

State of Florida
Division of Administrative Hearings

Charles J. Crist, Jr.
Governor

Robert S. Cohen
Director and Chief Judge

Claudia Lladó
Clerk of the Division



Harry L. Hooper
Deputy Chief
Administrative Law Judge

David W. Langham
Deputy Chief Judge
Judges of Compensation Claims

LEGISLATIVE BUDGET REQUEST

October 2, 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*, our Legislative Budget Request for the Division of Administrative Hearings is submitted in the format prescribed in the budget instructions. The information provided electronically and contained herein is a true and accurate presentation of our proposed needs for the 2010-11 Fiscal Year.

Sincerely,

A handwritten signature in blue ink, appearing to read "Robert S. Cohen", with a long horizontal flourish extending to the right.

Robert S. Cohen
Director and Chief Judge

/mrl

DIVISION OF ADMINISTRATIVE HEARINGS

DEPARTMENT LEVEL EXHIBITS AND SCHEDULES

BEGINNING TRIAL BALANCE BY FUND
JULY 01, 2009

729700 DIVISION OF ADMINISTRATIVE HEARINGS
10 1 000227 ADMINISTRATION DEPT.-ADMINISTRATIVE HEARINGS DIV.

G-L CAT	G-L ACCOUNT NAME	BEGINNING BALANCE
13100 000000	UNEXPENDED GENERAL REVENUE RELEASES BALANCE BROUGHT FORWARD	0.00
54900 000000	FUND BALANCE UNRESERVED BALANCE BROUGHT FORWARD	0.00
55100 000000	FUND BALANCE RESERVED FOR ENCUMBRANCES BALANCE BROUGHT FORWARD	0.00
	*** FUND TOTAL	0.00

BEGINNING TRIAL BALANCE BY FUND
JULY 01, 2009

729700 DIVISION OF ADMINISTRATIVE HEARINGS
20 2 021006 ADMINISTRATIVE TRUST FUND ADMIN HEARINGS DIV.

G-L CAT	G-L ACCOUNT NAME	BEGINNING BALANCE
12100 000000	UNRELEASED CASH IN STATE TREASURY BALANCE BROUGHT FORWARD	0.00
14100 000000	POOLED INVESTMENTS WITH STATE TREASURY BALANCE BROUGHT FORWARD	0.00
15300 000000 000500	INTEREST AND DIVIDENDS RECEIVABLE BALANCE BROUGHT FORWARD	0.00 0.00
	** GL 15300 TOTAL	0.00
16300 000000 001500 001800	DUE FROM OTHER DEPARTMENTS BALANCE BROUGHT FORWARD	21,848.00 21,848.00-
	** GL 16300 TOTAL	0.00 0.00
31100 000000 010000 030000 040000 310322	ACCOUNTS PAYABLE BALANCE BROUGHT FORWARD SALARIES AND BENEFITS CF OTHER PERSONAL SERVICES EXPENSES SERVICE CHARGE TO GEN REV	9,920.69 0.00 0.00 9,920.69- 0.00
	** GL 31100 TOTAL	0.00
35300 000000 040000	DUE TO OTHER DEPARTMENTS BALANCE BROUGHT FORWARD EXPENSES	2,268.50 2,268.50-
	** GL 35300 TOTAL	0.00
35600 000000 310322	DUE TO GENERAL REVENUE BALANCE BROUGHT FORWARD SERVICE CHARGE TO GEN REV	758.45- 758.45
	** GL 35600 TOTAL	0.00
38600 000000	CURRENT COMPENSATED ABSENCES LIABILITY BALANCE BROUGHT FORWARD	0.00
54900 000000	FUND BALANCE UNRESERVED BALANCE BROUGHT FORWARD	0.00
55100 000000 030000	FUND BALANCE RESERVED FOR ENCUMBRANCES BALANCE BROUGHT FORWARD OTHER PERSONAL SERVICES	0.00 0.00
	** GL 55100 TOTAL	0.00
	*** FUND TOTAL	0.00

BEGINNING TRIAL BALANCE BY FUND
 JULY 01, 2009

729700 DIVISION OF ADMINISTRATIVE HEARINGS
 20 2 510150 OPERATING TRUST FUND-DOAH

G-L CAT	G-L ACCOUNT NAME	BEGINNING BALANCE
12100 000000	UNRELEASED CASH IN STATE TREASURY BALANCE BROUGHT FORWARD	70,104.46
14100 000000	POOLED INVESTMENTS WITH STATE TREASURY BALANCE BROUGHT FORWARD	5,005,623.17
15100 001905	ACCOUNTS RECEIVABLE	84,406.93
15300 000500	INTEREST AND DIVIDENDS RECEIVABLE	15,396.87
16300 001500	DUE FROM OTHER DEPARTMENTS	61,712.00
31100	ACCOUNTS PAYABLE	
010000	SALARIES AND BENEFITS	0.00
010000 CF	SALARIES AND BENEFITS	2,412.08-
030000	OTHER PERSONAL SERVICES	0.00
030000 CF	OTHER PERSONAL SERVICES	121.11-
040000	EXPENSES	0.00
040000 CF	EXPENSES	4,895.99-
100777	CONTRACTED SERVICES	0.00
100777 CF	CONTRACTED SERVICES	58.26-
	** GL 31100 TOTAL	7,487.44-
35300	DUE TO OTHER DEPARTMENTS	
000000	BALANCE BROUGHT FORWARD	665.04-
040000	EXPENSES	28,637.79-
040000 CF	EXPENSES	2,058.17-
100777	CONTRACTED SERVICES	8.00-
	** GL 35300 TOTAL	31,369.00-
35600	DUE TO GENERAL REVENUE	
310322	SERVICE CHARGE TO GEN REV	19,490.46-
38600	CURRENT COMPENSATED ABSENCES LIABILITY	
010000	SALARIES AND BENEFITS	20,419.73-
54900	FUND BALANCE UNRESERVED	
000000	BALANCE BROUGHT FORWARD	4,817,621.92-

BEGINNING TRIAL BALANCE BY FUND
 JULY 01, 2009

729700 DIVISION OF ADMINISTRATIVE HEARINGS
 20 2 510150 OPERATING TRUST FUND-DOAH

G-L CAT	G-L ACCOUNT NAME	BEGINNING BALANCE
55100	FUND BALANCE RESERVED FOR ENCUMBRANCES	
040000	CF EXPENSES	260,816.72-
060000	CF OPERATING CAPITAL OUTLAY	38,570.15-
100777	CF CONTRACTED SERVICES	41,468.01-
	** GL 55100 TOTAL	340,854.88-
94100	ENCUMBRANCES	
040000	CF EXPENSES	260,816.72
060000	CF OPERATING CAPITAL OUTLAY	38,570.15
100777	CONTRACTED SERVICES	45,140.60
100777	CF CONTRACTED SERVICES	41,468.01
	** GL 94100 TOTAL	385,995.48
98100	BUDGETARY FND BAL RESERVED/ENCUMBRANCE	
040000	CF EXPENSES	260,816.72-
060000	CF OPERATING CAPITAL OUTLAY	38,570.15-
100777	CONTRACTED SERVICES	45,140.60-
100777	CF CONTRACTED SERVICES	41,468.01-
	** GL 98100 TOTAL	385,995.48-
	*** FUND TOTAL	0.00

BEGINNING TRIAL BALANCE BY FUND
 JULY 01, 2009

729700 DIVISION OF ADMINISTRATIVE HEARINGS
 80 9 000001 GENERAL FIXED ASSET ACCOUNT GROUP

G-L CAT	G-L ACCOUNT NAME	BEGINNING BALANCE
27600	FURNITURE AND EQUIPMENT	
000000	BALANCE BROUGHT FORWARD	1,181,967.25
001800		5,061.89-
040000	EXPENSES	48,588.17
060000	OPERATING CAPITAL OUTLAY	300,666.59-
	** GL 27600 TOTAL	924,826.94
27700	ACC DEPR - FURNITURE & EQUIPMENT	
001800		10,785.00
040000	EXPENSES	6,767.95-
060000	OPERATING CAPITAL OUTLAY	230,569.53-
	** GL 27700 TOTAL	226,552.48-
28200	LIBRARY RESOURCES	
000000	BALANCE BROUGHT FORWARD	35,815.84
28300	ACC DEPR LIBRARY RESOURCES	
000000	BALANCE BROUGHT FORWARD	35,815.84-
54900	FUND BALANCE UNRESERVED	
000000	BALANCE BROUGHT FORWARD	698,274.46-
	*** FUND TOTAL	0.00

BEGINNING TRIAL BALANCE BY FUND
 JULY 01, 2009

729700 DIVISION OF ADMINISTRATIVE HEARINGS
 80 9 000006 GENERAL FIXED ASSET ACCOUNT GROUP

G-L CAT	G-L ACCOUNT NAME	BEGINNING BALANCE
27600	FURNITURE AND EQUIPMENT	
000000	BALANCE BROUGHT FORWARD	3,662.70
040000	EXPENSES	419,426.96
060000	OPERATING CAPITAL OUTLAY	912,352.51
	** GL 27600 TOTAL	1,335,442.17
27700	ACC DEPR - FURNITURE & EQUIPMENT	
000000	BALANCE BROUGHT FORWARD	3,662.70-
040000	EXPENSES	67,828.28-
060000	OPERATING CAPITAL OUTLAY	570,182.68-
	** GL 27700 TOTAL	641,673.66-
54900	FUND BALANCE UNRESERVED	
000000	BALANCE BROUGHT FORWARD	693,768.51-
	*** FUND TOTAL	0.00

BEGINNING TRIAL BALANCE BY FUND
JULY 01, 2009

729700 DIVISION OF ADMINISTRATIVE HEARINGS
90 9 000002 GENERAL LONG-TERM DEBT ACCOUNT GROUP

G-L CAT	G-L ACCOUNT NAME	BEGINNING BALANCE
38600 000000	CURRENT COMPENSATED ABSENCES LIABILITY BALANCE BROUGHT FORWARD	414,825.40-
48600 000000 010000	COMPENSATED ABSENCES LIABILITY BALANCE BROUGHT FORWARD SALARIES AND BENEFITS	106,825.61 1,042,776.79-
	** GL 48600 TOTAL	935,951.18-
54900 000000	FUND BALANCE UNRESERVED BALANCE BROUGHT FORWARD	1,350,776.58
	*** FUND TOTAL	0.00

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SCHEDULE I
TRUST FUNDS AVAILABLE

SUPPORTING NARRATIVE
COMPUTING DISTRIBUTION OF COST FOR GENERAL MANAGEMENT AND
ADMINISTRATIVE SERVICES

Methodology:

Identify administrative functions shared by both budget entities - Adjudication of Disputes (DOAH) and Workers' Compensation Appeals (OJCC).

Identify positions performing administrative functions shared by both budget entities.

Identify the costs associated with these administrative functions.

Identify a basis for distributing the costs of the administrative functions to each budget entity.

The following administrative functions are shared by both DOAH and OJCC:

- Administration
- Executive Direction
- Finance and Accounting
- Human Resources
- Information Technology
- Planning and Budgeting
- Procurement

Associated costs for these functions are allocated to each budget entity based on:

- Administration - Appropriations (32% DOAH, 68% OJCC)
- Executive Direction - Appropriations (32% DOAH, 68% OJCC)
- Finance and Accounting - Appropriations (32% DOAH, 68% OJCC)
- Human Resources - FTE (26% DOAH, 74% OJCC)
- Information Technology - Appropriations (32% DOAH, 68% OJCC)
- Planning and Budgeting - Appropriations (32% DOAH, 68% OJCC)
- Procurement - Appropriations (32% DOAH, 68% OJCC)

SCHEDULE I
TRUST FUNDS AVAILABLE

FY 2010-2011
SUPPORTING NARRATIVE
COMPUTATION OF COST FOR GENERAL MANAGEMENT AND ADMINISTRATIVE SERVICES

729701 ADJUDICATION OF DISPUTES			32%			HR &					
ADMIN FUNCTION	POS TITLE	POS#	INCUMBENT	SALARY	BENEFITS	S/B TOTAL	EXP PKG	BONUS	TOTAL	DOAH AMT	OJCC AMT
Administration	Admin Svc Dir II-SES	2842	Mustain, L	\$ 76,926	\$ 27,993	\$ 104,919	\$ 6,907	\$ -	\$ 111,826	\$ 35,784	\$ 76,042
Administration	Admin Assist II-SES	3151	Givens, D	\$ 40,000	\$ 13,450	\$ 53,450	\$ 6,907	\$ -	\$ 60,357	\$ 19,314	\$ 41,043
Executive Direction	Dir & Chief Judge-DOAH	2646	Cohen, R	\$ 127,410	\$ 39,926	\$ 167,336	\$ 6,907	\$ -	\$ 174,243	\$ 55,758	\$ 118,485
Executive Direction	Exec Asst I - SES	2771	Sloan, L	\$ 48,000	\$ 22,811	\$ 70,811	\$ 6,907	\$ -	\$ 77,718	\$ 24,870	\$ 52,848
Finance & Acct	Accountant Supv II-SES	2741	Stern, J	\$ 46,217	\$ 22,491	\$ 68,708	\$ 6,907	\$ -	\$ 75,615	\$ 24,197	\$ 51,418
Finance & Acct	Staff Assistant	2816	Allbritton, D	\$ 27,192	\$ 4,817	\$ 32,009	\$ 5,523	\$ -	\$ 37,532	\$ 12,010	\$ 25,522
Human Resources	Pers Officer I-SES	2843	Simmons, L	\$ 63,092	\$ 11,306	\$ 74,398	\$ 6,907	\$ -	\$ 81,305	\$ 21,139	\$ 60,166 *
Information Tech	Office Auto Spec II	2433	Doxsee, L	\$ 32,404	\$ 17,791	\$ 50,195	\$ 5,523	\$ -	\$ 55,718	\$ 44,574	\$ 11,144 *
Information Tech	Data Base Admin-SES	2845	Brown, S	\$ 76,926	\$ 27,993	\$ 104,919	\$ 6,907	\$ -	\$ 111,826	\$ 35,784	\$ 76,042
Information Tech	Dist Comp Sys Analyst-SES	3412	Kurasch, J	\$ 40,008	\$ 21,379	\$ 61,387	\$ 6,907	\$ -	\$ 68,294	\$ 21,854	\$ 46,440
Information Tech	Sys Programmer I	2654	Russell, J	\$ 48,072	\$ 20,568	\$ 68,640	\$ 6,907	\$ -	\$ 75,547	\$ 37,774	\$ 37,774 *
Planning & Budget	Budget Officer	2801	Lawrence, M	\$ 86,056	\$ 22,614	\$ 108,670	\$ 6,907	\$ -	\$ 115,577	\$ 36,985	\$ 78,592
Procurement	Purch Agent III-SES	2434	Penrod, T	\$ 44,447	\$ 22,173	\$ 66,620	\$ 6,907	\$ -	\$ 73,527	\$ 23,529	\$ 49,998
Procurement	Admin Assist II-SES	3143	Lewis, H	\$ 34,236	\$ 20,344	\$ 54,580	\$ 6,907	\$ -	\$ 61,487	\$ 19,676	\$ 41,811
DOAH TOTALS				\$ 790,986	\$ 295,656	\$ 1,086,642	\$ 93,930	\$ -	\$ 1,180,572	\$ 413,249	\$ 767,323

729702 WORKERS' COMPENSATION APPEALS			68%			HR &					
ADMIN FUNCTION	POS TITLE	POS#	INCUMBENT	SALARY	BENEFITS	S/B TOTAL	EXP PKG	BONUS	TOTAL	OJCC AMT	DOAH AMT
Finance & Acct	Admin Assist III	3406	Folks, G	\$ 39,138	\$ 19,399	\$ 58,537	\$ 5,523	\$ -	\$ 64,060	\$ 43,561	\$ 20,499
Finance & Acct	Accountant I	3409	Griffin, P	\$ 31,308	\$ 12,652	\$ 43,960	\$ 5,523	\$ -	\$ 49,483	\$ 33,648	\$ 15,835
Finance & Acct	Admin Assist II-SES	3416	Pelt, K	\$ 35,854	\$ 20,635	\$ 56,489	\$ 6,907	\$ -	\$ 63,396	\$ 43,109	\$ 20,287
Finance & Acct	Accountant II	3425	Roberts, R	\$ 38,126	\$ 18,805	\$ 56,931	\$ 5,523	\$ -	\$ 62,454	\$ 42,469	\$ 19,985
Information Tech	Dist Comp Sys Admin-SES	3422	Reynolds, W	\$ 55,782	\$ 24,205	\$ 79,987	\$ 6,907	\$ -	\$ 86,894	\$ 27,806	\$ 59,088 *
Planning & Budget	Sr Mgmt Analyst II-SES	3410	Wingler, C	\$ 66,057	\$ 26,046	\$ 92,103	\$ 6,907	\$ -	\$ 99,010	\$ 67,327	\$ 31,683
OJCC TOTALS				\$ 266,265	\$ 121,742	\$ 388,007	\$ 37,290	\$ -	\$ 425,297	\$ 257,921	\$ 167,376

TOTAL DOAH COST TO BE RECOVERED FROM THE OJCC										\$ 599,947	
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* Percentages for these employees vary because of their job duties.

SCHEDULE I
TRUST FUNDS AVAILABLE

SUPPORTING NARRATIVE - SECTION III ADJUSTMENTS
OPERATING TRUST FUND

Following are descriptions of the adjustments included in the Schedule I, Columns A01 and A02, Section III, of the Division's FY 2010-11 Legislative Budget Request:

COLUMN A01: ACTUAL PRIOR YEAR - FY 2008-09

01 Record Current-Year Compensated Absences - DOAH

Per statewide financial reporting requirements, the adjustment of \$20,420 is necessary to record current-year compensated absence liability for the Adjudication of Disputes Program. The adjustment has a positive impact on the fund balance.

02 Record September 30, 2008 Operating Reversions - DOAH

Per FY 2010-11 Legislative Budget Request instructions, the adjustment of \$3,098 is necessary to include September 30, 2008 operating reversions for the Adjudication of Disputes Program. The adjustment has a positive impact on the fund balance.

03 Record September 30, 2008 Operating Reversions - JCCs

Per FY 2010-11 Legislative Budget Request instructions, the adjustment of \$10,643 is necessary to include September 30, 2008 operating reversions for the Workers' Compensation Appeals Program. The adjustment has a positive impact on the fund balance.

04 Record February 25, 2009 Fixed Capital Outlay Reversions - JCCs

Per FY 2010-11 Legislative Budget Request instructions, the adjustment of \$40,283 is necessary to include February, 2009 Fixed Capital Outlay reversions for the Workers' Compensation Appeals Program. The adjustment has a positive impact on the fund balance.

05 Record Administrative Fees – DOAH:

Per statewide financial reporting requirements, administrative fees totaling (\$17,553) are to be booked as current-year expenditures for the Adjudication of Disputes Program. The adjustment has a negative impact on the fund balance.

06 Close Prior-Year Carry Forwards – DOAH:

Per statewide financial reporting requirements, the adjustment of (\$24,483) is necessary to record the closing of FY 2007-08 carry forwards for the Adjudication of Disputes Program. The adjustment has a negative impact on the fund balance.

07 Close Prior-Year Carry Forwards – JCCs:

Per statewide financial reporting requirements, the adjustment of (\$166,205) is necessary to record the closing of FY 2007-08 carry forwards for the Workers' Compensation Appeals Program. The adjustment has a negative impact on the fund balance.

08 Record Accounts Receivable - DOAH:

Per statewide financial reporting requirements, the adjustment of \$84,407 is necessary to record FY 2008-09 accounts receivable for the Adjudication of Disputes Program. The adjustment has a positive impact on the fund balance.

09 Record Posting of Prior-Year Accounts Receivable - DOAH:

Per statewide financial reporting requirements, the adjustment of \$21,995 is necessary to record the posting of prior-year accounts receivable to the current year for the Adjudication of Disputes Program. The adjustment has a positive impact on the fund balance.

10 Record Remaining Interest Earned - DOAH:

Per statewide financial reporting requirements, the adjustment of \$33,183 is necessary to record the interest earned in FY 2008-09 for the Adjudication of Disputes Program. The adjustment has a positive impact on the fund balance.

11 Record Amount Due from Department of Management Services/FCHR - DOAH:

Per statewide financial reporting requirements, the adjustment of \$61,712 is necessary to record the amount due from the Department of Management Services/Florida Commission on Human Relations to the Adjudication of Disputes Program. The adjustment has a positive impact on the fund balance.

12 Close Prior-Year Compensated Absences – DOAH:

Per statewide financial reporting requirements, the adjustment of (\$15,503) is necessary to record closing FY 2007-08 compensated absences for the Adjudication of Disputes Program. The adjustment has a negative impact on the fund balance.

13 Close Prior-Year General Revenue Service Charge – DOAH:

Per statewide financial reporting requirements, the adjustment of (\$16,751) is necessary to record closing the FY 2007-08 General Revenue service charge for the Adjudication of Disputes Program. The adjustment has a negative impact on the fund balance.

14 Record Current Year General Revenue Service Charge – DOAH:

Per statewide financial reporting requirements, the adjustment of \$19,491 is necessary to record the current year General Revenue service charge for the Adjudication of Disputes Program. The adjustment has a positive impact on the fund balance.

15 Record Non Carry Forward Liability – DOAH:

Per statewide financial reporting requirements, the adjustment of (\$9,844) is necessary to record the non carry forward liability for the Adjudication of Disputes Program. The adjustment has a negative impact on the fund balance.

16 Record Non Carry Forward Liability – JCCs:

Per statewide financial reporting requirements, the adjustment of (\$18,802) is necessary to record the non carry forward liability for the Workers' Compensation Appeals Program. The adjustment has a negative impact on the fund balance.

17 Reverse Encumbered Payables – DOAH:

Per statewide financial reporting requirements, the adjustment of (\$1,054) is necessary to record the reversing entry for encumbered payables for the Adjudication of Disputes Program. The adjustment has a negative impact on the fund balance.

18 Reverse Encumbered Payables – JCCs:

Per statewide financial reporting requirements, the adjustment of (\$11,006) is necessary to record the reversing entry for encumbered payables for the Workers' Compensation Appeals Program. The adjustment has a negative impact on the fund balance.

19 Close Prior-Year Payables – JCCs:

Per statewide financial reporting requirements, the adjustment of (\$4,564) is necessary to record the closing of prior-year payables for the Workers' Compensation Appeals Program. The adjustment has a negative impact on the fund balance.

20 Close Prior-Year Fixed Capital Outlay – JCCs:

Per statewide financial reporting requirements, the adjustment of (\$31,120) is necessary to close prior-year Fixed Capital Outlay to offset Fund 80 for the Workers' Compensation Appeals Program. The adjustment has a negative impact on the fund balance.

21 Rounding - To Balance with June 30, 2009 Unreserved Fund Balance - DOAH

The adjustment of (\$2) is necessary to balance with the June 30, 2009 unreserved fund balance for the Adjudication of Disputes Program.

22 Rounding - To Balance with June 30, 2009 Unreserved Fund Balance - JCCs

The adjustment of (\$1) is necessary to balance with the June 30, 2009 unreserved fund balance for the Workers' Compensation Appeals Program.

COLUMN A02: CURRENT YEAR ESTIMATED - FY 2009-10

23 Record September 30, 2009 Operating Reversions - DOAH

Per FY 2010-11 Legislative Budget Request instructions, the adjustment of \$5,455 is necessary to include September 30, 2009 operating reversions for the Adjudication of Disputes Program. The adjustment has a positive impact on the fund balance.

24 Record September 30, 2009 Operating Reversions - JCCs

Per FY 2010-11 Legislative Budget Request instructions, the adjustment of \$6,881 is necessary to include September 30, 2009 operating reversions for the Workers' Compensation Appeals Program. The adjustment has a positive impact on the fund balance.

SCHEDULE I
TRUST FUNDS AVAILABLE

SUPPORTING NARRATIVE
REVENUE ESTIMATING METHODOLOGIES
OPERATING TRUST FUND

Following are explanations of methodologies used to develop revenue estimates contained in Columns A02 and A03:

COLUMN A02: CURRENT YEAR ESTIMATED REVENUES - FY 2009-10

Lines 1 – 27: Transfers from State Agencies – Adjudication of Disputes

These revenues represent transfers from state agencies to the Division of Administrative Hearings (DOAH) to support the Adjudication of Disputes Program. These transfers are appropriated in the FY 2009-10 General Appropriations Act (Chapter 2009-81, Laws of Florida) and total \$6,615,422.

Line 28: Transfers of Application Fees from the Department of Environmental Protection for Cases Filed Pursuant to Chapter 403, Florida Statutes - Adjudication of Disputes

Pursuant to Chapter 403, Florida Statutes, the Department of Environmental Protection (DEP) transfers to DOAH a portion of the application fees that it collects in electrical power plant siting, transmission line siting, and natural gas transmission pipeline siting cases. These fees are paid when DEP refers a case to DOAH, and if land use, certification, and other administrative hearings are held. The estimate of \$237,000 was provided by DEP. Fees totaling \$96,880 were received during the first quarter of FY 2009-10.

Line 29: Transfer from State Agency – Workers’ Compensation Appeals

This estimate represents the transfer from the Department of Financial Services to DOAH to support the Workers’ Compensation Appeals – Judges of Compensation Claims Program. This transfer totals \$18,675,275 and covers the operating and nonoperating costs of this program, calculated as follows:

\$18,099,060	Operating budget
+ 576,215	Nonoperating budget
<u>\$18,675,275</u>	Total estimated transfer from the Department of Financial Services
=====	

Line 30: Sale of Goods and Services to State Agencies – Adjudication of Disputes

The estimate of \$51,874 represents revenue from: (1) the Florida Legislature for contract (claim bill) cases filed pursuant to Senate Rule 4.81; (2) the Florida Department of Revenue and other state agencies for contract cases filed pursuant to Chapter 120, Florida Statutes; and (3) various state agencies for copies of documents provided by DOAH. This amount is carried forward from the prior fiscal year (FY 2008-09) because caseload and billable hours are projected to remain relatively constant in FY 2009-10.

Line 31: Sale of Goods and Services to State Agencies - Workers' Compensation Appeals

The \$100 collected in the prior fiscal year (FY 2008-09) was atypical for this program and therefore was not carried forward in subsequent fiscal years.

Line 32: Sale of Services – Outside State – Adjudication of Disputes

The FY 2009-10 estimate is reported on line 33 because the General Revenue Service charge paid by DOAH increased from 7.3% to 8.0% effective July 1, 2009.

Line 33: Sale of Services - Outside State - Adjudication of Disputes

The estimate of \$507,233 represents revenue from nonstate entities for Administrative Law Judge services, plus travel and video teleconferencing costs. This amount is carried forward from the prior fiscal year (FY 2008-09) because caseload and billable hours are projected to remain relatively constant in FY 2009-10.

Line 34: Refunds – Adjudication of Disputes

The amount of refunds varies from year to year and cannot be predicted; thus, refunds are not carried forward in subsequent fiscal years.

Line 35: Refunds – Workers' Compensation Appeals

The amount of refunds varies from year to year and cannot be predicted; thus, refunds are not carried forward in subsequent fiscal years.

Line 36: Tenant Broker Commission - Workers' Compensation Appeals

Pursuant to subsections 255.25(3) and 255.249(6), Florida Statutes, DOAH collected third party commissions for tenant broker services in the amount of \$40,882.98. Approved budget amendment #EOG B0091 provided the budget authority required for DOAH to pay the tenant broker \$40,882.98 in September, 2009.

Line 37: Reimbursements – Adjudication of Disputes

The estimate of \$7,231 represents reimbursements to be made to the Adjudication of Disputes Program. This amount is carried forward from the prior fiscal year (FY 2008-09).

Line 38: Reimbursements – Workers' Compensation Appeals

The estimate of \$4,097 represents reimbursements to be made to the Workers' Compensation Appeals Program. This amount is carried forward from the prior fiscal year (FY 2008-09).

Line 39: Interest on Investments – Adjudication of Disputes

The FY 2009-10 estimate is reported on line 40 because the General Revenue Service charge paid by DOAH increased from 7.3% to 8.0% effective July 1, 2009.

Line 40: Interest on Investments - Adjudication of Disputes

In FY 2008-09, interest earnings totaling \$359,611 represent 1.65% of the total funds invested that year. These earnings are prorated among DOAH's two programs using a formula based on funds available for investing, as well as actual investments made. Using this formula, it is estimated that \$19,117,302 will be invested in FY 2009-10, earning \$315,792, or 1.65%. This

program's share of these earnings is estimated at \$87,214, and represents .46% of the total funds invested.

Line 41: Interest on Investments – Workers' Compensation Appeals

The FY 2009-10 estimate is reported on line 42 because the General Revenue Service charge paid by DOAH increased from 7.3% to 8.0% effective July 1, 2009.

Line 42: Interest on Investments – Workers' Compensation Appeals

In FY 2008-09, interest earnings totaling \$359,611 represent 1.65% of the total funds invested that year. These earnings are prorated among DOAH's two programs using a formula based on funds available for investing, as well as actual investments made. Using this formula, it is estimated that \$19,117,302 will be invested in FY 2009-10, earning \$315,792, or 1.65%. This program's share of these earnings is estimated at \$228,578, and represents 1.19% of the total funds invested.

COLUMN A03: AGENCY REQUEST – FY 2010-11

Lines 1 – 27: Transfers from State Agencies – Adjudication of Disputes

These revenues represent transfers from state agencies to the Division of Administrative Hearings to support the Adjudication of Disputes Program. The Division's budget, as adjusted below, is prorated among these agencies based on actual time spent in administrative proceedings by DOAH's Administrative Law Judges in FY 2008-09. The total amount prorated among the agencies is \$7,332,455 and is calculated as follows:

\$8,579,579	Total FY 2010-11 Legislative Budget Request
(559,107)	Less: Estimated Revenue from Nonstate and State Contract Entities
(599,947)	Less: Estimated Cost For Providing General Management and Administrative Services to the Workers' Compensation Appeals Program
(165,000)	Less: Estimated Revenue from Application Fees for Cases Filed Pursuant to Chapter 403, Florida Statutes
+ 76,930	Plus: Estimated Nonoperating Cost of State Agency Video Teleconferencing Administrative Proceedings
\$7,332,455	Total Amount Prorated Among State Agencies
=====	

Line 28: Transfers of Application Fees from the Department of Environmental Protection for Cases Filed Pursuant to Chapter 403, Florida Statutes - Adjudication of Disputes

Pursuant to Chapter 403, Florida Statutes, the Department of Environmental Protection (DEP) transfers to DOAH a portion of the application fees that it collects in electrical power plant siting, transmission line siting, and natural gas transmission pipeline siting cases. These fees are paid when DEP refers a case to DOAH, and if land use, certification, and other administrative hearings are held. The estimate of \$165,000 was provided by DEP.

Line 29: Transfer from State Agency – Workers’ Compensation Appeals

This estimate represents the transfer from the Department of Financial Services to DOAH to support the Workers’ Compensation Appeals – Judges of Compensation Claims Program. This transfer totals \$18,786,077 and covers the operating costs of this program, as well as the nonoperating general management and administrative assessment paid to the Adjudication of Disputes Program. It is calculated as follows:

\$18,186,130	Operating budget
+ 599,947	Nonoperating general management and administrative assessment
\$18,786,077	Total estimated transfer from the Department of Financial Services
=====	

Line 30: Sale of Goods and Services to State Agencies – Adjudication of Disputes

The estimate of \$51,874 represents revenue from: (1) the Florida Legislature for contract (claim bill) cases filed pursuant to Senate Rule 4.81; (2) the Florida Department of Revenue and other state agencies for contract cases filed pursuant to Chapter 120, Florida Statutes; and (3) various state agencies for copies of documents provided by DOAH. This amount is carried forward from the prior fiscal year (FY 2009-10) because caseload and billable hours are projected to remain relatively constant in FY 2010-11.

Line 31: Sale of Goods and Services to State Agencies - Workers' Compensation Appeals

The \$100 collected in the prior fiscal year (FY 2008-09) was atypical for this program and therefore was not carried forward in subsequent fiscal years.

Line 32: Sale of Services – Outside State – Adjudication of Disputes

The FY 2010-11 estimate is reported on line 33 because the General Revenue Service charge paid by DOAH increased from 7.3% to 8.0% effective July 1, 2009.

Line 33: Sale of Services - Outside State - Adjudication of Disputes

The estimate of \$507,233 represents revenue from nonstate entities for Administrative Law Judge services, plus travel and video teleconferencing costs. This amount is carried forward from the prior fiscal year (FY 2009-10) because caseload and billable hours are projected to remain relatively constant in FY 2010-11.

Line 34: Refunds – Adjudication of Disputes

The amount of refunds varies from year to year and cannot be predicted; thus, refunds are not carried forward in subsequent fiscal years.

Line 35: Refunds – Workers’ Compensation Appeals

The amount of refunds varies from year to year and cannot be predicted; thus, refunds are not carried forward in subsequent fiscal years.

Line 36: Tenant Broker Commission - Workers' Compensation Appeals

The tenant broker commission totaling \$40,882.98 received and paid in FY 2009-10 was nonrecurring and thus was not carried forward in FY 2010-11.

Line 37: Reimbursements – Adjudication of Disputes

The estimate of \$7,231 represents reimbursements to be made to the Adjudication of Disputes Program. This amount is carried forward from the prior fiscal year (FY 2009-10).

Line 38: Reimbursements – Workers’ Compensation Appeals

The estimate of \$4,097 represents reimbursements to be made to the Workers’ Compensation Appeals Program. This amount is carried forward from the prior fiscal year (FY 2009-10).

Line 39: Interest on Investments – Adjudication of Disputes

The FY 2010-11 estimate is reported on line 40 because the General Revenue Service charge paid by DOAH increased from 7.3% to 8.0% effective July 1, 2009.

Line 40: Interest on Investments - Adjudication of Disputes

In FY 2008-09, interest earnings totaling \$359,611 represent 1.65% of the total funds invested that year. These earnings are prorated among DOAH’s two programs using a formula based on funds available for investing, as well as actual investments made. Using this formula, it is estimated that \$20,956,027 will be invested in FY 2010-11, earning \$346,166, or 1.65%. This program’s share of these earnings is estimated at \$103,789, and represents .50% of the total funds invested.

Line 41: Interest on Investments – Workers’ Compensation Appeals

The FY 2010-11 estimate is reported on line 42 because the General Revenue Service charge paid by DOAH increased from 7.3% to 8.0% effective July 1, 2009.

Line 42: Interest on Investments – Workers’ Compensation Appeals

In FY 2008-09, interest earnings totaling \$359,611 represent 1.65% of the total funds invested that year. These earnings are prorated among DOAH’s two programs using a formula based on funds available for investing, as well as actual investments made. Using this formula, it is estimated that \$20,956,027 will be invested in FY 2010-11, earning \$346,166, or 1.65%. This program’s share of these earnings is estimated at \$242,377, and represents 1.15% of the total funds invested.

SCHEDULE I
TRUST FUNDS AVAILABLE

SUPPORTING NARRATIVE
FIVE PERCENT TRUST FUND RESERVE AND
YEAR-END TRUST FUND BALANCE

The following five percent trust fund reserve calculation is based on the "General Policy Guidelines for Reserving 5 Percent of State Trust Funds" contained in the FY 2010-11 Legislative Budget Request instructions:

Total Revenues for Fiscal Year 2009-10:	\$26,454,807
Less Assessments from State Agencies for Administrative Law Judge Services	(6,904,296)
Less Assessments from Outside Entities for Administrative Law Judge Services	(507,233)
Less Operating Transfer to Department of Financial Services for Risk Management Insurance	(159,325)
Less Operating Transfer to Department of Management Services for Human Resources Services Contract	(107,548)
Less Pass-Through Tenant Broker Commission	(40,883)
Less Nonoperating Transfer to the General Revenue Fund	(1,000,000)
Less Nonoperating Transfer to Department of Management Services for Video Teleconferencing Hearings	(100,000)
Less Nonoperating Service Charge to General Revenue	<u>(65,842)</u>
 Total Revenue Subject to 5% Reserve Calculation	 <u>\$17,569,680</u>
 Multiplied by 5%	 <u>X .05</u>
 Total 5% Reserve for Operating Trust Fund	 <u>\$ 878,484</u>

Pursuant to the guidelines, the Adjudication of Disputes program is exempt from the requirement that it set aside a five percent reserve because it is supported by assessments from other state agencies and entities for the provision of administrative law judge services. Therefore, the total reserve of \$878,484 is applied to the Workers' Compensation Appeals program.

This reserve of \$878,484 will reduce the June 30, 2011 available cash balance to \$106,938 for the Workers' Compensation Appeals program. Barring any unforeseen extraordinary emergencies that may arise in FY 2010-11, this balance should be sufficient to support any interim budget amendments that may be necessary that year, especially considering that the Schedule I also includes other nonoperating reserves for this program.

The year-end balance of the Division's Trust Fund does not exceed 50 percent of appropriations in FY 2008-09, FY 2009-10, or FY 2010-11.

IT Service Requirements Worksheet: Network Service

Dept/Agency: **Division of Administrative Hearings**
 Submitted by: **Susan T. Brown, Chief Information Officer**
 Phone: **(850) 488-9675**
 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, Win2K OS	5	Cisco Routers
2	Ethernet Switches	6	Switches
3	Tape Backup	7	
4	SUNCOM	8	

1. IT Service Definition

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

- | | |
|--|--|
| <input checked="" type="checkbox"/> Central IT staff | <input type="checkbox"/> State Primary Data Center |
| <input type="checkbox"/> Program staff | <input type="checkbox"/> Other External service provider |
| <input checked="" type="checkbox"/> Another State agency | |

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. 266

1.5. How many locations currently host IT assets and resources used to provide LAN services? 18

1.6. How many locations currently use WAN services? 18

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

- | | | |
|-------------------------------------|--|--|
| <input type="checkbox"/> ATM | <input type="checkbox"/> Frame Relay | <input type="checkbox"/> Cellular Network |
| <input type="checkbox"/> SUNCOM RTS | <input checked="" type="checkbox"/> Internet | <input checked="" type="checkbox"/> Dedicated Wired connection |
| <input type="checkbox"/> Radio | <input type="checkbox"/> Satellite | <input type="checkbox"/> Dial-up connection |
| <input type="checkbox"/> Other | | |

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)

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 established and validated to ensure that another entity could meet and provide timely response to our 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:

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 1 Sunday per mo

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

30 minutes

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

LAN services are provided to district offices throughout the state; inability to access network would prevent employees from accessing IT systems and would impair their ability to respond to inquiries from parties to cases. WAN services provide connectivity between the headquarters in Tallahassee and the district offices. Inability of the district offices to access the WAN would prevent employees' access to email, Division websites and production SQL servers.

3.3.3. Does the agency have a standard for required bandwidth its locations? Yes No

IT Service Requirements Worksheet: Network Service

If yes, indicate the standard (*e.g. fiber channels for certain locations*)

T-1 for each district office.

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*)

- | | |
|---|---|
| <input checked="" type="checkbox"/> User ID/Password | <input checked="" type="checkbox"/> Access through Internet or external network |
| <input type="checkbox"/> Access through internal network only | <input type="checkbox"/> Access through Internet with secure encryption |
| <input type="checkbox"/> Other _____ | |

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

- Yes No

3.3.6.1. If yes, please specify and describe:

4. User/customer satisfaction

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

- Yes No

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

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

- Yes No

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

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

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

5. Additional Information

5.1. Please describe the funding source(s), i.e., general revenue, trust fund, federal grant, or other, which is used to provide this service. Identify whether there is a cost recovery or cost allocation plan for this service. Be sure to describe any anticipated adjustments to the funding source(s) or funding level for

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

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.).

Trust Fund

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.)

The public users of this service access it daily/hourly.

IT Service Requirements Worksheet: E-Mail, Messaging, and Calendaring Service

Dept/Agency: **Division of Administrative Hearings**
 Submitted by: **Susan T. Brown, Chief Information Officer**
 Phone: **(850) 488-9675**
 Date submitted: **October 15, 2009**

E-Mail, Messaging, and Calendaring Service

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

Identify the major commercial hardware and software associated with the E-Mail Service:			
1	Windows 2003 Server and OS	5	Outlook Web Access
2	Exchange Server	6	EMC CX400 Disk Array
3	Sybari Antigen Anti-Spam Software	7	Email Xtender
4	MS Outlook Client	8	

1. IT Service Definition

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

- | | |
|---|--|
| <input checked="" type="checkbox"/> Central IT staff
<input type="checkbox"/> Program staff
<input type="checkbox"/> Another State agency | <input type="checkbox"/> State Primary Data Center
<input type="checkbox"/> Other External service provider |
|---|--|

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

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

1.3. Please identify the number of users (e-mail accounts/mailboxes) of this service. 266

1.4. How many locations currently host IT assets and resources used to provide e-mail, messaging, and calendaring services? 18

2. Service Unique to Agency

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

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

- Yes No

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

Transitioning of mailboxes and distribution lists.

IT Service Requirements Worksheet: E-Mail, Messaging, and Calendaring Service

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 that service is required (*e.g., 0600-2100 M-F, 24/7*): 24/7

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

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

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 records retention or privacy policies, restrictions, or requirements applicable to this IT Service?

- Yes
- No

3.2.5.1. If yes, please specify and describe:

Standard state records retention policies apply to email.

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:

FY 2010-11 Schedule IV-C: Information Technology (IT) Costs & Service Requirements
IT Service Requirements Worksheet: E-Mail, Messaging, and Calendaring Service

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

Yes No

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

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

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

5. Additional Information

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

Trust Fund

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.)

IT Service Requirements Worksheet: Desktop Computing Service

Dept/Agency: **Division of Administrative Hearings**
 Submitted by: **Susan T. Brown, Chief Information Officer**
 Phone: **(850) 488-9675**
 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)	5	
2	Microsoft Office 2003 Suite	6	
3	Windows XP Professional OS	7	
4		8	

1. IT Service Definition

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

- | | |
|--|--|
| <input checked="" type="checkbox"/> Central IT staff | <input type="checkbox"/> State Primary Data Center |
| <input type="checkbox"/> Program staff | <input type="checkbox"/> Other External service provider |
| <input type="checkbox"/> 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

1.3. Please identify the number of users of this service. 266

1.4. How many locations currently use desktop computing services? 18

2. Service Unique to Agency

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

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

- Yes No

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

Service level requirements established to ensure that another provider could adequately provide the services needed (i.e., installation and updates to software/hardware and troubleshooting of desktops.)

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

IT Service Requirements Worksheet: Desktop Computing 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 that service is required (*e.g., 0800-1600 M-F, 24/7*)

0700-1900 M-F

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

Division staff would be unable to do their jobs, i.e., no docketing would be done on pending cases; no scheduling could be accomplished; no orders issued.

3.2.3. Are there any agency-unique service requirements?

Yes No

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

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

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

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

Yes No

3.2.5.1. If yes, please specify and describe:

4. User/customer satisfaction

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

Yes No

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

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

Yes No

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

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IT Service Requirements Worksheet: Desktop Computing Service

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

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

5. Additional Information

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

Trust Fund

5.2. Other comments

IT Service Requirements Worksheet: Helpdesk Service

Dept/Agency: **Division of Administrative Hearings**
 Submitted by: **Susan T. Brown, Chief Information Officer**
 Phone: **(850) 488-9675**
 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	TightVNC software (Shareware)	5	
2		6	
3		7	
4		8	

1. IT Service Definition

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

- | | |
|--|--|
| <input checked="" type="checkbox"/> Central IT staff | <input type="checkbox"/> State Primary Data Center |
| <input type="checkbox"/> Program staff | <input type="checkbox"/> Other External service provider |
| <input type="checkbox"/> 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: 266

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

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

- | | |
|--|--|
| <input type="checkbox"/> On-line self-serve | <input type="checkbox"/> On-line interactive |
| <input checked="" type="checkbox"/> Telephone/IVR | <input checked="" type="checkbox"/> Face-to-face |
| <input checked="" type="checkbox"/> Remote desktop (e.g., PC Anywhere) | |
| <input type="checkbox"/> Other | |

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	
Referring/escalating			X
Tracking and reporting	X	X	X
Resolving/closing	X	X	

IT Service Requirements Worksheet: Helpdesk Service

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

1	Case Management System	5	E-mail
2	Desktop	6	
3	Network	7	
4	Portal/Web	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?

Other source would need to become knowledgeable, and maintain currency of that knowledge, of the Division's strategic, mission-critical custom case management 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*)

0730-1700 M-F

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

No significant business impact; users may be unable to accomplish various tasks temporarily.

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

150

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 internal network only
- Other _____
- Access through Internet or external network
- Access through Internet with secure encryption

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IT Service Requirements Worksheet: Helpdesk Service

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:

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

Yes No

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

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

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

5. Additional Information

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

Trust Fund

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.)

Public use of Help Desk function is occasional to rare, and would include assistance with resetting registered user profile information or assistance with electronic filing of case-related documents.

IT Service Requirements Worksheet: IT Security/Risk Mitigation Service

Dept/Agency: **Division of Administrative Hearings**
Submitted by: **Susan T. Brown, Chief Information Officer**
Phone: **(850) 488-9675**
Date submitted: **October 15, 2009**

IT Security/Risk Mitigation Service

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

1. IT Service Definition

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

- | | |
|--|--|
| <input checked="" type="checkbox"/> Central IT staff | <input type="checkbox"/> State Primary Data Center |
| <input type="checkbox"/> Program staff | <input type="checkbox"/> Other External service provider |
| <input type="checkbox"/> 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)

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*) **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 need to be established and validated.

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:

IT Service Requirements Worksheet: IT Security/Risk Mitigation Service

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. In the event of an emergency, how quickly must essential services be restored to maintain the agency's continuity of operations? One business day
- 3.2.3. How frequently must the IT disaster recovery plan be tested? Annually
- 3.2.4. In the event of a security breach, what is the agency's tolerance for down time of security IT services during peak periods, i.e., time before management-level intervention occurs (*e.g., 10 min, 60 min, 4 hours*)? 60 minutes
- 3.2.5. Are there any agency-unique service requirements? Yes No
 If yes, specify (*include any applicable constitutional, statutory, or rule requirements*)

- 3.2.6. 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 _____
- 3.2.7. Are there any federal, state, or agency privacy policies or restrictions applicable to this IT Service?
 Yes No
 If yes, please specify and describe:

4. User/customer satisfaction

- 4.1. Are service level metrics reported regularly to business stakeholders or agency management?
 Yes No
 If yes, briefly describe the frequency of reports and how they are provided:

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

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

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

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

5. Additional Information

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

Trust Fund

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.)

IT Service Requirements Worksheet: IT Support Service for Agency Financial and Administrative Functions

Dept/Agency: **Division of Administrative Hearings**

Submitted by: **Susan T. Brown, Chief Information Officer**

Phone: **(850) 488-9675**

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	None – see comments	5	
2		6	
3		7	
4		8	

1. IT Service Definition

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

- | | |
|---|--|
| <input type="checkbox"/> Central IT staff | <input type="checkbox"/> State Primary Data Center |
| <input type="checkbox"/> Program staff | <input type="checkbox"/> Other External service provider |
| <input type="checkbox"/> 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.

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

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)

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

- Yes No

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

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

IT Service Requirements Worksheet: IT Support Service for Agency Financial and Administrative Functions

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)

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

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*)?

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

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

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:

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

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

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.).

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.)

The Division uses only statewide systems for these purposes (i.e., FLAIR, ARIBA, PeopleFirst, LAS/PBS). No internal IT services are required for support of financial and administrative systems other than Desktop Services.

IT Service Requirements Worksheet: IT Administration and Management Service

Dept/Agency: **Division of Administrative Hearings**
Submitted by: **Susan T. Brown, Chief Information Officer**
Phone: **(850) 488-9675**
Date submitted: **October 15, 2009**

IT Administration and Management Service

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

Identify major IT Systems (applications) that are included (in whole or part) in this IT Service:			
1	None (personnel only)	5	
2		6	
3		7	
4		8	

1. IT Service Definition

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

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

1.2. How many locations currently host assets and resources used to provide IT administration and management services? 1

2. Service Unique to Agency

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

- Yes No

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

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

IT Administrative and management services are part of the agency's management function and cannot be performed by an external provider.

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:

IT Service Requirements Worksheet: IT Administration and Management Service

3.2. Timing and Service Delivery Requirements

- 3.2.1. Hours/Days that service is required (*e.g., 0800-1600 M-F, 24/7*) for the systems included in this service: 0730-1800
- 3.2.2. What is the agency's tolerance for down time during peak periods, i.e., time before management-level intervention occurs (*e.g., 5 min, 15 min, 60 min*)? 30 minutes
- 3.2.3. Are there any federal, state, or agency privacy policies or restrictions applicable to this IT Service?
 Yes No

If yes, please specify and describe:

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

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

4. User/customer satisfaction

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

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

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

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

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

Project Name	Description	Start Date	End Date	Estimated Total Cost of Completion

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.).

FY 2010-11 Schedule IV-C: Information Technology (IT) Costs & Service Requirements
IT Service Requirements Worksheet: IT Administration and Management Service

Trust Fund

5.2. Other comments

IT Service Requirements Worksheet: Portal/Web Management Service

Dept/Agency: **Division of Administrative Hearings**
 Submitted by: **Susan T. Brown, Chief Information Officer**
 Phone: **(850) 488-9675**
 Date submitted: **October 15, 2009**

Portal/Web Management Service

The Portal/Web Management service enables the publishing of the agency's standard, mission-critical information with its employees and the public. 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 this service:			
1	Servers	5	Cold Fusion
2	Google Mini	6	ASP.net
3	Watchguard Firebox	7	Dreamweaver
4	Microsoft IIS	8	Photoshop

1. IT Service Definition

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

- | | |
|---|--|
| <input checked="" type="checkbox"/> Central IT staff
<input type="checkbox"/> Program staff
<input type="checkbox"/> Another State agency | <input type="checkbox"/> State Primary Data Center
<input type="checkbox"/> 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 Internet users of this service. 79,000+

1.4. Please identify the number of intranet users of this service. 266

1.5. How many locations currently host IT assets and resources used to provide this service? 1

2. Service Unique to Agency

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

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

- Yes No

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

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

The Division's websites must connect to both our real-time SQL databases and also our image storage system; this could not be accomplished from another service provider.

IT Service Requirements Worksheet: Portal/Web Management 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 that service is required (*e.g., 0600-2100 M-F, 24/7*): PubM-F, 24/7

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

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

Internet users, particularly those who are parties to cases before the Division, rely on the ability to electronically file documents. If the websites are inaccessible, parties must use other methods to file those documents (such as US Mail, courier service, etc.); those methods incur costs, electronic filing does not.

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

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

The websites must have real-time access to the Division's internal production databases.

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:

Confidential/exempt case-related data must be filtered so that it is inaccessible to the public.

4. User/customer satisfaction

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

- Yes
- No

4.1.1. 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

FY 2010-11 Schedule IV-C: Information Technology (IT) Costs & Service Requirements
IT Service Requirements Worksheet: Portal/Web Management Service

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

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

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

5. Additional Information

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

Trust Fund

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.)

“Public” users access the Division’s website daily for research purposes. Registered public users access the site to electronically file documents in existing cases or file documents to open new cases with both the adjudication of disputes program and the workers’ compensation appeals program.

IT Service Requirements Worksheet: Case Management

Dept/Agency: **Division of Administrative Hearings**
Submitted by: **Susan T. Brown, Chief Information Officer**
Phone: **(850) 488-9675**
Date submitted: **October 15, 2009**

Case Management

The Case Management service supports the Division's mission to impartially adjudicate disputes as required by Chapters 120 and 440, Florida Statutes.

Identify major commercial hardware/software that are included (in whole or part) in this IT Service:			
1	SQL	5	Video Teleconferencing
2	Case Management Database	6	
3	Adobe Acrobat	7	
4	Digital Recording	8	

1. IT Service Definition

1.1.1. Provide the definition of this service as identified on Form SC2 (Strategic IT Service Catalog).

Case Management System, E-filing, Digital Recording and Video Teleconferencing utilized in order to efficiently mediate, hear and adjudicate cases before the Division.

1.2. Who is the 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

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

79,000+ Annually

1.5. How many locations currently host this service?

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)

No

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

- Yes
- No

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

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

IT Service Requirements Worksheet: Case Management

Case Management Depends on access to internal production SQL databases, which contain confidential and/or exempt data.

3. IT Service Levels Required to Support Business Functions

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

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

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

3.2. Timing and Service Delivery Requirements

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

3.2.1.1. User-facing components of this IT service (online) 0700-1800

3.2.1.2. Back-office-facing components of this IT service (batch and maintenance) 0700-1800

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

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

The Division's employees are unable to perform their job duties, including judges' abilities to hold hearings.

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

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

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

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

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

- Yes
- No

3.2.5.1. If yes, please specify and describe:

Confidential/exempt case-related data must not be accessible to the public.

4. User/customer satisfaction

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

- Yes
- No

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

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

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

5. Additional Information

5.1. Please describe the funding source(s), i.e., general revenue, trust fund, federal grant, or other, that 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 2009-10. 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.).

Trust Fund

5.2. Other comments

Non-Strategic IT Service:		Network Service		Form: FY 2010-11 Schedule IV-C -Non-Strategics; Ver 1				
Dept/Agency: Division of Administrative Hearings								
Prepared by: Cindy Wingler								
Phone: (850) 488-9675								
Service Provisioning -- Assets & Resources (Cost Elements)			# of Assets & Resources Apportioned to this IT Service in FY 2010-11		A	Estimated IT Service Costs		D
Footnote Number	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 (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)		
A. Personnel		1.00		\$92,720	\$61,968	\$61,968	\$0	
A-1.1	State FTE	1	1.00	\$91,220	\$61,968	\$61,968	\$0	
A-2.1	OPS FTE		0.00	\$0	\$0	\$0	\$0	
A-3.1	Contractor Positions (Staff Augmentation)		0.00	\$1,500	\$0	\$0	\$0	
B. Hardware		105.5	26.5	\$58,212	\$35,500	\$53,500	\$18,000	
B-1	Servers	2	0	\$0	\$0	\$18,000	\$18,000	
B-2	Server Maintenance & Support	3	16.5	\$20,212	\$18,500	\$18,500	\$0	
B-3.1	Network Devices & Hardware (e.g., routers, switches, hubs, cabling, etc.)	4	26	\$30,000	\$14,000	\$14,000	\$0	
B-3.2	Other Hardware Assets (e.g., system mgt workstation, printers, UPS, etc)	5	63	\$8,000	\$3,000	\$3,000	\$0	
C. Software		6		\$0	\$20,000	\$20,000	\$0	
D. External Service Provider(s)				\$281,000	\$202,000	\$202,000	\$0	
D-1	LAN External Service Provider		0	\$0	\$0	\$0	\$0	
D-2	WAN External Service Provider	7	0	\$281,000	\$202,000	\$202,000	\$0	
E. Plant & Facility for LAN/WAN Service		8	479	\$10,431	\$9,754	\$9,754	\$0	
F. Other (Please describe in Footnotes Section below)				\$0	\$0	\$0	\$0	
H. Total for IT Service				\$442,363	\$329,222	\$347,222	\$18,000	
Footnotes - Please be sure to indicate there is a footnote for the corresponding row above. Maximum footnote length is 1024 characters.								
1	The cumulative percentage of time expended by 5 FTE on this service, rounded to the nearest .25. AD = \$11,385; WC = \$50,584							
2	Replace 3 servers which are 100% network. AD = \$9,000; WC = \$9,000							
3	There are 21 servers on maintenance. 17 are 50% network and 50% strategic. 4 are 100% network. AD = \$9,250; WC = \$9,250							
4	Includes Centerra maintenance (50% network, 50% email), firewall maintenance and equipment, purchase of hubs, switches, cables and installation. AD = \$6,000; WC = \$8000.							
5	Hardware and maintenance purchases. AD = \$1,500; WC = \$1,500.							
6	Firewall and Enterasys software renewals. AD = \$7,000; WC = \$13,000.							
7	IT communications and equipment provided by the Department of Management Services to 19 locations throughout the state. AD = \$63,000; WC = \$139,000.							
8	The amount of square footage apportioned for this service. AD = \$2,434. JCC = \$7,320.							
9								
10								
11								
12								
13								
14								
15								

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

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

Agency: **Division of Administrative Hearings**
 Prepared by: **Cindy Wingler**
 Phone: **(850) 488-9675**

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)
A. Personnel		0.25		\$14,940	\$15,511	\$15,511	\$0
A-1 State FTE	1	0.25		\$14,940	\$15,511	\$15,511	\$0
A-2 OPS FTE		0.00		\$0	\$0	\$0	\$0
A-3 Contractor Positions (Staff Augmentation)		0.00		\$0	\$0	\$0	\$0
B. Hardware		1	1	\$30,318	\$4,318	\$10,000	\$5,682
B-1 Servers	2	0	1	\$0	\$0	\$6,000	\$6,000
B-2 Server Maintenance & Support	3	1	0	\$318	\$318	\$0	-\$318
B-3.1 Wireless Communication Devices & Related Hardware		0	0	\$0	\$0	\$0	\$0
B-3.2 Other Hardware Assets (e.g., system mgt workstation, printers, etc)	4	0	0	\$30,000	\$4,000	\$4,000	\$0
C. Software	5			\$22,000	\$20,000	\$20,000	\$0
D. External Service Provider(s)		0	0	\$0	\$0	\$0	\$0
E. Plant & Facility	6	44	44	\$845	\$845	\$850	\$5
F. Other (Please describe in Footnotes Section below)				\$0	\$0	\$0	\$0
G. Total for IT Service				\$68,103	\$40,674	\$46,361	\$5,687

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	7	10.00%	\$ 36,477
OT-3 Help Desk	8	10.00%	\$ 823
OT-4 IT Security & Risk Mitigation			
OT-5 IT Administration & Management			
SUBTOTAL			\$ 37,300

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 \$ 83,661

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

1	The cumulative percentage of time expended by 2 FTE on this service, rounded to the nearest .25. AD = \$15,511
2	Replace email server. AD = \$3,000; WC = \$3,000.
3	Server off maintenance; to be retired.
4	Maintenance for Centerra (50% email, 50% network.) AD = \$2,000; WC = \$2,000.
5	Exchange software. AD = \$10,000; WC = \$10,000.
6	The amount of square footage apportioned for this service. AD = \$850.
7	A minimal amount of time (10%) is required to support email.
8	A minimal amount of time (10%) is required to support email.
9	
10	

Non-Strategic IT Service:		Desktop Computing Service		Form: FY 2010-11 Schedule IV-C -Non-Strategics; Ver 1			
Agency: Division of Administrative Hearings							
Prepared by: Cindy Wingle							
Phone: (850) 488-9675							
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)
A. Personnel		3.50		\$192,342	\$208,205	\$208,205	\$0
A-1 State FTE	1	3.50		\$192,342	\$208,205	\$208,205	\$0
A-2 OPS FTE		0.00		\$0	\$0	\$0	\$0
A-3 Contractor Positions (Staff Augmentation)		0.00		\$0	\$0	\$0	\$0
B. Hardware		534	119	\$105,500	\$140,100	\$140,100	\$0
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	2	356	89	\$85,500	\$80,100	\$80,100	\$0
B-3.2 Mobile Computers (e.g., Laptop, Notebook, Handheld, Wireless Computer)	3	90	30	\$20,000	\$60,000	\$60,000	\$0
B-3.3 Other Hardware Assets (e.g., system mgt workstation, printers, scanners, etc)	4	88	0	\$0	\$0	\$0	\$0
C. Software	5			\$4,000	\$0	\$0	\$0
D. External Service		0	0	\$0	\$0	\$0	\$0
E. Plant & Facility	6	623	623	\$11,015	\$11,015	\$12,464	\$1,449
F. Other (Please describe in Footnotes Section below)	7			\$4,000	\$4,000	\$4,000	\$0
G. Total for IT Service				\$316,857	\$363,320	\$364,769	\$1,449
Footnotes - Please be sure to indicate there is a footnote for the corresponding row above. Maximum footnote length is 1024 characters.							
1	The cumulative percentage of time expended by 5 FTE on this service, rounded to the nearest .25. AD = \$92,895; WC = \$115,310						
2	Replace 1/3 of desktop computers. AD = \$20,700; WC = \$59,400						
3	Replace 1/3 of mobile computers. AD = \$30,000; WC = \$30,000						
4	No software costs anticipated during these fiscal years.						
5	The amount of square footage apportioned for this service. AD = \$6,874. JCC = \$5,590.						
6	IT supplies. AD = \$1,500; WC = \$2,500.						
7							
8							
9							
10							
11							
12							
13							
14							
15							

Non-Strategic IT Service: Helpdesk Service		# of Assets & Resources Apportioned to this IT Service in FY 2010-11		Estimated IT Service Costs			
Agency: Division of Administrative Hearings				A	B	C	D
Prepared by: Cindy Winger				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)
Phone: (850) 488-9675							
Service Provisioning -- Assets & Resources (Cost Elements)	Footnote Number	Number used for this service	Number w/ costs in FY 2010-11				
A. Personnel		0.25		\$7,428	\$7,529	\$7,529	\$0
A-1 State FTE	1	0.25		\$7,428	\$7,529	\$7,529	\$0
A-2 OPS FTE		0.00		\$0	\$0	\$0	\$0
A-3 Contractor Positions (Staff Augmentation)		0.00		\$0	\$0	\$0	\$0
B. Hardware		0	0	\$0	\$0	\$0	\$0
B-1 Servers		0	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, etc)		0	0	\$0	\$0	\$0	\$0
C. Software	2			\$0	\$0	\$0	\$0
D. External Service Provider(s)		0	0	\$0	\$0	\$0	\$0
E. Plant & Facility	3	36	36	\$697	\$697	\$702	\$5
F. Other (Please describe in Footnotes Section below)				\$0	\$0	\$0	\$0
G. Total for IT Service				\$8,125	\$8,226	\$8,231	\$5
Footnotes - Please be sure to indicate there is a footnote for the corresponding row above. Maximum footnote length is 1024 characters.							
1	The cumulative percentage of time expended by 1 FTE on this service, rounded to the nearest .25. AD = \$7,529						
2	Software is TightVNC shareware						
3	The amount of square footage apportioned for this service. AD = \$702.						
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Non-Strategic IT Service: **IT Security/Risk Mitigation Service**

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

Agency: **Division of Administrative Hearings**

Prepared by: **Cindy Winger**

Phone: **(850) 488-9675**

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 (Column C - B)
A. Personnel		0.25		\$29,816	\$30,489	\$30,489	\$0
A-1 State FTE	1	0.25		\$29,816	\$30,489	\$30,489	\$0
A-2 OPS FTE		0.00		\$0	\$0	\$0	\$0
A-3 Contractor Positions (Staff Augmentation)		0.00		\$0	\$0	\$0	\$0
B. Hardware		0	0	\$0	\$0	\$0	\$0
B-1 Servers		0	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)		0	0	\$0	\$0	\$0	\$0
C. Software	2			\$2,900	\$2,000	\$2,000	\$0
D. External Service Provider(s)	3	0	0	\$36,800	\$2,200	\$37,200	\$35,000
E. Plant & Facility	4	57	57	\$1,106	\$1,106	\$1,113	\$7
F. Other (Please describe in Footnotes Section below)				\$4,000	\$0	\$0	\$0
G. Total for IT Service				\$74,622	\$35,795	\$70,802	\$35,007

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

1	The cumulative percentage of time expended by 2 FTE on this service, rounded to the nearest .25. AD = \$10,492; WC = \$19,997
2	Anti-virus software. AD = \$1,000; WC = \$1,000.
3	Risk assessment (\$35,000) and disaster recovery (\$2,200). AD = \$19,700; WC = \$17,500
4	The amount of square footage apportioned for this service. AD = \$1,113.
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Non-Strategic IT
Service:

IT Support Service for Agency Financial and Administrative Systems

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

Agency: **Division of Administrative Hearings**

Prepared by: **Cindy Wingler**

Phone: **(850) 488-9675**

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)
A. Personnel		0.00		\$0	\$0	\$0	\$0
A-1 State FTE	1	0.00		\$0	\$0	\$0	\$0
A-2 OPS FTE		0.00		\$0	\$0	\$0	\$0
A-3 Contractor Positions (Staff Augmentation)		0.00		\$0	\$0	\$0	\$0
B. Hardware		0	0	\$0	\$0	\$0	\$0
B-1 Servers		0	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, etc)		0	0	\$0	\$0	\$0	\$0
C. Software				\$0	\$0	\$0	\$0
D. External Service Provider(s)		0	0	\$0	\$0	\$0	\$0
E. Plant & Facility		0	0	\$0	\$0	\$0	\$0
F. Other (Please describe in Footnotes Section below)				\$0	\$0	\$0	\$0
G. Total for IT Service				\$0	\$0	\$0	\$0

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

1	These costs are included in the Desktop Computing Service.
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Non-Strategic IT Service: IT Administration and Management Service

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

Agency: **Division of Administrative Hearings**

Prepared by: **Cindy Wingler**

Phone: **(850) 488-9675**

of Assets & Resources Apportioned to this IT Service in FY 2010-11

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 (Column C - B)
A. Personnel		0.25		\$24,970	\$26,230	\$26,230	\$0
A-1 State FTE	1	0.25		\$24,970	\$26,230	\$26,230	\$0
A-2 OPS FTE		0.00		\$0	\$0	\$0	\$0
A-3 Contractor Positions (Staff Augmentation)		0.00		\$0	\$0	\$0	\$0
B. Hardware		0	0	\$0	\$0	\$0	\$0
B-1 Servers		0	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, etc)		0	0	\$0	\$0	\$0	\$0
C. Software				\$0	\$0	\$0	\$0
D. External Service Provider(s)		0	0	\$0	\$0	\$0	\$0
E. Plant & Facility	2	49	49	\$949	\$949	\$956	\$7
F. Other (Please describe in Footnotes Section below)				\$0	\$0	\$0	\$0
G. Total for IT Service				\$25,919	\$27,179	\$27,186	\$7

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

1	The cumulative percentage of time expended by 1 FTE on this service, rounded to the nearest .25. AD = \$26,230
2	The amount of square footage apportioned for this service. AD = \$956
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Schedule IV-C: Information Technology
(IT) Costs and Service Requirements

FY 2010-11

Non-Strategic IT Service:		Portal/Web Management Service						
Dept/Agency: Division of Administrative Hearings		Form: Schedule IV-C -Strategic; v.20090701						
Prepared by: Cindy Wingler		# of Assets & Resources apportioned to this IT Service in FY 2010-11		Estimated IT Service Costs				
Phone: (850) 488-9675		Footnote Number	Number used for this service	Number w/ costs in FY 2010-11	A	B	C	D
Service Provisioning -- Assets & Resources (Cost Elements)					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
A. Personnel			0.50		\$33,982	\$34,320	\$34,320	\$0
A-1.1	State FTE	1	0.50		\$33,982	\$34,320	\$34,320	\$0
A-2.1	OPS FTE		0.00		\$0	\$0	\$0	\$0
A-3.1	Contractor Positions (Staff Augmentation)		0.00		\$0	\$0	\$0	\$0
B. Hardware					\$1,336	\$1,336	\$1,652	\$316
B-1	Servers		0	0	\$0	\$0	\$0	\$0
B-2	Server Maintenance & Support		2	1.5	\$1,336	\$1,336	\$1,652	\$316
B-3	Other Hardware Assets (e.g., system mgt workstation, printers, UPS, etc)		0	0	\$0	\$0	\$0	\$0
C. Software					\$0	\$0	\$0	\$0
D. External Service Provider(s)			0	0	\$0	\$0	\$0	\$0
E. Plant & Facility			75	75	\$1,453	\$1,453	\$1,463	\$10
F. Other (Please describe in Footnotes Section below)					\$0	\$0	\$0	\$0
G. Total for IT Service					\$36,771	\$37,109	\$37,435	\$326
Footnotes - Please be sure to indicate there is a footnote for the corresponding row above. Maximum footnote length is 1024 characters.								
1	The cumulative percentage of time expended by 1 FTE on this service, rounded to the nearest .25. AD = \$34,320							
2	There are 2 web servers. 1.5 is under maintenance.							
3	Server maintenance. AD = \$826; WC = \$826							
4	The amount of square footage apportioned for this service. AD = \$1,463							
5								
6								
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13								
14								
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Schedule IV-C: Information Technology
(IT) Costs and Service Requirements

FY 2010-11

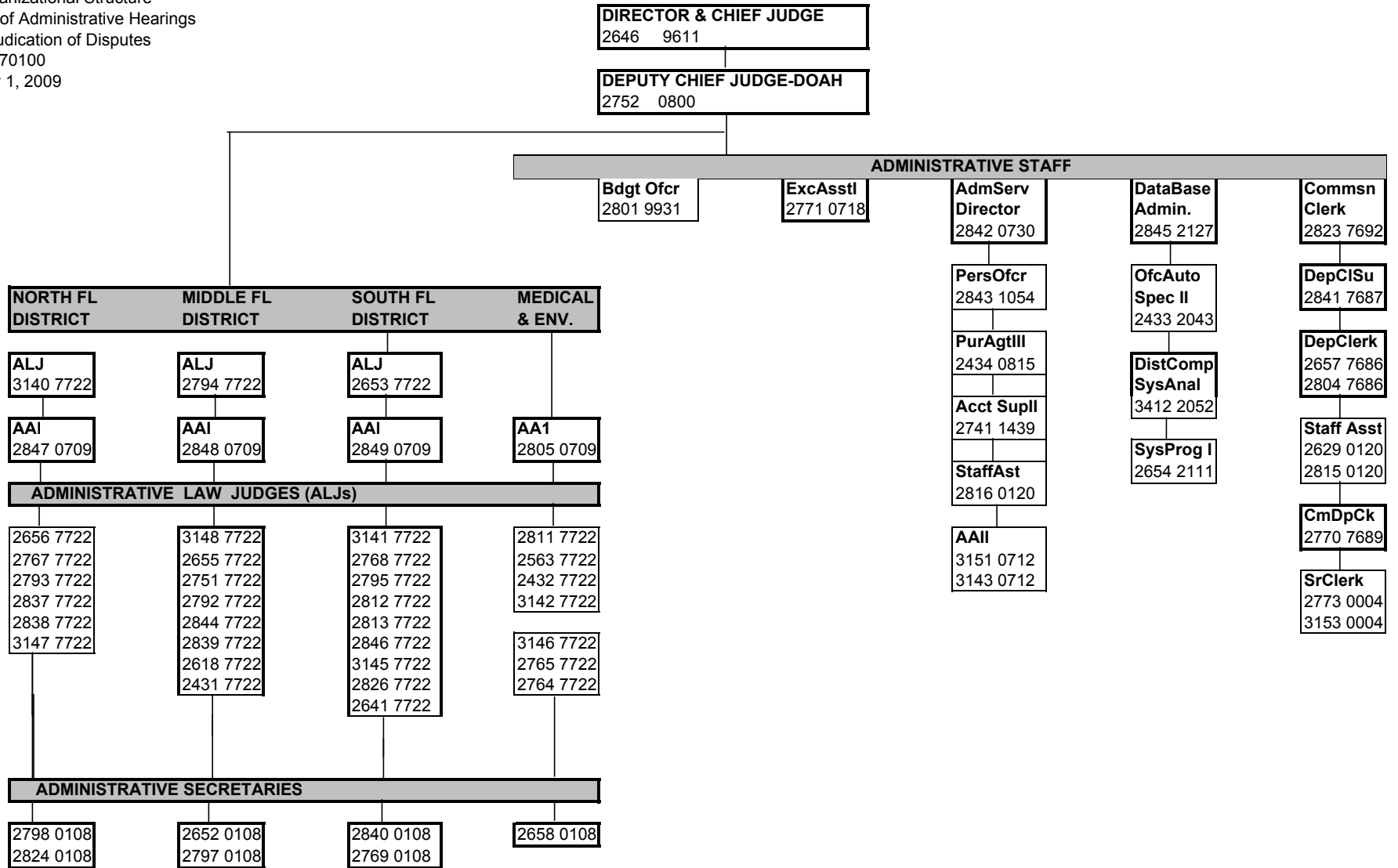
Strategic IT Service: Case Management Service								
Dept/Agency: Division of Administrative Hearings		Form: Schedule IV-C -Strategic; v.20090701						
Prepared by: Cindy Wingler		# of Assets & Resources apportioned to this IT Service		Estimated IT Service Costs				
Phone: (850) 488-9675				A	B	C	D	
Service Provisioning -- Assets & Resources (Cost Elements)		Footnote Number	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 (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
A. Personnel			2.00		\$233,922	\$236,780	\$236,780	\$0
A-1.1	State FTE	1	1.00		\$83,922	\$86,780	\$86,780	\$0
A-2.1	OPS FTE		0.00		\$0	\$0	\$0	\$0
A-3.1	Contractor Positions (Staff Augmentation)	2	1.00		\$150,000	\$150,000	\$150,000	\$0
B. Hardware			19	15	\$82,795	\$57,295	\$58,785	\$1,490
B-1	Servers - Mainframe		0	0	\$0	\$0	\$0	\$0
B-2	Servers - Other than mainframe	3	19	15	\$0	\$0	\$0	\$0
B-3	Server Maintenance & Support	4			\$20,795	\$20,795	\$22,285	\$1,490
B-4	Other Hardware Assets (e.g., system mgt workstation, printers, UPS)	5			\$62,000	\$36,500	\$36,500	\$0
C. Software		6			\$21,000	\$12,000	\$17,100	\$5,100
D. External Service Provider(s)			0	0	\$0	\$0	\$0	\$0
E. Plant & Facility			Total SF	Est SF Utilized	\$30,728	\$13,728	\$14,382	\$654
E-1	Data Center		0	0	\$0	\$0	\$0	\$0
E-2	Computer/Server Room	7	349	349	\$6,580	\$6,580	\$7,186	\$606
E-3	Office Space (e.g., lease & associated maintenance fees)	8	369	369	\$7,148	\$7,148	\$7,196	\$48
E-4	Utilities and Other (please specify in Footnotes Section below)				\$17,000	\$0	\$0	\$0
F. Other (Please describe in Footnotes Section below)					\$0	\$0	\$0	\$0
G. Total for IT Service					\$368,445	\$319,803	\$327,047	\$7,244
Footnotes - Please be sure to indicate there is a footnote for the corresponding row above. Maximum footnote length is 1024 characters.								
1	The cumulative percentage of time expended by 2 FTE on this service, rounded to the nearest .25. AD = \$86,780							
2	Programmers for case management system. AD = \$75,000; WC = \$75,000							
3	19 servers are 50% strategic, and 6 servers which are 100% strategic.							
4	Maintenance for servers. AD = \$11,143; WC = \$11,143							
5	Video teleconferencing, digital recording equipment and maintenance. AD = \$17,700; WC = \$18,800.							
6	SQL, Adobe, electronic signatures, digital recording and telephone system software. AD = \$4,600; WC = \$12,500.							
7	The dedicated server rooms, 50% of which is reported under the Network service. AD = \$488. WC = \$6,699.							
8	The amount of square footage apportioned for this service. AD = \$7,196.							
9								
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11								
12								
13								
14								
15								

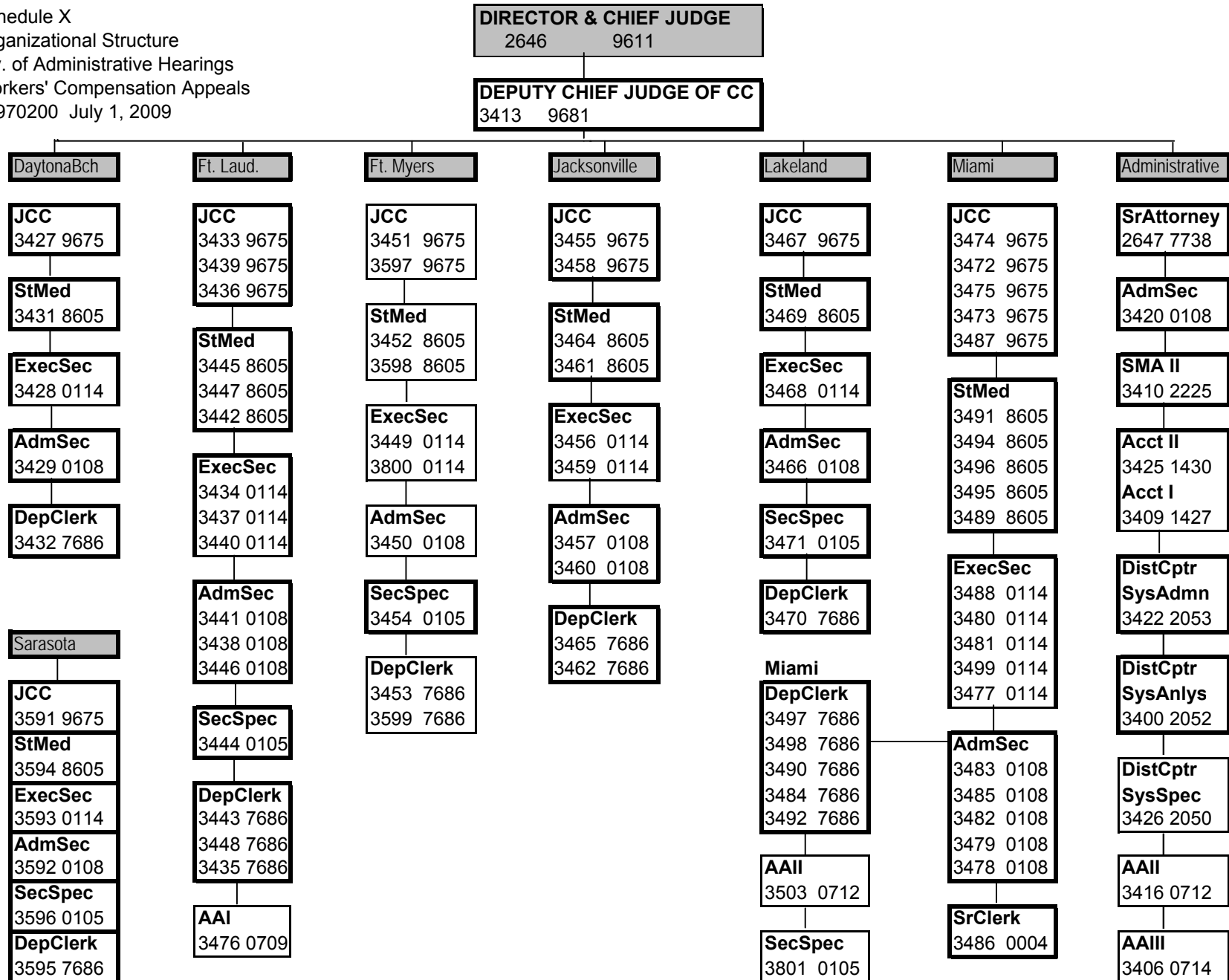
Schedule VII: Agency Litigation Inventory

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

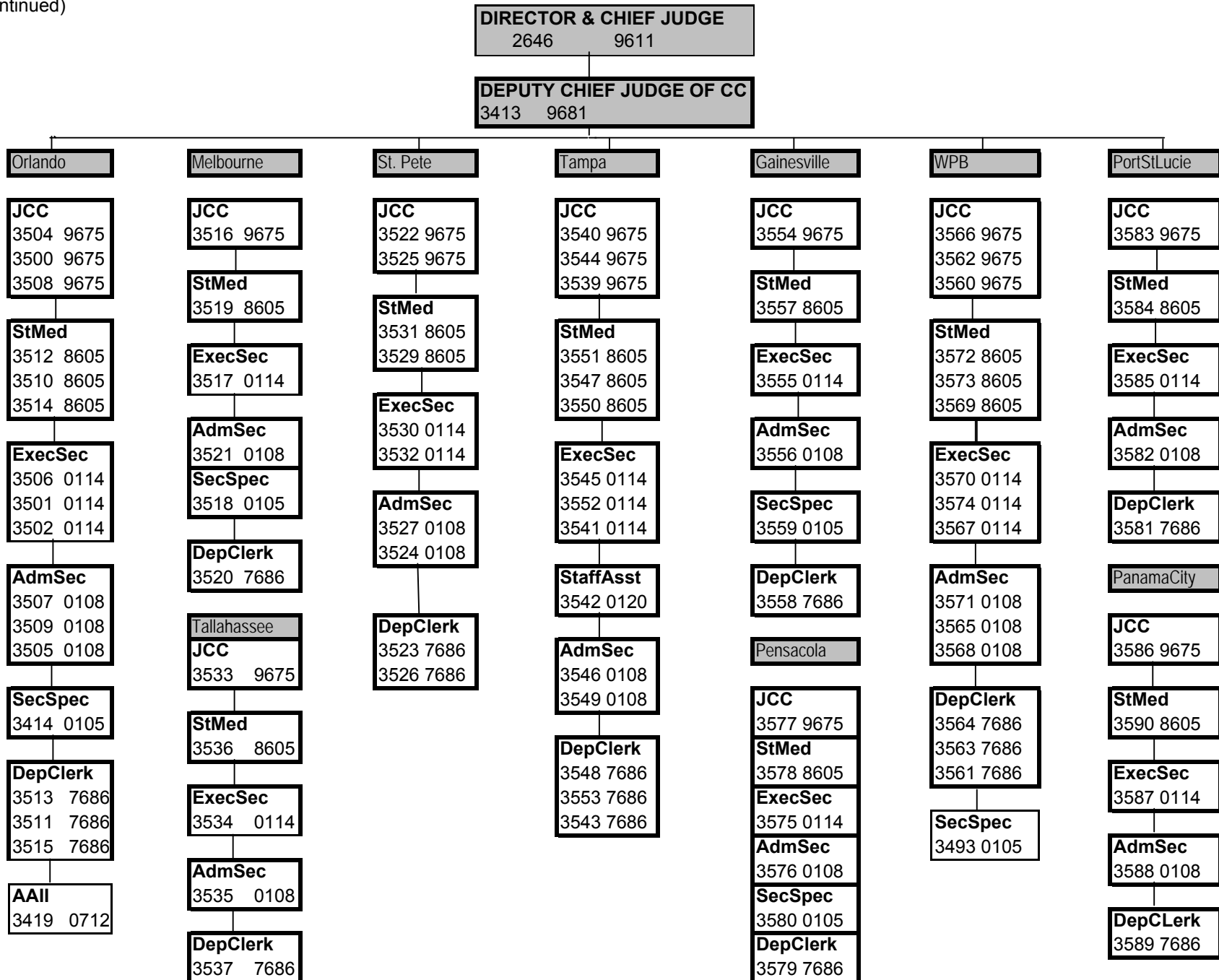
Agency:	Division of Administrative Hearings		
Contact Person:	Marilyn R. Lawrence	Phone Number:	850-488-9675
Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	N/A		
Court with Jurisdiction:	N/A		
Case Number:	N/A		
Summary of the Complaint:	N/A		
Amount of the Claim:	N/A		
Specific Statutes or Laws (including GAA) Challenged:	N/A		
Status of the Case:	N/A		
Who is representing (of record) the state in this lawsuit? Check all that apply.	N/A	Agency Counsel	
	N/A	Office of the Attorney General or Division of Risk Management	
	N/A	Outside Contract Counsel	
If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).	N/A		

Office of Policy and Budget – July, 2009

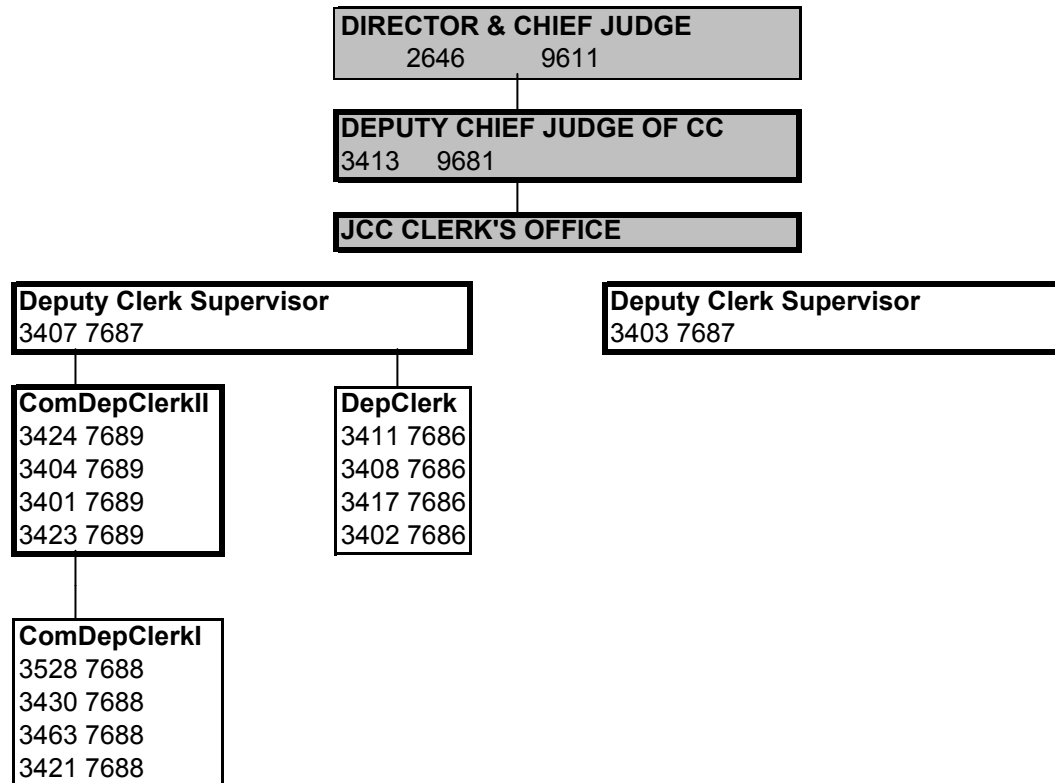




(continued)



(continued)



ACTIVITY ISSUE CODES SELECTED:

TRANSFER-STATE AGENCIES ACTIVITY ISSUE CODES SELECTED:

1-8:

AID TO LOCAL GOVERNMENTS ACTIVITY ISSUE CODES SELECTED:

1-8:

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

*** NO ACTIVITIES FOUND ***

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

*** NO OPERATING CATEGORIES FOUND ***

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

*** NO ACTIVITIES FOUND ***

TOTALS FROM SECTION I AND SECTIONS II + III:

DEPARTMENT: 7297	EXPENDITURES	FCO
FINAL BUDGET FOR AGENCY (SECTION I):	26,885,161	
TOTAL BUDGET FOR AGENCY (SECTION III):	26,885,171	
DIFFERENCE:	10-	
(MAY NOT EQUAL DUE TO ROUNDING)	=====	=====

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

Agency: DMS/Division of Administrative Hearings

Contact: Marilyn R. Lawrence, 850-488-9675, x 118

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

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

Yes No

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

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

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

* R/B = Revenue or Budget Driver

DIVISION OF ADMINISTRATIVE HEARINGS

ADJUDICATION OF DISPUTES PROGRAM

EXHIBITS OR SCHEDULES

DIVISION OF ADMINISTRATIVE HEARINGS

ADJUDICATION OF DISPUTES PROGRAM

SCHEDULE I SERIES

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

Department Title:	Budget Period: 2010 - 2011
Trust Fund Title:	DMS/Division of Administrative Hearings
Budget Entity:	Operating Trust Fund
LAS/PBS Fund Number:	Adjudication of Disputes
	2510

	Balance as of 6/30/2009		SWFS* Adjustments		Adjusted Balance
Chief Financial Officer's (CFO) Cash Balance	\$39,911.95	(A)			\$39,911.95
ADD: Other Cash (See Instructions)	\$0.00	(B)			\$0.00
ADD: Investments	\$2,849,806.95	(C)			\$2,849,806.95
ADD: Outstanding Accounts Receivable	\$161,515.80	(D)			\$161,515.80
ADD:	\$0.00	(E)			\$0.00
Total Cash plus Accounts Receivable	\$3,051,234.70	(F)			\$3,051,234.70
LESS Allowances for Uncollectibles	\$0.00	(G)			\$0.00
LESS Approved "A" Certified Forwards	(\$2,624.75)	(H)			(\$2,624.75)
Approved "B" Certified Forwards	(\$54,112.65)	(H)			(\$54,112.65)
Approved "FCO" Certified Forwards	\$0.00	(H)			\$0.00
LESS: Other Accounts Payable (Nonoperating)	(\$19,490.46)	(I)			(\$19,490.46)
LESS: _____	\$0.00	(J)			\$0.00
Unreserved Fund Balance, 07/01/09	\$2,975,006.84	(K)			\$2,975,006.84 **

Notes:

*SWFS = Statewide Financial Statement

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

SCHEDULE IX: MAJOR AUDIT FINDINGS AND RECOMMENDATIONS

Budget Period: 20

Department: DMS/Division of Administrative Hearings

Chief Internal Auditor: Carr Riggs & Ingram , LLC

Budget Entity: Adjudication of Disputes

Phone Number: 850-488-9675, X118

(1) REPORT NUMBER	(2) PERIOD ENDING	(3) UNIT/AREA	(4) SUMMARY OF FINDINGS AND RECOMMENDATIONS	(5) SUMMARY OF CORRECTIVE ACTION TAKEN
2009-078	February, 2008	Nonpublic Information Safeguards and Revenue and Cash Receipts	<p>1. Providers of social security numbers did not receive written statements of the purpose for the collection of the numbers. Certifications and reports were not timely provided to government officials.</p> <p>2. Operating procedures and standard documents could be enhanced to better safeguard nonpublic information.</p> <p>3. Written procedures on user access privileges for selected information technology systems had not been established. User access privileges were not routinely reviewed for continued applicability, and access authorizations were not retained. Certain controls needed improvement.</p> <p>4. Written policies for designating positions of special trust had not been developed. Positions of special trust had not been identified or subjected to a level 2 screening as a condition of employment.</p> <p>5. Cash collection and processing procedures needed improvement.</p> <p>6. Incompatible user access duties had been assigned to some Division employees.</p> <p>7. Appropriate change management procedures had not been employed.</p>	<p>1. A policy was instituted on July 9, 2008 to comply with the requirement of informing employees of the need to collect social numbers. Certification to the appropriate entities was filed on May 7, 2008; the entities will comply annually henceforth.</p> <p>2. Written procedures have been developed and enhanced to ensure that all nonpublic information is identified and properly protected. Appropriate safeguards have been implemented to protect such information.</p> <p>3. Written procedures for requesting, removing, and periodically reviewing privileges have been developed.</p> <p>4. Written policies and procedures for positions of special trust have been established. All positions have been identified as positions of special trust and have undergone level 2 background screenings.</p> <p>5. Control procedures have been read and enhanced to safeguard cash collection and processing.</p> <p>6. Conflicting duties have been reassigned and procedures for approving updates to user access data have been instituted.</p> <p>7. Procedures have been developed to address the issues raised.</p>

DIVISION OF ADMINISTRATIVE HEARINGS

**WORKERS' COMPENSATION APPEALS
PROGRAM**

EXHIBITS OR SCHEDULES

DIVISION OF ADMINISTRATIVE HEARINGS

**WORKERS' COMPENSATION APPEALS
PROGRAM**

SCHEDULE I SERIES

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

Budget Period: 2010 - 2011

Department Title:	DMS/Division of Administrative Hearings
Trust Fund Title:	Operating Trust Fund
Budget Entity:	Workers' Compensation Appeals
LAS/PBS Fund Number:	2510

	Balance as of 6/30/2009		SWFS* Adjustments	Adjusted Balance
Chief Financial Officer's (CFO) Cash Balance	\$30,192.51	(A)		\$30,192.51
ADD: Other Cash (See Instructions)	\$0.00	(B)		\$0.00
ADD: Investments	\$2,155,816.22	(C)		\$2,155,816.22
ADD: Outstanding Accounts Receivable	\$0.00	(D)		\$0.00
ADD:	\$0.00	(E)		\$0.00
Total Cash plus Accounts Receivable	\$2,186,008.73	(F)		\$2,186,008.73
LESS Allowances for Uncollectibles	\$0.00	(G)		\$0.00
LESS Approved "A" Certified Forwards	(\$6,920.86)	(H)		(\$6,920.86)
Approved "B" Certified Forwards	(\$286,742.23)	(H)		(\$286,742.23)
Approved "FCO" Certified Forwards	\$0.00	(H)		\$0.00
LESS: Other Accounts Payable (Nonoperating)	\$0.00	(I)		\$0.00
LESS: _____	\$0.00	(J)		\$0.00
Unreserved Fund Balance, 07/01/09	\$1,892,345.64	(K)		\$1,892,345.64 **

Notes:

*SWFS = Statewide Financial Statement

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

SCHEDULE IX: MAJOR AUDIT FINDINGS AND RECOMMENDATIONS

Budget Period: 20

Department: DMS/Division of Administrative Hearings

Chief Internal Auditor: Carr Riggs & Ingram , LLC

Budget Entity: Workers' Compensation Appeals

Phone Number: 850-488-9675, X118

(1) REPORT NUMBER	(2) PERIOD ENDING	(3) UNIT/AREA	(4) SUMMARY OF FINDINGS AND RECOMMENDATIONS	(5) SUMMARY OF CORRECTIVE ACTION TAKEN
2009-078	February, 2008	Nonpublic Information Safeguards and Revenue and Cash Receipts	<p>1. Providers of social security numbers did not receive written statements of the purpose for the collection of the numbers. Certifications and reports were not timely provided to government officials.</p> <p>2. Operating procedures and standard documents could be enhanced to better safeguard nonpublic information.</p> <p>3. Written procedures on user access privileges for selected information technology systems had not been established. User access privileges were not routinely reviewed for continued applicability, and access authorizations were not retained. Certain controls needed improvement.</p> <p>4. Written policies for designating positions of special trust had not been developed. Positions of special trust had not been identified or subjected to a level 2 screening as a condition of employment.</p> <p>5. Cash collection and processing procedures needed improvement.</p> <p>6. Incompatible user access duties had been assigned to some Division employees.</p> <p>7. Appropriate change management procedures had not been employed.</p>	<p>1. A policy was instituted on July 9, 2008 to comply with the requirement of informing employees of the need to collect social numbers. Certification to the appropriate entities was filed on May 7, 2008; the entities will comply annually henceforth.</p> <p>2. Written procedures have been developed and enhanced to ensure that all nonpublic information is identified and properly safeguarded. Appropriate safeguards have been implemented to protect such information.</p> <p>3. Written procedures for requesting, removing, and periodically reviewing privileges have been developed.</p> <p>4. Written policies and procedures for positions of special trust have been established. All positions have been identified as positions of special trust and have undergone level 2 background screenings.</p> <p>5. Control procedures have been read and enhanced to safeguard cash collection.</p> <p>6. Conflicting duties have been reassigned and procedures for approving updates to user data have been instituted.</p> <p>7. Procedures have been developed to address the issues raised.</p>

Fiscal Year 2010-11 LBR Technical Review Checklist

Department/Budget Entity (Service): DMS/Division of Administrative Hearings-Adjudication of Disputes & Workers' Compensation Appeals

Agency Budget Officer/OPB Analyst Name: Marilyn R. Lawrence, DOAH; Gino Betta, OPB

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. An "NA" indicates not applicable.

	Program or Service (Budget Entity Codes)				
Action	72970100	72970200			

1. GENERAL

1.1 Are Columns A01, A02, A04, A05, A10, A11, A36, IA1, IV1, IV3, NV1, IP1, IP2 and IP6 set to TRANSFER CONTROL for DISPLAY status and MANAGEMENT CONTROL for UPDATE status for both the Budget and Trust Fund columns? Are Columns A06, A07, A08 and A09 for Fixed Capital Outlay (FCO) set to TRANSFER CONTROL for DISPLAY status only? (CSDI)					
	Y	Y			
1.2 Is Column A03 set to TRANSFER CONTROL for DISPLAY and UPDATE status for both the Budget and Trust Fund columns? (CSDI)					
	Y	Y			

AUDITS:

1.3 Has Column A03 been copied to Column A12? Run the Exhibit B Audit Comparison Report to verify. (EXBR, EXBA)					
	Y	Y			
1.4 Has security been set correctly? (CSDR, CSA)					
	Y	Y			
TIP The agency should prepare the budget request for submission in this order: 1) Lock columns as described above; 2) copy Column A03 to Column A12; and 3) set Column A12 column security to ALL for DISPLAY status and MANAGEMENT CONTROL for UPDATE status.					

2. EXHIBIT A (EADR, EXA)

2.1 Is the budget entity authority and description consistent with the agency's LRPP and does it conform to the directives provided on page 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.					
	NA	NA			

Action	Program or Service (Budget Entity Codes)			
	72970100	72970200		

AUDITS:

3.2	Negative Appropriation Category Audit for Agency Request (Columns A03 and A04): Are all appropriation categories positive by budget entity at the FSI level? Are all nonrecurring amounts less than requested amounts? (NACR, NAC - Report should print "No Negative Appropriation Categories Found")	Y	Y		
-----	--	---	---	--	--

3.3	Current Year Estimated Verification Comparison Report: Is Column A02 equal to Column B07? (EXBR, EXBC - Report should print "Records Selected Net To Zero")	Y	Y		
-----	--	---	---	--	--

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		
-----	--	---	---	--	--

AUDITS:

5.2	Do the fund totals agree with the object category totals within each appropriation category? (ED1R, XD1A - Report should print "No Differences Found For This Report")	Y	Y		
-----	---	---	---	--	--

5.3	FLAIR Expenditure/Appropriation Ledger Comparison Report: Is Column A01 less than or equal to Column B04? (EXBR, EXBB - Negative differences need to be corrected in Column A01.)				
-----	--	--	--	--	--

Please note that the LBR Instructions reference the wrong B column.

Y	Y			
---	---	--	--	--

Action		Program or Service (Budget Entity Codes)				
		72970100	72970200			
5.4	<p>A01/State Accounts Disbursements and Carry Forward Comparison Report: Does Column A01 equal Column B08? (EXBR, EXBD - Differences need to be corrected in Column A01.)</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)				
		72970100	72970200			
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.					
6. EXHIBIT D-3 (ED3R, ED3) (Not required in the LBR - for analytical purposes only.)						
6.1	Are issues appropriately aligned with appropriation categories?	Y	Y			
TIP	Exhibit D-3 is no longer required in the budget submission but may be needed for this particular appropriation category/issue sort. Exhibit D-3 is also a useful report when identifying negative appropriation category problems.					
7. EXHIBIT D-3A (EADR, ED3A)						
7.1	Are the issue titles correct and do they clearly identify the issue? (See pages 15 through 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?	NA	NA			
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?	NA	NA			
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.)	NA	NA			
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.	NA	Y			
7.8	Does the issue narrative include the Consensus Estimating Conference forecast, where appropriate?	NA	NA			
7.9	Does the issue narrative reference the specific county(ies) where applicable?	NA	NA			

Action		Program or Service (Budget Entity Codes)			
		72970100	72970200		
7.10	Do the 160XXX0 issues reflect budget amendments that have been approved (or in the process of being approved) and that have a recurring impact (including Lump Sums)? Have the approved budget amendments been entered in Column A18 as instructed in Memo #10-002?	Y	Y		
7.11	When appropriate are there any 160XXX0 issues included to delete positions placed in reserve in the OPB Position and Rate Ledger (e.g. unfunded grants)? Note: Lump sum appropriations not yet allocated should <u>not</u> be deleted. (PLRR, PLMO)	NA	NA		
7.12	Does the issue narrative include plans to satisfy additional space requirements when requesting additional positions?	NA	NA		
7.13	Has the agency included a 160XXX0 issue and 210XXXX and 260XXX0 issues as required for lump sum distributions?	NA	NA		
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.)	NA	NA		
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)?	NA	NA		
7.17	Are the issues relating to <i>major audit findings and recommendations</i> properly coded (4A0XXX0, 4B0XXX0)?	NA	NA		
AUDIT:					
7.18	Are all FSI's equal to '1', '2', '3', or '9'? There should be no FSI's equal to '0'. (EADR, FSIA - Report should print "No Records Selected For Reporting")	Y	Y		
7.19	Does the General Revenue for 160XXXX issues net to zero? (GENR, LBR1)	NA	NA		
7.20	Does the General Revenue for 180XXXX issues net to zero? (GENR, LBR2)	NA	NA		
7.21	Does the General Revenue for 200XXXX issues net to zero? (GENR, LBR3)	NA	NA		
7.22	Have FCO appropriations been entered into the nonrecurring column A04? (GENR, LBR4 - Report should print "No Records Selected For Reporting" or a listing of D-3A issue(s) assigned to Debt Service (IOE N) or in some cases State Capital Outlay - Public Education Capital Outlay (IOE L))	NA	NA		

Action		Program or Service (Budget Entity Codes)				
		72970100	72970200			
TIP	Salaries and Benefits amounts entered using the OADA/C transactions must be thoroughly justified in the D-3A issue narrative. Agencies can run OADA/OADR from STAM to identify the amounts entered into OAD and ensure these entries have been thoroughly explained in the D-3A issue narrative.					
TIP	The issue narrative must completely and thoroughly explain and justify each D-3A issue. Agencies must ensure it provides the information necessary for the OPB and legislative analysts to have a complete understanding of the issue submitted. Thoroughly review pages 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.					
8. SCHEDULE I & RELATED DOCUMENTS (SC1R, SC1 - Budget Entity Level or SC1R, SC1D - Department Level)						
8.1	Has a separate department level Schedule I and supporting documents package been submitted by the agency?	Y	Y			
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?	NA	NA			
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)				
		72970100	72970200			
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?	NA	NA			
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)				
		72970100	72970200			
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?	NA	NA			
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?	NA	NA			
8.15	Are anticipated grants included and based on the state fiscal year (rather than federal fiscal year)?	NA	NA			
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?	NA	NA			
8.18	Has the agency certified the revenue estimates in columns A02 and A03 to be the latest and most accurate available?	Y	Y			
8.19	Is a 5% trust fund reserve reflected in Section II? If not, is sufficient justification provided for exemption? Are the additional narrative requirements provided?	Y	Y			
8.20	Are appropriate service charge nonoperating amounts included in Section II?	Y	NA			
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			

		Program or Service (Budget Entity Codes)				
Action		72970100	72970200			
8.28	Does Line I of Column A01 (Schedule I) equal Line K of the Schedule IC?	Y	Y			
AUDITS:						
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? (SC1R, SC1A - Report should print "No Discrepancies Exist For This Report")	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. (SC1R, DEPT)	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.					
9. SCHEDULE II (PSCR, SC2)						
AUDIT:						
9.1	Is the pay grade minimum for salary rate utilized for positions in segments 2 and 3? (BRAR, BRAA - Report should print "No Records Selected For This Request") Note: Amounts other than the pay grade minimum should be fully justified in the D-3A issue narrative. (See <i>Base Rate Audit</i> on page 156 of the LBR Instructions.)	NA	NA			
10. SCHEDULE III (PSCR, SC3)						
10.1	Is the appropriate lapse amount applied in Segment 3? (See page 88 of the LBR Instructions.)	NA	NA			
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 OADI or OADR to identify agency other salary amounts requested.	NA	Y			
11. SCHEDULE IV (EADR, SC4)						
11.1	Are the correct Information Technology (IT) issue codes used?	NA	NA			
TIP	If IT issues are not coded correctly (with "C" in 6th position), they will not appear in the Schedule IV.					
12. SCHEDULE VIIIA (EADR, SC8A)						

Action		Program or Service (Budget Entity Codes)				
		72970100	72970200			
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?	NA	NA			
13. SCHEDULE VIIB-1						
13.1	This schedule is not required in the October 15, 2009 LBR submittal.					
14. SCHEDULE VIIB-2 (EADR, S8B2)						
14.1	Do the reductions comply with the instructions provided on pages 101 and 102 of the LBR Instructions regarding a 10% reduction in recurring General Revenue and Trust Funds?	Y	Y			
15. SCHEDULE XI (LAS/PBS Web - see page 108 of the LBR Instructions for detailed instructions)						
15.1	Has the Schedule XI one page summary Excel file been e-mailed to OPB at OPB.UnitCostSummary@laspbs.state.fl.us? Agencies are required to generate this spreadsheet via the LAS/PBS Web. (Note: Pursuant to <i>section 216.023(4)(b), Florida Statutes</i> , the Legislature can reduce the funding level for any agency that does not provide this information.)	Y	Y			
15.2	Do the PDF files uploaded to the Florida Fiscal Portal for the LRPP and LBR match the Excel file e-mailed to OPB?	Y	Y			
AUDITS INCLUDED IN THE SCHEDULE XI REPORT:						
15.3	Does the FY 2008-09 Actual (prior year) Expenditures in Column A36 reconcile to Column A01? (GENR, ACT1)	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)? (Audit #1 should print "No Activities Found")	Y	Y			
15.5	Does the Fixed Capital Outlay (FCO) statewide activity (ACT0210) only contain 08XXXX or 14XXXX appropriation categories? (Audit #2 should print "No Operating Categories Found")	NA	NA			
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? (Audit #4 should print "No Discrepancies Found")	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)			
	72970100	72970200		

16. MANUALLY PREPARED EXHIBITS & SCHEDULES					
16.1	Do exhibits and schedules comply with LBR Instructions (pages 109 through 153 of the LBR Instructions), and are they accurate and complete?	Y	Y		
16.2	Are appropriation category totals comparable to Exhibit B, where applicable?	Y	Y		
16.3	Are agency organization charts (Schedule X) provided and at the appropriate level of detail?	Y	Y		

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

17. CAPITAL IMPROVEMENTS PROGRAM (CIP)					
17.1	Are the CIP-2, CIP-3, CIP-A and CIP-B forms included?	Y	Y		
17.2	Are the CIP-4 and CIP-5 forms submitted when applicable (see CIP Instructions)?	NA	NA		
17.3	Do all CIP forms comply with CIP Instructions where applicable (see CIP Instructions)?	Y	Y		
17.4	Does the agency request include 5 year projections (Columns A03, A06, A07, A08 and A09)?	Y	Y		
17.5	Are the appropriate counties identified in the narrative?	NA	NA		
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.				

18. FLORIDA FISCAL PORTAL					
18.1	Have all files been assembled correctly and posted to the Florida Fiscal Portal as outlined in the Florida Fiscal Portal Submittal Process?	Y	Y		