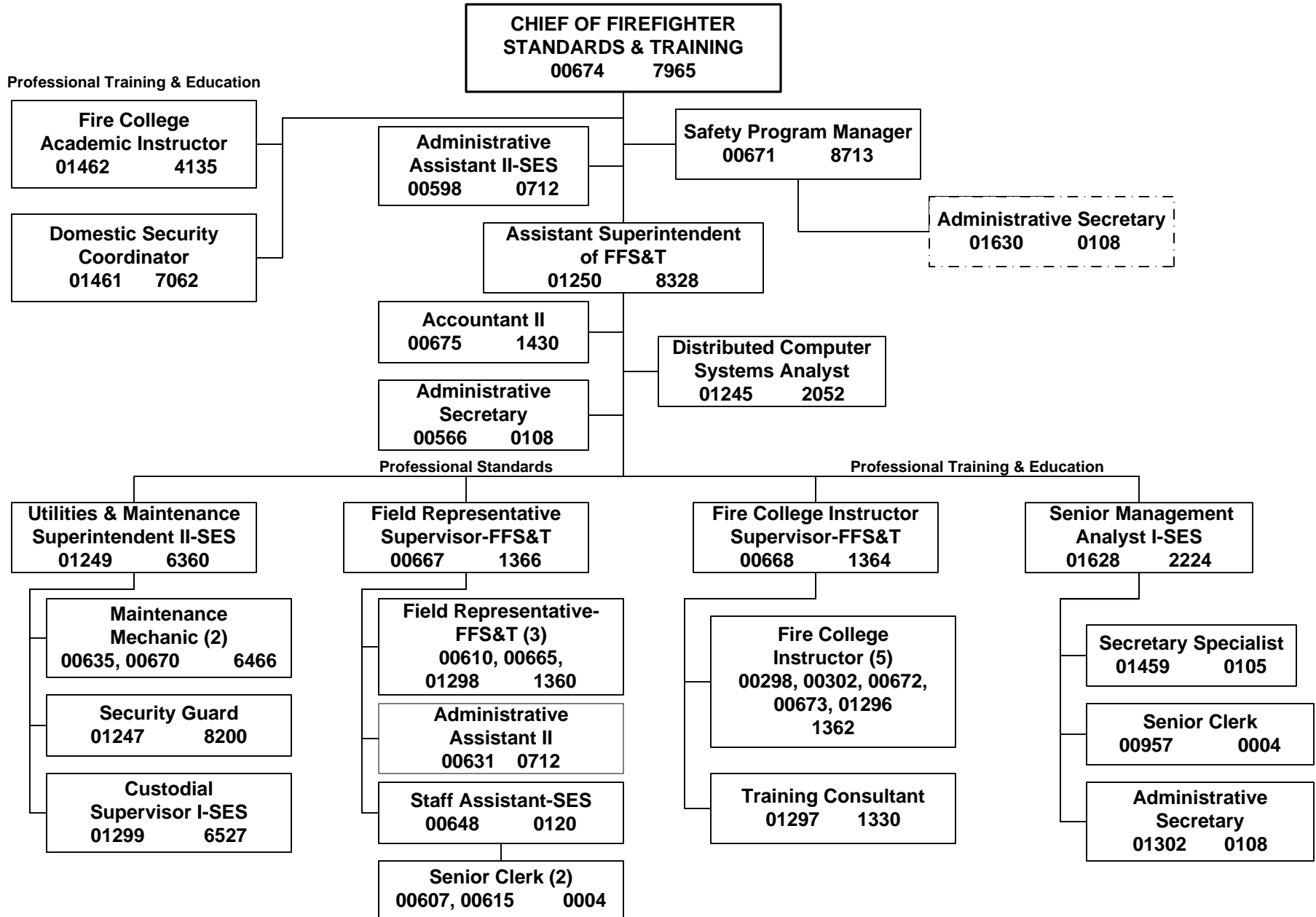
**Department of Financial Services  
Division of State Fire Marshal  
Bureau of Fire Prevention  
Office of the Chief**



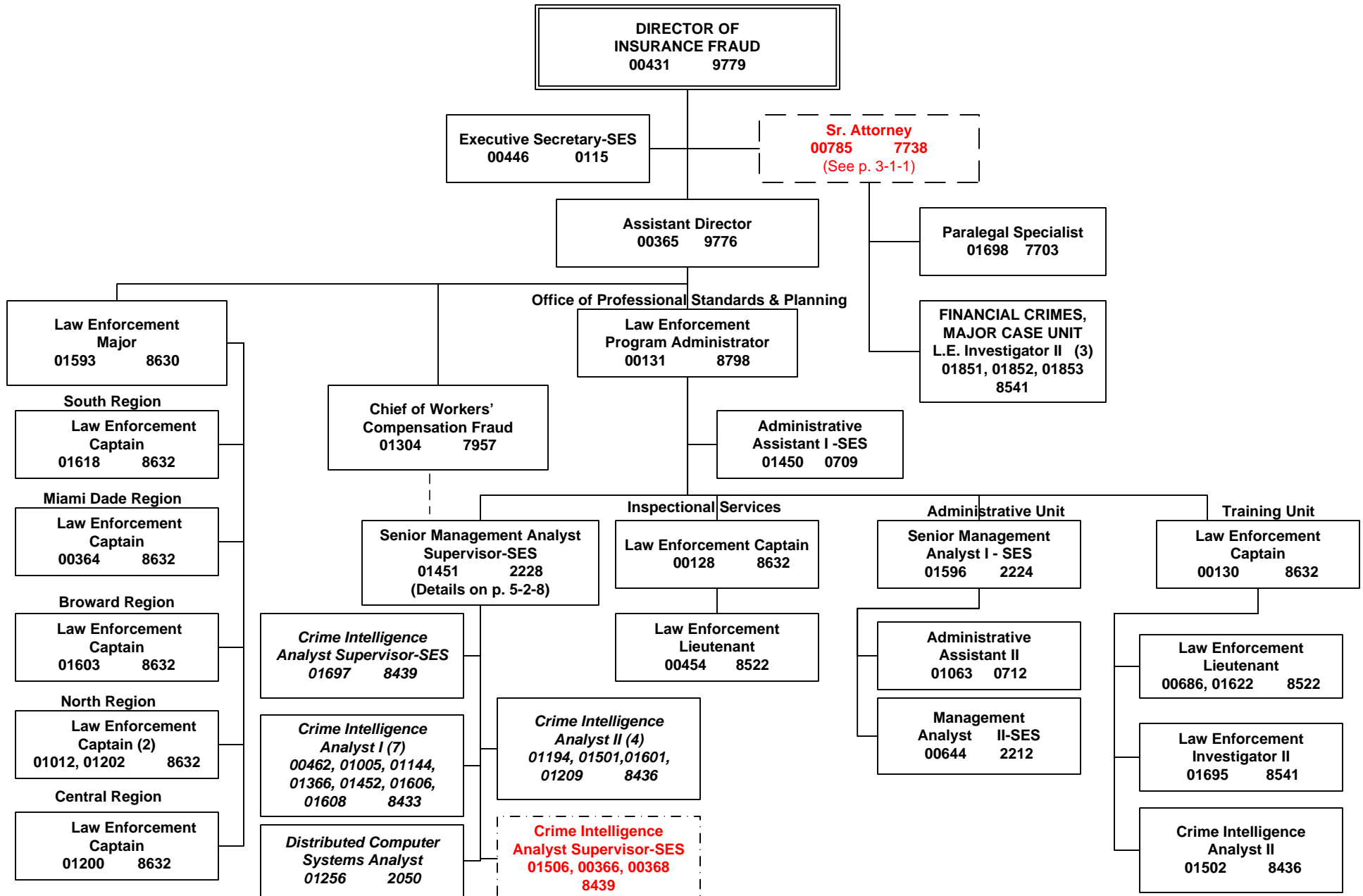
**Department of Financial Services  
Division of State Fire Marshal  
Bureau of Fire Prevention  
Inspections Section**



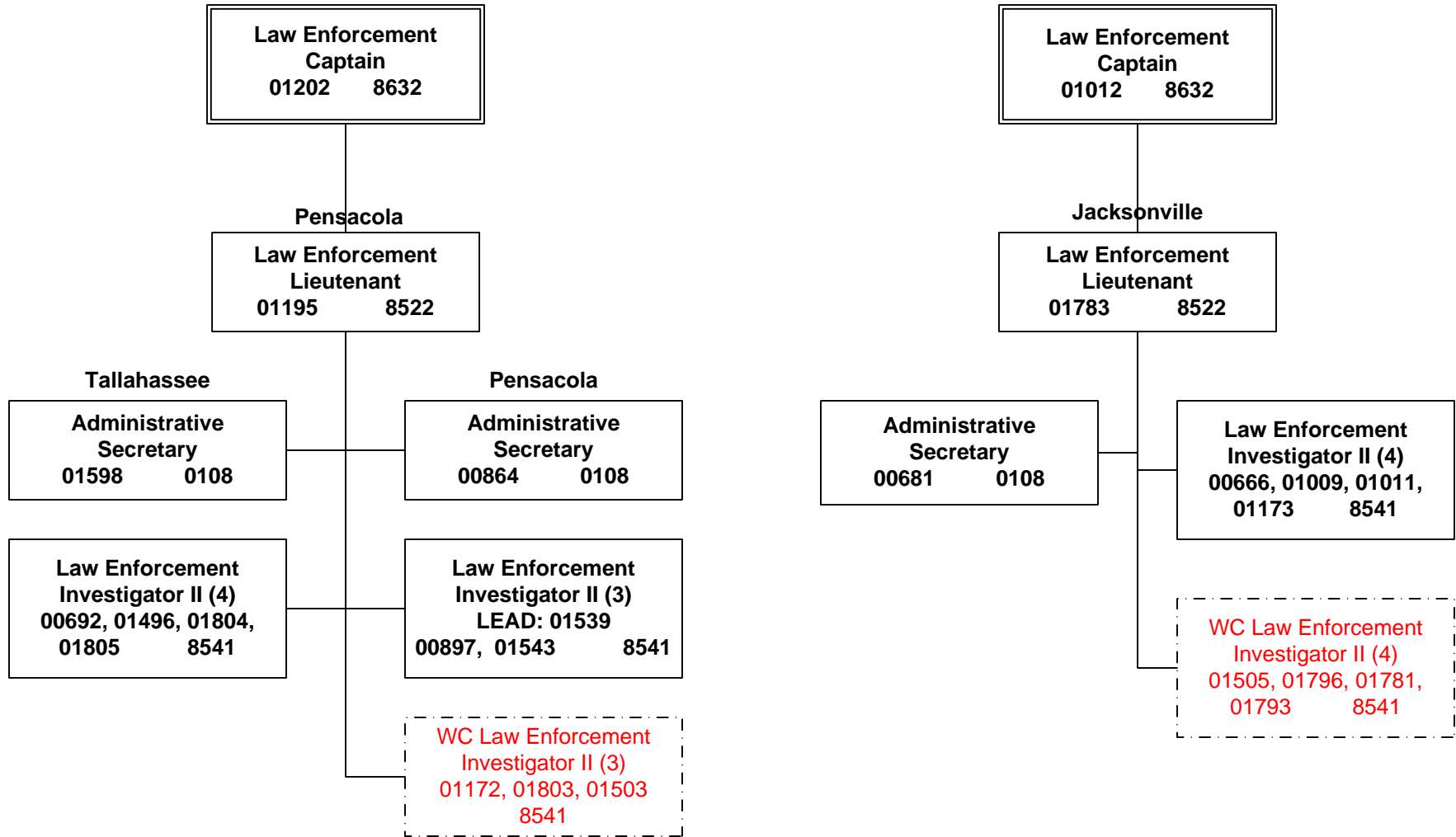
**Department of Financial Services  
Division of State Fire Marshal  
Bureau of Fire Fighter Standards & Training**



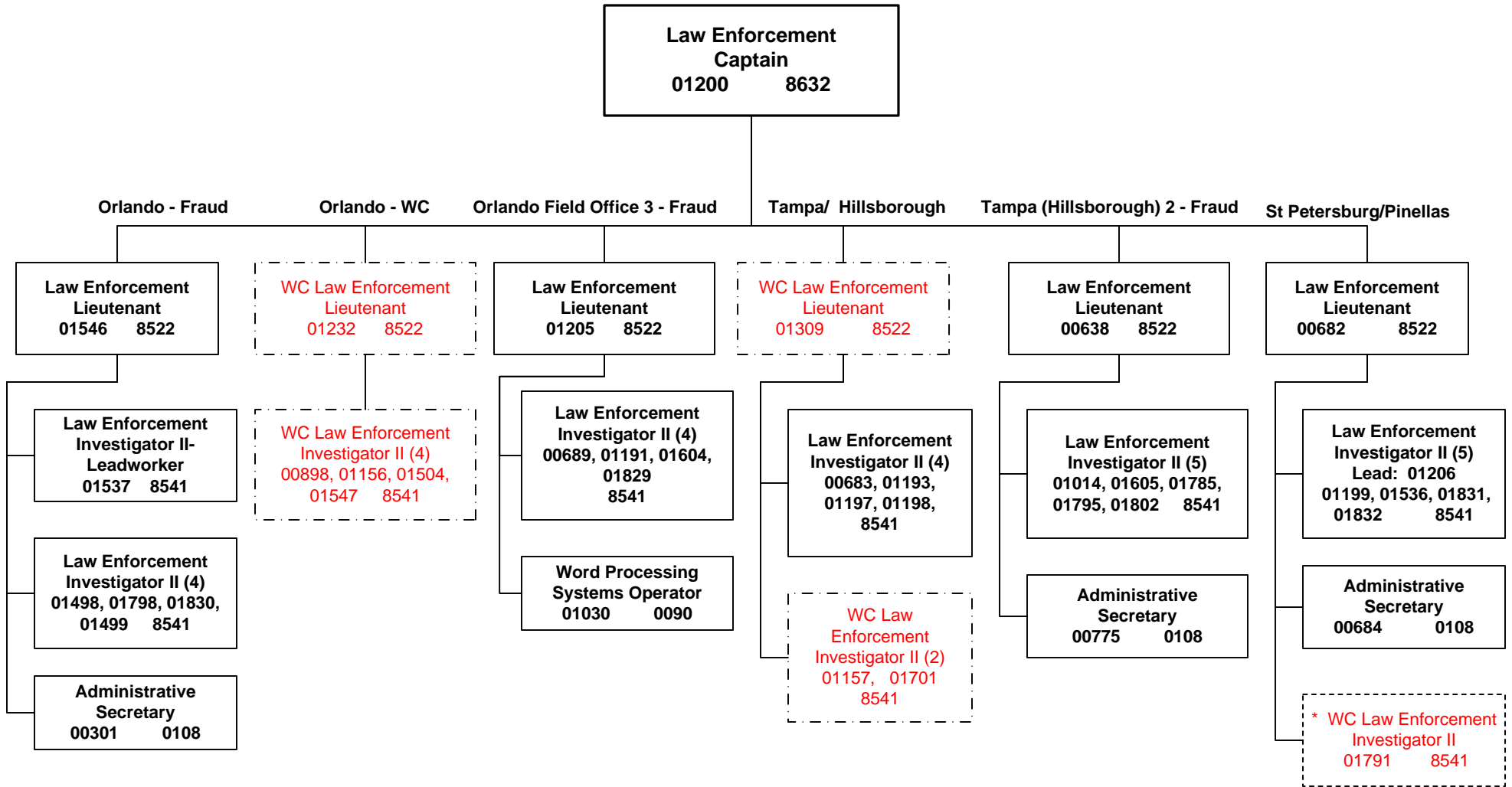
**Department of Financial Services  
Division of Insurance Fraud  
Office of the Director**



Department of Financial Services  
Division of Insurance Fraud  
North Region

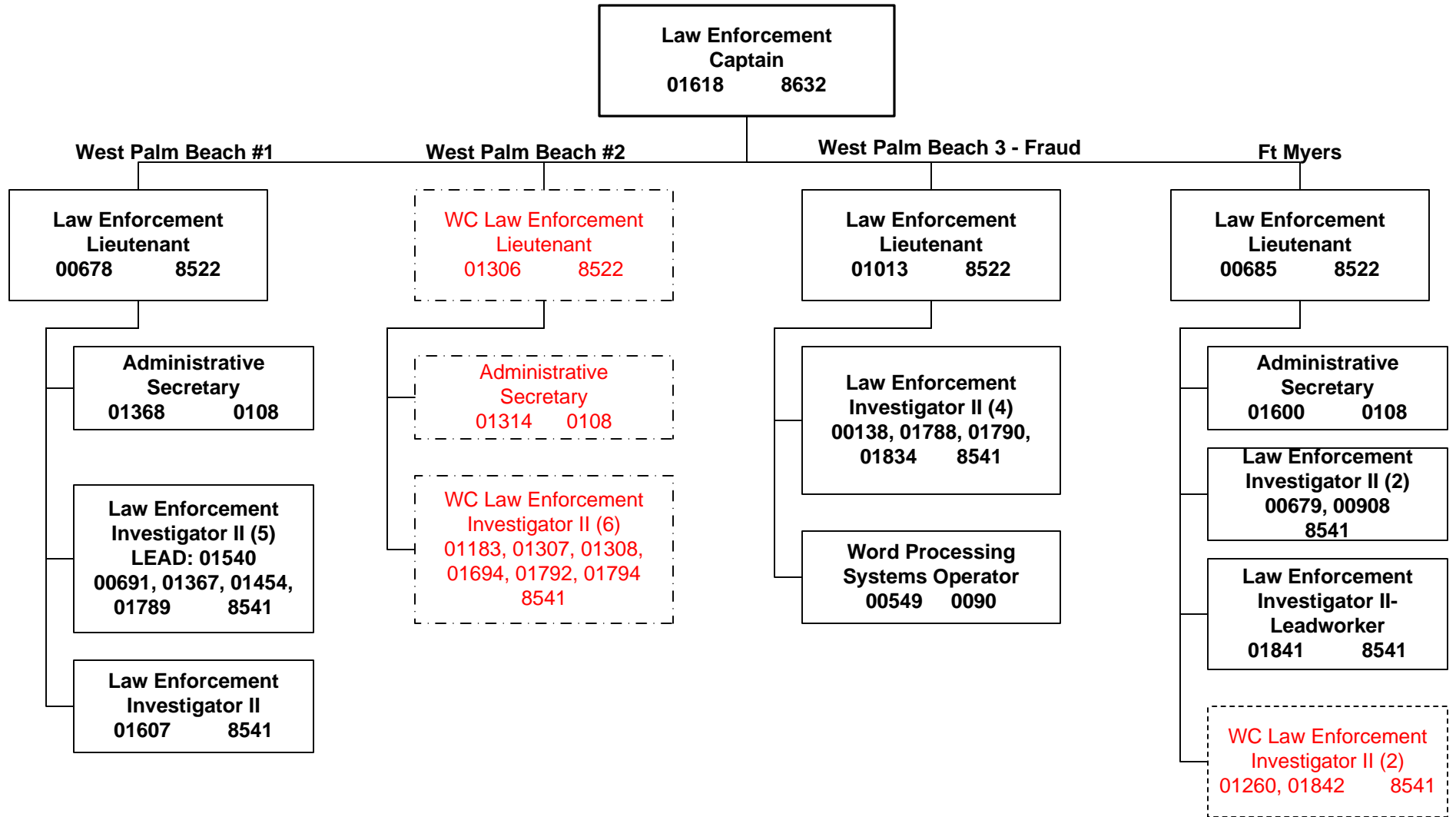


**Department of Financial Services  
Division of Insurance Fraud  
Central Region**

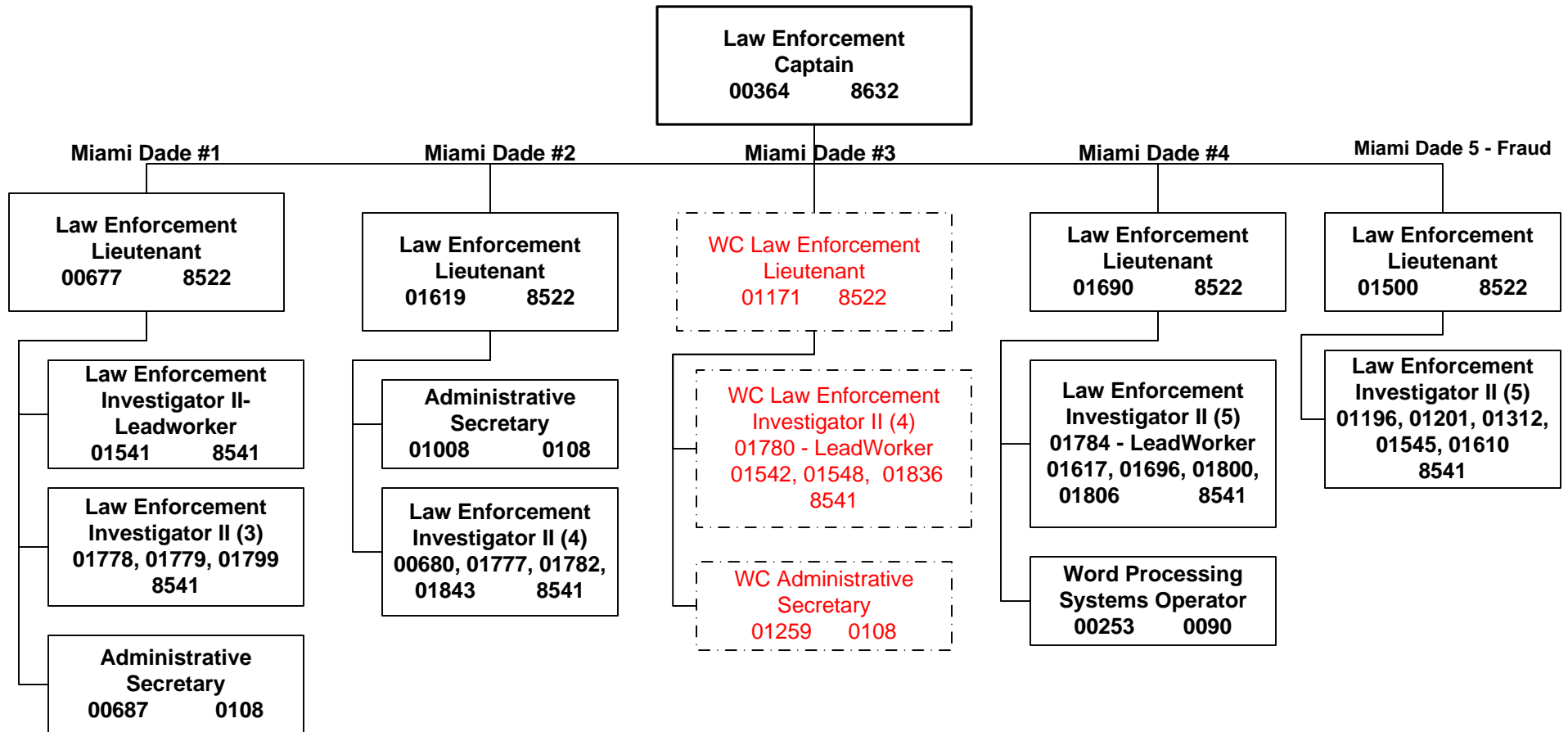




**Department of Financial Services  
Division Insurance of Fraud  
South Region**

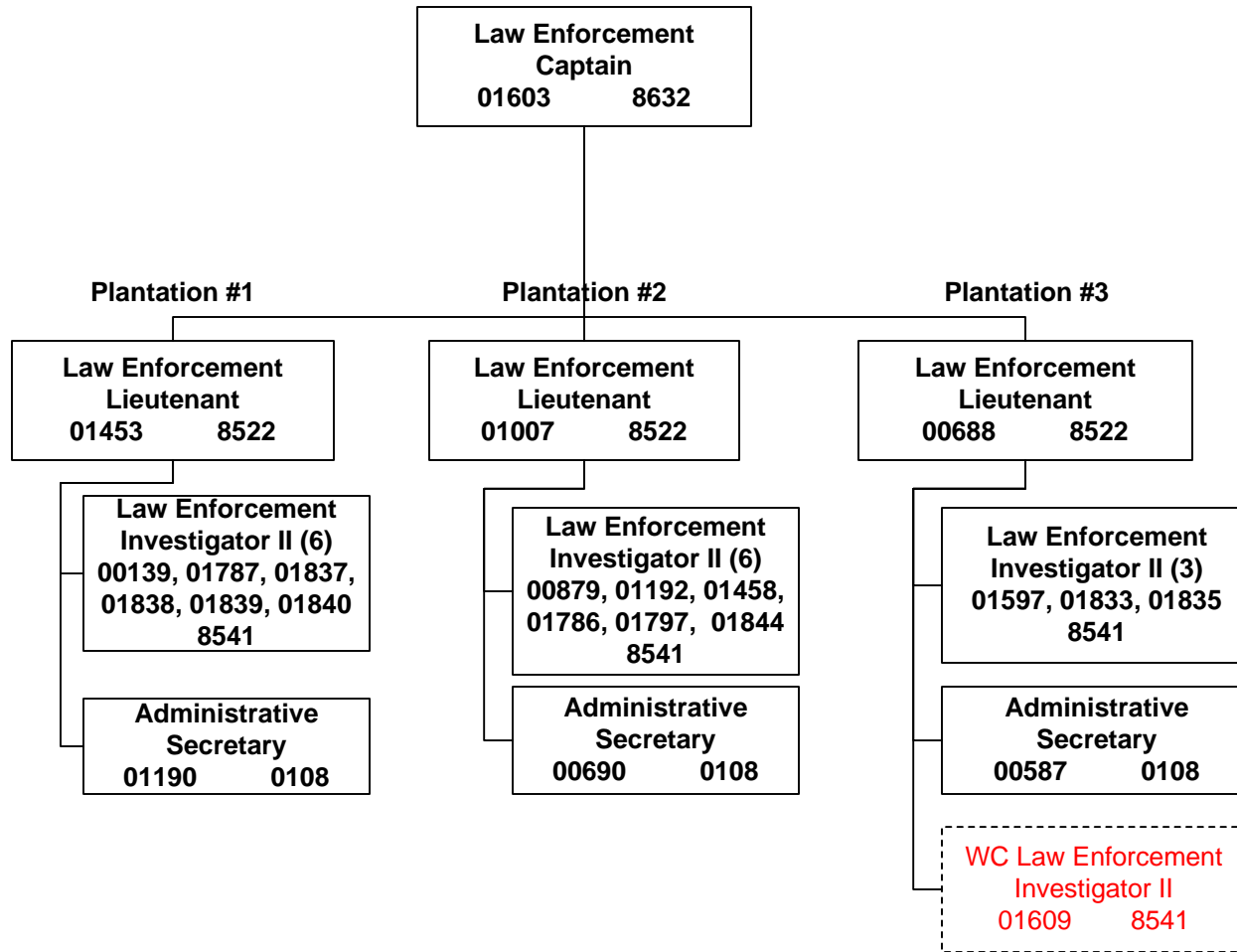


**Department of Financial Service  
Division of Insurance Fraud  
Miami Dade Region**

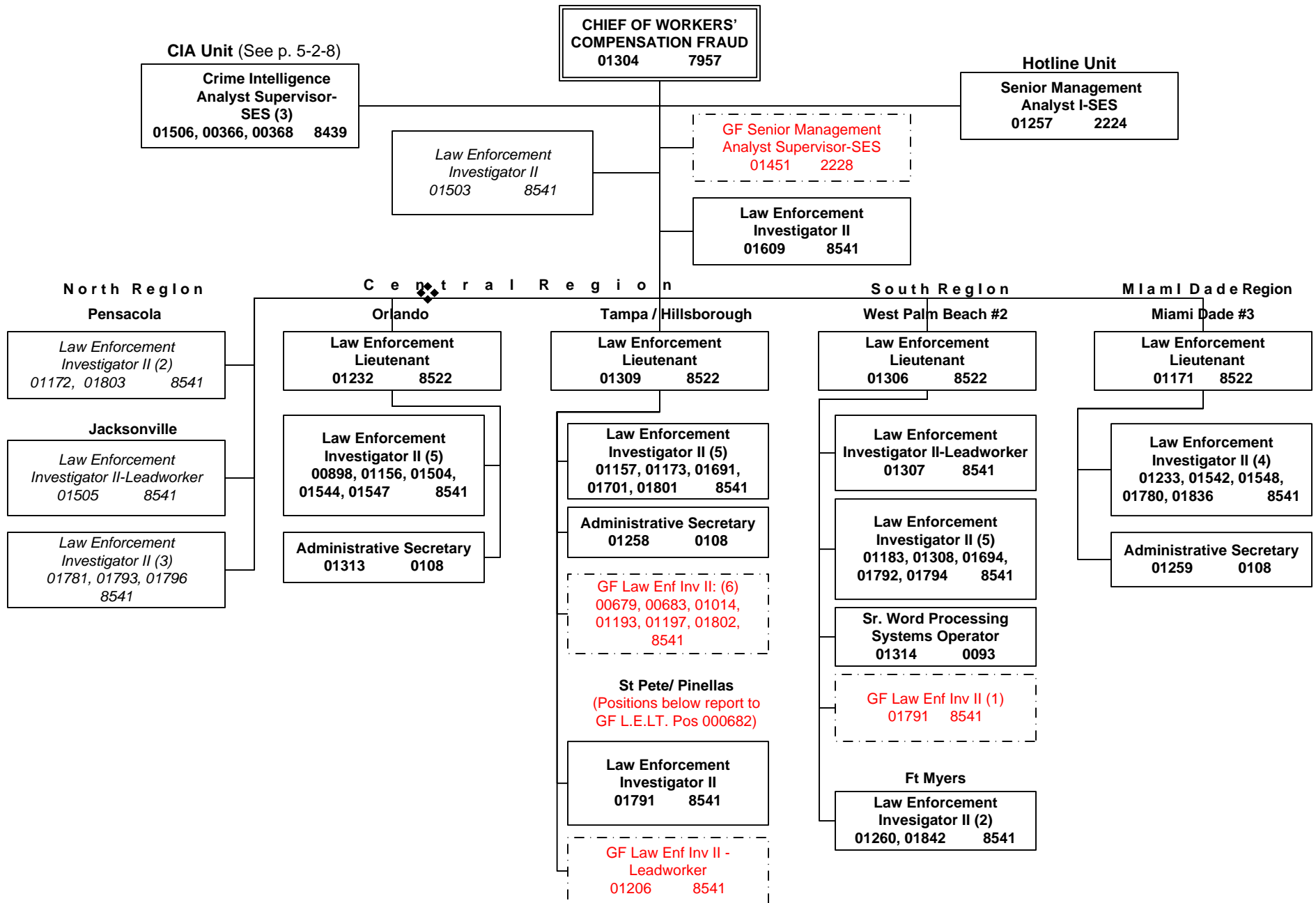


**Department of Financial Services  
Division of Fraud  
Broward Region**

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# Department of Financial Services Division of Insurance Fraud Bureau of Workers' Compensation Fraud



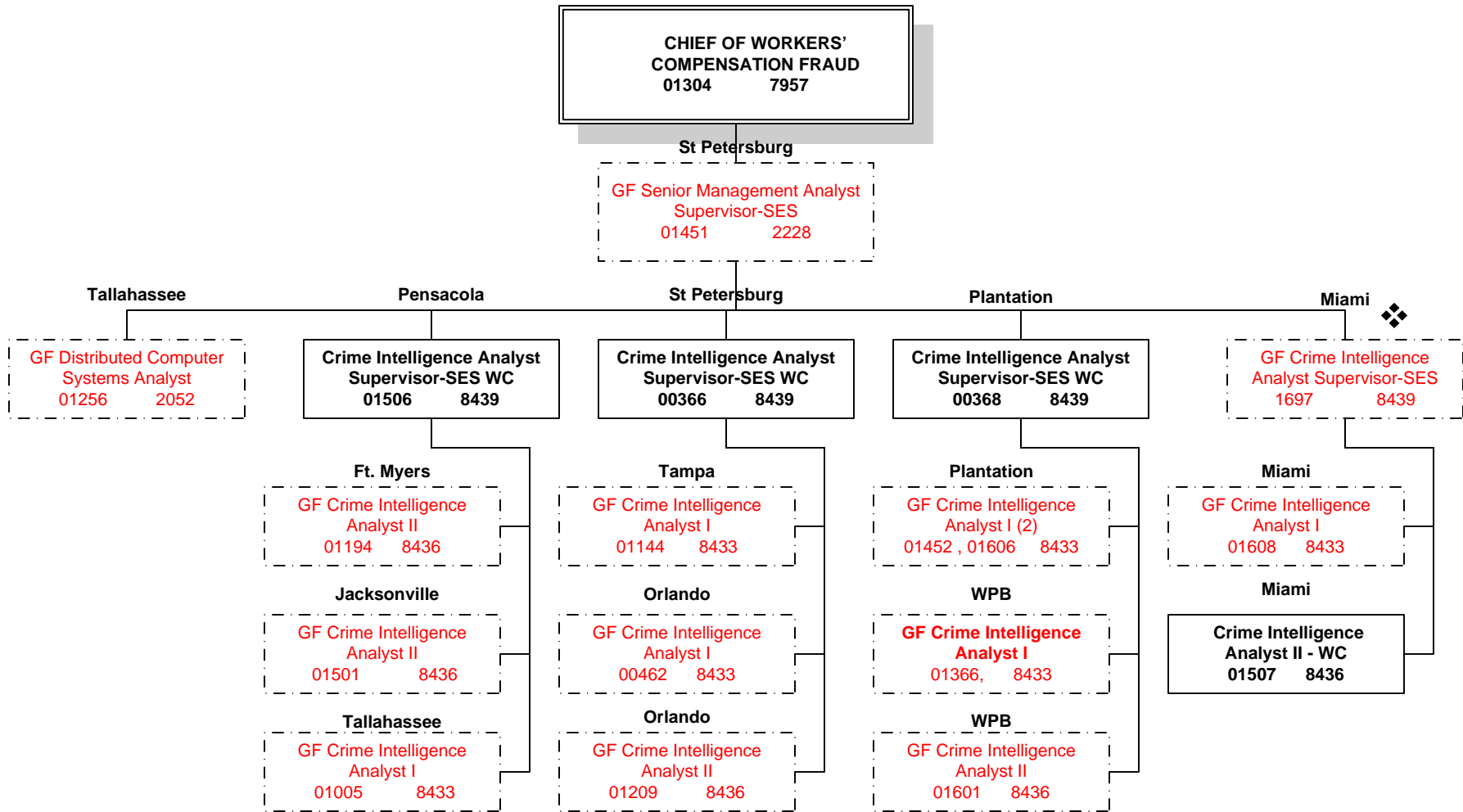
FTE = 42

FTE not Included in this Section

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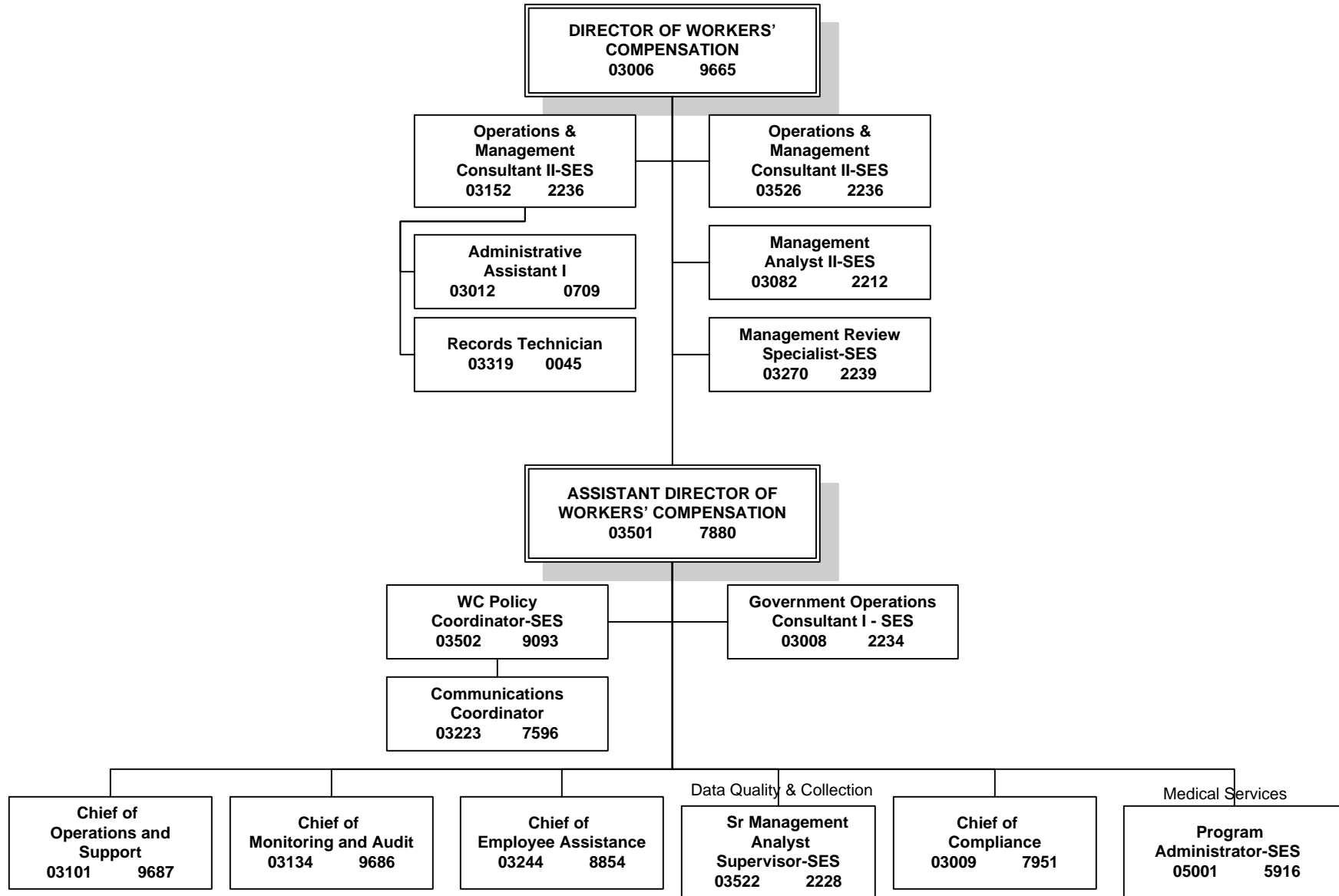
Italic = Organizationally Assigned. Reports elsewhere administratively. FTE counted.

**Department of Financial Services  
Division of Insurance Fraud  
Bureau of Workers' Compensation Fraud**



# Department of Financial Services

## Division of Workers' Compensation

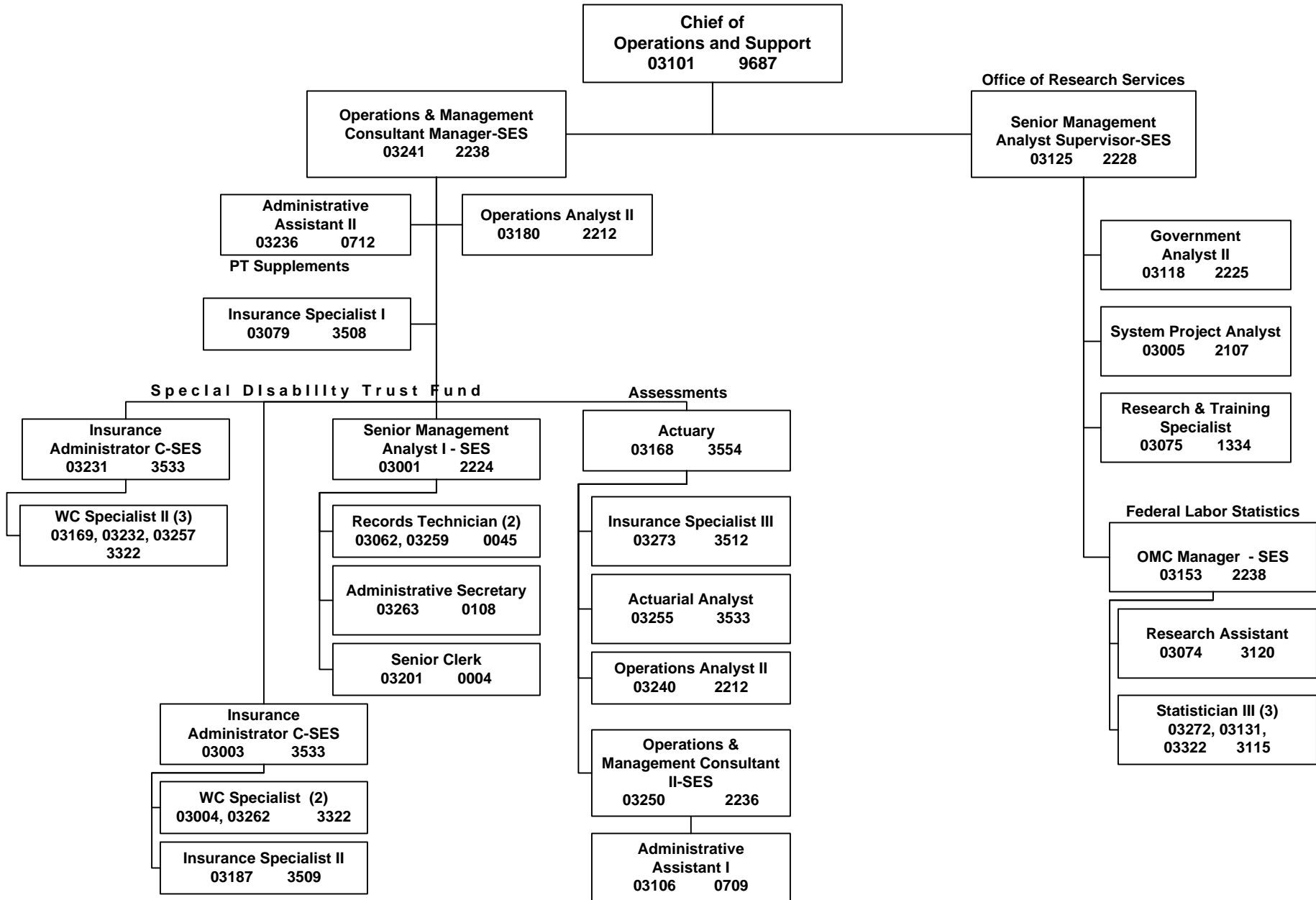


Division Total FTE: 360  
 Director Office Total FTE: 11

FTE not Included in this Section  
 Dotted Line = Administratively Assigned. FTE not counted.  
 Italic = Organizationally Assigned. Reports elsewhere administratively. FTE counted.

Eff 02-23-09  
 Rev 03-02-09  
 Page 82 of 373

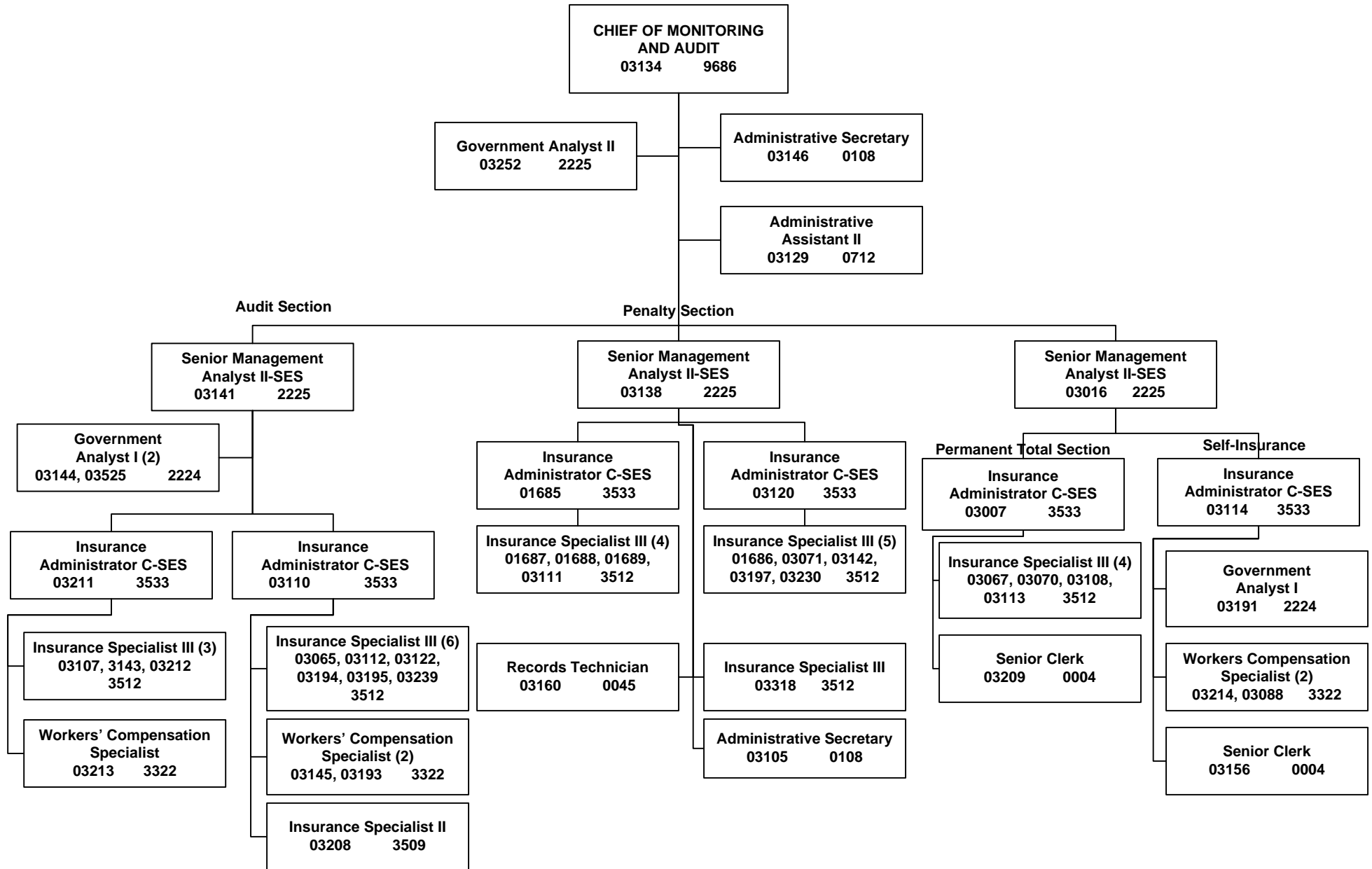
**Department of Financial Services  
Division of Workers' Compensation  
Bureau of Operations and Support**



Total FTE: 33

FTE not Included in this Section  
Dotted Line = Administratively Assigned. FTE not counted.  
Italic = Organizationally Assigned. Reports elsewhere administratively. FTE counted.

**Department of Financial Services  
Division of Workers' Compensation  
Bureau of Monitoring and Audit**



Bureau Total FTE: 49

FTE not Included in this Section  
Dotted Line = Administratively Assigned. FTE not counted.  
Italic = Organizationally Assigned. Reports elsewhere administratively. FTE counted.

Eff 02-20-09

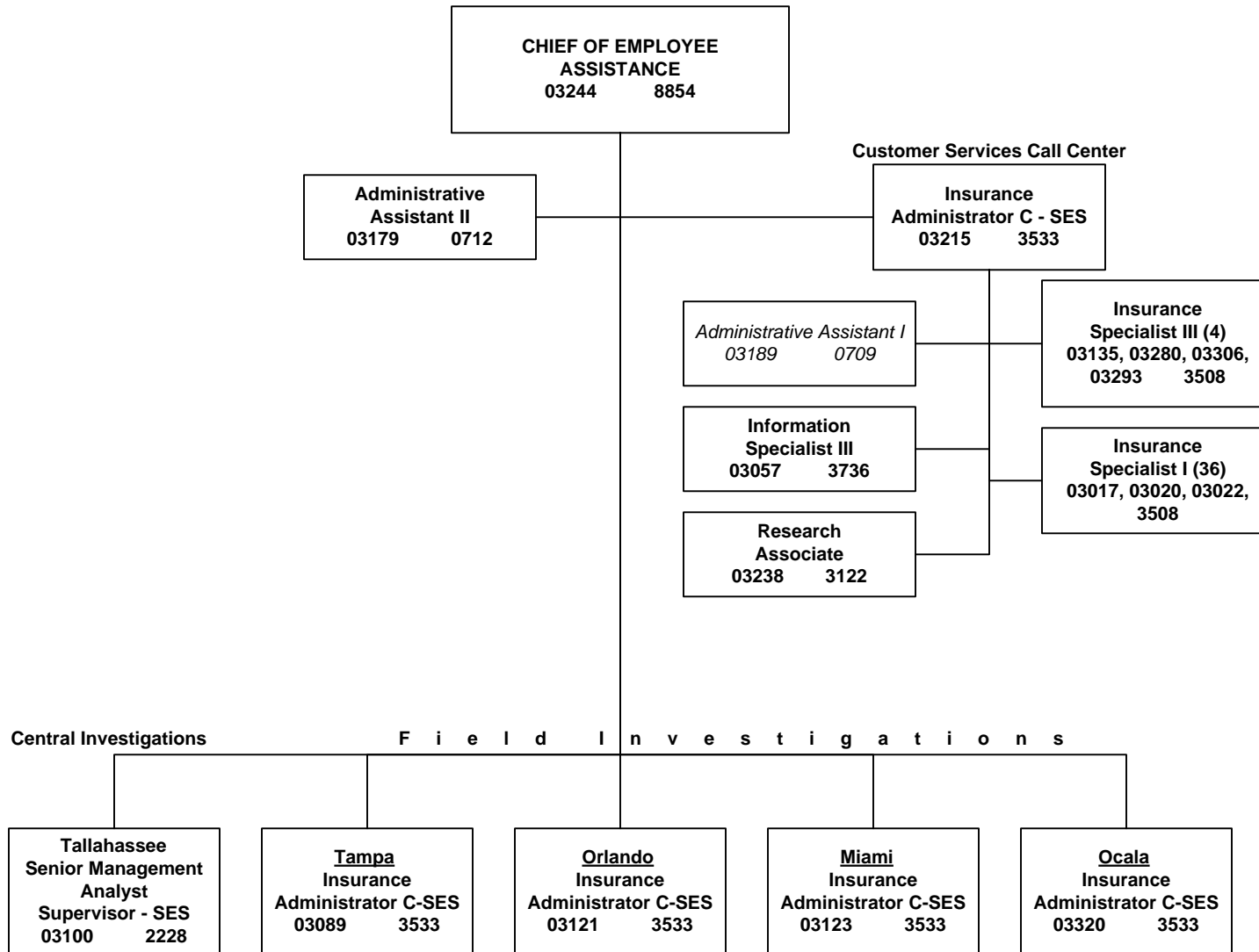
Rev 02-23-09

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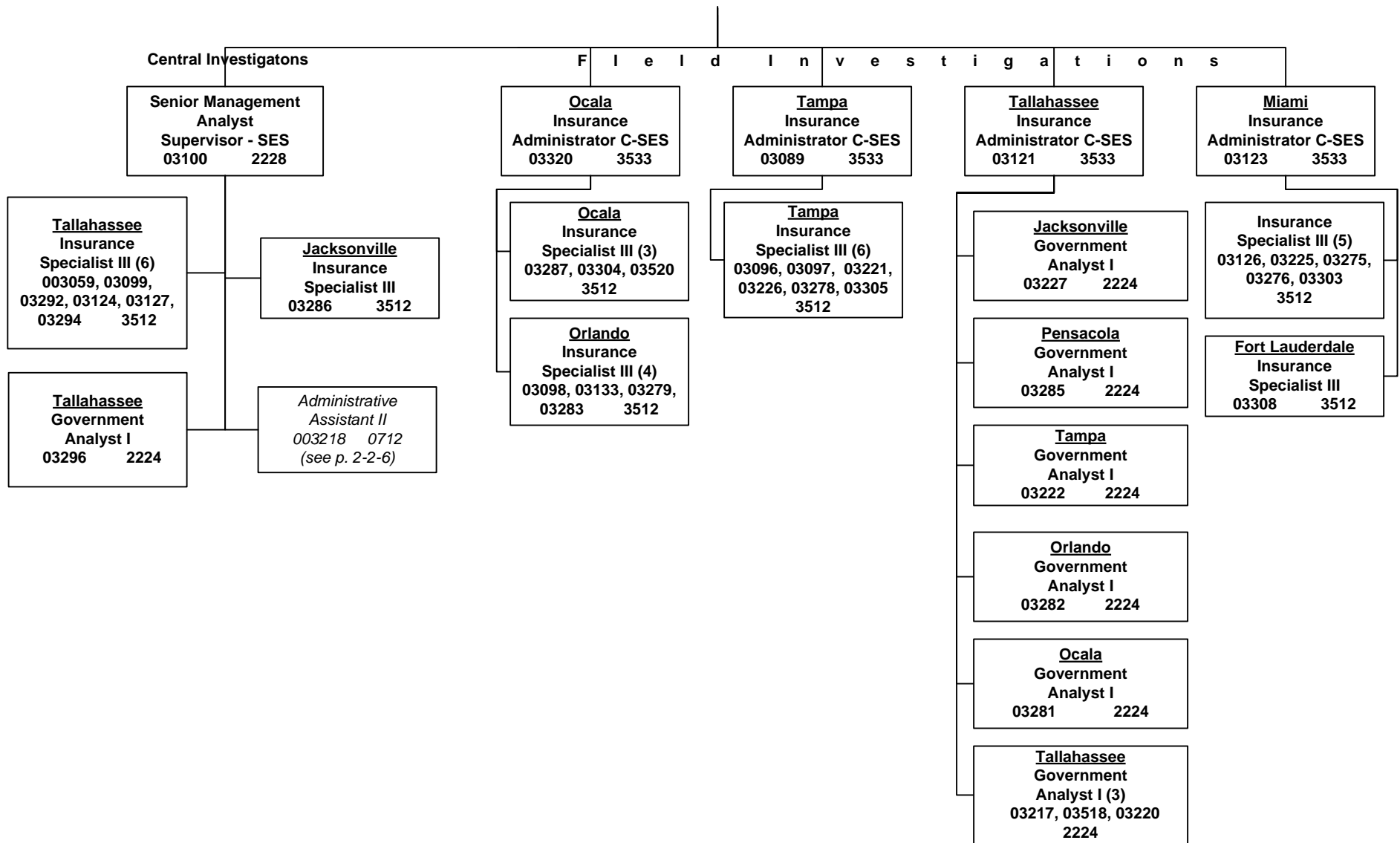
5-3-3



Department of Financial Services  
 Division of Workers' Compensation  
 Bureau of Employee Assistance



Department of Financial Services  
 Division of Workers' Compensation  
 Bureau of Employee Assistance



**Department of Financial Services  
Division of Workers' Compensation  
Office of Data Quality and Collection**

**Senior Management  
Analyst Supervisor-SES  
03522 2228**

**Operations Review  
Specialist  
03055 2239**

**Operations & Management  
Consultant II-SES  
03523 2236**

**Senior Management  
Analyst I - SES  
03049 2224**

**Electronic Data  
Interchange**

**Electronic  
Data Management**

**Medical Data Management**

**Benefits Data Team**

**Records Management**

**System Project  
Administrator-SES  
03103 2109**

**Operations &  
Management  
Consultant II-SES  
03245 2236**

**System Project  
Administrator-SES  
03533 2109**

**Insurance  
Administrator C-SES  
03140 3533**

**Insurance  
Administrator C-SES  
03228 3533**

**Government  
Analyst I (2)  
01683, 03060  
2224**

**EDP Quality Control/  
Scheduling  
Specialist (3)  
03056, 03172, 03203  
2016**

**Senior Management  
Analyst I-SES  
03530 2224**

**Management Analyst II-  
SES  
03176 3315**

**Management  
Analyst II-SES  
03063 2212**

**Records Technician (2)  
03164, 03170  
0045**

**Operations  
Analyst II (2)  
03021, 03051  
2212**

**Data Processing  
Control  
Specialist (2)  
03058, 03137  
2013**

**System Project Analyst  
03535 2107**

**Insurance  
Specialist I (3)  
03077, 03064, 03115  
3508**

**Insurance  
Specialist I (6)  
03076, 03116, 03158,  
03167, 03210, 03132  
3508**

**Management  
Analyst II -SES  
03119 2212**

**Insurance  
Specialist III (2)  
01684, 03139  
3512**

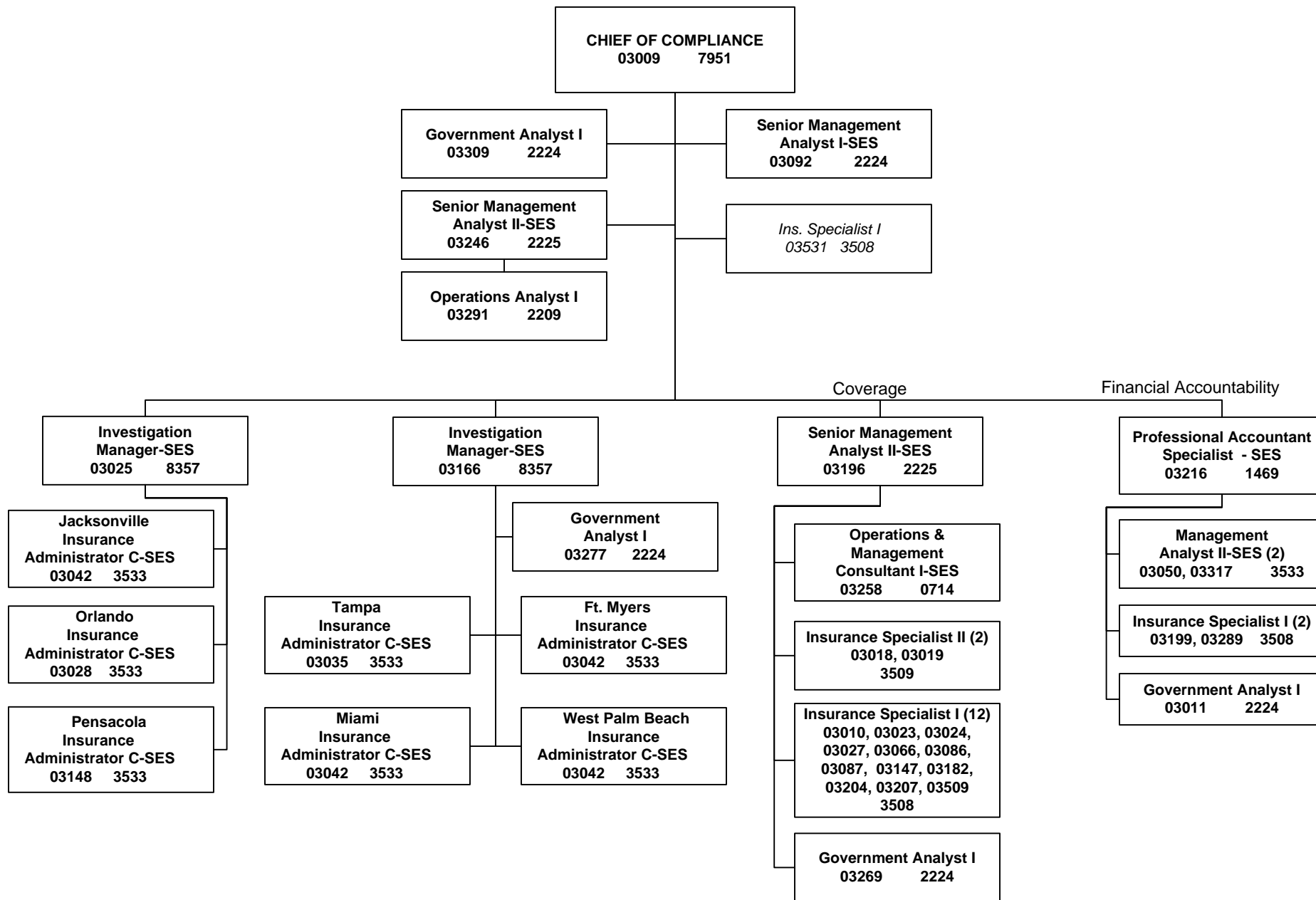
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03205, 03529 2224**

**Wage Loss  
Insurance  
Specialist I (3)  
03078, 03157, 03177  
3508**

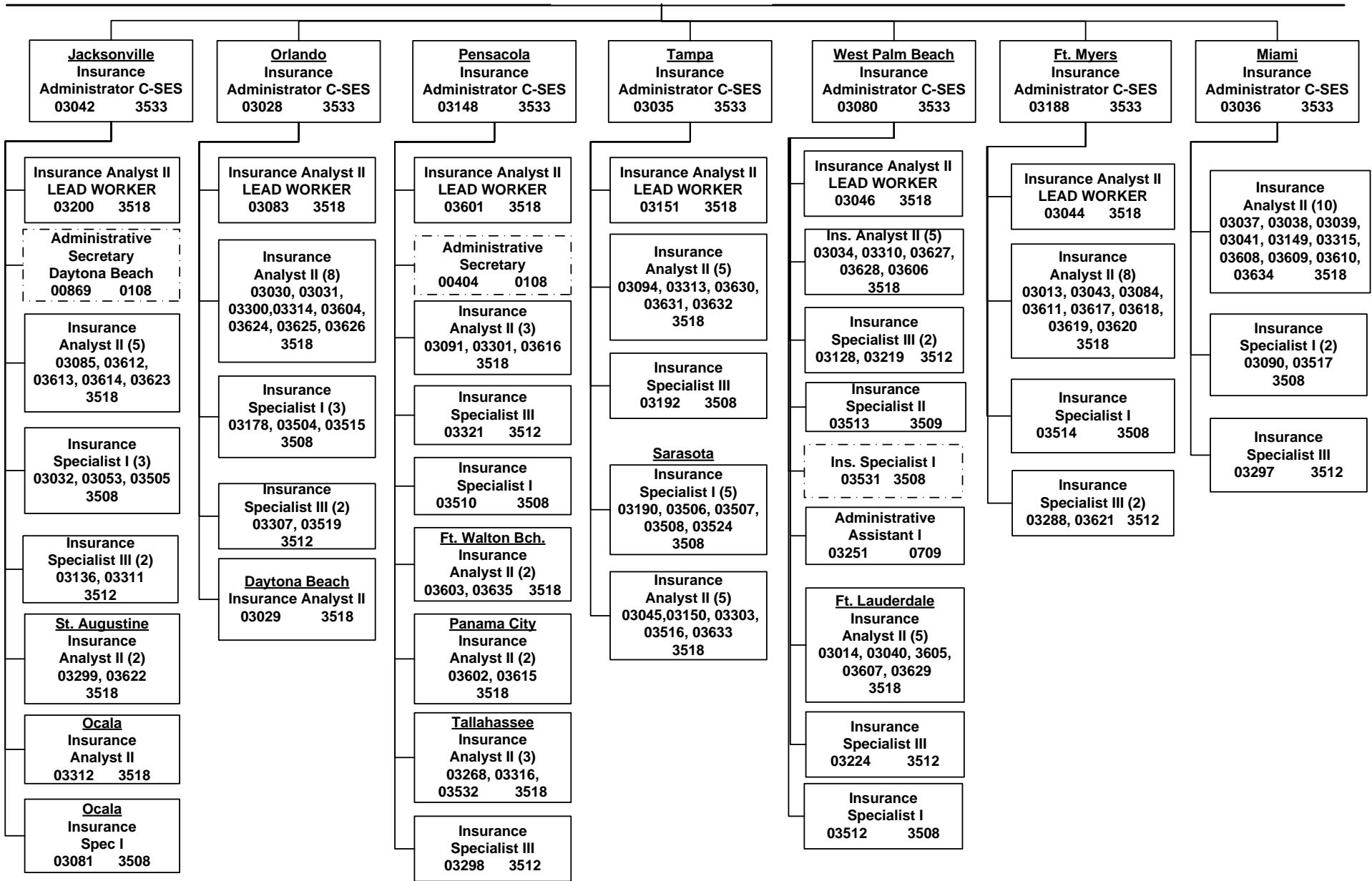
**Records Technician (3)  
03165, 03171, 03202  
0045**

**Insurance  
Specialist I (2)  
03073, 03206 3508**

**Department of Financial Services  
Division of Workers' Compensation  
Bureau of Compliance**



**Department of Financial Services  
Division of Workers' Compensation  
Bureau of Compliance**



Field Office FTE: 111

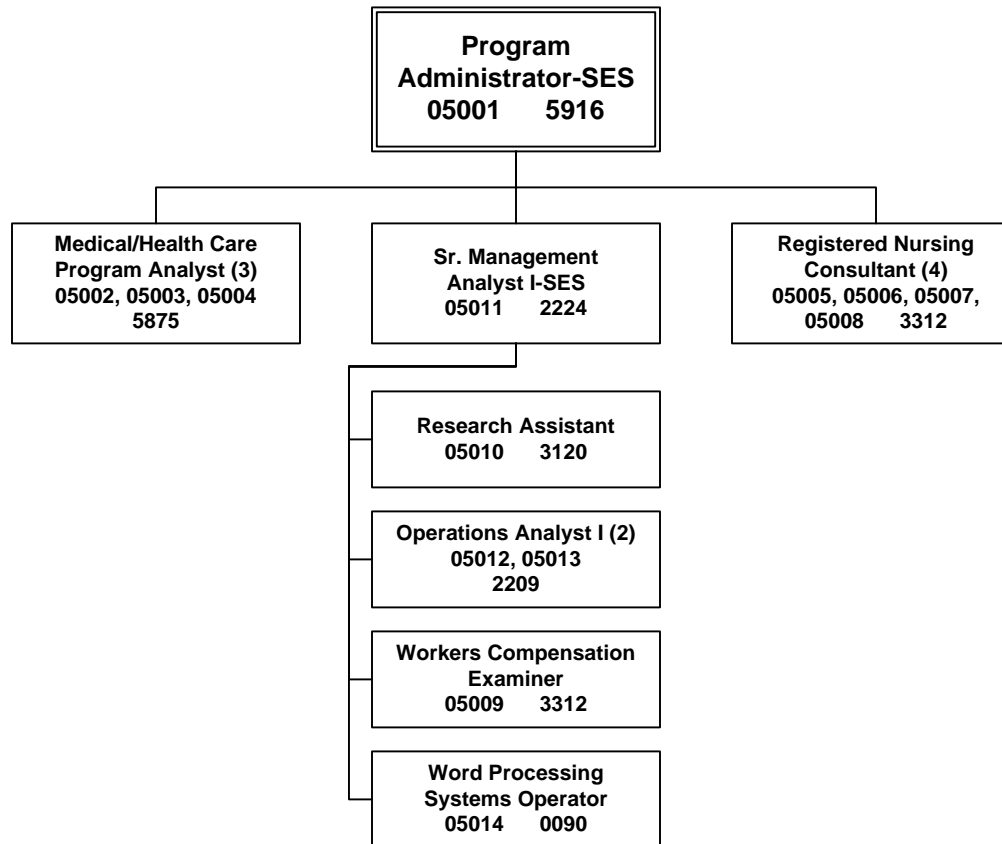
FTE not Included in this Section  
Dotted Line = Administratively Assigned. FTE not counted.  
Italic = Organizationally Assigned. Reports elsewhere administratively. FTE counted.

Eff 07-17-09  
Rev 07-21-09

5-3-8

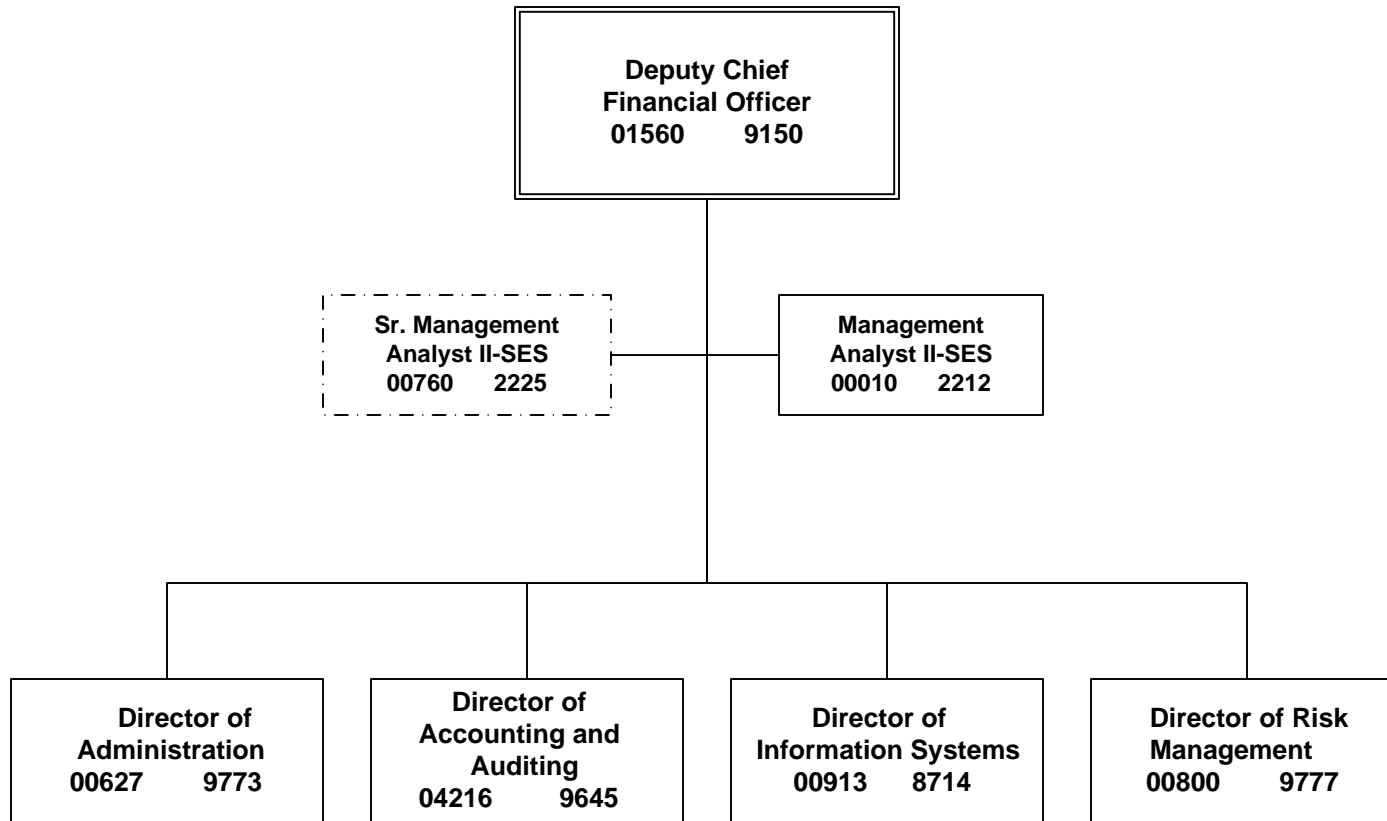
**Department of Financial Services  
Division of Workers' Compensation  
Office of Medical Services**

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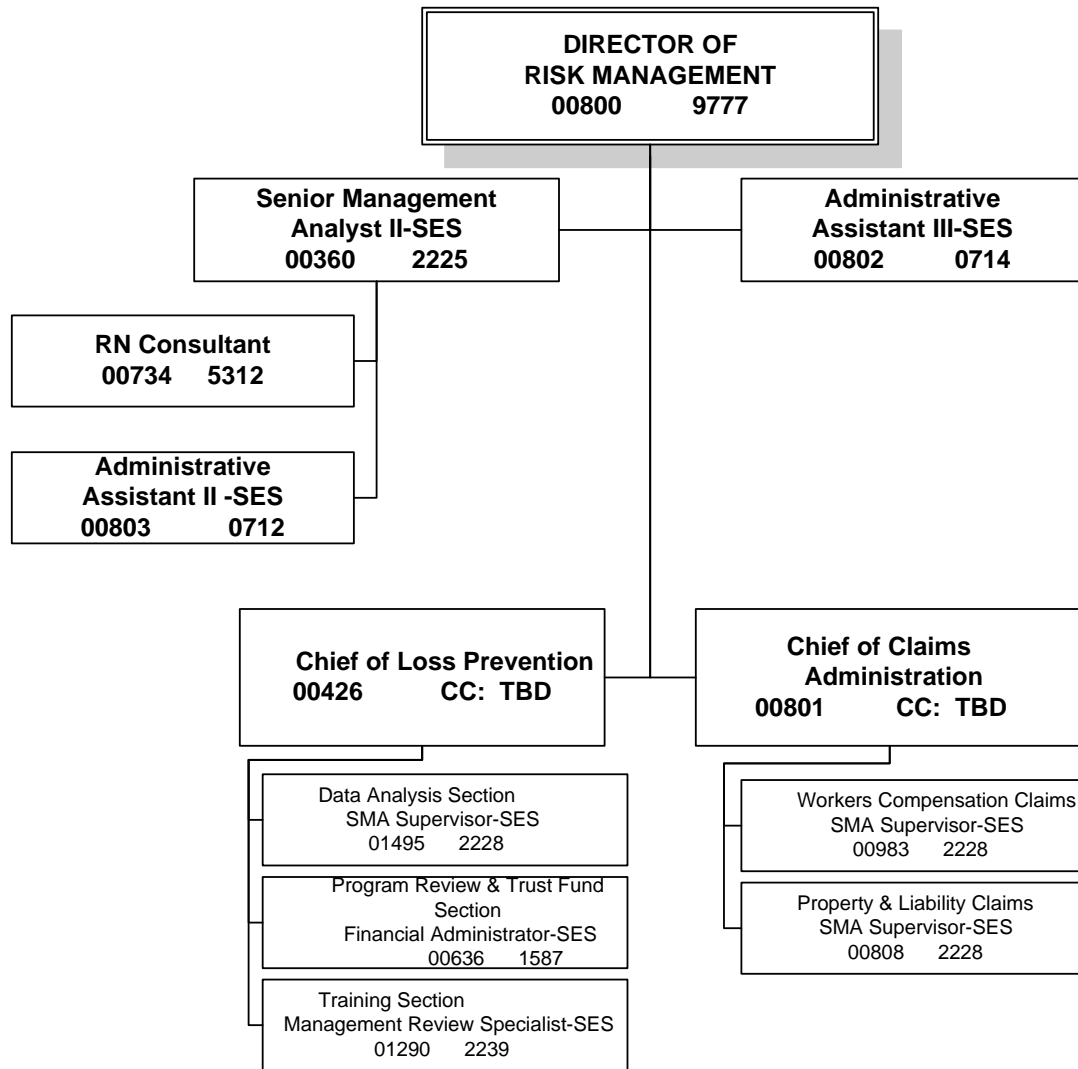
Department of Financial Services  
Deputy Chief Financial Officer

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**Department of Financial Services  
Office of the Chief of Staff  
Division of Risk Management  
Office of the Director**

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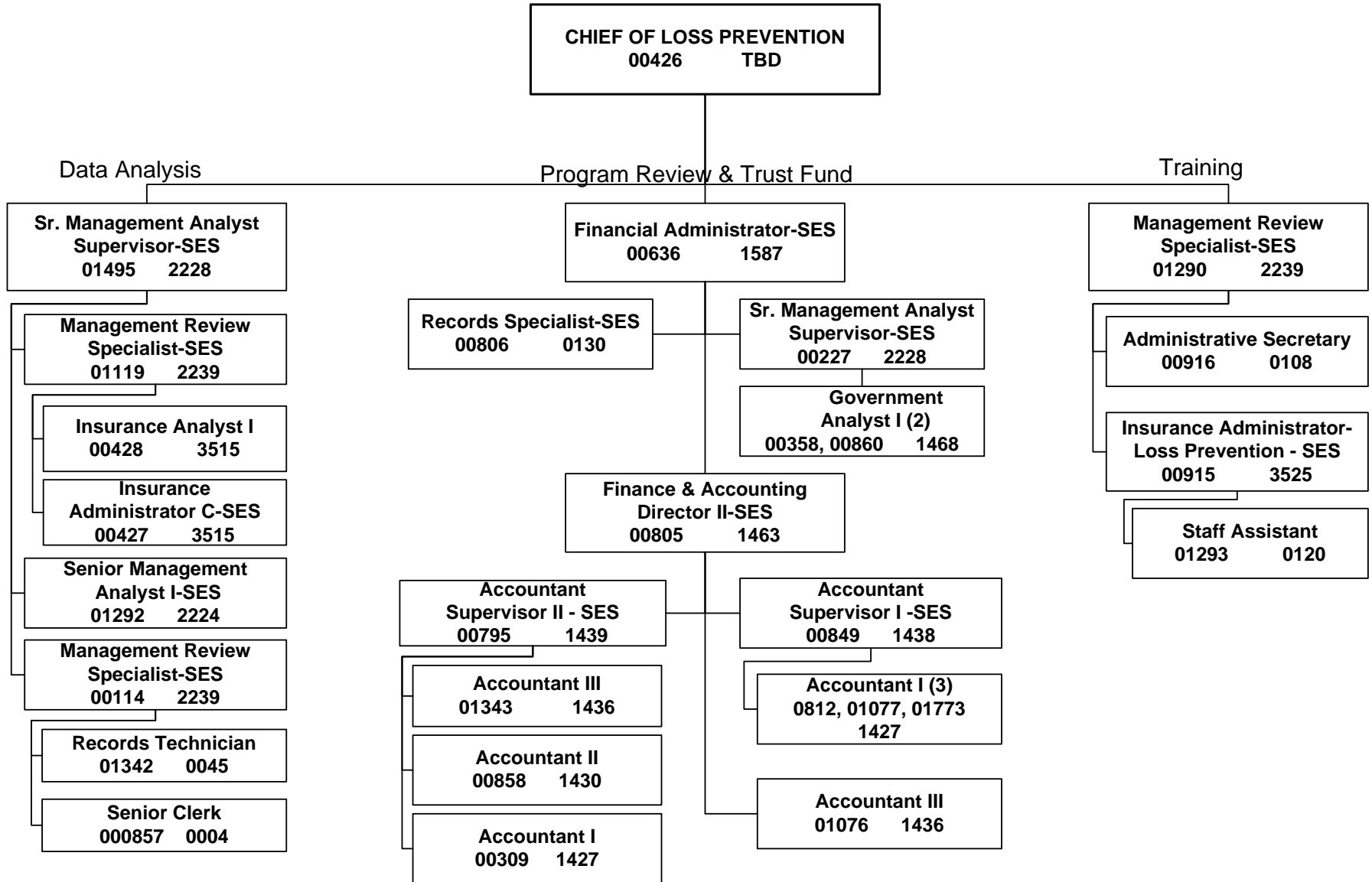
Division Total FTE: 101  
Office of the Director: 5

FTE not Included in this Section  
Dotted Line = Administratively Assigned. FTE not counted.  
Italic = Organizationally Assigned. Reports elsewhere administratively. FTE counted.

Eff 07-01-09  
Rev 07-07-09  
6-1-1  
Page 92 of 373



**Department of Financial Services  
Division of Risk Management  
Bureau of Loss Prevention**

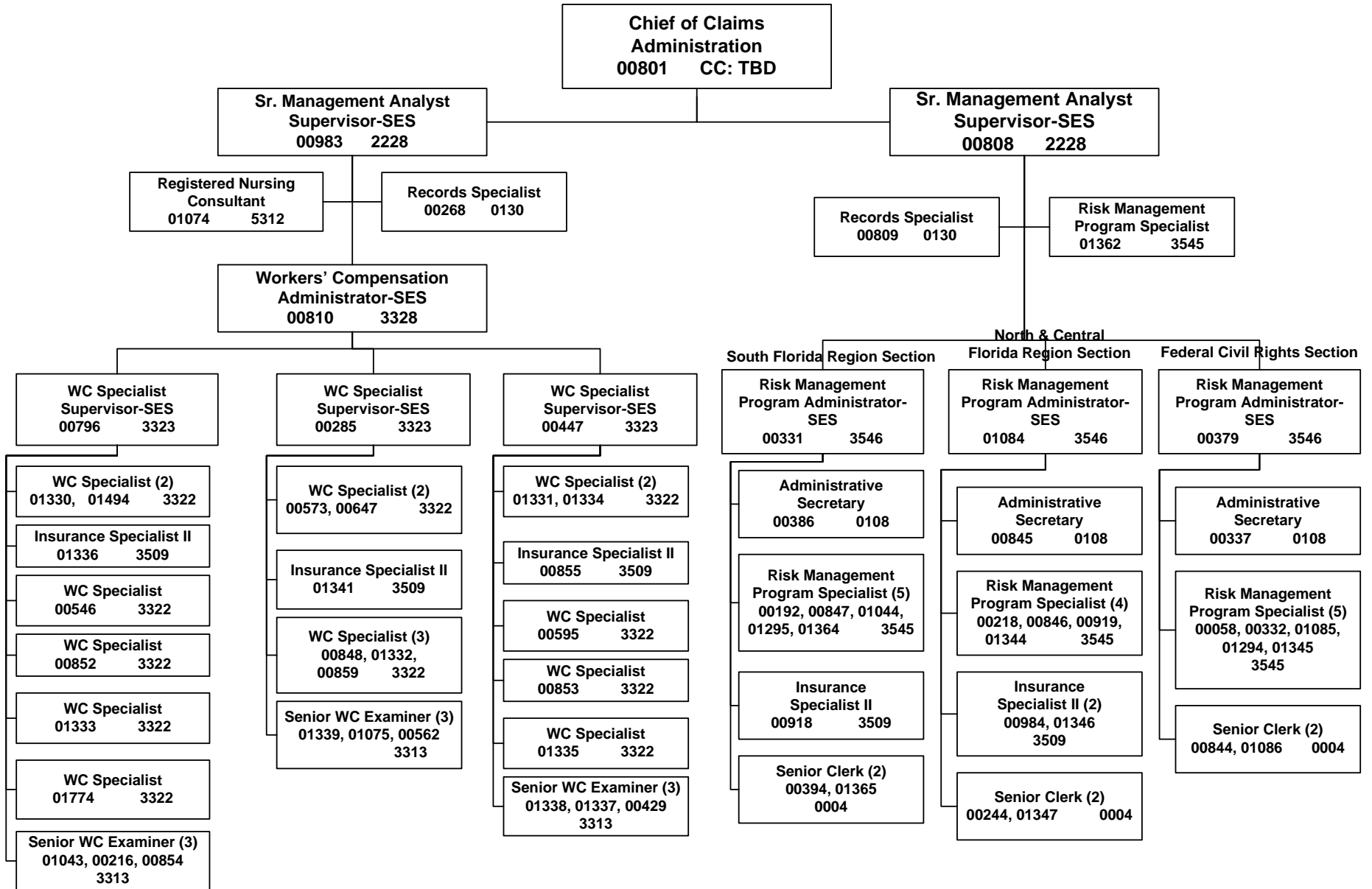


Bureau Total FTE: 28

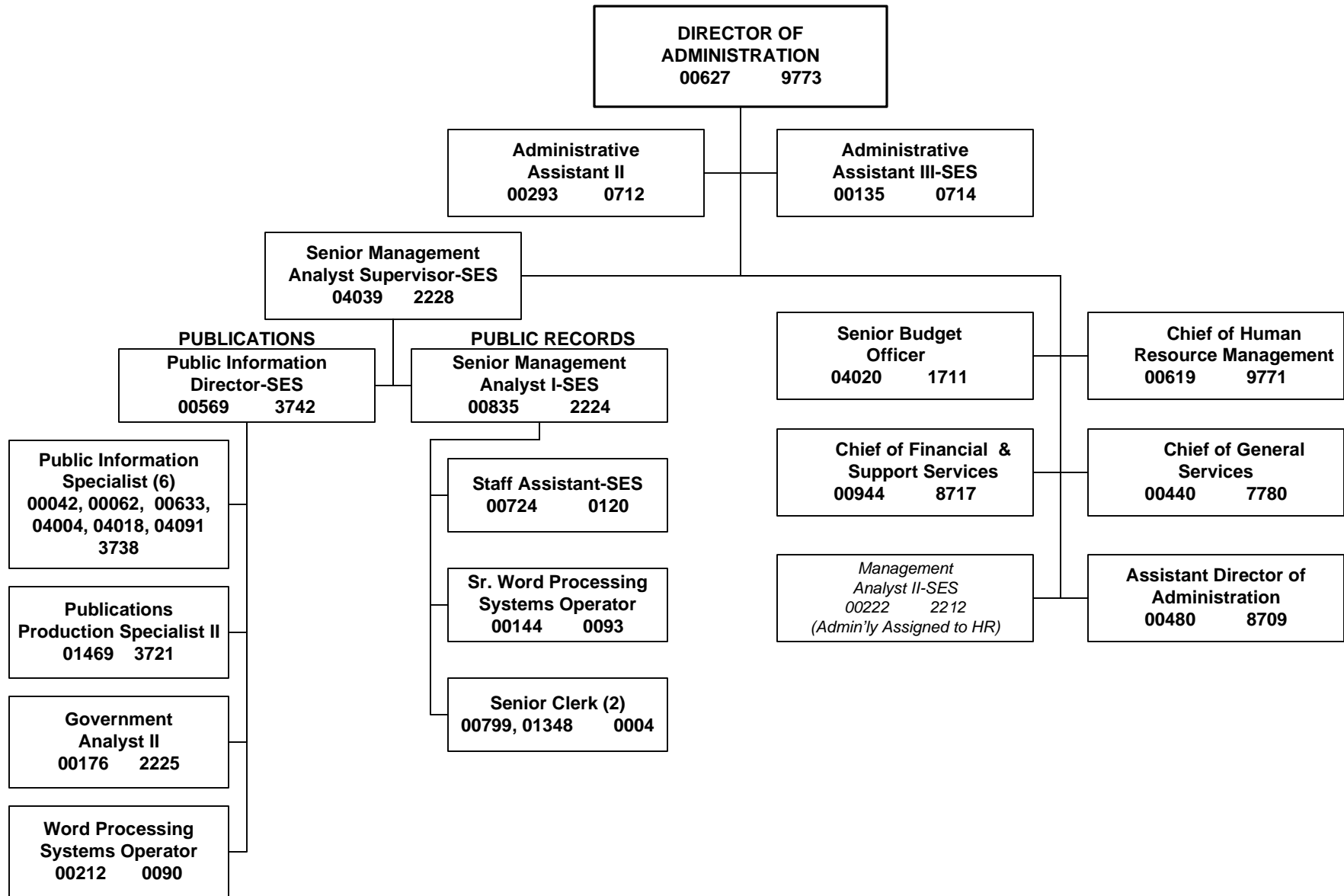
FTE not Included in this Section  
Dotted Line = Administratively Assigned. FTE not counted.  
Italic = Organizationally Assigned. Reports elsewhere administratively. FTE counted.

Eff 07-01-09  
Rev 07-07-09 6-1-2  
Page 93 of 373

**Department of Financial Services  
Division of Risk Management  
Bureau of Claims Administration**



**Department of Financial Services  
Division of Administration  
Office of the Director**



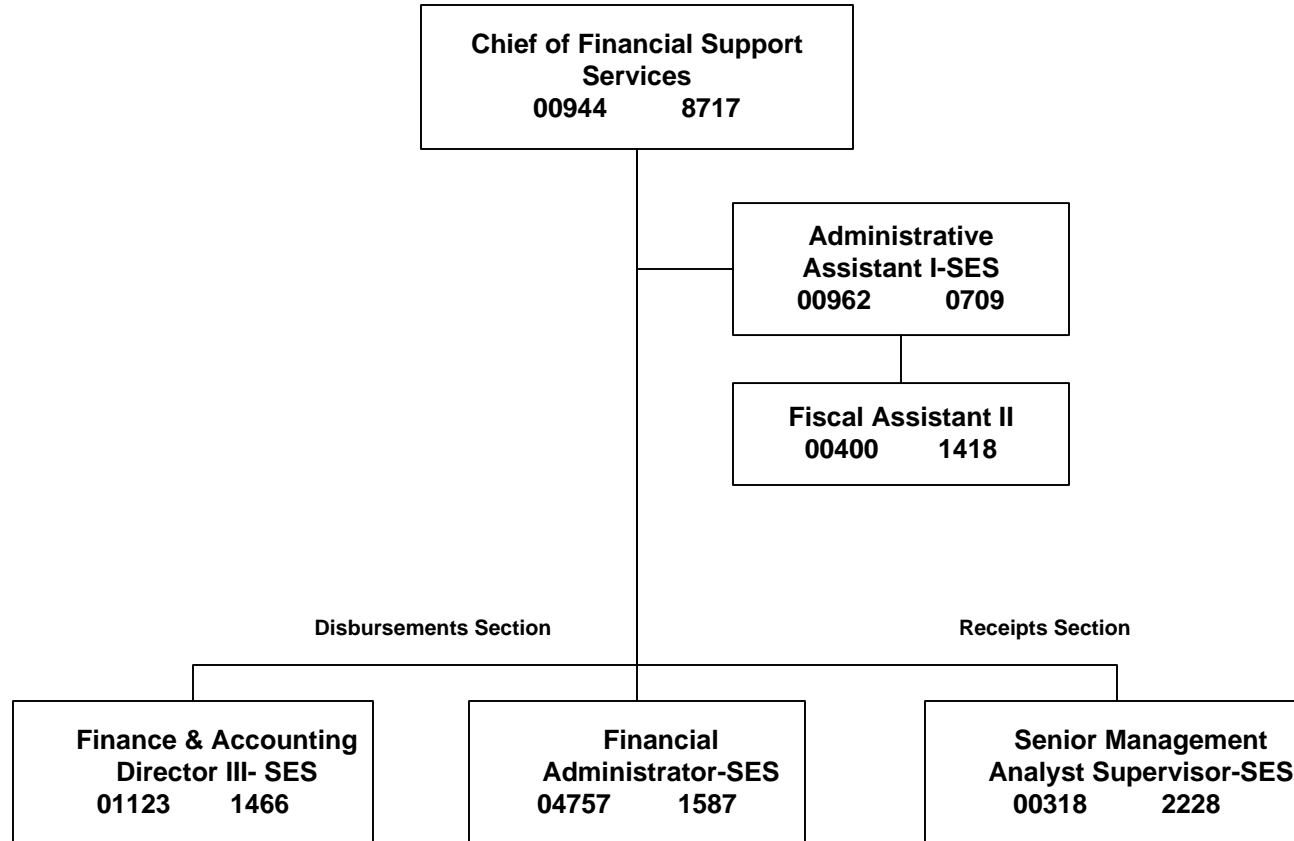
Div of Administration Total FTE: 111.5  
Office of the Director FTE: 6  
Publications: 10  
Public Records: 5

FTE not Included in this Section  
Dotted Line = Administratively Assigned. FTE not counted.  
Italic = Organizationally Assigned. Reports elsewhere administratively. FTE counted.

Eff (Pending)  
Rev 09-23-09  
Page 95 of 373 **6-2-1**

**Department of Financial Services  
 Division of Administration  
 Bureau of Financial & Support Services  
 Office of the Chief**

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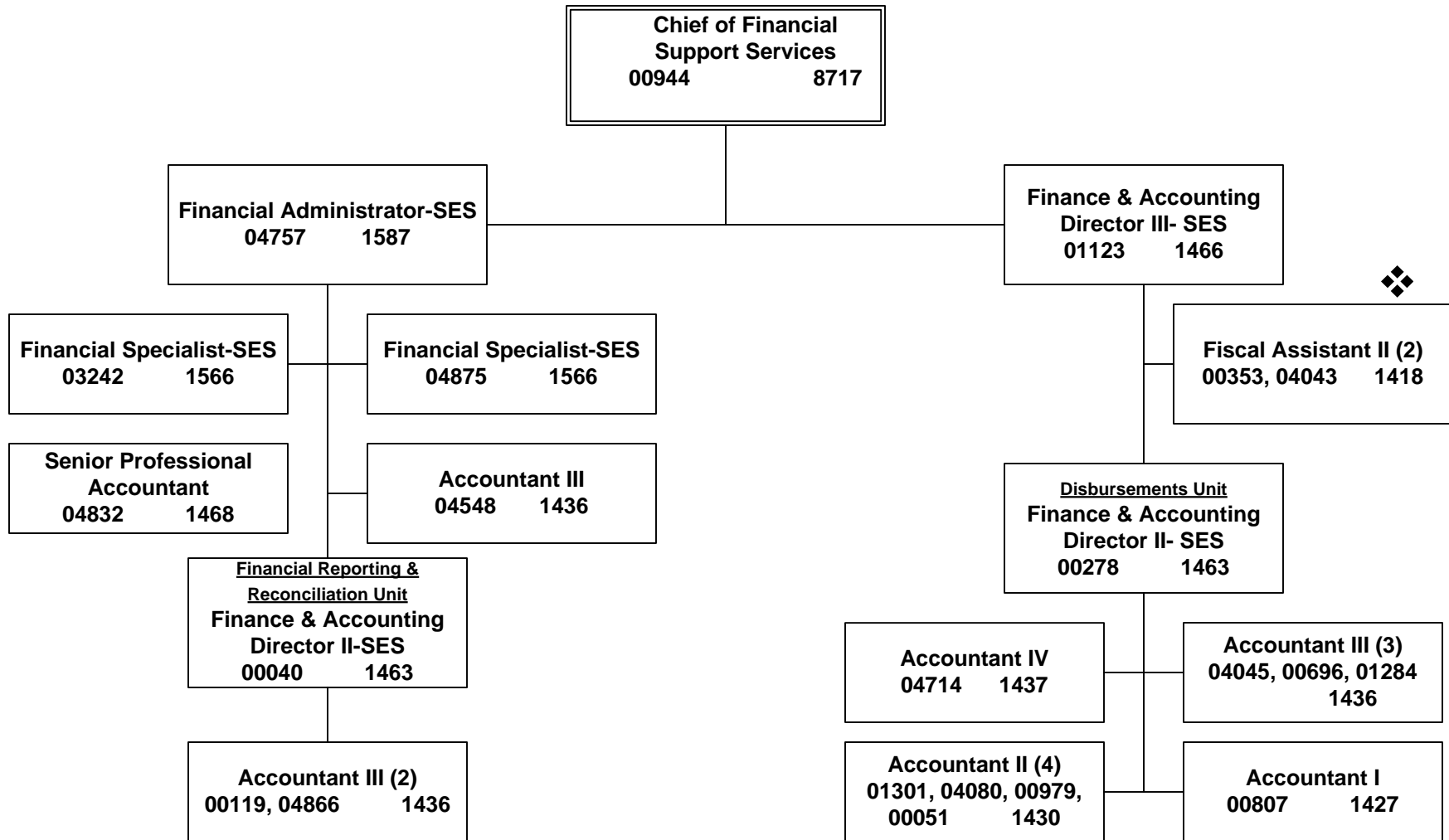


Bureau Total FTE: 42  
 Chief FTE: 3

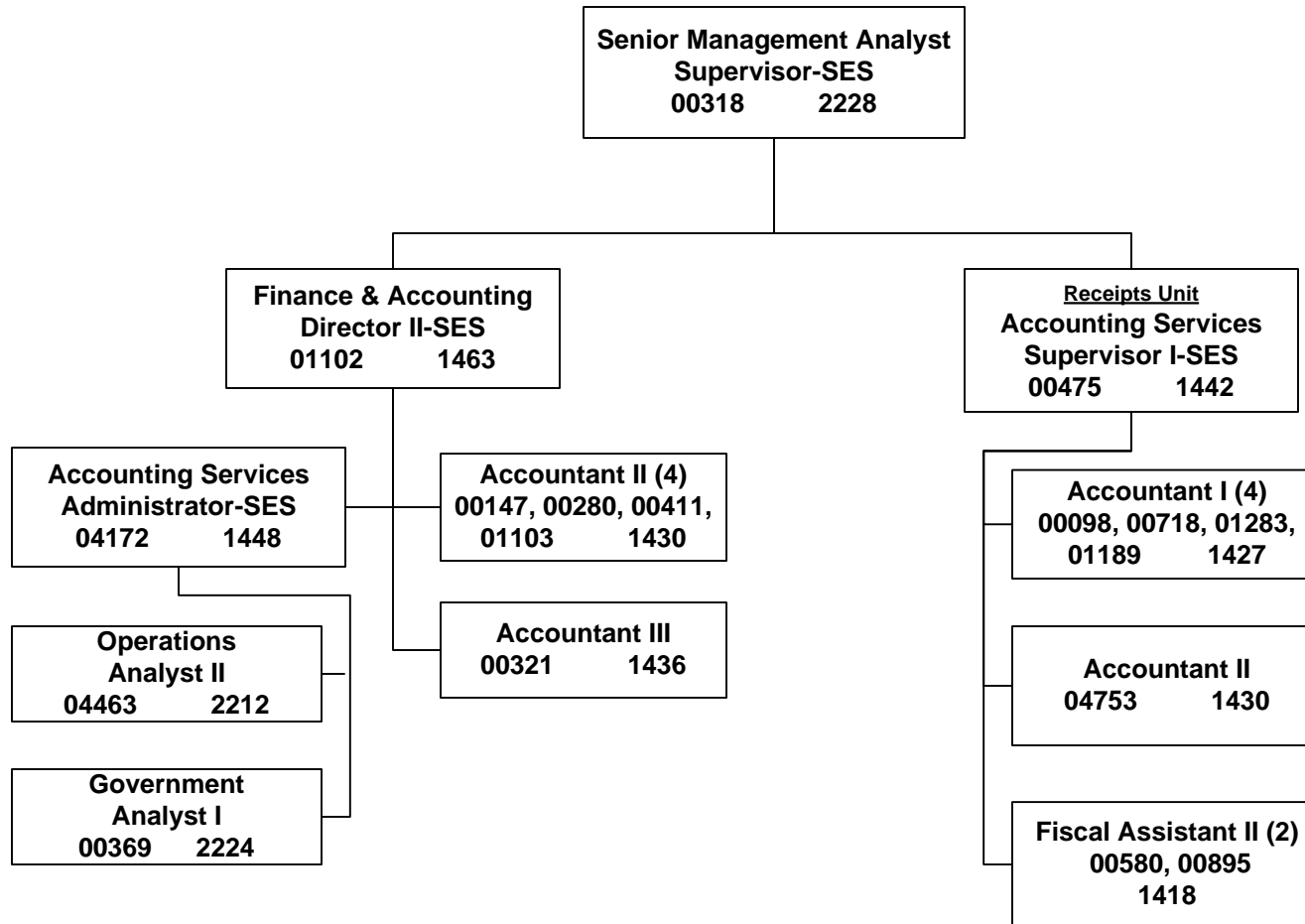
FTE not Included in this Section  
 Dotted Line = Administratively Assigned. FTE not counted.  
 Italic = Organizationally Assigned. Reports elsewhere administratively. FTE counted.

Eff 09-01-09  
 Rev 09-01-09 6-2-2  
 Page 96 of 373

**Department of Financial Services  
Division of Administration  
Bureau of Financial & Support Services  
Disbursements Section**

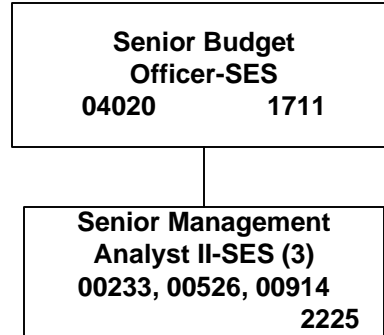


**Department of Financial Services  
Division of Administration  
Bureau of Financial & Support Services  
Receipts Section**



**Department of Financial Services  
Division of Administration  
Office of Budgeting**

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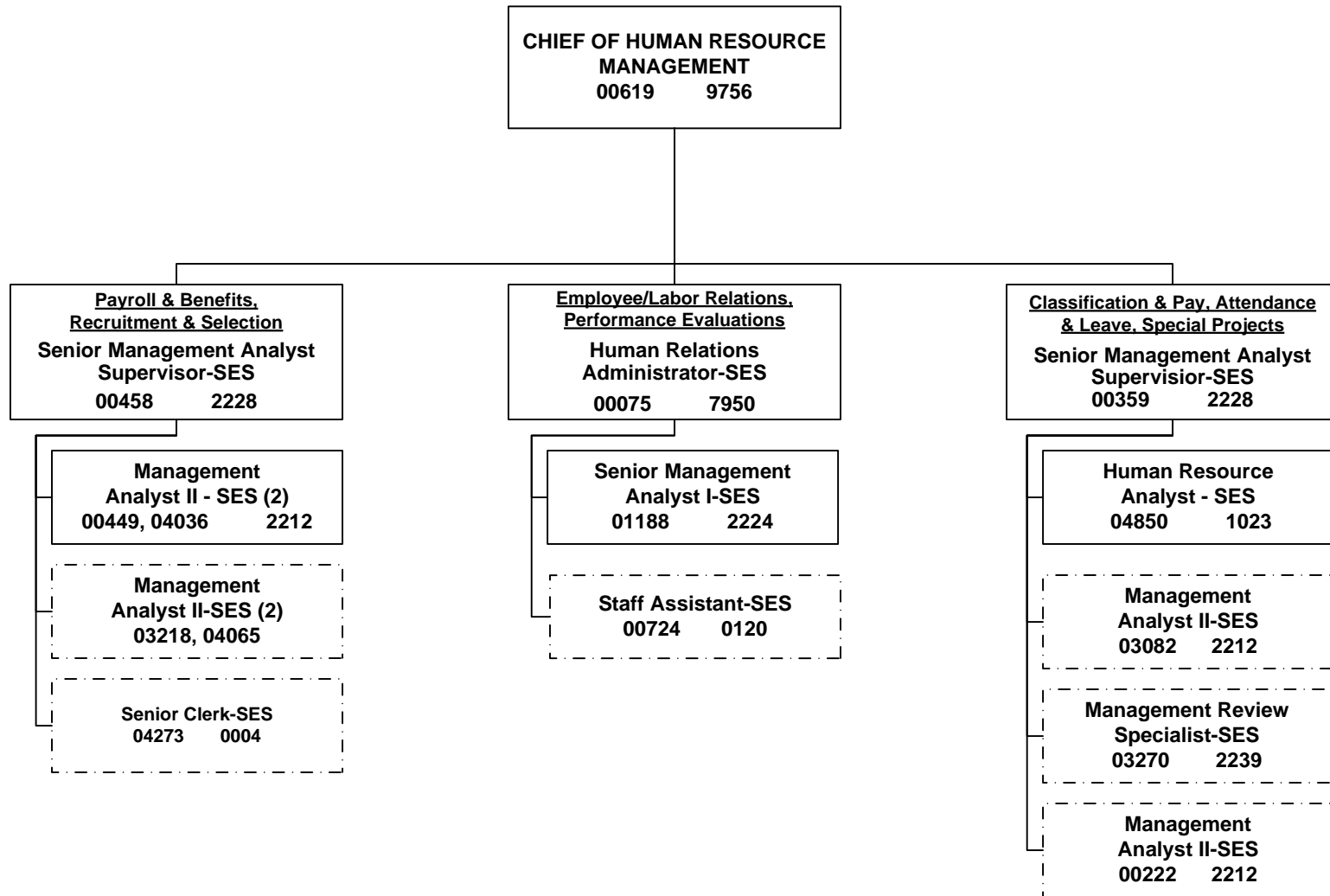


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Total FTE: 4

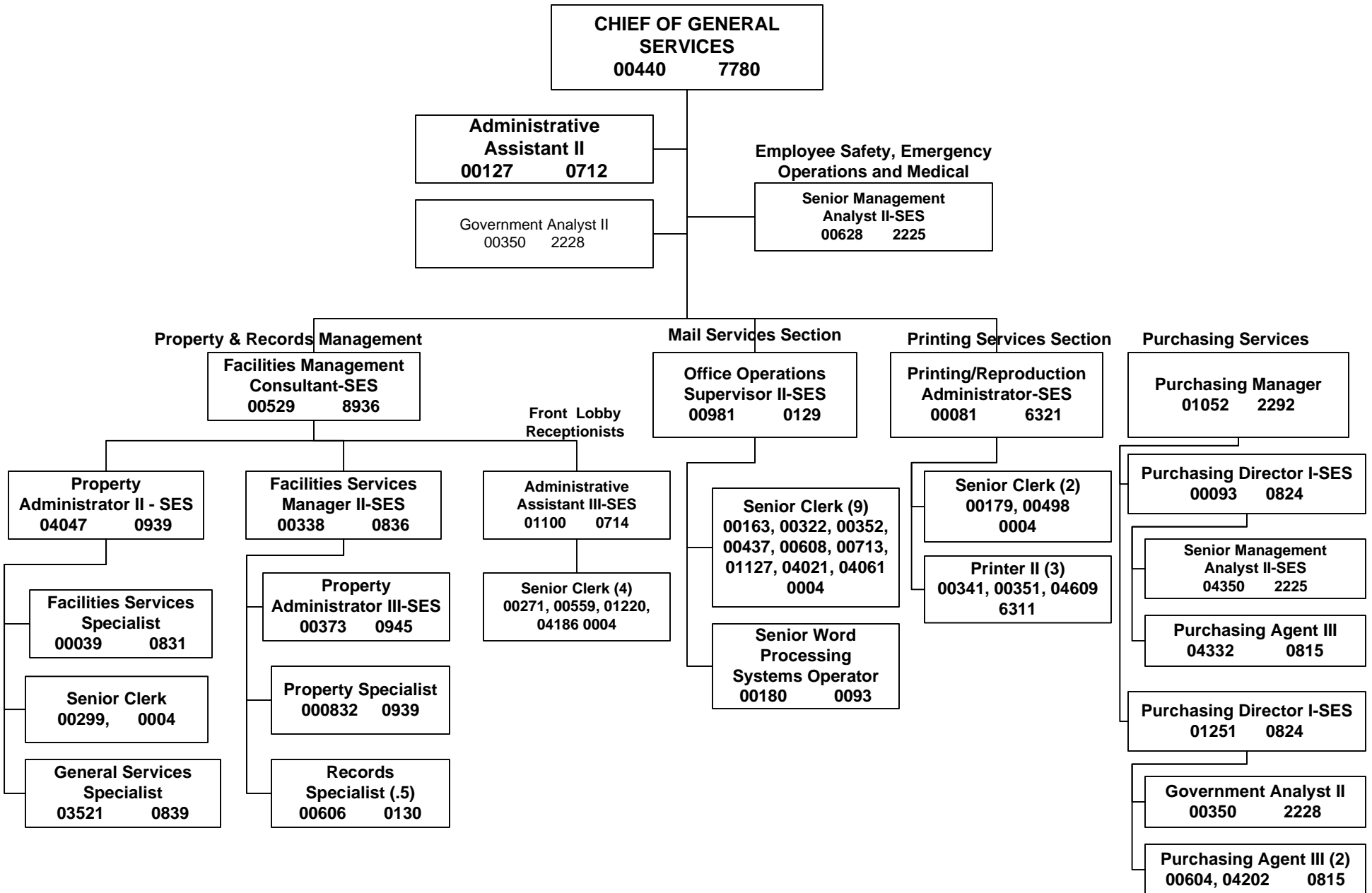
FTE not Included in this Section  
Dotted Line = Administratively Assigned. FTE not counted.  
Italic = Organizationally Assigned. Reports elsewhere administratively. FTE counted.

**Department of Financial Services  
Division of Administration  
Bureau of Human Resource Management**





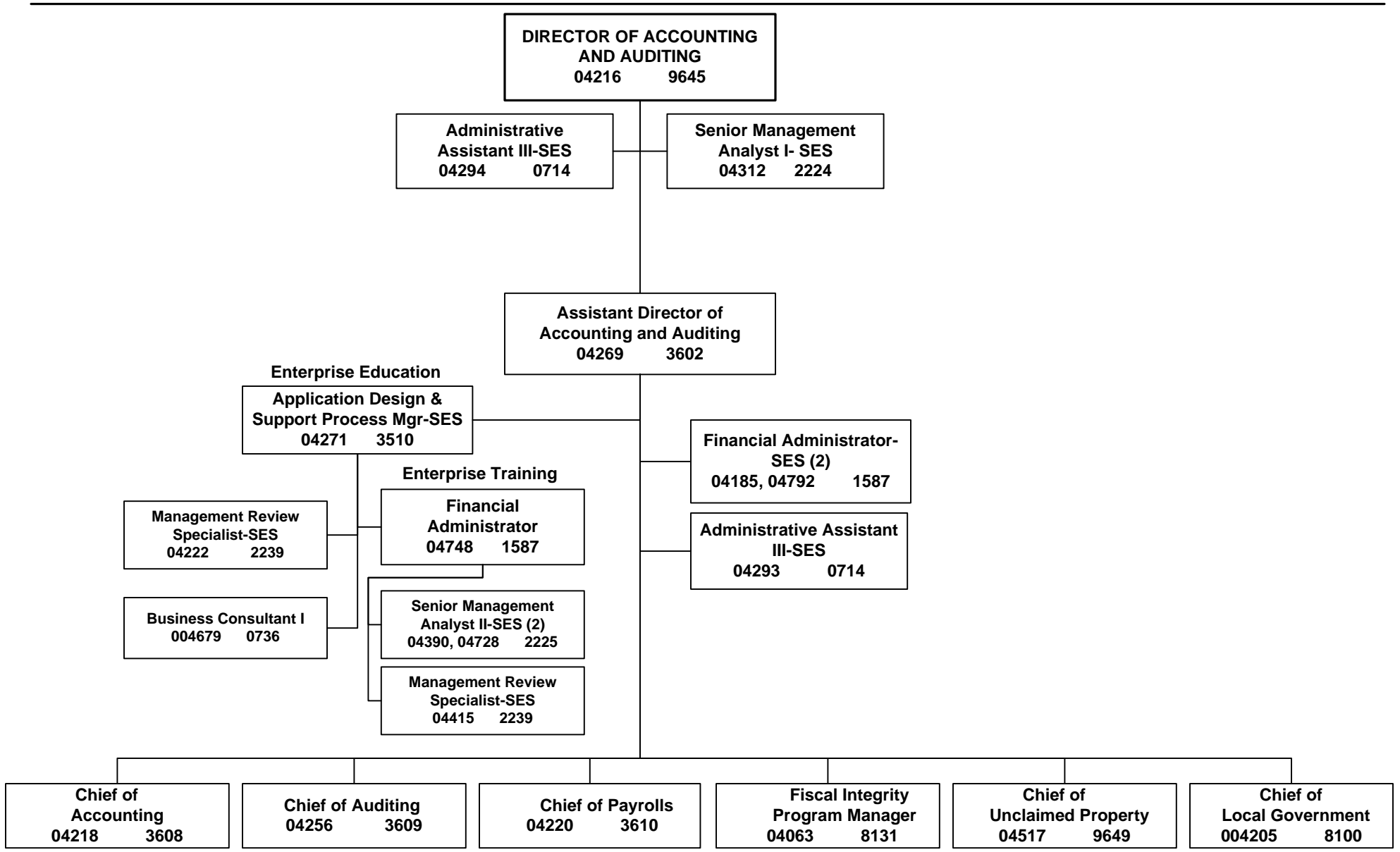
**Department of Financial Services  
Division of Administration  
Bureau of General Services**



Bureau Total FTE = 41.5

FTE not included in this Section  
 Dotted Line = Administratively Assigned. FTE not counted.  
 Italic = Organizationally Assigned. Reports elsewhere administratively. FTE counted.

**Department of Financial Services  
Office of the Deputy Chief Financial Officer  
Division of Accounting and Auditing  
Office of the Director**

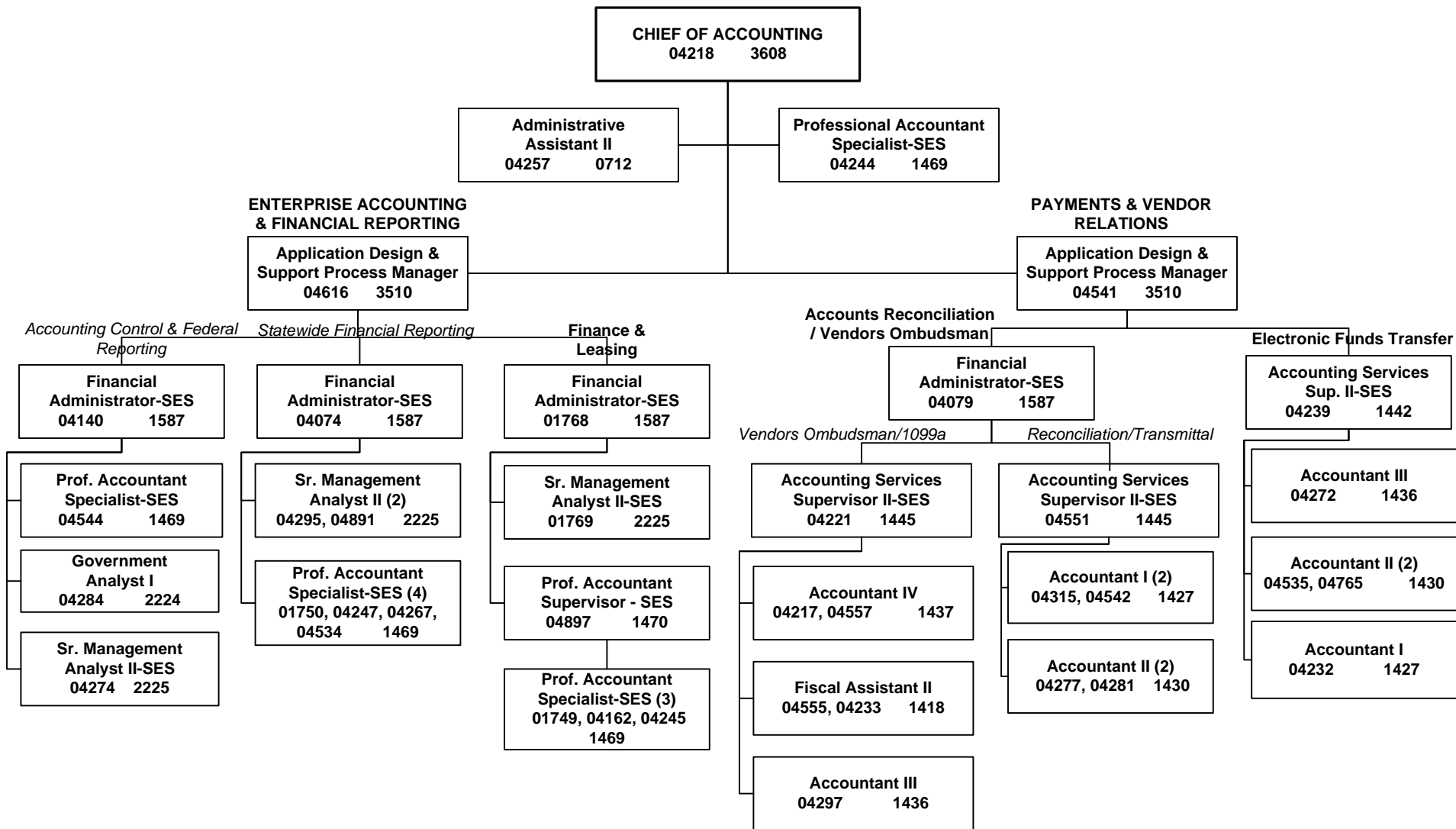


Division Total FTE: 218  
Total FTE: 14

FTE not Included in this Section  
Dotted Line = Administratively Assigned. FTE not counted.  
Italic = Organizationally Assigned. Reports elsewhere administratively. FTE counted.

Eff 06-29-09  
Rev 06-29-09  
Page 102 of 373  
**6-3-1**

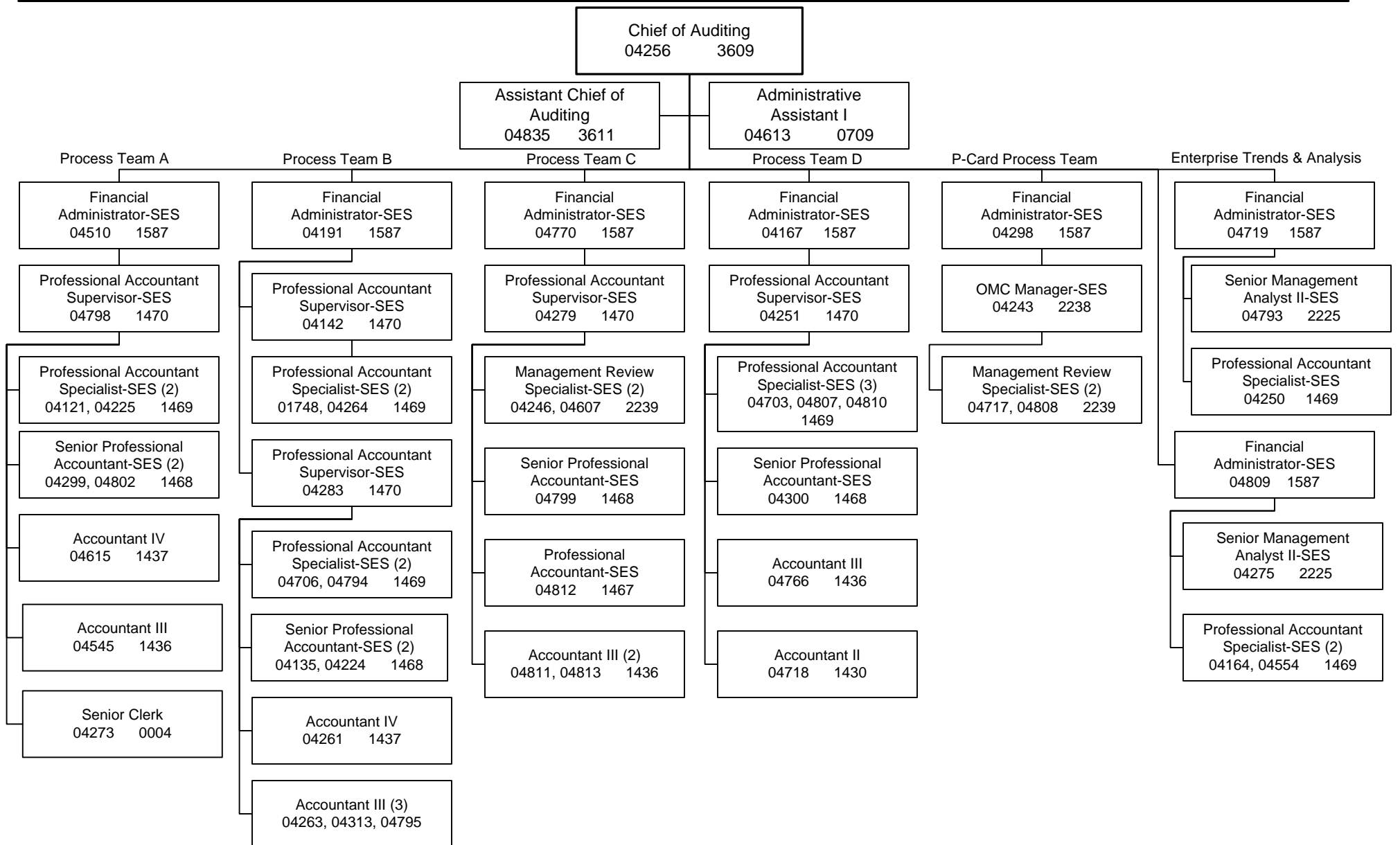
**Department of Financial Services  
Division of Accounting and Auditing  
Bureau of Accounting**



# Department of Financial Services

## Division of Accounting and Auditing

### Bureau of Auditing



**Total Bureau FTE: 52**

FTE not Included in this Section  
 Dotted Line = Administratively Assigned. FTE not counted.  
 Italic = Organizationally Assigned. Reports elsewhere administratively. FTE counted.

**Department of Financial Services  
Division of Accounting and Auditing  
Bureau of State Payrolls**

**Chief of Payrolls**  
04220    3610

**Administrative Assistant II**  
04120    0712

**Sr. Management Analyst II-SES**  
04124    2225

**Administrative Assistant I**  
04228    0709

**Payroll Processing**

**Taxation Reconciliation**

**Post-Audit**

**Employee Records**

**Financial Administrator-SES**  
04515    1587

**Financial Administrator-SES**  
04122    1587

**Financial Administrator-SES**  
04227    1587

**Financial Administrator-SES**  
04308    1587

**Sr. Professional Accountant-SES**  
04231    1468

**Accountant Supv. II-SES**  
04654    1439

**Prof. Accountant Supervisor-SES**  
04617    1470

**Prof. Accountant Supervisor-SES**  
04556    1470

**Sr. Management Analyst I-SES**  
04237    2224

**Accountant II**  
04511    1430

**Accountant II (2)**  
04230, 04536  
1430

**Sr. Professional Accountant**  
04552    1468

**Prof. Accountant Specialist-SES**  
04716    1469

**Accountant III**  
04048    1436

**Accountant IV**  
04161    1437

**Accountant II**  
04241    1430

**Accountant II**  
04235    1430

**Accountant I**  
04270    1427

**Sr. Management Analyst II-SES**  
04890    2225

**Prof. Accountant Specialist-SES**  
04229    1469

**Sr. Management Analyst II-SES**  
04219    2225

**Senior Professional Accountant**  
04553    1468

**Computer Audit Analyst-SES**  
04123    2125

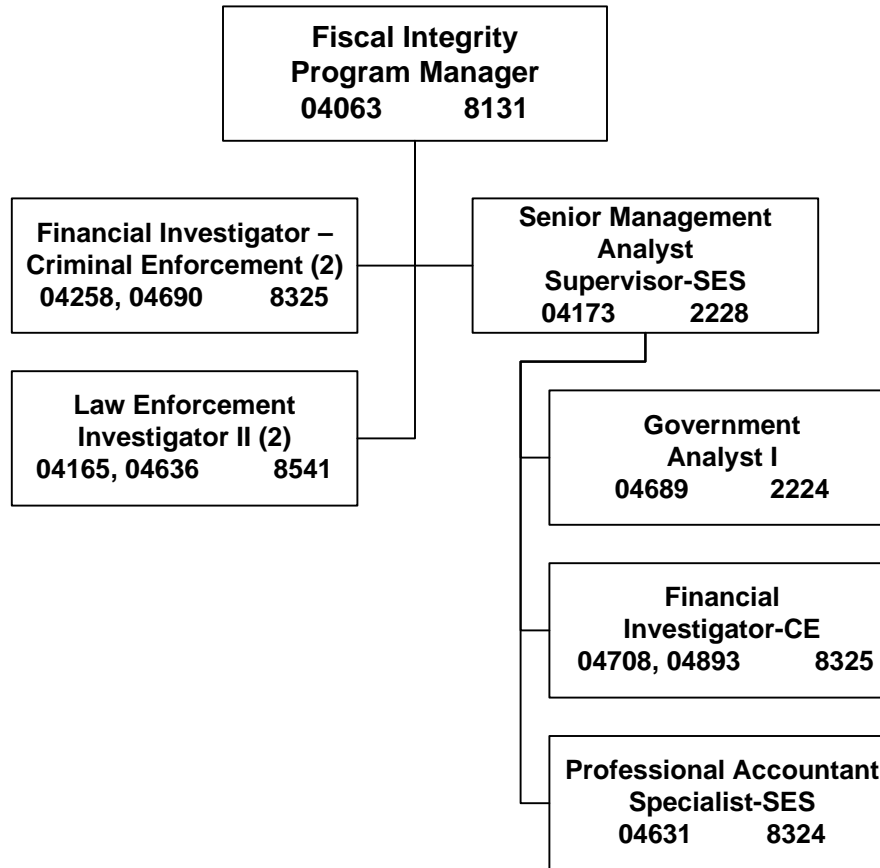
**Computer Audit Analyst-SES (3)**  
04032, 04762, 04898  
2125

**Total FTE: 31**

FTE not Included in this Section  
Dotted Line = Administratively Assigned. FTE not counted.  
Italic = Organizationally Assigned. Reports elsewhere administratively. FTE counted.

**Department of Financial Services  
Division of Accounting & Auditing  
Office of Fiscal Integrity**

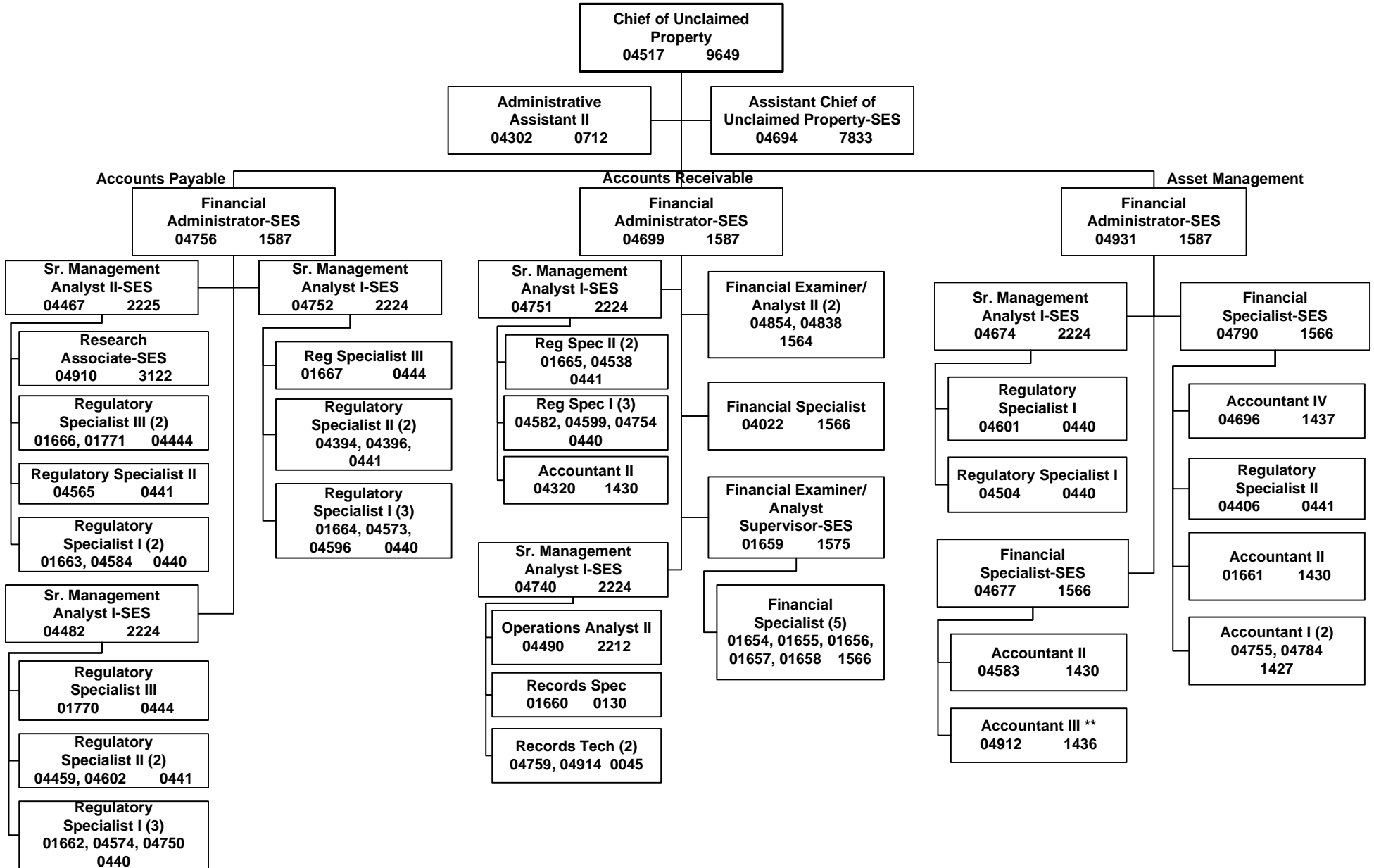
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Total FTE: 10

FTE not Included in this Section  
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Italic = Organizationally Assigned. Reports elsewhere administratively. FTE counted.

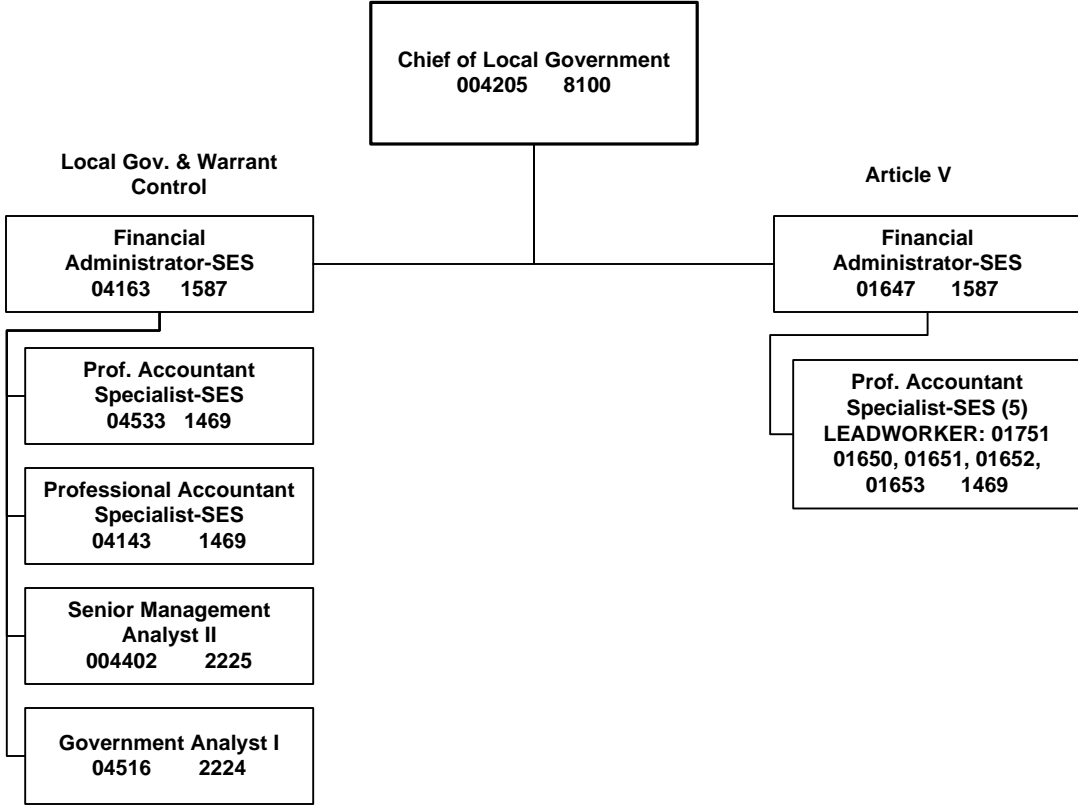
**Department of Financial Services  
Division of Accounting and Auditing  
Bureau of Unclaimed Property**



Total FTE: 60

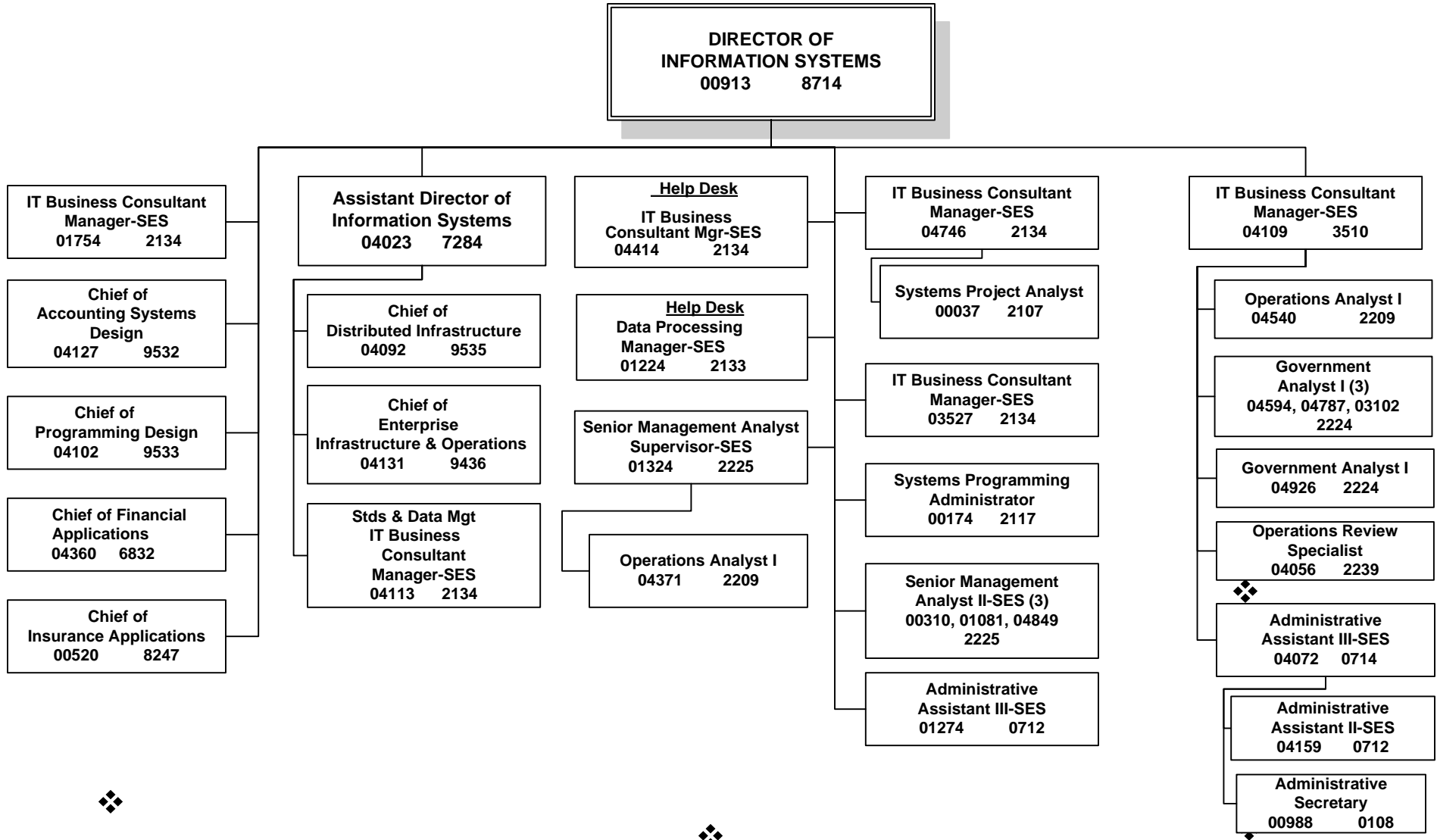
FTE not Included in this Section  
Dotted Line = Administratively Assigned. FTE not counted.  
Italic = Organizationally Assigned. Reports elsewhere administratively. FTE counted.

**Department of Financial Services  
Division of Accounting and Auditing  
Bureau of Local Government**





**Department of Financial Services  
Office of the Deputy Chief Financial Officer  
Division of Information Systems  
Office of the Director**

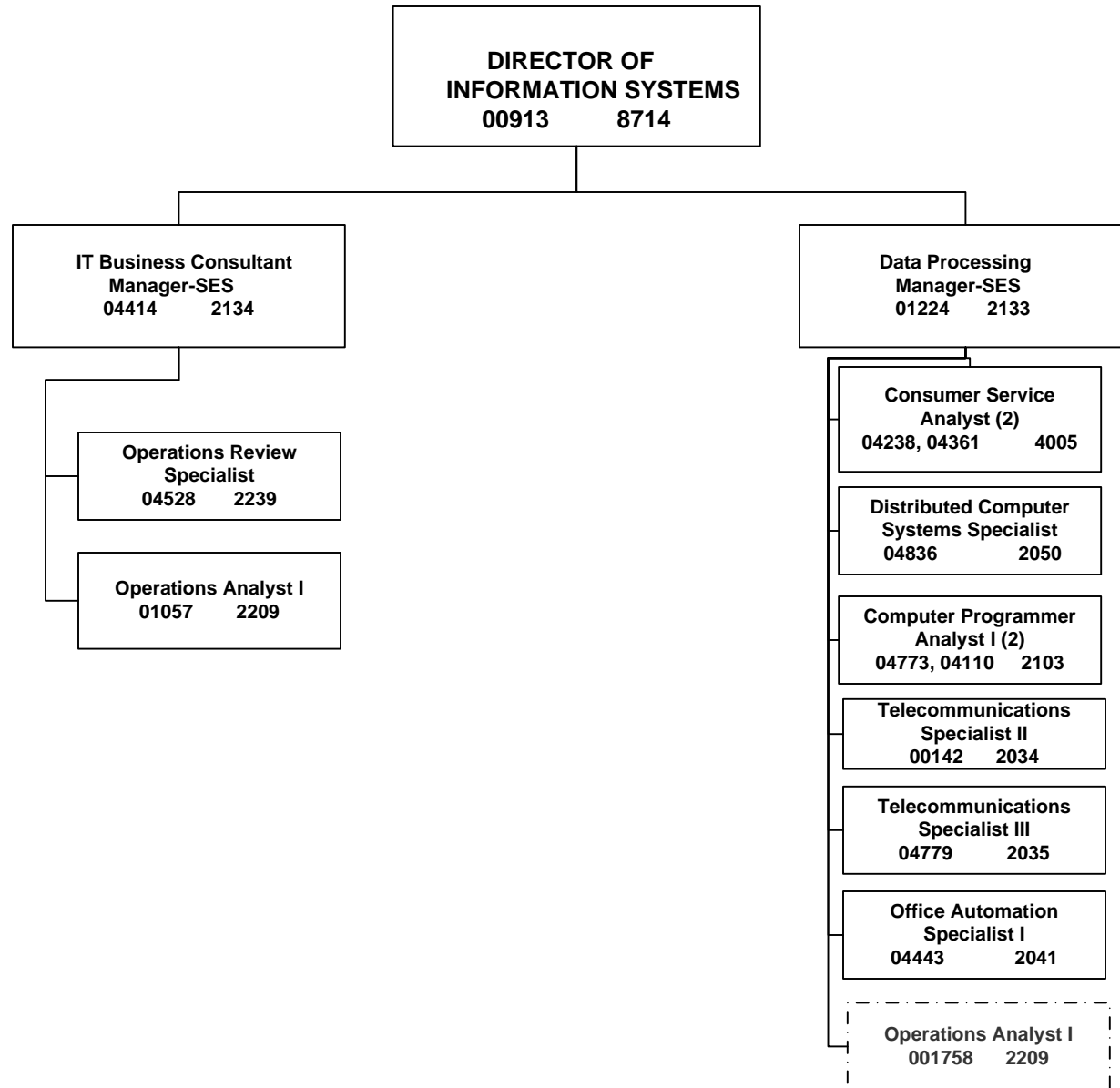


Division Total FTE: 235  
Director Office Total FTE: 23

FTE not Included in this Section  
Dotted Line = Administratively Assigned. FTE not counted.  
Italic = Organizationally Assigned. Reports elsewhere administratively. FTE counted.

Eff 09-21-09  
Rev 09-23-09 of 373 **6-4-1**

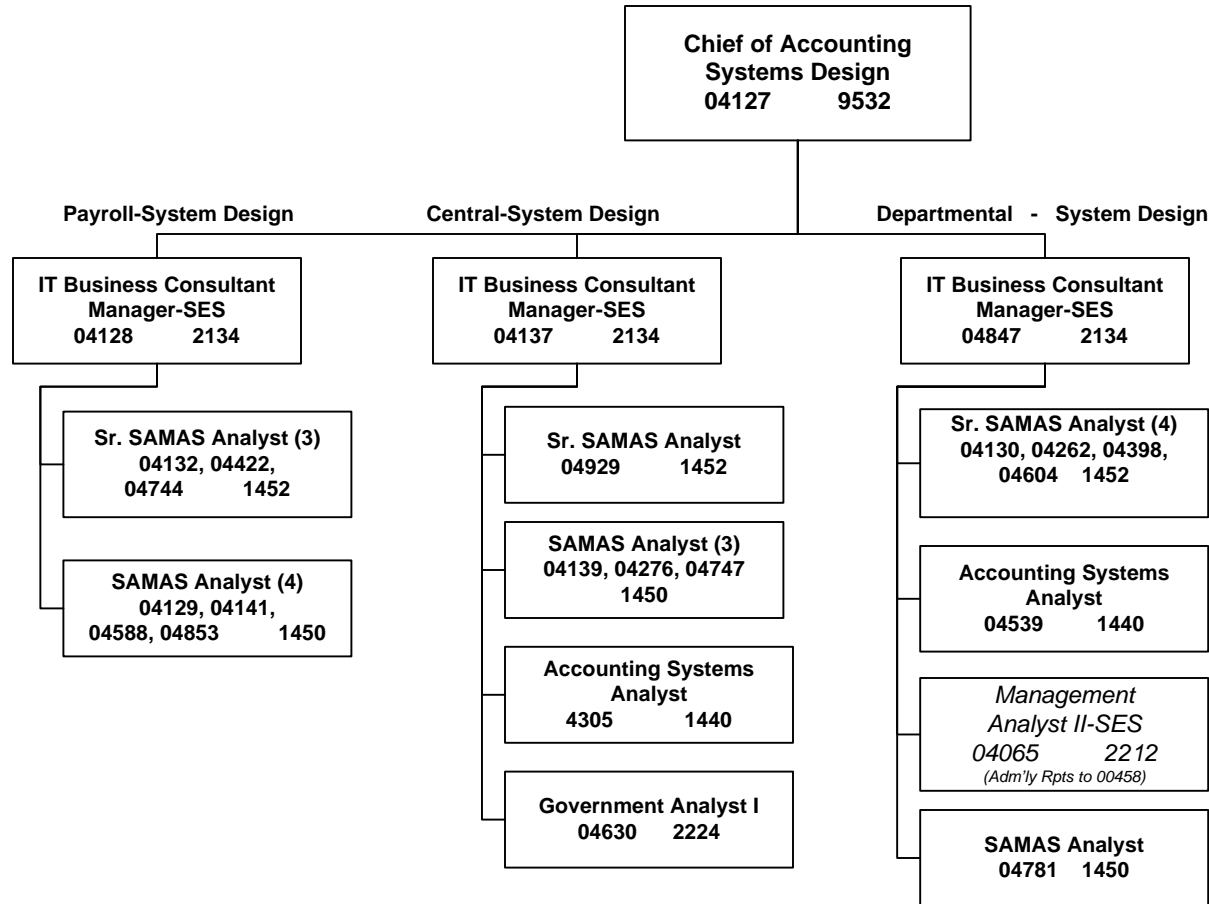
**Department of Financial Services  
Division of Information Systems  
Office of the Director  
Help Desk**



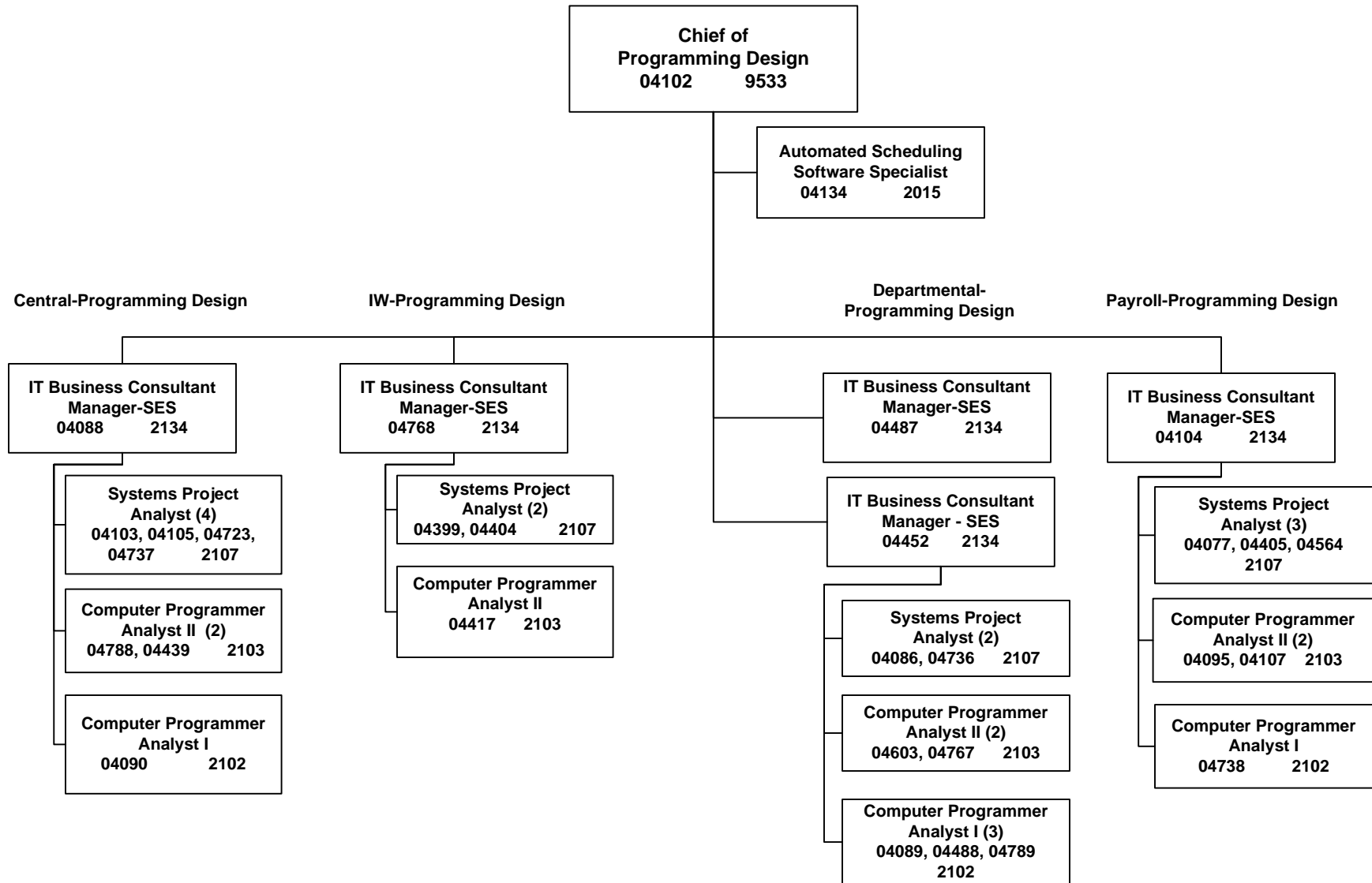
**Total FTE: 12**

FTE not Included in this Section  
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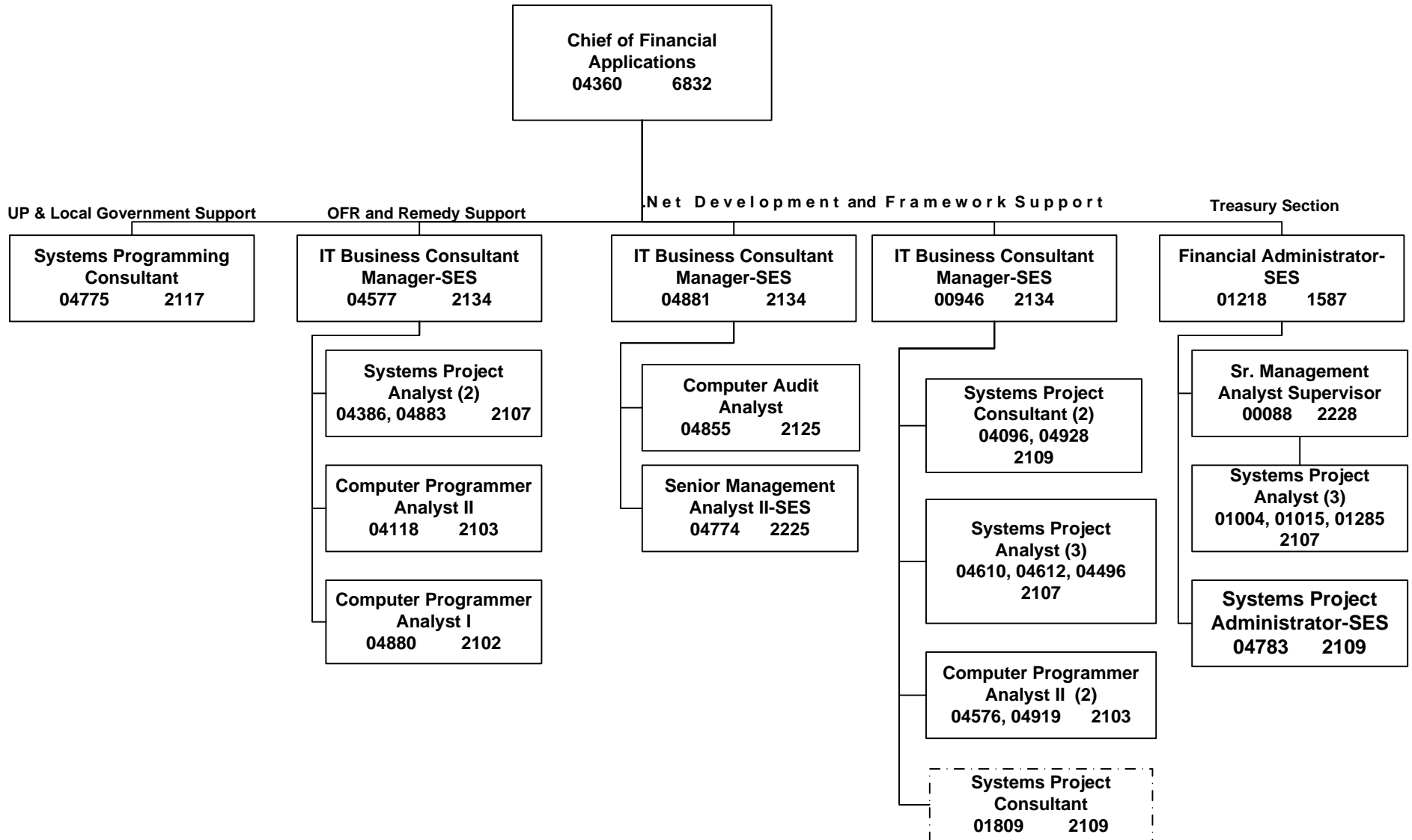
**Department of Financial Services  
Division of Information Systems  
Bureau of Accounting Systems Design**



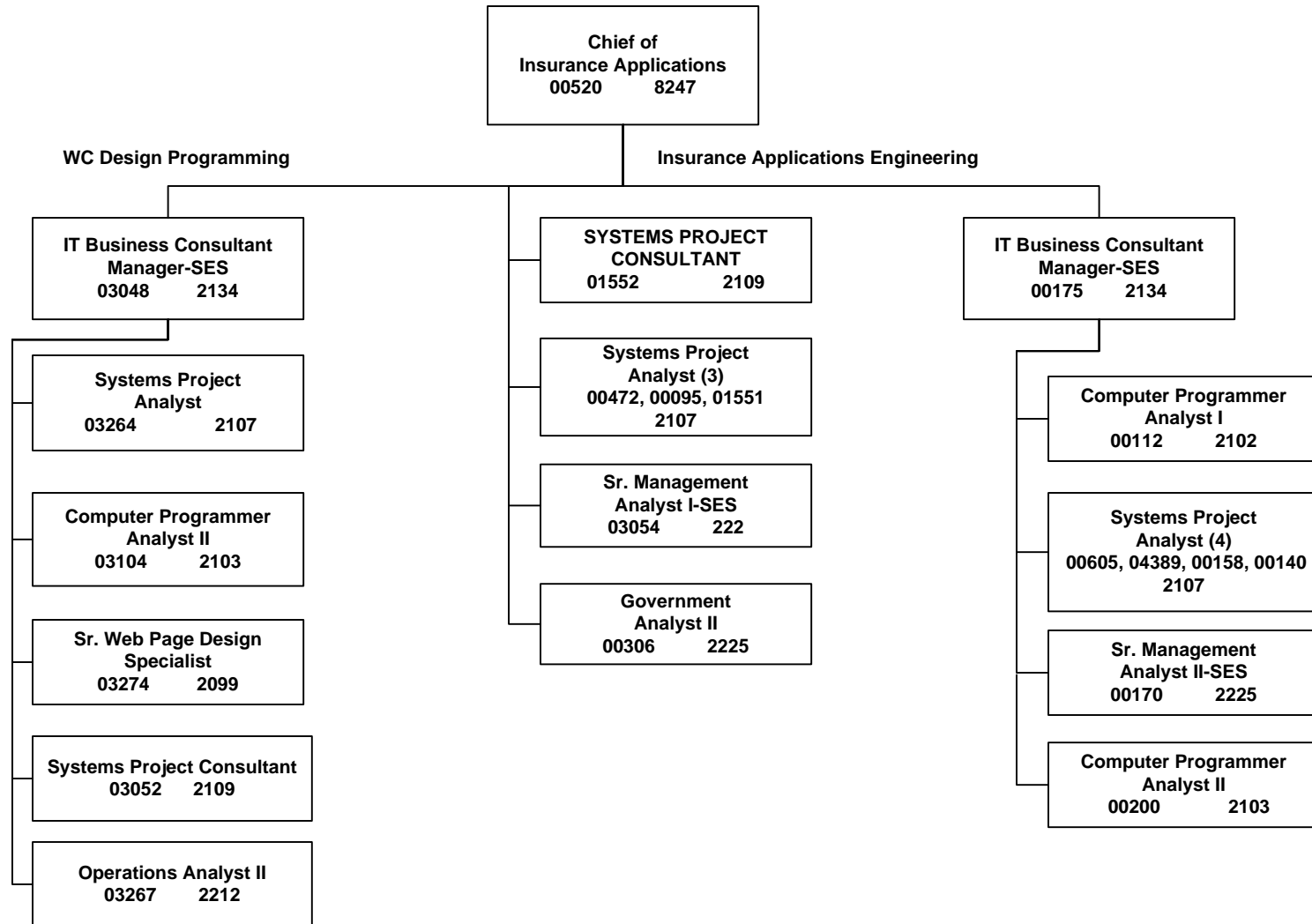
**Department of Financial Services  
Division of Information Systems  
Bureau of Programming Design**



**Department of Financial Services  
Division of Information Systems  
Bureau of Financial Applications**

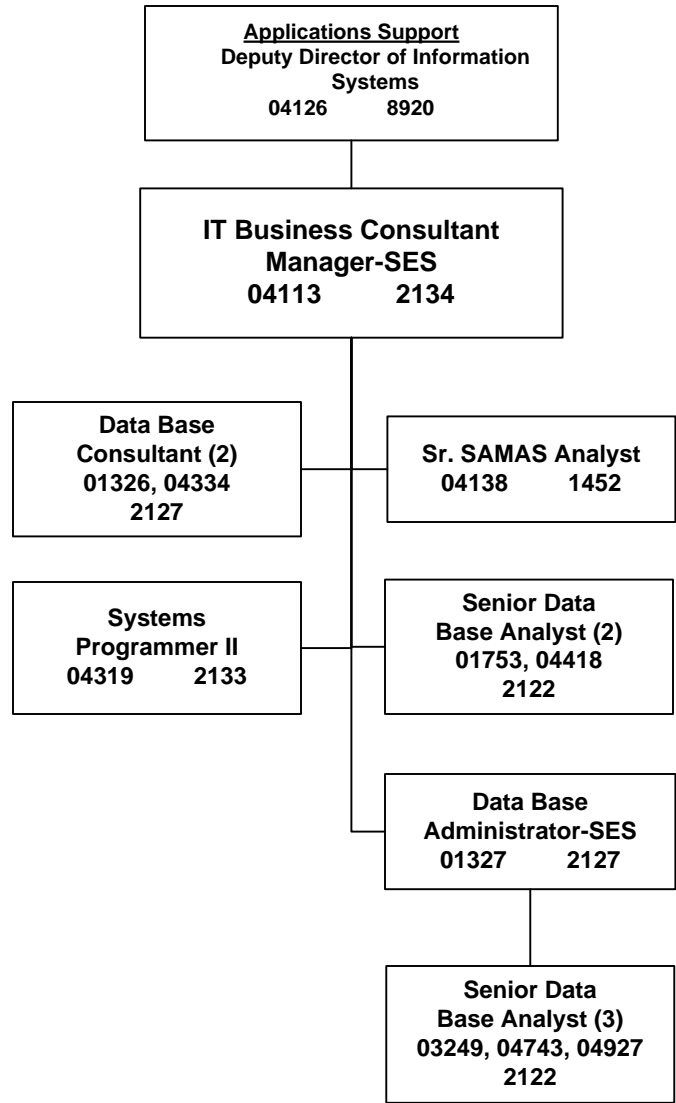


**Department of Financial Services  
Division of Information Systems  
Bureau of Insurance Applications**



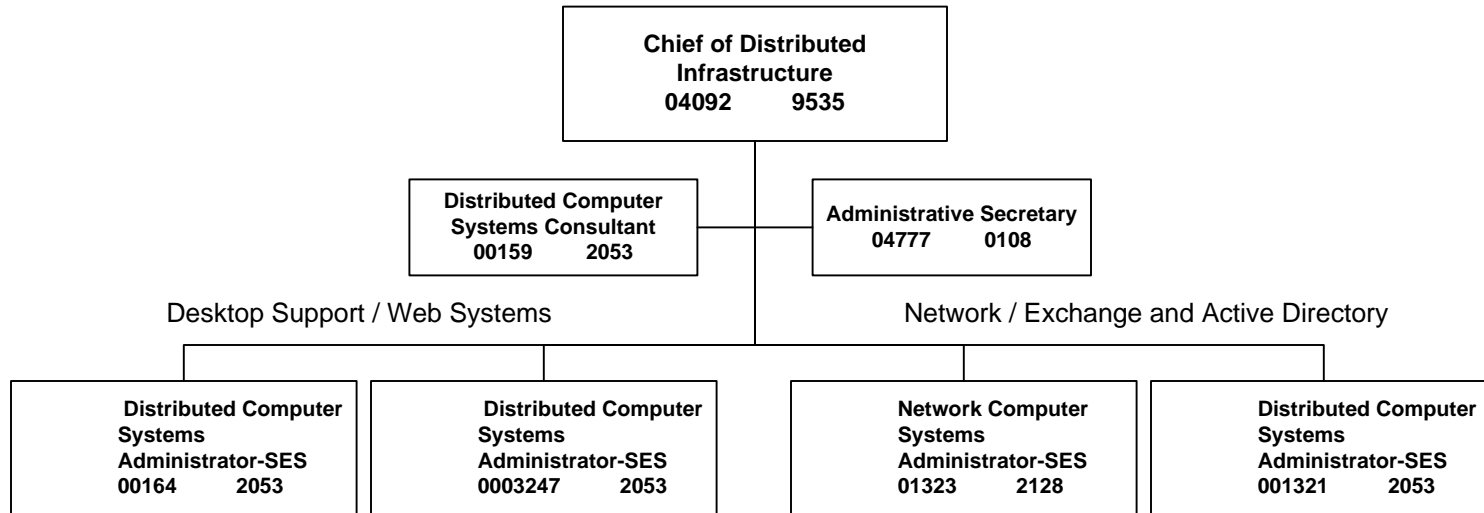
**Department of Financial Services  
Division of Information Systems  
Standards & Data Management**

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**Department of Financial Services  
Division of Information Systems  
Bureau of Distributed Infrastructure**

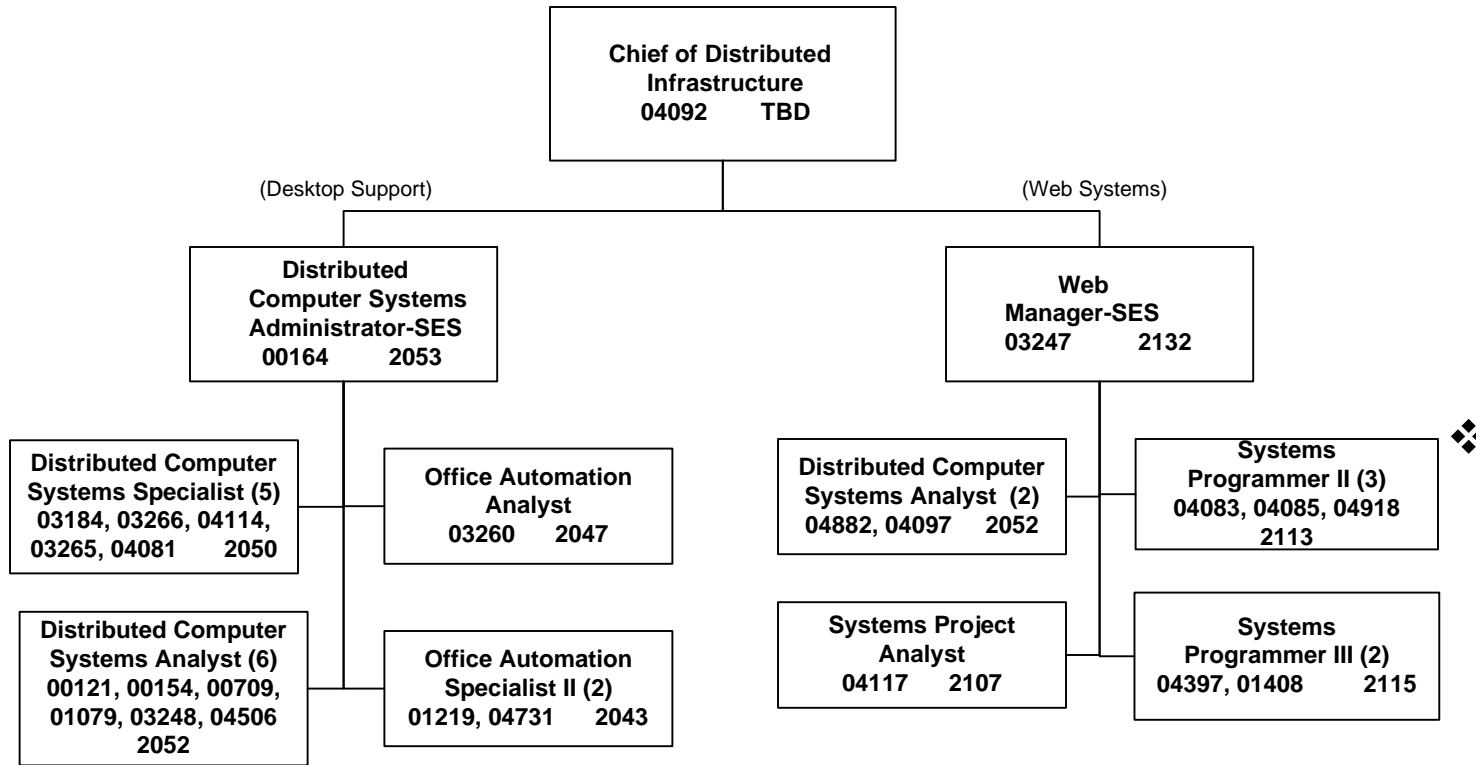
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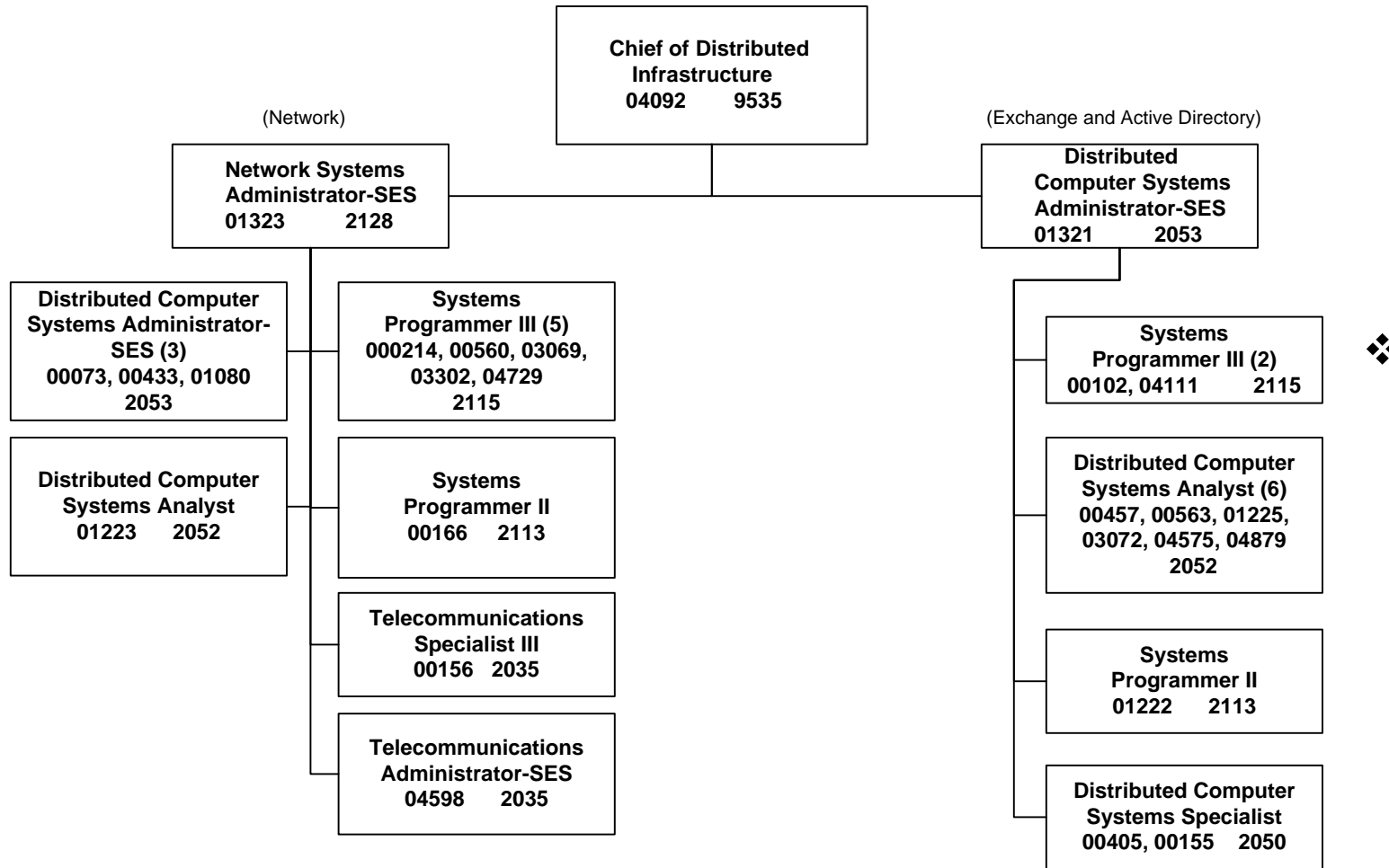


**Department of Financial Services**  
**Division of Information Systems**  
**Bureau of Distributed Infrastructure - Desktop Support / Web Systems**

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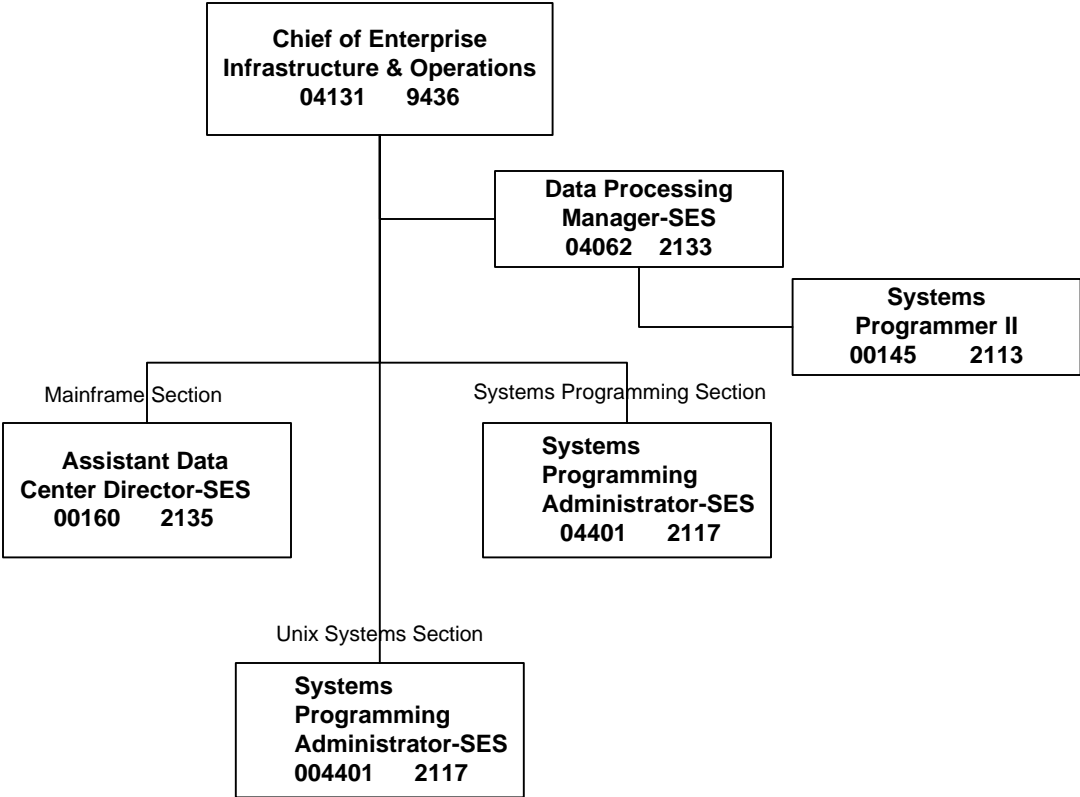


**Department of Financial Services  
Division of Information Systems  
Bureau of Distributed Infrastructure - Network / Exchange and Active Directory**

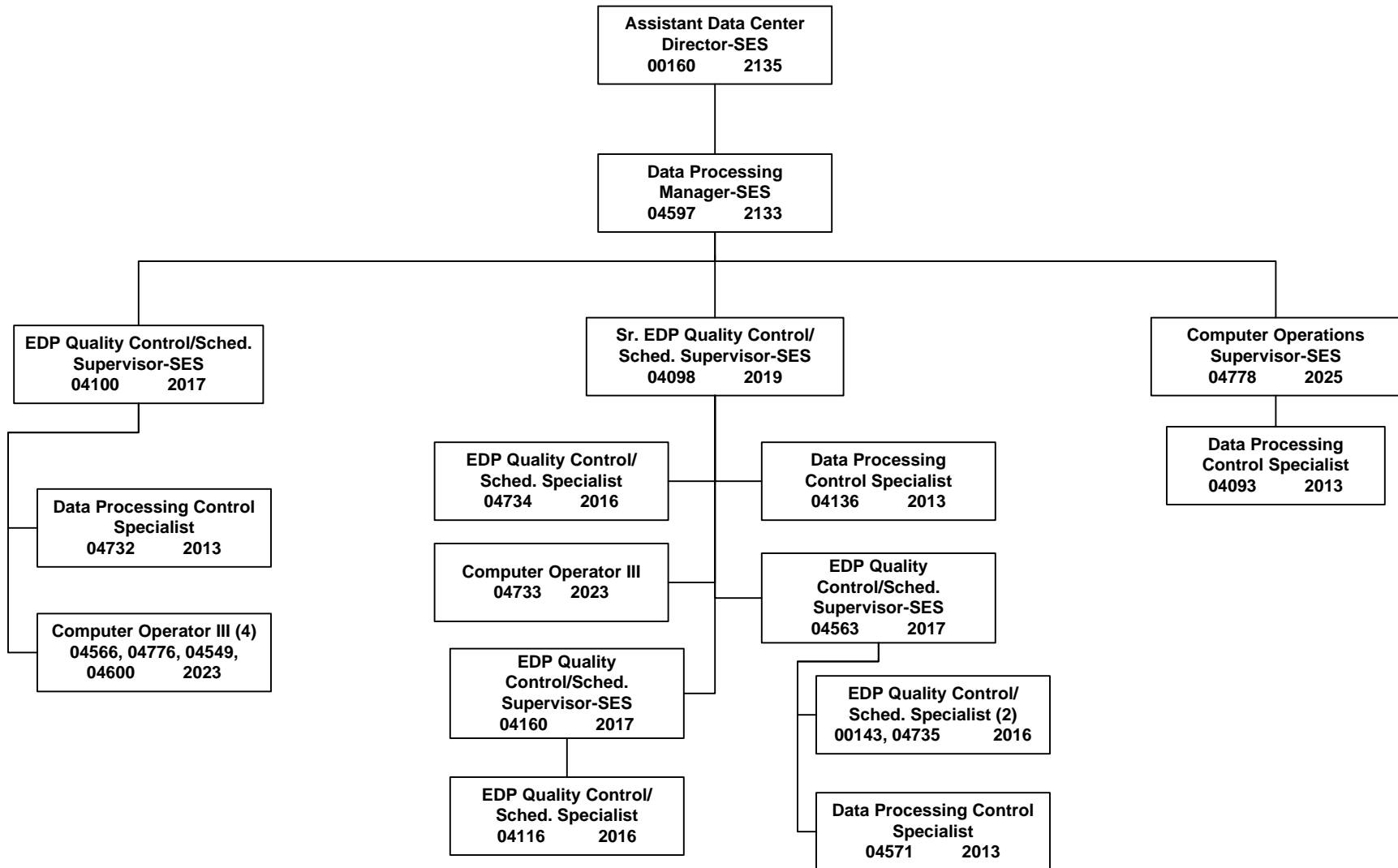


**Department of Financial Services  
 Division of Information Systems  
 Bureau of Enterprise Infrastructure and Operations**

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**Department of Financial Services  
Division of Information Systems  
Bureau of Enterprise Infrastructure and Operations - Operations**

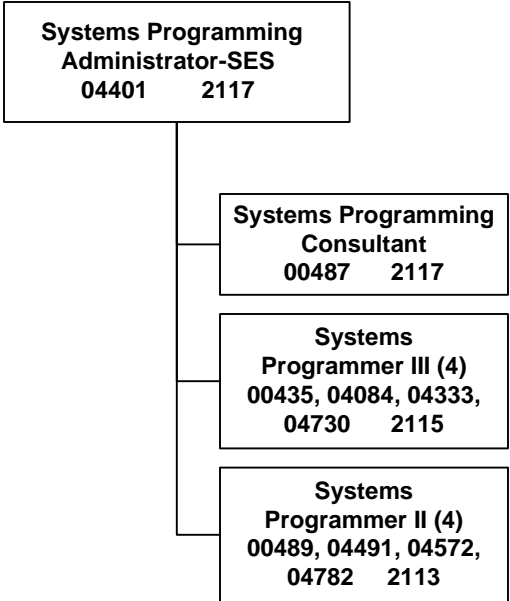


Total FTE: 20

FTE not Included in this Section  
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 Italic = Organizationally Assigned. Reports elsewhere administratively. FTE counted.

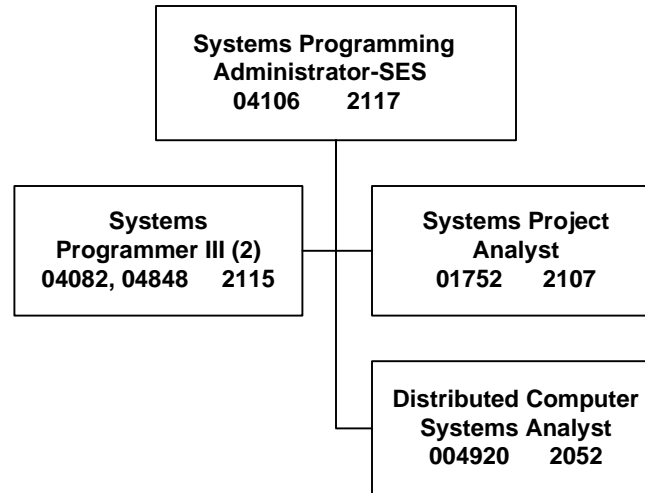
**Department of Financial Services  
Division of Information Systems  
Bureau of Enterprise Infrastructure and Operations - Mainframe Systems**

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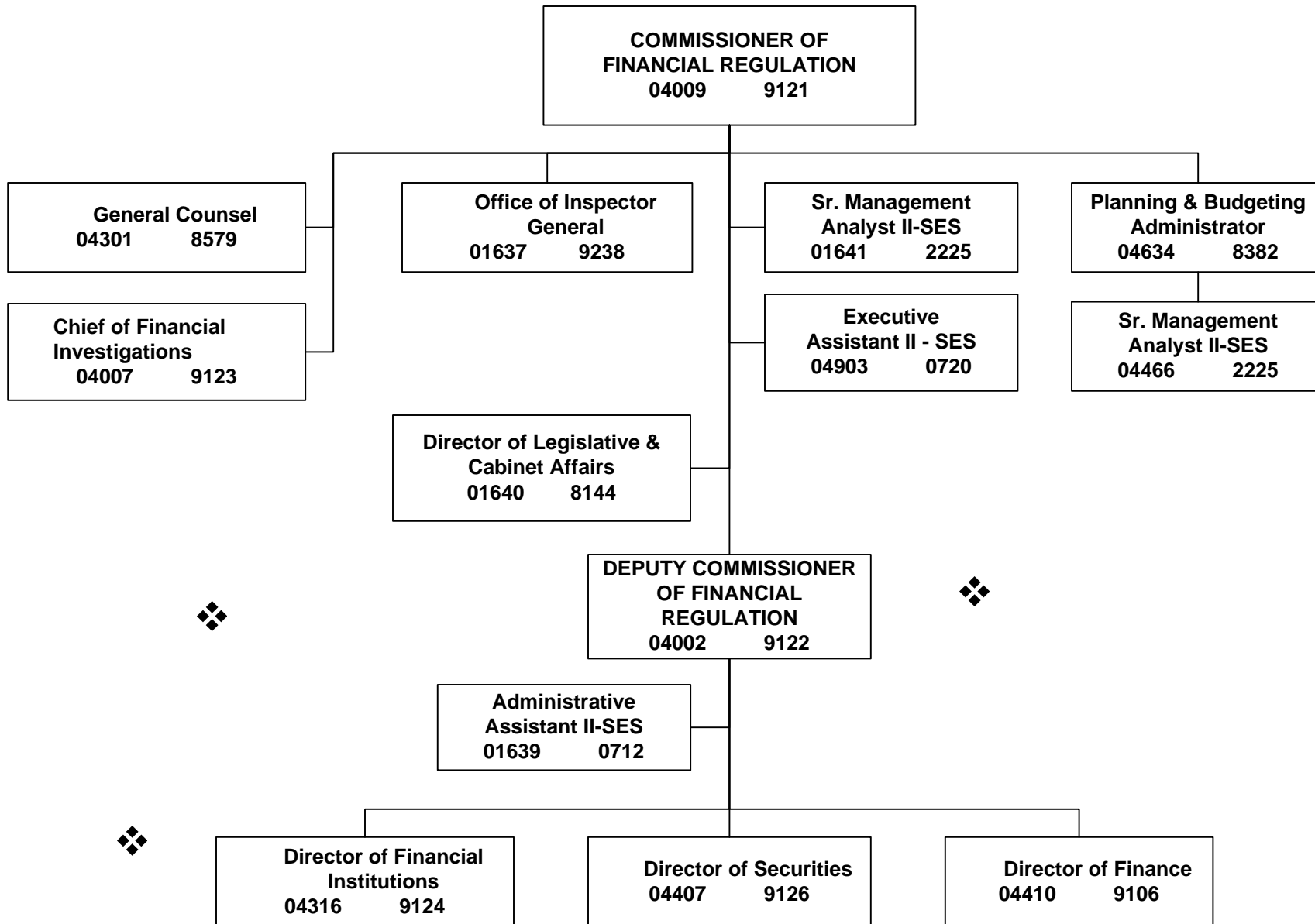


**Department of Financial Services  
Division of Information Systems  
Bureau of Enterprise Infrastructure and Operations - Unix Systems**

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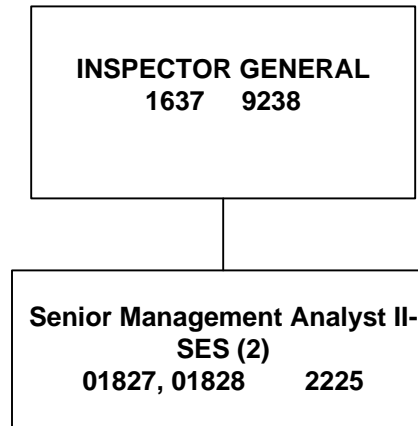


**Financial Services Commission  
Office of Financial Regulation  
Office of the Commissioner**



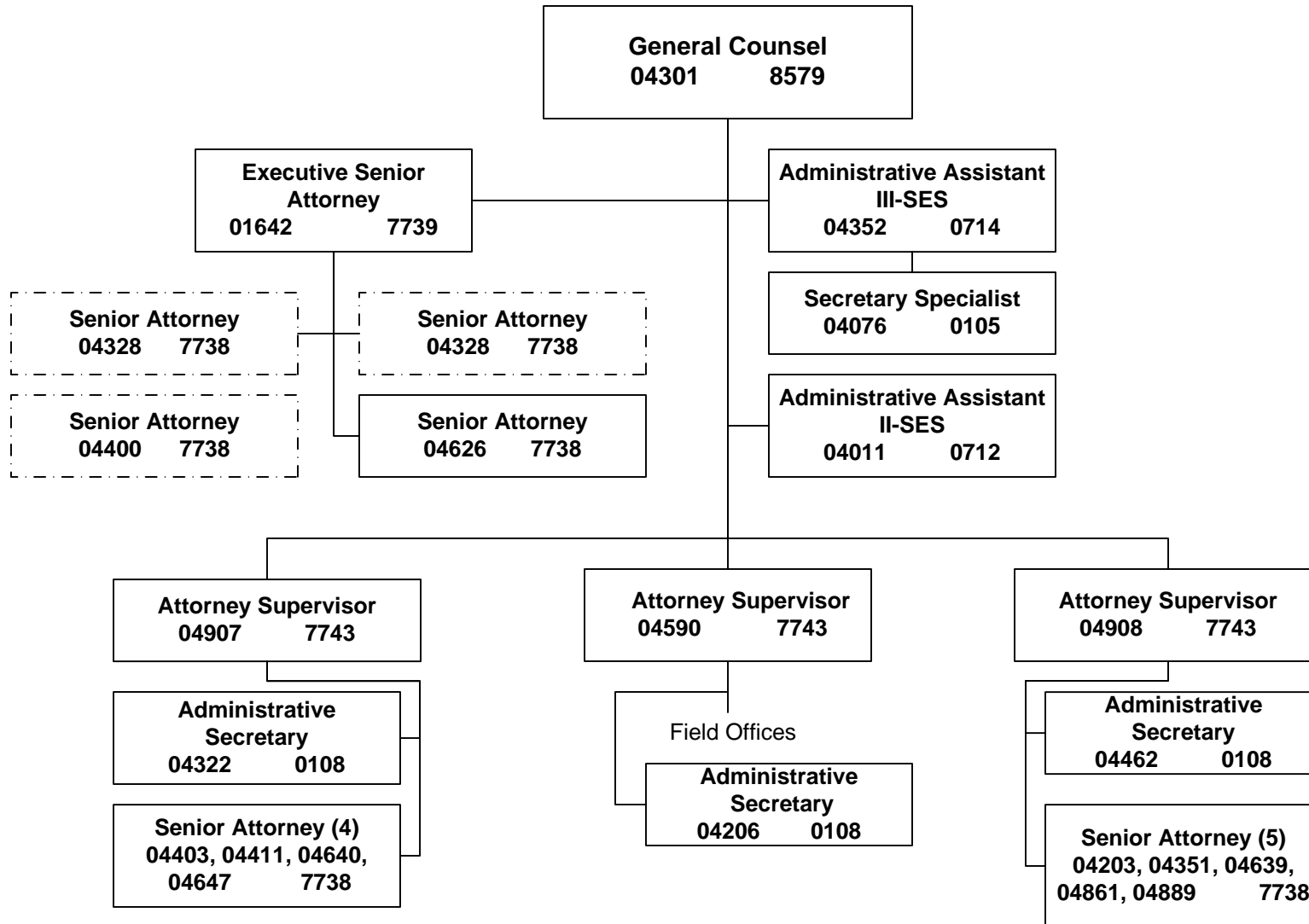
**Financial Services Commission  
Office of Financial Regulation  
Office of the Inspector General**

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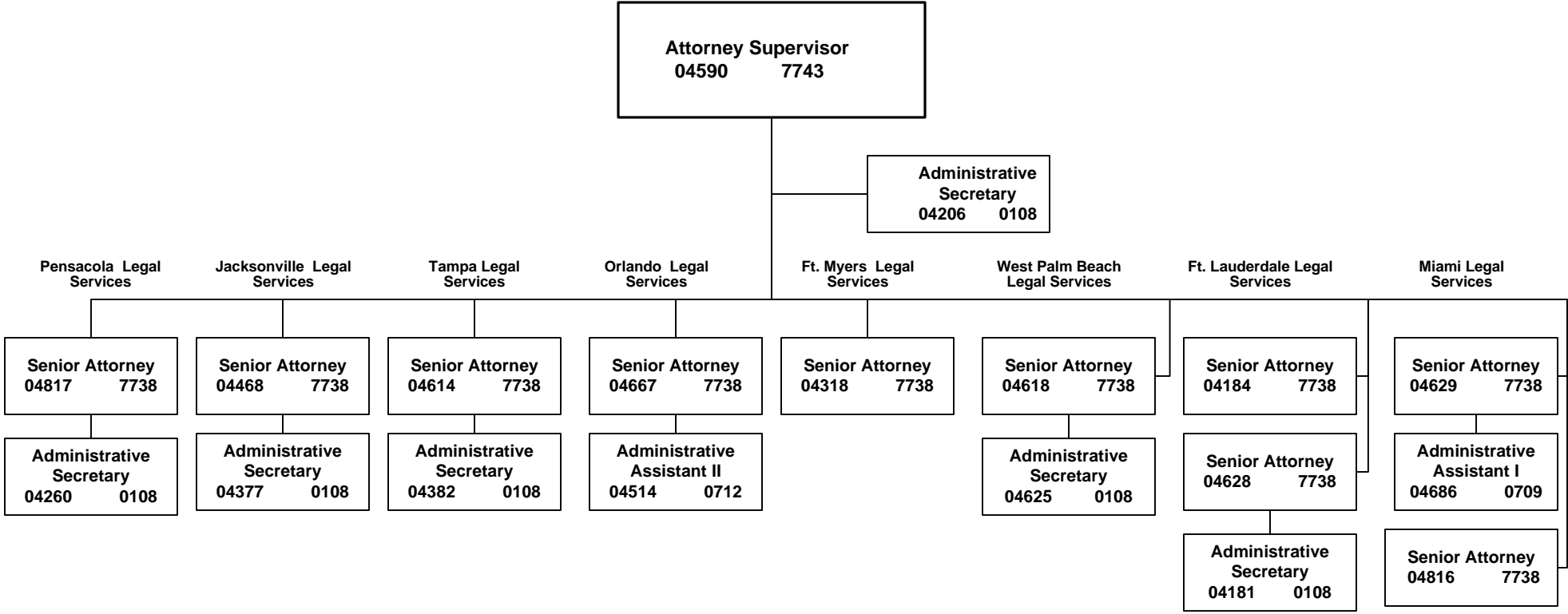




**Financial Services Commission  
Office of Financial Regulation  
Office of the General Counsel**

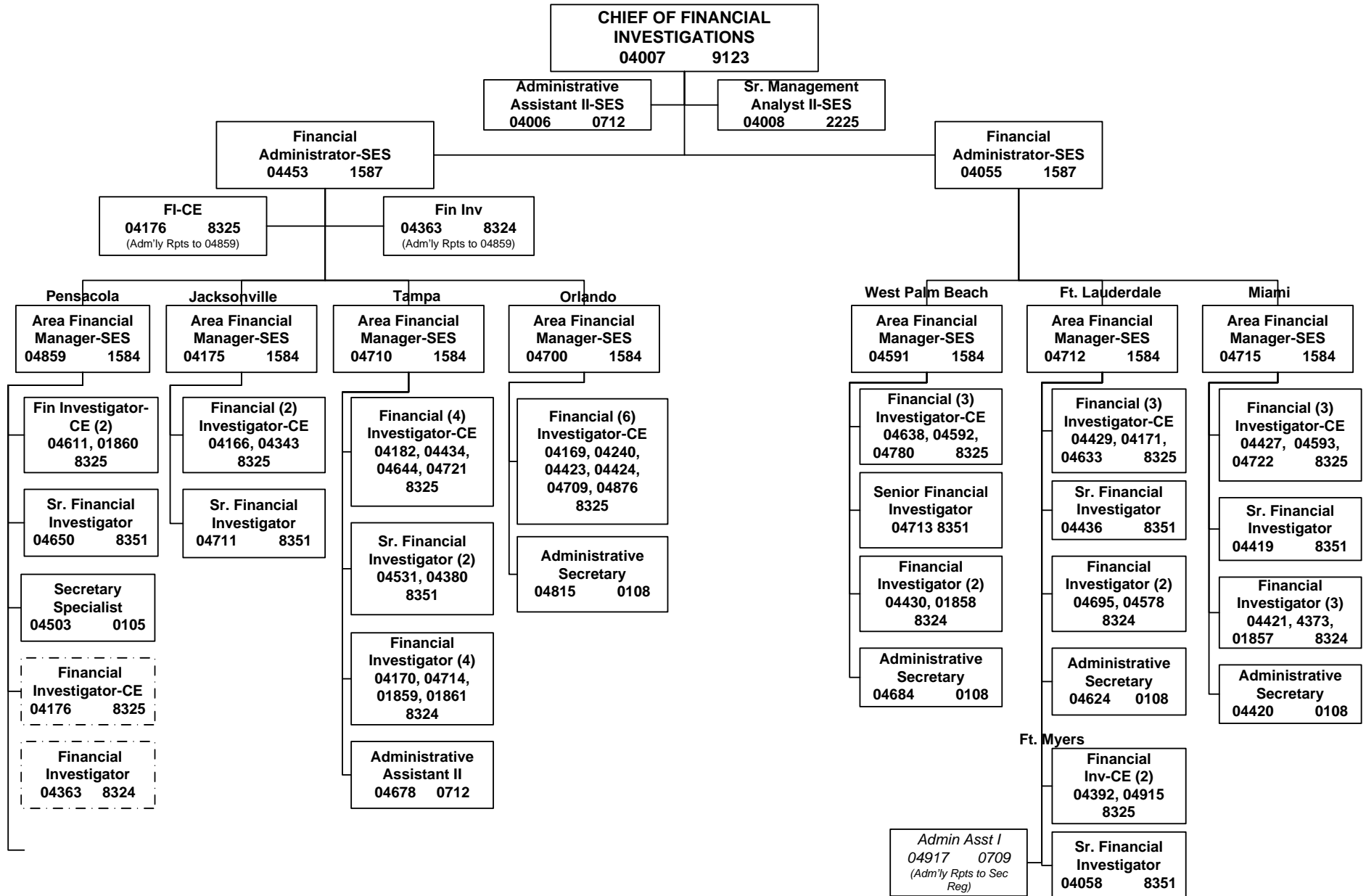


**Financial Services Commission  
Office of Financial Regulation  
Legal Services Office**



**Total FTE: 17**  
 FTE not Included in this Section  
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 Italic = Organizationally Assigned. Reports elsewhere administratively. FTE counted.

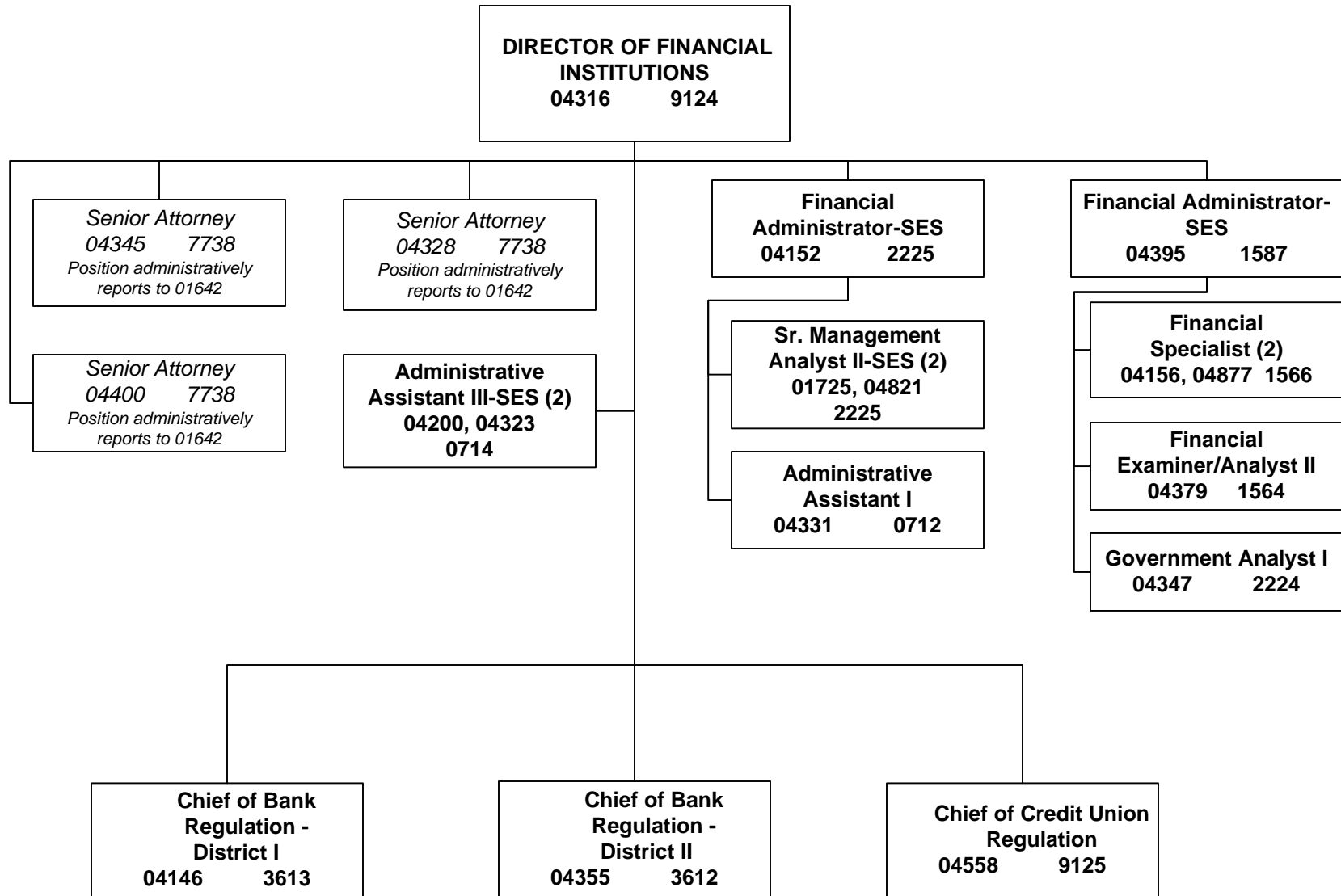
# Financial Services Commission Office of Financial Regulation Bureau of Financial Investigations



Office of the Chief FTE: 7  
Field FTE: 58  
Total Bureau FTE: 65

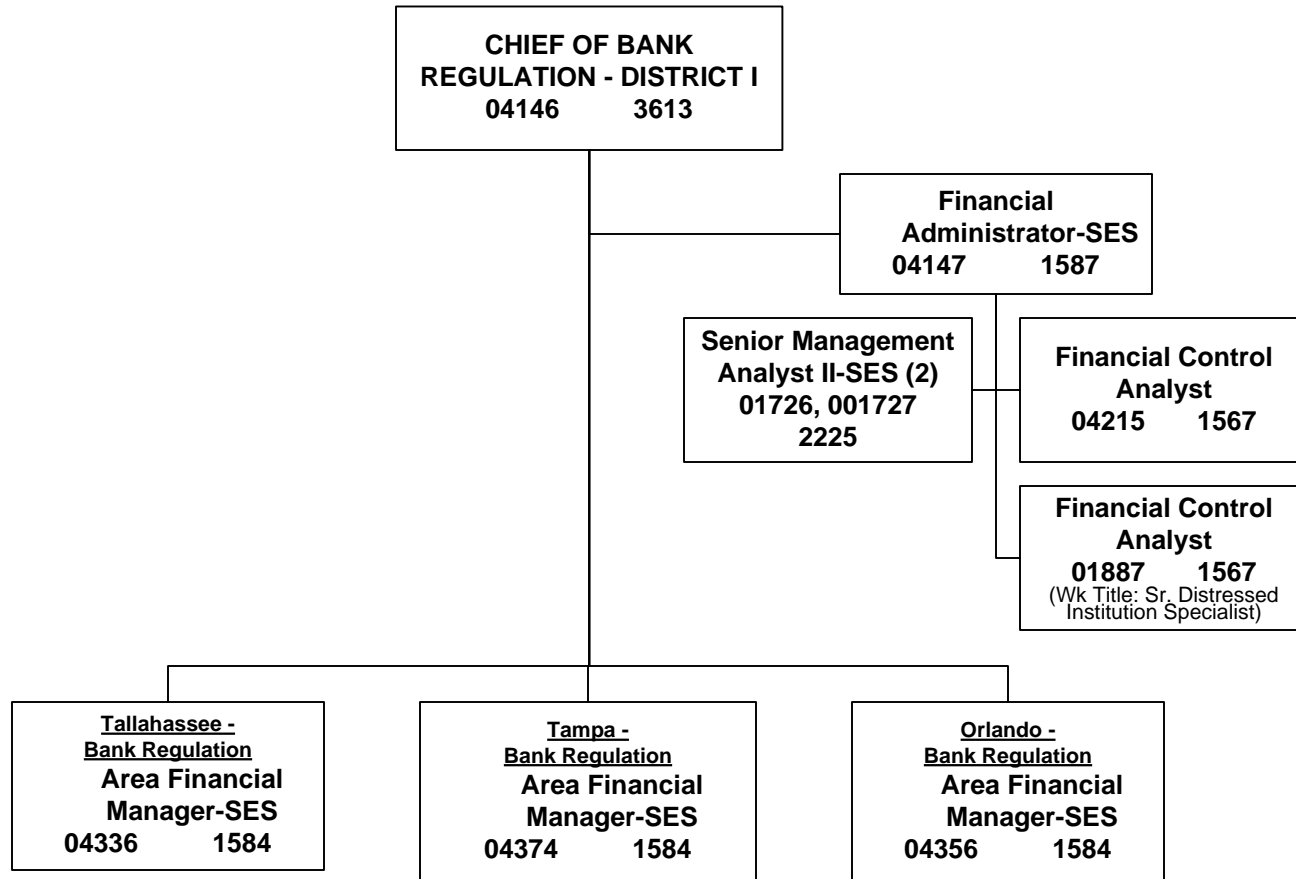
FTE not Included in this Section  
Dotted Line = Administratively Assigned. FTE not counted.  
Italic = Organizationally Assigned. Reports elsewhere administratively. FTE counted.

**Financial Services Commission  
Office of Financial Regulation  
Division of Financial Institutions  
Office of the Director**



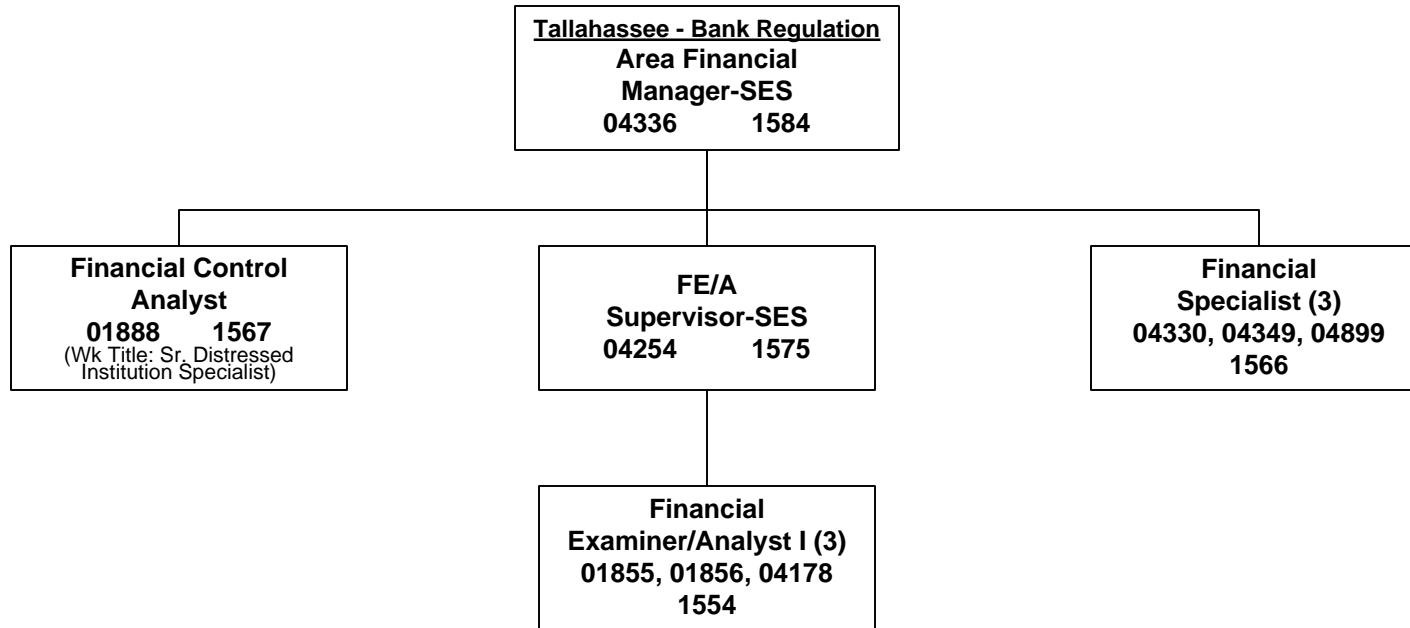
**Financial Services Commission  
Office of Financial Regulation  
Division of Financial Institutions  
Bureau of Bank Regulation - District I**

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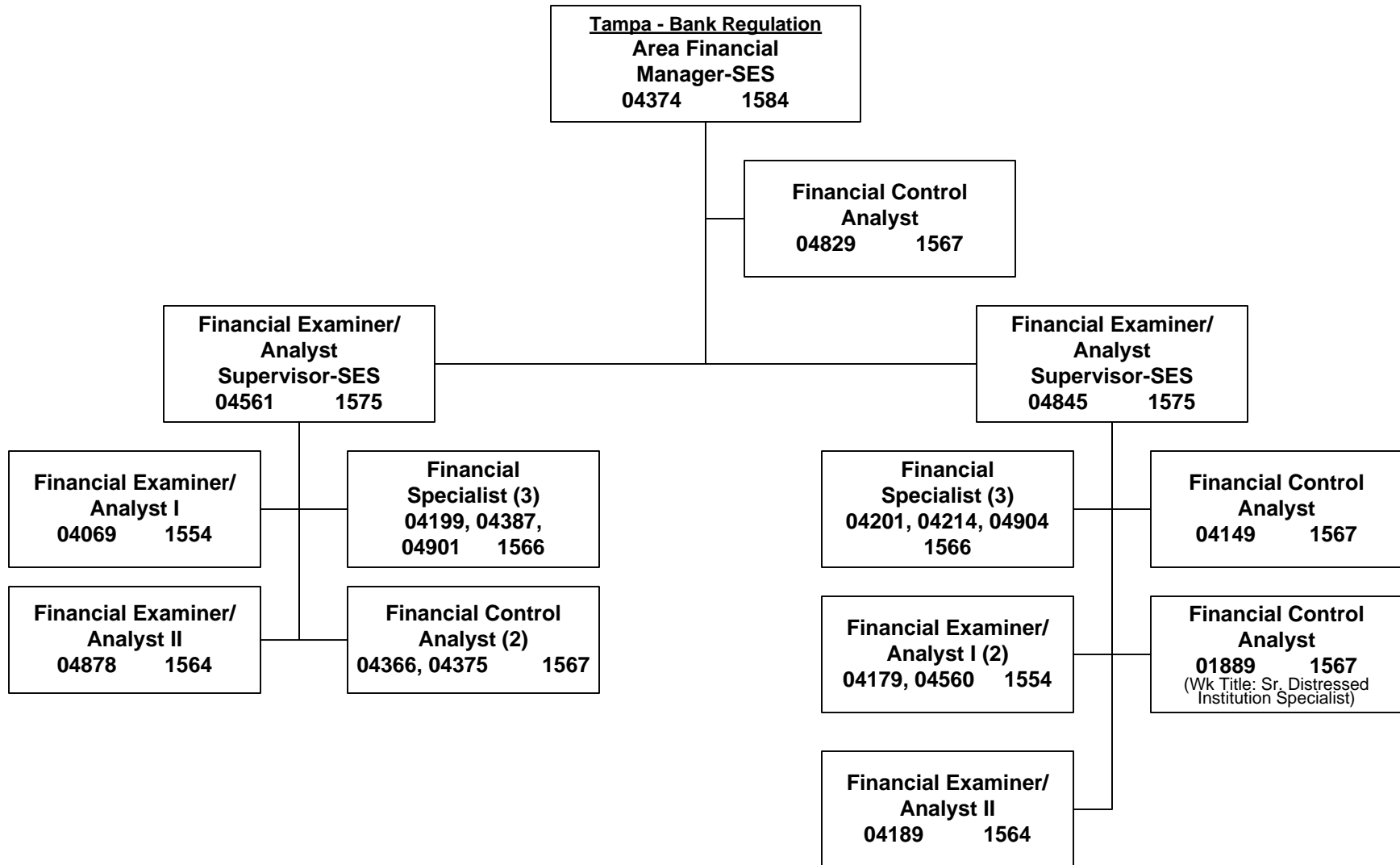


**Financial Services Commission  
Office of Financial Regulation  
Division of Financial Institutions  
Bureau of Bank Regulation - District I**

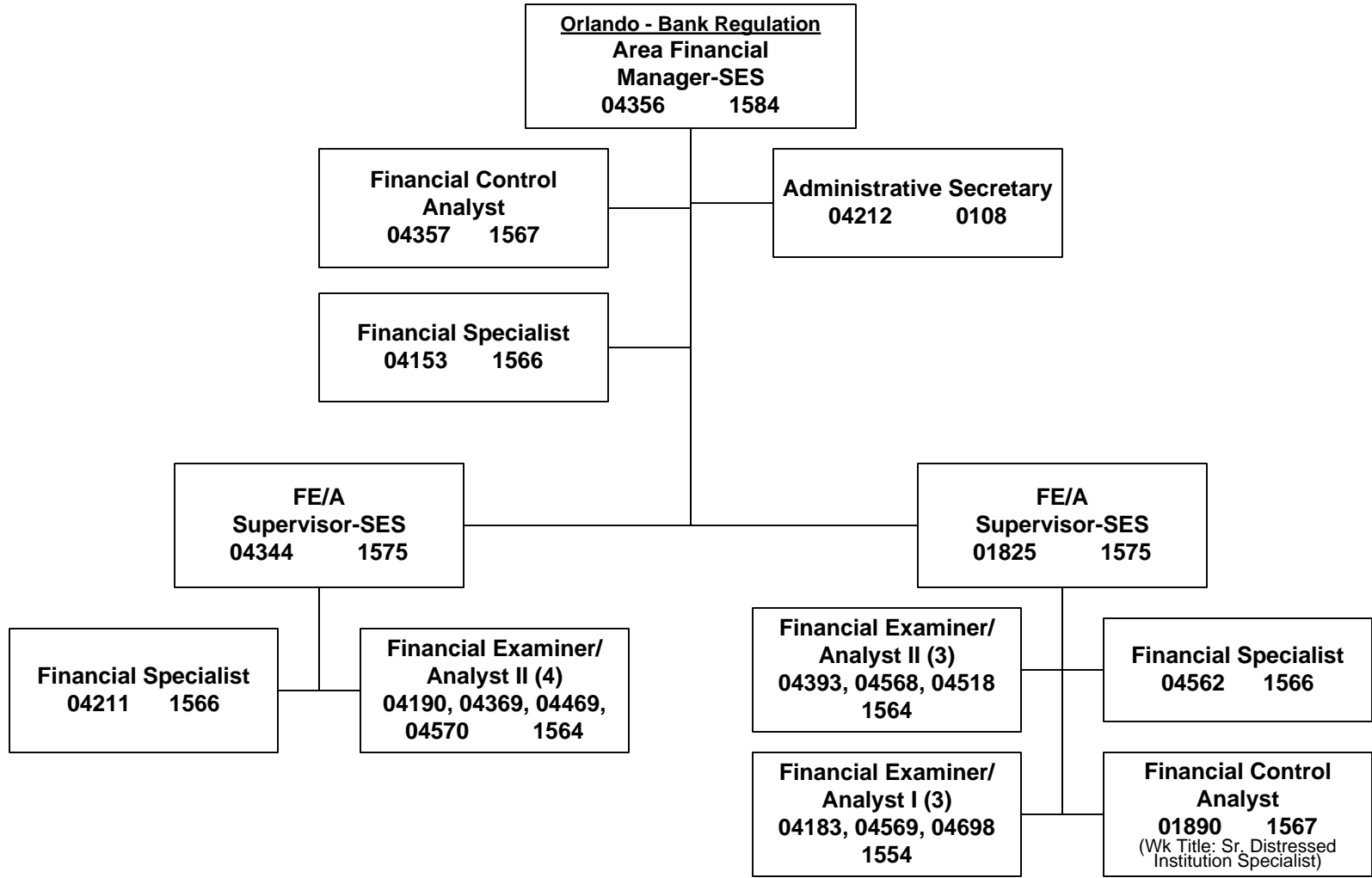
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**Financial Services Commission  
Office of Financial Regulation  
Division of Financial Institutions  
Bureau of Bank Regulation - District I**



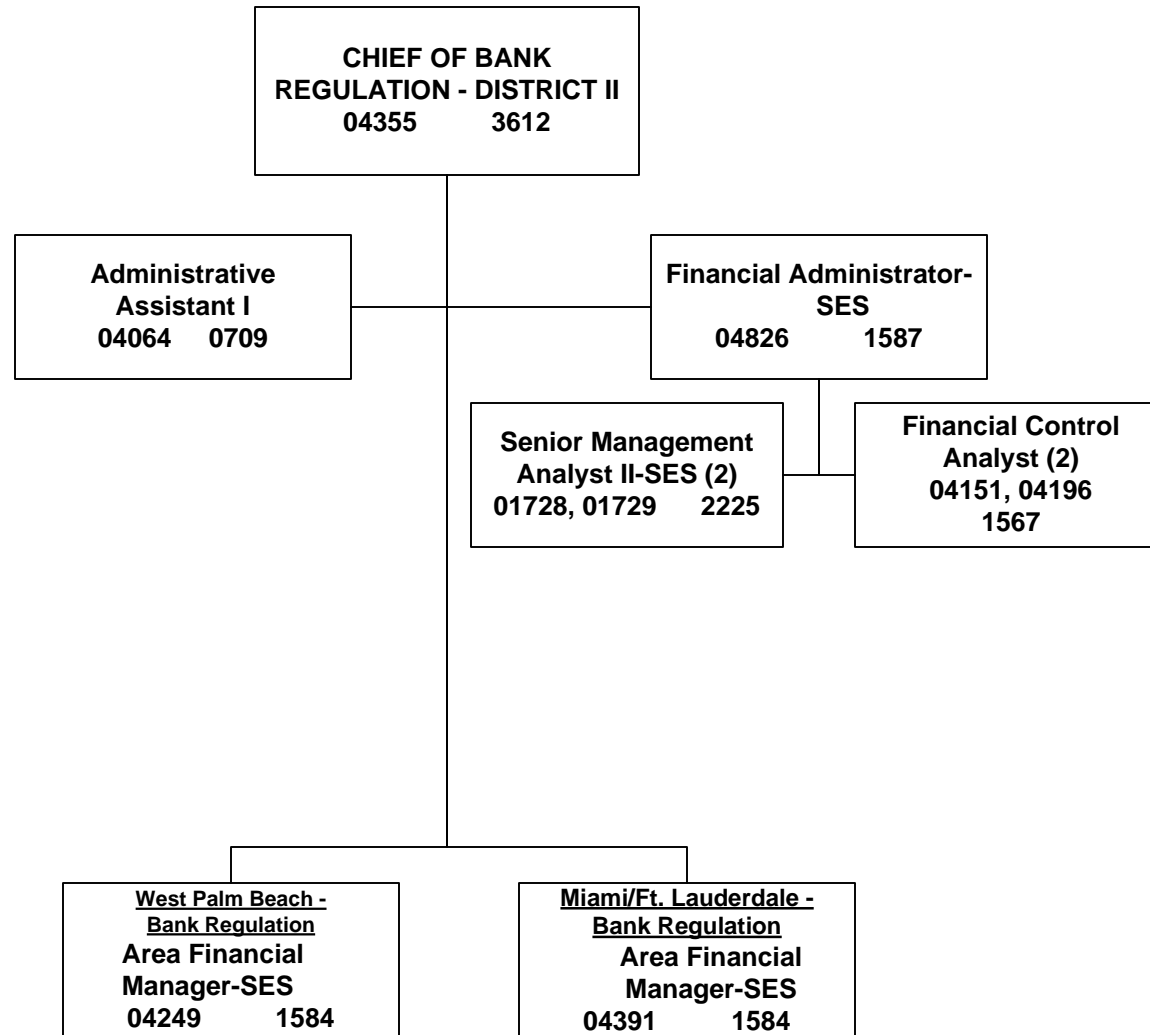
**Financial Services Commission  
Office of Financial Regulation  
Division of Financial Institutions  
Bureau of Bank Regulation - District I**





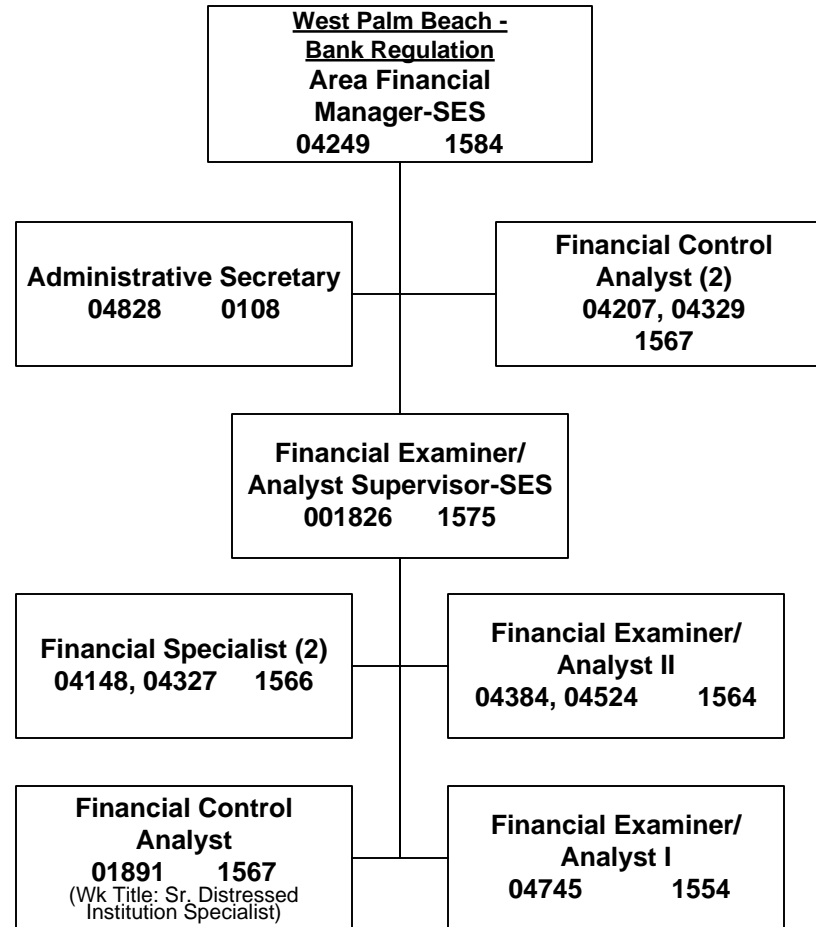
**Financial Services Commission  
Office of Financial Regulation  
Division of Financial Institutions  
Bureau of Bank Regulation - District II**

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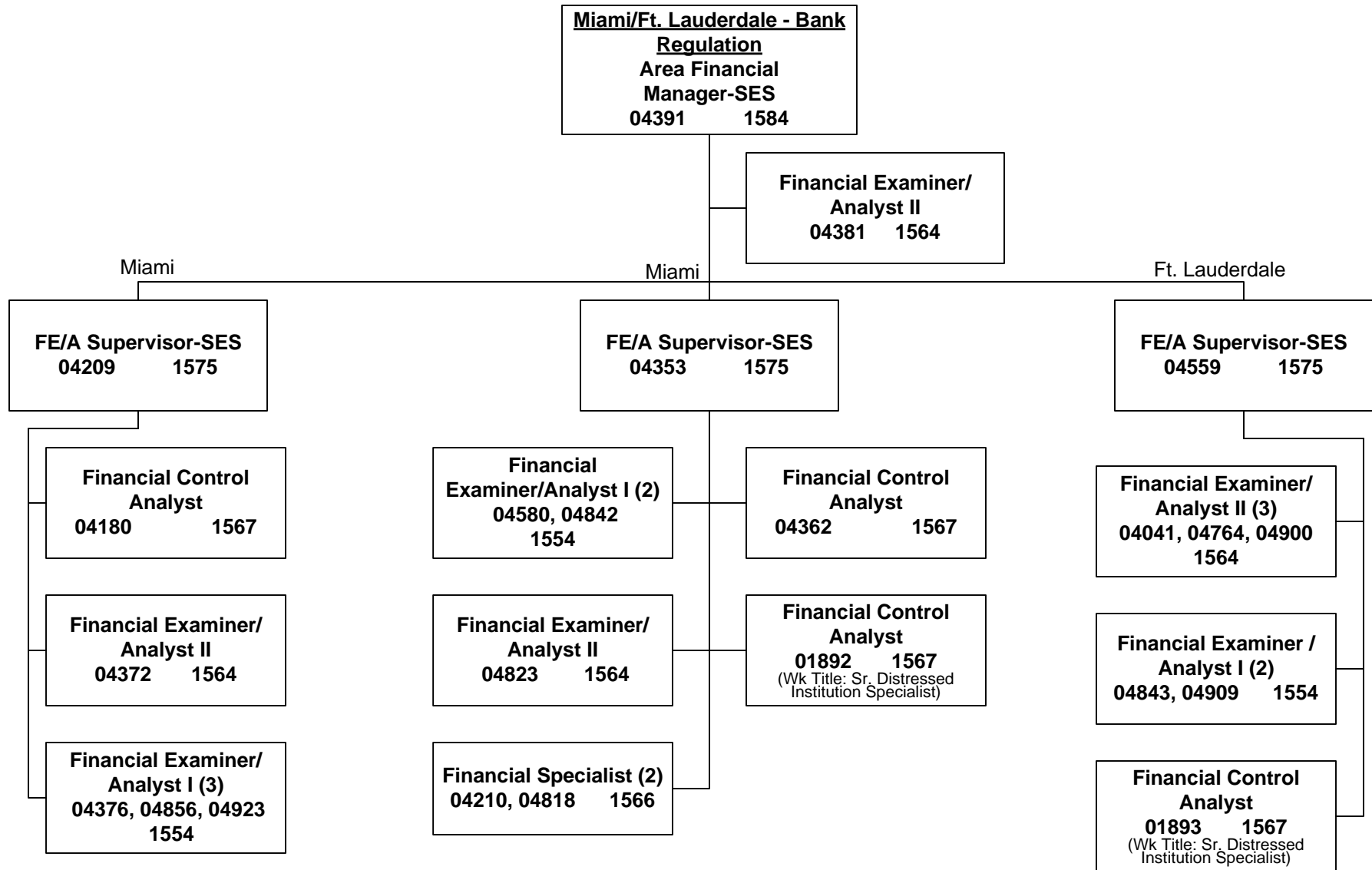


**Financial Services Commission  
Office of Financial Regulation  
Division of Financial Institutions  
Bureau of Bank Regulation - District II**

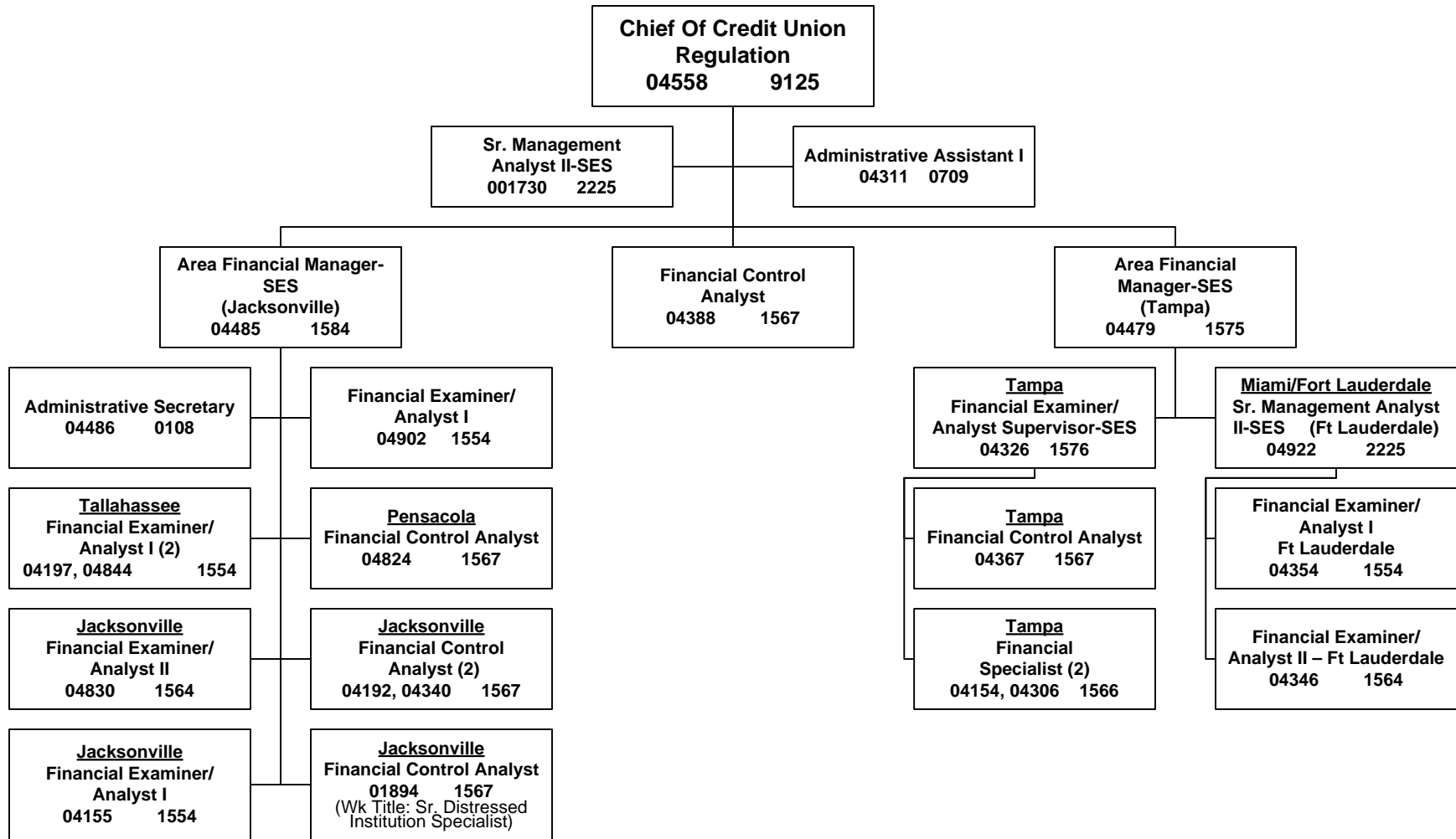
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**Financial Services Commission**  
**Office of Financial Regulation**  
**Division of Financial Institutions**  
**Bureau of Bank Regulation - District II**

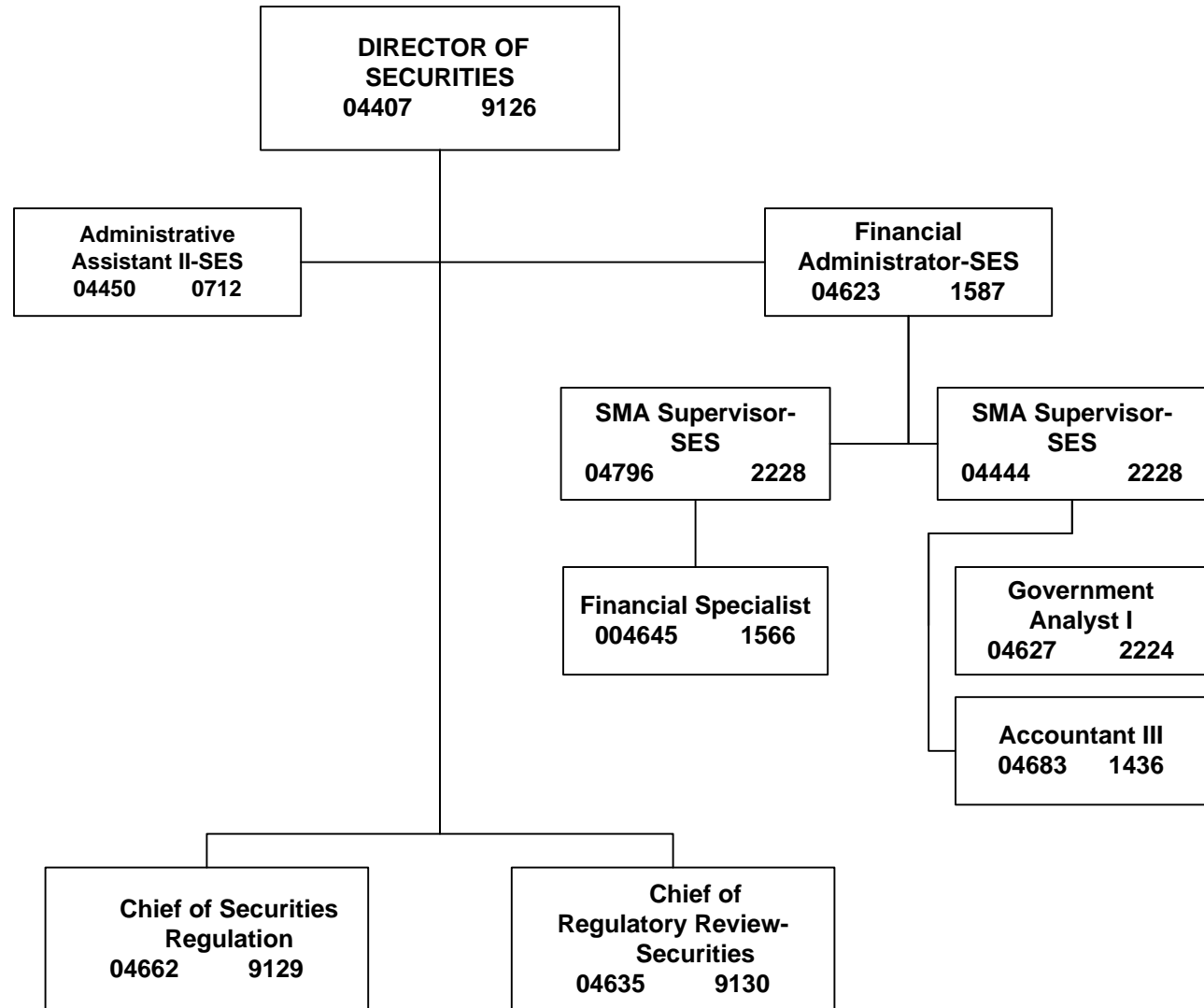


**Financial Services Commission  
Office of Financial Regulation  
Division of Financial Institutions  
Bureau of Credit Union Regulation**

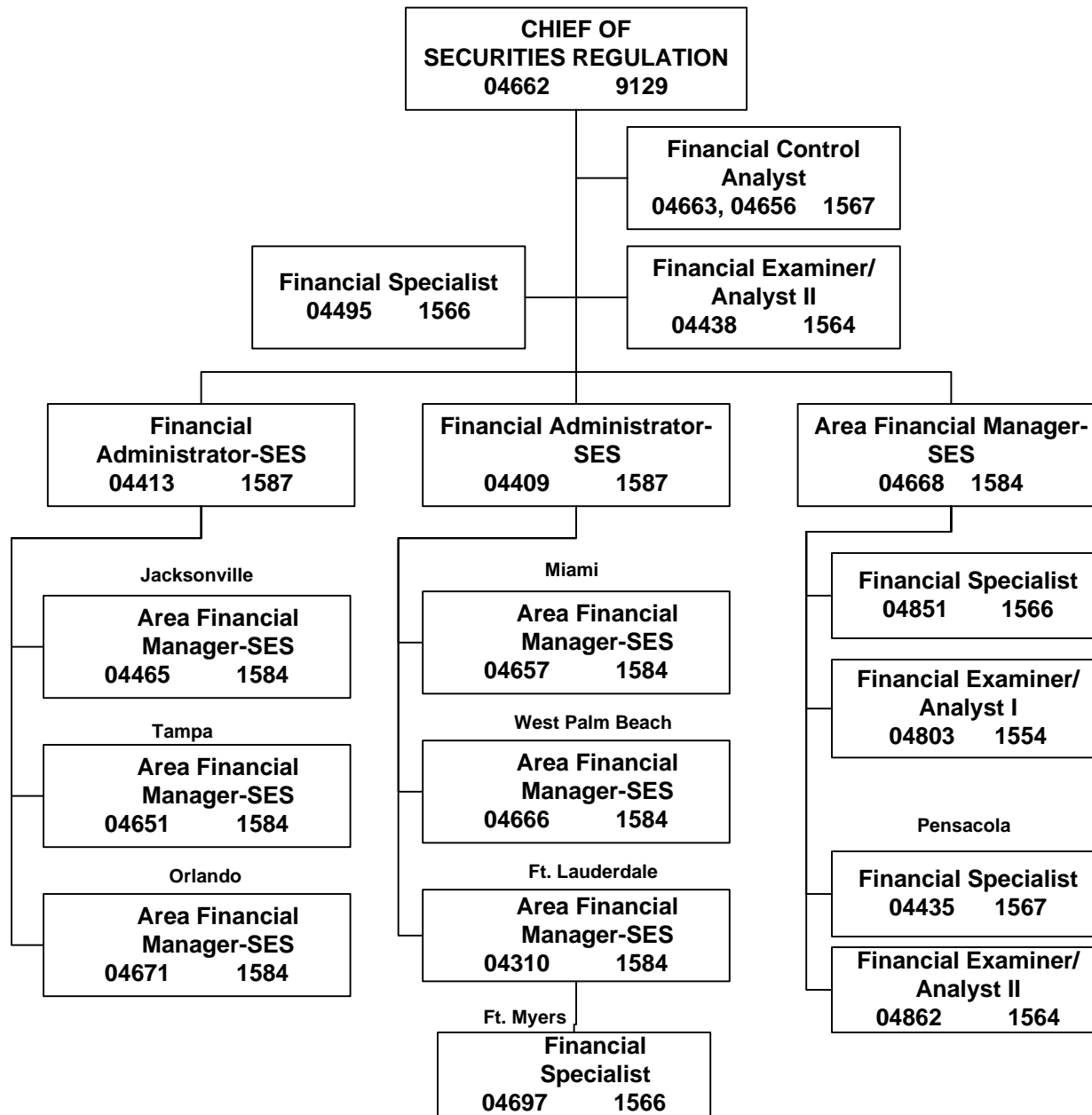


**Financial Services Commission  
Office of Financial Regulation  
Division of Securities  
Office of the Director**

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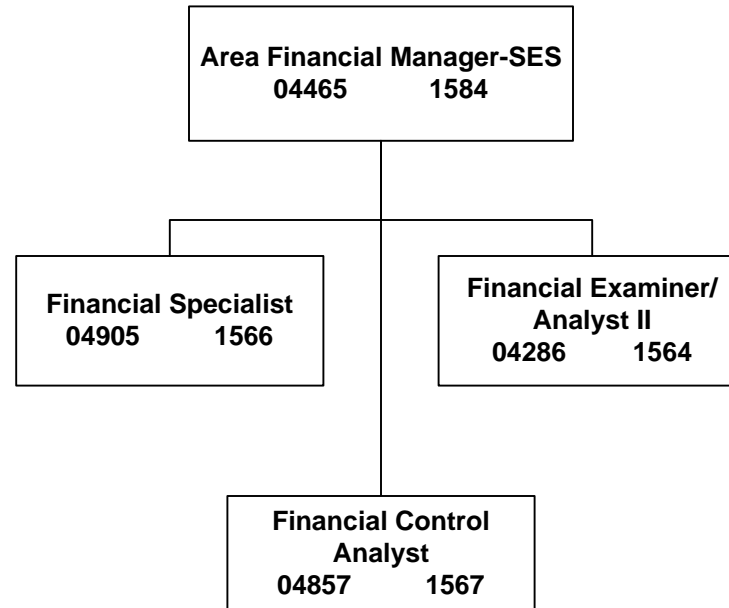


**Financial Services Commission  
Office of Financial Regulation  
Division of Securities  
Bureau of Securities Regulation**



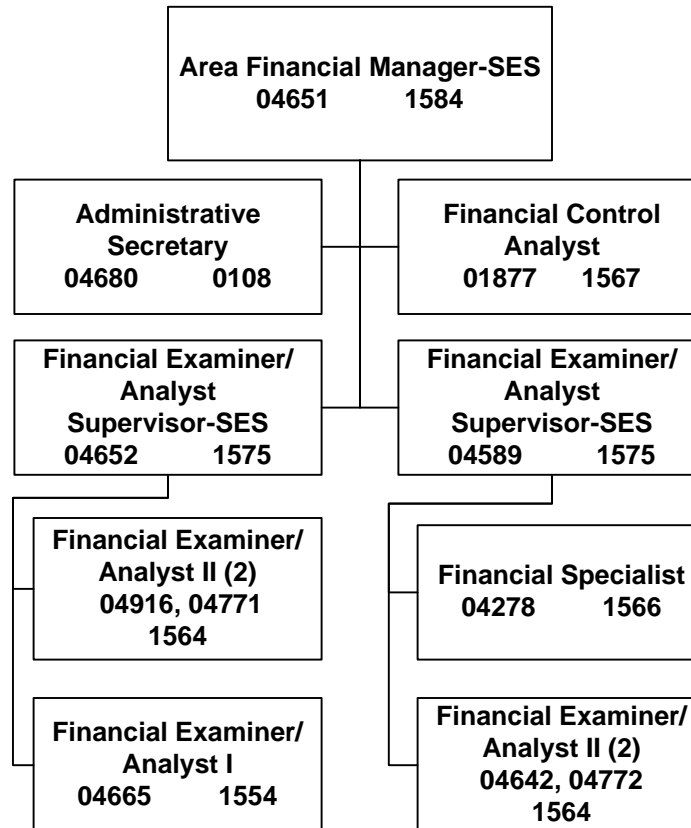
**Financial Services Commission  
Office of Financial Regulation  
Division of Securities  
Bureau of Securities Regulation  
Jacksonville - Securities Regulation**

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**Financial Services Commission  
Office of Financial Regulation  
Division of Securities  
Bureau of Securities Regulation  
Tampa - Securities Regulation**

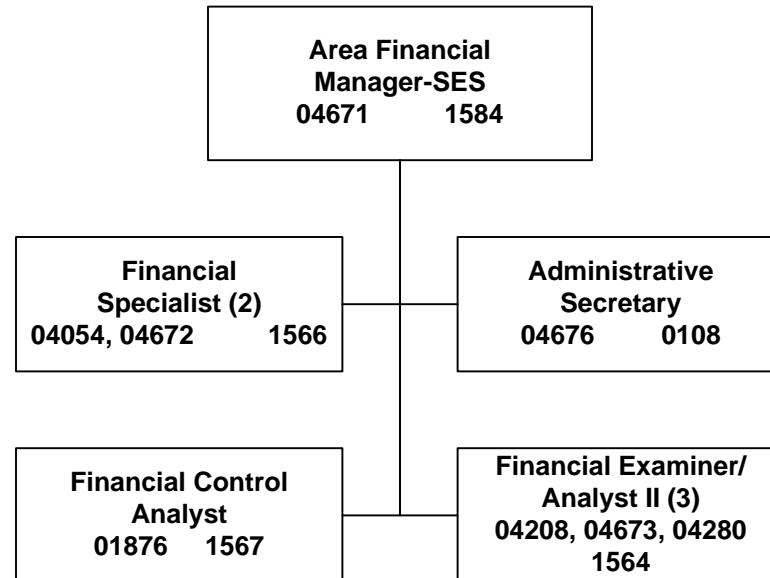
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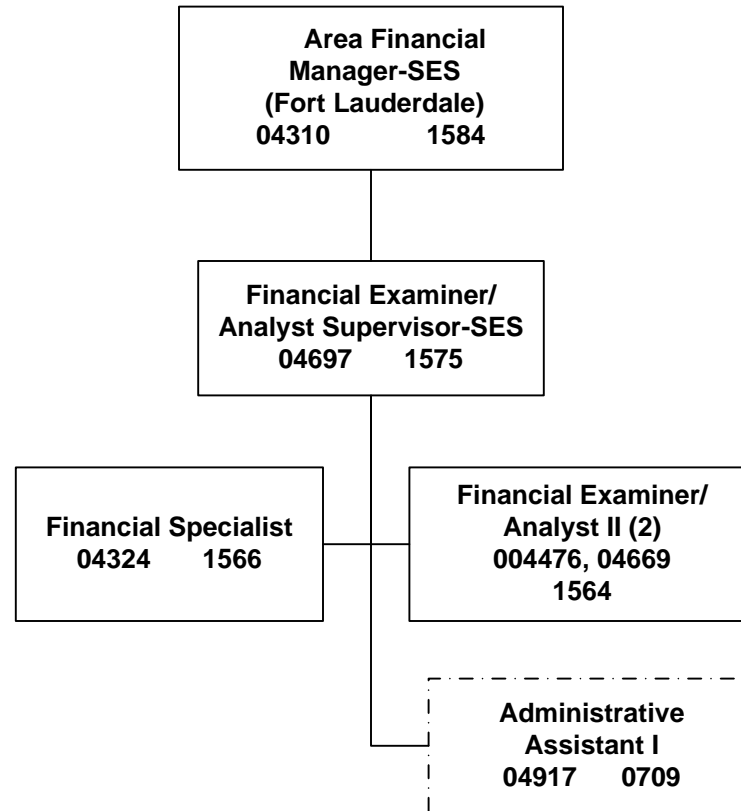
**Financial Services Commission  
Office of Financial Regulation  
Division of Securities  
Bureau of Securities Regulation  
Orlando - Securities Regulation**

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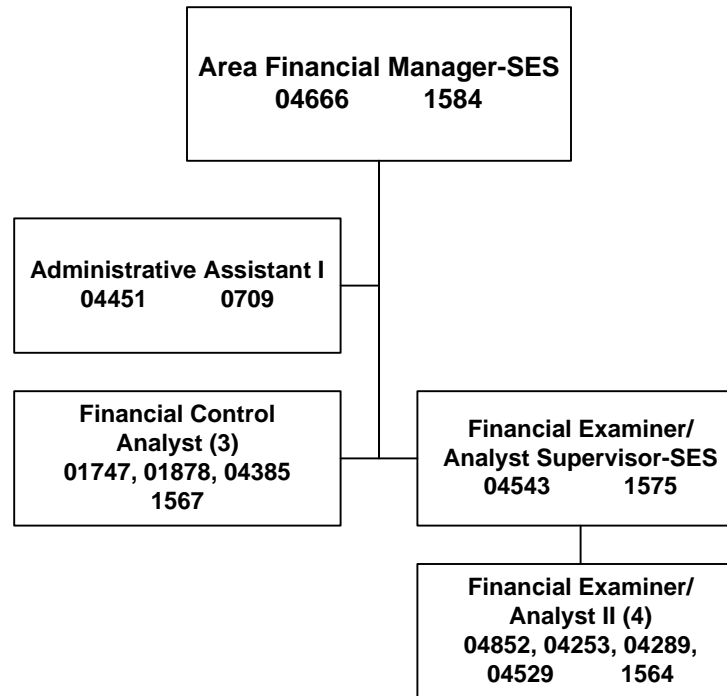
**Financial Services Commission  
Office of Financial Regulation  
Division of Securities  
Bureau of Securities Regulation  
Ft. Myers - Securities Regulation**

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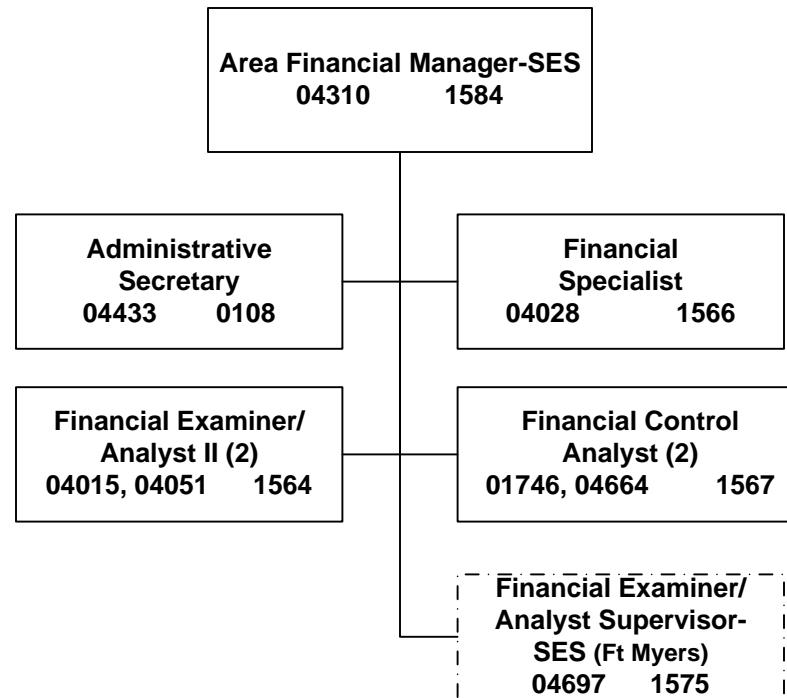
**Financial Services Commission  
Office of Financial Regulation  
Division of Securities  
Bureau of Securities Regulation  
West Palm Beach - Securities Regulation**

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**Financial Services Commission  
Office of Financial Regulation  
Division of Securities  
Bureau of Securities Regulation  
Ft. Lauderdale - Securities Regulation**

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Total FTE: 7

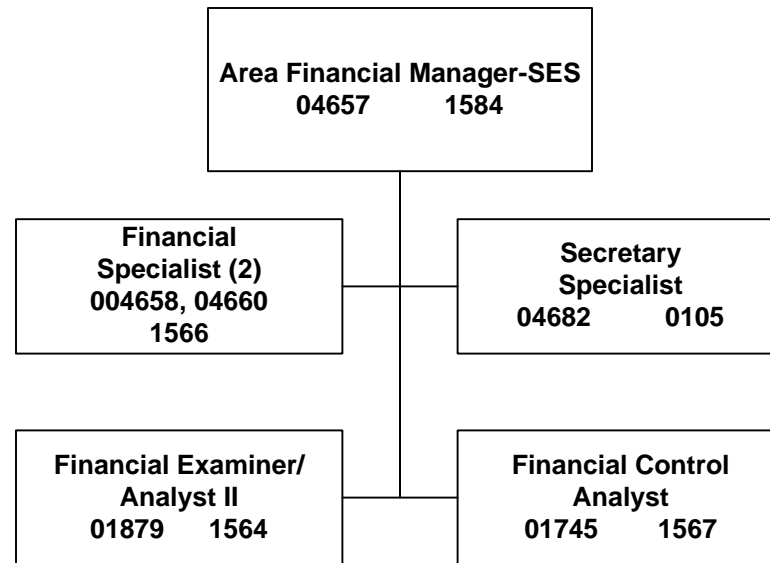
FTE not Included in this Section  
Dotted Line = Administratively Assigned. FTE not counted.  
Italic = Organizationally Assigned. Reports elsewhere administratively. FTE counted.

Eff 07-01-09  
Rev 07-28-09  
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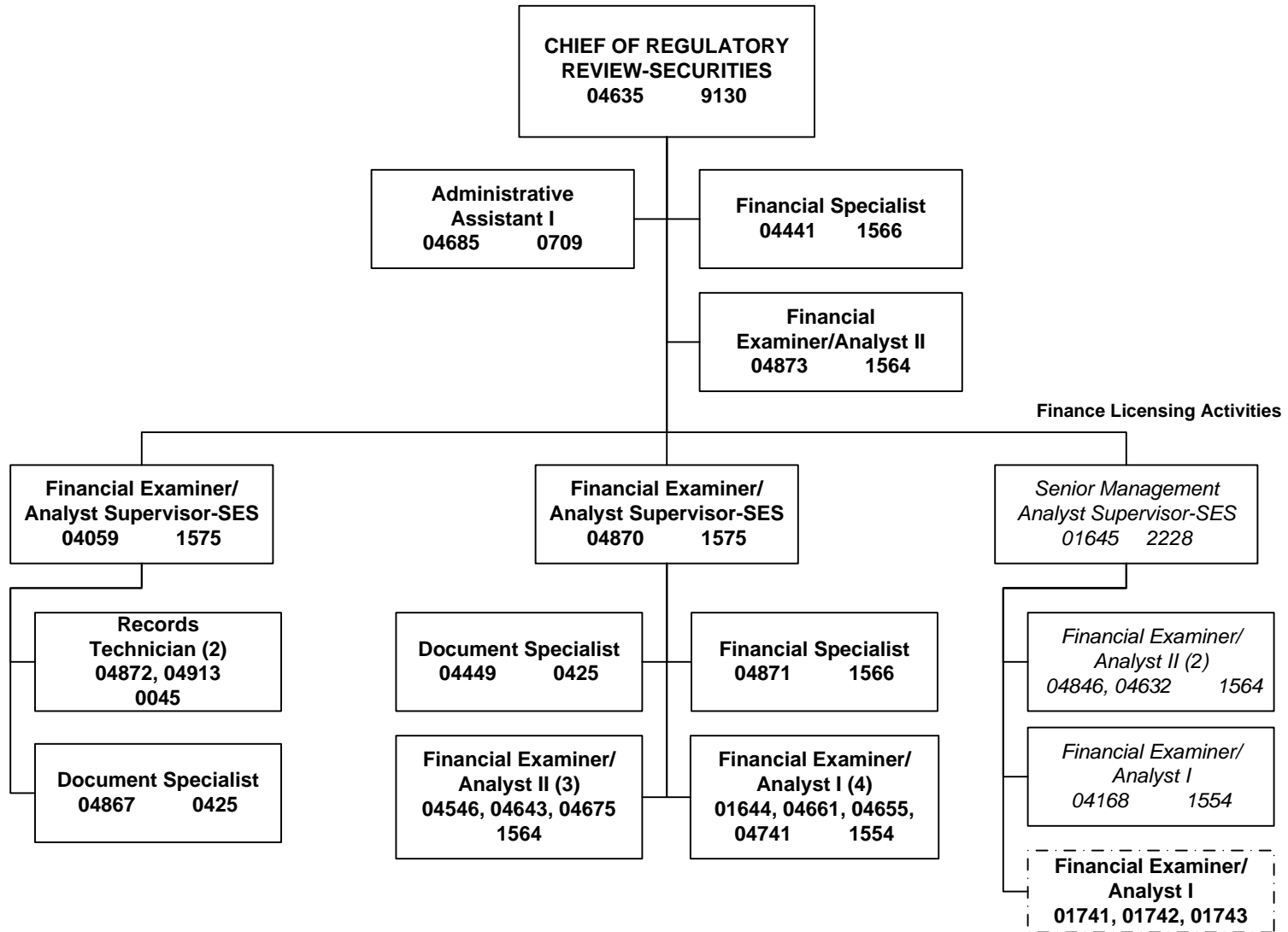
OFR-22

**Financial Services Commission  
Office of Financial Regulation  
Division of Securities  
Bureau of Securities Regulation  
Miami - Securities Regulation**

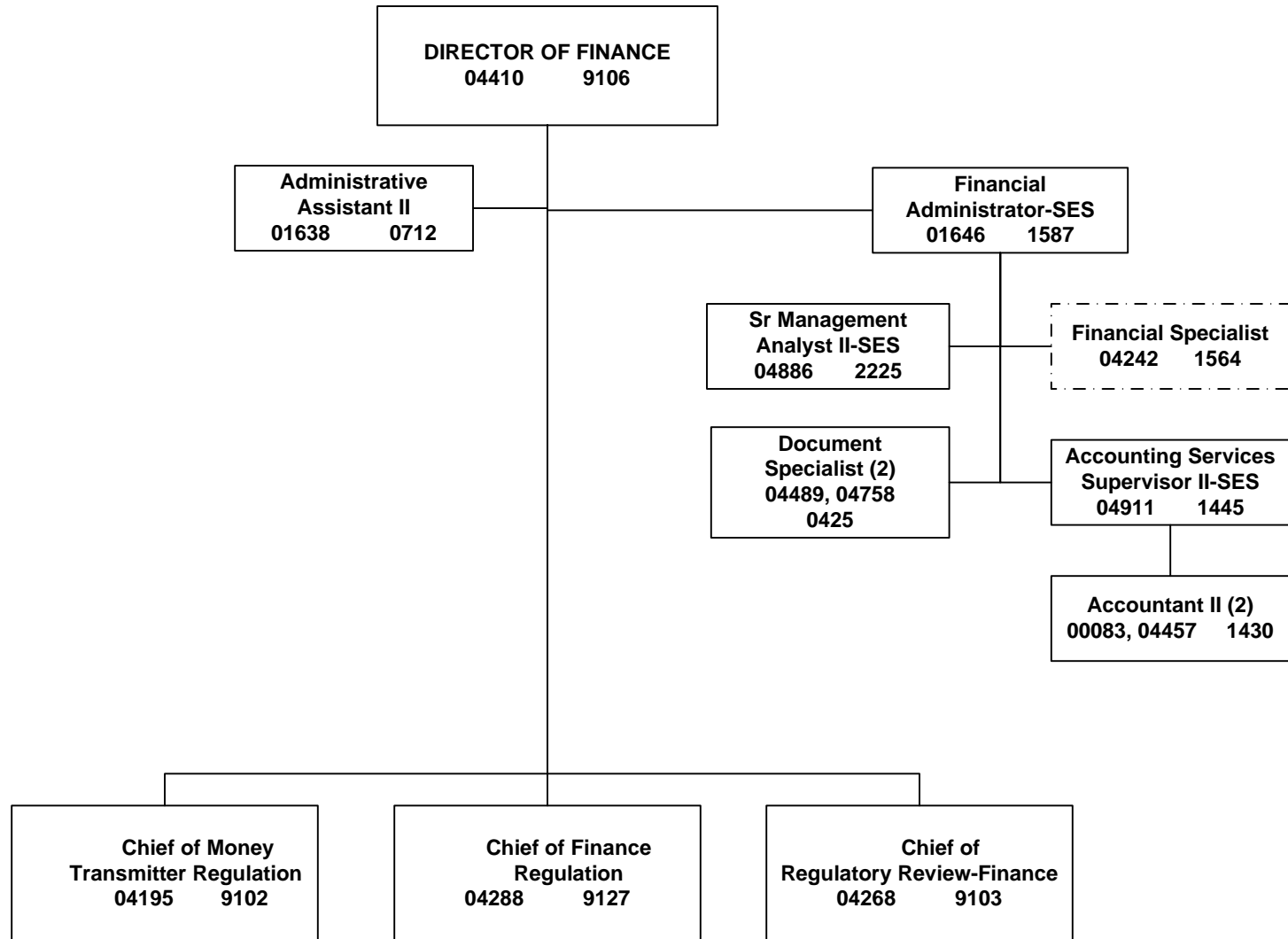
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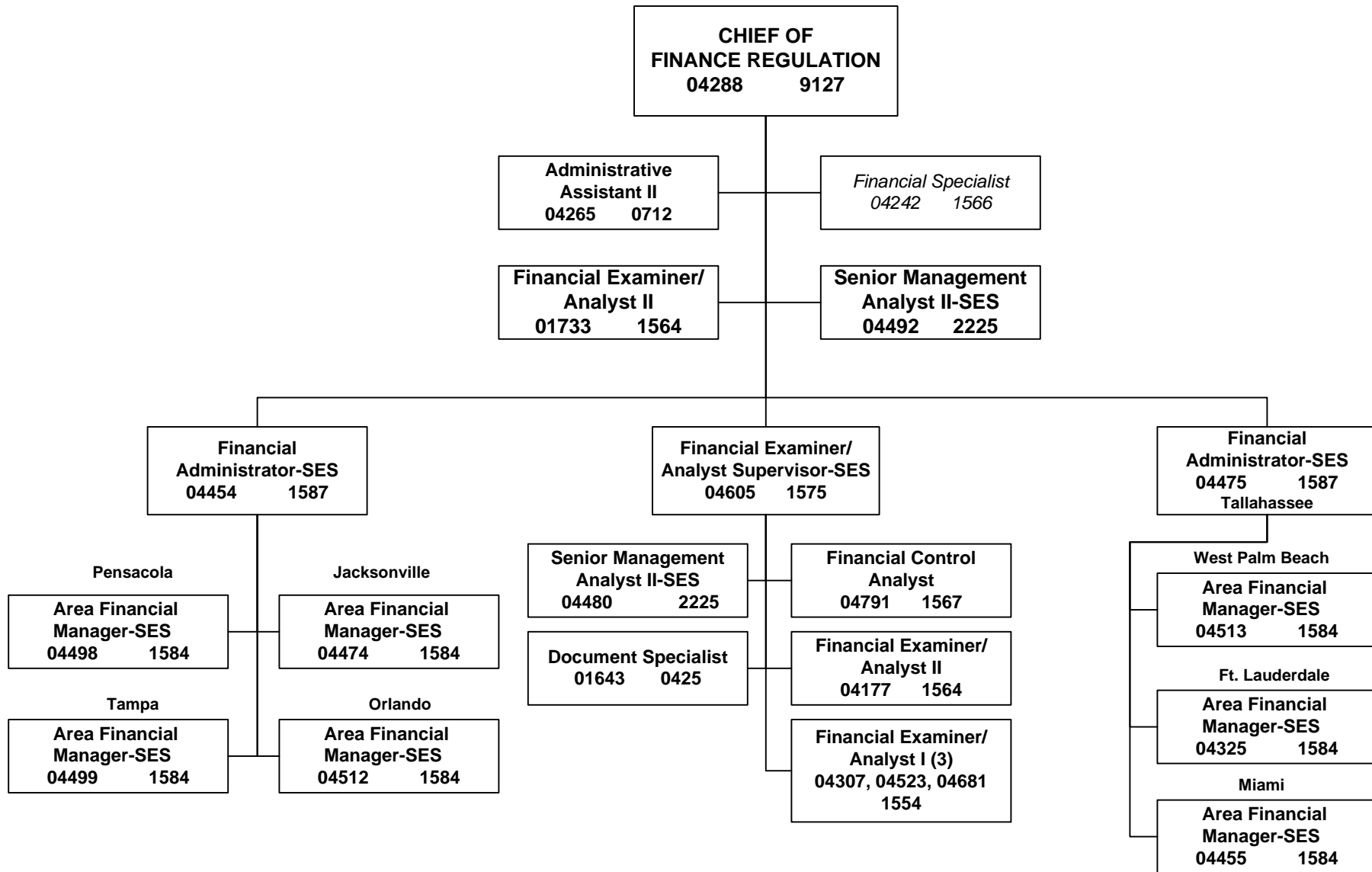
Financial Services Commission  
Office of Financial Regulation  
Division of Securities  
Bureau of Regulatory Review - Securities



**Financial Services Commission  
Office of Financial Regulation  
Division of Finance  
Office of the Director**



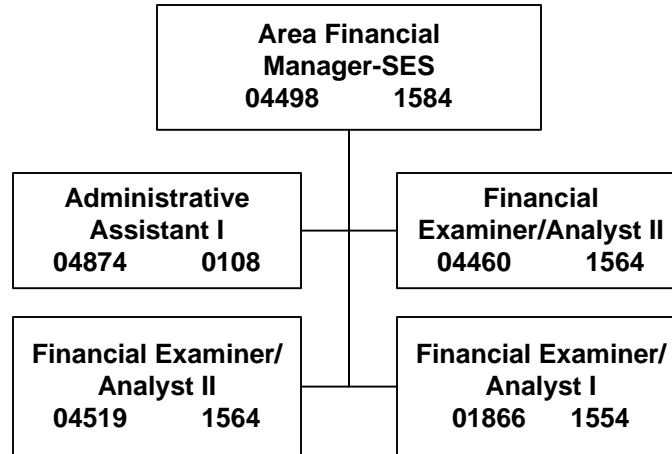
**Financial Services Commission  
Office of Financial Regulation  
Division of Finance  
Bureau of Finance Regulation**





**Financial Services Commission**  
**Office of Financial Regulation**  
**Division of Finance**  
**Bureau of Finance Regulation**  
**Pensacola - Finance Regulation**

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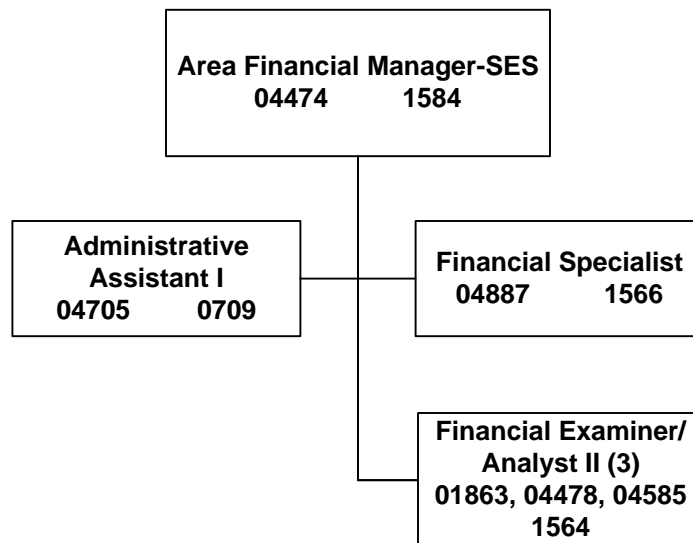


**Total FTE: 5**

FTE not Included in this Section  
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 Italic = Organizationally Assigned. Reports elsewhere administratively. FTE counted.

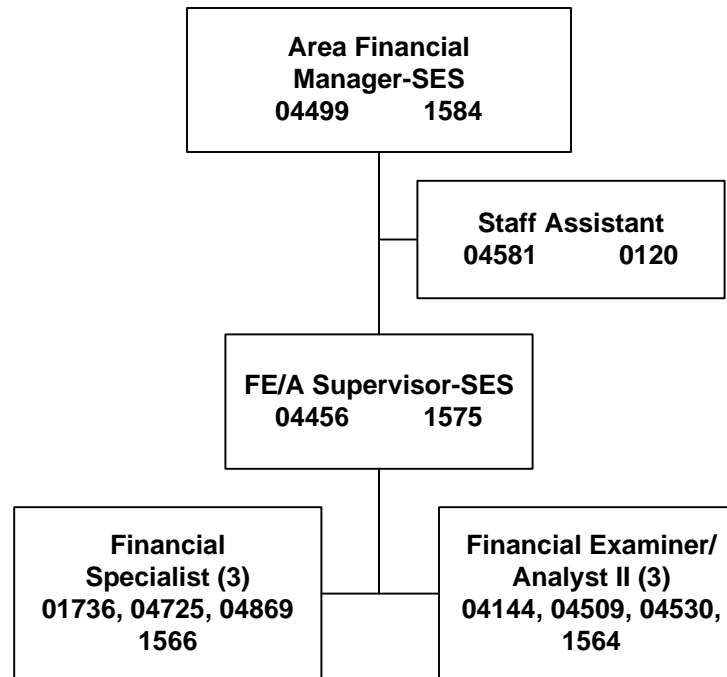
**Financial Services Commission  
Office of Financial Regulation  
Division of Finance  
Bureau of Finance Regulation  
Jacksonville - Finance Regulation**

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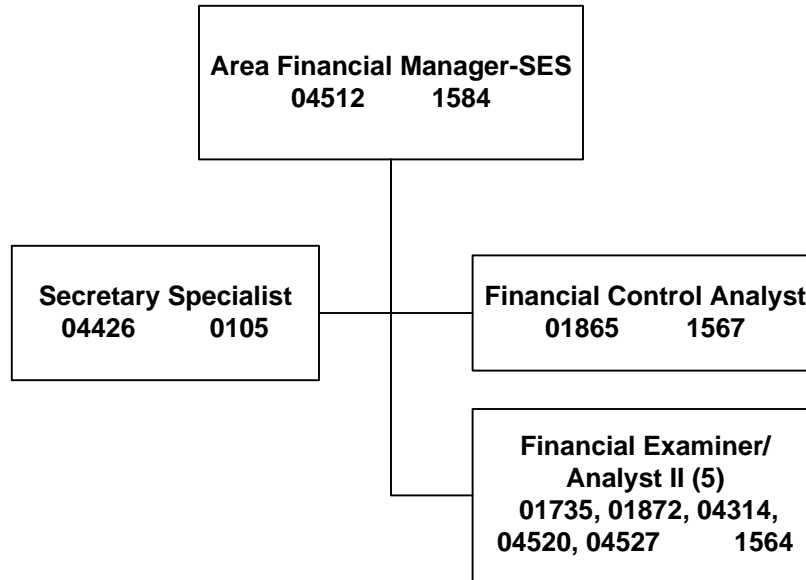
**Financial Services Commission  
Office of Financial Regulation  
Division of Finance  
Bureau of Finance Regulation  
Tampa - Finance Regulation**

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**Financial Services Commission  
Office of Financial Regulation  
Division of Finance  
Bureau of Finance Regulation  
Orlando - Finance Regulation**

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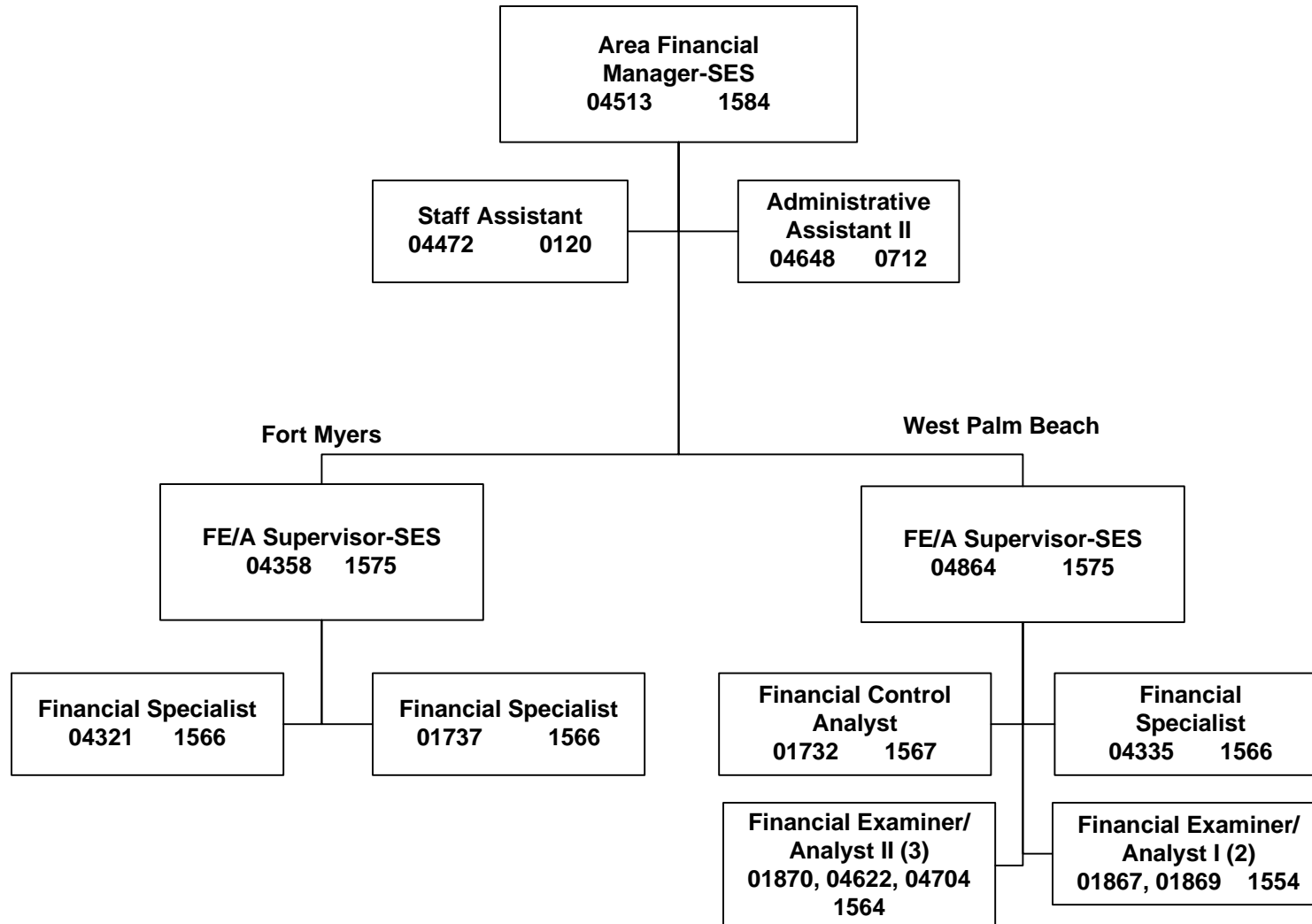
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Total FTE: 8

FTE not Included in this Section  
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Italic = Organizationally Assigned. Reports elsewhere administratively. FTE counted.

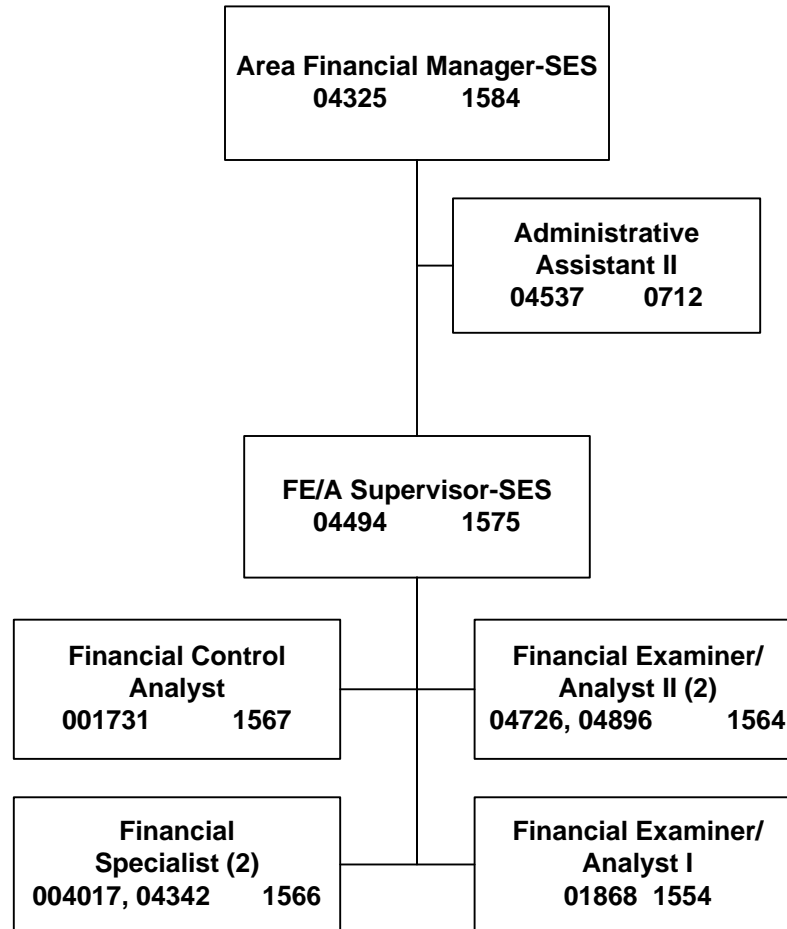
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Rev 11-17-08 QFR-30  
Page 152 of 373

**Financial Services Commission  
Office of Financial Regulation  
Division of Finance  
Bureau of Finance Regulation  
West Palm Beach - Finance Regulation**



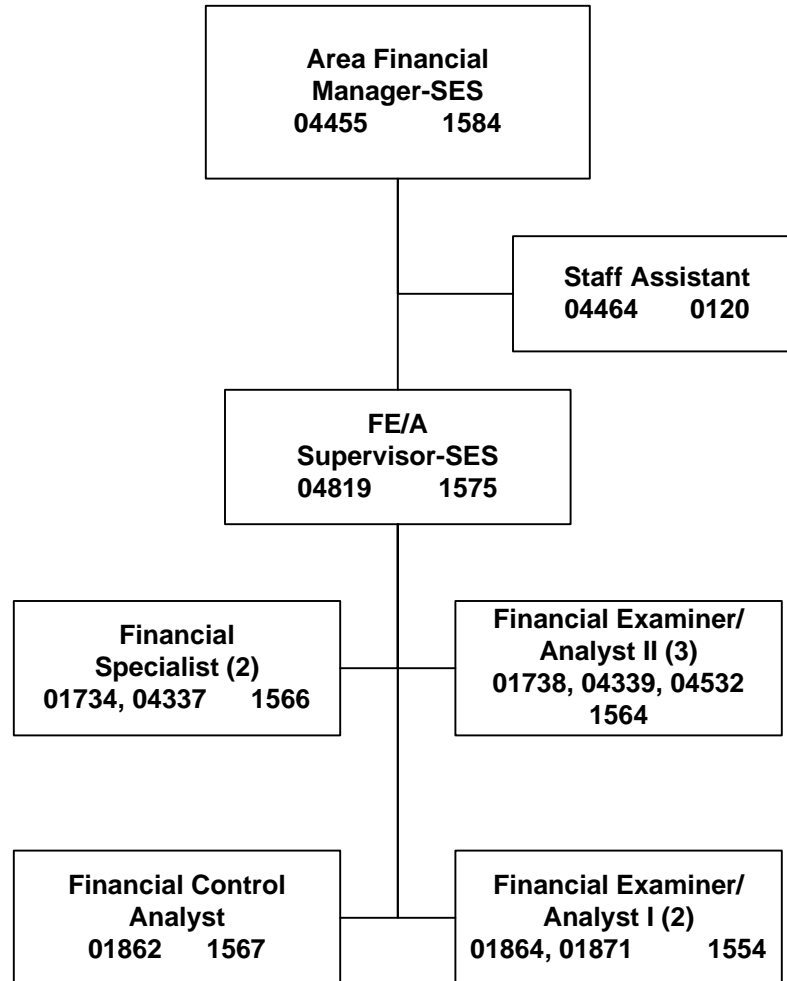
**Financial Services Commission  
Office of Financial Regulation  
Division of Finance  
Bureau of Finance Regulation  
Ft. Lauderdale - Finance Regulation**

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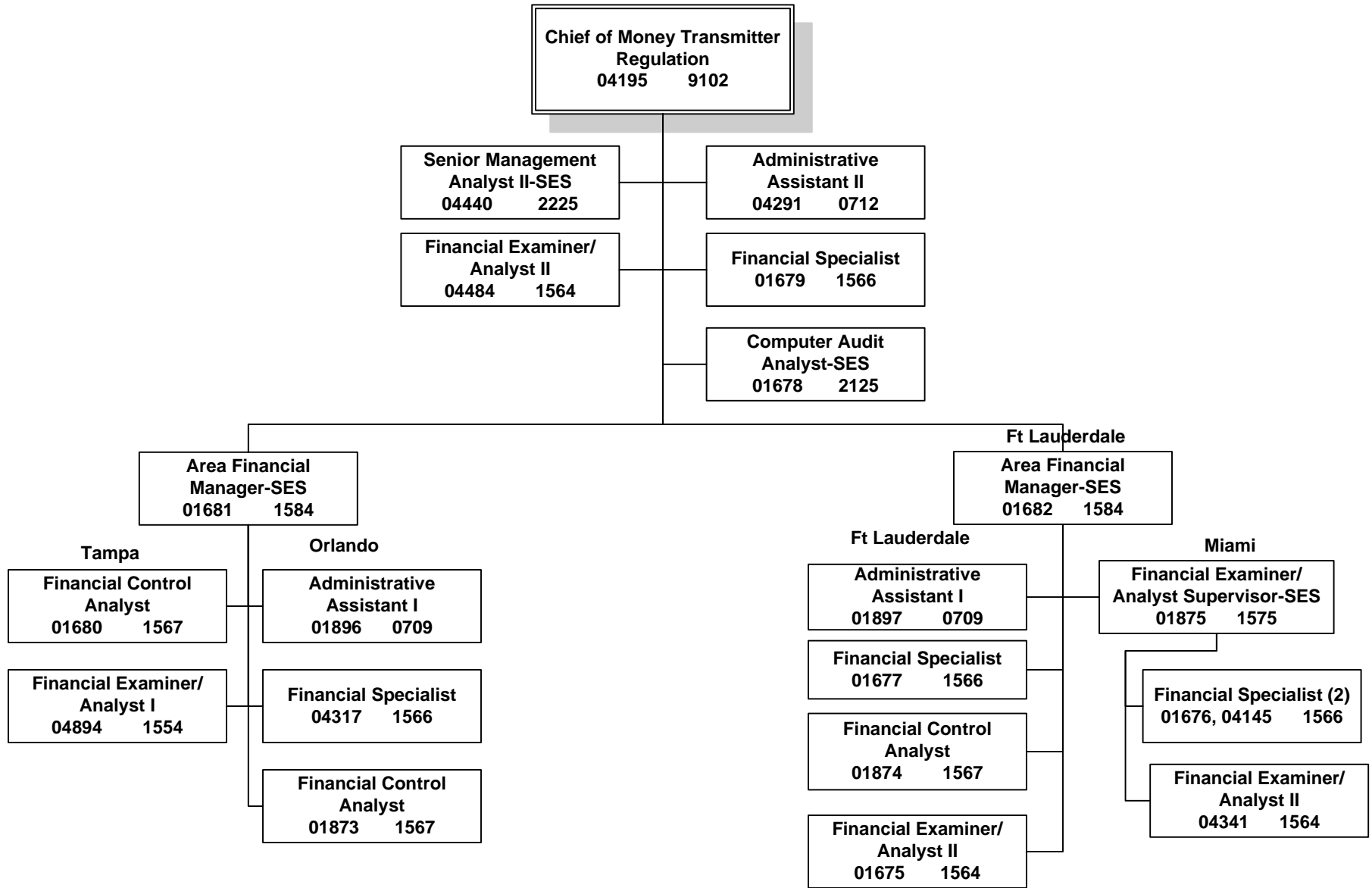


**Financial Services Commission  
Office of Financial Regulation  
Division of Finance  
Bureau of Finance Regulation  
Miami - Finance Regulation**

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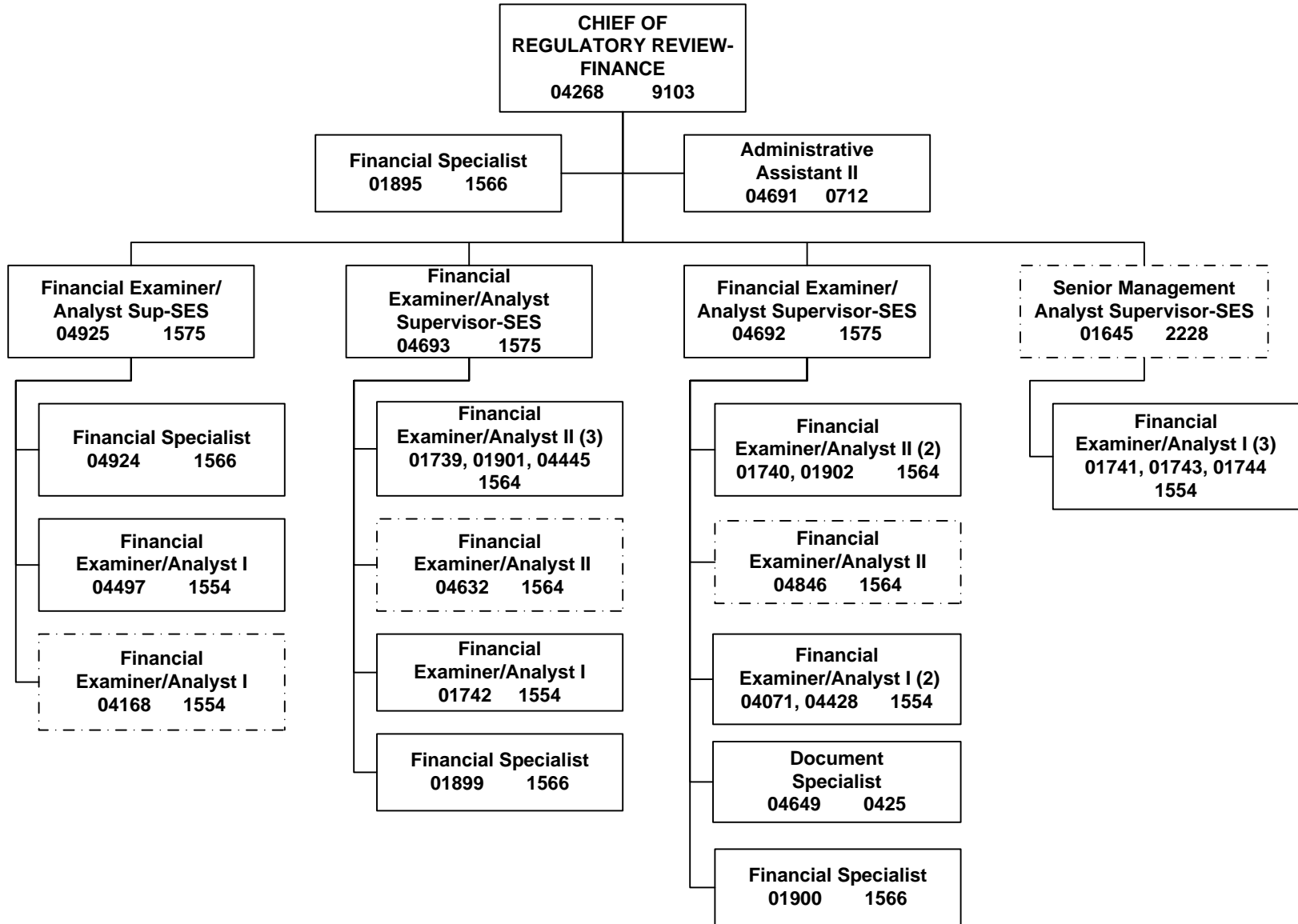


**Financial Services Commission  
Office of Financial Regulation  
Division of Finance  
Bureau of Money Transmitter Regulation**

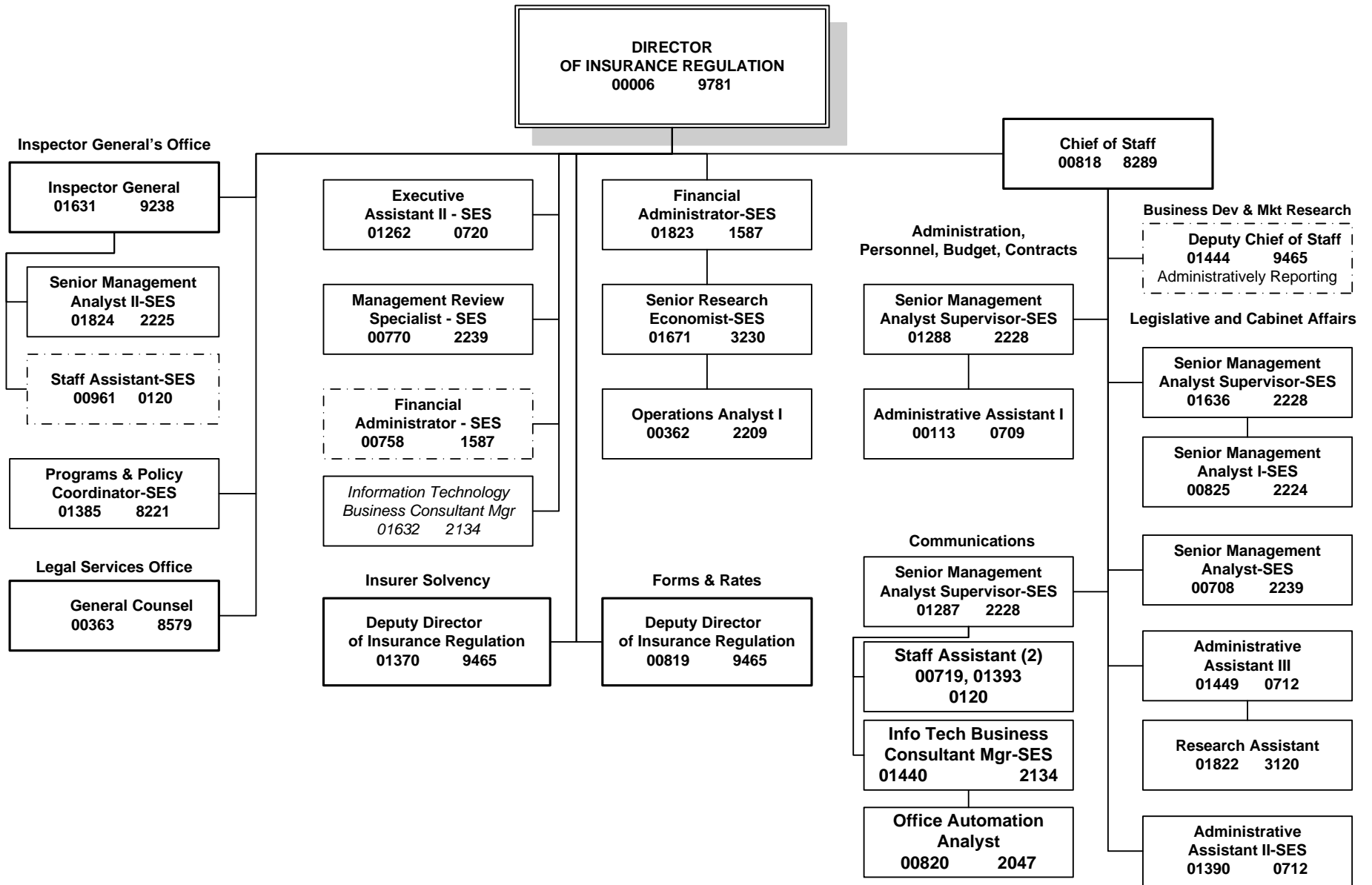




Financial Services Commission  
Office of Financial Regulation  
Division of Finance  
Bureau of Regulatory Review - Finance

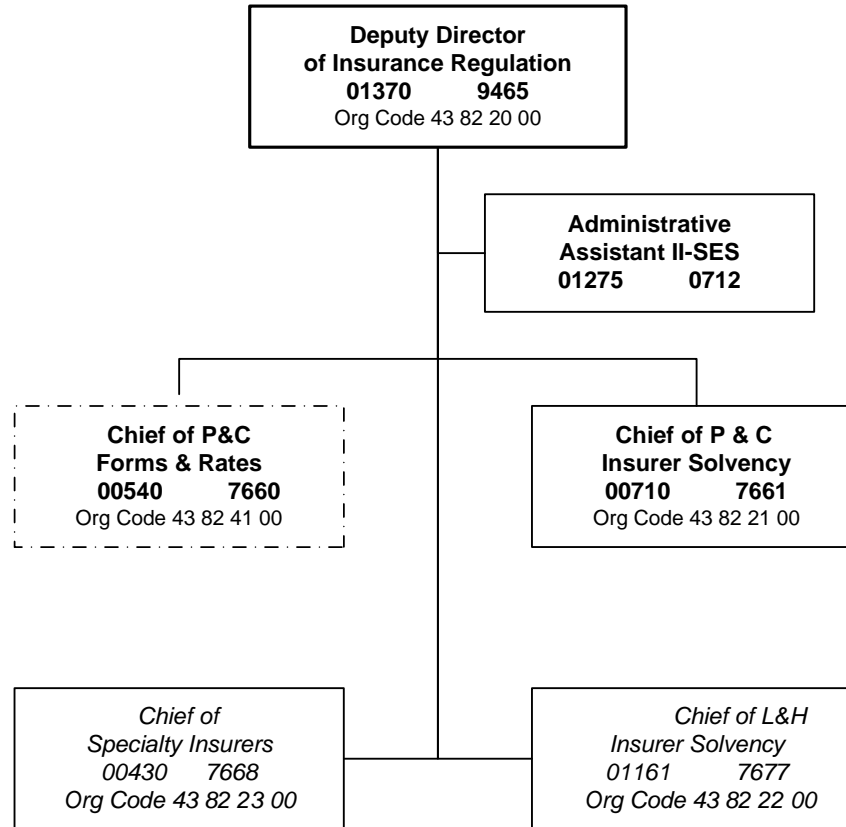


Financial Services Commission  
Office of Insurance Regulation  
Director of Insurance Regulation

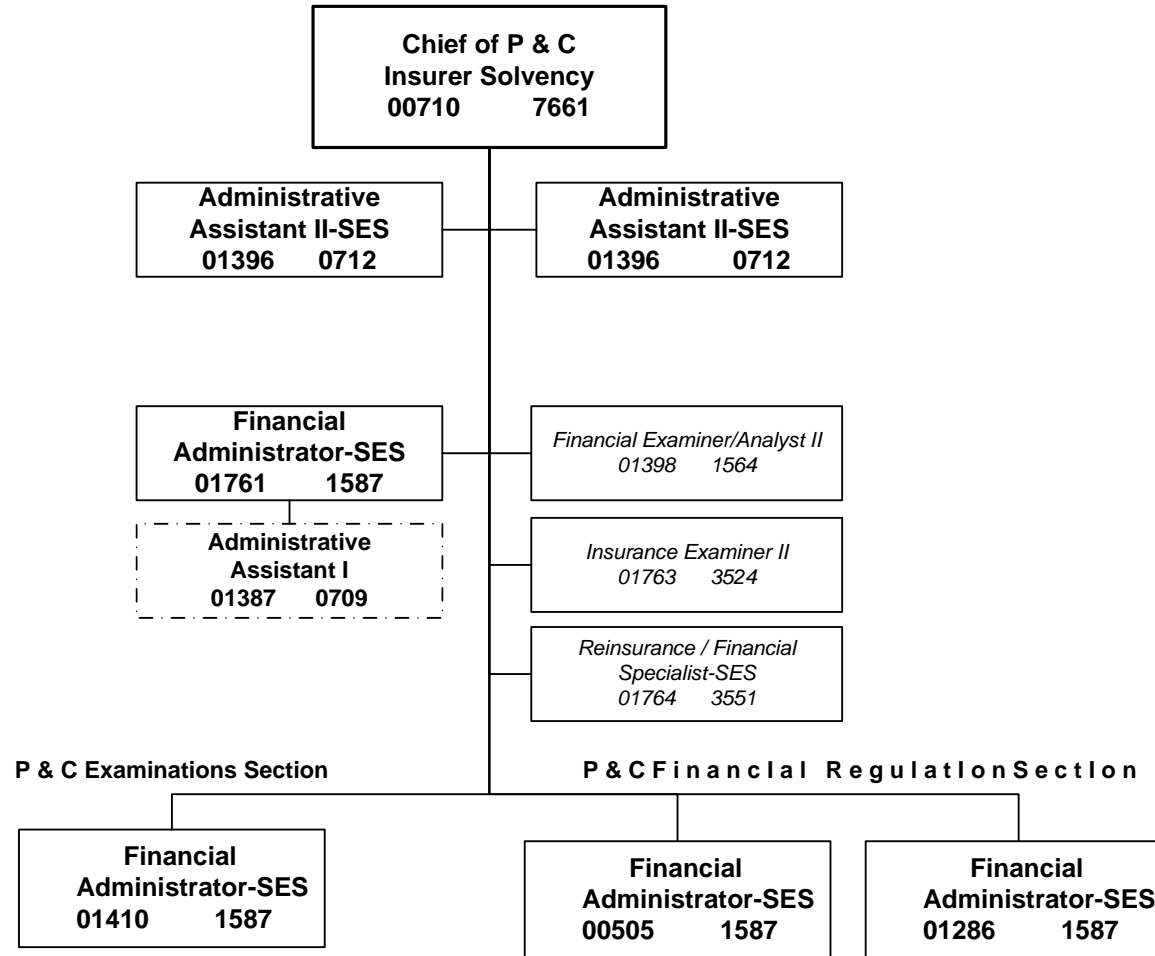


**Financial Services Commission  
Office of Insurance Regulation  
Deputy Director of Insurance Regulation**

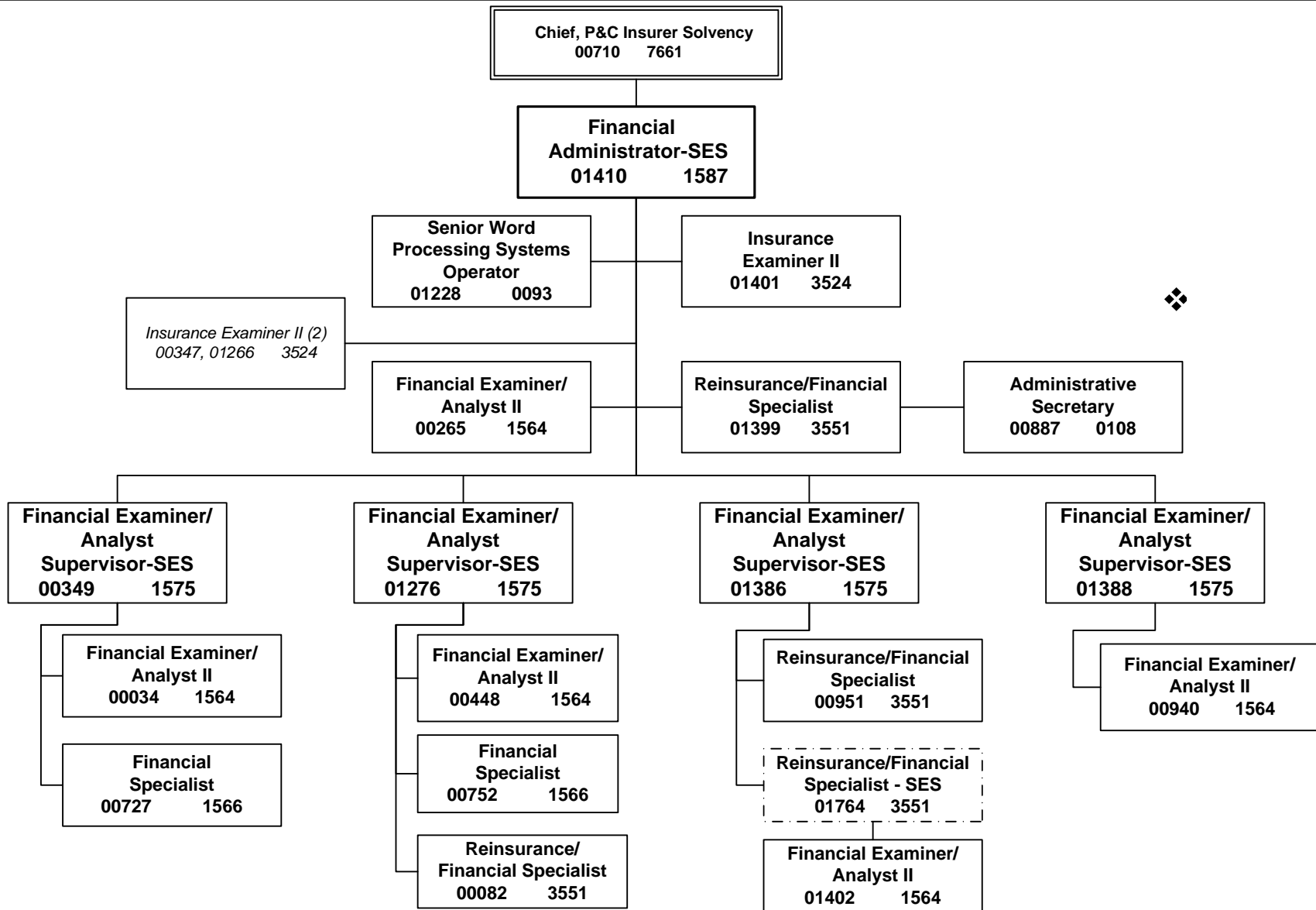
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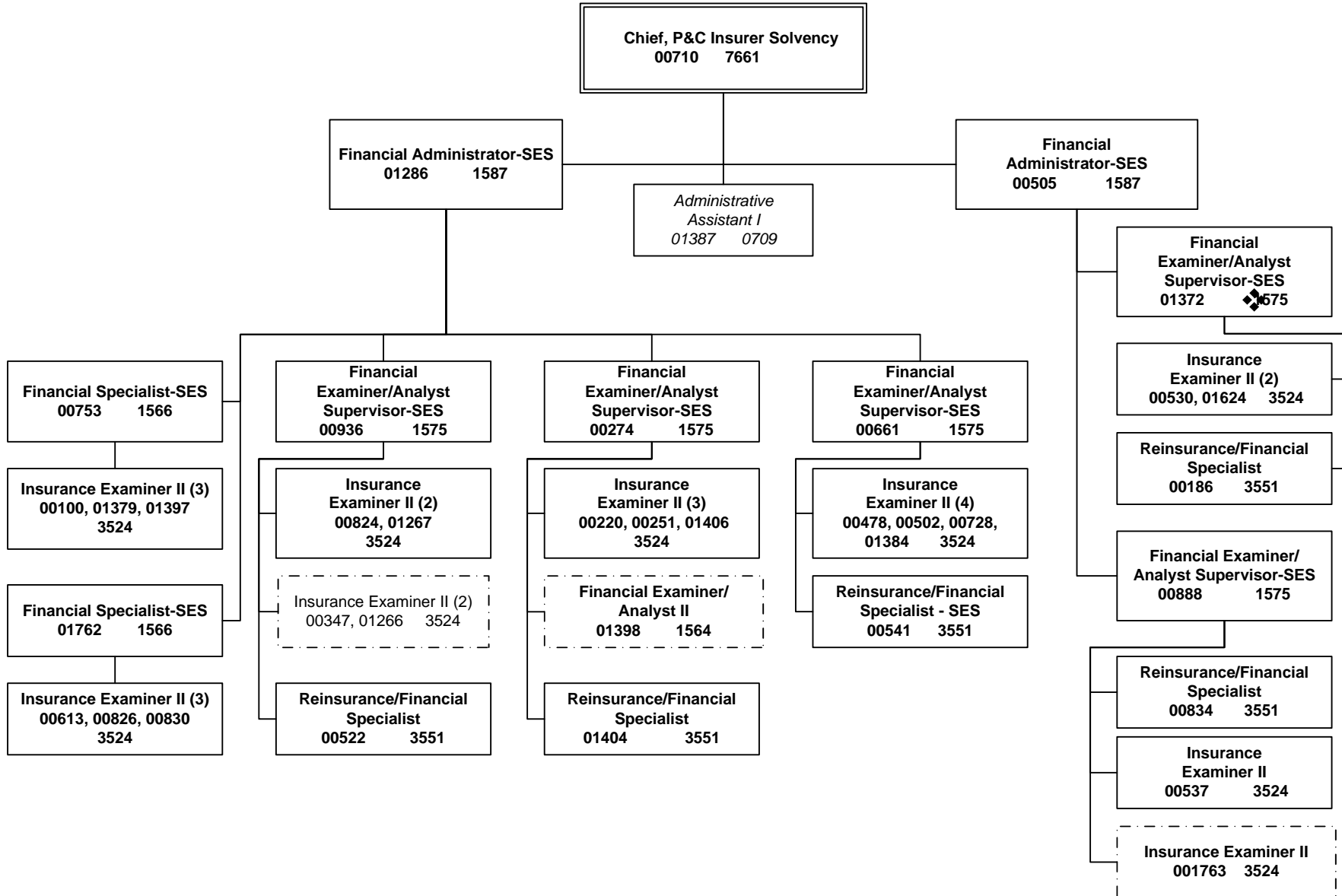
**Financial Services Commission  
Office of Insurance Regulation  
Bureau of P & C Insurer Solvency  
Office of the Chief**



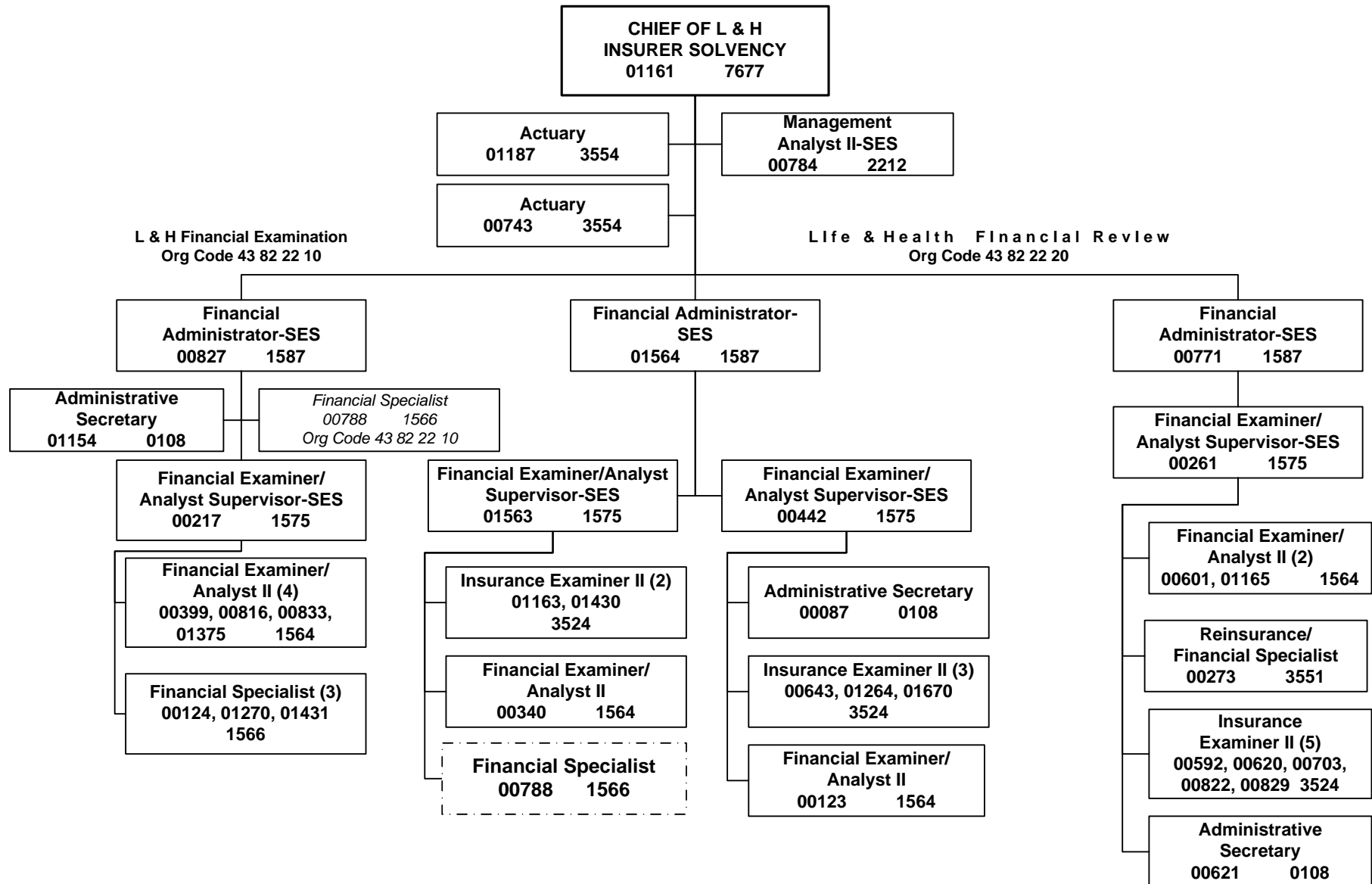
**Financial Services Commission  
Office of Insurance Regulation  
Bureau of P & C Insurer Solvency  
P & C Examinations Section**



**Financial Services Commission  
 Office of Insurance Regulation  
 Bureau of P & C Insurer Solvency  
 P & C Financial Regulation Section**



**Financial Services Commission  
Office of Insurance Regulation  
Bureau of Life & Health Insurer Solvency**



**Financial Services Commission  
Office of Insurance Regulation  
Bureau of Specialty Insurers**

Office of Chief  
Org Code 43 82 23 00

**CHIEF OF SPECIALTY  
INSURERS**  
00430 7668

**Administrative  
Assistant II-SES**  
00012 0712

Viaticals / CCRC  
Org Code 43 82 23 10

Warranties / Examinations  
Org Code 43 82 23 20

**Financial  
Administrator-SES**  
01153 1587  
(Org Code 43 82 23 00)

Administrative  
Secretary  
01204 0108  
(Org Code 43 82 23 00)

**Financial Examiner/  
Analyst Supervisor-SES**  
01160 1575

**Financial Examiner/  
Analyst II**  
01445 1564

**Insurance  
Examiner II (3)**  
00424, 00764, 00772  
3524

**Senior Management  
Analyst  
Supervisor-SES**  
01623 2228

**Operations Review  
Specialist**  
00031 2239

**Insurance  
Examiner II**  
00889 3524

**Financial  
Administrator-SES**  
00783 1587  
(Org Code 43 82 23 00)

**Financial Examiner/  
Analyst  
Supervisor-SES**  
00481 1575

**Financial Examiner/  
Analyst II (3)**  
00450, 00765, 01158  
1564

**Financial  
Specialist**  
01169 1566

**Insurance Examiner II  
(3)**  
000970, 01159, 00886  
3524

**Financial  
Administrator-SES**  
00766 1587

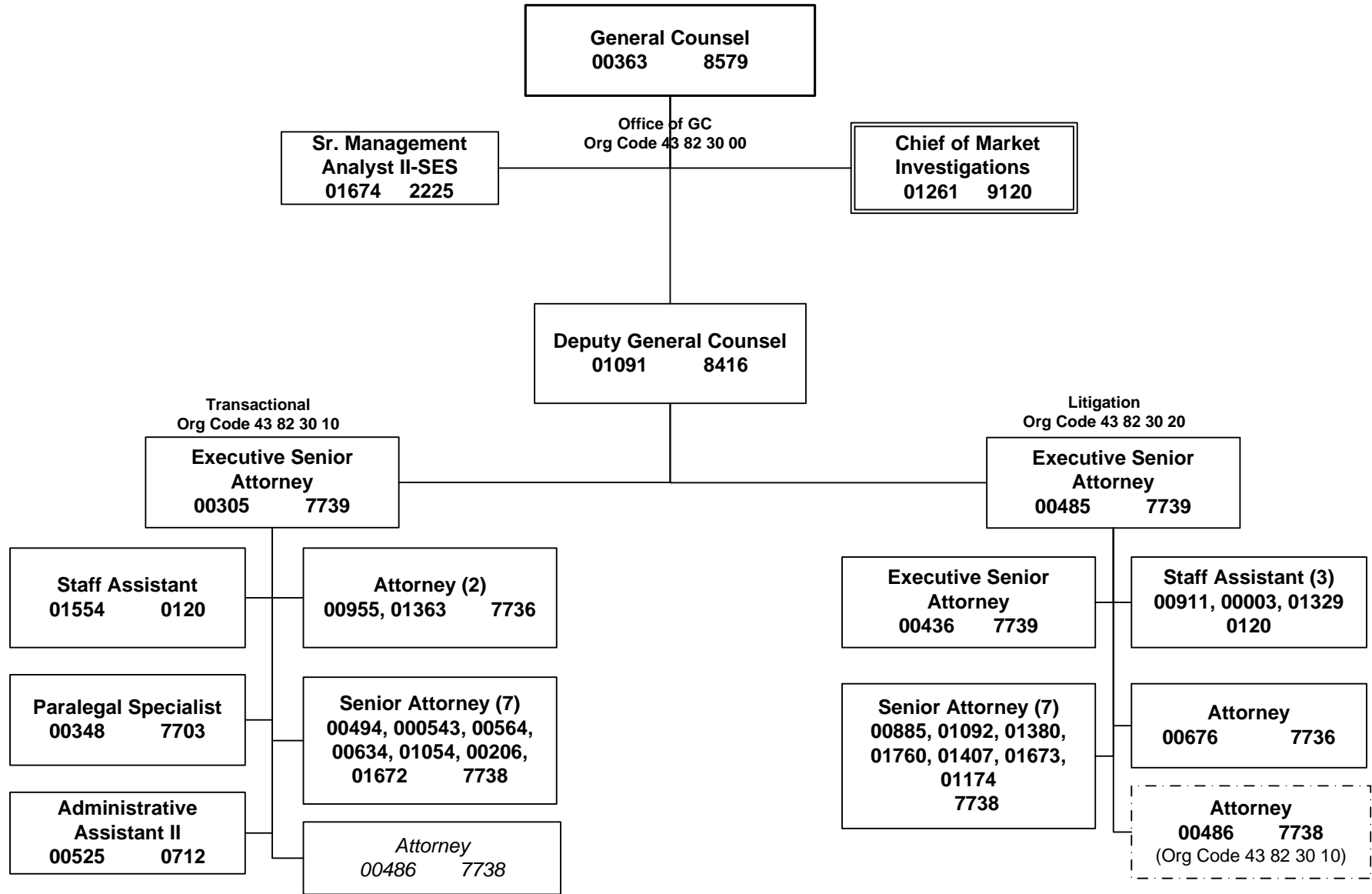
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Examiner II (2)**  
00014, 00828  
3524

**Financial Examiner/  
Analyst II (3)**  
00197, 01162, 01265  
1564

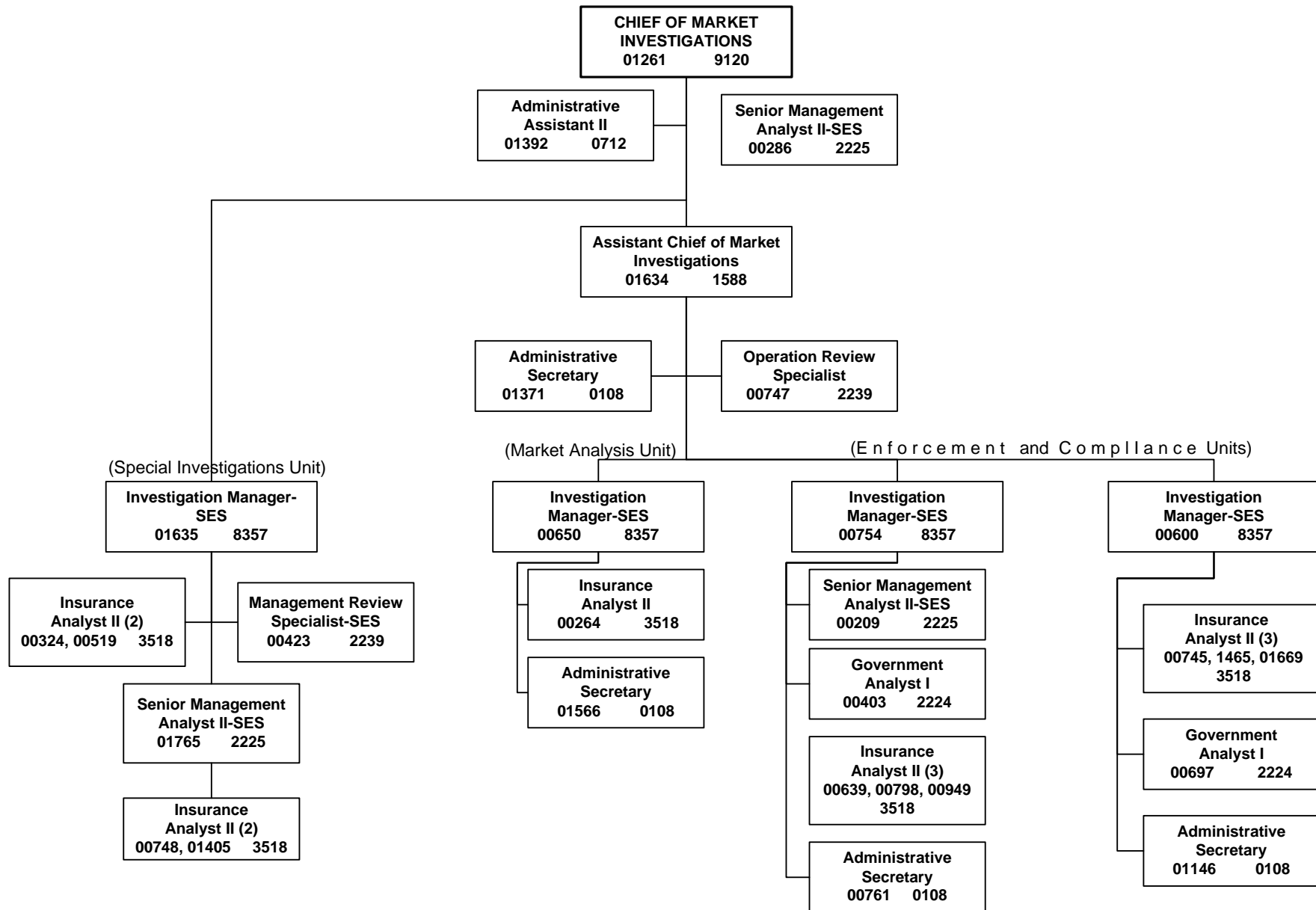
**Administrative  
Secretary**  
01155 0108



**Financial Services Commission  
Office of Insurance Regulation  
Legal Services Office**

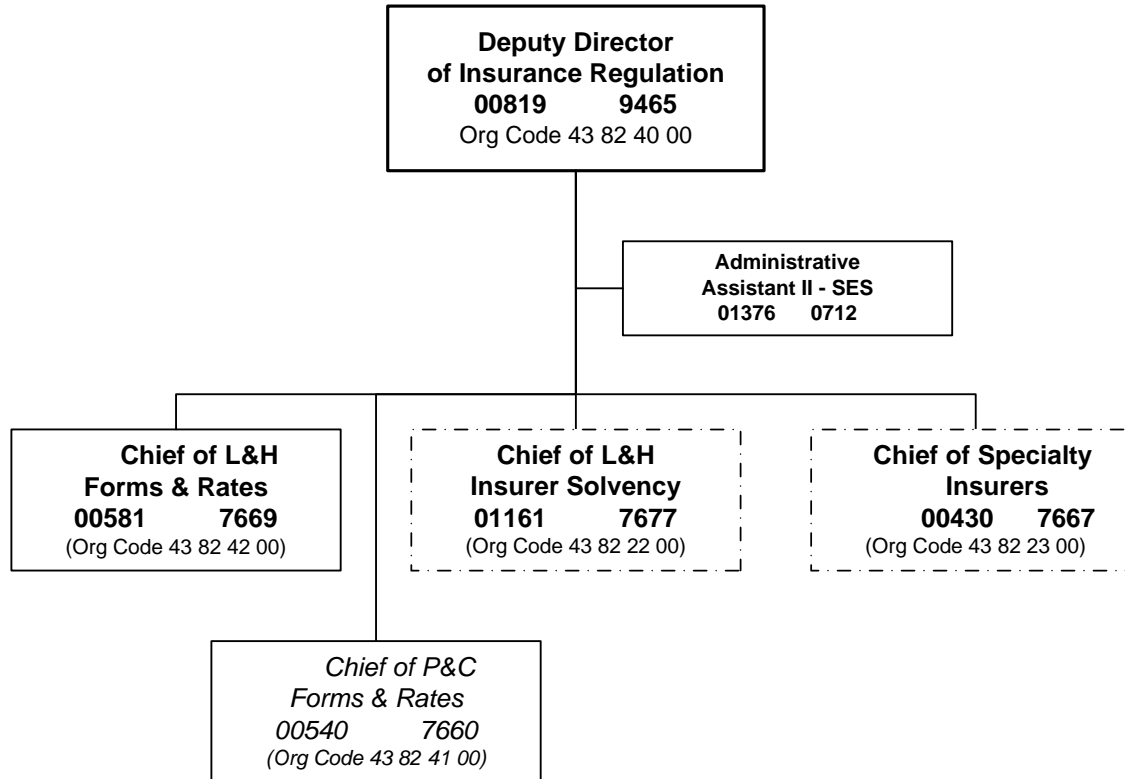


# Financial Services Commission Office of Insurance Regulation Bureau of Market Investigations

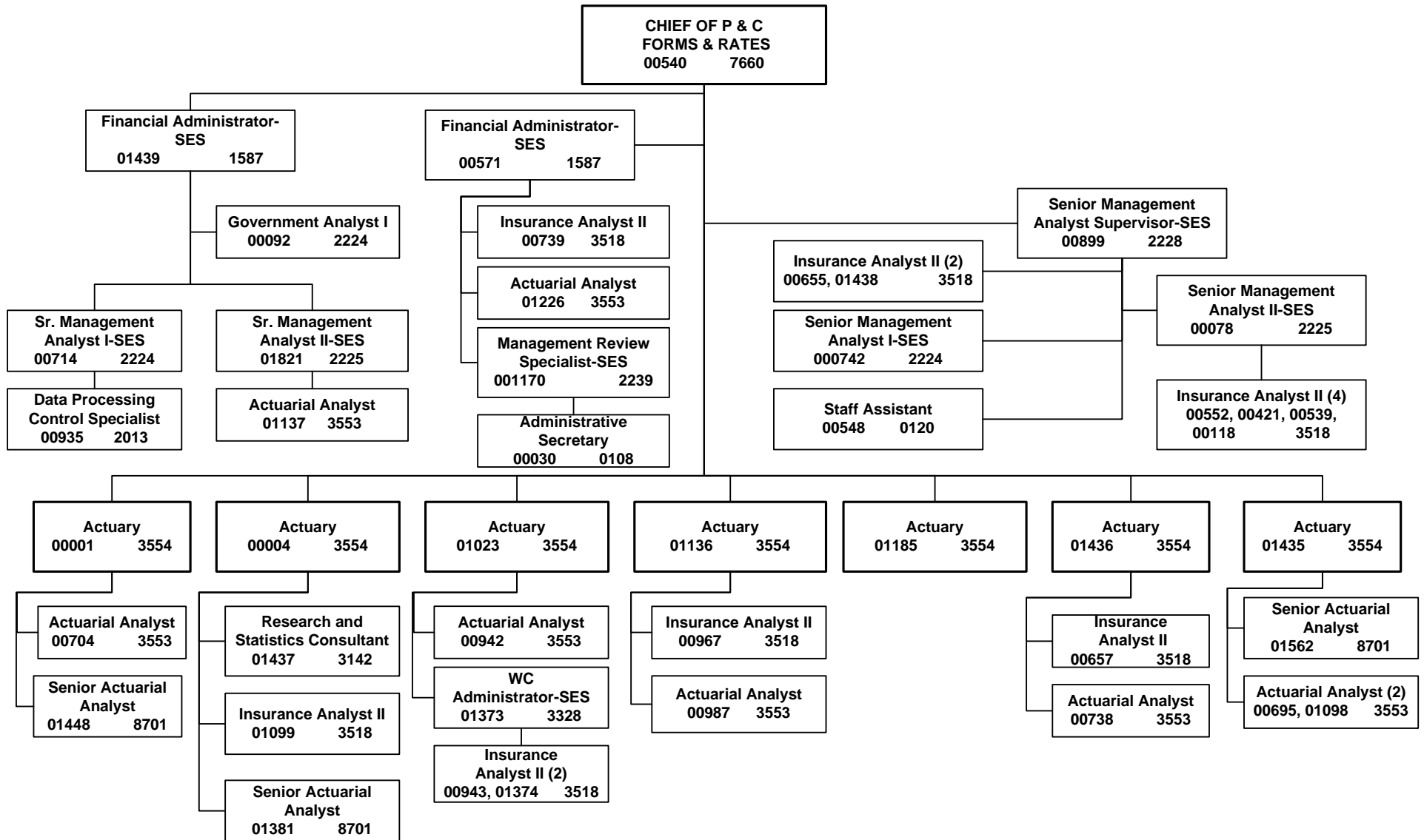


**Financial Services Commission  
Office of Insurance Regulation  
Deputy Director of Insurance Regulation**

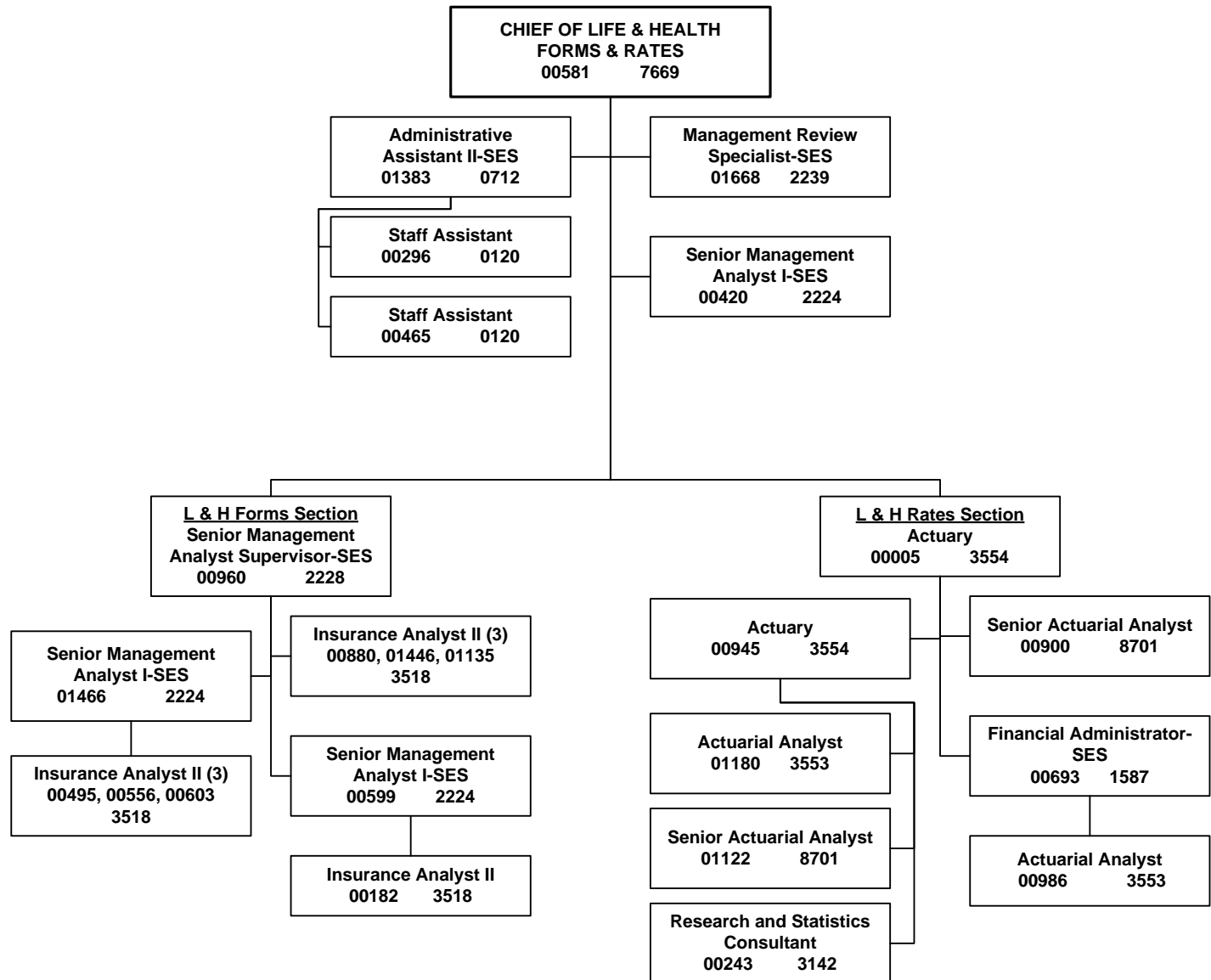
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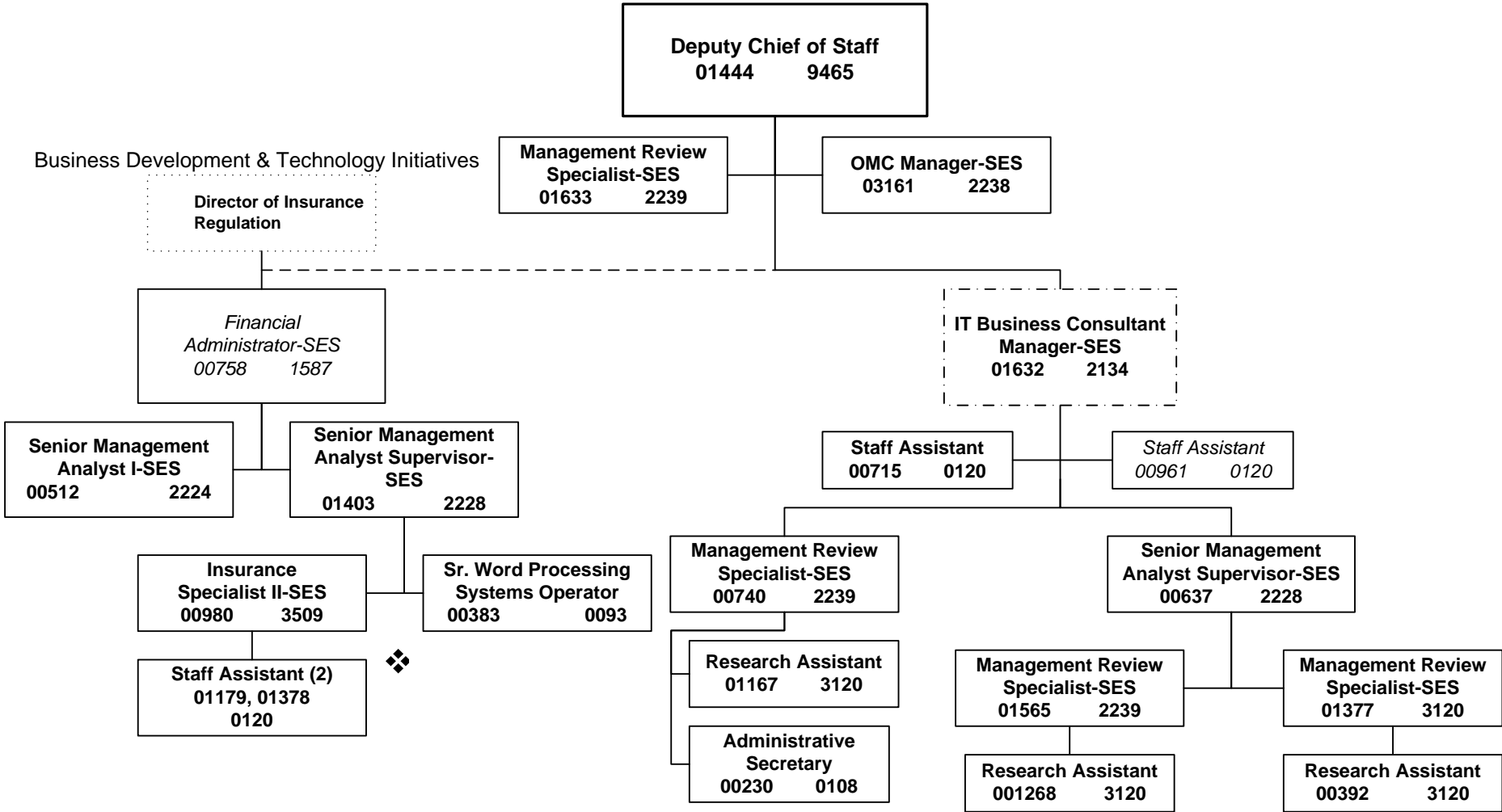
**Financial Services Commission  
Office of Insurance Regulation  
Bureau of Property & Casualty Forms & Rates**



**Financial Services Commission  
Office of Insurance Regulation  
Bureau of Life & Health Forms & Rates**



**Financial Services Commission  
Office of Insurance Regulation  
Business Development & Market Research**



FTE not Included in this Section

Dotted Line = Administratively Assigned. FTE not counted.

Italic = Organizationally Assigned. Reports elsewhere administratively. FTE counted.

FINANCIAL SERVICES, DEPARTMENT OF		FISCAL YEAR 2008-09	
SECTION I: BUDGET		OPERATING	FIXED CAPITAL OUTLAY
TOTAL ALL FUNDS GENERAL APPROPRIATIONS ACT			284,160,417
ADJUSTMENTS TO GENERAL APPROPRIATIONS ACT (Supplementals, Vetoes, Budget Amendments, etc.)			18,482,660
FINAL BUDGET FOR AGENCY			302,643,077
SECTION II: ACTIVITIES * MEASURES		Number of Units	(1) Unit Cost
		(2) Expenditures (Allocated)	(3) FCO
Executive Direction, Administrative Support and Information Technology (2)			0
Provide Analysis On Securities Held For Deposit And Qualified Public Depositories * Number of analyses performed on the financial condition of qualified public depositories and custodians, and securities held for regulatory collateral deposit.		14,163	47.96
Process Transactions, Account Changes And Audit Functions * Number of account actions taken on regulatory collateral deposit accounts.		62,082	22.52
Investment Of Public Funds * Dollar Volume of Funds Invested		16,000,000,000	0.00
Provide Cash Management Services * Number of cash management consultation services.		28	9,318.25
Receive Funds, Process Payment Of Warrants And Provide Account And Reconciliation Services * Number of financial management/accounting transactions processed and reports produced.		9,999,487	0.15
Administer The State Supplemental Deferred Compensation Plan * Number of participant account actions processed by the state deferred compensation office.		1,210,591	0.84
Accounting And Reporting Of State Funds * State Accounts Managed in the Florida Accounting Information Reporting System.		34,918	123.64
Migrate Current Accounts Payable Procedures To Electronic Commerce * Payments issued electronically to settle claims against the state.		13,651,703	0.08
Conduct Pre-audits Of Selected Accounts Payable * Vendor payment requests that are pre-audited for compliance with statutes and contract requirements.		573,993	7.11
Conduct Post-audits Of Major State Programs * Post-audits completed of major state programs to determine compliance with statutes and contract requirements.		6	263,212.17
Process State Employees Payroll * Payroll payments issued.		3,385,211	0.66
Conduct Post-audits Of Payroll * Post-audits completed of state agencies payroll payments to determine compliance with statutes.		17	23,441.88
Conduct Fiscal Integrity Investigations * Fiscal integrity investigations completed to investigate allegations or suspicions of fraud, waste or abuse.		21	48,393.33
Collect Unclaimed Property * Accounts reported by holders of unclaimed property.		1,301,872	1.98
Process And Payment Of Unclaimed Property * Payments processed for claims of unclaimed property.		302,808	8.47
License The Fire Protection Industry * Number of entity requests for licenses, permits and certificates processed within statutorily mandated time frames.		8,312	58.66
Perform Fire Safety Inspections * Number of inspections of fire code compliance completed.		17,188	239.09
Review Construction Plans For Fire Code Compliance * Number of construction plans reviewed.		789	721.95
Perform Boiler Inspections * Number of boiler inspections completed by department inspectors.		4,378	130.11
Investigate Fires Accidental, Arson And Other * Total number of closed fire investigations involving economic or physical loss.		5,600	2,451.51
Provide State, Local And Business Professional Training And Education * Number of classroom contact hours provided by the Florida State Fire College.		179,074	27.56
Provide State, Local And Business Professional Standards, Testing And Statutory Compliance * Number of examinations administered.		8,696	282.08
Provide Forensic Laboratory Services * Number of photographic images processed.		12,963	81.87
Fire Incident Reporting * Number of total incidents reported to the Florida Fire Incident Reporting System.		2,125,886	0.20
Provide Adjusting Services On State Workers' Compensation Claims * Number of workers' compensation claims worked.		22,088	184.78
Provide Adjusting Services On State Liability Claims * Number of liability claims worked.		5,490	568.40
Process Property Claims On State Owned Buildings (structure And Contents) * Number of state property loss/damage claims worked.		156	3,719.64
Provide Risk Services Training And Consultation * Risk services training and consultation as measured by the number of training units (1 unit = 8 hours) provided and consultation contacts made.		355	1,352.34
Rehabilitate And/Or Liquidate Financially Impaired Insurance Companies * Number of insurance companies in receivership during the year.		45	23,764.31
Review Applications For Licensure (qualifications) * Number of applications for licensure processed.		113,223	33.16
Administer Examinations And Issue Licenses * Number of examinations administered and licenses authorized.		103,478	38.61
Administer The Appointment Process From Employers And Insurers * Number of appointment actions processed.		1,622,900	0.52
Administration Of Education Requirements (pre Licensure And Continuing Education) * Number of applicants and licensees required to comply with education requirements.		159,347	2.83
Investigate Agents And Agencies * Number of agent and agency investigations completed.		4,165	1,721.33
Investigate Insurance Fraud (general) * Number of insurance fraud investigations completed (not including workers' compensation).		1,402	10,962.65
Investigate Workers' Compensation Insurance Fraud * Number of workers' compensation insurance fraud investigations completed (not including general fraud investigations).		569	8,457.77
Respond To Consumer Request For Assistance * Number of consumer requests and informational inquiries handled.		39,221	148.68
Provide Consumer Education Activities * Number of consumer educational materials created and distributed.		111,700	12.19
Answer Consumer Telephone Calls * Number of telephone calls answered through the consumer helpline.		293,067	18.85
Examine And Regulate Licensees In The Funeral & Cemetery Business (chapter 497) To Ensure Regulatory Compliance * Number of examinations and inspections completed		1,976	1,224.06
Monitor And Audit Workers' Compensation Insurers To Ensure Benefit Payments * Number of claims reviewed annually.		81,893	58.97
Verify That Employers Comply With Workers' Compensation Laws * Number of employer investigations conducted.		29,166	464.25
Facilitate The Informal Resolution Of Disputes With Injured Workers, Employers And Insurance Carriers * Number of injured workers that obtained one or more benefits due to intervention by the Employee Assistance Office.		1,981	2,772.26
Provide Reimbursement For Workers' Compensation Claims Paid By Insurance Carriers On Employees Hired With Preexisting Conditions * Number of reimbursement requests (SDF-2) audited.		3,727	377.80
Collection Of Assessments From Workers' Compensation Insurance Providers * Amount of assessment dollars collected.		154,875,227	0.00
Occupation Injury And Illness Survey * Number of injuries and illnesses and incidence rates of injuries/illnesses.		11,898	47.75
Data Collection, Dissemination, And Archival * Number of records successfully entered into the division's databases.		5,595,795	1.03
Reimbursement Disputes * Number of petitions for reimbursement dispute resolution resolved annually		1,687	841.91
Approve And License Entities To Conduct Insurance Business. * Number of applications processed.		243	3,632.42
Conduct And Direct Market Conduct Examinations. * Number of examinations and investigations completed for licensed companies and unlicensed entities		630	5,599.40
Conduct Financial Reviews And Examinations. * Number of financial reviews and examinations completed.		9,656	1,833.82
Review And Approve Rate And Form Filings. * Number of rate and forms review completed.		20,604	412.07
Examine And Regulate Financial Services Companies To Ensure Regulatory Compliance. * Examinations of non-depository financial service companies to determine compliance with regulations.		367	32,986.46
Evaluate And Process Applications For Licensure As A Financial Services Entity. * Applications processed or evaluated for licensure or registration as a non-depository financial services entity.		38,545	81.07
Examine And Enforce Laws Regarding Banks, Trusts, And Credit Unions To Ensure Safety And Soundness. * Number of domestic financial institutions examined to ensure safety and soundness.		295	40,130.61
Examine And Enforce Laws Regarding International Financial Institutions To Ensure Safety And Soundness. * Number of international financial institutions examined to ensure safety and soundness.		26	31,954.46
Conduct Financial Investigations Into Allegations Of Fraudulent Activity. * Number of financial investigations into allegations of fraudulent activity		195	28,893.14
Examine And Regulate Money Services Businesses To Ensure Regulatory Compliance. * Examinations of money services businesses conducted to determine compliance with regulations.		188	15,189.96
Examine And Regulate Securities Firms, Branches To Ensure Regulatory Compliance. * Conducted examinations of securities firms and branches.		280	20,901.15
Evaluate And Process Applications For Registration As A Securities Firm, Branch, And/Or Individual. * Securities applications processed for registration of firms, branches, and/or individuals.		81,718	29.42
TOTAL			224,577,534
SECTION III: RECONCILIATION TO BUDGET			
PASS THROUGHS			
TRANSFER - STATE AGENCIES			
AID TO LOCAL GOVERNMENTS			
PAYMENT OF PENSIONS, BENEFITS AND CLAIMS			
OTHER			51,662,476
REVERSIONS (Includes 10,241,342 Domestic Security re-appropriation/SB2600 Section 48)			26,403,081
TOTAL BUDGET FOR AGENCY (Total Activities + Pass Throughs + Reversions) - Should equal Section I above. (4)			302,643,091

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

(1) Some activity unit costs may be overstated due to the allocation of double budgeted items.  
(2) Expenditures associated with Executive Direction, Administrative Support and Information Technology have been allocated based on FTE. Other allocation methodologies could result in significantly different unit costs per activity.  
(3) Information for FCO depicts amounts for current year appropriations only. Additional information and systems are needed to develop meaningful FCO unit costs.  
(4) Final Budget for Agency and Total Budget for Agency may not equal due to rounding.

-----  
 ACTIVITY ISSUE CODES SELECTED:

TRANSFER-STATE AGENCIES ACTIVITY ISSUE CODES SELECTED:

1-8:

AID TO LOCAL GOVERNMENTS ACTIVITY ISSUE CODES SELECTED:

1-8:

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

\*\*\* NO ACTIVITIES FOUND \*\*\*

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

\*\*\* NO OPERATING CATEGORIES FOUND \*\*\*

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

BE	PC	CODE	TITLE	EXPENDITURES	FCO
43010200	1602000000	ACT1020	HOLOCAUST VICTIMS ASSISTANCE	308,008	
43010400	1602000000	ACT1040	INSURANCE CONSUMER ADVOCATE	890,039	
43010500	1603000000	ACT1050	INFORMATION TECHNOLOGY - FLAIR	11,258,007	
43200100	1601000000	ACT2010	PASS THROUGH FROM PRISON INDUSTRY	481,749	
43200100	1601000000	ACT2180	FLAIR AND CMS REPLACEMENT PROJECT	12,852,583	
43200100	1601000000	ACT2190	ARTICLE V - CLERK OF THE COURTS	1,811,734	
43400100	1601000000	ACT4150	PURCHASE OF EXCESS INSURANCE	11,104,931	
43500400	1205000000	ACT5490	TRANSFER TO FLORIDA CATASTROPHIC	3,000,000	
43600100	1102020000	ACT6010	TRANSFER TO 1ST DISTRICT COURT OF	7,480,834	
43600100	1102020000	ACT6020	TRANSFER TO UNIVERSITY OF SOUTH	100,000	
43900110	1204000000	ACT9150	HURRICANE RATE/RISK MODEL	623,512	
43200100	1601000000	ACT9200	AMERICAN RECOVERY AND REINVESTMENT	476,932	
43900110	1204000000	ACT9220	TITLE INSURANCE ADVISORY COUNCIL	242,003	
43500400	1205000000	ACT9900	MY SAFE FLORIDA HOME PROGRAM	1,032,144	

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 TOTALS FROM SECTION I AND SECTIONS II + III:

DEPARTMENT: 43	EXPENDITURES	FCO
FINAL BUDGET FOR AGENCY (SECTION I):	302,643,077	
TOTAL BUDGET FOR AGENCY (SECTION III):	302,643,091	
DIFFERENCE:	-14	
(MAY NOT EQUAL DUE TO ROUNDING)	=====	=====



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

<b>Schedule XII Cover Sheet and Agency Project Approval</b>	
<b>Agency:</b> Financial Services	<b>Schedule XII Submission Date:</b> N/A
<b>Project Name:</b> N/A	<b>Is this project included in the Agency's LRPP?</b> _____ Yes _____ No
<b>FY 2010-2011 LBR Issue Code:</b> N/A	<b>FY 2010-2011 LBR Issue Title:</b> N/A
<b>Agency Contact for Schedule XII (Name, Phone #, and E-mail address):</b> Sarah Goodman, (850) 413-2114, <a href="mailto:sarah.goodman@myfloridacfo.com">sarah.goodman@myfloridacfo.com</a>	
<b>AGENCY APPROVAL SIGNATURES</b>	
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.	
<b>Agency Head:</b> N/A  <b>Printed Name:</b>	<b>Date:</b> N/A
<b>Agency Chief Information Officer:</b> N/A <i>(If applicable)</i>  <b>Printed Name:</b>	<b>Date:</b> N/A
<b>Budget Officer:</b> N/A  <b>Printed Name:</b>	<b>Date:</b> N/A
<b>Planning Officer:</b> N/A  <b>Printed Name:</b>	<b>Date:</b> N/A
<b>Project Sponsor:</b> N/A  <b>Printed Name:</b>	<b>Date:</b> N/A

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

<b>I. Background Information</b>	
1. Describe the service or activity proposed to be outsourced or privatized.	N/A
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?	N/A
3. Provide the legal citation authorizing the agency's performance of the service or activity.	N/A
4. Identify the service's or activity's major stakeholders, including customers, clients, and affected organizations or agencies.	N/A
5. Describe how the service or activity is currently performed and list the resources, including information technology services and personnel resources, and processes used.	N/A
6. Provide the existing or needed legal authorization, if any, for outsourcing or privatizing the service or activity.	N/A

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?
N/A

**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.

N/A

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?

N/A

3. List the criteria used to evaluate the options. Include a cost comparison as appropriate.

N/A

4. Based upon the evaluation criteria, identify and describe the advantages and disadvantages of each option.

N/A

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

N/A

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.
N/A
7. List the major risks for each option and how the risks could be mitigated.
N/A
8. Describe any relevant experience of other agencies, other states, or the private sector in implementing similar options.
N/A

<b>III. Information on Recommended Option</b>
1. Identify the proposed procurement method including the anticipated number of respondents.
N/A
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.
N/A
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.
N/A

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?
N/A
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.
N/A
6. Describe the agency's contract management process for the outsourced or privatization contract, including how the agency will address potential contractor nonperformance.
N/A
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.
N/A
8. Identify all other Legislative Budget Request issues that are related to this proposal.
N/A
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.
N/A

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.
N/A
11. Provide verification of vendor(s) agreement to comply with public records law.
N/A
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.
N/A
13. If applicable, provide a description of potential differences in current agency policies or processes and a plan to standardize or consolidate.
N/A

**SCHEDULE XIII  
PROPOSED CONSOLIDATED FINANCING OF DEFERRED-PAYMENT  
COMMODITY CONTRACTS**

<b>Contact Information</b>
<b>Agency:</b> Department of Financial Services
<b>Name:</b> Sarah Goodman
<b>Phone:</b> 413-2114
<b>E-mail address:</b> <a href="mailto:sarah.goodman@myfloridacfo.com">sarah.goodman@myfloridacfo.com</a>

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/statewide\\_financial\\_reporting/financing.htm](http://www.fldfs.com/aadir/statewide_financial_reporting/financing.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.

<b>1. Commodities proposed for purchase.</b>
N/A
<b>2. Describe and justify the need for the deferred-payment commodity contract including guaranteed energy performance savings contracts.</b>
N/A
<b>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).</b>
N/A
<b>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.</b>
N/A

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

**Agency:** Department of Financial Services

**Contact:** Sarah Goodman

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

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

Yes  No

- 2) If yes, please list the estimates for revenues and budget drivers that reflect an estimate for your agency for Fiscal Year 2010-2011 and list the amount projected in the long range financial outlook and the amounts projected in your Schedule I or budget request.

	Issue (Revenue or Budget Driver)	R/B*	FY 2010-2011 Estimate/Request Amount	
			Long Range Financial Outlook	Legislative Budget Request
a				
b				
c				
d				
e				
f				

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

\* R/B = Revenue or Budget Driver



**INFORMATION MANAGEMENT CENTER  
FISCAL YEAR 2010-2011**

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

**SCHEDULE IV-A**

<b>ISSUE #</b>	<b>(B/E Code) (B/E Title)</b>	<b>(B/E Code) (B/E Title)</b>	<b>(B/E Code) (B/E Title)</b>	<b>TOTAL</b>
<b><u>SALARIES AND BENEFITS</u></b>				
	N/A			
<b>TOTAL SALARIES AND BENEFITS</b>				
<b><u>OTHER PERSONAL SERVICES</u></b>				
	N/A			
<b>TOTAL OTHER PERSONAL SERVICES</b>				
<b><u>EXPENSES</u></b>				
	N/A			
<b>TOTAL EXPENSES</b>				
<b><u>OPERATING CAPITAL OUTLAY</u></b>				
	N/A			
<b>TOTAL OPERATING CAPITAL OUTLAY</b>				
<b><u>DATA PROCESSING SERVICE</u></b>				
	N/A			
<b>TOTAL ALL CATEGORIES</b>				
	N/A			

**DEPARTMENT OF FINANCIAL  
SERVICES  
(DFS)**

**SCHEDULE IV-B  
FOR  
3 PERCENT WITHHOLDING FOR VENDOR  
PAYMENTS<sup>1</sup>  
FOR  
FISCAL YEAR 2010-11**



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*The Florida Legislature*

**State of Florida**  
*Governor's Office of Policy and Budget*

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<sup>1</sup> This issue is titled as "Required FLAIR Modification due to Internal Revenue Code 3402 Mandate for Three Percent Withholding on Payments for Service and Property After December 2011" on Form D-3A

**July 1, 2010**

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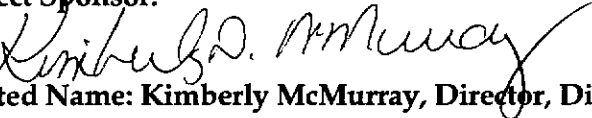
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**I. Schedule IV-B Cover Sheet**

Schedule IV-B Cover Sheet and Agency Project Approval	
<b>Agency:</b> Department of Financial Services	<b>Schedule IV-B Submission Date:</b> 12/1/09
<b>Project Name:</b> 3 Percent Withholding for Vendor Payments	<b>Is this project included in the Agency's LRPP?</b> ____ Yes <u> X </u> No
<b>FY 2010-11 LBR Issue Code:</b>	<b>FY 2010-11 LBR Issue Title:</b> 3 Percent Withholding for Vendor Payments
<b>Agency Contact for Schedule IV-B (Name, Phone #, and E-mail address):</b> Molly Merry, (850) 413-3097, <a href="mailto:Molly.Merry@myfloridacfo.com">Molly.Merry@myfloridacfo.com</a>	
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.	
<b>Agency Head:</b> (see signature page attached) <b>Printed Name:</b> Alex Sink, Chief Financial Officer	<b>Date:</b>
<b>Agency Chief Information Officer:</b> (see signature page attached) <b>Printed Name:</b> Abe Kani	<b>Date:</b>
<b>Budget Officer:</b> (see signature page attached) <b>Printed Name:</b> Sarah Goodman	<b>Date:</b>
<b>Planning Officer:</b>  <b>Printed Name:</b> N/A	<b>Date:</b>
<b>Project Sponsor:</b> (see signature page attached) <b>Printed Name:</b> Kimberly McMurray, Director, Division of Accounting and Auditing	<b>Date:</b>
Schedule IV-B Preparers (Name, Phone #, and E-mail address):	
Business Need:	Molly Merry, (850) 413-3097, <a href="mailto:Molly.Merry@myfloridacfo.com">Molly.Merry@myfloridacfo.com</a>
Cost Benefit Analysis:	Molly Merry, (850) 413-3097, <a href="mailto:Molly.Merry@myfloridacfo.com">Molly.Merry@myfloridacfo.com</a>

**I. Schedule IV-B Cover Sheet**

<b>Agency:</b> Department of Financial Services	<b>Schedule IV-B Submission Date:</b> 12/1/09
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<b>Agency Contact for Schedule IV-B (Name, Phone #, and E-mail address):</b> Molly Merry, (850) 413-3097, Molly.Merry@myfloridacfo.com	
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<b>Agency Head:</b>  Printed Name: Alex Sink, Chief Financial Officer	<b>Date:</b> 10.13.09
<b>Agency Chief Information Officer:</b>  Printed Name: Abe Kani	<b>Date:</b> 10.13.09
<b>Budget Officer:</b>  Printed Name: Sarah Goodman	<b>Date:</b> 10/13/09
<b>Planning Officer:</b>  Printed Name: N/A	<b>Date:</b>
<b>Project Sponsor:</b>  Printed Name: Kimberly McMurray, Director, Division of Accounting and Auditing	<b>Date:</b> 10/13/09
<b>Business Need:</b>	Molly Merry, (850) 413-3097, Molly.Merry@myfloridacfo.com
<b>Cost Benefit Analysis:</b>	Molly Merry, (850) 413-3097, Molly.Merry@myfloridacfo.com

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## II. Schedule IV-B Business Case

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

### A. Background and Strategic Needs Assessment

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

The mission of the Division of Accounting and Auditing (Division) is to settle accounts against the State, safeguard public assets and report the financial condition of the State. The Bureau of Accounting is responsible for several duties related to settlement of accounts (e.g., state disbursements) for the Division including the management of warrant stock; warrant stops, cancellations and reissues; Vendor Ombudsman; and Form 1099 reporting to the federal government. On June 1, 2009, the Bureau of Accounting also acquired the responsibility of maintaining the Florida Accounting Information Resource (FLAIR) system's Statewide Vendor File so that the State's purchasing system, SPURS, could be sunset.

The Bureau's current Form 1099 reporting process includes the collection and review of Form W-9s that provide required taxpayer information, maintaining taxpayer information and 1099 reportable transactions in the 1099 Information File, and year-end reporting to the IRS and vendors.

The 1099 reporting process must be modified due to a new federal mandate. The federal government has mandated (Public Law 109-222, Section 511, Tax Increase Prevention and Reconciliation Act of 2005) that all governmental entities spending more than \$100 million a year withhold 3 percent from vendor payments for goods and services, effective January 1, 2012. This deadline was extended by the federal stimulus package, "*American Recovery and Reinvestment Act of 2009*," from the original effective date of January 1, 2011. The draft IRS rules issued in December 2008 for this law require governments to withhold on individual payments of \$10,000 or more. The State issued 166,196 vendor payments in excess of \$10,000 to 19,113 vendors during fiscal year 2008-2009.

In order to comply with this law, the State will need to assess each vendor payment made to determine if it meets the criteria for withholding. This will be a two part process: 1) determine if the vendor meets the criteria for withholding based on its business designation (e.g., governmental entities, not-for-profits and government employees are exempt) and 2) determine if the nature of the payment meets the criteria for withholding (e.g., interest payments, payments for real property and certain welfare benefit payments are exempt). Once the State determines that a payment is subject to withholding, the State must calculate the 3 percent withholding, transfer this amount to a tax deposit account, and create a warrant or Electronic Funds Transfer (EFT) for 97 percent to the vendor. The 3 percent withholding must be remitted to the IRS on a predetermined schedule (most likely twice a week). At the end of each calendar year, the Bureau of Accounting must report to the vendor and the IRS the total amount withheld on the Form 1099.

- a. *Description of the existing or new agency program to be supported by the proposed information technology project* - Currently, DFS is responsible for most payment processing and 1099 reporting to the federal government. FLAIR's Central Accounting component is used to compile and maintain vendor and payment information necessary to comply with federal laws and IRS regulations concerning 1099 reporting. The current 1099 reporting programs accumulate payment information by vendor during the calendar year and report annual cumulative totals of \$600 or more to the IRS via a Form 1099, interest amounts of \$10 or more via a Form 1099-INT, and grant amounts of \$600 or more via a Form 1099-G. This accumulation of payment information is performed on the back-end of the payment process and is not currently designed to perform withholding at the time the vendor payment is processed. The 3 percent withholding law will require a revamping of the current 1099 programs within FLAIR and will significantly increase its complexity. The new law will require an interruption of the payment process to determine whether a payment is subject to 3 percent withholding and if so, perform the withholding. This is a significant change in the business process. In addition, the Bureau anticipates a significant increase in the number of annual 1099s prepared because the 3 percent withholding will be reported on a Form 1099 and vendors that were not previously subject to 1099 reporting will become reportable under the new law.
- b. *Identification of the customers and users of the agency program/service/business process* - Customers will consist of four groups: the Division of Accounting and Auditing, the Division of Information Systems (DIS), vendors, the Internal Revenue Service (IRS), and all state agencies. The Divisions of Accounting and Auditing and DIS are responsible for implementing and running the new program. The vast majority of cost for implementing this program will be in these two divisions. From an external perspective, the vendors will be significantly affected as their payments for goods and services will be split into a

97 percent payment back to the vendor and a 3 percent payment to the IRS. The Bureau anticipates that vendors will be confused about receiving 97 percent of the invoiced amount, which will likely result in higher volume of phone calls to agencies and the Bureau of Accounting. There will be a communication effort prior to implementation to educate vendors on the new law to mitigate this concern. The IRS will require funds to be collected and remitted on a regular basis and will annually review information provided by the Bureau of Accounting for accuracy. The state agencies were surveyed and the Bureau determined from their responses that FLAIR's Departmental Accounting component does not need to be significantly modified. The state agencies expect DFS to develop the program in a manner such that their business processes are minimally affected and vendor payment withholding information can be easily accessed to handle calls from vendors and research payments.

- c. *Description of the conditions that created the problem or opportunity being addressed by the project* - The 3 percent withholding law was created as part of the Tax Increase Prevention and Reconciliation Act of 2005, Public Law 109-222, Section 511, which was enacted into law on May 17, 2006. The proposed federal rules for this law were issued on December 5, 2008. A public hearing was held in the spring of 2009, but the IRS has not issued any additional guidance since the hearing was held. There has been no indication from the IRS on when final rules will be issued. The design currently being developed is based on the federal law and draft rules. The new process will not reduce the cost of operations, will not generate more revenues, and will not provide any savings. The purpose of this new law is to assist the IRS with collecting taxes on vendors and generating revenue for the federal government.
- d. *Magnitude of the problem or opportunity* - The magnitude of implementing this federal law is significant. FLAIR is not currently designed to withhold on vendor payments and the Bureau of Accounting cannot operationally handle the new law with existing resources. There are some similarities in the new law with the current withholding process for payroll. Staff that currently works in the payroll area, both from DIS and the Bureau of State Payrolls, will be very helpful in implementing certain areas of the new law. However, there are some areas of the new law that are more difficult and complex than the existing payroll withholding process. While the Division will utilize current payroll knowledge to assist with implementing the new law, vendor payment processing knowledge is critical to successful implementation.

Implementation of the new law will create an opportunity to substantially improve the data integrity of the State's vendor files within FLAIR. Currently, the State's vendor files have many invalid taxpayer identification numbers (TIN) due to agencies not obtaining valid TINs from vendors. Often, agencies

will create an invalid TIN to get a vendor into the vendor files so a payment can be made quickly. If this payment is subject to 1099 reporting, the invalid TIN is included on the Form 1099 to the IRS and may result in fines to the State. Although the IRS has never issued fines to the State for using invalid TINs, they are aware that the State's accounting system and business processes do not ensure accurate taxpayer reporting, and they could issue fines in the future. It is the goal of DFS to significantly improve the data integrity of the FLAIR vendor files. Implementing this new law will require a significant clean-up effort to ensure that money withheld and remitted to the IRS is processed under a correct TIN, which is imperative to a vendor receiving credit for their withholding.

Implementation of the new law will also create an opportunity to create a process for performing back-up withholding for vendors that have provided an invalid TIN or received an IRS B-Notice for other incorrect vendor information as required by federal law. Currently, the Department does not have a process to perform back-up withholding and remit the funds to the IRS. Each year the IRS reviews the data submitted for 1099 reporting purposes and returns B-Notices to the Division for vendors that have either an invalid TIN or a mismatch on the TIN and vendor's name. The Division will request an updated Form W-9 from the vendor in an effort to address the errors. The majority of errors from IRS B-Notices can be corrected with a revised Form W-9, but there are still a percentage of vendors that do not provide a valid TIN. For these vendors, the Division should be applying backup withholding to each payment.

Although the IRS has never issued fines to the State for not performing backup withholding, they are aware that the State's accounting system and business processes do not ensure accurate taxpayer reporting, and they could issue fines in the future.

- e. *Consequences if the agency fails to address the problem* - If the State does not implement the new law, it may be subject to several liabilities. First, payers that fail to withhold the tax imposed by this law are generally liable for the payment of the tax owed to the IRS unless it can prove that the payee has paid its income tax liability independently of the State. The dollar amount of 3 percent withholdings in a calendar year for the State of Florida is estimated to be over \$500 million a year when considering the amount of vendor payments made each year. Second, payers that fail to withhold the tax are liable for interest and will incur additional penalties depending on the time period taken to eventually remit the withholding amount. Third, annual Form 1099s to the IRS would not be correct, which could result in additional penalties of \$100 per Form 1099 with no cap. The fines under this scenario could run into millions of dollars per year.

- f. *Related or competing initiatives and projects that could affect current priorities supporting the project* – FLAIR is a large mission critical accounting system that requires dedicated resources in DIS to support ongoing maintenance and routine tasks. Examples of ongoing maintenance and tasks include the following:
- Support changes to MyFloridaMarketPlace processes and interfaces
  - Support changes to PeopleFirst processes and interfaces
  - Respond to over 850 Help Desk tickets each year
  - Provide over 160 files monthly to the Auditor General (AG) to support audits of state agencies' financial data
  - Perform other routine maintenance and resolving production problems (FLAIR staff spends 60% of their work time on such tasks). Production problems must be addressed immediately in order to prevent data corruption and FLAIR downtime.
  - Perform year-end processes. Each year several members of the FLAIR Central Accounting staff spend approximately 3 months (over 1100 hours) preparing for the fiscal year-end process. The year-end process includes closing cash balances from the prior year, opening cash balances for the current year and loading budgets to FLAIR from LAS/PBS in order to control agency spending.
  - Provide timely support for FLAIR data requests, including transparency initiatives for DFS as well as from the Legislature and the Governor's Office. The most recent example is associated with a request from the Governor's Office to provide financial data for their transparency website. To date, DIS has spent over 1,700 hours in support of this effort.
  - Respond to over 250 requests for public information each year
  - Performing system modifications to the FLAIR Payroll subsystem due to changes by the federal government, such as changes to withholding tables
  - Performing report modifications for production of the State's Comprehensive Annual Financial Report (CAFR)

In addition to maintenance activities discussed above, the DIS is also working on the following projects for fiscal year 2009-2010:

- Continuing modifications to the FLAIR Statewide Vendor File as a result of the sunset of SPURS
- EFT for Collections (i.e., allowing EFT payments to the recipients of monies deducted from state employee paychecks for child support, IRS levies, wage garnishments and student loans)
- Implementation of complex passwords for FLAIR's Departmental Accounting and Payroll Accounting as a result of the AG's findings
- International ACH Transactions mandated by the National Automated Clearing House Association (NACHA), which requires modifications to EFT disbursement files and the EFT Authorization File

- FLAIR modifications required to handle increased volume in unemployment compensation payments (i.e., enabling the use of Warrant Type 9)

The Bureau of Accounting's work on the SPURS Sunsetting Project in fiscal year 2008-2009 has impacted their ability to make design decisions on the 3 percent withholding requirement due to competing resources. Staffing the implementation of the 3 percent withholding project is a significant concern. The Bureau is currently limited to 3 FTEs dedicated to the 1099 processes.

## 2. Business Objectives

The following business objectives should be achieved in order for the project to be successful:

- Implement a design solution that meets the requirements of the new 3 percent withholding law by the federal deadline of January 1, 2012
- The solution should accurately split applicable vendor payments into a 97 percent payment to the vendor and a 3 percent payment to the IRS
- The solution should accurately apply backup withholding to applicable vendor payments based on an invalid TIN or the receipt of IRS B-Notices
- The solution should accurately report to the vendor and the IRS at calendar year-end the total amount of dollars withheld for 1099 reporting purposes
- The solution should accurately and timely transmit funds to the federal government
- The solution should accurately report the split payments for historical payment information to be used by the Division of Accounting and Auditing, agencies and vendors
- The project should result in improved data integrity in FLAIR's vendor files

The following measures will be used to measure the effectiveness of the proposed project:

- Implementation and withholdings begin on the required date of January 1, 2012
- Withholdings are remitted on dates required by the IRS
- No receipt of notices from the IRS regarding inaccurate or untimely withholding deposits
- Form 1099 electronic transmissions are made on the dates required by the IRS
- Form 1099 electronic transmissions are made within the new format requirements
- IRS sends notice of "acceptance" of Form 1099 electronic transmissions
- Number of B-Notices received from the IRS decreases from previous years
- Number of verified Form W-9s received from vendors increases from previous years

- Surveys to agencies to determine if tools/reports developed during the project are enabling them to research payments subject to withholding as needed
- Number of erroneous or out-dated vendors/sequences removed from the FLAIR vendor files

This project provides an opportunity to make significant strides in cleaning-up the FLAIR vendor files and improving its data integrity. This will have long-reaching benefits as it relates to data provided to the IRS, avoidance of IRS penalties, and any future implementation of an ERP to replace FLAIR. Because this is a federal mandate that only directly benefits the federal government, there is no direct cost benefit to the State. However, improving the data integrity of the vendor files should provide efficiencies in various areas, including the following:

- Reduction in IRS B-Notices
- Minimize the chance that withholdings will be posted to the wrong TIN
- Reduction in time agencies spend searching for the correct vendor in the vendor files
- Reduction in time fulfilling public records requests on vendor payments
- Improvement in reporting of vendor payment information on transparency websites
- Improvement in accuracy of accumulating payment data under the correct TIN

## B. Baseline Analysis

### 1. Current Business Process Requirements

There is no current business process for performing withholding on vendor payments. However, DFS is responsible for the majority of payment processing and 1099 reporting to the federal government. This section will be based on the current Form W-9, vendor payment, IRS B-Notice and 1099 reporting processes.

#### Form W-9 Process

Form W-9s are critical to the State's objective of sending accurate 1099 information to the IRS. FLAIR runs a program each month to determine which vendors in the 1099 Information File do not have a Form W-9 on file. These vendors are sent a letter requesting the submission of a Form W-9 so the State's records can reflect accurate taxpayer information. This letter contains a blank Substitute Form W-9 used by the State of Florida. Vendors should complete the Substitute Form W-9 and submit it via mail or fax to the Bureau of Accounting.

In preparation for the 3 percent withholding mandate, DFS started sending a Substitute Form W-9 to any vendor with a 1099 reportable payment where a Form W-9 is not on file, regardless of dollar amount in February 2009. Prior to this date, a Substitute Form W-9 was only sent to vendors who had accumulated at least \$600 in 1099 reportable payments (i.e., the minimum threshold for filing a 1099). This will ultimately result in improved data integrity in the FLAIR vendor files.

DFS acquired responsibilities for maintaining the Statewide Vendor File in FLAIR as part of the SPURS Sunsetting Project. On May 21, 2009, DFS issued Agency Addressed Memorandum No. 14 (2008-2009) requiring agencies to obtain a valid Form W-9 from any new vendor prior to adding a vendor record in the FLAIR Statewide Vendor File. Agencies are required to submit the completed Form W-9 to the Bureau of Accounting. However, DFS still runs a monthly Form W-9 request program that searches for any 1099-reportable payment for which the vendor does not have a Form W-9 on file.

Once the Bureau of Accounting receives a Form W-9 either from the vendor or an agency, staff reviews the form for completeness and accuracy of information. For example, staff will review the TIN provided on the form to see if it appears to be a valid number (i.e., a TIN with all "9s" is obviously not a valid TIN). Also, staff reviews the business designation provided on the form to see if it is reasonable based on the taxpayer's name. If obvious errors are detected, the vendor will be contacted to request an updated Form W-9. Once the Form W-9 has been reviewed, the information from the form is input into the 1099 Information File. Since issuing the Agency Addressed Memorandum in May and the process change made in February 2009, the number of Form W-9s being submitted to the Bureau of Accounting has nearly doubled, from 1,000 per month to 1,900 per month.

*Inputs:*

- All Form W-9s are currently in paper format and submitted to the Bureau either by the agency doing business with the vendor or by the vendor

*Processing:*

- Manual verification of information provided on the Form W-9
- Manual input of Form W-9 information into the 1099 Information File
- Correction to existing vendor information in the 1099 Information File, if needed
- Corrections/updates to existing vendor information in the FLAIR Statewide Vendor File, if needed
- Contact MFMP regarding any conflicting vendor information received for MFMP vendors



- Scan and index all Form W-9s

*Outputs:*

- Letters to vendors without a Form W-9 on file
- Updated or new taxpayer information recorded into the 1099 Information File
- Updated taxpayer information recorded in the FLAIR Statewide Vendor File
- Reports generated by FLAIR on Form W-9 information

*Interfaces:*

- None

*Other concerns:*

- Vendors failing to respond to the Bureau's requests for a Form W-9
- State agencies entering bad addresses therefore resulting in misdelivered mail when sending out Form W-9 requests
- MFMP does not require self-registering vendors to complete a Form W-9 prior to finalizing their registration and does not take steps to assist DFS with correcting vendor's information in MFMP that does not agree with the Form W-9
- Agencies frequently input invalid TINs into FLAIR in order to quickly get the vendor paid
- Bureau of Accounting's 3 FTEs dedicated to the 1099 process are overwhelmed with the workload of collecting and reviewing Form W-9s due to the new requirements

B-Notice / Backup Withholding Process

DFS is required to send a preliminary file of 1099 transactions from the previous calendar year to the federal government each year by the end of March and a corrected file by the end of July. The IRS compares taxpayer information on the final file with their records and sends DFS a B-Notice file in late October. This file provides all 1099 TIN matching errors. The TIN matching errors may be the result of a TIN that is not on file for any taxpayer (referred to as a Type 2 error), or the TIN provided by the State does not match the taxpayer name on file with the IRS (referred to as a Type 3 error and usually caused by a naming convention discrepancy). The State has 15 days from the date on the IRS notice to mail out B-Notice letters to vendors deemed to have reported under an incorrect TIN. The letter to vendors includes a blank Substitute Form W-9 for their completion and submission back to DFS. The letter informs the vendor that failure to respond to the request may result in any future payments being subject to backup withholding. Backup withholding at a rate of 28 percent is required by

the IRS if the State does not have accurate TIN information on the payee. FLAIR cannot currently perform backup withholding, which puts the State at risk of IRS penalties.

*Inputs:*

- Electronic B-Notice file from the IRS

*Processing:*

- Electronic B-Notice file is loaded into FLAIR's 1099 Information File
- FLAIR generates a B-Notice letter to applicable vendors
- Bureau of Accounting mails the letter along with a blank Substitute Form W-9 to the vendor requesting updated information

*Outputs:*

- B-Notice letter to applicable vendors

*Interfaces:*

- Interface between the IRS and FLAIR allows for the receipt of the B-Notice file

*Other concerns:*

- FLAIR is not currently designed to perform backup withholding. This issue will be addressed with the implementation of 3 percent withholding.

### 1099 Reportable Payment Process

The payment process begins with recording vendor information in one of the State's vendor files: Statewide, Client, or Regular. Vendor records can be added by the vendor registering in MFMP and the information being transmitted to the FLAIR Statewide Vendor File or added directly to any of the files by a state agency doing business with the vendor. FLAIR does not have a vendor number separate from the TIN. The key field for a vendor record is the vendor's TIN.

Payment requests to vendors are initiated by the state agencies, generally through FLAIR's Departmental Accounting component. The accounting data (i.e., FLAIR object code) that is input by the state agency on the payment request determines if the payment is 1099 reportable under current law. The accuracy of the accounting data that is input by the agency is critical to the 1099 reporting process.

FLAIR's Central Accounting component processes payment requests (i.e., vouchering) submitted during nightly processing by the Departmental

Accounting component. FLAIR's Central Accounting component provides functionality for audit and approval of all payment requests. The Central Accounting component also identifies payments made with a 1099 reportable object code and sends the applicable payment information to the 1099 Information File. The collection of 1099 reportable payment information is performed nightly on the back-end of Central Accounting's payment approval and warrant/EFT creation process. The 1099 Information File accumulates the 1099 reportable payment information by TIN and reports annual totals over \$600 to the IRS via a Form 1099.

*Inputs:*

- Vendor information is sent via the MFMP registration process
- Vendor information is entered directly into FLAIR by state agencies. Agencies initiated over 4.6 million expense payments in fiscal year 2008-2009.

*Processing:*

- FLAIR has several edits built into the vouchering and payment approval process. The system will look for a current Vendor ID and reject the transaction if one does not exist. It will calculate the line item and voucher totals for accuracy. It will reverse voucher entries if a line item or voucher is deleted.
- When a payment is made to a vendor that is determined to be 1099 reportable, FLAIR updates the 1099 Information File with this payment information

*Outputs:*

- FLAIR will create either a paper warrant or an EFT transaction based on the vendor information recorded on the payment request
- Vendors receive a remittance advice for both warrants and EFTs which provides basic information about the payment. This assists the vendors with matching state payments to invoices and provides contact information for the agency issuing the payment.
- FLAIR posts payment information to a Vendor History website so vendors can research their payments
- Vendor payment information is also posted to the Sunshine Spending website located under the "Florida's Checkbook" webpage for the public to view

*Interfaces:*

- Interface between MFMP and FLAIR
- Interface between FLAIR's Departmental Accounting component and Central Accounting component

- Interface between Central Accounting component and the 1099 Information File
- Interface between FLAIR and the State's bank for EFT vendors

*Other concerns:*

- The accuracy of the TIN entered into the vendor files is critical for reporting and has been problematic for the State. The current business process does not provide controls to ensure that TIN information entered into the system are accurate therefore allowing many vendor records to have an invalid TIN.
- Social Security Numbers (SSNs) are considered confidential. As such, full SSNs are not displayed on DFS websites, and are only used for accumulating payments and reporting required information to the IRS.
- Agencies continue to have problems coding purchasing card (P-card) transactions correctly, as they often select any TIN with a similar name when approving the P-card payment to the vendor. If the correct vendor is not selected, this can result in a 1099 being reported to the IRS for the wrong taxpayer.

Form 1099 Reporting Process

At the end of the calendar year, DFS prepares Form 1099s for all reportable payments, submits the form information to the IRS electronically, and issues hard-copy Form 1099s to all applicable vendors. Currently, the Bureau of Accounting sends out approximately 22,000 Form 1099s to vendors.

*Inputs:*

- 1099 reportable payments from Central FLAIR

*Processing:*

- FLAIR queries all 1099 reportable payments in the 1099 Information File and determines which vendors have accumulated calendar year payments of \$600 or more and \$10 or more for interest payments
- FLAIR generates 1099-Misc, 1099-Gs or 1099-Misc for all applicable payments
- DFS mails out Form 1099s to vendors by January 31 for the previous calendar year. DFS is required to send a preliminary file of 1099 transactions to the federal government each year by the end of March and a corrected (final) file by the end of July.

*Outputs:*

- Paper Form 1099s for distribution to vendors/payees. Vendors and payees will use the Form 1099 to report income taxes to the IRS.

- Electronic 1099 files to the IRS. The IRS uses this information to confirm amounts reported as income by taxpayers.

*Interfaces:*

- Interface between FLAIR and the IRS for 1099 information transmission and error notices from the IRS.

Business Process Participants

The following are business process participants, users and stakeholders and their respective roles and responsibilities:

- ***Division of Accounting and Auditing, Bureau of Accounting*** – Responsible for the collection and review of Form W-9s from vendors/payees, maintaining the FLAIR Statewide Vendor File, preparing Form 1099s for most state payments, and responding to IRS B-Notices. The Bureau of Accounting will also be responsible for identifying the business requirements and developing the 3 percent withholding business processes required to implement the new law and supporting the new business processes once implemented.
- ***Division of Information Systems*** – Responsible for maintaining the 1099 Information File, generating Form 1099s, and transmitting the 1099 files to the IRS upon request by the Bureau of Accounting. The Division will also be responsible for preparing the FLAIR functional and technical specifications for the 3 percent withholding business process, making the modifications to FLAIR and supporting the new functionality once implemented.
- ***State agencies (approximately 16,000 users)*** – Agencies are responsible for obtaining Form W-9s from all new vendors not registered in MFMP and remitting forms to the Bureau of Accounting, inputting correct vendor information in the FLAIR vendor files when adding a new vendor, selecting the correct TIN when processing a payment, and coding payments to the correct object code. Agencies will also have a roll in responding to DFS surveys involved with the 3 percent withholding design and providing feedback on design issues.
- ***MFMP*** – Responsible for maintaining a vendor self-registration process and assisting the Bureau of Accounting with the collection of valid Form W-9 information for MFMP vendors. MFMP will also have a role in implementing an electronic Form W-9 to assist with the collection of TIN information from MFMP vendors, and providing communication to vendors regarding the new 3 percent withholding law.
- ***Vendors*** – Responsible for submitting a valid Form W-9 when doing business with the State. Vendors will be directly impacted when the 3 percent withholding is implemented. It will be imperative that vendors

submit a valid Form W-9 to the State prior to submission of their first invoice so that their withholding can be properly credited to the IRS when processing payments and 1099 reporting will be accurate.

- **IRS** - The IRS currently receives 1099 information from the State and sends the State B-Notice files each October. The IRS is the ultimate beneficiary of this new law, as they will be receiving revenues collected from the withholdings.

### Process Mapping

Process maps are located in Appendix A

## 2. Assumptions and Constraints

- a. The most significant constraint is the federally mandated implementation date, January 1, 2012, and the lack of final guidance from the U.S. Treasury. The law itself provides no detailed instructions that could be used to design required modifications. The U.S. Treasury issued proposed rules for this law on December 5, 2008, but some issues were still unresolved. A public hearing was held in the spring of 2009, but the IRS has not issued any additional guidance since the hearing was held. There has been no indication from the IRS on when final rules will be issued.
- b. A constraint is obtaining a new Form W-9 from all vendors doing business with the State. The new law will likely result in the IRS revising their Form W-9 thus requiring the State to obtain new Form W-9s on vendors with Form W-9s already on file, as well as obtaining Form W-9s on all vendors without forms on file (over 200,000 vendors). Getting vendors to respond to the Division's request for a Form W-9s will be problematic. The Division plans to automate the submission of an electronic Form W-9. However, this will not eliminate the need to validate the information provided via the electronic Form W-9.
- c. A constraint is the State's ability to validate TINs provided by vendors prior to submitting 1099 files to the IRS. The IRS has a TIN Matching Program that allows states to submit TINs and taxpayer names either online or in a batch to validate the TIN. However, this program has limitations. The current policy of the IRS is to not provide specific information if the taxpayer information submitted does not match with the IRS' information. For example, if a TIN and taxpayer name is submitted, the IRS will only respond with a code indicating either the TIN matches or does not match. It gives no further information, such as what TIN the IRS has on file for that taxpayer, or whether the taxpayer name is only slightly mismatched. Therefore, this

program has limited benefit for correcting errors.

- d. A constraint is MFMP's ability to implement an electronic Form W-9 and requiring it to be submitted and validated by FLAIR before a vendor can be registered within the system. The majority of vendors doing business in the State register with MFMP. MFMP provides a link to DFS' Form W-9 website during the registration process, but do not require validation of a completed Form W-9 prior to Vendor completing their registration. MFMP's ability to implement and require a completed electronic Form W-9 is critical to successfully implementing the new 3 percent withholding law.
- e. A significant constraint is the number of resources available to support the new business processes. The Bureau of Accounting currently has only 3 FTEs dedicated to the 1099 process. The additional responsibilities on preparing, implementing and supporting the new 3 percent withholding process will overwhelm the current staff. Additional responsibilities will include but not be limited to:
  - Obtaining Form W-9s from all vendors (currently over 200,000 active vendors)
  - Managing a single file, FLAIR Statewide Vendor File, for all vendor records
  - Managing increased volume of calls from vendors
  - Educating agencies on the importance of using correct object codes and processing corrections as needed
  - Providing assistance to agencies in researching payments
  - Significant reconciliation processes associated with the collection and remittance of the 3 percent and backup withholding to the IRS on a regular basis (anticipated to be twice per week).
- f. A constraint is the Department's inability to control requests for FLAIR data/modifications from external customers (e.g., Department of Management Services, Legislature, Governor's Office, AG, citizens, etc.). The DIS staff is fully utilized for FLAIR maintenance and other routine tasks without considering the support for implementation and maintenance of 3 percent withholding. When external customers request FLAIR data, DIS must halt normal activities in order to respond.
- g. A significant constraint is the number of resources available to support the modifications and maintenance to FLAIR for the new functionality. The Bureau of Accounting Systems Design and the Bureau of Programming Design are fully utilized for FLAIR maintenance. The additional responsibilities for designing, programming, and maintenance of the new 3

percent withholding functionality will overwhelm the current staff. Additional responsibilities will include but not be limited to:

- Modification and maintenance to the W-9 files
- Modification and maintenance to the 1099 files
- Modification and maintenance to the Contract Information files
- Creation and maintenance of the 3 percent and backup withholding process including the selection of applicable payment transactions, calculation of withholding, creation of split transactions for warrant/EFT processing, and creation of remittance files for the IRS
- Modification and maintenance of the warrant cancellation process
- Modification and maintenance of the EFT return and reversal process

### C. Proposed Business Process Requirements

#### 1. Proposed Business Process

The proposed solution must meet the federal requirements established in the law and U.S. Treasury regulations, as well as the business needs of the State of Florida. The IRS has not issued final regulations for this law and has not indicated when they will be issued. Therefore, the design must proceed based on the current law and draft regulations issued on December 5, 2008.

#### General Requirements

- Implement on January 1, 2012
- Consider final IRS regulations, which may not be issued until much closer to the implementation date
- Satisfy the IRS' requirements to avoid potential penalties to the State. Note - Governments who fail to withhold shall be liable for the payment of tax regardless of whether they collect the tax from the taxpayer, unless it can demonstrate that the taxpayer reported the amounts that were subject to withholding on its tax return and paid the income tax due.
- Ensure that the solution does not have a detrimental effect on normal FLAIR operations
- Satisfy the needs of vendors (e.g., provide vendors with the information necessary to understand the payments they are receiving from the State and what amounts are being remitted to the IRS).
- Satisfy the agencies' needs for accessing payment information and reporting
- Ensure that reports are developed for the Bureau of Accounting to properly monitor the new business processes
- Develop training on the new law for agencies so they will be educated and able to communicate effectively with their vendors



- Develop training for new staff within the Bureau of Accounting that will be managing the new processes and communicating with agencies and vendors on a daily basis regarding payments, withholding, tax remittance, etc.
- Develop training for staff within the Help Desk in DIS that will be answering calls from agencies regarding FLAIR functionality as it relates to 3 percent withholding

#### Form W-9 Process

- Expand the Business Designation on Form W-9 to align with requirements of the 3 percent withholding law and draft regulations. This will include adding a business designation for Indian tribal governments and expanding requested information for pass-through entities, such as S-corporations and partnerships, to include a request for business designations of those having ownership in a pass-through entity.
- Develop and implement an electronic Form W-9 and coordinate with MFMP
- Edit and validate Form W-9 information, possibly through the IRS TIN Matching Program
- Collect Form W-9s on all vendors, with prioritization going to vendors that potentially could receive 1099 reportable payments or will be subject to the new 3 percent withholding law

#### B-Notice/ Backup Withholding Process

- B-Notice file from the IRS should trigger flag in FLAIR to perform 28 percent backup withholding on any future payments
- Create notification to the vendor that backup withholding has been initiated and will not be removed until a valid Form W-9 is supplied
- Establish process to perform backup withholding and remit to the IRS on their required schedule

#### 1099 Reportable Payment Process and 3 Percent Withholding

- Interrupt the payment process in FLAIR just prior to issuing payment to determine whether a payment is subject to 3 percent withholding. If not, the payment process should continue. If so, the process should calculate the 3 percent withholding, record and send the withholding to a new tax deposit account, issue a warrant/EFT for 97 percent of the payment amount, and report the transaction correctly in FLAIR, on vendor remittances, and all related websites/other reporting.
- Apply withholding to applicable vendor payments of \$10,000 or more on goods and services
- Design payment selection criteria to meet IRS requirements, as follows:
  - Exclude payments for interest, real property, need based public assistance or public welfare programs, unemployment compensation, and annuities
  - Exclude payments made under an emergency executive order

- Exclude payments made to governmental entities, Indian tribal governments, nonresident aliens and foreign individuals, and pass-through entities where 80 percent or more of the entity is owned by a governmental entity
- Exclude payments made on contracts in effect on the later of December 31, 2011, or the date six months after the publication of final regulations. This may require a significant business process change for reporting contract dates when processing a payment related to a contract, and may include a requirement for all agencies to input contract dates into FLAIR.
- Include vendor payments made via the P-card
- Include payments made to utility companies
- Review and update the current object code list to align with the 3 percent withholding law. This will likely result in new codes being added and significant training effort with the state agencies on the proper coding of transactions.
- Establish a new tax deposit account and test with the IRS
- Develop a new business process to perform withholding adjustments due to agency coding errors, warrant/EFT cancellations, EFT returns, etc. This will involve creating a daily reconciliation process to adjust the tax deposit account based on these adjustments and remitting reconciled amounts to the IRS
- Follow deposit and reporting of amounts withheld as required by federal law. Deposits with the IRS will likely be made at least twice a week.
- Ensure that vendors are properly notified of withholdings on remittance advice
- Ensure that agencies have sufficient reports available to research vendor questions related to payments
- Ensure that websites reporting vendor payment information are updated accordingly

#### Form 1099 Reporting Process

- Update the State's Form 1099 to match the anticipated revisions to the federal government's Form 1099, and make final updates once new form is issued by the IRS
- Develop a business process to reconcile withholdings reported weekly to the IRS with annual 1099 transmissions

#### Vendor Data Integrity

- Collect valid TINs and other taxpayer information and record on the vendor's record in the FLAIR vendor files. This will involve revamping the business process for collecting and validating Form W-9s from vendors.

The proposed solution to this project will address all the requirements above. Other than the actual design for modifications to FLAIR, the most critical requirement relating to this implementation is the clean up and improvement of business processes for recording vendor information in the FLAIR vendor files. The requirements of the IRS should be fairly clear once final regulations are issued. However, without accurate vendor records, the State may still be subject to IRS fines and complaints from vendors when payments are not withheld correctly or submitted to the IRS under the correct TIN. This project provides an opportunity to perform this cleanup which has been needed for many years.

The following business process participants will be impacted or will receive benefits as a result of this project:

- ***Division of Accounting and Auditing, Bureau of Accounting*** – The Bureau will have a significant impact from this law. The Bureau will be responsible for the functional design for the implementation and will run the program once implemented. This will require an increase in staff and a reorganization of the Bureau, as well as significant changes to current business processes.
- ***Division of Information Systems*** – The Division will also have a significant impact from this law. The Division will be responsible for making the FLAIR modifications and maintaining the new functionality once implemented. This will require an increase in staff and new business processes.
- ***All state agencies (including 16,000 FLAIR users)*** – Agencies will see an increase in effort to assist DFS on vendor file clean up prior to implementation and additional effort in educating staff and communicating with vendors after implementation of the 3 percent withholding process. Agencies will need to attend training, developed by DFS, and include additional training and communication to their staff on proper coding for vendor payments in FLAIR.
- ***MFMP*** – MFMP will be impacted, as they will need to implement an electronic Form W-9 to assist with the collection of TIN information from MFMP vendors. In addition, MFMP will need to assist with communicating to its vendors regarding the 3 percent withholding law.
- ***IRS*** – The IRS is the ultimate beneficiary of this new law, as they will receive the revenue collections
- ***Vendors doing business with the State of Florida*** – The ultimate impact of this new law will be the vendors, who will have 3 percent of their payments withheld and sent to the IRS. Vendors have a responsibility to submit a valid Form W-9 to the State so their withholding can be properly credited to the IRS and 1099 reporting is accurate.

## 2. Business Solution Alternatives

Three alternatives have been proposed based on the requirements to implement this federal mandate. The first two alternatives involve making modifications in FLAIR, with two different approaches. The last alternative contemplates using a commercial off-the-shelf (COTS) solution.

*Alternative 1* - Modify the payment (i.e. voucher) request processes within components of FLAIR's Departmental Accounting

This alternative will require new functionality in FLAIR's Departmental Accounting that will select the payment requests that need to be assessed the 3 percent withholding, calculate the 3 percent withholding on selected payments, create appropriate accounting transactions, and submit the required data to FLAIR's Central Accounting component during nightly processing. These transactions will update agency voucher processing, modify Departmental Accounting's balances to reflect the net amount to the vendor, update the 3 percent withholding for the IRS and revise the total amount of the payment requested by the agency.

Additionally, interfaces within FLAIR's Central Accounting component will need to be modified to include withholding information submitted by FLAIR's Departmental Accounting. The online functionality will be modified so that the Division of Accounting and Auditing can monitor and audit disbursements with the appropriate withholding detail. Warrant processing will change to accommodate the gross and net disbursement to the vendor via the remittance advice and addenda records on the EFT payments. FLAIR's Central Accounting 1099 system will be re-written to capture and report payment and withholding, as well as adjustments to the IRS, and transmit the withheld funds daily. The system will also need to report withholding to the IRS at year-end.

The FLAIR Information Warehouse (IW) will need to be modified to reflect the changes in both FLAIR's Departmental and Central Accounting components. In addition, the vendor payment website, which accesses the IW data, will need to be modified, as well as the Sunshine Spending website.

This approach has a large impact to the business processes performed by state agencies. The number of computer programs that would need to be assessed for possible modification is 4,715.

*Alternative 2* - Modify FLAIR's Central Accounting components for payment approval and 1099 reporting processes

This alternative will require new functionality in FLAIR's Central Accounting that will select the payment requests that need to be assessed the 3 percent withholding, calculate the 3percent withholding on selected payments, and create appropriate Central Accounting transactions. The online functionality will be modified so that the Division of Accounting and Auditing can monitor and audit disbursements with the appropriate withholding detail. Warrant processing will change to accommodate the gross and net disbursement to the vendor via the remittance advice. FLAIR's Central Accounting 1099 system will be re-written to capture and report payment and withholding as well as adjustments to the IRS and transmit the withheld funds daily. The system will also need to report withholding to the IRS at year-end. This option will create reconciliation issues for state agencies because payment amounts within FLAIR's Departmental Accounting will not reflect the withholding.

The IW will need to be modified to reflect the changes to FLAIR's Central Accounting. In addition, the vendor website, which accesses the IW data, will need to be modified, as well as the Sunshine Spending website.

This approach has minimal impact to state agencies. The number of computer programs to be assessed for possible modification is 3,185.

*Alternative 3* - Use a COTS package to run payments through for determination of 3 percent applicability and process payments accordingly.

The Department has not been able to identify software packages currently available to perform this function. If software were available, it would need to be integrated with the FLAIR payment process, which would likely be as significant a change, if not more significant, than programming the changes directly into FLAIR. Off-the-shelf software would not eliminate the need to interrupt the payment process, design a method for determining applicability to 3 percent withholding, report split payments, update the IW and update vendor history websites accordingly.

### 3. Rationale for Selection

Based on JAD sessions held internally within DFS and a survey sent to agencies in January 2009, the Department believes that Alternative 1 is not necessary. Agencies that responded to the survey indicated that they do not need FLAIR's Departmental Accounting records updated for the 3 percent withholding as long as DFS provides the necessary reports to research payments and report when payments have been withheld. Therefore, Alternative 1 is no longer under consideration.

The Department is not aware of an off-the-shelf software package specifically designed for 3 percent withholding. If this type of software was available, integration would be difficult and would result in the highest level of risk and training. The rationale for selecting the best solution is based on the least intrusive and least expensive option, with the desired outcome that meets the needs of DFS and state agencies.

4. Recommended Business Solution

Alternative 2 – Modify FLAIR’s Central Accounting components for payment approval and 1099 reporting processes.

This alternative would result in minimal impact to state agencies and require less programming by DIS.

### III. Schedule IV-B Cost Benefit Analysis

A. The Cost-Benefit Analysis Forms – see Appendix C

<b>Cost Benefit Analysis</b>	
<b>Form</b>	<b>Description of Data Captured</b>
<i>Benefits Realization Table</i>	A detailed description of all benefits identified for the project, including both tangible and intangible benefits. Each benefit identifies the recipient of the benefit, how and when it is realized, how the realization will be measured.
<i>CBA Form 1 - Net Tangible Benefits</i>	Agency Program Cost Elements: Existing program operational costs versus the expected program operational costs resulting from this project. The agency needs to identify the expected changes in operational costs for the program (s) that will be impacted by the proposed project.  Tangible Benefits: Estimates for tangible benefits resulting from implementation of the proposed IT project, which correspond to the benefits identified in the <i>Benefits Realization Table</i> . These estimates appear in the year the benefits will be realized.
<i>CBA Form 2 - Project Cost Analysis</i>	Project Cost Elements: Estimated project costs for personnel, hardware software, consultants and other contracted services through project design, development, and implementation.  Project Funding Sources: Identifies the planned sources of project funds, e.g., General Revenue, Trust Fund, Grants.
<i>CBA Form 3 - Project Investment Summary</i>	Investment Summary Calculations: Summarizes total project costs and net tangible benefits and automatically calculates:  Return on Investment Payback Period Breakeven Fiscal Year Net Present Value Internal Rate of Return

B. Cost Benefits Realization Table

<b>BENEFITS REALIZATION TABLE</b>						
	<b>Description of Benefit</b>	<b>Tangible or Intangible</b>	<b>Who receives the benefit?</b>	<b>How is the benefit realized?</b>	<b>How will the realization of the benefit be assessed/measured?</b>	<b>Realization Date (MM/YY)</b>
<b>1</b>	Compliance with federal law	Tangible	State of Florida and U.S. Treasury	State - through penalties not being assessed for non-compliance, and U.S. Treasury through the timely collection of revenues	Measured by estimated IRS penalties of \$100 per Form 1099 with no cap	01/2012
<b>2</b>	Vendor data integrity	Intangible	State of Florida and the IRS	Implement vendor record edits and monitor vendor record changes resulting in improved reporting and the consolidation of vendor records	Reduction in 1099 reporting corrections and reduction in IRS B-Notices	12/2011 - 1099 reporting corrections  10/2012 - IRS B-Notices
<b>3</b>	Form W-9 automation	Intangible	Vendors and the Department of Financial Services	Integrated, automated forms to reduce manual processes	Reduction of manual effort to input Form W-9 information	12/2010
<b>4</b>	Improved reporting on disbursements to vendors	Intangible	Vendors, citizens and the State of Florida	Improved accuracy and timeliness of reports	Reduction in time spent validating data on reports	12/2012
<b>5</b>	Sustainability of FLAIR operations	Intangible	State of Florida	Retention of expertise needed for maintenance of FLAIR	Number of experienced staff available to support development and maintenance requests for FLAIR	12/2013



### C. Cost-Benefit Analysis Results

The tangible benefit of this project is compliance with federal law and therefore no assessment of penalties from the IRS. The IRS has not issued guidance on the penalties that will be assessed for non-compliance with the 3 percent withholding requirements. However, the Department is using the current penalties for non-compliance with 1099 reporting, \$100 per Form 1099 with no cap, to estimate the tangible benefit for this project.

There are several intangible benefits for developing and implementing new business processes associated with the 3 percent withholding for vendor payments. These include:

- Improving the integrity of vendor information by implementing new edits and performing clean up on existing data
- Automating the Form W-9 so that vendors can submit the form timely, with fewer errors, and minimizing the manual effort for entering the information into the system.
- Implementing new processes and edits that improve the accuracy of identifying 1099 reportable transactions
- Obtaining additional technical staff that will gain the expertise required to sustain FLAIR for at least the next five years.

## IV. Major Project Risk Assessment Component

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

### A. Risk Assessment Tool – see Appendix D

Eight major project risk assessment areas:

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

### B. Risk Assessment Summary

The 3 Percent Withholding for Vendor Payments project is rated by the Risk Assessment Tool as having an overall high risk. The Risk Assessment Tool identified 3 risk assessment areas (e.g., Strategic, Change Management, Project Complexity) as being a “High” risk for the following reasons:

- The project’s duration is currently anticipated to be between 3 to 5 years
- The project will impact a high number of internal entities (i.e., all state agencies)
- The project currently does not have an approved Change Management Plan
- The project will require business process changes for all state agencies

The Department has implemented similar projects with this level of complexity and impact to state agencies. The expertise within the Bureau of Accounting, Bureau of Accounting Systems Design, and Bureau of Programming Design will be leveraged to mitigate these risks.

The Division of Accounting and Auditing will also be leveraging the expertise within the Enterprise Education section to develop and implement a Change Management Plan as part of the project’s activities in year two.

## V. Technology Planning Component

Technology Planning Section	\$1-1.99M	\$2 - 10 M		> \$10 M
		Routine upgrades & infrastructure	Business or organizational change	
Current Information Technology Environment		X	X	X
Proposed Solution Description	X	X	X	X
Capacity Planning	X	X	X	X
Analysis of Alternatives	X	X	X	X

### A. Current Information Technology Environment

#### 1. Current System

DIS provides network, application development, and disaster recovery services to support FLAIR.

- a. *Description of current system:* FLAIR, formerly known as the State Automated Management Accounting Subsystem (SAMAS), is a double entry, computer based general ledger accounting system consisting of four components:

- **Departmental Accounting:** Maintains agency accounting records and is utilized at the end of each fiscal year to prepare financial statements in accordance with generally accepted accounting principles. Supported by 362 database files containing 90 million records.
- **Central Accounting:** Maintains cash basis records and is used by the CFO to ensure that expenditures are made in accordance with the legislative appropriations. Supported by 52 database files containing 45 million records.
- **Payroll Accounting:** Calculates gross payroll deductions and net pay for the State's employees. Supported by 74 database files containing 17 million records.
- **Information Warehouse:** A reporting system that allows users to access Central Accounting information, most Departmental Accounting information, and some Payroll Information in FLAIR. Supported by 235 database files containing 1.1 billion records.

#### User and processing information

- Approximately 16,000 users have access to FLAIR
- Approximately 700 concurrent users during the work day
- All users are state employees

- FLAIR's Central Accounting supports up to 100 external batch interfaces each day
- FLAIR's Departmental Accounting supports more than 500 external batch interfaces each day
- FLAIR's Payroll Accounting supports over 400 external batch interfaces each payroll processing day
- FLAIR runs over 3,000 automated batch processes each day
- FLAIR's Central accounting processes over 15 million payments each year
- FLAIR's Departmental Accounting processes over 60 million general ledger accounting transactions per year

#### Hardware/Software

- FLAIR runs on an IBM Z9mainframe, Model is 2096-X03 with 1086 mips
  - The mainframe's operating system is Z/OS 1.9
  - Current online and batch programming is in Natural & COBOL
  - All production data is stored in ADABAS
  - The Information Warehouse ETL processes are written in Natural for DB2 and the data is stored in DB2
  - FLAIR processes are defined in 2,513 detailed functional/technical specifications
  - FLAIR functionality is provided by over 7,521 Natural modules and COBOL programs
- b. *Current system resource requirements:* FLAIR is a mature subsystem, 25 years old, running on an IBM z9 mainframe. The mainframe model is 2096-X03 platform running at DFS' data center. The application is written in the Natural programming language and the data is stored in ADABAS.

The Department's mainframe system staff is supporting the following applications:

- FLAIR Departmental Accounting
- FLAIR Central Accounting
- FLAIR Payroll Accounting
- FLAIR Information Warehouse
- Legislature and Governor's Planning and Budgeting system (LAS/PBS)
- Treasury Receipts system
- Unclaimed Property system
- Workers' Compensation system
- Internal Systems

The Bureau of Accounting Systems Design has 23 design positions and the Bureau of Programming has 30 programming positions supporting the FLAIR subsystem.

c. *Current system performance:* FLAIR is fully implemented in 36 state agencies with approximately 16,000 individual users at roughly 400 accounting office sites throughout the State. The FLAIR subsystems typically process nearly 98 million accounting transactions, accounting for a budget of more than \$50 billion, and pays upwards of 276,000 state personnel annually.

- The system runs at 100% during peak end-of-month processing
- Average daytime utilization is 90%
- The system continues to process 23 million CICS transactions (number of times a user depresses the enter key) each month
- There are 276 million CICS transactions annually
- Factoring in periods of high utilization, the average system response time is .12 seconds
- The increase in transactions generated by the 3 percent withholding is not expected to impact response time
- User satisfaction surveys from Help Desk calls for FLAIR users indicate a high level of satisfaction

DIS also reports annually on the “Percent of scheduled hours computer and network are available” performance measure in the Department’s Long Range Program Plan (LRPP). The actual performance results for FLAIR mainframe applications are 99.99% for fiscal year 2008-2009. DIS exceeded the performance measure standard of 99.95% by .04%.

There are no anticipated failures of the current system hardware or software that would impact the implementation of the 3 percent withholding mandate.

## 2. Strategic Information Technology Direction

DFS has six LRPP goals. DIS supports LRPP goal 6, “The Department will protect customer interests inside and outside of state government.”

DIS plans, develops, manages and operates the information technology (IT) resources, services, and systems for DFS, the Office of Financial Regulation and the Office of Insurance Regulation. These entities rely heavily on the information provided through the IT resources, services, and systems for the efficient and effective management of its operations.

DIS has defined the following objectives related to the IT resources, services, and systems it operates:

- a. Service oriented architecture
- b. Limit manual processes
- c. Remove data redundancy
- d. Integrate customer self-service (through web interfaces)
- e. Incorporate independent systems to allow for ease of data access
- f. Strive towards paperless processing
- g. Validate security access
- h. Incorporate document and workflow management into the business processes

In addition, the Bureaus of Accounting Systems Design and Programming Design are working on a strategic plan for maintaining the level of services and quality provided by FLAIR support staff. During the next 4 years, FLAIR will lose 10 experienced employees to the Deferred Retirement Option Plan (DROP). These employees collectively have over 200 years of FLAIR experience and are critical to the successful operation of FLAIR. Additionally, 12 staff members will reach retirement eligibility during this time frame. If these staff members retire at eligibility, the Department will lose over 260 years of experience and the impact on FLAIR operation can be substantial. The strategic plan under development will include cross training, mentoring and streamlining functions to mitigate the loss of these critical employees.

DIS is facing a risk with numerous experienced staff retirements occurring during the 3% Withholding Project, therefore it is imperative that the Department receive the technical positions requested in the 2010-2011 fiscal year to enable the appropriate mentoring of and transferring of knowledge to new staff and thus appropriately mitigate this known risk. FLAIR is a complex legacy system which requires staff to have an in-depth knowledge of its multiple components, its data relationships, and its multitude of processes. Receiving these positions will help ensure that FLAIR is able to continue its current level of service to all their customers. Conversely, failure to receive these positions may cause a discontinuance of this high level of customer service and may prevent FLAIR from meeting its mandatory deadline

### 3. Information Technology Standards

DIS provides the data processing infrastructure and IT needs for the Department's core process systems. The Division's services are critical for the Department to achieve its mission. DIS provides expertise on IT design, development, purchase and implementation for new systems. DIS also provides programming,

maintenance and desktop support for all of the Department's current systems. DIS standards and procedures are used to ensure the Division meets the objectives and goals of the Department.

DIS uses standards to ensure that various systems can communicate in terms of network protocols and interfaces between applications, which allow systems on a variety of hardware and operating system platforms to share information.

Following is a list of defined standards and procedures for DFS information technology:

- DIS001 - FLAIR applications systems development procedures
- DIS002 - Program and JCL procedures implementation procedures
- DIS008 - Production Control Action Request procedures
- DIS015 - Change management procedures
- Application development standards (ISDM)
- Server configuration standards
- Infrastructure and platforms (databases and servers) standards
- Productivity software (workstations) standards
- Workstation configuration standards
- Laptop configuration standards
- Mainframe standards
- Project Management Office standards and guidelines

## B. Proposed Solution Description

The current FLAIR system (i.e., technology, interfaces, security, databases) will be used in the proposed solution. Modifications will be made to FLAIR Central Accounting with minimal impact to FLAIR Departmental Accounting.

- Summary description of proposed system* – FLAIR's Central Accounting will have new functionality for selecting the payment requests that need to be assessed the 3 percent withholding, for calculate the 3percent withholding on selected payments, and for create appropriate Central Accounting transactions. The online functionality will be modified so that the Division of Accounting and Auditing can monitor and audit disbursements with the appropriate withholding detail. Warrant processing will change to accommodate the gross and net disbursement to the vendor via the remittance advice. FLAIR's Central Accounting 1099 system will be re-written to capture and report payment and withholding as well as adjustments to the IRS and transmit the withheld funds daily. The system will also need to report withholding to the IRS at year-end. This option will create reconciliation issues for state agencies because payment amounts within FLAIR's Departmental Accounting will not reflect the withholding.

The IW will need to be modified to reflect the changes to FLAIR's Central Accounting. In addition, the vendor website, which accesses the IW data, will need to be modified, as well as the Sunshine Spending website.

The proposed solution will primarily change the nightly batch payment processing. Since the payment processing represents the core functionality of FLAIR Central Accounting, many functions will be impacted:

- Warrant processing – the selection of transactions that have been approved for payment in order to create the warrant
- Warrant reconciliation – reconciling warrant information with the Treasury
- Transaction/voucher processing – Agencies' accounting information and request for payment
- Warrant cancellations - current and prior year reversal of funds due to warrant cancellation
- Warrant print – the preparation of the print file with remittance advice
- EFT returns and reversal processing - current year reversal of EFT payments
- Modification to access control for the 1099 File due to new functions
- Creation of 3 percent withholding accounting transactions
- Posting of 3 percent withholding transactions to a special tax fund
- Creation of online Form W-9 file with business indicator
- Redesign of 1099 subsystem to support 3 percent withholding and backup withholding
- Data retrieval and duplicate Form 1099 printing
- Modify CDs containing Form 1099 history
- Modify CDs containing historical transactions used for research
- Redesign Vendor History website and Sunshine Spending website to reflect 3 percent withholding
- MFMP interface to populate new Form W-9 file
- Modify current files sent to agencies to interface with their business systems
- Contract processing modifications to collect additional information needed to determine eligibility for 3 percent withholding
- Decrease P-card limit in purchasing module
- Title file changes to define criteria for 3 percent withholding selection
- Vendor file cleanup & modifications to support 1099 and IRS B-Notices
- Create reports for use by state agencies
- Modify all associated files in the FLAIR IW for internal and agency reporting

Modifications will not extend or impact the life expectancy of the technology. These modifications are required for the federal mandate.

*b. Resource and summary level funding requirements for proposed system - Additional*



software and hardware are not necessary for implementing the 3 percent withholding. However, additional staff will be required for the development, implementation, and operational support of the new functionality. Funding requirements for the proposed system are \$697,731 to provide 6 FTEs and 2 OPS to augment staffing levels.

Five design positions will review existing system processes, design an integrated solution, and document the design in functional specifications. These staff members will also perform unit and system testing of all FLAIR component modifications (e.g. access control, file maintenance, interfaces, reporting, etc.)

Five programming positions will review the functional specifications and the technical infrastructure to create technical programming specifications for the solution. In addition, these staff members will code and test all batch and online program modifications.

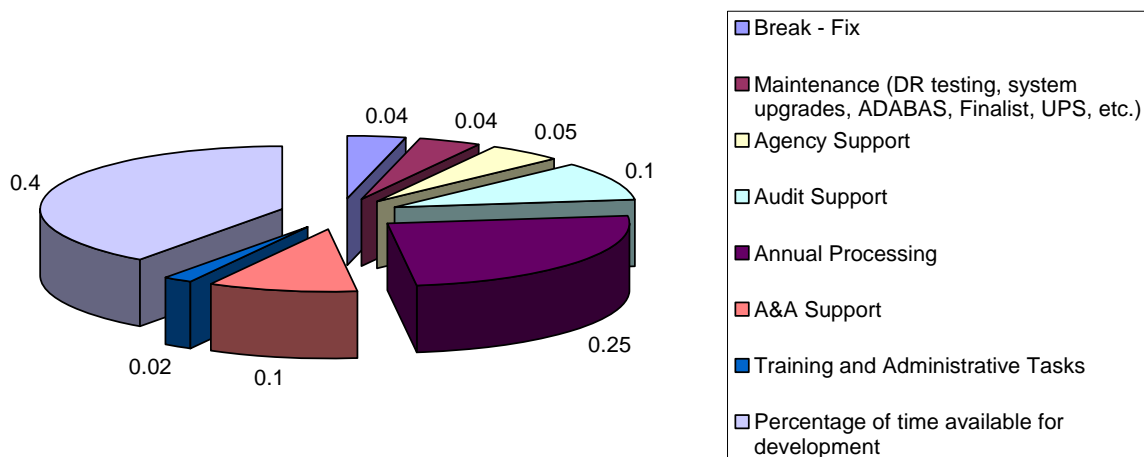
- c. *Ability of the proposed system to meet projected performance requirements* - The proposed solution will not generate additional online transactions and therefore will not have an impact on the system's performance for FLAIR Central or Departmental Accounting.

#### C. Capacity Planning

1. *Hardware/Software* - Technical hardware and software capacity are not impacted by the 3 percent withholding mandate. The number of expense payments subject to the 3 percent withholding mandate is estimated to be 166,196 per year. Consequently, the implementation of the 3 percent withholding will generate an additional 166,196 accounting transactions per year (639 on a daily basis) to move the funds. Therefore, mainframe processing and storage capacity will not be significantly impacted. Most of the processing for the 3 percent withholding will be accomplished during the nightly batch processing window which is presently completed by 3:00 a.m. each day. Due to the low volume of additional transactions, the nightly batch processing time is not expected to increase significantly.
2. *Users/Network* - The number of users remains the same and online processing time will be minimally impacted. The major system modifications are primarily in nightly processing; therefore, a projected increase in network capacity is not required.
3. *Technical Staff* - Existing FLAIR application support staff spends approximately 60 percent of their time supporting maintenance of the system (year-end processing, production problems, testing software upgrades), legislative changes

and interfaces with state agencies, MFMP, LAS/PBS, the AG, and PeopleFirst. This leaves only 40 percent of their time, at most, that can be devoted to system modifications for the 3 percent withholding mandate. The figure below display the allocation of time for application support staff.

**Estimated Allocation of Time  
for  
Bureau of Accounting Systems Design & Bureau of Programming Design**



Currently, 53 positions support FLAIR application development and maintenance. Many of the remaining staff is in entry level positions. Based on our experience with payroll tax withholding process, current vendor files, and the 1099 reporting processes, it will take significant resources to successfully implement and manage the continued maintenance of the 3 percent withholding functionality. The Department is requesting 6 FTEs to 2 OPS to augment the existing staff to successfully implement and maintain the additional functionality required by the 3 percent mandate.

#### D. Analysis of Alternatives

##### 1. Assessment of Alternatives

FLAIR processes all payments for the State, and the tracking and auditing of these payments are a large part of the CFO's constitutional duties. Processing the agencies' requests for payment is an integral function of both FLAIR's Departmental Accounting and FLAIR's Central Accounting. Many FLAIR

components are integrated into the payment process: Agency vouchering, IRS 1099 reporting, warrant issuance, reconciliation and cancellation, contract and payment auditing, EFT, P-card payments and reporting. The effort involved in building interfaces from these components to an external module would be more complex and cumbersome than an integrated approach. Therefore, these modifications need to be made within the FLAIR system.

## 2. Assessment Process

The Department evaluated the business processes and identified touch points to all system components. Based on system complexity and the number of interfaces to FLAIR components that would be required to integrate to an external module, it was determined that the most efficient way to accomplish this would be to modify the existing system.

The criteria used to assess the alternatives are listed below:

- The alternative should integrate easily with the existing FLAIR system
- The alternative should be implemented by the mandated timeline
- The alternative should have a high level of security and access control

## 3. Technology Recommendation

The Department recommends that all changes be made with existing technologies (Natural, ADABAS, DB2 running on IBM mainframe). Currently, DIS staff is fully trained in these technologies and has previously implemented similar system modifications. This reduces the risk of introducing new technologies and the ramp up time for training, implementing and supporting these technologies.

## VI. Project Management Planning Component

Project Management Section	\$1-1.99 M	\$2 - 10 M		> \$10 M
		Routine upgrades & infrastructure	Business or organizational change	
Project Charter	X	X	X	X
Work Breakdown Structure	X	X	X	X
Project Schedule	X	X	X	X
Project Budget	X	X	X	X
Project Organization			X	X
Project Quality Control			X	X
External Project Oversight			X	X
Risk Management			X	X
Organizational Change Management			X	X
Project Communication			X	X
Special Authorization Requirements			X	X

### A. Project Charter – see Appendix B

The draft of the project charter is provided in Appendix B. The project steering committee is scheduled to review the document and adopted the charter by October 31<sup>st</sup>, 2009. The project charter includes the project’s objective, scope, list of deliverables/milestones, organization charts, and overview of the project’s governance structure.

#### Project Objective

DFS must withhold 3 percent from vendor payments for goods and services no later than January 1, 2012 due to a new federal government mandate (Public Law 109-222). The draft IRS rules for this new law require governments to withhold 3 percent of payments of \$10,000 or more.

#### Project Scope

The scope of this project includes the development, testing, implementation and acceptance of new business processes and system functionality in order to comply with the federal mandate.

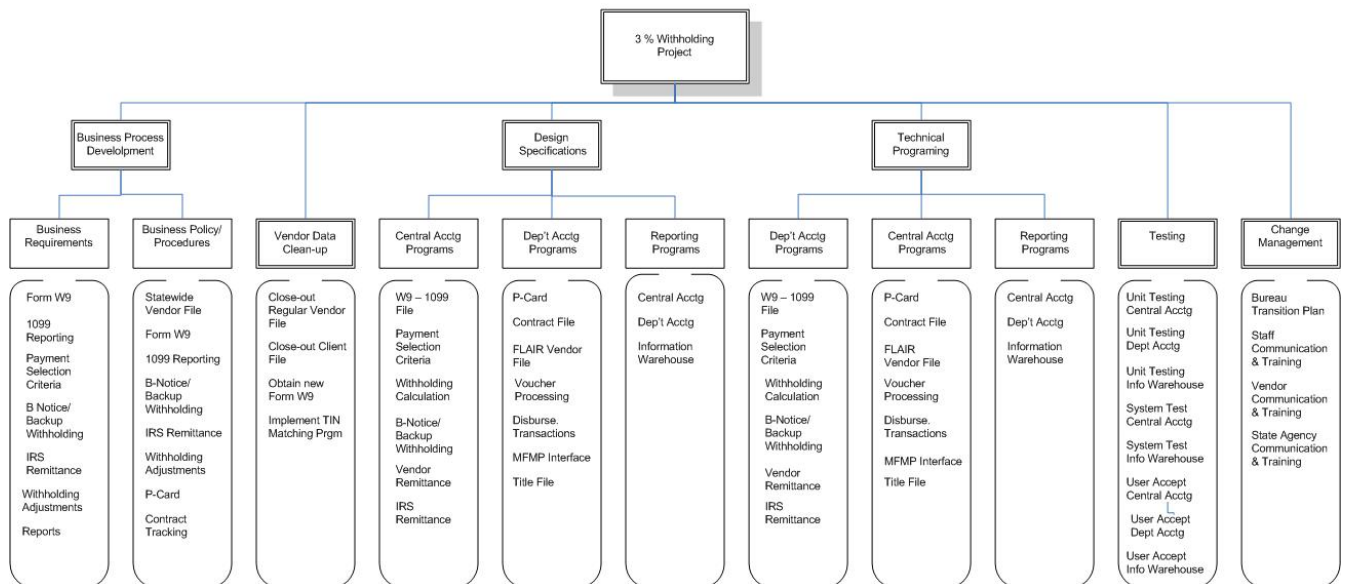
In order to implement this federal mandate, DFS will be required to:

- Create new business processes with the following objectives:
  - Obtaining, validating, and retaining information from a vendor’s Form W-9

- Withholding 3 percent from each payment (i.e., identify the applicable payments, calculate the withholding, and disburse the net amount to the vendor)
- Preparing and reviewing of internal reports for the management of withholding transactions
- Remitting funds to the IRS
- Reporting the 3 percent withholding and/or withholding due to IRS B-Notices on a vendor's Form 1099
- Tracking IRS B-Notices on a vendor's record
- Include backup withholding from payments for vendor's receiving a second IRS B-Notice and remit to the IRS
- Modification of FLAIR Departmental and Central Accounting to incorporate the new business processes
- Modification of FLAIR IW to incorporate the new reporting requirements
- Development and implementation of a Change Management Plan for the transition of new and existing staff to new business processes
- Establish new sections within the Bureau of Accounting for the daily management of withholding payments, including a help desk for vendor inquiries
- Development and implementation of a Communications Plan for vendor outreach and education that is to be provide prior to, during, and after implementation of the 3 percent withholding.

**B. Work Breakdown Structure**

**3 % Withholding Project**  
Work Break Down Structure



C. Resource Loaded Project Schedule – see Appendix I

D. Project Budget – see Appendix F

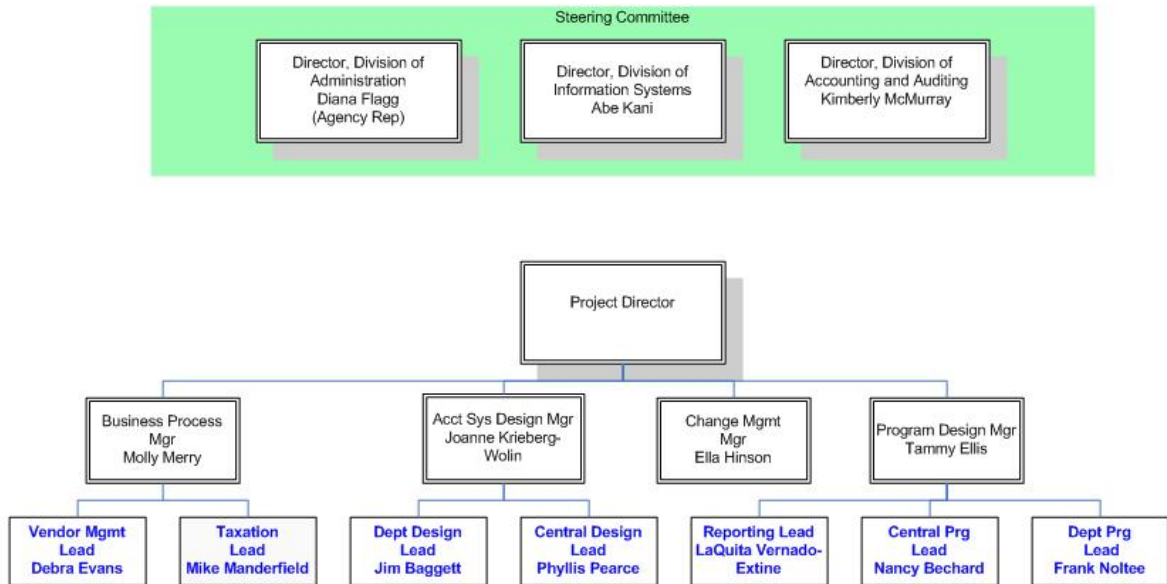
E. Project Organization

The Project consists of four teams with the following roles and responsibilities:

- **Business Process Design Team** – responsible for the development of business requirements, design of new business processes, and user acceptance testing
- **Change Management Team** – responsible for developing communications for external entities, developing training for staff, state agencies, and vendors, providing classroom training when needed, and assisting the Bureau of Accounting with developing a transition plan for the implementation of new business processes
- **Application System Design Team** – responsible for developing functional specification, assisting with unit test, and performing system testing
- **Program Design Team** – responsible for developing technical specifications, program coding, performing unit testing and assist with system testing

The project’s organizational structure is displayed below:

### 3% Withholding Project



F. Project Quality Control

There are several quality control measures that will be followed during this project. The technical teams will adhere to the Department's procedures and IT standards when making modifications to the system. The project plan includes a review and approval process each deliverable/milestone. The steering committee will be responsible for approval of all deliverables/milestones.

G. External Project Oversight

There will be not external project oversight due to the project's size. The Director for the Division of Information System, Director for Division of Accounting and Auditing, and the Director for Division of Administration will be the steering committee that performs oversight on the project.

H. Risk Management

The Project Team performed an initial risk assessment and outlined mitigation strategies that are provided in Appendix E. The team will perform updates to the risk assessment and mitigation strategies on a quarterly basis.

I. Organizational Change Management

The Organizational Change Management Plan will be developed in the second year of the project.

J. Project Communication

A Communication Strategy has been documented as part of the planning for this project, see Appendix G. A detailed communication plan will be developed in the second year of the project.

K. Special Authorization Requirements

Not required for this project

**VII. Appendices**

Appendix A – Business Process Documents

Appendix B – Project Charter

Appendix C – Cost Benefit Analysis Forms

Appendix D – Risk Assessment Tool

Appendix E – Risk Mitigation Table

Appendix F - Project Budget

Appendix G – Communications Strategy

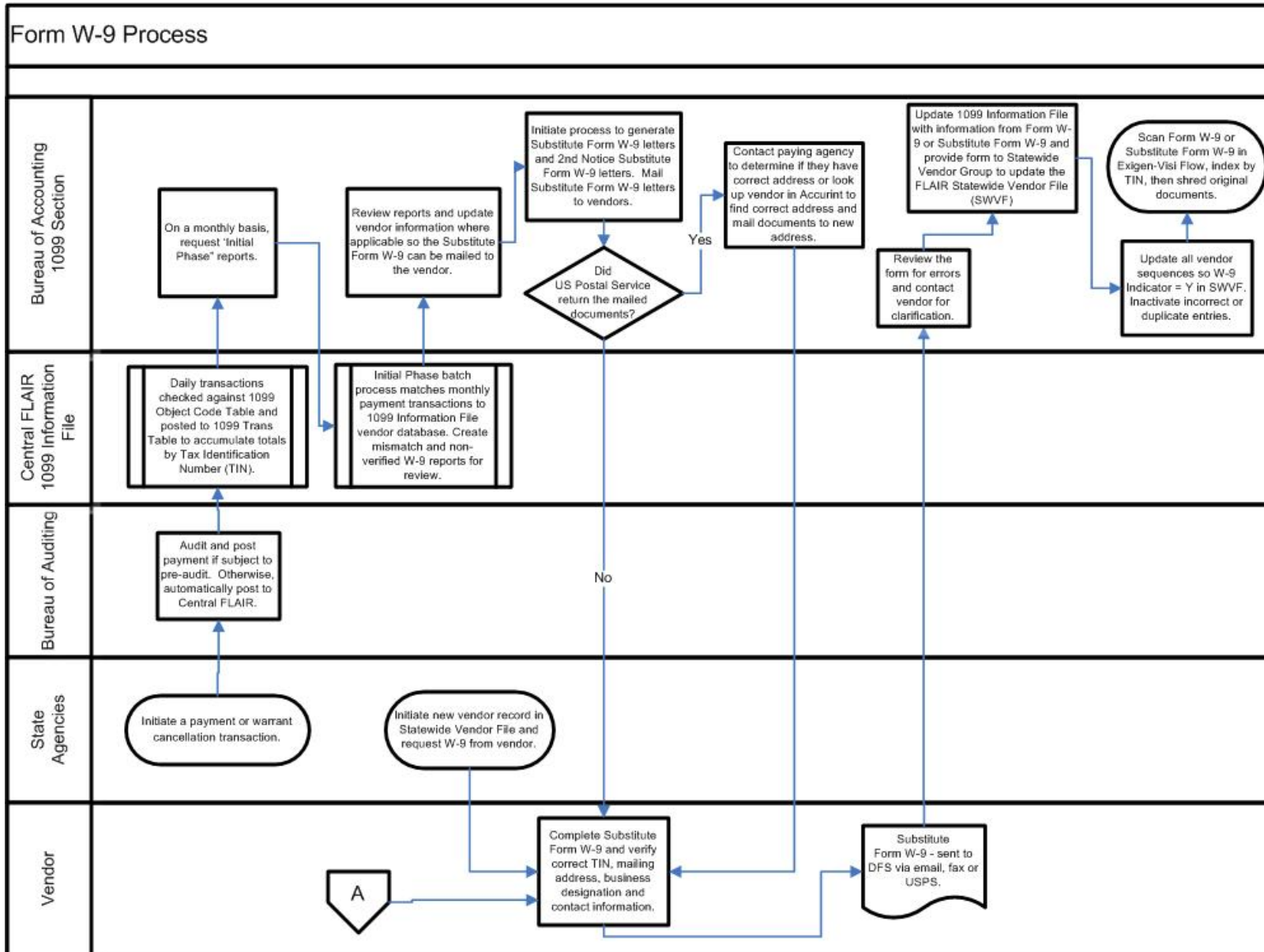
Appendix H – Bureau of State Payrolls Staffing Comparison

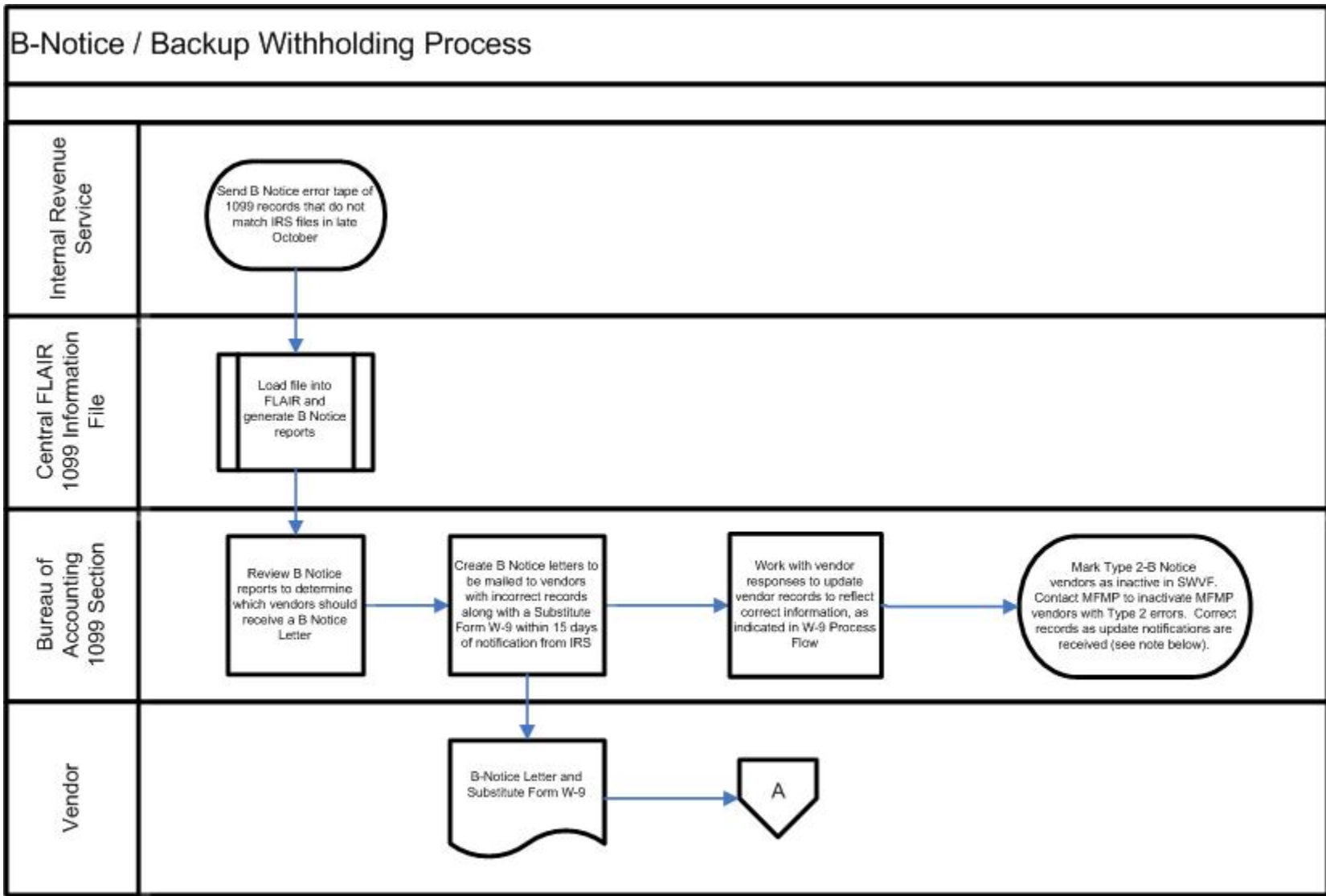
Appendix I – FLAIR Sustainability Staffing Analysis

Appendix J – Project Plan



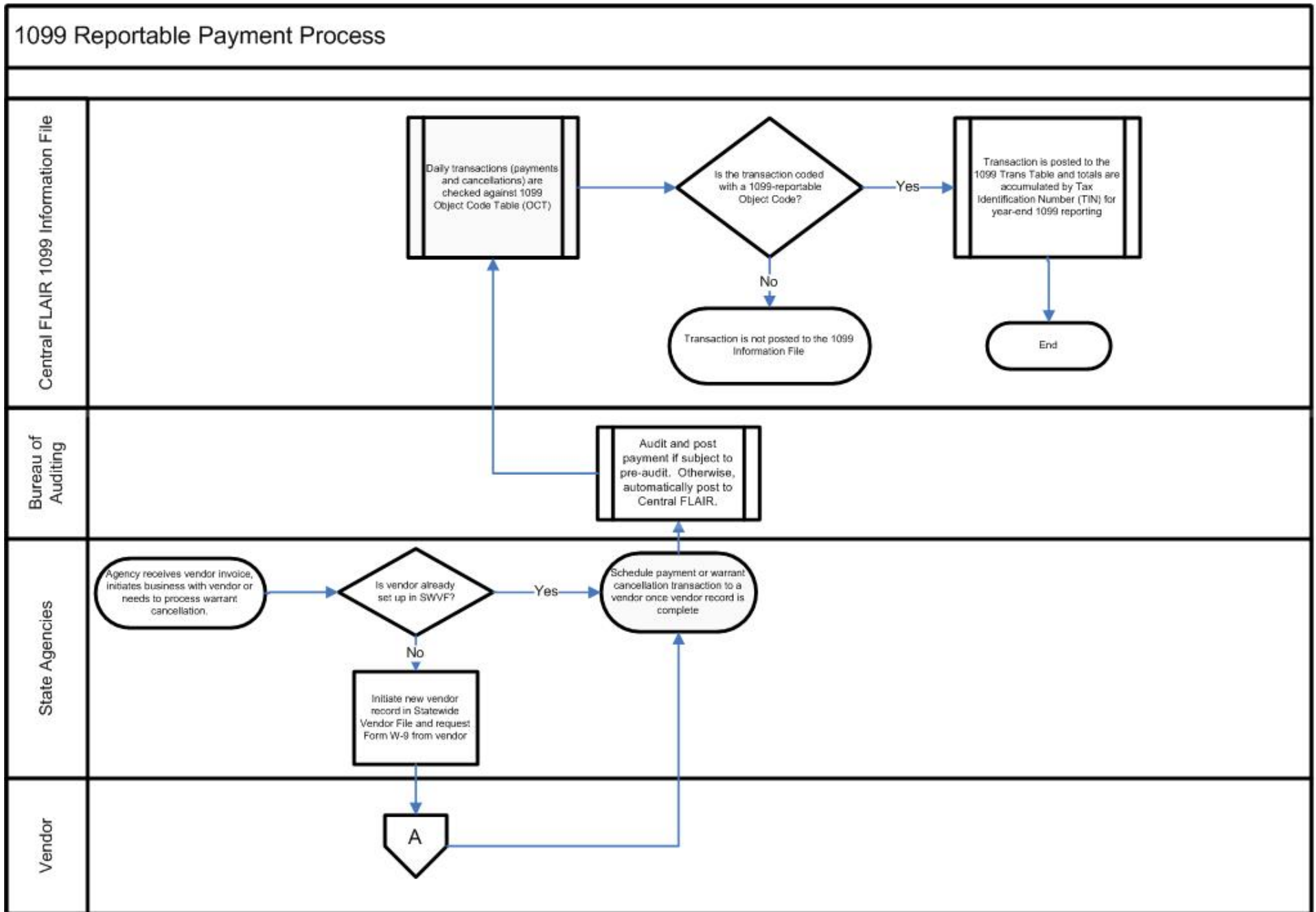
**A. Appendix A – Business Process Documentation**



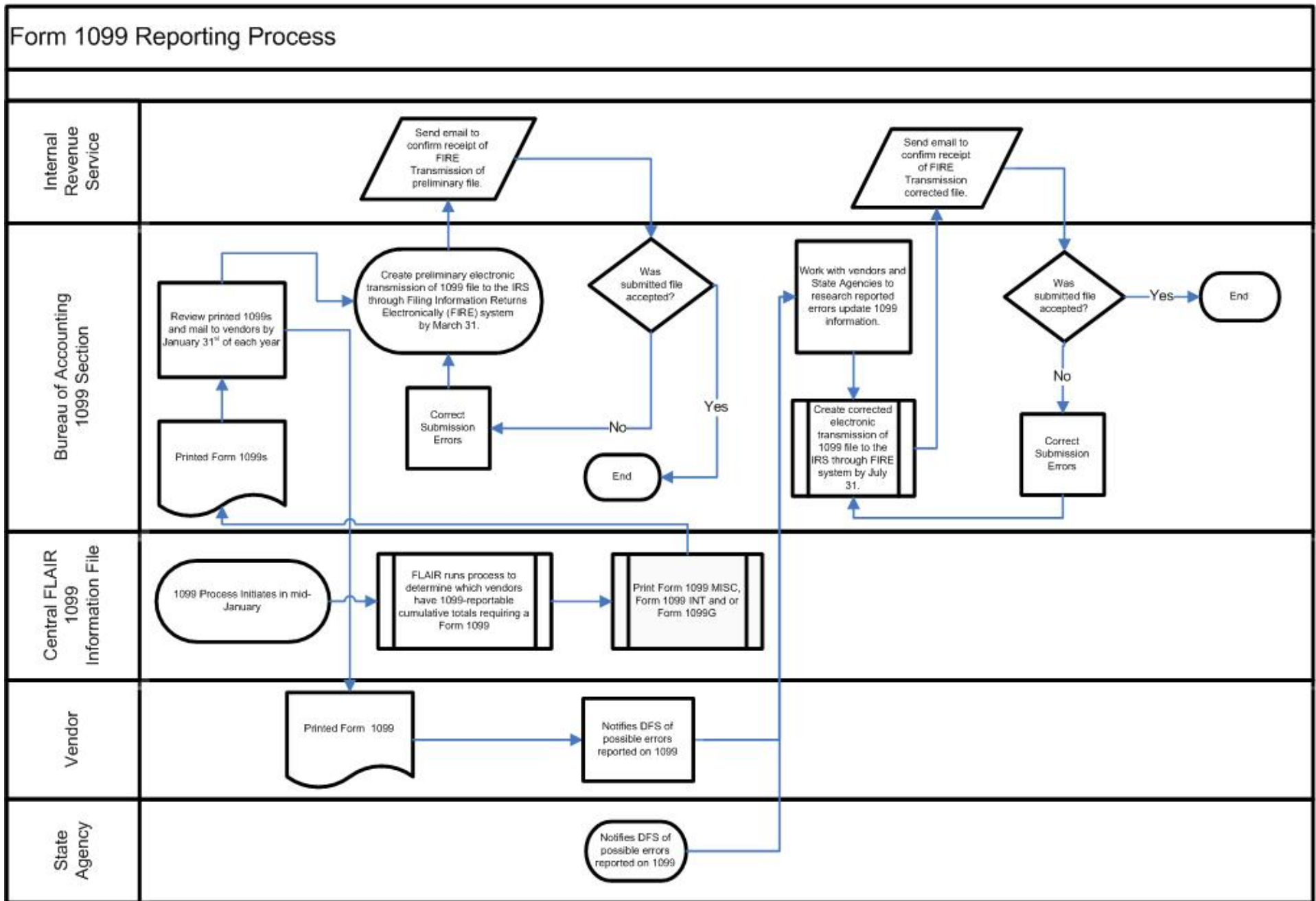


\* Note – FLAIR is not currently designed to perform backup withholding.

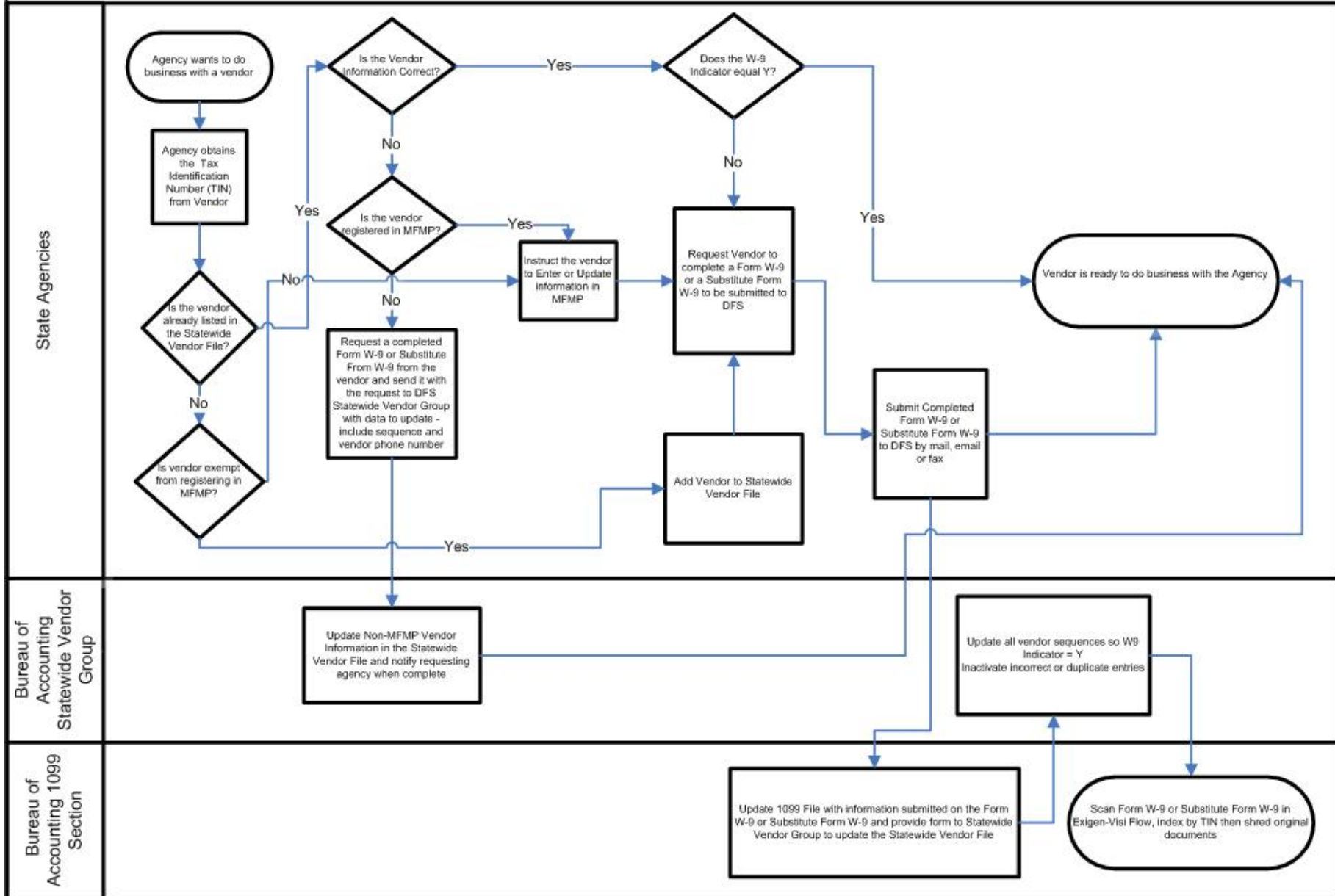
FY 2010-11 SCHEDULE IV-B FEASIBILITY STUDY FOR  
3% WITHHOLDING FOR VENDOR PAYMENTS



**FY 2010-11 SCHEDULE IV-B FEASIBILITY STUDY FOR  
3% WITHHOLDING FOR VENDOR PAYMENTS**



Vendor File Process



**B. Appendix B – Project Charter**

DEPARTMENT OF FINANCIAL SERVICES

3% WITHHOLDING FOR VENDOR PAYMENTS

PROJECT CHARTER

FISCAL YEAR 2009-10



PROJECT OBJECTIVE ..... 54

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PROJECT ROLES & RESPONSIBILITIES ..... 54

    DIVISION OF ADMINISTRATION..... 54

    DIVISION OF ACCOUNTING AND AUDITING ..... 54

    DIVISION OF INFORMATION SYSTEMS..... 55

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## PROJECT OBJECTIVE

The Department of Financial Services must withhold 3% from vendor payments for goods and services no later than January 1, 2012 due to a new federal government mandated (Public Law 109-222). The draft IRS rules for this new law require governments to withhold 3% of payments of \$10,000 or more.

## PROJECT SCOPE

The scope of this project includes the development, testing, implementation and acceptance of new business processes and system functionality in order to comply with the federal mandate.

In order to implement this federal mandate, the Department of Financial Services (DFS) will be required to:

- Create new business processes with the following objectives:
  - Obtaining, validating, and retaining information from a Vendor's W9 Form
  - Withholding 3% from each payment (i.e., identify the applicable payments, calculate the withholding, and disburse the net amount to the vendor)
  - Preparing and reviewing of internal reports for the management of withholding transactions
  - Remitting funds to the IRS
  - Reporting the 3% withholding and/or withholding due to B-Notices on a Vendor's Form 1099
  - Tracking IRS B-Notifications on a Vendor's record
  - Include Backup Withholding from payments for Vendor's receiving a second IRS B-Notice and remit to IRS
- Modification of Central FLAIR to incorporate the new business processes
- Modification of Departmental FLAIR to incorporate the new business processes
- Modification of FLAIR Information Warehouse to incorporate the new reporting requirements
- Development and implementation of a Change Management Plan for the transition of new and existing staff to new business processes
- Establish new sections within the Bureau of Accounting for the daily management of withholding payments including a help desk for vendor inquiries
- Development and implementation of a Communications Plan for vendor outreach and education that is to be provide prior to, during, and after implementation of the 3% withholding.

## PROJECT ROLES & RESPONSIBILITIES

This section discusses the overall structure of the project organization and its roles and responsibilities throughout the project phases.

### DIVISION OF ADMINISTRATION

The Division of Administration (Admin) will have the responsibility of providing:

- ✓ **Project Director** that is responsible for the development and execution of the project plan, facilitation of the project governance process, and management of the issue/resolution process

### DIVISION OF ACCOUNTING AND AUDITING

The Division of Accounting and Auditing (A&A) will have the responsibility of providing:



- ✓ **Business Process Project Manager** that is responsible for the development and implementation of new business processes, implementation of the Communication Plan, and implementation of the Change Management Plan
- ✓ **Business Process Team Leads** that are responsible for the development of business process documentation, business requirement documentation, and assists with development and implementation of the Change Management and Communications Plans
- ✓ **Change Management Lead** that is responsible for the development of the Change Management Plan and Communication Plan and assisting with the implementation of these plans
- ✓ **Staff** for the development of business processes, business requirements, validation of the technical design, and testing

#### DIVISION OF INFORMATION SYSTEMS

The Division of Information Systems (DIS) will have the responsibility of providing:

- ✓ **Accounting System Design Project Manager** that is responsible for the development and testing of technical design specifications for the new functionality in Central FLAIR
- ✓ **Programming Design Project Manager** that is responsible for the programming of modifications to Central FLAIR
- ✓ **Design and Programming Team Leads** that are responsible for the management of staff that will be designing, programming, and testing modifications to Central FLAIR
- ✓ **Information Warehouse Reporting Lead** that is responsible for development and testing of reporting from FLAIR's Information Warehouse
- ✓ **Staff** for the design, programming, and testing of modifications to Central FLAIR

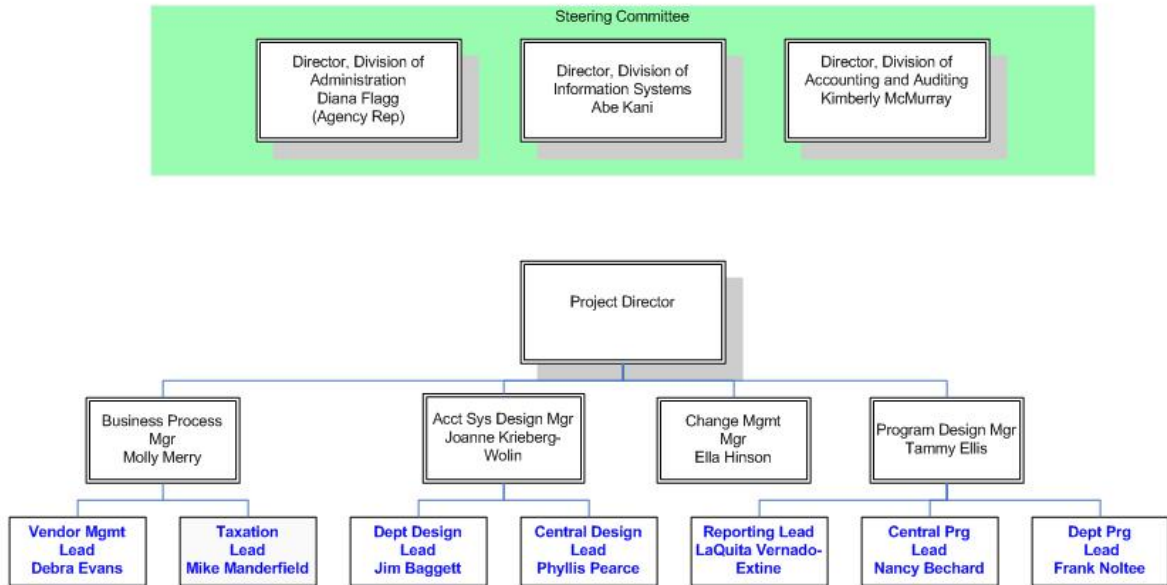
#### Project Organization Chart

The Project consists of four teams with the following roles and responsibilities:

- **Business Process Design Team** – responsible for the development of business requirements, design of new business processes, and user acceptance testing
- **Change Management Team** – responsible for developing communications for external entities, developing training for staff, state agencies, and vendors, providing classroom training when needed, and assisting the Bureau of Accounting with developing a transition plan for the implementation of new business processes
- **Application System Design Team** – responsible for developing functional specification, assisting with unit test, and performing system testing
- **Program Design Team** – responsible for developing technical specifications, program coding, performing unit testing and assist with system testing

The project's organizational structure is displayed on the next page.

## 3% Withholding Project



## PROJECT MILESTONES/DELIVERABLE

The table below identifies the milestones for the project.

MILE STONE/ DELIVERABLE	SCHEDULE DATE FOR COMPLETION
W-9 Requirements Document	January 2010
1099 Information File Requirements Document	April 2010
W9 -1099 Design Document / Unit Test results	May 2010
3% Payment Selection Criteria Requirements Document	May 2010
3% Payment Selection Design Document / Unit Test results	June 2010
B-Notice/ Backup Withholding Requirements Document	June 2010
W-9-1099 Design Document / Unit Test results	August 2010
IRS Remittance Requirements Document	August 2010
Withholding Adjustment Requirements Document	September 2010
ALLPMT Design Document / Unit Test results	October 2010
ALLTRN Design Document / Unit Test results	October 2010
C_TRN Design Document / Unit Test results	October 2010
Departmental Disbursement Process Design Documents / Unit Test results	October 2010
Code Table Design Document / Unit Test results	October 2010
Agency File Copies Design Document / Unit Test results	November 2010
FLAIR Vendor File Modification Design Document / Unit Test results	November 2010
C_WARRANT Design Document / Unit Test results	December 2010
Contract System Modification Design Document / Unit Test results	December 2010
Backup Withholding Calculation Design Document / Unit Test results	January 2011
Nightly Voucher Process Modification Design Documents / Unit Test results	January 2011

**FY 2010-11 SCHEDULE IV-B FEASIBILITY STUDY FOR  
3% WITHHOLDING FOR VENDOR PAYMENTS**

P-Card Module Modification Design Documents / Unit Test results	February 2011
D_Contract Design Document / Unit Test results	February 2011
3% Calculation Design Documents / Unit Test results	February 2011
Code Table – Departmental Design Document / Unit Test results	February 2011
MFMP Reconciliation File Design Document / Unit Test results	March 2011
New Reports Design Document / Unit Test results	March 2011
3% Vendor Remittance Design Document / Unit Test results	April 2011
IW File and Report Changes Design Document / Unit Test results	April 2011
Vendor History Design Document / Unit Test results	May 2011
Sunshine Spending Website Document / Unit Test results	July 2011
Reporting Requirements Document	August 2011
Vendor History File Documents / Unit Test results	August 2011
MFMP Interface Modification Design Document / Unit Test results	August 2011
Vendor History Website Document / Unit Test results	August 2011
Change Management Plan	August 2011
Title File Modification Design Documents / Unit Test results	August 2011
Revolving Fund Reports	August 2011
Withholding Remittance to IRS Design Documents / Unit Test results	September 2011
Departmental Accounting System Test	December 2011
Central Accounting System Test	December 2011
Central Accounting System Test	September 2012
IW System Testing	October 2012

## PROJECT GOVERNANCE

The Project's Steering Committee will be responsible for the following;

- Providing oversight on the project team's ability to adhere to the project schedule
- Providing oversight on the project team's ability to provide adequate resources for the completion of tasks
- Review and approval of project deliverables
- Review and approval of identified project risks and mitigation strategies
- Provide oversight on the project team's ability to identify and resolve issues
- Assist with resolving project issues when needed

**FY 2010-11 SCHEDULE IV-B FEASIBILITY STUDY FOR  
3% WITHHOLDING FOR VENDOR PAYMENTS**

**C. Appendix C – Cost Benefits Analysis Forms**

CBAForm 1 - Net Tangible Benefits

Agency <u>DFS</u>	Project <u>3 Percent Withholding</u>
-------------------	--------------------------------------

Agency <i>(Operations Only -- No Project Costs)</i>	FY 2010-11						FY 2011-12			FY 2012-13			FY 2013-14			FY 2014-15		
	(a)	(b)	(c) = (a)+(b)	(a)	(b)	(c) = (a) + (b)	(a)	(b)	(c) = (a) + (b)	(a)	(b)	(c) = (a) + (b)	(a)	(b)	(c) = (a) + (b)			
	Existing Program Costs	Operational Cost Change	New Program Costs resulting from Proposed Project	Existing Program Costs	Operational Cost Change	New Program Costs resulting from Proposed Project	Existing Program Costs	Operational Cost Change	New Program Costs resulting from Proposed Project	Existing Program Costs	Operational Cost Change	New Program Costs resulting from Proposed Project	Existing Program Costs	Operational Cost Change	New Program Costs resulting from Proposed Project			
<b>A. Personnel -- Total FTE Costs (Salaries &amp; Benefits)</b>	\$0	\$770,772	\$770,772	\$0	\$1,344,346	\$1,344,346	\$0	\$1,280,577	\$1,280,577	\$0	\$1,065,575	\$1,065,575	\$0	\$1,065,575	\$1,065,575			
<b>A.b Total FTE</b>	0.00	14.00	14.00	0.00	25.00	25.00	0.00	23.00	23.00	0.00	19.00	19.00	0.00	19.00	19.00			
A-1.a. State FTEs (Salaries & Benefits)	\$0	\$492,001	\$0	\$0	\$1,065,575	\$0	\$0	\$1,065,575	\$1,065,575	\$0	\$1,065,575	\$0	\$0	\$1,065,575	\$0			
A-1.b. State FTEs (# FTEs)	0.00	8.00	8.00	0.00	19.00	19.00	0.00	19.00	19.00	0.00	19.00	19.00	0.00	19.00	19.00			
A-2.a. OPS FTEs (Salaries)	\$0	\$278,771	\$278,771	\$0	\$278,771	\$278,771	\$0	\$215,002	\$215,002	\$0	\$0	\$0	\$0	\$0	\$0			
A-2.b. OPS FTEs (# FTEs)	0.00	6.00	6.00	0.00	6.00	6.00	0.00	4.00	4.00	0.00	0.00	0.00	0.00	0.00	0.00			
A-3.a. Staff Augmentation (Contract Cost)	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0			
A-3.b. Staff Augmentation (# of Contract FTEs)	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00			
<b>B. Data Processing -- Costs</b>	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0			
B-1. Hardware	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0			
B-2. Software	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0			
B-3. Other Specify	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0			
<b>C. External Service Provider -- Costs</b>	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0			
C-1. Consultant Services	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0			
C-2. Maintenance & Support Services	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0			
C-3. Network / Hosting Services	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0			
C-4. Data Communications Services	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0			
C-5. Other Specify	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0			
<b>D. Plant &amp; Facility -- Costs</b>	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0			
<b>E. Others -- Costs</b>	\$0	\$78,666	\$78,666	\$0	\$98,797	\$98,797	\$0	\$60,766	\$60,766	\$0	\$60,766	\$60,766	\$0	\$60,766	\$60,766			
E-1. Training	\$0	\$12,460	\$12,460	\$0	\$16,650	\$16,650	\$0	\$11,270	\$11,270	\$0	\$11,270	\$11,270	\$0	\$11,270	\$11,270			
E-2. Travel	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0			
E-3. Other Expense - FTEs	\$0	\$66,206	\$66,206	\$0	\$82,147	\$82,147	\$0	\$49,496	\$49,496	\$0	\$49,496	\$49,496	\$0	\$49,496	\$49,496			
<b>Total of Operational Costs ( Rows A through E)</b>	\$0	\$849,438	\$849,438	\$0	\$1,443,143	\$1,443,143	\$0	\$1,341,343	\$1,341,343	\$0	\$1,126,341	\$1,126,341	\$0	\$1,126,341	\$1,126,341			
<b>F. Additional Tangible Benefits:</b>		\$0			\$4,250,000			\$8,500,000			\$8,500,000			\$8,500,000				
F-1. Compliance w/ IRS		\$0			\$4,250,000			\$8,500,000			\$8,500,000			\$8,500,000				
F-2. Specify		\$0			\$0			\$0			\$0			\$0				
F-3. Specify		\$0			\$0			\$0			\$0			\$0				
<b>Total Net Tangible Benefits:</b>		(\$849,438)			\$2,806,857			\$7,158,657			\$7,373,659			\$7,373,659				

SPECIFY CHARACTER OF PROJECT BENEFIT ESTIMATE -- CBAForm 1B			
Choose Type	Estimate Confidence	Enter % (+/-)	
Detailed/Rigorous	<input type="checkbox"/>	Confidence Level	
Order of Magnitude	<input type="checkbox"/>	Confidence Level	
Placeholder	<input type="checkbox"/>	Confidence Level	

**FY 2010-11 SCHEDULE IV-B FEASIBILITY STUDY FOR  
3% WITHHOLDING FOR VENDOR PAYMENTS**

CBAForm 2 - Project Cost Analysis

<b>Agency</b> <u>DFS</u>	<b>Project</b> <u>3 Percent Withholding</u>
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PROJECT COST ELEMENTS	PROJECT COST TABLE -- CBAForm 2A					TOTAL
	FY 2010-11	FY 2011-12	FY 2012-13	FY 2013-14	FY 2014-15	
State FTEs (Salaries & Benefits)	\$492,001	\$1,065,575	\$1,065,575	\$1,065,575	\$1,065,575	\$4,754,301
OPS FTEs (Salaries)	\$278,771	\$278,771	\$215,002	\$0	\$0	\$772,544
Contractors (Costs)	\$0	\$0	\$0	\$0	\$0	\$0
Deliverables	\$0	\$0	\$0	\$0	\$0	\$0
Major Project Tasks	\$0	\$0	\$0	\$0	\$0	\$0
Hardware Specify	\$0	\$0	\$0	\$0	\$0	\$0
COTS Software	\$0	\$0	\$0	\$0	\$0	\$0
Misc. Equipment Specify	\$0	\$0	\$0	\$0	\$0	\$0
Other Project Costs Expense, Training	\$66,206	\$82,147	\$49,496	\$49,496	\$49,496	\$296,841
	\$12,460	\$16,650	\$11,270	\$11,270	\$11,270	\$62,920
<b>TOTAL PROJECT COSTS (*)</b>	<b>\$849,438</b>	<b>\$1,443,143</b>	<b>\$1,341,343</b>	<b>\$1,126,341</b>	<b>\$1,126,341</b>	<b>\$5,886,606</b>
<b>CUMULATIVE PROJECT COSTS</b>	<b>\$849,438</b>	<b>\$2,292,581</b>	<b>\$3,633,924</b>	<b>\$4,760,265</b>	<b>\$5,886,606</b>	

INVESTMENT SUMMARY						TOTAL
	FY 2010-11	FY 2011-12	FY 2012-13	FY 2013-14	FY 2014-15	
General Revenue	\$0	\$0	\$0	\$0	\$0	\$0
Trust Fund	\$0	\$0	\$0	\$0	\$0	\$0
Federal Match	\$0	\$0	\$0	\$0	\$0	\$0
Grants	\$0	\$0	\$0	\$0	\$0	\$0
Other Specify	\$0	\$0	\$0	\$0	\$0	\$0
<b>TOTAL INVESTMENT (*)</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>
<b>CUMULATIVE INVESTMENT (*)</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>

(\*) Total Costs and Investments are carried forward to CBAForm3 Project Investment Summary worksheet.

Character of Project Costs Estimate - CBAForm 2B			
Choose Type		Estimate Confidence	Enter % (+/-)
Detailed/Rigorous	<input type="checkbox"/>	Confidence Level	
Order of Magnitude	<input type="checkbox"/>	Confidence Level	
Placeholder	<input type="checkbox"/>	Confidence Level	

**FY 2010-11 SCHEDULE IV-B FEASIBILITY STUDY FOR  
3% WITHHOLDING FOR VENDOR PAYMENTS**

**CBAForm 3 - Project Investment Summary**

<b>Agency</b>	DFS	<b>Project</b>	3 Percent Withholding
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<b>COST BENEFIT ANALYSIS -- CBAForm 3A</b>						
	FY 2010-11	FY 2011-12	FY 2012-13	FY 2013-14	FY 2014-15	TOTAL
<b>Project Cost</b>	\$849,438	\$1,443,143	\$1,341,343	\$1,126,341	\$1,126,341	\$5,886,606
<b>Net Tangible Benefits</b>	(\$849,438)	\$2,806,857	\$7,158,657	\$7,373,659	\$7,373,659	\$23,863,394
<b>Return on Investment</b>	(\$1,698,876)	\$1,363,714	\$5,817,314	\$6,247,318	\$6,247,318	\$17,976,788
<b>Year to Year Change in Program Staffing</b>	14	25	23	19	19	

<b>RETURN ON INVESTMENT ANALYSIS -- CBAForm 3B</b>		
<b>Payback Period (years)</b>	2	Payback Period is the time required to recover the investment costs of the project.
<b>Breakeven Fiscal Year</b>	2012-13	Fiscal Year during which the project's investment costs are recovered.
<b>Net Present Value (NPV)</b>	\$14,459,735	NPV is the present-day value of the project's benefits less costs over the project's lifecycle.
<b>Internal Rate of Return (IRR)</b>	173.06%	IRR is the project's rate of return.

<b>Treasurer's Investment Interest Earning Yield -- CBAForm 3C</b>					
Fiscal Year	FY 2010-11	FY 2011-12	FY 2012-13	FY 2013-14	FY 2014-15
<b>Cost of Capital</b>	5.35%	5.38%	5.38%	5.38%	5.38%

### D. Appendix D – Risk Assessment Tool

IT Project Risk Assessment Tool

Schedule IV-B

Fiscal Year 2010-2011

<b>Project</b>	3 Percent Withholding	
<b>Agency</b>	DFS	
<b>FY 2010-11 LBR Issue Code:</b>	<b>FY 2010-11 LBR Issue Title:</b>	
3612AC0	Required FLAIR Modification due to	
<b>Risk Assessment Contact Info (Name, Phone #, and E-mail Address):</b>		
Molly Merry, 850-413-3097, molly.merry@myfloridacfo.com		
<b>Executive Sponsor</b>	Kimberly McMurray	
<b>Project Manager</b>	TBD	
<b>Prepared By</b>	Molly Merry	9/16/2009

Risk Assessment Summary		
Business Strategy	Most Aligned	
	Least Aligned	
	Least Risk	Most Risk

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



**FY 2010-11 SCHEDULE IV-B FEASIBILITY STUDY FOR  
3% WITHHOLDING FOR VENDOR PAYMENTS**

**IT Project Risk Assessment Tool**

**Schedule IV-B**

**Fiscal Year 2010-2011**

Agency: DFS

Project: 3 Percent Withholding

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



**FY 2010-11 SCHEDULE IV-B FEASIBILITY STUDY FOR  
3% WITHHOLDING FOR VENDOR PAYMENTS**

**IT Project Risk Assessment Tool**

**Schedule IV-B**

**Fiscal Year 2010-2011**

Agency: DFS

Project: 3 Percent Withholding

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

**FY 2010-11 SCHEDULE IV-B FEASIBILITY STUDY FOR  
3% WITHHOLDING FOR VENDOR PAYMENTS**

**IT Project Risk Assessment Tool**

**Schedule IV-B**

**Fiscal Year 2010-2011**

Agency: DFS

Project: 3 Percent Withholding

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

**FY 2010-11 SCHEDULE IV-B FEASIBILITY STUDY FOR  
3% WITHHOLDING FOR VENDOR PAYMENTS**

**IT Project Risk Assessment Tool**

**Schedule IV-B**

**Fiscal Year 2010-2011**

Agency: Agency Name

Project: Project Name

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

**FY 2010-11 SCHEDULE IV-B FEASIBILITY STUDY FOR  
3% WITHHOLDING FOR VENDOR PAYMENTS**

**IT Project Risk Assessment Tool**

**Schedule IV-B**

**Fiscal Year 2010-2011**

Agency: DFS

Project: 3 Percent Withholding

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



**FY 2010-11 SCHEDULE IV-B FEASIBILITY STUDY FOR  
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**IT Project Risk Assessment Tool**

**Schedule IV-B**

**Fiscal Year 2010-2011**

Agency: DFS

Project: 3 Percent Withholding

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

**FY 2010-11 SCHEDULE IV-B FEASIBILITY STUDY FOR  
3% WITHHOLDING FOR VENDOR PAYMENTS**

**IT Project Risk Assessment Tool**

**Schedule IV-B**

**Fiscal Year 2010-2011**

Agency: DFS

Project: 3 Percent Withholding

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

**FY 2010-11 SCHEDULE IV-B FEASIBILITY STUDY FOR  
3% WITHHOLDING FOR VENDOR PAYMENTS**

IT Project Risk Assessment Tool

Schedule IV-B

Fiscal Year 2010-2011

Agency: DFS

Project: 3 Percent Withholding

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

**E. Appendix E – Risk Mitigation Table**

<b>Project Risk &amp; Mitigation Table</b>					
<b>#</b>	<b>Risk Description/Impact</b>	<b>Probability of Occurrence</b> (high, medium, low)	<b>Tolerance Level</b> (high, medium, low)	<b>Mitigation Strategy</b>	<b>Assigned Owner</b>
1	Strategic Assessment – The Department does not implement by the date mandated in Federal Law, Jan 1, 2012 and Department is subject to federal fines.	High	Low	Obtain additional FTEs for A&A and DIS in order to implement new processes and make modifications to the system.	Project Steering Committee
2	Project Complexity – The Department does not obtain additional FTEs to complete the implementation and support ongoing processes.	High	Low	Freeze system support for maintenance and development to FLAIR and move DIS staff from Payroll and Departmental to support 3% withholding. A&A Staff will be moved from Statewide Financial Reporting (CAFR), Debt collection monitoring, Deferred Commodity Contract reviews, Vendor Ombudsman support, and budget/cash balance monitoring.	Project Steering Committee
3	Strategic Assessment – The Department does not get adequate and timely guidance from IRS.	High	Low	Participating in National Association of State Comptrollers group discussions. Corresponding directly to IRS.	Process Manager
4	Project Complexity – Inability to recruit qualified staff.	Medium	Low	Acquire external training for new staff.	Accounting System Design Mgr, Program Design Mgr



**FY 2010-11 SCHEDULE IV-B FEASIBILITY STUDY FOR  
3% WITHHOLDING FOR VENDOR PAYMENTS**

5	Technical – Major production failure to FLAIR	Low	Low	All hands on deck from DIS.	Abe Kani
6	Project Org – 10 DIS staff will complete drop, 12 additional staff will be eligible for retirement	High	Low	Obtain additional staff. Cross training, mentoring, streamline functions.	Accounting System Design Mgr, Program Design Mgr

**FY 2010-11 SCHEDULE IV-B FEASIBILITY STUDY FOR  
3% WITHHOLDING FOR VENDOR PAYMENTS**

**F. Appendix F – Project Budget**

State of Florida  
Schedule IV-B  
Project Budget Spreadsheet

Fiscal Year 2010-2011

Project Costs for 3% Withholding on Vendor Payments												
Produced			For Dept. of Financial Services				By Angela Rowe			FY 2010-11		
PROJECT BUDGET WORKSHEET 1 (Captures All Major Direct & Indirect Costs associated with Development, Implementation, and Transition)												
Project Cost	Quarter	Jul-Sep Planned	Jul-Sep Actual	Oct-Dec Planned	Oct-Dec Actual	Jan-March Planned	Jan-March Actual	April-June Planned	April-June Actual	Budget to Date	Actual to Date	Variance to Date
State Staff												
# FTEs 14		\$192,693.00	\$0.00	\$192,693.00	\$0.00	\$192,693.00	\$0.00	\$192,693.00	\$0.00	\$770,772	\$0	\$770,772
Subcontractors												
# FTEs		\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0	\$0	\$0
Hardware												
Item 1		\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0	\$0	\$0
Item 2		\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0	\$0	\$0
Software												
Item 1		\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0	\$0	\$0
Item 2		\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0	\$0	\$0
Misc Equipment												
Item 1		\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0	\$0	\$0
Item 2		\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0	\$0	\$0
Other Costs												
Item 1 Expense		\$77,056.00	\$0.00	\$22,778.00	\$0.00	\$22,778.00	\$0.00	\$22,778.00	\$0.00	\$145,390	\$0	\$145,390
Item 2 Human Resource Services		\$995.00	\$0.00	\$995.00	\$0.00	\$995.00	\$0.00	\$995.00	\$0.00	\$3,980	\$0	\$3,980
<b>Total Costs</b>		<b>\$270,744</b>	<b>\$0</b>	<b>\$216,466</b>	<b>\$0</b>	<b>\$216,466</b>	<b>\$0</b>	<b>\$216,466</b>	<b>\$0</b>	<b>\$920,142</b>	<b>\$0</b>	<b>\$920,142</b>
Progress Payments										\$0	\$0	\$0

**FY 2010-11 SCHEDULE IV-B FEASIBILITY STUDY FOR  
3% WITHHOLDING FOR VENDOR PAYMENTS**

State of Florida  
Schedule IV-B  
IT Project Budget

Fiscal Year 2009-2010

Project Costs for 3% Withholding on Vendor Payments												
Produced R 0.00			For Depart. of Financial Services			By Angela Rowe			FY 2010-11			
PROJECT BUDGET WORKSHEET 2 - OPERATIONAL COST IMPACT (INCURRED AFTER PROJECT IMPLEMENTATION and / or PRO-RATED IF PHASED ROLLOUT)												
	FY 2010-11			FY 2011-12			FY 2012-13			FY 2013-14		
	(a) Current	(b) Project	(c) = (b)-(a) Incremental Effect of Project	(a) Current	(b) Project	(c) = (b)-(a) Incremental Effect of Project	(a) Current	(b) Project	(c) = (b)-(a) Incremental Effect of Project	(a) Current	(b) Project	(c) = (b)-(a) Incremental Effect of Project
<b>OPERATIONAL COSTS</b>												
Salaries and Wages	\$0	\$378,462	\$378,462	\$0	\$819,673	\$819,673	\$0	\$819,673	\$819,673	\$0	\$819,673	\$819,673
Pensions and Benefits	\$0	\$113,539	\$113,539	\$0	\$245,902	\$245,902	\$0	\$245,902	\$245,902	\$0	\$245,902	\$245,902
Other Personal Services	\$0	\$278,771	\$278,771	\$0	\$278,771	\$278,771	\$0	\$215,002	\$215,002	\$0	\$215,002	\$215,002
Consulting	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Hardware	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Software	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Data Processing	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Data Processing Supplies	\$0	\$56,658	\$56,658	\$0	\$65,097	\$65,097	\$0	\$33,810	\$33,810	\$0	\$33,810	\$33,810
Data Processing Communications	\$0	\$9,548	\$9,548	\$0	\$17,050	\$17,050	\$0	\$15,686	\$15,686	\$0	\$15,686	\$15,686
Training	\$0	\$12,460	\$12,460	\$0	\$16,650	\$16,650	\$0	\$11,270	\$11,270	\$0	\$11,270	\$11,270
Travel	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
<b>TOTAL OPERATIONAL COSTS</b>	\$0	\$849,438	\$849,438	\$0	\$1,443,143	\$1,443,143	\$0	\$1,341,343	\$1,341,343	\$0	\$1,341,343	\$1,341,343
FTE	0	0	0	0	0	0	0	0	0	0	0	0

## G. Appendix G – Communications Strategy

### 3 Percent Withholding Project Communications Strategy

The Communications Strategy outlines the project communications objectives and recommended ways of reaching those objectives for the 3% Withholding Project. The strategic plan provides information that supports the recommended key messages, target audiences and objectives. It also proposes structured communication and an approach to promote successful implementation.

This document also includes the roles and responsibilities of the target audience and provides a description of suggested communication measures that can be utilized to determine the effectiveness of the proposed communications approach for each segment of the audience. These performance measures will provide guidance for developing future communication plans for the Project.

#### Audience

The intended audience for the Communications Strategy includes State Agencies, Vendors, Stakeholders, Project Directors and Project Managers. These members are either directly or indirectly impacted by the Project making it essential that information is communicated to the members in an efficient and timely manner.

#### Desired Behavior

The Communications Strategy identifies a series of communications activities necessary to engage and inform prospective users and other stakeholders, and to increase their understanding and acceptance of the Project. Communicating throughout the Project will require a varied approach that addresses the capabilities and limitations of the current organization's communications environment, effectively utilizes available resources in the current organizational structure, and is appropriately phased over the life of the project.

A successful Communications Strategy will:

- Facilitate careful rollout of all project information to affected employees
- Allow for pre-planning and sensitivity to the unique needs of affected groups
- Minimize disruption and set the stage for acceptance of the completed implementation of the Project
- Ensure consistent messages are being relayed to stakeholders by all project team members and project leadership

Four primary target audiences qualify as stakeholders and user groups who require general information and/or information on implementation delivery for the 3% Withholding Project. Following are the target audiences and their respective roles:

- **State Agencies** – these state entities will be required to submit vendor information as well as payment information to DFS for the payment of goods and services
- **Vendors** – companies and/or individuals doing business with the State of Florida will be affected by the federal mandate and will be required to maintain correct Form W-9s with DFS to ensure payment accuracy for the goods and/or services provided to the State
- **Stakeholders** – the citizens of Florida and the federal government
- **Steering Committee** – the committee in charge of oversight and direction for the Project; provides sponsorship and representation as a financial leader for the Project; evaluates and recommends resolution for escalated policy and operational issues

- **Project Team** – teams in charge of managing key tasks within the scope of the project who are responsible for providing regular progress reports to the Project Director and stakeholders

On occasion, the Project will also need to communicate with the Legislature and the Governor's Office to keep them abreast of project developments.

### **Message**

To continually refine communications strategy and tactics, surveys have been identified as a measurement tool to provide consistent evaluations on general program awareness and understanding. The surveys will help determine if the communication objectives are being met successfully. Communications strategy and tactics may require revision based on evaluation results.

The objectives of the communication efforts are:

- 1) To create awareness of the Project and its requirements, priority and importance within the State of Florida
- 2) To promote compliance with the federal law as timely information will be required by state agencies for successful implementation
- 3) To create confidence that the Project will be marked by open communication and knowledge sharing

### **Strategy**

#### *Channels*

Throughout each project phase, key information and messages must be communicated to State of Florida staff, managers and vendors who will be impacted. Each audience has different information needs and channels, and therefore must be targeted appropriately. Furthermore, each audience receives and relays information through varying channels. The Project team should carefully target its information to each user group to be most effective.

The Project plans to utilize e-mail notifications and web postings as the primary channels to communicate information to state agencies and vendors. In addition, on-line training will be available to keep these target audiences informed and to provide step by step instructions as system changes are implemented to meet federal guidelines.

To reach stakeholders and Project Managers, the Communication Strategy will entail meetings and reports designed to enhance real time communication for changes and updates related to the Project. It is necessary to communicate with these audiences in an open forum to encourage discussion of operational issues in order to resolve potential problems in a timely manner so that the Project will not encounter unnecessary delays during implementation. The meetings will also be conducted after implementation to ensure objectives are being met as the Project transitions to the maintenance phase.

#### *Timing*

A Project Plan will be developed to define the timeline for actual communication messages and the trainings that will be offered.

## H. Appendix H – Comparison to Bureau of State Payroll

### 3 Percent Withholding Federal Law Comparison to Bureau of State Payrolls

#### I. Introduction

The 3 percent withholding law goes into effect on January 1, 2012. Between now and this date, the Division of Accounting and Auditing (specifically the Bureau of Accounting) and the Division of Information Systems (DIS) will be working together to implement this new federal law. The implementation will involve researching the new law, building requirements, designing FLAIR modifications, programming, testing, and final implementation, as well as building an organizational structure to operationalize the process once the law goes into effect.

Between July 1, 2009 and December 31, 2011, the Bureau of Accounting and DIS will require additional funding and positions to implement the new federal law. Both divisions will need FTEs to operate the withholding process once the law goes into effect on January 1, 2012. This document explains the methodology for the FTEs requested.

#### II. Summary of Comparison with the Bureau of State Payrolls (BOSP)

The Bureau of State Payrolls (BOSP) was used as a basis for determining the number of FTEs needed to operationalize the 3 percent withholding law. BOSP performs functions related to the processing of state payrolls and the remittance of payrolls taxes (withholding) to the federal government. Some of its activities are very similar to those that will be performed by the Bureau of Accounting when the new law goes into affect. However, there are also distinct differences between the two processes that must be considered. The following is an explanation of BOSP's current organizational structure and activities.

##### **Organization Structure of BOSP:**

1. FTEs = 31
2. Bureau Chief [1 FTE]
3. Four Sections (supervised by 4 Financial Administrators) comprised of:
  - *Payroll Processing*, including Collections, Settlement Agreements & Benefit Payments [10 FTEs]
  - *Taxation/Reconciliation*, including Annual Reporting to Employees/IRS (W-2s), Withholding and Tax Deposit Process; and Adjustments [6 FTEs]
  - *Employee Records*, including Taxpayer Information Forms (W-4s), Help Desk calls, and working with DIS on FLAIR modifications for payroll updates [8 FTEs]
  - *Post-Audit* [3 FTEs]
4. Senior Management Analyst II [1 FTE]
5. Administrative Support Staff (Admin Asst. I and Admin. Asst. II) [2 FTEs]

The sections above that closely align with activities for 3% withholding are the *Taxation/Reconciliation Section* and the *Employee Records Section*. These two BOSP sections contain 14 FTEs. Based on experience with processing state payrolls, we believe that the Bureau of Accounting will need 2 FTEs and 2 OPS positions in the Fiscal Year 2010-2011, and 11 additional FTEs in Fiscal Year 2011-2012 for 3% withholding to handle the similar activities of the *Taxation/Reconciliation Section* and the *Employee Records Section* (broken down as follows: *Taxation/Reconciliation Section* activities = 7 FTEs; *Employees Records Section* activities = 8 FTEs). The two OPS positions can be eliminated once the 3 percent withholding law has been implemented and the vendor files have been sufficiently cleansed.

**Organization Structure of DIS Payroll section:**

1. FTEs = 15
2. All employees work in all areas to support the Payroll system. However, we estimate that the equivalent of 6 FTEs work in areas that relate to Taxation/Reconciliation and Employee Records, the areas of the system that most closely align to the 3 percent withholding.
3. In addition to the areas that relate to payroll, the 3 percent project will impact areas that do not have a counterpart in the payroll area. These areas include:
  - Departmental FLAIR contract processing
  - Central FLAIR contract processing
  - Warrant reconciliation
  - EFT returns and reversals
  - Accounting transaction posting and balancing
  - Vendor payments
  - Voucher processing
  - Purchasing card
  - Information Warehouse data
  - Expense warrant/EFT remittance

The areas listed above, in addition to the activities that will mirror payroll activities for the 3 percent withholding, are the basis for our estimating the need for 6 FTEs and 2 OPS to design modify and support the new functionality. We have determined that 6 FTEs are needed to mirror the payroll activities and 4 FTEs are needed to work on the other impacted areas listed above. These changes will be needed in FLAIR to meet the Federal government's mandate for the 3 percent withholding law.

**III. Detail - Comparison of BOSP Activities to 3% Withholding Activities**

**Taxation/Reconciliation Section**

**A. Annual IRS Reporting Forms**

***Bureau of Accounting Impact:***

BOSP is responsible for issuing annual Form W-2s to state employees and submitting this information to the IRS. The Bureau of Accounting is responsible for issuing annual Form 1099s to vendors that receive Form 1099 reportable payments and submitting this information to the IRS. Under the 3 percent withholding law, it is estimated that the number of 1099 forms will double, and the complexity of the form will increase. Because the withholding law is new and the criteria is complex, it is likely to generate many more telephone calls to the Bureau of Accounting than currently received for Form 1099s, as well as more calls than BOSP currently receives for Form W-2s. Employee withholdings are usually consistent from one pay cycle to another, so employees generally know what to expect on their Form W-2. In contrast, vendors invoice the state at various points in time, for various amounts, depending on the timing and amount of goods and services provided. In addition, how a state agency codes a payment transaction will dictate whether it is subject to 3 percent withholding or not. We expect many calls from vendors on why certain payments are subject to 3 percent withholding and why others are not. This process will be significantly different than what is currently experienced in BOSP.

***DIS Impact:***

Currently there are 58 sets of specifications and 232 programs that support these functions in Payroll. We estimate that DIS will need to support the same number of specifications and programs for the 3 percent withholding section, as these will operate in a similar manner.

## **B. Tax Deposits**

### ***Bureau of Accounting Impact:***

BOSP is responsible for processing and monitoring tax deposits (withholding), which includes ensuring that withholding is properly transferred to the appropriate tax account and remitted to the IRS. BOSP's current remittance schedule is semi-weekly. In addition, this activity includes daily and monthly reconciliations of the tax account to ensure the correct amount of money is being remitted and that corrections have been properly accounted for. This same function will be required of the Bureau of Accounting under the 3% withholding law.

### ***DIS Impact:***

Tax deposits to the IRS, reporting for tax deposits, and reporting for employees or vendors will be consistent for both Payroll and 3 percent withholding. Currently there are 7 sets of specifications and 28 programs that support these functions in Payroll. We estimate that DIS will need to support the same number of specifications and programs for the 3 percent withholding section, as these will operate in the same way.

## **C. Corrections and Resolutions**

### ***Bureau of Accounting Impact:***

BOSP is responsible for processing payroll corrections that result in withholding corrections. BOSP processes these corrections and maintains a separate file that must be reconciled against the tax deposit account. The Bureau of Accounting will be required to implement a corrections process for 3 percent withholding. All corrections will require the Bureau of Accounting to process an adjustment to the tax account and a FLAIR transaction to return the funds to the agency, regardless of the type of correction. Corrections will likely fall into several categories, including:

1. Object Coding Errors - Agencies will be responsible for coding payments with the correct object code. Some object codes will be subject to 3% withholding and others will not. There will be circumstances where agencies will code the payment incorrectly, resulting in 3% withholding when it should not have applied. This will result in DFS corresponding with the vendor, working with the agency to get the payment corrected, getting the withholding back from the tax deposit account and refunding the vendor for the withholding. The coding for a payment of goods and services is much more complicated than coding for a routine salary payment. Inherently, there will be more coding errors resulting in more corrections needed than what is currently experienced in BOSP.
2. Business Designations Errors - Vendors making errors on their Form W-9 for business designation will result in another type of correction. Certain vendors, such as not-for-profits and other governmental entities are not subject to 3% withholding, while corporations, sole proprietorships and some partnerships are subject to the law. Any errors by the vendor may result in erroneous reporting.
3. Warrant Cancellations – Events can occur that require a warrant to be cancelled. When a warrant is cancelled, it may be reissued at a later date, or never reissued, depending on the circumstance.
4. EFT Cancellations or Returns – EFT transactions can be cancelled prior to final transmission to the recipient financial institution or EFTs can be returned due to a closed or nonexistent bank account.

### ***DIS Impact:***

Both the Payroll Section and the 3 percent withholding section will have to maintain the ability to process cancellations and adjustments to payments for both the prior calendar year as well as the prior fiscal year. Currently there are 34 sets of specifications and 136 programs to maintain this process. Our estimate is that this will be the same for the 3 percent withholding section.

## **Employee Records Section**



**A. Taxpayer Information Forms**

***Bureau of Accounting Impact:***

BOSP's *Employee Records Section* maintains IRS Form W-4s for all state employees (approximately 180,000). However, a long-standing process is in place for the collection of Form W-4s that does not currently exist for Form W-9s. The collection of Form W-4s is almost entirely handled through PeopleFirst, which interfaces with BOSP systems. Only in very rare circumstances does BOSP handle a manual Form W-4. The current Form W-9 process is completely manual, and requires Bureau of Accounting personnel to manually key in W-9 information directly into the 1099 Information File. In the past, Form W-9s were only required if a 1099 reportable payment was made. As part of the 3 percent withholding law and ongoing efforts to clean up the State's vendor files, DFS is now requiring all agencies to obtain IRS Form W-9s on new vendors. Currently, there are approximately 50,000 Form W-9s on file compared to 241,000 active vendors on the FLAIR Statewide Vendor File. In addition, it is anticipated that the IRS will be changing the Form W-9 for 3 percent withholding that may require all Form W-9s already on file to be updated. The Form W-9 activity will require monumental efforts by DFS to obtain new Form W-9s for all state vendors and ensure taxpayer information is accurate. There is a plan to implement an electronic Form W-9 as part of the MFMP vendor registration, but manual Form W-9s will be necessary for much of the implementation phase of this project.

***DIS Impact:***

Payroll has W-4 maintenance and processing which maintains IRS Form W-4s for all state employees. For the 3 percent withholding law, the Central Section which will include the 3 percent Withholding Section will need to maintain and process Form W-9s for all existing vendors. In Payroll this consists of approximately 77 sets of specifications and 308 programs. We estimate that the 3 percent withholding will have the same number of specifications and programs.

**B. DIS Liaisons**

***Bureau of Accounting Impact:***

Because the payroll withholding process is performed in FLAIR, BOSP has staff dedicated to working with DIS on law changes resulting in system modifications and process improvements. The federal government updates withholding requirements/regulations on an annual basis (at a minimum). This is also expected to be the case for the 3 percent withholding law, and will require the Bureau of Accounting to have staff that become subject matter experts on the 3 percent withholding law and regulations.

***DIS Impact:***

Likewise, DIS will have a liaison to work with the Bureau of Accounting who will serve as a single point of contact for matters concerning the overall scope of this program.

**C. Agency/Vendor Liaisons**

***Bureau of Accounting Impact:***

BOSP handles phone calls from agencies and employees that have problems with their payroll. Likewise, the Bureau of Accounting will need FTEs to handle questions by agencies regarding 3 percent withholding. In addition, it is anticipated that a significant amount of questions will come from vendors that have withholding applied to their invoices. Although a training effort will be made to ensure vendors are aware of the new law, there will be many questions from vendors regarding why certain payments were subject to 3 percent withholding. There is also a greater chance of coding errors by agencies resulting in withholding errors, as compared to processing payroll where coding is very consistent.

***DIS Impact:***

Currently, there are 30 sets of specifications and 120 programs that support these functions in Payroll.

We estimate that DIS will need to support the same number of specifications and programs for the 3 percent withholding section, as these will operate in the same way. This includes creating historical CDs to capture 1099 withholding, historical 3 percent accounting transactions, Departmental FLAIR interfaces, and agency file copies as well as reports.

#### **D. Code Maintenance**

##### ***Bureau of Accounting Impact:***

Payrolls by their very nature are payments to individuals. Therefore, there is no need to consider business designations of payees. The selection criteria for 3 percent withholding will be based on the business designation of the vendor (sole proprietorship, corporation, not-for-profit, etc.) and the type of payment (purchase of goods, services, etc.). The business designation will be provided by the vendor through a Form W-9 and is a critical component of the selection criteria. The type of payment will be based on the FLAIR object code, which is determined by the state agency processing the payment. Payroll coding is limited to only a few object codes in FLAIR, while vendor payments may be coded to over a two hundred different object codes. As part of the 3 percent withholding implementation and operations, the object code listing will need to be modified for the new federal law and monitored for new law changes in the future. A table will need to be created in FLAIR for object codes subject to 3 percent withholding and maintained when updates are warranted. In addition, there will be other status codes affected by this law change and new status codes added, which will all need to be maintained.

##### ***DIS Impact:***

Currently there are 16 sets of specifications and 64 programs that support these functions in Payroll. Our estimate is that this will be higher for the 3 percent withholding section as there are additional data elements that will need to be maintained. Our estimate for the 3 percent withholding is 27 sets of specifications and 108 programs will be needed to operate this function.

#### **IV. Conclusion**

Creating a 3 percent withholding process is similar to initiating a brand new payroll process and assuming that current Form W-4s for any of the State's 180,000 employees do not exist. However, the difficulty in obtaining Form W-9s from vendors is much greater than obtaining Form W-4s from employees. Errors in implementing the 3 percent withholding law may result in penalties assessed by the IRS and discord among vendors and agencies. It is imperative that this implementation be successful. Based on our experience with payrolls and our current vendor files and 1099 process, it will take significant resources and FTEs to successfully implement this law.

**FY 2010-11 SCHEDULE IV-B FEASIBILITY STUDY FOR  
3% WITHHOLDING FOR VENDOR PAYMENTS**

**I. Appendix I – Project Plan**

ID	Task Name	Duration	Start	Finish	Predecessors	Resource Names
1	<b>3% WITHHOLDING</b>	<b>1037 days</b>	<b>Mon 10/5/09</b>	<b>Wed 1/11/14</b>		
2	<b>Project Management Activities</b>	<b>668 days</b>	<b>Mon 10/5/09</b>	<b>Fri 6/22/12</b>		
3	<b>Steering Committee Meetings</b>	<b>668 days</b>	<b>Mon 10/5/09</b>	<b>Fri 6/22/12</b>		
4	<b>Organizational Structure / HR</b>	<b>494 days</b>	<b>Mon 10/5/09</b>	<b>Fri 10/14/11</b>		
5	Fill A&A position (SMALL) for 2009-2010 FY	20 days	Mon 10/5/09	Fri 10/30/09		Molly Merry[10%],Mike Manderfield[50%],Debra Evans[50%]
6	Fill DIS positions for 2009-2010 FY	20 days	Mon 10/5/09	Fri 10/30/09		Joanne Krieger-Wolin[10%],Tammy Ellis[10%],Phyllis Pearce[40%],Nancy Bechard[40%]
7	Submit New Org Structure for 2010 - 2011 FY	20 days	Mon 5/31/10	Fri 6/25/10	SS+160 days	Molly Merry[10%],Mike Manderfield[10%],Joanne Krieger-Wolin[10%],Tammy Ellis[10%]
8	Fill New A&A Positions for FY 2010-2011	63 days	Tue 7/6/10	Fri 10/1/10	7	Mike Manderfield[50%],Molly Merry[10%],Debra Evans[50%]
9	Fill New DIS Positions for FY 2010-2011	63 days	Tue 7/6/10	Fri 10/1/10	7	Phyllis Pearce[40%],Tammy Ellis[10%],Joanne Krieger-Wolin[10%],Nancy Bechard[40%]
10	Submit New Org Structure for 2011 - 2012 FY	64 days	Mon 4/4/11	Fri 7/8/11	SS+181 days	Molly Merry[10%],Mike Manderfield[10%],Joanne Krieger-Wolin[10%],Tammy Ellis[10%]
11	Fill New A&A Positions for FY 2011-2012	69 days	Mon 7/11/11	Fri 10/14/11	10	Molly Merry[10%],Mike Manderfield[50%],Debra Evans[50%]
12	<b>Budget / Legislative Issues 2010-2011 FY</b>	<b>10 days</b>	<b>Mon 10/5/09</b>	<b>Fri 10/16/09</b>		
13	Prepare D3-A Issue for 2010-2011 FY	10 days	Mon 10/5/09	Fri 10/16/09		Molly Merry[50%],Mike Manderfield[50%],Joanne Krieger-Wolin[50%],Tammy Ellis[50%]
14	Update Schedule IV-B for 2010-2011 FY	10 days	Mon 10/5/09	Fri 10/16/09		Molly Merry[50%],Mike Manderfield[50%],Joanne Krieger-Wolin[50%],Tammy Ellis[50%]
15	<b>Budget / Legislative Issues 2011-2012 FY</b>	<b>73 days</b>	<b>Tue 7/6/10</b>	<b>Fri 10/15/10</b>		
16	Prepare D3-A Issue for 2011-2012 FY	73 days	Tue 7/6/10	Fri 10/15/10	SS+170 days	Molly Merry[50%],Mike Manderfield[50%],Joanne Krieger-Wolin[50%],Tammy Ellis[50%]
17	Update Schedule IV-B for 2011-2012 FY	73 days	Tue 7/6/10	Fri 10/15/10	16SS	Molly Merry[50%],Mike Manderfield[50%],Joanne Krieger-Wolin[50%],Tammy Ellis[50%]
18	<b>Fiscal Year 2009/2010</b>	<b>160 days</b>	<b>Mon 11/2/09</b>	<b>Fri 6/25/10</b>		
19	Nov 2009	19 days	Mon 11/2/09	Fri 11/27/09		Abe Kani[10%],Diana Flagg[10%],Kimberly McMurray[10%],Joanne Krieger-Wolin[10%],1
20	Dec 2009	14 days	Tue 12/1/09	Fri 12/18/09		Abe Kani[10%],Diana Flagg[10%],Kimberly McMurray[10%],Joanne Krieger-Wolin[10%],1
21	Jan 2010	20 days	Mon 1/4/10	Fri 1/29/10		Abe Kani[10%],Diana Flagg[10%],Kimberly McMurray[10%],Joanne Krieger-Wolin[10%],1
22	Feb 2010	20 days	Mon 2/1/10	Fri 2/26/10		Abe Kani[10%],Diana Flagg[10%],Kimberly McMurray[10%],Joanne Krieger-Wolin[10%],1
23	Mar 2010	20 days	Mon 3/1/10	Fri 3/26/10		Abe Kani[10%],Diana Flagg[10%],Kimberly McMurray[10%],Joanne Krieger-Wolin[10%],1
24	Apr 2010	22 days	Thu 4/1/10	Fri 4/30/10		Abe Kani[10%],Diana Flagg[10%],Kimberly McMurray[10%],Joanne Krieger-Wolin[10%],1
25	May 2010	19 days	Mon 5/3/10	Thu 5/27/10		Abe Kani[10%],Diana Flagg[10%],Kimberly McMurray[10%],Joanne Krieger-Wolin[10%],1
26	June 2010	19 days	Tue 6/1/10	Fri 6/25/10		Abe Kani[10%],Diana Flagg[10%],Kimberly McMurray[10%],Joanne Krieger-Wolin[10%],1
27	<b>Fiscal Year 2010/2011</b>	<b>240 days</b>	<b>Tue 7/6/10</b>	<b>Fri 6/24/11</b>		
28	July 2010	19 days	Tue 7/6/10	Fri 7/30/10		Abe Kani[10%],Diana Flagg[10%],Kimberly McMurray[10%],Joanne Krieger-Wolin[10%],1
29	Aug 2010	20 days	Mon 8/2/10	Fri 8/27/10		Abe Kani[10%],Diana Flagg[10%],Kimberly McMurray[10%],Joanne Krieger-Wolin[10%],1
30	Sept 2010	21 days	Wed 9/1/10	Thu 9/30/10		Abe Kani[10%],Diana Flagg[10%],Kimberly McMurray[10%],Joanne Krieger-Wolin[10%],1
31	Oct 2010	21 days	Fri 10/1/10	Fri 10/29/10		Abe Kani[10%],Diana Flagg[10%],Kimberly McMurray[10%],Joanne Krieger-Wolin[10%],1
32	Nov 2010	19 days	Mon 11/1/10	Tue 11/30/10		Abe Kani[10%],Diana Flagg[10%],Kimberly McMurray[10%],Joanne Krieger-Wolin[10%],1
33	Dec 2010	15 days	Wed 12/1/10	Tue 12/21/10		Abe Kani[10%],Diana Flagg[10%],Kimberly McMurray[10%],Joanne Krieger-Wolin[10%],1
34	Jan 2011	19 days	Tue 1/4/11	Fri 1/28/11		Abe Kani[10%],Diana Flagg[10%],Kimberly McMurray[10%],Joanne Krieger-Wolin[10%],1
35	Feb 2011	19 days	Tue 2/1/11	Fri 2/25/11		Abe Kani[10%],Diana Flagg[10%],Kimberly McMurray[10%],Joanne Krieger-Wolin[10%],1

**FY 2010-11 SCHEDULE IV-B FEASIBILITY STUDY FOR  
3% WITHHOLDING FOR VENDOR PAYMENTS**

ID	Task Name	Duration	Start	Finish	Predecessors	Resource Names
36	Mar 2011	23 days	Tue 3/1/11	Thu 3/31/11		Abe Kani[10%],Diana Flagg[10%],Kimberly McMurray[10%],Joanne Krieger-Wolin[10%],1
37	Apr 2011	21 days	Fri 4/1/11	Fri 4/29/11		Abe Kani[10%],Diana Flagg[10%],Kimberly McMurray[10%],Joanne Krieger-Wolin[10%],1
38	May 2011	19 days	Mon 5/2/11	Thu 5/26/11		Abe Kani[10%],Diana Flagg[10%],Kimberly McMurray[10%],Joanne Krieger-Wolin[10%],1
39	June 2011	18 days	Wed 6/1/11	Fri 6/24/11		Abe Kani[10%],Diana Flagg[10%],Kimberly McMurray[10%],Joanne Krieger-Wolin[10%],1
40	<b>Fiscal Year 2011/2012</b>	<b>246 days</b>	<b>Wed 7/6/11</b>	<b>Fri 6/22/12</b>		
41	July 2011	18 days	Wed 7/6/11	Fri 7/29/11		Abe Kani[10%],Diana Flagg[10%],Kimberly McMurray[10%],Joanne Krieger-Wolin[10%],1
42	Aug 2011	20 days	Mon 8/1/11	Fri 8/26/11		Abe Kani[10%],Diana Flagg[10%],Kimberly McMurray[10%],Joanne Krieger-Wolin[10%],1
43	Sept 2011	21 days	Thu 9/1/11	Fri 9/30/11		Abe Kani[10%],Diana Flagg[10%],Kimberly McMurray[10%],Joanne Krieger-Wolin[10%],1
44	Oct 2011 Week #1	5 days	Mon 10/3/11	Fri 10/7/11		Abe Kani[10%],Diana Flagg[10%],Kimberly McMurray[10%],Joanne Krieger-Wolin[10%],1
45	Oct 2011 Week #2	5 days	Mon 10/10/11	Fri 10/14/11	44	Abe Kani[10%],Diana Flagg[10%],Kimberly McMurray[10%],Joanne Krieger-Wolin[10%],1
46	Oct 2011 Week #3	5 days	Mon 10/17/11	Fri 10/21/11	45	Abe Kani[10%],Diana Flagg[10%],Kimberly McMurray[10%],Joanne Krieger-Wolin[10%],1
47	Oct 2011 Week #4	5 days	Mon 10/24/11	Fri 10/28/11	46	Abe Kani[10%],Diana Flagg[10%],Kimberly McMurray[10%],Joanne Krieger-Wolin[10%],1
48	Nov 2011 Week #1	5 days	Mon 10/31/11	Fri 11/4/11	47	Abe Kani[10%],Diana Flagg[10%],Kimberly McMurray[10%],Joanne Krieger-Wolin[10%],1
49	Nov 2011 Week #2	5 days	Mon 11/7/11	Fri 11/11/11	48	Abe Kani[10%],Diana Flagg[10%],Kimberly McMurray[10%],Joanne Krieger-Wolin[10%],1
50	Nov 2011 Week #3	5 days	Mon 11/14/11	Fri 11/18/11	49	Abe Kani[10%],Diana Flagg[10%],Kimberly McMurray[10%],Joanne Krieger-Wolin[10%],1
51	Nov 2011 Week #4	2 days	Mon 11/21/11	Tue 11/22/11	50	Abe Kani[10%],Diana Flagg[10%],Kimberly McMurray[10%],Joanne Krieger-Wolin[10%],1
52	Nov/Dec 2011 Week #5	5 days	Mon 11/28/11	Fri 12/2/11	51	Abe Kani[10%],Diana Flagg[10%],Kimberly McMurray[10%],Joanne Krieger-Wolin[10%],1
53	Dec 2011 Week #1	5 days	Mon 12/5/11	Fri 12/9/11	52	Abe Kani[10%],Diana Flagg[10%],Kimberly McMurray[10%],Joanne Krieger-Wolin[10%],1
54	Dec 2011 Week #2	5 days	Mon 12/12/11	Fri 12/16/11	53	Abe Kani[10%],Diana Flagg[10%],Kimberly McMurray[10%],Joanne Krieger-Wolin[10%],1
55	Dec 2011 Week#3 Day 1	1 day	Mon 12/19/11	Mon 12/19/11	54	Abe Kani[10%],Diana Flagg[10%],Kimberly McMurray[10%],Joanne Krieger-Wolin[10%],1
56	Dec 2011 Week#3 Day 2	1 day	Tue 12/20/11	Tue 12/20/11	55	Abe Kani[10%],Diana Flagg[10%],Kimberly McMurray[10%],Joanne Krieger-Wolin[10%],1
57	Dec 2011 Week#3 Day 3	1 day	Wed 12/21/11	Wed 12/21/11	56	Abe Kani[10%],Diana Flagg[10%],Kimberly McMurray[10%],Joanne Krieger-Wolin[10%],1
58	Dec 2011 Week#3 Day 4	1 day	Thu 12/22/11	Thu 12/22/11	57	Abe Kani[10%],Diana Flagg[10%],Kimberly McMurray[10%],Joanne Krieger-Wolin[10%],1
59	Dec 2011 Week#3 Day 5	1 day	Fri 12/23/11	Fri 12/23/11	58	Abe Kani[10%],Diana Flagg[10%],Kimberly McMurray[10%],Joanne Krieger-Wolin[10%],1
60	Dec 2011 Week#4 Day 2	1 day	Tue 12/27/11	Tue 12/27/11	59	Abe Kani[10%],Diana Flagg[10%],Kimberly McMurray[10%],Joanne Krieger-Wolin[10%],1
61	Dec 2011 Week#4 Day 3	1 day	Wed 12/28/11	Wed 12/28/11	60	Abe Kani[10%],Diana Flagg[10%],Kimberly McMurray[10%],Joanne Krieger-Wolin[10%],1
62	Dec 2011 Week#4 Day 4	1 day	Thu 12/29/11	Thu 12/29/11	61	Abe Kani[10%],Diana Flagg[10%],Kimberly McMurray[10%],Joanne Krieger-Wolin[10%],1
63	Dec 2011 Week#4 Day 5	1 day	Fri 12/30/11	Fri 12/30/11	62	Abe Kani[10%],Diana Flagg[10%],Kimberly McMurray[10%],Joanne Krieger-Wolin[10%],1
64	Jan 2012 Week#1 Day 2	1 day	Tue 1/3/12	Tue 1/3/12	63	Abe Kani[10%],Diana Flagg[10%],Kimberly McMurray[10%],Joanne Krieger-Wolin[10%],1
65	Jan 2012 Week#1 Day 3	1 day	Wed 1/4/12	Wed 1/4/12	64	Abe Kani[10%],Diana Flagg[10%],Kimberly McMurray[10%],Joanne Krieger-Wolin[10%],1
66	Jan 2012 Week#1 Day 4	1 day	Thu 1/5/12	Thu 1/5/12	65	Abe Kani[10%],Diana Flagg[10%],Kimberly McMurray[10%],Joanne Krieger-Wolin[10%],1
67	Jan 2012 Week#1 Day 5	1 day	Fri 1/6/12	Fri 1/6/12	66	Abe Kani[10%],Diana Flagg[10%],Kimberly McMurray[10%],Joanne Krieger-Wolin[10%],1
68	Jan 2012 Week#2	5 days	Mon 1/9/12	Fri 1/13/12	67	Abe Kani[10%],Diana Flagg[10%],Kimberly McMurray[10%],Joanne Krieger-Wolin[10%],1
69	Jan 2012 Week#3	5 days	Mon 1/16/12	Fri 1/20/12	68	Abe Kani[10%],Diana Flagg[10%],Kimberly McMurray[10%],Joanne Krieger-Wolin[10%],1
70	Jan 2012 Week#3	5 days	Mon 1/23/12	Fri 1/27/12	69	Abe Kani[10%],Diana Flagg[10%],Kimberly McMurray[10%],Joanne Krieger-Wolin[10%],1

**FY 2010-11 SCHEDULE IV-B FEASIBILITY STUDY FOR  
3% WITHHOLDING FOR VENDOR PAYMENTS**

ID	Task Name	Duration	Start	Finish	Predecessors	Resource Names
71	Feb 2012	18 days	Wed 2/1/12	Fri 2/24/12		Abe Kani[10%],Diana Flagg[10%],Kimberly McMurray[10%],Joanne Kriebert-Wolin[10%],1
72	Mar 2012	22 days	Thu 3/1/12	Fri 3/30/12		Abe Kani[10%],Diana Flagg[10%],Kimberly McMurray[10%],Joanne Kriebert-Wolin[10%],1
73	Apr 2012	20 days	Mon 4/2/12	Fri 4/27/12		Abe Kani[10%],Diana Flagg[10%],Kimberly McMurray[10%],Joanne Kriebert-Wolin[10%],1
74	May 2012	22 days	Tue 5/1/12	Thu 5/31/12		Abe Kani[10%],Diana Flagg[10%],Kimberly McMurray[10%],Joanne Kriebert-Wolin[10%],1
75	June 2012	16 days	Fri 6/1/12	Fri 6/22/12		Abe Kani[10%],Diana Flagg[10%],Kimberly McMurray[10%],Joanne Kriebert-Wolin[10%],1
76	<b>Develop Change Management Plan</b>	<b>193 days</b>	<b>Mon 10/18/10</b>	<b>Mon 8/8/11</b>		
77	Bureau of Accounting - Transition Plan for new sections	42 days	Mon 10/18/10	Fri 12/17/10	16	Molly Merry[30%],Mike Manderfield[30%],Kimberly McMurray[10%],Chg Mgmt Lead,Christ
78	Develop Training Timeline	21 days	Mon 12/20/10	Fri 1/28/11	77	Chg Mgmt Lead
79	Develop Education Material - Bureau of Accounting	45 days	Mon 1/31/11	Fri 4/1/11	78	Chg Mgmt Lead,Debra Evans[20%],PAS #1905[30%],PAS #1904[30%],SMA II #1903[30%
80	Develop Webinar Education Material - Vendors	39 days	Mon 4/4/11	Thu 5/26/11	79	Chg Mgmt Lead,Debra Evans[20%],PAS #1905[30%],PAS #1904[30%],SMA II #1903[30%
81	Develop Webinar/Class Education Material - Agencies	40 days	Mon 5/30/11	Fri 7/29/11	80	Chg Mgmt Lead,Debra Evans[20%],PAS #1905[30%],PAS #1904[30%],SMA II #1903[30%
82	Review Change Management Plan	5 days	Mon 8/1/11	Fri 8/5/11	81	Abe Kani[10%],Kimberly McMurray[10%],Christina Smith[10%],Diana Flagg[10%],Project
83	<b>Aprove Change Management Plan</b>	<b>1 day</b>	<b>Mon 8/8/11</b>	<b>Mon 8/8/11</b>	<b>82</b>	
84	<b>Bureau of Accounting - Implement Transition Plan</b>	<b>20 days</b>	<b>Mon 10/17/11</b>	<b>Fri 11/11/11</b>	11,77	Molly Merry[10%],Mike Manderfield[10%],Chg Mgmt Lead,Debra Evans[30%],PAS #1905[30%
85	<b>Develop Communication Plan</b>	<b>40 days</b>	<b>Thu 7/21/11</b>	<b>Thu 9/15/11</b>	SS+180 days	Chg Mgmt Lead,Molly Merry[10%],Mike Manderfield[30%],Debra Evans[30%]
86	<b>Perform Risk Assessment</b>	<b>569 days</b>	<b>Tue 12/1/09</b>	<b>Fri 3/30/12</b>		
87	Update Risk Assessment - FY09/10 Qtr 3	14 days	Tue 12/1/09	Fri 12/18/09	20SS	Abe Kani[10%],Diana Flagg[10%],Kimberly McMurray[10%],Joanne Kriebert-Wolin[10%],1
88	Update Risk Assessment - FY09/10 Qtr 4	20 days	Mon 3/1/10	Fri 3/26/10	23SS	Abe Kani[10%],Diana Flagg[10%],Kimberly McMurray[10%],Joanne Kriebert-Wolin[10%],1
89	Update Risk Assessment - FY10/11 Qtr 1	19 days	Tue 6/1/10	Fri 6/25/10	26SS	Abe Kani[10%],Diana Flagg[10%],Kimberly McMurray[10%],Joanne Kriebert-Wolin[10%],1
90	Update Risk Assessment - FY10/11 Qtr 2	21 days	Wed 9/1/10	Thu 9/30/10	30SS	Abe Kani[10%],Diana Flagg[10%],Kimberly McMurray[10%],Joanne Kriebert-Wolin[10%],1
91	Update Risk Assessment - FY10/11 Qtr 3	15 days	Wed 12/1/10	Tue 12/21/10	33SS	Abe Kani[10%],Diana Flagg[10%],Kimberly McMurray[10%],Joanne Kriebert-Wolin[10%],1
92	Update Risk Assessment - FY10/11 Qtr 4	23 days	Tue 3/1/11	Thu 3/31/11	36SS	Abe Kani[10%],Diana Flagg[10%],Kimberly McMurray[10%],Joanne Kriebert-Wolin[10%],1
93	Update Risk Assessment - FY11/12 Qtr 1	18 days	Wed 6/1/11	Fri 6/24/11	39SS	Abe Kani[10%],Diana Flagg[10%],Kimberly McMurray[10%],Joanne Kriebert-Wolin[10%],1
94	Update Risk Assessment - FY11/12 Qtr 2	18 days	Thu 9/1/11	Tue 9/27/11	43SS	Abe Kani[10%],Diana Flagg[10%],Kimberly McMurray[10%],Joanne Kriebert-Wolin[10%],1
95	Update Risk Assessment - FY11/12 Qtr 3	14 days	Mon 12/5/11	Thu 12/22/11	53SS	Abe Kani[10%],Diana Flagg[10%],Kimberly McMurray[10%],Joanne Kriebert-Wolin[10%],1
96	Update Risk Assessment - FY11/12 Qtr 4	22 days	Thu 3/1/12	Fri 3/30/12	72SS	Abe Kani[10%],Diana Flagg[10%],Kimberly McMurray[10%],Joanne Kriebert-Wolin[10%],1
97	<b>Business Process &amp; Requirement Development</b>	<b>441 days</b>	<b>Mon 10/5/09</b>	<b>Mon 8/1/11</b>		
98	<b>W9 Receipt &amp; Validation</b>	<b>72 days</b>	<b>Mon 10/5/09</b>	<b>Mon 1/25/10</b>		
99	Review W-9 and determine need for add'l business designations	15 days	Mon 10/5/09	Fri 10/23/09		Carolyn Howard[60%],Debra Evans[10%],Birgit Cromartie[20%],Ronnie White[20%]
100	Update paper Substitute W-9 for mailouts	24 days	Mon 10/26/09	Fri 11/27/09	99	Carolyn Howard[60%],Debra Evans[10%],Birgit Cromartie[20%],Ronnie White[20%]
101	Define Requirements for automated W9 Form for MFMP	29 days	Mon 10/12/09	Fri 11/20/09	99SS+5 days	Carolyn Howard[30%],Debra Evans[80%],Mike Manderfield[10%],Molly Merry[10%]
102	Define Requirements for automated W9 Form for Non-MFMP	29 days	Mon 10/12/09	Fri 11/20/09	99SS+5 days	Carolyn Howard[30%],Debra Evans[80%],Mike Manderfield[10%],Molly Merry[10%]
103	Make final decision on TIN Matching Program	27 days	Mon 11/23/09	Fri 1/8/10	102	Molly Merry[33%],Mike Manderfield[33%],Debra Evans[33%]
104	Finalize W-9 Requirements	27 days	Mon 11/23/09	Fri 1/8/10	103SS	Molly Merry[20%],Debra Evans[30%],PAS #4244,Carolyn Howard[50%]
105	Stakeholder Review of W-9 Requirements	10 days	Mon 1/11/10	Fri 1/22/10	104	Christina Smith[50%],Kimberly McMurray[50%],Abe Kani[50%],Diana Flagg[10%],Project

**FY 2010-11 SCHEDULE IV-B FEASIBILITY STUDY FOR  
3% WITHHOLDING FOR VENDOR PAYMENTS**

ID	Task Name	Duration	Start	Finish	Predecessors	Resource Names
106	<b>Approval of W-9 Requirements</b>	<b>1 day</b>	<b>Mon 1/25/10</b>	<b>Mon 1/25/10</b>	<b>105</b>	
107	<b>3% Withholding Payment Selection Criteria</b>	<b>102 days</b>	<b>Mon 12/14/09</b>	<b>Fri 5/14/10</b>		
108	P-Card Payments	22 days	Mon 12/14/09	Fri 1/22/10	125	Debra Evans[10%],PAS #4244
109	Emergency Payments	27 days	Mon 12/14/09	Fri 1/29/10	108SS	Debra Evans[10%],PAS #4244,Molly Merry[10%],Mike Manderfield[10%],Tammy Ellis[10%
110	Pass-through Payments	22 days	Mon 12/14/09	Fri 1/22/10	108SS	Debra Evans[10%],PAS #4244
111	Indian Tribal Payments	5 days	Mon 12/14/09	Fri 12/18/09	108SS	Debra Evans[10%],PAS #4244
112	Payment Administrators	12 days	Mon 12/14/09	Fri 1/8/10	108SS	Debra Evans[10%],PAS #4244
113	Survey Agencies/Data research on "need-based"	20 days	Mon 1/11/10	Fri 2/5/10	112	PAS #4244,Debra Evans[10%]
114	Contract Payments	50 days	Mon 1/25/10	Fri 4/2/10	108	Debra Evans[10%],PAS #4244,Molly Merry[10%],Mike Manderfield[10%],Tammy Ellis[10%
115	Determine payment exempt from 3% for "need-based"	25 days	Mon 4/5/10	Fri 5/7/10	114	Debra Evans[10%],PAS #4244
116	Review object codes and classify for 3% applicability	25 days	Mon 2/8/10	Fri 3/12/10	113	Debra Evans[10%],PAS #4244
117	Revolving Funds	20 days	Mon 2/8/10	Fri 3/5/10	113	Debra Evans[10%],PAS #4244
118	Review IRS Req and Determine Add'l Criteria	25 days	Mon 3/8/10	Fri 4/9/10	117	PAS #4244,Debra Evans[10%]
119	Placeholder for Add'l Criteria	25 days	Mon 4/12/10	Fri 5/14/10	118	Debra Evans[10%],PAS #4244
120	Document draft selection criteria requirements	20 days	Mon 3/15/10	Fri 4/9/10	116	Debra Evans[10%],PAS #4244,SMA II #1903[10%]
121	Finalize 3% Payment Selection Criteria Requirements	15 days	Mon 4/12/10	Fri 4/30/10	120	PAS #4244,Debra Evans[50%],Molly Merry[20%],Mike Manderfield[50%]
122	Stakeholder Review of 3% Payment Selection Criteria Requirements	9 days	Mon 5/3/10	Thu 5/13/10	121	Christina Smith[50%],Kimberly McMurray[50%],Abe Kani[50%],Diana Flagg[10%],Project
123	<b>Approval of 3% Payment Selection Criteria Requirements</b>	<b>1 day</b>	<b>Fri 5/14/10</b>	<b>Fri 5/14/10</b>	<b>122</b>	
124	<b>1099 Information File</b>	<b>83 days</b>	<b>Mon 11/30/09</b>	<b>Mon 4/5/10</b>		
125	Assess current design	10 days	Mon 11/30/09	Fri 12/11/09	SS+34 days	Debra Evans[50%],Carolyn Howard[50%],Birgit Cromartie[20%],Ronnie White[20%],Emma
126	Research other states	10 days	Mon 11/30/09	Fri 12/11/09	125SS	PAS #4244,SMA II #1903,Debra Evans[20%]
127	Workgroup Session #1	12 days	Mon 12/14/09	Fri 1/8/10	126	Debra Evans[50%],Carolyn Howard[50%],Birgit Cromartie[20%],Ronnie White[20%],Emma
128	Workgroup Session #2	5 days	Mon 1/11/10	Fri 1/15/10	127	Debra Evans[50%],Carolyn Howard[50%],Birgit Cromartie[20%],Ronnie White[20%],Emma
129	Workgroup Session #3	5 days	Mon 1/18/10	Fri 1/22/10	128	Debra Evans[50%],Carolyn Howard[50%],Birgit Cromartie[20%],Ronnie White[20%],Emma
130	Document 1099 reporting processes	25 days	Mon 1/25/10	Fri 2/26/10	129	Debra Evans[50%],Carolyn Howard[20%],Ronnie White[20%],SMA II #1903,PAS #4244[40
131	Finalize 1099 Information File Requirements	15 days	Mon 3/1/10	Fri 3/19/10	130	Debra Evans[50%],SMA II #1903,Molly Merry[30%],Carolyn Howard[20%]
132	Stakeholder Review of 1099 Information File Requirements	10 days	Mon 3/22/10	Fri 4/2/10	131	Christina Smith[50%],Kimberly McMurray[50%],Abe Kani[50%],Diana Flagg[10%]
133	<b>Approve 1099 Information File Requirements</b>	<b>1 day</b>	<b>Mon 4/5/10</b>	<b>Mon 4/5/10</b>	<b>132</b>	
134	<b>B-Notice / Backup Withholding</b>	<b>65 days</b>	<b>Mon 3/22/10</b>	<b>Mon 6/21/10</b>		
135	Develop B- Notice Tracking Requirements	35 days	Mon 3/22/10	Fri 5/7/10	131	SMA II #1903,Debra Evans[20%],Carolyn Howard[30%],Tammy Ellis[10%],Joanne Kriebert
136	Develop Backup Withholding Requirements	35 days	Mon 3/22/10	Fri 5/7/10	135SS	SMA II #1903,Debra Evans[20%],Carolyn Howard[30%],Tammy Ellis[10%],Joanne Kriebert
137	Finalize B-Notice /Backup Withholding Requirements	19 days	Mon 5/10/10	Fri 6/4/10	136	SMA II #1903,Debra Evans[20%],Carolyn Howard[30%],Tammy Ellis[10%],Joanne Kriebert
138	Stakeholder Review of B-Notice/Backup Withholding Requirements	10 days	Mon 6/7/10	Fri 6/18/10	137	Christina Smith[50%],Kimberly McMurray[50%],Abe Kani[50%],Diana Flagg[10%],Project
139	<b>Approve B-Notice/Backup Withholding Requirements</b>	<b>1 day</b>	<b>Mon 6/21/10</b>	<b>Mon 6/21/10</b>	<b>138</b>	
140	<b>Fund Remittance to IRS and Vendor</b>	<b>50 days</b>	<b>Mon 5/31/10</b>	<b>Mon 8/16/10</b>		



**FY 2010-11 SCHEDULE IV-B FEASIBILITY STUDY FOR  
3% WITHHOLDING FOR VENDOR PAYMENTS**

ID	Task Name	Duration	Start	Finish	Predecessors	Resource Names
141	Determine need for new Trust Fund for WH payments	24 days	Mon 5/31/10	Fri 7/9/10	SS+29 days	Debra Evans[10%],PAS #4244[10%],SMA II #1903[40%],Molly Merry[10%],Mike Manderfield[10%]
142	Document Flow of funds including accounting transactions	24 days	Mon 5/31/10	Fri 7/9/10	141SS	Debra Evans[10%],PAS #4244[10%],SMA II #1903[40%],Molly Merry[10%],Tammy Ellis[10%]
143	Coordinate with Treasury on ACH transactions	24 days	Mon 5/31/10	Fri 7/9/10	141SS	SMA II #1903[50%],PAS #4244[50%]
144	Finalize IRS and Vendor Remittance Requirements	15 days	Mon 7/12/10	Fri 7/30/10	143	Debra Evans[10%],PAS #4244[10%],SMA II #1903[40%],Molly Merry[10%],Tammy Ellis[10%]
145	Stakeholder Review of IRS Remittance Requirements	10 days	Mon 8/2/10	Fri 8/13/10	144	Christina Smith[50%],Kimberly McMurray[50%],Abe Kani[50%],Diana Flagg[10%]
146	<b>Approve IRS Remittance Requirements</b>	<b>1 day</b>	<b>Mon 8/16/10</b>	<b>Mon 8/16/10</b>	<b>145</b>	
147	<b>Withholding Adjustments</b>	<b>94 days</b>	<b>Mon 4/19/10</b>	<b>Tue 9/7/10</b>		
148	Warrant Cancellation	20 days	Mon 4/19/10	Fri 5/14/10	SS+20 days	Debra Evans[10%],PAS #4244[50%],SMA II #1903[50%],Molly Merry[10%],Mike Manderfield[10%]
149	EFT Cancellation and Returns	24 days	Mon 5/17/10	Fri 6/18/10	148	Debra Evans[10%],PAS #4244[50%],SMA II #1903[50%],Molly Merry[10%],Mike Manderfield[10%]
150	Warrant Escheatment	24 days	Mon 6/21/10	Fri 7/30/10	149	Debra Evans[10%],PAS #4244[50%],SMA II #1903[50%],Molly Merry[10%],Mike Manderfield[10%]
151	Finalize Withholding Adjustment Requirements	15 days	Mon 8/2/10	Fri 8/20/10	150	Debra Evans[10%],PAS #4244[50%],SMA II #1903[50%],Molly Merry[10%],Mike Manderfield[10%]
152	Stakeholder Review of Withholding Adjustment Requirements	10 days	Mon 8/23/10	Fri 9/3/10	151	Christina Smith[50%],Kimberly McMurray[50%],Abe Kani[50%],Diana Flagg[10%]
153	<b>Approve Withholding Adjustment Requirements</b>	<b>1 day</b>	<b>Tue 9/7/10</b>	<b>Tue 9/7/10</b>	<b>152</b>	
154	<b>Reporting-related Issues</b>	<b>209 days</b>	<b>Fri 9/17/10</b>	<b>Mon 8/1/11</b>		
155	Determine updates needed for remittance advice	26 days	Fri 9/17/10	Fri 10/22/10	70FS+4 days	Debra Evans[10%],PAS #4244[50%],SMA II #1903[50%],Molly Merry[10%],Mike Manderfield[10%]
156	Determine any addition reports needed by agencies	37 days	Mon 10/25/10	Fri 12/17/10	152,155	Debra Evans[10%],PAS #4244[50%],SMA II #1903[50%],Mike Manderfield[30%],LaQuita \
157	Determine any additional reports needed by A&A	41 days	Mon 12/20/10	Fri 2/25/11	156	Debra Evans[10%],PAS #4244[50%],SMA II #1903[50%],Molly Merry[10%],Mike Manderfield[10%]
158	Determine updates needed for vendor history on the web	20 days	Mon 2/28/11	Fri 3/25/11	157	Debra Evans[10%],PAS #4244[50%],SMA II #1903[50%],Molly Merry[10%],Mike Manderfield[10%]
159	Determine updates needed for Sunshine Spending website	20 days	Mon 3/28/11	Fri 4/22/11	158	Debra Evans[10%],PAS #4244[50%],SMA II #1903[50%],Molly Merry[10%],Mike Manderfield[10%]
160	Determine reports needed for revolving funds	20 days	Fri 4/22/11	Fri 5/20/11	159	Debra Evans[10%],PAS #4244[50%],SMA II #1903[50%],Molly Merry[10%],Mike Manderfield[10%]
161	Determine reports/cds needed for historical 3% transactions	19 days	Fri 5/20/11	Fri 6/17/11	160	Debra Evans[10%],PAS #4244[50%],SMA II #1903[50%],Molly Merry[10%],Mike Manderfield[10%]
162	Finalize Reporting Requirements	15 days	Mon 6/20/11	Fri 7/15/11	161	Debra Evans[10%],PAS #4244[50%],SMA II #1903[50%],Molly Merry[10%],Mike Manderfield[10%]
163	Stakeholder Review of Reporting Requirements	10 days	Mon 7/18/11	Fri 7/29/11	162	Christina Smith[50%],Kimberly McMurray[50%],Abe Kani[50%],Diana Flagg[10%]
164	<b>Approve - Reporting Requirements</b>	<b>1 day</b>	<b>Mon 8/1/11</b>	<b>Mon 8/1/11</b>	<b>163</b>	
165	<b>Business Policy and Procedure Documentation</b>	<b>248 days</b>	<b>Mon 10/5/09</b>	<b>Fri 10/8/10</b>		
166	<b>Document Procedures</b>	<b>248 days</b>	<b>Mon 10/5/09</b>	<b>Fri 10/8/10</b>		
167	Document Statewide Vendor File Procedures	20 days	Mon 10/5/09	Fri 10/30/09		Debra Evans[50%],Mike Manderfield[30%],PAS #4244,Molly Merry[10%]
168	Document W9 Procedures	24 days	Tue 1/26/10	Fri 2/26/10	98	Debra Evans[50%],SMA II #1903,Carolyn Howard,Ronnie White,Birgit Cromartie,Emma Br
169	Document B-Notice Procedures	23 days	Tue 6/22/10	Fri 7/30/10	134	Debra Evans[50%],SMA II #1903,Carolyn Howard,Ronnie White,Birgit Cromartie,Emma Br
170	Document IRS Remittance Procedures	18 days	Tue 8/17/10	Fri 9/10/10	140	Debra Evans[50%],SMA II #1903,Carolyn Howard,Ronnie White,Mike Manderfield[30%],Mc
171	Document 1099 Procedures	24 days	Tue 4/6/10	Fri 5/7/10	124	Debra Evans[50%],SMA II #1903,Carolyn Howard,Ronnie White,Birgit Cromartie,Emma Br
172	Document Withholding Adjustment Procedures	23 days	Wed 9/8/10	Fri 10/8/10	147	Debra Evans[50%],SMA II #1903,Carolyn Howard,Ronnie White,Mike Manderfield[30%],Mc
173	<b>Document Policies</b>	<b>228 days</b>	<b>Mon 10/5/09</b>	<b>Fri 9/10/10</b>		
174	Determine need for any statutory changes - 2010 Session	39 days	Mon 10/5/09	Fri 11/27/09		Molly Merry[20%],Mike Manderfield[50%],Debra Evans[30%],Christina Smith[20%],Kimber
175	Develop Policy for revolving funds	20 days	Mon 3/8/10	Fri 4/2/10	117	Debra Evans[50%],SMA II #1903

**FY 2010-11 SCHEDULE IV-B FEASIBILITY STUDY FOR  
3% WITHHOLDING FOR VENDOR PAYMENTS**

ID	Task Name	Duration	Start	Finish	Predecessors	Resource Names
176	Decision on Implementation of 3% Object Codes	20 days	Mon 3/15/10	Fri 4/9/10	116	Molly Merry[20%],Mike Manderfield[50%],Debra Evans[30%],Christina Smith[20%],Kimber
177	Develop Contract Tracking Policies for Withholding	20 days	Mon 7/12/10	Fri 8/6/10	FS+63 days	Molly Merry[10%],Mike Manderfield[30%],Debra Evans[50%],SMA II #1903
178	Develop P-Card Policies for Withholding	24 days	Mon 8/9/10	Fri 9/10/10	177	Molly Merry[10%],Mike Manderfield[30%],Debra Evans[50%],SMA II #1903
179	Develop Policy on B-Notice/Backup Withholding	23 days	Tue 6/22/10	Fri 7/30/10	134	Molly Merry[10%],Mike Manderfield[30%],Debra Evans[50%],SMA II #1903,Ronnie White[5
180	Determine need for any statutory changes - 2011 Session	39 days	Mon 5/31/10	Fri 7/30/10	FS+121 days	Molly Merry[20%],Mike Manderfield[50%],Debra Evans[30%],Christina Smith[20%],Kimber
181	<b>Technical Design &amp; Programming - Central Accounting</b>	<b>405 days</b>	<b>Mon 1/11/10</b>	<b>Tue 9/6/11</b>		
182	<b>W9 File Modifications</b>	<b>86 days</b>	<b>Mon 1/11/10</b>	<b>Mon 5/10/10</b>		
183	Interface - W9 File , including business indication - Design	30 days	Mon 1/11/10	Fri 2/19/10	104	Dennis Worrell[40%],Phyllis Pearce[5%],Nancy Bechard[5%],Nancy Hammerstrom[10%]
184	Interface - W9 File - Program	30 days	Mon 2/22/10	Fri 4/2/10	183	Nancy Hammerstrom[40%],Grace Ma[40%]
185	Interface - W9 File- Unit Test	10 days	Mon 4/5/10	Fri 4/16/10	184	Nancy Hammerstrom[40%],Grace Ma[40%],Jim Hudson[40%]
186	Access Control - W9 file - Design	20 days	Mon 1/11/10	Fri 2/5/10	183SS	Jim Smith[40%],Phyllis Pearce[5%],Nancy Hammerstrom[10%],Nancy Bechard[5%]
187	Access Control - W9 file - Program	20 days	Mon 2/8/10	Fri 3/5/10	186	Nancy Hammerstrom[40%],Grace Ma[40%]
188	Access Control - W9 file - Unit Test	5 days	Mon 3/8/10	Fri 3/12/10	187	Nancy Hammerstrom[40%],Grace Ma[40%],Jill Arrazattee[40%]
189	File Maint - W9 file - Design	20 days	Mon 1/11/10	Fri 2/5/10	183SS	Paul Brazier[40%],Phyllis Pearce[5%],Nancy Bechard[5%],David Westaway[10%]
190	File Maint - W9 file - Program	25 days	Mon 2/8/10	Fri 3/12/10	189	David Westaway[40%],Susan Farmer[40%]
191	File Maint - W9 file - Unit Test	5 days	Mon 3/15/10	Fri 3/19/10	190	Roche Akkarappuram[40%],David Westaway[40%],Susan Farmer[40%]
192	Reporting - W9 file - Design	25 days	Mon 2/8/10	Fri 3/12/10	189	Jim Smith[40%],Phyllis Pearce[5%],Nancy Bechard[5%],Jerry Smith[10%]
193	Reporting - W9 file - Program	25 days	Mon 3/15/10	Fri 4/16/10	192	Jerry Smith[40%],Mary Reynolds[40%]
194	Reporting - W9 file - Unit Test	5 days	Mon 4/19/10	Fri 4/23/10	193	Roche Akkarappuram[40%],Jim Smith[40%],Mary Reynolds[40%],Jerry Smith[40%]
195	Stakeholder Review Design Documents and Testings Results	10 days	Mon 4/26/10	Fri 5/7/10	194	Christina Smith[50%],Kimberly McMurray[50%],Abe Kani[50%],Diana Flagg
196	<b>Approve W9 - 1099 Design and Testing Results</b>	<b>1 day</b>	<b>Mon 5/10/10</b>	<b>Mon 5/10/10</b>	<b>195</b>	
197	<b>1099 Modifications</b>	<b>89 days</b>	<b>Mon 3/22/10</b>	<b>Mon 8/2/10</b>		
198	Interface - 1099 File - Design	30 days	Mon 3/22/10	Fri 4/30/10	131	Paul Brazier[40%],Phyllis Pearce[5%],Nancy Bechard[5%],Nancy Hammerst
199	Interface - 1099 File - Program	24 days	Mon 5/3/10	Fri 6/4/10	198	Nancy Hammerstrom[40%],Grace Ma[40%]
200	Interface - 1099 File - Unit Test	5 days	Mon 6/7/10	Fri 6/11/10	199	Jim Hudson[40%],Nancy Hammerstrom[40%],Grace Ma[40%]
201	Process Modification - 1099 File - Design	25 days	Mon 3/22/10	Fri 4/23/10	198SS	David Westaway[10%],Jill Arrazattee[40%],Phyllis Pearce[5%],Nancy Becha
202	Process Modification - 1099 File - Program	20 days	Mon 4/26/10	Fri 5/21/10	201	David Westaway[40%],David O'Kane[40%],Susan Farmer[40%]
203	Process Modification - 1099 File - Unit Test	4 days	Mon 5/24/10	Thu 5/27/10	202	Roche Akkarappuram[40%],Susan Farmer[40%],David O'Kane[40%],Jill Arr
204	File Maint - 1099 File - Design	25 days	Mon 3/22/10	Fri 4/23/10	198SS	Jim Smith[40%],Phyllis Pearce[5%],Nancy Bechard[5%],Jerry Smith[10%]
205	File Maint - 1099 File - Program	24 days	Mon 4/26/10	Thu 5/27/10	204	Jerry Smith[40%],Mary Reynolds[40%]
206	File Maint - 1099 File - Unit Test	5 days	Mon 5/31/10	Fri 6/4/10	205	Paul Brazier[40%],Mary Reynolds[40%],Jerry Smith[40%]
207	Reporting - 1099 File - Design	24 days	Mon 4/26/10	Thu 5/27/10	204	Jim Hudson[40%],Jim Smith[40%],Phyllis Pearce[5%],Nancy Bechard[5%],D
208	Reporting - 1099 File - Program	24 days	Mon 5/31/10	Fri 7/9/10	207	David Westaway[40%],David O'Kane[40%]
209	Reporting - 1099 File - Unit Test	5 days	Mon 7/12/10	Fri 7/16/10	208	Roche Akkarappuram[40%],Paul Brazier[40%],David Westaway[40%],David
210	Stakeholder Review Design Documents and Testings Results	10 days	Mon 7/19/10	Fri 7/30/10	209	Christina Smith[50%],Kimberly McMurray[50%],Abe Kani[50%],Diana Flagg



**FY 2010-11 SCHEDULE IV-B FEASIBILITY STUDY FOR  
3% WITHHOLDING FOR VENDOR PAYMENTS**

ID	Task Name	Duration	Start	Finish	Predecessors	Resource Names
211	<b>Approve W9 - 1099 Design and Testing Results</b>	<b>1 day</b>	<b>Mon 8/2/10</b>	<b>Mon 8/2/10</b>	<b>210</b>	
212	<b>3% Withholding Payment Selection Criteria</b>	<b>53 days</b>	<b>Mon 5/3/10</b>	<b>Fri 7/23/10</b>		
213	Expand Transactions file - include fields needed for voucher proce	34 days	Mon 5/3/10	Fri 6/18/10	121	Dennis Worrell[40%],Jill Arrazattee[40%],Phyllis Pearce[5%],Nancy Bechard[5%],Nancy F
214	Expand Transactions file - Program	9 days	Mon 6/21/10	Fri 7/9/10	213	Nancy Hammerstrom[40%],Susan Farmer[40%]
215	Expand Transactions file - Unit Test	10 days	Mon 7/12/10	Fri 7/23/10	214	Jim Hudson[40%],Paul Brazier[40%],Roche Akkarapuram[40%],Nancy Hammerstrom[40
216	Access Control - addition of new functions - Design	10 days	Mon 5/3/10	Fri 5/14/10	213SS	Jim Hudson[40%],Nancy Bechard[5%],Phyllis Pearce[5%],Nancy Hammerstrom[10%]
217	Access Control - Program	9 days	Mon 5/17/10	Thu 5/27/10	216	Nancy Hammerstrom[40%],David O'Kane[40%]
218	Access Control - Unit test	5 days	Mon 5/31/10	Fri 6/4/10	217	Roche Akkarapuram[40%],Nancy Hammerstrom[20%],David O'Kane[20%]
219	Code Table - Design	10 days	Mon 5/3/10	Fri 5/14/10	213SS	Paul Brazier[40%],Nancy Bechard[5%],Phyllis Pearce[5%],Jerry Smith[10%]
220	Code Table - Program	9 days	Mon 5/17/10	Thu 5/27/10	219	Grace Ma[40%],Jerry Smith[40%]
221	Code Table - Unit Test	5 days	Mon 5/31/10	Fri 6/4/10	220	Jill Arrazattee[40%],Dennis Worrell[40%],Grace Ma[40%]
222	Coordinate Changes w/MFMP	34 days	Mon 5/3/10	Fri 6/18/10	213SS	Nancy Bechard[40%],Phyllis Pearce[10%]
223	Stakeholder Review Design Documents and Testing Results	9 days	Mon 6/21/10	Fri 7/9/10	222	Christina Smith[50%],Kimberly McMurray[50%],Abe Kani[50%],Diana Flagg[10%]
224	<b>Approve - 3% Payment Selection Design Doc and Testing Results</b>	<b>1 day</b>	<b>Mon 7/12/10</b>	<b>Mon 7/12/10</b>	<b>223</b>	
225	<b>3% Withholding Calculation</b>	<b>122 days</b>	<b>Tue 8/17/10</b>	<b>Mon 2/21/11</b>		
226	Creation of 3% withholding transactions - Design	18 days	Tue 8/17/10	Fri 9/10/10	140	Jim Hudson[40%],DIS#1 Sr IT Bus Con,Nancy Bechard[5%],David Westaway[10%],Phyllis
227	Creation of 3% withholding transactions - Program	40 days	Mon 9/13/10	Fri 11/5/10	226	David Westaway[40%],DIS#6 Sys Prj Consultant,DIS#7 Sys Prj Analyst
228	Creation of 3% withholding transactions - Unit Test	10 days	Mon 11/8/10	Fri 11/19/10	227	Jim Hudson[40%],DIS#1 Sr IT Bus Con,David Westaway[20%],DIS#6 Sys Prj Consultant,I
229	Posting of 3% withholding to special tax fund - Design	43 days	Tue 8/17/10	Fri 10/15/10	226SS	Paul Brazier[40%],DIS#3 SAMAS Analyst,Nancy Bechard[5%],Phyllis Pearce[5%],Jerry S
230	Posting of 3% withholding to special tax fund - Program	42 days	Mon 10/18/10	Fri 12/17/10	229	Jerry Smith[40%],Mary Reynolds[40%],Susan Farmer[40%]
231	Posting of 3% withholding to special tax fund - Unit Test	26 days	Mon 12/20/10	Fri 2/4/11	230	Jerry Smith[20%],Jerry Smith[20%],Mary Reynolds[40%],Susan Farmer[40%],Jill Arrazatt
232	Stakeholder Review Design Documents and Testing Results	10 days	Mon 2/7/11	Fri 2/18/11	231	Christina Smith[50%],Kimberly McMurray[50%],Abe Kani[50%],Diana Flagg[10%]
233	<b>Approve - 3% Calculation Design Docs and Testing Results</b>	<b>1 day</b>	<b>Mon 2/21/11</b>	<b>Mon 2/21/11</b>	<b>232</b>	
234	<b>Backup Withholding Calculation</b>	<b>96 days</b>	<b>Tue 8/17/10</b>	<b>Fri 1/14/11</b>		
235	Creation of Backup withholding transactions - Design	43 days	Tue 8/17/10	Fri 10/15/10	140	DIS#2 Sr SAMAS Analyst,Jim Smith[40%],Nancy Bechard[5%],Nancy Hammerstrom[10%
236	Creation of Backup withholding transactions - Program	42 days	Mon 10/18/10	Fri 12/17/10	235	Nancy Hammerstrom[40%],DIS#8 Computer Prg II,DIS#9 Computer Prg II
237	Creation of Backup withholding transactions - Unit Test	11 days	Mon 12/20/10	Fri 1/14/11	236	Paul Brazier[40%],DIS#3 SAMAS Analyst,Nancy Hammerstrom[40%],DIS#8 Computer Pr
238	Posting of Backup withholding to special tax fund - Design	43 days	Tue 8/17/10	Fri 10/15/10	235SS	Dennis Worrell[40%],Dis#4 SAMAS Analyst,Phyllis Pearce[5%],Nancy Bechard[5%],David
239	Posting of Backup withholding to special tax fund - Program	25 days	Mon 10/18/10	Fri 11/19/10	238	David Westaway[40%],Grace Ma[40%]
240	Posting of Backup withholding to special tax fund - Unit Test	12 days	Mon 11/22/10	Fri 12/10/10	239	DIS#1 Sr IT Bus Con,Jill Arrazattee[40%],David Westaway[40%],Grace Ma[40%]
241	Stakeholder Review Design Documents and Testing Results	11 days	Mon 12/13/10	Fri 1/7/11	240	Christina Smith[50%],Kimberly McMurray[50%],Abe Kani[50%],Diana Flagg[10%]
242	<b>Approve - Backup Withholding Calculation Design Docs and Testing Results</b>	<b>1 day</b>	<b>Mon 1/10/11</b>	<b>Mon 1/10/11</b>	<b>241</b>	
243	<b>3% Withholding Vendor Remittance</b>	<b>157 days</b>	<b>Tue 8/17/10</b>	<b>Mon 4/11/11</b>		

**FY 2010-11 SCHEDULE IV-B FEASIBILITY STUDY FOR  
3% WITHHOLDING FOR VENDOR PAYMENTS**

ID	Task Name	Duration	Start	Finish	Predecessors	Resource Names
244	Warrant processing - Design	48 days	Tue 8/17/10	Fri 10/22/10	140	Jim Smith[40%],DIS#1 Sr IT Bus Con,Phyllis Pearce[5%],Nancy Bechard[5%],David West
245	Warrant processing - Program	27 days	Mon 10/25/10	Fri 12/3/10	244	David Westaway[40%],Grace Ma[40%]
246	Warrant processing - Unit Test	10 days	Mon 12/6/10	Fri 12/17/10	245	Jim Hudson[40%],DIS#2 Sr SAMAS Analyst,David Westaway[40%],Grace Ma[40%]
247	Warrant print process - Design	27 days	Mon 10/25/10	Fri 12/3/10	244	Jim Smith[40%],DIS#3 SAMAS Analyst,Nancy Bechard[5%],Phyllis Pearce[5%],David We
248	Warrant print process - Program	26 days	Mon 12/6/10	Fri 1/21/11	247	David Westaway[40%],David O'Kane[40%],DIS#5 Sys Prj Consultant
249	Warrant print process - Unit Test	10 days	Mon 1/24/11	Fri 2/4/11	248	Roche Akkarappuram[40%],Dis#4 SAMAS Analyst[40%],David Westaway[40%],David O'K
250	Warrant reconciliation file changes - Design	48 days	Tue 8/17/10	Fri 10/22/10	244SS	Roche Akkarappuram[40%],DIS#3 SAMAS Analyst,Phyllis Pearce[5%],Nancy Bechard[5%
251	Warrant reconciliation file changes - Program	27 days	Mon 10/25/10	Fri 12/3/10	250	Jerry Smith[40%],Susan Farmer[40%],Mary Reynolds[40%],DIS#8 Computer Prg II
252	Warrant reconciliation file changes - Unit Test	10 days	Mon 12/6/10	Fri 12/17/10	251	Dis#4 SAMAS Analyst,Jill Arrazattee[40%],Jerry Smith[40%],Susan Farmer[40%],Mary R
253	<b>Warrant cancellations</b>	<b>101 days</b>	<b>Tue 8/17/10</b>	<b>Fri 1/21/11</b>		
254	Current Year - Design	58 days	Tue 8/17/10	Fri 11/5/10	140	Jim Hudson[40%],DIS#1 Sr IT Bus Con,Phyllis Pearce[5%],Nancy Bechard[5%],Nancy Ha
255	Current Year - Program	33 days	Mon 11/8/10	Fri 1/7/11	254	Nancy Hammerstrom[40%],DIS#7 Sys Prj Analyst,DIS#8 Computer Prg II
256	Current Year - Unit Test	10 days	Mon 1/10/11	Fri 1/21/11	255	Roche Akkarappuram[40%],DIS#2 Sr SAMAS Analyst,Nancy Hammerstrom[40%],DIS#7 S
257	Prior Year - Design	58 days	Tue 8/17/10	Fri 11/5/10	254SS	Jim Hudson[40%],Phyllis Pearce[5%],DIS#3 SAMAS Analyst,Nancy Bechard[5%],Jerry S
258	Prior Year - Program	33 days	Mon 11/8/10	Fri 1/7/11	257	Jerry Smith[40%],Susan Farmer[40%],DIS#8 Computer Prg II
259	Prior Year - Unit Test	10 days	Mon 1/10/11	Fri 1/21/11	258	Roche Akkarappuram[40%],DIS#2 Sr SAMAS Analyst,Jerry Smith[4%],Susan Farmer[40%
260	EFT processing - returns & reversals - Design	53 days	Mon 11/8/10	Fri 2/4/11	254	Dennis Worrell[40%],DIS#1 Sr IT Bus Con,Phyllis Pearce[5%],Nancy Bechard[5%],David \
261	EFT processing - returns & reversals - Program	25 days	Mon 2/7/11	Fri 3/11/11	260	David Westaway[40%],Grace Ma[40%]
262	EFT processing - returns & reversals - Unit Test	10 days	Mon 3/14/11	Fri 3/25/11	261	Paul Brazier[40%],Dis#4 SAMAS Analyst,David Westaway[40%],Grace Ma[40%]
263	Stakeholder Review Design Documents and Testing Results	10 days	Mon 3/28/11	Fri 4/8/11	262	Christina Smith[50%],Kimberly McMurray[50%],Abe Kani[50%],Diana Flagg[10%]
264	<b>Approve - 3% Vendor Remittance Design Doc and Testing Results</b>	<b>1 day</b>	<b>Mon 4/11/11</b>	<b>Mon 4/11/11</b>	<b>263</b>	
265	<b>Withholding Remittance to IRS</b>	<b>110 days</b>	<b>Mon 3/28/11</b>	<b>Tue 9/6/11</b>		
266	ACH Weekly Transmittal - Design	44 days	Mon 3/28/11	Thu 5/26/11	140,262	Dennis Worrell[40%],DIS#1 Sr IT Bus Con,Phyllis Pearce[5%],Nancy Bechard[5%],David \
267	ACH Weekly Transmittal - Program	45 days	Mon 5/30/11	Fri 8/5/11	266	David Westaway[40%],Mary Reynolds[40%],DIS#5 Sys Prj Consultant
268	ACH Weekly Transmittal - Unit Test	10 days	Mon 8/8/11	Fri 8/19/11	267	David Westaway[40%],Mary Reynolds[40%],DIS#5 Sys Prj Consultant
269	Stakeholder Review Design Documents and Testing Results	10 days	Mon 8/22/11	Fri 9/2/11	268	Christina Smith[50%],Kimberly McMurray[50%],Abe Kani[50%],Diana Flagg[10%]
270	<b>Approve - Withholding Remittance to IRS Design Docs and Testing Results</b>	<b>1 day</b>	<b>Tue 9/6/11</b>	<b>Tue 9/6/11</b>	<b>269</b>	
271	<b>A&amp;A Support to DIS during Design &amp; Coding - Central Reporting</b>	<b>405 days</b>	<b>Mon 1/11/10</b>	<b>Tue 9/6/11</b>	182SS	Mike Manderfield[10%],Debra Evans[10%],PAS #4244[10%],PAS #1905[10%],SMA II #190
272	<b>Technical Design &amp; Programming - Central Reporting</b>	<b>456 days</b>	<b>Mon 7/26/10</b>	<b>Tue 5/29/12</b>		
273	<b>FLAIR Vendor History File</b>	<b>73 days</b>	<b>Wed 4/13/11</b>	<b>Mon 8/1/11</b>		
274	FLAIR Vendor History File Modification - Design	37 days	Wed 4/13/11	Fri 6/3/11	243FS+1 day	Paul Brazier[40%],DIS#1 Sr IT Bus Con,Phyllis Pearce[5%],Nancy Bechard[5%],Nancy H
275	FLAIR Vendor History File Modification - Program	20 days	Mon 6/6/11	Fri 7/8/11	274	Nancy Hammerstrom[40%],Mary Reynolds[40%],DIS#8 Computer Prg II
276	FLAIR Vendor History File Modification - Unit Test	5 days	Mon 7/11/11	Fri 7/15/11	275	Roche Akkarappuram[40%],DIS#2 Sr SAMAS Analyst,Nancy Hammerstrom[40%],Mary R

**FY 2010-11 SCHEDULE IV-B FEASIBILITY STUDY FOR  
3% WITHHOLDING FOR VENDOR PAYMENTS**

ID	Task Name	Duration	Start	Finish	Predecessor:	Resource Names
277	Stakeholder Review Design Documents and Testing Results	10 days	Mon 7/18/11	Fri 7/29/11	276	Christina Smith[50%],Kimberly McMurray[50%],Abe Kani[50%],Diana Flagg[10%]
278	<b>Approve - Vendor History File Docs and Testing Results</b>	<b>1 day</b>	<b>Mon 8/1/11</b>	<b>Mon 8/1/11</b>	<b>277</b>	
279	<b>Vendor History Website</b>	<b>75 days</b>	<b>Wed 4/13/11</b>	<b>Wed 8/3/11</b>		
280	Vendor Payments on Vendor History Website - Design	39 days	Wed 4/13/11	Tue 6/7/11	243FS+1 day	Jim Hudson[40%],DIS#1 Sr IT Bus Con,Phyllis Pearce[5%],Nancy Bechard[5%],Jerry Smi
281	Vendor Payments on Vendor History Website - Program	20 days	Wed 6/8/11	Tue 7/12/11	280	Jerry Smith[40%],David O'Kane[40%],Grace Ma[40%]
282	Vendor Payments on Vendor History Website - Unit Test	5 days	Wed 7/13/11	Tue 7/19/11	281	DIS#3 SAMAS Analyst,Jill Arrazattee[40%],David O'Kane[40%],Grace Ma[40%],Jerry Smi
283	Stakeholder Review Design Doc and Testing Results	10 days	Wed 7/20/11	Tue 8/2/11	282	Christina Smith[50%],Kimberly McMurray[50%],Abe Kani[50%],Diana Flagg[10%]
284	<b>Approve - Vendor History Website Doc and Testing Results</b>	<b>1 day</b>	<b>Wed 8/3/11</b>	<b>Wed 8/3/11</b>	<b>283</b>	
285	<b>Sunshine Spending Website</b>	<b>68 days</b>	<b>Wed 4/13/11</b>	<b>Mon 7/25/11</b>		
286	Vendor Payments on Sunshine Spending Website - Design	23 days	Wed 4/13/11	Fri 5/13/11	243FS+1 day	Dennis Worrell[40%],DIS#1 Sr IT Bus Con,Phyllis Pearce[5%],Nancy Bechard[5%],Jerry S
287	Vendor Payments on Sunshine Spending Website - Program	19 days	Mon 5/16/11	Fri 6/10/11	286	Jerry Smith[40%],David O'Kane[40%],Grace Ma[40%]
288	Vendor Payments on Sunshine Spending Website - Unit Test	15 days	Mon 6/13/11	Fri 7/8/11	287	Roche Akkarapuram[40%],Dis#4 SAMAS Analyst,Jerry Smith[40%],David O'Kane[40%],(
289	Stakeholder Review Design Doc and Testing Results	10 days	Mon 7/11/11	Fri 7/22/11	288	Christina Smith[50%],Kimberly McMurray[50%],Abe Kani[50%],Diana Flagg[10%]
290	<b>Approve - Sunshine Spending Website Doc and Testing Res</b>	<b>1 day</b>	<b>Mon 7/25/11</b>	<b>Mon 7/25/11</b>	<b>289</b>	
291	<b>Revolving Fund Reports</b>	<b>88 days</b>	<b>Wed 4/13/11</b>	<b>Mon 8/22/11</b>		
292	Reporting for revolving funds - Design	42 days	Wed 4/13/11	Fri 6/10/11	243FS+1 day	Jim Smith[40%],DIS#2 Sr SAMAS Analyst,Phyllis Pearce[5%],Nancy Bechard[5%],Nancy
293	Reporting for revolving funds - Program	25 days	Mon 6/13/11	Fri 7/22/11	292	Nancy Hammerstrom[40%],Susan Farmer[40%],DIS#9 Computer Prg II
294	Reporting for revolving funds - Unit Test	10 days	Mon 7/25/11	Fri 8/5/11	293	Paul Brazier[40%],Dis#4 SAMAS Analyst,Nancy Hammerstrom[40%],Susan Farmer[40%]
295	Stakeholder Review Design Doc and Testing Results	10 days	Mon 8/8/11	Fri 8/19/11	294	Christina Smith[50%],Kimberly McMurray[50%],Abe Kani[50%],Diana Flagg[10%]
296	<b>Approve - Revolving Fund Reports</b>	<b>1 day</b>	<b>Mon 8/22/11</b>	<b>Mon 8/22/11</b>	<b>295</b>	
297	<b>Agency File copies</b>	<b>85 days</b>	<b>Mon 7/26/10</b>	<b>Mon 11/22/10</b>		
298	Agency file copies - Design	49 days	Mon 7/26/10	Fri 10/1/10	215	Dennis Worrell[40%],DIS#3 SAMAS Analyst,Phyllis Pearce[5%],Nancy Bechard[5%],DIS#
299	Agency file copies - Program	20 days	Mon 10/4/10	Fri 10/29/10	298	Grace Ma[40%],Mary Reynolds[40%],DIS#7 Sys Prj Analyst
300	Agency file copies - Unit Test	5 days	Mon 11/1/10	Fri 11/5/10	299	Jim Hudson[40%],DIS#2 Sr SAMAS Analyst,Grace Ma[40%],Mary Reynolds[40%],DIS#7
301	Stakeholder Review Design Doc and Testing Results	10 days	Mon 11/8/10	Fri 11/19/10	300	Christina Smith[50%],Kimberly McMurray[50%],Abe Kani[50%],Diana Flagg[10%]
302	<b>Approve Agency File Copies Design Doc and Testing Resu</b>	<b>1 day</b>	<b>Mon 11/22/10</b>	<b>Mon 11/22/10</b>	<b>301</b>	
303	<b>New Reports</b>	<b>87 days</b>	<b>Mon 12/20/10</b>	<b>Mon 5/2/11</b>		
304	New Internal Reports - Design	21 days	Mon 2/28/11	Mon 3/28/11	157	DIS#1 Sr IT Bus Con,Jill Arrazattee[40%],Phyllis Pearce[5%],Nancy Bechard[5%],Jerry Sr
305	New Internal Reports - Program	20 days	Tue 3/29/11	Mon 4/25/11	304	Jerry Smith[40%],Susan Farmer[40%],DIS#6 Sys Prj Consultant
306	New Internal Reports - Unit Test	5 days	Tue 4/26/11	Mon 5/2/11	305	Paul Brazier[40%],Dis#4 SAMAS Analyst,Jerry Smith[40%],Susan Farmer[40%],DIS#6 S
307	New External Reports - Design	22 days	Mon 12/20/10	Mon 1/31/11	156	Jim Smith[40%],DIS#3 SAMAS Analyst,Phyllis Pearce[5%],Nancy Bechard[5%],David We
308	New External Reports - Program	20 days	Tue 2/1/11	Mon 2/28/11	307	David Westaway[40%],DIS#1 Sr IT Bus Con,Roche Akkarapuram[40%]
309	New External Reports - Unit Test	5 days	Tue 3/1/11	Mon 3/7/11	308	DIS#1 Sr IT Bus Con,David Westaway[40%],Mary Reynolds[40%],DIS#8 Computer Prg II
310	Stakeholder Review Design Doc and Testing Results	10 days	Tue 3/8/11	Mon 3/21/11	309	Christina Smith[50%],Kimberly McMurray[50%],Abe Kani[50%],Diana Flagg[10%]
311	<b>Approve - New Reports Design Doc and Testing Results</b>	<b>1 day</b>	<b>Tue 3/22/11</b>	<b>Tue 3/22/11</b>	<b>310</b>	

**FY 2010-11 SCHEDULE IV-B FEASIBILITY STUDY FOR  
3% WITHHOLDING FOR VENDOR PAYMENTS**

ID	Task Name	Duration	Start	Finish	Predecessors	Resource Names
312	<b>A&amp;A Support to DIS during Design &amp; Coding - Central Reportin</b>	<b>456 days</b>	<b>Mon 7/26/10</b>	<b>Tue 5/29/12</b>	297SS	Mike Manderfield[10%],Debra Evans[10%],PAS #4244[10%],PAS #1905[1
313	<b>Technical Design &amp; Programming - Departmental Accounting</b>	<b>320 days</b>	<b>Mon 4/12/10</b>	<b>Mon 8/8/11</b>		
314	<b>Contract System Modification</b>	<b>165 days</b>	<b>Mon 4/12/10</b>	<b>Mon 12/13/10</b>		
315	Departmental Batch Processing Contract System - Design	49 days	Mon 4/12/10	Fri 6/18/10	120	Janet Barber[40%],Jim Baggett[10%],Frank Noltee[5%],Tricia Nettles[5%],Po-Ju Lin[10%]
316	Departmental Batch Processing Contract System - Program	19 days	Mon 6/21/10	Fri 7/23/10	315	Frank Noltee[10%],Po-Ju Lin[40%],Tricia Nettles[10%]
317	Departmental Batch Processing Contract System - Unit Test	5 days	Mon 7/26/10	Fri 7/30/10	316	Joy James[40%],DIS#5 Govt' Analyst, Frank Noltee[5%],Po-Ju Lin[20%],Tricia Nettles[5%]
318	Agency Contract File Copies - Design	9 days	Mon 6/21/10	Fri 7/9/10	315	James Harrison[40%],Jim Baggett[10%],Frank Noltee[5%],Po-Ju Lin[20%]
319	Agency Contract File Copies - Program	10 days	Mon 7/12/10	Fri 7/23/10	318	Frank Noltee[40%],Po-Ju Lin[40%],Tricia Nettles[10%],Ben Williams[40%]
320	Agency Contract File Copies - Unit Test	5 days	Mon 7/26/10	Fri 7/30/10	319	Joy James[40%],DIS#5 Govt' Analyst
321	Batch Contract add/update - Design	9 days	Mon 6/21/10	Fri 7/9/10	315	Janet Barber[40%],Jim Baggett[10%],Frank Noltee[5%],Tricia Nettles[5%],Dove Ernst[10%]
322	Batch Contract add/update - Program	20 days	Mon 7/12/10	Fri 8/6/10	321	Tricia Nettles[10%],DIS#10 System Prj Analyst, Frank Noltee[10%]
323	Batch Contract add/update - Unit Test	5 days	Mon 8/9/10	Fri 8/13/10	322	James Harrison[40%],DIS#5 Govt' Analyst, Dove Ernst[20%]
324	Database file changes - contract information - Design	5 days	Mon 8/2/10	Fri 8/6/10	320	Joy James[40%],Jim Baggett[10%],Frank Noltee[5%],Dove Ernst[10%],Tricia Nettles[5%]
325	Database file changes - contract information - Program	5 days	Mon 8/9/10	Fri 8/13/10	324	Frank Noltee[10%],Tricia Nettles[10%],Dove Ernst[40%]
326	Database file changes - contract information - Unit Test	5 days	Mon 8/16/10	Fri 8/20/10	325	Janet Barber[40%],DIS#5 Govt' Analyst
327	Agency Reports from Contract System - Design	20 days	Mon 8/9/10	Fri 9/3/10	324	Joy James[40%],Janet Barber[40%],Frank Noltee[5%],Tricia Nettles[5%],Dove Ernst[10%]
328	Agency Reports from Contract System - Program	19 days	Tue 9/7/10	Fri 10/1/10	327	Dove Ernst[40%],Tricia Nettles[10%],Frank Noltee[10%],Amanda Brown[40%]
329	Agency Reports from Contract System - Unit Test	5 days	Mon 10/4/10	Fri 10/8/10	328	James Harrison[40%],DIS#5 Govt' Analyst
330	Internal (A&A, DIS) Reports - Design	19 days	Tue 9/7/10	Fri 10/1/10	327	Joy James[40%],Jim Baggett[10%],Frank Noltee[5%],Tricia Nettles[5%],DIS#10 System F
331	Internal (A&A, DIS) Reports - Program	20 days	Mon 10/4/10	Fri 10/29/10	330	Tricia Nettles[10%],DIS#10 System Prj Analyst, Frank Noltee[10%]
332	Internal (A&A, DIS) Reports - Unit Test	5 days	Mon 11/1/10	Fri 11/5/10	331	Janet Barber[40%],DIS#5 Govt' Analyst, DIS#10 System Prj Analyst[50%], Frank Noltee[10
333	On-line screen changes - new requirements, edits, fields - Design	19 days	Tue 9/7/10	Fri 10/1/10	327	DIS#5 Govt' Analyst, Jim Baggett[40%], Frank Noltee[5%], Tricia Nettles[5%]
334	On-line screen changes - new requirements, edits, fields - Progran	30 days	Mon 10/4/10	Fri 11/12/10	333	Frank Noltee[10%],Tricia Nettles[10%],Po-Ju Lin[40%]
335	On-line screen changes - new requirements, edits, fields - Unit Tes	5 days	Mon 11/15/10	Fri 11/19/10	334	Janet Barber[40%],Po-Ju Lin[20%],Frank Noltee[10%]
336	Contract Database File Maintenance - Design	10 days	Mon 8/9/10	Fri 8/20/10	324	James Harrison[40%],Jim Baggett[10%],Frank Noltee[5%],Tricia Nettles[5%]
337	Contract Database File Maintenance - Program	10 days	Mon 8/23/10	Fri 9/3/10	336	Amanda Brown[40%],Frank Noltee[10%],Sharon Hill[40%]
338	Contract Database File Maintenance - Unit Test	4 days	Tue 9/7/10	Fri 9/10/10	337	Janet Barber[40%],DIS#5 Govt' Analyst, Frank Noltee[5%], Amanda Brown[10%], Sharon Hil
339	Review Contract Sys Mod Design Doc and Testing Results	12 days	Mon 11/22/10	Fri 12/10/10	335	Christina Smith[50%],Kimberly McMurray[50%],Abe Kani[50%],Diana Flagg[10%]
340	<b>Approve - Contract Sys Modification Design Doc and Testin</b>	<b>1 day</b>	<b>Mon 12/13/10</b>	<b>Mon 12/13/10</b>	<b>339</b>	
341	<b>Placeholder - Implement Contract Tracking Requirements</b>	<b>62 days</b>	<b>Tue 12/14/10</b>	<b>Tue 3/22/11</b>	340	
342	<b>P-Card Module Modifications</b>	<b>28 days</b>	<b>Tue 12/14/10</b>	<b>Wed 2/2/11</b>		
343	P-card limits changes - Design	6 days	Tue 12/14/10	Tue 12/21/10	314	Janet Barber[40%],Jim Baggett[10%],Frank Noltee[5%],Tricia Nettles[5%]
344	P-card limits changes - Program	6 days	Tue 1/4/11	Tue 1/11/11	343	Frank Noltee[10%],Sharon Hill[40%],Tricia Nettles[10%]
345	P-card limits changes - Unit Test	5 days	Wed 1/12/11	Tue 1/18/11	344	James Harrison[40%],DIS#5 Govt' Analyst, Sharon Hill[20%]
346	Stakeholder Review Design Docs and Testing Results	10 days	Wed 1/19/11	Tue 2/1/11	345	Christina Smith[50%],Kimberly McMurray[50%],Abe Kani[50%],Diana Flagg[10%]

**FY 2010-11 SCHEDULE IV-B FEASIBILITY STUDY FOR  
3% WITHHOLDING FOR VENDOR PAYMENTS**

ID	Task Name	Duration	Start	Finish	Predecessors	Resource Names
347	<b>Approve - P-Card Module Modification Design Docs and Testing Results</b>	<b>1 day</b>	<b>Wed 2/2/11</b>	<b>Wed 2/2/11</b>	<b>346</b>	
348	<b>FLAIR Vendor File Modifications</b>	<b>79 days</b>	<b>Tue 8/3/10</b>	<b>Mon 11/22/10</b>		
349	Vendor file modifications - Design	19 days	Tue 8/3/10	Fri 8/27/10	197	James Harrison[40%],Jim Baggett[10%],DIS#5 Govt' Analyst, Frank Noltee[5%],Tricia Nettl
350	Vendor file modifications - Program	19 days	Mon 8/30/10	Fri 9/24/10	349	Dove Ernst[40%],Frank Noltee[10%],Tricia Nettles[10%]
351	Vendor file modifications - Unit Test	5 days	Mon 9/27/10	Fri 10/1/10	350	Joy James[40%],Dove Ernst[20%],Frank Noltee[5%],DIS#5 Govt' Analyst
352	Vendor Database File Maintenance - Design	10 days	Mon 10/4/10	Fri 10/15/10	351	Janet Barber[40%],Jim Baggett[10%],Frank Noltee[5%],Tricia Nettles[5%]
353	Vendor Database File Maintenance - Program	10 days	Mon 10/18/10	Fri 10/29/10	352	Frank Noltee[10%],Tricia Nettles[10%],Rashmi Jawale[40%]
354	Vendor Database File Maintenance - Unit Test	5 days	Mon 11/1/10	Fri 11/5/10	353	James Harrison[40%],DIS#5 Govt' Analyst, Frank Noltee[5%],Rashmi Jawale[20%]
355	Stakeholder Review Design Docs and Testing Results	10 days	Mon 11/8/10	Fri 11/19/10	354	Christina Smith[50%],Kimberly McMurray[50%],Abe Kani[50%],Diana Flagg[10%]
356	<b>Approve - FLAIR Vendor File Mod Design Doc and Testing F</b>	<b>1 day</b>	<b>Mon 11/22/10</b>	<b>Mon 11/22/10</b>	<b>355</b>	
357	<b>Nightly Voucher Processing Modifications</b>	<b>176 days</b>	<b>Mon 5/3/10</b>	<b>Mon 1/31/11</b>		
358	Nightly voucher files passed to CAS - Design	20 days	Mon 5/3/10	Mon 5/31/10	213SS	James Harrison[40%],Jim Baggett[10%],Frank Noltee[5%],Tricia Nettles[5%]
359	Nightly voucher files passed to CAS - Program	9 days	Tue 6/1/10	Fri 6/11/10	358	Frank Noltee[10%],Po-Ju Lin[40%]
360	Nightly voucher files passed to CAS - Unit Test	5 days	Mon 6/14/10	Fri 6/18/10	359	Joy James[40%],Janet Barber[40%],Frank Noltee[5%],Po-Ju Lin[20%]
361	Changes for auditing - sampled, autopay, etc? - Design	23 days	Tue 6/1/10	Fri 7/9/10	358	James Harrison[40%],Jim Baggett[10%],Frank Noltee[5%],Tricia Nettles[5%]
362	Changes for auditing - sampled, autopay, etc? - Program	20 days	Mon 7/12/10	Fri 8/6/10	361	Frank Noltee[10%],Tricia Nettles[10%],Po-Ju Lin[40%]
363	Changes for auditing - sampled, autopay, etc? - Unit Test	10 days	Mon 8/9/10	Fri 8/20/10	362	Joy James[40%],Janet Barber[40%],Po-Ju Lin[20%]
364	Agency Reports on Payments - Design	19 days	Mon 8/23/10	Fri 9/17/10	363	Joy James[40%],Jim Baggett[10%],Frank Noltee[5%],Tricia Nettles[5%]
365	Agency Reports on Payments - Program	20 days	Mon 9/20/10	Fri 10/15/10	364	Frank Noltee[10%],Sharon Hill[40%],Tricia Nettles[10%],Rashmi Jawale[40%]
366	Agency Reports on Payments - Unit Test	5 days	Mon 10/18/10	Fri 10/22/10	365	Janet Barber[40%],Sharon Hill[20%],Rashmi Jawale[20%],Frank Noltee[5%]
367	Vouchering Reports - Design	20 days	Mon 10/25/10	Fri 11/19/10	366	James Harrison[40%],Jim Baggett[10%],Frank Noltee[5%],Tricia Nettles[5%]
368	Vouchering Reports - Program	23 days	Mon 11/22/10	Fri 1/7/11	367	Amanda Brown[40%],Dove Ernst[40%],Frank Noltee[10%]
369	Vouchering Reports - Unit Test	5 days	Mon 1/10/11	Fri 1/14/11	368	Janet Barber[40%],DIS#5 Govt' Analyst,Amanda Brown[20%],Dove Ernst[20%]
370	Stakeholder Review Design Docs and Testing Results	10 days	Mon 1/17/11	Fri 1/28/11	369	Christina Smith[50%],Kimberly McMurray[50%],Abe Kani[50%],Diana Flagg[10%]
371	<b>Approve - Nightly Voucher Process Mod Design Docs and Testing Results</b>	<b>1 day</b>	<b>Mon 1/31/11</b>	<b>Mon 1/31/11</b>	<b>370</b>	
372	<b>Departmental Disbursement Process</b>	<b>58 days</b>	<b>Wed 8/4/10</b>	<b>Mon 10/25/10</b>		
373	Modify on-line - to notify users subject to 3% - Design	23 days	Wed 8/4/10	Fri 9/3/10	IFS+60 days	Janet Barber[40%],Jim Baggett[10%],Frank Noltee[5%],Tricia Nettles[5%]
374	Modify on-line - to notify users subject to 3% - Program	19 days	Tue 9/7/10	Fri 10/1/10	373	Frank Noltee[10%],Tricia Nettles[10%],Po-Ju Lin[40%]
375	Modify on-line - to notify users subject to 3% - Unit Test	5 days	Mon 10/4/10	Fri 10/8/10	374	Joy James[40%],DIS#5 Govt' Analyst, Frank Noltee[5%],Po-Ju Lin[20%]
376	Stakeholder Review Design Docs and Testing Results	10 days	Mon 10/11/10	Fri 10/22/10	375	Christina Smith[50%],Kimberly McMurray[50%],Abe Kani[50%],Diana Flagg[10%]
377	<b>Approve - Dept Disbursement Process Design Docs and Testing Results</b>	<b>1 day</b>	<b>Mon 10/25/10</b>	<b>Mon 10/25/10</b>	<b>376</b>	
378	<b>Title File Modifications</b>	<b>129 days</b>	<b>Tue 2/1/11</b>	<b>Mon 8/8/11</b>		



**FY 2010-11 SCHEDULE IV-B FEASIBILITY STUDY FOR  
3% WITHHOLDING FOR VENDOR PAYMENTS**

ID	Task Name	Duration	Start	Finish	Predecessors	Resource Names
378	<b>Title File Modifications</b>	<b>129 days</b>	<b>Tue 2/1/11</b>	<b>Mon 8/8/11</b>		
379	Title file database changes - Design	9 days	Tue 2/1/11	Fri 2/11/11	121,357	Joy James[40%],Janet Barber[40%],Frank Noltee[5%],Tricia Nettles[5%],DIS#10 System F
380	Title file database changes - Program	10 days	Mon 2/14/11	Fri 2/25/11	379	Frank Noltee[10%],Po-Ju Lin[40%],DIS#10 System Prj Analyst
381	Title file database changes - Unit Test	5 days	Mon 2/28/11	Fri 3/4/11	380	Joy James[40%],Janet Barber[40%],Po-Ju Lin[40%],DIS#10 System Prj Analyst
382	Online - Title File Changes - Design	10 days	Mon 3/7/11	Fri 3/18/11	381	Joy James[40%],Jim Baggett[10%],Frank Noltee[5%],Tricia Nettles[5%],DIS#10 System F
383	Online - Title File Changes - Program	10 days	Mon 3/21/11	Fri 4/1/11	382	Frank Noltee[10%],Tricia Nettles[10%],Po-Ju Lin[40%],DIS#10 System Prj Analyst
384	Online - Title File Changes - Unit Test	5 days	Mon 4/4/11	Fri 4/8/11	383	James Harrison[40%],Po-Ju Lin[40%],DIS#10 System Prj Analyst
385	Batch - Title File Changes - Design	10 days	Mon 4/11/11	Fri 4/22/11	384	James Harrison[40%],Jim Baggett[10%],Frank Noltee[5%],Tricia Nettles[5%],Po-Ju Lin[10'
386	Batch - Title File Changes - Program	10 days	Mon 4/25/11	Fri 5/6/11	385	Frank Noltee[10%],Tricia Nettles[10%],Rashmi Jawale[40%],Po-Ju Lin[40%]
387	Batch - Title File Changes - Unit Test	5 days	Mon 5/9/11	Fri 5/13/11	386	Janet Barber[40%],DIS#5 Govt' Analyst,Po-Ju Lin[40%],Rashmi Jawale[40%]
388	Title File Database Maintenance - Design	9 days	Mon 5/16/11	Thu 5/26/11	387	Joy James[40%],Jim Baggett[10%],Frank Noltee[5%],Tricia Nettles[5%]
389	Title File Database Maintenance - Program	10 days	Mon 5/30/11	Fri 6/10/11	388	Frank Noltee[10%],Sharon Hill[40%],Tricia Nettles[10%]
390	Title File Database Maintenance - Unit Test	5 days	Mon 6/13/11	Fri 6/17/11	389	James Harrison[40%],Sharon Hill[40%],Frank Noltee[5%]
391	Agency File Copies - Design	10 days	Mon 6/20/11	Fri 7/8/11	390	Joy James[40%],Jim Baggett[10%],Frank Noltee[5%],Tricia Nettles[5%]
392	Agency File Copies -Program	5 days	Mon 7/11/11	Fri 7/15/11	391	Frank Noltee[10%],Tricia Nettles[10%],Ben Williams[40%],Rashmi Jawale[40%]
393	Agency File Copies - Unit Test	5 days	Mon 7/18/11	Fri 7/22/11	392	James Harrison[40%],DIS#5 Govt' Analyst,Rashmi Jawale[40%],Ben Williams[40%],Frank
394	Stakeholder Review Design Docs and Testing Results	10 days	Mon 7/25/11	Fri 8/5/11	393	Christina Smith[50%],Kimberly McMurray[50%],Abe Kani[50%],Diana Flagg[10%]
395	<b>Approve - Title File Mod Design Docs and Testing Results</b>	<b>1 day</b>	<b>Mon 8/8/11</b>	<b>Mon 8/8/11</b>	<b>394</b>	
396	<b>MFMP Interface Modifications</b>	<b>84 days</b>	<b>Tue 3/29/11</b>	<b>Mon 8/1/11</b>		
397	Impacts to MFMP interfaces - Design	24 days	Tue 3/29/11	Fri 4/29/11	3SS+40 days	Janet Barber[40%],Jim Baggett[10%],Frank Noltee[5%],Tricia Nettles[5%],Po-Ju Lin[10%]
398	Impacts to MFMP interfaces - Program	19 days	Mon 5/2/11	Thu 5/26/11	397	Frank Noltee[10%],Tricia Nettles[10%],Po-Ju Lin[40%],Amanda Brown[40%]
399	Impacts to MFMP interfaces - Unit Test	5 days	Mon 5/30/11	Fri 6/3/11	398	Joy James[40%],DIS#5 Govt' Analyst,Po-Ju Lin[40%],Amanda Brown[40%]
400	Modify on-line - to notify users subject to 3% - Design	10 days	Mon 6/6/11	Fri 6/17/11	399	Joy James[40%],Jim Baggett[10%],Frank Noltee[5%],Tricia Nettles[5%],Po-Ju Lin[10%]
401	Modify on-line - to notify users subject to 3% - Program	10 days	Mon 6/20/11	Fri 7/8/11	400	Frank Noltee[10%],Po-Ju Lin[40%],DIS#10 System Prj Analyst,Rashmi Jawale[40%]
402	Modify on-line - to notify users subject to 3% - Unit Test	5 days	Mon 7/11/11	Fri 7/15/11	401	James Harrison[40%],DIS#5 Govt' Analyst,DIS#10 System Prj Analyst,Rashmi Jawale[40%
403	Stakeholder Review Design Docs and Testing Results	10 days	Mon 7/18/11	Fri 7/29/11	402	Christina Smith[50%],Kimberly McMurray[50%],Abe Kani[50%],Diana Flagg[10%]
404	<b>Approve - MFMP Interface Mod Design Doc and Testing Results</b>	<b>1 day</b>	<b>Mon 8/1/11</b>	<b>Mon 8/1/11</b>	<b>403</b>	
405	<b>A&amp;A Support to DIS during Design &amp; Coding - Departmental</b>	<b>320 days</b>	<b>Mon 4/12/10</b>	<b>Mon 8/8/11</b>	<b>314SS</b>	<b>Mike Manderfield[10%],Debra Evans[10%],PAS #4244[10%],PAS #19C</b>
406	<b>Technical Design &amp; Programming - Information Warehouse</b>	<b>217 days</b>	<b>Mon 7/12/10</b>	<b>Mon 5/30/11</b>		
407	<b>ALLPYMT - Central Transactions</b>	<b>60 days</b>	<b>Mon 7/12/10</b>	<b>Mon 10/4/10</b>		
408	ALLPYMT - Central transactions - Design	20 days	Mon 7/12/10	Fri 8/6/10	214	LaQuita Varnado-Extine
409	ALLPYMT - Central transactions - Program	24 days	Mon 8/9/10	Fri 9/10/10	408	Jeffrey Garber[40%],LaQuita Varnado-Extine[5%]
410	ALLPYMT - Central transactions - Unit Test	5 days	Mon 9/13/10	Fri 9/17/10	409	LaQuita Varnado-Extine[10%],Wen Li Lee[5%]
411	Stakeholder Review Design Docs and Testing Results	10 days	Mon 9/20/10	Fri 10/1/10	410	Christina Smith[50%],Kimberly McMurray[50%],Abe Kani[50%],Diana Flagg[10%]

**FY 2010-11 SCHEDULE IV-B FEASIBILITY STUDY FOR  
3% WITHHOLDING FOR VENDOR PAYMENTS**

ID	Task Name	Duration	Start	Finish	Predecessors	Resource Names
412	<b>Approve - ALLPYMT Design Doc and Testing Results</b>	<b>1 day</b>	<b>Mon 10/4/10</b>	<b>Mon 10/4/10</b>	<b>411</b>	
413	<b>ALLTRN - Vendor Payments</b>	<b>60 days</b>	<b>Mon 7/12/10</b>	<b>Mon 10/4/10</b>		
414	ALLTRN - Vendor payments - Design	20 days	Mon 7/12/10	Fri 8/6/10	214	LaQuita Varnado-Extine
415	ALLTRN - Vendor payments - Program	24 days	Mon 8/9/10	Fri 9/10/10	414	Soawanne Greer[40%],LaQuita Varnado-Extine[5%]
416	ALLTRN - Vendor payments - Unit Test	5 days	Mon 9/13/10	Fri 9/17/10	415	LaQuita Varnado-Extine[5%],Jeffrey Garber[40%]
417	Stakeholder Review Design Docs and Testing Results	10 days	Mon 9/20/10	Fri 10/1/10	416	Christina Smith[50%],Kimberly McMurray[50%],Abe Kani[50%],Diana Flagg[10%]
418	<b>Approve - ALLTRN Design Doc and Testing Results</b>	<b>1 day</b>	<b>Mon 10/4/10</b>	<b>Mon 10/4/10</b>	<b>417</b>	
419	<b>C-TRN Changes</b>	<b>45 days</b>	<b>Mon 8/9/10</b>	<b>Mon 10/11/10</b>		
420	C_TRN Changes - Central Transactions - Design	10 days	Mon 8/9/10	Fri 8/20/10	414	LaQuita Varnado-Extine
421	C_TRN Changes - Central Transactions - Program	10 days	Mon 8/23/10	Fri 9/3/10	420	LaQuita Varnado-Extine[5%],Jeffrey Garber[40%]
422	C_TRN Changes - Central Transactions - Unit Test	4 days	Tue 9/7/10	Fri 9/10/10	421	LaQuita Varnado-Extine[5%],Jeffrey Garber[40%]
423	C_TRN - 11 View Changes - Design	10 days	Mon 8/23/10	Fri 9/3/10	420	LaQuita Varnado-Extine
424	C_TRN - 11 View Changes - Program	9 days	Tue 9/7/10	Fri 9/17/10	423	LaQuita Varnado-Extine[5%],Simin Harvin[40%]
425	C_TRN - 11 View Changes - Unit Test	5 days	Mon 9/20/10	Fri 9/24/10	424	LaQuita Varnado-Extine[5%],Jeffrey Garber[40%]
426	Stakeholder Review Design Docs and Testing Results	10 days	Mon 9/27/10	Fri 10/8/10	425	Christina Smith[50%],Kimberly McMurray[50%],Abe Kani[50%],Diana Flagg[10%]
427	<b>Approve - C_TRN Design Doc and Testing Results</b>	<b>1 day</b>	<b>Mon 10/11/10</b>	<b>Mon 10/11/10</b>	<b>426</b>	
428	<b>Code Table - Central</b>	<b>35 days</b>	<b>Tue 9/7/10</b>	<b>Mon 10/25/10</b>		
429	Code Table Change for Central - Design	9 days	Tue 9/7/10	Fri 9/17/10	423	LaQuita Varnado-Extine
430	Code Table Change for Central - Program	10 days	Mon 9/20/10	Fri 10/1/10	429	LaQuita Varnado-Extine[5%],Soawanne Greer[40%]
431	Code Table Change for Central - Unit Test	5 days	Mon 10/4/10	Fri 10/8/10	430	LaQuita Varnado-Extine[5%],Soawanne Greer[40%]
432	Stakeholder Review Design Docs and Testing Results	10 days	Mon 10/11/10	Fri 10/22/10	431	Christina Smith[50%],Kimberly McMurray[50%],Abe Kani[50%],Diana Flagg[10%]
433	<b>Approve - Code Table Design Doc and Testing Results</b>	<b>1 day</b>	<b>Mon 10/25/10</b>	<b>Mon 10/25/10</b>	<b>432</b>	
434	<b>C-WARRANT</b>	<b>51 days</b>	<b>Mon 9/20/10</b>	<b>Thu 12/2/10</b>		
435	C_WARRANT - Central Warrants - Design	10 days	Mon 9/20/10	Fri 10/1/10	429	LaQuita Varnado-Extine
436	C_WARRANT - Central Warrants - Program	10 days	Mon 10/4/10	Fri 10/15/10	435	LaQuita Varnado-Extine[5%],Wen Li Lee[40%]
437	C_WARRANT - Central Warrants - Unit Test	5 days	Mon 10/18/10	Fri 10/22/10	436	LaQuita Varnado-Extine[5%],Wen Li Lee[40%]
438	C_WARRANT - 2 View Changes - Design	10 days	Mon 10/4/10	Fri 10/15/10	435	LaQuita Varnado-Extine
439	C_WARRANT - 2 View Changes - Program	10 days	Mon 10/18/10	Fri 10/29/10	438	LaQuita Varnado-Extine[5%],Simin Harvin[40%]
440	C_WARRANT - 2 View Changes - Unit Test	10 days	Mon 11/1/10	Fri 11/12/10	439	LaQuita Varnado-Extine[5%],Wen Li Lee[40%]
441	Stakeholder Review Design Docs and Testing Results	10 days	Mon 11/15/10	Wed 12/1/10	440	Christina Smith[50%],Kimberly McMurray[50%],Abe Kani[50%],Diana Flagg[10%]
442	<b>Approve - C_WARRANT Design Doc and Testing Results</b>	<b>1 day</b>	<b>Thu 12/2/10</b>	<b>Thu 12/2/10</b>	<b>441</b>	
443	<b>Vendor History</b>	<b>34 days</b>	<b>Tue 4/12/11</b>	<b>Mon 5/30/11</b>		
444	DV_VNDR_HIST - Vendor History Website & Sunshine Spending	9 days	Tue 4/12/11	Fri 4/22/11	243	LaQuita Varnado-Extine
445	DV_VNDR_HIST - Vendor History Website & Sunshine Spending	10 days	Mon 4/25/11	Fri 5/6/11	444	LaQuita Varnado-Extine[5%],Wen Li Lee[40%],Jeffrey Garber[40%]
446	DV_VNDR_HIST - Vendor History Website & Sunshine Spending	5 days	Mon 5/9/11	Fri 5/13/11	445	LaQuita Varnado-Extine[5%],Jeffrey Garber[40%],Wen Li Lee[40%]

**FY 2010-11 SCHEDULE IV-B FEASIBILITY STUDY FOR  
3% WITHHOLDING FOR VENDOR PAYMENTS**

ID	Task Name	Duration	Start	Finish	Predecessors	Resource Names
447	DV_VNDR_HIST - 1 View Change - Design	9 days	Tue 4/12/11	Fri 4/22/11	243	LaQuita Varnado-Extine
448	DV_VNDR_HIST - 1 View Change - Program	10 days	Mon 4/25/11	Fri 5/6/11	447	LaQuita Varnado-Extine[5%],Simin Harvin[40%]
449	DV_VNDR_HIST - 1 View Change - Unit Test	5 days	Mon 5/9/11	Fri 5/13/11	448	LaQuita Varnado-Extine[5%],Wen Li Lee[40%]
450	DV_VNDR_HIST_TOT - Sunshine Spending Website - Design	9 days	Tue 4/12/11	Fri 4/22/11	243	LaQuita Varnado-Extine
451	DV_VNDR_HIST_TOT - Sunshine Spending Website - Program	10 days	Mon 4/25/11	Fri 5/6/11	450	LaQuita Varnado-Extine[5%],Jeffrey Garber[40%]
452	DV_VNDR_HIST_TOT - Sunshine Spending Website - Unit Test	5 days	Mon 5/9/11	Fri 5/13/11	451	LaQuita Varnado-Extine[5%],Jeffrey Garber[40%]
453	DV_VNDR_HIST_TOT - 1 View Change - Design	9 days	Tue 4/12/11	Fri 4/22/11	243	LaQuita Varnado-Extine
454	DV_VNDR_HIST_TOT - 1 View Change - Program	10 days	Mon 4/25/11	Fri 5/6/11	453	LaQuita Varnado-Extine[5%],Simin Harvin[40%]
455	DV_VNDR_HIST_TOT - 1 View Change - Unit Test	5 days	Mon 5/9/11	Fri 5/13/11	454	LaQuita Varnado-Extine[5%],Jeffrey Garber[40%]
456	Stakeholder Review Design Docs and Testing Results	9 days	Mon 5/16/11	Thu 5/26/11	455	Christina Smith[50%],Kimberly McMurray[50%],Abe Kani[50%],Diana Flagg[10%]
457	<b>Approve - Vendor History Design Doc and Testing Results</b>	<b>1 day</b>	<b>Mon 5/30/11</b>	<b>Mon 5/30/11</b>	<b>456</b>	
458	<b>D_Contract</b>	<b>69 days</b>	<b>Mon 10/18/10</b>	<b>Mon 2/7/11</b>		
459	D_CONTRACT Changes - Design	20 days	Mon 10/18/10	Fri 11/12/10	438	LaQuita Varnado-Extine
460	D_CONTRACT Changes - Program	12 days	Mon 11/15/10	Fri 12/3/10	459	LaQuita Varnado-Extine[5%],Wen Li Lee[40%]
461	D_CONTRACT Changes - Unit Test	5 days	Mon 12/6/10	Fri 12/10/10	460	LaQuita Varnado-Extine[5%],Wen Li Lee[40%]
462	D_CONTRACT - 1 View Change - Design	10 days	Mon 12/6/10	Fri 12/17/10	460	LaQuita Varnado-Extine
463	D_CONTRACT - 1 View Change - Program	11 days	Mon 12/20/10	Fri 1/14/11	462	LaQuita Varnado-Extine[5%],Simin Harvin[40%]
464	D_CONTRACT - 1 View Change - Unit Test	5 days	Mon 1/17/11	Fri 1/21/11	463	LaQuita Varnado-Extine[5%],Wen Li Lee[40%]
465	Stakeholder Review Design Docs and Testing Results	10 days	Mon 1/24/11	Fri 2/4/11	464	Christina Smith[50%],Kimberly McMurray[50%],Abe Kani[50%],Diana Flagg[10%]
466	<b>Approve - D_Contract Design Doc and Testing Results</b>	<b>1 day</b>	<b>Mon 2/7/11</b>	<b>Mon 2/7/11</b>	<b>465</b>	
467	<b>Code Table - Departmental</b>	<b>37 days</b>	<b>Mon 12/20/10</b>	<b>Mon 2/21/11</b>		
468	Code Table Changes For Departmental - Design	11 days	Mon 12/20/10	Fri 1/14/11	462	LaQuita Varnado-Extine
469	Code Table Changes For Departmental - Program	10 days	Mon 1/17/11	Fri 1/28/11	468	LaQuita Varnado-Extine[5%],Jeffrey Garber[40%]
470	Code Table Changes For Departmental - Unit Test	5 days	Mon 1/31/11	Fri 2/4/11	469	LaQuita Varnado-Extine[5%],Jeffrey Garber[40%]
471	Stakeholder Review Design Docs and Testing Results	10 days	Mon 2/7/11	Fri 2/18/11	470	Christina Smith[50%],Kimberly McMurray[50%],Abe Kani[50%],Diana Flagg[10%]
472	<b>Approve - Code Table - Departmental Design Doc and Testir</b>	<b>1 day</b>	<b>Mon 2/21/11</b>	<b>Mon 2/21/11</b>	<b>471</b>	
473	<b>MFMP Reconciliation File</b>	<b>41 days</b>	<b>Mon 1/17/11</b>	<b>Mon 3/14/11</b>		
474	MFMP Reconciliation Files & Processes - Design	15 days	Mon 1/17/11	Fri 2/4/11	468	LaQuita Varnado-Extine
475	MFMP Reconciliation Files & Processes - Program	10 days	Mon 2/7/11	Fri 2/18/11	474	LaQuita Varnado-Extine[5%],Soawanne Greer[40%]
476	MFMP Reconciliation Files & Processes - Unit Test	5 days	Mon 2/21/11	Fri 2/25/11	475	LaQuita Varnado-Extine[5%],Soawanne Greer[40%]
477	Stakeholder Review Design Docs and Testing Results	10 days	Mon 2/28/11	Fri 3/11/11	476	Christina Smith[50%],Kimberly McMurray[50%],Abe Kani[50%],Diana Flagg[10%]
478	<b>Approve - MFMP Reconciliation File Design Doc and Testing</b>	<b>1 day</b>	<b>Mon 3/14/11</b>	<b>Mon 3/14/11</b>	<b>477</b>	
479	<b>1099/Backup Withholding</b>	<b>55 days</b>	<b>Mon 2/7/11</b>	<b>Fri 4/22/11</b>		
480	New Tables For 1099/Backup Withholding - Design	10 days	Mon 2/7/11	Fri 2/18/11	474	LaQuita Varnado-Extine
481	New Tables For 1099/Backup Withholding - Program	10 days	Mon 2/21/11	Fri 3/4/11	480	LaQuita Varnado-Extine[5%],Wen Li Lee[40%]



**FY 2010-11 SCHEDULE IV-B FEASIBILITY STUDY FOR  
3% WITHHOLDING FOR VENDOR PAYMENTS**

ID	Task Name	Duration	Start	Finish	Predecessors	Resource Names
482	New Tables For 1099/Backup Withholding - Unit Test	5 days	Mon 3/7/11	Fri 3/11/11	481	LaQuita Varnado-Extine[5%],Wen Li Lee[40%]
483	New Views For 1099/Backup Withholding - Design	10 days	Mon 2/21/11	Fri 3/4/11	480	LaQuita Varnado-Extine
484	New Views For 1099/Backup Withholding - Program	14 days	Mon 3/7/11	Thu 3/24/11	483	LaQuita Varnado-Extine[5%],Simin Harvin[40%]
485	New Views For 1099/Backup Withholding - Unit Test	5 days	Fri 3/25/11	Thu 3/31/11	484	LaQuita Varnado-Extine[5%],Soawanne Greer[40%]
486	New Reports For 1099/Backup Withholding - Design	9 days	Mon 3/7/11	Thu 3/17/11	483	LaQuita Varnado-Extine
487	New Reports For 1099/Backup Withholding - Program	10 days	Fri 3/18/11	Thu 3/31/11	486	LaQuita Varnado-Extine[5%],Soawanne Greer[40%]
488	New Reports For 1099/Backup Withholding - Unit Test	5 days	Fri 4/1/11	Thu 4/7/11	487	LaQuita Varnado-Extine[5%],Soawanne Greer[40%]
489	Stakeholder Review Design Docs and Testing Results	10 days	Fri 4/8/11	Thu 4/21/11	488	Christina Smith[50%],Kimberly McMurray[50%],Abe Kani[50%],Diana Flagg[10%]
490	<b>Approve - IW File and Report Changes Design Docs and Test</b>	<b>1 day</b>	<b>Fri 4/22/11</b>	<b>Fri 4/22/11</b>	<b>489</b>	
491	<b>A&amp;A Support to DIS during Design &amp; Coding - Info Warehouse</b>	<b>217 days</b>	<b>Mon 7/12/10</b>	<b>Mon 5/30/11</b>	<b>407SS</b>	<b>Mike Manderfield[10%],Debra Evans[10%],PAS #4244[10%],PAS #190</b>
492	<b>Vendor Data Validation/Clean-up</b>	<b>545 days</b>	<b>Mon 10/5/09</b>	<b>Fri 12/30/11</b>		
493	<b>Review Regular Vendor File</b>	<b>61 days</b>	<b>Mon 10/5/09</b>	<b>Fri 1/8/10</b>		<b>Debra Evans[50%],PAS #4244[20%],Shelia Cole</b>
494	<b>Transition JAC from Regular to Statewide Vendor File</b>	<b>60 days</b>	<b>Mon 1/11/10</b>	<b>Fri 4/2/10</b>	<b>493</b>	<b>Debra Evans[50%],PAS #4244[20%],Shelia Cole[50%]</b>
495	<b>Transition from Client to Statewide File - FY09/10 Qtr 4</b>	<b>63 days</b>	<b>Mon 4/5/10</b>	<b>Fri 7/9/10</b>		
496	Transition Agency #1 from Client to Statewide Vendor File	63 days	Mon 4/5/10	Fri 7/9/10	ISS+60 days	Debra Evans[20%],PAS #4244[20%],Shelia Cole[50%]
497	Transition Agency #2 from Client to Statewide Vendor File	63 days	Mon 4/5/10	Fri 7/9/10	496SS	Debra Evans[20%],PAS #4244[20%],Shelia Cole[50%]
498	Transition Agency #3 from Client to Statewide Vendor File	63 days	Mon 4/5/10	Fri 7/9/10	496SS	Debra Evans[20%],PAS #4244[20%],Shelia Cole[50%]
499	<b>Transition from Client to Statewide File - FY10/11 Qtr 1</b>	<b>59 days</b>	<b>Mon 7/12/10</b>	<b>Fri 10/1/10</b>		
500	Transition Agency #4 from Client to Statewide Vendor File	59 days	Mon 7/12/10	Fri 10/1/10	496	Debra Evans[10%],PAS #4244[50%],Shelia Cole[50%],A&A#2 PAS,A&A#1 PAS
501	Transition Agency #5 from Client to Statewide Vendor File	59 days	Mon 7/12/10	Fri 10/1/10	500SS	Debra Evans[10%],PAS #4244[50%],Shelia Cole[50%],A&A#2 PAS,A&A#1 PAS
502	Transition Agency #6 from Client to Statewide Vendor File	59 days	Mon 7/12/10	Fri 10/1/10	500SS	Debra Evans[10%],PAS #4244[50%],Shelia Cole[50%],A&A#2 PAS,A&A#1 PAS
503	<b>Transition from Client to Statewide File - FY10/11 Qtr 2</b>	<b>63 days</b>	<b>Mon 10/4/10</b>	<b>Fri 1/14/11</b>		
504	Transition Agency #7 from Client to Statewide Vendor File	63 days	Mon 10/4/10	Fri 1/14/11	500	Debra Evans[10%],PAS #4244[50%],Shelia Cole[50%],A&A#2 PAS,A&A#1 PAS
505	Transition Agency #8 from Client to Statewide Vendor File	63 days	Mon 10/4/10	Fri 1/14/11	504SS	Debra Evans[10%],PAS #4244[50%],Shelia Cole[50%],A&A#2 PAS,A&A#1 PAS
506	Transition Agency #9 from Client to Statewide Vendor File	63 days	Mon 10/4/10	Fri 1/14/11	504SS	Debra Evans[10%],PAS #4244[50%],Shelia Cole[50%],A&A#2 PAS,A&A#1 PAS
507	<b>Transition from Client to Statewide File - FY10/11 Qtr 3</b>	<b>60 days</b>	<b>Mon 1/17/11</b>	<b>Fri 4/8/11</b>		
508	Transition Agency #10 from Client to Statewide Vendor File	60 days	Mon 1/17/11	Fri 4/8/11	504	Debra Evans[10%],PAS #4244[50%],Shelia Cole[50%],A&A#2 PAS,A&A#1 PAS
509	Transition Agency #11 from Client to Statewide Vendor File	60 days	Mon 1/17/11	Fri 4/8/11	508SS	Debra Evans[10%],PAS #4244[50%],Shelia Cole[50%],A&A#2 PAS,A&A#1 PAS
510	Transition Agency #12 from Client to Statewide Vendor File	60 days	Mon 1/17/11	Fri 4/8/11	508SS	Debra Evans[10%],PAS #4244[50%],Shelia Cole[50%],A&A#2 PAS,A&A#1 PAS
511	<b>Transition from Client to Statewide File - FY10/11 Qtr 4</b>	<b>59 days</b>	<b>Mon 4/11/11</b>	<b>Fri 7/8/11</b>		
512	Transition Agency #13 from Client to Statewide Vendor File	59 days	Mon 4/11/11	Fri 7/8/11	508	Debra Evans[10%],PAS #4244[50%],Shelia Cole[50%],A&A#2 PAS,A&A#1 PAS
513	Transition Agency #14 from Client to Statewide Vendor File	59 days	Mon 4/11/11	Fri 7/8/11	512SS	Debra Evans[10%],PAS #4244[50%],Shelia Cole[50%],A&A#2 PAS,A&A#1 PAS
514	Transition Agency #15 from Client to Statewide Vendor File	59 days	Mon 4/11/11	Fri 7/8/11	512SS	Debra Evans[10%],PAS #4244[50%],Shelia Cole[50%],A&A#2 PAS,A&A#1 PAS
515	<b>Transition from Client to Statewide File - FY11/12 Qtr 1</b>	<b>59 days</b>	<b>Mon 7/11/11</b>	<b>Fri 9/30/11</b>		
516	Transition Agency #16 from Client to Statewide Vendor File	59 days	Mon 7/11/11	Fri 9/30/11	512	Debra Evans[10%],PAS #4244[50%],Shelia Cole[50%],A&A#2 PAS,A&A#1 PAS

**FY 2010-11 SCHEDULE IV-B FEASIBILITY STUDY FOR  
3% WITHHOLDING FOR VENDOR PAYMENTS**

ID	Task Name	Duration	Start	Finish	Predecessors	Resource Names
517	Transition Agency #17 from Client to Statewide Vendor File	59 days	Mon 7/11/11	Fri 9/30/11	516SS	Debra Evans[10%],PAS #4244[50%],Shelia Cole[50%],A&A#2 PAS,A&A#1 PAS
518	Transition Agency #18 from Client to Statewide Vendor File	59 days	Mon 7/11/11	Fri 9/30/11	516SS	Debra Evans[10%],PAS #4244[50%],Shelia Cole[50%],A&A#2 PAS,A&A#1 PAS
519	<b>Transition from Client to Statewide File - FY11/12 Qtr 2</b>	<b>61 days</b>	<b>Mon 10/3/11</b>	<b>Fri 12/30/11</b>		
520	Transition Agency #19 from Client to Statewide Vendor File	61 days	Mon 10/3/11	Fri 12/30/11	516	Debra Evans[6%],PAS #4244[30%],Shelia Cole[30%],A&A#2 PAS[12%],A&A#1 PAS[12%
521	Transition Agency #20 from Client to Statewide Vendor File	61 days	Mon 10/3/11	Fri 12/30/11	520SS	Debra Evans[6%],PAS #4244[30%],Shelia Cole[30%],A&A#2 PAS[12%],A&A#1 PAS[12%
522	<b>Obtain W-9s for all non-compliant vendors</b>	<b>302 days</b>	<b>Mon 10/4/10</b>	<b>Fri 12/30/11</b>		
523	Obtaining W-9s for 10% of all non-compliant vendors	63 days	Mon 10/4/10	Fri 1/14/11	8	SMA II #1903[20%],Carolyn Howard[30%],Ronnie White[40%],Birgit Cromartie[40%],Emm
524	Obtaining W-9s for 30% of all non-compliant vendors	60 days	Mon 1/17/11	Fri 4/8/11	523	SMA II #1903[20%],Carolyn Howard[30%],Ronnie White[40%],Birgit Cromartie[40%],Emm
525	Obtaining W-9s for 50% of all non-compliant vendors	59 days	Mon 4/11/11	Fri 7/8/11	524	SMA II #1903[20%],Carolyn Howard[30%],Ronnie White[40%],Birgit Cromartie[40%],Emm
526	Obtaining W-9s for 75% of all non-compliant vendors	59 days	Mon 7/11/11	Fri 9/30/11	525	SMA II #1903[20%],Carolyn Howard[30%],Ronnie White[40%],Birgit Cromartie[40%],Emm
527	Obtaining W-9s for 100% of all non-compliant vendors	61 days	Mon 10/3/11	Fri 12/30/11	526	SMA II #1903[20%],Carolyn Howard[30%],Ronnie White[40%],Birgit Cromartie[40%],Emm
528	<b>Survey other entities using the TIN Matching programs</b>	<b>20 days</b>	<b>Mon 4/5/10</b>	<b>Fri 4/30/10</b>	<b>FS+60 days</b>	<b>SMA II #1903,Carolyn Howard</b>
529	<b>Sign-up for IRS TIN Matching</b>	<b>19 days</b>	<b>Mon 5/3/10</b>	<b>Thu 5/27/10</b>	<b>528</b>	<b>SMA II #1903,Carolyn Howard,Debra Evans[10%]</b>
530	<b>Implement TIN Matching Batch process</b>	<b>59 days</b>	<b>Mon 5/31/10</b>	<b>Fri 8/27/10</b>	<b>529</b>	<b>SMA II #1903[78%],Carolyn Howard[78%],Debra Evans[8%],Nancy Hammerstrom[31%</b>
531	<b>Work Errors from initial TIN Matching process</b>	<b>82 days</b>	<b>Mon 8/30/10</b>	<b>Fri 1/7/11</b>	<b>530</b>	<b>SMA II #1903[20%],Carolyn Howard[10%],A&amp;A#2 PAS[40%],A&amp;A#3 OPS Accountant I</b>
532	<b>System Testing</b>	<b>290 days</b>	<b>Tue 8/9/11</b>	<b>Mon 10/8/12</b>		
533	<b>Central Accounting Testing</b>	<b>74 days</b>	<b>Wed 9/7/11</b>	<b>Thu 12/22/11</b>		
534	W9 Processing	33 days	Wed 9/7/11	Fri 10/21/11	181,313	Molly Merry[10%],Debra Evans[20%],PAS #4244,Carolyn Howard[20%],David Westaway[4
535	1099 Reporting	32 days	Mon 10/24/11	Fri 12/9/11	534	Debra Evans[20%],SMA II #1903,Molly Merry[10%],Carolyn Howard[20%],Paul Brazier[40%
536	3% Withholding Processing	38 days	Wed 9/7/11	Fri 10/28/11	534SS	PAS #4244[28%],Debra Evans[5%],Molly Merry[3%],Mike Manderfield[6%],Phyllis Pearce
537	Backup Withholding Processing	23 days	Wed 9/7/11	Fri 10/7/11	534SS	SMA II #1903,Debra Evans[10%],Carolyn Howard[10%],Ronnie White[10%],Birgit Cromarti
538	Remittance to IRS	20 days	Mon 10/10/11	Fri 11/4/11	537	Debra Evans[10%],PAS #4244,SMA II #1903,Molly Merry[10%],Mike Manderfield[10%],Ph
539	Review testing results	10 days	Thu 12/8/11	Wed 12/21/11	SS+30 days	Christina Smith[50%],Kimberly McMurray[50%],Abe Kani[50%],Diana Flagg[10%]
540	<b>User Approval - Central Accounting System Test</b>	<b>1 day</b>	<b>Thu 12/22/11</b>	<b>Thu 12/22/11</b>	<b>539</b>	
541	<b>Central Reporting Testing</b>	<b>66 days</b>	<b>Wed 5/30/12</b>	<b>Mon 9/10/12</b>		
542	FLAIR Vendor History File	18 days	Wed 5/30/12	Fri 6/22/12	272	Debra Evans[10%],PAS #4244,SMA II #1903,Molly Merry[10%],Mike Manderfield[10%],La
543	Vendor History Website	20 days	Mon 6/25/12	Tue 7/31/12	542	Debra Evans[10%],PAS #4244,SMA II #1903,Molly Merry[10%],Mike Manderfield[10%],La
544	Sunshine Spending Website	20 days	Mon 6/25/12	Tue 7/31/12	543SS	Debra Evans[6%],PAS #4244[56%],SMA II #1903[56%],Molly Merry[6%],Mike Manderfield
545	Revolving Fund Reports	20 days	Wed 8/1/12	Tue 8/28/12	544	Debra Evans[6%],PAS #4244[56%],SMA II #1903[56%],Molly Merry[6%],Mike Manderfield
546	Agency File copies	20 days	Wed 8/1/12	Tue 8/28/12	545SS	Debra Evans[4%],PAS #4244[43%],SMA II #1903[43%],Mike Manderfield[4%],LaQuita Var
547	New Reports	20 days	Wed 8/1/12	Tue 8/28/12	545SS	Debra Evans[4%],PAS #4244[44%],SMA II #1903[44%],Molly Merry[4%],Mike Manderfield
548	Review testing results	7 days	Wed 8/29/12	Fri 9/7/12	547	Christina Smith[50%],Kimberly McMurray[50%],Abe Kani[50%],Diana Flagg[10%]
549	<b>User Approval - Central Accounting System Test</b>	<b>1 day</b>	<b>Mon 9/10/12</b>	<b>Mon 9/10/12</b>	<b>548</b>	
550	<b>Departmental Accounting Testing</b>	<b>81 days</b>	<b>Tue 8/9/11</b>	<b>Mon 12/5/11</b>		
551	Contract System Modification	19 days	Tue 8/9/11	Fri 9/2/11	313	Mike Manderfield[10%],Debra Evans[10%],PAS #4244,PAS #1905,SMA II #1903,A&A#1 F

**FY 2010-11 SCHEDULE IV-B FEASIBILITY STUDY FOR  
3% WITHHOLDING FOR VENDOR PAYMENTS**

ID	Task Name	Duration	Start	Finish	Predecessors	Resource Names
552	P-Card Module Modifications	19 days	Tue 8/9/11	Fri 9/2/11	551SS	Mike Manderfield[10%],Debra Evans[10%],PAS #4244,PAS #1905,SMA II #1903,A&A#1 F
553	FLAIR Vendor File Modifications	19 days	Tue 9/6/11	Fri 9/30/11	552	Mike Manderfield[10%],Debra Evans[10%],PAS #4244,PAS #1905,SMA II #1903,A&A#1 F
554	Nightly Voucher Processing Modifications	20 days	Mon 10/3/11	Fri 10/28/11	553	Mike Manderfield[10%],Debra Evans[10%],PAS #4244,PAS #1905,SMA II #1903,A&A#1 F
555	Departmental Disbursement Process	20 days	Mon 10/3/11	Fri 10/28/11	554SS	Mike Manderfield[10%],Debra Evans[10%],PAS #4244,PAS #1905,SMA II #1903,A&A#1 F
556	Title File Modifications	17 days	Mon 10/31/11	Tue 11/22/11	555	Mike Manderfield[10%],Debra Evans[10%],PAS #4244,PAS #1905,SMA II #1903,A&A#1 F
557	MFMP Interface Modification	20 days	Mon 10/24/11	Fri 11/18/11	ISS+15 days	Mike Manderfield[10%],Debra Evans[10%],PAS #4244,PAS #1905,SMA II #1903,A&A#1 F
558	Review of testing results	7 days	Mon 11/21/11	Fri 12/2/11	557	Christina Smith[50%],Kimberly McMurray[50%],Abe Kani[50%],Diana Flagg[10%]
559	<b>User Approval - Departmental Accounting System Test</b>	<b>1 day</b>	<b>Mon 12/5/11</b>	<b>Mon 12/5/11</b>	<b>558</b>	
560	<b>Information Warehouse Testing</b>	<b>86 days</b>	<b>Wed 5/30/12</b>	<b>Mon 10/8/12</b>		
561	ALLPYMT - Central transactions	13 days	Wed 5/30/12	Fri 6/15/12	541SS	Mike Manderfield[10%],Debra Evans[10%],PAS #4244[10%],PAS #1905[10%],SMA II #1903,A&A#1 F
562	ALLTRN - Vendor payments	13 days	Wed 5/30/12	Fri 6/15/12	561SS	Mike Manderfield[10%],Debra Evans[10%],PAS #4244[10%],PAS #1905[10%],SMA II #1903,A&A#1 F
563	C_TRN Changes - Central Transactions	10 days	Mon 6/18/12	Tue 7/10/12	562	Mike Manderfield[10%],Debra Evans[10%],PAS #4244[10%],PAS #1905[10%],SMA II #1903,A&A#1 F
564	C_TRN - 11 View Changes	10 days	Mon 6/18/12	Tue 7/10/12	563SS	Mike Manderfield[10%],Debra Evans[10%],PAS #4244[10%],PAS #1905[10%],SMA II #1903,A&A#1 F
565	Code Table Change for Central	10 days	Wed 7/11/12	Tue 7/24/12	564	Mike Manderfield[10%],Debra Evans[10%],PAS #4244[10%],PAS #1905[10%],SMA II #1903,A&A#1 F
566	C_WARRANT - Central Warrants	10 days	Wed 7/25/12	Tue 8/7/12	565	Mike Manderfield[10%],Debra Evans[10%],PAS #4244[10%],PAS #1905[10%],SMA II #1903,A&A#1 F
567	C_WARRANT - 2 View Changes	10 days	Wed 7/25/12	Tue 8/7/12	566SS	Mike Manderfield[10%],Debra Evans[10%],PAS #4244[10%],PAS #1905[10%],SMA II #1903,A&A#1 F
568	DV_VNDR_HIST - Vendor History Website & Sunshine Spending	15 days	Wed 8/8/12	Tue 8/28/12	567	Mike Manderfield[10%],Debra Evans[10%],PAS #4244[10%],PAS #1905[10%],SMA II #1903,A&A#1 F
569	DV_VNDR_HIST - 1 View Change	15 days	Wed 8/8/12	Tue 8/28/12	568SS	Mike Manderfield[10%],Debra Evans[10%],PAS #4244[10%],PAS #1905[10%],SMA II #1903,A&A#1 F
570	DV_VNDR_HIST_TOT - Sunshine Spending Website	15 days	Wed 8/8/12	Tue 8/28/12	568SS	Mike Manderfield[10%],Debra Evans[10%],PAS #4244[10%],PAS #1905[10%],SMA II #1903,A&A#1 F
571	DV_VNDR_HIST_TOT - 1 View Change	15 days	Wed 8/8/12	Tue 8/28/12	568SS	Mike Manderfield[10%],Debra Evans[10%],PAS #4244[10%],PAS #1905[10%],SMA II #1903,A&A#1 F
572	D_CONTRACT Changes	12 days	Wed 8/29/12	Fri 9/14/12	571	Mike Manderfield[10%],Debra Evans[10%],PAS #4244[10%],PAS #1905[10%],SMA II #1903,A&A#1 F
573	D_CONTRACT - 1 View Change	12 days	Wed 8/29/12	Fri 9/14/12	572SS	Mike Manderfield[10%],Debra Evans[10%],PAS #4244[10%],PAS #1905[10%],SMA II #1903,A&A#1 F
574	Code Table Changes For Departmental	10 days	Mon 9/17/12	Fri 9/28/12	573	Mike Manderfield[10%],Debra Evans[10%],PAS #4244[10%],PAS #1905[10%],SMA II #1903,A&A#1 F
575	MFMP Reconciliation Files & Processes	10 days	Mon 9/17/12	Fri 9/28/12	574SS	Mike Manderfield[10%],Debra Evans[10%],PAS #4244[10%],PAS #1905[10%],SMA II #1903,A&A#1 F
576	New Tables For 1099/Backup Withholding	10 days	Mon 9/17/12	Fri 9/28/12	574SS	Mike Manderfield[10%],Debra Evans[10%],PAS #4244[10%],PAS #1905[10%],SMA II #1903,A&A#1 F
577	New Views For 1099/Backup Withholding	10 days	Mon 9/17/12	Fri 9/28/12	574SS	Mike Manderfield[10%],Debra Evans[10%],PAS #4244[10%],PAS #1905[10%],SMA II #1903,A&A#1 F
578	New Reports For 1099/Backup Withholding	10 days	Mon 9/17/12	Fri 9/28/12	574SS	Mike Manderfield[10%],Debra Evans[10%],PAS #4244[10%],PAS #1905[10%],SMA II #1903,A&A#1 F
579	Review test results	5 days	Mon 10/1/12	Fri 10/5/12	578	Christina Smith[50%],Kimberly McMurray[50%],Abe Kani[50%],Diana Flagg[10%]
580	<b>User Approval - IW System Testing</b>	<b>1 day</b>	<b>Mon 10/8/12</b>	<b>Mon 10/8/12</b>	<b>579</b>	
581	<b>Training &amp; Change Management</b>	<b>84 days</b>	<b>Tue 8/30/11</b>	<b>Fri 12/30/11</b>		
582	<b>Communication - Vendors</b>	<b>65 days</b>	<b>Tue 8/30/11</b>	<b>Fri 12/2/11</b>	<b>ISS-84 days</b>	<b>Chg Mgmt Lead</b>
583	<b>Communication - State Agencies</b>	<b>65 days</b>	<b>Tue 8/30/11</b>	<b>Fri 12/2/11</b>	<b>ISS-84 days</b>	<b>Chg Mgmt Lead</b>
584	<b>Communication - DFS Management</b>	<b>65 days</b>	<b>Tue 8/30/11</b>	<b>Fri 12/2/11</b>	<b>ISS-84 days</b>	<b>Chg Mgmt Lead</b>
585	<b>Training / Division of Accounting and Auditing</b>	<b>21 days</b>	<b>Tue 11/1/11</b>	<b>Fri 12/2/11</b>	<b>ISS-40 days</b>	<b>Chg Mgmt Lead</b>
586	<b>Training / Vendors</b>	<b>40 days</b>	<b>Tue 11/1/11</b>	<b>Fri 12/30/11</b>	<b>ISS-40 days</b>	<b>Chg Mgmt Lead</b>

**FY 2010-11 SCHEDULE IV-B FEASIBILITY STUDY FOR  
3% WITHHOLDING FOR VENDOR PAYMENTS**

ID	Task Name	Duration	Start	Finish	Predecessors	Resource Names
587	<b>Training / State Agencies</b>	<b>40 days</b>	<b>Tue 11/1/11</b>	<b>Fri 12/30/11</b>	<b>ISS-40 days</b>	<b>Chg Mgmt Lead</b>
588	<b>Go-Live</b>	<b>1 day</b>	<b>Tue 1/3/12</b>	<b>Tue 1/3/12</b>		
589	<b>Operational Activites - Post Go-Live</b>	<b>491 days</b>	<b>Wed 1/4/12</b>	<b>Wed 1/1/14</b>		
590	<b>Statewide Vendor Section</b>	<b>490 days</b>	<b>Wed 1/4/12</b>	<b>Tue 12/31/13</b>		
591	Perform Access Control - Statewide Vendor File - Daily	490 days	Wed 1/4/12	Tue 12/31/13	588	PAS #1905[10%],Shelia Cole[10%],PAS #4244[10%]
592	Perform Vendor Updates - Statewide Vendor File - Daily	490 days	Wed 1/4/12	Tue 12/31/13	588	PAS #1905[10%],Shelia Cole[50%],PAS #4244[50%],A&A#10 Sr Mgt Analyst [50%],A&A#11 Sr Mgt Analyst [10%]
593	Reconcile Vendor Records w/ W9 - Statewide Vendor File - Daily	490 days	Wed 1/4/12	Tue 12/31/13	588	PAS #1905[10%],Shelia Cole[50%],PAS #4244[50%],A&A#10 Sr Mgt Analyst [50%],A&A#11 Sr Mgt Analyst [10%]
594	Monitor Reports - Statewide Vendor File - Mthly	490 days	Wed 1/4/12	Tue 12/31/13	588	Shelia Cole[10%],PAS #4244[10%],A&A#10 Sr Mgt Analyst [10%],A&A#11 Sr Mgt Analyst [10%]
595	Resolve MFMP Vendor Records Issues - Weekly	490 days	Wed 1/4/12	Tue 12/31/13	588	Shelia Cole[5%],PAS #4244[5%]
596	Communicate w/Vendors on record issues - Daily	490 days	Wed 1/4/12	Tue 12/31/13	588	PAS #1905[10%],Shelia Cole[50%],PAS #4244[50%],A&A#10 Sr Mgt Analyst [50%],A&A#11 Sr Mgt Analyst [10%]
597	Vendor integrity review/update - Statewide Vendor File - Weekly	490 days	Wed 1/4/12	Tue 12/31/13	588	PAS #1905[10%],Shelia Cole[50%],PAS #4244[50%],A&A#10 Sr Mgt Analyst [50%],A&A#11 Sr Mgt Analyst [10%]
598	Monitor and Update Backup withholding flag - Statewide Vendor fi	490 days	Wed 1/4/12	Tue 12/31/13	588	PAS #1905[10%],PAS #4244[10%],A&A#10 Sr Mgt Analyst [10%]
599	<b>Vendor Record Section</b>	<b>490 days</b>	<b>Wed 1/4/12</b>	<b>Tue 12/31/13</b>		
600	Vendor Help Desk - tier 1 inquires (general questions)	490 days	Wed 1/4/12	Tue 12/31/13	588	SMA II #1903[20%],A&A#12 PAS[50%],A&A#13 Sr Mgmt Analyst [50%],A&A#14 Sr Prof
601	<b>W9 Maintenance</b>	<b>490 days</b>	<b>Wed 1/4/12</b>	<b>Tue 12/31/13</b>		
602	Generate Substitute W9 Request Ltrs Mthly	5 days	Wed 1/18/12	Tue 1/24/12	3FS+10 days	Ronnie White[70%],Birgit Cromartie[20%],A&A#2 PAS[20%]
603	Validate W9 data for applicability-Daily	490 days	Wed 1/4/12	Tue 12/31/13	588	SMA II #1903[20%],A&A#12 PAS[50%],A&A#13 Sr Mgmt Analyst [50%],A&A#14 Sr Prof
604	Perform TIN Matching-Weekly	490 days	Wed 1/4/12	Tue 12/31/13	588	A&A#12 PAS[20%],A&A#13 Sr Mgmt Analyst [20%]
605	1099 Reporting Corrections - TIN, Object, Address, etc-Daily	490 days	Wed 1/4/12	Tue 12/31/13	588	SMA II #1903[10%],A&A#12 PAS[30%],A&A#13 Sr Mgmt Analyst [30%],A&A#14 Sr Prof
606	<b>Calendar Yr 2011 1099 Reporting</b>	<b>210 days</b>	<b>Mon 1/16/12</b>	<b>Fri 11/16/12</b>		
607	Print Form 1099s	5 days	Mon 1/16/12	Fri 1/20/12	38FS+8 days	Ronnie White[60%],Birgit Cromartie[30%],Emma Bradley[30%],A&A#12 PAS[40%],A&A#13 Sr Mgmt Analyst [10%]
608	Mail Form 1099s	5 days	Mon 1/23/12	Fri 1/27/12	607	Ronnie White[60%],Birgit Cromartie[30%],Emma Bradley[30%],A&A#12 PAS[40%],A&A#13 Sr Mgmt Analyst [10%]
609	Submit 1099 File - Preliminary	15 days	Mon 3/12/12	Fri 3/30/12	3FS+48 days	Ronnie White[60%],Birgit Cromartie[30%],Emma Bradley[30%],A&A#12 PAS[40%],A&A#13 Sr Mgmt Analyst [10%]
610	CD's for historical 1099 withholding - Preliminary	1 day	Mon 4/2/12	Mon 4/2/12	609	Ronnie White[60%],Birgit Cromartie[30%],Emma Bradley[30%],A&A#12 PAS[40%],A&A#13 Sr Mgmt Analyst [10%]
611	Submit 1099 File - Final	10 days	Mon 7/23/12	Fri 8/3/12	FS+135 days	Ronnie White[60%],Birgit Cromartie[30%],Emma Bradley[30%],A&A#12 PAS[40%],A&A#13 Sr Mgmt Analyst [10%]
612	CD's for historical 1099 withholding - Final	1 day	Mon 8/6/12	Mon 8/6/12	611	Ronnie White[60%],Birgit Cromartie[30%],Emma Bradley[30%],A&A#12 PAS[40%],A&A#13 Sr Mgmt Analyst [10%]
613	Receive B-Notice File	10 days	Mon 10/15/12	Fri 10/26/12	2FS+48 days	Ronnie White[60%],Birgit Cromartie[30%],Emma Bradley[30%],A&A#12 PAS[40%],A&A#13 Sr Mgmt Analyst [10%]
614	Generate B-Notice Ltrs w/ Substitute Form W-9	5 days	Mon 10/29/12	Fri 11/2/12	613	Ronnie White[60%],Birgit Cromartie[30%],Emma Bradley[30%],A&A#12 PAS[40%],A&A#13 Sr Mgmt Analyst [10%]
615	Mark Type 2 B-Notice Vendors - Inactive in Statewide Vendor	5 days	Mon 11/5/12	Fri 11/9/12	614	Ronnie White[60%],Birgit Cromartie[30%],Emma Bradley[30%],A&A#12 PAS[40%],A&A#13 Sr Mgmt Analyst [10%]
616	Send B-Notice File to MFMP	4 days	Tue 11/13/12	Fri 11/16/12	615	Ronnie White[60%],Birgit Cromartie[30%],Emma Bradley[30%],A&A#12 PAS[40%],A&A#13 Sr Mgmt Analyst [10%]
617	Decision to post 1099's on web	20 days	Mon 11/19/12	Wed 12/19/12	606	Molly Merry[20%],Mike Manderfield[30%],Debra Evans[50%],Kimberly McMurray[10%],Ch
618	<b>Calendar Yr 2012 1099 Reporting</b>	<b>314 days</b>	<b>Fri 8/10/12</b>	<b>Fri 11/22/13</b>		
619	Test Calendar Yr 2012 Preliminary filing process	20 days	Fri 8/10/12	Fri 9/7/12	SS+150 days	Ronnie White[60%],Birgit Cromartie[30%],Emma Bradley[30%],A&A#12 PAS[40%],A&A#13 Sr Mgmt Analyst [10%]
620	Test Calendar Yr 2012 Final Filing process	20 days	Fri 8/10/12	Fri 9/7/12	619SS	Ronnie White[60%],Birgit Cromartie[30%],Emma Bradley[30%],A&A#12 PAS[40%],A&A#13 Sr Mgmt Analyst [10%]
621	Print Form 1099s	5 days	Mon 1/7/13	Fri 1/11/13	FS+241 days	Ronnie White[60%],Birgit Cromartie[30%],Emma Bradley[30%],A&A#12 PAS[40%],A&A#13 Sr Mgmt Analyst [10%]

**FY 2010-11 SCHEDULE IV-B FEASIBILITY STUDY FOR  
3% WITHHOLDING FOR VENDOR PAYMENTS**

ID	Task Name	Duration	Start	Finish	Predecessors	Resource Names
622	Mail Form 1099s	5 days	Mon 1/14/13	Fri 1/18/13	621	Ronnie White[60%],Birgit Cromartie[30%],Emma Bradley[30%],A&A#12 PAS[40%],A&A#
623	Submit 1099 File - Preliminary	15 days	Mon 3/18/13	Fri 4/5/13	=S+291 days	Ronnie White[60%],Birgit Cromartie[30%],Emma Bradley[30%],A&A#12 PAS[40%],A&A#
624	CD's for historical 1099 withholding - Preliminary	1 day	Mon 4/8/13	Mon 4/8/13	623	Ronnie White[60%],Birgit Cromartie[30%],Emma Bradley[30%],A&A#12 PAS[40%],A&A#
625	Submit 1099 File - Final	10 days	Mon 7/15/13	Fri 7/26/13	=S+368 days	Ronnie White[60%],Birgit Cromartie[30%],Emma Bradley[30%],A&A#12 PAS[40%],A&A#
626	CD's for historical 1099 withholding - Final	1 day	Mon 7/29/13	Mon 7/29/13	625	Ronnie White[60%],Birgit Cromartie[30%],Emma Bradley[30%],A&A#12 PAS[40%],A&A#
627	Receive B-Notice File	10 days	Mon 10/21/13	Fri 11/1/13	=S+438 days	Ronnie White[60%],Birgit Cromartie[30%],Emma Bradley[30%],A&A#12 PAS[40%],A&A#
628	Generate B-Notice Ltrs w/ Substitute Form W-9	5 days	Mon 11/4/13	Fri 11/8/13	627	Ronnie White[60%],Birgit Cromartie[30%],Emma Bradley[30%],A&A#12 PAS[40%],A&A#
629	Mark Type 2 B-Notice Vendors - Inactive in Statewide Vendor	5 days	Mon 11/11/13	Fri 11/15/13	628	Ronnie White[60%],Birgit Cromartie[30%],Emma Bradley[30%],A&A#12 PAS[40%],A&A#
630	Send B-Notice File to MFMP	5 days	Mon 11/18/13	Fri 11/22/13	629	Ronnie White[60%],Birgit Cromartie[30%],Emma Bradley[30%],A&A#12 PAS[40%],A&A#
631	<b>Taxation/Reconciliation Section</b>	<b>491 days</b>	<b>Wed 1/4/12</b>	<b>Wed 1/1/14</b>		
632	<b>Reconcile Tax Account - Daily</b>	<b>491 days</b>	<b>Wed 1/4/12</b>	<b>Wed 1/1/14</b>		
633	Adjust 3% withholding for EFT returns - cancellations	489 days	Wed 1/4/12	Mon 12/30/13	588	A&A#7 PAS,PAS #1904[10%],A&A#5 Sr Prof Acct
634	Adjust 3% withholding for Warrant cancellations	490 days	Wed 1/4/12	Tue 12/31/13	588	A&A#9 Accountant IV,PAS #1904[10%],A&A#8 PAS
635	Adjust 3% withholding for Agency coding errors	491 days	Wed 1/4/12	Wed 1/1/14	588	A&A#7 PAS,PAS #1904[10%],A&A#1 PAS,A&A#6 SMA I
636	Adjust backup withholding for EFT returns - cancellations	490 days	Wed 1/4/12	Tue 12/31/13	588	A&A#7 PAS,PAS #1904[10%],A&A#5 Sr Prof Acct
637	Adjust backup withholding for Warrant cancellations	490 days	Wed 1/4/12	Tue 12/31/13	588	A&A#8 PAS,A&A#9 Accountant IV,PAS #1904[10%]
638	Adjust backup withholding for Agency coding errors	490 days	Wed 1/4/12	Tue 12/31/13	588	A&A#7 PAS,PAS #1904[10%],A&A#1 PAS,A&A#6 SMA I
639	Reconcile Tax Account Bank Statement - Mthly	490 days	Wed 1/4/12	Tue 12/31/13	588	PAS #4244[50%],A&A#10 Sr Mgt Analyst II[50%]
640	Transmit withholding to IRS - Semiweekly	490 days	Wed 1/4/12	Tue 12/31/13	588	PAS #1904[10%],A&A#8 PAS,A&A#1 PAS,A&A#6 SMA I
641	File annual IRS Form 945	5 days	Mon 1/28/13	Fri 2/1/13	=S+256 days	PAS #1904[10%],A&A#8 PAS,A&A#1 PAS,A&A#6 SMA I
642	<b>Monitor US Tax Code and Regulations - Annual</b>	<b>490 days</b>	<b>Wed 1/4/12</b>	<b>Tue 12/31/13</b>		
643	Monitor US Tax Code and Regulations	490 days	Wed 1/4/12	Tue 12/31/13	588	PAS #1904[10%],A&A#7 PAS,A&A#8 PAS,A&A#1 PAS
644	Notify DIS of W9 updates	40 days	Mon 10/22/12	Thu 12/20/12	=S+199 days	Molly Merry[10%],Mike Manderfield[30%],Debra Evans[50%],PAS #1904,SMA II #1903
645	Notify DIS of 1099 updates	40 days	Mon 10/22/12	Thu 12/20/12	=S+199 days	Molly Merry[10%],Mike Manderfield[30%],Debra Evans[50%],PAS #1904,SMA II #1903
646	Notify MFMP of W9 Updates	40 days	Mon 10/22/12	Thu 12/20/12	=S+199 days	Molly Merry[10%],Mike Manderfield[30%],Debra Evans[50%],PAS #1904,SMA II #1903
647	Train internal staff on law chgs and interpretations - Qtrly	490 days	Wed 1/4/12	Tue 12/31/13	588	PAS #1904[10%],A&A#7 PAS,A&A#8 PAS,A&A#1 PAS
648	Update External Training material for law chgs - Annual	40 days	Mon 1/7/13	Fri 3/1/13	=S+241 days	PAS #1904[10%],A&A#7 PAS,A&A#8 PAS,A&A#1 PAS
649	Vendor Help Desk - tier 2 inquires (technical questions) - Daily	490 days	Wed 1/4/12	Tue 12/31/13	588	PAS #1904[10%],A&A#7 PAS,A&A#8 PAS,A&A#1 PAS
650	Update external communication material for law chgs - Qtrly	490 days	Wed 1/4/12	Tue 12/31/13	588	PAS #1904[10%],A&A#7 PAS,A&A#8 PAS,A&A#1 PAS

**SCHEDULE VI: DETAIL OF DEBT SERVICE**

**Department:** Department of Financial Services  
**Budget Entity:** N/A

**Budget Period 2010-2011**

(1)	(2)	(3)	(4)
<b>SECTION I</b>	<b>ACTUAL FY 2008-2009</b>	<b>ESTIMATED FY 2009-2010</b>	<b>REQUEST FY 2010-2011</b>
Interest on Debt	(A)		
Principal	(B)		
Repayment of Loans	(C)		
Fiscal Agent or Other Fees	(D)		
Other Debt Service	(E)		
Total Debt Service	(F)		

Explanation: \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

**SECTION II**

**ISSUE:** \_\_\_\_\_

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

**ISSUE:** \_\_\_\_\_

<b>INTEREST RATE</b>	<b>MATURITY DATE</b>	<b>ISSUE AMOUNT</b>	<b>JUNE 30, 20__</b>	<b>JUNE 30, 20__</b>
		<b>ACTUAL FY 20__ - __</b>	<b>ESTIMATED FY 20__ - __</b>	<b>REQUEST FY 20__ - __</b>
Interest on Debt	(G)			
Principal	(H)			
Fiscal Agent or Other Fees	(I)			
Other	(J)			
Total Debt Service	(K)			



**SCHEDULE IX: MAJOR AUDIT FINDINGS AND RECOMMENDATIONS**

**Budget Period: 2009- 2010**

**Department:** Financial Services

**Chief Internal Auditor:** Sally Moniz

**Budget Entity** Office of the Inspector General

**Phone Number:** (850) 413-4964

(1)	(2)	(3)	(4)	(5)	(6)
REPORT NUMBER	PERIOD ENDING	UNIT/AREA	SUMMARY OF FINDINGS AND RECOMMENDATIONS	SUMMARY OF CORRECTIVE ACTION TAKEN	ISSUE
OIG 06/07-02A	6/30/2007	Division of Funeral, Cemetery & Consumer Services	<p><b>Finding:</b> The current process to collect fees associated with issuing preneed contracts does not provide adequate assurances that all required remittances are received.</p> <p><b>Recommendation 1:</b> To provide assurances that remittances from preneed contract licensees are accurate, we recommend that the Division verify the number of preneed contracts issued by licensees.</p> <p><b>Recommendation 2:</b> To ensure the current licensee fee balances are accurate, the Division should first credit all unassigned fee payments to the appropriate licensee. The Division should then reconcile payment information reported on the quarterly remittance forms with the payments credited to the licensee.</p> <p><b>Recommendation 3:</b> To improve the overall effectiveness of the Division, we recommend that the Division obtain Board approval to amend Chapter 497, Florida Statutes, by eliminating the requirement for licensees to submit quarterly remittances for each preneed contract fee and instead incorporate these preneed contract fees into the annual license renewal fee.</p>	<p><b>Recommendation 1:</b> A Division Policy &amp; Procedure directive has been put in place, with revised inspection forms, by which the Division's Field staff record the number preneed contracts written in the prior years by the licensee.</p> <p><b>Recommendation 2:</b> Two Policy &amp; Procedure directives have been put implemented that require monthly &amp; quarterly action and reporting by Division staff regarding crediting of receipts &amp; reconciliation payments. The Division has allocated \$158,951 of the \$167,952 (95%) of the unallocated funds. The unreconciled items have been reduced to 85%.</p> <p><b>Recommendation 3:</b> The bill which DFS hoped to use as a vehicle got stalled in its first committee. The proposal is part of the Division's legislative package again this year and the Division is currently looking for a sponsor.</p>	
OIG 08118	6/30/07	Division of Risk Management	<p><b>Finding:</b> Wage information to calculate workers' compensation indemnity benefits should be retrieved through People First.</p> <p><b>Recommendation 1:</b> To help ensure accurate and timely wage information is used when calculating workers' compensation indemnity payments and reduce agency and Division workload, we recommend that selected Division staff be provided access to wage information from People First rather than requesting this information from agencies.</p> <p><b>Finding:</b> The number of lost production days due to workers' comp claims has been increasing.</p> <p><b>Recommendation 2:</b> The Division may be able to significantly reduce Enterprise workers' compensation claim costs by ensuring that state agencies implement effective RTW programs that promote on-the-job recovery.</p> <p><b>Finding:</b> Liability and federal civil rights claims that enter into litigation result in much higher claim cost.</p> <p><b>Recommendation 3:</b> To reduce the state's costs to resolve liability and civil rights claims, the Division should strive to reduce the number of claims that are litigated. Finding: Use of State Fire Marshal property inspection data may result in reduced insurance premiums and lower Division operating costs.</p> <p><b>Recommendation 4:</b> The Division can lower the cost of property insurance by providing commercial insurers with property-specific information for all state-owned buildings.</p> <p><b>Recommendation 5:</b> To ensure that all state-owned buildings are both insured and inspected, we recommend the Division coordinate with the State Fire Marshal to develop a consolidated database of state-owned property information relevant to both functions.</p> <p><b>Recommendation 6:</b> We recommend that a uniform methodology be used by the Division to determine the appropriate insured value for each property. This could be accomplished by using information from the State Fire Marshal and FLAIR</p>	<p><b>Recommendation 1:</b> We have contacted the Bureau of State Payroll (BOSP) to obtain access to their information, which is the source of the salary information used by People First. The BOSP information will be used for the wage calculations on claims. The employing agencies and universities are required by administrative rule to submit the completed Form DFS-F2-DWC-1a to Risk Management.</p> <p><b>Recommendation 2:</b> We will submit a legislative proposal to the CFO for her approval for inclusion in the LBR for the next session.</p> <p><b>Recommendation 3:</b> We will send notification to the state agencies asking them to notify FCHR and EEOC of filings that are likely to result in a lawsuit., but do not agree as to the amount in the report that could result as cost savings.</p> <p><b>Recommendation 4:</b> We will provide any property specific information available from the State Fire Marshal's office to our commercial insurers.</p> <p><b>Recommendation 5:</b> We agree and will determine if the State Fire Marshal is willing to develop a consolidated data base of state owned property relevant to both functions.</p> <p><b>Recommendation 6:</b> We disagree with this recommendation. We do not feel is feasible, beneficial or appropriate to have the DFS determine building values for other state agencies' property.</p> <p><b>Recommendation 7:</b> We agree with this recommendation and have contacted the Interagency Advisory Council (IAC) chairman to have the IAC review the proposed rule.</p> <p><b>Recommendation 8:</b> We agree with this recommendation and will develop a new methodology for premium assessment calculation to provide an enhanced incentive for state agencies to improve current loss performance, by including outcome measures which better factor in recent agency performance during the prior fiscal year.</p>	

**SCHEDULE IX: MAJOR AUDIT FINDINGS AND RECOMMENDATIONS**

**Budget Period: 2009- 2010**

**Department:** Financial Services

**Chief Internal Auditor:** Sally Moniz

**Budget Entity** Office of the Inspector General

**Phone Number:** (850) 413-4964

(1)	(2)	(3)	(4)	(5)	(6)
REPORT NUMBER	PERIOD ENDING	UNIT/AREA	SUMMARY OF FINDINGS AND RECOMMENDATIONS	SUMMARY OF CORRECTIVE ACTION TAKEN	ISSUE
OIG 09004	6/30/08	Division of Administration Bureau of Financial and Support Services Cash Receipts Section	<p><b>Finding :</b> Over-the-counter payments cost more to process than electronic payments</p> <p><b>Finding:</b> Lack of payment receipt data increases risk of loss and prevents reliable performance measurement</p> <p><b>Recommendation 1 :</b> Promote increased use of electronic payments</p> <p><b>Recommendation 2 :</b> Consider outsourcing selected OTC payment receipt processing functions to the Department of Revenue</p> <p><b>Recommendation 3 :</b> Require a periodic reconciliation of OTC payment receipt data with bank deposit information.</p> <p><b>Recommendation 4 :</b> Require that OTC payments received in district offices be deposited locally</p> <p><b>Recommendation 5 :</b> Delegate to the DOA Director, the responsibility for effective implementation of all payment receipt processing procedures</p> <p><b>Recommendation 6 :</b> Develop measures to monitor the performance of the cash receipt process</p> <p>Recommendation 7: To ensure that the program produces cost-effective risk management systems, the efforts of the Division and state agencies must be coordinated.</p> <p>Finding: Agency premium assessments provide little incentive for state agencies</p> <p>Recommendation 8: To help ensure that agency safety programs and other related risk management systems are achieving intended objectives, we recommend that the Division adopt agency-specific outcome measures and use these measures to develop a new methodology to calculate premium assessments.</p>	<p><b>Recommendation 1:</b> The Division of Administration(DOA) will identify potential payments that can be submitted electronically .</p> <p><b>Recommendation 2:</b> DOA will work with the Office of Strategic Planning (OSP) to facilitate a business case analysis to ascertain the costs and benefits of outsourcing the over-the-counter (OTC) payment receipt processing function to the Department of Revenue (DOR). The DOA has begun discussions with the DOR. If the analysis determines outsourcing all or a portion of OTC payments to the DOR is not feasible, we will explore requiring all OTC payments to be submitted directly to the DOA for deposit.</p> <p><b>OIG Comment:</b> Our analysis shows outsourcing cash receipting and depositing functions to DOR will results in a cost savings of .34 per payment. In addition, outsourcing to DOR will relieve the requirement to record receipt of these payments by the department, thus avoiding the need for additional FTEs.</p> <p><b>Recommendation 3 :</b> For payments that can't be submitted electronically or those found not to be cost beneficial for outsourcing, the AP&amp;P will be modified to require the recording of unique identifier information for each payment received by DFS and to ensure periodic reconciliation of payment information with bank deposit information.</p> <p><b>Recommendation 4:</b> For payments that can't be submitted electronically or those found not to be cost beneficial for outsourcing, DOA will work with the Treasury and the other's to determine the feasibility of district offices depositing OTC payments locally.</p> <p><b>OIG Comment:</b> We do not believe that local deposit of payments received by district offices would require modifications to RCP and CODA.</p> <p><b>Recommendation 5:</b> AP&amp;P will be modified to delegate authority to the Division Director of DOA by no later than September 30, 2009.</p> <p><b>Recommendation 6 :</b> The Division already measures a number of performance activities. We will work with the different business areas to capture performance measures such as average cost to process a payment receipt and the average time from initial receipt of a payment to bank deposit by September 30, 2009.</p>	



**SCHEDULE IX: MAJOR AUDIT FINDINGS AND RECOMMENDATIONS**

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REPORT NUMBER	PERIOD ENDING	UNIT/AREA	SUMMARY OF FINDINGS AND RECOMMENDATIONS	SUMMARY OF CORRECTIVE ACTION TAKEN	ISSUE
OIG 09030	6/30/08	Division of Treasury/Funds Management	<p><b>Finding:</b> Performance of contracted investment managers did not meet expectations in FY 2007-08.</p> <p><b>Finding:</b> External oversight of investment policies and procedures is limited.</p> <p><b>Finding:</b> External financial advisory services can provide independent assessment that investment objectives are being achieved</p> <p><b>Recommendation 1:</b> Advisory services should include an annual assessment of investment performance as compared to established performance benchmarks.</p> <p><b>Recommendation 2:</b> Advisory services should include a biennial audit of Treasury's compliance with its policies and procedures.</p> <p><b>Recommendation 3:</b> Advisory services should include a review of each investment policy every four years. A quadrennial review of the objectives and guidelines for Treasury Pool investment will allow for revision of investment policies for changes in strategies, investment authorities, and operational conditions.</p> <p><b>Finding:</b> To comply with the statutory guidelines and legislative intent, the Certificate of Deposit Program should be modified.</p> <p><b>Recommendation 4:</b> To ensure the investment strategy fully conforms with legislative intent, Treasury should either work with the Legislature to change existing statutory language or ensure that all funds not needed immediately should be first offered to Qualified Public Depositories willing to pay an established minimum interest rate before investing these funds in longer-term securities.</p> <p><b>Finding:</b> The Certificate of Deposit Program can be enhanced to provide a direct contribution to economic development in Florida.</p> <p><b>Recommendation 5:</b> To further stimulate economic activity in the State, we recommend that Treasury consider available alternatives to promote economic development in Florida through its CD Program. Several other state treasuries utilize funds not needed for immediate disbursements to promote economic development.</p>	<p><b>Recommendation 1:</b> Investment performance is currently reviewed by Treasury management semi-annually for the external investment managers and annually for the internal investment portfolios. Performance is compared against established benchmarks. Treasury management is unaware of any other investment programs that have similar characteristics that could be used for peer review.</p> <p><b>Recommendation 2:</b> As of the beginning of March 2009, we have been obtaining daily compliance testing reports from our custody bank for investment policy items that can be verified systematically. We are looking for economical ways to obtain compliance testing on the remaining items. We are obtaining quotes from external consulting firms and reviewing internal options. We anticipate that complete compliance testing will be performed on a minimum of a monthly basis beginning with the month of April, 2009.</p> <p><b>Recommendation 3:</b> We are currently in the process of obtaining such services via an external consulting firm. A requirement set forth in the proposed agreement with the external consulting firm is the consultant will review program policies and procedures (including Investment Guidelines), as requested by the Department, and make recommendations. We anticipate initiating the first review at the end of this fiscal year.</p> <p><b>Recommendation 4:</b> It is the intent of Treasury management to seek an amendment to Section 17.57(2), Florida Statutes during the 2010 session of the Florida Legislature.</p> <p><b>Recommendation 5:</b> The Division of Treasury will seek to devise an investment program that will promote economic development in Florida. The target date for implementation of such a program is during the 2009-2010 fiscal year.</p>	
AG 2009-004	3/31/08	Division of Treasury and Information Services (IT Operational Audit)	<p><b>Finding 1:</b> Program change controls for the Treasury systems needed improvement.</p> <p><b>Recommendation:</b> Ensure that all program changes are properly authorized, designed, tested, and implemented in a manner consistent with management's intent.</p> <p><b>Finding 2:</b> Some excessive and inappropriate system access privileges existed. &amp; terminated and reassigned employees' access privileges were not removed timely</p> <p><b>Recommendation:</b> Continue to modify or remove system access privileges of current and former employees and others.</p> <p><b>Finding 3:</b> Aspects of the Department's practices for managing access privileges needed improvement.</p> <p><b>Recommendation:</b> Ensure that authorization of all access privileges for associated with the Treasury systems is documented .</p> <p><b>Finding 4:</b> Department security and application controls needed improvement.</p>	<p><b>Finding 1:</b> Completed</p> <p><b>Finding 2:</b> Completed</p> <p><b>Finding 3:</b> Completed.</p> <p><b>Finding 4:</b> The Division has implemented appropriate security controls.</p>	

**SCHEDULE IX: MAJOR AUDIT FINDINGS AND RECOMMENDATIONS**

**Budget Period: 2009- 2010**

**Department:** Financial Services

**Chief Internal Auditor:** Sally Moniz

**Budget Entity** Office of the Inspector General

**Phone Number:** (850) 413-4964

(1)	(2)	(3)	(4)	(5)	(6)
REPORT NUMBER	PERIOD ENDING	UNIT/AREA	SUMMARY OF FINDINGS AND RECOMMENDATIONS	SUMMARY OF CORRECTIVE ACTION TAKEN	ISSUE
AG 2009-014	12/31/07	Local Gov't Financial Reporting System (Performance Audit)	<p><b>Finding 1:</b> Some local governments continued to file paper-based annual financial reports rather than file electronically.  <b>Recommendation:</b> Annual Reports should be filed electronically</p> <p><b>Finding 2:</b> DFS's required notification to the Legislative Auditing Committee of unaudited local governments that had not submitted an annual financial report for the 2005-06 fiscal year did not include 12 special districts.  <b>Recommendation:</b> DFS should continue its technical assistance to smaller local governments to assist them with proper completion and filing of the AFR.</p> <p><b>Finding 3:</b> The implementation of the Local Government Electronic Reporting System, some unaudited local governments were still not reporting the required financial information on their annual financial reports to DFS  <b>Recommendation:</b> DFS should continue its technical assistance to smaller local governments to assist them with proper completion and filing of the AFR.</p>	<p><b>Finding 1:</b> Rule 69I-5.003, F.A.C., requiring electronic submission of the Annual Financial Report (AFR) has been approved by the Chief Financial Officer and is presently slated for an upcoming public workshop on March 31, 2009, at 10:00 a.m.</p> <p><b>Finding 2:</b> With LOGER's new reporting system operational, all reporting entities that do not submit an AFR are noted as non-compliant. There is a distinct accounting of all independent special districts that have not submitted an independent AFR. In cases where the independent special district is a component unit of the governing authority, they will still have their data reflected by the primary government but will now also have to report independently as well.</p> <p><b>Finding 3:</b> This continues to be a priority of the Bureau. The most recent example was creating and distributing a crosswalk between the Local Government Chart of Accounts and the HUD Chart of Accounts. This crosswalk has been instrumental in the FHA submission rate of the AFR. Housing Authorities, being small staffed and primarily federally funded, have been a long time compliance issue. We, and the Legislative Auditing Committee, have noticed a promising increase in the rate of Housing Authority submissions of the AFR, present and past cycles, since the release of the crosswalk.</p>	
AG 2009-053	6/30/08	Florida Accounting Information Resource Subsystem (IT Operational Audit)	<p><b>Finding 1:</b> DFS did not remove the access privileges timely  <b>Recommendation:</b> DFS should continue to enhance its procedures to ensure that the access privileges of all former and reassigned employees are removed in a timely manner.</p> <p><b>Finding 2:</b> The primary DAC access control custodian shared a user identification (ID) with a backup access control custodian.  <b>Recommendation:</b> DFS should continue to assign individual IDs.</p> <p><b>Finding 3:</b> DFS lacked procedures for the Statewide Financial Statements (SWFS) Subsystem security administration process and for the reconciliation of data loaded from the Purchasing Card Module and into the Information Warehouse.  <b>Recommendation:</b> Written procedures should be established.</p> <p><b>Finding 4:</b> Department security and application controls needed improvement.  <b>Recommendation:</b> Appropriate security controls to ensure the continued confidentiality, integrity, and availability of DFS data and IT resources should be implemented.</p> <p><b>Finding 5:</b> We noted a program error in the salary refund calculation of net pay.  <b>Recommendation:</b> Efforts to implement the appropriate programming changes to prevent future occurrences of salary refund calculation errors should be continued.</p> <p><b>Finding 6:</b> Staff did not follow established job scheduling procedures during a nightly production run.  <b>Recommendation:</b> The necessary steps should be taken to reinforce to staff the importance of following established procedures.</p> <p><b>Finding 7:</b> An approved baseline firewall configuration had not established .  <b>Recommendation:</b> DFS should ensure that the baseline firewall configuration continues to be appropriately documented.</p> <p><b>Finding 8:</b> The release of output data tapes to other entities was not consistently documented.  <b>Recommendation:</b> DFS should reinforce to staff the importance of following established output data tape handling procedures.</p> <p><b>Finding 9:</b> On July 16, 2008, a fraud occurred that resulted in \$5,700,352 in vendor electronic funds transfer (EFT) payments being inappropriately diverted to the bank account of a third party.  <b>Recommendation:</b> DFS should implement the appropriate internal controls to ensure the integrity of Department data and the processing of EFT payments.</p>	<p><b>Finding 1:</b> The Division's access control team has completed the access control procedures for 17 of the 19 applications owned by the Division. The procedures for the remaining 2 applications will be completed by June 30, 2009. The Division of Administration(DOA) has made internal personnel changes to ensure the Accountant III who is the primary access control administrator has the necessary skills to perform these duties. This individual has been trained on how to properly remove/update access privileges. The Division of Information Systems has been completed this action.</p> <p><b>Finding 2:</b> This action has been completed.</p> <p><b>Finding 3:</b> DOA has established written procedures for access control related to the SWFS. DIS procedures to reconcile the data load from the Purchasing Card Module were written and are effective.</p> <p><b>Finding 4:</b> DFS is continuing its efforts to implement appropriate security controls to ensure the continued confidentiality, integrity, and availability of Department data and IT resources.</p> <p><b>Finding 5:</b> The Division of Auditing &amp; Auditing implemented the second report for daily verification on February 11, 2009 and will continue to monitor for out-of-balance situations and address any discrepancies. DIS implemented the appropriate programming changes were implemented on August 11, 2008.</p> <p><b>Finding 6:</b> This action has been completed.</p> <p><b>Finding 7:</b> This action has been completed.</p> <p><b>Finding 8:</b> This action has been completed.</p> <p><b>Finding 9:</b> The Department, has revised and expanded its EFT procedures</p>	

**SCHEDULE IX: MAJOR AUDIT FINDINGS AND RECOMMENDATIONS**

**Budget Period: 2009- 2010**

**Department:** Financial Services

**Chief Internal Auditor:** Sally Moniz

**Budget Entity** Office of the Inspector General

**Phone Number:** (850) 413-4964

(1)	(2)	(3)	(4)	(5)	(6)
REPORT NUMBER	PERIOD ENDING	UNIT/AREA	SUMMARY OF FINDINGS AND RECOMMENDATIONS	SUMMARY OF CORRECTIVE ACTION TAKEN	ISSUE
AG 2009-091	6/30/08	DFS Bureau of Unclaimed Property (Operational Audit)	<p><b>Finding 1:</b> Distribution of UPMIS Compact Discs                      Recommendation: The Department should consider the risks posed by the production and distribution of UPMIS CDs and evaluate whether these activities should be continued.</p> <p><b>Finding 2:</b> Monitoring Locator Compliance                      Recommendation: The Department should take action to seek refunds from locators for any improperly paid fees for the claims cited above and remit such refunds to the applicable owners.</p> <p><b>Finding 3:</b> Waiving Penalties for Late Reports                      Recommendation: The Bureau should revise its Waiver Policy to provide for periodic and independently performed reconciliations between waived penalties in UPMIS and approved Waiver Forms.</p> <p><b>Finding 4:</b> Delivery of Securities                      Recommendation: The Bureau should take steps to ensure that all securities are consistently and expeditiously transferred to the Department's established investment service provider.</p> <p><b>Finding 5:</b> Investment Worksheets                      Recommendation: The Bureau should immediately, and periodically thereafter, reconcile all investment worksheets to UPMIS.</p> <p><b>Finding 6:</b> Physical Security Controls                      Recommendation: The Department should strengthen physical security controls in the areas noted.</p>	<p><b>Finding 1:</b> Conducted four independent reconciliations of the public record logs, and there have been no unresolved discrepancies.</p> <p><b>Finding 2:</b> Bureau of Unclaimed Property and Division of Information Systems have implemented additional UPMIS enhancements, eliminating the ability to process a claim that violates the 45-day provision. Efforts to collect refunds from claimant's representatives are ongoing.</p> <p><b>Finding 3:</b> Completed. Prior to January 31, 2009, Bureau of Unclaimed Property implemented and/or updated existing procedures related to assessment and waiver of holder penalties.</p> <p><b>Finding 4:</b> Previously completed.</p> <p><b>Finding 5:</b> In Progress. Bureau of Unclaimed Property staff has diligently worked to update all applicable investment spreadsheets with activity reflected on the calendar year end statements, and reconciled the spreadsheets with UPMIS. UPMIS enhancements in this area are ongoing, with a revised completion date of December 31, 2009.</p> <p><b>Finding 6:</b> Completed.</p>	
AG 2009-144	6/30/08	Compliance and Internal Controls Over Financial Reporting and Federal Awards (Audit in Accordance)	<p><b>Finding:</b> DFS did not have effective IT general controls in place to ensure the integrity and reliability of data relating to Special Disability Trust Fund claims.                      Recommendation : Applicable IT general controls should be strengthened.</p>	All sub grant agreements now state that the effective date coincides with the effective dates of the agreement between the Division of Emergency Management and the Department of Financial Services. Additionally, Requests for Reimbursements are submitted to the Reconciliation Unit within the Division of Administration to ensure that payments are within the contract period.	
AG 2010-005	1/31/09	DFS & Selected Participating State Agencies Payment Card Programs (IT Operational Audit)	<p><b>Finding 1:</b> DFS and AEIT Guidance for Agency Payment Card Programs                      Recommendation : DFS and AEIT should work together to establish and document a process for guiding State agencies in establishing an adequate level of security over cardholder data within agency payment card programs. As a part of this effort, DFS and AEIT should establish written guidance for the agencies in maintaining security over cardholder data and complying with applicable provisions of the PCI Data Security Standard. DFS and AEIT should also consider legally available options for responding to instances of agency noncompliance with established guidance or PCI standards. Furthermore, DFS and AEIT should seek clarification in State law, as appropriate, regarding their responsibilities in ensuring that payment card programs use an appropriate technical approach and provide adequate security over cardholder data.</p> <p><b>Finding 2:</b> DFS Payment Card Program Rules and Other Guidance. D39                      Recommendation: DFS should update its rules to reflect current procedures for the establishment and acceptance of payment cards by State agencies or the judicial branch. In addition, DFS should update its Web site to provide agencies with access to current payment card information and required forms.</p>	<p><b>Finding 1:</b> The Division of Treasury will work with the AEIT to draft legislation that clearly defines program responsibility. We believe legislation should assign oversight of Payment Card Industry (PCI) Data Security Standards to the Chief Financial Officer, providing the CFO authority to set compliance standards and to require annual reporting by agencies of their PCI compliance efforts.</p> <p><b>Finding 2:</b> We agree the information included in Rule 69C-4, FAC and on the Treasury Web site needed updating. Treasury staff is in the process of making the recommended updates to Rule 69C-4, FAC. In addition, all Web site links noted in the finding have been updated with current information and materials.</p>	

Policy and Budget - July, 2008

**SCHEDULE IX: MAJOR AUDIT FINDINGS AND RECOMMENDATIONS**

**Budget Period: 2008 - 2009**

**Department:** Office of Insurance Regulation

**Chief Internal Auditor:** Bonnie Deering

**Budget Entity:** 43900120

**Phone Number:** (850) 413-4975

(1) REPORT NUMBER	(2) PERIOD ENDING	(3) UNIT/AREA	(4) SUMMARY OF FINDINGS AND RECOMMENDATIONS	(5) SUMMARY OF CORRECTIVE ACTION TAKEN	(6) ISSUE CODE
08/09-0055	6/10/2009	Agency wide - Contract Management	<p>The Office of Inspector General reviewed the contracting function within the Office of Insurance Regulation (OIR) and found the following:</p> <ul style="list-style-type: none"> <li>- Policies and procedures relating to contract management and administration should be developed and/or strengthened;</li> <li>- Consistent core requirements or similarly formatted Scope of Services documents should be developed;</li> <li>- A tracking protocol needs to be developed;</li> </ul> <ul style="list-style-type: none"> <li>- The OIR Contract Administrator should complete the Florida Certified Contract Manager training offered through DMS and contract administration training should be provided for other OIR employees involved in this function;</li> <li>- Internal control over the contract management function should be improved;</li> <li>- The Contract Administrator role should be expanded to serve as a central repository and administrative function.</li> </ul>	<p>OIR has agreed to the following:</p> <ul style="list-style-type: none"> <li>- OIR will adopt DFS AP&amp;P 2-2 Purchase of Commodities/Contractual Services with minor modifications and develop a Contract Procurement User Guide by October 1, 2009.</li> <li>- OIR will create a standard contract that will fulfill all statutory requirements. The OIR Legal Services will assist in customizing contract language for specific types of contracts.</li> <li>- OIR will create a contract numbering system for monitoring all OIR contracts and to retain the information in a centralized location. The standard contract and numbering system will be completed by October 1, 2009.</li> </ul> <ul style="list-style-type: none"> <li>- The Deputy Chief of Staff and the OIR Budget, Personnel and Contract Manager have completed the Certified Contract Management Training.</li> <li>- The OIR Office Contract Procurement User Guide will include a comprehensive listing of control mechanisms required for each contract.</li> <li>- A routing document will be included in each file to demonstrate appropriate approvals by Legal Services and OIR management by October 1, 2009.</li> </ul>	

2009-036	March 2006 - February 2008	Applications Coordination Electronic Document Management System (AppCord)	<p>The Auditor General conducted an operational audit of selected general and application controls related to the Applications Coordination Electronic Document Management System. The Auditor General found that the change management controls could be enhanced and recommended that documentation of user acceptance testing and approval of all Applications System program changes be maintained. The Auditor General also found that the scanning and indexing process could be enhanced by implementing batch processing controls that ensure all documents received within an application package are processed. It was recommended that OIR implement input controls to include counting and recording the total number of documents in an application package prior to scanning and indexing. Such counts should be compared to system-generated count totals upon completion of the scanning and indexing process.</p> <p>The Auditor General found that security controls over user access to the Applications System needed improvement and recommended OIR strengthen its IT security controls related to the management of access privileges and should maintain all user access documentation.</p>	<p>The OIR concurred with all findings and recommendations. Each program change currently is numbered using change management numbers; developed in a development environment; tested in a testing and production environment; approved by system owners in both test and production environments; and implemented following approval by the affected application system owner. The OIR has developed and implemented an internal procedure to reflect the recommendation related to batch processing controls.</p> <p>The OIR has adopted the DFS AP&amp;P 4-05 - Application Access Controls and determined that development of a separate AP&amp;P by OIR that addresses application access control is no longer necessary. Access controls for the OIR includes appropriate and timely action for requesting, approving, assigning and removing user access accounts; periodic review of user access privileges; and the use of controls that assure effective administration, management and control of application system access privileges.</p>
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2009-032	March 2006 - February 2008	Financial Analysis and Monitoring Electronic Document Management System (FAME)	<p>The Auditor General conducted an operational audit of selected general and application controls related to the Financial Analysis and Monitoring Electronic Document Management System (FAME) and found that OIR change management controls should be enhanced and recommended that OIR request that Project Status Report include change management request numbers and that OIR ensure that documentation of user acceptance testing and approval is maintained. The Auditor General found that OIR had not established written policies and procedures related to FAME user access and OIR logical access controls over FAME needed improvement. The Auditor General recommended that OIR establish and implement written procedures that address requesting, approving, assigning, reviewing and removing user access accounts and OIR should ensure that these procedures require revocation of access privileges immediately upon employee termination. It was also recommended that OIR strengthen its IT security controls related to the management of access privileges.</p> <p>The Auditor General found that scanning and indexing procedures should be enhanced to better ensure that information is accurately and completely entered into FAME. The Auditor General recommended OIR enhance its scanning and indexing process to ensure that information is recorded accurately, completely and timely in FAME through appropriate data verification procedures including supervisory or independent review and approval.</p>	<p>The OIR concurred with all findings and recommendations. Each program change currently is numbered using change management numbers; developed in a development environment; tested in a testing and production environment; approved by system owners in both test and production environments; and implemented following approval by the affected application system owner. The OIR adopted the DFS AP&amp;P 4-05 - Application Access Controls and determined that development of a separate AP&amp;P by OIR that addresses Application Access Control is no longer necessary. Access controls for the OIR includes appropriate and timely action for requesting, approving, assigning and removing user access accounts; periodic reviews of user access privileges and the use of controls that assure effective administration, management and control of application system access privileges.</p> <p>The OIR has developed and implemented an internal procedure to reflect the recommendation related to batch processing controls.</p>	
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**SCHEDULE IX: MAJOR AUDIT FINDINGS AND RECOMMENDATIONS**

**Budget Period: 2010 -2011**

**Department:** Office of Financial Regulation

**Chief Internal Auditor:** Karen Calhoun

43900530, 43900560, 43900570  
43900540,

**Budget Entity:** 43900550

**Phone Number:** (850)410-9674

(1) REPORT NUMBER	(2) PERIOD ENDING	(3) UNIT/AREA	(4) SUMMARY OF FINDINGS AND RECOMMENDATIONS	(5) SUMMARY OF CORRECTIVE ACTION TAKEN	(6) ISSUE CODE
07/08-001-A	September-08	Agency-wide	<p><b>Finding:</b> For the six-month billing cycles examined, thirty of seventy-five (40%) mobile communication devices (cell phones/blackberries) were used 50% or less of the time. Twenty-eight of these thirty devices are on a shared basis. Fourteen of the thirty devices were not used at all.</p>	<p><b>Management’s Comments:</b> Each Division/Bureau has assessed the number of mobile devices required in order to meet their individual business needs to determine alternate options for devices and eliminate the payment for unused equipment. This assessment required re-evaluating the need for mobile devices by specific individuals within the agency as well as conducting a review of alternative mobile plans to determine possible cost savings. As stated, OFR is also examining the possibility of a perquisite for employees who routinely need a mobile device for business purposes and will update agency policy accordingly.</p>	
			<p><b>Recommendation:</b> OFR should: • Determine the agency’s cell phone needs. • Modify the Cellular Phone Usage policy to reflect agency decisions. • Update agency cell phone plans to reflect decisions.</p>		

2009-110	December-08	State-chartered Banks and Credit Unions	<b>Finding:</b> OFR did not adequately document, through the use of its established worksheets and the elements of de novo bank applications that were reviewed for compliance with the requirements of Florida law and rules.	<b>OFR Response:</b> We will adopt checklists and/or worksheets to document our existing de novo application review process. We will also update our policies and procedures to incorporate these checklists and/or worksheets and their use.	
			<b>Recommendation:</b> To promote the consistent review of de novo bank applications, as well as better ensure documentation and transfer of institutional knowledge, OFR should amend its current policies and procedures to require the completion of the established worksheets and checklists. To better facilitate the use of these documents, OFR should consider the development of a checklist encompassing into one standard document all of the review requirements pertinent to an application for a de novo bank.		
			<b>Finding:</b> OFR had not established written procedures related to on-going surveillance of State-chartered financial institutions.	<b>OFR Response:</b> We are working on a policy to adopt current practices.	
			<b>Recommendation:</b> We recommend that OFR adopt written surveillance procedures.		



## Fiscal Year 2010-11 LBR Technical Review Checklist

Department/Budget Entity (Service): Financial Services/Office of the Chief Financial Officer and Administration

Agency Budget Officer/OPB Analyst Name: Sarah Goodman/Walter Liebrich

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)				
	43010100	41010200	41010300	41010400	41010500

<b>1. GENERAL</b>						
1.1	Are Columns A01, A02, A04, A05, A10, A11, A36, IA1, IV1, IV3 and NV1 set to TRANSFER CONTROL for DISPLAY status and MANAGEMENT CONTROL for UPDATE status for both the Budget and Trust Fund columns? Are Columns A06, A07, A08 and A09 for Fixed Capital Outlay (FCO) set to TRANSFER CONTROL for DISPLAY status only? <b>(CSDI)</b>	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? <b>(CSDI)</b>	Y	Y	Y	Y	Y
<b>AUDITS:</b>						
1.3	Has Column A03 been copied to Column A12? Run the Exhibit B Audit Comparison Report to verify. <b>(EXBR, EXBA)</b>	Y	Y	Y	Y	Y
1.4	Has security been set correctly? <b>(CSDR, CSA)</b>	Y	Y	Y	Y	Y
<b>2. EXHIBIT A (EADR, EXA)</b>						
2.1	Is the budget entity authority and description consistent with the agency's LRPP and does it conform to the directives provided on page 56 of the LBR Instructions?	Y	Y	Y	Y	Y
2.2	Are the statewide issues generated systematically (estimated expenditures, nonrecurring expenditures, etc.) included?	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 27)? Do they clearly describe the issue?	Y	Y	Y	Y	Y
2.4	Have the coding guidelines in <i>Section 3</i> of the LBR Instructions (pages 15 through 27) been followed?	Y	Y	Y	Y	Y
<b>3. EXHIBIT B (EXBR, EXB)</b>						
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	Y	Y	Y	Y

Action		Program or Service (Budget Entity Codes)				
		43010100	41010200	41010300	41010400	41010500
<b>AUDITS:</b>						
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? ( <b>NACR, NAC - Report should print "No Negative Appropriation Categories Found"</b> )	Y	Y	Y	Y	Y
3.3	Current Year Estimated Verification Comparison Report: Is Column A02 equal to Column B07? ( <b>EXBR, EXBC - Report should print "Records Selected Net To Zero"</b> )	Y	Y	Y	Y	Y
<b>4. EXHIBIT D (EADR, EXD)</b>						
4.1	Is the program component objective statement consistent with the agency LRPP, and does it conform to the directives provided on page 59 of the LBR Instructions?	Y	Y	Y	Y	Y
4.2	Is the program component code and title used correct?	Y	Y	Y	Y	Y
<b>5. EXHIBIT D-1 (ED1R, EXD1)</b>						
5.1	Are all object of expenditures positive amounts? (This is a manual check.)	Y	Y	Y	Y	Y
<b>AUDITS:</b>						
5.2	Do the fund totals agree with the object category totals within each appropriation category? ( <b>ED1R, XD1A - Report should print "No Differences Found For This Report"</b> )	Y	Y	Y	Y	Y
5.3	FLAIR Expenditure/Appropriation Ledger Comparison Report: Is Column A01 less than Column B04? ( <b>EXBR, EXBB - Negative differences need to be corrected in Column A01.</b> )  <i>Please note that the LBR Instructions reference the wrong B column.</i>	Y	Y	Y	Y	Y
5.4	A01/State Accounts Disbursements and Carry Forward Comparison Report: Does Column A01 equal Column B08? ( <b>EXBR, EXBD - Differences need to be corrected in Column A01.</b> )  <i>Please note that the LBR Instructions reference the wrong B column.</i>	Y	Y	Y	Y	Y

Action	Program or Service (Budget Entity Codes)				
	43010100	41010200	41010300	41010400	41010500
<b>6. EXHIBIT D-3 (ED3R, ED3) (Not required in the LBR - for analytical purposes only.)</b>					
6.1 Are issues appropriately aligned with appropriation categories?	Y	Y	Y	Y	Y
<b>7. EXHIBIT D-3A (EADR, ED3A)</b>					
7.1 Are the issue titles correct and do they clearly identify the issue? (See pages 15 through 31 of the LBR Instructions.)	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 page 65 of the LBR Instructions.)	Y	Y	Y	Y	Y
7.3 Does the narrative for Information Technology (IT) issue follow the additional narrative requirements described on pages 66 through 70 of the LBR Instructions?	Y	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
7.5 Does the issue narrative explain any variances from the Standard Expense and Human Resource Services Assessments package? Is the nonrecurring portion in the nonrecurring column? (See pages E-4 and E-5 of the LBR Instructions.)	Y	Y	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	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	Y	Y	Y
7.8 Does the issue narrative include the Consensus Estimating Conference forecast, where appropriate?	Y	Y	Y	Y	Y
7.9 Does the issue narrative reference the specific county(ies) where applicable?	Y	Y	Y	Y	Y

Action	Program or Service (Budget Entity Codes)				
	43010100	41010200	41010300	41010400	41010500
7.10 Do the 160XXX0 issues reflect budget amendments that have been approved (or in the process of being approved) and that have a recurring impact (including Lump Sums)? Have the approved budget amendments been entered in Column A18 as instructed in Memo #10-002?	Y	Y	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. <b>(PLRR, PLMO)</b>	Y	Y	Y	Y	Y
7.12 Does the issue narrative include plans to satisfy additional space requirements when requesting additional positions?	Y	Y	Y	Y	Y
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
7.14 Do the amounts reflect appropriate FSI assignments?	Y	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 26 and 86 of the LBR Instructions.)	Y	Y	Y	Y	Y
7.16 Do the issues relating to <i>Information Technology (IT)</i> have a "C" in the sixth position of the issue code (36XXXCX) and are the correct issue codes used (361XXC0, 362XXC0, 363XXC0, 17C01C0, 17C02C0, 17C03C0, 24010C0, 33001C0 or 55C01C0)?	Y	Y	Y	Y	Y
7.17 Are the issues relating to <i>major audit findings and recommendations</i> properly coded (4A0XXX0, 4B0XXX0)?	Y	Y	Y	Y	Y
<b>AUDIT:</b>					
7.18 Are all FSI's equal to '1', '2', '3', or '9'? There should be no FSI's equal to '0'. <b>(EADR, FSIA - Report should print "No Records Selected For Reporting")</b>	Y	Y	Y	Y	Y
7.19 Does the General Revenue for 160XXXX issues net to zero? <b>(GENR, LBR1)</b>	Y	Y	Y	Y	Y
7.20 Does the General Revenue for 180XXXX issues net to zero? <b>(GENR, LBR2)</b>	Y	Y	Y	Y	Y
7.21 Does the General Revenue for 200XXXX issues net to zero? <b>(GENR, LBR3)</b>	Y	Y	Y	Y	Y
7.22 Have FCO appropriations been entered into the nonrecurring column A04? <b>(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) )</b>	Y	Y	Y	Y	Y

Action	Program or Service (Budget Entity Codes)									
	43010100	41010200	41010300	41010400	41010500					
<b>8. SCHEDULE I &amp; RELATED DOCUMENTS (SC1R, SC1 - Budget Entity Level or SC1R, SC1D - Department Level)</b>										
8.1	Has a separate department level Schedule I and supporting documents package been submitted by the agency?					Y	Y	Y	Y	Y
8.2	Has a Schedule I been completed in LAS/PBS for each operating trust fund?					Y	Y	Y	Y	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	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?					Y	Y	Y	Y	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	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
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
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/A	N/A	N/A	N/A	N/A
8.9	Are the revenue codes correct? In the case of federal revenues, has the agency appropriately identified direct versus indirect receipts (object codes 000700, 000750, 000799, 001510 and 001599)?					Y	Y	Y	Y	Y
8.10	Are the statutory authority references correct?					Y	Y	Y	Y	Y
8.11	Are the General Revenue Service Charge percentage rates used for each revenue source correct? (Refer to Chapter 2009-78, Laws of Florida, for appropriate general revenue service charge percentage rates.)					Y	Y	Y	Y	Y
8.12	Is this an accurate representation of revenues based on the most recent Consensus Estimating Conference forecasts?					Y	Y	Y	Y	Y
8.13	If there is no Consensus Estimating Conference forecast available, do the revenue estimates appear to be reasonable?					Y	Y	Y	Y	Y

Action	Program or Service (Budget Entity Codes)				
	43010100	41010200	41010300	41010400	41010500
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
8.15 Are anticipated grants included and based on the state fiscal year (rather than federal fiscal year)?	Y	Y	Y	Y	Y
8.16 Are the Schedule I revenues consistent with the FSI's reported in the Exhibit D-3A?	Y	Y	Y	Y	Y
8.17 If applicable, are nonrecurring revenues entered into Column A04?	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?	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?	Y	Y	Y	Y	Y
8.20 Are appropriate service charge nonoperating amounts included in Section II?	Y	Y	Y	Y	Y
8.21 Are nonoperating expenditures to other budget entities/departments cross-referenced accurately?	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
8.23 Are nonoperating expenditures recorded in Section II and adjustments recorded in Section III?	Y	Y	Y	Y	Y
8.24 Are prior year September operating reversions appropriately shown in column A01?	Y	Y	Y	Y	Y
8.25 Are current year September operating reversions appropriately shown in column A02?	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
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	Y	Y	Y	Y
8.28 Does Line I of Column A01 (Schedule I) equal Line K of the Schedule IC?	Y	Y	Y	Y	Y
<b>AUDITS:</b>					
8.29 Is Line I a positive number? (If not, the agency must adjust the budget request to eliminate the deficit).	Y	Y	Y	Y	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? <b>(SC1R, SC1A - Report should print "No Discrepancies Exist For This Report")</b>	Y	Y	Y	Y	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. <b>(SC1R, DEPT)</b>	Y	Y	Y	Y	Y

Action	Program or Service (Budget Entity Codes)				
	43010100	41010200	41010300	41010400	41010500

9. SCHEDULE II (PSCR, SC2)						
AUDIT:						
9.1	Is the pay grade minimum for salary rate utilized for positions in segments 2 and 3? ( <b>BRAR, BRAA - Report should print "No Records Selected For This Request"</b> ) Note: Amounts other than the pay grade minimum should be fully justified in the D-3A issue narrative. (See <i>Base Rate Audit</i> on page 156 of the LBR Instructions.)	Y	Y	Y	Y	Y
10. SCHEDULE III (PSCR, SC3)						
10.1	Is the appropriate lapse amount applied in Segment 3? (See page 88 of the LBR Instructions.)	Y	Y	Y	Y	Y
10.2	Are amounts in <i>Other Salary Amount</i> appropriate and fully justified? (See page 95 of the LBR Instructions for appropriate use of the OAD transaction.) Use <b>OADI</b> or <b>OADR</b> to identify agency other salary amounts requested.	Y	Y	Y	Y	Y
11. SCHEDULE IV (EADR, SC4)						
11.1	Are the correct Information Technology (IT) issue codes used?	Y	Y	Y	Y	Y
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	Y	Y	Y	Y
13. SCHEDULE VIIIB-1						
13.1	This schedule is not required in the October 15, 2009 LBR submittal.					
14. SCHEDULE VIIIB-2 (EADR, S8B2)						
14.1	Do the reductions comply with the instructions provided on pages 101 and 102 of the LBR Instructions regarding a 10% reduction in recurring General Revenue and Trust Funds?	Y	Y	Y	Y	Y

Action	Program or Service (Budget Entity Codes)				
	43010100	41010200	41010300	41010400	41010500
<b>15. SCHEDULE XI (LAS/PBS Web - see page 108 of the LBR Instructions for detailed instructions)</b>					
15.1 Has the Schedule XI one page summary Excel file been e-mailed to OPB at OPB.UnitCostSummary@laspbs.state.fl.us? Agencies are required to generate this spreadsheet via the LAS/PBS Web. (Note: Pursuant to <i>section 216.023(4)(b), Florida Statutes</i> , the Legislature can reduce the funding level for any agency that does not provide this information.)	Y	Y	Y	Y	Y
15.2 Do the PDF files uploaded to the Florida Fiscal Portal for the LRPP and LBR match the Excel file e-mailed to OPB?	Y	Y	Y	Y	Y
<b>AUDITS INCLUDED IN THE SCHEDULE XI REPORT:</b>					
15.3 Does the FY 2008-09 Actual (prior year) Expenditures in Column A36 reconcile to Column A01? ( <b>GENR, ACT1</b> )	Y	Y	Y	Y	Y
15.4 None of the executive direction, administrative support and information technology statewide activities (ACT0010 thru ACT0490) have output standards (Record Type 5)? ( <b>Audit #1 should print "No Activities Found"</b> )	Y	Y	Y	Y	Y
15.5 Does the Fixed Capital Outlay (FCO) statewide activity (ACT0210) only contain 08XXXX or 14XXXX appropriation categories? ( <b>Audit #2 should print "No Operating Categories Found"</b> )	Y	Y	Y	Y	Y
15.6 Has the agency provided the necessary demand (Record Type 5) for all activities which <u>should</u> appear in Section II? (Note: Audit #3 will identify those activities that do NOT have a Record Type '5' and have not been identified as a 'Pass Through' activity. These activities will be displayed in Section III with the 'Payment of Pensions, Benefits and Claims' activity and 'Other' activities. Verify if these activities should be displayed in Section III. If not, an output standard would need to be added for that activity and the Schedule XI submitted again.)	Y	Y	Y	Y	Y
15.7 Does Section I (Final Budget for Agency) and Section III (Total Budget for Agency) equal? ( <b>Audit #4 should print "No Discrepancies Found"</b> )	Y	Y	Y	Y	Y



Action	Program or Service (Budget Entity Codes)				
	43010100	41010200	41010300	41010400	41010500

**16. MANUALLY PREPARED EXHIBITS & SCHEDULES**

16.1	Do exhibits and schedules comply with LBR Instructions (pages 109 through 153 of the LBR Instructions), and are they accurate and complete?	Y	Y	Y	Y	Y
16.2	Are appropriation category totals comparable to Exhibit B, where applicable?	Y	Y	Y	Y	Y
16.3	Are agency organization charts (Schedule X) provided and at the appropriate level of detail?	Y	Y	Y	Y	Y

**AUDITS - GENERAL INFORMATION**

**17. CAPITAL IMPROVEMENTS PROGRAM (CIP)**

17.1	Are the CIP-2, CIP-3, CIP-A and CIP-B forms included?	Y	Y	Y	Y	Y
17.2	Are the CIP-4 and CIP-5 forms submitted when applicable (see CIP Instructions)?	Y	Y	Y	Y	Y
17.3	Do all CIP forms comply with CIP Instructions where applicable (see CIP Instructions)?	Y	Y	Y	Y	Y
17.4	Does the agency request include 5 year projections (Columns A03, A06, A07, A08 and A09)?	Y	Y	Y	Y	Y
17.5	Are the appropriate counties identified in the narrative?	Y	Y	Y	Y	Y

**18. FLORIDA FISCAL PORTAL**

18.1	Have all files been assembled correctly and posted to the Florida Fiscal Portal as outlined in the Florida Fiscal Portal Submittal Process?	Y	Y	Y	Y	Y
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## Fiscal Year 2010-11 LBR Technical Review Checklist

Department/Budget Entity (Service): Financial Services/Treasury

Agency Budget Officer/OPB Analyst Name: Sarah Goodman/Walter Liebrich

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)		
	43100200	43100300	43100400

### 1. GENERAL

1.1 Are Columns A01, A02, A04, A05, A10, A11, A36, IA1, IV1, IV3 and NV1 set to TRANSFER CONTROL for DISPLAY status and MANAGEMENT CONTROL for UPDATE status for both the Budget and Trust Fund columns? Are Columns A06, A07, A08 and A09 for Fixed Capital Outlay (FCO) set to TRANSFER CONTROL for DISPLAY status only? <b>(CSDI)</b>	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? <b>(CSDI)</b>	Y	Y	Y

### AUDITS:

1.3 Has Column A03 been copied to Column A12? Run the Exhibit B Audit Comparison Report to verify. <b>(EXBR, EXBA)</b>	Y	Y	Y
1.4 Has security been set correctly? <b>(CSDR, CSA)</b>	Y	Y	Y

### 2. EXHIBIT A (EADR, EXA)

2.1 Is the budget entity authority and description consistent with the agency's LRPP and does it conform to the directives provided on page 56 of the LBR Instructions?	Y	Y	Y
2.2 Are the statewide issues generated systematically (estimated expenditures, nonrecurring expenditures, etc.) included?	Y	Y	Y
2.3 Are the issue codes and titles consistent with <i>Section 3</i> of the LBR Instructions (pages 15 through 27)? Do they clearly describe the issue?	Y	Y	Y
2.4 Have the coding guidelines in <i>Section 3</i> of the LBR Instructions (pages 15 through 27) been followed?	Y	Y	Y

### 3. EXHIBIT B (EXBR, EXB)

3.1 Is it apparent that there is a fund shift and were the issues entered into LAS/PBS correctly? Check D-3A funding shift issue 340XXX0 - a unique deduct and unique add back issue should be used to ensure fund shifts display correctly on the LBR exhibits.	Y	Y	Y
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### 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? <b>(NACR, NAC - Report should print "No Negative Appropriation Categories Found")</b>	Y	Y	Y
3.3 Current Year Estimated Verification Comparison Report: Is Column A02 equal to Column B07? <b>(EXBR, EXBC - Report should print "Records Selected Net To Zero")</b>	Y	Y	Y

Action	Program or Service (Budget Entity Codes)		
	43100200	43100300	43100400

**4. EXHIBIT D (EADR, EXD)**

4.1	Is the program component objective statement consistent with the agency LRPP, and does it conform to the directives provided on page 59 of the LBR Instructions?	Y	Y	Y
4.2	Is the program component code and title used correct?	Y	Y	Y

**5. EXHIBIT D-1 (ED1R, EXD1)**

5.1	Are all object of expenditures positive amounts? (This is a manual check.)	Y	Y	Y
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**AUDITS:**

5.2	Do the fund totals agree with the object category totals within each appropriation category? ( <b>ED1R, XD1A - Report should print "No Differences Found For This Report"</b> )	Y	Y	Y
5.3	FLAIR Expenditure/Appropriation Ledger Comparison Report: Is Column A01 less than Column B04? ( <b>EXBR, EXBB - Negative differences need to be corrected in Column A01.</b> )  <i>Please note that the LBR Instructions reference the wrong B column.</i>	Y	Y	Y
5.4	A01/State Accounts Disbursements and Carry Forward Comparison Report: Does Column A01 equal Column B08? ( <b>EXBR, EXBD - Differences need to be corrected in Column A01.</b> )  <i>Please note that the LBR Instructions reference the wrong B column.</i>	Y	Y	Y

Action	Program or Service (Budget Entity Codes)		
	43100200	43100300	43100400

**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
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**7. EXHIBIT D-3A (EADR, ED3A)**

7.1	Are the issue titles correct and do they clearly identify the issue? (See pages 15 through 31 of the LBR Instructions.)	Y	Y	Y
7.2	Does the issue narrative adequately explain the agency's request and is the explanation consistent with the LRPP? (See page 65 of the LBR Instructions.)	Y	Y	Y
7.3	Does the narrative for Information Technology (IT) issue follow the additional narrative requirements described on pages 66 through 70 of the LBR Instructions?	Y	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
7.5	Does the issue narrative explain any variances from the Standard Expense and Human Resource Services Assessments package? Is the nonrecurring portion in the nonrecurring column? (See pages E-4 and E-5 of the LBR Instructions.)	Y	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	Y
7.8	Does the issue narrative include the Consensus Estimating Conference forecast, where appropriate?	Y	Y	Y
7.9	Does the issue narrative reference the specific county(ies) where applicable?	Y	Y	Y

Action		Program or Service (Budget Entity Codes)		
		43100200	43100300	43100400
7.10	Do the 160XXX0 issues reflect budget amendments that have been approved (or in the process of being approved) and that have a recurring impact (including Lump Sums)? Have the approved budget amendments been entered in Column A18 as instructed in Memo #10-002?	Y	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. <b>(PLRR, PLMO)</b>	Y	Y	Y
7.12	Does the issue narrative include plans to satisfy additional space requirements when requesting additional positions?	Y	Y	Y
7.13	Has the agency included a 160XXX0 issue and 210XXXX and 260XXX0 issues as required for lump sum distributions?	Y	Y	Y
7.14	Do the amounts reflect appropriate FSI assignments?	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 26 and 86 of the LBR Instructions.)	Y	Y	Y
7.16	Do the issues relating to <i>Information Technology (IT)</i> have a "C" in the sixth position of the issue code (36XXXXCX) and are the correct issue codes used (361XXC0, 362XXC0, 363XXC0, 17C01C0, 17C02C0, 17C03C0, 24010C0, 33001C0 or 55C01C0)?	Y	Y	Y
7.17	Are the issues relating to <i>major audit findings and recommendations</i> properly coded (4A0XXX0, 4B0XXX0)?	Y	Y	Y
<b>AUDIT:</b>				
7.18	Are all FSI's equal to '1', '2', '3', or '9'? There should be no FSI's equal to '0'. <b>(EADR, FSIA - Report should print "No Records Selected For Reporting")</b>	Y	Y	Y
7.19	Does the General Revenue for 160XXXX issues net to zero? <b>(GENR, LBR1)</b>	Y	Y	Y
7.20	Does the General Revenue for 180XXXX issues net to zero? <b>(GENR, LBR2)</b>	Y	Y	Y
7.21	Does the General Revenue for 200XXXX issues net to zero? <b>(GENR, LBR3)</b>	Y	Y	Y
7.22	Have FCO appropriations been entered into the nonrecurring column A04? <b>(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) )</b>	Y	Y	Y

Action		Program or Service (Budget Entity Codes)		
		43100200	43100300	43100400
<b>8. SCHEDULE I &amp; RELATED DOCUMENTS (SC1R, SC1 - Budget Entity Level or SC1R, SC1D - Department Level)</b>				
8.1	Has a separate department level Schedule I and supporting documents package been submitted by the agency?	Y	Y	Y
8.2	Has a Schedule I been completed in LAS/PBS for each operating trust fund?	Y	Y	Y
8.3	Have the appropriate Schedule I supporting documents been included for the trust funds (Schedule IA, Schedule IB, Schedule IC, and Reconciliation to Trial Balance)?	Y	Y	Y
8.4	Have the Examination of Regulatory Fees Part I and Part II forms been included for the applicable regulatory programs?	Y	Y	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	Y	Y
8.6	Has the Inter-Agency Transfers Reported on Schedule I form been included as applicable for transfers totaling \$100,000 or more for the fiscal year?	Y	Y	Y
8.7	If the agency is scheduled for the annual trust fund review this year, have the Schedule ID and applicable draft legislation been included for recreation, modification or termination of existing trust funds?	N/A	N/A	N/A
8.8	If the agency is scheduled for the annual trust fund review this year, have the necessary trust funds been requested for creation pursuant to <i>section 215.32(2)(b), Florida Statutes</i> - including the Schedule ID and applicable legislation?	N/A	N/A	N/A
8.9	Are the revenue codes correct? In the case of federal revenues, has the agency appropriately identified direct versus indirect receipts (object codes 000700, 000750, 000799, 001510 and 001599)?	Y	Y	Y
8.10	Are the statutory authority references correct?	Y	Y	Y
8.11	Are the General Revenue Service Charge percentage rates used for each revenue source correct? (Refer to Chapter 2009-78, Laws of Florida, for appropriate general revenue service charge percentage rates.)	Y	Y	Y
8.12	Is this an accurate representation of revenues based on the most recent Consensus Estimating Conference forecasts?	Y	Y	Y
8.13	If there is no Consensus Estimating Conference forecast available, do the revenue estimates appear to be reasonable?	Y	Y	Y

Action		Program or Service (Budget Entity Codes)		
		43100200	43100300	43100400
8.14	Are the federal funds revenues reported in Section I broken out by individual grant? Are the correct CFDA codes used?	Y	Y	Y
8.15	Are anticipated grants included and based on the state fiscal year (rather than federal fiscal year)?	Y	Y	Y
8.16	Are the Schedule I revenues consistent with the FSI's reported in the Exhibit D-3A?	Y	Y	Y
8.17	If applicable, are nonrecurring revenues entered into Column A04?	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?	Y	Y	Y
8.19	Is a 5% trust fund reserve reflected in Section II? If not, is sufficient justification provided for exemption? Are the additional narrative requirements provided?	Y	Y	Y
8.20	Are appropriate service charge nonoperating amounts included in Section II?	Y	Y	Y
8.21	Are nonoperating expenditures to other budget entities/departments cross-referenced accurately?	Y	Y	Y
8.22	Do transfers balance between funds (within the agency as well as between agencies)? (See also 8.6 for required transfer confirmation of amounts totaling \$100,000 or more.)	Y	Y	Y
8.23	Are nonoperating expenditures recorded in Section II and adjustments recorded in Section III?	Y	Y	Y
8.24	Are prior year September operating reversions appropriately shown in column A01?	Y	Y	Y
8.25	Are current year September operating reversions appropriately shown in column A02?	Y	Y	Y
8.26	Does the Schedule IC properly reflect the unreserved fund balance for each trust fund as defined by the LBR Instructions, and is it reconciled to the agency accounting records?	Y	Y	Y
8.27	Does Column A01 of the Schedule I accurately represent the actual prior year accounting data as reflected in the agency accounting records, and is it provided in sufficient detail for analysis?	Y	Y	Y
8.28	Does Line I of Column A01 (Schedule I) equal Line K of the Schedule IC?	Y	Y	Y
<b>AUDITS:</b>				
8.29	Is Line I a positive number? (If not, the agency must adjust the budget request to eliminate the deficit).	Y	Y	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? <b>(SC1R, SC1A - Report should print "No Discrepancies Exist For This Report")</b>	Y	Y	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. <b>(SC1R, DEPT)</b>	Y	Y	Y

Action	Program or Service (Budget Entity Codes)		
	43100200	43100300	43100400

**9. SCHEDULE II (PSCR, SC2)**

**AUDIT:**

9.1	Is the pay grade minimum for salary rate utilized for positions in segments 2 and 3? ( <b>BRAR, BRAA - Report should print "No Records Selected For This Request"</b> ) Note: Amounts other than the pay grade minimum should be fully justified in the D-3A issue narrative. (See <i>Base Rate Audit</i> on page 156 of the LBR Instructions.)	Y	Y	Y
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**10. SCHEDULE III (PSCR, SC3)**

10.1	Is the appropriate lapse amount applied in Segment 3? (See page 88 of the LBR Instructions.)	Y	Y	Y
10.2	Are amounts in <i>Other Salary Amount</i> appropriate and fully justified? (See page 95 of the LBR Instructions for appropriate use of the OAD transaction.) Use <b>OADI</b> or <b>OADR</b> to identify agency other salary amounts requested.	Y	Y	Y

**11. SCHEDULE IV (EADR, SC4)**

11.1	Are the correct Information Technology (IT) issue codes used?	Y	Y	Y
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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?	Y	Y	Y
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**13. SCHEDULE VIIIB-1**

13.1	This schedule is not required in the October 15, 2009 LBR submittal.			
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**14. SCHEDULE VIIIB-2 (EADR, S8B2)**

14.1	Do the reductions comply with the instructions provided on pages 101 and 102 of the LBR Instructions regarding a 10% reduction in recurring General Revenue and Trust Funds?	Y	Y	Y
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Action	Program or Service (Budget Entity Codes)		
	43100200	43100300	43100400

**15. SCHEDULE XI (LAS/PBS Web - see page 108 of the LBR Instructions for detailed instructions)**

15.1	Has the Schedule XI one page summary Excel file been e-mailed to OPB at OPB.UnitCostSummary@laspbs.state.fl.us? Agencies are required to generate this spreadsheet via the LAS/PBS Web. (Note: Pursuant to <i>section 216.023(4)(b), Florida Statutes</i> , the Legislature can reduce the funding level for any agency that does not provide this information.)	Y	Y	Y
15.2	Do the PDF files uploaded to the Florida Fiscal Portal for the LRPP and LBR match the Excel file e-mailed to OPB?	Y	Y	Y

**AUDITS INCLUDED IN THE SCHEDULE XI REPORT:**

15.3	Does the FY 2008-09 Actual (prior year) Expenditures in Column A36 reconcile to Column A01? ( <b>GENR, ACT1</b> )	Y	Y	Y
15.4	None of the executive direction, administrative support and information technology statewide activities (ACT0010 thru ACT0490) have output standards (Record Type 5)? ( <b>Audit #1 should print "No Activities Found"</b> )	Y	Y	Y
15.5	Does the Fixed Capital Outlay (FCO) statewide activity (ACT0210) only contain 08XXXX or 14XXXX appropriation categories? ( <b>Audit #2 should print "No Operating Categories Found"</b> )	Y	Y	Y
15.6	Has the agency provided the necessary demand (Record Type 5) for all activities which <u>should</u> appear in Section II? (Note: Audit #3 will identify those activities that do NOT have a Record Type '5' and have not been identified as a 'Pass Through' activity. These activities will be displayed in Section III with the 'Payment of Pensions, Benefits and Claims' activity and 'Other' activities. Verify if these activities should be displayed in Section III. If not, an output standard would need to be added for that activity and the Schedule XI submitted again.)	Y	Y	Y
15.7	Does Section I (Final Budget for Agency) and Section III (Total Budget for Agency) equal? ( <b>Audit #4 should print "No Discrepancies Found"</b> )	Y	Y	Y

	Program or Service (Budget Entity Codes)		
Action	43100200	43100300	43100400

**16. MANUALLY PREPARED EXHIBITS & SCHEDULES**

16.1	Do exhibits and schedules comply with LBR Instructions (pages 109 through 153 of the LBR Instructions), and are they accurate and complete?	Y	Y	Y
16.2	Are appropriation category totals comparable to Exhibit B, where applicable?	Y	Y	Y
16.3	Are agency organization charts (Schedule X) provided and at the appropriate level of detail?	Y	Y	Y

**AUDITS - GENERAL INFORMATION**

**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)?	Y	Y	Y
17.3	Do all CIP forms comply with CIP Instructions where applicable (see CIP Instructions)?	Y	Y	Y
17.4	Does the agency request include 5 year projections (Columns A03, A06, A07, A08 and A09)?	Y	Y	Y
17.5	Are the appropriate counties identified in the narrative?	Y	Y	Y

**18. FLORIDA FISCAL PORTAL**

18.1	Have all files been assembled correctly and posted to the Florida Fiscal Portal as outlined in the Florida Fiscal Portal Submittal Process?	Y	Y	Y
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## Fiscal Year 2010-11 LBR Technical Review Checklist

Department/Budget Entity (Service): Financial Services/Financial Accountability for Public Funds

Agency Budget Officer/OPB Analyst Name: Sarah Goodman/Walter Liebrich

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)	
	43200100	43200200

### 1. GENERAL

1.1 Are Columns A01, A02, A04, A05, A10, A11, A36, IA1, IV1, IV3 and NV1 set to TRANSFER CONTROL for DISPLAY status and MANAGEMENT CONTROL for UPDATE status for both the Budget and Trust Fund columns? Are Columns A06, A07, A08 and A09 for Fixed Capital Outlay (FCO) set to TRANSFER CONTROL for DISPLAY status only? (CSDI)	Y	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

### AUDITS:

1.3 Has Column A03 been copied to Column A12? Run the Exhibit B Audit Comparison Report to verify. (EXBR, EXBA)	Y	Y
1.4 Has security been set correctly? (CSDR, CSA)	Y	Y

### 2. EXHIBIT A (EADR, EXA)

2.1 Is the budget entity authority and description consistent with the agency's LRPP and does it conform to the directives provided on page 56 of the LBR Instructions?	Y	Y
2.2 Are the statewide issues generated systematically (estimated expenditures, nonrecurring expenditures, etc.) included?	Y	Y
2.3 Are the issue codes and titles consistent with Section 3 of the LBR Instructions (pages 15 through 27)? Do they clearly describe the issue?	Y	Y
2.4 Have the coding guidelines in Section 3 of the LBR Instructions (pages 15 through 27) been followed?	Y	Y

### 3. EXHIBIT B (EXBR, EXB)

3.1 Is it apparent that there is a fund shift and were the issues entered into LAS/PBS correctly? Check D-3A funding shift issue 340XXX0 - a unique deduct and unique add back issue should be used to ensure fund shifts display correctly on the LBR exhibits.	Y	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
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

	Program or Service (Budget Entity Codes)	
Action	43200100	43200200

**4. EXHIBIT D (EADR, EXD)**

4.1	Is the program component objective statement consistent with the agency LRPP, and does it conform to the directives provided on page 59 of the LBR Instructions?	Y	Y
4.2	Is the program component code and title used correct?	Y	Y

**5. EXHIBIT D-1 (ED1R, EXD1)**

5.1	Are all object of expenditures positive amounts? (This is a manual check.)	Y	Y
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**AUDITS:**

5.2	Do the fund totals agree with the object category totals within each appropriation category? <b>(ED1R, XD1A - Report should print "No Differences Found For This Report")</b>	Y	Y
5.3	FLAIR Expenditure/Appropriation Ledger Comparison Report: Is Column A01 less than Column B04? <b>(EXBR, EXBB - Negative differences need to be corrected in Column A01.)</b>  <i>Please note that the LBR Instructions reference the wrong B column.</i>	Y	Y
5.4	A01/State Accounts Disbursements and Carry Forward Comparison Report: Does Column A01 equal Column B08? <b>(EXBR, EXBD - Differences need to be corrected in Column A01.)</b>  <i>Please note that the LBR Instructions reference the wrong B column.</i>	Y	Y

Action	Program or Service (Budget Entity Codes)	
	43200100	43200200

**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
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**7. EXHIBIT D-3A (EADR, ED3A)**

7.1	Are the issue titles correct and do they clearly identify the issue? (See pages 15 through 31 of the LBR Instructions.)	Y	Y
7.2	Does the issue narrative adequately explain the agency's request and is the explanation consistent with the LRPP? (See page 65 of the LBR Instructions.)	Y	Y
7.3	Does the narrative for Information Technology (IT) issue follow the additional narrative requirements described on pages 66 through 70 of the LBR Instructions?	Y	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
7.5	Does the issue narrative explain any variances from the Standard Expense and Human Resource Services Assessments package? Is the nonrecurring portion in the nonrecurring column? (See pages E-4 and E-5 of the LBR Instructions.)	Y	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
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?	Y	Y
7.9	Does the issue narrative reference the specific county(ies) where applicable?	Y	Y

Action		Program or Service (Budget Entity Codes)	
		43200100	43200200
7.10	Do the 160XXX0 issues reflect budget amendments that have been approved (or in the process of being approved) and that have a recurring impact (including Lump Sums)? Have the approved budget amendments been entered in Column A18 as instructed in Memo #10-002?	Y	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. <b>(PLRR, PLMO)</b>	Y	Y
7.12	Does the issue narrative include plans to satisfy additional space requirements when requesting additional positions?	Y	Y
7.13	Has the agency included a 160XXX0 issue and 210XXXX and 260XXX0 issues as required for lump sum distributions?	Y	Y
7.14	Do the amounts reflect appropriate FSI assignments?	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 26 and 86 of the LBR Instructions.)	Y	Y
7.16	Do the issues relating to <i>Information Technology (IT)</i> have a "C" in the sixth position of the issue code (36XXXCX) and are the correct issue codes used (361XXC0, 362XXC0, 363XXC0, 17C01C0, 17C02C0, 17C03C0, 24010C0, 33001C0 or 55C01C0)?	Y	Y
7.17	Are the issues relating to <i>major audit findings and recommendations</i> properly coded (4A0XXX0, 4B0XXX0)?	Y	Y
<b>AUDIT:</b>			
7.18	Are all FSI's equal to '1', '2', '3', or '9'? There should be no FSI's equal to '0'. <b>(EADR, FSIA - Report should print "No Records Selected For Reporting")</b>	Y	Y
7.19	Does the General Revenue for 160XXXX issues net to zero? <b>(GENR, LBR1)</b>	Y	Y
7.20	Does the General Revenue for 180XXXX issues net to zero? <b>(GENR, LBR2)</b>	Y	Y
7.21	Does the General Revenue for 200XXXX issues net to zero? <b>(GENR, LBR3)</b>	Y	Y
7.22	Have FCO appropriations been entered into the nonrecurring column A04? <b>(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) )</b>	Y	Y

		Program or Service (Budget Entity Codes)	
Action		43200100	43200200
<b>8. SCHEDULE I &amp; RELATED DOCUMENTS (SC1R, SC1 - Budget Entity Level or SC1R, SC1D - Department Level)</b>			
8.1	Has a separate department level Schedule I and supporting documents package been submitted by the agency?	Y	Y
8.2	Has a Schedule I been completed in LAS/PBS for each operating trust fund?	Y	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	Y
8.4	Have the Examination of Regulatory Fees Part I and Part II forms been included for the applicable regulatory programs?	Y	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	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
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
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/A	N/A
8.9	Are the revenue codes correct? In the case of federal revenues, has the agency appropriately identified direct versus indirect receipts (object codes 000700, 000750, 000799, 001510 and 001599)?	Y	Y
8.10	Are the statutory authority references correct?	Y	Y
8.11	Are the General Revenue Service Charge percentage rates used for each revenue source correct? (Refer to Chapter 2009-78, Laws of Florida, for appropriate general revenue service charge percentage rates.)	Y	Y
8.12	Is this an accurate representation of revenues based on the most recent Consensus Estimating Conference forecasts?	Y	Y
8.13	If there is no Consensus Estimating Conference forecast available, do the revenue estimates appear to be reasonable?	Y	Y

Action		Program or Service (Budget Entity Codes)	
		43200100	43200200
8.14	Are the federal funds revenues reported in Section I broken out by individual grant? Are the correct CFDA codes used?	Y	Y
8.15	Are anticipated grants included and based on the state fiscal year (rather than federal fiscal year)?	Y	Y
8.16	Are the Schedule I revenues consistent with the FSI's reported in the Exhibit D-3A?	Y	Y
8.17	If applicable, are nonrecurring revenues entered into Column A04?	Y	Y
8.18	Has the agency certified the revenue estimates in columns A02 and A03 to be the latest and most accurate available?	Y	Y
8.19	Is a 5% trust fund reserve reflected in Section II? If not, is sufficient justification provided for exemption? Are the additional narrative requirements provided?	Y	Y
8.20	Are appropriate service charge nonoperating amounts included in Section II?	Y	Y
8.21	Are nonoperating expenditures to other budget entities/departments cross-referenced accurately?	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
8.23	Are nonoperating expenditures recorded in Section II and adjustments recorded in Section III?	Y	Y
8.24	Are prior year September operating reversions appropriately shown in column A01?	Y	Y
8.25	Are current year September operating reversions appropriately shown in column A02?	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
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	Y
8.28	Does Line I of Column A01 (Schedule I) equal Line K of the Schedule IC?	Y	Y
<b>AUDITS:</b>			
8.29	Is Line I a positive number? (If not, the agency must adjust the budget request to eliminate the deficit).	Y	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? <b>(SC1R, SC1A - Report should print "No Discrepancies Exist For This Report")</b>	Y	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. <b>(SC1R, DEPT)</b>	Y	Y



	Program or Service (Budget Entity Codes)	
Action	43200100	43200200

**9. SCHEDULE II (PSCR, SC2)**

AUDIT:			
9.1	Is the pay grade minimum for salary rate utilized for positions in segments 2 and 3? ( <b>BRAR, BRAA - Report should print "No Records Selected For This Request"</b> ) Note: Amounts other than the pay grade minimum should be fully justified in the D-3A issue narrative. (See <i>Base Rate Audit</i> on page 156 of the LBR Instructions.)	Y	Y

**10. SCHEDULE III (PSCR, SC3)**

10.1	Is the appropriate lapse amount applied in Segment 3? (See page 88 of the LBR Instructions.)	Y	Y
10.2	Are amounts in <i>Other Salary Amount</i> appropriate and fully justified? (See page 95 of the LBR Instructions for appropriate use of the OAD transaction.) Use <b>OADI</b> or <b>OADR</b> 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	Y
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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?	Y	Y
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**13. SCHEDULE VIIIB-1**

13.1	This schedule is not required in the October 15, 2009 LBR submittal.		
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**14. SCHEDULE VIIIB-2 (EADR, S8B2)**

14.1	Do the reductions comply with the instructions provided on pages 101 and 102 of the LBR Instructions regarding a 10% reduction in recurring General Revenue and Trust Funds?	Y	Y
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Action	Program or Service (Budget Entity Codes)	
	43200100	43200200

**15. SCHEDULE XI (LAS/PBS Web - see page 108 of the LBR Instructions for detailed instructions)**

15.1	Has the Schedule XI one page summary Excel file been e-mailed to OPB at OPB.UnitCostSummary@laspbs.state.fl.us? Agencies are required to generate this spreadsheet via the LAS/PBS Web. (Note: Pursuant to <i>section 216.023(4)(b), Florida Statutes</i> , the Legislature can reduce the funding level for any agency that does not provide this information.)	Y	Y
15.2	Do the PDF files uploaded to the Florida Fiscal Portal for the LRPP and LBR match the Excel file e-mailed to OPB?	Y	Y
<b>AUDITS INCLUDED IN THE SCHEDULE XI REPORT:</b>			
15.3	Does the FY 2008-09 Actual (prior year) Expenditures in Column A36 reconcile to Column A01? ( <b>GENR, ACT1</b> )	Y	Y
15.4	None of the executive direction, administrative support and information technology statewide activities (ACT0010 thru ACT0490) have output standards (Record Type 5)? ( <b>Audit #1 should print "No Activities Found"</b> )	Y	Y
15.5	Does the Fixed Capital Outlay (FCO) statewide activity (ACT0210) only contain 08XXXX or 14XXXX appropriation categories? ( <b>Audit #2 should print "No Operating Categories Found"</b> )	Y	Y
15.6	Has the agency provided the necessary demand (Record Type 5) for all activities which <u>should</u> appear in Section II? (Note: Audit #3 will identify those activities that do NOT have a Record Type '5' and have not been identified as a 'Pass Through' activity. These activities will be displayed in Section III with the 'Payment of Pensions, Benefits and Claims' activity and 'Other' activities. Verify if these activities should be displayed in Section III. If not, an output standard would need to be added for that activity and the Schedule XI submitted again.)	Y	Y
15.7	Does Section I (Final Budget for Agency) and Section III (Total Budget for Agency) equal? ( <b>Audit #4 should print "No Discrepancies Found"</b> )	Y	Y

	Program or Service (Budget Entity Codes)	
Action	43200100	43200200

**16. MANUALLY PREPARED EXHIBITS & SCHEDULES**

16.1	Do exhibits and schedules comply with LBR Instructions (pages 109 through 153 of the LBR Instructions), and are they accurate and complete?	Y	Y
16.2	Are appropriation category totals comparable to Exhibit B, where applicable?	Y	Y
16.3	Are agency organization charts (Schedule X) provided and at the appropriate level of detail?	Y	Y

**AUDITS - GENERAL INFORMATION**

**17. CAPITAL IMPROVEMENTS PROGRAM (CIP)**

17.1	Are the CIP-2, CIP-3, CIP-A and CIP-B forms included?	Y	Y
17.2	Are the CIP-4 and CIP-5 forms submitted when applicable (see CIP Instructions)?	Y	Y
17.3	Do all CIP forms comply with CIP Instructions where applicable (see CIP Instructions)?	Y	Y
17.4	Does the agency request include 5 year projections (Columns A03, A06, A07, A08 and A09)?	Y	Y
17.5	Are the appropriate counties identified in the narrative?	Y	Y

**18. FLORIDA FISCAL PORTAL**

18.1	Have all files been assembled correctly and posted to the Florida Fiscal Portal as outlined in the Florida Fiscal Portal Submittal Process?	Y	Y
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## Fiscal Year 2010-11 LBR Technical Review Checklist

Department/Budget Entity (Service): Financial Services/Fire Marshal

Agency Budget Officer/OPB Analyst Name: Sarah Goodman/Walter Liebrich

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)			
	43300200	43300300	43300400	43300500

### 1. GENERAL

1.1 Are Columns A01, A02, A04, A05, A10, A11, A36, IA1, IV1, IV3 and NV1 set to TRANSFER CONTROL for DISPLAY status and MANAGEMENT CONTROL for UPDATE status for both the Budget and Trust Fund columns? Are Columns A06, A07, A08 and A09 for Fixed Capital Outlay (FCO) set to TRANSFER CONTROL for DISPLAY status only? <b>(CSDI)</b>	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? <b>(CSDI)</b>	Y	Y	Y	Y

#### AUDITS:

1.3 Has Column A03 been copied to Column A12? Run the Exhibit B Audit Comparison Report to verify. <b>(EXBR, EXBA)</b>	Y	Y	Y	Y
1.4 Has security been set correctly? <b>(CSDR, CSA)</b>	Y	Y	Y	Y

### 2. EXHIBIT A (EADR, EXA)

2.1 Is the budget entity authority and description consistent with the agency's LRPP and does it conform to the directives provided on page 56 of the LBR Instructions?	Y	Y	Y	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 27)? 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 27) been followed?	Y	Y	Y	Y

### 3. EXHIBIT B (EXBR, EXB)

3.1 Is it apparent that there is a fund shift and were the issues entered into LAS/PBS correctly? Check D-3A funding shift issue 340XXX0 - a unique deduct and unique add back issue should be used to ensure fund shifts display correctly on the LBR exhibits.	Y	Y	Y	Y
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#### 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? <b>(NACR, NAC - Report should print "No Negative Appropriation Categories Found")</b>	Y	Y	Y	Y
3.3 Current Year Estimated Verification Comparison Report: Is Column A02 equal to Column B07? <b>(EXBR, EXBC - Report should print "Records Selected Net To Zero")</b>	Y	Y	Y	Y

Action	Program or Service (Budget Entity Codes)			
	43300200	43300300	43300400	43300500

**4. EXHIBIT D (EADR, EXD)**

4.1	Is the program component objective statement consistent with the agency LRPP, and does it conform to the directives provided on page 59 of the LBR Instructions?	Y	Y	Y	Y
4.2	Is the program component code and title used correct?	Y	Y	Y	Y

**5. EXHIBIT D-1 (ED1R, EXD1)**

5.1	Are all object of expenditures positive amounts? (This is a manual check.)	Y	Y	Y	Y
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**AUDITS:**

5.2	Do the fund totals agree with the object category totals within each appropriation category? ( <b>ED1R, XD1A - Report should print "No Differences Found For This Report"</b> )	Y	Y	Y	Y
5.3	FLAIR Expenditure/Appropriation Ledger Comparison Report: Is Column A01 less than Column B04? ( <b>EXBR, EXBB - Negative differences need to be corrected in Column A01.</b> )  <i>Please note that the LBR Instructions reference the wrong B column.</i>	Y	Y	Y	Y
5.4	A01/State Accounts Disbursements and Carry Forward Comparison Report: Does Column A01 equal Column B08? ( <b>EXBR, EXBD - Differences need to be corrected in Column A01.</b> )  <i>Please note that the LBR Instructions reference the wrong B column.</i>	Y	Y	Y	Y

Action	Program or Service (Budget Entity Codes)			
	43300200	43300300	43300400	43300500

**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
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**7. EXHIBIT D-3A (EADR, ED3A)**

7.1	Are the issue titles correct and do they clearly identify the issue? (See pages 15 through 31 of the LBR Instructions.)	Y	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 65 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 66 through 70 of the LBR Instructions?	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
7.5	Does the issue narrative explain any variances from the Standard Expense and Human Resource Services Assessments package? Is the nonrecurring portion in the nonrecurring column? (See pages E-4 and E-5 of the LBR Instructions.)	Y	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	Y
7.7	Does the issue narrative thoroughly explain/justify all Salaries and Benefits amounts entered into the Other Salary Amounts transactions (OAD/C)? Amounts entered into OAD are reflected in the Position Detail of Salaries and Benefits section of the Exhibit D-3A.	Y	Y	Y	Y
7.8	Does the issue narrative include the Consensus Estimating Conference forecast, where appropriate?	Y	Y	Y	Y
7.9	Does the issue narrative reference the specific county(ies) where applicable?	Y	Y	Y	Y

Action		Program or Service (Budget Entity Codes)			
		43300200	43300300	43300400	43300500
7.10	Do the 160XXX0 issues reflect budget amendments that have been approved (or in the process of being approved) and that have a recurring impact (including Lump Sums)? Have the approved budget amendments been entered in Column A18 as instructed in Memo #10-002?	Y	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. <b>(PLRR, PLMO)</b>	Y	Y	Y	Y
7.12	Does the issue narrative include plans to satisfy additional space requirements when requesting additional positions?	Y	Y	Y	Y
7.13	Has the agency included a 160XXX0 issue and 210XXXX and 260XXX0 issues as required for lump sum distributions?	Y	Y	Y	Y
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 26 and 86 of the LBR Instructions.)	Y	Y	Y	Y
7.16	Do the issues relating to <i>Information Technology (IT)</i> have a "C" in the sixth position of the issue code (36XXXXCX) and are the correct issue codes used (361XXC0, 362XXC0, 363XXC0, 17C01C0, 17C02C0, 17C03C0, 24010C0, 33001C0 or 55C01C0)?	Y	Y	Y	Y
7.17	Are the issues relating to <i>major audit findings and recommendations</i> properly coded (4A0XXX0, 4B0XXX0)?	Y	Y	Y	Y
<b>AUDIT:</b>					
7.18	Are all FSI's equal to '1', '2', '3', or '9'? There should be no FSI's equal to '0'. <b>(EADR, FSIA - Report should print "No Records Selected For Reporting")</b>	Y	Y	Y	Y
7.19	Does the General Revenue for 160XXXX issues net to zero? <b>(GENR, LBR1)</b>	Y	Y	Y	Y
7.20	Does the General Revenue for 180XXXX issues net to zero? <b>(GENR, LBR2)</b>	Y	Y	Y	Y
7.21	Does the General Revenue for 200XXXX issues net to zero? <b>(GENR, LBR3)</b>	Y	Y	Y	Y
7.22	Have FCO appropriations been entered into the nonrecurring column A04? <b>(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) )</b>	Y	Y	Y	Y

Action	Program or Service (Budget Entity Codes)			
	43300200	43300300	43300400	43300500

**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
8.2	Has a Schedule I been completed in LAS/PBS for each operating trust fund?	Y	Y	Y	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	Y	Y	Y
8.4	Have the Examination of Regulatory Fees Part I and Part II forms been included for the applicable regulatory programs?	Y	Y	Y	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	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
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
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/A	N/A	N/A	N/A
8.9	Are the revenue codes correct? In the case of federal revenues, has the agency appropriately identified direct versus indirect receipts (object codes 000700, 000750, 000799, 001510 and 001599)?	Y	Y	Y	Y
8.10	Are the statutory authority references correct?	Y	Y	Y	Y
8.11	Are the General Revenue Service Charge percentage rates used for each revenue source correct? (Refer to Chapter 2009-78, Laws of Florida, for appropriate general revenue service charge percentage rates.)	Y	Y	Y	Y
8.12	Is this an accurate representation of revenues based on the most recent Consensus Estimating Conference forecasts?	Y	Y	Y	Y
8.13	If there is no Consensus Estimating Conference forecast available, do the revenue estimates appear to be reasonable?	Y	Y	Y	Y



Action		Program or Service (Budget Entity Codes)			
		43300200	43300300	43300400	43300500
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
8.15	Are anticipated grants included and based on the state fiscal year (rather than federal fiscal year)?	Y	Y	Y	Y
8.16	Are the Schedule I revenues consistent with the FSI's reported in the Exhibit D-3A?	Y	Y	Y	Y
8.17	If applicable, are nonrecurring revenues entered into Column A04?	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?	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?	Y	Y	Y	Y
8.20	Are appropriate service charge nonoperating amounts included in Section II?	Y	Y	Y	Y
8.21	Are nonoperating expenditures to other budget entities/departments cross-referenced accurately?	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
8.23	Are nonoperating expenditures recorded in Section II and adjustments recorded in Section III?	Y	Y	Y	Y
8.24	Are prior year September operating reversions appropriately shown in column A01?	Y	Y	Y	Y
8.25	Are current year September operating reversions appropriately shown in column A02?	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
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	Y	Y	Y
8.28	Does Line I of Column A01 (Schedule I) equal Line K of the Schedule IC?	Y	Y	Y	Y
<b>AUDITS:</b>					
8.29	Is Line I a positive number? (If not, the agency must adjust the budget request to eliminate the deficit).	Y	Y	Y	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? <b>(SC1R, SC1A - Report should print "No Discrepancies Exist For This Report")</b>	Y	Y	Y	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. <b>(SC1R, DEPT)</b>	Y	Y	Y	Y

Action	Program or Service (Budget Entity Codes)			
	43300200	43300300	43300400	43300500

**9. SCHEDULE II (PSCR, SC2)**

AUDIT:					
9.1	Is the pay grade minimum for salary rate utilized for positions in segments 2 and 3? ( <b>BRAR, BRAA - Report should print "No Records Selected For This Request"</b> ) Note: Amounts other than the pay grade minimum should be fully justified in the D-3A issue narrative. (See <i>Base Rate Audit</i> on page 156 of the LBR Instructions.)	Y	Y	Y	Y

**10. SCHEDULE III (PSCR, SC3)**

10.1	Is the appropriate lapse amount applied in Segment 3? (See page 88 of the LBR Instructions.)	Y	Y	Y	Y
10.2	Are amounts in <i>Other Salary Amount</i> appropriate and fully justified? (See page 95 of the LBR Instructions for appropriate use of the OAD transaction.) Use <b>OADI</b> or <b>OADR</b> to identify agency other salary amounts requested.	Y	Y	Y	Y

**11. SCHEDULE IV (EADR, SC4)**

11.1	Are the correct Information Technology (IT) issue codes used?	Y	Y	Y	Y
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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?	Y	Y	Y	Y
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**13. SCHEDULE VIIIB-1**

13.1	This schedule is not required in the October 15, 2009 LBR submittal.				
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**14. SCHEDULE VIIIB-2 (EADR, S8B2)**

14.1	Do the reductions comply with the instructions provided on pages 101 and 102 of the LBR Instructions regarding a 10% reduction in recurring General Revenue and Trust Funds?	Y	Y	Y	Y
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Action	Program or Service (Budget Entity Codes)			
	43300200	43300300	43300400	43300500

**15. SCHEDULE XI (LAS/PBS Web - see page 108 of the LBR Instructions for detailed instructions)**

15.1	Has the Schedule XI one page summary Excel file been e-mailed to OPB at OPB.UnitCostSummary@laspbs.state.fl.us? Agencies are required to generate this spreadsheet via the LAS/PBS Web. (Note: Pursuant to <i>section 216.023(4)(b), Florida Statutes</i> , the Legislature can reduce the funding level for any agency that does not provide this information.)	Y	Y	Y	Y
15.2	Do the PDF files uploaded to the Florida Fiscal Portal for the LRPP and LBR match the Excel file e-mailed to OPB?	Y	Y	Y	Y

**AUDITS INCLUDED IN THE SCHEDULE XI REPORT:**

15.3	Does the FY 2008-09 Actual (prior year) Expenditures in Column A36 reconcile to Column A01? ( <b>GENR, ACT1</b> )	Y	Y	Y	Y
15.4	None of the executive direction, administrative support and information technology statewide activities (ACT0010 thru ACT0490) have output standards (Record Type 5)? ( <b>Audit #1 should print "No Activities Found"</b> )	Y	Y	Y	Y
15.5	Does the Fixed Capital Outlay (FCO) statewide activity (ACT0210) only contain 08XXXX or 14XXXX appropriation categories? ( <b>Audit #2 should print "No Operating Categories Found"</b> )	Y	Y	Y	Y
15.6	Has the agency provided the necessary demand (Record Type 5) for all activities which <u>should</u> appear in Section II? (Note: Audit #3 will identify those activities that do NOT have a Record Type '5' and have not been identified as a 'Pass Through' activity. These activities will be displayed in Section III with the 'Payment of Pensions, Benefits and Claims' activity and 'Other' activities. Verify if these activities should be displayed in Section III. If not, an output standard would need to be added for that activity and the Schedule XI submitted again.)	Y	Y	Y	Y
15.7	Does Section I (Final Budget for Agency) and Section III (Total Budget for Agency) equal? ( <b>Audit #4 should print "No Discrepancies Found"</b> )	Y	Y	Y	Y

Action	Program or Service (Budget Entity Codes)			
	43300200	43300300	43300400	43300500

**16. MANUALLY PREPARED EXHIBITS & SCHEDULES**

16.1	Do exhibits and schedules comply with LBR Instructions (pages 109 through 153 of the LBR Instructions), and are they accurate and complete?	Y	Y	Y	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**

**17. CAPITAL IMPROVEMENTS PROGRAM (CIP)**

17.1	Are the CIP-2, CIP-3, CIP-A and CIP-B forms included?	Y	Y	Y	Y
17.2	Are the CIP-4 and CIP-5 forms submitted when applicable (see CIP Instructions)?	Y	Y	Y	Y
17.3	Do all CIP forms comply with CIP Instructions where applicable (see CIP Instructions)?	Y	Y	Y	Y
17.4	Does the agency request include 5 year projections (Columns A03, A06, A07, A08 and A09)?	Y	Y	Y	Y
17.5	Are the appropriate counties identified in the narrative?	Y	Y	Y	Y

**18. FLORIDA FISCAL PORTAL**

18.1	Have all files been assembled correctly and posted to the Florida Fiscal Portal as outlined in the Florida Fiscal Portal Submittal Process?	Y	Y	Y	Y
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## Fiscal Year 2010-11 LBR Technical Review Checklist

Department/Budget Entity (Service): Financial Services/State Property and Casualty Claims

Agency Budget Officer/OPB Analyst Name: Sarah Goodman/Walter Liebrich

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)				
	43400100				
<b>1. GENERAL</b>					
1.1 Are Columns A01, A02, A04, A05, A10, A11, A36, IA1, IV1, IV3 and NV1 set to TRANSFER CONTROL for DISPLAY status and MANAGEMENT CONTROL for UPDATE status for both the Budget and Trust Fund columns? Are Columns A06, A07, A08 and A09 for Fixed Capital Outlay (FCO) set to TRANSFER CONTROL for DISPLAY status only? (CSDI)	Y				
1.2 Is Column A03 set to TRANSFER CONTROL for DISPLAY and UPDATE status for both the Budget and Trust Fund columns? (CSDI)	Y				
<b>AUDITS:</b>					
1.3 Has Column A03 been copied to Column A12? Run the Exhibit B Audit Comparison Report to verify. (EXBR, EXBA)	Y				
1.4 Has security been set correctly? (CSDR, CSA)	Y				
<b>2. EXHIBIT A (EADR, EXA)</b>					
2.1 Is the budget entity authority and description consistent with the agency's LRPP and does it conform to the directives provided on page 56 of the LBR Instructions?	Y				
2.2 Are the statewide issues generated systematically (estimated expenditures, nonrecurring expenditures, etc.) included?	Y				
2.3 Are the issue codes and titles consistent with Section 3 of the LBR Instructions (pages 15 through 27)? Do they clearly describe the issue?	Y				
2.4 Have the coding guidelines in Section 3 of the LBR Instructions (pages 15 through 27) been followed?	Y				
<b>3. EXHIBIT B (EXBR, EXB)</b>					
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				
<b>AUDITS:</b>					
3.2 Negative Appropriation Category Audit for Agency Request (Columns A03 and A04): Are all appropriation categories positive by budget entity at the FSI level? Are all nonrecurring amounts less than requested amounts? (NACR, NAC - Report should print "No Negative Appropriation Categories Found")	Y				
3.3 Current Year Estimated Verification Comparison Report: Is Column A02 equal to Column B07? (EXBR, EXBC - Report should print "Records Selected Net To Zero")	Y				

		Program or Service (Budget Entity Codes)			
Action		43400100			
<b>4. EXHIBIT D (EADR, EXD)</b>					
4.1	Is the program component objective statement consistent with the agency LRPP, and does it conform to the directives provided on page 59 of the LBR Instructions?	Y			
4.2	Is the program component code and title used correct?	Y			
<b>5. EXHIBIT D-1 (ED1R, EXD1)</b>					
5.1	Are all object of expenditures positive amounts? (This is a manual check.)	Y			
<b>AUDITS:</b>					
5.2	Do the fund totals agree with the object category totals within each appropriation category? <b>(ED1R, XD1A - Report should print "No Differences Found For This Report")</b>	Y			
5.3	FLAIR Expenditure/Appropriation Ledger Comparison Report: Is Column A01 less than Column B04? <b>(EXBR, EXBB - Negative differences need to be corrected in Column A01.)</b>  <i>Please note that the LBR Instructions reference the wrong B column.</i>	Y			
5.4	A01/State Accounts Disbursements and Carry Forward Comparison Report: Does Column A01 equal Column B08? <b>(EXBR, EXBD - Differences need to be corrected in Column A01.)</b>  <i>Please note that the LBR Instructions reference the wrong B column.</i>	Y			

		Program or Service (Budget Entity Codes)			
Action		43400100			
<b>6. EXHIBIT D-3 (ED3R, ED3) (Not required in the LBR - for analytical purposes only.)</b>					
6.1	Are issues appropriately aligned with appropriation categories?	Y			
<b>7. EXHIBIT D-3A (EADR, ED3A)</b>					
7.1	Are the issue titles correct and do they clearly identify the issue? (See pages 15 through 31 of the LBR Instructions.)	Y			
7.2	Does the issue narrative adequately explain the agency's request and is the explanation consistent with the LRPP? (See page 65 of the LBR Instructions.)	Y			
7.3	Does the narrative for Information Technology (IT) issue follow the additional narrative requirements described on pages 66 through 70 of the LBR Instructions?	Y			
7.4	Are all issues with an IT component identified with a "Y" in the "IT COMPONENT?" field? If the issue contains an IT component, has that component been identified and documented?	Y			
7.5	Does the issue narrative explain any variances from the Standard Expense and Human Resource Services Assessments package? Is the nonrecurring portion in the nonrecurring column? (See pages E-4 and E-5 of the LBR Instructions.)	Y			
7.6	Does the salary rate request amount accurately reflect any new requests and are the amounts proportionate to the Salaries and Benefits request? Note: Salary rate should always be annualized.	Y			
7.7	Does the issue narrative thoroughly explain/justify all Salaries and Benefits amounts entered into the Other Salary Amounts transactions (OADA/C)? Amounts entered into OAD are reflected in the Position Detail of Salaries and Benefits section of the Exhibit D-3A.	Y			
7.8	Does the issue narrative include the Consensus Estimating Conference forecast, where appropriate?	Y			
7.9	Does the issue narrative reference the specific county(ies) where applicable?	Y			

Action		Program or Service (Budget Entity Codes)			
		43400100			
7.10	Do the 160XXX0 issues reflect budget amendments that have been approved (or in the process of being approved) and that have a recurring impact (including Lump Sums)? Have the approved budget amendments been entered in Column A18 as instructed in Memo #10-002?	Y			
7.11	When appropriate are there any 160XXX0 issues included to delete positions placed in reserve in the OPB Position and Rate Ledger (e.g. unfunded grants)? Note: Lump sum appropriations not yet allocated should <u>not</u> be deleted. <b>(PLRR, PLMO)</b>	Y			
7.12	Does the issue narrative include plans to satisfy additional space requirements when requesting additional positions?	Y			
7.13	Has the agency included a 160XXX0 issue and 210XXXX and 260XXX0 issues as required for lump sum distributions?	Y			
7.14	Do the amounts reflect appropriate FSI assignments?	Y			
7.15	Do the issues relating to <i>salary and benefits</i> have an "A" in the fifth position of the issue code (XXXXAXX) and are they self-contained (not combined with other issues)? (See page 26 and 86 of the LBR Instructions.)	Y			
7.16	Do the issues relating to <i>Information Technology (IT)</i> have a "C" in the sixth position of the issue code (36XXXXCX) and are the correct issue codes used (361XXC0, 362XXC0, 363XXC0, 17C01C0, 17C02C0, 17C03C0, 24010C0, 33001C0 or 55C01C0)?	Y			
7.17	Are the issues relating to <i>major audit findings and recommendations</i> properly coded (4A0XXX0, 4B0XXX0)?	Y			
<b>AUDIT:</b>					
7.18	Are all FSI's equal to '1', '2', '3', or '9'? There should be no FSI's equal to '0'. <b>(EADR, FSIA - Report should print "No Records Selected For Reporting")</b>	Y			
7.19	Does the General Revenue for 160XXXX issues net to zero? <b>(GENR, LBR1)</b>	Y			
7.20	Does the General Revenue for 180XXXX issues net to zero? <b>(GENR, LBR2)</b>	Y			
7.21	Does the General Revenue for 200XXXX issues net to zero? <b>(GENR, LBR3)</b>	Y			
7.22	Have FCO appropriations been entered into the nonrecurring column A04? <b>(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) )</b>	Y			



Action		Program or Service (Budget Entity Codes)			
		43400100			
<b>8. SCHEDULE I &amp; RELATED DOCUMENTS (SC1R, SC1 - Budget Entity Level or SC1R, SC1D - Department Level)</b>					
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/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 <i>section 215.32(2)(b), Florida Statutes</i> - including the Schedule ID and applicable legislation?	N/A			
8.9	Are the revenue codes correct? In the case of federal revenues, has the agency appropriately identified direct versus indirect receipts (object codes 000700, 000750, 000799, 001510 and 001599)?	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 Chapter 2009-78, Laws of Florida, for appropriate general revenue service charge percentage rates.)	Y			
8.12	Is this an accurate representation of revenues based on the most recent Consensus Estimating Conference forecasts?	Y			
8.13	If there is no Consensus Estimating Conference forecast available, do the revenue estimates appear to be reasonable?	Y			

Action		Program or Service (Budget Entity Codes)			
		43400100			
8.14	Are the federal funds revenues reported in Section I broken out by individual grant? Are the correct CFDA codes used?	Y			
8.15	Are anticipated grants included and based on the state fiscal year (rather than federal fiscal year)?	Y			
8.16	Are the Schedule I revenues consistent with the FSI's reported in the Exhibit D-3A?	Y			
8.17	If applicable, are nonrecurring revenues entered into Column A04?	Y			
8.18	Has the agency certified the revenue estimates in columns A02 and A03 to be the latest and most accurate available?	Y			
8.19	Is a 5% trust fund reserve reflected in Section II? If not, is sufficient justification provided for exemption? Are the additional narrative requirements provided?	Y			
8.20	Are appropriate service charge nonoperating amounts included in Section II?	Y			
8.21	Are nonoperating expenditures to other budget entities/departments cross-referenced accurately?	Y			
8.22	Do transfers balance between funds (within the agency as well as between agencies)? (See also 8.6 for required transfer confirmation of amounts totaling \$100,000 or more.)	Y			
8.23	Are nonoperating expenditures recorded in Section II and adjustments recorded in Section III?	Y			
8.24	Are prior year September operating reversions appropriately shown in column A01?	Y			
8.25	Are current year September operating reversions appropriately shown in column A02?	Y			
8.26	Does the Schedule IC properly reflect the unreserved fund balance for each trust fund as defined by the LBR Instructions, and is it reconciled to the agency accounting records?	Y			
8.27	Does Column A01 of the Schedule I accurately represent the actual prior year accounting data as reflected in the agency accounting records, and is it provided in sufficient detail for analysis?	Y			
8.28	Does Line I of Column A01 (Schedule I) equal Line K of the Schedule IC?	Y			
<b>AUDITS:</b>					
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? <b>(SC1R, SC1A - Report should print "No Discrepancies Exist For This Report")</b>	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. <b>(SC1R, DEPT)</b>	Y			

	Program or Service (Budget Entity Codes)			
Action	43400100			

**9. SCHEDULE II (PSCR, SC2)**

<b>AUDIT:</b>					
9.1	Is the pay grade minimum for salary rate utilized for positions in segments 2 and 3? ( <b>BRAR, BRAA - Report should print "No Records Selected For This Request"</b> ) Note: Amounts other than the pay grade minimum should be fully justified in the D-3A issue narrative. (See <i>Base Rate Audit</i> on page 156 of the LBR Instructions.)	Y			

**10. SCHEDULE III (PSCR, SC3)**

10.1	Is the appropriate lapse amount applied in Segment 3? (See page 88 of the LBR Instructions.)	Y			
10.2	Are amounts in <i>Other Salary Amount</i> appropriate and fully justified? (See page 95 of the LBR Instructions for appropriate use of the OAD transaction.) Use <b>OADI</b> or <b>OADR</b> to identify agency other salary amounts requested.	Y			

**11. SCHEDULE IV (EADR, SC4)**

11.1	Are the correct Information Technology (IT) issue codes used?	Y			
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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?	Y			
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**13. SCHEDULE VIIIB-1**

13.1	This schedule is not required in the October 15, 2009 LBR submittal.				
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**14. SCHEDULE VIIIB-2 (EADR, S8B2)**

14.1	Do the reductions comply with the instructions provided on pages 101 and 102 of the LBR Instructions regarding a 10% reduction in recurring General Revenue and Trust Funds?	Y			
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Action		Program or Service (Budget Entity Codes)			
		43400100			
<b>15. SCHEDULE XI (LAS/PBS Web - see page 108 of the LBR Instructions for detailed instructions)</b>					
15.1	Has the Schedule XI one page summary Excel file been e-mailed to OPB at OPB.UnitCostSummary@laspbs.state.fl.us? Agencies are required to generate this spreadsheet via the LAS/PBS Web. (Note: Pursuant to <i>section 216.023(4)(b), Florida Statutes</i> , the Legislature can reduce the funding level for any agency that does not provide this information.)	Y			
15.2	Do the PDF files uploaded to the Florida Fiscal Portal for the LRPP and LBR match the Excel file e-mailed to OPB?	Y			
<b>AUDITS INCLUDED IN THE SCHEDULE XI REPORT:</b>					
15.3	Does the FY 2008-09 Actual (prior year) Expenditures in Column A36 reconcile to Column A01? ( <b>GENR, ACT1</b> )	Y			
15.4	None of the executive direction, administrative support and information technology statewide activities (ACT0010 thru ACT0490) have output standards (Record Type 5)? ( <b>Audit #1 should print "No Activities Found"</b> )	Y			
15.5	Does the Fixed Capital Outlay (FCO) statewide activity (ACT0210) only contain 08XXXX or 14XXXX appropriation categories? ( <b>Audit #2 should print "No Operating Categories Found"</b> )	Y			
15.6	Has the agency provided the necessary demand (Record Type 5) for all activities which <u>should</u> appear in Section II? (Note: Audit #3 will identify those activities that do NOT have a Record Type '5' and have not been identified as a 'Pass Through' activity. These activities will be displayed in Section III with the 'Payment of Pensions, Benefits and Claims' activity and 'Other' activities. Verify if these activities should be displayed in Section III. If not, an output standard would need to be added for that activity and the Schedule XI submitted again.)	Y			
15.7	Does Section I (Final Budget for Agency) and Section III (Total Budget for Agency) equal? ( <b>Audit #4 should print "No Discrepancies Found"</b> )	Y			

		Program or Service (Budget Entity Codes)			
Action		43400100			
<b>16. MANUALLY PREPARED EXHIBITS &amp; SCHEDULES</b>					
16.1	Do exhibits and schedules comply with LBR Instructions (pages 109 through 153 of the LBR Instructions), and are they accurate and complete?	Y			
16.2	Are appropriation category totals comparable to Exhibit B, where applicable?	Y			
16.3	Are agency organization charts (Schedule X) provided and at the appropriate level of detail?	Y			
<b>AUDITS - GENERAL INFORMATION</b>					
<b>17. CAPITAL IMPROVEMENTS PROGRAM (CIP)</b>					
17.1	Are the CIP-2, CIP-3, CIP-A and CIP-B forms included?	Y			
17.2	Are the CIP-4 and CIP-5 forms submitted when applicable (see CIP Instructions)?	Y			
17.3	Do all CIP forms comply with CIP Instructions where applicable (see CIP Instructions)?	Y			
17.4	Does the agency request include 5 year projections (Columns A03, A06, A07, A08 and A09)?	Y			
17.5	Are the appropriate counties identified in the narrative?	Y			
<b>18. FLORIDA FISCAL PORTAL</b>					
18.1	Have all files been assembled correctly and posted to the Florida Fiscal Portal as outlined in the Florida Fiscal Portal Submittal Process?	Y			

## Fiscal Year 2010-11 LBR Technical Review Checklist

Department/Budget Entity (Service): Financial Services/Licensing and Consumer Protection
Agency Budget Officer/OPB Analyst Name: Sarah Goodman/Walter Liebrich

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)				
	43500100	43500200	43500300	43500400	43500500
<b>1. GENERAL</b>					
1.1 Are Columns A01, A02, A04, A05, A10, A11, A36, IA1, IV1, IV3 and NV1 set to TRANSFER CONTROL for DISPLAY status and MANAGEMENT CONTROL for UPDATE status for both the Budget and Trust Fund columns? Are Columns A06, A07, A08 and A09 for Fixed Capital Outlay (FCO) set to TRANSFER CONTROL for DISPLAY status only? <b>(CSDI)</b>	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? <b>(CSDI)</b>	Y	Y	Y	Y	Y
<b>AUDITS:</b>					
1.3 Has Column A03 been copied to Column A12? Run the Exhibit B Audit Comparison Report to verify. <b>(EXBR, EXBA)</b>	Y	Y	Y	Y	Y
1.4 Has security been set correctly? <b>(CSDR, CSA)</b>	Y	Y	Y	Y	Y
<b>2. EXHIBIT A (EADR, EXA)</b>					
2.1 Is the budget entity authority and description consistent with the agency's LRPP and does it conform to the directives provided on page 56 of the LBR Instructions?	Y	Y	Y	Y	Y
2.2 Are the statewide issues generated systematically (estimated expenditures, nonrecurring expenditures, etc.) included?	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 27)? Do they clearly describe the issue?	Y	Y	Y	Y	Y
2.4 Have the coding guidelines in <i>Section 3</i> of the LBR Instructions (pages 15 through 27) been followed?	Y	Y	Y	Y	Y
<b>3. EXHIBIT B (EXBR, EXB)</b>					
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	Y	Y	Y	Y
<b>AUDITS:</b>					
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? <b>(NACR, NAC - Report should print "No Negative Appropriation Categories Found")</b>	Y	Y	Y	Y	Y
3.3 Current Year Estimated Verification Comparison Report: Is Column A02 equal to Column B07? <b>(EXBR, EXBC - Report should print "Records Selected Net To Zero")</b>	Y	Y	Y	Y	Y

Action	Program or Service (Budget Entity Codes)				
	43500100	43500200	43500300	43500400	43500500
<b>4. EXHIBIT D (EADR, EXD)</b>					
4.1 Is the program component objective statement consistent with the agency LRPP, and does it conform to the directives provided on page 59 of the LBR Instructions?	Y	Y	Y	Y	Y
4.2 Is the program component code and title used correct?	Y	Y	Y	Y	Y
<b>5. EXHIBIT D-1 (ED1R, EXD1)</b>					
5.1 Are all object of expenditures positive amounts? (This is a manual check.)	Y	Y	Y	Y	Y
<b>AUDITS:</b>					
5.2 Do the fund totals agree with the object category totals within each appropriation category? ( <b>ED1R, XD1A - Report should print "No Differences Found For This Report"</b> )	Y	Y	Y	Y	Y
5.3 FLAIR Expenditure/Appropriation Ledger Comparison Report: Is Column A01 less than Column B04? ( <b>EXBR, EXBB - Negative differences need to be corrected in Column A01.</b> )  <i>Please note that the LBR Instructions reference the wrong B column.</i>	Y	Y	Y	Y	Y
5.4 A01/State Accounts Disbursements and Carry Forward Comparison Report: Does Column A01 equal Column B08? ( <b>EXBR, EXBD - Differences need to be corrected in Column A01.</b> )  <i>Please note that the LBR Instructions reference the wrong B column.</i>	Y	Y	Y	Y	Y

Action	Program or Service (Budget Entity Codes)				
	43500100	43500200	43500300	43500400	43500500
<b>6. EXHIBIT D-3 (ED3R, ED3) (Not required in the LBR - for analytical purposes only.)</b>					
6.1 Are issues appropriately aligned with appropriation categories?	Y	Y	Y	Y	Y
<b>7. EXHIBIT D-3A (EADR, ED3A)</b>					
7.1 Are the issue titles correct and do they clearly identify the issue? (See pages 15 through 31 of the LBR Instructions.)	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 page 65 of the LBR Instructions.)	Y	Y	Y	Y	Y
7.3 Does the narrative for Information Technology (IT) issue follow the additional narrative requirements described on pages 66 through 70 of the LBR Instructions?	Y	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
7.5 Does the issue narrative explain any variances from the Standard Expense and Human Resource Services Assessments package? Is the nonrecurring portion in the nonrecurring column? (See pages E-4 and E-5 of the LBR Instructions.)	Y	Y	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	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	Y	Y	Y
7.8 Does the issue narrative include the Consensus Estimating Conference forecast, where appropriate?	Y	Y	Y	Y	Y
7.9 Does the issue narrative reference the specific county(ies) where applicable?	Y	Y	Y	Y	Y



Action		Program or Service (Budget Entity Codes)				
		43500100	43500200	43500300	43500400	43500500
7.10	Do the 160XXX0 issues reflect budget amendments that have been approved (or in the process of being approved) and that have a recurring impact (including Lump Sums)? Have the approved budget amendments been entered in Column A18 as instructed in Memo #10-002?	Y	Y	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. <b>(PLRR, PLMO)</b>	Y	Y	Y	Y	Y
7.12	Does the issue narrative include plans to satisfy additional space requirements when requesting additional positions?	Y	Y	Y	Y	Y
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
7.14	Do the amounts reflect appropriate FSI assignments?	Y	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 26 and 86 of the LBR Instructions.)	Y	Y	Y	Y	Y
7.16	Do the issues relating to <i>Information Technology (IT)</i> have a "C" in the sixth position of the issue code (36XXXXC) and are the correct issue codes used (361XXC0, 362XXC0, 363XXC0, 17C01C0, 17C02C0, 17C03C0, 24010C0, 33001C0 or 55C01C0)?	Y	Y	Y	Y	Y
7.17	Are the issues relating to <i>major audit findings and recommendations</i> properly coded (4A0XXX0, 4B0XXX0)?	Y	Y	Y	Y	Y
<b>AUDIT:</b>						
7.18	Are all FSI's equal to '1', '2', '3', or '9'? There should be no FSI's equal to '0'. <b>(EADR, FSIA - Report should print "No Records Selected For Reporting")</b>	Y	Y	Y	Y	Y
7.19	Does the General Revenue for 160XXXX issues net to zero? <b>(GENR, LBR1)</b>	Y	Y	Y	Y	Y
7.20	Does the General Revenue for 180XXXX issues net to zero? <b>(GENR, LBR2)</b>	Y	Y	Y	Y	Y
7.21	Does the General Revenue for 200XXXX issues net to zero? <b>(GENR, LBR3)</b>	Y	Y	Y	Y	Y
7.22	Have FCO appropriations been entered into the nonrecurring column A04? <b>(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) )</b>	Y	Y	Y	Y	Y

Action	Program or Service (Budget Entity Codes)									
	43500100	43500200	43500300	43500400	43500500					
<b>8. SCHEDULE I &amp; RELATED DOCUMENTS (SC1R, SC1 - Budget Entity Level or SC1R, SC1D - Department Level)</b>										
8.1	Has a separate department level Schedule I and supporting documents package been submitted by the agency?					Y	Y	Y	Y	Y
8.2	Has a Schedule I been completed in LAS/PBS for each operating trust fund?					Y	Y	Y	Y	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	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?					Y	Y	Y	Y	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	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
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
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/A	N/A	N/A	N/A	N/A
8.9	Are the revenue codes correct? In the case of federal revenues, has the agency appropriately identified direct versus indirect receipts (object codes 000700, 000750, 000799, 001510 and 001599)?					Y	Y	Y	Y	Y
8.10	Are the statutory authority references correct?					Y	Y	Y	Y	Y
8.11	Are the General Revenue Service Charge percentage rates used for each revenue source correct? (Refer to Chapter 2009-78, Laws of Florida, for appropriate general revenue service charge percentage rates.)					Y	Y	Y	Y	Y
8.12	Is this an accurate representation of revenues based on the most recent Consensus Estimating Conference forecasts?					Y	Y	Y	Y	Y
8.13	If there is no Consensus Estimating Conference forecast available, do the revenue estimates appear to be reasonable?					Y	Y	Y	Y	Y

Action		Program or Service (Budget Entity Codes)				
		43500100	43500200	43500300	43500400	43500500
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
8.15	Are anticipated grants included and based on the state fiscal year (rather than federal fiscal year)?	Y	Y	Y	Y	Y
8.16	Are the Schedule I revenues consistent with the FSI's reported in the Exhibit D-3A?	Y	Y	Y	Y	Y
8.17	If applicable, are nonrecurring revenues entered into Column A04?	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?	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?	Y	Y	Y	Y	Y
8.20	Are appropriate service charge nonoperating amounts included in Section II?	Y	Y	Y	Y	Y
8.21	Are nonoperating expenditures to other budget entities/departments cross-referenced accurately?	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
8.23	Are nonoperating expenditures recorded in Section II and adjustments recorded in Section III?	Y	Y	Y	Y	Y
8.24	Are prior year September operating reversions appropriately shown in column A01?	Y	Y	Y	Y	Y
8.25	Are current year September operating reversions appropriately shown in column A02?	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
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	Y	Y	Y	Y
8.28	Does Line I of Column A01 (Schedule I) equal Line K of the Schedule IC?	Y	Y	Y	Y	Y
<b>AUDITS:</b>						
8.29	Is Line I a positive number? (If not, the agency must adjust the budget request to eliminate the deficit).	Y	Y	Y	Y	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? <b>(SC1R, SC1A - Report should print "No Discrepancies Exist For This Report")</b>	Y	Y	Y	Y	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. <b>(SC1R, DEPT)</b>	Y	Y	Y	Y	Y

Action	Program or Service (Budget Entity Codes)				
	43500100	43500200	43500300	43500400	43500500

**9. SCHEDULE II (PSCR, SC2)**

<b>AUDIT:</b>						
9.1	Is the pay grade minimum for salary rate utilized for positions in segments 2 and 3? ( <b>BRAR, BRAA - Report should print "No Records Selected For This Request"</b> ) Note: Amounts other than the pay grade minimum should be fully justified in the D-3A issue narrative. (See <i>Base Rate Audit</i> on page 156 of the LBR Instructions.)	Y	Y	Y	Y	Y

**10. SCHEDULE III (PSCR, SC3)**

10.1	Is the appropriate lapse amount applied in Segment 3? (See page 88 of the LBR Instructions.)	Y	Y	Y	Y	Y
10.2	Are amounts in <i>Other Salary Amount</i> appropriate and fully justified? (See page 95 of the LBR Instructions for appropriate use of the OAD transaction.) Use <b>OADI</b> or <b>OADR</b> to identify agency other salary amounts requested.	Y	Y	Y	Y	Y

**11. SCHEDULE IV (EADR, SC4)**

11.1	Are the correct Information Technology (IT) issue codes used?	Y	Y	Y	Y	Y
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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?	Y	Y	Y	Y	Y
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**13. SCHEDULE VIIIB-1**

13.1	This schedule is not required in the October 15, 2009 LBR submittal.					
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**14. SCHEDULE VIIIB-2 (EADR, S8B2)**

14.1	Do the reductions comply with the instructions provided on pages 101 and 102 of the LBR Instructions regarding a 10% reduction in recurring General Revenue and Trust Funds?	Y	Y	Y	Y	Y
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Action	Program or Service (Budget Entity Codes)				
	43500100	43500200	43500300	43500400	43500500
<b>15. SCHEDULE XI (LAS/PBS Web - see page 108 of the LBR Instructions for detailed instructions)</b>					
15.1 Has the Schedule XI one page summary Excel file been e-mailed to OPB at OPB.UnitCostSummary@laspbs.state.fl.us? Agencies are required to generate this spreadsheet via the LAS/PBS Web. (Note: Pursuant to <i>section 216.023(4)(b), Florida Statutes</i> , the Legislature can reduce the funding level for any agency that does not provide this information.)	Y	Y	Y	Y	Y
15.2 Do the PDF files uploaded to the Florida Fiscal Portal for the LRPP and LBR match the Excel file e-mailed to OPB?	Y	Y	Y	Y	Y
<b>AUDITS INCLUDED IN THE SCHEDULE XI REPORT:</b>					
15.3 Does the FY 2008-09 Actual (prior year) Expenditures in Column A36 reconcile to Column A01? ( <b>GENR, ACT1</b> )	Y	Y	Y	Y	Y
15.4 None of the executive direction, administrative support and information technology statewide activities (ACT0010 thru ACT0490) have output standards (Record Type 5)? ( <b>Audit #1 should print "No Activities Found"</b> )	Y	Y	Y	Y	Y
15.5 Does the Fixed Capital Outlay (FCO) statewide activity (ACT0210) only contain 08XXXX or 14XXXX appropriation categories? ( <b>Audit #2 should print "No Operating Categories Found"</b> )	Y	Y	Y	Y	Y
15.6 Has the agency provided the necessary demand (Record Type 5) for all activities which <u>should</u> appear in Section II? (Note: Audit #3 will identify those activities that do NOT have a Record Type '5' and have not been identified as a 'Pass Through' activity. These activities will be displayed in Section III with the 'Payment of Pensions, Benefits and Claims' activity and 'Other' activities. Verify if these activities should be displayed in Section III. If not, an output standard would need to be added for that activity and the Schedule XI submitted again.)	Y	Y	Y	Y	Y
15.7 Does Section I (Final Budget for Agency) and Section III (Total Budget for Agency) equal? ( <b>Audit #4 should print "No Discrepancies Found"</b> )	Y	Y	Y	Y	Y

Action	Program or Service (Budget Entity Codes)				
	43500100	43500200	43500300	43500400	43500500
<b>16. MANUALLY PREPARED EXHIBITS &amp; SCHEDULES</b>					
16.1 Do exhibits and schedules comply with LBR Instructions (pages 109 through 153 of the LBR Instructions), and are they accurate and complete?	Y	Y	Y	Y	Y
16.2 Are appropriation category totals comparable to Exhibit B, where applicable?	Y	Y	Y	Y	Y
16.3 Are agency organization charts (Schedule X) provided and at the appropriate level of detail?	Y	Y	Y	Y	Y
<b>AUDITS - GENERAL INFORMATION</b>					
<b>17. CAPITAL IMPROVEMENTS PROGRAM (CIP)</b>					
17.1 Are the CIP-2, CIP-3, CIP-A and CIP-B forms included?	Y	Y	Y	Y	Y
17.2 Are the CIP-4 and CIP-5 forms submitted when applicable (see CIP Instructions)?	Y	Y	Y	Y	Y
17.3 Do all CIP forms comply with CIP Instructions where applicable (see CIP Instructions)?	Y	Y	Y	Y	Y
17.4 Does the agency request include 5 year projections (Columns A03, A06, A07, A08 and A09)?	Y	Y	Y	Y	Y
17.5 Are the appropriate counties identified in the narrative?	Y	Y	Y	Y	Y
<b>18. FLORIDA FISCAL PORTAL</b>					
18.1 Have all files been assembled correctly and posted to the Florida Fiscal Portal as outlined in the Florida Fiscal Portal Submittal Process?	Y	Y	Y	Y	Y

## Fiscal Year 2010-11 LBR Technical Review Checklist

Department/Budget Entity (Service): Financial Services/Workers' Compensation

Agency Budget Officer/OPB Analyst Name: Sarah Goodman/Walter Liebrich

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)			
43600100				

### 1. GENERAL

1.1 Are Columns A01, A02, A04, A05, A10, A11, A36, IA1, IV1, IV3 and NV1 set to TRANSFER CONTROL for DISPLAY status and MANAGEMENT CONTROL for UPDATE status for both the Budget and Trust Fund columns? Are Columns A06, A07, A08 and A09 for Fixed Capital Outlay (FCO) set to TRANSFER CONTROL for DISPLAY status only? <b>(CSDI)</b>	Y				
1.2 Is Column A03 set to TRANSFER CONTROL for DISPLAY and UPDATE status for both the Budget and Trust Fund columns? <b>(CSDI)</b>	Y				

### AUDITS:

1.3 Has Column A03 been copied to Column A12? Run the Exhibit B Audit Comparison Report to verify. <b>(EXBR, EXBA)</b>	Y				
1.4 Has security been set correctly? <b>(CSDR, CSA)</b>	Y				

### 2. EXHIBIT A (EADR, EXA)

2.1 Is the budget entity authority and description consistent with the agency's LRPP and does it conform to the directives provided on page 56 of the LBR Instructions?	Y				
2.2 Are the statewide issues generated systematically (estimated expenditures, nonrecurring expenditures, etc.) included?	Y				
2.3 Are the issue codes and titles consistent with <i>Section 3</i> of the LBR Instructions (pages 15 through 27)? Do they clearly describe the issue?	Y				
2.4 Have the coding guidelines in <i>Section 3</i> of the LBR Instructions (pages 15 through 27) been followed?	Y				

### 3. EXHIBIT B (EXBR, EXB)

3.1 Is it apparent that there is a fund shift and were the issues entered into LAS/PBS correctly? Check D-3A funding shift issue 340XXX0 - a unique deduct and unique add back issue should be used to ensure fund shifts display correctly on the LBR exhibits.	Y				
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### 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? <b>(NACR, NAC - Report should print "No Negative Appropriation Categories Found")</b>	Y				
3.3 Current Year Estimated Verification Comparison Report: Is Column A02 equal to Column B07? <b>(EXBR, EXBC - Report should print "Records Selected Net To Zero")</b>	Y				

		Program or Service (Budget Entity Codes)			
Action		43600100			
<b>4. EXHIBIT D (EADR, EXD)</b>					
4.1	Is the program component objective statement consistent with the agency LRPP, and does it conform to the directives provided on page 59 of the LBR Instructions?	Y			
4.2	Is the program component code and title used correct?	Y			
<b>5. EXHIBIT D-1 (ED1R, EXD1)</b>					
5.1	Are all object of expenditures positive amounts? (This is a manual check.)	Y			
<b>AUDITS:</b>					
5.2	Do the fund totals agree with the object category totals within each appropriation category? ( <b>ED1R, XD1A - Report should print "No Differences Found For This Report"</b> )	Y			
5.3	FLAIR Expenditure/Appropriation Ledger Comparison Report: Is Column A01 less than Column B04? ( <b>EXBR, EXBB - Negative differences need to be corrected in Column A01.</b> )  <i>Please note that the LBR Instructions reference the wrong B column.</i>	Y			
5.4	A01/State Accounts Disbursements and Carry Forward Comparison Report: Does Column A01 equal Column B08? ( <b>EXBR, EXBD - Differences need to be corrected in Column A01.</b> )  <i>Please note that the LBR Instructions reference the wrong B column.</i>	Y			



	Program or Service (Budget Entity Codes)			
Action	43600100			

<b>6. EXHIBIT D-3 (ED3R, ED3) (Not required in the LBR - for analytical purposes only.)</b>				
6.1	Are issues appropriately aligned with appropriation categories?	Y		
<b>7. EXHIBIT D-3A (EADR, ED3A)</b>				
7.1	Are the issue titles correct and do they clearly identify the issue? (See pages 15 through 31 of the LBR Instructions.)	Y		
7.2	Does the issue narrative adequately explain the agency's request and is the explanation consistent with the LRPP? (See page 65 of the LBR Instructions.)	Y		
7.3	Does the narrative for Information Technology (IT) issue follow the additional narrative requirements described on pages 66 through 70 of the LBR Instructions?	Y		
7.4	Are all issues with an IT component identified with a "Y" in the "IT COMPONENT?" field? If the issue contains an IT component, has that component been identified and documented?	Y		
7.5	Does the issue narrative explain any variances from the Standard Expense and Human Resource Services Assessments package? Is the nonrecurring portion in the nonrecurring column? (See pages E-4 and E-5 of the LBR Instructions.)	Y		
7.6	Does the salary rate request amount accurately reflect any new requests and are the amounts proportionate to the Salaries and Benefits request? Note: Salary rate should always be annualized.	Y		
7.7	Does the issue narrative thoroughly explain/justify all Salaries and Benefits amounts entered into the Other Salary Amounts transactions (OADA/C)? Amounts entered into OAD are reflected in the Position Detail of Salaries and Benefits section of the Exhibit D-3A.	Y		
7.8	Does the issue narrative include the Consensus Estimating Conference forecast, where appropriate?	Y		
7.9	Does the issue narrative reference the specific county(ies) where applicable?	Y		

Action		Program or Service (Budget Entity Codes)			
		43600100			
7.10	Do the 160XXX0 issues reflect budget amendments that have been approved (or in the process of being approved) and that have a recurring impact (including Lump Sums)? Have the approved budget amendments been entered in Column A18 as instructed in Memo #10-002?	Y			
7.11	When appropriate are there any 160XXX0 issues included to delete positions placed in reserve in the OPB Position and Rate Ledger (e.g. unfunded grants)? Note: Lump sum appropriations not yet allocated should <u>not</u> be deleted. <b>(PLRR, PLMO)</b>	Y			
7.12	Does the issue narrative include plans to satisfy additional space requirements when requesting additional positions?	Y			
7.13	Has the agency included a 160XXX0 issue and 210XXXX and 260XXX0 issues as required for lump sum distributions?	Y			
7.14	Do the amounts reflect appropriate FSI assignments?	Y			
7.15	Do the issues relating to <i>salary and benefits</i> have an "A" in the fifth position of the issue code (XXXXAXX) and are they self-contained (not combined with other issues)? (See page 26 and 86 of the LBR Instructions.)	Y			
7.16	Do the issues relating to <i>Information Technology (IT)</i> have a "C" in the sixth position of the issue code (36XXXXCX) and are the correct issue codes used (361XXC0, 362XXC0, 363XXC0, 17C01C0, 17C02C0, 17C03C0, 24010C0, 33001C0 or 55C01C0)?	Y			
7.17	Are the issues relating to <i>major audit findings and recommendations</i> properly coded (4A0XXX0, 4B0XXX0)?	Y			
<b>AUDIT:</b>					
7.18	Are all FSI's equal to '1', '2', '3', or '9'? There should be no FSI's equal to '0'. <b>(EADR, FSIA - Report should print "No Records Selected For Reporting")</b>	Y			
7.19	Does the General Revenue for 160XXXX issues net to zero? <b>(GENR, LBR1)</b>	Y			
7.20	Does the General Revenue for 180XXXX issues net to zero? <b>(GENR, LBR2)</b>	Y			
7.21	Does the General Revenue for 200XXXX issues net to zero? <b>(GENR, LBR3)</b>	Y			
7.22	Have FCO appropriations been entered into the nonrecurring column A04? <b>(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) )</b>	Y			

Action		Program or Service (Budget Entity Codes)			
		43600100			
<b>8. SCHEDULE I &amp; RELATED DOCUMENTS (SC1R, SC1 - Budget Entity Level or SC1R, SC1D - Department Level)</b>					
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/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 <i>section 215.32(2)(b), Florida Statutes</i> - including the Schedule ID and applicable legislation?	N/A			
8.9	Are the revenue codes correct? In the case of federal revenues, has the agency appropriately identified direct versus indirect receipts (object codes 000700, 000750, 000799, 001510 and 001599)?	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 Chapter 2009-78, Laws of Florida, for appropriate general revenue service charge percentage rates.)	Y			
8.12	Is this an accurate representation of revenues based on the most recent Consensus Estimating Conference forecasts?	Y			
8.13	If there is no Consensus Estimating Conference forecast available, do the revenue estimates appear to be reasonable?	Y			

Action		Program or Service (Budget Entity Codes)			
		43600100			
8.14	Are the federal funds revenues reported in Section I broken out by individual grant? Are the correct CFDA codes used?	Y			
8.15	Are anticipated grants included and based on the state fiscal year (rather than federal fiscal year)?	Y			
8.16	Are the Schedule I revenues consistent with the FSI's reported in the Exhibit D-3A?	Y			
8.17	If applicable, are nonrecurring revenues entered into Column A04?	Y			
8.18	Has the agency certified the revenue estimates in columns A02 and A03 to be the latest and most accurate available?	Y			
8.19	Is a 5% trust fund reserve reflected in Section II? If not, is sufficient justification provided for exemption? Are the additional narrative requirements provided?	Y			
8.20	Are appropriate service charge nonoperating amounts included in Section II?	Y			
8.21	Are nonoperating expenditures to other budget entities/departments cross-referenced accurately?	Y			
8.22	Do transfers balance between funds (within the agency as well as between agencies)? (See also 8.6 for required transfer confirmation of amounts totaling \$100,000 or more.)	Y			
8.23	Are nonoperating expenditures recorded in Section II and adjustments recorded in Section III?	Y			
8.24	Are prior year September operating reversions appropriately shown in column A01?	Y			
8.25	Are current year September operating reversions appropriately shown in column A02?	Y			
8.26	Does the Schedule IC properly reflect the unreserved fund balance for each trust fund as defined by the LBR Instructions, and is it reconciled to the agency accounting records?	Y			
8.27	Does Column A01 of the Schedule I accurately represent the actual prior year accounting data as reflected in the agency accounting records, and is it provided in sufficient detail for analysis?	Y			
8.28	Does Line I of Column A01 (Schedule I) equal Line K of the Schedule IC?	Y			
<b>AUDITS:</b>					
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? <b>(SC1R, SC1A - Report should print "No Discrepancies Exist For This Report")</b>	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. <b>(SC1R, DEPT)</b>	Y			

	Program or Service (Budget Entity Codes)			
Action	43600100			

**9. SCHEDULE II (PSCR, SC2)**

<b>AUDIT:</b>					
9.1	Is the pay grade minimum for salary rate utilized for positions in segments 2 and 3? ( <b>BRAR, BRAA - Report should print "No Records Selected For This Request"</b> ) Note: Amounts other than the pay grade minimum should be fully justified in the D-3A issue narrative. (See <i>Base Rate Audit</i> on page 156 of the LBR Instructions.)	Y			

**10. SCHEDULE III (PSCR, SC3)**

10.1	Is the appropriate lapse amount applied in Segment 3? (See page 88 of the LBR Instructions.)	Y			
10.2	Are amounts in <i>Other Salary Amount</i> appropriate and fully justified? (See page 95 of the LBR Instructions for appropriate use of the OAD transaction.) Use <b>OADI</b> or <b>OADR</b> to identify agency other salary amounts requested.	Y			

**11. SCHEDULE IV (EADR, SC4)**

11.1	Are the correct Information Technology (IT) issue codes used?	Y			
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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?	Y			
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**13. SCHEDULE VIIIB-1**

13.1	This schedule is not required in the October 15, 2009 LBR submittal.				
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**14. SCHEDULE VIIIB-2 (EADR, S8B2)**

14.1	Do the reductions comply with the instructions provided on pages 101 and 102 of the LBR Instructions regarding a 10% reduction in recurring General Revenue and Trust Funds?	Y			
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Action		Program or Service (Budget Entity Codes)			
		43600100			
<b>15. SCHEDULE XI (LAS/PBS Web - see page 108 of the LBR Instructions for detailed instructions)</b>					
15.1	Has the Schedule XI one page summary Excel file been e-mailed to OPB at OPB.UnitCostSummary@laspbs.state.fl.us? Agencies are required to generate this spreadsheet via the LAS/PBS Web. (Note: Pursuant to <i>section 216.023(4)(b), Florida Statutes</i> , the Legislature can reduce the funding level for any agency that does not provide this information.)	Y			
15.2	Do the PDF files uploaded to the Florida Fiscal Portal for the LRPP and LBR match the Excel file e-mailed to OPB?	Y			
<b>AUDITS INCLUDED IN THE SCHEDULE XI REPORT:</b>					
15.3	Does the FY 2008-09 Actual (prior year) Expenditures in Column A36 reconcile to Column A01? ( <b>GENR, ACT1</b> )	Y			
15.4	None of the executive direction, administrative support and information technology statewide activities (ACT0010 thru ACT0490) have output standards (Record Type 5)? ( <b>Audit #1 should print "No Activities Found"</b> )	Y			
15.5	Does the Fixed Capital Outlay (FCO) statewide activity (ACT0210) only contain 08XXXX or 14XXXX appropriation categories? ( <b>Audit #2 should print "No Operating Categories Found"</b> )	Y			
15.6	Has the agency provided the necessary demand (Record Type 5) for all activities which <u>should</u> appear in Section II? (Note: Audit #3 will identify those activities that do NOT have a Record Type '5' and have not been identified as a 'Pass Through' activity. These activities will be displayed in Section III with the 'Payment of Pensions, Benefits and Claims' activity and 'Other' activities. Verify if these activities should be displayed in Section III. If not, an output standard would need to be added for that activity and the Schedule XI submitted again.)	Y			
15.7	Does Section I (Final Budget for Agency) and Section III (Total Budget for Agency) equal? ( <b>Audit #4 should print "No Discrepancies Found"</b> )	Y			

		Program or Service (Budget Entity Codes)			
Action		43600100			
<b>16. MANUALLY PREPARED EXHIBITS &amp; SCHEDULES</b>					
16.1	Do exhibits and schedules comply with LBR Instructions (pages 109 through 153 of the LBR Instructions), and are they accurate and complete?	Y			
16.2	Are appropriation category totals comparable to Exhibit B, where applicable?	Y			
16.3	Are agency organization charts (Schedule X) provided and at the appropriate level of detail?	Y			
<b>AUDITS - GENERAL INFORMATION</b>					
<b>17. CAPITAL IMPROVEMENTS PROGRAM (CIP)</b>					
17.1	Are the CIP-2, CIP-3, CIP-A and CIP-B forms included?	Y			
17.2	Are the CIP-4 and CIP-5 forms submitted when applicable (see CIP Instructions)?	Y			
17.3	Do all CIP forms comply with CIP Instructions where applicable (see CIP Instructions)?	Y			
17.4	Does the agency request include 5 year projections (Columns A03, A06, A07, A08 and A09)?	Y			
17.5	Are the appropriate counties identified in the narrative?	Y			
<b>18. FLORIDA FISCAL PORTAL</b>					
18.1	Have all files been assembled correctly and posted to the Florida Fiscal Portal as outlined in the Florida Fiscal Portal Submittal Process?	Y			

## Fiscal Year 2010-11 LBR Technical Review Checklist

Department/Budget Entity (Service): Financial Services/Office of Insurance Regulation

Agency Budget Officer/OPB Analyst Name: Sarah Goodman/Walter Liebrich

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.

	Program or Service (Budget Entity Codes)			
Action	43900110	43900120		

### 1. GENERAL

1.1 Are Columns A01, A02, A04, A05, A10, A11, A36, IA1, IV1, IV3 and NV1 set to TRANSFER CONTROL for DISPLAY status and MANAGEMENT CONTROL for UPDATE status for both the Budget and Trust Fund columns? Are Columns A06, A07, A08 and A09 for Fixed Capital Outlay (FCO) set to TRANSFER CONTROL for DISPLAY status only? <b>(CSDI)</b>	Y	Y		
1.2 Is Column A03 set to TRANSFER CONTROL for DISPLAY and UPDATE status for both the Budget and Trust Fund columns? <b>(CSDI)</b>	Y	Y		

#### AUDITS:

1.3 Has Column A03 been copied to Column A12? Run the Exhibit B Audit Comparison Report to verify. <b>(EXBR, EXBA)</b>	Y	Y		
1.4 Has security been set correctly? <b>(CSDR, CSA)</b>	Y	Y		

### 2. EXHIBIT A (EADR, EXA)

2.1 Is the budget entity authority and description consistent with the agency's LRPP and does it conform to the directives provided on page 56 of the LBR Instructions?	Y	Y		
2.2 Are the statewide issues generated systematically (estimated expenditures, nonrecurring expenditures, etc.) included?	Y	Y		
2.3 Are the issue codes and titles consistent with <i>Section 3</i> of the LBR Instructions (pages 15 through 27)? Do they clearly describe the issue?	Y	Y		
2.4 Have the coding guidelines in <i>Section 3</i> of the LBR Instructions (pages 15 through 27) been followed?	Y	Y		

### 3. EXHIBIT B (EXBR, EXB)

3.1 Is it apparent that there is a fund shift and were the issues entered into LAS/PBS correctly? Check D-3A funding shift issue 340XXX0 - a unique deduct and unique add back issue should be used to ensure fund shifts display correctly on the LBR exhibits.	Y	Y		
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#### 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? <b>(NACR, NAC - Report should print "No Negative Appropriation Categories Found")</b>	Y	Y		
3.3 Current Year Estimated Verification Comparison Report: Is Column A02 equal to Column B07? <b>(EXBR, EXBC - Report should print "Records Selected Net To Zero")</b>	Y	Y		



Action		Program or Service (Budget Entity Codes)			
		43900110	43900120		
<b>4. EXHIBIT D (EADR, EXD)</b>					
4.1	Is the program component objective statement consistent with the agency LRPP, and does it conform to the directives provided on page 59 of the LBR Instructions?	Y	Y		
4.2	Is the program component code and title used correct?	Y	Y		
<b>5. EXHIBIT D-1 (ED1R, EXD1)</b>					
5.1	Are all object of expenditures positive amounts? (This is a manual check.)	Y	Y		
<b>AUDITS:</b>					
5.2	Do the fund totals agree with the object category totals within each appropriation category? <b>(ED1R, XD1A - Report should print "No Differences Found For This Report")</b>	Y	Y		
5.3	FLAIR Expenditure/Appropriation Ledger Comparison Report: Is Column A01 less than Column B04? <b>(EXBR, EXBB - Negative differences need to be corrected in Column A01.)</b>  <i>Please note that the LBR Instructions reference the wrong B column.</i>	Y	Y		
5.4	A01/State Accounts Disbursements and Carry Forward Comparison Report: Does Column A01 equal Column B08? <b>(EXBR, EXBD - Differences need to be corrected in Column A01.)</b>  <i>Please note that the LBR Instructions reference the wrong B column.</i>	Y	Y		

Action	Program or Service (Budget Entity Codes)			
	43900110	43900120		

<b>6. EXHIBIT D-3 (ED3R, ED3) (Not required in the LBR - for analytical purposes only.)</b>					
6.1	Are issues appropriately aligned with appropriation categories?	Y	Y		
<b>7. EXHIBIT D-3A (EADR, ED3A)</b>					
7.1	Are the issue titles correct and do they clearly identify the issue? (See pages 15 through 31 of the LBR Instructions.)	Y	Y		
7.2	Does the issue narrative adequately explain the agency's request and is the explanation consistent with the LRPP? (See page 65 of the LBR Instructions.)	Y	Y		
7.3	Does the narrative for Information Technology (IT) issue follow the additional narrative requirements described on pages 66 through 70 of the LBR Instructions?	Y	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		
7.5	Does the issue narrative explain any variances from the Standard Expense and Human Resource Services Assessments package? Is the nonrecurring portion in the nonrecurring column? (See pages E-4 and E-5 of the LBR Instructions.)	Y	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		
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?	Y	Y		
7.9	Does the issue narrative reference the specific county(ies) where applicable?	Y	Y		

Action		Program or Service (Budget Entity Codes)				
		43900110	43900120			
7.10	Do the 160XXX0 issues reflect budget amendments that have been approved (or in the process of being approved) and that have a recurring impact (including Lump Sums)? Have the approved budget amendments been entered in Column A18 as instructed in Memo #10-002?	Y	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. <b>(PLRR, PLMO)</b>	Y	Y			
7.12	Does the issue narrative include plans to satisfy additional space requirements when requesting additional positions?	Y	Y			
7.13	Has the agency included a 160XXX0 issue and 210XXXX and 260XXX0 issues as required for lump sum distributions?	Y	Y			
7.14	Do the amounts reflect appropriate FSI assignments?	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 26 and 86 of the LBR Instructions.)	Y	Y			
7.16	Do the issues relating to <i>Information Technology (IT)</i> have a "C" in the sixth position of the issue code (36XXXXCX) and are the correct issue codes used (361XXC0, 362XXC0, 363XXC0, 17C01C0, 17C02C0, 17C03C0, 24010C0, 33001C0 or 55C01C0)?	Y	Y			
7.17	Are the issues relating to <i>major audit findings and recommendations</i> properly coded (4A0XXX0, 4B0XXX0)?	Y	Y			
<b>AUDIT:</b>						
7.18	Are all FSI's equal to '1', '2', '3', or '9'? There should be no FSI's equal to '0'. <b>(EADR, FSIA - Report should print "No Records Selected For Reporting")</b>	Y	Y			
7.19	Does the General Revenue for 160XXXX issues net to zero? <b>(GENR, LBR1)</b>	Y	Y			
7.20	Does the General Revenue for 180XXXX issues net to zero? <b>(GENR, LBR2)</b>	Y	Y			
7.21	Does the General Revenue for 200XXXX issues net to zero? <b>(GENR, LBR3)</b>	Y	Y			
7.22	Have FCO appropriations been entered into the nonrecurring column A04? <b>(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) )</b>	Y	Y			

Action	Program or Service (Budget Entity Codes)				
	43900110	43900120			
<b>8. SCHEDULE I &amp; RELATED DOCUMENTS (SC1R, SC1 - Budget Entity Level or SC1R, SC1D - Department Level)</b>					
8.1	Has a separate department level Schedule I and supporting documents package been submitted by the agency?	Y	Y		
8.2	Has a Schedule I been completed in LAS/PBS for each operating trust fund?	Y	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	Y		
8.4	Have the Examination of Regulatory Fees Part I and Part II forms been included for the applicable regulatory programs?	Y	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	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		
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		
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/A	N/A		
8.9	Are the revenue codes correct? In the case of federal revenues, has the agency appropriately identified direct versus indirect receipts (object codes 000700, 000750, 000799, 001510 and 001599)?	Y	Y		
8.10	Are the statutory authority references correct?	Y	Y		
8.11	Are the General Revenue Service Charge percentage rates used for each revenue source correct? (Refer to Chapter 2009-78, Laws of Florida, for appropriate general revenue service charge percentage rates.)	Y	Y		
8.12	Is this an accurate representation of revenues based on the most recent Consensus Estimating Conference forecasts?	Y	Y		
8.13	If there is no Consensus Estimating Conference forecast available, do the revenue estimates appear to be reasonable?	Y	Y		

Action		Program or Service (Budget Entity Codes)			
		43900110	43900120		
8.14	Are the federal funds revenues reported in Section I broken out by individual grant? Are the correct CFDA codes used?	Y	Y		
8.15	Are anticipated grants included and based on the state fiscal year (rather than federal fiscal year)?	Y	Y		
8.16	Are the Schedule I revenues consistent with the FSI's reported in the Exhibit D-3A?	Y	Y		
8.17	If applicable, are nonrecurring revenues entered into Column A04?	Y	Y		
8.18	Has the agency certified the revenue estimates in columns A02 and A03 to be the latest and most accurate available?	Y	Y		
8.19	Is a 5% trust fund reserve reflected in Section II? If not, is sufficient justification provided for exemption? Are the additional narrative requirements provided?	Y	Y		
8.20	Are appropriate service charge nonoperating amounts included in Section II?	Y	Y		
8.21	Are nonoperating expenditures to other budget entities/departments cross-referenced accurately?	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		
8.23	Are nonoperating expenditures recorded in Section II and adjustments recorded in Section III?	Y	Y		
8.24	Are prior year September operating reversions appropriately shown in column A01?	Y	Y		
8.25	Are current year September operating reversions appropriately shown in column A02?	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		
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	Y		
8.28	Does Line I of Column A01 (Schedule I) equal Line K of the Schedule IC?	Y	Y		
<b>AUDITS:</b>					
8.29	Is Line I a positive number? (If not, the agency must adjust the budget request to eliminate the deficit).	Y	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? <b>(SC1R, SC1A - Report should print "No Discrepancies Exist For This Report")</b>	Y	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. <b>(SC1R, DEPT)</b>	Y	Y		

Action	Program or Service (Budget Entity Codes)			
	43900110	43900120		

**9. SCHEDULE II (PSCR, SC2)**

<b>AUDIT:</b>					
9.1	Is the pay grade minimum for salary rate utilized for positions in segments 2 and 3? ( <b>BRAR, BRAA - Report should print "No Records Selected For This Request"</b> ) Note: Amounts other than the pay grade minimum should be fully justified in the D-3A issue narrative. (See <i>Base Rate Audit</i> on page 156 of the LBR Instructions.)	Y	Y		

**10. SCHEDULE III (PSCR, SC3)**

10.1	Is the appropriate lapse amount applied in Segment 3? (See page 88 of the LBR Instructions.)	Y	Y		
10.2	Are amounts in <i>Other Salary Amount</i> appropriate and fully justified? (See page 95 of the LBR Instructions for appropriate use of the OAD transaction.) Use <b>OADI</b> or <b>OADR</b> 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	Y		
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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?	Y	Y		
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**13. SCHEDULE VIIIB-1**

13.1	This schedule is not required in the October 15, 2009 LBR submittal.				
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**14. SCHEDULE VIIIB-2 (EADR, S8B2)**

14.1	Do the reductions comply with the instructions provided on pages 101 and 102 of the LBR Instructions regarding a 10% reduction in recurring General Revenue and Trust Funds?	Y	Y		
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Action	Program or Service (Budget Entity Codes)			
	43900110	43900120		
<b>15. SCHEDULE XI (LAS/PBS Web - see page 108 of the LBR Instructions for detailed instructions)</b>				
15.1 Has the Schedule XI one page summary Excel file been e-mailed to OPB at OPB.UnitCostSummary@laspbs.state.fl.us? Agencies are required to generate this spreadsheet via the LAS/PBS Web. (Note: Pursuant to <i>section 216.023(4)(b), Florida Statutes</i> , the Legislature can reduce the funding level for any agency that does not provide this information.)	Y	Y		
15.2 Do the PDF files uploaded to the Florida Fiscal Portal for the LRPP and LBR match the Excel file e-mailed to OPB?	Y	Y		
<b>AUDITS INCLUDED IN THE SCHEDULE XI REPORT:</b>				
15.3 Does the FY 2008-09 Actual (prior year) Expenditures in Column A36 reconcile to Column A01? ( <b>GENR, ACT1</b> )	Y	Y		
15.4 None of the executive direction, administrative support and information technology statewide activities (ACT0010 thru ACT0490) have output standards (Record Type 5)? ( <b>Audit #1 should print "No Activities Found"</b> )	Y	Y		
15.5 Does the Fixed Capital Outlay (FCO) statewide activity (ACT0210) only contain 08XXXX or 14XXXX appropriation categories? ( <b>Audit #2 should print "No Operating Categories Found"</b> )	Y	Y		
15.6 Has the agency provided the necessary demand (Record Type 5) for all activities which <u>should</u> appear in Section II? (Note: Audit #3 will identify those activities that do NOT have a Record Type '5' and have not been identified as a 'Pass Through' activity. These activities will be displayed in Section III with the 'Payment of Pensions, Benefits and Claims' activity and 'Other' activities. Verify if these activities should be displayed in Section III. If not, an output standard would need to be added for that activity and the Schedule XI submitted again.)	Y	Y		
15.7 Does Section I (Final Budget for Agency) and Section III (Total Budget for Agency) equal? ( <b>Audit #4 should print "No Discrepancies Found"</b> )	Y	Y		

Action		Program or Service (Budget Entity Codes)			
		43900110	43900120		
<b>16. MANUALLY PREPARED EXHIBITS &amp; SCHEDULES</b>					
16.1	Do exhibits and schedules comply with LBR Instructions (pages 109 through 153 of the LBR Instructions), and are they accurate and complete?	Y	Y		
16.2	Are appropriation category totals comparable to Exhibit B, where applicable?	Y	Y		
16.3	Are agency organization charts (Schedule X) provided and at the appropriate level of detail?	Y	Y		
<b>AUDITS - GENERAL INFORMATION</b>					
<b>17. CAPITAL IMPROVEMENTS PROGRAM (CIP)</b>					
17.1	Are the CIP-2, CIP-3, CIP-A and CIP-B forms included?	Y	Y		
17.2	Are the CIP-4 and CIP-5 forms submitted when applicable (see CIP Instructions)?	Y	Y		
17.3	Do all CIP forms comply with CIP Instructions where applicable (see CIP Instructions)?	Y	Y		
17.4	Does the agency request include 5 year projections (Columns A03, A06, A07, A08 and A09)?	Y	Y		
17.5	Are the appropriate counties identified in the narrative?	Y	Y		
<b>18. FLORIDA FISCAL PORTAL</b>					
18.1	Have all files been assembled correctly and posted to the Florida Fiscal Portal as outlined in the Florida Fiscal Portal Submittal Process?	Y	Y		



## Fiscal Year 2010-11 LBR Technical Review Checklist

Department/Budget Entity (Service): Financial Services/Office of Financial Regulation

Agency Budget Officer/OPB Analyst Name: Sarah Goodman/Walter Liebrich

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)				
	43900530	43900540	43900550	43900560	43900570
<b>1. GENERAL</b>					
1.1 Are Columns A01, A02, A04, A05, A10, A11, A36, IA1, IV1, IV3 and NV1 set to TRANSFER CONTROL for DISPLAY status and MANAGEMENT CONTROL for UPDATE status for both the Budget and Trust Fund columns? Are Columns A06, A07, A08 and A09 for Fixed Capital Outlay (FCO) set to TRANSFER CONTROL for DISPLAY status only? (CSDI)	Y	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
<b>AUDITS:</b>					
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
1.4 Has security been set correctly? (CSDR, CSA)	Y	Y	Y	Y	Y
<b>2. EXHIBIT A (EADR, EXA)</b>					
2.1 Is the budget entity authority and description consistent with the agency's LRPP and does it conform to the directives provided on page 56 of the LBR Instructions?	Y	Y	Y	Y	Y
2.2 Are the statewide issues generated systematically (estimated expenditures, nonrecurring expenditures, etc.) included?	Y	Y	Y	Y	Y
2.3 Are the issue codes and titles consistent with Section 3 of the LBR Instructions (pages 15 through 27)? Do they clearly describe the issue?	Y	Y	Y	Y	Y
2.4 Have the coding guidelines in Section 3 of the LBR Instructions (pages 15 through 27) been followed?	Y	Y	Y	Y	Y
<b>3. EXHIBIT B (EXBR, EXB)</b>					
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	Y	Y	Y	Y
<b>AUDITS:</b>					
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
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

Action	Program or Service (Budget Entity Codes)				
	43900530	43900540	43900550	43900560	43900570
<b>4. EXHIBIT D (EADR, EXD)</b>					
4.1 Is the program component objective statement consistent with the agency LRPP, and does it conform to the directives provided on page 59 of the LBR Instructions?	Y	Y	Y	Y	Y
4.2 Is the program component code and title used correct?	Y	Y	Y	Y	Y
<b>5. EXHIBIT D-1 (ED1R, EXD1)</b>					
5.1 Are all object of expenditures positive amounts? (This is a manual check.)	Y	Y	Y	Y	Y
<b>AUDITS:</b>					
5.2 Do the fund totals agree with the object category totals within each appropriation category? ( <b>ED1R, XD1A - Report should print "No Differences Found For This Report"</b> )	Y	Y	Y	Y	Y
5.3 FLAIR Expenditure/Appropriation Ledger Comparison Report: Is Column A01 less than Column B04? ( <b>EXBR, EXBB - Negative differences need to be corrected in Column A01.</b> )  <i>Please note that the LBR Instructions reference the wrong B column.</i>	Y	Y	Y	Y	Y
5.4 A01/State Accounts Disbursements and Carry Forward Comparison Report: Does Column A01 equal Column B08? ( <b>EXBR, EXBD - Differences need to be corrected in Column A01.</b> )  <i>Please note that the LBR Instructions reference the wrong B column.</i>	Y	Y	Y	Y	Y

Action	Program or Service (Budget Entity Codes)				
	43900530	43900540	43900550	43900560	43900570
<b>6. EXHIBIT D-3 (ED3R, ED3) (Not required in the LBR - for analytical purposes only.)</b>					
6.1 Are issues appropriately aligned with appropriation categories?	Y	Y	Y	Y	Y
<b>7. EXHIBIT D-3A (EADR, ED3A)</b>					
7.1 Are the issue titles correct and do they clearly identify the issue? (See pages 15 through 31 of the LBR Instructions.)	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 page 65 of the LBR Instructions.)	Y	Y	Y	Y	Y
7.3 Does the narrative for Information Technology (IT) issue follow the additional narrative requirements described on pages 66 through 70 of the LBR Instructions?	Y	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
7.5 Does the issue narrative explain any variances from the Standard Expense and Human Resource Services Assessments package? Is the nonrecurring portion in the nonrecurring column? (See pages E-4 and E-5 of the LBR Instructions.)	Y	Y	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	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	Y	Y	Y
7.8 Does the issue narrative include the Consensus Estimating Conference forecast, where appropriate?	Y	Y	Y	Y	Y
7.9 Does the issue narrative reference the specific county(ies) where applicable?	Y	Y	Y	Y	Y

Action	Program or Service (Budget Entity Codes)				
	43900530	43900540	43900550	43900560	43900570
7.10 Do the 160XXX0 issues reflect budget amendments that have been approved (or in the process of being approved) and that have a recurring impact (including Lump Sums)? Have the approved budget amendments been entered in Column A18 as instructed in Memo #10-002?	Y	Y	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. <b>(PLRR, PLMO)</b>	Y	Y	Y	Y	Y
7.12 Does the issue narrative include plans to satisfy additional space requirements when requesting additional positions?	Y	Y	Y	Y	Y
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
7.14 Do the amounts reflect appropriate FSI assignments?	Y	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 26 and 86 of the LBR Instructions.)	Y	Y	Y	Y	Y
7.16 Do the issues relating to <i>Information Technology (IT)</i> have a "C" in the sixth position of the issue code (36XXXXCX) and are the correct issue codes used (361XXC0, 362XXC0, 363XXC0, 17C01C0, 17C02C0, 17C03C0, 24010C0, 33001C0 or 55C01C0)?	Y	Y	Y	Y	Y
7.17 Are the issues relating to <i>major audit findings and recommendations</i> properly coded (4A0XXX0, 4B0XXX0)?	Y	Y	Y	Y	Y
<b>AUDIT:</b>					
7.18 Are all FSI's equal to '1', '2', '3', or '9'? There should be no FSI's equal to '0'. <b>(EADR, FSIA - Report should print "No Records Selected For Reporting")</b>	Y	Y	Y	Y	Y
7.19 Does the General Revenue for 160XXXX issues net to zero? <b>(GENR, LBR1)</b>	Y	Y	Y	Y	Y
7.20 Does the General Revenue for 180XXXX issues net to zero? <b>(GENR, LBR2)</b>	Y	Y	Y	Y	Y
7.21 Does the General Revenue for 200XXXX issues net to zero? <b>(GENR, LBR3)</b>	Y	Y	Y	Y	Y
7.22 Have FCO appropriations been entered into the nonrecurring column A04? <b>(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) )</b>	Y	Y	Y	Y	Y

Action	Program or Service (Budget Entity Codes)					
	43900530	43900540	43900550	43900560	43900570	
<b>8. SCHEDULE I &amp; RELATED DOCUMENTS (SC1R, SC1 - Budget Entity Level or SC1R, SC1D - Department Level)</b>						
8.1	Has a separate department level Schedule I and supporting documents package been submitted by the agency?	Y	Y	Y	Y	Y
8.2	Has a Schedule I been completed in LAS/PBS for each operating trust fund?	Y	Y	Y	Y	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	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?	Y	Y	Y	Y	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	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
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
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/A	N/A	N/A	N/A	N/A
8.9	Are the revenue codes correct? In the case of federal revenues, has the agency appropriately identified direct versus indirect receipts (object codes 000700, 000750, 000799, 001510 and 001599)?	Y	Y	Y	Y	Y
8.10	Are the statutory authority references correct?	Y	Y	Y	Y	Y
8.11	Are the General Revenue Service Charge percentage rates used for each revenue source correct? (Refer to Chapter 2009-78, Laws of Florida, for appropriate general revenue service charge percentage rates.)	Y	Y	Y	Y	Y
8.12	Is this an accurate representation of revenues based on the most recent Consensus Estimating Conference forecasts?	Y	Y	Y	Y	Y
8.13	If there is no Consensus Estimating Conference forecast available, do the revenue estimates appear to be reasonable?	Y	Y	Y	Y	Y

Action	Program or Service (Budget Entity Codes)				
	43900530	43900540	43900550	43900560	43900570
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
8.15 Are anticipated grants included and based on the state fiscal year (rather than federal fiscal year)?	Y	Y	Y	Y	Y
8.16 Are the Schedule I revenues consistent with the FSI's reported in the Exhibit D-3A?	Y	Y	Y	Y	Y
8.17 If applicable, are nonrecurring revenues entered into Column A04?	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?	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?	Y	Y	Y	Y	Y
8.20 Are appropriate service charge nonoperating amounts included in Section II?	Y	Y	Y	Y	Y
8.21 Are nonoperating expenditures to other budget entities/departments cross-referenced accurately?	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
8.23 Are nonoperating expenditures recorded in Section II and adjustments recorded in Section III?	Y	Y	Y	Y	Y
8.24 Are prior year September operating reversions appropriately shown in column A01?	Y	Y	Y	Y	Y
8.25 Are current year September operating reversions appropriately shown in column A02?	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
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	Y	Y	Y	Y
8.28 Does Line I of Column A01 (Schedule I) equal Line K of the Schedule IC?	Y	Y	Y	Y	Y
<b>AUDITS:</b>					
8.29 Is Line I a positive number? (If not, the agency must adjust the budget request to eliminate the deficit).	Y	Y	Y	Y	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? <b>(SC1R, SC1A - Report should print "No Discrepancies Exist For This Report")</b>	Y	Y	Y	Y	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. <b>(SC1R, DEPT)</b>	Y	Y	Y	Y	Y

Action	Program or Service (Budget Entity Codes)				
	43900530	43900540	43900550	43900560	43900570

**9. SCHEDULE II (PSCR, SC2)**

**AUDIT:**

9.1	Is the pay grade minimum for salary rate utilized for positions in segments 2 and 3? ( <b>BRAR, BRAA - Report should print "No Records Selected For This Request"</b> ) Note: Amounts other than the pay grade minimum should be fully justified in the D-3A issue narrative. (See <i>Base Rate Audit</i> on page 156 of the LBR Instructions.)	Y	Y	Y	Y	Y
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**10. SCHEDULE III (PSCR, SC3)**

10.1	Is the appropriate lapse amount applied in Segment 3? (See page 88 of the LBR Instructions.)	Y	Y	Y	Y	Y
10.2	Are amounts in <i>Other Salary Amount</i> appropriate and fully justified? (See page 95 of the LBR Instructions for appropriate use of the OAD transaction.) Use <b>OADI</b> or <b>OADR</b> to identify agency other salary amounts requested.	Y	Y	Y	Y	Y

**11. SCHEDULE IV (EADR, SC4)**

11.1	Are the correct Information Technology (IT) issue codes used?	Y	Y	Y	Y	Y
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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?	Y	Y	Y	Y	Y
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**13. SCHEDULE VIIIB-1**

13.1	This schedule is not required in the October 15, 2009 LBR submittal.					
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**14. SCHEDULE VIIIB-2 (EADR, S8B2)**

14.1	Do the reductions comply with the instructions provided on pages 101 and 102 of the LBR Instructions regarding a 10% reduction in recurring General Revenue and Trust Funds?	Y	Y	Y	Y	Y
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Action	Program or Service (Budget Entity Codes)				
	43900530	43900540	43900550	43900560	43900570
<b>15. SCHEDULE XI (LAS/PBS Web - see page 108 of the LBR Instructions for detailed instructions)</b>					
15.1 Has the Schedule XI one page summary Excel file been e-mailed to OPB at OPB.UnitCostSummary@laspbs.state.fl.us? Agencies are required to generate this spreadsheet via the LAS/PBS Web. (Note: Pursuant to <i>section 216.023(4)(b), Florida Statutes</i> , the Legislature can reduce the funding level for any agency that does not provide this information.)	Y	Y	Y	Y	Y
15.2 Do the PDF files uploaded to the Florida Fiscal Portal for the LRPP and LBR match the Excel file e-mailed to OPB?	Y	Y	Y	Y	Y
<b>AUDITS INCLUDED IN THE SCHEDULE XI REPORT:</b>					
15.3 Does the FY 2008-09 Actual (prior year) Expenditures in Column A36 reconcile to Column A01? ( <b>GENR, ACT1</b> )	Y	Y	Y	Y	Y
15.4 None of the executive direction, administrative support and information technology statewide activities (ACT0010 thru ACT0490) have output standards (Record Type 5)? ( <b>Audit #1 should print "No Activities Found"</b> )	Y	Y	Y	Y	Y
15.5 Does the Fixed Capital Outlay (FCO) statewide activity (ACT0210) only contain 08XXXX or 14XXXX appropriation categories? ( <b>Audit #2 should print "No Operating Categories Found"</b> )	Y	Y	Y	Y	Y
15.6 Has the agency provided the necessary demand (Record Type 5) for all activities which <u>should</u> appear in Section II? (Note: Audit #3 will identify those activities that do NOT have a Record Type '5' and have not been identified as a 'Pass Through' activity. These activities will be displayed in Section III with the 'Payment of Pensions, Benefits and Claims' activity and 'Other' activities. Verify if these activities should be displayed in Section III. If not, an output standard would need to be added for that activity and the Schedule XI submitted again.)	Y	Y	Y	Y	Y
15.7 Does Section I (Final Budget for Agency) and Section III (Total Budget for Agency) equal? ( <b>Audit #4 should print "No Discrepancies Found"</b> )	Y	Y	Y	Y	Y



Action	Program or Service (Budget Entity Codes)				
	43900530	43900540	43900550	43900560	43900570
<b>16. MANUALLY PREPARED EXHIBITS &amp; SCHEDULES</b>					
16.1 Do exhibits and schedules comply with LBR Instructions (pages 109 through 153 of the LBR Instructions), and are they accurate and complete?	Y	Y	Y	Y	Y
16.2 Are appropriation category totals comparable to Exhibit B, where applicable?	Y	Y	Y	Y	Y
16.3 Are agency organization charts (Schedule X) provided and at the appropriate level of detail?	Y	Y	Y	Y	Y
<b>AUDITS - GENERAL INFORMATION</b>					
<b>17. CAPITAL IMPROVEMENTS PROGRAM (CIP)</b>					
17.1 Are the CIP-2, CIP-3, CIP-A and CIP-B forms included?	Y	Y	Y	Y	Y
17.2 Are the CIP-4 and CIP-5 forms submitted when applicable (see CIP Instructions)?	Y	Y	Y	Y	Y
17.3 Do all CIP forms comply with CIP Instructions where applicable (see CIP Instructions)?	Y	Y	Y	Y	Y
17.4 Does the agency request include 5 year projections (Columns A03, A06, A07, A08 and A09)?	Y	Y	Y	Y	Y
17.5 Are the appropriate counties identified in the narrative?	Y	Y	Y	Y	Y
<b>18. FLORIDA FISCAL PORTAL</b>					
18.1 Have all files been assembled correctly and posted to the Florida Fiscal Portal as outlined in the Florida Fiscal Portal Submittal Process?	Y	Y	Y	Y	Y