

**Charles W. Drago**, Secretary

**Charlie Crist**, Governor

## LEGISLATIVE BUDGET REQUEST

Department of Business and Professional Regulation

Tallahassee

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:

Pursuant to Chapter 216, Florida Statutes, enclosed is the Legislative Budget Request for the Department of Business and Professional Regulation. The information contained herein is a true and accurate presentation of our proposed needs for the 2010-11 Fiscal Year. This submission has been approved by Secretary Charles W. Drago.

Sincerely,

Charlie Liem  
Chief of Staff

# Legislative Budget Request FY 2010 - 2011

Department Level Exhibits  
and Schedules



**Charlie Crist**  
Governor

**Charles W. Drago**  
Secretary

FY 2010-11 Schedule IV-C: Information Technology (IT) Costs & Service Requirements  
**IT Service Requirements Worksheet: Desktop Computing Service**

Dept/Agency: **Department of Business and Professional Regulation**  
 Submitted by: **Terry L. Kester, Chief Information Officer**  
 Phone: **850-921-5392**  
 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	Microsoft Office Suite (Word, Excel, PowerPoint, Access)	7	Windows Operating Systems (XP)
3	Microsoft Project Software	8	Hyland OnBase
4	McAfee AntiVirus Software	9	SLS Programs
5	Adobe Acrobat	10	Spy Sweeper

**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. 1856

1.4. How many locations currently use desktop computing services? 126

**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)* Identical

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

- Yes
- No

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

Service level requirements must be validated to ensure another IT service provider could install and update desktop software and trouble-shoot the desktops for all of our users in locations throughout the State.

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

[Redacted]

**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:

[Redacted]

3.2. Timing and Service Delivery Requirements

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

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

This will adversely impact day-to-day and strategic functions.

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

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

[Redacted]

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:

Agency has a policy that employees must keep desktop passwords private and must change their passwords every ninety days.

**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:

Hardware and software inventory are reviewed annually with program areas in conjunction with budget cycles.

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*)

[Redacted]

FY 2010-11 Schedule IV-C: Information Technology (IT) Costs & Service Requirements  
**IT Service Requirements Worksheet: Desktop Computing Service**

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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
No issue in the FY 2010-2011 LBR				

**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 through an annual appropriation from the department's Administrative Trust Fund (ATF). The ATF is funded by other trust funds within DBPR by way of a detailed cost allocation methodology.

5.2. Other comments

Question 1.3: Includes FTE and OPS staff

Question 3.2.1: Users normally need access to their desktop computer for an eight hour day. However, our department personnel have various work schedules and occasionally share computers which drives the 24/7 service requirement. Maintenance downtime can be scheduled outside the normal 0800 – 1800 work day.

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

Dept/Agency: **Department of Business and Professional Regulation**  
 Submitted by: **Terry L. Kester, Chief Information Officer**  
 Phone: **850-921-5392**  
 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 Action Request System – standardized help desk ticketing software	5	
2	Ghost	6	
3	LicenseEase	7	
4	Microsoft SMS	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: 1856

1.4. How many locations currently host IT assets and resources used to provide helpdesk services? 4

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
- 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
Tracking and reporting	X	X	X
Resolving/closing	X		



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

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

1	LicenseEase	5	
2	OnBase	6	
3	E-mail	7	
4		8	

**2. Service Unique to Agency**

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

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

Yes       No

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

Service level requirements would need to be validated to ensure that another IT service provider could answer questions and resolve problems relating to all the department's business applications.

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

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

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

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

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

3.2. Timing and Service Delivery Requirements

3.2.1. Hours/Days the Help Desk service is required (*e.g., 0800-1600 M-F, 24/7*) 7:30 am-5:30 pm M-F

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

This will adversely impact day-to-day and strategic functions.

3.2.3. What is the average monthly volume of calls/cases/tickets? 1083

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

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

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

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

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:

**4. User/customer satisfaction**

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

Yes       No

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

Reports are generated on a quarterly basis for the department's Office of Budget and Financial Management for allocation of cost. Outages and trouble ticket status are reported weekly to departmental Knowledge Champions and the Chief Information Officer is briefed on an as needed basis. Trouble ticket analysis and performance statistics are reported monthly.

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
No issue in the FY 2010-2011 LBR				

**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 through an annual appropriation from the department's Administrative Trust Fund (ATF). The ATF is funded by other trust funds within DBPR by way of a detailed cost allocation methodology.



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

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- 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.)

Question 1.3: Includes FTE and OPS staff.

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

Dept/Agency: **Department of Business and Professional Regulation**

Submitted by: **Terry L. Kester, Chief Information Officer**

Phone: **850-921-5392**

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	DBPR Tracker	5	
2	Contract Tracking System	6	
3	Phone Usage	7	
4	Dashboard-Performance Reporting	8	

**1. IT Service Definition**

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

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

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

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

1.3. Please identify the number of users of this service. <50

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*) 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?

Same functionality available with adequate security controls.

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

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

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

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

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

The business impact of down-time would be limited to the fiscal, administrative, and executive management units. Access delays beyond one hour could result in an inability to provide needed information within prescribed timeframes.

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

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

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

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

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

- Yes  No

3.2.5.1. If yes, please specify and describe:

**4. User/customer satisfaction**

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

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

Yes     No

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

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

Yes     No

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

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

Project Name	Description	Start Date	End Date	Estimated Total Cost to Complete
No issue in the FY 2010-2011 LBR				

**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 through an annual appropriation from the Department's Administrative Trust Fund (ATF). The ATF is funded by other trust funds within DBPR by way of a detailed cost allocation methodology.

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.)

During FY 2010-2011 the Department of Business and Professional Regulation will be transferring its computing resources to the Northwood Shared Resource Center in accordance with Chapters 80-2009 and 81-2009 of the Laws of Florida.

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

Dept/Agency: **Department of Business and Professional Regulation**  
 Submitted by: **Terry L. Kester, Chief Information Officer**  
 Phone: **850-921-5392**  
 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	Intel Servers w/Windows 2000 and 2003 Server Operating Systems	5	EMC Hard Disk Array and Tape Backup
2	Cisco Ethernet Switches	6	Cisco Pix Firewalls
3	Cisco Routers	7	MyFloridaNet (MFN)
4	Proxim Wireless Access Points	8	

**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. 1856

1.5. How many locations currently host IT assets and resources used to provide LAN services? 15

1.6. How many locations currently use WAN services? 37

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

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

**2. Service Unique to Agency**

**IT Service Requirements Worksheet: Network Service**

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

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

- Yes       No

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

WAN service is provided by the Department of Management Services (DMS). DMS would have to approve changing the service provider. For LAN, service level requirements must be validated to ensure that another IT service provider could respond timely to our business needs.

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

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

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

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

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

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 information Service Level Agreement is with the Department of Management Services for 3MB per second minimum per site with the exception of Orlando and Miami which is 45MG per second per site.

3.3. Timing and Service Delivery Requirements

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

- 3.3.1.1. Online availability 24/7  
 3.3.1.2. Offline and availability for maintenance Wed AM/Sat AM

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*)? 5 minutes

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

The Network Service provides backbone connectivity between the department facilities throughout the state and allows access to central applications that support strategic services. Significant downtime during work hours would prohibit affected field offices' ability to perform essential job functions, prohibit employees from accessing strategic IT systems and reduce the ability to provide direct services to citizens.

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

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

3MB per second minimum per site with the exception of Orlando and Miami which is 45MG per second per site.

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

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 Wireless communications must be secured with WPA using TKIP/802.1

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:

**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:

Monthly statistics are kept to verify 99% uptime metrics. This information is presented to the CIO for discussion at weekly Senior Management Staff meetings.

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
Data Center Consolidation	The Department of Business and Professional Regulation is required to relocate the department's central computing resources to the Northwood Shared Resource Center during Fiscal Year 2010-11, pursuant to section 292.201(2), Florida Statutes.	7/1/2010	11/30/2010	\$295,875 – non-recurring \$407,518 – annualized recurring



**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 through an annual appropriation from the department's Administrative Trust Fund (ATF). The ATF is funded by other trust funds within DBPR by way of a detailed cost allocation methodology.

- 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.)

Question 1.4: Includes FTE and OPS

Question 3.3.1: Users normally need access to the WAN for an eight hour work day. However, our department personnel have various work schedules that drive the requirement for an overall 24/7 WAN service.

Non-Strategic IT Service: <b>Network Service</b>		Form: FY 2010-11 Schedule IV-C -Non-Strategics; Ver 1						
Dept/Agency: <b>DBPR</b>		Footnote Number	# of Assets & Resources Apportioned to this IT Service in FY 2010-11		Estimated IT Service Costs			
Prepared by: <b>Terry Kester, Chief Information Officer</b>			Number used for this service	Number w/ costs in FY 2010-11	A	B	C	D
Phone: <b>850-921-5392</b>					Initial Estimate for Fiscal Year 2009-10	Estimated FY 2009-10 Allocation of Recurring Base Budget (based on Column G64 minus G65)	Estimated FY 2010-11 Allocation of Recurring Base Budget (based on Column G64 minus G65)	Planned Increase/Decrease Use of Recurring Base Funding (Columns C - B)
Service Provisioning -- Assets & Resources (Cost Elements)								
<b>A. Personnel</b>			3.50		\$441,887	\$441,887	\$392,373	-\$49,514
A-1.1	State FTE	1, 2	2.50		\$244,287	\$244,287	\$194,773	-\$49,514
A-2.1	OPS FTE		0.00		\$0	\$0	\$0	\$0
A-3.1	Contractor Positions (Staff Augmentation)	3	1.00		\$197,600	\$197,600	\$197,600	\$0
<b>B. Hardware</b>			345	0	\$51,355	\$51,355	\$53,204	\$1,849
B-1	Servers	4	32	0	\$0	\$0	\$0	\$0
B-2	Server Maintenance & Support		32	0	\$51,355	\$51,355	\$0	-\$51,355
B-3.1	Network Devices & Hardware (e.g., routers, switches, hubs, cabling, etc.)	5	135	0	\$0	\$0	\$53,204	\$53,204
B-3.2	Other Hardware Assets (e.g., system mgt workstation, printers, UPS, etc)	6	146	0	\$0	\$0	\$0	\$0
<b>C. Software</b>		7			\$22,607	\$22,607	\$10,222	-\$12,385
<b>D. External Service Provider(s)</b>					\$235,032	\$235,032	\$254,122	\$19,090
D-1	LAN External Service Provider		0	0	\$0	\$0	\$0	\$0
D-2	WAN External Service Provider	8	2	0	\$235,032	\$235,032	\$254,122	\$19,090
<b>E. Plant &amp; Facility for LAN/WAN Service</b>		9	0	0	\$22,403	\$22,403	\$14,795	-\$7,608
<b>F. Other (Please describe in Footnotes Section below)</b>		10			\$23,450	\$23,450	\$16,270	-\$7,180
<b>H. Total for IT Service</b>					<b>\$796,734</b>	<b>\$796,734</b>	<b>\$740,986</b>	<b>-\$55,748</b>
<b>Footnotes - Please be sure to indicate there is a footnote for the corresponding row above. Maximum footnote length is 1024 characters.</b>								
1	Includes .25 of Network Manager; 1.25 Systems Project Consultant; .25 Senior Network Systems Analyst; .25 of Systems Programming Administrator; and .5 of Systems Project Analyst.							
2	Costs reflect the elimination of budget authority for .5 of one FTE for 7 months due to the Data Center Consolidation Project.							
3	Includes Presidio Consultant Services							
4	Five of these servers are virtual.							
5	Includes router maintenance and support.							
6	Includes 21 UPS and 125 Network printers;							

Schedule IV-C: Information Technology  
(IT) Costs and Service Requirements

IT Service Costs Worksheet: Total Operational Costs

FY 2010-2011

Dept/Agency: **DBPR**

Prepared by: **Terry Kester, Chief Information Officer**

Phone: **850-921-5392**

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

	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 <i>(based on Column G64 minus G65)</i>	C Estimated FY 2010-11 Allocation of Recurring Base Budget <i>(based on Column G64 minus G65)</i>	D Planned Increase/Decrease Use of Recurring Base Funding <i>(Columns C - B)</i>
<b>Service Provisioning -- Assets &amp; Resources</b> (Cost Elements)							
7	Software upgrades are covered by our current support contracts.						
8	Includes MyFloridaNet (MFN) dedicated network and Metropolitan Area Network (MAN) connectivity.						
9	Rent is prorated based on the number of FTEs associated with this service.						
10	Includes travel/cellular telephones/desktop telephones/training/HR Assessment/Risk Management Insurance and other ordinary operating expenses.						
11							
12							
13							
14							
15							

**Non-Strategic IT Service: E-Mail, Messaging, and Calendaring Service**

Agency: **DBPR**

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

Prepared by: **Terry Kester, Chief Information Officer**

Phone: **850-921-5392**

Service Provisioning -- Assets & Resources (Cost Elements)	Footnote Number	# of Assets & Resources Apportioned to this IT Service in FY 2009-10		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>		0.75		\$88,841	\$88,841	\$25,696	-\$63,146
A-1 State FTE	1, 2, 3	0.75		\$88,841	\$88,841	\$25,696	-\$63,146
A-2 OPS FTE		0.00		\$0	\$0	\$0	\$0
A-3 Contractor Positions (Staff Augmentation)		0.00		\$0	\$0	\$0	\$0
<b>B. Hardware</b>		197	0	\$0	\$0	\$0	\$0
B-1 Servers		7	0	\$0	\$0	\$0	\$0
B-2 Server Maintenance & Support	4	7	0	\$0	\$0	\$0	\$0
B-3.1 Wireless Communication Devices & Related Hardware	5	183	0	\$0	\$0	\$0	\$0
B-3.2 Other Hardware Assets (e.g., system mgt workstation, printers, etc)		0	0	\$0	\$0	\$0	\$0
<b>C. Software</b>	1, 2, 6			\$19,991	\$19,991	\$12,364	-\$7,628
<b>D. External Service Provider(s)</b>	1, 2, 7	0	0	\$0	\$0	\$127,380	\$127,380
<b>E. Plant &amp; Facility</b>	1, 2, 8	0	0	\$6,223	\$6,223	\$3,170	-\$3,053
<b>F. Other (Please describe in Footnotes Section below)</b>	1, 2, 9			\$8,375	\$8,375	\$4,881	-\$3,494
<b>G. Total for IT Service</b>				<b>\$123,430</b>	<b>\$123,430</b>	<b>\$173,490</b>	<b>\$50,060</b>

**Administrative Overhead - Percentage of Other Non-Strategic IT Service Costs Supporting Email Service**

	Non-Strategic Service	Footnote	%	Cost
OT-1	Network			
OT-2	Desktop IT Service			\$ -
OT-3	Help Desk	10	4.00%	\$ 14,666
OT-4	IT Security & Risk Mitigation			
OT-5	IT Administration & Management			
<b>SUBTOTAL</b>				<b>\$ 14,666</b>

To determine the fully-loaded cost of the e-mail service, agencies must estimate the amount (percentage) of the other non-strategic IT services that are "consumed" by the e-mail service. For example, desktop support personnel install and configure the e-mail software on the desktop, which is used in the e-mail service, so to obtain a fully-loaded cost for the e-mail service, it is important to include the indirect workload and associated costs of the desktop service expended in support of the e-mail service. The portion of Network, IT Security & Risk Mitigation, and IT Administration & Management services will be estimated by the AEIT based on the agency Schedule IV-C submissions for these IT services. **For the purposes of the Schedule IV-C analysis, the data submitted in this section will NOT be added to the cost of the e-mail service.**

**Fully-loaded IT Service Cost \$ 188,156**

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

1	It is anticipated that the Department of Business and Professional Regulation will be one of the first to migrate to the Statewide E-mail System in accordance with Section 282.34, F.S.
2	Consequently all costs have been projected for six months during FY 2010-2011.
3	Includes .25 of a Senior Network Systems Analyst who is devoted to handling issues associated with Blackberries and .5 of a Systems Project Consultant.

Schedule IV-C: Information Technology  
(IT) Costs and Service Requirements

IT Service Costs Worksheet: Total Operational Costs

FY 2010-2011

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

Agency: **DBPR**

Prepared by: **Terry Kester, Chief Information Officer**

Phone: **850-921-5392**

Service Provisioning -- Assets & Resources (Cost Elements)

Footnote  
Number

# of Assets & Resources Apportioned to this IT Service in FY 2009-10		Estimated IT Service Costs			
		A	B	C	D
Number used for this service	Number w/ costs in FY 2010-11	Initial Estimate for Fiscal Year 2009-10	Estimated FY 2009-10 Allocation of Recurring Base Budget <i>(based on Column G64 minus G65)</i>	Estimated FY 2010-11 Allocation of Recurring Base Budget <i>(based on Column G64 minus G65)</i>	Planned Increase/Decrease Use of Recurring Base Funding <i>(Columns C - B)</i>

4	Server maintenance costs are included under Network Service				
5	Blackberries				
6	E-mail support solution and blackberry software maintenance				
7	It is anticipated the Department of Business and Professional Regulation will migrate to the Statewide E-mail System in accordance with Section 282.34, Florida Statutes. The cost for this service is being developed. For purposes of this exercise, a cost of \$10 per user per month for 2,123 users equates to an estimated annual expenditure of \$254,760 for this service or \$127,380 for six months.				
8	Rent is prorated based on the number of FTEs associated with this service.				
9	Includes travel/cellular telephones/desktop telephones/training/H&R Assessment/Risk Management Insurance and other ordinary operating expenses				
10	This percentage is based on FY 2008-2009 Remedy Ticket Counts. 549 related tickets/12,999 total tickets = .04 or 4%.				

**Non-Strategic IT Service: Desktop Computing Service**

Agency: **DBPR**

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

Prepared by: **Terry Kester, Chief Information Officer**

Phone: **850-921-5392**

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>		4.50		\$235,567	\$235,567	\$248,404	\$12,837
A-1 State FTE	1	3.75		\$224,567	\$224,567	\$228,924	\$4,357
A-2 OPS FTE	2	0.75		\$11,000	\$11,000	\$19,480	\$8,480
A-3 Contractor Positions (Staff Augmentation)		0.00		\$0	\$0	\$0	\$0
<b>B. Hardware</b>		1931	371	\$258,200	\$258,200	\$295,802	\$37,602
B-1 Servers		0	0	\$0	\$0	\$0	\$0
B-2 Server Maintenance & Support		0	0	\$0	\$0	\$0	\$0
B-3.1 Desktop Computers	3	1485	321	\$160,000	\$160,000	\$244,602	\$84,602
B-3.2 Mobile Computers (e.g., Laptop, Notebook, Handheld, Wireless Computer)	4	302	44	\$91,000	\$91,000	\$44,000	-\$47,000
B-3.3 Other Hardware Assets (e.g., system mgt workstation, printers, scanners, etc)	5	144	6	\$7,200	\$7,200	\$7,200	\$0
<b>C. Software</b>	6, 7			\$25,845	\$25,845	\$13,769	-\$12,076
<b>D. External Service</b>	8	0	0	\$4,010	\$4,010	\$4,678	\$668
<b>E. Plant &amp; Facility</b>	9	0	0	\$21,158	\$21,158	\$19,022	-\$2,136
<b>F. Other (Please describe in Footnotes Section below)</b>	10			\$23,450	\$23,450	\$24,405	\$955
<b>G. Total for IT Service</b>				<b>\$568,230</b>	<b>\$568,230</b>	<b>\$606,080</b>	<b>\$37,850</b>

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

1	Includes .25 of a Systems Programming Administrator; 2.0 Systems Project Analyst; .5 Distributed Computer Systems Analyst; .5 Network Systems Analyst; and .5 of a Systems Project Administrator
2	DBPR Desktop Computing and Helpdesk Services share one full time and one part time OPS staff. .75 staff are associated with each service for this exercise.
3	Includes refresh of 321 desktops in 2010-2011 at approximately \$762 each.
4	Includes refresh of 44 laptops at approximately \$1,000 each
5	Includes 143 network printers and 1 UPS. It is estimated that we will be replacing 6 network printers in FY 2010-2011 at a cost of \$1,200 each.
6	Includes Acuity Software maintenance for Legislative Affairs and Office of the Secretary; Pointsec laptop/desktop encryption maintenance;
7	CommonLook Plug-in module for Adobe Acrobat; and Uniprint Version 4.3 support.
8	Estimated external service costs for FY 2010-2011 are for lease of copiers

Schedule IV-C: Information Technology  
(IT) Costs and Service Requirements

IT Service Costs Worksheet: Total Operational Costs

FY 2010-2011

Agency: **DBPR**

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

Prepared by: **Terry Kester, Chief Information Officer**

Phone: **850-921-5392**

	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 <i>(based on Column G64 minus G65)</i>	C Estimated FY 2010-11 Allocation of Recurring Base Budget <i>(based on Column G64 minus G65)</i>	D Planned Increase/Decrease Use of Recurring Base Funding <i>(Columns C - B)</i>
<b>Service Provisioning -- Assets &amp; Resources</b> <i>(Cost Elements)</i>							
9	Rent is prorated based on the number of FTEs associated with this service.						
10	Includes travel/cellular telephones/desktop telephones/training/H&R Assessment/Risk Management Insurance and other ordinary operating expenses						
11							
12							
13							
14							
15							



Non-Strategic IT Service: **Helpdesk Service**

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

Agency: **DBPR**  
Prepared by: **Terry Kester, Chief Information Officer**  
Phone: **850-921-5392**

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>		4.50		\$235,567	\$235,567	\$248,404	\$12,837
A-1 State FTE	1	3.75		\$224,567	\$224,567	\$228,924	\$4,357
A-2 OPS FTE	2	0.75		\$11,000	\$11,000	\$19,480	\$8,480
A-3 Contractor Positions (Staff Augmentation)		0.00		\$0	\$0	\$0	\$0
<b>B. Hardware</b>		4	0	\$0	\$0	\$0	\$0
B-1 Servers		2	0	\$0	\$0	\$0	\$0
B-2 Server Maintenance & Support	3	2	0	\$0	\$0	\$0	\$0
B-3 Other Hardware Assets (e.g., system mgt workstation, printers, etc)		0	0	\$0	\$0	\$0	\$0
<b>C. Software</b>	4			\$24,080	\$24,080	\$24,826	\$746
<b>D. External Service Provider(s)</b>	5	0	0	\$50,000	\$50,000	\$50,000	\$0
<b>E. Plant &amp; Facility</b>	6	0	0	\$21,158	\$21,158	\$19,022	-\$2,136
<b>F. Other (Please describe in Footnotes Section below)</b>	7			\$23,450	\$23,450	\$24,405	\$955
<b>G. Total for IT Service</b>				<b>\$354,255</b>	<b>\$354,255</b>	<b>\$366,657</b>	<b>\$12,402</b>

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

1	Includes .25 of a Systems Programming Administrator; 2.0 Systems Project Analyst; .5 Distributed Computer Systems Analyst; .5 Network Systems Analyst; and .5 of a Systems Project Administrator
2	DBPR Desktop Computing and Helpdesk Services share one full time and one part time OPS staff. .75 staff are associated with each service for this exercise.
3	Annual maintenance agreement for servers comes under Network Service costs.
4	Annual maintenance agreement for client helpdesk/trouble ticket reporting software (Remedy Express)
5	Includes license renewal for maintenance of PCs and printers that are outside of warranty period
6	Rent is prorated based on the number of FTEs associated with this service.
7	Includes travel/cellular telephones/desktop telephones/training/H&R Assessment/Risk Management Insurance and other ordinary operating expenses
8	
9	
10	
11	
12	
13	
14	
15	

**Non-Strategic IT Service: IT Security/Risk Mitigation Service**

Agency: **DBPR**  
 Prepared by: **Terry Kester, Chief Information Officer**  
 Phone: **850-921-5392**

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>		0.75		\$65,847	\$65,847	\$63,218	-\$2,629
A-1 State FTE	1	0.75		\$65,847	\$65,847	\$63,218	-\$2,629
A-2 OPS FTE		0.00		\$0	\$0	\$0	\$0
A-3 Contractor Positions (Staff Augmentation)		0.00		\$0	\$0	\$0	\$0
<b>B. Hardware</b>		10	0	\$0	\$0	\$0	\$0
B-1 Servers	2	4	0	\$0	\$0	\$0	\$0
B-2 Server Maintenance & Support		0	0	\$0	\$0	\$0	\$0
B-3 Other Hardware Assets (e.g., system mgt workstation, printers, UPS, etc)	3	6	0	\$0	\$0	\$0	\$0
<b>C. Software</b>	4			\$68,622	\$68,622	\$62,549	-\$6,073
<b>D. External Service Provider(s)</b>	5	0	0	\$22,400	\$22,400	\$21,600	-\$800
<b>E. Plant &amp; Facility</b>	6	0	0	\$3,734	\$3,734	\$3,170	-\$564
<b>F. Other (Please describe in Footnotes Section below)</b>	7			\$5,025	\$5,025	\$4,881	-\$144
<b>G. Total for IT Service</b>				<b>\$165,628</b>	<b>\$165,628</b>	<b>\$155,418</b>	<b>-\$10,210</b>

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

1	Includes .75 of a Systems Programming Administrator position.
2	Servers to support McAfee Anti-Virus, Websense, and Spy Sweeper
3	Includes 4 Pix Firewalls and two IronPort E-mail Gateways. Maintenance and support for this hardware is included under Network Service
4	Annual subscription for McAfee Anti-Virus, Websense, Spy Sweeper, and IronPort.
5	Includes Halon Fire Protection in Server Room and SunGard services for DBPR's IT disaster recovery plans.
6	Rent is prorated based on the number of FTEs associated with this service.
7	Includes travel/cellular telephones/desktop telephones/training/H&R Assessment/Risk Management Insurance and other ordinary operating expenses
8	
9	

Schedule IV-C: Information Technology  
(IT) Costs and Service Requirements

IT Service Costs Worksheet: Total Operational Costs

FY 2010-2011

Agency: **DBPR**

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

Prepared by: **Terry Kester, Chief Information Officer**

Phone: **850-921-5392**

	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 <i>(based on Column G64 minus G65)</i>	C  Estimated FY 2010-11 Allocation of Recurring Base Budget <i>(based on Column G64 minus G65)</i>	D  Planned Increase/Decrease Use of Recurring Base Funding <i>(Columns C - B)</i>
<b>Service Provisioning -- Assets &amp; Resources</b> <i>(Cost Elements)</i>							
10							
11							
12							
13							
14							
15							

**Non-Strategic IT Service: IT Support Service for Agency Financial and Administrative Systems**

Agency: **DBPR**

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

Prepared by: **Terry Kester, Chief Information Officer**

Phone: **850-921-5392**

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>		0.50		\$46,240	\$46,240	\$46,921	\$681
A-1 State FTE	1	0.50		\$46,240	\$46,240	\$46,921	\$681
A-2 OPS FTE		0.00		\$0	\$0	\$0	\$0
A-3 Contractor Positions (Staff Augmentation)		0.00		\$0	\$0	\$0	\$0
<b>B. Hardware</b>		0	0	\$0	\$0	\$0	\$0
B-1 Servers	2	0	0	\$0	\$0	\$0	\$0
B-2 Server Maintenance & Support	3	0	0	\$0	\$0	\$0	\$0
B-3 Other Hardware Assets (e.g., system mgt workstation, printers, etc)	4	0	0	\$0	\$0	\$0	\$0
<b>C. Software</b>	5			\$0	\$0	\$0	\$0
<b>D. External Service Provider(s)</b>		0	0	\$0	\$0	\$0	\$0
<b>E. Plant &amp; Facility</b>	6	0	0	\$2,489	\$2,489	\$2,114	-\$375
<b>F. Other (Please describe in Footnotes Section below)</b>	7			\$3,350	\$3,350	\$3,254	-\$96
<b>G. Total for IT Service</b>				\$52,079	\$52,079	\$52,289	\$210

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

1	Includes .5 of Systems Programming Administrator positions.
2	The server supporting these applications also supports strategic programs of this agency
3	The maintenance and support services associated with the server supporting these applications is also associated with the strategic programs of this agency.
4	There are no other hardware assets associated with these programs that do not also support strategic programs of this agency.
5	The software used in developing/maintaining these applications is the same used in agency strategic programs
6	Rent is prorated based on the number of FTEs associated with this service.
7	Includes travel/cellular telephones/desktop telephones/training/H&R Assessment/Risk Management Insurance and other ordinary operating expenses
8	
9	

Agency: **DBPR**

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

Prepared by: **Terry Kester, Chief Information Officer**

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	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 <i>(based on Column G64 minus G65)</i>	C Estimated FY 2010-11 Allocation of Recurring Base Budget <i>(based on Column G64 minus G65)</i>	D Planned Increase/Decrease Use of Recurring Base Funding <i>(Columns C - B)</i>
10								
11								
12								
13								
14								
15								

**Non-Strategic IT Service: IT Administration and Management Service**

Agency: **DBPR**  
 Prepared by: **Terry Kester, Chief Information Officer**  
 Phone: **850-921-5392**

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>		2.25		\$174,385	\$174,385	\$194,290	\$19,905
A-1 State FTE	1	2.25		\$174,385	\$174,385	\$194,290	\$19,905
A-2 OPS FTE		0.00		\$0	\$0	\$0	\$0
A-3 Contractor Positions (Staff Augmentation)		0.00		\$0	\$0	\$0	\$0
<b>B. Hardware</b>		0	0	\$0	\$0	\$0	\$0
B-1 Servers	2	0	0	\$0	\$0	\$0	\$0
B-2 Server Maintenance & Support	2	0	0	\$0	\$0	\$0	\$0
B-3 Other Hardware Assets (e.g., system mgt workstation, printers, etc)	2	0	0	\$0	\$0	\$0	\$0
<b>C. Software</b>	3			\$300	\$300	\$300	\$0
<b>D. External Service Provider(s)</b>	4	0	0	\$35,190	\$35,190	\$45,410	\$10,220
<b>E. Plant &amp; Facility</b>	5	0	0	\$9,957	\$9,957	\$9,511	-\$446
<b>F. Other (Please describe in Footnotes Section below)</b>	6			\$13,400	\$13,400	\$14,643	\$1,243
<b>G. Total for IT Service</b>				<b>\$233,232</b>	<b>\$233,232</b>	<b>\$264,154</b>	<b>\$30,922</b>

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

1	Includes .25 of the CIO; .25 of a Senior Management Analyst II; .5 of an OMC; .5 of an Administrative Assistant II; and .75 of IT Business Consultant Managers.
2	Hardware and software to support this service is already provided to the CIO and staff by other non-strategic services (network, e-mail, desktop computing).
3	Client survey software used by DBPR.
4	Gartner - One Core Research Advisor Seat
5	Rent is prorated based on the number of FTEs associated with this service.
6	Includes travel/cellular telephones/desktop telephones/training/H&R Assessment/Risk Management Insurance and other ordinary operating expenses
7	
8	
9	

Schedule IV-C: Information Technology  
(IT) Costs and Service Requirements

IT Service Costs Worksheet: Total Operational Costs

FY 2010-2011

Agency: **DBPR**

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

Prepared by: **Terry Kester, Chief Information Officer**

Phone: **850-921-5392**

	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 <i>(based on Column G64 minus G65)</i>	C  Estimated FY 2010-11 Allocation of Recurring Base Budget <i>(based on Column G64 minus G65)</i>	D  Planned Increase/Decrease Use of Recurring Base Funding <i>(Columns C - B)</i>
<b>Service Provisioning -- Assets &amp; Resources</b> (Cost Elements)							
10							
11							
12							
13							
14							
15							





Schedule IV-C: Information Technology  
(IT) Costs and Service Requirements

IT Service Costs Worksheet: Total Operational Costs

FY 2010-2011

IT Cost Element Data as  
on IT Service Works

	<b>Personnel</b>	<b>OPS FTE (Cost)</b>	<b>\$38,960</b>	<b>\$0</b>	<b>\$0</b>	<b>\$19,480</b>	<b>\$19,480</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>
	<b>Personnel</b>	<i>Vendor/Staff Augmentation (# Positions)</i>	<b>1.00</b>	<b>1.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>
		<i>Vendor/Staff Augmentaion (Costs)</i>	<b>\$197,600</b>	<b>\$197,600</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>
	<b>Hardware</b>		<b>\$349,006</b>	<b>\$53,204</b>	<b>\$0</b>	<b>\$295,802</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>
	<b>Software</b>		<b>\$124,030</b>	<b>\$10,222</b>	<b>\$12,364</b>	<b>\$13,769</b>	<b>\$24,826</b>	<b>\$62,549</b>	<b>\$0</b>	<b>\$300</b>
	<b>External Services</b>		<b>\$503,190</b>	<b>\$254,122</b>	<b>\$127,380</b>	<b>\$4,678</b>	<b>\$50,000</b>	<b>\$21,600</b>	<b>\$0</b>	<b>\$45,410</b>
	<b>Plant &amp; Facility</b>		<b>\$70,804</b>	<b>\$14,795</b>	<b>\$3,170</b>	<b>\$19,022</b>	<b>\$19,022</b>	<b>\$3,170</b>	<b>\$2,114</b>	<b>\$9,511</b>
	<b>Other</b>		<b>\$92,739</b>	<b>\$16,270</b>	<b>\$4,881</b>	<b>\$24,405</b>	<b>\$24,405</b>	<b>\$4,881</b>	<b>\$3,254</b>	<b>\$14,643</b>
		<b>Totals of Costs</b>	<b>\$2,359,074</b>	<b>\$740,986</b>	<b>\$173,490</b>	<b>\$606,080</b>	<b>\$366,657</b>	<b>\$155,418</b>	<b>\$52,289</b>	<b>\$264,154</b>
		<b>Totals of FTE</b>	<b>16.75</b>	<b>3.50</b>	<b>0.75</b>	<b>4.50</b>	<b>4.50</b>	<b>0.75</b>	<b>0.50</b>	<b>2.25</b>

### 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:	DBPR – Division of Pari-Mutuel Wagering		
Contact Person:	Joe Helton	Phone Number:	(850) 487-9654
Names of the Parties:	<p>FLORIDA STANDARD BRED BREEDERS AND OWNERS ASSOCIATION, INC. – PLAINTIFF</p> <p>DEPARTMENT OF BUSINESS AND PROFESSIONAL REGULATION, DIVISION OF PARI-MUTUEL WAGERING and PPI Inc. – DEFENDANTS</p>		
Court with Jurisdiction:	Circuit Court – 2nd Judicial Circuit – Leon County		
Case Number:	CASE NO. 37 2008 CA 002345		
Summary of the Complaint:	<p>Plaintiff challenges the constitutionality of Chapter 551, Florida Statutes. Plaintiff claims entire chapter is unconstitutional because Section 551.104(10), Florida Statutes, which requires thoroughbred permitholders in Miami-Dade or Broward Counties to have a purse contract with their horsemen’s group as a requirement to operate slot machines, unconstitutionally deprives them of due process and equal protection, and is an unconstitutional special act.</p>		
Amount of the Claim:	No Damages Claimed; Only seeking declaration that law is unconstitutional		
Specific Law(s) Challenged:	Chapter 551, Florida Statutes; Section 551.104(10), Florida Statutes.		
Status of the Case:	Motion to Dismiss and Order to Show Cause why case should not be dismissed pending ruling by Court.		
Who is representing (of record) the state in this lawsuit? Check all that apply.	<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	

<p>If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).</p>	
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## Schedule VII Agency Litigation Inventory

## 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:	DBPR – Division of Pari-Mutuel Wagering		
Contact Person:	Joe Helton	Phone Number:	(850) 487-9654
Names of the Parties:	HIALEAH RACING ASSOCIATION, LLC. – PLAINTIFF  DEPARTMENT OF BUSINESS AND PROFESSIONAL REGULATION, DIVISION OF PARI-MUTUEL WAGERING – DEFENDANT		
Court with Jurisdiction:	Circuit Court – 11th Judicial Circuit – Dade County		
Case Number:	CASE NO. 2004-2337-CA-01		
Summary of the Complaint:	Plaintiff challenges the constitutionality of Section 550.5251(2), Florida Statutes. Plaintiff, who is charged with violating that statute, claims application of the statute constitutes an unconstitutional taking of its thoroughbred horseracing permit and violates due process. Private counsel and agency counsel agree that Plaintiff’s likelihood of prevailing is marginal at best.		
Amount of the Claim:	\$ Not specified, but would exceed \$1,000,000 if successful.		
Specific Law(s) Challenged:	Sections 550.01215, 550.09515(3)(a), and 550.5251(2), Florida Statutes		
Status of the Case:	Private counsel is engaged in discovery.		
Who is representing (of record) the state in this lawsuit? Check all that apply.	<input checked="" type="checkbox"/>	Agency Counsel	
	<input 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).			

## 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>	<b>Department of Business and Professional Regulation</b>		
<b>Contact Person:</b>	Cecelia D. Jefferson	<b>Phone Number:</b>	850-921-8963
<b>Names of the Case: (If no case name, list the names of the plaintiff and defendant.)</b>	Irish Gaming, LLC v Department of Business and Professional Regulation, Division of Alcoholic Beverage and Tobacco, and Jerry Geier, as Director of the Division of Alcoholic Beverage and Tobacco		
<b>Court with Jurisdiction:</b>	Leon County Circuit Court		
<b>Case Number:</b>	2009-CA-1871; 2009-CA-2490		
<b>Summary of the Complaint:</b>	2009-CA-1871-Replevin action for the recovery of gambling machines that ABT has deemed to be illegal slot machines; seeking a ruling that ABT agents do not have the right to enforce gambling violations on an alcoholic beverage licensed premises 2009-CA-2490-Action for Declaratory and Injunctive Relief-plaintiff is asking the court to rule the activity they are engaging in as legal; and to deem the machines being used to constitute a drawing and not a slot machine		
<b>Amount of the Claim:</b>	\$ n/a		
<b>Specific Statutes or Laws (including GAA) Challenged:</b>	849.0935; 849.15; 849.16; 561.29		
<b>Status of the Case:</b>	Motions to Dismiss have been filed in both actions by DBPR; Motions for Temporary Injunctions have been filed by Plaintiff in both actions; hearing held on August 26, 2009 before the Honorable Judge Jackie Fulford; Motion to Dismiss and Motion for Temporary Injunctions were both denied in 2009-CA-1871; motions have been taken under advisement in 2009-CA-2490.		
<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	



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).	
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## Schedule VII: Agency Litigation Inventory

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

Agency:	<b>The Department of Business and Professional Regulation, Division of Alcoholic Beverages and Tobacco.</b>		
Contact Person:	Gar Chisenhall	Phone Number:	(850) 922-0907
Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	The Dep’t of Bus. & Prof’l Regulation, Div. of Alcoholic Beverages & Tobacco v. United Southern Bank, Vue Night Club, LLC, a Florida LLC, the Dep’t of Revenue, and Isadore Cagan & Joyce F. Kazaros-Cagan		
Court with Jurisdiction:	The Fifth District Court of Appeal		
Case Number:	5D09-2482		
Summary of the Complaint:	<p>This is a case under which a current state law is at risk of not being enforced.</p> <p>On January 18, 2008, Vue Night Club, LLC (“Vue Night Club”) executed a commercial promissory note and agreed to repay United Southern Bank (“United Southern”) \$350,000 at 7.875% interest by March 1, 2011. Even though Vue Night Club’s investors agreed to be jointly, severally, and unconditionally liable for the payments, Vue Night Club pledged its liquor license (# 45-02452) as security.</p> <p>In attaching a value to License # 45-02452, United Southern relied on a document published on a Division-run website explaining how liquor licenses such as License # 45-02452 would be governed from October 1, 2006 forward. That document stated that licenses such as License # 45-02452 could be moved “anywhere within the state.”</p> <p>However, sometime prior to July of 2007, the Division disavowed that policy and provided notice that SR licenses could no longer be moved from the location where the license was originally issued.</p> <p>When Vue Night Club defaulted on the note, United Southern filed on November 21, 2008 a Complaint to foreclose on License # 45-02452 in the Circuit Court of Lake County. United Southern attached to its Complaint and labeled as Exhibit E the Division-published document it relied on to value License # 45-02452.</p> <p>As required by section 561.65(5) of the Florida Statutes, United Southern named the Division of Alcoholic Beverages and Tobacco as a defendant. With regard to the portion of the Complaint which alleged that United Southern relied on a Division-published document which</p>		

explained how liquor licenses such as License # 45-02452 would be governed from October 1, 2006 forward, the Division stated that the allegation was denied because the Division was “without sufficient knowledge.”

On April 7, 2009, the Circuit Court entered a “Stipulated Final Summary Judgment of Foreclosure” finding that United Southern was owed \$381,738.61. In doing so, the aforementioned Order noted that United Southern holds a lien on License # 45-02452 and that it “may be moved to any location in the State.” Accordingly, License # 45-02452 was to be sold on June 9, 2009 “to the highest and best bidder” during a public sale held at the Lake County Judicial Center.

Pursuant to Rule 1.540(b) of the Florida Rules of Civil Procedure, the Division filed a “Motion for Relief from Judgment and for Expedited Hearing” on May 11, 2009 that took issue with the portion of the Circuit Court’s April 7, 2009 Order which provided that License # 45-02452 “may be moved to any location in the State.” In support of its Motion, the Division stated that mistake, inadvertence, or excusable neglect on the part of the assistant general counsel previously assigned to the case had caused the Division to overlook Exhibit E and United Southern’s effort to have the Circuit Court rule that License # 45-02452 could be moved to any location in Florida. The Division also argued that United Southern was relying on an outdated legal interpretation previously used by the Division. That short-lived interpretation stated that licenses such as License # 45-02452 could be transferred anywhere in the state. However, that interpretation was determined to be contrary to Florida Law, and the Division ceased using that interpretation sometime prior to July 2007. The Division explained that the correct interpretation is based on Section 561.20 of the Florida Statutes which states that “any license heretofore issued to any such hotel, motel, motor court, or restaurant . . . under the general law shall not be moved to a new location, such license being valid only on the premises of such hotel, motel, motor court, or restaurant.”

Accordingly, the Division concluded its Motion by asking the Circuit Court “for relief from the judgment solely as to the provision stating the License may be moved to any location within the state, or in the alternative to require that the public be informed at the foreclosure sale that the Division will deny any attempt to move the license from the current location.”

The Circuit Court rendered an Order on June 8, 2009 denying the Division’s Motion for Relief from Judgment. The Division appealed that decision to the Fifth District Court of Appeal and is arguing that the Circuit Court grossly abused its discretion by issuing a ruling that: (a) was contrary to the plain language of section 561.20(2)(a); and (b) enables License # 45-02452 to be the one and only license of its type that can be freely relocated to any location in Florida at the whim of the licensee.

	<p>The Division is also arguing on appeal that the assistant general counsel who reviewed United Southern's Complaint simply overlooked Exhibit E and the fact that United Southern was valuing License # 45-02452 based on a mistaken belief that the Division was still allowing such licenses to be moved to any location in Florida. That was an honest mistake very much akin to the types of errors appellate courts have deemed to be the result of mistake, inadvertence, or excusable neglect.</p>
Amount of the Claim:	\$ Not applicable.
Specific Statutes or Laws (including GAA) Challenged:	Section 561.20(2)(a), Florida Statutes (2008).
Status of the Case:	The Department served the Initial Brief on July 23, 2009. The case's briefing stage should be completed on or before October 26, 2009 with submission of the Department's Reply Brief. The Fifth District Court of Appeal will probably not issue a ruling prior to March of 2010.
Who is representing (of record) the state in this lawsuit? Check all that apply.	<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
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).	



## Schedule X Organization Structure

## Department of Business & Professional Regulation Office of the Secretary

Secretary of Business & Professional Regulation  
Chief Executives  
10001  
10-1011-3 (9845) 025 (950)

### Chief of Staff

Chief of Staff – DBPR  
General & Operations Managers  
00492  
10-1021-2 (9648) 024 (940)

Sr. Executive Assistant  
1<sup>st</sup> Line Sup/Mgr of Office &  
Admin Support Workers  
10249  
43-1011-5 (8926) 010 (140)

Administrative Assistant III - SES  
Exec Secretaries & Admin Assts  
10002  
43-6011-4 (0714) 006 (421)

### Office of the Inspector General

Inspector General  
General & Operations Managers  
00567  
(See Separate Chart)

Information Administrator – DBPR  
Public Relations Managers  
10563  
(See Separate Chart)

Chief Performance Officer  
Managers, All Other  
10828  
11-9199-03 (8216) 021 (540)

Legislative Affairs Director -DBPR  
Marketing Managers  
00879  
(See Separate Chart)

Director of Administration – DBPR  
General & Operations Managers  
10562  
(See Separate Chart)

Budget & Financial Mgmt Dir – DBPR  
Financial Managers  
00019  
(See Separate Chart)

Chief Information Officer – DBPR  
Computer & Info Systems Mgrs  
10583  
(See Separate Chart)

Director of Service Operations  
General & Operations Managers  
11170  
(See Separate Chart)

### Professional Regulation

Deputy Secretary – DBPR  
General & Operations Managers  
00527  
10-1021-2 (9860) 024 (940)

Director of Real Estate – DBPR  
General & Operations Managers  
10116  
(See Separate Chart)

Director of Professions – DBPR  
General & Operations Managers  
10443  
(See Separate Chart)

Exec Dir Boxing Commission–DBPR  
General & Operations Managers  
00828  
(See Separate Chart)

Operations & Mgmt Consultant I-SES  
Management Analysts  
10714  
13-1111-3 (2234) 07 (421)

Dir. of Certified Public Acct. – DBPR  
General & Operations Mangers  
10033  
(See Separate Chart)

Director of Regulation – DBPR  
General & Operations Managers  
10449  
(See Separate Chart)

### Office of the General Counsel

General Counsel – DBPR  
Managers, All Others  
10398  
(See Separate Chart)

### Business Regulation

Deputy Secretary – DBPR  
General & Operations Managers  
00700  
10-1021-2 (9860) 024(940)

Dir of Hotels & Restaurants – DBPR  
General & Operations Managers  
00276  
(See Separate Chart)

Dir Alcoholic Bev & Tobacco- DBPR  
Managers, All Others  
00044  
(See Separate Chart)

Dir. Of Florida Land Sales – DBPR  
Property & Real Estate Managers  
00451  
(See Separate Chart)

Dir. Of Pari-Mutuel Wagering  
Gaming Managers  
00493  
(See Separate Chart)

**Department of Business and Professional Regulation  
Office of the Secretary  
Legislative Affairs**

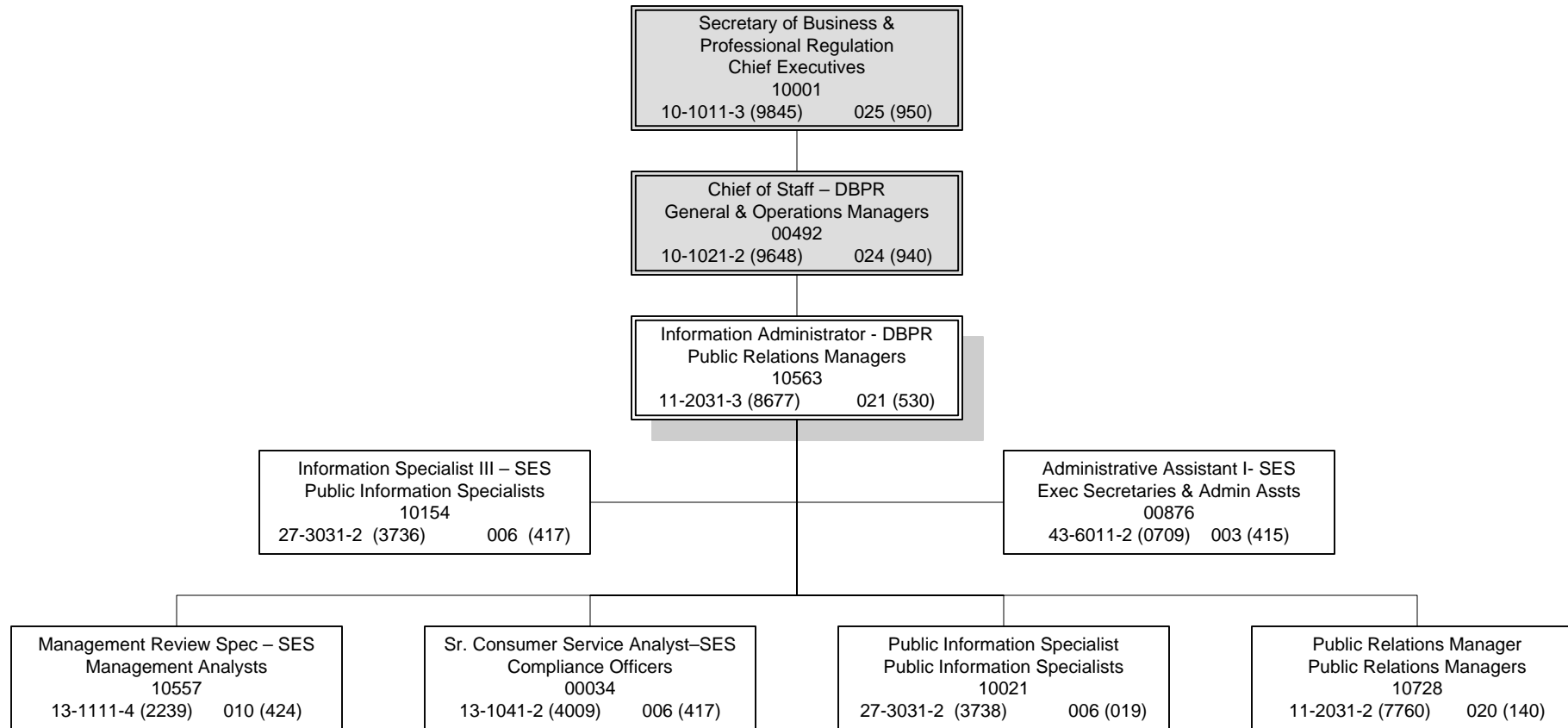
Secretary of Business &  
Professional Regulation  
Chief Executives  
10001  
10-1011-3 (9845) 025 (950)

Chief of Staff – DBPR  
General & Operations Managers  
00492  
10-1021-2 (9648) 024 (940)

Legislative Affairs Director – DBPR  
Marketing Managers  
00879  
10-2021-1 (8384) 023 (930)

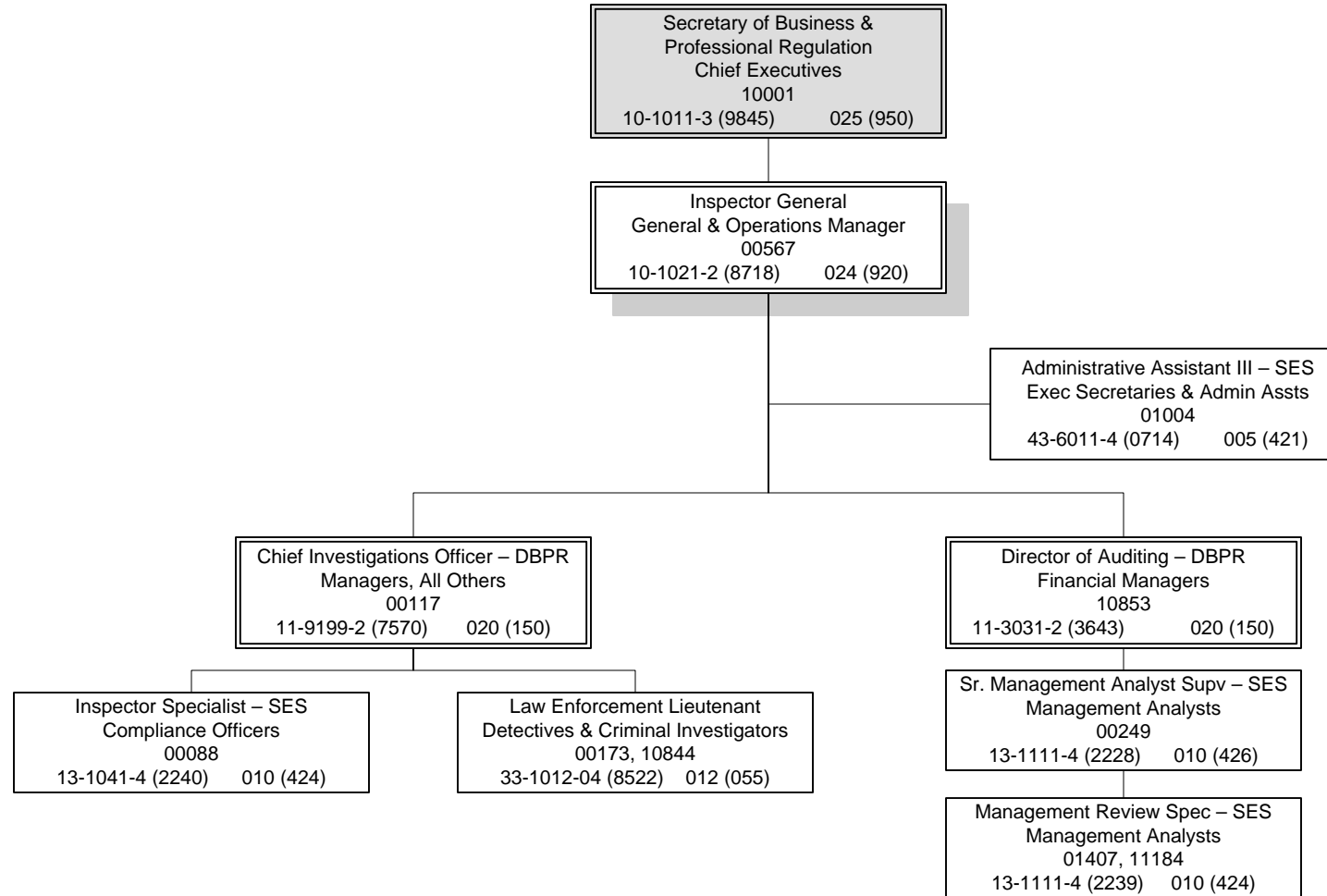
Legislative Coordinator- DBPR  
Management Analysts  
00494, 10368, 10881  
13-1111-4 (7885) (3) 010 (140)

**Department of Business and Professional Regulation  
Office of the Secretary  
Office of Public Information**





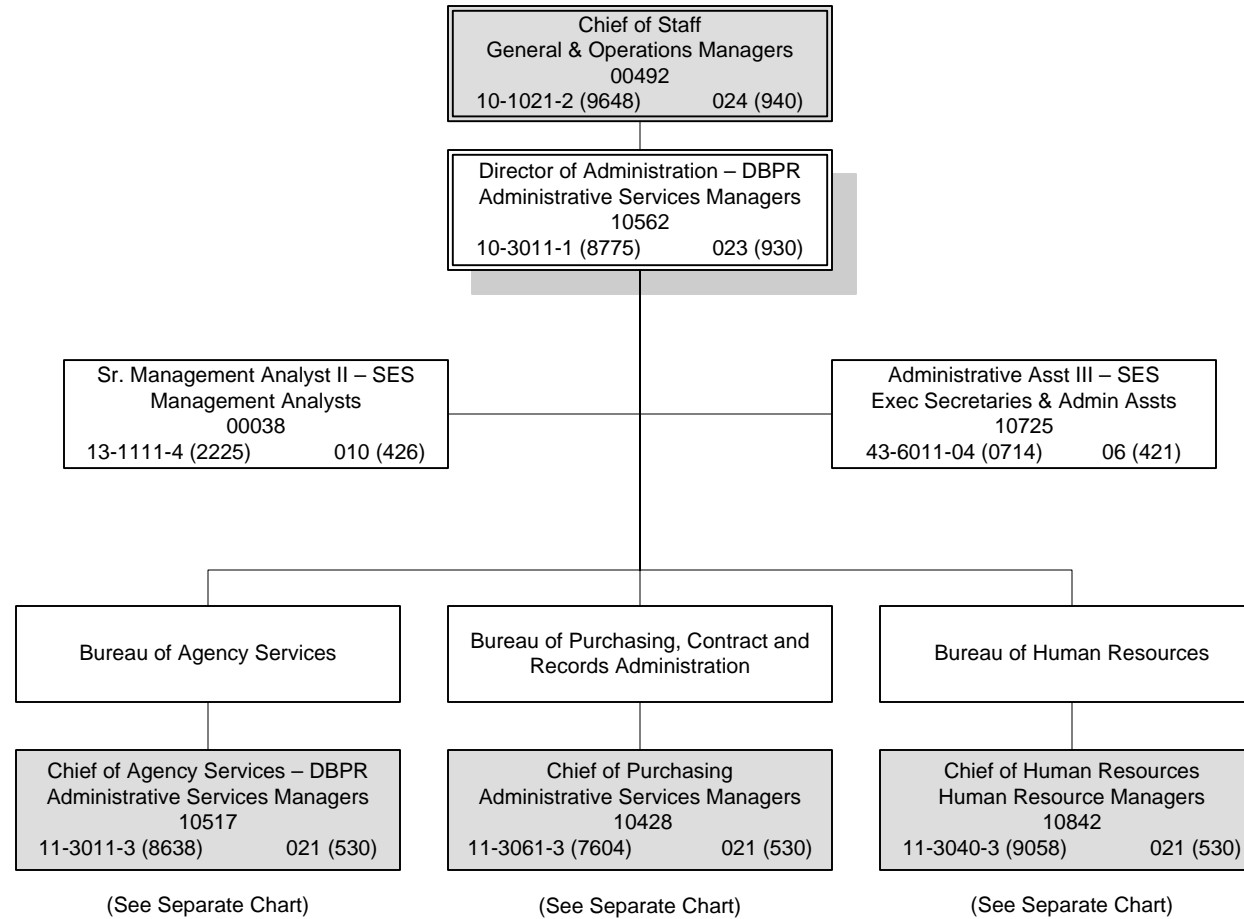
### Department of Business & Professional Regulation Office of the Secretary Inspector General



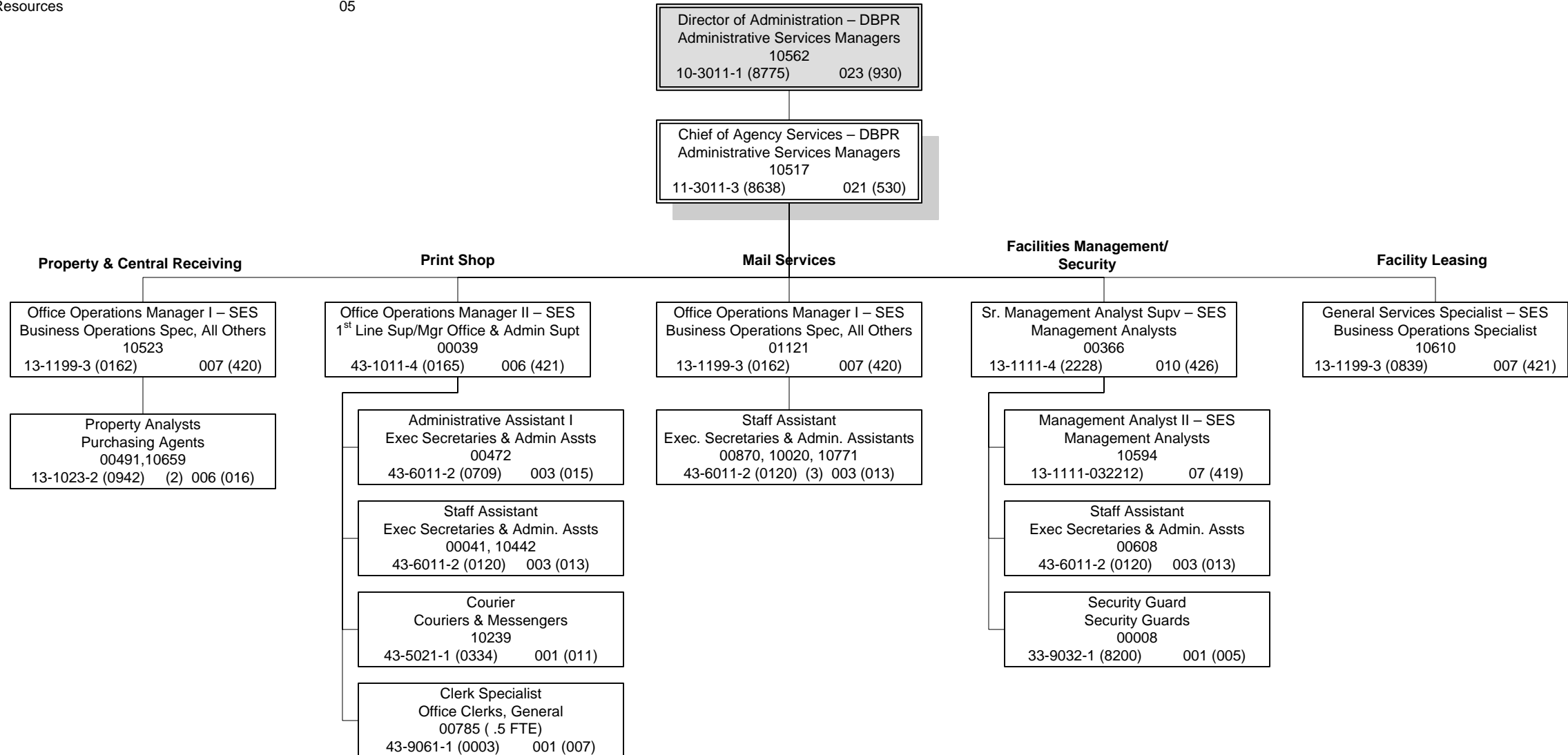
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 Division of Administration 03  
 Director's office 01  
 Agency Services 03  
 Purchasing, Contract and Records Administration 04  
 Human Resources 05

Current: 6-30-09  
 Last updated: 8-06-08

**Department of Business & Professional Regulation**  
**Division of Administration**  
**Director's Office**



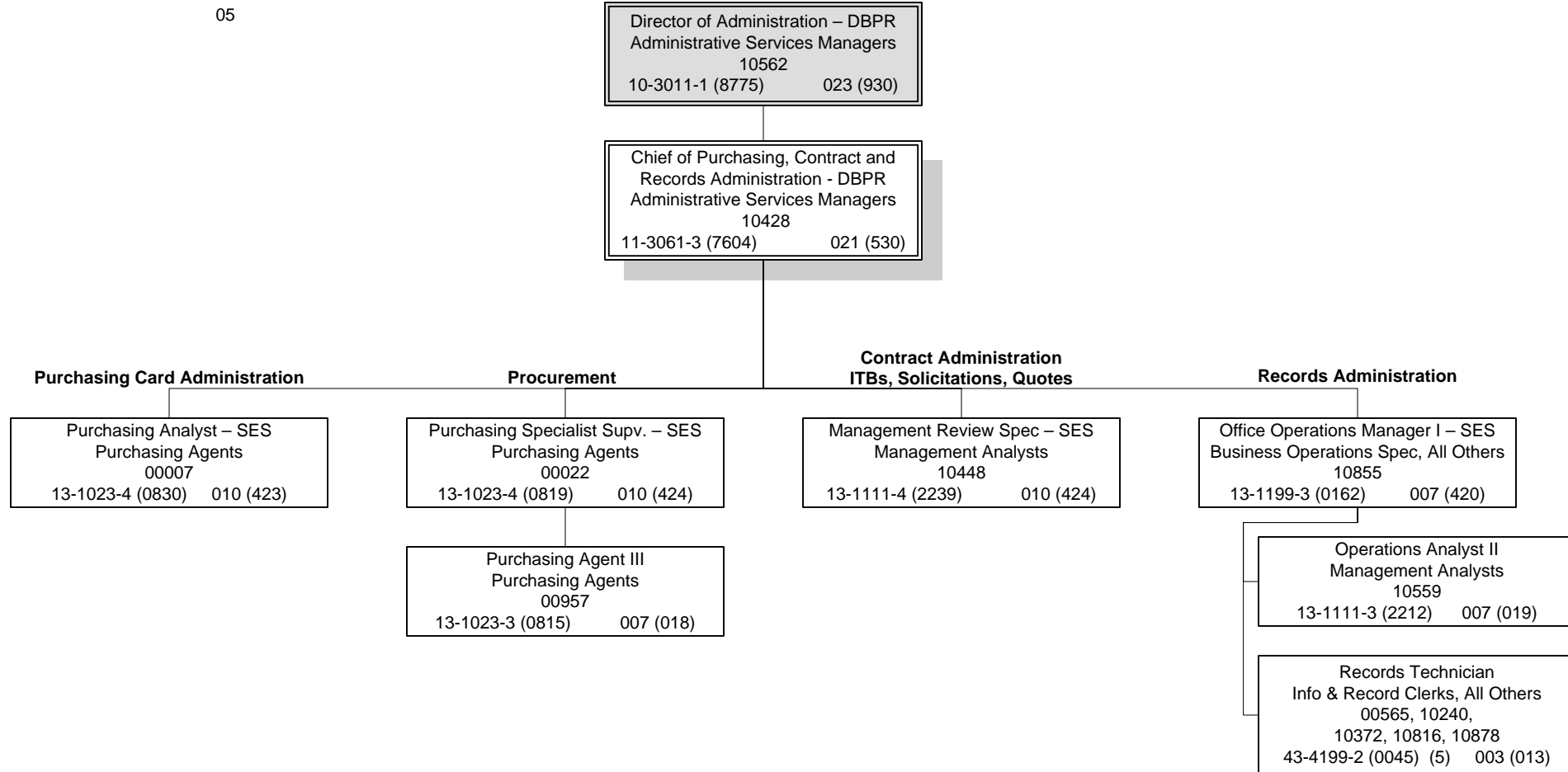
## Division of Administration Agency Services



Department of Business & Professional Regulation 79  
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 Director's office 01  
 Agency Services 03  
 Purchasing, Contract and Records Administration 04  
 Human Resources 05

## Division of Administration Bureau of Purchasing, Contract and Record Administration

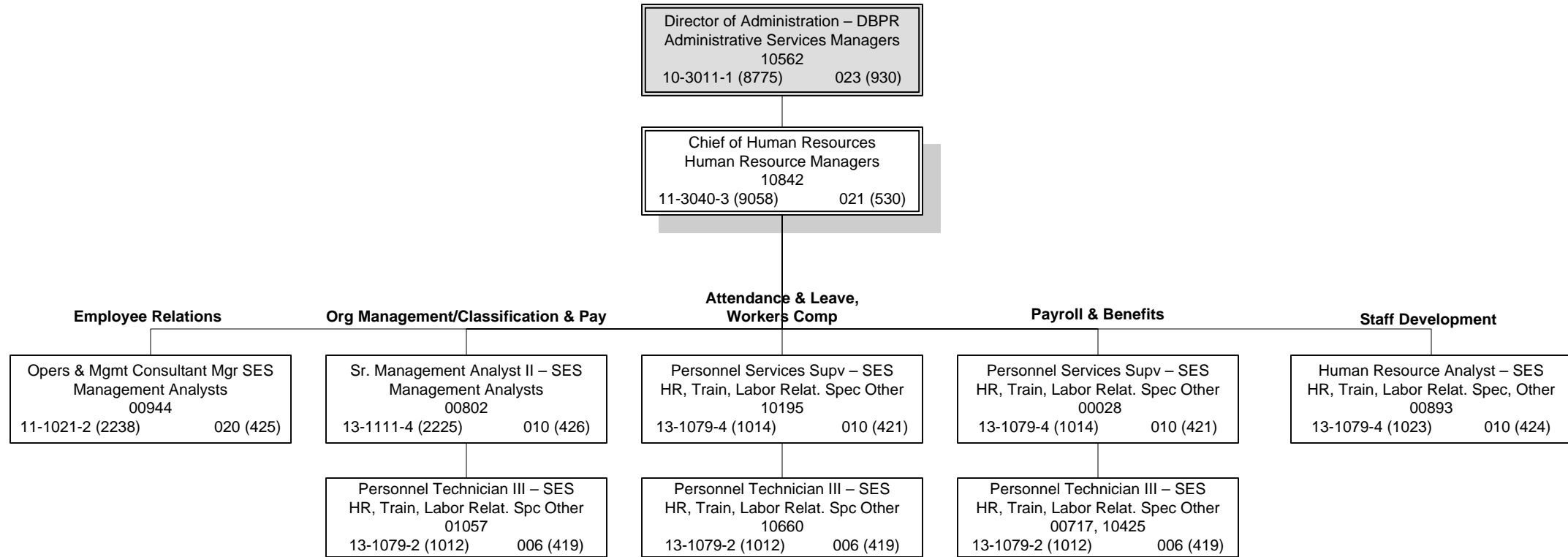
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Department of Business & Professional Regulation 79  
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 Agency Services 03  
 Purchasing, Contract and Records Administration 04  
 Human Resources 05

Current: 6-30-09  
 Last updated: 8-06-08

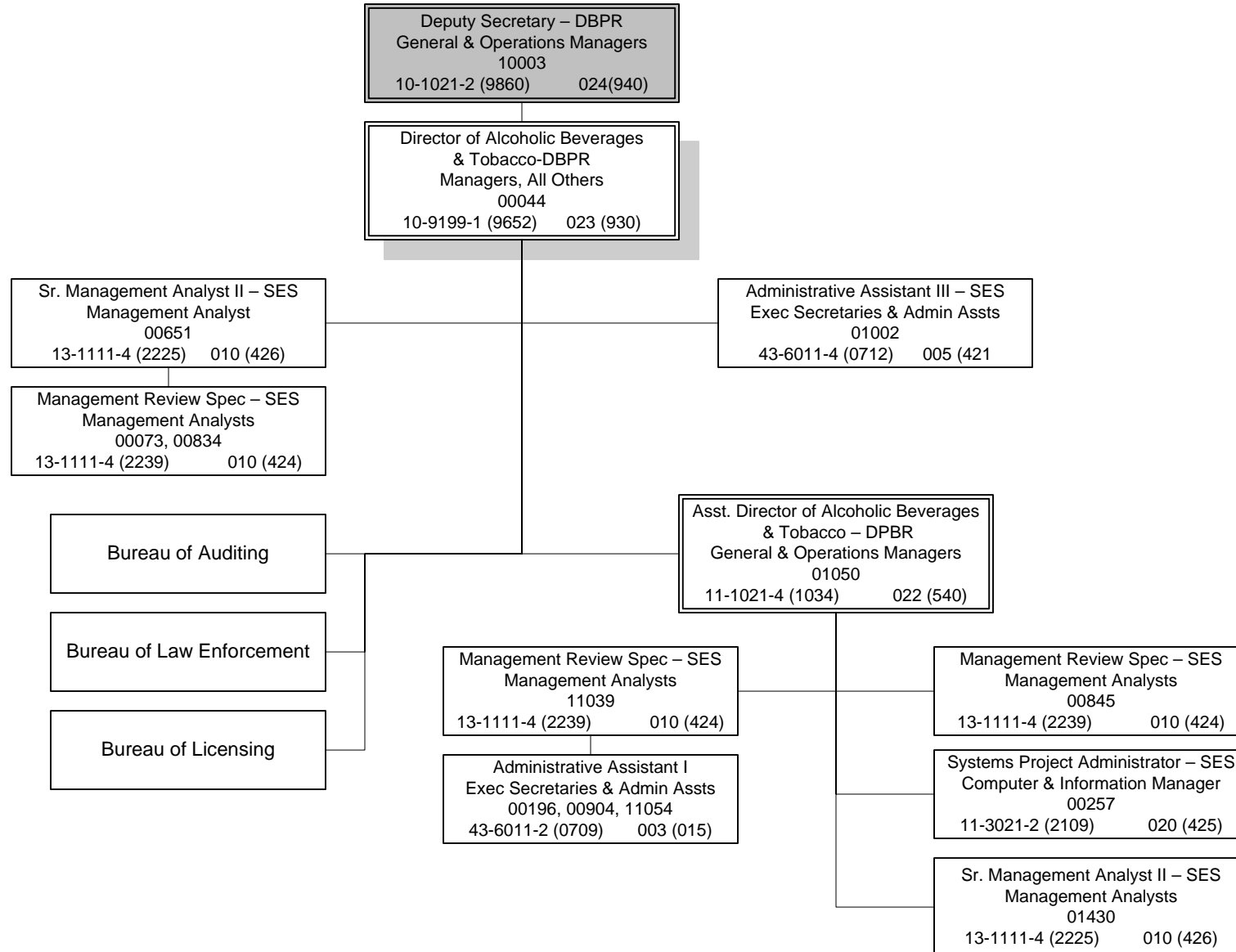
## Division of Administration Bureau of Human Resources



Department of Business & Professional Regulation 79  
 Division of Alcoholic Beverages & Tobacco 40  
 Director's Office 01  
 Auditing/Field Operations 04  
 Licensing 05  
 Law Enforcement 06

**Department of Business & Professional Regulation**  
**Division of Alcoholic Beverages & Tobacco**  
**Director's Office**

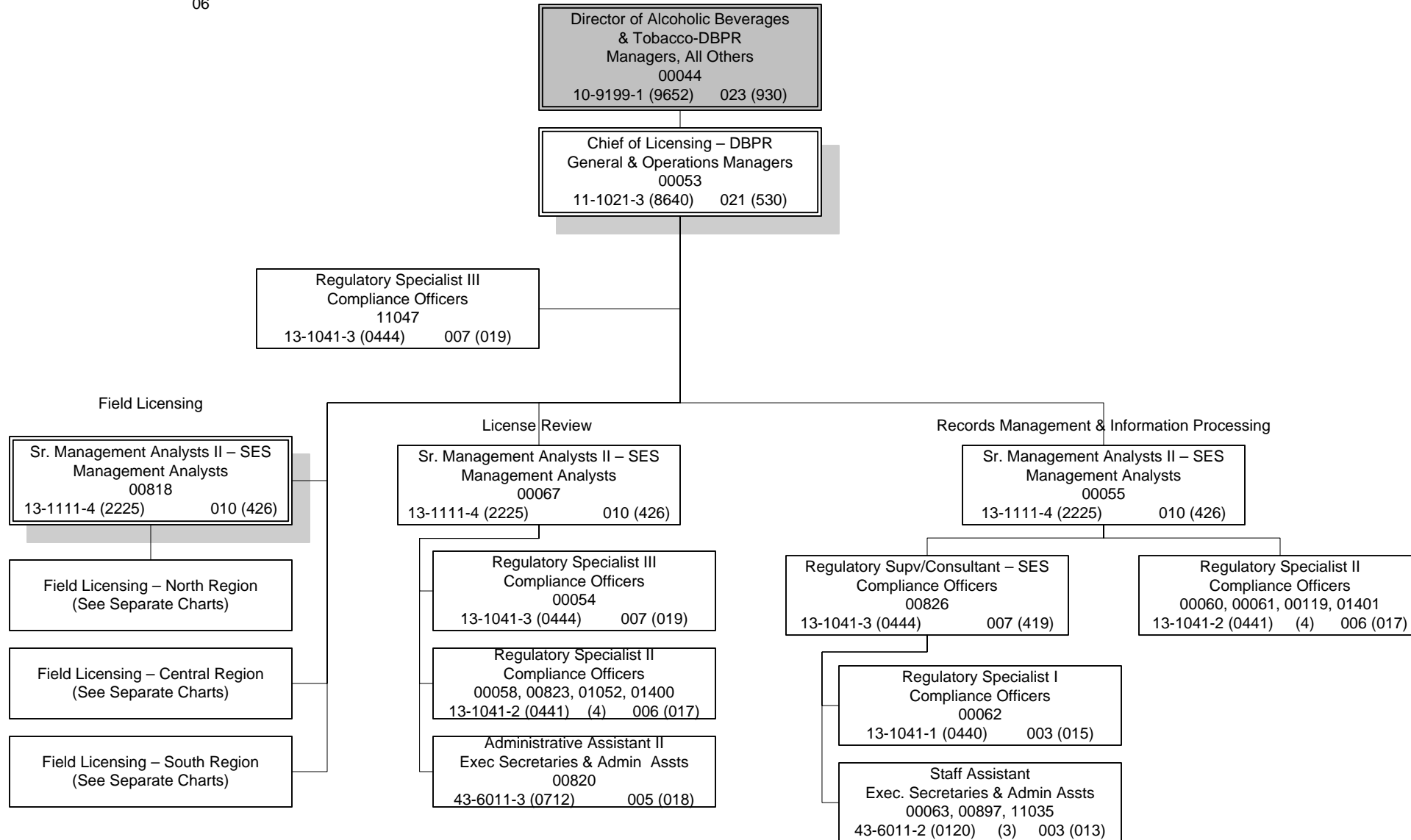
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Department of Business & Professional Regulation 79  
 Division of Alcoholic Beverages & Tobacco 40  
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 Licensing 05  
 Law Enforcement 06

**Division of Alcoholic Beverages & Tobacco**  
**Bureau of Licensing**  
**Chief's Office**

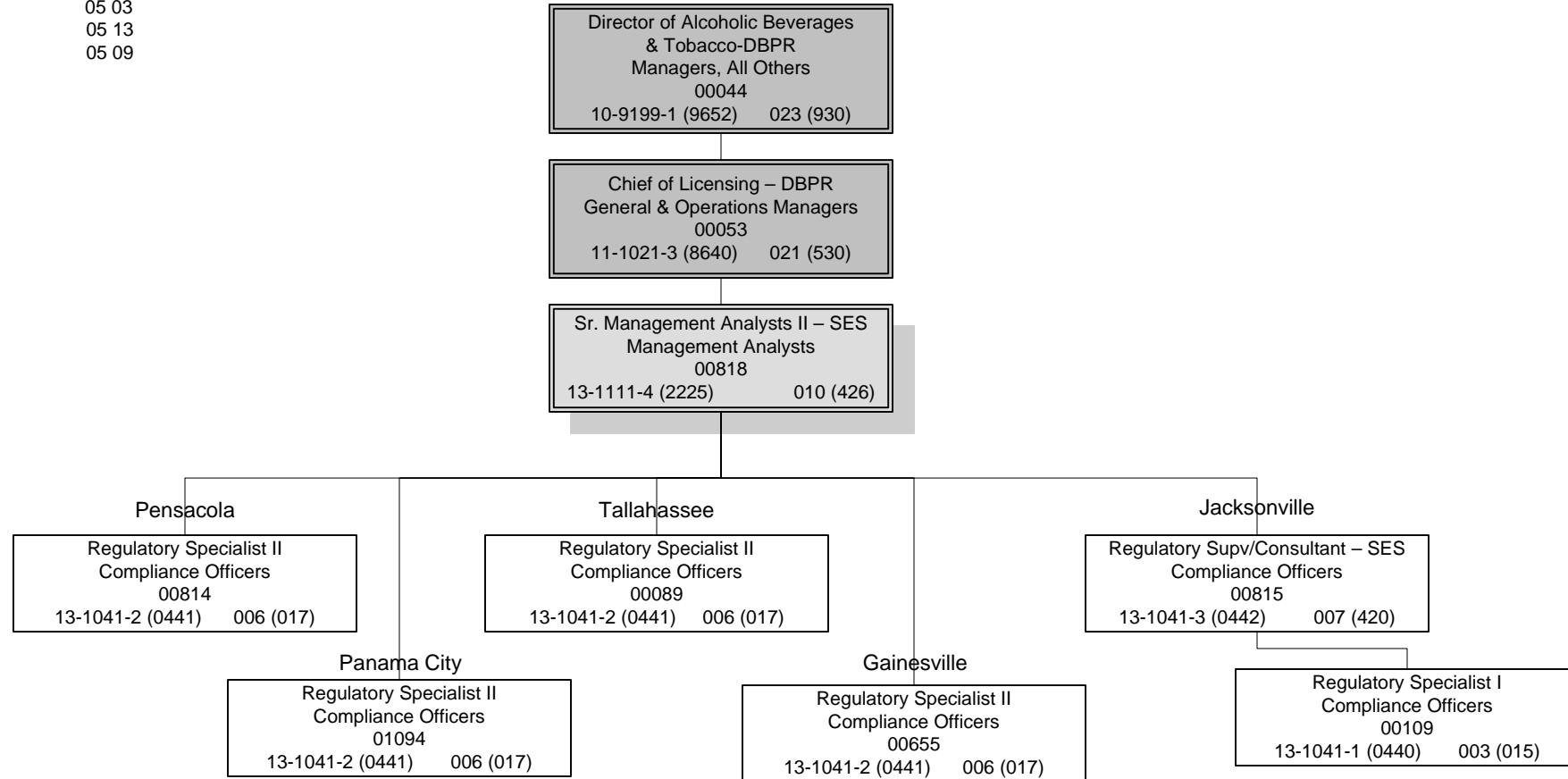
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 Last Updated: 8-06-08



Department of Business & Professional Regulations 79  
 Division of Alcoholic Beverages & Tobacco 40  
 Bureau of Licensing 05  
 Field Licensing North:  
 Pensacola 05 01  
 Tallahassee 05 02  
 Jacksonville 05 03  
 Gainesville 05 13  
 Panama City 05 09

**Division of Alcoholic Beverages & Tobacco**  
**Bureau of Licensing**  
**Field Licensing - North Region**

Current: 6-30-09  
 Last Updated: 8-06-08

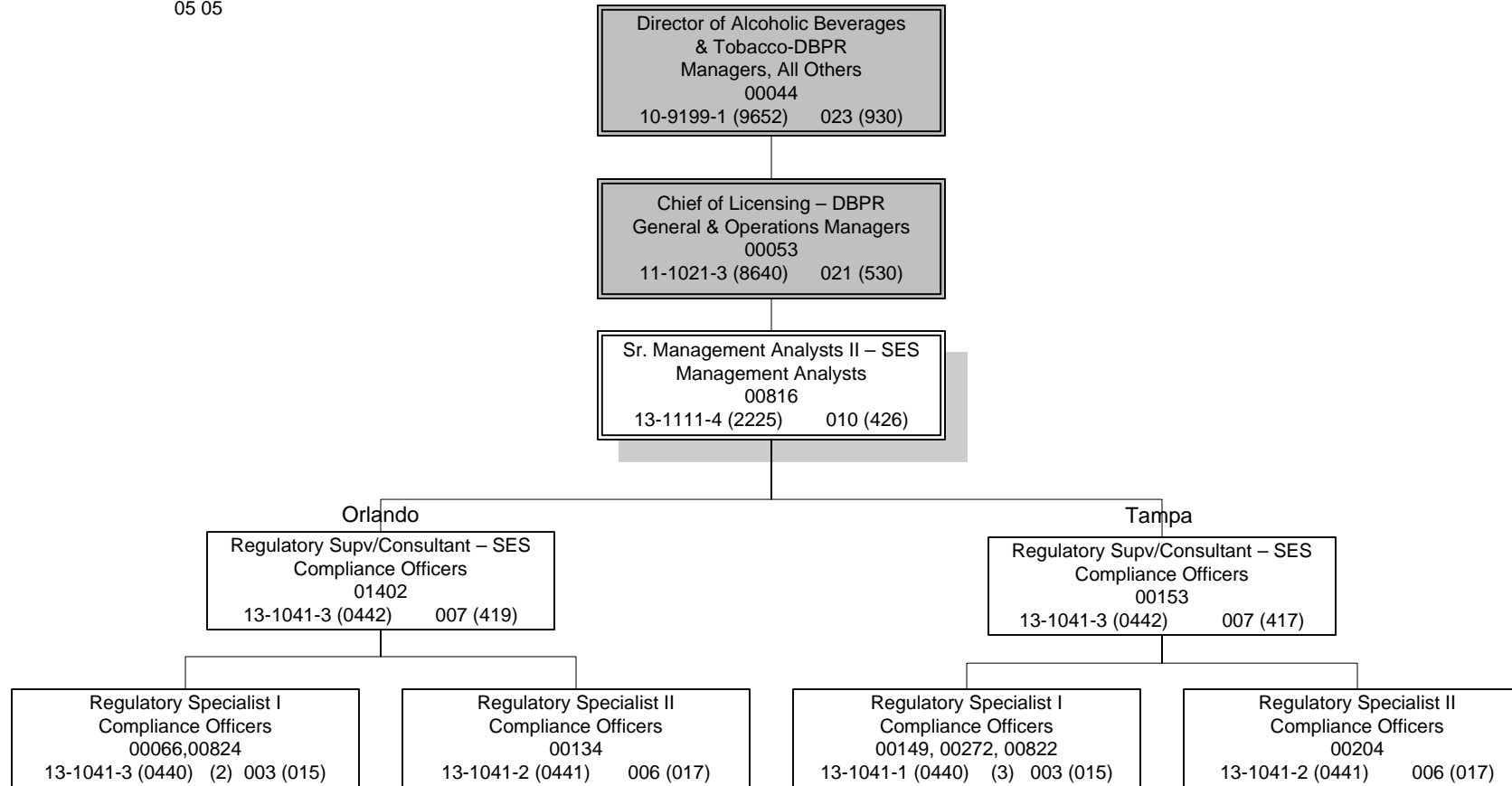




Department of Business & Professional Regulations 79  
 Division of Alcoholic Beverages & Tobacco 40  
 Bureau of Licensing 05  
 Field Licensing:  
 Tampa 05 04  
 Orlando 05 05

**Division of Alcoholic Beverages & Tobacco**  
**Bureau of Licensing**  
**Field Licensing – Central Region**

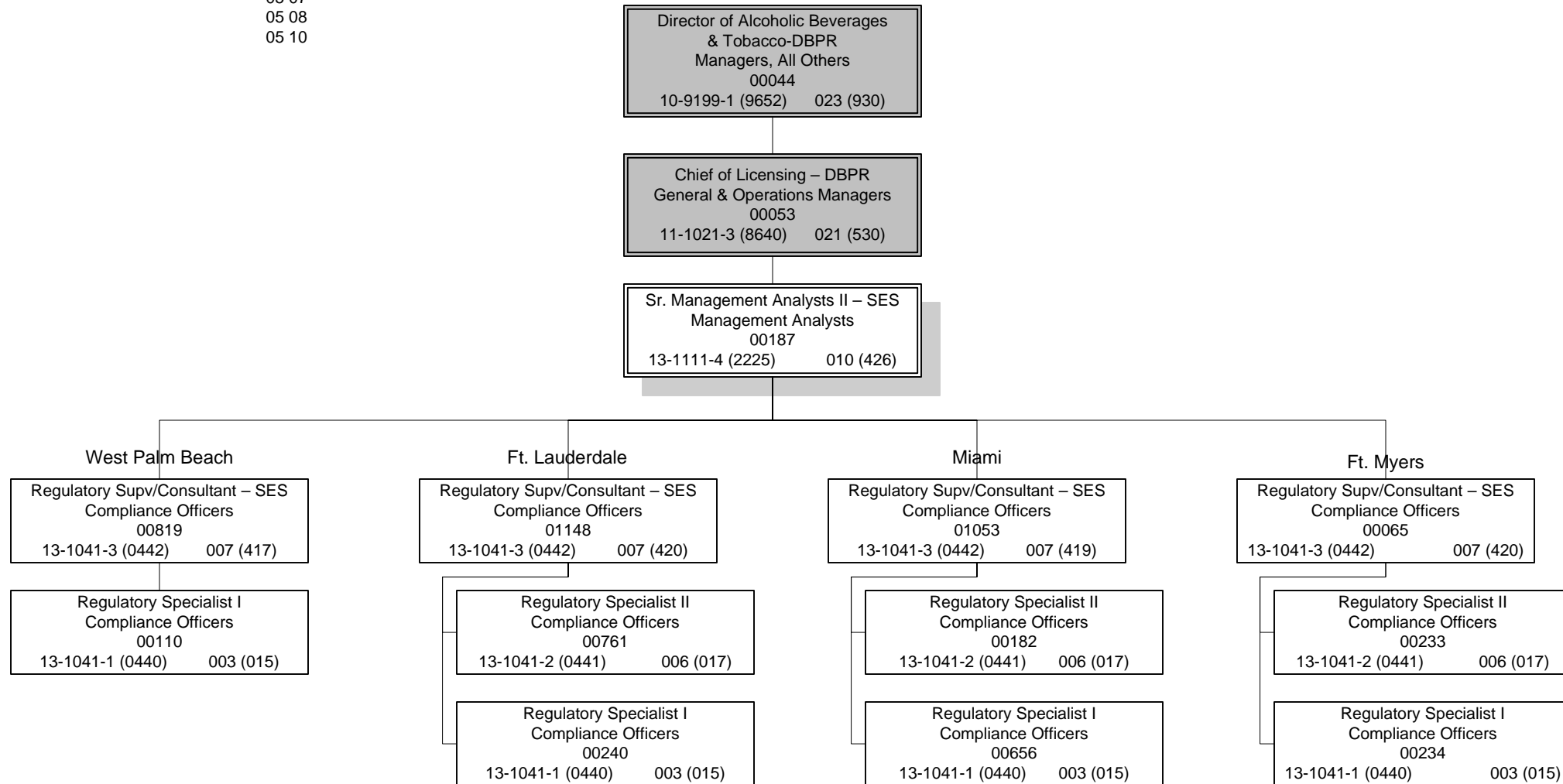
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 Last Updated: 8-06-08



Department of Business & Professional Regulations 79  
 Division of Alcoholic Beverages & Tobacco 40  
 Bureau of Licensing 05  
 Field Licensing:  
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 Margate 05 07  
 Miami 05 08  
 Ft. Myers 05 10

**Division of Alcoholic Beverages & Tobacco**  
**Bureau of Licensing**  
**Field Licensing – South Region**

Current: 6-30-09  
 Last Updated: 8-06-08



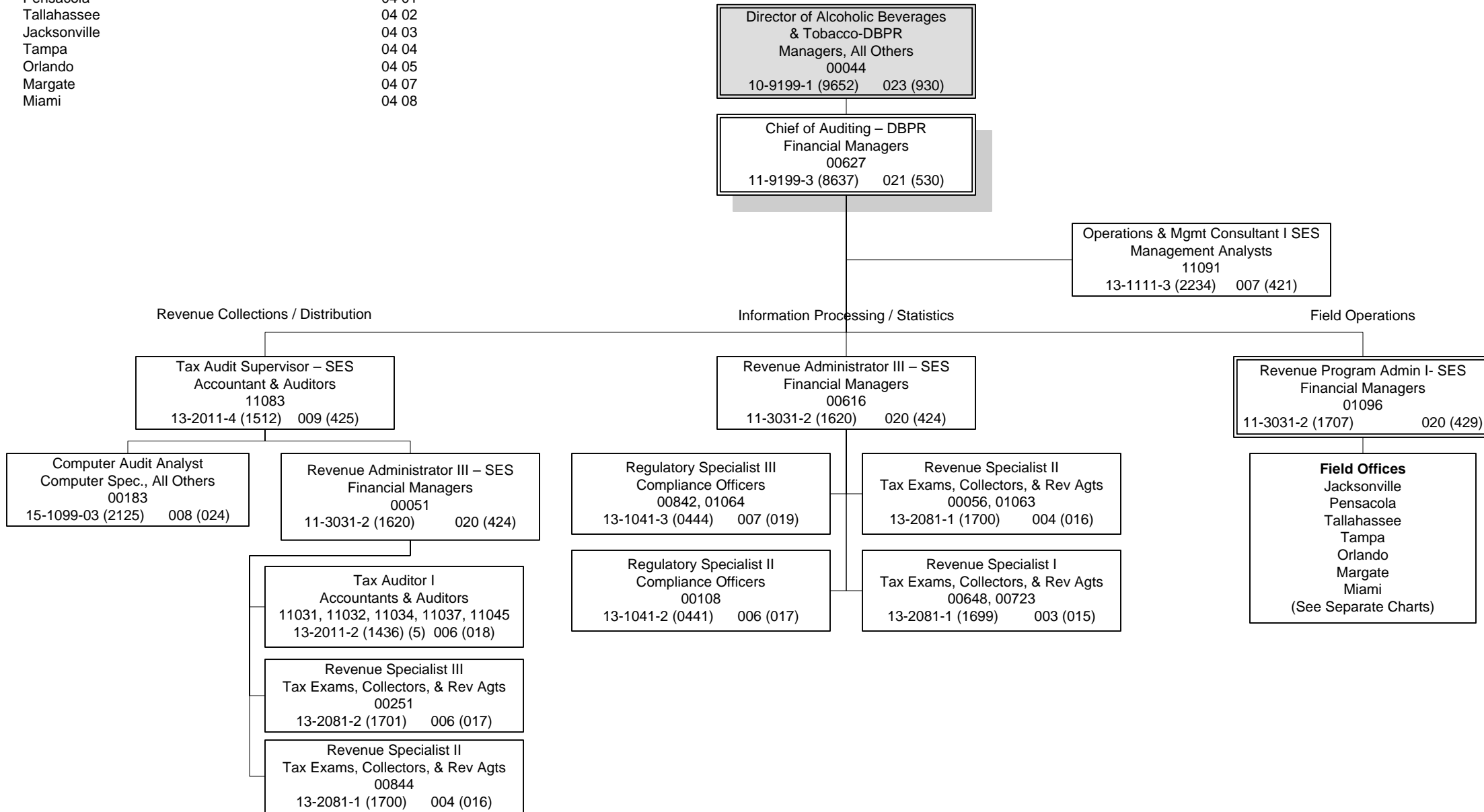
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 Division of Alcoholic Beverages & Tobacco 40  
 Bureau of Auditing 04  
 Field Operations:  
 Pensacola 04 01  
 Tallahassee 04 02  
 Jacksonville 04 03  
 Tampa 04 04  
 Orlando 04 05  
 Margate 04 07  
 Miami 04 08

## Division of Alcoholic Beverages & Tobacco

### Bureau of Auditing

#### Chief's Office

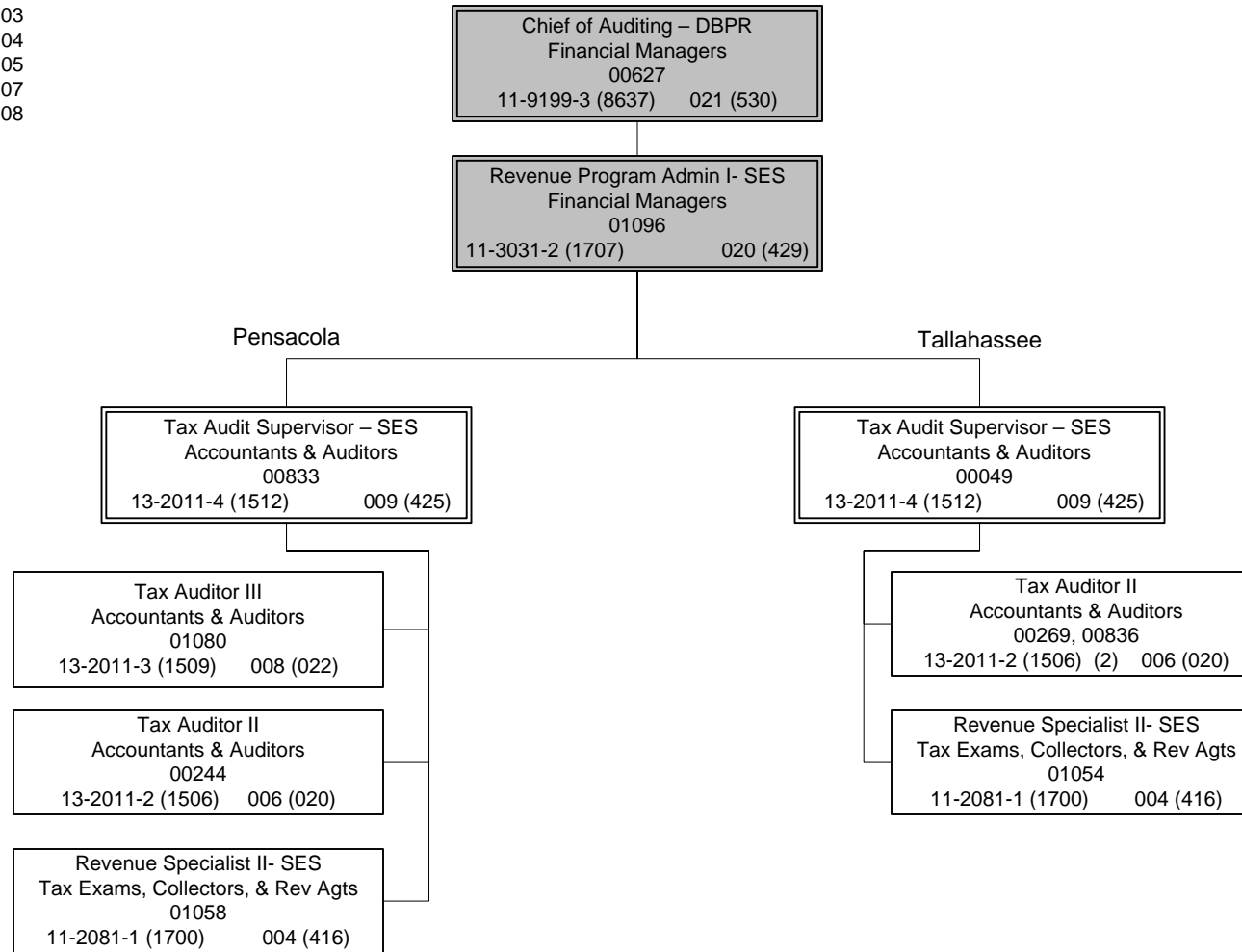
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 Last Updated: 8-06-08



Department of Business and Professional Regulation 79  
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 Bureau of Auditing 04  
 Field Operations:  
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 Tallahassee 04 02  
 Jacksonville 04 03  
 Tampa 04 04  
 Orlando 04 05  
 Margate 04 07  
 Miami 04 08

**Division of Alcoholic Beverages & Tobacco**  
**Bureau of Auditing**  
**Pensacola and Tallahassee Field Offices**

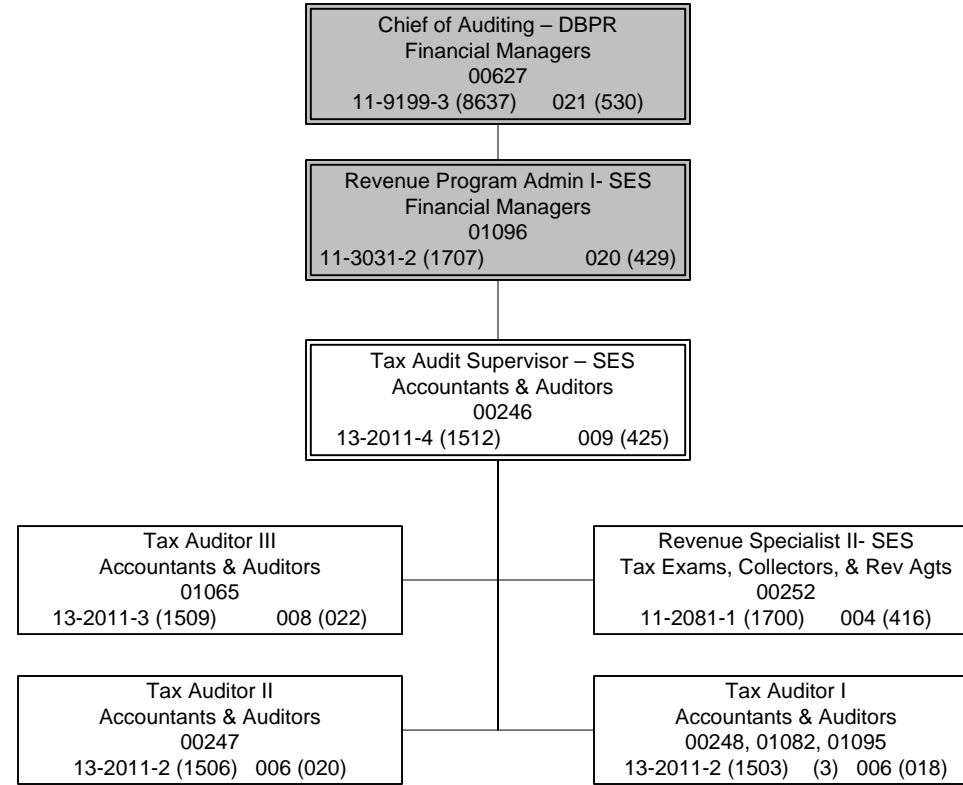
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Department of Business and Professional Regulation 79  
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 Tallahassee 04 02  
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 Miami 04 08

**Division of Alcoholic Beverages & Tobacco**  
**Bureau of Auditing**  
**Jacksonville Field Office**

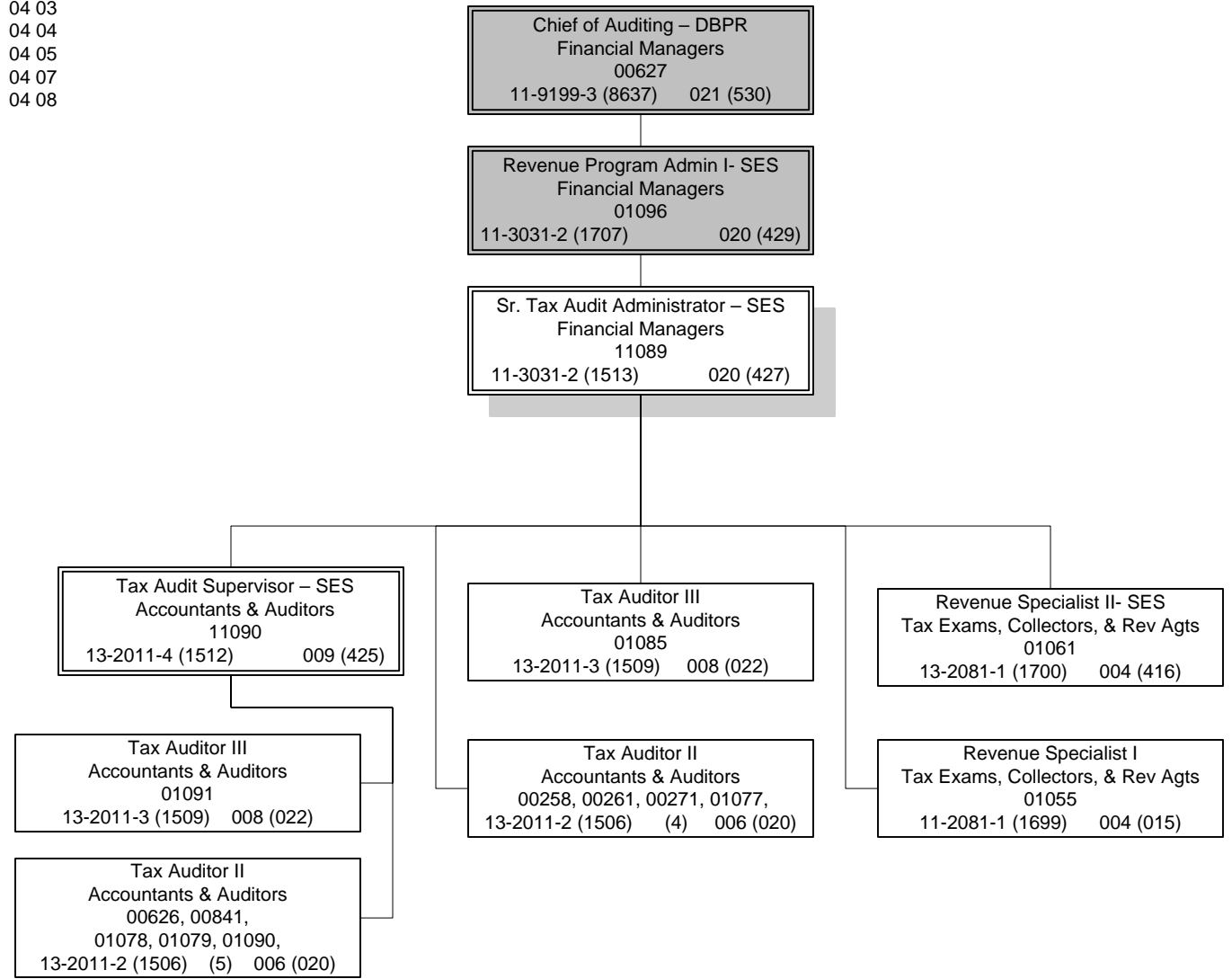
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Department of Business and Professional Regulation 79  
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Current: 6-30-09  
 Last Updated: 8-06-08

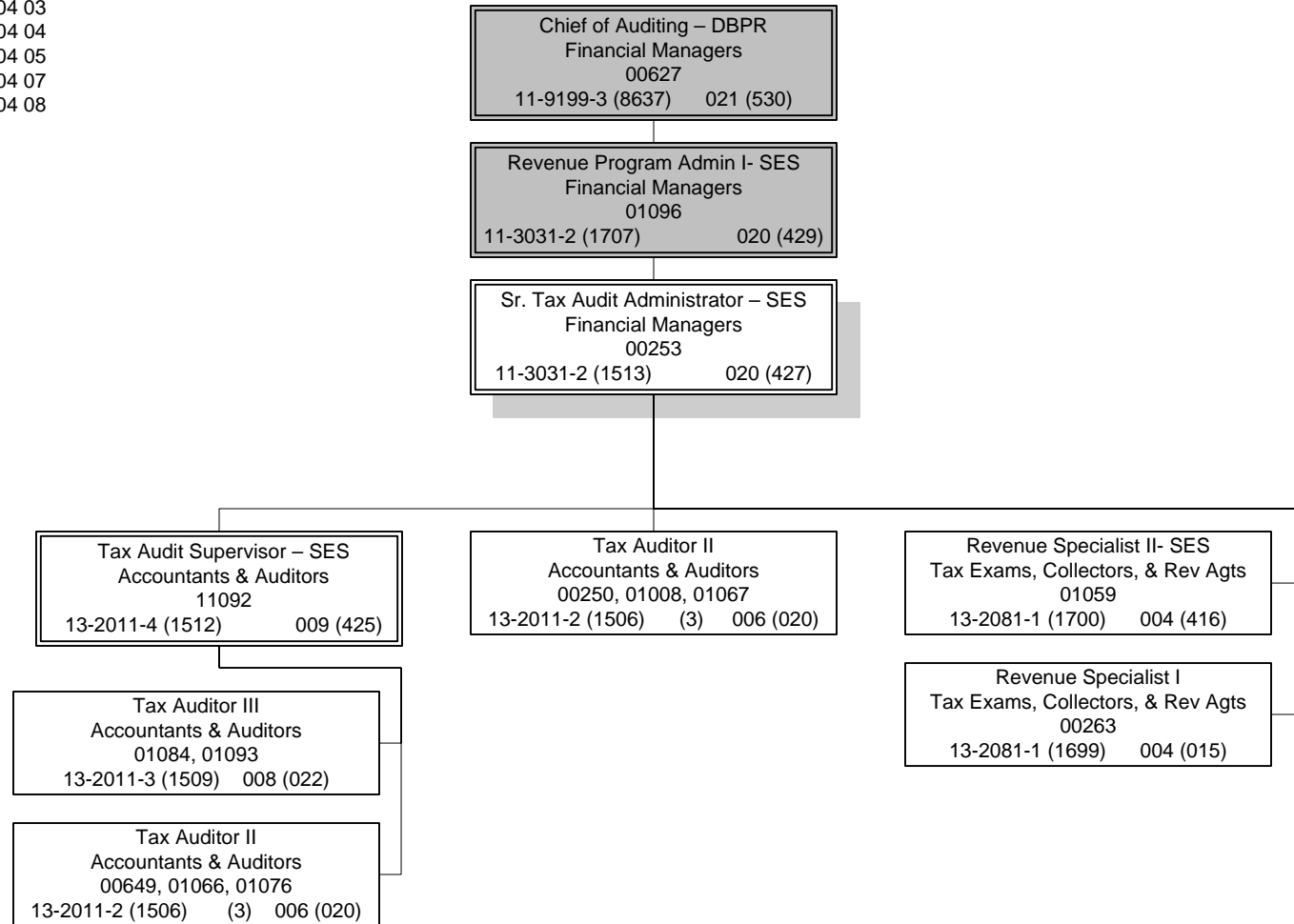
**Division of Alcoholic Beverages & Tobacco**  
**Bureau of Auditing**  
**Tampa Field Office**



Department of Business and Professional Regulation 79  
 Division of Alcoholic Beverages & Tobacco 40  
 Bureau of Auditing 04  
 Field Operations:  
 Pensacola 04 01  
 Tallahassee 04 02  
 Jacksonville 04 03  
 Tampa 04 04  
 Orlando 04 05  
 Margate 04 07  
 Miami 04 08

**Division of Alcoholic Beverages & Tobacco**  
**Bureau of Auditing**  
**Orlando Field Office**

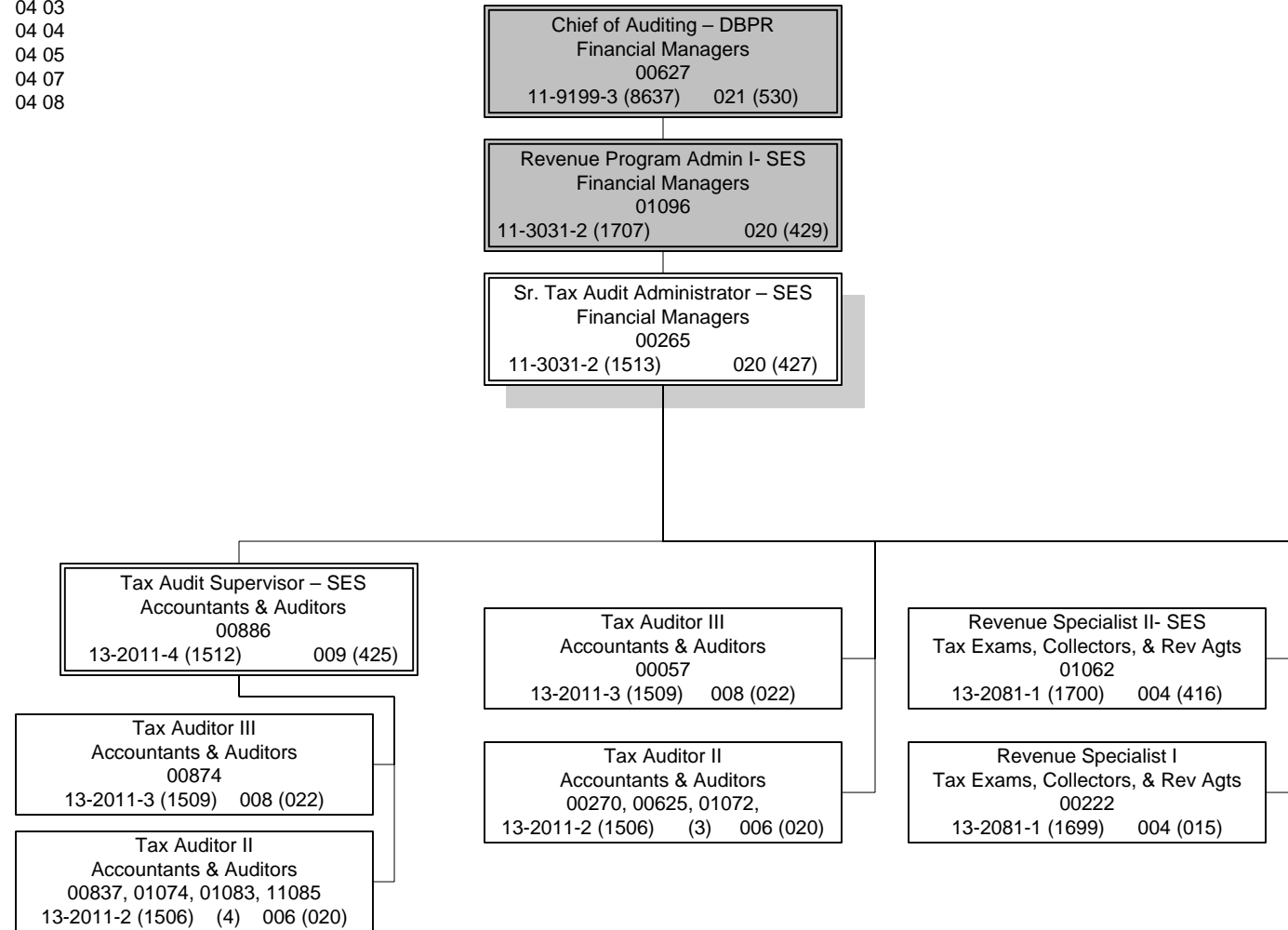
Current: 6-30-09  
 Last Updated: 8-06-08



Department of Business and Professional Regulation 79  
 Division of Alcoholic Beverages & Tobacco 40  
 Bureau of Auditing 04  
 Field Operations:  
 Pensacola 04 01  
 Tallahassee 04 02  
 Jacksonville 04 03  
 Tampa 04 04  
 Orlando 04 05  
 Margate 04 07  
 Miami 04 08

**Division of Alcoholic Beverages & Tobacco**  
**Bureau of Auditing**  
**Margate Field Office**  
**(Includes West Palm Beach)**

Current: 6-30-09  
 Last Updated: 8-06-08

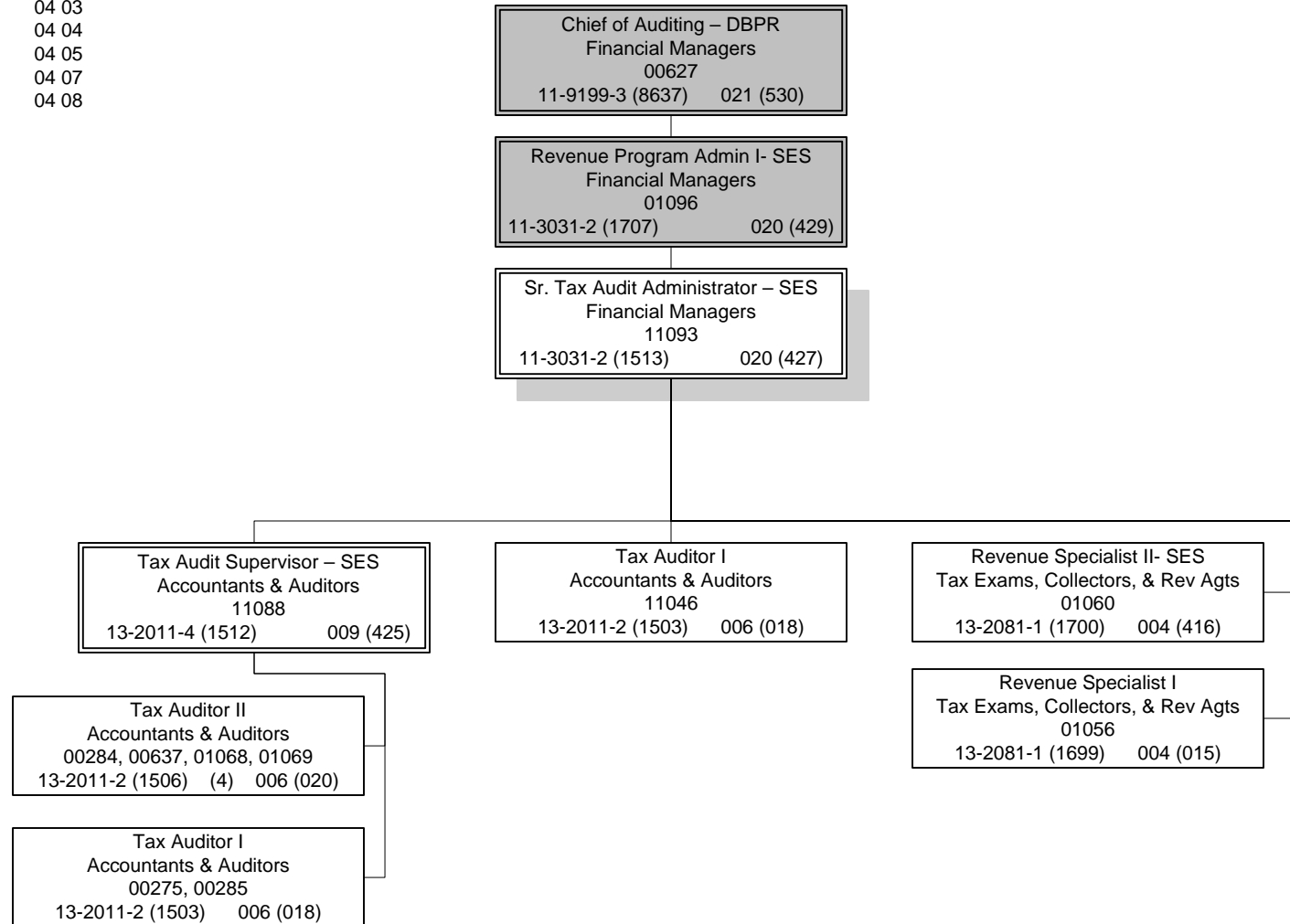




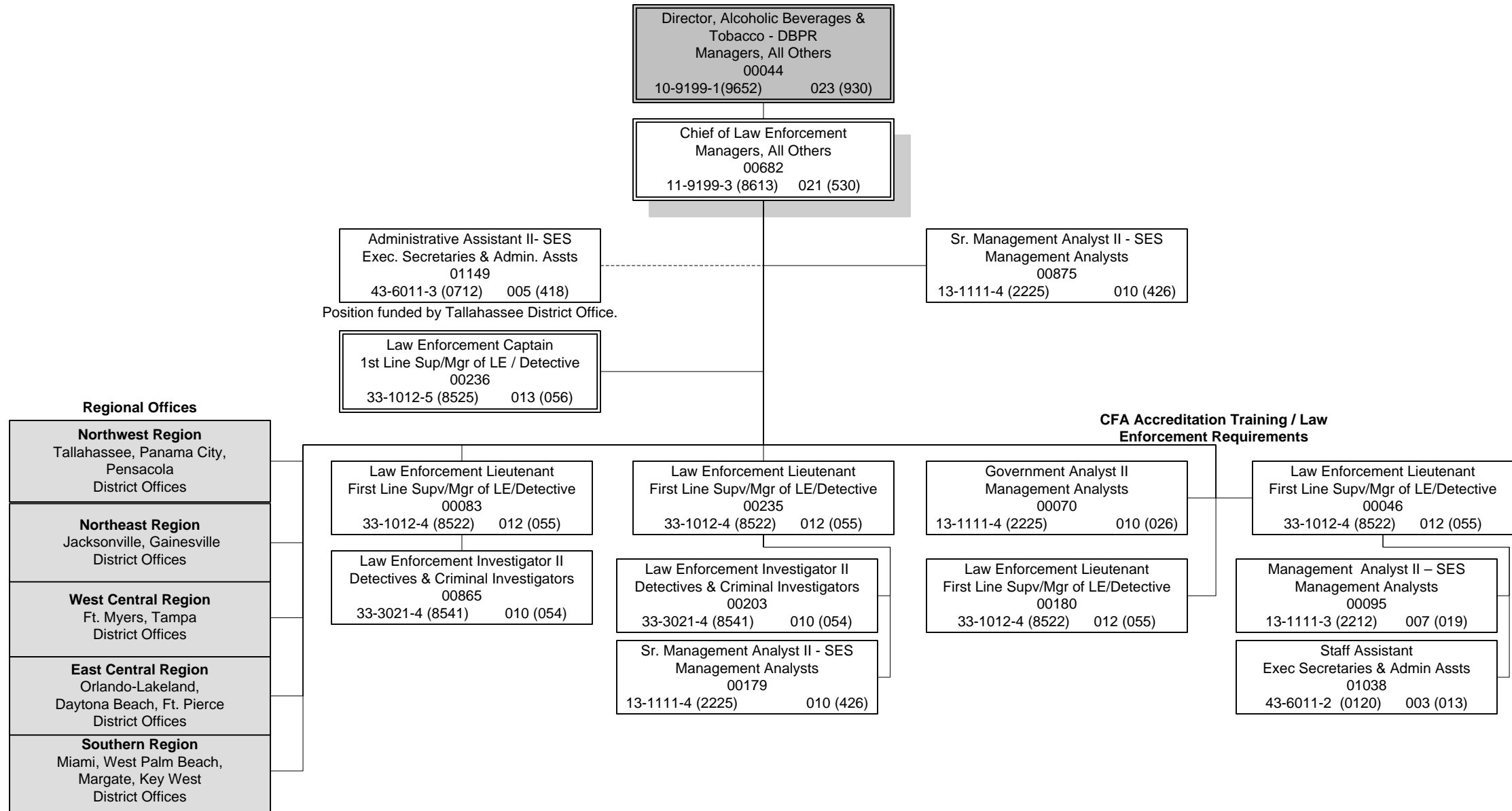
Department of Business and Professional Regulation 79  
 Division of Alcoholic Beverages & Tobacco 40  
 Bureau of Auditing 04  
 Field Operations:  
 Pensacola 04 01  
 Tallahassee 04 02  
 Jacksonville 04 03  
 Tampa 04 04  
 Orlando 04 05  
 Margate 04 07  
 Miami 04 08

**Division of Alcoholic Beverages & Tobacco**  
**Bureau of Auditing**  
**Miami Field Office**

Current: 6-30-09  
 Last Updated: 8-06-08



### Division of Alcoholic Beverages & Tobacco Bureau of Law Enforcement - Chief's Office



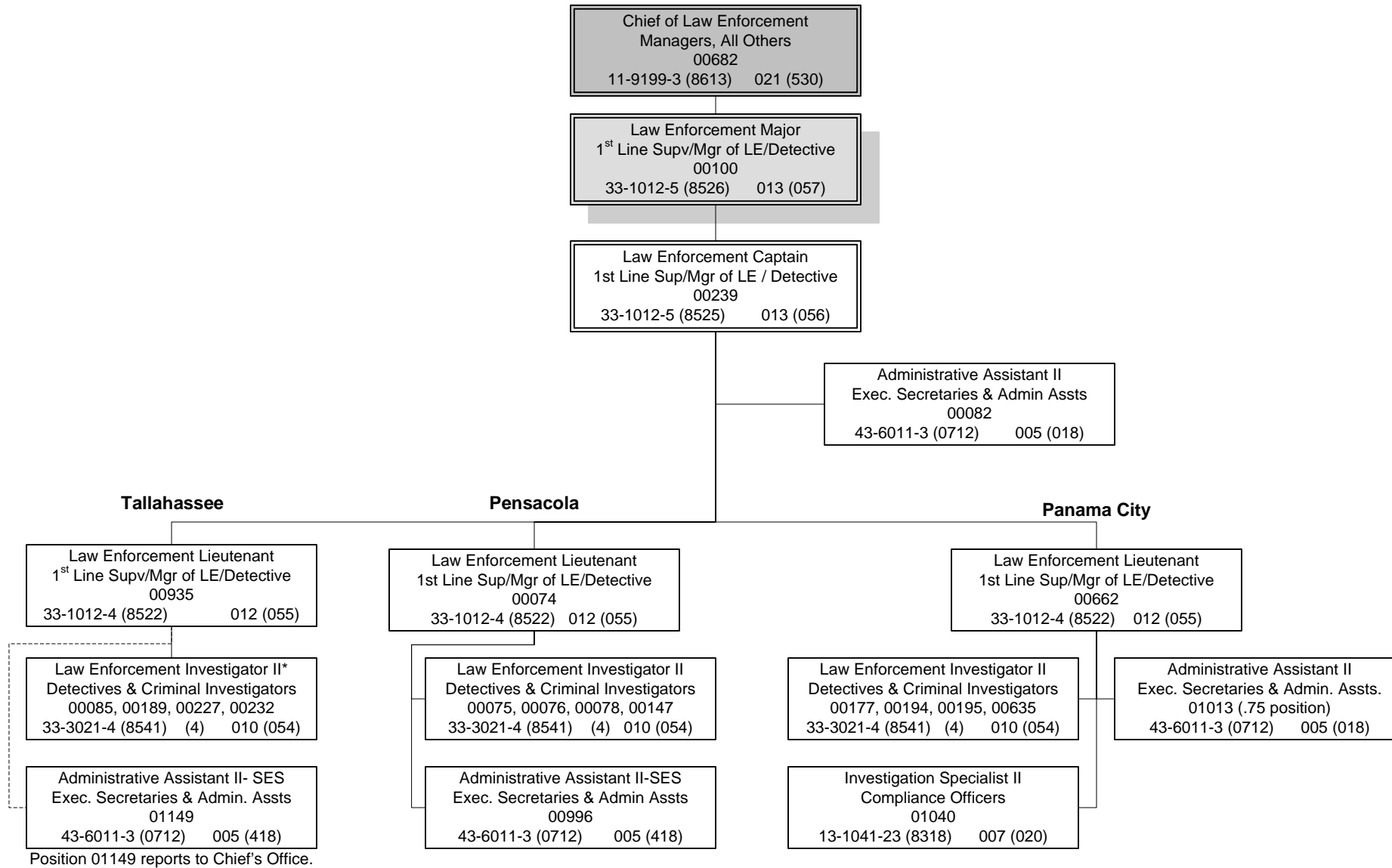
**Regional Offices**

- Northwest Region**  
Tallahassee, Panama City,  
Pensacola  
District Offices
- Northeast Region**  
Jacksonville, Gainesville  
District Offices
- West Central Region**  
Ft. Myers, Tampa  
District Offices
- East Central Region**  
Orlando-Lakeland,  
Daytona Beach, Ft. Pierce  
District Offices
- Southern Region**  
Miami, West Palm Beach,  
Margate, Key West  
District Offices

See Separate Charts

**CFA Accreditation Training / Law  
 Enforcement Requirements**

**Division of Alcoholic Beverages & Tobacco  
 Bureau of Enforcement - Northwest Region  
 Tallahassee, Pensacola & Panama City District Offices**

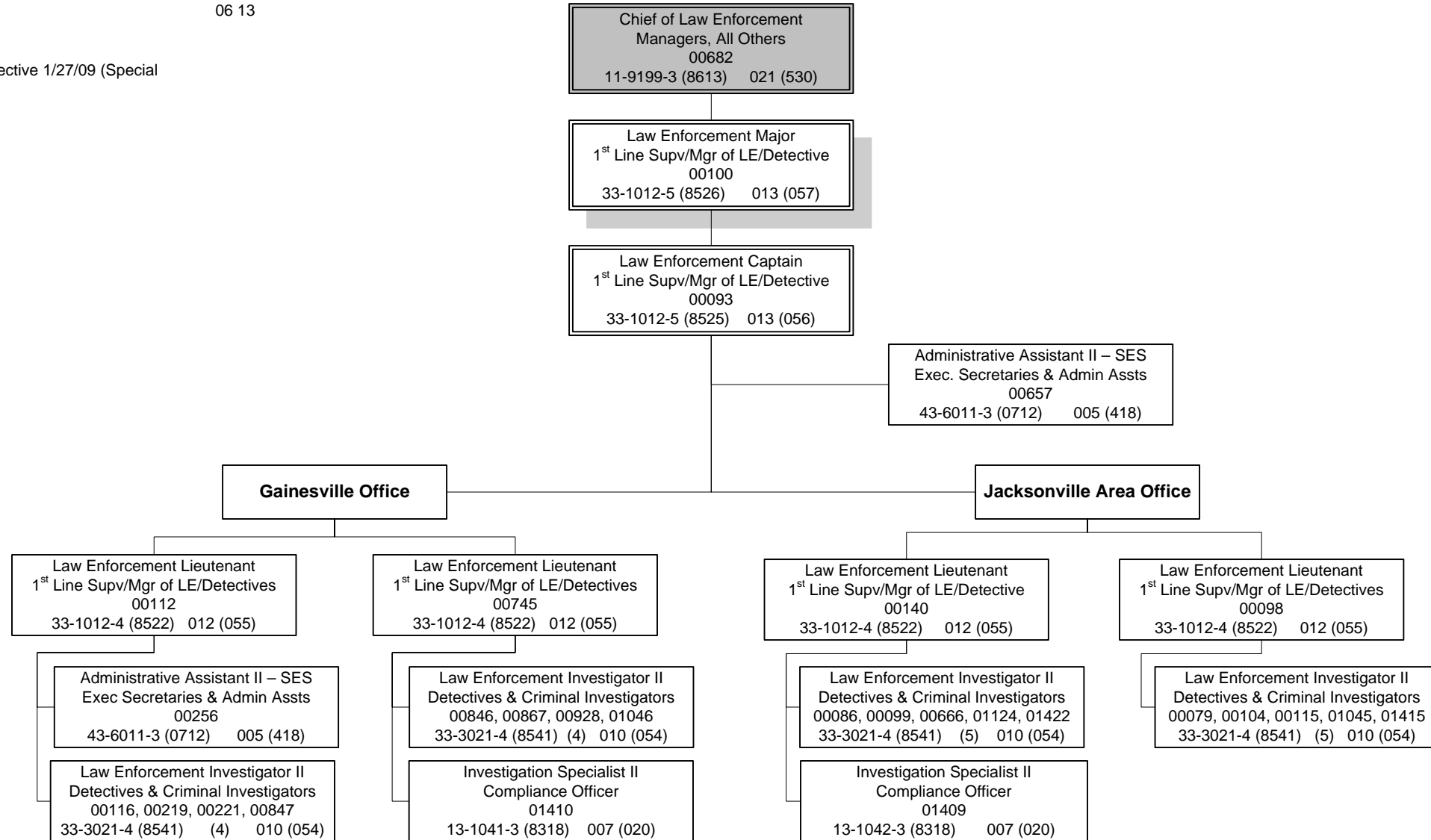


Department of Business & Professional Regulation 79  
 Division of Alcoholic Beverages & Tobacco 40  
 Bureau of Law Enforcement 06  
 Northeast Region:  
 Gainesville 06 01  
 Jacksonville 06 13

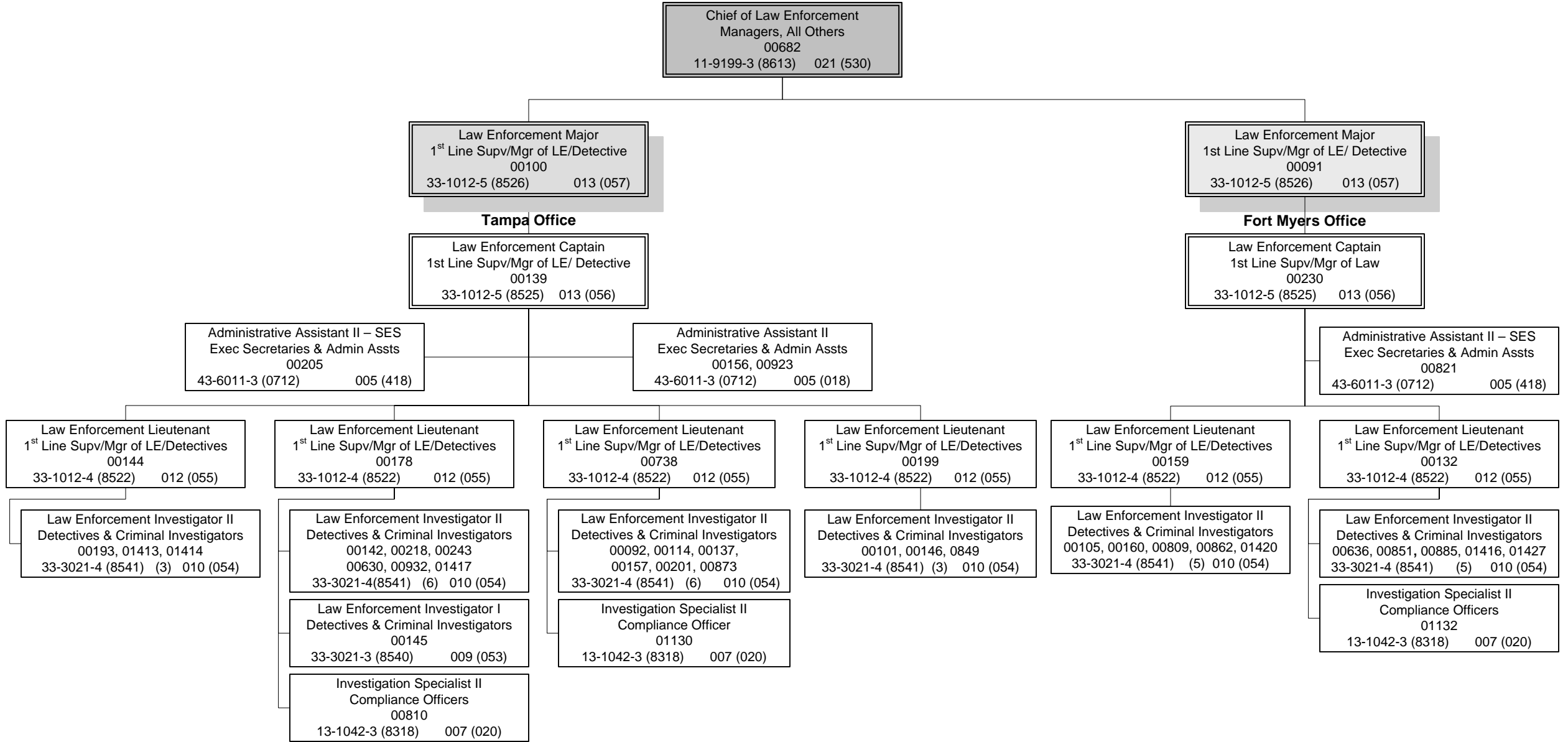
**Division of Alcoholic Beverages & Tobacco**  
**Bureau of Enforcement - Northeast Region**  
**Jacksonville & Gainesville District Offices**

Current: 06-30-09  
 Last Updated: 6-12-09

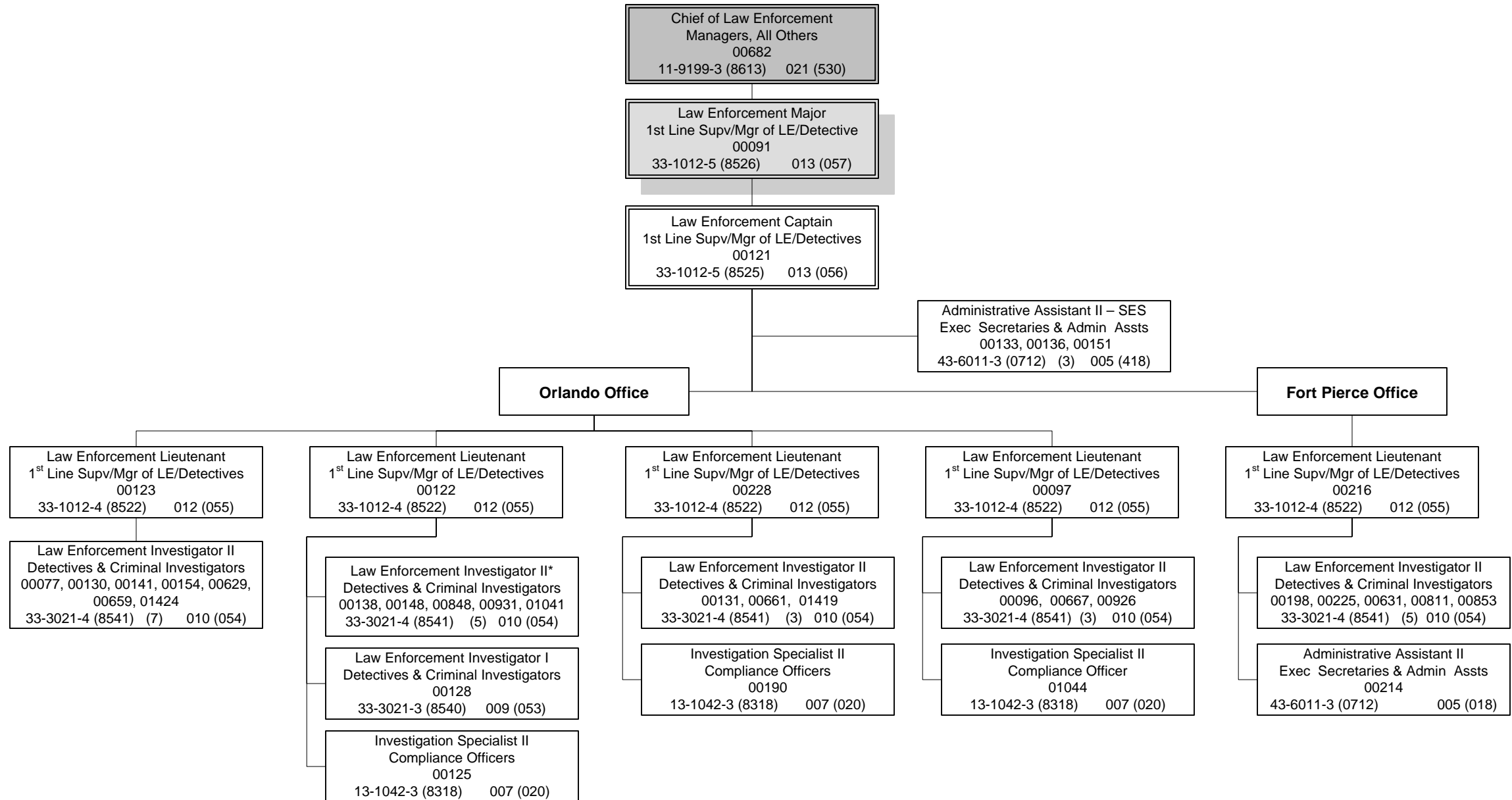
Position 01125 abolished effective 1/27/09 (Special  
 Legis. Session cuts.)



**Division of Alcoholic Beverages & Tobacco**  
**Bureau of Enforcement – West Central Region**  
**Tampa & Fort Myers District Offices**



**Division of Alcoholic Beverages & Tobacco**  
**Bureau of Enforcement – East Central Region**  
**Orlando & Fort Pierce District Offices**

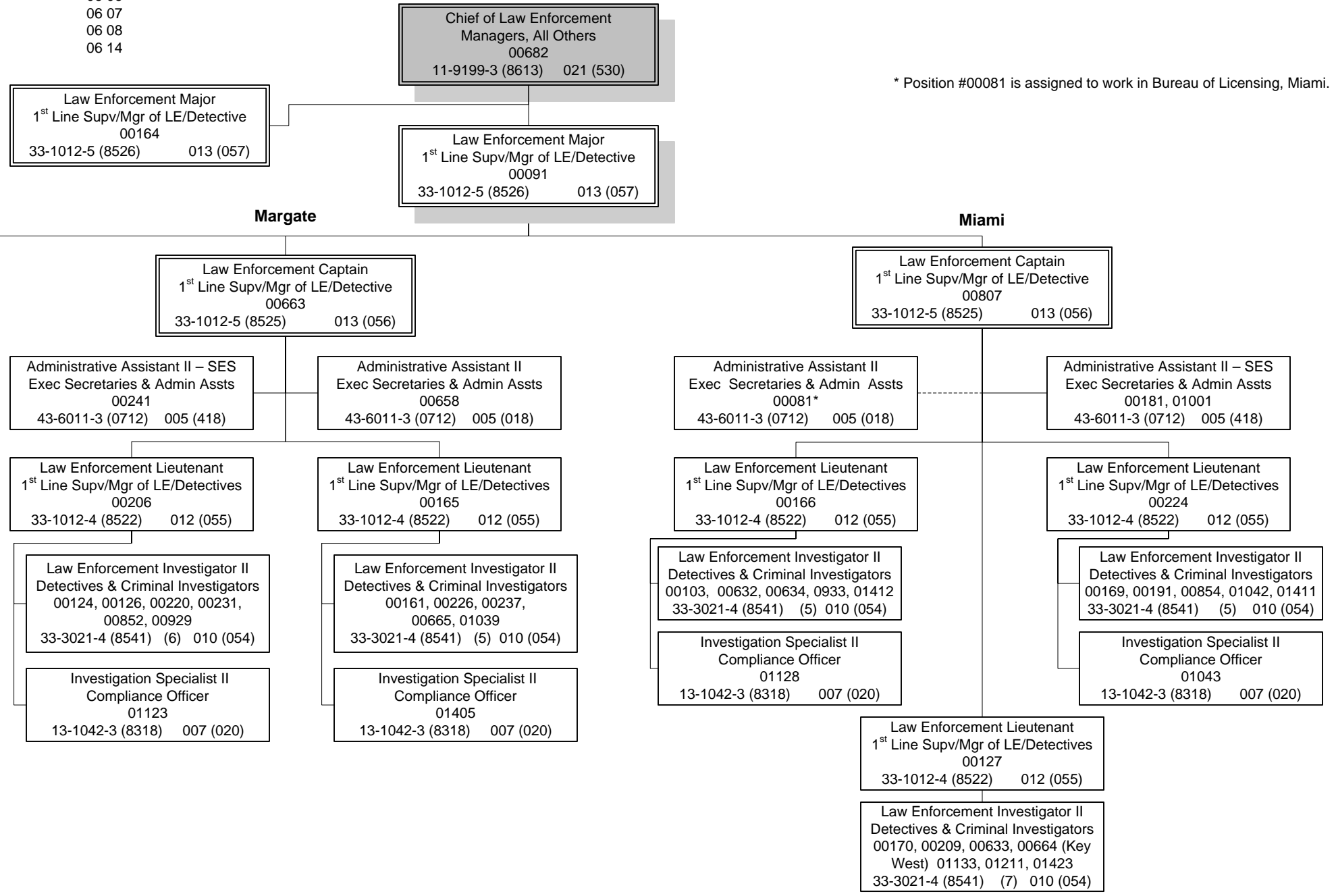


Department of Business & Professional Regulation 79  
 Division of Alcoholic Beverages & Tobacco 40  
 Bureau of Law Enforcement 06  
 Southern Region:  
 West Palm Beach 06 06  
 Margate 06 07  
 Miami 06 08  
 Key West 06 14

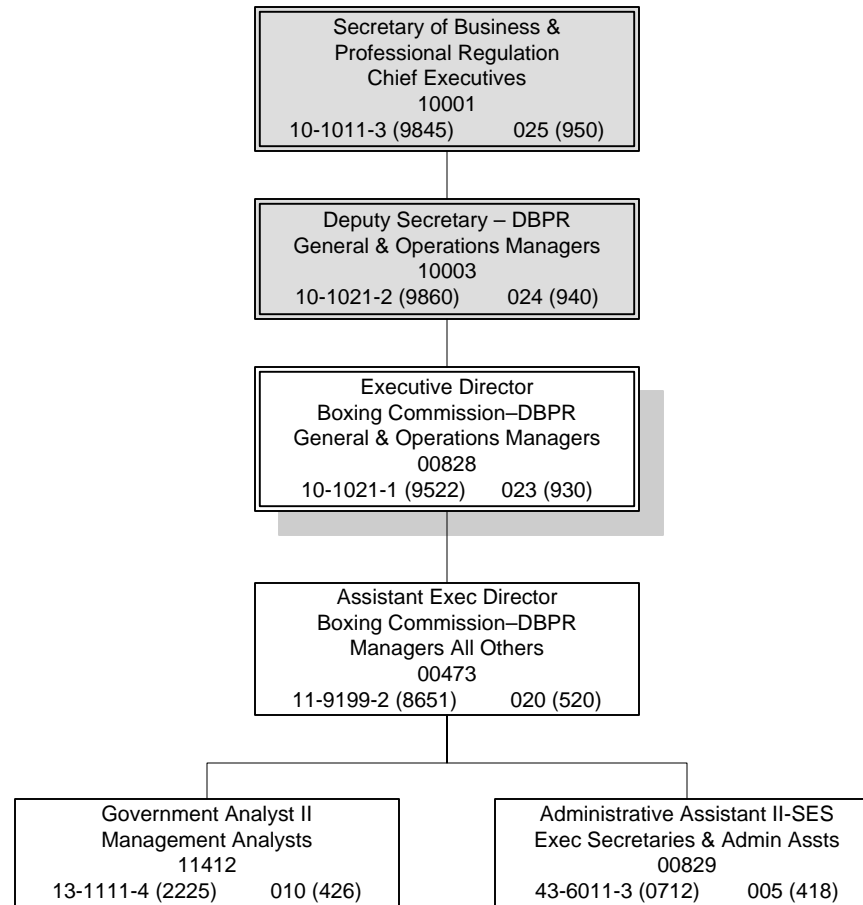
## Division of Alcoholic Beverages & Tobacco Bureau of Enforcement - Southern Region

Current: 06-30-09  
 Last Updated: 6-12-09

### Miami, Margate, & West Palm Beach District Offices

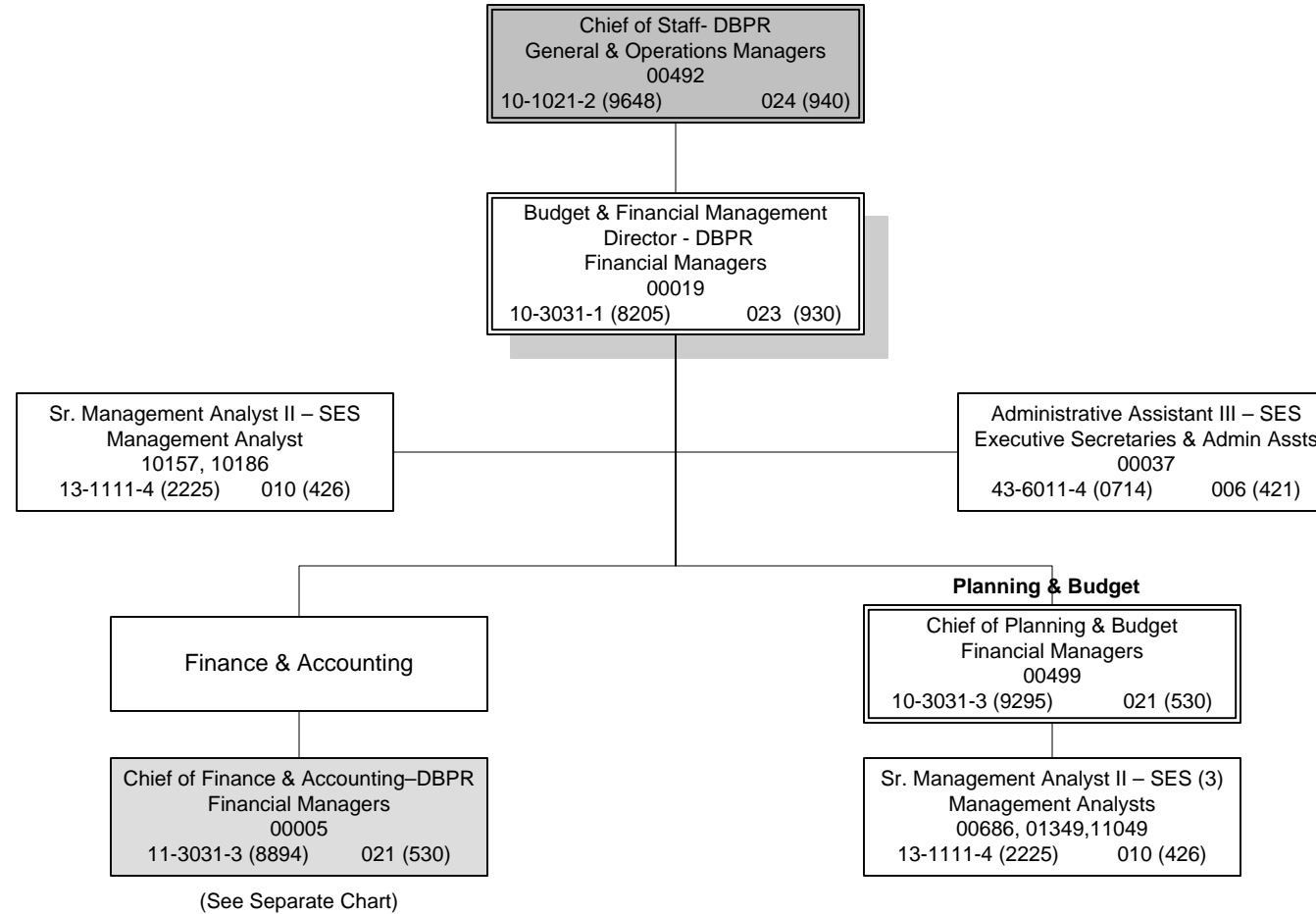


### Department of Business & Professional Regulation Florida Boxing Commission

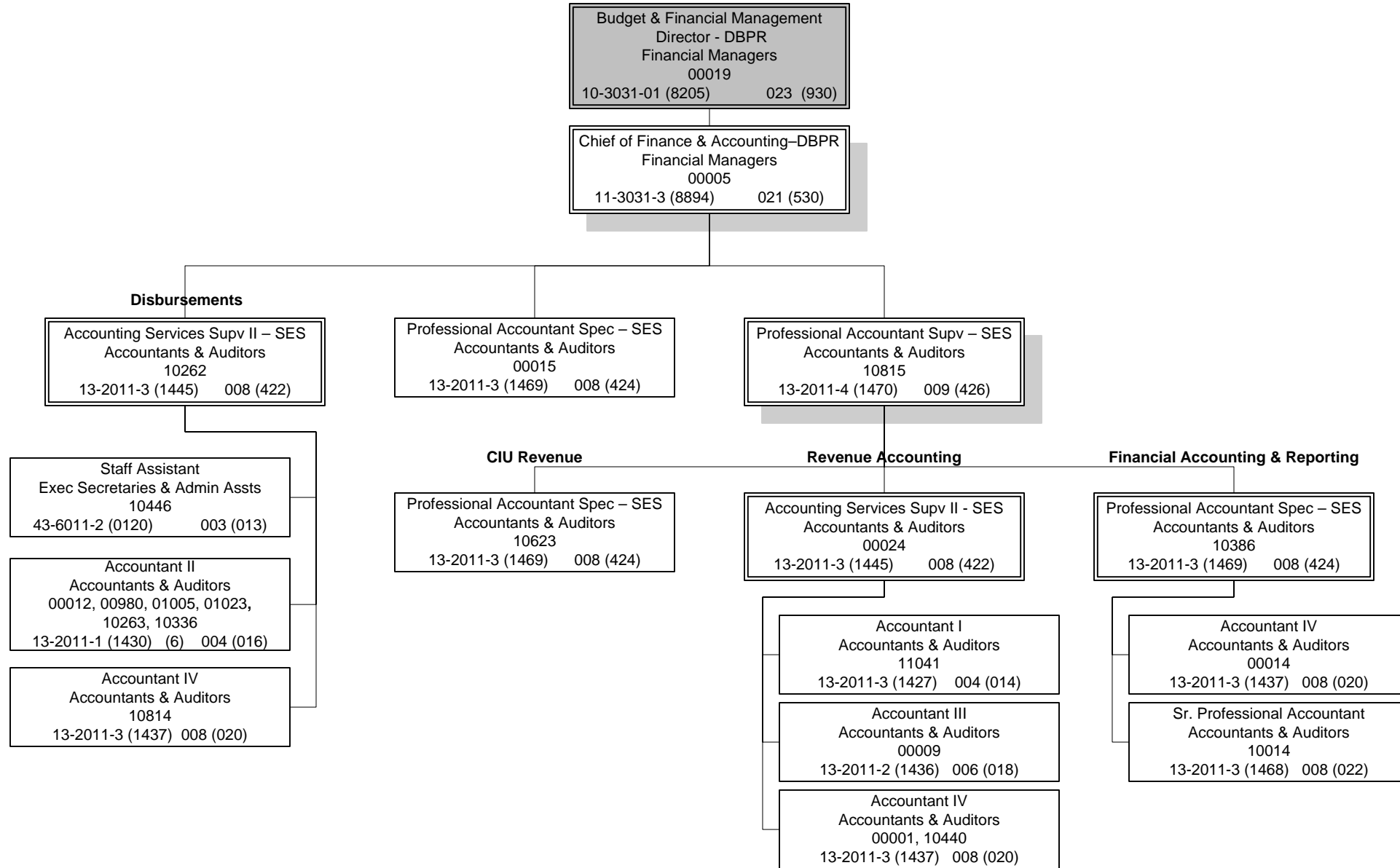




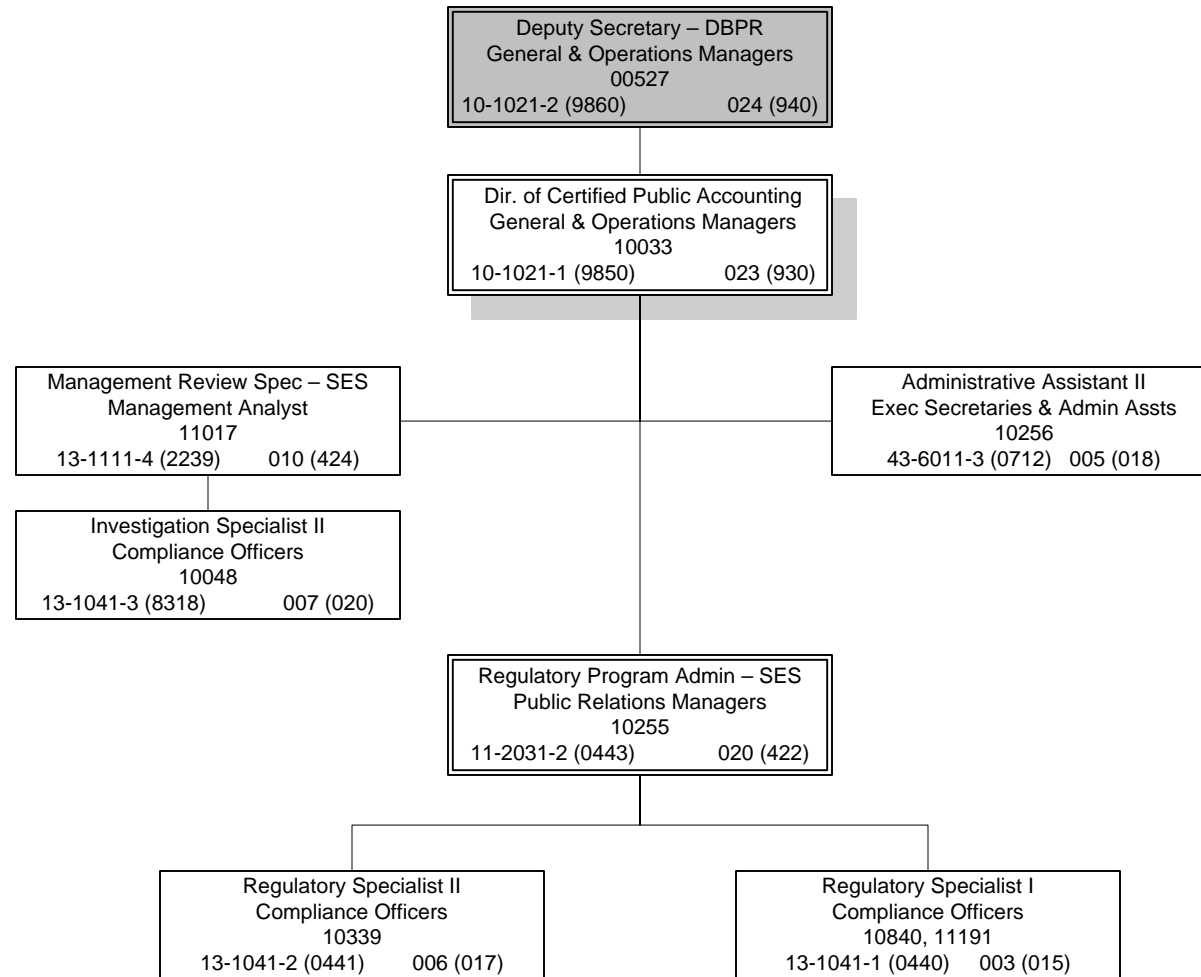
## Office of the Secretary Office of Budget & Financial Management



**Office of the Secretary  
 Budget & Financial Management  
 Office of Finance & Accounting**



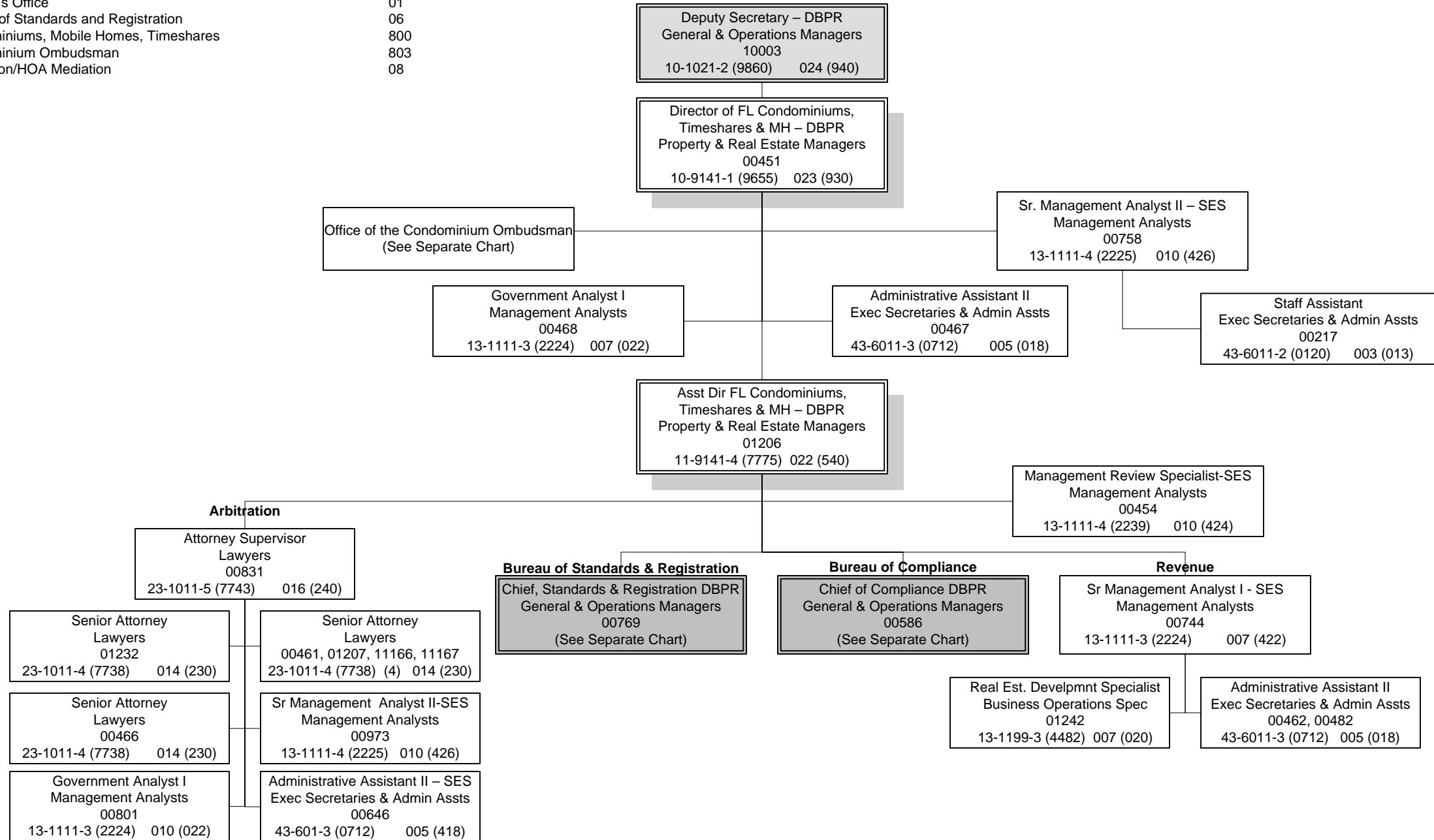
### Department of Business & Professional Regulations Division of Certified Public Accounting



# Division of Florida Condominiums, Timeshares & Mobile Homes Director's Office

Current: 6-30-09  
Last Updated: 4-30-09

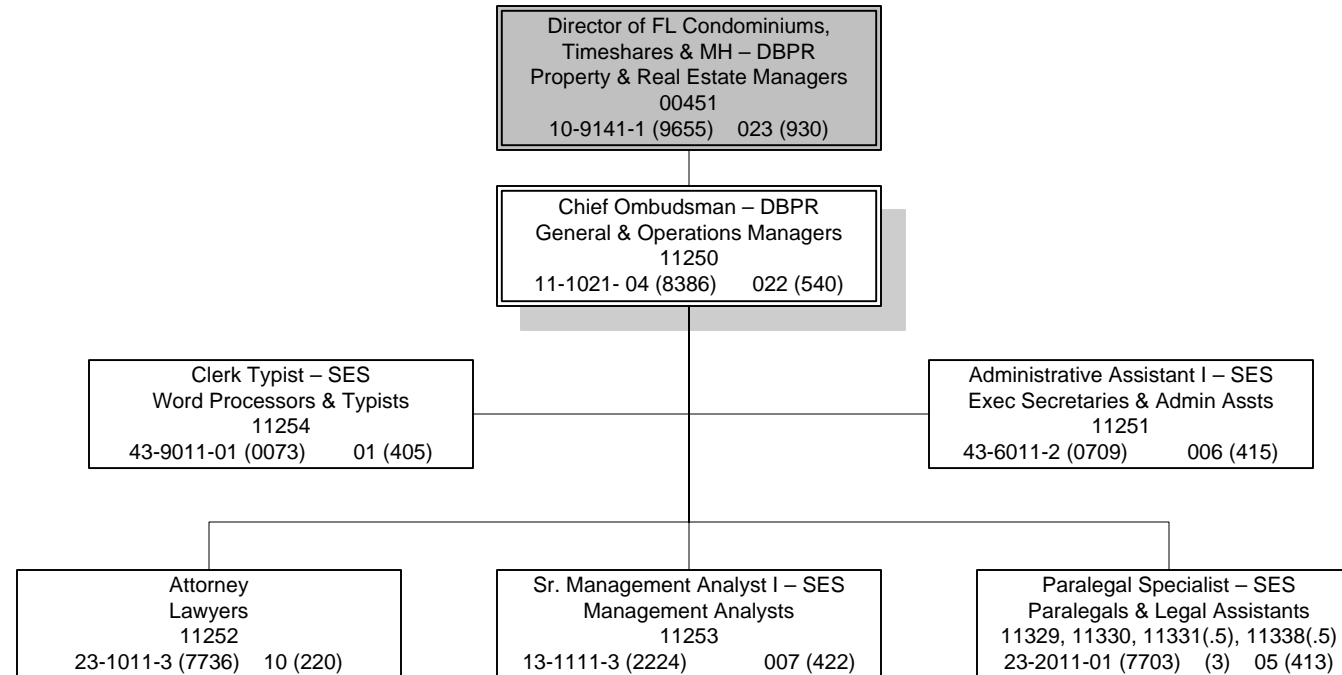
Department of Business & Professional Regulation	79
Division of Florida Condominiums, Timeshares & Mobile Homes	80
Director's Office	01
Bureau of Standards and Registration	06
Condominiums, Mobile Homes, Timeshares	800
Condominium Ombudsman	803
Arbitration/HOA Mediation	08



Department of Business & Professional Regulation 79  
 Division of Florida Condominiums, Timeshares & Mobile Homes 80  
 Director's Office 01  
 Bureau of Standards and Registration 06  
 Condominiums, Mobile Homes, Timeshares 800  
 Condominium Ombudsman 803  
 Arbitration/HOA Mediation 08

Current: 6-30-09  
 Last Updated: 4-30-09

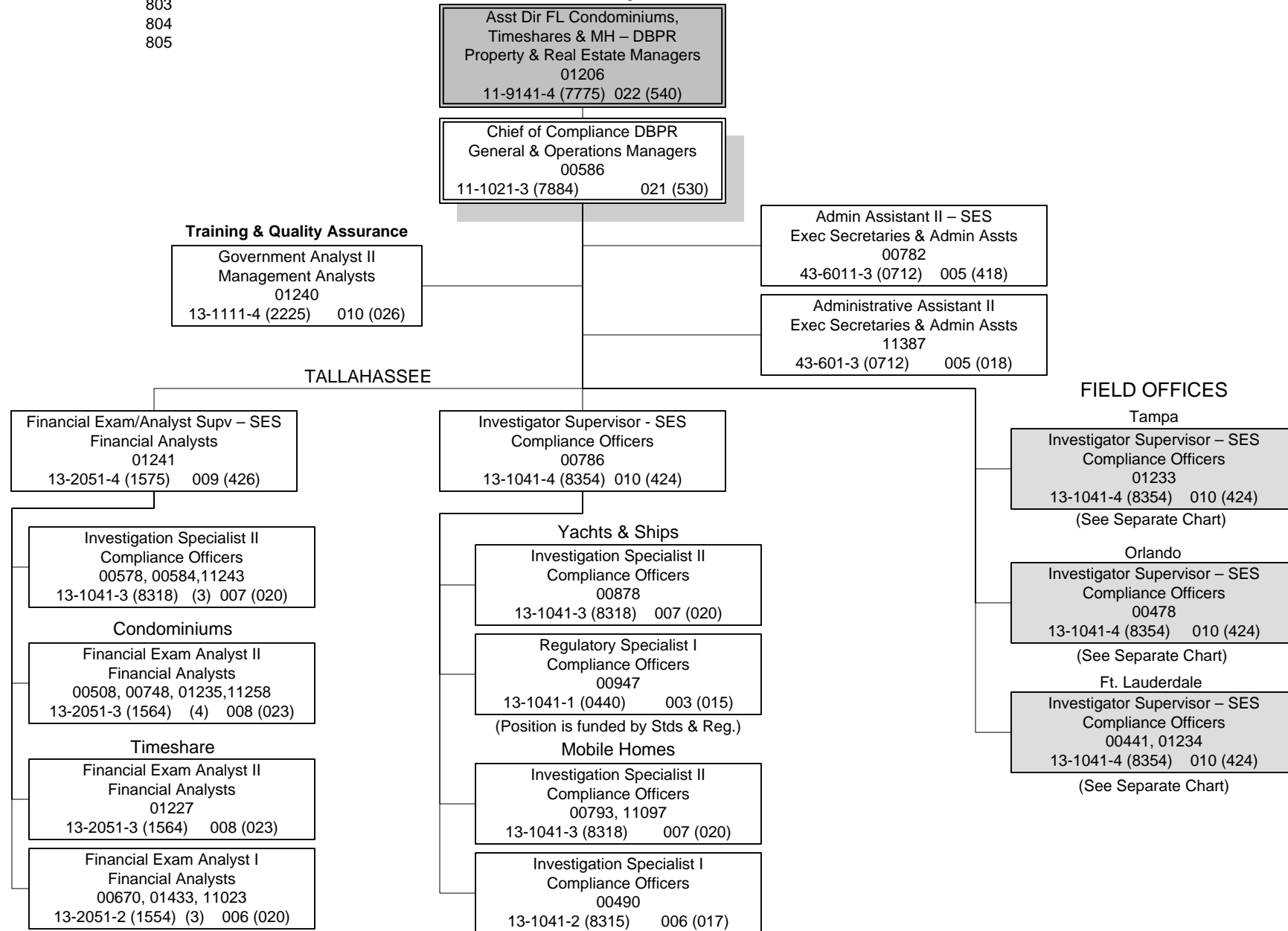
**Division of Florida Condominiums, Timeshares  
 & Mobile Homes**  
**Office of the Condominium Ombudsman**



**Division of Florida Condominiums, Timeshares  
& Mobile Homes  
Bureau of Compliance**

Current: 6-30-09  
Last Updated: 4-30-09

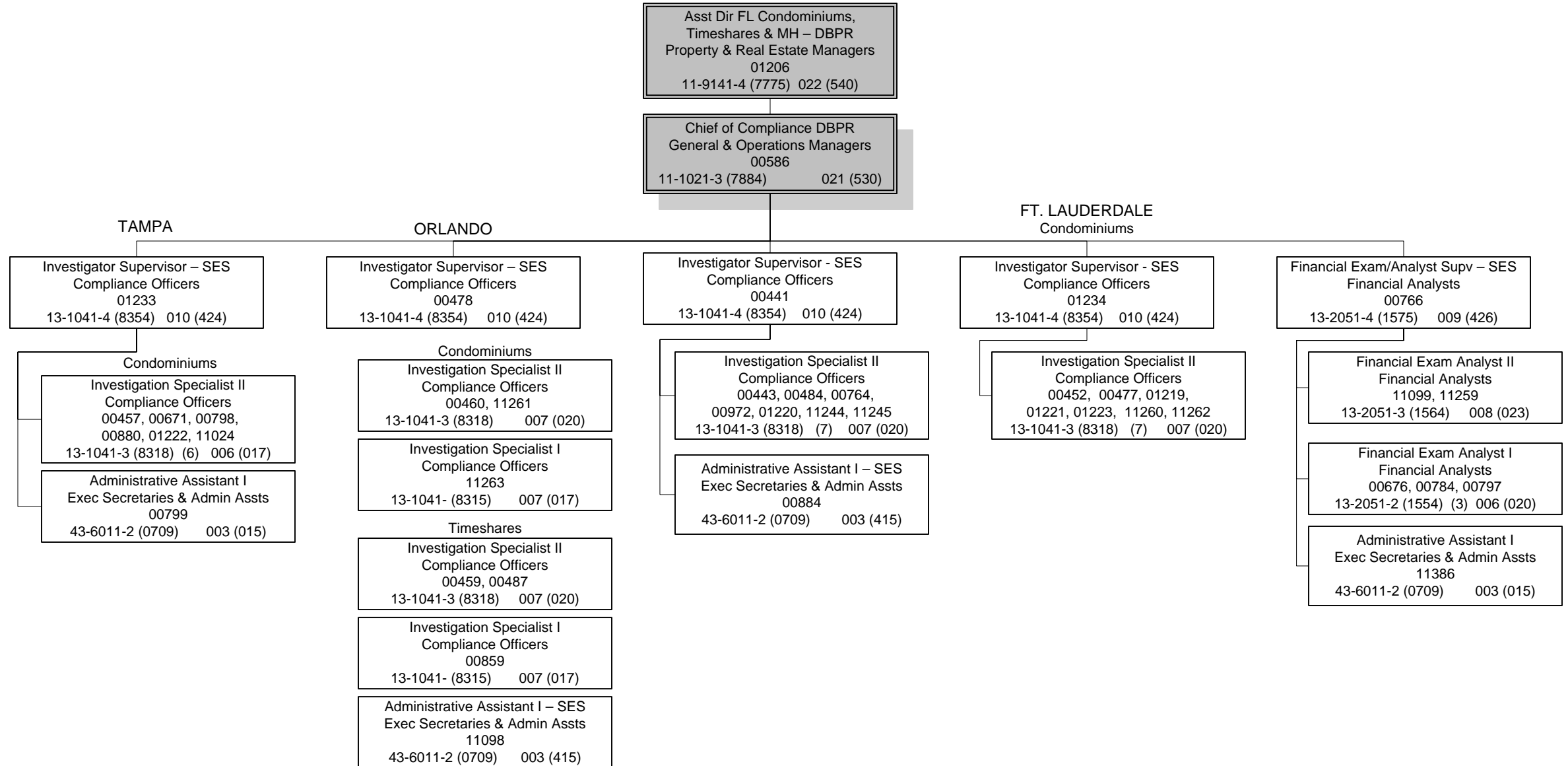
Department of Business & Professional Regulation 79  
 Division of Florida Condominiums, Timeshares & Mobile Homes 80  
 Compliance 08  
 Condominiums 803  
 Mobile Homes 804  
 Timeshare 805



Department of Business & Professional Regulation 79  
 Division of Florida Condominiums, Timeshares & Mobile Homes 80  
 Compliance 08  
 Condominiums 803  
 Mobile Homes 804  
 Timeshare 805

**Division of Florida Condominiums, Timeshares  
 & Mobile Homes**  
**Bureau of Compliance Field Offices**  
**Tampa, Orlando, Ft. Lauderdale**

Current: 6-30-09  
 Last Updated: 4-30-09

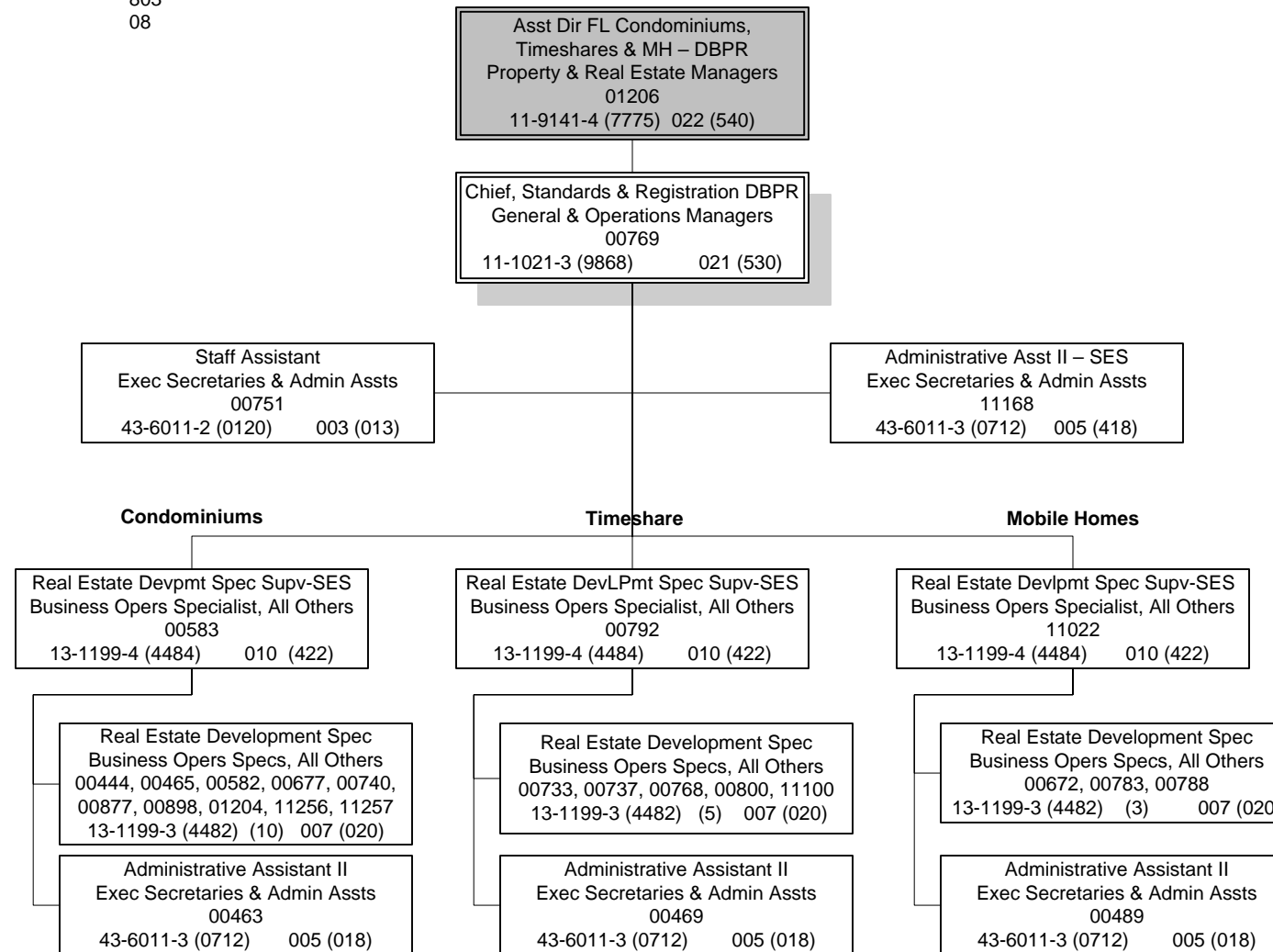


Department of Business & Professional Regulation  
 Division of Florida Condominiums, Timeshares & Mobile Homes  
 Director's Office  
 Bureau of Standards and Registration  
 Condominiums, Mobile Homes, Timeshares  
 Condominium Ombudsman  
 Arbitration/HOA Mediation

79  
 80  
 01  
 06  
 800  
 803  
 08

## Division of Florida Condominiums, Timeshares & Mobile Homes Bureau of Standards & Registration

Current: 6-30-09  
 Last Updated: 4-30-09

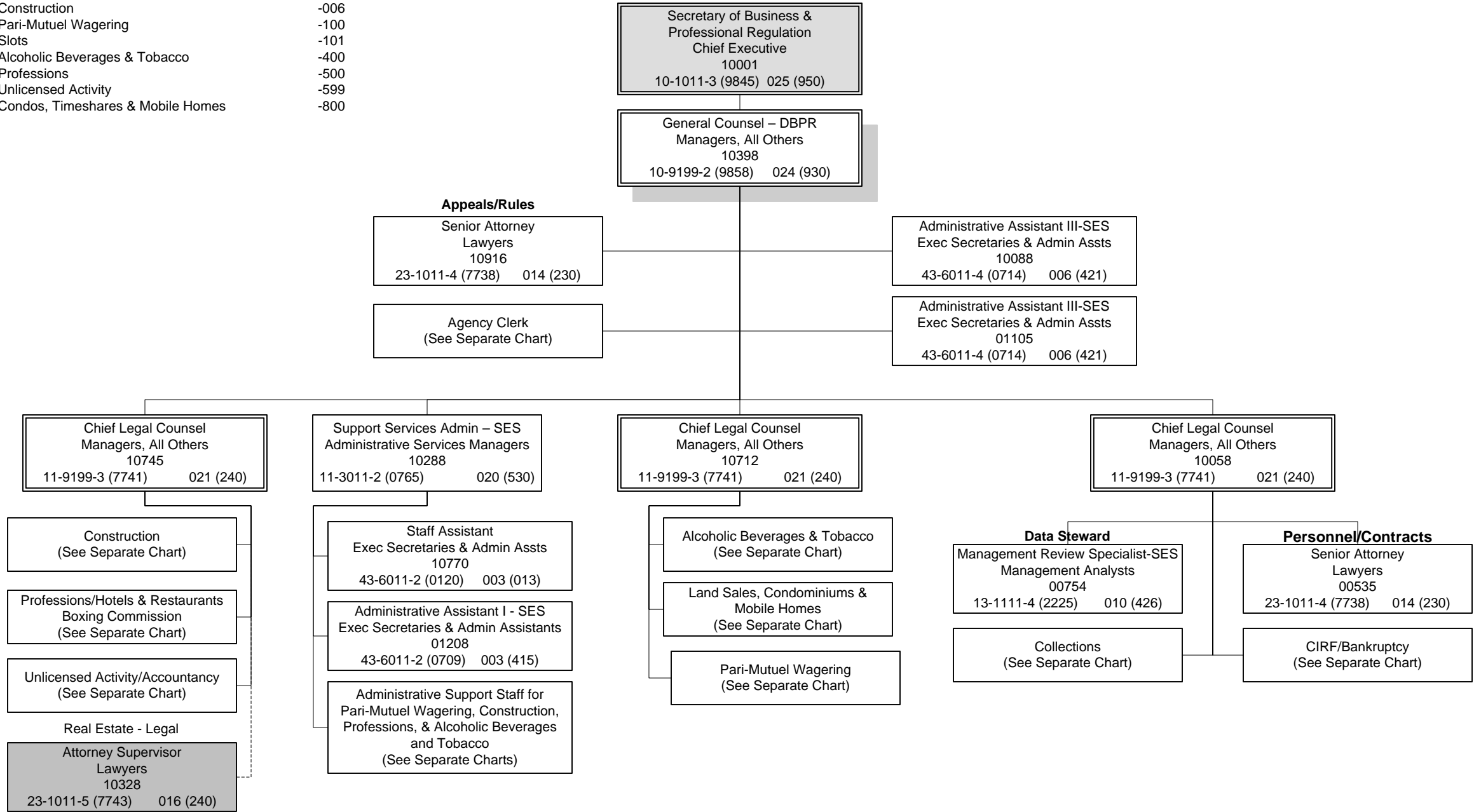




Department of Business & Professional Regulation 79  
 Office of the Secretary 01  
 Office of the General Counsel 0105  
 OGC – Construction -006  
 OGC – Pari-Mutuel Wagering -100  
 OGC – Slots -101  
 OGC – Alcoholic Beverages & Tobacco -400  
 OGC – Professions -500  
 OGC – Unlicensed Activity -599  
 OGC – Condos, Timeshares & Mobile Homes -800

## Department of Business & Professional Regulation Office of the General Counsel

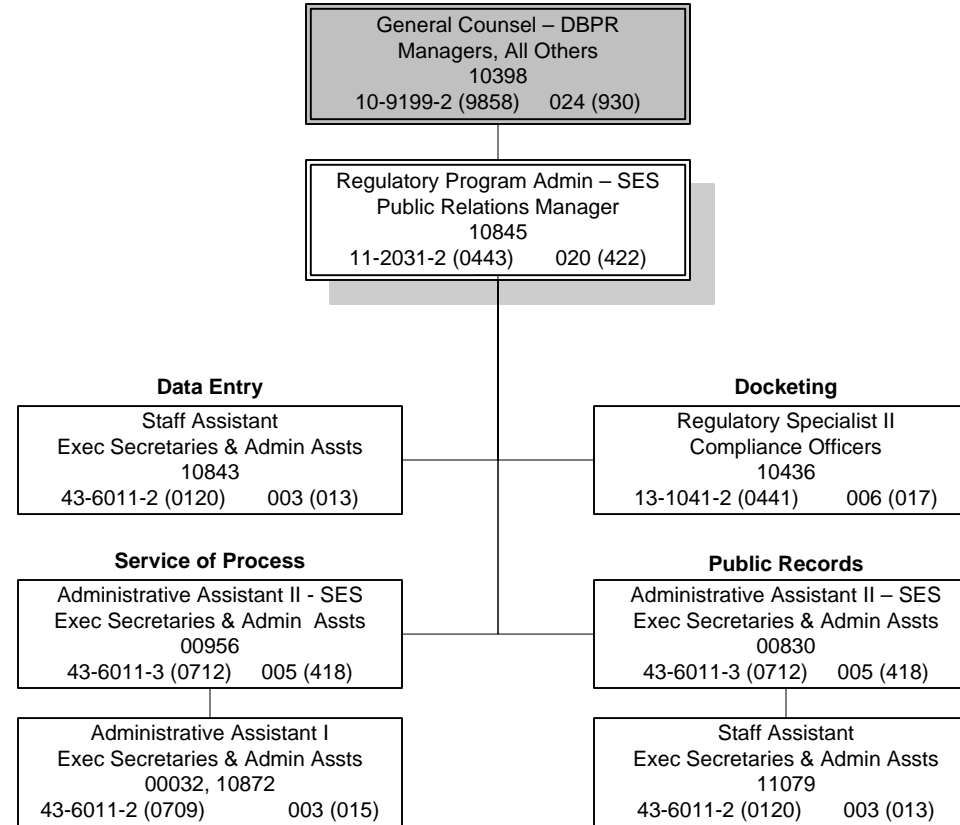
Current: 6-30-09  
Last updated: 6-04-09



Department of Business & Professional Regulation 79  
 Office of the Secretary 01  
 Office of the General Counsel 0105  
 OGC – Construction -006  
 OGC – Pari-Mutuel Wagering -100  
 OGC – Slots -101  
 OGC – Alcoholic Beverages & Tobacco -400  
 OGC – Professions -500  
 OGC – Unlicensed Activity -599  
 OGC – Condos, Timeshares & Mobile Homes -800

## Office of the General Counsel Agency Clerk

Current: 6-30-09  
 Last updated: 6-04-09



Department of Business & Professional Regulation	79
Office of the Secretary	01
Office of the General Counsel	0105
OGC – Construction	-006
OGC – Pari-Mutuel Wagering	-100
OGC – Slots	-101
OGC – Alcoholic Beverages & Tobacco	-400
OGC – Professions	-500
OGC – Unlicensed Activity	-599
OGC – Condos, Timeshares & Mobile Homes	-800

**Office of the General Counsel  
CIRF/Bankruptcy and Collections**

Current: 6-30-09  
Last updated: 6-04-09

General Counsel – DBPR Managers, All Others 10398 10-9199-2 (9858) 024 (930)
---

Chief Legal Counsel Managers, All Others 10058 11-9199-3 (7741) 021 (240)
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These positions support the Homeowners' Construction Recovery Fund and are assigned to the office of the Construction Industry Licensing Board.

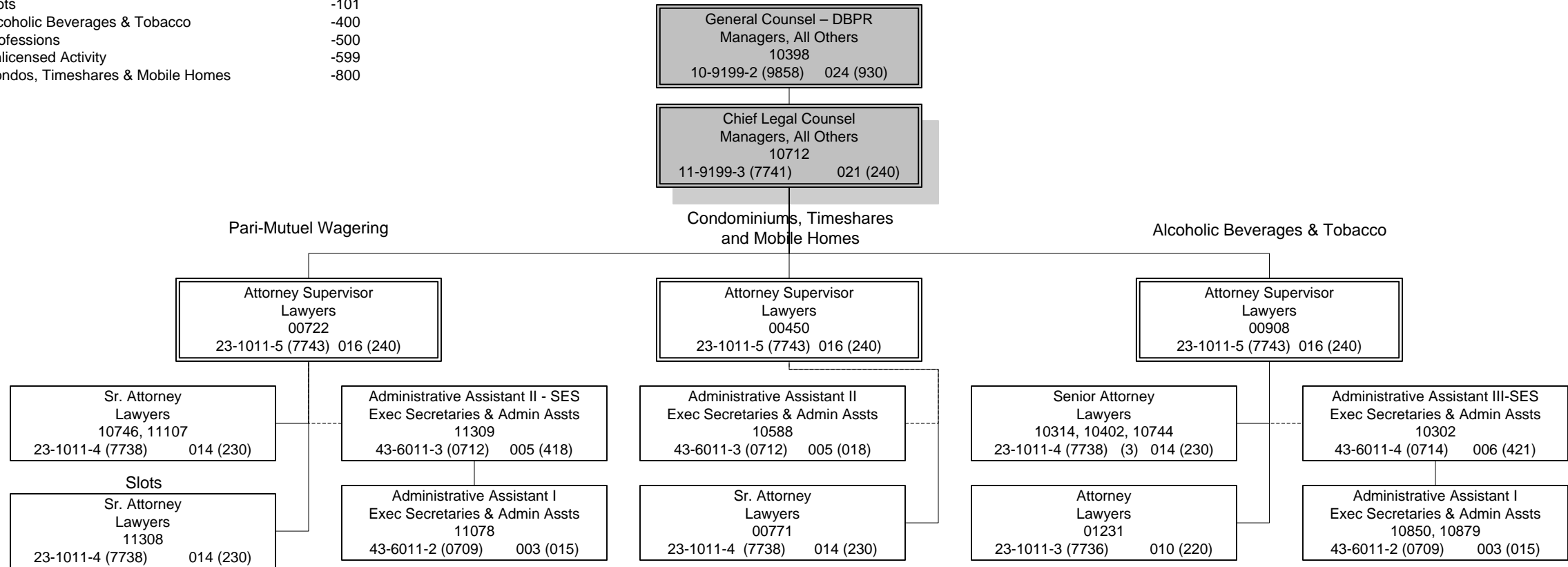
Senior Attorney Lawyers 10689 23-1011-4 (7738) 014 (230)
---

Regulatory Consultant Compliance Officers 00732 13-1041-3 (0442) 007 (020)
Administrative Assistant III-SES Exec Secretaries & Admin Assts 10224 43-6011-4 (0714) 006 (421)
Administrative Assistant I Exec Secretaries & Admin Assts 10430 43-6011-2 (0709) 003 (015)

Department of Business & Professional Regulation 79  
 Office of the Secretary 01  
 Office of the General Counsel 0105  
 OGC – Construction -006  
 OGC – Pari-Mutuel Wagering -100  
 OGC – Slots -101  
 OGC – Alcoholic Beverages & Tobacco -400  
 OGC – Professions -500  
 OGC – Unlicensed Activity -599  
 OGC – Condos, Timeshares & Mobile Homes -800

**Office of the General Counsel**  
**Pari-Mutuel Wagering/Condominiums,**  
**Timeshares, and Mobile Homes/**  
**Alcoholic Beverages & Tobacco**

Current: 6-30-09  
 Last updated: 6-04-09

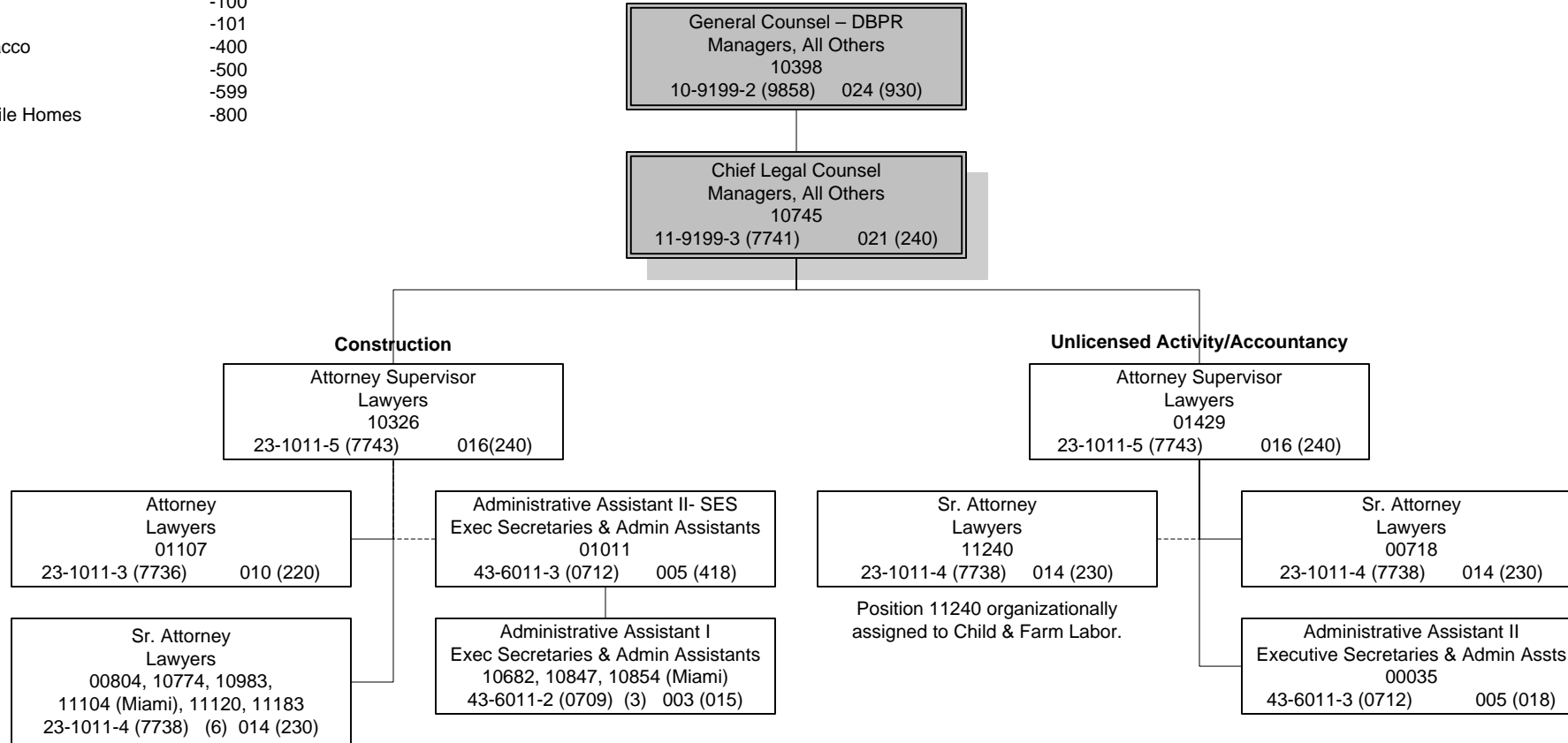


Note: The Administrative Assistant positions #10302, #11309,  
 and #10588 are jointly supervised by the Attorney Supervisors  
 and the Support Services Administrator-DBPR.

Department of Business & Professional Regulation	79
Office of the Secretary	01
Office of the General Counsel	0105
OGC – Construction	-006
OGC – Pari-Mutuel Wagering	-100
OGC – Slots	-101
OGC – Alcoholic Beverages & Tobacco	-400
OGC – Professions	-500
OGC – Unlicensed Activity	-599
OGC – Condos, Timeshares & Mobile Homes	-800

**Office of the General Counsel  
Unlicensed Activity / Accountancy  
Construction**

Current: 6-30-09  
Last updated: 6-04-09

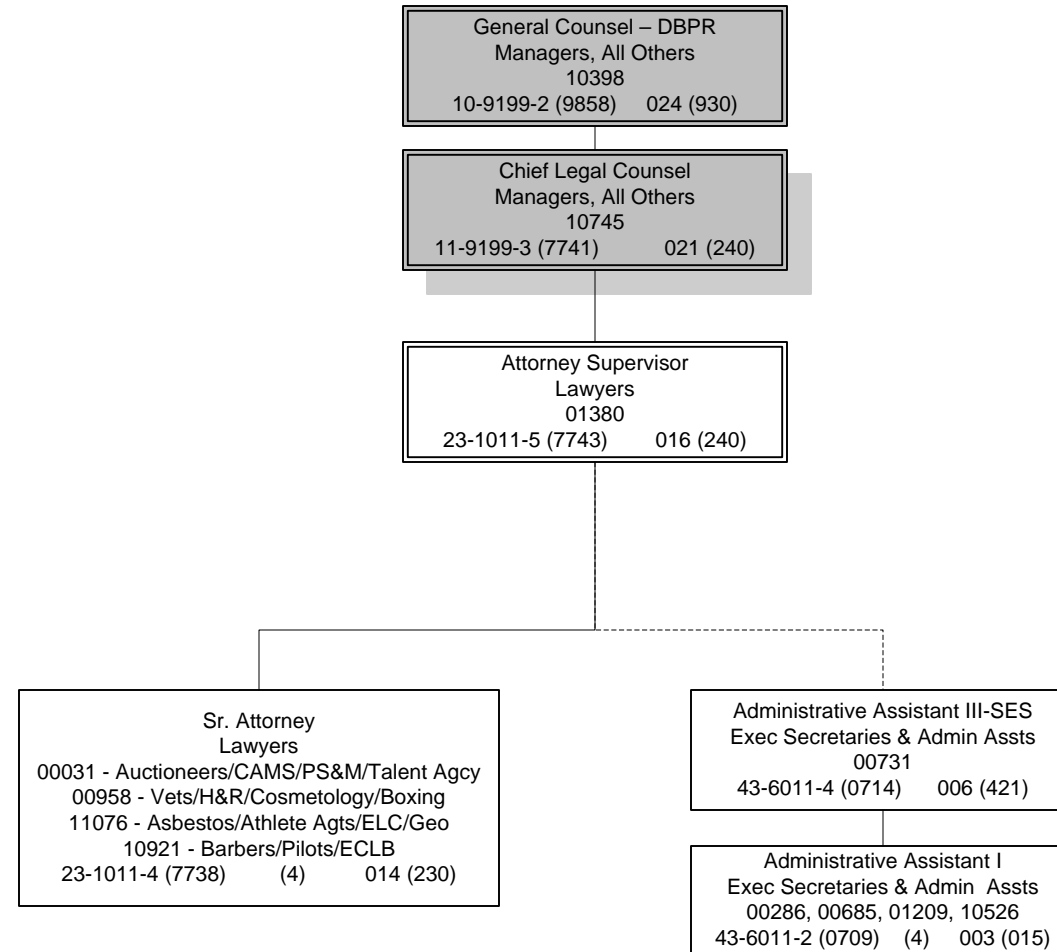


Note: The Administrative Assistant II-SES, position #01011, is jointly supervised by the Attorney Supervisor and the Support Services Administrator-DBPR.

Department of Business & Professional Regulation 79  
 Office of the Secretary 01  
 Office of the General Counsel 0105  
 OGC – Construction -006  
 OGC – Pari-Mutuel Wagering -100  
 OGC – Slots -101  
 OGC – Alcoholic Beverages & Tobacco -400  
 OGC – Professions -500  
 OGC – Unlicensed Activity -599  
 OGC – Condos, Timeshares & Mobile Homes -800

Current: 6-30-09  
 Last updated: 6-04-09

### Office of the General Counsel Professions / H&R / Boxing

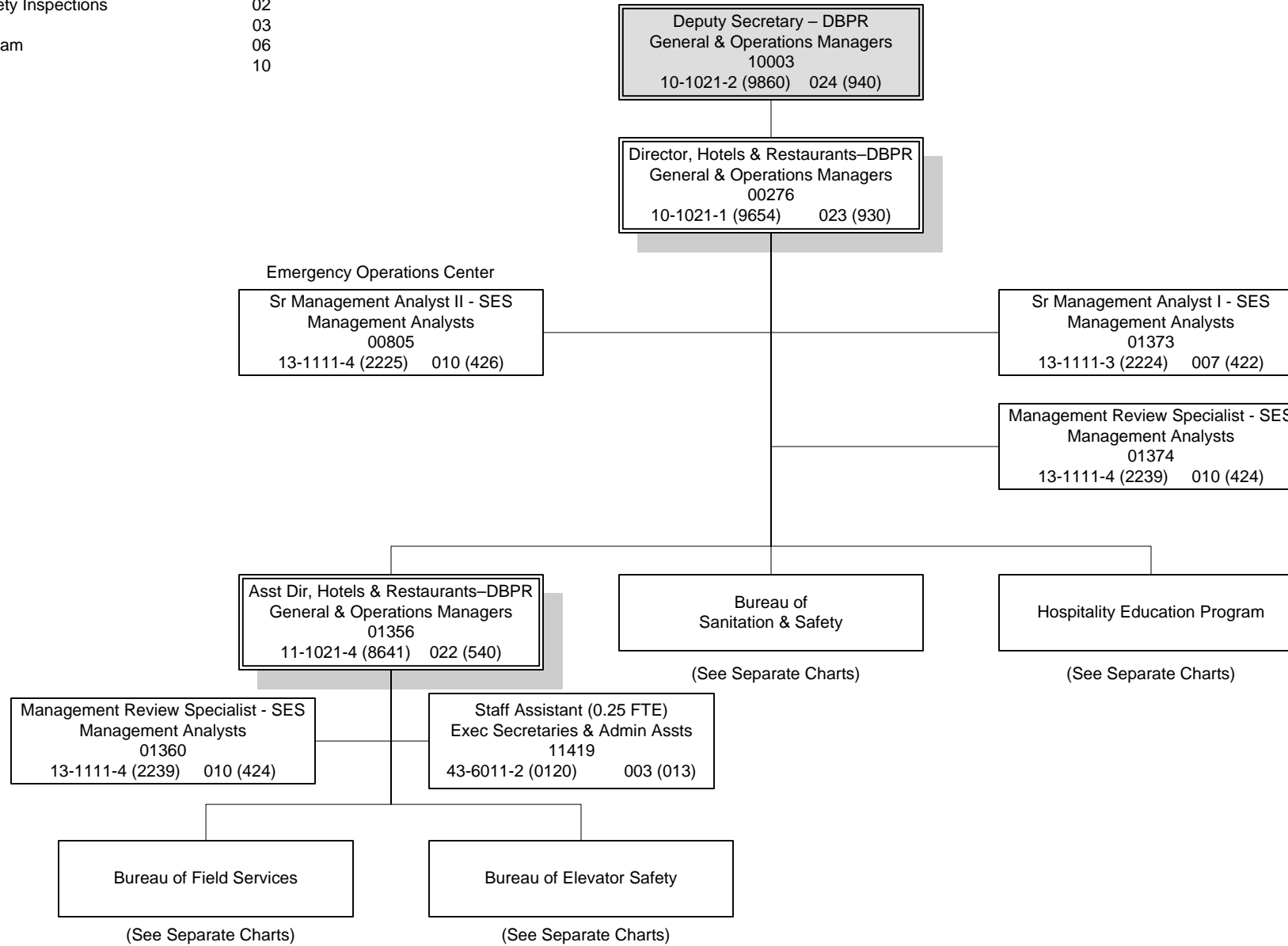


Note: The Administrative Assistant III-SES, position #00731, is jointly supervised by the Attorney Supervisor and the Support Services Administrator-DBPR.

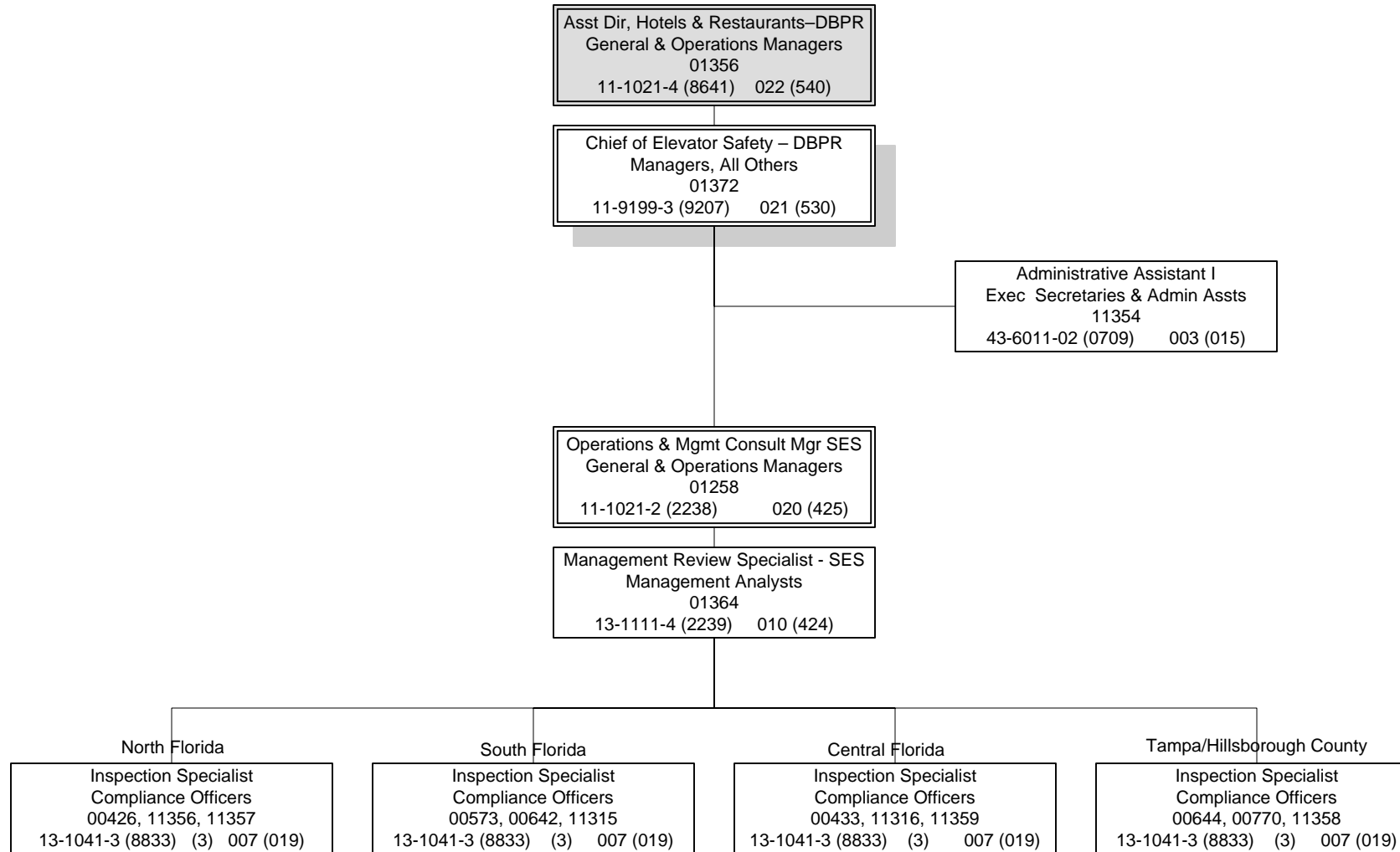
Department of Business & Professional Regulations 79  
 Division of Hotels & Restaurants 20  
 Director's Office 01  
 Program Policy 02/09  
 Bureau of Sanitation & Safety Inspections 02  
 Bureau of Elevator Safety 03  
 Hospitality Education Program 06  
 Bureau of Field Services 10

## Division of Hotels & Restaurants Director's Office

Current: 06-30-09  
 Last Updated: 06-26-09



**Division of Hotels & Restaurants**  
**Bureau of Elevator Safety**

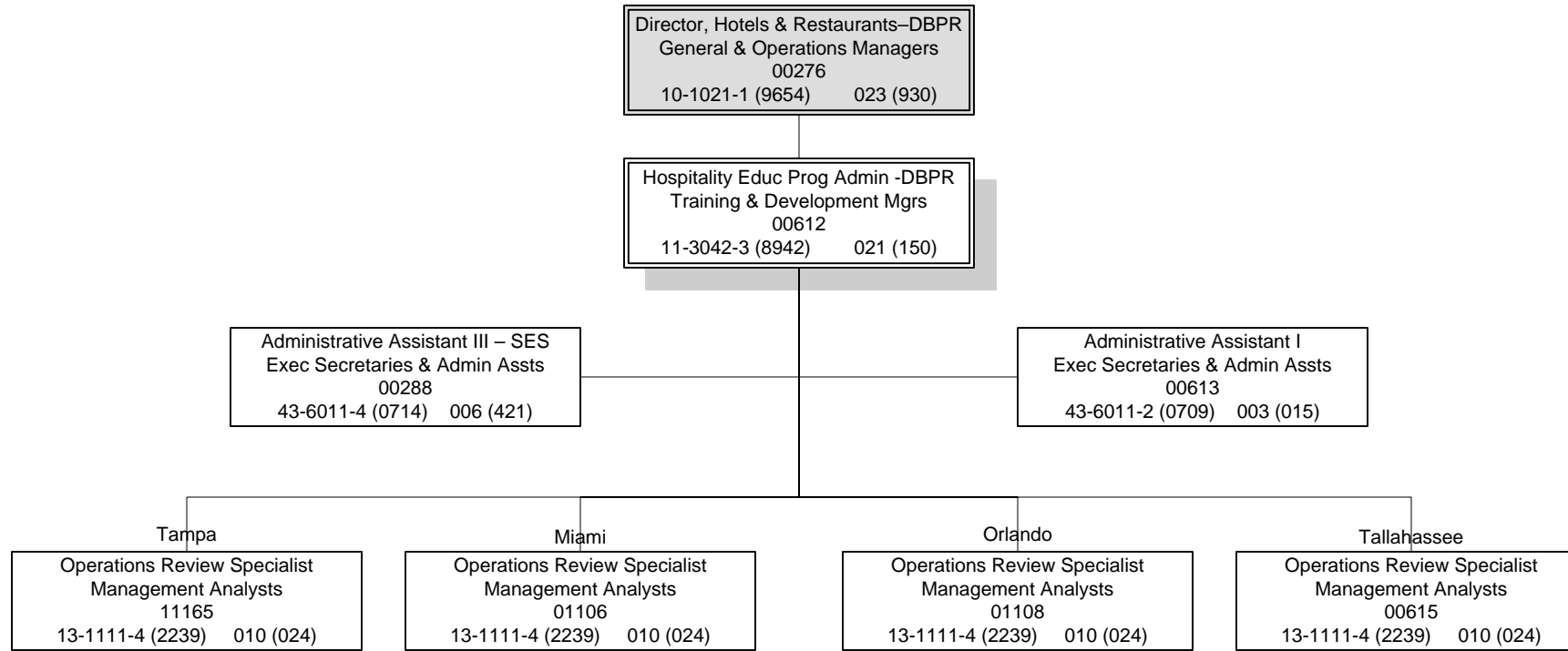




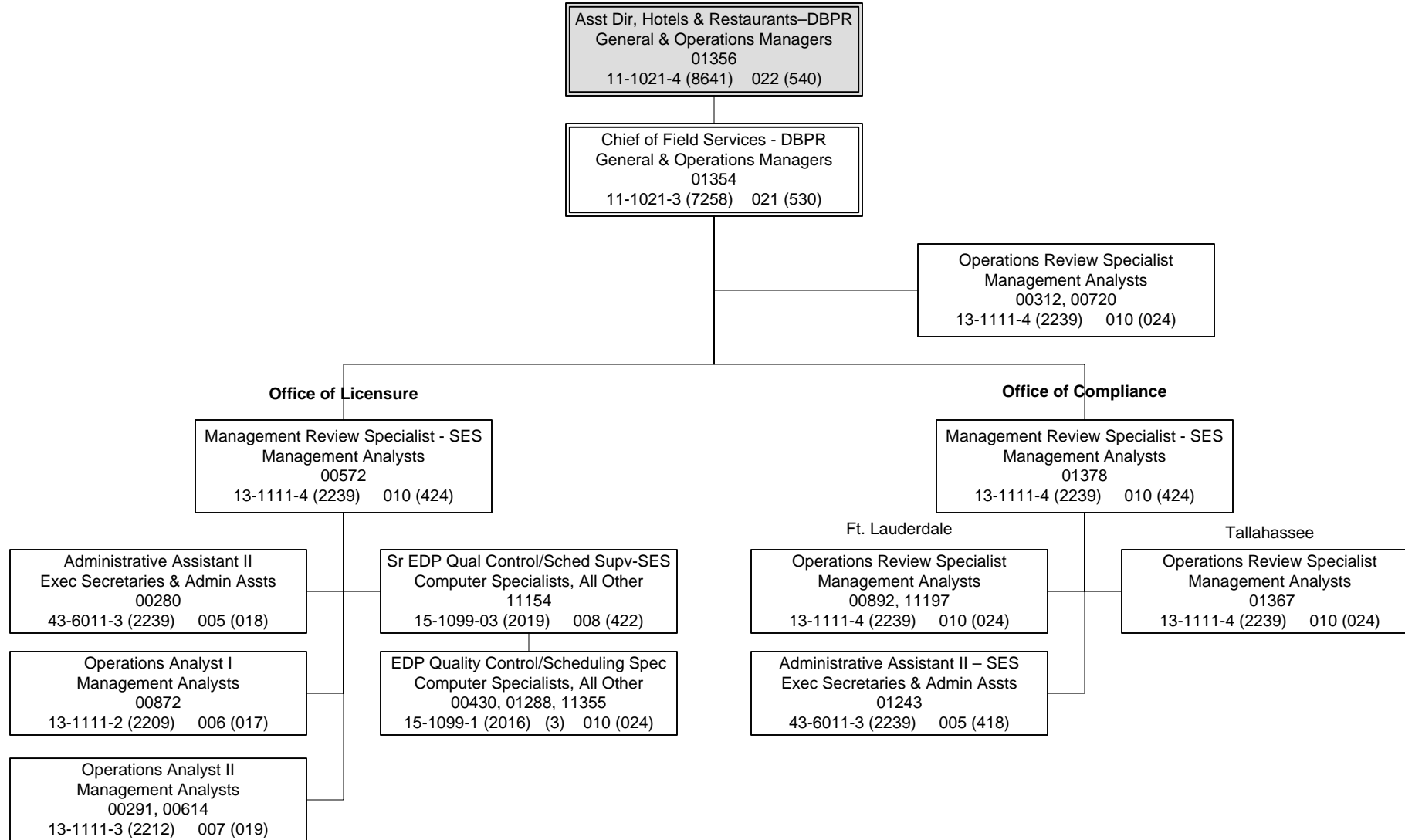
Department of Business & Professional Regulations 79  
 Division of Hotels & Restaurants 20  
 Director's Office 01  
 Hospitality Education Program 06

## Division of Hotels & Restaurants Hospitality Education Program

Current: 6-30-09  
 Last Updated: 12-29-08



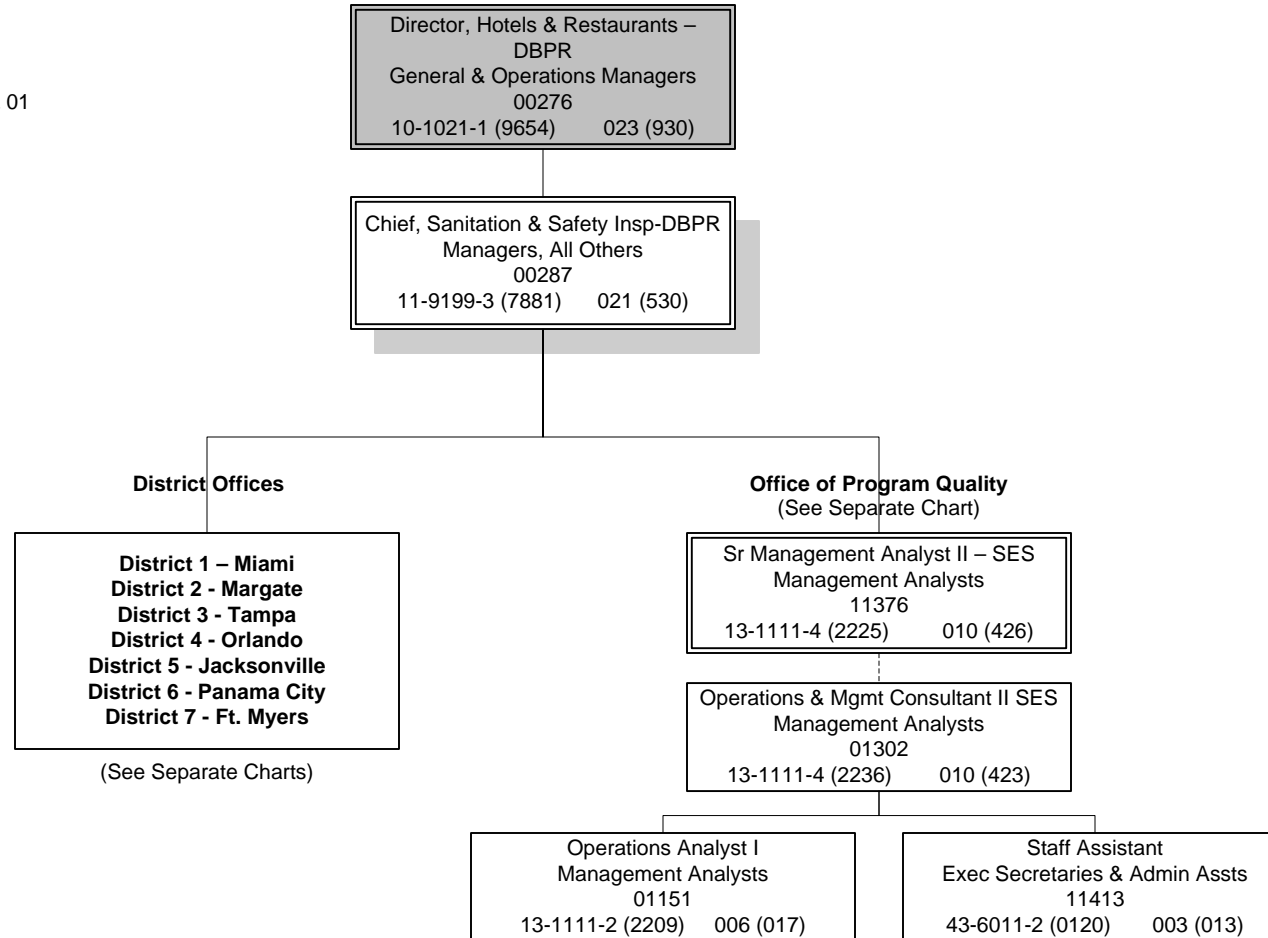
**Division of Hotels & Restaurants  
 Bureau of Field Services**



Department of Business & Professional Regulations 79  
 Division of Hotels & Restaurants 20  
 Bureau of Sanitation & Safety 02  
 District 1 - Miami 02 02  
 District 2 - Margate 02 03  
 District 3 - Tampa 02 04  
 District 4 - Orlando 02 05  
 District 5 - Jacksonville 02 06  
 District 6 - Panama City 02 07  
 District 7 - Ft. Myers 02 08  
 Office of Program Quality/Plan Review 02 09 & 01

Current: 6-30-09  
 Last Updated: 10-03-08

## Division of Hotels & Restaurants Bureau of Sanitation & Safety

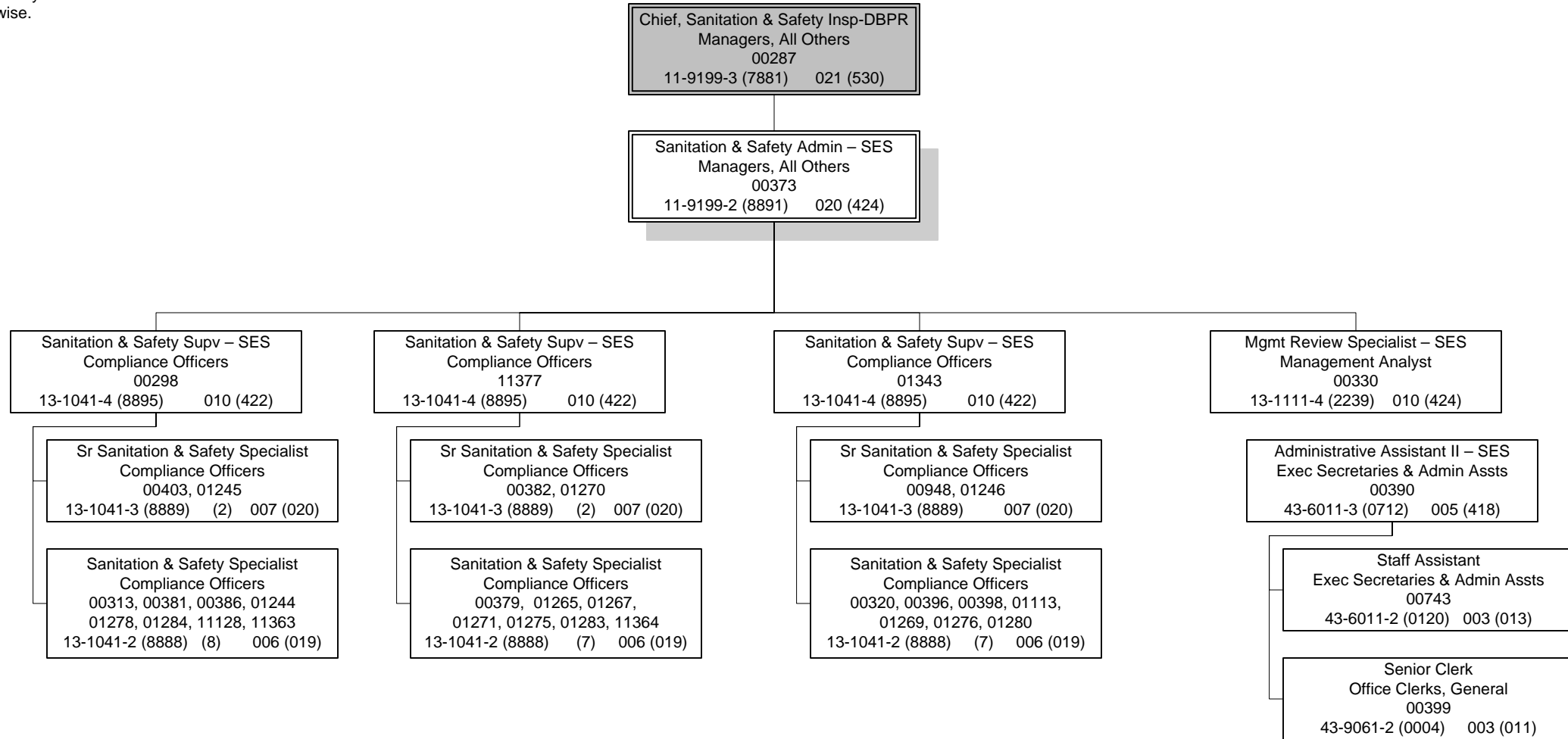


Department of Business & Professional Regulations 79  
 Division of Hotels & Restaurants 20  
 Sanitation & Safety Inspections 02  
 District 1 - Miami 02

Current: 6-30-09  
 Last Updated: 2-27-09

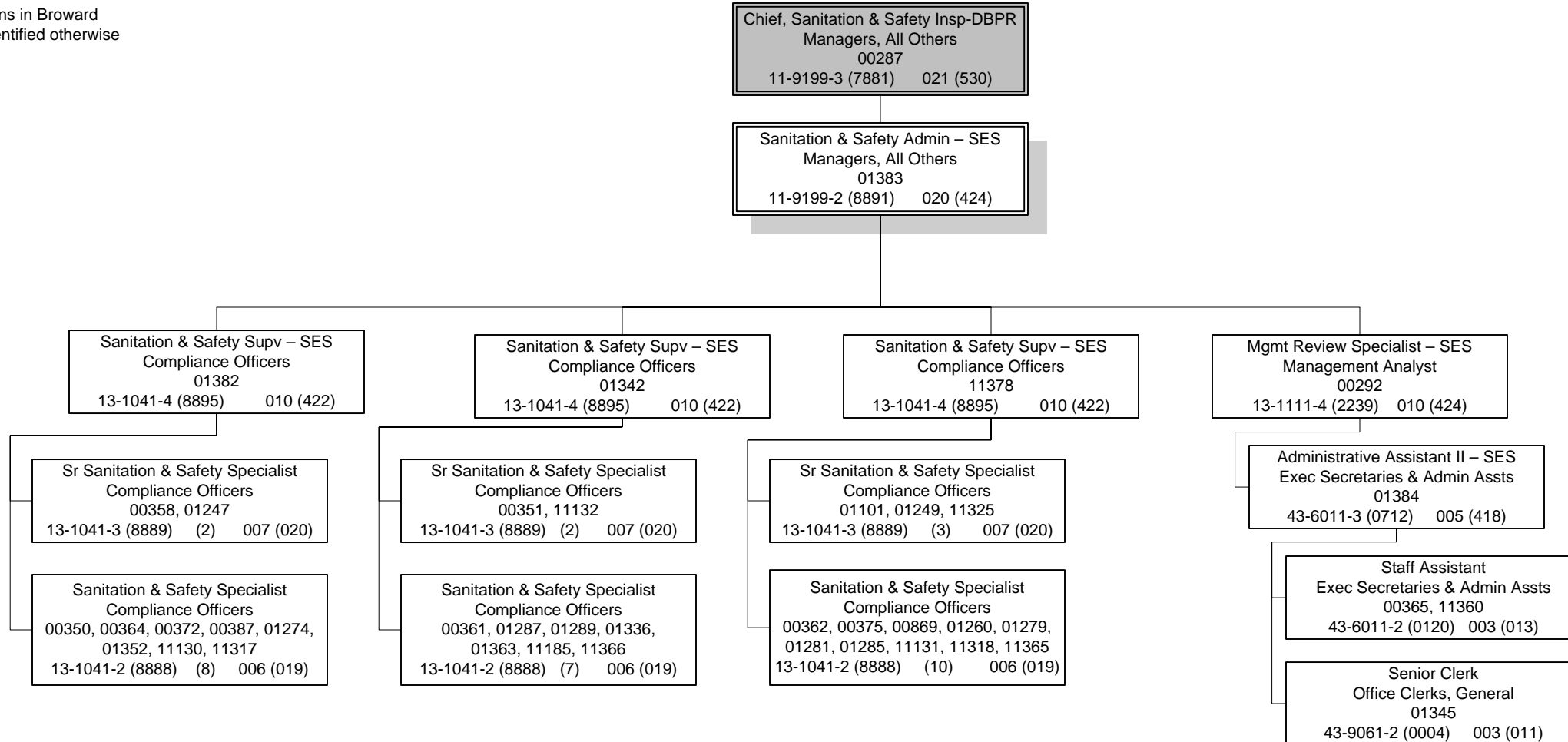
**Division of Hotels & Restaurants  
 Sanitation & Safety Inspections  
 District 1 – Miami**

All positions in Dade County  
 unless identified otherwise.



**Division of Hotels & Restaurants  
 Sanitation & Safety Inspections  
 District 2 - Margate**

All positions in Broward  
 unless identified otherwise

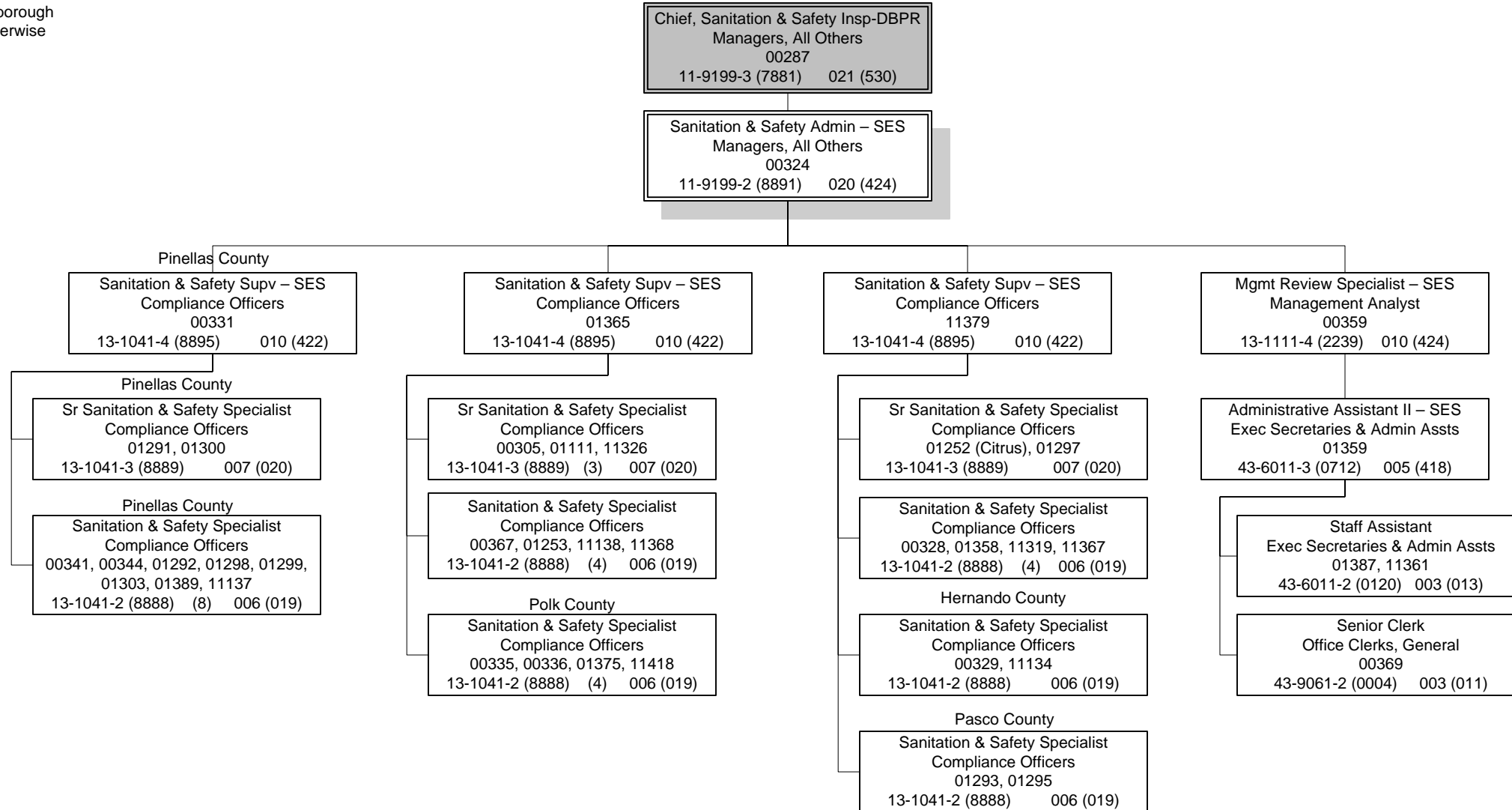


Department of Business & Professional Regulations 79  
 Division of Hotels & Restaurants 20  
 Sanitation & Safety Inspections 02  
 District 3 - Tampa 04

**Division of Hotels & Restaurants  
 Sanitation & Safety Inspections  
 District 3 - Tampa**

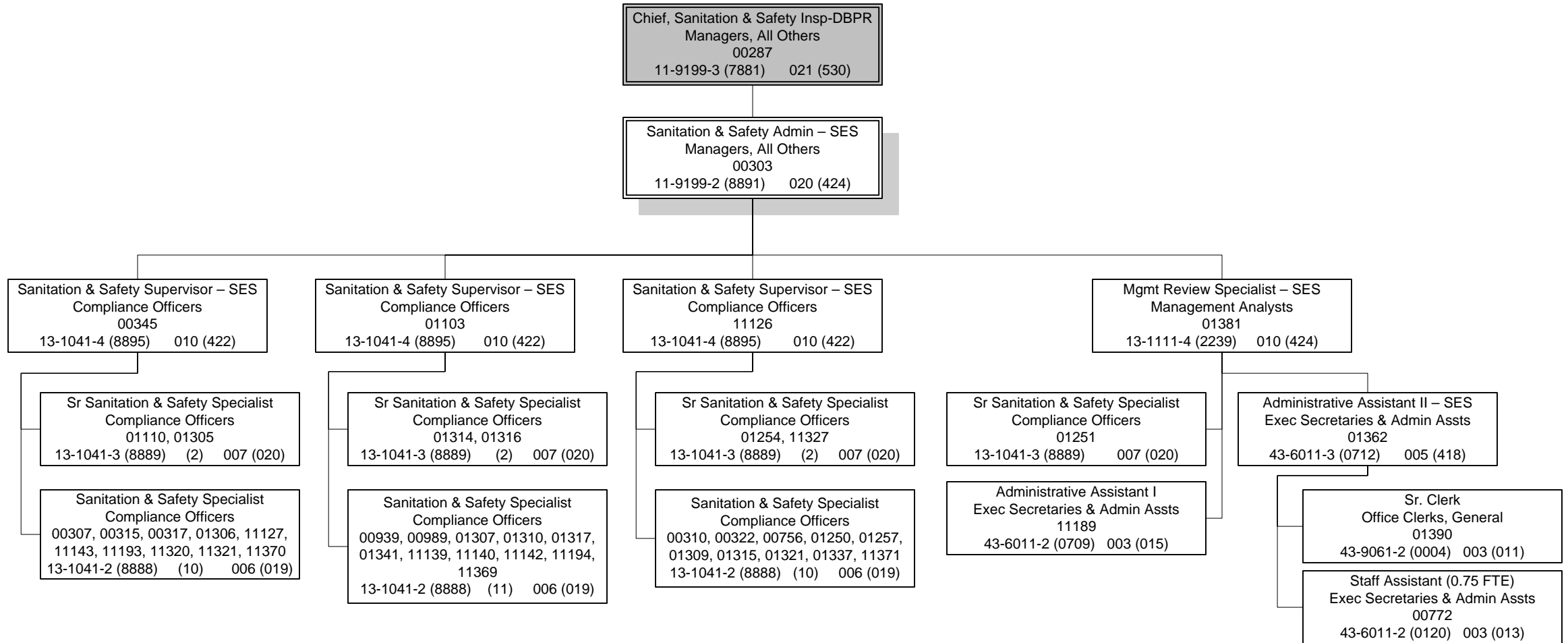
Current: 6-30-09  
 Last Updated: 10-03-08

All positions in Hillsborough  
 unless identified otherwise

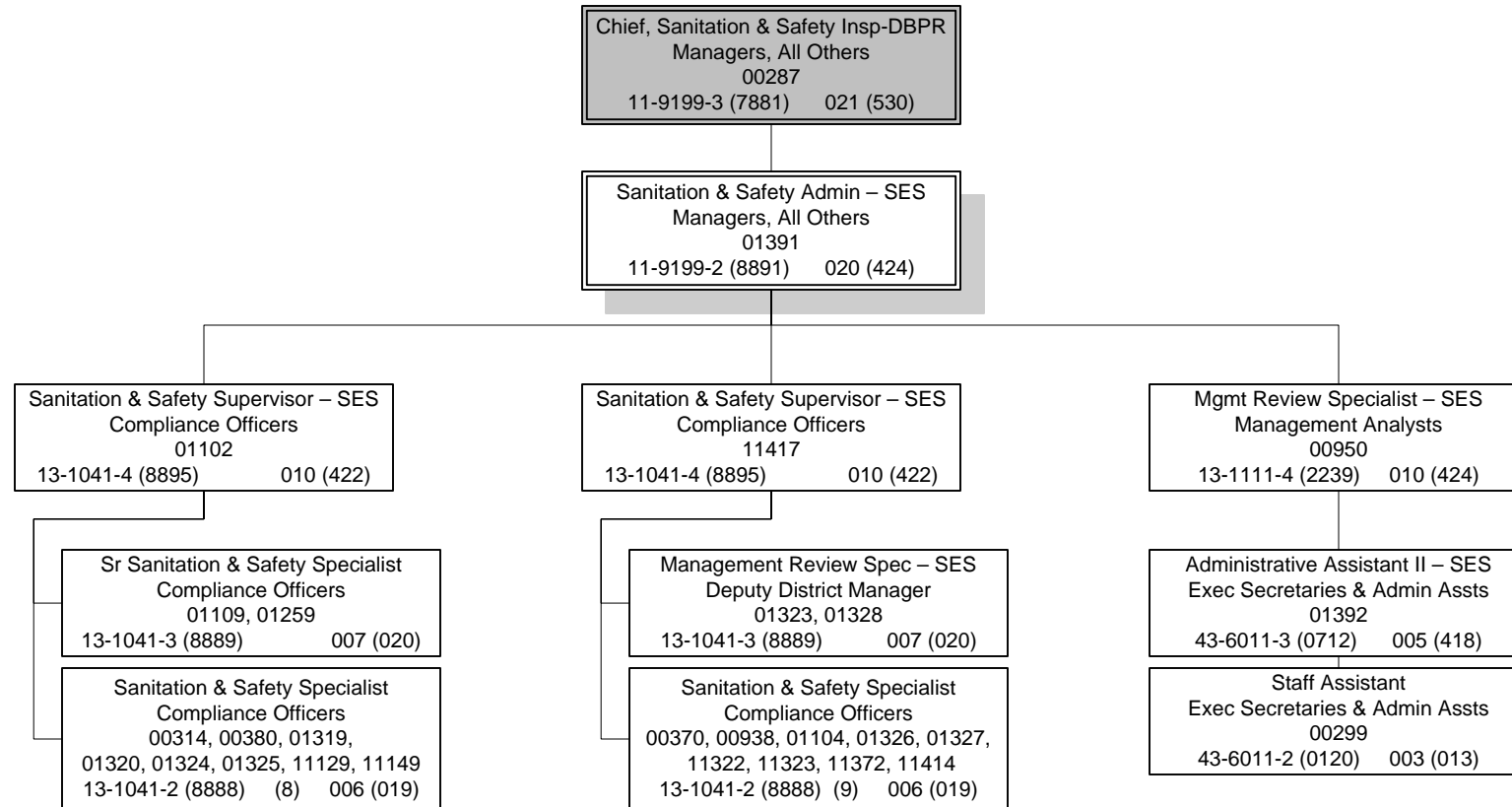


Department of Business & Professional Regulations 79  
 Division of Hotels & Restaurants 20  
 Sanitation & Safety Inspections 02  
 District 4 - Orlando 05

**Division of Hotels & Restaurants  
 Sanitation & Safety Inspections  
 District 4 - Orlando**

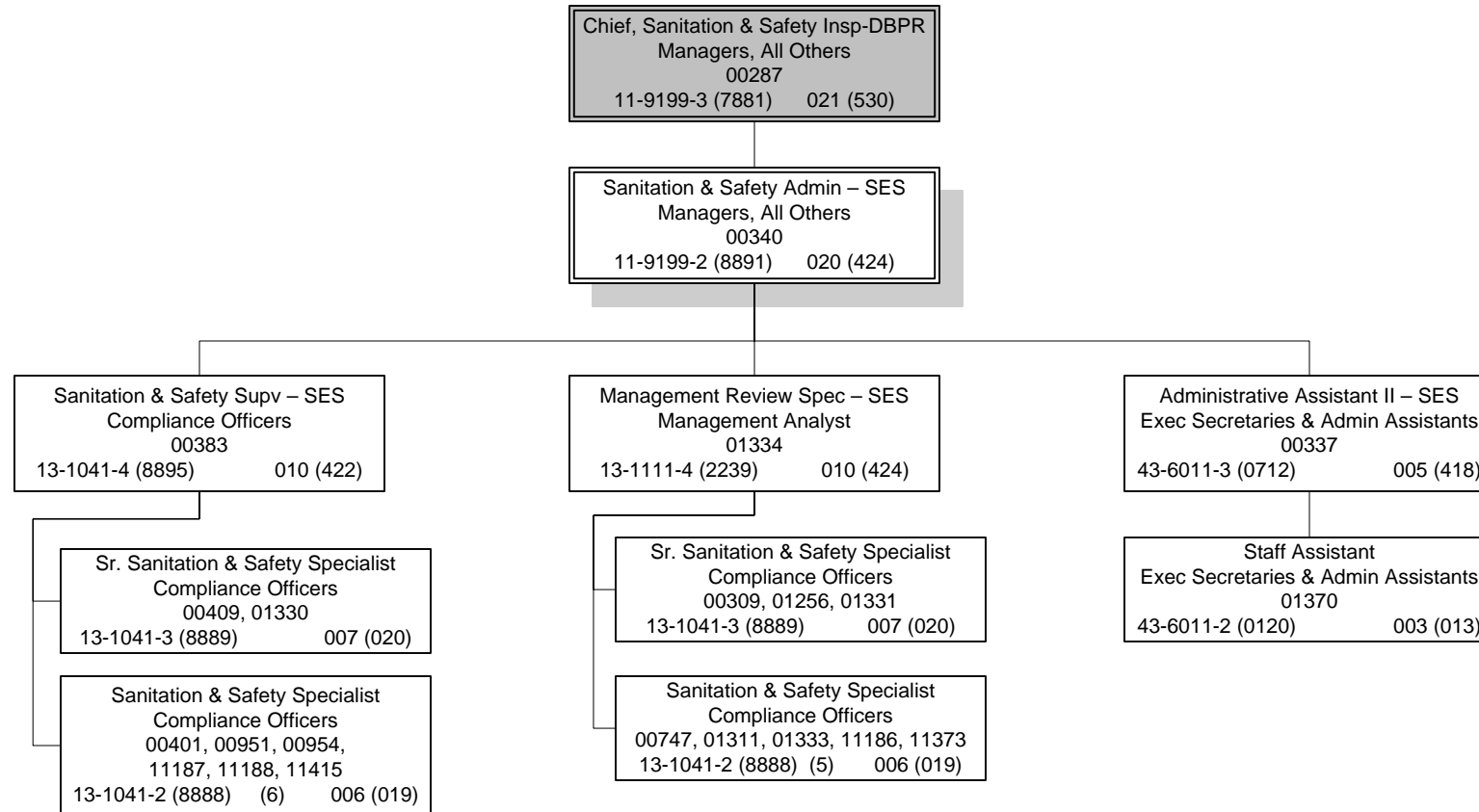


**Division of Hotels & Restaurants  
 Sanitation & Safety Inspections  
 District 5 - Jacksonville**

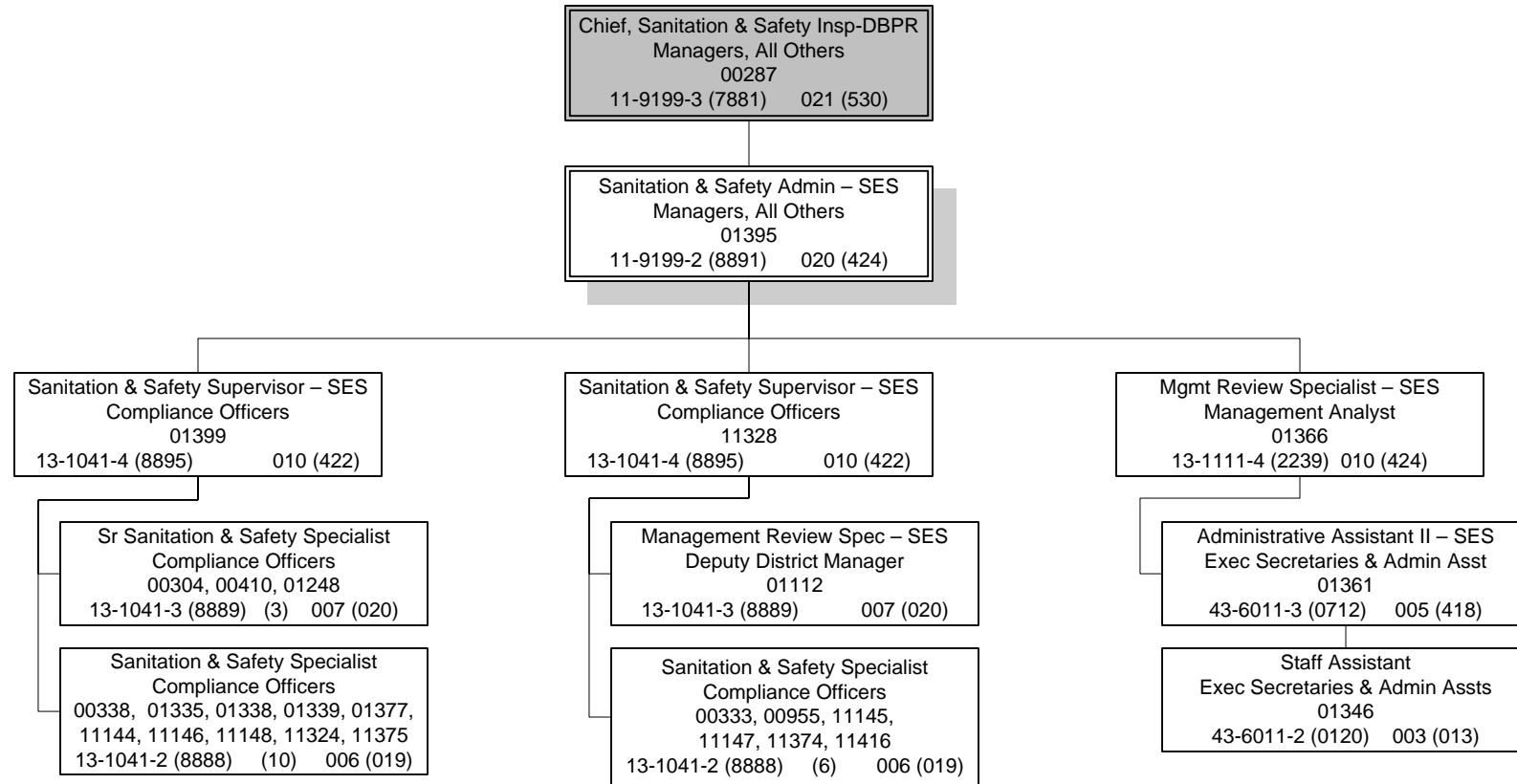




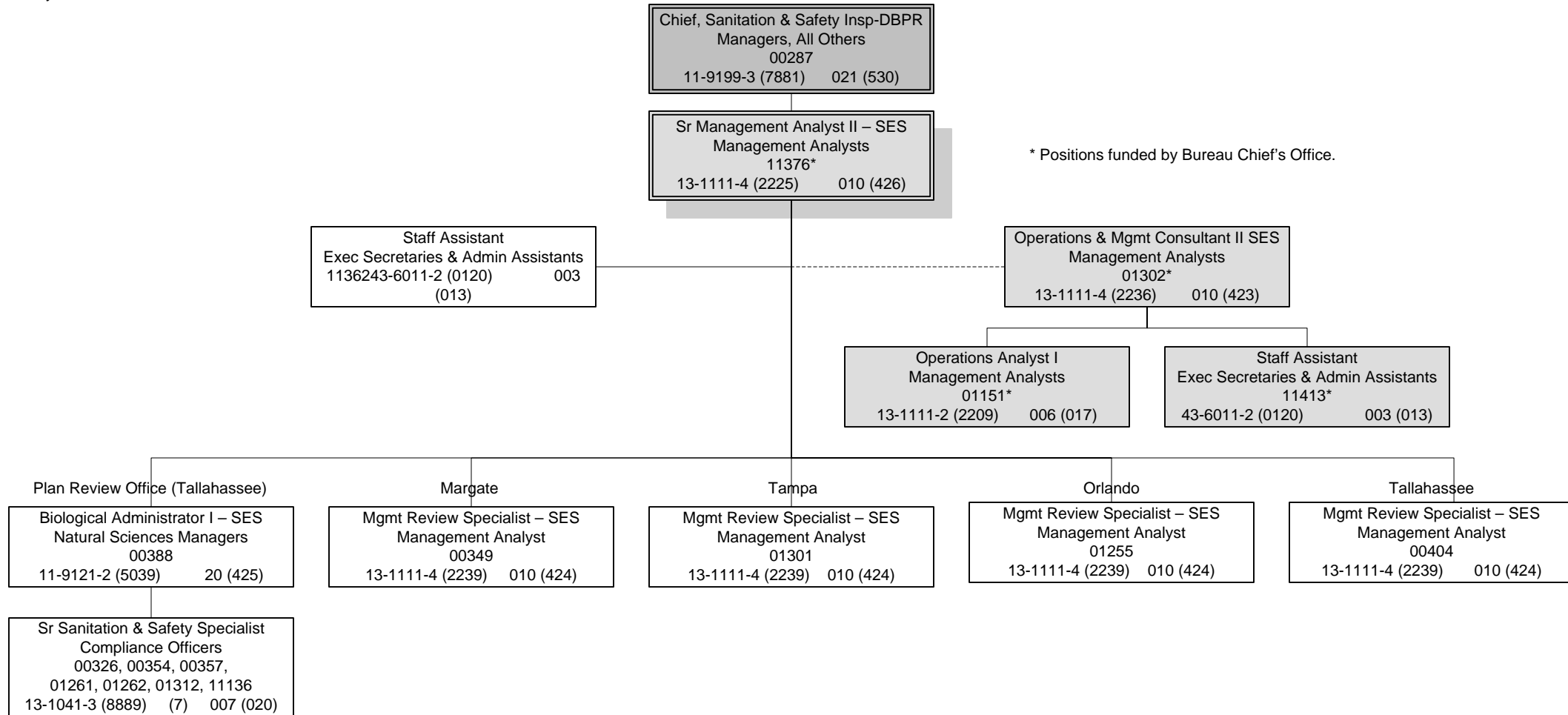
**Division of Hotels & Restaurants  
 Sanitation & Safety Inspections  
 District 6 - Panama City**



**Division of Hotels & Restaurants  
Sanitation & Safety Inspections  
District 7 - Ft. Myers**



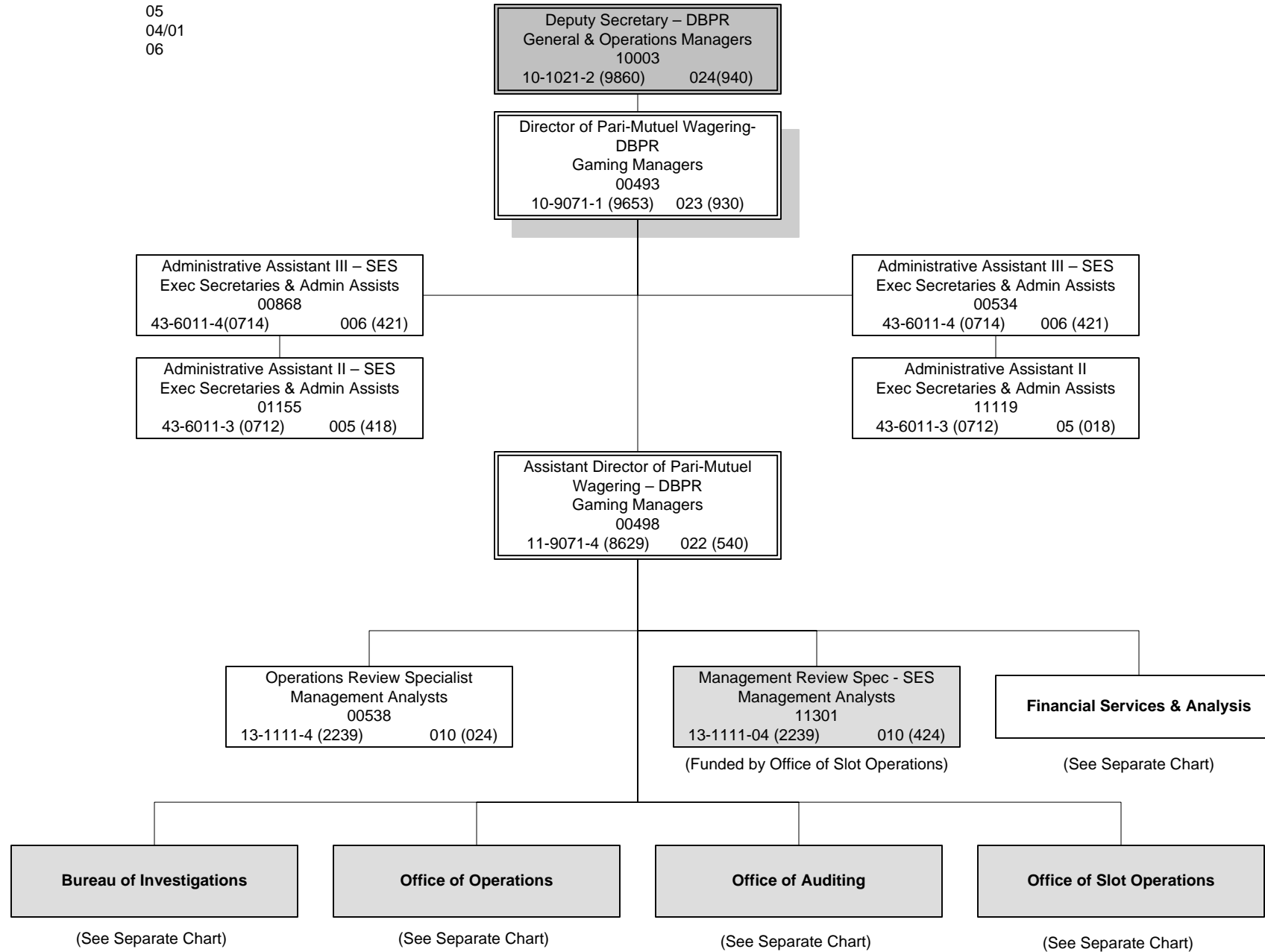
**Division of Hotels & Restaurants  
 Office of Program Quality**



Department of Business & Professional Regulation 79  
 Division of Pari-Mutuel Wagering 10  
 Director's Office 01  
 Investigations 02  
 Operations 05  
 Auditing/Revenue 04/01  
 Office of Slot Operations 06

**Department of Business & Professional Regulation**  
**Division of Pari-Mutuel Wagering**  
**Director's Office**

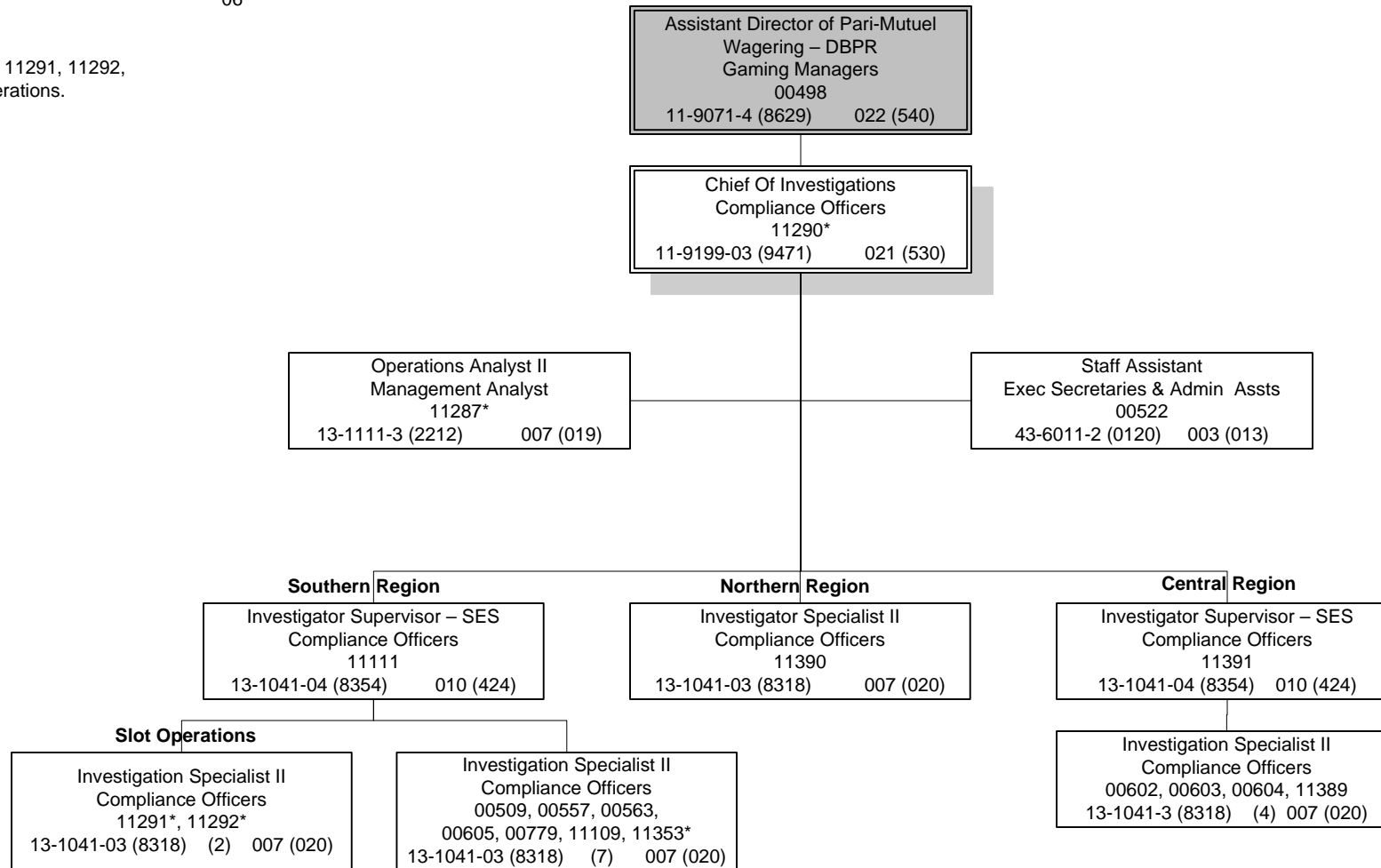
Current: 06-30-09  
 Last Update: 03-13-09



Department of Business & Professional Regulation 79  
 Division of Pari-Mutuel Wagering 10  
 Director's Office 01  
 Investigations 02  
 Operations 05  
 Auditing/Revenue 04/01  
 Office of Slot Operations 06

Current: 6-30-09  
 Last Update: 03-13-09

## Division of Pari-Mutuel Wagering Bureau of Investigations

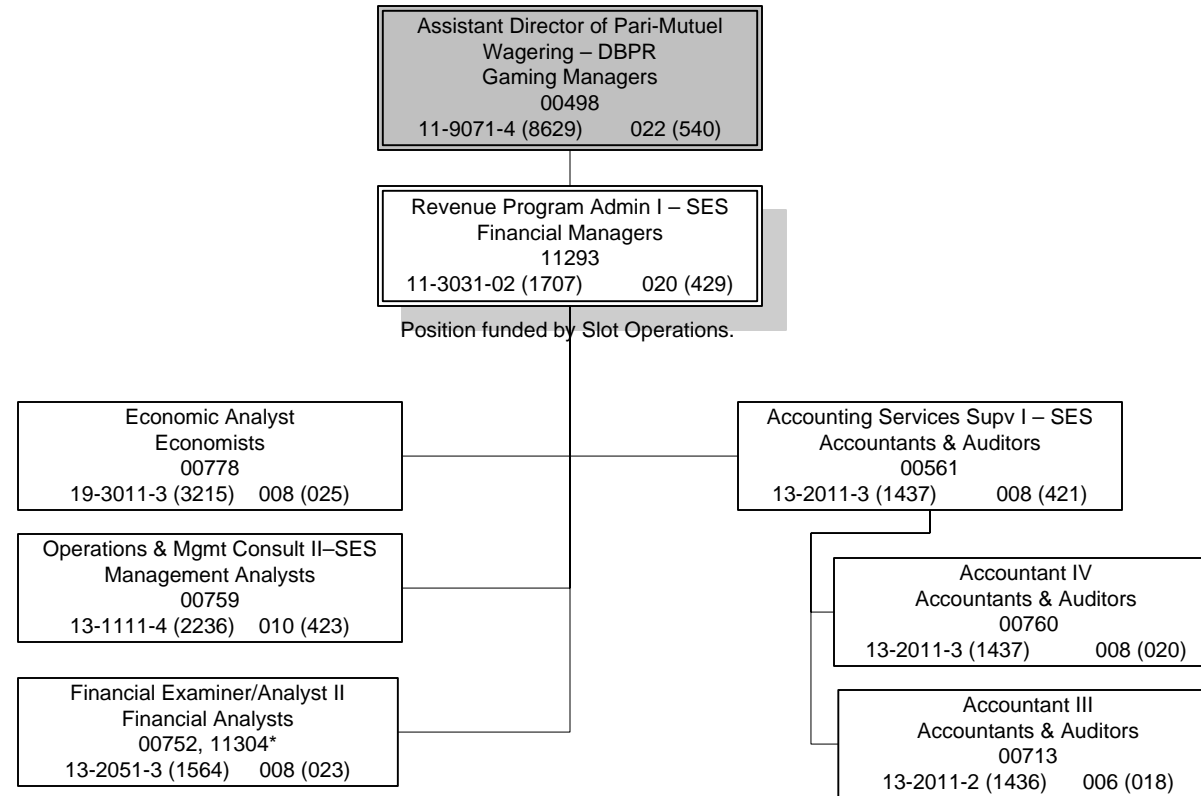


Department of Business & Professional Regulation  
 Division of Pari-Mutuel Wagering  
 Director's Office  
 Investigations  
 Operations  
 Auditing/Revenue  
 Office of Slot Operations

79  
 10  
 01  
 02  
 05  
 04/01  
 06

Current: 6-30-09  
 Last Update: 03-13-09

**Division of Pari-Mutuel Wagering  
 Office of Auditing  
 Financial Services & Analysis**



Position funded by Slot Operations.

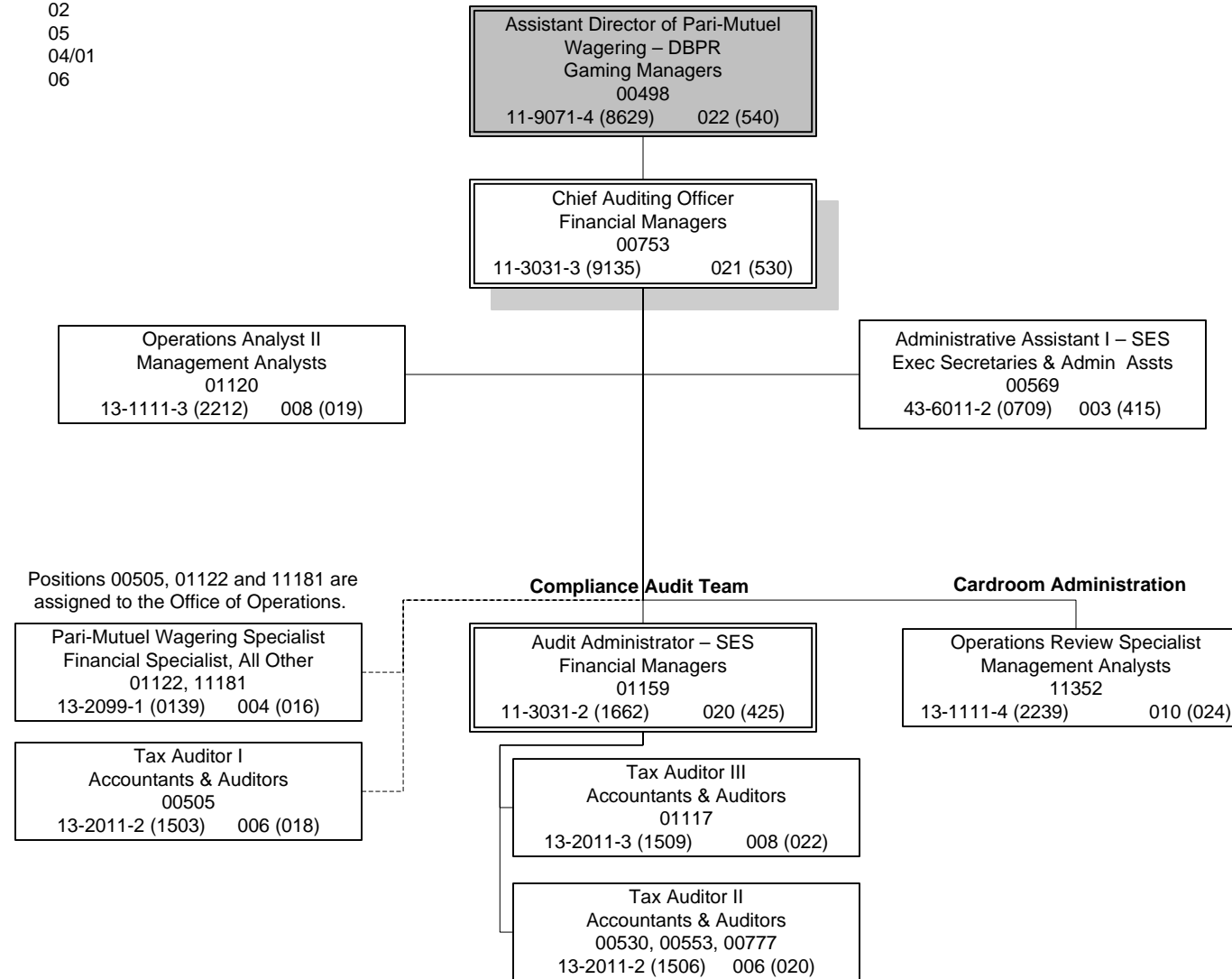
\*Position funded by Slot Operations.

Department of Business & Professional Regulation  
 Division of Pari-Mutuel Wagering  
 Director's Office  
 Investigations  
 Operations  
 Auditing/Revenue  
 Office of Slot Operations

79  
 10  
 01  
 02  
 05  
 04/01  
 06

### Division of Pari-Mutuel Wagering Office of Auditing

Current: 06-30-09  
 Last Update: 03-13-09

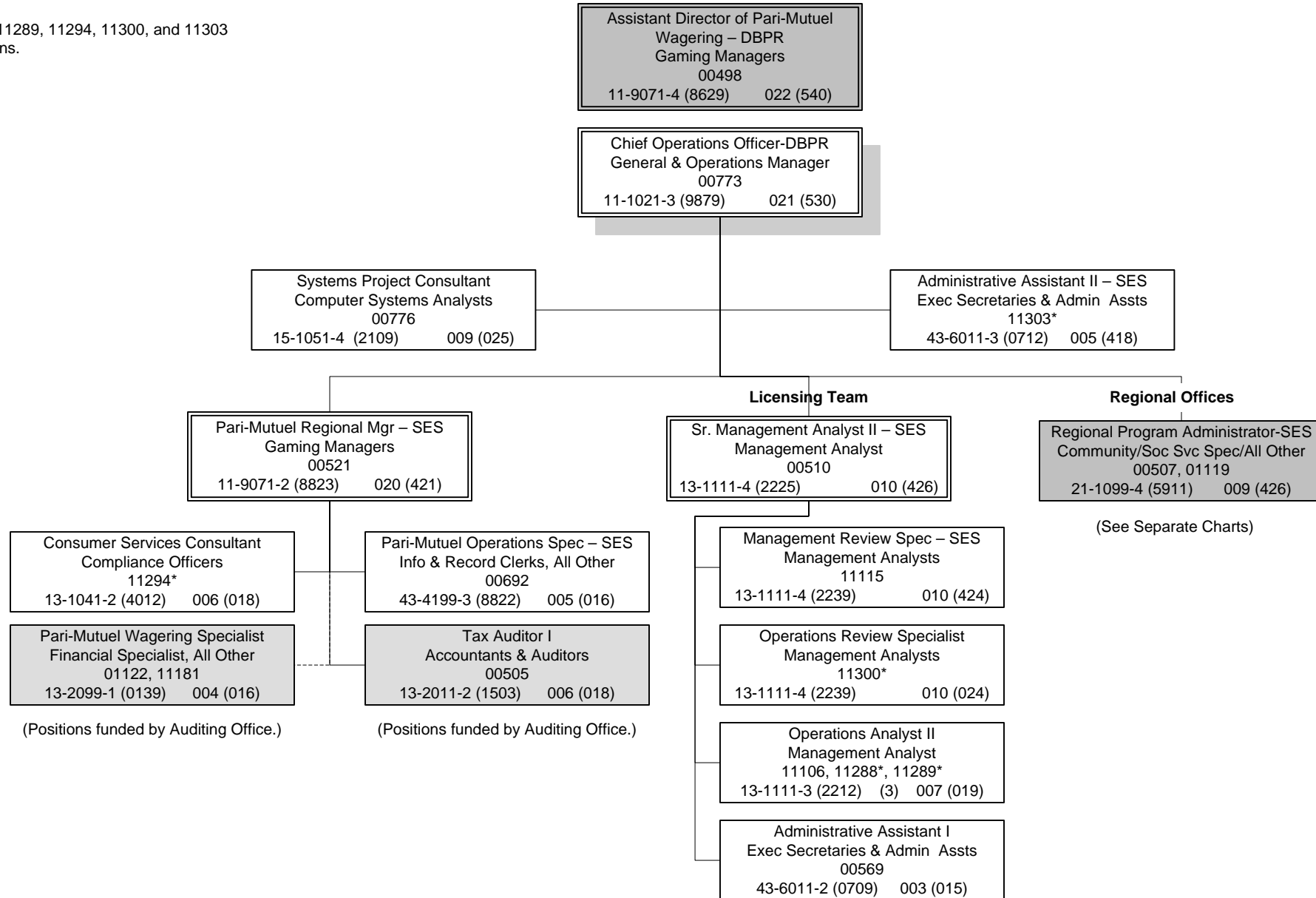


Department of Business & Professional Regulation 79  
 Division of Pari-Mutuel Wagering 10  
 Director's Office 01  
 Investigations 02  
 Operations 05  
 Auditing/Revenue 04/01  
 Office of Slot Operations 06

Current: 06-30-09  
 Last Update: 03-13-09

**Division of Pari-Mutuel Wagering  
 Office of Operations  
 Chief's Office**

\* Position numbers 11288, 11289, 11294, 11300, and 11303 are funded by Slot Operations.

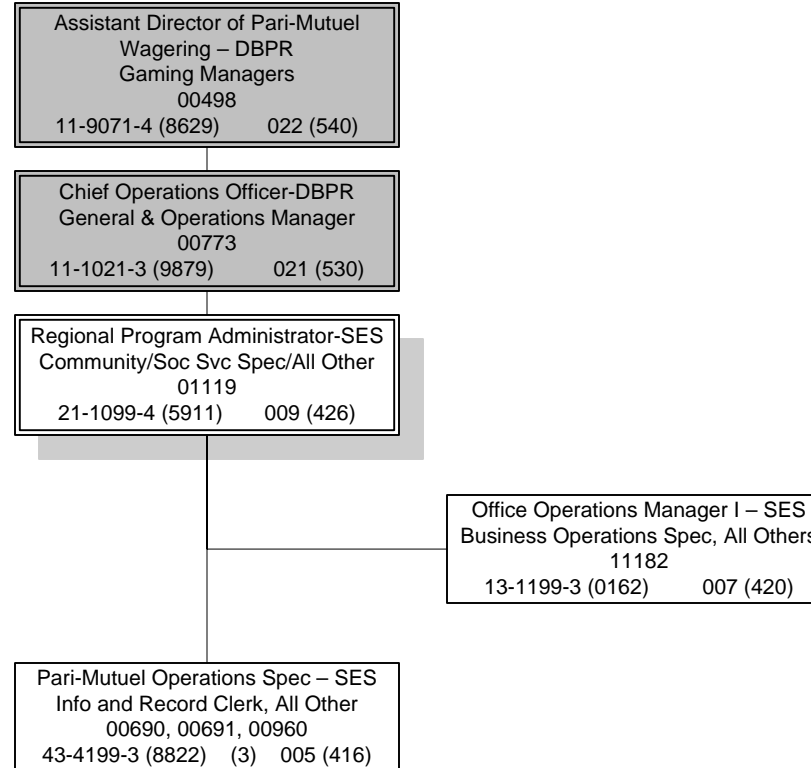




Department of Business & Professional Regulation 79  
 Division of Pari-Mutuel Wagering 10  
 Director's Office 01  
 Investigations 02  
 Operations 05  
 Auditing/Revenue 04/01  
 Office of Slot Operations 06

Current: 06-30-09  
 Last Update: 03-13-09

**Division of Pari-Mutuel Wagering**  
**Office of Operations**  
**Central Region**

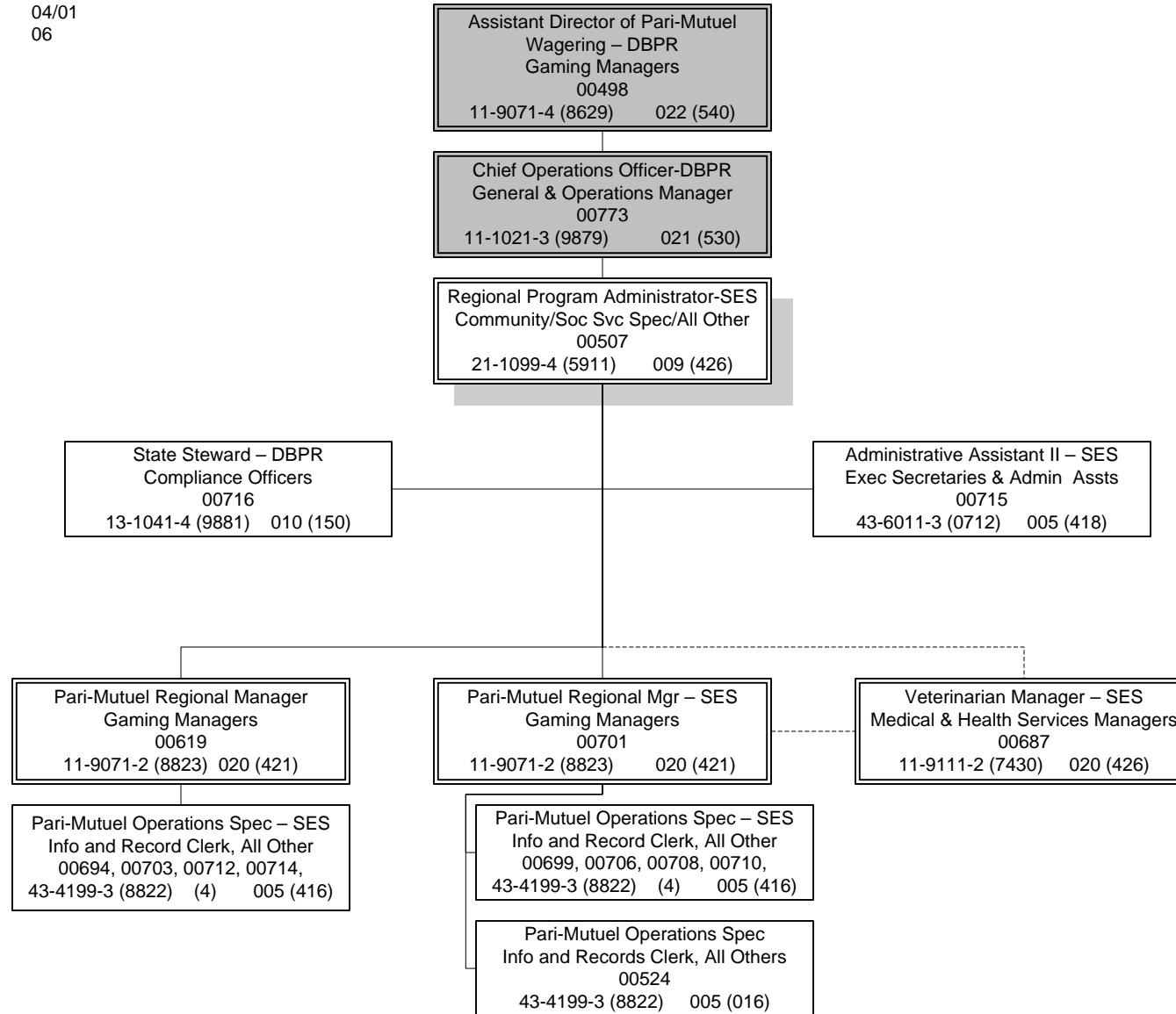


Pari-Mutuel Operations Specialist-SES positions to be transferred from SES to Career Service, pay plan 01, pay grade 016, on a position by position basis pending DMS/HRM Approval. .

Department of Business & Professional Regulation 79  
 Division of Pari-Mutuel Wagering 10  
 Director's Office 01  
 Investigations 02  
 Operations 05  
 Auditing/Revenue 04/01  
 Office of Slot Operations 06

**Division of Pari-Mutuel Wagering**  
**Office of Operations**  
**Southern Region**

Current: 06-30-09  
 Last Update: 03-13-09



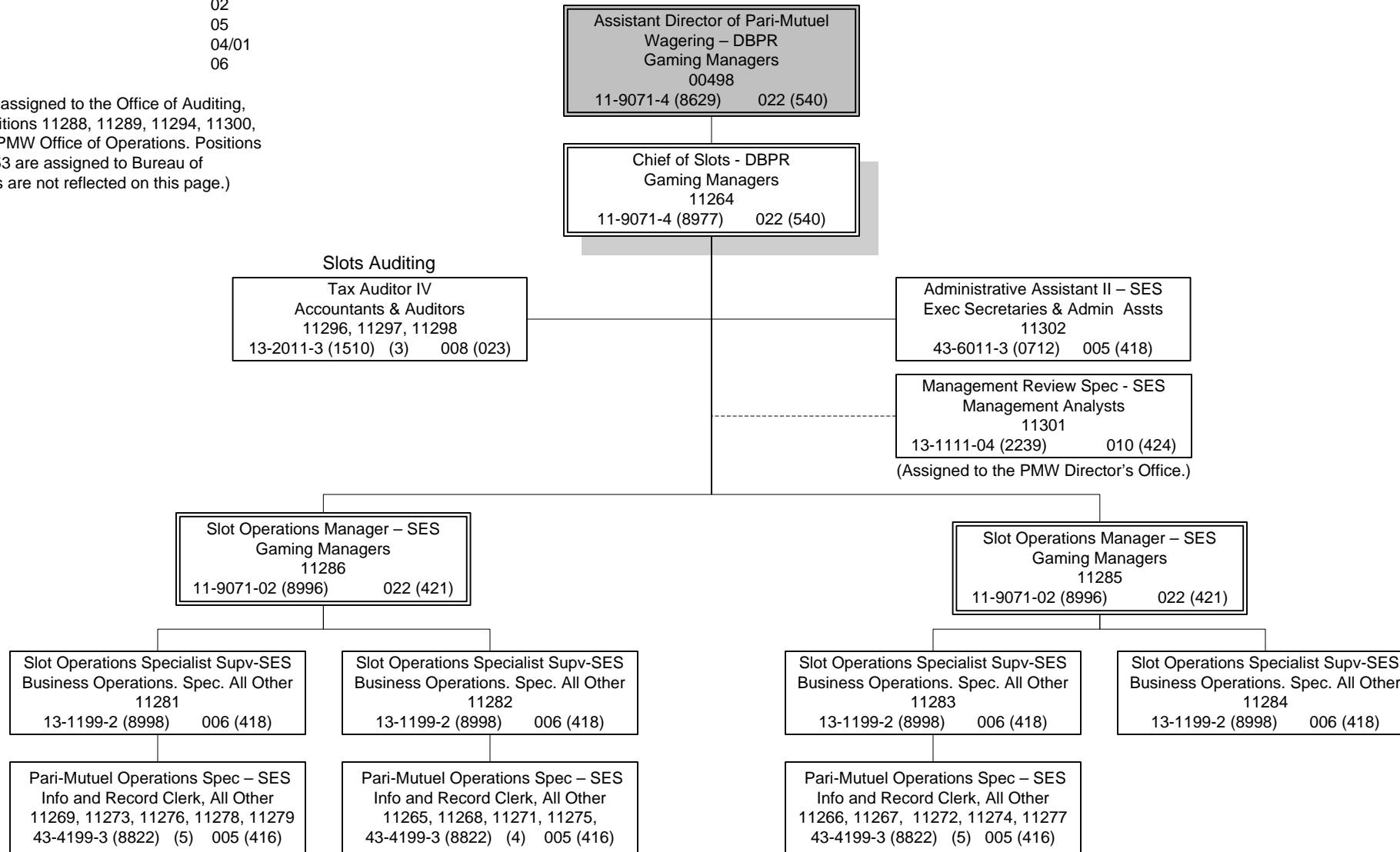
Pari-Mutuel Operations Specialist-SES positions to be transferred from SES to Career Service,  
 pay plan 01, pay grade 016, on a position by position basis pending DMS/HRM Approval.

Department of Business & Professional Regulation 79  
 Division of Pari-Mutuel Wagering 10  
 Director's Office 01  
 Investigations 02  
 Operations 05  
 Auditing/Revenue 04/01  
 Office of Slot Operations 06

## Division of Pari-Mutuel Wagering Office of Slot Operations

Current: 06-30-09  
 Last Update: 03-13-09

Positions 11293 and 11304 are assigned to the Office of Auditing, Financial Services Section. Positions 11288, 11289, 11294, 11300, and 11303 are assigned to the PMW Office of Operations. Positions 11287, 11291, 11292, and 11353 are assigned to Bureau of Investigations. (These positions are not reflected on this page.)

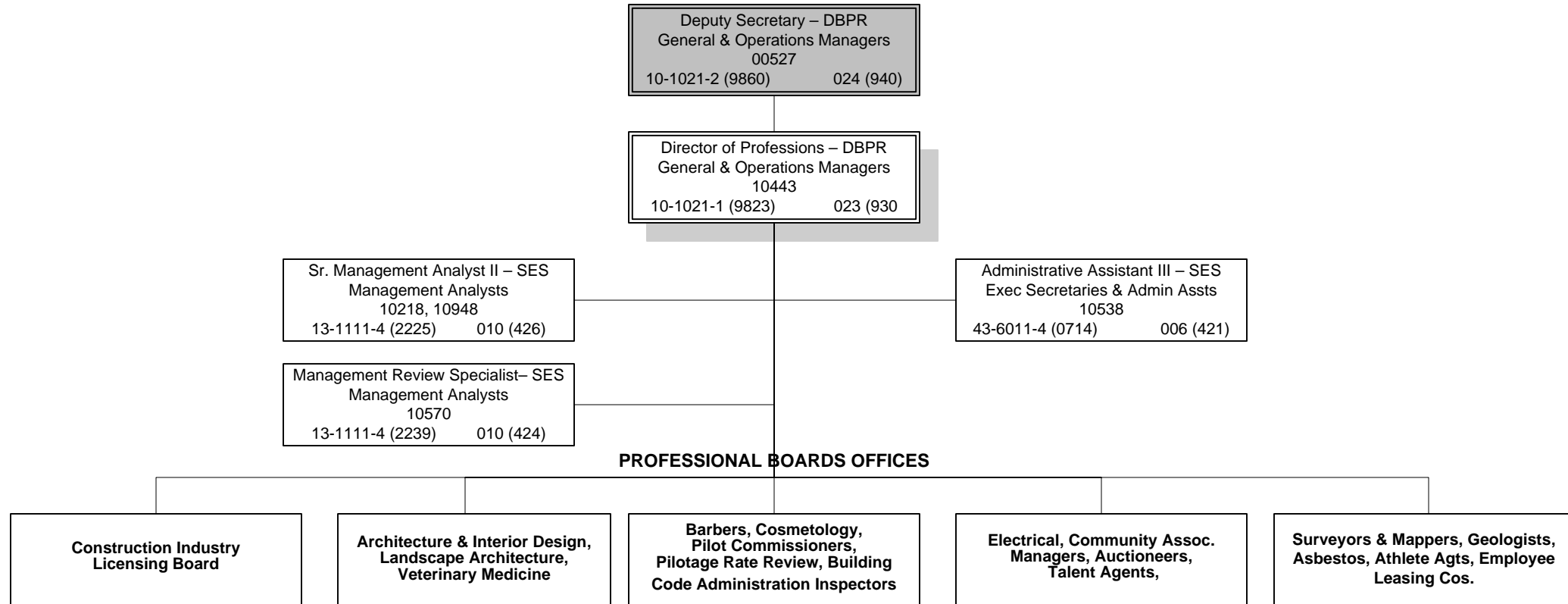


Pari-Mutuel Operations Specialist-SES positions to be transferred from SES to Career Service, pay plan 01, pay grade 016, on a position by position basis pending DMS/HRM Approval. .

Department of Business & Professional Regulation	79
Division of Professions	50
Director's Office	01
Construction Industry Licensing Board	07
Arch&Int Design/LandArch/Vet Medicine	10
Electr/CAMS/Auctioneers/Talent Agts/Asbeestos/AthAgts	11
Barbers/Cosmo/Pilot Comm/Pilotage RateRev/BldgCode	12
Surveyors&Mappers/Geologists/Empl Leasing	13

Current: 6-30-09  
Last Updated: 1-27-09

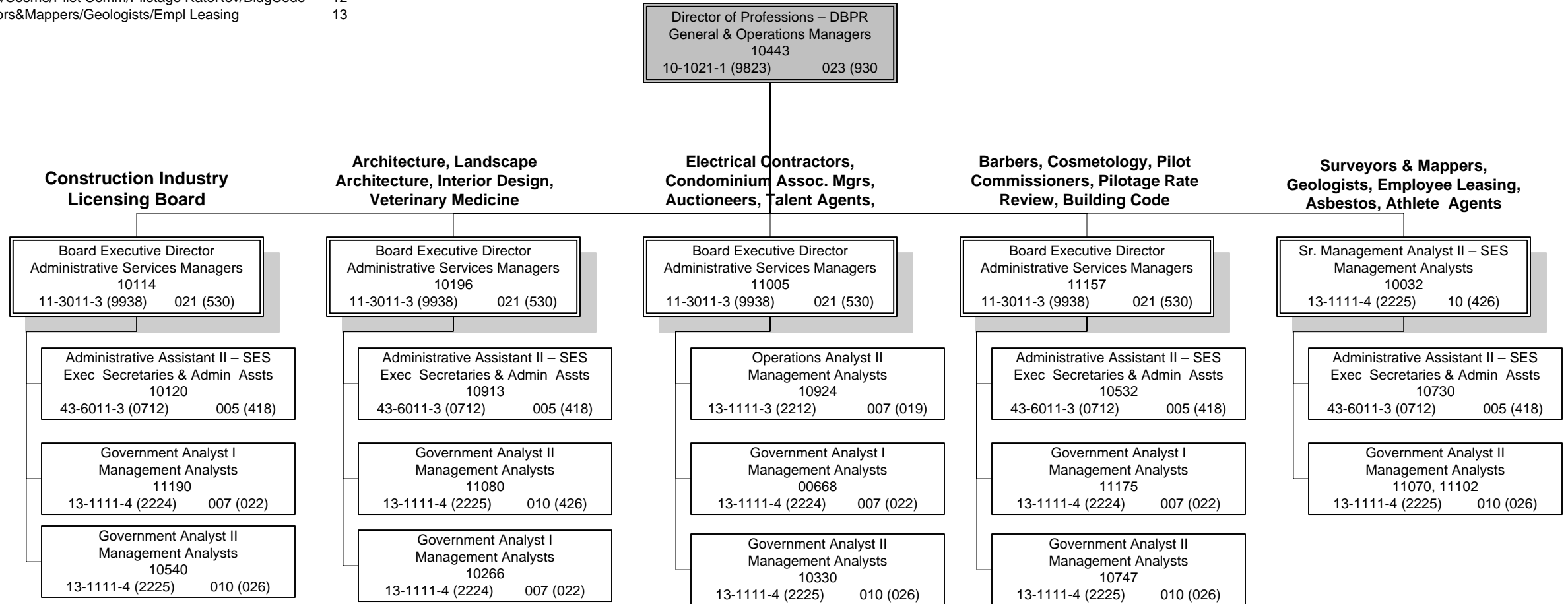
**Department of Business & Professional Regulation  
Division of Professions  
Director's Office**



Department of Business & Professional Regulation 79  
 Division of Professions 50  
 Director's Office 01  
 Construction Industry Licensing Board 07  
 Arch&Int Design/LandArch/Vet Medicine 10  
 Electr/CAMS/Auctioneers/Talent Agts/Asbestos/AthAgts 11  
 Barbers/Cosmo/Pilot Comm/Pilotage RateRev/BldgCode 12  
 Surveyors&Mappers/Geologists/Empl Leasing 13

Current: 6-30-09  
 Last Updated: 1-27-09

## Division of Professions Professions Board Offices

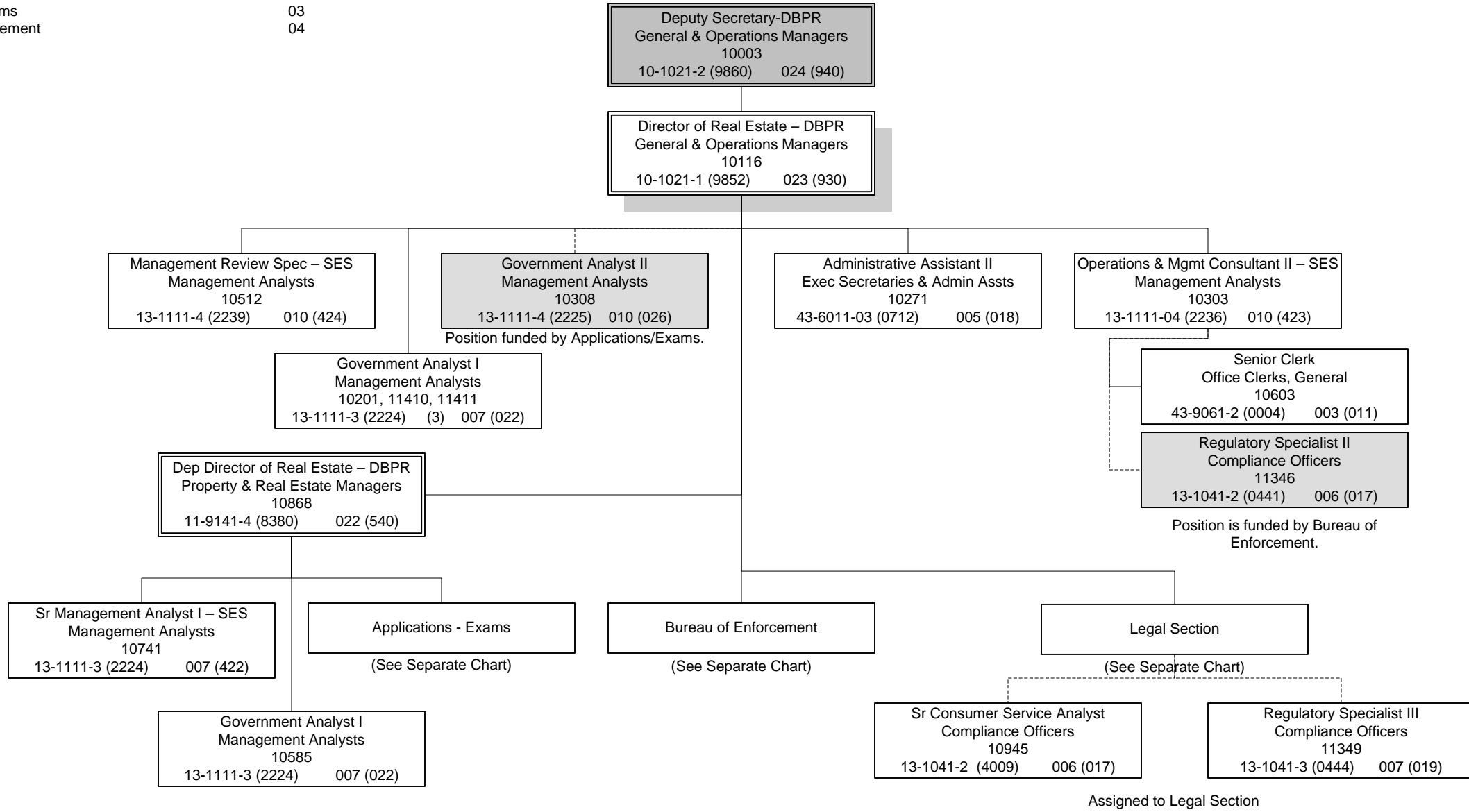


Government Analyst II performs as Lead Worker and supervises 3 FTE funded by the Office of the General Counsel who perform work related to the Recovery Fund.

**Department of Business & Professional Regulation  
Division of Real Estate  
Director's Office**

Current: 6-30-09  
Last updated: 5-13-09

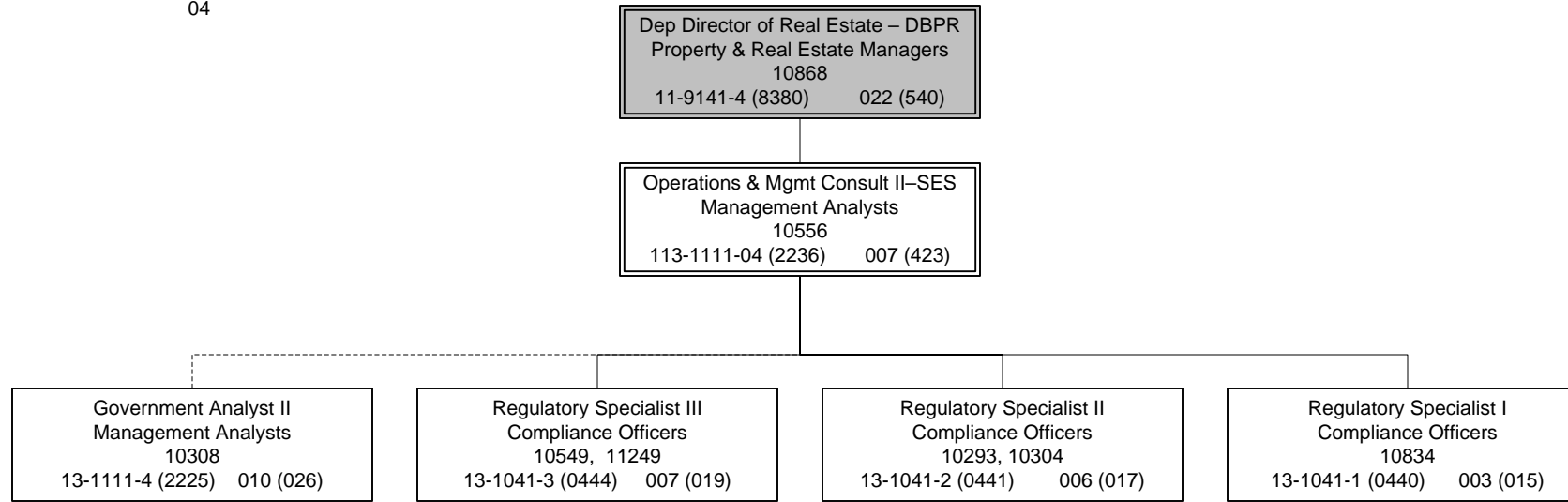
Department of Business & Professional Regulation 79  
Division of Real Estate 70  
Director's Office 01 01  
Legal Section 01 02  
Applications/Exams 03  
Bureau of Enforcement 04



Department of Business & Professional Regulation 79  
 Division of Real Estate 70  
 Director's Office 01 01  
 Legal Section 01 02  
 Applications/Exams 03  
 Bureau of Enforcement 04

Current: 6-30-09  
 Last updated: 9-05-08

### Division of Real Estate Application - Exams

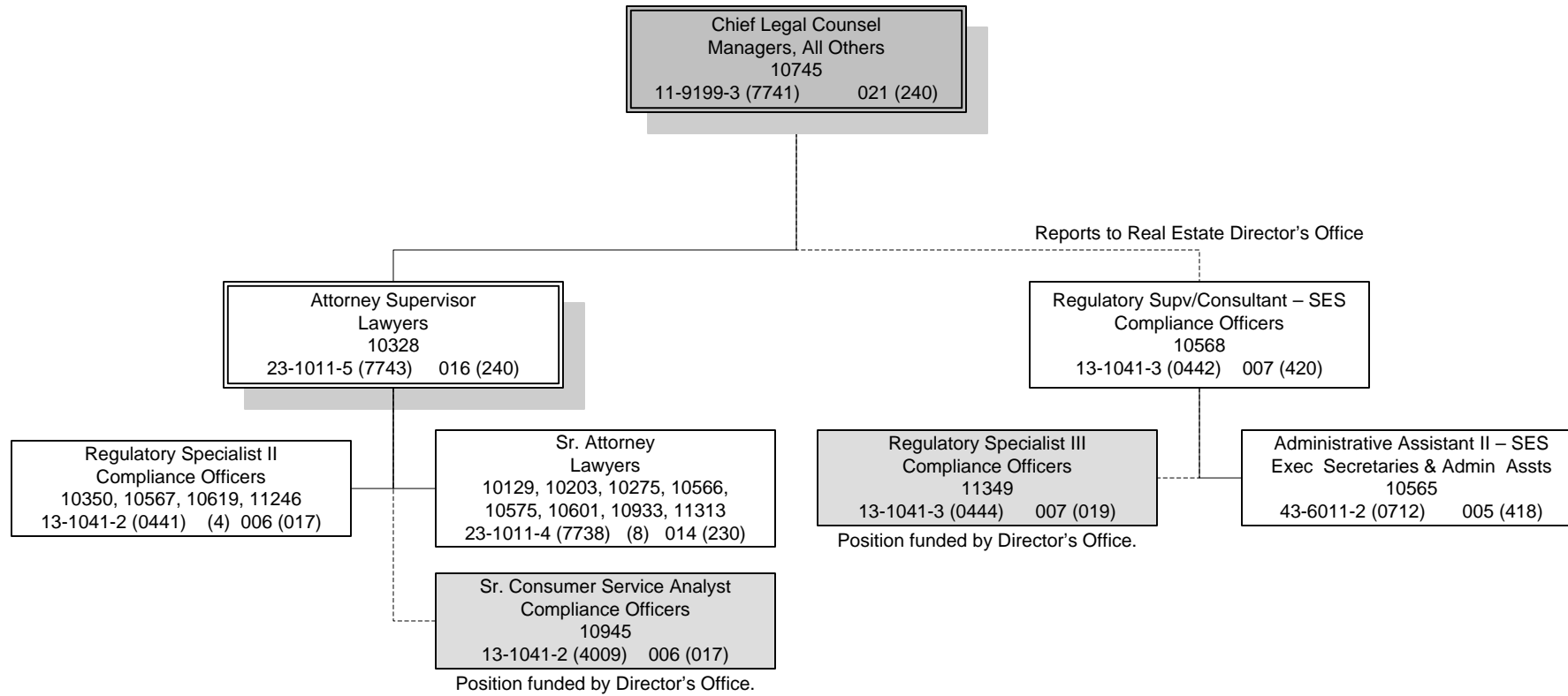


Position assigned to Director's Office.

Department of Business & Professional Regulation 79  
 Division of Real Estate 70  
 Director's Office 01 01  
 Legal Section 01 02  
 Applications/Exams 03  
 Bureau of Enforcement 04

**Division of Real Estate  
 Legal Section  
 Orlando**

Current: 6-30-09  
 Last updated: 5-13-09

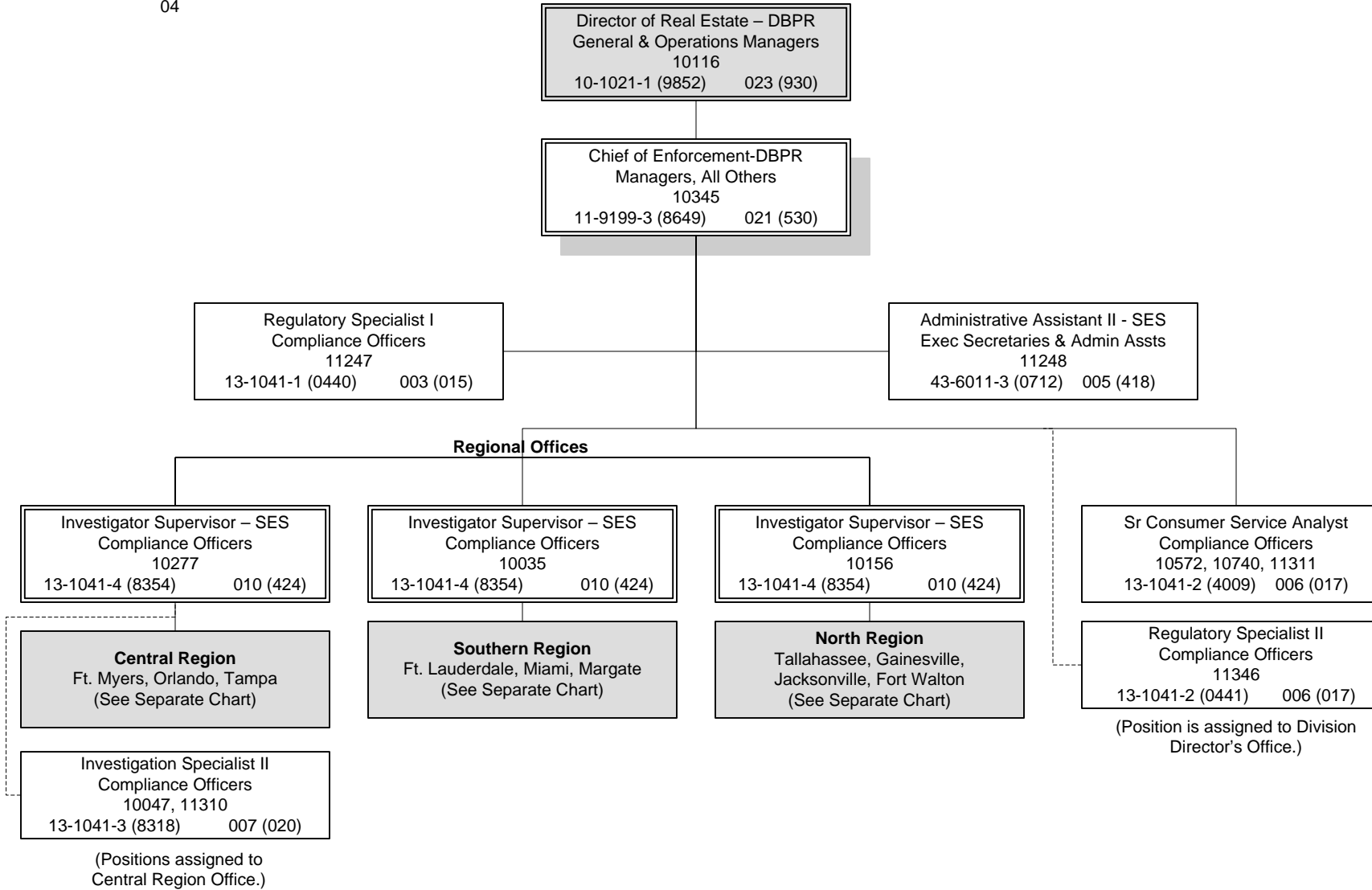




Department of Business & Professional Regulation 79  
 Division of Real Estate 70  
 Director's Office 01 01  
 Legal Section 01 02  
 Applications/Exams 03  
 Bureau of Enforcement 04

**Division of Real Estate  
 Bureau of Enforcement  
 Chief's Office**

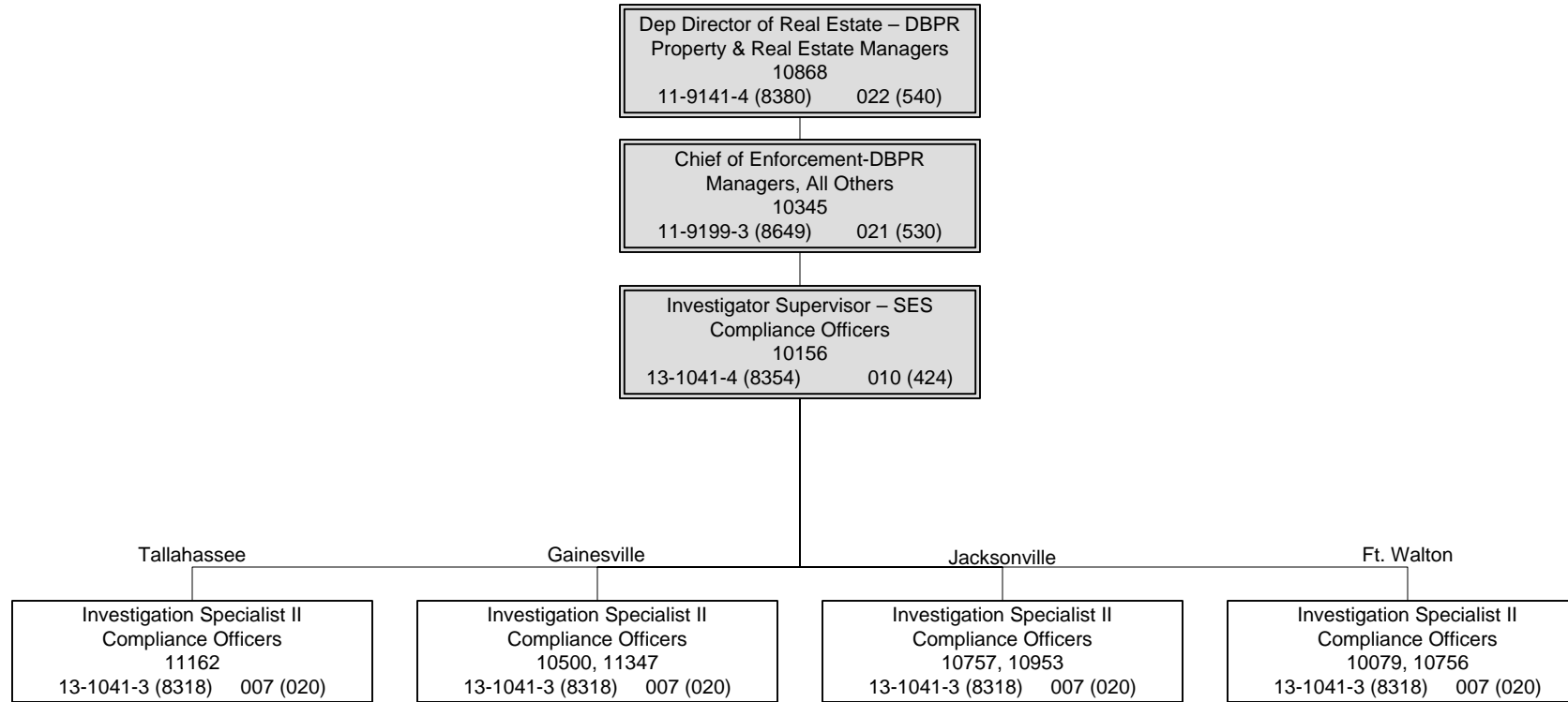
Current: 6-30-09  
 Last updated: 9-05-08



Department of Business & Professional Regulation 79  
 Division of Real Estate 70  
 Director's Office 01 01  
 Legal Section 01 02  
 Applications/Exams 03  
 Bureau of Enforcement 04

Current: 6-30-09  
 Last updated: 9-05-08

**Division of Real Estate**  
**Bureau of Enforcement**  
**North Region**

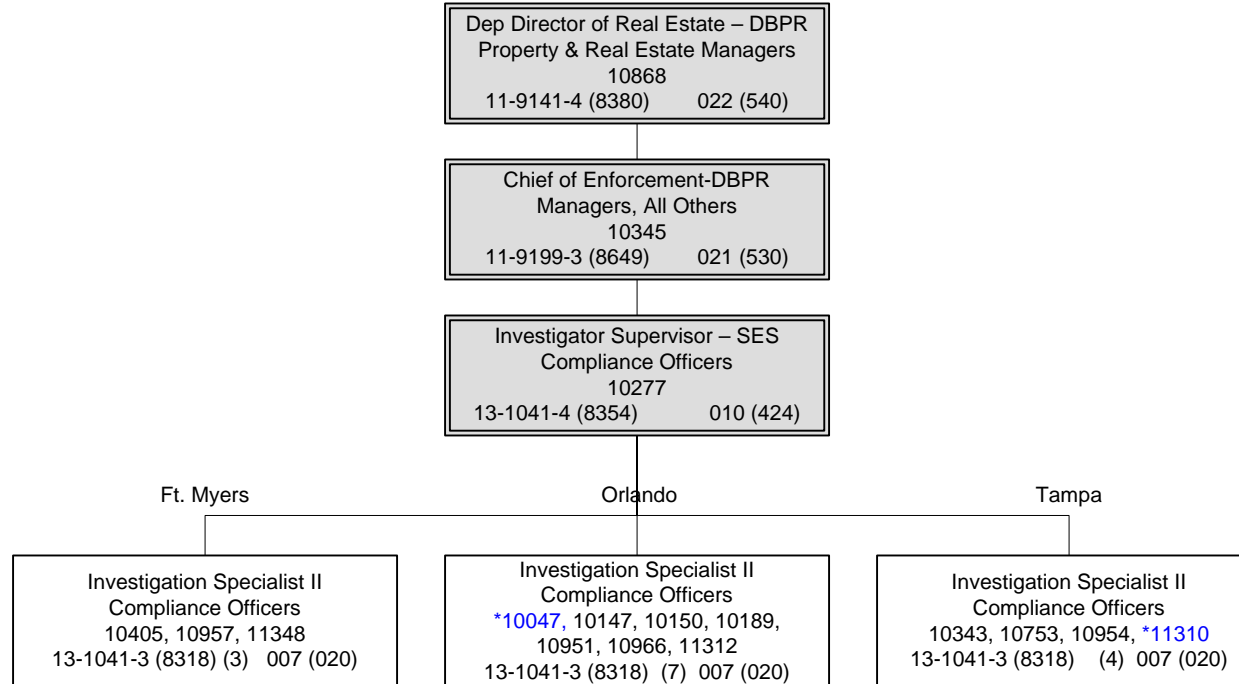


Department of Business & Professional Regulation 79  
 Division of Real Estate 70  
 Director's Office 01 01  
 Legal Section 01 02  
 Applications/Exams 03  
 Bureau of Enforcement 04

Current: 6-30-09  
 Last updated: 9-05-08

\*Positions 10047 and 11310 funded by Chief's Office.

### Division of Real Estate Bureau of Enforcement Central Region

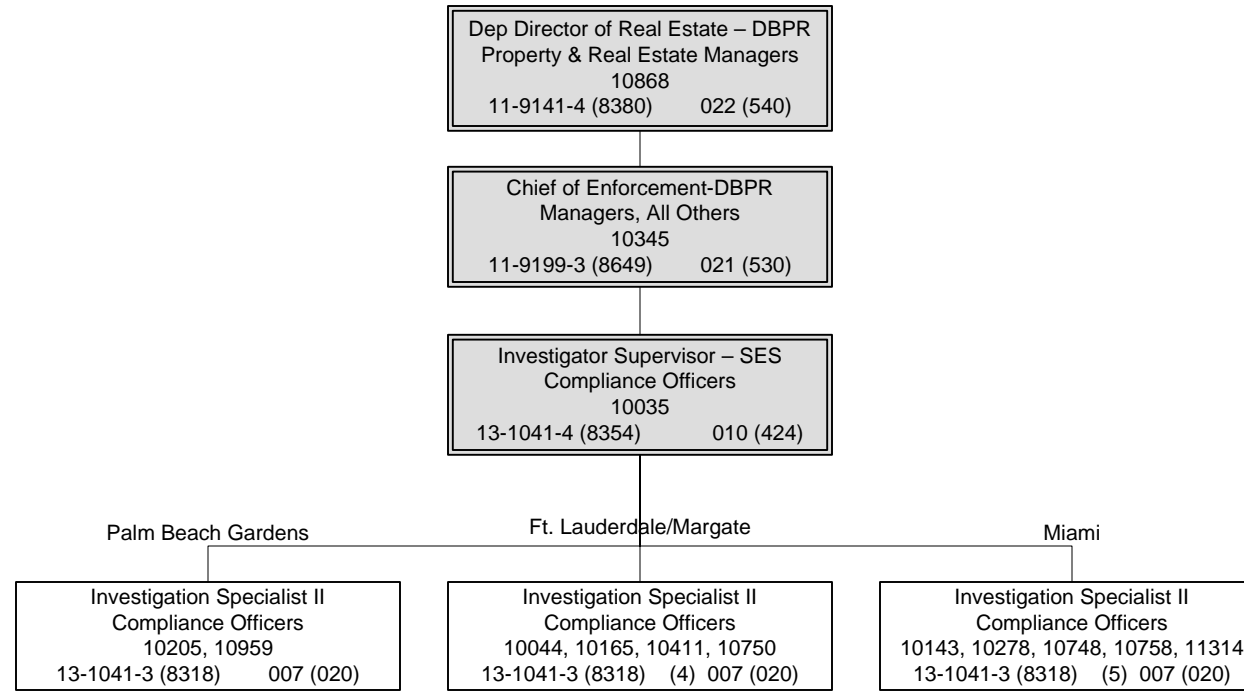


Department of Business & Professional Regulation  
 Division of Real Estate  
 Director's Office  
 Legal Section  
 Applications/Exams  
 Bureau of Enforcement

79  
 70  
 01 01  
 01 02  
 03  
 04

Current: 6-30-09  
 Last updated: 9-05-08

**Division of Real Estate  
 Bureau of Enforcement  
 Southern Region**

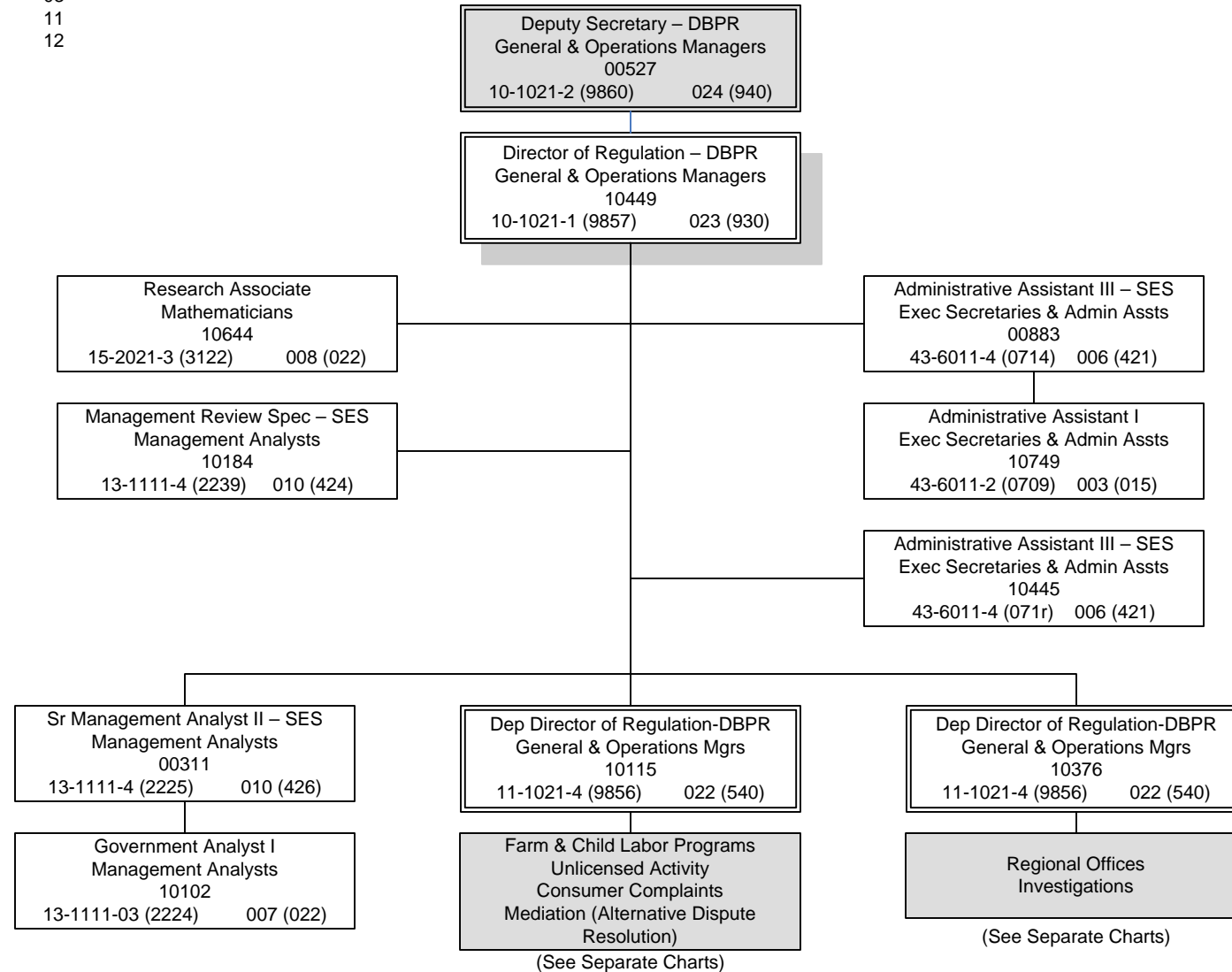


Department of Business & Professional Regulation  
 Division of Regulation  
 Director's Office  
 Inspections  
 Investigative Services  
 Farm Labor  
 Child Labor

79  
 30  
 01  
 02  
 03  
 11  
 12

## Department of Business & Professional Regulation Division of Regulation Director's Office

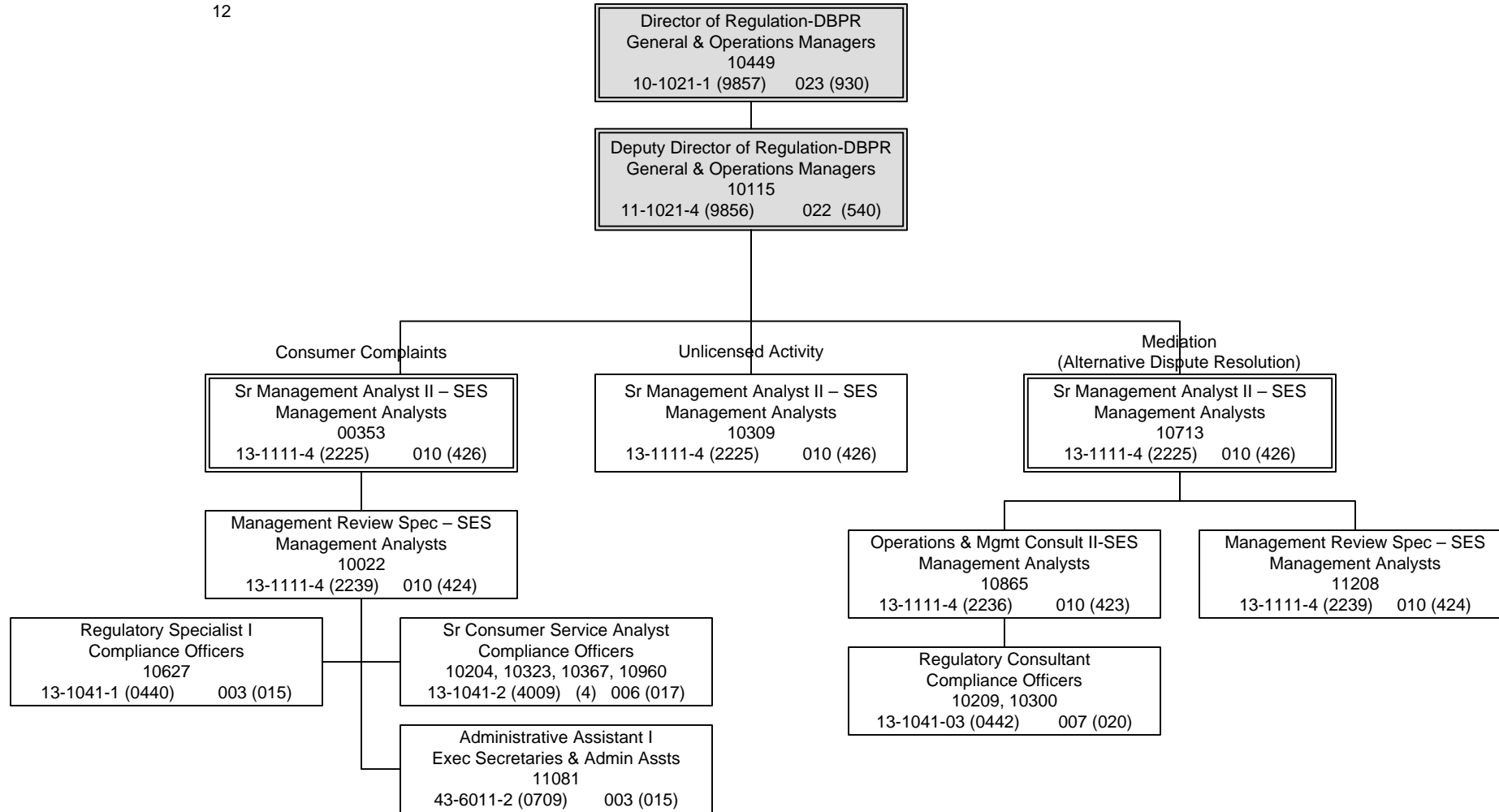
Current: 6-30-09  
 Last Updated: 3-25-09



Department of Business & Professional Regulation 79  
 Division of Regulation 30  
 Director's Office 01  
 Inspections 02  
 Investigative Services 03  
 Farm Labor 11  
 Child Labor 12

Current: 6-30-09  
 Last Updated: 3-25-09

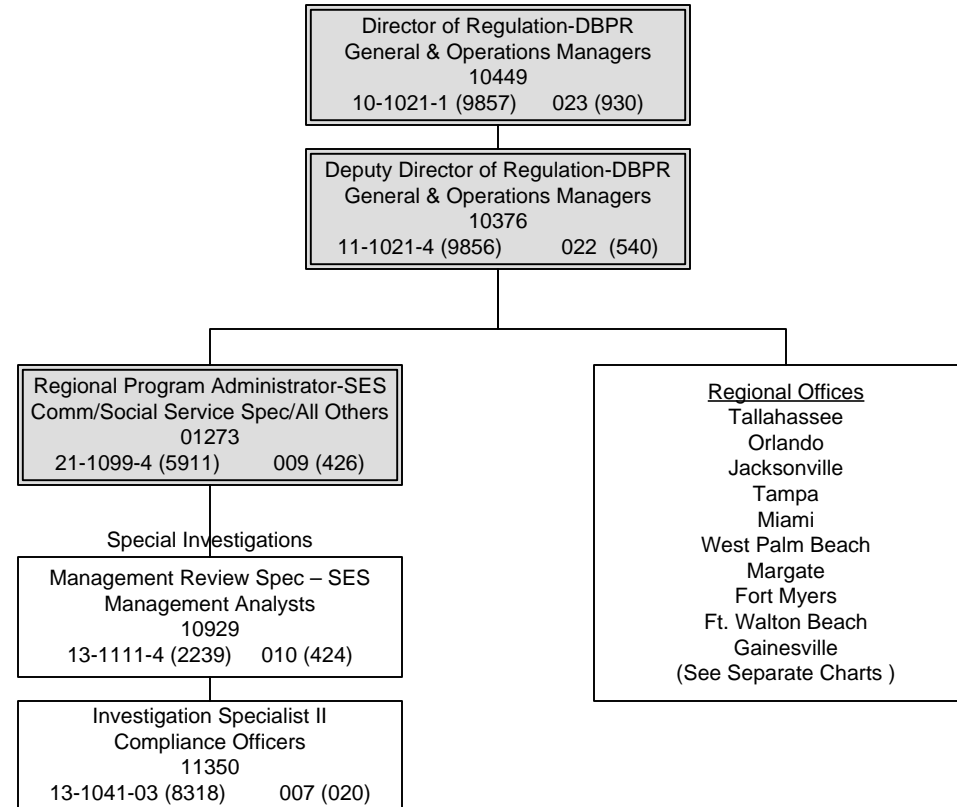
## Division of Regulation Consumer Complaints, Unlicensed Activity, Mediation



Department of Business & Professional Regulation	79
Division of Regulation	30
Director's Office	01
Inspections	02
Investigative Services	03
Tallahassee	01
Orlando	02
Jacksonville	03
Tampa	04
Miami	05
West Palm Beach	06
Margate	07
Fort Myers	08
Fort Walton Beach	09
Gainesville	10

Current: 6-30-09  
Last Updated: 3-25-09

## Division of Regulation Operations - Regional Offices



Note: Positions 10929 and 11350 are funded by Consumer Complaints.

## Division of Regulation Farm Labor / Compliance & Enforcement Regional Offices

Director of Regulation-DBPR  
 General & Operations Managers  
 10449  
 10-1021-1 (9857) 023 (930)

Deputy Director of Regulation-DBPR  
 General & Operations Managers  
 10115  
 11-1021-4 (9856) 022 (540)

US Farm Labor Program Office

Operations & Mgmt Consult Mgr-SES  
 General & Operations Managers  
 11203  
 11-1021-2 (2238) 020 (425)

Investigation Specialist II  
 Compliance Officers  
 10200  
 13-1041-03 (8318) 007 (020)

Sr Word Processing Systems Oper  
 Word Processors & Typists  
 11205  
 43-9022-2 (0093) 003 (012)

**Orlando**  
 Regional Program Admin-SES  
 10264

(See Separate Chart)

Administrative Secretary  
 Exec Secretaries & Admin Assts  
 11209  
 43-6011-2 (0108) 003 (012)

Investigator Supervisor-SES  
 10920

Labor, Empl & Training Specialist  
 Training & Development Spec  
 11239  
 13-1073-3 (3341) 007 (019)

**Tampa**  
 Regional Program Admin-SES  
 01322

(See Separate Chart)

Labor, Empl & Training Specialist  
 Training & Development Spec  
 11211, 11212, 11213, 11214  
 13-1073-3 (3341) (4) 007 (019)

**Fort Myers**

Investigator Supervisor-SES  
 Compliance Officers  
 11204  
 13-1041-4 (8354) 010 (424)

Investigation Specialist II  
 Compliance Officers  
 11216  
 13-1041-03 (8318) 007 (020)

Labor, Empl & Training Specialist  
 Training & Development Spec  
 11210, 11218, 11222  
 13-1073-3 (3341) (3) 007 (019)

**Miami**  
 Regional Program Admin-SES  
 01294

(See Separate Chart)

Investigator Supervisor-SES  
 10087

Labor, Empl & Training Specialist  
 Training & Development Spec  
 11224  
 13-1073-3 (3341) 007 (019)

**Margate**  
 Regional Program Admin-SES  
 01353

(See Separate Chart)

Administrative Secretary  
 Exec Secretaries & Admin Assts  
 11217  
 43-6011-2 (0108) 003 (012)

**West Palm Beach**  
 Regional Program Admin-SES  
 10359

(See Separate Chart)

Labor, Empl & Training Specialist  
 Training & Development Spec  
 11220, 11221, 11223  
 13-1073-3 (3341) (3) 007 (019)

**Gainesville**  
 Regional Program Admin-SES  
 10281

(See Separate Chart)

Labor, Empl & Training Specialist  
 Training & Development Spec  
 11215  
 13-1073-3 (3341) 007 (019)

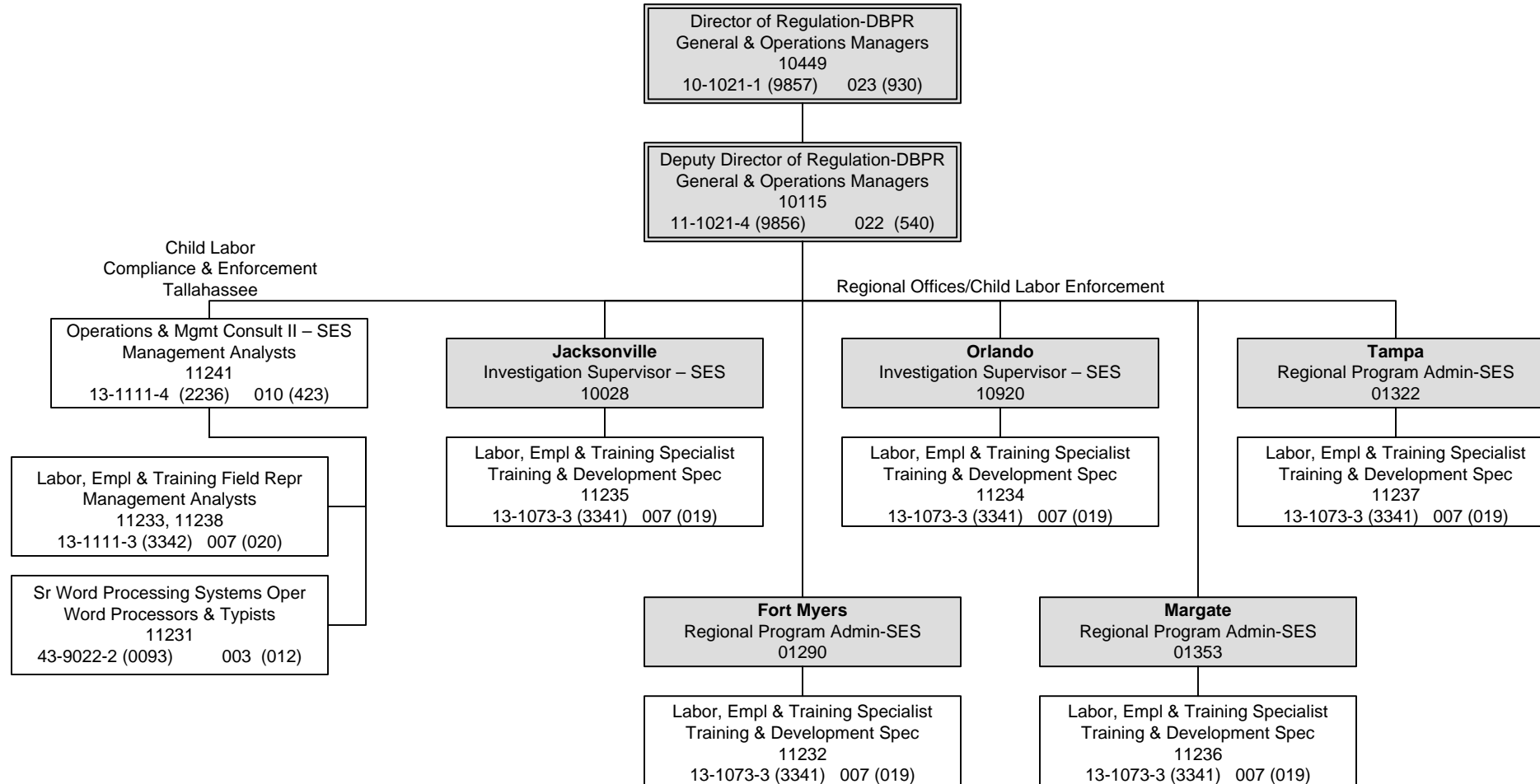
Note: Farm Labor positions in Regional Offices report to local supervisors.



Department of Business & Professional Regulation 79  
 Division of Regulation 30  
 Director's Office 01  
 Inspections 02  
 Investigative Services 03  
 Farm Labor 11  
 Child Labor 12

Current: 6-30-09  
 Last Updated: 3-25-09

## Division of Regulation Compliance & Enforcement Child Labor

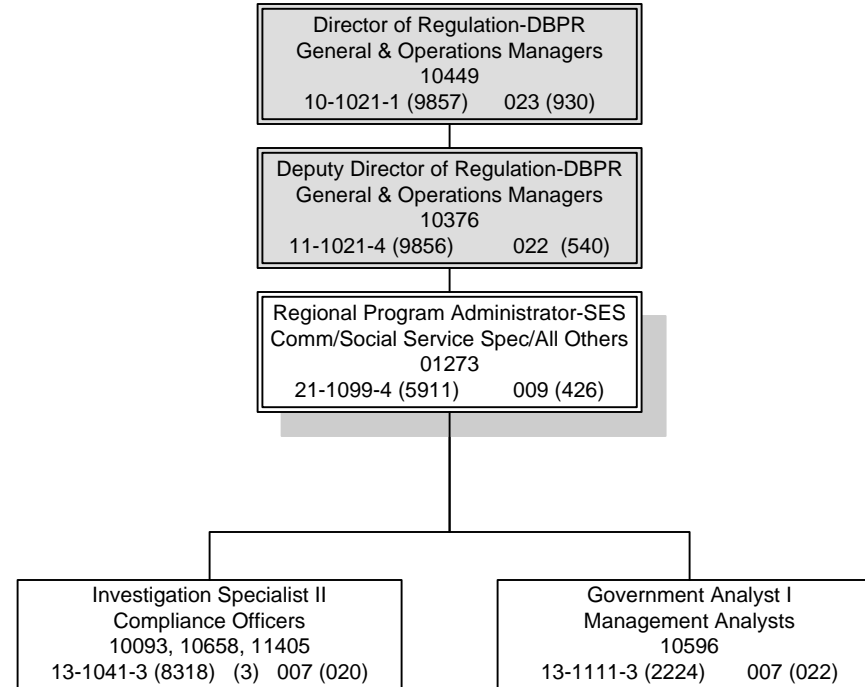


Note: Child Labor positions in Regional Offices report to local supervisors.

Department of Business & Professional Regulation	79
Division of Regulation	30
Investigative Services - Field Offices	03
<b>Tallahassee</b>	<b>01</b>
Orlando	02
Jacksonville	03
Tampa	04
Miami	05
West Palm Beach	06
Margate	07
Fort Myers	08
Fort Walton Beach	09
Gainesville	10

Current: 6-30-09  
 Last Updated: 3-25-09

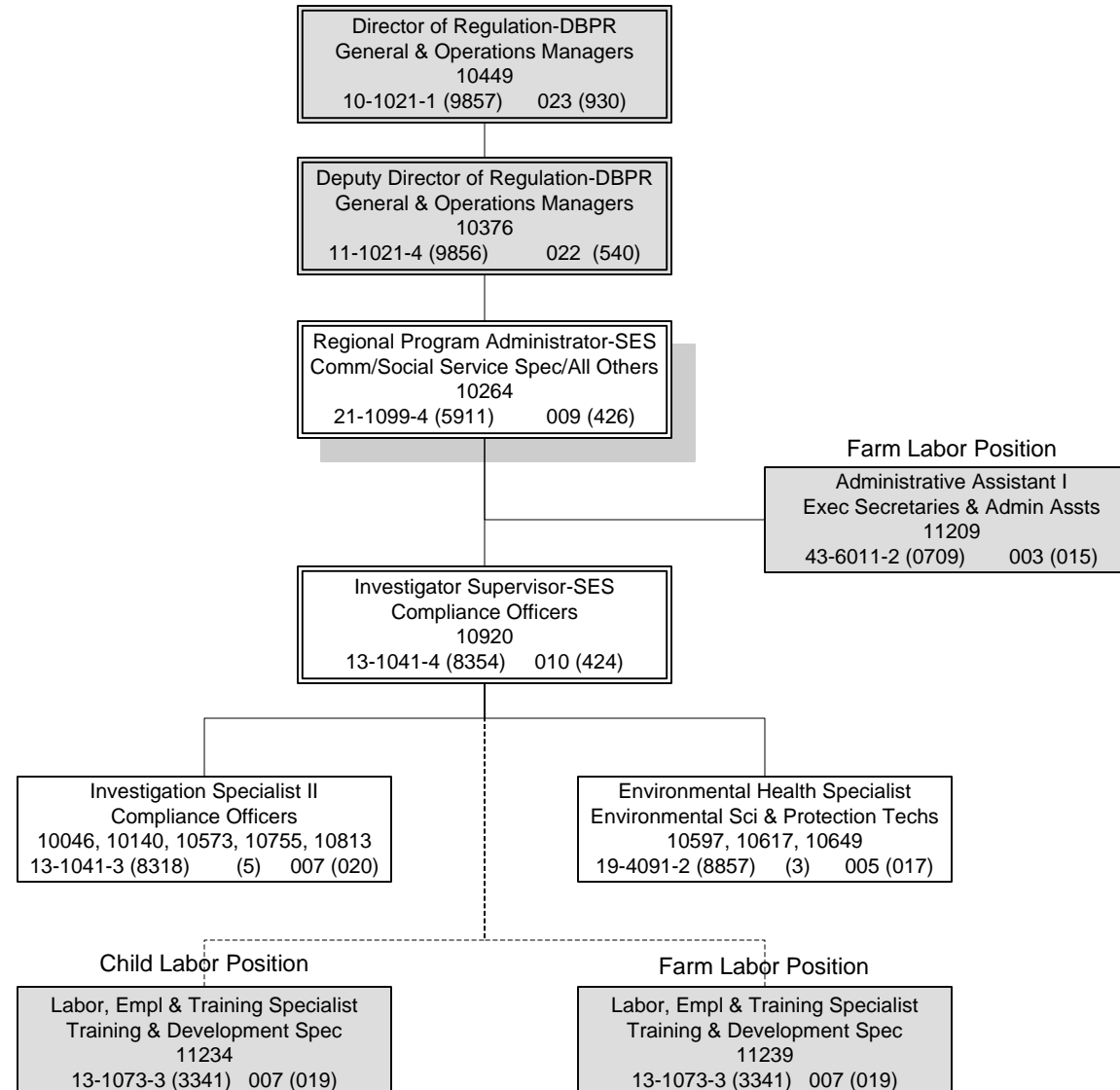
### Division of Regulation Regional Office - Tallahassee



Department of Business & Professional Regulation	79
Division of Regulation	30
Investigative Services - Field Offices	03
<b>Orlando</b>	<b>02</b>
Tallahassee	01
Jacksonville	03
Tampa	04
Miami	05
West Palm Beach	06
Margate	07
Fort Myers	08
Fort Walton Beach	09
Gainesville	10

Current: 6-30-09  
 Last Updated: 3-25-09

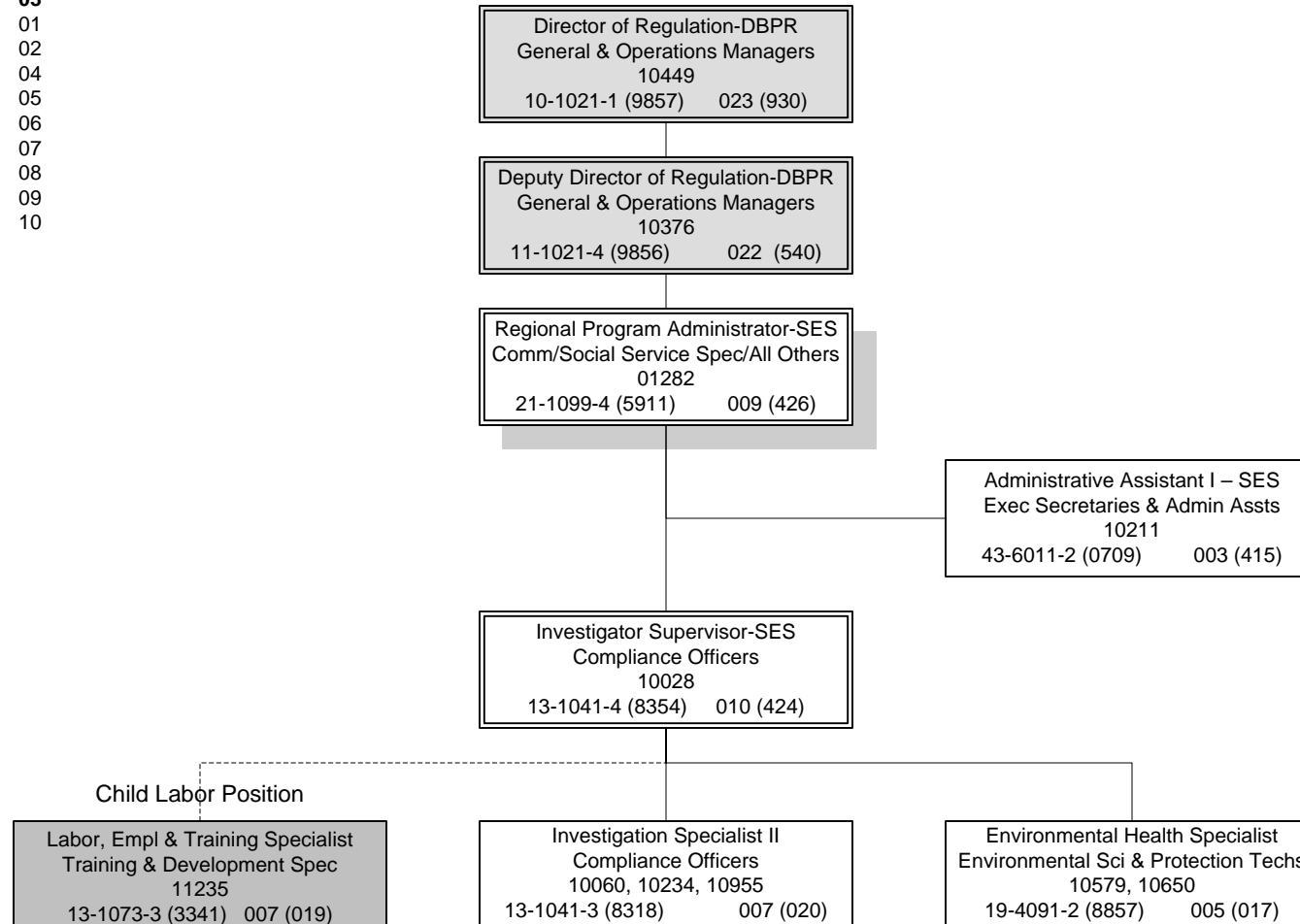
## Division of Regulation Regional Office - Orlando



Department of Business & Professional Regulation	79
Division of Regulation	30
Investigative Services - Field Offices	03
<b>Jacksonville</b>	<b>03</b>
Tallahassee	01
Orlando	02
Tampa	04
Miami	05
West Palm Beach	06
Margate	07
Fort Myers	08
Fort Walton Beach	09
Gainesville	10

## Division of Regulation Regional Office - Jacksonville

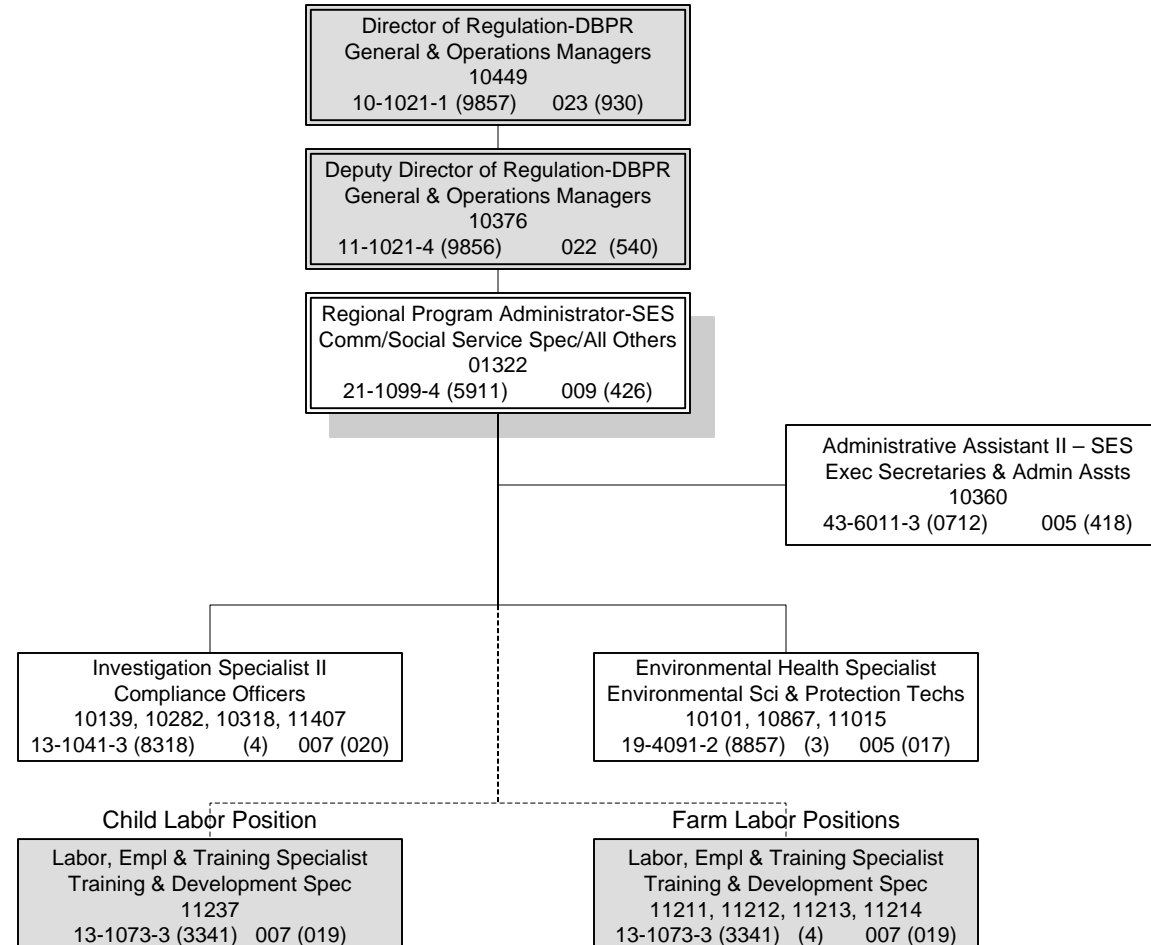
Current: 6-30-09  
Last Updated: 3-25-09



Department of Business & Professional Regulation	79
Division of Regulation	30
Investigative Services - Field Offices	03
<b>Tampa</b>	<b>04</b>
Tallahassee	01
Orlando	02
Jacksonville	03
Miami	05
West Palm Beach	06
Margate	07
Fort Myers	08
Fort Walton Beach	09
Gainesville	10

Current: 6-30-09  
 Last Updated: 3-25-09

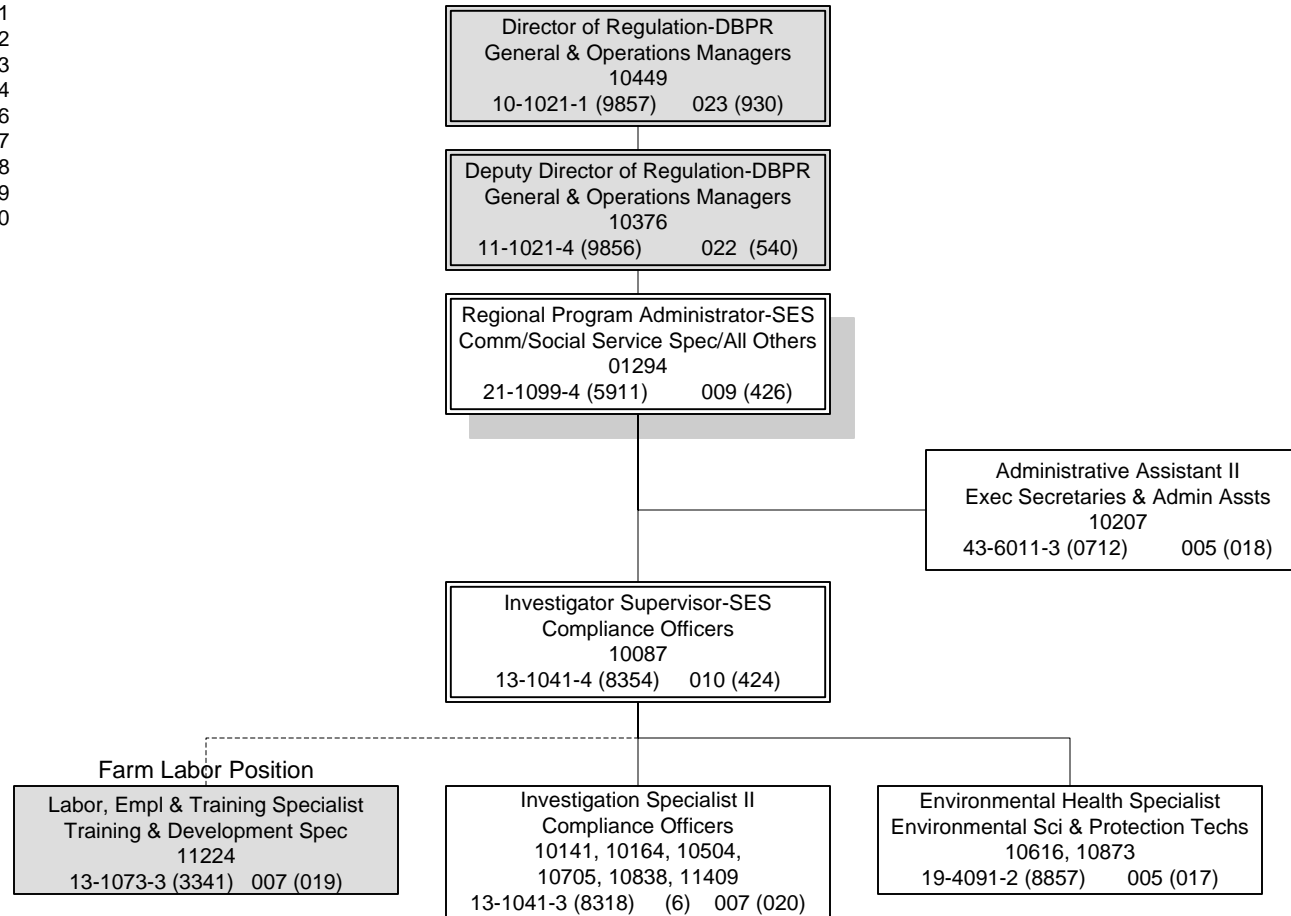
## Division of Regulation Regional Office - Tampa



Department of Business & Professional Regulation	79
Division of Regulation	30
Investigative Services - Field Offices	03
<b>Miami</b>	<b>05</b>
Tallahassee	01
Orlando	02
Jacksonville	03
Tampa	04
West Palm Beach	06
Margate	07
Fort Myers	08
Fort Walton Beach	09
Gainesville	10

## Division of Regulation Regional Office - Miami

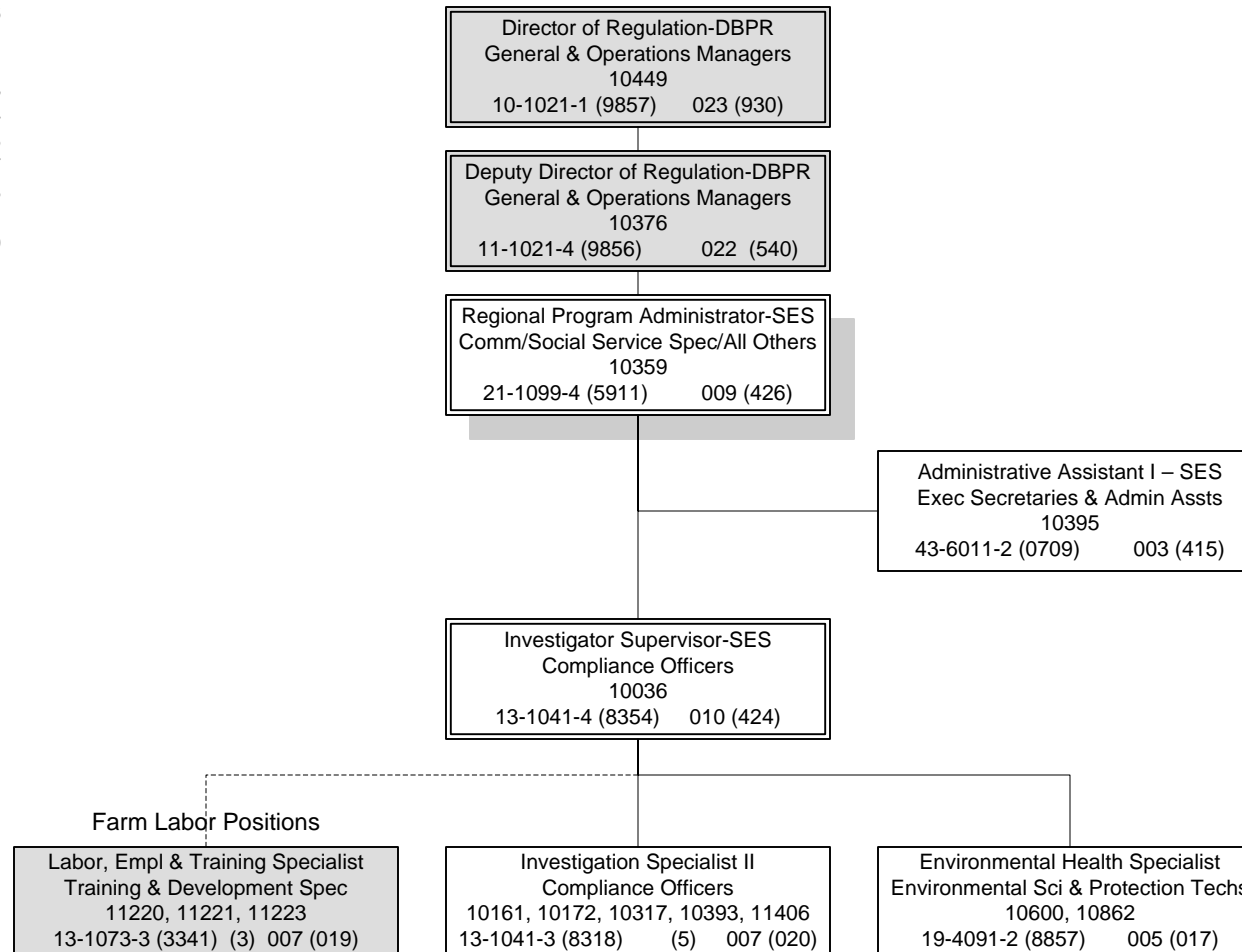
Current: 6-30-09  
Last Updated: 3-25-09



Department of Business & Professional Regulation	79
Division of Regulation	30
Investigative Services - Field Offices	03
<b>West Palm Beach</b>	<b>06</b>
Tallahassee	01
Orlando	02
Jacksonville	03
Tampa	04
Miami	05
Margate	07
Fort Myers	08
Fort Walton Beach	09
Gainesville	10

Current: 6-30-09  
 Last Updated: 3-25-09

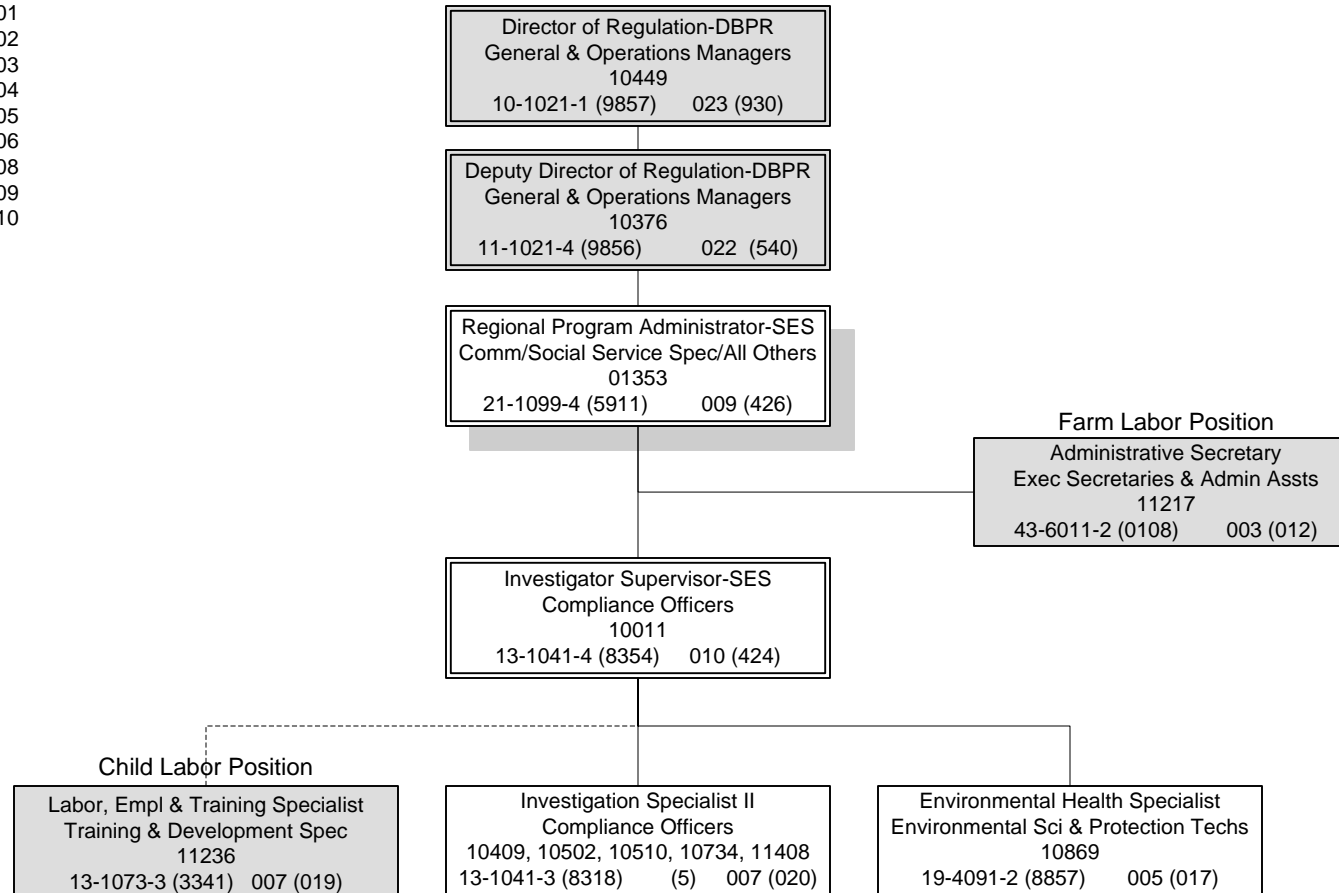
## Division of Regulation Regional Office – West Palm Beach



Department of Business & Professional Regulation 79  
 Division of Regulation 30  
 Investigative Services - Field Offices 03  
**Margate** 07  
 Tallahassee 01  
 Orlando 02  
 Jacksonville 03  
 Tampa 04  
 Miami 05  
 West Palm Beach 06  
 Fort Myers 08  
 Fort Walton Beach 09  
 Gainesville 10

Current: 6-30-09  
 Last Updated: 3-25-09

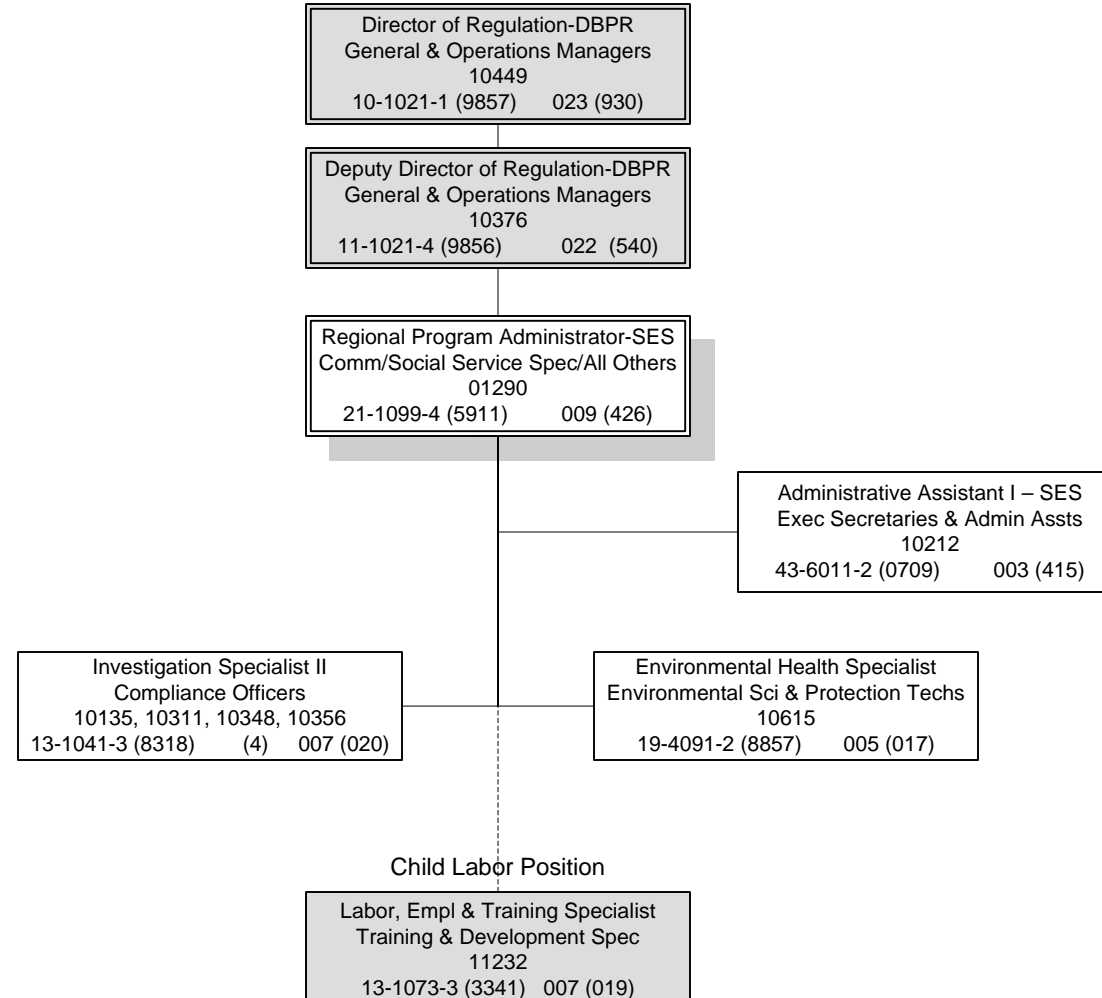
### Division of Regulation Regional Office – Margate





Department of Business & Professional Regulation	79
Division of Regulation	30
Investigative Services - Field Offices	03
<b>Fort Myers</b>	<b>08</b>
Tallahassee	01
Orlando	02
Jacksonville	03
Tampa	04
Miami	05
West Palm Beach	06
Margate	07
Fort Walton Beach	09
Gainesville	10

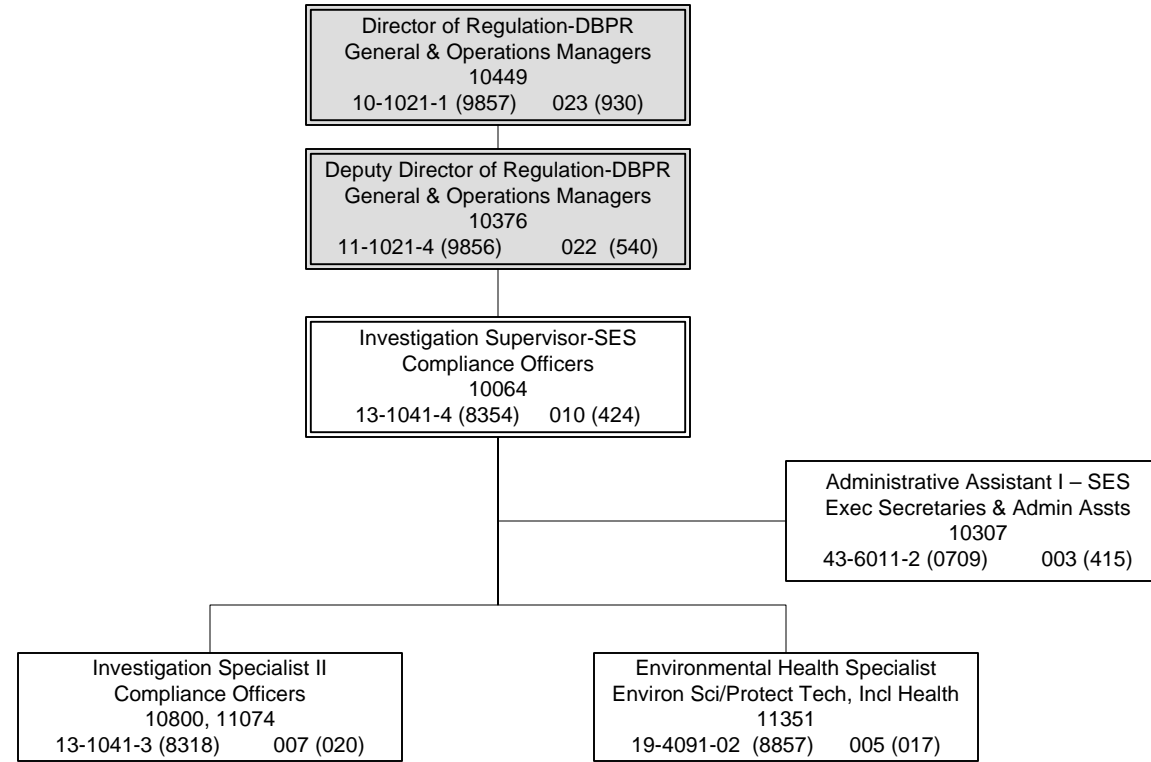
## Division of Regulation Regional Office – Fort Myers



Department of Business & Professional Regulation	79
Division of Regulation	30
Investigative Services - Field Offices	03
<b>Fort Walton Beach</b>	<b>09</b>
Tallahassee	01
Orlando	02
Jacksonville	03
Tampa	04
Miami	05
West Palm Beach	06
Margate	07
Fort Myers	08
Gainesville	10

Current: 6-30-09  
 Last Updated: 3-25-09

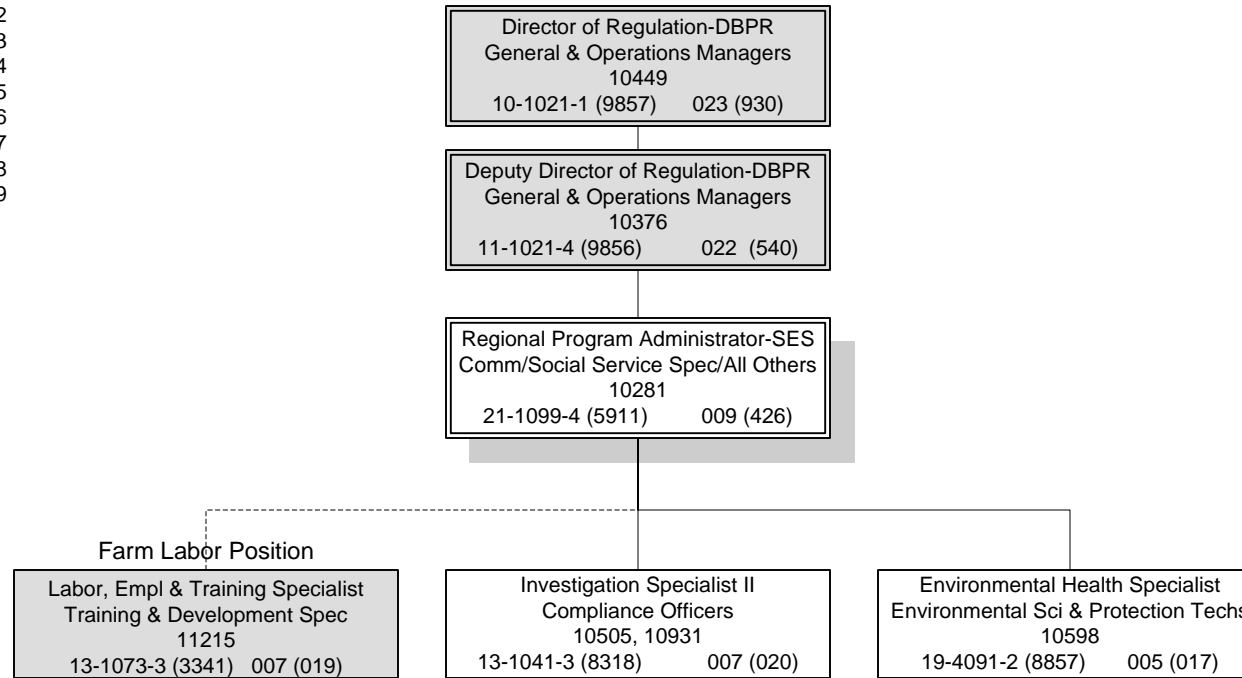
## Division of Regulation Regional Office – Fort Walton Beach



Department of Business & Professional Regulation	79
Division of Regulation	30
Investigative Services - Field Offices	03
<b>Gainesville</b>	<b>10</b>
Tallahassee	01
Orlando	02
Jacksonville	03
Tampa	04
Miami	05
West Palm Beach	06
Margate	07
Fort Myers	08
Fort Walton Beach	09

Current: 6-30-09  
Last Updated: 3-25-09

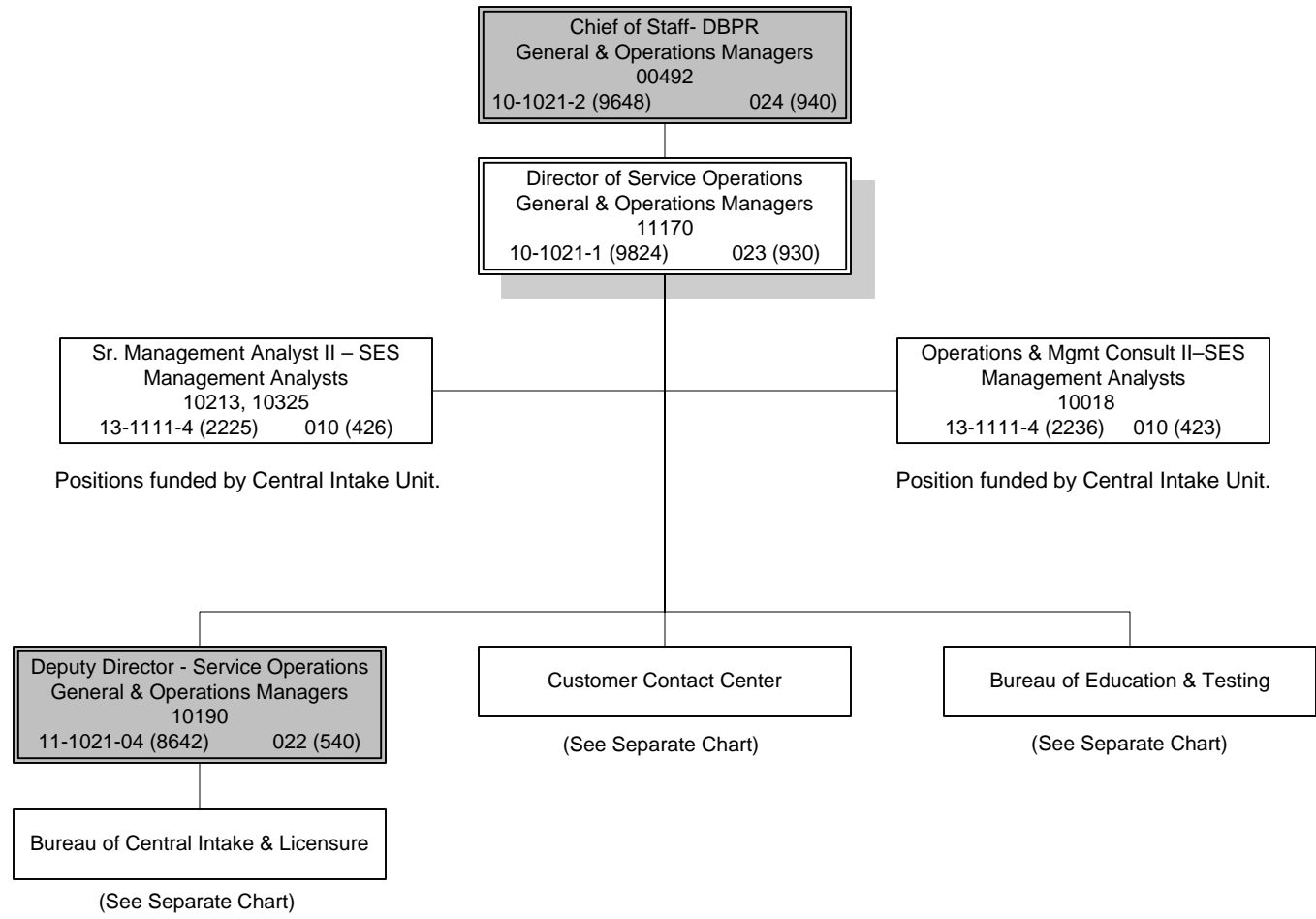
### Division of Regulation Regional Office – Gainesville



Department of Business & Professional Regulations 79  
 Division of Service Operations 04  
 Bureau of Customer Contact 01  
 Bureau of Central Intake & Licensure 02  
 Bureau of Education & Testing 04

**Department of Business & Professional Regulation**  
**Division of Service Operations**  
**Director's Office**

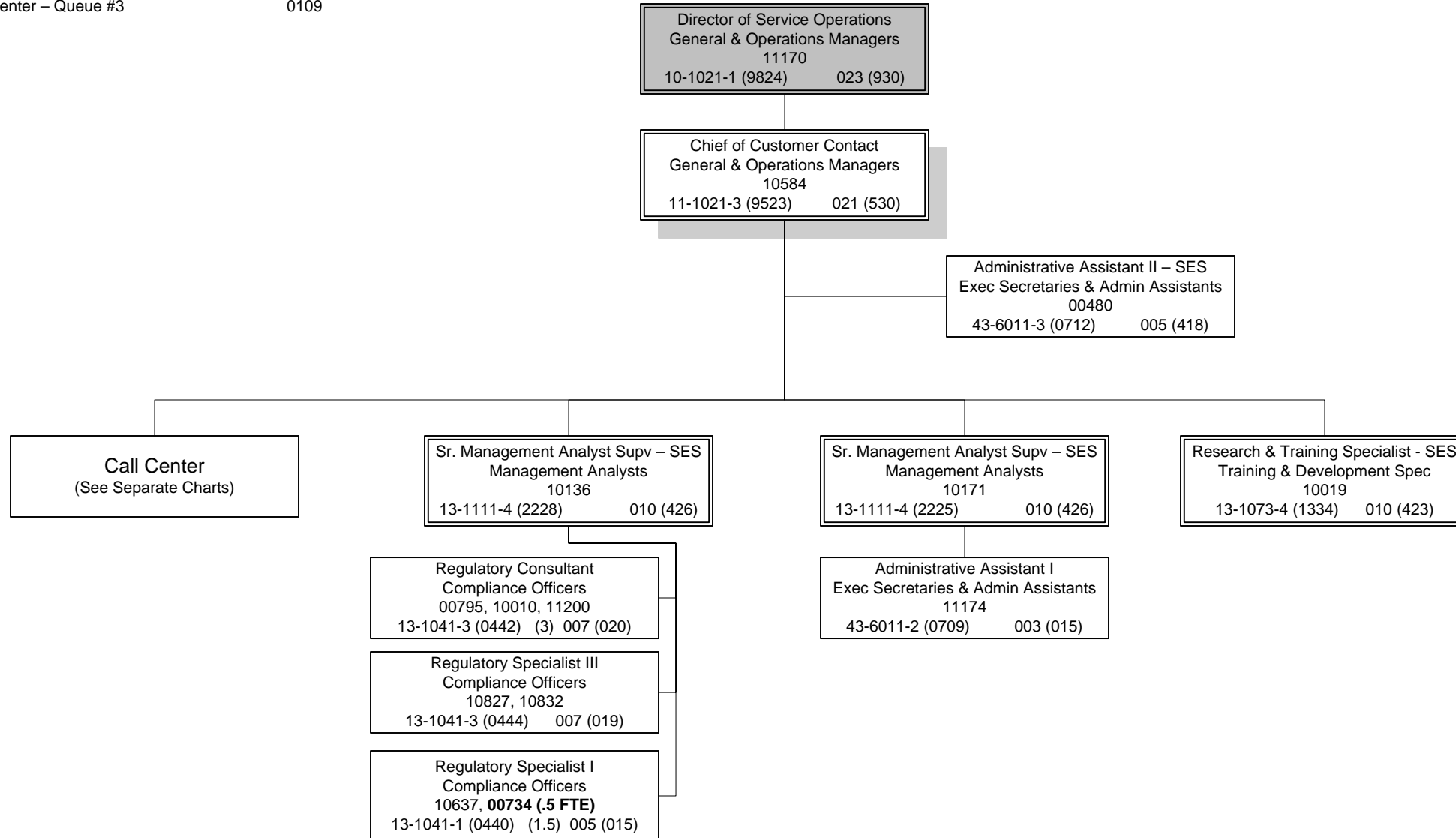
Current: 6-30-09  
 Last updated: 2-26-09



Department of Business & Professional Regulations 79  
 Division of Service Operations 04  
 Bureau of Customer Contact 01  
 Customer Contact Center – Queue #1 0107  
 Customer Contact Center – Queue #2 0108  
 Customer Contact Center – Queue #3 0109

**Division of Service Operations**  
**Customer Contact Center**  
**Chief's Office**

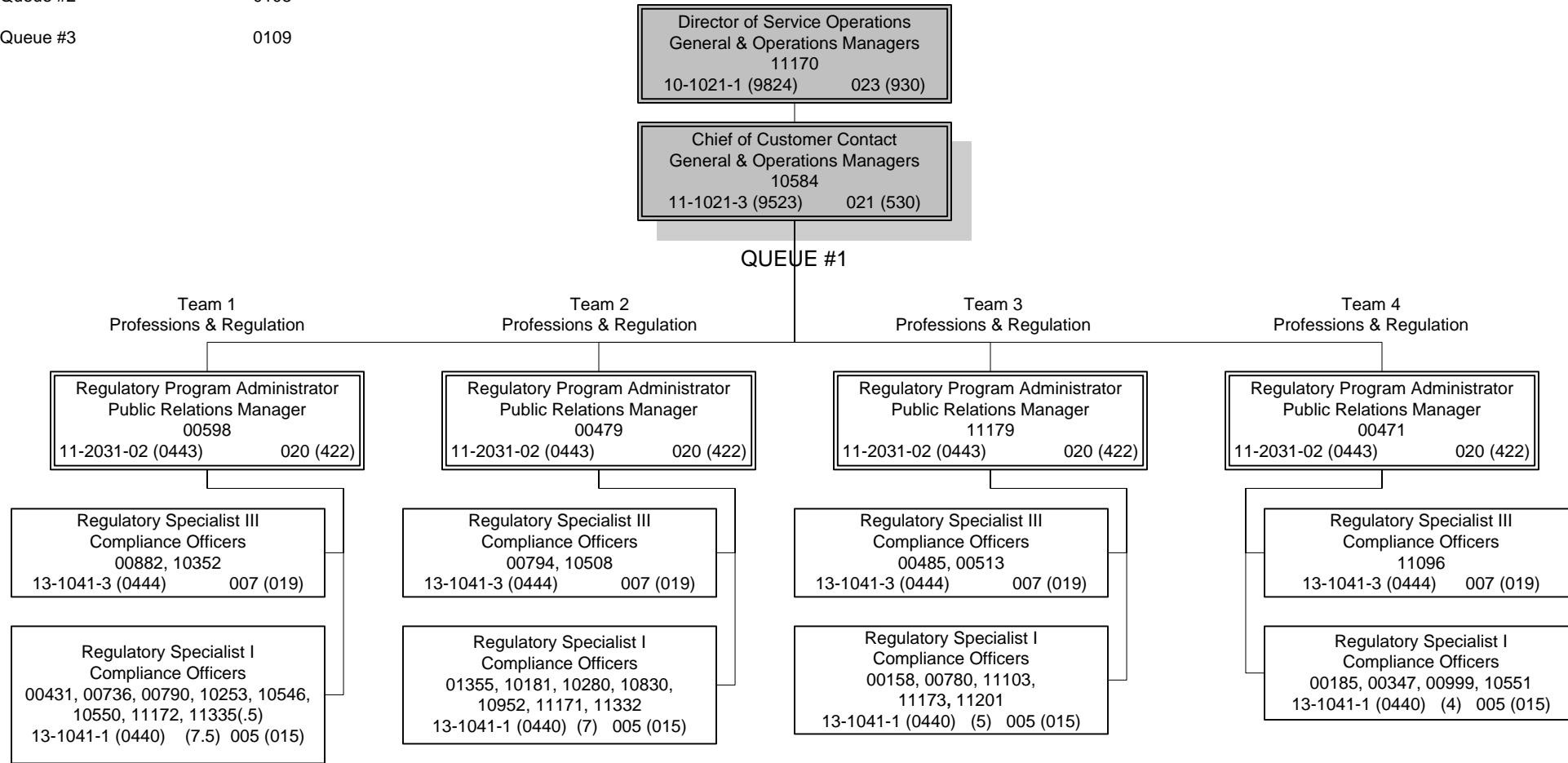
Current: 6-30-09  
 Last updated: 2-26-09



Department of Business & Professional Regulations 79  
 Division of Service Operations 04  
 Bureau of Customer Contact 01  
 Customer Contact Center – Queue #1 0107  
 Teams 1-4  
 Customer Contact Center – Queue #2 0108  
 Teams 5-6  
 Customer Contact Center – Queue #3 0109  
 Team 7

## Division of Service Operations Customer Contact Center

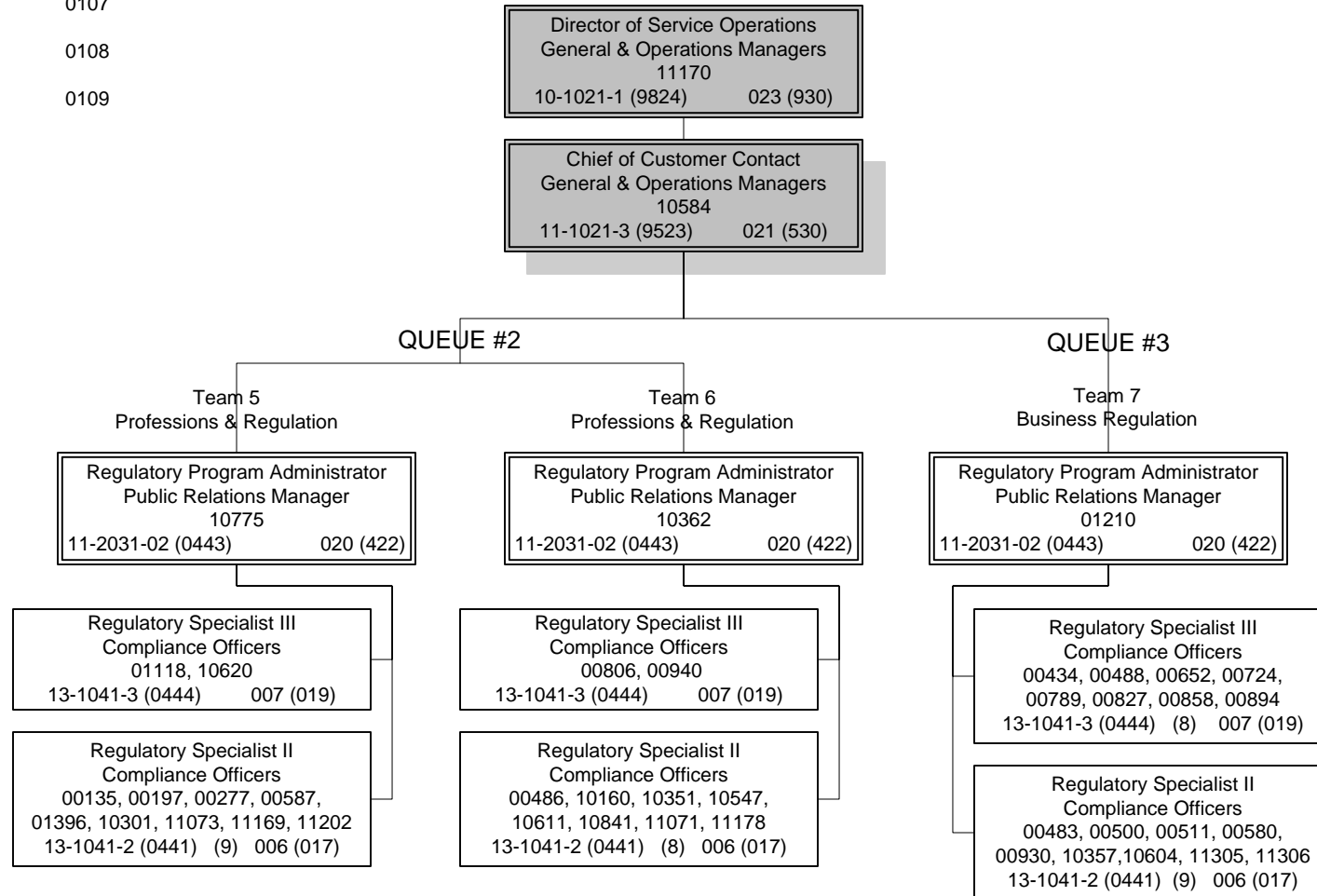
Current: 6-30-09  
 Last updated: 2-26-09



Department of Business & Professional Regulations 79  
 Division of Service Operations 04  
 Bureau of Customer Contact 01  
 Customer Contact Center – Queue #1 0107  
     Teams 1-4  
 Customer Contact Center – Queue #2 0108  
     Teams 5-6  
 Customer Contact Center – Queue #3 0109  
     Team 7

## Division of Service Operations Customer Contact Center

Current: 6-30-09  
 Last updated: 2-26-09

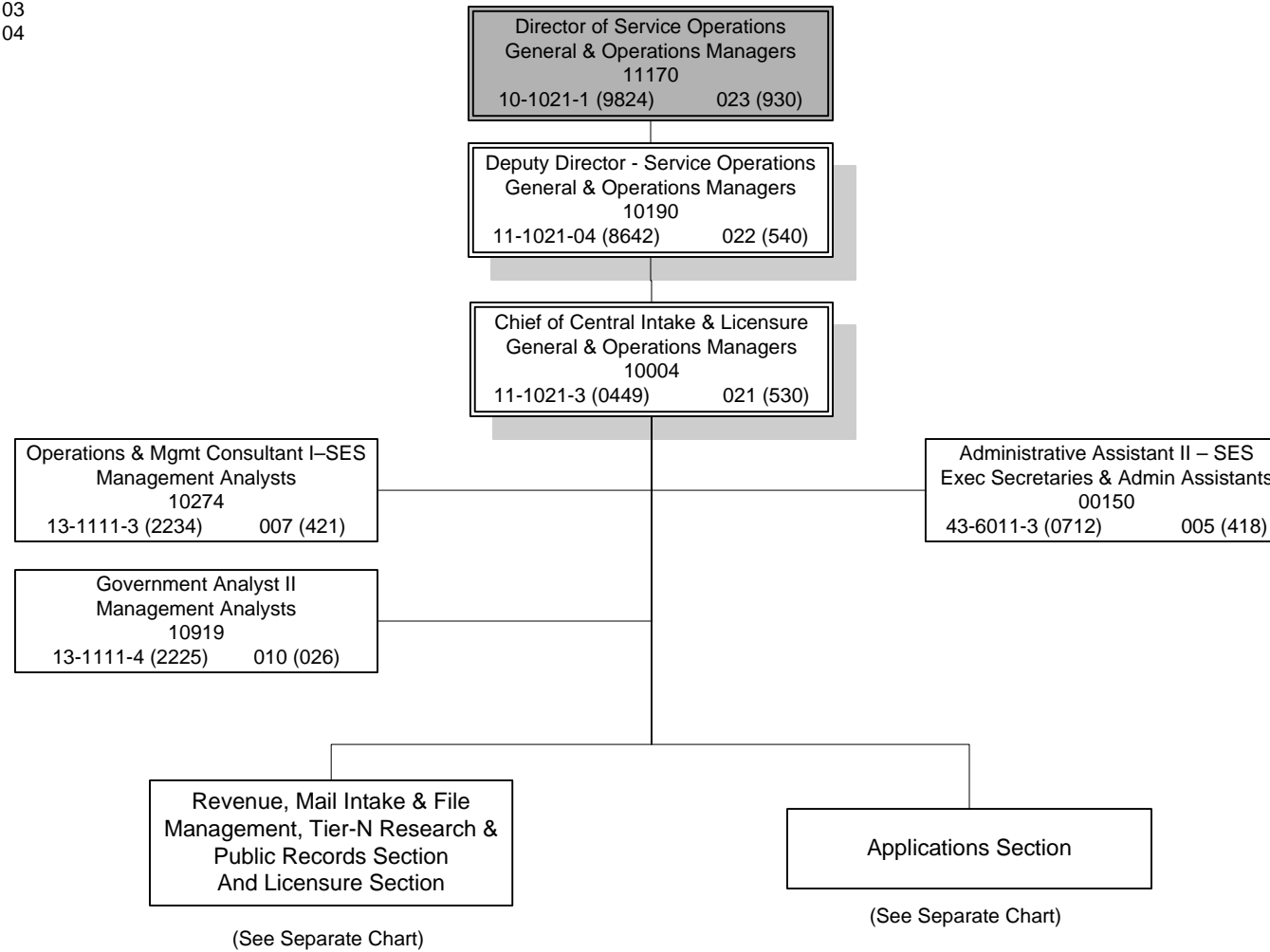


Department of Business & Professional Regulations 79  
 Division of Service Operations 04  
 Bureau of Central Intake & Licensure 02  
 CIU – Administration 02 01  
 CIU – Revenue 02 02  
 CIU – Application 02 03  
 CIU – Licensure 02 04

**Division of Service Operations**  
**Central Intake & Licensure**  
**Chief's Office**

Current: 6-30-09  
 Last updated: 8-06-08

Position numbers 10018, 10213 and 10325 are assigned  
 to the DSO Director's Office.





Department of Business & Professional Regulations 79  
 Division of Service Operations 04  
 Bureau of Central Intake & Licensure 02  
 CIU – Administration 02 01  
 CIU – Revenue 02 02  
 CIU – Application 02 03  
 CIU – Licensure 02 04

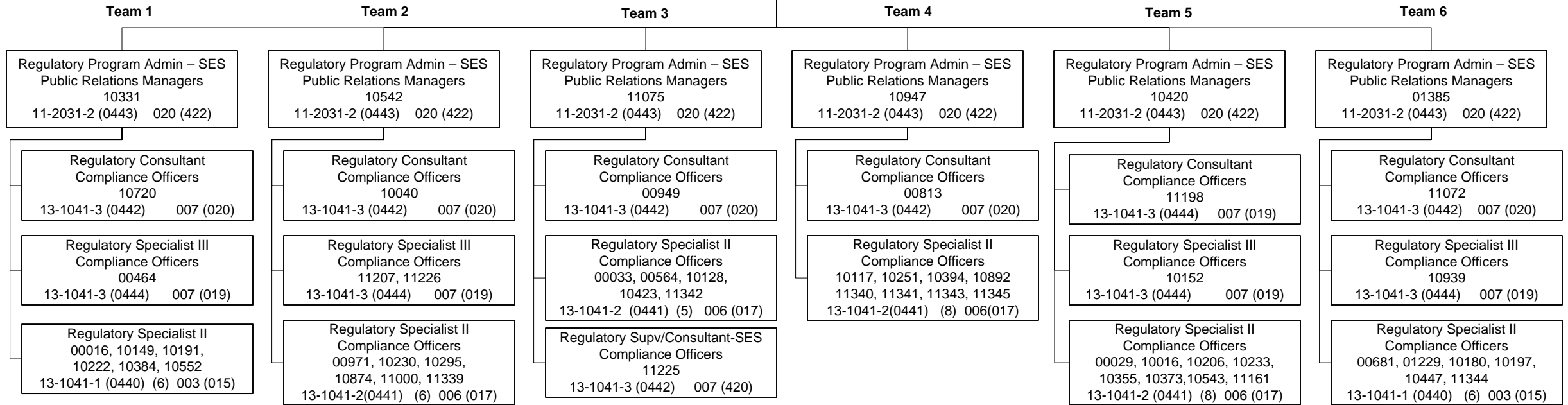
## Division of Service Operations Central Intake & Licensure Applications

Current: 6-30-09  
 Last updated: 8-06-08

Deputy Director - Service Operations  
 General & Operations Managers  
 10190  
 11-1021-04 (8642) 022 (540)

Chief of Central Intake & Licensure  
 General & Operations Managers  
 10004  
 11-1021-3 (0449) 021 (530)

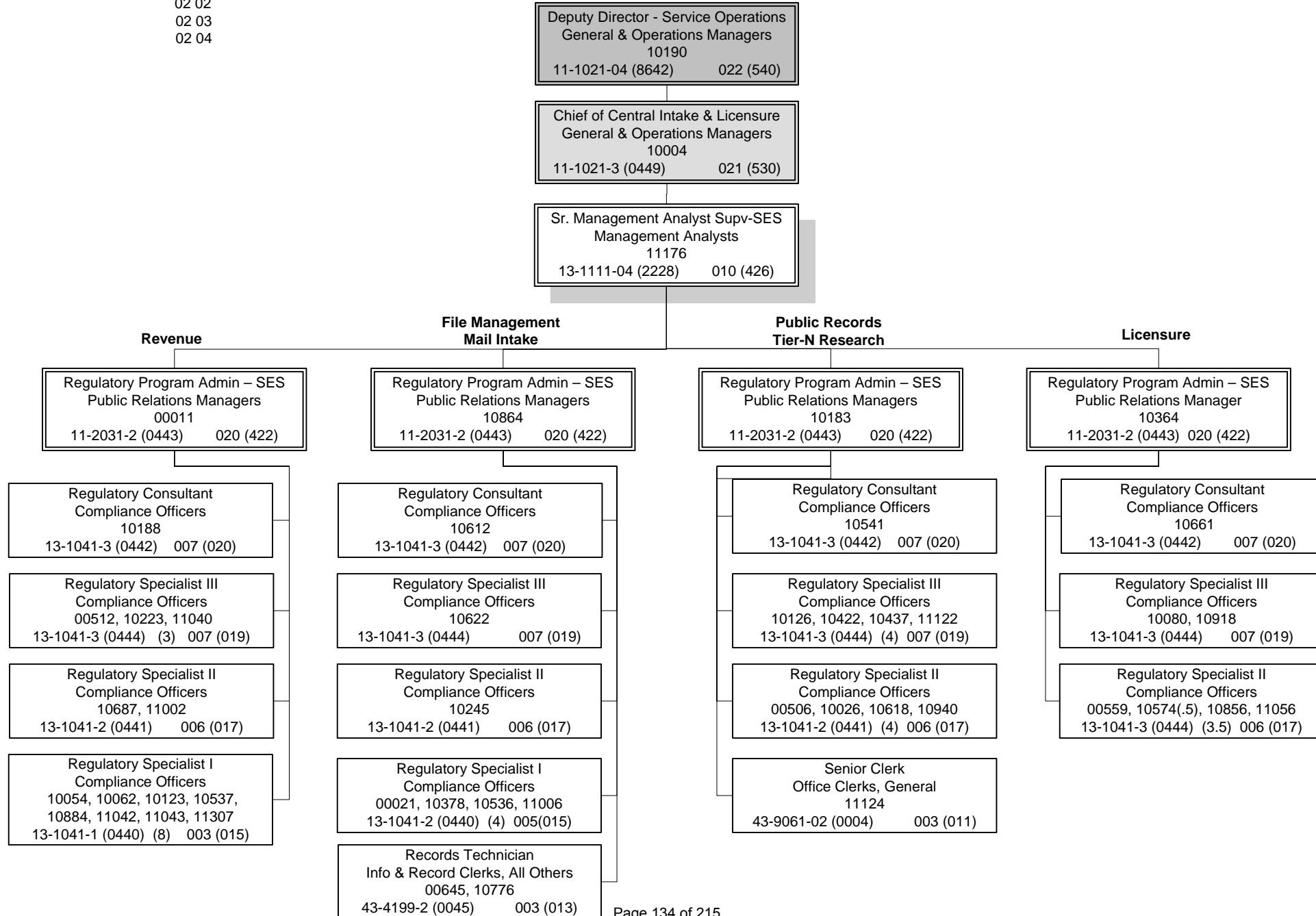
Sr. Management Analyst Supv-SES  
 Management Analysts  
 10439  
 13-1111-4 (2228) 010 (426)



Department of Business & Professional Regulations 79  
 Division of Service Operations 04  
 Bureau of Central Intake & Licensure 02  
 CIU – Administration 02 01  
 CIU – Revenue 02 02  
 CIU – Application 02 03  
 CIU – Licensure 02 04

**Division of Service Operations**  
**Central Intake & Licensure**  
**Revenue/Administration/File Management**

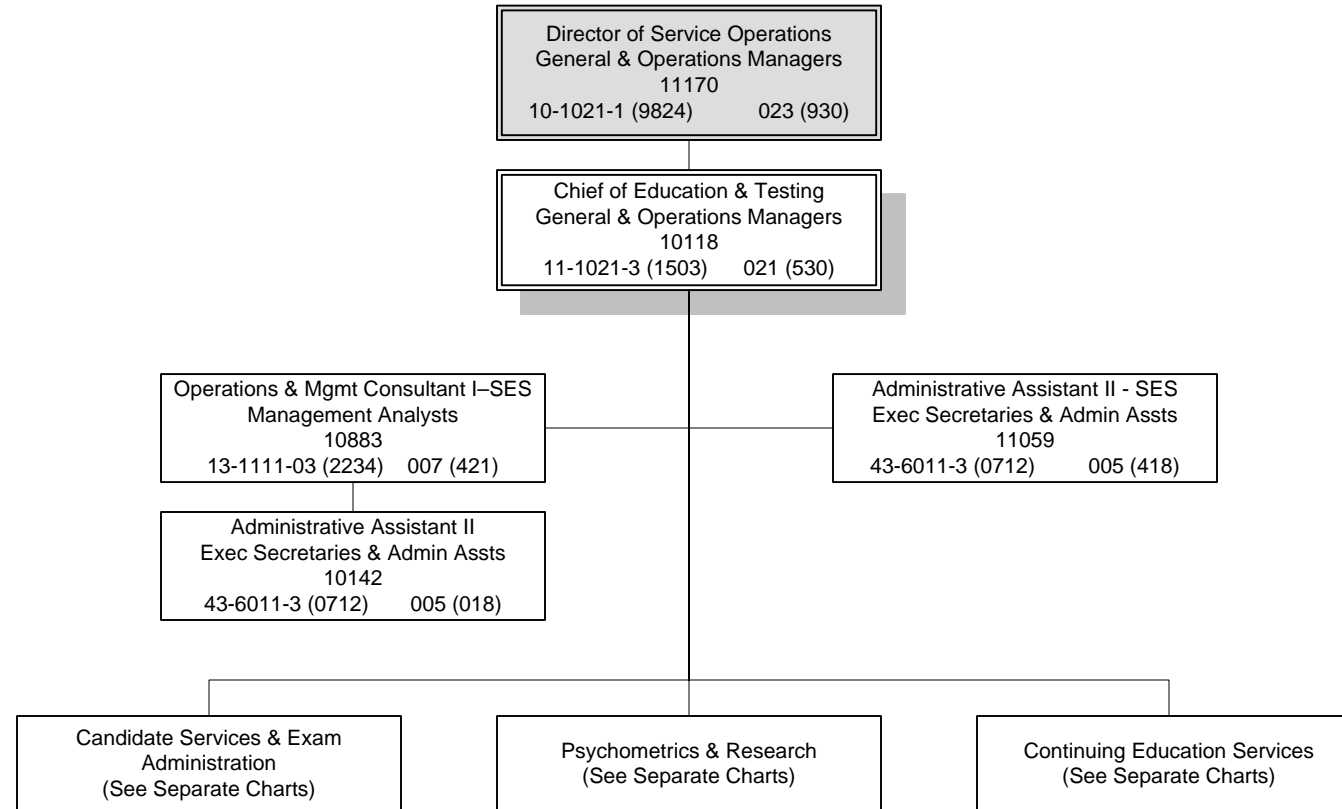
Current: 6-30-09  
 Last updated: 8-06-08



Department of Business & Professional Regulations 79  
 Division of Service Operations 04  
 Bureau of Education & Testing 04  
 BET – Psychometrics & Research 04 02  
 BET – Candidate Services 04 03  
 BET – Continuing Education Unit 04 06

Current: 6-30-09  
 Last updated: 8-06-08

## Division of Service Operations Bureau of Education & Testing Chief's Office

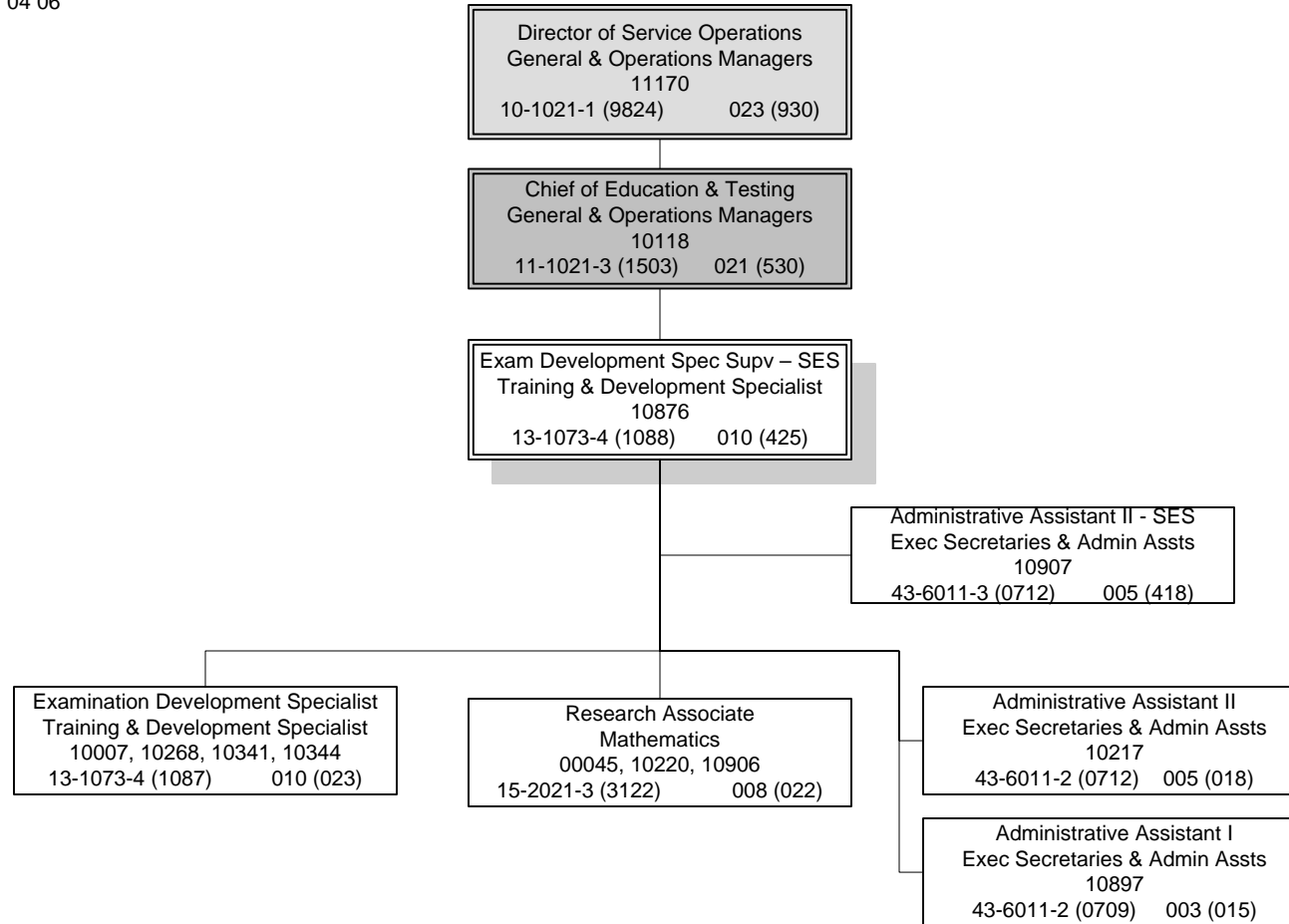


Department of Business & Professional Regulations  
 Division of Service Operations  
 Bureau of Education & Testing  
 BET – Psychometrics & Research  
 BET – Candidate Services  
 BET – Continuing Education Unit

79  
 04  
 04  
 04 02  
 04 03  
 04 06

Current: 6-30-09  
 Last updated: 8-06-08

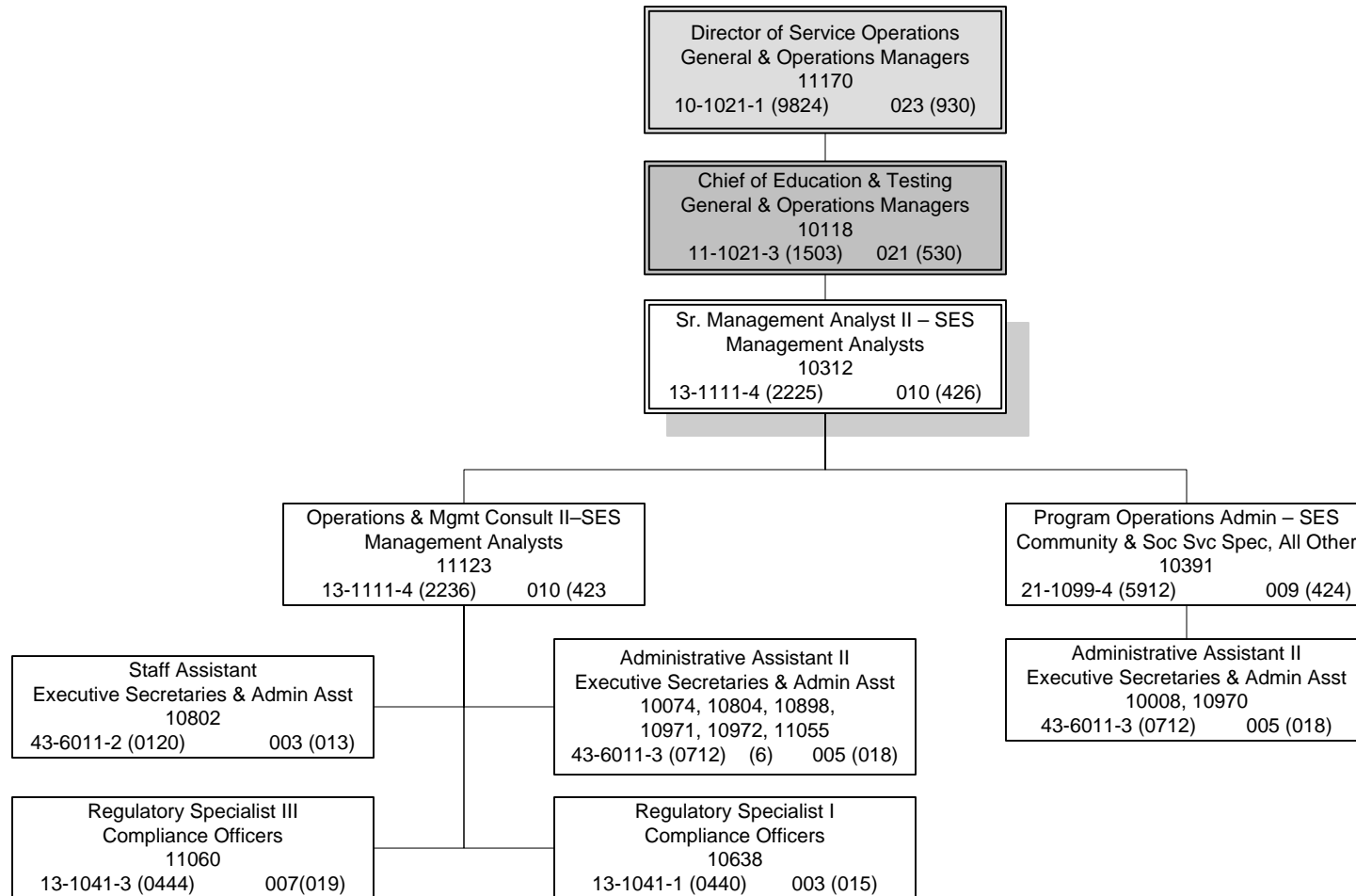
## Bureau of Education & Testing Psychometrics & Research



Department of Business & Professional Regulations 79  
 Division of Service Operations 04  
 Bureau of Education & Testing 04  
 BET – Psychometrics & Research 04 02  
 BET – Candidate Services 04 03  
 BET – Continuing Education Unit 04 06

Current: 6-30-09  
 Last updated: 8-06-08

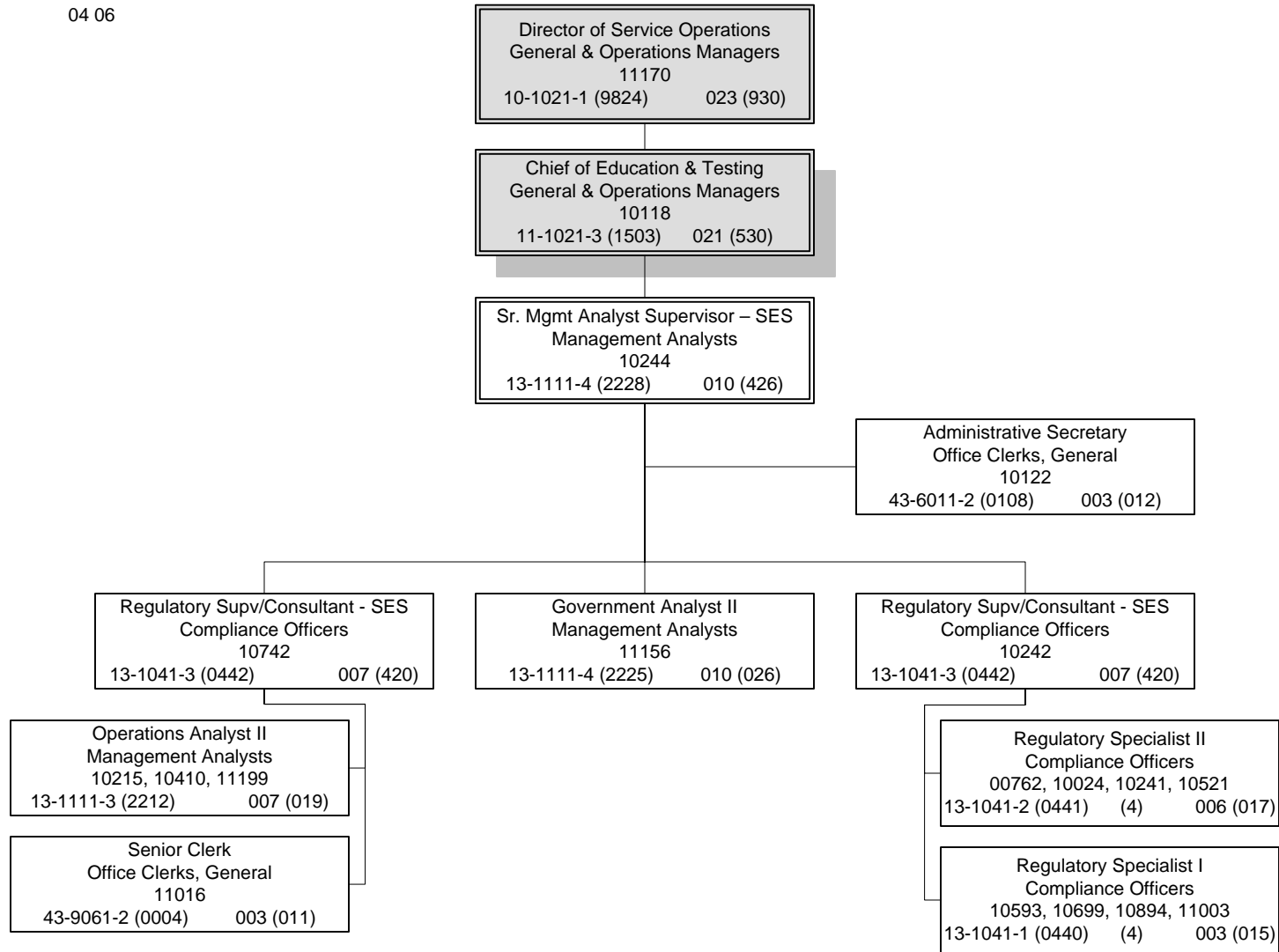
### Division of Service Operations Bureau of Education & Testing Candidate Services & Exam Administration



Department of Business & Professional Regulations 79  
 Division of Service Operations 04  
 Bureau of Education & Testing 04  
 BET – Psychometrics & Research 04 02  
 BET – Candidate Services 04 03  
 BET – Continuing Education Unit 04 06

**Division of Service Operations**  
**Bureau of Education & Testing**  
**Continuing Education Unit**

Current: 6-30-09  
 Last updated: 8-06-08

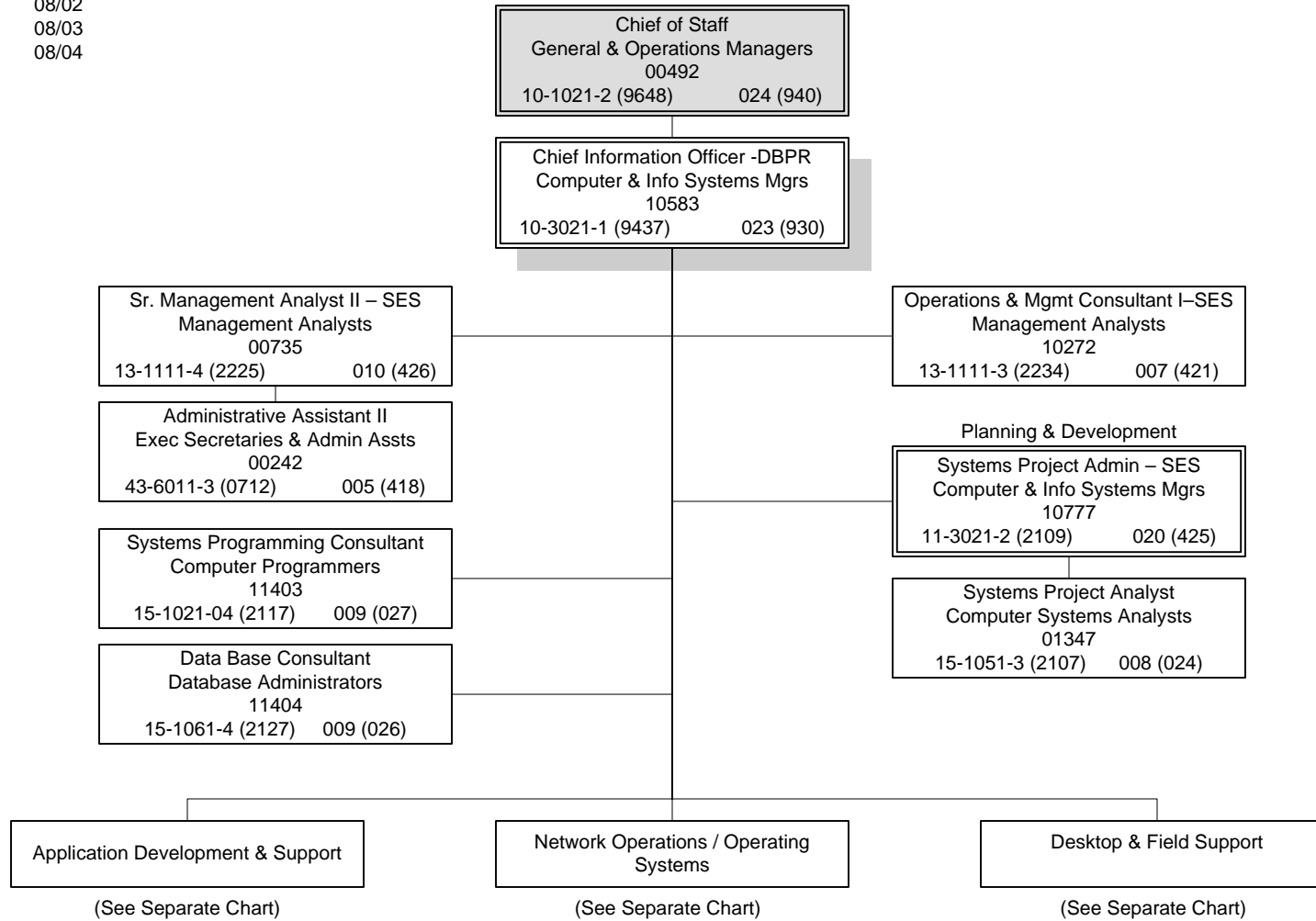


Department of Business & Professional Regulations  
 Division of Technology  
 Development/Production Support  
 Architecture/Infrastructure  
 Help Desk/Field Support

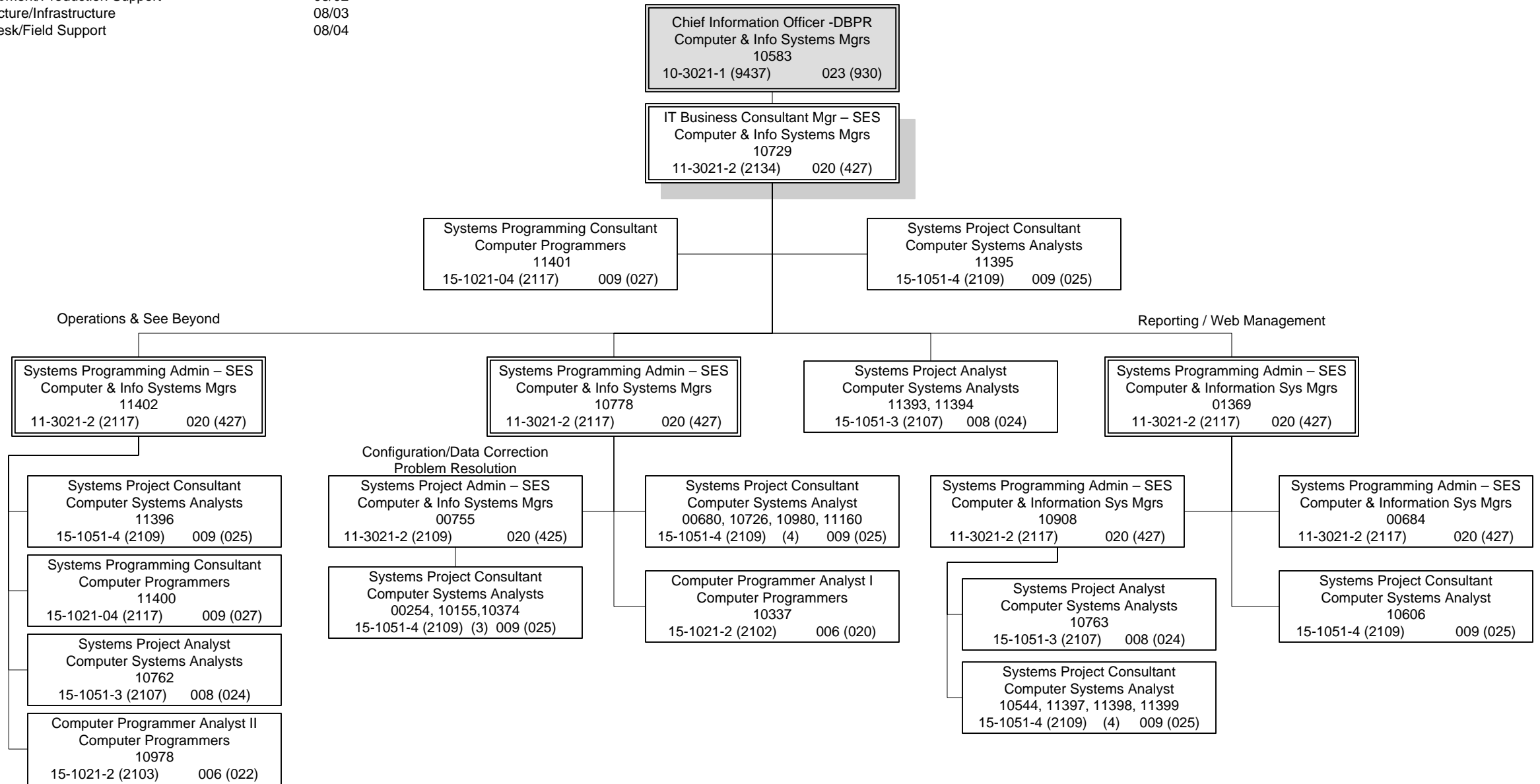
79  
 08/01  
 08/02  
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 08/04

## Department of Business and Professional Regulation Division of Technology

Current: 6-30-09  
 Last updated: 2-10-09

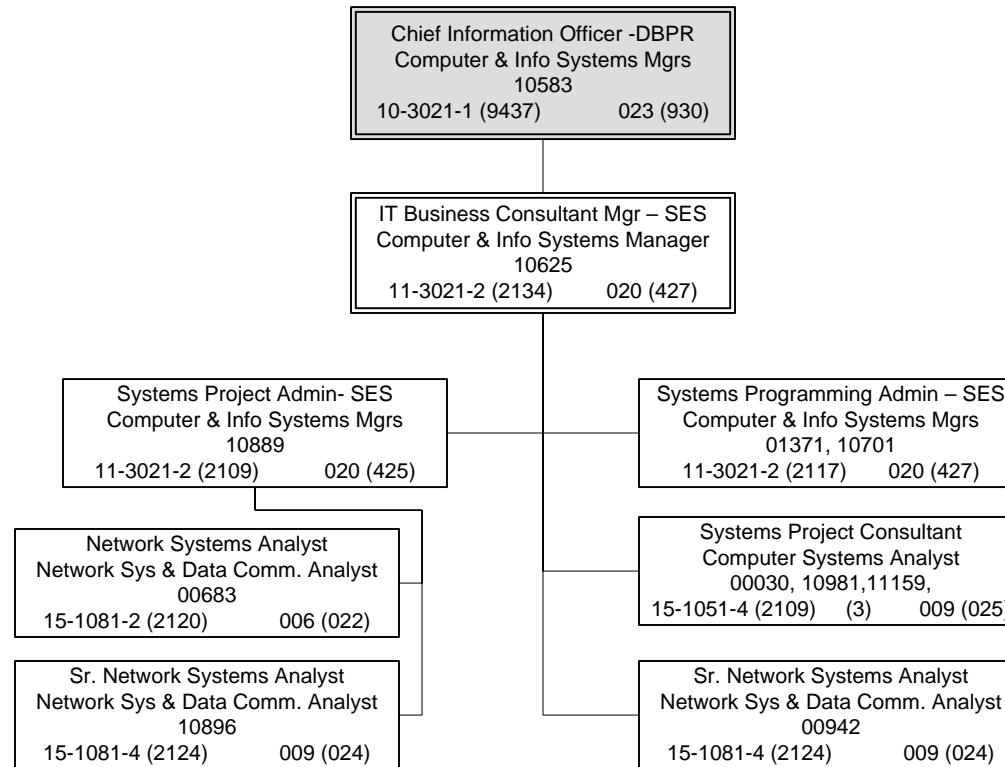


## Division of Technology Application Development & Support





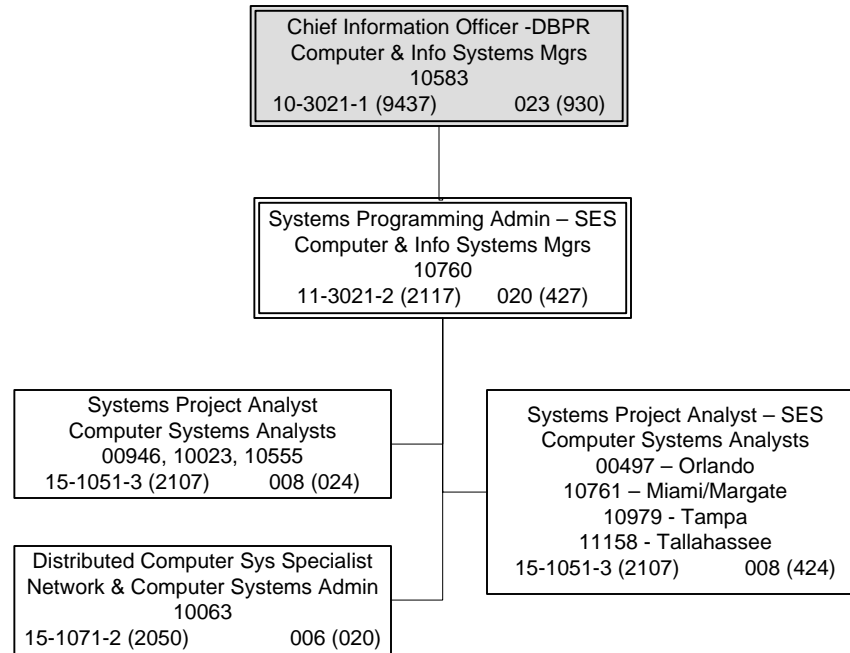
## Division of Technology Network Operations / Operating Systems



Department of Business & Professional Regulations 79  
 Division of Technology 08/01  
 Development/Production Support 08/02  
 Architecture/Infrastructure 08/03  
 Help Desk/Field Support 08/04

## Division of Technology Desktop and Field Support

Current: 6-30-09  
 Last updated: 2-10-09





## Schedule XI Agency-Level Unit Cost Summary

BUSINESS AND PROFESSIONAL REGULATION, DEPARTMENT OF		FISCAL YEAR 2008-09			
SECTION I: BUDGET		OPERATING		FIXED CAPITAL OUTLAY	
TOTAL ALL FUNDS GENERAL APPROPRIATIONS ACT		139,898,350		0	
ADJUSTMENTS TO GENERAL APPROPRIATIONS ACT (Supplementals, Vetoes, Budget Amendments, etc.)		-1,822,577		0	
FINAL BUDGET FOR AGENCY		138,075,773		0	
SECTION II: ACTIVITIES * MEASURES		Number of Units	(1) Unit Cost	(2) Expenditures (Allocated)	(3) FCO
<i>Executive Direction, Administrative Support and Information Technology (2)</i>					0
Licensure/Revenue * Number of transactions processed		834,755	4.07	3,395,915	
Protect Boxers * Number of scheduled boxing and kickboxing/mixed martial arts events.		75	9,123.32	684,249	
Call Center * Number of calls, emails, public contacts		1,367,871	4.54	6,205,636	
Central Intake - Initial Applications * Number of initial applications processed		126,496	36.73	4,646,094	
Central Intake - Renewals * Number of renewals processed		475,739	1.71	811,633	
Testing * Number of candidates tested		55,174	59.30	3,271,657	
Continuing Education * Number of non-deficient, complete provider and individual course applications processed within 90 days		5,891	192.54	1,134,251	
Board Of Architecture And Interior Design * Number of enforcement actions		527	751.25	395,909	
Monitor Employers For Compliance With Migrant Farmworker Labor Laws * Number of Investigations and Inspections		5,025	359.06	1,804,267	
Monitor Employers For Compliance With Child Labor Laws * Number of Investigations and Inspections		10,075	69.89	704,126	
Compliance And Enforcement Activities * Number of enforcement actions.		136,943	103.34	14,151,625	
Laboratory Services * Number of blood and urine samples tested.		72,965	31.06	2,265,984	
Standards And Licensure Activities * Number of licensees		731,689	18.45	13,501,320	
Tax Collection And Auditing * Number of audits conducted.		73,560	27.87	2,049,803	
Cardrooms * Number of audits conducted.		21	3,754.57	78,846	
Pari-mutuel Number Of Slot Applications Processed * Number of Slot Applications Processed		1,576	4,269.57	6,728,845	
Compliance And Enforcement Activities For Hotels And Restaurants * Inspections and enforcement actions		146,425	140.23	20,533,137	
Compliance And Enforcement Activities For Elevators * Inspections and enforcement actions		6,989	210.25	1,469,438	
Food Service And Tenant/Landlord Education And Training * Educational packets distributed, web hits, and training seminars/workshops conducted		175,430	5.82	1,021,382	
Standards And Licensure Activities For Hotels And Restaurants * Number of licensees for public lodging and food service establishments		82,665	12.00	992,100	
Standards And Licensure Activities For Elevators * Number of licensees for elevators, escalators and other vertical conveyance devices		49,276	8.30	408,823	
Compliance And Enforcement Activities * Number of enforcement actions for Alcoholic Beverages and Tobacco		72,380	278.35	20,147,279	
Standards And Licensure Activities * Number of applications processed for Alcoholic Beverages and Tobacco		34,761	140.01	4,866,943	
Tax Collection And Auditing * Number of audits conducted for Alcoholic Beverages and Tobacco		28,700	267.87	7,687,985	
Compliance And Enforcement Activities - General Regulation (yacht And Ship) * Number of compliance actions.		595	280.95	167,165	
Compliance And Enforcement Activities - Timeshare * Number of compliance actions.		4,350	189.56	824,600	
Compliance And Enforcement Activities - Condominiums * Number of compliance actions.		49,832	92.93	4,630,733	
Compliance And Enforcement Activities - Mobile Homes * Number of compliance actions.		6,106	46.96	286,717	
Homeowners' Associations * Number of compliance actions.		2,124	83.80	177,994	
Condominium Ombudsman * Number of activities in fulfillment of statutory duties.		71,152	8.54	607,322	
Standards And Licensure Activities - General Regulation (yacht And Ship) * Permanent licenses processed.		4,037	21.61	87,241	
Standards And Licensure Activities - Timeshare * Permanent filings processed.		2,179	285.68	622,489	
Standards And Licensure - Condominiums * Permanent filings processed.		59,060	21.72	1,283,021	
Standards And Licensure - Mobile Homes * Permanent filings processed.		6,673	36.40	242,907	
TOTAL				127,887,436	
SECTION III: RECONCILIATION TO BUDGET					
PASS THROUGHS					
TRANSFER - STATE AGENCIES					
AID TO LOCAL GOVERNMENTS					
PAYMENT OF PENSIONS, BENEFITS AND CLAIMS					
OTHER				2,397,842	
REVERSIONS				7,790,548	
TOTAL BUDGET FOR AGENCY (Total Activities + Pass Throughs + Reversions) - Should equal Section I above. (4)				138,075,826	

## 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.



## Schedule IX Major Audit Findings and Recommendations

**SCHEDULE IX: MAJOR AUDIT FINDINGS AND RECOMMENDATIONS**

**Budget Period: 2010 - 2011**

**Department: Business & Professional Regulation**

**Chief Internal Auditor: Ron Ferguson**

**Budget Entity: Florida Boxing Commission**

**Phone Number: 850.414.6700**

(1) REPORT NUMBER	(2) PERIOD ENDING	(3) UNIT/AREA	(4) SUMMARY OF FINDINGS AND RECOMMENDATIONS	(5) SUMMARY OF CORRECTIVE ACTION TAKEN	(6) ISSUE CODE
A-15-0809-007	06/30/09	Boxing Commission	<p>Finding: Procedures for the inspection process are outdated and do not include essential elements.</p> <p>Recommendation: Update procedures and require documentation to verify inspections. Procedures should include a quality assurance program.</p> <p>Finding: Procedures do not contain elements necessary to properly safeguard collected revenue.</p> <p>Recommendation: Update procedures to include more secure safeguarding of assets.</p> <p>Finding: Procedures for maintaining "fight folders" are incomplete.</p> <p>Recommendation: Establish procedures for "fight folders" to include staff responsibility, required documentation, folder contents, and a quality assurance program.</p>	<p>Procedures are being updated to include recommendations.</p> <p>Procedures are being updated to include recommendations.</p> <p>Procedures are being updated to include recommendations.</p>	

**SCHEDULE IX: MAJOR AUDIT FINDINGS AND RECOMMENDATIONS**

**Budget Period: 2010-2011**

**Department: Business & Professional Regulation**

**Chief Internal Auditor: Ron Ferguson**

**Budget Entity: Division of Pari-Mutuel Wagering**

**Phone Number: 850.414.6700**

(1)	(2)	(3)	(4)	(5)	(6)
REPORT NUMBER	PERIOD ENDING	UNIT/AREA	SUMMARY OF FINDINGS AND RECOMMENDATIONS	SUMMARY OF CORRECTIVE ACTION TAKEN	ISSUE CODE
AR 07-08-04	6/30/2009	Office of Slot Operations	<p>Finding: Testing of slot facility internal controls revealed that the Office employs incomplete policies and procedures and inconsistencies exist in the processing of facility licenses.</p> <p>Recommendation: Update procedures to include an inspection checklist to include required internal controls, document when inspections occurred, and include a quality assurance review process.</p> <p>Finding: Audit testing on occupational licenses revealed that the Office employs incomplete policies and procedures and inconsistencies exist with respect to handling voided license forms.</p> <p>Recommendation: Develop additional procedures regarding the proper handling of a voided license form. These procedures should also include marking both parts of the license form "void", thus rendering them unusable. Initiate a quality assurance review that periodically reviews the license process.</p> <p>Finding: Testing of inspections and violations processed by the Office revealed that deficiencies and inconsistencies exist within the inspection file and the recording of the violation in the LicenseEase database.</p> <p>Recommendation: Update procedures to include requiring retention of all inspection checklist to document the inspections conducted, and include a quality assurance review process.</p>	<p>Procedures have been updated to include recommendations.</p> <p>Procedures have been updated to include recommendations.</p> <p>Procedures have been updated to include recommendations.</p>	

**SCHEDULE IX: MAJOR AUDIT FINDINGS AND RECOMMENDATIONS**

**Budget Period: 2010 - 2011**

**Department: Business & Professional Regulation**

**Chief Internal Auditor: Ron Ferguson**

**Budget Entity: Division of Hotels & Restaurants**

**Phone Number: 850.414.6700**

(1) REPORT NUMBER	(2) PERIOD ENDING	(3) UNIT/AREA	(4) SUMMARY OF FINDINGS AND RECOMMENDATIONS	(5) SUMMARY OF CORRECTIVE ACTION TAKEN	(6) ISSUE CODE
A-15-0809-005	6/30/2009	Food Service and Lodging Inspection Process	<p>Finding: The division had not instituted complete written internal policies and procedures regarding the temporary event process.</p> <p>Recommendation: The division develop detailed policies and procedures regarding temporary event licensing, inspection, and revenue handling.</p> <p>Finding: Temporary event sponsors have not complied with statute to notify the division and provide a list of vendors three days prior to an event.</p> <p>Recommendation: The division should take action to prompt sponsors to comply with statutes.</p>	<p>The division has promulgated two Operations and Support Guidelines defining duties and responsibilities of the temporary event process.</p> <p>The division has included the notification requirement in the above guidelines and will distribute as widely as possible.</p>	





## Technical Checklist LBR Review

## Fiscal Year 2010-11 LBR Technical Review Checklist

Department/Budget Entity (Service): Business and Professional Regulation - Alcoholic Beverages and Tobacco

Agency Budget Officer/OPB Analyst Name: Lynn Smith/Eric Steinkuehler

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)			
	79400100	79400200	79400300	

### 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		
<b>TIP</b> The agency should prepare the budget request for submission in this order: 1) Lock columns as described above; 2) copy Column A03 to Column A12; and 3) set Column A12 column security to ALL for DISPLAY status and MANAGEMENT CONTROL for UPDATE status.					

### 2. EXHIBIT A (EADR, EXA)

2.1 Is the budget entity authority and description consistent with the agency's LRPP and does it conform to the directives provided on page 56 of the LBR Instructions?	Y	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.	N/A	N/A	N/A		
--	-----	-----	-----	--	--

Action	Program or Service (Budget Entity Codes)			
	79400100	79400200	79400300	

<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
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
TIP	Generally look for and be able to fully explain significant differences between A02 and A03.			
TIP	Exhibit B - A02 equal to B07: Compares Current Year Estimated column to a backup of A02. This audit is necessary to ensure that the historical detail records have not been adjusted. Records selected should net to zero.			
TIP	Requests for appropriations which require advance payment authority must use the sub-title "Grants and Aids". For advance payment authority to local units of government, the Aid to Local Government appropriation category (05XXXX) should be used. For advance payment authority to non-profit organizations or other units of state government, the Special Categories appropriation category (10XXXX) should be used.			
<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
4.2	Is the program component code and title used correct?	Y	Y	Y
TIP	Fund shifts or transfers of services or activities between program components will be displayed on an Exhibit D whereas it may not be visible on an Exhibit A.			
<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
<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
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

Action		Program or Service (Budget Entity Codes)				
		79400100	79400200	79400300		
5.4	<p>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>)</p> <p><i>Please note that the LBR Instructions reference the wrong B column.</i></p>					
TIP	<p>If objects are negative amounts, the agency must make adjustments to Column A01 to correct the object amounts. In addition, the fund totals must be adjusted to reflect the adjustment made to the object data.</p>	Y	Y	Y		

Action		Program or Service (Budget Entity Codes)			
		79400100	79400200	79400300	
TIP	If fund totals and object totals do not agree or negative object amounts exist, the agency must adjust Column A01.				
TIP	Exhibit B - A01 less than B04: This audit is to ensure that the disbursements and carry/certifications forward in A01 are less than FY 2008-09 approved budget. Amounts should be positive.				
TIP	If B08 is not equal to A01, check the following: 1) the initial FLAIR disbursements or carry forward data load was corrected appropriately in A01; 2) the disbursement data from departmental FLAIR was reconciled to State Accounts; and 3) the FLAIR disbursements did not change after Column B08 was created.				
<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	
TIP	Exhibit D-3 is no longer required in the budget submission but may be needed for this particular appropriation category/issue sort. Exhibit D-3 is also a useful report when identifying negative appropriation category problems.				
<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	
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?	N/A	N/A	N/A	
7.4	Are all issues with an IT component identified with a "Y" in the "IT COMPONENT?" field? If the issue contains an IT component, has that component been identified and documented?	N/A	N/A	N/A	
7.5	Does the issue narrative explain any variances from the Standard Expense and Human Resource Services Assessments package? Is the nonrecurring portion in the nonrecurring column? (See pages E-4 and E-5 of the LBR Instructions.)	Y	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.	N/A	N/A	N/A	
7.8	Does the issue narrative include the Consensus Estimating Conference forecast, where appropriate?	N/A	N/A	N/A	
7.9	Does the issue narrative reference the specific county(ies) where applicable?	Y	Y	Y	

Action		Program or Service (Budget Entity Codes)			
		79400100	79400200	79400300	
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	N/A	N/A	
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>	N/A	N/A	N/A	
7.12	Does the issue narrative include plans to satisfy additional space requirements when requesting additional positions?	N/A	N/A	N/A	
7.13	Has the agency included a 160XXX0 issue and 210XXXX and 260XXX0 issues as required for lump sum distributions?	N/A	N/A	N/A	
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.)	N/A	N/A	N/A	
7.16	Do the issues relating to <i>Information Technology (IT)</i> have a "C" in the sixth position of the issue code (36XXXXCX) and are the correct issue codes used (361XXC0, 362XXC0, 363XXC0, 17C01C0, 17C02C0, 17C03C0, 24010C0, 33001C0 or 55C01C0)?	N/A	N/A	N/A	
7.17	Are the issues relating to <i>major audit findings and recommendations</i> properly coded (4A0XXX0, 4B0XXX0)?	N/A	N/A	N/A	
<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>	N/A	N/A	N/A	
7.20	Does the General Revenue for 180XXXX issues net to zero? <b>(GENR, LBR2)</b>	N/A	N/A	N/A	
7.21	Does the General Revenue for 200XXXX issues net to zero? <b>(GENR, LBR3)</b>	N/A	N/A	N/A	
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>	N/A	N/A	N/A	

Action		Program or Service (Budget Entity Codes)				
		79400100	79400200	79400300		
TIP	Salaries and Benefits amounts entered using the OADA/C transactions must be thoroughly justified in the D-3A issue narrative. Agencies can run <b>OADA/OADR</b> from STAM to identify the amounts entered into OAD and ensure these entries have been thoroughly explained in the D-3A issue narrative.					
TIP	The issue narrative must completely and thoroughly explain and justify each D-3A issue. Agencies must ensure it provides the information necessary for the OPB and legislative analysts to have a complete understanding of the issue submitted. Thoroughly review pages 64 through 70 of the LBR Instructions.					
TIP	Check BAPS to verify status of budget amendments. Check for reapprovals not picked up in the General Appropriations Act. Verify that Lump Sum appropriations in Column A02 do not appear in Column A03. Review budget amendments to verify that 160XXX0 issue amounts correspond accurately and net to zero for General Revenue funds.					
TIP	If an agency is receiving federal funds from another agency the FSI should = 9 (Transfer - Recipient of Federal Funds). The agency that originally receives the funds directly from the federal agency should use FSI = 3 (Federal Funds).					
TIP	If an appropriation made in the FY 2009-10 General Appropriations Act duplicates an appropriation made in substantive legislation, the agency must create a unique deduct nonrecurring issue to eliminate the duplicated appropriation. Normally this is taken care of through line item veto.					
<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?	Y	Y	Y		

Action		Program or Service (Budget Entity Codes)				
		79400100	79400200	79400300		
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		



Action		Program or Service (Budget Entity Codes)				
		79400100	79400200	79400300		
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		
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)?	N/A	N/A	N/A		
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?	N/A	N/A	N/A		
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		

Action		Program or Service (Budget Entity Codes)			
		79400100	79400200	79400300	
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	
TIP	The Schedule I is the most reliable source of data concerning the trust funds. It is very important that this schedule is as accurate as possible!				
TIP	Determine if the agency is scheduled for trust fund review. (See page 124 of the LBR Instructions.)				
TIP	Review the unreserved fund balances and compare revenue totals to expenditure totals to determine and understand the trust fund status.				
TIP	Typically nonoperating expenditures and revenues should not be a negative number. Any negative numbers must be fully justified.				
<b>9. SCHEDULE II (PSCR, SC2)</b>					
<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	N/A	Y	
<b>10. SCHEDULE III (PSCR, SC3)</b>					
10.1	Is the appropriate lapse amount applied in Segment 3? (See page 88 of the LBR Instructions.)	Y	N/A	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.	N/A	N/A	N/A	
<b>11. SCHEDULE IV (EADR, SC4)</b>					
11.1	Are the correct Information Technology (IT) issue codes used?	N/A	N/A	N/A	
TIP	If IT issues are not coded correctly (with "C" in 6th position), they will not appear in the Schedule IV.				
<b>12. SCHEDULE VIIIA (EADR, SC8A)</b>					

Action		Program or Service (Budget Entity Codes)			
		79400100	79400200	79400300	
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	
<b>13. SCHEDULE VIIB-1</b>					
13.1	This schedule is not required in the October 15, 2009 LBR submittal.				
<b>14. SCHEDULE VIIB-2 (EADR, S8B2)</b>					
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	
<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	
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	
<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	
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> )	N/A	N/A	N/A	
15.6	Has the agency provided the necessary demand (Record Type 5) for all activities which <u>should</u> appear in Section II? (Note: Audit #3 will identify those activities that do NOT have a Record Type '5' and have not been identified as a 'Pass Through' activity. These activities will be displayed in Section III with the 'Payment of Pensions, Benefits and Claims' activity and 'Other' activities. Verify if these activities should be displayed in Section III. If not, an output standard would need to be added for that activity and the Schedule XI submitted again.)	N/A	N/A	N/A	
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	
TIP	If Section I and Section III have a small difference, it may be due to rounding and therefore will be acceptable.				

Action	Program or Service (Budget Entity Codes)			
	79400100	79400200	79400300	

<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		
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		

<b>AUDITS - GENERAL INFORMATION</b>						
TIP	Review <i>Section 6: Audits</i> of the LBR Instructions for a list of audits and their descriptions.					
TIP	Reorganizations may cause audit errors. Agencies must indicate that these errors are due to an agency reorganization to justify the audit error.					

<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		
17.2	Are the CIP-4 and CIP-5 forms submitted when applicable (see CIP Instructions)?	N/A	N/A	N/A		
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)?	N/A	N/A	N/A		
17.5	Are the appropriate counties identified in the narrative?	N/A	N/A	N/A		
TIP	Requests for Fixed Capital Outlay appropriations which are Grants and Aids to Local Governments and Non-Profit Organizations must use the Grants and Aids to Local Governments and Non-Profit Organizations - Fixed Capital Outlay major appropriation category (140XXX) and include the sub-title "Grants and Aids". These appropriations utilize a CIP-B form as justification.					

<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		

## Fiscal Year 2010-11 LBR Technical Review Checklist

Department/Budget Entity (Service): Business and Professional Regulation - Condominiums, Timeshares, and Mobile Homes

Agency Budget Officer/OPB Analyst Name: Lynn Smith/Eric Steinkuehler

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)			
79800100				

### 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				
<b>TIP</b> The agency should prepare the budget request for submission in this order: 1) Lock columns as described above; 2) copy Column A03 to Column A12; and 3) set Column A12 column security to ALL for DISPLAY status and MANAGEMENT CONTROL for UPDATE status.					

### 2. EXHIBIT A (EADR, EXA)

2.1 Is the budget entity authority and description consistent with the agency's LRPP and does it conform to the directives provided on page 56 of the LBR Instructions?	Y				
2.2 Are the statewide issues generated systematically (estimated expenditures, nonrecurring expenditures, etc.) included?	Y				
2.3 Are the issue codes and titles consistent with <i>Section 3</i> of the LBR Instructions (pages 15 through 27)? Do they clearly describe the issue?	Y				
2.4 Have the coding guidelines in <i>Section 3</i> of the LBR Instructions (pages 15 through 27) been followed?	Y				

### 3. EXHIBIT B (EXBR, EXB)

3.1 Is it apparent that there is a fund shift and were the issues entered into LAS/PBS correctly? Check D-3A funding shift issue 340XXX0 - a unique deduct and unique add back issue should be used to ensure fund shifts display correctly on the LBR exhibits.	N/A				
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		Program or Service (Budget Entity Codes)				
Action		79800100				
<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				
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				
TIP	Generally look for and be able to fully explain significant differences between A02 and A03.					
TIP	Exhibit B - A02 equal to B07: Compares Current Year Estimated column to a backup of A02. This audit is necessary to ensure that the historical detail records have not been adjusted. Records selected should net to zero.					
TIP	Requests for appropriations which require advance payment authority must use the sub-title "Grants and Aids". For advance payment authority to local units of government, the Aid to Local Government appropriation category (05XXXX) should be used. For advance payment authority to non-profit organizations or other units of state government, the Special Categories appropriation category (10XXXX) should be used.					
<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				
TIP	Fund shifts or transfers of services or activities between program components will be displayed on an Exhibit D whereas it may not be visible on an Exhibit A.					
<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				

		Program or Service (Budget Entity Codes)				
Action		79800100				
5.4	<p>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>)</p> <p><i>Please note that the LBR Instructions reference the wrong B column.</i></p>	Y				
TIP	<p>If objects are negative amounts, the agency must make adjustments to Column A01 to correct the object amounts. In addition, the fund totals must be adjusted to reflect the adjustment made to the object data.</p>					

		Program or Service (Budget Entity Codes)			
Action		79800100			
TIP	If fund totals and object totals do not agree or negative object amounts exist, the agency must adjust Column A01.				
TIP	Exhibit B - A01 less than B04: This audit is to ensure that the disbursements and carry/certifications forward in A01 are less than FY 2008-09 approved budget. Amounts should be positive.				
TIP	If B08 is not equal to A01, check the following: 1) the initial FLAIR disbursements or carry forward data load was corrected appropriately in A01; 2) the disbursement data from departmental FLAIR was reconciled to State Accounts; and 3) the FLAIR disbursements did not change after Column B08 was created.				
<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			
TIP	Exhibit D-3 is no longer required in the budget submission but may be needed for this particular appropriation category/issue sort. Exhibit D-3 is also a useful report when identifying negative appropriation category problems.				
<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?	N/A			
7.5	Does the issue narrative explain any variances from the Standard Expense and Human Resource Services Assessments package? Is the nonrecurring portion in the nonrecurring column? (See pages E-4 and E-5 of the LBR Instructions.)	N/A			
7.6	Does the salary rate request amount accurately reflect any new requests and are the amounts proportionate to the Salaries and Benefits request? Note: Salary rate should always be annualized.	N/A			
7.7	Does the issue narrative thoroughly explain/justify all Salaries and Benefits amounts entered into the Other Salary Amounts transactions (OADA/C)? Amounts entered into OAD are reflected in the Position Detail of Salaries and Benefits section of the Exhibit D-3A.	N/A			
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			



		Program or Service (Budget Entity Codes)				
Action		79800100				
7.10	Do the 160XXX0 issues reflect budget amendments that have been approved (or in the process of being approved) and that have a recurring impact (including Lump Sums)? Have the approved budget amendments been entered in Column A18 as instructed in Memo #10-002?	N/A				
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> )	N/A				
7.12	Does the issue narrative include plans to satisfy additional space requirements when requesting additional positions?	N/A				
7.13	Has the agency included a 160XXX0 issue and 210XXXX and 260XXX0 issues as required for lump sum distributions?	N/A				
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 (36XXXCX) 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)?	N/A				
<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> )	N/A				
7.20	Does the General Revenue for 180XXXX issues net to zero? ( <b>GENR, LBR2</b> )	N/A				
7.21	Does the General Revenue for 200XXXX issues net to zero? ( <b>GENR, LBR3</b> )	N/A				
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> )	N/A				

		Program or Service (Budget Entity Codes)				
Action		79800100				
TIP	Salaries and Benefits amounts entered using the OADA/C transactions must be thoroughly justified in the D-3A issue narrative. Agencies can run <b>OADA/OADR</b> from STAM to identify the amounts entered into OAD and ensure these entries have been thoroughly explained in the D-3A issue narrative.					
TIP	The issue narrative must completely and thoroughly explain and justify each D-3A issue. Agencies must ensure it provides the information necessary for the OPB and legislative analysts to have a complete understanding of the issue submitted. Thoroughly review pages 64 through 70 of the LBR Instructions.					
TIP	Check BAPS to verify status of budget amendments. Check for reapprovals not picked up in the General Appropriations Act. Verify that Lump Sum appropriations in Column A02 do not appear in Column A03. Review budget amendments to verify that 160XXX0 issue amounts correspond accurately and net to zero for General Revenue funds.					
TIP	If an agency is receiving federal funds from another agency the FSI should = 9 (Transfer - Recipient of Federal Funds). The agency that originally receives the funds directly from the federal agency should use FSI = 3 (Federal Funds).					
TIP	If an appropriation made in the FY 2009-10 General Appropriations Act duplicates an appropriation made in substantive legislation, the agency must create a unique deduct nonrecurring issue to eliminate the duplicated appropriation. Normally this is taken care of through line item veto.					
<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?	Y				

		Program or Service (Budget Entity Codes)				
Action		79800100				
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				

Action		Program or Service (Budget Entity Codes)				
		79800100				
8.10	Are the statutory authority references correct?	Y				
8.11	Are the General Revenue Service Charge percentage rates used for each revenue source correct? (Refer to Chapter 2009-78, Laws of Florida, for appropriate general revenue service charge percentage rates.)	Y				
8.12	Is this an accurate representation of revenues based on the most recent Consensus Estimating Conference forecasts?	Y				
8.13	If there is no Consensus Estimating Conference forecast available, do the revenue estimates appear to be reasonable?	Y				
8.14	Are the federal funds revenues reported in Section I broken out by individual grant? Are the correct CFDA codes used?	N/A				
8.15	Are anticipated grants included and based on the state fiscal year (rather than federal fiscal year)?	N/A				
8.16	Are the Schedule I revenues consistent with the FSI's reported in the Exhibit D-3A?	Y				
8.17	If applicable, are nonrecurring revenues entered into Column A04?	Y				
8.18	Has the agency certified the revenue estimates in columns A02 and A03 to be the latest and most accurate available?	Y				
8.19	Is a 5% trust fund reserve reflected in Section II? If not, is sufficient justification provided for exemption? Are the additional narrative requirements provided?	Y				
8.20	Are appropriate service charge nonoperating amounts included in Section II?	Y				
8.21	Are nonoperating expenditures to other budget entities/departments cross-referenced accurately?	Y				
8.22	Do transfers balance between funds (within the agency as well as between agencies)? (See also 8.6 for required transfer confirmation of amounts totaling \$100,000 or more.)	Y				
8.23	Are nonoperating expenditures recorded in Section II and adjustments recorded in Section III?	Y				
8.24	Are prior year September operating reversions appropriately shown in column A01?	Y				
8.25	Are current year September operating reversions appropriately shown in column A02?	Y				
8.26	Does the Schedule IC properly reflect the unreserved fund balance for each trust fund as defined by the LBR Instructions, and is it reconciled to the agency accounting records?	Y				
8.27	Does Column A01 of the Schedule I accurately represent the actual prior year accounting data as reflected in the agency accounting records, and is it provided in sufficient detail for analysis?	Y				

		Program or Service (Budget Entity Codes)			
Action		79800100			
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			
TIP	The Schedule I is the most reliable source of data concerning the trust funds. It is very important that this schedule is as accurate as possible!				
TIP	Determine if the agency is scheduled for trust fund review. (See page 124 of the LBR Instructions.)				
TIP	Review the unreserved fund balances and compare revenue totals to expenditure totals to determine and understand the trust fund status.				
TIP	Typically nonoperating expenditures and revenues should not be a negative number. Any negative numbers must be fully justified.				
<b>9. SCHEDULE II (PSCR, SC2)</b>					
<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			
<b>10. SCHEDULE III (PSCR, SC3)</b>					
10.1	Is the appropriate lapse amount applied in Segment 3? (See page 88 of the LBR Instructions.)	N/A			
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.	N/A			
<b>11. SCHEDULE IV (EADR, SC4)</b>					
11.1	Are the correct Information Technology (IT) issue codes used?	Y			
TIP	If IT issues are not coded correctly (with "C" in 6th position), they will not appear in the Schedule IV.				
<b>12. SCHEDULE VIIIA (EADR, SC8A)</b>					

		Program or Service (Budget Entity Codes)				
Action		79800100				
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				
<b>13. SCHEDULE VIIB-1</b>						
13.1	This schedule is not required in the October 15, 2009 LBR submittal.					
<b>14. SCHEDULE VIIB-2 (EADR, S8B2)</b>						
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				
<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> )	N/A				
15.6	Has the agency provided the necessary demand (Record Type 5) for all activities which <u>should</u> appear in Section II? (Note: Audit #3 will identify those activities that do NOT have a Record Type '5' and have not been identified as a 'Pass Through' activity. These activities will be displayed in Section III with the 'Payment of Pensions, Benefits and Claims' activity and 'Other' activities. Verify if these activities should be displayed in Section III. If not, an output standard would need to be added for that activity and the Schedule XI submitted again.)	Y				
15.7	Does Section I (Final Budget for Agency) and Section III (Total Budget for Agency) equal? ( <b>Audit #4 should print "No Discrepancies Found"</b> )	Y				
TIP	If Section I and Section III have a small difference, it may be due to rounding and therefore will be acceptable.					

		Program or Service (Budget Entity Codes)				
Action		79800100				
<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>						
TIP	Review <i>Section 6: Audits</i> of the LBR Instructions for a list of audits and their descriptions.					
TIP	Reorganizations may cause audit errors. Agencies must indicate that these errors are due to an agency reorganization to justify the audit error.					
<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)?	N/A				
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)?	N/A				
17.5	Are the appropriate counties identified in the narrative?	N/A				
TIP	Requests for Fixed Capital Outlay appropriations which are Grants and Aids to Local Governments and Non-Profit Organizations must use the Grants and Aids to Local Governments and Non-Profit Organizations - Fixed Capital Outlay major appropriation category (140XXX) and include the sub-title "Grants and Aids". These appropriations utilize a CIP-B form as justification.					
<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):

Agency Budget Officer/OPB Analyst Name:

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)			
	79040100	79040200	79040300	

### 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	
<b>TIP</b> The agency should prepare the budget request for submission in this order: 1) Lock columns as described above; 2) copy Column A03 to Column A12; and 3) set Column A12 column security to ALL for DISPLAY status and MANAGEMENT CONTROL for UPDATE status.				

### 2. EXHIBIT A (EADR, EXA)

2.1 Is the budget entity authority and description consistent with the agency's LRPP and does it conform to the directives provided on page 56 of the LBR Instructions?	Y	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.	N/A	N/A	N/A	
--	-----	-----	-----	--



		Program or Service (Budget Entity Codes)			
Action		79040100	79040200	79040300	
<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	
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	
TIP	Generally look for and be able to fully explain significant differences between A02 and A03.				
TIP	Exhibit B - A02 equal to B07: Compares Current Year Estimated column to a backup of A02. This audit is necessary to ensure that the historical detail records have not been adjusted. Records selected should net to zero.				
TIP	Requests for appropriations which require advance payment authority must use the sub-title "Grants and Aids". For advance payment authority to local units of government, the Aid to Local Government appropriation category (05XXXX) should be used. For advance payment authority to non-profit organizations or other units of state government, the Special Categories appropriation category (10XXXX) should be used.				
<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	
4.2	Is the program component code and title used correct?	Y	Y	Y	
TIP	Fund shifts or transfers of services or activities between program components will be displayed on an Exhibit D whereas it may not be visible on an Exhibit A.				
<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	
<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	
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	

Action		Program or Service (Budget Entity Codes)			
		79040100	79040200	79040300	
5.4	<p>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>)</p> <p><i>Please note that the LBR Instructions reference the wrong B column.</i></p>	Y	Y	Y	
TIP	<p>If objects are negative amounts, the agency must make adjustments to Column A01 to correct the object amounts. In addition, the fund totals must be adjusted to reflect the adjustment made to the object data.</p>				

Action		Program or Service (Budget Entity Codes)			
		79040100	79040200	79040300	
TIP	If fund totals and object totals do not agree or negative object amounts exist, the agency must adjust Column A01.				
TIP	Exhibit B - A01 less than B04: This audit is to ensure that the disbursements and carry/certifications forward in A01 are less than FY 2008-09 approved budget. Amounts should be positive.				
TIP	If B08 is not equal to A01, check the following: 1) the initial FLAIR disbursements or carry forward data load was corrected appropriately in A01; 2) the disbursement data from departmental FLAIR was reconciled to State Accounts; and 3) the FLAIR disbursements did not change after Column B08 was created.				
<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	
TIP	Exhibit D-3 is no longer required in the budget submission but may be needed for this particular appropriation category/issue sort. Exhibit D-3 is also a useful report when identifying negative appropriation category problems.				
<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	
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?	N/A	N/A	N/A	
7.4	Are all issues with an IT component identified with a "Y" in the "IT COMPONENT?" field? If the issue contains an IT component, has that component been identified and documented?	N/A	N/A	N/A	
7.5	Does the issue narrative explain any variances from the Standard Expense and Human Resource Services Assessments package? Is the nonrecurring portion in the nonrecurring column? (See pages E-4 and E-5 of the LBR Instructions.)	Y	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 (OAD/C)? Amounts entered into OAD are reflected in the Position Detail of Salaries and Benefits section of the Exhibit D-3A.	N/A	N/A	N/A	
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?	N/A	N/A	N/A	

Action		Program or Service (Budget Entity Codes)			
		79040100	79040200	79040300	
7.10	Do the 160XXX0 issues reflect budget amendments that have been approved (or in the process of being approved) and that have a recurring impact (including Lump Sums)? Have the approved budget amendments been entered in Column A18 as instructed in Memo #10-002?	N/A	N/A	N/A	
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>	N/A	N/A	N/A	
7.12	Does the issue narrative include plans to satisfy additional space requirements when requesting additional positions?	N/A	N/A	N/A	
7.13	Has the agency included a 160XXX0 issue and 210XXXX and 260XXX0 issues as required for lump sum distributions?	N/A	N/A	N/A	
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.)	N/A	N/A	N/A	
7.16	Do the issues relating to <i>Information Technology (IT)</i> have a "C" in the sixth position of the issue code (36XXXXCX) and are the correct issue codes used (361XXC0, 362XXC0, 363XXC0, 17C01C0, 17C02C0, 17C03C0, 24010C0, 33001C0 or 55C01C0)?	N/A	N/A	N/A	
7.17	Are the issues relating to <i>major audit findings and recommendations</i> properly coded (4A0XXX0, 4B0XXX0)?	N/A	N/A	N/A	
<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>	N/A	N/A	N/A	
7.20	Does the General Revenue for 180XXXX issues net to zero? <b>(GENR, LBR2)</b>	N/A	N/A	N/A	
7.21	Does the General Revenue for 200XXXX issues net to zero? <b>(GENR, LBR3)</b>	N/A	N/A	N/A	
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>	N/A	N/A	N/A	

Action		Program or Service (Budget Entity Codes)			
		79040100	79040200	79040300	
TIP	Salaries and Benefits amounts entered using the OADA/C transactions must be thoroughly justified in the D-3A issue narrative. Agencies can run <b>OADA/OADR</b> from STAM to identify the amounts entered into OAD and ensure these entries have been thoroughly explained in the D-3A issue narrative.				
TIP	The issue narrative must completely and thoroughly explain and justify each D-3A issue. Agencies must ensure it provides the information necessary for the OPB and legislative analysts to have a complete understanding of the issue submitted. Thoroughly review pages 64 through 70 of the LBR Instructions.				
TIP	Check BAPS to verify status of budget amendments. Check for reapprovals not picked up in the General Appropriations Act. Verify that Lump Sum appropriations in Column A02 do not appear in Column A03. Review budget amendments to verify that 160XXX0 issue amounts correspond accurately and net to zero for General Revenue funds.				
TIP	If an agency is receiving federal funds from another agency the FSI should = 9 (Transfer - Recipient of Federal Funds). The agency that originally receives the funds directly from the federal agency should use FSI = 3 (Federal Funds).				
TIP	If an appropriation made in the FY 2009-10 General Appropriations Act duplicates an appropriation made in substantive legislation, the agency must create a unique deduct nonrecurring issue to eliminate the duplicated appropriation. Normally this is taken care of through line item veto.				
<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?	N/A	N/A	N/A	
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	

Action		Program or Service (Budget Entity Codes)			
		79040100	79040200	79040300	
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	

Action		Program or Service (Budget Entity Codes)			
		79040100	79040200	79040300	
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?	N/A	N/A	N/A	
8.13	If there is no Consensus Estimating Conference forecast available, do the revenue estimates appear to be reasonable?	Y	Y	Y	
8.14	Are the federal funds revenues reported in Section I broken out by individual grant? Are the correct CFDA codes used?	N/A	N/A	N/A	
8.15	Are anticipated grants included and based on the state fiscal year (rather than federal fiscal year)?	N/A	N/A	N/A	
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?	N/A	N/A	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	

Action		Program or Service (Budget Entity Codes)			
		79040100	79040200	79040300	
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	
TIP	The Schedule I is the most reliable source of data concerning the trust funds. It is very important that this schedule is as accurate as possible!				
TIP	Determine if the agency is scheduled for trust fund review. (See page 124 of the LBR Instructions.)				
TIP	Review the unreserved fund balances and compare revenue totals to expenditure totals to determine and understand the trust fund status.				
TIP	Typically nonoperating expenditures and revenues should not be a negative number. Any negative numbers must be fully justified.				
<b>9. SCHEDULE II (PSCR, SC2)</b>					
<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	
<b>10. SCHEDULE III (PSCR, SC3)</b>					
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	
<b>11. SCHEDULE IV (EADR, SC4)</b>					
11.1	Are the correct Information Technology (IT) issue codes used?	N/A	N/A	N/A	
TIP	If IT issues are not coded correctly (with "C" in 6th position), they will not appear in the Schedule IV.				
<b>12. SCHEDULE VIIIA (EADR, SC8A)</b>					



Action		Program or Service (Budget Entity Codes)			
		79040100	79040200	79040300	
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	
<b>13. SCHEDULE VIIB-1</b>					
13.1	This schedule is not required in the October 15, 2009 LBR submittal.				
<b>14. SCHEDULE VIIB-2 (EADR, S8B2)</b>					
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	
<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	
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	
<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	
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> )	N/A	N/A	N/A	
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> )	N/A	N/A	N/A	
15.6	Has the agency provided the necessary demand (Record Type 5) for all activities which <u>should</u> appear in Section II? (Note: Audit #3 will identify those activities that do NOT have a Record Type '5' and have not been identified as a 'Pass Through' activity. These activities will be displayed in Section III with the 'Payment of Pensions, Benefits and Claims' activity and 'Other' activities. Verify if these activities should be displayed in Section III. If not, an output standard would need to be added for that activity and the Schedule XI submitted again.)	Y	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	
TIP	If Section I and Section III have a small difference, it may be due to rounding and therefore will be acceptable.				

Action		Program or Service (Budget Entity Codes)			
		79040100	79040200	79040300	
<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	
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	
<b>AUDITS - GENERAL INFORMATION</b>					
TIP	Review <i>Section 6: Audits</i> of the LBR Instructions for a list of audits and their descriptions.				
TIP	Reorganizations may cause audit errors. Agencies must indicate that these errors are due to an agency reorganization to justify the audit error.				
<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	
17.2	Are the CIP-4 and CIP-5 forms submitted when applicable (see CIP Instructions)?	N/A	N/A	N/A	
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)?	N/A	N/A	N/A	
17.5	Are the appropriate counties identified in the narrative?	N/A	N/A	N/A	
TIP	Requests for Fixed Capital Outlay appropriations which are Grants and Aids to Local Governments and Non-Profit Organizations must use the Grants and Aids to Local Governments and Non-Profit Organizations - Fixed Capital Outlay major appropriation category (140XXX) and include the sub-title "Grants and Aids". These appropriations utilize a CIP-B form as justification.				

## Fiscal Year 2010-11 LBR Technical Review Checklist

Department/Budget Entity (Service): Business and Professional Regulation - Hotels and Restaurants

Agency Budget Officer/OPB Analyst Name: Lynn Smith/Eric Steinkuehler

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)				
	79200100				

<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			
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			
<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			
1.4	Has security been set correctly? <b>(CSDR, CSA)</b>	Y			
<b>TIP</b>	The agency should prepare the budget request for submission in this order: 1) Lock columns as described above; 2) copy Column A03 to Column A12; and 3) set Column A12 column security to ALL for DISPLAY status and MANAGEMENT CONTROL for UPDATE status.				
<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 <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			
<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.	N/A			

		Program or Service (Budget Entity Codes)				
Action		79200100				
<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				
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				
TIP	Generally look for and be able to fully explain significant differences between A02 and A03.					
TIP	Exhibit B - A02 equal to B07: Compares Current Year Estimated column to a backup of A02. This audit is necessary to ensure that the historical detail records have not been adjusted. Records selected should net to zero.					
TIP	Requests for appropriations which require advance payment authority must use the sub-title "Grants and Aids". For advance payment authority to local units of government, the Aid to Local Government appropriation category (05XXXX) should be used. For advance payment authority to non-profit organizations or other units of state government, the Special Categories appropriation category (10XXXX) should be used.					
<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?					
TIP	Fund shifts or transfers of services or activities between program components will be displayed on an Exhibit D whereas it may not be visible on an Exhibit A.					
<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				

		Program or Service (Budget Entity Codes)				
Action		79200100				
5.4	<p>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>)</p> <p><i>Please note that the LBR Instructions reference the wrong B column.</i></p>	Y				
TIP	<p>If objects are negative amounts, the agency must make adjustments to Column A01 to correct the object amounts. In addition, the fund totals must be adjusted to reflect the adjustment made to the object data.</p>					

		Program or Service (Budget Entity Codes)				
Action		79200100				
TIP	If fund totals and object totals do not agree or negative object amounts exist, the agency must adjust Column A01.					
TIP	Exhibit B - A01 less than B04: This audit is to ensure that the disbursements and carry/certifications forward in A01 are less than FY 2008-09 approved budget. Amounts should be positive.					
TIP	If B08 is not equal to A01, check the following: 1) the initial FLAIR disbursements or carry forward data load was corrected appropriately in A01; 2) the disbursement data from departmental FLAIR was reconciled to State Accounts; and 3) the FLAIR disbursements did not change after Column B08 was created.					
<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				
TIP	Exhibit D-3 is no longer required in the budget submission but may be needed for this particular appropriation category/issue sort. Exhibit D-3 is also a useful report when identifying negative appropriation category problems.					
<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?	N/A				
7.4	Are all issues with an IT component identified with a "Y" in the "IT COMPONENT?" field? If the issue contains an IT component, has that component been identified and documented?	N/A				
7.5	Does the issue narrative explain any variances from the Standard Expense and Human Resource Services Assessments package? Is the nonrecurring portion in the nonrecurring column? (See pages E-4 and E-5 of the LBR Instructions.)	Y				
7.6	Does the salary rate request amount accurately reflect any new requests and are the amounts proportionate to the Salaries and Benefits request? Note: Salary rate should always be annualized.	Y				
7.7	Does the issue narrative thoroughly explain/justify all Salaries and Benefits amounts entered into the Other Salary Amounts transactions (OADA/C)? Amounts entered into OAD are reflected in the Position Detail of Salaries and Benefits section of the Exhibit D-3A.	Y				
7.8	Does the issue narrative include the Consensus Estimating Conference forecast, where appropriate?	Y				
7.9	Does the issue narrative reference the specific county(ies) where applicable?	Y				

Action		Program or Service (Budget Entity Codes)				
		79200100				
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.)	N/A				
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)?	N/A				
7.17	Are the issues relating to <i>major audit findings and recommendations</i> properly coded (4A0XXX0, 4B0XXX0)?	N/A				
<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> )	N/A				
7.20	Does the General Revenue for 180XXXX issues net to zero? ( <b>GENR, LBR2</b> )	N/A				
7.21	Does the General Revenue for 200XXXX issues net to zero? ( <b>GENR, LBR3</b> )	N/A				
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> )	N/A				

Action		Program or Service (Budget Entity Codes)				
		79200100				
TIP	Salaries and Benefits amounts entered using the OADA/C transactions must be thoroughly justified in the D-3A issue narrative. Agencies can run <b>OADA/OADR</b> from STAM to identify the amounts entered into OAD and ensure these entries have been thoroughly explained in the D-3A issue narrative.					
TIP	The issue narrative must completely and thoroughly explain and justify each D-3A issue. Agencies must ensure it provides the information necessary for the OPB and legislative analysts to have a complete understanding of the issue submitted. Thoroughly review pages 64 through 70 of the LBR Instructions.					
TIP	Check BAPS to verify status of budget amendments. Check for reapprovals not picked up in the General Appropriations Act. Verify that Lump Sum appropriations in Column A02 do not appear in Column A03. Review budget amendments to verify that 160XXX0 issue amounts correspond accurately and net to zero for General Revenue funds.					
TIP	If an agency is receiving federal funds from another agency the FSI should = 9 (Transfer - Recipient of Federal Funds). The agency that originally receives the funds directly from the federal agency should use FSI = 3 (Federal Funds).					
TIP	If an appropriation made in the FY 2009-10 General Appropriations Act duplicates an appropriation made in substantive legislation, the agency must create a unique deduct nonrecurring issue to eliminate the duplicated appropriation. Normally this is taken care of through line item veto.					
<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?	Y				



		Program or Service (Budget Entity Codes)				
Action		79200100				
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				

Action		Program or Service (Budget Entity Codes)				
		79200100				
8.10	Are the statutory authority references correct?	Y				
8.11	Are the General Revenue Service Charge percentage rates used for each revenue source correct? (Refer to Chapter 2009-78, Laws of Florida, for appropriate general revenue service charge percentage rates.)	Y				
8.12	Is this an accurate representation of revenues based on the most recent Consensus Estimating Conference forecasts?	Y				
8.13	If there is no Consensus Estimating Conference forecast available, do the revenue estimates appear to be reasonable?	Y				
8.14	Are the federal funds revenues reported in Section I broken out by individual grant? Are the correct CFDA codes used?	N/A				
8.15	Are anticipated grants included and based on the state fiscal year (rather than federal fiscal year)?	N/A				
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?	N/A				
8.18	Has the agency certified the revenue estimates in columns A02 and A03 to be the latest and most accurate available?	Y				
8.19	Is a 5% trust fund reserve reflected in Section II? If not, is sufficient justification provided for exemption? Are the additional narrative requirements provided?	Y				
8.20	Are appropriate service charge nonoperating amounts included in Section II?	Y				
8.21	Are nonoperating expenditures to other budget entities/departments cross-referenced accurately?	Y				
8.22	Do transfers balance between funds (within the agency as well as between agencies)? (See also 8.6 for required transfer confirmation of amounts totaling \$100,000 or more.)	Y				
8.23	Are nonoperating expenditures recorded in Section II and adjustments recorded in Section III?	Y				
8.24	Are prior year September operating reversions appropriately shown in column A01?	Y				
8.25	Are current year September operating reversions appropriately shown in column A02?	Y				
8.26	Does the Schedule IC properly reflect the unreserved fund balance for each trust fund as defined by the LBR Instructions, and is it reconciled to the agency accounting records?	Y				
8.27	Does Column A01 of the Schedule I accurately represent the actual prior year accounting data as reflected in the agency accounting records, and is it provided in sufficient detail for analysis?	Y				

		Program or Service (Budget Entity Codes)				
Action		79200100				
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				
TIP	The Schedule I is the most reliable source of data concerning the trust funds. It is very important that this schedule is as accurate as possible!					
TIP	Determine if the agency is scheduled for trust fund review. (See page 124 of the LBR Instructions.)					
TIP	Review the unreserved fund balances and compare revenue totals to expenditure totals to determine and understand the trust fund status.					
TIP	Typically nonoperating expenditures and revenues should not be a negative number. Any negative numbers must be fully justified.					
<b>9. SCHEDULE II (PSCR, SC2)</b>						
<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				
<b>10. SCHEDULE III (PSCR, SC3)</b>						
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.	N/A				
<b>11. SCHEDULE IV (EADR, SC4)</b>						
11.1	Are the correct Information Technology (IT) issue codes used?	N/A				
TIP	If IT issues are not coded correctly (with "C" in 6th position), they will not appear in the Schedule IV.					
<b>12. SCHEDULE VIIIA (EADR, SC8A)</b>						

		Program or Service (Budget Entity Codes)				
Action		79200100				
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				
<b>13. SCHEDULE VIII-B-1</b>						
13.1	This schedule is not required in the October 15, 2009 LBR submittal.					
<b>14. SCHEDULE VIII-B-2 (EADR, S8B2)</b>						
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				
<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> )	N/A				
15.6	Has the agency provided the necessary demand (Record Type 5) for all activities which <u>should</u> appear in Section II? (Note: Audit #3 will identify those activities that do NOT have a Record Type '5' and have not been identified as a 'Pass Through' activity. These activities will be displayed in Section III with the 'Payment of Pensions, Benefits and Claims' activity and 'Other' activities. Verify if these activities should be displayed in Section III. If not, an output standard would need to be added for that activity and the Schedule XI submitted again.)	Y				
15.7	Does Section I (Final Budget for Agency) and Section III (Total Budget for Agency) equal? ( <b>Audit #4 should print "No Discrepancies Found"</b> )	Y				
TIP	If Section I and Section III have a small difference, it may be due to rounding and therefore will be acceptable.					

		Program or Service (Budget Entity Codes)				
Action		79200100				
<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>						
TIP	Review <i>Section 6: Audits</i> of the LBR Instructions for a list of audits and their descriptions.					
TIP	Reorganizations may cause audit errors. Agencies must indicate that these errors are due to an agency reorganization to justify the audit error.					
<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)?	N/A				
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)?	N/A				
17.5	Are the appropriate counties identified in the narrative?	N/A				
TIP	Requests for Fixed Capital Outlay appropriations which are Grants and Aids to Local Governments and Non-Profit Organizations must use the Grants and Aids to Local Governments and Non-Profit Organizations - Fixed Capital Outlay major appropriation category (140XXX) and include the sub-title "Grants and Aids". These appropriations utilize a CIP-B form as justification.					
<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):

Agency Budget Officer/OPB Analyst Name:

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)				

<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>				
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>				
<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>				
1.4	Has security been set correctly? <b>(CSDR, CSA)</b>				
<b>TIP</b>	The agency should prepare the budget request for submission in this order: 1) Lock columns as described above; 2) copy Column A03 to Column A12; and 3) set Column A12 column security to ALL for DISPLAY status and MANAGEMENT CONTROL for UPDATE status.				
<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?				
2.2	Are the statewide issues generated systematically (estimated expenditures, nonrecurring expenditures, etc.) included?				
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?				
2.4	Have the coding guidelines in <i>Section 3</i> of the LBR Instructions (pages 15 through 27) been followed?				
<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.				

		Program or Service (Budget Entity Codes)				
Action						
<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> )					
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> )					
TIP	Generally look for and be able to fully explain significant differences between A02 and A03.					
TIP	Exhibit B - A02 equal to B07: Compares Current Year Estimated column to a backup of A02. This audit is necessary to ensure that the historical detail records have not been adjusted. Records selected should net to zero.					
TIP	Requests for appropriations which require advance payment authority must use the sub-title "Grants and Aids". For advance payment authority to local units of government, the Aid to Local Government appropriation category (05XXXX) should be used. For advance payment authority to non-profit organizations or other units of state government, the Special Categories appropriation category (10XXXX) should be used.					
<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?					
4.2	Is the program component code and title used correct?					
TIP	Fund shifts or transfers of services or activities between program components will be displayed on an Exhibit D whereas it may not be visible on an Exhibit A.					
<b>5. EXHIBIT D-1 (ED1R, EXD1)</b>						
5.1	Are all object of expenditures positive amounts? (This is a manual check.)					
<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> )					
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>						

Action		Program or Service (Budget Entity Codes)				
5.4	<p>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>)</p> <p><i>Please note that the LBR Instructions reference the wrong B column.</i></p>					
TIP	<p>If objects are negative amounts, the agency must make adjustments to Column A01 to correct the object amounts. In addition, the fund totals must be adjusted to reflect the adjustment made to the object data.</p>					



Action		Program or Service (Budget Entity Codes)				
TIP	If fund totals and object totals do not agree or negative object amounts exist, the agency must adjust Column A01.					
TIP	Exhibit B - A01 less than B04: This audit is to ensure that the disbursements and carry/certifications forward in A01 are less than FY 2008-09 approved budget. Amounts should be positive.					
TIP	If B08 is not equal to A01, check the following: 1) the initial FLAIR disbursements or carry forward data load was corrected appropriately in A01; 2) the disbursement data from departmental FLAIR was reconciled to State Accounts; and 3) the FLAIR disbursements did not change after Column B08 was created.					
<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?					
TIP	Exhibit D-3 is no longer required in the budget submission but may be needed for this particular appropriation category/issue sort. Exhibit D-3 is also a useful report when identifying negative appropriation category problems.					
<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.)					
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.)					
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?					
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?					
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.)					
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.					
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.					
7.8	Does the issue narrative include the Consensus Estimating Conference forecast, where appropriate?					
7.9	Does the issue narrative reference the specific county(ies) where applicable?					

Action		Program or Service (Budget Entity Codes)				
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?					
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>					
7.12	Does the issue narrative include plans to satisfy additional space requirements when requesting additional positions?					
7.13	Has the agency included a 160XXX0 issue and 210XXXX and 260XXX0 issues as required for lump sum distributions?					
7.14	Do the amounts reflect appropriate FSI assignments?					
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.)					
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)?					
7.17	Are the issues relating to <i>major audit findings and recommendations</i> properly coded (4A0XXX0, 4B0XXX0)?					
<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>					
7.19	Does the General Revenue for 160XXXX issues net to zero? <b>(GENR, LBR1)</b>					
7.20	Does the General Revenue for 180XXXX issues net to zero? <b>(GENR, LBR2)</b>					
7.21	Does the General Revenue for 200XXXX issues net to zero? <b>(GENR, LBR3)</b>					
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>					

Action		Program or Service (Budget Entity Codes)				
TIP	Salaries and Benefits amounts entered using the OADA/C transactions must be thoroughly justified in the D-3A issue narrative. Agencies can run <b>OADA/OADR</b> from STAM to identify the amounts entered into OAD and ensure these entries have been thoroughly explained in the D-3A issue narrative.					
TIP	The issue narrative must completely and thoroughly explain and justify each D-3A issue. Agencies must ensure it provides the information necessary for the OPB and legislative analysts to have a complete understanding of the issue submitted. Thoroughly review pages 64 through 70 of the LBR Instructions.					
TIP	Check BAPS to verify status of budget amendments. Check for reapprovals not picked up in the General Appropriations Act. Verify that Lump Sum appropriations in Column A02 do not appear in Column A03. Review budget amendments to verify that 160XXX0 issue amounts correspond accurately and net to zero for General Revenue funds.					
TIP	If an agency is receiving federal funds from another agency the FSI should = 9 (Transfer - Recipient of Federal Funds). The agency that originally receives the funds directly from the federal agency should use FSI = 3 (Federal Funds).					
TIP	If an appropriation made in the FY 2009-10 General Appropriations Act duplicates an appropriation made in substantive legislation, the agency must create a unique deduct nonrecurring issue to eliminate the duplicated appropriation. Normally this is taken care of through line item veto.					
<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?					
8.2	Has a Schedule I been completed in LAS/PBS for each operating trust fund?					
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)?					
8.4	Have the Examination of Regulatory Fees Part I and Part II forms been included for the applicable regulatory programs?					
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)?					
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?					
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?					

Action		Program or Service (Budget Entity Codes)				
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?					
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)?					

Action		Program or Service (Budget Entity Codes)				
8.10	Are the statutory authority references correct?					
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.)					
8.12	Is this an accurate representation of revenues based on the most recent Consensus Estimating Conference forecasts?					
8.13	If there is no Consensus Estimating Conference forecast available, do the revenue estimates appear to be reasonable?					
8.14	Are the federal funds revenues reported in Section I broken out by individual grant? Are the correct CFDA codes used?					
8.15	Are anticipated grants included and based on the state fiscal year (rather than federal fiscal year)?					
8.16	Are the Schedule I revenues consistent with the FSI's reported in the Exhibit D-3A?					
8.17	If applicable, are nonrecurring revenues entered into Column A04?					
8.18	Has the agency certified the revenue estimates in columns A02 and A03 to be the latest and most accurate available?					
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?					
8.20	Are appropriate service charge nonoperating amounts included in Section II?					
8.21	Are nonoperating expenditures to other budget entities/departments cross-referenced accurately?					
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.)					
8.23	Are nonoperating expenditures recorded in Section II and adjustments recorded in Section III?					
8.24	Are prior year September operating reversions appropriately shown in column A01?					
8.25	Are current year September operating reversions appropriately shown in column A02?					
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?					

Action		Program or Service (Budget Entity Codes)				
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?					
8.28	Does Line I of Column A01 (Schedule I) equal Line K of the Schedule IC?					
<b>AUDITS:</b>						
8.29	Is Line I a positive number? (If not, the agency must adjust the budget request to eliminate the deficit).					
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>					
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>					
TIP	The Schedule I is the most reliable source of data concerning the trust funds. It is very important that this schedule is as accurate as possible!					
TIP	Determine if the agency is scheduled for trust fund review. (See page 124 of the LBR Instructions.)					
TIP	Review the unreserved fund balances and compare revenue totals to expenditure totals to determine and understand the trust fund status.					
TIP	Typically nonoperating expenditures and revenues should not be a negative number. Any negative numbers must be fully justified.					
<b>9. SCHEDULE II (PSCR, SC2)</b>						
<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.)					
<b>10. SCHEDULE III (PSCR, SC3)</b>						
10.1	Is the appropriate lapse amount applied in Segment 3? (See page 88 of the LBR Instructions.)					
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.					
<b>11. SCHEDULE IV (EADR, SC4)</b>						
11.1	Are the correct Information Technology (IT) issue codes used?					
TIP	If IT issues are not coded correctly (with "C" in 6th position), they will not appear in the Schedule IV.					
<b>12. SCHEDULE VIIIA (EADR, SC8A)</b>						

Action		Program or Service (Budget Entity Codes)				
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?					
<b>13. SCHEDULE VIII-B-1</b>						
13.1	This schedule is not required in the October 15, 2009 LBR submittal.					
<b>14. SCHEDULE VIII-B-2 (EADR, S8B2)</b>						
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?					
<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.)					
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?					
<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> )					
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> )					
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> )					
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.)					
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> )					
TIP	If Section I and Section III have a small difference, it may be due to rounding and therefore will be acceptable.					

		Program or Service (Budget Entity Codes)				
Action						
<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?					
16.2	Are appropriation category totals comparable to Exhibit B, where applicable?					
16.3	Are agency organization charts (Schedule X) provided and at the appropriate level of detail?					
<b>AUDITS - GENERAL INFORMATION</b>						
TIP	Review <i>Section 6: Audits</i> of the LBR Instructions for a list of audits and their descriptions.					
TIP	Reorganizations may cause audit errors. Agencies must indicate that these errors are due to an agency reorganization to justify the audit error.					
<b>17. CAPITAL IMPROVEMENTS PROGRAM (CIP)</b>						
17.1	Are the CIP-2, CIP-3, CIP-A and CIP-B forms included?					
17.2	Are the CIP-4 and CIP-5 forms submitted when applicable (see CIP Instructions)?					
17.3	Do all CIP forms comply with CIP Instructions where applicable (see CIP Instructions)?					
17.4	Does the agency request include 5 year projections (Columns A03, A06, A07, A08 and A09)?					
17.5	Are the appropriate counties identified in the narrative?					
TIP	Requests for Fixed Capital Outlay appropriations which are Grants and Aids to Local Governments and Non-Profit Organizations must use the Grants and Aids to Local Governments and Non-Profit Organizations - Fixed Capital Outlay major appropriation category (140XXX) and include the sub-title "Grants and Aids". These appropriations utilize a CIP-B form as justification.					
<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?					



## Fiscal Year 2010-11 LBR Technical Review Checklist

Department/Budget Entity (Service):

Agency Budget Officer/OPB Analyst Name:

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	79010200	79010300		

### 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			
<b>TIP</b> The agency should prepare the budget request for submission in this order: 1) Lock columns as described above; 2) copy Column A03 to Column A12; and 3) set Column A12 column security to ALL for DISPLAY status and MANAGEMENT CONTROL for UPDATE status.					

### 2. EXHIBIT A (EADR, EXA)

2.1 Is the budget entity authority and description consistent with the agency's LRPP and does it conform to the directives provided on page 56 of the LBR Instructions?					
	Y	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.					
	N/A	N/A			

Action	Program or Service (Budget Entity Codes)			
	79010200	79010300		

**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		
TIP	Generally look for and be able to fully explain significant differences between A02 and A03.				
TIP	Exhibit B - A02 equal to B07: Compares Current Year Estimated column to a backup of A02. This audit is necessary to ensure that the historical detail records have not been adjusted. Records selected should net to zero.				
TIP	Requests for appropriations which require advance payment authority must use the sub-title "Grants and Aids". For advance payment authority to local units of government, the Aid to Local Government appropriation category (05XXXX) should be used. For advance payment authority to non-profit organizations or other units of state government, the Special Categories appropriation category (10XXXX) should be used.				

**4. EXHIBIT D (EADR, EXD)**

4.1	Is the program component objective statement consistent with the agency LRPP, and does it conform to the directives provided on page 59 of the LBR Instructions?	Y	Y		
4.2	Is the program component code and title used correct?	Y	Y		
TIP	Fund shifts or transfers of services or activities between program components will be displayed on an Exhibit D whereas it may not be visible on an Exhibit A.				

**5. EXHIBIT D-1 (ED1R, EXD1)**

5.1	Are all object of expenditures positive amounts? (This is a manual check.)	Y	Y		
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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> )	Y	Y		
<i>Please note that the LBR Instructions reference the wrong B column.</i>					

Action		Program or Service (Budget Entity Codes)				
		79010200	79010300			
5.4	<p>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>)</p> <p><i>Please note that the LBR Instructions reference the wrong B column.</i></p>					
TIP	<p>If objects are negative amounts, the agency must make adjustments to Column A01 to correct the object amounts. In addition, the fund totals must be adjusted to reflect the adjustment made to the object data.</p>					

		Program or Service (Budget Entity Codes)			
Action		79010200	79010300		
TIP	If fund totals and object totals do not agree or negative object amounts exist, the agency must adjust Column A01.				
TIP	Exhibit B - A01 less than B04: This audit is to ensure that the disbursements and carry/certifications forward in A01 are less than FY 2008-09 approved budget. Amounts should be positive.				
TIP	If B08 is not equal to A01, check the following: 1) the initial FLAIR disbursements or carry forward data load was corrected appropriately in A01; 2) the disbursement data from departmental FLAIR was reconciled to State Accounts; and 3) the FLAIR disbursements did not change after Column B08 was created.				
<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		
TIP	Exhibit D-3 is no longer required in the budget submission but may be needed for this particular appropriation category/issue sort. Exhibit D-3 is also a useful report when identifying negative appropriation category problems.				
<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?	N/A	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?	N/A	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?	N/A	N/A		
7.9	Does the issue narrative reference the specific county(ies) where applicable?	N/A	N/A		

Action		Program or Service (Budget Entity Codes)			
		79010200	79010300		
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	N/A		
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	N/A		
7.12	Does the issue narrative include plans to satisfy additional space requirements when requesting additional positions?	Y	N/A		
7.13	Has the agency included a 160XXX0 issue and 210XXXX and 260XXX0 issues as required for lump sum distributions?	N/A	N/A		
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.)	N/A	N/A		
7.16	Do the issues relating to <i>Information Technology (IT)</i> have a "C" in the sixth position of the issue code (36XXXXCX) and are the correct issue codes used (361XXC0, 362XXC0, 363XXC0, 17C01C0, 17C02C0, 17C03C0, 24010C0, 33001C0 or 55C01C0)?	N/A	Y		
7.17	Are the issues relating to <i>major audit findings and recommendations</i> properly coded (4A0XXX0, 4B0XXX0)?	N/A	N/A		
<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>	N/A	N/A		
7.20	Does the General Revenue for 180XXXX issues net to zero? <b>(GENR, LBR2)</b>	N/A	N/A		
7.21	Does the General Revenue for 200XXXX issues net to zero? <b>(GENR, LBR3)</b>	N/A	N/A		
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>	N/A	N/A		

Action		Program or Service (Budget Entity Codes)				
		79010200	79010300			
TIP	Salaries and Benefits amounts entered using the OADA/C transactions must be thoroughly justified in the D-3A issue narrative. Agencies can run <b>OADA/OADR</b> from STAM to identify the amounts entered into OAD and ensure these entries have been thoroughly explained in the D-3A issue narrative.					
TIP	The issue narrative must completely and thoroughly explain and justify each D-3A issue. Agencies must ensure it provides the information necessary for the OPB and legislative analysts to have a complete understanding of the issue submitted. Thoroughly review pages 64 through 70 of the LBR Instructions.					
TIP	Check BAPS to verify status of budget amendments. Check for reapprovals not picked up in the General Appropriations Act. Verify that Lump Sum appropriations in Column A02 do not appear in Column A03. Review budget amendments to verify that 160XXX0 issue amounts correspond accurately and net to zero for General Revenue funds.					
TIP	If an agency is receiving federal funds from another agency the FSI should = 9 (Transfer - Recipient of Federal Funds). The agency that originally receives the funds directly from the federal agency should use FSI = 3 (Federal Funds).					
TIP	If an appropriation made in the FY 2009-10 General Appropriations Act duplicates an appropriation made in substantive legislation, the agency must create a unique deduct nonrecurring issue to eliminate the duplicated appropriation. Normally this is taken care of through line item veto.					
<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?	Y	Y			

Action		Program or Service (Budget Entity Codes)				
		79010200	79010300			
8.8	If the agency is scheduled for the annual trust fund review this year, have the necessary trust funds been requested for creation pursuant to <i>section 215.32(2)(b), Florida Statutes</i> - including the Schedule ID and applicable legislation?	Y	Y			
8.9	Are the revenue codes correct? In the case of federal revenues, has the agency appropriately identified direct versus indirect receipts (object codes 000700, 000750, 000799, 001510 and 001599)?	Y	Y			

Action		Program or Service (Budget Entity Codes)			
		79010200	79010300		
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?	N/A	N/A		
8.13	If there is no Consensus Estimating Conference forecast available, do the revenue estimates appear to be reasonable?	Y	Y		
8.14	Are the federal funds revenues reported in Section I broken out by individual grant? Are the correct CFDA codes used?	N/A	N/A		
8.15	Are anticipated grants included and based on the state fiscal year (rather than federal fiscal year)?	N/A	N/A		
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?	N/A	N/A		
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		



Action		Program or Service (Budget Entity Codes)				
		79010200	79010300			
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			
TIP	The Schedule I is the most reliable source of data concerning the trust funds. It is very important that this schedule is as accurate as possible!					
TIP	Determine if the agency is scheduled for trust fund review. (See page 124 of the LBR Instructions.)					
TIP	Review the unreserved fund balances and compare revenue totals to expenditure totals to determine and understand the trust fund status.					
TIP	Typically nonoperating expenditures and revenues should not be a negative number. Any negative numbers must be fully justified.					
<b>9. SCHEDULE II (PSCR, SC2)</b>						
<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	N/A			
<b>10. SCHEDULE III (PSCR, SC3)</b>						
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			
<b>11. SCHEDULE IV (EADR, SC4)</b>						
11.1	Are the correct Information Technology (IT) issue codes used?	N/A	Y			
TIP	If IT issues are not coded correctly (with "C" in 6th position), they will not appear in the Schedule IV.					
<b>12. SCHEDULE VIIIA (EADR, SC8A)</b>						

Action		Program or Service (Budget Entity Codes)				
		79010200	79010300			
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			
<b>13. SCHEDULE VIIB-1</b>						
13.1	This schedule is not required in the October 15, 2009 LBR submittal.					
<b>14. SCHEDULE VIIB-2 (EADR, S8B2)</b>						
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			
<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> )	N/A	N/A			
15.6	Has the agency provided the necessary demand (Record Type 5) for all activities which <u>should</u> appear in Section II? (Note: Audit #3 will identify those activities that do NOT have a Record Type '5' and have not been identified as a 'Pass Through' activity. These activities will be displayed in Section III with the 'Payment of Pensions, Benefits and Claims' activity and 'Other' activities. Verify if these activities should be displayed in Section III. If not, an output standard would need to be added for that activity and the Schedule XI submitted again.)	Y	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			
TIP	If Section I and Section III have a small difference, it may be due to rounding and therefore will be acceptable.					

Action		Program or Service (Budget Entity Codes)			
		79010200	79010300		

<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>					
TIP	Review <i>Section 6: Audits</i> of the LBR Instructions for a list of audits and their descriptions.				
TIP	Reorganizations may cause audit errors. Agencies must indicate that these errors are due to an agency reorganization to justify the audit error.				

<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)?	N/A	N/A		
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)?	N/A	N/A		
17.5	Are the appropriate counties identified in the narrative?	N/A	N/A		
TIP	Requests for Fixed Capital Outlay appropriations which are Grants and Aids to Local Governments and Non-Profit Organizations must use the Grants and Aids to Local Governments and Non-Profit Organizations - Fixed Capital Outlay major appropriation category (140XXX) and include the sub-title "Grants and Aids". These appropriations utilize a CIP-B form as justification.				