

Charlie Liem, Secretary

Charlie Crist, Governor

## LEGISLATIVE BUDGET REQUEST

Department of Business and Professional Regulation  
1940 North Monroe Street  
Tallahassee, FL 32399-1000

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 Business and Professional Regulation 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. This submission has been approved by Secretary Charlie Liem. Please feel free to call if you have any questions.

Sincerely,



Charlie Liem  
Secretary

# Legislative Budget Request FY 2011 - 2012

**Charlie Crist**  
Governor




**Charlie Liem**  
Secretary

Department Level Exhibits and Schedules

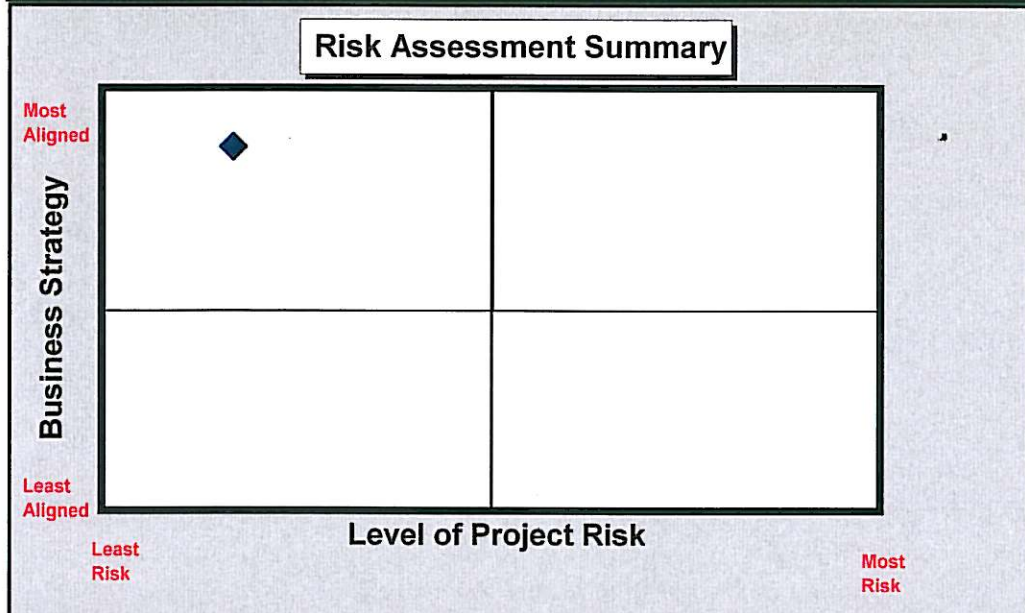


# Schedule IV-B

Schedule IV-B Cover Sheet and Agency Project Approval	
Agency: Department of Business and Professional Regulation	Schedule IV-B Submission Date: October 5, 2010
Project Name: LicenseEase Software Upgrade to Versa: Regulation	Is this project included in the Agency's LRPP?  _X_ Yes ___ No
FY 2011-12 LBR Issue Code:	FY 2011-12 LBR Issue Title: LicenseEase Software Upgrade
Agency Contact for Schedule IV-B (Name, Phone #, and E-mail address): Terry L. Kester, 850-921-5392, <a href="mailto:Terry.Kester@dbpr.state.fl.us">Terry.Kester@dbpr.state.fl.us</a>	
AGENCY APPROVAL SIGNATURES	
I am submitting the attached Schedule IV-B in support of our legislative budget request. I have reviewed the estimated costs and benefits documented in the Schedule IV-B and believe the proposed solution can be delivered within the estimated time for the estimated costs to achieve the described benefits. I agree with the information in the attached Schedule IV-B.	
Agency Head:	Date:
Printed Name: Charlie Liem	
Agency Chief Information Officer:	Date:
Printed Name: Terry L. Kester	
Budget Officer:	Date:
Printed Name: Janet Parramore	
Planning Officer:	Date:
Printed Name:	
Project Sponsor:	Date:
Printed Name:	
Schedule IV-B Preparers (Name, Phone #, and E-mail address):	
Business Need:	N/A
Cost Benefit Analysis:	N/A
Risk Analysis:	Terry Kester, 850-821-5392, <a href="mailto:Terry.Kester@dbpr.state.fl.us">Terry.Kester@dbpr.state.fl.us</a>
Technology Planning:	Terry Kester, 850-821-5392, <a href="mailto:Terry.Kester@dbpr.state.fl.us">Terry.Kester@dbpr.state.fl.us</a>
Project Planning:	Terry Kester, 850-821-5392, <a href="mailto:Terry.Kester@dbpr.state.fl.us">Terry.Kester@dbpr.state.fl.us</a>

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Agency Head:  Printed Name: Charlie Liem	Date:  10/15/10
Agency Chief Information Officer:  Printed Name: Terry L. Kester	Date:  10-7-10
Budget Officer:  Printed Name: Janet Parramore	Date:  10/11/10
Planning Officer:  Printed Name:	Date:
Project Sponsor:  Printed Name:	Date:
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<b>Project</b>	<i>LicenseEase Software Upgrade to Versa: Regulation</i>	
<b>Agency</b>	DBPR	
<b>FY 2011-12 LBR Issue Code:</b>	<b>FY 2011-12 LBR Issue Title:</b>	
<i>Issue Code</i>	<i>LicenseEase Software Upgrade</i>	
<b>Risk Assessment Contact Info (Name, Phone #, and E-mail Address):</b>		
<i>Terry L. Kester, 850-921-5392, Terry.Kester@dbpr.state.fl.us</i>		
<b>Executive Sponsor</b>	Charlie Liem	
<b>Project Manager</b>	Michelle Milnes	
<b>Prepared By</b>	Kari Mcllvaine	10/5/2010



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

Agency: DBPR

Project: LicenseEase Software Upgrade to Versa: Regulation

Section 1 -- Strategic Area			
#	Criteria	Values	Answer
1.01	Are project objectives clearly aligned with the agency's legal mission?	0% to 40% -- Few or no objectives aligned	81% to 100% -- All or nearly all objectives aligned
		41% to 80% -- Some objectives aligned	
		81% to 100% -- All or nearly all objectives aligned	
1.02	Are project objectives clearly documented and understood by all stakeholder groups?	Not documented or agreed to by stakeholders	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	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	
1.06	Are all needed changes in law, rule, or policy identified and documented?	No changes needed	No changes needed
		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	Few or none
		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	Minimal or no 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	Single agency-wide use or 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	1 year or less
		Between 3 and 5 years	
		Between 1 and 3 years	
		1 year or less	

Agency: DBPR

Project: LicenseEase Software Upgrade to Versa: Regulation

Section 2 -- Technology Area			
#	Criteria	Values	Answer
2.01	Does the agency have experience working with, operating, and supporting the proposed technology in a production environment?	Read about only or attended conference and/or vendor presentation	Supported production system 1 year to 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	External technical resources will be needed through implementation only
		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	



Agency: DBPR

Project: LicenseEase Software Upgrade to Versa: Regulation

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

Agency: Agency Name

Project: Project Name

Section 4 -- Communication Area			
#	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	All or nearly all messages have success measures
		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	

Agency: DBPR

Project: LicenseEase Software Upgrade to Versa: Regulation

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 \$500K and \$1,999,999
		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	No
		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	No payback
		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)	Firm Fixed Price (FFP)
		Firm Fixed Price (FFP)	
		Combination FFP and T&E	

Agency: DBPR

Project: LicenseEase Software Upgrade to Versa: Regulation

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	Just-in-time purchasing of hardware and software is documented in the project schedule
		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 assigned is not the procurement manager or 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	No
		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 not planned/used for procurement
		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	

Agency: DBPR

Project: LicenseEase Software Upgrade to Versa: Regulation

Section 6 – Project Organization Area			
#	Criteria	Values	Answer
6.01	Is the project organization and governance structure clearly defined and documented within an approved project plan?	Yes	Yes
		No	
6.02	Have all roles and responsibilities for the executive steering committee been clearly identified?	None or few have been defined and documented	All or nearly all have been defined and documented
		Some 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	System Integrator (contractor)
		Agency	
		System Integrator (contractor)	
6.04	How many project managers and project directors will be responsible for managing the project?	3 or more	2
		2	
		1	
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	Staffing plan identifying all staff roles, responsibilities, and skill levels have been documented
		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	
6.06	Is an experienced project manager dedicated fulltime to the project?	No experienced project manager assigned	Yes, experienced project manager dedicated full-time, 100% to project
		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	
6.07	Are qualified project management team members dedicated full-time to the project	None	Yes, business, functional or technical experts dedicated full-time, 100% to project
		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	
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	Mostly staffed from in-house resources
		Half of staff from in-house resources	
		Mostly 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	Minimal or no impact
		Moderate 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	Yes
		No	
6.11	Are all affected stakeholders represented by functional manager on the change review and control board?	No board has been established	Yes, all stakeholders are represented by functional manager
		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	

Agency: DBPR

Project: LicenseEase Software Upgrade to Versa: Regulation

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

Agency: DBPR

Project: LicenseEase Software Upgrade to Versa: Regulation

Section 7 -- Project Management Area			
#	Criteria	Values	Answer
7.11	Does the project schedule specify all project tasks, go/no-go decision points (checkpoints), critical milestones, and resources?	Yes	No
		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	

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



**Department of Business and Professional Regulation**  
**Division of Technology**

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**Upgrade to Versa: Regulation**  
**Project Charter**

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Prepared By: Michelle Milnes –

Date of Publication:

Version:

## Table of Contents

<b>1</b>	<b>Executive Summary.....</b>	<b>3</b>
	1.1 Project Overview .....	3
	1.2 Statement of Work.....	3
<b>2</b>	<b>Project Benefits .....</b>	<b>3</b>
<b>3</b>	<b>Project Scope.....</b>	<b>4</b>
	3.1 Project Results/Completion Criteria .....	4
<b>4</b>	<b>Project Milestones .....</b>	<b>4</b>
	4.1 Major Milestones and Activities.....	4
<b>5</b>	<b>Project Estimated Effort/Cost/Duration .....</b>	<b>5</b>
	5.1 Project Budget.....	5
<b>6</b>	<b>Project Risks and Issues .....</b>	<b>5</b>
<b>7</b>	<b>Project Approach.....</b>	<b>6</b>
	7.1 Key Stakeholders .....	6
<b>8</b>	<b>Work Breakdown Schedule .....</b>	<b>7</b>
<b>9</b>	<b>Project Schedule.....</b>	<b>8</b>
	<b>Project Approvals.....</b>	<b>9</b>

## 1 Executive Summary

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### 1.1 Project Overview

The purpose of this project charter is to provide an overview describing the justification, benefits and cost of upgrading the current LicenseEase system at the Department of Business and Professional Regulation (DBPR) to Versa: Regulation.

In 2003, LicenseEase was implemented through a prime contract with Accenture LLP. Versa Management Systems, Inc. (Versa) was Accenture's subcontractor in this engagement. The design, build and implementation of the Versa commercial off-the-shelf (COTS) product, LicenseEase, created an enterprise licensing solution for the DBPR and replaced over 60 legacy licensing systems. This comprehensive system supports the department's application processing, licensing, permitting, enforcement, discipline and compliance functionalities.

The Accenture contract, which included hosting and system support and management, expired on December 31, 2008. On January 1, 2009, DBPR brought all systems operations and administrative functions in house and contracted directly with Versa for annual maintenance and support services. Accenture transferred all license rights to LicenseEase software to the department.

The current version of the LicenseEase software will soon no longer be supported. As with any software solution, over the past eight years Versa (which was purchased by Iron Data Solutions, LLC, in January 2010) has dramatically improved the software's capabilities and functionalities. The enhanced product is known as Versa: Regulation and the company is now known as Iron Data. DBPR's intent is to upgrade to Versa: Regulation during FY 2011-2012 with full implementation by June 30, 2012. Although numerous in-house resources will be devoted to this project, a Legislative Budget Request for a special appropriation is necessary to fund the consulting costs associated with this upgrade.

### 1.2 Statement of Work

The existing data in the LicenseEase application will be upgraded into the Versa: Regulation application in the DBPR production environment after thorough testing, user acceptance, and system administration training. The approach will be to utilize COTS functions wherever possible.

## 2 Project Benefits

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The LicenseEase database system used by DBPR affects all staff procedures and impacts the quality of service delivered to the citizens of Florida. The upgrade of LicenseEase to Versa: Regulation will allow DBPR to:

- Leverage existing Oracle database technology investment and knowledge
- Move to a product that is fully web-based and at the early stages of its product lifecycle
- Take advantage of new functions and features that are built into the new product
- Take advantage of new COTS functions that are only available in the new version
- Benefit from future enhancements available only with current products
- Provide a solution for agency staff and its customers that is compliant with the Americans with Disabilities Act (Section 508)
- Manage the risk of upgrade with current staff resources and skills
- Lower the long term cost of system maintenance

- Leverage the low cost and power of an open solution
- Stay with a trusted vendor that knows and supports DBPR’s business processes
- Preserve the major investment in DBPR’s database and business processes
- Leverage the existing knowledge of staff resulting in minimal training necessary because the system approach and database design are upwards compatible to LicenseEase
- Provide better customer service to citizens of Florida
- Lower the cost of providing future interfaces and enhancements

### 3 Project Scope

Once budget approval is received, DBPR will negotiate and approve a deliverables based Statement of Work for the upgrade project with Iron Data. Planning and development tasks are expected to take five months, and user acceptance testing will involve three cycles of one month each. High-level tasks include:

- Converting configuration and license data
- Converting letter templates to a new format
- Porting DBPR specific code or replacing it with current Versa: Regulation functionality
- Transferring LicenseEase user licenses to Versa: Regulation licenses
- Replacing existing Versa: Online LicenseEase integration with Versa: Online Versa: Regulation integration including custom developed Versa: Online components
- Providing a “Train-the-Trainer” training approach

Iron Data will transfer the existing LicenseEase and Versa: Online maintenance fees schedule to Versa: Regulation.

#### 3.1 Project Results/Completion Criteria

The criteria for completion are the upgrade of the existing data in the LicenseEase system to the Versa: Regulation system with no disruption in service to system users.

### 4 Project Milestones

#### 4.1 Major Milestones and Activities

<b>Project Milestones</b>
Establish project team
Install Versa: Regulation
Install Versa: Online
Migrate licensing data to Versa: Regulation
Migrate configuration data to Versa: Regulation
Configure new features
Configuration testing (210 license types)
Convert existing letters (500 letters)
Migrate DBPR custom code
Conduct unit and integration testing (quality assurance)
Develop training materials and conduct training
User Acceptance Testing (UAT)
Go-Live Support

## 5 Project Estimated Effort/Cost/Duration

### 5.1 Project Budget

The estimated duration of the upgrade is 12 months. The completion date will be June 30, 2012. Below is a high level estimate of the various tasks and costs associated with this project:

Description	Cost
Implementation Services	\$527,400
Project Management	\$168,000
Custom Code Migration	\$844,000
Training (Train-the-Trainer and System Administration)	\$44,800
User Acceptance Testing	\$196,000
OnBase Integration	\$100,000
Go-Live Support	\$42,000
<b>TOTAL</b>	<b>\$1,922,200</b>

## 6 Project Risks and Issues

The project is considered an overall “low” risk. The following potential risks are identified at this time.

Risk	Consequence	Mitigation Strategy
Disruption to the LicenseEase system	<ul style="list-style-type: none"> <li>Could impact the availability of existing LicenseEase System</li> </ul>	<ul style="list-style-type: none"> <li>Develop a test and roll back plan for each step of the upgrade including the custom configuration and the COTS configuration</li> </ul>
Key stakeholder availability	<ul style="list-style-type: none"> <li>Could impact schedule if key individuals are not available</li> </ul>	<ul style="list-style-type: none"> <li>Essential to collaborate with the Stakeholders utilizing a well-coordinated plan</li> </ul>
Lack of communication	<ul style="list-style-type: none"> <li>Could result in delays or negative perception from key stakeholders</li> </ul>	<ul style="list-style-type: none"> <li>Identify stakeholders, determine level of communication, develop communication plan</li> </ul>
Project does not receive necessary management attention and direction	<ul style="list-style-type: none"> <li>Project may not meet deadlines or may not succeed</li> </ul>	<ul style="list-style-type: none"> <li>The stakeholders for the project will meet regularly. A full-time project manager for the project is required</li> </ul>
The agency internal resources experienced in this technology are not sufficient to implement the project	<ul style="list-style-type: none"> <li>External resources will be procured</li> </ul>	<ul style="list-style-type: none"> <li>Stakeholders will ensure that this project includes experienced external resources</li> </ul>

Risk	Consequence	Mitigation Strategy
The availability of DBPR personnel experienced in this technology	<ul style="list-style-type: none"> <li>DBPR has personnel experienced with this technology; however, they may not be available to dedicate to the project</li> </ul>	<ul style="list-style-type: none"> <li>Evaluate staff positions; make project staffing recommendations based on current workload</li> </ul>

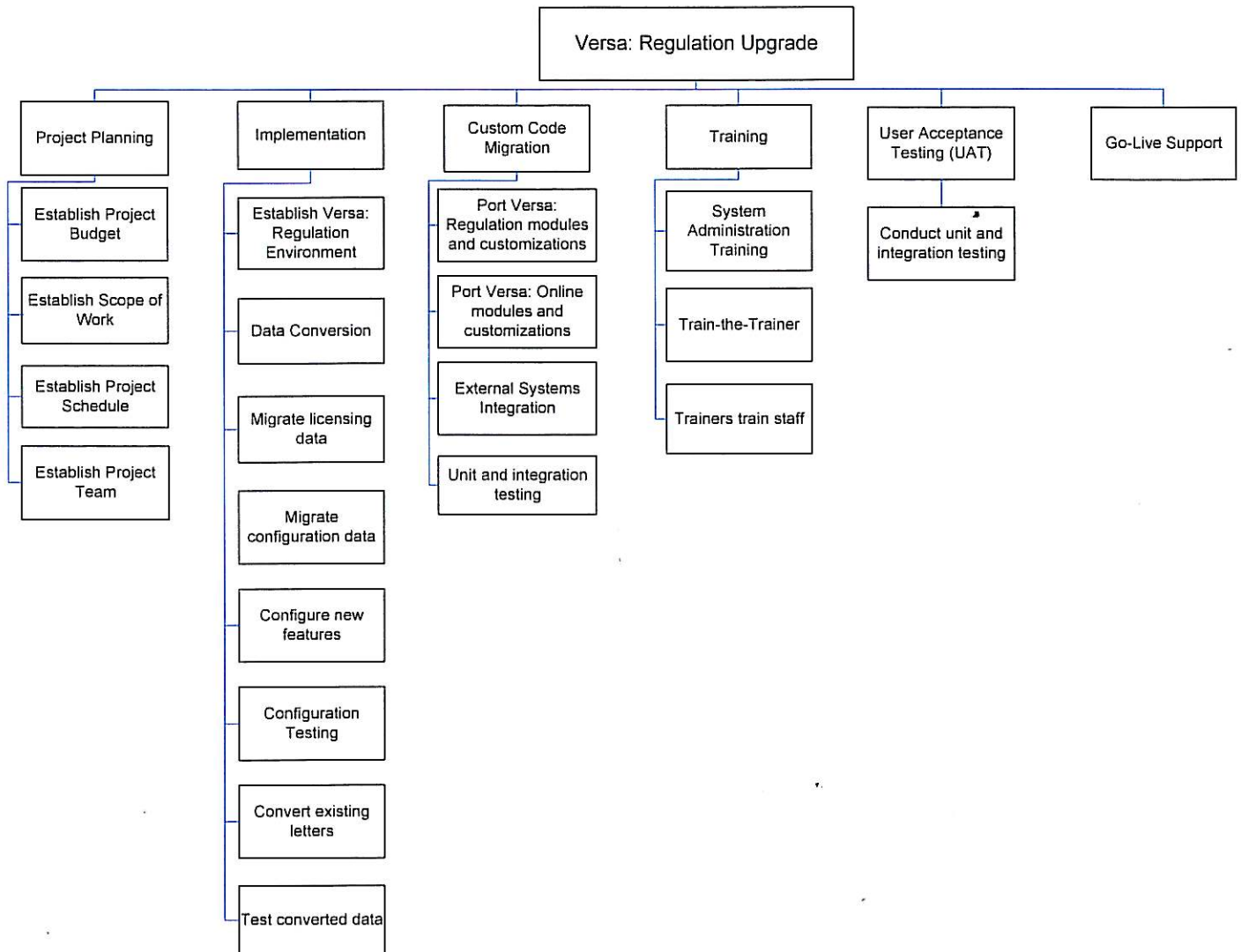
## 7 Project Approach

### 7.1 Key Stakeholders

The individuals listed in the exhibit below are stakeholders in the project.

KEY STAKEHOLDERS	HOW ARE THEY AFFECTED OR HOW ARE THEY PARTICIPATING?
Terry L. Kester, Chief Information Officer	Responsible for all computing staff and resources
Charlie Liem, Secretary	Responsible for the services provided to the citizens of the State of Florida
DBPR Senior Management	System Owners; responsible for business operations utilizing the LicenseEase database
Kathy Ott, Enterprise Applications Manager	Responsible for the LicenseEase application
Eric Larson, Infrastructure Manager	Responsible for the infrastructure
Robert Foster, Business Applications Manager	Responsible for the business applications, including the database administration functions

## 8 Work Breakdown Schedule



## 9 Project Schedule

The project schedule will be finalized once the deliverables based contract is completed.

Task Name	Duration	Start Date	End Date
<b>Upgrade to Versa: Regulation</b>		TBD	6/30/12
<b>Install Versa:Regulation</b>			
Install base code in test environment	10 days		
Install of Batch Scheduler	10 days		
Install Letter System	10 days		
Tech support for other DBPR environments (Training, Dev, Prod)	10 days		
<b>Install and support Versa:Online</b>			
Tech support for other DBPR environments (Training, Dev, Prod)	20 days		
Data Conversion Tasks	166 days		
License data migration to Versa:Regulation	50 days		
Configuration data migration to Versa:Regulation	20 days		
Configuration new features, interviews, entry, testing	15 days		
Configuration testing (210 lic types @ 1/2 day each)	105 days		
Letter conversion (500 letters @ 1/3 day )	166 days		
On site production data conversion testing and operations	20 days		
<b>Custom Code Migration</b>			
Port DBPR specific V:R modules and customizations	400 days		
Port DBPR specific V:O modules and customizations	30 days		
External Systems Integration (SeeBeyond, Perl, Mobile, etc.)	150 days		
QA - unit and integration testing	60 days		
Regression test scripting and execution	80 days		
<b>Train-the-Trainer Training</b>			
Material preparation and planning	10 days		
Onsite VR application training	10 days		
Versa:Regulation documentation and training materials	10 days		
<b>System Administration Training</b>			
Material preparation and planning	5 days		
Administrator training/workshop - new feature configurations	3 days		
Administrator training/workshop - batch scheduler	1 day		
Administrator training/workshop - letter system features	3 days		
<b>User Acceptance Testing (UAT)</b>			
Scalability/Performance Testing/ Load Balancing	40 days		
UAT onsite 10 x 5 day test cycles (~210 lic types @ 20 per cycle)	50 days		
UAT offsite support & configuration corrections (10 x 5 day cycles)	50 days		
<b>Go-Live</b>			
Daily meetings with subject matter experts during initial month	20 days		



## Project Approvals

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### Department of Business and Professional Regulation

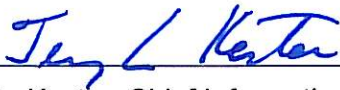


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Charlie Liem, Secretary, Executive Sponsor

10-15-10

• Date



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Terry L. Kester, Chief Information Officer, Project Sponsor

10-7-10

Date

Project Costs for LicenseEase Software Upgrade to Versa: Regulation

Produced 10/05/10

For DBPR

By Terry L. Kester

FY 2011-12

**PROJECT BUDGET WORKSHEET 2 - OPERATIONAL COST IMPACT (INCURRED AFTER PROJECT IMPLEMENTATION and / or PRO-RATED IF PHASED ROLLOUT)**

	FY 2011-12			FY 2012-13			FY 2013-14			FY 2014-15		
	(a) Current	(b) Project	(c) = (b)-(a) Incremental Effect of Project	(a) Current	(b) Project	(c) = (b)-(a) Incremental Effect of Project	(a) Current	(b) Project	(c) = (b)-(a) Incremental Effect of Project	(a) Current	(b) Project	(c) = (b)-(a) Incremental Effect of Project
<b>OPERATIONAL COSTS</b>												
Salaries and Wages	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Pensions and Benefits	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Other Personal Services	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Consulting	\$300,000	\$1,922,200	\$1,622,200	\$300,000	\$300,000	\$0	\$300,000	\$300,000	\$0	\$300,000	\$300,000	\$0
Hardware	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Software	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Data Processing	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Data Processing Supplies	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Data Processing Communications	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Training	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Travel	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
<b>TOTAL OPERATIONAL COSTS</b>	\$300,000	\$1,922,200	\$1,622,200	\$300,000	\$300,000	\$0	\$300,000	\$300,000	\$0	\$300,000	\$300,000	\$0
FTE	0	0	0	0	0	0	0	0	0	0	0	0

Project Costs for LicenseEase Software Upgrade to Versa: Regulation

Produced 10/5/10

For DBPR

By Terry L. Kester

FY 2011-12

PROJECT BUDGET WORKSHEET 1 (Captures All Major Direct & Indirect Costs associated with Development, Implementation, and Transition)												
Project Cost	Quarter	Jul-Sep Planned	Jul-Sep Actual	Oct-Dec Planned	Oct-Dec Actual	Jan-March Planned	Jan-March Actual	April-June Planned	April-June Actual	Budget to Date	Actual to Date	Variance to Date
State Staff		\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
# FTEs												
Subcontractors		\$924,940.00	\$0.00	\$673,493.00	\$0.00	\$140,933.00	\$0.00	\$182,934.00	\$0.00	\$1,922,200	\$0	\$1,922,200
# FTEs												
Hardware		\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
Item 1		\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
Item 2		\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
Software		\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
Item 1		\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
Item 2		\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
Misc Equipment		\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
Item 1		\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
Item 2		\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
Other Costs		\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
Item 1		\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
Item 2		\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
<b>Total Costs</b>		<b>\$924,940</b>	<b>\$0</b>	<b>\$673,493</b>	<b>\$0</b>	<b>\$140,933</b>	<b>\$0</b>	<b>\$182,934</b>	<b>\$0</b>	<b>\$1,922,200</b>	<b>\$0</b>	<b>\$1,922,200</b>
<b>Progress Payments</b>												

Project Costs for LicenseEase Software Upgrade to Versa: Regulation

Produced 10/5/10

For DBPR

By Terry L. Kester

FY 2011-12

PROJECT BUDGET WORKSHEET 1 (Captures All Major Direct & Indirect Costs associated with Development, Implementation, and Transition)												
Project Cost	Quarter	Jul-Sep Planned	Jul-Sep Actual	Oct-Dec Planned	Oct-Dec Actual	Jan-March Planned	Jan-March Actual	April-June Planned	April-June Actual	Budget to Date	Actual to Date	Variance to Date
State Staff												
# FTEs		\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0	\$0	\$0
Subcontractors												
# FTEs		\$924,840.00	\$0.00	\$673,493.00	\$0.00	\$140,933.00	\$0.00	\$182,934.00	\$0.00	\$1,922,200	\$0	\$1,922,200
Hardware												
Item 1		\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0	\$0	\$0
Item 2		\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0	\$0	\$0
Software												
Item 1		\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0	\$0	\$0
Item 2		\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0	\$0	\$0
Misc Equipment												
Item 1		\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0	\$0	\$0
Item 2		\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0	\$0	\$0
Other Costs												
Item 1		\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0	\$0	\$0
Item 2		\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0	\$0	\$0
<b>Total Costs</b>		\$924,840	\$0	\$673,493	\$0	\$140,933	\$0	\$182,934	\$0	\$1,922,200	\$0	\$1,922,200
Progress Payments										\$0	\$0	\$0

Project Costs for LicenseEase Software Upgrade to Versa: Regulation

Produced 10/05/10

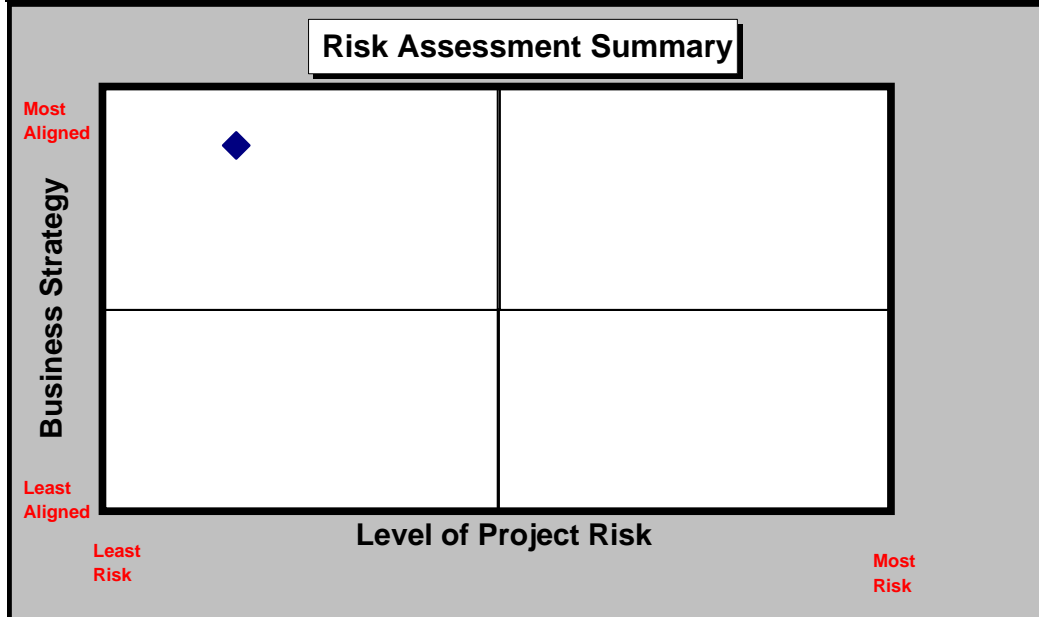
For DBPR

By Terry L. Kester

FY 2011-12

PROJECT BUDGET WORKSHEET 2 - OPERATIONAL COST IMPACT (INCURRED AFTER PROJECT IMPLEMENTATION and / or PRO-RATED IF PHASED ROLLOUT)												
	FY 2011-12			FY 2012-13			FY 2013-14			FY 2014-15		
	(a) Current	(b) Project	(c) = (b)-(a) Incremental Effect of Project	(a) Current	(b) Project	(c) = (b)-(a) Incremental Effect of Project	(a) Current	(b) Project	(c) = (b)-(a) Incremental Effect of Project	(a) Current	(b) Project	(c) = (b)-(a) Incremental Effect of Project
OPERATIONAL COSTS												
Salaries and Wages	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Pensions and Benefits	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Other Personal Services	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Consulting	\$300,000	\$1,922,200	\$1,622,200	\$300,000	\$300,000	\$0	\$300,000	\$300,000	\$0	\$300,000	\$300,000	\$0
Hardware	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Software	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Data Processing	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Data Processing Supplies	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Data Processing Communications	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Training	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Travel	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
<b>TOTAL OPERATIONAL COSTS</b>	\$300,000	\$1,922,200	\$1,622,200	\$300,000	\$300,000	\$0	\$300,000	\$300,000	\$0	\$300,000	\$300,000	\$0
FTE	0	0	0	0	0	0	0	0	0	0	0	0

<b>Project</b>	<i>LicenseEase Software Upgrade to Versa: Regulation</i>	
<b>Agency</b>	<i>DBPR</i>	
<b>FY 2011-12 LBR Issue Code:</b>	<b>FY 2011-12 LBR Issue Title:</b>	
<i>Issue Code</i>	<i>LicenseEase Software Upgrade</i>	
<b>Risk Assessment Contact Info (Name, Phone #, and E-mail Address):</b>		
<i>Terry L. Kester, 850-921-5392, Terry.Kester@dbpr.state.fl.us</i>		
<b>Executive Sponsor</b>	<i>Charlie Liem</i>	
<b>Project Manager</b>	<i>Michelle Milnes</i>	
<b>Prepared By</b>	<i>Kari Mcllvaine</i>	<i>10/5/2010</i>



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

Agency: DBPR

Project: LicenseEase Software Upgrade to Versa: Regulation

Section 1 -- Strategic Area			
#	Criteria	Values	Answer
1.01	Are project objectives clearly aligned with the agency's legal mission?	0% to 40% -- Few or no objectives aligned	81% to 100% -- All or nearly all objectives aligned
		41% to 80% -- Some objectives aligned	
		81% to 100% -- All or nearly all objectives aligned	
1.02	Are project objectives clearly documented and understood by all stakeholder groups?	Not documented or agreed to by stakeholders	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	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	
1.06	Are all needed changes in law, rule, or policy identified and documented?	No changes needed	No changes needed
		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	Few or none
		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	Minimal or no 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	Single agency-wide use or 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	1 year or less
		Between 3 and 5 years	
		Between 1 and 3 years	
		1 year or less	

Agency: DBPR

Project: LicenseEase Software Upgrade to Versa: Regulation

Section 2 -- Technology Area			
#	Criteria	Values	Answer
2.01	Does the agency have experience working with, operating, and supporting the proposed technology in a production environment?	Read about only or attended conference and/or vendor presentation	Supported production system 1 year to 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	External technical resources will be needed through implementation only
		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	



Agency: DBPR

Project: LicenseEase Software Upgrade to Versa: Regulation

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

Agency: Agency Name

Project: Project Name

Section 4 -- Communication Area			
#	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	All or nearly all messages have success measures
		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	

Agency: DBPR

Project: LicenseEase Software Upgrade to Versa: Regulation

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 \$500K and \$1,999,999
		Greater than \$10 M	
		Between \$2 M and \$10 M	
		Between \$500K and \$1,999,999	
5.04	Is the cost estimate for this project based on quantitative analysis using a standards-based estimation model?	Yes	No
		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	No payback
		Within 3 years	
		Within 5 years	
		More than 5 years	
		No payback	

Agency: DBPR

Project: LicenseEase Software Upgrade to Versa: Regulation

Section 5 -- Fiscal Area			
#	Criteria	Values	Answer
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)	Firm Fixed Price (FFP)
		Firm Fixed Price (FFP)	
		Combination FFP and T&E	
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	Just-in-time purchasing of hardware and software is documented in the project schedule
		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 assigned is not the procurement manager or 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	No
		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 not planned/used for procurement
		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	

Agency: DBPR

Project: LicenseEase Software Upgrade to Versa: Regulation

Section 6 -- Project Organization Area			
#	Criteria	Values	Answer
6.01	Is the project organization and governance structure clearly defined and documented within an approved project plan?	Yes	Yes
		No	
6.02	Have all roles and responsibilities for the executive steering committee been clearly identified?	None or few have been defined and documented	All or nearly all have been defined and documented
		Some 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	System Integrator (contractor)
		Agency	
		System Integrator (contractor)	
6.04	How many project managers and project directors will be responsible for managing the project?	3 or more	2
		2	
		1	
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	Staffing plan identifying all staff roles, responsibilities, and skill levels have been documented
		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	
6.06	Is an experienced project manager dedicated fulltime to the project?	No experienced project manager assigned	Yes, experienced project manager dedicated full-time, 100% to project
		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	
6.07	Are qualified project management team members dedicated full-time to the project	None	Yes, business, functional or technical experts dedicated full-time, 100% to project
		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	
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	Mostly staffed from in-house resources
		Half of staff from in-house resources	
		Mostly 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	Minimal or no impact
		Moderate 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	Yes
		No	
6.11	Are all affected stakeholders represented by functional manager on the change review and control board?	No board has been established	Yes, all stakeholders are represented by functional manager
		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	

Agency: DBPR

Project: LicenseEase Software Upgrade to Versa: Regulation

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

Agency: DBPR

Project: LicenseEase Software Upgrade to Versa: Regulation

Section 7 -- Project Management Area			
#	Criteria	Values	Answer
	Identified?	All known risks and mitigation strategies have been defined	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	

Agency: DBPR

Project: LicenseEase Software Upgrade to Versa: Regulation

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



**Department of Business and Professional Regulation**  
**Division of Technology**

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**Upgrade to Versa: Regulation**  
**Project Charter**

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Prepared By: Michelle Milnes

Date of Publication:

Version:

## Table of Contents

<b>1</b>	<b>Executive Summary .....</b>	<b>3</b>
	1.1 Project Overview .....	3
	1.2 Statement of Work .....	3
<b>2</b>	<b>Project Benefits .....</b>	<b>3</b>
<b>3</b>	<b>Project Scope .....</b>	<b>4</b>
	3.1 Project Results/Completion Criteria .....	4
<b>4</b>	<b>Project Milestones.....</b>	<b>4</b>
	4.1 Major Milestones and Activities .....	4
<b>5</b>	<b>Project Estimated Effort/Cost/Duration .....</b>	<b>5</b>
	5.1 Project Budget .....	5
<b>6</b>	<b>Project Risks and Issues .....</b>	<b>5</b>
<b>7</b>	<b>Project Approach .....</b>	<b>6</b>
	7.1 Key Stakeholders.....	6
<b>8</b>	<b>Work Breakdown Schedule .....</b>	<b>7</b>
<b>9</b>	<b>Project Schedule .....</b>	<b>8</b>
	<b>Project Approvals .....</b>	<b>9</b>

## 1 Executive Summary

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### 1.1 Project Overview

The purpose of this project charter is to provide an overview describing the justification, benefits and cost of upgrading the current LicenseEase system at the Department of Business and Professional Regulation (DBPR) to Versa: Regulation.

In 2003, LicenseEase was implemented through a prime contract with Accenture LLP. Versa Management Systems, Inc. (Versa) was Accenture's subcontractor in this engagement. The design, build and implementation of the Versa commercial off-the-shelf (COTS) product, LicenseEase, created an enterprise licensing solution for the DBPR and replaced over 60 legacy licensing systems. This comprehensive system supports the department's application processing, licensing, permitting, enforcement, discipline and compliance functionalities.

The Accenture contract, which included hosting and system support and management, expired on December 31, 2008. On January 1, 2009, DBPR brought all systems operations and administrative functions in house and contracted directly with Versa for annual maintenance and support services. Accenture transferred all license rights to LicenseEase software to the department.

The current version of the LicenseEase software will soon no longer be supported. As with any software solution, over the past eight years Versa (which was purchased by Iron Data Solutions, LLC, in January 2010) has dramatically improved the software's capabilities and functionalities. The enhanced product is known as Versa: Regulation and the company is now known as Iron Data. DBPR's intent is to upgrade to Versa: Regulation during FY 2011-2012 with full implementation by June 30, 2012. Although numerous in-house resources will be devoted to this project, a Legislative Budget Request for a special appropriation is necessary to fund the consulting costs associated with this upgrade.

### 1.2 Statement of Work

The existing data in the LicenseEase application will be upgraded into the Versa: Regulation application in the DBPR production environment after thorough testing, user acceptance, and system administration training. The approach will be to utilize COTS functions wherever possible.

## 2 Project Benefits

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The LicenseEase database system used by DBPR affects all staff procedures and impacts the quality of service delivered to the citizens of Florida. The upgrade of LicenseEase to Versa: Regulation will allow DBPR to:

- Leverage existing Oracle database technology investment and knowledge
- Move to a product that is fully web-based and at the early stages of its product lifecycle
- Take advantage of new functions and features that are built into the new product
- Take advantage of new COTS functions that are only available in the new version
- Benefit from future enhancements available only with current products
- Provide a solution for agency staff and its customers that is compliant with the Americans with Disabilities Act (Section 508)
- Manage the risk of upgrade with current staff resources and skills
- Lower the long term cost of system maintenance

- Leverage the low cost and power of an open solution
- Stay with a trusted vendor that knows and supports DBPR’s business processes
- Preserve the major investment in DBPR’s database and business processes
- Leverage the existing knowledge of staff resulting in minimal training necessary because the system approach and database design are upwards compatible to LicenseEase
- Provide better customer service to citizens of Florida
- Lower the cost of providing future interfaces and enhancements

### 3 Project Scope

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Once budget approval is received, DBPR will negotiate and approve a deliverables based Statement of Work for the upgrade project with Iron Data. Planning and development tasks are expected to take five months, and user acceptance testing will involve three cycles of one month each. High-level tasks include:

- Converting configuration and license data
- Converting letter templates to a new format
- Porting DBPR specific code or replacing it with current Versa: Regulation functionality
- Transferring LicenseEase user licenses to Versa: Regulation licenses
- Replacing existing Versa: Online LicenseEase integration with Versa: Online Versa: Regulation integration including custom developed Versa: Online components
- Providing a “Train-the-Trainer” training approach

Iron Data will transfer the existing LicenseEase and Versa: Online maintenance fees schedule to Versa: Regulation.

#### 3.1 Project Results/Completion Criteria

The criteria for completion are the upgrade of the existing data in the LicenseEase system to the Versa: Regulation system with no disruption in service to system users.

### 4 Project Milestones

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#### 4.1 Major Milestones and Activities

<b>Project Milestones</b>
Establish project team
Install Versa: Regulation
Install Versa: Online
Migrate licensing data to Versa: Regulation
Migrate configuration data to Versa: Regulation
Configure new features
Configuration testing (210 license types)
Convert existing letters (500 letters)
Migrate DBPR custom code
Conduct unit and integration testing (quality assurance)
Develop training materials and conduct training
User Acceptance Testing (UAT)
Go-Live Support

## 5 Project Estimated Effort/Cost/Duration

### 5.1 Project Budget

The estimated duration of the upgrade is 12 months. The completion date will be June 30, 2012. Below is a high level estimate of the various tasks and costs associated with this project:

Description	Cost
Implementation Services	\$527,400
Project Management	\$168,000
Custom Code Migration	\$844,000
Training (Train-the-Trainer and System Administration)	\$44,800
User Acceptance Testing	\$196,000
OnBase Integration	\$100,000
Go-Live Support	\$42,000
<b>TOTAL</b>	<b>\$1,922,200</b>

## 6 Project Risks and Issues

The project is considered an overall “low” risk. The following potential risks are identified at this time.

Risk	Consequence	Mitigation Strategy
Disruption to the LicenseEase system	<ul style="list-style-type: none"> <li>Could impact the availability of existing LicenseEase System</li> </ul>	<ul style="list-style-type: none"> <li>Develop a test and roll back plan for each step of the upgrade including the custom configuration and the COTS configuration</li> </ul>
Key stakeholder availability	<ul style="list-style-type: none"> <li>Could impact schedule if key individuals are not available</li> </ul>	<ul style="list-style-type: none"> <li>Essential to collaborate with the Stakeholders utilizing a well-coordinated plan</li> </ul>
Lack of communication	<ul style="list-style-type: none"> <li>Could result in delays or negative perception from key stakeholders</li> </ul>	<ul style="list-style-type: none"> <li>Identify stakeholders, determine level of communication, develop communication plan</li> </ul>
Project does not receive necessary management attention and direction	<ul style="list-style-type: none"> <li>Project may not meet deadlines or may not succeed</li> </ul>	<ul style="list-style-type: none"> <li>The stakeholders for the project will meet regularly. A full-time project manager for the project is required</li> </ul>
The agency internal resources experienced in this technology are not sufficient to implement the project	<ul style="list-style-type: none"> <li>External resources will be procured</li> </ul>	<ul style="list-style-type: none"> <li>Stakeholders will ensure that this project includes experienced external resources</li> </ul>

Risk	Consequence	Mitigation Strategy
The availability of DBPR personnel experienced in this technology	<ul style="list-style-type: none"> <li>DBPR has personnel experienced with this technology; however, they may not be available to dedicate to the project</li> </ul>	<ul style="list-style-type: none"> <li>Evaluate staff positions; make project staffing recommendations based on current workload</li> </ul>

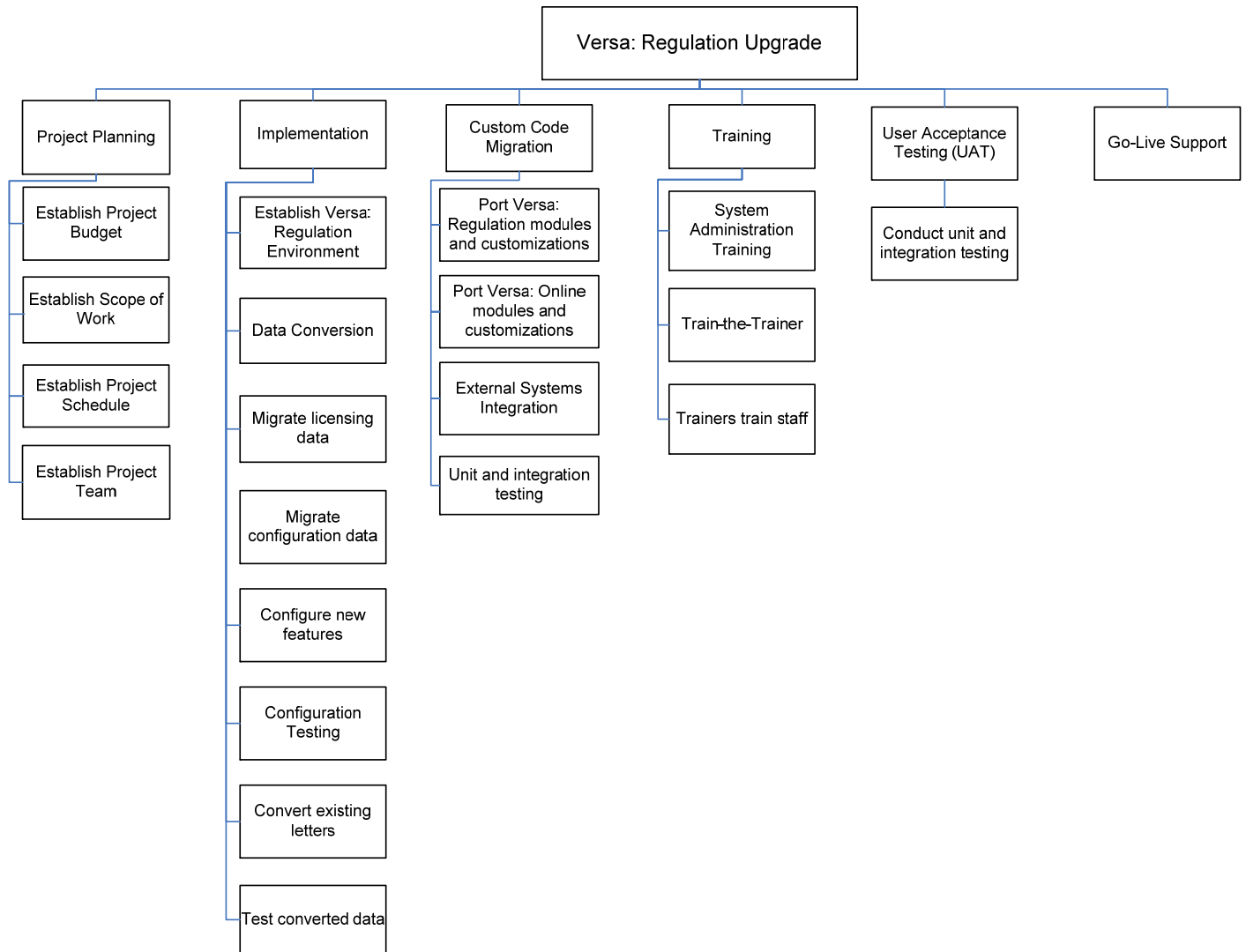
## 7 Project Approach

### 7.1 Key Stakeholders

The individuals listed in the exhibit below are stakeholders in the project.

KEY STAKEHOLDERS	HOW ARE THEY AFFECTED OR HOW ARE THEY PARTICIPATING?
Terry L. Kester, Chief Information Officer	Responsible for all computing staff and resources
Charlie Liem, Secretary	Responsible for the services provided to the citizens of the State of Florida
DBPR Senior Management	System Owners; responsible for business operations utilizing the LicenseEase database
Kathy Ott, Enterprise Applications Manager	Responsible for the LicenseEase application
Eric Larson, Infrastructure Manager	Responsible for the infrastructure
Robert Foster, Business Applications Manager	Responsible for the business applications, including the database administration functions

## 8 Work Breakdown Schedule



## 9 Project Schedule

The project schedule will be finalized once the deliverables based contract is completed.

Task Name	Duration	Start Date	End Date
<b>Upgrade to Versa: Regulation</b>		TBD	6/30/12
<b>Install Versa:Regulation</b>			
Install base code in test environment	10 days		
Install of Batch Scheduler	10 days		
Install Letter System	10 days		
Tech support for other DBPR environments (Training, Dev, Prod)	10 days		
<b>Install and support Versa:Online</b>			
Tech support for other DBPR environments (Training, Dev, Prod)	20 days		
Data Conversion Tasks	166 days		
License data migration to Versa:Regulation	50 days		
Configuration data migration to Versa:Regulation	20 days		
Configuration new features, interviews, entry, testing	15 days		
Configuration testing (210 lic types @ 1/2 day each)	105 days		
Letter conversion (500 letters @ 1/3 day )	166 days		
On site production data conversion testing and operations	20 days		
<b>Custom Code Migration</b>			
Port DBPR specific V:R modules and customizations	400 days		
Port DBPR specific V:O modules and customizations	30 days		
External Systems Integration (SeeBeyond, Perl, Mobile, etc.)	150 days		
QA - unit and integration testing	60 days		
Regression test scripting and execution	80 days		
<b>Train-the-Trainer Training</b>			
Material preparation and planning	10 days		
Onsite VR application training	10 days		
Versa:Regulation documentation and training materials	10 days		
<b>System Administration Training</b>			
Material preparation and planning	5 days		
Administrator training/workshop - new feature configurations	3 days		
Administrator training/workshop - batch scheduler	1 day		
Administrator training/workshop - letter system features	3 days		
<b>User Acceptance Testing (UAT)</b>			
Scalability/Performance Testing/ Load Balancing	40 days		
UAT onsite 10 x 5 day test cycles (~210 lic types @ 20 per cycle)	50 days		
UAT offsite support & configuration corrections (10 x 5 day cycles)	50 days		
<b>Go-Live</b>			
Daily meetings with subject matter experts during initial month	20 days		



## **Project Approvals**

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### **Department of Business and Professional Regulation**

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Charlie Liem, Secretary, Executive Sponsor

Date

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Terry L. Kester, Chief Information Officer, Project Sponsor

Date

FY 2011-12 Schedule IV-C: Information Technology (IT) Costs & Service Requirements  
**IT Service Requirements Worksheet: Desktop Computing Service**

Dept/Agency: **Department of Business and Professional Regulation**  
 Submitted by: **Terry L. Kester, Chief Information Officer**  
 Phone: **850-921-5392**  
 Date submitted: **October 15, 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)	6	Internet Explorer Browser 7.0, 8.0
2	Microsoft Office Suite (Word, Excel, PowerPoint, Access)	7	Windows Operating Systems (XP)
3	Microsoft Project Software	8	Hyland OnBase
4	McAfee AntiVirus Software	9	SLS Programs
5	Adobe Acrobat	10	

**1. IT Service Definition**

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

- |   |   |
|---|---|
| <input checked="" type="checkbox"/> Central IT staff                            | <input type="checkbox"/> Southwood Shared Resource Center |
| <input type="checkbox"/> Program staff  | <input type="checkbox"/> Northwood Shared Resource Center |
| <input type="checkbox"/> Other state agency <i>(non-primary data center)</i>    | <input type="checkbox"/> Northwest Regional Data Center   |
| <input type="checkbox"/> Other External Service Provider <i>(specify)</i> _____ |   |

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. 1818

1.4. How many locations currently use desktop computing services? 125

**2. Service Unique to Agency**

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

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

- Yes       No

**IT Service Requirements Worksheet: Helpdesk Service**

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

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

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

**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:

Memorandums of Understanding have been established with all DBPR internal business units.

3.2. Timing and Service Delivery Requirements

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

24/7

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

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

3.2.3. Are there any agency-unique service requirements?

Yes  No

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

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

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

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

Yes  No

3.2.5.1. If yes, please specify and describe:

DBPR has a policy that employees must keep desktop passwords private, must change their passwords every ninety days, and must meet complexity standards.

**4. User/customer satisfaction**

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

Yes  No

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

FY 2011-12 Schedule IV-C: Information Technology (IT) Costs & Service Requirements  
**IT Service Requirements Worksheet: Helpdesk Service**

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

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

Yes       No

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

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
No issue in the FY 2011-2012 LBR				

**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 through an annual appropriation from the department's Administrative Trust Fund (ATF).

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 ATF is funded by other trust funds within DBPR by way of a detailed cost allocation methodology.

5.3. Other pertinent information related to this service

Question 1.3: Includes FTE and OPS staff

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

FY 2011-12 Schedule IV-C: Information Technology (IT) Costs & Service Requirements  
**IT Service Requirements Worksheet: Helpdesk Service**

Dept/Agency: **Department of Business and Professional Regulation**  
 Submitted by: **Terry L. Kester, Chief Information Officer**  
 Phone: **850-921-5392**  
 Date submitted: **October 15, 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 Action Request System – standardized help desk ticketing software	5	
2	Ghost	6	
3	Microsoft SMS	7	
4		8	

**6. IT Service Definition**

6.1. 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

6.2. 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)

6.3. Please identify the number of users of this service: 1818

6.4. How many locations currently host IT assets and resources used to provide helpdesk services? 5

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

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

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

Help Desk Action	Simple problems	Moderately complex problems	Complex problems
Accepting and logging	X	X	X
Referring/escalating		X	X
Tracking and reporting	X	X	X
Resolving/closing	X		

FY 2011-12 Schedule IV-C: Information Technology (IT) Costs & Service Requirements  
**IT Service Requirements Worksheet: IT Administration and Management Service**

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

1	LicenseEase	5	
2	OnBase	6	
3	E-mail	7	
4	Microsoft Office Suite (Word, Excel, PowerPoint, Access)	8	

**7. Service Unique to Agency**

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

7.2. 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

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

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

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

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

8.1. 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:

Memorandums of Understanding have been established with all DBPR internal business units.

8.2. Timing and Service Delivery Requirements

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

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

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

8.2.3. What is the average monthly volume of calls/cases/tickets? 1165

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

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

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

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

FY 2011-12 Schedule IV-C: Information Technology (IT) Costs & Service Requirements  
**IT Service Requirements Worksheet: IT Administration and Management Service**

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Other \_\_\_\_\_

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

Yes       No

8.2.6.1. If yes, please specify and describe:

**9. User/customer satisfaction**

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

Yes       No

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

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

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

Yes       No

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

9.2.2. 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
No issue in the FY 2011-2012 LBR				

**10. Additional Information**

10.1. 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 through an annual appropriation from the department's Administrative Trust Fund (ATF).

10.2. 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.)

FY 2011-12 Schedule IV-C: Information Technology (IT) Costs & Service Requirements  
**IT Service Requirements Worksheet: IT Administration and Management Service**

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The ATF is funded by other trust funds within DBPR by way of a detailed cost allocation methodology.

10.3. Other pertinent information related to this service

Question 1.3: Includes FTE and OPS staff.



FY 2011-12 Schedule IV-C: Information Technology (IT) Costs & Service Requirements  
**IT Service Requirements Worksheet: IT Administration and Management Service**

Dept/Agency: **Department of Business and Professional Regulation**  
 Submitted by: **Terry L. Kester, Chief Information Officer**  
 Phone: **850-921-5392**  
 Date submitted: **October 15, 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	None – Personnel Only	5	
2		6	
3		7	
4		8	

**11. IT Service Definition**

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

<input checked="" type="checkbox"/> Central IT staff	<input type="checkbox"/> Southwood Shared Resource Center
<input type="checkbox"/> Program staff	<input type="checkbox"/> Northwood Shared Resource Center
<input type="checkbox"/> Other state agency <i>(non-primary data center)</i>	<input type="checkbox"/> Northwest Regional Data Center
<input type="checkbox"/> Other External Service Provider <i>(specify)</i> _____	

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

**12. Service Unique to Agency**

12.1. 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

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

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

IT Administration and Management Service relates to a department program that is part of the agency management function. It cannot be performed by an external service provider.

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

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

Yes; formal Service Level Agreement(s)  
 Yes; informal agreement(s)

FY 2011-12 Schedule IV-C: Information Technology (IT) Costs & Service Requirements  
**IT Service Requirements Worksheet: Network Service**

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

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

Memorandums of Understanding have been established with all DBPR internal business units.

13.2. Timing and Service Delivery Requirements

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

M-F

0800-1700

13.2.2. 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

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

Yes  No

If yes, please specify and describe:

13.2.4. Are there any agency-unique service requirements?

Yes  No

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

14. User/customer satisfaction

14.1. 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:

The department's Chief Information Officer attends weekly Senior Management Meetings with the Secretary of the Department, Chief of Staff, Deputy Secretaries, and Division Directors where IT programs and services are discussed at a high level. The CIO also discusses issues with the Chief of Staff on a weekly or as needed basis on overall IT programs, services and service level objectives.

14.2. 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*)

FY 2011-12 Schedule IV-C: Information Technology (IT) Costs & Service Requirements  
**IT Service Requirements Worksheet: Network Service**

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14.2.1. 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
No issues for FY 2011-2012				

**15. Additional Information**

15.1. 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 through an annual appropriation from the Department's Administrative Trust Fund (ATF).

15.2. 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 ATF is funded by other trust funds within DBPR by way of a detailed cost allocation methodology.

15.3. Other pertinent information related to this service

FY 2011-12 Schedule IV-C: Information Technology (IT) Costs & Service Requirements  
**IT Service Requirements Worksheet: Network Service**

Dept/Agency: **Department of Business and Professional Regulation**  
 Submitted by: **Terry L. Kester, Chief Information Officer**  
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 Date submitted: **October 15, 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	Cisco Ethernet Switches	5	MyFloridaNet (MFN)
2	Cisco Routers	6	
3	Proxim Wireless Access Points	7	
4	Cisco Pix Firewalls	8	

**16. IT Service Definition**

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

<input checked="" type="checkbox"/> Central IT staff	<input type="checkbox"/> Southwood Shared Resource Center
<input type="checkbox"/> Program staff	<input type="checkbox"/> Northwood Shared Resource Center
<input type="checkbox"/> Other state agency <i>(non-primary data center)</i>	<input type="checkbox"/> Northwest Regional Data Center
<input type="checkbox"/> Other External Service Provider <i>(specify)</i> _____	

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

<input type="checkbox"/> Central IT staff
<input type="checkbox"/> Program staff
<input type="checkbox"/> Another State agency
<input checked="" type="checkbox"/> External service provider

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

<input checked="" type="checkbox"/> Agency staff (state employees or contractors)
<input type="checkbox"/> Employees or contractors from one or more additional state agencies
<input type="checkbox"/> External service providers
<input type="checkbox"/> Public (please explain in Question 5.3)

16.4. Please identify the number of users of the Network Service. **1818**

16.5. How many locations currently host IT assets and resources used to provide LAN services? **14**

16.6. How many locations currently use WAN services? **35**

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

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

**17. Service Unique to Agency**

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

17.2. 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

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

WAN service is provided by the Department of Management Services (DMS). DMS would have to approve changing the service provider.

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

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

18.1. Has the agency specified the service level requirements for LAN service?  
 Yes; formal Service Level Agreement(s)  
 Yes; informal agreement(s)  
 No; specific requirements have not been determined and approved by the department  
If you answered "Yes," identify major (formal or informal) service level requirements:

Memorandums of Understanding have been established with all DBPR internal business units.

18.2. Has the agency specified the service level requirements for WAN service?  
 Yes; formal Service Level Agreement(s)  
 Yes; informal agreement(s)  
 No; specific requirements have not been determined and approved by the department  
If you answered "Yes," identify major (formal or informal) service level requirements:

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

**18.3. Timing and Service Delivery Requirements**

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

18.3.1.1. Online availability 24/7

18.3.1.2. Offline and availability for maintenance Wed AM/Sat AM

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

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

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

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

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

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

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

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

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

- User ID/Password
- Access through Internet or external network
- Access through internal network only
- Access through Internet with secure encryption
- Other Wireless communications must be secured with WPA using TKIP/802.1x

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

Yes  No

18.3.6.1. If yes, please specify and describe:

The department must comply with security requirements for end points that connect to the Federal Bureau of Investigation Criminal Justice Information Services (CJIS).

## 19. User/customer satisfaction

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

Yes  No

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

Monthly statistics are kept to verify 99% uptime metrics. This information is provided to the CIO for reporting at Senior Management Staff meetings as required.

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

Yes  No

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

19.2.2. 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
No issue in the FY 2011-2012 LBR				

**20. Additional Information**

20.1. 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 through an annual appropriation from the department's Administrative Trust Fund (ATF).

20.2. 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 ATF is funded by other trust funds within DBPR by way of a detailed cost allocation methodology.

20.3. Other pertinent information related to this service

Question 1.4: Includes FTE and OPS  
 Question 3.3.1: Users normally need access to the WAN for an eight hour work day. However, our department personnel have various work schedules that drive the requirement for an overall 24/7 WAN service.

Dept/Agency: **Department of Business and Professional Regulation**  
 Submitted by: **Terry L. Kester, Chief Information Officer**  
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 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	DBPR Tracker	5	
2	Phone Usage	6	
3	Dashboard-Performance Reporting	7	
4	Unpaid Financial Records Tracking System (Debit Memos)	8	

**21. IT Service Definition**

21.1. 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)* \_\_\_\_\_

21.2. 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)

21.3. Please identify the number of users of this service. Approx. 600

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

**22. Service Unique to Agency**

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

22.2. 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



FY 2011-12 Schedule IV-C: Information Technology (IT) Costs & Service Requirements  
**IT Service Requirements Worksheet: IT Security/Risk Mitigation Service**

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

Same functionality available with adequate security controls.

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

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

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

23.1. 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:

Memorandums of Understanding have been established with all DBPR internal business units.

23.2. Timing and Service Delivery Requirements

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

23.2.1.1. User-facing components of this IT service (online) 24/7

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

23.2.2. 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)? 60 min.

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

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

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

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

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

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

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

- Yes
- No

23.2.5.1. If yes, please specify and describe:

FY 2011-12 Schedule IV-C: Information Technology (IT) Costs & Service Requirements  
**IT Service Requirements Worksheet: IT Security/Risk Mitigation Service**

**24. User/customer satisfaction**

24.1. 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:

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

Yes  No

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

24.2.2. 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
No issue in the FY 2011-2012 LBR				

**25. Additional Information**

25.1. 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 through an annual appropriation from the Department's Administrative Trust Fund (ATF).

25.2. 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 ATF is funded by other trust funds within DBPR by way of a detailed cost allocation methodology.

25.3. Other pertinent information related to this service

Dept/Agency: **Department of Business and Professional Regulation**  
Submitted by: **Terry L. Kester, Chief Information Officer**  
Phone: **850-921-5392**  
Date submitted: **October 15, 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.

### 26. IT Service Definition

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

- |   |  |
|---|--|
| <input checked="" type="checkbox"/> Central IT staff                              | <input type="checkbox"/> Southwood Shared Resource Center            |
| <input checked="" type="checkbox"/> Program staff                                 | <input checked="" type="checkbox"/> Northwood Shared Resource Center |
| <input type="checkbox"/> Other state agency ( <i>non-primary data center</i> )    | <input checked="" type="checkbox"/> Northwest Regional Data Center   |
| <input type="checkbox"/> Other External Service Provider ( <i>specify</i> ) _____ |  |

26.2. 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)

### 27. Service Unique to Agency

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

27.2. 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

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

Florida Statutes Chapter 282.318 requires each agency to have an Information Security Officer to administer their security program. Service level requirements must be validated to ensure that another IT service provider could support our risk assessment, mitigation, data recovery, disaster recovery, COOP, payment card industry compliance standards, business processes and plans.

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

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

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

- Yes; formal Service Level Agreement(s)

FY 2011-12 Schedule IV-C: Information Technology (IT) Costs & Service Requirements  
**IT Service Requirements Worksheet: E-Mail, Messaging, and Calendaring Service**

- 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:

Memorandums of Understanding have been established with all DBPR internal business units.

28.2. Timing and Service Delivery Requirements

- 28.2.1. Hours/Days that service is required (e.g., 0800-1600 M-F, 24/7): 24/7
- 28.2.2. In the event of an emergency, how quickly must essential services be restored to maintain the agency's continuity of operations? In the event of a natural disaster, the department would invoke the agency's COOP and disaster recovery plan as required by Statute.
- 28.2.3. How frequently must the IT disaster recovery plan be tested? Annually
- 28.2.4. 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
- 28.2.5. Are there any agency-unique service requirements?  Yes  No

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

Infrastructure must work in the event of a natural disaster. If Northwood Shared Resource Center is unavailable, the department would invoke the agency's COOP and disaster recovery plan as required by Statute. NWRDC is the location of DBPR's disaster recovery environment.

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

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

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

- Yes  No

If yes, please specify and describe:

Sensitive personal data must be protected in accordance with State and Federal Statutes, as well as with payment card industry (PCI) standards where applicable.

29. User/customer satisfaction

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

- Yes  No

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

Security status, risk assessments, and continuity plan readiness are reported by the Information Security Officer to the CIO daily.

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

- Yes  No

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

FY 2011-12 Schedule IV-C: Information Technology (IT) Costs & Service Requirements  
**IT Service Requirements Worksheet: E-Mail, Messaging, and Calendaring Service**

---

29.2.2. 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
No issue in the FY 2011-2012 LBR				

**30. Additional Information**

30.1. 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 through an annual appropriation from the Department's Administrative Trust Fund (ATF).

30.2. 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 ATF is funded by other trust funds within DBPR by way of a detailed cost allocation methodology.

30.3. Other pertinent information related to this service

FY 2011-12 Schedule IV-C: Information Technology (IT) Costs & Service Requirements  
**IT Service Requirements Worksheet: E-Mail, Messaging, and Calendaring Service**

Dept/Agency: **Department of Business and Professional Regulation**  
 Submitted by: **Terry L. Kester, Chief Information Officer**  
 Phone: **850-921-5392**  
 Date submitted: **October 15, 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	Windows 2003 Servers and OS	5	MS Outlook Client
2	McAfee AntiVirus Software	6	IronPort (Cisco)
3	Microsoft Enterprise Exchange Server	7	
4	CommVault Backup	8	

**31. IT Service Definition**

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

- |  |  |
|--|--|
| <input checked="" type="checkbox"/> Central IT staff                         | <input type="checkbox"/> Southwood Shared Resource Center            |
| <input type="checkbox"/> Program staff                                       | <input checked="" type="checkbox"/> Northwood Shared Resource Center |
| <input type="checkbox"/> Other state agency <i>(non-primary data center)</i> | <input checked="" type="checkbox"/> Northwest Regional Data Center   |
| <input type="checkbox"/> Other External Service Provider <i>(specify)</i>    |  |

31.2. 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)

31.3. Please identify the number of users (e-mail accounts/mailboxes) of this service. 2162 mailboxes

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

**32. Service Unique to Agency**

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

32.2. 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

FY 2011-12 Schedule IV-C: Information Technology (IT) Costs & Service Requirements  
**IT Service Requirements Worksheet: Portal/Web Management Service**

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

It would require modification of existing applications that are integrated with e-mail as well as migrating existing content.

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

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

33.1. 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:

Memorandums of Understanding have been established with all DBPR internal business units.

33.2. Timing and Service Delivery Requirements

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

33.2.2. 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 minutes

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

Downtimes greater than 5 minutes will impact day-to-day and strategic functions that rely on the mail system (e.g., meeting scheduling, announcements, etc.)

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

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

Mail must be available from the Internet using a standard web browser.

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

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

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

- Yes
- No

33.2.5.1. If yes, please specify and describe:

Sensitive data must be protected in accordance with State and departmental policies; records must be retained to comply with State records retention schedules and policies.

**34. User/customer satisfaction**

FY 2011-12 Schedule IV-C: Information Technology (IT) Costs & Service Requirements  
**IT Service Requirements Worksheet: Portal/Web Management Service**

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

Yes  No

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

Monthly statistics are kept to verify 99% uptime metrics. This information is provided to the CIO for reporting at Senior Management Staff meetings as required.

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

Yes  No

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

34.2.2. 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
No issue in the FY 2011-2012 LBR				

**35. Additional Information**

35.1. 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 through an annual appropriation from the department's Administrative Trust Fund (ATF).

35.2. 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 ATF is funded by other trust funds within DBPR by way of a detailed cost allocation methodology.

35.3. Other pertinent information related to this service

It is anticipated the Department of Business and Professional Regulation will migrate to the Statewide E-mail System in 2013 in accordance with Section 282.34, Florida Statutes. The cost for this service is being developed. Consequently, the fiscal impact of this service is unknown at this time.



FY 2011-12 Schedule IV-C: Information Technology (IT) Costs & Service Requirements  
**IT Service Requirements Worksheet: Portal/Web Management Service**

Dept/Agency: **Department of Business and Professional Regulation**  
 Submitted by: **Terry L. Kester, Chief Information Officer**  
 Phone: **850-921-5392**  
 Date submitted: **October 15, 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	Intel Servers w/Windows 2000 and 2003 Server Operating Systems	5	Oracle OC4J
2	Adobe Contribute	6	Accelio Forms Server
3	Active Server Pages	7	JBoss Web Server
4	SeeBeyond	8	

**36. IT Service Definition**

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

<input checked="" type="checkbox"/> Central IT staff	<input checked="" type="checkbox"/> Northwood Shared Resource Center
<input type="checkbox"/> Program staff	<input type="checkbox"/> Southwood Shared Resource Center
<input type="checkbox"/> Other state agency <i>(non-primary data center)</i>	<input checked="" type="checkbox"/> Northwest Regional Data Center
<input type="checkbox"/> Other External Service Provider <i>(specify)</i>	

36.2. 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)

36.3. Please identify the number of Internet users of this service. **1.2 million**

36.4. Please identify the number of intranet users of this service. **1818**

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

**37. Service Unique to Agency**

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

37.2. 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?

FY 2011-12 Schedule IV-C: Information Technology (IT) Costs & Service Requirements  
**IT Service Requirements Worksheet: Data Center Service**

Yes       No

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

In accordance with Chapter 282, F.S., the service must be provided by a recognized primary data center.

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

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

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

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

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

The development of a formal Service Level Agreement with the Northwood Shared Resource Center is in progress

38.2. Timing and Service Delivery Requirements

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

38.2.2. 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 minutes

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

DBPR would not be able to fulfill its statutory requirements

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

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

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

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

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

Yes       No

38.2.5.1. If yes, please specify and describe:

Sensitive data must be protected in accordance with State and departmental policies; records must be retained to comply with State records retention schedules and policies.

**39. User/customer satisfaction**

FY 2011-12 Schedule IV-C: Information Technology (IT) Costs & Service Requirements  
**IT Service Requirements Worksheet: Data Center Service**

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

Yes     No

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

Monthly statistics are kept to verify 99% uptime metrics. This information is provided to the CIO for reporting at Senior Management Staff meetings as required.

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

Yes     No

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

39.2.2. 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
No issue in the FY 2011-2012 LBR				

**40. Additional Information**

40.1. 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 through an annual appropriation from the department's Administrative Trust Fund (ATF).

40.2. 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 ATF is funded by other trust funds within DBPR by way of a detailed cost allocation methodology.

40.3. Other pertinent information related to this service

With respect to Questions 1.2 and 1.3, the department licenses over one million businesses and professionals. The number of Internet users is a high level estimate to cover current licensees, internal users, and the public.

FY 2011-12 Schedule IV-C: Information Technology (IT) Costs & Service Requirements  
**IT Service Requirements Worksheet: Data Center Service**

Dept/Agency: **Department of Business and Professional Regulation**  
 Submitted by: **Terry L. Kester, Chief Information Officer**  
 Phone: **850-921-5392**  
 Date submitted: **October 15, 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	Licensing and Regulatory IT Service Electronic Tax and Registration IT Service Network Service E-Mail, Messaging and Calendaring Service IT Security / Risk Mitigation Service
2	Southwood Shared Resource Center	FTP Services
3	Northwest Regional Data Center	Licensing and Regulatory IT Service (Disaster Recovery) E-Mail, Messaging and Calendaring Service (Disaster Recovery)
4	Agency (non-primary) Data Center	
5	Agency Computing Facilities	
6	Other External Data Center(s)	

**41. IT Service Definition**

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

- |   |  |
|---|--|
| <input type="checkbox"/> Central IT staff   | <input checked="" type="checkbox"/> Northwood Shared Resource Center |
| <input type="checkbox"/> Program staff  | <input checked="" type="checkbox"/> Southwood Shared Resource Center |
| <input type="checkbox"/> Other state agency ( <i>non-primary data center</i> )    | <input checked="" type="checkbox"/> Northwest Regional Data Center   |
| <input type="checkbox"/> Other External Service Provider ( <i>specify</i> ) _____ |  |

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

FY 2011-12 Schedule IV-C: Information Technology (IT) Costs & Service Requirements  
**IT Service Requirements Worksheet: Licensing and Regulatory IT Strategic Service**

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- 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)

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

41.3.1. Number of agency data center(s) 0

41.3.2. List the major IT application systems<sup>1</sup> hosted at each of these facilities:

Name of Agency Data Center	Major IT Application Systems Supported	External Agency Supported (if applicable)
N/A		

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

41.4.1. Number of agency computing facilities 0

41.4.2. List the major IT application systems<sup>1</sup> hosted at each of these facilities:

Name of Computing Facility	Major IT Application Systems Supported	External Agency Supported (if applicable)
N/A		

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

41.5.1. Total number of logical servers not housed in an agency data center, agency computing facility, or primary data center 12

41.5.2. Total number of single logical-server installations 12

41.5.3. List all major IT application systems<sup>1</sup> supported by these servers in 1.5.1 and 1.5.2:

File/Print

**42. 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."*

<sup>1</sup> 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.*

November 30, 2010

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       No

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

The SLA is in progress. Per Proviso, DBPR shall execute a service level agreement pursuant to section 282.203(1) (g), F.S., by February 1, 2011.

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

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

43.1. Service Delivery Requirements Timing and

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

43.1.2. 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

43.1.3. Are there any federal, state, or agency privacy policies or restrictions applicable to this IT Service?  
 Yes       No

If yes, please specify and describe:

Sensitive personal data must be protected in accordance with State and Federal Statutes, as well as with payment card industry (PCI) standards where applicable.

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

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

The department must comply with security requirements for end points that connect to the Federal Bureau of Investigation Criminal Justice Information Services (CJIS).

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

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

#### 44. User/customer satisfaction

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

Yes       No

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

Reports are provided to business stakeholders and agency management as needed.

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

Yes       No

FY 2011-12 Schedule IV-C: Information Technology (IT) Costs & Service Requirements  
**IT Service Requirements Worksheet: Licensing and Regulatory IT Strategic Service**

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

[Empty text box for response to 44.2.1]

44.2.2. 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
No issues for FY 2011-2012				

**45. Additional Information**

45.1. 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

Services are funded through an annual appropriation for the Department's Administrative Trust Fund (ATF).

45.2. 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 ATF is funded by other trust funds within DBPR by way of a detailed cost allocation methodology.

45.3. Other pertinent information related to this service

In response to Question 1-2, DBPR has a public website that allows customers to apply for and renew licenses.

FY 2011-12 Schedule IV-C: Information Technology (IT) Costs & Service Requirements  
**IT Service Requirements Worksheet: Licensing and Regulatory IT Strategic Service**

Dept/Agency: **Dept. of Business and Professional Regulation**  
 Submitted by: **Terry L. Kester, Chief Information Officer**  
 Phone: **850.921.5392**  
 Date submitted: **October 15, 2010**

**Licensing and Regulatory IT Strategic Service**

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	LicenseEase – Single Licensing System (SLS)	8	Elevator Inspection Auditing Reporting System
2	OnBase - Department-Wide Document Management System (DDMS)	9	Online Reporting of Food Service Training Certification
3	Versa: Online	10	Alcoholic Beverages Quota Drawing System
4	DBPR Contact Center Customer Relationship Management System (Siebel)	11	Continuing Education Reporting
5	DBPR Contact Center Interactive Voice Response System (Edify & Genesys)	12	
6	DBPR Custom Inspection System for Personal Digital Assistants (PDAs)	13	
7	LicenseEase Reporting Database	14	

**46. IT Service Definition**

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

The Department of Business and Professional Regulation’s (DBPR) mission is to License Efficiently and Regulate Fairly. DBPR has the authority to approve applications for professional licenses that meet all statutory and rule requirements for licensure. DBPR is also charged with regulating the professionals and businesses that are licensed by DBPR.

Applications for licensure and supporting documents are received, scanned, indexed, and routed through the department-wide document management system for processing. Information is also entered and tracked in the department’s integrated licensing system known as LicenseEase. Once it has been determined that an applicant has met all statutory requirements such as appropriate documentation, education, testing, fingerprinting, inspection, and possible appearance before the board, the application can be approved for licensure. The license is issued and the application and supporting documents are archived. This service includes interfaced and integrated systems used to capture, store, and provide retrieval of electronic records.

Regulatory functions consist of complaints, audits, inspections, investigations and legal proceedings. The enforcement arm of the department monitors professions and businesses to ensure that the laws, rules and standards set by the Legislature are followed. This is accomplished by proactively monitoring the professionals and related businesses, aggressively pursuing and investigating complaints of wrongdoing, and utilizing compliance mechanisms such as mediation, the issuance of notices of noncompliance, the issuance of citations and the performance of statutorily mandated inspections. Complaints and supporting documentation are submitted, entered and tracked in the integrated licensing system throughout the complaint, investigative, and prosecutorial process. All applicable information is scanned, indexed, routed through the document



FY 2011-12 Schedule IV-C: Information Technology (IT) Costs & Service Requirements  
**IT Service Requirements Worksheet: Licensing and Regulatory IT Strategic Service**

management system and eventually archived. On-site inspections are uploaded to the integrated licensing system with the use of Personal Digital Assistants (PDAs).

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

- |  |  |
|--|--|
| <input checked="" type="checkbox"/> Central IT staff                         | <input checked="" type="checkbox"/> Northwood Shared Resource Center |
| <input type="checkbox"/> Program staff                                       | <input type="checkbox"/> Southwood Shared Resource Center            |
| <input type="checkbox"/> Other state agency <i>(non-primary data center)</i> | <input checked="" type="checkbox"/> Northwest Regional Data Center   |
| <input type="checkbox"/> Other External Service Provider <i>(specify)</i>    |  |

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

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

46.4. Please identify the number of users of this service. 1.2 million

46.5. How many locations currently host this service? 2

**47. Service Unique to Agency**

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

47.2. 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

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

DBPR would move to another Primary Data Center.

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

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

48.1. 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:

Formal SLA with NSRC is in progress.

48.2. Timing and Service Delivery Requirements

FY 2011-12 Schedule IV-C: Information Technology (IT) Costs & Service Requirements  
**IT Service Requirements Worksheet: Electronic Tax and Registration IT Strategic Service**

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

48.2.1.1. User-facing components of this IT service (online) 24/7

48.2.1.2. Back-office-facing components of this IT service (batch and maintenance) 24/7

48.2.2. 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)? 5 minutes

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

Agency would not be able to fulfill its statutory requirements

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

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

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

User ID/Password

Access through Internet or external network

Access through internal network only

Access through Internet with secure encryption

Other \_\_\_\_\_

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

Yes  No

48.2.5.1. If yes, please specify and describe:

Sensitive data must be protected in accordance with State and departmental policies; records must be retained to comply with State records retention schedules and policies.

**49. User/customer satisfaction**

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

Yes  No

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

The department's Chief Information Officer attends weekly Senior Management Meetings with the Secretary of the Department, Chief of Staff, Deputy Secretaries, and Division Directors where IT programs and services are discussed at a high level. The CIO also discusses issues with the Chief of Staff on a weekly or as needed basis on overall IT programs, services and service level objectives.

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

Yes  No

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

FY 2011-12 Schedule IV-C: Information Technology (IT) Costs & Service Requirements  
**IT Service Requirements Worksheet: Electronic Tax and Registration IT Strategic Service**

49.2.2. 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
Upgrade LicenseEase Software to Versa: Regulation. D3-A Issue Number 36250C0	The current version of the LicenseEase software which was fully implemented in 2003, will soon no longer be supported. Additionally, the capabilities and functionalities of this commercial off-the-shelf (COTS) software have dramatically improved over the past eight years. Some benefits of the upgrade include: the department will be able to leverage existing database technology investment and knowledge; move to a product that is fully web-based; provide a 508 compliant solution; preserve the major investment in DBPR's database and business processes; provide better customer service; and lower the long term cost of system maintenance. The upgrade will also be architected to be scalable to accommodate future growth.	July 1, 2011	June 30, 2012	\$1,922,200

**50. Additional Information**

50.1. 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 through an annual appropriation from the department's Administrative Trust Fund (ATF).

50.2. 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 ATF is funded by other trust funds within DBPR by way of a detailed cost allocation methodology.

50.3. Other pertinent information related to this service

The "Public" in Question 1.3 refers to DBPR licensees and individuals searching for licensure information and/or complaints against DBPR licensees.

FY 2011-12 Schedule IV-C: Information Technology (IT) Costs & Service Requirements  
**IT Service Requirements Worksheet: Electronic Tax and Registration IT Strategic Service**

Dept/Agency: **Dept. of Business and Professional Regulation**  
 Submitted by: **Terry L. Kester, Chief Information Officer**  
 Phone: **850.921.5392**  
 Date submitted: **October 15, 2010**

**1. Electronic Tax and Registration IT Strategic Service**

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	Division of Alcoholic Beverages & Tobacco (AB&T) Electronic Data Submission System	
2	Pari-Mutuel Wagering (PMW) Excise Tax Monitoring System (ESI)	

**51. IT Service Definition**

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

DBPR has the authority to collect tax reports and surcharge information for businesses that meet all applicable statutory and rule requirements. This service includes a web-based application that allows automated calculation of tax obligations and automated audit calculations for those businesses required to file monthly reports. Additionally, an outsourced system monitors and retains historical information for the racing industry.

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

- |   |  |
|---|--|
| <input checked="" type="checkbox"/> Central IT staff<br><input type="checkbox"/> Program staff<br><input type="checkbox"/> Other state agency <i>(non-primary data center)</i><br><input type="checkbox"/> Other External Service Provider <i>(specify)</i> | <input checked="" type="checkbox"/> Northwood Shared Resource Center<br><input type="checkbox"/> Southwood Shared Resource Center<br><input checked="" type="checkbox"/> Northwest Regional Data Center<br><div style="background-color: yellow; height: 15px; width: 100%; margin-top: 5px;"></div> |
|---|--|

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

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

51.4. Please  
 identify the number of users of this service. 315

51.5. How many  
 locations currently host this service? 2

**52. Service Unique to Agency**

FY 2011-12 Schedule IV-C: Information Technology (IT) Costs & Service Requirements  
**IT Service Requirements Worksheet: Electronic Tax and Registration IT Strategic Service**

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

52.2. 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

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

DBPR would move to another Primary Data Center.

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

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

53.1. 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:

Formal SLA with NSRC is in progress.

53.2. Timing and Service Delivery Requirements

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

53.2.1.1. User-facing components of this IT service (online) **24/7**

53.2.1.2. Back-office-facing components of this IT service (batch and maintenance) **24/7**

53.2.2. 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)? **5 minutes**

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

DBPR would not be able to fulfill its statutory requirements.

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

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

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

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

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

Yes  No

53.2.5.1. If yes, please specify and describe:

FY 2011-12 Schedule IV-C: Information Technology (IT) Costs & Service Requirements  
**IT Service Requirements Worksheet: Electronic Tax and Registration IT Strategic Service**

Sensitive data must be protected in accordance with State and departmental policies; records must be retained to comply with State records retention schedules and policies.

**54. User/customer satisfaction**

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

Yes       No

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

Weekly status meetings are held between DBPR and the contract vendor supporting the PMW/ESI system. Additionally, monthly incident summary reports are issued. Regarding the AB&T system, reporting is tracked monthly; however, reports can be run in real-time by business units.

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

Yes       No

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

54.2.2. 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
No issue in the FY 2011-2012 LBR				

**55. Additional Information**

55.1. 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 through an annual appropriation from the department’s Administrative Trust Fund (ATF).

55.2. 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 ATF is funded by other trust funds within DBPR by way of a detailed cost allocation methodology.

55.3. Other pertinent information related to this service

“Public” in Question 1.3 refers to DBPR licensees using the PMW and AB&T systems.

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

FY 2011-12 Schedule IV-C: Information Technology (IT) Costs & Service Requirements  
**IT Service Requirements Worksheet: Electronic Tax and Registration IT Strategic Service**

Submitted by: **Terry L. Kester, Chief Information Officer**  
 Phone: **850.921.5392**  
 Date submitted: **October 15, 2010**

**2. Electronic Tax and Registration IT Strategic Service**

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	Division of Alcoholic Beverages & Tobacco (AB&T) Electronic Data Submission System	
2	Pari-Mutuel Wagering (PMW) Excise Tax Monitoring System (ESI)	

**56. IT Service Definition**

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

DBPR has the authority to collect tax reports and surcharge information for businesses that meet all applicable statutory and rule requirements. This service includes a web-based application that allows automated calculation of tax obligations and automated audit calculations for those businesses required to file monthly reports. Additionally, an outsourced system monitors and retains historical information for the racing industry.

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

- |  |  |
|--|--|
| <input checked="" type="checkbox"/> Central IT staff                         | <input checked="" type="checkbox"/> Northwood Shared Resource Center |
| <input type="checkbox"/> Program staff                                       | <input type="checkbox"/> Southwood Shared Resource Center            |
| <input type="checkbox"/> Other state agency <i>(non-primary data center)</i> | <input checked="" type="checkbox"/> Northwest Regional Data Center   |
| <input type="checkbox"/> Other External Service Provider <i>(specify)</i>    |  |

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

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

56.4. Please identify the number of users of this service. **315**

56.5. How many locations currently host this service? **2**

**57. Service Unique to Agency**

FY 2011-12 Schedule IV-C: Information Technology (IT) Costs & Service Requirements  
**IT Service Requirements Worksheet: Electronic Tax and Registration IT Strategic Service**

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

57.2. 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

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

DBPR would move to another Primary Data Center.

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

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

58.1. 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:

Formal SLA with NSRC is in progress.

**58.2. Timing and Service Delivery Requirements**

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

58.2.1.1. User-facing components of this IT service (online) **24/7**

58.2.1.2. Back-office-facing components of this IT service (batch and maintenance) **24/7**

58.2.2. 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)? **5 minutes**

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

DBPR would not be able to fulfill its statutory requirements.

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

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

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

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

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

Yes  No

58.2.5.1. If yes, please specify and describe:



FY 2011-12 Schedule IV-C: Information Technology (IT) Costs & Service Requirements  
**IT Service Requirements Worksheet: Electronic Tax and Registration IT Strategic Service**

Sensitive data must be protected in accordance with State and departmental policies; records must be retained to comply with State records retention schedules and policies.

**59. User/customer satisfaction**

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

Yes       No

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

Weekly status meetings are held between DBPR and the contract vendor supporting the PMW/ESI system. Additionally, monthly incident summary reports are issued. Regarding the AB&T system, reporting is tracked monthly; however, reports can be run in real-time by business units.

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

Yes       No

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

59.2.2. 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
No issue in the FY 2011-2012 LBR				

**60. Additional Information**

60.1. 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 through an annual appropriation from the department’s Administrative Trust Fund (ATF).

60.2. 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 ATF is funded by other trust funds within DBPR by way of a detailed cost allocation methodology.

60.3. Other pertinent information related to this service

“Public” in Question 1.3 refers to DBPR licensees using the PMW and AB&T systems.

**Agency Strategic IT Service #16**

Strategic IT Service: **DBPR** Form: Schedule IV-C -Combined v.2011-12

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

	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 <i>(based on Column G64 minus G65)</i>	C Estimated FY 2011-12 Allocation of Recurring Base Budget <i>(based on Column G64 minus G65)</i>	D Planned Increase/Decrease Use of Recurring Base Funding
<b>A. Personnel</b>		0.00		\$0	\$0	\$0	\$0
A-1.1 State FTE		0.00		\$0	\$0	\$0	\$0
A-2.1 OPS FTE		0.00		\$0	\$0	\$0	\$0
A-3.1 Contractor Positions (Staff Augmentation)		0.00		\$0	\$0	\$0	\$0
<b>B. Hardware</b>		0	0	\$0	\$0	\$0	\$0
B-1 Servers - Mainframe		0	0	\$0	\$0	\$0	\$0
B-2 Servers - Non-Mainframe		0	0	\$0	\$0	\$0	\$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
<b>C. Software</b>				\$0	\$0	\$0	\$0
<b>D. External Service Provider(s)</b>		0	0	\$0	\$0	\$0	\$0
<b>E. Other</b> <i>(Please describe in Footnotes Section below)</i>				\$0	\$0	\$0	\$0
<b>F. Total for IT Service</b>				\$0	\$0	\$0	\$0

G. Footnotes - Please be sure to indicate there is a footnote for the corresponding row above. Maximum footnote length is 1024 characters.	
1	
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3	
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Non-Strategic IT Service:		Network Service		Resources				Combined v.2011-12			
Dept/Agency: <b>DBPR</b>		Resources		Apportioned to this							
Prepared by: <b>Terry L. Kester, Chief Information Officer</b>		IT Service in FY 2011		12				Estimated IT Service Costs			
Phone: <b>850-921-5392</b>											
Service Provisioning -- Assets & Resources (Cost Elements)		Footnote Number	Number used for this service	Number w/ costs in FY 2011-12	A	B	C	D			
					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)			
<b>A. Personnel</b>			3.25		\$392,373	\$392,373	\$350,859	-\$41,514			
A-1.1	State FTE	1	2.25		\$194,773	\$194,773	\$153,259	-\$41,514			
A-2.1	OPS FTE		0.00		\$0	\$0	\$0	\$0			
A-3.1	Contractor Positions (Staff Augmentation)	2	1.00		\$197,600	\$197,600	\$197,600	\$0			
<b>B. Hardware</b>				0	\$53,204	\$53,204	\$38,160	-\$15,044			
B-1	Servers	3	0	0	\$0	\$0	\$0	\$0			
B-2	Server Maintenance & Support	3	0	0	\$0	\$0	\$0	\$0			
B-3	Network Devices & Hardware (e.g., routers, switches, hubs, cabling, etc.)	4	135	0	\$53,204	\$53,204	\$38,160	-\$15,044			
B-4	Online Storage for file and print (indicate GB of storage)		0		\$0	\$0	\$0	\$0			
B-5	Archive Storage for file and print (indicate GB of storage)		0		\$0	\$0	\$0	\$0			
B-6	Other Hardware Assets (Please specify in Footnote Section below)				\$0	\$0	\$0	\$0			
<b>C. Software</b>		5			\$10,222	\$10,022	\$14,345	\$4,323			
<b>D. External Service Provider(s)</b>					\$254,122	\$254,122	\$286,350	\$32,228			
D-1	MyFloridaNet				\$254,122	\$254,122	\$286,350	\$32,228			
D-2	Other (Please specify in Footnote Section below)							\$0			
<b>E. Other (Please describe in Footnotes Section below)</b>		6, 7			\$31,065	\$31,065	\$32,014	\$949			
<b>F. Total for IT Service</b>					\$740,986	\$740,786	\$721,728	-\$19,058			
<b>G. Footnotes - Please be sure to indicate there is a footnote for the corresponding row above. Maximum footnote length is 1024 characters.</b>											
1	Includes .25 of Network Manager; .25 of Systems Programming Administrator; 1.25 of Systems Project Consultant; and .5 of Systems Project Analyst										
2	Includes Presidio Consultant Services										
3	DBPR moved all its computing services to the Northwood Shared Resource Center effective 11/30/2010. Consequently, there are no charges associated with servers or server maintenance and support for this service.										
4	Includes router maintenance and support.										
5	Includes network monitoring software.										
6	Includes rent (prorated based on the number of FTE's associated with this service); travel/cellular telephones/desktop telephones/training/HR assessment/risk management insurance										
7	and other ordinary operating expenses.										
8											
9											
10											

Non-Strategic IT Service:		E-Mail, Messaging, and Calendaring Service			Form: FY 2011-12 Schedule IV-C -			
Agency: <b>DBPR</b>		# of Assets & Resources Apportioned to this IT Service in FY 2011-12			Estimated IT Service Costs			
Prepared by: <b>Terry L. Kester, Chief Information Officer</b>					A	B	C	D
Phone: <b>850-921-5392</b>					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)
Service Provisioning -- Assets & Resources (Cost Elements)		Footnote Number	Number used for this service	Number w/ costs in FY 2011-12				
<b>A. Personnel</b>			0.50		\$25,696	\$34,967	\$34,967	\$0
A-1	State FTE	1	0.50		\$25,696	\$34,967	\$34,967	\$0
A-2	OPS FTE		0.00		\$0	\$0	\$0	\$0
A-3	Contractor Positions (Staff Augmentation)		0.00		\$0	\$0	\$0	\$0
<b>B. Hardware</b>					\$0	\$0	\$24,450	\$24,450
B-1	Servers	2	0	0	\$0	\$0	\$0	\$0
B-2	Server Maintenance & Support	2	0	0	\$0	\$0	\$0	\$0
B-3	Wireless Communication Devices (e.g., Blackberries, I-phones, PDAs, etc.)	3	163	163	\$0	\$0	\$24,450	\$24,450
B-4	Online Storage (indicate GB of storage)	4	0		\$0	\$0	\$0	\$0
B-5	Archive Storage (indicate GB of storage)	5	0		\$0	\$0	\$0	\$0
B-6	Other Hardware Assets (Please specify in Footnote Section below)				\$0	\$0	\$0	\$0
<b>C. Software</b>		6			\$12,364	\$42,193	\$42,193	\$0
<b>D. External Service Provider(s)</b>					\$127,380	\$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)				\$127,380	\$0	\$0	\$0
<b>E. Other (Please describe in Footnotes Section below)</b>		7, 8			\$8,050	\$5,727	\$6,034	\$307
<b>F. Total for IT Service</b>					<b>\$173,490</b>	<b>\$82,887</b>	<b>\$107,644</b>	<b>\$24,757</b>
<b>G. Administrative Overhead - Percentage of Other Non-Strategic IT Service Costs Supporting Email Service</b>								
Non-Strategic Service		Footnote	%	Cost	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.			
OT-1	Network							
OT-2	Desktop IT Service		0.00%					
OT-3	Help Desk	9	3.00%	\$ 11,513				
OT-4	IT Security & Risk Mitigation							
OT-5	IT Administration & Management							
SUBTOTAL				\$ 11,513				
<b>Fully-loaded IT Service Cost</b>				<b>\$</b>	<b>119,157</b>			
<b>H. Footnotes - Please be sure to indicate there is a footnote for the corresponding row above. Maximum footnote length is 1024 characters.</b>								
1	Includes .5 of a Systems Project Consultant.							
2	DBPR has moved all its computing services to the Northwood Shared Resource Center effective 11/30/2010. Consequently, there are no charges associated with servers or server maintenance and support for this service.							
3	All Blackberries will be upgraded during FY 2011-2012 at an expected cost of \$150 per blackberry.							
4	This is all part of the department's Data Center Consolidation Project and is included in the Data Center Service Worksheet cost estimates for NSRC and NWRDC.							
5	This is all part of the department's Data Center Consolidation Project and is included in the Data Center Service Worksheet cost estimates for NSRC and NWRDC.							
6	Includes List Manager, IronPort, Blackberry Tsupport, and Vault Journaling.							
7	Includes rent (prorated based on the number of FTE's associated with this service); travel/cellular telephones/desktop telephones/training/HR assessment/risk management insurance							
8	and other ordinary operating expenses.							
9	This percentage is based on FY 2009-2010 Remedy Ticket counts. 468 related tickets/13,977 total tickets = .033 or 3%							

# Desktop Computing Service

Agency: **DBPR**

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

Phone: **850-921-5392**

# of Assets & Resources Apportioned to this IT Service in FY 2011-12

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	B	C	D
				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)
<b>A. Personnel</b>		4.25		\$248,404	\$248,404	\$246,010	-\$2,394
A-1 State FTE	1	3.50		\$228,924	\$228,924	\$220,264	-\$8,660
A-2 OPS FTE	2	0.75		\$19,480	\$19,480	\$25,746	\$6,266
A-3 Contractor Positions (Staff Augmentation)		0.00		\$0	\$0	\$0	\$0
<b>B. Hardware</b>		2299	714	\$295,802	\$295,802	\$575,307	\$279,505
B-1 Servers		0	0	\$0	\$0	\$0	\$0
B-2 Server Maintenance & Support		0	0	\$0	\$0	\$0	\$0
B-3.1 Desktop Computers	3	1853	633	\$244,602	\$244,602	\$493,107	\$248,505
B-3.2 Mobile Computers (e.g., Laptop, Notebook, Handheld, Wireless Computer)	4	302	75	\$44,000	\$44,000	\$75,000	\$31,000
B-3.3 Other Hardware Assets (Please specify in Footnote Section below)	5	144	6	\$7,200	\$7,200	\$7,200	\$0
<b>C. Software</b>	6			\$13,769	\$13,769	\$13,703	-\$66
<b>D. External Service Provider(s)</b>	7	3	3	\$4,678	\$4,678	\$18,591	\$13,913
<b>E. Other (Please describe in Footnotes Section below)</b>	8, 9			\$43,427	\$43,427	\$45,882	\$2,455
<b>F. Total for IT Service</b>				<b>\$606,080</b>	<b>\$606,080</b>	<b>\$899,493</b>	<b>\$293,413</b>

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

1	Includes .25 of a systems Programming Administrator; .5 of a Systems Project Administrator; 2.25 Systems Project Analysts; and .5 of a Network Systems Analyst.
2	DBPR Desktop Computing and Helpdesk Services share one full time and one part time OPS staff. .75 staff are associated with each service for this exercise.
3	Includes refresh of 633 desktops in 2011-2012 at approximately \$779 each.
4	Includes refresh of 75 laptops at approximately \$1,000 each.
5	Includes 143 network printers and 1 UPS. It is estimated that we will be replacing 6 network printers in FY 2011-2012 at a cost of \$1,200 each.
6	Includes Pointsec, Uniprint, and VMWare
7	Includes copier lease and videoconferencing service.
8	Includes rent (prorated based on the number of FTE's associated with this service); travel/cellular telephones/desktop telephones/training/HR assessment/risk management insurance
9	and other ordinary operating expenses.
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# Helpdesk Service

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

# of Assets & Resources  
 Apportioned to this IT Service  
 in FY 2011-12

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 of Recurring Base Funding (Columns C - B)
<b>A. Personnel</b>		4.50		\$248,404	\$248,404	\$260,038	\$11,634
A-1 State FTE	1	3.75		\$228,924	\$228,924	\$234,292	\$5,368
A-2 OPS FTE	2	0.75		\$19,480	\$19,480	\$25,746	\$6,266
A-3 Contractor Positions (Staff Augmentation)		0.00		\$0	\$0	\$0	\$0
<b>B. Hardware</b>		0	0	\$0	\$0	\$0	\$0
B-1 Servers		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
<b>C. Software</b>	3			\$24,826	\$24,826	\$24,826	\$0
<b>D. External Service Provider(s)</b>	4	0	0	\$50,000	\$50,000	\$50,000	\$0
<b>E. Other (Please describe in Footnotes Section below)</b>	5, 6			\$43,427	\$43,427	\$48,899	\$5,472
<b>F. Total for IT Service</b>				<b>\$316,657</b>	<b>\$366,657</b>	<b>\$383,763</b>	<b>\$17,106</b>

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

1	Includes .25 of a Systems Programming Administrator; .5 of a Systems Project Administrator; 2.5 Systems Project Analyst; and .5 of a Network Systems Analyst.
2	DBPR Desktop Computing and Helpdesk Service share one full time and one part time OPS staff. .75 staff are associated with each service for this exercise.
3	Annual maintenance for client helpdesk/trouble ticket reporting software (Remedy)
4	Includes license renewal for maintenance of PCs and printers that are outside of warranty period.
5	Includes rent (prorated based on the number of FTE's associated with this service); travel/cellular telephones/desktop telephones/training/HR assessment/risk management insurance
6	and other ordinary operating expenses.
7	PLEASE NOTE: The embedded formulat in section F, column A is not picking up all reported costs.
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Non-Strategic IT Service:

# IT Security/Risk Mitigation Service

Agency: **DBPR**

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

Phone: **850-921-5392**

# of Assets & Resources Apportioned to this IT Service in FY 2011-12

Form: FY 2011-12 Schedule IV-C -

Service Provisioning -- Assets & Resources (Cost Elements)	Footnote Number	Number used for this service	Number w/ costs in FY 2011-12	Estimated IT Service Costs			
				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)
<b>A. Personnel</b>		0.75		\$63,218	\$63,218	\$63,200	-\$18
A-1 State FTE	1	0.75		\$63,218	\$63,218	\$63,200	-\$18
A-2 OPS FTE		0.00		\$0	\$0	\$0	\$0
A-3 Contractor Positions (Staff Augmentation)		0.00		\$0	\$0	\$0	\$0
<b>B. Hardware</b>		0	0	\$0	\$0	\$0	\$0
B-1 Servers		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
<b>C. Software</b>	2			\$62,549	\$62,549	\$49,891	-\$12,658
<b>D. External Service Provider(s)</b>	3, 4	0	0	\$21,600	\$21,600	\$38,239	\$16,639
<b>E. Other (Please describe in Footnotes Section below)</b>	5, 6			\$8,051	\$8,051	\$9,050	\$999
<b>F. Total for IT Service</b>				<b>\$155,418</b>	<b>\$155,418</b>	<b>\$160,380</b>	<b>\$4,962</b>

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

1	Includes .75 of a Systems Programming Administrator position.
2	Annual subscription for Nexpose IP License, IronPort Support, McAfee Total Protection, GFI LANguard, and GFI Events Manager.
3	Includes quarterly Payment Card Industry (PCI) compliance scans; semi-annual Halon Fire System inspections; and satellite phones. During FY 2011-2012, DBPR will conduct a full PCI compliance assessment based on the
4	consolidation of our data centers during FY 2010-2011.
5	Includes rent (prorated based on the number of FTE's associated with this service); travel/cellular telephones/desktop telephones/training/HR assessment/risk management insurance
6	and other ordinary operating expenses.
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Non-Strategic IT Service:

# Agency Financial and Administrative Systems Support Service

Agency: **DBPR**

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

Phone: **850-921-5392**

# of Assets & Resources Apportioned to this IT Service in FY 2011-12

Form: FY 2011-12 Schedule IV-C -

Service Provisioning -- Assets & Resources (Cost Elements)	Footnote Number	Number used for this service	Number w/ costs in FY 2011-12	Estimated IT Service Costs			
				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)
<b>A. Personnel</b>		0.50		\$46,921	\$46,921	\$46,907	-\$14
A-1 State FTE	1	0.50		\$46,921	\$46,921	\$46,907	-\$14
A-2 OPS FTE		0.00		\$0	\$0	\$0	\$0
A-3 Contractor Positions (Staff Augmentation)		0.00		\$0	\$0	\$0	\$0
<b>B. Hardware</b>		0	0	\$0	\$0	\$0	\$0
B-1 Servers		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
<b>C. Software</b>	2			\$0	\$0	\$0	\$0
<b>D. External Service Provider(s)</b>		0	0	\$0	\$0	\$0	\$0
<b>E. Other (Please describe in Footnotes Section below)</b>	3, 4			\$5,368	\$5,368	\$6,034	\$666
<b>F. Total for IT Service</b>				\$52,289	\$52,289	\$52,941	\$652

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

1	Includes .5 of Systems Programming Administrator position.
2	The software used in developing/maintaining these applications is the same used in agency strategic programs.
3	Includes rent (prorated based on the number of FTE's associated with this service); travel/cellular telephones/desktop telephones/training/HR assessment/risk management insurance
4	and other ordinary operating expenses.
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Non-Strategic IT Service:

# IT Administration and Management Service

Agency: **DBPR**

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

Phone: **850-921-5392**

# of Assets & Resources Apportioned to this IT Service in FY 2011-12

Form: FY 2011-12 Schedule IV-C -

Service Provisioning -- Assets & Resources (Cost Elements)	Footnote Number	Number used for this service	Number w/ costs in FY 2011-12	Estimated IT Service Costs			
				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)
<b>A. Personnel</b>		2.25		\$194,290	\$194,290	\$195,592	\$1,302
A-1 State FTE	1	2.25		\$194,290	\$194,290	\$195,592	\$1,302
A-2 OPS FTE		0.00		\$0	\$0	\$0	\$0
A-3 Contractor Positions (Staff Augmentation)		0.00		\$0	\$0	\$0	\$0
<b>B. Hardware</b>		0	0	\$0	\$0	\$0	\$0
B-1 Servers		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
<b>C. Software</b>				\$300	\$300	\$0	-\$300
<b>D. External Service Provider(s)</b>	2	0	0	\$45,410	\$45,410	\$57,630	\$12,220
<b>E. Other (Please describe in Footnotes Section below)</b>	3, 4			\$24,154	\$24,154	\$27,151	\$2,997
<b>F. Total for IT Service</b>				<b>\$264,154</b>	<b>\$264,154</b>	<b>\$280,373</b>	<b>\$16,219</b>

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

1	Includes .25 of the CIO position; .25 of a Senior Management Analyst II; .5 of an OMC; .5 of an Administrative Assistant II; and .75 of IT Business Consultant Managers.
2	Includes Gartner, DBPR client survey provider and FEDEX.
3	Includes rent (prorated based on the number of FTE's associated with this service); travel/cellular telephones/desktop telephones/training/HR assessment/risk management insurance
4	and other ordinary operating expenses.
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Non-Strategic IT Service:

# Portal/Web Management Service

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

Dept/Agency: **DBPR**

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

Phone: **850-921-5392**

# of Assets & Resources Apportioned to this IT Service in FY 2011-12

Service Provisioning -- Assets & Resources (Cost Elements)

	Footnote Number	Number used for this service	Number w/ costs in FY 2011-12	Estimated IT Service Costs			
				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
<b>A. Personnel</b>		1.25		\$0	\$0	\$86,310	\$86,310
A-1.1 <b>State FTE</b>	1	1.25		\$0	\$0	\$86,310	\$86,310
A-2.1 <b>OPS FTE</b>		0.00		\$0	\$0	\$0	\$0
A-3.1 <b>Contractor Positions (Staff Augmentation)</b>		0.00		\$0	\$0	\$0	\$0
<b>B. Hardware</b>				\$0	\$0	\$0	\$0
B-1 <b>Servers</b>		0	0	\$0	\$0	\$0	\$0
B-2 <b>Server Maintenance &amp; Support</b>		0	0	\$0	\$0	\$0	\$0
B-3 <b>Other Hardware Assets (Please specify in Footnotes Section below)</b>		0	0	\$0	\$0	\$0	\$0
<b>C. Software</b>	2			\$0	\$0	\$4,200	\$4,200
<b>D. External Service Provider(s)</b>		0	0	\$0	\$0	\$0	\$0
<b>E. Other (Please describe in Footnotes Section below)</b>	3, 4			\$0	\$0	\$15,084	\$15,084
<b>F. Total for IT Service</b>				<b>\$0</b>	<b>\$0</b>	<b>\$105,594</b>	<b>\$105,594</b>

G.	Footnotes - Please be sure to indicate there is a footnote for the corresponding row above. Maximum footnote length is 1024 characters.
1	Includes .5 of a Systems Programming Consultant; .5 of a Systems Project Consultant; and .25 of a Systems Project Analyst.
2	Includes renewal of WebDir4 maintenance support.
3	Includes rent (prorated based on the number of FTE's associated with this service); travel/cellular telephones/desktop telephones/training/HR assessment/risk management insurance
4	and other ordinary operating expenses.
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Non-Strategic IT Service: **Data Center Service**

Dept/Agency: **DBPR**

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

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

Phone: **850-921-5392**

# of Assets & Resources Apportioned to this IT Service in FY 2011-12

Estimated IT Service Costs

Service Provisioning -- Assets & Resources (Cost Elements)	Footnote Number	# of Assets & Resources Apportioned to this IT Service in FY 2011-12		A Initial Estimate for Fiscal Year 2010-11 (if submitted)	Estimated IT Service Costs		D Planned Increase/Decrease Use of Recurring Base Funding
		Number used for this service	Number w/ costs in FY 2011-12		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)	
<b>A. Personnel</b> (performing data center functions defined in w. 282.201(2)(d)1.e., F.S.)			0.00	\$0	\$0	\$0	\$0
A-1.1 State FTE			0.00	\$0	\$0	\$0	\$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
Calculated total non-mainframe servers from all IV-C services	0			\$0	\$0	\$0	\$0
Calculated total mainframes from all IV-C services	0						
<b>B. Hardware</b>							
B-1 Non-Mainframe Servers (including single-function logical servers not assigned to another service)			0	\$0	\$0	\$0	\$0
B-2 Servers - Mainframe			0	\$0	\$0	\$0	\$0
B-3 Server Maintenance & Support			0	\$0	\$0	\$0	\$0
B-4 Online or Archival Storage Systems (indicate GB of storage)			0	\$0	\$0	\$0	\$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
<b>C. Software</b>				\$0	\$0	\$0	\$0
<b>D. External Service Provider(s)</b>				\$0	\$613,736	\$1,032,570	\$418,834
D-1 Southwood Shared Resource Center (indicate # of Board votes)	1		0	\$0	\$5,000	\$5,000	\$0
D-2 Northwood Shared Resource Center (indicate # of Board votes)	2		1	\$0	\$585,696	\$1,004,050	\$418,354
D-3 Northwest Regional Data Center (indicate # of Board votes)	3		0	\$0	\$23,040	\$23,520	\$480
D-4 Other Data Center External Service Provider (specify in Footnotes below)				\$0	\$0	\$0	\$0
<b>E. Plant &amp; Facility</b>			Total	Est Utilized	\$0	\$0	\$0
E-1 Agency Data Center (indicate total square feet)			0	0	\$0	\$0	\$0
E-2 Computing Facilities (indicate total square feet)			0	0	\$0	\$0	\$0
E-3 Office Space (indicate total square feet)	4		0	0	\$0	\$0	\$0
E-4 Backup Generator, Power Distribution Units, UPS, etc. (indicate capacity in KW)			0	0	\$0	\$0	\$0
E-5 Utilities (e.g., electricity and water) (estimated total annual KWH)			0		\$0	\$0	\$0
E-6 Environmentals (e.g., HVAC, fire control, and physical security)					\$0	\$0	\$0
E-7 Other (please specify in Footnotes Section below)					\$0	\$0	\$0
<b>F. Other</b> (Please describe in Footnotes Section below)				\$0	\$0	\$0	\$0
<b>G. Total for IT Service</b>				\$0	\$613,736	\$1,032,570	\$418,834
<b>H. Footnotes</b> - Please be sure to indicate there is a footnote for the corresponding row above. Maximum footnote length is 1024 characters.							
1	DBPR receives FTP services from SSRC.						
2	Data Center Consolidation will be finalized for the Department of Business and Professional Regulation on November 30, 2010. Cost for FY 2011-2012 reflects annualized estimates received from NSRC. DBPR has one Board vote for FY 2010-2011						
3	Hosting services for DBPR disaster recovery environment including power.						
4	12 single servers are located in remote sites. However, they reside in telecon closets with other equipment and incur no associated cost.						
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**Strategic IT Service: Licensing and Regulatory IT Strategic Service**

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

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

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
<b>A. Personnel</b>		38.50		\$0	\$0	\$3,198,183	\$3,198,183
A-1.1 <b>State FTE</b>		35.50		\$0	\$0	\$2,598,183	\$2,598,183
A-2.1 <b>OPS FTE</b>		0.00		\$0	\$0	\$0	\$0
A-3.1 <b>Contractor Positions (Staff Augmentation)</b>	1	3.00		\$0	\$0	\$600,000	\$600,000
<b>B. Hardware</b>		0	0	\$0	\$0	\$52,217	\$52,217
B-1 <b>Servers - Mainframe</b>		0	0	\$0	\$0	\$0	\$0
B-2 <b>Servers - Non-Mainframe</b>	2	0	0	\$0	\$0	\$0	\$0
B-3 <b>Server Maintenance &amp; Support</b>	2			\$0	\$0	\$0	\$0
B-4 <b>Other Hardware Assets (e.g., system mgt workstation, printers, UPS)</b>	3			\$0	\$0	\$52,217	\$52,217
<b>C. Software</b>	4			\$0	\$0	\$1,236,884	\$1,236,884
<b>D. External Service Provider(s)</b>	5	0	0	\$0	\$0	\$88,411	\$88,411
<b>E. Other (Please describe in Footnotes Section below)</b>	6, 7			\$0	\$0	\$442,971	\$442,971
<b>F. Total for IT Service</b>				<b>\$0</b>	<b>\$0</b>	<b>\$5,018,666</b>	<b>\$5,018,666</b>
<b>G. Footnotes - Please be sure to indicate there is a footnote for the corresponding row above. Maximum footnote length is 1024 characters.</b>							
1	DBPR requires the services of contractors to augment staff on the many projects that are handled by the Division of Technology throughout the course of a fiscal year.						
2	In accordance with the Data Center Consolidation Project, DBPR transitioned all servers to the Northwood Shared Resource Center effective November 30, 2010.						
3	Includes printer and scanner maintenance and support services.						
4	Includes all strategic software such as licenses for document management, Oracle, Crystal Reports, SQL, Unix, SeeBeyond, Versa: Regulation, and Versa: Online.						
5	Includes UPS maintenance renewal, Microsoft Premier, generator maintenance and fuel, vpn certificate, and myfloridalicense.com Verisign certificate.						
6	Includes rent (prorated based on the number of FTE's associated with this service): travel/cellular telephones/desktop telephones/training/HR assessment/risk management insurance						
7	and other ordinary operating expenses.						
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**Strategic IT Service: Electronic Tax and Registration IT Strategic Service**

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

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

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
<b>A. Personnel</b>			3.75		\$0	\$0	\$306,728	\$306,728
A-1.1	State FTE		3.75		\$0	\$0	\$306,728	\$306,728
A-2.1	OPS FTE		0.00		\$0	\$0	\$0	\$0
A-3.1	Contractor Positions (Staff Augmentation)		0.00		\$0	\$0	\$0	\$0
<b>B. Hardware</b>			0	0	\$0	\$0	\$0	\$0
B-1	Servers - Mainframe		0	0	\$0	\$0	\$0	\$0
B-2	Servers - Non-Mainframe		0	0	\$0	\$0	\$0	\$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
<b>C. Software</b>		1			\$0	\$0	\$1,250	\$1,250
<b>D. External Service Provider(s)</b>			0	0	\$0	\$0	\$0	\$0
<b>E. Other (Please describe in Footnotes Section below)</b>		2, 3			\$0	\$0	\$45,252	\$45,252
<b>F. Total for IT Service</b>					\$0	\$0	\$353,230	\$353,230

G. Footnotes - Please be sure to indicate there is a footnote for the corresponding row above. Maximum footnote length is 1024 characters.	
1	Includes escrow agreement payment for PMW ESI system.
2	Includes rent (prorated based on the number of FTE's associated with this service); travel/cellular telephones/desktop telephones/training/HR assessment/risk management insurance
3	and other ordinary operating expenses.
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**Strategic IT Service: Agency Strategic IT Service #3**

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

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

Service Provisioning -- Assets & Resources <i>(Cost Elements)</i>		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 <i>(based on Column G64 minus G65)</i>	C Estimated FY 2011-12 Allocation of Recurring Base Budget <i>(based on Column G64 minus G65)</i>	D Planned Increase/Decrease Use of Recurring Base Funding
<b>A. Personnel</b>			0.00		\$0	\$0	\$0	\$0
A-1.1	State FTE		0.00		\$0	\$0	\$0	\$0
A-2.1	OPS FTE		0.00		\$0	\$0	\$0	\$0
A-3.1	Contractor Positions (Staff Augmentation)		0.00		\$0	\$0	\$0	\$0
<b>B. Hardware</b>			0	0	\$0	\$0	\$0	\$0
B-1	Servers - Mainframe		0	0	\$0	\$0	\$0	\$0
B-2	Servers - Non-Mainframe		0	0	\$0	\$0	\$0	\$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
<b>C. Software</b>					\$0	\$0	\$0	\$0
<b>D. External Service Provider(s)</b>			0	0	\$0	\$0	\$0	\$0
<b>E. Other</b> <i>(Please describe in Footnotes Section below)</i>					\$0	\$0	\$0	\$0
<b>F. Total for IT Service</b>					\$0	\$0	\$0	\$0
<b>G. Footnotes</b> - Please be sure to indicate there is a footnote for the corresponding row above. Maximum footnote length is 1024 characters.								
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**Agency Strategic IT Service #4**

Strategic IT Service: **DBPR** Form: Schedule IV-C -Combined v.2011-12

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

Service Provisioning -- Assets & Resources <small>(Cost Elements)</small>	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 <small>(based on Column G64 minus G65)</small>	C Estimated FY 2011-12 Allocation of Recurring Base Budget <small>(based on Column G64 minus G65)</small>	D Planned Increase/Decrease Use of Recurring Base Funding
<b>A. Personnel</b>		0.00		\$0	\$0	\$0	\$0
A-1.1 State FTE		0.00		\$0	\$0	\$0	\$0
A-2.1 OPS FTE		0.00		\$0	\$0	\$0	\$0
A-3.1 Contractor Positions (Staff Augmentation)		0.00		\$0	\$0	\$0	\$0
<b>B. Hardware</b>		0	0	\$0	\$0	\$0	\$0
B-1 Servers - Mainframe		0	0	\$0	\$0	\$0	\$0
B-2 Servers - Non-Mainframe		0	0	\$0	\$0	\$0	\$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
<b>C. Software</b>				\$0	\$0	\$0	\$0
<b>D. External Service Provider(s)</b>		0	0	\$0	\$0	\$0	\$0
<b>E. Other</b> <small>(Please describe in Footnotes Section below)</small>				\$0	\$0	\$0	\$0
<b>F. Total for IT Service</b>				\$0	\$0	\$0	\$0

G. Footnotes	<small>Please be sure to indicate there is a footnote for the corresponding row above. Maximum footnote length is 1024 characters.</small>
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**Strategic IT Service: Agency Strategic IT Service #5**

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

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

Service Provisioning -- Assets & Resources <small>(Cost Elements)</small>		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 <small>(based on Column G64 minus G65)</small>	C Estimated FY 2011-12 Allocation of Recurring Base Budget <small>(based on Column G64 minus G65)</small>	D Planned Increase/Decrease Use of Recurring Base Funding
<b>A. Personnel</b>			0.00		\$0	\$0	\$0	\$0
A-1.1	State FTE		0.00		\$0	\$0	\$0	\$0
A-2.1	OPS FTE		0.00		\$0	\$0	\$0	\$0
A-3.1	Contractor Positions (Staff Augmentation)		0.00		\$0	\$0	\$0	\$0
<b>B. Hardware</b>			0	0	\$0	\$0	\$0	\$0
B-1	Servers - Mainframe		0	0	\$0	\$0	\$0	\$0
B-2	Servers - Non-Mainframe		0	0	\$0	\$0	\$0	\$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
<b>C. Software</b>					\$0	\$0	\$0	\$0
<b>D. External Service Provider(s)</b>			0	0	\$0	\$0	\$0	\$0
<b>E. Other</b> <small>(Please describe in Footnotes Section below)</small>					\$0	\$0	\$0	\$0
<b>F. Total for IT Service</b>					\$0	\$0	\$0	\$0
<b>G. Footnotes</b> - Please be sure to indicate there is a footnote for the corresponding row above. Maximum footnote length is 1024 characters.								
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**Agency Strategic IT Service #6**

Strategic IT Service: **DBPR** Form: Schedule IV-C -Combined v.2011-12

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

Service Provisioning -- Assets & Resources <small>(Cost Elements)</small>		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 <small>(based on Column G64 minus G65)</small>	C Estimated FY 2011-12 Allocation of Recurring Base Budget <small>(based on Column G64 minus G65)</small>	D Planned Increase/Decrease Use of Recurring Base Funding
<b>A. Personnel</b>			0.00		\$0	\$0	\$0	\$0
A-1.1	State FTE		0.00		\$0	\$0	\$0	\$0
A-2.1	OPS FTE		0.00		\$0	\$0	\$0	\$0
A-3.1	Contractor Positions (Staff Augmentation)		0.00		\$0	\$0	\$0	\$0
<b>B. Hardware</b>			0	0	\$0	\$0	\$0	\$0
B-1	Servers - Mainframe		0	0	\$0	\$0	\$0	\$0
B-2	Servers - Non-Mainframe		0	0	\$0	\$0	\$0	\$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
<b>C. Software</b>					\$0	\$0	\$0	\$0
<b>D. External Service Provider(s)</b>			0	0	\$0	\$0	\$0	\$0
<b>E. Other</b> <small>(Please describe in Footnotes Section below)</small>					\$0	\$0	\$0	\$0
<b>F. Total for IT Service</b>						\$0	\$0	\$0
<b>G. Footnotes</b> - Please be sure to indicate there is a footnote for the corresponding row above. Maximum footnote length is 1024 characters.								
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**Strategic IT Service: Agency Strategic IT Service #7**

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

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

Service Provisioning -- Assets & Resources <i>(Cost Elements)</i>		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 <i>(based on Column G64 minus G65)</i>	C Estimated FY 2011-12 Allocation of Recurring Base Budget <i>(based on Column G64 minus G65)</i>	D Planned Increase/Decrease Use of Recurring Base Funding
<b>A. Personnel</b>			0.00		\$0	\$0	\$0	\$0
A-1.1	State FTE		0.00		\$0	\$0	\$0	\$0
A-2.1	OPS FTE		0.00		\$0	\$0	\$0	\$0
A-3.1	Contractor Positions (Staff Augmentation)		0.00		\$0	\$0	\$0	\$0
<b>B. Hardware</b>			0	0	\$0	\$0	\$0	\$0
B-1	Servers - Mainframe		0	0	\$0	\$0	\$0	\$0
B-2	Servers - Non-Mainframe		0	0	\$0	\$0	\$0	\$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
<b>C. Software</b>					\$0	\$0	\$0	\$0
<b>D. External Service Provider(s)</b>			0	0	\$0	\$0	\$0	\$0
<b>E. Other</b> <i>(Please describe in Footnotes Section below)</i>					\$0	\$0	\$0	\$0
<b>F. Total for IT Service</b>					\$0	\$0	\$0	\$0
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**Strategic IT Service: Agency Strategic IT Service #8**

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

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

Service Provisioning -- Assets & Resources <i>(Cost Elements)</i>		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 <i>(based on Column G64 minus G65)</i>	C Estimated FY 2011-12 Allocation of Recurring Base Budget <i>(based on Column G64 minus G65)</i>	D Planned Increase/Decrease Use of Recurring Base Funding
<b>A. Personnel</b>			0.00		\$0	\$0	\$0	\$0
A-1.1	State FTE		0.00		\$0	\$0	\$0	\$0
A-2.1	OPS FTE		0.00		\$0	\$0	\$0	\$0
A-3.1	Contractor Positions (Staff Augmentation)		0.00		\$0	\$0	\$0	\$0
<b>B. Hardware</b>			0	0	\$0	\$0	\$0	\$0
B-1	Servers - Mainframe		0	0	\$0	\$0	\$0	\$0
B-2	Servers - Non-Mainframe		0	0	\$0	\$0	\$0	\$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
<b>C. Software</b>					\$0	\$0	\$0	\$0
<b>D. External Service Provider(s)</b>			0	0	\$0	\$0	\$0	\$0
<b>E. Other</b> <i>(Please describe in Footnotes Section below)</i>					\$0	\$0	\$0	\$0
<b>F. Total for IT Service</b>					\$0	\$0	\$0	\$0
<b>G. Footnotes</b> - Please be sure to indicate there is a footnote for the corresponding row above. Maximum footnote length is 1024 characters.								
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**Strategic IT Service: Agency Strategic IT Service #9**

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

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

Service Provisioning -- Assets & Resources <small>(Cost Elements)</small>		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 <small>(based on Column G64 minus G65)</small>	C Estimated FY 2011-12 Allocation of Recurring Base Budget <small>(based on Column G64 minus G65)</small>	D Planned Increase/Decrease Use of Recurring Base Funding
<b>A. Personnel</b>			0.00		\$0	\$0	\$0	\$0
A-1.1	State FTE		0.00		\$0	\$0	\$0	\$0
A-2.1	OPS FTE		0.00		\$0	\$0	\$0	\$0
A-3.1	Contractor Positions (Staff Augmentation)		0.00		\$0	\$0	\$0	\$0
<b>B. Hardware</b>			0	0	\$0	\$0	\$0	\$0
B-1	Servers - Mainframe		0	0	\$0	\$0	\$0	\$0
B-2	Servers - Non-Mainframe		0	0	\$0	\$0	\$0	\$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
<b>C. Software</b>					\$0	\$0	\$0	\$0
<b>D. External Service Provider(s)</b>			0	0	\$0	\$0	\$0	\$0
<b>E. Other</b> <small>(Please describe in Footnotes Section below)</small>					\$0	\$0	\$0	\$0
<b>F. Total for IT Service</b>					\$0	\$0	\$0	\$0
<b>G. Footnotes</b> - Please be sure to indicate there is a footnote for the corresponding row above. Maximum footnote length is 1024 characters.								
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**Strategic IT Service: Agency Strategic IT Service #10**

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

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

Service Provisioning -- Assets & Resources <i>(Cost Elements)</i>		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 <i>(based on Column G64 minus G65)</i>	C Estimated FY 2011-12 Allocation of Recurring Base Budget <i>(based on Column G64 minus G65)</i>	D Planned Increase/Decrease Use of Recurring Base Funding
<b>A. Personnel</b>			0.00		\$0	\$0	\$0	\$0
A-1.1	State FTE		0.00		\$0	\$0	\$0	\$0
A-2.1	OPS FTE		0.00		\$0	\$0	\$0	\$0
A-3.1	Contractor Positions (Staff Augmentation)		0.00		\$0	\$0	\$0	\$0
<b>B. Hardware</b>			0	0	\$0	\$0	\$0	\$0
B-1	Servers - Mainframe		0	0	\$0	\$0	\$0	\$0
B-2	Servers - Non-Mainframe		0	0	\$0	\$0	\$0	\$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
<b>C. Software</b>					\$0	\$0	\$0	\$0
<b>D. External Service Provider(s)</b>			0	0	\$0	\$0	\$0	\$0
<b>E. Other</b> <i>(Please describe in Footnotes Section below)</i>					\$0	\$0	\$0	\$0
<b>F. Total for IT Service</b>					\$0	\$0	\$0	\$0
<b>G. Footnotes</b> - Please be sure to indicate there is a footnote for the corresponding row above. Maximum footnote length is 1024 characters.								
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**Agency Strategic IT Service #11**

Strategic IT Service: **DBPR** Form: Schedule IV-C -Combined v.2011-12

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

Service Provisioning -- Assets & Resources <small>(Cost Elements)</small>	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 <small>(based on Column G64 minus G65)</small>	C Estimated FY 2011-12 Allocation of Recurring Base Budget <small>(based on Column G64 minus G65)</small>	D Planned Increase/Decrease Use of Recurring Base Funding
<b>A. Personnel</b>		0.00		\$0	\$0	\$0	\$0
A-1.1 State FTE		0.00		\$0	\$0	\$0	\$0
A-2.1 OPS FTE		0.00		\$0	\$0	\$0	\$0
A-3.1 Contractor Positions (Staff Augmentation)		0.00		\$0	\$0	\$0	\$0
<b>B. Hardware</b>		0	0	\$0	\$0	\$0	\$0
B-1 Servers - Mainframe		0	0	\$0	\$0	\$0	\$0
B-2 Servers - Non-Mainframe		0	0	\$0	\$0	\$0	\$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
<b>C. Software</b>				\$0	\$0	\$0	\$0
<b>D. External Service Provider(s)</b>		0	0	\$0	\$0	\$0	\$0
<b>E. Other</b> <small>(Please describe in Footnotes Section below)</small>				\$0	\$0	\$0	\$0
<b>F. Total for IT Service</b>				\$0	\$0	\$0	\$0

G. Footnotes - Please be sure to indicate there is a footnote for the corresponding row above. Maximum footnote length is 1024 characters.
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**Strategic IT Service: Agency Strategic IT Service #12**

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

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

Service Provisioning -- Assets & Resources <small>(Cost Elements)</small>		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 <small>(based on Column G64 minus G65)</small>	C Estimated FY 2011-12 Allocation of Recurring Base Budget <small>(based on Column G64 minus G65)</small>	D Planned Increase/Decrease Use of Recurring Base Funding
<b>A. Personnel</b>			0.00		\$0	\$0	\$0	\$0
A-1.1	State FTE		0.00		\$0	\$0	\$0	\$0
A-2.1	OPS FTE		0.00		\$0	\$0	\$0	\$0
A-3.1	Contractor Positions (Staff Augmentation)		0.00		\$0	\$0	\$0	\$0
<b>B. Hardware</b>			0	0	\$0	\$0	\$0	\$0
B-1	Servers - Mainframe		0	0	\$0	\$0	\$0	\$0
B-2	Servers - Non-Mainframe		0	0	\$0	\$0	\$0	\$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
<b>C. Software</b>					\$0	\$0	\$0	\$0
<b>D. External Service Provider(s)</b>			0	0	\$0	\$0	\$0	\$0
<b>E. Other</b> <small>(Please describe in Footnotes Section below)</small>					\$0	\$0	\$0	\$0
<b>F. Total for IT Service</b>					\$0	\$0	\$0	\$0
<b>G. Footnotes</b> - Please be sure to indicate there is a footnote for the corresponding row above. Maximum footnote length is 1024 characters.								
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Strategic IT Service: <b>Agency Strategic IT Service #13</b>					Form: Schedule IV-C -Combined v.2011-12						
Dept/Agency: <b>DBPR</b> Prepared by: <b>Terry L. Kester, Chief Information Officer</b> Phone: <b>850-921-5392</b>					# of Assets & Resources apportioned to this IT Service		Estimated IT Service Costs				
Service Provisioning -- Assets & Resources (Cost Elements)			Footnote Number	Number used for this service			Number w/ costs in FY 2011-12	<b>A</b>  Initial Estimate for Fiscal Year 2010-11	<b>B</b>  Estimated FY 2010-11 Allocation of Recurring Base Budget <i>(based on Column G64            minus G65)</i>	<b>C</b>  Estimated FY 2011-12 Allocation of Recurring Base Budget <i>(based on Column G64            minus G65)</i>	<b>D</b>  Planned Increase/Decrease Use of Recurring Base Funding
<b>A. Personnel</b>						0.00		\$0	\$0	\$0	\$0
A-1.1	State FTE					0.00		\$0	\$0	\$0	\$0
A-2.1	OPS FTE					0.00		\$0	\$0	\$0	\$0
A-3.1	Contractor Positions (Staff Augmentation)					0.00		\$0	\$0	\$0	\$0
<b>B. Hardware</b>						0	0	\$0	\$0	\$0	\$0
B-1	Servers - Mainframe					0	0	\$0	\$0	\$0	\$0
B-2	Servers - Non-Mainframe					0	0	\$0	\$0	\$0	\$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
<b>C. Software</b>								\$0	\$0	\$0	\$0
<b>D. External Service Provider(s)</b>						0	0	\$0	\$0	\$0	\$0
<b>E. Other (Please describe in Footnotes Section below)</b>								\$0	\$0	\$0	\$0
<b>F. Total for IT Service</b>								\$0	\$0	\$0	\$0
<b>G. Footnotes - Please be sure to indicate there is a footnote for the corresponding row above. Maximum footnote length is 1024 characters.</b>											
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**Agency Strategic IT Service #14**

Strategic IT Service:

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

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

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
<b>A. Personnel</b>			0.00		\$0	\$0	\$0	\$0
A-1.1	State FTE		0.00		\$0	\$0	\$0	\$0
A-2.1	OPS FTE		0.00		\$0	\$0	\$0	\$0
A-3.1	Contractor Positions (Staff Augmentation)		0.00		\$0	\$0	\$0	\$0
<b>B. Hardware</b>			0	0	\$0	\$0	\$0	\$0
B-1	Servers - Mainframe		0	0	\$0	\$0	\$0	\$0
B-2	Servers - Non-Mainframe		0	0	\$0	\$0	\$0	\$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
<b>C. Software</b>					\$0	\$0	\$0	\$0
<b>D. External Service Provider(s)</b>			0	0	\$0	\$0	\$0	\$0
<b>E. Other (Please describe in Footnotes Section below)</b>					\$0	\$0	\$0	\$0
<b>F. Total for IT Service</b>					\$0	\$0	\$0	\$0
<b>G. Footnotes - Please be sure to indicate there is a footnote for the corresponding row above. Maximum footnote length is 1024 characters.</b>								
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**Agency Strategic IT Service #15**

Strategic IT Service:

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

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

Service Provisioning -- Assets & Resources <small>(Cost Elements)</small>		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 <small>(based on Column G64 minus G65)</small>	C Estimated FY 2011-12 Allocation of Recurring Base Budget <small>(based on Column G64 minus G65)</small>	D Planned Increase/Decrease Use of Recurring Base Funding
<b>A. Personnel</b>			0.00		\$0	\$0	\$0	\$0
A-1.1	State FTE		0.00		\$0	\$0	\$0	\$0
A-2.1	OPS FTE		0.00		\$0	\$0	\$0	\$0
A-3.1	Contractor Positions (Staff Augmentation)		0.00		\$0	\$0	\$0	\$0
<b>B. Hardware</b>			0	0	\$0	\$0	\$0	\$0
B-1	Servers - Mainframe		0	0	\$0	\$0	\$0	\$0
B-2	Servers - Non-Mainframe		0	0	\$0	\$0	\$0	\$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
<b>C. Software</b>					\$0	\$0	\$0	\$0
<b>D. External Service Provider(s)</b>			0	0	\$0	\$0	\$0	\$0
<b>E. Other</b> <small>(Please describe in Footnotes Section below)</small>					\$0	\$0	\$0	\$0
<b>F. Total for IT Service</b>					\$0	\$0	\$0	\$0
<b>G. Footnotes</b> - Please be sure to indicate there is a footnote for the corresponding row above. Maximum footnote length is 1024 characters.								
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	Currently Authorized Positions				Contracted Services FTE	Contracted Services Cost	Total Personnel	Total Personnel Cost	Servers -				External Service		TOTAL
	State FTE		OPS FTE						Mainframe	Non-Mainframe	Hardware	Software	Provider	Other	
	FTE	Cost	FTE	Cost											
IV-C Service	2.25	\$ 153,259	0.00	\$ -	1.00	\$ 197,600	3.25	\$ 350,859	0	\$ 0	\$ 38,160	\$ 14,345	\$ 286,350	\$ 32,014	\$ 721,728
Network	0.50	\$ 34,967	0.00	\$ -	0.00	\$ -	0.50	\$ 34,967	0	\$ 0	\$ 24,450	\$ 42,193	\$ -	\$ 6,034	\$ 107,644
Email, Messaging, @ Calendaring	3.50	\$ 220,264	0.75	\$ 25,746	0.00	\$ -	4.25	\$ 246,010	0	\$ 0	\$ 575,307	\$ 13,703	\$ 18,591	\$ 45,882	\$ 899,493
Help Desk	3.75	\$ 234,292	0.75	\$ 25,746	0.00	\$ -	4.50	\$ 260,038	0	\$ 0	\$ -	\$ 24,826	\$ 50,000	\$ 48,899	\$ 383,763
IT Security/Risk Mitigation	0.75	\$ 63,200	0.00	\$ -	0.00	\$ -	0.75	\$ 63,200	0	\$ 0	\$ -	\$ 49,891	\$ 38,239	\$ 9,050	\$ 160,380
Financial and Administrative Systems Support	0.50	\$ 46,907	0.00	\$ -	0.00	\$ -	0.50	\$ 46,907	0	\$ 0	\$ -	\$ -	\$ -	\$ 6,034	\$ 52,941
IT Administration & Management	2.25	\$ 195,592	0.00	\$ -	0.00	\$ -	2.25	\$ 195,592	0	\$ 0	\$ -	\$ -	\$ 57,630	\$ 27,151	\$ 280,373
Portal/Web Management	1.25	\$ 86,310	0.00	\$ -	0.00	\$ -	1.25	\$ 86,310	0	\$ 0	\$ -	\$ 4,200	\$ -	\$ 15,084	\$ 105,594
Data Center	0.00	\$ -	0.00	\$ -	0.00	\$ -	0.00	\$ -	0	\$ 0	\$ -	\$ -	\$ 1,032,570	\$ -	\$ 1,032,570
Total	14.75	\$ 1,034,791	1.50	\$ 51,492	1.00	\$ 197,600	17.25	\$ 1,283,883	0.00	\$ 0.00	\$ 637,917	\$ 149,158	\$ 1,483,380	\$ 190,148	\$ 3,744,486

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

	Currently Authorized Positions				Contracted Services FTE	Contracted Services Cost	Total Personnel	Total Personnel Cost	Servers -				External Service		TOTAL
	State FTE		OPS FTE						Mainframe	Non-Mainframe	Hardware	Software	Provider	Other	
	FTE	Cost	FTE	Cost											
IV-C Service	35.50	\$ 2,598,183	0.00	\$ -	3.00	\$ 600,000	38.50	\$ 3,198,183	0	\$ 0	\$ 52,217	\$ 1,236,884	\$ 88,411	\$ 442,971	\$ 5,018,666
Licensing and Regulatory IT Strategic Service	3.75	\$ 306,728	0.00	\$ -	0.00	\$ -	3.75	\$ 306,728	0	\$ 0	\$ -	\$ 1,250	\$ -	\$ 45,252	\$ 353,230
Electronic Tax and Registration IT Strategic Service	0.00	\$ -	0.00	\$ -	0.00	\$ -	0.00	\$ -	0	\$ 0	\$ -	\$ -	\$ -	\$ -	\$ -
Agency Strategic IT Service #3	0.00	\$ -	0.00	\$ -	0.00	\$ -	0.00	\$ -	0	\$ 0	\$ -	\$ -	\$ -	\$ -	\$ -
Agency Strategic IT Service #4	0.00	\$ -	0.00	\$ -	0.00	\$ -	0.00	\$ -	0	\$ 0	\$ -	\$ -	\$ -	\$ -	\$ -
Agency Strategic IT Service #5	0.00	\$ -	0.00	\$ -	0.00	\$ -	0.00	\$ -	0	\$ 0	\$ -	\$ -	\$ -	\$ -	\$ -
Agency Strategic IT Service #6	0.00	\$ -	0.00	\$ -	0.00	\$ -	0.00	\$ -	0	\$ 0	\$ -	\$ -	\$ -	\$ -	\$ -
Agency Strategic IT Service #7	0.00	\$ -	0.00	\$ -	0.00	\$ -	0.00	\$ -	0	\$ 0	\$ -	\$ -	\$ -	\$ -	\$ -
Agency Strategic IT Service #8	0.00	\$ -	0.00	\$ -	0.00	\$ -	0.00	\$ -	0	\$ 0	\$ -	\$ -	\$ -	\$ -	\$ -
Agency Strategic IT Service #9	0.00	\$ -	0.00	\$ -	0.00	\$ -	0.00	\$ -	0	\$ 0	\$ -	\$ -	\$ -	\$ -	\$ -
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	39.25	\$ 2,904,911	0.00	\$ -	3.00	\$ 600,000	42.25	\$ 3,504,911	0.00	\$ 0.00	\$ 52,217	\$ 1,238,134	\$ 88,411	\$ 488,223	\$ 5,371,896

	Currently Authorized Positions				Contracted Services FTE	Contracted Services Cost	Total Personnel	Total Personnel Cost	Servers -				External Service		TOTAL
	State FTE		OPS FTE						Mainframe	Non-Mainframe	Hardware	Software	Provider	Other	
	FTE	Cost	FTE	Cost											
All Schedule IV-C Services	14.75	\$ 1,034,791	1.50	\$ 51,492	1.00	\$ 197,600	17.25	\$ 1,283,883	0	\$ 0	\$ 637,917	\$ 149,158	\$ 1,483,380	\$ 190,148	\$ 3,744,486
Non-Strategic IT Services	39.25	\$ 2,904,911	0.00	\$ -	3.00	\$ 600,000	42.25	\$ 3,504,911	0	\$ 0	\$ 52,217	\$ 1,238,134	\$ 88,411	\$ 488,223	\$ 5,371,896
Strategic IT Services	39.25	\$ 2,904,911	0.00	\$ -	3.00	\$ 600,000	59.50	\$ 4,788,794	0.00	\$ 0.00	\$ 690,134	\$ 1,387,292	\$ 1,571,791	\$ 678,371	\$ 9,116,382
Total	39.25	\$ 2,904,911	0.00	\$ -	3.00	\$ 600,000	59.50	\$ 4,788,794	0.00	\$ 0.00	\$ 690,134	\$ 1,387,292	\$ 1,571,791	\$ 678,371	\$ 9,116,382

+ Data Center Plant & Facility: \$ 9,116,382

	% of Total Reported IT Cost					
	% IT Positions	% Hardware	% Software	% External Service Provider	% Other	% of Total Reported IT Cost
All Schedule IV-C Services						
Non-Strategic IT Services	34.29%	17.04%	3.98%	39.62%	5.08%	41.07%
Strategic IT Services	65.25%	0.97%	23.05%	1.65%	9.09%	58.93%
% of Total Reported IT Cost	52.530%	7.570%	15.218%	17.241%	7.441%	

Data Center Summary	Total	Total Utilized
Total Data Center Personnel		0.00
Total Servers from All IT Services - Mainframe		0
Total Servers from All IT Services - Non-Mainframe		0
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	

# Listing of Agency IT Systems

FY 2011-12 Schedule IV-C  
Worksheet SC-1

**Dept/Agency:** Department of Business and Professional Regulation  
**Prepared by:** Terry L. Kester, Chief Information Officer  
**Phone:** 850-921-5392  
**Date Completed:** October 15, 2010

#	Name of IT System	Description of IT System	Agency Program or Function Supported	Notes
1	LicenseEase – Single Licensing System	Commercial off-the-shelf (COTS) Department Database	<ul style="list-style-type: none"> <li>• Application Processing</li> <li>• Maintaining Licensure</li> <li>• Fee Processing</li> <li>• Complaint Processing</li> <li>• Inspections</li> <li>• Investigations</li> <li>• Legal Processing</li> <li>• Contact History</li> </ul>	An integrated licensing system utilized to support the requirements specified in Chapter 20.165, F.S., for the licensing and regulating of businesses and professionals in the State of Florida.
2	OnBase – Department - Wide Document Management System	COTS Document Management System	<ul style="list-style-type: none"> <li>• Document Routing</li> <li>• Document Retrieval</li> <li>• Document Storage</li> </ul>	
3	Versa: Online	COTS web-based Public Online Access System	<ul style="list-style-type: none"> <li>• License Renewal</li> <li>• Public License Search</li> <li>• Initial License Application</li> </ul>	Integrates into the department's Single Licensing System.
4	DBPR Contact Center Customer Relationship Management System	COTS Customer Contact Center Solution	<ul style="list-style-type: none"> <li>• Tracks and Manages Calls and Requests from the Public</li> <li>• Processes Payments</li> </ul>	
5	DBPR Contact Center Interactive Voice Response System	COTS telephony solution for public to access applicable information	<ul style="list-style-type: none"> <li>• License Renewal</li> <li>• License Status Lookups</li> </ul>	
6	DBPR Custom Inspection System	Custom built .Net Windows Mobile application used with Personal	<ul style="list-style-type: none"> <li>• Records Inspection Information as</li> </ul>	

# Listing of Agency IT Systems

FY 2011-12 Schedule IV-C  
Worksheet SC-1

#	Name of IT System	Description of IT System	Agency Program or Function Supported	Notes
	for Personal Digital Assistants (PDAs)	Digital Assistants	<ul style="list-style-type: none"> <li>Inspections are Performed</li> <li>Allows Inspection Information to be Easily Retrieved by DBPR Inspectors</li> <li>Onsite Inspection Information Uploaded to Licensing System</li> </ul>	
7	LicenseEase Reporting Database	Custom Built Oracle Enterprise Level Database and Reporting Tool	<ul style="list-style-type: none"> <li>Agency Internal Reporting</li> <li>Public Records Reporting</li> </ul>	
8	Elevator Inspection Auditing Reporting System	Custom Built Classic ASP Database	<ul style="list-style-type: none"> <li>Inspections</li> </ul>	
9	Online Reporting of Food Service Training Certification	Custom Built Classic ASP web-based Database	<ul style="list-style-type: none"> <li>Compliance</li> </ul>	
10	Alcoholic Beverages Quota Drawing System	Custom Built Delphi Database	<ul style="list-style-type: none"> <li>Awards Licensing Allocation</li> </ul>	
11	Continuing Education Reporting	Custom Built Delphi Reporting Tool	<ul style="list-style-type: none"> <li>Continuing Education Compliance</li> </ul>	
12	Division of Alcoholic Beverages and Tobacco Electronic Data Submission System	Custom built .Net web-based application that allows entities to submit cigarette, tobacco, and alcohol sales and inventory electronically.	<ul style="list-style-type: none"> <li>Audits/Compliance</li> <li>Collection of Inventory and Sales Data</li> </ul>	A web-based application utilized to support the requirements for collecting and enforcing the surcharge on cigarettes and tobacco and the collection of alcoholic beverage related

# Listing of Agency IT Systems

FY 2011-12 Schedule IV-C  
Worksheet SC-1

#	Name of IT System	Description of IT System	Agency Program or Function Supported	Notes
				tax reporting as specified in Chapter 210.011, 210.02, 210.09, 210.276, 210.30, 210.55, 210.276, 210.30, 210.55, 563.05, 564.06 565.12 651.50 and 561.55 F.S.
13	Pari-Mutuel Wagering Excise Tax Monitoring System	COTS Data Repository	<ul style="list-style-type: none"> <li>• Audits/Enforcement</li> </ul>	

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

# Listing of Strategic IT Services

(FY 2011-12 Schedule IV-C

Worksheet SC-2)

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

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

Phone: **850-921-5392**

Date Completed: **October 15, 2010**

## 1. Licensing and Regulatory IT Service

The Department of Business and Professional Regulation's (DBPR) mission is to License Efficiently and Regulate Fairly. DBPR has the authority to approve applications for professional licenses that meet all statutory and rule requirements for licensure. DBPR is also charged with regulating the professionals and businesses that are licensed by DBPR.

Applications for licensure and supporting documents are received, scanned, indexed, and routed through the department-wide document management system for processing. Information is also entered and tracked in the department's integrated licensing system known as LicenseEase. Once it has been determined that an applicant has met all statutory requirements such as appropriate documentation, education, testing, fingerprinting, inspection, and possible appearance before the board, the application can be approved for licensure. The license is issued and the application and supporting documents are archived. This service includes interfaced and integrated systems used to capture, store, and provide retrieval of electronic records.

Regulatory functions consist of complaints, audits, inspections, investigations and legal proceedings. The enforcement arm of the department monitors professions and businesses to ensure that the laws, rules and standards set by the Legislature are followed. This is accomplished by proactively monitoring the professionals and related businesses, aggressively pursuing and investigating complaints of wrongdoing, and utilizing compliance mechanisms such as mediation, the issuance of notices of noncompliance, the issuance of citations and the performance of statutorily mandated inspections. Complaints and supporting documentation are submitted, entered and tracked in the integrated licensing system throughout the complaint, investigative, and prosecutorial process. All applicable information is scanned, indexed, routed through the document management system and eventually archived. On-site inspections are uploaded to the integrated licensing system with the use of Personal Digital Assistants (PDAs).

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

- 1.a. LicenseEase – Single Licensing System (SLS)** - LicenseEase is a commercial off-the-shelf comprehensive, integrated application package designed to assist regulatory boards and professions in meeting their mandate by administering the licensing processes for individuals and



# Listing of Strategic IT Services

(FY 2011-12 Schedule IV-C

Worksheet SC-2)

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organizations in compliance with regulatory laws and rules. LicenseEase provides the following functions:

- Stores demographic information
- Stores applicant information
- Receipts revenue
- Tracks applicant history and status
- Tracks licensee history and status
- Tracks complaint history and status
- Tracks inspection history and status
- Tracks exam history and status
- Tracks continuing education history and status
- Tracks investigative history and status
- Tracks prosecutorial history and status

- 1.b. OnBase - Department-Wide Document Management System (DDMS)** – OnBase is an enterprise level commercial off-the-shelf (COTS) integrated document management software suite that combines scanning, indexing, routing, document management, imaging, archiving, retrieval and report management.
- 1.c. Versa: Online** - Versa: Online is a COTS web-based application that allows beginning to end application processing. The applicant can apply for a license, pay the appropriate application fee, submit the appropriate documents, and check the status of their application. In addition, the application allows licensees to renew online; allows the public to verify licensed professionals; and enables individuals to check licensure discipline and verify licensure guidelines and qualifications. The application is integrated into the department's Single Licensing System.
- 1.d. DBPR Contact Center Customer Relationship Management System** – This is a commercial off-the-shelf solution used by the department's Customer Contact Center to track and manage calls and requests from the public. The system (Siebel) interfaces with LicenseEase and Interactive Voice Response (IVR) solutions allowing call agents to access pertinent customer information as well as process payments.
- 1.e. DBPR Contact Center Interactive Voice Response System** – This is a commercial off-the-shelf telephony solution (Edify and Genesys) that

# Listing of Strategic IT Services

(FY 2011-12 Schedule IV-C

Worksheet SC-2)

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allows the public to access their licensing information via telephone as well as process payments.

- 1.f. DBPR Custom Inspection System for Personal Digital Assistants (PDAs)** – This is a custom built .Net Windows Mobile application that allows inspection data to be accessed and on-site inspection information uploaded using PDAs.
- 1.g. LicenseEase Reporting Database** – This is a custom built Oracle enterprise level reporting database that contains data from the LicenseEase system and allows users to run queries and reports against the database. This includes custom-built reports utilized by department personnel to summarize and report on data captured in the LicenseEase system.
- 1.h. Elevator Inspection Auditing Reporting System** – This is a custom built Classic ASP application that allows for approved vendors to upload elevator inspection report information to LicenseEase.
- 1.i. Online Reporting of Food Service Training Certification** – This is a custom built Classic ASP web-based application that provides license holders a mechanism to electronically submit required data files pertaining to their employee food service training.
- 1.j. Alcoholic Beverages Quota Drawing System** – This custom built Delphi application provides results for random drawing to award liquor-quota licenses based on population change or newly available licenses.
- 1.k. Continuing Education Reporting** – This custom built Delphi application provides a mechanism for continuing education providers to report continuing education information for our license holders.

## 2. Electronic Tax and Registration IT Service

DBPR has the authority to collect tax reports and surcharge information for businesses that meet all applicable statutory and rule requirements. This service includes a web-based application that allows automated calculation of tax obligations and automated audit calculations for those businesses required to file monthly reports. Additionally, an outsourced system monitors and retains historical information for the racing industry.

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

# Listing of Strategic IT Services

(FY 2011-12 Schedule IV-C

Worksheet SC-2)

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- 2.a. Division of Alcoholic Beverages & Tobacco Electronic Data Submission System** – This is a custom built .Net web-based application that allows entities to electronically submit their cigarette, tobacco, and alcohol sales and inventory information to the Division of Alcoholic Beverages and Tobacco.
- 2.b. Pari-Mutuel Wagering Excise Tax Monitoring System** – The Division of Pari-Mutuel Wagering (PMW) contracts for service with Entertainment Systems Integrity, Inc. (ESI) to supply and maintain computer software for both the Central Management System and the Race Monitoring System. The Race Monitoring System monitors transactions for compliance with Florida Statutes and Rules. All Pari-Mutuel permit holders in the State of Florida are serviced by one of three hubs. The Central Management System is the data repository for permit holder data captured by the Race Monitoring System and contains historical information.

# Schedule IX

## Major Audit Findings and Recommendations

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

**Budget Period: 2011-201**

**Department: Business and Professional Regulation**

**Chief Internal Auditor: Ron Ferguson**

**Budget Entity: Executive Dir./Support Services**

**Phone Number: 850.414.6700**

(1)	(2)	(3)	(4)	(5)	
REPORT NUMBER	PERIOD ENDING	UNIT/AREA	SUMMARY OF FINDINGS AND RECOMMENDATIONS	SUMMARY OF CORRECTIVE ACTION TAKEN	
<b>Internal Audit No. A-15-0809-011</b>	October 2009	Division of Administration. Mobile Device Assignment and Use.	<p><b>Finding 1:</b> Policy lacks usable procedures to ensure that the mobile communication device policy objective is accomplished.</p> <p><b>Recommendation:</b> The policy should be amended to specify the criteria for issuance on an authorization form, an approval process for the assignment of devices, and a process for the periodic review of the continuing appropriateness of the assignment of devices. The policy should also define responsibilities necessary for disconnecting devices and provide for quarterly validation of cell phone and Blackberry users. The property management functions related to mobile devices should be transferred from the Division of Information Technology to the Division of Administration.</p>	<p>The Administrative Policy governing mobile communication devices will be revised to address this finding. The revised policy will specify the criteria for issuance of mobile communication devices and provide for an approval process. Periodic confirmation of the continuing appropriateness of existing assignments will also be addressed in the revised policy. Since mobile devices are not recorded in property inventory and require programming, we believe the property management function is best suited within the Division of Information Technology.</p>	

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

**Budget Period: 2011-201**

**Department: Business and Professional Regulation**

**Chief Internal Auditor: Ron Ferguson**

**Budget Entity: Executive Dir./Support Services**

**Phone Number: 850.414.6700**

(1) REPORT NUMBER	(2) PERIOD ENDING	(3) UNIT/AREA	(4) SUMMARY OF FINDINGS AND RECOMMENDATIONS	(5) SUMMARY OF CORRECTIVE ACTION TAKEN	
<b>Internal Audit No. A-15-0809-011</b>	October 2009	Division of Administration. Mobile Device Assignment and Use.	<p><b>Finding 2:</b> Inadequate controls to ensure the timely review of personal usage of mobile communication devices.</p> <p><b>Recommendation:</b> Controls could include enhancing the electronic phone usage report system to provide for electronic notification when phone usage data is available and electronic reminders until usage has been reviewed. Mobile communication policy should also outline notification requirements. Without enhancements to the electronic system, appropriate individuals could be assigned the responsibility to monitor the system and follow-up with users until usage has been reviewed.</p>	<p>We will enhance the electronic phone usage report system to provide reports that will identify employees who are not reviewing their mobile device invoices and identifying personal use in a timely manner. The revised Administrative Policy will establish a formal procedure to notify supervisors when employees fail to make this review in a timely manner. Managing this notification process will reside in the Division of Administration.</p>	

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

**Budget Period: 2011-201**

**Department: Business and Professional Regulation**

**Chief Internal Auditor: Ron Ferguson**

**Budget Entity: Executive Dir./Support Services**

**Phone Number: 850.414.6700**

(1)	(2)	(3)	(4)	(5)	
REPORT NUMBER	PERIOD ENDING	UNIT/AREA	SUMMARY OF FINDINGS AND RECOMMENDATIONS	SUMMARY OF CORRECTIVE ACTION TAKEN	
<p><b>Internal Audit Report No. A-15-0809-011</b></p>	<p>October 2009</p>	<p>Division of Administration. Mobile Device Assignment and Use.</p>	<p><b>Finding 3:</b> Inadequate controls in place to ensure the timely reimbursement of personal usage of mobile communication devices.</p> <p><b>Recommendation:</b> Additional enhancements to the system for tracking and reporting the usage of mobile communication devices would help to ensure the timely reimbursement of personal usage. The system should provide functionality for Finance and Accounting personnel to indicate when reimbursement payments have been made and to report the employees with unpaid balances. Alternatively, manual processes and responsibilities could be created to manually track payments and outstanding balances.</p>	<p>The Division of Information Technology will provide the Office of Budget and Management and the Division of Administration a report showing amounts owed to the department by each employee for personal use of mobile communication devices. Management will work with supervisors to ensure that each employee remits payment for amounts owed in a timely manner. The Office of Budget and Financial Management will provide a periodic report to Human Resources identifying employees who fail to reimburse the department.</p>	

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

**Budget Period: 2011 - 2012**

**Department:** Business and Professional Regulation

**Chief Internal Auditor:** Ron Ferguson

**Budget Entity:** Information Technology

**Phone Number:** 850.414.6700

(1) REPORT NUMBER	(2) PERIOD ENDING	(3) UNIT/AREA	(4) SUMMARY OF FINDINGS AND RECOMMENDATIONS	(5) SUMMARY OF CORRECTIVE ACTION TAKEN	(6) ISSUE CODE
<b>Internal Audit Report No. A-15-0708- 005</b>	June 2009	Division of Information Technology. Agency Access Controls.	<p><b>Finding 1:</b> Formal administrative policies and procedures in place regarding access to DBPR Network and Single Licensing System resources are out of date and do not adequately protect against unauthorized use, damage, loss of data, or</p> <p><b>Recommendation:</b> Finalize the draft administrative policy on information systems security and ensure that it addresses proper access controls over all technology resources and systems, including the DBPR Network and Single Licensing System. This policy and procedure should be reviewed and updated on an annual basis for accuracy.</p>	The Division of Technology has finalized the administrative policy on information systems security which includes access controls over all technology resources and systems.	



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

**Budget Period: 2011 - 2012**

**Department: Business and Professional Regulation**

**Chief Internal Auditor: Ron Ferguson**

**Budget Entity: Information Technology**

**Phone Number: 850.414.6700**

(1)	(2)	(3)	(4)	(5)	(6)
REPORT NUMBER	PERIOD ENDING	UNIT/AREA	SUMMARY OF FINDINGS AND RECOMMENDATIONS	SUMMARY OF CORRECTIVE ACTION TAKEN	ISSUE CODE
Internal Audit Report No. A-15-0708-005	June 2009	Division of Information Technology. Agency Access Controls.	<p><b>Finding 2:</b> Existing internal controls used by the Division of Technology to manage access to the DBPR Network and Single Licensing System could be strengthened.</p> <p><b>Recommendation:</b> Adopt a formal administrative policy and procedure to require periodic entitlement reviews, require more rigorous password controls over the DBPR Network and Single Licensing System, and perform periodic quality assurance on employees responsible for providing access to department systems.</p>	<p>The Division of Technology addressed the use of complex passwords in our security policy. A program to force users to periodically change passwords in the Single Licensing System has been developed and is currently in testing. Entitlement reviews for OnBase are in progress and modifications will be made as required. A report identifying current user access rights in the Single Licensing System is currently being developed. These will be provided to each director for validation and modifications made as required. Procedures will be written once periodic entitlement reviews are performed. Records will be maintained by the Division of Technology.</p>	

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

**Budget Period: 2011 - 2012**

**Department:** Business and Professional Regulation

**Chief Internal Auditor:** Ron Ferguson

**Budget Entity:** Information Technology

**Phone Number:** 850.414.6700

(1)	(2)	(3)	(4)	(5)	(6)
REPORT NUMBER	PERIOD ENDING	UNIT/AREA	SUMMARY OF FINDINGS AND RECOMMENDATIONS	SUMMARY OF CORRECTIVE ACTION TAKEN	ISSUE CODE
<b>Internal Audit Report No. A-15-0708-005</b>	June 2009	Division of Information Technology. Agency Access Controls.	<p><b>Finding 3:</b> Audit testing of DBPR Network access records revealed deficiencies with respect to the information maintained by the Division of Technology.</p> <p><b>Recommendation:</b> Create a process to sufficiently address Network access form deficiencies, implement a process that ensures departmental access control forms for all systems and applications are accurate, and initiate a quality assurance review that periodically tests the performance.</p> <p><b>Finding 4:</b> Audit testing of Single Licensing System access records revealed deficiencies with respect to the information maintained by the Division of Technology.</p> <p><b>Recommendation:</b> Create a process to sufficiently address the Single Licensing System access form deficiencies, implement a process that ensures departmental access control forms for all systems and applications are accurate, and initiate a quality assurance review that periodically tests the performance of division personnel responsible for processing Single Licensing System access forms.</p>	<p>The Division of Technology is in the process of updating access forms. As indicated in the response to Finding 2 above, entitlement reviews are in progress for OnBase and will soon be forwarded for validation for the Single Licensing System. A periodic quality assurance review will subsequently be implemented.</p> <p>The Division is developing a report on user access for the Single Licensing System sorted by division. This will be provided to each division director for validation and modifications will be made based on responses received. Records of entitlement reviews performed will be maintained by the Division of Technology.</p>	

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

**Budget Period: 2011 - 2012**

**Department:** Business and Professional Regulation

**Chief Internal Auditor:** Ron Ferguson

**Budget Entity:** Information Technology

**Phone Number:** 850.414.6700

(1) REPORT NUMBER	(2) PERIOD ENDING	(3) UNIT/AREA	(4) SUMMARY OF FINDINGS AND RECOMMENDATIONS	(5) SUMMARY OF CORRECTIVE ACTION TAKEN	(6) ISSUE CODE
<p><b>Internal Audit Report No. A-15-0708-005</b></p>	<p>June 2009</p>	<p>Division of Information Technology. Agency Access Controls.</p>	<p><b>Finding 4 Continued</b></p>	<p>The Division of Technology Information Security Manager will be performing quality assurance assessments of IT staff responsible for providing access to the Single Licensing System, OnBase, and the DBPR network. This assessment will be conducted twice yearly.</p>	



# Schedule VII

## Agency Litigation Inventory

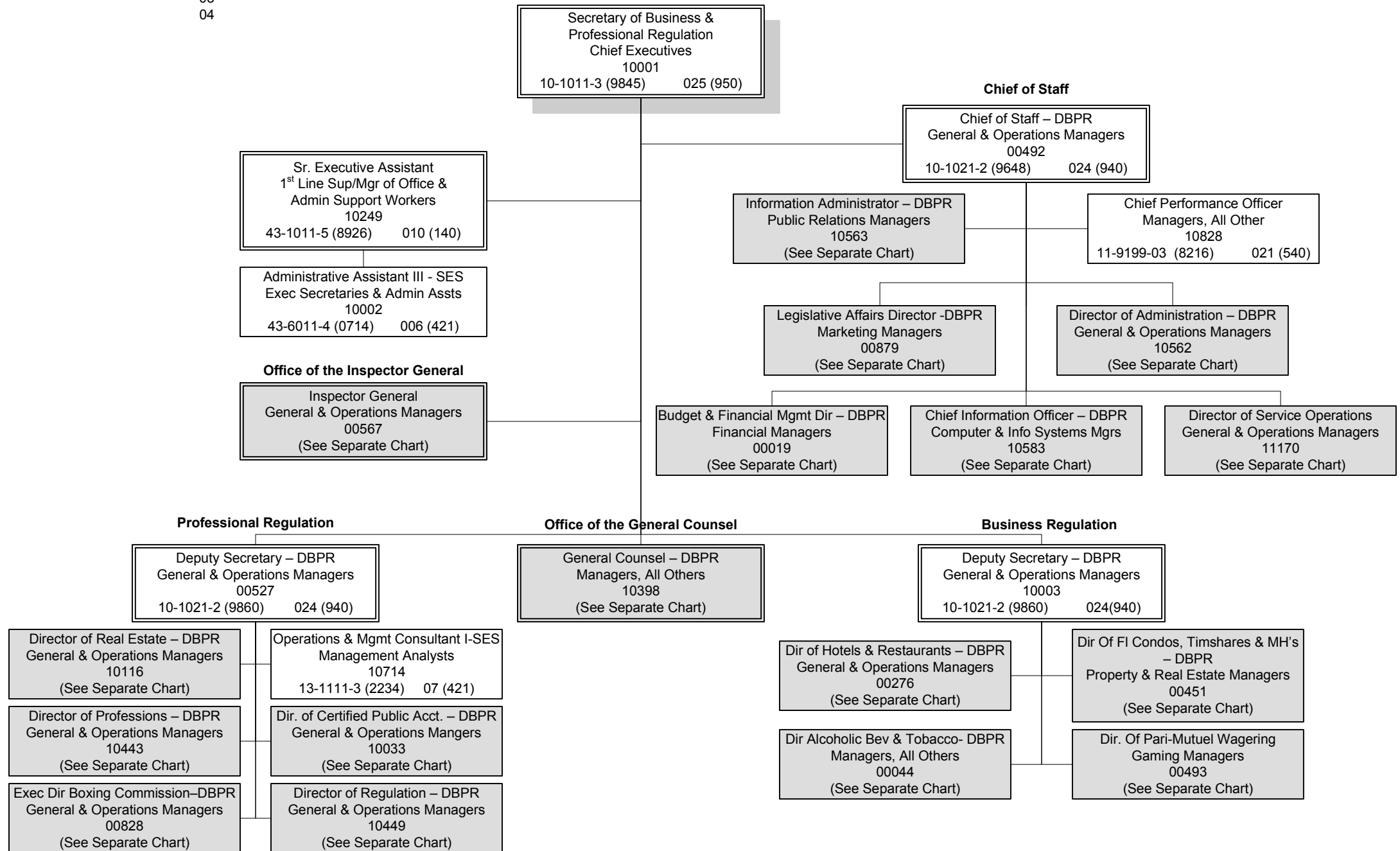
## Schedule VII: Agency Litigation Inventory

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

Agency:	Department of Business and Professional Regulation		
Contact Person:	J. Sue Richardson	Phone Number:	850.488.0062
Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	Department of Business and Professional Regulation, Division of Florida Land Sales, Condominiums, and Mobile Homes and Division of Real Estate v. Stroman Realty, Inc.		
Court with Jurisdiction:	Second Circuit Court, Leon County, Florida		
Case Number:	98-490		
Summary of the Complaint:	The department is seeking an injunction against Stroman Realty, Inc., a Texas licensed real estate brokerage, from engaging in the practice of real estate in Florida without a Florida license in violation of chapter 475, Florida Statutes, and from collecting an advance fee to list timeshare interests in violation of section 721.20, Florida Statutes. The department is seeking restitution for complainants.		
Amount of the Claim:	\$ Unknown		
Specific Statutes or Laws (including GAA) Challenged:	Chapter 475 and section 721.20, Florida Statutes.		
Status of the Case:	Partial Final Judgment entered against Stroman enjoining unlicensed real estate practice and collection of unlawful advance timeshare listing fees for Florida timeshares. Stroman ordered to refund moneys paid by complainants.		
Who is representing (of record) the state in this lawsuit? Check all that apply.	<input checked="" type="checkbox"/>	Agency Counsel	
	<input checked="" type="checkbox"/>	Office of the Attorney General or Division of Risk Management	
	<input type="checkbox"/>	Outside Contract Counsel	
If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).			

# Schedule X Organization Structure

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





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

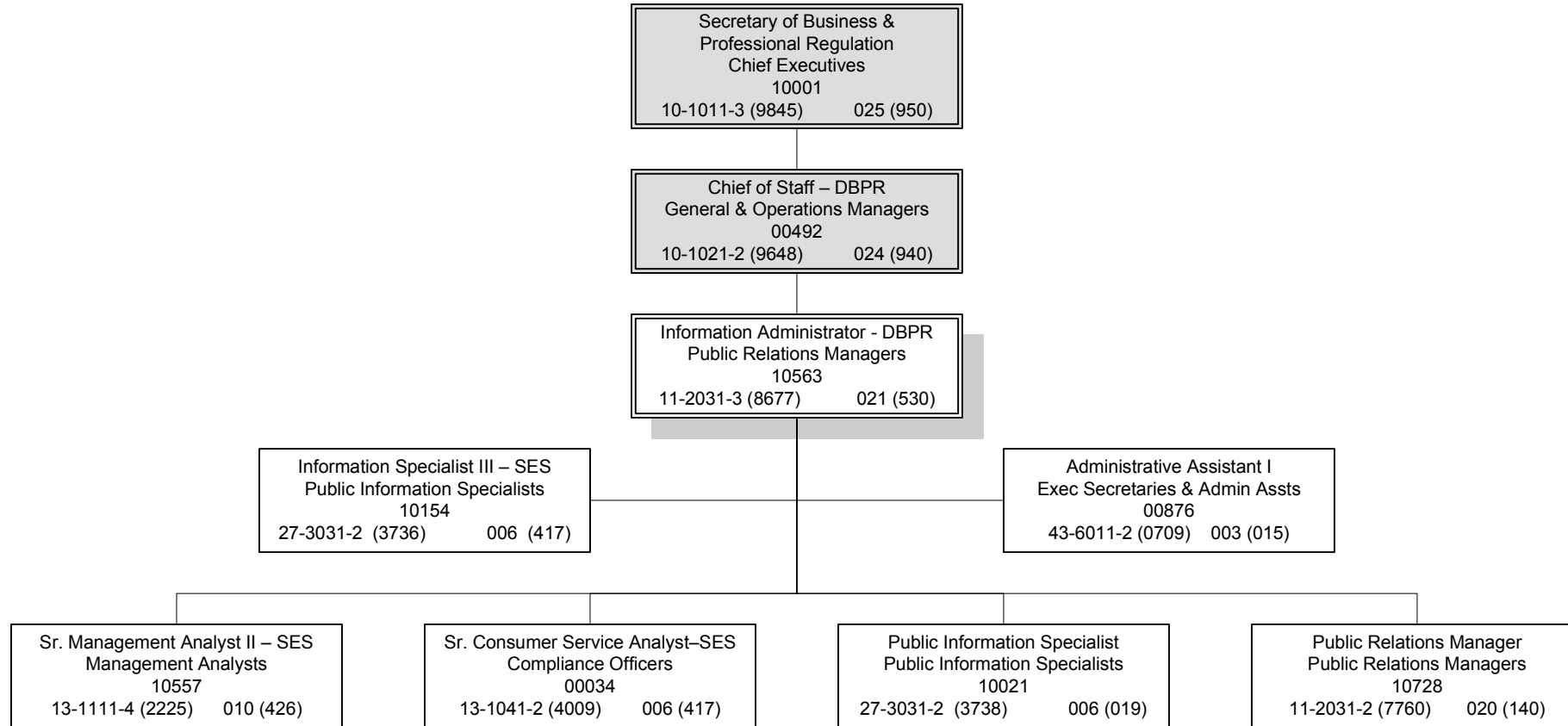
Secretary of Business &  
Professional Regulation  
Chief Executives  
10001  
10-1011-3 (9845) 025 (950)

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

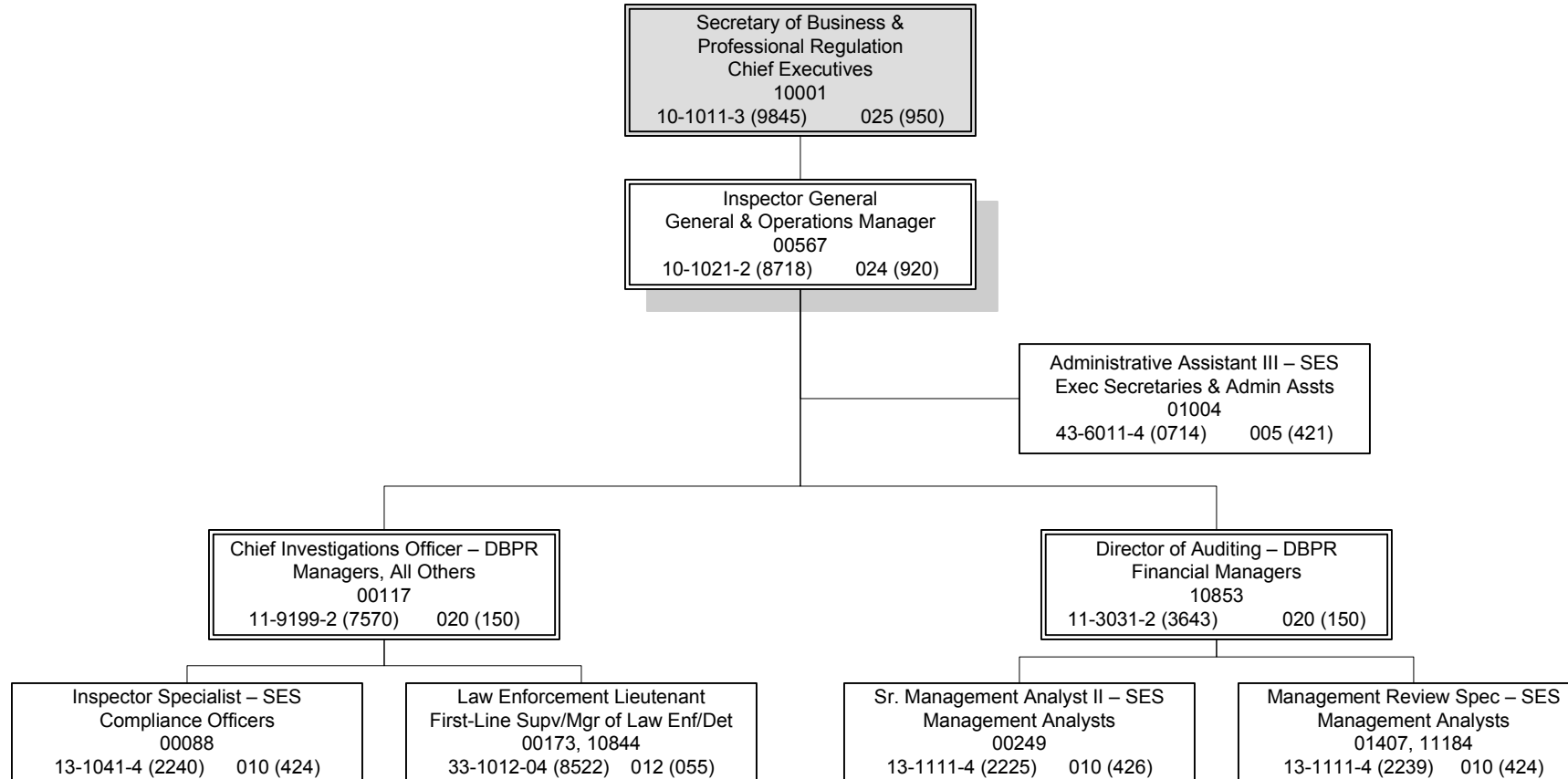
Legislative Affairs Director – DBPR  
Marketing Managers  
00879  
10-2021-1 (8384) 023 (930)

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

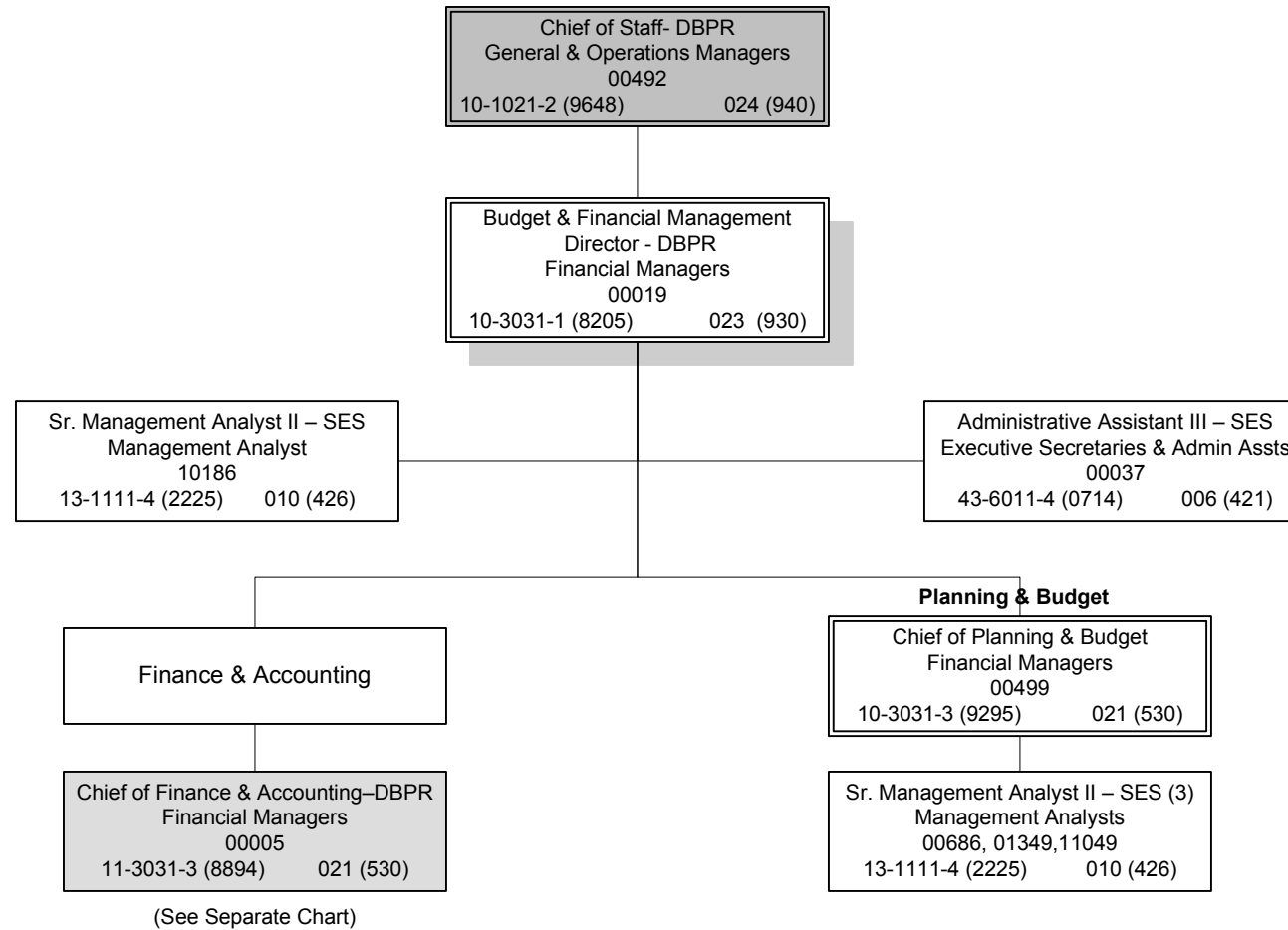
**Department of Business and Professional Regulation**  
**Office of the Secretary**  
**Office of Public Information**



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



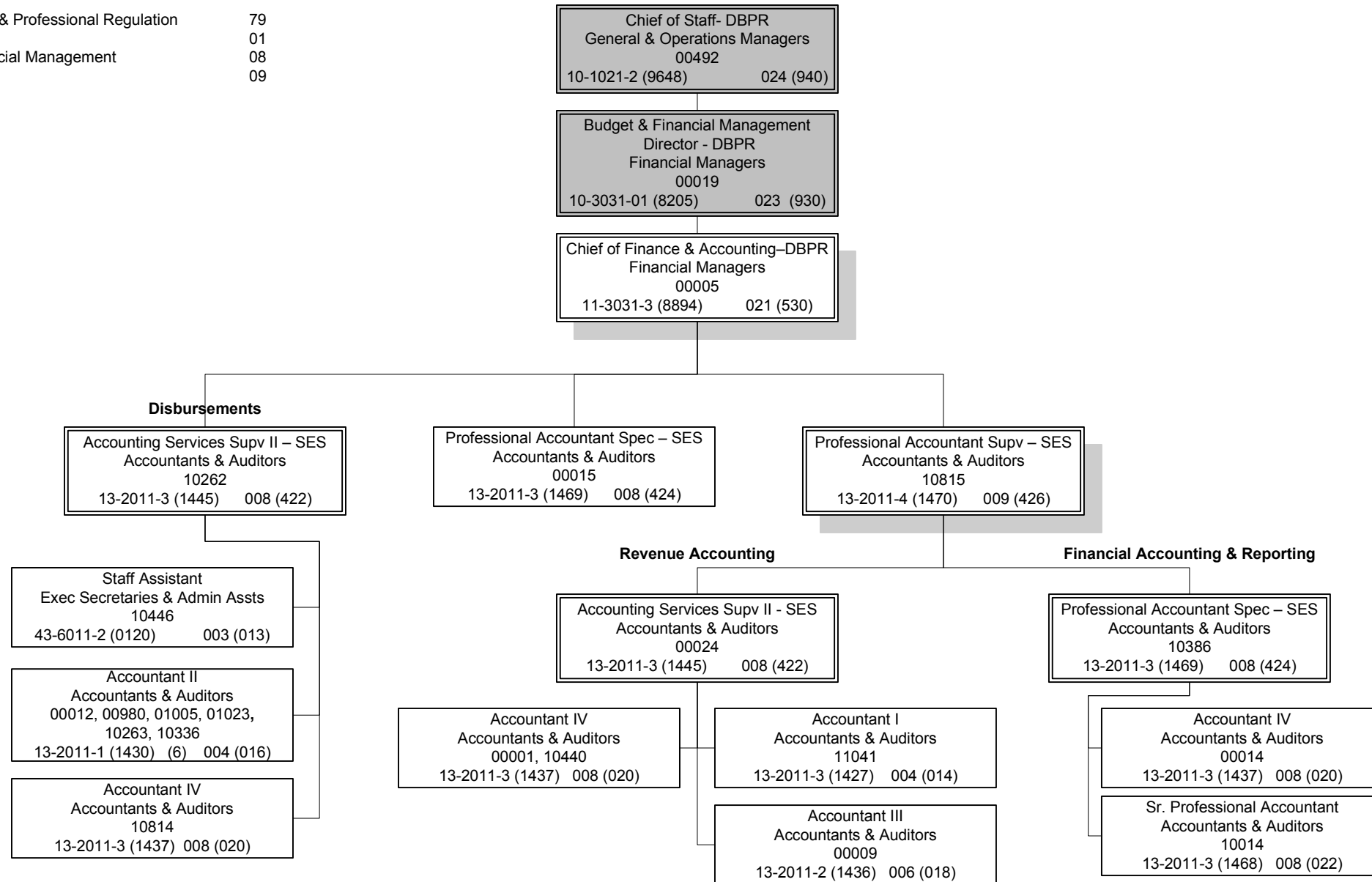
## Office of the Secretary Office of Budget & Financial Management



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

Department of Business & Professional Regulation 79  
Office of the Secretary 01  
Office of Budget & Financial Management 08  
Finance & Accounting 09

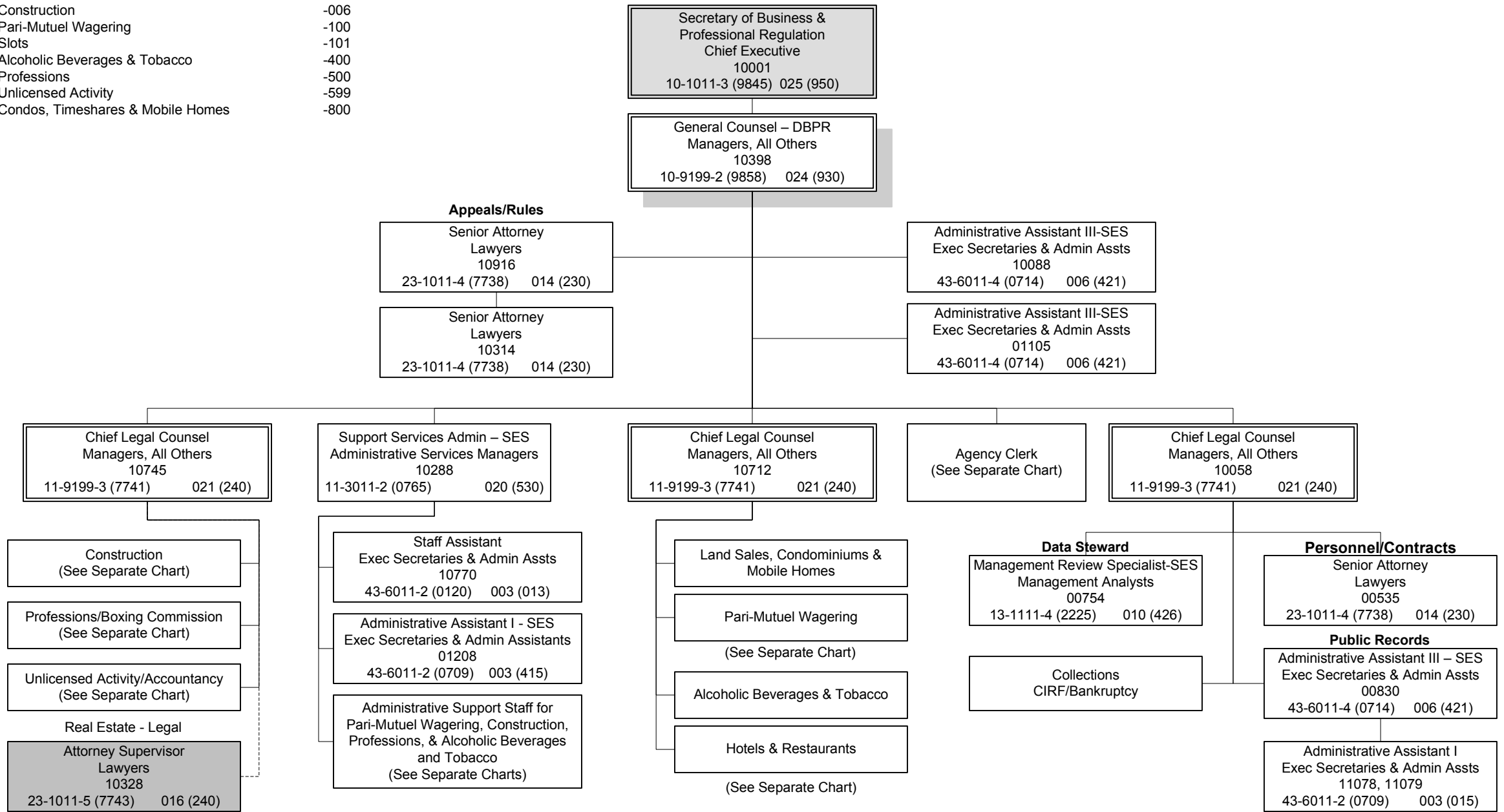
Current: 6-30-10  
Last Updated: 2-01-10



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

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

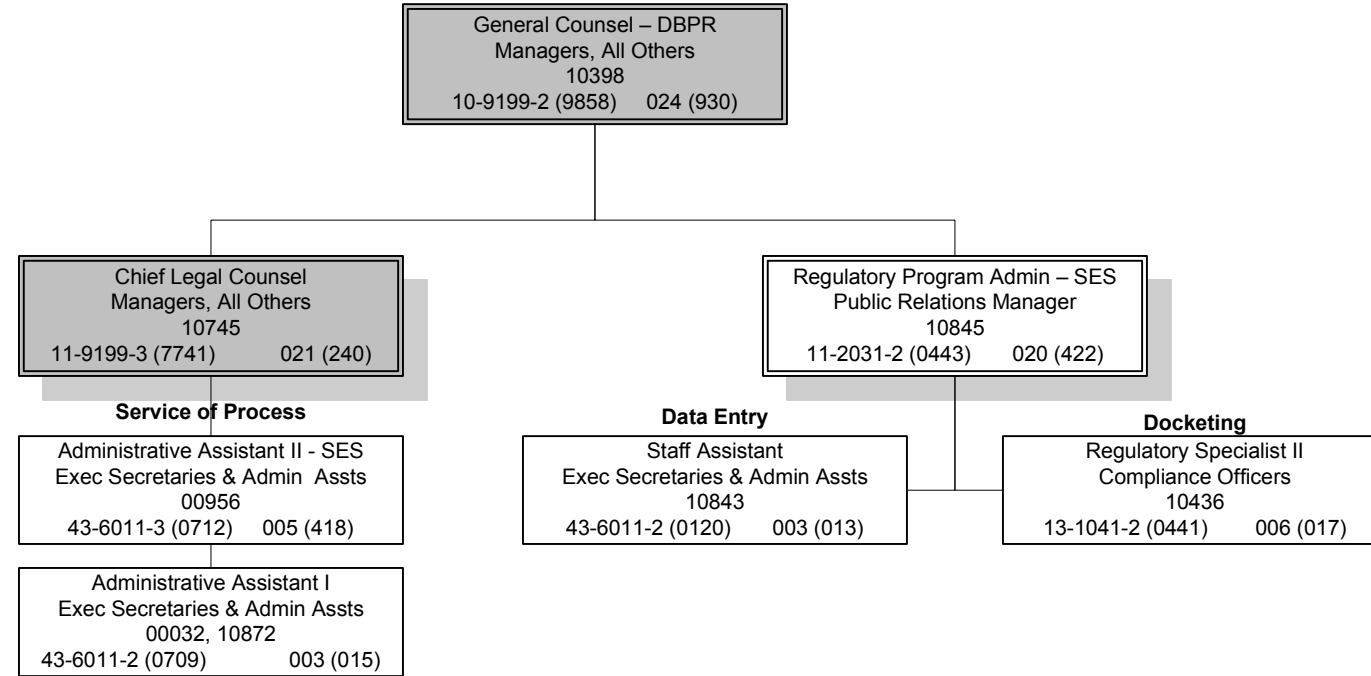
Current: 6-30-10  
Last updated: 4-8-10



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

## Office of the General Counsel Agency Clerk/Service of Process

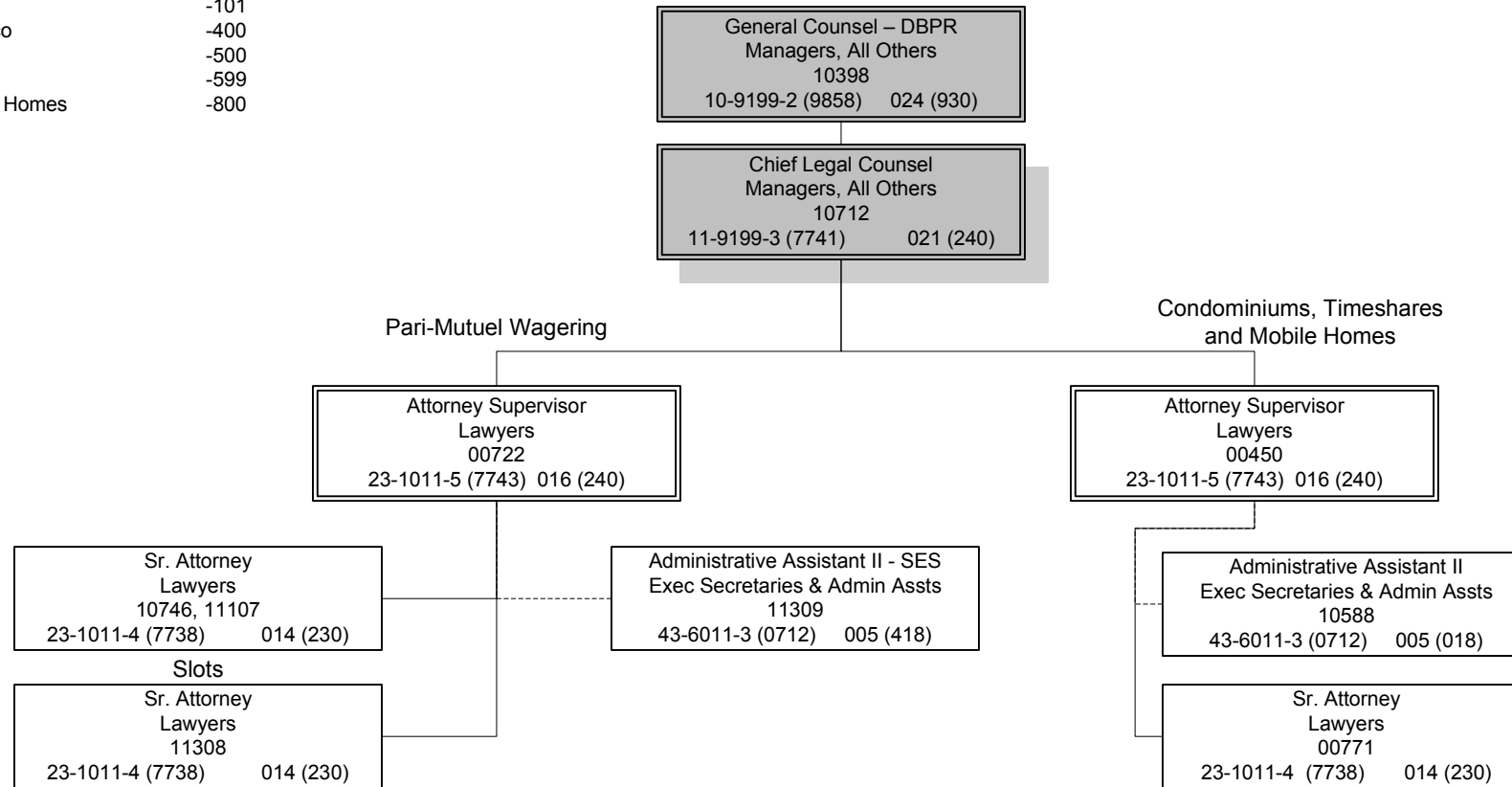
Current: 6-30-10  
 Last updated: 4-8-10



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

Current: 6-30-10  
 Last updated: 4-8-10

### Office of the General Counsel Pari-Mutuel Wagering/Condominiums, Timeshares, and Mobile Homes



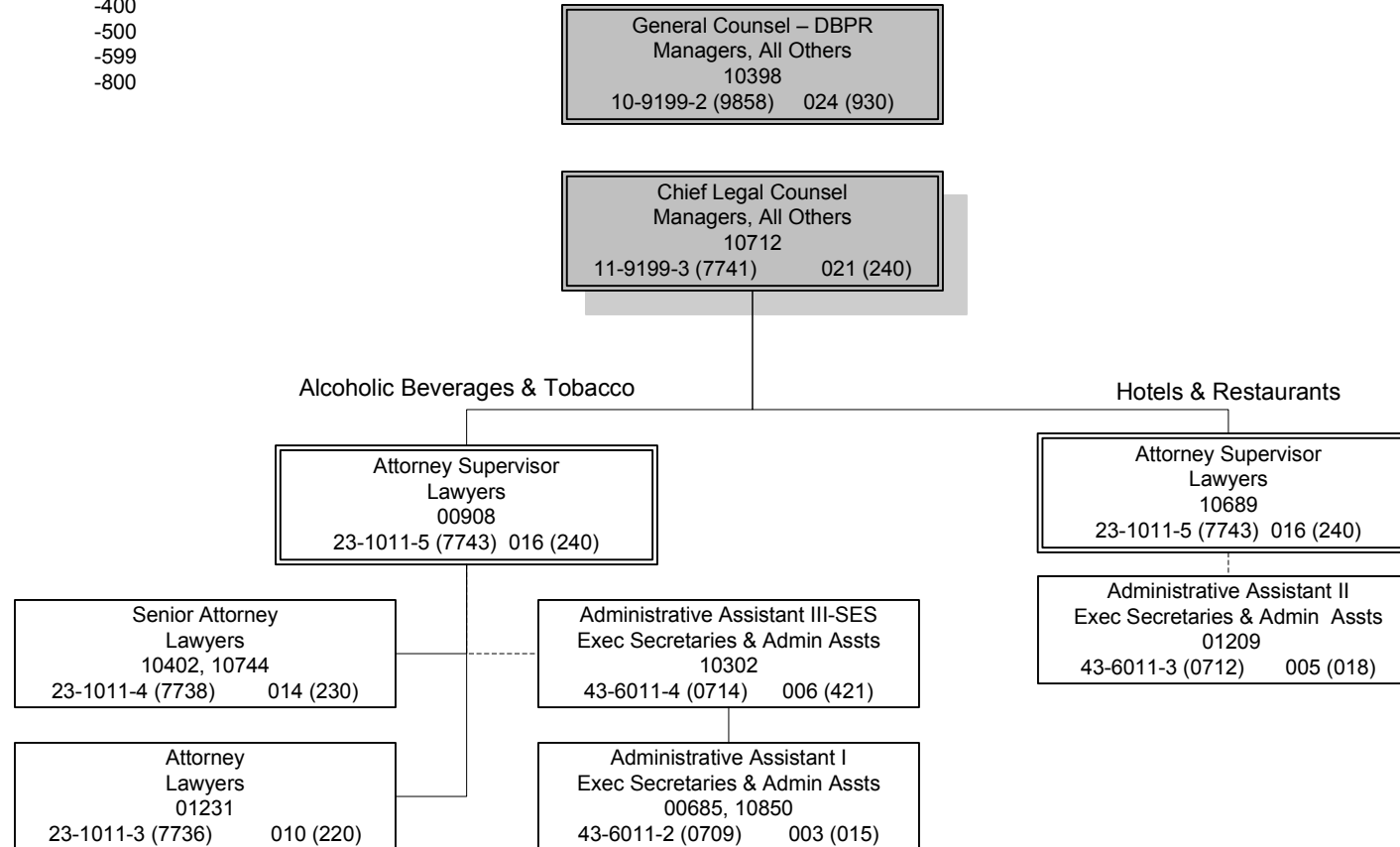
Note: The Administrative Assistant positions #11309 and #10588  
 are jointly supervised by the Attorney Supervisors and the  
 Support Services Administrator-DBPR.



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

## Office of the General Counsel Alcoholic Beverages & Tobacco/ Hotels & Restaurants

Current: 6-30-10  
 Last updated: 1-27-10

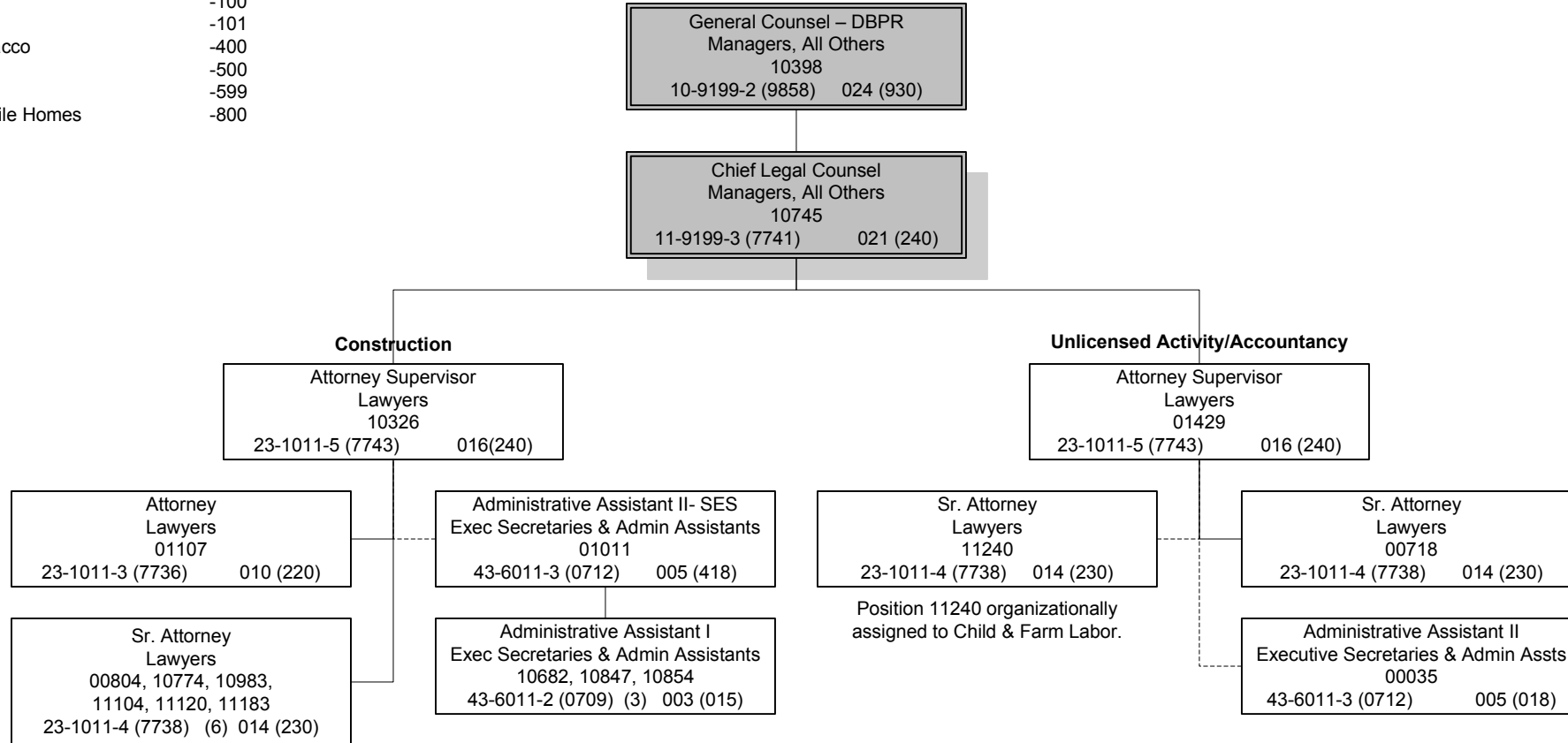


Note: Positions #01209 and #10302 are jointly supervised by the Senior Attorney and the Support Services Administrator-DBPR.

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

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

Current: 6-30-10  
 Last updated: 1-27-10

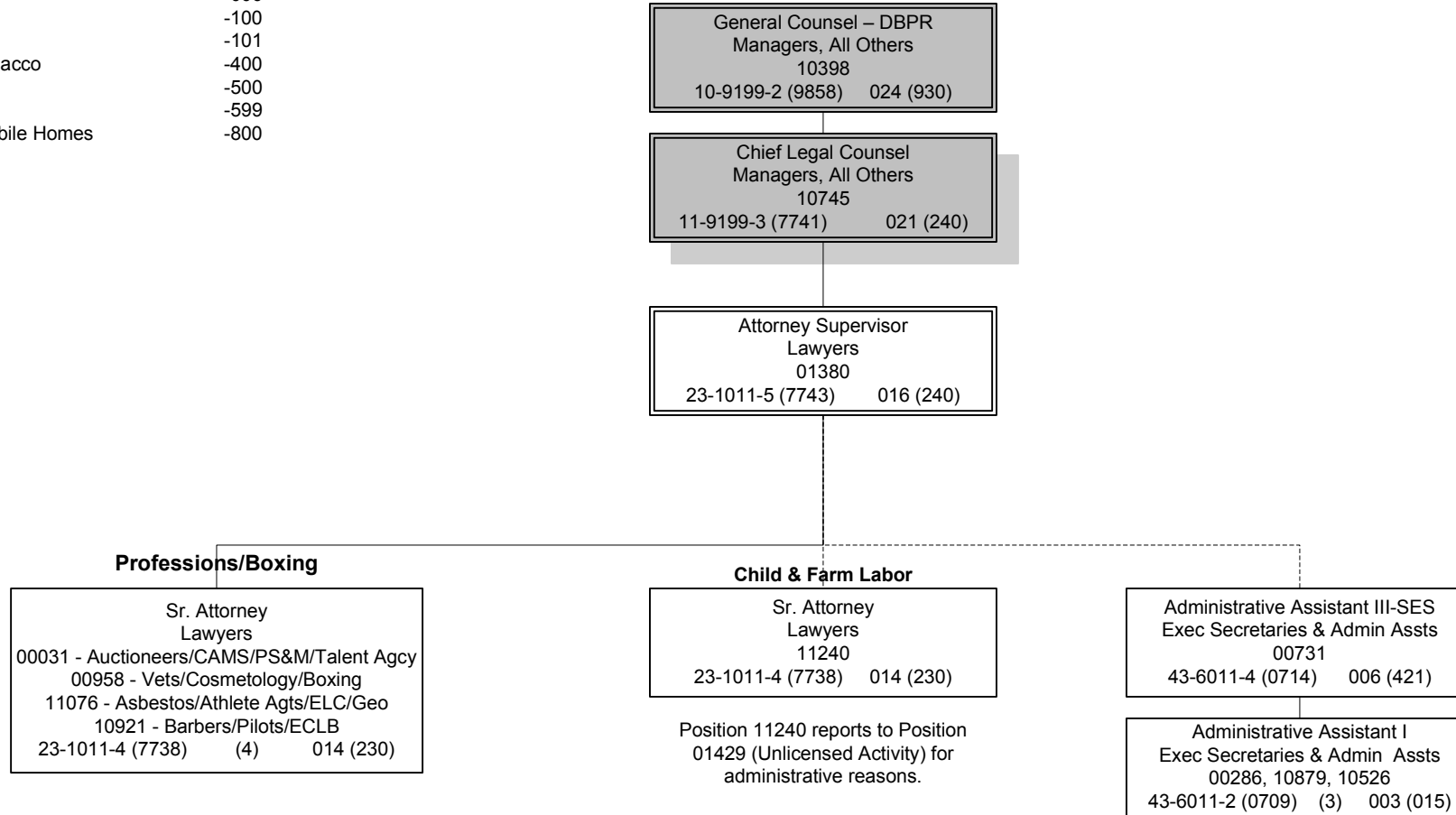


Note: The Administrative Assistant II positions #00035 and #01011, are jointly supervised by the Attorney Supervisor and the Support Services Administrator-DBPR.

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

Current: 6-30-10  
 Last updated: 1-27-10

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

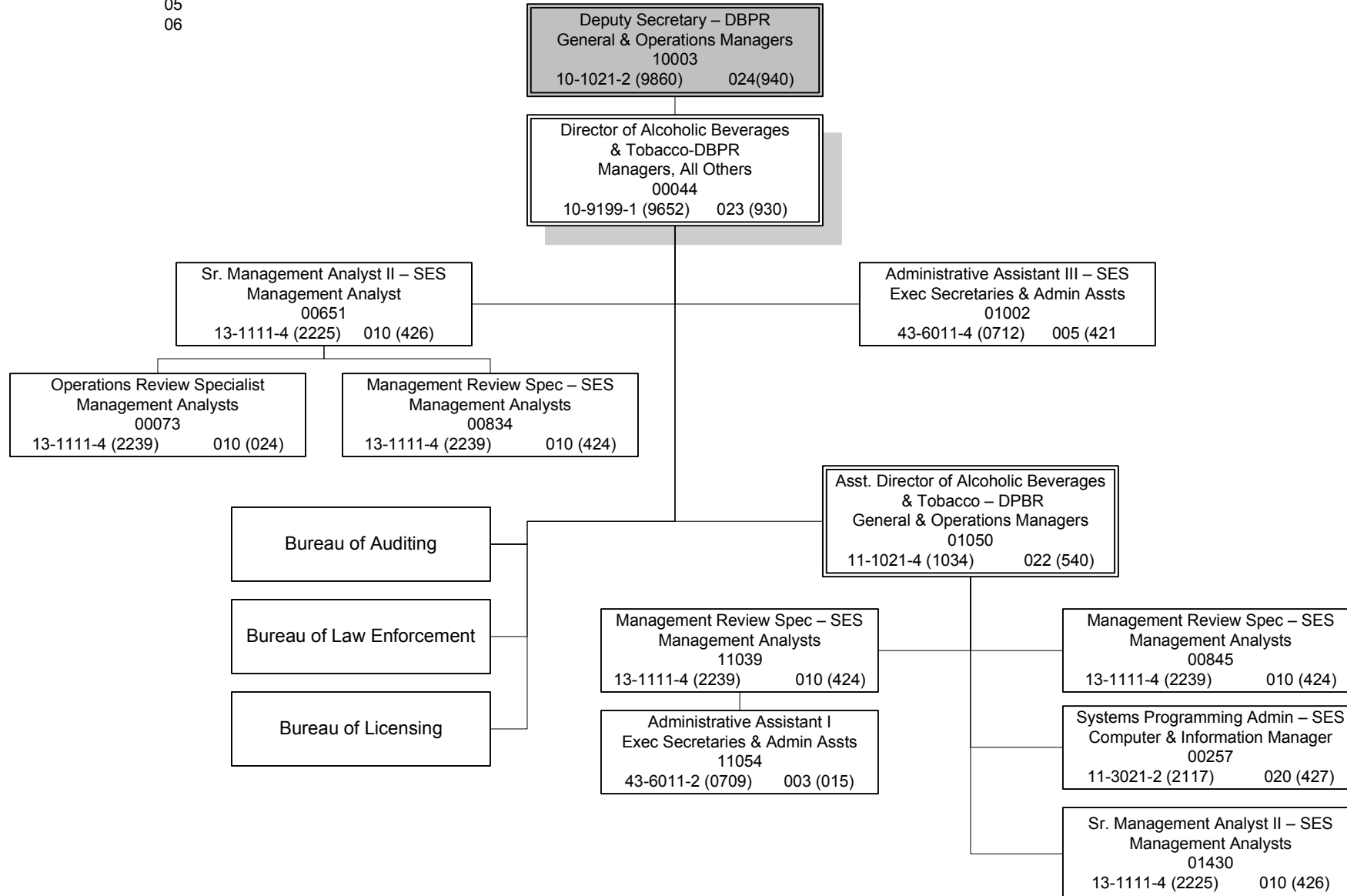


Note: The Administrative Assistant III-SES, position #00731, is jointly supervised by the Attorney Supervisor and the Support Services Administrator-DBPR.

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

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

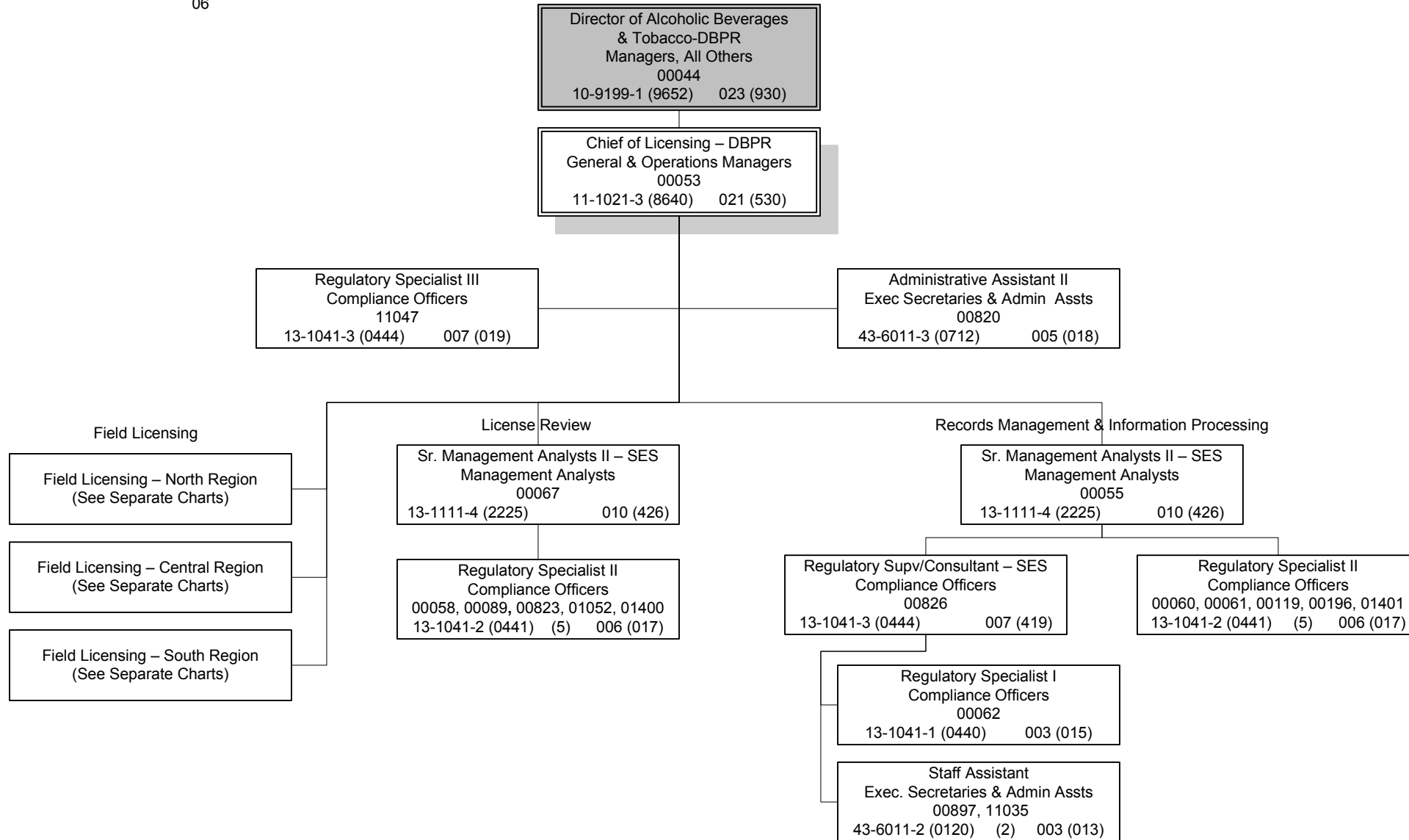
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 Last Updated: 6-14-10



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

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

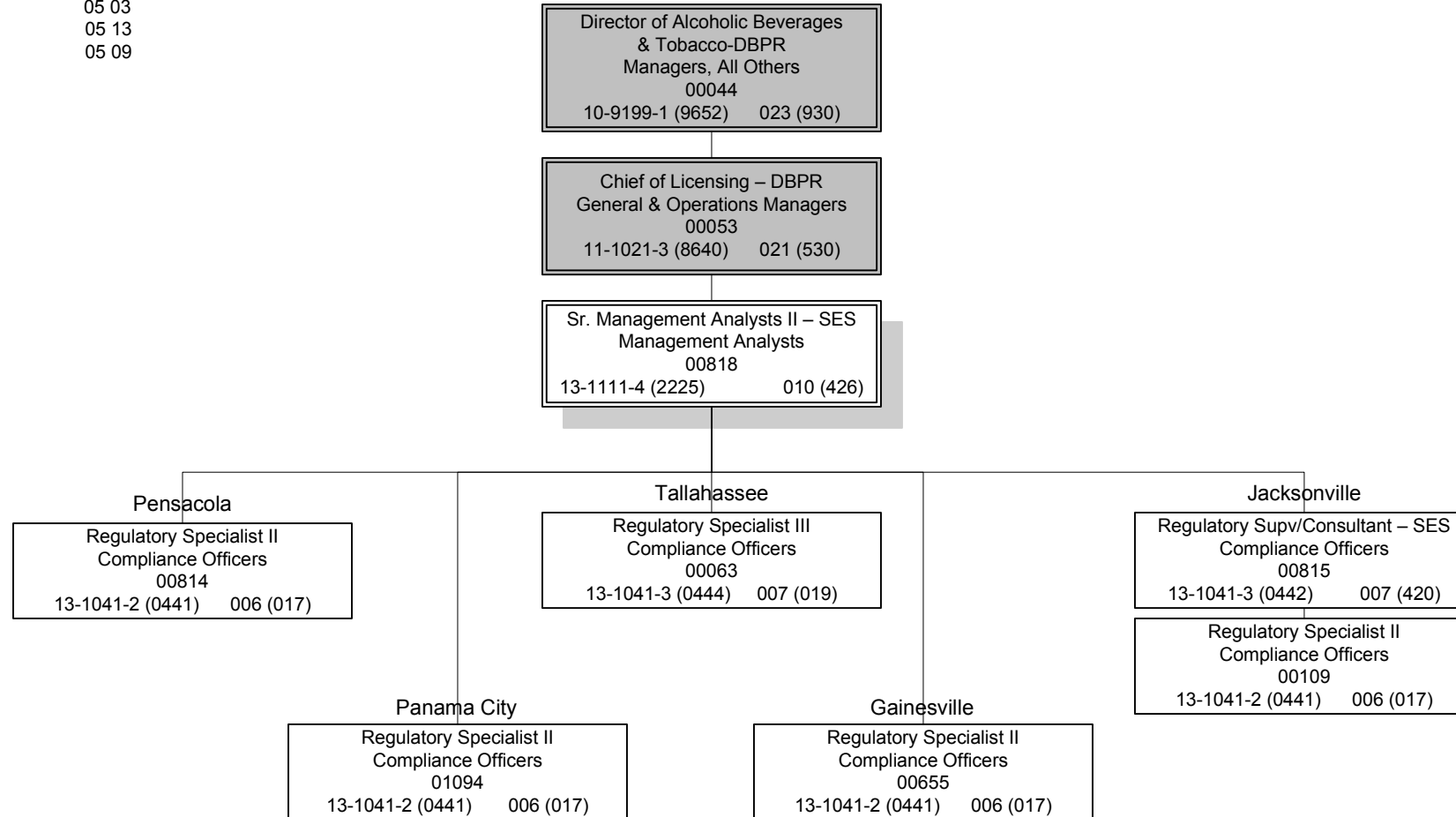
Current: 6-30-10  
 Last Updated: 6-14-10



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

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

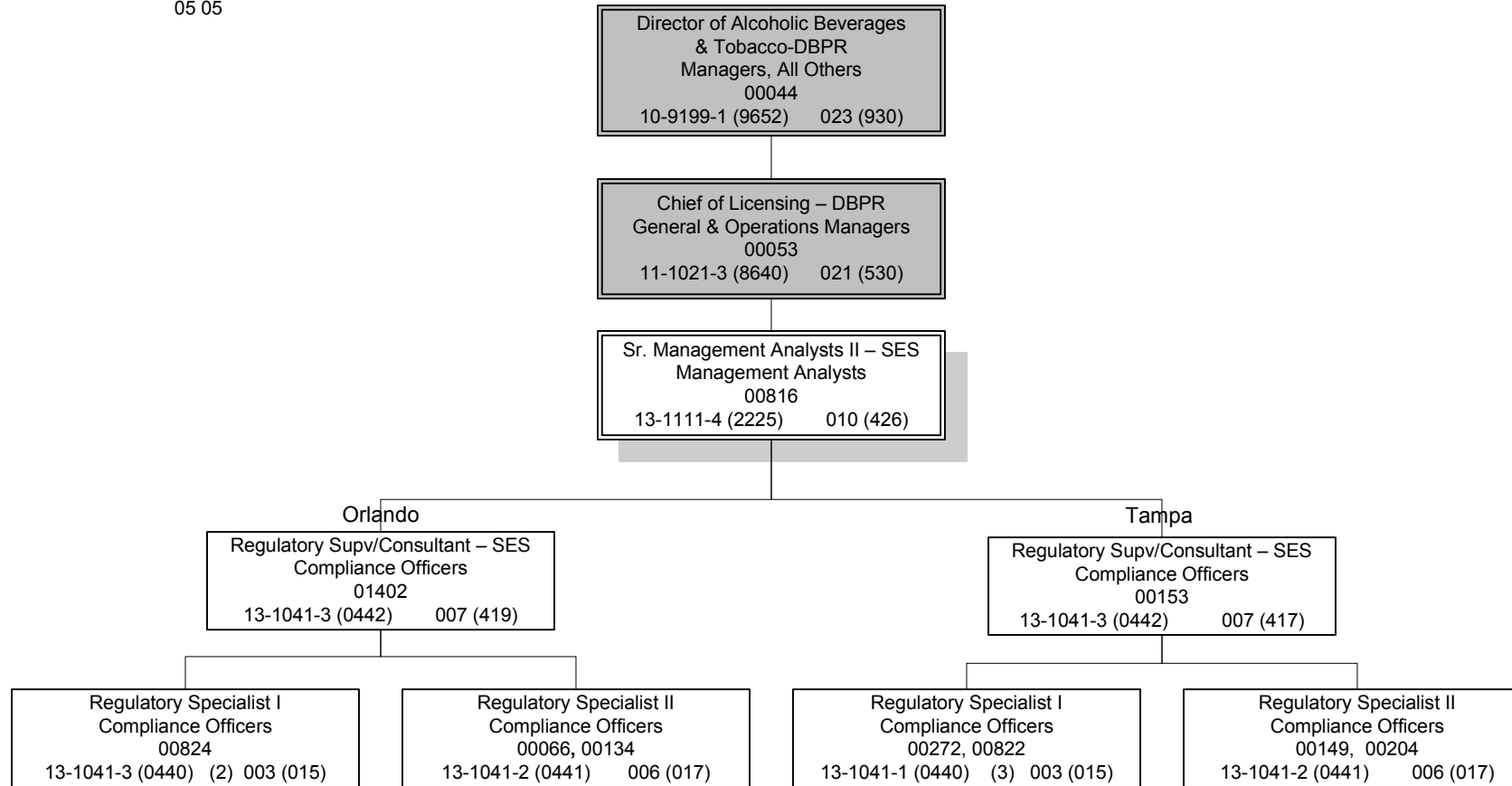
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 Last Updated: 6-14-10



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

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

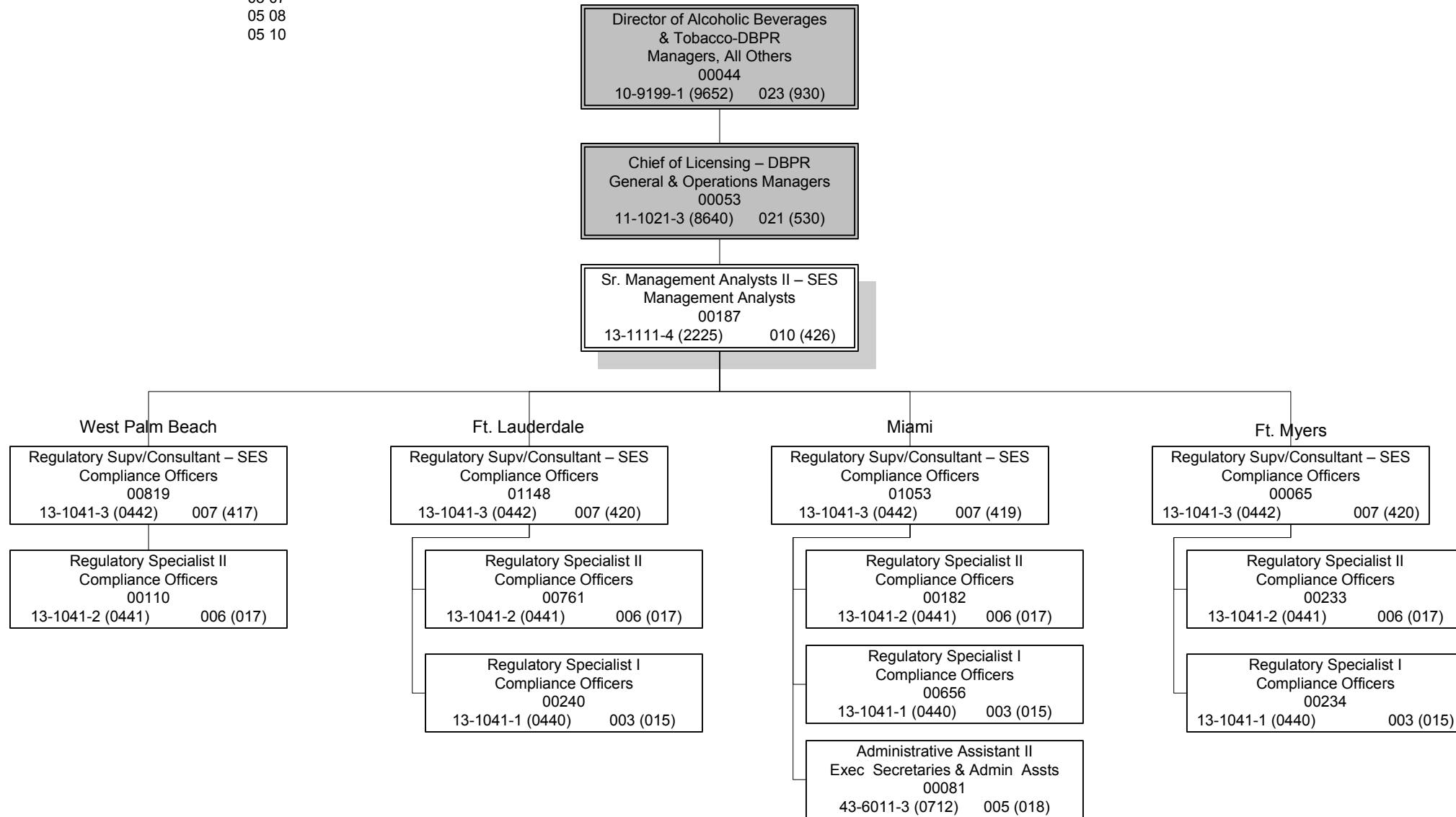
Current: 6-30-10  
 Last Updated: 6-14-10



Department of Business & Professional Regulations 79  
 Division of Alcoholic Beverages & Tobacco 40  
 Bureau of Licensing 05  
 Field Licensing:  
 West Palm Beach 05 06  
 Margate 05 07  
 Miami 05 08  
 Ft. Myers 05 10

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

Current: 6-30-10  
 Last Updated: 6-14-10





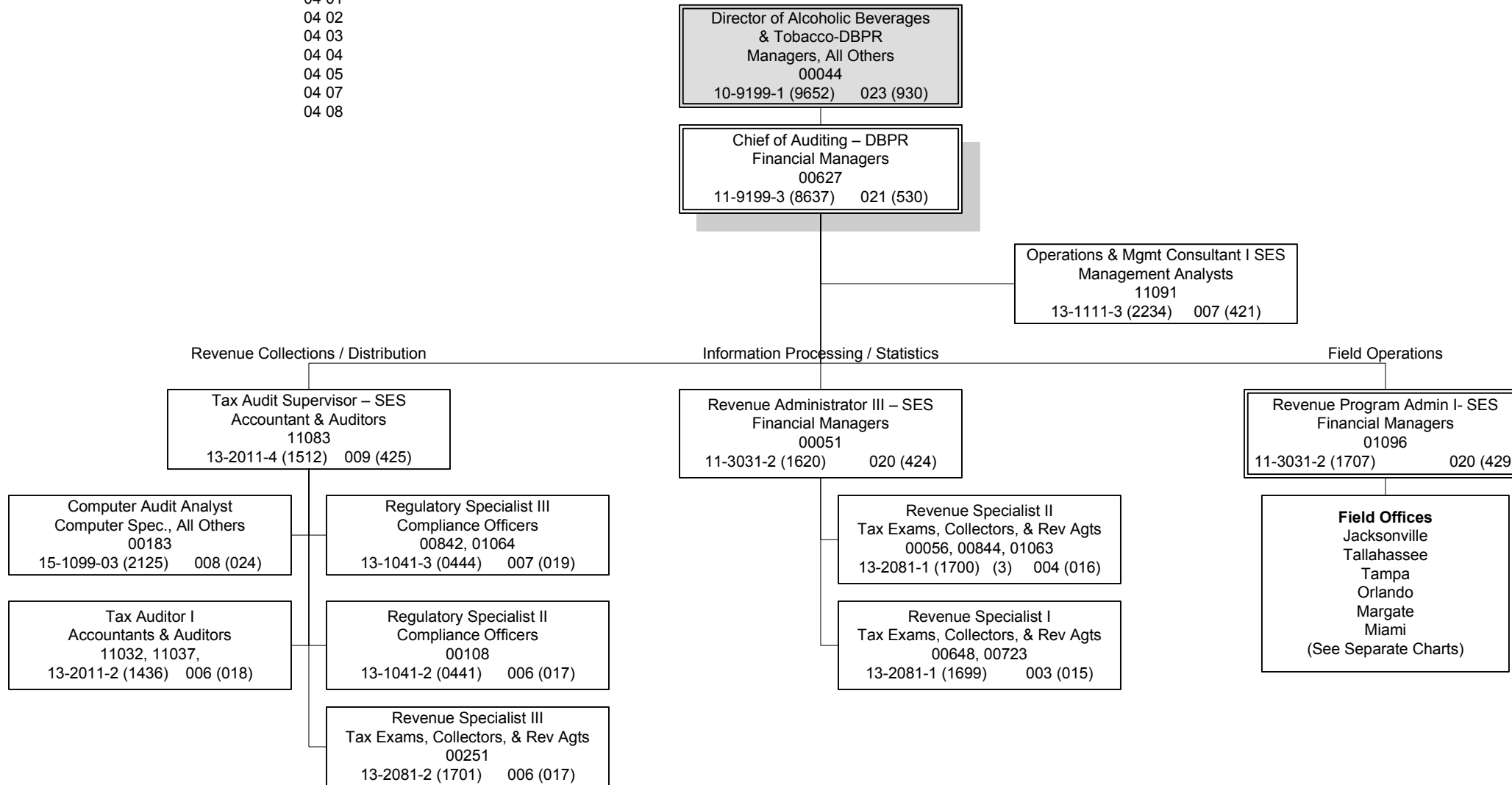
Department of Business and Professional Regulation 79  
 Division of Alcoholic Beverages & Tobacco 40  
 Bureau of Auditing 04  
 Field Operations:  
 Pensacola 04 01  
 Tallahassee 04 02  
 Jacksonville 04 03  
 Tampa 04 04  
 Orlando 04 05  
 Margate 04 07  
 Miami 04 08

## Division of Alcoholic Beverages & Tobacco

### Bureau of Auditing

#### Chief's Office

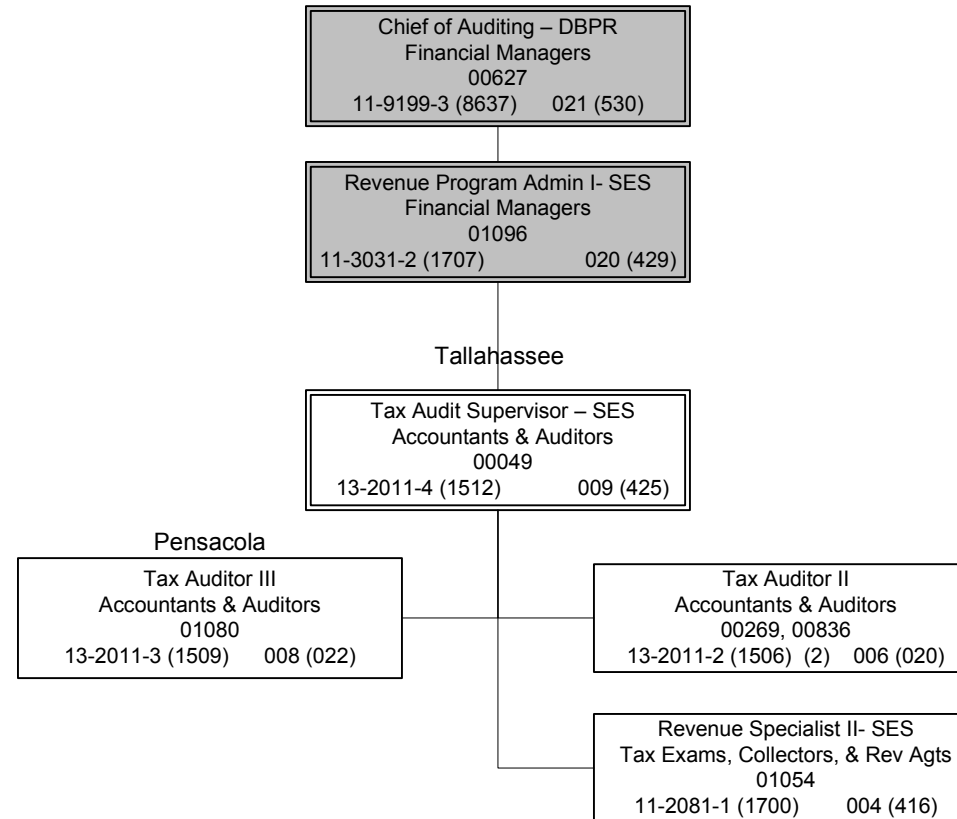
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Department of Business and Professional Regulation 79  
 Division of Alcoholic Beverages & Tobacco 40  
 Bureau of Auditing 04  
 Field Operations:  
 Pensacola 04 01  
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 Jacksonville 04 03  
 Tampa 04 04  
 Orlando 04 05  
 Margate 04 07  
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Current: 6-30-10  
 Last Updated: 6-14-10

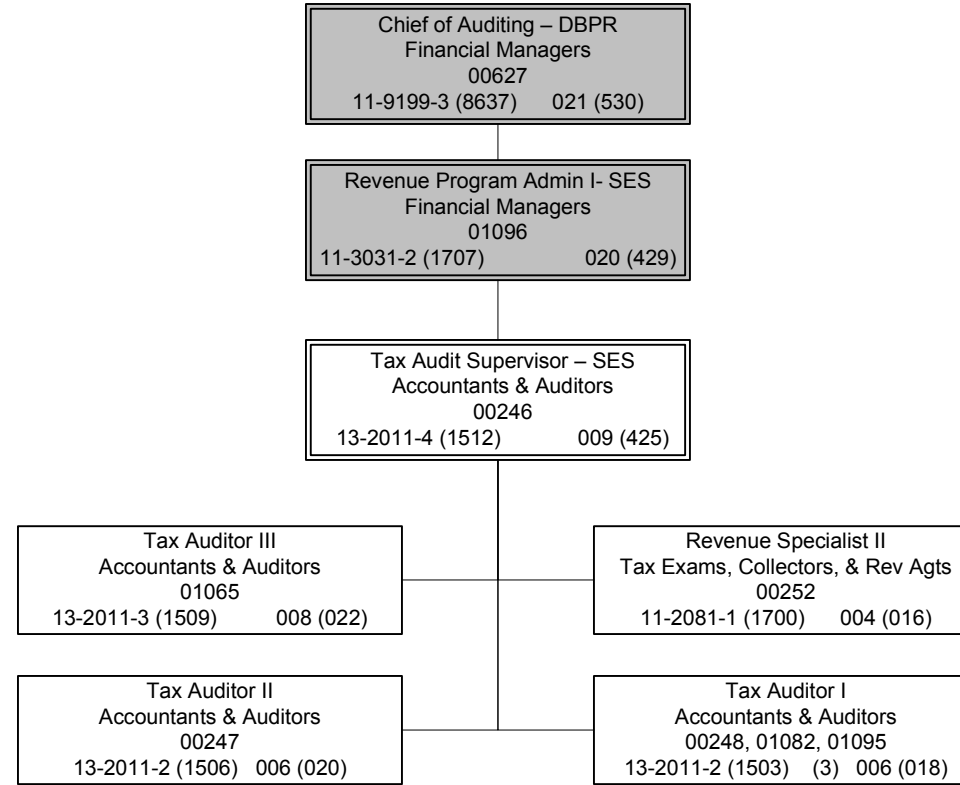
## Division of Alcoholic Beverages & Tobacco Bureau of Auditing Pensacola and Tallahassee Field Offices



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

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

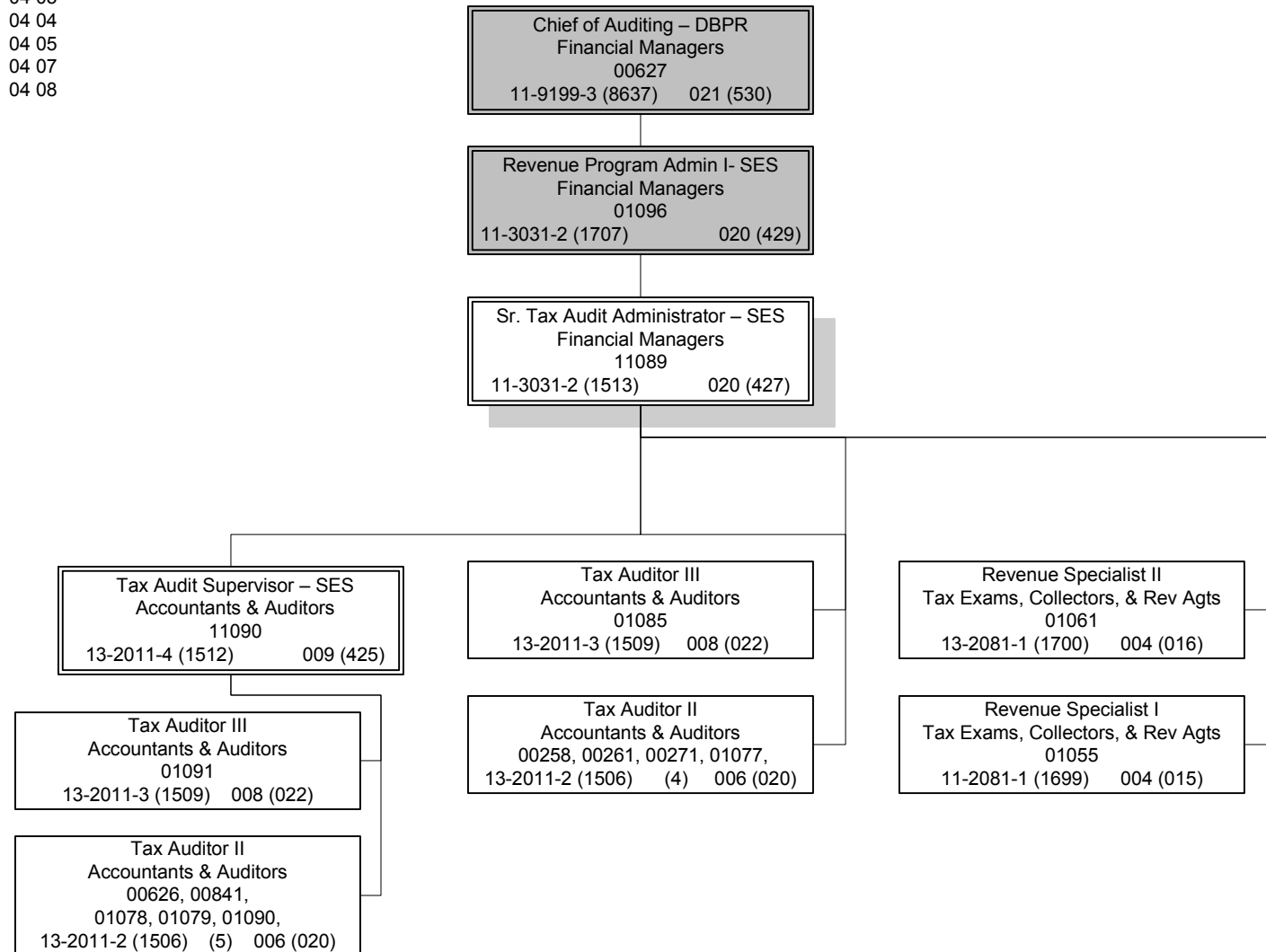
Current: 6-30-10  
 Last Updated: 6-14-10



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

Current: 6-30-10  
 Last Updated: 6-14-10

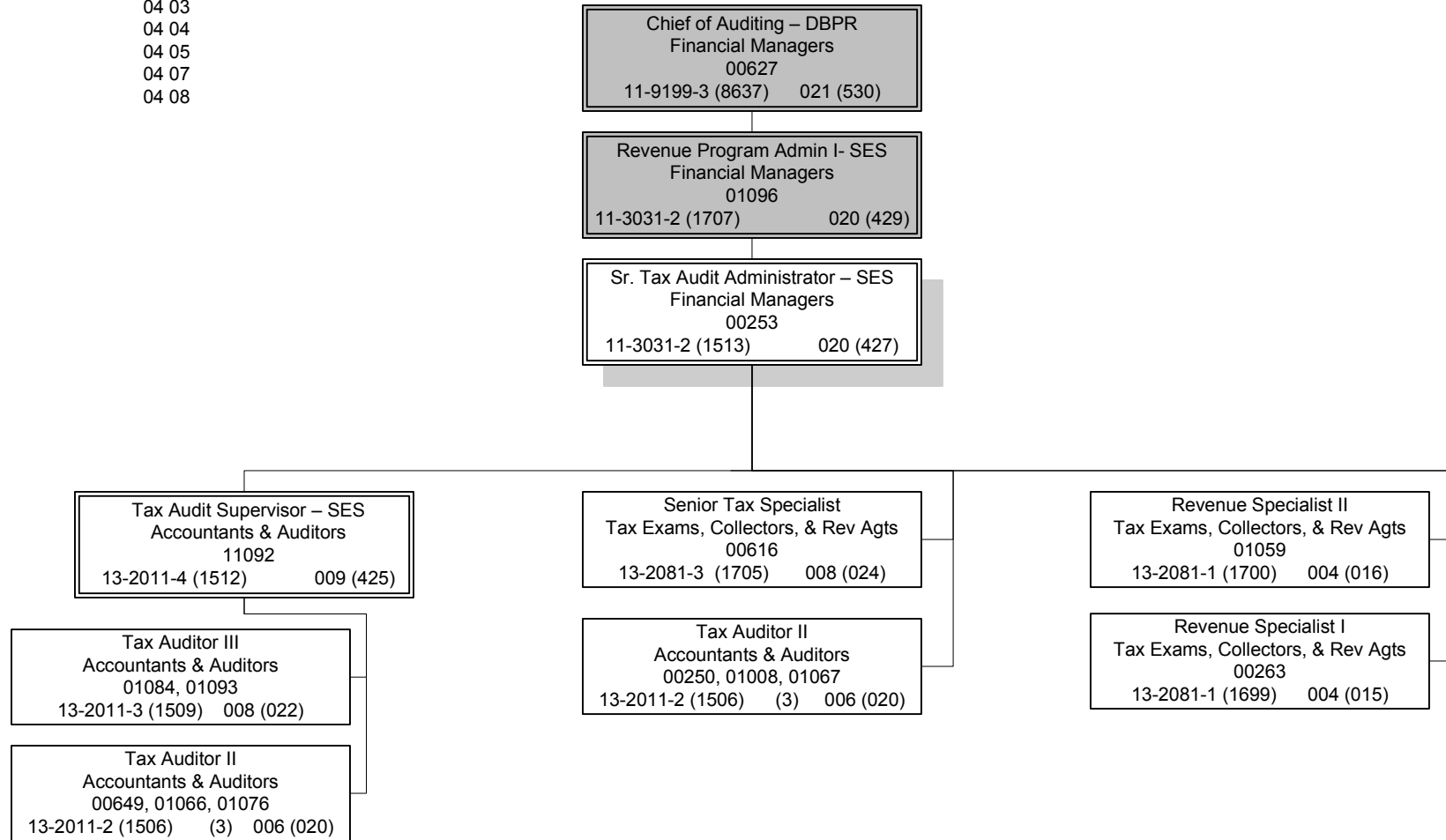
## Division of Alcoholic Beverages & Tobacco Bureau of Auditing Tampa Field Office



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

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

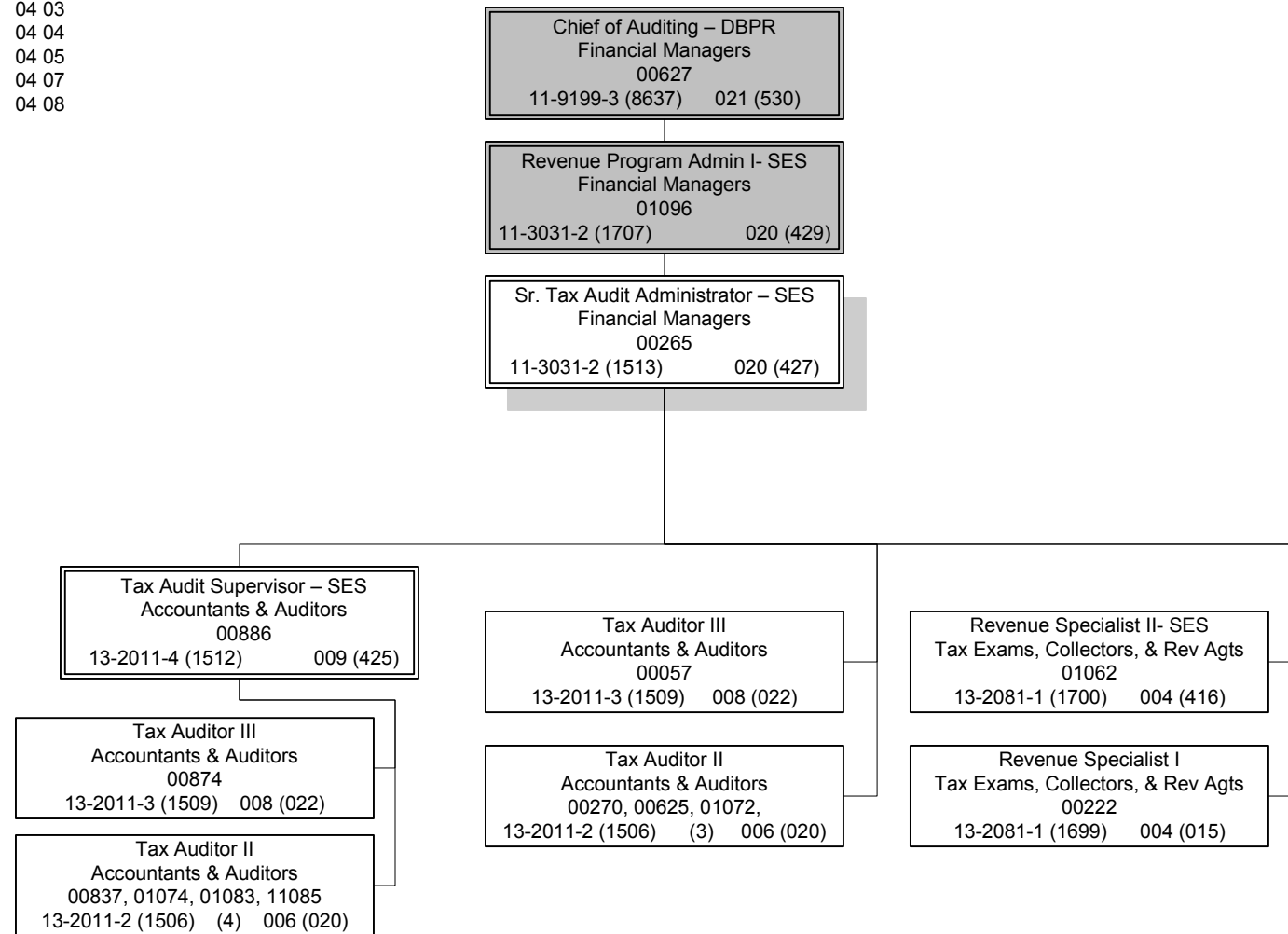
Current: 6-30-10  
 Last Updated: 6-14-10



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

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

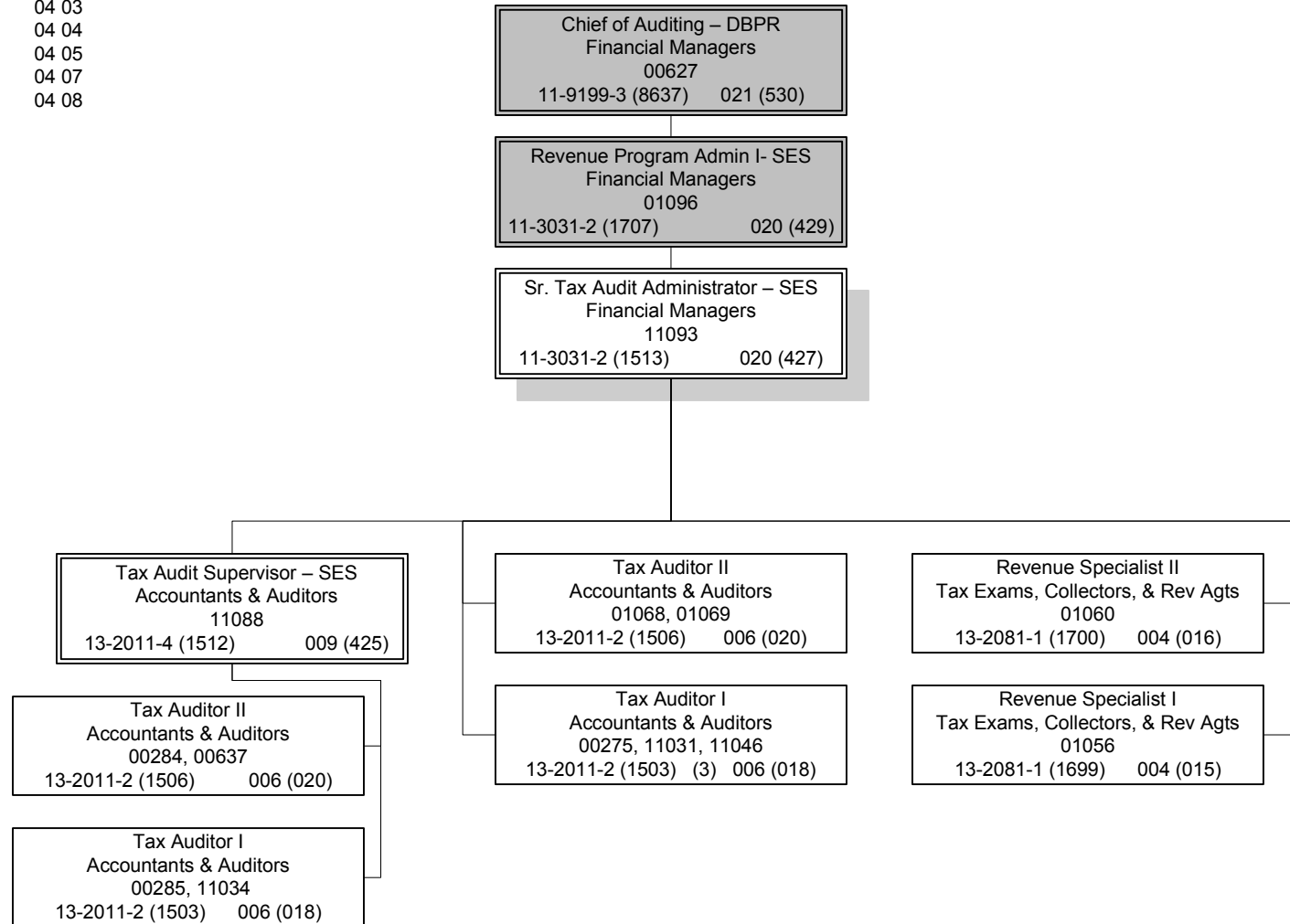
Current: 6-30-10  
 Last Updated: 6-14-10



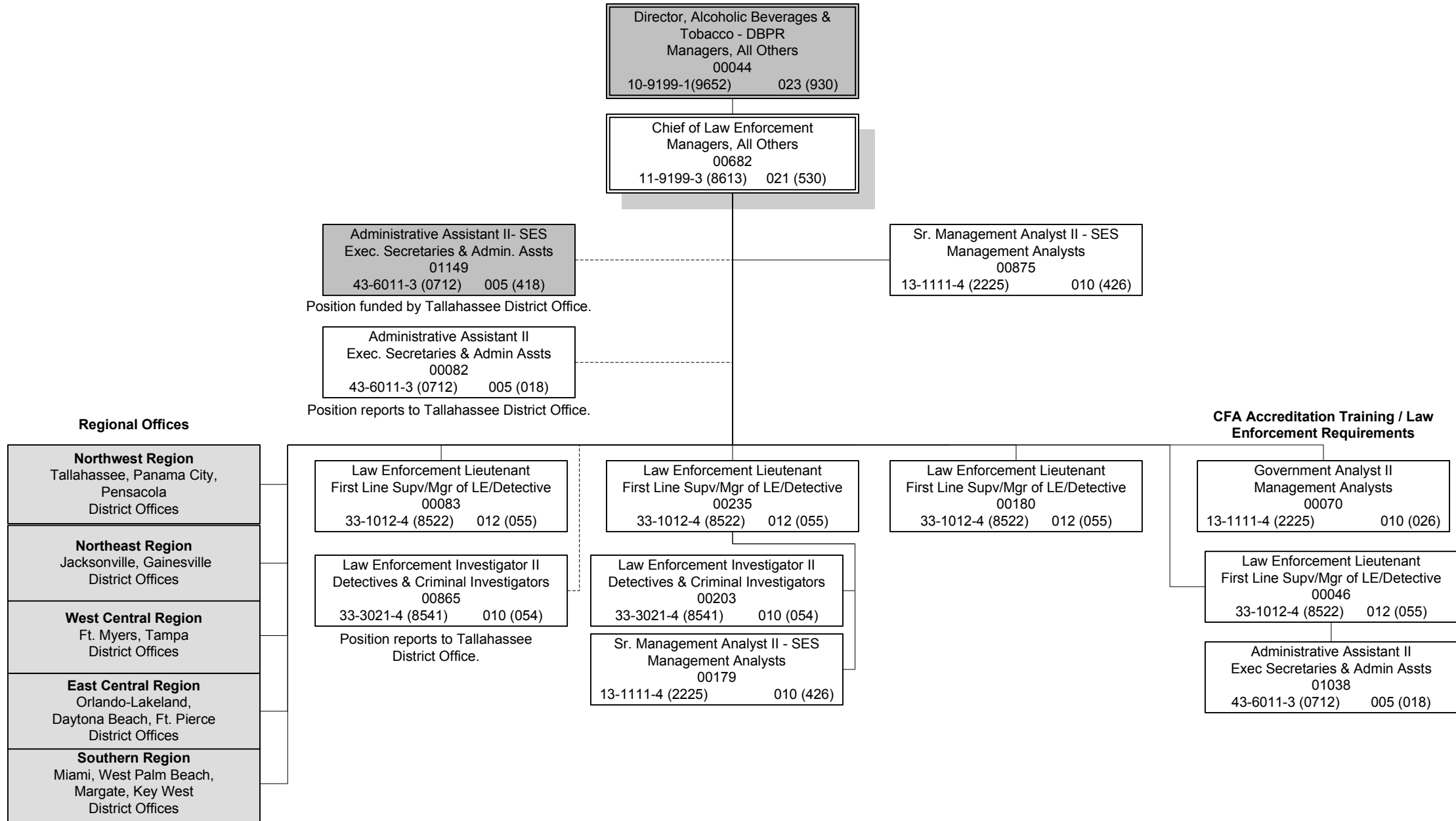
Department of Business and Professional Regulation 79  
 Division of Alcoholic Beverages & Tobacco 40  
 Bureau of Auditing 04  
 Field Operations:  
 Pensacola 04 01  
 Tallahassee 04 02  
 Jacksonville 04 03  
 Tampa 04 04  
 Orlando 04 05  
 Margate 04 07  
 Miami 04 08

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

Current: 6-30-10  
 Last Updated: 6-14-10



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



**Regional Offices**

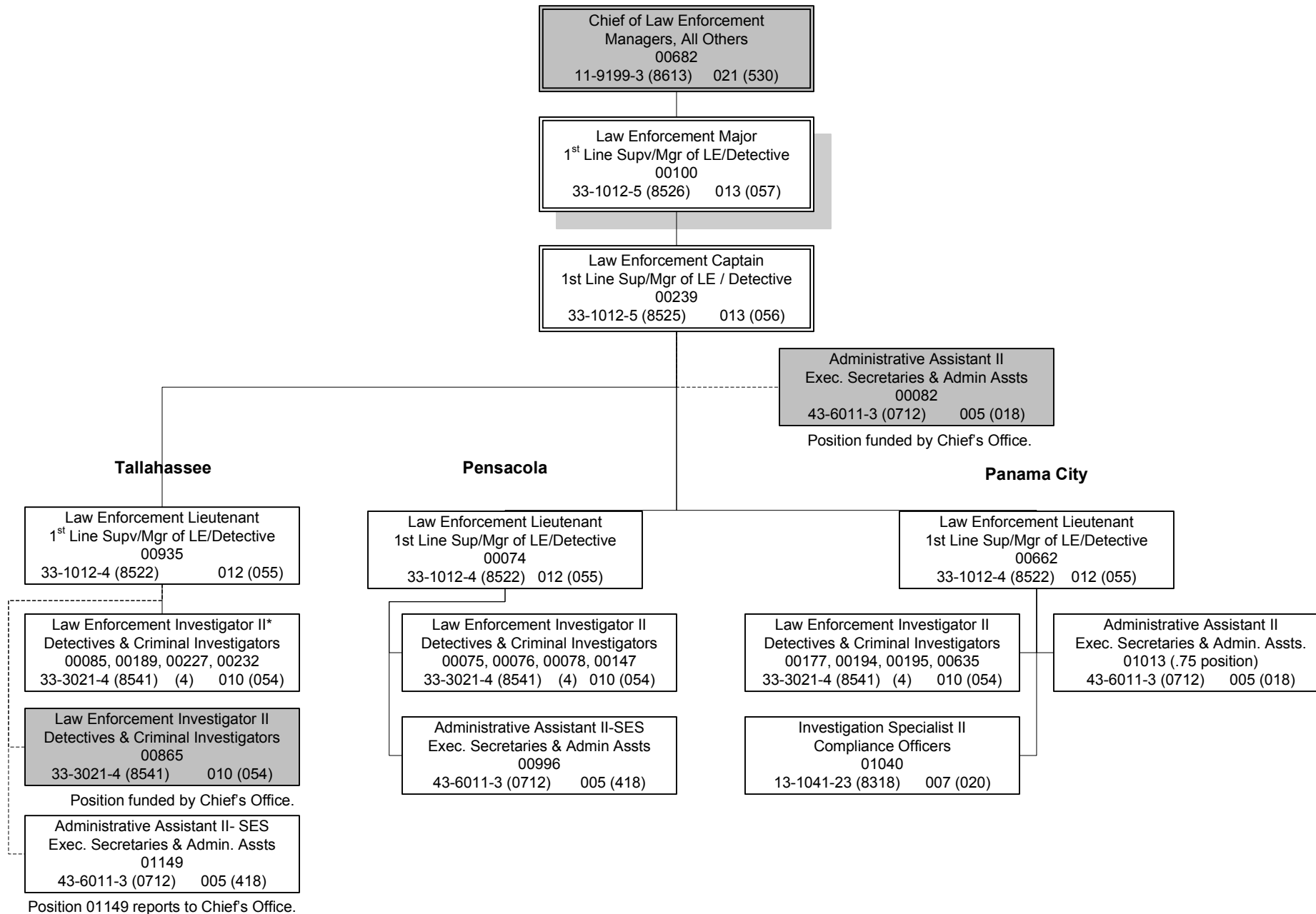
- Northwest Region**  
Tallahassee, Panama City,  
Pensacola  
District Offices
- Northeast Region**  
Jacksonville, Gainesville  
District Offices
- West Central Region**  
Ft. Myers, Tampa  
District Offices
- East Central Region**  
Orlando-Lakeland,  
Daytona Beach, Ft. Pierce  
District Offices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

**CFA Accreditation Training / Law  
Enforcement Requirements**

See Separate Charts



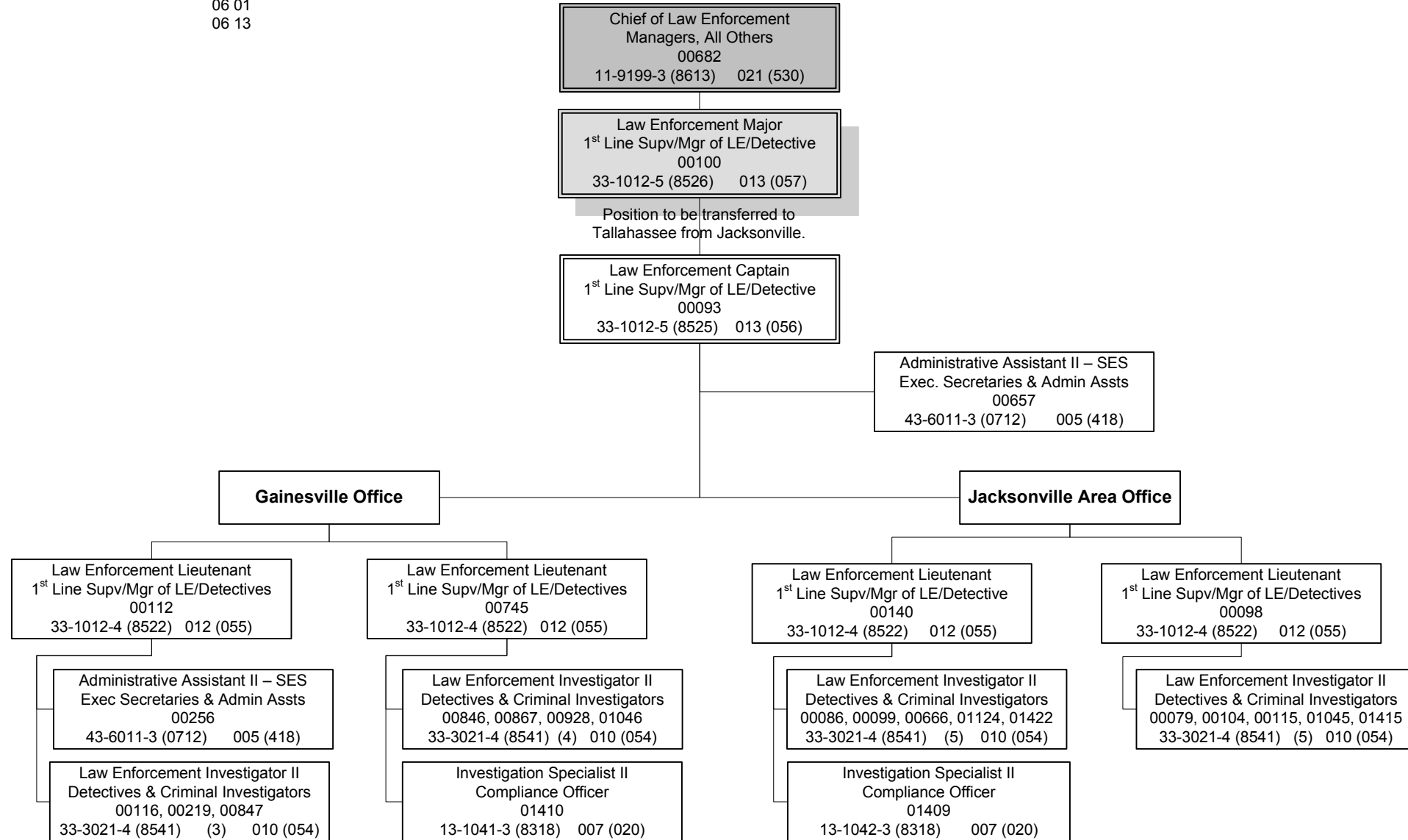
**Division of Alcoholic Beverages & Tobacco**  
**Bureau of Enforcement - Northwest Region**  
**Tallahassee, Pensacola & Panama City District Offices**



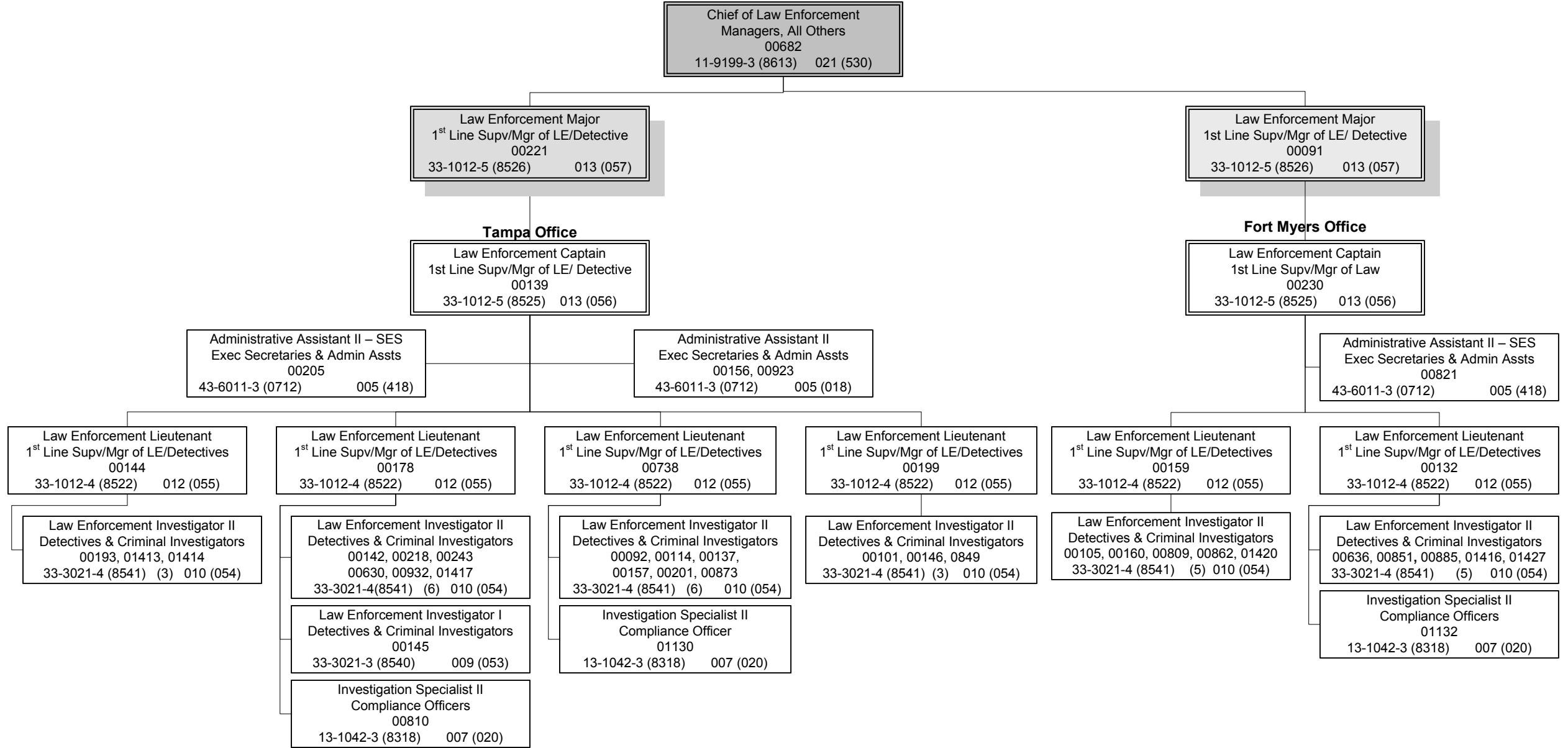
Department of Business & Professional Regulation 79  
 Division of Alcoholic Beverages & Tobacco 40  
 Bureau of Law Enforcement 06  
 Northeast Region:  
 Gainesville 06 01  
 Jacksonville 06 13

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

Current: 6-30-10  
 Last Updated: 5-26-10



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

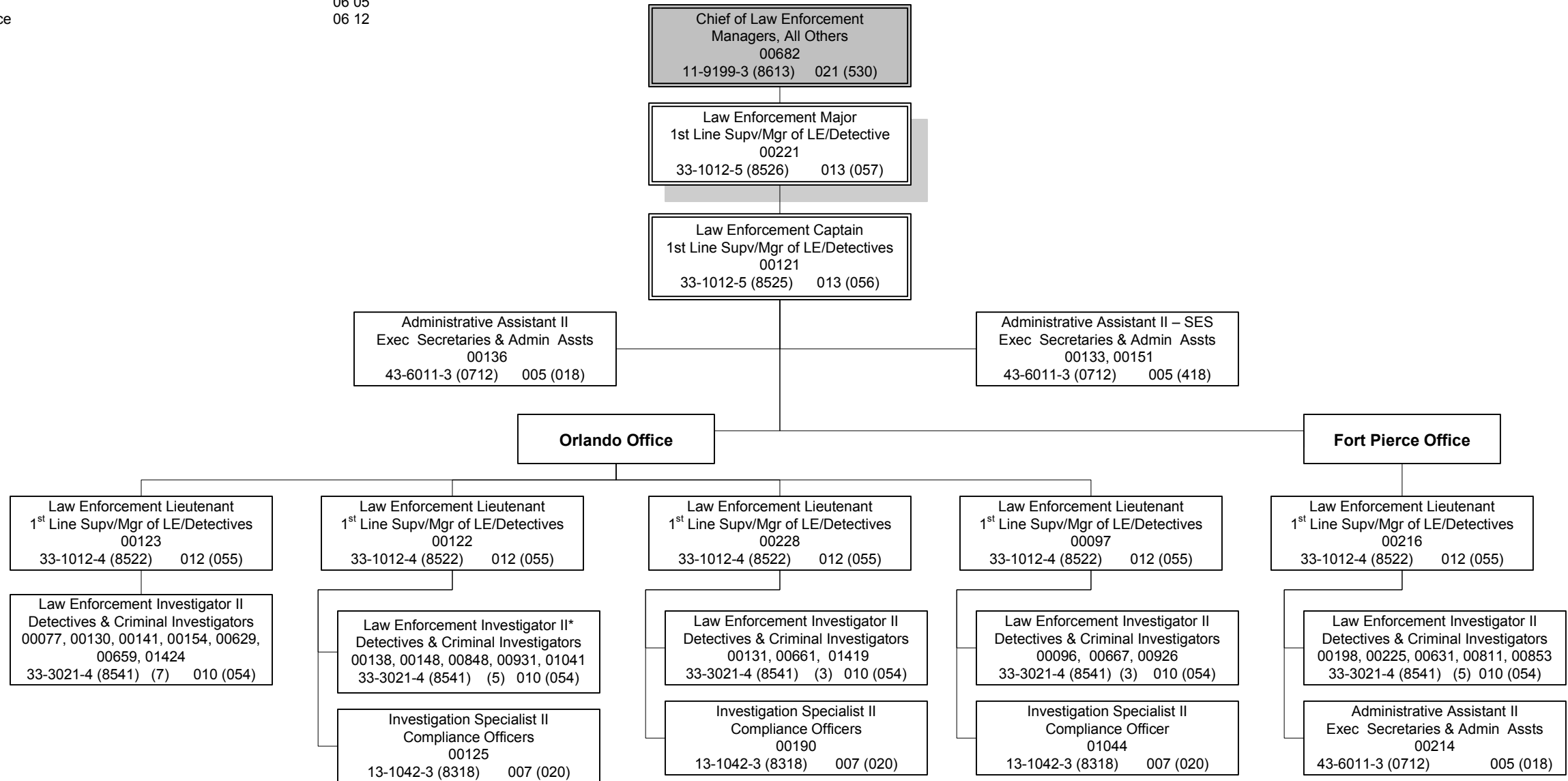


Department of Business & Professional Regulation  
 Division of Alcoholic Beverages & Tobacco  
 Bureau of Law Enforcement  
 East Central Region:  
 Orlando  
 Fort Pierce

79  
 40  
 06  
 06 05  
 06 12

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

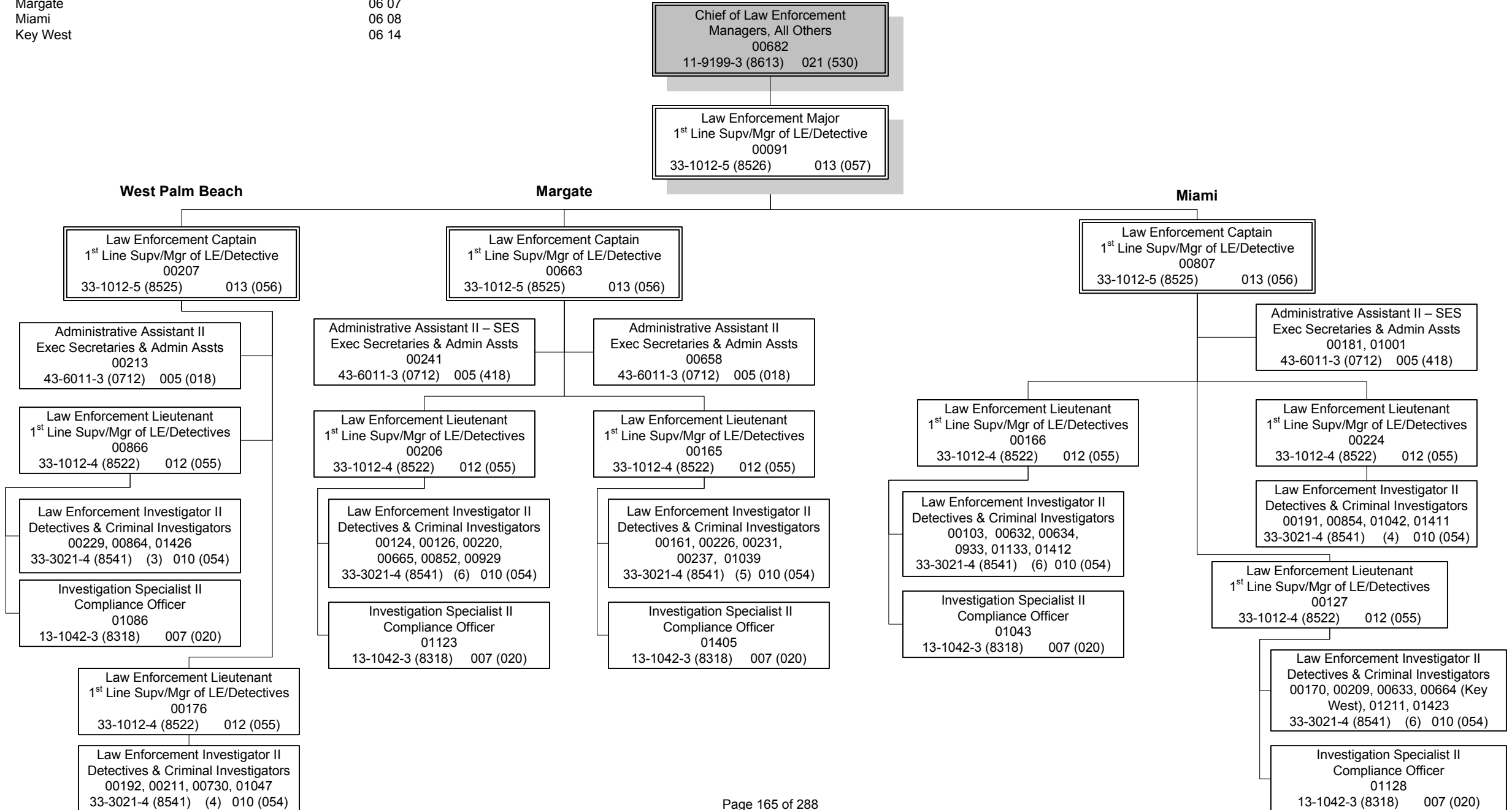
Current: 6-9-10  
 Last Updated: 6-30-10



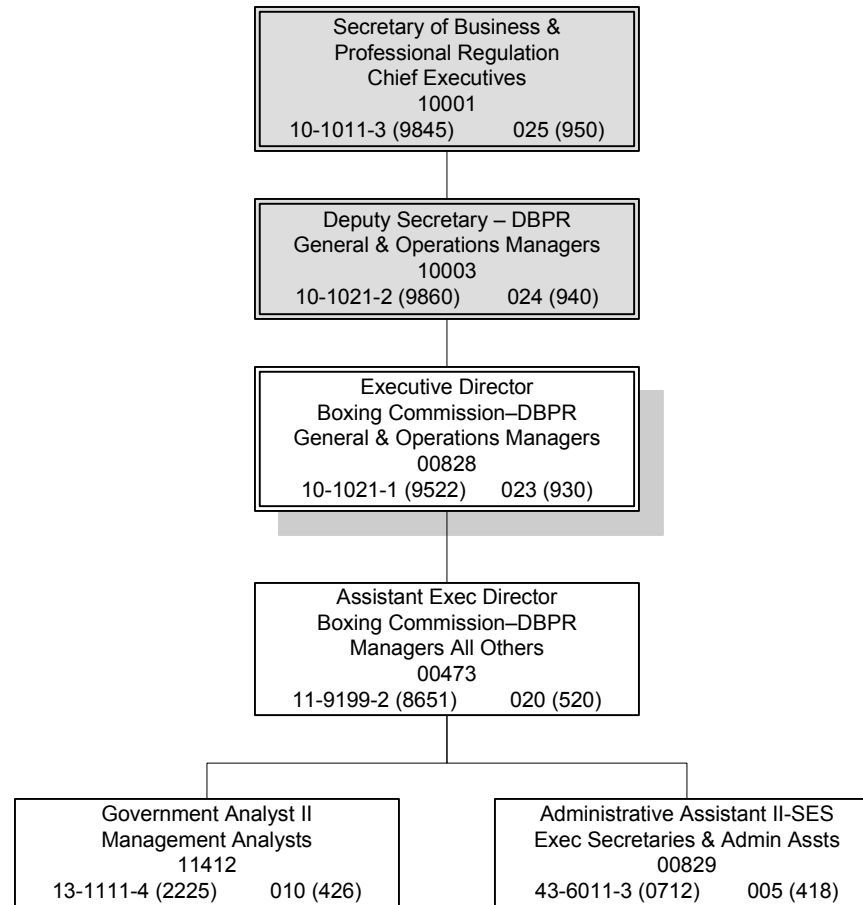
Department of Business & Professional Regulation 79  
 Division of Alcoholic Beverages & Tobacco 40  
 Bureau of Law Enforcement 06  
 Southern Region:  
 West Palm Beach 06 06  
 Margate 06 07  
 Miami 06 08  
 Key West 06 14

**Division of Alcoholic Beverages & Tobacco**  
**Bureau of Enforcement - Southern Region**  
**Miami, Margate, &**  
**West Palm Beach District Offices**

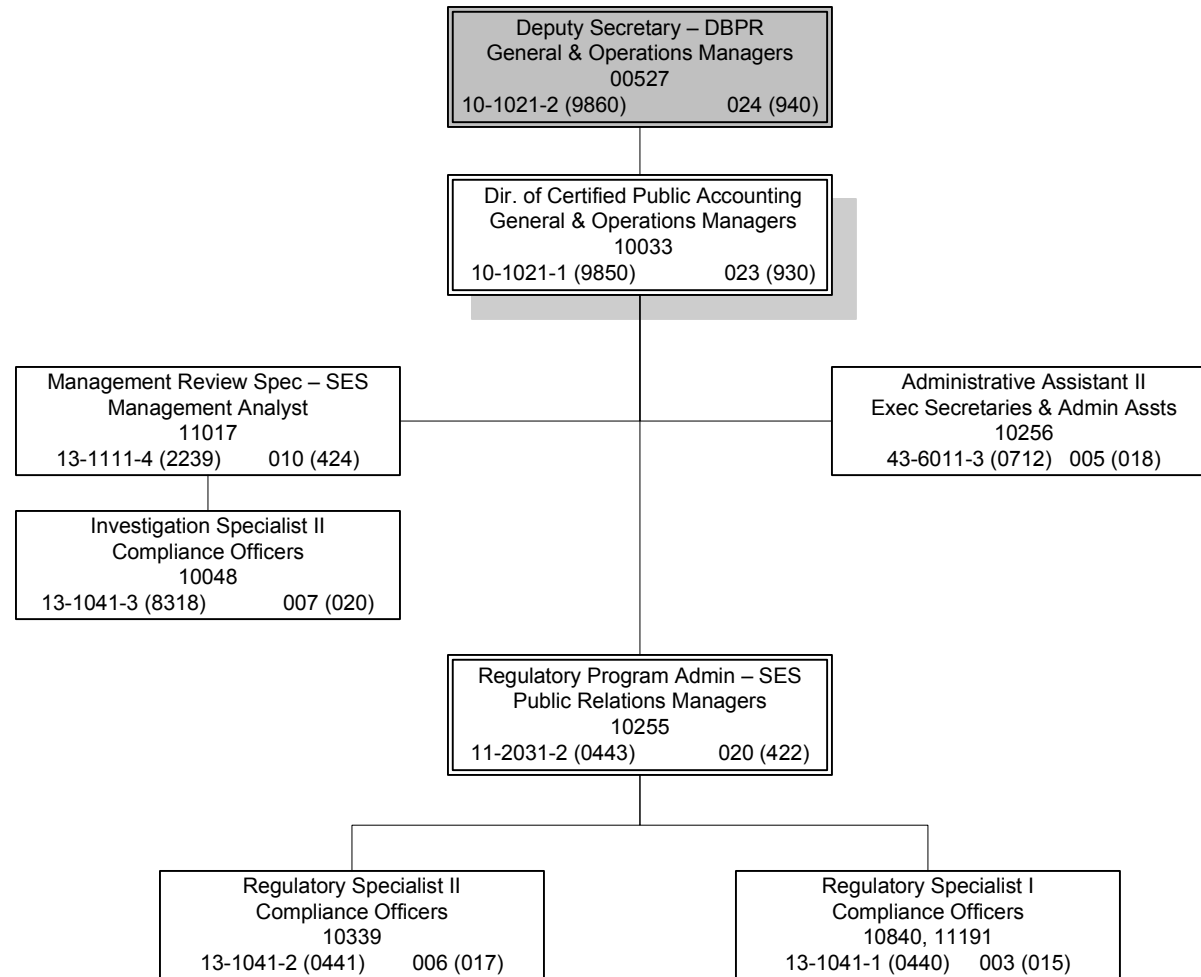
Current: 6-30-10  
 Last Updated: 6-24-10



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



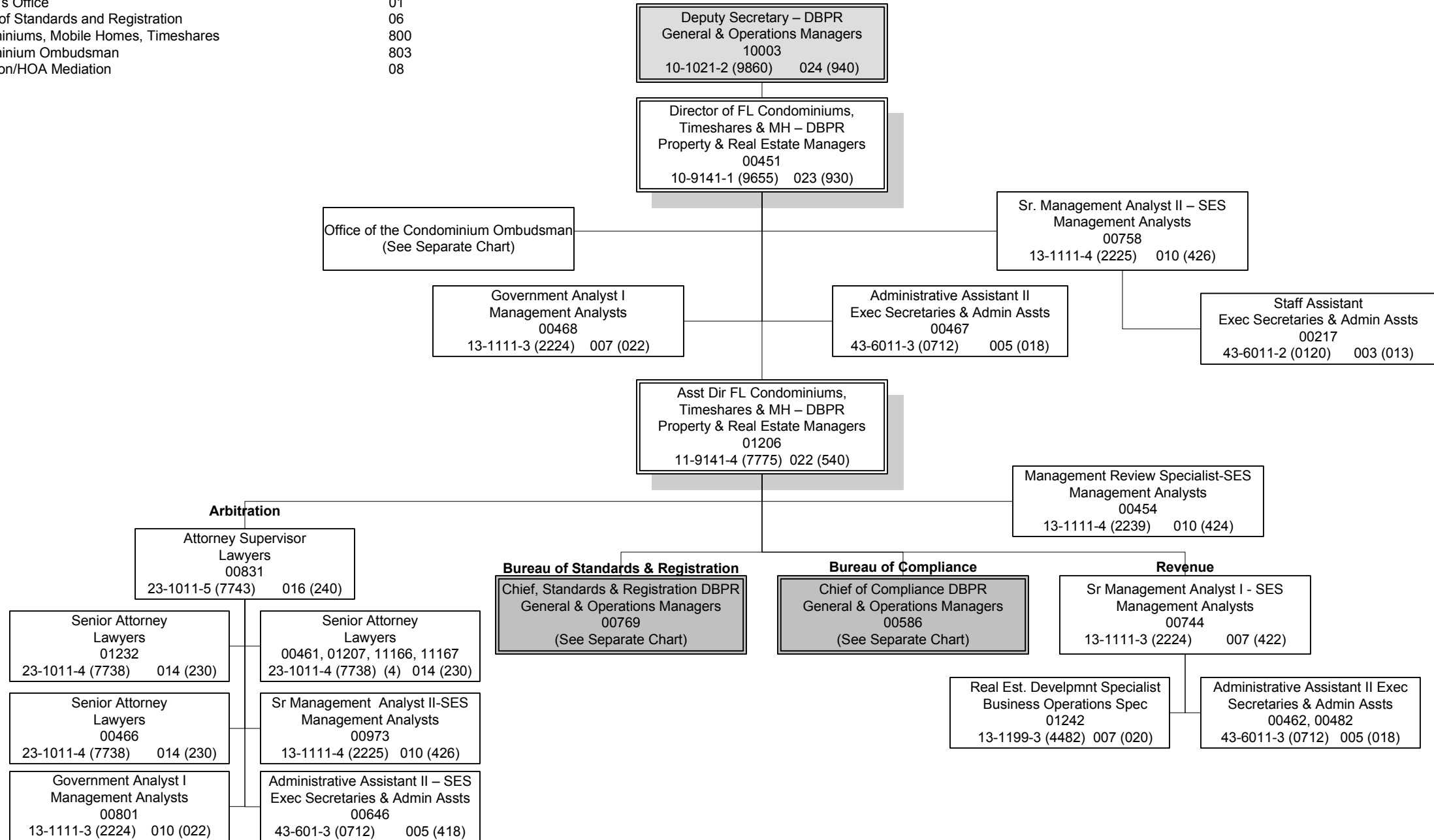
### Department of Business & Professional Regulations Division of Certified Public Accounting



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

Current: 6-30-10  
Last Updated: 9-14-09

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

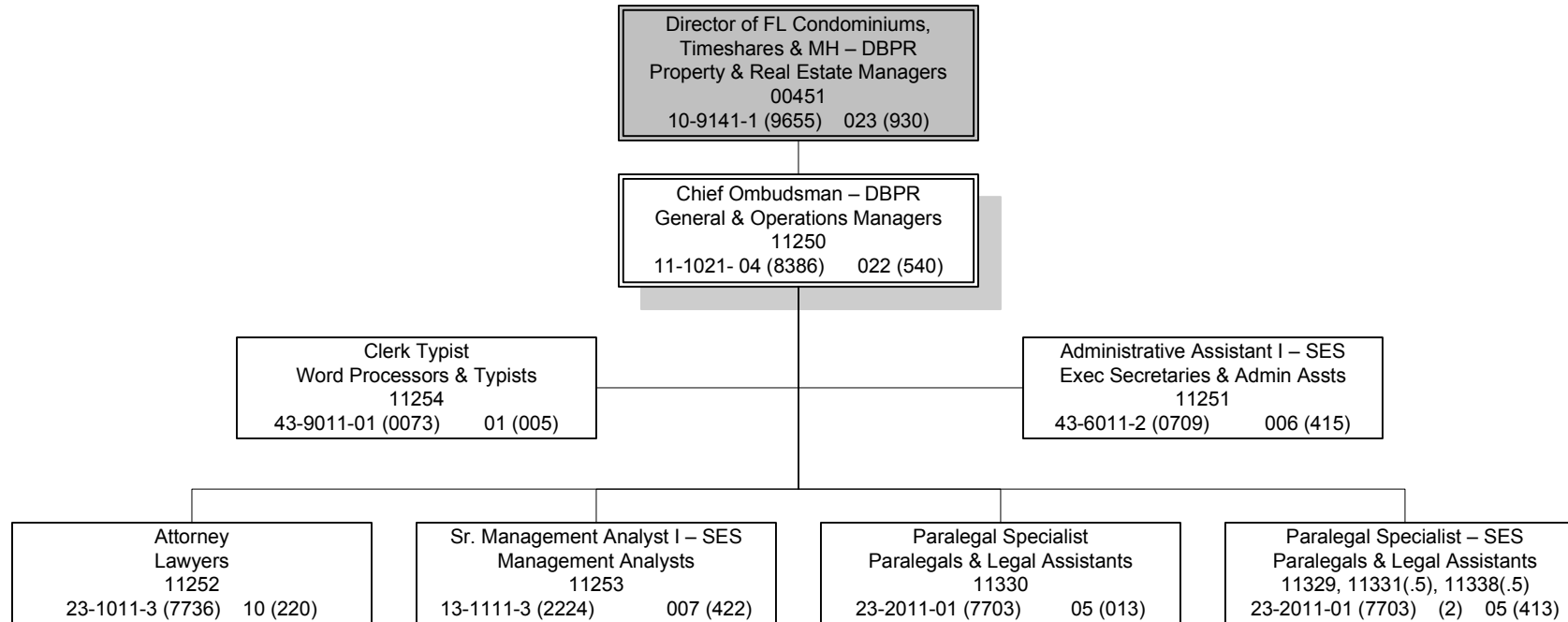




Department of Business & Professional Regulation 79  
 Division of Florida Condominiums, Timeshares & Mobile Homes 80  
 Director's Office 01  
 Bureau of Standards and Registration 06  
 Condominiums, Mobile Homes, Timeshares 800  
 Condominium Ombudsman 803  
 Arbitration/HOA Mediation 08

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

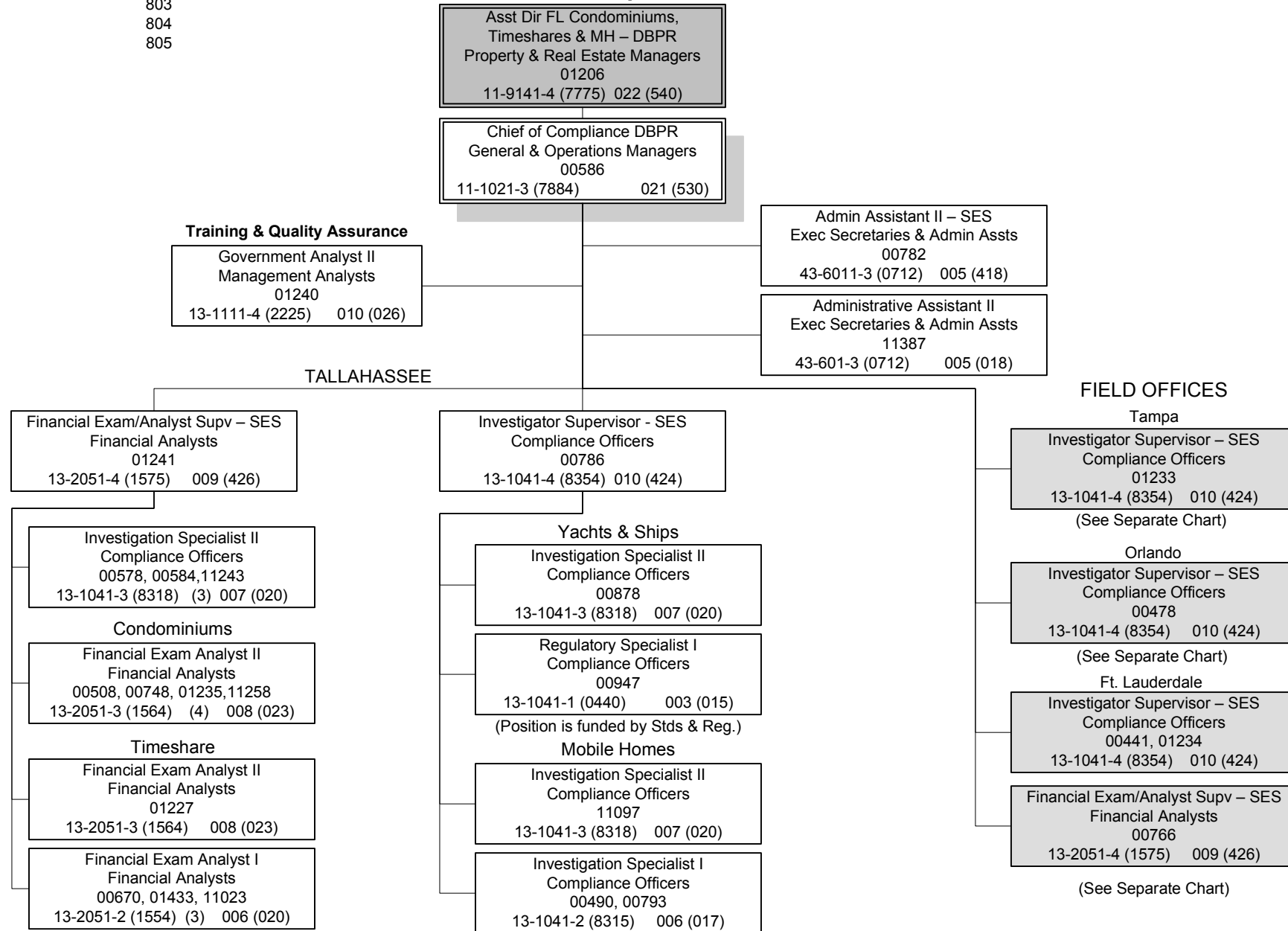
Current: 6-30-10  
 Last Updated: 10-16-09



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

Current: 6-30-10  
Last Updated: 9-14-09

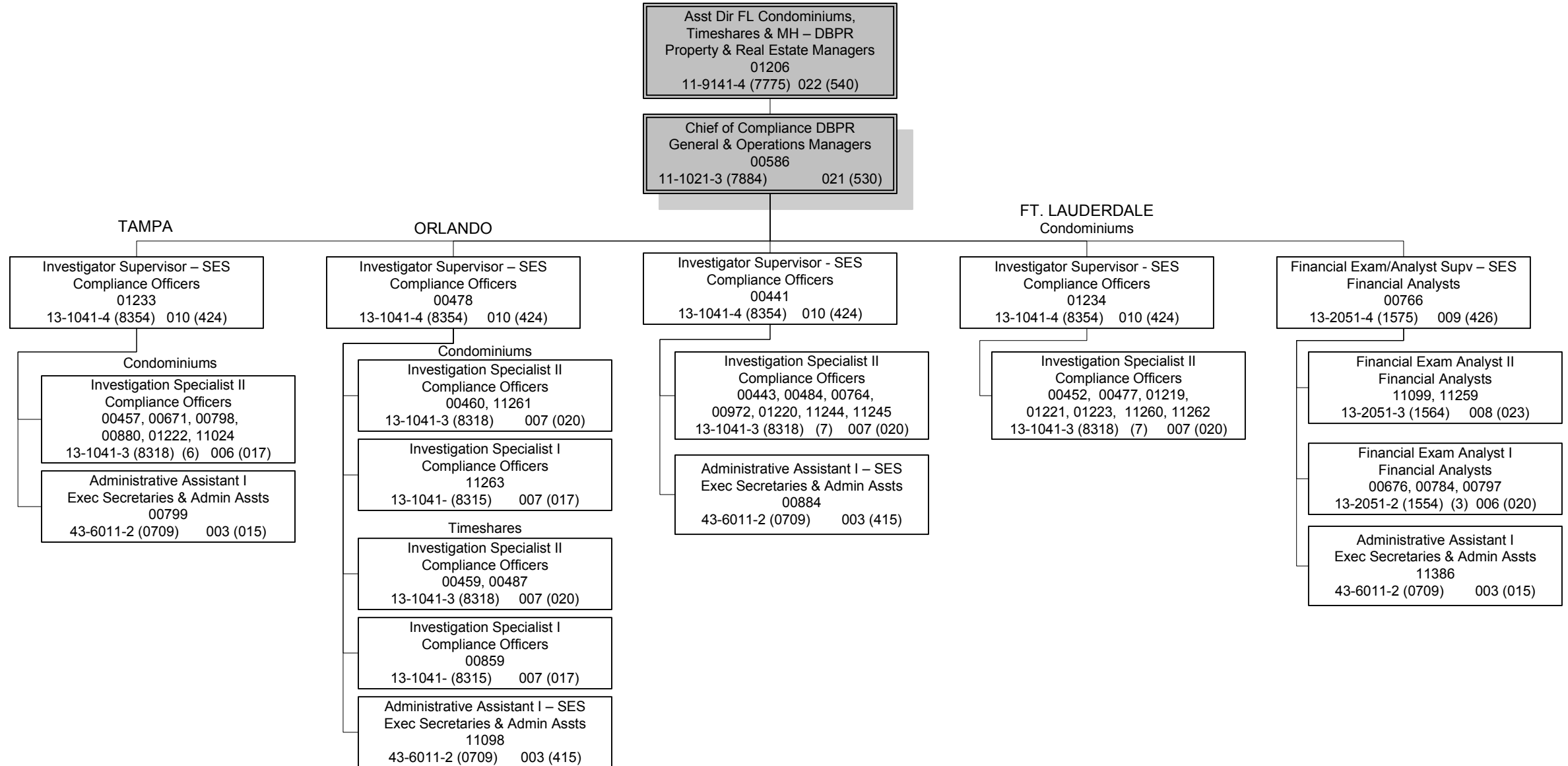
Department of Business & Professional Regulation 79  
Division of Florida Condominiums, Timeshares & Mobile Homes 80  
Compliance 08  
Condominiums 803  
Mobile Homes 804  
Timeshare 805



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

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

Current: 6-30-10  
 Last Updated: 9-14-09

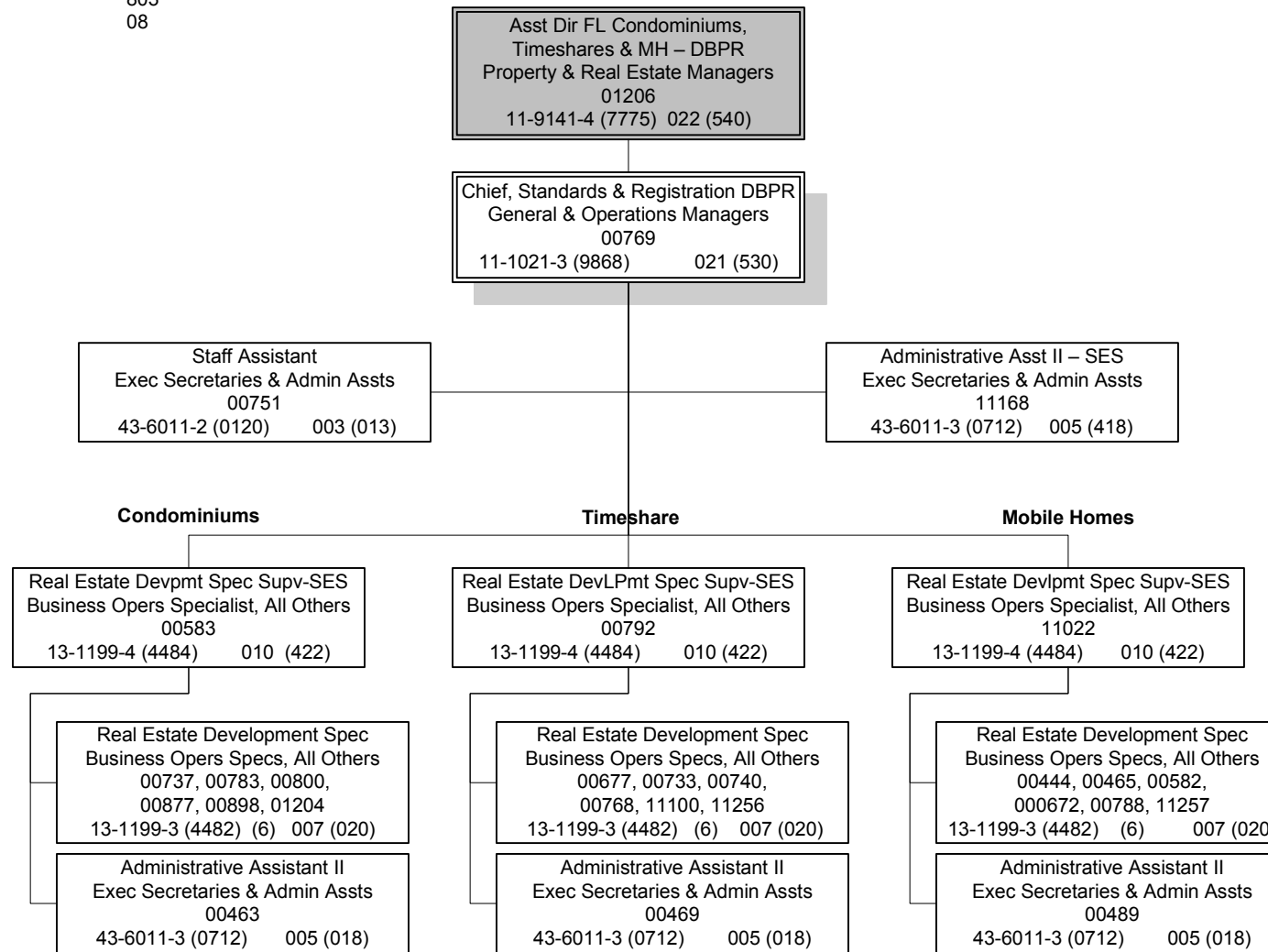


Department of Business & Professional Regulation  
 Division of Florida Condominiums, Timeshares & Mobile Homes  
 Director's Office  
 Bureau of Standards and Registration  
 Condominiums, Mobile Homes, Timeshares  
 Condominium Ombudsman  
 Arbitration/HOA Mediation

79  
 80  
 01  
 06  
 800  
 803  
 08

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

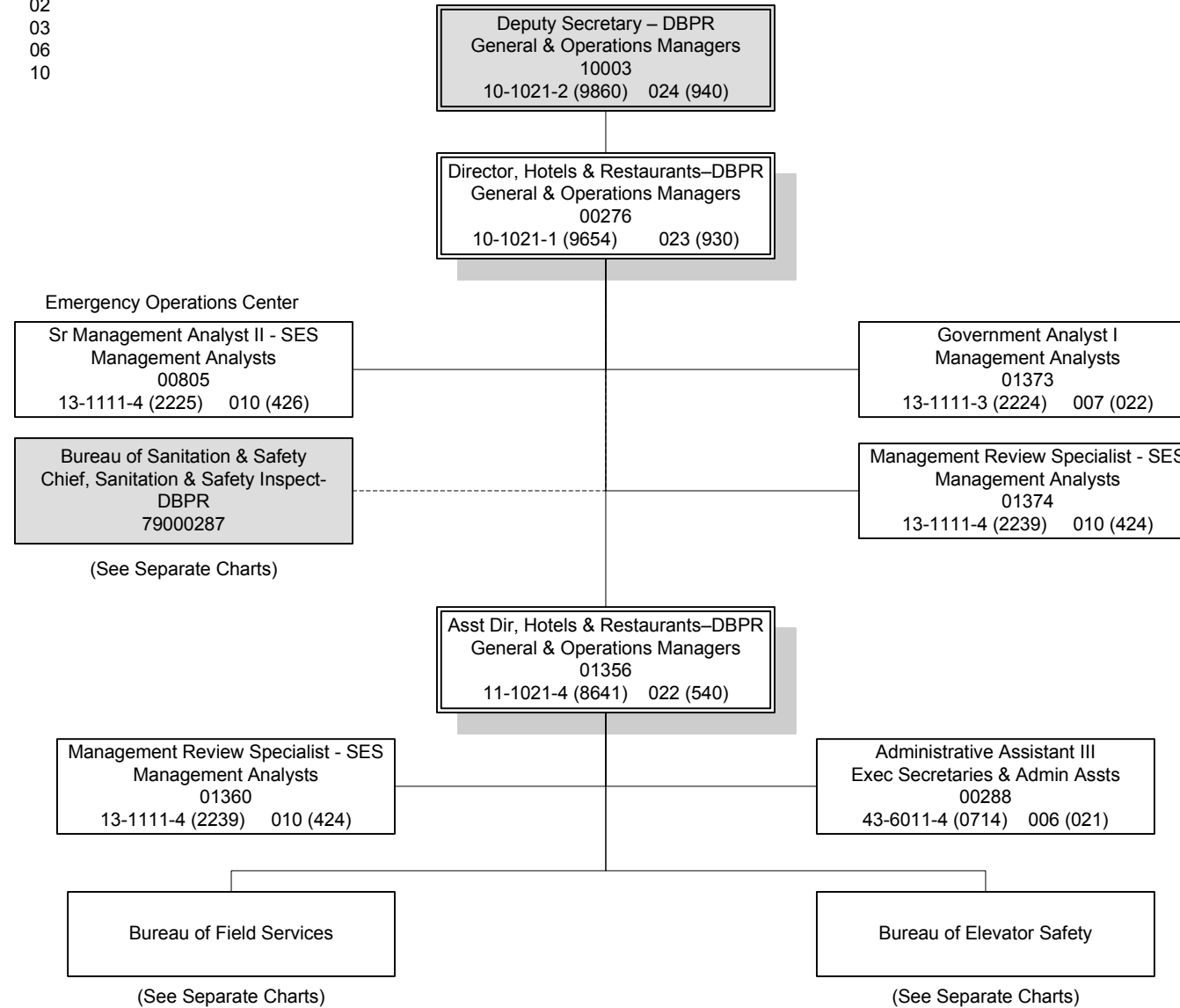
Current: 6-30-10  
 Last Updated: 9-14-09



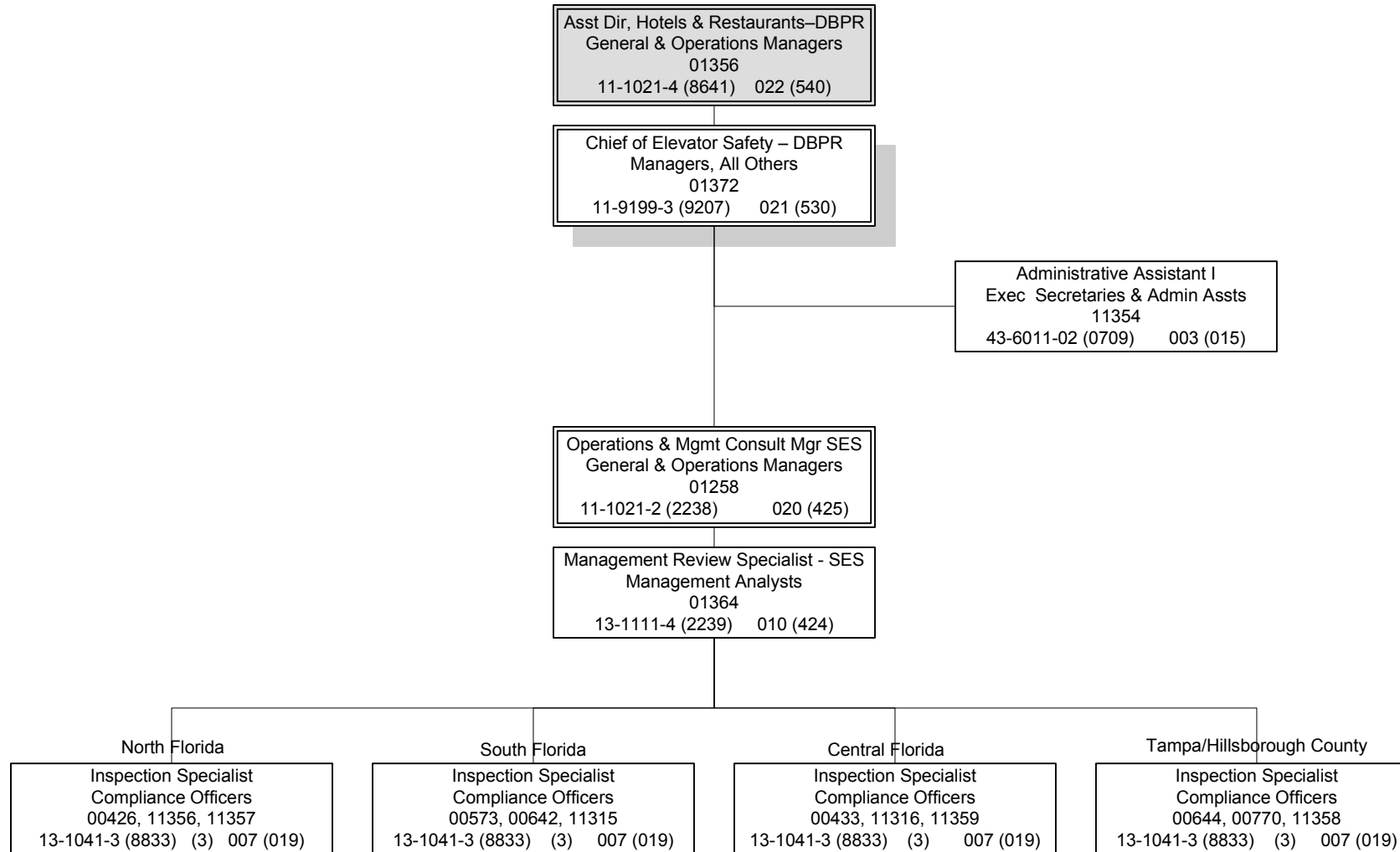
Department of Business & Professional Regulations 79  
 Division of Hotels & Restaurants 20  
 Director's Office 01  
 Program Policy 02/09  
 Bureau of Sanitation & Safety Inspections 02  
 Bureau of Elevator Safety 03  
 Hospitality Education Program 06  
 Bureau of Field Services 10

## Division of Hotels & Restaurants Director's Office

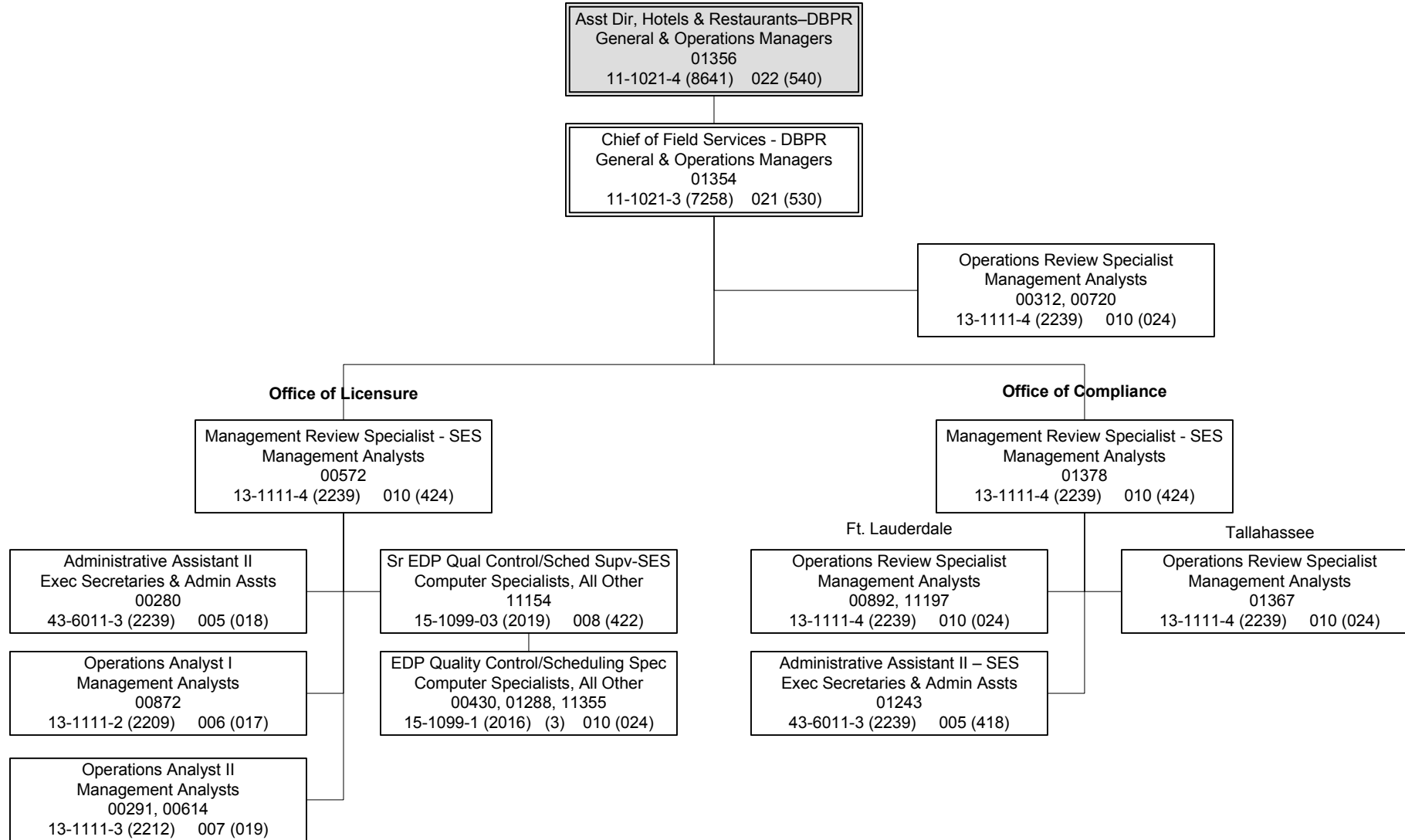
Current: 4-30-10  
 Last Updated: 6-30-10



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



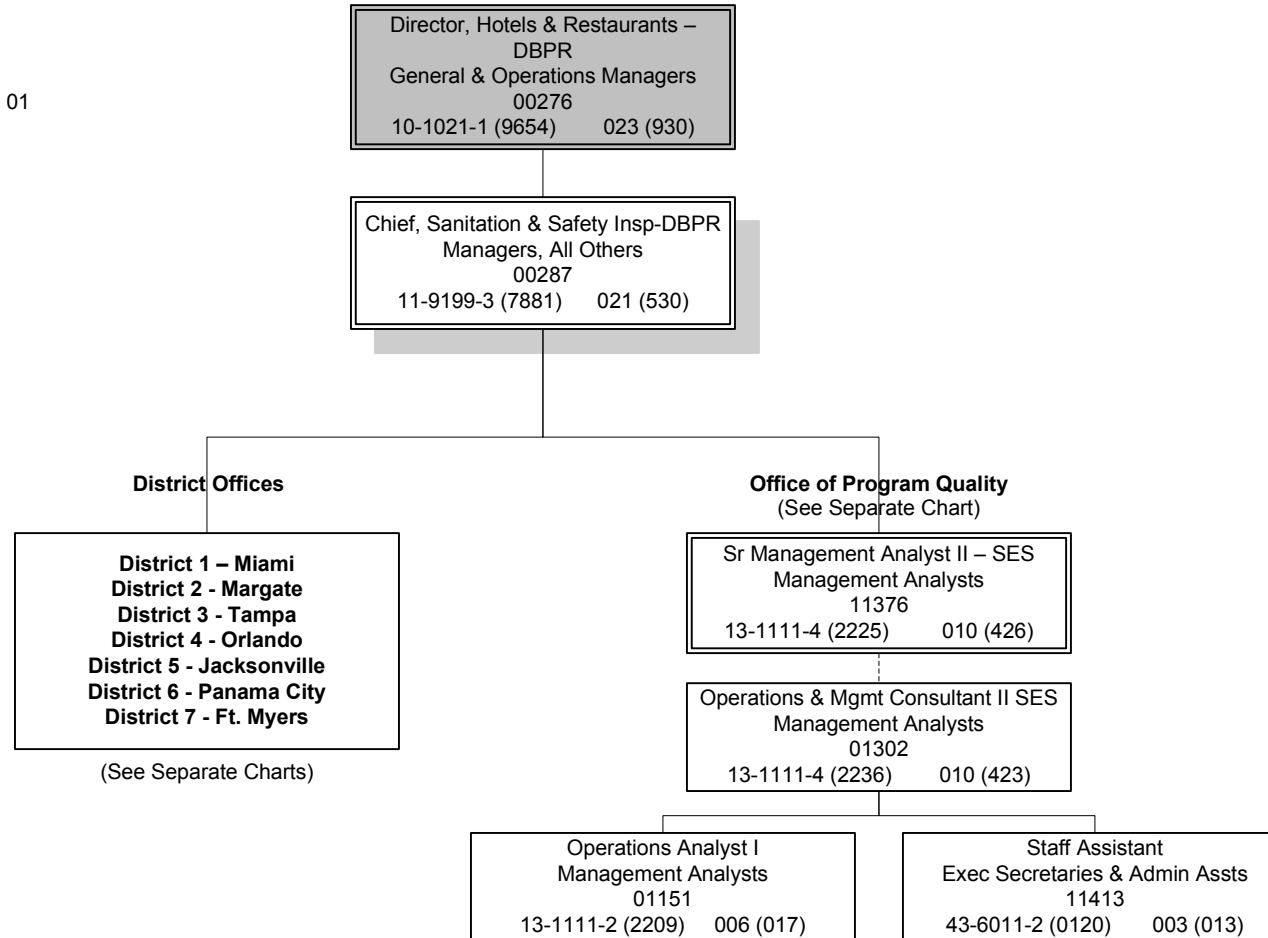
### Division of Hotels & Restaurants Bureau of Field Services



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

Current: 6-30-10  
 Last Updated: 5-18-10

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



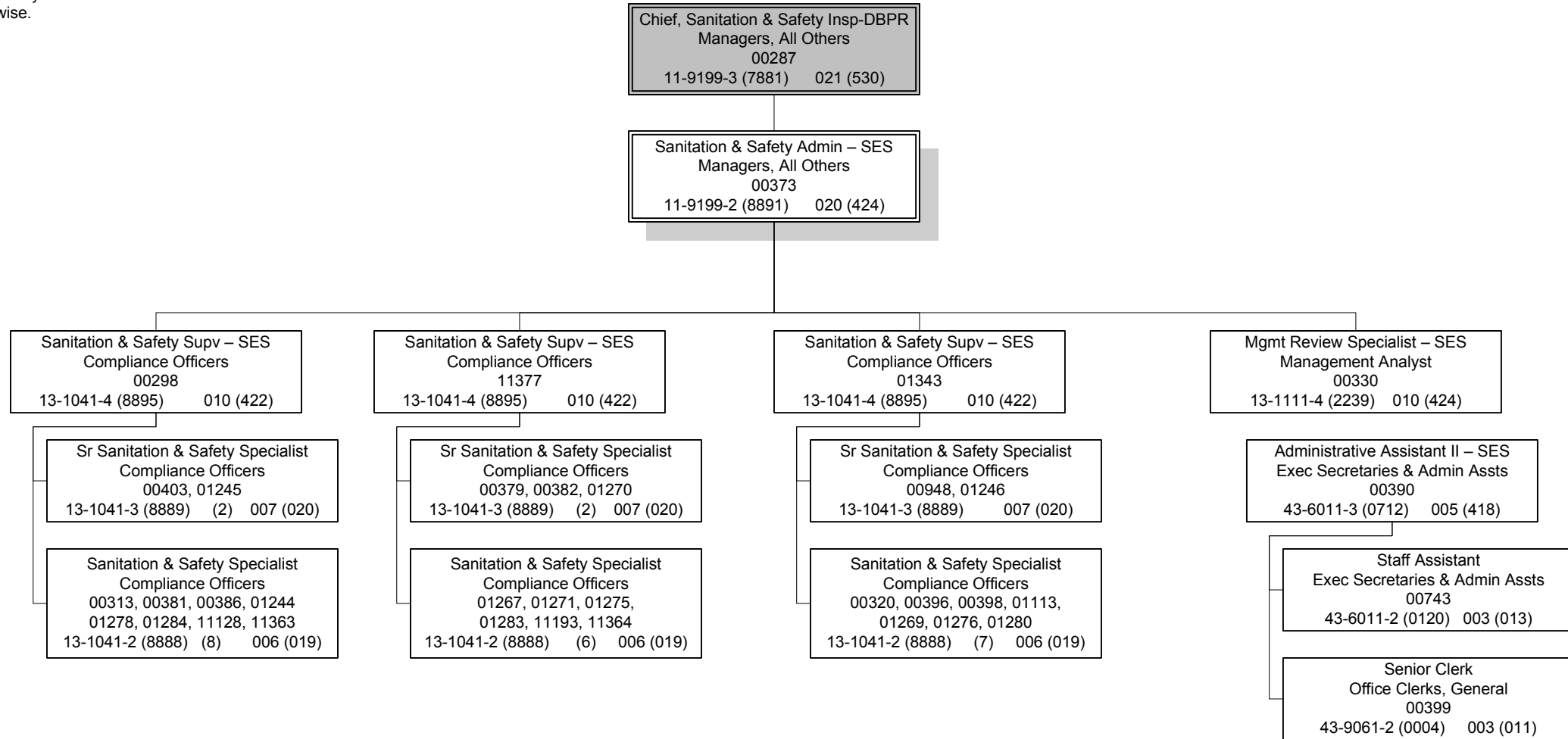


Department of Business & Professional Regulations 79  
 Division of Hotels & Restaurants 20  
 Sanitation & Safety Inspections 02  
 District 1 - Miami 02

Current: 6-30-10  
 Last Updated: 5-18-10

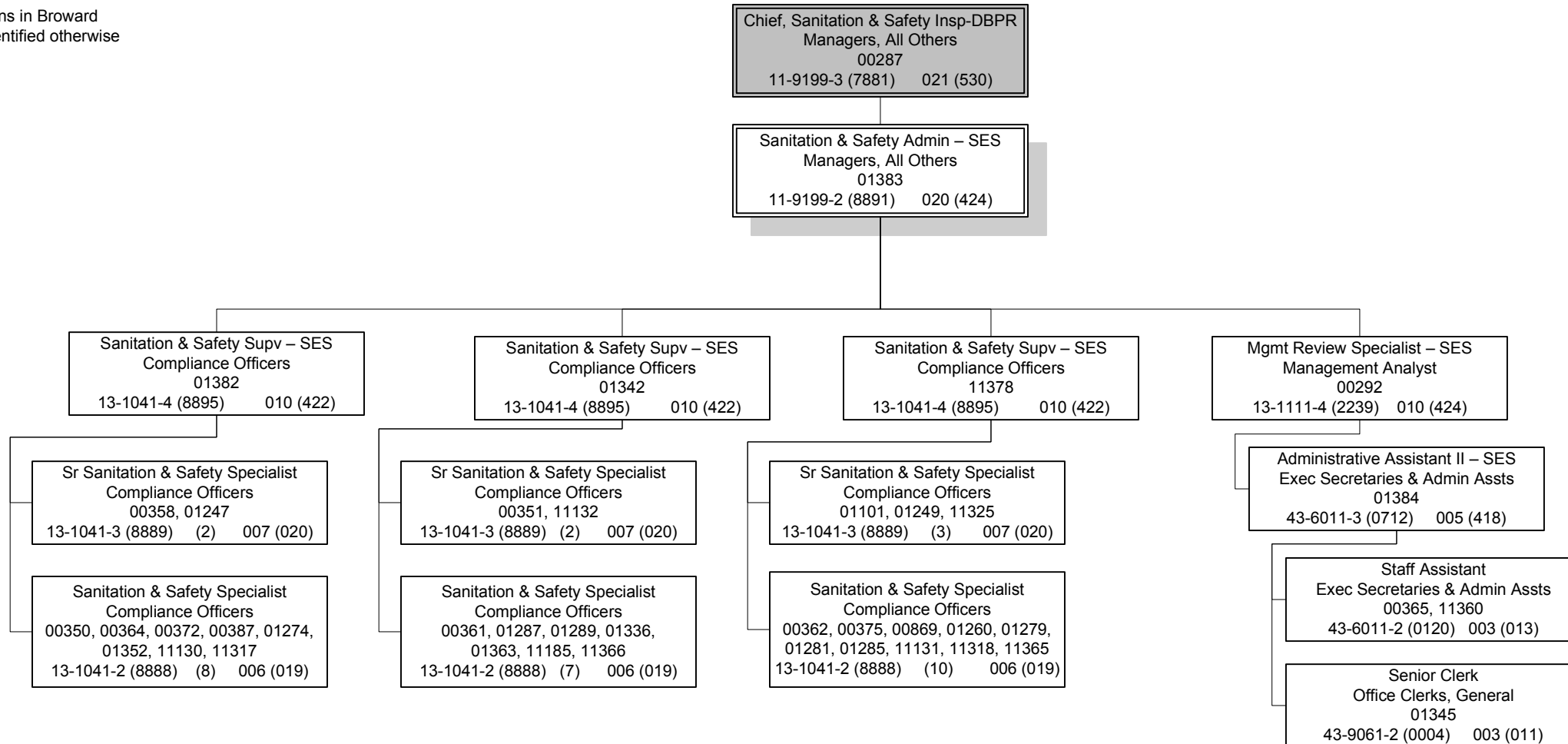
**Division of Hotels & Restaurants  
 Sanitation & Safety Inspections  
 District 1 – Miami**

All positions in Dade County  
 unless identified otherwise.



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

All positions in Broward  
 unless identified otherwise

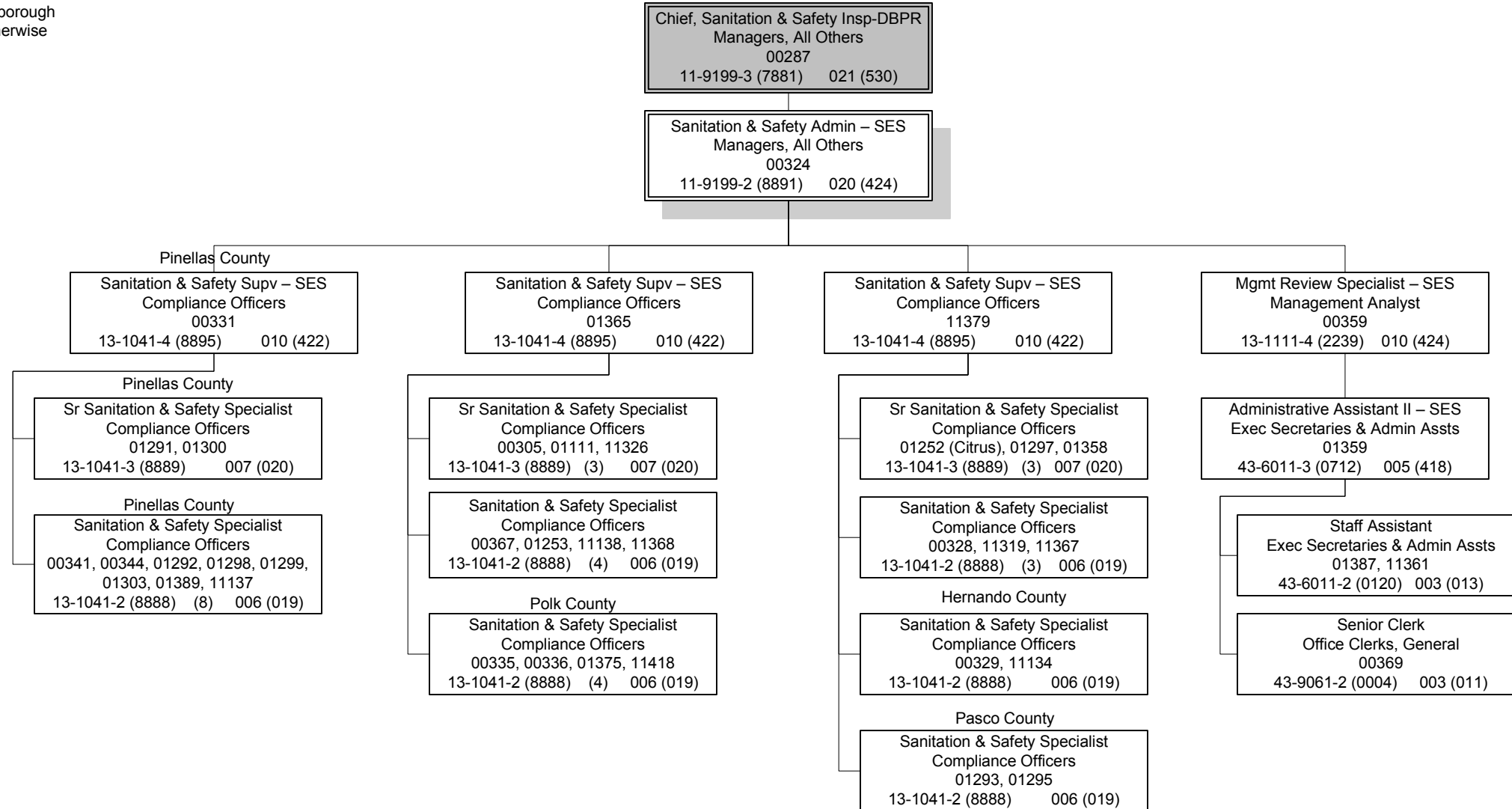


Department of Business & Professional Regulations 79  
 Division of Hotels & Restaurants 20  
 Sanitation & Safety Inspections 02  
 District 3 - Tampa 04

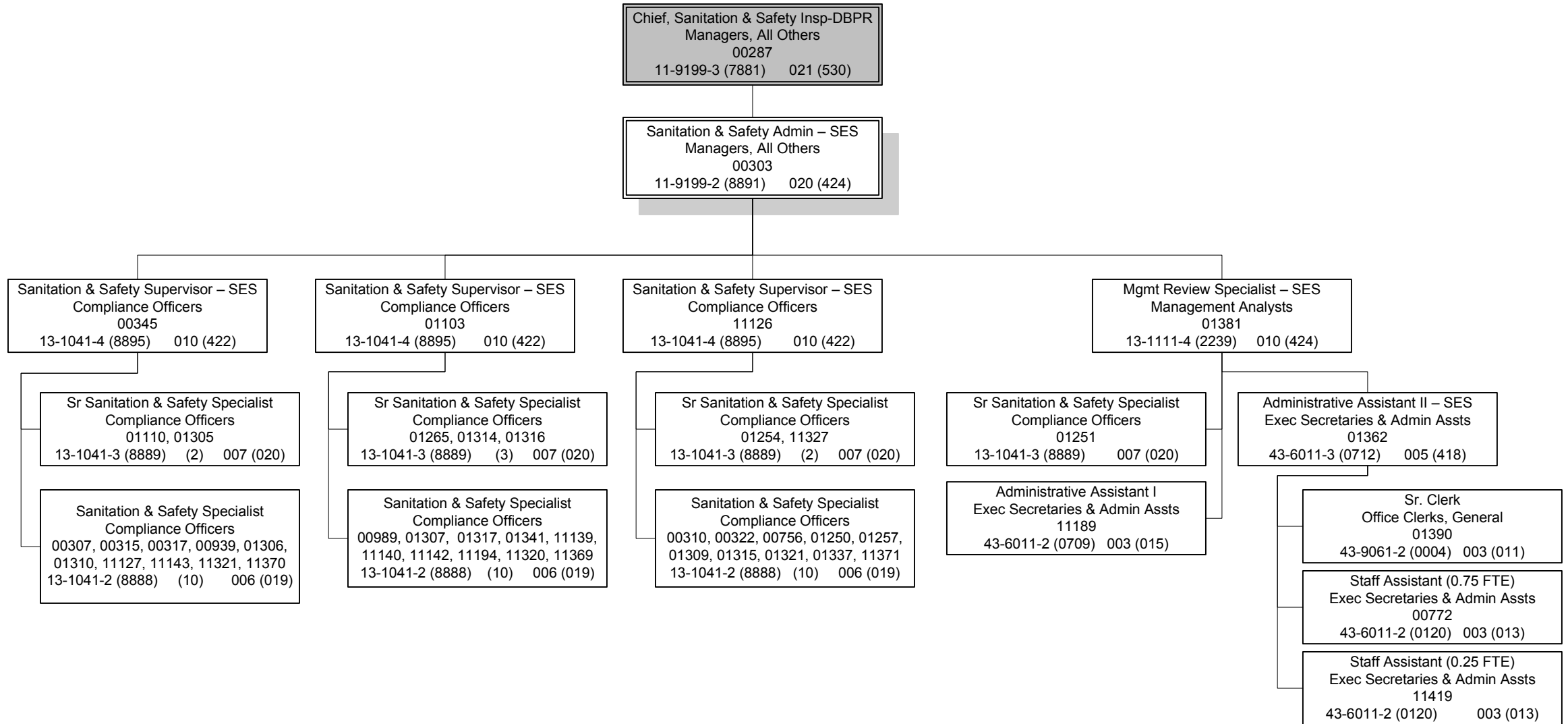
**Division of Hotels & Restaurants  
 Sanitation & Safety Inspections  
 District 3 - Tampa**

Current: 6-30-10  
 Last Updated: 5-18-10

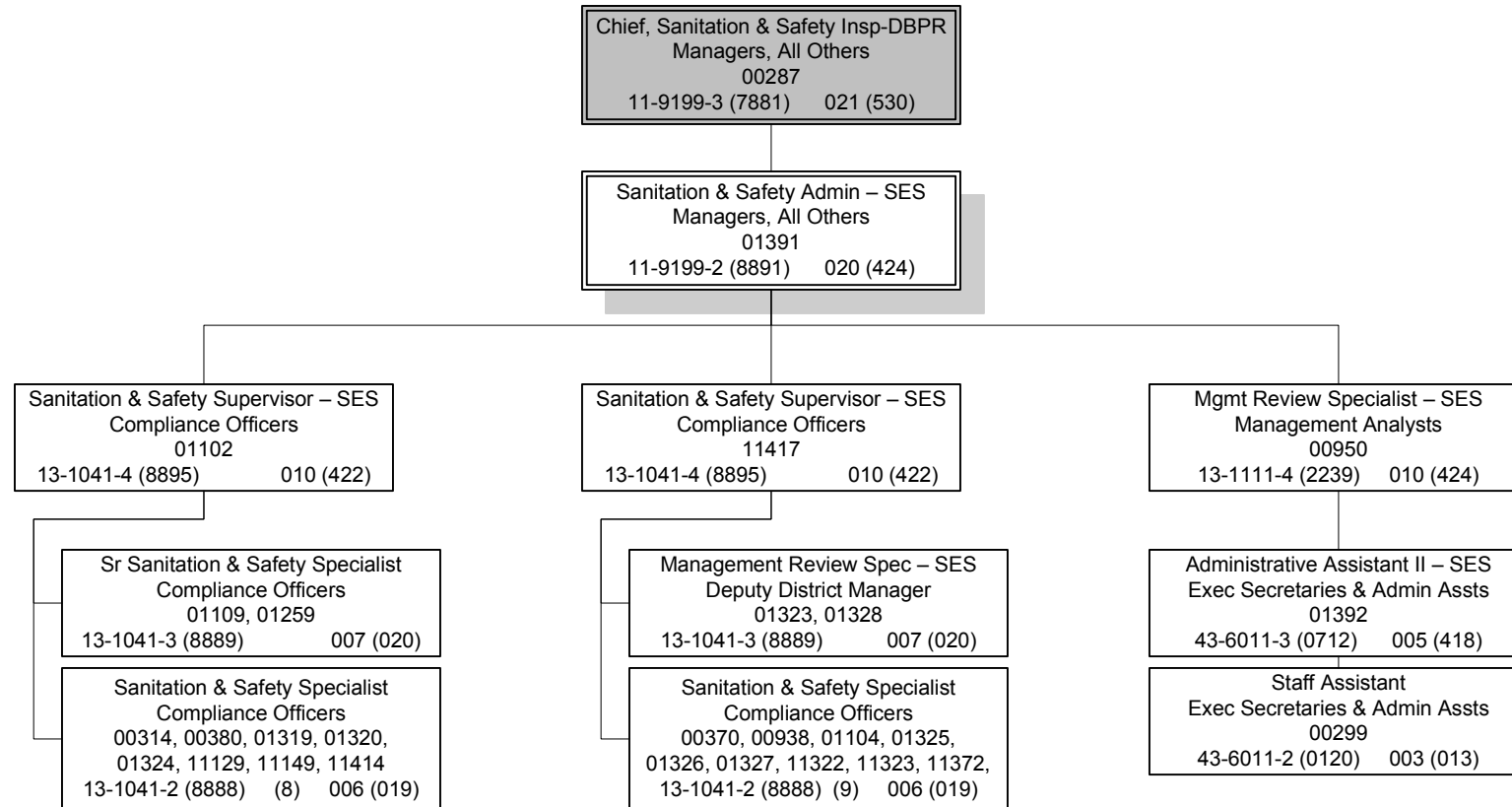
All positions in Hillsborough  
 unless identified otherwise



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



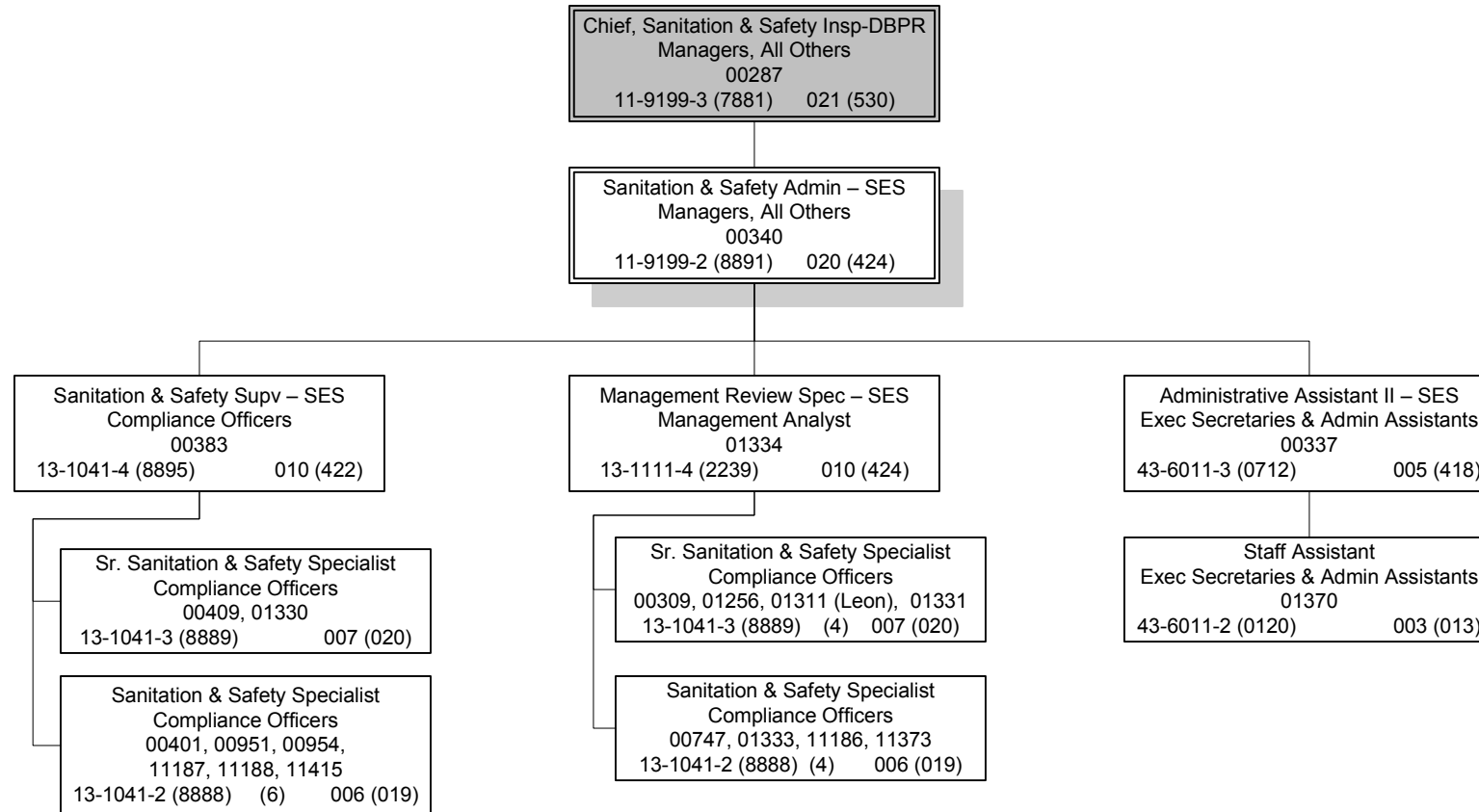
**Division of Hotels & Restaurants  
 Sanitation & Safety Inspections  
 District 5 - Jacksonville**



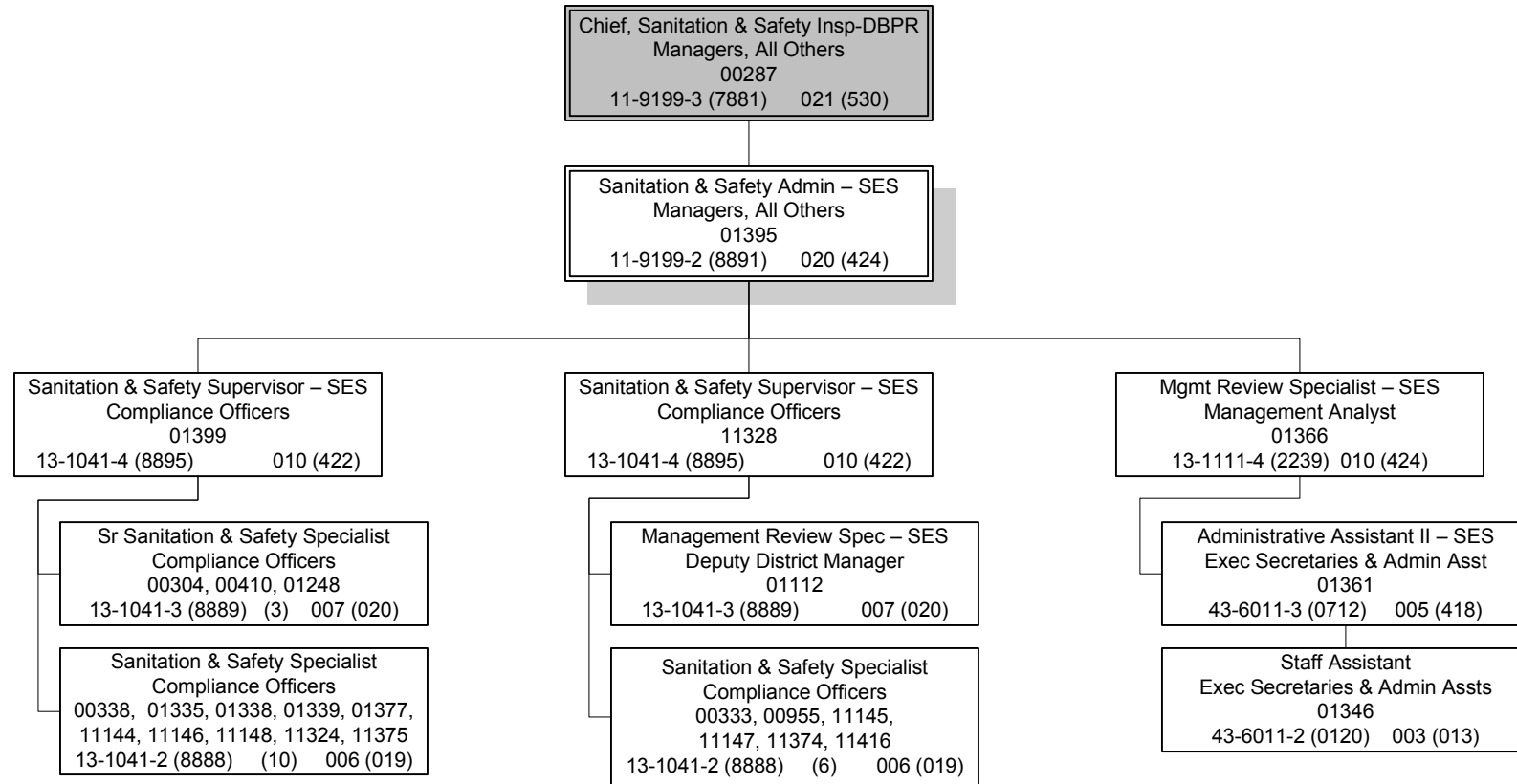
Department of Business & Professional Regulations 79  
 Division of Hotels & Restaurants 20  
 Sanitation & Safety Inspections 02  
 District 6 – Panama City 07

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

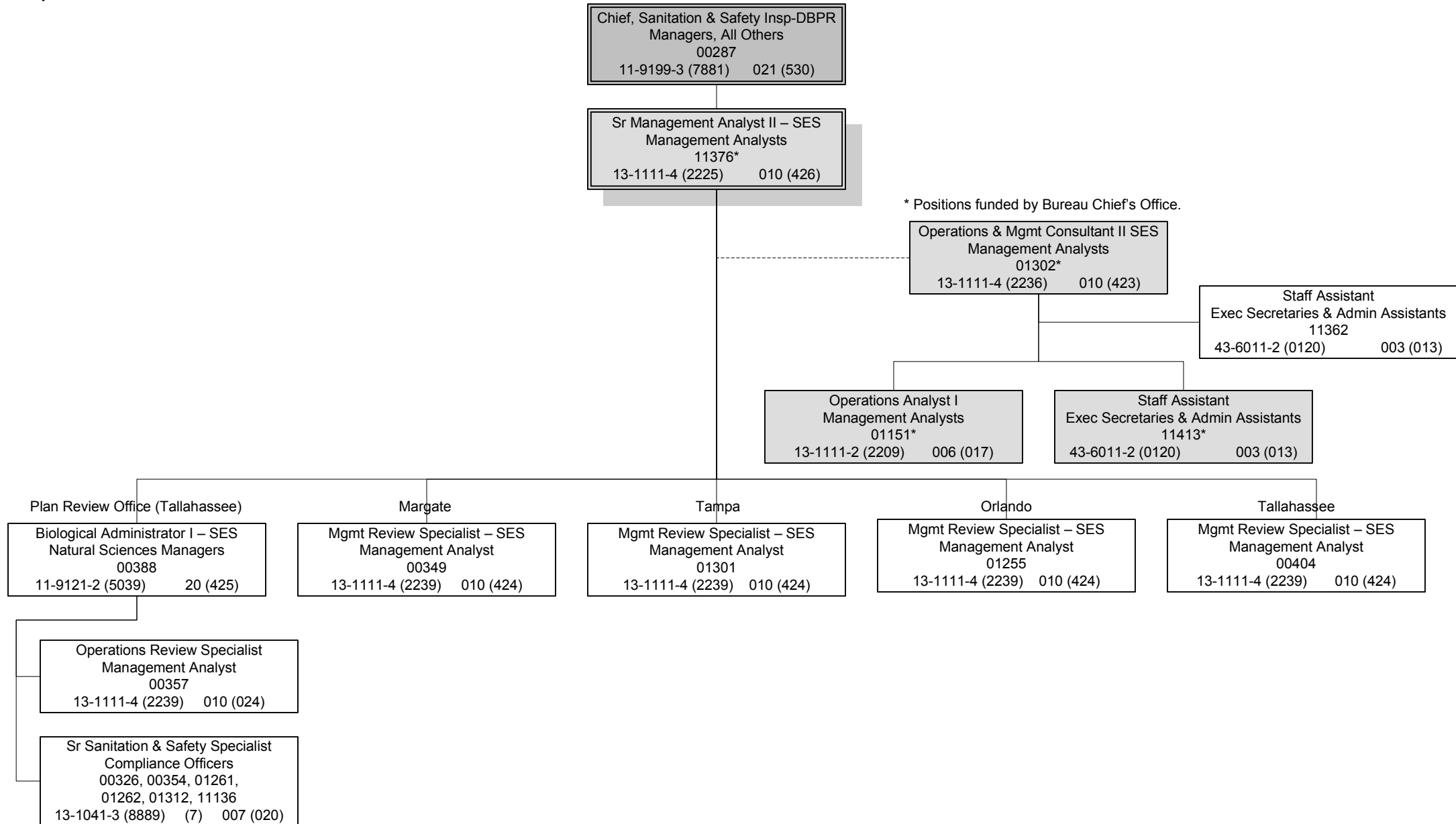
Current: 10-16-09  
 Last Updated: 11-03-09



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



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



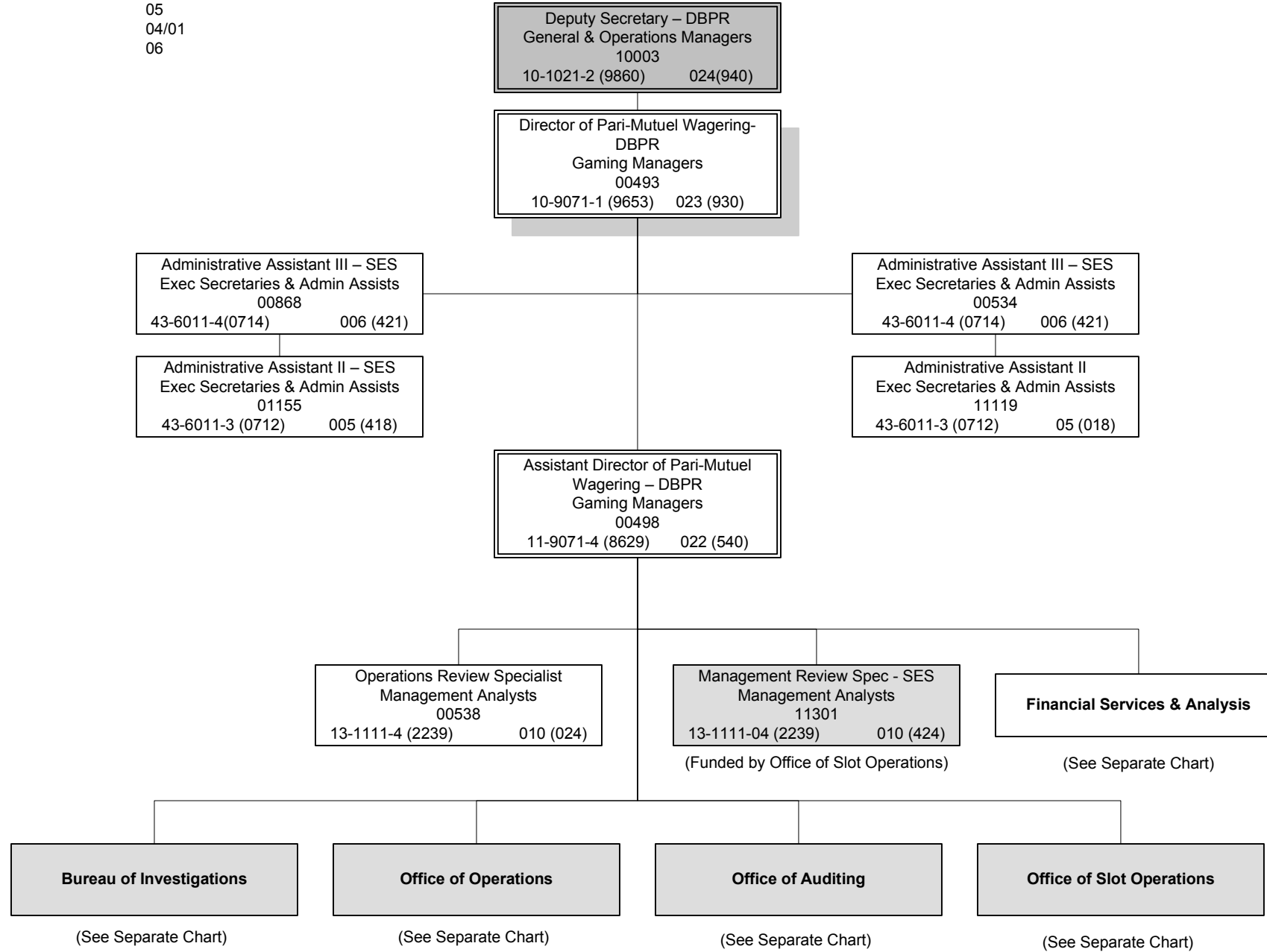


Department of Business & Professional Regulation  
 Division of Pari-Mutuel Wagering  
 Director's Office  
 Investigations  
 Operations  
 Auditing/Revenue  
 Office of Slot Operations

79  
 10  
 01  
 02  
 05  
 04/01  
 06

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

Current; 6-30-10  
 Last Update: 5-19-10

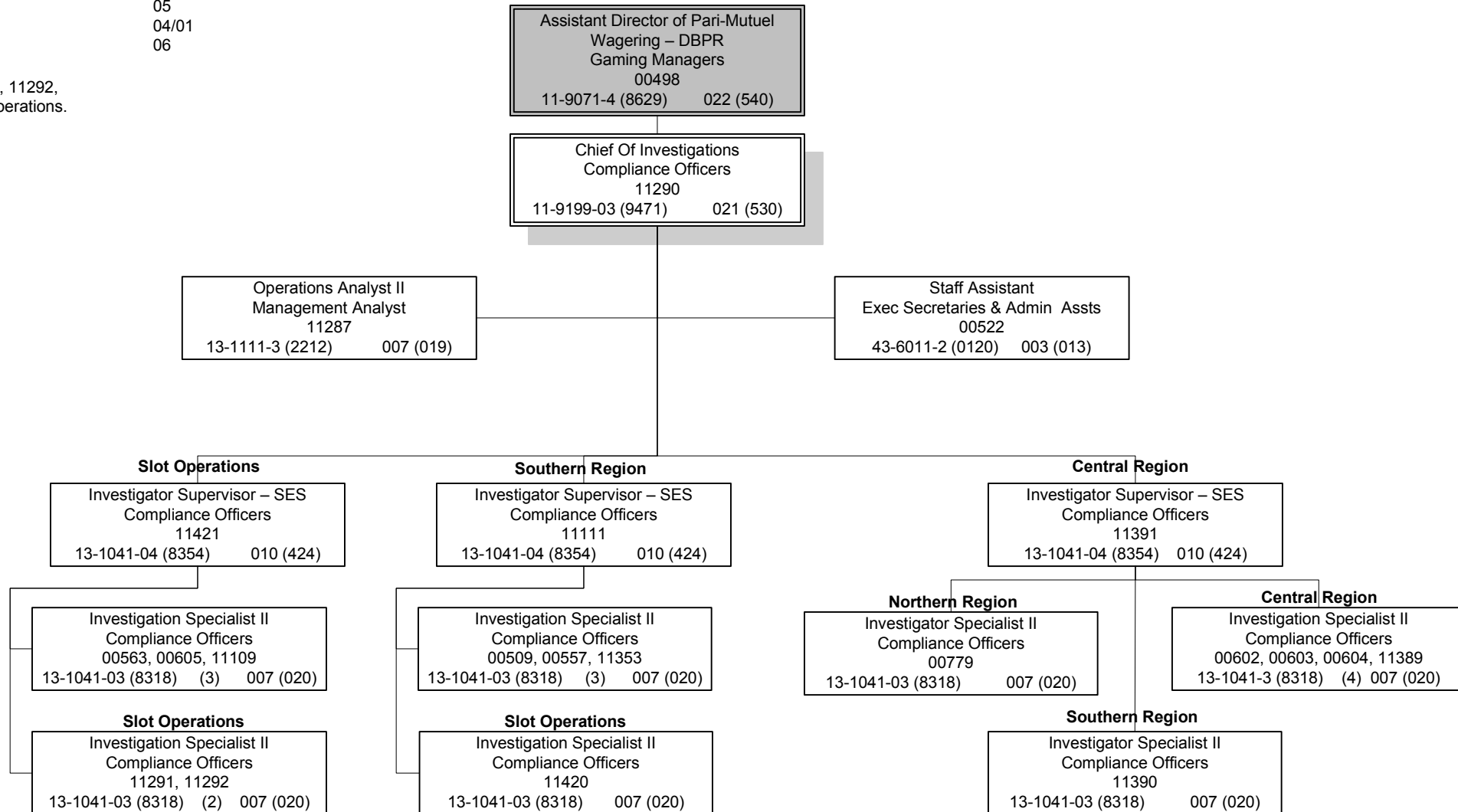


Department of Business & Professional Regulation 79  
 Division of Pari-Mutuel Wagering 10  
 Director's Office 01  
 Investigations 02  
 Operations 05  
 Auditing/Revenue 04/01  
 Office of Slot Operations 06

Position numbers 11287, 11290, 11291, 11292, 11420 and 11421 are funded by Slot Operations.

## Division of Pari-Mutuel Wagering Bureau of Investigations

Current: 6-30-10  
 Last Update: 5-19-10

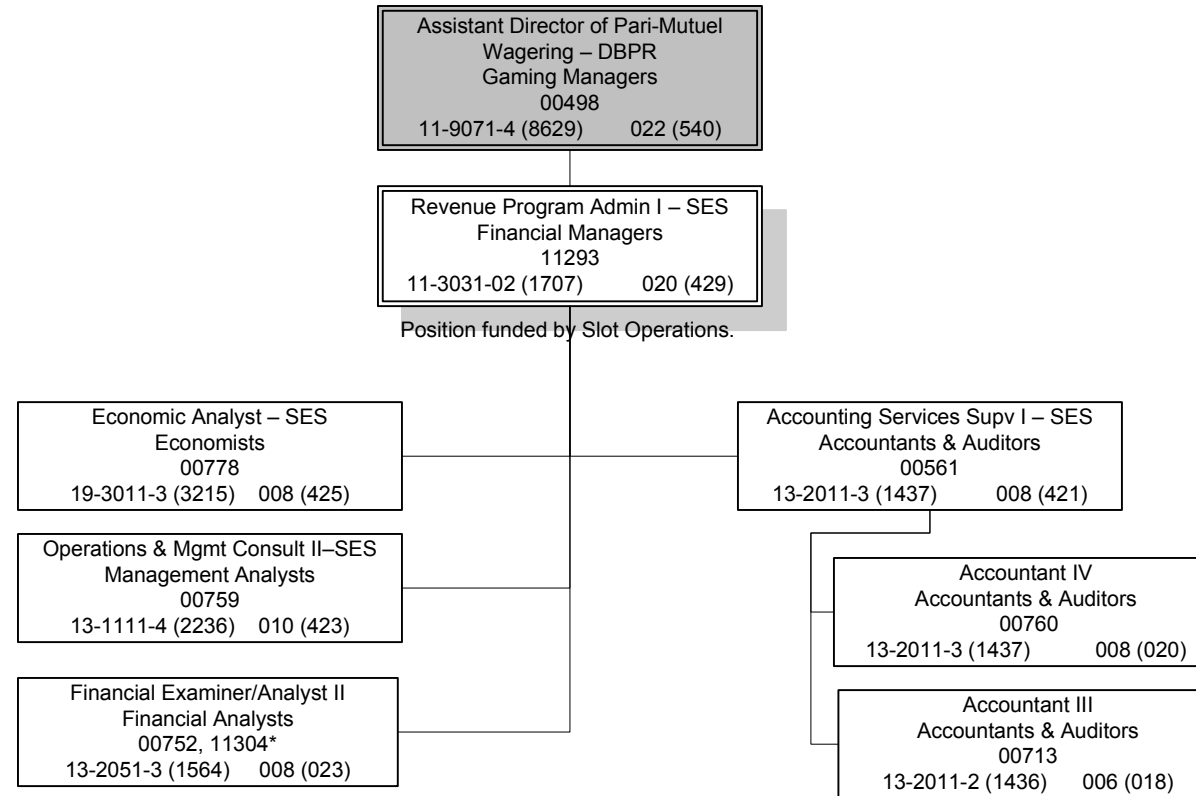


Department of Business & Professional Regulation  
 Division of Pari-Mutuel Wagering  
 Director's Office  
 Investigations  
 Operations  
 Auditing/Revenue  
 Office of Slot Operations

79  
 10  
 01  
 02  
 05  
 04/01  
 06

Current; 6-30-10  
 Last Update: 5-19-10

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



Position funded by Slot Operations.

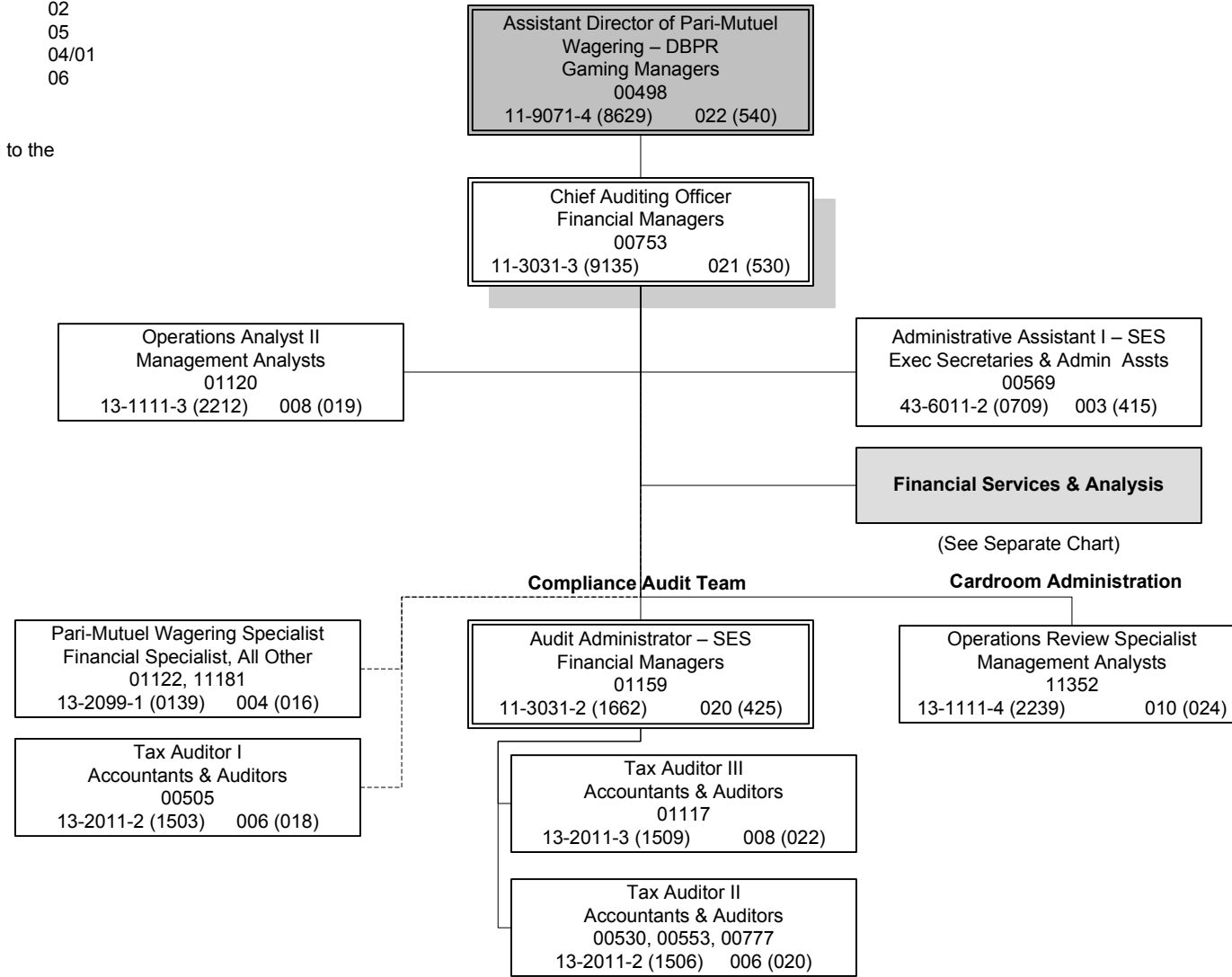
\*Position funded by Slot Operations.

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

## Division of Pari-Mutuel Wagering Office of Auditing

Current; 6-30-10  
 Last Update: 5-19-10

Note: Positions 00505, 01122 and 11181 are assigned to the Office of Operations.

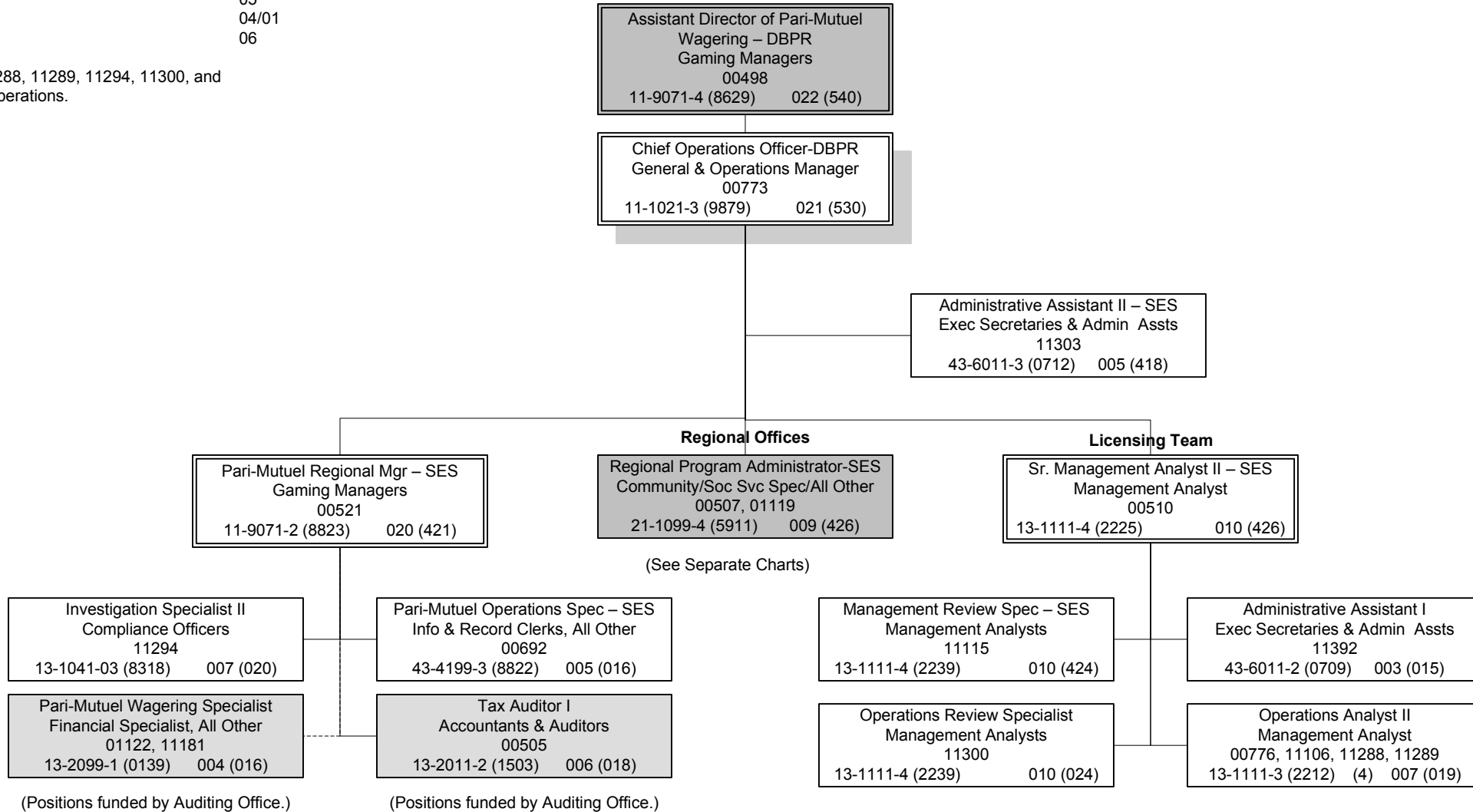


Department of Business & Professional Regulation 79  
 Division of Pari-Mutuel Wagering 10  
 Director's Office 01  
 Investigations 02  
 Operations 05  
 Auditing/Revenue 04/01  
 Office of Slot Operations 06

Note: Position numbers 11288, 11289, 11294, 11300, and 11303 are funded by Slot Operations.

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

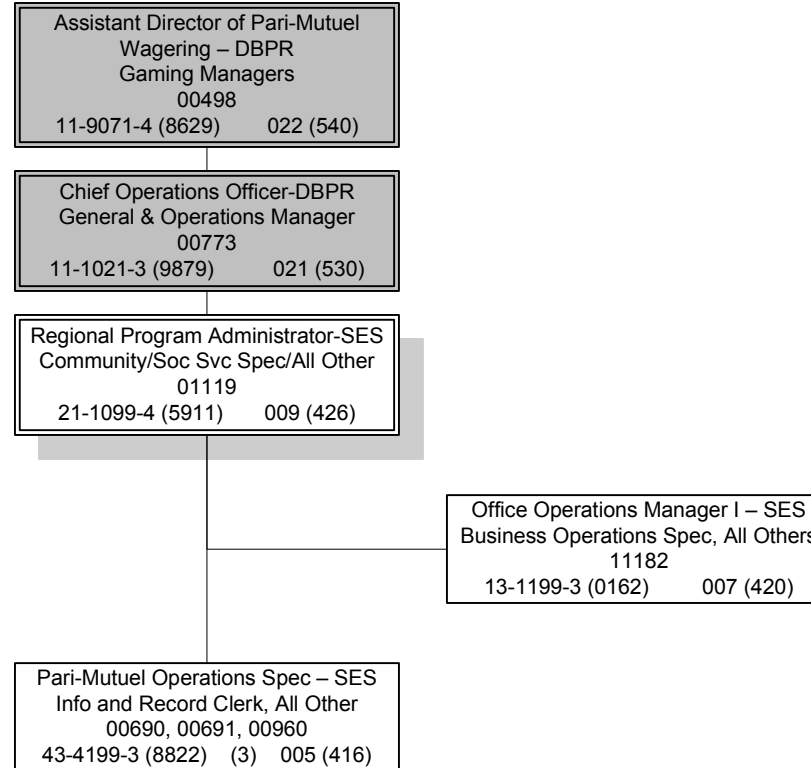
Current: 6-30-10  
 Last Update: 5-19-10



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

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

Current; 6-30-10  
 Last Update: 5-19-10

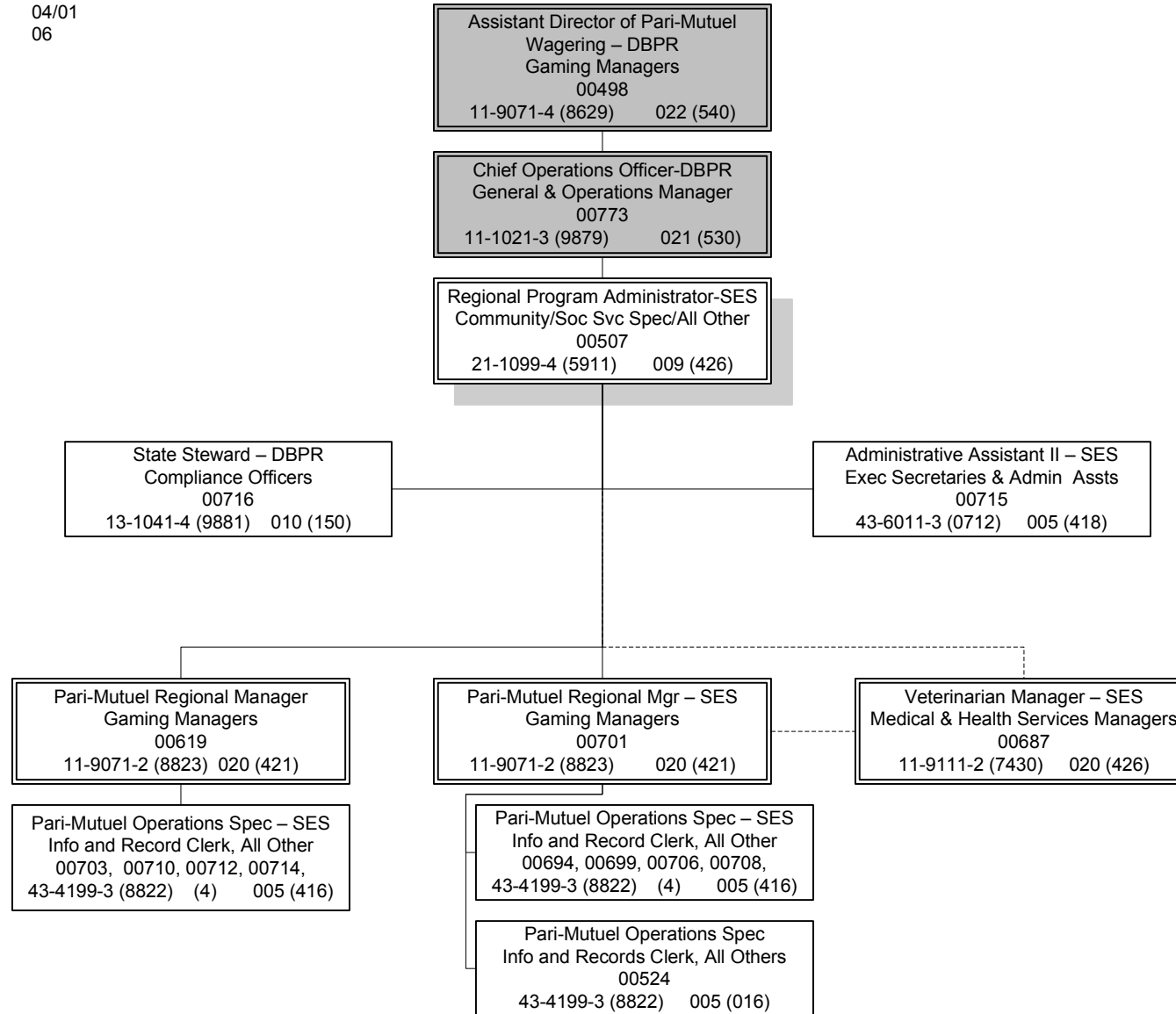


Pari-Mutuel Operations Specialist-SES positions to be transferred from SES to Career Service,  
 pay plan 01, pay grade 016, on a position by position basis pending DMS/HRM Approval. .

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

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

Current; 6-30-10  
 Last Update: 5-19-10

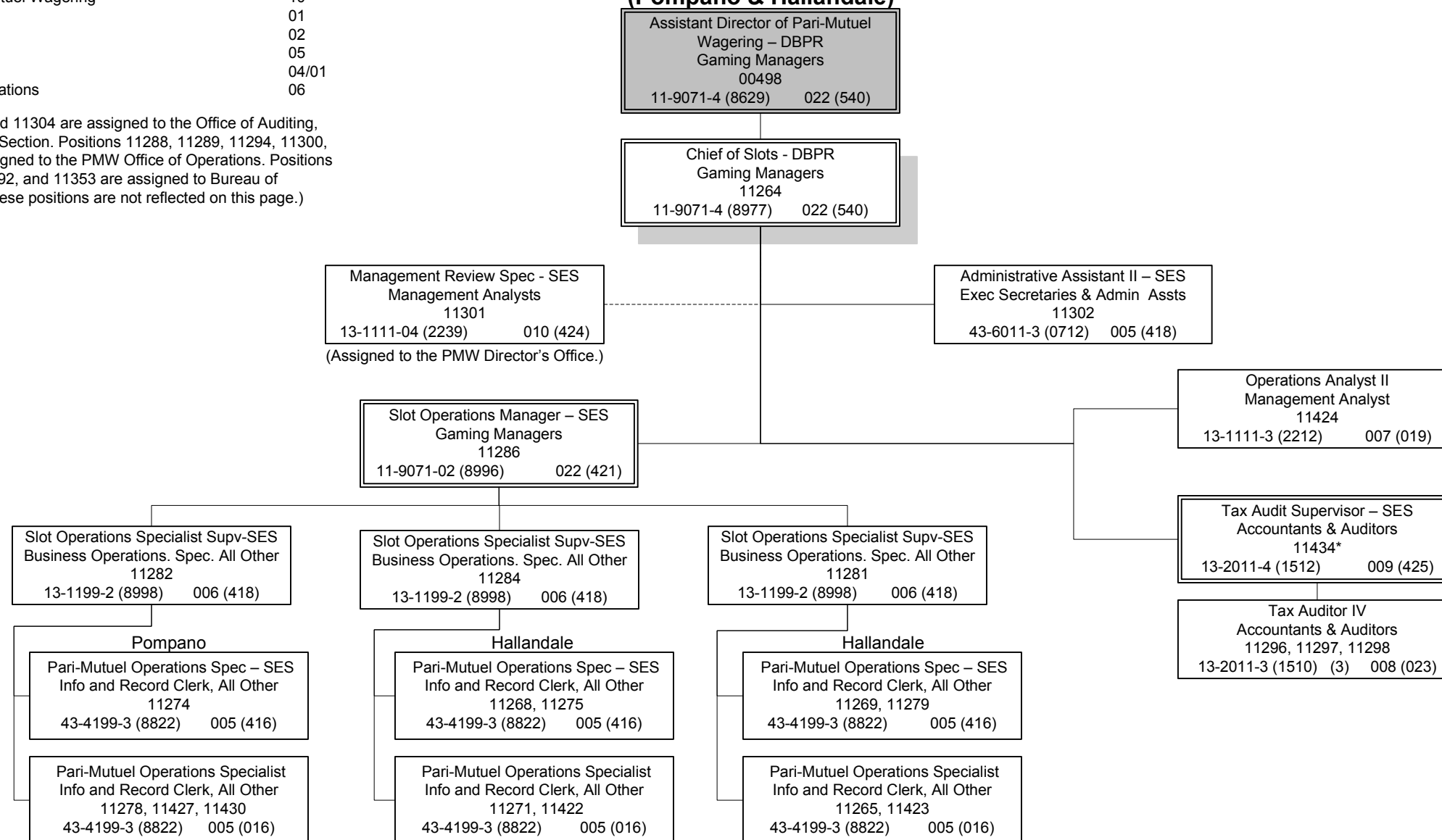


Pari-Mutuel Operations Specialist-SES positions to be transferred from SES to Career Service,  
 pay plan 01, pay grade 016, on a position by position basis pending DMS/HRM Approval. .

### Division of Pari-Mutuel Wagering Office of Slot Operations – Page 1 (Pompano & Hallandale)

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

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



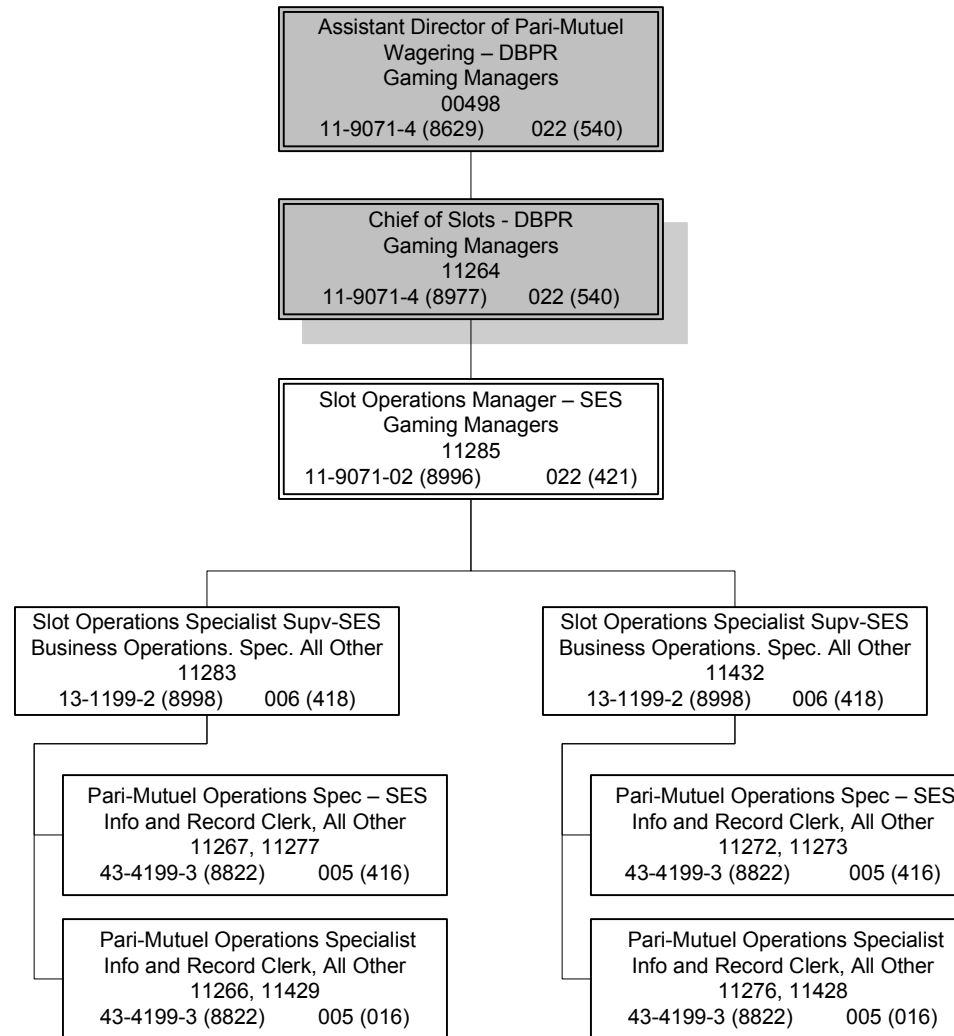


Department of Business & Professional Regulation 79  
 Division of Pari-Mutuel Wagering 10  
 Director's Office 01  
 Investigations 02  
 Operations 05  
 Auditing/Revenue 04/01  
 Office of Slot Operations 06

**Division of Pari-Mutuel Wagering  
 Office of Slot Operations – Page 2  
 Miami**

Current: 7-01-10  
 Last Update: 5-19-10

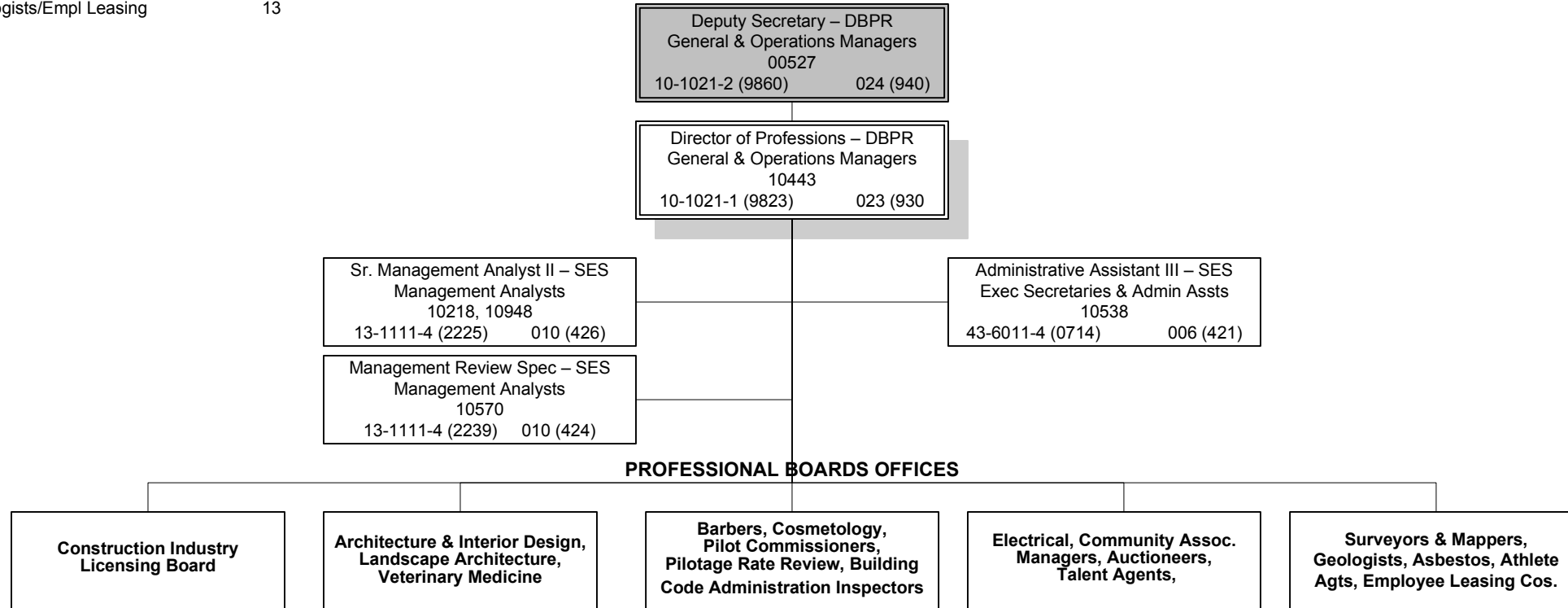
Positions 11293 and 11304 are assigned to the Office of Auditing, Financial Services Section. Positions 11288, 11289, 11294, 11300, and 11303 are assigned to the PMW Office of Operations. Positions 11287, 11291, 11292, and 11353 are assigned to Bureau of Investigations. (These positions are not reflected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



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

Current: 6-30-10  
Last Updated: 11-03-09

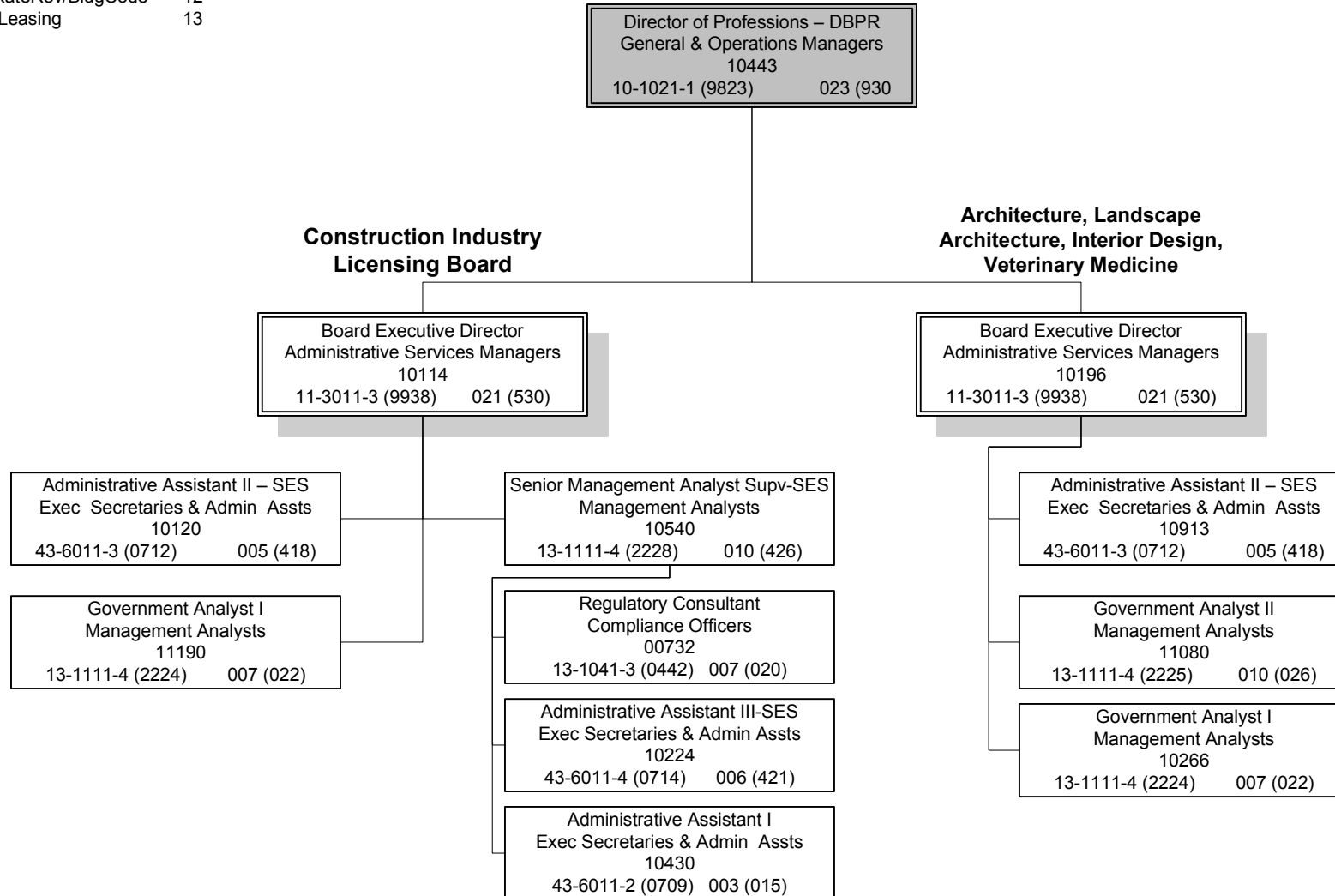
**Department of Business & Professional Regulation  
Division of Professions  
Director's Office**



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

Current: 6-30-10  
 Last Updated: 11-03-09

## Division of Professions Professions Board Offices

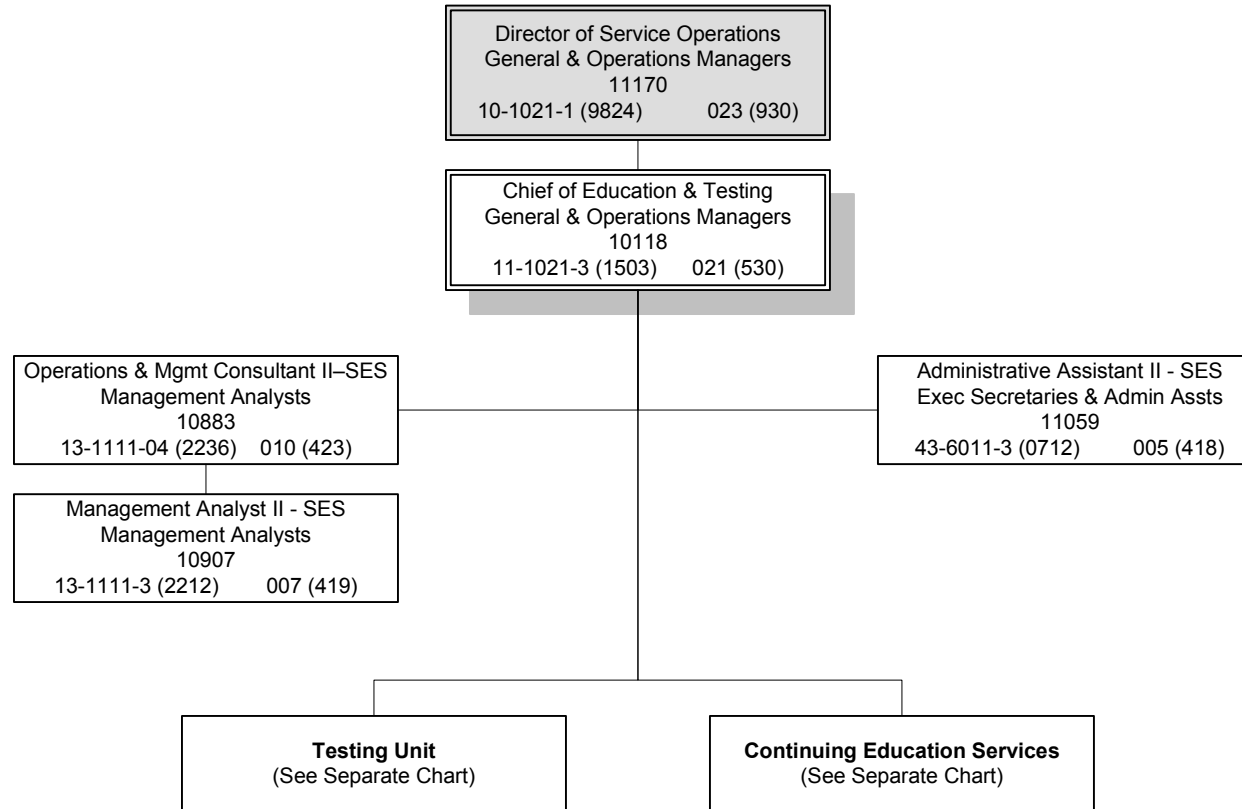


Department of Business & Professional Regulations  
 Division of Service Operations  
 Bureau of Education & Testing  
 Continuing Education Unit  
 Testing Unit

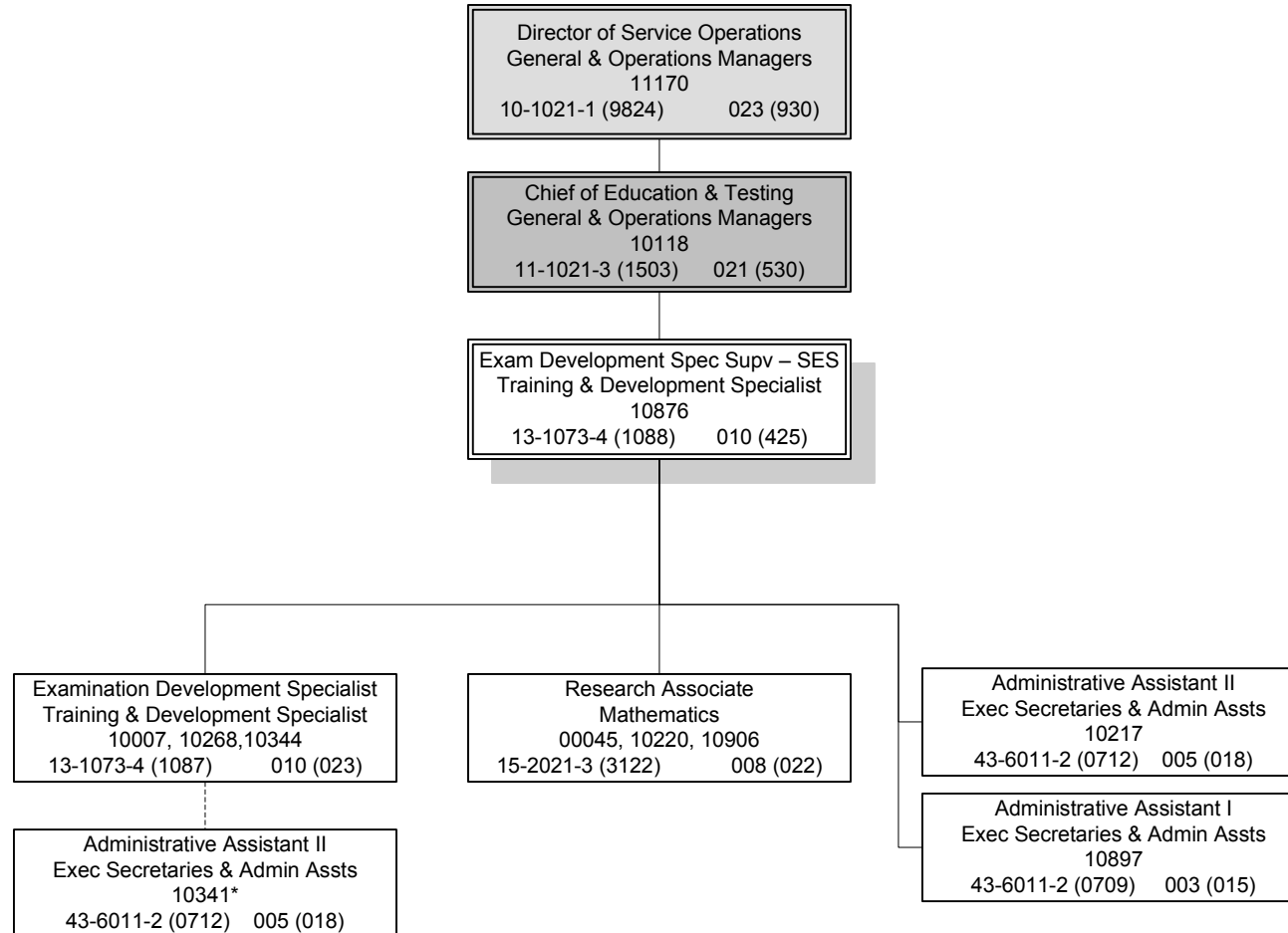
79  
 04  
 04  
 04 06  
 04 07

Current: 6-30-10  
 Last updated: 1-21-10

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

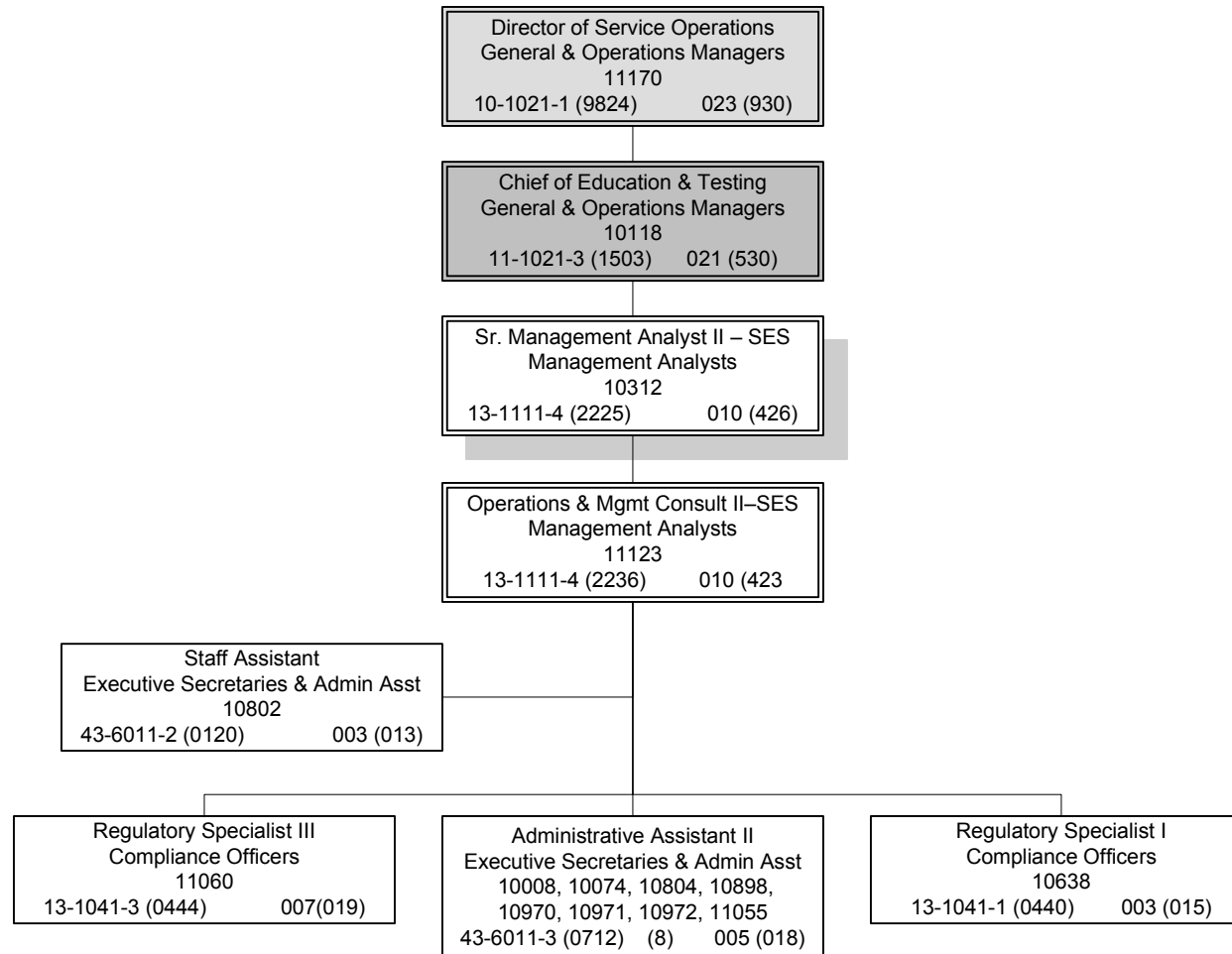


**Bureau of Education & Testing**  
**Testing Unit**  
**Psychometrics & Research**



\*Assigned to work in the DSO  
 Director's office pending formal  
 transfer.

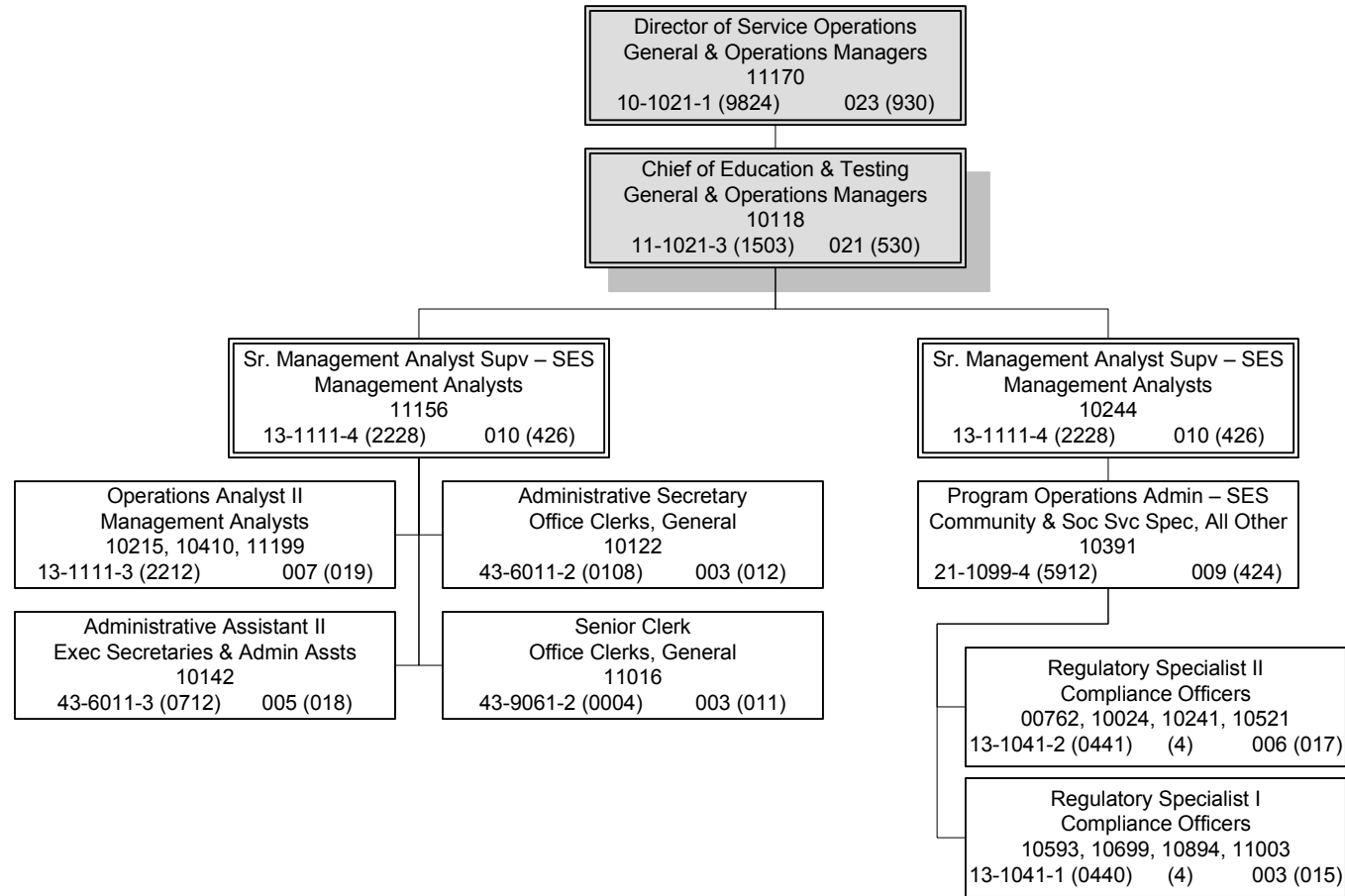
**Bureau of Education & Testing**  
**Testing Unit**  
**Candidate Services & Exam Administration**



Department of Business & Professional Regulations 79  
 Division of Service Operations 04  
 Bureau of Education & Testing 04  
 Continuing Education Unit 04 06  
 Testing Unit 04 07

## Bureau of Education & Testing Continuing Education Unit

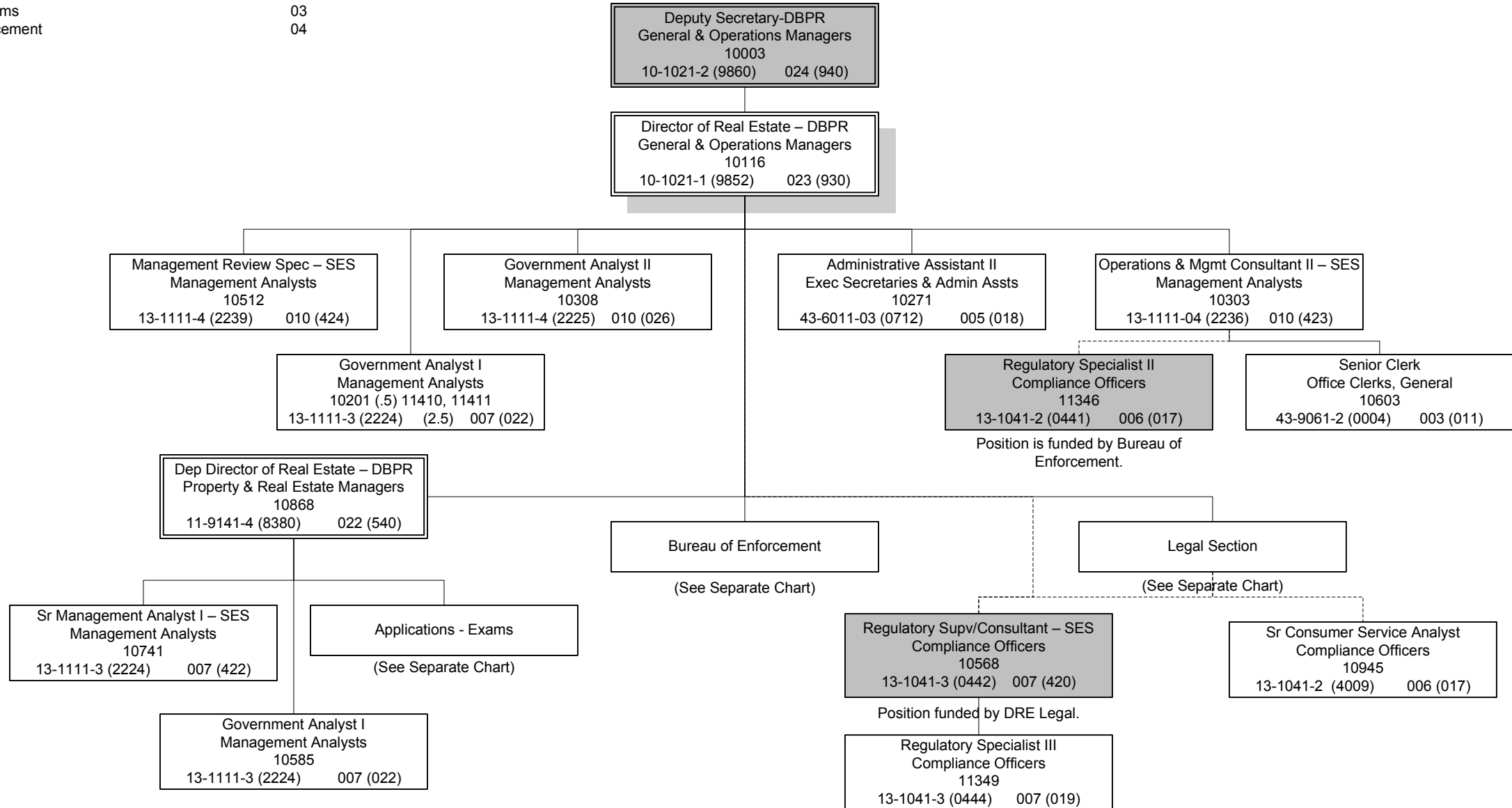
Current: 6-30-10  
 Last updated: 1-21-10



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

Current: 6-30-10  
Last updated: 11-03-09

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



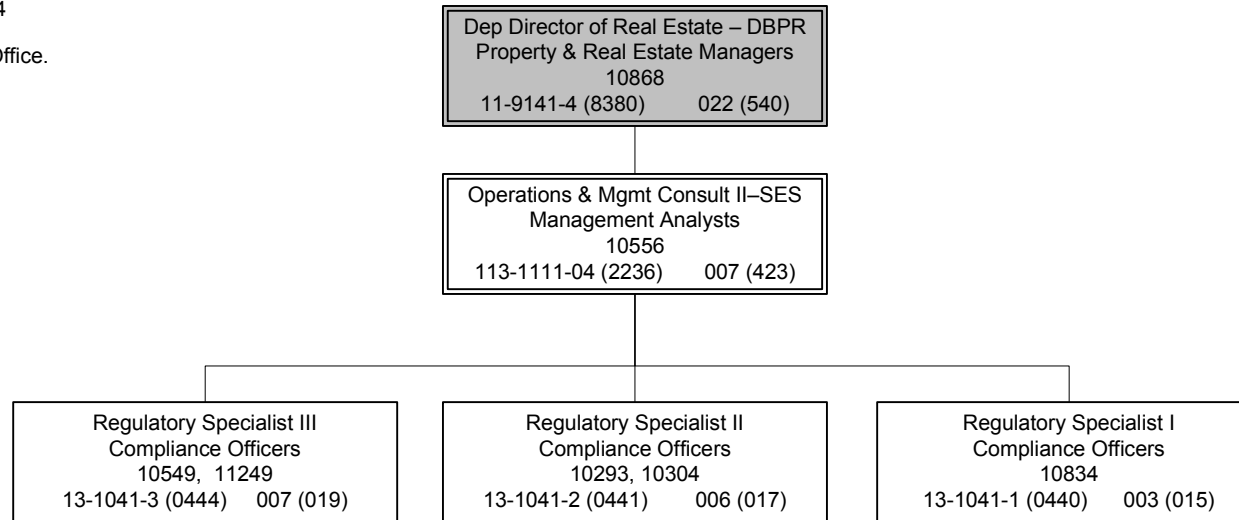


Department of Business & Professional Regulation 79  
 Division of Real Estate 70  
 Director's Office 01 01  
 Legal Section 01 02  
 Applications/Exams 03  
 Bureau of Enforcement 04

Position 10308, Government Analyst II, assigned to Director's Office.

Current: 6-30-10  
 Last updated: 11-03-09

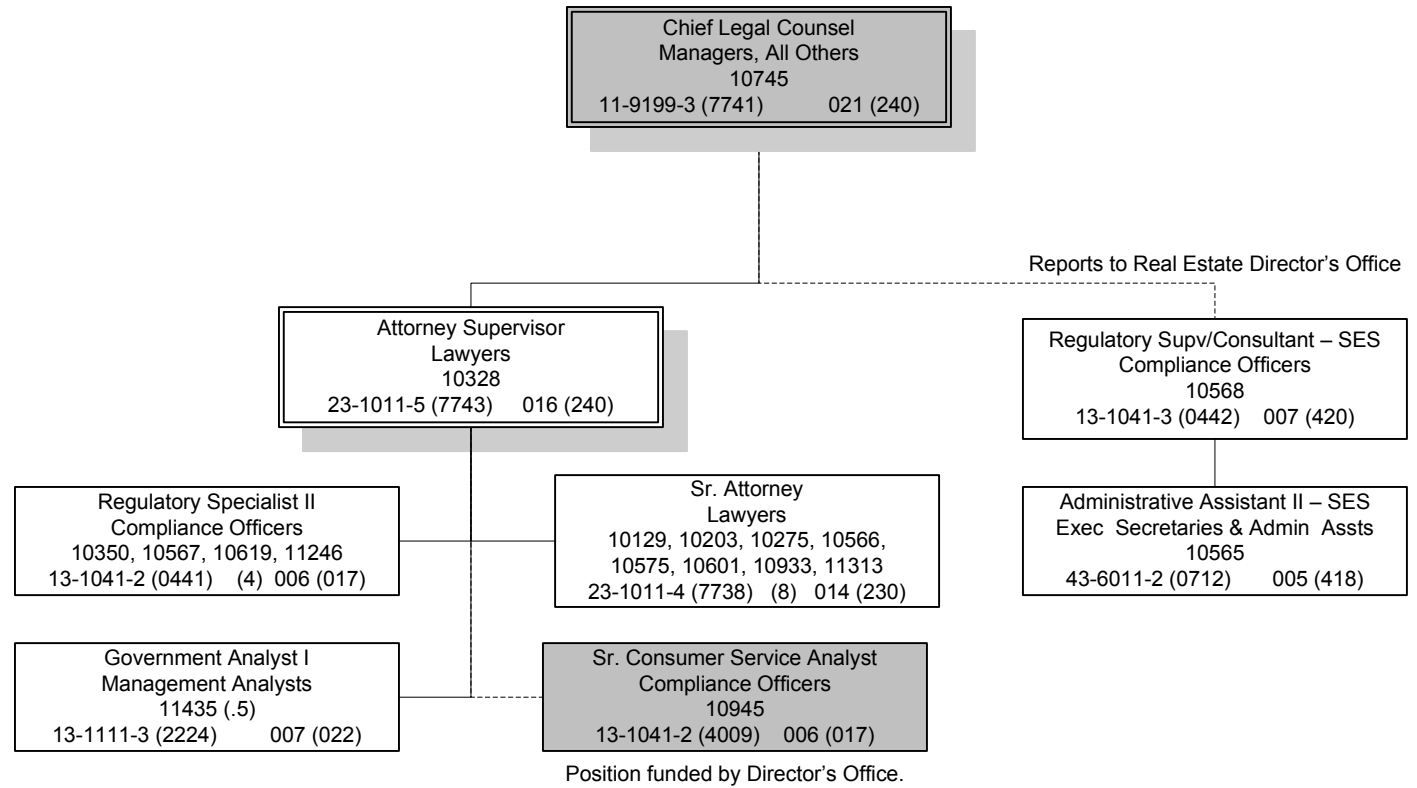
## Division of Real Estate Application - Exams



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

Current: 6-30-10  
 Last updated: 11-03-09

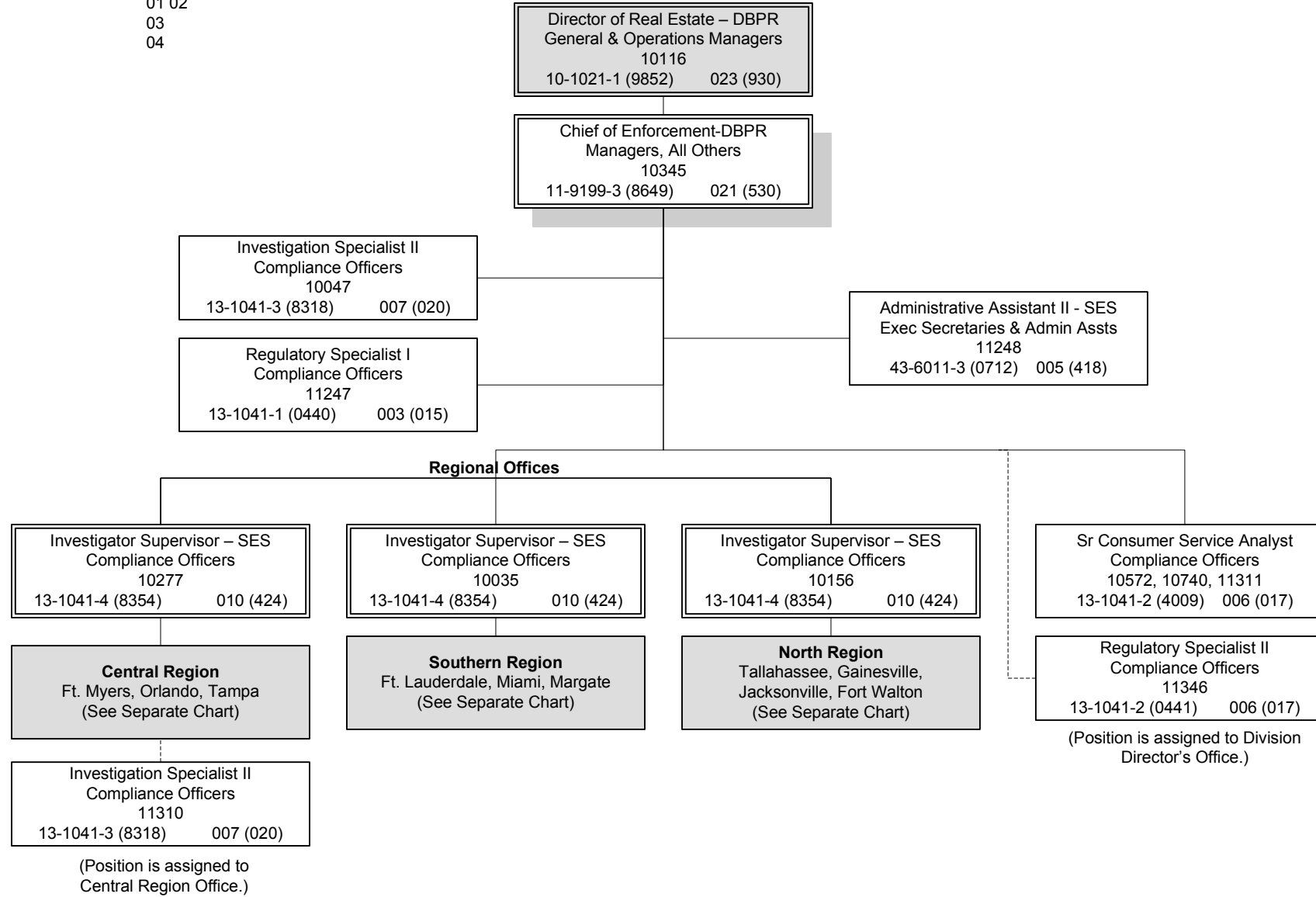
## Division of Real Estate Legal Section Orlando



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

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

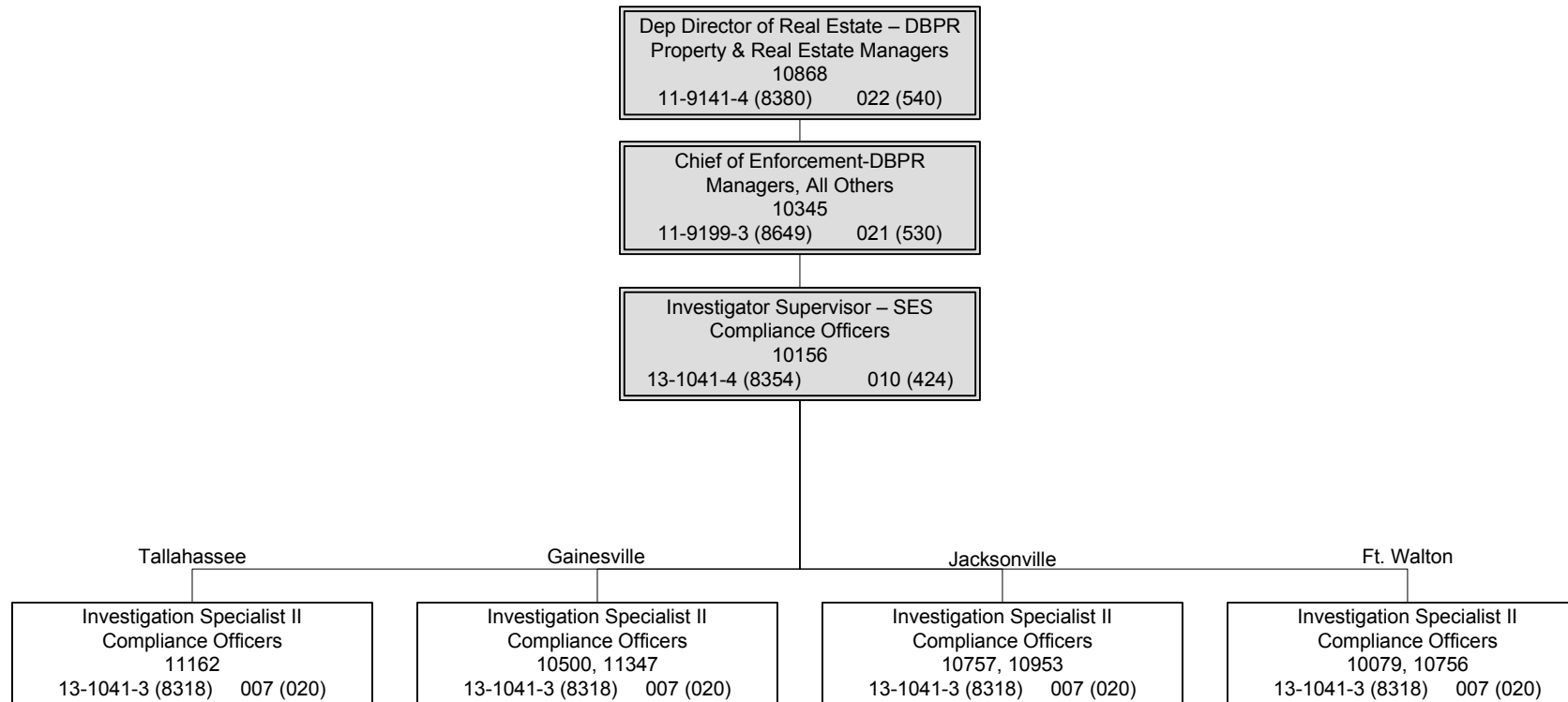
Current: 6-30-10  
 Last updated: 11-03-09



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

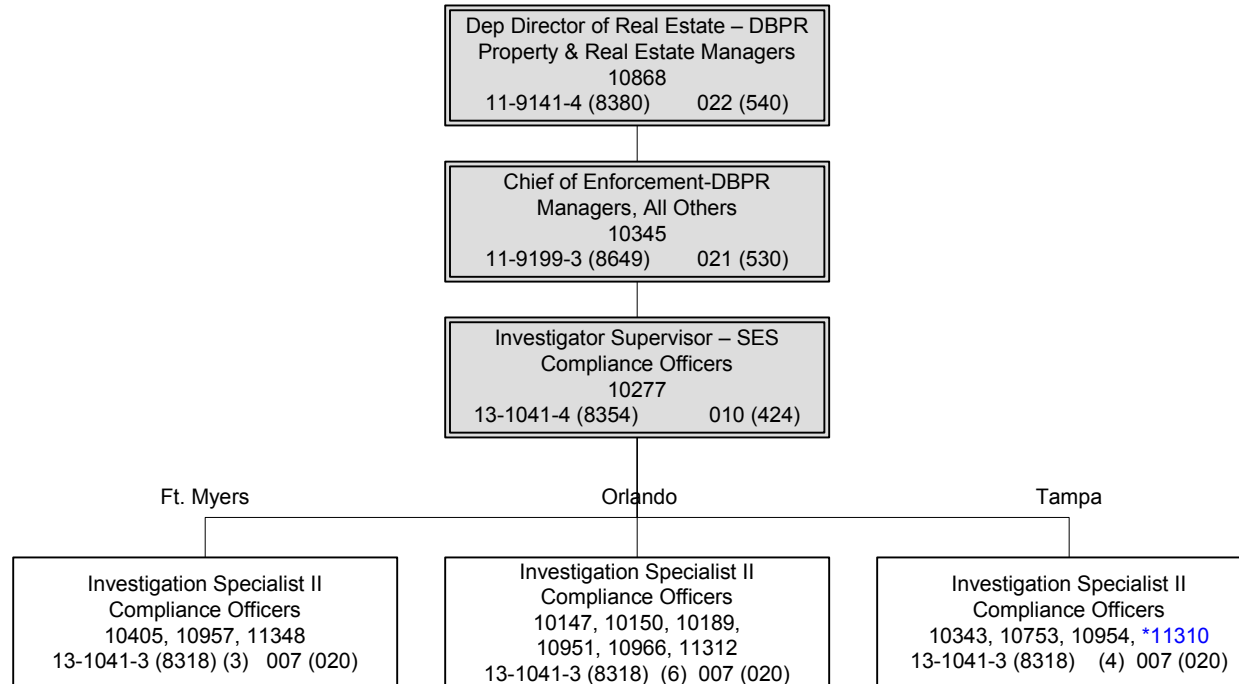
Current: 6-30-10  
 Last updated: 11-03-09

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



\*Position 11310 is funded by Chief's Office.

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

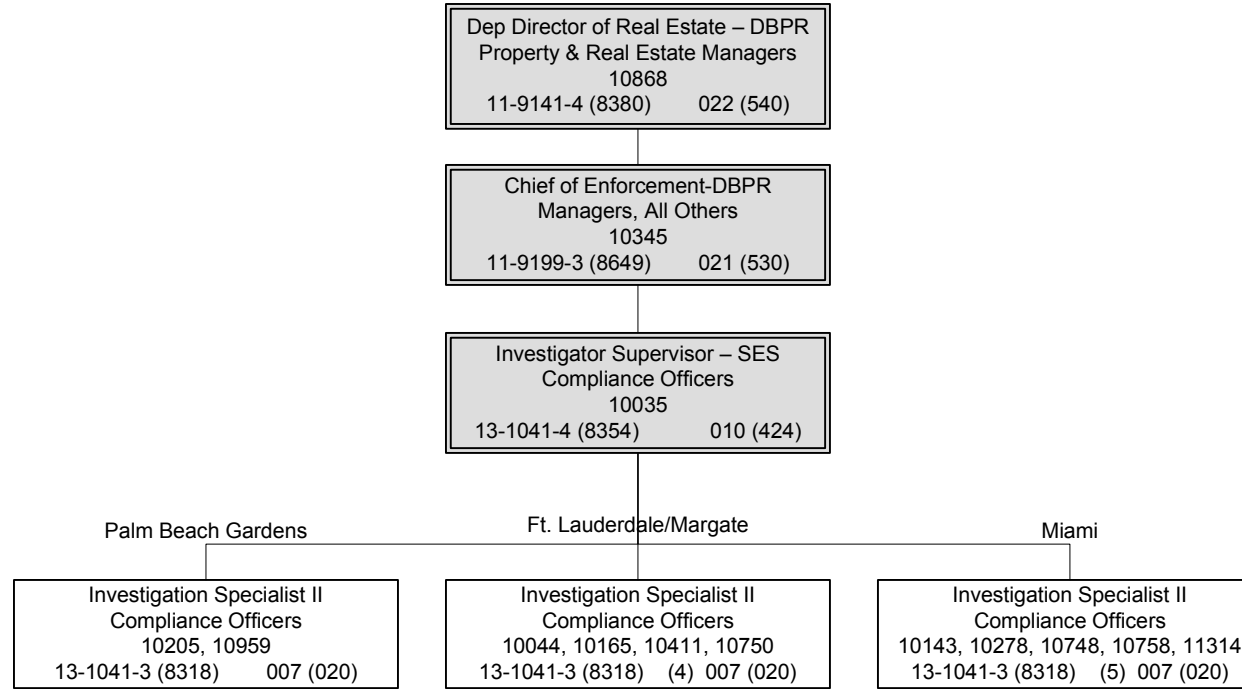


Department of Business & Professional Regulation  
 Division of Real Estate  
 Director's Office  
 Legal Section  
 Applications/Exams  
 Bureau of Enforcement

79  
 70  
 01 01  
 01 02  
 03  
 04

Current: 6-30-10  
 Last updated: 11-03-09

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



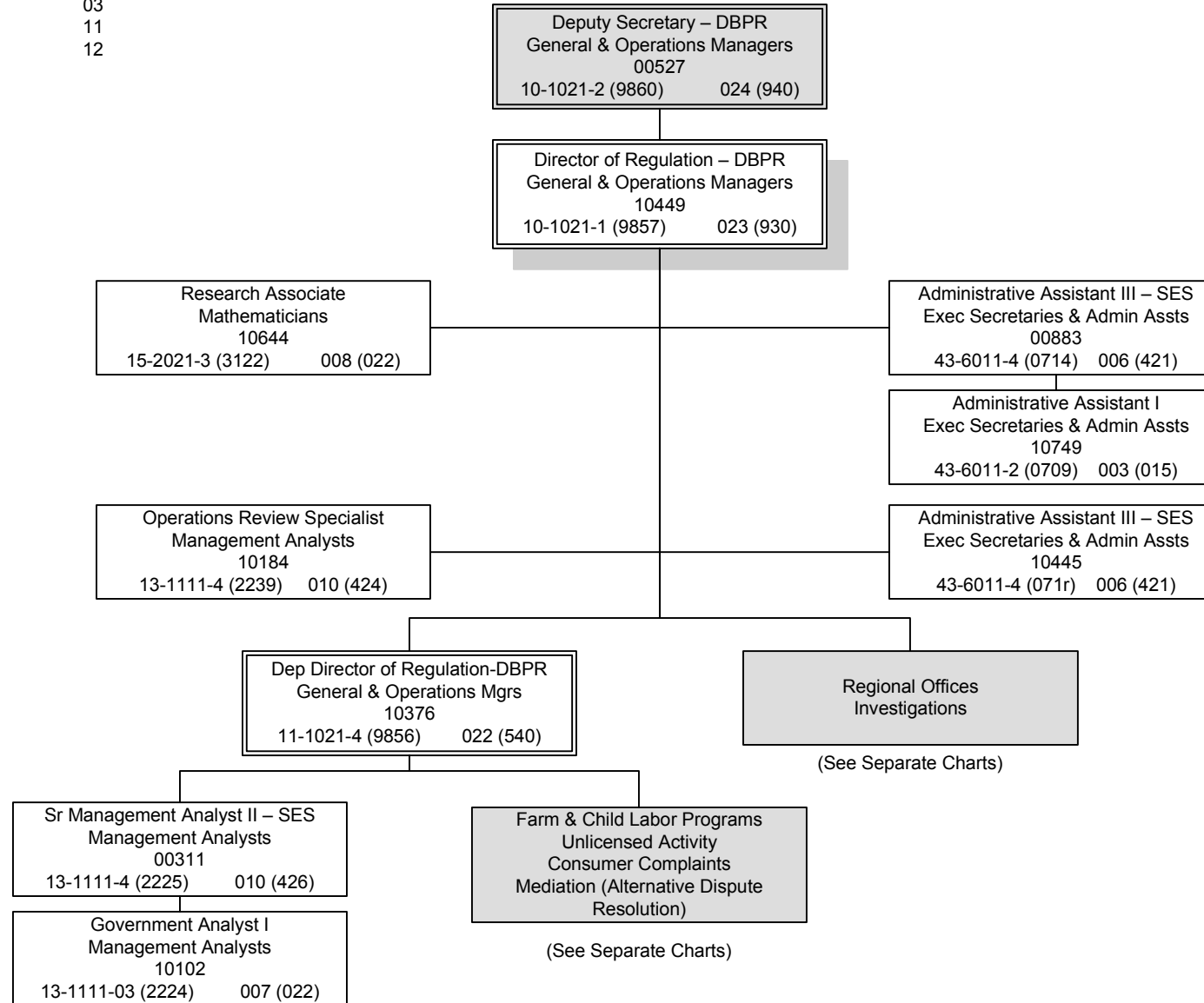
Department of Business & Professional Regulation 79  
 Division of Regulation 30  
 Director's Office 01  
 Inspections 02  
 Investigative Services 03  
 Farm Labor 11  
 Child Labor 12

## Department of Business & Professional Regulation

### Division of Regulation

#### Director's Office

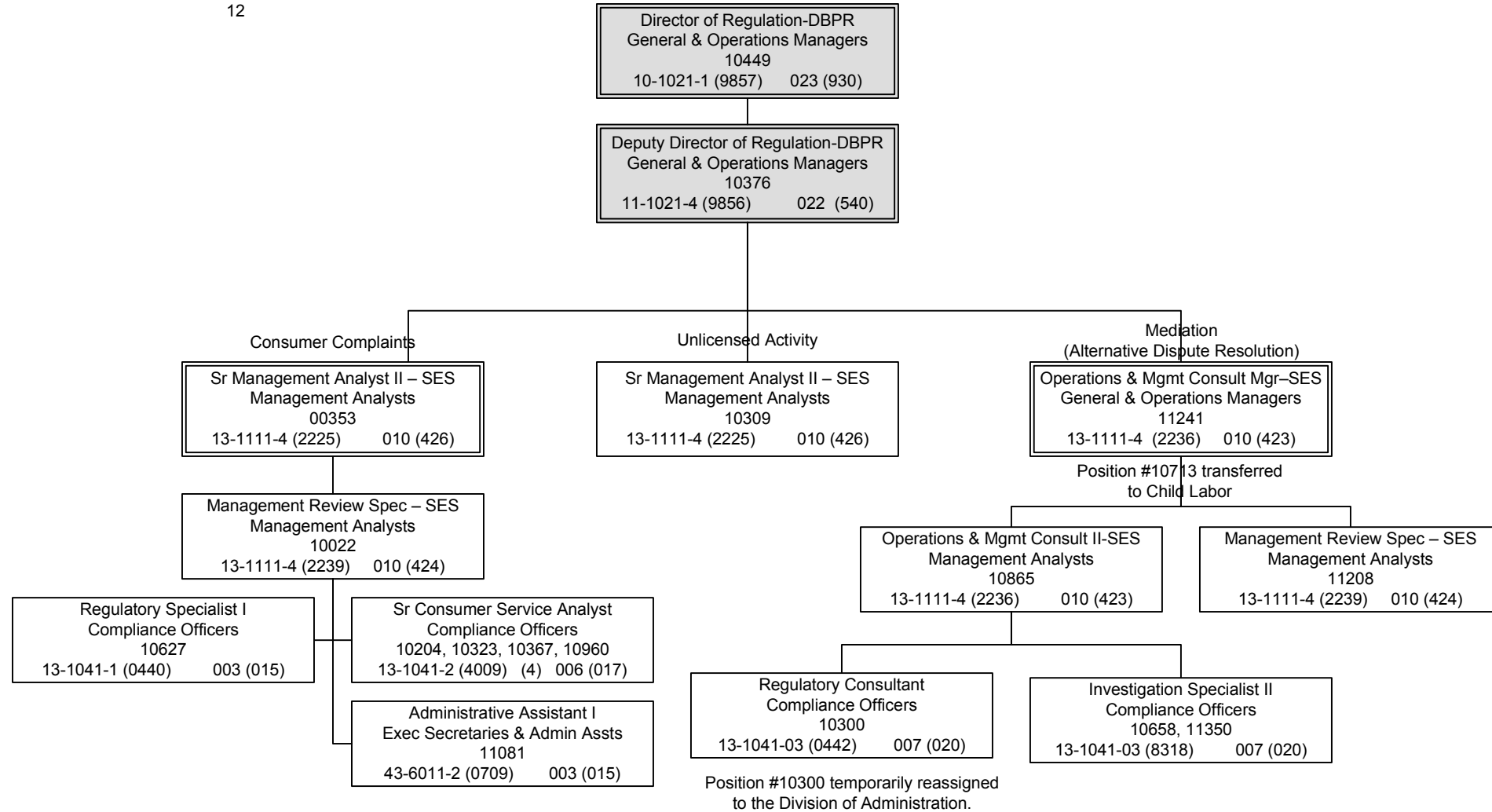
Current: 6-11-10  
 Last Updated: 6-23-10



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

Current: 6-11-10  
 Last Updated: 6-23-10

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





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

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

Deputy Director of Regulation-DBPR  
 General & Operations Managers  
 10376  
 11-1021-4 (9856) 022 (540)

US Farm Labor Program Office

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

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

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

**Orlando**  
 Regional Program Admin-SES  
 10264

(See Separate Chart)

Administrative Assistant II  
 Exec Secretaries & Admin Assts  
 11209  
 43-6011-3 (0712) 005 (018)

Investigator Supervisor-SES  
 10920

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

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

**Fort Myers**

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

Labor, Empl & Training Spc Supv-SES  
 Training & Development Specialists  
 11216  
 13-1073-4 (3343) 010 (421)

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

**Margate**  
 Regional Program Admin-SES  
 01353

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

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

(See Separate Chart)

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

(See Separate Chart)

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

**Gainesville**  
 Regional Program Admin-SES  
 10281

(See Separate Chart)

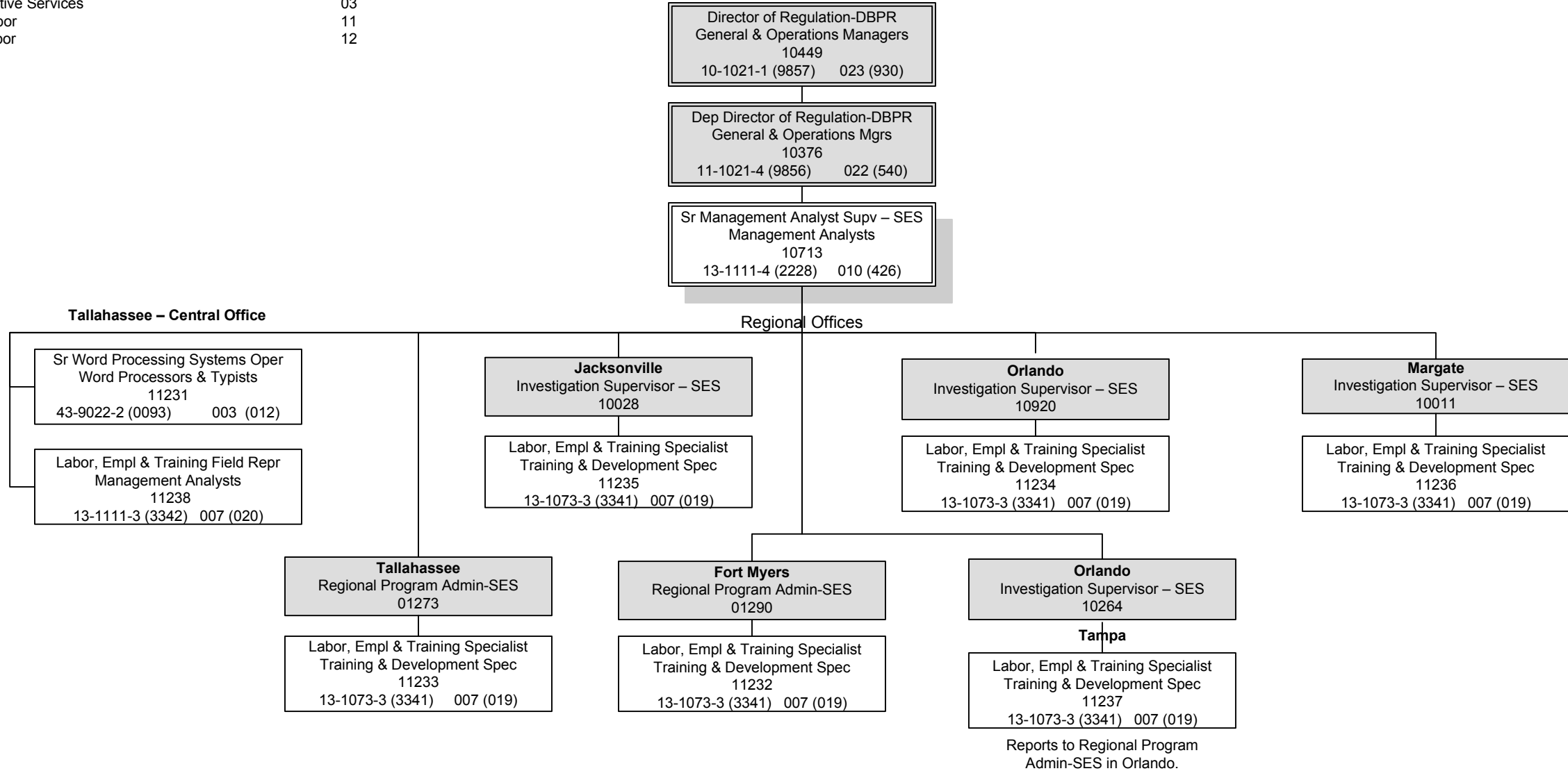
Labor, Empl & Training Specialist  
 Training & Development Spec  
 11215  
 13-1073-3 (3341) 007 (019)

Note: Farm Labor positions in Regional Offices report to local supervisors for day-to-day operations.

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

Current: 6-11-10  
 Last Updated: 6-23-10

## Division of Regulation Compliance & Enforcement Child Labor

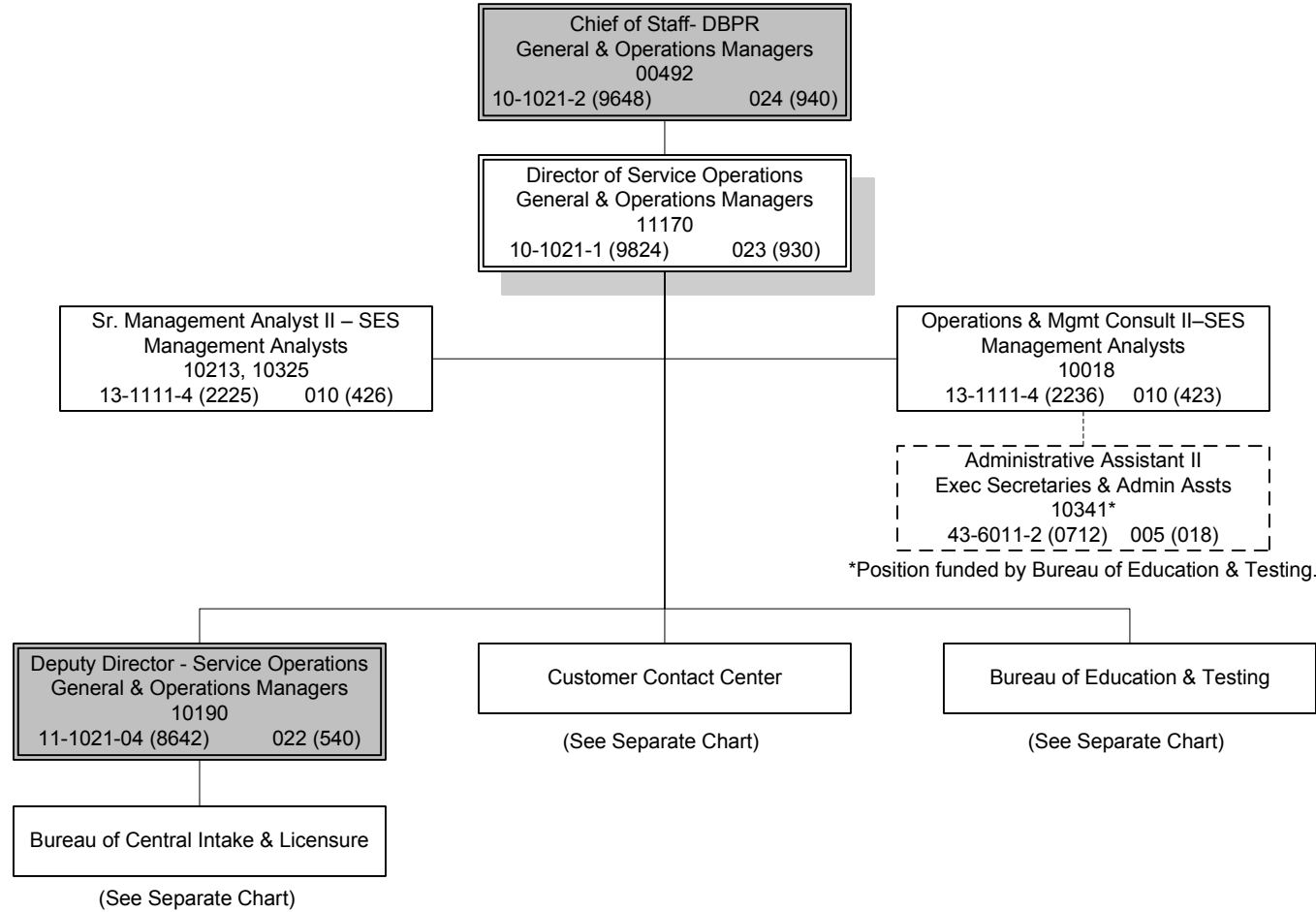


Note: Child Labor positions in Regional Offices report to local supervisors for day to day operations.

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

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

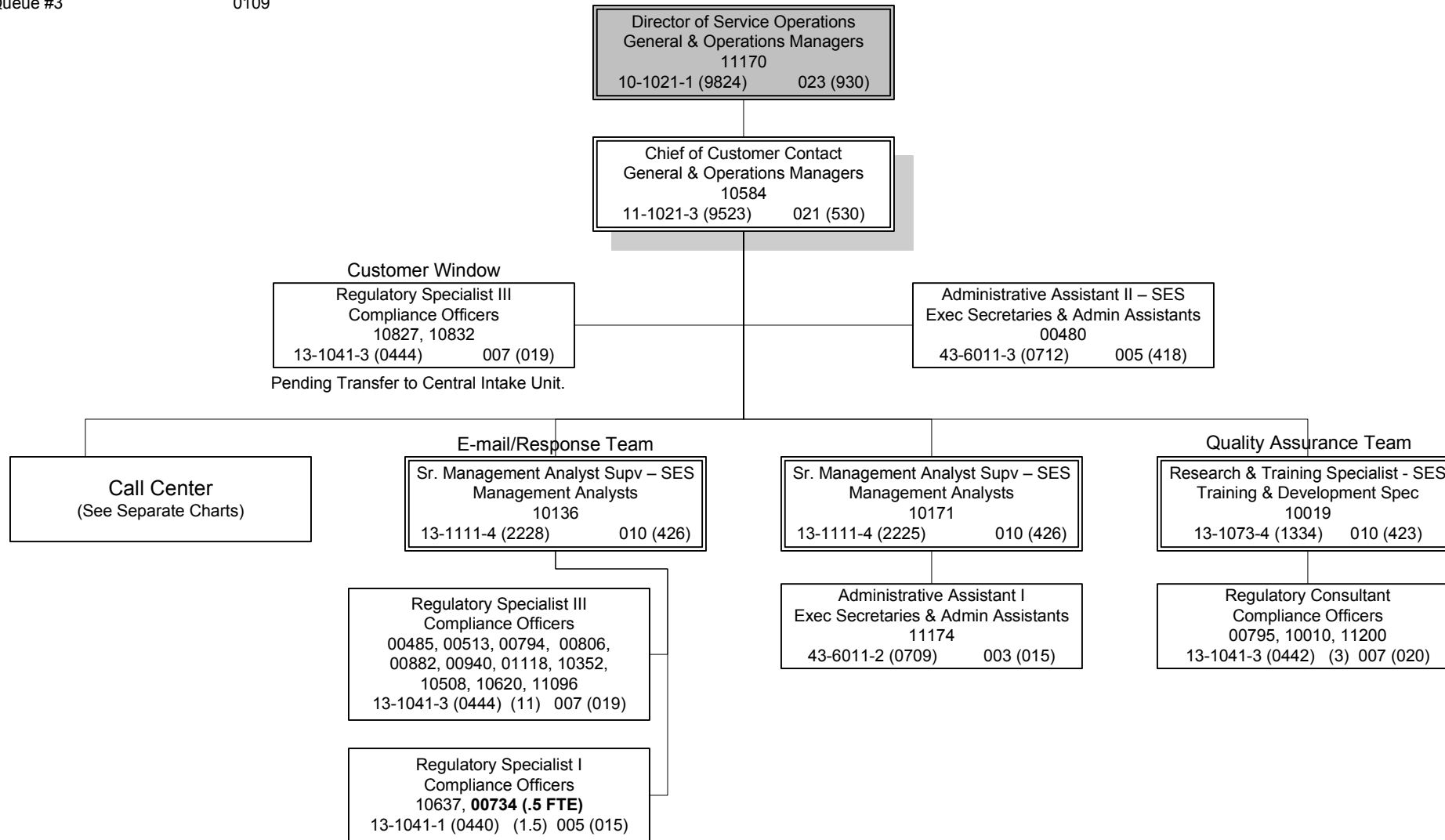
Current: 1-20-10  
 Last updated: 2-02-10



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

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

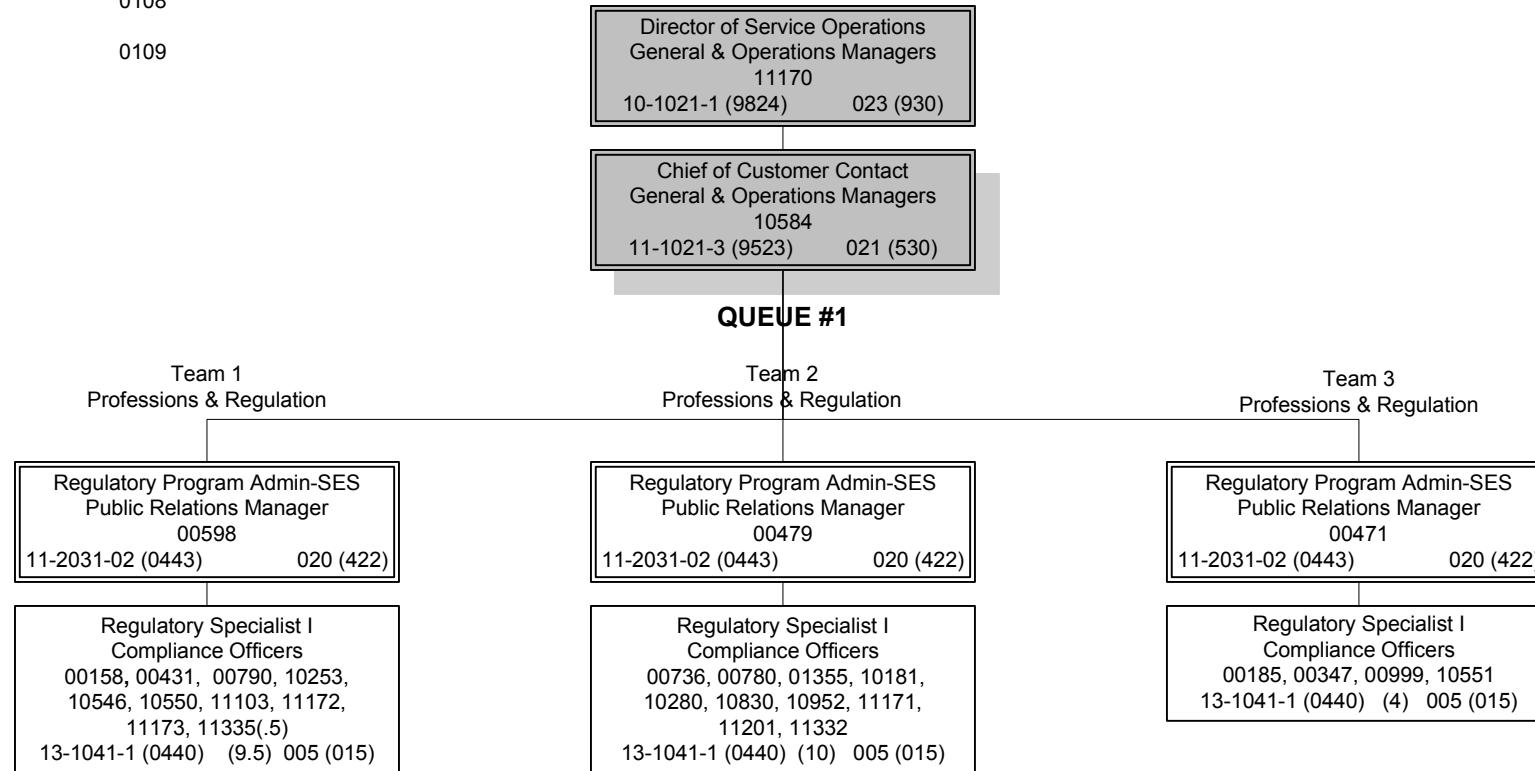
Current: 5-28-10  
 Last updated: 6-10-10



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

## Division of Service Operations Customer Contact Center

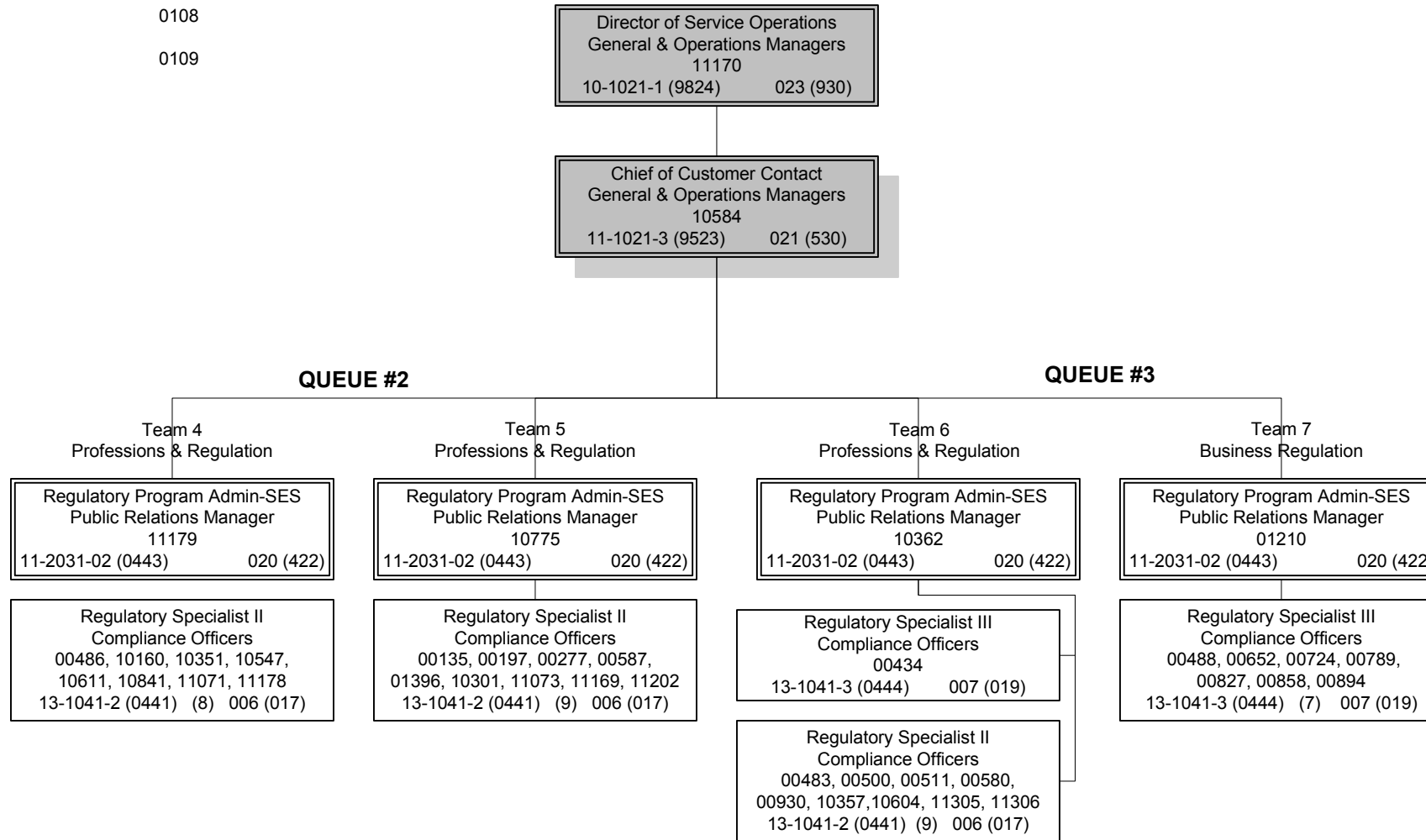
Current: 5-28-10  
 Last updated: 6-10-10



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

## Division of Service Operations Customer Contact Center

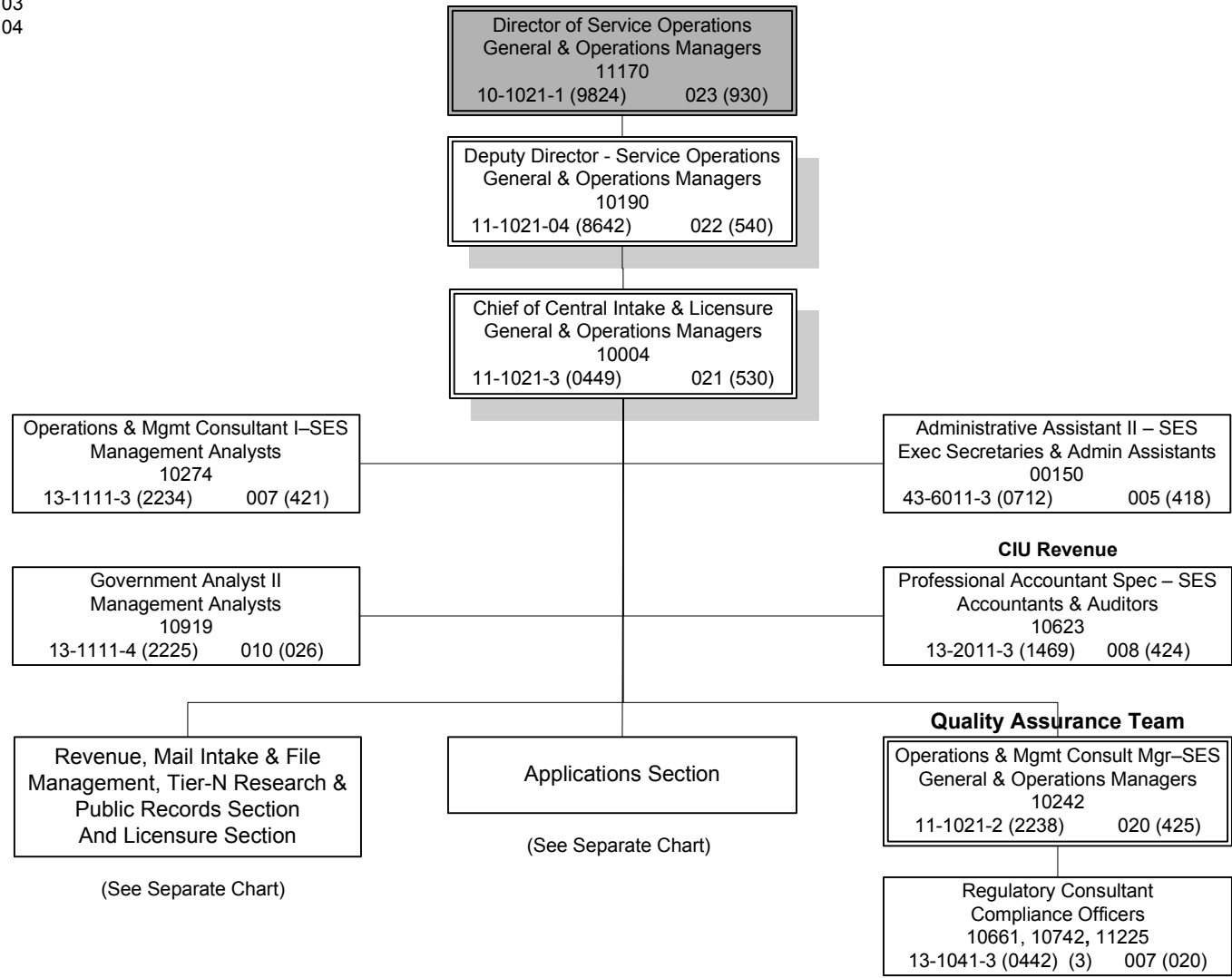
Current: 5-28-10  
 Last updated: 6-10-10



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

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

Current: 5-28-10  
 Last updated: 6-10-10



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

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

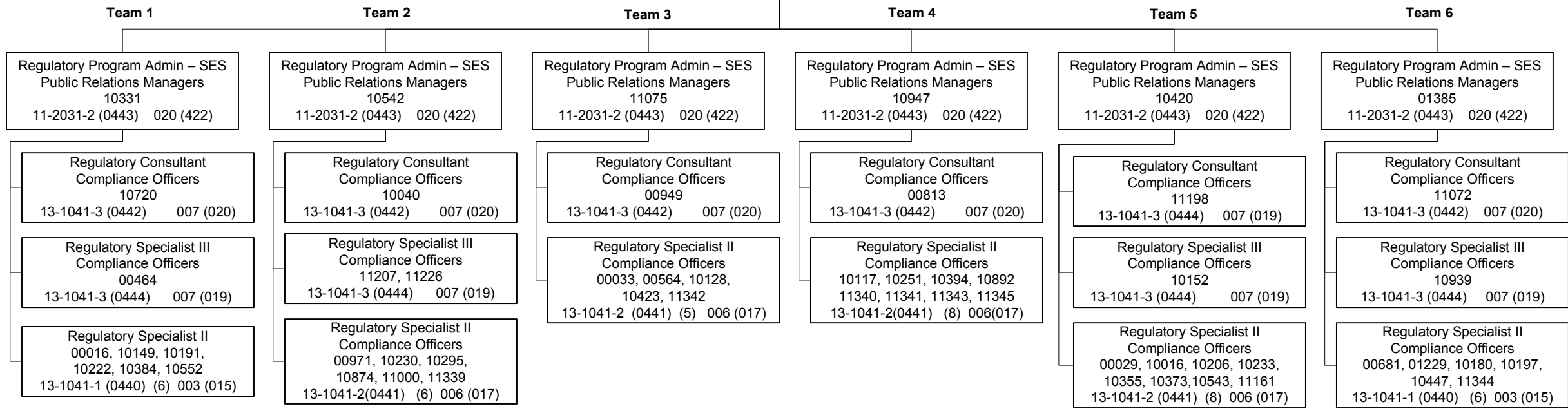
## Division of Service Operations Central Intake & Licensure Applications

Current: 5-28-10  
 Last updated: 6-10-10

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

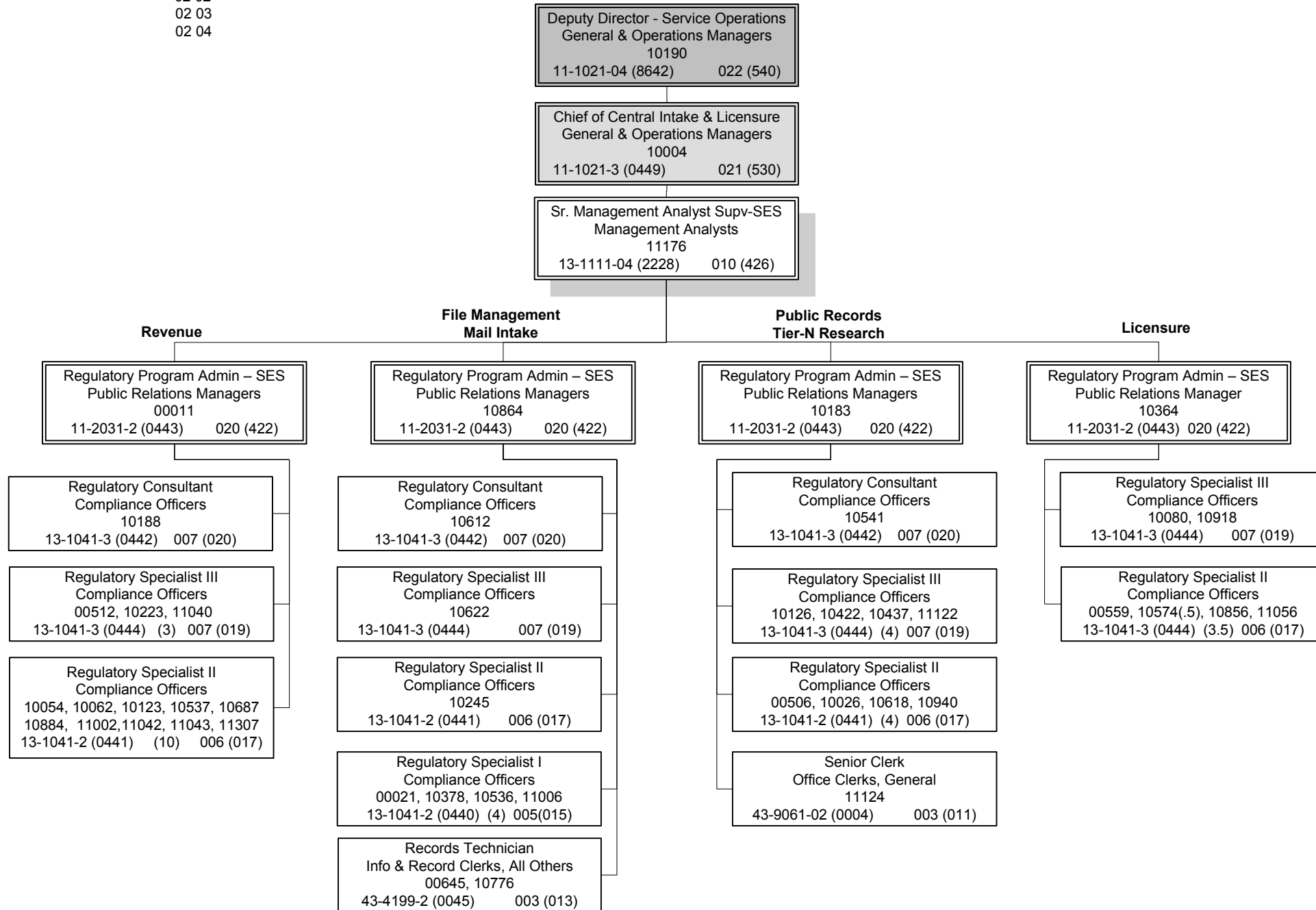
Chief of Central Intake & Licensure  
 General & Operations Managers  
 10004  
 11-1021-3 (0449) 021 (530)

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





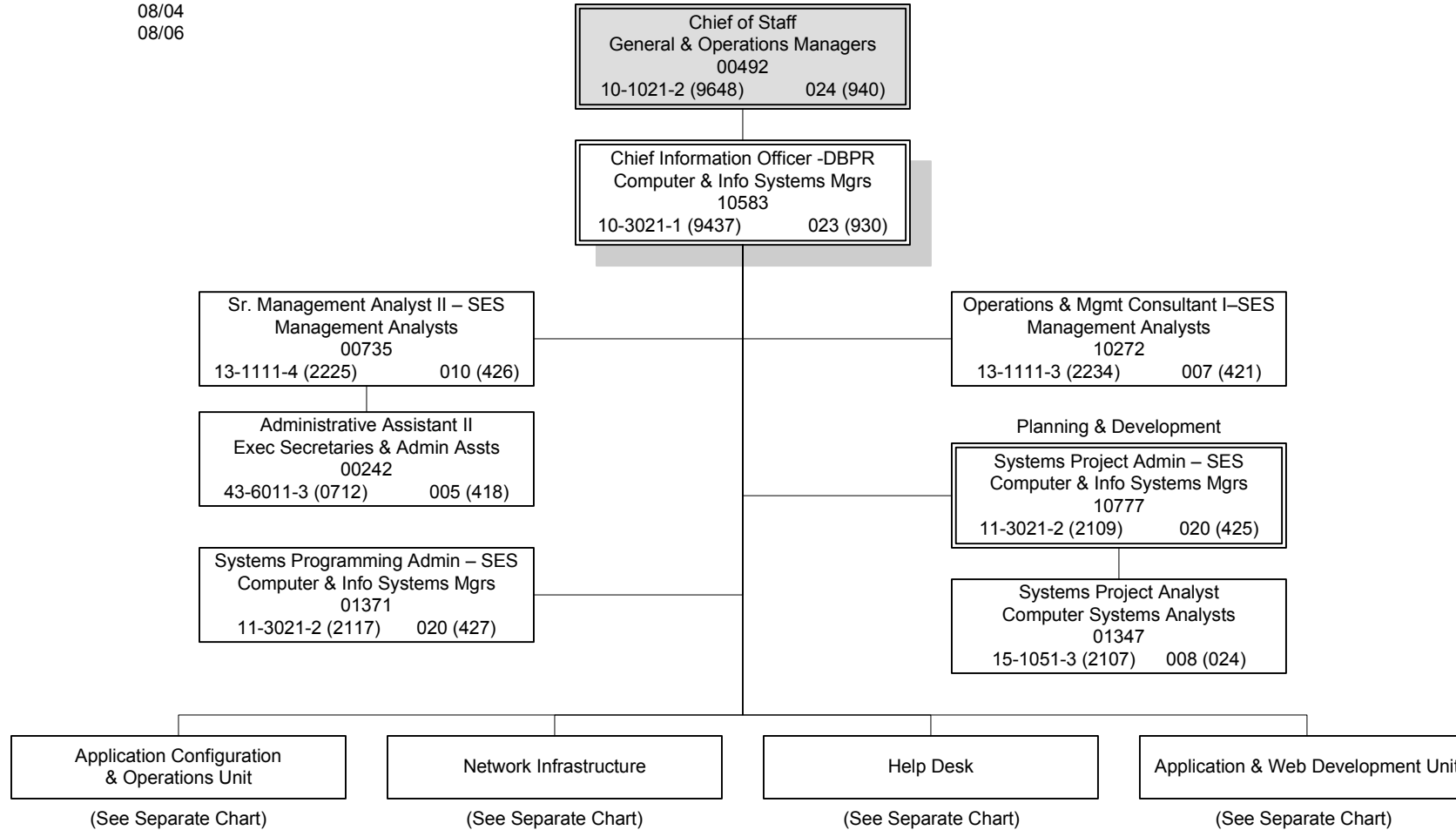
**Division of Service Operations**  
**Central Intake & Licensure**  
**Revenue/Administration/File Management**



Department of Business & Professional Regulations 79  
 Division of Technology 08/01  
 Application Configuration & Operations 08/02  
 Network Infrastructure 08/03  
 Help Desk 08/04  
 Applications & Web Development 08/06

**Department of Business and Professional Regulation**  
**Division of Technology**  
**Director's Office**

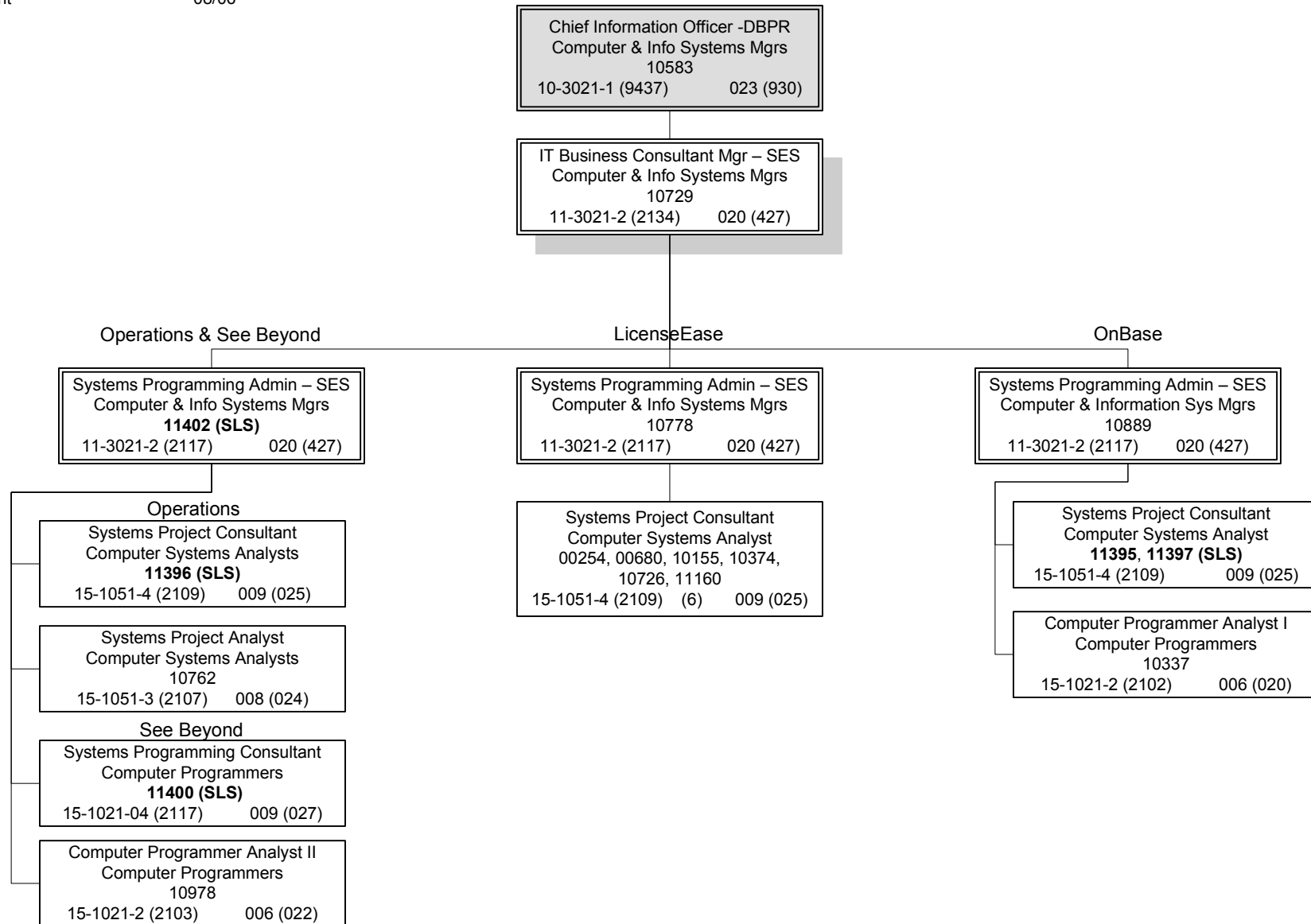
Current: 6-30-10  
 Last updated: 7-01-10



Department of Business & Professional Regulations 79  
 Division of Technology 08/01  
 Application Configuration & Operations 08/02  
 Network Infrastructure 08/03  
 Help Desk 08/04  
 Applications & Web Development 08/06

## Division of Technology Enterprise Applications – Licensing & Compliance

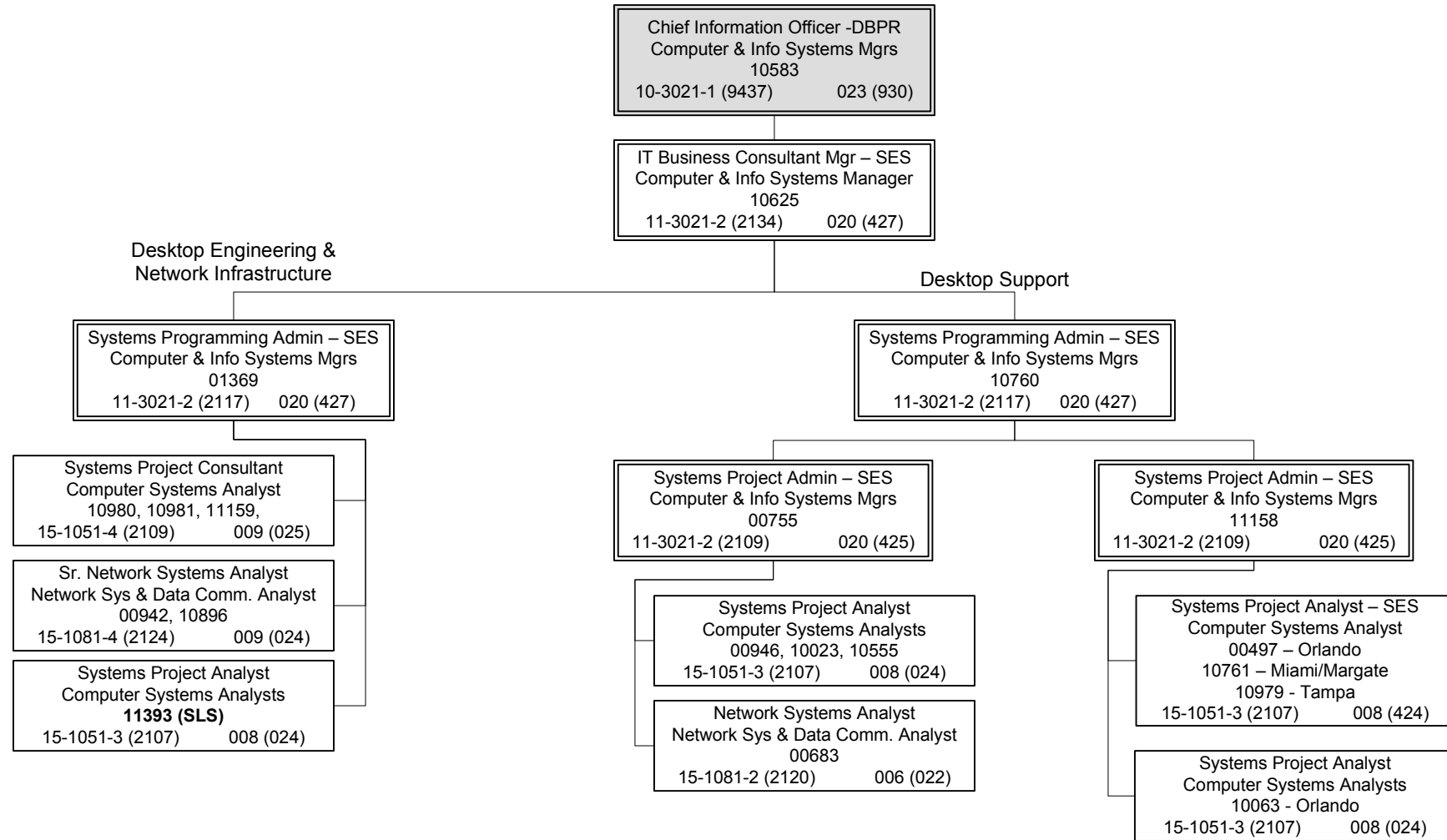
Current: 6-30-10  
 Last updated: 7-01-10



Department of Business & Professional Regulations 79  
 Division of Technology 08/01  
 Application Configuration & Operations 08/02  
 Network Infrastructure 08/03  
 Help Desk 08/04  
 Applications & Web Development 08/06

Current: 6-30-10  
 Last updated: 7-01-10

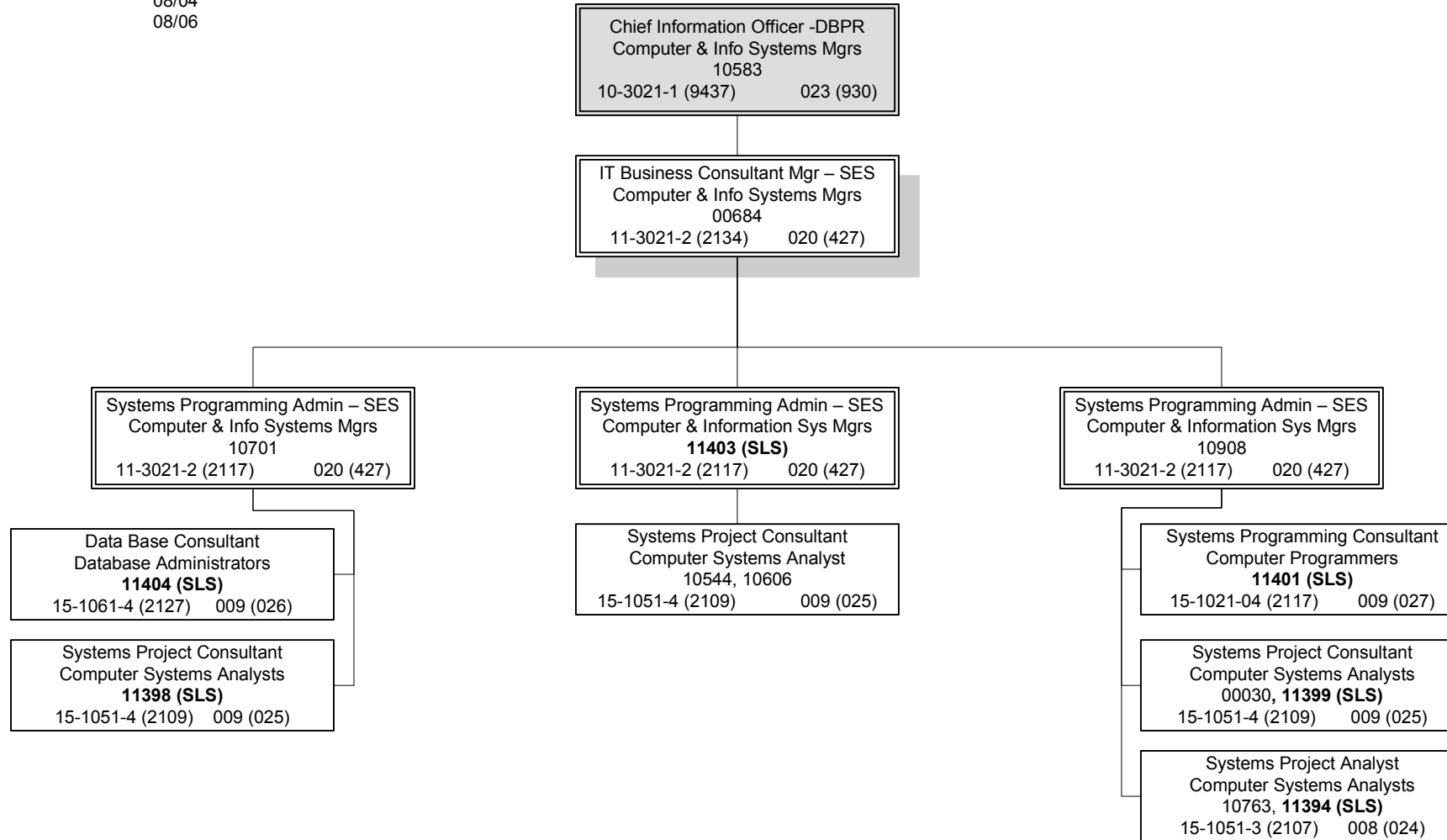
## Division of Technology Desktop Engineering & Network Infrastructure Desktop Support



Department of Business & Professional Regulations 79  
 Division of Technology 08/01  
 Application Configuration & Operations 08/02  
 Network Infrastructure 08/03  
 Help Desk 08/04  
 Applications & Web Development 08/06

Current: 6-30-10  
 Last updated: 7-01-10

## Division of Technology Business Applications & Web Development



SLS – Single Licensing System support.

# Schedule XI

## Agency-Level Unit Cost Summary

BUSINESS AND PROFESSIONAL REGULATION, DEPARTMENT OF		FISCAL YEAR 2009-10			
SECTION I: BUDGET		OPERATING		FIXED CAPITAL OUTLAY	
TOTAL ALL FUNDS GENERAL APPROPRIATIONS ACT				129,884,731	
ADJUSTMENTS TO GENERAL APPROPRIATIONS ACT (Supplementals, Vetoes, Budget Amendments, etc.)				345,602	
FINAL BUDGET FOR AGENCY				130,230,333	
SECTION II: ACTIVITIES * MEASURES		Number of Units	(1) Unit Cost	(2) Expenditures (Allocated)	(3) FCO
<i>Executive Direction, Administrative Support and Information Technology (2)</i>					0
Licensure/Revenue * Number of transactions processed		741,006	4.12	3,049,702	
Protect Boxers * Number of scheduled boxing and kickboxing/mixed martial arts events.		74	8,470.04	626,783	
Call Center * Number of calls, emails, public contacts		2,284,796	2.73	6,241,673	
Central Intake - Initial Applications * Number of initial applications processed		107,976	39.93	4,311,499	
Central Intake - Renewals * Number of renewals processed		505,456	1.61	816,076	
Testing * Number of candidates tested		52,456	48.78	2,558,763	
Continuing Education * Number of non-deficient, complete provider and individual course applications processed within 90 days		6,431	162.01	1,041,881	
Board Of Architecture And Interior Design * Number of enforcement actions		138	3,081.44	425,239	
Monitor Employers For Compliance With Migrant Farmworker Labor Laws * Number of Investigations and Inspections		4,262	353.02	1,504,582	
Monitor Employers For Compliance With Child Labor Laws * Number of Investigations and Inspections		11,793	56.76	669,378	
Compliance And Enforcement Activities * Number of enforcement actions.		130,683	92.75	12,120,431	
Laboratory Services * Number of blood and urine samples tested.		81,543	27.79	2,266,000	
Standards And Licensure Activities * Number of licensees		790,464	18.55	14,660,839	
Tax Collection And Auditing * Number of audits conducted.		70,450	22.90	1,613,499	
Cardrooms * Number of audits conducted.		25	4,008.28	100,207	
Pari-mutuel Number Of Slot Applications Processed * Number of Slot Applications Processed		3,708	1,199.24	4,446,800	
Compliance And Enforcement Activities For Hotels And Restaurants * Inspections and enforcement actions		148,437	132.49	19,666,725	
Compliance And Enforcement Activities For Elevators * Inspections and enforcement actions		9,464	152.96	1,447,572	
Food Service And Tenant/Landlord Education And Training * Educational packets distributed, web hits, and training seminars/workshops conducted		32,510	25.58	831,731	
Standards And Licensure Activities For Hotels And Restaurants * Number of licensees for public lodging and food service establishments		82,650	14.11	1,165,890	
Standards And Licensure Activities For Elevators * Number of licensees for elevators, escalators and other vertical conveyance devices		49,378	9.03	446,087	
Compliance And Enforcement Activities * Number of enforcement actions for Alcoholic Beverages and Tobacco		72,391	262.66	19,013,940	
Standards And Licensure Activities * Number of applications processed for Alcoholic Beverages and Tobacco		30,513	154.82	4,724,127	
Tax Collection And Auditing * Number of audits conducted for Alcoholic Beverages and Tobacco		30,346	248.38	7,537,469	
Compliance And Enforcement Activities - General Regulation (yacht And Ship) * Number of regulatory activities.		3,908	57.81	225,930	
Compliance And Enforcement Activities - Timeshare * Number of regulatory activities.		8,432	143.69	1,211,578	
Compliance And Enforcement Activities - Condominiums * Number of regulatory activities.		94,160	65.78	6,193,400	
Compliance And Enforcement Activities - Mobile Homes * Number of regulatory activities.		11,227	37.03	415,690	
Homeowners' Associations * Number of compliance actions.		254	882.36	224,120	
Condominium Ombudsman * Number of activities in fulfillment of statutory duties.		67,124	7.09	476,216	
TOTAL				120,033,827	
SECTION III: RECONCILIATION TO BUDGET					
PASS THROUGHS					
TRANSFER - STATE AGENCIES					
AID TO LOCAL GOVERNMENTS					
PAYMENT OF PENSIONS, BENEFITS AND CLAIMS					
OTHER				1,477,721	
REVERSIONS				8,718,834	
TOTAL BUDGET FOR AGENCY (Total Activities + Pass Throughs + Reversions) - Should equal Section I above. (4)				130,230,382	

## 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.



## Technical Checklist LBR Review



## Fiscal Year 2011-12 LBR Technical Review Checklist (Rev. 10-13-2010)

Department/Budget Entity (Service): Department of Business and Professional Regulation- Drugs, Devices and Cosmetics  
 Agency Budget Officer/OPB Analyst Name: Lynn Smith/Eric Steinkuehler

A "Y" indicates "YES" and is acceptable, an "N/J" indicates "NO/Justification Provided" - these require further explanation/justification (additional sheets can be used as necessary), and "TIPS" are other areas to consider.

Action	Program or Service (Budget Entity Codes)				
	79700100				

1. GENERAL					
1.1	Are Columns A01, A02, A04, A05, A36, A90, A91, A92, A93, A94, A95, 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?	N/A			
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.	N/A			
3.2	Are the 33XXXXX0 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 33XXXXX0 - a unique issue should be used for issues that net to zero or a positive amount.	N/A			
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")	N/A			
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")	N/A			
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.				

		Program or Service (Budget Entity Codes)				
Action		79700100				
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 (05XXXXX) should be used. For advance payment authority to non-profit organizations or other units of state government, the Special Categories appropriation category (10XXXXX) should be used.					
<b>4. EXHIBIT D (EADR, EXD)</b>						
4.1	Is the program component objective statement consistent with the agency LRPP, and does it conform to the directives provided on page 59 of the LBR Instructions?	Y				
4.2	Is the program component code and title used correct?	Y				
TIP	Fund shifts or transfers of services or activities between program components will be displayed on an Exhibit D whereas it may not be visible on an Exhibit A.					
<b>5. EXHIBIT D-1 (ED1R, EXD1)</b>						
5.1	Are all object of expenditures positive amounts? (This is a manual check.)	N/A				
AUDITS:						
5.2	Do the fund totals agree with the object category totals within each appropriation category? ( <b>ED1R, XD1A - Report should print "No Differences Found For This Report"</b> )	N/A				
5.3	FLAIR Expenditure/Appropriation Ledger Comparison Report: Is Column A01 less than Column B04? ( <b>EXBR, EXBB - Negative differences need to be corrected in Column A01.</b> )	N/A				
5.4	A01/State Accounts Disbursements and Carry Forward Comparison Report: Does Column A01 equal Column B08? ( <b>EXBR, EXBD - Differences need to be corrected in Column A01.</b> )	N/A				
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.					
<b>6. EXHIBIT D-3 (ED3R, ED3) (Not required in the LBR - for analytical purposes only.)</b>						
6.1	Are issues appropriately aligned with appropriation categories?	Y				
TIP	Exhibit D-3 is no longer required in the budget submission but may be needed for this particular appropriation category/issue sort. Exhibit D-3 is also a useful report when identifying negative appropriation category problems.					
<b>7. EXHIBIT D-3A (EADR, ED3A)</b>						
7.1	Are the issue titles correct and do they clearly identify the issue? (See pages 15 through 31 of the LBR Instructions.)	Y				
7.2	Does the issue narrative adequately explain the agency's request and is the explanation consistent with the LRPP? (See page 65 of the LBR Instructions.)	Y				

		Program or Service (Budget Entity Codes)				
Action		79700100				
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?	N/A				
7.4	Are all issues with an IT component identified with a "Y" in the "IT COMPONENT?" field? If the issue contains an IT component, has that component been identified and documented?	N/A				
7.5	Does the issue narrative explain any variances from the Standard Expense and Human Resource Services Assessments package? Is the nonrecurring portion in the nonrecurring column? (See pages E-4 and E-5 of the LBR Instructions.)	N/A				
7.6	Does the salary rate request amount accurately reflect any new requests and are the amounts proportionate to the Salaries and Benefits request? Note: Salary rate should always be annualized.	Y				
7.7	Does the issue narrative thoroughly explain/justify all Salaries and Benefits amounts entered into the Other Salary Amounts transactions (OADA/C)? Amounts entered into OAD are reflected in the Position Detail of Salaries and Benefits section of the Exhibit D-3A.	N/A				
7.8	Does the issue narrative include the Consensus Estimating Conference forecast, where appropriate?	N/A				
7.9	Does the issue narrative reference the specific county(ies) where applicable?	N/A				
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?	N/A				
7.11	When appropriate are there any 160XXX0 issues included to delete positions placed in reserve in the OPB Position and Rate Ledger (e.g. unfunded grants)? Note: Lump sum appropriations not yet allocated should <u>not</u> be deleted. ( <b>PLRR, PLMO</b> )	N/A				
7.12	Does the issue narrative include plans to satisfy additional space requirements when requesting additional positions?	N/A				
7.13	Has the agency included a 160XXX0 issue and 210XXXX and 260XXX0 issues as required for lump sum distributions?	N/A				
7.14	Do the amounts reflect appropriate FSI assignments?	Y				
7.15	Do the issues relating to <i>salary and benefits</i> have an "A" in the fifth position of the issue code (XXXXAXX) and are they self-contained (not combined with other issues)? (See page 26 and 86 of the LBR Instructions.)	N/A				
7.16	Do the issues relating to <i>Information Technology (IT)</i> have a "C" in the sixth position of the issue code (36XXXXC) and are the correct issue codes used (361XXC0, 362XXC0, 363XXC0, 17C01C0, 17C02C0, 17C03C0, 24010C0, 33001C0 or 55C01C0)?	N/A				
7.17	Are the issues relating to <i>major audit findings and recommendations</i> properly coded (4A0XXX0, 4B0XXX0)?	N/A				
<b>AUDIT:</b>						
7.18	Are all FSI's equal to '1', '2', '3', or '9'? There should be no FSI's equal to '0'. ( <b>EADR, FSIA - Report should print "No Records Selected For Reporting"</b> )	Y				
7.19	Does the General Revenue for 160XXXX issues net to zero? ( <b>GENR, LBR1</b> )	N/A				
7.20	Does the General Revenue for 180XXXX issues net to zero? ( <b>GENR, LBR2</b> )	N/A				

		Program or Service (Budget Entity Codes)				
Action		79700100				
7.21	Does the General Revenue for 200XXXX issues net to zero? ( <b>GENR, LBR3</b> )	N/A				
7.22	Have FCO appropriations been entered into the nonrecurring column A04? ( <b>GENR, LBR4 - Report should print "No Records Selected For Reporting" or a listing of D-3A issue(s) assigned to Debt Service (IOE N) or in some cases State Capital Outlay - Public Education Capital Outlay (IOE L) )</b> )	N/A				
TIP	Salaries and Benefits amounts entered using the OADA/C transactions must be thoroughly justified in the D-3A issue narrative. Agencies can run <b>OADA/OADR</b> from STAM to identify the amounts entered into OAD and ensure these entries have been thoroughly explained in the D-3A issue narrative.					
TIP	The issue narrative must completely and thoroughly explain and justify each D-3A issue. Agencies must ensure it provides the information necessary for the OPB and legislative analysts to have a complete understanding of the issue submitted. Thoroughly review pages 64 through 70 of the LBR Instructions.					
TIP	Check BAPS to verify status of budget amendments. Check for reapprovals not picked up in the General Appropriations Act. Verify that Lump Sum appropriations in Column A02 do not appear in Column A03. Review budget amendments to verify that 160XXX0 issue amounts correspond accurately and net to zero for General Revenue funds.					
TIP	If an agency is receiving federal funds from another agency the FSI should = 9 (Transfer - Recipient of Federal Funds). The agency that originally receives the funds directly from the federal agency should use FSI = 3 (Federal Funds).					
TIP	If an appropriation made in the FY 2009-10 General Appropriations Act duplicates an appropriation made in substantive legislation, the agency must create a unique deduct nonrecurring issue to eliminate the duplicated appropriation. Normally this is taken care of through line item veto.					
<b>8. SCHEDULE I &amp; RELATED DOCUMENTS (SC1R, SC1 - Budget Entity Level or SC1R, SC1D - Department Level)</b>						
8.1	Has a separate department level Schedule I and supporting documents package been submitted by the agency?	Y				
8.2	Has a Schedule I been completed in LAS/PBS for each operating trust fund?	Y				
8.3	Have the appropriate Schedule I supporting documents been included for the trust funds (Schedule IA, Schedule IB, Schedule IC, and Reconciliation to Trial Balance)?	Y				
8.4	Have the Examination of Regulatory Fees Part I and Part II forms been included for the applicable regulatory programs?	N/A				
8.5	Have the required detailed narratives been provided (5% trust fund reserve narrative; method for computing the distribution of cost for general management and administrative services narrative; adjustments narrative; revenue estimating methodology narrative)?	Y				
8.6	Has the Inter-Agency Transfers Reported on Schedule I form been included as applicable for transfers totaling \$100,000 or more for the fiscal year?	Y				
8.7	If the agency is scheduled for the annual trust fund review this year, have the Schedule ID and applicable draft legislation been included for recreation, modification or termination of existing trust funds?	N/A				
8.8	If the agency is scheduled for the annual trust fund review this year, have the necessary trust funds been requested for creation pursuant to <i>section 215.32(2)(b), Florida Statutes</i> - including the Schedule ID and applicable legislation?	N/A				

		Program or Service (Budget Entity Codes)				
Action		79700100				
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?	N/A				
8.13	If there is no Consensus Estimating Conference forecast available, do the revenue estimates appear to be reasonable?	Y				
8.14	Are the federal funds revenues reported in Section I broken out by individual grant? Are the correct CFDA codes used?	N/A				
8.15	Are anticipated grants included and based on the state fiscal year (rather than federal fiscal year)?	N/A				
8.16	Are the Schedule I revenues consistent with the FSI's reported in the Exhibit D-3A?	Y				
8.17	If applicable, are nonrecurring revenues entered into Column A04?	N/A				
8.18	Has the agency certified the revenue estimates in columns A02 and A03 to be the latest and most accurate available? 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?	N/A				
8.20	Are appropriate service charge nonoperating amounts included in Section II?	N/A				
8.21	Are nonoperating expenditures to other budget entities/departments cross-referenced accurately?	N/A				
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.)	N/A				
8.23	Are nonoperating expenditures recorded in Section II and adjustments recorded in Section III?	N/A				
8.24	Are prior year September operating reversions appropriately shown in column A01?	N/A				
8.25	Are current year September operating reversions appropriately shown in column A02?	N/A				
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?	N/A				
8.28	Does Line I of Column A01 (Schedule I) equal Line K of the Schedule IC?	N/A				
<b>AUDITS:</b>						
8.29	Is Line I a positive number? (If not, the agency must adjust the budget request to eliminate the deficit).	N/A				

		Program or Service (Budget Entity Codes)				
Action		79700100				
8.30	Is the June 30 Adjusted Unreserved Fund Balance (Line I) equal to the July 1 Unreserved Fund Balance (Line A) of the following year? <b>(SC1R, SC1A - Report should print "No Discrepancies Exist For This Report")</b>	N/A				
8.31	Has a Department Level Reconciliation been provided for each trust fund and does Line A of the Schedule I equal the CFO amount? If not, the agency must correct Line A. <b>(SC1R, DEPT)</b>	N/A				
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.					
<b>9. SCHEDULE II (PSCR, SC2)</b>						
AUDIT:						
9.1	Is the pay grade minimum for salary rate utilized for positions in segments 2 and 3? <b>(BRAR, BRAA - Report should print "No Records Selected For This Request")</b> Note: Amounts other than the pay grade minimum should be fully justified in the D-3A issue narrative. (See <i>Base Rate Audit</i> on page 157 of the LBR Instructions.)	N/A				
<b>10. SCHEDULE III (PSCR, SC3)</b>						
10.1	Is the appropriate lapse amount applied in Segment 3? (See page 87 of the LBR Instructions.)	N/A				
10.2	Are amounts in <i>Other Salary Amount</i> appropriate and fully justified? (See page 94 of the LBR Instructions for appropriate use of the OAD transaction.) Use <b>OADI</b> or <b>OADR</b> to identify agency other salary amounts requested.	N/A				
<b>11. SCHEDULE IV (EADR, SC4)</b>						
11.1	Are the correct Information Technology (IT) issue codes used?	N/A				
TIP	If IT issues are not coded correctly (with "C" in 6th position), they will not appear in the Schedule IV.					
<b>12. SCHEDULE VIIIA (EADR, SC8A)</b>						
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?	N/A				
<b>13. SCHEDULE VIIIB-1 (EADR, S8B1)</b>						
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?	N/A				
<b>14. SCHEDULE VIIIB-2 (EADR, S8B2)</b>						
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?	N/A				
<b>15. SCHEDULE XI (LAS/PBS Web - see page 108 of the LBR Instructions for detailed instructions)</b>						
15.1	Has the Schedule XI one page summary Excel file been e-mailed to OPB at OPB.UnitCostSummary@laspbs.state.fl.us? Agencies are required to generate this spreadsheet via the LAS/PBS Web. (Note: Pursuant to <i>section 216.023(4)(b), Florida Statutes</i> , the Legislature can reduce the funding level for any agency that does not provide this information.)	N/A				
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?	N/A				

		Program or Service (Budget Entity Codes)			
Action		79700100			
<b>AUDITS INCLUDED IN THE SCHEDULE XI REPORT:</b>					
15.3	Does the FY 2009-10 Actual (prior year) Expenditures in Column A36 reconcile to Column A01? ( <b>GENR, ACT1</b> )	N/A			
15.4	None of the executive direction, administrative support and information technology statewide activities (ACT0010 thru ACT0490) have output standards (Record Type 5)? ( <b>Audit #1 should print "No Activities Found"</b> )	N/A			
15.5	Does the Fixed Capital Outlay (FCO) statewide activity (ACT0210) only contain 08XXXX or 14XXXX appropriation categories? ( <b>Audit #2 should print "No Operating Categories Found"</b> )	N/A			
15.6	Has the agency provided the necessary demand (Record Type 5) for all activities which <u>should</u> appear in Section II? (Note: Audit #3 will identify those activities that do NOT have a Record Type '5' and have not been identified as a 'Pass Through' activity. These activities will be displayed in Section III with the 'Payment of Pensions, Benefits and Claims' activity and 'Other' activities. Verify if these activities should be displayed in Section III. If not, an output standard would need to be added for that activity and the Schedule XI submitted again.)	N/A			
15.7	Does Section I (Final Budget for Agency) and Section III (Total Budget for Agency) equal? ( <b>Audit #4 should print "No Discrepancies Found"</b> )	N/A			
<b>TIP</b> If Section I and Section III have a small difference, it may be due to rounding and therefore will be acceptable.					
<b>16. MANUALLY PREPARED EXHIBITS &amp; SCHEDULES</b>					
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			
<b>AUDITS - GENERAL INFORMATION</b>					
<b>TIP</b> Review <i>Section 6: Audits</i> of the LBR Instructions for a list of audits and their descriptions.					
<b>TIP</b> Reorganizations may cause audit errors. Agencies must indicate that these errors are due to an agency reorganization to justify the audit error.					
<b>17. CAPITAL IMPROVEMENTS PROGRAM (CIP)</b>					
17.1	Are the CIP-2, CIP-3, CIP-A and CIP-B forms included?	N/A			
17.2	Are the CIP-4 and CIP-5 forms submitted when applicable (see CIP Instructions)?	N/A			
17.3	Do all CIP forms comply with CIP Instructions where applicable (see CIP Instructions)?	N/A			
17.4	Does the agency request include 5 year projections (Columns A03, A06, A07, A08 and A09)?	N/A			
17.5	Are the appropriate counties identified in the narrative?	N/A			
17.6	Has the CIP-2 form (Exhibit B) been modified to include the agency priority for each project and the modified form saved as a PDF document?	N/A			
<b>TIP</b> 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.					

	Program or Service (Budget Entity Codes)			
Action	79700100			

**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				
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## Fiscal Year 2011-12 LBR Technical Review Checklist (Rev. 10-13-2010)

Department/Budget Entity (Service): Business and Professional Regulation - Division of Service Operations				
Agency Budget Officer/OPB Analyst Name: Lynn Smith/Eric Steinkuehler				
A "Y" indicates "YES" and is acceptable, an "N/J" indicates "NO/Justification Provided" - these require further explanation/justification (additional sheets can be used as necessary), and "TIPS" are other areas to consider.				
Action	Program or Service (Budget Entity Codes)			
	79040100	79040200		
<b>1. GENERAL</b>				
1.1	Are Columns A01, A02, A04, A05, A36, A90, A91, A92, A93, A94, A95, 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? <b>(CSDI)</b>	Y	Y	
1.2	Is Column A03 set to TRANSFER CONTROL for DISPLAY and UPDATE status for both the Budget and Trust Fund columns? <b>(CSDI)</b>	Y	Y	
<b>AUDITS:</b>				
1.3	Has Column A03 been copied to Column A12? Run the Exhibit B Audit Comparison Report to verify. <b>(EXBR, EXBA)</b>	Y	Y	
1.4	Has security been set correctly? <b>(CSDR, CSA)</b>	Y	Y	
<b>TIP</b>	The agency should prepare the budget request for submission in this order: 1) Lock columns as described above; 2) copy Column A03 to Column A12; and 3) set Column A12 column security to ALL for DISPLAY status and MANAGEMENT CONTROL for UPDATE status.			
<b>2. EXHIBIT A (EADR, EXA)</b>				
2.1	Is the budget entity authority and description consistent with the agency's LRPP and does it conform to the directives provided on page 56 of the LBR Instructions?	Y	Y	
2.2	Are the statewide issues generated systematically (estimated expenditures, nonrecurring expenditures, etc.) included?	Y	Y	
2.3	Are the issue codes and titles consistent with <i>Section 3</i> of the LBR Instructions (pages 15 through 27)? Do they clearly describe the issue?	Y	Y	
2.4	Have the coding guidelines in <i>Section 3</i> of the LBR Instructions (pages 15 through 27) been followed?	Y	Y	
<b>3. EXHIBIT B (EXBR, EXB)</b>				
3.1	Is it apparent that there is a fund shift and were the issues entered into LAS/PBS correctly? Check D-3A funding shift issue 340XXX0 - a unique deduct and unique add back issue should be used to ensure fund shifts display correctly on the LBR exhibits.	N/A	N/A	
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	
<b>AUDITS:</b>				
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? <b>(NACR, NAC - Report should print "No Negative Appropriation Categories Found")</b>	Y	Y	
3.4	Current Year Estimated Verification Comparison Report: Is Column A02 equal to Column B07? <b>(EXBR, EXBC - Report should print "Records Selected Net To Zero")</b>	Y	Y	
<b>TIP</b>	Generally look for and be able to fully explain significant differences between A02 and A03.			
<b>TIP</b>	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			

		Program or Service (Budget Entity Codes)			
Action		79040100	79040200		
TIP Requests for appropriations which require advance payment authority must use the sub-title "Grants and Aids". For advance payment authority to local units of government, the Aid to Local Government appropriation category (05XXXX) should be used. For advance payment authority to non-profit organizations or other units of state government, the Special Categories appropriation category (10XXXX) should be used.					
<b>4. EXHIBIT D (EADR, EXD)</b>					
4.1	Is the program component objective statement consistent with the agency LRPP, and does it conform to the directives provided on page 59 of the LBR Instructions?	Y	Y		
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.					
<b>5. EXHIBIT D-1 (ED1R, EXD1)</b>					
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? ( <b>ED1R, XD1A - Report should print "No Differences Found For This Report"</b> )	Y	Y		
5.3	FLAIR Expenditure/Appropriation Ledger Comparison Report: Is Column A01 less than Column B04? ( <b>EXBR, EXBB - Negative differences need to be corrected in Column A01.</b> )	Y	Y		
5.4	A01/State Accounts Disbursements and Carry Forward Comparison Report: Does Column A01 equal Column B08? ( <b>EXBR, EXBD - Differences need to be corrected in Column A01.</b> )	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.					
<b>6. EXHIBIT D-3 (ED3R, ED3) (Not required in the LBR - for analytical purposes only.)</b>					
6.1	Are issues appropriately aligned with appropriation categories?	Y	Y		
TIP Exhibit D-3 is no longer required in the budget submission but may be needed for this particular appropriation category/issue sort. Exhibit D-3 is also a useful report when identifying negative appropriation category problems.					
<b>7. EXHIBIT D-3A (EADR, ED3A)</b>					
7.1	Are the issue titles correct and do they clearly identify the issue? (See pages 15 through 31 of the LBR Instructions.)	N/A	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.)	N/A	Y		

Action		Program or Service (Budget Entity Codes)			
		79040100	79040200		
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?	N/A	N/A		
7.4	Are all issues with an IT component identified with a "Y" in the "IT COMPONENT?" field? If the issue contains an IT component, has that component been identified and documented?	N/A	N/A		
7.5	Does the issue narrative explain any variances from the Standard Expense and Human Resource Services Assessments package? Is the nonrecurring portion in the nonrecurring column? (See pages E-4 and E-5 of the LBR Instructions.)	N/A	N/A		
7.6	Does the salary rate request amount accurately reflect any new requests and are the amounts proportionate to the Salaries and Benefits request? Note: Salary rate should always be annualized.	Y	Y		
7.7	Does the issue narrative thoroughly explain/justify all Salaries and Benefits amounts entered into the Other Salary Amounts transactions (OAD/C)? Amounts entered into OAD are reflected in the Position Detail of Salaries and Benefits section of the Exhibit D-3A.	N/A	N/A		
7.8	Does the issue narrative include the Consensus Estimating Conference forecast, where appropriate?	N/A	N/A		
7.9	Does the issue narrative reference the specific county(ies) where applicable?	N/A	N/A		
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?	N/A	N/A		
7.11	When appropriate are there any 160XXX0 issues included to delete positions placed in reserve in the OPB Position and Rate Ledger (e.g. unfunded grants)? Note: Lump sum appropriations not yet allocated should <u>not</u> be deleted. ( <b>PLRR, PLMO</b> )	N/A	N/A		
7.12	Does the issue narrative include plans to satisfy additional space requirements when requesting additional positions?	N/A	Y		
7.13	Has the agency included a 160XXX0 issue and 210XXXX and 260XXX0 issues as required for lump sum distributions?	N/A	N/A		
7.14	Do the amounts reflect appropriate FSI assignments?	Y	Y		
7.15	Do the issues relating to <i>salary and benefits</i> have an "A" in the fifth position of the issue code (XXXXAXX) and are they self-contained (not combined with other issues)? (See page 26 and 86 of the LBR Instructions.)	Y	Y		
7.16	Do the issues relating to <i>Information Technology (IT)</i> have a "C" in the sixth position of the issue code (36XXXXCX) and are the correct issue codes used (361XXC0, 362XXC0, 363XXC0, 17C01C0, 17C02C0, 17C03C0, 24010C0, 33001C0 or 55C01C0)?	N/A	N/A		
7.17	Are the issues relating to <i>major audit findings and recommendations</i> properly coded (4A0XXX0, 4B0XXX0)?	N/A	N/A		
<b>AUDIT:</b>					
7.18	Are all FSI's equal to '1', '2', '3', or '9'? There should be no FSI's equal to '0'. ( <b>EADR, FSIA - Report should print "No Records Selected For Reporting"</b> )	Y	Y		
7.19	Does the General Revenue for 160XXXX issues net to zero? ( <b>GENR, LBR1</b> )	N/A	N/A		
7.20	Does the General Revenue for 180XXXX issues net to zero? ( <b>GENR, LBR2</b> )	N/A	N/A		

Action		Program or Service (Budget Entity Codes)				
		79040100	79040200			
7.21	Does the General Revenue for 200XXXX issues net to zero? ( <b>GENR, LBR3</b> )	N/A	N/A			
7.22	Have FCO appropriations been entered into the nonrecurring column A04? ( <b>GENR, LBR4 - Report should print "No Records Selected For Reporting" or a listing of D-3A issue(s) assigned to Debt Service (IOE N) or in some cases State Capital Outlay - Public Education Capital Outlay (IOE L) )</b> )	N/A	N/A			
TIP	Salaries and Benefits amounts entered using the OADA/C transactions must be thoroughly justified in the D-3A issue narrative. Agencies can run <b>OADA/OADR</b> from STAM to identify the amounts entered into OAD and ensure these entries have been thoroughly explained in the D-3A issue narrative.					
TIP	The issue narrative must completely and thoroughly explain and justify each D-3A issue. Agencies must ensure it provides the information necessary for the OPB and legislative analysts to have a complete understanding of the issue submitted. Thoroughly review pages 64 through 70 of the LBR Instructions.					
TIP	Check BAPS to verify status of budget amendments. Check for reapprovals not picked up in the General Appropriations Act. Verify that Lump Sum appropriations in Column A02 do not appear in Column A03. Review budget amendments to verify that 160XXX0 issue amounts correspond accurately and net to zero for General Revenue funds.					
TIP	If an agency is receiving federal funds from another agency the FSI should = 9 (Transfer - Recipient of Federal Funds). The agency that originally receives the funds directly from the federal agency should use FSI = 3 (Federal Funds).					
TIP	If an appropriation made in the FY 2009-10 General Appropriations Act duplicates an appropriation made in substantive legislation, the agency must create a unique deduct nonrecurring issue to eliminate the duplicated appropriation. Normally this is taken care of through line item veto.					
<b>8. SCHEDULE I &amp; RELATED DOCUMENTS (SC1R, SC1 - Budget Entity Level or SC1R, SC1D - Department Level)</b>						
8.1	Has a separate department level Schedule I and supporting documents package been submitted by the agency?	Y	Y			
8.2	Has a Schedule I been completed in LAS/PBS for each operating trust fund?	Y	Y			
8.3	Have the appropriate Schedule I supporting documents been included for the trust funds (Schedule IA, Schedule IB, Schedule IC, and Reconciliation to Trial Balance)?	Y	Y			
8.4	Have the Examination of Regulatory Fees Part I and Part II forms been included for the applicable regulatory programs?	Y	Y			
8.5	Have the required detailed narratives been provided (5% trust fund reserve narrative; method for computing the distribution of cost for general management and administrative services narrative; adjustments narrative; revenue estimating methodology narrative)?	Y	Y			
8.6	Has the Inter-Agency Transfers Reported on Schedule I form been included as applicable for transfers totaling \$100,000 or more for the fiscal year?	Y	Y			
8.7	If the agency is scheduled for the annual trust fund review this year, have the Schedule ID and applicable draft legislation been included for recreation, modification or termination of existing trust funds?	N/A	N/A			
8.8	If the agency is scheduled for the annual trust fund review this year, have the necessary trust funds been requested for creation pursuant to <i>section 215.32(2)(b), Florida Statutes</i> - including the Schedule ID and applicable legislation?	N/A	N/A			

Action		Program or Service (Budget Entity Codes)			
		79040100	79040200		
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?	N/A	N/A		
8.13	If there is no Consensus Estimating Conference forecast available, do the revenue estimates appear to be reasonable?	Y	Y		
8.14	Are the federal funds revenues reported in Section I broken out by individual grant? Are the correct CFDA codes used?	N/A	N/A		
8.15	Are anticipated grants included and based on the state fiscal year (rather than federal fiscal year)?	N/A	N/A		
8.16	Are the Schedule I revenues consistent with the FSI's reported in the Exhibit D-3A?	Y	Y		
8.17	If applicable, are nonrecurring revenues entered into Column A04?	Y	Y		
8.18	Has the agency certified the revenue estimates in columns A02 and A03 to be the latest and most accurate available? 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?	N/A	N/A		
8.20	Are appropriate service charge nonoperating amounts included in Section II?	Y	Y		
8.21	Are nonoperating expenditures to other budget entities/departments cross-referenced accurately?	Y	Y		
8.22	Do transfers balance between funds (within the agency as well as between agencies)? (See also 8.6 for required transfer confirmation of amounts totaling \$100,000 or more.)	Y	Y		
8.23	Are nonoperating expenditures recorded in Section II and adjustments recorded in Section III?	Y	Y		
8.24	Are prior year September operating reversions appropriately shown in column A01?	Y	Y		
8.25	Are current year September operating reversions appropriately shown in column A02?	Y	Y		
8.26	Does the Schedule IC properly reflect the unreserved fund balance for each trust fund as defined by the LBR Instructions, and is it reconciled to the agency accounting records?	Y	Y		
8.27	Does Column A01 of the Schedule I accurately represent the actual prior year accounting data as reflected in the agency accounting records, and is it provided in sufficient detail for analysis?	Y	Y		
8.28	Does Line I of Column A01 (Schedule I) equal Line K of the Schedule IC?	Y	Y		
<b>AUDITS:</b>					
8.29	Is Line I a positive number? (If not, the agency must adjust the budget request to eliminate the deficit).	Y	Y		

Action		Program or Service (Budget Entity Codes)				
		79040100	79040200			
8.30	Is the June 30 Adjusted Unreserved Fund Balance (Line I) equal to the July 1 Unreserved Fund Balance (Line A) of the following year? ( <b>SC1R, SC1A - Report should print "No Discrepancies Exist For This Report"</b> )	Y	Y			
8.31	Has a Department Level Reconciliation been provided for each trust fund and does Line A of the Schedule I equal the CFO amount? If not, the agency must correct Line A. ( <b>SC1R, DEPT</b> )	Y	Y			
TIP	The Schedule I is the most reliable source of data concerning the trust funds. It is very important that this schedule is as accurate as possible					
TIP	Determine if the agency is scheduled for trust fund review. (See page 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.					
<b>9. SCHEDULE II (PSCR, SC2)</b>						
AUDIT:						
9.1	Is the pay grade minimum for salary rate utilized for positions in segments 2 and 3? ( <b>BRAR, BRAA - Report should print "No Records Selected For This Request"</b> ) Note: Amounts other than the pay grade minimum should be fully justified in the D-3A issue narrative. (See <i>Base Rate Audit</i> on page 157 of the LBR Instructions.)	Y	N/J			
<b>10. SCHEDULE III (PSCR, SC3)</b>						
10.1	Is the appropriate lapse amount applied in Segment 3? (See page 87 of the LBR Instructions.)	N/A	Y			
10.2	Are amounts in <i>Other Salary Amount</i> appropriate and fully justified? (See page 94 of the LBR Instructions for appropriate use of the OAD transaction.) Use <b>OADI</b> or <b>OADR</b> to identify agency other salary amounts requested.	N/A	N/A			
<b>11. SCHEDULE IV (EADR, SC4)</b>						
11.1	Are the correct Information Technology (IT) issue codes used?	N/A	N/A			
TIP	If IT issues are not coded correctly (with "C" in 6th position), they will not appear in the Schedule IV.					
<b>12. SCHEDULE VIII A (EADR, SC8A)</b>						
12.1	Is there only one #1 priority, one #2 priority, one #3 priority, etc. reported on the Schedule VIII-A? Are the priority narrative explanations adequate?	Y	Y			
<b>13. SCHEDULE VIII B-1 (EADR, S8B1)</b>						
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			
<b>14. SCHEDULE VIII B-2 (EADR, S8B2)</b>						
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			
<b>15. SCHEDULE XI (LAS/PBS Web - see page 108 of the LBR Instructions for detailed instructions)</b>						
15.1	Has the Schedule XI one page summary Excel file been e-mailed to OPB at OPB.UnitCostSummary@laspbs.state.fl.us? Agencies are required to generate this spreadsheet via the LAS/PBS Web. (Note: Pursuant to <i>section 216.023(4) (b), Florida Statutes</i> , the Legislature can reduce the funding level for any agency that does not provide this information.)	Y	Y			
15.2	Do the PDF files uploaded to the Florida Fiscal Portal for the LRPP and LBR match the Excel file e-mailed to OPB?	Y	Y			

		Program or Service (Budget Entity Codes)				
Action		79040100	79040200			
<b>AUDITS INCLUDED IN THE SCHEDULE XI REPORT:</b>						
15.3	Does the FY 2009-10 Actual (prior year) Expenditures in Column A36 reconcile to Column A01? ( <b>GENR, ACT1</b> )	Y	Y			
15.4	None of the executive direction, administrative support and information technology statewide activities (ACT0010 thru ACT0490) have output standards (Record Type 5)? ( <b>Audit #1 should print "No Activities Found"</b> )	Y	Y			
15.5	Does the Fixed Capital Outlay (FCO) statewide activity (ACT0210) only contain 08XXXX or 14XXXX appropriation categories? ( <b>Audit #2 should print "No Operating Categories Found"</b> )	N/A	N/A			
15.6	Has the agency provided the necessary demand (Record Type 5) for all activities which <u>should</u> appear in Section II? (Note: Audit #3 will identify those activities that do NOT have a Record Type '5' and have not been identified as a 'Pass Through' activity. These activities will be displayed in Section III with the 'Payment of Pensions, Benefits and Claims' activity and 'Other' activities. Verify if these activities should be displayed in Section III. If not, an output standard would need to be added for that activity and the Schedule XI submitted again.)	Y	Y			
15.7	Does Section I (Final Budget for Agency) and Section III (Total Budget for Agency) equal? ( <b>Audit #4 should print "No Discrepancies Found"</b> )	Y	Y			
TIP If Section I and Section III have a small difference, it may be due to rounding and therefore will be acceptable.						
<b>16. MANUALLY PREPARED EXHIBITS &amp; SCHEDULES</b>						
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			
<b>AUDITS - GENERAL INFORMATION</b>						
TIP Review <i>Section 6: Audits</i> of the LBR Instructions for a list of audits and their descriptions.						
TIP Reorganizations may cause audit errors. Agencies must indicate that these errors are due to an agency reorganization to justify the audit error.						
<b>17. CAPITAL IMPROVEMENTS PROGRAM (CIP)</b>						
17.1	Are the CIP-2, CIP-3, CIP-A and CIP-B forms included?	Y	Y			
17.2	Are the CIP-4 and CIP-5 forms submitted when applicable (see CIP Instructions)?	N/A	N/A			
17.3	Do all CIP forms comply with CIP Instructions where applicable (see CIP Instructions)?	Y	Y			
17.4	Does the agency request include 5 year projections (Columns A03, A06, A07, A08 and A09)?	N/A	N/A			
17.5	Are the appropriate counties identified in the narrative?	N/A	N/A			
17.6	Has the CIP-2 form (Exhibit B) been modified to include the agency priority for each project and the modified form saved as a PDF document?	N/A	N/A			
TIP Requests for Fixed Capital Outlay appropriations which are Grants and Aids to Local Governments and Non-Profit Organizations must use the Grants and Aids to Local Governments and Non-Profit Organizations - Fixed Capital Outlay major appropriation category (140XXX) and include the sub-title "Grants and Aids". These appropriations utilize a CIP-B form as justification.						

	Program or Service (Budget Entity Codes)			
Action	79040100	79040200		

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



## Fiscal Year 2011-12 LBR Technical Review Checklist (Rev. 10-13-2010)

Department/Budget Entity (Service): Business and Professional Regulation - Alcoholic Beverages and Tobacco				
Agency Budget Officer/OPB Analyst Name: Lynn Smith/Eric Steinkuehler				
A "Y" indicates "YES" and is acceptable, an "N/J" indicates "NO/Justification Provided" - these require further explanation/justification (additional sheets can be used as necessary), and "TIPS" are other areas to consider.				
Action	79400100	79400200	79400300	Program or Service (Budget Entity Codes)
<b>1. GENERAL</b>				
1.1 Are Columns A01, A02, A04, A05, A36, A90, A91, A92, A93, A94, A95, 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? <b>(CSDI)</b>	Y	Y	Y	
1.2 Is Column A03 set to TRANSFER CONTROL for DISPLAY and UPDATE status for both the Budget and Trust Fund columns? <b>(CSDI)</b>	Y	Y	Y	
<b>AUDITS:</b>				
1.3 Has Column A03 been copied to Column A12? Run the Exhibit B Audit Comparison Report to verify. <b>(EXBR, EXBA)</b>	Y	Y	Y	
1.4 Has security been set correctly? <b>(CSDR, CSA)</b>	Y	Y	Y	
<b>TIP</b> The agency should prepare the budget request for submission in this order: 1) Lock columns as described above; 2) copy Column A03 to Column A12; and 3) set Column A12 column security to ALL for DISPLAY status and MANAGEMENT CONTROL for UPDATE status.				
<b>2. EXHIBIT A (EADR, EXA)</b>				
2.1 Is the budget entity authority and description consistent with the agency's LRPP and does it conform to the directives provided on page 56 of the LBR Instructions?	Y	Y	Y	
2.2 Are the statewide issues generated systematically (estimated expenditures, nonrecurring expenditures, etc.) included?	Y	Y	Y	
2.3 Are the issue codes and titles consistent with <i>Section 3</i> of the LBR Instructions (pages 15 through 27)? Do they clearly describe the issue?	Y	Y	Y	
2.4 Have the coding guidelines in <i>Section 3</i> of the LBR Instructions (pages 15 through 27) been followed?	Y	Y	Y	
<b>3. EXHIBIT B (EXBR, EXB)</b>				
3.1 Is it apparent that there is a fund shift and were the issues entered into LAS/PBS correctly? Check D-3A funding shift issue 340XXX0 - a unique deduct and unique add back issue should be used to ensure fund shifts display correctly on the LBR exhibits.	N/A	N/A	N/A	
3.2 Are the 33XXXXX0 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 33XXXXX0 - a unique issue should be used for issues that net to zero or a positive amount.	Y	Y	Y	
<b>AUDITS:</b>				
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? <b>(NACR, NAC - Report should print "No Negative Appropriation Categories Found")</b>	Y	Y	Y	
3.4 Current Year Estimated Verification Comparison Report: Is Column A02 equal to Column B07? <b>(EXBR, EXBC - Report should print "Records Selected Net To Zero")</b>	Y	Y	Y	
<b>TIP</b> Generally look for and be able to fully explain significant differences between A02 and A03.				
<b>TIP</b> 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				

Action		Program or Service (Budget Entity Codes)				
		79400100	79400200	79400300		
TIP Requests for appropriations which require advance payment authority must use the sub-title "Grants and Aids". For advance payment authority to local units of government, the Aid to Local Government appropriation category (05XXXX) should be used. For advance payment authority to non-profit organizations or other units of state government, the Special Categories appropriation category (10XXXX) should be used.						
<b>4. EXHIBIT D (EADR, EXD)</b>						
4.1	Is the program component objective statement consistent with the agency LRPP, and does it conform to the directives provided on page 59 of the LBR Instructions?	Y	Y	Y		
4.2	Is the program component code and title used correct?	Y	Y	Y		
TIP Fund shifts or transfers of services or activities between program components will be displayed on an Exhibit D whereas it may not be visible on an Exhibit A.						
<b>5. EXHIBIT D-1 (ED1R, EXD1)</b>						
5.1	Are all object of expenditures positive amounts? (This is a manual check.)	Y	Y	Y		
<b>AUDITS:</b>						
5.2	Do the fund totals agree with the object category totals within each appropriation category? ( <b>ED1R, XD1A - Report should print "No Differences Found For This Report"</b> )	Y	Y	Y		
5.3	FLAIR Expenditure/Appropriation Ledger Comparison Report: Is Column A01 less than Column B04? ( <b>EXBR, EXBB - Negative differences need to be corrected in Column A01.</b> )	Y	Y	Y		
5.4	A01/State Accounts Disbursements and Carry Forward Comparison Report: Does Column A01 equal Column B08? ( <b>EXBR, EXBD - Differences need to be corrected in Column A01.</b> )	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.						
<b>6. EXHIBIT D-3 (ED3R, ED3) (Not required in the LBR - for analytical purposes only.)</b>						
6.1	Are issues appropriately aligned with appropriation categories?	Y	Y	Y		
TIP Exhibit D-3 is no longer required in the budget submission but may be needed for this particular appropriation category/issue sort. Exhibit D-3 is also a useful report when identifying negative appropriation category problems.						
<b>7. EXHIBIT D-3A (EADR, ED3A)</b>						
7.1	Are the issue titles correct and do they clearly identify the issue? (See pages 15 through 31 of the LBR Instructions.)	Y	Y	Y		
7.2	Does the issue narrative adequately explain the agency's request and is the explanation consistent with the LRPP? (See page 65 of the LBR Instructions.)	Y	Y	Y		

Action		Program or Service (Budget Entity Codes)				
		79400100	79400200	79400300		
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?	N/A	N/A	N/A		
7.4	Are all issues with an IT component identified with a "Y" in the "IT COMPONENT?" field? If the issue contains an IT component, has that component been identified and documented?	N/A	N/A	N/A		
7.5	Does the issue narrative explain any variances from the Standard Expense and Human Resource Services Assessments package? Is the nonrecurring portion in the nonrecurring column? (See pages E-4 and E-5 of the LBR Instructions.)	N/A	N/A	N/A		
7.6	Does the salary rate request amount accurately reflect any new requests and are the amounts proportionate to the Salaries and Benefits request? Note: Salary rate should always be annualized.	N/A	N/A	N/A		
7.7	Does the issue narrative thoroughly explain/justify all Salaries and Benefits amounts entered into the Other Salary Amounts transactions (OADA/C)? Amounts entered into OAD are reflected in the Position Detail of Salaries and Benefits section of the Exhibit D-3A.	N/A	N/A	N/A		
7.8	Does the issue narrative include the Consensus Estimating Conference forecast, where appropriate?	N/A	N/A	N/A		
7.9	Does the issue narrative reference the specific county(ies) where applicable?	Y	Y	Y		
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?	N/A	N/A	N/A		
7.11	When appropriate are there any 160XXX0 issues included to delete positions placed in reserve in the OPB Position and Rate Ledger (e.g. unfunded grants)? Note: Lump sum appropriations not yet allocated should <u>not</u> be deleted. ( <b>PLRR, PLMO</b> )	N/A	N/A	N/A		
7.12	Does the issue narrative include plans to satisfy additional space requirements when requesting additional positions?	N/A	N/A	N/A		
7.13	Has the agency included a 160XXX0 issue and 210XXXX and 260XXX0 issues as required for lump sum distributions?	N/A	N/A	N/A		
7.14	Do the amounts reflect appropriate FSI assignments?	Y	Y	Y		
7.15	Do the issues relating to <i>salary and benefits</i> have an "A" in the fifth position of the issue code (XXXXAXX) and are they self-contained (not combined with other issues)? (See page 26 and 86 of the LBR Instructions.)	N/A	N/A	N/A		
7.16	Do the issues relating to <i>Information Technology (IT)</i> have a "C" in the sixth position of the issue code (36XXXCX) and are the correct issue codes used (361XXC0, 362XXC0, 363XXC0, 17C01C0, 17C02C0, 17C03C0, 24010C0, 33001C0 or 55C01C0)?	N/A	N/A	N/A		
7.17	Are the issues relating to <i>major audit findings and recommendations</i> properly coded (4A0XXX0, 4B0XXX0)?	N/A	N/A	N/A		
<b>AUDIT:</b>						
7.18	Are all FSI's equal to '1', '2', '3', or '9'? There should be no FSI's equal to '0'. ( <b>EADR, FSIA - Report should print "No Records Selected For Reporting"</b> )	Y	Y	Y		
7.19	Does the General Revenue for 160XXXX issues net to zero? ( <b>GENR, LBR1</b> )	N/A	N/A	N/A		
7.20	Does the General Revenue for 180XXXX issues net to zero? ( <b>GENR, LBR2</b> )	N/A	N/A	N/A		

Action		Program or Service (Budget Entity Codes)				
		79400100	79400200	79400300		
7.21	Does the General Revenue for 200XXXX issues net to zero? ( <b>GENR, LBR3</b> )	N/A	N/A	N/A		
7.22	Have FCO appropriations been entered into the nonrecurring column A04? ( <b>GENR, LBR4 - Report should print "No Records Selected For Reporting" or a listing of D-3A issue(s) assigned to Debt Service (IOE N) or in some cases State Capital Outlay - Public Education Capital Outlay (IOE L) )</b> )	N/A	N/A	N/A		
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.					
<b>8. SCHEDULE I &amp; RELATED DOCUMENTS (SC1R, SC1 - Budget Entity Level or SC1R, SC1D - Department Level)</b>						
8.1	Has a separate department level Schedule I and supporting documents package been submitted by the agency?	Y	Y	Y		
8.2	Has a Schedule I been completed in LAS/PBS for each operating trust fund?	Y	Y	Y		
8.3	Have the appropriate Schedule I supporting documents been included for the trust funds (Schedule IA, Schedule IB, Schedule IC, and Reconciliation to Trial Balance)?	Y	Y	Y		
8.4	Have the Examination of Regulatory Fees Part I and Part II forms been included for the applicable regulatory programs?	Y	Y	Y		
8.5	Have the required detailed narratives been provided (5% trust fund reserve narrative; method for computing the distribution of cost for general management and administrative services narrative; adjustments narrative; revenue estimating methodology narrative)?	Y	Y	Y		
8.6	Has the Inter-Agency Transfers Reported on Schedule I form been included as applicable for transfers totaling \$100,000 or more for the fiscal year?	Y	Y	Y		
8.7	If the agency is scheduled for the annual trust fund review this year, have the Schedule ID and applicable draft legislation been included for recreation, modification or termination of existing trust funds?	N/A	N/A	N/A		
8.8	If the agency is scheduled for the annual trust fund review this year, have the necessary trust funds been requested for creation pursuant to section 215.32(2)(b), Florida Statutes - including the Schedule ID and applicable legislation?	N/A	N/A	N/A		

Action		Program or Service (Budget Entity Codes)				
		79400100	79400200	79400300		
8.9	Are the revenue codes correct? In the case of federal revenues, has the agency appropriately identified direct versus indirect receipts (object codes 000700, 000750, 000799, 001510 and 001599)?	Y	Y	Y		
8.10	Are the statutory authority references correct?	Y	Y	Y		
8.11	Are the General Revenue Service Charge percentage rates used for each revenue source correct? (Refer to Chapter 2009-78, Laws of Florida, for appropriate general revenue service charge percentage rates.	Y	Y	Y		
8.12	Is this an accurate representation of revenues based on the most recent Consensus Estimating Conference forecasts?	Y	Y	Y		
8.13	If there is no Consensus Estimating Conference forecast available, do the revenue estimates appear to be reasonable?	Y	Y	Y		
8.14	Are the federal funds revenues reported in Section I broken out by individual grant? Are the correct CFDA codes used?	N/A	N/A	N/A		
8.15	Are anticipated grants included and based on the state fiscal year (rather than federal fiscal year)?	N/A	N/A	N/A		
8.16	Are the Schedule I revenues consistent with the FSI's reported in the Exhibit D-3A?	Y	Y	Y		
8.17	If applicable, are nonrecurring revenues entered into Column A04?	Y	Y	Y		
8.18	Has the agency certified the revenue estimates in columns A02 and A03 to be the latest and most accurate available? 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		
<b>AUDITS:</b>						
8.29	Is Line I a positive number? (If not, the agency must adjust the budget request to eliminate the deficit).	Y	Y	Y		

Action		Program or Service (Budget Entity Codes)				
		79400100	79400200	79400300		
8.30	Is the June 30 Adjusted Unreserved Fund Balance (Line I) equal to the July 1 Unreserved Fund Balance (Line A) of the following year? <b>(SC1R, SC1A - Report should print "No Discrepancies Exist For This Report")</b>	Y	Y	Y		
8.31	Has a Department Level Reconciliation been provided for each trust fund and does Line A of the Schedule I equal the CFO amount? If not, the agency must correct Line A. <b>(SC1R, DEPT)</b>	Y	Y	Y		
TIP	The Schedule I is the most reliable source of data concerning the trust funds. It is very important that this schedule is as accurate as possible					
TIP	Determine if the agency is scheduled for trust fund review. (See page 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.					
<b>9. SCHEDULE II (PSCR, SC2)</b>						
AUDIT:						
9.1	Is the pay grade minimum for salary rate utilized for positions in segments 2 and 3? <b>(BRAR, BRAA - Report should print "No Records Selected For This Request")</b> Note: Amounts other than the pay grade minimum should be fully justified in the D-3A issue narrative. (See <i>Base Rate Audit</i> on page 157 of the LBR Instructions.)	Y	Y	N/A		
<b>10. SCHEDULE III (PSCR, SC3)</b>						
10.1	Is the appropriate lapse amount applied in Segment 3? (See page 87 of the LBR Instructions.)	N/A	N/A	N/A		
10.2	Are amounts in <i>Other Salary Amount</i> appropriate and fully justified? (See page 94 of the LBR Instructions for appropriate use of the OAD transaction.) Use <b>OADI</b> or <b>OADR</b> to identify agency other salary amounts requested.	N/A	N/A	N/A		
<b>11. SCHEDULE IV (EADR, SC4)</b>						
11.1	Are the correct Information Technology (IT) issue codes used?	N/A	N/A	N/A		
TIP	If IT issues are not coded correctly (with "C" in 6th position), they will not appear in the Schedule IV.					
<b>12. SCHEDULE VIIIA (EADR, SC8A)</b>						
12.1	Is there only one #1 priority, one #2 priority, one #3 priority, etc. reported on the Schedule VIII-A? Are the priority narrative explanations adequate?	Y	Y	Y		
<b>13. SCHEDULE VIIIB-1 (EADR, S8B1)</b>						
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		
<b>14. SCHEDULE VIIIB-2 (EADR, S8B2)</b>						
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		
<b>15. SCHEDULE XI (LAS/PBS Web - see page 108 of the LBR Instructions for detailed instructions)</b>						
15.1	Has the Schedule XI one page summary Excel file been e-mailed to OPB at OPB.UnitCostSummary@laspbs.state.fl.us? Agencies are required to generate this spreadsheet via the LAS/PBS Web. (Note: Pursuant to <i>section 216.023(4) (b), Florida Statutes</i> , the Legislature can reduce the funding level for any agency that does not provide this information.)	Y	Y	Y		
15.2	Do the PDF files uploaded to the Florida Fiscal Portal for the LRPP and LBR match the Excel file e-mailed to OPB?	Y	Y	Y		

Action		Program or Service (Budget Entity Codes)				
		79400100	79400200	79400300		
<b>AUDITS INCLUDED IN THE SCHEDULE XI REPORT:</b>						
15.3	Does the FY 2009-10 Actual (prior year) Expenditures in Column A36 reconcile to Column A01? ( <b>GENR, ACT1</b> )	Y	Y	Y		
15.4	None of the executive direction, administrative support and information technology statewide activities (ACT0010 thru ACT0490) have output standards (Record Type 5)? ( <b>Audit #1 should print "No Activities Found"</b> )	Y	Y	Y		
15.5	Does the Fixed Capital Outlay (FCO) statewide activity (ACT0210) only contain 08XXXX or 14XXXX appropriation categories? ( <b>Audit #2 should print "No Operating Categories Found"</b> )	N/A	N/A	N/A		
15.6	Has the agency provided the necessary demand (Record Type 5) for all activities which <u>should</u> appear in Section II? (Note: Audit #3 will identify those activities that do NOT have a Record Type '5' and have not been identified as a 'Pass Through' activity. These activities will be displayed in Section III with the 'Payment of Pensions, Benefits and Claims' activity and 'Other' activities. Verify if these activities should be displayed in Section III. If not, an output standard would need to be added for that activity and the Schedule XI submitted again.)	Y	Y	Y		
15.7	Does Section I (Final Budget for Agency) and Section III (Total Budget for Agency) equal? ( <b>Audit #4 should print "No Discrepancies Found"</b> )	Y	Y	Y		
TIP If Section I and Section III have a small difference, it may be due to rounding and therefore will be acceptable.						
<b>16. MANUALLY PREPARED EXHIBITS &amp; SCHEDULES</b>						
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		
<b>AUDITS - GENERAL INFORMATION</b>						
TIP Review <i>Section 6: Audits</i> of the LBR Instructions for a list of audits and their descriptions.						
TIP Reorganizations may cause audit errors. Agencies must indicate that these errors are due to an agency reorganization to justify the audit error.						
<b>17. CAPITAL IMPROVEMENTS PROGRAM (CIP)</b>						
17.1	Are the CIP-2, CIP-3, CIP-A and CIP-B forms included?	Y	Y	Y		
17.2	Are the CIP-4 and CIP-5 forms submitted when applicable (see CIP Instructions)?	N/A	N/A	N/A		
17.3	Do all CIP forms comply with CIP Instructions where applicable (see CIP Instructions)?	Y	Y	Y		
17.4	Does the agency request include 5 year projections (Columns A03, A06, A07, A08 and A09)?	N/A	N/A	N/A		
17.5	Are the appropriate counties identified in the narrative?	N/A	N/A	N/A		
17.6	Has the CIP-2 form (Exhibit B) been modified to include the agency priority for each project and the modified form saved as a PDF document?	N/A	N/A	N/A		
TIP Requests for Fixed Capital Outlay appropriations which are Grants and Aids to Local Governments and Non-Profit Organizations must use the Grants and Aids to Local Governments and Non-Profit Organizations - Fixed Capital Outlay major appropriation category (140XXX) and include the sub-title "Grants and Aids". These appropriations utilize a CIP-B form as justification.						

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

**18. FLORIDA FISCAL PORTAL**

18.1 Have all files been assembled correctly and posted to the Florida Fiscal Portal as outlined in the Florida Fiscal Portal Submittal Process?	Y	Y	Y		
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## Fiscal Year 2011-12 LBR Technical Review Checklist (Rev. 10-13-2010)

Department/Budget Entity (Service): Business and Professional Regulation - Condominiums, Timeshares, and Mobile Homes					
Agency Budget Officer/OPB Analyst Name: Lynn Smith/Eric Steinkuehler					
A "Y" indicates "YES" and is acceptable, an "N/J" indicates "NO/Justification Provided" - these require further explanation/justification (additional sheets can be used as necessary), and "TIPS" are other areas to consider.					
	Program or Service (Budget Entity Codes)				
Action	79800100				
<b>1. GENERAL</b>					
1.1	Are Columns A01, A02, A04, A05, A36, A90, A91, A92, A93, A94, A95, 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? <b>(CSDI)</b>	Y			
1.2	Is Column A03 set to TRANSFER CONTROL for DISPLAY and UPDATE status for both the Budget and Trust Fund columns? <b>(CSDI)</b>	Y			
<b>AUDITS:</b>					
1.3	Has Column A03 been copied to Column A12? Run the Exhibit B Audit Comparison Report to verify. <b>(EXBR, EXBA)</b>	Y			
1.4	Has security been set correctly? <b>(CSDR, CSA)</b>	Y			
<b>TIP</b>	The agency should prepare the budget request for submission in this order: 1) Lock columns as described above; 2) copy Column A03 to Column A12; and 3) set Column A12 column security to ALL for DISPLAY status and MANAGEMENT CONTROL for UPDATE status.				
<b>2. EXHIBIT A (EADR, EXA)</b>					
2.1	Is the budget entity authority and description consistent with the agency's LRPP and does it conform to the directives provided on page 56 of the LBR Instructions?	Y			
2.2	Are the statewide issues generated systematically (estimated expenditures, nonrecurring expenditures, etc.) included?	Y			
2.3	Are the issue codes and titles consistent with <i>Section 3</i> of the LBR Instructions (pages 15 through 27)? Do they clearly describe the issue?	Y			
2.4	Have the coding guidelines in <i>Section 3</i> of the LBR Instructions (pages 15 through 27) been followed?	Y			
<b>3. EXHIBIT B (EXBR, EXB)</b>					
3.1	Is it apparent that there is a fund shift and were the issues entered into LAS/PBS correctly? Check D-3A funding shift issue 340XXX0 - a unique deduct and unique add back issue should be used to ensure fund shifts display correctly on the LBR exhibits.	N/A			
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			
<b>AUDITS:</b>					
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? <b>(NACR, NAC - Report should print "No Negative Appropriation Categories Found")</b>	Y			
3.4	Current Year Estimated Verification Comparison Report: Is Column A02 equal to Column B07? <b>(EXBR, EXBC - Report should print "Records Selected Net To Zero")</b>	Y			
<b>TIP</b>	Generally look for and be able to fully explain significant differences between A02 and A03.				
<b>TIP</b>	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				

		Program or Service (Budget Entity Codes)				
Action		79800100				
TIP Requests for appropriations which require advance payment authority must use the sub-title "Grants and Aids". For advance payment authority to local units of government, the Aid to Local Government appropriation category (05XXXX) should be used. For advance payment authority to non-profit organizations or other units of state government, the Special Categories appropriation category (10XXXX) should be used.						
<b>4. EXHIBIT D (EADR, EXD)</b>						
4.1	Is the program component objective statement consistent with the agency LRPP, and does it conform to the directives provided on page 59 of the LBR Instructions?	Y				
4.2	Is the program component code and title used correct?	Y				
TIP Fund shifts or transfers of services or activities between program components will be displayed on an Exhibit D whereas it may not be visible on an Exhibit A.						
<b>5. EXHIBIT D-1 (ED1R, EXD1)</b>						
5.1	Are all object of expenditures positive amounts? (This is a manual check.)	Y				
<b>AUDITS:</b>						
5.2	Do the fund totals agree with the object category totals within each appropriation category? ( <b>ED1R, XD1A - Report should print "No Differences Found For This Report"</b> )	Y				
5.3	FLAIR Expenditure/Appropriation Ledger Comparison Report: Is Column A01 less than Column B04? ( <b>EXBR, EXBB - Negative differences need to be corrected in Column A01.</b> )	Y				
5.4	A01/State Accounts Disbursements and Carry Forward Comparison Report: Does Column A01 equal Column B08? ( <b>EXBR, EXBD - Differences need to be corrected in Column A01.</b> )	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.						
<b>6. EXHIBIT D-3 (ED3R, ED3) (Not required in the LBR - for analytical purposes only.)</b>						
6.1	Are issues appropriately aligned with appropriation categories?	Y				
TIP Exhibit D-3 is no longer required in the budget submission but may be needed for this particular appropriation category/issue sort. Exhibit D-3 is also a useful report when identifying negative appropriation category problems.						
<b>7. EXHIBIT D-3A (EADR, ED3A)</b>						
7.1	Are the issue titles correct and do they clearly identify the issue? (See pages 15 through 31 of the LBR Instructions.)	Y				
7.2	Does the issue narrative adequately explain the agency's request and is the explanation consistent with the LRPP? (See page 65 of the LBR Instructions.)	Y				

Action		Program or Service (Budget Entity Codes)			
		79800100			
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?	N/A			
7.4	Are all issues with an IT component identified with a "Y" in the "IT COMPONENT?" field? If the issue contains an IT component, has that component been identified and documented?	N/A			
7.5	Does the issue narrative explain any variances from the Standard Expense and Human Resource Services Assessments package? Is the nonrecurring portion in the nonrecurring column? (See pages E-4 and E-5 of the LBR Instructions.)	N/A			
7.6	Does the salary rate request amount accurately reflect any new requests and are the amounts proportionate to the Salaries and Benefits request? Note: Salary rate should always be annualized.	Y			
7.7	Does the issue narrative thoroughly explain/justify all Salaries and Benefits amounts entered into the Other Salary Amounts transactions (OADAC)? Amounts entered into OAD are reflected in the Position Detail of Salaries and Benefits section of the Exhibit D-3A.	N/A			
7.8	Does the issue narrative include the Consensus Estimating Conference forecast, where appropriate?	N/A			
7.9	Does the issue narrative reference the specific county(ies) where applicable?	N/A			
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?	N/A			
7.11	When appropriate are there any 160XXX0 issues included to delete positions placed in reserve in the OPB Position and Rate Ledger (e.g. unfunded grants)? Note: Lump sum appropriations not yet allocated should <u>not</u> be deleted. ( <b>PLRR, PLMO</b> )	N/A			
7.12	Does the issue narrative include plans to satisfy additional space requirements when requesting additional positions?	N/A			
7.13	Has the agency included a 160XXX0 issue and 210XXXX and 260XXX0 issues as required for lump sum distributions?	N/A			
7.14	Do the amounts reflect appropriate FSI assignments?	Y			
7.15	Do the issues relating to <i>salary and benefits</i> have an "A" in the fifth position of the issue code (XXXXAXX) and are they self-contained (not combined with other issues)? (See page 26 and 86 of the LBR Instructions.)	Y			
7.16	Do the issues relating to <i>Information Technology (IT)</i> have a "C" in the sixth position of the issue code (36XXXXCX) and are the correct issue codes used (361XXC0, 362XXC0, 363XXC0, 17C01C0, 17C02C0, 17C03C0, 24010C0, 33001C0 or 55C01C0)?	N/A			
7.17	Are the issues relating to <i>major audit findings and recommendations</i> properly coded (4A0XXX0, 4B0XXX0)?	N/A			
<b>AUDIT:</b>					
7.18	Are all FSI's equal to '1', '2', '3', or '9'? There should be no FSI's equal to '0'. ( <b>EADR, FSIA - Report should print "No Records Selected For Reporting"</b> )	Y			
7.19	Does the General Revenue for 160XXXX issues net to zero? ( <b>GENR, LBR1</b> )	N/A			

		Program or Service (Budget Entity Codes)			
Action		79800100			
7.20	Does the General Revenue for 180XXXX issues net to zero? ( <b>GENR, LBR2</b> )	N/A			
7.21	Does the General Revenue for 200XXXX issues net to zero? ( <b>GENR, LBR3</b> )	N/A			
7.22	Have FCO appropriations been entered into the nonrecurring column A04? ( <b>GENR, LBR4 - Report should print "No Records Selected For Reporting" or a listing of D-3A issue(s) assigned to Debt Service (IOE N) or in some cases State Capital Outlay - Public Education Capital Outlay (IOE L) )</b> )	N/A			
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.				
<b>8. SCHEDULE I &amp; RELATED DOCUMENTS (SC1R, SC1 - Budget Entity Level or SC1R, SC1D - Department Level)</b>					
8.1	Has a separate department level Schedule I and supporting documents package been submitted by the agency?	Y			
8.2	Has a Schedule I been completed in LAS/PBS for each operating trust fund?	Y			
8.3	Have the appropriate Schedule I supporting documents been included for the trust funds (Schedule IA, Schedule IB, Schedule IC, and Reconciliation to Trial Balance)?	Y			
8.4	Have the Examination of Regulatory Fees Part I and Part II forms been included for the applicable regulatory programs?	Y			
8.5	Have the required detailed narratives been provided (5% trust fund reserve narrative; method for computing the distribution of cost for general management and administrative services narrative; adjustments narrative; revenue estimating methodology narrative)?	Y			
8.6	Has the Inter-Agency Transfers Reported on Schedule I form been included as applicable for transfers totaling \$100,000 or more for the fiscal year?	Y			
8.7	If the agency is scheduled for the annual trust fund review this year, have the Schedule ID and applicable draft legislation been included for recreation, modification or termination of existing trust funds?	N/A			
8.8	If the agency is scheduled for the annual trust fund review this year, have the necessary trust funds been requested for creation pursuant to <i>section 215.32(2)(b), Florida Statutes</i> - including the Schedule ID and applicable legislation?	N/A			

		Program or Service (Budget Entity Codes)				
Action		79800100				
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?	N/A				
8.15	Are anticipated grants included and based on the state fiscal year (rather than federal fiscal year)?	N/A				
8.16	Are the Schedule I revenues consistent with the FSI's reported in the Exhibit D-3A?	Y				
8.17	If applicable, are nonrecurring revenues entered into Column A04?	N/A				
8.18	Has the agency certified the revenue estimates in columns A02 and A03 to be the latest and most accurate available? 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				
8.21	Are nonoperating expenditures to other budget entities/departments cross-referenced accurately?	Y				
8.22	Do transfers balance between funds (within the agency as well as between agencies)? (See also 8.6 for required transfer confirmation of amounts totaling \$100,000 or more.)	Y				
8.23	Are nonoperating expenditures recorded in Section II and adjustments recorded in Section III?	Y				
8.24	Are prior year September operating reversions appropriately shown in column A01?	Y				
8.25	Are current year September operating reversions appropriately shown in column A02?	Y				
8.26	Does the Schedule IC properly reflect the unreserved fund balance for each trust fund as defined by the LBR Instructions, and is it reconciled to the agency accounting records?	Y				
8.27	Does Column A01 of the Schedule I accurately represent the actual prior year accounting data as reflected in the agency accounting records, and is it provided in sufficient detail for analysis?	Y				
8.28	Does Line I of Column A01 (Schedule I) equal Line K of the Schedule IC?	Y				
<b>AUDITS:</b>						
8.29	Is Line I a positive number? (If not, the agency must adjust the budget request to eliminate the deficit).	Y				

		Program or Service (Budget Entity Codes)				
Action		79800100				
8.30	Is the June 30 Adjusted Unreserved Fund Balance (Line I) equal to the July 1 Unreserved Fund Balance (Line A) of the following year? <b>(SC1R, SC1A - Report should print "No Discrepancies Exist For This Report")</b>	Y				
8.31	Has a Department Level Reconciliation been provided for each trust fund and does Line A of the Schedule I equal the CFO amount? If not, the agency must correct Line A. <b>(SC1R, DEPT)</b>	Y				
TIP	The Schedule I is the most reliable source of data concerning the trust funds. It is very important that this schedule is as accurate as possible					
TIP	Determine if the agency is scheduled for trust fund review. (See page 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.					
<b>9. SCHEDULE II (PSCR, SC2)</b>						
AUDIT:						
9.1	Is the pay grade minimum for salary rate utilized for positions in segments 2 and 3? <b>(BRAR, BRAA - Report should print "No Records Selected For This Request")</b> Note: Amounts other than the pay grade minimum should be fully justified in the D-3A issue narrative. (See <i>Base Rate Audit</i> on page 157 of the LBR Instructions.)	Y				
<b>10. SCHEDULE III (PSCR, SC3)</b>						
10.1	Is the appropriate lapse amount applied in Segment 3? (See page 87 of the LBR Instructions.)	N/A				
10.2	Are amounts in <i>Other Salary Amount</i> appropriate and fully justified? (See page 94 of the LBR Instructions for appropriate use of the OAD transaction.) Use <b>OADI</b> or <b>OADR</b> to identify agency other salary amounts requested.	N/A				
<b>11. SCHEDULE IV (EADR, SC4)</b>						
11.1	Are the correct Information Technology (IT) issue codes used?	N/A				
TIP	If IT issues are not coded correctly (with "C" in 6th position), they will not appear in the Schedule IV.					
<b>12. SCHEDULE VIIIA (EADR, SC8A)</b>						
12.1	Is there only one #1 priority, one #2 priority, one #3 priority, etc. reported on the Schedule VIII-A? Are the priority narrative explanations adequate?	Y				
<b>13. SCHEDULE VIIIB-1 (EADR, S8B1)</b>						
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				
<b>14. SCHEDULE VIIIB-2 (EADR, S8B2)</b>						
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				
<b>15. SCHEDULE XI (LAS/PBS Web - see page 108 of the LBR Instructions for detailed instructions)</b>						
15.1	Has the Schedule XI one page summary Excel file been e-mailed to OPB at OPB.UnitCostSummary@laspbs.state.fl.us? Agencies are required to generate this spreadsheet via the LAS/PBS Web. (Note: Pursuant to <i>section 216.023(4) (b), Florida Statutes</i> , the Legislature can reduce the funding level for any agency that does not provide this information.)	Y				
15.2	Do the PDF files uploaded to the Florida Fiscal Portal for the LRPP and LBR match the Excel file e-mailed to OPB?	Y				

		Program or Service (Budget Entity Codes)			
Action		79800100			
<b>AUDITS INCLUDED IN THE SCHEDULE XI REPORT:</b>					
15.3	Does the FY 2009-10 Actual (prior year) Expenditures in Column A36 reconcile to Column A01? ( <b>GENR, ACT1</b> )	Y			
15.4	None of the executive direction, administrative support and information technology statewide activities (ACT0010 thru ACT0490) have output standards (Record Type 5)? ( <b>Audit #1 should print "No Activities Found"</b> )	Y			
15.5	Does the Fixed Capital Outlay (FCO) statewide activity (ACT0210) only contain 08XXXX or 14XXXX appropriation categories? ( <b>Audit #2 should print "No Operating Categories Found"</b> )	N/A			
15.6	Has the agency provided the necessary demand (Record Type 5) for all activities which <u>should</u> appear in Section II? (Note: Audit #3 will identify those activities that do NOT have a Record Type '5' and have not been identified as a 'Pass Through' activity. These activities will be displayed in Section III with the 'Payment of Pensions, Benefits and Claims' activity and 'Other' activities. Verify if these activities should be displayed in Section III. If not, an output standard would need to be added for that activity and the Schedule XI submitted again.)	Y			
15.7	Does Section I (Final Budget for Agency) and Section III (Total Budget for Agency) equal? ( <b>Audit #4 should print "No Discrepancies Found"</b> )	Y			
<b>TIP</b> If Section I and Section III have a small difference, it may be due to rounding and therefore will be acceptable.					
<b>16. MANUALLY PREPARED EXHIBITS &amp; SCHEDULES</b>					
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			
<b>AUDITS - GENERAL INFORMATION</b>					
<b>TIP</b> Review <i>Section 6: Audits</i> of the LBR Instructions for a list of audits and their descriptions.					
<b>TIP</b> Reorganizations may cause audit errors. Agencies must indicate that these errors are due to an agency reorganization to justify the audit error.					
<b>17. CAPITAL IMPROVEMENTS PROGRAM (CIP)</b>					
17.1	Are the CIP-2, CIP-3, CIP-A and CIP-B forms included?	Y			
17.2	Are the CIP-4 and CIP-5 forms submitted when applicable (see CIP Instructions)?	N/A			
17.3	Do all CIP forms comply with CIP Instructions where applicable (see CIP Instructions)?	Y			
17.4	Does the agency request include 5 year projections (Columns A03, A06, A07, A08 and A09)?	N/A			
17.5	Are the appropriate counties identified in the narrative?	N/A			
17.6	Has the CIP-2 form (Exhibit B) been modified to include the agency priority for each project and the modified form saved as a PDF document?	N/A			
<b>TIP</b> 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.					

	Program or Service (Budget Entity Codes)			
Action	79800100			

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



## Fiscal Year 2011-12 LBR Technical Review Checklist (Rev. 10-13-2010)

Department/Budget Entity (Service): Business and Professional Regulation - Hotels and Restaurants
Agency Budget Officer/OPB Analyst Name: Lynn Smith/Eric Steinkuehler

A "Y" indicates "YES" and is acceptable, an "N/J" indicates "NO/Justification Provided" - these require further explanation/justification (additional sheets can be used as necessary), and "TIPS" are other areas to consider.

Action	Program or Service (Budget Entity Codes)				
79200100					

1. GENERAL					
1.1	Are Columns A01, A02, A04, A05, A36, A90, A91, A92, A93, A94, A95, 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? <b>(CSDI)</b>	Y			
1.2	Is Column A03 set to TRANSFER CONTROL for DISPLAY and UPDATE status for both the Budget and Trust Fund columns? <b>(CSDI)</b>	Y			
AUDITS:					
1.3	Has Column A03 been copied to Column A12? Run the Exhibit B Audit Comparison Report to verify. <b>(EXBR, EXBA)</b>	Y			
1.4	Has security been set correctly? <b>(CSDR, CSA)</b>	Y			
<b>TIP</b>	The agency should prepare the budget request for submission in this order: 1) Lock columns as described above; 2) copy Column A03 to Column A12; and 3) set Column A12 column security to ALL for DISPLAY status and MANAGEMENT CONTROL for UPDATE status.				
2. EXHIBIT A (EADR, EXA)					
2.1	Is the budget entity authority and description consistent with the agency's LRPP and does it conform to the directives provided on page 56 of the LBR Instructions?	Y			
2.2	Are the statewide issues generated systematically (estimated expenditures, nonrecurring expenditures, etc.) included?	Y			
2.3	Are the issue codes and titles consistent with <i>Section 3</i> of the LBR Instructions (pages 15 through 27)? Do they clearly describe the issue?	Y			
2.4	Have the coding guidelines in <i>Section 3</i> of the LBR Instructions (pages 15 through 27) been followed?	Y			
3. EXHIBIT B (EXBR, EXB)					
3.1	Is it apparent that there is a fund shift and were the issues entered into LAS/PBS correctly? Check D-3A funding shift issue 340XXX0 - a unique deduct and unique add back issue should be used to ensure fund shifts display correctly on the LBR exhibits.	N/A			
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? <b>(NACR, NAC - Report should print "No Negative Appropriation Categories Found")</b>	Y			
3.4	Current Year Estimated Verification Comparison Report: Is Column A02 equal to Column B07? <b>(EXBR, EXBC - Report should print "Records Selected Net To Zero")</b>	Y			
<b>TIP</b>	Generally look for and be able to fully explain significant differences between A02 and A03.				

		Program or Service (Budget Entity Codes)				
Action		79200100				
TIP	Exhibit B - A02 equal to B07: Compares Current Year Estimated column to a backup of A02. This audit is necessary to ensure that the historical detail records have not been adjusted. Records selected should net to zero.					
TIP	Requests for appropriations which require advance payment authority must use the sub-title "Grants and Aids". For advance payment authority to local units of government, the Aid to Local Government appropriation category (05XXXX) should be used. For advance payment authority to non-profit organizations or other units of state government, the Special Categories appropriation category (10XXXX) should be used.					
<b>4. EXHIBIT D (EADR, EXD)</b>						
4.1	Is the program component objective statement consistent with the agency LRPP, and does it conform to the directives provided on page 59 of the LBR Instructions?	Y				
4.2	Is the program component code and title used correct?	Y				
TIP	Fund shifts or transfers of services or activities between program components will be displayed on an Exhibit D whereas it may not be visible on an Exhibit A.					
<b>5. EXHIBIT D-1 (ED1R, EXD1)</b>						
5.1	Are all object of expenditures positive amounts? (This is a manual check.)	Y				
AUDITS:						
5.2	Do the fund totals agree with the object category totals within each appropriation category? <b>(ED1R, XD1A - Report should print "No Differences Found For This Report")</b>	Y				
5.3	FLAIR Expenditure/Appropriation Ledger Comparison Report: Is Column A01 less than Column B04? <b>(EXBR, EXBB - Negative differences need to be corrected in Column A01.)</b>	Y				
5.4	A01/State Accounts Disbursements and Carry Forward Comparison Report: Does Column A01 equal Column B08? <b>(EXBR, EXBD - Differences need to be corrected in Column A01.)</b>	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.					
<b>6. EXHIBIT D-3 (ED3R, ED3) (Not required in the LBR - for analytical purposes only.)</b>						
6.1	Are issues appropriately aligned with appropriation categories?	Y				
TIP	Exhibit D-3 is no longer required in the budget submission but may be needed for this particular appropriation category/issue sort. Exhibit D-3 is also a useful report when identifying negative appropriation category problems.					
<b>7. EXHIBIT D-3A (EADR, ED3A)</b>						
7.1	Are the issue titles correct and do they clearly identify the issue? (See pages 15 through 31 of the LBR Instructions.)	Y				
7.2	Does the issue narrative adequately explain the agency's request and is the explanation consistent with the LRPP? (See page 65 of the LBR Instructions.)	Y				

		Program or Service (Budget Entity Codes)				
Action		79200100				
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?	N/A				
7.4	Are all issues with an IT component identified with a "Y" in the "IT COMPONENT?" field? If the issue contains an IT component, has that component been identified and documented?	N/A				
7.5	Does the issue narrative explain any variances from the Standard Expense and Human Resource Services Assessments package? Is the nonrecurring portion in the nonrecurring column? (See pages E-4 and E-5 of the LBR Instructions.)	Y				
7.6	Does the salary rate request amount accurately reflect any new requests and are the amounts proportionate to the Salaries and Benefits request? Note: Salary rate should always be annualized.	Y				
7.7	Does the issue narrative thoroughly explain/justify all Salaries and Benefits amounts entered into the Other Salary Amounts transactions (OADA/C)? Amounts entered into OAD are reflected in the Position Detail of Salaries and Benefits section of the Exhibit D-3A.	N/A				
7.8	Does the issue narrative include the Consensus Estimating Conference forecast, where appropriate?	N/A				
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?	N/A				
7.11	When appropriate are there any 160XXX0 issues included to delete positions placed in reserve in the OPB Position and Rate Ledger (e.g. unfunded grants)? Note: Lump sum appropriations not yet allocated should <u>not</u> be deleted. (PLRR, PLMO)	N/A				
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?	N/A				
7.14	Do the amounts reflect appropriate FSI assignments?	Y				
7.15	Do the issues relating to <i>salary and benefits</i> have an "A" in the fifth position of the issue code (XXXXAXX) and are they self-contained (not combined with other issues)? (See page 26 and 86 of the LBR Instructions.)	N/A				
7.16	Do the issues relating to <i>Information Technology (IT)</i> have a "C" in the sixth position of the issue code (36XXXXCX) and are the correct issue codes used (361XXC0, 362XXC0, 363XXC0, 17C01C0, 17C02C0, 17C03C0, 24010C0, 33001C0 or 55C01C0)?	N/A				
7.17	Are the issues relating to <i>major audit findings and recommendations</i> properly coded (4A0XXX0, 4B0XXX0)?	N/A				
<b>AUDIT:</b>						
7.18	Are all FSI's equal to '1', '2', '3', or '9'? There should be no FSI's equal to '0'. (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)	N/A				
7.20	Does the General Revenue for 180XXXX issues net to zero? (GENR, LBR2)	N/A				

		Program or Service (Budget Entity Codes)			
Action		79200100			
7.21	Does the General Revenue for 200XXXXX issues net to zero? ( <b>GENR, LBR3</b> )	N/A			
7.22	Have FCO appropriations been entered into the nonrecurring column A04?( <b>GENR, LBR4 - Report should print "No Records Selected For Reporting" or a listing of D-3A issue(s) assigned to Debt Service (IOE N) or in some cases State Capital Outlay - Public Education Capital Outlay (IOE L) )</b> )	N/A			
TIP	Salaries and Benefits amounts entered using the OADA/C transactions must be thoroughly justified in the D-3A issue narrative. Agencies can run <b>OADA/OADR</b> from STAM to identify the amounts entered into OAD and ensure these entries have been thoroughly explained in the D-3A issue narrative.				
TIP	The issue narrative must completely and thoroughly explain and justify each D-3A issue. Agencies must ensure it provides the information necessary for the OPB and legislative analysts to have a complete understanding of the issue submitted. Thoroughly review pages 64 through 70 of the LBR Instructions.				
TIP	Check BAPS to verify status of budget amendments. Check for reapprovals not picked up in the General Appropriations Act. Verify that Lump Sum appropriations in Column A02 do not appear in Column A03. Review budget amendments to verify that 160XXX0 issue amounts correspond accurately and net to zero for General Revenue funds.				
TIP	If an agency is receiving federal funds from another agency the FSI should = 9 (Transfer - Recipient of Federal Funds). The agency that originally receives the funds directly from the federal agency should use FSI = 3 (Federal Funds).				
TIP	If an appropriation made in the FY 2009-10 General Appropriations Act duplicates an appropriation made in substantive legislation, the agency must create a unique deduct nonrecurring issue to eliminate the duplicated appropriation. Normally this is taken care of through line item veto.				
<b>8. SCHEDULE I &amp; RELATED DOCUMENTS (SC1R, SC1 - Budget Entity Level or SC1R, SC1D - Department Level)</b>					
8.1	Has a separate department level Schedule I and supporting documents package been submitted by the agency?	Y			
8.2	Has a Schedule I been completed in LAS/PBS for each operating trust fund?	Y			
8.3	Have the appropriate Schedule I supporting documents been included for the trust funds (Schedule IA, Schedule IB, Schedule IC, and Reconciliation to Trial Balance)?	Y			
8.4	Have the Examination of Regulatory Fees Part I and Part II forms been included for the applicable regulatory programs?	Y			
8.5	Have the required detailed narratives been provided (5% trust fund reserve narrative; method for computing the distribution of cost for general management and administrative services narrative; adjustments narrative; revenue estimating methodology narrative)?	Y			
8.6	Has the Inter-Agency Transfers Reported on Schedule I form been included as applicable for transfers totaling \$100,000 or more for the fiscal year?	Y			
8.7	If the agency is scheduled for the annual trust fund review this year, have the Schedule ID and applicable draft legislation been included for recreation, modification or termination of existing trust funds?	N/A			
8.8	If the agency is scheduled for the annual trust fund review this year, have the necessary trust funds been requested for creation pursuant to <i>section 215.32(2)(b), Florida Statutes</i> - including the Schedule ID and applicable legislation?	N/A			

		Program or Service (Budget Entity Codes)				
Action		79200100				
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?	N/A				
8.15	Are anticipated grants included and based on the state fiscal year (rather than federal fiscal year)?	N/A				
8.16	Are the Schedule I revenues consistent with the FSI's reported in the Exhibit D-3A?	Y				
8.17	If applicable, are nonrecurring revenues entered into Column A04?	Y				
8.18	Has the agency certified the revenue estimates in columns A02 and A03 to be the latest and most accurate available? 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				
8.21	Are nonoperating expenditures to other budget entities/departments cross-referenced accurately?	Y				
8.22	Do transfers balance between funds (within the agency as well as between agencies)? (See also 8.6 for required transfer confirmation of amounts totaling \$100,000 or more.)	Y				
8.23	Are nonoperating expenditures recorded in Section II and adjustments recorded in Section III?	Y				
8.24	Are prior year September operating reversions appropriately shown in column A01?	Y				
8.25	Are current year September operating reversions appropriately shown in column A02?	Y				
8.26	Does the Schedule IC properly reflect the unreserved fund balance for each trust fund as defined by the LBR Instructions, and is it reconciled to the agency accounting records?	Y				
8.27	Does Column A01 of the Schedule I accurately represent the actual prior year accounting data as reflected in the agency accounting records, and is it provided in sufficient detail for analysis?	Y				
8.28	Does Line I of Column A01 (Schedule I) equal Line K of the Schedule IC?	Y				
<b>AUDITS:</b>						
8.29	Is Line I a positive number? (If not, the agency must adjust the budget request to eliminate the deficit).	Y				

		Program or Service (Budget Entity Codes)				
Action		79200100				
8.30	Is the June 30 Adjusted Unreserved Fund Balance (Line I) equal to the July 1 Unreserved Fund Balance (Line A) of the following year? <b>(SC1R, SC1A - Report should print "No Discrepancies Exist For This Report")</b>	Y				
8.31	Has a Department Level Reconciliation been provided for each trust fund and does Line A of the Schedule I equal the CFO amount? If not, the agency must correct Line A. <b>(SC1R, DEPT)</b>	Y				
TIP	The Schedule I is the most reliable source of data concerning the trust funds. It is very important that this schedule is as accurate as possible!					
TIP	Determine if the agency is scheduled for trust fund review. (See page 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.					
<b>9. SCHEDULE II (PSCR, SC2)</b>						
AUDIT:						
9.1	Is the pay grade minimum for salary rate utilized for positions in segments 2 and 3? <b>(BRAR, BRAA - Report should print "No Records Selected For This Request")</b> Note: Amounts other than the pay grade minimum should be fully justified in the D-3A issue narrative. (See <i>Base Rate Audit</i> on page 157 of the LBR Instructions.)	N/J				
<b>10. SCHEDULE III (PSCR, SC3)</b>						
10.1	Is the appropriate lapse amount applied in Segment 3? (See page 87 of the LBR Instructions.)	Y				
10.2	Are amounts in <i>Other Salary Amount</i> appropriate and fully justified? (See page 94 of the LBR Instructions for appropriate use of the OAD transaction.) Use <b>OADI</b> or <b>OADR</b> to identify agency other salary amounts requested.	N/A				
<b>11. SCHEDULE IV (EADR, SC4)</b>						
11.1	Are the correct Information Technology (IT) issue codes used?	N/A				
TIP	If IT issues are not coded correctly (with "C" in 6th position), they will not appear in the Schedule IV.					
<b>12. SCHEDULE VIIIA (EADR, SC8A)</b>						
12.1	Is there only one #1 priority, one #2 priority, one #3 priority, etc. reported on the Schedule VIII-A? Are the priority narrative explanations adequate?	Y				
<b>13. SCHEDULE VIIIB-1 (EADR, S8B1)</b>						
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				
<b>14. SCHEDULE VIIIB-2 (EADR, S8B2)</b>						
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				
<b>15. SCHEDULE XI (LAS/PBS Web - see page 108 of the LBR Instructions for detailed instructions)</b>						
15.1	Has the Schedule XI one page summary Excel file been e-mailed to OPB at OPB.UnitCostSummary@laspbs.state.fl.us? Agencies are required to generate this spreadsheet via the LAS/PBS Web. (Note: Pursuant to <i>section 216.023(4) (b), Florida Statutes</i> , the Legislature can reduce the funding level for any agency that does not provide this information.)	Y				
15.2	Do the PDF files uploaded to the Florida Fiscal Portal for the LRPP and LBR match the Excel file e-mailed to OPB?	Y				

		Program or Service (Budget Entity Codes)				
Action		79200100				
<b>AUDITS INCLUDED IN THE SCHEDULE XI REPORT:</b>						
15.3	Does the FY 2009-10 Actual (prior year) Expenditures in Column A36 reconcile to Column A01? ( <b>GENR, ACT1</b> )	Y				
15.4	None of the executive direction, administrative support and information technology statewide activities (ACT0010 thru ACT0490) have output standards (Record Type 5)? ( <b>Audit #1 should print "No Activities Found"</b> )	Y				
15.5	Does the Fixed Capital Outlay (FCO) statewide activity (ACT0210) only contain 08XXXX or 14XXXX appropriation categories? ( <b>Audit #2 should print "No Operating Categories Found"</b> )	N/A				
15.6	Has the agency provided the necessary demand (Record Type 5) for all activities which <u>should</u> appear in Section II? (Note: Audit #3 will identify those activities that do NOT have a Record Type '5' and have not been identified as a 'Pass Through' activity. These activities will be displayed in Section III with the 'Payment of Pensions, Benefits and Claims' activity and 'Other' activities. Verify if these activities should be displayed in Section III. If not, an output standard would need to be added for that activity and the Schedule XI submitted again.)	Y				
15.7	Does Section I (Final Budget for Agency) and Section III (Total Budget for Agency) equal? ( <b>Audit #4 should print "No Discrepancies Found"</b> )	Y				
TIP	If Section I and Section III have a small difference, it may be due to rounding and therefore will be acceptable.					
<b>16. MANUALLY PREPARED EXHIBITS &amp; SCHEDULES</b>						
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				
<b>AUDITS - GENERAL INFORMATION</b>						
TIP	Review <i>Section 6: Audits</i> of the LBR Instructions for a list of audits and their descriptions.					
TIP	Reorganizations may cause audit errors. Agencies must indicate that these errors are due to an agency reorganization to justify the audit error.					
<b>17. CAPITAL IMPROVEMENTS PROGRAM (CIP)</b>						
17.1	Are the CIP-2, CIP-3, CIP-A and CIP-B forms included?	Y				
17.2	Are the CIP-4 and CIP-5 forms submitted when applicable (see CIP Instructions)?	N/A				
17.3	Do all CIP forms comply with CIP Instructions where applicable (see CIP Instructions)?	Y				
17.4	Does the agency request include 5 year projections (Columns A03, A06, A07, A08 and A09)?	N/A				
17.5	Are the appropriate counties identified in the narrative?	N/A				
17.6	Has the CIP-2 form (Exhibit B) been modified to include the agency priority for each project and the modified form saved as a PDF document?	N/A				
TIP	Requests for Fixed Capital Outlay appropriations which are Grants and Aids to Local Governments and Non-Profit Organizations must use the Grants and Aids to Local Governments and Non-Profit Organizations - Fixed Capital Outlay major appropriation category (140XXX) and include the sub-title "Grants and Aids". These appropriations utilize a CIP-B form as justification.					

	Program or Service (Budget Entity Codes)			
Action	79200100			

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



## Fiscal Year 2011-12 LBR Technical Review Checklist (Rev. 10-13-2010)

Department/Budget Entity (Service): Business of Professional Regulation - Office of the Secretary and Division of Technology				
Agency Budget Officer/OPB Analyst Name: Lynn Smith/Eric Steinkuehler				
A "Y" indicates "YES" and is acceptable, an "N/J" indicates "NO/Justification Provided" - these require further explanation/justification (additional sheets can be used as necessary), and "TIPS" are other areas to consider.				
Action	Program or Service (Budget Entity Codes)			
	790102000	79010300		
<b>1. GENERAL</b>				
1.1	Are Columns A01, A02, A04, A05, A36, A90, A91, A92, A93, A94, A95, 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? <b>(CSDI)</b>	Y	Y	
1.2	Is Column A03 set to TRANSFER CONTROL for DISPLAY and UPDATE status for both the Budget and Trust Fund columns? <b>(CSDI)</b>	Y	Y	
<b>AUDITS:</b>				
1.3	Has Column A03 been copied to Column A12? Run the Exhibit B Audit Comparison Report to verify. <b>(EXBR, EXBA)</b>	Y	Y	
1.4	Has security been set correctly? <b>(CSDR, CSA)</b>	Y	Y	
<b>TIP</b>	The agency should prepare the budget request for submission in this order: 1) Lock columns as described above; 2) copy Column A03 to Column A12; and 3) set Column A12 column security to ALL for DISPLAY status and MANAGEMENT CONTROL for UPDATE status.			
<b>2. EXHIBIT A (EADR, EXA)</b>				
2.1	Is the budget entity authority and description consistent with the agency's LRPP and does it conform to the directives provided on page 56 of the LBR Instructions?	Y	Y	
2.2	Are the statewide issues generated systematically (estimated expenditures, nonrecurring expenditures, etc.) included?	Y	Y	
2.3	Are the issue codes and titles consistent with <i>Section 3</i> of the LBR Instructions (pages 15 through 27)? Do they clearly describe the issue?	Y	Y	
2.4	Have the coding guidelines in <i>Section 3</i> of the LBR Instructions (pages 15 through 27) been followed?	Y	Y	
<b>3. EXHIBIT B (EXBR, EXB)</b>				
3.1	Is it apparent that there is a fund shift and were the issues entered into LAS/PBS correctly? Check D-3A funding shift issue 340XXX0 - a unique deduct and unique add back issue should be used to ensure fund shifts display correctly on the LBR exhibits.	N/A	N/A	
3.2	Are the 33XXXXX0 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 33XXXXX0 - a unique issue should be used for issues that net to zero or a positive amount.	Y	Y	
<b>AUDITS:</b>				
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? <b>(NACR, NAC - Report should print "No Negative Appropriation Categories Found")</b>	Y	Y	
3.4	Current Year Estimated Verification Comparison Report: Is Column A02 equal to Column B07? <b>(EXBR, EXBC - Report should print "Records Selected Net To Zero")</b>	Y	Y	
<b>TIP</b>	Generally look for and be able to fully explain significant differences between A02 and A03.			
<b>TIP</b>	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.			

Action		Program or Service (Budget Entity Codes)				
		790102000	79010300			
TIP Requests for appropriations which require advance payment authority must use the sub-title "Grants and Aids". For advance payment authority to local units of government, the Aid to Local Government appropriation category (05XXXX) should be used. For advance payment authority to non-profit organizations or other units of state government, the Special Categories appropriation category (10XXXX) should be used.						
<b>4. EXHIBIT D (EADR, EXD)</b>						
4.1	Is the program component objective statement consistent with the agency LRPP, and does it conform to the directives provided on page 59 of the LBR Instructions?	Y	Y			
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.						
<b>5. EXHIBIT D-1 (ED1R, EXD1)</b>						
5.1	Are all object of expenditures positive amounts? (This is a manual check.)	Y	Y			
<b>AUDITS:</b>						
5.2	Do the fund totals agree with the object category totals within each appropriation category? (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.						
<b>6. EXHIBIT D-3 (ED3R, ED3) (Not required in the LBR - for analytical purposes only.)</b>						
6.1	Are issues appropriately aligned with appropriation categories?	Y	Y			
TIP Exhibit D-3 is no longer required in the budget submission but may be needed for this particular appropriation category/issue sort. Exhibit D-3 is also a useful report when identifying negative appropriation category problems.						
<b>7. EXHIBIT D-3A (EADR, ED3A)</b>						
7.1	Are the issue titles correct and do they clearly identify the issue? (See pages 15 through 31 of the LBR Instructions.)	N/A	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.)	N/A	Y			

Action	Program or Service (Budget Entity Codes)			
	790102000	79010300		
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?	N/A	Y		
7.4 Are all issues with an IT component identified with a "Y" in the "IT COMPONENT?" field? If the issue contains an IT component, has that component been identified and documented?	N/A	Y		
7.5 Does the issue narrative explain any variances from the Standard Expense and Human Resource Services Assessments package? Is the nonrecurring portion in the nonrecurring column? (See pages E-4 and E-5 of the LBR Instructions.)	N/A	N/A		
7.6 Does the salary rate request amount accurately reflect any new requests and are the amounts proportionate to the Salaries and Benefits request? Note: Salary rate should always be annualized.	N/A	N/A		
7.7 Does the issue narrative thoroughly explain/justify all Salaries and Benefits amounts entered into the Other Salary Amounts transactions (OAD/C)? Amounts entered into OAD are reflected in the Position Detail of Salaries and Benefits section of the Exhibit D-3A.	N/A	Y		
7.8 Does the issue narrative include the Consensus Estimating Conference forecast, where appropriate?	N/A	N/A		
7.9 Does the issue narrative reference the specific county(ies) where applicable?	N/A	N/A		
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?	N/A	N/A		
7.11 When appropriate are there any 160XXX0 issues included to delete positions placed in reserve in the OPB Position and Rate Ledger (e.g. unfunded grants)? Note: Lump sum appropriations not yet allocated should <u>not</u> be deleted. <b>(PLRR, PLMO)</b>	N/A	N/A		
7.12 Does the issue narrative include plans to satisfy additional space requirements when requesting additional positions?	N/A	N/A		
7.13 Has the agency included a 160XXX0 issue and 210XXXX and 260XXX0 issues as required for lump sum distributions?	N/A	N/A		
7.14 Do the amounts reflect appropriate FSI assignments?	Y	Y		
7.15 Do the issues relating to <i>salary and benefits</i> have an "A" in the fifth position of the issue code (XXXXAXX) and are they self-contained (not combined with other issues)? (See page 26 and 86 of the LBR Instructions.)	N/A	N/A		
7.16 Do the issues relating to <i>Information Technology (IT)</i> have a "C" in the sixth position of the issue code (36XXXCX) and are the correct issue codes used (361XXC0, 362XXC0, 363XXC0, 17C01C0, 17C02C0, 17C03C0, 24010C0, 33001C0 or 55C01C0)?	N/A	Y		
7.17 Are the issues relating to <i>major audit findings and recommendations</i> properly coded (4A0XXX0, 4B0XXX0)?	N/A	N/A		
<b>AUDIT:</b>				
7.18 Are all FSI's equal to '1', '2', '3', or '9'? There should be no FSI's equal to '0'. <b>(EADR, FSIA - Report should print "No Records Selected For Reporting")</b>	Y	Y		
7.19 Does the General Revenue for 160XXXX issues net to zero? <b>(GENR, LBR1)</b>	N/A	N/A		
7.20 Does the General Revenue for 180XXXX issues net to zero? <b>(GENR, LBR2)</b>	N/A	N/A		

Action		Program or Service (Budget Entity Codes)				
		790102000	79010300			
7.21	Does the General Revenue for 200XXXX issues net to zero? ( <b>GENR, LBR3</b> )	N/A	N/A			
7.22	Have FCO appropriations been entered into the nonrecurring column A04? ( <b>GENR, LBR4 - Report should print "No Records Selected For Reporting" or a listing of D-3A issue(s) assigned to Debt Service (IOE N) or in some cases State Capital Outlay - Public Education Capital Outlay (IOE L)</b> )	N/A	N/A			
TIP	Salaries and Benefits amounts entered using the OADA/C transactions must be thoroughly justified in the D-3A issue narrative. Agencies can run <b>OADA/OADR</b> from STAM to identify the amounts entered into OAD and ensure these entries have been thoroughly explained in the D-3A issue narrative.					
TIP	The issue narrative must completely and thoroughly explain and justify each D-3A issue. Agencies must ensure it provides the information necessary for the OPB and legislative analysts to have a complete understanding of the issue submitted. Thoroughly review pages 64 through 70 of the LBR Instructions.					
TIP	Check BAPS to verify status of budget amendments. Check for reapprovals not picked up in the General Appropriations Act. Verify that Lump Sum appropriations in Column A02 do not appear in Column A03. Review budget amendments to verify that 160XXX0 issue amounts correspond accurately and net to zero for General Revenue funds.					
TIP	If an agency is receiving federal funds from another agency the FSI should = 9 (Transfer - Recipient of Federal Funds). The agency that originally receives the funds directly from the federal agency should use FSI = 3 (Federal Funds).					
TIP	If an appropriation made in the FY 2009-10 General Appropriations Act duplicates an appropriation made in substantive legislation, the agency must create a unique deduct nonrecurring issue to eliminate the duplicated appropriation. Normally this is taken care of through line item veto.					
<b>8. SCHEDULE I &amp; RELATED DOCUMENTS (SC1R, SC1 - Budget Entity Level or SC1R, SC1D - Department Level)</b>						
8.1	Has a separate department level Schedule I and supporting documents package been submitted by the agency?	Y	Y			
8.2	Has a Schedule I been completed in LAS/PBS for each operating trust fund?	Y	Y			
8.3	Have the appropriate Schedule I supporting documents been included for the trust funds (Schedule IA, Schedule IB, Schedule IC, and Reconciliation to Trial Balance)?	Y	Y			
8.4	Have the Examination of Regulatory Fees Part I and Part II forms been included for the applicable regulatory programs?	Y	Y			
8.5	Have the required detailed narratives been provided (5% trust fund reserve narrative; method for computing the distribution of cost for general management and administrative services narrative; adjustments narrative; revenue estimating methodology narrative)?	Y	Y			
8.6	Has the Inter-Agency Transfers Reported on Schedule I form been included as applicable for transfers totaling \$100,000 or more for the fiscal year?	Y	Y			
8.7	If the agency is scheduled for the annual trust fund review this year, have the Schedule ID and applicable draft legislation been included for recreation, modification or termination of existing trust funds?	N/A	N/A			
8.8	If the agency is scheduled for the annual trust fund review this year, have the necessary trust funds been requested for creation pursuant to <i>section 215.32(2)(b), Florida Statutes</i> - including the Schedule ID and applicable legislation?	N/A	N/A			

Action	Program or Service (Budget Entity Codes)				
	790102000	79010300			
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?	N/A	N/A			
8.13 If there is no Consensus Estimating Conference forecast available, do the revenue estimates appear to be reasonable?	Y	Y			
8.14 Are the federal funds revenues reported in Section I broken out by individual grant? Are the correct CFDA codes used?	N/A	N/A			
8.15 Are anticipated grants included and based on the state fiscal year (rather than federal fiscal year)?	N/A	N/A			
8.16 Are the Schedule I revenues consistent with the FSI's reported in the Exhibit D-3A?	Y	Y			
8.17 If applicable, are nonrecurring revenues entered into Column A04?	Y	Y			
8.18 Has the agency certified the revenue estimates in columns A02 and A03 to be the latest and most accurate available? 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?	N/A	N/A			
8.20 Are appropriate service charge nonoperating amounts included in Section II?	Y	Y			
8.21 Are nonoperating expenditures to other budget entities/departments cross-referenced accurately?	Y	Y			
8.22 Do transfers balance between funds (within the agency as well as between agencies)? (See also 8.6 for required transfer confirmation of amounts totaling \$100,000 or more.)	Y	Y			
8.23 Are nonoperating expenditures recorded in Section II and adjustments recorded in Section III?	Y	Y			
8.24 Are prior year September operating reversions appropriately shown in column A01?	Y	Y			
8.25 Are current year September operating reversions appropriately shown in column A02?	Y	Y			
8.26 Does the Schedule IC properly reflect the unreserved fund balance for each trust fund as defined by the LBR Instructions, and is it reconciled to the agency accounting records?	Y	Y			
8.27 Does Column A01 of the Schedule I accurately represent the actual prior year accounting data as reflected in the agency accounting records, and is it provided in sufficient detail for analysis?	Y	Y			
8.28 Does Line I of Column A01 (Schedule I) equal Line K of the Schedule IC?	Y	Y			
<b>AUDITS:</b>					
8.29 Is Line I a positive number? (If not, the agency must adjust the budget request to eliminate the deficit).	Y	Y			

Action		Program or Service (Budget Entity Codes)				
		790102000	79010300			
8.30	Is the June 30 Adjusted Unreserved Fund Balance (Line I) equal to the July 1 Unreserved Fund Balance (Line A) of the following year? <b>(SC1R, SC1A - Report should print "No Discrepancies Exist For This Report")</b>	Y	Y			
8.31	Has a Department Level Reconciliation been provided for each trust fund and does Line A of the Schedule I equal the CFO amount? If not, the agency must correct Line A. <b>(SC1R, DEPT)</b>	Y	Y			
TIP	The Schedule I is the most reliable source of data concerning the trust funds. It is very important that this schedule is as accurate as possible!					
TIP	Determine if the agency is scheduled for trust fund review. (See page 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.					
<b>9. SCHEDULE II (PSCR, SC2)</b>						
AUDIT:						
9.1	Is the pay grade minimum for salary rate utilized for positions in segments 2 and 3? <b>(BRAR, BRAA - Report should print "No Records Selected For This Request")</b> Note: Amounts other than the pay grade minimum should be fully justified in the D-3A issue narrative. (See <i>Base Rate Audit</i> on page 157 of the LBR Instructions.)	N/A	N/A			
<b>10. SCHEDULE III (PSCR, SC3)</b>						
10.1	Is the appropriate lapse amount applied in Segment 3? (See page 87 of the LBR Instructions.)	N/A	N/A			
10.2	Are amounts in <i>Other Salary Amount</i> appropriate and fully justified? (See page 94 of the LBR Instructions for appropriate use of the OAD transaction.) Use <b>OADI</b> or <b>OADR</b> to identify agency other salary amounts requested.	N/A	N/A			
<b>11. SCHEDULE IV (EADR, SC4)</b>						
11.1	Are the correct Information Technology (IT) issue codes used?	N/A	Y			
TIP	If IT issues are not coded correctly (with "C" in 6th position), they will not appear in the Schedule IV.					
<b>12. SCHEDULE VIIIA (EADR, SC8A)</b>						
12.1	Is there only one #1 priority, one #2 priority, one #3 priority, etc. reported on the Schedule VIII-A? Are the priority narrative explanations adequate?	Y	Y			
<b>13. SCHEDULE VIIIB-1 (EADR, S8B1)</b>						
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			
<b>14. SCHEDULE VIIIB-2 (EADR, S8B2)</b>						
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			
<b>15. SCHEDULE XI (LAS/PBS Web - see page 108 of the LBR Instructions for detailed instructions)</b>						
15.1	Has the Schedule XI one page summary Excel file been e-mailed to OPB at OPB.UnitCostSummary@laspbs.state.fl.us? Agencies are required to generate this spreadsheet via the LAS/PBS Web. (Note: Pursuant to <i>section 216.023(4) (b), Florida Statutes</i> , the Legislature can reduce the funding level for any agency that does not provide this information.)	Y	Y			
15.2	Do the PDF files uploaded to the Florida Fiscal Portal for the LRPP and LBR match the Excel file e-mailed to OPB?	Y	Y			

Action		Program or Service (Budget Entity Codes)				
		790102000	79010300			
<b>AUDITS INCLUDED IN THE SCHEDULE XI REPORT:</b>						
15.3	Does the FY 2009-10 Actual (prior year) Expenditures in Column A36 reconcile to Column A01? ( <b>GENR, ACT1</b> )	Y	Y			
15.4	None of the executive direction, administrative support and information technology statewide activities (ACT0010 thru ACT0490) have output standards (Record Type 5)? ( <b>Audit #1 should print "No Activities Found"</b> )	Y	Y			
15.5	Does the Fixed Capital Outlay (FCO) statewide activity (ACT0210) only contain 08XXXX or 14XXXX appropriation categories? ( <b>Audit #2 should print "No Operating Categories Found"</b> )	N/A	N/A			
15.6	Has the agency provided the necessary demand (Record Type 5) for all activities which <u>should</u> appear in Section II? (Note: Audit #3 will identify those activities that do NOT have a Record Type '5' and have not been identified as a 'Pass Through' activity. These activities will be displayed in Section III with the 'Payment of Pensions, Benefits and Claims' activity and 'Other' activities. Verify if these activities should be displayed in Section III. If not, an output standard would need to be added for that activity and the Schedule XI submitted again.)	Y	Y			
15.7	Does Section I (Final Budget for Agency) and Section III (Total Budget for Agency) equal? ( <b>Audit #4 should print "No Discrepancies Found"</b> )	Y	Y			
TIP	If Section I and Section III have a small difference, it may be due to rounding and therefore will be acceptable.					
<b>16. MANUALLY PREPARED EXHIBITS &amp; SCHEDULES</b>						
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			
<b>AUDITS - GENERAL INFORMATION</b>						
TIP	Review <i>Section 6: Audits</i> of the LBR Instructions for a list of audits and their descriptions.					
TIP	Reorganizations may cause audit errors. Agencies must indicate that these errors are due to an agency reorganization to justify the audit error.					
<b>17. CAPITAL IMPROVEMENTS PROGRAM (CIP)</b>						
17.1	Are the CIP-2, CIP-3, CIP-A and CIP-B forms included?	Y	Y			
17.2	Are the CIP-4 and CIP-5 forms submitted when applicable (see CIP Instructions)?	N/A	N/A			
17.3	Do all CIP forms comply with CIP Instructions where applicable (see CIP Instructions)?	Y	Y			
17.4	Does the agency request include 5 year projections (Columns A03, A06, A07, A08 and A09)?	N/A	N/A			
17.5	Are the appropriate counties identified in the narrative?	N/A	N/A			
17.6	Has the CIP-2 form (Exhibit B) been modified to include the agency priority for each project and the modified form saved as a PDF document?	N/A	N/A			
TIP	Requests for Fixed Capital Outlay appropriations which are Grants and Aids to Local Governments and Non-Profit Organizations must use the Grants and Aids to Local Governments and Non-Profit Organizations - Fixed Capital Outlay major appropriation category (140XXX) and include the sub-title "Grants and Aids". These appropriations utilize a CIP-B form as justification.					

	Program or Service (Budget Entity Codes)			
Action	790102000	79010300		

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



## Fiscal Year 2011-12 LBR Technical Review Checklist (Rev. 10-13-2010)

Department/Budget Entity (Service): Business and Professional Regulation - Pari-Mutuel Wagering					
Agency Budget Officer/OPB Analyst Name: Lynn Smith/Eric Steinkuehler					
A "Y" indicates "YES" and is acceptable, an "N/J" indicates "NO/Justification Provided" - these require further explanation/justification (additional sheets can be used as necessary), and "TIPS" are other areas to consider.					
	Program or Service (Budget Entity Codes)				
Action	79100400	79100500			
<b>1. GENERAL</b>					
1.1	Are Columns A01, A02, A04, A05, A36, A90, A91, A92, A93, A94, A95, 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? <b>(CSDI)</b>	Y	Y		
1.2	Is Column A03 set to TRANSFER CONTROL for DISPLAY and UPDATE status for both the Budget and Trust Fund columns? <b>(CSDI)</b>	Y	Y		
<b>AUDITS:</b>					
1.3	Has Column A03 been copied to Column A12? Run the Exhibit B Audit Comparison Report to verify. <b>(EXBR, EXBA)</b>	Y	Y		
1.4	Has security been set correctly? <b>(CSDR, CSA)</b>	Y	Y		
<b>TIP</b>	The agency should prepare the budget request for submission in this order: 1) Lock columns as described above; 2) copy Column A03 to Column A12; and 3) set Column A12 column security to ALL for DISPLAY status and MANAGEMENT CONTROL for UPDATE status.				
<b>2. EXHIBIT A (EADR, EXA)</b>					
2.1	Is the budget entity authority and description consistent with the agency's LRPP and does it conform to the directives provided on page 56 of the LBR Instructions?	Y	Y		
2.2	Are the statewide issues generated systematically (estimated expenditures, nonrecurring expenditures, etc.) included?	Y	Y		
2.3	Are the issue codes and titles consistent with <i>Section 3</i> of the LBR Instructions (pages 15 through 27)? Do they clearly describe the issue?	Y	Y		
2.4	Have the coding guidelines in <i>Section 3</i> of the LBR Instructions (pages 15 through 27) been followed?	Y	Y		
<b>3. EXHIBIT B (EXBR, EXB)</b>					
3.1	Is it apparent that there is a fund shift and were the issues entered into LAS/PBS correctly? Check D-3A funding shift issue 340XXX0 - a unique deduct and unique add back issue should be used to ensure fund shifts display correctly on the LBR exhibits.	N/A	N/A		
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		
<b>AUDITS:</b>					
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? <b>(NACR, NAC - Report should print "No Negative Appropriation Categories Found")</b>	Y	Y		
3.4	Current Year Estimated Verification Comparison Report: Is Column A02 equal to Column B07? <b>(EXBR, EXBC - Report should print "Records Selected Net To Zero")</b>	Y	Y		
<b>TIP</b>	Generally look for and be able to fully explain significant differences between A02 and A03.				
<b>TIP</b>	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				

Action		Program or Service (Budget Entity Codes)				
		79100400	79100500			
TIP Requests for appropriations which require advance payment authority must use the sub-title "Grants and Aids". For advance payment authority to local units of government, the Aid to Local Government appropriation category (05XXXX) should be used. For advance payment authority to non-profit organizations or other units of state government, the Special Categories appropriation category (10XXXX) should be used.						
<b>4. EXHIBIT D (EADR, EXD)</b>						
4.1	Is the program component objective statement consistent with the agency LRPP, and does it conform to the directives provided on page 59 of the LBR Instructions?	Y	Y			
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.						
<b>5. EXHIBIT D-1 (ED1R, EXD1)</b>						
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? ( <b>ED1R, XD1A - Report should print "No Differences Found For This Report"</b> )	Y	Y			
5.3	FLAIR Expenditure/Appropriation Ledger Comparison Report: Is Column A01 less than Column B04? ( <b>EXBR, EXBB - Negative differences need to be corrected in Column A01.</b> )	Y	Y			
5.4	A01/State Accounts Disbursements and Carry Forward Comparison Report: Does Column A01 equal Column B08? ( <b>EXBR, EXBD - Differences need to be corrected in Column A01.</b> )	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.						
<b>6. EXHIBIT D-3 (ED3R, ED3) (Not required in the LBR - for analytical purposes only.)</b>						
6.1	Are issues appropriately aligned with appropriation categories?	Y	Y			
TIP Exhibit D-3 is no longer required in the budget submission but may be needed for this particular appropriation category/issue sort. Exhibit D-3 is also a useful report when identifying negative appropriation category problems.						
<b>7. EXHIBIT D-3A (EADR, ED3A)</b>						
7.1	Are the issue titles correct and do they clearly identify the issue? (See pages 15 through 31 of the LBR Instructions.)	Y	Y			
7.2	Does the issue narrative adequately explain the agency's request and is the explanation consistent with the LRPP? (See page 65 of the LBR Instructions.)	Y	Y			

Action		Program or Service (Budget Entity Codes)				
		79100400	79100500			
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?	N/A	N/A			
7.4	Are all issues with an IT component identified with a "Y" in the "IT COMPONENT?" field? If the issue contains an IT component, has that component been identified and documented?	N/A	N/A			
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 (OAD/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	N/A			
7.9	Does the issue narrative reference the specific county(ies) where applicable?	N/A	N/A			
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 <u>not</u> be deleted. ( <b>PLRR, PLMO</b> )	N/A	N/A			
7.12	Does the issue narrative include plans to satisfy additional space requirements when requesting additional positions?	N/A	N/A			
7.13	Has the agency included a 160XXX0 issue and 210XXXX and 260XXX0 issues as required for lump sum distributions?	N/A	N/A			
7.14	Do the amounts reflect appropriate FSI assignments?	Y	Y			
7.15	Do the issues relating to <i>salary and benefits</i> have an "A" in the fifth position of the issue code (XXXXAXX) and are they self-contained (not combined with other issues)? (See page 26 and 86 of the LBR Instructions.)	N/A	N/A			
7.16	Do the issues relating to <i>Information Technology (IT)</i> have a "C" in the sixth position of the issue code (36XXXXCX) and are the correct issue codes used (361XXC0, 362XXC0, 363XXC0, 17C01C0, 17C02C0, 17C03C0, 24010C0, 33001C0 or 55C01C0)?	N/A	N/A			
7.17	Are the issues relating to <i>major audit findings and recommendations</i> properly coded (4A0XXX0, 4B0XXX0)?	N/A	N/A			
<b>AUDIT:</b>						
7.18	Are all FSI's equal to '1', '2', '3', or '9'? There should be no FSI's equal to '0'. ( <b>EADR, FSIA - Report should print "No Records Selected For Reporting"</b> )	Y	Y			
7.19	Does the General Revenue for 160XXXX issues net to zero? ( <b>GENR, LBR1</b> )	N/A	N/A			
7.20	Does the General Revenue for 180XXXX issues net to zero? ( <b>GENR, LBR2</b> )	N/A	N/A			

Action		Program or Service (Budget Entity Codes)				
		79100400	79100500			
7.21	Does the General Revenue for 200XXXX issues net to zero? ( <b>GENR, LBR3</b> )	N/A	N/A			
7.22	Have FCO appropriations been entered into the nonrecurring column A04? ( <b>GENR, LBR4 - Report should print "No Records Selected For Reporting" or a listing of D-3A issue(s) assigned to Debt Service (IOE N) or in some cases State Capital Outlay - Public Education Capital Outlay (IOE L) )</b> )	N/A	N/A			
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.					
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TIP	Check BAPS to verify status of budget amendments. Check for reapprovals not picked up in the General Appropriations Act. Verify that Lump Sum appropriations in Column A02 do not appear in Column A03. Review budget amendments to verify that 160XXX0 issue amounts correspond accurately and net to zero for General Revenue funds.					
TIP	If an agency is receiving federal funds from another agency the FSI should = 9 (Transfer - Recipient of Federal Funds). The agency that originally receives the funds directly from the federal agency should use FSI = 3 (Federal Funds).					
TIP	If an appropriation made in the FY 2009-10 General Appropriations Act duplicates an appropriation made in substantive legislation, the agency must create a unique deduct nonrecurring issue to eliminate the duplicated appropriation. Normally this is taken care of through line item veto.					
<b>8. SCHEDULE I &amp; RELATED DOCUMENTS (SC1R, SC1 - Budget Entity Level or SC1R, SC1D - Department Level)</b>						
8.1	Has a separate department level Schedule I and supporting documents package been submitted by the agency?	Y	Y			
8.2	Has a Schedule I been completed in LAS/PBS for each operating trust fund?	Y	Y			
8.3	Have the appropriate Schedule I supporting documents been included for the trust funds (Schedule IA, Schedule IB, Schedule IC, and Reconciliation to Trial Balance)?	Y	Y			
8.4	Have the Examination of Regulatory Fees Part I and Part II forms been included for the applicable regulatory programs?	Y	Y			
8.5	Have the required detailed narratives been provided (5% trust fund reserve narrative; method for computing the distribution of cost for general management and administrative services narrative; adjustments narrative; revenue estimating methodology narrative)?	Y	Y			
8.6	Has the Inter-Agency Transfers Reported on Schedule I form been included as applicable for transfers totaling \$100,000 or more for the fiscal year?	Y	Y			
8.7	If the agency is scheduled for the annual trust fund review this year, have the Schedule ID and applicable draft legislation been included for recreation, modification or termination of existing trust funds?	N/A	N/A			
8.8	If the agency is scheduled for the annual trust fund review this year, have the necessary trust funds been requested for creation pursuant to section 215.32(2)(b), Florida Statutes - including the Schedule ID and applicable legislation?	N/A	N/A			

Action		Program or Service (Budget Entity Codes)				
		79100400	79100500			
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?	N/A	N/A			
8.15	Are anticipated grants included and based on the state fiscal year (rather than federal fiscal year)?	N/A	N/A			
8.16	Are the Schedule I revenues consistent with the FSI's reported in the Exhibit D-3A?	Y	Y			
8.17	If applicable, are nonrecurring revenues entered into Column A04?	N/A	N/A			
8.18	Has the agency certified the revenue estimates in columns A02 and A03 to be the latest and most accurate available? 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?	N/A	N/A			
8.20	Are appropriate service charge nonoperating amounts included in Section II?	Y	Y			
8.21	Are nonoperating expenditures to other budget entities/departments cross-referenced accurately?	Y	Y			
8.22	Do transfers balance between funds (within the agency as well as between agencies)? (See also 8.6 for required transfer confirmation of amounts totaling \$100,000 or more.)	Y	Y			
8.23	Are nonoperating expenditures recorded in Section II and adjustments recorded in Section III?	Y	Y			
8.24	Are prior year September operating reversions appropriately shown in column A01?	Y	Y			
8.25	Are current year September operating reversions appropriately shown in column A02?	Y	Y			
8.26	Does the Schedule IC properly reflect the unreserved fund balance for each trust fund as defined by the LBR Instructions, and is it reconciled to the agency accounting records?	Y	Y			
8.27	Does Column A01 of the Schedule I accurately represent the actual prior year accounting data as reflected in the agency accounting records, and is it provided in sufficient detail for analysis?	Y	Y			
8.28	Does Line I of Column A01 (Schedule I) equal Line K of the Schedule IC?	Y	Y			
<b>AUDITS:</b>						
8.29	Is Line I a positive number? (If not, the agency must adjust the budget request to eliminate the deficit).	Y	Y			

Action		Program or Service (Budget Entity Codes)				
		79100400	79100500			
8.30	Is the June 30 Adjusted Unreserved Fund Balance (Line I) equal to the July 1 Unreserved Fund Balance (Line A) of the following year? ( <b>SC1R, SC1A - Report should print "No Discrepancies Exist For This Report"</b> )	Y	Y			
8.31	Has a Department Level Reconciliation been provided for each trust fund and does Line A of the Schedule I equal the CFO amount? If not, the agency must correct Line A. ( <b>SC1R, DEPT</b> )	Y	Y			
TIP	The Schedule I is the most reliable source of data concerning the trust funds. It is very important that this schedule is as accurate as possible					
TIP	Determine if the agency is scheduled for trust fund review. (See page 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.					
<b>9. SCHEDULE II (PSCR, SC2)</b>						
AUDIT:						
9.1	Is the pay grade minimum for salary rate utilized for positions in segments 2 and 3? ( <b>BRAR, BRAA - Report should print "No Records Selected For This Request"</b> ) Note: Amounts other than the pay grade minimum should be fully justified in the D-3A issue narrative. (See <i>Base Rate Audit</i> on page 157 of the LBR Instructions.)	N/J	N/J			
<b>10. SCHEDULE III (PSCR, SC3)</b>						
10.1	Is the appropriate lapse amount applied in Segment 3? (See page 87 of the LBR Instructions.)	N/A	N/A			
10.2	Are amounts in <i>Other Salary Amount</i> appropriate and fully justified? (See page 94 of the LBR Instructions for appropriate use of the OAD transaction.) Use <b>OADI</b> or <b>OADR</b> to identify agency other salary amounts requested.	Y	N/A			
<b>11. SCHEDULE IV (EADR, SC4)</b>						
11.1	Are the correct Information Technology (IT) issue codes used?	N/A	N/A			
TIP	If IT issues are not coded correctly (with "C" in 6th position), they will not appear in the Schedule IV.					
<b>12. SCHEDULE VIIIA (EADR, SC8A)</b>						
12.1	Is there only one #1 priority, one #2 priority, one #3 priority, etc. reported on the Schedule VIII-A? Are the priority narrative explanations adequate?	Y	Y			
<b>13. SCHEDULE VIIIB-1 (EADR, S8B1)</b>						
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			
<b>14. SCHEDULE VIIIB-2 (EADR, S8B2)</b>						
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			
<b>15. SCHEDULE XI (LAS/PBS Web - see page 108 of the LBR Instructions for detailed instructions)</b>						
15.1	Has the Schedule XI one page summary Excel file been e-mailed to OPB at OPB.UnitCostSummary@laspbs.state.fl.us? Agencies are required to generate this spreadsheet via the LAS/PBS Web. (Note: Pursuant to <i>section 216.023(4) (b), Florida Statutes</i> , the Legislature can reduce the funding level for any agency that does not provide this information.)	Y	Y			
15.2	Do the PDF files uploaded to the Florida Fiscal Portal for the LRPP and LBR match the Excel file e-mailed to OPB?	Y	Y			

Action		Program or Service (Budget Entity Codes)				
		79100400	79100500			
<b>AUDITS INCLUDED IN THE SCHEDULE XI REPORT:</b>						
15.3	Does the FY 2009-10 Actual (prior year) Expenditures in Column A36 reconcile to Column A01? ( <b>GENR, ACT1</b> )	Y	Y			
15.4	None of the executive direction, administrative support and information technology statewide activities (ACT0010 thru ACT0490) have output standards (Record Type 5)? ( <b>Audit #1 should print "No Activities Found"</b> )	Y	Y			
15.5	Does the Fixed Capital Outlay (FCO) statewide activity (ACT0210) only contain 08XXXX or 14XXXX appropriation categories? ( <b>Audit #2 should print "No Operating Categories Found"</b> )	N/A	N/A			
15.6	Has the agency provided the necessary demand (Record Type 5) for all activities which <u>should</u> appear in Section II? (Note: Audit #3 will identify those activities that do NOT have a Record Type '5' and have not been identified as a 'Pass Through' activity. These activities will be displayed in Section III with the 'Payment of Pensions, Benefits and Claims' activity and 'Other' activities. Verify if these activities should be displayed in Section III. If not, an output standard would need to be added for that activity and the Schedule XI submitted again.)	Y	Y			
15.7	Does Section I (Final Budget for Agency) and Section III (Total Budget for Agency) equal? ( <b>Audit #4 should print "No Discrepancies Found"</b> )	Y	Y			
TIP	If Section I and Section III have a small difference, it may be due to rounding and therefore will be acceptable.					
<b>16. MANUALLY PREPARED EXHIBITS &amp; SCHEDULES</b>						
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			
<b>AUDITS - GENERAL INFORMATION</b>						
TIP	Review <i>Section 6: Audits</i> of the LBR Instructions for a list of audits and their descriptions.					
TIP	Reorganizations may cause audit errors. Agencies must indicate that these errors are due to an agency reorganization to justify the audit error.					
<b>17. CAPITAL IMPROVEMENTS PROGRAM (CIP)</b>						
17.1	Are the CIP-2, CIP-3, CIP-A and CIP-B forms included?	Y	Y			
17.2	Are the CIP-4 and CIP-5 forms submitted when applicable (see CIP Instructions)?	N/A	N/A			
17.3	Do all CIP forms comply with CIP Instructions where applicable (see CIP Instructions)?	Y	Y			
17.4	Does the agency request include 5 year projections (Columns A03, A06, A07, A08 and A09)?	N/A	N/A			
17.5	Are the appropriate counties identified in the narrative?	N/A	N/A			
17.6	Has the CIP-2 form (Exhibit B) been modified to include the agency priority for each project and the modified form saved as a PDF document?	N/A	N/A			
TIP	Requests for Fixed Capital Outlay appropriations which are Grants and Aids to Local Governments and Non-Profit Organizations must use the Grants and Aids to Local Governments and Non-Profit Organizations - Fixed Capital Outlay major appropriation category (140XXX) and include the sub-title "Grants and Aids". These appropriations utilize a CIP-B form as justification.					

	Program or Service (Budget Entity Codes)			
Action	79100400	79100500		

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



## Fiscal Year 2011-12 LBR Technical Review Checklist (Rev. 10-13-2010)

Department/Budget Entity (Service): Business and Professional Regulation - Professional Regulation					
Agency Budget Officer/OPB Analyst Name: Lynn Smith/Eric Steinkuehler					
A "Y" indicates "YES" and is acceptable, an "N/J" indicates "NO/Justification Provided" - these require further explanation/justification (additional sheets can be used as necessary), and "TIPS" are other areas to consider.					
Action	Program or Service (Budget Entity Codes)				
	79050100	79050400	79050500	79050600	
<b>1. GENERAL</b>					
1.1	Are Columns A01, A02, A04, A05, A36, A90, A91, A92, A93, A94, A95, 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? <b>(CSDI)</b>	Y	Y	Y	Y
1.2	Is Column A03 set to TRANSFER CONTROL for DISPLAY and UPDATE status for both the Budget and Trust Fund columns? <b>(CSDI)</b>	Y	Y	Y	Y
<b>AUDITS:</b>					
1.3	Has Column A03 been copied to Column A12? Run the Exhibit B Audit Comparison Report to verify. <b>(EXBR, EXBA)</b>	Y	Y	Y	Y
1.4	Has security been set correctly? <b>(CSDR, CSA)</b>	Y	Y	Y	Y
<b>TIP</b>	The agency should prepare the budget request for submission in this order: 1) Lock columns as described above; 2) copy Column A03 to Column A12; and 3) set Column A12 column security to ALL for DISPLAY status and MANAGEMENT CONTROL for UPDATE status.				
<b>2. EXHIBIT A (EADR, EXA)</b>					
2.1	Is the budget entity authority and description consistent with the agency's LRPP and does it conform to the directives provided on page 56 of the LBR Instructions?	Y	Y	Y	Y
2.2	Are the statewide issues generated systematically (estimated expenditures, nonrecurring expenditures, etc.) included?	Y	Y	Y	Y
2.3	Are the issue codes and titles consistent with <i>Section 3</i> of the LBR Instructions (pages 15 through 27)? Do they clearly describe the issue?	Y	Y	Y	Y
2.4	Have the coding guidelines in <i>Section 3</i> of the LBR Instructions (pages 15 through 27) been followed?	Y	Y	Y	Y
<b>3. EXHIBIT B (EXBR, EXB)</b>					
3.1	Is it apparent that there is a fund shift and were the issues entered into LAS/PBS correctly? Check D-3A funding shift issue 340XXX0 - a unique deduct and unique add back issue should be used to ensure fund shifts display correctly on the LBR exhibits.	NA	NA	NA	NA
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
<b>AUDITS:</b>					
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? <b>(NACR, NAC - Report should print "No Negative Appropriation Categories Found")</b>	Y	Y	Y	Y
3.4	Current Year Estimated Verification Comparison Report: Is Column A02 equal to Column B07? <b>(EXBR, EXBC - Report should print "Records Selected Net To Zero")</b>	Y	Y	Y	Y
<b>TIP</b>	Generally look for and be able to fully explain significant differences between A02 and A03.				
<b>TIP</b>	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				

Action		Program or Service (Budget Entity Codes)				
		79050100	79050400	79050500	79050600	
TIP Requests for appropriations which require advance payment authority must use the sub-title "Grants and Aids". For advance payment authority to local units of government, the Aid to Local Government appropriation category (05XXXX) should be used. For advance payment authority to non-profit organizations or other units of state government, the Special Categories appropriation category (10XXXX) should be used.						
<b>4. EXHIBIT D (EADR, EXD)</b>						
4.1	Is the program component objective statement consistent with the agency LRPP, and does it conform to the directives provided on page 59 of the LBR Instructions?	Y	Y	Y	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.						
<b>5. EXHIBIT D-1 (ED1R, EXD1)</b>						
5.1	Are all object of expenditures positive amounts? (This is a manual check.)	Y	Y	Y	Y	
AUDITS:						
5.2	Do the fund totals agree with the object category totals within each appropriation category? ( <b>ED1R, XD1A - Report should print "No Differences Found For This Report"</b> )	Y	Y	Y	Y	
5.3	FLAIR Expenditure/Appropriation Ledger Comparison Report: Is Column A01 less than Column B04? ( <b>EXBR, EXBB - Negative differences need to be corrected in Column A01.</b> )	Y	Y	Y	Y	
5.4	A01/State Accounts Disbursements and Carry Forward Comparison Report: Does Column A01 equal Column B08? ( <b>EXBR, EXBD - Differences need to be corrected in Column A01.</b> )	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.						
<b>6. EXHIBIT D-3 (ED3R, ED3) (Not required in the LBR - for analytical purposes only.)</b>						
6.1	Are issues appropriately aligned with appropriation categories?	Y	Y	Y	Y	
TIP Exhibit D-3 is no longer required in the budget submission but may be needed for this particular appropriation category/issue sort. Exhibit D-3 is also a useful report when identifying negative appropriation category problems.						
<b>7. EXHIBIT D-3A (EADR, ED3A)</b>						
7.1	Are the issue titles correct and do they clearly identify the issue? (See pages 15 through 31 of the LBR Instructions.)	Y	NA	NA	NA	
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	NA	NA	NA	

Action		Program or Service (Budget Entity Codes)				
		79050100	79050400	79050500	79050600	
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?	NA	NA	NA	NA	
7.4	Are all issues with an IT component identified with a "Y" in the "IT COMPONENT?" field? If the issue contains an IT component, has that component been identified and documented?	NA	NA	NA	NA	
7.5	Does the issue narrative explain any variances from the Standard Expense and Human Resource Services Assessments package? Is the nonrecurring portion in the nonrecurring column? (See pages E-4 and E-5 of the LBR Instructions.)	Y	NA	NA	NA	
7.6	Does the salary rate request amount accurately reflect any new requests and are the amounts proportionate to the Salaries and Benefits request? Note: Salary rate should always be annualized.	Y	Y	Y	Y	
7.7	Does the issue narrative thoroughly explain/justify all Salaries and Benefits amounts entered into the Other Salary Amounts transactions (OADA/C)? Amounts entered into OAD are reflected in the Position Detail of Salaries and Benefits section of the Exhibit D-3A.	NA	NA	NA	NA	
7.8	Does the issue narrative include the Consensus Estimating Conference forecast, where appropriate?	NA	NA	NA	NA	
7.9	Does the issue narrative reference the specific county(ies) where applicable?	Y	NA	NA	NA	
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?	NA	NA	NA	NA	
7.11	When appropriate are there any 160XXX0 issues included to delete positions placed in reserve in the OPB Position and Rate Ledger (e.g. unfunded grants)? Note: Lump sum appropriations not yet allocated should <u>not</u> be deleted. ( <b>PLRR, PLMO</b> )	NA	NA	NA	NA	
7.12	Does the issue narrative include plans to satisfy additional space requirements when requesting additional positions?	Y	NA	NA	NA	
7.13	Has the agency included a 160XXX0 issue and 210XXXX and 260XXX0 issues as required for lump sum distributions?	NA	NA	NA	NA	
7.14	Do the amounts reflect appropriate FSI assignments?	Y	Y	Y	Y	
7.15	Do the issues relating to <i>salary and benefits</i> have an "A" in the fifth position of the issue code (XXXXAXX) and are they self-contained (not combined with other issues)? (See page 26 and 86 of the LBR Instructions.)	Y	Y	Y	Y	
7.16	Do the issues relating to <i>Information Technology (IT)</i> have a "C" in the sixth position of the issue code (36XXXXCX) and are the correct issue codes used (361XXC0, 362XXC0, 363XXC0, 17C01C0, 17C02C0, 17C03C0, 24010C0, 33001C0 or 55C01C0)?	NA	NA	NA	NA	
7.17	Are the issues relating to <i>major audit findings and recommendations</i> properly coded (4A0XXX0, 4B0XXX0)?	NA	NA	NA	NA	
<b>AUDIT:</b>						
7.18	Are all FSI's equal to '1', '2', '3', or '9'? There should be no FSI's equal to '0'. ( <b>EADR, FSIA - Report should print "No Records Selected For Reporting"</b> )	Y	Y	Y	Y	
7.19	Does the General Revenue for 160XXXX issues net to zero? ( <b>GENR, LBR1</b> )	NA	NA	NA	NA	
7.20	Does the General Revenue for 180XXXX issues net to zero? ( <b>GENR, LBR2</b> )	NA	NA	NA	NA	

Action		Program or Service (Budget Entity Codes)				
		79050100	79050400	79050500	79050600	
7.21	Does the General Revenue for 200XXXX issues net to zero? ( <b>GENR, LBR3</b> )	NA	NA	NA	NA	
7.22	Have FCO appropriations been entered into the nonrecurring column A04? ( <b>GENR, LBR4 - Report should print "No Records Selected For Reporting" or a listing of D-3A issue(s) assigned to Debt Service (IOE N) or in some cases State Capital Outlay - Public Education Capital Outlay (IOE L) )</b> )	NA	NA	NA	NA	
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.					
<b>8. SCHEDULE I &amp; RELATED DOCUMENTS (SC1R, SC1 - Budget Entity Level or SC1R, SC1D - Department Level)</b>						
8.1	Has a separate department level Schedule I and supporting documents package been submitted by the agency?	Y	Y	Y	Y	
8.2	Has a Schedule I been completed in LAS/PBS for each operating trust fund?	Y	Y	Y	Y	
8.3	Have the appropriate Schedule I supporting documents been included for the trust funds (Schedule IA, Schedule IB, Schedule IC, and Reconciliation to Trial Balance)?	Y	Y	Y	Y	
8.4	Have the Examination of Regulatory Fees Part I and Part II forms been included for the applicable regulatory programs?	Y	Y	NA	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	NA	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?	NA	NA	NA	NA	
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?	NA	NA	NA	NA	

Action		Program or Service (Budget Entity Codes)				
		79050100	79050400	79050500	79050600	
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?	NA	NA	NA	NA	
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?	NA	NA	NA	NA	
8.15	Are anticipated grants included and based on the state fiscal year (rather than federal fiscal year)?	NA	NA	NA	NA	
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	NA	NA	NA	
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	
8.22	Do transfers balance between funds (within the agency as well as between agencies)? (See also 8.6 for required transfer confirmation of amounts totaling \$100,000 or more.)	Y	Y	Y	Y	
8.23	Are nonoperating expenditures recorded in Section II and adjustments recorded in Section III?	Y	Y	Y	Y	
8.24	Are prior year September operating reversions appropriately shown in column A01?	Y	Y	Y	Y	
8.25	Are current year September operating reversions appropriately shown in column A02?	Y	Y	Y	Y	
8.26	Does the Schedule IC properly reflect the unreserved fund balance for each trust fund as defined by the LBR Instructions, and is it reconciled to the agency accounting records?	Y	Y	Y	Y	
8.27	Does Column A01 of the Schedule I accurately represent the actual prior year accounting data as reflected in the agency accounting records, and is it provided in sufficient detail for analysis?	Y	Y	Y	Y	
8.28	Does Line I of Column A01 (Schedule I) equal Line K of the Schedule IC?	Y	Y	Y	Y	
<b>AUDITS:</b>						
8.29	Is Line I a positive number? (If not, the agency must adjust the budget request to eliminate the deficit).	Y	Y	Y	Y	

Action		Program or Service (Budget Entity Codes)				
		79050100	79050400	79050500	79050600	
8.30	Is the June 30 Adjusted Unreserved Fund Balance (Line I) equal to the July 1 Unreserved Fund Balance (Line A) of the following year? <b>(SC1R, SC1A - Report should print "No Discrepancies Exist For This Report")</b>	Y	Y	Y	Y	
8.31	Has a Department Level Reconciliation been provided for each trust fund and does Line A of the Schedule I equal the CFO amount? If not, the agency must correct Line A. <b>(SC1R, DEPT)</b>	Y	Y	Y	Y	
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.					
<b>9. SCHEDULE II (PSCR, SC2)</b>						
AUDIT:						
9.1	Is the pay grade minimum for salary rate utilized for positions in segments 2 and 3? <b>(BRAR, BRAA - Report should print "No Records Selected For This Request")</b> Note: Amounts other than the pay grade minimum should be fully justified in the D-3A issue narrative. (See <i>Base Rate Audit</i> on page 157 of the LBR Instructions.)	N/J	Y	Y	Y	
<b>10. SCHEDULE III (PSCR, SC3)</b>						
10.1	Is the appropriate lapse amount applied in Segment 3? (See page 87 of the LBR Instructions.)	Y	NA	NA	NA	
10.2	Are amounts in <i>Other Salary Amount</i> appropriate and fully justified? (See page 94 of the LBR Instructions for appropriate use of the OAD transaction.) Use <b>OADI</b> or <b>OADR</b> to identify agency other salary amounts requested.	NA	NA	NA	NA	
<b>11. SCHEDULE IV (EADR, SC4)</b>						
11.1	Are the correct Information Technology (IT) issue codes used?	NA	NA	NA	NA	
TIP	If IT issues are not coded correctly (with "C" in 6th position), they will not appear in the Schedule IV.					
<b>12. SCHEDULE VIIIA (EADR, SC8A)</b>						
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	
<b>13. SCHEDULE VIIIB-1 (EADR, S8B1)</b>						
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	
<b>14. SCHEDULE VIIIB-2 (EADR, S8B2)</b>						
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	
<b>15. SCHEDULE XI (LAS/PBS Web - see page 108 of the LBR Instructions for detailed instructions)</b>						
15.1	Has the Schedule XI one page summary Excel file been e-mailed to OPB at OPB.UnitCostSummary@laspbs.state.fl.us? Agencies are required to generate this spreadsheet via the LAS/PBS Web. (Note: Pursuant to <i>section 216.023(4)(b), Florida Statutes</i> , the Legislature can reduce the funding level for any agency that does not provide this information.)	Y	Y	Y	Y	
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	

Action	Program or Service (Budget Entity Codes)				
	79050100	79050400	79050500	79050600	
<b>AUDITS INCLUDED IN THE SCHEDULE XI REPORT:</b>					
15.3 Does the FY 2009-10 Actual (prior year) Expenditures in Column A36 reconcile to Column A01? ( <b>GENR, ACT1</b> )	Y	Y	Y	Y	
15.4 None of the executive direction, administrative support and information technology statewide activities (ACT0010 thru ACT0490) have output standards (Record Type 5)? ( <b>Audit #1 should print "No Activities Found"</b> )	Y	Y	Y	Y	
15.5 Does the Fixed Capital Outlay (FCO) statewide activity (ACT0210) only contain 08XXXX or 14XXXX appropriation categories? ( <b>Audit #2 should print "No Operating Categories Found"</b> )	NA	NA	NA	NA	
15.6 Has the agency provided the necessary demand (Record Type 5) for all activities which <u>should</u> appear in Section II? (Note: Audit #3 will identify those activities that do NOT have a Record Type '5' and have not been identified as a 'Pass Through' activity. These activities will be displayed in Section III with the 'Payment of Pensions, Benefits and Claims' activity and 'Other' activities. Verify if these activities should be displayed in Section III. If not, an output standard would need to be added for that activity and the Schedule XI submitted again.)	Y	Y	Y	Y	
15.7 Does Section I (Final Budget for Agency) and Section III (Total Budget for Agency) equal? ( <b>Audit #4 should print "No Discrepancies Found"</b> )	Y	Y	Y	Y	
<b>TIP</b> If Section I and Section III have a small difference, it may be due to rounding and therefore will be acceptable.					
<b>16. MANUALLY PREPARED EXHIBITS &amp; SCHEDULES</b>					
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	
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	
<b>AUDITS - GENERAL INFORMATION</b>					
<b>TIP</b> Review <i>Section 6: Audits</i> of the LBR Instructions for a list of audits and their descriptions.					
<b>TIP</b> Reorganizations may cause audit errors. Agencies must indicate that these errors are due to an agency reorganization to justify the audit error.					
<b>17. CAPITAL IMPROVEMENTS PROGRAM (CIP)</b>					
17.1 Are the CIP-2, CIP-3, CIP-A and CIP-B forms included?	Y	Y	Y	Y	
17.2 Are the CIP-4 and CIP-5 forms submitted when applicable (see CIP Instructions)?	NA	NA	NA	NA	
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)?	NA	NA	NA	NA	
17.5 Are the appropriate counties identified in the narrative?	NA	NA	NA	NA	
17.6 Has the CIP-2 form (Exhibit B) been modified to include the agency priority for each project and the modified form saved as a PDF document?	NA	NA	NA	NA	
<b>TIP</b> 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.					

	Program or Service (Budget Entity Codes)				
Action	79050100	79050400	79050500	79050600	

**18. FLORIDA FISCAL PORTAL**

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