STATE OF FLORIDA
CHIEF FINANCIAL OFFICER
ALEX SINK

LEGISLATIVE BUDGET REQUEST

October 15, 2010

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 Councils
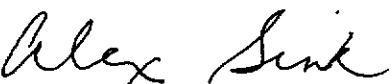221 Capitol
Tallahassee, Florida   32399-1300

David Coburn, 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 Department of Financial Services 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 2011-12 Fiscal Year.

Please let me know if you need additional information.

Sincerely,

Alex Sink

Alex Sink

Enclosures

AS:tjm

Department Level Exhibits and Schedules

Non- Strategic IT Service: **Network Service**

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

Combined v.2011-12

Service Provisioning - - Assets & Resources *(Cost Elements)*	Footnote Number	Resources Apportioned to this IT Service in FY 2011- 12		Estimated IT Service Costs			
				A	B	C	D
		Number used for this service	Number w/ costs in FY 2011- 12	Initial Estimate for Fiscal Year 2010- 11	Estimated FY 2010- 11 Allocation of Recurring Base Budget *(based on Column G64 minus G65)*	Estimated FY 2011- 12 Allocation of Recurring Base Budget *(based on Column G64 minus G65)*	Planned Increase/Decrease Use of Recurring Base Funding *(Columns C - B)*
A. Personnel		10.00		$570,885	$482,797	$482,797	$0
A-1.1 **State FTE**	1	10.00		$570,885	$482,797	$482,797	$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		4131	0	$1,107,010	$632,528	$632,528	$0
B-1 **Servers**	2	173	0	$0	$0	$0	$0
B-2 **Server Maintenance & Support**	3	149	0	$450,196	$0	$0	$0
B-3 **Network Devices & Hardware** (e.g., routers, switches, hubs, cabling, etc.)	4	3809	0	$656,814	$632,528	$632,528	$0
B-4 **Online Storage for file and print** (indicate GB of storage)		15 TB		$0	$0	$0	$0
B-5 **Archive Storage for file and print** (indicate GB of storage)		10 TB		$0	$0	$0	$0
B-6 **Other Hardware Assets** (Please specify in Footnote Section below)				$0	$0	$0	$0
C. Software	5			$124,535	$534,732	$534,732	$0
D. External Service Provider(s)				$945,837	$968,838	$968,838	$0
D-1 **MyFloridaNet**				$945,837	$968,838	$968,838	$0
D-2 **Other** (Please specify in Footnote Section below)				$0	$0	$0	$0
E. Other (Please describe in Footnotes Section below)				$0	$0	$0	$0
F. Total for IT Service				$2,748,267	$2,618,895	$2,618,895	$0

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

1	Salary reflects 10 FTEs percentage of time to support this non-strategic service.
2	Servers are for a SAN, file and print services and other member services.
3	An on-call maintenance contract covers out-of-warranty servers. Remaining servers are covered by factory warranty. Actual costs may vary depending on the number of service calls made.
4	This total includes 223 switches, 33 routers and 8 firewalls, 5 coreswitches, 30 voice servers and 3510 phones to support all Data and IP Telephony. (*Contract A0785A, D01113208, A09A22, D01518889, D01272768, PCard3, and A0B5B0)
5	Costs are for Metaframe/Citrix, BigFix, Galaxy, Microsoft Premier, Ecora, & Microsoft EA
6	Comcast, pager, Satellite, and Department of Management Services (DMS) SUNCOM services cost.
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Non-Strategic IT Service:

E-Mail, Messaging, and Calendaring Service

Agency: Department of Financial Services

Prepared by: Jennifer Grant

Phone: 413-3595

Form: FY 2011-12 Schedule IV-C -

Service Provisioning - - Assets & Resources (Cost Elements)	Footnote Number	# of Assets & Resources Apportioned to this IT Service in FY 2011-12		Estimated IT Service Costs			
		Number used for this service	Number w/ costs in FY 2011-12	A — Initial Estimate for Fiscal Year 2010-11	B — Estimated FY 2010-11 Allocation of Recurring Base Budget (based on Column G64 minus G65)	C — Estimated FY 2011-12 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		2.50		$75,156	$211,983	$211,983	$0
A-1 State FTE	1	1.50		$75,156	$67,911	$67,911	$0
A-2 OPS FTE		0.00		$0	$0	$0	$0
A-3 Contractor Positions (Staff Augmentation)	1	1.00		$0	$144,072	$144,072	$0
B. Hardware				$0	$99,278	$99,278	$0
B-1 Servers	2	16	0	$0	$0	$0	$0
B-2 Server Maintenance & Support		0	0	$0	$0	$0	$0
B-3 Wireless Communication Devices (e.g., Blackberries, I-phones, PDAs, etc.)	3	196	0	$0	$99,278	$99,278	$0
B-4 Online Storage (indicate GB of storage)		9.2 TB		$0	$0	$0	$0
B-5 Archive Storage (indicate GB of storage)		16.4 TB		$0	$0	$0	$0
B-6 Other Hardware Assets (Please specify in Footnote Section below)				$0	$0	$0	$0
C. Software	4			$40,895	$49,934	$49,934	$0
D. External Service Provider(s)				$0	$0	$0	$0
D-1 Southwood Shared Resource Center				$0	$0	$0	$0
D-2 Northwood Shared Resource Center				$0	$0	$0	$0
D-3 Northwest Regional Data Center				$0	$0	$0	$0
D-4 Other Data Center External Service Provider (specify in Footnotes below)				$0	$0	$0	$0
E. Other (Please describe in Footnotes Section below)				$0	$0	$0	$0
F. Total for IT Service				$116,051	$361,195	$361,195	$0

G. 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		5.00%	$ 75,961
OT-3 Help Desk		0.40%	$ 1,206
OT-4 IT Security & Risk Mitigation			
OT-5 IT Administration & Management			
SUBTOTAL		$	77,167

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	**$**	**438,362**

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

1. Salary reflects 2.5 FTE positions dedicated to the support of this non-strategic service.
2. Exchange, email encryption, SPAM filtering, and Webmail servers.
3. Cost reflects yearly cost for all Blackberry devices.
4. Cost reflect Mimosa, IronPort Spam, and Anti-Virus Filtering licenses, and support which is a product only used for email.
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Non- Strategic IT Service:	**Desktop Computing Service**						

Agency: **Department of Financial Services**

Form: FY 2011-12 Schedule IV-C -

Prepared by: **Jennifer Grant**

Phone: **413- 3595**

Service Provisioning - - Assets & Resources *(Cost Elements)*	Footnote Number	Number used for this service	Number w/ costs in FY 2011-12	A — Initial Estimate for Fiscal Year 2010-11	B — Estimated FY 2010-11 Allocation of Recurring Base Budget *(based on Column G64 minus G65)*	C — Estimated FY 2011-12 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		15.00		$313,671	$387,867	$387,867	$0
A-1 **State FTE**	1	14.00		$272,322	$362,341	$362,341	$0
A-2 **OPS FTE**	1	1.00		$41,349	$25,526	$25,526	$0
A-3 **Contractor Positions** (Staff Augmentation)		0.00		$0	$0	$0	$0
B. Hardware		4045	0	$650,480	$693,808	$693,808	$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	2727	0	$460,781	$460,778	$460,778	$0
B-3.2 **Mobile Computers** (e.g., Laptop, Notebook, Handheld, Wireless Computer)	3	1318	0	$189,699	$233,030	$233,030	$0
B-3.3 **Other Hardware Assets** *(Please specify in Footnote Section below)*		0	0	$0	$0	$0	$0
C. Software	4			$6,870	$437,546	$437,546	$0
D. External Service Provider(s)		0	0	$0	$0	$0	$0
E. Other *(Please describe in Footnotes Section below)*				$0	$0	$0	$0
F. Total for IT Service				$971,021	$1,519,221	$1,519,221	$0

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

1	Salary reflects 14 FTEs percentage of time to support this non-strategic service.
2	Desktiop refresh for DFS and the Offices of OFR and OIR. These offices receive separate funding for this purpose. (See Budget Entity cost sheet).
3	Laptop refresh for DFS and the Offices of OFR and OIR . These offices receive separate funding for this purpose. (See Budget Entity cost sheet).
4	Software cost for WinZip, TN3270 plus and all other software licenses.
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Non- Strategic IT Service:	**Helpdesk Service**							
Agency:	**Department of Financial Services**			# of Assets & Resources Apportioned to this IT Service in FY 2011-12		Form: FY 2011-12 Schedule IV-C –		
Prepared by:	**Jennifer Grant**					Estimated IT Service Costs		
Phone:	**413- 3595**				*A*	*B*	*C*	*D*
Service Provisioning - - Assets & Resources *(Cost Elements)*		Footnote Number	Number used for this service	Number w/ costs in FY 2011-12	Initial Estimate for Fiscal Year 2010-11	Estimated FY 2010-11 Allocation of Recurring Base Budget *(based on Column G64 minus G65)*	Estimated FY 2011-12 Allocation of Recurring Base Budget *(based on Column G64 minus G65)*	Planned Increase/Decrease Use of Recurring Base Funding *(Columns C - B)*
A. Personnel			9.00		$201,386	$235,595	$235,595	$0
A-1	State FTE	1	9.00		$201,386	$235,595	$235,595	$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			3	0	$0	$33,000	$33,000	$0
B-1	Servers	2	3	0	$0	$0	$0	$0
B-2	Server Maintenance & Support	3	0	0	$0	$33,000	$33,000	$0
B-3	Other Hardware Assets *(Please specify in Footnote Section below)*		0	0	$0	$0	$0	$0
C. Software		4			$64,900	$33,000	$33,000	$0
D. External Service Provider(s)			0	0	$0	$0	$0	$0
E. Other *(Please describe in Footnotes Section below)*					$0	$0	$0	$0
F. Total for IT Service					$266,286	$301,595	$301,595	$0

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

1	Salary reflects 9.0 FTEs percentage of time to support this non-strategic service.
2	Remedy servers.
3	Cost are for Remedy servers.
4	Sotftware costs for Remedy.
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Non- Strategic IT Service: IT Security/Risk Mitigation Service

Agency: Department of Financial Services

Prepared by: Jennifer Grant

Phone: 413- 3595

Form: FY 2011-12 Schedule IV-C –

Service Provisioning - - Assets & Resources *(Cost Elements)*	Footnote Number	# of Assets & Resources Apportioned to this IT Service in FY 2011- 12 — Number used for this service	Number w/ costs in FY 2011- 12	A — Initial Estimate for Fiscal Year 2010- 11	B — Estimated FY 2010- 11 Allocation of Recurring Base Budget *(based on Column G64 minus G65)*	C — Estimated FY 2011- 12 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		4.00		$107,475	$264,740	$264,740	$0
A-1 **State FTE**	1	4.00		$107,475	$264,740	$264,740	$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** *(Please specify in Footnote Section below)*		0	0	$0	$0	$0	$0
C. Software				$0	$0	$0	$0
D. External Service Provider(s)	2	0	0	$443,400	$443,400	$443,400	$0
E. Other *(Please describe in Footnotes Section below)*	3			$50,000	$50,000	$50,000	$0
F. Total for IT Service				$600,875	$758,140	$758,140	$0

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

1	Salary reflects 4 FTE positions dedicated to the support of this non-strategic service.
2	SunGuard recovery resources for mainframe, Unix & Windows platforms @$36,950/mo.
3	Estimated $50,000 a year for travel expenses to conduct disaster recovery tests at the hotsite.
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| Non-Strategic IT Service: | **Agency Financial and Administrative Systems Support Service** | | | | | | |

Agency: Department of Financial Services

Prepared by: Jennifer Grant

Phone: 413- 3595

Form: FY 2011-12 Schedule IV-C -

			# of Assets & Resources Apportioned to this IT Service in FY 2011-12		Estimated IT Service Costs			
					A	*B*	*C*	*D*
Service Provisioning - - Assets & Resources *(Cost Elements)*		Footnote Number	Number used for this service	Number w/ costs in FY 2011-12	Initial Estimate for Fiscal Year 2010-11	Estimated FY 2010-11 Allocation of Recurring Base Budget *(based on Column G64 minus G65)*	Estimated FY 2011-12 Allocation of Recurring Base Budget *(based on Column G64 minus G65)*	Planned Increase/Decrease Use of Recurring Base Funding *(Columns C - B)*
A. Personnel			42.00		$19,325	$2,849,006	$2,849,006	$0
A-1	State FTE	1	42.00		$19,325	$2,849,006	$2,849,006	$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 *(Please specify in Footnote Section below)*		0	0	$0	$0	$0	$0
C. Software					$0	$0	$0	$0
D. External Service Provider(s)			0	0	$0	$0	$0	$0
E. Other *(Please describe in Footnotes Section below)*					$0	$0	$0	$0
F. Total for IT Service					$19,325	$2,849,006	$2,849,006	$0

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

1	Salary reflects 42.0 FTE positions that support this non-strategic service.
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Non-Strategic IT Service:	**IT Administration and Management Service**

Agency: **Department of Financial Services**

Prepared by: **Jennifer Grant**

Phone: **413-3595**

Form: FY 2011-12 Schedule IV-C -

Service Provisioning - - Assets & Resources *(Cost Elements)*	Footnote Number	**# of Assets & Resources Apportioned to this IT Service in FY 2011-12**		**Estimated IT Service Costs**			
		Number used for this service	**Number w/ costs in FY 2011-12**	**A** Initial Estimate for Fiscal Year 2010-11	**B** Estimated FY 2010-11 Allocation of Recurring Base Budget *(based on Column G64 minus G65)*	**C** Estimated FY 2011-12 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		17.00		$627,850	$1,401,835	$1,401,835	$0
A-1 **State FTE**	1	17.00		$627,850	$1,401,835	$1,401,835	$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** *(Please specify in Footnote Section below)*		0	0	$0	$0	$0	$0
C. Software				$0	$0	$0	$0
D. External Service Provider(s)		0	0	$0	$0	$0	$0
E. Other *(Please describe in Footnotes Section below)*				$0	$0	$0	$0
F. Total for IT Service				$627,850	$1,401,835	$1,401,835	$0

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

1	Salary reflects 17 FTE positions includes CIO, Assistant Director, Business Relationship Consultants and other supporting staff dedicated to this non-strategic service.
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Non-Strategic IT Service:	**Portal/Web Management Service**							

Dept/Agency:	**Department of Financial Services**
Prepared by:	(Enter name of person who completed this worksheet)
Phone:	(enter phone number for person named above)

Form: Schedule IV-C -Combined v.2011-12

		# of Assets & Resources Apportioned to this IT Service In FY 2011-12		Estimated IT Service Costs			
Service Provisioning -- Assets & Resources *(Cost Elements)*	Footnote Number	Number used for this service	Number w/ costs In FY 2011-12	**A** Initial Estimate for Fiscal Year 2010-11	**B** Estimated FY 2010-11 Allocation of Recurring Base Budget *(based on Column G64 minus G65)*	**C** Estimated FY 2011-12 Allocation of Recurring Base Budget *(based on Column G64 minus G65)*	**D** Planned Increase/Decrease Use of Recurring Base Funding
A. Personnel		9.00		$0	$204,573	$204,573	$0
A-1.1 **State FTE**	1	9.00		$0	$204,573	$204,573	$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				$0	$0	$0	$0
B-1 **Servers**		182	182	$0	$0	$0	$0
B-2 **Server Maintenance & Support**		0	0	$0	$0	$0	$0
B-3 **Other Hardware Assets** *(Please specify in Footnotes Section below)*		0	0	$0	$0	$0	$0
C. Software	2			$0	$331,611	$331,611	$0
D. External Service Provider(s)		0	0	$0	$0	$0	$0
E. Other *(Please describe in Footnotes Section below)*				$0	$0	$0	$0
F. Total for IT Service				$0	$536,184	$536,184	$0

G.	**Footnotes -** *Please be sure to indicate there is a footnote for the corresponding row above. Maximum footnote length is 1024 characters.*
1	Salary reflects 9.0 FTEs percentage of time to support this non-strategic service.
2	Software costs includes File Net and Visiflow.
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Non-Strategic IT Service: **Data Center Service**

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

Form: Schedule IV-C -Combined v.2011-12

Prepared by: (Enter name of person who completed this worksheet)

Phone: (enter phone number for person named above)

Service Provisioning -- Assets & Resources *(Cost Elements)*	Footnote Number	Number used for this service	Number w/ costs in FY 2011-12	A Initial Estimate for Fiscal Year 2010-11 (if submitted)	B Estimated FY 2010-11 Allocation of Recurring Base Budget *(based on Column G64 minus G65)*	C Estimated FY 2011-12 Allocation of Recurring Base Budget *(based on Column G64 minus G65)*	D Planned Increase/Decrease Use of Recurring Base Funding
A. Personnel *(performing data center functions defined in w. 282.201(2)(d)1.e., F.S.)*		47.00		$0	$3,139,040	$3,139,040	$0
A-1.1 **State FTE**	1	46.00		$0	$3,139,040	$3,139,040	$0
A-2.1 **OPS FTE**	2	1.00		$0	$0	$0	$0
A-3.1 **Contractor Positions** (Staff Augmentation)		0.00		$0	$0	$0	$0
B. Hardware Calculated total non-mainframe servers from all IV-C services 563 Calculated total mainframes from all IV-C services 3				$0	$753,752	$753,752	$0
B-1 **Non-Mainframe Servers** *(including single-function logical servers not assigned to another service)*	3	15	0	$0	$0	$0	$0
B-2 **Servers - Mainframe**	4	1	0	$0	$325,798	$325,798	$0
B-3 **Server Maintenance & Support**	5	16	0	$0	$279,167	$279,167	$0
B-4 **Online or Archival Storage Systems** *(indicate GB of storage)*	6	2		$0	$148,787	$148,787	$0
B-5 **Data Center/ Computing Facility Internal Network**				$0	$0	$0	$0
B-6 **Other Hardware** *(Please specify in Footnotes Section below)*				$0	$0	$0	$0
C. Software	7			$0	$4,181,832	$4,181,832	$0
D. External Service Provider(s)				$0	$63,792	$63,792	$0
D-1 **Southwood Shared Resource Center** *(indicate # of Board votes)*		0		$0	$0	$0	$0
D-2 **Northwood Shared Resource Center** *(indicate # of Board votes)*		0		$0	$0	$0	$0
D-3 **Northwest Regional Data Center** *(indicate # of Board votes)*	8	0		$0	$63,792	$63,792	$0
D-4 **Other Data Center External Service Provider** *(specify in Footnotes below)*		0		$0	$0	$0	$0
E. Plant & Facility		Total	Est Utilized	$0	$0	$0	$0
E-1 **Agency Data Center (indicate total square feet)**		0	0	$0	$0	$0	$0
E-2 **Computing Facilities (indicate total square feet)**		0	0	$0	$0	$0	$0
E-3 **Office Space (indicate total square feet)**		0	0	$0	$0	$0	$0
E-4 **Backup Generator, Power Distribution Units, UPS, etc.** *(indicate capacity in KW)*		0	0	$0	$0	$0	$0
E-5 **Utilities (e.g., electricity and water)** *(estimated total annual KWH)*		0		$0	$0	$0	$0
E-6 **Environmentals (e.g., HVAC, fire control, and physical security)**				$0	$0	$0	$0
E-7 **Other** *(please specify in Footnotes Section below)*				$0	$0	$0	$0
F. Other *(Please describe in Footnotes Section below)*				$0	$0	$0	$0
G. Total for IT Service				$0	$8,138,416	$8,138,416	$0

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

1	Salary reflects 47 FTE positions dedicated to the support of this non-strategic service.
2	Salary reflects 1.0 OPS FTE position percentage of time to the support of this non-strategic service.
3	(1) AS/400 in FDC; (1) AS/400 @NWRDC; (13) Sun servers in FDC
4	IBM mainframe HW lease/purchase
5	IBM mainframe HW support; Unix servers; AS/400s
6	Costs for Lease/Purchase and support for SL8500 and mainframe attached disk subsystems; SAN & SL500/L700 and tape Libraries
7	Software for IBM mainframe
8	Cost includes contracts for floorspace, off-site tape storage & fiber loop use fee.
9	

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Agency: Department of Financial Services

Budget Entity Name	BE Code	Program Component Code	Program Component Name	E-mail Total — Costs within BE	E-mail Total — Funding Identified for IT Service	E-mail Fund Source (GR=General Revenue STF=State TF FTF=Federal TF)	Salary & Benefits	OPS	Expense	OCO	Contracted Services	Other Category	Network Service	Desktop Computing Service	Helpdesk Service	IT Security/Risk Mitigation Service	Agency Financial and Administrative Systems Support Service	IT Administration and Management Service
Identified Funding as % of Total Cost of Service				100%									100.0%	100.0%	100.0%	100.0%	100.0%	100.0%
				$361,195			$67,911	$0	$49,934	$99,278	$144,072	$0	$2,618,895	$1,519,221	$301,595	$758,140	$2,849,006	$1,401,835
Information Technology	43010300	16.03.00.00.00	Information Technology	$9,654,768	$361,195	GR=General Revenue STF=State TF FTF=Federal TF	$67,911	$0	$49,934	$99,278	$144,072	$0	$2,618,895	$1,364,102	$301,595	$758,140	$2,849,006	$1,401,835
				$0	$0													
Comp & Enforce-Insurance	43900110	12.04.00.00.00	Regulation and Licensing	$56,917	$0									$56,917				
Finance Regulation	43900560	12.04.00.00.00	Regulation and Licensing	$0	$0									$0				
Securities Regulation	43900570	12.04.00.00.00	Regulation and Licensing	$73,652	$0									$73,652				
Financial Investigation	43900540	12.04.00.00.00	Regulation and Licensing	$24,550	$0									$24,550				
				$0	$0													
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Sum of IT Cost Elements Across IT Services

IT Cost Element Data as entered on IT Service Worksheets				E-mail Total	E-mail Fund Source								Network Service	Desktop Computing Service	Helpdesk Service	IT Security/Risk Mitigation Service	Agency Financial and Administrative Systems Support Service	IT Administration and Management Service
Personnel	State FTE (#)			152.50	1.50								10.00	14.00	9.00	4.00	42.00	17.00
	State FTE (Costs)			$9,007,838	$67,911								$482,797	$362,341	$235,595	$264,740	$2,849,006	$1,401,835
Personnel	OPS FTE (#)			2.00	0.00								0.00	1.00	0.00	0.00	0.00	0.00
	OPS FTE (Cost)			$25,526	$0								$0	$25,526	$0	$0	$0	$0
Personnel	Vendor/Staff Augmentation (# Positions)			1.00	1.00								0.00	0.00	0.00	0.00	0.00	0.00
	Vendor/Staff Augmentation (Costs)			$144,072	$144,072								$0	$0	$0	$0	$0	$0
Hardware				$2,212,366	$99,278								$632,528	$693,808	$33,000	$0	$0	$0
Software				$5,568,655	$49,934								$534,732	$437,546	$33,000	$0	$0	$0
External Services				$1,476,030	$0								$968,838	$0	$0	$443,400	$0	$0
Plant & Facility (Data Center Only)				$0														
Other				$50,000	$0								$0	$0	$0	$50,000	$0	$0
Totals of Costs				**$18,484,487**	$361,195		$67,911	$0	$49,934	$99,278	$144,072	$0	$2,618,895	$1,519,221	$301,595	$758,140	$2,849,006	$1,401,835
Totals of FTE				**155.50**	2.50								10.00	15.00	9.00	4.00	42.00	17.00

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Strategic IT Service: **DFS Strategic IT Service #1: Financial Services & Accountability**

Form: Schedule IV-C -Combined v.2011-12

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

Service Provisioning -- Assets & Resources *(Cost Elements)*	Footnote Number	# of Assets & Resources apportioned to this IT Service		Estimated IT Service Costs			
				A	*B*	*C*	*D*
		Number used for this service	Number w/ costs in FY 2011-12	Initial Estimate for Fiscal Year 2010-11	Estimated FY 2010-11 Allocation of Recurring Base Budget *(based on Column G64 minus G65)*	Estimated FY 2011-12 Allocation of Recurring Base Budget *(based on Column G64 minus G65)*	Planned Increase/Decrease Use of Recurring Base Funding
A. Personnel		**76.00**		$0	$4,343,285	$4,343,285	$0
A-1.1 **State FTE**	1	72.00		$0	$4,173,485	$4,173,485	$0
A-2.1 **OPS FTE**		0.00		$0	$0	$0	$0
A-3.1 **Contractor Positions** (Staff Augmentation)	2	4.00		$0	$169,800	$169,800	$0
B. Hardware		**41**	**0**	$0	$4,543,086	$4,543,086	$0
B-1 **Servers** - Mainframe	3	2	0	$0	$0	$0	$0
B-2 **Servers** - Non-Mainframe	4	39	0	$0	$79,162	$79,162	$0
B-3 **Server Maintenance & Support**	5			$0	$4,463,924	$4,463,924	$0
B-4 **Other Hardware Assets** (e.g., system mgt workstation, printers, UPS)				$0	$0	$0	$0
C. Software	6			$0	$65,146	$65,146	$0
D. External Service Provider(s)	7	0	0	$0	$5,286	$5,286	$0
E. Other *(Please describe in Footnotes Section below)*				$0	$0	$0	$0
F. Total for IT Service				$0	$8,956,803	$8,956,803	$0

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

1	Salary reflects FTEs percentage of time which varies to support FLAIR, UPMIS, SPIA, RECEIPTS, Warrant Processing, CODA, RCP
2	Contractor Positions (Staff Augmentation) for UPMIS & CODA
3	IBM Mainframe for FLAIR; AS400 for SPIA, RECEIPTS & Warrant Processing
4	Servers for UPMIS, CODA & RCP
5	Maintenance support costs for FLAIR, SPIA, RECEIPTS & Warrant Processing
6	Software cost for UPMIS, CODA & RCP
7	DMS Internet costs for UPMIS, CODA, RCP
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Strategic IT Service:	**DFS Strategic IT Service #2: Enforcement**							

Form: Schedule IV-C -Combined v.2011-12

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

Service Provisioning -- Assets & Resources *(Cost Elements)*	Footnote Number	# of Assets & Resources apportioned to this IT Service		Estimated IT Service Costs			
		Number used for this service	**Number w/ costs in FY 2011-12**	**A** Initial Estimate for Fiscal Year 2010-11	**B** Estimated FY 2010-11 Allocation of Recurring Base Budget *(based on Column G64 minus G65)*	**C** Estimated FY 2011-12 Allocation of Recurring Base Budget *(based on Column G64 minus G65)*	**D** Planned Increase/Decrease Use of Recurring Base Funding
A. Personnel		3.00		$0	$50,093	$50,093	$0
A-1.1 **State FTE**	1	3.00		$0	$33,143	$33,143	$0
A-2.1 **OPS FTE**		0.00		$0	$0	$0	$0
A-3.1 **Contractor Positions** (Staff Augmentation)	2	0.00		$0	$16,950	$16,950	$0
B. Hardware		22	0	$0	$44,616	$44,616	$0
B-1 **Servers** - Mainframe		0	0	$0	$0	$0	$0
B-2 **Servers** - Non-Mainframe	3	22	0	$0	$44,616	$44,616	$0
B-3 **Server Maintenance & Support**				$0	$0	$0	$0
B-4 **Other Hardware Assets** (e.g., system mgt workstation, printers, UPS)				$0	$0	$0	$0
C. Software	4			$0	$12,128	$12,128	$0
D. External Service Provider(s)	5	0	0	$0	$2,643	$2,643	$0
E. Other (Please describe in Footnotes Section below)				$0	$0	$0	$0
F. Total for IT Service				$0	$109,480	$109,480	$0

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

1	Salary reflects FTEs percentage of time which varies to support ACIS_FRAUD, FC_DICE
2	ACISS_FRAUD is a 3rd party software package.
3	Servers for ACIS_FRAUD, FC_DICE
4	Costs for ACISS_FRAUD, FC_DICE
5	DMS Intenet costs for ACIS_FRAUD, FC_DICE
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Strategic IT Service:	**DFS Strategic IT Service #3: Regulatory Services**					

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

Form: Schedule IV-C -Combined v.2011-12

Prepared by: **Jennifer Grant**

Phone: **413-3595**

Service Provisioning -- Assets & Resources *(Cost Elements)*	Footnote Number	# of Assets & Resources apportioned to this IT Service		Estimated IT Service Costs			
		Number used for this service	Number w/ costs in FY 2011-12	*A* Initial Estimate for Fiscal Year 2010-11	*B* Estimated FY 2010-11 Allocation of Recurring Base Budget *(based on Column G64 minus G65)*	*C* Estimated FY 2011-12 Allocation of Recurring Base Budget *(based on Column G64 minus G65)*	*D* Planned Increase/Decrease Use of Recurring Base Funding
A. Personnel		8.00		$0	$2,140,141	$2,140,141	$0
A-1.1 **State FTE**	1	1.00		$0	$18,117	$18,117	$0
A-2.1 **OPS FTE**		0.00		$0	$0	$0	$0
A-3.1 **Contractor Positions** (Staff Augmentation)	2	7.00		$0	$2,122,024	$2,122,024	$0
B. Hardware		32	0	$0	$214,056	$214,056	$0
B-1 **Servers** - Mainframe		0	0	$0	$0	$0	$0
B-2 **Servers** - Non-Mainframe	3	32	0	$0	$214,056	$214,056	$0
B-3 **Server Maintenance & Support**				$0	$0	$0	$0
B-4 **Other Hardware Assets** (e.g., system mgt workstation, printers, UPS)				$0	$0	$0	$0
C. Software	4			$0	$434,035	$434,035	$0
D. External Service Provider(s)	5	0	0	$0	$3,524	$3,524	$0
E. Other *(Please describe in Footnotes Section below)*				$0	$0	$0	$0
F. Total for IT Service				$0	$2,791,756	$2,791,756	$0

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

1	Salary reflects FTEs percentage of time which varies to support REAL, COREN
2	Contractor Positions (Staff Augmentation) is Accenture Consulting
3	Servers for REAL & COREN
4	Software costs include Versa/Iron Data, MxAffee, Commvault Backup
5	DMS Internet cost
6	F.S. 20.121 establishes the commissions (OFR & OIR) with separate budget entity from DFS.
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Strategic IT Service:	**DFS Strategic IT Service #4: Insurance Services**							

Form: Schedule IV-C -Combined v.2011-12

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

Service Provisioning -- Assets & Resources *(Cost Elements)*	Footnote Number	# of Assets & Resources apportioned to this IT Service		Estimated IT Service Costs			
		Number used for this service	Number w/ costs in FY 2011-12	*A* Initial Estimate for Fiscal Year 2010-11	*B* Estimated FY 2010-11 Allocation of Recurring Base Budget *(based on Column G64 minus G65)*	*C* Estimated FY 2011-12 Allocation of Recurring Base Budget *(based on Column G64 minus G65)*	*D* Planned Increase/Decrease Use of Recurring Base Funding
A. Personnel		6.00		$0	$447,022	$447,022	$0
A-1.1 **State FTE**	1	4.00		$0	$122,022	$122,022	$0
A-2.1 **OPS FTE**		0.00		$0	$0	$0	$0
A-3.1 **Contractor Positions** (Staff Augmentation)	2	2.00		$0	$325,000	$325,000	$0
B. Hardware		7	0	$0	$31,500	$31,500	$0
B-1 **Servers** - Mainframe		0	0	$0	$0	$0	$0
B-2 **Servers** - Non-Mainframe	3	7	0	$0	$31,500	$31,500	$0
B-3 **Server Maintenance & Support**				$0	$0	$0	$0
B-4 **Other Hardware Assets** (e.g., system mgt workstation, printers, UPS)				$0	$0	$0	$0
C. Software	4			$0	$10,511	$10,511	$0
D. External Service Provider(s)	5	0	0	$0	$1,762	$1,762	$0
E. Other (Please describe in Footnotes Section below)				$0	$0	$0	$0
F. Total for IT Service				$0	$490,795	$490,795	$0

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

1	Salary reflects FTEs percentage of time which varies to supports STARS
2	Contractor Positions (Staff Augmentation) FTEs to support STARS
3	Server costs for STARS
4	Software costs for STARS
5	DMS Internet costs for STARS
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| Strategic IT Service: | **DFS Strategic IT Service #5: Workers' Compensation** | | | | | | |

Form: Schedule IV-C -Combined v.2011-12

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

| Service Provisioning -- Assets & Resources *(Cost Elements)* | Footnote Number | # of Assets & Resources apportioned to this IT Service | | Estimated IT Service Costs | | | |
		Number used for this service	Number w/ costs in FY 2011-12	*A* Initial Estimate for Fiscal Year 2010-11	*B* Estimated FY 2010-11 Allocation of Recurring Base Budget *(based on Column G64 minus G65)*	*C* Estimated FY 2011-12 Allocation of Recurring Base Budget *(based on Column G64 minus G65)*	*D* Planned Increase/Decrease Use of Recurring Base Funding
A. Personnel		16.00		$0	$1,444,112	$1,444,112	$0
A-1.1 **State FTE**	1	2.00		$0	$4,528	$4,528	$0
A-2.1 **OPS FTE**		0.00		$0	$0	$0	$0
A-3.1 **Contractor Positions** (Staff Augmentation)	2	14.00		$0	$1,439,584	$1,439,584	$0
B. Hardware		4	0	$0	$8,112	$8,112	$0
B-1 **Servers** - Mainframe		0	0	$0	$0	$0	$0
B-2 **Servers** - Non-Mainframe	3	4	0	$0	$8,112	$8,112	$0
B-3 **Server Maintenance & Support**				$0	$0	$0	$0
B-4 **Other Hardware Assets** (e.g., system mgt workstation, printers, UPS)				$0	$0	$0	$0
C. Software	4			$0	$180,972	$180,972	$0
D. External Service Provider(s)	5	0	0	$0	$7,048	$7,048	$0
E. Other (Please describe in Footnotes Section below)				$0	$0	$0	$0
F. Total for IT Service				$0	$1,640,244	$1,640,244	$0

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

1	Salary reflects FTEs percentage of time which varies to support INTEGRATED, CCAS, OFFIS, CPS systems
2	Contractor Positions (Staff Augmentation) FTEs supports INTEGRATED, CCAS, OFFIS, CPS
3	Server costs for INTEGRATED, CCAS, OFFIS, CPS
4	Software costs for INTEGRATED, CCAS, OFFIS, CPS
5	DMS Internet costs for INTEGRATED, CCAS, OFFIS, CPS
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| Strategic IT Service: | **DFS Strategic IT Service #6: Fire Safety** | | | | | | |

Form: Schedule IV-C -Combined v.2011-12

			# of Assets & Resources apportioned to this IT Service		Estimated IT Service Costs			
Dept/Agency: **Department of Financial Services**					*A*	*B*	*C*	*D*
Prepared by: **Jennifer Grant**						Estimated FY 2010-11 Allocation of Recurring Base Budget *(based on Column G64 minus G65)*	Estimated FY 2011-12 Allocation of Recurring Base Budget *(based on Column G64 minus G65)*	
Phone: **413-3595**								
Service Provisioning -- Assets & Resources *(Cost Elements)*		Footnote Number	Number used for this service	Number w/ costs in FY 2011-12	**Initial Estimate for Fiscal Year 2010-11**			**Planned Increase/Decrease Use of Recurring Base Funding**
A.	**Personnel**		1.00		$0	$21,754	$21,754	$0
A-1.1	**State FTE**	1	1.00		$0	$21,754	$21,754	$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**		4	0	$0	$8,112	$8,112	$0
B-1	**Servers** - Mainframe		0	0	$0	$0	$0	$0
B-2	**Servers** - Non-Mainframe	2	4	0	$0	$8,112	$8,112	$0
B-3	**Server Maintenance & Support**				$0	$0	$0	$0
B-4	**Other Hardware Assets** (e.g., system mgt workstation, printers, UPS)				$0	$0	$0	$0
C.	**Software**	3			$0	$6,296	$6,296	$0
D.	**External Service Provider(s)**	4	0	0	$0	$18,881	$18,881	$0
E.	**Other** *(Please describe in Footnotes Section below)*				$0	$0	$0	$0
F.	**Total for IT Service**					$55,043	$55,043	$0

G.	**Footnotes -** *Please be sure to indicate there is a footnote for the corresponding row above. Maximum footnote length is 1024 characters.*
1	FTE spends 50% of time supporting State Fire Marshall ACISS. ACISS is a 3rd party software package.
2	Server costs for SFM_ACISS
3	Software costs for SFM_ACISS
4	DMS Internet and contract costs for SFM_ACISS
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Strategic IT Service:	**DFS Strategic IT Service #7: Education**							

Form: Schedule IV-C -Combined v.2011-12

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

Service Provisioning -- Assets & Resources *(Cost Elements)*	Footnote Number	# of Assets & Resources apportioned to this IT Service		Estimated IT Service Costs			
		A		*A*	*B*	*C*	*D*
		Number used for this service	Number w/ costs in FY 2011-12	Initial Estimate for Fiscal Year 2010-11	Estimated FY 2010-11 Allocation of Recurring Base Budget *(based on Column G64 minus G65)*	Estimated FY 2011-12 Allocation of Recurring Base Budget *(based on Column G64 minus G65)*	Planned Increase/Decrease Use of Recurring Base Funding
A. Personnel		4.00		$0	$179,204	$179,204	$0
A-1.1 **State FTE**	1	3.00		$0	$129,284	$129,284	$0
A-2.1 **OPS FTE**	2	1.00		$0	$49,920	$49,920	$0
A-3.1 **Contractor Positions** (Staff Augmentation)		0.00		$0	$0	$0	$0
B. Hardware		3	0	$0	$148,632	$148,632	$0
B-1 **Servers** - Mainframe			0	$0	$0	$0	$0
B-2 **Servers** - Non-Mainframe	3	3	0	$0	$21,000	$21,000	$0
B-3 **Server Maintenance & Support**	4			$0	$127,632	$127,632	$0
B-4 **Other Hardware Assets** (e.g., system mgt workstation, printers, UPS)				$0	$0	$0	$0
C. Software	5			$0	$9,554	$9,554	$0
D. External Service Provider(s)	6	0	0	$0	$1,762	$1,762	$0
E. Other (Please describe in Footnotes Section below)				$0	$0	$0	$0
F. Total for IT Service				$0	$339,152	$339,152	$0

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

1	Salary reflects FTEs percentage of time which varies to support ServicePoint/SEIBEL
2	OPS 1 FTE supports ServicePoint
3	Server costs for ServicePoint/SEIBEL
4	Maintenance and support costs for ServicePoint/SEIBEL
5	Software costs for ServicePoint/SEIBEL
6	DMS Internet costs for ServicePoint/SEIBEL
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Strategic IT Service:	**DFS Strategic IT Service #8: Consumer Advocacy**						

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

Form: Schedule IV-C -Combined v.2011-12

Prepared by: **Jennifer Grant**

Phone: **413-3595**

Service Provisioning -- Assets & Resources *(Cost Elements)*	Footnote Number	# of Assets & Resources apportioned to this IT Service		Estimated IT Service Costs			
		Number used for this service	Number w/ costs in FY 2011-12	*A* Initial Estimate for Fiscal Year 2010-11	*B* Estimated FY 2010-11 Allocation of Recurring Base Budget *(based on Column G64 minus G65)*	*C* Estimated FY 2011-12 Allocation of Recurring Base Budget *(based on Column G64 minus G65)*	*D* Planned Increase/Decrease Use of Recurring Base Funding
A. Personnel		2.00		$0	$12,590	$12,590	$0
A-1.1 **State FTE**	1	2.00		$0	$12,590	$12,590	$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		18	0	$0	$36,504	$36,504	$0
B-1 **Servers** - Mainframe		0	0	$0	$0	$0	$0
B-2 **Servers** - Non-Mainframe	2	18	0	$0	$36,504	$36,504	$0
B-3 **Server Maintenance & Support**				$0	$0	$0	$0
B-4 **Other Hardware Assets** (e.g., system mgt workstation, printers, UPS)				$0	$0	$0	$0
C. Software	3			$0	$5,832	$5,832	$0
D. External Service Provider(s)	4	0	0	$0	$1,762	$1,762	$0
E. Other (Please describe in Footnotes Section below)				$0	$0	$0	$0
F. Total for IT Service				$0	$56,688	$56,688	$0

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

1	Salary reflects FTEs percentage of time which varies to support Funeral Cemetry DICE
2	Servers support FC DICE
3	Software costs for FC DICE
4	DMS Internet costs for FC DICE
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Strategic IT Service:	**DFS Strategic IT Service #9: Licensing**						

Dept/Agency: Department of Financial Services

Form: Schedule IV-C -Combined v.2011-12

Prepared by: Jennifer Grant

Phone: 413-3595

Service Provisioning -- Assets & Resources *(Cost Elements)*	Footnote Number	# of Assets & Resources apportioned to this IT Service		Estimated IT Service Costs			
				A	*B*	*C*	*D*
		Number used for this service	Number w/ costs in FY 2011-12	Initial Estimate for Fiscal Year 2010-11	Estimated FY 2010-11 Allocation of Recurring Base Budget *(based on Column G64 minus G65)*	Estimated FY 2011-12 Allocation of Recurring Base Budget *(based on Column G64 minus G65)*	Planned Increase/Decrease Use of Recurring Base Funding
A. Personnel		6.00		$0	$59,843	$59,843	$0
A-1.1 **State FTE**	1	6.00		$0	$59,843	$59,843	$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		45	0	$0	$91,260	$91,260	$0
B-1 **Servers** - Mainframe		0	0	$0	$0	$0	$0
B-2 **Servers** - Non-Mainframe	2	45	0	$0	$91,260	$91,260	$0
B-3 **Server Maintenance & Support**				$0	$0	$0	$0
B-4 **Other Hardware Assets** (e.g., system mgt workstation, printers, UPS)				$0	$0	$0	$0
C. Software	3			$0	$14,580	$14,580	$0
D. External Service Provider(s)	4	0	0	$0	$5,286	$5,286	$0
E. Other (Please describe in Footnotes Section below)				$0	$0	$0	$0
F. Total for IT Service				$0	$170,969	$170,969	$0

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

1	FTEs percentage of time varies to support time varies for DICE, BAAITS, ALIS
2	Servers to support DICE, BAAITS, ALIS
3	Software costs for DICE, BAAITS, ALIS
4	DMS Internet cost for DICE, BAAITS, ALIS
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Combined v.2011-12

Agency: Department of Financial Services

Strategic Services

Budget Entity Name	BE Code	Program Component Code	Program Component Name	Costs within BE	Funding Identified for IT Service	DFS Strategic IT Service #1: Financial Services & Accountability	DFS Strategic IT Service #2: Enforcement	DFS Strategic IT Service #3: Regulatory Services	DFS Strategic IT Service #4: Insurance Services	DFS Strategic IT Service #5: Workers' Compensation	DFS Strategic IT Service #6: Fire Safety	DFS Strategic IT Service #7: Education	DFS Strategic IT Service #8: Consumer Advocacy	DFS Strategic IT Service #9: Licensing	Agency Strategic IT Service #10	Agency Strategic IT Service #11	Agency Strategic IT Service #12	Agency Strategic IT Service #13	Agency Strategic IT Service #14	Agency Strategic IT Service #15	Agency Strategic IT Service #16
			Identified Funding as % of Total Cost of Service			100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%							
						$8,956,803	$109,480	$2,791,756	$490,795	$1,640,244	$55,043	$339,152	$56,688	$170,969	$0	$0	$0	$0	$0	$0	$0
1 Information Technology - FLAIR	43010500	1603.00.00.00	Information Technology - FLAIR		$8,151,353	$8,151,353															
2 Recovery & Return of Unclaimed Pro	43200200	1601.00.00.00	Governmental Operations		$462,934	$462,934															
3 Executive Direction & Support Srvcs.	43010100	1602.00.00.00	Exec. Leadership & Support Srvcs.		$229,503	$229,503															
4 State Funds Mgt. & Investiment	43100300	1601.00.00.00	Governmental Operations		$113,013	$113,013															
5 Insurance Fraud	43500300	1205.00.00.00	Consumer Safety & Protection		$52,792		$52,792														
6 Compliance & Enforcement	43300200	1202.00.00.00	Law Enforcement		$111,731		$56,688				$55,043										
7 Finance Regulation	43900560	1204.00.00.00	Regulation & Licensing		$1,386,919			$1,386,919													
8 Securities Regulation	43900570	1204.00.00.00	Regulation & Licensing		$1,386,920			$1,386,920													
9 Comp & Enforce - Insurance	43900110	1204.00.00.00	Regulation & Licensing		$17,917			$17,917													
10 State Self-Insured Claims Adjust.	43400100	1604.00.00.00	Governmental Operations		$490,795				$490,795												
11 Workers' Compensation	43600100	1102.02.00.00	Workers' Compensation		$1,640,244					$1,640,244											
12 Consumer Assistance	43500400	1205.00.00.00	Consumer Safety & Protection		$339,152							$339,152									
13 Funeral and Cemetery	43500500	1204.00.00.00	Regulation & Licensing		$113,376								$56,688	$56,688							
14 Licensure, Sales Appt & Oversight	43500200	1204.00.00.00	Regulation & Licensing		$114,281									$114,281							
15					$0																
16					$0																
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IT Cost Element Data as entered on IT Service Worksheets

Category	Element	Sum of IT Cost Elements Across IT Services	#1	#2	#3	#4	#5	#6	#7	#8	#9	#10	#11	#12	#13	#14	#15	#16
Personnel	State FTE (#)	94.00	72.00	3.00	1.00	4.00	2.00	1.00	3.00	2.00	6.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Personnel	State FTE (Costs)	$4,574,766	$4,173,485	$33,143	$18,117	$122,022	$4,528	$21,754	$129,284	$12,590	$59,843	$0	$0	$0	$0	$0	$0	$0
Personnel	OPS FTE (#)	1.00	0.00	0.00	0.00	0.00	0.00	0.00	1.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Personnel	OPS FTE (Cost)	$49,920	$0	$0	$0	$0	$0	$0	$49,920	$0	$0	$0	$0	$0	$0	$0	$0	$0
Personnel	Vendor/Staff Augmentation (# Positions)	27.00	4.00	0.00	7.00	2.00	14.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Personnel	Vendor/Staff Augmentaion (Costs)	$4,073,358	$169,800	$16,950	$2,122,024	$325,000	$1,439,584	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0
Hardware		$5,125,878	$4,543,086	$44,616	$214,056	$31,500	$8,112	$8,112	$148,632	$36,504	$91,260	$0	$0	$0	$0	$0	$0	$0
Software		$739,054	$65,146	$12,128	$434,035	$10,511	$180,972	$6,296	$9,554	$5,832	$14,580	$0	$0	$0	$0	$0	$0	$0
External Services		$47,954	$5,286	$2,643	$3,524	$1,762	$7,048	$18,881	$1,762	$1,762	$5,286	$0	$0	$0	$0	$0	$0	$0
Other		$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0
Totals of Costs		$14,610,930	$8,956,803	$109,480	$2,791,756	$490,795	$1,640,244	$55,043	$339,152	$56,688	$170,969	$0	$0	$0	$0	$0	$0	$0
Totals of FTE		122.00	76.00	3.00	8.00	6.00	16.00	1.00	4.00	2.00	6.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00

Non-Strategic IT Services

IV-C Service	State FTE	State FTE Cost	OPS FTE	OPS FTE Cost	Contracted Services FTE	Contracted Services FTE Cost	Total Personnel	Total Personnel Cost	Servers - Mainframe	Servers - Non-Mainframe	Hardware	Software	External Service Provider	Other	TOTAL
Network	10.00	$ 482,797	0.00	$ -	0.00	$ -	10.00	$ 482,797		173	$ 632,528	$ 534,732	$ 968,838	$ -	$ 2,618,895
Email, Messaging, @ Calendaring	1.50	$ 67,911	0.00	$ -	1.00	$ 144,072	2.50	$ 211,983		16	$ 99,278	$ 49,934	$ -	$ -	$ 361,195
Desktop Computing	14.00	$ 362,341	1.00	$ 25,526	0.00	$ -	15.00	$ 387,867		0	$ 693,808	$ 437,546	$ -	$ -	$ 1,519,221
Help Desk	9.00	$ 235,595	0.00	$ -	0.00	$ -	9.00	$ 235,595		3	$ 33,000	$ 33,000	$ -	$ -	$ 301,595
IT Security/Risk Mitigation	4.00	$ 264,740	0.00	$ -	0.00	$ -	4.00	$ 264,740		0	$ -	$ -	$ 443,400	$ 50,000	$ 758,140
Financial and Administrative Systems Support	42.00	$ 2,849,006	0.00	$ -	0.00	$ -	42.00	$ 2,849,006		0	$ -	$ -	$ -	$ -	$ 2,849,006
IT Administration & Management	17.00	$ 1,401,835	0.00	$ -	0.00	$ -	17.00	$ 1,401,835		0	$ -	$ -	$ -	$ -	$ 1,401,835
Portal/Web Management	9.00	$ 204,573	0.00	$ -	0.00	$ -	9.00	$ 204,573		182	$ -	$ 331,611	$ -	$ -	$ 536,184
Data Center	46.00	$ 3,139,040	1.00	$ -	0.00	$ -	47.00	$ 3,139,040	1	15	$ 753,752	$ 4,181,832	$ 63,792	$ -	$ 8,138,416
Total	**152.50**	**$ 9,007,838**	**2.00**	**$ 25,526**	**1.00**	**$ 144,072**	**155.50**	**$ 9,177,436**	**1.00**	**389.00**	**$ 2,212,366**	**$ 5,568,655**	**$ 1,476,030**	**$ 50,000**	**$ 18,484,487**

Data Center Plant & Facility: $ -   *(included in Data Center total)*

Strategic IT Services

IV-C Service	State FTE	State FTE Cost	OPS FTE	OPS FTE Cost	Contracted Services FTE	Contracted Services FTE Cost	Total Personnel	Total Personnel Cost	Servers - Mainframe	Servers - Non-Mainframe	Hardware	Software	External Service Provider	Other	TOTAL
DFS Strategic IT Service #1: Financial Services & Acc	72.00	$ 4,173,485	0.00	$ -	4.00	$ 169,800	76.00	$ 4,343,285	2	39	$ 4,543,086	$ 65,146	$ 5,286	$ -	$ 8,956,803
DFS Strategic IT Service #2: Enforcement	3.00	$ 33,143	0.00	$ -	0.00	$ 16,950	3.00	$ 50,093	0	22	$ 44,616	$ 12,128	$ 2,643	$ -	$ 109,480
DFS Strategic IT Service #3: Regulatory Services	1.00	$ 18,117	0.00	$ -	7.00	$ 2,122,024	8.00	$ 2,140,141	0	32	$ 214,056	$ 434,035	$ 3,524	$ -	$ 2,791,756
DFS Strategic IT Service #4: Insurance Services	4.00	$ 122,022	0.00	$ -	2.00	$ 325,000	6.00	$ 447,022	0	7	$ 31,500	$ 10,511	$ 1,762	$ -	$ 490,795
DFS Strategic IT Service #5: Workers' Compensation	2.00	$ 4,528	0.00	$ -	14.00	$ 1,439,584	16.00	$ 1,444,112	0	4	$ 8,112	$ 180,972	$ 7,048	$ -	$ 1,640,244
DFS Strategic IT Service #6: Fire Safety	1.00	$ 21,754	0.00	$ -	0.00	$ -	1.00	$ 21,754	0	4	$ 8,112	$ 6,296	$ 18,881	$ -	$ 55,043
DFS Strategic IT Service #7: Education	3.00	$ 129,284	1.00	$ 49,920	0.00	$ -	4.00	$ 179,204		3	$ 148,632	$ 9,554	$ 1,762	$ -	$ 339,152
DFS Strategic IT Service #8: Consumer Advocacy	2.00	$ 12,590	0.00	$ -	0.00	$ -	2.00	$ 12,590	0	18	$ 36,504	$ 5,832	$ 1,762	$ -	$ 56,688
DFS Strategic IT Service #9: Licensing	6.00	$ 59,843	0.00	$ -	0.00	$ -	6.00	$ 59,843	0	45	$ 91,260	$ 14,580	$ 5,286	$ -	$ 170,969
Agency Strategic IT Service #10	0.00	$ -	0.00	$ -	0.00	$ -	0.00	$ -	0	0	$ -	$ -	$ -	$ -	$ -
Agency Strategic IT Service #11	0.00	$ -	0.00	$ -	0.00	$ -	0.00	$ -	0	0	$ -	$ -	$ -	$ -	$ -
Agency Strategic IT Service #12	0.00	$ -	0.00	$ -	0.00	$ -	0.00	$ -	0	0	$ -	$ -	$ -	$ -	$ -
Agency Strategic IT Service #13	0.00	$ -	0.00	$ -	0.00	$ -	0.00	$ -	0	0	$ -	$ -	$ -	$ -	$ -
Agency Strategic IT Service #14	0.00	$ -	0.00	$ -	0.00	$ -	0.00	$ -	0	0	$ -	$ -	$ -	$ -	$ -
Agency Strategic IT Service #15	0.00	$ -	0.00	$ -	0.00	$ -	0.00	$ -	0	0	$ -	$ -	$ -	$ -	$ -
Agency Strategic IT Service #16	0.00	$ -	0.00	$ -	0.00	$ -	0.00	$ -	0	0	$ -	$ -	$ -	$ -	$ -
Total	**94.00**	**$ 4,574,766**	**1.00**	**$ 49,920**	**27.00**	**$ 4,073,358**	**122.00**	**$ 8,698,044**	**2.00**	**174.00**	**$ 5,125,878**	**$ 739,054**	**$ 47,954**	**$ -**	**$ 14,610,930**

TOTALS

All Schedule IV-C Services	State FTE	State FTE Cost	OPS FTE	OPS FTE Cost	Contracted Services FTE	Contracted Services FTE Cost	Total Personnel	Total Personnel Cost	Servers - Mainframe	Servers - Non-Mainframe	Hardware	Software	External Service Provider	Other	TOTAL
Non-Strategic IT Services	152.50	$ 9,007,838	2.00	$ 25,526	1.00	$ 144,072	155.50	$ 9,177,436	1	389	$ 2,212,366	$ 5,568,655	$ 1,476,030	$ 50,000	$ 18,484,487
Strategic IT Services	94.00	$ 4,574,766	1.00	$ 49,920	27.00	$ 4,073,358	122.00	$ 8,698,044	2	174	$ 5,125,878	$ 739,054	$ 47,954	$ -	$ 14,610,930
Total	**94.00**	**$ 4,574,766**	**1.00**	**$ 49,920**	**27.00**	**$ 4,073,358**	**277.50**	**$ 17,875,480**	**3.00**	**563.00**	**$ 7,338,244**	**$ 6,307,709**	**$ 1,523,984**	**$ 50,000**	**$ 33,095,417**

COST BREAKDOWN

All Schedule IV-C Services	% IT Positions	% Hardware	% Software	% External Service Provider	% Other	% of Total Reported IT Cost
Non-Strategic IT Services	49.65%	11.97%	30.13%	7.99%	0.27%	55.85%
Strategic IT Services	59.53%	35.08%	5.06%	0.33%	0.00%	44.15%
% of Total Reported IT Cost	**54.012%**	**22.173%**	**19.059%**	**4.605%**	**0.151%**	

Data Center Summary	Total	Total Utilized
Total Data Center Personnel		47.00
Total Servers from All IT Services - Mainframe		3
Total Servers from All IT Services - Non-Mainframe		563
Agency Data Center **(TOTAL SQUARE FEET)**	0	0
Computing Facilities **(TOTAL SQUARE FEET)**	0	0
Office Space **(TOTAL SQUARE FEET)**	0	0
Backup Generator, Power Distribution Units, UPS, etc. **(CAPACITY IN KW)**	0	
Utilities-Electricity **(ESTIMATED TOTAL ANNUAL KWH)**	0	

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

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

Phone: **413-1505**

Date submitted: **September 22, 2010**

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

1. **IT Service Definition**

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

X	Central IT staff	☐	Southwood Shared Resource Center
☐	Program staff	☐	Northwood Shared Resource Center
☐	Other state agency *(non-primary data center)*	☐	Northwest Regional Data Center
☐	Other External Service Provider *(specify)* _____		

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

   X   Central IT staff
   ☐   Program staff
   ☐   Another State agency
   X   External service provider

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

   X   Agency staff (state employees or contractors)
   ☐   Employees or contractors from one or more additional state agencies
   ☐   External service providers
   ☐   Public (please explain in Question 5.3)

   1.4. Please identify the number of users of the Network Service. 3,400

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

   1.6. How many locations currently use WAN services? 35

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

   ☐ ATM   X   Frame Relay   X   Cellular Network

☐ SUNCOM RTS   X   Internet   ☐   Dedicated Wired connection

☐ Radio   X   Satellite   ☐   Dial-up connection

X Other Ethernet on My Florida Net

2. Service Unique to Agency

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

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

☐ Yes   X   No

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

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

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

3. IT Service Levels Required to Support Business Functions

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

☐   Yes; formal Service Level Agreement(s)

☐   Yes; informal agreement(s)

X   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?

X   Yes; formal Service Level Agreement(s)

☐   Yes; informal agreement(s)

☐   No; specific requirements have not been determined and approved by the department

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

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

3.3.   Timing and Service Delivery Requirements

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

    3.3.1.1.   Online availability   <u>24/7</u>

    3.3.1.2.   Offline and availability for maintenance   <u>Sundays</u>
         <u>4am to noon</u>

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)?*   <u>30 Minutes</u>

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

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

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

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

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

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

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

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

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

X   User ID/Password   ☐   Access through Internet or external network

X   Access through internal network only   X   Access through Internet with secure encryption

☐   Other _____

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

    X   Yes   ☐   No

    3.3.6.1.   If yes, please specify and describe:

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

4. User/customer satisfaction

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

    ☐   Yes   X   No

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

>

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

    ☐   Yes   ☐   No

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

4.2.2.   List any significant projects that are underway or planned to upgrade or enhance any system, resource, or process associated with this IT service. *Please indicate the D3-A issue number in the Description for any projects that require funds in a legislative budget request for FY 2011-12.*

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, and describe any anticipated adjustments to the funding source(s) or funding level for FY 2011-12

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

5.2.   Please indicate whether there is a cost recovery or cost allocation plan for this service, and describe any anticipated adjustments or needed changes in the service funding model (e.g., charge-back, cost allocation, fee-per-transaction, etc.)

The cost allocation plan uses a predetermined percentage (based on historical usage) to transfer monies from business areas prior DIS making payment to vendors/state agencies for expenditures. A review of services provided by DIS is performed quarterly and the predetermined percentage to transfer monies from business areas are adjusted accordingly. All expenditures related to this service are cost allocated.

5.3.   Other pertinent information related to this service

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

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

Phone: **413-1505**

Date submitted: **October 15, 2010**

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

1. **IT Service Definition**

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

X	Central IT staff	☐	Southwood Shared Resource Center
☐	Program staff	☐	Northwood Shared Resource Center
☐	Other state agency *(non-primary data center)*	☐	Northwest Regional Data Center
☐	Other External Service Provider *(specify)*		_____

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

    X   Agency staff (state employees or contractors)

    ☐   Employees or contractors from one or more additional state agencies

    ☐   External service providers

    X   Public (please explain in Question 5.3)

    1.3. Please identify the number of users (e-mail accounts/mailboxes) of this service.   3536

    1.4. How many locations currently host IT assets and resources used to provide e-mail, messaging, and calendaring services?   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)*   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   X   No

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

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

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

3. IT Service Levels Required to Support Business Functions

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

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

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

The current Department standard of service is 24/7 for mail transport, calendaring, and business collaboration.

3.2. Timing and Service Delivery Requirements

3.2.1. Hours/Days that service is required *(e.g., 0600-2100 M-F, 24/7)*: __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)?* __30 min__

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

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

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

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

The Department has an email encryption capability that is used by several users to send encrypted emails, there are also agreements with customers and vendors to encrypt all communication between the Department and them. The Department monitors emails that are sent that contain sensitive information such as credit card, or social security numbers. The Department uses and Archive and eDiscovery product and currently has unlimited email retention.

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

- X User ID/Password
- ☐ Access through internal network only
- X Access through Internet or external network
- X 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:

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

4. User/customer satisfaction

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

☐ Yes   X 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?

X 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, resource, or process associated with this IT service. *Please indicate the D3-A issue number in the Description for any projects that require funds in a legislative budget request for FY 2011-12.*

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, that is used to provide this service, and describe any anticipated adjustments to the funding source(s) or funding level for FY 2011-12

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

5.2. Please indicate whether there is a cost recovery or cost allocation plan for this service, and describe any anticipated adjustments or needed changes in the service funding model (e.g., charge-back, cost allocation, fee-per-transaction, etc.)

> The cost allocation plan uses a predetermined percentage (based on historical usage) to transfer monies from business areas prior DIS making payment to vendors/state agencies for expenditures. A review of services provided by DIS is performed quarterly and the predetermined percentage to transfer monies from business areas are adjusted accordingly. All expenditures related to this service are cost allocated.

5.3. Other pertinent information related to this service

Public uses this service to communicate to the Department and the Department uses this service to communicate to the Public. This is also used in applications that the public uses.

Dept/Agency:	**Department of Financial Services**
Submitted by:	**Abe Kani, Chief Information Officer**
Phone:	**413-1505**
Date submitted:	**October 15, 2010**

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 hardware and commercial software associated with the Desktop Computer Service:		
1	Desktop PCs (Intel)	5	Internet Explorer Browser 6.0 & 7.0 & 8.0
2	Local Printer (various models)	6	Windows OS (2000/XP/Vista)
3	Microsoft Office Suite (2003/2007)	7	Microsoft Visio Software
4	Microsoft Project Software	8	Adobe (Reader/Writer)

1. **IT Service Definition**

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

X	Central IT staff	☐	Southwood Shared Resource Center
☐	Program staff	☐	Northwood Shared Resource Center
☐	Other state agency *(non-primary data center)*	☐	Northwest Regional Data Center
☐	Other External Service Provider *(specify)*		_____

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

X	Agency staff (state employees or contractors)
X	Employees or contractors from one or more additional state agencies
☐	External service providers
☐	Public (please explain in Question 5.3)

    1.3. Please identify the number of users of this service. 2990

    1.4. How many locations currently use desktop computing services? 28

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)* Similiar

    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   X No

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

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

Desktop service level requirements provided by another entity would need to be validated to ensure timely and cost effective support levels. DFS has 2927 employees in 28 locations throughout the state. Support services are provided by central IT staff and regional staff. The Desktop support group establishes and controls all desktop support calls and prioritizes those calls.

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

3. IT Service Levels Required to Support Business Functions

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

- ☐ Yes; formal Service Level Agreement(s)
- X 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:

Urgent, High, Medium and Low service calls. Urgent calls are resolved within 2 hours, High within 4 hours, Medium and Low within 16 hours.

3.2. Timing and Service Delivery Requirements

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

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

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

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

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

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

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

- X User ID/Password
- X Access through internal network only
- ☐ Other _____
- ☐ Access through Internet or external network
- X 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?

X Yes ☐ No

3.2.5.1. If yes, please specify and describe:

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

4. User/customer satisfaction

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

X   Yes   ☐   No

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

Performance metrics data is collected and reported when the Help Desk sends customer surveys via email to users on resolved desktop support calls. Data from the Customer Feedback mailbox along with total number of Customer Gold cards issued each month is collected for performance measures. Weekly and monthly metrics are recorded on Incident Management/Problem Resolution and number of incidents resolved within 16 hours.

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

☐   Yes   X   No

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

Desktop Support currently has one vacant position. With the current volume of new computer installs combined with the incident tickets Desktop support currently does not have enough FTE's to adequately fulfill all of our support.

4.2.2. List any significant projects that are underway or planned to upgrade or enhance any system, resource, or process associated with this IT service. *Please indicate the D3-A issue number in the Description for any projects that require funds in a legislative budget request for FY 2011-12.*

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, that is used to provide this service, and describe any anticipated adjustments to the funding source(s) or funding level for FY 2011-12

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

5.2. Please indicate whether there is a cost recovery or cost allocation plan for this service, and describe any anticipated adjustments or needed changes in the service funding model (e.g., charge-back, cost allocation, fee-per-transaction, etc.)

The cost allocation plan uses a predetermined percentage (based on historical usage) to transfer monies from business areas prior DIS making payment to vendors/state agencies for expenditures. A review of services provided by DIS is performed quarterly and the predetermined percentage to transfer monies from business areas are adjusted accordingly. All expenditures related to this service are cost allocated.

5.3. Other pertinent information related to this service

Dept/Agency:	**Department of Financial Services**		
Submitted by:	**Abe Kani, Chief Information Officer**		
Phone:	**413-1505**		
Date submitted:	**October 15, 2010**		

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

1. IT Service Definition

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

- ☒ Central IT staff
- ☐ Program staff
- ☐ Other state agency *(non-primary data center)*
- ☐ Other External Service Provider *(specify)* _____

- ☐ Southwood Shared Resource Center
- ☐ Northwood Shared Resource Center
- ☐ Northwest Regional Data Center

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 5.3)

1.3. Please identify the number of users of this service: DFS = 3400;FLAIR = 10,000 (Note: numbers do not include vendors, OPS, or non-FLAIR state employees)

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

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

- ☐ On-line self-serve
- ☒ Telephone/IVR
- ☒ Remote desktop (e.g., PC Anywhere)
- ☒ Other Email

- ☐ On-line interactive
- ☒ Face-to-face

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

Help Desk Action	Simple problems	Moderately complex problems	Complex problems
Accepting and logging	x	x	x

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

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

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

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)   Similiar

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

☐ Yes   ☒ No

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

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

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

3. IT Service Levels Required to Support Business Functions

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

☐ Yes; formal Service Level Agreement(s)

☒ Yes; informal agreement(s)

☐ No; specific requirements have not been determined and approved by the department

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

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

3.2. Timing and Service Delivery Requirements

   3.2.1.   Hours/Days the Help Desk service is required *(e.g., 0800-1600 M-F, 24/7)*   M-F; 7:30AM – 6:00PM

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

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

   3.2.3.   What is the average monthly volume of calls/cases/tickets?   11,766

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

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

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

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

☒ User ID/Password   ☒ Access through Internet or external network

☒ Access through internal network only   ☒ Access through Internet with secure encryption

☒ Other <u>DIS position requires a criminal background check with FDLE.</u>

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

☒ Yes   ☐ No

3.2.6.1.   If yes, please specify and describe:

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

4. User/customer satisfaction

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

☒ Yes   ☐ No

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

> 1. Customer satisfaction surveys results are provided for the agency Long Range Program Plan (LRPP).
>
> 2. Upon completion of each service request, customer satisfaction surveys are submitted through Remedy.
>
> 3. DIS managers receive system generated e-mail notifications when SLAs are not met.
>
> 4. Weekly reports are distributed via e-mail from Remedy.
>
> 5. Service level metrics are scheduled quarterly, beginning October 2010.

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, resource, or process associated with this IT service. *Please indicate the D3-A issue number in the Description for any projects that require funds in a legislative budget request for FY 2011-12.*

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, that is used to provide this service, and describe any anticipated adjustments to the funding source(s) or funding level for FY 2011-12

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

5.2. Please indicate whether there is a cost recovery or cost allocation plan for this service, and describe any anticipated adjustments or needed changes in the service funding model (e.g., charge-back, cost allocation, fee-per-transaction, etc.)

The cost allocation plan uses a predetermined percentage (based on historical usage) to transfer monies from business areas prior DIS making payment to vendors/state agencies for expenditures. A review of services provided by DIS is performed quarterly and the predetermined percentage to transfer monies from business areas are adjusted accordingly. All expenditures related to this service are cost allocated.

5.3. Other pertinent information related to this service

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

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

Phone: **413-1505**

Date submitted: **October 15, 2010**

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)*

X	Central IT staff	☐	Southwood Shared Resource Center
☐	Program staff	☐	Northwood Shared Resource Center
☐	Other state agency *(non-primary data center)*	X	Northwest Regional Data Center
X	Other External Service Provider *(specify)*		__SunGard currently provides recovery services__

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

    X Agency staff (state employees or contractors)

    X Employees or contractors from one or more additional state agencies *(FLAIR)*

    X External service providers

    ☐ Public (please explain in Question 5.3)

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?

    X Yes   ☐   No

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

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

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

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

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

    X   Yes; formal Service Level Agreement(s)

    ☐   Yes; informal agreement(s)

    ☐   No; specific requirements have not been determined and approved by the department

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

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

3.2.   Timing and Service Delivery Requirements

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

3.2.2.   In the event of an emergency, how quickly must essential services be restored to maintain the agency's continuity of operations? See 3.1 above

3.2.3.   How frequently must the IT disaster recovery plan be tested? Twice a year at SunGard

3.2.4.   In the event of a security breach, what is the agency's tolerance for down time of security IT services during peak periods, i.e., time before management-level intervention occurs *(e.g., 10 min, 60 min, 4 hours)?* 15 minutes

3.2.5.   Are there any agency-unique service requirements?   X Yes   ☐ No

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

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

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

X User ID/Password   X Access through Internet or external network

X Access through internal network only   X 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?

X Yes   ☐ No

If yes, please specify and describe:

Sensitive data (data classified as confidential or personally identifiable) must be protected in accordance with Florida Statutes, FAC, Agency policy, and National Institute for Standards and Technology (NIST) requirements; records must be retained to comply with State records retention policies.

4. User/customer satisfaction

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

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

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

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

☐ Yes   X No

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

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

4.2.2. List any significant projects that are underway or planned to upgrade or enhance any system, resource, or process associated with this IT service. *Please indicate the D3-A issue number in the Description for any projects that require funds in a legislative budget request for FY 2011-12.*

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, and describe any anticipated adjustments to the funding source(s) or funding level for FY 2011-12

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

5.2. Please indicate whether there is a cost recovery or cost allocation plan for this service, and describe any anticipated adjustments or needed changes in the service funding model (e.g., charge-back, cost allocation, fee-per-transaction, etc.)

The cost allocation plan uses a predetermined percentage (based on historical usage) to transfer monies from business areas prior DIS making payment to vendors/state agencies for expenditures. A review of services provided by DIS is performed quarterly and the predetermined percentage to transfer monies from business areas are adjusted accordingly. All expenditures related to this service are cost allocated.

5.3. Other pertinent information related to this service

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

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

Phone:　　**413-1505**

Date submitted:　　**October 15, 2010**

Agency Financial and Administrative Systems Support Service

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 application systems that are included (in whole or part) in this IT Service:			
1	See Attached Application List (FY2011-12-IV-C—SysListSC1)	5	
2		6	
3		7	
4		8	

1. **IT Service Definition**

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

X	Central IT staff	☐	Southwood Shared Resource Center
☐	Program staff	☐	Northwood Shared Resource Center
☐	Other state agency *(non-primary data center)*	☐	Northwest Regional Data Center
☐	Other External Service Provider *(specify)* _____		

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

    X　Agency staff (state employees or contractors)

    ☐　Employees or contractors from one or more additional state agencies

    ☐　External service providers

    ☐　Public (please explain in Question 5.3)

    1.3. Please identify the number of users of this service.　　2900

    1.4. How many locations currently host agency financial/ administrative systems?　　1

2. **Service Unique to Agency**

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

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

    ☐　Yes　　X　No

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

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

These applications are necessary for the daily support of the fiscal, administrative and executive management functions of the agency. As such, they are critical to the daily operation of the agency. The Department currently provides timely and quality service. In order to obtain services from an external provider there would have to be a demonstration of their ability to timely and consistently deliver the same level and quality of service for the same or lesser cost

3. IT Service Levels Required to Support Business Functions

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

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

☐ Yes; formal Service Level Agreement(s)

☐ Yes; informal agreement(s)

X 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)   <u>M-F 8AM – 5PM</u>

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

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)?*   <u>15-30 min</u>

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

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

3.2.3. Are there any agency-unique service requirements?   ☐ Yes   X 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)*

X User ID/Password   ☐ Access through Internet or external network

X 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?

X Yes   ☐ No

3.2.5.1. If yes, please specify and describe:

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

4. User/customer satisfaction

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

☐ Yes   X 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   X No

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

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

4.2.2. List any significant projects that are underway or planned to upgrade or enhance any system, resource, or process associated with this IT service. *Please indicate the D3-A issue number in the Description for any projects that require funds in a legislative budget request for FY 2011-12.*

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, and describe any anticipated adjustments to the funding source(s) or funding level for FY 2011-12

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

5.2. Please indicate whether there is a cost recovery or cost allocation plan for this service, and describe any anticipated adjustments or needed changes in the service funding model (e.g., charge-back, cost allocation, fee-per-transaction, etc.)

The cost allocation plan uses a predetermined percentage (based on historical usage) to transfer monies from business areas prior DIS making payment to vendors/state agencies for expenditures. A review of services provided by DIS is performed quarterly and the predetermined percentage to transfer monies from business areas are adjusted accordingly. All expenditures related to this service are cost allocated.

5.3. Other pertinent information related to this service

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

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

Phone: **413-1505**

Date submitted: **October 15, 2010**

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 application systems that are included (in whole or part) in this IT Service:			
1	MyfloridaMarketPlace (MMP)	5	
2	Remedy IT Service Mgt. Suite	6	
3		7	
4		8	

1. IT Service Definition

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

☒ Central IT staff ☐ Southwood Shared Resource Center

☐ Program staff ☐ Northwood Shared Resource Center

☐ Other state agency *(non-primary data center)* ☐ Northwest Regional Data Center

☐ Other External Service Provider *(specify)* _____

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

2. Service Unique to Agency

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

☐ Yes ☒ No

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

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

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

3. IT Service Levels Required to Support Business Functions

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

☐ Yes; formal Service Level Agreement(s)

☐ Yes; informal agreement(s)

☒ No; specific requirements have not been determined and approved by the department

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

3.2. Timing and Service Delivery Requirements

3.2.1. Hours/Days that service is required *(e.g., 0800-1600 M-F, 24/7)* for the systems included in this service: 8:00AM – 5:00PM

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

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

☒ Yes   ☐ No

If yes, please specify and describe:

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

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

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

4. User/customer satisfaction

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

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

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

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

☐ Yes   ☒ No

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

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

4.2.1. List any significant projects that are underway or planned to upgrade or enhance any system, resource, or process associated with this IT service. *Please indicate the D3-A issue number in the Description for any projects that require funds in a legislative budget request for FY 2011-12.*

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, and describe any anticipated adjustments to the funding source(s) or funding level for FY 2011-12

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

5.2. Please indicate whether there is a cost recovery or cost allocation plan for this service, and describe any anticipated adjustments or needed changes in the service funding model (e.g., charge-back, cost allocation, fee-per-transaction, etc.)

The cost allocation plan uses a predetermined percentage (based on historical usage) to transfer monies from business areas prior DIS making payment to vendors/state agencies for expenditures. A review of services provided by DIS is performed quarterly and the predetermined percentage to transfer monies from business areas are adjusted accordingly. All expenditures related to this service are cost allocated.

5.3. Other pertinent information related to this service

Project Name	Description	Start Date	End Date	Estimated Total Cost to Complete
MSA Project	Establish Master Services Agreement with each DIS customer	10-01-10	3-31-11	Using existing resources.
Cost Allocation Methodology	Enhance existing agency's IT cost allocation methodology.	10-01-10	06-30-11	Using existing resources.
IT Strategic Plan	Develop a long-rang Enterprise IT strategic plan.	10-01-10	06-30-11	Using existing resources.
FLAIR plan for sustainability	Develop a 5 year sustainability program for FLAIR system.	10-01-10	10-01-11	Using existing resources.

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

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

Phone: **413-1505**

Date submitted: **October 15, 2010**

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 hardware and commercial software associated with this service:		
1	FileNet Image Services	9	Microsoft Windows Server 2003/2008
2	VisiFlow	10	Crystal Reports
3	VMware	11	Microsoft Windows Server 2003/2008
4	WhatsUp!	12	SmarterStats
5	Microsoft SQL		
6	Microsoft SharePoint		
7	Microsoft Media Server		
8	Microsoft SQL		

1. **IT Service Definition**

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

    ☒ Central IT staff ☐ Northwood Shared Resource Center

    ☐ Program staff ☐ Southwood Shared Resource Center

    ☐ Other state agency *(non-primary data center)* ☐ Northwest Regional Data Center

    ☐ Other External Service Provider *(specify)* _____

    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 5.3)

    1.3. Please identify the number of Internet users of this service.
    Approximately 19 million a year

    1.4. Please identify the number of intranet users of this service. 4000

    1.5. How many locations currently host IT assets and resources used to provide this service? 2

2. **Service Unique to Agency**

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

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

    ☐ Yes ☒ No

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

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

The Department must retain its ability to add, delete, or change web content and access in a timely manner. These services are provided for DFS, OFR and OIR applications, business processes, and service delivery. The current architecture is designed to minimize cost while maintaining a high level of service. The Department currently provides timely and quality service. In order to obtain services from an external provider there would have to be a demonstration of their ability to timely and consistently deliver the same level and quality of service for the same or lesser cost.

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

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

   X   Yes; formal Service Level Agreement(s)

   ☐   Yes; informal agreement(s)

   ☐   No; specific requirements have not been determined and approved by the department

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

   The current Department standard of service is 24x7 for internet access.

3.2. Timing and Service Delivery Requirements

   3.2.1. Hours/Days that service is required *(e.g., 0600-2100 M-F, 24/7)*:   __24x7_____

   3.2.2. What is the agency's tolerance for down time during peak periods, i.e., time before management-level intervention occurs *(e.g., 5 min, 15 min, 60 min)?*   __5 min_____

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

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

   3.2.3. Are there any agency-unique service requirements?   ☐ Yes   X 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)*

   X User ID/Password   X Access through Internet or external network

   ☐ Access through internal network only   X 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?

      X Yes   ☐ No

      3.2.5.1.   If yes, please specify and describe:

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

4. User/customer satisfaction

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

        X   Yes   ☐   No

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

> Web trend reports are provided monthly and quarterly.

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

        X   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, resource, or process associated with this IT service. *Please indicate the D3-A issue number in the Description for any projects that require funds in a legislative budget request for FY 2011-12.*

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, and describe any anticipated adjustments to the funding source(s) or funding level for FY 2011-12

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

    5.2.   Please indicate whether there is a cost recovery or cost allocation plan for this service, and describe any anticipated adjustments or needed changes in the service funding model (e.g., charge-back, cost allocation, fee-per-transaction, etc.)

> The cost allocation plan uses a predetermined percentage (based on historical usage) to transfer monies from business areas prior DIS making payment to vendors/state agencies for expenditures. A review of services provided by DIS is performed quarterly and the predetermined percentage to transfer monies from business areas are adjusted accordingly. All expenditures related to this service are cost allocated.

    5.3.   Other pertinent information related to this service

Project Name	Description	Start Date	End Date	Estimated Total Cost to Complete
SharePoint 2010 upgrade & migration	Upgrade and migration from SharePoint 2007 to 2010	11/10	01/11	Use existing resources.
FileNet 4.1.2.7	Maintenance upgrade	01/11	06/11	Use existing resources.

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

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

Phone: **413-1505**

Date submitted: **October 15, 2010**

Data Center Service

This service provides the centralized operation and management of data center services through (a) data centers and computing facilities as defined in s. 282.0041, F.S., and (b) single logical-server installations. It includes all resources required to perform data center functions identified in s. 282.201(2)(d)1.e., F.S. for agency strategic and non-strategic IT services.

Statutory definitions from s. 282.0041, F.S., are provided here for convenience:

- "**Primary data center**" means a state or non-state agency data center that is a recipient entity for consolidation of non-primary data centers and computing facilities. A primary data center may be authorized in law or designated by the Agency for Enterprise Information Technology pursuant to s. 282.201.
- "**Data center**" means agency space containing 10 or more physical or logical servers any of which supports a strategic or nonstrategic information technology service, as described in budget instructions developed pursuant to s. 216.023.
- "**Computing facility**" means agency space containing fewer than a total of 10 physical or logical servers, any of which supports a strategic or nonstrategic information technology service, as described in budget instructions developed pursuant to s. 216.023, but excluding single, logical-server installations that exclusively perform a utility function such as file and print servers.

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 non-strategic *and strategic* IT services that are supported (in whole or part) by data center services offered at the following data centers and computing facilities.
1	Northwood Shared Resource Center	
2	Southwood Shared Resource Center	
3	Northwest Regional Data Center	Warm-site hosting of DFS/Treasury AS/400; Off-site tape storage
4	Agency (non-primary) Data Center	
5	Agency Computing Facilities	
6	Other External Data Center(s)	

1. **IT Service Definition**

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

x	Central IT staff	☐	Northwood Shared Resource Center
☐	Program staff	☐	Southwood Shared Resource Center
☐	Other state agency *(non-primary data center)*	x	Northwest Regional Data Center
☐	Other External Service Provider *(specify)* _____		

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

    x   Agency staff (state employees or contractors)

    x   Employees or contractors from one or more additional state agencies

    x   External service providers

    x   Public (please explain in Question 5.3)

1.3. Provide the following information regarding agency data centers included in this service:

1.3.1. Number of agency data center(s) 1

1.3.2. List the major IT application systems[1] hosted at each of these facilities:

Name of Agency Data Center	Major IT Application Systems Supported	External Agency Supported (If applicable)
Fletcher Data Center	FLAIR	All State Agencies
Fletcher Data Center	Payroll	All State Agencies
Fletcher Data Center	Workers' Compensation	All State Agencies
Fletcher Data Center	Unclaimed Property	Public
Fletcher Data Center	LAS/PBS	EOG

1.4. Provide the following information regarding agency computing facilities included in this service:

1.4.1. Number of agency computing facilities None

1.4.2. List the major IT application systems[1] hosted at each of these facilities:

Name of Computing Facility	Major IT Application Systems Supported	External Agency Supported (If applicable)

1.5. Provide the following information regarding single logical-server installations included in this service:

1.5.1. Total number of logical servers not housed in an agency data center, agency computing facility, or primary data center None

1.5.2. Total number of single logical-server installations None

1.5.3. List all major IT application systems[1] supported by these servers in 1.5.1 and 1.5.2:

2. Data Center Consolidation

2.1. When are your agency data center and computing facilities scheduled for consolidation into a primary data center? *If not yet scheduled, indicate "Not Available."*

Not Available

2.2. Has your agency specified service level requirements for this IT service in a service level agreement (SLA) executed with a primary data center in compliance with s. 282.203, F.S.?

☐ Yes   x No

---

[1] **Any custom developed system, commercially acquired, or open- source software product that is included in the definition of a non- strategic or strategic IT service. *Note: Strategic IT Services and their constituent systems are defined in Worksheets SC- 1 & SC- 2.***

2.2.1. If no, please explain the specific issues preventing execution, and describe your plan and schedule for resolving those issues.

Not Applicable

2.2.2. If yes, please provide an electronic copy of the executed service level agreement with your Schedule IV-C submission.

3. IT Service Levels Required to Support Business Functions

3.1. Timing and Service Delivery Requirements

3.1.1. Hours/Days that service is required *(e.g., 0600-2400 M-F, 24/7)*   24/7

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

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

☐ Yes   x No

If yes, please specify and describe:

3.1.4. Are there any agency-unique service requirements?   x Yes   ☐ No

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

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

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

x Restricted system administration rights   x Secured entrance to facility
☐ Systems access through internal network only   x Systems access through secure encryption
x Criminal background check for data center staff   ☐ Other _____

4. User/customer satisfaction

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

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

Monthly and quarterly meetings are held with customers.

4.2. Are currently defined IT service levels adequate to support the business needs of the agency?
X 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, resource, or process associated with this IT service. *Please indicate the D3-A issue number in the Description for any projects that require funds in a legislative budget request for FY 2011-12.*

Project Name	Description	Start Date	End Date	Estimated Total Cost of Completion
	Data Security/Tape Encryption	6/25/2010	11/30/2010	$500,000

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, and describe any anticipated adjustments to the funding source(s) or funding level for FY 2011-12

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

5.2. Please indicate whether there is a cost recovery or cost allocation plan for this service, and describe any anticipated adjustments or needed changes in the service funding model (e.g., charge-back, cost allocation, fee-per-transaction, etc.)

The cost allocation plan uses a predetermined percentage (based on historical usage) to transfer monies from business areas prior DIS making payment to vendors/state agencies for expenditures. A review of services provided by DIS is performed quarterly and the predetermined percentage to transfer monies from business areas are adjusted accordingly. All expenditures related to this service are cost allocated.

5.3. Other pertinent information related to this service

Dept/Agency:	**Department of Financial Services**
Submitted by:	**Abe Kani, Chief Information Officer**
Phone:	**413-1505**
Date submitted:	**October 15, 2010**

Financial Services & Accountability

Please consult the *Guidelines for Schedule IV-C: IT Costs and Service Requirements* for specific direction on how to complete this document.

Identify all major IT application systems (custom developed or commercial software) that are included (in whole or part) in this IT Service:

1	FLAIR	5	UPMIS
2	SPIA	6	CODA
3	RECEIPTS	7	RCP
4	WARRANT PROCESSING	8	

1. IT Service Definition

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

The Department will be a vigilant steward of the state's and its people resources and promote financial accountability in state contracts.

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

- X Central IT staff
- ☐ Program staff
- ☐ Other state agency *(non-primary data center)*
- ☐ Other External Service Provider *(specify)*
- ☐ Northwood Shared Resource Center
- ☐ Southwood Shared Resource Center
- ☐ Northwest Regional Data Center

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

- X Agency staff (state employees or contractors)
- ☐ Employees or contractors from one or more additional state agencies
- ☐ External service providers
- X Public (please explain in Question 5.3)

1.4. Please identify the number of users of this service. ~10,500

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   X No

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

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

> The Department must retain its ability to add, delete, or change account access in a timely manner. The Department support these services for its customers. In order to obtain services from an external provider there would have to be a demonstration of their ability to timely and consistently deliver the same level and quality of service for the same or lesser cost.

3. IT Service Levels Required to Support Business Functions

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

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

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

> The Department standard of service is 24x7 for this service.

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)   <u>24x7</u>

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

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)?*   <u>15 min</u>

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

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

3.2.3.   Are there any agency-unique service requirements?   ☐ Yes   X 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)*

- X   User ID/Password
- X   Access through internal network only
- ☐   Other _____
- X   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?

X   Yes   ☐   No

3.2.5.1.   If yes, please specify and describe:

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

4. User/customer satisfaction

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

☐ Yes ☒ No

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

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

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, resource, or process associated with this IT service. *Please indicate the D3-A issue number in the Description for any projects that require funds in a legislative budget request for FY 2011-12.*

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, and describe any anticipated adjustments to the funding source(s) or funding level for FY 2011-12

This service is funded by Information Technology and IT – FLAIR.

5.2. Please indicate whether there is a cost recovery or cost allocation plan for this service, and describe any anticipated adjustments or needed changes in the service funding model (e.g., charge-back, cost allocation, fee-per-transaction, etc.)

The cost allocation plan uses a predetermined percentage (based on historical usage) to transfer monies from business areas prior DIS making payment to vendors/state agencies for expenditures. A review of services provided by DIS is performed quarterly and the predetermined percentage to transfer monies from business areas are adjusted accordingly. All expenditures related to this service are cost allocated

5.3. Other pertinent information related to this service

Public uses this service to communicate to the Department and the Department uses this service to communicate to the Public. This is also used in applications that the public uses.

Dept/Agency:	**Department of Financial Services**
Submitted by:	**Abe Kani, Chief Information Officer**
Phone:	**413-1505**
Date submitted:	**October 15, 2010**

Enforcement

Please consult the *Guidelines for Schedule IV-C: IT Costs and Service Requirements* for specific direction on how to complete this document.

Identify all major IT application systems (custom developed or commercial software) that are included (in whole or part) in this IT Service:			
1	ACISS_FRAUD	5	
2	FCDICE	6	
3		7	
4		8	

1. **IT Service Definition**

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

    The Department will protect the health, safety and welfare of the public.

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

    X   Central IT staff   ☐   Northwood Shared Resource Center

    X   Program staff   ☐   Southwood Shared Resource Center

    ☐   Other state agency *(non-primary data center)*   ☐   Northwest Regional Data Center

    ☐   Other External Service Provider *(specify)*   _____

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

    X   Agency staff (state employees or contractors)

    ☐   Employees or contractors from one or more additional state agencies

    ☐   External service providers

    ☐   Public (please explain in Question 5.3)

    1.4. Please identify the number of users of this service.   ~200

    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   X   No

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

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

The Department must retain its ability to add, delete, or change account access in a timely manner. The Department support these services for its customers. In order to obtain services from an external provider there would have to be a demonstration of their ability to timely and consistently deliver the same level and quality of service for the same or lesser cost

3. IT Service Levels Required to Support Business Functions

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

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

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

The Department standard of service apply.

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)   M-F 8am-5pm

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

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

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

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

3.2.3. Are there any agency-unique service requirements?   ☐ Yes   X 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)*

X User ID/Password	☐ Access through Internet or external network
X 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?

X Yes   ☐ No

3.2.5.1. If yes, please specify and describe:

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

4. User/customer satisfaction

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

☐ Yes   X No

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

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

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

X 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, resource, or process associated with this IT service. *Please indicate the D3-A issue number in the Description for any projects that require funds in a legislative budget request for FY 2011-12.*

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, and describe any anticipated adjustments to the funding source(s) or funding level for FY 2011-12

This service is funded by Insurance Fraud and Compliance & Enforcement.

5.2. Please indicate whether there is a cost recovery or cost allocation plan for this service, and describe any anticipated adjustments or needed changes in the service funding model (e.g., charge-back, cost allocation, fee-per-transaction, etc.)

5.3. Other pertinent information related to this service

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

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

Phone: **413-1505**

Date submitted: **October 15, 2010**

Regulatory Services

Please consult the *Guidelines for Schedule IV-C: IT Costs and Service Requirements* for specific direction on how to complete this document.

Identify all major IT application systems (custom developed or commercial software) that are included (in whole or part) in this IT Service:			
1	REAL	5	
2	COREN	6	
3		7	
4		8	

1. IT Service Definition

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

The Office of Financial Regulation will provide regulation of business that promotes Florida's economy by carrying out the banking, securities and financial laws of the state. The Office of Insurance Regulation will ensure that insurance companies licensed to business in Florida are financially viable, operating within the laws and regulations governing the insurance industry.

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

- ☐ Central IT staff
- X Program staff
- ☐ Other state agency *(non-primary data center)*
- ☐ Other External Service Provider *(specify)*

- ☐ Northwood Shared Resource Center
- ☐ Southwood Shared Resource Center
- ☐ Northwest Regional Data Center

_____

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

- X Agency staff (state employees or contractors)
- ☐ Employees or contractors from one or more additional state agencies
- ☐ External service providers
- ☐ Public (please explain in Question 5.3)

1.4. Please identify the number of users of this service. ~1,000

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   X No

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

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

The Department must retain its ability to add, delete, or change account access in a timely manner. The Department support these services for its customers. In order to obtain services from an external provider there would have to be a demonstration of their ability to timely and consistently deliver the same level and quality of service for the same or lesser cost.

3. IT Service Levels Required to Support Business Functions

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

☐   Yes; formal Service Level Agreement(s)

X   Yes; informal agreement(s)

☐   No; specific requirements have not been determined and approved by the department

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

The Department standard of service applies.

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)   M-F 8am – 5pm

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

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

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

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

3.2.3.   Are there any agency-unique service requirements?   ☐ Yes   X   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)*

X   User ID/Password   ☐   Access through Internet or external network

X   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?

X   Yes   ☐   No

3.2.5.1.   If yes, please specify and describe:

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

4. User/customer satisfaction

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

☐ Yes   X No

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

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

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

X 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, resource, or process associated with this IT service. *Please indicate the D3-A issue number in the Description for any projects that require funds in a legislative budget request for FY 2011-12.*

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, and describe any anticipated adjustments to the funding source(s) or funding level for FY 2011-12

This service is funded by Regulation & Licensing.

5.2. Please indicate whether there is a cost recovery or cost allocation plan for this service, and describe any anticipated adjustments or needed changes in the service funding model (e.g., charge-back, cost allocation, fee-per-transaction, etc.)

5.3. Other pertinent information related to this service

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

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

Phone: **413-1505**

Date submitted: **October 15, 2010**

Insurance Services

Please consult the *Guidelines for Schedule IV-C: IT Costs and Service Requirements* for specific direction on how to complete this document.

Identify all major IT application systems (custom developed or commercial software) that are included (in whole or part) in this IT Service:			
1	STARS	5	
2		6	
3		7	
4		8	

1. IT Service Definition

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

The Department ensures that participating State of Florida agencies receive quality workers' compensation, liability, federal civil rights, automobile liability, and property insurance coverage at reasonable rates by providing self-insurance, purchase of insurance, claims handling, and technical assistance in managing risk.

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

X   Central IT staff   ☐   Northwood Shared Resource Center

☐   Program staff   ☐   Southwood Shared Resource Center

☐   Other state agency *(non-primary data center)*   ☐   Northwest Regional Data Center

☐   Other External Service Provider *(specify)*   _____

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

X   Agency staff (state employees or contractors)

☐   Employees or contractors from one or more additional state agencies

☐   External service providers

☐   Public (please explain in Question 5.3)

1.4. Please identify the number of users of this service.   ~200

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   X   No

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

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

The Department must retain its ability to add, delete, or change account access in a timely manner. The Department support these services for its customers. In order to obtain services from an external provider there would have to be a demonstration of their ability to timely and consistently deliver the same level and quality of service for the same or lesser cost.

3. IT Service Levels Required to Support Business Functions

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

   ☐   Yes; formal Service Level Agreement(s)

   X   Yes; informal agreement(s)

   ☐   No; specific requirements have not been determined and approved by the department

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

   The Department standard service applies.

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)   M-F 8am-5pm

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

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

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

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

   3.2.3.   Are there any agency-unique service requirements?   ☐ Yes   X   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)*

   X   User ID/Password   ☐   Access through Internet or external network

   X   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?

      X   Yes   ☐   No

      3.2.5.1.   If yes, please specify and describe:

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

4. User/customer satisfaction

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

☐ Yes   X No

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

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

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

X 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, resource, or process associated with this IT service. *Please indicate the D3-A issue number in the Description for any projects that require funds in a legislative budget request for FY 2011-12.*

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, and describe any anticipated adjustments to the funding source(s) or funding level for FY 2011-12

This service is funded by the State Self-Insured Claims Adjustment.

5.2. Please indicate whether there is a cost recovery or cost allocation plan for this service, and describe any anticipated adjustments or needed changes in the service funding model (e.g., charge-back, cost allocation, fee-per-transaction, etc.)

5.3. Other pertinent information related to this service

Dept/Agency:	**Department of Financial Services**
Submitted by:	**Abe Kani, Chief Information Officer**
Phone:	**413-1505**
Date submitted:	**October 15, 2010**

Workers' Compensation

Please consult the *Guidelines for Schedule IV-C: IT Costs and Service Requirements* for specific direction on how to complete this document.

Identify all major IT application systems (custom developed or commercial software) that are included (in whole or part) in this IT Service:			
1	INTEGRATED SYSTEMS	5	
2	CCAS	6	
3	OFFIS	7	
4	CPS	8	

1. **IT Service Definition**

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

    The Department regulates employers, insurers, and health care providers.

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

X	Central IT staff	☐	Northwood Shared Resource Center
☐	Program staff	☐	Southwood Shared Resource Center
☐	Other state agency *(non-primary data center)*	☐	Northwest Regional Data Center
☐	Other External Service Provider *(specify)*		_____

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

X	Agency staff (state employees or contractors)
☐	Employees or contractors from one or more additional state agencies
☐	External service providers
☐	Public (please explain in Question 5.3)

    1.4. Please identify the number of users of this service. ~800

    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   X   No

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

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

> The Department must retain its ability to add, delete, or change account access in a timely manner. The Department support these services for its customers. In order to obtain services from an external provider there would have to be a demonstration of their ability to timely and consistently deliver the same level and quality of service for the same or lesser cost.

3. IT Service Levels Required to Support Business Functions

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

☐ Yes; formal Service Level Agreement(s)

X Yes; informal agreement(s)

☐ No; specific requirements have not been determined and approved by the department

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

> The Department standard of service applies.

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) M-F 8am-5pm

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

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

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

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

3.2.3. Are there any agency-unique service requirements?   ☐ Yes X ☐ 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)*

X User ID/Password   ☐ Access through Internet or external network

X 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?

X Yes   ☐ No

3.2.5.1. If yes, please specify and describe:

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

4. User/customer satisfaction

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

☐   Yes   X   No

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

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

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

X   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, resource, or process associated with this IT service. *Please indicate the D3-A issue number in the Description for any projects that require funds in a legislative budget request for FY 2011-12.*

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, and describe any anticipated adjustments to the funding source(s) or funding level for FY 2011-12

This service is funded by Workers' Compensation.

5.2. Please indicate whether there is a cost recovery or cost allocation plan for this service, and describe any anticipated adjustments or needed changes in the service funding model (e.g., charge-back, cost allocation, fee-per-transaction, etc.)

5.3. Other pertinent information related to this service

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

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

Phone: **413-1505**

Date submitted: **October 15, 2010**

Fire Safety

Please consult the *Guidelines for Schedule IV-C: IT Costs and Service Requirements* for specific direction on how to complete this document.

Identify all major IT application systems (custom developed or commercial software) that are included (in whole or part) in this IT Service:		
1 ACIS_SFM	5	
2	6	
3	7	
4	8	

1. IT Service Definition

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

The Department shall effectively prevent and discourage arson and arson related crimes for the protection of Florida's citizens and their property.

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

X Central IT staff ☐ Northwood Shared Resource Center

☐ Program staff ☐ Southwood Shared Resource Center

☐ Other state agency *(non-primary data center)* ☐ Northwest Regional Data Center

☐ Other External Service Provider *(specify)* _____

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

X Agency staff (state employees or contractors)

☐ Employees or contractors from one or more additional state agencies

☐ External service providers

☐ Public (please explain in Question 5.3)

1.4. Please identify the number of users of this service. ~125

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 X No

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

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

> The Department must retain its ability to add, delete, or change account access in a timely manner. The Department support these services for its customers. In order to obtain services from an external provider there would have to be a demonstration of their ability to timely and consistently deliver the same level and quality of service for the same or lesser cost.

3.   IT Service Levels Required to Support Business Functions

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

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

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

> The Department standard of service applies.

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)   M-F 8AM-5PM

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

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

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

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

3.2.3.   Are there any agency-unique service requirements?   ☐ Yes   X 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)*

- X   User ID/Password
- X   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?

- X   Yes   ☐   No

3.2.5.1.   If yes, please specify and describe:

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

4.   User/customer satisfaction

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

☐   Yes   X   No

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

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

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

X   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, resource, or process associated with this IT service. *Please indicate the D3-A issue number in the Description for any projects that require funds in a legislative budget request for FY 2011-12.*

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, and describe any anticipated adjustments to the funding source(s) or funding level for FY 2011-12

This service is funded by Compliance & Enforcement.

5.2.   Please indicate whether there is a cost recovery or cost allocation plan for this service, and describe any anticipated adjustments or needed changes in the service funding model (e.g., charge-back, cost allocation, fee-per-transaction, etc.)

5.3.   Other pertinent information related to this service

Dept/Agency:	**Department of Financial Services**
Submitted by:	**Abe Kani, Chief Information Officer**
Phone:	**413-1505**
Date submitted:	**October 15, 2010**

Education

Please consult the *Guidelines for Schedule IV-C: IT Costs and Service Requirements* for specific direction on how to complete this document.

Identify all major IT application systems (custom developed or commercial software) that are included (in whole or part) in this IT Service:			
1	ServicePoint	5	
2		6	
3		7	
4		8	

1. **IT Service Definition**

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

    > The Department will receive timely, helpful and accurate information upon which consumers can act to protect themselves and their assets.

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

    X Central IT staff   ☐ Northwood Shared Resource Center

    ☐ Program staff   ☐ Southwood Shared Resource Center

    ☐ Other state agency *(non-primary data center)*   ☐ Northwest Regional Data Center

    ☐ Other External Service Provider *(specify)* _____

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

    X Agency staff (state employees or contractors)

    ☐ Employees or contractors from one or more additional state agencies

    ☐ External service providers

    X Public (please explain in Question 5.3)

    1.4. Please identify the number of users of this service.   ~220

    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   X No

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

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

> The Department must retain its ability to add, delete, or change account access in a timely manner. The Department support these services for its customers. In order to obtain services from an external provider there would have to be a demonstration of their ability to timely and consistently deliver the same level and quality of service for the same or lesser cost.

3. IT Service Levels Required to Support Business Functions

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

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

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

> The Department standard service applies.

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)   M-F 8AM-5PM

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

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

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

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

3.2.3. Are there any agency-unique service requirements?   ☐ Yes   X 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)*

- X User ID/Password
- ☐ Access through internal network only
- ☐ Other _____
- X 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?

- X Yes   ☐ No

3.2.5.1. If yes, please specify and describe:

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

4. User/customer satisfaction

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

☐ Yes   X   No

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

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

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

X 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, resource, or process associated with this IT service. *Please indicate the D3-A issue number in the Description for any projects that require funds in a legislative budget request for FY 2011-12.*

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, and describe any anticipated adjustments to the funding source(s) or funding level for FY 2011-12

This service is funded by Consumer Assistance.

5.2. Please indicate whether there is a cost recovery or cost allocation plan for this service, and describe any anticipated adjustments or needed changes in the service funding model (e.g., charge-back, cost allocation, fee-per-transaction, etc.)

5.3. Other pertinent information related to this service

Public uses this service to communicate to the Department and the Department uses this service to communicate to the Public. This is also used in applications that the public uses.

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

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

Phone: **413-1505**

Date submitted: **October 15, 2010**

Consumer Advocacy

Please consult the *Guidelines for Schedule IV-C: IT Costs and Service Requirements* for specific direction on how to complete this document.

Identify all major IT application systems (custom developed or commercial software) that are included (in whole or part) in this IT Service:			
1	FACS_DICE	5	
2		6	
3		7	
4		8	

1. **IT Service Definition**

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

    > The Department will protect customer interests inside and outside state government.

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

X	Central IT staff	☐	Northwood Shared Resource Center
☐	Program staff	☐	Southwood Shared Resource Center
☐	Other state agency *(non-primary data center)*	☐	Northwest Regional Data Center
☐	Other External Service Provider *(specify)*		_____

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

    X   Agency staff (state employees or contractors)

    ☐   Employees or contractors from one or more additional state agencies

    ☐   External service providers

    ☐   Public (please explain in Question 5.3)

    1.4. Please identify the number of users of this service.   ~25

    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   X   No

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

    >

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

> The Department must retain its ability to add, delete, or change account access in a timely manner. The Department support these services for its customers. In order to obtain services from an external provider there would have to be a demonstration of their ability to timely and consistently deliver the same level and quality of service for the same or lesser cost.

3. IT Service Levels Required to Support Business Functions

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

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

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

> The Department standard service applies.

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)   M-F 8AM-5PM

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

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

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

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

3.2.3. Are there any agency-unique service requirements?   ☐ Yes   X 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)*

- X User ID/Password
- X 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?

- X Yes   ☐ No

3.2.5.1. If yes, please specify and describe:

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

4. User/customer satisfaction

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

☐   Yes   X   No

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

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

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

X   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, resource, or process associated with this IT service. *Please indicate the D3-A issue number in the Description for any projects that require funds in a legislative budget request for FY 2011-12.*

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, and describe any anticipated adjustments to the funding source(s) or funding level for FY 2011-12

This service is funded by Funeral & Cemetery.

5.2. Please indicate whether there is a cost recovery or cost allocation plan for this service, and describe any anticipated adjustments or needed changes in the service funding model (e.g., charge-back, cost allocation, fee-per-transaction, etc.)

5.3. Other pertinent information related to this service

Dept/Agency:	**Department of Financial Services**
Submitted by:	**Abe Kani, Chief Information Officer**
Phone:	**413-1505**
Date submitted:	**October 15, 2010**

Licensing

Please consult the *Guidelines for Schedule IV-C: IT Costs and Service Requirements* for specific direction on how to complete this document.

Identify all major IT application systems (custom developed or commercial software) that are included (in whole or part) in this IT Service:

1	ALIS	5	
2	BAAITS	6	
3	DICE	7	
4	FAC_ALIS	8	

1. **IT Service Definition**

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

    The Department protects the public and insurance industry by timely and accurately licensing competent individuals and entities and fairly investigating alleged violations of Florida's insurance laws.

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

X	Central IT staff	☐	Northwood Shared Resource Center
☐	Program staff	☐	Southwood Shared Resource Center
☐	Other state agency *(non-primary data center)*	☐	Northwest Regional Data Center
☐	Other External Service Provider *(specify)*		_____

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

    - X Agency staff (state employees or contractors)
    - ☐ Employees or contractors from one or more additional state agencies
    - ☐ External service providers
    - ☐ Public (please explain in Question 5.3)

    1.4. Please identify the number of users of this service.   ~125

    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   X   No

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

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

The Department must retain its ability to add, delete, or change account access in a timely manner. The Department support these services for its customers. In order to obtain services from an external provider there would have to be a demonstration of their ability to timely and consistently deliver the same level and quality of service for the same or lesser cost.

3.   IT Service Levels Required to Support Business Functions

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

☐   Yes; formal Service Level Agreement(s)

X   Yes; informal agreement(s)

☐   No; specific requirements have not been determined and approved by the department

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

The Department standard service applies.

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)   M-F 8am-5pm

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

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

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

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

3.2.3.   Are there any agency-unique service requirements?   ☐ Yes   X   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)*

X User ID/Password   ☐   Access through Internet or external network

X 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?

X Yes   ☐   No

3.2.5.1.   If yes, please specify and describe:

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

4. User/customer satisfaction

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

☐ Yes   X   No

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

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

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

X 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, resource, or process associated with this IT service. *Please indicate the D3-A issue number in the Description for any projects that require funds in a legislative budget request for FY 2011-12.*

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, and describe any anticipated adjustments to the funding source(s) or funding level for FY 2011-12

> This service is funded by Funeral & Cemetery and Licensure, Sales Appt & Oversight.

5.2. Please indicate whether there is a cost recovery or cost allocation plan for this service, and describe any anticipated adjustments or needed changes in the service funding model (e.g., charge-back, cost allocation, fee-per-transaction, etc.)

5.3. Other pertinent information related to this service

Listing of Department of Financial Services IT Systems

Dept/Agency: **Department of Financial Services**
Prepared by: **Jennifer Grant**
Phone: **413-3595**
Date Completed: October 15, 2010

#	Name of IT System	Description of IT System	Agency Program or Function Supported	Notes
1	BOSP PC Payments	Decrypts agency-submitted PC payments, provide audit functions and uploads to mainframe	Division of Accounting & Auditing	
2	Payroll Vendor Information	Payment detail for vendor payment postings. When employees elect payroll deduction for benefits, the vendor is sent a lump sum check each pay period. Vendors can retrieve a detailed listing of employees and amounts included in the lump sum check from this secure website.	Division of Accounting & Auditing	
3	EFT Returns Application	User developed Access program that accepts downloads from the Information Warehouse and Wachovia for EFT Returns information. This program is used to write checks on the EFT Returns Account.	Division of Accounting & Auditing	
4	Employee Information Center including Admin component	Earnings stmt, W4, etc., including admin component for access assistance	Division of Accounting & Auditing	
5	FLAIR Statewide Accounting System	FLAIR Statewide Accounting System, including components for Central Accounting (CAC), Departmental Accounting (DAC), Payroll (FLAIR Pay), Information Warehouse (IW), and Report Distribution System (RDS).	Division of Accounting & Auditing	
6	IRIS - Immediate Response Information System	Electronic notification system used for Emergency notification of agency personnel in the event of a disaster.	Division of Administration	
7	AD Login Web service	Required for EIC application	Division of Information Systems	
8	Attachmate EXTRA -	Attachmate EXTRA - mainframe sign-on	Division of Information	

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#	Name of IT System	Description of IT System	Agency Program or Function Supported	Notes
	mainframe sign-on code	code	Systems	
9	ADP Payroll Systems - Rehab & Liquidation	Payroll Vendor application; Receiver Payroll payroll system	Division of Rehabilitation & Liquidation	
10	Claim Administration System for Risk Management	Claim Administration System for Risk Management: Third party vendor software (CS STARS) used to facilitate the claim adjustment/payment activities executed by division personnel.	Division of Risk Management	
11	Disinvestments	The liquidation of trust fund investments from the Treasury investment pool.	Division of Treasury	
12	External SPIA	External website for on-line investments.	Division of Treasury	
13	External Trust Fund	External website for agency investments and disinvestments	Division of Treasury	
14	Fund Accounting	Maintains the Treasury investment pool participants and interest allocation.	Division of Treasury	
15	Funds Management Web Site	Treasury home page and Funds Management Web Site: Provides information, forms and access to login pages for the Funds Management applications that are available to the public.	Division of Treasury	
16	Receipts	Processes agency deposits and returned items	Division of Treasury	
17	Special Purpose Investment Accounting	Processes transactions for the special purpose investment accounts	Division of Treasury	
18	Receipts Verification	Maintains the Treasury concentration bank accounts	Division of Treasury	
19	Warrant Processing	Processes the payments of state warrants and EFTs.	Division of Treasury	
20	Permanent Total Disability	Maintains, tracks and disburses permanent total disability payments	Division of Workers' Compensation	
21	Automated Licensing Information System	Agent and agency licensing information system; replacement for LIC on the mainframe. Includes web apps for indexing and capture, backend processor jobs and external web searches.	Division of Agent & Agency Services	

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Listing of Department of Financial Services IT Systems

#	Name of IT System	Description of IT System	Agency Program or Function Supported	Notes
22	Bureau of Agent & Agency Investigation Tracking System	Agent and Agency Investigation tracking and case management	Division of Agent & Agency Services	
23	Dept of Insurance Continuing Education	On-Line Agent and Agency Continuing Education for Licensing System	Division of Agent & Agency Services	
24	DFS SharePoint site	Enterprise SharePoint site containing all Division and OFR/OIR information. Used by internal/external users throughout the enterprise.	Chief of Staff	
25	DFS External Website	Main web page for CFO communications, portal entries for consumers, state employees and industry. Emergency information and press releases can be quickly translated for public safety.	Chief of Staff	
26	MyDFS Web Enabled Data Warehouse	Oracle DB Intranet Data warehouse containing agent and agency data used by the A&A	Chief of Staff	
27	eStorm	Insurance companies respond to disaster complaints.	Division of Consumer Services	
28	Consumer Assistance Data warehouse System for reporting	Consumer Assistance System Siebel(Service Point) and SOC historical mainframe data to Oracle for MyDFS and user reports	Division of Consumer Services	
29	Consumer Help Hotline - Web Site	Web site used by consumers to file and check on complaints against insurance companies and agents.	Division of Consumer Services	
30	FILENET-SIEBEL Gateway web server	ACS7 3.2 web server integrates the FILENET image server with SIEBEL (ServicePoint) server. It also has the FileNet Indexer web site, Gate keeper web site. It has custom VB6.0 component to link FileNet documents with Service Point Service Requests based on index values on the document.	Division of Consumer Services	
31	ServicePoint - Seibel call center application	Consumer Service and Support application that includes Customer Knowledge	Division of Consumer Services	

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Listing of Department of Financial Services IT Systems

#	Name of IT System	Description of IT System	Agency Program or Function Supported	Notes
		Management, Call Center, eService components.		
32	Remedy System	Remedy System, including modules for Change Management, Help Desk, Production Control Logs, Reports, and Security Incident Response Tracking	Division of Information Systems	
33	Advanced PowerBuilder Object Library	Used to house the objects necessary for PowerBuilder programming; used by client/server apps developed with oracle database and PowerBuilder front end tools (RLS, LAST)	Division of Information Systems	
34	AppAvailibityWS	Required for multiple .Net applications	Division of Information Systems	
35	Funeral and Cemeteries	Funeral and Cemeteries Licensing. Part of ALIS.	Division of Funeral & Cemetery	
36	Funeral & Cemetery eAPPOINT module of ALIS	Funeral & Cemetery Preneed Sales Agent module of eAPPOINT	Division of Funeral & Cemetery	
37	F&S Exams module of Service Point	Funeral & Cemetery exams for remote users are a module in the Service Point application. This module is owned by the Division of Funerals & Cemeteries.	Division of Funeral & Cemetery	
38	Internet Funeral and Cemetery Search	Internet Search website for ALIS data on Funeral and Cemetery.	Division of Funeral & Cemetery	
39	Evidence Tracking Database	Access 2003 database that tracks evidence seized in investigations.	Division of Insurance Fraud	
40	ACISS Insurance Fraud	System for Insurance Fraud case management system - third party software package	Division of Insurance Fraud	
41	Legal Service of Process	Legal Service of Process System.	Legal Services	
42	Internet Filing workflow System (IFWS) DATA COLLECTION SYSTEM	Internet Filing Workflow System (IFWS) module - user defined template-based data collection and storage system.	Office of Insurance Regulation	
43	Data Collection for D-QUASR	Data collection system for statistical/demographic FL homeowners insurance. Widely used by mgmt and	Office of Insurance Regulation	

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Listing of Department of Financial Services IT Systems

#	Name of IT System	Description of IT System	Agency Program or Function Supported	Notes
		legislature		
44	QUASRng	New Data collection system for statistical/demographic FL homeowners insurance. Widely used by mgmt and legislature	Office of Insurance Regulation	
45	Companies and Related Entities	CORE Company and Other Insurance Related Entities Doing Business in Florida	Office of Insurance Regulation	
46	Data Collection Analysis Module	Application developed for OIR Market Research to collect data from various sources	Office of Insurance Regulation	
47	Receiver Intranet - Rehab & Liquidation	Receiver Intranet	Division of Rehabilitation & Liquidation	
48	Receiver On-Line Claims Processing - Rehab & Liquidation	Claims against assets of estate of company in liquidation	Division of Rehabilitation & Liquidation	
49	Web Authoring Tools	Software used to support Internet and Intranet content development	Division of Rehabilitation & Liquidation	
50	Microsoft Dynamics/SL Financial System - Rehab & Liquidation	Financial systems - receiver accounts and accounts of all companies in receivership	Division of Rehabilitation & Liquidation	
51	Total Recall Records Manager	Software system for tracking of physical records from estates that are stored in R&L warehouse(s)	Division of Rehabilitation & Liquidation	
52	ACISS State Fire Marshal	Investigative database system for fire and arson investigation - third party software package	State Fire Marshal	
53	ChargeBacks	Maintains the returned items	Division of Treasury	
54	Consolidated Revolving	Maintains the consolidated revolving program	Division of Treasury	
55	Deferred Compensation Loan Application	Tracks approved loans for deferred compensation participants for all the investment provider vendors.	Division of Treasury	
56	External Cash Management	External website for agency cash management	Division of Treasury	
57	ICAP	Internal Collateral Administration Program	Division of Treasury	

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Listing of Department of Financial Services IT Systems

#	Name of IT System	Description of IT System	Agency Program or Function Supported	Notes
58	Investment Accounting	Maintains the investment transactions for the Treasury investment pool	Division of Treasury	
59	OMNI Plus	This system keeps the records for all deferred compensation accounts from different provider vendors.	Division of Treasury	
60	OnBase	Document imaging and retrieval system for all deferred comp participant information and forms completed by Deferred Comp staff	Division of Treasury	
61	EDI-Claims Heartbeat Monitor Program	Monitors continuous operation of all the EDI automated programs, and immediately sends alert emails to team members when problems are detected.	Division of Workers' Compensation	
62	Claims Job Runner Program	Automates daily, weekly and monthly EDI jobs for both Claims and POC	Division of Workers' Compensation	
63	Contractor Policy Refresh Program	Synchronizes SQL Server and DB2 info with each other	Division of Workers' Compensation	
64	Claims SSL/FTP Transfer Manager	Automates mailbox transfers for Claims and POC processing.	Division of Workers' Compensation	
65	Statistical reports based on Claims Data Website	The user can generate statistical reports from the most recent end-of-month claims file. Records may be selected by county, year of injury, nature of injury, or other claim characteristics.	Division of Workers' Compensation	
66	Proof of Coverage Database (Compliance)	Provides information regarding worker's compensation coverage and exemptions from worker's compensation	Division of Workers' Compensation	
67	MDS Form Generator Assembly	Low-level engine for printing all types of Medical Forms. Used by the MDS Website as well as the Medical Form Printer Program.	Division of Workers' Compensation	
68	Processing system for Claims, Penalties, Carriers	Integrated System maintains data related to both paper and EDI DWC forms (DWC1, DWC4, DWC12, and DWC13). Additionally tracks EAO information.	Division of Workers' Compensation	

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Listing of Department of Financial Services IT Systems

#	Name of IT System	Description of IT System	Agency Program or Function Supported	Notes
69	Integrated Administration	Maintains associates/users, system codes and parameter tables	Division of Workers' Compensation	
70	Integrated System - Batch Processing	Batch reports and processes related to the Integrated System.	Division of Workers' Compensation	
71	Integrated Limited Access	A READ-ONLY version of the Integrated System	Division of Workers' Compensation	
72	Integrated Security	Maintains Integrated security access groups and permissions	Division of Workers' Compensation	
73	Organized Fast Flow Imaging System	Includes modules for EDM, Monitoring & Audit, Employee Assistance Office, SDTF, Bureau of Compliance, Claims and all other administrative functions	Division of Workers' Compensation	
74	Provider Warehouse Refresh (DataSync)	Refreshes data warehouse records daily for consumption by Provider Directory website	Division of Workers' Compensation	
75	FSAA Internal Admin	Establish and maintain State Financial Assistance and Project Information for the Florida Single Audit Act.	Division of Accounting & Auditing	
76	FSAA Public	Public license assess to State Financial Assistance and Project Information for the Florida Single Audit Act.	Division of Accounting & Auditing	
77	Bail Bond System	Bail bondsmen Tracking	Division of Agent & Agency Services	
78	Agent Adjuster Representative Search	Internet Agent Adjuster Representative Search.	Division of Agent & Agency Services	
79	Internet Agent and Agency Address Download	Internet Agent and Agency Address Download.	Division of Agent & Agency Services	
80	Internet Agent and Agency Appointment Download	Internet Agent and Agency Appointment Download.	Division of Agent & Agency Services	
81	Internet Licensing Open Authorizations Search	Internet Licensing Open Authorizations Search.	Division of Agent & Agency Services	
82	Primary Agent System	Tracks primary agent, primary bail bond, and primary adjuster	Division of Agent & Agency Services	
83	Exam Billing Tracking System	Exam Billing tracking of company exams	Division of Administration	
84	Receipts Bad Checks System	Bad Check tracking system. Uses Access data base to track bad checks.	Division of Administration	

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Listing of Department of Financial Services IT Systems

#	Name of IT System	Description of IT System	Agency Program or Function Supported	Notes
85	Returns Tracking System	Return of customer payments tracking system. Uses Access data base to track returns.	Division of Administration	
86	Redistribution Returns Tracking System	Tracking system for redistribution of checks to outside state agencies. Uses Access data base.	Division of Administration	
87	Archived Receipts, Deposits and Refunds	Archive of the receipts master database. Includes Oracle component for client side of RDR that retains receipts historical data.	Division of Administration	
88	Cashiers Office Deposit Automation	Cashiers Office Deposit Automation System	Division of Administration	
89	CODA Business Web Site	Internal customers use system to research receipt information	Division of Administration	
90	Employee Directory System	On-line directory of department employee contact information	Division of Administration	
91	FLAIR@DFS	Provides FLAIR Information Warehouse data	Division of Administration	
92	Mail Tracking (Correspondence)	Mainframe mail tracking system used to track dept/upper management mail	Division of Administration	
93	Payroll Load to FLAIR application	DFS payroll batch load to FLAIR	Division of Administration	
94	Receipts Accounting System	Processes checks received by DFS.	Division of Administration	
95	Receipts Accounting System-Oracle Component	Client server side of RCP that allows processing of electronic payments for some DFS business applications.	Division of Administration	
96	Receipts Transaction Printing	Used by the RCP application to run receipts transaction printer, endorsing and stamping checks and other paperwork.	Division of Administration	
97	Receipts, Deposits & Refunds	Receipts historical data, input from RCP Used by other mainframe systems to verify receipts numbers and amounts paid for services.	Division of Administration	
98	Reimbursement of Travel Expenses	Gives accounting a means of producing checks - primarily travel reimbursements, but also includes advances, witness fees,	Division of Administration	

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Listing of Department of Financial Services IT Systems

#	Name of IT System	Description of IT System	Agency Program or Function Supported	Notes
		service of process, interest checks, investigations, and other miscellaneous purposes. Also provides account balancing.		
99	Advocate Tracking System	Tracking correspondence to the Office of the Consumer Advocate	Consumer Advocate	
100	Correspondence Tracking Systems	Correspondence Detail Tracking. Used by various users.	Chief of Staff	
101	Contract Search	Tracks contracts for all divisions in .Net and SharePoint application accessed by Intranet homepage	Chief of Staff	
102	Constituent Relationship Management System (CRM)	CRM used for executive scheduling.	Chief of Staff	
103	Company Complaint Response System	Web site used by insurance companies to send their response to consumer complaint	Division of Consumer Services	
104	Central Point Login	Web site used by insurance companies as a single entry point to the various web applications Consumer Services has developed for company self-help and complaint response.	Division of Consumer Services	
105	Mediation Web Application	Web based application used by Consumer Services to schedule mediation and maintain data related to mediations. Web site is used by Mediators to receive and respond to scheduled mediations.	Division of Consumer Services	
106	Funeral and Cemeteries Continuing Education	Funeral and Cemeteries Continuing Education module of DICE. (including AALF, DICE external & internal)	Division of Funeral & Cemetery	
107	Confidential Informant Database	Access 2003 database that tracks all Confidential Informants used by the division.	Division of Insurance Fraud	
108	Fictitious Driver's License Database	Access 2003 database that tracks all fictitious driver's license assignments used by the division.	Division of Insurance Fraud	
109	Field Training Officer (FTO)	Allows division to track new law enforcement employees progress in	Division of Insurance Fraud	

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#	Name of IT System	Description of IT System	Agency Program or Function Supported	Notes
		learning policy and procedure in the first 12 weeks of employment.		
110	Internal Affairs Database	Access 2003 database that tracks any internal affairs investigations within the division.	Division of Insurance Fraud	
111	Skills Manager	Allows division to track law enforcement employees from date of hire to date of termination. Tracks education, training, certifications, property, firearms qualifications, etc.	Division of Insurance Fraud	
112	Use of Force Database	Access 2003 database that tracks instances of use of force in investigations.	Division of Insurance Fraud	
113	Workers Comp Fraud Internet Annual Data Reporting	WC Carriers Insurance Fraud Annual Data Reporting via Internet, required by 2003 legislation. Peak season is July 1-Sept 30.	Division of Insurance Fraud	
114	Client Profiles Case Management System	Case management system for Legal; includes a timekeeping feature not present in LAST. Also used by OFR Legal and OIR Legal. Vendor-support application.	Legal Services, Office of Financial Regulation, Office of Insurance Regulation	
115	OFR External Website	Internet homepage for OFR	Office of Financial Regulation	
116	Regulatory Enforcement and Licensing (REAL) System	REAL is used for licensing and oversight of the financial industry.	Office of Financial Regulation	
117	Quarterly Statistical and Demographic Reporting	Detailed statistical and demographic info about FL homeowners insurance. Quarterly submittal. Widely used by management and the legislature	Office of Financial Regulation	
118	Financial Analysis & Monitoring EDMS	Financial Analysis & Monitoring EDMS for Solvency	Office of Financial Regulation	
119	Forms and Rates Electronic Document Mgmt System	FR EDMS - EDMS Services & Filing Export	Office of Financial Regulation	
120	Forms and Rates Electronic Document Mgmt System	FR EDMS - External Search	Office of Financial Regulation	
121	Forms and Rates Electronic Document Mgmt System	FR EDMS - Indexing and Capture	Office of Financial Regulation	

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Listing of Department of Financial Services IT Systems

#	Name of IT System	Description of IT System	Agency Program or Function Supported	Notes
122	Forms and Rates Electronic Document Mgmt System	FR EDMS - Multi-State - Internal Search	Office of Financial Regulation	
123	Forms and Rates Electronic Document Mgmt System	FR EDMS - Multi-State Review	Office of Financial Regulation	
124	Forms and Rates Electronic Document Mgmt System	FR EDMS - PDF Gen	Office of Financial Regulation	
125	Forms and Rates Electronic Document Mgmt System	FR EDMS - Response Batch Process	Office of Financial Regulation	
126	Forms and Rates Electronic Document Mgmt System	FR EDMS - TIF Gen	Office of Financial Regulation	
127	Forms and Rates Electronic Document Mgmt System	Document Management, Workflow and Imaging System for Insurer Services Forms and Rates. Internet (used by states participating in Multi-State filings Review) and Intranet sites	Office of Financial Regulation	
128	Auto Insurance Reporting	Produce statistical reports on motor vehicle insurance, analyzing profits from info collected on form DI4-308	Office of Financial Regulation	
129	I-File	Internet Filing Workflow System	Office of Financial Regulation	
130	Internet Filing System (IFile)	Internet Filing System for Insurer Services Company Forms and Rates. Electronic filings go to FR EDMS workflow and imaging application.	Office of Financial Regulation	
131	Internet Company Search	Internet Company Search for Consumer Services.	Office of Financial Regulation	
132	Central Internet Portal	Centralized Internet portal for all companies doing insurance business in Florida	Office of Financial Regulation	
133	Issue Tracking System	Enterprise Issue tracking system used by OIR apps	Office of Financial Regulation	
134	Media Call Tracking System	Application developed to track and document media calls from OIR Press Office	Office of Financial Regulation	
135	Guaranty Association Return Premium System	Calculates return premium amounts from pre-loaded company data	Division of Rehabilitation & Liquidation	

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Listing of Department of Financial Services IT Systems

#	Name of IT System	Description of IT System	Agency Program or Function Supported	Notes
136	HRVantage	HR system for tracking employee information including benefits, demographic info, etc	Division of Rehabilitation & Liquidation	
137	Receiver Asset Recovery Processing System - Rehab & Liquidation	Receiver Policy Recoverables Tracking; recovery of policy-related assets, assessments	Division of Rehabilitation & Liquidation	
138	Company Research Tracking System - Rehab & Liquidation	Receiver Company Research. Recording/reference for basic info on companies in receivership and affiliated companies, including director/officer info	Division of Rehabilitation & Liquidation	
139	MS Visual SourceSafe	Source code control system for internally developed applications	Division of Rehabilitation & Liquidation	
140	Worth-It Asset Tracking	Contains data on all receiver and estate owned physical assets held at R&L	Division of Rehabilitation & Liquidation	
141	Worth-It Reporting Tool	Developed in house for custom reports out of Worth-In system	Division of Rehabilitation & Liquidation	
142	Risk Management Electronic Document Management System	Risk Management Imaging System. Used to capture electronic images of all claims-related documentation and to route or process such documents on an electronic basis. Interfaces with Claims Administration System	Division of Risk Management	
143	Boiler Inspector/Inspection Licenses & Certificate	Tracks boiler inspections and boiler inspector qualifications.	State Fire Marshal	
144	Plans Review & Inspection System	Track review, approval & inspections of plans for state-owned and leased property.	State Fire Marshal	
145	The Regulatory Licensing System	Regulatory licensing system that collects, stores, analyzes, and reports on licensing, permitting, investigation, examination, education, and financing/accounting attributes of four industries: fire equipment, sprinkler contractors, fireworks, and explosives.	State Fire Marshal	
146	Public School Reporting System	Tracks public school fire inspections state-wide as required by Florida Statute	State Fire Marshal	

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#	Name of IT System	Description of IT System	Agency Program or Function Supported	Notes
		1013.12. SFM-BFP produces an annual report for the CFO based data tracked in this system.		
147	Arson Lab SQL*LIMS	Arson lab case mgmt system	State Fire Marshal	
148	Fire College Continuing Education	Fire Marshal Continuing Education. This is the only database of certified fire fighters in the state of Florida.	State Fire Marshal	
149	Archive from VERIFIES, REC, and INVESTMENT ACCT	Archive from VERIFIES, RECEIPTS, and INVESTMENT ACCOUNTING Systems.	Division of Treasury	
150	Bank Accounts	Provides the asset accounting for the Treasury	Division of Treasury	
151	Collateral Administration Program home page	Static web pages for Collateral Administration's website	Division of Treasury	
152	State Accounts	Provides the liability accounting for the Treasury	Division of Treasury	
153	Carrier Premium and Assessment Database	Carrier performance database stores historical records of reported compensation premiums and assessments paid by carriers and self-insurance funds.	Division of Workers' Compensation	
154	Coverage and Compliance Automated System	Coverage and compliance of FL employers.	Division of Workers' Compensation	
155	Medical Claim Details	Allow the Medical Team to generate Medical Reports	Division of Workers' Compensation	
156	Code Table Search	Allow the Medical Team search the code from the Medical Data System code tables	Division of Workers' Compensation	
157	Construction Policy Database	Website with access to look up subcontractors with cancelled policies	Division of Workers' Compensation	
158	EDI Trading Partner System	Identifies and manages participation by worker's comp insurers, claim admins, and vendors in the DWC's POC EDI and Claims EDI pgms. Maintains trading partner profiles.	Division of Workers' Compensation	
159	Insurer/Claim Administration Database	Contains current address and contact info for claims admins, self-insurers, and third party admins approved to handle worker's	Division of Workers' Compensation	

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Listing of Department of Financial Services IT Systems

#	Name of IT System	Description of IT System	Agency Program or Function Supported	Notes
		comp claims of injured employees in FL.		
160	Compliance Stop Work Order Database	This lists employers issued a Stop Work Order, which are based upon a determination the employer has failed to secure the payment of compensation resulting in an immediate serious danger to the public health, safety and welfare.	Division of Workers' Compensation	
161	WC Policy Search Page	Can search for expiring, effective or in force policies - can limit to selected counties or carrier	Division of Workers' Compensation	
162	Corporations/ Fictitious Names Database	Dept of State database of Corporations and Fictitious Names indexed differently from their web application to provide additional functionality. The Corporations/Fictitious Names Database.	Division of Accounting & Auditing	
163	Local Government Reporting System	LOGER electronic report submission and reporting system, with web access.	Division of Accounting & Auditing	
164	Facilities Management	Facilities inventory tracking	Division of Administration	
165	Lease Tracking System	Lease Tracking, uses Oracle for Org code data	Division of Administration	
166	Document Processing Request Tracking System	Database system to track documents requested by public.	Division of Administration	
167	Appointment System	Designed to track committee and commission appts for the Chief Financial Officer.	Chief of Staff	
168	Digital Dashboard	SharePoint collaborative site for reporting on initiatives, division projects, etc. for the Agency	Chief of Staff	
169	Civil Remedy Notice	Anyone wishing to put an insurance company and Department on notice of a bad faith claim or potential lawsuit is required to file a notice with the department. This web application is the only means to do so.	Division of Consumer Services	
170	Get Lean, Get Lean Internal,	Florida Get Lean legislative mandate.	Division of Consumer	

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Listing of Department of Financial Services IT Systems

#	Name of IT System	Description of IT System	Agency Program or Function Supported	Notes
	Get Lean Manager		Services	
171	Verify	Insurance company verification of consumer complaints	Division of Consumer Services	
172	Application System Requests (ASR), including Document Number generator	Automated system used to request DIS to make system changes. Includes the Document Number generator program used to assign the next sequential number to a request.	Division of Information System	
173	Enterprise Subscription Processing System	Track changes in tables in any schema thru subscription service. This system was designed to eliminate the need for action-based triggers in foreign systems for data change notification. The application monitoring changes to data for a particular schema simply subscribes through ESPS to identify which table/column data to monitor.	Division of Information System	
174	Mercury Load Runner	Mercury is a tool used in the development process to test applications for stress testing and load testing.	Division of Information System	
175	Mercury Quality Center	Mercury is a testing tool used in the development process to track defects, requirements and scripts for application testing.	Division of Information System	
176	RoboHelp Help System Development	Help system authoring tool used by applications developers to create online help systems for server-based and web-based applications.		
177	OnLine Survey Data Call	Online Data Call Survey capable of conducting multiple surveys and is used by various areas of DFS.	Division of Information System	
178	Insurance Fraud Anti-Fraud Reward Program	Currently being used to log and monitor control numbers for tipsters requesting a reward for providing material information leading to an arrest and conviction of a fraud case.	Division of Insurance Fraud	

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Listing of Department of Financial Services IT Systems

#	Name of IT System	Description of IT System	Agency Program or Function Supported	Notes
179	Market Conduct Case Tracking System (MCCTS)	Market Conduct Tracking consolidating Bureau's Investigations and Exams tracking systems.	Office Insurance Regulation	
180	Data Collection for ARMS	Data Collection for ARMS Rates System., which is the data mgmt system for Personal Passenger Auto rate filings and rate analysis	Office Insurance Regulation	
181	Personal Passenger Automobile Rate Filing	Personal Passenger Automobile Rate Filing System. (Historical data)	Office Insurance Regulation	
182	Automated Rate Tracking System	Company data comes from ACTS (Historical data)	Office Insurance Regulation	
183	Temporary Total Disability Benefits	Tracks temporary employee disability claims. Creates invoices and management reports. This is the total temporary disability monthly collections report that the accounting services supervisor sends to management.	Division of Risk Management	
184	Risk Management e-Forms - Property	Request for coverage for new properties, notice of loss for insured properties, lightning loss of properties forms	Division of Risk Management	
185	Accounts Receivable Tracking System	Monthly Accounts Receivable Tracking System for Claims. This application is designed to keep track of claims by type (claim number, date received, amt requested, date payment is collected, amt collected, any outstanding number)	Division of Risk Management	
186	Skills Manager	Allows State Fire Marshal's office to track employees from date of hire to date of termination. Tracks education, training, certifications, property, firearms qualifications, etc.	State Fire Marshal	
187	Certificate of Deposits	Maintains the certificate of deposit program information. Includes user information previously in the Treasury Directory.	Division of Treasury	
188	Check Cashing	Tracks customers and the checks they cash	Division of Treasury	

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Listing of Department of Financial Services IT Systems

#	Name of IT System	Description of IT System	Agency Program or Function Supported	Notes
189	Deferred Comp Web Page	Deferred Comp Website; The logon page has a login for participants and a login for administrators that offer 2 views of limited data in participant accounts in a static form	Division of Treasury	
190	Construction Policy Cancellation Notification System	System that produces and sends notifications when consolidated sub-contractors cancel their policies	Division of Workers' Compensation	
191	Customer Service Team Tracking and Assignment	The Customer Service Tracking Database was created to ensure that all complaints and requests are documented and tracked, to assure the fullest resolution possible.	Division of Workers' Compensation	
192	EDI & Optical Character Recognition System	Electronic Data Interchange (EDI) and Optical Character Recognition (OCR) systems.	Division of Workers' Compensation	
193	MDS Looking Glass Program	Front-end controller program that controls all aspects of the automated Medical Data System (MDS).	Division of Workers' Compensation	
194	Employer Loss Run Report Website	Used to generate a list of lost-time injuries reported to DWC for an employer since 1990, based upon inputting employer FEID and may select a range of accident dates.	Division of Workers' Compensation	
195	MDS Heartbeat Monitor Program	Monitors continuous operation of all MDS programs and sends out email notification if problems detected.	Division of Workers' Compensation	
196	MDS SSL/FTP Transfer Manager	Automates transfer of data files to and from customer mailboxes, routes files internally. Server in Fletcher building. Server has approx 145 customer mailboxes	Division of Workers' Compensation	
197	MDS Website	Designed to give insurers, or authorized clients who submit medical bills on behalf of insurers, a way to enter, process, monitor, and update a relatively small volume of bills without hiring a vendor. Internal personnel can view bills. (and D367).	Division of Workers' Compensation	
198	Medical Data Warehouse	Designed to allow common users to build	Division of Workers'	

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Listing of Department of Financial Services IT Systems

#	Name of IT System	Description of IT System	Agency Program or Function Supported	Notes
	(SSRS)	queries and pull/analyze medical claims data.	Compensation	
199	Self-Insurer Premium and Assessment Database	System used for the computation of self-insurer compensation premiums and assessments	Division of Workers' Compensation	
200	SDTF - SS Offset Calculator	Social Security payment offset calculator	Division of Workers' Compensation	

(Insert as many rows into table as needed.)

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Listing of DFS Strategic IT Services

Dept/Agency: **Department of Financial Services**
Prepared by: **Jennifer Grant**
Phone: **413-3595**
Date Completed: **October 15, 2010**

1. FINANCIAL SERVICES & ACCOUNTABILITY

The Department of Financial Services will be a vigilant steward of the state's and its people resources and promote financial accountability in state contracts.

The following IT Systems are constituent elements of this Strategic IT Service.

1.a. *FLAIR – Florida Accounting Information Resource system performs the State's accounting and financial management functions. The accounts of all State agencies are coordinated through FLAIR which processes expense, payroll, and retirement, unemployment compensation, and public assistance payments. The Division of Accounting and Audit is the business owner of the FLAIR system.*

1.b. *SPIA – Special Purpose Investment Accounting system operates a special investment program for public entities other than the state such as universities, government foundations and water management districts. The Division of Treasury is the business owner of the SPIA system.*

1.c. *RECEIPTS– Receipts system processes agency deposits and returned items. The Division of Treasury is the business owner of the RECEIPTS system.*

1.d. *WARRANT PROCESSING – processes the payments of state warrants and electronic file transfers (EFT). The Division of Treasury is the business owner of the WARRANT PROCESSING system.*

1.e. *UPMIS – Unclaimed Property Management Information System manages unclaimed property accounts in financial institutions, insurance and utility companies, securities and trust holdings. The Division of Accounting and Audit is the business owner of the UPMIS system.*

1.f. *CODA – Cashiers Office Deposit Automation System is a receipts system. The Division of Administration is the business owner of the CODA system.*

1.g. ***RCP*** *– Receipts Accounting System processes checks received by DFS. The Division of Administration is the business owner of the RCP system.*

2. ENFORCEMENT

The Department of Financial Services will protect the health, safety and welfare of the public.

The following IT Systems are constituent elements of this Strategic IT Service.

2.a. ***ACISS _FRAUD*** *– is an insurance fraud case management system. The Division of Insurance Fraud is the business owner of the ACISS_FRAUD system.*

2.b. ***FCDICE*** *– Funeral & Cemeteries Continuing Education database. The Division of Funeral & Cemeteries is the business owner of FCDICE system.*

3. REGULATORY SERVICES

The Office of Financial Regulation will provide regulation of business that promotes Florida's economy by carrying out the banking, securities and financial laws of the state. The Office of Insurance Regulation will ensure that insurance companies licensed to business in Florida are financially viable, operating within the laws and regulations governing the insurance industry.

The following IT Systems are constituent elements of this Strategic IT Service.

3.a. ***REAL*** *– Regulatory Enforcement and Licensing (REAL) System is used for licensing and oversight of the financial industry. The Office of Financial Regulation is the business owner of the REAL system.*

3.b. ***COREN*** *– Company and Related Entity Navigator (COREN) System. This system is a foundational system that undergirds virtually all OIR systems pertaining to rates, forms, and applications, licensing, and legislatively mandated collection systems. The Office of Insurance Regulation is the business owner of the COREN system.*

4. INSURANCE SERVICES

The Division of Risk Management ensures that participating State of Florida agencies receive quality workers' compensation, liability, federal civil rights,

automobile liability, and property insurance coverage at reasonable rates by providing self-insurance, purchase of insurance, claims handling, and technical assistance in managing risk.

The following IT Systems are constituent elements of this Strategic IT Service.

4.a.   ***STARS*** *– A comprehensive application that performs the State of Florida Agencies' risk management functions. The claims of all the State agencies are coordinated through CS STARS which processes claim information, diary information, recommended reserve amounts on a reserve category, payment requests, claims adjustments, loss prevention, premium calculation, and check-writing. The Division of Risk Management is the business owner of the CS STARS system.*

5. WORKERS' COMPENSATION

The Department of Financial Services Division of Workers' Compensation regulates employers, insurers, and health care providers.

The following IT Systems are constituent elements of this Strategic IT Service.

5.a.   ***INTEGRATED SYSTEMS*** *– is a processing system for claims, penalties, and Carriers. The Division of Workers' Compensation is the business owner of INTEGRATED SYSTEMS.*

5.b.   ***CCAS*** *–Coverage & Compliance Automated System tracks the status, coverage and compliance of Florida employers. The Division of Workers' Compensation is the business owner of the CCAS system.*

5.c.   ***OFFIS*** *– Organized Fast Flow Information System (OFFIS) includes modules for Electronic Data Management (EDM), Monitoring & Audit, Employee Assistance Office (EAO), SDTF, Bureau of Compliance, Claims and all other administrative functions. The Division of Workers' Compensation is the business owner of the OFFIS system.*

5.d.   ***CPS*** *– Central Performance System evaluates data submitted to the division, aggregates the info, identifies all penalties, automates and tracks all communications and cash receipts between the Division of WC and the insurers on each penalty. The Division of Workers' Compensation is the business owner of the CPS system.*

6. FIRE SAFETY

The Department of Financial Services, State Fire Marshal shall effectively prevent and discourage arson and arson related crimes for the protection of Florida's citizens and their property.

The following IT Systems are constituent elements of this Strategic IT Service.

6.a. *ACIS_SFM – is an investigative database system for fire and arson investigations. State Fire Marshal is the business owner of the ACIS_SFM system.*

7. EDUCATION

The Department of Financial Services customers will receive timely, helpful and accurate information upon which they can act to protect themselves and their assets.

The following IT Systems are constituent elements of this Strategic IT Service.

7.a. *Service Point – is a consumer service and support system that allow consumers to file and check on complaints against insurance companies and agents and allow insurance companies to respond to disaster complaints. The Division of Consumer Services is the business owner of the Service Point system.*

8. CONSUMER ADVOCACY

The Department of Financial Services will protect customer interests inside and outside state government.

The following IT Systems are constituent elements of this Strategic IT Service.

8.a. *FACS_DICE – Funeral & Cemeteries Continuing Education database. The Division of Funeral & Cemeteries is the business owner of the FACS_DICE system.*

9. LICENSING

The Department of Financial Services protects the public and insurance industry by timely and accurately licensing competent individuals and entities and fairly investigating alleged violations of Florida's insurance laws.

The following IT Systems are constituent elements of this Strategic IT Service.

9.a. **ALIS –** *Automated Licensing Information System tracks licensing information on agents doing business in Florida. The Division of Agent and Agent Services is the business owner of the ALIS system.*

9.b. **BAAITS –** *Bureau of Agent and Agency Investigation Tracking System (BAAITS) is a tracking and case management system. The Division of Agent & Agency Services is the business owner of the BAAITS system.*

9.c. **DICE** *– Department of Insurance Continuing Education (DICE) is an online agent and agency licensing system. The Division of Agent and Agency Services is the business owner of the DICE system.*

9.d. **FAC_ALIS -** *Funeral & Cemeteries Agency Licensing Information System is a database of licensed morticians, funeral directors, etc. in the State of Florida. The Division of Funeral & Cemeteries is the business owner of the FACS_ALIS system.*

Schedule VII: Agency Litigation Inventory

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

Agency:	Department of Financial Services
Contact Person:	David Hershel, Assistant General Counsel

Phone Number:	(850) 413-1686

Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	Florida Sheriff's Workers' Compensation Self-Insurance Fund v. Department of Financial Services, Division of Workers' Compensation
Court with Jurisdiction:	The last court with jurisdiction was the First District Court of Appeal.
Case Number:	Department Case No. 91386-07-WC; DOAH Case No. 08-5948; 1st DCA Case No. 1D09-4901
Summary of the Complaint:	Petitioner is requesting refunds from the Special Disability Trust Fund ("SDTF" in the amount of $6,638,301.35, arguing that the statute cannot be constitutionally applied against Petitioner. If successful, Petitioner would not owe future assessments to the fund. An adverse decision might apply to other similarly situated entities.
Amount of the Claim:	$6,638,301.35
Specific Statutes or Laws (including GAA) Challenged:	Section 440.49, Florida Statutes.
Status of the Case:	The First District Court of Appeal entered a Per Curiam Affirmed Opinion on 7/7/10 holding that the SDTF assessment as applied to Appellant is constitutional. Mandated issued 7/23/10. Appellant invoked discretionary jurisdiction to the Florida Supreme Court on 8/6/10.

Who is representing (of record) the state in this lawsuit? Check all that apply.	X	Agency Counsel
		Office of the Attorney General or Division of Risk Management
		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).	

Office of Policy and Budget – September 2010

Schedule VII: Agency Litigation Inventory

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

Agency:	Department of Financial Services
Contact Person:	Lesley Mendelson, Assistant General Counsel
Phone Number:	850-413-3604

Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	Galaxy Fireworks, Inc., et al. v. The Honorable Charlie Christ, Governor, and the State of Florida
Court with Jurisdiction:	Hillsborough County Circuit Court
Case Number:	98-CA-009608
Summary of the Complaint:	Inverse condemnation action alleging that issuance of Executive Order 98-165 by then Governor Buddy McKay deprived the Plaintiffs of the opportunity to sell fireworks for the July 1998 fireworks sales season, and the prohibition constituted a compensable taking.
Amount of the Claim:	**$1,034.844**
Specific Statutes or Laws (including GAA) Challenged:	Executive Order 98-165
Status of the Case:	Case reopened 5/26/10; ongoing discovery regarding second post liability hearing damages.

Who is representing (of record) the state in this lawsuit? Check all that apply.		
		Agency Counsel
	X	Office of the Attorney General or Division of Risk Management
		Outside Contract Counsel
If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).		

Schedule VII: Agency Litigation Inventory

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

Agency:	**Office of Insurance Regulation**
Contact Person:	Sheila Bludworth	Phone Number:	413-5021

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:	$0
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.		Agency Counsel
		Office of the Attorney General or Division of Risk Management
		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 2010

Schedule VII: Agency Litigation Inventory

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

Agency:	**Office of Financial Regulation**		
Contact Person:	Robert Beitler	Phone Number:	(850) 410-9896

Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	Alkow, et al. v. Pearlman, et al.
Court with Jurisdiction:	U.S. District Court, Southern District of New York
Case Number:	07-CV-2285(GBD)
Summary of the Complaint:	This is a lawsuit by various victims of a $300 million investment scam perpetrated by Lou Pearlman of Orlando. In addition to suing the persons actually responsible for the scam, plaintiffs sued the OFR, the Florida Governor, the Florida Attorney General, and various state employees.
Amount of the Claim:	Plaintiffs asked for equitable relief only, but also asked that the state's limits to it's waiver of sovereign immunity be struck. So it appears that plaintiffs intend to seek monetary damages. The OFR believes the entire claim to be without merit based on the facts and all existing case law in Florida.
Specific Statutes or Laws (including GAA) Challenged:	Section 768.28, F.S.
Status of the Case:	The judge has entered an order dismissing the Florida Attorney General and the individual OFR defendants from the suit. But the other motions to dismiss filed by the state have not yet been ruled upon. Most recently, plaintiffs' lead attorney was disbarred by the state of New York. No activity has taken place in this case in well over a year.

Who is representing (of record) the state in this lawsuit? Check all that apply.		Agency Counsel
	X	Office of the Attorney General or Division of Risk Management
	X	Outside Contract Counsel

If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).	NA

Schedule VII: Agency Litigation Inventory

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

Agency:	**Office of Financial Regulation**		
Contact Person:	Robert Beitler	Phone Number:	(850) 410-9896

Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	Young v. Crist, State of Florida, and Office of Financial Regulation
Court with Jurisdiction:	Circuit Court, Hillsboro County, Florida
Case Number:	08-30380 CA
Summary of the Complaint:	This is similar to the Alkow suit filed in federal court in New York, also reported on a Schedule VII. Some of the same attorneys are involved on behalf of the plaintiffs, as are many of the same plaintiffs. The essence of the claim against OFR is the allegation that OFR was negligent and did not discover this scam soon enough, and therefore should reimburse the losses of those who invested in it.
Amount of the Claim:	Unspecified. But the OFR is of the opinion that based on the facts and all known case law, the claims have no merit.
Specific Statutes or Laws (including GAA) Challenged:	
Status of the Case:	The trial court has entered an Order dismissing all claims against OFR. That Order is currently being appealed. OFR is being represented by private counsel Harry Chiles, who is in the process of preparing an answer brief.

Who is representing (of record) the state in this lawsuit? Check all that apply.		Agency Counsel
	X	Office of the Attorney General or Division of Risk Management
	X	Outside Contract Counsel

If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).	NA

Department of Financial Services
Chief Financial Officer

Chief Financial Officer
00020   9770

Sr. Executive Assistant-SES
00258   8927

Consumer Advocate

Insurance Consumer Advocate
01182   3503

Office of the Inspector General

Inspector General
01277   9238

Senior Attorney (2)
01767, 00459   7738

Government Analyst
00409   0714

Actuary
01704   3554

Senior Management Analyst II-SES
01166   2225

Senior Management Analyst II
01766   2225

Senior Management Analyst I-SES (2)
04507   2224

Senior Management Analyst II-SES
04370   2225

Audit Section

Financial Administrator-SES
04839   1587

Administrative Assistant III-SES
04621   0714

Management Review Specialist-SES (2)
00120, 01279   2239

Investigations Section

Sr. Management Analyst II-SES
04840   2225

Management Review Specialist - SES (2)
04547, 04841   2239

Chief of Staff
00035   9780

CFO Total FTE: 2
Consumer Advocate FTE: 9
Inspector General FTE: 8

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

Eff 08-01-10
Rev 9-24-10   **1-0-0**

Department of Financial Servies
Chief Financial Officer
Office of the Chief of Staff

CHIEF OF STAFF
00035   9780

Deputy Chief of Staff
00506   7784

Sr. Executive Assistant-SES
00258   8927

Resource Management Administrator-SES
00950   2980

Office of Strategic Planning

Research and Planning Administrator-SES
01280   8907

Sr. Management Analyst II-SES
00831   2225

Sr. Management Analyst II-SES
00625   2225

Director of Treasury
00021   9774

General Counsel
01024   8579

Deputy Chief Financial Officer
00954   9150

Deputy Chief Financial Officer
01560   9150

Deputy Chief Financial Officer
00632   9150

- Legal Services

- Consumer Services
- Funeral, Cemetery & Con Srvs
- Ins. Agents & Agy Services
- My Safe Florida Home
- Rehabilitation & Liquidation

- Administration
- Accounting & Auditing
- Information Systems
- Risk Management

- Insurance Fraud
- State Fire Marshal
- Workers' Compensation

COS Total FTE: 4   ❖   **FTE not Included in this Section**
Dotted Line = Administratively Assigned. FTE not counted.
Italic = Organizationally Assigned. Reports elsewhere administratively. FTE counted.

Eff 7-1-09
Rev 11-30-09   **2-0-0**

Department of Financial Servies
Chief Financial Officer
Office of the Chief of Staff
Office of Strategic Planning

```
                          Research and Planning
                          Administrator-SES
                          01280      8907

                  Systems Project
                  Consultant
                  04884      2109
```

```
Sr. Management                  Sr. Management                  Education & Training
Analyst Supervisor-SES          Analyst II-SES (3)              Administrator-SES
04157      2228                 00019, 00146, 01553             00794      8455
                                2225
```

```
Office Automation                                               Staff Assistant
Specialist I                                                    00789      0120
00153      2041

Sr. Management                                                  Sr. Management
Analyst II-SES (2)                                              Analyst II-SES
01320, 04447      2225                                          01271      2225

Government Analyst II                                           Sr. Management
01320      2225                                                 Analyst I-SES
                                                                00769      2224
```

OSP Total FTE: 14   ❖   **FTE not Included in this Section**
Dotted Line = Administratively Assigned. FTE not counted.
Italic = Organizationally Assigned. Reports elsewhere administratively. FTE counted.

Eff 02-01-10
Rev 03-22-10

2-0-1

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

```
DEPUTY CHIEF
OF STAFF
00506    7784
```

```
Sr. Management
Analyst I-SES
00760    2225
```

```
Executive Assistant
00047    7939
```

Strategic Markets Assessment Unit

```
Sr. Management
Analyst II-SES
00473    2225
```

```
Research
Associate (2)
01846, 01847    3122
```

```
Economic Analyst
01845    3215
```

**OFFICE OF
COMMUNICATIONS**

**OFFICE OF
CABINET AFFAIRS**

**OFFICE OF LEGISLATIVE
AFFAIRS**

```
PRESS SECRETARY
00276    3499
```

```
CHIEF
CABINET AIDE
00567    8930
```

```
DIRECTOR OF
LEGISLATIVE AFFAIRS
00542    7782
```

DCOS FTE: 8   ❖   **FTE not Included in this Section**
Dotted Line = Administratively Assigned. FTE not counted.
Italic = Organizationally Assigned. Reports elsewhere administratively. FTE counted.

Eff 06-01-09
Rev 11-30-09   **2-1-1**

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

```
                    Press Secretary (Director of
                         communications)
                      00276        3499

        Executive                      Administrative
     Assistant II-SES                   Assistant II
     01322     0720                   04739      0712


   Information                                 Sr. Management Analyst Sup-
   Specialist III-SES                          SES                (Deputy
   00866     3733                              Press Secretary)
                                               00958      2228

      Administrative                              Senior Management Analyst I-
     Assistant III-SES                                      SES
     01282     0714                                 00629       2225


       Government
        Analyst I
     00173     2224
```

Total FTE: 8   ❖   **FTE not Included in this Section**
Dotted Line = Administratively Assigned. FTE not counted.
Italic = Organizationally Assigned. Reports elsewhere administratively. FTE counted.

Eff 07-01-09
Rev 11-30-09   **2-1-2**

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

```
                    CHIEF
                 CABINET AIDE
                 00567    8930
                       |
        ┌──────────────┴──────────────┐
        │                             │
     Senior                     Administrative
  Cabinet Aide-SES            Assistant III-SES
  00367      8929             00089      0714
```

Total FTE: 3 ❖ FTE not Included in this Section
Dotted Line = Administratively Assigned. FTE not counted.
Italic = Organizationally Assigned. Reports elsewhere administratively. FTE counted.

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

```
                        ┌─────────────────────────┐
                        │      DIRECTOR OF         │
                        │  LEGISLATIVE AFFAIRS     │
                        │   00542      7782        │
                        └─────────────────────────┘
```

Senior Management Analyst I-SES 00509 2224	Executive Assistant II-SES 01322 0720	Staff Assistant-SES 01168 0120

Total FTE = 3   ❖   **FTE not Included in this Section**
Dotted Line = Administratively Assigned. FTE not counted.
Italic = Organizationally Assigned. Reports elsewhere administratively. FTE counted.

Eff 09-01-05
Rev 11-30-09   **2-1-4**

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

Director
of Treasury
00021   9774

Check Cashing Service Section

Management Review Specialist-SES
00654   2239

Senior Management Analyst I-SES
00345   2224

Administrative Assistant II-SES
00294   0712

Accountant IV
00056   1437

Financial Administrator-SES
01061   1587

Accountant I-SES
00041   1427

Sr. Management Analyst II-SES
00336   2225

Fiscal Assistant II
00007   1418

❖   Chief of Collateral Management
00063   7961

❖   Chief of Funds Management
00050   7960

❖   Chief of Deferred Compensation
00370   7627

Director's Ofc FTE = 6
Check Cashing FTE = 9
Division Total FTE = 67.5

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

Eff 8-26-10
Rev 9-24-10
Analyst: SB

2-2-1

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

```
                              ┌──────────────────────┐
                              │ Chief of Collateral  │
                              │     Management       │
                              │  00063      7961     │
                              └──────────────────────┘
```

Security Analysis   **Transaction Proc/Audit**

Financial Administrator-SES 00246 1587	Financial Examiner/ Analyst II 00626 1564	Financial Examiner/ Analyst I 00317 1554	Financial Administrator-SES 01060 1587

Financial Specialist
01128   1566

Financial Examiner/
Analyst I
01126   1554

Financial Examiner/
Analyst II
00326   1564

Fiscal Assistant II
00076   1418

Records Specialist
00072   0130

Accountant Supervisor II-SES
01129   1439

Accountant II (5)
00059, 00474, 00623,
01134, 00284   1427

Financial Examiner/
Analyst II
00162   1564

Financial Examiner/
Analyst I
00287   1554

FTE = 18   ❖   **FTE not Included in this Section**
Dotted Line = Administratively Assigned. FTE not counted.
Italic = Organizationally Assigned. Reports elsewhere administratively. FTE counted.

Eff 8-26-10
Rev 9-24-10
Analyst: SB

2-2-2

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

Chief of Funds Management
00050   7960

Financial
Administrator-SES
01124   1587

Administrative
Assistant II
00342   0712

Secretary Specialist
00315   0105

Cash Management Services

Fund Receipts/Recon/ Exp

Invest Public Funds

Financial
Administrator-SES
00231   1587

Financial
Administrator-SES
00791   1587

Financial
Administrator-SES
01090   1587

Financial
Administrator-SES
00896   1587

Financial Specialist
01356   1566

Acctg Systems Analyst
01132   1440

Government Analyst II
01355   2225

Accounting Services
Administrator-SES
01133   1448

Accountant III (3)
00304, 01058, 01059
1436

Accountant I (.5)
01369   1427

Financial Specialist
00049   1566

Accountant III
00043   1436

Accountant IV
00319   1437

Financial Examiner/
Analyst II
00270   1564

Accounting Services
Administrator-SES
01130   1448

Accountant I
00065   1427

Accountant II (3)
00344, 01131, 00028
1430

Financial
Specialist (3)
00046, 01357, 01125
1566

Senior Investment
Specialist-Treasurer
00181   1597

FTE = 28.5

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

Eff: 8-26-10
Rev: 9-24-10
Analyst: SB

2-2-3

Department of Financial Services
Division of Treasury
Bureau of Deferred Compensation

```
┌─────────────────────────────┐
│  Chief of Deferred Compensation │
│     00370        7627       │
└─────────────────────────────┘
              │
              │        ┌─────────────────────┐
              │        │    Administrative    │
              │        │     Assistant II     │
              │        │   01056       0712   │
              │        └─────────────────────┘
    ┌─────────┴──────────┐           │
┌─────────────────────┐     ┌─────────────────────┐
│ Senior Management   │     │     Financial       │
│ Analyst I-SES       │     │   Specialist-SES    │
│  00187      2224    │     │  00196      1566    │
└─────────────────────┘     └─────────────────────┘
         │                            │
┌─────────────────────┐     ┌─────────────────────┐
│     Benefits        │     │    Accountant I     │
│   Technician (2)    │     │  00195      1427    │
│ 00313, 00330  1237  │     └─────────────────────┘
└─────────────────────┘     ┌─────────────────────┐
┌─────────────────────┐     │ Accountant III (.5) │
│     Deferred        │     │  00307      1436    │
│   Compensation      │     └─────────────────────┘
│   Specialist (2)    │     ┌─────────────────────┐
│  00723, 00726       │     │   Accountant IV     │
│       3514          │     │  01432      1437    │
└─────────────────────┘     └─────────────────────┘
                            ┌─────────────────────┐
                            │   Accountant IV     │
                            │  00343      1437    │
                            └─────────────────────┘
                            ┌─────────────────────┐
                            │    Accountant I     │
                            │  00194      1427    │
                            └─────────────────────┘
```

FTE = 12.5

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

Eff 8-26-10
Rev 9-24-10
Analyst: SB

2-2-4

Department of Financial Services
Office of the General Counsel

```
┌─────────────────────────┐
│     General Counsel      │
│   01024       8579       │
└─────────────────────────┘

┌ ─ ─ ─ ─ ─ ─ ─ ─ ─ ┐      ┌─────────────────────────┐
    Attorney                    Administrative
│                   │      │  Assistant III - SES     │
   04932    7736            00590        0714
└ ─ ─ ─ ─ ─ ─ ─ ─ ─ ┘      └─────────────────────────┘

                          ┌─────────────────────────┐
                          │ ❖      Director of       │
                          │     Legal Services       │
                          │      00973      8578     │
                          └─────────────────────────┘
```

Office of General Counsel FTE: 2   ❖   **FTE not Included in this Section**
Dotted Line = Administratively Assigned. FTE not counted.
Italic = Organizationally Assigned. Reports elsewhere administratively. FTE counted.

Eff 01-06-10
Rev 01-11-10   **3-0-0**

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

Director of Legal Services
00973   8578

Senior Attorney
00785   7738

Administrative
Assistant III-SES (2)
00538, 03534   0714

Management
Review Specialist-
SES
00199   2239
(see 3-1-1)

Management Review
Specialist-SES
00036   2239

Executive Senior
Attorney
00583   7739

Administrative
Assistant II
00168   0712

Clerk
Specialist (.5)
00172   0003

Staff Assistant
00782   0120

Records Specialist
00193   0130

Assistant Director of Legal
Services
00964   4203

Administrative
Assistant II
01093   0712

G E N E R A L   I N S U R A N C E   I S S U E S

Attorney
00721   7736

Senior Attorney (4)
00578, 00881, 01424,
04012   7738

Staff Assistant (3)
00204, 00323, 01328
0120

CONTRACTS & RULEMAKING

❖ Executive Senior
Attorney
01702   7739

PROSECUTION & ENFORCEMENT

❖ Executive Senior
Attorney
01025   7739

CONSTITUTIONAL, WC & SERVICE
OF PROCESS ISSUES

❖ Executive Senior
Attorney
04863   7739

Director's Ofc FTE: 11.5
General Ins Issues FTE: 8
Division Total FTE: 85.5

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

Eff 08-01-2010
Rev 08-20-2010
Analyst: SB

3-1-1

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

❖ ASST DIRECTOR
OF LEGAL SERVICES
00964   4203

CONTRACTS & RULEMAKING

Executive Senior
Attorney
01702   7738

Senior Attorney (4)
00550, 00907, 04075,
04619   7738

Senior Attorney
00398   7738

Staff Assistant
00157   0120

**PROSECUTION &
ENFORCEMENT**

Executive Senior
Attorney
01025   7739

Attorney
00476   7736

Senior Attorney (2)
01003, 00893
7738

Administrative
Assistant II
00401   0712

WC COMPLIANCE

Senior Attorney
03253   7738

Senior Attorney (3)
01649, 03047, 03503
7738

Attorney (2)
01053, 03186   7736

Administrative
Assistant II
03243   0712

Staff Assistant
03235   0120

AGT & AGY COMPLIANCE

Executive Senior
Attorney
00596   7739

Senior Attorney (4)
00460, 00568,
03093, 01425
7738

Attorney
04932   7736

Senior Attorney
00609   7738

Senior Attorney
00134   7738

Sr. Management
Analyst II-SES
00656   2225

Administrative
Assistant II (2)
00125, 01055
0712

Attorney (2)
03154, 04888
7736

Senior Attorney
00232   7738

Senior Attorney
01703   7738

Staff Assistant (4)
00335, 00582,
00645, 04050
0120

**CONSTITUTIONAL, WC &
SERVICE OF PROCESS ISSUES**

Executive Senior
Attorney
04863   7739

SERVICE OF PROCESS

*Management
Review Specialist-
SES
00199   2239
(see 3-1-2)*

Staff
Assistant-SES
00730   0120

Clerk Specialist
00115   0003

Senior Word Processing
Systems Operator (3)
00316, 00466, 01252
0093

Word Processing
Systems Operator
Supervisor-SES
00149   00096

Sr Word Pro-
cessing Systems
Operator (3)
00101, 00451,
00492   0093

GENERAL WC ISSUES

Executive Senior
Attorney
03528   7739

Senior Attorney (3)
01648, 03254,
05015   7738

Senior Attorney
03237   7738

Staff Assistant
03234   0120

Administrative
Assistant II
03002   0712

Staff Assistant
00584   0120

**GENERAL CONSTI-
TUTIONAL ISSUES**

Senior Attorney (4)
00878, 00956,
04473, 04763
7738

Attorney
04885   7736

Staff Assistant (2)
00357, 00565
0120

Administrative
Secretary
04013   0108

Total FTE: 66

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

Deputy Chief financial officer
00954   9150

Executive Assistant II-SES
00493   0720

❖ **Director of Consumer Services**
00702   9775

❖ **Director of Funeral, Cemetery and Consumer Services**
01708   9104

❖ **Director of** Insurance Agents & Agency Services
00090   8588

❖ **Director of Rehabilitation & Liquidation**
00067   9772

Deputy CFO: 2   ❖   **FTE not Included in this Section**
Dotted Line = Administratively Assigned. FTE not counted.
Italic = Organizationally Assigned. Reports elsewhere administratively. FTE counted.

Eff 07-01-10   4-0-0
Rev 07-07-10

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

```
                        Director of
                      Consumer Services
                      00702      9775
```

```
   Government                          Administrative Assistant I
    Analyst I                          00177        0709
  00248     2224
```

Communications & Education
(Reports administratively to BEAR)

```
   Administrative                      Communications
  Assistant III-SES                    Coordinator-SES
  00245      0714                      00013     7596
```

Tallahassee

```
                                       Insurance Specialist III (2)
                                       00910, 00991      3512
```

```
  Assistant Director of Consumer
          Services                     Government Analyst I (2)
       00624      9576                  00238, 04567      2224
```

```
   ❖    Chief of          ❖   Chief of Consumer       Senior Management
  Consumer Outreach            Assistance               Analyst I-SES (4)
    00572    7671            00700      7670          04150 (FtM), 04383 (Tpa), ,
                                                       04587 (Jax), 04742 (Orl)
                                                              2224
```

```
  Systems Programming      ❖  Chief of Education, Advocacy,    Senior Management
      Consultant                  & Research                   Analyst II-SES
    01854    2117                00024      8933              00023 (Mia)    2225
```

```
                                                             Government Analyst I (3)
                                                             04646, 04906 (Mia), 04458
                                                                (Wpb)    2224
```

Director's Ofc: 6
Communications & Edu: 14
Division Total FTE: 126.5

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

Eff 08-01-10
Rev 09-24-10

4-1-1

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

```
Chief of Consumer
Assistance
00700      7670
```

```
Senior Management Analyst
II-SES
00064      2225
```

```
Administrative
Assistant I-SES
00355      0709
```

```
Government
Analyst I
00053      2224
```

```
Insurance
Specialist III (7)
00107, 00277, 00777, 00875,
00876, 01350, 01359
```

```
Staff Assistant
00706      0093
```

```
Insurance
Administrator C-SES
00045      3533
```

```
Senior Management Analyst
Supervisor-SES
00554      2228
```

```
Senior Management Analyst
Supervisor-SES
00221      2228
```

```
Insurance
Specialist I (4.5)
00229 (.5 FTE)
00325, 00483,
00544, 00992
3508
```

```
Insurance
Specialist III (12)
00022, 00277, 00412, 00641,
00868, 00875, 00877, 00904,
00989, 01350, 01358
3512
```

```
Government
Analyst I (2)
00463, 00767      2224
```

```
Insurance
Specialist III (12)
00107, 00438, 00471 00500,
00768, 00777, 00778, 00876,
01351, 01353, 01359, 01360
3512
```

```
Insurance
Specialist II (3)
00272, 00993, 01028
3509
```

```
Government
Analyst I
00240      2224
```

Bureau Total FTE: 42.5

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

Eff 08-23-10   **4-1-2**
Rev 08-26-10

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

Chief of
Consumer Outreach
00572   7671

Staff Assistant
00870   0120

LARGO, UNIT 1

LARGO, UNIT 2

Sr. Management Analyst
Supervisor-SES
01032   2228

Sr. Management Analyst
Supervisor-SES
00297   2228

Insurance
Specialist III (11)
00027, 00406, 00470,
00872, 01035, 01036,
01352, 01471, 01476,
01571, 01759   3512

Insurance
Specialist III (11)
00066, 00198, 00203,
00207, 00281, 00395,
00996, 01034, 01361,
01467, 01570   3512

Bureau Total FTE: 26

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

Eff 08-24-09
Rev 09-23-09   **4-1-3**

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

Chief of Education, Advocacy & Research
00024   8933

Government Analyst I (3)
00148, 00328, 01568
2224

Staff Assistant
00068   0120

Records & Dispute Programs

Senior Management Analyst I-SES
01272   2224

Management Analyst I-SES
00990   2209

Operations Analyst I (3)
00705, 00773, 01758
2209

Staff Assistant
00865   0120

Correspondence & Get Lean

Senior Management Analyst Supv-SES
00074   2228

Insurance Specialist III (7)
00057, 00279, 00444, 00995, 01006, 01468, 01594   3512

Insurance Specialist II (3)
00468, 00861, 01037   3509

Staff Assistant
00779   0093

Records Technician
01595   0045

Regulation & Quality Control

Senior Management Analyst Supv -SES
001567   2228

Senior Management Analyst II-SES (4)
00453, 00482, 00862, 01470
2225

Government Analyst II (2)
00780, 01475   2225

Government Operations Consultant II (5)
00069, 00126, 00260, 00622, 01033   2236

Government Analyst I
00070   2224

Government Analyst I (3)
04458 (Wpb), 04646 (MIA), 04906 (MIA)

Communications & Education

Communications Coordinator-SES
00013   7596

Administrative Assistant II
00992 (Tlh)   0712

Senior Management Analyst II-SES
00867 (DB)   2225

Senior Management Analyst I-SES (6)
04150 (FtM), 04383 (Tpa), , 04567 (Lar), 04587 (Jax), 04742 (Orl)   2224

Government Analyst I
00238 (Tlh)   2224

Insurance Specialist III (3)
00910 (Tlh), 00991 (Tlh), 01569 (Tlh)   3512

Senior Management Analyst II-SES
00023 (Mia)   2225

Total FTE: 38   ❖   **FTE not Included in this Section**
Dotted Line = Administratively Assigned. FTE not counted.
Italic = Organizationally Assigned. Reports elsewhere administratively. FTE counted.

Eff 08-23-10
Rev 9-24-10
Analyst: SB

4-1-4

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

```
                    ┌─────────────────────────────┐
                    │        Director of          │
                    │   Agent & Agency Services    │
                    │     00090        8588        │
                    └─────────────────────────────┘

    ┌─────────────────────────────┐
    │  Government Operations       │
    │       Consultant I           │
    │    00901        2234         │
    └─────────────────────────────┘

    ┌─────────────────────────────┐     ┌─────────────────────────────┐
    │  Operations & Management     │     │  Senior Management Analyst   │
    │    Consultant I-SES          │     │          II-SES              │
    │    00052        0712         │     │    00080        2225         │
    └─────────────────────────────┘     └─────────────────────────────┘

                    ┌─────────────────────────────┐
                    │     Assistant Director       │
                    │   of Agent & Agency Services │
                    │     00314        8292        │
                    └─────────────────────────────┘

    ┌─────────────────────────────┐     ┌─────────────────────────────┐
    │    Government Analyst II     │     │        Management            │
    │                              │     │      Analyst I-SES           │
    │    00699        2225         │     │    00711        2209         │
    └─────────────────────────────┘     └─────────────────────────────┘

    ┌─────────────────────────────┐     ┌─────────────────────────────┐
    │         Chief of             │     │         Chief of             │
    │      Investigation           │     │        Licensing             │
    │    00356        9471         │     │    00099        7673         │
    └─────────────────────────────┘     └─────────────────────────────┘
```

Division Total FTE = 161
Office of the Director FTE = 6

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

Eff 08-04-10
Rev 08-10-10   **4-2-1**

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

Chief of Investigation
00356   9471

❖ **Assistant Chief of Investigation**
00965   7075

Resource Management Specialist-SES
00532   2215

Government
Analyst II (2)
00922, 01141   2225

Financial Administrator-SES
01207   1587

Administrative Assistant I-SES
01151   0709

Administrative Secretary
01434   0108

Sr. Management Analyst I-SES
01210   2224

Senior Clerk
00329   0004

Government Analyst II
00184   2225

Sr. Management Analyst Supervisor -SES
01211   2228

Management Analyst I-SES
01237   2209

Insurance Analyst II (3)
00923, 01519, 01776
3518

Records Technician
01240   0045

Insurance Analyst II
00749   3518

Bureau Total FTE = 78
Office of the Chief = 23

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

Eff 07-25-10
Rev 07-25-10

4-2-2

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

Assistant Chief of Investigation
00965   7075

Administrative Assistant II
00640   0712

Field Insurance Reg Administor-SES
000122   3534

Administrative Secretary
01214   0108

Insurance Analyst II
00503   3518

Staff Assistant
01147   0108

Government Analyst I
01427   2224

Government Analyst II
01509   2225

Sr. Management Analyst I-SES
01210   2224

Insurance Analyst II (3)
00289, 00952, 01433
3518

Financial Examiner/Analyst I
00953   1554

FTE = 2

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

Eff 9-1-2010
Rev 09-30-2010   **4-2-3**

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

❖
❖ **Assistant Chief of Investigation**
00965   7075

Financial Examiner / Analyst I
01443   1554

Insurance Analyst II
01143   3518

Miami Field Insurance Regional Administrator-SES
00792   3534

Administrative Secretary
00793   0108

Insurance Analyst II (5)
00033, 00225, 00266, 01510, 01513
3518

Financial Examiner/ Analyst I
00267   1554

West Palm Beach Field Insurance Regional Administrator -SES
00249   3534

Administrative Secretary
01215   0108

Insurance Analyst II (5)
00025, 00966, 01515, 01614, 00535   3518

Government Analyst I (2)
00283, 00741   2224

Ft Myers Field Insurance Regional Administrator-SES
01442   3534

Administrative Secretary
1149   0108

Insurance Analyst II (2)
1140, 1514   3518

Government Analyst I
0602   2224

Ft Lauderdale Field Insurance Regional Administrator -SES
00971   3534

Administrative Secretary
01148   0108

Insurance Analyst II (5)
00096, 00259, 01142 01511, 01775   3518

Government Analyst I
00190   2224

FTE 33

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

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

❖ **Assistant Chief of Investigation**
00965   7075

Jacksonville
Field Insurance Regional
Administrator -SES
00094   3534

Administrative
Secretary(2)
00219, 01150   0108

Insurance
Analyst II (3)
01518, 01520, 00256
3518

Financial Examiner/
Analyst II
01616   1564

Financial Examiner/
Analyst I
001443   1554

St Petersburg
Field Insurance Regional
Administrator -SES
01442   3534

Administrative
Secretary
00018   0108

Insurance Analyst II (5)
00921, 01213, 01512, 01613,
00558   3518

Government
Analyst I (2)
01429, 01517   2224

Insurance Analyst II
01143   3518

Pensacola

Insurance
Analyst II
00503   3518

Administrative
Secretary
01214   0108

Orlando
Field Insurance Regional
Administrator -SES
01208   3534

Administrative
Secretary
00443   0108

Insurance
Analyst II (5)
00295, 00555, 00557,
01516, 01615   3518

Financial Examiner/
Analyst I
00234   1554

FTE = 29

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

Eff 08-16-10
Rev 09-7-10

4-2-5

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

Chief of Licensing
00099   7673

System Project Administrator-SES
01426   2109

Management Analyst II-SES
00776   2212

Government Analyst I
00902   2224

Administrative Assistant I-SES
00105   0709

Government Analyst II
00103   2225

Education Team

Sr. Mgt. Analyst Supervisor-SES
01757   2228

Assistant Chief of Licensing
00419   7761

Regulatory Consultant (5)
01021, 01243, 01244, 00213, 01212   0442

Records Management

❖   **Insurance Administrator C-SES**
00308   3533

Government Analyst I
00516   2224

Records Technician (2)
00906, 01236   0045

Qualifications Section

❖   **Sr. Mgt. Analyst Supervisor-SES**
00169   2228

Staff Assistant
00547   0120

Senior Management Analyst I-SES
00104   2224

Bureau of FTE = 69

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

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

```
┌─────────────────────────┐
│        Insurance        │
│  Administrator C-SES     │
│    00308      3533       │
└─────────────────────────┘
            │
            │        ┌─────────────────────────┐
            │        │   Public Information     │
            ├────────│       Specialist         │
            │        │    01138     3738        │
            │        └─────────────────────────┘
            │
┌───────────────────────────────────────────┐
│                  Records                   │
│             Technician (14)                │
│  00011, 00071, 00106, 00117, 00136,        │
│  00211, 00856, 00903, 00905, 00924         │
│  01238, 01241, 01242      0045             │
└───────────────────────────────────────────┘
```

Total Section FTE = 15

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

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

Sr. Mgt.
Analyst Supervisor-SES
00169   2228

Insurance
Administrator C-SES
00129   3533

Insurance
Administrator C-SES
00925   3533

Insurance Specialist II
00464   3509

Regulatory
Consultant (8)
00044, 00077, 00108, 00111,
00263, 00469, 01239, 00086
0442

Insurance
Specialist II (13)
00210, 00237, 00388, 00417,
00414, 00422, 00497, 00499,
00948, 00968, 01152, 01289,
01428   3509

Regulatory
Consultant (8)
00151, 00185, 00189, 00408,
00927, 01176, 01755, 01756
0442

Records Technician
00257   0045

FTE = 34

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

Eff 08-04-10
Rev 08-10-10   4-2-8

Department of Financial Services
Division of Funeral, Cemetery and Consumer Services

Director of Funeral, Cemetery & Consumer Services
01708   9104

Administrative Assistant I-SES
04865   0709

Financial Examiner/Analyst II
04687   1564

Assistant Director
04833   8076

Licensing

Administrative Assistant III-SES
01709   0714

Financial Examiner/Analyst II
01711   1564

Financial Examiner/Analyst I
04477   1554

Financial Control Analyst
04068   1567

Financial Specialist (2)
04481, 01886   1566

Examination-North

Tallahassee
Financial Examiner/Analyst Supervisor-SES
00029   1575

Pensacola
Financial Examiner/Analyst II
04892   1564

Miami
Financial Examiner/Analyst I
04508   1554

Tallahassee
Financial Specialist
01720   1566

Orlando
Financial Examiner/Analyst II
04785   1564

Orlando
Financial Specialist
04501   1566

Examination-Central

Tampa
Financial Examiner/Analyst Supervisor-SES
01712   1575

Tampa
Financial Examiner/Analyst I
01721   1554

West Palm Beach
Financial Specialist
04860   1566

Tampa
Financial Examiner/Analyst II (2)
01716, 04470   1564

Plantation
Financial Examiner/Analyst I
04724   1554

Ft Lauderdale
Financial Specialist
04425   1566

Plantation
Financial Examiner/Analyst II
04502   1564

FTE: 24

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

Eff 9-7-10
Rev 9-24-10

4-3-1

These positions were eliminated by the Legislature.

FTE: 10   ❖   FTE not Included in this Section
Dotted Line = Administratively Assigned. FTE not counted.
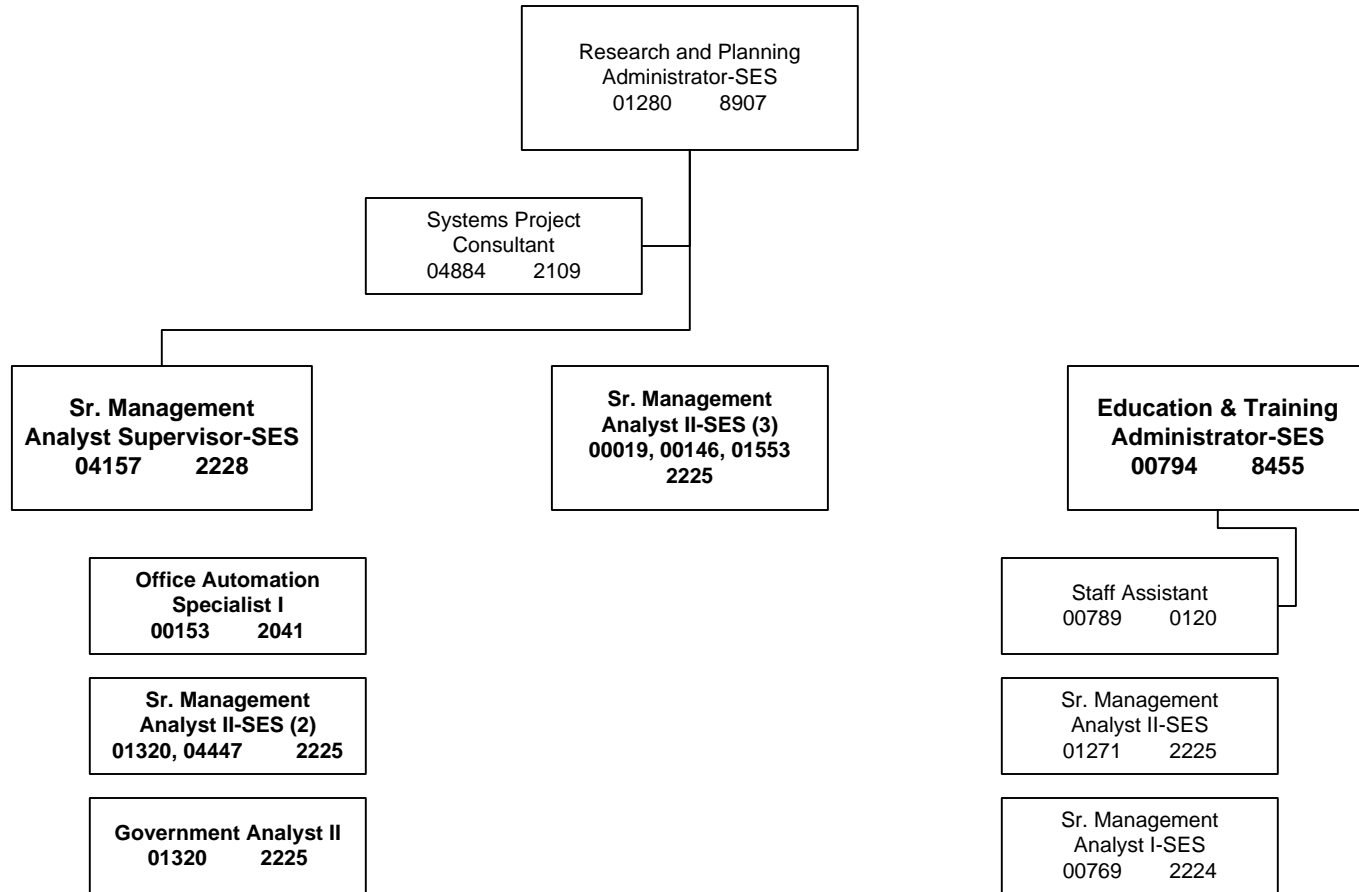Italic = Organizationally Assigned. Reports elsewhere administratively. FTE counted.

Eff 10-13-08
Rev 3/31/2010   4-4-1

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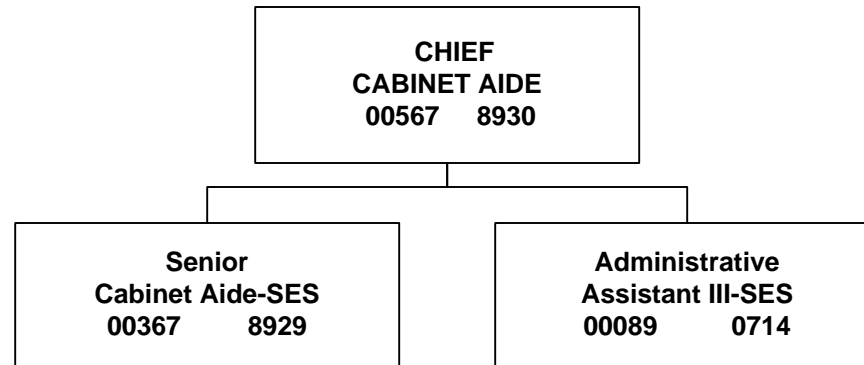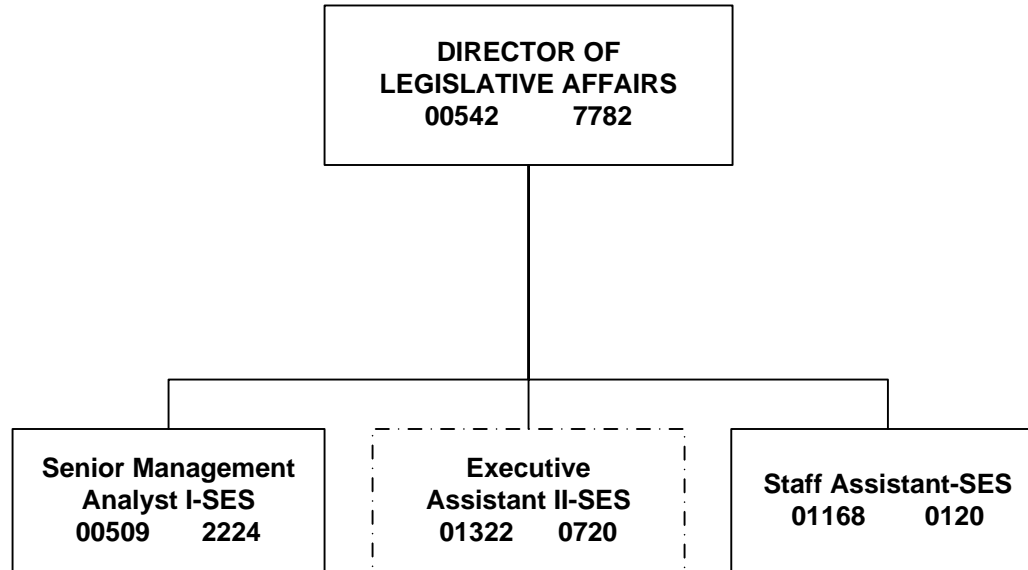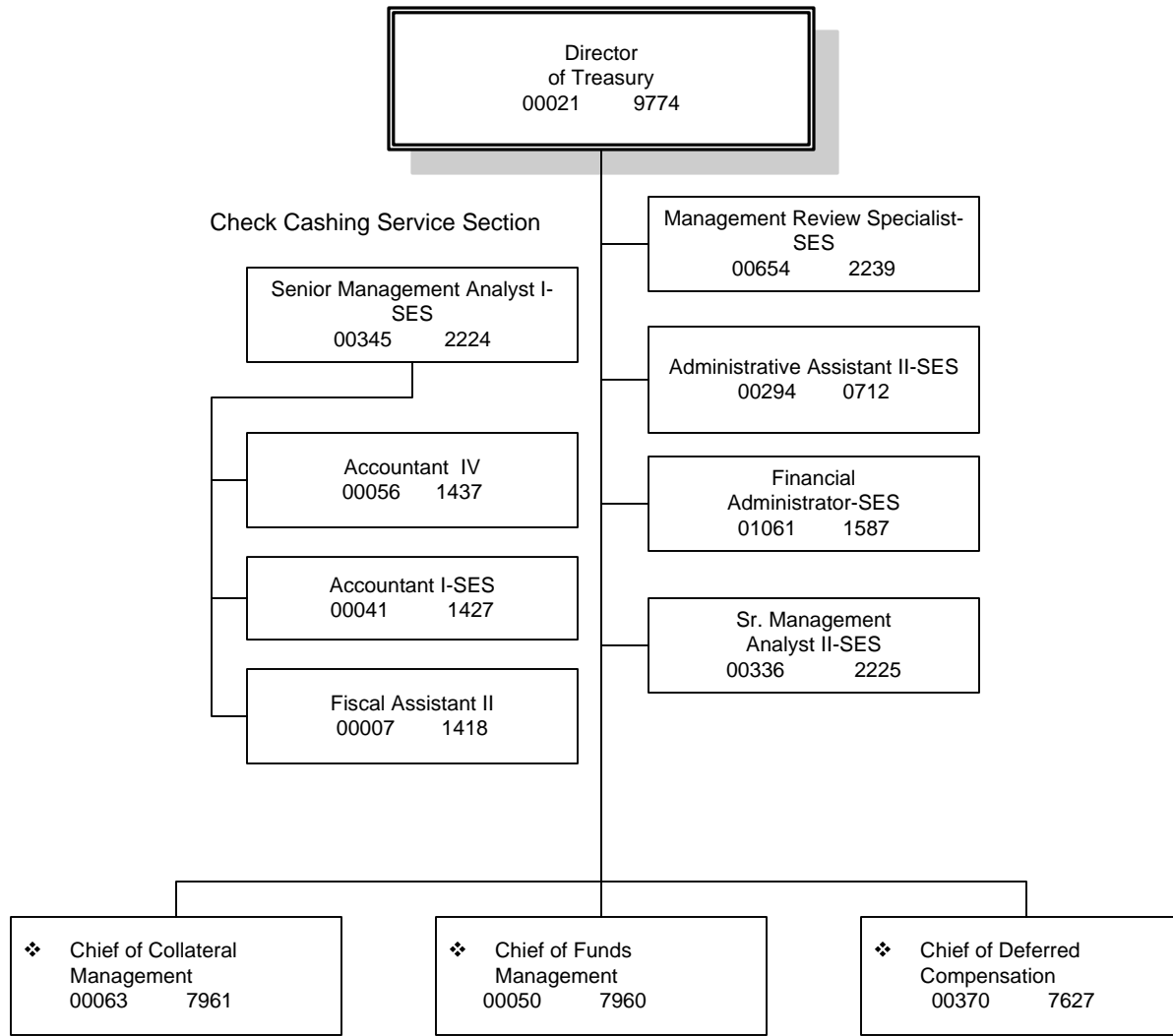## Division of Rehabilitation & Liquidation
Office of the Director

```
                              Director of Rehabilitation
                                  & Liquidation
                              43000067        9772


    Assistant Director of        Chief Attorney          Director of
     Rehab & Liquidation          (RE 104)            Administrative
         (RE 103)                43500101            Services & HR
         43500100                                       (RE 105)
                                                        43500102


      Director of Claims      Attorney      Senior Attorney-      Management Review
         (RE 097)          43000467  7736        SES             Specialist-SES
         43500103                         43000614   7738        43000402   2239


   Claims Supervisor    Sr. Management                          Human Resource
      (RE 033)          Analyst II-SES                             Manger
      43500110        43000553    2225                           (RE 082)
                                                                 43500105

   Risk Management     Management Review
  Program Specialist   Specialist-SES
  43000116    3545     43000593    2239


                                         Records Mgt                    H.R. Specialist
                                         Supervisor                        (RE 073)
                                          (RE 047)                         43500109
                                          43500107


                                      Operations Assistant I
                                          (RE 029)
                                          43500108
```

Division Total FTE = 7
(RE) = Receivership Position

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

Eff 02-02-10
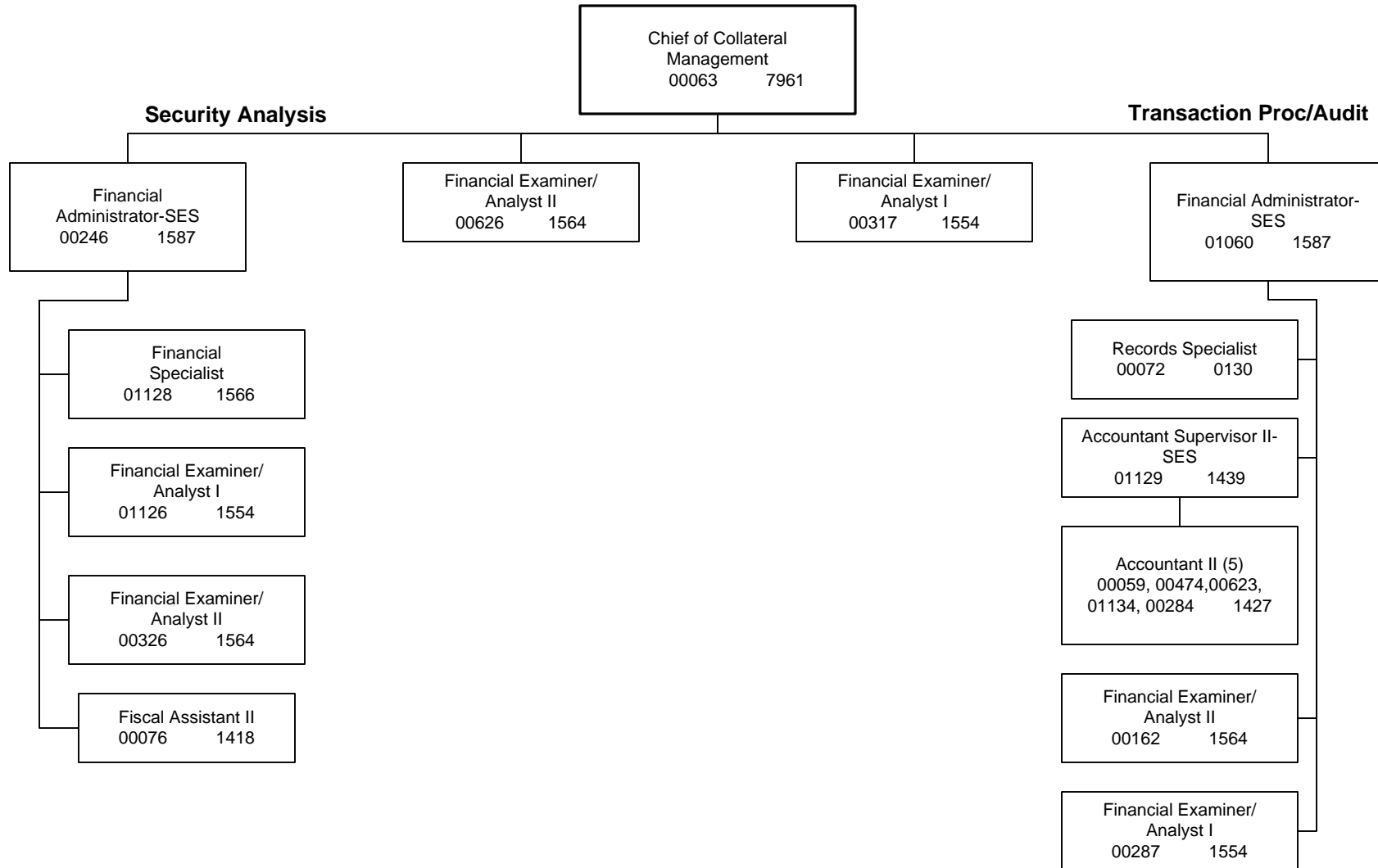**Rev 02-05-10**   **4-5-1**

Department of Financial Services
Office of the Deputy Chief Financial Officer

```
                          ┌─────────────────────────┐
                          │      Deputy Chief        │
                          │   Financial Officer      │
                          │   00632        9150      │
                          └─────────────────────────┘
```

Government Analyst II	Executive Assistant II-SES
00528 2225	03181 0720

Administrative Assistant I
03189   0709

Director of State Fire Marshal	Director of Insurance Fraud	Director of Workers' Compensation
00391 9778	00431 9779	03006 9665

Total FTE: 2   ❖   **FTE not Included in this Section**
Dotted Line = Administratively Assigned. FTE not counted.
Italic = Organizationally Assigned. Reports elsewhere administratively. FTE counted.

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

Director of State Fire Marshal
00391   9778

Administrative Assistant III-SES
00891   0714

Florida Fire Code Advisory Council
633.72, F.S.

Florida Fire Safety Board
633.511, F.S.

Fire Fighters S&T Council
633.31, F.S.

Assistant Director of State Fire Marshal
00969   7779

Senior Management Analyst Supervisor-SES
01300   2228

Senior Management Analyst Supervisor-SES
01296   2228

Fire Incident Reporting

Government Analyst II
00664   2225

Executive Secretary-SES
01041   0115

Operations Review Specialist
01000   2239

Administrative Assistant II
01589   00712

Domestic Security Coordinator
01461   7062

Records Technician
01588   0045

❖ **Chief of Forensic Service**
01253   9602

❖ **Chief of Fire & Arson Investigation**
00376   7962

❖ **Chief of Fire Prevention**
00523   7665

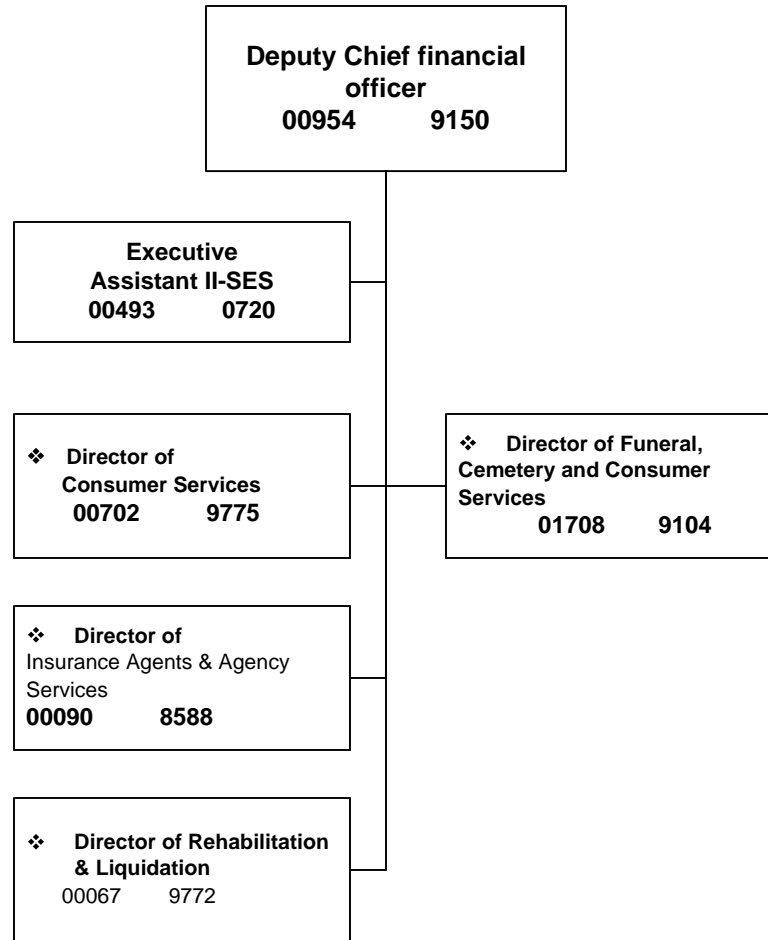❖ **Chief of Firefighter Standards & Training**
00674   7965

Division Total FTE: 253.5   ❖   FTE not Included in this Section   Eff 8-01-10   5-1-1
Dotted Line = Administratively Assigned. FTE not counted.   Rev 8-23-10
Italic = Organizationally Assigned. Reports elsewhere administratively. FTE counted.

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

```
                    ┌─────────────────────────┐
                    │ Senior Management Analyst│
                    │    Supervisor-SES        │
                    │  01300        2228       │
                    └────────────┬─────────────┘
                                 │
                    ┌────────────┴─────────────┐
                    │      Statistician        │
                    │   Supervisor II-SES      │
                    │  00377        3117       │
                    └────────────┬─────────────┘
          ┌──────────────────────┼──────────────────────┐
┌──────────────────┐  ┌──────────────────┐  ┌──────────────────┐
│  Statistician II │  │ Records Specialist│  │ Records Specialist│
│  00737    3112   │  │  00171    0130    │  │  01572    0130    │
└──────────────────┘  └──────────────────┘  └──────────────────┘
```
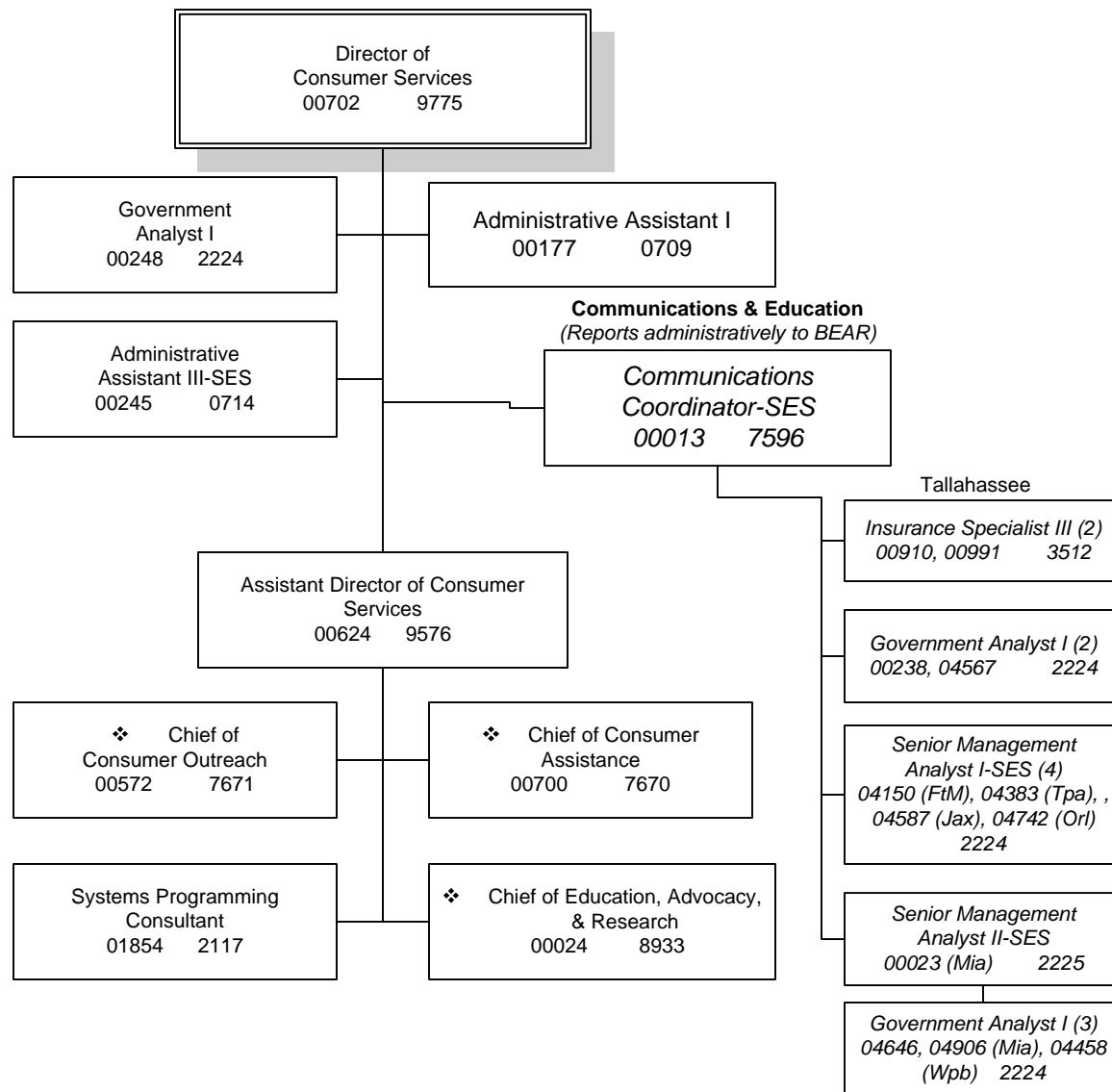
Total FTE: 4   ❖   **FTE not Included in this Section**
Dotted Line = Administratively Assigned. FTE not counted.
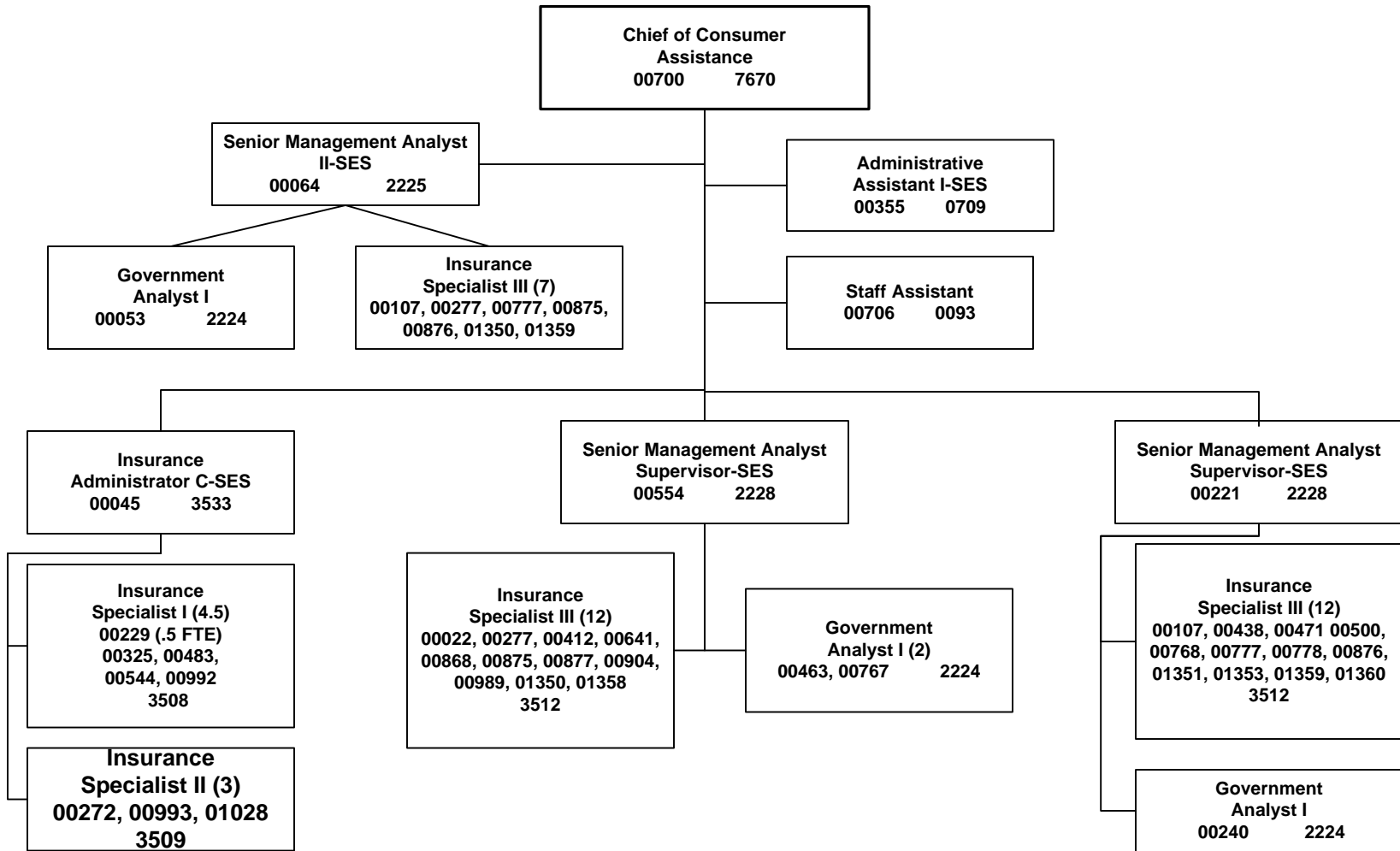**Italic = Organizationally Assigned. Reports elsewhere administratively. FTE counted.**

Eff 02-28-08   **5-1-2**
Rev 03-03-08

Chief of Forensic Services
01253   9602

Crime Laboratory
Analyst (2)
01121, 01590   8463

Forensic
Technologist (2)
00167, 01254   8459

Senior Crime
Laboratory Analyst (3)
00611, 01120, 01303
8464

Maintenance
Mechanic
01255   6466

Total FTE: 9

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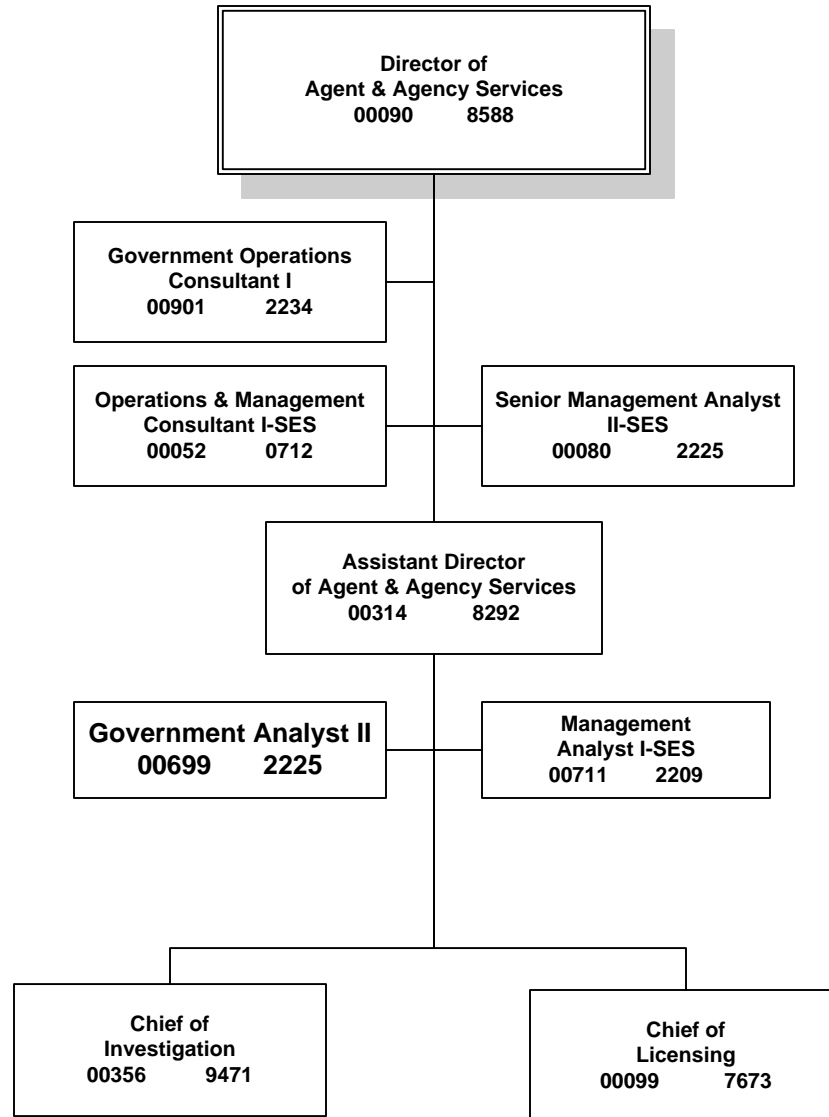**Dotted Line = Administratively Assigned. FTE not counted.**
Italic = Organizationally Assigned. Reports elsewhere administratively. FTE counted.

Eff 08-01-10
Rev 08-23-10

5-1-3
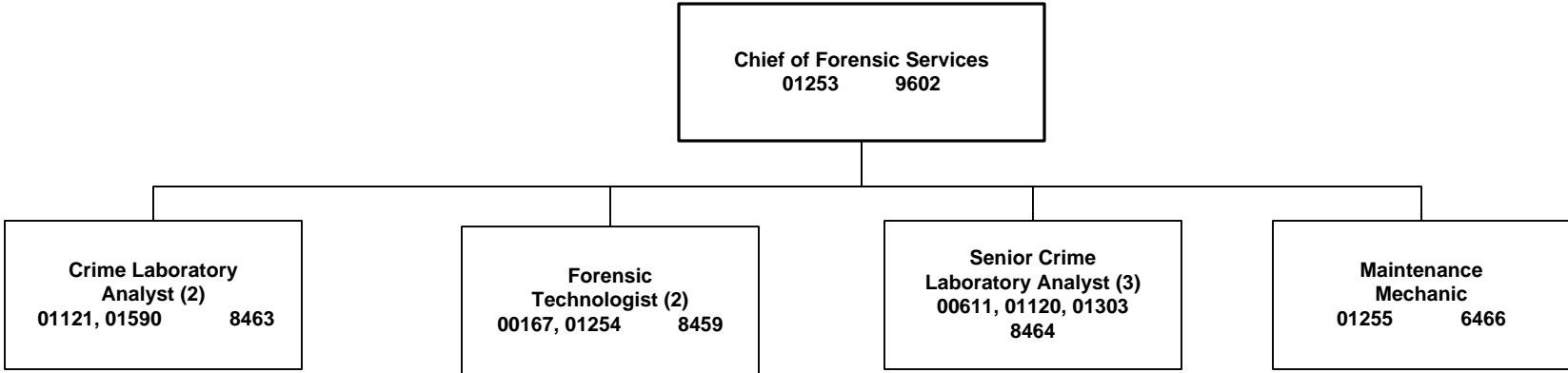
Department of Financial Services
Division of State Fire Marshal
Bureau of Fire & Arson Investigations
Office of the Chief

Chief of
Fire & Arson INVESTIGATION
00376   7962

Administrative
Assistant II-SES
00959   0712

Law Enforcement
Captain
00382   8632

Crime Laboratory
Technician
01591   8461

Distributed Computer
Systems Consultant
00084   2053

CIA Unit

Crime Intelligence
Analyst II
01095   8436

District 1

Administration, Support Services and
Special Operations

District 2

❖ **Law Enforcement Major**
00254   8630

❖ **Law Enforcement Major**
01478   8630

❖ **Law Enforcement Major**
01412   8630

❖ **North Region**
Law Enforcement Captain
01525   8632

❖ **North Central Region**
Law Enforcement Captain
01528   8632
❖

❖ **North West Region**
Law Enforcement Captain
00883   8632

❖ **South Central Region**
Law Enforcement Captain
01479   8632

❖ **North East Region**
Law Enforcement Captain
00531   8632

❖ **South Region**
Law Enforcement Captain
00735   8632

Bureau Total FTE: 135

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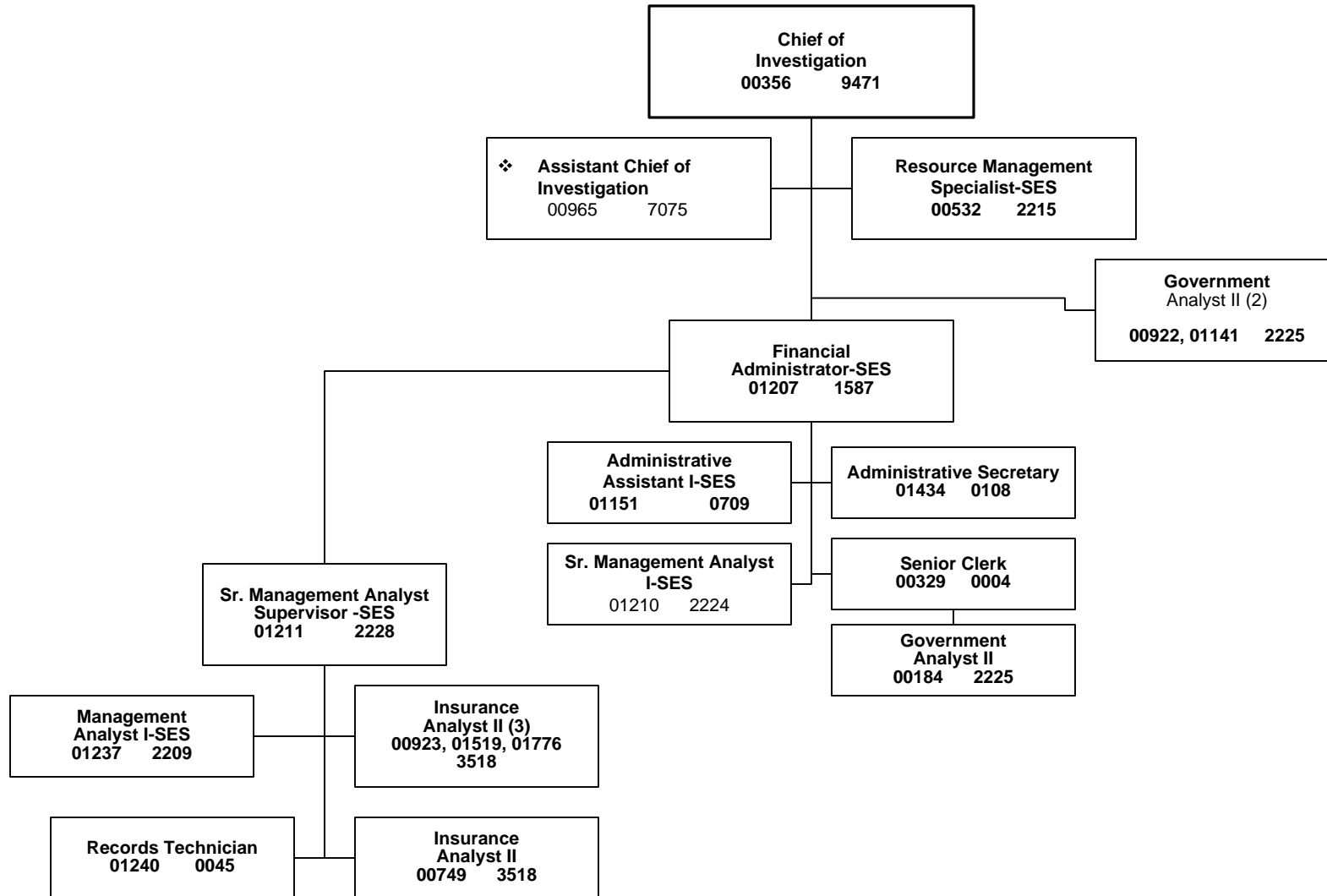**Italic = Organizationally Assigned. Reports elsewhere administratively. FTE counted.**

Eff 08-01-10
Rev 08-23-10

5-1-4

Department of Financial Services
Division of State Fire Marshal
Office of the Chief
Administration, Support Services and Special Operations
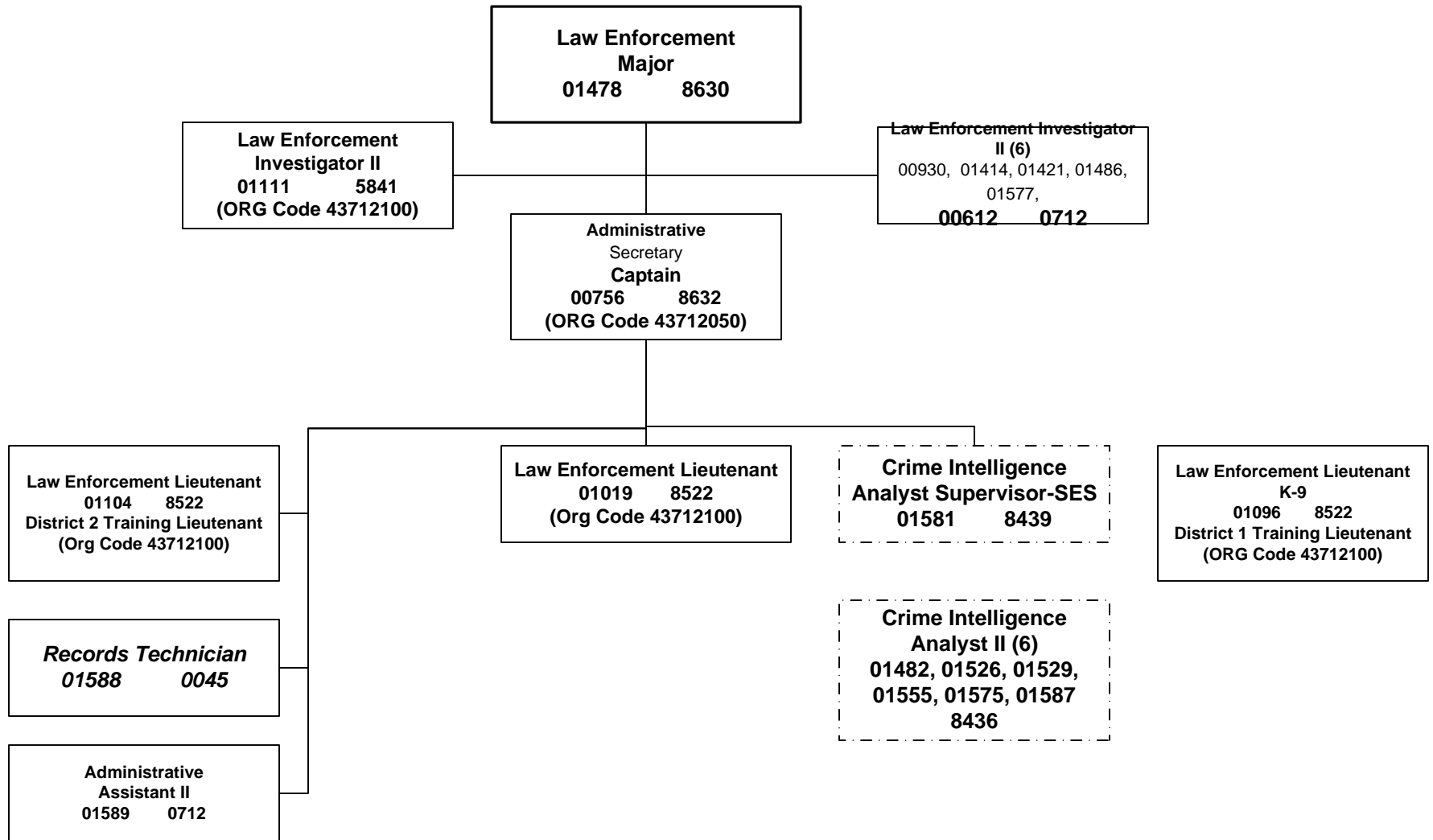
Law Enforcement Major
01478   8630

Law Enforcement Investigator II
01111   5841
(ORG Code 43712100)

~~Law Enforcement Investigator II (6)~~
00930, 01414, 01421, 01486, 01577,
00612   0712

Administrative
Secretary
Captain
00756   8632
(ORG Code 43712050)

Law Enforcement Lieutenant
01104   8522
District 2 Training Lieutenant
(Org Code 43712100)

Law Enforcement Lieutenant
01019   8522
(Org Code 43712100)

Crime Intelligence Analyst Supervisor-SES
01581   8439

Law Enforcement Lieutenant K-9
01096   8522
District 1 Training Lieutenant
(ORG Code 43712100)

Records Technician
01588   0045

Crime Intelligence Analyst II (6)
01482, 01526, 01529, 01555, 01575, 01587
8436

Administrative Assistant II
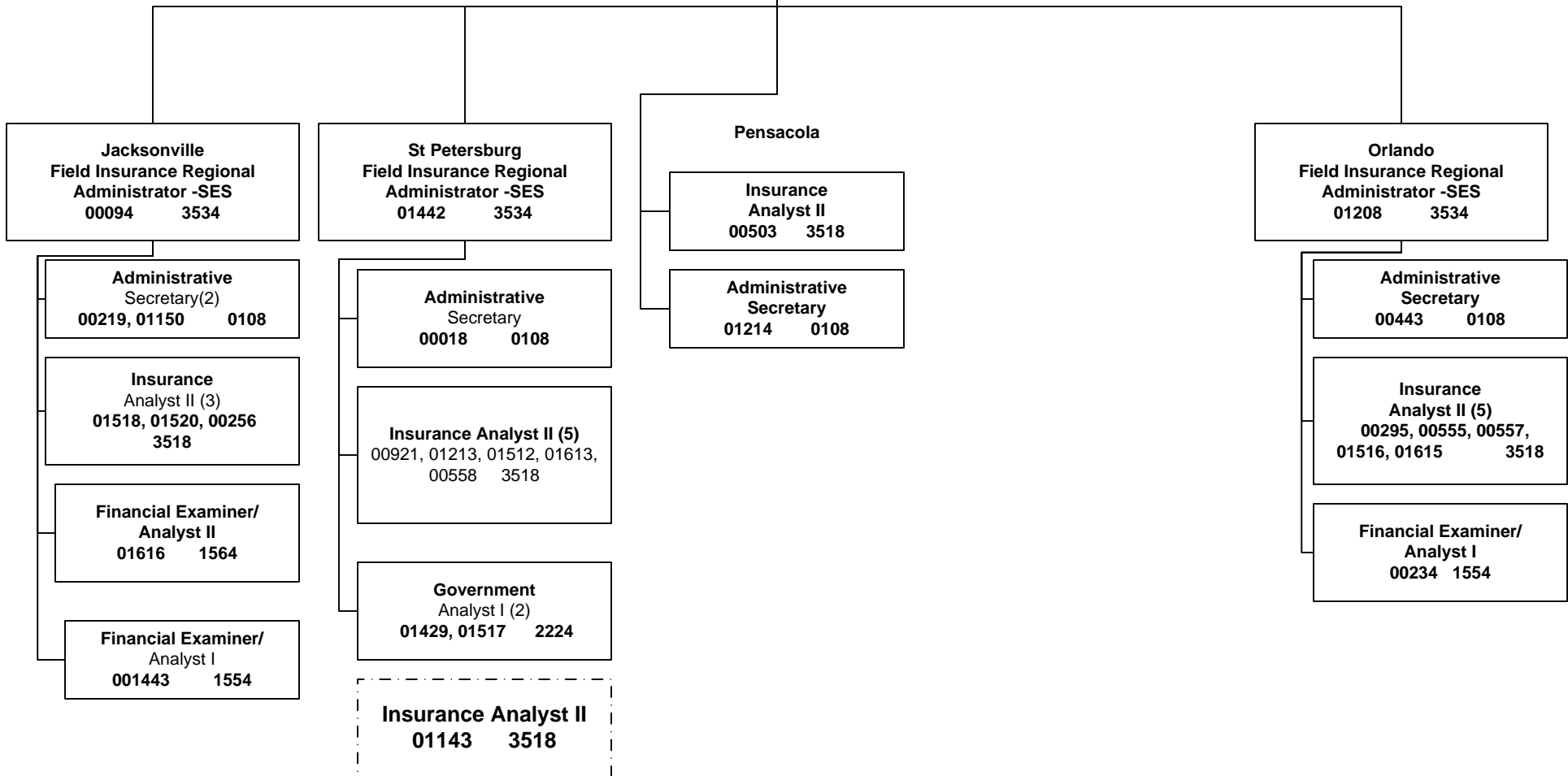**01589   0712**

Total FTE: 9

❖   **FTE not Included in this Section**
Dotted Line = Administratively Assigned. FTE not counted.
Italic = Organizationally Assigned. Reports elsewhere administratively. FTE counted.
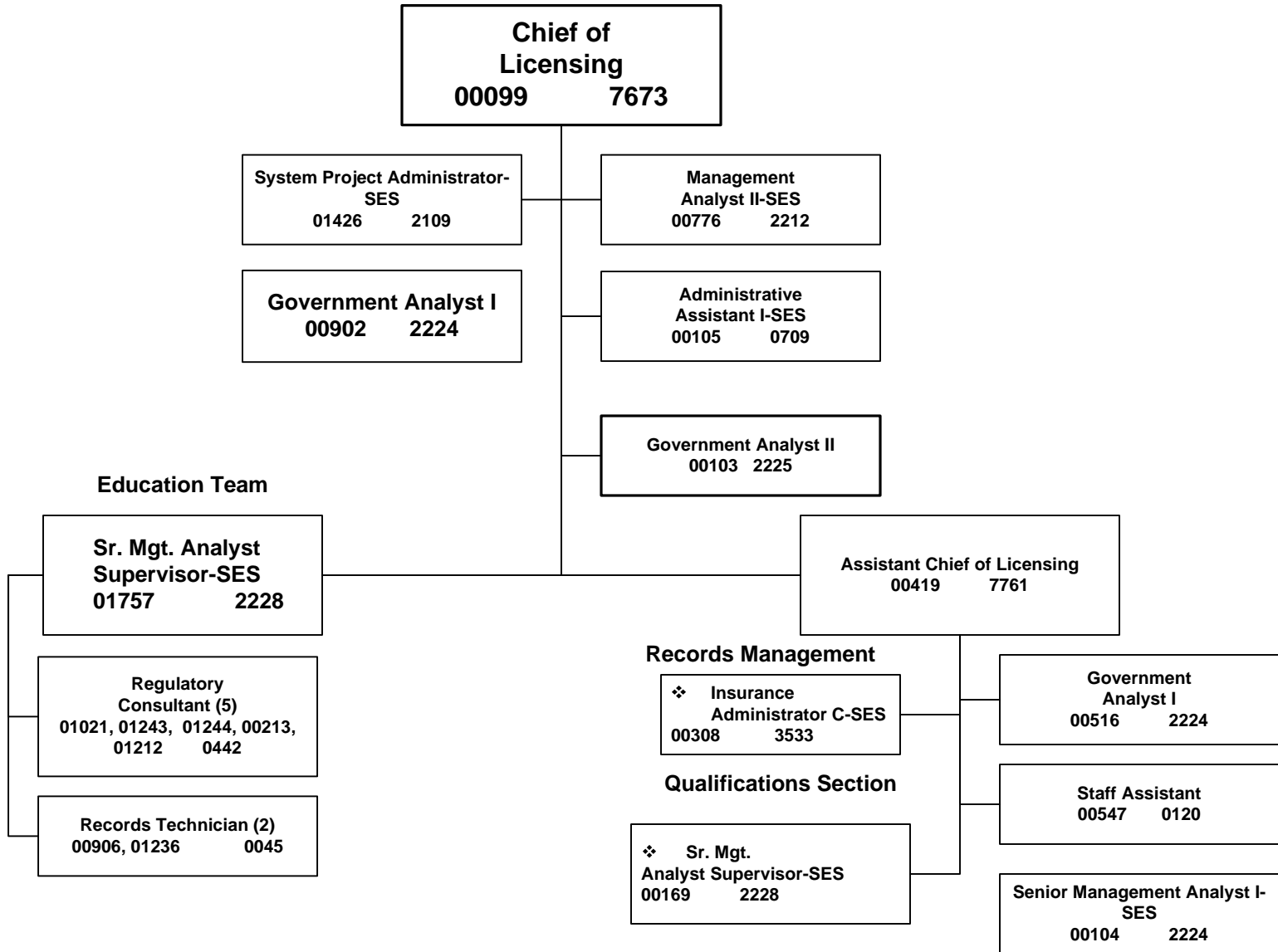
Eff 08-01-10
Rev 08-23-10   **5-1-5**

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

Operations & Professional Standards

```
                              Law Enforcement
                                   Major
                              00254      8630
```

North East Region

```
Law Enforcement Captain
00531          8632

        Administrative Secretary
        00060          0108
```

Ocala
Law Enforcement Lieutenant
00226   8522

Jacksonville
Law Enforcement Lieutenant
00393   8522

Law Enforcement
Investigator II (4)
00759, 00975, 01110, 01480
8541

Administrative Secretary
01017   0108

Law Enforcement Investigator
II (6)
Leadworker - 01523
01415, 01423, 01489, 01527,
01580   8541

K9 Unit
Law Enforcement
Investigator II
01579   8541

Crime Intelligence Analyst II
01529   8436

North West Region

Law Enforcement Captain
00883   8632

Administrative Secretary
00452   0108

Ft Walton/Pensacola
Law Enforcement Lieutenant
00932   8522

Crime Intelligence Analyst II
01575   8436

Law Enforcement
Investigator II
01521   8541

Pensacola - EOD Unit
Law Enforcement
Investigator II (3)
01522, 01573, 01108   8541

Law Enforcement
Investigator II (2)
01107, 01419   8541

Panama City
Law Enforcement Lieutenant
01574   8522

Law Enforcement
Investigator II
00837   8541

Law Enforcement
Investigator II (3)
01483, 01490, 01508   8541

North Region

Law Enforcement Captain
01525   8632

Administrative Secretary
01018   0108

Tallahassee
Law Enforcement Lieutenant
01578   8522

Law Enforcement
Investigator II (2)
01105, 01524   8541

EOD Unit
Law Enforcement
Investigator II
00736   8541

Crime Intelligence Analyst II
01526   8436

Tallahassee
Law Enforcement Lieutenant
01106   8522

EOD Unit
Law Enforcement
Investigator II
01417   8541

K9 Unit
Law Enforcement
Investigator II
00839   8541

Law Enforcement
Investigator II
00974   8541

Total FTE: 44

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

Eff 08-01-10
Rev 08-23-10   **5-1-6**

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

Law Enforcement Major
01412   8630

North Central Region

Law Enforcement Captain
01528   8632

Administrative Secretary
00380   0108

Daytona Beach Law Enforcement Lieutenant
00762   8522

Orlando Law Enforcement Lieutenant
01016   8522

**Law Enforcement Investigator II Leadworker**
01113   8541

Law Enforcement Investigator II (6)
00930, 01414, 01421, 01486, 01577,
K-9: 00416
8541

Administrative Secretary
00432   0108

Law Enforcement Investigator II (7)
00515, 00589, 00757, 01109, 01481, 01485, 01576   8541

Administrative Secretary
00978   0108

Crime Intelligence Analyst II
01555   8436

South Central Region

Law Enforcement Captain
01479   8632

Tampa Law Enforcement Lieutenant
01484   8522

Lake Wales Law Enforcement Lieutenant
01534   8522

Law Enforcement Investigator II Leadworker
01531   8541

Law Enforcement Investigator II (7)
00763, 00976, 01112, 01114, K-9:01115
EOD: 00929, 01487
8541

Administrative Secretary
00933   0108

Crime Intelligence Analyst Supervisor
01581   8439

Law Enforcement Investigator II (7)
00385, 00387, 00804, 01491, 01584, 01559
K-9: 01585   8541

Administrative Secretary
01586   0108

South Region

Law Enforcement Captain
00735   8632

Miami Law Enforcement Lieutenant
01532   8522

West Palm Beach Law Enforcement Lieutenant
01413   8522

Plantation Law Enforcement Investigator II (9)
00415, 00977, 01116, 01117, 01488, 01530, 01556, 01557, 01558
8541

Keys Area Law Enforcement Investigator II (2)
00384, 01118   8541

Crime Intelligence Analyst II
01587   8436

Administrative Secretary
00892   0108

Law Enforcement Investigator II (3)
00545
K-9: 01418, EOD: 01533
8541

Administrative Secretary
00380   0108

Law Enforcement Lieutenant
00732   8522

Ft Myers Law Enforcement Investigator II (5)
00755, 01420, 01582, 01583, EOD: 00838
8541

Ft Myers Crime Intelligence Analyst II
01482   8436

Ft Myers Administrative Secretary
00836   0108

Total FTE: 69

❖   FTE not Included in this Section
Dotted Line = Administratively Assigned. FTE not counted.
Italic = Organizationally Assigned. Reports elsewhere administratively. FTE counted.
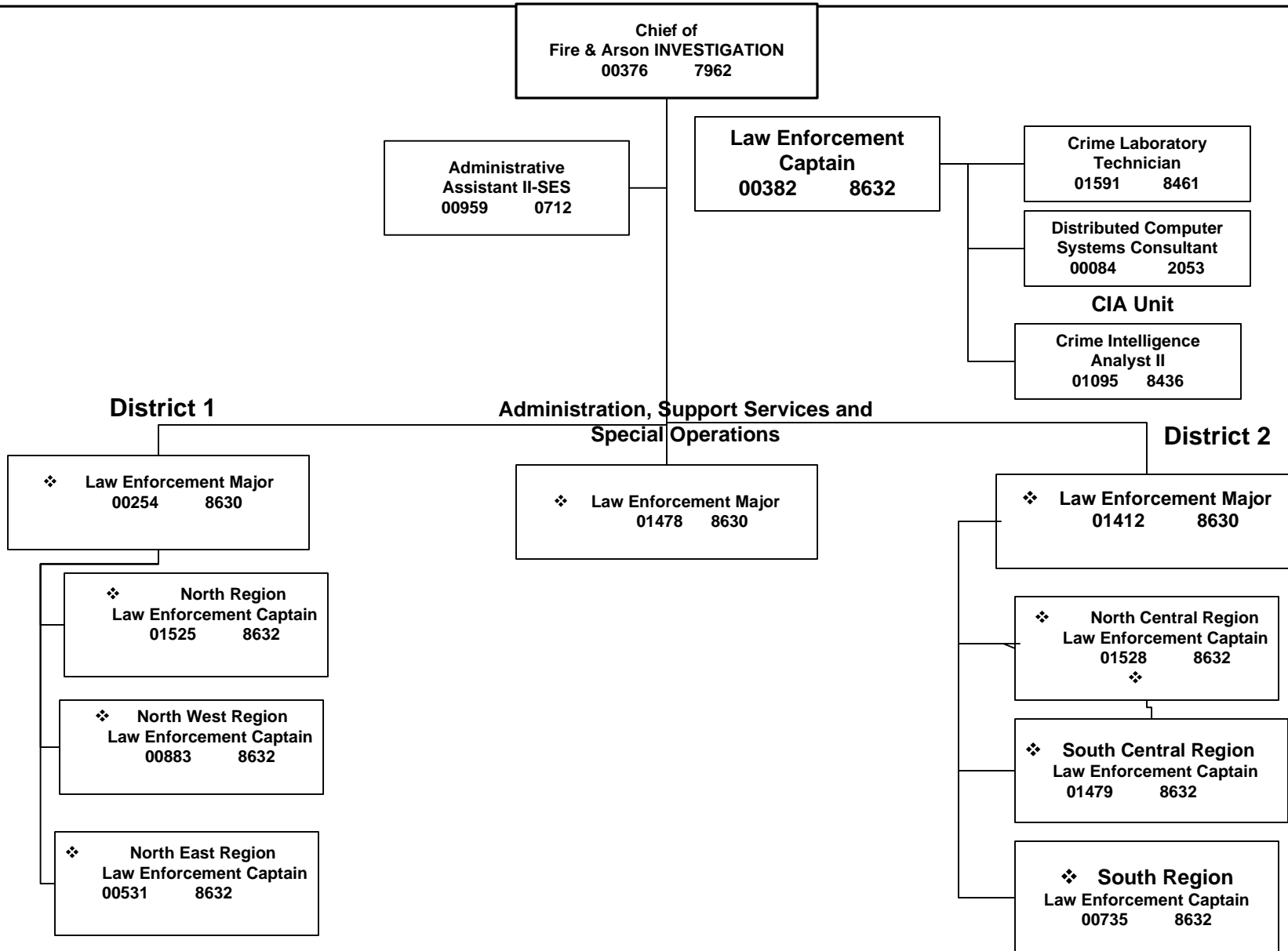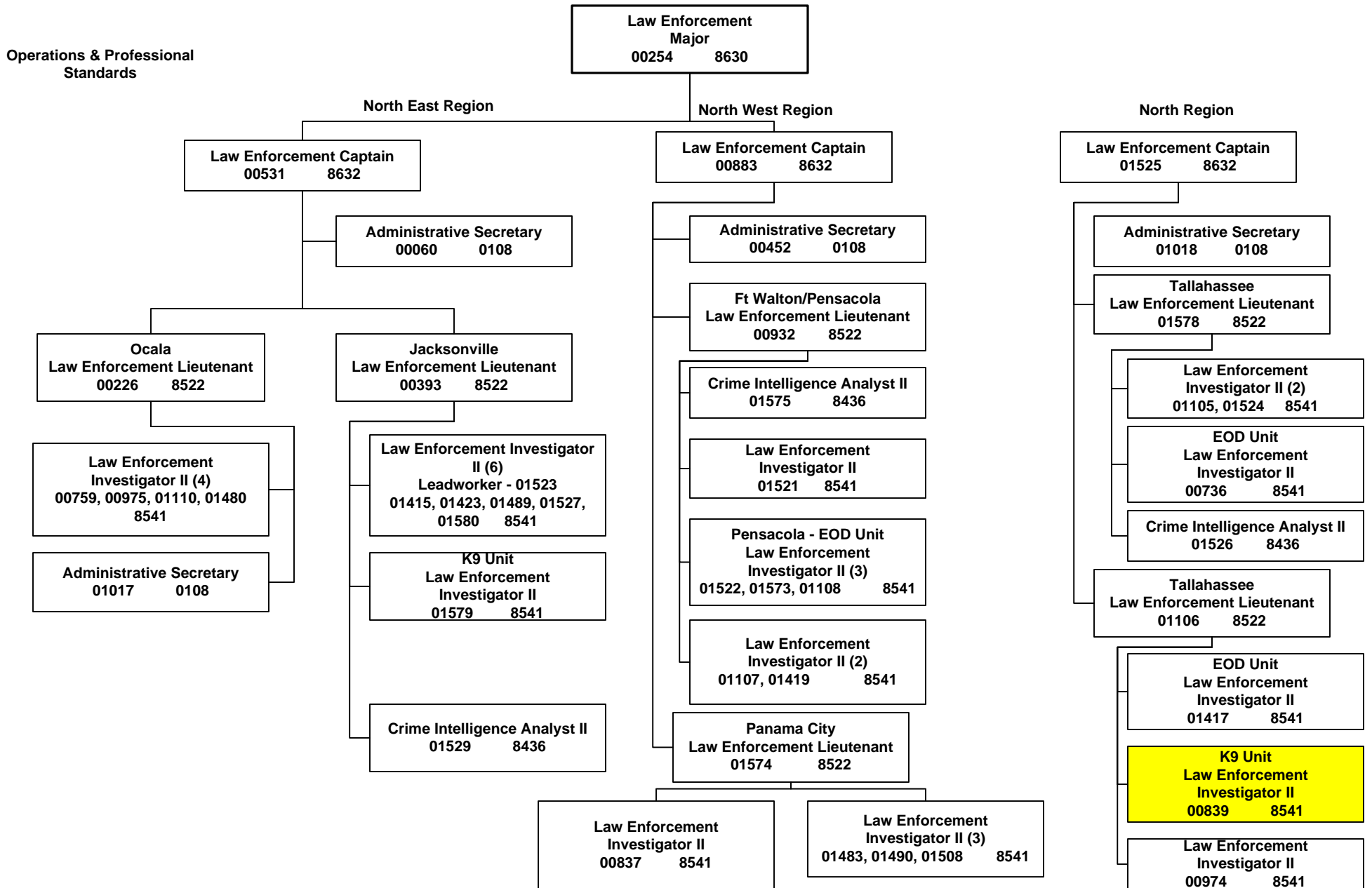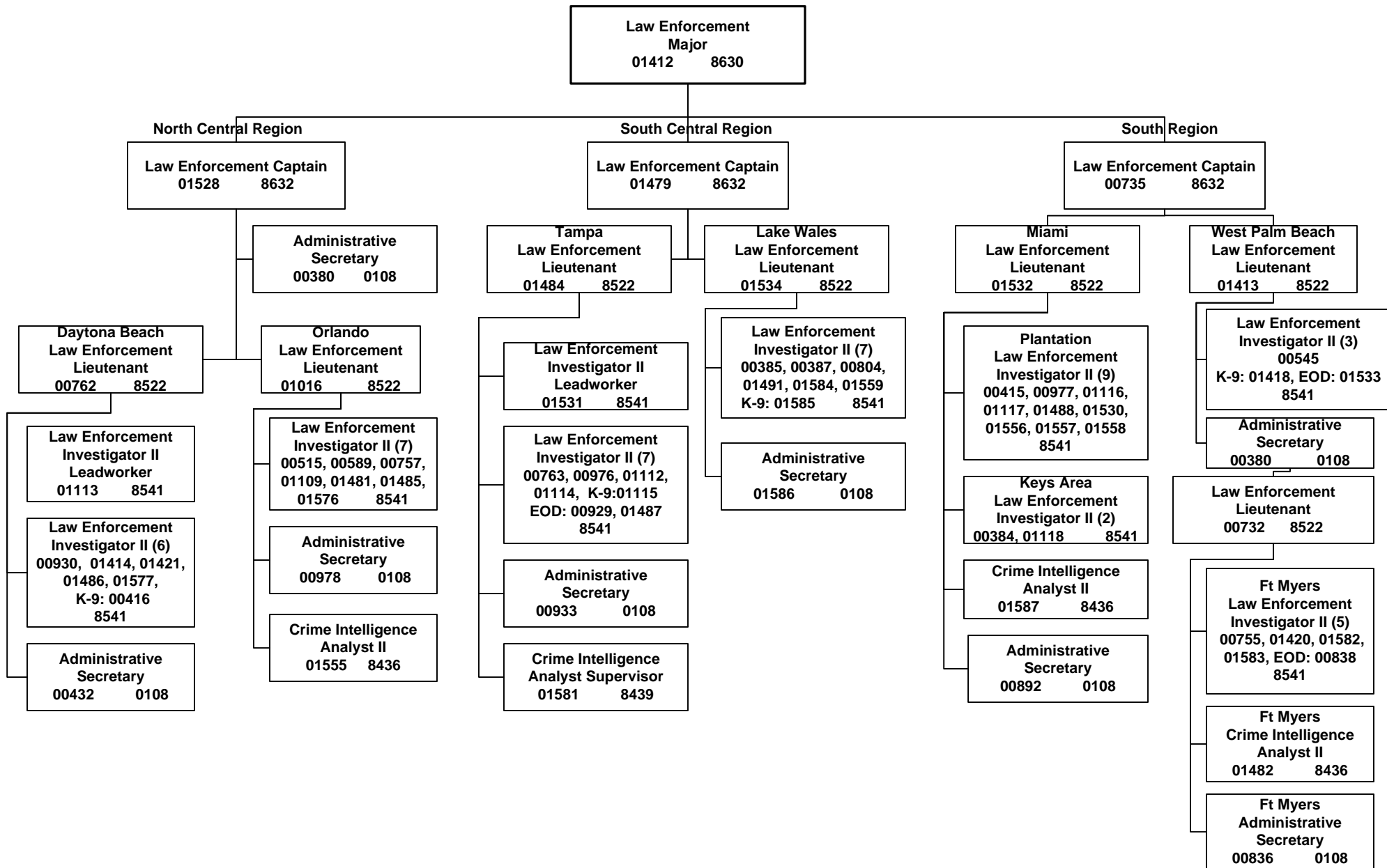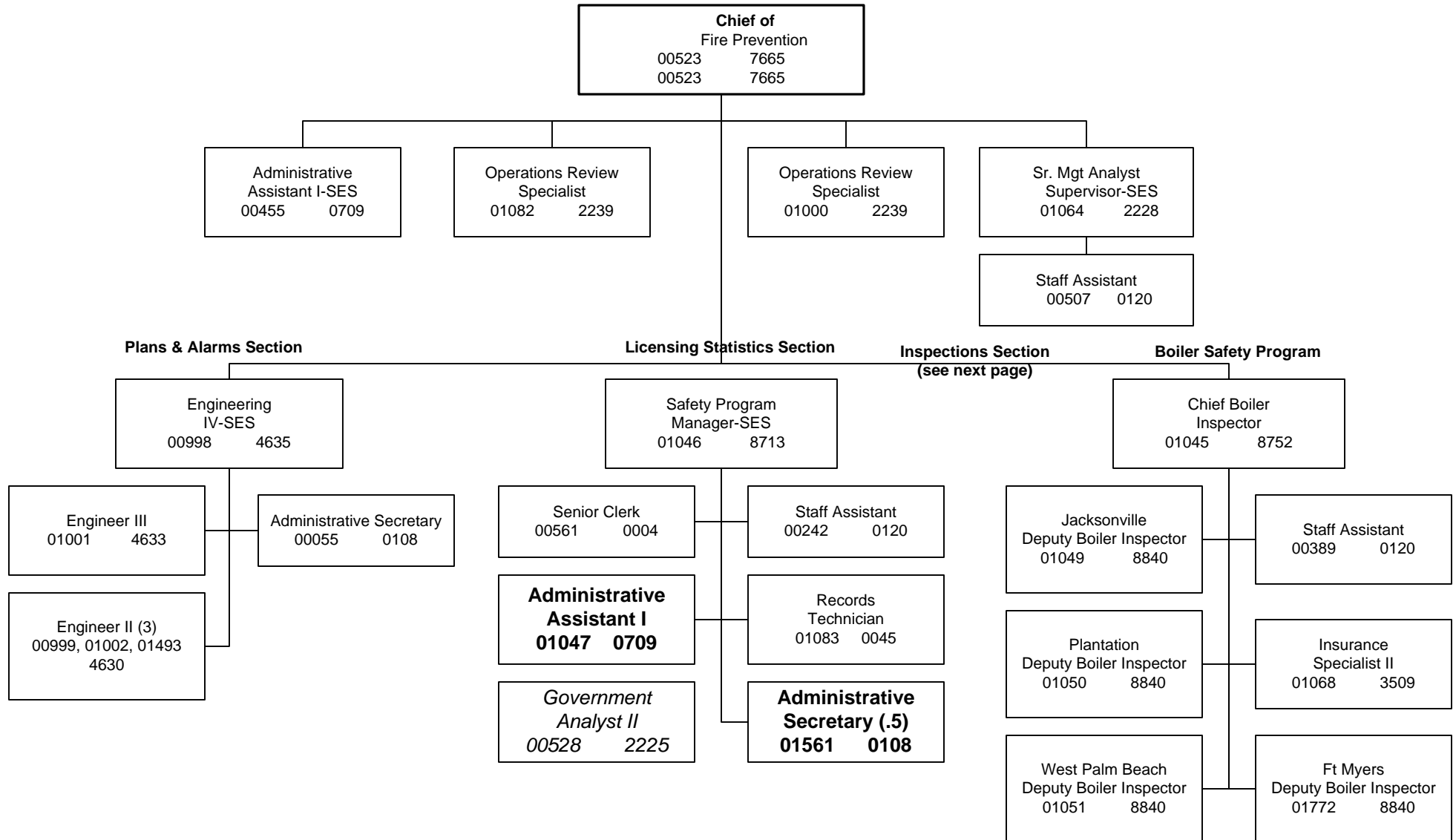
Eff   09-30-10
Rev 09-30-10

5-1-7

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

Chief of
Fire Prevention
00523   7665
00523   7665

Administrative
Assistant I-SES
00455   0709

Operations Review
Specialist
01082   2239

Operations Review
Specialist
01000   2239

Sr. Mgt Analyst
Supervisor-SES
01064   2228

Staff Assistant
00507   0120

Plans & Alarms Section

Licensing Statistics Section

Inspections Section
(see next page)

Boiler Safety Program

Engineering
IV-SES
00998   4635

Safety Program
Manager-SES
01046   8713

Chief Boiler
Inspector
01045   8752

Engineer III
01001   4633

Administrative Secretary
00055   0108

Senior Clerk
00561   0004

Staff Assistant
00242   0120

Jacksonville
Deputy Boiler Inspector
01049   8840

Staff Assistant
00389   0120

Engineer II (3)
00999, 01002, 01493
4630

**Administrative
Assistant I
01047   0709**

Records
Technician
01083   0045

Plantation
Deputy Boiler Inspector
01050   8840

Insurance
Specialist II
01068   3509

*Government
Analyst II
00528   2225*

**Administrative
Secretary (.5)
01561   0108**

West Palm Beach
Deputy Boiler Inspector
01051   8840

Ft Myers
Deputy Boiler Inspector
01772   8840

❖   **FTE not Included in this Section**
Dotted Line = Administratively Assigned. FTE not counted.
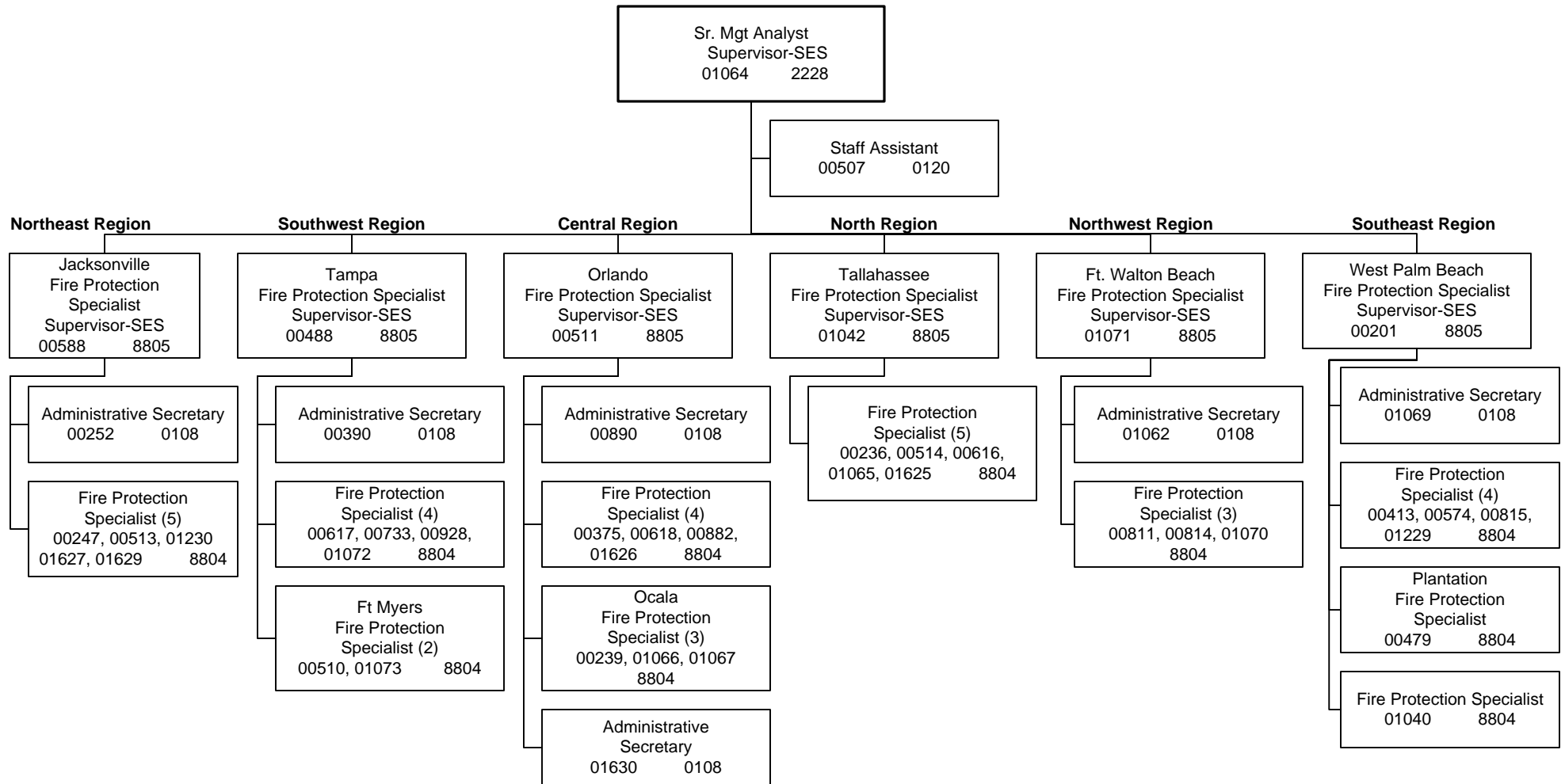**Italic = Organizationally Assigned. Reports elsewhere administratively. FTE counted.**
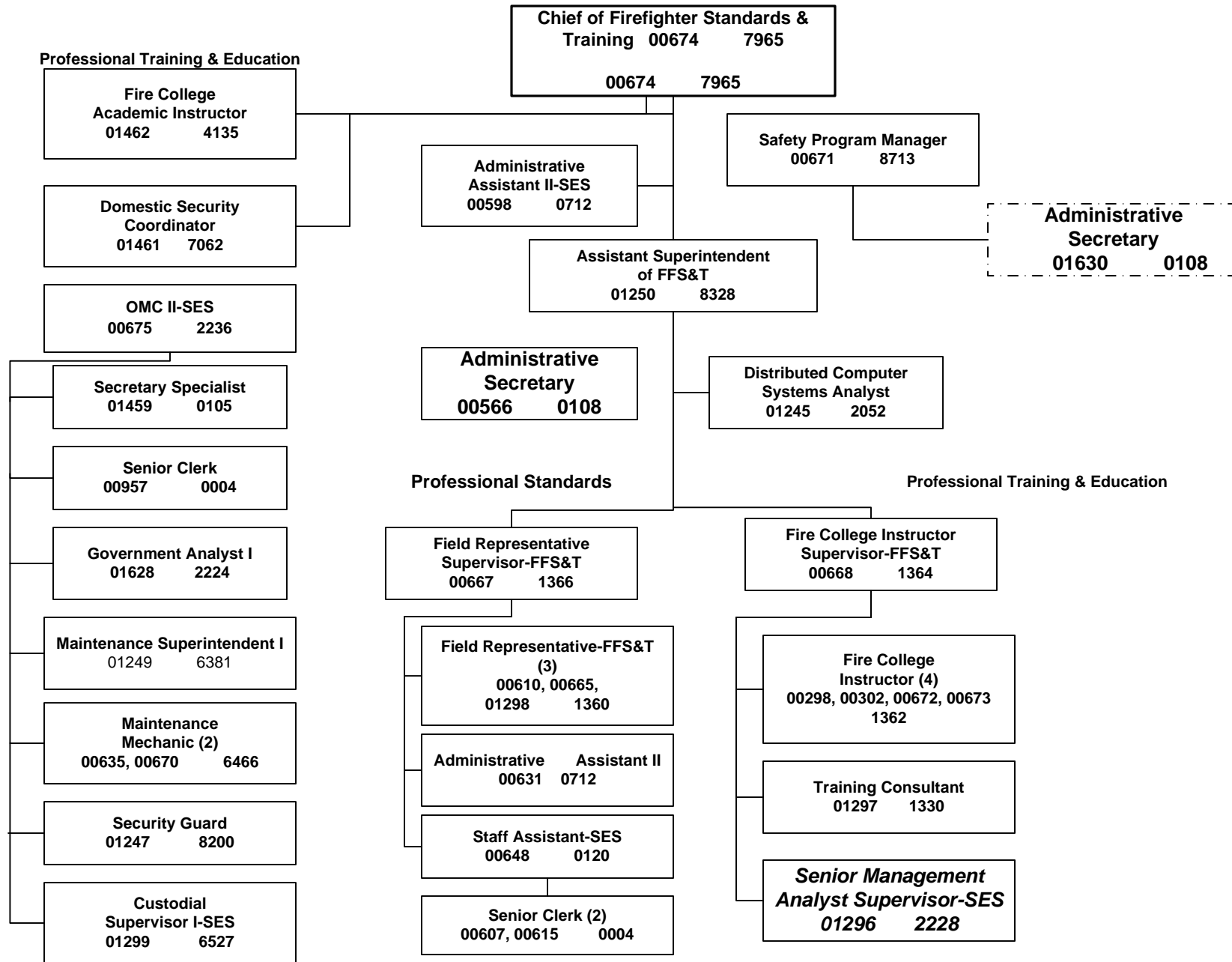
Bureau FTE: 69.5

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

Sr. Mgt Analyst
Supervisor-SES
01064   2228

Staff Assistant
00507   0120

Northeast Region

Jacksonville
Fire Protection
Specialist
Supervisor-SES
00588   8805

Administrative Secretary
00252   0108

Fire Protection
Specialist (5)
00247, 00513, 01230
01627, 01629   8804

Southwest Region

Tampa
Fire Protection Specialist
Supervisor-SES
00488   8805

Administrative Secretary
00390   0108

Fire Protection
Specialist (4)
00617, 00733, 00928,
01072   8804

Ft Myers
Fire Protection
Specialist (2)
00510, 01073   8804

Central Region

Orlando
Fire Protection Specialist
Supervisor-SES
00511   8805

Administrative Secretary
00890   0108

Fire Protection
Specialist (4)
00375, 00618, 00882,
01626   8804

Ocala
Fire Protection
Specialist (3)
00239, 01066, 01067
8804

Administrative
Secretary
01630   0108

North Region

Tallahassee
Fire Protection Specialist
Supervisor-SES
01042   8805

Fire Protection
Specialist (5)
00236, 00514, 00616,
01065, 01625   8804

Northwest Region

Ft. Walton Beach
Fire Protection Specialist
Supervisor-SES
01071   8805

Administrative Secretary
01062   0108

Fire Protection
Specialist (3)
00811, 00814, 01070
8804

Southeast Region

West Palm Beach
Fire Protection Specialist
Supervisor-SES
00201   8805

Administrative Secretary
01069   0108

Fire Protection
Specialist (4)
00413, 00574, 00815,
01229   8804

Plantation
Fire Protection
Specialist
00479   8804

Fire Protection Specialist
01040   8804

Section Total FTE: 46

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

Eff 06-17-09   **5-1-9**
Rev 06-18-09

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

Chief of Firefighter Standards & Training   00674   7965

00674   7965

Professional Training & Education

Fire College Academic Instructor
01462   4135

Domestic Security Coordinator
01461   7062

OMC II-SES
00675   2236

Secretary Specialist
01459   0105

Senior Clerk
00957   0004

Government Analyst I
01628   2224

Maintenance Superintendent I
01249   6381

Maintenance Mechanic (2)
00635, 00670   6466

Security Guard
01247   8200

Custodial Supervisor I-SES
01299   6527

Administrative Assistant II-SES
00598   0712

Assistant Superintendent of FFS&T
01250   8328

Administrative Secretary
00566   0108

Distributed Computer Systems Analyst
01245   2052

Safety Program Manager
00671   8713

Administrative Secretary
01630   0108

Professional Standards

Field Representative Supervisor-FFS&T
00667   1366

Field Representative-FFS&T (3)
00610, 00665, 01298   1360

Administrative   Assistant II
00631   0712

Staff Assistant-SES
00648   0120

Senior Clerk (2)
00607, 00615   0004

Professional Training & Education

Fire College Instructor Supervisor-FFS&T
00668   1364

Fire College Instructor (4)
00298, 00302, 00672, 00673   1362

Training Consultant
01297   1330

Senior Management Analyst Supervisor-SES
01296   2228

Total FTE: 32

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

Eff 9-15-10
Rev 9-15-2010

5-1-10

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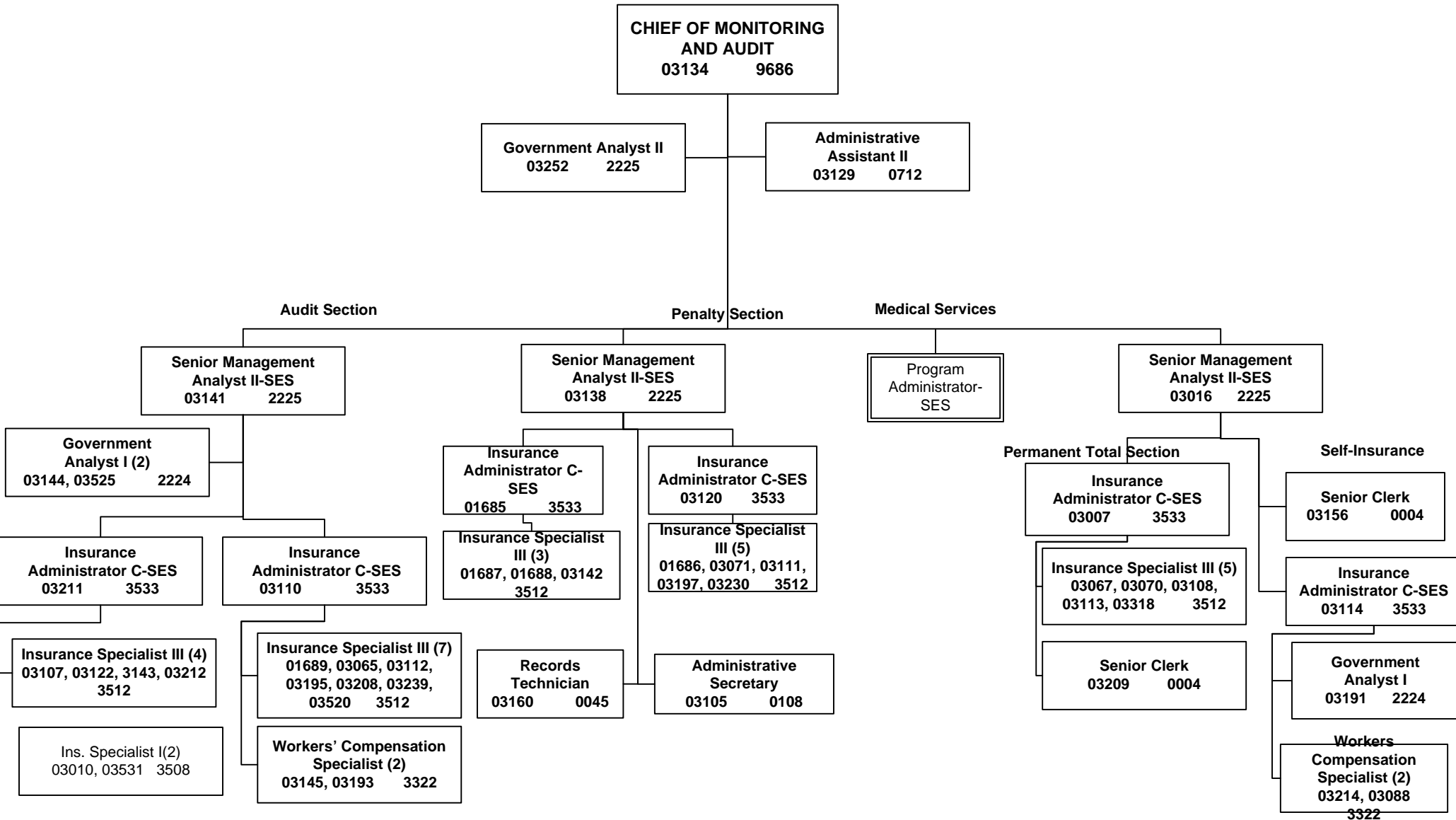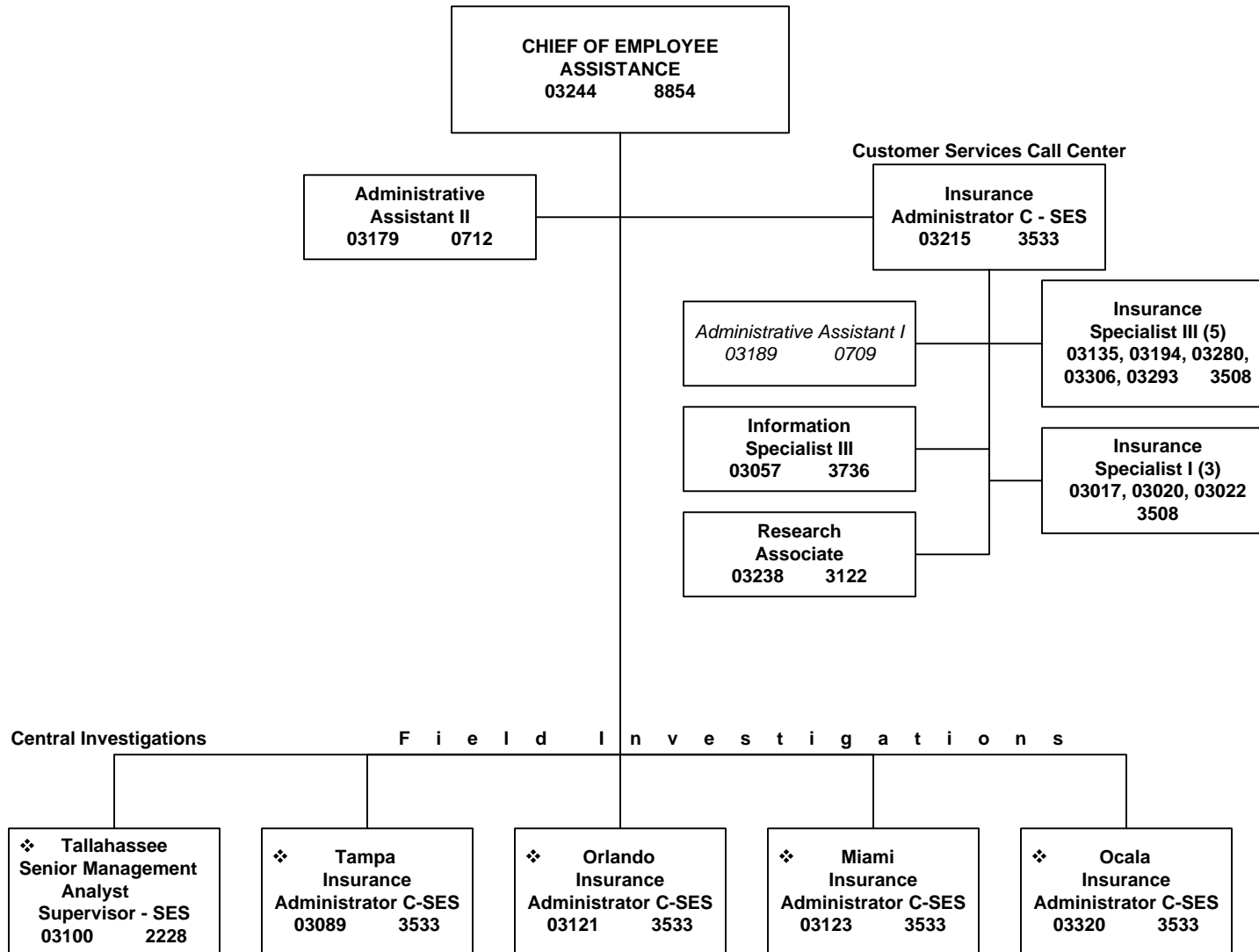## Office of the Director

Director of Insurance Fraud
00431   9779

Executive Secretary-SES
00446   0115

Assistant Director
00365   9776

Law Enforcement Program Administrator
01312   8798

** Sr. Attorney
00785   7738
(See p. 3-1-1)

Paralegal Specialist
01698   7703

Senior Attorney(2)
00575, 01499   7738

Regional Offices

Law Enforcement Major
01593   8630

Panhandle Region
* Law Enforcement Captain (2)
01202   8632

North Region
*Law Enforcement Captain
01012   8632

East Central Region
*Law Enforcement Captain
01618   8632

West Central Region
*Law Enforcement Captain
01200   8632

South Region
*Law Enforcement Captain
00364   8632

*Chief of Workers' Compensation Fraud
01304   7957

*Chief of Crime Intelligence & Analytical Support
01451   5926

Administrative Unit

Senior Management Analyst Supervisor-SES
01030   2228

Management Analyst II-SES
00644   2212

Government Analyst I
01596   2224

Administrative Assistant II
01063   0712

Sr. Word Processing Systems Operator
00687   0093

Office of Professional Standards & Planning

Law Enforcement Program Administrator
00131   8798

Administrative Assistant I -SES
01450   0709

Law Enforcement Lieutenant (2)
00454, 00686   8522

Inspectional Services
Law Enforcement Captain
00128   8632

Training Unit
Law Enforcement Captain
00130   8632

Law Enforcement Lieutenant
01622   8522

Law Enforcement Investigator II
01695   8541

Crime Intelligence Analyst II
01502   8436

Major Case Squad Unit

Law Enforcement Lieutenant
00686   8522

Tallahassee L.E. Investigator II
01852   8541

Tampa L.E. Investigator II
01853   8541

Orlando L.E. Investigator II
01851   8541

Miami L.E. Investigator II
01844   8541

Division Total FTE = 199

*   FTE not Included in this Section

** Dotted Line/Red = Administratively Assigned. FTE not counted.

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

Eff 08-27-10
Rev 08-30-10

5-2-1

Department of Financial Services
Division of Insurance Fraud
Bureau of Crime Intelligence & Analytical Support

(St Petersburg)

**Chief, Crime Intelligence &
Analytical Support
01451   5926**

**Crime Intelligence
Analyst I
01608   8433**

Tallahassee

**GF Distributed Computer
Systems Analyst
01256   2052**

Pensacola

**Crime Intelligence Analyst
Supervisor-SES
01506   8439**

St Petersburg

**Crime Intelligence Analyst
Supervisor-SES
00366   8439**

Plantation

**Crime Intelligence Analyst
Supervisor-SES
00368   8439**

Miami

**Crime Intelligence
Analyst Supervisor-SES
01697   8439**

Tallahassee

**Crime Intelligence
Analyst I
01005   8433**

Jacksonville

**Crime Intelligence
Analyst II
01501   8436**

Tallahassee

**Word Processing
Systems Operator
00549   0090**

Orlando

**Crime Intelligence
Analyst II
01209   8433**

Orlando

**Crime Intelligence
Analyst I
00462   8433**

Tampa

**Crime Intelligence
Analyst I
01144   8433**

**Crime Intelligence
Analyst II
01194   8436**

**Sr. Word Processing
Systems Operator
00775   0093**

WPB

**Crime Intelligence
Analyst I
01366   8433**

WPB

**Crime Intelligence
Analyst I
01601   8433**

Plantation

**Sr. Word Processing
Systems Operator
00587   0093**

Plantation

**Crime Intelligence
Analyst II
01606   8436**

Miami

**Crime Intelligence
Analyst I
01452   8433**

Miami

**Crime Intelligence
Analyst II
01507   8436**

Miami

**Sr. Word Processing
Systems Operator
00301   0093**

Bureau Total FTE = 22

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

Eff 06-02-10
Rev 06-02-10

5-2-2

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

CHIEF OF WORKERS'
COMPENSATION
FRAUD
01304   7957

Hotline Unit

Administrative Secretary
01190   0108

Senior Management
Analyst I-SES
01257   2224

**Law Enforcement Captain
01603   8632**

Orlando

Law Enforcement
Lieutenant
01232   8522

Law Enforcement
Investigator II (4)
00898, 01156, 01544,
01841 (LEAD)
8541

Administrative Secretary
01313   0108

Tampa / Hillsborough

Law Enforcement
Lieutenant
01309   8522

Law Enforcement
Investigator II (5)
01157, 01197, 01198
(LEAD), 01696, 01701
8541

Administrative Secretary
01258   0108

West Palm Beach

Law Enforcement
Lieutenant
01306   8522

Law Enforcement
Investigator II (5)
01786, 01183, 01307,
01308, 01792 (LEAD)
8541

Sr. Word Processing
Systems Operator
01314   0093

Plantation

Law Enforcement
Lieutenant
01453   8522

Law Enforcement
Investigator II (5)
01802, 01833 (LEAD),
01837, 01839, 01840
8541

Miami

Law Enforcement
Lieutenant
01171   8522

Law Enforcement
Investigator II (6)
01233, 01548, 01610,
01780 (LEAD) , 01831,
01617   8541

Administrative Secretary
01259   0108

FTE = 38   ❖   **FTE not Included in this Section**
Italic = Organizationally Assigned. Reports elsewhere administratively. FTE counted.

**Eff 9-2-10
Rev 9-17-10**

5-2-3

Department of Financial Services
Division of Insurance Fraud
Panhandle Region

Pensacola

Law Enforcement   Captain
01202   8632

Tallahassee

Administrative
Secretary
01598   0108

Pensacola

Administrative
Secretary
00864   0108

Pensacola

**Law Enforcement
Lieutenant
01195   8522**

Law Enforcement Investigator II
(3)
01496, 01804, 01805
8541

Law Enforcement Investigator II
(5)
00692, 00897, 01539 (LEAD),
01543, 01803   8541

FTE = 12   ❖   **FTE not Included in this Section**
Italic = Organizationally Assigned. Reports elsewhere administratively. FTE counted.

Eff   08-01-10
Rev 09-7-10

5-2-4

Department of Financial Services
Division of Fraud
North Region

Jacksonville

```
Law Enforcement Captain
01012         8632
```

```
Law Enforcement Investigator II
(2)
01009, 01796    8541
```

```
Administrative
Secretary
00681         0108
```

```
Law Enforcement Lieutenant
01783         8522
```

```
Law Enforcement Investigator II
(8)
01009, 01011, 01173, 01191,
01505, 01781 (LEAD), 01794,
01796         8541
```

FTE: 11   ❖   **FTE not Included in this Section**
Italic = Organizationally Assigned. Reports elsewhere administratively. FTE counted.

Eff 08-01-10
Rev 9-07-10   **5-2-5**

Department of Financial Services
Division Insurance of Fraud
East Central Region

West Palm Beach

*Law Enforcement
Captain
01618   8632

West Palm Beach #1

Law Enforcement Lieutenant
00688   8522

Law Enforcement Investigator
II (5)
01454 (LEAD), 01503, 00666,
01789, 01694   8541

West Palm Beach #2

Law Enforcement Lieutenant
00678   8522

Law Enforcement Investigator
II (4)
00691, 01367, 01540 (LEAD),
01607   8541

**Administrative
Secretary**
01368   0108

West Palm Beach #3

Law Enforcement Lieutenant
01013   8522

Law Enforcement Investigator
II (6)
00138, 01597, 01788, 01790
(LEAD), 01834, 01609
8541

Orlando #1

Law Enforcement Lieutenant
01546   8522

Law Enforcement Investigator
II (5)
01498, 01537, 01787, 01798
(LEAD), 01830   8541

Orlando #2

Law Enforcement Lieutenant
01205   8522

Law Enforcement Investigator
II (5)
00689, 01547, 01604, 01793
(LEAD), 01829
8541

FTE = 32

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

Eff 9-2-10
Rev 09-17-10

5-2-6

Department of Financial Services
Division of Insurance Fraud
West Central Region

Tampa

Law Enforcement
Captain
01200   8632

Tampa

Law Enforcement Lieutenant
00638   8522

Law Enforcement Investigator II
(7)
00139, 00683, 01014, 01172,
01605, 01785, 01795 (LEAD)
8541

St Petersburg

Law Enforcement Lieutenant
00682   8522

Law Enforcement Investigator II
(7)
01193, 01199, 01536, 01542,
01691, 01791, 01832 (LEAD)
8541

Administrative
Secretary
00684   0108

Ft Myers

Law Enforcement Lieutenant
00685   8522

Law Enforcement
Investigator II (6)
00679 (LEAD), 00908, 01192
01260, 01504, 01842   8541

Administrative Secretary
01600   0108

FTE = 26

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

Eff   08-01-2010
Rev 09-07-2010

5-2-7

Department of Financial Service
Division of Insurance Fraud
South Region

*Law Enforcement Captain
00364　　8632

Plantation

Law Enforcement Lieutenant
01007　　8522

Law Enforcement Investigator II (5)
00879, 01206, 01797, 01835 (LEAD), 01779　　8541

Administrative Secretary
00690　　0108

Miami Dade #1

Law Enforcement Lieutenant
00677　　8522

Law Enforcement Investigator II (4)
01778 (LEAD), 01799, 01801, 01806　　8541

Miami Dade #2

Law Enforcement Lieutenant
01619　　8522

Law Enforcement Investigator II (4)
00680, 01777, 01782 (LEAD), 01836　　8541

Administrative Secretary
01008　　0108

Miami Dade #3

Law Enforcement Lieutenant
01690　　8522

Law Enforcement Investigator II (5)
01458, 01541, 01784 (LEAD), 01800, 01838　　8541

Word Processing Systems Operator
00253　　0090

Miami Dade #4

Law Enforcement Lieutenant
01500　　8522

Law Enforcement Investigator II (4)
01196, 01201, 01545, 01843 (LEAD)　　8541

FTE = 33　❖　FTE not Included in this Section
Italic = Organizationally Assigned. Reports elsewhere administratively. FTE counted.

Eff 08-31-10
Rev 09-16-10　　5-2-8

Department of Financial Services
Division of Workers' Compensation

```
                        ┌─────────────────────────┐
                        │  Director of Workers'   │
                        │      Compensation       │
                        │    03006      9665      │
                        └─────────────────────────┘

   ┌──────────────────────────┐        ┌──────────────────────────┐
   │   Operations &           │        │   Operations &           │
   │   Management             │        │   Management             │
   │   Consultant II-SES      │        │   Consultant II-SES      │
   │   03152      2236        │        │   03526      2236        │
   └──────────────────────────┘        └──────────────────────────┘

      ┌───────────────────────┐           ┌───────────────────────┐
      │   Administrative      │           │   Management          │
      │   Assistant I         │           │   Analyst II-SES      │
      │   03012      0709     │           │   03082      2212     │
      └───────────────────────┘           │   (see pg 6-2-6)      │
                                          └───────────────────────┘
      ┌───────────────────────┐           ┌───────────────────────┐
      │   Records Technician  │           │   Management          │
      │   03319      0045     │           │   Analyst II-SES      │
      └───────────────────────┘           │   03317      2212     │
                                          │   (see pg 6-2-6)      │
      ┌───────────────────────┐           └───────────────────────┘
      │ Government Operations │
      │ Consultant I - SES    │
      │   03008      2234     │
      └───────────────────────┘

                        ┌─────────────────────────┐
                        │ Assistant Director OF   │
                        │ WORKERS' COMPENSATION   │
                        │   03501      7880       │
                        └─────────────────────────┘

      ┌───────────────────────┐
      │   WC Policy           │
      │   Coordinator-SES     │
      │   03502      9093     │
      └───────────────────────┘

      ┌───────────────────────┐
      │   Communications      │
      │   Coordinator         │
      │   03223      7596     │
      └───────────────────────┘
```

Data Quality & Collection

❖ Chief of Operations and Support 03101 9687	❖ Chief of Monitoring and Audit 03134 9686	❖ Chief of Employee Assistance 03244 8854	Sr Management Analyst Supervisor-SES 03522 2228	❖ Chief of Compliance 03009 7951

Division Total FTE: 354
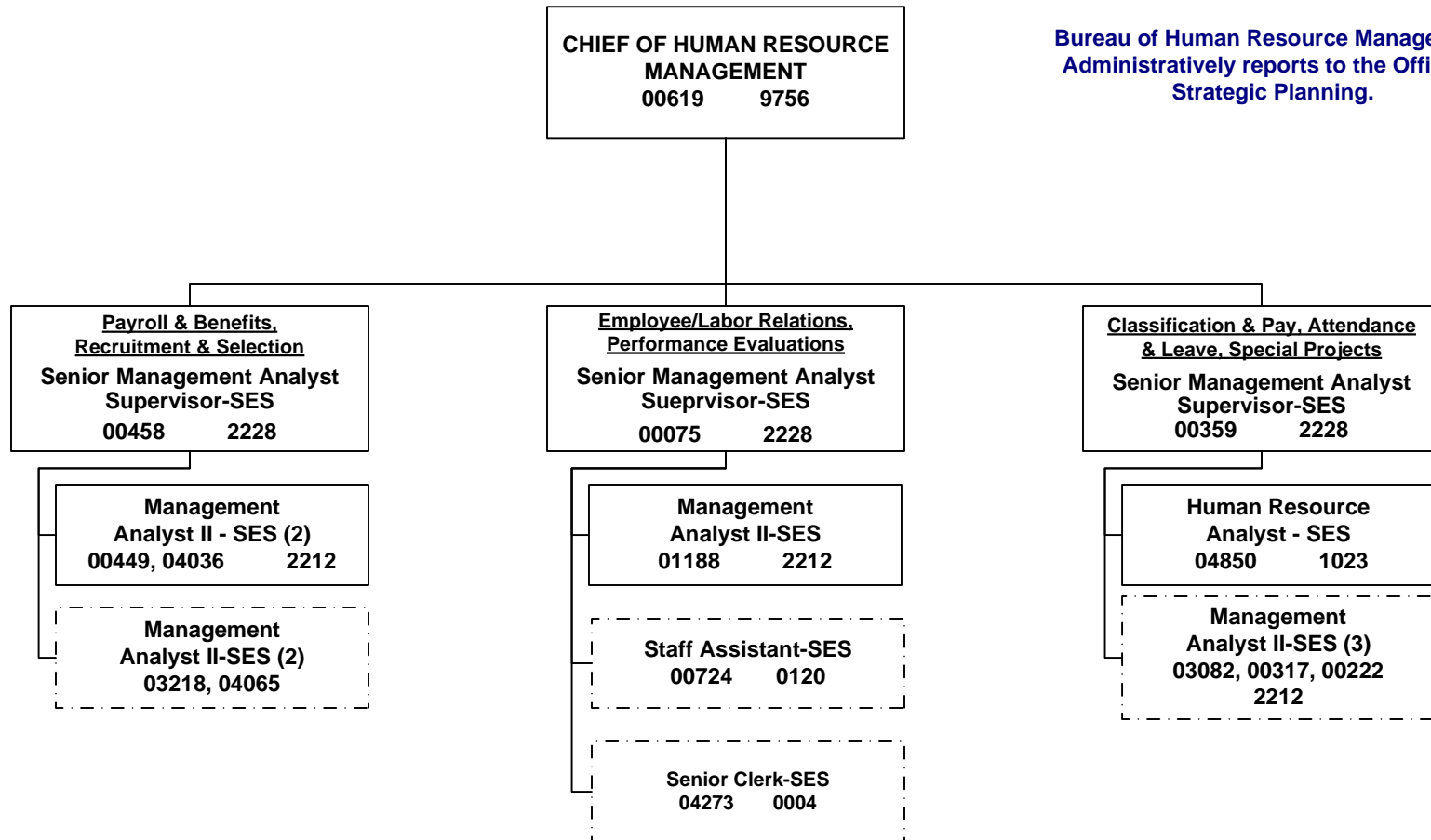**Director Office Total FTE: 11**

❖   FTE not Included in this Section
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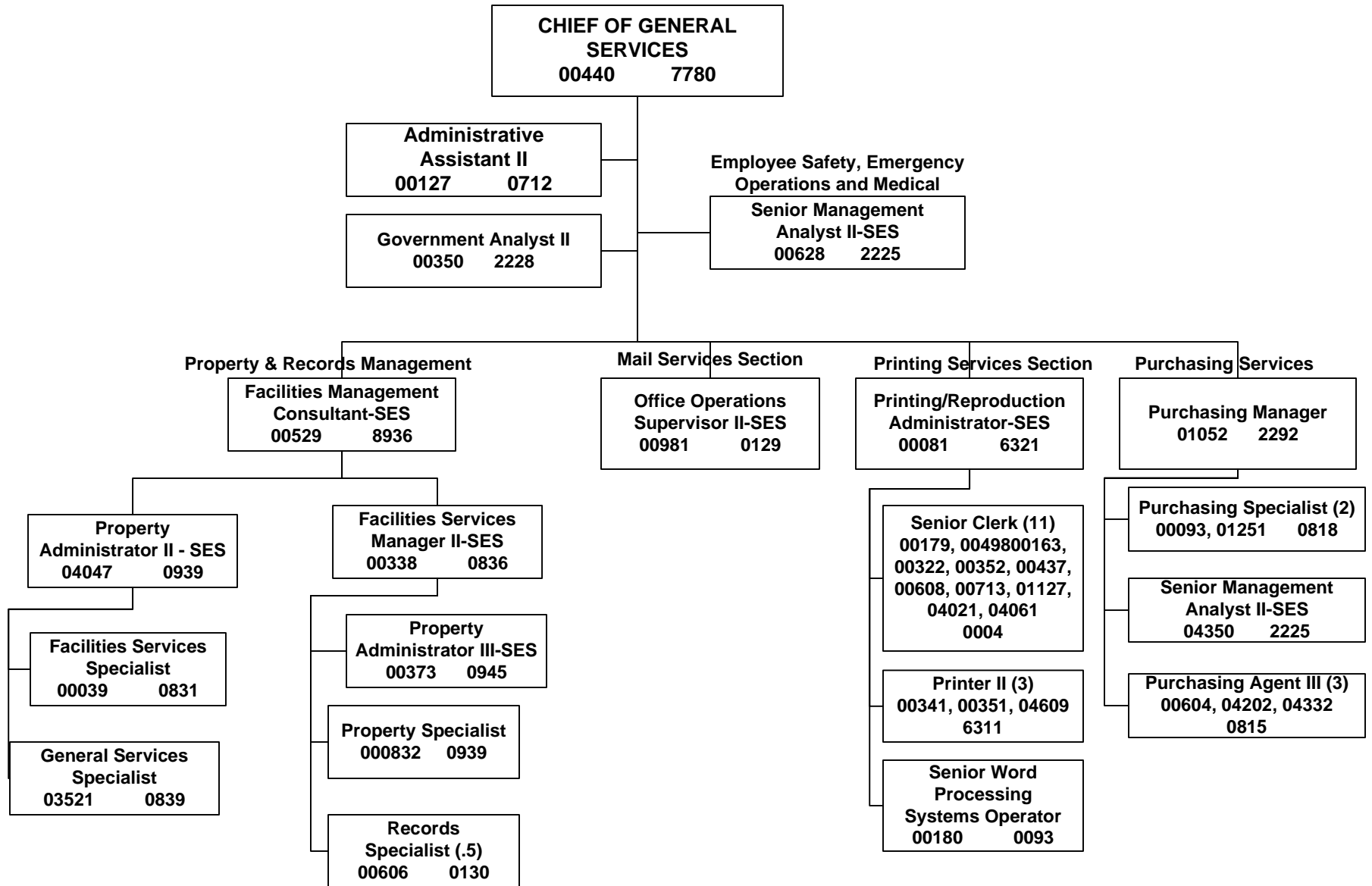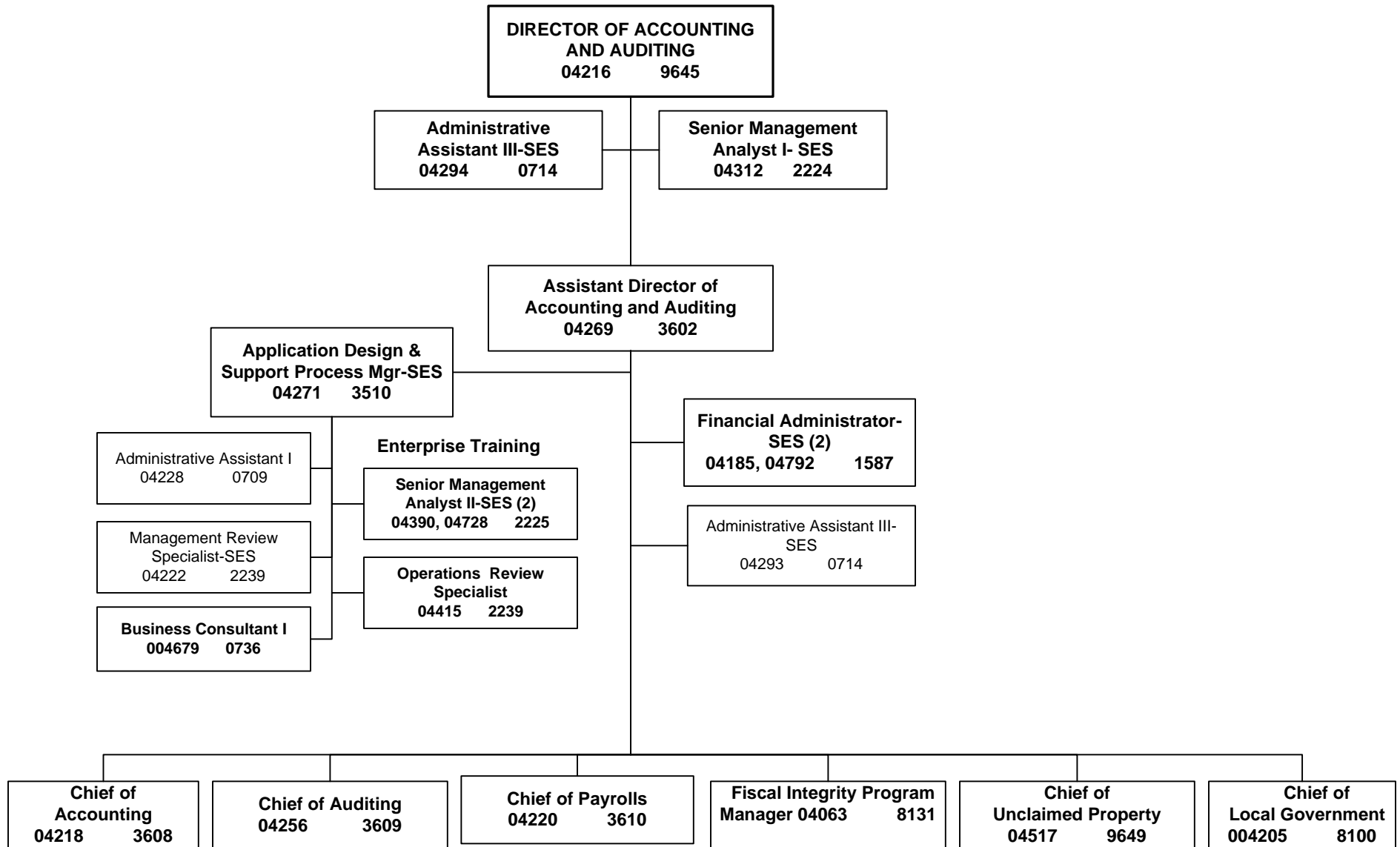Italic = Organizationally Assigned. Reports elsewhere administratively. FTE counted.
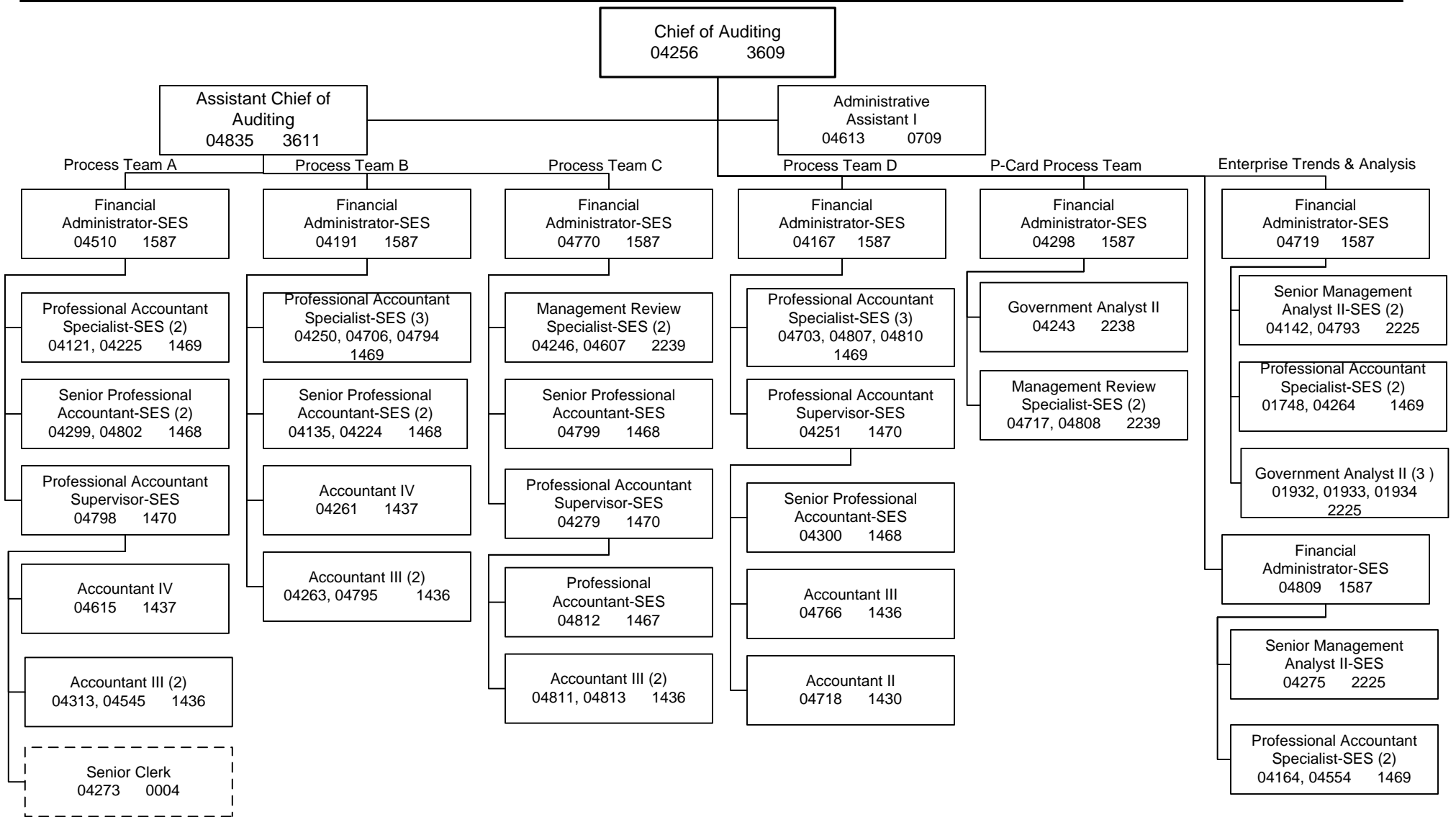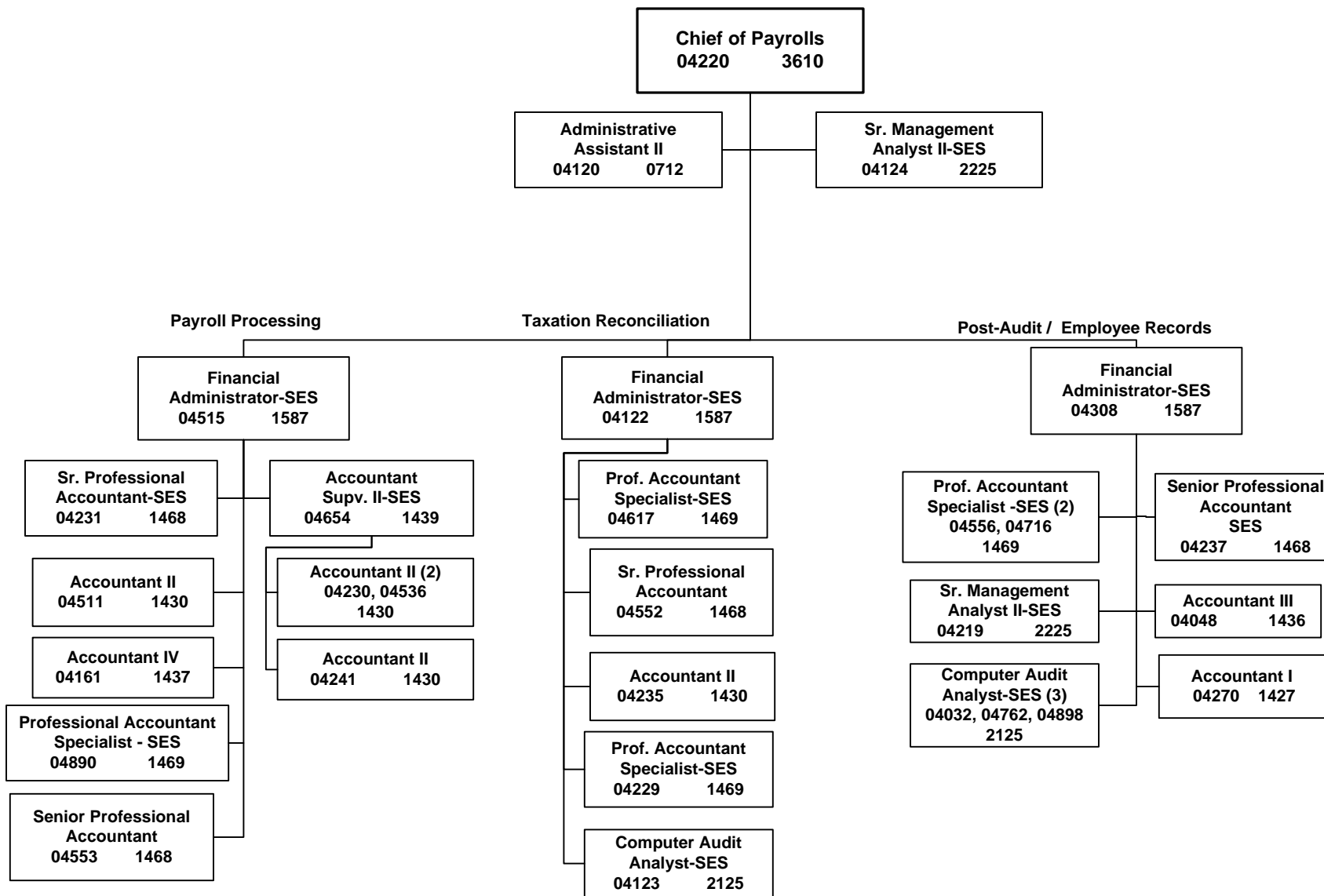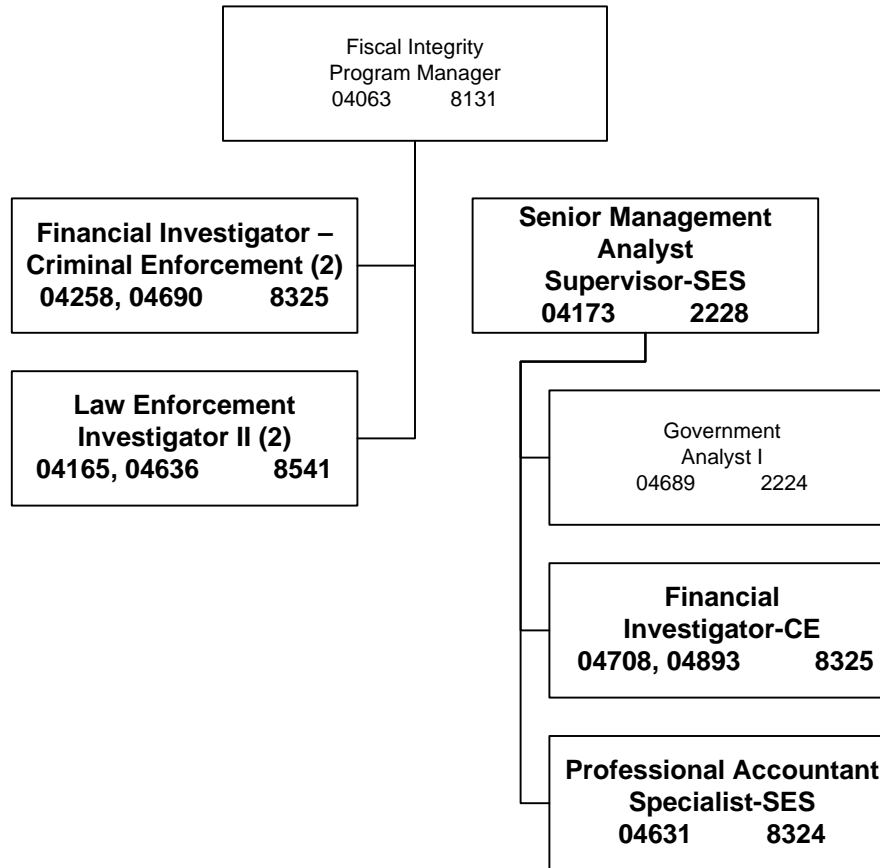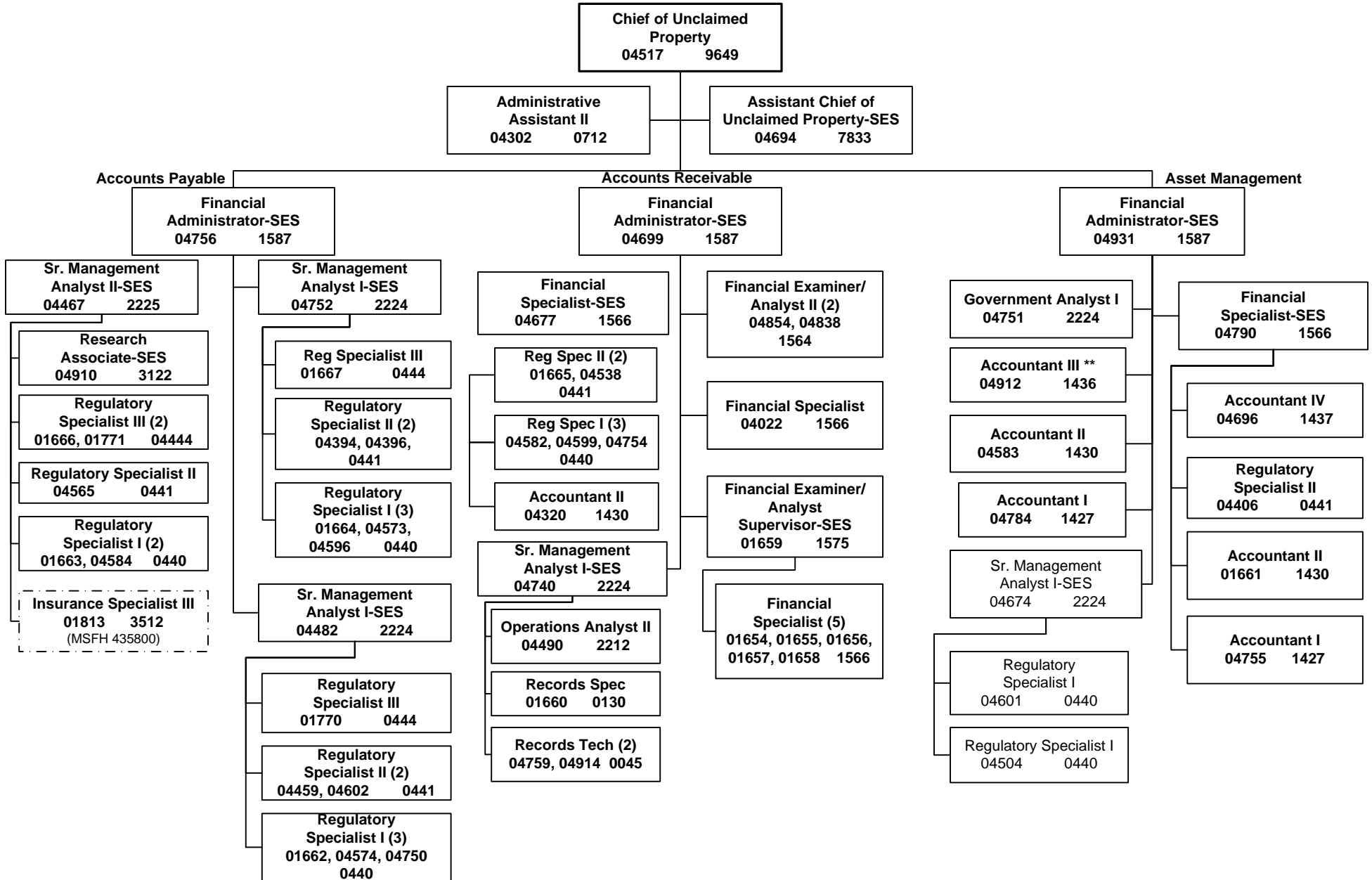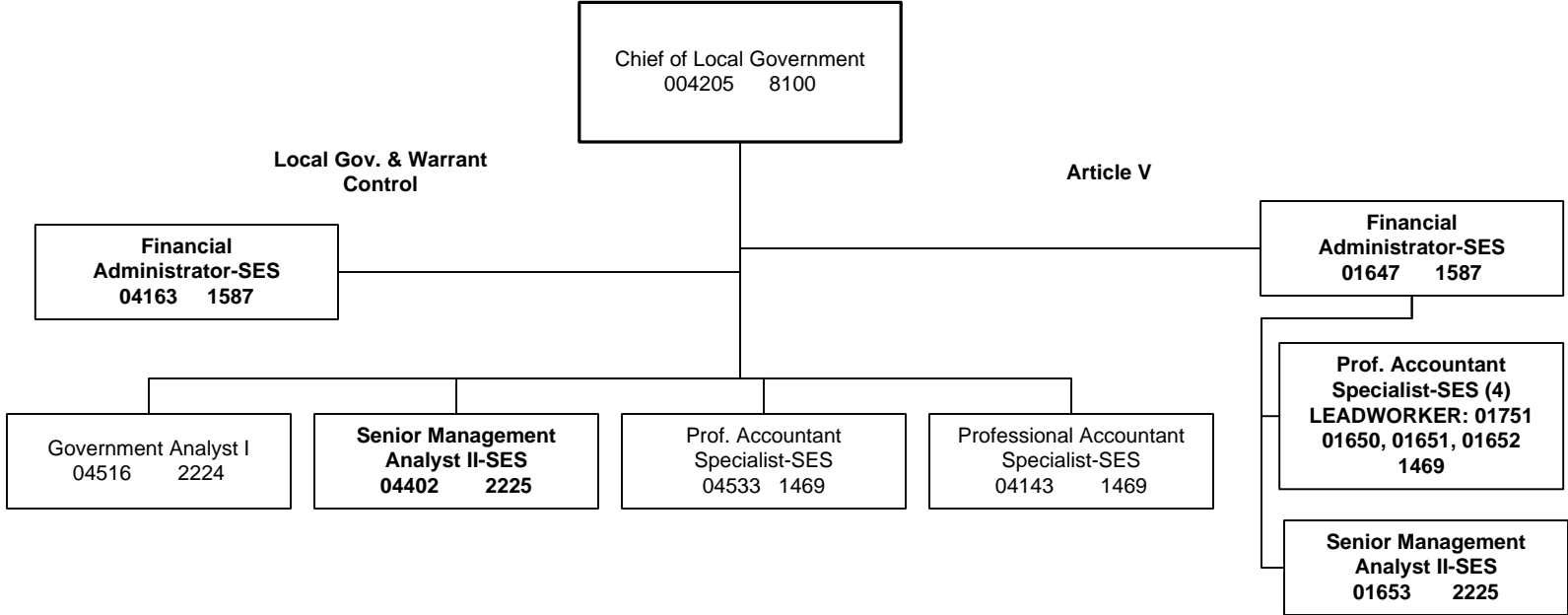
Eff 09-30-10
Rev 09-30-10

5-3-1

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

Chief of
Operations and Support
03101   9687

Office of Research Services

Operations & Management
Consultant Manager-SES
03241   2238

Senior Management
Analyst Supervisor-SES
03125   2228

Administrative
Assistant II
03236   0712

Operations Analyst II
03180   2212

Government
Analyst II
03118   2225

PT Supplements

Insurance Specialist I
03079   3508

System Project Analyst
03005   2107

Special Disability Trust Fund   Assessments

Insurance
Administrator C-SES
03231   3533

Senior Management
Analyst I - SES
03001   2224

Actuary
03168   3554

Federal Labor Statistics

WC Specialist II (5)
03004, 03169, 03232,
03257, 03262   3322

Records Technician (2)
03062, 03259   0045

Insurance
Specialist III (2)
03240, 03273   3512

OMC Manager - SES
03153   2238

Professional Accountant
03003   1467

Administrative Secretary
03263   0108

Actuarial Analyst
03255   3533

Research Assistant
03074   3120

Insurance Specialist II
03187   3509

Senior Clerk
03201   0004

Operations &
Management Consultant
II-SES
03250   2236

Statistician III (3)
03272, 03131,
03322   3115

Administrative
Assistant I
03106   0709

Total FTE: 32

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

Eff 06-04-10
Rev 06-14-10

5-3-2

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

CHIEF OF MONITORING AND AUDIT
03134   9686

Government Analyst II
03252   2225

Administrative Assistant II
03129   0712

Audit Section

Senior Management Analyst II-SES
03141   2225

Government Analyst I (2)
03144, 03525   2224

Insurance Administrator C-SES
03211   3533

Insurance Administrator C-SES
03110   3533

Insurance Specialist III (4)
03107, 03122, 3143, 03212   3512

Ins. Specialist I(2)
03010, 03531   3508

Insurance Specialist III (7)
01689, 03065, 03112, 03195, 03208, 03239, 03520   3512

Workers' Compensation Specialist (2)
03145, 03193   3322

Penalty Section

Senior Management Analyst II-SES
03138   2225

Insurance Administrator C-SES
01685   3533

Insurance Specialist III (3)
01687, 01688, 03142   3512

Insurance Administrator C-SES
03120   3533

Insurance Specialist III (5)
01686, 03071, 03111, 03197, 03230   3512

Records Technician
03160   0045

Administrative Secretary
03105   0108

Medical Services

Program Administrator-SES

Senior Management Analyst II-SES
03016   2225

Permanent Total Section

Insurance Administrator C-SES
03007   3533

Insurance Specialist III (5)
03067, 03070, 03108, 03113, 03318   3512

Senior Clerk
03209   0004

Self-Insurance

Senior Clerk
03156   0004

Insurance Administrator C-SES
03114   3533

Government Analyst I
03191   2224

Workers Compensation Specialist (2)
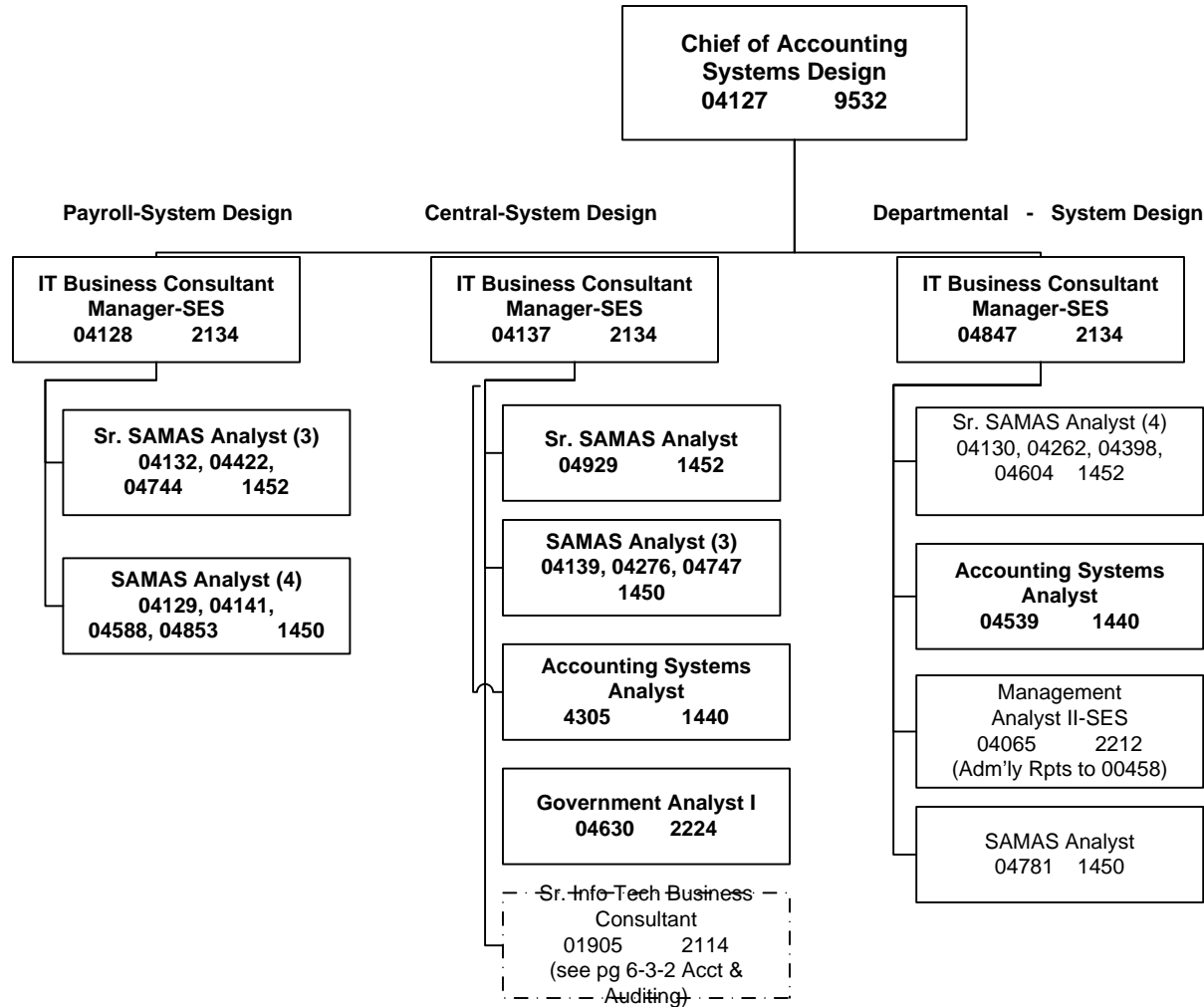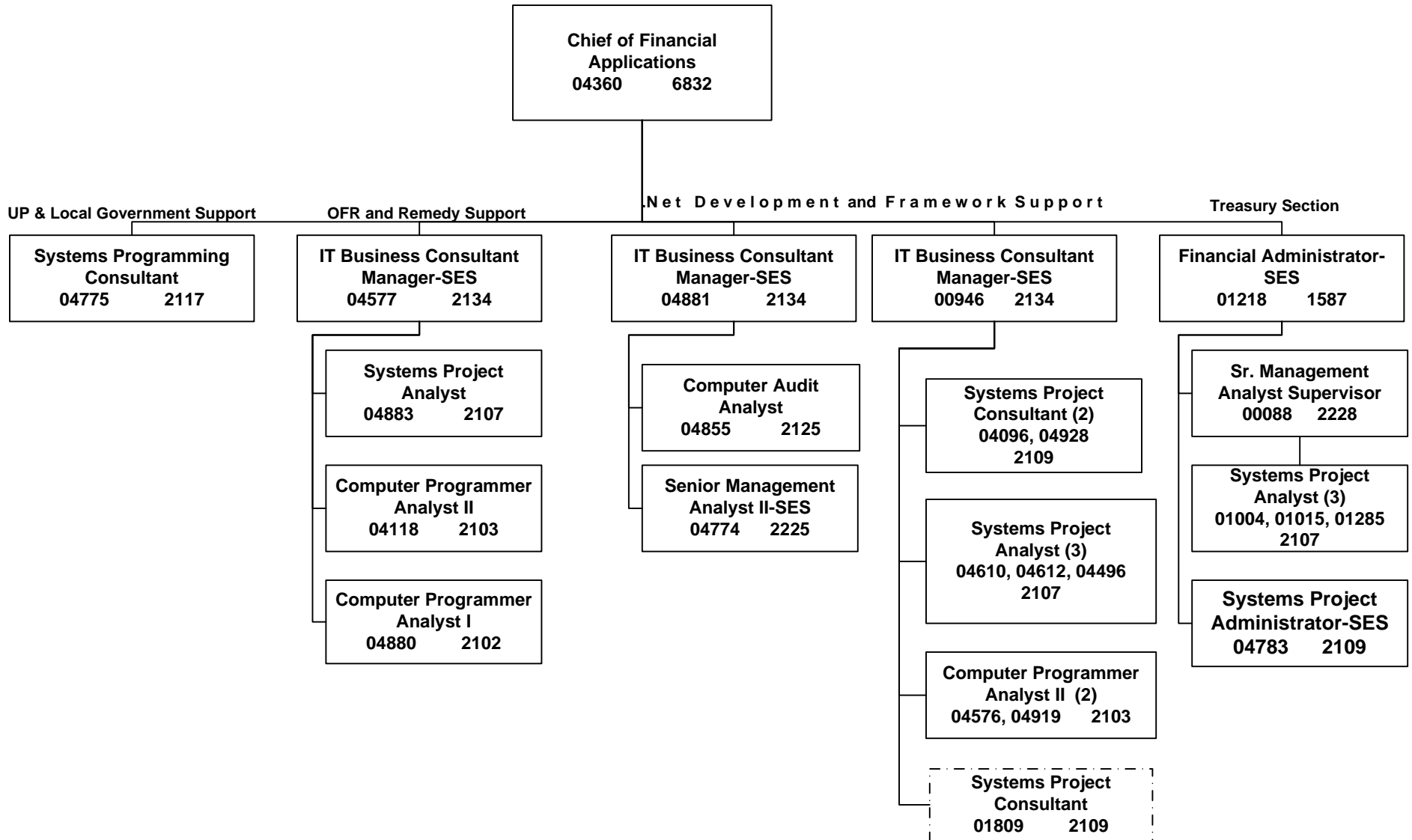03214, 03088   3322
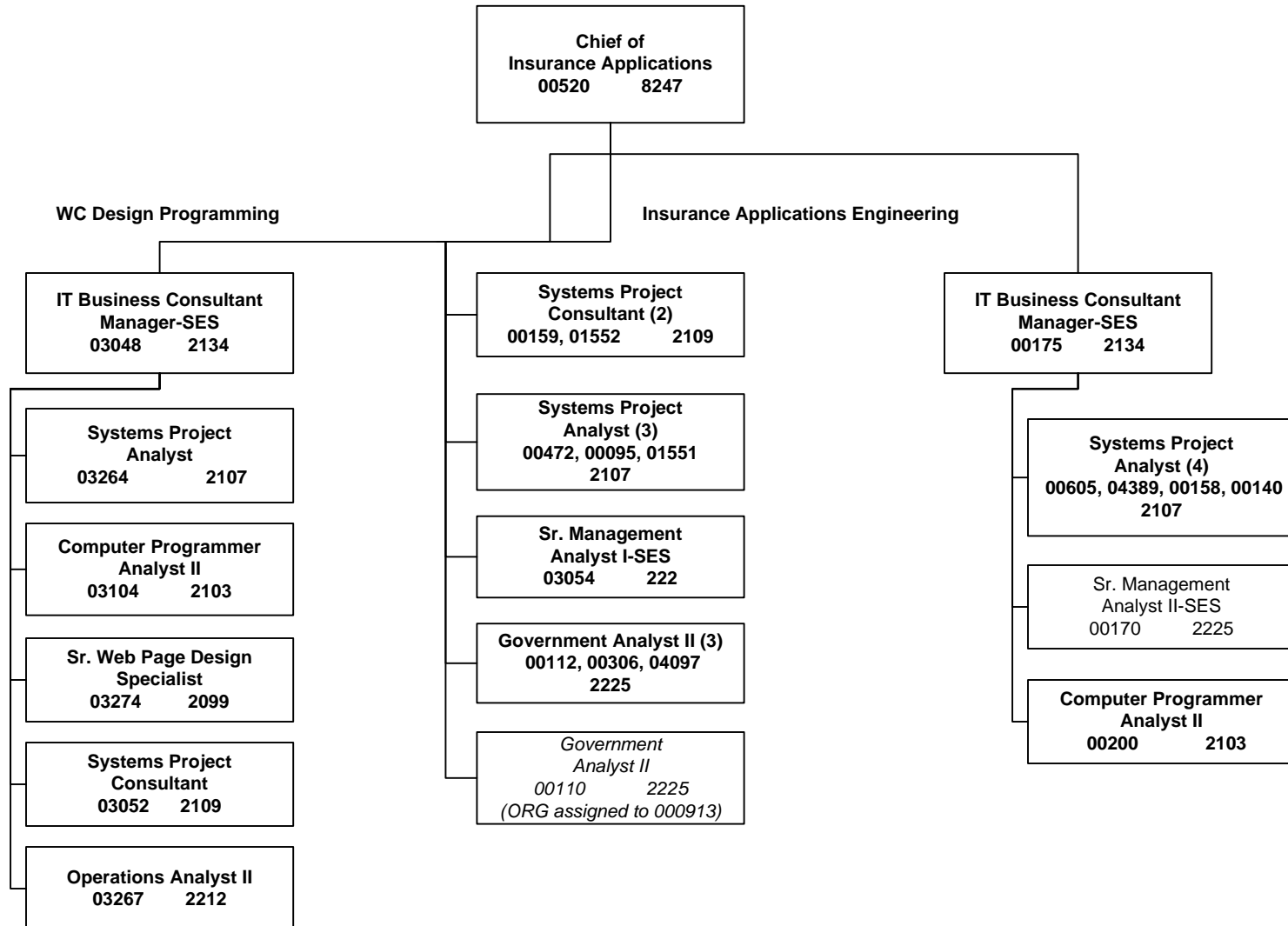

Bureau Total FTE: 49

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

Eff 08-01-10
Rev 09-01-10

5-3-3

CHIEF OF EMPLOYEE
ASSISTANCE
03244   8854

Administrative
Assistant II
03179   0712

Customer Services Call Center

Insurance
Administrator C - SES
03215   3533

Administrative Assistant I
03189   0709

Insurance
Specialist III (5)
03135, 03194, 03280,
03306, 03293   3508

Information
Specialist III
03057   3736

Insurance
Specialist I (3)
03017, 03020, 03022
3508

Research
Associate
03238   3122

Central Investigations   **F i e l d   I n v e s t i g a t i o n s**

❖   **Tallahassee**
Senior Management
Analyst
Supervisor - SES
03100   2228

❖   **Tampa**
Insurance
Administrator C-SES
03089   3533

❖   **Orlando**
Insurance
Administrator C-SES
03121   3533

❖   **Miami**
Insurance
Administrator C-SES
03123   3533

❖   **Ocala**
Insurance
Administrator C-SES
03320   3533

Office of the Chief FTE: 14
Bureau Total FTE: 55

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

Eff 03-29-10
Rev 04-14-10

5-3-4

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

CHIEF OF EMPLOYEE ASSISTANCE
03244   8854

Central Investigatons

F l e d   I n v e s t i g a t i o n s

Senior Management Analyst Supervisor - SES
03100   2228

Ocala Insurance Administrator C-SES
03320   3533

Tampa Insurance Administrator C-SES
03089   3533

Tallahassee Insurance Administrator C-SES
03121   3533

Miami Insurance Administrator C-SES
03123   3533

Tallahassee Insurance Specialist III (6)
003059, 03099, 03292, 03124, 03127, 03294   3512

Jacksonville Insurance Specialist III
03286   3512

Ocala Insurance Specialist III (2)
03287, 03304
3512

Tampa Insurance Specialist III (5)
03096, 03221, 03226, 03278, 03305
3512

Jacksonville Government Analyst I
03227   2224

Insurance Specialist III (5)
03126, 03225, 03275, 03276, 03303
3512

Orlando Insurance Specialist III (4)
03098, 03133, 03279, 03283   3512

Pensacola Government Analyst I
03285   2224

Fort Lauderdale Insurance Specialist III
03308   3512

Tallahassee Government Analyst I
03296   2224

Administrative Assistant II
003218   0712
(see p. 2-2-6)

Tampa Government Analyst I
03222   2224

Orlando Government Analyst I
03282   2224

Ocala Government Analyst I
03281   2224

Tallahassee Government Analyst I (3)
03217, 03518, 03220
2224

Ins. Specialist I(2)
03010, 03531   3508
03075   2224
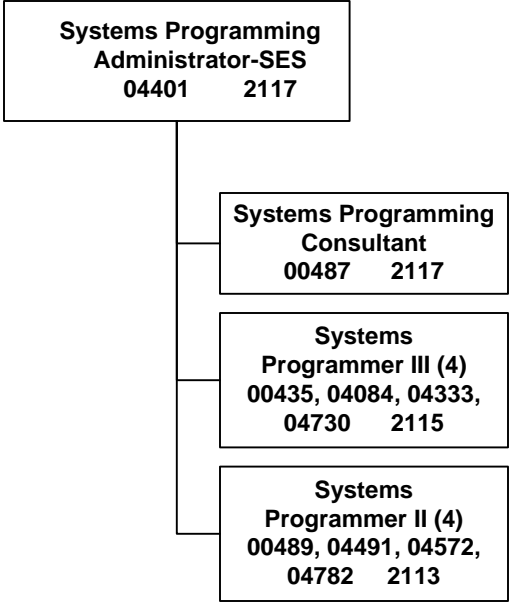
Field Offices FTE: 40

❖   **FTE not Included in this Section**
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Italic = Organizationally Assigned. Reports elsewhere administratively. FTE counted.
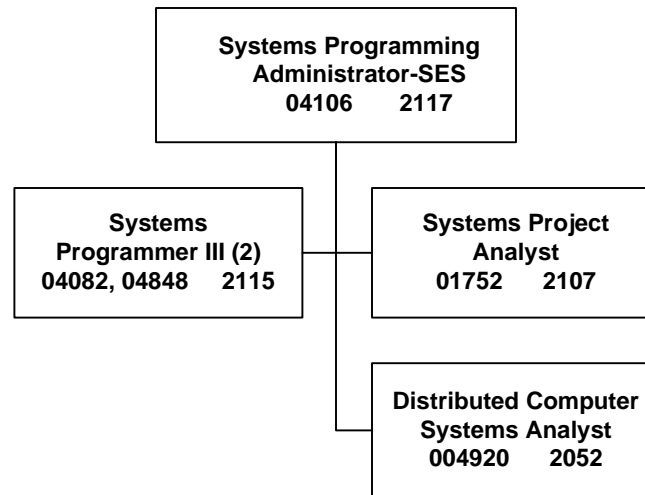
Eff 02-05-10
Rev 02-17-10

5-3-5

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

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

**Operations Review
Specialist
03055   2239**

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

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

**Government Analyst II
03140   2225**

Electronic Data Interchange

**System Project
Administrator-SES
03103   2109**

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

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

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

Electronic Data Management

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

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

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

Medical Data Management

**System Project
Administrator-SES
03533   2109**

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

**System Project
Analyst
03535   2107**

**Government
Analyst I (2)
03205, 03529
2224**

Benefits Data Team

**Management
Analyst II-SES
03063   2212**

**Insurance
Specialist I (9)
03076, 03116, 03158,
03167, 03210, 03132
03077, 03064, 03115
3508**

**Wage Loss
Insurance
Specialist I (2)
03078, 03177
3508**

Records Management

**Insurance
Administrator C-SES
03228   3533**

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

**Management
Analyst II -SES
03119   2212**

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

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

Office Total FTE: 45

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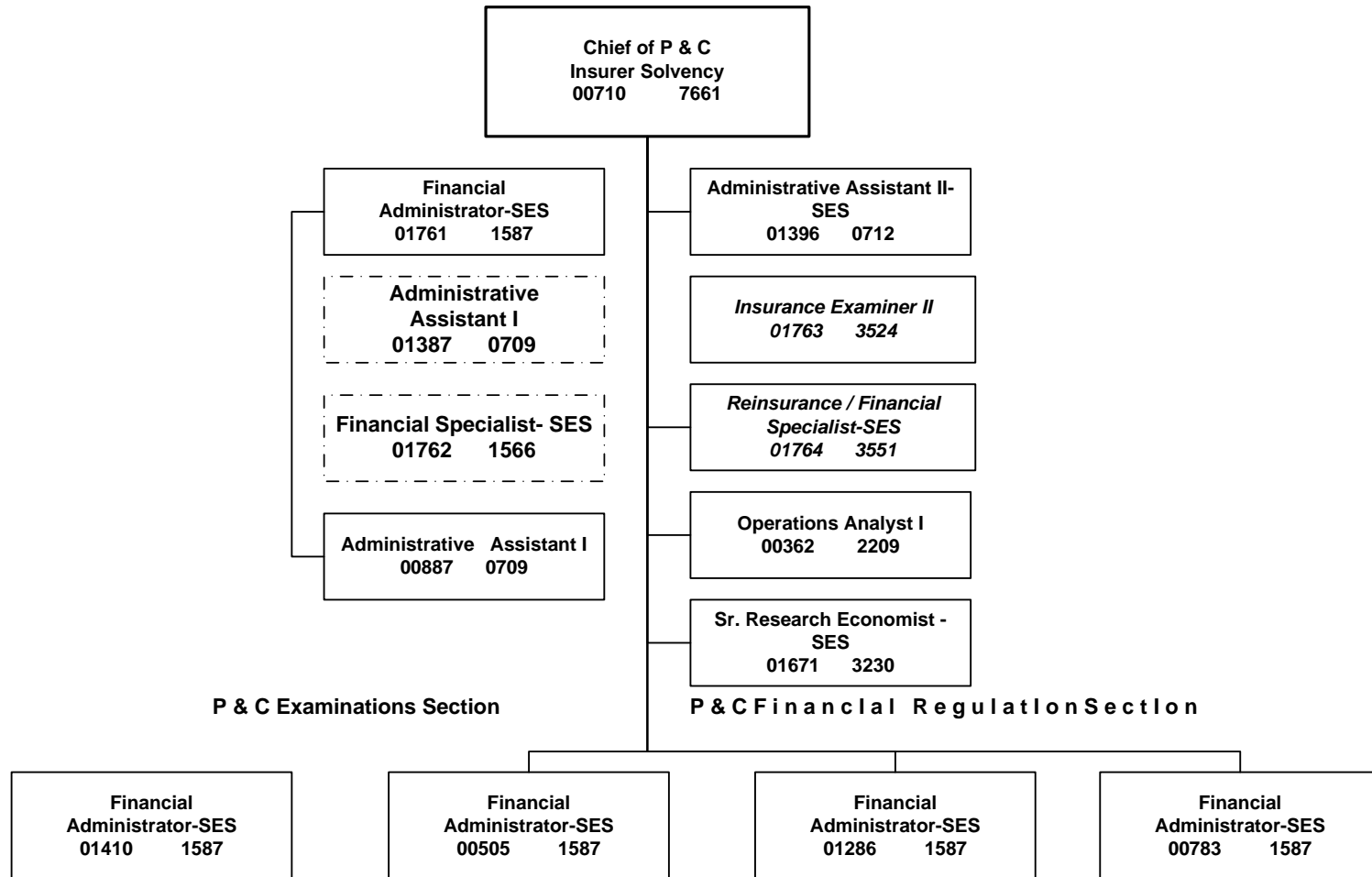**Italic = Organizationally Assigned. Reports elsewhere administratively. FTE counted.**

**Eff 08-01-10
Rev 09-01-10**

5-3-6

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

CHIEF OF COMPLIANCE
03009   7951

Government Analyst I
03309   2224

Senior Management Analyst I-SES
03092   2224

Government Analyst II
03246   2225

Ins. Specialist I(2)
03010, 03531   3508

Government Analyst I
03277   2224

Coverage

Financial Accountability

Investigation Manager-SES
03025   8357

❖ **Pensacola Insurance Administrator C-SES**
03148   3533

❖ **Ft. Myers Insurance Administrator C-SES**
03188   3533

❖ **Tampa Insurance Administrator C-SES**
03035   3533

Jacksonville Investigation Manager-SES
03166   8357

❖ **Jacksonville Insurance Administrator C-SES**
03042   3533

❖ **Orlando Insurance Administrator C-SES**
03028   3533

❖ **West Palm Beach Insurance Administrator C-SES**
03080   3533

❖ **Miami Insurance Administrator C-SES**
03036   3533

Senior Management Analyst II-SES
03196   2225

Operations & Management Consultant I-SES
03258   0714

Insurance Specialist II (3)
03018, 03019, 03204
3509

Insurance Specialist I (9)
03023, 03024, 03027,
03086, 03087, 03147,
03182, 03207, 03509
3508

Government Analyst I
03269   2224

Professional Accountant Specialist - SES
03216   1469

Administrative Secretary
03146   0108

Insurance Specialist III
03157   3512

Management Analyst I-SES
03270   2224

Insurance Specialist I (2)
03199, 03289   3508

Insurance Specialist II
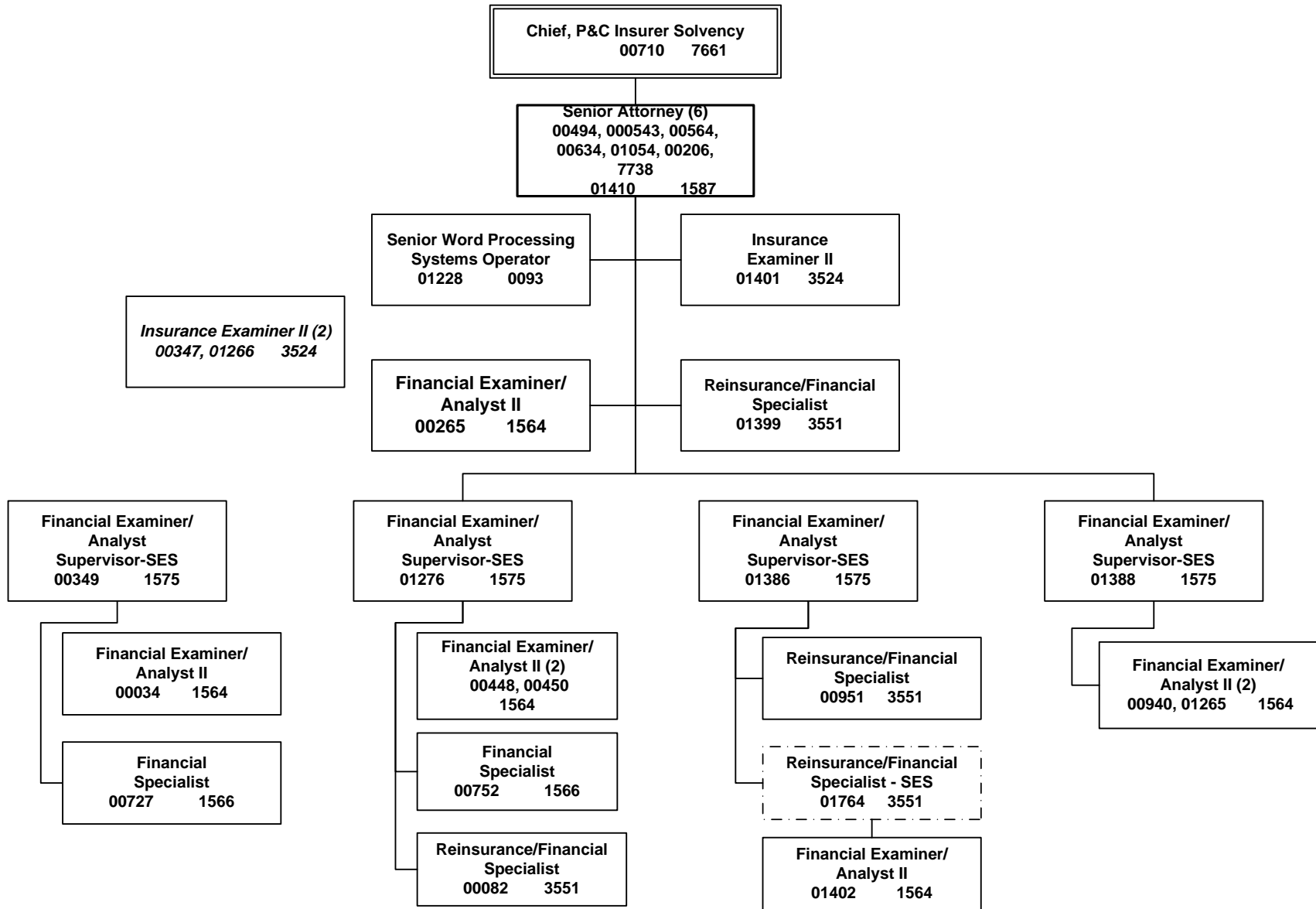03050   3509

Office of the Chief FTE: 31
Bureau Total FTE: 147

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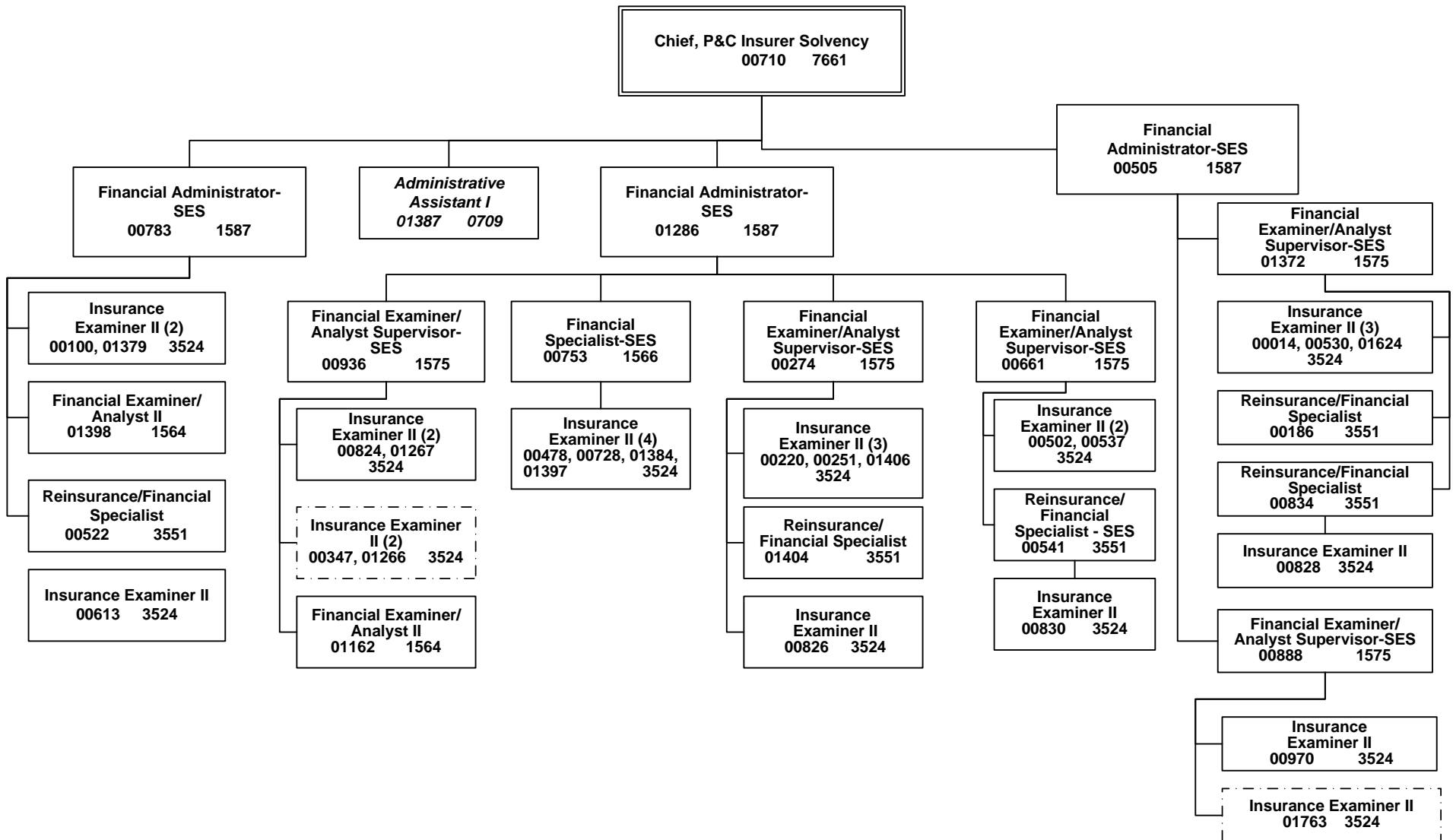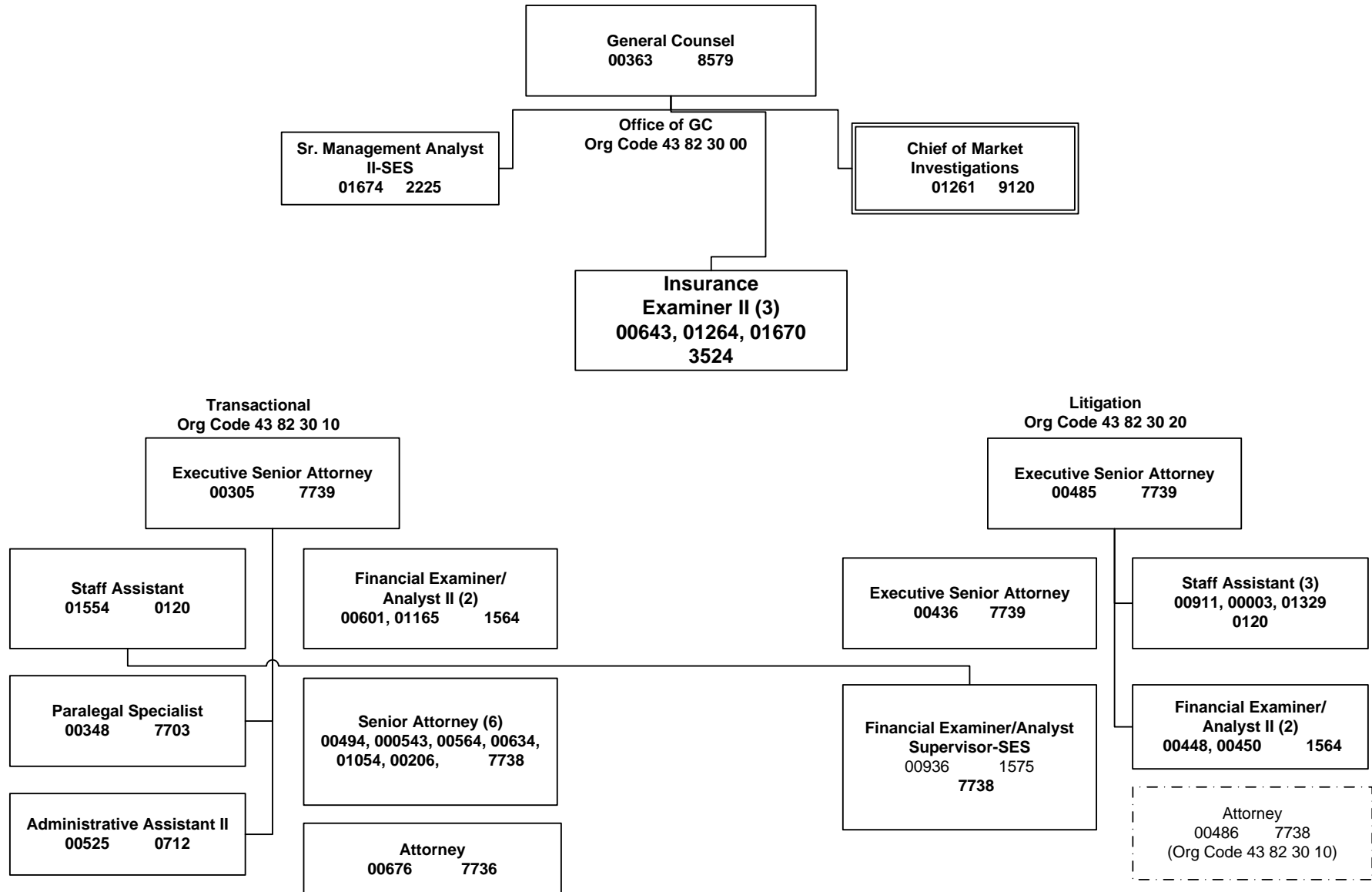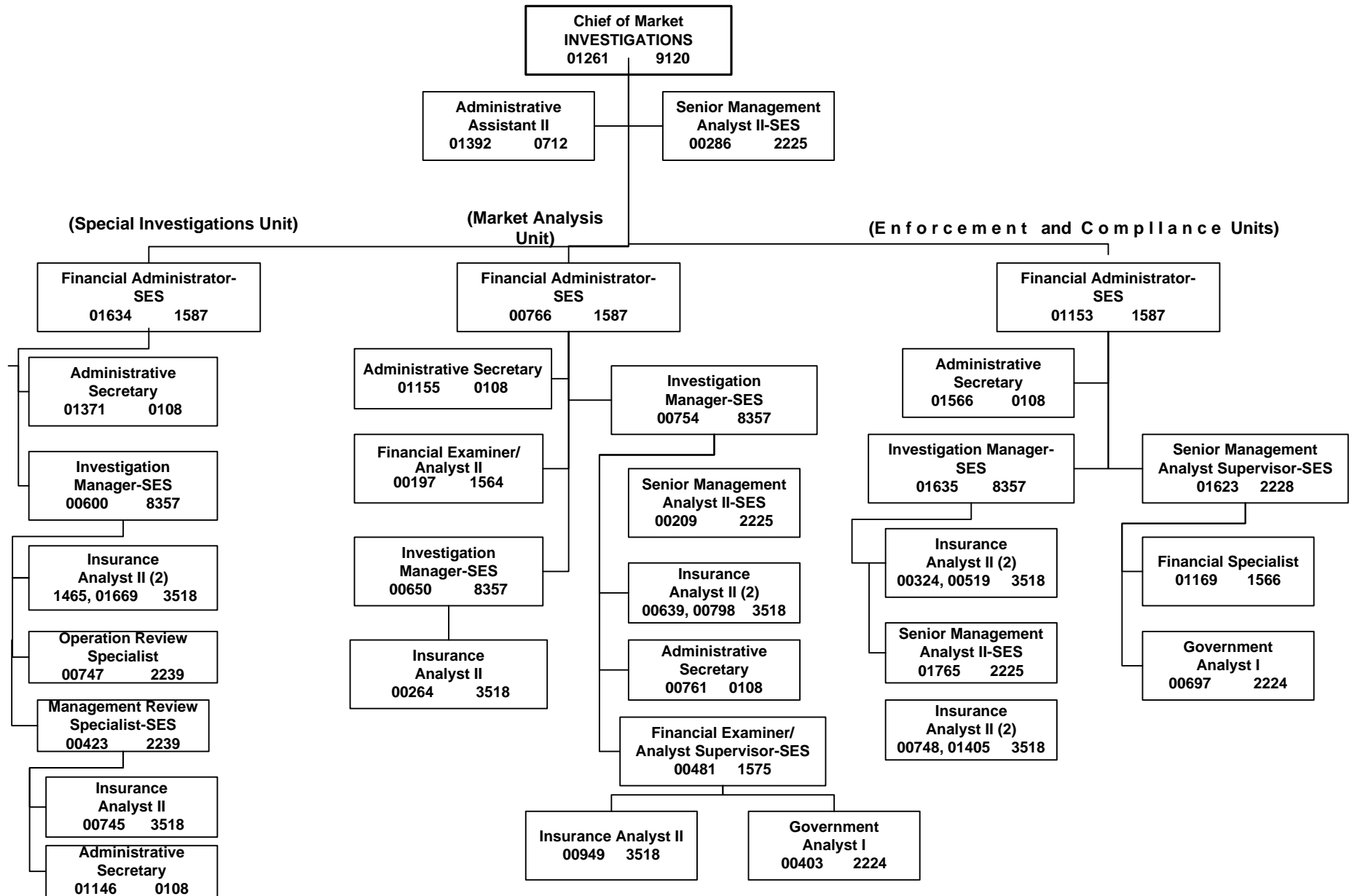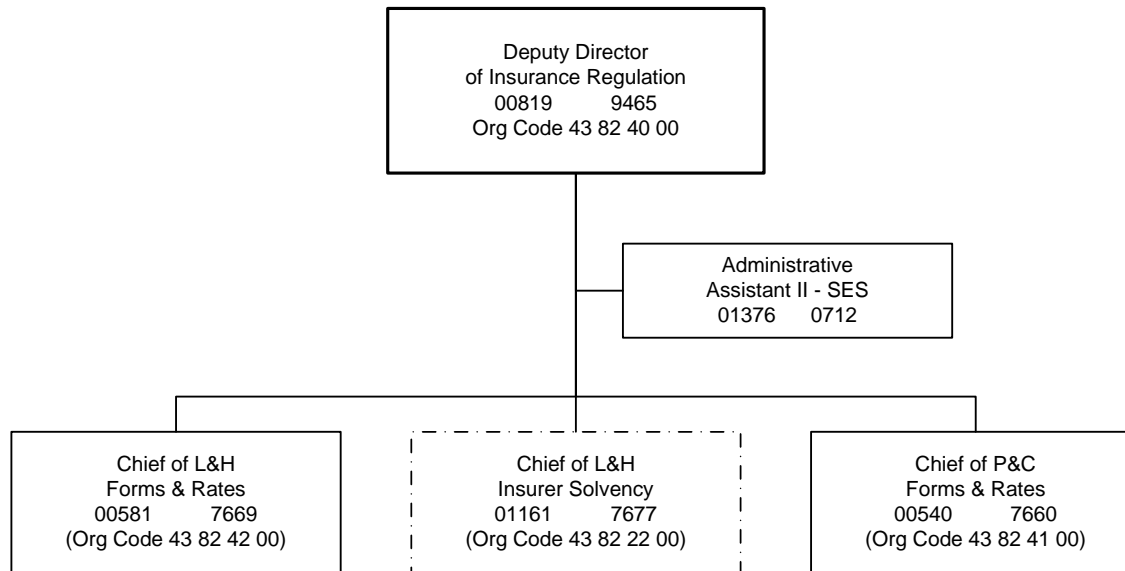**Italic = Organizationally Assigned. Reports elsewhere administratively. FTE counted.**

Eff 09-1-10   **5-3-7**
Rev 09-17-10

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

Jacksonville Insurance Administrator C-SES
03042   3533

- **Insurance Analyst II** 03200   3518
- Ins. Specialist I(2) 03010, 03531   3508
- **Insurance Analyst II (5)** 03085, 03612, 03613, 03614, 03623   3518
- **Insurance Specialist I (3)** 03032, 03053, 03505   3508
- **Insurance Specialist III (2)** 03136, 03311   3512
- **St. Augustine Insurance Analyst II (2)** 03299, 03622   3518
- **Ocala Insurance Analyst II** 03312   3518
- **Ocala Insurance Spec I** 03081   3508

Orlando Insurance Administrator C-SES
03028   3533

- **Insurance Analyst II LEAD WORKER** 03083   3518
- **Insurance Analyst II (8)** 03030, 03031, 03300, 03314, 03604, 03624, 03625, 03626   3518
- **Insurance Specialist I (3)** 03178, 03504, 03515   3508
- **Insurance Specialist III (2)** 03307, 03519   3512
- **Daytona Beach Insurance Analyst II** 03029   3518

Pensacola Insurance Administrator C-SES
03148   3533

- **Insurance Analyst II LEAD WORKER** 03601   3518
- Ins. Specialist I(2) 03010, 03531   3508
- **Insurance Analyst II (3)** 03091, 03301, 03616   3518
- **Insurance Specialist III** 03321   3512
- **Insurance Specialist I** 03510   3508
- **Ft. Walton Bch. Insurance Analyst II (2)** 03603, 03635   3518
- **Panama City Insurance Analyst II (2)** 03615, 030226   3518
- **Tallahassee Insurance Analyst II (3)** 03532, 03268, 3316,   3518
- **Insurance Specialist III** 03298   3512

Tampa Insurance Administrator C-SES
03035   3533

- **Insurance Analyst II LEAD WORKER** 03151   3518
- **Insurance Analyst II (5)** 03094, 03313, 03630, 03631, 03632   3518
- **Insurance Specialist III** 03192   3508
- **Sarasota**
- **Insurance Specialist I (5)** 03190, 03506, 03507, 03508, 03524   3508
- Ins. Specialist I(2) 03010, 03531   3508   03516   3509
- **Insurance Analyst II (4)** 03033, 03045, 03150, 03633   3518

West Palm Beach Insurance Administrator C-SES
03080   3533

- **Insurance Analyst II LEAD WORKER** 03046   3518
- **Ins. Analyst II (5)** 03034, 03310, 03627, 03628, 03606   3518
- **Insurance Specialist III (2)** 03128, 03219   3512
- **Insurance Specialist II** 03513   3509
- Ins. Specialist I(2) 03010, 03531   3508
- **Administrative Assistant I** 03251   0709
- **Ft. Lauderdale Insurance Analyst II (5)** 03014, 03040, 3605, 03607, 03629   3518
- **Insurance Specialist III** 03224   3512
- **Insurance Specialist I** 03512   3508

Ft. Myers Insurance Administrator C-SES
03188   3533

- **Insurance Analyst II LEAD WORKER** 03013   3518
- **Insurance Analyst II (8)** 03044, 03043, 03084, 03611, 03617, 03618, 03619, 03620   3518
- **Insurance Specialist I (2)** 03514, 00874   3508
- Ins. Specialist I(2) 03010, 03531   3508   03288, 03621   3512

Miami Insurance Administrator C-SES
03036   3533

- **Insurance Analyst II LEAD WORKER** 03608   3518
- Insurance Analyst II (10) 03037, 03038, 03039, 03041, 03149, 03315, 03602, 03609, 03610, 03634   3518
- **Insurance Specialist I (3)** 03066, 03090, 03517   3508
- **Insurance Specialist III (2)** 03097, 03297   3512

Field Office FTE: 115

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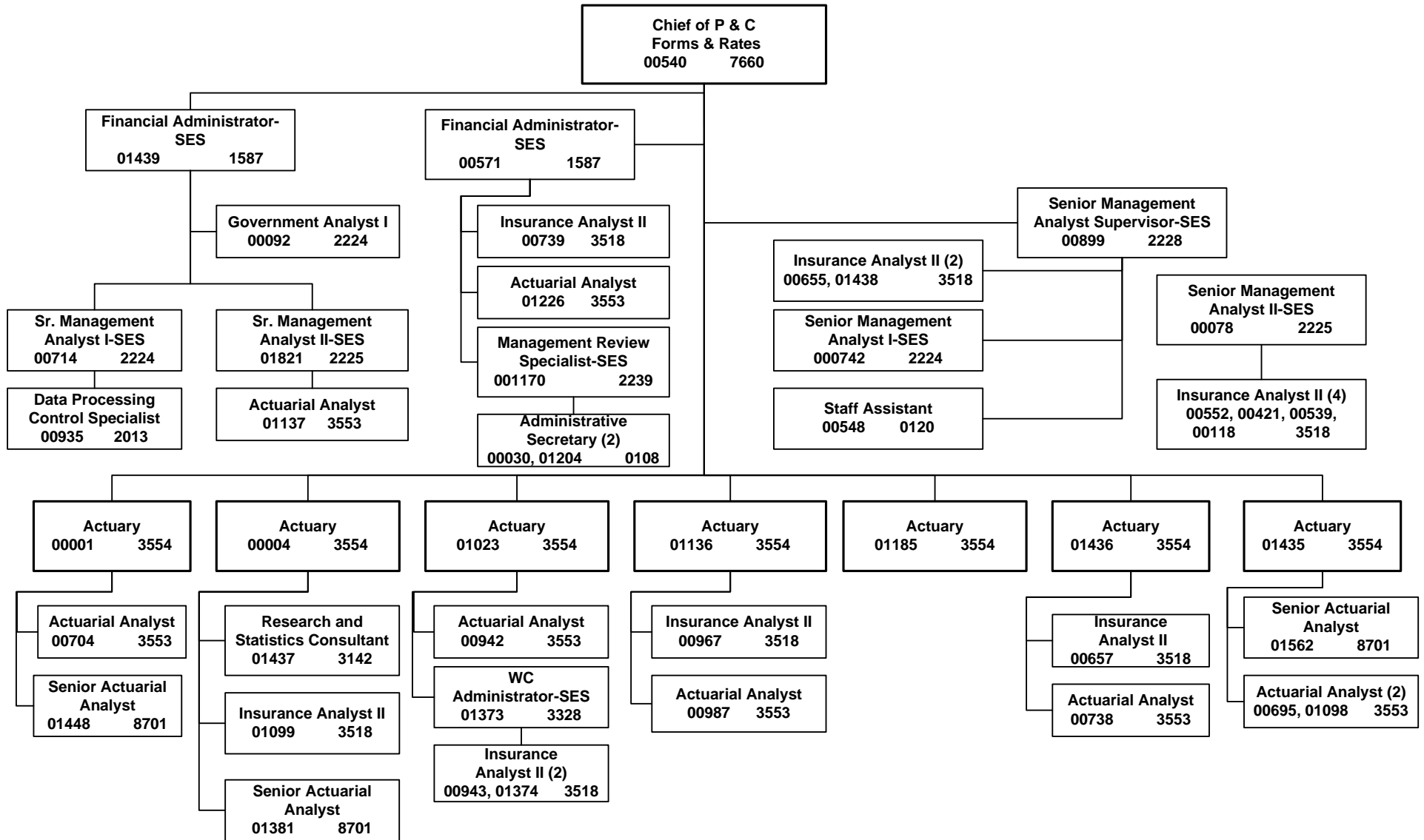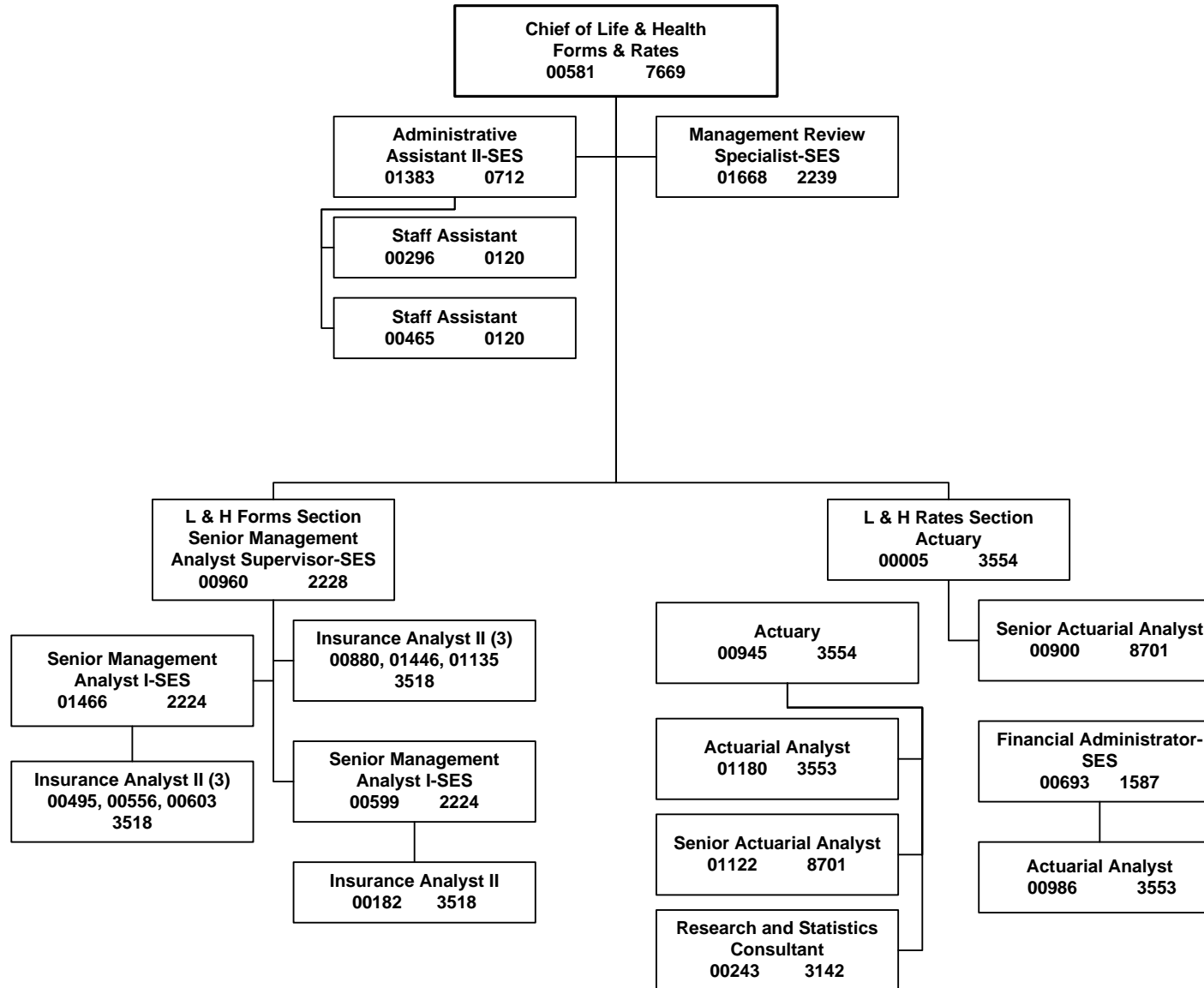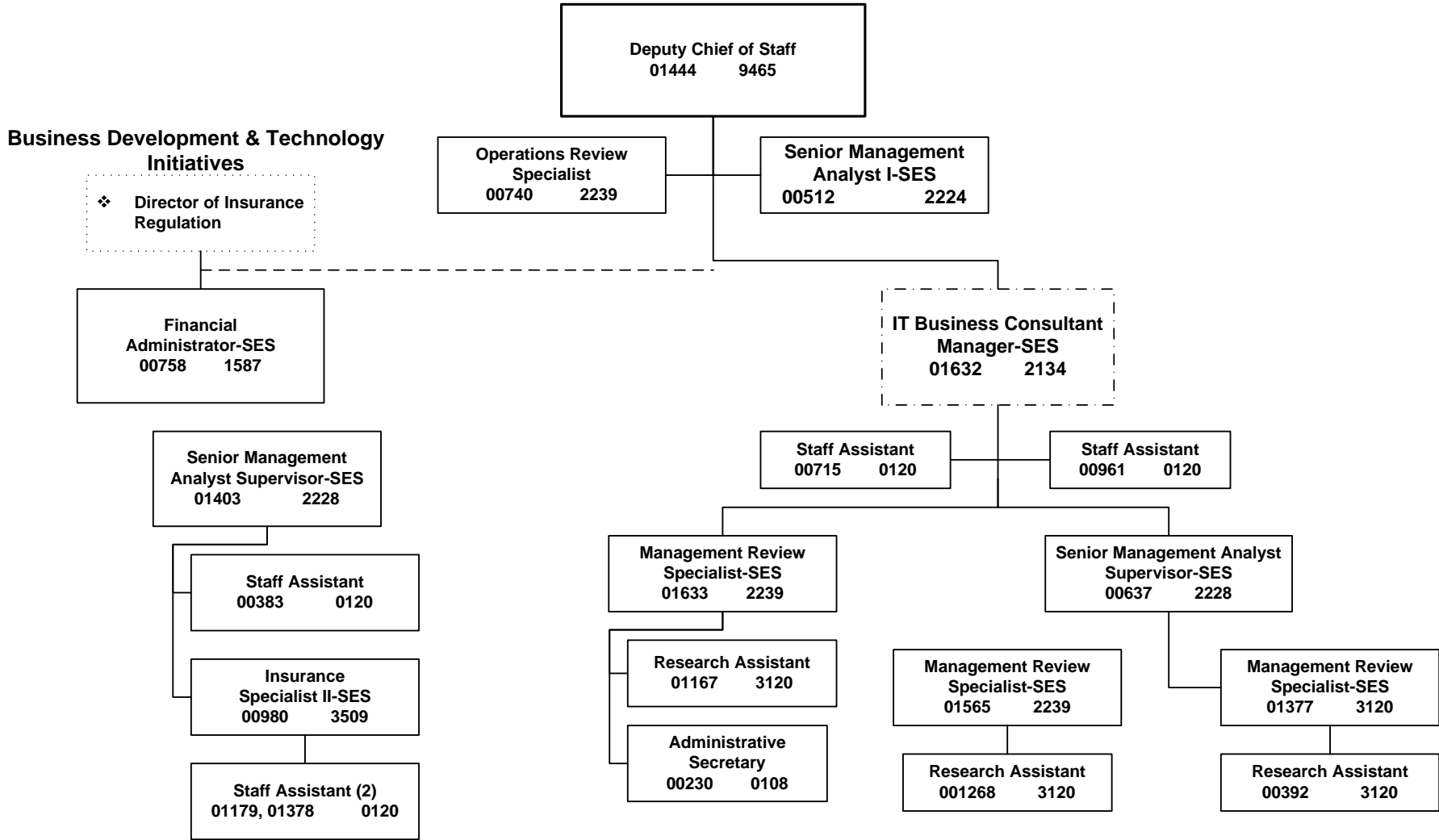**Italic = Organizationally Assigned. Reports elsewhere administratively. FTE counted.**

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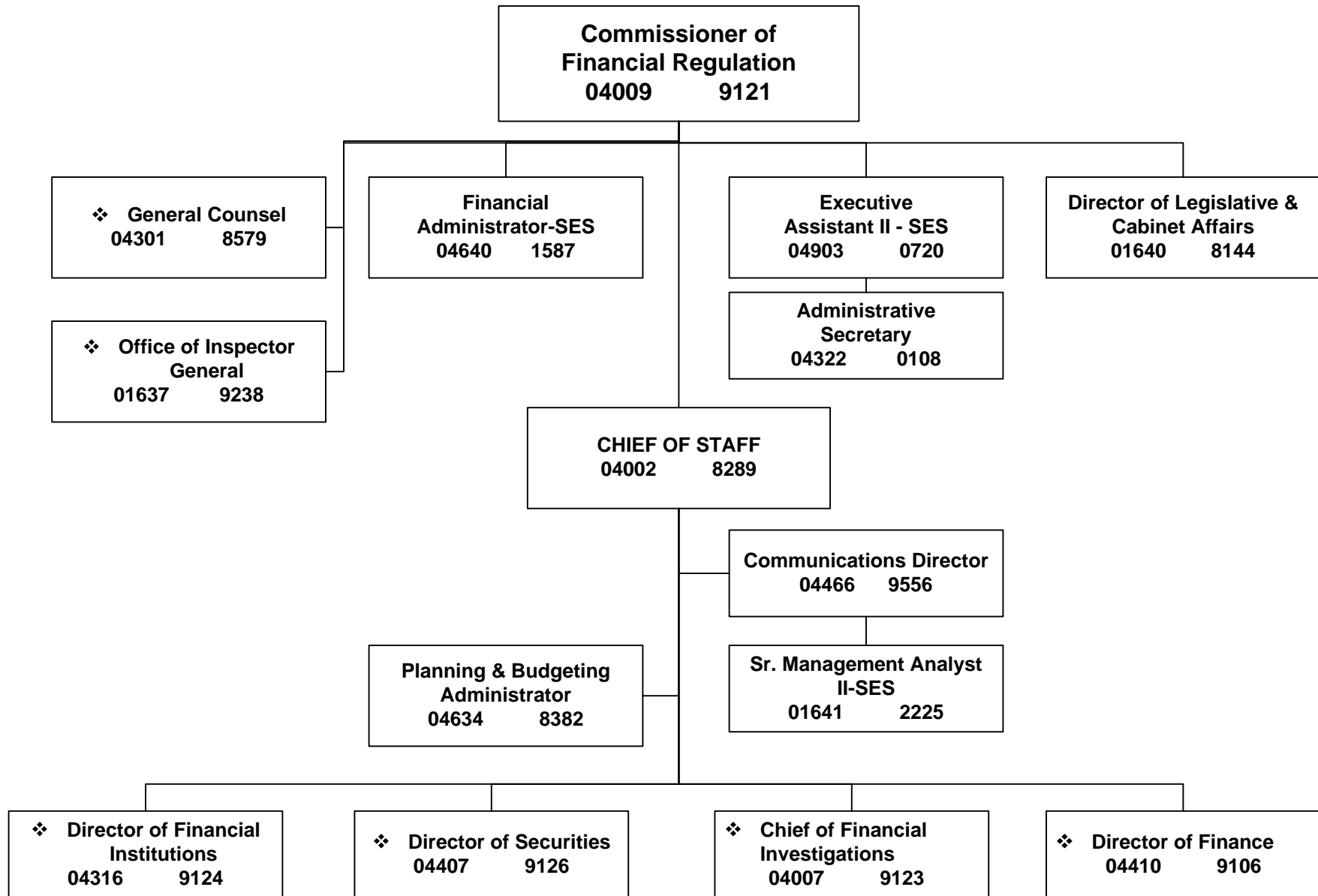## Division of Workers' Compensation
Office of Medical Services

```
                    ┌─────────────────────────┐
                    │        Program          │
                    │  Administrator-SES      │
                    │    05001    5916        │
                    └─────────────────────────┘
```

Program Administrator-SES
05001   5916

Medical/Health Care Program Analyst (3)
05002, 05003, 05004
5875

Sr. Management Analyst I-SES
05011   2224

Registered Nursing Consultant (4)
05005, 05006, 05007,
05008   3312

Research Assistant
05010   3120

Operations Analyst I (3)
03291, 05012, 05013
2209

Workers Compensation Examiner
05009   3312

Word Processing Systems Operator
05014   0090

Office Total FTE: 15

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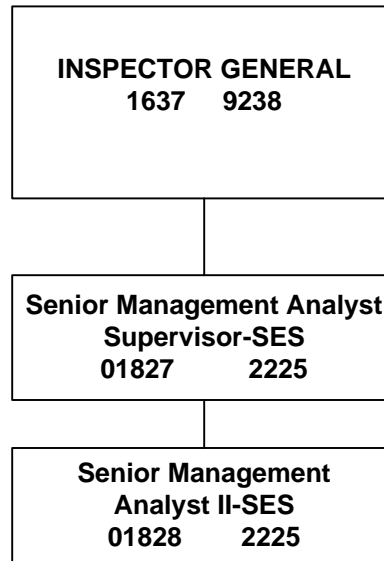**Italic = Organizationally Assigned. Reports elsewhere administratively. FTE counted.**

Eff 08-01-10
Created 9-01-10

5-3-9

Department of Financial Services
Deputy Chief Financial Officer

```
                    ┌─────────────────────┐
                    │   Deputy Chief      │
                    │  Financial Officer  │
                    │   01560    9150     │
                    └─────────────────────┘
```

Sr. Management Analyst II-SES	Management Analyst II-SES
00760 2225	00010 2212

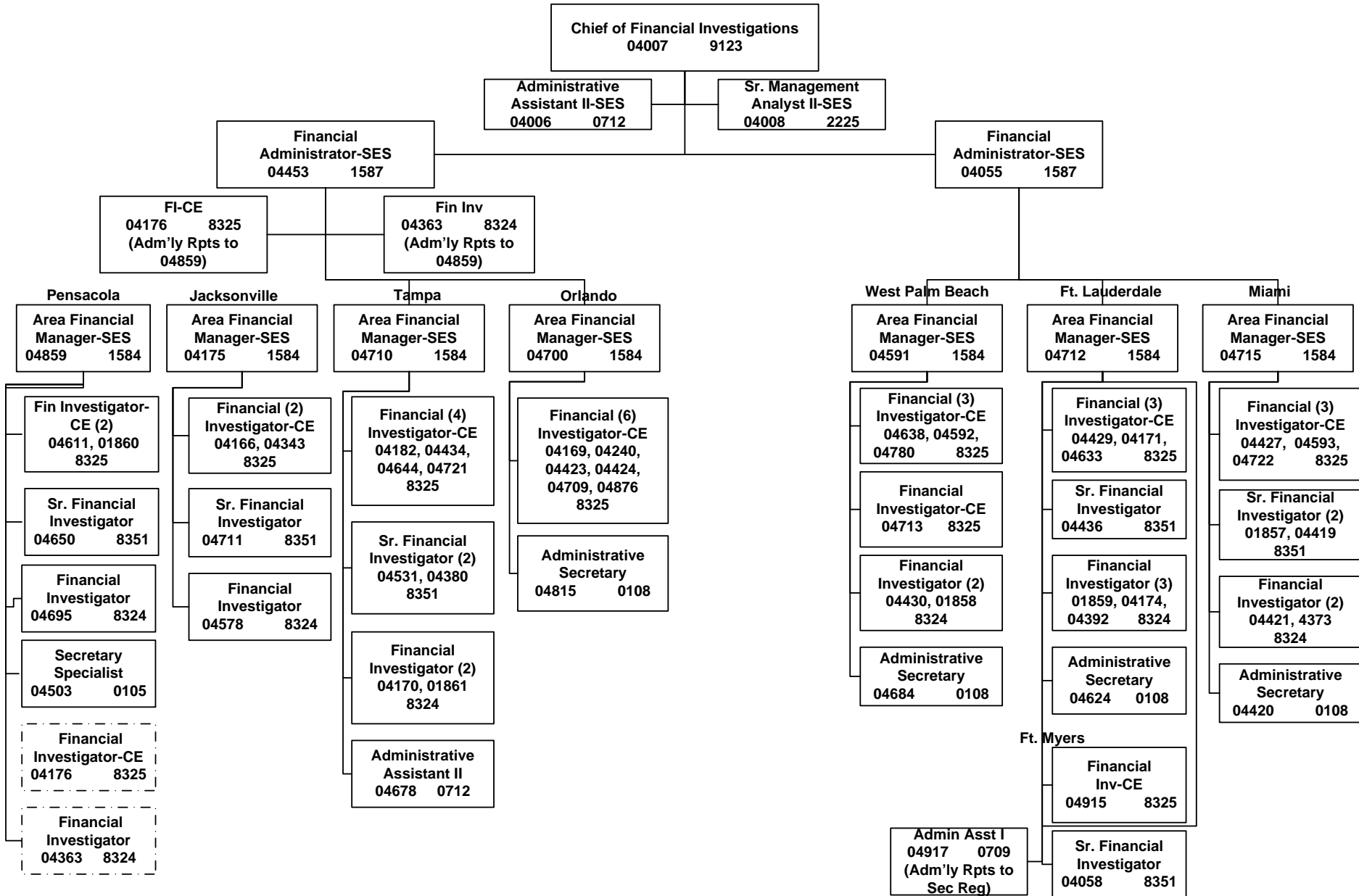| Director of Administration	Director of Accounting and Auditing	Director of Information Systems	Director of Risk Management
00627 9773	04216 9645	00913 8714	00800 9777

Total FTE: 2   ❖   **FTE not Included in this Section**
Dotted Line = Administratively Assigned. FTE not counted.
Italic = Organizationally Assigned. Reports elsewhere administratively. FTE counted.

Eff 07-01-09
Rev 07-07-09   **6-0-0**

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

```
                    ┌─────────────────────────┐
                    │      Director of        │
                    │    Risk Management      │
                    │   00800      9777       │
                    └─────────────────────────┘
                              │
                              │    ┌─────────────────────────┐
                              │    │     Administrative      │
                              ├────│   Assistant III-SES     │
                              │    │   00802      0714       │
                              │    └─────────────────────────┘
                              │
        ┌─────────────────────┴──────────────────┐
┌──────────────────────────┐      ┌──────────────────────────┐
│ ❖  Chief of Loss          │      │ ❖    Chief of Claims      │
│     Prevention            │      │     Administration        │
│   00426      9273         │      │   00801      CC: TBD      │
└──────────────────────────┘      └──────────────────────────┘
        │                                  │
   ┌──────────────────────────┐      ┌──────────────────────────┐
   │ ❖   Data Analysis Section │      │ ❖       Workers           │
   │    SMA Supervisor-SES     │      │  Compensation Claims      │
   │    01495      2228        │      │   SMA Supervisor-SES      │
   └──────────────────────────┘      │   00983      2228         │
                                     └──────────────────────────┘
   ┌──────────────────────────┐      ┌──────────────────────────┐
   │ ❖   Program Review &      │      │ ❖ Property & Liability    │
   │    Trust Fund Section     │      │      Claims               │
   │ Financial Administrator-  │      │   SMA Supervisor-SES      │
   │  SES   00636    1587      │      │   00808      2228         │
   └──────────────────────────┘      └──────────────────────────┘
```

Division Total FTE: 105
Office of the Director: 2

❖   FTE not Included in this Section
Dotted Line = Administratively Assigned. FTE not counted.
Italic = Organizationally Assigned. Reports elsewhere administratively. FTE counted.
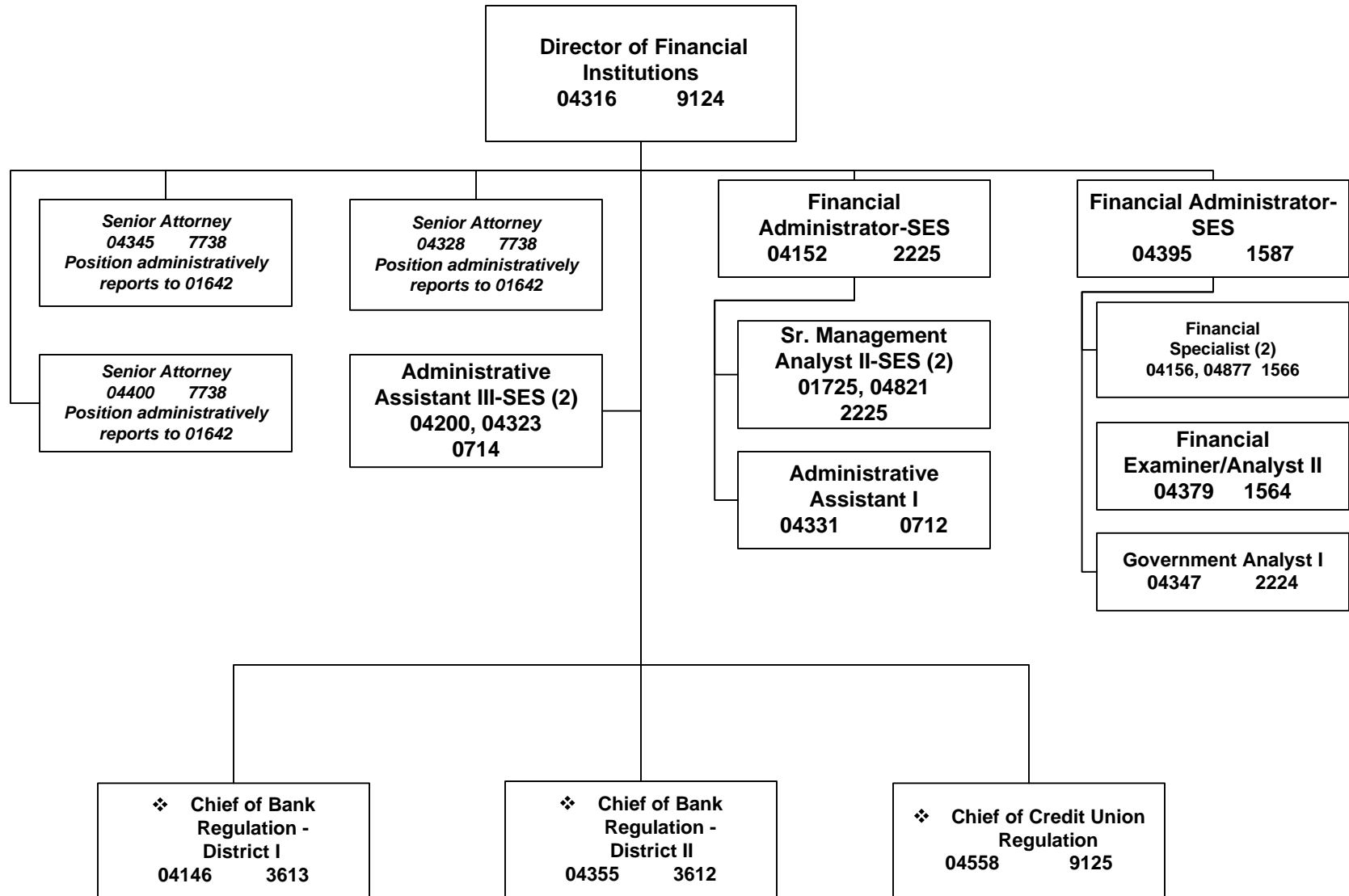
Eff 9-3-10
Rev 09-13-10   **6-1-1**

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

Chief of Loss Prevention
00426   9273

Administrative Assistant II -SES
00803   0712

Data Analysis

Program Review & Trust Fund

Training

Sr. Management Analyst Supervisor-SES
01495   2228

Sr. Management Analyst Supervisor-SES
00227   2228

Government Analyst II
00360   2225

Financial Administrator-SES
00636   1587

Government Analyst I
00427   2224

Staff Assistant
01293   0120

RN Consultant
00734   5312

Records Specialist-SES
00806   0130

Senior Management Analyst I-SES
01292   2224

Administrative Secretary
00916   0108

Finance & Accounting Director II-SES
00805   1463

Operations Review Specialist
00114   2239

Government Analyst I (2)
00358, 00860   2224

Records Technician
01342   0045

Government Analyst II (3)
01914, 01915, 01916   2225

Accountant Supervisor II - SES
00795   1439

Accountant Supervisor I -SES
00849   1438

Senior Clerk(3)
00244, 00857, 01347   0004

Operations Review Specialist
01290   2239

Accountant III
01343   1436

Accountant I (3)
0812, 01077, 01773   1427

Government Operations Consultant II
00915   2236

Accountant II
00858   1430

Accountant III
01076   1436

Accountant I
00309   1427

Bureau Total FTE: 33

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

Eff 9-15-10
Rev 09-15-10   **6-1-2**

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

Sr. Management Analyst Supervisor-SES
00983   2228

Chief of Claims Administration
00801   9274

Sr. Management Analyst Supervisor-SES
00808   2228

Registered Nursing Consultant
01074   5312

Records Specialist
00268   0130

Records Specialist
00809   0130

Risk Management Program Specialist
01362   3545

WC Specialist
01913   3322

Workers' Compensation Administrator-SES
00810   3328

Senior Clerk (2)
00844, 01086   0004

Insurance Analyst I
00428   3515

Operations Review Specialist
01119   2239

Insurance Specialist II (2)
00984, 01346   3509

WC Specialist Supervisor-SES
00285   3323

WC Specialist Supervisor-SES
00447   3323

South Florida Region Section

Risk Management Program Administrator-SES
00331   3546

North & Central

Risk Management Program Administrator-SES
01084   3546

Federal Civil Rights Section

Risk Management Program Administrator-SES
00379   3546

WC Specialist Supervisor-SES
00796   3323

WC Specialist (2)
00573, 00647   3322

WC Specialist (2)
01331, 01334   3322

Administrative Secretary
00386   0108

Administrative Secretary
00845   0108

Administrative Secretary
00337   0108

WC Specialist (2)
01330, 01494   3322

Insurance Specialist II
01341   3509

Insurance Specialist II (2)
00855, 01336   3509

Risk Management Program Specialist (5)
00192, 00847, 01044, 01295, 01364   3545

Risk Management Program Specialist (4)
00218, 00846, 00919, 01344   3545

Risk Management Program Specialist (5)
00058, 00332, 01085, 01294, 01345   3545

Insurance Specialist II
00918   3509

WC Specialist (3)
00848, 01332, 00859   3322

WC Specialist
00595   3322

WC Specialist
00546   3322

WC Specialist
00852   3322

WC Specialist
00853   3322

Senior Clerk (2)
00394, 01365   0004

WC Specialist
01333   3322

Senior WC Examiner (3)
01339, 01075, 00562   3313

WC Specialist
01335   3322

WC Specialist
01774   3322

Senior WC Examiner (3)
01338, 01337, 00429   3313

Senior WC Examiner (3)
01043, 00216, 00854   3313

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

Department of Financial Services
Division of Administration
Office of the Director

DIRECTOR OF ADMINISTRATION
00627   9773

Administrative Assistant II
00293   0712

Administrative Assistant III-SES
00135   0714

Senior Management Analyst Supervisor-SES
04039   2228

PUBLICATIONS

Public Information Director-SES
00569   3742

Public Information Specialist (6)
00042, 00633, 04004, 04018, 04091
3738

Publications Production Specialist II
01469   3721

Government Analyst II
00176   2225

PUBLIC RECORDS

Government Analyst I
00835   2224

Front Lobby Receptionists

Administrative Assistant III-SES
01100   0714

Senior Clerk (4)
00271, 00559, 01220, 04186 0004

Staff Assistant-SES
00724   0120

Sr. Word Processing Systems Operator
00144   0093

Senior Clerk
00799   0004

❖ **Budget Officer**
00480   9931

❖ **Senior Management Analyst II-SES**
04020   2224

❖ **Chief of Financial & Support Services**
00944   8717

Management Analyst II-SES
00222   2212
(Admin'ly Assigned to HR)

❖ *Chief of Human Resource Management*
00619   9771
Administratively assigned to Office of Strategic Planning

❖ **Chief of General Services**
00440   7780

Div of Administration Total FTE: 111.5
Office of the Director FTE: 5
Publications: 8
Public Records: 4
Front Lobby: 5

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

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

Chief of Financial Support Services
00944   8717

Administrative Assistant I
00962   0709

Fiscal Assistant II
00400   1418

Senior Clerk
01348   0004

Disbursements Section

Receipts Section

❖ **Finance & Accounting Director III- SES**
01123   1466

❖ **Financial Administrator-SES**
04757   1587

❖ **Senior Management Analyst Supervisor-SES**
00318   2228
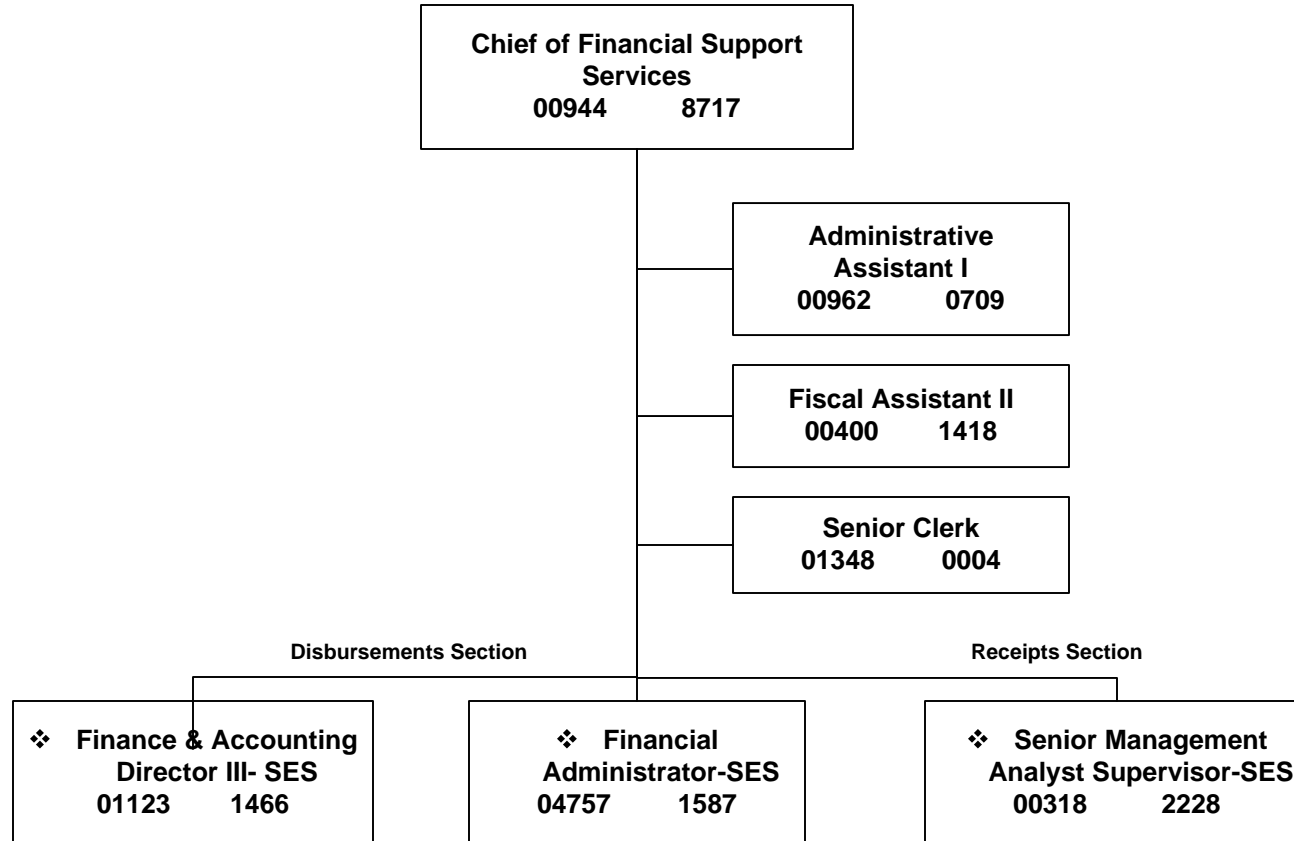
Bureau Total FTE: 43
Chief FTE: 6

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

Eff 07-01-10
Rev 08-26-10   **6-2-2**

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

❖ **Chief of Financial Support Services**
00944   8717

Financial Administrator-SES
04757   1587

Finance & Accounting Director III- SES
01123   1466

Financial Specialist-SES
03242   1566

Financial Specialist-SES
04875   1566

Accountant IV
04714   1437

Fiscal Assistant II
00353   1418

Senior Professional Accountant
04832   1468

Accountant III (3)
00119, 04548, 04866
1436

Senior Professional Accountant
01284   1468

Financial Reporting & Reconciliation Unit
Professional Accountant Specialist
00040   1469

Disbursements Unit
Finance & Accounting Director II- SES
00278   1463

Accountant I (2)
00718, 00807
1427

Accountant III (3)
04045, 00696, 01284
1436

Accountant II (4)
01301, 04080, 00979,
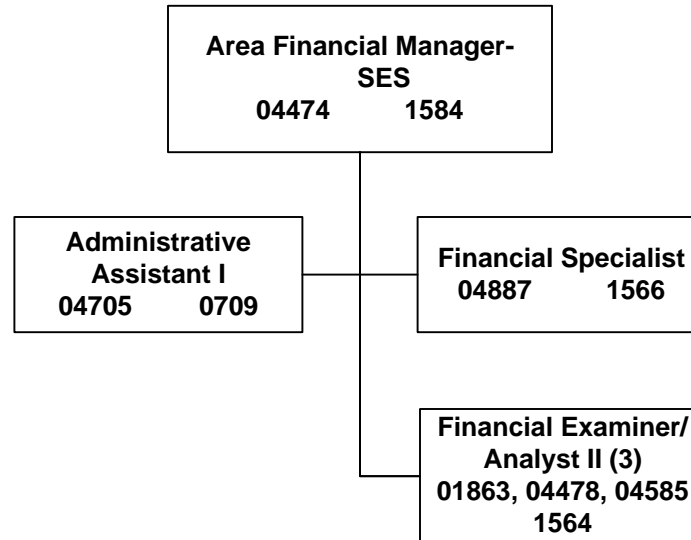00051   1430

Total FTE: 21
❖   **FTE not Included in this Section**
Dotted Line = Administratively Assigned. FTE not counted.
Italic = Organizationally Assigned. Reports elsewhere administratively. FTE counted.
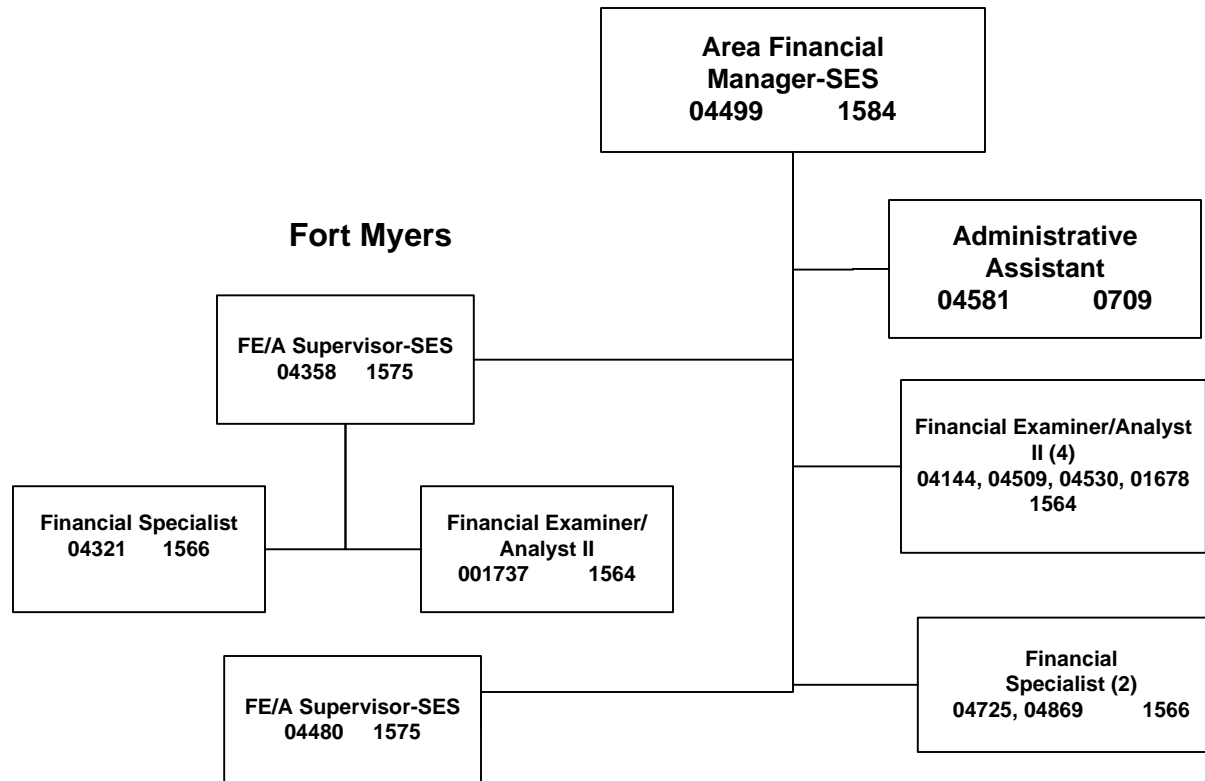
Eff 08-30-10
Rev 08-30-10   **6-2-3**

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

Senior Management Analyst Supervisor-SES
00318　　　2228

RECEIPTS UNIT

Finance & Accounting Director II-SES
01102　　　1463

Accountant IV
00475　　　1437

Accounting Services Administrator-SES
04172　　　1448

Accountant II (4)
00147, 00280, 00411,
01103　　　1430

Accountant I (2)
00098, 01283　　　1427

Government Analyst I
00369　　　2224

Accountant III
00321　　　1436

Accountant II
04753　　　1430

Fiscal Assistant II (2)
00580, 00895
1418

Total FTE: 15　　❖　**FTE not Included in this Section**
Dotted Line = Administratively Assigned. FTE not counted.
Italic = Organizationally Assigned. Reports elsewhere administratively. FTE counted.

Eff 08-01-10
Rev 08-26-10　　**6-2-4**

00480 was reclassified from Asst Dir to
Budget Officer, eff 11/30/09. Further
changes to Budget Office are pending.
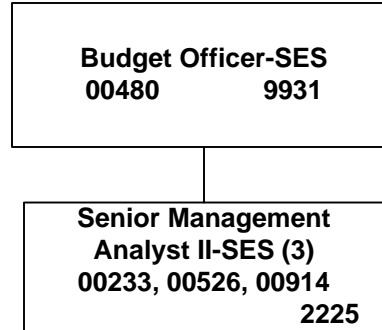
Budget Officer-SES
00480   **9931**

Senior Management
Analyst II-SES (3)
00233, 00526, 00914
      2225

Total FTE: 4   ❖   **FTE not Included in this Section**
Dotted Line = Administratively Assigned. FTE not counted.
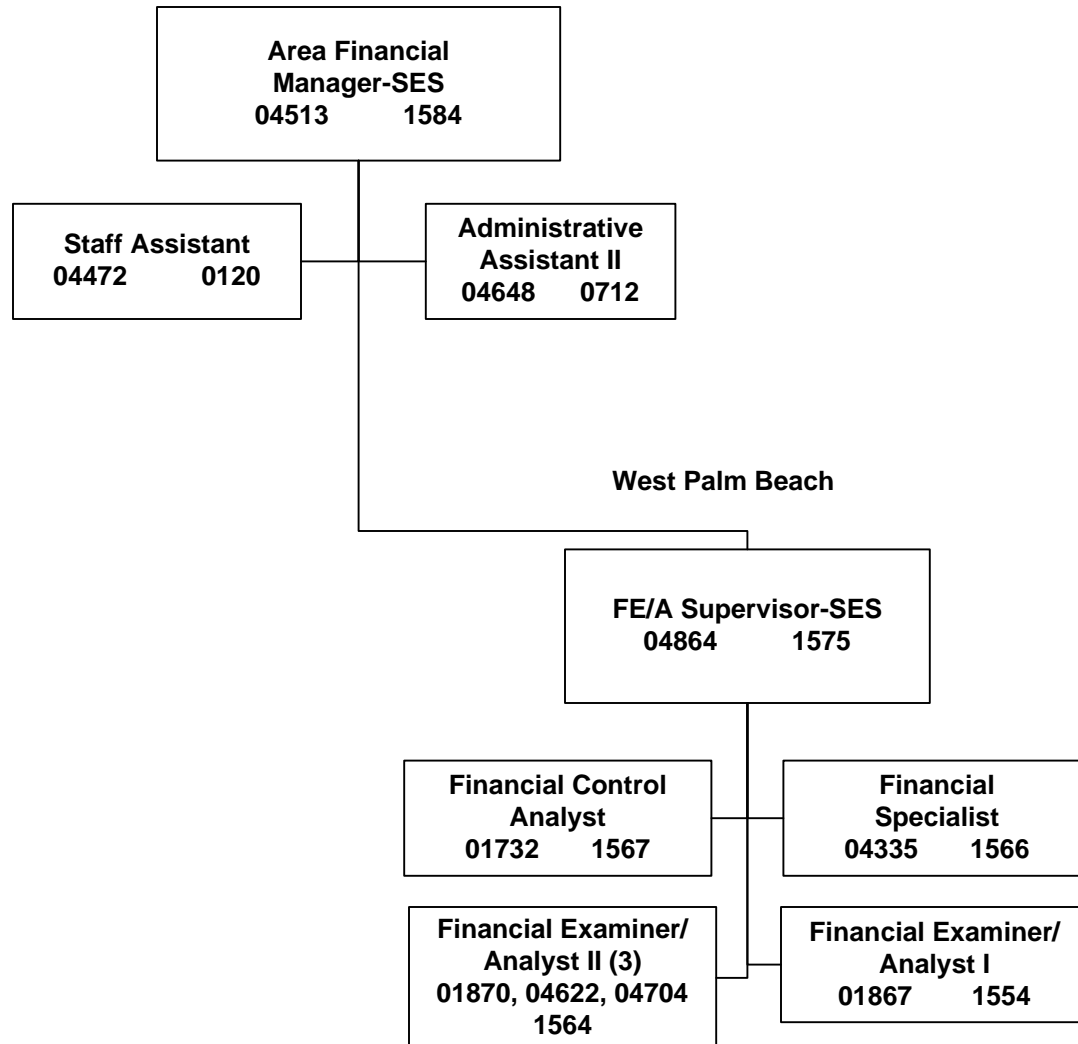**Italic = Organizationally Assigned. Reports elsewhere administratively. FTE counted.**
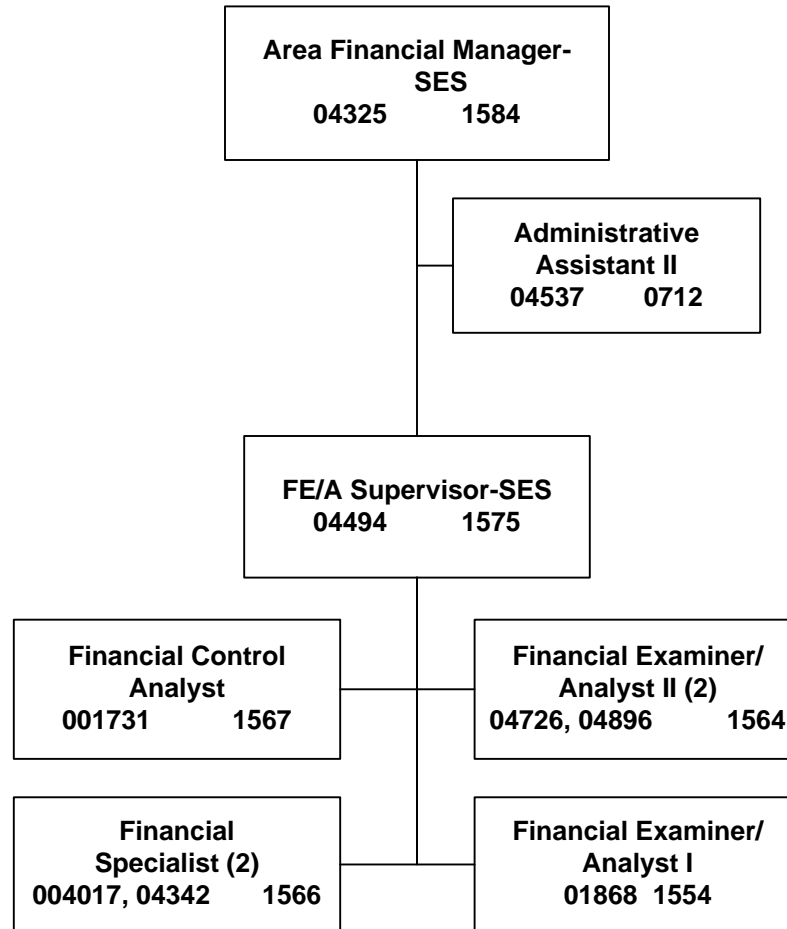
Eff 04-14-08
Rev 04-15-08   **6-2-5**

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

CHIEF OF HUMAN RESOURCE MANAGEMENT
00619   9756

Bureau of Human Resource Management Administratively reports to the Office of Strategic Planning.

Payroll & Benefits, Recruitment & Selection
Senior Management Analyst Supervisor-SES
00458   2228

Employee/Labor Relations, Performance Evaluations
Senior Management Analyst Sueprvisor-SES
00075   2228

Classification & Pay, Attendance & Leave, Special Projects
Senior Management Analyst Supervisor-SES
00359   2228

Management Analyst II - SES (2)
00449, 04036   2212

Management Analyst II-SES
01188   2212

Human Resource Analyst - SES
04850   1023

Management Analyst II-SES (2)
03218, 04065

Staff Assistant-SES
00724   0120

Management Analyst II-SES (3)
03082, 00317, 00222
2212

Senior Clerk-SES
04273   0004

Bureau Total FTE: 8   ❖   **FTE not Included in this Section**
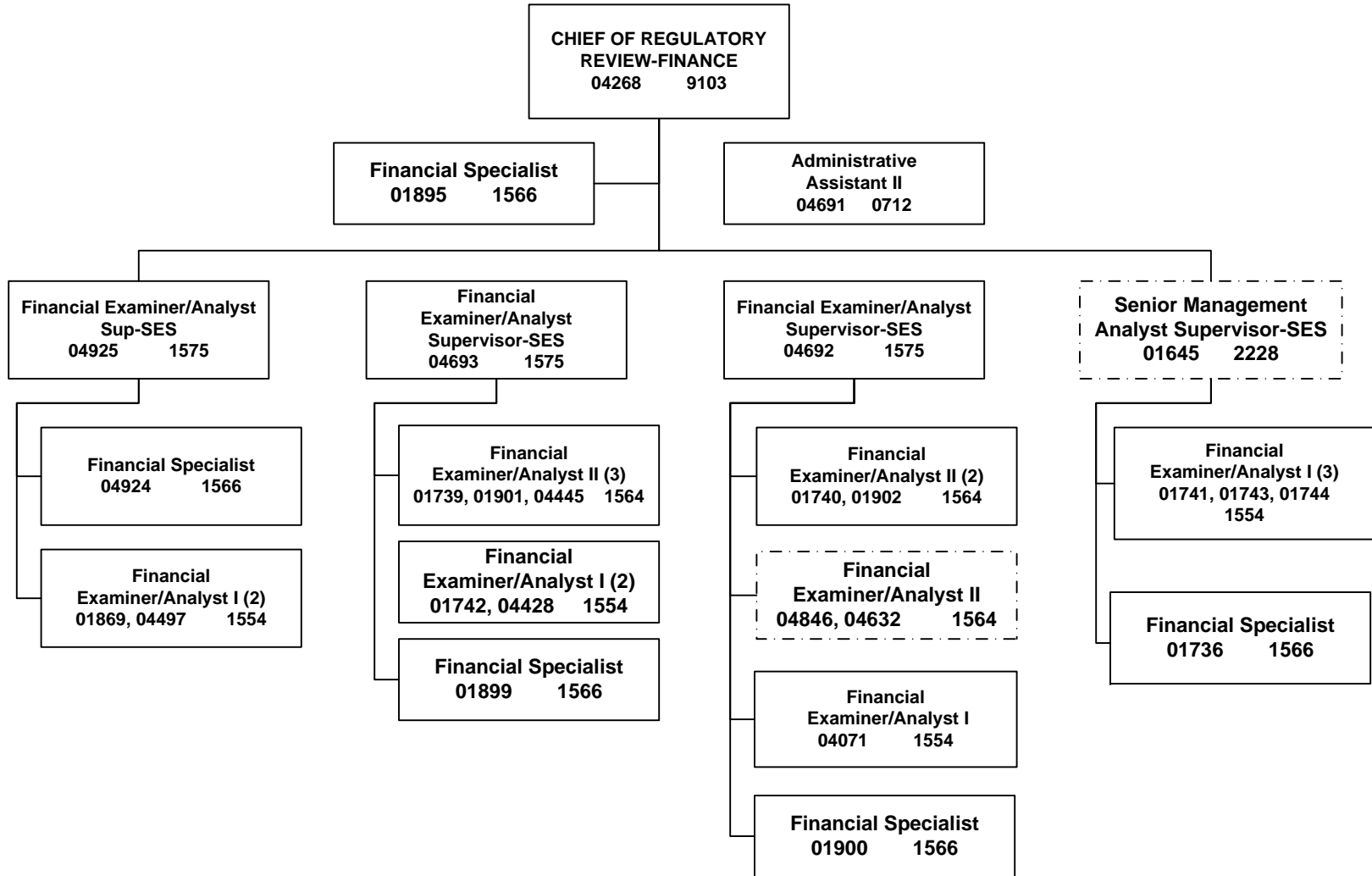**Dotted Line = Administratively Assigned. FTE not counted.**
Italic = Organizationally Assigned. Reports elsewhere administratively. FTE counted.

Eff 08-01-2010
Rev 09-16-2010   **6-2-6**

Department of Financial Services
Division of Administration
Bureau of General Services

CHIEF OF GENERAL SERVICES
00440   7780

Administrative Assistant II
00127   0712

Government Analyst II
00350   2228

Employee Safety, Emergency Operations and Medical
Senior Management Analyst II-SES
00628   2225

Property & Records Management
Facilities Management Consultant-SES
00529   8936

Mail Services Section
Office Operations Supervisor II-SES
00981   0129

Printing Services Section
Printing/Reproduction Administrator-SES
00081   6321

Purchasing Services
Purchasing Manager
01052   2292

Property Administrator II - SES
04047   0939

Facilities Services Manager II-SES
00338   0836

Senior Clerk (11)
00179, 0049800163, 00322, 00352, 00437, 00608, 00713, 01127, 04021, 04061
0004

Purchasing Specialist (2)
00093, 01251   0818

Facilities Services Specialist
00039   0831

Property Administrator III-SES
00373   0945

Printer II (3)
00341, 00351, 04609
6311

Senior Management Analyst II-SES
04350   2225

General Services Specialist
03521   0839

Property Specialist
000832   0939

Senior Word Processing Systems Operator
00180   0093

Purchasing Agent III (3)
00604, 04202, 04332
0815

Records Specialist (.5)
00606   0130

Bureau Total FTE = 35.5

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

Eff 09-16-10
Rev 09-22-10   6-2-7

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

DIRECTOR OF ACCOUNTING AND AUDITING
04216   9645

Administrative Assistant III-SES
04294   0714

Senior Management Analyst I- SES
04312   2224

Assistant Director of Accounting and Auditing
04269   3602

Application Design & Support Process Mgr-SES
04271   3510

Administrative Assistant I
04228   0709

Management Review Specialist-SES
04222   2239

Business Consultant I
004679   0736

Enterprise Training

Senior Management Analyst II-SES (2)
04390, 04728   2225

Operations Review Specialist
04415   2239

Financial Administrator-SES (2)
04185, 04792   1587

Administrative Assistant III-SES
04293   0714

Chief of Accounting
04218   3608

Chief of Auditing
04256   3609

Chief of Payrolls
04220   3610

Fiscal Integrity Program Manager 04063   8131

Chief of Unclaimed Property
04517   9649

Chief of Local Government
004205   8100

Division Total FTE: 226
Total FTE: 14

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

Eff 09-07-10
Rev 09-16-10
Analyst: SB

6-3-1

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

```
CHIEF OF ACCOUNTING
04218        3608
```

```
Administrative
Assistant II
04257        0712
```

**ENTERPRISE ACCOUNTING
& FINANCIAL REPORTING**

```
Application Design &
Support Process
Manager
04616        3510
```

**PAYMENTS & VENDOR
RELATIONS**

```
Application Design &
Support Process
Manager
04541        3510
```

**Accounts Reconciliation
/ Vendors Ombudsman**

```
Financial
Administrator-SES
04079        1587
```

Electronic Funds Transfer

```
Financial
Administrator-SES
04227        1587
```

*Accounting Control & Federal
Reporting*

```
Financial
Administrator-SES
04140        1587
```

Statewide Financial Reporting

```
Financial
Administrator-SES
04074        1587
```

Finance & Leasing

```
Financial
Administrator-SES
01768        1587
```

```
Prof. Accountant
Specialist-SES
04544        1469
```

```
Government
Analyst I
04284        2224
```

```
Sr. Management
Analyst II-SES
04274        2225
```

```
Sr. Management
Analyst II (2)
04295, 04891   2225
```

```
Prof. Accountant
Specialist-SES (4)
01750, 04247, 04267,
04534        1469
```

```
Sr. Management
Analyst II-SES (2)
01769, 04897
2225
```

```
Prof. Accountant
Specialist-SES (3)
01749, 04162, 04245
1469
```

*Vendors Ombudsman/
1099a*

```
Accounting
Services
Supervisor II-SES
04221        1445
```

```
Accountant IV (2)
04217, 04557
1437
```

```
Accountant III
04297        1436
```

```
Professional
Accountant
Specialist-SES
04244        1469
```

*Reconciliation/
Transmittal*

```
Finance & Accounting
Director II
04551        1463
```

```
Accountant I (2)
04315, 04542
1427
```

```
Accountant II (2)
04277, 04281
1430
```

```
Fiscal Assistant II
04233 , 04555
1418
```

```
Sr. Professional
Accountant - SES
04239        1468
```

```
Accountant III (3)
01935, 01936,
04272        1436
```

```
Accountant I
04232        1427
```

```
Accountant II (2)
04535, 04765
1430
```

```
Accountant III
04272        1436
```

```
Prof. Accountant
Specialist-SES (2)
01911, 01912   1469
```

```
Operations Review
Specialist
01910        2239
```

```
Government Analyst II
01903        2225
```

*Systems Programming
Consultant
01904   2117*

*Sr. Info Tech Business
Consultant
01905   2114*

Total FTE: 49

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

Eff 8-1-10
Rev 08-25-10
Analyst: SB

6-3-2

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

Chief of Auditing
04256   3609

Assistant Chief of Auditing
04835   3611

Administrative Assistant I
04613   0709

Process Team A

Financial Administrator-SES
04510   1587

Professional Accountant Specialist-SES (2)
04121, 04225   1469

Senior Professional Accountant-SES (2)
04299, 04802   1468

Professional Accountant Supervisor-SES
04798   1470

Accountant IV
04615   1437

Accountant III (2)
04313, 04545   1436

Senior Clerk
04273   0004

Process Team B

Financial Administrator-SES
04191   1587

Professional Accountant Specialist-SES (3)
04250, 04706, 04794   1469

Senior Professional Accountant-SES (2)
04135, 04224   1468

Accountant IV
04261   1437

Accountant III (2)
04263, 04795   1436

Process Team C

Financial Administrator-SES
04770   1587

Management Review Specialist-SES (2)
04246, 04607   2239

Senior Professional Accountant-SES
04799   1468

Professional Accountant Supervisor-SES
04279   1470

Professional Accountant-SES
04812   1467

Accountant III (2)
04811, 04813   1436

Process Team D

Financial Administrator-SES
04167   1587

Professional Accountant Specialist-SES (3)
04703, 04807, 04810   1469

Professional Accountant Supervisor-SES
04251   1470

Senior Professional Accountant-SES
04300   1468

Accountant III
04766   1436

Accountant II
04718   1430

P-Card Process Team

Financial Administrator-SES
04298   1587

Government Analyst II
04243   2238

Management Review Specialist-SES (2)
04717, 04808   2239

Enterprise Trends & Analysis

Financial Administrator-SES
04719   1587

Senior Management Analyst II-SES (2)
04142, 04793   2225

Professional Accountant Specialist-SES (2)
01748, 04264   1469

Government Analyst II (3)
01932, 01933, 01934   2225

Financial Administrator-SES
04809   1587

Senior Management Analyst II-SES
04275   2225

Professional Accountant Specialist-SES (2)
04164, 04554   1469

Total Bureau FTE: 54

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

Eff 07-01-10
Rev 08-11-10   **6-3-3**

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

Chief of Payrolls
04220   3610

Administrative Assistant II
04120   0712

Sr. Management Analyst II-SES
04124   2225

Payroll Processing

Financial Administrator-SES
04515   1587

Sr. Professional Accountant-SES
04231   1468

Accountant Supv. II-SES
04654   1439

Accountant II
04511   1430

Accountant II (2)
04230, 04536
1430

Accountant IV
04161   1437

Accountant II
04241   1430

Professional Accountant Specialist - SES
04890   1469

Senior Professional Accountant
04553   1468

Taxation Reconciliation

Financial Administrator-SES
04122   1587

Prof. Accountant Specialist-SES
04617   1469

Sr. Professional Accountant
04552   1468

Accountant II
04235   1430

Prof. Accountant Specialist-SES
04229   1469

Computer Audit Analyst-SES
04123   2125

Post-Audit / Employee Records

Financial Administrator-SES
04308   1587

Prof. Accountant Specialist -SES (2)
04556, 04716
1469

Senior Professional Accountant SES
04237   1468

Sr. Management Analyst II-SES
04219   2225

Accountant III
04048   1436

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

Accountant I
04270   1427

Total FTE: 29

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

Eff 08/01/2010
Rev 08/13/2010
Analyst: SB

6-3-4

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

Fiscal Integrity
Program Manager
04063   8131

**Financial Investigator –
Criminal Enforcement (2)
04258, 04690   8325**

**Law Enforcement
Investigator II (2)
04165, 04636   8541**

**Senior Management
Analyst
Supervisor-SES
04173   2228**

Government
Analyst I
04689   2224

**Financial
Investigator-CE
04708, 04893   8325**

**Professional Accountant
Specialist-SES
04631   8324**

Total FTE: 10   ❖   **FTE not Included in this Section**
Dotted Line = Administratively Assigned. FTE not counted.
Italic = Organizationally Assigned. Reports elsewhere administratively. FTE counted.

Eff 09-22-09
Rev 09-23-09   **6-3-5**

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

Chief of Unclaimed Property
04517   9649

Administrative Assistant II
04302   0712

Assistant Chief of Unclaimed Property-SES
04694   7833

Accounts Payable

Financial Administrator-SES
04756   1587

Sr. Management Analyst II-SES
04467   2225

Research Associate-SES
04910   3122

Regulatory Specialist III (2)
01666, 01771   04444

Regulatory Specialist II
04565   0441

Regulatory Specialist I (2)
01663, 04584   0440

Insurance Specialist III
01813   3512
(MSFH 435800)

Sr. Management Analyst I-SES
04752   2224

Reg Specialist III
01667   0444

Regulatory Specialist II (2)
04394, 04396, 0441

Regulatory Specialist I (3)
01664, 04573, 04596   0440

Sr. Management Analyst I-SES
04482   2224

Regulatory Specialist III
01770   0444

Regulatory Specialist II (2)
04459, 04602   0441

Regulatory Specialist I (3)
01662, 04574, 04750   0440

Accounts Receivable

Financial Administrator-SES
04699   1587

Financial Specialist-SES
04677   1566

Reg Spec II (2)
01665, 04538   0441

Reg Spec I (3)
04582, 04599, 04754   0440

Accountant II
04320   1430

Sr. Management Analyst I-SES
04740   2224

Operations Analyst II
04490   2212

Records Spec
01660   0130

Records Tech (2)
04759, 04914   0045

Financial Examiner/ Analyst II (2)
04854, 04838   1564

Financial Specialist
04022   1566

Financial Examiner/ Analyst Supervisor-SES
01659   1575

Financial Specialist (5)
01654, 01655, 01656, 01657, 01658   1566

Asset Management

Financial Administrator-SES
04931   1587

Government Analyst I
04751   2224

Accountant III *
04912   1436

Accountant II
04583   1430

Accountant I
04784   1427

Sr. Management Analyst I-SES
04674   2224

Regulatory Specialist I
04601   0440

Regulatory Specialist I
04504   0440

Financial Specialist-SES
04790   1566

Accountant IV
04696   1437

Regulatory Specialist II
04406   0441

Accountant II
01661   1430

Accountant I
04755   1427

Total FTE: 60   ❖   **FTE not Included in this Section**
Dotted Line = Administratively Assigned. FTE not counted.
Italic = Organizationally Assigned. Reports elsewhere administratively. FTE counted.

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

Chief of Local Government
004205   8100

Local Gov. & Warrant Control

Article V

Financial Administrator-SES
04163   1587

Financial Administrator-SES
01647   1587

Government Analyst I
04516   2224

Senior Management Analyst II-SES
04402   2225

Prof. Accountant Specialist-SES
04533   1469

Professional Accountant Specialist-SES
04143   1469

Prof. Accountant Specialist-SES (4)
LEADWORKER: 01751
01650, 01651, 01652
1469

Senior Management Analyst II-SES
01653   2225

Total FTE: 12

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

Eff 08/01/2010
Rev 08/13/2010
Analyst: SB

6-3-7

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

Director of
Information Systems
00913   8714

**IT Business Consultant
Manager-SES
01754   2134**

Chief of
Accounting Systems
Design
04127   9532

Chief of
Programming Design
04102   9533

**Chief of Financial
Applications
04360   6832**

**Chief of
Insurance Applications
00520   8247**

**Assistant Director of
Information Systems
04023   7284**

**Chief of
Distributed Infrastructure
04092   9535**

**Chief of
Enterprise
Infrastructure & Operations
04131   9436**

**Stds & Data Mgt
IT Business
Consultant
Manager-SES
04113   2134**

Help Desk

IT Business
Consultant Mgr-SES
04414   2134

Help Desk
Data Processing
Manager-SES
01224   2133

Government Analyst II
00110   2225
(administratively rept to
000520)

**Senior Management
Analyst Supervisor-SES
01324   2225**

**Operations Analyst I
04371   2209**

**IT Business Consultant
Manager-SES
04746   2134**

**Government Analyst II
00037   2225**

**IT Business Consultant
Manager-SES
03527   2134**

**Systems Programming
Administrator
00174   2117**

Senior Management
Analyst II-SES (4)
00310, 01081, 01550, 04849
2225

**Administrative
Assistant III-SES
01274   0712**

**IT Business Consultant
Manager-SES
04109   3510**

Operations Analyst I
04540   2209

Government
Analyst I (3)
04594, 04787, 03102
2224

Government Analyst I
04926   2224

Operations Review
Specialist
04056   2239

Administrative
Assistant III-SES
04072   0714

Administrative
Assistant II-SES
04159   0712

Administrative
Secretary
00988   0108

Division Total FTE: 236
Director Office Total FTE: 24

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

Eff 02-01-10
Rev 03-22-10   **6-4-1**

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

```
                        DIRECTOR OF  INFORMATION
                                SYSTEMS
                          00913        8714
```

```
        IT Business Consultant                          Data Processing
           Manager-SES                                    Manager-SES
        04414       2134                                01224     2133
```

```
        Operations Review          Distributed Computer          Consumer Service
           Specialist              Systems Specialist             Analyst (2)
        04528      2239            04836        2050          04238, 04361      4005
```

```
        Operations Analyst I       Computer Programmer           Telecommunications
        01057      2209            Analyst I (2)                   Specialist II
                                   04773, 04110   2103          00142      2034
```

```
                                   Systems Project Analyst       Telecommunications
                                   04386         2107            Specialist III
                                                                 04779        2035
```

```
                                   Office Automation             Operations Analyst I
                                   Specialist I                  001758     2209
                                   04443         2041
```

Total FTE: 13   ❖   **FTE not Included in this Section**
Dotted Line = Administratively Assigned. FTE not counted.
Italic = Organizationally Assigned. Reports elsewhere administratively. FTE counted.

Eff 10-28-09
Rev 10-29-09   **6-4-2**

Department of Financial Services
Division of Information Systems
Bureau of Accounting Systems Design

Chief of Accounting Systems Design
04127   9532

Payroll-System Design

Central-System Design

Departmental - System Design

IT Business Consultant Manager-SES
04128   2134

IT Business Consultant Manager-SES
04137   2134

IT Business Consultant Manager-SES
04847   2134

Sr. SAMAS Analyst (3)
04132, 04422,
04744   1452

SAMAS Analyst (4)
04129, 04141,
04588, 04853   1450

Sr. SAMAS Analyst
04929   1452

SAMAS Analyst (3)
04139, 04276, 04747
1450

Accounting Systems Analyst
4305   1440

Government Analyst I
04630   2224

Sr. Info Tech Business Consultant
01905   2114
(see pg 6-3-2 Acct & Auditing)

Sr. SAMAS Analyst (4)
04130, 04262, 04398,
04604   1452

Accounting Systems Analyst
04539   1440

Management Analyst II-SES
04065   2212
(Adm'ly Rpts to 00458)

SAMAS Analyst
04781   1450

Bureau Total FTE: 24   ❖   **FTE not Included in this Section**
Dotted Line = Administratively Assigned. FTE not counted.
Italic = Organizationally Assigned. Reports elsewhere administratively. FTE counted.

Eff 10-28-09
Rev 11-03-09   **6-4-3**

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

**Chief of
Programming Design
04102   9533**

**Automated Scheduling
Software Specialist
04134   2015**

Central-Programming Design

**IT Business Consultant
Manager-SES
04088   2134**

**Systems Project
Analyst (4)
04103, 04105, 04723,
04737   2107**

**Computer Programmer
Analyst II (2)
04788, 04439   2103**

**Computer Programmer
Analyst I
04090   2102**

Systems Programming
Consultant
01904   2117
(see pg 6-3-2 Acct &
Auditing)

IW-Programming Design

**IT Business Consultant
Manager-SES
04768   2134**

**Systems Project
Analyst (2)
04399, 04404   2107**

Computer Programmer
Analyst II
04417   2103

**Departmental-
Programming Design**

IT Business Consultant
Manager-SES
04487   2134

**IT Business Consultant
Manager - SES
04452   2134**

**Systems Project
Analyst (2)
04086, 04736   2107**

**Computer Programmer
Analyst II (2)
04603, 04767   2103**

**Computer Programmer
Analyst I (3)
04089, 04488, 04789
2102**

Payroll-Programming Design

**IT Business Consultant
Manager-SES
04104   2134**

**Systems Project
Analyst (3)
04077, 04405, 04564
2107**

**Computer Programmer
Analyst II (2)
04095, 04107   2103**

**Computer Programmer
Analyst I
04738   2102**

Bureau Total FTE = 30   ❖   **FTE not Included in this Section**
Dotted Line = Administratively Assigned. FTE not counted.
Italic = Organizationally Assigned. Reports elsewhere administratively. FTE counted.

Eff 10-28-09   **6-4-4**
Rev 11-03-09

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

Chief of Financial Applications
04360   6832

UP & Local Government Support

Systems Programming Consultant
04775   2117

OFR and Remedy Support

IT Business Consultant Manager-SES
04577   2134

Systems Project Analyst
04883   2107

Computer Programmer Analyst II
04118   2103

Computer Programmer Analyst I
04880   2102

.Net Development and Framework Support

IT Business Consultant Manager-SES
04881   2134

Computer Audit Analyst
04855   2125

Senior Management Analyst II-SES
04774   2225

IT Business Consultant Manager-SES
00946   2134

Systems Project Consultant (2)
04096, 04928
2109

Systems Project Analyst (3)
04610, 04612, 04496
2107

Computer Programmer Analyst II (2)
04576, 04919   2103

Systems Project Consultant
01809   2109

Treasury Section

Financial Administrator-SES
01218   1587

Sr. Management Analyst Supervisor
00088   2228

Systems Project Analyst (3)
01004, 01015, 01285
2107

Systems Project Administrator-SES
04783   2109

Bureau Total FTE: 23

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

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

Chief of Insurance Applications
00520   8247

WC Design Programming

Insurance Applications Engineering

IT Business Consultant Manager-SES
03048   2134

Systems Project Consultant (2)
00159, 01552   2109

IT Business Consultant Manager-SES
00175   2134

Systems Project Analyst
03264   2107

Systems Project Analyst (3)
00472, 00095, 01551
2107

Systems Project Analyst (4)
00605, 04389, 00158, 00140
2107

Computer Programmer Analyst II
03104   2103

Sr. Management Analyst I-SES
03054   222

Sr. Management Analyst II-SES
00170   2225

Sr. Web Page Design Specialist
03274   2099

Government Analyst II (3)
00112, 00306, 04097
2225

Computer Programmer Analyst II
00200   2103

Systems Project Consultant
03052   2109

Government Analyst II
00110   2225
(ORG assigned to 000913)

Operations Analyst II
03267   2212

Bureau Total FTE: 24 ❖   **FTE not Included in this Section**
Dotted Line = Administratively Assigned. FTE not counted.
Italic = Organizationally Assigned. Reports elsewhere administratively. FTE counted.

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

```
                    Applications Support
                Assistant Director of Information
                            Systems
                    04023        7284
                            |
                    IT Business Consultant
                        Manager-SES
                    04113        2134
                            |
```

Data Base Consultant (2) 01326, 04334 2127	Sr. SAMAS Analyst 04138 1452

Systems Programmer II 04319 2133	Senior Data Base Analyst (2) 01753, 04418 2122

Data Base Administrator-SES
01327   2127

Senior Data Base Analyst (3)
03249, 04743, 04927
2122

Total FTE: 11   ❖   **FTE not Included in this Section**
Dotted Line = Administratively Assigned. FTE not counted.
Italic = Organizationally Assigned. Reports elsewhere administratively. FTE counted.

Eff 07-01-09
Rev 07-29-09   6-4-7

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

```
                    ┌─────────────────────┐
                    │  Chief of Distributed│
                    │    Infrastructure    │
                    │   04092      9535    │
                    └─────────────────────┘
                              │
                              │        ┌──────────────────────────┐
                              │        │ Administrative Secretary │
                              │        │   04777        0108      │
                              │        └──────────────────────────┘
                              │
```

Desktop Support / Web Systems   Network / Exchange and Active Directory

❖ Distributed Computer Systems Administrator-SES 00164 2053	❖ Web Manager-SES 03247 2132	❖ Network Computer Systems Administrator-SES 01323 2128	❖ Distributed Computer Systems Administrator-SES 001321 2053

Bureau Total FTE: 49
Office of the Chief FTE: 2

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

Eff 03-16-10
Rev 04-05-10   **6-4-8**

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

Chief of Distributed
Infrastructure
04092   9535

(Desktop Support)

(Web Systems)

**Distributed
Computer Systems
Administrator-SES
00164   2053**

**Web
Manager-SES
03247   2132**

**Distributed Computer
Systems Specialist (5)
03184, 03266, 04114,
03265, 04081   2050**

**Office Automation
Analyst
03260   2047**

**Distributed Computer
Systems Analyst
04882   2052**

**Systems
Programmer II (3)
04083, 04085, 04918
2113**

**Distributed Computer
Systems Analyst (6)
00121, 00154, 00709,
01079, 03248, 04506
2052**

**Office Automation
Specialist II (2)
01219, 04731   2043**

**Systems Project
Analyst
04117   2107**

**Systems
Programmer III (3)
00433, 04397, 01408
2115**

Total FTE: 24

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

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

Chief of Distributed
Infrastructure
04092   9535

(Network)

**Network Systems
Administrator-SES
01323   2128**

(Exchange and Active Directory)

**Distributed
Computer Systems
Administrator-SES
01321   2053**

**Distributed Computer
Systems Administrator-
SES (2)
00073, 01080
2053**

**Systems
Programmer III (5)
00214, 00560, 03069,
03302, 04729
2115**

**Distributed Computer
Systems Analyst
01223   2052**

**Systems
Programmer II
00166   2113**

**Telecommunications
Specialist III
00156   2035**

**Telecommunications
Administrator-SES
04598   2035**

**Systems
Programmer III (2)
00102, 04111   2115**

**Distributed Computer
Systems Analyst (6)
00457, 00563, 01225,
03072, 04575, 04879
2052**

**Systems
Programmer II
01222   2113**

**Distributed Computer
Systems Specialist (2)
00405, 00155   2050**

Total FTE: 24
❖   **FTE not Included in this Section**
Dotted Line = Administratively Assigned. FTE not counted.
Italic = Organizationally Assigned. Reports elsewhere administratively. FTE counted.

Eff 01-15-10
Rev 01-22-10   **6-4-10**

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

Chief of Enterprise Infrastructure & Operations
04131   9436

Data Processing Manager-SES
04062   2133

Systems Programmer II
00145   2113

Mainframe Section

Assistant Data Center Director-SES
00160   2135

Systems Programming Section

Systems Programming Administrator-SES
04401   2117

Unix Systems Section

❖ **Systems Programming Administrator-SES**
004106   2117

Bureau Total FTE: 39
Office of the Chief FTE: 3

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

Eff 07-01-09
Rev 07-07-09   **6-4-11**

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

Assistant Data Center Director-SES
00160   2135

Data Processing Manager-SES
04597   2133

EDP Quality Control/Sched. Supervisor-SES
04100   2017

Data Processing Control Specialist
04732   2013

Computer Operator III (4)
04566, 04776, 04549, 04600   2023

Sr. EDP Quality Control/ Sched. Supervisor-SES
04098   2019

EDP Quality Control/ Sched. Specialist
04734   2016

Data Processing Control Specialist
04136   2013

Computer Operator III
04733   2023

EDP Quality Control/Sched. Supervisor-SES
04563   2017

EDP Quality Control/Sched. Supervisor-SES
04160   2017

EDP Quality Control/ Sched. Specialist
04116   2016

EDP Quality Control/ Sched. Specialist (2)
00143, 04735   2016

Data Processing Control Specialist
04571   2013

Computer Operations Supervisor-SES
04778   2025

Data Processing Control Specialist
04093   2013

Total FTE: 20

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

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

```
┌─────────────────────────┐
│  Systems Programming    │
│  Administrator-SES      │
│    04401      2117      │
└─────────────────────────┘
         │
         ├──────┌─────────────────────────┐
         │      │  Systems Programming    │
         │      │  Consultant             │
         │      │    00487     2117       │
         │      └─────────────────────────┘
         │      ┌─────────────────────────┐
         │      │      Systems            │
         ├──────│  Programmer III (4)     │
         │      │  00435, 04084, 04333,   │
         │      │    04730     2115       │
         │      └─────────────────────────┘
         │      ┌─────────────────────────┐
         │      │      Systems            │
         └──────│  Programmer II (4)      │
                │  00489, 04491, 04572,   │
                │    04782     2113       │
                └─────────────────────────┘
```

Total FTE = 10   ❖   FTE not Included in this Section
Dotted Line = Administratively Assigned. FTE not counted.
Italic = Organizationally Assigned. Reports elsewhere administratively. FTE counted.

Eff 07-01-09
Rev 07-07-09   **6-4-13**

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

---

Systems Programming Administrator-SES
04106   2117

Systems Programmer III (2)
04082, 04848   2115

Systems Project Analyst
01752   2107

Distributed Computer Systems Analyst
004920   2052

Total FTE = 5

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

Eff 07-01-09
Rev 07-07-09   **6-4-14**

Financial Services Commission
Office of Insurance Regulation
Director of Insurance Regulation

DIRECTOR
OF INSURANCE REGULATION
00006   9781

Business Dev & Mkt Research

Deputy Chief of Staff
01444   9465
Administratively
Reporting

Chief of Staff
00818   8289

Inspector General's Office

Inspector General
01631   9238

Senior Management
Analyst II-SES
01824   2225

Staff Assistant-SES
00961   0120

Programs & Policy
Coordinator-SES
01385   8221

Legal Services Office

❖ **General Counsel**
00363   8579

Insurer Solvency

Deputy Director
of Insurance Regulation
01370   9465

Forms & Rates

Deputy Director
of Insurance Regulation
00819   9465

Executive
Assistant II - SES
01262   0720

Management Review
Specialist - SES
00770   2239

Financial
Administrator - SES
00758   1587

Information Technology
Business Consultant Mgr
01632   2134

Financial
Administrator-SES
01823   1587

Info Tech Business
Consultant Mgr-SES
01440   2134

Administration,
Personnel, Budget, Contracts

Senior Management
Analyst Supervisor-SES
01288   2228

Operations Analyst II
00113   2212

Communications

Senior Management
Analyst Supervisor-SES
01287   2228

Staff Assistant
00719   0120

OMC Manager-SES
03161   2238

Staff Assistant
01393   0120

Office Automation
Analyst
00820   2047

Financial Examiner/
Analyst II
00765   1564

Legislative and Cabinet Affairs

Senior Management
Analyst Supervisor-SES
01636   2228

Senior Management
Analyst I-SES
00825   2224

Senior Management
Analyst-SES
00708   2239

Administrative
Assistant II-SES
01390   0712

Administrative
Assistant III
01449   0712

Research Assistant
01822   3120

Division Total FTE: 300
Office of the Director FTE: 27

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

Eff 07-01-10
Rev 07-25-10

OIR 1

Financial Services Commission
Office of Insurance Regulation
Deputy Director of Insurance Regulation (Insurer Solvency)

```
                    ┌─────────────────────────────┐
                    │      Deputy Director        │
                    │  of Insurance Regulation    │
                    │    01370        9465        │
                    │   Org Code 43 82 20 00      │
                    └─────────────────────────────┘
                              │
                              │        ┌─────────────────────────────┐
                              │        │      Administrative          │
                              ├────────│    Assistant II-SES          │
                              │        │    01275        0712         │
                              │        └─────────────────────────────┘
         ┌────────────────────┼────────────────────┐
┌─ ─ ─ ─ ─ ─ ─ ─ ─ ─ ─ ┐              ┌─────────────────────────────┐
│    Chief of P&C       │              │      Chief of P & C          │
│   Forms & Rates       │              │    Insurer Solvency          │
│   00540      7660     │              │    00710        7661         │
│  Org Code 43 82 41 00 │              │   Org Code 43 82 21 00       │
└─ ─ ─ ─ ─ ─ ─ ─ ─ ─ ─ ┘              └─────────────────────────────┘
                    ┌─────────────────────────────┐
                    │      Chief of L&H            │
                    │    Insurer Solvency          │
                    │    01161        7677         │
                    │   Org Code 43 82 22 00       │
                    └─────────────────────────────┘
```

Office of the Deputy Director FTE: 2   ❖   **FTE not Included in this Section**
Dotted Line = Administratively Assigned. FTE not counted.
Italic = Organizationally Assigned. Reports elsewhere administratively. FTE counted.

Eff 07-01-10
Rev 07-25-10

OIR 2

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

Chief of P & C Insurer Solvency
00710   7661

Financial Administrator-SES
01761   1587

Administrative Assistant I
01387   0709

Financial Specialist- SES
01762   1566

Administrative   Assistant I
00887   0709

Administrative Assistant II-SES
01396   0712

Insurance Examiner II
01763   3524

Reinsurance / Financial Specialist-SES
01764   3551

Operations Analyst I
00362   2209

Sr. Research Economist - SES
01671   3230

P & C Examinations Section

P & C Financial Regulation Section

Financial Administrator-SES
01410   1587

Financial Administrator-SES
00505   1587

Financial Administrator-SES
01286   1587

Financial Administrator-SES
00783   1587

Bureau Total FTE:
Office of the Chief FTE: 6

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

Eff   9-29-10
Revised 9-29-10

OIR 3

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

Chief, P&C Insurer Solvency
00710　　7661

Senior Attorney (6)
00494, 000543, 00564,
00634, 01054, 00206,
7738
01410　　1587

Senior Word Processing Systems Operator
01228　　0093

Insurance Examiner II
01401　　3524

Insurance Examiner II (2)
00347, 01266　　3524

Financial Examiner/ Analyst II
00265　　1564

Reinsurance/Financial Specialist
01399　　3551

Financial Examiner/ Analyst Supervisor-SES
00349　　1575

Financial Examiner/ Analyst Supervisor-SES
01276　　1575

Financial Examiner/ Analyst Supervisor-SES
01386　　1575

Financial Examiner/ Analyst Supervisor-SES
01388　　1575

Financial Examiner/ Analyst II
00034　　1564

Financial Examiner/ Analyst II (2)
00448, 00450
1564

Reinsurance/Financial Specialist
00951　　3551

Financial Examiner/ Analyst II (2)
00940, 01265　　1564

Financial Specialist
00727　　1566

Financial Specialist
00752　　1566

Reinsurance/Financial Specialist - SES
01764　　3551

Reinsurance/Financial Specialist
00082　　3551

Financial Examiner/ Analyst II
01402　　1564

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

FTE: 22

Eff 07-01-10
Rev 07-25-10

OIR 4

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

```
Chief, P&C Insurer Solvency
00710      7661
```

```
Financial Administrator-SES
00505      1587
```

```
Financial Administrator-SES
00783      1587
```

```
Administrative Assistant I
01387      0709
```

```
Financial Administrator-SES
01286      1587
```

```
Financial Examiner/Analyst Supervisor-SES
01372      1575
```

```
Insurance Examiner II (2)
00100, 01379    3524
```

```
Financial Examiner/Analyst Supervisor-SES
00936      1575
```

```
Financial Specialist-SES
00753      1566
```

```
Financial Examiner/Analyst Supervisor-SES
00274      1575
```

```
Financial Examiner/Analyst Supervisor-SES
00661      1575
```

```
Insurance Examiner II (3)
00014, 00530, 01624
3524
```

```
Financial Examiner/Analyst II
01398      1564
```

```
Insurance Examiner II (2)
00824, 01267
3524
```

```
Insurance Examiner II (4)
00478, 00728, 01384,
01397      3524
```

```
Insurance Examiner II (3)
00220, 00251, 01406
3524
```

```
Insurance Examiner II (2)
00502, 00537
3524
```

```
Reinsurance/Financial Specialist
00186      3551
```

```
Reinsurance/Financial Specialist
00522      3551
```

```
Insurance Examiner II (2)
00347, 01266    3524
```

```
Reinsurance/Financial Specialist
01404      3551
```

```
Reinsurance/Financial Specialist - SES
00541      3551
```

```
Reinsurance/Financial Specialist
00834      3551
```

```
Insurance Examiner II
00613      3524
```

```
Financial Examiner/Analyst II
01162      1564
```

```
Insurance Examiner II
00826    3524
```

```
Insurance Examiner II
00830    3524
```

```
Insurance Examiner II
00828    3524
```

```
Financial Examiner/Analyst Supervisor-SES
00888      1575
```

```
Insurance Examiner II
00970      3524
```

```
Insurance Examiner II
01763    3524
```

FTE: 38   ❖   **FTE not Included in this Section**
Dotted Line = Administratively Assigned. FTE not counted.
Italic = Organizationally Assigned. Reports elsewhere administratively. FTE counted.

Eff 08-30-10
Rev 8-30-10   **OIR 5**

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

Chief of L & H Insurer Solvency
01161   7677

Actuary
01187   3554

Operations Analyst II
00784   2212

Actuary
00743   3554

Administrative Assistant II-SES
00430   0712

L & H Financial Examination
Org Code 43 82 22 10

Life & Health Financial Review
Org Code 43 82 22 20

Financial Administrator-SES
00827   1587

Financial Administrator-SES
01564   1587

Financial Administrator-SES
00771   1587

Financial Administrator-SES
00430   1587

Administrative Secretary
01154   0108

Financial Specialist
00788   1566
Org Code 43 82 22 10

Financial Examiner/Analyst Supervisor-SES
00217   1575

Financial Examiner/Analyst Supervisor-SES
01563   1575

Financial Examiner/Analyst Supervisor-SES
00442   1575

Financial Examiner/Analyst Supervisor-SES
00261   1575

Operations Review Specialist
00031   2239

Insurance Examiner II (2)
01163, 01430
3524

Administrative Secretary
00087   0108

Financial Examiner/Analyst II (2)
00601, 01165   1564

Insurance Examiner II (3)
00886, 00889, 01159
3524

Financial Examiner/Analyst II
00340   1564

Insurance Examiner II (3)
00643, 01264, 01670
3524

Reinsurance/Financial Specialist
00273   3551

Senior Management Analyst I-SES
00420   2224

Financial Examiner/Analyst II (5)
00399, 00816, 00833, 01375,
01158   1564

Financial Specialist
00788   1566

Financial Examiner/Analyst II
00123   1564

Insurance Examiner II (5)
00592, 00620, 00703,
00822, 00829 3524

Financial Examiner/Analyst Supervisor-SES
01160   1575

Financial Specialist (3)
00124, 01270, 01431
1566

Administrative Secretary
00621   0108

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

Financial Examiner/Analyst II
01445   1564

Bureau Total FTE: 50

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

Financial Services Commission
Office of Insurance Regulation
Legal Services Office

General Counsel
00363   8579

Office of GC
Org Code 43 82 30 00

Sr. Management Analyst II-SES
01674   2225

Chief of Market Investigations
01261   9120

Insurance Examiner II (3)
00643, 01264, 01670
3524

Transactional
Org Code 43 82 30 10

Executive Senior Attorney
00305   7739

Staff Assistant
01554   0120

Financial Examiner/ Analyst II (2)
00601, 01165   1564

Paralegal Specialist
00348   7703

Senior Attorney (6)
00494, 000543, 00564, 00634,
01054, 00206,   7738

Administrative Assistant II
00525   0712

Attorney
00676   7736

Litigation
Org Code 43 82 30 20

Executive Senior Attorney
00485   7739

Executive Senior Attorney
00436   7739

Staff Assistant (3)
00911, 00003, 01329
0120

Financial Examiner/Analyst Supervisor-SES
00936   1575
7738

Financial Examiner/ Analyst II (2)
00448, 00450   1564

Attorney
00486   7738
(Org Code 43 82 30 10)

Legal Services Total FTE = 30

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

Financial Services Commission
Office of Insurance Regulation
Bureau of Market Investigations

Chief of Market INVESTIGATIONS
01261   9120

Administrative Assistant II
01392   0712

Senior Management Analyst II-SES
00286   2225

(Special Investigations Unit)

Financial Administrator-SES
01634   1587

Administrative Secretary
01371   0108

Investigation Manager-SES
00600   8357

Insurance Analyst II (2)
1465, 01669   3518

Operation Review Specialist
00747   2239

Management Review Specialist-SES
00423   2239

Insurance Analyst II
00745   3518

Administrative Secretary
01146   0108

(Market Analysis Unit)

Financial Administrator-SES
00766   1587

Administrative Secretary
01155   0108

Financial Examiner/ Analyst II
00197   1564

Investigation Manager-SES
00650   8357

Insurance Analyst II
00264   3518

Investigation Manager-SES
00754   8357

Senior Management Analyst II-SES
00209   2225

Insurance Analyst II (2)
00639, 00798   3518

Administrative Secretary
00761   0108

Financial Examiner/ Analyst Supervisor-SES
00481   1575

Insurance Analyst II
00949   3518

Government Analyst I
00403   2224

(Enforcement and Compliance Units)

Financial Administrator-SES
01153   1587

Administrative Secretary
01566   0108

Investigation Manager-SES
01635   8357

Senior Management Analyst Supervisor-SES
01623   2228

Insurance Analyst II (2)
00324, 00519   3518

Senior Management Analyst II-SES
01765   2225

Insurance Analyst II (2)
00748, 01405   3518

Financial Specialist
01169   1566

Government Analyst I
00697   2224

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

Bureau Total FTE: 36

Eff 08-30-10
Rev 08-30-10   **OIR 8**

Financial Services Commission
Office of Insurance Regulation
Deputy Director of Insurance Regulation (Forms & Rate)

```
                    ┌─────────────────────────┐
                    │     Deputy Director      │
                    │ of Insurance Regulation  │
                    │   00819        9465      │
                    │  Org Code 43 82 40 00    │
                    └─────────────────────────┘
                              │
                              │    ┌─────────────────────────┐
                              │    │     Administrative       │
                              ├────│  Assistant II - SES      │
                              │    │   01376      0712        │
                              │    └─────────────────────────┘
                              │
        ┌─────────────────────┼─────────────────────┐
┌─────────────────┐  ┌ ─ ─ ─ ─ ─ ─ ─ ─ ┐  ┌─────────────────┐
│  Chief of L&H   │    Chief of L&H       │  Chief of P&C   │
│ Forms & Rates   │  │ Insurer Solvency │    Forms & Rates   │
│ 00581    7669   │    01161      7677    │ 00540    7660   │
│(Org Code 43 82  │  │(Org Code 43 82   │    (Org Code 43 82 │
│   42 00)        │     22 00)         │    41 00)        │
└─────────────────┘  └ ─ ─ ─ ─ ─ ─ ─ ─ ┘  └─────────────────┘
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Office of the Deputy Director FTE: 2

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

Eff 07-01-10
Rev 07-25-10

OIR 9

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

Chief of P & C Forms & Rates
00540   7660

Financial Administrator-SES
01439   1587

Financial Administrator-SES
00571   1587

Government Analyst I
00092   2224

Insurance Analyst II
00739   3518

Actuarial Analyst
01226   3553

Management Review Specialist-SES
001170   2239

Administrative Secretary (2)
00030, 01204   0108

Senior Management Analyst Supervisor-SES
00899   2228

Insurance Analyst II (2)
00655, 01438   3518

Senior Management Analyst I-SES
000742   2224

Staff Assistant
00548   0120

Senior Management Analyst II-SES
00078   2225

Insurance Analyst II (4)
00552, 00421, 00539, 00118   3518

Sr. Management Analyst I-SES
00714   2224

Sr. Management Analyst II-SES
01821   2225

Data Processing Control Specialist
00935   2013

Actuarial Analyst
01137   3553

Actuary
00001   3554

Actuary
00004   3554

Actuary
01023   3554

Actuary
01136   3554

Actuary
01185   3554

Actuary
01436   3554

Actuary
01435   3554

Actuarial Analyst
00704   3553

Senior Actuarial Analyst
01448   8701

Research and Statistics Consultant
01437   3142

Insurance Analyst II
01099   3518

Senior Actuarial Analyst
01381   8701

Actuarial Analyst
00942   3553

WC Administrator-SES
01373   3328

Insurance Analyst II (2)
00943, 01374   3518

Insurance Analyst II
00967   3518

Actuarial Analyst
00987   3553

Insurance Analyst II
00657   3518

Actuarial Analyst
00738   3553

Senior Actuarial Analyst
01562   8701

Actuarial Analyst (2)
00695, 01098   3553

Bureau Total FTE: 46

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

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

Chief of Life & Health
Forms & Rates
00581   7669

Administrative
Assistant II-SES
01383   0712

Management Review
Specialist-SES
01668   2239

Staff Assistant
00296   0120

Staff Assistant
00465   0120

L & H Forms Section
Senior Management
Analyst Supervisor-SES
00960   2228

L & H Rates Section
Actuary
00005   3554

Senior Management
Analyst I-SES
01466   2224

Insurance Analyst II (3)
00880, 01446, 01135
3518

Actuary
00945   3554

Senior Actuarial Analyst
00900   8701

Insurance Analyst II (3)
00495, 00556, 00603
3518

Senior Management
Analyst I-SES
00599   2224

Actuarial Analyst
01180   3553

Financial Administrator-
SES
00693   1587

Insurance Analyst II
00182   3518

Senior Actuarial Analyst
01122   8701

Actuarial Analyst
00986   3553

Research and Statistics
Consultant
00243   3142

Bureau Total FTE: 23

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

Eff 07-01-10
Rev 07-25-10

OIR 11

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

Deputy Chief of Staff
01444   9465

Business Development & Technology Initiatives

❖ **Director of Insurance Regulation**

Operations Review Specialist
00740   2239

Senior Management Analyst I-SES
00512   2224

Financial Administrator-SES
00758   1587

IT Business Consultant Manager-SES
01632   2134

Senior Management Analyst Supervisor-SES
01403   2228

Staff Assistant
00715   0120

Staff Assistant
00961   0120

Staff Assistant
00383   0120

Management Review Specialist-SES
01633   2239

Senior Management Analyst Supervisor-SES
00637   2228

Insurance Specialist II-SES
00980   3509

Research Assistant
01167   3120

Management Review Specialist-SES
01565   2239

Management Review Specialist-SES
01377   3120

Staff Assistant (2)
01179, 01378   0120

Administrative Secretary
00230   0108

Research Assistant
001268   3120

Research Assistant
00392   3120

BD & MR FTE: 19

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

Eff 07-01-10
Rev 07-25-10

OIR 12

Financial Services Commission
Office of Financial Regulation
Office of the Commissioner

Commissioner of Financial Regulation
04009　　　9121

General Counsel
04301　　　8579

Office of Inspector General
01637　　　9238

Financial Administrator-SES
04640　　　1587

Executive Assistant II - SES
04903　　　0720

Administrative Secretary
04322　　　0108

Director of Legislative & Cabinet Affairs
01640　　　8144

CHIEF OF STAFF
04002　　　8289

Communications Director
04466　　　9556

Sr. Management Analyst II-SES
01641　　　2225

Planning & Budgeting Administrator
04634　　　8382

Director of Financial Institutions
04316　　　9124

Director of Securities
04407　　　9126

Chief of Financial Investigations
04007　　　9123

Director of Finance
04410　　　9106

OFR Total FTE: 460
Office of the Director FTE: 9

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

Eff 04-29-10
Rev 05-11-10

OFR-1

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

```
                    ┌─────────────────────────┐
                    │   INSPECTOR GENERAL     │
                    │     1637    9238        │
                    │                         │
                    └────────────┬────────────┘
                                 │
                    ┌────────────┴────────────┐
                    │ Senior Management Analyst│
                    │    Supervisor-SES       │
                    │   01827      2225       │
                    └────────────┬────────────┘
                                 │
                    ┌────────────┴────────────┐
                    │   Senior Management      │
                    │    Analyst II-SES       │
                    │   01828      2225       │
                    └─────────────────────────┘
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Office of the Inspector General FTE: 3   ❖   FTE not Included in this Section   Eff 07-01-10
                                            Dotted Line = Administratively Assigned. FTE not counted.   Rev 07-09-10   OFR-2
                                            Italic = Organizationally Assigned. Reports elsewhere administratively. FTE counted.

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

```
                    ┌─────────────────────────┐
                    │     General Counsel      │
                    │   04301        8579      │
                    └─────────────────────────┘

┌─────────────────────────┐          ┌─────────────────────────┐
│ Executive Senior Attorney│          │ Administrative Assistant III-│
│   01642        7739      │          │           SES            │
└─────────────────────────┘          │   04352        0714      │
                                      └─────────────────────────┘

                                      ┌─────────────────────────┐
┌─────────────────────┐  ┌─────────────────────┐│  Secretary Specialist   │
│  Senior Attorney    │  │  Senior Attorney    ││   04076        0105     │
│   04328    7738     │  │   04328    7738     │└─────────────────────────┘
└─────────────────────┘  └─────────────────────┘
                                      ┌─────────────────────────┐
┌─────────────────────┐  ┌─────────────────────┐│ Administrative Assistant II-│
│  Senior Attorney    │  │  Senior Attorney    ││           SES            │
│   04400    7738     │  │   04626    7738     ││   04011        0712      │
└─────────────────────┘  └─────────────────────┘└─────────────────────────┘

                                      ┌─────────────────────────┐
                                      │    Senior Attorney      │
                                      │   04626        7738     │
                                      └─────────────────────────┘
```

Field Offices

```
        ┌─────────────────────────┐
        │   Attorney Supervisor    │
        │   04590        7743      │
        └─────────────────────────┘

        ┌─────────────────────────┐
        │     *Administrative      │
        │       Secretary*         │
        │   *04206       0108*     │
        └─────────────────────────┘
```

Office of the General Counsel FTE: 23
Total General Counsel FTE: 41

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

Eff 07-28-10
Rev 09-01-10   **OFR-3**

Financial Services Commission
Office of Financial Regulation
Legal Services Office

Attorney Supervisor
04590   7743

Administrative Secretary
04206   0108

Pensacola Legal Services

Jacksonville Legal Services

Tampa Legal Services

Orlando Legal Services

West Palm Beach Legal Services

Ft. Lauderdale Legal Services

Miami Legal Services

Senior Attorney
04817   7738

Senior Attorney
04468   7738

Senior Attorney
04318   7738

Senior Attorney
04667   7738

Senior Attorney
04618   7738

Senior Attorney
04184   7738

Senior Attorney
04629   7738

Administrative Secretary
04260   0108

Administrative Secretary
04377   0108

Senior Attorney
04614   7738

Administrative Assistant II
04514   0712

Administrative Secretary
04625   0108

Senior Attorney
04628   7738

Administrative Assistant I
04686   0709

Administrative Secretary
04382   0108

Administrative Secretary
04181   0108

Senior Attorney
04816   7738

Total FTE: 17

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

Eff 08-1-10
Rev 08-1-10   **OFR-4**

Financial Services Commission
Office of Financial Regulation
Bureau of Financial Investigations

Chief of Financial Investigations
04007   9123

Administrative Assistant II-SES
04006   0712

Sr. Management Analyst II-SES
04008   2225

Financial Administrator-SES
04453   1587

Financial Administrator-SES
04055   1587

FI-CE
04176   8325
(Adm'ly Rpts to 04859)

Fin Inv
04363   8324
(Adm'ly Rpts to 04859)

Pensacola
Area Financial Manager-SES
04859   1584

Fin Investigator-CE (2)
04611, 01860   8325

Sr. Financial Investigator
04650   8351

Financial Investigator
04695   8324

Secretary Specialist
04503   0105

Financial Investigator-CE
04176   8325

Financial Investigator
04363   8324

Jacksonville
Area Financial Manager-SES
04175   1584

Financial (2) Investigator-CE
04166, 04343   8325

Sr. Financial Investigator
04711   8351

Financial Investigator
04578   8324

Tampa
Area Financial Manager-SES
04710   1584

Financial (4) Investigator-CE
04182, 04434, 04644, 04721   8325

Sr. Financial Investigator (2)
04531, 04380   8351

Financial Investigator (2)
04170, 01861   8324

Administrative Assistant II
04678   0712

Orlando
Area Financial Manager-SES
04700   1584

Financial (6) Investigator-CE
04169, 04240, 04423, 04424, 04709, 04876   8325

Administrative Secretary
04815   0108

West Palm Beach
Area Financial Manager-SES
04591   1584

Financial (3) Investigator-CE
04638, 04592, 04780   8325

Financial Investigator-CE
04713   8325

Financial Investigator (2)
04430, 01858   8324

Administrative Secretary
04684   0108

Ft. Lauderdale
Area Financial Manager-SES
04712   1584

Financial (3) Investigator-CE
04429, 04171, 04633   8325

Sr. Financial Investigator
04436   8351

Financial Investigator (3)
01859, 04174, 04392   8324

Administrative Secretary
04624   0108

Ft. Myers

Financial Inv-CE
04915   8325

Sr. Financial Investigator
04058   8351

Admin Asst I
04917   0709
(Adm'ly Rpts to Sec Reg)

Miami
Area Financial Manager-SES
04715   1584

Financial (3) Investigator-CE
04427, 04593, 04722   8325

Sr. Financial Investigator (2)
01857, 04419   8351

Financial Investigator (2)
04421, 4373   8324

Administrative Secretary
04420   0108

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

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

Eff 08-05-10
Rev 09-01-10

OFR-5

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

Director of Financial Institutions
04316   9124

Senior Attorney
04345   7738
Position administratively reports to 01642

Senior Attorney
04328   7738
Position administratively reports to 01642

Financial Administrator-SES
04152   2225

Financial Administrator-SES
04395   1587

Senior Attorney
04400   7738
Position administratively reports to 01642

Administrative Assistant III-SES (2)
04200, 04323
0714

Sr. Management Analyst II-SES (2)
01725, 04821
2225

Financial Specialist (2)
04156, 04877 1566

Administrative Assistant I
04331   0712

Financial Examiner/Analyst II
04379   1564

Government Analyst I
04347   2224

❖ **Chief of Bank Regulation - District I**
04146   3613

❖ **Chief of Bank Regulation - District II**
04355   3612

❖ **Chief of Credit Union Regulation**
04558   9125

Office of the Director: 15
Total Division FTE: 128

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

Eff 07-01-10
Rev 07-09-10

OFR-6

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

CHIEF OF BANK REGULATION - DISTRICT I
04146   3613

Financial Administrator-SES
04147   1587

Senior Management Analyst II-SES
01727   2225

Financial Control Analyst (2)
01928, 04215
1567

Tallahassee - Bank Regulation
❖   Area Financial Manager-SES
04336   1584

Tampa - Bank Regulation
❖   Area Financial Manager-SES
04374   1584

Orlando - Bank Regulation
❖   Area Financial Manager-SES
01917   1584

Office of the Chief FTE: 5
Bureau Total FTE: 52

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

Eff 07-01-10
Rev 07-09-10

OFR-7

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

```
┌─────────────────────────────┐
│ Tallahassee - Bank Regulation│
│      Area Financial          │
│       Manager-SES            │
│   04336         1584         │
└─────────────────────────────┘
                    ┌─────────────────────────┐
                    │      Financial          │
                    │    Specialist (2)       │
                    │ 04349, 04899     1566   │
                    └─────────────────────────┘

        ┌─────────────────────────┐
        │         FE/A            │
        │    Supervisor-SES       │
        │   04254        1575     │
        └─────────────────────────┘

┌─────────────────────────┐   ┌─────────────────────────┐
│       Financial         │   │       Financial         │
│  Examiner/Analyst II    │   │ Examiner/Analyst I (3)  │
│   04178        1564     │   │ 01855, 01856, 04330     │
│                         │   │         1554            │
└─────────────────────────┘   └─────────────────────────┘
```

Tallahassee FTE: 8   ❖   **FTE not Included in this Section**
Dotted Line = Administratively Assigned. FTE not counted.
Italic = Organizationally Assigned. Reports elsewhere administratively. FTE counted.

Eff   03-23-10
Rev 04-16-10   **OFR-8**

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

Tampa - Bank Regulation Area Financial Manager-SES
04374   1584

Financial Control Analyst
04829   1567

Financial Examiner/ Analyst Supervisor-SES
04561   1575

Financial Examiner/ Analyst Supervisor-SES
01923   1575

Financial Examiner/ Analyst I (2)
01930, 04069
1554

Financial Specialist (3)
04199, 04387,
04901   1566

Financial Specialist (2)
04201, 04904   1566

Financial Examiner/ Analyst II
04878   1564

Financial Control Analyst (2)
04366, 04375
1567

Financial Examiner/ Analyst I (2)
04179, 04560   1554

Financial Control Analyst
01889, 01890   1567
(Wk Title: Sr. Distressed Institution Specialist)

Financial Examiner/ Analyst II
04189   1564

Tampa FTE: 19   ❖   **FTE not Included in this Section**
Dotted Line = Administratively Assigned. FTE not counted.
Italic = Organizationally Assigned. Reports elsewhere administratively. FTE counted.

Eff 07-01-10
Rev 07-09-10

OFR-9

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

Orlando - Bank Regulation Area Financial Manager-SES
01917   1584

Financial Control Analyst (2)
01919, 01920   1567

Administrative Secretary
04212   0108

FE/A Supervisor-SES
04344   1575

FE/A Supervisor-SES
01924   1575

Financial Specialist (2)
04153, 04211   1566

Financial Examiner/ Analyst II (2)
04190, 04469
1564

Financial Examiner/ Analyst II (4)
04183, 04393, 04568,
04518   1564

Financial Specialist
04562   1566

Financial Examiner/ Analyst I (2)
01929, 04698
1554

Orlando FTE: 17

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

Eff 07-01-10
Rev 07-09-10

OFR-10

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

CHIEF OF BANK REGULATION - DISTRICT II
04355   3612

Administrative Assistant I
04064   0709

Financial Administrator-SES
01922   1587

Financial Control Analyst (4)
01925, 01926, 01927, 04196   1567

Financial Control Analyst (2)
01887, 01888   1567
(Wk Title: Sr. Distressed Institution Specialist)

❖ **West Palm Beach - Bank Regulation**
Area Financial Manager-SES
04249   1584

❖ **Miami/Ft. Lauderdale - Bank Regulation**
Area Financial Manager-SES
04391   1584

Office of the Chief FTE: 9
Bureau Total FTE: 42

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

Eff 07-01-10
Rev 07-09-10   **OFR-11**

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

**West Palm Beach -
Bank Regulation
Area Financial
Manager-SES
04249   1584**

**Administrative
Secretary
04828   0108**

**Financial Control
Analyst (2)
04207, 04329
1567**

**Financial Control Analyst
01891   1567
(Wk Title: Sr. Distressed
Institution Specialist)**

**Financial Examiner/
Analyst Supervisor-SES
001826   1575**

**Financial Specialist (2)
04148, 04327   1566**

**Financial Examiner/
Analyst II (2)
04384, 04524   1564**

**Financial Examiner/
Analyst I
04745   1554**

West Palm Beach FTE: 11   ❖   **FTE not Included in this Section**
Dotted Line = Administratively Assigned. FTE not counted.
Italic = Organizationally Assigned. Reports elsewhere administratively. FTE counted.

Eff 12-01-09
Rev 12-16-09   **OFR-12**

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

```
Miami/Ft. Lauderdale - Bank
Regulation
Area Financial
Manager-SES
04391        1584
```

```
Financial Examiner/
Analyst II
04381    1564
```

Miami

Miami

Ft. Lauderdale

```
FE/A Supervisor-SES
04209        1575
```

```
FE/A Supervisor-SES
04353        1575
```

```
FE/A Supervisor-SES
04559        1575
```

```
Financial Control Analyst
01893     1567
(Wk Title: Sr. Distressed
Institution Specialist)
```

```
Financial
Examiner/Analyst II
04823 , 04856      1564
```

```
Financial
Examiner/Analyst I (2)
04376, 04923
1554
```

```
Financial Specialist
04362        1566
```

```
Financial
Examiner/Analyst I (2)
04580, 04842
1554
```

```
Financial Specialist (2)
04210, 04818      1566
```

```
Financial Control Analyst
01892     1567
(Wk Title: Sr. Distressed
Institution Specialist)
```

```
Financial Examiner/
Analyst II
04372     1564
```

```
Financial
Examiner/Analyst II (4)
04041, 04764, 04900,
04909      1564
```

```
Financial
Examiner / Analyst I
04843     1554
```

```
Financial Specialist
04180        1566
```

Miami/Ft. Lauderdale FTE: 23

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

Eff 09-07-10
Rev 09-15-10   **OFR-13**

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

Chief of Credit Union Regulation
04558   9125

Sr. Management Analyst II-SES
001730   2225

Administrative Assistant I
04311   0709

Area Financial Manager-SES (Jacksonville)
04485   1584

Financial Control Analyst (2)
01918, 01921   1567

Area Financial Manager-SES (Tampa)
04479   1575

Administrative Secretary
04486   0108

Jacksonville Financial Examiner/ Analyst II
04830   1564

Tampa Financial Examiner/ Analyst Supervisor-SES
04326   1576

Miami/Fort Lauderdale Sr. Management Analyst II-SES   (Ft Lauderdale)
04922   2225

Tallahassee Financial Examiner/ Analyst II   04844   1564

Pensacola Financial Control Analyst
04824   1567

Tampa Financial Control Analyst
04367   1567

Ft Lauderdale Financial Examiner/Analyst II
04346   1564

Jacksonville Financial Specialist
04192   1566

Tampa Financial Specialist
04154   1566

Tallahassee Financial Examiner/ Analyst I
04197   1554

Jacksonville Financial Control Analyst
01894   1567
(Wk Title: Sr. Distressed Institution Specialist)

Total FTE: 21   ❖   **FTE not Included in this Section**
Dotted Line = Administratively Assigned. FTE not counted.
Italic = Organizationally Assigned. Reports elsewhere administratively. FTE counted.

Eff   08-10-2010
Rev: 09-02-2010

OFR-14

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

Director of Securities
04407   9126

Administrative Assistant II-SES
04450   0712

Financial Administrator-SES
04623   1587

Attorney Supervisor
04907   7743

SMA Supervisor-SES
04796   2228

SMA Supervisor-SES
04444   2228

Senior Attorney (3)
04403, 04411, 04647

Financial Specialist
004645   1566

Government Analyst I
04627   2224

Accountant III
04683   1436

❖ **Chief of Securities Regulation**
04662   9129

❖ **Chief of Regulatory Review-Securities**
04635   9130

Office of the Director FTE: 12
Total Division FTE: 91

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

Eff 07-28-10
Rev 09-1-10

OFR-15

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

Chief of Securities Regulation
04662   9129

Financial Control Analyst
04663, 04656   1567

Financial Specialist
04495   1566

Financial Examiner/ Analyst II
04438   1564

Financial Administrator-SES
04413   1587

Financial Administrator-SES
04409   1587

Area Financial Manager-SES
04668   1584

Jacksonville
❖Area Financial Manager-SES
04465   1584

Tampa
❖Area Financial Manager-SES
04651   1584

Orlando
❖❖Area Financial Manager-SES
04671   1584

Miami
❖Area Financial Manager-SES
04657   1584

West Palm Beach
❖Area Financial Manager-SES
04666   1584

Ft. Lauderdale
❖Area Financial Manager-SES
04310   1584

Ft. Myers
❖   Financial Specialist
04697   1566

Financial Specialist
04851   1566

Financial Examiner/ Analyst I
04803   1554

Pensacola
Financial Specialist
04435   1567

Financial Examiner/ Analyst II
04862   1564

Financial Services Commission
Office of Financial Regulation
Division of Securities
Bureau of Securities Regulation
Jacksonville - Securities Regulation
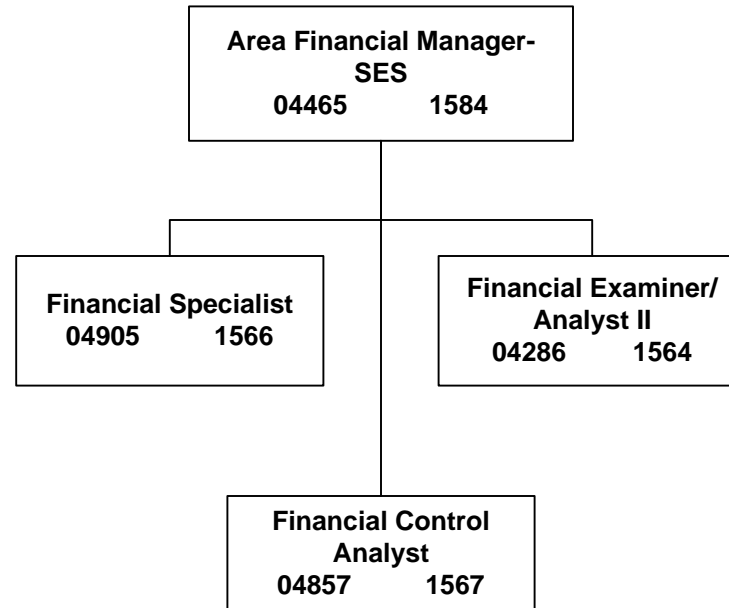
```
                    ┌─────────────────────────┐
                    │ Area Financial Manager- │
                    │          SES            │
                    │   04465        1584     │
                    └─────────────────────────┘
                              │
              ┌───────────────┴───────────────┐
    ┌─────────────────────┐         ┌─────────────────────┐
    │ Financial Specialist│         │ Financial Examiner/ │
    │   04905      1566   │         │     Analyst II      │
    │                     │         │   04286      1564   │
    └─────────────────────┘         └─────────────────────┘
                              │
                    ┌─────────────────────┐
                    │  Financial Control  │
                    │      Analyst        │
                    │   04857      1567   │
                    └─────────────────────┘
```

Total FTE: 4   ❖   **FTE not Included in this Section**
Dotted Line = Administratively Assigned. FTE not counted.
Italic = Organizationally Assigned. Reports elsewhere administratively. FTE counted.

Eff 02-14-08
Rev 12-05-08   **OFR-17**

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

```
                    ┌──────────────────────────┐
                    │  Area Financial Manager- │
                    │           SES            │
                    │   04651        1584      │
                    └──────────────────────────┘

┌──────────────────────┐        ┌──────────────────────┐
│   Administrative     │        │  Financial Control   │
│     Secretary        │        │      Analyst         │
│  04680      0108     │        │  01877     1567      │
└──────────────────────┘        └──────────────────────┘

┌──────────────────────┐        ┌──────────────────────┐
│  Financial Examiner/ │        │  Financial Examiner/ │
│      Analyst         │        │      Analyst         │
│   Supervisor-SES     │        │   Supervisor-SES     │
│  04652      1575     │        │  04589      1575     │
└──────────────────────┘        └──────────────────────┘

       ┌──────────────────────┐        ┌──────────────────────┐
       │  Financial Examiner/ │        │                      │
       │    Analyst II (2)    │        │  Financial Specialist │
       │   04916, 04771       │        │  04278      1566     │
       │       1564           │        │                      │
       └──────────────────────┘        └──────────────────────┘

       ┌──────────────────────┐        ┌──────────────────────┐
       │  Financial Examiner/ │        │  Financial Examiner/ │
       │     Analyst I        │        │    Analyst II (2)    │
       │  04665      1554     │        │   04642, 04772       │
       │                      │        │       1564           │
       └──────────────────────┘        └──────────────────────┘
```

Total FTE: 11   ❖   **FTE not Included in this Section**
Dotted Line = Administratively Assigned. FTE not counted.
Italic = Organizationally Assigned. Reports elsewhere administratively. FTE counted.

Eff 07-11-08
Rev 07-23-08   **OFR-18**

Financial Services Commission
Office of Financial Regulation
Division of Securities
Bureau of Securities Regulation
Orlando - Securities Regulation
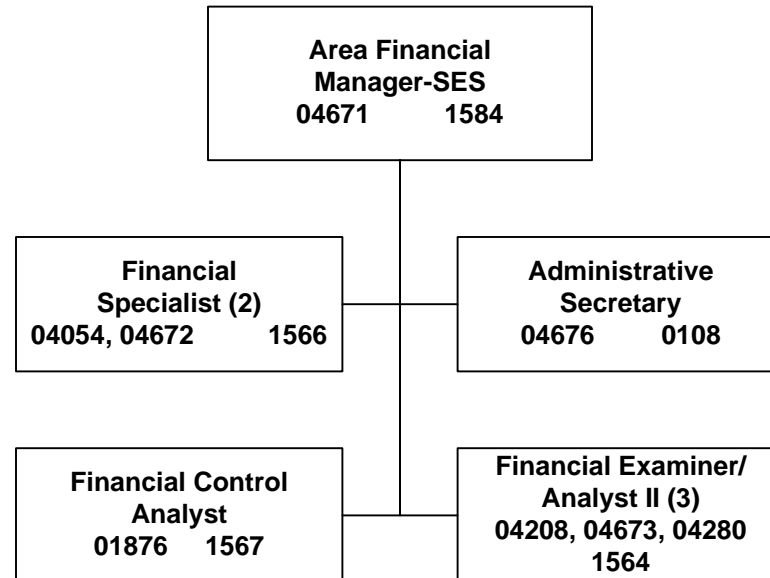
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                    ┌─────────────────────┐
                    │   Area Financial    │
                    │   Manager-SES       │
                    │   04671      1584   │
                    └──────────┬──────────┘
                               │
          ┌────────────────────┴──────────────────┐
          │                                        │
┌─────────────────────┐              ┌─────────────────────┐
│    Financial        │              │   Administrative    │
│    Specialist (2)   │──────────────│   Secretary         │
│  04054, 04672  1566 │              │   04676      0108   │
└─────────────────────┘              └─────────────────────┘
          │                                        │
┌─────────────────────┐              ┌─────────────────────┐
│  Financial Control  │              │ Financial Examiner/ │
│  Analyst            │──────────────│ Analyst II (3)      │
│  01876    1567      │              │ 04208, 04673, 04280 │
│                     │              │        1564         │
└─────────────────────┘              └─────────────────────┘
```

Total FTE: 8   ❖   **FTE not Included in this Section**
Dotted Line = Administratively Assigned. FTE not counted.
Italic = Organizationally Assigned. Reports elsewhere administratively. FTE counted.

Eff 07-01-09
Rev 07-28-09   **OFR-19**

Financial Services Commission
Office of Financial Regulation
Division of Securities
Bureau of Securities Regulation
Ft. Myers - Securities Regulation
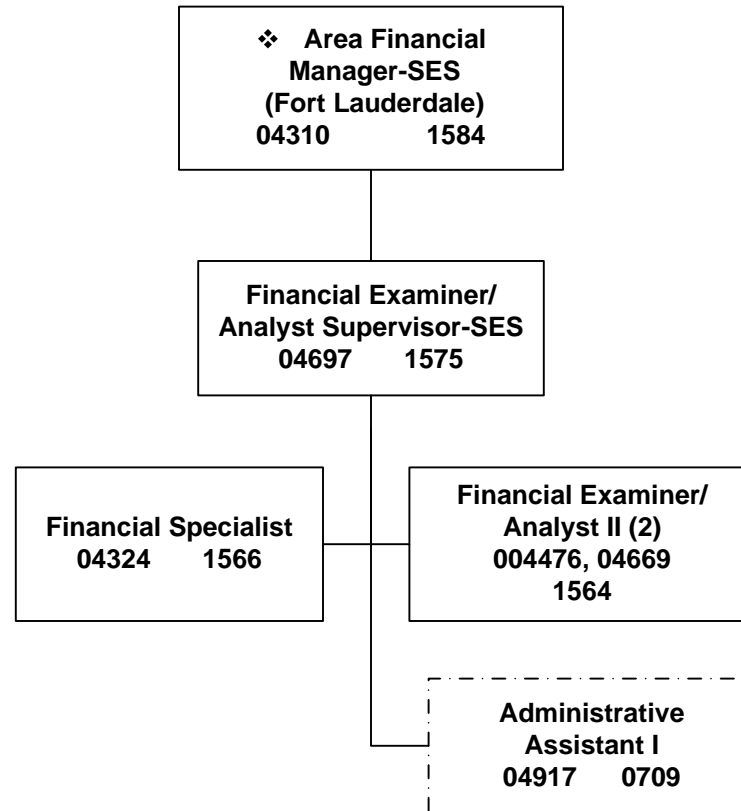
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                        ┌─────────────────────────┐
                        │  ❖  Area Financial       │
                        │     Manager-SES          │
                        │   (Fort Lauderdale)      │
                        │   04310        1584      │
                        └────────────┬─────────────┘
                                     │
                        ┌────────────┴─────────────┐
                        │   Financial Examiner/     │
                        │  Analyst Supervisor-SES   │
                        │   04697      1575         │
                        └────────────┬─────────────┘
                                     │
            ┌────────────────────────┼──────────────────────┐
    ┌───────┴────────────┐  ┌────────┴──────────────┐
    │ Financial Specialist│  │  Financial Examiner/  │
    │  04324      1566    │  │   Analyst II (2)      │
    │                     │  │  004476, 04669        │
    │                     │  │       1564            │
    └─────────────────────┘  └───────────────────────┘
                                     
                        ┌ ─ ─ ─ ─ ─ ─ ─ ─ ─ ─ ─ ─ ─┐
                        │   Administrative          │
                        │   Assistant I             │
                        │   04917     0709          │
                        └ ─ ─ ─ ─ ─ ─ ─ ─ ─ ─ ─ ─ ─┘
```

Total FTE: 4   ❖   **FTE not Included in this Section**
Dotted Line = Administratively Assigned. FTE not counted.
Italic = Organizationally Assigned. Reports elsewhere administratively. FTE counted.

Eff 04-08-09   **OFR-20**
Rev 04-15-09

Financial Services Commission
Office of Financial Regulation
Division of Securities
Bureau of Securities Regulation
West Palm Beach - Securities Regulation
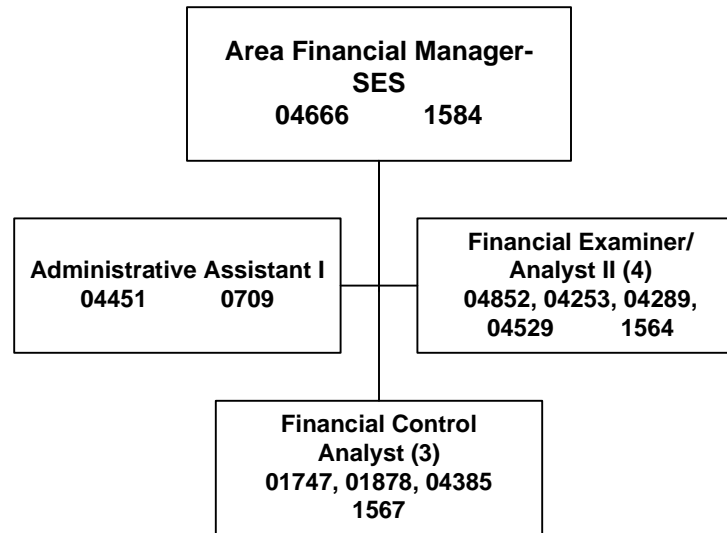
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                    ┌─────────────────────────┐
                    │  Area Financial Manager- │
                    │           SES            │
                    │    04666        1584     │
                    └─────────────────────────┘
                                 │
          ┌──────────────────────┼──────────────────────┐
┌─────────────────────────┐             ┌─────────────────────────┐
│ Administrative Assistant I│            │   Financial Examiner/   │
│    04451        0709     │             │     Analyst II (4)      │
└─────────────────────────┘             │  04852, 04253, 04289,   │
                                         │    04529        1564    │
                                         └─────────────────────────┘
                          ┌─────────────────────────┐
                          │    Financial Control    │
                          │      Analyst (3)        │
                          │  01747, 01878, 04385    │
                          │         1567            │
                          └─────────────────────────┘
```

Total FTE: 9   ❖   **FTE not Included in this Section**
Dotted Line = Administratively Assigned. FTE not counted.
Italic = Organizationally Assigned. Reports elsewhere administratively. FTE counted.

Eff 02-23-10
Rev 03-10-10   **OFR-21**

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

```
                    ┌─────────────────────────┐
                    │  Area Financial Manager- │
                    │          SES             │
                    │   04310        1584      │
                    └─────────────────────────┘

┌─────────────────────────┐      ┌─────────────────────────┐
│     Administrative       │      │       Financial          │
│       Secretary          │      │       Specialist         │
│   04433        0108      │      │   04028        1566      │
└─────────────────────────┘      └─────────────────────────┘

┌─────────────────────────┐      ┌─────────────────────────┐
│   Financial Examiner/    │      │    Financial Control     │
│     Analyst II (2)       │      │      Analyst (2)         │
│  04015, 04051     1564   │      │  01746, 04664     1567   │
└─────────────────────────┘      └─────────────────────────┘

                                 ┌ ─ ─ ─ ─ ─ ─ ─ ─ ─ ─ ─ ─ ┐
                                   Financial Examiner/Analyst
                                 │ Supervisor-SES (Ft Myers) │
                                      04697     1575
                                 └ ─ ─ ─ ─ ─ ─ ─ ─ ─ ─ ─ ─ ┘
```

Total FTE: 7   ❖   **FTE not Included in this Section**
Dotted Line = Administratively Assigned. FTE not counted.
Italic = Organizationally Assigned. Reports elsewhere administratively. FTE counted.

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

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

```
                    ┌─────────────────────────┐
                    │  Area Financial Manager- │
                    │           SES            │
                    │    04657        1584     │
                    └─────────────────────────┘

┌─────────────────────┐          ┌─────────────────────┐
│     Financial       │          │      Secretary      │
│  Specialist (2)     │          │     Specialist      │
│  004658, 04660      │          │   04682      0105   │
│       1566          │          │                     │
└─────────────────────┘          └─────────────────────┘

┌─────────────────────┐          ┌─────────────────────┐
│ Financial Examiner/ │          │  Financial Control  │
│    Analyst II       │          │      Analyst        │
│  01879     1564     │          │   01745      1567   │
└─────────────────────┘          └─────────────────────┘
```

Total FTE: 6   ❖   **FTE not Included in this Section**
Dotted Line = Administratively Assigned. FTE not counted.
Italic = Organizationally Assigned. Reports elsewhere administratively. FTE counted.

Eff 09-04-08
Rev 09-16-08   **OFR-23**

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

```
                    CHIEF OF REGULATORY
                    REVIEW-SECURITIES
                    04635      9130
```

```
Administrative              Financial Specialist
Assistant I                 04441      1566
04685      0709
```

```
Financial Examiner/         Financial
Analyst II                  Examiner/Analyst II
04632      1564             04873      1564
```

Finance Licensing Activities

```
Financial Examiner/Analyst   Financial Examiner/Analyst   Senior Management
Supervisor-SES               Supervisor-SES               Analyst Supervisor-SES
04059      1575              04870      1575              01645   2228
```

```
Records                      Document Specialist          Financial Specialist         Financial Examiner/
Technician (2)               04449      0425              04871      1566              Analyst II
04872, 04913      0045                                                                 04846      1564
```

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Document Specialist          Financial Examiner/          Financial Examiner/          Financial Examiner/
04867      0425              Analyst II (4)                Analyst I (4)                Analyst I
                             04168, 04546, 04643,         01644, 04655, 04661,         01741, 01742, 01743
                             04675      1564              04741      1554
```

Bureau Total FTE: 22

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

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

Director of Finance
04410   9106

**Administrative
Assistant II-SES
01638   0712**

**Financial
Administrator-SES
01646   1587**

*Senior Attorney
04456   7738*

**Sr Management
Analyst II-SES
04886   2225**

**Financial Specialist
04242   1564**

**Attorney Supervisor
04908   7743**

**Document   Specialist
(3)
04489, 04649, 04758
0425**

**Accounting Services
Supervisor II-SES
04911   1445**

**Administrative
Secretary
04462   0108**

**Senior Attorney (5)
01931, 04203, 04351,
04639, 04861   7738**

**Accountant II (2)
00083, 04457   1430**

**❖   Chief of Money
Transmitter Regulation
04195   9102**

**❖   Chief of Finance
Regulation
04288   9127**

**❖   Chief of
Regulatory Review-
Finance
04268   9103**

Office of the Director FTE: 11
Total Division FTE: 130

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

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

**Chief of
Finance Regulation**
04288   9127

**Administrative
Assistant II**
04265   0712

Financial Specialist
04242   1566

**Financial Examiner/
Analyst II**
01733   1564

**Senior Management
Analyst II-SES**
04492   2225

**Financial
Administrator-SES**
04454   1587

**Financial Examiner/
Analyst Supervisor-
SES**
04605   1575

**Financial
Administrator-SES**
04475   1587
Tallahassee

Pensacola

**Area Financial
Manager-SES**
04498   1584

Jacksonville

**Area Financial
Manager-SES**
04474   1584

**Financial Control
Analyst**
04791   1567

West Palm Beach

**Area Financial
Manager-SES**
04513   1584

Document Specialist
01643   0425

**Financial Examiner/
Analyst II**
04177   1564

Ft. Lauderdale

**Area Financial
Manager-SES**
04325   1584

Tampa

**Area Financial
Manager-SES**
04499   1584

Orlando

**Area Financial
Manager-SES**
04512   1584

**Financial Examiner/
Analyst I (3)**
**04307, 04523, 04681
1554**

Miami

**Area Financial
Manager-SES**
04455   1584

Office of the Chief FTE: 14
Bureau Total FTE: 77

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

Eff 05-20-10
Rev 06-07-10   OFR-26

Financial Services Commission
Office of Financial Regulation
Division of Finance
Bureau of Finance Regulation
Pensacola - Finance Regulation
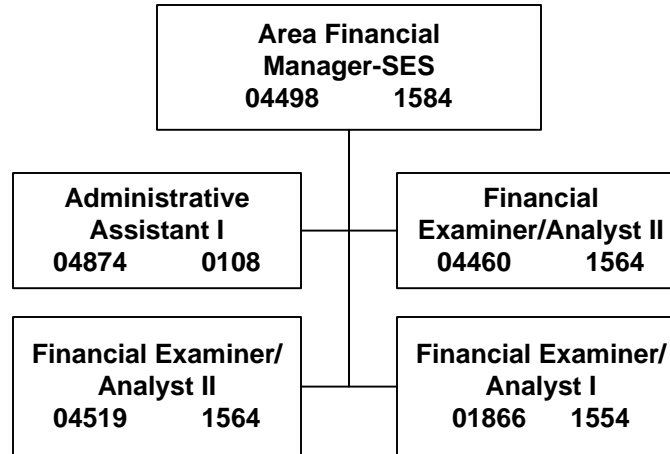
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                    ┌─────────────────────────┐
                    │   Area Financial        │
                    │   Manager-SES           │
                    │   04498      1584       │
                    └─────────────────────────┘
                               │
        ┌──────────────────────┴──────────────────────┐
┌─────────────────────────┐          ┌─────────────────────────┐
│   Administrative        │          │   Financial             │
│   Assistant I           │          │   Examiner/Analyst II   │
│   04874      0108       │          │   04460      1564       │
└─────────────────────────┘          └─────────────────────────┘
┌─────────────────────────┐          ┌─────────────────────────┐
│   Financial Examiner/   │          │   Financial Examiner/   │
│   Analyst II            │          │   Analyst I             │
│   04519      1564       │          │   01866      1554       │
└─────────────────────────┘          └─────────────────────────┘
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Total FTE: 5   ❖   **FTE not Included in this Section**
Dotted Line = Administratively Assigned. FTE not counted.
Italic = Organizationally Assigned. Reports elsewhere administratively. FTE counted.

Eff 09-15-08
Rev 12-05-08   **OFR-27**

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

Area Financial Manager-SES
04474   1584

Administrative Assistant I
04705   0709

Financial Specialist
04887   1566

Financial Examiner/ Analyst II (3)
01863, 04478, 04585
1564

Total FTE: 6

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

Eff 11-01-08
Rev 12-05-08

OFR-28

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

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                              ┌─────────────────────┐
                              │  Area Financial      │
                              │  Manager-SES         │
                              │  04499        1584   │
                              └─────────────────────┘

        Fort Myers                          ┌─────────────────────┐
                                            │  Administrative      │
                                            │  Assistant           │
   ┌─────────────────────┐                  │  04581        0709   │
   │  FE/A Supervisor-SES │                  └─────────────────────┘
   │  04358    1575       │
   └─────────────────────┘                  ┌─────────────────────┐
                                            │  Financial Examiner/Analyst │
┌──────────────────┐  ┌──────────────────┐  │  II (4)                     │
│ Financial        │  │ Financial        │  │  04144, 04509, 04530, 01678 │
│ Specialist       │  │ Examiner/        │  │  1564                       │
│ 04321    1566    │  │ Analyst II       │  └─────────────────────┘
└──────────────────┘  │ 001737    1564   │
                      └──────────────────┘  ┌─────────────────────┐
                                            │  Financial           │
   ┌─────────────────────┐                  │  Specialist (2)      │
   │  FE/A Supervisor-SES │                  │  04725, 04869   1566 │
   │  04480    1575       │                  └─────────────────────┘
   └─────────────────────┘
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Total FTE: 12   ❖   **FTE not Included in this Section**
Dotted Line = Administratively Assigned. FTE not counted.
Italic = Organizationally Assigned. Reports elsewhere administratively. FTE counted.

Eff 08-18-10   **OFR-29**
Rev 09-15-10

Financial Services Commission
Office of Financial Regulation
Division of Finance
Bureau of Finance Regulation
Orlando - Finance Regulation
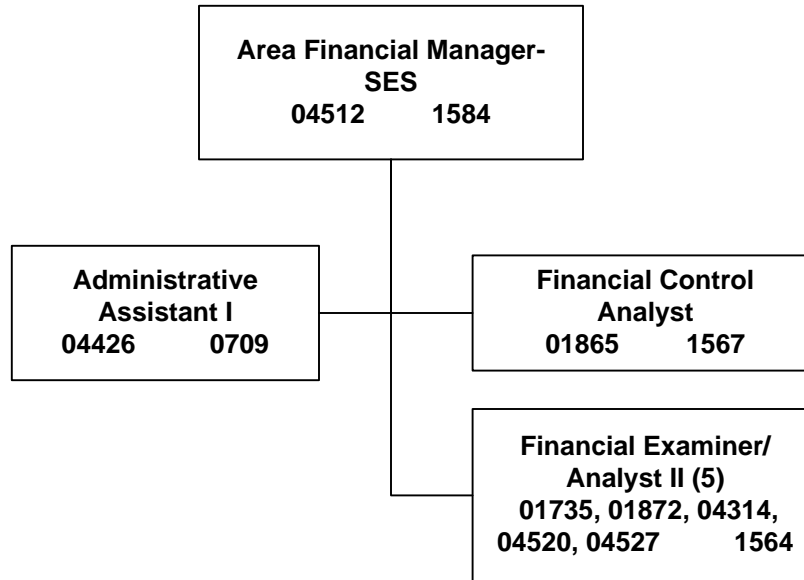
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                    ┌─────────────────────────┐
                    │  Area Financial Manager-│
                    │           SES           │
                    │    04512      1584       │
                    └─────────────────────────┘
                                 │
        ┌────────────────────┐   │   ┌────────────────────┐
        │   Administrative   │   │   │  Financial Control │
        │    Assistant I     ├───┼───┤      Analyst       │
        │   04426    0709    │   │   │   01865    1567    │
        └────────────────────┘   │   └────────────────────┘
                                 │
                                 │   ┌────────────────────┐
                                 │   │ Financial Examiner/│
                                 └───┤   Analyst II (5)   │
                                     │ 01735, 01872, 04314,│
                                     │ 04520, 04527   1564 │
                                     └────────────────────┘
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Total FTE: 8   ❖   **FTE not Included in this Section**
Dotted Line = Administratively Assigned. FTE not counted.
Italic = Organizationally Assigned. Reports elsewhere administratively. FTE counted.

Eff 06-04-10
Rev 06-18-10   **OFR-30**

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

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                    ┌─────────────────────┐
                    │   Area Financial    │
                    │   Manager-SES       │
                    │   04513      1584   │
                    └─────────────────────┘
        ┌──────────────────┐     ┌─────────────────────┐
        │  Staff Assistant │     │   Administrative    │
        │  04472    0120   │     │   Assistant II      │
        │                  │     │   04648     0712    │
        └──────────────────┘     └─────────────────────┘

                              West Palm Beach

                              ┌─────────────────────┐
                              │  FE/A Supervisor-SES │
                              │  04864      1575     │
                              └─────────────────────┘
        ┌──────────────────┐        ┌─────────────────────┐
        │ Financial Control│        │     Financial       │
        │     Analyst      │        │     Specialist      │
        │  01732    1567   │        │  04335     1566     │
        └──────────────────┘        └─────────────────────┘
        ┌──────────────────┐        ┌─────────────────────┐
        │ Financial Examiner/│      │ Financial Examiner/ │
        │  Analyst II (3)  │        │     Analyst I       │
        │ 01870, 04622, 04704│      │  01867     1554     │
        │       1564       │        └─────────────────────┘
        └──────────────────┘
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Total FTE: 10

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

Eff 8-18-10
Rev 08-18-10   **OFR-31**

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

Area Financial Manager-SES
04325   1584

Administrative Assistant II
04537   0712

FE/A Supervisor-SES
04494   1575

Financial Control Analyst
001731   1567

Financial Examiner/ Analyst II (2)
04726, 04896   1564

Financial Specialist (2)
004017, 04342   1566

Financial Examiner/ Analyst I
01868 1554

Total FTE: 9

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

Eff 12-17-08
Rev 01-08-09   OFR-32

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

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                    ┌─────────────────────┐
                    │  Area Financial     │
                    │  Manager-SES        │
                    │  04455      1584    │
                    └─────────────────────┘
                              │
                              │         ┌─────────────────────┐
                              ├─────────│  Staff Assistant    │
                              │         │  04464     0120     │
                              │         └─────────────────────┘
                    ┌─────────────────────┐
                    │  FE/A               │
                    │  Supervisor-SES     │
                    │  04819      1575    │
                    └─────────────────────┘
                              │
        ┌─────────────────┐   │   ┌─────────────────────────┐
        │  Financial      │───┼───│  Financial Examiner/    │
        │  Specialist (2) │   │   │  Analyst II (3)         │
        │  01734, 04337   │   │   │  01738, 04339, 04532    │
        │          1566   │   │   │          1564           │
        └─────────────────┘   │   └─────────────────────────┘
        ┌─────────────────┐   │   ┌─────────────────────────┐
        │  Financial      │───┴───│  Financial Examiner/    │
        │  Control        │       │  Analyst I (2)          │
        │  Analyst        │       │  01864, 01871    1554   │
        │  01862    1567  │       └─────────────────────────┘
        └─────────────────┘
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Total FTE: 11 ❖   **FTE not Included in this Section**
Dotted Line = Administratively Assigned. FTE not counted.
Italic = Organizationally Assigned. Reports elsewhere administratively. FTE counted.

Eff 08-01-08
Rev 12-05-08   **OFR-33**

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

Chief of Money Transmitter Regulation
04195   9102

Senior Management Analyst II-SES
04440   2225

Administrative Assistant II
04291   0712

Financial Specialist
01679   1566

Financial Administrator-SES
01898   1587

Orlando

Area Financial Manager-SES
01681   1584

Financial Examiner/ Analyst II
04484   1564

Ft Lauderdale

Area Financial Manager-SES
01682   1584

Tampa

Financial Control Analyst
01680   1567

Orlando

Administrative Assistant I
01896   0709

Ft Lauderdale

Administrative Assistant I
01897   0709

Miami

Financial Examiner/ Analyst Supervisor-SES
01875   1575

Financial Examiner/ Analyst I
04894   1554

Financial Specialist
04317   1566

Financial Specialist
01677   1566

Financial Specialist (2)
01676, 04145   1566

Financial Control Analyst
01873   1567

Financial Control Analyst
01874   1567

Financial Examiner/ Analyst II
04341   1564

Financial Examiner/ Analyst II
01675   1564

Total FTE: 21

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

Eff 01-04-10   **OFR-34**
Rev 02-16-10   **Analyst: SB**

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

CHIEF OF REGULATORY
REVIEW-FINANCE
04268   9103

Financial Specialist
01895   1566

Administrative
Assistant II
04691   0712

Financial Examiner/Analyst
Sup-SES
04925   1575

Financial Specialist
04924   1566

Financial
Examiner/Analyst I (2)
01869, 04497   1554

Financial
Examiner/Analyst
Supervisor-SES
04693   1575

Financial
Examiner/Analyst II (3)
01739, 01901, 04445   1564

Financial
Examiner/Analyst I (2)
01742, 04428   1554

Financial Specialist
01899   1566

Financial Examiner/Analyst
Supervisor-SES
04692   1575

Financial
Examiner/Analyst II (2)
01740, 01902   1564

Financial
Examiner/Analyst II
04846, 04632   1564

Financial
Examiner/Analyst I
04071   1554

Financial Specialist
01900   1566

Senior Management
Analyst Supervisor-SES
01645   2228

Financial
Examiner/Analyst I (3)
01741, 01743, 01744
1554

Financial Specialist
01736   1566

Bureau Total FTE: 23

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

Eff 9-15-10
Rev 9-15-10

OFR-35

FINANCIAL SERVICES, DEPARTMENT OF

	FISCAL YEAR 2009-10	
SECTION I: BUDGET	**OPERATING**	**FIXED CAPITAL OUTLAY**
TOTAL ALL FUNDS GENERAL APPROPRIATIONS ACT	272,327,583	0
ADJUSTMENTS TO GENERAL APPROPRIATIONS ACT (Supplementals, Vetoes, Budget Amendments, etc.)	34,356,094	0
FINAL BUDGET FOR AGENCY	306,683,677	0

SECTION II: ACTIVITIES * MEASURES	Number of Units	(1) Unit Cost	(2) Expenditures (Allocated)	(3) FCO
Executive Direction, Administrative Support and Information Technology (2)				0
Provide Analysis On Securities Held For Deposit And Qualified Public Depositories * Number of analyses performed on the financial condition of qualified public depositories and custodians, and securities held for regulatory collateral deposit.	10,445	39.87	416,410	
Process Transactions, Account Changes And Audit Functions * Number of account actions taken on regulatory collateral deposit accounts.	60,924	18.23	1,110,429	
Investment Of Public Funds * Dollar Volume of Funds Invested	18,000,000,000	0.00	807,240	
Provide Cash Management Services * Number of cash management consultation services.	30	38,119.70	1,143,591	
Receive Funds, Process Payment Of Warrants And Provide Account And Reconciliation Services * Number of financial management/accounting transactions processed and reports produced.	16,063,288	0.12	1,883,562	
Administer The State Supplemental Deferred Compensation Plan * Number of participant account actions processed by the state deferred compensation office.	1,739,091	0.60	1,046,398	
Accounting And Reporting Of State Funds * State Accounts Managed in the Florida Accounting Information Resource System.	35,704	117.38	4,190,981	
Migrate Current Accounts Payable Procedures To Electronic Commerce * Payments issued electronically to settle claims against the state.	25,749,140	0.04	1,111,892	
Conduct Pre-audits Of Selected Accounts Payable * Agency payment requests are pre-audited and posted in a timely manner such that payments are issued in less than the 10 day statutory time limit.	580,133	5.69	3,301,978	
Conduct Post-audits Of Major State Programs * Number of contract/grant reviews and post-audits of contract/grant disbursements completed to determine compliance with statutory and contractual requirements.	9	180,563.78	1,625,074	
Process State Employees Payroll * Payroll payments issued.	3,465,003	0.67	2,309,314	
Conduct Post-audits Of Payroll * Post-audits completed of state agencies payroll payments to determine compliance with statutes.	11	15,550.82	171,059	
Conduct Fiscal Integrity Investigations * Fiscal integrity investigations completed to investigate allegations or suspicions of fraud, waste or abuse.	23	37,203.87	855,689	
Collect Unclaimed Property * Accounts reported by holders of unclaimed property.	1,373,363	1.86	2,549,996	
Process And Payment Of Unclaimed Property * Payments processed for claims of unclaimed property.	292,864	8.83	2,585,439	
License The Fire Protection Industry * Number of entity requests for licenses, permits and certificates processed within statutorily mandated time frames.	11,216	44.30	496,921	
Perform Fire Safety Inspections * Number of inspections of fire code compliance completed.	17,280	236.78	4,091,578	
Review Construction Plans For Fire Code Compliance * Number of construction plans reviewed.	784	698.71	547,790	
Perform Boiler Inspections * Number of boiler inspections completed by department inspectors.	3,845	147.88	568,589	
Investigate Fires Accidental, Arson And Other * Total number of closed fire investigations involving economic or physical loss.	4,243	3,361.59	14,263,228	
Provide State, Local And Business Professional Training And Education * Number of classroom contact hours provided by the Florida State Fire College.	197,444	23.23	4,585,837	
Provide State, Local And Business Professional Standards, Testing And Statutory Compliance * Number of examinations administered.	8,383	270.27	2,265,687	
Provide Forensic Laboratory Services * Number of evidence items and photographic images processed	13,488	87.95	1,186,256	
Fire Incident Reporting * Number of total incidents reported to the Florida Fire Incident Reporting System.	2,270,407	0.21	474,634	
Provide Adjusting Services On State Workers' Compensation Claims * Number of workers' compensation claims worked.	23,603	179.32	4,232,388	
Provide Adjusting Services On State Liability Claims * Number of liability claims worked.	5,203	604.40	3,144,714	
Process Property Claims On State Owned Buildings (structure And Contents) * Number of state property loss/damage claims worked.	75	7,803.09	585,232	
Provide Risk Services Training And Consultation * Risk services training and consultation as measured by the number of training units (1 unit = 8 hours) provided and consultation contacts made.	39,662	12.20	483,799	
Rehabilitate And/Or Liquidate Financially Impaired Insurance Companies * Number of insurance companies in receivership during the year.	48	20,467.25	982,428	
Review Applications For Licensure (qualifications) * Number of applications for licensure processed.	101,320	35.99	3,646,463	
Administer Examinations And Issue Licenses * Number of examinations administered and licenses authorized.	92,751	38.21	3,543,966	
Administer The Appointment Process From Employers And Insurers * Number of appointment actions processed.	1,692,345	0.48	818,558	
Administration Of Education Requirements (pre Licensing And Continuing Education) * Number of applicants and licensees required to comply with education requirements.	179,509	2.47	444,001	
Investigate Agents And Agencies * Number of agent and agency investigations completed.	3,492	1,973.13	6,890,163	
Investigate Insurance Fraud (general) * Number of insurance fraud investigations completed (not including workers' compensation).	10,121	1,556.06	15,748,877	
Investigate Workers' Compensation Insurance Fraud * Number of workers' compensation insurance fraud investigations completed (not including general fraud investigations).	1,805	2,749.21	4,962,324	
Respond To Consumer Request For Assistance * Number of consumer requests and informational inquiries handled.	52,706	98.39	5,185,647	
Provide Consumer Education Activities * Number of consumer educational materials created and distributed.	392,976	2.22	872,741	
Answer Consumer Telephone Calls * Number of telephone calls answered through the consumer helpline.	240,703	21.48	5,169,852	
Examine And Regulate Licensees In The Funeral & Cemetery Business (chapter 497) To Ensure Regulatory Compliance * Number of examinations and inspections completed	1,632	1,345.58	2,195,984	
Monitor And Audit Workers' Compensation Insurers To Ensure Benefit Payments * Number of claims reviewed annually.	85,301	59.02	5,034,329	
Verify That Employers Comply With Workers' Compensation Laws * Number of employer investigations conducted.	33,235	429.52	14,275,052	
Facilitate The Informal Resolution Of Disputes With Injured Workers, Employers And Insurance Carriers * Number of injured workers that obtained one or more benefits due to intervention by the Employee Assistance Office.	1,414	3,757.96	5,313,749	
Provide Reimbursement For Workers' Compensation Claims Paid By Insurance Carriers On Employees Hired With Preexisting Conditions * Number of reimbursement requests (SDF-2) audited.	2,624	507.97	1,332,926	
Collection Of Assessments From Workers' Compensation Insurance Providers * Amount of assessment dollars collected.	143,918,439	0.01	759,088	
Occupation Injury And Illness Survey * Number of injuries and illnesses and incidence rates of injuries/illnesses.	8,752	65.05	569,329	
Data Collection, Dissemination, And Archival * Number of records successfully entered into the division's databases.	5,407,005	0.84	4,554,642	
Reimbursement Disputes * Number of petitions for reimbursement dispute resolution resolved annually	2,474	652.02	1,613,102	
Approve And License Entities To Conduct Insurance Business. * Number of applications processed.	145	6,485.88	940,452	
Conduct And Direct Market Conduct Examinations. * Number of examinations and investigations completed for licensed companies and unlicensed entities	1,246	2,641.72	3,291,585	
Conduct Financial Reviews And Examinations. * Number of financial reviews and examinations completed.	9,239	1,867.92	17,257,679	
Review And Approve Rate And Form Filings. * Number of rate and forms review completed.	17,567	460.40	8,087,893	
Examine And Regulate Financial Services Companies To Ensure Regulatory Compliance. * Examinations of non-depository financial service companies to determine compliance with regulations.	1,007	11,813.05	11,895,746	
Evaluate And Process Applications For Licensure As A Financial Services Entity. * Applications processed or evaluated for licensure or registration as a non-depository financial services entity.	46,723	75.30	3,518,067	
Examine And Enforce Laws Regarding Banks, Trusts, And Credit Unions To Ensure Safety And Soundness. * Number of domestic financial institutions examined to ensure safety and soundness.	269	45,075.96	12,125,432	
Examine And Enforce Laws Regarding International Financial Institutions To Ensure Safety And Soundness. * Number of international financial institutions examined to ensure safety and soundness.	25	33,774.76	844,369	
Conduct Financial Investigations Into Allegations Of Fraudulent Activity. * Number of financial investigations into allegations of fraudulent activity.	162	35,042.34	5,676,859	
Examine And Regulate Money Services Businesses To Ensure Regulatory Compliance * Examinations of money services businesses conducted to determine compliance with regulations.	388	7,392.02	2,868,105	
Examine And Regulate Securities Firms, Branches To Ensure Regulatory Compliance. * Conducted examinations and investigations, handle complaints related to securities firms, brance offices, and their employees.	310	19,131.20	5,930,673	
Evaluate And Process Applications For Registration As A Securities Firm, Branch, And/Or Individual. * Substantively review and act upon securities applications for registration of firms, brance offices associated person and securities offerings.	59,450	41.72	2,479,996	
TOTAL			220,865,782	

SECTION III: RECONCILIATION TO BUDGET				
PASS THROUGHS				
TRANSFER - STATE AGENCIES				
AID TO LOCAL GOVERNMENTS				
PAYMENT OF PENSIONS, BENEFITS AND CLAIMS				
OTHER			58,944,153	
REVERSIONS			26,873,787	
TOTAL BUDGET FOR AGENCY (Total Activities + Pass Throughs + Reversions) - Should equal Section I above. (4)			306,683,722	

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

(1) Some activity unit costs may be overstated due to the allocation of double budgeted items.

(2) Expenditures associated with Executive Direction, Administrative Support and Information Technology have been allocated based on FTE. Other allocation methodologies could result in significantly different unit costs per activity.

(3) Information for FCO depicts amounts for current year appropriations only. Additional information and systems are needed to develop meaningful FCO unit costs.

(4) Final Budget for Agency and Total Budget for Agency may not equal due to rounding.

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--------------------------------------------------------------------------------
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:


      *** NO DISCREPANCIES FOUND ***
      43010200  1602000000  ACT1020  HOLOCAUST VICTIMS ASSISTANCE            284,536
      43010400  1602000000  ACT1040  INSURANCE CONSUMER ADVOCATE             885,138
      43010500  1603000000  ACT1050  INFORMATION TECHNOLOGY - FLAIR       11,674,267
      43200100  1601000000  ACT2010  PASS THROUGH FROM PRISON INDUSTRY       667,487
      43200100  1601000000  ACT2020  CAPITAL COLLATERAL REGISTRY           1,388,032
      43200100  1601000000  ACT2180  FLAIR AND CMS REPLACEMENT PROJECT     5,257,838
      43200100  1601000000  ACT2190  ARTICLE V - CLERK OF THE COURTS         336,700
      43400100  1601000000  ACT4150  PURCHASE OF EXCESS INSURANCE         13,986,348
      43500400  1205000000  ACT5490  TRANSFER TO FLORIDA CATASTROPHIC        975,000
      43600100  1102020000  ACT6010  TRANSFER TO 1ST DISTRICT COURT OF     4,468,027
      43900110  1204000000  ACT9150  HURRICANE RATE/RISK MODEL               588,639
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43200100   1601000000   ACT9200   AMERICAN RECOVERY AND REINVESTMENT        752,527
43200100   1601000000   ACT9230   WRONGFUL INCARCERATION COMPENSATION       179,167
43200100   1601000000   ACT9240   TRANSFERS FROM GENERAL REVENUE         17,500,000
43500400   1205000000   ACT9250   DEEPWATER HORIZON OIL SPILL                   447
```

TOTALS FROM SECTION I AND SECTIONS II + III:

```
  DEPARTMENT: 43                        EXPENDITURES        FCO
  FINAL BUDGET FOR AGENCY (SECTION I):     306,683,677
  TOTAL BUDGET FOR AGENCY (SECTION III):   306,683,722
                                        --------------  ---------------
  DIFFERENCE:                                     45-
  (MAY NOT EQUAL DUE TO ROUNDING)       ==============  ===============
```

Schedule XII - Series Outsourcing or Privatization of State Service or Activity

(Not applicable for the 2011-2012 FY Legislative Budget Request)

Schedule XIII - Proposed Consolidated Financing of Deferred-Payment Commodity Contracts

(Not applicable for the 2011-2012 FY Legislative Budget Request)

Schedule XIV - Variance from Long Range Financial Outlook

(Not applicable for the 2011-2012 FY Legislative Budget Request)

DEPARTMENT OF FINANCIAL SERVICES
(DFS)

SCHEDULE IV-B
FOR
3 PERCENT WITHHOLDING FOR VENDOR PAYMENTS
FOR
FISCAL YEAR 2011-12

State of Florida

The Florida Legislature   *Governor's Office of Policy and Budget*
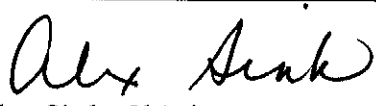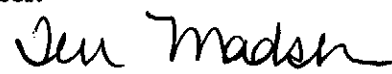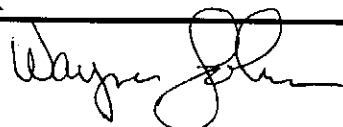
July 1, 2011

Table of Contents

I. Schedule IV-B Cover Sheet

Agency: Department of Financial Services	Schedule IV-B Submission Date: 10/15/10
Project Name: 3 Percent Withholding for Vendor Payments	Is this project included in the Agency's LRPP? _____ Yes __x_ No
FY 2011-12 LBR Issue Code:	FY 2011-12 LBR Issue Title:

Agency Contact for Schedule IV-B (Name, Phone #, and E-mail address): Molly Merry , (850) 413-3097, Molly.Merry@myfloridacfo.com

I am submitting the attached Schedule IV-B in support of our legislative budget request. I have reviewed the estimated costs and benefits documented in the Schedule IV-B and believe the proposed solution can be delivered within the estimated time for the estimated costs to achieve the described benefits. I agree with the information in the attached Schedule IV-B.	
Agency Head: Printed Name: Alex Sink, Chief Financial Officer	Date: 10/12/10
Agency Chief Information Officer: Printed Name: Abe Kani 10/11/10	Date:
Budget Officer: Printed Name: Teri Madsen	Date: 10/12/10
Planning Officer: Printed Name: N/A	Date:
Project Sponsor: Printed Name: Wayne Johnson, Interim Director, Division of Accounting and Auditing	Date: 10/11/10

Business Need:	Molly Merry, (850) 413-3097, Molly.Merry@myfloridacfo.com
Cost Benefit Analysis:	Molly Merry, (850) 413-3097, Molly.Merry@myfloridacfo.com

Risk Analysis:	Molly Merry, (850) 413-3097, Molly.Merry@myfloridacfo.com Joanne Krieberg-Wolin, (850) 413-4651, Joanne.Krieberg-Wolin@myfloridacfo.com; Tamlyn Ellis, (850) 413-2323, Tamlyn.Ellis@myfloridacfo.com
Technology Planning:	Joanne Krieberg-Wolin, (850) 413-4651, Joanne.Krieberg-Wolin@myfloridacfo.com; Tamlyn Ellis, (850) 413-2323, Tamlyn.Ellis@myfloridacfo.com
Project Planning:	Molly Merry, (850) 413-3097, Molly.Merry@myfloridacfo.com Joanne Krieberg-Wolin, (850) 413-4651, Joanne.Krieberg-Wolin@myfloridacfo.com; Tamlyn Ellis, (850) 413-2323, Tamlyn.Ellis@myfloridacfo.com

II. Schedule IV-B Business Case

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

A. Background and Strategic Needs Assessment

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

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

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

The 1099 reporting process must be modified due to a new federal mandate. The federal government has mandated (Public Law 109-222, Section 511, Tax Increase Prevention and Reconciliation Act of 2005) that all governmental entities spending more than $100 million a year withhold 3 percent from vendor payments for goods and services, effective January 1, 2012. This deadline was extended by the federal stimulus package, "*American Recovery and Reinvestment Act of 2009,*" from the original effective date of January 1, 2011. The draft IRS rules issued in December 2008 for this law require governments to withhold on individual payments of $10,000 or more. The State processed 166,976 vendor payment transactions in excess of $10,000 to approximately 20,000 vendors during fiscal year 2009-2010.

In order to comply with this law, the State will need to assess each vendor payment made to determine if it meets the criteria for withholding. This will be a three part process: 1) determine if a vendor payment is greater than the 3% withholding threshold ($10,000 based on the draft U.S. Treasury regulation) 2) determine if the

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

a. *Description of the existing or new agency program to be supported by the proposed information technology project* - Currently, DFS is responsible for most payment processing and 1099 reporting to the federal government. FLAIR's Central Accounting component is used to compile and maintain vendor and payment information necessary to comply with federal laws and IRS regulations concerning 1099 reporting. The current 1099 reporting programs accumulate payment information by vendor during the calendar year and report annual cumulative totals of $600 or more to the IRS via a Form 1099, interest amounts of $10 or more via a Form 1099-INT, and grant amounts of $600 or more via a Form 1099-G. This accumulation of payment information is performed on the back-end of the payment process and is not currently designed to perform withholding at the time the vendor payment is processed. The 3 percent withholding law will require a revamping of the current 1099 programs within FLAIR and will significantly increase its complexity. The new law will require an interruption of the payment process to determine whether a payment is subject to 3 percent withholding and if so, perform the withholding. This is a significant change in the business process. The Bureau anticipates a significant increase in the number of annual 1099s prepared because the 3 percent withholding will be reported on a Form 1099 and vendors that were not previously subject to 1099 reporting will become reportable under the new law.
In addition to the 3% federal withholding law, Congress passed the healthcare reform bill that became Public Law 111-148, "Patient Protection and Affordable Care Act." Included in the law is a provision which eliminates corporate exemptions from 1099 reporting. Currently, the State does not prepare Form 1099s for payments to corporations unless they are related to healthcare or attorney's fees. This new provision will result in a significant increase in 1099s that the State must produce, as almost all payments to corporations will be required to be reported on a Form 1099.

b. *Identification of the customers and users of the agency program/service/business process* - Customers will consist of four groups: the Division of Accounting and Auditing, the Division of Information Systems (DIS), vendors, the Internal Revenue Service (IRS), and all state agencies. The Divisions of Accounting and Auditing and DIS are responsible for implementing and running the new

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

c. *Description of the conditions that created the problem or opportunity being addressed by the project* - The 3 percent withholding law was created as part of the Tax Increase Prevention and Reconciliation Act of 2005, Public Law 109-222, Section 511, which was enacted into law on May 17, 2006. The proposed federal rules for this law were issued on December 5, 2008. A public hearing was held in the spring of 2009, but the IRS has not issued any additional guidance since the hearing was held. There has been no indication from the IRS on when final rules will be issued. The design currently being developed is based on the federal law and draft rules. The new process will not reduce the cost of operations, will not generate more revenues, and will not provide any savings. The purpose of this new law is to assist the IRS with collecting taxes on vendors and generating revenue for the federal government.

In addition to the 3% federal withholding law, Congress passed the healthcare reform bill that became Public Law 111-148, "Patient Protection and Affordable Care Act." Included in the law is a provision which eliminates corporate exemptions from 1099 reporting. Currently, the State does not prepare Form 1099s for payments to corporations unless they are related to healthcare or attorney's fees. This new provision will result in a significant increase in 1099s that the State must produce, as almost all payments to corporations will be required to be reported on a Form 1099.

d. *Magnitude of the problem or opportunity* – The magnitude of implementing this federal law is significant. FLAIR is not currently designed to withhold on vendor payments and the Bureau of Accounting cannot operationally handle the new law with existing resources. There are some similarities in the new law with the current withholding process for payroll. Staff that currently works in the payroll area, both from DIS and the Bureau of State Payrolls, will be very helpful in implementing certain areas of the new law. However, there are some

areas of the new law that are more difficult and complex than the existing payroll withholding process. While the Division will utilize current payroll knowledge to assist with implementing the new law, vendor payment processing knowledge is critical to successful implementation.

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

Implementation of the new law will also create an opportunity to create a process for performing back-up withholding for vendors that have provided an invalid TIN or received an IRS B-Notice for other incorrect vendor information as required by federal law. Currently, the Department does not have a process to perform back-up withholding and remit the funds to the IRS. Each year the IRS reviews the data submitted for 1099 reporting purposes and returns B-Notices to the Division for vendors that have either an invalid TIN or a mismatch on the TIN and vendor's name. The Division will request an updated Form W-9 from the vendor in an effort to address the errors. The majority of errors from IRS B-Notices can be corrected with a revised Form W-9, but there are still a percentage of vendors that do not provide a valid TIN. For these vendors, the Division should be applying backup withholding to each payment. Although the IRS has never issued fines to the State for not performing backup withholding, they are aware that the State's accounting system and business processes do not ensure accurate taxpayer reporting, and they could issue fines in the future.

e. *Consequences if the agency fails to address the problem* - If the State does not implement the new law, it may be subject to several liabilities. First, payers that fail to withhold the tax imposed by this law are generally liable for the payment of the tax owed to the IRS unless it can prove that the payee has paid its income tax liability independently of the State. The dollar amount of 3 percent withholdings in a calendar year for the State of Florida is estimated to be over $500 million when considering the amount of vendor payments made each year. Second, payers that fail to withhold the tax are liable for interest and will

incur additional penalties depending on the time period taken to eventually remit the withholding amount. Third, annual Form 1099s to the IRS would not be correct, which could result in additional penalties of $100 per Form 1099 with no cap. The fines under this scenario could run into millions of dollars per year.

f. *Related or competing initiatives and projects that could affect current priorities supporting the project* **–** FLAIR is a large mission critical accounting system that requires dedicated resources in DIS to support ongoing maintenance and routine tasks. Examples of ongoing maintenance and tasks include the following:

- Support changes to MyFloridaMarketPlace processes and interfaces
- Support changes to PeopleFirst processes and interfaces
- Respond to over 1400 Help Desk tickets each year
- Provide over 160 files monthly to the Auditor General (AG) to support audits of state agencies' financial data
- Perform other routine maintenance and resolving production problems (FLAIR staff spends 60% of their work time on such tasks). Production problems must be addressed immediately in order to prevent data corruption and FLAIR downtime.
- Perform year-end processes. Each year several members of the FLAIR Central Accounting staff spend approximately 3 months (over 1100 hours) preparing for the fiscal year-end process. The year-end process includes closing cash balances from the prior year, opening cash balances for the current year and loading budgets to FLAIR from LAS/PBS in order to control agency spending.
- Provide timely support for FLAIR data requests, including transparency initiatives for DFS as well as from the Legislature and the Governor's Office. The most recent example is associated with The Deep Water Horizons oil spill website. To date, DIS has spent over 750 hours in support of this effort.
- Respond to over 200 requests for public information each year
- Performing system modifications to the FLAIR Payroll subsystem due to changes by the federal government, such as changes to withholding tables
- Performing report modifications for production of the State's Comprehensive Annual Financial Report (CAFR)

In addition to maintenance activities discussed above, the DIS is also working on the following projects for fiscal year 2010-2011:

- Contract Tracking Website
- Alternative Retirement Plan for OPS Employees
- Move DMS Minority Vendor Application Under Departmental FLAIR Security
- Support AWI's Implementation of Debit Card for UC Payments
- Revised Standard Minimal Life Insurance for State Employees
- Establish New Agency for Northwood Shared Resource Center
- W-9 Website and W-2 Website

- File modifications required for Wells Fargo's buyout of Wachovia (the State's vendor for EFT and warrant transactions)
- Collections Website
- Purchasing Card Reporting Portal
- Convert over 800 file transfers to secure FTP
- Transition to new CFO
    - Warrants
    - Correspondence
    - Websites

The Bureau of Accounting has also had related and competing priorities that have affected its work on this project. During the 2009-2010 fiscal year the Bureau worked on the following projects:

- Implemented a new National Automated Clearing House Association (NACHA) rule for International ACH Transactions. This required modifications to FLAIR's EFT Authorization File to enable certain electronic payments to be sent in a different file format.
- Participated in a project to implement EFT for Collections (i.e., allowing EFT payments to the recipients of monies deducted from state employee paychecks for child support, IRS levies, wage garnishments and student loans).
- Developed a website for the Deep Water Horizon oil spill
- Participated in modifications to FLAIR to handle the increased volume of unemployment compensation payments.

For the 2010-2011 fiscal year, the Bureau will be participating in following projects:

- File modifications required for Wells Fargo's buyout of Wachovia (the State's vendor for EFT and warrant transactions)
- Supporting AWI's implementation of a debit card for UC payments
- Shutting down the FLAIR Client Vendor File as a part of vendor file consolidation and clean-up.
- Transitioning to a single warrant stock
- Implementing a new Form W-9 website as part of the 3% withholding project
- Transitioning warrants to a new CFO.

2. Business Objectives

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

- Implement a design solution that meets the requirements of the new 3 percent withholding law by the federal deadline of January 1, 2012
- The solution should accurately split applicable vendor payments into a 97 percent payment to the vendor and a 3 percent payment to the IRS

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

The following measures will be used to measure the effectiveness of the proposed project:
- Implementation and withholdings begin on the required date of January 1, 2012
- Withholdings are remitted on dates required by the IRS
- No receipt of notices from the IRS regarding inaccurate or untimely withholding deposits
- Form 1099 electronic transmissions are made on the dates required by the IRS
- Form 1099 electronic transmissions are made within the new format requirements
- IRS sends notice of "acceptance" of Form 1099 electronic transmissions
- Number of B-Notices received from the IRS decreases from previous years
- Number of verified Form W-9s received from vendors increases from previous years
- Surveys to agencies to determine if tools/reports developed during the project are enabling them to research payments subject to withholding as needed
- Number of erroneous or out-dated vendors/sequences removed from the FLAIR vendor files

This project provides an opportunity to make significant strides in cleaning-up the FLAIR vendor files and improving its data integrity. This will have long-reaching benefits as it relates to data provided to the IRS, avoidance of IRS penalties, and any future implementation of an ERP to replace FLAIR. Because this is a federal mandate that only directly benefits the federal government, there is no direct cost benefit to the State. However, improving the data integrity of the vendor files should provide efficiencies in various areas, including the following:
- Reduction in IRS B-Notices
- Minimize the chance that withholdings will be posted to the wrong TIN
- Reduction in time agencies spend searching for the correct vendor in the vendor files
- Reduction in time fulfilling public records requests on vendor payments
- Improvement in reporting of vendor payment information on transparency websites

- Improvement in accuracy of accumulating payment data under the correct TIN

B. Baseline Analysis

1. Current Business Process Requirements

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

Form W-9 Process

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

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

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

Once the Bureau of Accounting receives a Form W-9 either from the vendor or an agency, staff reviews the form for completeness and accuracy of information. For example, staff will review the TIN provided on the form to see if it appears to be a valid number (i.e., a TIN with all "9s" is obviously not a valid TIN). Also, staff reviews the business designation provided on the form to see if it is reasonable based on the taxpayer's name. If obvious errors are detected, the vendor will be contacted to request an updated Form W-9. Once the Form W-9

has been reviewed, the information from the form is input into the 1099 Information File. Since issuing the Agency Addressed Memorandum in May 2009 and the process change made in February 2009, the number of Form W-9s being submitted to the Bureau of Accounting has doubled, from 1,000 per month to over 2,000 per month.

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

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

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

Interfaces:
- None

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

<u>B-Notice / Backup Withholding Process</u>

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

Inputs:
- Electronic B-Notice file from the IRS

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

Outputs:
- B-Notice letter to applicable vendors

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

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

<u>1099 Reportable Payment Process</u>

The payment process begins with recording vendor information in one of the State's vendor files, either the Statewide or Client. Note – the Regular Vendor File was shut down in May of 2010. Vendor records can be added by the vendor

registering in MFMP and the information being transmitted to the FLAIR Statewide Vendor File or added directly to any of the files by a state agency doing business with the vendor. FLAIR does not have a vendor number separate from the TIN.   The key field for a vendor record is the vendor's TIN.

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

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

Inputs:
- Vendor information is sent via the MFMP registration process
- Vendor information is entered directly into FLAIR by state agencies. Agencies initiated over 3.5 million expense payments in fiscal year 2009-2010.

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

Outputs:
- FLAIR will create either a paper warrant or an EFT transaction based on the vendor information recorded on the payment request
- Vendors receive a remittance advice for both warrants and EFTs which provides basic information about the payment. This assists the vendors with matching state payments to invoices and provides contact

information for the agency issuing the payment.
- FLAIR posts payment information to a Vendor History website so vendors can research their payments
- Vendor payment information is also posted to the Sunshine Spending website located under the "Florida's Checkbook" webpage for the public to view

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

Other concerns:
- The accuracy of the TIN entered into the vendor files is critical for reporting and has been problematic for the State. The current business process does not provide controls to ensure that TIN information entered into the system are accurate therefore allowing many vendor records to have an invalid TIN.
- Social Security Numbers (SSNs) are considered confidential. As such, full SSNs are not displayed on DFS websites, and are only used for accumulating payments and reporting required information to the IRS.

<u>Form 1099 Reporting Process</u>

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

Inputs:
- 1099 reportable payments from Central FLAIR

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

Outputs:
- Paper Form 1099s for distribution to vendors/payees. Vendors and payees will use the Form 1099 to report income taxes to the IRS.
- Electronic 1099 files to the IRS. The IRS uses this information to confirm amounts reported as income by taxpayers.

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

Business Process Participants

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

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

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

Process Mapping

Process maps are located in Appendix A

2. Assumptions and Constraints

a. The most significant constraint is the federally mandated implementation date, January 1, 2012, and the lack of final guidance from the U.S. Treasury. The law itself provides no detailed instructions that could be used to design required modifications. The U.S. Treasury issued proposed rules for this law on December 5, 2008, but some issues were still unresolved. A public hearing was held in the spring of 2009, but the IRS has not issued any additional guidance since the hearing was held. There has been no indication from the IRS on when final rules will be issued.

b. A constraint is obtaining a new Form W-9 from all vendors doing business with the State. The new law will likely result in the IRS revising their Form W-9 thus requiring the State to obtain new Form W-9s on vendors with Form W-9s already on file, as well as obtaining Form W-9s on all vendors without forms on file (over 200,000 vendors). Getting vendors to respond to the Division's request for a Form W-9s will be problematic. The Division plans to automate the submission of an electronic Form W-9. However, this will not eliminate the need to validate the information provided via the electronic Form W-9.

c. A constraint is the State's ability to validate TINs provided by vendors prior to submitting 1099 files to the IRS. The IRS has a TIN Matching Program that allows states to submit TINs and taxpayer names either online or in a batch to validate the TIN. However, this program has limitations. The current policy of the IRS is to not provide specific information if the taxpayer information submitted does not match with the IRS' information. For example, if a TIN and taxpayer name is submitted, the IRS will only respond with a code indicating either the TIN matches or does not match. It gives no further information, such as what TIN the IRS has on file for that taxpayer, or whether the taxpayer name is only slightly mismatched. Therefore, this program has limited benefit for correcting errors.

d. A constraint is MFMP's ability to implement changes needed for the 3%

withholding implementation. The majority of vendors doing business in the State register with MFMP. MFMP provides a link to DFS' Form W-9 website during the registration process, but do not require validation of a completed Form W-9 prior to a vendor completing their registration. MFMP will need to refer vendors to DFS' new W-9 website and notify vendors that they will not receive orders or payments from the State until they have completed a Form W-9 and had it validated with the IRS. MFMP's ability to implement the required changes is critical to successfully implementing the new 3 percent withholding law.

e. A significant constraint is the number of resources available to support the new business processes. The Bureau of Accounting currently has only 3 FTEs dedicated to the 1099 process. The Bureau has received additional FTEs in the 2009-10 and 2010-11 fiscal years to work exclusively on the 3 percent withholding project. These positions are focused on gathering requirements, assisting with the system designs, and the development and implementation of an electronic W9 process. Additional positions are being requested for the 2011-12 fiscal year to handle the additional responsibilities on preparing, implementing and supporting the new 3 percent withholding process including but not be limited to:

- Obtaining Form W-9s from all vendors (currently over 200,000 active vendors)
- Managing a single file, FLAIR Statewide Vendor File, for all vendor records
- Managing increased volume of calls from vendors
- Educating agencies on the importance of using correct object codes and processing corrections as needed
- Providing assistance to agencies in researching payments
- Significant reconciliation processes associated with the collection and remittance of the 3 percent and backup withholding to the IRS on a regular basis (anticipated to be twice per week).

f. A constraint is the Department's inability to control requests for FLAIR data/modifications from external customers (e.g., Department of Management Services, Legislature, Governor's Office, AG, citizens, etc.). The DIS staff is fully utilized for FLAIR maintenance and other routine tasks without considering the support for implementation and maintenance of 3 percent withholding. If external customers request FLAIR data, or there has been a change in federal or state laws, or a change in industry standards, DIS must halt normal activities in order to respond.

g. A significant constraint is the number of resources available to support the modifications and maintenance to FLAIR for the new functionality. The Bureau of Accounting Systems Design and the Bureau of Programming Design are fully utilized for FLAIR maintenance. The additional responsibilities for designing, programming, and maintenance of the new 3

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

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

C. Proposed Business Process Requirements

1. Proposed Business Process

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

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

- Develop training for staff within the Help Desk in DIS that will be answering calls from agencies regarding FLAIR functionality as it relates to 3 percent withholding

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

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

1099 Reportable Payment Process and 3 Percent Withholding
- Interrupt the payment process in FLAIR just prior to issuing payment to determine whether a payment is subject to 3 percent withholding. If not, the payment process should continue. If so, the process should calculate the 3 percent withholding, record and send the withholding to a new tax deposit account, issue a warrant/EFT for 97 percent of the payment amount, and report the transaction correctly in FLAIR, on vendor remittances, and all related websites/other reporting.
- Apply withholding to applicable vendor payments of $10,000 or more on goods and services
- Design payment selection criteria to meet IRS requirements, as follows:
  - Exclude payments for interest, real property, need based public assistance or public welfare programs, unemployment compensation, and annuities
  - Exclude payments made under an emergency executive order by the U.S. Treasury
  - Exclude payments made to governmental entities, Indian tribal governments, nonresident aliens and foreign individuals, and pass-through entities where 80 percent or more of the entity is owned by a governmental entity

> ➢ Exclude payments made on contracts in effect on the later of December 31, 2011, or the date six months after the publication of final regulations. This may require a significant business process change for reporting contract dates when processing a payment related to a contract, and may include a requirement for all agencies to input contract dates into FLAIR.
> ➢ Include vendor payments made via the P-card
> ➢ Include payments made to utility companies

- Review and update the current object code list to align with the 3 percent withholding law. This will likely result in new codes being added and significant training effort with the state agencies on the proper coding of transactions.
- Establish a new tax deposit account and test with the IRS
- Develop a new business process to perform withholding adjustments due to agency coding errors, warrant/EFT cancellations, EFT returns, etc. This will involve creating a daily reconciliation process to adjust the tax deposit account based on these adjustments and remitting reconciled amounts to the IRS
- Follow deposit and reporting of amounts withheld as required by federal law. Deposits with the IRS will likely be made at least twice a week.
- Ensure that vendors are properly notified of withholdings on remittance advice
- Ensure that agencies have sufficient reports available to research vendor questions related to payments
- Ensure that websites reporting vendor payment information are updated accordingly

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

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

The proposed solution to this project will address all the requirements above. Other than the actual design for modifications to FLAIR, the most critical requirement relating to this implementation is the clean up and improvement of business processes for recording vendor information in the FLAIR vendor files. The requirements of the IRS should be fairly clear once final regulations are issued. However, without accurate vendor records, the State may still be subject to IRS fines and complaints from vendors when payments are not withheld

correctly or submitted to the IRS under the correct TIN. This project provides an opportunity to perform this cleanup which has been needed for many years.

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

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

2. Business Solution Alternatives

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

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

This alternative will require new functionality in FLAIR's Departmental Accounting that will select the payment requests that need to be assessed the 3 percent withholding, calculate the 3 percent withholding on selected

payments, create appropriate accounting transactions, and submit the required data to FLAIR's Central Accounting component during nightly processing. These transactions will update agency voucher processing, modify Departmental Accounting's balances to reflect the net amount to the vendor, update the 3 percent withholding for the IRS and revise the total amount of the payment requested by the agency.

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

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

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

Alternative 2 - Modify FLAIR's Central Accounting components for payment approval and 1099 reporting processes and modify FLAIR's Departmental vendor files.

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

Departmental FLAIR's vendor files will require some modifications to support the 3% withholding implementation, but payment processes in Departmental FLAIR will not be modified.

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

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

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

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

3. Rationale for Selection

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

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

4. Recommended Business Solution

    Alternative 2 – Modify FLAIR's Central Accounting components for payment approval and 1099 reporting processes and modify FLAIR's Departmental vendor files.

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

III. Schedule IV-B Cost Benefit Analysis

Purpose: To calculate and declare the tangible and intangible benefits compared to the total investment of resources needed to support the proposed IT project.

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

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

CBA Form 3 - Project Investment Summary	Investment Summary Calculations: Summarizes total project costs and net tangible benefits and automatically calculates:
	       Return on Investment
	       Payback Period
	       Breakeven Fiscal Year
	       Net Present Value
	       Internal Rate of Return

B. Cost Benefits Realization Table

	BENEFITS REALIZATION TABLE					
	Description of Benefit	**Tangible or Intangible**	**Who receives the benefit?**	**How is the benefit realized?**	**How will the realization of the benefit be assessed/ measured?**	**Realization Date (MM/YY)**
1	Compliance with federal law	Tangible	State of Florida and U.S. Treasury	State - through penalties not being assessed for non-compliance, and U.S. Treasury through the timely collection of revenues	Measured by estimated IRS penalties of $100 per Form 1099 with no cap	01/2012
2	Vendor data integrity	Intangible	State of Florida and the IRS	Implement vendor record edits and monitor vendor record changes resulting in improved reporting and the consolidation of vendor records	Reduction in 1099 reporting corrections and reduction in IRS B-Notices	12/2011 – 1099 reporting corrections 10/2012 – IRS B-Notices
3	Form W-9 automation	Intangible	Vendors and the Department of Financial Services	Integrated, automated forms to reduce manual processes	Reduction of manual effort to input Form W-9 information	02/2011
4	Improved reporting on disbursements to vendors	Intangible	Vendors, citizens and the State of Florida	Improved accuracy and timeliness of reports	Reduction in time spent validating data on reports	12/2012
5	Sustainability of FLAIR operations	Intangible	State of Florida	Retention of expertise needed for maintenance of FLAIR	Number of experienced staff available to support development and maintenance requests for FLAIR	12/2013

C. Cost-Benefit Analysis Results

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

There are several intangible benefits for developing and implementing new business processes associated with the 3 percent withholding for vendor payments. These include:
- Improving the integrity of vendor information by implementing new edits and performing clean up on existing data
- Automating the Form W-9 so that vendors can submit the form timely, with fewer errors, and minimizing the manual effort for entering the information into the system.
- Implementing new processes and edits that improve the accuracy of identifying 1099 reportable transactions

Obtaining additional technical staff that will gain the expertise required to sustain FLAIR for at least the next five years.

IV. Major Project Risk Assessment Component

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

A. Risk Assessment Tool – see Appendix D

Eight major project risk assessment areas:
- Strategic
- Technology Exposure
- Organizational Change Management
- Communication
- Fiscal
- Project Organization
- Project Management
- Project Complexity

B. Risk Assessment Summary

The 3 Percent Withholding for Vendor Payments project is rated by the Risk Assessment Tool as having an overall high risk. The Risk Assessment Tool identified 2 risk assessment areas (e.g., Strategic and Project Complexity) as being a "High" risk for the following reasons:
- The project's duration is currently anticipated to be between 3 to 5 years
- The project will impact a high number of internal entities (i.e., all state agencies)
- The project will require business process changes for all state agencies

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

V. Technology Planning Component

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

A. Current Information Technology Environment

1. Current System

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

   a. *Description of current system*: FLAIR, formerly known as the State Automated Management Accounting Subsystem (SAMAS), is a double entry, computer based general ledger accounting system consisting of four components:
      - **Departmental Accounting**: Maintains agency accounting records and is utilized at the end of each fiscal year to prepare financial statements in accordance with generally accepted accounting principles. Supported by 362 database files containing 90 million records.
      - **Central Accounting:** Maintains cash basis records and is used by the CFO to ensure that expenditures are made in accordance with the legislative appropriations. Supported by 52 database files containing 45 million records.
      - **Payroll Accounting:** Calculates gross payroll deductions and net pay for the State's employees.   Supported by 74 database files containing 17 million records.
      - **Information Warehouse:** A reporting system that allows users to access Central Accounting information, most Departmental Accounting information, and some Payroll Information in FLAIR. Supported by 235 database files containing 1.1 billion records.

      User and processing information
      - Approximately 16,000 users have access to FLAIR
      - Approximately 700 concurrent users during the work day
      - All users are state employees or approved contracted staff
      - FLAIR's Central Accounting supports up to 100 external batch interfaces each day
      - FLAIR's Departmental Accounting supports more than 500 external batch interfaces each day

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

Hardware/Software
- FLAIR runs on an IBM Z9mainframe, Model is 2096-X03 with 1086 mips
- The mainframe's operating system is Z/OS 1.9
- Current online and batch programming is in Natural & COBOL
- All production data is stored in ADABAS
- The Information Warehouse ETL processes are written in Natural for DB2 and the data is stored in DB2
- FLAIR processes are defined in 2,513 detailed functional/technical specifications
- FLAIR functionality is provided by over 7,521 Natural modules and COBOL programs

b. *Current system resource requirements:* FLAIR is a mature subsystem, 26 years old, running on an IBM z9 mainframe. The mainframe model is 2096-X03 platform running at DFS' data center. The application is written in the Natural programming language and the data is stored in ADABAS.

The Department's mainframe system staff is supporting the following applications:
- FLAIR Departmental Accounting
- FLAIR Central Accounting
- FLAIR Payroll Accounting
- FLAIR Information Warehouse
- Legislature and Governor's Planning and Budgeting system (LAS/PBS)
- Treasury Receipts system
- Unclaimed Property system
- Workers' Compensation system

The Bureau of Accounting Systems Design has 26 design positions and the Bureau of Programming has 31 programming positions supporting the FLAIR subsystem.

c. *Current system performance:* FLAIR is fully implemented in 37 state agencies with approximately 16,000 individual users at roughly 400 accounting office sites throughout the State. The FLAIR subsystems typically process nearly 98 million accounting transactions, accounting for

a budget of more than $50 billion, and pays upwards of 276,000 state personnel annually.

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

DIS also reports annually on the "Percent of scheduled hours computer and network are available" performance measure in the Department's Long Range Program Plan (LRPP). The actual performance results for FLAIR mainframe applications are 99.99% for fiscal year 2009-20010. DIS exceeded the performance measure standard of 99.95% by .04%.

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

2. Strategic Information Technology Direction

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

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

DIS has defined the following objectives related to the IT resources, services, and systems it operates:
   a. Service oriented architecture
   b. Limit manual processes
   c. Remove data redundancy
   d. Integrate customer self-service (through web interfaces)
   e. Incorporate independent systems to allow for ease of data access
   f. Strive towards paperless processing
   g. Validate security access
   h. Incorporate document and workflow management into the business processes

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

DIS is facing a risk with numerous experienced staff retirements occurring during the 3% Withholding Project, therefore it is imperative that the Department receive the technical positions requested in the 2011-2012 fiscal year to enable the appropriate mentoring of and transferring of knowledge to new staff and thus appropriately mitigate this known risk. FLAIR is a complex legacy system which requires staff to have an in-depth knowledge of its multiple components, its data relationships, and its multitude of processes. Receiving these positions will help ensure that FLAIR is able to continue its current level of service to all their customers. Conversely, failure to receive these positions may cause a discontinuance of this high level of customer service and may prevent FLAIR from meeting its mandatory deadline.

3. Information Technology Standards

DIS provides the data processing infrastructure and IT needs for the Department's core process systems. The Division's services are critical for the Department to achieve its mission. DIS provides expertise on IT design, development, purchase and implementation for new systems. DIS also provides programming, maintenance and desktop support for all of the Department's current systems. DIS standards and procedures are used to ensure the Division meets the objectives and goals of the Department.

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

Following is a list of defined standards and procedures for DFS information technology:
- DIS001 - FLAIR applications systems development procedures
- DIS002 - Program and JCL procedures implementation procedures
- DIS008 - Production Control Action Request procedures
- DIS015 - Change management procedures
- Application development standards (ISDM)
- Server configuration standards

- Infrastructure and platforms (databases and servers) standards
- Productivity software (workstations) standards
- Workstation configuration standards
- Laptop configuration standards
- Mainframe standards
- Project Management Office standards and guidelines

B. Proposed Solution Description

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

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

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

The proposed solution will primarily change the nightly batch payment processing. Since the payment processing represents the core functionality of FLAIR Central Accounting, many functions will be impacted:
- Warrant processing – the selection of transactions that have been approved for payment in order to create the warrant
- Warrant reconciliation – reconciling warrant information with the Treasury
- Transaction/voucher processing – Agencies' accounting information and request for payment
- Warrant cancellations - current and prior year reversal of funds due to warrant cancellation
- Warrant print – the preparation of the print file with remittance advice
- EFT returns and reversal processing - current year reversal of EFT payments
- Modification to access control for the 1099 File due to new functions
- Creation of 3 percent withholding accounting transactions

- Posting of 3 percent withholding transactions to a special tax fund
- Creation of online Form W-9 file with business indicator
- Redesign of 1099 subsystem to support 3 percent withholding and backup withholding
- Data retrieval and duplicate Form 1099 printing
- Modify CDs containing Form 1099 history
- Modify CDs containing historical transactions used for research
- Redesign Vendor History website and Sunshine Spending website to reflect 3 percent withholding
- Modify current files sent to agencies to interface with their business systems
- Contract processing modifications to collect additional information needed to determine eligibility for 3 percent withholding
- Decrease P-card limit in purchasing module
- Title file changes to define criteria for 3 percent withholding selection
- Vendor file cleanup & modifications to support 1099 and IRS B-Notices
- Create reports for use by state agencies
- Modify all associated files in the FLAIR IW for internal and agency reporting

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

b. *Resource and summary level funding requirements for proposed system* - Additional software and hardware are not necessary for implementing the 3 percent withholding. However, additional staff will be required for the development, implementation, and operational support of the new functionality. The Bureaus have received additional FTEs in the 2010-11 fiscal year to work exclusively on the 3 percent withholding project. Additional positions are being requested for the 2011-12 fiscal year to handle the additional responsibilities on developing, implementing and supporting the new 3 percent withholding process.
One design position will review existing system processes, design an integrated solution, and document the design in functional specifications. This staff member will also perform unit and system testing of all FLAIR component modifications (e.g. access control, file maintenance, interfaces, reporting, etc.)

One programming position will review the functional specifications and the technical infrastructure to create technical programming specifications for the solution. In addition, this staff member will code and test all batch and online program modifications.

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

C. Capacity Planning

1. *Hardware/Software* - Technical hardware and software capacity are not
    impacted by the 3 percent withholding mandate. The number of expense
    payments subject to the 3 percent withholding mandate is estimated to be
    166,976 per year. Consequently, the implementation of the 3 percent
    withholding will generate an additional 166,976 accounting transactions per
    year (639 on a daily basis) to move the funds. Therefore, mainframe
    processing and storage capacity will not be significantly impacted. Most of
    the processing for the 3 percent withholding will be accomplished during the
    nightly batch processing window which is presently completed by 3:00 a.m.
    each day. Due to the low volume of additional transactions, the nightly batch
    processing time is not expected to increase significantly.

2. *Users/Network* - The number of users remains the same and online processing
    time will be minimally impacted. The major system modifications are
    primarily in nightly processing; therefore, a projected increase in network
    capacity is not required.

3. *Technical Staff* - Existing FLAIR application support staff spends
    approximately 60 percent of their time supporting maintenance of the system
    (year-end processing, production problems, testing software upgrades),
    legislative changes and interfaces with state agencies, MFMP, LAS/PBS, the
    AG, and PeopleFirst.   This leaves only 40 percent of their time, at most, that
    can be devoted to system modifications for the 3 percent withholding
    mandate.   The figure below display the allocation of time for application
    support staff.

**Estimated Allocation of Time
for
Bureau of Accounting Systems Design & Bureau of Programming Design**
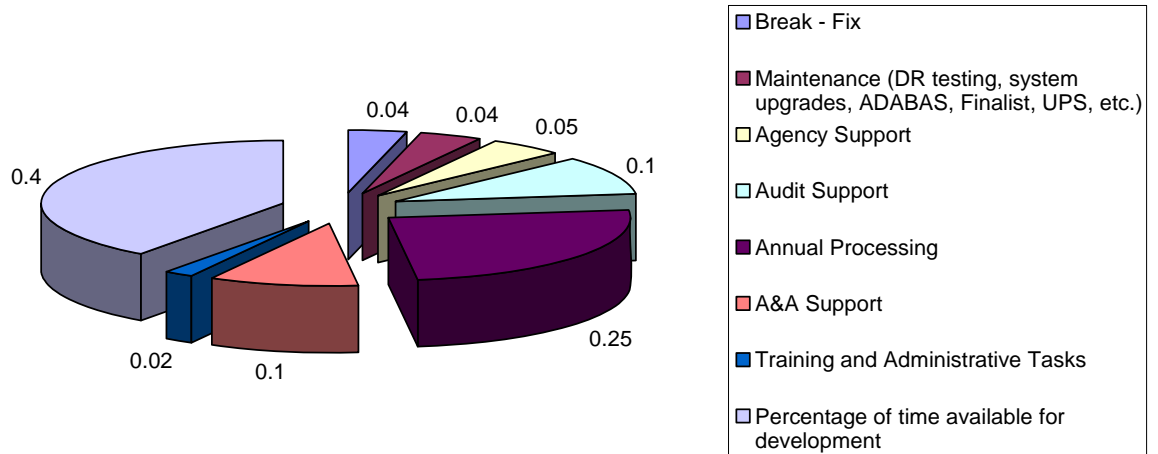
Currently, 57 positions support FLAIR application development and maintenance. Many of the remaining staff is in entry level positions. Based on our experience with payroll tax withholding process, current vendor files, and the 1099 reporting processes, it will take significant resources to successfully implement and manage the continued maintenance of the 3 percent withholding functionality. The Department is requesting 2 FTEs to augment the existing staff to successfully implement and maintain the additional functionality required by the 3 percent mandate.

D. Analysis of Alternatives
   1. Assessment of Alternatives
      FLAIR processes all payments for the State, and the tracking and auditing of these payments are a large part of the CFO's constitutional duties. Processing the agencies' requests for payment is an integral function of both FLAIR's Departmental Accounting and FLAIR's Central Accounting. Many FLAIR components are integrated into the payment process: Agency vouchering, IRS 1099 reporting, warrant issuance, reconciliation and cancellation, contract and payment auditing, EFT, P-card payments and reporting. The effort involved in building interfaces from these components to an external module would be more complex and cumbersome than an integrated approach. Therefore, these modifications need to be made within the FLAIR system.

2. Assessment Process

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

The criteria used to assess the alternatives are listed below:
- The alternative should integrate easily with the existing FLAIR system
- The alternative should be implemented by the mandated timeline
- The alternative should have a high level of security and access control

3. Technology Recommendation

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

VI. Project Management Planning Component

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

A. Project Charter – see Appendix B

The adopted project charter is provided in Appendix B. The project charter includes the project's objective, scope, list of deliverables/milestones, organization charts, and overview of the project's governance structure.

Project Objective

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

Project Scope

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

In order to implement this federal mandate, DFS will be required to:
- Create new business processes with the following objectives:
  o Obtaining, validating, and retaining information from a vendor's Form W-9
  o Withholding 3 percent from each payment (i.e., identify the applicable payments, calculate the withholding, and disburse the net amount to the vendor)
  o Preparing and reviewing of internal reports for the management of

> withholding transactions
> o Remitting funds to the IRS
> o Reporting the 3 percent withholding and/or withholding due to IRS B-Notices on a vendor's Form 1099
> o Tracking IRS B-Notices on a vendor's record
> o Include backup withholding from payments for vendor's receiving a second IRS B-Notice and remit to the IRS

- Modification of FLAIR Departmental and Central Accounting to incorporate the new business processes
- Modification of FLAIR IW to incorporate the new reporting requirements
- Development and implementation of a Change Management Plan for the transition of new and existing staff to new business processes
- Establish new sections within the Bureau of Accounting for the daily management of withholding payments, including a help desk for vendor inquiries

Development and implementation of a Communications Plan for vendor outreach and education that is to be provide prior to, during, and after implementation of the 3 percent withholding.

B. **Work Breakdown Structure**

3 % Withholding Project
Work Break Down Structure
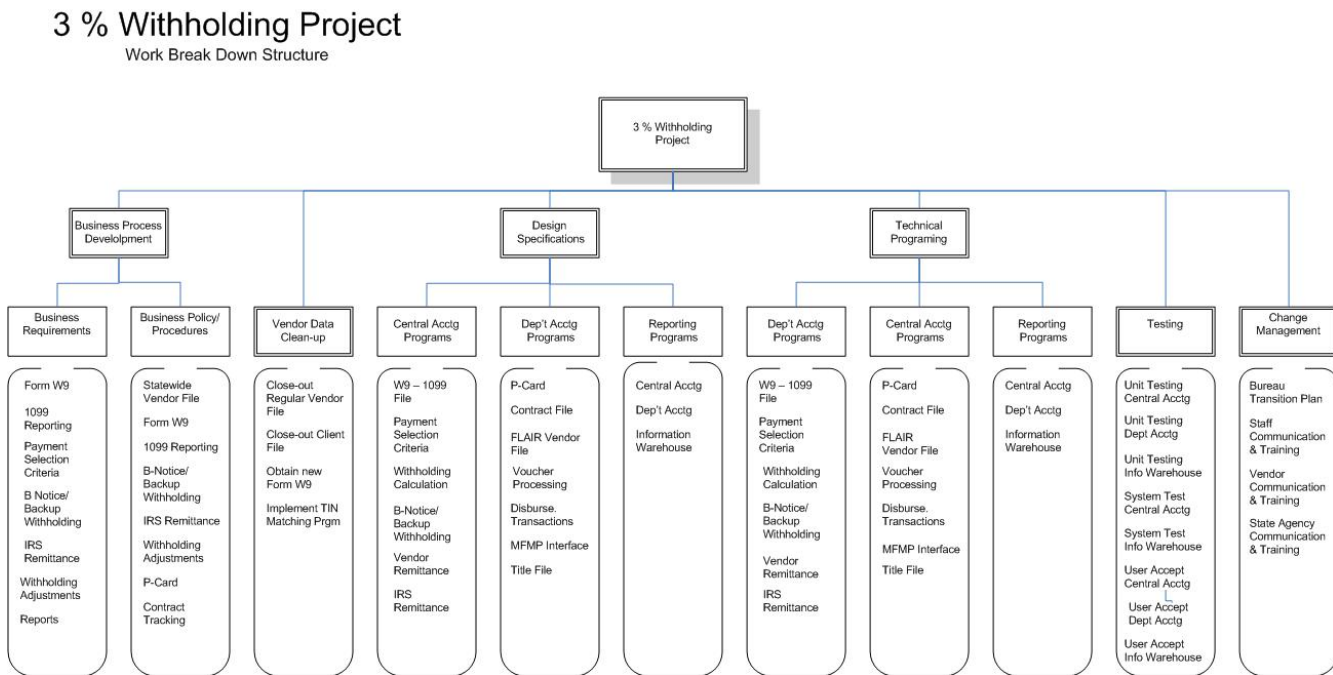
C. Project Schedule – see Appendix J

D. Project Budget – see Appendix F

E. Project Organization

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

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

The project's organizational structure is displayed below:

3% Withholding Project
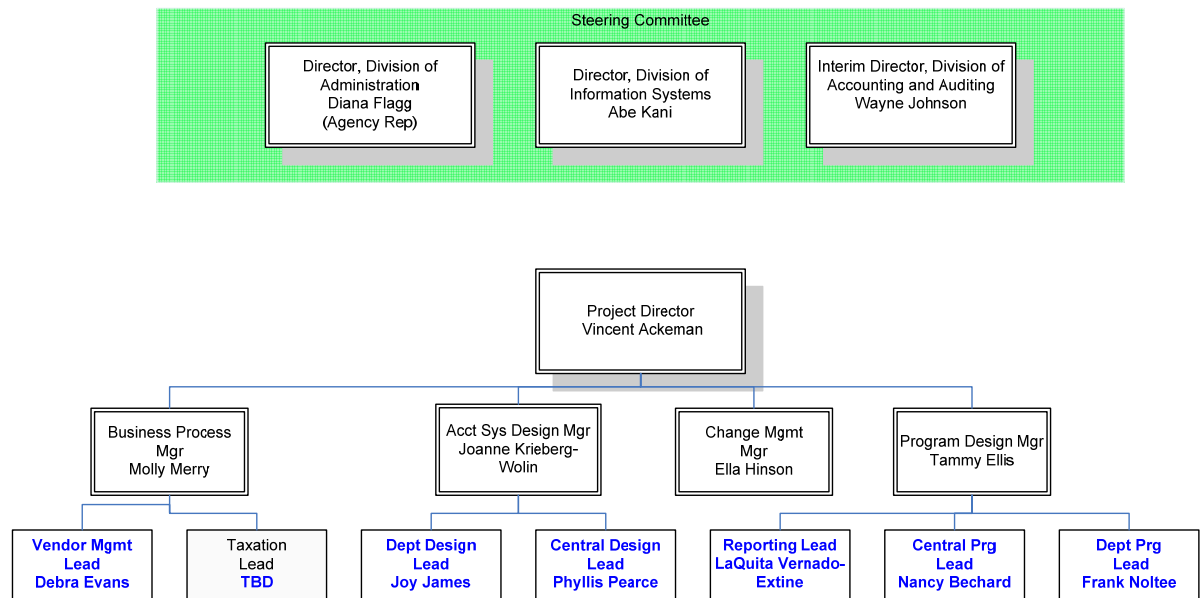
F. Project Quality Control

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

G. External Project Oversight

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

H. Risk Management

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

I. Organizational Change Management

The Change Management Team developed a Change Management Plan that is provided in Appendix I.

J. Project Communication

A Communication Strategy has been documented as part of the planning for this project, see Appendix G.

The Project Team developed a Communication Plan that is provided in Appendix H. The team will perform updates to the plan on a monthly basis beginning February, 2011.

K. Special Authorization Requirements

Not required for this project

VII.   Appendices

Appendix A – Business Process Documents

Appendix B – Project Charter

Appendix C – Cost Benefit Analysis Forms

Appendix D – Risk Assessment Tool

Appendix E – Risk Mitigation Table

Appendix F - Project Budget

Appendix G – Communications Strategy

Appendix H – Communications Plan

Appendix I – Change Management Plan

Appendix J – Project Plan

Appendix A – Business Process Documents

Form W-9 Process

Bureau of Accounting 1099 Section

- On a monthly basis, request 'Initial Phase' reports.
- Review reports and update vendor information where applicable so the Substitute Form W-9 can be mailed to the vendor.
- Initiate process to generate Substitute Form W-9 letters and 2nd Notice Substitute Form W-9 letters. Mail Substitute Form W-9 letters to vendors.
- Did US Postal Service return the mailed documents?
  - Yes → Contact paying agency to determine if they have correct address or look up vendor in Accurint to find correct address and mail documents to new address.
  - No
- Review the form for errors and contact vendor for clarification.
- Update 1099 Information File with information from Form W-9 or Substitute Form W-9 and provide form to Statewide Vendor Group to update the FLAIR Statewide Vendor File (SWVF)
- Update all vendor sequences so W-9 Indicator = Y in SWVF. Inactivate incorrect or duplicate entries.
- Scan Form W-9 or Substitute Form W-9 in Exigen-Visi Flow, index by TIN, then shred original documents.

Central FLAIR 1099 Information File

- Daily transactions checked against 1099 Object Code Table and posted to 1099 Trans Table to accumulate totals by Tax Identification Number (TIN).
- Initial Phase batch process matches monthly payment transactions to 1099 Information File vendor database. Create mismatch and non-verified W-9 reports for review.

Bureau of Auditing

- Audit and post payment if subject to pre-audit. Otherwise, automatically post to Central FLAIR.

State Agencies

- Initiate a payment or warrant cancellation transaction.
- Initiate new vendor record in Statewide Vendor File and request W-9 from vendor.

Vendor

- A
- Complete Substitute Form W-9 and verify correct TIN, mailing address, business designation and contact information.
- Substitute Form W-9 - sent to DFS via email, fax or USPS.

B-Notice / Backup Withholding Process

Lane	Process
Internal Revenue Service	Send B Notice error tape of 1099 records that do not match IRS files in late October
Central FLAIR 1099 Information File	Load file into FLAIR and generate B Notice reports
Bureau of Accounting 1099 Section	Review B Notice reports to determine which vendors should receive a B Notice Letter → Create B Notice letters to be mailed to vendors with incorrect records within 15 days of notification from IRS → Work with vendor responses to update vendor records to reflect correct information, as indicated in W-9 Process Flow → Correct 1099 records as update notifications are received (see note below). Notify SWVF and/or MFMP when corrections are processed.
	1st B Notice? — No → Mark Type 2-B Notice vendors as inactive in SWVF. Contact MFMP to inactivate MFMP vendors with Type 2 errors
Vendor	Yes → 1st B-Notice Letter and Substitute Form W-9 ; 2nd B-Notice Letter ; A

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

1099 Reportable Payment Process

Central FLAIR 1099 Information File

Daily transactions (payments and cancellations) are checked against 1099 Object Code Table (OCT)

Is the transaction coded with a 1099-reportable Object Code?

Yes → Transaction is posted to the 1099 Trans Table and totals are accumulated by Tax Identification Number (TIN) for year-end 1099 reporting

No → Transaction is not posted to the 1099 Information File

End

Bureau of Auditing

Audit and post payment if subject to pre-audit. Otherwise, automatically post to Central FLAIR.

State Agencies

Agency receives vendor invoice, initiates business with vendor or needs to process warrant cancellation.

Is vendor already set up in SWVF?

Yes → Schedule payment or warrant cancellation transaction to a vendor once vendor record is complete

No → Initiate new vendor record in Statewide Vendor File and request Form W-9 from vendor

Vendor

A

Form 1099 Reporting Process

Internal Revenue Service

- Send email to confirm receipt of FIRE Transmission of preliminary file.
- Send email to confirm receipt of FIRE Transmission corrected file.

Bureau of Accounting 1099 Section

- Review printed 1099s and mail to vendors by January 31st of each year
- Printed Form 1099s
- Create preliminary electronic transmission of 1099 file to the IRS through Filing Information Returns Electronically (FIRE) system by March 31.
- Correct Submission Errors
- Was submitted file accepted?
  - No → Correct Submission Errors
  - Yes → End
- Work with vendors and State Agencies to research reported errors to update 1099 information.
- Create corrected electronic transmission of 1099 file to the IRS through FIRE system by July 31.
- Was submitted file accepted?
  - Yes → End
  - No → Correct Submission Errors

Central FLAIR 1099 Information File

- 1099 Process Initiates in mid-January
- FLAIR runs process to determine which vendors have 1099-reportable cumulative totals requiring a Form 1099
- Print Form 1099 MISC, Form 1099 INT and or Form 1099G

Vendor

- Printed Form 1099
- Notifies DFS of possible errors reported on 1099
- Send corrected 1099 to vendor

State Agency

- Notifies DFS of possible errors reported on 1099

Vendor File Process

State Agencies

```
Agency wants to do business with a vendor
        ↓
Agency obtains the Tax Identification Number (TIN) from Vendor
        ↓
Is the vendor already listed in the Statewide Vendor File?
    Yes → Is the Vendor Information Correct?
              Yes → Does the W-9 Indicator equal Y?
                        Yes → Vendor is ready to do business with the Agency
                        No → Request Vendor to complete a Form W-9 or a Substitute Form W-9 to be submitted to DFS
              No → Is the vendor registered in MFMP?
                        Yes → Instruct the vendor to Enter or Update information in MFMP
                        No → Request a completed Form W-9 or Substitute Form W-9 from the vendor and send it with the request to DFS Statewide Vendor Group with data to update - include sequence and vendor phone number
    No → Is vendor exempt from registering in MFMP?
              Yes → Add Vendor to Statewide Vendor File
              No → (to Request a completed Form W-9...)

Submit Completed Form W-9 or Substitute Form W-9 to DFS by mail, email or fax
```

Bureau of Accounting Statewide Vendor Group

- Update Non-MFMP Vendor Information in the Statewide Vendor File and notify requesting agency when complete
- Update all vendor sequences so W9 Indicator = Y Inactivate incorrect or duplicate entries

Bureau of Accounting 1099 Section

- Update 1099 File with information submitted on the Form W-9 or Substitute Form W-9 and provide form to Statewide Vendor Group to update the Statewide Vendor File
- Scan Form W-9 or Substitute Form W-9 in Exigen-Visi Flow, index by TIN then shred original documents

Appendix B – Project Charter

Department of Financial Services
Office of Strategic Planning-Project Management Office

Project Charter

3% Withholding For Vendor Payments

Prepared By: Vincent Ackerman, PMP
Date of Publication: 1/20/2010

Revision History

Version	Date	Author(s)	Revision Notes
1.0	12/12/09	Vincent Ackerman,	Original Draft
2.0	1/20/10	Kimberly McMurray, Molly Merry, Diana Flagg	Minor adjustments
3.0	1/20/10	Vincent Ackerman	Final

Table of Contents

Project Overview

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

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

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

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

Project Goal

The Department of Financial Services must withhold 3% from vendor payments for goods and services beginning on January 1, 2012, due to a new federal government mandate (Public Law 109-222). The draft IRS rules for this new law require governments to withhold 3% of payments of $10,000 or more.

Project Objectives

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

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

Project Scope

In Scope:

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

In order to implement this federal mandate, the Department of Financial Services (DFS) will be required to:
- Create new business processes with the following objectives:
  - Obtaining, validating, and retaining information from a Vendor's W9 Form
  - Withholding 3% from each payment (i.e., identify the applicable payments, calculate the withholding, and disburse the net amount to the vendor)
  - Preparing and reviewing of internal reports for the management of withholding transactions
  - Remitting funds to the IRS
  - Performing daily corrections and reconciliations of the tax account
  - Reporting the 3% withholding and/or withholding due to B-Notices on a Vendor's Form 1099
  - Tracking IRS B-Notifications on a Vendor's record
  - Include Backup Withholding from payments for Vendor's receiving a second IRS B-Notice and remit to IRS
- Modify Central FLAIR to incorporate the new business processes
- Modify Departmental FLAIR to incorporate the new business processes
- Modify FLAIR Information Warehouse to incorporate the new reporting requirements

- Develop and implement a Change Management Plan for the transition of new and existing staff to new business processes
- Establish new sections within the Bureau of Accounting for the daily management of withholding payments including a help desk for vendor inquiries
- Develop and implement a Communications Plan for vendor outreach and education that is to be provide prior to, during, and after implementation of the 3% withholding.

Out of Scope:
- Changes to the current audit processes in Central FLAIR
- Voucher submittal in Departmental FLAIR

Organizations/Entities Affected or Impacted

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

Project Estimated Duration and Deliverables Timeline

MILE STONE/ DELIVERABLE	SCHEDULE DATE FOR COMPLETION
W-9 Requirements Document	January 2010
1099 Information File Requirements Document	April 2010
W9 -1099 Design Document / Unit Test results	May 2010
3% Payment Selection Criteria Requirements Document	May 2010
3% Payment Selection Design Document / Unit Test results	June 2010
B-Notice/ Backup Withholding Requirements Document	June 2010
W-9-1099 Design Document / Unit Test results	August 2010
IRS Remittance Requirements Document	August 2010
Withholding Adjustment Requirements Document	September 2010
ALLPMT Design Document / Unit Test results	October 2010
ALLTRN Design Document / Unit Test results	October 2010
C_TRN Design Document / Unit Test results	October 2010
Departmental Disbursement Process Design Documents / Unit Test results	October 2010
Code Table Design Document / Unit Test results	October 2010
Agency File Copies Design Document / Unit Test results	November 2010
FLAIR Vendor File Modification Design Document / Unit Test results	November 2010
C_WARRANT Design Document / Unit Test results	December 2010
Contract System Modification Design Document / Unit Test results	December 2010
Backup Withholding Calculation Design Document / Unit Test results	January 2011
Nightly Voucher Process Modification Design Documents / Unit Test results	January 2011
P-Card Module Modification Design Documents / Unit Test results	February 2011
D_Contract Design Document / Unit Test results	February 2011
3% Calculation Design Documents / Unit Test results	February 2011
Code Table – Departmental Design Document / Unit Test results	February 2011
MFMP Reconciliation File Design Document / Unit Test results	March 2011
New Reports Design Document / Unit Test results	March 2011
3% Vendor Remittance Design Document / Unit Test results	April 2011
IW File and Report Changes Design Document / Unit Test results	April 2011
Vendor History Design Document / Unit Test results	May 2011
Sunshine Spending Website Document / Unit Test results	July 2011
Reporting Requirements Document	August 2011
Vendor History File Documents / Unit Test results	August 2011
MFMP Interface Modification Design Document / Unit Test results	August 2011
Vendor History Website Document / Unit Test results	August 2011
Change Management Plan	August 2011

3% Withholding For Vendor Payments   Page 7 of 14
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Title File Modification Design Documents / Unit Test results	August 2011
Revolving Fund Reports	August 2011
Withholding Remittance to IRS Design Documents / Unit Test results	September 2011
Departmental Accounting System Test	December 2011
Central Accounting System Test	December 2011
Central Accounting System Test	September 2012
IW System Testing	October 2012

Project Assumptions and Constraints

- The most significant constraint is the federally mandated implementation date, January 1, 2012, and the lack of final guidance from the U.S. Treasury. The law itself provides no detailed instructions that could be used to design required modifications. The U.S. Treasury issued proposed rules for this law on December 5, 2008, but some issues were still unresolved. A public hearing was held in the spring of 2009, but the IRS has not issued any additional guidance since the hearing was held. There has been no indication from the IRS on when final rules will be issued.

- A constraint is obtaining a new Form W-9 from all vendors doing business with the State. The new law will likely result in the IRS revising their Form W-9 thus requiring the State to obtain new Form W-9s on vendors with Form W-9s already on file, as well as obtaining Form W-9s on all vendors without forms on file (over 200,000 vendors). Getting vendors to respond to the Division's request for a Form W-9s will be problematic. The Division plans to automate the submission of an electronic Form W-9. However, this will not eliminate the need to validate the information provided via the electronic Form W-9.

- A constraint is the State's ability to validate TINs provided by vendors prior to submitting 1099 files to the IRS. The IRS has a TIN Matching Program that allows states to submit TINs and taxpayer names either online or in a batch to validate the TIN. However, this program has limitations. The current policy of the IRS is to not provide specific information if the taxpayer information submitted does not match with the IRS' information. For example, if a TIN and taxpayer name is submitted, the IRS will only respond with a code indicating either the TIN matches or does not match. It gives no further information, such as what TIN the IRS has on file for that taxpayer, or whether the taxpayer name is only slightly mismatched. Therefore, this program has limited benefit for correcting errors.

- A constraint is MFMP's ability to implement an electronic Form W-9 and requiring it to be submitted and validated by FLAIR before a vendor can be registered within the system. The majority of vendors doing business in the State register with MFMP. MFMP provides a link to DFS' Form W-9 website during the registration process, but

do not require validation of a completed Form W-9 prior to Vendor completing their registration. MFMP's ability to implement and require a completed electronic Form W-9 is critical to successfully implementing the new 3 percent withholding law.

- A significant constraint is the number of resources available to support the new business processes. The Bureau of Accounting currently has only 3 FTEs dedicated to the 1099 process. The additional responsibilities on preparing, implementing and supporting the new 3 percent withholding process will overwhelm the current staff. Additional responsibilities will include but not be limited to:
  - Obtaining Form W-9s from all vendors (currently over 200,000 active vendors)
  - Managing a single file, FLAIR Statewide Vendor File, for all vendor records
  - Managing increased volume of calls from vendors
  - Educating agencies on the importance of using correct object codes and processing corrections as needed
  - Providing assistance to agencies in researching payments
  - Significant reconciliation processes associated with the collection and remittance of the 3 percent and backup withholding to the IRS on a regular basis (anticipated to be twice per week).

- A constraint is the Department's inability to control requests for FLAIR data/modifications from external customers (e.g., Department of Management Services, Legislature, Governor's Office, AG, citizens, etc.). The DIS staff is fully utilized for FLAIR maintenance and other routine tasks without considering the support for implementation and maintenance of 3 percent withholding. When external customers request FLAIR data, DIS must halt normal activities in order to respond.

- A significant constraint is the number of resources available to support the modifications and maintenance to FLAIR for the new functionality. The Bureau of Accounting Systems Design and the Bureau of Programming Design are fully utilized for FLAIR maintenance. The additional responsibilities for designing, programming, and maintenance of the new 3 percent withholding functionality will overwhelm the current staff. Additional responsibilities will include but not be limited to:
  - Modification and maintenance to the W-9 files
  - Modification and maintenance to the 1099 files
  - Modification and maintenance to the Contract Information files
  - Creation and maintenance of the 3 percent and backup withholding process including the selection of applicable payment transactions, calculation of withholding, creation of split transactions for warrant/EFT processing, and creation of remittance files for the IRS
  - Modification and maintenance of the warrant cancellation process

– Modification and maintenance of the EFT return and reversal process

Project Risks

Project risks are characteristics, circumstances, or features of the project environment that may have an adverse effect on the project or the quality of its deliverables. Known risks are included below, along with the approach to minimize or eliminate the impact to the project.

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

| 6 | Project Org – 10 DIS staff will complete drop, 12 additional staff will be eligible for retirement | High | Low | Obtain additional staff. Cross training, mentoring, streamline functions. | Accounting System Design Mgr, Program Design Mgr |

Project Approach

The following approach will be used for this project.

This project will be managed by using a Project Steering Committee that consists of the Division Directors of the Division of Administration, Division of Accounting and Auditing, and the Division of Information Services. The project steering committee will be responsible for the following:

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

A Project Director will be assigned from the Office of Strategic Planning (OSP) to manage the project in accordance with DFS standards. A detailed project schedule that identifies all of the activities to be performed as well as which specific staff is responsible for completing the activities will be developed. Timely status reports will be submitted to the Project Director by the assigned Team Leads so that the Project Director can compile all information and present a summary report of the project's progress to the Project Sponsors and Steering Committee.

Primary Plans

The project will be managed by a project plan created in Microsoft Project Professional and will follow the project management guidelines established by the OSP PMO.

Scheduled Meetings

Provide information about the primary project meetings that will be held during this project, including a description of the meeting, its purpose, and how often it is to be held.

- The Project Director will meet with the Project Steering Committee monthly to discuss the status of the project and any outstanding issues.
- The Project Director and Team Leads will meet bi-weekly to discuss status of project and any outstanding issues.
- The Team Leads will have regularly scheduled update/status meetings to review completed tasks and determine current work priorities.

- Ad hoc meetings as necessary with team leads and team members to discuss any outstanding issues.

Scheduled Status Reports

Provide information about the primary status reports that will be distributed during this project, including a description of the report, its purpose, and how often it is to be prepared and distributed.

- Monthly Status Report -- This written report will be disseminated to the Project Steering Committee team members and will capture the current status of the project and any outstanding issues or risks.
- Bi-Weekly Status Report -- This written report will be disseminated to the Project Sponsors, Team Leaders and Team Members and will capture the current status of tasks, the person or team responsible for each task, and any outstanding issues.

Issue Management

- Project-related issues will be tracked, prioritized, assigned, resolved, and communicated in accordance with the DIS PMO *Project Management Methodology*.
- Issue descriptions, owners, resolution and status will be maintained in an Issues Log in a standard format.
- Issues will be addressed with the Project Sponsors and communicated in the project bi-weekly status meeting.

Project Organization

ROLE	NAME(S)	RESPONSIBILITIES
Project Steering Committee	Kimberly McMurray, Accounting and Auditing Diana Flagg, Administration Abe Kani, Information Services	Approves change requests; Has ultimate decision making authority; Approves deliverables; Review and approval of project risks and mitigation strategies; Provides guidance on overall strategic direction.
Project Sponsors	Kimberly McMurray Abe Kani	Works with project manager to ensure stakeholder needs are met; Approves and accepts project deliverables; Coordinates activities with business/customer community.
Project Director	Vince Ackerman, PMP	Responsible for project oversight; Lead the planning and development of all project deliverables; Develop and manage the project schedule and associated tasks; Responsible for project management areas including scope, risk, quality; Ensure compliance with project proposal and with all established standards; Coordinate project status communications.

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Project Charter 01/20/2010

Team Managers	Molly Merry, Joanne Krieberg-Wolin, Tammy Ellis, Ella Hinson	Provide daily leadership to the teams and keep them focused on assigned tasks; responsible for reporting on the status of the Team's tasks to the Project Manager
Team Leads	Debra Evans, TBD – Pos# 4541, Jim Baggett, Phyllis Pearce, LaQuita Verando-Extine, Nancy Bechard, Frank Noltee	Responsible for completing all tasks associated with their respective teams ; Managing team members
Team Members	TBD	Attend all team meetings and actively participate; Contact Team Leader if unable to attend a meeting; Perform work outside the team meeting as needed; Complete assignments on time, including reading minutes or other preparatory work.
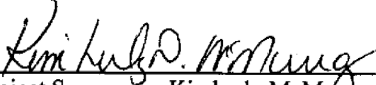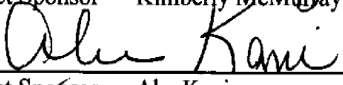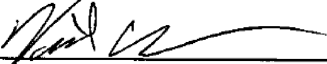
Project Organizational Chart
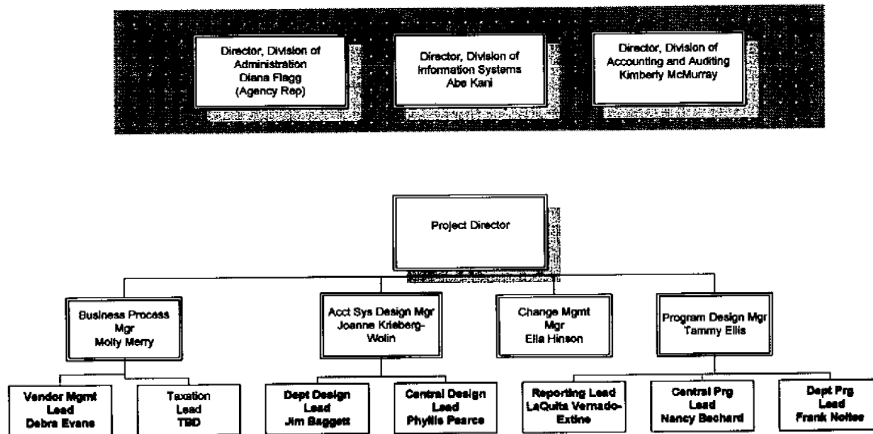
Project Approvals

Add any signatures that are important for the approval of the project.

_____   __1/24/10__
Project Sponsor — Kimberly McMurray   Date

_____   __1/26/10__
Project Sponsor — Abe Kani   Date

_____   __1/26/10__
Project Director — Vince Ackerman, PMP   Date

Appendix C – Cost Benefit Analysis Forms

CBAForm 1 - Net Tangible Benefits

Agency	DFS	Project	3 Percent Withholding

Net Tangible Benefits - Operational Cost Changes (Costs of Current Operations versus Proposed Operations as a Result of the Project) and Additional Tangible Benefits -- CBAForm 1A

Agency (Operations Only -- No Project Costs)	FY 2011-12			FY 2012-13			FY 2013-14			FY 2014-15	
	(a) Existing Program Costs	(b) Operational Cost Change	(c) = (a)+(b) New Program Costs resulting from Proposed Project	(a) Existing Program Costs	(b) Operational Cost Change	(c) = (a) + (b) New Program Costs resulting from Proposed Project	(a) Existing Program Costs	(b) Operational Cost Change	(c) = (a) + (b) New Program Costs resulting from Proposed Project	(a) Existing Program Costs	(b) Operational Cost Change
A. Personnel -- Total FTE Costs (Salaries & Benefits)	$909,288	$549,835	$1,459,123	$1,459,123	($100,000)	$1,359,123	$1,359,123	$0	$1,359,123	$1,359,123	$0
A.b Total FTE	13.00	10.00	23.00	23.00	(2.00)	21.00	21.00	0.00	21.00	21.00	0.00
A-1.a. State FTEs (Salaries & Benefits)	$618,119	$514,637	$1,132,756	$1,132,756	$0	$1,132,756	$1,132,756	$0	$1,132,756	$1,132,756	$0
A-1.b. State FTEs (# FTEs)	7.00	9.00	16.00	16.00	0.00	16.00	16.00	0.00	16.00	16.00	0.00
A-2.a. OPS FTEs (Salaries)	$291,169	$35,198	$326,367	$326,367	($100,000)	$226,367	$226,367	$0	$226,367	$226,367	$0
A-2.b. OPS FTEs (# FTEs)	6.00	1.00	7.00	7.00	(2.00)	5.00	5.00	0.00	5.00	5.00	0.00
A-3.a. Staff Augmentation (Contract Cost)	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0
A-3.b. Staff Augmentation (# of Contract FTEs)	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
B. Data Processing -- Costs	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0
B-1. Hardware	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0
B-2. Software	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0
B-3. Other Specify	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0
C. External Service Provider -- Costs	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0
C-1. Consultant Services	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0
C-2. Maintenance & Support Services	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0
C-3. Network / Hosting Services	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0
C-4. Data Communications Services	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0
C-5. Other Specify	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0
D. Plant & Facility -- Costs	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0
E. Others -- Costs	$153,129	$104,530	$257,659	$257,659	$0	$177,684	$177,684	$0	$177,684	$177,684	$0
E-1. Training	$6,370	$4,900	$11,270	$11,270	$0	$10,290	$10,290	$0	$10,290	$10,290	$0
E-2. Travel	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0
E-3. Other Expense - FTEs	$146,759	$99,630	$246,389	$246,389	$0	$167,394	$167,394	$0	$167,394	$167,394	$0
Total of Operational Costs (Rows A through E)	$1,062,417	$654,365	$1,716,782	$1,716,782	($100,000)	$1,536,807	$1,536,807	$0	$1,536,807	$1,536,807	$0
F. Additional Tangible Benefits:		$4,250,000			$8,500,000			$8,500,000			$8,500,000
F-1. Compliance with IRS		$4,250,000			$8,500,000			$8,500,000			$8,500,000
F-2. Specify		$0			$0			$0			$0
F-3. Specify		$0			$0			$0			$0
Total Net Tangible Benefits:		$3,595,635			$8,600,000			$8,500,000			$8,500,000

SPECIFY CHARACTER OF PROJECT BENEFIT ESTIMATE -- CBAForm 1B			
Choose Type		Estimate Confidence	Enter % (+/-)
Detailed/Rigorous	☑	Confidence Level	90%
Order of Magnitude	☐	Confidence Level	
Placeholder	☐	Confidence Level	

CBAForm 2 - Project Cost Analysis

Agency	DFS	Project	3 Percent Withholding

PROJECT COST ELEMENTS	PROJECT COST TABLE -- CBAForm 2A					TOTAL
	FY 2011-12	FY 2012-13	FY 2013-14	FY 2014-15	FY 2015-16	
State FTEs (Salaries & Benefits)	$1,132,756	$1,132,756	$1,132,756	$1,132,756	$1,132,756	$5,663,780
OPS FTEs (Salaries)	$326,367	$226,367	$226,367	$226,367	$226,367	$1,231,835
Contractors (Costs)	$0	$0	$0	$0	$0	$0
Deliverables	$0	$0	$0	$0	$0	$0
Major Project Tasks	$0	$0	$0	$0	$0	$0
Hardware Specify	$0	$0	$0	$0	$0	$0
COTS Software	$0	$0	$0	$0	$0	$0
Misc. Equipment Specify	$0	$0	$0	$0	$0	$0
Other Project Costs Expense, Training	$246,389	$167,394	$167,394	$167,394	$167,394	$915,965
	$11,270	$10,290	$10,290	$10,290	$10,290	$52,430
TOTAL PROJECT COSTS (*)	$1,716,782	$1,536,807	$1,536,807	$1,536,807	$1,536,807	$7,864,010
CUMULATIVE PROJECT COSTS	$1,716,782	$3,253,589	$4,790,396	$6,327,203	$7,864,010	

INVESTMENT SUMMARY	FY 2011-12	FY 2012-13	FY 2013-14	FY 2014-15	FY 2015-16	TOTAL
General Revenue	$0	$0	$0	$0	$0	$0
Trust Fund	$0	$0	$0	$0	$0	$0
Federal Match	$0	$0	$0	$0	$0	$0
Grants	$0	$0	$0	$0	$0	$0
Other Specify	$0	$0	$0	$0	$0	$0
TOTAL INVESTMENT (*)	$0	$0	$0	$0	$0	$0
CUMULATIVE INVESTMENT (*)	$0	$0	$0	$0	$0	

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

Character of Project Costs Estimate - CBAForm 2B		
Choose Type	Estimate Confidence	Enter % (+/-)
Detailed/Rigorous ☑	Confidence Level	90%
Order of Magnitude ☐	Confidence Level	
Placeholder ☐	Confidence Level	

CBAForm 3 - Project Investment Summary | Agency | DFS | Project | 3 Percent Withholding

COST BENEFIT ANALYSIS -- CBAForm 3A

	FY 2011-12	FY 2012-13	FY 2013-14	FY 2014-15	FY 2015-16	TOTAL
Project Cost	$1,716,782	$1,536,807	$1,536,807	$1,536,807	$1,536,807	$7,864,010
Net Tangible Benefits	$3,595,635	$8,600,000	$8,500,000	$8,500,000	$8,500,000	$37,695,635
Return on Investment	$1,878,853	$7,063,193	$6,963,193	$6,963,193	$6,963,193	$29,831,625
Year to Year Change in Program Staffing	10	(2)	0	0	0	

RETURN ON INVESTMENT ANALYSIS -- CBAForm 3B

Payback Period (years)	N/A	Payback Period is the time required to recover the investment costs of the project.
Breakeven Fiscal Year	2011-12	Fiscal Year during which the project's investment costs are recovered.
Net Present Value (NPV)	$25,098,708	NPV is the present-day value of the project's benefits less costs over the project's lifecycle.
Internal Rate of Return (IRR)	NO IRR	IRR is the project's rate of return.

Treasurer's Investment Interest Earning Yield -- CBAForm 3C

Fiscal Year	FY 2011-12	FY 2012-13	FY 2013-14	FY 2014-15	FY 2015-16
Cost of Capital	5.35%	5.38%	5.38%	5.38%	5.38%

Appendix D – Risk Assessment Tool

Project	Project Name	
Agency	Agency Name	
FY 2011-12 LBR Issue Code:	FY 2011-12 LBR Issue Title:	
Issue Code	Issue Title	
Risk Assessment Contact Info (Name, Phone #, and E-mail Address):		
Name ------ Phone # ------ E-mail address		
Executive Sponsor	Sponsor Name	
Project Manager	Project Manager Name	
Prepared By	Preparer Name	MM/DD/YYYY

Risk Assessment Summary

Most Aligned

Business Strategy

Least Aligned

Least Risk

Level of Project Risk

Most Risk
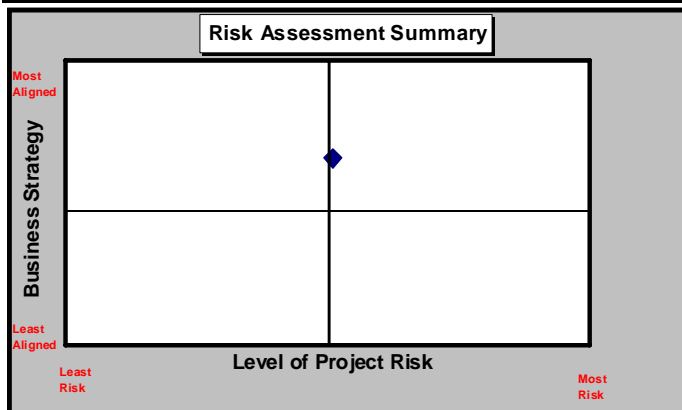
Project Risk Area Breakdown	
Risk Assessment Areas	**Risk Exposure**
Strategic Assessment	HIGH
Technology Exposure Assessment	LOW
Organizational Change Management Assessment	MEDIUM
Communication Assessment	LOW
Fiscal Assessment	MEDIUM
Project Organization Assessment	MEDIUM
Project Management Assessment	LOW
Project Complexity Assessment	HIGH
Overall Project Risk	HIGH

IT Project Risk Assessment Tool	Schedule IV-B	Fiscal Year 2011-2012
Agency: Agency Name		Project: Project Name

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

File: Appendix D -Risk Assessment Tool FY11-12
Tab: 1_Strategic
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IT Project Risk Assessment Tool	Schedule IV-B	Fiscal Year 2011-2012

Agency: Agency Name   Project: Project Name

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

File: Appendix D -Risk Assessment Tool FY11-12
Tab: 2_Technology
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IT Project Risk Assessment Tool	Schedule IV-B	Fiscal Year 2011-2012

Agency: Agency Name Project: Project Name

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

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IT Project Risk Assessment Tool		Schedule IV-B	Fiscal Year 2011-2012
Agency: Agency Name			Project: Project Name

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

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IT Project Risk Assessment Tool	Schedule IV-B	Fiscal Year 2011-2012

Agency: Agency Name   Project: Project Name

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

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IT Project Risk Assessment Tool	Schedule IV-B	Fiscal Year 2011-2012

Agency: Agency Name

Project: Project Name

Section 5 -- Fiscal Area		
#	Criteria	Values	Answer
5.13	What is the planned approach for procuring hardware and software for the project?	Timing of major hardware and software purchases has not yet been determined	Purchase all hardware and software at start of project to take advantage of one-time discounts
		Purchase all hardware and software at start of project to take advantage of one-time discounts	
		Just-in-time purchasing of hardware and software is documented in the project schedule	
5.14	Has a contract manager been assigned to this project?	No contract manager assigned	Contract manager is the project manager
		Contract manager is the procurement manager	
		Contract manager is the project manager	
		Contract manager assigned is not the procurement manager or the project manager	
5.15	Has equipment leasing been considered for the project's large-scale computing purchases?	Yes	Yes
		No	
5.16	Have all procurement selection criteria and outcomes been clearly identified?	No selection criteria or outcomes have been identified	All or nearly all selection criteria and expected outcomes have been defined and documented
		Some selection criteria and outcomes have been defined and documented	
		All or nearly all selection criteria and expected outcomes have been defined and documented	
5.17	Does the procurement strategy use a multi-stage evaluation process to progressively narrow the field of prospective vendors to the single, best qualified candidate?	Procurement strategy has not been developed	Multi-stage evaluation and proof of concept or prototype planned/used to select best qualified vendor
		Multi-stage evaluation not planned/used for procurement	
		Multi-stage evaluation and proof of concept or prototype planned/used to select best qualified vendor	
5.18	For projects with total cost exceeding $10 million, did/will the procurement strategy require a proof of concept or prototype as part of the bid response?	Procurement strategy has not been developed	Not applicable
		No, bid response did/will not require proof of concept or prototype	
		Yes, bid response did/will include proof of concept or prototype	
		Not applicable	

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IT Project Risk Assessment Tool	Schedule IV-B	Fiscal Year 2011-2012

Agency: Agency Name

Project: Project Name

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

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IT Project Risk Assessment Tool	Schedule IV-B	Fiscal Year 2011-2012

Agency: Agency Name | Project: Project Name

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

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IT Project Risk Assessment Tool	Schedule IV-B	Fiscal Year 2011-2012
Agency: Agency Name		Project: Project Name

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

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IT Project Risk Assessment Tool　　　　Schedule IV-B　　　　Fiscal Year 2011-2012

Agency:　Agency　Name　　　　　　　　　　　　　　　Project:　Project Name

#	Criteria	Values	Answer
	Section 7 -- Project Management Area		
7.11	Does the project schedule specify all project tasks, go/no-go decision points (checkpoints), critical milestones, and resources?	Yes	Yes
		No	
7.12	Are formal project status reporting processes documented and in place to manage and control this project?	No or informal processes are used for status reporting	Project team and executive steering committee use formal status reporting processes
		Project team uses formal processes	
		Project team and executive steering committee use formal status reporting processes	
7.13	Are all necessary planning and reporting templates, e.g., work plans, status reports, issues and risk management, available?	No templates are available	All planning and reporting templates are available
		Some templates are available	
		All planning and reporting templates are available	
7.14	Has a documented Risk Management Plan been approved for this project?	Yes	Yes
		No	
7.15	Have all known project risks and corresponding mitigation strategies been identified?	None or few have been defined and documented	All known risks and mitigation strategies have been defined
		Some have been defined and documented	
		All known risks and mitigation strategies have been defined	
7.16	Are standard change request, review and approval processes documented and in place for this project?	Yes	Yes
		No	
7.17	Are issue reporting and management processes documented and in place for this project?	Yes	Yes
		No	

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IT Project Risk Assessment Tool Schedule IV-B Fiscal Year 2011-2012

Agency: Agency Name Project: Project Name

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

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Appendix E – Risk Mitigation Table

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

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

Appendix F – Project Budget

Project Costs for 3 Percent Withholding										
Produced 9/28/10				For DFS		By Angela Rowe				FY 2011-12
PROJECT BUDGET WORKSHEET 1 (Captures All Major Direct & Indirect Costs associated with Development, Implementation, and Transition)										
Quarter / Project Cost	Jul-Sep Planned	Jul-Sep Actual	Oct-Dec Planned	Oct-Dec Actual	Jan-March Planned	Jan-March Actual	April-June Planned	April-June Actual	Budget to Date	Actual to Date
State Staff										
# FTEs 23	$364,781.00	$0.00	$364,781.00	$0.00	$364,781.00	$0.00	$364,780.00	$0.00	$1,459,123	$0
Subcontractors										
# FTEs	$0.00	$0.00	$0.00	$0.00	$0.00	$0.00	$0.00	$0.00	$0	$0
Hardware										
Item 1	$0.00	$0.00	$0.00	$0.00	$0.00	$0.00	$0.00	$0.00	$0	$0
Item 2	$0.00	$0.00	$0.00	$0.00	$0.00	$0.00	$0.00	$0.00	$0	$0
Software										
Item 1	$0.00	$0.00	$0.00	$0.00	$0.00	$0.00	$0.00	$0.00	$0	$0
Item 2	$0.00	$0.00	$0.00	$0.00	$0.00	$0.00	$0.00	$0.00	$0	$0
Misc Equipment										
Item 1	$0.00	$0.00	$0.00	$0.00	$0.00	$0.00	$0.00	$0.00	$0	$0
Item 2	$0.00	$0.00	$0.00	$0.00	$0.00	$0.00	$0.00	$0.00	$0	$0
Other Costs										
Item 1 Expense	$69,666.00	$0.00	$69,666.00	$0.00	$69,666.00	$0.00	$69,665.00	$0.00	$278,663	$0
Item 2 Human Resource Services	$1,625.00	$0.00	$1,625.00	$0.00	$1,625.00	$0.00	$1,626.00	$0.00	$6,501	$0
Total Costs	$436,072	$0	$436,072	$0	$436,072	$0	$436,071	$0	$1,744,287	$0
Progress Payments									$0	$0

Project Costs for 3 Percent Withholding

Produced 9/28/10   For **DFS**   By **Angela Rowe**

PROJECT BUDGET WORKSHEET 2 - OPERATIONAL COST IMPACT *(INCURRED AFTER PROJECT IMPLEMENTATION and / or PRO-RATED IF PHASED ROL*

OPERATIONAL COSTS	FY 2011-12 (a) Current	(b) Project	(c) = (b)-(a) Incremental Effect of Project	FY 2012-13 (a) Current	(b) Project	(c) = (b)-(a) Incremental Effect of Project	FY 2013-14 (a) Current	(b) Project	(c) = (b)-(a) Incremental Effect of Project	(a) Current
Salaries and Wages	$457,863	$839,079	$381,216	$457,863	$839,079	$381,216	$457,863	$839,079	$381,216	$457,863
Pensions and Benefits	$160,256	$293,677	$133,421	$160,256	$293,677	$133,421	$160,256	$293,677	$133,421	$160,256
Other Personal Services	$291,169	$326,367	$35,198	$291,169	$326,367	$35,198	$291,169	$326,367	$35,198	$291,169
Consulting	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0
Hardware	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0
Software	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0
Data Processing	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0
Data Processing Supplies	$19,721	$60,871	$41,150	$19,721	$34,891	$15,170	$19,721	$34,891	$15,170	$19,721
Data Processing Comunications	$8,866	$15,686	$6,820	$8,866	$15,686	$6,820	$8,866	$15,686	$6,820	$8,866
Training	$6,370	$15,270	$8,900	$6,370	$11,270	$4,900	$6,370	$11,270	$4,900	$6,370
Travel	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0
TOTAL OPERATIONAL COSTS	$944,245	$1,550,950	$606,705	$944,245	$1,520,970	$576,725	$944,245	$1,520,970	$576,725	$944,245
FTE	0	0	0	0	0	0	0	0	0	0

Appendix G – Communications Strategy

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

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

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

Desired Behavior

The Communications Strategy identifies a series of communications activities necessary to engage and inform prospective users and other stakeholders, and to increase their understanding and acceptance of the Project.

Communicating throughout the Project will require a varied approach that addresses the capabilities and limitations of the current organization's communications environment, effectively utilizes available resources in the current organizational structure, and is appropriately phased over the life of the project. A successful Communications Strategy will:
- Facilitate careful rollout of all project information to affected employees
- Allow for pre-planning and sensitivity to the unique needs of affected groups
- Minimize disruption and set the stage for acceptance of the completed implementation of the Project
- Ensure consistent messages are being relayed to stakeholders by all project team members and project leadership

Four primary target audiences qualify as stakeholders and user groups who require general information and/or information on implementation delivery for the 3% Withholding Project. Following are the target audiences and their respective roles:
- State Agencies – these state entities will be required to submit vendor information as well as payment information to DFS for the payment of goods and services
- Vendors – companies and/or individuals doing business with the State of Florida will be affected by the federal mandate and will be required to maintain correct Form W-9s with DFS to ensure payment accuracy for the goods and/or services provided to the State
- Stakeholders – the citizens of Florida and the federal government
- Project Director – the individual in charge of oversight and direction for the Project; provides sponsorship and representation as a financial leader for the Project; evaluates and recommends resolution for escalated policy and operational issues
- Project Managers – individuals in charge of managing key processes within the scope of the product who are responsible for providing regular progress reports to the Project Director and stakeholders

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

Message

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

The objectives of the communication efforts are:

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

Strategy

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

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

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

Timing
A Project Plan will be developed to define the timeline for actual communication messages and the trainings that will be offered.

Appendix H – Communications Plan

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

Objective
The Communications Plan identifies a series of communications activities necessary to engage and inform state agencies, vendors and other stakeholders, and to increase their understanding and acceptance of the Project.

The Project is the result of a federal mandate which requires the State to withhold 3 percent on most vendor payments. Business processes must be changed and FLAIR modifications are necessary in order to implement this requirement. Additionally, a critical component of this implementation is the clean up of vendor information from the State's multiple vendor files with consolidation of data where possible. There will also be a significant increase in the number of 1099s produced by the Department, resulting in an increase of calls to the 1099 section and questions from vendors arising from the withholding reported on the new 1099s. The Department will also be responsible for ensuring that tax deposits with the IRS are made accurately and timely to avoid IRS penalties, and continually reconciling the tax account for payment cancellations and error corrections.

State agencies will continue to submit vendor information as well as payment information to the Department for the payment of goods and services. It is imperative that these public entities are knowledgeable of the federal mandate, which vendors will be affected, and how to resolve accounting issues as a result of new business processes. Communication with vendors doing business with the State of Florida will be required in order to relay pertinent information concerning the federal mandate and which individuals and/or businesses are exempt from the withholding requirement. In addition, any updated information related to law changes will need to be disseminated to state agencies and vendors through proper communication channels.

Communication activities will continue to include proper coordination with state agencies, vendors and legislators through various channels. These activities will accomplish the following goals:
- Distribute key messages and content, as well as validate necessary information
- Monitor success of the communications program
- Receive feedback and encourage two-way communications

Methods of Communication
Various methods will be utilized to distribute crucial information to stakeholders. This will allow the Department to communicate how the federal mandate will affect each stakeholder, what will be required from stakeholders, what the State is doing to ensure compliance, and who can be contacted within the agency to resolve any problems or issues that arise once the project is implemented.

The Department plans to use websites, presentations at meetings, workshops, brochures and bulletins to make certain that open and timely communication exists among stakeholders. An

extensive training and outreach effort has been designed to target each affected stakeholder. The websites, brochures and bulletins will provide general information about the federal mandate and how additional information can be obtained. Workshops will narrow the scope of information to a specific audience to allow the exchange of more technical data and a means to communicate requirements from each group, as well as provide a forum for questions. The presentations at various meetings will allow the Department to reach key personnel involved in agency management and procurement.

Communication Activities

The table below prescribes the method, organized by key stakeholder group, which will serve as the roadmap for communication activities throughout the development of the Project. This table will be an evolving list of activities. The timeline and frequency of communication activities may change and additional activities added based on need and stakeholder feedback during the Project.

Stakeholder	Method	Objective	Timeline	Frequency
All Stakeholders	DFS Website for 3% Withholding- Link: http://www.myfloridacfo.com/aadir/IRS3PercentWithholding.htm	• Provide summary of federal mandate and website link to the law and regulations • Provide list of frequently asked questions • Provide contact information • Post updates as necessary	Ongoing	Continuous
MFMP Team	Meetings	• Operational review of interfaces, electronic Form W-9 design and DFS website design • Discuss ways to partnership in vendor outreach efforts • Identify issues/concerns that should be escalated to Steering Committee for resolution	Ongoing	FY 2010-11 – Monthly FY 2011-12 - Weekly
State Agencies	Presentations at FLAIR User Group Meetings	• Provide high level overview of federal requirements and report status of the Project	May 2008 – December 2012	Bi-annually

Stakeholder	Method	Objective	Timeline	Frequency
Vendors	MFMP eNewsletter	• Provide general information and updates to vendors concerning the law • Communicate date and location of upcoming vendor training sessions	September 2010– June 2012	Bi-monthly
Vendors	MFMP Website and Bulletin Board- Link: http://dms.myflorida.com/business_operations/state_purchasing/myflorida_marketplace/mfmp_vendors/vendor_toolkit/mfmp_vendor_bulletin_board	• Provide timely and up-to-date information relating to the Project • Communicate date and location of upcoming vendor training sessions	October 2010 – June 2012	Continuous
State Agencies	Presentations at Administrative Service Directors' Meetings	• Provide general information about the federal mandate, project status and how to obtain additional information	November 2010 – June 2012	Monthly
State Agencies	Presentations at State Purchasing Director's Meetings	• Provide general information about the federal mandate, project status and how to obtain additional information	November 2010 – June 2012	Monthly
State Agencies	Form W-9 Training (Live and Web based)	• Communicate requirements for submission • Discuss exemptions for payees • Discuss proper channels for problem resolution • Obtain feedback from agencies	December 2010 & January 2010	Bi-monthly

Stakeholder	Method	Objective	Timeline	Frequency
Vendors	Form W-9 Training (Live and Web based)	• Explain requirements for submitting an electronic Form W-9 • Discuss how to use the DFS website • Provide contact and Help Desk information	January 2011 – June 2012	Monthly
DFS Staff Members	Form W-9 Training	• Provide information on the how the system processes electronic Form W-9s and the IRS TIN Matching Program • Train staff on business designations and how these will impact the withholding requirements • Discuss steps required to resolve potential problems	December 2011	One month prior to Go-Live
Legislators	Legislative Committee Presentations	• Provide overview of the federal mandate, the status of the Project, and the Communication and Change Management Plans • Communicate requested resources outlined in the LBR for the Project	2011 Session 2012 Session	As needed
Vendors	MFMP Mass Email	• Notify vendors of the federal mandate and how it will impact them • Alert vendors on electronic Form W-9 requirement • Provide DFS website link for more information and list DFS contacts	September 2010 – June 2012	Minimum of Bi-annually

Stakeholder	Method	Objective	Timeline	Frequency
State Agencies	Federal Withholding Training (Live and Web based)	• Explain the basics of the law and regulations and how it impacts the accounting system • Explain the new reports available to agencies and how to obtain them • Discuss the modifications made to the system and how the process will work in the new environment • Provide information and training on business designations and the new warrant cancellation process • Inform agencies of the new reports that will be available and how to view and utilize the reports • Explain how corrections should be made	September 2011 – December 2011	Minimum of Bi-monthly
Vendors	Federal Withholding Training (Live and Web based)	• Provide information on the law and how it impacts vendors • Explain what information will appear on warrant remittance advices • Discuss the Vendor History website and how it will be impacted • Explain the impact to Form 1099s received from the State • Review the new warrant cancellation and error correction processes	September 2011 – December 2011	Minimum of Bi-monthly

Stakeholder	Method	Objective	Timeline	Frequency
DFS Staff Members	Federal Withholding Training	• Explain new process and impacts to the system • Discuss possible problems/concerns and how these issues will be resolved	September 2011 – December 2011	As needed
Vendors	Remittance Advice Messages	• Notify vendors of the federal mandate • Provide DFS website address and contact information	October 2011 – December 2011	Daily

Other Activities
A nationwide campaign to inform stakeholders is currently underway. It is designed to spread the word and engage all affected parties. The objective is to broadcast the impact of the Project and supplement the meetings, workshops and presentations. It is critical that states gain the attention of current and potential vendors, as well as other public entities which may be affected. The targeted activities include, but are not limited to:

- National Conferences – Provide agency representation at conferences to facilitate knowledge transfer with key personnel in other states. For example, the Department will participate in a monthly teleconference organized by the National Association of State Auditors, Comptrollers and Treasurers. This organization has arranged a "3% Implementation Workgroup" which will allow states to exchange information and discuss the progress made toward implementation.
- Group Forums – Includes presentations by the Chief Financial Officer to various business groups to supply general information about the federal mandate and how they can obtain additional information if they are planning to do business with the State of Florida.
- Email Taglines – Informational taglines will be added below email signatures for agency personnel in direct contact with vendors to alert them of the federal requirement and to provide a website link for more information.
- CFO Letters to Congress – There are currently two bills in Congress proposing the repeal of the 3% federal withholding law. However, there has been no movement with these bills in over a year. A letter from the CFO to Florida's Congressional district members could be beneficial in bringing more attention to these repeal bills.

Success Factors
To continually refine the strategy and tactics outlined in the Communications Strategy and Communications Plan, measurement tools have been identified to provide consistent evaluations on the Project's awareness and understanding. These measurement tools include agency surveys, workshop evaluations, and number of hits on the DFS website. This feedback will be reviewed on a regular basis throughout the development phase to assist project management in determining if the communication objectives are being met successfully.

As the effectiveness of the communication objectives is continually evaluated, project management must keep a watchful eye on the risks faced by the Project in the event that vendors

are unaware of the federal mandate. If the Communications Plan was unsuccessful in reaching target audiences, the Department's call center would face an unprecedented number of calls from vendors and Department staff would receive a large volume of calls from state agencies. Vendors would be confused about receiving 97 percent of the invoiced amount and state agencies would have issues reconciling invoices and payments within the accounting system. In addition, some vendors would be unaware of the electronic Form W-9 requirement, which would result in payments being suspended until the requirement is satisfied.

It is essential that the Department communicate timely and comprehensive information to the appropriate groups while continually evaluating the feedback received from stakeholders to ensure project success.

Appendix I – Change Management Plan

Change Management is a process of ensuring the development of communications, trainings, and staff readiness for the successful implementation of the 3 Percent Withholding Project, which includes the development of an electronic Form W-9 for Vendors.

The Change Management Team will work to create an open environment to assist with building an understanding and support of the changes for its customers who have been previously identified as: Division of Accounting & Auditing (A & A), Division of Information Systems (DIS), Vendors, Internal Revenue Service, and all state agencies.

The Change Management Team will develop communications to help mitigate concerns and frustrations of the vendors and agencies concerning the new process. Training, along with informational manuals and procedures, will be created and provided to vendors, agencies, and Department of Financial Services (DFS) staff.

The Change Management Team will be comprised of three functions:
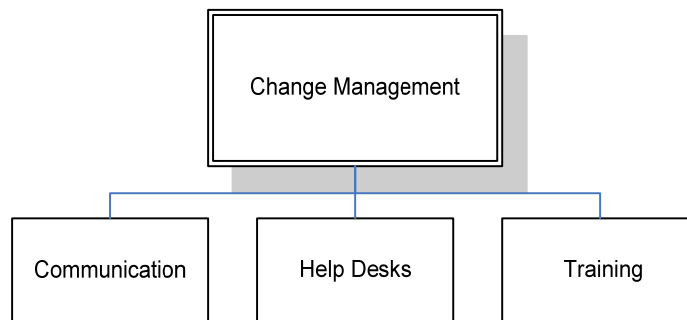
Communication

The Communication Strategy is provided in Appendix G. The Communication Plan is provided in H.

Help Desks

The purpose of a Help Desk is to provide support to customers on a continuing basis after the initial training and implementation of the electronic Form W-9 and 3 Percent Withholding. The Help Desk will require support resources which will be dedicated to the timely resolution of customer issues, questions, and working collaboratively with other DFS staff on developing and implementing Help Desk procedures. The Help Desk will also be responsible for logging and tracking all questions and issues and ensuring timely resolution is provided to the customer. For purposes of this project the resources to assist in the continued support will come from multiple sources.

Self-Help Tools – Provides the customer with the opportunity to resolve their issue or questions independently at any time. The resources provided should be found on the web and easily

accessed.   Resources may be available in one of these formats for the customer:
- Manuals – "How To" documentation for Vendors and Agencies.
- Procedures – "How To" documentation for DFS staff. This will include additional information on the new processes for the electronic Form W-9 and 3 Percent Withholding applications in FLAIR.
- Frequently Ask Questions (FAQs) – A web page with generally asked questions and answers prepared by DFS staff. During the first three (3) months of implementation, this should be updated weekly at a minimum.
- Self-directed web training – Web training for vendors demonstrating how to add or update the electronic Form W-9s and inquiry on payments.

Division of Information Systems (DIS) Help Desk – Agency staff will have the option to contact the DIS Help Desk for issues and questions.   The issues or questions may be requested via a phone call or an email. An electronic mail box will be set up specifically for Form W-9 and 3 Percent Withholding issues. All issues and questions should be logged in a tracking database by the DIS Help Desk to ensure a resolution is found timely and accurately. The log should include the following information:
- Help Desk resource (may be identified by sign on),
- Date and time of call or email,
- Agency requesting information,
- Agency staff name,
- Phone number,
- Agency staff issue or question,
- Resolution source, and
- Date and time resolution provided.

Division of Accounting & Auditing, Bureau of Accounting, 3 Percent Withholding (3 Percent) Help Desk – Vendors with problems accessing the electronic Form W-9 or who have issues and questions concerning the 3 Percent Withholding should contact the 3 Percent Help Desk. All issues and questions should be logged in the same tracking database as the DIS Help Desk to simplify reporting for management. The main responsibility of the 3 Percent Help Desk will be to assist Vendors. They may also be requested to assist agency staff or others with more technical issues that can not be resolved by the DIS Help Desk. Additional responsibilities include assisting vendors with no computer resources, contacting vendors that have an incorrect Form W-9 and resolving interface issues with MyFloridaMarketPlace (MFMP).

Division of Consumer Services Help Desk – During the initial implementation and at other peak times during the year, it is expected that the call volume will be greater than the DIS or 3 Percent Help Desks will be able to handle. The Division of Consumer Services Help Desk may provide assistance by taking the initial call and responding to general questions. More complex issues and questions will be routed to either the DIS or 3 Percent Help Desks, depending on who the caller is.

Department of Management Services, MFMP Help Desk – Vendors who conduct business with the State of Florida through MFMP must register via the MFMP website. As a part of the registration process MFMP Vendors will be routed to the FLAIR website to provide a Form W-9. MFMP Help Desk resources will assist MFMP vendors that have general question on the Form W-9 and route more complex issues and questions to the 3 Percent Help Desk.

Training

The four (4) customer groupings for which training will be developed are: Vendors, State Agencies, Help Desks, and DFS staff.

The Department of Financial Services must ensure that all State Agencies and Vendors have sufficient skills and understanding of both the Form W-9 and the 3 Percent Withholding process. Since each of the processes have a different start date, training will be presented in two (2) phases:

Phase I - Completion of the Form W-9 to ensure the information submitted to the IRS is correct. Training will begin in January 2011 and should include:.
- The purpose of the Form W-9,
- Why the Vendor must complete the Form W-9,
- Step-by-step instructions on "How To" Complete the Form W-9 (PowerPoint and Captivate),
- If accessing via MFMP web site, instructions and link back to MFMP,
- Link to the Frequently Asked Questions,
- Link to Help Desk mailbox for questions, and
- Contact Information.

Phase II – Provide an understanding of the 3 Percent Withholding federal mandate requiring the State of Florida to collect the monies for transmission to the IRS. Training will begin in January 2012 and should include:
- The purpose of the 3 Percent Withholding,
- When and where the mandate originated,
- How the 3 Percent Withholding is calculated,
- How it is processed to the federal government,
- How the Form W-9 works with the 3 Percent Withholding requirement,
- Link to Form W-9,
- Reports,
- Help Desk information, and
- Contact Information.

Resources to create the training will be provided by the A & A/ Bureau of Accounting Staff (Accounting Staff) in conjunction with the Enterprise Education staff. This partnership will ensure the training is created, reviewed and ready by the required deadlines for each phase.

Help Desks

Training for the 3 Percent, DIS, the Division of Consumer Services, and MFMP Help Desks will vary based on the responsibilities of each group. Each group will receive training on:
- Completing the database log for issues and questions (all),
- How to responds to calls or emails (all),
- The 3 Percent Help Desk will focus on completing or correcting Form W-9s and 3% Withholding,
- The DIS Help Desk will focus on security and other technical issues,

- The Division of Consumer Services will focus on being the first responder and provide answers to issues or questions when possible or transferring to the appropriate Help Desk, and
- The MFMP Help Desk will focus on assisting Vendors accessing the purchasing module via MFMP or transferring to the appropriate Help Desk.

Department of Financial Services Staff

The Accounting Staff will have additional duties as the electronic Form W-9 and 3 Percent Withholding are implemented and will require training for the new processes.

Accounting Staff will be required to assist Vendors who have problems completing the electronic Form W-9 or who do not have web access. Accounting Staff will also be required to validate and assist Vendors with ensuring correct information is submitted or re-submitted to the IRS. This will include reviewing reports, responding to information requests, and submitting data to the IRS for validation. To ensure Accounting Staff are successful instructor lead training will be provided that includes the following:

- Completing the database log for issues and questions (all),
- How to responds to calls or emails (all),
- The purpose of the Form W-9,
- Why the Vendor must complete the Form W-9,
- How to validate the Form W-9 with the IRS.
- How to assist Vendors with corrections for their Form W-9,
- How they may assist Help Desk staff with responding to questions,
- Step-by-step instructions on "How To" Complete the Form W-9
- An understanding of the purpose and link for FAQs,
- Help Desks roles, and
- Contact Information.

Phase II will include additional duties and responsibilities to implement the 3 Percent Withholding process. New processes will include reviewing reports for Vendor payments, working with Vendors concerning their payments, remitting the 3 Percent Withholding to the IRS, and reconciling payments to IRS remittance. This will be instructor lead training and include the following:

- Completing the database log for issues and questions,
- How to responds to calls or emails,
- The purpose of the 3 Percent Withholding,
- When and where the mandate originated,
- How the 3 Percent Withholding is calculated,
- How to respond to Vendors concerning the payments they receive,
- How to complete federal reports,
- How to transfer the payments to the IRS, and
- How to file any required reports.

Appendix J – Project Plan

ID	Deliverable #	Task Name	% Complete	Duration	Start	Finish	Predecessors	Resource Names
1		**3% WITHHOLDING**	**7%**	**1063 days**	**Mon 10/5/09**	**Thu 2/6/14**		
2		*Project Management Activities*	*25%*	*668 days*	*Mon 10/5/09*	*Fri 6/22/12*		
3		**Steering Committee Meetings**	0%	668 days	Mon 10/5/09	Fri 6/22/12		
4		**Organizational Structure / HR**	38%	668 days	Mon 10/5/09	Fri 6/22/12		
5		Fill A&A position (SMAII) for 2009-2010 FY	100%	130 days	Mon 10/5/09	Thu 4/15/10		Molly Merry[10%],Mike Manderfield[50%],Debra Evans[50%]
6		Fill DIS positions for 2009-2010 FY	100%	130 days	Mon 10/5/09	Thu 4/15/10	5SS	Joanne Krieberg-Wolin[10%],Tammy Ellis[10%],Phyllis Pearce[40%
7		Submit New Org Structure for 2010 - 2011 FY	100%	24 days	Mon 6/14/10	Fri 7/23/10	6SS+160 days	Molly Merry[10%],Mike Manderfield[10%],Joanne Krieberg-Wolin[10%],Tammy Ellis[10%]
8		Fill New A&A Positions for FY 2010-2011	10%	63 days	Tue 7/20/10	Fri 10/15/10		Mike Manderfield[50%],Molly Merry[10%],Debra Evans[50%]
9		Fill New DIS Positions for FY 2010-2011	0%	63 days	Tue 7/20/10	Fri 10/15/10		Phyllis Pearce[40%],Tammy Ellis[10%],Joanne Krieberg-Wolin[10%
10		Submit New Org Structure for 2011 - 20	0%	64 days	Fri 4/22/11	Thu 7/28/11	7FS+181 days	Molly Merry[10%],Mike Manderfield[10%],Joanne Krieberg-Wolin[10
11		Fill New A&A Positions for FY 2011-2012	0%	69 days	Wed 7/20/11	Tue 10/25/11		Molly Merry[10%],Mike Manderfield[50%],Debra Evans[50%]
12		**Budget / Legislative Issues 2010-2011**	**100%**	**10 days**	**Mon 10/5/09**	**Fri 10/16/09**		
13		Prepare D3-A Issue for 2010-2011 F	100%	10 days	Mon 10/5/09	Fri 10/16/09	5SS	Molly Merry[50%],Mike Manderfield[50%],Joanne Krieberg-Wolin[50
14		Update Schedule IV-B for 2010-201	100%	10 days	Mon 10/5/09	Fri 10/16/09	5SS	Molly Merry[50%],Mike Manderfield[50%],Joanne Krieberg-Wolin[50
15		**Budget / Legislative Issues 2011-2012**	**0%**	**73 days**	**Tue 7/6/10**	**Fri 10/15/10**		
18		**Executive Committee Meetings: Fiscal Year 2009/2010**	**100%**	**140 days**	**Tue 12/1/09**	**Fri 6/25/10**		
26		**Executive Committee Meetings: Fiscal Year 2010/2011**	**26%**	**240 days**	**Tue 7/6/10**	**Fri 6/24/11**		
27		July 2010	100%	19 days	Tue 7/6/10	Fri 7/30/10	25	Abe Kani[10%],Diana Flagg[10%],Kimberly McMurray[10%],Joanne
28		Aug 2010	100%	20 days	Mon 8/2/10	Fri 8/27/10	27	Abe Kani[10%],Diana Flagg[10%],Kimberly McMurray[10%],Joanne
29		Sept 2010	100%	21 days	Wed 9/1/10	Thu 9/30/10	28	Abe Kani[10%],Diana Flagg[10%],Kimberly McMurray[10%],Joanne
30		Oct 2010	0%	21 days	Fri 10/1/10	Fri 10/29/10	29	Abe Kani[10%],Diana Flagg[10%],Kimberly McMurray[10%],Joanne
31		Nov 2010	0%	19 days	Mon 11/1/10	Tue 11/30/10	30	Abe Kani[10%],Diana Flagg[10%],Kimberly McMurray[10%],Joanne
32		Dec 2010	0%	15 days	Wed 12/1/10	Tue 12/21/10	31	Abe Kani[10%],Diana Flagg[10%],Kimberly McMurray[10%],Joanne
33		Jan 2011	0%	19 days	Tue 1/4/11	Fri 1/28/11	32	Abe Kani[10%],Diana Flagg[10%],Kimberly McMurray[10%],Joanne
34		Feb 2011	0%	19 days	Tue 2/1/11	Fri 2/25/11	33	Abe Kani[10%],Diana Flagg[10%],Kimberly McMurray[10%],Joanne
35		Mar 2011	0%	23 days	Tue 3/1/11	Thu 3/31/11	34	Abe Kani[10%],Diana Flagg[10%],Kimberly McMurray[10%],Joanne
36		Apr 2011	0%	21 days	Fri 4/1/11	Fri 4/29/11	35	Abe Kani[10%],Diana Flagg[10%],Kimberly McMurray[10%],Joanne
37		May 2011	0%	19 days	Mon 5/2/11	Thu 5/26/11	36	Abe Kani[10%],Diana Flagg[10%],Kimberly McMurray[10%],Joanne
38		June 2011	0%	18 days	Wed 6/1/11	Fri 6/24/11	37	Abe Kani[10%],Diana Flagg[10%],Kimberly McMurray[10%],Joanne
39		**Executive Committee Meetings: Fiscal Year 2011/2012**	**0%**	**246 days**	**Wed 7/6/11**	**Fri 6/22/12**		
75		Bureau of Accounting - Implement Transition Plan	0%	108 days	Wed 10/26/11	Fri 3/30/12	11	Molly Merry[10%],Mike Manderfield[10%],Chg Mgmt Lead,Debra Evans[30%],PAS #1905[50%],PAS #1904[50%],SMA II #1903[50%]
76		**Develop Change Management Plan**	**86%**	**24 days**	**Wed 7/28/10**	**Mon 8/30/10**		

ID	Deliverable #	Task Name	% Complete	Duration	Start	Finish	Predecessors	Resource Names
77		Draft Change Management Plan	100%	18 days	Wed 7/28/10	Fri 8/20/10	16SS+16 days	Molly Merry[30%],Mike Manderfield[30%],Kimberly McMurray[10%],Chg Mgmt Lead,Christina Smith[10%]
78		Develop Training Timeline	100%	18 days	Wed 7/28/10	Fri 8/20/10	77SS	Chg Mgmt Lead
79		Review Change Management Plan	0%	5 days	Mon 8/23/10	Fri 8/27/10	78	Abe Kani[10%],Kimberly McMurray[10%],Christina Smith[10%],Diar
80	35	**Approve Change Management Plan**	**0%**	**1 day**	**Mon 8/30/10**	**Mon 8/30/10**	**79**	
81		**Develop Communication Plan**	**74%**	**23 days**	**Wed 7/28/10**	**Fri 8/27/10**		Chg Mgmt Lead,Molly Merry[10%],Mike Manderfield[30%],Debra Ev
82		Draft Communication Plan	100%	17 days	Wed 7/28/10	Thu 8/19/10	16SS+16 days	Molly Merry[30%],Mike Manderfield[30%],Kimberly McMurray[10%],Chg Mgmt Lead,Christina Smith[10%]
83		Review Communication Plan	0%	5 days	Fri 8/20/10	Thu 8/26/10	82	Abe Kani[10%],Kimberly McMurray[10%],Christina Smith[10%],Diar
84	35	**Approve Communication Plan**	**0%**	**1 day**	**Fri 8/27/10**	**Fri 8/27/10**	**83**	
85		**Perform Risk Assessment**	**1%**	**398 days**	**Tue 8/17/10**	**Fri 3/30/12**		
86		Update Risk Assessment - FY10/11 Qtr	100%	1 day	Tue 8/17/10	Wed 8/18/10	29SS	Abe Kani[10%],Diana Flagg[10%],Kimberly McMurray[10%],Joanne
87		Update Risk Assessment - FY10/11 Qtr	0%	15 days	Wed 12/1/10	Tue 12/21/10	32SS	Abe Kani[10%],Diana Flagg[10%],Kimberly McMurray[10%],Joanne
88		Update Risk Assessment - FY10/11 Qtr	0%	23 days	Tue 3/1/11	Thu 3/31/11	35SS	Abe Kani[10%],Diana Flagg[10%],Kimberly McMurray[10%],Joanne
89		Update Risk Assessment - FY10/11 Qtr	0%	18 days	Wed 6/1/11	Fri 6/24/11	38SS	Abe Kani[10%],Diana Flagg[10%],Kimberly McMurray[10%],Joanne
90		Update Risk Assessment - FY11/12 Qtr	0%	18 days	Thu 9/1/11	Tue 9/27/11	42SS	Abe Kani[10%],Diana Flagg[10%],Kimberly McMurray[10%],Joanne
91		Update Risk Assessment - FY11/12 Qtr	0%	14 days	Mon 12/5/11	Thu 12/22/11	52SS	Abe Kani[10%],Diana Flagg[10%],Kimberly McMurray[10%],Joanne
92		Update Risk Assessment - FY11/12 Qtr	0%	22 days	Thu 3/1/12	Fri 3/30/12	71SS	Abe Kani[10%],Diana Flagg[10%],Kimberly McMurray[10%],Joanne
93		**Business Policy and Procedure Documentation**	**19%**	**402 days**	**Mon 10/5/09**	**Tue 5/31/11**		
94		**Document Procedures**	**15%**	**402 days**	**Mon 10/5/09**	**Tue 5/31/11**		
95		Document Statewide Vendor File Procedures	100%	20 days	Mon 10/5/09	Fri 10/30/09	5SS	Debra Evans[50%],Mike Manderfield[30%],PAS #4244,Molly Merry[10%]
96		To-Be Document W9 Procedures	0%	24 days	Tue 1/11/11	Fri 2/11/11	128FS+80 days	Debra Evans[50%],SMA II #1903,Carolyn Howard,Ronnie White,Bil
97		To-Be Document B-Notice Procedures	0%	23 days	Fri 3/4/11	Tue 4/5/11	203FS+80 days	Debra Evans[50%],SMA II #1903,Carolyn Howard,Ronnie White,Bil
98		To-Be Document IRS Remittance Procedures	0%	18 days	Thu 5/5/11	Tue 5/31/11	209	Debra Evans[50%],SMA II #1903,Carolyn Howard,Ronnie White,Mik Manderfield[30%],Molly Merry[10%]
99		To-Be Document 1099 Procedures	0%	24 days	Fri 3/18/11	Wed 4/20/11	193FS+80 days	Debra Evans[50%],SMA II #1903,Carolyn Howard,Ronnie White,Bil
100		To-Be Document Withholding Adjustme Procedures	0%	23 days	Fri 3/4/11	Tue 4/5/11	216	Debra Evans[50%],SMA II #1903,Carolyn Howard,Ronnie White,Mik Manderfield[30%],Molly Merry[10%]
101		**Document Policies**	**21%**	**363 days**	**Mon 10/5/09**	**Tue 4/5/11**		
102		Determine need for any statutory changes - 2010 Session	100%	39 days	Mon 10/5/09	Fri 11/27/09	5SS	Molly Merry[20%],Mike Manderfield[50%],Debra Evans[30%],Christina Smith[20%],Kimberly McMurray[10%]
103		Develop Policy for revolving funds	0%	20 days	Thu 10/28/10	Mon 11/29/10	188	Debra Evans[50%],SMA II #1903
104		Decision on Implementation of 3% Obje Codes	0%	20 days	Tue 12/21/10	Fri 1/28/11	184	Molly Merry[20%],Mike Manderfield[50%],Debra Evans[30%],Christina Smith[20%],Kimberly McMurray[10%]
105		Develop Contract Tracking Policies for Withholding	0%	20 days	Thu 1/13/11	Wed 2/9/11	183FS+63 days	Molly Merry[10%],Mike Manderfield[30%],Debra Evans[50%],SMA II #1903
106		Develop P-Card Policies for Withholding	0%	24 days	Thu 2/10/11	Tue 3/15/11	105	Molly Merry[10%],Mike Manderfield[30%],Debra Evans[50%],SMA II
107		Develop Policy on B-Notice/Backup Withholding	0%	23 days	Fri 3/4/11	Tue 4/5/11	203FS+80 days	Molly Merry[10%],Mike Manderfield[30%],Debra Evans[50%],SMA II #1903,Ronnie White[50%],Carolyn Howard[50%]

ID	Deliverable #	Task Name	% Complete	Duration	Start	Finish	Predecessors	Resource Names
108		Determine need for any statutory changes - 2011 Session	0%	39 days	Mon 5/31/10	Fri 7/30/10	102FS+121 days	Molly Merry[20%],Mike Manderfield[50%],Debra Evans[30%],Christina Smith[20%],Kimberly McMurray[10%]
109		**Training & Change Management**	**0%**	**89 days**	**Thu 10/6/11**	**Tue 2/14/12**		
110		Communication - Vendors	0%	65 days	Thu 10/6/11	Wed 1/11/12	588SS-84 days	Chg Mgmt Lead
111		Communication - State Agencies	0%	65 days	Thu 10/6/11	Wed 1/11/12	588SS-84 days	Chg Mgmt Lead
112		Communication - DFS Management	0%	65 days	Thu 10/6/11	Wed 1/11/12	588SS-84 days	Chg Mgmt Lead
113		**Training / Division of Accounting and Auditing**	**0%**	**45 days**	**Mon 12/12/11**	**Tue 2/14/12**	**588SS-40 days**	**Chg Mgmt Lead**
114		Develop Education Material - Bureau of Accounting	0%	45 days	Mon 12/12/11	Tue 2/14/12		Chg Mgmt Lead,Debra Evans[20%],PAS #1905[30%],PAS #1904[30%],SMA II #1903[30%],Molly Merry[10%],A&A#2
115		**Training / Vendors**	**0%**	**39 days**	**Mon 12/12/11**	**Mon 2/6/12**	**588SS-40 days**	**Chg Mgmt Lead**
116		Develop Webinar Education Material - Vendors	0%	39 days	Mon 12/12/11	Mon 2/6/12		Chg Mgmt Lead,Debra Evans[20%],PAS #1905[30%],PAS #1904[30%],SMA II #1903[30%],Molly Merry[10%],A&A#2
117		**Training / State Agencies**	**0%**	**40 days**	**Mon 12/12/11**	**Tue 2/7/12**	**588SS-40 days**	**Chg Mgmt Lead**
118		Develop Webinar/Class Education Material - Agencies	0%	40 days	Mon 12/12/11	Tue 2/7/12		Chg Mgmt Lead,Debra Evans[20%],PAS #1905[30%],PAS #1904[30%],SMA II #1903[30%],Molly Merry[10%],A&A#2
119		**Phase One Functionality: W-9 Website and Reporting**	**74%**	**298 days**	**Mon 10/5/09**	**Tue 1/4/11**		
120		**Business Process & Requirement Development**	**100%**	**222 days**	**Mon 10/5/09**	**Wed 9/1/10**		
121		**W9 Receipt & Validation**	**100%**	**222 days**	**Mon 10/5/09**	**Wed 9/1/10**		
122		Review W-9 and determine need for add'l business designations	100%	45 days	Mon 10/5/09	Mon 12/7/09	5SS	Carolyn Howard[60%],Debra Evans[10%],Birgit Cromartie[20%],Ronnie White[20%]
123		Define Requirements for automated W9 Form for MFMP	100%	141 days	Mon 10/12/09	Fri 5/7/10	122SS+5 days	Carolyn Howard[30%],Debra Evans[80%],Mike Manderfield[10%],Molly Merry[10%],Nancy Bechard[20%],David
124		Define Requirements for automated W9 Form for Non-MFMP	100%	141 days	Mon 10/12/09	Fri 5/7/10	122SS+5 days	Carolyn Howard[30%],Debra Evans[80%],Mike Manderfield[10%],Molly Merry[10%],Nancy Bechard[20%],David
125		Make final decision on TIN Matching Program	100%	32 days	Mon 11/23/09	Fri 1/15/10	124	Molly Merry[33%],Mike Manderfield[33%],Debra Evans[33%]
126		Finalize W-9 Reqirements	100%	165 days	Mon 11/23/09	Fri 7/30/10	123SS+15 days	Molly Merry[20%],Debra Evans[30%],PAS #4244,Carolyn Howard[5
127		Stakeholder Review of W-9 Requirements	100%	5 days	Wed 8/25/10	Tue 8/31/10	126	Christina Smith[50%],Kimberly McMurray[50%],Abe Kani[50%],Diana Flagg[10%],Project Director
128	1	**Approval of W-9 Requirements**	**100%**	**1 day**	**Wed 9/1/10**	**Wed 9/1/10**	**127**	
129		**Reporting**	**100%**	**100 days**	**Mon 4/5/10**	**Tue 8/31/10**		
130		New Reports	100%	100 days	Mon 4/5/10	Tue 8/31/10		
131		Daily Report of Number of Records Submitted through TIN	100%	25 days	Mon 4/5/10	Fri 5/7/10	124FS-25 days	Molly Merry,Debra Evans
132		Daily Report of Report of Results from TIN Matching Program	100%	25 days	Mon 4/5/10	Fri 5/7/10	124FS-25 days	Molly Merry[10%],Debra Evans[10%]
133		Daily Report of No Match Record	100%	25 days	Mon 4/5/10	Fri 5/7/10	124FS-25 days	Molly Merry[10%],Debra Evans[10%]
134		Generate a vendor letter for mismatched files	100%	25 days	Mon 4/5/10	Fri 5/7/10	124FS-25 days	Molly Merry[10%],Debra Evans[10%]

ID	Deliverable #	Task Name	% Complete	Duration	Start	Finish	Predecessors	Resource Names
135		Daily report of 1099 Payment Transactions with No Form W-9	100%	25 days	Mon 4/5/10	Fri 5/7/10	124FS-25 days	Molly Merry[10%],Debra Evans[10%]
136		Daily Report of Form W-9 in Pending Status	100%	25 days	Mon 4/5/10	Fri 5/7/10	124FS-25 days	Molly Merry[10%],Debra Evans[10%]
137		Monthly Report of TIN Match Fail	100%	25 days	Mon 4/5/10	Fri 5/7/10	124FS-25 days	Molly Merry[10%],Debra Evans[10%]
138		Daily Report of Vendors with IRS Name Changes in MFMP	100%	25 days	Mon 4/5/10	Fri 5/7/10	124FS-25 days	Molly Merry[10%],Debra Evans[10%]
139		Daily Report of TINs that have been rejected by the IRS through	100%	25 days	Mon 4/5/10	Fri 5/7/10	124FS-25 days	Molly Merry[10%],Debra Evans[10%]
140		Finalize Reporting Requirement for Phase 1	100%	70 days	Mon 5/10/10	Tue 8/24/10	139	Molly Merry[10%],Debra Evans[10%]
141		Stakeholder Review of Reporting Requirements for Phase 1	100%	5 days	Wed 8/25/10	Tue 8/31/10	140	Molly Merry[10%],Debra Evans[10%]
142		**Technical Design & Programming - Central Accounting**	**23%**	**136 days**	**Wed 6/2/10**	**Tue 1/4/11**		
143		**W9 Website**	**44%**	**112 days**	**Wed 6/2/10**	**Mon 11/15/10**		
144		Design	50%	83.5 days	Wed 6/2/10	Wed 10/6/10	129	LaQuita Varnado-Extine[40%],JoAnn Fletcher,Phyllis Pearce[10%],
145		Program	50%	30 days	Mon 9/13/10	Fri 10/22/10	128	LaQuita Varnado-Extine[40%],Jerry Smith[40%],David O'Kane[50%
146		Unit Test	0%	16 days	Mon 10/25/10	Mon 11/15/10	145	JoAnn Fletcher,Jerry Smith[10%],David O'Kane[10%],LaQuita Varna
147		**W9 File Modifications**	**14%**	**97 days**	**Wed 8/4/10**	**Tue 1/4/11**		
148		Interface - W9 File , including business indication - Design	0%	10 days	Mon 10/4/10	Fri 10/15/10		Dennis Worrell[40%],Phyllis Pearce[20%],Nancy Bechard[20%],Nancy Hammerstrom[20%],David
149		Interface - W9 File - Program	0%	10 days	Mon 10/18/10	Fri 10/29/10	148	Nancy Hammerstrom[40%],Grace Ma,David O'Kane,Tricia Nettles[
150		Interface - W9 File- Unit Test	0%	10 days	Mon 11/1/10	Fri 11/12/10	149	Nancy Hammerstrom[40%],Grace Ma[40%],Jim Hudson[40%],Jill A
151		TIN Matching - Design	90%	37 days	Wed 8/4/10	Fri 9/24/10		Nancy Hammerstrom[40%],Grace Ma[40%],Jim Hudson[40%],Jill A
152		TIN Matching - Program	40%	15 days	Fri 9/24/10	Thu 10/14/10	151	Nancy Hammerstrom[40%],Grace Ma[40%],Jim Hudson[40%],Jill A
153		TIN Matching - Unit Test	0%	10 days	Fri 10/15/10	Thu 10/28/10	152	Nancy Hammerstrom[40%],Grace Ma[40%],Jim Hudson[40%],Jill A
154		Access Control - W9 file - Design	0%	10 days	Mon 9/27/10	Fri 10/8/10	148SS-5 days	Jim Smith[40%],Phyllis Pearce[20%],Nancy Hammerstrom[10%],N
155		Access Control - W9 file - Program	0%	10 days	Mon 10/11/10	Fri 10/22/10	154	Nancy Hammerstrom[40%],Grace Ma,David O'Kane
156		Access Control - W9 file - Unit Test	0%	5 days	Mon 10/25/10	Fri 10/29/10	155	Nancy Hammerstrom[40%],Grace Ma[40%],Jill Arrazattee,Jim Huds
157		File Maint - W9 file - Design	0%	20 days	Mon 10/4/10	Fri 10/29/10	148SS	Paul Brazier,Phyllis Pearce[20%],Nancy Bechard[20%],David West
158		File Maint - W9 file - Program	0%	25 days	Mon 11/1/10	Wed 12/8/10	157	David Westaway[40%],Susan Farmer,David O'Kane
159		File Maint - W9 file - Unit Test	0%	5 days	Thu 12/9/10	Wed 12/15/10	158	Roche Akkarappuram[40%],David Westaway[40%],Susan Farmer[
160		Printing - W9 file - Design	0%	15 days	Mon 9/27/10	Fri 10/15/10	154SS	Nancy Hammerstrom[40%],Grace Ma[40%],David O'Kane[40%]
161		Printing - W9 file - Program	0%	15 days	Mon 10/18/10	Fri 11/5/10	160	Nancy Hammerstrom[40%],Grace Ma[40%],David O'Kane[40%]
162		Printing - W9 file - Unit Test	0%	5 days	Mon 11/8/10	Fri 11/12/10	161	Nancy Hammerstrom[40%],Grace Ma[40%],David O'Kane[40%]
163		Reporting - W9 file - Design	0%	15 days	Mon 9/27/10	Fri 10/15/10	157SS-5 days	Jim Smith[40%],Phyllis Pearce[20%],Nancy Bechard[20%],Jerry Sn
164		Reporting - W9 file - Program	0%	15 days	Mon 10/18/10	Fri 11/5/10	163	Jerry Smith[80%],Mary Reynolds,Susan Farmer
165		Reporting - W9 file - Unit Test	0%	10 days	Mon 11/8/10	Fri 11/19/10	164	Roche Akkarappuram[40%],Jim Smith[40%],Mary Reynolds[40%],
166		1099 Info File to W9 File Conversion Design	0%	15 days	Mon 11/1/10	Fri 11/19/10	157	Jim Smith[40%],Phyllis Pearce[20%],Nancy Bechard[20%],Jerry Smith[20%],Jill Arrazattee,Jim Hudson[40%]

ID	Deliverable #	Task Name	% Complete	Duration	Start	Finish	Predecessors	Resource Names
167		1099 Info File to W9 File Conversion Program	0%	10 days	Mon 11/22/10	Wed 12/8/10	166	Jerry Smith[80%],Mary Reynolds,Susan Farmer
168		1099 Info File to W9 File Conversion Unit Test	0%	10 days	Thu 12/9/10	Tue 1/4/11	167	Roche Akkarappuram[40%],Jim Smith[40%],Mary Reynolds[40%],Jerry Smith[40%],Susan Farmer[40%],Paul
169		Stakeholder Review Design Documents and Testings Results	0%	5 days	Mon 11/22/10	Wed 12/1/10	165	Christina Smith[50%],Kimberly McMurray[50%],Abe Kani[50%],Diana Flagg[10%]
170	**3**	**Approve W9 Design and Testing Results**	**0%**	**1 day**	**Thu 12/2/10**	**Thu 12/2/10**	**169**	
171		**System/UAT Testing**	**0%**	**11 days**	**Fri 12/3/10**	**Fri 12/17/10**		
172		W9 Processing	0%	10 days	Fri 12/3/10	Thu 12/16/10	170	Molly Merry[10%],Debra Evans[20%],PAS #4244,Carolyn Howard[2
173		Sign-off and Results	0%	1 day	Fri 12/17/10	Fri 12/17/10	172	Molly Merry,Debra Evans,Phyllis Pearce,Joanne Krieberg-Wolin,Ta
174		**Phase One Go Live**	**0%**	**0 days**	**Fri 12/17/10**	**Fri 12/17/10**	**173**	
175		**Phase Two Functionality: 3% Withholding and Reporting**	**7%**	**572 days**	**Mon 10/5/09**	**Wed 2/8/12**		
176		**Business Process & Requirement Development**	**33%**	**345 days**	**Mon 11/30/09**	**Wed 5/4/11**		
177		**3% Withholding Payment Selection Critieria**	**59%**	**247 days**	**Mon 12/14/09**	**Mon 12/20/10**		
178		P-Card Payments	90%	189 days	Mon 12/14/09	Fri 9/24/10	5	Debra Evans[10%],PAS #4244,Tricia Nettles[20%],Jim Baggett[20%
179		Emergency Payments	80%	5 days	Mon 8/2/10	Fri 8/6/10		Debra Evans[10%],PAS #4244,Molly Merry[10%],Mike Manderfield[1
180		Pass-through Payments	19%	87.5 days	Fri 5/14/10	Fri 9/24/10	5	Debra Evans[10%],PAS #4244,Phyllis Pearce[10%],Nancy Bechard
181		Indian Tribal Payments	90%	87.5 days	Fri 5/14/10	Fri 9/24/10	5	Debra Evans[10%],PAS #4244,Phyllis Pearce[10%],Nancy Bechard
182		Payment Administrators	90%	87.5 days	Fri 5/14/10	Fri 9/24/10	5	Debra Evans[10%],PAS #4244
183		Contract Payments	13%	20 days	Wed 9/1/10	Wed 9/29/10	182FS-15 days	Debra Evans[10%],PAS #4244,Molly Merry[10%],Mike Manderfield[1
184		Review object codes and classify for 3% applicability	0%	55 days	Thu 9/30/10	Mon 12/20/10		Debra Evans[10%],PAS #4244
185		Survey Agencies/Data research on "need-based"	0%	20 days	Thu 9/30/10	Wed 10/27/10	183	PAS #4244,Debra Evans[10%],LaQuita Varnado-Extine[20%],Jeffre Garber[20%],Nancy Bechard[10%],Phyllis Pearce[10%],Tricia
186		Determine payment exempt fror 3% for "need-based"	0%	20 days	Thu 10/28/10	Mon 11/29/10	185	Debra Evans[10%],PAS #4244,Phyllis Pearce[10%],Nancy Bechard[10%],David Westaway[10%],Dennis Worrell[10%],Tricia
187		Update Object Code Table	0%	15 days	Tue 11/30/10	Mon 12/20/10	186	Debra Evans[10%],PAS #4244[10%],Phyllis Pearce[10%],Nancy Be
188		Revolving Funds	0%	20 days	Thu 9/30/10	Wed 10/27/10	183	Debra Evans[10%],PAS #4244,Tricia Nettles[20%],Jim Baggett[20%
189		Document draft selection criteria requirements	0%	20 days	Thu 10/28/10	Mon 11/29/10	188	Debra Evans[10%],PAS #4244,SMA II #1903[10%]
190		Finalize 3% Payment Selection Criteria Requirements	0%	15 days	Wed 11/17/10	Fri 12/10/10	189FS-6 days	PAS #4244,Debra Evans[50%],Molly Merry[20%],Mike Manderfield[50%],Phyllis Pearce[10%],Nancy Bechard[10%],David
191		Stakeholder Review of 3% Payment Selection Criteria Requirements	0%	5 days	Mon 12/13/10	Fri 12/17/10	190	Christina Smith[50%],Kimberly McMurray[50%],Abe Kani[50%],Diana Flagg[10%],Project Director
192	**4**	**Approval of 3% Payment Selectin Criteria Requirements**	**0%**	**1 day**	**Mon 12/20/10**	**Mon 12/20/10**	**191**	
193		**1099 Information File**	**13%**	**231 days**	**Mon 11/30/09**	**Tue 11/9/10**		
194		Assess current design	100%	8 days	Mon 11/30/09	Wed 12/9/09	124SS+34 days	Debra Evans[50%],Carolyn Howard[50%],Birgit Cromartie[20%],Ro

ID	Deliverable #	Task Name	% Complete	Duration	Start	Finish	Predecessors	Resource Names
195		Research other states	0%	10 days	Fri 4/16/10	Thu 4/29/10	5	PAS #4244,SMA II #1903,Debra Evans[20%]
196		Workgroup Session #1	100%	1 day	Wed 12/9/09	Thu 12/10/09	195	Debra Evans[50%],Carolyn Howard[50%],Birgit Cromartie[20%],Rc
197		Workgroup Session #2	100%	5 days	Thu 2/4/10	Wed 2/10/10	196FS+32 days	Debra Evans[50%],Carolyn Howard[50%],Birgit Cromartie[20%],Rc
198		Workgroup Session #3	0%	45 days	Mon 8/2/10	Mon 10/4/10	197FS+36 days	Debra Evans[50%],Carolyn Howard[50%],Birgit Cromartie[20%],Rc
199		Document 1099 reporting processe	0%	20 days	Tue 9/21/10	Mon 10/18/10	198FS-10 days	Debra Evans[50%],Carolyn Howard[20%],Ronnie White[20%],SMA
200		Finalize 1099 Information File Requirements	0%	10 days	Tue 10/19/10	Mon 11/1/10	199	Debra Evans[50%],SMA II #1903,Molly Merry[30%],Carolyn Howard[20%],Nancy Bechard[20%],Phyllis Pearce[20%],David
201		Stakeholder Review of 1099 Information File Requirements	0%	5 days	Tue 11/2/10	Mon 11/8/10	200	Christina Smith[50%],Kimberly McMurray[50%],Abe Kani[50%],Diana Flagg[10%]
202	**2**	**Approve 1099 Information File Requirements**	**0%**	**1 day**	**Tue 11/9/10**	**Tue 11/9/10**	**201**	**Christina Smith,Abe Kani[50%],Diana Flagg[10%]**
203		**B-Notice / Backup Withholding**	**0%**	**61 days**	**Mon 8/2/10**	**Tue 10/26/10**		
204		Develop B- Notice Tracking Requirements	0%	35 days	Mon 8/2/10	Mon 9/20/10	198SS	SMA II #1903,Debra Evans[20%],Carolyn Howard[30%],Tammy Ellis[10%],Joanne Krieberg-Wolin[10%],Nancy Bechard[20%],Nanc
205		Develop Backup Withholding Requirements	0%	35 days	Mon 8/2/10	Mon 9/20/10	204SS	SMA II #1903,Debra Evans[20%],Carolyn Howard[30%],Tammy Ellis[10%],Joanne Krieberg-Wolin[10%],Nancy Bechard[20%],Nanc
206		Finalize B-Notice /Backup Withholding Requirements	0%	19 days	Tue 9/21/10	Fri 10/15/10	205	SMA II #1903,Debra Evans[20%],Carolyn Howard[30%],Tammy Ellis[10%],Joanne Krieberg-Wolin[10%],Nancy Bechard[20%],Nanc
207		Stakeholder Review of B-Notice/Backup Withholding	0%	5 days	Mon 10/18/10	Fri 10/22/10	206	Christina Smith[50%],Kimberly McMurray[50%],Abe Kani[50%],Diana Flagg[10%],Project Director[50%]
208	**6**	**Approve B-Notice/Backup Withholding Requirements**	**0%**	**2 days**	**Mon 10/25/10**	**Tue 10/26/10**	**207**	
209		**Fund Remittance to IRS and Vendor**	**0%**	**45 days**	**Thu 3/3/11**	**Wed 5/4/11**		
210		Determine need for new Trust Fund for WH payments	0%	5 days	Thu 3/3/11	Wed 3/9/11	221	Debra Evans[10%],PAS #4244[10%],SMA II #1903[40%],Molly Merry[10%],Mike Manderfield[30%]
211		Document Flow of funds including accounting transactions	0%	24 days	Thu 3/3/11	Tue 4/5/11	210SS	Debra Evans[10%],PAS #4244[10%],SMA II #1903[40%],Molly Merry[10%],Tammy Ellis[10%],Joanne Krieberg-Wolin[10%],Phyllis
212		Coordinate with Treasury on ACH transactions	0%	24 days	Thu 3/3/11	Tue 4/5/11	210SS	SMA II #1903[50%],PAS #4244[50%],Phyllis Pearce[10%],Nancy Bechard[10%],David Westaway[10%],Dennis Worrell[10%]
213		Finalize IRS and Vendor Remittance Requirements	0%	15 days	Wed 4/6/11	Tue 4/26/11	212	Debra Evans[10%],PAS #4244[10%],SMA II #1903[40%],Molly Merry[10%],Tammy Ellis[10%],Joanne Krieberg-Wolin[10%],Phyllis
214		Stakeholder Review of IRS Remittance Requirements	0%	5 days	Wed 4/27/11	Tue 5/3/11	213	Christina Smith[50%],Kimberly McMurray[50%],Abe Kani[50%],Diana Flagg[10%]
215	**8**	**Approve IRS Remittance Requirements**	**0%**	**1 day**	**Wed 5/4/11**	**Wed 5/4/11**	**214**	
216		**Withholding Adjustments**	**0%**	**41 days**	**Thu 1/6/11**	**Thu 3/3/11**		
217		Warrant Cancellation	0%	10 days	Thu 1/6/11	Wed 1/19/11	204SS+100 days	Debra Evans[10%],PAS #4244[50%],SMA II #1903[50%],Molly Merr
218		EFT Cancellation and Returns	0%	10 days	Thu 1/20/11	Wed 2/2/11	217	Debra Evans[10%],PAS #4244[50%],SMA II #1903[50%],Molly Merr
219		Warrant Escheatment	0%	10 days	Thu 2/3/11	Wed 2/16/11	218	Debra Evans[10%],PAS #4244[50%],SMA II #1903[50%],Molly Merr
220		Finalize Withholding Adjustment Requirements	0%	5 days	Thu 2/17/11	Wed 2/23/11	219	Debra Evans[10%],PAS #4244[50%],SMA II #1903[50%],Molly Merry[10%],Mike Manderfield[30%],Tammy Ellis[10%],Joanne
221		Stakeholder Review of Withholding Adjustment Requirements	0%	5 days	Thu 2/24/11	Wed 3/2/11	220	Christina Smith[50%],Kimberly McMurray[50%],Abe Kani[50%],Diana Flagg[10%]

ID	Deliverable #	Task Name	% Complete	Duration	Start	Finish	Predecessors	Resource Names
222	9	**Approve Withholding Adjustment Requirements**	**0%**	**1 day**	**Thu 3/3/11**	**Thu 3/3/11**	**221**	
223		**Reporting**	0%	76 days	Thu 1/6/11	Thu 4/21/11		
224		Existing Reports	0%	40 days	Thu 1/6/11	Wed 3/2/11		Debra Evans[10%],PAS #4244[50%],SMA II #1903[50%],Molly Merry[10%],Mike Manderfield[30%],David Westaway[20%],DIS#6
225		Update remittance advice for 3% withholding	0%	20 days	Thu 1/6/11	Wed 2/2/11	202FS+29 days	Debra Evans[10%],PAS #4244[50%],SMA II #1903[50%],Mike Manderfield[30%],LaQuita Varnado-Extine[10%],JoAnn
226		Update vendor history on web fo 3% withholding	0%	20 days	Thu 1/6/11	Wed 2/2/11	225SS	Debra Evans[10%],PAS #4244[50%],SMA II #1903[50%],Molly Merry[10%],Mike Manderfield[30%],A&A#1 PAS[50%],A&A#2
227		Update Sunshine Spending website	0%	20 days	Thu 1/6/11	Wed 2/2/11	225SS	Debra Evans[10%],PAS #4244[50%],SMA II #1903[50%],Molly Merry[10%],Mike Manderfield[30%],LaQuita
228		Update existing A&A reports (TBD)	0%	20 days	Thu 2/3/11	Wed 3/2/11	227	Debra Evans[10%],PAS #4244[50%],SMA II #1903[50%],Molly Merry[10%],Mike Manderfield[30%],LaQuita
229		Update existing agency reports (TBD)	0%	20 days	Thu 2/3/11	Wed 3/2/11	227	Debra Evans[10%],PAS #4244[50%],SMA II #1903[50%],Molly Merry[10%],Mike Manderfield[30%],LaQuita
230		New Reports	0%	20 days	Wed 3/2/11	Wed 3/30/11	229	
231		Quarterly IRS filing (Form 945)	0%	20 days	Wed 3/2/11	Wed 3/30/11	229	Debra Evans[10%],PAS #4244[50%],SMA II #1903[50%],Molly Merr
232		Determine reports/cds needed f historical 3% transactions	0%	20 days	Thu 3/3/11	Wed 3/30/11	231SS	Debra Evans[10%],PAS #4244[50%],SMA II #1903[50%],Molly Merry[10%],Mike Manderfield[30%],A&A#2 PAS[50%],A&A#1
233		New A&A reports (TBD)	0%	20 days	Thu 3/3/11	Wed 3/30/11	231SS	Debra Evans[10%],PAS #4244[50%],SMA II #1903[50%],Molly Merr
234		New agency reports (TBD)	0%	20 days	Thu 3/3/11	Wed 3/30/11	231SS	Debra Evans[10%],PAS #4244[50%],SMA II #1903[50%],Molly Merr
235		Finalize Reporting Requirements	0%	10 days	Thu 3/31/11	Wed 4/13/11	234	Debra Evans[10%],PAS #4244[50%],SMA II #1903[50%],Molly Merr
236		Stakeholder Review of Reporting Requirements	0%	5 days	Thu 4/14/11	Wed 4/20/11	235	Christina Smith[50%],Kimberly McMurray[50%],Abe Kani[50%],Diana Flagg[10%]
237	31	**Approve - Reporting Requirements**	**0%**	**1 day**	**Thu 4/21/11**	**Thu 4/21/11**	**236**	
238		**Technical Design & Programming - Central Accounting**	0%	365 days	Wed 8/4/10	Tue 1/31/12		
239		**1099 Modifications**	0%	119 days	Mon 12/13/10	Thu 6/9/11		
240		Interface - 1099 File - Design	0%	10 days	Thu 4/21/11	Wed 5/4/11	169FS+91 days	Paul Brazier,Phyllis Pearce[20%],Nancy Bechard[20%],Nancy Ham
241		Interface - 1099 File - Program	0%	9 days	Thu 5/5/11	Tue 5/17/11	240	Nancy Hammerstrom[40%],Grace Ma,David O'Kane
242		Interface - 1099 File - Unit Test	0%	10 days	Wed 5/18/11	Wed 6/1/11	241	Jim Hudson[40%],Nancy Hammerstrom[40%],Grace Ma[40%],Dav
243		Process Modification - 1099 File - Design	0%	50 days	Mon 12/13/10	Thu 3/3/11	240SS-84 days	David Westaway[10%],Jill Arrazattee,Phyllis Pearce[20%],Nancy Bechard[20%],Nancy Hammerstrom[10%],Paul Brazier,Jim
244		Process Modification - 1099 File - Program	0%	44 days	Thu 1/27/11	Tue 3/29/11	243FS-26 days	David Westaway[40%],David O'Kane,Susan Farmer,Nancy Hammerstrom[40%]
245		Process Modification - 1099 File - Unit Test	0%	25 days	Thu 3/10/11	Wed 4/13/11	244FS-14 days	Roche Akkarappuram[40%],Susan Farmer[40%],David O'Kane[40%],Jill Arrazattee,David Westaway[40%],Nancy
246		File Maint - 1099 File - Design	0%	50 days	Tue 1/18/11	Mon 3/28/11	240SS-84 days	Jim Smith[40%],Phyllis Pearce[20%],Nancy Bechard[20%],Jerry Sn
247		File Maint - 1099 File - Program	0%	44 days	Mon 2/21/11	Thu 4/21/11	243FS-26 days	Jerry Smith[40%],Mary Reynolds
248		File Maint - 1099 File - Unit Test	0%	25 days	Mon 4/4/11	Fri 5/6/11	244FS-14 days	Paul Brazier,Mary Reynolds[40%],Jerry Smith[40%],Jim Hudson[40
249		Stakeholder Review Design Documents and Testings Results	0%	5 days	Thu 6/2/11	Wed 6/8/11	242	Christina Smith[50%],Kimberly McMurray[50%],Abe Kani[50%],Diana Flagg[10%]

ID	Deliverable #	Task Name	% Complete	Duration	Start	Finish	Predecessors	Resource Names
250	7	**Approve 1099 Design and Testing Results**	**0%**	**1 day**	**Thu 6/9/11**	**Thu 6/9/11**	**249**	
251		**3% Withholding Payment Selection Critieria**	**0%**	**104 days**	**Thu 9/30/10**	**Thu 3/10/11**		
252		Expand Transactions file - include fields needed for voucher process -	0%	33 days	Mon 11/29/10	Tue 1/25/11	191FS-15 days	Dennis Worrell[40%],Jill Arrazattee,Phyllis Pearce[20%],Nancy Bechard[20%],Nancy Hammerstrom[10%],Jerry Smith[10%],Jim
253		Expand Transactions file - Program	0%	20 days	Thu 1/20/11	Wed 2/16/11	252FS-4 days	Nancy Hammerstrom[40%],Susan Farmer,Jerry Smith,David O'Kar
254		Expand Transactions file - Unit Test	0%	20 days	Thu 2/3/11	Wed 3/2/11	253FS-10 days	Jim Hudson[40%],Paul Brazier,Roche Akkarappuram[40%],Nancy
255		Access Control - addition of new functions - Design	0%	20 days	Thu 9/30/10	Wed 10/27/10	252SS-39 days	Jim Hudson[40%],Nancy Bechard[20%],Phyllis Pearce[20%],Nancy Hammerstrom[10%],Dennis Worrell[40%],Jill Arrazattee,Jim
256		Access Control - Program	0%	10 days	Thu 10/28/10	Wed 11/10/10	255	Nancy Hammerstrom[40%],David O'Kane,Grace Ma
257		Access Control - Unit test	0%	10 days	Thu 11/11/10	Mon 11/29/10	256	Roche Akkarappuram[40%],Nancy Hammerstrom[40%],David O'Ka
258		Code Table - Design	0%	20 days	Thu 9/30/10	Wed 10/27/10	252SS-39 days	Paul Brazier,Nancy Bechard[20%],Phyllis Pearce[20%],Jerry Smith
259		Code Table - Program	0%	10 days	Thu 10/28/10	Wed 11/10/10	258	Grace Ma,Jerry Smith,Susan Farmer
260		Code Table - Unit Test	0%	10 days	Thu 11/11/10	Mon 11/29/10	259	Jill Arrazattee,Dennis Worrell[40%],Grace Ma[40%],Jerry Smith[40%
261		Coordinate Changes w/MFMP	0%	34 days	Mon 11/29/10	Wed 1/26/11	252SS	Nancy Bechard[10%],Phyllis Pearce[10%],Tricia Nettles[10%],Jim I
262		Stakeholder Review Design Documents and Testing Results	0%	5 days	Thu 3/3/11	Wed 3/9/11	254	Christina Smith[50%],Kimberly McMurray[50%],Abe Kani[50%],Diana Flagg[10%]
263	5	**Approve - 3% Payment Selection Design Doc and Testing Results**	**0%**	**1 day**	**Thu 3/10/11**	**Thu 3/10/11**	**262**	
264		**3% Withholding Calculation**	**0%**	**105 days**	**Mon 12/20/10**	**Thu 5/26/11**		
265		Creation of 3% withholding transactions - Design	0%	20 days	Mon 12/20/10	Thu 1/27/11	192FS-1 day	Jim Hudson[40%],JoAnn Fletcher,Nancy Bechard[20%],David Westaway[10%],Phyllis Pearce[20%],DIS#2 Sr SAMAS Analyst,Jill
266		Creation of 3% withholding transactions - Program	0%	20 days	Fri 1/28/11	Thu 2/24/11	265	David Westaway[40%],DIS#6 Sys Prj Consultant,DIS#7 Sys Prj Analyst,Jerry Smith
267		Creation of 3% withholding transactions - Unit Test	0%	15 days	Fri 2/25/11	Thu 3/17/11	266	Jim Hudson[40%],JoAnn Fletcher,David Westaway[20%],DIS#6 Sys Prj Consultant,DIS#7 Sys Prj Analyst,DIS#2 Sr SAMAS
268		Posting of 3% withholding to specia tax fund - Design	0%	30 days	Thu 2/10/11	Wed 3/23/11	265FS+9 days	Paul Brazier[40%],DIS#3 SAMAS Analyst,Nancy Bechard[20%],Phyllis Pearce[20%],Jerry Smith[10%],Dis#4 SAMAS
269		Posting of 3% withholding to specia tax fund - Program	0%	20 days	Thu 3/24/11	Wed 4/20/11	268	Jerry Smith[40%],Mary Reynolds,Susan Farmer,DIS#7 Sys Prj Analyst,DIS#8 Computer Prg II
270		Posting of 3% withholding to specia tax fund - Unit Test	0%	20 days	Thu 4/21/11	Wed 5/18/11	269	Jerry Smith[20%],Jerry Smith[20%],Mary Reynolds[40%],Susan Farmer[40%],Jill Arrazattee[40%],Jim Smith[40%],Dis#4 SAMAS
271		Stakeholder Review Design Documents and Testing Results	0%	5 days	Thu 5/19/11	Wed 5/25/11	270	Christina Smith[50%],Kimberly McMurray[50%],Abe Kani[50%],Diana Flagg[10%]
272	23	**Approve - 3% Calculation Design Docs and Testing Results**	**0%**	**1 day**	**Thu 5/26/11**	**Thu 5/26/11**	**271**	
273		**Backup Withholding Calculation**	**0%**	**105 days**	**Wed 12/8/10**	**Mon 5/16/11**		
274		Creation of Backup withholding transactions - Design	0%	20 days	Wed 12/8/10	Mon 1/17/11	208FS+27 days	DIS#2 Sr SAMAS Analyst,Jim Smith[40%],Nancy Bechard[20%],Nancy Hammerstrom[10%],Phyllis
275		Creation of Backup withholding transactions - Program	0%	20 days	Tue 1/18/11	Mon 2/14/11	274	Nancy Hammerstrom[40%],DIS#8 Computer Prg II,DIS#9 Compute Prg II

ID	Deliverable #	Task Name	% Complete	Duration	Start	Finish	Predecessors	Resource Names
276		Creation of Backup withholding transactions - Unit Test	0%	15 days	Tue 2/15/11	Mon 3/7/11	275	Paul Brazier[40%],DIS#3 SAMAS Analyst,Nancy Hammerstrom[40%],DIS#8 Computer Prg II,DIS#9 Computer Prg
277		Posting of Backup withholding to special tax fund - Design	0%	30 days	Mon 1/31/11	Fri 3/11/11	274FS+9 days	Dennis Worrell[40%],Dis#4 SAMAS Analyst,Phyllis Pearce[20%],Nancy Bechard[20%],David Westaway[10%],JoAnn
278		Posting of Backup withholding to special tax fund - Program	0%	20 days	Mon 3/14/11	Fri 4/8/11	277	David Westaway[40%],Grace Ma[40%],DIS#9 Computer Prg II,DIS# Sys Prj Consultant
279		Posting of Backup withholding to special tax fund - Unit Test	0%	20 days	Mon 4/11/11	Fri 5/6/11	278	JoAnn Fletcher,Jill Arrazattee[40%],David Westaway[40%],Grace Ma[40%],DIS#9 Computer Prg II,DIS#3 SAMAS Analyst,DIS#2 Sr
280		Stakeholder Review Design Documents and Testing Results	0%	5 days	Mon 5/9/11	Fri 5/13/11	279	Christina Smith[50%],Kimberly McMurray[50%],Abe Kani[50%],Diana Flagg[10%]
281	**19**	**Approve - Backup Withholding Calculation Design Docs and**	**0%**	**1 day**	**Mon 5/16/11**	**Mon 5/16/11**	**280**	
282		**3% Withholding Vendor Remittance**	**0%**	**162 days**	**Fri 4/22/11**	**Mon 12/19/11**		
283		Warrant processing - Design	0%	30 days	Fri 4/22/11	Fri 6/3/11	237	Jim Smith[40%],JoAnn Fletcher,Phyllis Pearce[20%],Nancy Bechar
284		Warrant processing - Program	0%	20 days	Mon 6/6/11	Fri 7/8/11	283	David Westaway[40%],Grace Ma[40%],David O'Kane[40%],DIS#9 C
285		Warrant processing - Unit Test	0%	15 days	Fri 7/8/11	Thu 7/28/11	284FS-1 day	Jim Hudson[40%],DIS#2 Sr SAMAS Analyst,David Westaway[40%],
286		Warrant print process - Design	0%	20 days	Mon 6/13/11	Fri 7/15/11	283FS+5 days	Jim Smith[40%],DIS#3 SAMAS Analyst,Nancy Bechard[20%],Phyllis
287		Warrant print process - Program	0%	20 days	Fri 7/15/11	Thu 8/11/11	286FS-1 day	David Westaway[40%],David O'Kane[40%],DIS#6 Sys Prj Consulta
288		Warrant print process - Unit Test	0%	20 days	Fri 8/12/11	Fri 9/9/11	287	Roche Akkarappuram[40%],Dis#4 SAMAS Analyst[40%],David Wes
289		Warrant reconciliation file changes ·	0%	20 days	Fri 4/22/11	Thu 5/19/11	283SS	Roche Akkarappuram[40%],DIS#3 SAMAS Analyst,Phyllis Pearce[2
290		Warrant reconciliation file changes ·	0%	20 days	Fri 5/20/11	Fri 6/17/11	289	Jerry Smith[40%],Susan Farmer[40%],Mary Reynolds[40%],DIS#8
291		Warrant reconciliation file changes ·	0%	15 days	Mon 6/20/11	Fri 7/15/11	290	Dis#4 SAMAS Analyst,Jill Arrazattee[40%],Jerry Smith[40%],Susan
292		**Warrant cancellations**	**0%**	**64 days**	**Mon 8/15/11**	**Fri 11/11/11**		
293		Current Year - Design	0%	30 days	Mon 8/15/11	Mon 9/26/11	17FS+141 days	Jim Hudson[40%],JoAnn Fletcher,Phyllis Pearce[20%],Nancy Bech
294		Current Year - Program	0%	20 days	Mon 9/19/11	Fri 10/14/11	293FS-6 days	Nancy Hammerstrom[40%],DIS#7 Sys Prj Analyst,DIS#8 Compute
295		Current Year - Unit Test	0%	20 days	Mon 10/17/11	Fri 11/11/11	294	Roche Akkarappuram[40%],DIS#2 Sr SAMAS Analyst,Nancy Hamm
296		Prior Year - Design	0%	30 days	Mon 8/15/11	Mon 9/26/11	293SS	Jim Hudson[40%],Phyllis Pearce[20%],DIS#3 SAMAS Analyst,Nanc
297		Prior Year - Program	0%	20 days	Mon 9/19/11	Fri 10/14/11	296FS-6 days	Jerry Smith[40%],Susan Farmer[40%],DIS#9 Computer Prg II,DIS#
298		Prior Year - Unit Test	0%	20 days	Mon 10/17/11	Fri 11/11/11	297	DIS#2 Sr SAMAS Analyst,Jerry Smith[4%],Susan Farmer[40%],DIS#
299		EFT processing - returns & reversal - Design	0%	24 days	Tue 9/6/11	Fri 10/7/11	293FS-15 days	Dennis Worrell[40%],JoAnn Fletcher,Phyllis Pearce[20%],Nancy Bechard[20%],David Westaway[10%],DIS#2 Sr SAMAS
300		EFT processing - returns & reversal - Program	0%	20 days	Mon 10/10/11	Fri 11/4/11	299	David Westaway[40%],Grace Ma[40%],DIS#6 Sys Prj Consultant,DIS#7 Sys Prj Analyst,DIS#8 Computer Prg II
301		EFT processing - returns & reversal - Unit Test	0%	22 days	Mon 11/7/11	Fri 12/9/11	300	Paul Brazier[40%],Dis#4 SAMAS Analyst,David Westaway[40%],Grace Ma[40%],DIS#6 Sys Prj Consultant,DIS#7
302		Stakeholder Review Design Documents and Testing Results	0%	5 days	Mon 12/12/11	Fri 12/16/11	301	Christina Smith[50%],Kimberly McMurray[50%],Abe Kani[50%],Diana Flagg[10%]
303	**27**	**Approve - 3% Vendor Remittance Design Doc and**	**0%**	**1 day**	**Mon 12/19/11**	**Mon 12/19/11**	**302**	
304		**Withholding Remittance to IRS**	**0%**	**60 days**	**Mon 5/16/11**	**Mon 8/15/11**		
305		ACH Weekly Transmittal - Design	0%	20 days	Mon 5/16/11	Mon 6/13/11	215FS+7 days	Dennis Worrell[40%],JoAnn Fletcher,Phyllis Pearce[20%],Nancy Be

ID	Deliverable #	Task Name	% Complete	Duration	Start	Finish	Predecessors	Resource Names
306		ACH Weekly Transmittal - Program	0%	20 days	Mon 6/13/11	Fri 7/15/11	305FS-1 day	David Westaway[29%],Mary Reynolds[29%],DIS#6 Sys Prj Consult
307		ACH Weekly Transmittal - Unit Test	0%	15 days	Mon 7/18/11	Fri 8/5/11	306	David Westaway[40%],Mary Reynolds[40%],DIS#6 Sys Prj Consult
308		Stakeholder Review Design Documents and Testing Results	0%	5 days	Mon 8/8/11	Fri 8/12/11	307	Christina Smith[50%],Kimberly McMurray[50%],Abe Kani[50%],Diana Flagg[10%]
309	**38**	**Approve - Withholding Remittance to IRS Design Docs**	**0%**	**1 day**	**Mon 8/15/11**	**Mon 8/15/11**	**308**	
310		A&A Support to DIS during Design & Coding - Central Reporting	0%	365 days	Wed 8/4/10	Tue 1/31/12	147SS	Mike Manderfield[10%],Debra Evans[10%],PAS #4244[10%],PAS #1905[10%],SMA II #1903[10%],PAS #1904[10%]
311		**Technical Design & Programming - Central Reporting**	**0%**	**566 days**	**Mon 10/5/09**	**Tue 1/31/12**		
312		**FLAIR Vendor History File**	**0%**	**86 days**	**Thu 3/17/11**	**Fri 7/22/11**		
313		FLAIR Vendor History File Modification - Design	0%	40 days	Thu 3/17/11	Wed 5/11/11	263FS+4 days	Paul Brazier[40%],Phyllis Pearce[20%],Nancy Bechard[20%],Nancy Hammerstrom[10%],Jill Arrazattee[40%],Jerry Smith[5%],JoAnn
314		FLAIR Vendor History File Modification - Program	0%	40 days	Thu 4/14/11	Thu 6/9/11	313FS-20 days	Nancy Hammerstrom[40%],Mary Reynolds[40%],DIS#8 Computer Prg II,Jerry Smith[40%],DIS#9 Computer Prg II
315		FLAIR Vendor History File Modification - Unit Test	0%	40 days	Thu 5/12/11	Thu 7/14/11	314FS-20 days	Roche Akkarappuram[40%],DIS#2 Sr SAMAS Analyst,Nancy Hammerstrom[40%],Mary Reynolds[40%],DIS#8 Computer Prg
316		Stakeholder Review Design Documents and Testing Results	0%	5 days	Fri 7/15/11	Thu 7/21/11	315	Christina Smith[50%],Kimberly McMurray[50%],Abe Kani[50%],Diana Flagg[10%]
317	**32**	**Approve - Vendor History File Docs and Testing Results**	**0%**	**1 day**	**Fri 7/22/11**	**Fri 7/22/11**	**316**	**Christina Smith[73%],Abe Kani[73%],Diana Flagg[15%]**
318		**Vendor History Website**	**0%**	**86 days**	**Thu 2/3/11**	**Fri 6/3/11**		
319		Vendor Payments on Vendor History Website - Design	0%	40 days	Thu 2/3/11	Wed 3/30/11	226	Jim Hudson[40%],Phyllis Pearce[20%],Nancy Bechard[20%],Jerry Smith[10%],Dis#4 SAMAS Analyst,DIS#2 Sr SAMAS Analyst,Jill
320		Vendor Payments on Vendor History Website - Program	0%	40 days	Thu 3/3/11	Wed 4/27/11	319FS-20 days	Jerry Smith[40%],David O'Kane[40%],Grace Ma[40%],DIS#8 Computer Prg II,DIS#9 Computer Prg II
321		Vendor Payments on Vendor History Website - Unit Test	0%	40 days	Thu 3/31/11	Wed 5/25/11	320FS-20 days	DIS#3 SAMAS Analyst,Jill Arrazattee[40%],David O'Kane[40%],Grace Ma[40%],Jerry Smith[40%],Paul
322		Stakeholder Review Design Doc and Testing Results	0%	5 days	Thu 5/26/11	Thu 6/2/11	321	Christina Smith[50%],Kimberly McMurray[50%],Abe Kani[50%],Diana Flagg[10%]
323	**34**	**Approve - Vendor History Website Doc and Testing Results**	**0%**	**1 day**	**Fri 6/3/11**	**Fri 6/3/11**	**322**	
324		**Sunshine Spending Website**	**0%**	**100 days**	**Thu 3/3/11**	**Thu 7/28/11**		
325		Vendor Payments on Sunshine Spending Website - Design	0%	40 days	Thu 3/3/11	Wed 4/27/11	228	Dennis Worrell[40%],JoAnn Fletcher,Phyllis Pearce[20%],Nancy Bechard[20%],Jerry Smith[10%],DIS#2 Sr SAMAS Analyst,Paul
326		Vendor Payments on Sunshine Spending Website - Program	0%	39 days	Thu 3/31/11	Tue 5/24/11	325FS-20 days	Jerry Smith[40%],David O'Kane[40%],Grace Ma[40%],DIS#8 Computer Prg II,DIS#9 Computer Prg II
327		Vendor Payments on Sunshine Spending Website - Unit Test	0%	35 days	Wed 5/25/11	Wed 7/20/11	326	Roche Akkarappuram[40%],Dis#4 SAMAS Analyst,Jerry Smith[40%],David O'Kane[40%],Grace Ma[40%],DIS#8 Computer
328		Stakeholder Review Design Doc and Testing Results	0%	5 days	Thu 7/21/11	Wed 7/27/11	327	Christina Smith[50%],Kimberly McMurray[50%],Abe Kani[50%],Diana Flagg[10%]
329	**30**	**Approve - Sunshine Spending Website Doc and Testing Results**	**0%**	**1 day**	**Thu 7/28/11**	**Thu 7/28/11**	**328**	

ID	Deliverable #	Task Name	% Complete	Duration	Start	Finish	Predecessors	Resource Names
330		**Modify Existing Reports**	**0%**	**105 days**	**Fri 4/22/11**	**Mon 9/26/11**		
331		Modify Existing Reports - Design	0%	40 days	Fri 4/22/11	Fri 6/17/11	237	Jim Smith[40%],DIS#2 Sr SAMAS Analyst,Phyllis Pearce[20%],Nan
332		Modify Existing Reports - Program	0%	39 days	Fri 5/20/11	Thu 7/21/11	331FS-20 days	Nancy Hammerstrom[29%],Susan Farmer[29%],DIS#9 Computer
333		Modify Existing Reports - Unit Test	0%	40 days	Fri 7/22/11	Fri 9/16/11	332	Paul Brazier[40%],Dis#4 SAMAS Analyst,Nancy Hammerstrom[40%
334		Stakeholder Review Design Doc and Testing Results	0%	5 days	Mon 9/19/11	Fri 9/23/11	333	Christina Smith[50%],Kimberly McMurray[50%],Abe Kani[50%],Diana Flagg[10%]
335	**37**	**Approve - Revolving Fund Reports**	**0%**	**1 day**	**Mon 9/26/11**	**Mon 9/26/11**	**334**	
336		**FTP's Agency File copies & AG**	**0%**	**199 days**	**Thu 3/10/11**	**Wed 12/28/11**		
337		Agency file copies - Design	0%	15 days	Thu 3/10/11	Wed 3/30/11	254FS+5 days	Dennis Worrell[40%],DIS#3 SAMAS Analyst,Phyllis Pearce[20%],Na
338		Agency file copies - Program	0%	15 days	Thu 3/31/11	Wed 4/20/11	337	Grace Ma[23%],Mary Reynolds[23%],DIS#7 Sys Prj Analyst[58%],D
339		Agency file copies - Unit Test (Intern	0%	10 days	Thu 4/21/11	Wed 5/4/11	338	Jim Hudson[29%],DIS#2 Sr SAMAS Analyst[72%],Grace Ma[29%],M
340		Stakeholder Review Design Doc and Testing Results	0%	5 days	Thu 5/5/11	Wed 5/11/11	339	Christina Smith[50%],Kimberly McMurray[50%],Abe Kani[50%],Diana Flagg[10%]
341	**15**	**Approve Agency File Copies Design Doc and Testing Results**	**0%**	**1 day**	**Thu 5/12/11**	**Thu 5/12/11**	**340**	**Joanne Krieberg-Wolin,Phyllis Pearce,Tammy Ellis,Nancy Bechard**
342		Agency Testing (External)	0%	120 days	Thu 7/7/11	Wed 12/28/11	341FS+33 days	Jim Hudson[29%],DIS#2 Sr SAMAS Analyst[72%],Grace Ma[29%],M
343		**New Reports**	**0%**	**474 days**	**Mon 10/5/09**	**Fri 9/16/11**		
344		New Internal Reports - Design	0%	40 days	Fri 4/22/11	Fri 6/17/11	237	JoAnn Fletcher,Jill Arrazattee[40%],Phyllis Pearce[20%],Nancy Bec
345		New Internal Reports - Program	0%	39 days	Fri 5/20/11	Thu 7/21/11	344FS-20 days	Jerry Smith[32%],Susan Farmer[32%],DIS#6 Sys Prj Consultant[79
346		New Internal Reports - Unit Test	0%	40 days	Fri 7/22/11	Fri 9/16/11	345	Paul Brazier[35%],Dis#4 SAMAS Analyst[88%],Jerry Smith[35%],Su
347		Stakeholder Review Design Doc and Testing Results	0%	5 days	Mon 10/5/09	Fri 10/9/09		Christina Smith[50%],Kimberly McMurray[50%],Abe Kani[50%],Diana Flagg[10%]
348	**26**	**Approve - New Reports Design Doc and Testing Results**	**0%**	**1 day**	**Mon 10/12/09**	**Mon 10/12/09**	**347**	
349		A&A Support to DIS during Design & Coding - Central Reporting	0%	365 days	Wed 8/4/10	Tue 1/31/12	147SS	Mike Manderfield[10%],Debra Evans[10%],PAS #4244[10%],PAS #1905[10%],SMA II #1903[10%],PAS #1904[10%]
350		**Technical Design & Programming - Departmental Accounting**	**0%**	**287 days**	**Wed 9/1/10**	**Thu 11/3/11**		
351		**Contract System Modification**	**0%**	**165 days**	**Tue 11/30/10**	**Mon 8/8/11**		
352		Departmental Batch Processing Contract System - Design	0%	49 days	Tue 11/30/10	Thu 2/17/11	189	Janet Barber,Jim Baggett[20%],Frank Noltee[20%],Tricia Nettles[20%],Po-Ju Lin[10%]
353		Departmental Batch Processing Contract System - Program	0%	19 days	Fri 2/18/11	Wed 3/16/11	352	Frank Noltee[20%],Po-Ju Lin,Tricia Nettles[20%],Rashmi Jawale
354		Departmental Batch Processing Contract System - Unit Test	0%	5 days	Thu 3/17/11	Wed 3/23/11	353	Joy James,DIS#5 Govt' Analyst,Frank Noltee[5%],Po-Ju Lin[20%],Tricia Nettles[5%]
355		Agency Contract File Copies - Desig	0%	9 days	Fri 2/18/11	Wed 3/2/11	352	James Harrison,Jim Baggett[30%],Frank Noltee[20%],Po-Ju Lin[20
356		Agency Contract File Copies - Progr	0%	10 days	Thu 3/3/11	Wed 3/16/11	355	Frank Noltee[40%],Po-Ju Lin[40%],Tricia Nettles[10%],Ben William
357		Agency Contract File Copies - Unit T	0%	5 days	Thu 3/17/11	Wed 3/23/11	356	Joy James,DIS#5 Govt' Analyst,Ben Williams[40%],Po-Ju Lin[40%]
358		Batch Contract add/update - Design	0%	9 days	Fri 2/18/11	Wed 3/2/11	352	Janet Barber,Jim Baggett[20%],Frank Noltee[20%],Tricia Nettles[10
359		Batch Contract add/update - Progra	0%	20 days	Thu 3/3/11	Wed 3/30/11	358	Tricia Nettles[10%],DIS#10 System Prj Analyst,Frank Noltee[10%],
360		Batch Contract add/update - Unit Te	0%	5 days	Thu 3/31/11	Wed 4/6/11	359	James Harrison,DIS#5 Govt' Analyst,Dove Ernst[30%],Sharon Hill[

ID	Deliverable #	Task Name	% Complete	Duration	Start	Finish	Predecessors	Resource Names
361		Database file changes - contract information - Design	0%	5 days	Thu 3/24/11	Wed 3/30/11	357	Joy James,Jim Baggett[30%],Frank Noltee[20%],Dove Ernst[20%],Tricia Nettles[5%],DIS#5 Govt' Analyst
362		Database file changes - contract information - Program	0%	5 days	Thu 3/31/11	Wed 4/6/11	361	Frank Noltee[10%],Tricia Nettles[10%],Dove Ernst,Amanda Brown
363		Database file changes - contract information - Unit Test	0%	5 days	Thu 4/7/11	Wed 4/13/11	362	Janet Barber[40%],DIS#5 Govt' Analyst,Amanda Brown[40%],Dove Ernst[40%],Amanda Stephens
364		Agency Reports from Contract System - Design	0%	20 days	Thu 3/31/11	Wed 4/27/11	361	Joy James,Janet Barber,Frank Noltee[20%],Tricia Nettles[10%],Dove Ernst[20%],Jim Baggett[30%]
365		Agency Reports from Contract System - Program	0%	19 days	Thu 4/28/11	Tue 5/24/11	364	Dove Ernst[50%],Tricia Nettles[10%],Frank Noltee[10%],Amanda Brown[80%]
366		Agency Reports from Contract System - Unit Test	0%	5 days	Wed 5/25/11	Wed 6/1/11	365	James Harrison,DIS#5 Govt' Analyst,Amanda Stephens
367		Internal (A&A, DIS) Reports - Design	0%	19 days	Thu 4/28/11	Tue 5/24/11	364	Joy James,Jim Baggett[30%],Frank Noltee[20%],Tricia Nettles[10%
368		Internal (A&A, DIS) Reports - Program	0%	20 days	Wed 5/25/11	Wed 6/22/11	367	Tricia Nettles[10%],DIS#10 System Prj Analyst,Frank Noltee[10%],
369		Internal (A&A, DIS) Reports - Unit Te	0%	5 days	Thu 6/23/11	Wed 7/6/11	368	Janet Barber,DIS#5 Govt' Analyst,DIS#10 System Prj Analyst[50%],
370		On-line screen changes - new requirements, edits, fields - Design	0%	19 days	Thu 4/28/11	Tue 5/24/11	364	DIS#5 Govt' Analyst,Jim Baggett[40%],Frank Noltee[5%],Tricia Nettles[5%],Janet Barber
371		On-line screen changes - new requirements, edits, fields - Program	0%	30 days	Wed 5/25/11	Wed 7/13/11	370	Frank Noltee[10%],Tricia Nettles[10%],Po-Ju Lin[60%],Sharon Hill
372		On-line screen changes - new requirements, edits, fields - Unit Tes	0%	5 days	Thu 7/14/11	Wed 7/20/11	371	Janet Barber,Po-Ju Lin[20%],Frank Noltee[10%],Sharon Hill[40%]
373		Contract Database File Maintenance - Design	0%	10 days	Thu 3/31/11	Wed 4/13/11	361	James Harrison,Jim Baggett[30%],Frank Noltee[20%],Tricia Nettles[5%],Amanda Stephens[70%]
374		Contract Database File Maintenance - Program	0%	10 days	Thu 4/14/11	Wed 4/27/11	373	Amanda Brown[80%],Frank Noltee[20%],Sharon Hill[80%]
375		Contract Database File Maintenance - Unit Test	0%	4 days	Thu 4/28/11	Tue 5/3/11	374	Janet Barber,DIS#5 Govt' Analyst,Frank Noltee[5%],Amanda Brown[10%],Sharon Hill[10%]
376		Review Contract Sys Mod Design Doc and Testing Results	0%	12 days	Thu 7/21/11	Fri 8/5/11	372	Christina Smith[50%],Kimberly McMurray[50%],Abe Kani[50%],Diana Flagg[10%]
377	**18**	**Approve - Contract Sys Modification Design Doc and**	**0%**	**1 day**	**Mon 8/8/11**	**Mon 8/8/11**	**376**	
378		**Placeholder - Implement Contract Tracking Requirements**	0%	62 days	Tue 8/9/11	Thu 11/3/11	377	
379		**P-Card Module Modifications**	0%	23 days	Tue 8/9/11	Fri 9/9/11		
380		P-card limits changes - Design	0%	6 days	Tue 8/9/11	Tue 8/16/11	351	Janet Barber[40%],Jim Baggett[20%],Frank Noltee[20%],Tricia Net
381		P-card limits changes - Program	0%	6 days	Wed 8/17/11	Wed 8/24/11	380	Frank Noltee[10%],Sharon Hill[40%],Tricia Nettles[10%]
382		P-card limits changes - Unit Test	0%	5 days	Thu 8/25/11	Wed 8/31/11	381	James Harrison[40%],DIS#5 Govt' Analyst,Sharon Hill[20%]
383		Stakeholder Review Design Docs a Testing Results	0%	5 days	Thu 9/1/11	Thu 9/8/11	382	Christina Smith[50%],Kimberly McMurray[50%],Abe Kani[50%],Diana Flagg[10%]
384	**21**	**Approve - P-Card Module Modification Design Docs and**	**0%**	**1 day**	**Fri 9/9/11**	**Fri 9/9/11**	**383**	
385		**FLAIR Vendor File Modifications**	0%	82 days	**Wed 9/1/10**	Tue 1/11/11		
386		Statewide Vendor file modifications	0%	32 days	Wed 9/1/10	Fri 10/15/10	128FS-1 day	James Harrison,Jim Baggett[20%],DIS#5 Govt' Analyst,Frank Nolte

ID	Deliverable #	Task Name	% Complete	Duration	Start	Finish	Predecessors	Resource Names
387		Statewide Vendor file modifications Program	0%	25 days	Mon 10/18/10	Fri 11/19/10	386	Dove Ernst[80%],Frank Noltee[10%],Tricia Nettles[10%],Rashmi Jawale[70%]
388		Statewide Vendor file modifications Unit Test	0%	19 days	Mon 11/22/10	Tue 12/21/10	387	Joy James,Dove Ernst[20%],Frank Noltee[5%],DIS#5 Govt' Analyst,Rashmi Jawale[40%]
389		Statewide Vendor Database File Maintenance - Design	0%	32 days	Wed 9/1/10	Fri 10/15/10	386SS	Janet Barber,Jim Baggett[30%],Frank Noltee[20%],Tricia Nettles[5%]
390		Statewide Vendor Database File Maintenance - Program	0%	25 days	Mon 10/18/10	Fri 11/19/10	389	Frank Noltee[10%],Tricia Nettles[10%],Rashmi Jawale
391		Statewide Vendor Database File Maintenance - Unit Test	0%	19 days	Mon 11/22/10	Tue 12/21/10	390	James Harrison,DIS#5 Govt' Analyst,Frank Noltee[5%],Rashmi Jawale[20%]
392		Client Vendor file modifications - De	0%	32 days	Wed 9/1/10	Fri 10/15/10	386SS	James Harrison,Jim Baggett[20%],DIS#5 Govt' Analyst,Frank Nolte
393		Client Vendor file modifications - Pr	0%	25 days	Mon 10/18/10	Fri 11/19/10	392	Dove Ernst[80%],Frank Noltee[10%],Tricia Nettles[10%],Rashmi Ja
394		Client Vendor file modifications - Un	0%	19 days	Mon 11/22/10	Tue 12/21/10	393	Joy James,Dove Ernst[20%],Frank Noltee[5%],DIS#5 Govt' Analyst,
395		Client Vendor Database File Maintenance - Design	0%	32 days	Wed 9/1/10	Fri 10/15/10	386SS	Janet Barber,Jim Baggett[30%],Frank Noltee[20%],Tricia Nettles[5%
396		Client Vendor Database File Maintenance - Program	0%	25 days	Mon 10/18/10	Fri 11/19/10	395	Frank Noltee[10%],Tricia Nettles[10%],Rashmi Jawale
397		Client Vendor Database File Maintenance - Unit Test	0%	19 days	Mon 11/22/10	Tue 12/21/10	396	James Harrison,DIS#5 Govt' Analyst,Frank Noltee[5%],Rashmi Jawale[20%]
398		Stakeholder Review Design Docs ar Testing Results	0%	5 days	Tue 1/4/11	Mon 1/10/11	397	Christina Smith[50%],Kimberly McMurray[50%],Abe Kani[50%],Diana Flagg[10%]
399	**16**	**Approve - FLAIR Vendor File Mod Design Doc and Testing**	**0%**	**1 day**	**Tue 1/11/11**	**Tue 1/11/11**	**398**	
400		**Nightly Voucher Processing Modificati**	**0%**	**171 days**	**Mon 11/29/10**	**Mon 8/15/11**		
401		Nightly voucher files passed to CAS	0%	20 days	Mon 11/29/10	Thu 1/6/11	252SS	James Harrison,Jim Baggett[20%],Frank Noltee[20%],Tricia Nettle
402		Nightly voucher files passed to CAS Program	0%	9 days	Fri 1/7/11	Wed 1/19/11	401	Frank Noltee[10%],Po-Ju Lin[60%],Sharon Hill
403		Nightly voucher files passed to CAS Unit Test	0%	5 days	Thu 1/20/11	Wed 1/26/11	402	Joy James,Janet Barber,Frank Noltee[5%],Po-Ju Lin[20%],Sharon Hill[40%]
404		Changes for auditing - sampled, autopay, etc? - Design	0%	23 days	Fri 1/7/11	Tue 2/8/11	401	James Harrison,Jim Baggett[20%],Frank Noltee[20%],Tricia Nettles[5%],Joy James
405		Changes for auditing - sampled, autopay, etc? - Program	0%	20 days	Wed 2/9/11	Tue 3/8/11	404	Frank Noltee[10%],Tricia Nettles[10%],Po-Ju Lin[40%],Amanda Brown[70%]
406		Changes for auditing - sampled, autopay, etc? - Unit Test	0%	10 days	Wed 3/9/11	Tue 3/22/11	405	Joy James[80%],Janet Barber[80%],Po-Ju Lin[20%],Amanda Brown[40%]
407		Agency Reports on Payments - Des	0%	19 days	Wed 3/23/11	Mon 4/18/11	406	Joy James[80%],Jim Baggett[20%],Frank Noltee[20%],Tricia Nettle
408		Agency Reports on Payments - Prog	0%	20 days	Tue 4/19/11	Mon 5/16/11	407	Frank Noltee[10%],Sharon Hill[60%],Tricia Nettles[10%],Rashmi Ja
409		Agency Reports on Payments - Unit	0%	5 days	Tue 5/17/11	Mon 5/23/11	408	Janet Barber[80%],Sharon Hill[20%],Rashmi Jawale[20%],Frank N
410		Vouchering Reports - Design	0%	20 days	Tue 5/24/11	Tue 6/21/11	409	James Harrison[80%],Jim Baggett[20%],Frank Noltee[20%],Tricia
411		Vouchering Reports - Program	0%	23 days	Wed 6/22/11	Fri 7/29/11	410	Amanda Brown[80%],Dove Ernst,Frank Noltee[10%],DIS#10 Syster
412		Vouchering Reports - Unit Test	0%	5 days	Mon 8/1/11	Fri 8/5/11	411	Janet Barber[40%],DIS#5 Govt' Analyst,Amanda Brown[20%],Dove
413		Stakeholder Review Design Docs ar Testing Results	0%	5 days	Mon 8/8/11	Fri 8/12/11	412	Christina Smith[50%],Kimberly McMurray[50%],Abe Kani[50%],Diana Flagg[10%]

ID	Deliverable #	Task Name	% Complete	Duration	Start	Finish	Predecessors	Resource Names
414	20	**Approve - Nightly Voucher Process Mod Design Docs and**	**0%**	**1 day**	**Mon 8/15/11**	**Mon 8/15/11**	**413**	
415		**Departmental Disbursement Process**	**0%**	**111 days**	**Fri 3/18/11**	**Mon 8/29/11**		
416		Modify on-line disbursements - to notify users subject to 3% - Design	0%	40 days	Fri 3/18/11	Thu 5/12/11	190FS+60 days	Janet Barber[40%],Jim Baggett[20%],Frank Noltee[20%],Tricia Nettles[5%],DIS#5 Govt' Analyst
417		Modify on-line disbursements - to notify users subject to 3% - Program	0%	40 days	Fri 5/13/11	Fri 7/15/11	416	Frank Noltee[10%],Tricia Nettles[10%],Po-Ju Lin[70%],Sharon Hill[60%]
418		Modify on-line disbursements- to notify users subject to 3% - Unit Tes	0%	25 days	Mon 7/18/11	Fri 8/19/11	417	Joy James[80%],DIS#5 Govt' Analyst,Frank Noltee[5%],Po-Ju Lin[20%],Sharon Hill[40%]
419		Modify on-line Encumbrances- to notify users subject to 3% - Design	0%	40 days	Fri 3/18/11	Thu 5/12/11	190FS+60 days	Joy James[80%],DIS#5 Govt' Analyst[80%],Frank Noltee[5%],Po-Ju Lin[20%],Sharon Hill[40%]
420		Modify on-line Encumbrances - to notify users subject to 3% -Program	0%	40 days	Fri 5/13/11	Fri 7/15/11	419	Po-Ju Lin[20%],Frank Noltee[5%],DIS#5 Govt' Analyst,Joy James[80%],Sharon Hill[40%]
421		Modify on-line Encumbrances- to notify users subject to 3% - Unit Tes	0%	25 days	Mon 7/18/11	Fri 8/19/11	420	Joy James[80%],DIS#5 Govt' Analyst[80%],Frank Noltee[5%],Po-Ju Lin[20%],Sharon Hill[40%]
422		Modify on-line Payables- to notify users subject to 3% - Design	0%	40 days	Fri 3/18/11	Thu 5/12/11	190FS+60 days	Joy James[80%],DIS#5 Govt' Analyst[80%],Frank Noltee[5%],Po-Ju Lin[20%],Sharon Hill[40%]
423		Modify on-line Payables- to notify users subject to 3% - Program	0%	40 days	Fri 5/13/11	Fri 7/15/11	422	Joy James[80%],DIS#5 Govt' Analyst[80%],Frank Noltee[5%],Po-Ju Lin[20%],Sharon Hill[40%]
424		Modify on-line Payables- to notify users subject to 3% - Test	0%	25 days	Mon 7/18/11	Fri 8/19/11	423	Joy James[80%],DIS#5 Govt' Analyst[80%],Frank Noltee[5%],Po-Ju Lin[20%],Sharon Hill[40%]
425		Stakeholder Review Design Docs a Testing Results	0%	5 days	Mon 8/22/11	Fri 8/26/11	424	Christina Smith[50%],Kimberly McMurray[50%],Abe Kani[50%],Diana Flagg[10%]
426	13	**Approve - Dept Disbursement Process Design Docs and**	**0%**	**1 day**	**Mon 8/29/11**	**Mon 8/29/11**	**425**	
427		**MFMP Interface Modifications**	**0%**	**242 days**	**Wed 9/1/10**	**Wed 8/31/11**		
428		Impacts to MFMP interfaces - Desig	0%	32 days	Wed 9/1/10	Fri 10/15/10	128FS-1 day	Janet Barber[80%],Jim Baggett[20%],Frank Noltee[20%],Tricia Net
429		Modify on-line Disbursements - to notify users subject to 3% - Program	0%	25 days	Mon 10/18/10	Fri 11/19/10	428	Frank Noltee[10%],Tricia Nettles[10%],Po-Ju Lin[40%],Amanda Brown
430		Impacts to MFMP interfaces - Unit Te	0%	19 days	Mon 11/22/10	Tue 12/21/10	429	Joy James[60%],DIS#5 Govt' Analyst,Po-Ju Lin[40%],Amanda Brov
431		Modify on-line Disbursements - to notify users subject to 3% - Design	0%	40 days	Tue 3/22/11	Mon 5/16/11	430FS+55 days	Joy James[60%],Jim Baggett[20%],Frank Noltee[20%],Tricia Nettles[10%],Po-Ju Lin[10%],Amanda Stephens[50%]
432		Modify on-line Disbursements - to notify users subject to 3% - Program	0%	40 days	Tue 5/17/11	Tue 7/19/11	431	Frank Noltee[10%],Po-Ju Lin[40%],DIS#10 System Prj Analyst,Rashmi Jawale
433		Modify on-line Disbursements - to notify users subject to 3% - Unit Tes	0%	25 days	Wed 7/20/11	Tue 8/23/11	432	James Harrison[60%],DIS#5 Govt' Analyst,DIS#10 System Prj Analyst,Rashmi Jawale[40%],Po-Ju Lin[20%]
434		Modify on-line Encumbrances- to notify users subject to 3% - Design	0%	40 days	Tue 3/22/11	Mon 5/16/11	430FS+55 days	James Harrison[60%],DIS#5 Govt' Analyst[60%],DIS#10 System Pr Analyst[60%],Rashmi Jawale[40%],Po-Ju Lin[20%]
435		Modify on-line Encumbrances - to notify users subject to 3% -Program	0%	40 days	Tue 5/17/11	Tue 7/19/11	434	Rashmi Jawale[40%],DIS#10 System Prj Analyst[60%],DIS#5 Govt Analyst[60%],James Harrison[60%],Po-Ju Lin[20%]
436		Modify on-line Encumbrances- to notify users subject to 3% - Unit Tes	0%	25 days	Wed 7/20/11	Tue 8/23/11	435	James Harrison[60%],DIS#5 Govt' Analyst[60%],DIS#10 System Pr Analyst[60%],Rashmi Jawale[40%],Po-Ju Lin[20%]
437		Modify on-line Payables- to notify users subject to 3% - Design	0%	40 days	Tue 3/22/11	Mon 5/16/11	430FS+55 days	James Harrison[60%],DIS#5 Govt' Analyst[60%],DIS#10 System Pr Analyst[60%],Rashmi Jawale[40%],Po-Ju Lin[20%]

ID	Deliverable #	Task Name	% Complete	Duration	Start	Finish	Predecessors	Resource Names
438		Modify on-line Payables- to notify users subject to 3% - Program	0%	40 days	Tue 5/17/11	Tue 7/19/11	437	James Harrison[60%],DIS#5 Govt' Analyst[60%],DIS#10 System Pr Analyst[60%],Rashmi Jawale[40%],Po-Ju Lin[20%]
439		Modify on-line Payables- to notify users subject to 3% - Test	0%	25 days	Wed 7/20/11	Tue 8/23/11	438	James Harrison[60%],DIS#5 Govt' Analyst[60%],DIS#10 System Pr Analyst[60%],Rashmi Jawale[40%],Po-Ju Lin[20%]
440		Stakeholder Review Design Docs ar Testing Results	0%	5 days	Wed 8/24/11	Tue 8/30/11	439	Christina Smith[50%],Kimberly McMurray[50%],Abe Kani[50%],Diana Flagg[10%]
441	**33**	**Approve - MFMP Interface Mod Design Doc and Testing Results**	**0%**	**1 day**	**Wed 8/31/11**	**Wed 8/31/11**	**440**	**Christina Smith[50%],Kimberly McMurray[50%],Abe Kani[50%],Diana Flagg[10%]**
442		A&A Support to DIS during Design & Coding - Departmental	0%	181 days	Tue 11/30/10	Tue 8/30/11	351SS	Mike Manderfield[10%],Debra Evans[10%],PAS #4244[10%],PAS #1905[10%],SMA II #1903[10%],PAS #1904[10%]
443		**Technical Design & Programming - Information Warehouse**	**0%**	**426 days**	**Mon 10/5/09**	**Mon 7/11/11**		
444		**C-TRN Changes**	**0%**	**50 days**	**Wed 1/26/11**	**Tue 4/5/11**		
445		C_TRN Changes - Central Transactions - Design	0%	20 days	Wed 1/26/11	Tue 2/22/11	252	LaQuita Varnado-Extine,Jeffrey Garber[20%]
446		C_TRN Changes - Central Transactions - Program	0%	20 days	Wed 2/23/11	Tue 3/22/11	445	LaQuita Varnado-Extine[10%],Jeffrey Garber
447		C_TRN Changes - Central Transactions - Unit Test	0%	10 days	Wed 3/23/11	Tue 4/5/11	446	LaQuita Varnado-Extine[10%],Jeffrey Garber
448		C_TRN - 11 View Changes - Design	0%	10 days	Wed 2/23/11	Tue 3/8/11	445	LaQuita Varnado-Extine,Jeffrey Garber[20%]
449		C_TRN - 11 View Changes - Progra	0%	9 days	Wed 3/9/11	Mon 3/21/11	448	LaQuita Varnado-Extine[5%],Simin Harvin[90%]
450		C_TRN - 11 View Changes - Unit Te	0%	5 days	Tue 3/22/11	Mon 3/28/11	449	LaQuita Varnado-Extine[10%],Jeffrey Garber
451		Stakeholder Review Design Docs ar Testing Results	0%	5 days	Tue 3/29/11	Mon 4/4/11	450	Christina Smith[50%],Kimberly McMurray[50%],Abe Kani[50%],Diana Flagg[10%]
452	**12**	**Approve - C_TRN Design Doc and Testing Results**	**0%**	**1 day**	**Tue 4/5/11**	**Tue 4/5/11**	**451**	
453		**Code Table - Central**	**0%**	**30 days**	**Thu 10/28/10**	**Mon 12/13/10**		
454		Code Table Change for Central - De	0%	9 days	Thu 10/28/10	Tue 11/9/10	258	LaQuita Varnado-Extine,Phyllis Pearce[20%],Soawanne Greer[20%
455		Code Table Change for Central - Pr	0%	10 days	Wed 11/10/10	Tue 11/23/10	454	LaQuita Varnado-Extine[10%],Soawanne Greer
456		Code Table Change for Central - Ur	0%	5 days	Mon 11/29/10	Fri 12/3/10	455	LaQuita Varnado-Extine[10%],Soawanne Greer
457		Stakeholder Review Design Docs ar Testing Results	0%	5 days	Mon 12/6/10	Fri 12/10/10	456	Christina Smith[50%],Kimberly McMurray[50%],Abe Kani[50%],Diana Flagg[10%]
458	**14**	**Approve - Code Table Design Doc and Testing Results**	**0%**	**1 day**	**Mon 12/13/10**	**Mon 12/13/10**	**457**	
459		**C-WARRANT**	**0%**	**31 days**	**Fri 5/20/11**	**Mon 7/11/11**		
460		C_WARRANT - Central Warrants - [	0%	10 days	Fri 5/20/11	Fri 6/3/11	289	LaQuita Varnado-Extine,Phyllis Pearce[10%],Wen Li Lee[20%]
461		C_WARRANT - Central Warrants - F	0%	10 days	Mon 6/6/11	Fri 6/17/11	460	LaQuita Varnado-Extine[10%],Wen Li Lee
462		C_WARRANT - Central Warrants - L	0%	5 days	Mon 6/20/11	Fri 6/24/11	461	LaQuita Varnado-Extine[10%],Wen Li Lee
463		C_WARRANT - 2 View Changes - D	0%	5 days	Mon 6/6/11	Fri 6/10/11	460	LaQuita Varnado-Extine,Wen Li Lee[20%]
464		C_WARRANT - 2 View Changes - P	0%	5 days	Mon 6/13/11	Fri 6/17/11	463	LaQuita Varnado-Extine[10%],Simin Harvin[80%]
465		C_WARRANT - 2 View Changes - U	0%	5 days	Mon 6/20/11	Fri 6/24/11	464	LaQuita Varnado-Extine[10%],Wen Li Lee
466		Stakeholder Review Design Docs ar Testing Results	0%	5 days	Mon 6/27/11	Fri 7/8/11	465	Christina Smith[50%],Kimberly McMurray[50%],Abe Kani[50%],Diana Flagg[10%]

ID	Deliverable #	Task Name	% Complete	Duration	Start	Finish	Predecessors	Resource Names
467	17	**Approve - C_WARRANT Design Doc and Testing Results**	**0%**	**1 day**	**Mon 7/11/11**	**Mon 7/11/11**	**466**	
468		**Vendor History**	**0%**	**44 days**	**Wed 2/23/11**	**Mon 4/25/11**		
469		DV_VNDR_HIST - Vendor History Website & Sunshine Spending	0%	9 days	Wed 2/23/11	Mon 3/7/11	445	LaQuita Varnado-Extine,Jeffrey Garber[20%]
470		DV_VNDR_HIST - Vendor History Website & Sunshine Spending	0%	10 days	Tue 3/8/11	Mon 3/21/11	469	LaQuita Varnado-Extine[10%],Wen Li Lee[80%],Jeffrey Garber[80%
471		DV_VNDR_HIST - Vendor History Website & Sunshine Spending	0%	5 days	Tue 3/22/11	Mon 3/28/11	470	LaQuita Varnado-Extine[10%],Jeffrey Garber[80%],Wen Li Lee[80%
472		DV_VNDR_HIST - 1 View Change -	0%	5 days	Tue 3/8/11	Mon 3/14/11	469	LaQuita Varnado-Extine,Wen Li Lee[20%]
473		DV_VNDR_HIST - 1 View Change -	0%	5 days	Tue 3/15/11	Mon 3/21/11	472	LaQuita Varnado-Extine[10%],Simin Harvin[80%]
474		DV_VNDR_HIST - 1 View Change -	0%	5 days	Tue 3/22/11	Mon 3/28/11	473	LaQuita Varnado-Extine[10%],Wen Li Lee
475		DV_VNDR_HIST_TOT - Sunshine Spending Website - Design	0%	9 days	Tue 3/15/11	Fri 3/25/11	472	LaQuita Varnado-Extine,Jeffrey Garber[20%]
476		DV_VNDR_HIST_TOT - Sunshine Spending Website - Program	0%	10 days	Mon 3/28/11	Fri 4/8/11	475	LaQuita Varnado-Extine[10%],Jeffrey Garber
477		DV_VNDR_HIST_TOT - Sunshine Spending Website - Unit Test	0%	5 days	Mon 4/11/11	Fri 4/15/11	476	LaQuita Varnado-Extine[10%],Jeffrey Garber
478		DV_VNDR_HIST_TOT - 1 View Change - Design	0%	5 days	Mon 3/28/11	Fri 4/1/11	475	LaQuita Varnado-Extine,Jeffrey Garber[20%]
479		DV_VNDR_HIST_TOT - 1 View Change - Program	0%	5 days	Mon 4/4/11	Fri 4/8/11	478	LaQuita Varnado-Extine[10%],Simin Harvin[80%]
480		DV_VNDR_HIST_TOT - 1 View Change - Unit Test	0%	5 days	Mon 4/11/11	Fri 4/15/11	479	LaQuita Varnado-Extine[10%],Jeffrey Garber
481		Stakeholder Review Design Docs a Testing Results	0%	5 days	Mon 4/18/11	Fri 4/22/11	480	Christina Smith[50%],Kimberly McMurray[50%],Abe Kani[50%],Diana Flagg[10%]
482	29	**Approve - Vendor History Design Doc and Testing Results**	**0%**	**1 day**	**Mon 4/25/11**	**Mon 4/25/11**	**481**	
483		**D_Contract**	**0%**	**64 days**	**Fri 2/18/11**	**Wed 5/18/11**		
484		D_CONTRACT Changes - Design	0%	20 days	Fri 2/18/11	Thu 3/17/11	352	LaQuita Varnado-Extine,Wen Li Lee[20%]
485		D_CONTRACT Changes - Program	0%	12 days	Fri 3/18/11	Mon 4/4/11	484	LaQuita Varnado-Extine[10%],Wen Li Lee
486		D_CONTRACT Changes - Unit Test	0%	5 days	Tue 4/5/11	Mon 4/11/11	485	LaQuita Varnado-Extine[10%],Wen Li Lee
487		D_CONTRACT - 1 View Change - D	0%	10 days	Tue 4/5/11	Mon 4/18/11	485	LaQuita Varnado-Extine,Wen Li Lee[20%]
488		D_CONTRACT - 1 View Change - P	0%	11 days	Tue 4/19/11	Tue 5/3/11	487	LaQuita Varnado-Extine[10%],Simin Harvin[80%]
489		D_CONTRACT - 1 View Change - U	0%	5 days	Wed 5/4/11	Tue 5/10/11	488	LaQuita Varnado-Extine[10%],Wen Li Lee
490		Stakeholder Review Design Docs a Testing Results	0%	5 days	Wed 5/11/11	Tue 5/17/11	489	Christina Smith[50%],Kimberly McMurray[50%],Abe Kani[50%],Diana Flagg[10%]
491	22	**Approve - D_Contract Design Doc and Testing Results**	**0%**	**1 day**	**Wed 5/18/11**	**Wed 5/18/11**	**490**	
492		**MFMP Reconciiation File**	**0%**	**46 days**	**Wed 2/23/11**	**Wed 4/27/11**		
493		MFMP Reconciliation Files & Processes - Design	0%	15 days	Wed 2/23/11	Tue 3/15/11	445	LaQuita Varnado-Extine,Soawanne Greer[20%]

ID	Deliverable #	Task Name	% Complete	Duration	Start	Finish	Predecessors	Resource Names
494		MFMP Reconciliation Files & Processes - Program	0%	15 days	Wed 3/16/11	Tue 4/5/11	493	LaQuita Varnado-Extine[10%],Soawanne Greer
495		MFMP Reconciliation Files & Processes - Unit Test	0%	10 days	Wed 4/6/11	Tue 4/19/11	494	LaQuita Varnado-Extine[10%],Soawanne Greer
496		Stakeholder Review Design Docs and Testing Results	0%	5 days	Wed 4/20/11	Tue 4/26/11	495	Christina Smith[50%],Kimberly McMurray[50%],Abe Kani[50%],Diana Flagg[10%]
497	**25**	**Approve - MFMP Reconiliation File Design Doc and Testing**	**0%**	**1 day**	**Wed 4/27/11**	**Wed 4/27/11**	**496**	
498		**1099/Backup Withholding**	**0%**	**45 days**	**Tue 1/18/11**	**Mon 3/21/11**		
499		New Tables For 1099/Backup Withholding - Design	0%	10 days	Tue 1/18/11	Mon 1/31/11	274	LaQuita Varnado-Extine,Wen Li Lee[20%]
500		New Tables For 1099/Backup Withholding - Program	0%	10 days	Tue 2/1/11	Mon 2/14/11	499	LaQuita Varnado-Extine[10%],Wen Li Lee
501		New Tables For 1099/Backup Withholding - Unit Test	0%	5 days	Tue 2/15/11	Mon 2/21/11	500	LaQuita Varnado-Extine[10%],Wen Li Lee
502		New Views For 1099/Backup Withholding - Design	0%	5 days	Tue 2/1/11	Mon 2/7/11	499	LaQuita Varnado-Extine,Soawanne Greer[20%]
503		New Views For 1099/Backup Withholding - Program	0%	5 days	Tue 2/8/11	Mon 2/14/11	502	LaQuita Varnado-Extine[10%],Simin Harvin[60%]
504		New Views For 1099/Backup Withholding - Unit Test	0%	5 days	Tue 2/15/11	Mon 2/21/11	503	LaQuita Varnado-Extine[10%],Soawanne Greer
505		New Reports For 1099/Backup Withholding - Design	0%	9 days	Tue 2/8/11	Fri 2/18/11	502	LaQuita Varnado-Extine,Soawanne Greer[20%]
506		New Reports For 1099/Backup Withholding - Program	0%	10 days	Mon 2/21/11	Fri 3/4/11	505	LaQuita Varnado-Extine[10%],Soawanne Greer
507		New Reports For 1099/Backup Withholding - Unit Test	0%	5 days	Mon 3/7/11	Fri 3/11/11	506	LaQuita Varnado-Extine[10%],Soawanne Greer
508		Stakeholder Review Design Docs and Testing Results	0%	5 days	Mon 3/14/11	Fri 3/18/11	507	Christina Smith[50%],Kimberly McMurray[50%],Abe Kani[50%],Diana Flagg[10%]
509	**28**	**Approve - IW File and Report Changes Design Docs and**	**0%**	**1 day**	**Mon 3/21/11**	**Mon 3/21/11**	**508**	
510		A&A Support to DIS during Design & Coding - Info Warehuouse	0%	412 days	Mon 10/5/09	Tue 6/14/11		Mike Manderfield[10%],Debra Evans[10%],PAS #4244[10%],PAS #1905[10%],SMA II #1903[10%],PAS #1904[10%]
511		**System Testing**	**0%**	**94 days**	**Tue 8/16/11**	**Fri 12/30/11**		
512		**Selection Criteria, WH Processing, Vendor Remittance**	**0%**	**76 days**	**Mon 9/12/11**	**Fri 12/30/11**		
513		Test Functionality	0%	75 days	Mon 9/12/11	Thu 12/29/11	288	Roche Akkarappuram[40%],Dis#4 SAMAS Analyst[40%],David Wes
514	**40**	**Test Results and Sign-Off**	**0%**	**1 day**	**Fri 12/30/11**	**Fri 12/30/11**	**513**	**Joanne Krieberg-Wolin,Phyllis Pearce,Tammy Ellis,Nancy Bechard**
515		**1099 System Modifications**	0%	**82 days**	**Tue 8/16/11**	**Tue 12/13/11**		
516		Test Functionality	0%	81 days	Tue 8/16/11	Mon 12/12/11	245FS+82 days	Christina Smith[50%],Kimberly McMurray[50%],Abe Kani[50%],Diar
517	**41**	**Test Results and Sign-Off**	**0%**	**1 day**	**Tue 12/13/11**	**Tue 12/13/11**	**516**	**Joanne Krieberg-Wolin,Phyllis Pearce[10%],Tammy Ellis,Nancy Bechard[10%]**

ID	Deliverable #	Task Name	% Complete	Duration	Start	Finish	Predecessors	Resource Names
518		**IRS Remittance**	**0%**	**82 days**	**Thu 9/1/11**	**Fri 12/30/11**		
519		Test Functionality	0%	81 days	Thu 9/1/11	Thu 12/29/11	307FS+18 days	
520		**Test Results and Sign-Off**	**0%**	**1 day**	**Fri 12/30/11**	**Fri 12/30/11**	**519**	**Joanne Krieberg-Wolin,Phyllis Pearce[10%],Tammy Ellis,Nancy I**
521		**Vendor History File & Screen Modifica**	**0%**	**82 days**	**Tue 8/30/11**	**Wed 12/28/11**		
522		Test Functionality	0%	81 days	Tue 8/30/11	Tue 12/27/11	315FS+32 days	
523		**Test Results and Sign-Off**	**0%**	**1 day**	**Wed 12/28/11**	**Wed 12/28/11**	**522**	**Joanne Krieberg-Wolin,Phyllis Pearce[10%],Tammy Ellis,Nancy I**
524		**Vendor History & Sunshine Spending (Web)**	**0%**	**21 days**	**Thu 12/1/11**	**Fri 12/30/11**		
525		Test Functionality	0%	20 days	Thu 12/1/11	Thu 12/29/11	327FS+91 days	
526		**Test Results and Sign-Off**	**0%**	**1 day**	**Fri 12/30/11**	**Fri 12/30/11**	**525**	**Joanne Krieberg-Wolin,Phyllis Pearce[10%],Tammy Ellis,Nancy I**
527		**Reports - New and Existing**	**0%**	**21 days**	**Thu 12/1/11**	**Fri 12/30/11**	**345**	
528		Test Functionality	0%	20 days	Thu 12/1/11	Thu 12/29/11	FS+45 days,348	
529		**Test Results and Sign-Off**	**0%**	**1 day**	**Fri 12/30/11**	**Fri 12/30/11**	**528**	**Joanne Krieberg-Wolin,Phyllis Pearce[10%],Tammy Ellis,Nancy I**
530		**Agency & AG File Copies**	**0%**	**82 days**	**Tue 8/30/11**	**Wed 12/28/11**		
531		Test Functionality	0%	81 days	Tue 8/30/11	Tue 12/27/11	338FS+87 days	
532		**Test Results and Sign-Off**	**0%**	**1 day**	**Wed 12/28/11**	**Wed 12/28/11**	**531**	**Joanne Krieberg-Wolin,Phyllis Pearce[10%],Tammy Ellis,Nancy I**
533		**Warrant Cancellations**	**0%**	**14 days**	**Mon 12/12/11**	**Fri 12/30/11**		
534		Test Functionality	0%	13 days	Mon 12/12/11	Thu 12/29/11	300FS+22 days	
535		**Test Results and Sign-Off**	**0%**	**1 day**	**Fri 12/30/11**	**Fri 12/30/11**	**534**	**Joanne Krieberg-Wolin,Phyllis Pearce[10%],Tammy Ellis,Nancy I**
536		**Departmental Accounting Testing**	**0%**	**53 days**	**Mon 9/12/11**	**Mon 11/28/11**		
537		Contract System Modification	0%	10 days	Mon 9/12/11	Fri 9/23/11	399,414,426,44	Mike Manderfield[10%],Debra Evans[10%],PAS #4244,PAS #1905,
538		P-Card Module Modifications	0%	10 days	Mon 9/12/11	Fri 9/23/11	537SS	Mike Manderfield[10%],Debra Evans[10%],PAS #4244,PAS #1905,
539		FLAIR Vendor File Modifications	0%	10 days	Mon 9/26/11	Fri 10/7/11	538	Mike Manderfield[10%],Debra Evans[10%],PAS #4244,PAS #1905,
540		Nightly Voucher Processing Modifica	0%	10 days	Mon 10/10/11	Fri 10/21/11	539	Mike Manderfield[10%],Debra Evans[10%],PAS #4244,PAS #1905,
541		Departmental Disbursement Proces	0%	10 days	Mon 10/10/11	Fri 10/21/11	540SS	Mike Manderfield[10%],Debra Evans[10%],PAS #4244,PAS #1905,
542		Title File Modifications	0%	8 days	Mon 10/24/11	Wed 11/2/11	541	Mike Manderfield[10%],Debra Evans[10%],PAS #4244,PAS #1905,
543		MFMP Interface Modifcation	0%	10 days	Mon 10/31/11	Fri 11/11/11	540SS+15 days	Mike Manderfield[10%],Debra Evans[10%],PAS #4244,PAS #1905,
544		Review of testing results	0%	7 days	Mon 11/14/11	Tue 11/22/11	543	Christina Smith[50%],Kimberly McMurray[50%],Abe Kani[50%],Dian
545	39	**User Approval - Departmental Accounting System Test**	**0%**	**1 day**	**Mon 11/28/11**	**Mon 11/28/11**	**544**	
546		**System Test Completed**	**0%**	**0 days**	**Fri 12/30/11**	**Fri 12/30/11**	**,545,529,532,5**	
547		**User Acceptance Testing**	**0%**	**92 days**	**Mon 9/12/11**	**Tue 1/24/12**		
548		Develop Scripts	0%	81 days	Mon 9/12/11	Mon 1/9/12	513SS	Mike Manderfield[10%],Debra Evans[10%],PAS #4244[10%],PAS #
549		**Test Functionality**	**0%**	**15 days**	**Tue 1/3/12**	**Mon 1/23/12**		
550		Selection Criteria, WH Processing, Vendor Remittance	0%	15 days	Tue 1/3/12	Mon 1/23/12	546	Mike Manderfield[10%],Debra Evans[10%],PAS #4244[10%],PAS #1905[10%],SMA II #1903[10%],A&A#1 PAS[10%],Jim
551		1099 System Modifications	0%	15 days	Tue 1/3/12	Mon 1/23/12	550SS	Mike Manderfield[10%],Debra Evans[10%],PAS #4244[10%],PAS #
552		IRS Remittance	0%	15 days	Tue 1/3/12	Mon 1/23/12	550SS	Mike Manderfield[10%],Debra Evans[10%],PAS #4244[10%],PAS #
553		Vendor History File & Screen Modific	0%	15 days	Tue 1/3/12	Mon 1/23/12	550SS	Mike Manderfield[10%],Debra Evans[10%],PAS #4244[10%],PAS #

ID	Deliverable #	Task Name	% Complete	Duration	Start	Finish	Predecessors	Resource Names
554		Vendor History & Sunshine Spendin	0%	15 days	Tue 1/3/12	Mon 1/23/12	550SS	Mike Manderfield[10%],Debra Evans[10%],PAS #4244[10%],PAS #
555		Reports - New and Existing	0%	15 days	Tue 1/3/12	Mon 1/23/12	550SS	Mike Manderfield[10%],Debra Evans[10%],PAS #4244[10%],PAS #
556		Agency & AG File Copies	0%	15 days	Tue 1/3/12	Mon 1/23/12	550SS	Mike Manderfield[10%],Debra Evans[10%],PAS #4244[10%],PAS #
557		Warrant Cancellations	0%	15 days	Tue 1/3/12	Mon 1/23/12	550SS	Mike Manderfield[10%],Debra Evans[10%],PAS #4244[10%],PAS #
558		Information Warehouse Testing	0%	15 days	Tue 1/3/12	Mon 1/23/12	550SS	Mike Manderfield[10%],Debra Evans[10%],PAS #4244[10%],PAS #
559		Departmental Accounting Testing	0%	15 days	Tue 1/3/12	Mon 1/23/12	550SS	Mike Manderfield[10%],Debra Evans[10%],PAS #4244[10%],PAS #
560		**Test Results & Sign-Off**	**0%**	**1 day**	**Tue 1/24/12**	**Tue 1/24/12**	**559**	**Molly Merry,Debra Evans,Christina Smith**
561		**Vendor Data Validation/Clean-up**	**27%**	**555 days**	**Mon 10/5/09**	**Mon 1/16/12**		
562		JAC Review Regular Vendor File	100%	134 days	Mon 10/5/09	Wed 4/21/10	5SS	Debra Evans[50%],PAS #4244[20%],Shelia Cole,Jim Baggett[20%
563		Transition JAC from Regular to Statewid Vendor File	100%	91 days	Mon 1/11/10	Mon 5/17/10	562	Debra Evans[50%],PAS #4244[20%],Shelia Cole[50%],Jim Baggett[20%],Tricia Nettles[20%],Frank Noltee[20%],Dove
564		**Transition from Client to Statewide File**	**0%**	**132 days**	**Mon 9/13/10**	**Thu 3/31/11**		
565		Agency Meeting #1	0%	1 day	Mon 9/13/10	Mon 9/13/10	563SS+167 days	Debra Evans[20%],PAS #4244[20%],Shelia Cole[50%],Jim Baggett[20%],Tricia Nettles[20%],Frank Noltee[20%],Dove
566		**Business Requirements Document**	**0%**	**50 days**	**Mon 9/13/10**	**Fri 11/19/10**		
567		Develop Business Requirement Document	0%	35 days	Mon 9/13/10	Fri 10/29/10	565SS	Debra Evans[20%],PAS #4244[20%],Shelia Cole[50%],Jim Baggett[20%],Tricia Nettles[20%],Frank Noltee[20%],Dove
568		Finalize Business Requirements Document	0%	10 days	Mon 11/1/10	Fri 11/12/10	567	Debra Evans[20%],PAS #4244[20%],Shelia Cole[50%],Jim Baggett[20%],Tricia Nettles[20%],Frank Noltee[20%],Dove
569		Stakeholder Review	0%	5 days	Mon 11/15/10	Fri 11/19/10	568	Christina Smith[50%],Kimberly McMurray[50%],Abe Kani[50%],Diar
570		Develop Conversion Rules for Agencies	0%	11 days	Mon 9/13/10	Mon 9/27/10	565SS	Debra Evans[20%],PAS #4244[20%],Shelia Cole[50%],Jim Baggett[20%],Tricia Nettles[20%],Frank Noltee[20%],Dove
571		Agency Meeting # 2	0%	1 day	Mon 9/27/10	Mon 9/27/10	570FS-1 day	Debra Evans[10%],PAS #4244[50%],Shelia Cole[50%],Tricia Nettles[20%],Jim Baggett[20%],Frank Noltee[20%],Dove
572		Mark Client Records for Deletion	0%	5 days	Fri 10/15/10	Thu 10/21/10	571FS+13 days	Debra Evans[10%],PAS #4244[50%],Shelia Cole[50%],Tricia Nettles[20%],Jim Baggett[20%],Frank Noltee[20%],Dove
573		Provide Agency Reports & Conversion Templates	0%	5 days	Mon 10/25/10	Mon 11/1/10	572FS+2 days	Debra Evans[10%],PAS #4244[50%],Shelia Cole[50%],Tricia Nettles[20%],Jim Baggett[20%],Frank Noltee[20%]
574		Agency Meeting #3	0%	1 day	Mon 11/15/10	Tue 11/16/10	573SS+15 days	Debra Evans[10%],PAS #4244[50%],Shelia Cole[50%],A&A#2 PAS
575		Agency Conversions	0%	42 days	Tue 2/1/11	Thu 3/31/11	574SS+44 days	Debra Evans[10%],PAS #4244[50%],Shelia Cole[50%],A&A#2 PAS
576		**Shut Down Client File**	**0%**	**0 days**	**Thu 5/5/11**	**Thu 5/5/11**	**575FS+25 days**	**Debra Evans[10%],PAS #4244[50%],Shelia Cole[50%],A&A#2 PAS**
577		Design - paper Substitute W-9 for mailo	22%	81 days	Mon 10/26/09	Fri 2/26/10	122	Carolyn Howard[60%],Debra Evans[10%],Birgit Cromartie[20%],Ro
578		**Obtain W-9s for all non-compliant vend**	**0%**	**302 days**	**Mon 10/18/10**	**Mon 1/16/12**		
579		Obtaining W-9s for 10% of all non-compliant vendors	0%	63 days	Mon 10/18/10	Fri 1/28/11	8	SMA II #1903[20%],Carolyn Howard[30%],Ronnie White[40%],Birgi Cromartie[40%],Emma Bradley[40%],A&A#2 PAS[40%],A&A#3
580		Obtaining W-9s for 30% of all non-compliant vendors	0%	60 days	Mon 1/31/11	Fri 4/22/11	579	SMA II #1903[20%],Carolyn Howard[30%],Ronnie White[40%],Birgi Cromartie[40%],Emma Bradley[40%],A&A#2 PAS[40%],A&A#3
581		Obtaining W-9s for 50% of all non-compliant vendors	0%	59 days	Mon 4/25/11	Fri 7/22/11	580	SMA II #1903[20%],Carolyn Howard[30%],Ronnie White[40%],Birgi Cromartie[40%],Emma Bradley[40%],A&A#2 PAS[40%],A&A#3
582		Obtaining W-9s for 75% of all non-compliant vendors	0%	59 days	Mon 7/25/11	Fri 10/14/11	581	SMA II #1903[20%],Carolyn Howard[30%],Ronnie White[40%],Birgi Cromartie[40%],Emma Bradley[40%],A&A#2 PAS[40%],A&A#3

ID	Deliverable #	Task Name	% Complete	Duration	Start	Finish	Predecessors	Resource Names
583		Obtaining W-9s for 100% of all non-compliant vendors	0%	61 days	Mon 10/17/11	Mon 1/16/12	582	SMA II #1903[20%],Carolyn Howard[30%],Ronnie White[40%],Birgi Cromartie[40%],Emma Bradley[40%],A&A#2 PAS[40%],A&A#3
584		Survey other entities using the TIN Matching programs	0%	20 days	Mon 7/26/10	Fri 8/20/10	562FS+60 days	SMA II #1903,Carolyn Howard
585		Sign-up for IRS TIN Matching	0%	19 days	Mon 8/23/10	Fri 9/17/10	584	SMA II #1903,Carolyn Howard,Debra Evans[10%]
586		Implement TIN Matching Batch process	0%	59 days	Mon 9/20/10	Tue 12/14/10	585	SMA II #1903[78%],Carolyn Howard[78%],Debra Evans[8%],Nancy
587		Work Errors from initial TIN Matching pro	0%	82 days	Wed 12/15/10	Wed 4/20/11	586	SMA II #1903[20%],Carolyn Howard[10%],A&A#2 PAS[40%],A&A#3
588		**(Phase Two) Go-Live**	**0%**	**1 day**	**Wed 2/8/12**	**Wed 2/8/12**	**560FS+10 days**	
589		**Phase Three Post Go-Live Functionality**	**0%**	**171 days**	**Thu 3/1/12**	**Wed 11/7/12**		
590		**Business Process & Requirement Development**	**0%**	**171 days**	**Thu 3/1/12**	**Wed 11/7/12**		
591		**Existing Reports**	**0%**	**60 days**	**Thu 3/1/12**	**Wed 5/23/12**		
592		Update to 1099 File	0%	30 days	Thu 3/1/12	Wed 4/11/12	588FS+15 days	
593		Update to 1099 Form Printed From Central FLAIR	0%	30 days	Thu 4/12/12	Wed 5/23/12	592	
594		**New Reports**	**0%**	**25 days**	**Thu 10/4/12**	**Wed 11/7/12**		
595		New A&A Reports (TBD)	0%	10 days	Thu 10/4/12	Wed 10/17/12	593	
596		Finalize Reporting Requirements Fo	0%	10 days	Thu 10/18/12	Wed 10/31/12	595	
597		Stakeholder Review of Reporting Re	0%	5 days	Thu 11/1/12	Wed 11/7/12	596	
598		**Technical Design & Programming - Central Reporting**	**0%**	**100 days**	**Thu 4/12/12**	**Tue 9/11/12**		
599		End of Year Forms & Filing - 1099 File -	0%	45 days	Thu 4/12/12	Thu 6/14/12	592	Jim Hudson[40%],Jim Smith[40%],Phyllis Pearce[20%],Nancy Bec
600		End of YearEnd of Year Forms & Filing- 1099 File - Program	0%	45 days	Thu 5/24/12	Mon 8/6/12	599FS-15 days	David Westaway[40%],David O'Kane,Grace Ma,Susan Farmer
601		End of Year End of Year Forms & Filing - 1099 File - Unit Test	0%	45 days	Tue 7/10/12	Tue 9/11/12	600FS-20 days	Roche Akkarappuram[40%],Paul Brazier,David Westaway[40%],David O'Kane[40%],Grace Ma[40%],Jim
602		**System Testing**	**0%**	**33 days**	**Wed 9/12/12**	**Fri 10/26/12**		
603		1099 Reporting	0%	32 days	Wed 9/12/12	Thu 10/25/12	601	Debra Evans[20%],SMA II #1903,Molly Merry[10%],Carolyn Howard
604		**Test Results & Sign-Off**	**0%**	**1 day**	**Fri 10/26/12**	**Fri 10/26/12**	**603**	
605		**Operational Activites - Post Go-Live**	**0%**	**491 days**	**Thu 2/9/12**	**Thu 2/6/14**		
606		**Statewide Vendor Section**	**0%**	**490 days**	**Thu 2/9/12**	**Wed 2/5/14**		
607		Perform Access Control - Statewide Vendor File - Daily	0%	490 days	Thu 2/9/12	Wed 2/5/14	588	PAS #1905[10%],Shelia Cole[10%],PAS #4244[10%]
608		Perform Vendor Updates - Statewide Vendor File - Daily	0%	490 days	Thu 2/9/12	Wed 2/5/14	588	PAS #1905[10%],Shelia Cole[50%],PAS #4244[50%],A&A#10 Sr Mgt Analyst I[50%],A&A#11 Sr Mgt Analyst I[50%]
609		Reconcile Vendor Records w/ W9 - Statewide Vendor File - Daily	0%	490 days	Thu 2/9/12	Wed 2/5/14	588	PAS #1905[10%],Shelia Cole[50%],PAS #4244[50%],A&A#10 Sr Mgt Analyst I[50%],A&A#11 Sr Mgt Analyst I[50%]
610		Monitor Reports - Statewide Vendor File Mthly	0%	490 days	Thu 2/9/12	Wed 2/5/14	588	Shelia Cole[10%],PAS #4244[10%],A&A#10 Sr Mgt Analyst I[10%],A&A#11 Sr Mgt Analyst I[10%]
611		Resolve MFMP Vendor Records Issues Weekly	0%	490 days	Thu 2/9/12	Wed 2/5/14	588	Shelia Cole[5%],PAS #4244[5%]

ID	Deliverable #	Task Name	% Complete	Duration	Start	Finish	Predecessors	Resource Names
612		Communicate w/Vendors on record issues - Daily	0%	490 days	Thu 2/9/12	Wed 2/5/14	588	PAS #1905[10%],Shelia Cole[50%],PAS #4244[50%],A&A#10 Sr Mgt Analyst I[50%],A&A#11 Sr Mgt Analyst I[50%]
613		Vendor integrity review/update - Statewide Vendor File - Weekly	0%	490 days	Thu 2/9/12	Wed 2/5/14	588	PAS #1905[10%],Shelia Cole[50%],PAS #4244[50%],A&A#10 Sr Mgt Analyst I[50%],A&A#11 Sr Mgt Analyst I[50%]
614		Monitor and Update Backup withholding flag - Statewide Vendor file -Weekly	0%	490 days	Thu 2/9/12	Wed 2/5/14	588	PAS #1905[10%],PAS #4244[10%],A&A#10 Sr Mgt Analyst I[10%]
615		**Vendor Record Section**	**0%**	**490 days**	**Thu 2/9/12**	**Wed 2/5/14**		
616		Vendor Help Desk - tier 1 inquires (general questions)	0%	490 days	Thu 2/9/12	Wed 2/5/14	588	SMA II #1903[20%],A&A#12 PAS[50%],A&A#13 Sr Mgmt Analyst I[50%],A&A#14 Sr Prof Accountnat[50%],A&A#15 Accountant
617		**W9 Maintenance**	**0%**	**490 days**	**Thu 2/9/12**	**Wed 2/5/14**		
618		Generate Substitute W9 Request Ltr	0%	5 days	Thu 2/23/12	Wed 2/29/12	588FS+10 days	Ronnie White[70%],Birgit Cromartie[20%],A&A#2 PAS[20%]
619		Validate W9 data for applicablity-Dai	0%	490 days	Thu 2/9/12	Wed 2/5/14	588	SMA II #1903[20%],A&A#12 PAS[50%],A&A#13 Sr Mgmt Analyst I[50
620		Perform TIN Matching-Weekly	0%	490 days	Thu 2/9/12	Wed 2/5/14	588	A&A#12 PAS[20%],A&A#13 Sr Mgmt Analyst I[20%]
621		1099 Reporting Corrections - TIN, Object Address, etc-Daily	0%	490 days	Thu 2/9/12	Wed 2/5/14	588	SMA II #1903[10%],A&A#12 PAS[30%],A&A#13 Sr Mgmt Analyst I[30%],A&A#14 Sr Prof Accountnat[30%],A&A#2 PAS[30%],Emma
622		**Calendar Yr 2011 1099 Reporting**	**0%**	**210 days**	**Tue 2/21/12**	**Wed 1/9/13**		
623		Print Form 1099s	0%	5 days	Tue 2/21/12	Mon 2/27/12	588FS+8 days	Ronnie White[60%],Birgit Cromartie[30%],Emma Bradley[30%],A&A
624		Mail Form 1099s	0%	5 days	Tue 2/28/12	Mon 3/5/12	623	Ronnie White[60%],Birgit Cromartie[30%],Emma Bradley[30%],A&A
625		Submit 1099 File - Preliminary	0%	15 days	Tue 4/17/12	Mon 5/7/12	588FS+48 days	Ronnie White[60%],Birgit Cromartie[30%],Emma Bradley[30%],A&A
626		CD's for historical 1099 withholding Preliminary	0%	1 day	Tue 5/8/12	Tue 5/8/12	625	Ronnie White[60%],Birgit Cromartie[30%],Emma Bradley[30%],A&A#12 PAS[40%],A&A#2 PAS[40%]
627		Submit 1099 File - Final	0%	10 days	Tue 8/28/12	Tue 9/11/12	88FS+135 days	Ronnie White[60%],Birgit Cromartie[30%],Emma Bradley[30%],A&A
628		CD's for historical 1099 withholding	0%	1 day	Wed 9/12/12	Wed 9/12/12	627	Ronnie White[60%],Birgit Cromartie[30%],Emma Bradley[30%],A&A
629		Receive B-Notice File	0%	10 days	Mon 11/26/12	Fri 12/7/12	628FS+48 days	Ronnie White[60%],Birgit Cromartie[30%],Emma Bradley[30%],A&A
630		Generate B-Notice Ltrs w/ Substitute Form W-9	0%	5 days	Mon 12/10/12	Fri 12/14/12	629	Ronnie White[60%],Birgit Cromartie[30%],Emma Bradley[30%],A&A#12 PAS[40%],A&A#2 PAS[40%]
631		Mark Type 2 B-Notice Vendors - Inactive in Statewide Vendor File	0%	5 days	Mon 12/17/12	Thu 1/3/13	630	Ronnie White[60%],Birgit Cromartie[30%],Emma Bradley[30%],A&A#12 PAS[40%],A&A#2 PAS[40%]
632		Send B-Notice File to MFMP	0%	4 days	Fri 1/4/13	Wed 1/9/13	631	Ronnie White[60%],Birgit Cromartie[30%],Emma Bradley[30%],A&A
633		Decision to post 1099's on web	0%	20 days	Thu 1/10/13	Wed 2/6/13	622	Molly Merry[20%],Mike Manderfield[30%],Debra Evans[50%],Kimbe
634		**Calendar Yr 2012 1099 Reporting**	**0%**	**314 days**	**Tue 9/18/12**	**Mon 12/30/13**		
635		Test Calendar Yr 2012 Preliminary filing process	0%	20 days	Tue 9/18/12	Mon 10/15/12	588SS+150 days	Ronnie White[60%],Birgit Cromartie[30%],Emma Bradley[30%],A&A#12 PAS[40%],A&A#2 PAS[40%]
636		Test Calendar Yr 2012 Final Filing p	0%	20 days	Tue 9/18/12	Mon 10/15/12	635SS	Ronnie White[60%],Birgit Cromartie[30%],Emma Bradley[30%],A&A
637		Print Form 1099s	0%	5 days	Tue 2/12/13	Mon 2/18/13	88FS+241 days	Ronnie White[60%],Birgit Cromartie[30%],Emma Bradley[30%],A&A
638		Mail Form 1099s	0%	5 days	Tue 2/19/13	Mon 2/25/13	637	Ronnie White[60%],Birgit Cromartie[30%],Emma Bradley[30%],A&A
639		Submit 1099 File - Preliminary	0%	15 days	Tue 4/23/13	Mon 5/13/13	88FS+291 days	Ronnie White[60%],Birgit Cromartie[30%],Emma Bradley[30%],A&A
640		CD's for historical 1099 withholding Preliminary	0%	1 day	Tue 5/14/13	Tue 5/14/13	639	Ronnie White[60%],Birgit Cromartie[30%],Emma Bradley[30%],A&A#12 PAS[40%],A&A#2 PAS[40%]
641		Submit 1099 File - Final	0%	10 days	Tue 8/20/13	Mon 9/2/13	88FS+368 days	Ronnie White[60%],Birgit Cromartie[30%],Emma Bradley[30%],A&A
642		CD's for historical 1099 withholding	0%	1 day	Tue 9/3/13	Tue 9/3/13	641	Ronnie White[60%],Birgit Cromartie[30%],Emma Bradley[30%],A&A

ID	Deliverable #	Task Name	% Complete	Duration	Start	Finish	Predecessors	Resource Names
643		Receive B-Notice File	0%	10 days	Tue 11/26/13	Mon 12/9/13	88FS+438 days	Ronnie White[60%],Birgit Cromartie[30%],Emma Bradley[30%],A&A
644		Generate B-Notice Ltrs w/ Substitute Form W-9	0%	5 days	Tue 12/10/13	Mon 12/16/13	643	Ronnie White[60%],Birgit Cromartie[30%],Emma Bradley[30%],A&A#12 PAS[40%],A&A#2 PAS[40%]
645		Mark Type 2 B-Notice Vendors - Inactive in Statewide Vendor File	0%	5 days	Tue 12/17/13	Mon 12/23/13	644	Ronnie White[60%],Birgit Cromartie[30%],Emma Bradley[30%],A&A#12 PAS[40%],A&A#2 PAS[40%]
646		Send B-Notice File to MFMP	0%	5 days	Tue 12/24/13	Mon 12/30/13	645	Ronnie White[60%],Birgit Cromartie[30%],Emma Bradley[30%],A&
647		**Taxation/Reconcilliation Section**	**0%**	**491 days**	**Thu 2/9/12**	**Thu 2/6/14**		
648		**Reconcile Tax Account - Daily**	**0%**	**491 days**	**Thu 2/9/12**	**Thu 2/6/14**		
649		Adjust 3% withholding for EFT returns - cancellations	0%	489 days	Thu 2/9/12	Tue 2/4/14	588	A&A#7 PAS,PAS #1904[10%],A&A#5 Sr Prof Acct
650		Adjust 3% withholding for Warrant cancellations	0%	490 days	Thu 2/9/12	Wed 2/5/14	588	A&A#9 Accountant IV,PAS #1904[10%],A&A#8 PAS
651		Adjust 3% withholding for Agency coding errors	0%	491 days	Thu 2/9/12	Thu 2/6/14	588	A&A#7 PAS,PAS #1904[10%],A&A#1 PAS,A&A#6 SMA I
652		Adjust backup withholding for EFT returns - cancellations	0%	490 days	Thu 2/9/12	Wed 2/5/14	588	A&A#7 PAS,PAS #1904[10%],A&A#5 Sr Prof Acct
653		Adjust backup withholding for Warrant cancellations	0%	490 days	Thu 2/9/12	Wed 2/5/14	588	A&A#8 PAS,A&A#9 Accountant IV,PAS #1904[10%]
654		Adjust backup withholding for Agency coding errors	0%	490 days	Thu 2/9/12	Wed 2/5/14	588	A&A#7 PAS,PAS #1904[10%],A&A#1 PAS,A&A#6 SMA I
655		Reconcile Tax Account Bank Statement	0%	490 days	Thu 2/9/12	Wed 2/5/14	588	PAS #4244[50%],A&A#10 Sr Mgt Analyst I[50%]
656		Transmit withholding to IRS - Semiweek	0%	490 days	Thu 2/9/12	Wed 2/5/14	588	PAS #1904[10%],A&A#8 PAS,A&A#1 PAS,A&A#6 SMA I
657		File annual IRS Form 945	0%	5 days	Tue 3/5/13	Mon 3/11/13	88FS+256 days	PAS #1904[10%],A&A#8 PAS,A&A#1 PAS,A&A#6 SMA I
658		**Monitor US Tax Code and Regulations - Annual**	**0%**	**490 days**	**Thu 2/9/12**	**Wed 2/5/14**		
659		Monitor US Tax Code and Regulatio	0%	490 days	Thu 2/9/12	Wed 2/5/14	588	PAS #1904[10%],A&A#7 PAS,A&A#8 PAS,A&A#1 PAS
660		Notify DIS of W9 updates	0%	40 days	Mon 12/3/12	Thu 2/7/13	88FS+199 days	Molly Merry[10%],Mike Manderfield[30%],Debra Evans[50%],PAS #
661		Notify DIS of 1099 updates	0%	40 days	Mon 12/3/12	Thu 2/7/13	88FS+199 days	Molly Merry[10%],Mike Manderfield[30%],Debra Evans[50%],PAS #
662		Notify MFMP of W9 Updates	0%	40 days	Mon 12/3/12	Thu 2/7/13	88FS+199 days	Molly Merry[10%],Mike Manderfield[30%],Debra Evans[50%],PAS #
663		Train internal staff on law chgs and interpretations - Qtrly	0%	490 days	Thu 2/9/12	Wed 2/5/14	588	PAS #1904[10%],A&A#7 PAS,A&A#8 PAS,A&A#1 PAS
664		Update External Training material for law chgs - Annual	0%	40 days	Tue 2/12/13	Mon 4/8/13	588FS+241 days	PAS #1904[10%],A&A#7 PAS,A&A#8 PAS,A&A#1 PAS
665		Vendor Help Desk - tier 2 inquires (technical questions) - Daily	0%	490 days	Thu 2/9/12	Wed 2/5/14	588	PAS #1904[10%],A&A#7 PAS,A&A#8 PAS,A&A#1 PAS
666		Update external communication materia for law chgs - Qtrly	0%	490 days	Thu 2/9/12	Wed 2/5/14	588	PAS #1904[10%],A&A#7 PAS,A&A#8 PAS,A&A#1 PAS
667		**Technical Operational Activities after Go-L**	**0%**	**490 days**	**Thu 2/9/12**	**Wed 2/5/14**	588	
668		Research and Response to Remedy calls from Agencies	0%	490 days	Thu 2/9/12	Wed 2/5/14	588	JoAnn Fletcher[20%],DIS#2 Sr SAMAS Analyst[20%],DIS#3 SAMAS Analyst[20%],Dis#4 SAMAS Analyst[20%],DIS#5 Govt'
669		Research and Response to Questions from A&A	0%	490 days	Thu 2/9/12	Wed 2/5/14	588	JoAnn Fletcher[30%],DIS#2 Sr SAMAS Analyst[30%],DIS#3 SAMAS Analyst[30%],Dis#4 SAMAS Analyst[30%],DIS#5 Govt'

ID	Deliverable #	Task Name	% Complete	Duration	Start	Finish	Predecessors	Resource Names
670		Additional Reporting needs from A&A and Agencies - design	0%	490 days	Thu 2/9/12	Wed 2/5/14	588	JoAnn Fletcher[30%],DIS#2 Sr SAMAS Analyst[30%],DIS#3 SAMAS Analyst[30%],Dis#4 SAMAS Analyst[30%],DIS#5 Govt'
671		Additional Reporting needs from A&A and Agencies - program	0%	490 days	Thu 2/9/12	Wed 2/5/14	588	DIS#6 Sys Prj Consultant[30%],DIS#7 Sys Prj Analyst[30%],DIS#8 Computer Prg II[30%],DIS#9 Computer Prg II[30%],DIS#10 System
672		Additional Reporting needs from A&A and Agencies - unit test	0%	490 days	Thu 2/9/12	Wed 2/5/14	588	JoAnn Fletcher[30%],DIS#2 Sr SAMAS Analyst[30%],DIS#3 SAMAS Analyst[30%],Dis#4 SAMAS Analyst[30%],DIS#5 Govt'
673		Application modifications per A&A - desi	0%	490 days	Thu 2/9/12	Wed 2/5/14	588	JoAnn Fletcher[30%],DIS#2 Sr SAMAS Analyst[30%],DIS#3 SAMAS
674		Application modifications per A&A - prog	0%	490 days	Thu 2/9/12	Wed 2/5/14	588	DIS#6 Sys Prj Consultant[30%],DIS#7 Sys Prj Analyst[30%],DIS#8
675		Application modifications per A&A - unit	0%	490 days	Thu 2/9/12	Wed 2/5/14	588	JoAnn Fletcher[30%],DIS#2 Sr SAMAS Analyst[30%],DIS#3 SAMAS
676		Application modifications due to production problems/errors - design	0%	490 days	Thu 2/9/12	Wed 2/5/14	588	JoAnn Fletcher[25%],DIS#2 Sr SAMAS Analyst[25%],DIS#3 SAMAS Analyst[25%],Dis#4 SAMAS Analyst[25%],DIS#5 Govt'
677		Application modifications due to production problems/errors - program	0%	490 days	Thu 2/9/12	Wed 2/5/14	588	DIS#6 Sys Prj Consultant[25%],DIS#7 Sys Prj Analyst[25%],DIS#8 Computer Prg II[25%],DIS#9 Computer Prg II[25%],DIS#10 System
678		Application modifications due to production problems/errors - unit test	0%	490 days	Thu 2/9/12	Wed 2/5/14	588	JoAnn Fletcher[25%],DIS#2 Sr SAMAS Analyst[25%],DIS#3 SAMAS Analyst[25%],Dis#4 SAMAS Analyst[25%],DIS#5 Govt'
679		**Technical Design and Programming for 1099 reporting for Calendar Year 2012**	**0%**	**313 days**	**Wed 9/19/12**	**Mon 12/30/13**		**JoAnn Fletcher,DIS#2 Sr SAMAS Analyst,DIS#3 SAMAS Analyst,Dis#4 SAMAS Analyst,DIS#5 Govt' Analyst,DIS#6 Sys**
680		Print Form 1099s	0%	5 days	Wed 9/19/12	Tue 9/25/12	88FS+150 days	JoAnn Fletcher[20%],DIS#2 Sr SAMAS Analyst[20%],DIS#3 SAMAS
681		Submit 1099 File - Preliminary	0%	15 days	Tue 4/23/13	Mon 5/13/13	88FS+291 days	JoAnn Fletcher[20%],DIS#2 Sr SAMAS Analyst[20%],DIS#3 SAMAS
682		CD's for historical 1099 withholding - Preliminary	0%	5 days	Tue 5/14/13	Mon 5/20/13	639	JoAnn Fletcher[20%],DIS#2 Sr SAMAS Analyst[20%],DIS#3 SAMAS Analyst[20%],Dis#4 SAMAS Analyst[20%],DIS#5 Govt'
683		Submit 1099 File - Final	0%	10 days	Tue 8/20/13	Mon 9/2/13	88FS+368 days	JoAnn Fletcher[20%],DIS#2 Sr SAMAS Analyst[20%],DIS#3 SAMAS
684		CD's for historical 1099 withholding - Fii	0%	5 days	Tue 9/3/13	Mon 9/9/13	641	JoAnn Fletcher[20%],DIS#2 Sr SAMAS Analyst[20%],DIS#3 SAMAS
685		Receive B-Notice File	0%	10 days	Tue 11/26/13	Mon 12/9/13	88FS+438 days	JoAnn Fletcher[20%],DIS#2 Sr SAMAS Analyst[20%],DIS#3 SAMAS
686		Monitor B-Notice Ltrs w/ Substitute Form	0%	5 days	Tue 12/10/13	Mon 12/16/13	643	JoAnn Fletcher[20%],DIS#2 Sr SAMAS Analyst[20%],DIS#3 SAMAS
687		Send B-Notice File to MFMP	0%	5 days	Tue 12/17/13	Mon 12/23/13	644	JoAnn Fletcher[20%],DIS#2 Sr SAMAS Analyst[20%],DIS#3 SAMAS
688		Post 1099's on web	0%	5 days	Tue 12/24/13	Mon 12/30/13	645	JoAnn Fletcher[20%],DIS#2 Sr SAMAS Analyst[20%],DIS#3 SAMAS

Schedule VI - Detail of Debt Service

(Not applicable for the 2011-2012 FY Legislative Budget Request)

SCHEDULE IX: MAJOR AUDIT FINDINGS AND RECOMMENDATIONS

Budget Period: 2011 - 2012

Department: Financial Services

Chief Internal Auditor: Alan Sands (Prepared by Sally Moniz)

Budget Entity: Office of Inspector General

Phone Number: (850) 413-4964

(1) REPORT NUMBER	(2) PERIOD ENDING	(3) UNIT/AREA	(4) SUMMARY OF FINDINGS AND RECOMMENDATIONS	(5) SUMMARY OF CORRECTIVE ACTION TAKEN	(6) ISSUE CODE
AG 2010-074	Feb-09	**My Safe Florida Home**	*Finding No. 1:* The design of the quality assurance reinspection process should be improved to provide the Department with the complete information needed to assess Program effectiveness and integrity. *Recommendation:* As part of the quality assurance reinspection process, the Department should follow up on all selected properties that were not reinspected and determine why the reinspections were not completed. In addition, the Department should modify any future written agreements with homeowners for hurricane mitigation inspections to include provisions requiring that homeowners make their homes available for reinspection. The Department should also reevaluate the results of prior reinspection efforts and follow up as deemed appropriate on all selected properties that were not subject to reinspection.	*Finding 1 Corrective Action:* As advised by the Auditor General, the MSFH program obtained the signed checklists for completed inspections in which a reinspection was refused to independently verify that the original inspection was completed. In addition, the MSFH program has confirmed an inspection was completed by a building official for properties retrofitted with MSFH grant funds in which the homeowner did not make their property available for reinspection. In instances where a homeowner signature was unavailable, the MSFH program contacted the building departments to verify if a permit was issued to perform the retrofit.	
AG 2010-049	5/21/2009	**Qualified Public Deposits Program**	*Finding 1:* The Qualified Public Depository Oversight Board created pursuant to Section 280.071, Florida Statutes, has been inactive since holding an initial meeting in December 2001. *Recommendation:* The Department should examine the impediments to establishing a functional Qualified Public Depository Oversight Board and, in consultation with the Legislature, propose changes as needed to Section 280.071, Florida Statutes. *Finding 2:* Department rules did not enumerate the circumstances under which collateral pledging levels can differ from those computed under law and existing rule. *Recommendation:* The Dept should amend its rule as necessary to enumerate the circumstances under which collateral pledging levels can differ from those computed using quarterly average financial condition rankings. The Bureau should establish written procedures to include the methodology, criteria, and benchmarks to be used in analyzing and evaluating the financial condition of QPDs and the sufficiency of collateral pledging levels. *Finding No. 3:* The supervisory review and approval of Bureau financial analyses of the financial condition of selected Qualified Public Depositories (QPDs), and any resulting changes in collateral pledging levels, was not always documented. *Recommendation:* The Department should require and document supervisory reviews of analyses and recommended collateral pledging levels. *Finding No. 4:* The Bureau had not established written policies and procedures describing the types and timing of actions necessary to respond to a QPD receiving the lowest quarterly financial condition ranking. *Recommendation:* The Bureau should establish written policies and procedures describing and assigning the responsibility for the actions that must be taken in response to a QPD quarterly financial condition ranking of 15 or less. Such policies and procedures should ensure that prescribed actions lead to timely, consistent, and documented compliance with applicable laws and rules.	*Finding 1 Corrective Action:* The Department was unsuccessful in making changes to the Oversight Board consistent with the recommendations during the 2010 Regular Session of the Legislature. *Finding 2 Corrective Action:* Staff has prepared the required changes to Administrative Rule 69C-2. However, legislation was proposed in the 2010 Legislative Session that would have substantially changed Chapter 280. Therefore, we did not pursue these updates until the outcome of the legislation was determined. The proposed changes introduced by the legislation were not adopted and we are proceeding with our changes to Administrative Rule 69C-2. *Finding 3 Corrective Action:* The new process was implemented in October 2009. *Finding 4 Corrective Action:* The procedures were implemented in December 2009.	

Department: Financial Services

Chief Internal Auditor: Alan Sands (Prepared by Sally Moniz)

Budget Entity: Office of Inspector General

Phone Number: (850) 413-4964

(1) REPORT NUMBER	(2) PERIOD ENDING	(3) UNIT/AREA	(4) SUMMARY OF FINDINGS AND RECOMMENDATIONS	(5) SUMMARY OF CORRECTIVE ACTION TAKEN	(6) ISSUE CODE
AG 2010-049/ (Continued)	5/21/2009	Qualified Public Deposits Program	*Finding No. 5:* The Bureau allowed some QPDs with the lowest quarterly financial condition rankings lengthy periods to meet the required increased collateral pledging levels. *Recommendation:* The Department should, by rule, establish the conditions under which a hardship request may be submitted by a QPD, and a maximum timeframe within which the transition to the required collateral level must be completed. The Department should also develop written procedures that establish objective criteria for evaluating hardship requests. *Finding No. 6:* Bureau staff responsible for resolving custodial collateral reconciling items were also responsible for processing collateral transactions, resulting in conditions under which errors may occur and be concealed from timely detection. Additionally, custodial collateral reconciliations did not include Federal Home Loan Bank letters of credit and the resolution of reconciling items was not always timely. *Recommendation* : The Bureau should implement procedures whereby collateral reconciling differences are timely resolved by employees independent of collateral transaction processing and that letters of credit are included in the reconciliation process. Furthermore, to reduce input errors, we recommend that the Bureau implement an automated edit check that tests the ninth digit of CUSIP numbers. *Finding No. 7:* Bureau procedures for pricing collateral needed improvement as not all collateral was priced in a timely manner. *Recommendation* : The Bureau should implement procedures to ensure that alternative market prices are obtained in a timely manner when not provided by the service provider. Additionally, the Bureau should establish a methodology to ensure that, prior to sending inventory files to the service provider for pricing, all applicable securities are correctly coded for updated pricing. *Finding No 8:* The Bureau did not conduct a comparison of public deposit information reported by QPDs and public depositors for all those QPDs ranked in the lowest financial condition ranking category, based on established financial condition criteria of record on September 30. *Recommendation:* The Department should perform all comparisons required by Florida Statutes.	*Finding 5 Corrective Action* : Staff has prepared the required changes to Administrative Rule 69C-2. However, legislation was proposed in the 2010 Legislative Session that would have substantially changed Chapter 280. Therefore, we did not pursue these updates until the outcome of the legislation was determined. The proposed changes introduced by the legislation were not adopted and we are proceeding with our changes to Administrative Rule 69C-2. *Finding 6 Corrective Action:* The reconciliation process has been amended so that an independent financial examiner identifies all reconciling items. Resolutions of the reconciling items are performed by the transaction staff and transaction staff supervisor within the designated timeframe of 15 days after receipt of notification of the discrepancy from the independent financial examiner. Procedures have been implemented to facilitate proper tracking of all incoming Federal Home Loan Bank (FHLB) Letters of Credit from the point of receipt in the Bureau to final processing into the Bureau's Collateral Administration Program. Annual confirmations continue to be performed on all FHLB Letters of Credit; in addition, a quarterly reconciliation process has been implemented. A system request has been submitted to the DIS area for an application change to CAP for implementation of an automated edit check that tests the ninth digit of Committee on Uniform Security Identification Procedures numbers. *Finding 7 Corrective Action:* Procedures have been implemented to ensure that Bureau staff obtains alternative market prices within 20 days after initial notification that a collateral item is not pricing. In cases where current prices can not be obtained; or in cases where the QPD does not replace or release the un-priced collateral, procedures have been implemented to require that Bureau staff not allow credit for the value of the collateral. A system request has been submitted to DIS for an application enhancement to CAP for development of a new report which will identify applicable collateral items requiring pricing updates. *Finding 8 Corrective Action:* The Bureau has established the process by which staff compares public depositors' reports with Public Depositories ranked 0-15 during each analysis cycle. Depositors identified by the QPD that have not filed their annual report are contacted regarding their compliance with Chapter 280.	

SCHEDULE IX: MAJOR AUDIT FINDINGS AND RECOMMENDATIONS

Budget Period: 2011 - 2012

Department: Financial Services

Chief Internal Auditor: Alan Sands (Prepared by Sally Moniz)

Budget Entity: Office of Inspector General

Phone Number: (850) 413-4964

(1) REPORT NUMBER	(2) PERIOD ENDING	(3) UNIT/AREA	(4) SUMMARY OF FINDINGS AND RECOMMENDATIONS	(5) SUMMARY OF CORRECTIVE ACTION TAKEN	(6) ISSUE CODE
AG 2010-049/ (Continued)	5/21/2009	**Qualified Public Deposits Program**	*Finding No 9* : Deficiencies in certain security controls were found. Effective security controls should include access controls that ensure that users have only the access privilege needed to perform their duties and users are restricted from performing incompatible functions. *Recommendation* : The Department should ensure that staff access privileges to CAP are commensurate with their job duties through a documented and periodic review of user access privileges. *Finding No. 10:* Other deficiencies in the Bureau's security controls related to the Collateral Administration Program were noted. *Recommendation:* The Department should implement appropriate security controls to ensure the continued confidentiality, integrity, and availability of CAP data and IT resources.	*Finding 9 Corrective Action:* : CAP security administration is reviewed monthly by the financial administrators and the Bureau Chief in order to ensure each CAP user has only those access privileges required by their job duties. *Finding 10 Corrective Action* : The DFS Access Control Administration Policy Team is reviewing the Department's Application Access Control Policies and Procedure. Once these policies and procedures are finalized, we will conform to their requirements.	
AG 2010-021	6/30/2009	**Florida Accounting Information Resource Subsystem (IT Operational Audit)**	*Finding No. 1:* Management of Access Privileges - Timely Removal of Former Employee Access We noted instances where, as similarly noted in our report No. 2009-053, the Department did not remove the access privileges of former employees in a timely manner. *Recommendation:* Procedures should enhanced to ensure that the access privileges of all former employees are removed in a timely manner. *Finding No. 2:* The Department was unable to identify the Payroll Component user associated with a specific user identification (ID), and a Department employee who had transferred to another Department position inappropriately retained job control language access privileges. *Recommendation:* Appropriate controls should be implemented to properly identify users and ensure that access privileges granted are appropriate and commensurate with employee job functions. *Finding No. 3:* The Department did not provide initial security awareness training for some employees or ongoing security awareness training for all employees . *Recommendation:* The Department should continue with its plan to institute online training for both initial and ongoing security awareness training. *Finding No. 4:* Other Security Controls In addition to the matters discussed in Finding Nos. 1, 2, and 3, certain Department security and application controls needed improvement. Our prior reports on the Department have included some of the same issues. *Recommendation:* The Department should implement the appropriate security controls to ensure the continued confidentiality, integrity, and availability of Department data and IT resources.	*Finding 1 Corrective Action:* The Department is in the approval process for revisions of the access control policy to address timely removal of access privileges of former employees . An immediate solution using the Remedy Help Desk process to track and notify all Division Access Control Administrators of departed employees has been implemented. The Department has designed a long-term solution and developed an implementation plan for an to maintain a record of all access rights. *Finding 2 Corrective Action:* The risk has been mitigated by using the Remedy Help Desk process to track & notify all Access Control Administrators of departed employees. Regular analysis of employee departures compared to existing Active Directory is performed using comparison reports . The Department is in the approval process for revisions of the access control policy to specifically address timely removal of access privileges of former employees. *Finding 3 Corrective Action* : The Department now includes information security awareness training as a required part of new employee orientation; has surveyed other state agencies' practices and identified cost effective online training options for both initial and ongoing security awareness training and has developed a statement of work to acquire online security awareness training and has initiated the procurement process for same. *Finding 4 Corrective Action:* The Department is in the process of designing short term mitigations and assessing long-term solutions for an ITIL based CMDB to strengthen overall security controls.	

Department: Financial Services

Chief Internal Auditor: Alan Sands (Prepared by Sally Moniz)

Budget Entity: Office of Inspector General

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(1) REPORT NUMBER	(2) PERIOD ENDING	(3) UNIT/AREA	(4) SUMMARY OF FINDINGS AND RECOMMENDATIONS	(5) SUMMARY OF CORRECTIVE ACTION TAKEN	(6) ISSUE CODE
AG 2010-021 (Continued)	6/30/2009	Florida Accounting Information Resource Subsystem (IT Operational Audit)	*Finding No. 5*: The Department's electronic funds transfer authorization process needed improvement. *Recommendation:* The Department should update the Direct Deposit Operating Procedures, as appropriate, and take steps to ensure that staff consistently follow the approved Procedures.	*Finding 5 Corrective Action:* The Direct Deposit Operating Procedures have been updated & implemented .	
AG 2010-165	6/30/2009	Compliance and Internal Controls Over Financial Reporting and Federal Awards, In Accordance With OMB Circular A-133	*Finding No. FS 09-013:* Liabilities reported as Obligations under reverse repurchase agreements and assets reported as Pooled Investments with State Treasury were understated by $437,350,143. *Recommendation:* The State Treasury should continue to update its fiscal year-end reporting procedures to identify the specific reports and information required to correctly report investment and reverse repurchase agreement balances and enhance its supervisory review process to ensure that such errors are timely detected and corrected. *Finding No. FS 09-016:* The Department has not designed or established effective fiscal year-end financial reporting procedures over the recording and reporting of financial activity related to the Deferred Compensation Plan reported within the Combining Statement of Fiduciary Changes in Net Assets of the Pension and Other Employee Benefits Trust Funds. As a result, financial information submitted to the Statewide Financial Reporting Section contained significant undetected Plan financial reporting errors. *Recommendation* : DFS should design and establish effective fiscal year-end financial reporting procedures over the recording and reporting of financial activity related to the Deferred Compensation Plan to ensure account balances and activities are correctly recorded and reported. *Finding No. FS 09-018* , SFRS Compilation Procedures: Compilation procedures performed by the CFO Statewide Financial Reporting Section (SFRS) did not ensure that fund balance (e.g., equity) accounts were, in all instances, properly adjusted to reflect SFRS adjustments to several other related accounts, that Capital Projects Fund budgetary release accounts were properly closed, and that all prior period adjustments were properly disclosed. *Recommendation:* We recommend that SFRS enhance its compilation procedures to ensure that, in making SFRS adjustments to accounts that may have an effect on fund balance, the SFRS consider the effects, if any, on the related fund balance reserved and unreserved accounts. We also recommend that SFRS enhance its compilation procedures to consider the effects of adjustments, if any, of sub-fund accounts to all accounts within the Florida Forever Fund. Further, to ensure the reasonableness of amounts reported in the Capital Projects Fund, we recommend that SFRS reconcile the amounts appropriated for capital projects to available independent sources of information in the State's Central Accounting Component of FLAIR. Additionally, we recommend that existing compilation procedures be followed to ensure all prior period adjustments are disclosed in the Notes to the Financial Statements.	*FS 09-013 Corrective Action:* The fiscal year-end reporting procedures will be updated to reflect the new processes. In addition, appropriate procedures will be put in place to enhance our review process to ensure that errors are timely detected and corrected. *FS 09-016 Corrective Action* : The Bureau of Financial and Support Services has met with the Bureau of Deferred Compensation to gain a better understanding of the financial information provided in the Schedule of Plan Assets reported by the third party administrator. Written internal procedures have been updated to ensure these amounts are properly reported in future years. *FS 09-018 Corrective Action:* Compilation procedures will be enhanced, amounts appropriated for capital projects will be reconciled to the Central Accounting Component of FLAIR, and note disclosure will be made for all prior period adjustments.	

Department: Financial Services

Chief Internal Auditor: Alan Sands (Prepared by Sally Moniz)

Budget Entity: Office of Inspector General

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(1) REPORT NUMBER	(2) PERIOD ENDING	(3) UNIT/AREA	(4) SUMMARY OF FINDINGS AND RECOMMENDATIONS	(5) SUMMARY OF CORRECTIVE ACTION TAKEN	(6) ISSUE CODE
AG 2010-165	6/30/2009	Compliance and Internal Controls Over Financial Reporting and Federal Awards, In Accordance With OMB Circular A-133	*Finding No. FS 09-019* , Schedule of Expenditures of Federal Awards: FDFS did not fully consider differences identified by its comparison of the Schedule of Expenditures of Federal Awards (SEFA) to the financial statements. *Recommendation:* FDFS should ensure that differences noted when reconciling the SEFA to the financial statements are appropriately investigated and resolved. *Finding No. FA 09-070,* Homeland Security Cluster: Our audit disclosed one instance in which FDFS paid an amount in excess of the costs documented. *Recommendation:* We recommend that FDFS enhance its review of subgrantee reimbursement requests to ensure amounts paid agree with supporting invoices.	*FS 09-019 Corrective Action* : We will ensure that differences noted when reconciling the SEFA to the financial statements are appropriately investigated, documented, and resolved. *FS 09-070 Corrective Action* : We agree there were addition errors on the Summary sheet for a subgrantee recipient reimbursement. All future contract reimbursements with the Homeland Security Cluster grant for subrecipient payments will be audited for accuracy and programmatic compliance.	
OIG 09046	6/30/2008	Division of Accounting & Auditing, Bureau of Auditing	*Issue 1:* Increased automation would increase the Bureau's ability to comprehensively analyze payment requests. **Recommendation:** The Bureau should consider adding CCA analytics to the pre and post payment review process. *Issue 2:* Pre-audit discrepancies identified by the Bureau may not be remedied by state agencies. Recommendation: Pre-audit procedures should be revised to ensure that all identified discrepancies are adequately remedied by state agencies. *Issue 3:* Procedures for agencies exempt from initial and continued pre-audit eligibility should be improved. *Recommendation* : The Bureau should develop a system to demonstrate whether the state agency internal controls over the payment process adequately mitigate each identified risk. The procedures should stipulate when an agency will be reevaluated to determine if the agency's internal controls remain adequate. *Issue 4:* Documented quality assurance reviews of the pre-audit process would benefit the Bureau by identifying whether pre-audited and approved invoices are sufficient and compliant.. *Recommendation* : The Bureau should continue its efforts to establish a documented quality assurance review of pre-audited invoices. *Issue 5:* Updated payment processing guidance would help improve agency payment compliance. *Recommendation:* The Bureau should perform a comprehensive review of all applicable rules and memoranda, as well as the Reference Guide for State Expenditures. In addition to ensuring compliance with statutory requirements relating to administrative rules, a comprehensive review of all applicable procedural and documentation standards would help ensure clear and uniform guidance is being provided to state agencies.	*Issue 1 Corrective Action:* The Bureau currently utilizes analytical software, but will consider other continuous control applications. *Issue 2 Corrective Action:* . As part of improving the process, the Bureau is looking into ways of tracking these invoices through a bookkeeping indicator in FLAIR. *Issue 3 Corrective Action:* Each year during the month of May, procedures should stipulate when an agency will be reevaluated to determine if the agency's internal controls remain adequate. *Issue 4* Corrective Action: The Bureau has developed written procedures to explain this process. and are in the process of formalizing the procedures and performing internal reviews and training of our staff. *Issue 5 Corrective Ac* tion: The Bureau is in the process of updating and formalizing the State Expenditure Guide and reviewing old CFO memoranda for changes.	

SCHEDULE IX: MAJOR AUDIT FINDINGS AND RECOMMENDATIONS

Budget Period: 2009-2010

Department: Office of Insurance Regulation

Chief Internal Auditor: Bonnie Deering

Budget Entity: 43900120

Phone Number: 850-413-4975

(1)	(2)	(3)	(4)	(5)	(6)
REPORT NUMBER	PERIOD ENDING	UNIT/AREA	SUMMARY OF FINDINGS AND RECOMMENDATIONS	SUMMARY OF CORRECTIVE ACTION TAKEN	ISSUE CODE
09/10-0010	5/27/2010	QUASRng Application System	The Office of Inspector General conducted an Information Technology (IT) Post Implementation audit of the QUASRng Application System and found the following:		
			Finding 1 - Data Integrity: 1) Industry Users should be required to attest to the completeness, accuracy and validity of data submissions.	1) The Market Research Unit will include language in the filing reminder notice that states the need for the attestation letter. This will be done quarterly beginning with 2010 Qtr. 2 Data - due August 16, 2010.	
			2) The Office should implement quarterly on-site audits of a selected sample of QUASRng data submissions to verify data integrity.	2) The Office will consider utilizing targeted examinations, not an audit (pursuant to Sec. 624.3161, F.S.) to be performed by a contracted examiner.	
			3) Disclaimers on system generated QUASRng displays & reports need to clearly convey that data submissions are prepared by industry users and validity of data is the sole responsibility of such industry users.	3) The Office will conduct an analysis of the viability to amend existing disclaimers by internal staff and/or by staff augmentation.	
			4) The Office should enhance the automated validation checks by including those categories incorporated in the reasonability review. It should identify industry users that report data exceeding the materiality threshold in one or more categories. In such an event, the system should automatically request an explanation from the reporting industry user.	4) Research will be conducted to determine the viability, time and cost of automating the manual validation checks performed during the P&C Financial Oversight staffs' reasonability review. The enhancement would have to be made by a staff augmentation vendor.	

SCHEDULE IX: MAJOR AUDIT FINDINGS AND RECOMMENDATIONS

Budget Period: 2009-2010

Department: Office of Insurance Regulation

Chief Internal Auditor: Bonnie Deering

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(1) REPORT NUMBER	(2) PERIOD ENDING	(3) UNIT/AREA	(4) SUMMARY OF FINDINGS AND RECOMMENDATIONS	(5) SUMMARY OF CORRECTIVE ACTION TAKEN	(6) ISSUE CODE
			5) P&C Financial Oversight should formalize and implement written procedures for management & staff with responsibilities relating to QUASRng.	5) P&C's Financial Oversight's *QUASRng Review Procedure* document took effect on 8/1/09, and was formally approved on May 12, 2010. Management will ensure each staff member is trained on the procedure.	
			Finding 2 - Data Security: 6) Management should review access controls to determine if the identity of a new industry user can be validated & authorized by the user's company & QUASRng prior to accepting any data submissions from that user.	6) Updated 6/21/10 - The Office cannot confirm that QUASRng changes alone will fully address the recommendation. QUASRng notifies existing company subscribers when someone new subscribes to their company. Market Research & Technology Unit (MRU) is proposing a message to be included with the *New Subscriber Notice*, as well as the *Submission Confirmation Notice* to alert companies to review all filers on a regular basis. Management is currently reviewing this proposal.	
			7) An OIR contact telephone number should be provided for all industry users to call if questions arise concerning submission of data to QUASRng and to obtain information and guidance concerning actions to be taken if data is submitted by an unauthorized person.	7) The direct phone number to the Market Research Unit (MRU) will be added to the external QUASRng reporting page. The MRU direct line will also be included on all QUASRng notices.	
			8) Access Controls should be established for QUASRng that result in: 1) Compliance with AP&P's.	8) The Office will ensure compliance and complete Form DFS-BO-1820.	

SCHEDULE IX: MAJOR AUDIT FINDINGS AND RECOMMENDATIONS   **Budget Period: 2009-2010**

Department: Office of Insurance Regulation   **Chief Internal Auditor:** Bonnie Deering

Budget Entity: 43900120   **Phone Number:** 850-413-4975

(1) REPORT NUMBER	(2) PERIOD ENDING	(3) UNIT/AREA	(4) SUMMARY OF FINDINGS AND RECOMMENDATIONS	(5) SUMMARY OF CORRECTIVE ACTION TAKEN	(6) ISSUE CODE
			Finding 3 - QUASRng System Related Issues 9) Management and staff should work with DIS to resolve existing system issues and, where technically & economically feasible, adopt & implement system enhancements.	9) The Office continues to work with a staff augmentation vendor, and will consult DIS as needed for infrastructure support to resolve system issues. The Office will also coordinate future enhancements via the procedures outlined in AP&P OIR 1-1.	
			Finding 4 - Non-Compliance with OIR Software Change Procedures 10) Management should direct all concerned within the Office to comply with all aspects of OIR AP&P 1-1, including the completion of the required forms, evaluation and approval/disapproval of each proposed change, testing and approval of system test results associated with each approved change, before the changed software is moved into production.	10) Updated 6/21/10 - The Market Research Unit met in late April to discuss the scope of changes to be documented. The completed documentation relating to QUASRng software changes was submitted to the Office of Inspector General on 6/21/10. The Office will ensure appropriate documentation is completed going forward.	
			Finding 5 - Need for Additional Business Unit Procedures 11) MRU and Market Investigations should formalize and implement QUASRng-related procedures that reflect the roles and responsibilities that are under their respective purviews of authority.	11) MRU operational procedures took effect on March 1, 2010. Market Investigations' formal policy and procedures were approved and signed on April 27, 2010. A copy was provided to the Office of Inspector General on May 14, 2010.	

SCHEDULE IX: MAJOR AUDIT FINDINGS AND RECOMMENDATIONS   **Budget Period: 2009-2010**

Department: Office of Insurance Regulation   **Chief Internal Auditor:** Bonnie Deering

Budget Entity: 43900120   **Phone Number:** 850-413-4975

(1)	(2)	(3)	(4)	(5)	(6)
REPORT NUMBER	PERIOD ENDING	UNIT/AREA	SUMMARY OF FINDINGS AND RECOMMENDATIONS	SUMMARY OF CORRECTIVE ACTION TAKEN	ISSUE CODE
			Finding 7 - Disaster Recovery Deficiency 12) Management should amend both the Office's COOP and the DIS COOP applications list to include QUASRng.	12) Per the OIR's request, DIS informed the OIR that QUASRng had been added to the DIS COOP list as of October 28, 2009. The updated list was posted on the DFS Intranet on or about February 23, 2010.	

Office of Policy and Budget - July 2010

SCHEDULE IX: MAJOR AUDIT FINDINGS AND RECOMMENDATIONS   **Budget Period: 2011 - 2012**

Department: Office of Financial Regulation   **Chief Internal Auditor:** Karen Calhoun

43900530,   43900560, 43900570
43900540,
Budget Entity: 43900550   **Phone Number:** (850)410-9674

| (1) | (2) | (3) | (4) | (5) | (6) |
REPORT NUMBER	PERIOD ENDING	UNIT/AREA	SUMMARY OF FINDINGS AND RECOMMENDATIONS	SUMMARY OF CORRECTIVE ACTION TAKEN	ISSUE CODE
07/08-001-A	September-08	Agency-wide	**Finding**: For the six-month billing cycles examined, thirty of seventy-five (40%) mobile communication devices (cell phones/blackberries) were used 50% or less of the time. Twenty-eight of these thirty devices are on a shared basis. Fourteen of the thirty devices were not used at all.		
			Recommendation: OFR should: • Determine the agency's cell phone needs.• Modify the Cellular Phone Usage policy to reflect agency decisions. • Update agency cell phone plans to reflect decisions.	The Agency had not fully implemented the recommendation as of June 30, 2010.	
2009-110	December-08	State-chartered Banks and Credit Unions	**Finding:** OFR did not adequately document, through the use of its established worksheets and the elements of de novo bank applications that were reviewed for compliance with the requirements of Florida law and rules.		
			Recommendation: To promote the consistent review of de novo bank applications, as well as better ensure documentation and transfer of institutional knowledge, OFR should amend its current policies and procedures to require the completion of the established worksheets and checklists. To better facilitate the use of these documents, OFR should consider the development of a checklist encompassing into one standard document all of the review requirements pertinent to an application for a de novo bank.	The Agency has implemented the recommendation.	
			Finding: OFR had not established written procedures related to on-going surveillance of State-chartered financial institutions.		
			Recommendation: We recommend that OFR adopt written surveillance procedures.	The Agency has implemented the recommendation.	

Office of Policy and Budget - July 2010

Fiscal Year 2011-12 LBR Technical Review Checklist

Department/Budget Entity (Service): Financial Services/Financial Accountability for Public Funds

Agency Budget Officer/OPB Analyst Name: Teri Madsen/Walter Liebrich

A "Y" indicates "YES" and is acceptable, an "N/J" indicates "NO/Justification Provided" - these require further explanation/justification (additional sheets can be used as necessary), and "TIPS" are other areas to consider.

	Action	Program or Service (Budget Entity Codes)				
		43010100	43010200	43010300	43010400	43010500
1. GENERAL						
1.1	Are Columns A01, A02, A04, A05, A10, A11, A36, IA1, IA4, IA5, IP1,V1, IV3 and NV1 set to TRANSFER CONTROL for DISPLAY status and MANAGEMENT CONTROL for UPDATE status for both the Budget and Trust Fund columns? Are Columns A06, A07, A08 and A09 for Fixed Capital Outlay (FCO) set to TRANSFER CONTROL for DISPLAY status only? **(CSDI)**	Y	Y	Y	Y	Y
1.2	Is Column A03 set to TRANSFER CONTROL for DISPLAY and UPDATE status for both the Budget and Trust Fund columns? **(CSDI)**	Y	Y	Y	Y	Y
AUDITS:						
1.3	Has Column A03 been copied to Column A12? Run the Exhibit B Audit Comparison Report to verify. **(EXBR, EXBA)**	Y	Y	Y	Y	Y
1.4	Has security been set correctly? **(CSDR, CSA)**	Y	Y	Y	Y	Y
TIP	The agency should prepare the budget request for submission in this order: 1) Lock columns as described above; 2) copy Column A03 to Column A12; and 3) set Column A12 column security to ALL for DISPLAY status and MANAGEMENT CONTROL for UPDATE status.					
2. EXHIBIT A (EADR, EXA)						
2.1	Is the budget entity authority and description consistent with the agency's LRPP and does it conform to the directives provided on page 56 of the LBR Instructions?	Y	Y	Y	Y	Y
2.2	Are the statewide issues generated systematically (estimated expenditures, nonrecurring expenditures, etc.) included?	Y	Y	Y	Y	Y
2.3	Are the issue codes and titles consistent with *Section 3* of the LBR Instructions (pages 15 through 27)? Do they clearly describe the issue?	Y	Y	Y	Y	Y
2.4	Have the coding guidelines in *Section 3* of the LBR Instructions (pages 15 through 27) been followed?	Y	Y	Y	Y	Y
3. EXHIBIT B (EXBR, EXB)						
3.1	Is it apparent that there is a fund shift and were the issues entered into LAS/PBS correctly? Check D-3A funding shift issue 340XXX0 - a unique deduct and unique add back issue should be used to ensure fund shifts display correctly on the LBR exhibits.	Y	Y	Y	Y	Y
3.2	Are the 33XXXX0 issues negative amounts only and do not restore nonrecurring cuts from a prior year or fund any issues that net to a positive or zero amount? Check D-3A issues 33XXXX0 - a unique issue should be used for issues that net to zero or a positive amount.	Y	Y	Y	Y	Y
AUDITS:						

		Program or Service (Budget Entity Codes)				
	Action	43010100	43010200	43010300	43010400	43010500
3.3	Negative Appropriation Category Audit for Agency Request (Columns A03 and A04): Are all appropriation categories positive by budget entity at the FSI level? Are all nonrecurring amounts less than requested amounts? **(NACR, NAC - Report should print "No Negative Appropriation Categories Found")**	Y	Y	Y	Y	Y
3.4	Current Year Estimated Verification Comparison Report: Is Column A02 equal to Column B07? **(EXBR, EXBC - Report should print "Records Selected Net To Zero")**	Y	Y	Y	Y	Y
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)

		43010100	43010200	43010300	43010400	43010500
4.1	Is the program component objective statement consistent with the agency LRPP, and does it conform to the directives provided on page 59 of the LBR Instructions?	Y	Y	Y	Y	Y
4.2	Is the program component code and title used correct?	Y	Y	Y	Y	Y
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)

		43010100	43010200	43010300	43010400	43010500
5.1	Are all object of expenditures positive amounts? (This is a manual check.)	Y	Y	Y	Y	Y
AUDITS:						
5.2	Do the fund totals agree with the object category totals within each appropriation category? **(ED1R, XD1A - Report should print "No Differences Found For This Report")**	Y	Y	Y	Y	Y
5.3	FLAIR Expenditure/Appropriation Ledger Comparison Report: Is Column A01 less than Column B04? **(EXBR, EXBB - Negative differences need to be corrected in Column A01.)**	Y	Y	Y	Y	Y
5.4	A01/State Accounts Disbursements and Carry Forward Comparison Report: Does Column A01 equal Column B08? **(EXBR, EXBD - Differences need to be corrected in Column A01.)**	Y	Y	Y	Y	Y
TIP	If objects are negative amounts, the agency must make adjustments to Column A01 to correct the object amounts. In addition, the fund totals must be adjusted to reflect the adjustment made to the object data.					
TIP	If fund totals and object totals do not agree or negative object amounts exist, the agency must adjust Column A01.					

Action	Program or Service (Budget Entity Codes)				
	43010100	43010200	43010300	43010400	43010500
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 2009-10 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	Y	Y	Y
TIP Exhibit D-3 is no longer required in the budget submission but may be needed for this particular appropriation category/issue sort. Exhibit D-3 is also a useful report when identifying negative appropriation category problems.					
7. EXHIBIT D-3A (EADR, ED3A)					
7.1 Are the issue titles correct and do they clearly identify the issue? (See pages 15 through 31 of the LBR Instructions.)	Y	Y	Y	Y	Y
7.2 Does the issue narrative adequately explain the agency's request and is the explanation consistent with the LRPP? (See page 65 of the LBR Instructions.)	Y	Y	Y	Y	Y
7.3 Does the narrative for Information Technology (IT) issue follow the additional narrative requirements described on pages 66 through 69 of the LBR Instructions?	Y	Y	Y	Y	Y
7.4 Are all issues with an IT component identified with a "Y" in the "IT COMPONENT?" field? If the issue contains an IT component, has that component been identified and documented?	Y	Y	Y	Y	Y
7.5 Does the issue narrative explain any variances from the Standard Expense and Human Resource Services Assessments package? Is the nonrecurring portion in the nonrecurring column? (See pages E-4 and E-5 of the LBR Instructions.)	Y	Y	Y	Y	Y
7.6 Does the salary rate request amount accurately reflect any new requests and are the amounts proportionate to the Salaries and Benefits request? Note: Salary rate should always be annualized.	Y	Y	Y	Y	Y
7.7 Does the issue narrative thoroughly explain/justify all Salaries and Benefits amounts entered into the Other Salary Amounts transactions (OADA/C)? Amounts entered into OAD are reflected in the Position Detail of Salaries and Benefits section of the Exhibit D-3A.	Y	Y	Y	Y	Y
7.8 Does the issue narrative include the Consensus Estimating Conference forecast, where appropriate?	Y	Y	Y	Y	Y
7.9 Does the issue narrative reference the specific county(ies) where applicable?	Y	Y	Y	Y	Y
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 #11-006?	Y	Y	Y	Y	Y

	Program or Service (Budget Entity Codes)				
Action	43010100	43010200	43010300	43010400	43010500
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**)	Y	Y	Y	Y	Y
7.12 Does the issue narrative include plans to satisfy additional space requirements when requesting additional positions?	Y	Y	Y	Y	Y
7.13 Has the agency included a 160XXX0 issue and 210XXXX and 260XXX0 issues as required for lump sum distributions?	Y	Y	Y	Y	Y
7.14 Do the amounts reflect appropriate FSI assignments?	Y	Y	Y	Y	Y
7.15 Do the issues relating to *salary and benefits* have an "A" in the fifth position of the issue code (XXXXAXX) and are they self-contained (not combined with other issues)? (See page 26 and 86 of the LBR Instructions.)	Y	Y	Y	Y	Y
7.16 Do the issues relating to *Information Technology (IT)* have a "C" in the sixth position of the issue code (36XXXCX) and are the correct issue codes used (361XXC0, 362XXC0, 363XXC0, 17C01C0, 17C02C0, 17C03C0, 24010C0, 33001C0 or 55C01C0)?	Y	Y	Y	Y	Y
7.17 Are the issues relating to *major audit findings and recommendations* properly coded (4A0XXX0, 4B0XXX0)?	Y	Y	Y	Y	Y
AUDIT:					
7.18 Are all FSI's equal to '1', '2', '3', or '9'? There should be no FSI's equal to '0'. (**EADR, FSIA - Report should print "No Records Selected For Reporting"**)	Y	Y	Y	Y	Y
7.19 Does the General Revenue for 160XXXX issues net to zero? (**GENR, LBR1**)	Y	Y	Y	Y	Y
7.20 Does the General Revenue for 180XXXX issues net to zero? (**GENR, LBR2**)	Y	Y	Y	Y	Y
7.21 Does the General Revenue for 200XXXX issues net to zero? (**GENR, LBR3**)	Y	Y	Y	Y	Y
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))**	Y	Y	Y	Y	Y
TIP Salaries and Benefits amounts entered using the OADA/C transactions must be thoroughly justified in the D-3A issue narrative. Agencies can run **OADA/OADR** from STAM to identify the amounts entered into OAD and ensure these entries have been thoroughly explained in the D-3A issue narrative.					
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.					

Action	Program or Service (Budget Entity Codes)				
	43010100	43010200	43010300	43010400	43010500
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)

Action	43010100	43010200	43010300	43010400	43010500
8.1 Has a separate department level Schedule I and supporting documents package been submitted by the agency?	Y	Y	Y	Y	Y
8.2 Has a Schedule I been completed in LAS/PBS for each operating trust fund?	Y	Y	Y	Y	Y
8.3 Have the appropriate Schedule I supporting documents been included for the trust funds (Schedule IA, Schedule IB, Schedule IC, and Reconciliation to Trial Balance)?	Y	Y	Y	Y	Y
8.4 Have the Examination of Regulatory Fees Part I and Part II forms been included for the applicable regulatory programs?	Y	Y	Y	Y	Y
8.5 Have the required detailed narratives been provided (5% trust fund reserve narrative; method for computing the distribution of cost for general management and administrative services narrative; adjustments narrative; revenue estimating methodology narrative)?	Y	Y	Y	Y	Y
8.6 Has the Inter-Agency Transfers Reported on Schedule I form been included as applicable for transfers totaling $100,000 or more for the fiscal year?	Y	Y	Y	Y	Y
8.7 If the agency is scheduled for the annual trust fund review this year, have the Schedule ID and applicable draft legislation been included for recreation, modification or termination of existing trust funds?	Y	Y	Y	Y	Y
8.8 If the agency is scheduled for the annual trust fund review this year, have the necessary trust funds been requested for creation pursuant to *section 215.32(2)(b), Florida Statutes* - including the Schedule ID and applicable legislation?	Y	Y	Y	Y	Y
8.9 Are the revenue codes correct? In the case of federal revenues, has the agency appropriately identified direct versus indirect receipts (object codes 000700, 000750, 000799, 001510 and 001599)?	Y	Y	Y	Y	Y
8.10 Are the statutory authority references correct?	Y	Y	Y	Y	Y
8.11 Are the General Revenue Service Charge percentage rates used for each revenue source correct? (Refer to Chapter 2009-78, Laws of Florida, for appropriate general revenue service charge percentage rates.)	Y	Y	Y	Y	Y
8.12 Is this an accurate representation of revenues based on the most recent Consensus Estimating Conference forecasts?	Y	Y	Y	Y	Y

Action	Program or Service (Budget Entity Codes)				
	43010100	43010200	43010300	43010400	43010500
8.13 If there is no Consensus Estimating Conference forecast available, do the revenue estimates appear to be reasonable?	Y	Y	Y	Y	Y
8.14 Are the federal funds revenues reported in Section I broken out by individual grant? Are the correct CFDA codes used?	Y	Y	Y	Y	Y
8.15 Are anticipated grants included and based on the state fiscal year (rather than federal fiscal year)?	Y	Y	Y	Y	Y
8.16 Are the Schedule I revenues consistent with the FSI's reported in the Exhibit D-3A?	Y	Y	Y	Y	Y
8.17 If applicable, are nonrecurring revenues entered into Column A04?	Y	Y	Y	Y	Y
8.18 Has the agency certified the revenue estimates in columns A02 and A03 to be the latest and most accurate available? Does the certification include a statement that the agency will notify OPB of any significant changes in revenue estimates that occur prior to the Governor's Budget Recommendations being issued?	Y	Y	Y	Y	Y
8.19 Is a 5% trust fund reserve reflected in Section II? If not, is sufficient justification provided for exemption? Are the additional narrative requirements provided?	Y	Y	Y	Y	Y
8.20 Are appropriate service charge nonoperating amounts included in Section II?	Y	Y	Y	Y	Y
8.21 Are nonoperating expenditures to other budget entities/departments cross-referenced accurately?	Y	Y	Y	Y	Y
8.22 Do transfers balance between funds (within the agency as well as between agencies)? (See also 8.6 for required transfer confirmation of amounts totaling $100,000 or more.)	Y	Y	Y	Y	Y
8.23 Are nonoperating expenditures recorded in Section II and adjustments recorded in Section III?	Y	Y	Y	Y	Y
8.24 Are prior year September operating reversions appropriately shown in column A01?	Y	Y	Y	Y	Y
8.25 Are current year September operating reversions appropriately shown in column A02?	Y	Y	Y	Y	Y
8.26 Does the Schedule IC properly reflect the unreserved fund balance for each trust fund as defined by the LBR Instructions, and is it reconciled to the agency accounting records?	Y	Y	Y	Y	Y
8.27 Does Column A01 of the Schedule I accurately represent the actual prior year accounting data as reflected in the agency accounting records, and is it provided in sufficient detail for analysis?	Y	Y	Y	Y	Y
8.28 Does Line I of Column A01 (Schedule I) equal Line K of the Schedule IC?	Y	Y	Y	Y	Y
AUDITS:					
8.29 Is Line I a positive number? (If not, the agency must adjust the budget request to eliminate the deficit).	Y	Y	Y	Y	Y
8.30 Is the June 30 Adjusted Unreserved Fund Balance (Line I) equal to the July 1 Unreserved Fund Balance (Line A) of the following year? **(SC1R, SC1A - Report should print "No Discrepancies Exist For This Report")**	Y	Y	Y	Y	Y

		Program or Service (Budget Entity Codes)				
	Action	43010100	43010200	43010300	43010400	43010500
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	Y	Y	Y
TIP	The Schedule I is the most reliable source of data concerning the trust funds. It is very important that this schedule is as accurate as possible!					
TIP	Determine if the agency is scheduled for trust fund review. (See page 125 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 *Base Rate Audit* on page 157 of the LBR Instructions.)	Y	Y	Y	Y	Y

10. SCHEDULE III (PSCR, SC3)

10.1	Is the appropriate lapse amount applied in Segment 3? (See page 87 of the LBR Instructions.)	Y	Y	Y	Y	Y
10.2	Are amounts in *Other Salary Amount* appropriate and fully justified? (See page 94 of the LBR Instructions for appropriate use of the OAD transaction.) Use **OADI** or **OADR** to identify agency other salary amounts requested.	Y	Y	Y	Y	Y

11. SCHEDULE IV (EADR, SC4)

11.1	Are the correct Information Technology (IT) issue codes used?	Y	Y	Y	Y	Y
TIP	If IT issues are not coded correctly (with "C" in 6th position), they will not appear in the Schedule IV.					

12. SCHEDULE VIIIA (EADR, SC8A)

12.1	Is there only one #1 priority, one #2 priority, one #3 priority, etc. reported on the Schedule VIII-A? Are the priority narrative explanations adequate?	Y	Y	Y	Y	Y

13. SCHEDULE VIIIB-1 (EADR, S8B1)

13.1	Do the reductions comply with the instructions provided on pages 98 through 101 of the LBR Instructions regarding a 5% reduction in recurring and nonrecurring General Revenue and Trust Funds?	Y	Y	Y	Y	Y

14. SCHEDULE VIIIB-2 (EADR, S8B2)

14.1	Do the reductions comply with the instructions provided on pages 102 through 104 of the LBR Instructions regarding a 15% reduction in recurring General Revenue and Trust Funds?	Y	Y	Y	Y	Y

15. SCHEDULE XI (LAS/PBS Web - see page 108 of the LBR Instructions for detailed instructions)

	Action	Program or Service (Budget Entity Codes)				
		43010100	43010200	43010300	43010400	43010500
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 *section 216.023(4) (b), Florida Statutes,* the Legislature can reduce the funding level for any agency that does not provide this information.)	Y	Y	Y	Y	Y
15.2	Do the PDF files uploaded to the Florida Fiscal Portal for the LRPP and LBR match the Excel file e-mailed to OPB?	Y	Y	Y	Y	Y
AUDITS INCLUDED IN THE SCHEDULE XI REPORT:						
15.3	Does the FY 2009-10 Actual (prior year) Expenditures in Column A36 reconcile to Column A01? (**GENR, ACT1**)	Y	Y	Y	Y	Y
15.4	None of the executive direction, administrative support and information technology statewide activities (ACT0010 thru ACT0490) have output standards (Record Type 5)? (**Audit #1 should print "No Activities Found"**)	Y	Y	Y	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"**)	Y	Y	Y	Y	Y
15.6	Has the agency provided the necessary demand (Record Type 5) for all activities which <u>should</u> appear in Section II? (Note: Audit #3 will identify those activities that do NOT have a Record Type '5' and have not been identified as a 'Pass Through' activity. These activities will be displayed in Section III with the 'Payment of Pensions, Benefits and Claims' activity and 'Other' activities. Verify if these activities should be displayed in Section III. If not, an output standard would need to be added for that activity and the Schedule XI submitted again.)	Y	Y	Y	Y	Y
15.7	Does Section I (Final Budget for Agency) and Section III (Total Budget for Agency) equal? (**Audit #4 should print "No Discrepancies Found"**)	Y	Y	Y	Y	Y
TIP	If Section I and Section III have a small difference, it may be due to rounding and therefore will be acceptable.					
16. MANUALLY PREPARED EXHIBITS & SCHEDULES						
16.1	Do exhibits and schedules comply with LBR Instructions (pages 110 through 154 of the LBR Instructions), and are they accurate and complete?	Y	Y	Y	Y	Y
16.2	Are appropriation category totals comparable to Exhibit B, where applicable?	Y	Y	Y	Y	Y
16.3	Are agency organization charts (Schedule X) provided and at the appropriate level of detail?	Y	Y	Y	Y	Y
AUDITS - GENERAL INFORMATION						
TIP	Review *Section 6: Audits* of the LBR Instructions for a list of audits and their descriptions.					
TIP	Reorganizations may cause audit errors. Agencies must indicate that these errors are due to an agency reorganization to justify the audit error.					
17. CAPITAL IMPROVEMENTS PROGRAM (CIP)						
17.1	Are the CIP-2, CIP-3, CIP-A and CIP-B forms included?	Y	Y	Y	Y	Y
17.2	Are the CIP-4 and CIP-5 forms submitted when applicable (see CIP Instructions)?	Y	Y	Y	Y	Y

		Program or Service (Budget Entity Codes)				
	Action	43010100	43010200	43010300	43010400	43010500
17.3	Do all CIP forms comply with CIP Instructions where applicable (see CIP Instructions)?	Y	Y	Y	Y	Y
17.4	Does the agency request include 5 year projections (Columns A03, A06, A07, A08 and A09)?	Y	Y	Y	Y	Y
17.5	Are the appropriate counties identified in the narrative?	Y	Y	Y	Y	Y
17.6	Has the CIP-2 form (Exibit B) been modified to include the agency priority for each project and the modified form saved as a PDF document?	Y	Y	Y	Y	Y
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	Y	Y	Y

Fiscal Year 2011-12 LBR Technical Review Checklist

Department/Budget Entity (Service): Financial Services/Financial Accountability for Public Funds

Agency Budget Officer/OPB Analyst Name: Teri Madsen/Walter Liebrich

A "Y" indicates "YES" and is acceptable, an "N/J" indicates "NO/Justification Provided" - these require further explanation/justification (additional sheets can be used as necessary), and "TIPS" are other areas to consider.

Action	Program or Service (Budget Entity Codes)		
	43100200	43100300	43100400
1. GENERAL			
1.1 Are Columns A01, A02, A04, A05, A10, A11, A36, IA1, IA4, IA5, IP1,V1, IV3 and NV1 set to TRANSFER CONTROL for DISPLAY status and MANAGEMENT CONTROL for UPDATE status for both the Budget and Trust Fund columns? Are Columns A06, A07, A08 and A09 for Fixed Capital Outlay (FCO) set to TRANSFER CONTROL for DISPLAY status only? **(CSDI)**	Y	Y	Y
1.2 Is Column A03 set to TRANSFER CONTROL for DISPLAY and UPDATE status for both the Budget and Trust Fund columns? **(CSDI)**	Y	Y	Y
AUDITS:			
1.3 Has Column A03 been copied to Column A12? Run the Exhibit B Audit Comparison Report to verify. **(EXBR, EXBA)**	Y	Y	Y
1.4 Has security been set correctly? **(CSDR, CSA)**	Y	Y	Y
TIP The agency should prepare the budget request for submission in this order: 1) Lock columns as described above; 2) copy Column A03 to Column A12; and 3) set Column A12 column security to ALL for DISPLAY status and MANAGEMENT CONTROL for UPDATE status.			
2. EXHIBIT A (EADR, EXA)			
2.1 Is the budget entity authority and description consistent with the agency's LRPP and does it conform to the directives provided on page 56 of the LBR Instructions?	Y	Y	Y
2.2 Are the statewide issues generated systematically (estimated expenditures, nonrecurring expenditures, etc.) included?	Y	Y	Y
2.3 Are the issue codes and titles consistent with *Section 3* of the LBR Instructions (pages 15 through 27)? Do they clearly describe the issue?	Y	Y	Y
2.4 Have the coding guidelines in *Section 3* of the LBR Instructions (pages 15 through 27) been followed?	Y	Y	Y
3. EXHIBIT B (EXBR, EXB)			
3.1 Is it apparent that there is a fund shift and were the issues entered into LAS/PBS correctly? Check D-3A funding shift issue 340XXX0 - a unique deduct and unique add back issue should be used to ensure fund shifts display correctly on the LBR exhibits.	Y	Y	Y
3.2 Are the 33XXXX0 issues negative amounts only and do not restore nonrecurring cuts from a prior year or fund any issues that net to a positive or zero amount? Check D-3A issues 33XXXX0 - a unique issue should be used for issues that net to zero or a positive amount.	Y	Y	Y
AUDITS:			

		Program or Service (Budget Entity Codes)		
	Action	43100200	43100300	43100400
3.3	Negative Appropriation Category Audit for Agency Request (Columns A03 and A04): Are all appropriation categories positive by budget entity at the FSI level? Are all nonrecurring amounts less than requested amounts? **(NACR, NAC - Report should print "No Negative Appropriation Categories Found")**	Y	Y	Y
3.4	Current Year Estimated Verification Comparison Report: Is Column A02 equal to Column B07? **(EXBR, EXBC - Report should print "Records Selected Net To Zero")**	Y	Y	Y
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	Y
4.2	Is the program component code and title used correct?	Y	Y	Y
TIP	Fund shifts or transfers of services or activities between program components will be displayed on an Exhibit D whereas it may not be visible on an Exhibit A.			

5. EXHIBIT D-1 (ED1R, EXD1)

5.1	Are all object of expenditures positive amounts? (This is a manual check.)	Y	Y	Y

AUDITS:

5.2	Do the fund totals agree with the object category totals within each appropriation category? **(ED1R, XD1A - Report should print "No Differences Found For This Report")**	Y	Y	Y
5.3	FLAIR Expenditure/Appropriation Ledger Comparison Report: Is Column A01 less than Column B04? **(EXBR, EXBB - Negative differences need to be corrected in Column A01.)**	Y	Y	Y
5.4	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.)**	Y	Y	Y
TIP	If objects are negative amounts, the agency must make adjustments to Column A01 to correct the object amounts. In addition, the fund totals must be adjusted to reflect the adjustment made to the object data.			
TIP	If fund totals and object totals do not agree or negative object amounts exist, the agency must adjust Column A01.			

	Action	Program or Service (Budget Entity Codes)		
		43100200	43100300	43100400
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 2009-10 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.)

	Action	43100200	43100300	43100400
6.1	Are issues appropriately aligned with appropriation categories?	Y	Y	Y
TIP	Exhibit D-3 is no longer required in the budget submission but may be needed for this particular appropriation category/issue sort. Exhibit D-3 is also a useful report when identifying negative appropriation category problems.			

7. EXHIBIT D-3A (EADR, ED3A)

	Action	43100200	43100300	43100400
7.1	Are the issue titles correct and do they clearly identify the issue? (See pages 15 through 31 of the LBR Instructions.)	Y	Y	Y
7.2	Does the issue narrative adequately explain the agency's request and is the explanation consistent with the LRPP? (See page 65 of the LBR Instructions.)	Y	Y	Y
7.3	Does the narrative for Information Technology (IT) issue follow the additional narrative requirements described on pages 66 through 69 of the LBR Instructions?	Y	Y	Y
7.4	Are all issues with an IT component identified with a "Y" in the "IT COMPONENT?" field? If the issue contains an IT component, has that component been identified and documented?	Y	Y	Y
7.5	Does the issue narrative explain any variances from the Standard Expense and Human Resource Services Assessments package? Is the nonrecurring portion in the nonrecurring column? (See pages E-4 and E-5 of the LBR Instructions.)	Y	Y	Y
7.6	Does the salary rate request amount accurately reflect any new requests and are the amounts proportionate to the Salaries and Benefits request? Note: Salary rate should always be annualized.	Y	Y	Y
7.7	Does the issue narrative thoroughly explain/justify all Salaries and Benefits amounts entered into the Other Salary Amounts transactions (OADA/C)? Amounts entered into OAD are reflected in the Position Detail of Salaries and Benefits section of the Exhibit D-3A.	Y	Y	Y
7.8	Does the issue narrative include the Consensus Estimating Conference forecast, where appropriate?	Y	Y	Y
7.9	Does the issue narrative reference the specific county(ies) where applicable?	Y	Y	Y
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 #11-006?	Y	Y	Y

	Action	Program or Service (Budget Entity Codes)		
		43100200	43100300	43100400
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)**	Y	Y	Y
7.12	Does the issue narrative include plans to satisfy additional space requirements when requesting additional positions?	Y	Y	Y
7.13	Has the agency included a 160XXX0 issue and 210XXXX and 260XXX0 issues as required for lump sum distributions?	Y	Y	Y
7.14	Do the amounts reflect appropriate FSI assignments?	Y	Y	Y
7.15	Do the issues relating to *salary and benefits* have an "A" in the fifth position of the issue code (XXXXAXX) and are they self-contained (not combined with other issues)? (See page 26 and 86 of the LBR Instructions.)	Y	Y	Y
7.16	Do the issues relating to *Information Technology (IT)* have a "C" in the sixth position of the issue code (36XXXCX) and are the correct issue codes used (361XXC0, 362XXC0, 363XXC0, 17C01C0, 17C02C0, 17C03C0, 24010C0, 33001C0 or 55C01C0)?	Y	Y	Y
7.17	Are the issues relating to *major audit findings and recommendations* properly coded (4A0XXX0, 4B0XXX0)?	Y	Y	Y
AUDIT:				
7.18	Are all FSI's equal to '1', '2', '3', or '9'? There should be no FSI's equal to '0'. **(EADR, FSIA - Report should print "No Records Selected For Reporting")**	Y	Y	Y
7.19	Does the General Revenue for 160XXXX issues net to zero? **(GENR, LBR1)**	Y	Y	Y
7.20	Does the General Revenue for 180XXXX issues net to zero? **(GENR, LBR2)**	Y	Y	Y
7.21	Does the General Revenue for 200XXXX issues net to zero? **(GENR, LBR3)**	Y	Y	Y
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))**	Y	Y	Y
TIP	Salaries and Benefits amounts entered using the OADA/C transactions must be thoroughly justified in the D-3A issue narrative. Agencies can run **OADA/OADR** from STAM to identify the amounts entered into OAD and ensure these entries have been thoroughly explained in the D-3A issue narrative.			
TIP	The issue narrative must completely and thoroughly explain and justify each D-3A issue. Agencies must ensure it provides the information necessary for the OPB and legislative analysts to have a complete understanding of the issue submitted. Thoroughly review pages 64 through 70 of the LBR Instructions.			

		Program or Service (Budget Entity Codes)		
	Action	43100200	43100300	43100400
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)

		43100200	43100300	43100400
8.1	Has a separate department level Schedule I and supporting documents package been submitted by the agency?	Y	Y	Y
8.2	Has a Schedule I been completed in LAS/PBS for each operating trust fund?	Y	Y	Y
8.3	Have the appropriate Schedule I supporting documents been included for the trust funds (Schedule IA, Schedule IB, Schedule IC, and Reconciliation to Trial Balance)?	Y	Y	Y
8.4	Have the Examination of Regulatory Fees Part I and Part II forms been included for the applicable regulatory programs?	Y	Y	Y
8.5	Have the required detailed narratives been provided (5% trust fund reserve narrative; method for computing the distribution of cost for general management and administrative services narrative; adjustments narrative; revenue estimating methodology narrative)?	Y	Y	Y
8.6	Has the Inter-Agency Transfers Reported on Schedule I form been included as applicable for transfers totaling $100,000 or more for the fiscal year?	Y	Y	Y
8.7	If the agency is scheduled for the annual trust fund review this year, have the Schedule ID and applicable draft legislation been included for recreation, modification or termination of existing trust funds?	Y	Y	Y
8.8	If the agency is scheduled for the annual trust fund review this year, have the necessary trust funds been requested for creation pursuant to *section 215.32(2)(b), Florida Statutes* - including the Schedule ID and applicable legislation?	Y	Y	Y
8.9	Are the revenue codes correct? In the case of federal revenues, has the agency appropriately identified direct versus indirect receipts (object codes 000700, 000750, 000799, 001510 and 001599)?	Y	Y	Y
8.10	Are the statutory authority references correct?	Y	Y	Y
8.11	Are the General Revenue Service Charge percentage rates used for each revenue source correct? (Refer to Chapter 2009-78, Laws of Florida, for appropriate general revenue service charge percentage rates.)	Y	Y	Y
8.12	Is this an accurate representation of revenues based on the most recent Consensus Estimating Conference forecasts?	Y	Y	Y

	Action	Program or Service (Budget Entity Codes)		
		43100200	43100300	43100400
8.13	If there is no Consensus Estimating Conference forecast available, do the revenue estimates appear to be reasonable?	Y	Y	Y
8.14	Are the federal funds revenues reported in Section I broken out by individual grant? Are the correct CFDA codes used?	Y	Y	Y
8.15	Are anticipated grants included and based on the state fiscal year (rather than federal fiscal year)?	Y	Y	Y
8.16	Are the Schedule I revenues consistent with the FSI's reported in the Exhibit D-3A?	Y	Y	Y
8.17	If applicable, are nonrecurring revenues entered into Column A04?	Y	Y	Y
8.18	Has the agency certified the revenue estimates in columns A02 and A03 to be the latest and most accurate available? Does the certification include a statement that the agency will notify OPB of any significant changes in revenue estimates that occur prior to the Governor's Budget Recommendations being issued?	Y	Y	Y
8.19	Is a 5% trust fund reserve reflected in Section II? If not, is sufficient justification provided for exemption? Are the additional narrative requirements provided?	Y	Y	Y
8.20	Are appropriate service charge nonoperating amounts included in Section II?	Y	Y	Y
8.21	Are nonoperating expenditures to other budget entities/departments cross-referenced accurately?	Y	Y	Y
8.22	Do transfers balance between funds (within the agency as well as between agencies)? (See also 8.6 for required transfer confirmation of amounts totaling $100,000 or more.)	Y	Y	Y
8.23	Are nonoperating expenditures recorded in Section II and adjustments recorded in Section III?	Y	Y	Y
8.24	Are prior year September operating reversions appropriately shown in column A01?	Y	Y	Y
8.25	Are current year September operating reversions appropriately shown in column A02?	Y	Y	Y
8.26	Does the Schedule IC properly reflect the unreserved fund balance for each trust fund as defined by the LBR Instructions, and is it reconciled to the agency accounting records?	Y	Y	Y
8.27	Does Column A01 of the Schedule I accurately represent the actual prior year accounting data as reflected in the agency accounting records, and is it provided in sufficient detail for analysis?	Y	Y	Y
8.28	Does Line I of Column A01 (Schedule I) equal Line K of the Schedule IC?	Y	Y	Y
AUDITS:				
8.29	Is Line I a positive number? (If not, the agency must adjust the budget request to eliminate the deficit).	Y	Y	Y
8.30	Is the June 30 Adjusted Unreserved Fund Balance (Line I) equal to the July 1 Unreserved Fund Balance (Line A) of the following year? **(SC1R, SC1A - Report should print "No Discrepancies Exist For This Report"**)	Y	Y	Y

		Program or Service (Budget Entity Codes)		
	Action	43100200	43100300	43100400
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	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 125 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 *Base Rate Audit* on page 157 of the LBR Instructions.)	Y	Y	Y
10. SCHEDULE III (PSCR, SC3)				
10.1	Is the appropriate lapse amount applied in Segment 3? (See page 87 of the LBR Instructions.)	Y	Y	Y
10.2	Are amounts in *Other Salary Amount* appropriate and fully justified? (See page 94 of the LBR Instructions for appropriate use of the OAD transaction.) Use **OADI** or **OADR** to identify agency other salary amounts requested.	Y	Y	Y
11. SCHEDULE IV (EADR, SC4)				
11.1	Are the correct Information Technology (IT) issue codes used?	Y	Y	Y
TIP	If IT issues are not coded correctly (with "C" in 6th position), they will not appear in the Schedule IV.			
12. SCHEDULE VIIIA (EADR, SC8A)				
12.1	Is there only one #1 priority, one #2 priority, one #3 priority, etc. reported on the Schedule VIII-A? Are the priority narrative explanations adequate?	Y	Y	Y
13. SCHEDULE VIIIB-1 (EADR, S8B1)				
13.1	Do the reductions comply with the instructions provided on pages 98 through 101 of the LBR Instructions regarding a 5% reduction in recurring and nonrecurring General Revenue and Trust Funds?	Y	Y	Y
14. SCHEDULE VIIIB-2 (EADR, S8B2)				
14.1	Do the reductions comply with the instructions provided on pages 102 through 104 of the LBR Instructions regarding a 15% reduction in recurring General Revenue and Trust Funds?	Y	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 *section 216.023(4) (b), Florida Statutes,* the Legislature can reduce the funding level for any agency that does not provide this information.)	Y	Y	Y

		Program or Service (Budget Entity Codes)		
	Action	43100200	43100300	43100400
15.2	Do the PDF files uploaded to the Florida Fiscal Portal for the LRPP and LBR match the Excel file e-mailed to OPB?	Y	Y	Y
AUDITS INCLUDED IN THE SCHEDULE XI REPORT:				
15.3	Does the FY 2009-10 Actual (prior year) Expenditures in Column A36 reconcile to Column A01? (**GENR, ACT1**)	Y	Y	Y
15.4	None of the executive direction, administrative support and information technology statewide activities (ACT0010 thru ACT0490) have output standards (Record Type 5)? (**Audit #1 should print "No Activities Found"**)	Y	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"**)	Y	Y	Y
15.6	Has the agency provided the necessary demand (Record Type 5) for all activities which should appear in Section II? (Note: Audit #3 will identify those activities that do NOT have a Record Type '5' and have not been identified as a 'Pass Through' activity. These activities will be displayed in Section III with the 'Payment of Pensions, Benefits and Claims' activity and 'Other' activities. Verify if these activities should be displayed in Section III. If not, an output standard would need to be added for that activity and the Schedule XI submitted again.)	Y	Y	Y
15.7	Does Section I (Final Budget for Agency) and Section III (Total Budget for Agency) equal? (**Audit #4 should print "No Discrepancies Found"**)	Y	Y	Y
TIP	If Section I and Section III have a small difference, it may be due to rounding and therefore will be acceptable.			
16. MANUALLY PREPARED EXHIBITS & SCHEDULES				
16.1	Do exhibits and schedules comply with LBR Instructions (pages 110 through 154 of the LBR Instructions), and are they accurate and complete?	Y	Y	Y
16.2	Are appropriation category totals comparable to Exhibit B, where applicable?	Y	Y	Y
16.3	Are agency organization charts (Schedule X) provided and at the appropriate level of detail?	Y	Y	Y
AUDITS - GENERAL INFORMATION				
TIP	Review *Section 6: Audits* of the LBR Instructions for a list of audits and their descriptions.			
TIP	Reorganizations may cause audit errors. Agencies must indicate that these errors are due to an agency reorganization to justify the audit error.			
17. CAPITAL IMPROVEMENTS PROGRAM (CIP)				
17.1	Are the CIP-2, CIP-3, CIP-A and CIP-B forms included?	Y	Y	Y
17.2	Are the CIP-4 and CIP-5 forms submitted when applicable (see CIP Instructions)?	Y	Y	Y
17.3	Do all CIP forms comply with CIP Instructions where applicable (see CIP Instructions)?	Y	Y	Y
17.4	Does the agency request include 5 year projections (Columns A03, A06, A07, A08 and A09)?	Y	Y	Y
17.5	Are the appropriate counties identified in the narrative?	Y	Y	Y

		Program or Service (Budget Entity Codes)		
	Action	43100200	43100300	43100400
17.6	Has the CIP-2 form (Exibit B) been modified to include the agency priority for each project and the modified form saved as a PDF document?	Y	Y	Y
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	Y

Fiscal Year 2011-12 LBR Technical Review Checklist

Department/Budget Entity (Service): Financial Services/Financial Accountability for Public Funds

Agency Budget Officer/OPB Analyst Name: Teri Madsen/Walter Liebrich

A "Y" indicates "YES" and is acceptable, an "N/J" indicates "NO/Justification Provided" - these require further explanation/justification (additional sheets can be used as necessary), and "TIPS" are other areas to consider.

Action	Program or Service (Budget Entity Codes)	
	43200100	43200200

1. GENERAL			
1.1	Are Columns A01, A02, A04, A05, A10, A11, A36, IA1, IA4, IA5, IP1,V1, IV3 and NV1 set to TRANSFER CONTROL for DISPLAY status and MANAGEMENT CONTROL for UPDATE status for both the Budget and Trust Fund columns? Are Columns A06, A07, A08 and A09 for Fixed Capital Outlay (FCO) set to TRANSFER CONTROL for DISPLAY status only? **(CSDI)**	Y	Y
1.2	Is Column A03 set to TRANSFER CONTROL for DISPLAY and UPDATE status for both the Budget and Trust Fund columns? **(CSDI)**	Y	Y
AUDITS:			
1.3	Has Column A03 been copied to Column A12? Run the Exhibit B Audit Comparison Report to verify. **(EXBR, EXBA)**	Y	Y
1.4	Has security been set correctly? **(CSDR, CSA)**	Y	Y
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 *Section 3* of the LBR Instructions (pages 15 through 27)? Do they clearly describe the issue?	Y	Y
2.4	Have the coding guidelines in *Section 3* of the LBR Instructions (pages 15 through 27) been followed?	Y	Y
3. EXHIBIT B (EXBR, EXB)			
3.1	Is it apparent that there is a fund shift and were the issues entered into LAS/PBS correctly? Check D-3A funding shift issue 340XXX0 - a unique deduct and unique add back issue should be used to ensure fund shifts display correctly on the LBR exhibits.	Y	Y
3.2	Are the 33XXXX0 issues negative amounts only and do not restore nonrecurring cuts from a prior year or fund any issues that net to a positive or zero amount? Check D-3A issues 33XXXX0 - a unique issue should be used for issues that net to zero or a positive amount.	Y	Y
AUDITS:			

		Program or Service (Budget Entity Codes)	
	Action	43200100	43200200
3.3	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
3.4	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 Column B04? **(EXBR, EXBB - Negative differences need to be corrected in Column A01.)**	Y	Y
5.4	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.)**	Y	Y
TIP	If objects are negative amounts, the agency must make adjustments to Column A01 to correct the object amounts. In addition, the fund totals must be adjusted to reflect the adjustment made to the object data.		
TIP	If fund totals and object totals do not agree or negative object amounts exist, the agency must adjust Column A01.		

	Action	Program or Service (Budget Entity Codes)	
		43200100	43200200
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 2009-10 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.)

	Action	43200100	43200200
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)

	Action	43200100	43200200
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 69 of the LBR Instructions?	Y	Y
7.4	Are all issues with an IT component identified with a "Y" in the "IT COMPONENT?" field? If the issue contains an IT component, has that component been identified and documented?	Y	Y
7.5	Does the issue narrative explain any variances from the Standard Expense and Human Resource Services Assessments package? Is the nonrecurring portion in the nonrecurring column? (See pages E-4 and E-5 of the LBR Instructions.)	Y	Y
7.6	Does the salary rate request amount accurately reflect any new requests and are the amounts proportionate to the Salaries and Benefits request? Note: Salary rate should always be annualized.	Y	Y
7.7	Does the issue narrative thoroughly explain/justify all Salaries and Benefits amounts entered into the Other Salary Amounts transactions (OADA/C)? Amounts entered into OAD are reflected in the Position Detail of Salaries and Benefits section of the Exhibit D-3A.	Y	Y
7.8	Does the issue narrative include the Consensus Estimating Conference forecast, where appropriate?	Y	Y
7.9	Does the issue narrative reference the specific county(ies) where applicable?	Y	Y
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 #11-006?	Y	Y

		Program or Service (Budget Entity Codes)	
	Action	43200100	43200200
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)**	Y	Y
7.12	Does the issue narrative include plans to satisfy additional space requirements when requesting additional positions?	Y	Y
7.13	Has the agency included a 160XXX0 issue and 210XXXX and 260XXX0 issues as required for lump sum distributions?	Y	Y
7.14	Do the amounts reflect appropriate FSI assignments?	Y	Y
7.15	Do the issues relating to *salary and benefits* have an "A" in the fifth position of the issue code (XXXXAXX) and are they self-contained (not combined with other issues)? (See page 26 and 86 of the LBR Instructions.)	Y	Y
7.16	Do the issues relating to *Information Technology (IT)* have a "C" in the sixth position of the issue code (36XXXCX) and are the correct issue codes used (361XXC0, 362XXC0, 363XXC0, 17C01C0, 17C02C0, 17C03C0, 24010C0, 33001C0 or 55C01C0)?	Y	Y
7.17	Are the issues relating to *major audit findings and recommendations* properly coded (4A0XXX0, 4B0XXX0)?	Y	Y
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)**	Y	Y
7.20	Does the General Revenue for 180XXXX issues net to zero? **(GENR, LBR2)**	Y	Y
7.21	Does the General Revenue for 200XXXX issues net to zero? **(GENR, LBR3)**	Y	Y
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))**	Y	Y
TIP	Salaries and Benefits amounts entered using the OADA/C transactions must be thoroughly justified in the D-3A issue narrative. Agencies can run **OADA/OADR** from STAM to identify the amounts entered into OAD and ensure these entries have been thoroughly explained in the D-3A issue narrative.		
TIP	The issue narrative must completely and thoroughly explain and justify each D-3A issue. Agencies must ensure it provides the information necessary for the OPB and legislative analysts to have a complete understanding of the issue submitted. Thoroughly review pages 64 through 70 of the LBR Instructions.		

	Action	Program or Service (Budget Entity Codes)	
		43200100	43200200

8. SCHEDULE I & RELATED DOCUMENTS (SC1R, SC1 - Budget Entity Level *or* SC1R, SC1D - Department Level)

	Action	43200100	43200200
8.1	Has a separate department level Schedule I and supporting documents package been submitted by the agency?	Y	Y
8.2	Has a Schedule I been completed in LAS/PBS for each operating trust fund?	Y	Y
8.3	Have the appropriate Schedule I supporting documents been included for the trust funds (Schedule IA, Schedule IB, Schedule IC, and Reconciliation to Trial Balance)?	Y	Y
8.4	Have the Examination of Regulatory Fees Part I and Part II forms been included for the applicable regulatory programs?	Y	Y
8.5	Have the required detailed narratives been provided (5% trust fund reserve narrative; method for computing the distribution of cost for general management and administrative services narrative; adjustments narrative; revenue estimating methodology narrative)?	Y	Y
8.6	Has the Inter-Agency Transfers Reported on Schedule I form been included as applicable for transfers totaling $100,000 or more for the fiscal year?	Y	Y
8.7	If the agency is scheduled for the annual trust fund review this year, have the Schedule ID and applicable draft legislation been included for recreation, modification or termination of existing trust funds?	Y	Y
8.8	If the agency is scheduled for the annual trust fund review this year, have the necessary trust funds been requested for creation pursuant to *section 215.32(2)(b), Florida Statutes* - including the Schedule ID and applicable legislation?	Y	Y
8.9	Are the revenue codes correct? In the case of federal revenues, has the agency appropriately identified direct versus indirect receipts (object codes 000700, 000750, 000799, 001510 and 001599)?	Y	Y
8.10	Are the statutory authority references correct?	Y	Y
8.11	Are the General Revenue Service Charge percentage rates used for each revenue source correct? (Refer to Chapter 2009-78, Laws of Florida, for appropriate general revenue service charge percentage rates.)	Y	Y
8.12	Is this an accurate representation of revenues based on the most recent Consensus Estimating Conference forecasts?	Y	Y

	Action	Program or Service (Budget Entity Codes)	
		43200100	43200200
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?	Y	Y
8.15	Are anticipated grants included and based on the state fiscal year (rather than federal fiscal year)?	Y	Y
8.16	Are the Schedule I revenues consistent with the FSI's reported in the Exhibit D-3A?	Y	Y
8.17	If applicable, are nonrecurring revenues entered into Column A04?	Y	Y
8.18	Has the agency certified the revenue estimates in columns A02 and A03 to be the latest and most accurate available? Does the certification include a statement that the agency will notify OPB of any significant changes in revenue estimates that occur prior to the Governor's Budget Recommendations being issued?	Y	Y
8.19	Is a 5% trust fund reserve reflected in Section II? If not, is sufficient justification provided for exemption? Are the additional narrative requirements provided?	Y	Y
8.20	Are appropriate service charge nonoperating amounts included in Section II?	Y	Y
8.21	Are nonoperating expenditures to other budget entities/departments cross-referenced accurately?	Y	Y
8.22	Do transfers balance between funds (within the agency as well as between agencies)? (See also 8.6 for required transfer confirmation of amounts totaling $100,000 or more.)	Y	Y
8.23	Are nonoperating expenditures recorded in Section II and adjustments recorded in Section III?	Y	Y
8.24	Are prior year September operating reversions appropriately shown in column A01?	Y	Y
8.25	Are current year September operating reversions appropriately shown in column A02?	Y	Y
8.26	Does the Schedule IC properly reflect the unreserved fund balance for each trust fund as defined by the LBR Instructions, and is it reconciled to the agency accounting records?	Y	Y
8.27	Does Column A01 of the Schedule I accurately represent the actual prior year accounting data as reflected in the agency accounting records, and is it provided in sufficient detail for analysis?	Y	Y
8.28	Does Line I of Column A01 (Schedule I) equal Line K of the Schedule IC?	Y	Y
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

		Program or Service (Budget Entity Codes)	
	Action	43200100	43200200
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 125 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 *Base Rate Audit* on page 157 of the LBR Instructions.)	Y	Y

10. SCHEDULE III (PSCR, SC3)

10.1	Is the appropriate lapse amount applied in Segment 3? (See page 87 of the LBR Instructions.)	Y	Y
10.2	Are amounts in *Other Salary Amount* appropriate and fully justified? (See page 94 of the LBR Instructions for appropriate use of the OAD transaction.) Use **OADI** or **OADR** to identify agency other salary amounts requested.	Y	Y

11. SCHEDULE IV (EADR, SC4)

11.1	Are the correct Information Technology (IT) issue codes used?	Y	Y
TIP	If IT issues are not coded correctly (with "C" in 6th position), they will not appear in the Schedule IV.		

12. SCHEDULE VIIIA (EADR, SC8A)

12.1	Is there only one #1 priority, one #2 priority, one #3 priority, etc. reported on the Schedule VIII-A? Are the priority narrative explanations adequate?	Y	Y

13. SCHEDULE VIIIB-1 (EADR, S8B1)

13.1	Do the reductions comply with the instructions provided on pages 98 through 101 of the LBR Instructions regarding a 5% reduction in recurring and nonrecurring General Revenue and Trust Funds?	Y	Y

14. SCHEDULE VIIIB-2 (EADR, S8B2)

14.1	Do the reductions comply with the instructions provided on pages 102 through 104 of the LBR Instructions regarding a 15% 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 *section 216.023(4)(b), Florida Statutes,* the Legislature can reduce the funding level for any agency that does not provide this information.)	Y	Y

	Action	Program or Service (Budget Entity Codes)	
		43200100	43200200
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 2009-10 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"**)	Y	Y
15.6	Has the agency provided the necessary demand (Record Type 5) for all activities which should 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.		
16. MANUALLY PREPARED EXHIBITS & SCHEDULES			
16.1	Do exhibits and schedules comply with LBR Instructions (pages 110 through 154 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 *Section 6: Audits* 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)?	Y	Y
17.3	Do all CIP forms comply with CIP Instructions where applicable (see CIP Instructions)?	Y	Y
17.4	Does the agency request include 5 year projections (Columns A03, A06, A07, A08 and A09)?	Y	Y
17.5	Are the appropriate counties identified in the narrative?	Y	Y

Fiscal Year 2011-12 LBR Technical Review Checklist

Department/Budget Entity (Service): Financial Services/Financial Accountability for Public Funds

Agency Budget Officer/OPB Analyst Name: Teri Madsen/Walter Liebrich

A "Y" indicates "YES" and is acceptable, an "N/J" indicates "NO/Justification Provided" - these require further explanation/justification (additional sheets can be used as necessary), and "TIPS" are other areas to consider.

Action	Program or Service (Budget Entity Codes)			
	43300200	43300300	43300400	43300500
1. GENERAL				
1.1 Are Columns A01, A02, A04, A05, A10, A11, A36, IA1, IA4, IA5, IP1,V1, IV3 and NV1 set to TRANSFER CONTROL for DISPLAY status and MANAGEMENT CONTROL for UPDATE status for both the Budget and Trust Fund columns? Are Columns A06, A07, A08 and A09 for Fixed Capital Outlay (FCO) set to TRANSFER CONTROL for DISPLAY status only? **(CSDI)**	Y	Y	Y	Y
1.2 Is Column A03 set to TRANSFER CONTROL for DISPLAY and UPDATE status for both the Budget and Trust Fund columns? **(CSDI)**	Y	Y	Y	Y
AUDITS:				
1.3 Has Column A03 been copied to Column A12? Run the Exhibit B Audit Comparison Report to verify. **(EXBR, EXBA)**	Y	Y	Y	Y
1.4 Has security been set correctly? **(CSDR, CSA)**	Y	Y	Y	Y
TIP The agency should prepare the budget request for submission in this order: 1) Lock columns as described above; 2) copy Column A03 to Column A12; and 3) set Column A12 column security to ALL for DISPLAY status and MANAGEMENT CONTROL for UPDATE status.				
2. EXHIBIT A (EADR, EXA)				
2.1 Is the budget entity authority and description consistent with the agency's LRPP and does it conform to the directives provided on page 56 of the LBR Instructions?	Y	Y	Y	Y
2.2 Are the statewide issues generated systematically (estimated expenditures, nonrecurring expenditures, etc.) included?	Y	Y	Y	Y
2.3 Are the issue codes and titles consistent with *Section 3* of the LBR Instructions (pages 15 through 27)? Do they clearly describe the issue?	Y	Y	Y	Y
2.4 Have the coding guidelines in *Section 3* of the LBR Instructions (pages 15 through 27) been followed?	Y	Y	Y	Y
3. EXHIBIT B (EXBR, EXB)				
3.1 Is it apparent that there is a fund shift and were the issues entered into LAS/PBS correctly? Check D-3A funding shift issue 340XXX0 - a unique deduct and unique add back issue should be used to ensure fund shifts display correctly on the LBR exhibits.	Y	Y	Y	Y
3.2 Are the 33XXXX0 issues negative amounts only and do not restore nonrecurring cuts from a prior year or fund any issues that net to a positive or zero amount? Check D-3A issues 33XXXX0 - a unique issue should be used for issues that net to zero or a positive amount.	Y	Y	Y	Y
AUDITS:				
3.3 Negative Appropriation Category Audit for Agency Request (Columns A03 and A04): Are all appropriation categories positive by budget entity at the FSI level? Are all nonrecurring amounts less than requested amounts? **(NACR, NAC - Report should print "No Negative Appropriation Categories Found")**	Y	Y	Y	Y

	Program or Service (Budget Entity Codes)			
Action	43300200	43300300	43300400	43300500
3.4 Current Year Estimated Verification Comparison Report: Is Column A02 equal to Column B07? **(EXBR, EXBC - Report should print "Records Selected Net To Zero")**	Y	Y	Y	Y
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	Y	Y
4.2 Is the program component code and title used correct?	Y	Y	Y	Y
TIP Fund shifts or transfers of services or activities between program components will be displayed on an Exhibit D whereas it may not be visible on an Exhibit A.				
5. EXHIBIT D-1 (ED1R, EXD1)				
5.1 Are all object of expenditures positive amounts? (This is a manual check.)	Y	Y	Y	Y
AUDITS:				
5.2 Do the fund totals agree with the object category totals within each appropriation category? **(ED1R, XD1A - Report should print "No Differences Found For This Report")**	Y	Y	Y	Y
5.3 FLAIR Expenditure/Appropriation Ledger Comparison Report: Is Column A01 less than Column B04? **(EXBR, EXBB - Negative differences need to be corrected in Column A01.)**	Y	Y	Y	Y
5.4 A01/State Accounts Disbursements and Carry Forward Comparison Report: Does Column A01 equal Column B08? **(EXBR, EXBD - Differences need to be corrected in Column A01.)**	Y	Y	Y	Y
TIP If objects are negative amounts, the agency must make adjustments to Column A01 to correct the object amounts. In addition, the fund totals must be adjusted to reflect the adjustment made to the object data.				
TIP If fund totals and object totals do not agree or negative object amounts exist, the agency must adjust Column A01.				
TIP Exhibit B - A01 less than B04: This audit is to ensure that the disbursements and carry/certifications forward in A01 are less than FY 2009-10 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.)				

		Program or Service (Budget Entity Codes)			
	Action	43300200	43300300	43300400	43300500
6.1	Are issues appropriately aligned with appropriation categories?	Y	Y	Y	Y
TIP	Exhibit D-3 is no longer required in the budget submission but may be needed for this particular appropriation category/issue sort. Exhibit D-3 is also a useful report when identifying negative appropriation category problems.				

7. EXHIBIT D-3A (EADR, ED3A)

7.1	Are the issue titles correct and do they clearly identify the issue? (See pages 15 through 31 of the LBR Instructions.)	Y	Y	Y	Y
7.2	Does the issue narrative adequately explain the agency's request and is the explanation consistent with the LRPP? (See page 65 of the LBR Instructions.)	Y	Y	Y	Y
7.3	Does the narrative for Information Technology (IT) issue follow the additional narrative requirements described on pages 66 through 69 of the LBR Instructions?	Y	Y	Y	Y
7.4	Are all issues with an IT component identified with a "Y" in the "IT COMPONENT?" field? If the issue contains an IT component, has that component been identified and documented?	Y	Y	Y	Y
7.5	Does the issue narrative explain any variances from the Standard Expense and Human Resource Services Assessments package? Is the nonrecurring portion in the nonrecurring column? (See pages E-4 and E-5 of the LBR Instructions.)	Y	Y	Y	Y
7.6	Does the salary rate request amount accurately reflect any new requests and are the amounts proportionate to the Salaries and Benefits request? Note: Salary rate should always be annualized.	Y	Y	Y	Y
7.7	Does the issue narrative thoroughly explain/justify all Salaries and Benefits amounts entered into the Other Salary Amounts transactions (OADA/C)? Amounts entered into OAD are reflected in the Position Detail of Salaries and Benefits section of the Exhibit D-3A.	Y	Y	Y	Y
7.8	Does the issue narrative include the Consensus Estimating Conference forecast, where appropriate?	Y	Y	Y	Y
7.9	Does the issue narrative reference the specific county(ies) where applicable?	Y	Y	Y	Y
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 #11-006?	Y	Y	Y	Y
7.11	When appropriate are there any 160XXX0 issues included to delete positions placed in reserve in the OPB Position and Rate Ledger (e.g. unfunded grants)? Note: Lump sum appropriations not yet allocated should not be deleted. **(PLRR, PLMO)**	Y	Y	Y	Y
7.12	Does the issue narrative include plans to satisfy additional space requirements when requesting additional positions?	Y	Y	Y	Y
7.13	Has the agency included a 160XXX0 issue and 210XXXX and 260XXX0 issues as required for lump sum distributions?	Y	Y	Y	Y
7.14	Do the amounts reflect appropriate FSI assignments?	Y	Y	Y	Y
7.15	Do the issues relating to *salary and benefits* have an "A" in the fifth position of the issue code (XXXXAXX) and are they self-contained (not combined with other issues)? (See page 26 and 86 of the LBR Instructions.)	Y	Y	Y	Y

	Action	Program or Service (Budget Entity Codes)			
		43300200	43300300	43300400	43300500
7.16	Do the issues relating to *Information Technology (IT)* have a "C" in the sixth position of the issue code (36XXXCX) and are the correct issue codes used (361XXC0, 362XXC0, 363XXC0, 17C01C0, 17C02C0, 17C03C0, 24010C0, 33001C0 or 55C01C0)?	Y	Y	Y	Y
7.17	Are the issues relating to *major audit findings and recommendations* properly coded (4A0XXX0, 4B0XXX0)?	Y	Y	Y	Y
AUDIT:					
7.18	Are all FSI's equal to '1', '2', '3', or '9'? There should be no FSI's equal to '0'. **(EADR, FSIA - Report should print "No Records Selected For Reporting")**	Y	Y	Y	Y
7.19	Does the General Revenue for 160XXXX issues net to zero? **(GENR, LBR1)**	Y	Y	Y	Y
7.20	Does the General Revenue for 180XXXX issues net to zero? **(GENR, LBR2)**	Y	Y	Y	Y
7.21	Does the General Revenue for 200XXXX issues net to zero? **(GENR, LBR3)**	Y	Y	Y	Y
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))**	Y	Y	Y	Y
TIP	Salaries and Benefits amounts entered using the OADA/C transactions must be thoroughly justified in the D-3A issue narrative. Agencies can run **OADA/OADR** from STAM to identify the amounts entered into OAD and ensure these entries have been thoroughly explained in the D-3A issue narrative.				
TIP	The issue narrative must completely and thoroughly explain and justify each D-3A issue. Agencies must ensure it provides the information necessary for the OPB and legislative analysts to have a complete understanding of the issue submitted. Thoroughly review pages 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	Y	Y
8.2	Has a Schedule I been completed in LAS/PBS for each operating trust fund?	Y	Y	Y	Y

Action	Program or Service (Budget Entity Codes)			
	43300200	43300300	43300400	43300500
8.3 Have the appropriate Schedule I supporting documents been included for the trust funds (Schedule IA, Schedule IB, Schedule IC, and Reconciliation to Trial Balance)?	Y	Y	Y	Y
8.4 Have the Examination of Regulatory Fees Part I and Part II forms been included for the applicable regulatory programs?	Y	Y	Y	Y
8.5 Have the required detailed narratives been provided (5% trust fund reserve narrative; method for computing the distribution of cost for general management and administrative services narrative; adjustments narrative; revenue estimating methodology narrative)?	Y	Y	Y	Y
8.6 Has the Inter-Agency Transfers Reported on Schedule I form been included as applicable for transfers totaling $100,000 or more for the fiscal year?	Y	Y	Y	Y
8.7 If the agency is scheduled for the annual trust fund review this year, have the Schedule ID and applicable draft legislation been included for recreation, modification or termination of existing trust funds?	Y	Y	Y	Y
8.8 If the agency is scheduled for the annual trust fund review this year, have the necessary trust funds been requested for creation pursuant to *section 215.32(2)(b), Florida Statutes* - including the Schedule ID and applicable legislation?	Y	Y	Y	Y
8.9 Are the revenue codes correct? In the case of federal revenues, has the agency appropriately identified direct versus indirect receipts (object codes 000700, 000750, 000799, 001510 and 001599)?	Y	Y	Y	Y
8.10 Are the statutory authority references correct?	Y	Y	Y	Y
8.11 Are the General Revenue Service Charge percentage rates used for each revenue source correct? (Refer to Chapter 2009-78, Laws of Florida, for appropriate general revenue service charge percentage rates.)	Y	Y	Y	Y
8.12 Is this an accurate representation of revenues based on the most recent Consensus Estimating Conference forecasts?	Y	Y	Y	Y
8.13 If there is no Consensus Estimating Conference forecast available, do the revenue estimates appear to be reasonable?	Y	Y	Y	Y
8.14 Are the federal funds revenues reported in Section I broken out by individual grant? Are the correct CFDA codes used?	Y	Y	Y	Y
8.15 Are anticipated grants included and based on the state fiscal year (rather than federal fiscal year)?	Y	Y	Y	Y
8.16 Are the Schedule I revenues consistent with the FSI's reported in the Exhibit D-3A?	Y	Y	Y	Y
8.17 If applicable, are nonrecurring revenues entered into Column A04?	Y	Y	Y	Y
8.18 Has the agency certified the revenue estimates in columns A02 and A03 to be the latest and most accurate available? Does the certification include a statement that the agency will notify OPB of any significant changes in revenue estimates that occur prior to the Governor's Budget Recommendations being issued?	Y	Y	Y	Y
8.19 Is a 5% trust fund reserve reflected in Section II? If not, is sufficient justification provided for exemption? Are the additional narrative requirements provided?	Y	Y	Y	Y
8.20 Are appropriate service charge nonoperating amounts included in Section II?	Y	Y	Y	Y
8.21 Are nonoperating expenditures to other budget entities/departments cross-referenced accurately?	Y	Y	Y	Y

		Program or Service (Budget Entity Codes)			
	Action	43300200	43300300	43300400	43300500
8.22	Do transfers balance between funds (within the agency as well as between agencies)? (See also 8.6 for required transfer confirmation of amounts totaling $100,000 or more.)	Y	Y	Y	Y
8.23	Are nonoperating expenditures recorded in Section II and adjustments recorded in Section III?	Y	Y	Y	Y
8.24	Are prior year September operating reversions appropriately shown in column A01?	Y	Y	Y	Y
8.25	Are current year September operating reversions appropriately shown in column A02?	Y	Y	Y	Y
8.26	Does the Schedule IC properly reflect the unreserved fund balance for each trust fund as defined by the LBR Instructions, and is it reconciled to the agency accounting records?	Y	Y	Y	Y
8.27	Does Column A01 of the Schedule I accurately represent the actual prior year accounting data as reflected in the agency accounting records, and is it provided in sufficient detail for analysis?	Y	Y	Y	Y
8.28	Does Line I of Column A01 (Schedule I) equal Line K of the Schedule IC?	Y	Y	Y	Y
AUDITS:					
8.29	Is Line I a positive number? (If not, the agency must adjust the budget request to eliminate the deficit).	Y	Y	Y	Y
8.30	Is the June 30 Adjusted Unreserved Fund Balance (Line I) equal to the July 1 Unreserved Fund Balance (Line A) of the following year? **(SC1R, SC1A - Report should print "No Discrepancies Exist For This Report")**	Y	Y	Y	Y
8.31	Has a Department Level Reconciliation been provided for each trust fund and does Line A of the Schedule I equal the CFO amount? If not, the agency must correct Line A. **(SC1R, DEPT)**	Y	Y	Y	Y
TIP	The Schedule I is the most reliable source of data concerning the trust funds. It is very important that this schedule is as accurate as possible!				
TIP	Determine if the agency is scheduled for trust fund review. (See page 125 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 *Base Rate Audit* on page 157 of the LBR Instructions.)	Y	Y	Y	Y

10. SCHEDULE III (PSCR, SC3)

10.1	Is the appropriate lapse amount applied in Segment 3? (See page 87 of the LBR Instructions.)	Y	Y	Y	Y
10.2	Are amounts in *Other Salary Amount* appropriate and fully justified? (See page 94 of the LBR Instructions for appropriate use of the OAD transaction.) Use **OADI** or **OADR** to identify agency other salary amounts requested.	Y	Y	Y	Y

	Program or Service (Budget Entity Codes)			
Action	43300200	43300300	43300400	43300500

11. SCHEDULE IV (EADR, SC4)

11.1	Are the correct Information Technology (IT) issue codes used?	Y	Y	Y	Y
TIP	If IT issues are not coded correctly (with "C" in 6th position), they will not appear in the Schedule IV.				

12. SCHEDULE VIIIA (EADR, SC8A)

12.1	Is there only one #1 priority, one #2 priority, one #3 priority, etc. reported on the Schedule VIII-A? Are the priority narrative explanations adequate?	Y	Y	Y	Y

13. SCHEDULE VIIIB-1 (EADR, S8B1)

13.1	Do the reductions comply with the instructions provided on pages 98 through 101 of the LBR Instructions regarding a 5% reduction in recurring and nonrecurring General Revenue and Trust Funds?	Y	Y	Y	Y

14. SCHEDULE VIIIB-2 (EADR, S8B2)

14.1	Do the reductions comply with the instructions provided on pages 102 through 104 of the LBR Instructions regarding a 15% reduction in recurring General Revenue and Trust Funds?	Y	Y	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 *section 216.023(4) (b), Florida Statutes,* the Legislature can reduce the funding level for any agency that does not provide this information.)	Y	Y	Y	Y
15.2	Do the PDF files uploaded to the Florida Fiscal Portal for the LRPP and LBR match the Excel file e-mailed to OPB?	Y	Y	Y	Y

AUDITS INCLUDED IN THE SCHEDULE XI REPORT:

15.3	Does the FY 2009-10 Actual (prior year) Expenditures in Column A36 reconcile to Column A01? (**GENR, ACT1**)	Y	Y	Y	Y
15.4	None of the executive direction, administrative support and information technology statewide activities (ACT0010 thru ACT0490) have output standards (Record Type 5)? (**Audit #1 should print "No Activities Found"**)	Y	Y	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"**)	Y	Y	Y	Y
15.6	Has the agency provided the necessary demand (Record Type 5) for all activities which <u>should</u> appear in Section II? (Note: Audit #3 will identify those activities that do NOT have a Record Type '5' and have not been identified as a 'Pass Through' activity. These activities will be displayed in Section III with the 'Payment of Pensions, Benefits and Claims' activity and 'Other' activities. Verify if these activities should be displayed in Section III. If not, an output standard would need to be added for that activity and the Schedule XI submitted again.)	Y	Y	Y	Y
15.7	Does Section I (Final Budget for Agency) and Section III (Total Budget for Agency) equal? (**Audit #4 should print "No Discrepancies Found"**)	Y	Y	Y	Y
TIP	If Section I and Section III have a small difference, it may be due to rounding and therefore will be acceptable.				

16. MANUALLY PREPARED EXHIBITS & SCHEDULES

16.1	Do exhibits and schedules comply with LBR Instructions (pages 110 through 154 of the LBR Instructions), and are they accurate and complete?	Y	Y	Y	Y

Action	Program or Service (Budget Entity Codes)			
	43300200	43300300	43300400	43300500
16.2 Are appropriation category totals comparable to Exhibit B, where applicable?	Y	Y	Y	Y
16.3 Are agency organization charts (Schedule X) provided and at the appropriate level of detail?	Y	Y	Y	Y
AUDITS - GENERAL INFORMATION				
TIP Review *Section 6: Audits* of the LBR Instructions for a list of audits and their descriptions.				
TIP Reorganizations may cause audit errors. Agencies must indicate that these errors are due to an agency reorganization to justify the audit error.				
17. CAPITAL IMPROVEMENTS PROGRAM (CIP)				
17.1 Are the CIP-2, CIP-3, CIP-A and CIP-B forms included?	Y	Y	Y	Y
17.2 Are the CIP-4 and CIP-5 forms submitted when applicable (see CIP Instructions)?	Y	Y	Y	Y
17.3 Do all CIP forms comply with CIP Instructions where applicable (see CIP Instructions)?	Y	Y	Y	Y
17.4 Does the agency request include 5 year projections (Columns A03, A06, A07, A08 and A09)?	Y	Y	Y	Y
17.5 Are the appropriate counties identified in the narrative?	Y	Y	Y	Y
17.6 Has the CIP-2 form (Exibit B) been modified to include the agency priority for each project and the modified form saved as a PDF document?	Y	Y	Y	Y
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	Y	Y

Fiscal Year 2011-12 LBR Technical Review Checklist

Department/Budget Entity (Service): Financial Services/Financial Accountability for Public Funds	
Agency Budget Officer/OPB Analyst Name: Teri Madsen/Walter Liebrich	

A "Y" indicates "YES" and is acceptable, an "N/J" indicates "NO/Justification Provided" - these require further explanation/justification (additional sheets can be used as necessary), and "TIPS" are other areas to consider.

Action	Program or Service (Budget Entity Codes)
	43400100

1. GENERAL			
	1.1	Are Columns A01, A02, A04, A05, A10, A11, A36, IA1, IA4, IA5, IP1,V1, IV3 and NV1 set to TRANSFER CONTROL for DISPLAY status and MANAGEMENT CONTROL for UPDATE status for both the Budget and Trust Fund columns? Are Columns A06, A07, A08 and A09 for Fixed Capital Outlay (FCO) set to TRANSFER CONTROL for DISPLAY status only? **(CSDI)**	Y
	1.2	Is Column A03 set to TRANSFER CONTROL for DISPLAY and UPDATE status for both the Budget and Trust Fund columns? **(CSDI)**	Y
AUDITS:			
	1.3	Has Column A03 been copied to Column A12? Run the Exhibit B Audit Comparison Report to verify. **(EXBR, EXBA)**	Y
	1.4	Has security been set correctly? **(CSDR, CSA)**	Y
	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
	2.2	Are the statewide issues generated systematically (estimated expenditures, nonrecurring expenditures, etc.) included?	Y
	2.3	Are the issue codes and titles consistent with *Section 3* of the LBR Instructions (pages 15 through 27)? Do they clearly describe the issue?	Y
	2.4	Have the coding guidelines in *Section 3* of the LBR Instructions (pages 15 through 27) been followed?	Y
3. EXHIBIT B (EXBR, EXB)			
	3.1	Is it apparent that there is a fund shift and were the issues entered into LAS/PBS correctly? Check D-3A funding shift issue 340XXX0 - a unique deduct and unique add back issue should be used to ensure fund shifts display correctly on the LBR exhibits.	Y
	3.2	Are the 33XXXX0 issues negative amounts only and do not restore nonrecurring cuts from a prior year or fund any issues that net to a positive or zero amount? Check D-3A issues 33XXXX0 - a unique issue should be used for issues that net to zero or a positive amount.	Y
AUDITS:			
	3.3	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

		Program or Service (Budget Entity Codes)
	Action	43400100
3.4	Current Year Estimated Verification Comparison Report: Is Column A02 equal to Column B07? **(EXBR, EXBC - Report should print "Records Selected Net To Zero")**	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
4.2	Is the program component code and title used correct?	Y
TIP	Fund shifts or transfers of services or activities between program components will be displayed on an Exhibit D whereas it may not be visible on an Exhibit A.	
5. EXHIBIT D-1 (ED1R, EXD1)		
5.1	Are all object of expenditures positive amounts? (This is a manual check.)	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
5.3	FLAIR Expenditure/Appropriation Ledger Comparison Report: Is Column A01 less than Column B04? **(EXBR, EXBB - Negative differences need to be corrected in Column A01.)**	Y
5.4	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.)**	Y
TIP	If objects are negative amounts, the agency must make adjustments to Column A01 to correct the object amounts. In addition, the fund totals must be adjusted to reflect the adjustment made to the object data.	
TIP	If fund totals and object totals do not agree or negative object amounts exist, the agency must adjust Column A01.	
TIP	Exhibit B - A01 less than B04: This audit is to ensure that the disbursements and carry/certifications forward in A01 are less than FY 2009-10 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.)		

		Program or Service (Budget Entity Codes)
	Action	43400100

6.1	Are issues appropriately aligned with appropriation categories?	Y
TIP	Exhibit D-3 is no longer required in the budget submission but may be needed for this particular appropriation category/issue sort. Exhibit D-3 is also a useful report when identifying negative appropriation category problems.	

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
7.2	Does the issue narrative adequately explain the agency's request and is the explanation consistent with the LRPP? (See page 65 of the LBR Instructions.)	Y
7.3	Does the narrative for Information Technology (IT) issue follow the additional narrative requirements described on pages 66 through 69 of the LBR Instructions?	Y
7.4	Are all issues with an IT component identified with a "Y" in the "IT COMPONENT?" field? If the issue contains an IT component, has that component been identified and documented?	Y
7.5	Does the issue narrative explain any variances from the Standard Expense and Human Resource Services Assessments package? Is the nonrecurring portion in the nonrecurring column? (See pages E-4 and E-5 of the LBR Instructions.)	Y
7.6	Does the salary rate request amount accurately reflect any new requests and are the amounts proportionate to the Salaries and Benefits request? Note: Salary rate should always be annualized.	Y
7.7	Does the issue narrative thoroughly explain/justify all Salaries and Benefits amounts entered into the Other Salary Amounts transactions (OADA/C)? Amounts entered into OAD are reflected in the Position Detail of Salaries and Benefits section of the Exhibit D-3A.	Y
7.8	Does the issue narrative include the Consensus Estimating Conference forecast, where appropriate?	Y
7.9	Does the issue narrative reference the specific county(ies) where applicable?	Y
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 #11-006?	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 not be deleted. **(PLRR, PLMO)**	Y
7.12	Does the issue narrative include plans to satisfy additional space requirements when requesting additional positions?	Y
7.13	Has the agency included a 160XXX0 issue and 210XXXX and 260XXX0 issues as required for lump sum distributions?	Y
7.14	Do the amounts reflect appropriate FSI assignments?	Y

		Program or Service (Budget Entity Codes)
	Action	43400100
7.15	Do the issues relating to *salary and benefits* have an "A" in the fifth position of the issue code (XXXXAXX) and are they self-contained (not combined with other issues)? (See page 26 and 86 of the LBR Instructions.)	Y
7.16	Do the issues relating to *Information Technology (IT)* have a "C" in the sixth position of the issue code (36XXXCX) and are the correct issue codes used (361XXC0, 362XXC0, 363XXC0, 17C01C0, 17C02C0, 17C03C0, 24010C0, 33001C0 or 55C01C0)?	Y
7.17	Are the issues relating to *major audit findings and recommendations* properly coded (4A0XXX0, 4B0XXX0)?	Y
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
7.19	Does the General Revenue for 160XXXX issues net to zero? **(GENR, LBR1)**	Y
7.20	Does the General Revenue for 180XXXX issues net to zero? **(GENR, LBR2)**	Y
7.21	Does the General Revenue for 200XXXX issues net to zero? **(GENR, LBR3)**	Y
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))**	Y
TIP	Salaries and Benefits amounts entered using the OADA/C transactions must be thoroughly justified in the D-3A issue narrative. Agencies can run **OADA/OADR** from STAM to identify the amounts entered into OAD and ensure these entries have been thoroughly explained in the D-3A issue narrative.	
TIP	The issue narrative must completely and thoroughly explain and justify each D-3A issue. Agencies must ensure it provides the information necessary for the OPB and legislative analysts to have a complete understanding of the issue submitted. Thoroughly review pages 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)

	Program or Service (Budget Entity Codes)
Action	43400100

8.1	Has a separate department level Schedule I and supporting documents package been submitted by the agency?	Y
8.2	Has a Schedule I been completed in LAS/PBS for each operating trust fund?	Y
8.3	Have the appropriate Schedule I supporting documents been included for the trust funds (Schedule IA, Schedule IB, Schedule IC, and Reconciliation to Trial Balance)?	Y
8.4	Have the Examination of Regulatory Fees Part I and Part II forms been included for the applicable regulatory programs?	Y
8.5	Have the required detailed narratives been provided (5% trust fund reserve narrative; method for computing the distribution of cost for general management and administrative services narrative; adjustments narrative; revenue estimating methodology narrative)?	Y
8.6	Has the Inter-Agency Transfers Reported on Schedule I form been included as applicable for transfers totaling $100,000 or more for the fiscal year?	Y
8.7	If the agency is scheduled for the annual trust fund review this year, have the Schedule ID and applicable draft legislation been included for recreation, modification or termination of existing trust funds?	Y
8.8	If the agency is scheduled for the annual trust fund review this year, have the necessary trust funds been requested for creation pursuant to *section 215.32(2)(b), Florida Statutes* - including the Schedule ID and applicable legislation?	Y
8.9	Are the revenue codes correct? In the case of federal revenues, has the agency appropriately identified direct versus indirect receipts (object codes 000700, 000750, 000799, 001510 and 001599)?	Y
8.10	Are the statutory authority references correct?	Y
8.11	Are the General Revenue Service Charge percentage rates used for each revenue source correct? (Refer to Chapter 2009-78, Laws of Florida, for appropriate general revenue service charge percentage rates.)	Y
8.12	Is this an accurate representation of revenues based on the most recent Consensus Estimating Conference forecasts?	Y
8.13	If there is no Consensus Estimating Conference forecast available, do the revenue estimates appear to be reasonable?	Y
8.14	Are the federal funds revenues reported in Section I broken out by individual grant? Are the correct CFDA codes used?	Y
8.15	Are anticipated grants included and based on the state fiscal year (rather than federal fiscal year)?	Y
8.16	Are the Schedule I revenues consistent with the FSI's reported in the Exhibit D-3A?	Y
8.17	If applicable, are nonrecurring revenues entered into Column A04?	Y
8.18	Has the agency certified the revenue estimates in columns A02 and A03 to be the latest and most accurate available? Does the certification include a statement that the agency will notify OPB of any significant changes in revenue estimates that occur prior to the Governor's Budget Recommendations being issued?	Y
8.19	Is a 5% trust fund reserve reflected in Section II? If not, is sufficient justification provided for exemption? Are the additional narrative requirements provided?	Y
8.20	Are appropriate service charge nonoperating amounts included in Section II?	Y

	Program or Service (Budget Entity Codes)
Action	43400100

8.21	Are nonoperating expenditures to other budget entities/departments cross-referenced accurately?	Y
8.22	Do transfers balance between funds (within the agency as well as between agencies)? (See also 8.6 for required transfer confirmation of amounts totaling $100,000 or more.)	Y
8.23	Are nonoperating expenditures recorded in Section II and adjustments recorded in Section III?	Y
8.24	Are prior year September operating reversions appropriately shown in column A01?	Y
8.25	Are current year September operating reversions appropriately shown in column A02?	Y
8.26	Does the Schedule IC properly reflect the unreserved fund balance for each trust fund as defined by the LBR Instructions, and is it reconciled to the agency accounting records?	Y
8.27	Does Column A01 of the Schedule I accurately represent the actual prior year accounting data as reflected in the agency accounting records, and is it provided in sufficient detail for analysis?	Y
8.28	Does Line I of Column A01 (Schedule I) equal Line K of the Schedule IC?	Y
AUDITS:		
8.29	Is Line I a positive number? (If not, the agency must adjust the budget request to eliminate the deficit).	Y
8.30	Is the June 30 Adjusted Unreserved Fund Balance (Line I) equal to the July 1 Unreserved Fund Balance (Line A) of the following year? **(SC1R, SC1A - Report should print "No Discrepancies Exist For This Report")**	Y
8.31	Has a Department Level Reconciliation been provided for each trust fund and does Line A of the Schedule I equal the CFO amount? If not, the agency must correct Line A. **(SC1R, DEPT)**	Y
TIP	The Schedule I is the most reliable source of data concerning the trust funds. It is very important that this schedule is as accurate as possible!	
TIP	Determine if the agency is scheduled for trust fund review. (See page 125 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 *Base Rate Audit* on page 157 of the LBR Instructions.)	Y
10. SCHEDULE III (PSCR, SC3)		
10.1	Is the appropriate lapse amount applied in Segment 3? (See page 87 of the LBR Instructions.)	Y

		Program or Service (Budget Entity Codes)
	Action	43400100

10.2	Are amounts in *Other Salary Amount* appropriate and fully justified? (See page 94 of the LBR Instructions for appropriate use of the OAD transaction.) Use **OADI** or **OADR** to identify agency other salary amounts requested.	Y

11. SCHEDULE IV (EADR, SC4)

11.1	Are the correct Information Technology (IT) issue codes used?	Y
TIP	If IT issues are not coded correctly (with "C" in 6th position), they will not appear in the Schedule IV.	

12. SCHEDULE VIIIA (EADR, SC8A)

12.1	Is there only one #1 priority, one #2 priority, one #3 priority, etc. reported on the Schedule VIII-A? Are the priority narrative explanations adequate?	Y

13. SCHEDULE VIIIB-1 (EADR, S8B1)

13.1	Do the reductions comply with the instructions provided on pages 98 through 101 of the LBR Instructions regarding a 5% reduction in recurring and nonrecurring General Revenue and Trust Funds?	Y

14. SCHEDULE VIIIB-2 (EADR, S8B2)

14.1	Do the reductions comply with the instructions provided on pages 102 through 104 of the LBR Instructions regarding a 15% reduction in recurring General Revenue and Trust Funds?	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 *section 216.023(4) (b), Florida Statutes,* the Legislature can reduce the funding level for any agency that does not provide this information.)	Y
15.2	Do the PDF files uploaded to the Florida Fiscal Portal for the LRPP and LBR match the Excel file e-mailed to OPB?	Y

AUDITS INCLUDED IN THE SCHEDULE XI REPORT:

15.3	Does the FY 2009-10 Actual (prior year) Expenditures in Column A36 reconcile to Column A01? **(GENR, ACT1)**	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
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")**	Y
15.6	Has the agency provided the necessary demand (Record Type 5) for all activities which <u>should</u> appear in Section II? (Note: Audit #3 will identify those activities that do NOT have a Record Type '5' and have not been identified as a 'Pass Through' activity. These activities will be displayed in Section III with the 'Payment of Pensions, Benefits and Claims' activity and 'Other' activities. Verify if these activities should be displayed in Section III. If not, an output standard would need to be added for that activity and the Schedule XI submitted again.)	Y
15.7	Does Section I (Final Budget for Agency) and Section III (Total Budget for Agency) equal? **(Audit #4 should print "No Discrepancies Found")**	Y

	Program or Service (Budget Entity Codes)
Action	43400100

16. MANUALLY PREPARED EXHIBITS & SCHEDULES

16.1	Do exhibits and schedules comply with LBR Instructions (pages 110 through 154 of the LBR Instructions), and are they accurate and complete?	Y
16.2	Are appropriation category totals comparable to Exhibit B, where applicable?	Y
16.3	Are agency organization charts (Schedule X) provided and at the appropriate level of detail?	Y

AUDITS - GENERAL INFORMATION

17. CAPITAL IMPROVEMENTS PROGRAM (CIP)

17.1	Are the CIP-2, CIP-3, CIP-A and CIP-B forms included?	Y
17.2	Are the CIP-4 and CIP-5 forms submitted when applicable (see CIP Instructions)?	Y
17.3	Do all CIP forms comply with CIP Instructions where applicable (see CIP Instructions)?	Y
17.4	Does the agency request include 5 year projections (Columns A03, A06, A07, A08 and A09)?	Y
17.5	Are the appropriate counties identified in the narrative?	Y
17.6	Has the CIP-2 form (Exibit B) been modified to include the agency priority for each project and the modified form saved as a PDF document?	Y

18. FLORIDA FISCAL PORTAL

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

Fiscal Year 2011-12 LBR Technical Review Checklist

Department/Budget Entity (Service): Financial Services/Financial Accountability for Public Funds

Agency Budget Officer/OPB Analyst Name: Teri Madsen/Walter Liebrich

A "Y" indicates "YES" and is acceptable, an "N/J" indicates "NO/Justification Provided" - these require further explanation/justification (additional sheets can be used as necessary), and "TIPS" are other areas to consider.

Action	Program or Service (Budget Entity Codes)				
	43500100	43500200	43500300	43500400	43500500
1. GENERAL					
1.1 Are Columns A01, A02, A04, A05, A10, A11, A36, IA1, IA4, IA5, IP1,V1, IV3 and NV1 set to TRANSFER CONTROL for DISPLAY status and MANAGEMENT CONTROL for UPDATE status for both the Budget and Trust Fund columns? Are Columns A06, A07, A08 and A09 for Fixed Capital Outlay (FCO) set to TRANSFER CONTROL for DISPLAY status only? **(CSDI)**	Y	Y	Y	Y	Y
1.2 Is Column A03 set to TRANSFER CONTROL for DISPLAY and UPDATE status for both the Budget and Trust Fund columns? **(CSDI)**	Y	Y	Y	Y	Y
AUDITS:					
1.3 Has Column A03 been copied to Column A12? Run the Exhibit B Audit Comparison Report to verify. **(EXBR, EXBA)**	Y	Y	Y	Y	Y
1.4 Has security been set correctly? **(CSDR, CSA)**	Y	Y	Y	Y	Y
TIP The agency should prepare the budget request for submission in this order: 1) Lock columns as described above; 2) copy Column A03 to Column A12; and 3) set Column A12 column security to ALL for DISPLAY status and MANAGEMENT CONTROL for UPDATE status.					
2. EXHIBIT A (EADR, EXA)					
2.1 Is the budget entity authority and description consistent with the agency's LRPP and does it conform to the directives provided on page 56 of the LBR Instructions?	Y	Y	Y	Y	Y
2.2 Are the statewide issues generated systematically (estimated expenditures, nonrecurring expenditures, etc.) included?	Y	Y	Y	Y	Y
2.3 Are the issue codes and titles consistent with *Section 3* of the LBR Instructions (pages 15 through 27)? Do they clearly describe the issue?	Y	Y	Y	Y	Y
2.4 Have the coding guidelines in *Section 3* of the LBR Instructions (pages 15 through 27) been followed?	Y	Y	Y	Y	Y
3. EXHIBIT B (EXBR, EXB)					
3.1 Is it apparent that there is a fund shift and were the issues entered into LAS/PBS correctly? Check D-3A funding shift issue 340XXX0 - a unique deduct and unique add back issue should be used to ensure fund shifts display correctly on the LBR exhibits.	Y	Y	Y	Y	Y
3.2 Are the 33XXXX0 issues negative amounts only and do not restore nonrecurring cuts from a prior year or fund any issues that net to a positive or zero amount? Check D-3A issues 33XXXX0 - a unique issue should be used for issues that net to zero or a positive amount.	Y	Y	Y	Y	Y
AUDITS:					
3.3 Negative Appropriation Category Audit for Agency Request (Columns A03 and A04): Are all appropriation categories positive by budget entity at the FSI level? Are all nonrecurring amounts less than requested amounts? **(NACR, NAC - Report should print "No Negative Appropriation Categories Found")**	Y	Y	Y	Y	Y
3.4 Current Year Estimated Verification Comparison Report: Is Column A02 equal to Column B07? **(EXBR, EXBC - Report should print "Records Selected Net To Zero")**	Y	Y	Y	Y	Y
TIP Generally look for and be able to fully explain significant differences between A02 and A03.					

		Program or Service (Budget Entity Codes)				
	Action	43500100	43500200	43500300	43500400	43500500
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)

		43500100	43500200	43500300	43500400	43500500
4.1	Is the program component objective statement consistent with the agency LRPP, and does it conform to the directives provided on page 59 of the LBR Instructions?	Y	Y	Y	Y	Y
4.2	Is the program component code and title used correct?	Y	Y	Y	Y	Y
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)

		43500100	43500200	43500300	43500400	43500500
5.1	Are all object of expenditures positive amounts? (This is a manual check.)	Y	Y	Y	Y	Y
AUDITS:						
5.2	Do the fund totals agree with the object category totals within each appropriation category? (**ED1R, XD1A - Report should print "No Differences Found For This Report"**)	Y	Y	Y	Y	Y
5.3	FLAIR Expenditure/Appropriation Ledger Comparison Report: Is Column A01 less than Column B04? (**EXBR, EXBB - Negative differences need to be corrected in Column A01.**)	Y	Y	Y	Y	Y
5.4	A01/State Accounts Disbursements and Carry Forward Comparison Report: Does Column A01 equal Column B08? (**EXBR, EXBD - Differences need to be corrected in Column A01.**)	Y	Y	Y	Y	Y
TIP	If objects are negative amounts, the agency must make adjustments to Column A01 to correct the object amounts. In addition, the fund totals must be adjusted to reflect the adjustment made to the object data.					
TIP	If fund totals and object totals do not agree or negative object amounts exist, the agency must adjust Column A01.					
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 2009-10 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.)

		43500100	43500200	43500300	43500400	43500500
6.1	Are issues appropriately aligned with appropriation categories?	Y	Y	Y	Y	Y
TIP	Exhibit D-3 is no longer required in the budget submission but may be needed for this particular appropriation category/issue sort. Exhibit D-3 is also a useful report when identifying negative appropriation category problems.					

7. EXHIBIT D-3A (EADR, ED3A)

		43500100	43500200	43500300	43500400	43500500
7.1	Are the issue titles correct and do they clearly identify the issue? (See pages 15 through 31 of the LBR Instructions.)	Y	Y	Y	Y	Y

	Program or Service (Budget Entity Codes)				
Action	43500100	43500200	43500300	43500400	43500500
7.2 Does the issue narrative adequately explain the agency's request and is the explanation consistent with the LRPP? (See page 65 of the LBR Instructions.)	Y	Y	Y	Y	Y
7.3 Does the narrative for Information Technology (IT) issue follow the additional narrative requirements described on pages 66 through 69 of the LBR Instructions?	Y	Y	Y	Y	Y
7.4 Are all issues with an IT component identified with a "Y" in the "IT COMPONENT?" field? If the issue contains an IT component, has that component been identified and documented?	Y	Y	Y	Y	Y
7.5 Does the issue narrative explain any variances from the Standard Expense and Human Resource Services Assessments package? Is the nonrecurring portion in the nonrecurring column? (See pages E-4 and E-5 of the LBR Instructions.)	Y	Y	Y	Y	Y
7.6 Does the salary rate request amount accurately reflect any new requests and are the amounts proportionate to the Salaries and Benefits request? Note: Salary rate should always be annualized.	Y	Y	Y	Y	Y
7.7 Does the issue narrative thoroughly explain/justify all Salaries and Benefits amounts entered into the Other Salary Amounts transactions (OADA/C)? Amounts entered into OAD are reflected in the Position Detail of Salaries and Benefits section of the Exhibit D-3A.	Y	Y	Y	Y	Y
7.8 Does the issue narrative include the Consensus Estimating Conference forecast, where appropriate?	Y	Y	Y	Y	Y
7.9 Does the issue narrative reference the specific county(ies) where applicable?	Y	Y	Y	Y	Y
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 #11-006?	Y	Y	Y	Y	Y
7.11 When appropriate are there any 160XXX0 issues included to delete positions placed in reserve in the OPB Position and Rate Ledger (e.g. unfunded grants)? Note: Lump sum appropriations not yet allocated should not be deleted. (PLRR, PLMO)	Y	Y	Y	Y	Y
7.12 Does the issue narrative include plans to satisfy additional space requirements when requesting additional positions?	Y	Y	Y	Y	Y
7.13 Has the agency included a 160XXX0 issue and 210XXXX and 260XXX0 issues as required for lump sum distributions?	Y	Y	Y	Y	Y
7.14 Do the amounts reflect appropriate FSI assignments?	Y	Y	Y	Y	Y
7.15 Do the issues relating to *salary and benefits* have an "A" in the fifth position of the issue code (XXXXAXX) and are they self-contained (not combined with other issues)? (See page 26 and 86 of the LBR Instructions.)	Y	Y	Y	Y	Y
7.16 Do the issues relating to *Information Technology (IT)* have a "C" in the sixth position of the issue code (36XXXCX) and are the correct issue codes used (361XXC0, 362XXC0, 363XXC0, 17C01C0, 17C02C0, 17C03C0, 24010C0, 33001C0 or 55C01C0)?	Y	Y	Y	Y	Y
7.17 Are the issues relating to *major audit findings and recommendations* properly coded (4A0XXX0, 4B0XXX0)?	Y	Y	Y	Y	Y
AUDIT:					
7.18 Are all FSI's equal to '1', '2', '3', or '9'? There should be no FSI's equal to '0'. (EADR, FSIA - Report should print "No Records Selected For Reporting")	Y	Y	Y	Y	Y
7.19 Does the General Revenue for 160XXXX issues net to zero? (GENR, LBR1)	Y	Y	Y	Y	Y

	Action	Program or Service (Budget Entity Codes)				
		43500100	43500200	43500300	43500400	43500500
7.20	Does the General Revenue for 180XXXX issues net to zero? **(GENR, LBR2)**	Y	Y	Y	Y	Y
7.21	Does the General Revenue for 200XXXX issues net to zero? **(GENR, LBR3)**	Y	Y	Y	Y	Y
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))**	Y	Y	Y	Y	Y
TIP	Salaries and Benefits amounts entered using the OADA/C transactions must be thoroughly justified in the D-3A issue narrative. Agencies can run **OADA/OADR** from STAM to identify the amounts entered into OAD and ensure these entries have been thoroughly explained in the D-3A issue narrative.					
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	Y	Y	Y
8.2	Has a Schedule I been completed in LAS/PBS for each operating trust fund?	Y	Y	Y	Y	Y
8.3	Have the appropriate Schedule I supporting documents been included for the trust funds (Schedule IA, Schedule IB, Schedule IC, and Reconciliation to Trial Balance)?	Y	Y	Y	Y	Y
8.4	Have the Examination of Regulatory Fees Part I and Part II forms been included for the applicable regulatory programs?	Y	Y	Y	Y	Y
8.5	Have the required detailed narratives been provided (5% trust fund reserve narrative; method for computing the distribution of cost for general management and administrative services narrative; adjustments narrative; revenue estimating methodology narrative)?	Y	Y	Y	Y	Y
8.6	Has the Inter-Agency Transfers Reported on Schedule I form been included as applicable for transfers totaling $100,000 or more for the fiscal year?	Y	Y	Y	Y	Y
8.7	If the agency is scheduled for the annual trust fund review this year, have the Schedule ID and applicable draft legislation been included for recreation, modification or termination of existing trust funds?	Y	Y	Y	Y	Y

		Program or Service (Budget Entity Codes)				
	Action	43500100	43500200	43500300	43500400	43500500
8.8	If the agency is scheduled for the annual trust fund review this year, have the necessary trust funds been requested for creation pursuant to *section 215.32(2)(b), Florida Statutes* - including the Schedule ID and applicable legislation?	Y	Y	Y	Y	Y
8.9	Are the revenue codes correct? In the case of federal revenues, has the agency appropriately identified direct versus indirect receipts (object codes 000700, 000750, 000799, 001510 and 001599)?	Y	Y	Y	Y	Y
8.10	Are the statutory authority references correct?	Y	Y	Y	Y	Y
8.11	Are the General Revenue Service Charge percentage rates used for each revenue source correct? (Refer to Chapter 2009-78, Laws of Florida, for appropriate general revenue service charge percentage rates.)	Y	Y	Y	Y	Y
8.12	Is this an accurate representation of revenues based on the most recent Consensus Estimating Conference forecasts?	Y	Y	Y	Y	Y
8.13	If there is no Consensus Estimating Conference forecast available, do the revenue estimates appear to be reasonable?	Y	Y	Y	Y	Y
8.14	Are the federal funds revenues reported in Section I broken out by individual grant? Are the correct CFDA codes used?	Y	Y	Y	Y	Y
8.15	Are anticipated grants included and based on the state fiscal year (rather than federal fiscal year)?	Y	Y	Y	Y	Y
8.16	Are the Schedule I revenues consistent with the FSI's reported in the Exhibit D-3A?	Y	Y	Y	Y	Y
8.17	If applicable, are nonrecurring revenues entered into Column A04?	Y	Y	Y	Y	Y
8.18	Has the agency certified the revenue estimates in columns A02 and A03 to be the latest and most accurate available? Does the certification include a statement that the agency will notify OPB of any significant changes in revenue estimates that occur prior to the Governor's Budget Recommendations being issued?	Y	Y	Y	Y	Y
8.19	Is a 5% trust fund reserve reflected in Section II? If not, is sufficient justification provided for exemption? Are the additional narrative requirements provided?	Y	Y	Y	Y	Y
8.20	Are appropriate service charge nonoperating amounts included in Section II?	Y	Y	Y	Y	Y
8.21	Are nonoperating expenditures to other budget entities/departments cross-referenced accurately?	Y	Y	Y	Y	Y
8.22	Do transfers balance between funds (within the agency as well as between agencies)? (See also 8.6 for required transfer confirmation of amounts totaling $100,000 or more.)	Y	Y	Y	Y	Y
8.23	Are nonoperating expenditures recorded in Section II and adjustments recorded in Section III?	Y	Y	Y	Y	Y
8.24	Are prior year September operating reversions appropriately shown in column A01?	Y	Y	Y	Y	Y
8.25	Are current year September operating reversions appropriately shown in column A02?	Y	Y	Y	Y	Y
8.26	Does the Schedule IC properly reflect the unreserved fund balance for each trust fund as defined by the LBR Instructions, and is it reconciled to the agency accounting records?	Y	Y	Y	Y	Y
8.27	Does Column A01 of the Schedule I accurately represent the actual prior year accounting data as reflected in the agency accounting records, and is it provided in sufficient detail for analysis?	Y	Y	Y	Y	Y
8.28	Does Line I of Column A01 (Schedule I) equal Line K of the Schedule IC?	Y	Y	Y	Y	Y
AUDITS:						

		Program or Service (Budget Entity Codes)				
	Action	43500100	43500200	43500300	43500400	43500500
8.29	Is Line I a positive number? (If not, the agency must adjust the budget request to eliminate the deficit).	Y	Y	Y	Y	Y
8.30	Is the June 30 Adjusted Unreserved Fund Balance (Line I) equal to the July 1 Unreserved Fund Balance (Line A) of the following year? **(SC1R, SC1A - Report should print "No Discrepancies Exist For This Report")**	Y	Y	Y	Y	Y
8.31	Has a Department Level Reconciliation been provided for each trust fund and does Line A of the Schedule I equal the CFO amount? If not, the agency must correct Line A. **(SC1R, DEPT)**	Y	Y	Y	Y	Y
TIP	The Schedule I is the most reliable source of data concerning the trust funds. It is very important that this schedule is as accurate as possible!					
TIP	Determine if the agency is scheduled for trust fund review. (See page 125 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 *Base Rate Audit* on page 157 of the LBR Instructions.)	Y	Y	Y	Y	Y

10. SCHEDULE III (PSCR, SC3)

10.1	Is the appropriate lapse amount applied in Segment 3? (See page 87 of the LBR Instructions.)	Y	Y	Y	Y	Y
10.2	Are amounts in *Other Salary Amount* appropriate and fully justified? (See page 94 of the LBR Instructions for appropriate use of the OAD transaction.) Use **OADI** or **OADR** to identify agency other salary amounts requested.	Y	Y	Y	Y	Y

11. SCHEDULE IV (EADR, SC4)

11.1	Are the correct Information Technology (IT) issue codes used?	Y	Y	Y	Y	Y
TIP	If IT issues are not coded correctly (with "C" in 6th position), they will not appear in the Schedule IV.					

12. SCHEDULE VIIIA (EADR, SC8A)

12.1	Is there only one #1 priority, one #2 priority, one #3 priority, etc. reported on the Schedule VIII-A? Are the priority narrative explanations adequate?	Y	Y	Y	Y	Y

13. SCHEDULE VIIIB-1 (EADR, S8B1)

13.1	Do the reductions comply with the instructions provided on pages 98 through 101 of the LBR Instructions regarding a 5% reduction in recurring and nonrecurring General Revenue and Trust Funds?	Y	Y	Y	Y	Y

14. SCHEDULE VIIIB-2 (EADR, S8B2)

14.1	Do the reductions comply with the instructions provided on pages 102 through 104 of the LBR Instructions regarding a 15% reduction in recurring General Revenue and Trust Funds?	Y	Y	Y	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 *section 216.023(4) (b), Florida Statutes,* the Legislature can reduce the funding level for any agency that does not provide this information.)	Y	Y	Y	Y	Y

	Action	Program or Service (Budget Entity Codes)				
		43500100	43500200	43500300	43500400	43500500
15.2	Do the PDF files uploaded to the Florida Fiscal Portal for the LRPP and LBR match the Excel file e-mailed to OPB?	Y	Y	Y	Y	Y
AUDITS INCLUDED IN THE SCHEDULE XI REPORT:						
15.3	Does the FY 2009-10 Actual (prior year) Expenditures in Column A36 reconcile to Column A01? **(GENR, ACT1)**	Y	Y	Y	Y	Y
15.4	None of the executive direction, administrative support and information technology statewide activities (ACT0010 thru ACT0490) have output standards (Record Type 5)? **(Audit #1 should print "No Activities Found")**	Y	Y	Y	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")**	Y	Y	Y	Y	Y
15.6	Has the agency provided the necessary demand (Record Type 5) for all activities which <u>should</u> appear in Section II? (Note: Audit #3 will identify those activities that do NOT have a Record Type '5' and have not been identified as a 'Pass Through' activity. These activities will be displayed in Section III with the 'Payment of Pensions, Benefits and Claims' activity and 'Other' activities. Verify if these activities should be displayed in Section III. If not, an output standard would need to be added for that activity and the Schedule XI submitted again.)	Y	Y	Y	Y	Y
15.7	Does Section I (Final Budget for Agency) and Section III (Total Budget for Agency) equal? **(Audit #4 should print "No Discrepancies Found")**	Y	Y	Y	Y	Y
TIP	If Section I and Section III have a small difference, it may be due to rounding and therefore will be acceptable.					
16. MANUALLY PREPARED EXHIBITS & SCHEDULES						
16.1	Do exhibits and schedules comply with LBR Instructions (pages 110 through 154 of the LBR Instructions), and are they accurate and complete?	Y	Y	Y	Y	Y
16.2	Are appropriation category totals comparable to Exhibit B, where applicable?	Y	Y	Y	Y	Y
16.3	Are agency organization charts (Schedule X) provided and at the appropriate level of detail?	Y	Y	Y	Y	Y
AUDITS - GENERAL INFORMATION						
TIP	Review *Section 6: Audits* of the LBR Instructions for a list of audits and their descriptions.					
TIP	Reorganizations may cause audit errors. Agencies must indicate that these errors are due to an agency reorganization to justify the audit error.					
17. CAPITAL IMPROVEMENTS PROGRAM (CIP)						
17.1	Are the CIP-2, CIP-3, CIP-A and CIP-B forms included?	Y	Y	Y	Y	Y
17.2	Are the CIP-4 and CIP-5 forms submitted when applicable (see CIP Instructions)?	Y	Y	Y	Y	Y
17.3	Do all CIP forms comply with CIP Instructions where applicable (see CIP Instructions)?	Y	Y	Y	Y	Y
17.4	Does the agency request include 5 year projections (Columns A03, A06, A07, A08 and A09)?	Y	Y	Y	Y	Y
17.5	Are the appropriate counties identified in the narrative?	Y	Y	Y	Y	Y
17.6	Has the CIP-2 form (Exibit B) been modified to include the agency priority for each project and the modified form saved as a PDF document?	Y	Y	Y	Y	Y
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.					

Action	Program or Service (Budget Entity Codes)				
	43500100	43500200	43500300	43500400	43500500

18. FLORIDA FISCAL PORTAL

		43500100	43500200	43500300	43500400	43500500
18.1	Have all files been assembled correctly and posted to the Florida Fiscal Portal as outlined in the Florida Fiscal Portal Submittal Process?	Y	Y	Y	Y	Y

Fiscal Year 2011-12 LBR Technical Review Checklist

Department/Budget Entity (Service): Financial Services/Financial Accountability for Public Funds	
Agency Budget Officer/OPB Analyst Name: Teri Madsen/Walter Liebrich	

A "Y" indicates "YES" and is acceptable, an "N/J" indicates "NO/Justification Provided" - these require further explanation/justification (additional sheets can be used as necessary), and "TIPS" are other areas to consider.

Action	Program or Service (Budget Entity Codes)
	43600100

1.	**GENERAL**		
	1.1	Are Columns A01, A02, A04, A05, A10, A11, A36, IA1, IA4, IA5, IP1,V1, IV3 and NV1 set to TRANSFER CONTROL for DISPLAY status and MANAGEMENT CONTROL for UPDATE status for both the Budget and Trust Fund columns? Are Columns A06, A07, A08 and A09 for Fixed Capital Outlay (FCO) set to TRANSFER CONTROL for DISPLAY status only? **(CSDI)**	Y
	1.2	Is Column A03 set to TRANSFER CONTROL for DISPLAY and UPDATE status for both the Budget and Trust Fund columns? **(CSDI)**	Y
AUDITS:			
	1.3	Has Column A03 been copied to Column A12? Run the Exhibit B Audit Comparison Report to verify. **(EXBR, EXBA)**	Y
	1.4	Has security been set correctly? **(CSDR, CSA)**	Y
	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
	2.2	Are the statewide issues generated systematically (estimated expenditures, nonrecurring expenditures, etc.) included?	Y
	2.3	Are the issue codes and titles consistent with *Section 3* of the LBR Instructions (pages 15 through 27)? Do they clearly describe the issue?	Y
	2.4	Have the coding guidelines in *Section 3* of the LBR Instructions (pages 15 through 27) been followed?	Y
3.	**EXHIBIT B (EXBR, EXB)**		
	3.1	Is it apparent that there is a fund shift and were the issues entered into LAS/PBS correctly? Check D-3A funding shift issue 340XXX0 - a unique deduct and unique add back issue should be used to ensure fund shifts display correctly on the LBR exhibits.	Y
	3.2	Are the 33XXXX0 issues negative amounts only and do not restore nonrecurring cuts from a prior year or fund any issues that net to a positive or zero amount? Check D-3A issues 33XXXX0 - a unique issue should be used for issues that net to zero or a positive amount.	Y
AUDITS:			
	3.3	Negative Appropriation Category Audit for Agency Request (Columns A03 and A04): Are all appropriation categories positive by budget entity at the FSI level? Are all nonrecurring amounts less than requested amounts? **(NACR, NAC - Report should print "No Negative Appropriation Categories Found")**	Y

3.4	Current Year Estimated Verification Comparison Report: Is Column A02 equal to Column B07? **(EXBR, EXBC - Report should print "Records Selected Net To Zero")**	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
4.2	Is the program component code and title used correct?	Y
TIP	Fund shifts or transfers of services or activities between program components will be displayed on an Exhibit D whereas it may not be visible on an Exhibit A.	

5. EXHIBIT D-1 (ED1R, EXD1)

5.1	Are all object of expenditures positive amounts? (This is a manual check.)	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
5.3	FLAIR Expenditure/Appropriation Ledger Comparison Report: Is Column A01 less than Column B04? **(EXBR, EXBB - Negative differences need to be corrected in Column A01.)**	Y
5.4	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.)**	Y
TIP	If objects are negative amounts, the agency must make adjustments to Column A01 to correct the object amounts. In addition, the fund totals must be adjusted to reflect the adjustment made to the object data.	
TIP	If fund totals and object totals do not agree or negative object amounts exist, the agency must adjust Column A01.	
TIP	Exhibit B - A01 less than B04: This audit is to ensure that the disbursements and carry/certifications forward in A01 are less than FY 2009-10 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.)

	Program or Service (Budget Entity Codes)
Action	43600100

6.1	Are issues appropriately aligned with appropriation categories?	Y
TIP	Exhibit D-3 is no longer required in the budget submission but may be needed for this particular appropriation category/issue sort. Exhibit D-3 is also a useful report when identifying negative appropriation category problems.	

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
7.2	Does the issue narrative adequately explain the agency's request and is the explanation consistent with the LRPP? (See page 65 of the LBR Instructions.)	Y
7.3	Does the narrative for Information Technology (IT) issue follow the additional narrative requirements described on pages 66 through 69 of the LBR Instructions?	Y
7.4	Are all issues with an IT component identified with a "Y" in the "IT COMPONENT?" field? If the issue contains an IT component, has that component been identified and documented?	Y
7.5	Does the issue narrative explain any variances from the Standard Expense and Human Resource Services Assessments package? Is the nonrecurring portion in the nonrecurring column? (See pages E-4 and E-5 of the LBR Instructions.)	Y
7.6	Does the salary rate request amount accurately reflect any new requests and are the amounts proportionate to the Salaries and Benefits request? Note: Salary rate should always be annualized.	Y
7.7	Does the issue narrative thoroughly explain/justify all Salaries and Benefits amounts entered into the Other Salary Amounts transactions (OADA/C)? Amounts entered into OAD are reflected in the Position Detail of Salaries and Benefits section of the Exhibit D-3A.	Y
7.8	Does the issue narrative include the Consensus Estimating Conference forecast, where appropriate?	Y
7.9	Does the issue narrative reference the specific county(ies) where applicable?	Y
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 #11-006?	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 not be deleted. **(PLRR, PLMO)**	Y
7.12	Does the issue narrative include plans to satisfy additional space requirements when requesting additional positions?	Y
7.13	Has the agency included a 160XXX0 issue and 210XXXX and 260XXX0 issues as required for lump sum distributions?	Y
7.14	Do the amounts reflect appropriate FSI assignments?	Y

	Action	Program or Service (Budget Entity Codes)
		43600100
7.15	Do the issues relating to *salary and benefits* have an "A" in the fifth position of the issue code (XXXXAXX) and are they self-contained (not combined with other issues)? (See page 26 and 86 of the LBR Instructions.)	Y
7.16	Do the issues relating to *Information Technology (IT)* have a "C" in the sixth position of the issue code (36XXXCX) and are the correct issue codes used (361XXC0, 362XXC0, 363XXC0, 17C01C0, 17C02C0, 17C03C0, 24010C0, 33001C0 or 55C01C0)?	Y
7.17	Are the issues relating to *major audit findings and recommendations* properly coded (4A0XXX0, 4B0XXX0)?	Y
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
7.19	Does the General Revenue for 160XXXX issues net to zero? **(GENR, LBR1)**	Y
7.20	Does the General Revenue for 180XXXX issues net to zero? **(GENR, LBR2)**	Y
7.21	Does the General Revenue for 200XXXX issues net to zero? **(GENR, LBR3)**	Y
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))**	Y
TIP	Salaries and Benefits amounts entered using the OADA/C transactions must be thoroughly justified in the D-3A issue narrative. Agencies can run **OADA/OADR** from STAM to identify the amounts entered into OAD and ensure these entries have been thoroughly explained in the D-3A issue narrative.	
TIP	The issue narrative must completely and thoroughly explain and justify each D-3A issue. Agencies must ensure it provides the information necessary for the OPB and legislative analysts to have a complete understanding of the issue submitted. Thoroughly review pages 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)

	Program or Service (Budget Entity Codes)
Action	43600100

8.1	Has a separate department level Schedule I and supporting documents package been submitted by the agency?	Y
8.2	Has a Schedule I been completed in LAS/PBS for each operating trust fund?	Y
8.3	Have the appropriate Schedule I supporting documents been included for the trust funds (Schedule IA, Schedule IB, Schedule IC, and Reconciliation to Trial Balance)?	Y
8.4	Have the Examination of Regulatory Fees Part I and Part II forms been included for the applicable regulatory programs?	Y
8.5	Have the required detailed narratives been provided (5% trust fund reserve narrative; method for computing the distribution of cost for general management and administrative services narrative; adjustments narrative; revenue estimating methodology narrative)?	Y
8.6	Has the Inter-Agency Transfers Reported on Schedule I form been included as applicable for transfers totaling $100,000 or more for the fiscal year?	Y
8.7	If the agency is scheduled for the annual trust fund review this year, have the Schedule ID and applicable draft legislation been included for recreation, modification or termination of existing trust funds?	Y
8.8	If the agency is scheduled for the annual trust fund review this year, have the necessary trust funds been requested for creation pursuant to *section 215.32(2)(b), Florida Statutes* - including the Schedule ID and applicable legislation?	Y
8.9	Are the revenue codes correct? In the case of federal revenues, has the agency appropriately identified direct versus indirect receipts (object codes 000700, 000750, 000799, 001510 and 001599)?	Y
8.10	Are the statutory authority references correct?	Y
8.11	Are the General Revenue Service Charge percentage rates used for each revenue source correct? (Refer to Chapter 2009-78, Laws of Florida, for appropriate general revenue service charge percentage rates.)	Y
8.12	Is this an accurate representation of revenues based on the most recent Consensus Estimating Conference forecasts?	Y
8.13	If there is no Consensus Estimating Conference forecast available, do the revenue estimates appear to be reasonable?	Y
8.14	Are the federal funds revenues reported in Section I broken out by individual grant? Are the correct CFDA codes used?	Y
8.15	Are anticipated grants included and based on the state fiscal year (rather than federal fiscal year)?	Y
8.16	Are the Schedule I revenues consistent with the FSI's reported in the Exhibit D-3A?	Y
8.17	If applicable, are nonrecurring revenues entered into Column A04?	Y
8.18	Has the agency certified the revenue estimates in columns A02 and A03 to be the latest and most accurate available? Does the certification include a statement that the agency will notify OPB of any significant changes in revenue estimates that occur prior to the Governor's Budget Recommendations being issued?	Y
8.19	Is a 5% trust fund reserve reflected in Section II? If not, is sufficient justification provided for exemption? Are the additional narrative requirements provided?	Y
8.20	Are appropriate service charge nonoperating amounts included in Section II?	Y

	Program or Service (Budget Entity Codes)
Action	43600100

8.21	Are nonoperating expenditures to other budget entities/departments cross-referenced accurately?	Y
8.22	Do transfers balance between funds (within the agency as well as between agencies)? (See also 8.6 for required transfer confirmation of amounts totaling $100,000 or more.)	Y
8.23	Are nonoperating expenditures recorded in Section II and adjustments recorded in Section III?	Y
8.24	Are prior year September operating reversions appropriately shown in column A01?	Y
8.25	Are current year September operating reversions appropriately shown in column A02?	Y
8.26	Does the Schedule IC properly reflect the unreserved fund balance for each trust fund as defined by the LBR Instructions, and is it reconciled to the agency accounting records?	Y
8.27	Does Column A01 of the Schedule I accurately represent the actual prior year accounting data as reflected in the agency accounting records, and is it provided in sufficient detail for analysis?	Y
8.28	Does Line I of Column A01 (Schedule I) equal Line K of the Schedule IC?	Y
AUDITS:		
8.29	Is Line I a positive number? (If not, the agency must adjust the budget request to eliminate the deficit).	Y
8.30	Is the June 30 Adjusted Unreserved Fund Balance (Line I) equal to the July 1 Unreserved Fund Balance (Line A) of the following year? **(SC1R, SC1A - Report should print "No Discrepancies Exist For This Report")**	Y
8.31	Has a Department Level Reconciliation been provided for each trust fund and does Line A of the Schedule I equal the CFO amount? If not, the agency must correct Line A. **(SC1R, DEPT)**	Y
TIP	The Schedule I is the most reliable source of data concerning the trust funds. It is very important that this schedule is as accurate as possible!	
TIP	Determine if the agency is scheduled for trust fund review. (See page 125 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 *Base Rate Audit* on page 157 of the LBR Instructions.)	Y
10. SCHEDULE III (PSCR, SC3)		
10.1	Is the appropriate lapse amount applied in Segment 3? (See page 87 of the LBR Instructions.)	Y

	Program or Service (Budget Entity Codes)
Action	43600100

10.2	Are amounts in *Other Salary Amount* appropriate and fully justified? (See page 94 of the LBR Instructions for appropriate use of the OAD transaction.) Use **OADI** or **OADR** to identify agency other salary amounts requested.	Y

11. SCHEDULE IV (EADR, SC4)

11.1	Are the correct Information Technology (IT) issue codes used?	Y
TIP	If IT issues are not coded correctly (with "C" in 6th position), they will not appear in the Schedule IV.	

12. SCHEDULE VIIIA (EADR, SC8A)

12.1	Is there only one #1 priority, one #2 priority, one #3 priority, etc. reported on the Schedule VIII-A? Are the priority narrative explanations adequate?	Y

13. SCHEDULE VIIIB-1 (EADR, S8B1)

13.1	Do the reductions comply with the instructions provided on pages 98 through 101 of the LBR Instructions regarding a 5% reduction in recurring and nonrecurring General Revenue and Trust Funds?	Y

14. SCHEDULE VIIIB-2 (EADR, S8B2)

14.1	Do the reductions comply with the instructions provided on pages 102 through 104 of the LBR Instructions regarding a 15% reduction in recurring General Revenue and Trust Funds?	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 *section 216.023(4) (b), Florida Statutes,* the Legislature can reduce the funding level for any agency that does not provide this information.)	Y
15.2	Do the PDF files uploaded to the Florida Fiscal Portal for the LRPP and LBR match the Excel file e-mailed to OPB?	Y

AUDITS INCLUDED IN THE SCHEDULE XI REPORT:

15.3	Does the FY 2009-10 Actual (prior year) Expenditures in Column A36 reconcile to Column A01? (**GENR, ACT1**)	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
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")**	Y
15.6	Has the agency provided the necessary demand (Record Type 5) for all activities which should appear in Section II? (Note: Audit #3 will identify those activities that do NOT have a Record Type '5' and have not been identified as a 'Pass Through' activity. These activities will be displayed in Section III with the 'Payment of Pensions, Benefits and Claims' activity and 'Other' activities. Verify if these activities should be displayed in Section III. If not, an output standard would need to be added for that activity and the Schedule XI submitted again.)	Y
15.7	Does Section I (Final Budget for Agency) and Section III (Total Budget for Agency) equal? **(Audit #4 should print "No Discrepancies Found")**	Y

	Program or Service (Budget Entity Codes)
Action	43600100

16. MANUALLY PREPARED EXHIBITS & SCHEDULES

16.1	Do exhibits and schedules comply with LBR Instructions (pages 110 through 154 of the LBR Instructions), and are they accurate and complete?	Y
16.2	Are appropriation category totals comparable to Exhibit B, where applicable?	Y
16.3	Are agency organization charts (Schedule X) provided and at the appropriate level of detail?	Y

AUDITS - GENERAL INFORMATION

17. CAPITAL IMPROVEMENTS PROGRAM (CIP)

17.1	Are the CIP-2, CIP-3, CIP-A and CIP-B forms included?	Y
17.2	Are the CIP-4 and CIP-5 forms submitted when applicable (see CIP Instructions)?	Y
17.3	Do all CIP forms comply with CIP Instructions where applicable (see CIP Instructions)?	Y
17.4	Does the agency request include 5 year projections (Columns A03, A06, A07, A08 and A09)?	Y
17.5	Are the appropriate counties identified in the narrative?	Y
17.6	Has the CIP-2 form (Exibit B) been modified to include the agency priority for each project and the modified form saved as a PDF document?	Y

18. FLORIDA FISCAL PORTAL

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

Fiscal Year 2011-12 LBR Technical Review Checklist

Department/Budget Entity (Service): Financial Services/Financial Accountability for Public Funds

Agency Budget Officer/OPB Analyst Name: Teri Madsen/Walter Liebrich

A "Y" indicates "YES" and is acceptable, an "N/J" indicates "NO/Justification Provided" - these require further explanation/justification (additional sheets can be used as necessary), and "TIPS" are other areas to consider.

Action	Program or Service (Budget Entity Codes)	
	43900110	43900120

1. GENERAL			
1.1	Are Columns A01, A02, A04, A05, A10, A11, A36, IA1, IA4, IA5, IP1,V1, IV3 and NV1 set to TRANSFER CONTROL for DISPLAY status and MANAGEMENT CONTROL for UPDATE status for both the Budget and Trust Fund columns? Are Columns A06, A07, A08 and A09 for Fixed Capital Outlay (FCO) set to TRANSFER CONTROL for DISPLAY status only? **(CSDI)**	Y	Y
1.2	Is Column A03 set to TRANSFER CONTROL for DISPLAY and UPDATE status for both the Budget and Trust Fund columns? **(CSDI)**	Y	Y
AUDITS:			
1.3	Has Column A03 been copied to Column A12? Run the Exhibit B Audit Comparison Report to verify. **(EXBR, EXBA)**	Y	Y
1.4	Has security been set correctly? **(CSDR, CSA)**	Y	Y
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 *Section 3* of the LBR Instructions (pages 15 through 27)? Do they clearly describe the issue?	Y	Y
2.4	Have the coding guidelines in *Section 3* of the LBR Instructions (pages 15 through 27) been followed?	Y	Y
3. EXHIBIT B (EXBR, EXB)			
3.1	Is it apparent that there is a fund shift and were the issues entered into LAS/PBS correctly? Check D-3A funding shift issue 340XXX0 - a unique deduct and unique add back issue should be used to ensure fund shifts display correctly on the LBR exhibits.	Y	Y
3.2	Are the 33XXXX0 issues negative amounts only and do not restore nonrecurring cuts from a prior year or fund any issues that net to a positive or zero amount? Check D-3A issues 33XXXX0 - a unique issue should be used for issues that net to zero or a positive amount.	Y	Y
AUDITS:			
3.3	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

3.4	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 Column B04? **(EXBR, EXBB - Negative differences need to be corrected in Column A01.)**	Y	Y
5.4	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.)**	Y	Y
TIP	If objects are negative amounts, the agency must make adjustments to Column A01 to correct the object amounts. In addition, the fund totals must be adjusted to reflect the adjustment made to the object data.		
TIP	If fund totals and object totals do not agree or negative object amounts exist, the agency must adjust Column A01.		
TIP	Exhibit B - A01 less than B04: This audit is to ensure that the disbursements and carry/certifications forward in A01 are less than FY 2009-10 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.)

		43900110	43900120
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)

		43900110	43900120
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 69 of the LBR Instructions?	Y	Y
7.4	Are all issues with an IT component identified with a "Y" in the "IT COMPONENT?" field? If the issue contains an IT component, has that component been identified and documented?	Y	Y
7.5	Does the issue narrative explain any variances from the Standard Expense and Human Resource Services Assessments package? Is the nonrecurring portion in the nonrecurring column? (See pages E-4 and E-5 of the LBR Instructions.)	Y	Y
7.6	Does the salary rate request amount accurately reflect any new requests and are the amounts proportionate to the Salaries and Benefits request? Note: Salary rate should always be annualized.	Y	Y
7.7	Does the issue narrative thoroughly explain/justify all Salaries and Benefits amounts entered into the Other Salary Amounts transactions (OADA/C)? Amounts entered into OAD are reflected in the Position Detail of Salaries and Benefits section of the Exhibit D-3A.	Y	Y
7.8	Does the issue narrative include the Consensus Estimating Conference forecast, where appropriate?	Y	Y
7.9	Does the issue narrative reference the specific county(ies) where applicable?	Y	Y
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 #11-006?	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 not be deleted. **(PLRR, PLMO)**	Y	Y
7.12	Does the issue narrative include plans to satisfy additional space requirements when requesting additional positions?	Y	Y
7.13	Has the agency included a 160XXX0 issue and 210XXXX and 260XXX0 issues as required for lump sum distributions?	Y	Y
7.14	Do the amounts reflect appropriate FSI assignments?	Y	Y

		43900110	43900120
7.15	Do the issues relating to *salary and benefits* have an "A" in the fifth position of the issue code (XXXXAXX) and are they self-contained (not combined with other issues)? (See page 26 and 86 of the LBR Instructions.)	Y	Y
7.16	Do the issues relating to *Information Technology (IT)* have a "C" in the sixth position of the issue code (36XXXCX) and are the correct issue codes used (361XXC0, 362XXC0, 363XXC0, 17C01C0, 17C02C0, 17C03C0, 24010C0, 33001C0 or 55C01C0)?	Y	Y
7.17	Are the issues relating to *major audit findings and recommendations* properly coded (4A0XXX0, 4B0XXX0)?	Y	Y
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)**	Y	Y
7.20	Does the General Revenue for 180XXXX issues net to zero? **(GENR, LBR2)**	Y	Y
7.21	Does the General Revenue for 200XXXX issues net to zero? **(GENR, LBR3)**	Y	Y
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))**	Y	Y
TIP	Salaries and Benefits amounts entered using the OADA/C transactions must be thoroughly justified in the D-3A issue narrative. Agencies can run **OADA/OADR** from STAM to identify the amounts entered into OAD and ensure these entries have been thoroughly explained in the D-3A issue narrative.		
TIP	The issue narrative must completely and thoroughly explain and justify each D-3A issue. Agencies must ensure it provides the information necessary for the OPB and legislative analysts to have a complete understanding of the issue submitted. Thoroughly review pages 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)

	Action	Program or Service (Budget Entity Codes)	
		43900110	43900120
8.1	Has a separate department level Schedule I and supporting documents package been submitted by the agency?	Y	Y
8.2	Has a Schedule I been completed in LAS/PBS for each operating trust fund?	Y	Y
8.3	Have the appropriate Schedule I supporting documents been included for the trust funds (Schedule IA, Schedule IB, Schedule IC, and Reconciliation to Trial Balance)?	Y	Y
8.4	Have the Examination of Regulatory Fees Part I and Part II forms been included for the applicable regulatory programs?	Y	Y
8.5	Have the required detailed narratives been provided (5% trust fund reserve narrative; method for computing the distribution of cost for general management and administrative services narrative; adjustments narrative; revenue estimating methodology narrative)?	Y	Y
8.6	Has the Inter-Agency Transfers Reported on Schedule I form been included as applicable for transfers totaling $100,000 or more for the fiscal year?	Y	Y
8.7	If the agency is scheduled for the annual trust fund review this year, have the Schedule ID and applicable draft legislation been included for recreation, modification or termination of existing trust funds?	Y	Y
8.8	If the agency is scheduled for the annual trust fund review this year, have the necessary trust funds been requested for creation pursuant to *section 215.32(2)(b), Florida Statutes -* including the Schedule ID and applicable legislation?	Y	Y
8.9	Are the revenue codes correct? In the case of federal revenues, has the agency appropriately identified direct versus indirect receipts (object codes 000700, 000750, 000799, 001510 and 001599)?	Y	Y
8.10	Are the statutory authority references correct?	Y	Y
8.11	Are the General Revenue Service Charge percentage rates used for each revenue source correct? (Refer to Chapter 2009-78, Laws of Florida, for appropriate general revenue service charge percentage rates.)	Y	Y
8.12	Is this an accurate representation of revenues based on the most recent Consensus Estimating Conference forecasts?	Y	Y
8.13	If there is no Consensus Estimating Conference forecast available, do the revenue estimates appear to be reasonable?	Y	Y
8.14	Are the federal funds revenues reported in Section I broken out by individual grant? Are the correct CFDA codes used?	Y	Y
8.15	Are anticipated grants included and based on the state fiscal year (rather than federal fiscal year)?	Y	Y
8.16	Are the Schedule I revenues consistent with the FSI's reported in the Exhibit D-3A?	Y	Y
8.17	If applicable, are nonrecurring revenues entered into Column A04?	Y	Y
8.18	Has the agency certified the revenue estimates in columns A02 and A03 to be the latest and most accurate available? Does the certification include a statement that the agency will notify OPB of any significant changes in revenue estimates that occur prior to the Governor's Budget Recommendations being issued?	Y	Y
8.19	Is a 5% trust fund reserve reflected in Section II? If not, is sufficient justification provided for exemption? Are the additional narrative requirements provided?	Y	Y
8.20	Are appropriate service charge nonoperating amounts included in Section II?	Y	Y

	Action	43900110	43900120
8.21	Are nonoperating expenditures to other budget entities/departments cross-referenced accurately?	Y	Y
8.22	Do transfers balance between funds (within the agency as well as between agencies)? (See also 8.6 for required transfer confirmation of amounts totaling $100,000 or more.)	Y	Y
8.23	Are nonoperating expenditures recorded in Section II and adjustments recorded in Section III?	Y	Y
8.24	Are prior year September operating reversions appropriately shown in column A01?	Y	Y
8.25	Are current year September operating reversions appropriately shown in column A02?	Y	Y
8.26	Does the Schedule IC properly reflect the unreserved fund balance for each trust fund as defined by the LBR Instructions, and is it reconciled to the agency accounting records?	Y	Y
8.27	Does Column A01 of the Schedule I accurately represent the actual prior year accounting data as reflected in the agency accounting records, and is it provided in sufficient detail for analysis?	Y	Y
8.28	Does Line I of Column A01 (Schedule I) equal Line K of the Schedule IC?	Y	Y
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 125 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 *Base Rate Audit* on page 157 of the LBR Instructions.)	Y	Y
10. SCHEDULE III (PSCR, SC3)			
10.1	Is the appropriate lapse amount applied in Segment 3? (See page 87 of the LBR Instructions.)	Y	Y

Action	43900110	43900120
10.2 Are amounts in *Other Salary Amount* appropriate and fully justified? (See page 94 of the LBR Instructions for appropriate use of the OAD transaction.) Use **OADI** or **OADR** to identify agency other salary amounts requested.	Y	Y
11. SCHEDULE IV (EADR, SC4)		
11.1 Are the correct Information Technology (IT) issue codes used?	Y	Y
TIP If IT issues are not coded correctly (with "C" in 6th position), they will not appear in the Schedule IV.		
12. SCHEDULE VIIIA (EADR, SC8A)		
12.1 Is there only one #1 priority, one #2 priority, one #3 priority, etc. reported on the Schedule VIII-A? Are the priority narrative explanations adequate?	Y	Y
13. SCHEDULE VIIIB-1 (EADR, S8B1)		
13.1 Do the reductions comply with the instructions provided on pages 98 through 101 of the LBR Instructions regarding a 5% reduction in recurring and nonrecurring General Revenue and Trust Funds?	Y	Y
14. SCHEDULE VIIIB-2 (EADR, S8B2)		
14.1 Do the reductions comply with the instructions provided on pages 102 through 104 of the LBR Instructions regarding a 15% 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 *section 216.023(4) (b), Florida Statutes,* 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 2009-10 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"**)	Y	Y
15.6 Has the agency provided the necessary demand (Record Type 5) for all activities which should 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.		

16. MANUALLY PREPARED EXHIBITS & SCHEDULES

16.1	Do exhibits and schedules comply with LBR Instructions (pages 110 through 154 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 *Section 6: Audits* 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)?	Y	Y
17.3	Do all CIP forms comply with CIP Instructions where applicable (see CIP Instructions)?	Y	Y
17.4	Does the agency request include 5 year projections (Columns A03, A06, A07, A08 and A09)?	Y	Y
17.5	Are the appropriate counties identified in the narrative?	Y	Y
17.6	Has the CIP-2 form (Exibit B) been modified to include the agency priority for each project and the modified form saved as a PDF document?	Y	Y
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

Fiscal Year 2011-12 LBR Technical Review Checklist

Department/Budget Entity (Service): Financial Services/Financial Accountability for Public Funds

Agency Budget Officer/OPB Analyst Name: Teri Madsen/Walter Liebrich

A "Y" indicates "YES" and is acceptable, an "N/J" indicates "NO/Justification Provided" - these require further explanation/justification (additional sheets can be used as necessary), and "TIPS" are other areas to consider.

	Action	43900530	43900540	43900550	43900560	43900570
			Program or Service (Budget Entity Codes)			

1. GENERAL

	Action	43900530	43900540	43900550	43900560	43900570
1.1	Are Columns A01, A02, A04, A05, A10, A11, A36, IA1, IA4, IA5, IP1,V1, IV3 and NV1 set to TRANSFER CONTROL for DISPLAY status and MANAGEMENT CONTROL for UPDATE status for both the Budget and Trust Fund columns? Are Columns A06, A07, A08 and A09 for Fixed Capital Outlay (FCO) set to TRANSFER CONTROL for DISPLAY status only? **(CSDI)**	Y	Y	Y	Y	Y
1.2	Is Column A03 set to TRANSFER CONTROL for DISPLAY and UPDATE status for both the Budget and Trust Fund columns? **(CSDI)**	Y	Y	Y	Y	Y
AUDITS:						
1.3	Has Column A03 been copied to Column A12? Run the Exhibit B Audit Comparison Report to verify. **(EXBR, EXBA)**	Y	Y	Y	Y	Y
1.4	Has security been set correctly? **(CSDR, CSA)**	Y	Y	Y	Y	Y
TIP	The agency should prepare the budget request for submission in this order: 1) Lock columns as described above; 2) copy Column A03 to Column A12; and 3) set Column A12 column security to ALL for DISPLAY status and MANAGEMENT CONTROL for UPDATE status.					

2. EXHIBIT A (EADR, EXA)

	Action	43900530	43900540	43900550	43900560	43900570
2.1	Is the budget entity authority and description consistent with the agency's LRPP and does it conform to the directives provided on page 56 of the LBR Instructions?	Y	Y	Y	Y	Y
2.2	Are the statewide issues generated systematically (estimated expenditures, nonrecurring expenditures, etc.) included?	Y	Y	Y	Y	Y
2.3	Are the issue codes and titles consistent with *Section 3* of the LBR Instructions (pages 15 through 27)? Do they clearly describe the issue?	Y	Y	Y	Y	Y
2.4	Have the coding guidelines in *Section 3* of the LBR Instructions (pages 15 through 27) been followed?	Y	Y	Y	Y	Y

3. EXHIBIT B (EXBR, EXB)

	Action	43900530	43900540	43900550	43900560	43900570
3.1	Is it apparent that there is a fund shift and were the issues entered into LAS/PBS correctly? Check D-3A funding shift issue 340XXX0 - a unique deduct and unique add back issue should be used to ensure fund shifts display correctly on the LBR exhibits.	Y	Y	Y	Y	Y
3.2	Are the 33XXXX0 issues negative amounts only and do not restore nonrecurring cuts from a prior year or fund any issues that net to a positive or zero amount? Check D-3A issues 33XXXX0 - a unique issue should be used for issues that net to zero or a positive amount.	Y	Y	Y	Y	Y
AUDITS:						
3.3	Negative Appropriation Category Audit for Agency Request (Columns A03 and A04): Are all appropriation categories positive by budget entity at the FSI level? Are all nonrecurring amounts less than requested amounts? **(NACR, NAC - Report should print "No Negative Appropriation Categories Found")**	Y	Y	Y	Y	Y
3.4	Current Year Estimated Verification Comparison Report: Is Column A02 equal to Column B07? **(EXBR, EXBC - Report should print "Records Selected Net To Zero")**	Y	Y	Y	Y	Y
TIP	Generally look for and be able to fully explain significant differences between A02 and A03.					

		Program or Service (Budget Entity Codes)				
	Action	43900530	43900540	43900550	43900560	43900570
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)

	Action	43900530	43900540	43900550	43900560	43900570
4.1	Is the program component objective statement consistent with the agency LRPP, and does it conform to the directives provided on page 59 of the LBR Instructions?	Y	Y	Y	Y	Y
4.2	Is the program component code and title used correct?	Y	Y	Y	Y	Y
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)

	Action	43900530	43900540	43900550	43900560	43900570
5.1	Are all object of expenditures positive amounts? (This is a manual check.)	Y	Y	Y	Y	Y
AUDITS:						
5.2	Do the fund totals agree with the object category totals within each appropriation category? **(ED1R, XD1A - Report should print "No Differences Found For This Report")**	Y	Y	Y	Y	Y
5.3	FLAIR Expenditure/Appropriation Ledger Comparison Report: Is Column A01 less than Column B04? **(EXBR, EXBB - Negative differences need to be corrected in Column A01.)**	Y	Y	Y	Y	Y
5.4	A01/State Accounts Disbursements and Carry Forward Comparison Report: Does Column A01 equal Column B08? **(EXBR, EXBD - Differences need to be corrected in Column A01.)**	Y	Y	Y	Y	Y
TIP	If objects are negative amounts, the agency must make adjustments to Column A01 to correct the object amounts. In addition, the fund totals must be adjusted to reflect the adjustment made to the object data.					
TIP	If fund totals and object totals do not agree or negative object amounts exist, the agency must adjust Column A01.					
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 2009-10 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.)

	Action	43900530	43900540	43900550	43900560	43900570
6.1	Are issues appropriately aligned with appropriation categories?	Y	Y	Y	Y	Y
TIP	Exhibit D-3 is no longer required in the budget submission but may be needed for this particular appropriation category/issue sort. Exhibit D-3 is also a useful report when identifying negative appropriation category problems.					

7. EXHIBIT D-3A (EADR, ED3A)

	Action	43900530	43900540	43900550	43900560	43900570
7.1	Are the issue titles correct and do they clearly identify the issue? (See pages 15 through 31 of the LBR Instructions.)	Y	Y	Y	Y	Y

		Program or Service (Budget Entity Codes)				
	Action	43900530	43900540	43900550	43900560	43900570
7.2	Does the issue narrative adequately explain the agency's request and is the explanation consistent with the LRPP? (See page 65 of the LBR Instructions.)	Y	Y	Y	Y	Y
7.3	Does the narrative for Information Technology (IT) issue follow the additional narrative requirements described on pages 66 through 69 of the LBR Instructions?	Y	Y	Y	Y	Y
7.4	Are all issues with an IT component identified with a "Y" in the "IT COMPONENT?" field? If the issue contains an IT component, has that component been identified and documented?	Y	Y	Y	Y	Y
7.5	Does the issue narrative explain any variances from the Standard Expense and Human Resource Services Assessments package? Is the nonrecurring portion in the nonrecurring column? (See pages E-4 and E-5 of the LBR Instructions.)	Y	Y	Y	Y	Y
7.6	Does the salary rate request amount accurately reflect any new requests and are the amounts proportionate to the Salaries and Benefits request? Note: Salary rate should always be annualized.	Y	Y	Y	Y	Y
7.7	Does the issue narrative thoroughly explain/justify all Salaries and Benefits amounts entered into the Other Salary Amounts transactions (OADA/C)? Amounts entered into OAD are reflected in the Position Detail of Salaries and Benefits section of the Exhibit D-3A.	Y	Y	Y	Y	Y
7.8	Does the issue narrative include the Consensus Estimating Conference forecast, where appropriate?	Y	Y	Y	Y	Y
7.9	Does the issue narrative reference the specific county(ies) where applicable?	Y	Y	Y	Y	Y
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 #11-006?	Y	Y	Y	Y	Y
7.11	When appropriate are there any 160XXX0 issues included to delete positions placed in reserve in the OPB Position and Rate Ledger (e.g. unfunded grants)? Note: Lump sum appropriations not yet allocated should <u>not</u> be deleted. **(PLRR, PLMO)**	Y	Y	Y	Y	Y
7.12	Does the issue narrative include plans to satisfy additional space requirements when requesting additional positions?	Y	Y	Y	Y	Y
7.13	Has the agency included a 160XXX0 issue and 210XXXX and 260XXX0 issues as required for lump sum distributions?	Y	Y	Y	Y	Y
7.14	Do the amounts reflect appropriate FSI assignments?	Y	Y	Y	Y	Y
7.15	Do the issues relating to *salary and benefits* have an "A" in the fifth position of the issue code (XXXXAXX) and are they self-contained (not combined with other issues)? (See page 26 and 86 of the LBR Instructions.)	Y	Y	Y	Y	Y
7.16	Do the issues relating to *Information Technology (IT)* have a "C" in the sixth position of the issue code (36XXXCX) and are the correct issue codes used (361XXC0, 362XXC0, 363XXC0, 17C01C0, 17C02C0, 17C03C0, 24010C0, 33001C0 or 55C01C0)?	Y	Y	Y	Y	Y
7.17	Are the issues relating to *major audit findings and recommendations* properly coded (4A0XXX0, 4B0XXX0)?	Y	Y	Y	Y	Y
AUDIT:						
7.18	Are all FSI's equal to '1', '2', '3', or '9'? There should be no FSI's equal to '0'. **(EADR, FSIA - Report should print "No Records Selected For Reporting")**	Y	Y	Y	Y	Y
7.19	Does the General Revenue for 160XXXX issues net to zero? **(GENR, LBR1)**	Y	Y	Y	Y	Y

		43900530	43900540	43900550	43900560	43900570
7.20	Does the General Revenue for 180XXXX issues net to zero? **(GENR, LBR2)**	Y	Y	Y	Y	Y
7.21	Does the General Revenue for 200XXXX issues net to zero? **(GENR, LBR3)**	Y	Y	Y	Y	Y
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))**	Y	Y	Y	Y	Y
TIP	Salaries and Benefits amounts entered using the OADA/C transactions must be thoroughly justified in the D-3A issue narrative. Agencies can run **OADA/OADR** from STAM to identify the amounts entered into OAD and ensure these entries have been thoroughly explained in the D-3A issue narrative.					
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)

		43900530	43900540	43900550	43900560	43900570
8.1	Has a separate department level Schedule I and supporting documents package been submitted by the agency?	Y	Y	Y	Y	Y
8.2	Has a Schedule I been completed in LAS/PBS for each operating trust fund?	Y	Y	Y	Y	Y
8.3	Have the appropriate Schedule I supporting documents been included for the trust funds (Schedule IA, Schedule IB, Schedule IC, and Reconciliation to Trial Balance)?	Y	Y	Y	Y	Y
8.4	Have the Examination of Regulatory Fees Part I and Part II forms been included for the applicable regulatory programs?	Y	Y	Y	Y	Y
8.5	Have the required detailed narratives been provided (5% trust fund reserve narrative; method for computing the distribution of cost for general management and administrative services narrative; adjustments narrative; revenue estimating methodology narrative)?	Y	Y	Y	Y	Y
8.6	Has the Inter-Agency Transfers Reported on Schedule I form been included as applicable for transfers totaling $100,000 or more for the fiscal year?	Y	Y	Y	Y	Y
8.7	If the agency is scheduled for the annual trust fund review this year, have the Schedule ID and applicable draft legislation been included for recreation, modification or termination of existing trust funds?	Y	Y	Y	Y	Y

	Program or Service (Budget Entity Codes)					
	Action	43900530	43900540	43900550	43900560	43900570
8.8	If the agency is scheduled for the annual trust fund review this year, have the necessary trust funds been requested for creation pursuant to *section 215.32(2)(b), Florida Statutes* - including the Schedule ID and applicable legislation?	Y	Y	Y	Y	Y
8.9	Are the revenue codes correct? In the case of federal revenues, has the agency appropriately identified direct versus indirect receipts (object codes 000700, 000750, 000799, 001510 and 001599)?	Y	Y	Y	Y	Y
8.10	Are the statutory authority references correct?	Y	Y	Y	Y	Y
8.11	Are the General Revenue Service Charge percentage rates used for each revenue source correct? (Refer to Chapter 2009-78, Laws of Florida, for appropriate general revenue service charge percentage rates.)	Y	Y	Y	Y	Y
8.12	Is this an accurate representation of revenues based on the most recent Consensus Estimating Conference forecasts?	Y	Y	Y	Y	Y
8.13	If there is no Consensus Estimating Conference forecast available, do the revenue estimates appear to be reasonable?	Y	Y	Y	Y	Y
8.14	Are the federal funds revenues reported in Section I broken out by individual grant? Are the correct CFDA codes used?	Y	Y	Y	Y	Y
8.15	Are anticipated grants included and based on the state fiscal year (rather than federal fiscal year)?	Y	Y	Y	Y	Y
8.16	Are the Schedule I revenues consistent with the FSI's reported in the Exhibit D-3A?	Y	Y	Y	Y	Y
8.17	If applicable, are nonrecurring revenues entered into Column A04?	Y	Y	Y	Y	Y
8.18	Has the agency certified the revenue estimates in columns A02 and A03 to be the latest and most accurate available? Does the certification include a statement that the agency will notify OPB of any significant changes in revenue estimates that occur prior to the Governor's Budget Recommendations being issued?	Y	Y	Y	Y	Y
8.19	Is a 5% trust fund reserve reflected in Section II? If not, is sufficient justification provided for exemption? Are the additional narrative requirements provided?	Y	Y	Y	Y	Y
8.20	Are appropriate service charge nonoperating amounts included in Section II?	Y	Y	Y	Y	Y
8.21	Are nonoperating expenditures to other budget entities/departments cross-referenced accurately?	Y	Y	Y	Y	Y
8.22	Do transfers balance between funds (within the agency as well as between agencies)? (See also 8.6 for required transfer confirmation of amounts totaling $100,000 or more.)	Y	Y	Y	Y	Y
8.23	Are nonoperating expenditures recorded in Section II and adjustments recorded in Section III?	Y	Y	Y	Y	Y
8.24	Are prior year September operating reversions appropriately shown in column A01?	Y	Y	Y	Y	Y
8.25	Are current year September operating reversions appropriately shown in column A02?	Y	Y	Y	Y	Y
8.26	Does the Schedule IC properly reflect the unreserved fund balance for each trust fund as defined by the LBR Instructions, and is it reconciled to the agency accounting records?	Y	Y	Y	Y	Y
8.27	Does Column A01 of the Schedule I accurately represent the actual prior year accounting data as reflected in the agency accounting records, and is it provided in sufficient detail for analysis?	Y	Y	Y	Y	Y
8.28	Does Line I of Column A01 (Schedule I) equal Line K of the Schedule IC?	Y	Y	Y	Y	Y
AUDITS:						

	Program or Service (Budget Entity Codes)					
	Action	43900530	43900540	43900550	43900560	43900570
8.29	Is Line I a positive number? (If not, the agency must adjust the budget request to eliminate the deficit).	Y	Y	Y	Y	Y
8.30	Is the June 30 Adjusted Unreserved Fund Balance (Line I) equal to the July 1 Unreserved Fund Balance (Line A) of the following year? **(SC1R, SC1A - Report should print "No Discrepancies Exist For This Report")**	Y	Y	Y	Y	Y
8.31	Has a Department Level Reconciliation been provided for each trust fund and does Line A of the Schedule I equal the CFO amount? If not, the agency must correct Line A. **(SC1R, DEPT)**	Y	Y	Y	Y	Y
TIP	The Schedule I is the most reliable source of data concerning the trust funds. It is very important that this schedule is as accurate as possible!					
TIP	Determine if the agency is scheduled for trust fund review. (See page 125 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 *Base Rate Audit* on page 157 of the LBR Instructions.)	Y	Y	Y	Y	Y

10. SCHEDULE III (PSCR, SC3)

10.1	Is the appropriate lapse amount applied in Segment 3? (See page 87 of the LBR Instructions.)	Y	Y	Y	Y	Y
10.2	Are amounts in *Other Salary Amount* appropriate and fully justified? (See page 94 of the LBR Instructions for appropriate use of the OAD transaction.) Use **OADI** or **OADR** to identify agency other salary amounts requested.	Y	Y	Y	Y	Y

11. SCHEDULE IV (EADR, SC4)

11.1	Are the correct Information Technology (IT) issue codes used?	Y	Y	Y	Y	Y
TIP	If IT issues are not coded correctly (with "C" in 6th position), they will not appear in the Schedule IV.					

12. SCHEDULE VIIIA (EADR, SC8A)

12.1	Is there only one #1 priority, one #2 priority, one #3 priority, etc. reported on the Schedule VIII-A? Are the priority narrative explanations adequate?	Y	Y	Y	Y	Y

13. SCHEDULE VIIIB-1 (EADR, S8B1)

13.1	Do the reductions comply with the instructions provided on pages 98 through 101 of the LBR Instructions regarding a 5% reduction in recurring and nonrecurring General Revenue and Trust Funds?	Y	Y	Y	Y	Y

14. SCHEDULE VIIIB-2 (EADR, S8B2)

14.1	Do the reductions comply with the instructions provided on pages 102 through 104 of the LBR Instructions regarding a 15% reduction in recurring General Revenue and Trust Funds?	Y	Y	Y	Y	Y

15. SCHEDULE XI (LAS/PBS Web - see page 108 of the LBR Instructions for detailed instructions)

		Program or Service (Budget Entity Codes)				
	Action	43900530	43900540	43900550	43900560	43900570
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 *section 216.023(4) (b), Florida Statutes,* the Legislature can reduce the funding level for any agency that does not provide this information.)	Y	Y	Y	Y	Y
15.2	Do the PDF files uploaded to the Florida Fiscal Portal for the LRPP and LBR match the Excel file e-mailed to OPB?	Y	Y	Y	Y	Y
AUDITS INCLUDED IN THE SCHEDULE XI REPORT:						
15.3	Does the FY 2009-10 Actual (prior year) Expenditures in Column A36 reconcile to Column A01? **(GENR, ACT1)**	Y	Y	Y	Y	Y
15.4	None of the executive direction, administrative support and information technology statewide activities (ACT0010 thru ACT0490) have output standards (Record Type 5)? **(Audit #1 should print "No Activities Found")**	Y	Y	Y	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")**	Y	Y	Y	Y	Y
15.6	Has the agency provided the necessary demand (Record Type 5) for all activities which <u>should</u> appear in Section II? (Note: Audit #3 will identify those activities that do NOT have a Record Type '5' and have not been identified as a 'Pass Through' activity. These activities will be displayed in Section III with the 'Payment of Pensions, Benefits and Claims' activity and 'Other' activities. Verify if these activities should be displayed in Section III. If not, an output standard would need to be added for that activity and the Schedule XI submitted again.)	Y	Y	Y	Y	Y
15.7	Does Section I (Final Budget for Agency) and Section III (Total Budget for Agency) equal? **(Audit #4 should print "No Discrepancies Found")**	Y	Y	Y	Y	Y
TIP	If Section I and Section III have a small difference, it may be due to rounding and therefore will be acceptable.					
16. MANUALLY PREPARED EXHIBITS & SCHEDULES						
16.1	Do exhibits and schedules comply with LBR Instructions (pages 110 through 154 of the LBR Instructions), and are they accurate and complete?	Y	Y	Y	Y	Y
16.2	Are appropriation category totals comparable to Exhibit B, where applicable?	Y	Y	Y	Y	Y
16.3	Are agency organization charts (Schedule X) provided and at the appropriate level of detail?	Y	Y	Y	Y	Y
AUDITS - GENERAL INFORMATION						
TIP	Review *Section 6: Audits* of the LBR Instructions for a list of audits and their descriptions.					
TIP	Reorganizations may cause audit errors. Agencies must indicate that these errors are due to an agency reorganization to justify the audit error.					
17. CAPITAL IMPROVEMENTS PROGRAM (CIP)						
17.1	Are the CIP-2, CIP-3, CIP-A and CIP-B forms included?	Y	Y	Y	Y	Y
17.2	Are the CIP-4 and CIP-5 forms submitted when applicable (see CIP Instructions)?	Y	Y	Y	Y	Y
17.3	Do all CIP forms comply with CIP Instructions where applicable (see CIP Instructions)?	Y	Y	Y	Y	Y
17.4	Does the agency request include 5 year projections (Columns A03, A06, A07, A08 and A09)?	Y	Y	Y	Y	Y
17.5	Are the appropriate counties identified in the narrative?	Y	Y	Y	Y	Y
17.6	Has the CIP-2 form (Exibit B) been modified to include the agency priority for each project and the modified form saved as a PDF document?	Y	Y	Y	Y	Y