

Office of the Secretary Charlie Liem, Secretary 1940 North Monroe Street Tallahassee, Florida/32399-1000 Phone: 850.413.0755 • Fax: 850.921.4094

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



Charlie Crist

Governor

Charlie Liem

Secretary

Legislative Budget Request FY 2011 - 2012

Department Level Exhibits and Schedules



Schedule IV-B

Schedule IV-B Cover S	heet a	and Agency Project Approval
Agency: Department of Business Professional Regulation	and	Schedule IV-B Submission Date: October 5, 2010
Project Name: LicenseEase Softwa Upgrade to Versa: Regulation	re	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	e, Phone #, and E-mail address):
Terry L. Kester, 850-921-5392, Te	erry.Ke	ester@dbpr.state.fl.us
AGENCY A	PPROV	VAL SIGNATURES
request. I have reviewed the esti Schedule IV-B and believe the pi	mated ropose d cost	IV-B in support of our legislative budget d costs and benefits documented in the ed solution can be delivered within the ts to achieve the described benefits. I ned 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	e, Phone #, and E-mail address):
Business Need:	N/A	
Cost Benefit Analysis:	N/A	
Risk Analysis:	Terry K	Kester, 850-821-5392, <u>Terry.Kester@dbpr.state.fl.u</u> :
Technology Planning:		Kester, 850-821-5392, <u>Terry.Kester@dbpr.state.fl.u</u>
Project Planning:		Kester, 850-821-5392, Terry.Kester@dbpr.state.fl.us

Schedule IV-B Cover S	heet a	nd Agency	Project Approval		
Agency: Department of Business and Professional Regulation Schedule IV-B Submission Date: October 5, 2010			-B Submission Date:		
Project Name: LicenseEase Softwa Upgrade to Versa: Regulation	ire	Is this proje	ect included in the Agency's		
opgrade to versa. Regulation			Ves No		
TX_ 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	d E-mail address):		
Terry L. Kester, 850-921-5392, <u>Ter</u>	ry.Kest	er@dbpr.sta	te.fl.us		
AGENCY A	PPROV	AL SIGNATU	RES		
request. I have reviewed the esti Schedule IV-B and believe the p estimated time for the estimate	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:		
(1/V):			in liels		
Printed Name: Charlie Liem	S .		10/15/10		
Agency Chief Information Officer:			Date:		
Jen L Kester			10-7-10		
Printed Name: Terry L. Kester			Data		
Budget Officer: Sanct Paramore Printed Name Janet Parramore	e		Date: 10/11/10		
Planning Officer:			Date:		
			6.		
Printed Name:			1000		
Project Sponsor:			Date:		
Printed Name:					
Schedule IV-B Preparers (Name	, Phone #, a	nd E-mail address):		
Business Need:	N/A				
Cost Benefit Analysis:	N/A		b ;		
Risk Analysis:	Terry K	Gester, 850-821-	5392, Terry.Kester@dbpr.state.fl.us		
Technology Planning:	Terry K	Cester, 850-821-	5392, Terry.Kester@dbpr.state.fl.us		
Project Planning:	Terry K	ester, 850-821-	5392, Terry.Kester@dbpr.state.fl.us		

	Project	LicenseE	Ease Software Upgrade to	Versa: Regulation
	Agency		DBPR	
FY 20°	FY 2011-12 LBR Issue Code: FY 2011-12 LBR Issue T		Issue Title:	
	Issue Code		LicenseEase Softw	The second secon
Ri	Risk Assessment Contact Info (Name, Phone #, and E-mail Addr Terry L. Kester, 850-921-5392, Terry.Kester@dbpr.state.fl.us			
Execu	Executive Sponsor Charlie Liem Project Manager Michelle Milnes			ate.ii.us
-				
Pr.	epared By		Kari McIlvaine	10/5/2010
Business Strategy strategy	•			•
Least Aligned	ist	Level o	of Project Risk	
H San	k		of Project Risk sk Area Breakdown	Most Risk
Aligned Lea	k P	roject Ris		
Aligned Lea Ris	k P	roject Ris	sk Area Breakdown	Risk Risk
Aligned Lear Ris	k P R	roject Ris lisk Assess	sk Area Breakdown sment Areas	Risk Risk Exposure
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Aligned Lea Ris Strategic Technolo Organiza Commur Fiscal As Project O	R Assessment Ogy Exposure Itional Change Inication Asses Assessment Organization A	roject Ris	sk Area Breakdown sment Areas	Risk Risk Exposure LOW LOW LOW LOW LOW LOW LOW LOW LOW

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	Section 1 Strategic Area					
#	Criteria	Values	Answer			
1.01		0% to 40% Few or no objectives aligned	81% to 100% All or			
	agency's legal mission?	41% to 80% Some objectives aligned	nearly all objectives			
		81% to 100% All or nearly all objectives aligned	aligned			
1.02		Not documented or agreed to by stakeholders	D			
	and understood by all stakeholder groups?	Informal agreement by stakeholders	Documented with sign-or by stakeholders			
		Documented with sign-off by stakeholders				
1.03	Are the project sponsor, senior management,	Not or rarely involved	Project charter signed t			
	and other executive stakeholders actively	Most regularly attend executive steering committee meetings	executive sponsor and executive team actively			
	involved in meetings for the review and success of the project?	Project charter signed by executive sponsor and executive team actively engaged in steering committee meetings	engaged in steering committee meetings			
1.04	Has the agency documented its vision for how	Vision is not documented	是是自己的。他们是是不是一个。			
	changes to the proposed technology will	Vision is partially documented	Vision is completely documented			
	improve its business processes?	Vision is completely documented	documented			
1.05	Have all project business/program area	0% to 40% Few or none defined and documented	81% to 100% All or			
	requirements, assumptions, constraints, and	41% to 80% Some defined and documented	nearly all defined and			
	priorities been defined and documented?	81% to 100% All or nearly all defined and documented	documented			
1.06	Are all needed changes in law, rule, or policy identified and documented?	No changes needed				
		Changes unknown	No changes needed			
		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	Few or none				
	completion dates fixed by outside factors, e.g., state or federal law or funding restrictions?	Some	Few or none			
		All or nearly all				
1.08		Minimal or no external use or visibility				
	11	Moderate external use or visibility	Minimal or no externa			
		F: ttttt1:11:114:	use or visibility			
1.09	What is the internal (e.g. state agency)	Multiple agency or state enterprise visibility				
1.00	visibility of the proposed system or project?		Single agency-wide us			
	visibility of the proposed system of project:	Single agency-wide use or visibility	or visibility			
1 10	le this a multi-year project?	Use or visibility at division and/or bureau level only				
1.10	Is this a multi-year project?	Greater than 5 years				
		Between 3 and 5 years	1 year or less			
		Between 1 and 3 years	_			
		1 year or less				



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

Project: LicenseEase Software Upgrade to Versa: Regulation

The state of		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	Minimal changes to
		business processes Moderate changes to organization structure, staff or	
		business processes	organization structure, staff or business
	Implemented?	Minimal changes to organization structure, staff or business	processes structure
		processes structure	proceeds of details
3.02	Will this project impact essential business	Yes	
	processes?	No	No
3.03	Have all business process changes and	0% to 40% Few or no process changes defined and	
	process interactions been defined and	documented	81% to 100% All or
	documented?	41% to 80% Some process changes defined and	nearly all processes
		documented	defiined and documented
		81% to 100% All or nearly all processes defined and	
3.04	Has an Organizational Change Management	documented	ASSESS OF THE PROPERTY OF THE
3.04	Plan been approved for this project?	No	No
3.05	Will the agency's anticipated FTE count	Over 10% FTE count change	SPECIAL SINGER CONTRACTOR
	change as a result of implementing the	1% to 10% FTE count change	Less than 1% FTE coun
	project?	Less than 1% FTE count change	change
3.06	Will the number of contractors change as a	Over 10% contractor count change	Control of the contro
	result of implementing the project?	1 to 10% contractor count change	Less than 1% contractor
		Less than 1% contractor count change	count change
3.07	What is the expected level of change impact	Extensive change or new way of providing/receiving	LUBS ASSISTED BUT AND STREET BEST
	on the citizens of the State of Florida if the	services or information)	700/2 (New Art) 25
	project is successfully implemented?	Moderate changes	Minor or no changes
	N	Minor or no changes	
3.08	What is the expected change impact on other	Extensive change or new way of providing/receiving	
	state or local government agencies as a	services or information	
	result of implementing the project?	Moderate changes	Minor or no changes
		Minor or no changes	
3.09	Has the agency successfully completed a	No experience/Not recently (>5 Years)	
	project with similar organizational change	Recently completed project with fewer change requirements	1
	requirements?		Recently completed
		Recently completed project with similar change	project with greater
		requirements	change requirements
		Recently completed project with greater change	
		requirements	

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Agend	cy: Agency Name		Project: Project Name
640	A SECTION OF THE PARTY OF THE P	Section 4 Communication Area	
#	Criteria	Value Options	Answer
4.01	Has a documented Communication Plan been	Yes	Yes
	approved for this project?	No	165
4.02	Does the project Communication Plan promote the collection and use of feedback	Negligible or no feedback in Plan	
	from management, project team, and business stakeholders (including end users)?	Routine feedback in Plan	Proactive use of feedback in Plan
		Proactive use of feedback in Plan	
4.03	Have all required communication channels been identified and documented in the	Yes	V
	Communication Plan?	No	Yes
4.04	Are all affected stakeholders included in the	Yes	Vac
	Communication Plan?	No	Yes
4.05	Have all key messages been developed and documented in the Communication Plan?	Plan does not include key messages	0. 1
		Some key messages have been developed	Some key messages have been developed
		All or nearly all messages are documented	nave been developed
4.06	Have desired message outcomes and success measures been identified in the	Plan does not include desired messages outcomes and success measures	
	Communication Plan?	Success measures have been developed for some messages	All or nearly all messages have success measures
		All or nearly all messages have success measures	
4.07	Does the project Communication Plan identify	Yes	Vac
	and assign needed staff and resources?	No .	Yes

yen	cy: DBPR	Project: LicenseEase Software Upgra	ue to versa: Regulatio
#	Criteria	Section 5 Fiscal Area	
5.01	Has a documented Spending Plan been	Yes Values	Answer
0.01	approved for the entire project lifecycle?	No	Yes
5.02	Have all project expenditures been identified	0% to 40% None or few defined and documented	040/ 1- 4000/ 411
J.UZ	in the Spending Plan?	41% to 80% Some defined and documented	81% to 100% All or
	in the openang ran.	81% to 100% All or nearly all defined and documented	nearly all defined and documented
5.03	What is the estimated total cost of this project	Unknown	documented
J.UJ	What is the estimated total cost of this project over its entire lifecycle?	Greater than \$10 M	_
	over its critic medycle:	Between \$2 M and \$10 M	Between \$500K and
		Between \$500K and \$1,999,999	\$1,999,999
		Less than \$500 K	<u>.</u>
5.04	Is the cost estimate for this project based on	Yes	EXECUTE IN CONCUSSION OF THE OWNER, U.S.
5.04	quantitative analysis using a standards-based		No
	estimation model?	No] NO
5.05	What is the character of the cost estimates for	Detailed and rigorous (accurate within ±10%)	
	this project?	Order of magnitude – estimate could vary between 10-100%	Detailed and rigorous
	* *	Placeholder – actual cost may exceed estimate by more than	(accurate within ±10%
		100%	
5.06	Are funds available within existing agency	Yes	
	resources to complete this project?	No	- No
5.07	Will/should multiple state or local agencies	Funding from single agency	Funding from single
	help fund this project or system?	Funding from local government agencies	
		Funding from other state agencies	agency
5.08	If federal financial participation is anticipated	Neither requested nor received	DESTRUCTION OF
	as a source of funding, has federal approval	Requested but not received	Not onnlicable
	been requested and received?	Requested and received	Not applicable
		Not applicable	
5.09	Have all tangible and intangible benefits been	Project benefits have not been identified or validated	
	identified and validated as reliable and	Some project benefits have been identified but not validated	All or nearly all project
	achievable?	Most project benefits have been identified but not validated	benefits have been
		All or nearly all project benefits have been identified and validated	identified and validated
5.10	What is the benefit payback period that is	Within 1 year	
	defined and documented?	Within 3 years	
		Within 5 years	No payback
		More than 5 years	
		No payback	
5.11	Has the project procurement strategy been	Procurement strategy has not been identified and documented	\$ 00 1 1 11
	clearly determined and agreed to by affected stakeholders?	Stakeholders have not been consulted re: procurement strategy	Stakeholders have feviewed and approved
		Stakeholders have reviewed and approved the proposed procurement strategy	the proposed procurement strategy
5.12	What is the planned approach for acquiring	Time and Expense (T&E)	
	necessary products and solution services to	Firm Fixed Price (FFP)	Firm Fixed Price (FFP)
		Combination FFP and T&E	1

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IT Project Risk Assessment Tool

Schedule IV-B

Fiscal Year 2011-2012

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 o		
		Purchase all hardware and software at start of project to take advantage of one-time discounts	hardware and software is documented in the projec		
		Just-in-time purchasing of hardware and software is documented in the project schedule	schedule		
5.14	Has a contract manager been assigned to	No contract manager assigned			
	this project?	Contract manager is the procurement manager	Contract manager		
		Contract manager is the project manager	assigned is not the procurement manager or		
		Contract manager assigned is not the procurement manager or the project manager	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 and all all all all		
		Some selection criteria and outcomes have been defined and documented	All or nearly all selection criteria and expected outcomes have been		
		All or nearly all selection criteria and expected outcomes have been defined and documented	defined and documented		
5.17	Does the procurement strategy use a multi-	Procurement strategy has not been developed			
	stage evaluation process to progressively narrow the field of prospective vendors to the	Multi-stage evaluation not planned/used for procurement	Multi-stage evaluation not planned/used for		
	single, best qualified candidate?	Multi-stage evaluation and proof of concept or prototype planned/used to select best qualified vendor	procurement		
5.18	For projects with total cost exceeding \$10	Procurement strategy has not been developed			
	million, did/will the procurement strategy require a proof of concept or prototype as part	No, bid response did/will not require proof of concept or prototype	Not applicable		
	of the bid response?	Yes, bid response did/will include proof of concept or prototype	Not applicable		
		Not applicable			

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STATE OF THE OWNER, WHEN		ction 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	103	
6.02	Have all roles and responsibilities for the	None or few have been defined and documented		
	executive steering committee been clearly	Some have been defined and documented	All or nearly all have bee defined and documented	
	identified?	All or nearly all have been defined and documented	defined and documented	
6.03	Who is responsible for integrating project	Not yet determined	0 1 1 1 1	
	deliverables into the final solution?	Agency	System Integrator	
		System Integrator (contractor)	(contractor)	
6.04	How many project managers and project	3 or more		
	directors will be responsible for managing the	2	2	
	project?	1		
6.05	Has a project staffing plan specifying the	Needed staff and skills have not been identified	Staffing plan identifying	
	number of required resources (including	Some or most staff roles and responsibilities and needed	all staff roles,	
	project team, program staff, and contractors) and their corresponding roles, responsibilities	skills have been identified	responsibilities, and skill	
	and needed skill levels been developed?	Staffing plan identifying all staff roles, responsibilities, and	levels have been	
	and needed skill levels been developed :	skill levels have been documented	documented	
6.06		No experienced project manager assigned		
	fulltime to the project?	No, project manager is assigned 50% or less to project	Yes, experienced project	
		No, project manager assigned more than half-time, but less	manager dedicated full	
		than full-time to project		
		Yes, experienced project manager dedicated full-time, 100%		
6.07	Are qualified project management team	to project None		
0.0.	members dedicated full-time to the project	No, business, functional or technical experts dedicated 50%	Yes, business, functiona or technical experts dedicated full-time, 100% to project	
	Australia de la respectación de la companio del la companio de la companio del la companio de la companio del la companio de la companio del la compani	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		
	Does the agency have the necessary	Few or no staff from in-house resources		
80.0	knowledge, skills, and abilities to staff the		Mostly staffed from in	
0.08		Half of staff from in-house resources	Mostly started from in-	
o.U8	project team with in-house resources?	Mostly staffed from in-house resources	house resources	
	project team with in-house resources?	Mostly staffed from in-house resources Completely staffed from in-house resources		
	project team with in-house resources? Is agency IT personnel turnover expected to	Mostly staffed from in-house resources Completely staffed from in-house resources Minimal or no impact	house resources	
	project team with in-house resources?	Mostly staffed from in-house resources Completely staffed from in-house resources Minimal or no impact Moderate impact		
6.09	project team with in-house resources? Is agency IT personnel turnover expected to significantly impact this project?	Mostly staffed from in-house resources Completely staffed from in-house resources Minimal or no impact	house resources	
6.09	project team with in-house resources? Is agency IT personnel turnover expected to significantly impact this project? Does the project governance structure	Mostly staffed from in-house resources Completely staffed from in-house resources Minimal or no impact Moderate impact	house resources	
6.09	project team with in-house resources? Is agency IT personnel turnover expected to significantly impact this project? Does the project governance structure establish a formal change review and control	Mostly staffed from in-house resources Completely staffed from in-house resources Minimal or no impact Moderate impact Extensive impact	house resources	
6.09	project team with in-house resources? Is agency IT personnel turnover expected to significantly impact this project? Does the project governance structure establish a formal change review and control board to address proposed changes in	Mostly staffed from in-house resources Completely staffed from in-house resources Minimal or no impact Moderate impact Extensive impact	house resources Minimal or no impact	
6.09 6.10	project team with in-house resources? Is agency IT personnel turnover expected to significantly impact this project? Does the project governance structure establish a formal change review and control board to address proposed changes in project scope, schedule, or cost?	Mostly staffed from in-house resources Completely staffed from in-house resources Minimal or no impact Moderate impact Extensive impact Yes	house resources Minimal or no impact	
6.09 6.10	project team with in-house resources? Is agency IT personnel turnover expected to significantly impact this project? Does the project governance structure establish a formal change review and control board to address proposed changes in project scope, schedule, or cost? Are all affected stakeholders represented by	Mostly staffed from in-house resources Completely staffed from in-house resources Minimal or no impact Moderate impact Extensive impact Yes No No board has been established	house resources Minimal or no impact Yes	
6.09	project team with in-house resources? Is agency IT personnel turnover expected to significantly impact this project? Does the project governance structure establish a formal change review and control board to address proposed changes in project scope, schedule, or cost? Are all affected stakeholders represented by	Mostly staffed from in-house resources Completely staffed from in-house resources Minimal or no impact Moderate impact Extensive impact Yes No	house resources Minimal or no impact	

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

	Se		
#	Criteria	Values	Answer
7.11	Does the project schedule specify all project tasks, go/no-go decision points (checkpoints),	Yes	- No
	critical milestones, and resources?	No	No
7.12	Are formal project status reporting processes	No or informal processes are used for status reporting	Project team and
	documented and in place to manage and	Project team uses formal processes	executive steering committee use formal
	control this project?	Project team and executive steering committee use formal status reporting processes	status reporting
7.13	Are all necessary planning and reporting	No templates are available	
	templates, e.g., work plans, status reports, issues and risk management, available?	Some templates are available	 All planning and reporting templates are available
		All planning and reporting templates are available	
7.14	Has a documented Risk Management Plan	Yes	Voc
	been approved for this project?	No	Yes
7.15	Have all known project risks and corresponding mitigation strategies been	None or few have been defined and documented	24.04世纪1955年1968年1868
		Some have been defined and documented	All known risks and mitigation strategies have
	identified?	All known risks and mitigation strategies have been defined	been defined
7.16	Are standard change request, review and approval processes documented and in place	Yes	Yes
	for this project?	No	- res
7.17	Are issue reporting and management processes documented and in place for this	Yes	Yes
	project?	No	165

#	Criteria	ection 8 Project Complexity Area Values	Answer						
8.01	How complex is the proposed solution	Unknown at this time	Allewei						
	compared to the current agency systems?	More complex							
		Similar complexity	Similar complexity						
		Less complex	_						
8.02	Are the business users or end users	Single location							
	dispersed across multiple cities, counties,	3 sites or fewer	More than 3 sites						
	districts, or regions?	More than 3 sites							
8.03	Are the project team members dispersed	Single location							
	across multiple cities, counties, districts, or	3 sites or fewer	3 sites or fewer						
	regions?	More than 3 sites							
8.04	How many external contracting or consulting	No external organizations	(A) (B) (B) (B) (B) (B) (B) (B) (B) (B) (B						
	organizations will this project require?	1 to 3 external organizations	1 to 3 external						
		More than 3 external organizations	organizations						
8.05	What is the expected project team size?	Greater than 15							
		9 to 15	0 1 1 15						
		5 to 8	Greater than 15						
		Less than 5							
8.06	How many external entities (e.g., other	More than 4							
	agencies, community service providers, or	2 to 4							
	local government entities) will be impacted by	1	None						
	this project or system?	None							
1594	What is the impact of the project on state	Business process change in single division or bureau	Business process chang						
	operations?	Agency-wide business process change	in single division or						
		Statewide or multiple agency business process change	bureau						
8.08	Has the agency successfully completed a	Yes							
	similarly-sized project when acting as	No	Yes						
2.00	Systems Integrator?	per station de la maria de la compansa de la compa	Implementation requiring						
8.09	What type of project is this?	type of project is this? Infrastructure upgrade							
	*	Implementation requiring software development or purchasing commercial off the shelf (COTS) software	software development o purchasing commercial						
		Business Process Reengineering							
		Combination of the above	software						
110000000000000000000000000000000000000	Has the project manager successfully								
	managed similar projects to completion?	Lesser size and complexity	Similar size and						
		Similar size and complexity	complexity						
		Greater size and complexity							
8.11	Does the agency management have	No recent experience							
	experience governing projects of equal or	Lesser size and complexity	Similar size and						
	similar size and complexity to successful	Similar size and complexity	complexity						
	completion?	Greater size and complexity							



Department of Business and Professional Regulation Division of Technology

Upgrade to Versa: Regulation Project Charter

Prepared By: Michelle Milnes -

Date of Publication:

Version:



<u>Department Of Business and Professional Regulation</u> Division of Technology – Versa: Regulation Project Charter

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Department Of Business and Professional Regulation

Division of Technology - Versa: Regulation Project Charter

1 Executive Summary

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 inhouse 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

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



<u>Department Of Business and Professional Regulation</u> Division of Technology – Versa: Regulation Project Charter

- 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

Project Milestones
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
TOTAL	\$1,922,200

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	Could impact the availability of existing LicenseEase System	Develop a test and roll back plan for each step of the upgrade including the custom configuration and the COTS configuration
Key stakeholder availability	Could impact schedule if key individuals are not available	Essential to collaborate with the Stakeholders utilizing a well- coordinated plan
Lack of communication	 Could result in delays or negative perception from key stakeholders 	Identify stakeholders, determine level of communication, develop communication plan
Project does not receive necessary management attention and direction	 Project may not meet deadlines or may not succeed 	The stakeholders for the project will meet regularly. A full-time project manager for the project is required
The agency internal resources experienced in this technology are not sufficient to implement the project	External resources will be procured	Stakeholders will ensure that this project includes experienced external resources



<u>Department Of Business and Professional Regulation</u> Division of Technology – Versa: Regulation Project Charter

Risk	Consequence	Mitigation Strategy
The availability of DBPR personnel experienced in this technology	DBPR has personnel experienced with this technology; however, they may not be available to dedicate to the project	Evaluate staff positions; make project staffing recommendations based on current workload

7 Project Approach

7.1 Key Stakeholders

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

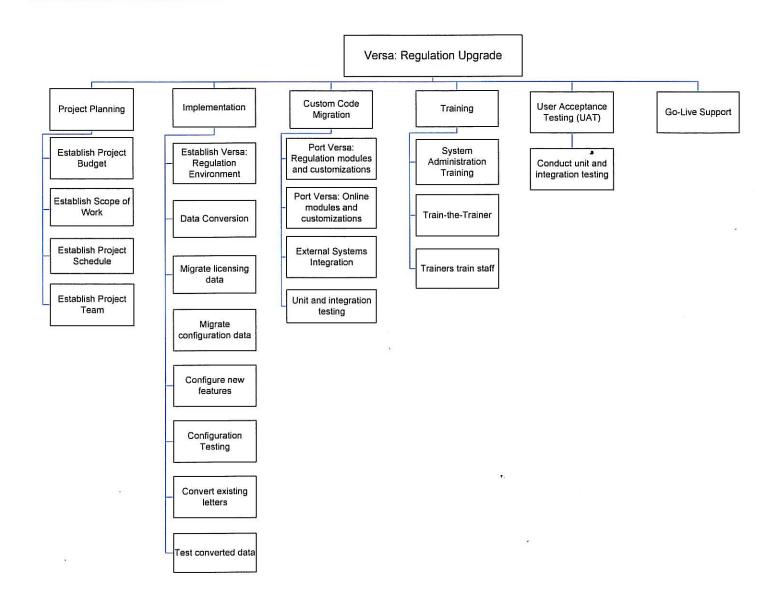
KEY STAKEHOLDERS	HOW ARE THEY AFFECTED OR HOW ARE THEY PARTIC PAITING?
Terry L. Kester, Chief Information Officer	Responsible for all computing staff and resources
Charlie Liem, Secretary	Responsible for the services provided to the citizens of the State of Florida
DBPR Senior Management	System Owners; 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



Department Of Business and Professional Regulation

Division of Technology - Versa: Regulation Project Charter

Work Breakdown Schedule





Department Of Business and Professional Regulation Division of Technology – Versa: Regulation Project Charter

Project Schedule 9

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

Task Name	Duration	Start Date	End Date
Upgrade to Versa: Regulation		TBD	6/30/12
Install Versa:Regulation			
Install base code in test environment	10 days		
Install of Batch Scheduler	10 days		1
Install Letter System	10 days		
Tech support for other DBPR environments (Training, Dev, Prod)	10 days		
Install and support Versa:Online	8		
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		1
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		
Custom Code Migration	1		
Port DBPR specific V:R modules and customizations	400 days		N K
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		
Train-the-Trainer Training			
Material preparation and planning	10 days		
Onsite VR application training	10 days		
Versa:Regulation documentation and training materials	10 days		
System Administration Training			
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		
User Acceptance Testing (UAT)	Ď.		
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		Ĩ
Go-Live			
Daily meetings with subject matter experts during initial month	20 days		



Department Of Business and Professional Regulation Division of Technology – Versa: Regulation Project Charter

Project Approvals

Department of Business and Professional Regulation

ale	10-15-10
Charlie Liem, Secretary, Executive Sponsor	* Date
Jen & Kenter	10-7-10

Terry L. Kester, Chief Information Officer, Project Sponsor

Produce	Produced 10/05/10			For I	For DBPR		Ву	By Terry L. Kester		7	FY 2011-12	
PROJECT BUDGET WORKSHEET 2 - OPERATIONAL COST IMPACT (INCURRED AFTER PROJECT IMPLEMENTA	EET 2 - OPERA	TIONAL CO	ST IMPACT (INCURRED A	FIER PRO.	JECT IMPLE		and / or PRO	TION and / or PRO-RATED IF PHASED ROLLOUT)	HASED ROLL	OUT)	
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	E	(5)	Incremental	(a)	(0)	incremental	(a)	0	Incremental	(e)	(b)	Incremental
OPERATIONAL COSTS	Current	Project	Effect of Project	Current	Project	Effect of Project	Current	Project	Effect of Project	Current	Project	Effect of Project
Salaries and Wages	\$0	Se	\$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	SO	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Software	\$0	\$0	0\$	\$0	\$0	0\$	\$0	Q\$	SO	\$0	\$0	SO
Data Processing	\$0	\$0	0\$	\$0	\$0	0\$	\$0	\$0	\$0	\$0	0\$	\$0
Data Processing Supplies	\$0	\$0	\$0	\$0	\$0	0\$	SO SO	\$0	\$0	\$0	\$0	\$0
Data Processing Comunications	\$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
TOTAL OPERATIONAL COSTS	\$300,000	\$1,922,200	\$1,622,200	\$300,000	\$300,000	\$0	\$300,000	\$300,000	\$0	\$300,000	\$300,000	\$0
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Page 2 of 2 Printed: 10/15/2010

		Item 2	Item 1	Other Costs	Item 2	Item 1	Misc Equipment	Item 2	Item 1	Software	Item 2	Item 1	Hardware	#FTES	Subcontractors	#FTEs	State Staff	Project Cost	PROJECT		
Progress Payments	Total Costs									的一种的对象的人们的一种的一种								Quarter	PROJECT BUDGET WORKSHEET 1 (Captures All Major Direct & Indirect Costs associated with Developm	Produced 10/5/10	Project Costs for LicenseEase Software Upgrade to Versa: Regulation
	\$924,840	\$0.00	\$0.00		\$0.00	\$0.00		\$0.00	\$0.00		\$0.00	\$0.00	TAXABLE PARTICIONS	\$924,840.00	Property of the last	\$0.00		Jul-Sep Planned	ET 1 (Capture	10/5/10	LicenseEase S
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	\$673,493	\$0.00	\$0.00		\$0.00	\$0.00		\$0.00	\$0.00		\$0.00	\$0.00		\$673,493.00	Self-femality and the self-self-self-self-self-self-self-self-	\$0.00		Oct-Dec Planned	Direct & Indir		le to Versa: Reg
	50	\$0.00	\$0.00		\$0.00	\$0.00	and the second	\$0.00	\$0.00		\$0.00	\$0.00		\$0.00		\$0.00		Oct-Dec Actual	ect Costs as	For	Julation
	\$140,933	\$0.00	\$0.00		\$0.00	\$0.00		\$0.00	\$0.00		\$0.00	\$0.00		\$140,933.00		\$0.00		Jan-March Planned	sociated wit	For DBPR	
Carry Revenies	\$0	\$0.00	\$0.00		\$0.00	\$0.00		\$0.00	\$0.00		\$0.00	\$0.00		\$0.00		\$0.00		Jan-March Actual	h Developme		
	\$182,934	\$0.00	\$0.00		\$0.00	\$0.00		\$0.00	\$0.00		\$0.00	\$0.00		\$182,934.00		\$0.00		April-June Planned	ent, Implementation, and Transition)	Ву	
	08	\$0.00	\$0.00		\$0.00	\$0.00		\$0.00	\$0.00		\$0.00	\$0.00		\$0.00		\$0.00		April-June Actual	itation, and T	By Terry L. Kester	
\$0	\$1,922,200	\$0	0\$		0\$	\$0		50	\$0		\$0	\$0		\$1,922,200		\$0		Budget to Date	ransition)		
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8 27	\$1,922,200	SO	\$0		\$0	\$0		\$0	\$0		\$0	\$0		\$1,922,200		ŞO		Variance to Date			

File: Schedule IV-B--ProjectBudget_FY11-12 8 x 10
Tab: Project Budget WorkSheet 1
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Project Costs for LicenseEase Software Upgrade to Versa: Regulation For **DBPR** FY 2011-12 Produced 10/5/10 By Terry L. Kester PROJECT BUDGET WORKSHEET 1 (Captures All Major Direct & Indirect Costs associated with Development, Implementation, and Transition) Quarter Jul-Sep Jul-Sep Oct-Dec Oct-Dec Jan-March Jan-March April-June April-June Budget Actual Variance Planned Actual Actual Planned Actual Project Cost Planned Planned Actual to Date to Date to Date State Staff # FTEs \$0.00 \$0.00 \$0.00 \$0.00 \$0.00 \$0.00 \$0.00 \$0.00 Subcontractors # FTEs \$924,840.00 \$0.00 \$673,493.00 \$0.00 \$140,933.00 \$0.00 \$182,934.00 \$1,922,200 \$0 \$0.00 \$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 \$924,840 \$0 \$673,493 \$140,933 \$0 \$1,922,200 \$0 \$1,922,200 **Total Costs** \$0 \$182,934 Progress Payments \$0

Project Costs for LicenseEase Software Upgrade to Versa: Regulation

FTE

Produced	I 10/05/10			For	DBPR		Ву	Terry L. Kester	r		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	
			(c) = (b)-(a)			(c) = (b)-(a)			(c) = (b)-(a)			(c) = (b)-(a)
	(a)	(b)	Incremental	(a)	(b)	Incremental	(a)	(b)	Incremental	(a)	(b)	Incremental
OPERATIONAL COSTS	Current	Project	Effect of Project	Current	Project	Effect of Project	Current	Project	Effect of Project	Current	Project	Effect of Project
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 Comunications	\$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
TOTAL OPERATIONAL COSTS	\$300,000	\$1,922,200	\$1,622,200	\$300,000	\$300,000	\$0	\$300,000	\$300,000	\$0	\$300,000	\$300,000	\$0

Project	LicenseEase Software Upgrade to Versa: Regulation						
Agency	DBPR						
FY 2011-12 LBR Issue Code: FY 2011-12 LBR Issue Tit							
Issue Code LicenseEase Software Upgra							
	Risk Assessment Contact Info (Name, Phone #, and E-mail Address):						
Terry L. Kester, 850-921-5392, Terry.Kester@dbpr.state.fl.us							
Executive Sponsor		Charlie Liem Michelle Milnes					
Project Manager			/2010				
Prepared By		Kali iviciivaine 10/3,	/2010				
	Risk Asse	essment Summary					
Least Risk	Level o	f Project Risk					
Pro	ject Ris	k Area Breakdown					
Ris	k Assess	ment Areas	Risk Exposure				
Strategic Assessment			LOW				
Technology Exposure As	sessment		LOW				
Organizational Change Management Assessment							
Communication Assessment							
Fiscal Assessment							
Project Organization Assessment							
Project Management Assessment LOW							
Project Complexity Assessment MEDIUM							
		Overall Project Risk	LOW				

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

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

	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 Moderate changes to organization structure, staff or business processes Minimal changes to organization structure, staff or business processes structure	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 41% to 80% Some process changes defined and documented 81% to 100% All or nearly all processes defined and documented	81% to 100% All or nearly all processes defiined 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 1% to 10% FTE count change Less than 1% FTE count change	Less than 1% FTE count change
3.06	Will the number of contractors change as a result of implementing the project?	Over 10% contractor count change 1 to 10% contractor count change Less than 1% contractor count change	Less than 1% contractor count change
3.07	What is the expected level of change impact on the citizens of the State of Florida if the project is successfully implemented?	Extensive change or new way of providing/receiving services or information) Moderate changes Minor or no changes	Minor or no changes
3.08	What is the expected change impact on other state or local government agencies as a result of implementing the project?	Extensive change or new way of providing/receiving services or information Moderate changes Minor or no changes	Minor or no changes
3.09	Has the agency successfully completed a project with similar organizational change requirements?	No experience/Not recently (>5 Years) Recently completed project with fewer change requirements Recently completed project with similar change requirements Recently completed project with greater change requirements	Recently completed project with greater change requirements

Agency: Agency Name Project: Project Name

	Section 4 Communication Area	
Criteria	Value Options	Answer
Has a documented Communication Plan been approved for this project?	Yes No	Yes
Does the project Communication Plan promote the collection and use of feedback	Negligible or no feedback in Plan	
from management, project team, and business stakeholders (including end users)?	Routine feedback in Plan	Proactive use of feedback in Plan
	Proactive use of feedback in Plan	
Have all required communication channels	Yes	Yes
Communication Plan?	No	163
Are all affected stakeholders included in the	Yes	Yes
Communication Plan?	No	100
Have all key messages been developed and	Plan does not include key messages	Some key messages
documented in the Communication Plan?	Some key messages have been developed	have been developed
	All or nearly all messages are documented	nave been developed
Have desired message outcomes and	Plan does not include desired messages outcomes and	
		All or nearly all messages
Communication Plan?	·	have success measures
Does the project Communication Plan identify	3 3	
		Yes
	Criteria Has a documented Communication Plan been approved for this project? Does the project Communication Plan promote the collection and use of feedback from management, project team, and business stakeholders (including end users)? Have all required communication channels been identified and documented in the Communication Plan? Are all affected stakeholders included in the Communication Plan? Have all key messages been developed and documented in the Communication Plan? Have desired message outcomes and success measures been identified in the Communication Plan?	Criteria Value Options Has a documented Communication Plan been approved for this project? Does the project Communication Plan promote the collection and use of feedback from management, project team, and business stakeholders (including end users)? Proactive use of feedback in Plan Yes No No Are all affected stakeholders included in the Communication Plan? Have all key messages been developed and documented in the Communication Plan? Have all key messages been developed and documented in the Communication Plan? Have desired message outcomes and success measures been identified in the Communication Plan? Base of the project Communication Plan identify Yes No Plan does not include key messages Some key messages have been developed All or nearly all messages are documented Plan does not include desired messages outcomes and success measures Success measures Success measures All or nearly all messages have success measures Does the project Communication Plan identify Yes

		Section 5 Fiscal Area	
#	Criteria	Values	Answer
5.01	Has a documented Spending Plan been approved for the entire project lifecycle?	Yes No	Yes
5.02	Have all project expenditures been identified	0% to 40% None or few defined and documented	81% to 100% All or
	in the Spending Plan?	41% to 80% Some defined and documented	nearly all defined and
		81% to 100% All or nearly all defined and documented	documented
5.03	What is the estimated total cost of this project	Unknown	
	over its entire lifecycle?	Greater than \$10 M	†
		Between \$2 M and \$10 M	Between \$500K and
		Between \$500K and \$1,999,999	\$1,999,999
		Less than \$500 K	†
5.04	Is the cost estimate for this project based on	Yes	
	quantitative analysis using a standards-based estimation model?	No	No
5.05	What is the character of the cost estimates for	Detailed and rigorous (accurate within ±10%)	Detailed and rigorous (accurate within ±10%
	this project?	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	Yes	No
	resources to complete this project?	No	
5.07	Will/should multiple state or local agencies	Funding from single agency	Funding from single agency
	help fund this project or system?	Funding from local government agencies	
		Funding from other state agencies	agonoj
5.08	If federal financial participation is anticipated	Neither requested nor received	
	as a source of funding, has federal approval	Requested but not received	Not applicable
	been requested and received?	Requested and received	Not applicable
		Not applicable	
5.09		Project benefits have not been identified or validated	
	identified and validated as reliable and	Some project benefits have been identified but not validated	All or nearly all project
	achievable?	Most project benefits have been identified but not validated	benefits have been
		All or nearly all project benefits have been identified and	identified and validated
		validated	
5.10	What is the benefit payback period that is	Within 1 year	
	defined and documented?	Within 3 years	
		Within 5 years	No payback
		More than 5 years	
		No payback	

Agenc	y: DBPR	Project: LicenseEase Software Upgrac	le 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 not been consulted re: procurement strategy	Stakeholders have reviewed and approved					
		Stakeholders have reviewed and approved the proposed procurement strategy	the proposed procuremen strategy					
5.12	What is the planned approach for acquiring necessary products and solution services to	Time and Expense (T&E)	E' E' LD ' (EED)					
	successfully complete the project?	Firm Fixed Price (FFP) Combination FFP and T&E	Firm Fixed Price (FFP)					
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					
		Purchase all hardware and software at start of project to take advantage of one-time discounts	hardware and software is documented in the project schedule					
		Just-in-time purchasing of hardware and software is documented in the project schedule	Scriedule					
5.14	Has a contract manager been assigned to this	No contract manager assigned						
	project?	Contract manager is the procurement manager	Contract manager assigned is not the					
		Contract manager is the project manager	procurement manager or					
		Contract manager assigned is not the procurement manager or the project manager	the project manager					
5.15	Has equipment leasing been considered for the project's large-scale computing	Yes	No					
	purchases?	No	NO					
5.16	Have all procurement selection criteria and	No selection criteria or outcomes have been identified	All or poorly all coloction					
	outcomes been clearly identified?	Some selection criteria and outcomes have been defined and documented	All or nearly all selection criteria and expected outcomes have been					
		All or nearly all selection criteria and expected outcomes have been defined and documented	defined and documented					
5.17	Does the procurement strategy use a multi-	Procurement strategy has not been developed	Mariat same sometimes and					
	stage evaluation process to progressively narrow the field of prospective vendors to the	Multi-stage evaluation not planned/used for procurement	Multi-stage evaluation not planned/used for					
	single, best qualified candidate?	Multi-stage evaluation and proof of concept or prototype planned/used to select best qualified vendor	procurement					
5.18	For projects with total cost exceeding \$10	Procurement strategy has not been developed						
	million, did/will the procurement strategy require a proof of concept or prototype as part	No, bid response did/will not require proof of concept or prototype						
	of the bid response?	Yes, bid response did/will include proof of concept or prototype	Not applicable					
		Not applicable						

Agency: DBPR Project: LicenseEase Software Upgrade to Versa: Regulation

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

Agency: DBPR Project: LicenseEase Software Upgrade to Versa: Regulation

Section 7 Project Management Area				
# 7.01	Criteria	Values	Answer	
7.01	Does the project management team use a standard commercially available project management methodology to plan, implement, and control the project?	No Project Management team will use the methodology selected by the systems integrator Yes	Yes	
7.02	For how many projects has the agency successfully used the selected project management methodology?	None 1-3 More than 3	More than 3	
7.03	How many members of the project team are proficient in the use of the selected project management methodology?	None Some All or nearly all	All or nearly all	
7.04	Have all requirements specifications been unambiguously defined and documented?	0% to 40% None or few have been defined and documented 41 to 80% Some have been defined and documented 81% to 100% All or nearly all have been defined and documented	81% to 100% All or nearly all have been defined and documented	
7.05	Have all design specifications been unambiguously defined and documented?	0% to 40% None or few have been defined and documented 41 to 80% Some have been defined and documented 81% to 100% All or nearly all have been defined and documented	81% to 100% All or nearly all have been defined and documented	
7.06	Are all requirements and design specifications traceable to specific business rules?	0% to 40% None or few are traceable 41 to 80% Some are traceable 81% to 100% All or nearly all requirements and specifications 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 Some deliverables and acceptance criteria have been defined and documented All or nearly all deliverables and acceptance criteria have been defined and documented	All or nearly all deliverables and acceptance criteria have been defined and documented	
7.08	Is written approval required from executive sponsor, business stakeholders, and project manager for review and sign-off of major project deliverables?	No sign-off required Only project manager signs-off Review and sign-off from the executive sponsor, business stakeholder, and project manager are required on all major project deliverables	Review and sign-off from the executive sponsor, business stakeholder, and project manager are required on all major project deliverables	
7.09	Has the Work Breakdown Structure (WBS) been defined to the work package level for all project activities?	0% to 40% None or few have been defined to the work package level 41 to 80% Some have been defined to the work package level 81% to 100% All or nearly all have been defined to the work package level	81% to 100% All or nearly all have been defined to the work package level	
7.10	Has a documented project schedule been approved for the entire project lifecycle?	Yes No	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 uses formal processes Project team and executive steering committee use formal status reporting processes	executive steering committee use formal status reporting	
7.13	Are all necessary planning and reporting templates, e.g., work plans, status reports, issues and risk management, available?	No templates are available Some templates are available All planning and reporting templates are available	All planning and reporting templates are available	
7.14	Has a documented Risk Management Plan been approved for this project?	Yes No	Yes	
7.15	Have all known project risks and corresponding mitigation strategies been	None or few have been defined and documented Some have been defined and documented	All known risks and mitigation strategies have	

Agency: DBPR

Project: LicenseEase Software Upgrade to Versa: Regulation

	Section 7 Project Management Area				
#	Answer				
	identified?	All known risks and mitigation strategies have been defined	been defined		
7.16 Are standard change request, review and approval processes documented and in pla		Yes	Yes		
	for this project?	No	163		
7.17	Are issue reporting and management processes documented and in place for this	Yes	Yes		
	'	No	103		

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	Unknown at this time			
	compared to the current agency systems?	More complex	Similar complexity		
		Similar complexity			
		Less complex			
8.02	Are the business users or end users	Single location			
	dispersed across multiple cities, counties,	3 sites or fewer	More than 3 sites		
	districts, or regions?	More than 3 sites			
8.03	Are the project team members dispersed	Single location			
	across multiple cities, counties, districts, or	3 sites or fewer	3 sites or fewer		
	regions?	More than 3 sites			
8.04	How many external contracting or consulting	No external organizations			
	organizations will this project require?	1 to 3 external organizations	1 to 3 external		
		More than 3 external organizations	organizations		
8.05	What is the expected project team size?	Greater than 15			
	, , , , , , , , , , , , , , , , , , ,	9 to 15			
		5 to 8	Greater than 15		
		Less than 5			
8.06	How many external entities (e.g., other agencies, community service providers, or local government entities) will be impacted by	More than 4			
0.00		2 to 4			
		1	None		
	this project or system?	None	_		
8.07	What is the impact of the project on state operations?		D 1		
0.07		Business process change in single division or bureau	Business process change		
	operations:	Agency-wide business process change	in single division or bureau		
0.00	II 4b	Statewide or multiple agency business process change	bureau		
8.08	Has the agency successfully completed a	Yes	Yes		
	similarly-sized project when acting as Systems Integrator?	No	= res		
8.09	What type of project is this?	Infrastructure upgrade	Implementation requiring		
		Implementation requiring software development or	software development or		
		purchasing commercial off the shelf (COTS) software	purchasing commercial		
		Business Process Reengineering	off the shelf (COTS)		
		Combination of the above	software		
8.10	Has the project manager successfully	No recent experience			
	managed similar projects to completion?	Lesser size and complexity	Similar size and		
		Similar size and complexity	complexity		
		Greater size and complexity			
8.11	Does the agency management have	No recent experience			
0.11	experience governing projects of equal or	Lesser size and complexity	Similar size and		
	similar size and complexity to successful	Similar size and complexity	complexity		
	completion?	Greater size and complexity			
		oreater size and complexity			



Department of Business and Professional Regulation Division of Technology

Upgrade to Versa: Regulation Project Charter

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<u>Department Of Business and Professional Regulation</u> Division of Technology – Versa: Regulation Project Charter

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1 Executive Summary

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 inhouse 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

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



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- 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

Project Milestones
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
TOTAL	\$1,922,200

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	Could impact the availability of existing LicenseEase System	Develop a test and roll back plan for each step of the upgrade including the custom configuration and the COTS configuration
Key stakeholder availability	 Could impact schedule if key individuals are not available 	Essential to collaborate with the Stakeholders utilizing a well- coordinated plan
Lack of communication	 Could result in delays or negative perception from key stakeholders 	 Identify stakeholders, determine level of communication, develop communication plan
Project does not receive necessary management attention and direction	 Project may not meet deadlines or may not succeed 	The stakeholders for the project will meet regularly. A full-time project manager for the project is required
The agency internal resources experienced in this technology are not sufficient to implement the project	External resources will be procured	Stakeholders will ensure that this project includes experienced external resources



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Risk	Consequence	Mitigation Strategy
The availability of DBPR personnel experienced in this technology	DBPR has personnel experienced with this technology; however, they may not be available to dedicate to the project	Evaluate staff positions; make project staffing recommendations based on current workload

7 Project Approach

7.1 Key Stakeholders

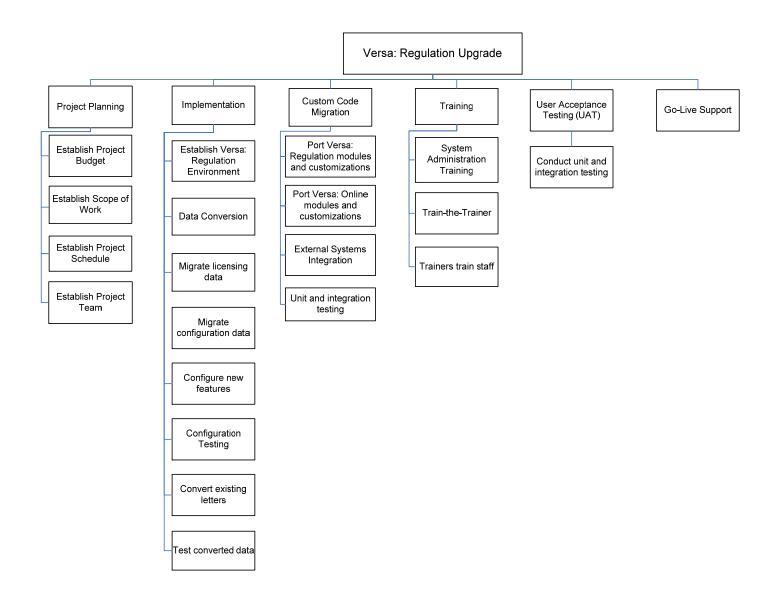
The individuals listed in the exhibit below are stakeholders in the project.

KEY STAKEHOLDERS	HOW ARE THEY AFFECTED OR HOW ARE THEY PARTIC PAITING?
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

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8 Work Breakdown Schedule





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9 Project Schedule

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

Task Name	Duration	Start Date	End Date
Upgrade to Versa: Regulation		TBD	6/30/12
Install Versa:Regulation			
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		
Install and support Versa:Online			
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		
Custom Code Migration	, .		
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		
Train-the-Trainer Training	-		
Material preparation and planning	10 days		
Onsite VR application training	10 days		
Versa:Regulation documentation and training materials	10 days		
System Administration Training			
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		
User Acceptance Testing (UAT)			
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		
Go-Live			
Daily meetings with subject matter experts during initial month	20 days		



<u>Department Of Business and Professional Regulation</u> Division of Technology – Versa: Regulation Project Charter

Project Approvals

Department of Business and Professional Regulation	
Charlie Liem, Secretary, Executive Sponsor	Date
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

Department of Business and Professional Regulation Dept/Agency: Terry L. Kester, Chief Information Officer Submitted by: 850-921-5392 Phone: October 15, 2010 Date submitted: **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) Internet Explorer Browser 7.0, 8.0 6 Microsoft Office Suite (Word, Excel, 7 Windows Operating Systems (XP) PowerPoint, Access) 8 3 Microsoft Project Software Hyland OnBase **SLS Programs** 4 McAfee AntiVirus Software 9 5 Adobe Acrobat 10 1. IT Service Definition 1.1. Who is the service provider? (Indicate all that apply) ■ Southwood Shared Resource Center X Central IT staff □ Program staff ■ Northwood Shared Resource Center ☐ Other state agency (non-primary data center) □ Northwest Regional Data Center ☐ Other External Service Provider (specify) 1.2. Who uses the service? (Indicate all that apply) X Agency staff (state employees or contractors) Employees or contractors from one or more additional state agencies External service providers □ Public (please explain in Question 5.3) 1.3. Please identify the number of users of this service. 1818 1.4. How many locations currently use desktop computing services? 2. Service Unique to Agency 2.1. Is a similar or identical IT service provided by another agency or external service provider? (Identical, Very Similar, No, Unknown) <u>Ide</u>ntical 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?

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X Yes

□ No

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

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

3.

4.

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.

								_					4
:	2.2.2.	If not	t, why d	oes your	agency ne	ed to mainta	in the	cu	rrent provider for	this IT s	ervice?		
IT S	ervice	e Leve	Is Requ	iired to S	Support B	Business Fu	nction	ıs					
3.1.	Has th	he ager	ncy spec	ified the	service lev	el requireme	nts for	th	nis IT Service?				
						Agreement(s))						
		X	-	_	reement(s	-	n doto	rr	nined and approve	d by the	donartn	nont	
	T£ v			-					service level requ	•	•	HEHL	
								_	•				1
	-						snea w	/itr	n all DBPR internal	busines	s units.		J
3.2.		_		•	Requireme								
	3.2.1.		•		•	. •			O M-F, 24/7)		<u>24/7</u>	7	
	3.2.2.	What	are the	impacts (on the age	ncy's busine	ss if th	ıe I	Desktop Service is	not ava	ilable?		_
	This	will ad	versely i	mpact da	y-to-day a	and strategic	functio	ons	5.				
:	3.2.3.	Are tl	here any	agency-	unique ser	vice requirer	ments?	1			Yes	X	No
		If yes	s, specif	/ (include	any appl	icable consti	itutiona	al,	statutory, or rule	require	ments)		
:	3.2.4.	What	are sec	urity requ	irements f	for this IT se	rvice?	(I	ndicate all that a	apply)			_
	χU	User ID)/Passwo	ord				A	Access through Int	ernet or	external	l netw	ork
					network or	nly	X	Δ	Access through Int	ernet wi	th secure	e encr	ypti
		_											
	3.2.5.	Are tl Servi		federal,	state, or a	gency privac	cy polic	ies	s or restrictions ap	plicable	to this I	Τ	
		X	Yes	<u> </u>	No								
	3.2	2.5.1.	If yes	s, please s	specify and	d describe:							
					•	st keep deskt st meet comp			vords private, mus andards.	t change	e their		
Hse	r/cue	tomer	satisfa	ction									
4.1.					orted to bu	ısiness stake	holder	·ς ر	or agency manage	ment			
1.1.	X	Yes		No	J. CCG (10 D)	asii icss stake	. Totaci	5 0	or agency manage				
	^		_		the freque	ency of renor	ts and	ho	ow they are provid	led:			

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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.

X Yes □ No

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

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

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

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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.

Ide	Identify any major hardware and commercial software associated with the Helpdesk Service:								
	Remedy Action Request System –								
	standardized help desk ticketing								
1	software	5							
2	Ghost	6							
3	Microsoft SMS	7							
4		8							
4		8							

6. IT Service Definition

6 1	Who is the	convice	provider2	(Indicate a	all that a	nn/1/)
b.I.	wno is the	service	provider?	(Indicate a	aii that ai	ועומס

- X Central IT staff
 □ Program staff
 □ Other state agency (non-primary data center)
 □ Other External Service Provider (specify)
 □ Southwood Shared Resource Center
 □ Northwest Regional Data Center
 □ Northwest Regional Data Center
- 6.2. Who uses the service? (Indicate all that apply)
 - X Agency staff (state employees or contractors)
 - Employees or contractors from one or more additional state agencies
 - External service providers
 - □ Public (please explain in Question 5.3)
- 6.3. Please identify the number of users of this service:

<u>1818</u>

- 6.4. How many locations currently host IT assets and resources used to provide helpdesk services? <u>5</u>
- 6.5. What communication channels are used for the service? (Indicate all that apply)

On-line self-serve On-line interactive

X Telephone/IVR X Face-to-face

v relephone/14K

X Remote desktop (e.g., PC Anywhere)

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

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IT Service Requirements Worksheet: IT Administration and Management Service

6.7	'. Please	identif\	the ma	ior IT	systems	or services	for which	the Heli	p Desk must	provide a	assistance:

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

X 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?

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

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

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

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)*5:30 pm M-F

 7:30 am-
 - 8.2.2. What are the impacts on the agency's business if the Help Desk service is not available?

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 X 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)

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

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

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

□ Ot	her
	Are there any federal, state, or agency privacy policies or restrictions applicable to this IT Service?
	□ Yes X No
8.2.6	5.1. If yes, please specify and describe:
User/custo	mer satisfaction
9.1. Are serv	vice level metrics reported to business stakeholders or agency management?
X	Yes □ No
:	If yes, briefly describe the frequency of reports and how they are provided:
Manag depart	ts are generated on a quarterly basis for the department's Office of Budget and Financial gement for allocation of cost. Outages and trouble ticket status are reported weekly to mental Knowledge Champions. The Chief Information Officer is briefed on an as needed Trouble ticket analysis and performance statistics are reported monthly.
9.2. Are curi	rently defined IT service levels adequate to support the business needs?
X Yes	s 🗖 No
9.2.1.	If no, what changes need to be made to the current IT service? (Briefly explain)
	List any significant projects that are underway or planned to upgrade or enhance any system, resource, or process associated with this IT service. <i>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.</i>

Project Name	Description	Start Date	End Date	Estimated Total Cost of Completion
No issue in the FY 2011-2012 LBR				

10. Additional Information

9.

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.)

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

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.

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

Department of Business and Professional Regulation Dept/Agency: Terry L. Kester, Chief Information Officer Submitted by: 850-921-5392 Phone: October 15, 2010 Date submitted: **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: None - Personnel Only 2 6 7 3 8 4 11. IT Service Definition 11.1. Who is the service provider? (Indicate all that apply X Central IT staff □ Southwood Shared Resource Center □ Program staff ■ Northwood Shared Resource Center ■ Northwest Regional Data Center ☐ Other state agency (non-primary data center) ☐ Other External Service Provider (specify) 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 X 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) Χ Yes; informal agreement(s)

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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.	artment
If you answered "Yes," identify major (formal or informal) service level requirements:	
Memorandums of Understanding have been established with all DBPR internal business uni	ts.
13.2. Timing and Service Delivery Requirements	
13.2.1. Hours/Days that service is required <i>(e.g., 0800-1600 M-F, 24/7)</i> for the systems	
	<u>0800-1700</u>
13.2.2. What is the agency's tolerance for down time during peak periods, i.e., time before n level intervention occurs <i>(e.g., 5 min, 15 min, 60 min)?</i>	nanagement- 15 minutes
13.2.3. Are there any federal, state, or agency privacy policies or restrictions applicable to th	is IT Service?
□ Yes <mark>X</mark> No	
If yes, please specify and describe:	
13.2.4. Are there any agency-unique service requirements?	X No
_	
If yes, specify (include any applicable constitutional, statutory, or rule requirement	5)
14. User/customer satisfaction	
14.1. Are service level metrics reported to business stakeholders or agency management? X Yes □ No	
If yes, briefly describe the frequency of reports and how they are provided:	
The department's Chief Information Officer attends weekly Senior Management Meetings we Secretary of the Department, Chief of Staff, Deputy Secretaries, and Division Directors who programs and services are discussed at a high level. The CIO also discusses issues with the of Staff on a weekly or as needed basis on overall IT programs, services and service level objectives.	ere IT
14.2. Are cur defined IT service levels adequate to support the business needs of the agency?	rently
X Yes No	
If no, what changes need to be made to the current IT service? (Briefly explain)	

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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

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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

□ Public (please explain in Question 5.3)

locations currently use WAN services?

identify the number of users of the Network Service.

Phone: 850-921-5392

Date submitted: October 15, 2010

Network Service

1 Cisco Ethernet Switches

3 Proxim Wireless Access Points

2 Cisco Routers

16.4.

16.5.

16.6.

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.

MyFloridaNet (MFN)

Identify the major hardware and commercial software associated with this service:

6 7

	WIFEIESS ACCESS POINTS 7				
4 Cisco F	ix Firewalls 8				
16 IT Serv	ice Definition				
				14 /1 •	
16.1.	I convice provider? (Indicate all th	at annlu)		Who is	tne
	I service provider? (Indicate all tha	н арріу)			
X	Central IT staff			Southwood Shared Resource Center	
	Program staff			Northwood Shared Resource Center	
	Other state agency (non-primary data of	renter)		Northwest Regional Data Center	
	Other External Service Provider (spec	cify)			
16.2. WA	N service provider? (Indicate all th	nat apply)		Who is	the
	Central IT staff				
	Program staff				
	Another State agency				
X	External service provider				
16.3.				Who us	ses
the	service? (Indicate all that apply)				
X	Agency staff (state employees or co	ntractors)			
	Employees or contractors from one	-	itior	nal state agencies	
	External service providers			-	

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locations currently host IT assets and resources used to provide LAN services?

Please

1818

How many

How many

14

35

	16.7		l connections are in	clud	ed in this service? ((Indicat	te	all that apply)	What types
		ATM SUN Rad	1 NCOM RTS	X	Frame Relay Internet Satellite	X		Cellular Network Dedicated Wired connection Dial-up connection	
17									
17.	3erv		ique to Agency						Is a
		similar			-			r external service provider? <mark>ce; Very Similar for LAN IT Ser</mark>	
	17.2				•		-	h another agency or source foe to another service provider?	r less than
		X Yes	□ No						
	1	17.2.1.	If yes, what must h	арр	en for your agency	to use a	ın	other IT service provider?	
			service is provided by the ser			anagem	e	nt Services (DMS). DMS would	have to
	1	17.2.2.	If not, why does yo	ur a	gency need to mair	ntain the	9 (current provider for this IT serv	ice?
10	IT C	orvico	Levels Required t	~ c	unnart Pusinass I	Tunction	n		
10.	18.1		-					nts for LAN service?	
			_		ce Level Agreement	-			
			X Yes; informal		-	()			
			□ No; specific re	equ	rements have not b	een dete	er	mined and approved by the de	partment
		If yo	ou answered "Yes,"	ide	ntify major (formal o	or inform	าล	I) service level requirements:	
		Memo	orandums of Unders	tand	ling have been esta	blished v	Wİ	th all DBPR internal business u	nits.
	18.2		Has the agency spe	cifie	ed the service level i	requirem	ne	nts for WAN service?	
					ce Level Agreement	:(s)			
			☐ Yes; informal	_	` '				
				-				mined and approved by the de	partment
			·		, , ,			I) service level requirements:	
								anagement Services for 3MB pend Miami which is 45MG per se	
	18.3	. Timing	g and Service Delive	ery F	Requirements				
	1	18.3.1.	Hours/Days that se	rvic	e is required (e.g.,	0800-1	6	00 M-F, 24/7) for.	
		18.3	3.1.1. Online avai	labil	ity				24/7
		18 3	R 1.2 Offline and	ava	ilability for mainten	ance W	اما	MA tc2/MA	

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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)? <u>5 minutes</u>
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? X 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 X No
If yes, specify (include any applicable constitutional, statutory, or rule requirements)
 X User ID/Password X Access through Internet or external network ☐ Access through internal network only X Access through Internet with secure encrypti X 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?
X 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? X 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. defined IT service levels adequate to support the business needs? X Yes □ No
19.2.1. If no, what changes need to be made to the current IT service? (Briefly explain)

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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.

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Department of Business and Professional Regulation Dept/Agency: Terry L. Kester, Chief Information Officer Submitted by: 850-921-5392 Phone: October 15, 2010 Date submitted: Agency Financial and Administrative Systems Support Service This service enables users in the agency's administrative and support areas to operate and maintain the nonstrategic 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 7 3 Dashboard-Performance Reporting **Unpaid Financial Records Tracking** 8 System (Debit Memos) 21. IT Service Definition 21.1. Who is the service provider? (Indicate all that apply) X Central IT staff □ Southwood Shared Resource Center □ Program staff X 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) X Agency staff (state employees or contractors) Employees or contractors from one or more additional state agencies External service providers ☐ Public (please explain in Question 5.3) 21.3. Please identify the number of users of this service. Approx. 600 21.4. How many locations currently host agency financial/ administrative systems? 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

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the current cost of the IT service, could your agency change to another service provider?

If the same level of service could be provided through another agency or source for less than

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22.2.

X Yes

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■ 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) <u>After</u> <u>business hours</u>
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)?
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 X 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)
X User ID/Password
X Access through internal network only Control Access through Internet with secure encryption Other
23.2.5. Are there any federal, state, or agency privacy policies or restrictions applicable to this IT Service?
☐ Yes X No
23.2.5.1. If yes, please specify and describe:

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24. User/customer satisfaction								
24.1. Are service level metrics reported to business stakeholders or agency management								
☐ Yes X No								
If yes, briefly describe the frequency of reports and how they are provided:								
24.2. Are currently								
24.2. Are currently defined IT service levels adequate to support the business needs?								
X 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. <i>Please indicate the D3-A issue number</i>								
the Description for any projects that require funds in a legislative budget request for FY 201.								
Estimated Total								
Project Name Description Start Date End Date Cost to Complete	į							
No issue in the FY								
2011-2012 LBR								
25. Additional Information								
	h 0 #							
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								
that is used to provide this service, and describe any anticipated adjustments to the funding source	-(-)							
that is used to provide this service, and describe any anticipated adjustments to the funding source								
that is used to provide this service, and describe any anticipated adjustments to the funding source or funding level for FY 2011-12 This service is funded through an annual appropriation from the Department's Administrative Trust Fundament	nd							
that is used to provide this service, and describe any anticipated adjustments to the funding source or funding level for FY 2011-12 This service is funded through an annual appropriation from the Department's Administrative Trust Fur (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	nd							

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Dept/Agency:	Department of Business an	id Pi	rofessional Regulation	
Submitted by:	Terry L. Kester, Chief Information Off	icer		
Phone:	<mark>850-921-5392</mark>			
Date submitted:	October 15, 2010			
IT Secu	rity/Risk Mitigation Service			
supporting th	nvolves the implementation of measures to re e agency. Please consult the <i>Guidelines for S</i> ete definition of this IT Service and specific di	Schedu	ule IV-C: IT Costs and Service Require	
26. IT Servi	ce Definition			
26.1.			Wh	no is the
servi	ice provider? (Indicate all that apply)			
X	Central IT staff		Southwood Shared Resource Center	
X	Program staff	X	Northwood Shared Resource Center	
	Other state agency (non-primary data center) Other External Service Provider (specify)	X	Northwest Regional Data Center	
26.2.			Wh	no uses
	service? (Indicate all that apply)			
	Agency staff (state employees or contractors) Employees or contractors from one or more a External service providers Public (please explain in Question 5.3)		nal state agencies	
27. Service	Unique to Agency			
	ar or identical IT service provided by another entical, Very Similar, No) Very Similar	ageno	Is a cy or external service provider?	Э
27.2. the o	If the same level of service could be provic current cost of the IT service, could your agen			ss than
X Y	′es □ No			
27.2.	1. If yes, what must happen for your agency	to use	e another IT service provider?	
adr and	rida Statutes Chapter 282.318 requires each a minister their security program. Service level other IT service provider could support our ris overy, COOP, payment card industry compliar	requir k asse	rements must be validated to ensure the essment, mitigation, data recovery, dis-	nat aster
27.2.	2. If not, why does your agency need to mair	ntain t	the current provider for this IT service?	>
20 IT Comit	no Lovolo Doquirod to Support Ducinson	Euma±	tions	
	ce Levels Required to Support Business F			
28.1.	Has the agency specified the service level	•	ements for this 11 Service?	
	Yes; formal Service Level Agreement	.(S)		

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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 depart	artment
If you answered "Yes," identify major (formal or informal) service level requirements:	
Memorandums of Understanding have been established with all DBPR internal business unit	ts.
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.	
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)?	
28.2.5. Are there any agency-unique service requirements? X Yes	□ No
If yes, specify (include any applicable constitutional, statutory, or rule requirement	s)
Infrastructure must work in the event of a natural disaster. If Northwood Shared Res Center is unavailable, the department would invoke the agency's COOP and disaster plan as required by Statute. NWRDC is the location of DBPR's disaster recovery envir	recovery
28.2.6. What are security requirements for this IT service? <i>(Indicate all that apply)</i> X User ID/Password X Access through Internet or external X Access through Internet with secure Other Other	
28.2.7. Are there any federal, state, or agency privacy policies or restrictions applicable to th	is IT Service?
X Yes □ No	
If yes, please specify and describe:	
Sensitive personal data must be protected in accordance with State and Federal Statutes, as with payment card industry (PCI) standards where applicable.	s well
29. User/customer satisfaction	
29.1. Are service level metrics reported regularly to business stakeholders or agency managemer X Yes No If yes, briefly describe the frequency of reports and how they are provided:	it?
Security status, risk assessments, and continuity plan readiness are reported by the Inform Security Officer to the CIO daily.	ation
29.2. Are current defined IT service levels adequate to support the business needs?	ently
X Yes □ No	
29.2.1. If no, what changes need to be made to the current IT service? (Briefly explain)	

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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

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

Dept/Agency: Department of Business and Professional Regulation

Identify the major hardware and commercial software associated with the E-Mail Service:

5

Submitted by: Terry L. Kester, Chief Information Officer

Phone: 850-921-5392

Date submitted: October 15, 2010

Windows 2003 Servers and OS

X Yes

No

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.

MS Outlook Client

2	McAfee AntiVirus Software	6	IronP	ort (Cisco)					
3	Microsoft Enterprise Exchange Server	7							
4	CommVault Backup	8							
	31. IT Service Definition 31.1.								
	service provider? (Indicate all that	ap	ply)			Who is the			
	 X Central IT staff □ Program staff □ Other state agency (non-primary da □ Other External Service Provider (non-primary da 			X X	Southwood Shared Resource Northwood Shared Resource Northwest Regional Data Co	e Center			
	31.2. the service? <i>(Indicate all that app</i>	ly)				Who uses			
	 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. identify the number of users (e-mail a	acco	ounts/r	nailboxes) of	this service. 2162 mailboxe	Please s_			
	31.4. locations currently host IT assets and	l res	sources	s used to pro	vide e-mail,	How many			
	messaging, and calendaring services?	?		·		2			
32.	Service Unique to Agency								
	32.1. similar or identical IT service provide (Identical, Very Similar, No) <u>Ver</u> y			er agency or	external service provider?	Is a			
	32.2. If the same level of service co	uld	be pro	vided throug	h another agency or source	for less than			

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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: 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)	
X Yes; informal agreement(s)	
No; specific requirements have not been determined and approved by the department	
If you answered "Yes," identify major (formal or informal) service level requirements:	
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? X 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)	
X User ID/Password Access through Internet or external net	work
Access through internal network onlyOther X Access through Internet with secure en	cryptio
33.2.5. Are there any federal, state, or agency records retention or privacy policies, restrictions, or requirements applicable to this IT Service?	
X 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.	t

34. User/customer satisfaction

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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?
X 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? X 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. <i>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</i> .

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.

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Department of Business and Professional Regulation Dept/Agency:

Terry L. Kester, Chief Information Officer Submitted by:

850-921-5392 Phone: October 15, 2010 Date submitted:

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.

Ide	Identify the major hardware and commercial software associated with this service:					
	Intel Servers w/Windows 2000 and					
1	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 S

. IT Serv	vice Definition			
36.1.				Who is the
ser	vice provider? (Indicate all that apply)			
X	Central IT staff	X	Northwood Shared Resource Ce	nter
	Program staff		Southwood Shared Resource Ce	enter
	Other state agency (non-primary data center)	X	Northwest Regional Data Cente	r
	Other External Service Provider (specify)			
36.2.				Who uses
the	e service? (Indicate all that apply)			
X	Agency staff (state employees or contractors)			
	Employees or contractors from one or more addi	tion	al state agencies	
	External service providers			
X	Public (please explain in Question 5.3)			
36.3.				Please
ide	entify the number of Internet users of this service.			1.2 million
36.4.				Please
ide	entify the number of intranet users of this service.			1818

37. Service Unique to Agency

36.5.

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

locations currently host IT assets and resources used to provide this service?

If the same level of service could be provided through another agency or source for less than 37.2. the current cost of the IT service, could your agency change to another service provider?

How many

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X 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)
X Yes; informal agreement(s)
□ No; specific requirements have not been determined and approved by the department
If you answered "Yes," identify major (formal or informal) service level requirements:
The 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 <i>(e.g., 0600-2100 M-F, 24/7)</i> : 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 X N
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)
X User ID/Password X Access through Internet or external network X 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?
X 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

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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 stak	keholders or ag	gency managei	ment?	
X Yes	□ No				
39.1.1. If yes	s, briefly describe the frequency of repo	orts and how t	hey are provid	ed:	
•	tistics are kept to verify 99% uptime n g at Senior Management Staff meeting		· · · · · · · · · · · · · · · · · · ·	provided to the CIO	
X Yes	ervice levels adequate to support the b			Are currently	
39.2.1. If no,	what changes need to be made to the	e current IT se	rvice? <i>(Briefi</i>	ly explain)	
39.2.2.List any significant projects that are underway or planned to upgrade or enhance any sy resource, or process associated with this IT service. <i>Please indicate the D3-A issue num the Description for any projects that require funds in a legislative budget request for FY</i>					
Project Name	Description	Start Date	Fnd Date	Estimated Total Cost to Complete	

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.

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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. <u>216.023</u>, 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 <i>and strategic</i> IT services that are supported (in whole or part) by data center services offered at the following data centers and computing facilities.			
		Licensing and Regulatory IT Service		
		Electronic Tax and Registration IT Service		
		Network Service		
		E-Mail, Messaging and Calendaring Service		
1	Northwood Shared Resource Center	IT Security / Risk Mitigation Service		
2	Southwood Shared Resource Center	FTP Services		
		Licensing and Regulatory IT Service (Disaster Recovery)		
3	Northwest Regional Data Center	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. ser	vice provider? <i>(Indicate all that apply)</i>		Who is the
_ _ _	Central IT staff Program staff Other state agency (non-primary data center) Other External Service Provider (specify)	X X X	Northwood Shared Resource Center Southwood Shared Resource Center Northwest Regional Data Center

41.2. Who uses

the service? (Indicate all that apply)

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IT Service Requirements Worksheet: Licensing and Regulatory IT Strategic Service

X	Agency staff (state employee	s or contractors)	
	Employees or contractors from		
	External service providers		
X	Public (please explain in Ques	stion 5.3)	
41.3.			Provide the
fol	lowing information regarding a	gency data centers included in this service:	
41.	3.1. Number of agency data ce	enter(s)	0
41.	11.3.2. List the major IT application systems ¹ hosted at each of these facilities:		
		Major IT	External Agency

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
 - 41.4.2. List the major IT application systems¹ 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 inform	nation regarding sing	gle logical-server	installations ir	าcluded in	ı 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

41.5.3. List all major IT application systems¹ 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."*

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

	November 30, 2010	
2.2	2. Has your agency specified service level requirements for this IT service in a service level age (SLA) executed with a primary data center in compliance with s. 282.203, F.S.?	eement
	□ Yes <mark>X</mark> No	
	2.2.1. If no, please explain the specific issues preventing execution, and describe your plan schedule for resolving those issues.	and
	The SLA is in progress. Per Proviso, DBPR shall execute a service level agreement pursuar section 282.203(1) (g), F.S., by February 1, 2011.	it to
	2.2.2. If yes, please provide an electronic copy of the executed service level agreement wit Schedule IV-C submission.	h your
43. IT	Service Levels Required to Support Business Functions	
43.	.1. Service Delivery Requirements	iming 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 the	is IT Service?
	X Yes □ No	
	If yes, please specify and describe:	
	Sensitive personal data must be protected in accordance with State and Federal Statutes, a with payment card industry (PCI) standards where applicable.	as well as
	43.1.4. Are there any agency-unique service requirements?	s <mark>X</mark> No
	If yes, specify (include any applicable constitutional, statutory, or rule requirement	ts)
	The department must comply with security requirements for end points that connect to the Bureau of Investigation Criminal Justice Information Services (CJIS).	e Federal
	43.1.5. What are the security requirements for this IT service? <i>(Indicate all that apply)</i>	
	X Restricted system administration rights X Secured entrance to facility	
	X Systems access through internal network only X Systems access through secure	encryption
	X Criminal background check for data center staff Other	
44. Us	er/customer satisfaction	
44.	.1. Are service level metrics reported to business stakeholders or agency management? X 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 cur	rently
44.	defined IT service levels adequate to support the business needs of the agency?	ıcııuy
	X Yes No	

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44.2.1.	If no, what o	changes need to	be made to the	e current II se	ervice? (<i>Brie</i>	fly explain)	

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.

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

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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
	ser	vice pro	vider? (Indicate all that apply)			
	X	Central	IT staff	X	Northwood Shared Resource	Center
		Prograi	m staff		Southwood Shared Resource	e Center
		Other s	state agency (non-primary data center)	X	Northwest Regional Data Ce	nter
		Other I	External Service Provider (specify)			
	46.3.	e service	? (Indicate all that apply)			Who uses
	X		staff (state employees or contractors)			
			vees or contractors from one or more a	dditiona	l state agencies	
	X		al service providers	aartiona	i state agencies	
	X		(please explain in Question 5.3)			
	46.4.		(France or France in European cro)			Please
		ntify the	number of users of this service.			1.2 million
	46.5.	•				How many
		ations cu	urrently host this service?			<u>2</u>
47	Camilaa	. I Indiano	- t- A			
4/		onique	e to Agency			
	47.1.	ntical IT	service provided by another agency or	evterna	al service provider?	Is a similar or
			, Very Similar, No	CALCITIC	ii scrvice provider:	Yes
	47.2.		ne same level of service could be provid cost of the IT service, could your agen			
		Yes	□ No	icy criari	ge to unother service provider	•
			es, what must happen for your agency		nother IT service provider?	
	DBP	'R would	move to another Primary Data Center.			
	47.2	2.2. If no	ot, why does your agency need to main	ntain the	current provider for this IT se	ervice?
48	. IT Serv	rice Lev	els Required to Support Business F	unctio	ns	
	48.1.	Has	the agency specified the service level r	equiren	nents for this IT Service?	
			Yes; formal Service Level Agreement	·(s)		
		X	Yes; informal agreement(s)	.(•)		
			No; specific requirements have not b	een det	ermined and approved by the	department
		If you a	nswered "Yes," identify major (formal c			•
					. ,	
	F(ormai SL	A with NSRC is in progress.			
	48.2. Ti	ming an	d Service Delivery Requirements			

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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? ☐ Ye	es <mark>X</mark> No
If yes, specify (include any applicable constitutional, statutory, or rule requirement	nts)
48.2.4. What are security requirements for this IT service? (Indicate all that apply)	
X User ID/Password X Access through Internet or externa	al network
☐ Access through internal network only X Access through Internet with secu	re encryption
Other	
48.2.5. Are there any federal, state, or agency privacy policies or restrictions applicable to t	this IT Service?
X Yes □ No	
48.2.5.1. If yes, please specify and describe:	
Sensitive data must be protected in accordance with State and departmental policies; receive retained to comply with State records retention schedules and policies.	ords must
49. User/customer satisfaction	
49.1. Are service level metrics reported to business stakeholders or agency management	
X 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 Secretary of the Department, Chief of Staff, Deputy Secretaries, and Division Directors who programs and services are discussed at a high level. The CIO also discusses issues with the of Staff on a weekly or as needed basis on overall IT programs, services and service level objectives.	nere IT he Chief
49.2. Are cu defined IT service levels adequate to support the business needs?	urrently
X Yes □ No	
49.2.1. If no, what changes need to be made to the current IT service? (Briefly explain))

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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 webbased; 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., chargeback, 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.

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IT Service Requirements Worksheet: Electronic Tax and Registration IT Strategic Service

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)

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

51.3. Who uses

the service? (Indicate all that apply)

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

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

51.5. How many trie marriage or tries service.

i. How many locations currently host this service?

52. Service Unique to Agency

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52.1. identical IT service provided by another agency or external service provider? (Identical, Very Similar, No)	Is a similar or Yes
52.2. If the same level of service could be provided through another agency or so the current cost of the IT service, could your agency change to another service pro	
X Yes No	
52.2.1. If yes, what must happen for your agency to use another IT service provide	er?
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	v the denartment
If you answered "Yes," identify major (formal or informal) service level requiren	•
	nents.
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 mainter	nance) <u>24/7</u>
53.2.2. What is the agency's tolerance for down time during peak periods, i.e., time management-level intervention occurs (e.g., 15 min, 30 min, 60 min)?	e before <u>5 minutes</u>
53.2.2.1. What are the impacts on the agency's business if this down-time states is exceeded?	andard
DBPR would not be able to fulfill its statutory requirements.	
53.2.3. Are there any agency-unique service requirements?	☐ Yes X No
If yes, specify (include any applicable constitutional, statutory, or rule req	quirements)
53.2.4. What are security requirements for this IT service? (Indicate all that app	oly)
X User ID/Password X Access through Internet or	r external network
Access through internal network onlyOther	ith secure encryption
53.2.5. Are there any federal, state, or agency privacy policies or restrictions applic	able to this IT Service?
X Yes No	
53.2.5.1. If yes, please specify and describe:	

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

54. User/customer satisfaction

55.3.

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.

<mark>X Ye</mark> s 54.1.1. If ye	□ No s, briefly describe the fr	equency of repo	orts and how t	hey are provid	ed:		
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. defined IT s	54.2. Are currently defined IT service levels adequate to support the business needs?						
X Yes 54.2.1. If no	□ No , what changes need to	be made to the	e current IT se	rvice? <i>(Briefi</i>	ly explain)		
resour	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. <i>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.</i>						
Project Name	Description	on	Start Date	End Date	Estimated Total Cost to Complete		
No issue in the FY 2011-2012 LBR							
55. Additional Info	rmation						
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.)							

Dept. of Business and Professional Regulation

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

Other pertinent information related to this service

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

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. service provider? (Indicate all that apply)		Who is the
X Central IT staff ☐ Program staff ☐ Other state agency (non-primary data center)	X D X	Northwood Shared Resource Center Southwood Shared Resource Center Northwest Regional Data Center
Other External Service Provider (specify)		24/1

56.3. Who uses

the service? (Indicate all that apply)

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

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

56.5. How many

locations currently host this service?

57. Service Unique to Agency

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	57.1. identical IT service provided by another agency or external service provider? (Identical, Very Similar, No)	Is a similar or <u>Yes</u>
	57.2. If the same level of service could be provided through another agency or source the current cost of the IT service, could your agency change to another service provided	
	X 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 s	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)	
	X Yes; informal agreement(s)	
	No; specific requirements have not been determined and approved by the	e department
	If you answered "Yes," identify major (formal or informal) service level requirement	s:
	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)	ce) 24/7
	58.2.2. What is the agency's tolerance for down time during peak periods, i.e., time be management-level intervention occurs (e.g., 15 min, 30 min, 60 min)?	fore <u>5 minutes</u>
	58.2.2.1. What are the impacts on the agency's business if this down-time standard is exceeded?	ard
	DBPR would not be able to fulfill its statutory requirements.	
	58.2.3. Are there any agency-unique service requirements?	Yes X No
	If yes, specify (include any applicable constitutional, statutory, or rule require	ments)
	58.2.4. What are security requirements for this IT service? (Indicate all that apply)	
	X User ID/Password X Access through Internet or ext	ernal network
	☐ Access through internal network only X Access through Internet with s☐ Other	ecure encryption
	58.2.5. Are there any federal, state, or agency privacy policies or restrictions applicable	to this IT Service?
	X Yes No	
	58.2.5.1. If yes, please specify and describe:	

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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.

59.1. Are service level metrics reported to business stakeholders or agency management X Yes	59.1. Are service												
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.		level metrics reported to business stake	keholders or aç	gency manager	ment								
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.	X Yes	□ No											
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.													
defined IT service levels adequate to support the business needs? X Yes	system. A	system. Additionally, monthly incident summary reports are issued. Regarding the AB&T system,											
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., chargeback, cost allocation, fee-per-transaction, etc.) The ATF is funded by other trust funds within DBPR by way of a detailed cost allocation methodology.		ervice levels adequate to support the b	ousiness needs	?	Are currently								
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 2011-122 Project Name Description Start Date End Date Cost to Complete No issue in the FY 2011-2012 LBR 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., chargeback, cost allocation, fee-per-transaction, etc.) The ATF is funded by other trust funds within DBPR by way of a detailed cost allocation methodology.	X Yes	□ No											
Project Name Description Start Date End Date Estimated Total Cost to Complete No issue in the FY 2011-2012 LBR Cost to Complete No.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., chargeback, cost allocation, fee-per-transaction, etc.) The ATF is funded by other trust funds within DBPR by way of a detailed cost allocation methodology.	59.2.1. If no	, what changes need to be made to the	e current IT se	rvice? <i>(Briefi</i>	ly explain)								
Project Name Description Start Date End Date Estimated Total Cost to Complete No issue in the FY 2011-2012 LBR Cost to Complete No.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., chargeback, cost allocation, fee-per-transaction, etc.) The ATF is funded by other trust funds within DBPR by way of a detailed cost allocation methodology.													
Project Name Description Start Date End Date 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.	resou	rce, or process associated with this IT s	service. <i>Please</i>	e indicate the l	D3-A issue number in								
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.	Project Name	Description	Start Date	End Date	l								
 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., chargeback, cost allocation, fee-per-transaction, etc.) The ATF is funded by other trust funds within DBPR by way of a detailed cost allocation methodology. 													
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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.	that is used	to provide this service, and describe ar											
	that is used or funding lo This service is f	to provide this service, and describe arevel for FY 2011-12	ny anticipated	adjustments to	the funding source(s)								
60.3. Other pertinent information related to this service	that is used or funding let This service is f (ATF). 60.2. Pleas describe any	to provide this service, and describe arevel for FY 2011-12 unded through an annual appropriation se indicate whether there is a cost recovanticipated adjustments or needed ch	ny anticipated and from the department of the de	artment's Adm	the funding source(s) inistrative Trust Fund or this service, and								
"Public" in Question 1.3 refers to DBPR licensees using the PMW and AB&T systems.	that is used or funding leads of funding	to provide this service, and describe arevel for FY 2011-12 unded through an annual appropriation se indicate whether there is a cost recovanticipated adjustments or needed chilocation, fee-per-transaction, etc.)	ny anticipated and from the department of the department of the second o	adjustments to artment's Adm location plan fo ervice funding	inistrative Trust Fund or this service, and model (e.g., charge-								

 File: Merged IV-C LBR 2011-12
 FY 2011-12

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Strategic IT Service: Agency Strategic IT Service #	16								
Dept/Agency: DBPR						Form: Schedule	IV-C -Combined v.2011-12		
Prepared by: Terry L. Kester, Chief Information Officer		# of Assets	& Resources	Estimated IT Service Costs					
Phone: 850-921-5392	_		this IT Service	A	B	c 60313	D		
Service Provisioning Assets & Resources (Cost Elements)	Footnote Number	Number used for this service	Number w/ costs in FY 2011-12	Initial Estimate for Fiscal Year 2010-11	Estimated FY 2010-11 Allocation of Recurring Base Budget (based on Column G64 minus G65)	Estimated FY 2011-12 Allocation of Recurring Base Budget (based on Column G64 minus G65)	Planned Increase/Decrease Use of Recurring Base Funding		
A. Personnel		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. Hardware		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		
B-4 Other Hardware Assets (e.g., system mgt workstation, printers, UPS)				\$0	\$0	\$0	\$0		
C. Software				\$0	\$0	\$0	\$0		
D. External Service Provider(s)		0	0	\$0	\$0	\$0	\$0		
E. Other (Please describe in Footnotes Section below)				\$0	\$0	\$0	\$0		
F. Total for IT Service				\$0	\$0	\$0	\$0		
G. Footnotes - Please be sure to indicate there is a footnote for the corresponding ro	ow above. Maxim	num footnote length	is 1024 characters.						
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14 15									
10									

Non-Strategic IT Network Service							
Dept/Agency: DBPR			ources ned to this			1	Combined v.2011-12
Prepared by: Terry L. Kester, Chief Information Officer			in FY 2011		Estimated IT Service	Costs	
Phone: 850-921-5392		1	12	А	В	С	D
Service Provisioning Assets & Resources (Cost Elements)	Footnote Number	Number used for this service	Number w/ costs in FY 2011-12	Initial Estimate for Fiscal Year 2010-11	Estimated FY 2010-11 Allocation of Recurring Base Budget (based on Column G64 minus G65)	Estimated FY 2011-12 Allocation of Recurring Base Budget (based on Column G64 minus G65)	Planned Increase/Decrease Use of Recurring Base Funding (<i>Columns C - B</i>)
A. Personnel		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. Hardware			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
B-5 Archive Storage for file and print (indicate GB of storage)		0		\$0	\$0		\$0
B-6 Other Hardware Assets (Please specify in Footnote Section below)				\$0	\$0	\$0	\$0
C. Software	5			\$10,222	\$10,022	\$14,345	\$4,323
D. External Service Provider(s)				\$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
E. Other (Please describe in Footnotes Section below)	6, 7			\$31,065	\$31,065	\$32,014	\$949
F. Total for IT Service				\$740,986	\$740,786	\$721,728	-\$19,058
G. Footnotes - Please be sure to indicate there is a footnote for the corresponding	g row abov	e. Maximu	ım footnot	e length is 1024 charac	cters.		
1 Includes .25 of Network Manager; .25 of Systems Programming Administrator; 1.25 of System	ns Project Co	ancultant: a	nd 5 of Sve	tome Project Analyst			
2 Includes Presidio Consultant Services	iis Project Co	onsultant, al	110 .5 01 3ys	sterns Project Analyst			
3 DBPR moved all its computing services to the Northwood Shared Resource Center effective 1	1/30/2010.	Consequen	tly, there are	e no charges associated v	vith servers or server ma	intenance and support f	or this service.
4 Includes router maintenance and support.			- J.	<u> </u>			
5 Includes network monitoring software.							
6 Includes rent (prorated based on the number of FTE's associated with this service); travel/cel	lular telepho	nes/deskto	p telephone:	s/training/HR assessmen	t/risk management insu	rance	
7 and other ordinary operating expenses.							
8							
9							
10							

Non-Strategic IT E-Mail, Messaging, and Calenda	aring	Serv	rice							
Agency: DBPR				Form: FY 2011-12 Schedule IV-C -						
Prepared by: Terry L. Kester, Chief Information Officer			sets & Resources ed to this IT Service	E	Estimated IT Service Costs					
Phone: 850-921-5392			FY 2011-12	А	В	С	D			
Service Provisioning Assets & Resources (Cost Elements)	Footnote Number	Number used for this service	Number w/ costs in FY 2011-12	Initial Estimate for Fiscal Year 2010-11	Estimated FY 2010-11 Allocation of Recurring Base Budget (based on Column G64 minus G65)	Estimated FY 2011-12 Allocation of Recurring Base Budget (based on Column G64 minus G65)	Planned Increase/Decrease Use of Recurring Base Funding (Columns C - B)			
A. Personnel		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. Hardware				\$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.) B-4 Online Storage (indicate GB of storage)	3	163 0	163	\$0 \$0	\$0 \$0	\$24,450	\$24,450			
B-5 Archive Storage (indicate GB of storage) B-5 Archive Storage (indicate GB of storage)	4 5	0		\$0 \$0	\$0 \$0	\$0 \$0	\$0 \$0			
B-6 Other Hardware Assets (Please specify in Footnote Section below)	5	0		\$0	\$0	\$0	\$0 \$0			
C. Software	6			\$12,364	\$42,193	\$42,193	\$0			
D. External Service Provider(s)				\$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 D-4 Other Data Center External Service Provider (specify in Footnotes below)				\$0 \$127,380	\$0 \$0	\$0 \$0	\$0 \$0			
E. Other (Please describe in Footnotes Section below)	7. 8			\$8,050	\$5.727	\$6.034	\$307			
	7,0			\$173,490	\$82,887	\$107,644	\$24,757			
F. Total for IT Service					\$62,667	\$107,644	\$24,757			
G. Administrative Overhead - Percentage of Other Non-Strategic IT Se			porting Email Se							
Non-Strategic Service OT-1 Network	Footnote	%	Cost	non-strategic IT services that	cost of the e-mail service, age are "consumed" by the e-mail	service. For example, deskto	p support personnel install			
OT-2 Desktop IT Service		0.00%		and configure the e-mail soft for the e-mail service, it is im	ware on the desktop, which is					
OT-3 Help Desk	9	3.00%	\$ 11,513	expended in support of the e-	mail service. The portion of N	letwork, IT Security & Risk Mit	igation, and IT Administration			
OT-4 IT Security & Risk Mitigation					e estimated by the AEIT based f the Schedule IV-C analysis,					
OT-5 IT Administration & Management		LIBTOTAL	\$ 11,513	to the cost of the e-mail ser	vice.					
Fully-loaded IT Servi		\$UBTOTAL	119,157							
H. Footnotes - Please be sure to indicate there is a footnote for the corresponding	row abov	e. Maximu	um footnote length	is 1024 characters.						
1 Includes .5 of a Systems Project Consultant.										
DBPR has moved all its computing services to the Northwood Shared Resource Center effective 11/30/	2010. Cons	equently, the	ere are no charges assoc	ciated with servers or server m	aintenance and support for the	his service.				
3 All Blackberries will be upgraded during FY 2011-2012 at an expected cost of \$150 per blackberry.										
This is all part of the department's Data Center Consolidation Project and is included in the Data Center	r Service Wo	orksheet cost	estimates for NSRC and	d NWRDC.						
This is all part of the department's Data Center Consolidation Project and is included in the Data Center	r Service Wo	orksheet cost	estimates for NSRC and	d 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 telep	ohones/desk	top telephon	es/training/HR assessm	ent/risk management insurance	e					
and other ordinary operating expenses.										
This percentage is based on FY 2009-2010 Remedy Ticket counts. 468 related tickets/13,977 total tickets/13,977 tot	ets = .033 c	or 3%								

Non-Strategic IT Desktop Computing Service								
Agency: DBPR		"-5 4-				Form: FY 2011-	-12 Schedule IV-C -	
Prepared by: Terry L. Kester, Chief Information Officer			sets & Resources ed to this IT Service	Estimated IT Service Costs				
Phone: 850-921-5392			FY 2011-12	А	В	С	D	
Service Provisioning Assets & Resources (Cost Elements)	Footnote Number	Number used for this service	Number w/ costs in FY 2011-12	Initial Estimate for Fiscal Year 2010-11	Estimated FY 2010-11 Allocation of Recurring Base Budget (based on Column G64 minus G65)	Estimated FY 2011-12 Allocation of Recurring Base Budget (based on Column 664 minus G65)	Planned Increase/Decrease Use of Recurring Base Funding (<i>Columns C - B</i>)	
A. Personnel		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. Hardware		2299	714	\$295,802	\$295,802	\$575,307	\$279,505	
B-1 Servers		0	0	\$0			\$0	
B-2 Server Maintenance & Support		0	0	\$0			\$0	
B-3.1 Desktop Computers	3	1853	633	\$244,602	\$244,602		\$248,505	
B-3.2 Mobile Computers (e.g., Laptop, Notebook, Handheld, Wireless Computer) B-3.3 Other Hardware Assets (Please specify in Footnote Section below)	4 5	302 144	75 6	\$44,000	\$44,000		\$31,000 \$0	
C. Software	6	144	6	\$7,200 \$13,769	\$7,200 \$13,769		-\$66	
D. External Service Provider(s)	7	3	3	\$4,678	\$4,678		\$13,913	
E. Other (Please describe in Footnotes Section below)	8, 9			\$43,427	\$43,427		\$2,455	
F. Total for IT Service				\$606,080	\$606,080		\$293,413	
G. Footnotes - Please be sure to indicate there is a footnote for the correspon	dina row al	bove. Max	imum footnote lena	th is 1024 characters				
1 Includes .25 of a systems Programming Administrator; .5 of a Systems Project Administrat 2 DBPR Desktop Computing and Helpdesk Services share one full time and one part time OP: 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 netwo	S staff75 s	staff are ass	sociated with each serv	vice for this exercise.	st.			
7 Includes copier lease and videoconferencing service.								
8 Includes rent (prorated based on the number of FTE's associated with this service); travel/o	cellular telep	hones/desk	ctop telephones/traini	ng/HR assessment/risk	management insurance			
9 and other ordinary operating expenses.								
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Non-Strategic IT Helpdesk Service Helpdesk Service								
Agency: DBPR		# of As	sets & Resources			Form: FY 2011	-12 Schedule IV-C -	
Prepared by: Terry L. Kester, Chief Information Officer	_		ed to this IT Service	Estimated IT Service Costs				
Phone: 850-921-5392	_	in	FY 2011-12	А	В	С	D	
Service Provisioning Assets & Resources (Cost Elements)	Footnote Number	Number used for this service	Number w/ costs in FY 2011-12	Initial Estimate for Fiscal Year 2010-11	Estimated FY 2010-11 Allocation of Recurring Base Budget (based on Column G64 minus G65)	Estimated FY 2011-12 Allocation of Recurring Base Budget (based on Column 664 minus 665)	Planned Increase/Decrease Us of Recurring Base Funding (Columns C - B)	
Personnel		4.50		\$248,404	\$248,404	\$260,038	\$11,63	
State FTE	1	3.75		\$228,924	\$228,924	\$234,292	\$5,36	
OPS FTE	2	0.75		\$19,480	\$19,480	\$25,746	\$6,26	
Contractor Positions (Staff Augmentation)		0.00		\$0	\$0	\$0		
Hardware		0	0	\$0	\$0	\$0)	
Servers		0	0	\$0		\$0		
Server Maintenance & Support		0	0	\$0	\$0	\$0)	
Other Hardware Assets (Please specify in Footnote Section below)		0	0	\$0	\$0	\$0	<u> </u>	
Software	3			\$24,826	\$24,826	\$24,826	:	
External Service Provider(s)	4	0	0	\$50,000	\$50,000	\$50,000		
Other (Please describe in Footnotes Section below)	5, 6			\$43,427	\$43,427	\$48,899	\$5,47	
Total for IT Service				\$316,657	\$366,657	\$383,763	\$17,10	
Footnotes - Please be sure to indicate there is a footnote for the corresponding row above. Maximum footnote le	ength is 10.	24 charact	ers.					
Includes .25 of a Systems Programming Administrator; .5 of a Systems Project Administrator; 2.5 Systems Project Analyst; and .5 of	a Network S	ystems Ana	ılyst.					
DBPR Desktop Computing and Helpdesk Service share one full time and one part time OPS staff75 staff are associated with each s	ervice for thi	is exercise.						
Annual maintenance for client helpdesk/trouble ticket reporting software (Remedy)								
Includes license remewal for maintenance of PCs and printers that are outside of warranty period.								
Includes rent (prorated based on the number of FTE's associated with this service); travel/cellular telephones/desktop telephones/tr	aining/HR as	ssessment/i	risk management insu	rance				
and other ordinary operating expenses.								
PLEASE NOTE: The embedded formulat in section F, column A is not picking up all reported costs.								

Non-Strategic IT IT Security/Risk Mitigation Se	rvice									
Agency: DBPR		" - 5 A -			Form: FY 2011-12 Schedule IV-C -					
Prepared by: Terry L. Kester, Chief Information Officer	# of Assets & Resources Apportioned to this IT				Estimated IT Servic	e Costs				
Phone: 850-921-5392		Service	e in FY 2011-12	А	В	С	D			
Service Provisioning Assets & Resources (Cost Elements)	Footnote Number	Number used for this service	Number w/ costs in FY 2011-12	Initial Estimate for Fiscal Year 2010-11	Estimated FY 2010-11 Allocation of Recurring Base Budget (based on Column G64 minus G65)	Estimated FY 2011-12 Allocation of Recurring Base Budget (based on Column G64 minus G65)	Planned Increase/Decrease Use of Recurring Base Funding (Columns C - B)			
A. Personnel		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. Hardware		О	0	\$0	\$0	\$0	\$0			
B-1 Servers		0	0	\$0	\$0	\$0	\$0			
B-2 Server Maintenance & Support		0	0	\$0	\$0	\$0	\$0			
B-3 Other Hardware Assets (Please specify in Footnote Section below)		0	0	\$0	\$0	\$0	\$0			
C. Software	2			\$62,549	\$62,549	\$49,891	-\$12,658			
D. External Service Provider(s)	3, 4	0	0	\$21,600	\$21,600	\$38,239	\$16,639			
E. Other (Please describe in Footnotes Section below)	5, 6			\$8,051	\$8,051	\$9,050	\$999			
F. Total for IT Service				\$155,418	\$155,418	\$160,380	\$4,962			
G. Footnotes - Please be sure to indicate there is a footnote for the correspond	ling row al	bove. Max	imum footnote leng	gth is 1024 characters	:					
1 Includes .75 of a Systems Programming Administrator position.										
Annual subscription for Nexpose IP License, IronPort Support, McAfee Total Protection, GFI	LANguard,	and GFI Eve	nts Manager.							
3 Includes quarterly Payment Card Industry (PCI) compliance scans; semi-annual Halon Fire S	ystem inspe	ections; and	satellite phones. Du	ring FY 2011-2012, DBF	PR 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/c	ellular telep	hones/desl	ctop telephones/train	ing/HR assessment/risk	management insurance					
and other ordinary operating expenses.										
7										
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Non-Strategic IT Agency Financial and Admini	Non-Strategic IT Agency Financial and Administrative Systems Support Service												
Agency: DBPR					Form: FY 2011-12 Schedule IV-C -								
Prepared by: Terry L. Kester, Chief Information Officer			sets & Resources tioned to this IT		Estimated IT Servic	e Costs							
Phone: 850-921-5392		Service	e in FY 2011-12	Α	В	С	D						
Service Provisioning Assets & Resources (Cost Elements)	Footnote Number	Number used for this service	Number w/ costs in FY 2011-12	Initial Estimate for Fiscal Year 2010-11	Estimated FY 2010-11 Allocation of Recurring Base Budget (based on Column G64 minus G65)	Estimated FY 2011-12 Allocation of Recurring Base Budget (based on Column G64 minus G65)	Planned Increase/Decrease Use of Recurring Base Funding (Columns C - B)						
A. Personnel		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. Hardware		0	0	\$0	\$0	\$0	\$0						
B-1 Servers		0	0	\$0	\$0	\$0	\$0						
B-2 Server Maintenance & Support		0	0	\$0	\$0		\$0						
B-3 Other Hardware Assets (Please specify in Footnote Section below)		0	0	\$0	\$0	\$0	\$0						
C. Software	2			\$0	\$0	\$0	\$0						
D. External Service Provider(s)		0	0	\$0	\$0	\$0	\$0						
E. Other (Please describe in Footnotes Section below)	3, 4			\$5,368	\$5,368	\$6,034	\$666						
F. Total for IT Service				\$52,289	\$52,289	\$52,941	\$652						
G. Footnotes - Please be sure to indicate there is a footnote for the correspo	nding row a	bove. Max	rimum footnote leng	gth is 1024 characters	5.								
1 Includes .5 of Systems Programming Administrator position.													
The software used in developing/maintaining these applications is the same used in age	ncv strategic i	orograms.											
3 Includes rent (prorated based on the number of FTE's associated with this service); travel			kton talanhanas (train	ping/LID accomment/right	, management incurance	`							
and other ordinary operating expenses.	/cellulal telep	niones/ desi	Ktop telephones/trail	iiig/Tik assessifietit/Tisk	t management insurance	=							
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Agency DBPR	Non-Strategic IT IT Administration and Manage	Non-Strategic IT IT Administration and Management Service												
Prepared by Terry L Kester, Chief Information Officer Prepared by 100							Form: FY 2011-	-12 Schedule IV-C -						
Process S0-921-5392						Estimated IT Service								
Service Provisioning Assets & Resources Cost Femonts Remote R	Phone: 850-921-5392				Α	В	С	D						
State FTE	Service Provisioning Assets & Resources (Cost Elements)		used for this		Fiscal Year	Allocation of Recurring Base Budget (based on Column G64	Allocation of Recurring Base Budget (based on Column G64	Increase/Decrease Use of Recurring Base Funding						
A-2 OPE FITE	A. Personnel		2.25		\$194,290	\$194,290	\$195,592	\$1,302						
Section Staff Augmentation 0.00 S.0 S.	A-1 State FTE	1	2.25		\$194,290	\$194,290	\$195,592	\$1,302						
B. Hardware								\$0						
Server S	A-3 Contractor Positions (Staff Augmentation)		0.00		\$0	\$0	\$0	\$0						
### Surver Maintenance & Support	B. Hardware		0	0	\$0	\$0	\$0	\$0						
Other Hardware Assets (Please specify in Footnote Section below)	B-1 Servers		0	0	\$0	\$0	\$0	\$0						
Software Some Som								\$0						
D. External Service Provider(s) 2 0 0 \$45,410 \$45,410 \$57,630 \$12,220 \$12,220 \$13,4 \$24,154 \$24,154 \$27,151 \$2,99 \$14,154 \$24,154 \$24,154 \$24,154 \$24,154 \$280,373 \$16,210 \$17 Service 3 5264,154 \$264,154 \$264,154 \$280,373 \$16,210 \$17 Service \$18,000 \$12,000 \$18,000 \$12,000 \$18	B-3 Other Hardware Assets (Please specify in Footnote Section below)		0	0	\$0	\$0	\$0	\$0						
E. Other (Please describe in Footnates Section below) 3, 4 \$24,154 \$24,154 \$27,151 \$2,99* F. Total for IT Service \$264,154 \$264,154 \$280,373 \$16,214 G. Footnates - Please be sure to indicate there is a footnate for the corresponding row above. Maximum footnate length is 1024 characters. Includes 25 of the CIO position:25 of a Serior Management Analyst II: .5 of an Administrative Assistant II: and .75 of IT Business Consultant Managers. Includes Gartner, DBPR client survey provider and FEDEX. Includes Gartner, DBPR client survey provider and FEDEX. 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 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 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 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 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 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 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 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	C. Software				\$300	\$300	\$0	-\$300						
F. Total for IT Service \$264,154 \$264,154 \$280,373 \$16,214 G. Footnotes – Please be sure to indicate there is a footnote for the corresponding row above. Maximum footnote length is 1024 characters. 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. Includes Cartner, DBPR client survey provider and FEDEX. 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 and other ordinary operating expenses. 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 and other ordinary operating expenses. 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 and other ordinary operating expenses. Includes rent (prorated based on the number of FTE's associated with this service); travel/cellular telephones/training/HR assessment/risk management insurance and other ordinary operating expenses.	D. External Service Provider(s)	2	0	0	\$45,410	\$45,410	\$57,630	\$12,220						
Footnotes - Please be sure to indicate there is a footnote for the corresponding row above. Maximum footnote length is 1024 characters. 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. Includes Gartner, DBPR client survey provider and FEDEX. Ad other ordinary operating expenses. Includes rent (porated based on the number of FTE's associated with this service); travel/cellular telephones/desktop telephones/training/HR assessment/risk management insurance Ad other ordinary operating expenses. Includes rent (porated based on the number of FTE's associated with this service); travel/cellular telephones/desktop telephones/training/HR assessment/risk management insurance Ad other ordinary operating expenses. Includes rent (porated based on the number of FTE's associated with this service); travel/cellular telephones/desktop telephones/training/HR assessment/risk management insurance Ad other ordinary operating expenses. Includes rent (porated based on the number of FTE's associated with this service); travel/cellular telephones/desktop telephones/training/HR assessment/risk management insurance Ad other ordinary operating expenses. Includes rent (porated based on the number of FTE's associated with this service); travel/cellular telephones/desktop telephones/training/HR assessment/risk management insurance Ad other ordinary operating expenses. Includes rent (porated based on the number of FTE's associated with this service); travel/cellular telephones/desktop telephones/training/HR assessment/risk management insurance Add other ordinary operating expenses. Includes rent (porated based on the number of FTE's associated with this service); travel/cellular telephones/desktop telephones/training/HR assessment/risk management insurance Add other ordinary operating expenses. Includes rent (porated based on the number of FTE's associated with this service); travel/cellular telephones/desktop	E. Other (Please describe in Footnotes Section below)	3, 4			\$24,154	\$24,154	\$27,151	\$2,997						
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. Includes Gartner, DBPR client survey provider and FEDEX. 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 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 Includes rent (prorated based on the number of FTE's associated with this service); travel/cellular telephones/training/HR assessment/risk management insurance Includes rent (prorated based on the number of FTE's associated with this service); travel/cellular telephones/training/HR assessment/risk management insurance Includes rent (prorated based on the number of FTE's associated with this service); travel/cellular telephones/training/HR assessment/risk management insurance Includes rent (prorated based on the number of FTE's associated with this service); travel/cellular telephones/training/HR assessment/risk management insurance Includes rent (prorated based on the number of FTE's associated with this service); travel/cellular telephones/teshtop telephones/training/HR assessment/risk management insurance Includes rent (prorated based on the number of FTE's associated with this service); travel/cellular telephones/teshtop telephones/training/HR assessment/risk management insurance Includes rent (prorated based on the number of FTE's associated with this service); travel/cellular telephones/teshtop	F. Total for IT Service				\$264,154	\$264,154	\$280,373	\$16,219						
11 12 13 14	1 Includes .25 of the CIO position; .25 of a Senior Management Analyst II; .5 of an OMC; .5 of Includes Gartner, DBPR client survey provider and FEDEX. 3 Includes rent (prorated based on the number of FTE's associated with this service); travel/of and other ordinary operating expenses. 5 6 7 8	of an Admin	istrative Ass	sistant II; and .75 of I	T Business Consultant M	anagers.								
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Non-Strategic IT Portal/Web Management Service	е									
Dept/Agency: DBPR	# of Assets & Resources					Form: Schedule IV-C	-Combined v.2011-12			
Prepared by: Terry L. Kester, Chief Information Officer	# of Assets & Resources Apportioned to this IT Service in FY 2011-12									
Phone: 850-921-5392				А	В	С	D			
Service Provisioning Assets & Resources (Cost Elements)	Footnote Number	Number used for this service	Number w/ costs in FY 2011-12	Initial Estimate for Fiscal Year 2010-11	Estimated FY 2010-11 Allocation of Recurring Base Budget (based on Column G64 minus G65)	Estimated FY 2011-12 Allocation of Recurring Base Budget (based on Column G64 minus G65)	Planned Increase/Decrease Use of Recurring Base Funding			
A. Personnel		1.25		\$0	\$0	\$86,310	\$86,310			
A-1.1 State FTE	1	1.25		\$0	\$0	\$86,310	\$86,310			
A-2.1 OPS FTE		0.00		\$0	\$0	\$0	\$0			
A-3.1 Contractor Positions (Staff Augmentation)		0.00		\$0	\$0	\$0	\$0			
B. Hardware				\$0	\$0	\$0	\$0			
B-1 Servers		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 Footnotes Section below)		0	0	\$0	\$0	\$0	\$0			
C. Software	2			\$0	\$0	\$4,200	\$4,200			
D. External Service Provider(s)		0	0	\$0	\$0	\$0	\$0			
E. Other (Please describe in Footnotes Section below)	3, 4			\$0	\$0	\$15,084	\$15,084			
F. Total for IT Service				\$0	\$0	\$105,594	\$105,594			
G. Footnotes - Please be sure to indicate there is a footnote for the corresponding row about Includes .5 of a Systems Programming Consultant; .5 of a Systems Project Consultant; and .25 of a Systems Project Consultant Con			e length is 1024 char	racters.						
2 Includes renewal of WebDir4 maintenance support.										
3 Includes rent (prorated based on the number of FTE's associated with this service); travel/cellular telepl	hones/deskt	op telephone	s/training/HR assessme	ent/risk management insura	ance					
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		# of Assets & Resi	ources Apportioned		Estimated IT Serv		
Phone: 850-921-5392			e in FY 2011-12	A	В	С	D
Service Provisioning Assets & Resources (Cost Elements)	Footnote Number	Number used for this service	Number w/ costs in FY 2011-12	Initial Estimate for Fiscal Year 2010-11 (if submitted)	Estimated FY 2010-11 Allocation of Recurring Base Budget (based on Column G64 minus G65)	Estimated FY 2011-12 Allocation of Recurring Base Budget (based on Column G64 minus G65)	Planned Increase/Decrease Use of Recurring Base Funding
A. Personnel (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	\$(
A-2.1 OPS FTE		0.00		\$0	\$0	\$0	\$0
A-3.1 Contractor Positions (Staff Augmentation)		0.00		\$0	\$0	\$0	\$0
B. Hardware Calculated total non-mainframe servers from all IV-C services 0 Calculated total mainframes from all IV-C services 0				\$0	\$0	\$0	\$0
B-1 Non-Mainframe Servers (including single-function logical servers not assigned to another service)		0	0	\$0	\$0	\$0	\$0
B-2 Servers - Mainframe		0	0	\$0	\$0	\$0	
B-3 Server Maintenance & Support		0	0	\$0	\$0	\$0	\$0
Online or Archival Storage Systems (indicate GB of storage)		0		\$0	\$0	\$0	\$(
B-5 Data Center/ Computing Facility Internal Network				\$0	\$0	\$0	\$(
Other Hardware (Please specify in Footnotes Section below)				\$0	\$0	\$0	\$0
C. Software				\$0	\$0	\$0	\$0
D. External Service Provider(s)				\$0	\$613,736	\$1,032,570	\$418,834
Southwood Shared Resource Center (indicate # of Board votes)	1	0		\$0	\$5,000	\$5,000	\$(
Northwood Shared Resource Center (indicate # of Board votes)	2	1		\$0	\$585,696	\$1,004,050	\$418,35
D-3 Northwest Regional Data Center (indicate # of Board votes) D-4 Other Data Center External Service Provider (specify in Footnotes below)	3	0		\$0 \$0	\$23,040 \$0	\$23,520 \$0	\$480
					#3		
E. Plant & Facility		Total	Est Utilized	\$0	\$0	\$0	\$0
Agency Data Center (indicate total square feet)		0	0	\$0	\$0	\$0	
Computing Facilities (indicate total square feet)		0	0	\$0	\$0	\$0	\$0
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) E-5 Utilities (e.g., electricity and water) (estimated total annual KWH)		0	0	\$0 \$0	\$0 \$0	\$0 \$0	\$0
E-5 Environmentals (e.g., HVAC, fire control, and physical security)		0		\$0	\$0	\$0	\$(
Other (please specify in Footnotes Section below)				\$0	\$0	\$0	\$(
F. Other (Please describe in Footnotes Section below)				\$0	\$0	\$0	\$0
G. Total for IT Service				\$0	\$613,736	\$1,032,570	\$418,834
H. Footnotes - Please be sure to indicate there is a footnote for the corresponding row above. Maximum 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, 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 5 6 7 7 8	2010. Cost fo	or FY 2011-2012 reflect		received from NSRC. E	DBPR has one Board vote fo	r FY 2010-2011	

	Licensing and Degulatory IT Stre	otogio	Corvino					
Stra	Licensing and Regulatory IT Stra	ategic	Service				Form: Schedule	IV-C -Combined v.2011-12
	Dept/Agency: DBPR					Estimated IT Service		
	Prepared by: Terry L. Kester, Chief Information Officer Phone: 850-921-5392		# of Assets apportioned to					
	Phone: 650-921-5392		apportioned to	lins II Service	А	В	С	D
	Service Provisioning Assets & Resources (Cost Elements)	Footnote Number	Number used for this service	Number w/ costs in FY 2011-12	Initial Estimate for Fiscal Year 2010-11	Estimated FY 2010-11 Allocation of Recurring Base Budget (based on Column G64 minus G65)	Estimated FY 2011-12 Allocation of Recurring Base Budget (based on Column G64 minus G65)	Planned Increase/Decrease Use of Recurring Base Funding
A. P	ersonnel		38.50		\$0	\$0	\$3,198,183	\$3,198,183
A-1.1	State FTE		35.50		\$0	\$0	\$2,598,183	\$2,598,183
A-2.1	OPS FTE		0.00		\$0	\$0	\$0	\$0
A-3.1	Contractor Positions (Staff Augmentation)	1	3.00		\$0	\$0	\$600,000	\$600,000
В. Н	lardware		0	0	\$0	\$0	\$52,217	\$52,217
B-1	Servers - Mainframe		0	0	\$0	\$0	\$0	\$0
B-2	Servers - Non-Mainframe	2	0	0	\$0	\$0	\$0	\$0
B-3	Server Maintenance & Support	2			\$0	\$0	\$0	\$0
B-4	Other Hardware Assets (e.g., system mgt workstation, printers, UPS)	3			\$0	\$0	\$52,217	\$52,217
c. s	oftware	4			\$0	\$0	\$1,236,884	\$1,236,884
D. E	external Service Provider(s)	5	0	0	\$0	\$0	\$88,411	\$88,411
E. O	ther (Please describe in Footnotes Section below)	6, 7			\$0	\$0	\$442,971	\$442,971
F. T	otal for IT Service				\$0	\$0	\$5,018,666	\$5,018,666
G.	Footnotes - Please be sure to indicate there is a footnote for the corresponding row all	bove. Maximu	m footnote length is	1024 characters.				
1	DBPR requires the services of contractors to augment staff on the many projects that are handled by the	e Division of Tec	hnology throughout the	course of a fiscal year.				
2	In accordance with the Data Center Consolidation Project, DBPR transitioned all servers to the Northwoo	d Shared Resou	rce Center effective Nov	vember 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, SeeBeyor	nd, Versa: Regulation, a	nd Versa: Online.				
5	Includes UPS maintenance renewal, Microsoft Premier, generator maintenance and fuel, vpn certificate, a							
6	Includes rent (prorated based on the number of FTE's associated with this service); travel/cellular teleph	ones/desktop te	elephones/training/HR a	ssessment/risk manage	ment 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 **Estimated IT Service Costs** Prepared by: Terry L. Kester, Chief Information Officer # of Assets & Resources apportioned to this IT Service Phone: 850-921-5392 Α Estimated FY 2010-11 Estimated FY 2011-12 Allocation of Recurring Allocation of Recurring Planned Service Provisioning -- Assets & Resources (Cost Elements) Initial Estimate for Base Budget Base Budget Increase/Decrease Use Footnote Number used for Number w/ costs Fiscal Year (based on Column G64 (based on Column G64 of Recurring Base this service in FY 2011-12 2010-11 minus G65) minus G65) Funding A. Personnel \$0 \$306,728 \$306,728 A-1.1 State FTE \$0 \$306,728 3.75 \$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. Hardware \$0 \$0 Servers - Mainframe 0 0 \$0 \$0 Servers - Non-Mainframe \$0 \$0 Server Maintenance & Support \$0 \$0 Other Hardware Assets (e.g., system mgt workstation, printers, UPS) \$0 \$0 \$0 Software \$1,250 \$1,250 D. External Service Provider(s) 0 \$0 \$0 \$0 Other (Please describe in Footnotes Section below) 2, 3 \$0 \$45,252 \$45,252 \$0 F. Total for IT Service \$0 \$353,230 \$353,230 Footnotes - Please be sure to indicate there is a footnote for the corresponding row above. Maximum footnote length is 1024 characters. Includes escrow agreement payment for PMW ESI system. ncludes rent (prorated based on the number of FTE's associated with this service); travel/cellular telephones/desktop telephones/training/HR assessment/risk management insurance and other ordinary operating expenses. 5 8 10 11 12 13

Strategic IT Service: Agency Strategic IT Service #3									
Dept/Agency: DBPR						Form: Schedule	IV-C -Combined v.2011-12		
Prepared by: Terry L. Kester, Chief Information Officer	# of Assets & Resources			Estimated IT Service Costs					
Phone: 850-921-5392			this IT Service	A	B B	c 60313	D		
Service Provisioning Assets & Resources (Cost Elements)	Footnote Number	Number used for this service	Number w/ costs in FY 2011-12	Initial Estimate for Fiscal Year 2010-11	Estimated FY 2010-11 Allocation of Recurring Base Budget (based on Column G64 minus G65)	Estimated FY 2011-12 Allocation of Recurring Base Budget (based on Column G64 minus G65)	Planned Increase/Decrease Use of Recurring Base Funding		
A. Personnel		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. Hardware		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		
B-3 Server Maintenance & Support				\$0		\$0	\$0		
B-4 Other Hardware Assets (e.g., system mgt workstation, printers, UPS)				\$0	\$0	\$0	\$0		
C. Software				\$0	\$0	\$0	\$0		
D. External Service Provider(s)		0	0	\$0	\$0	\$0	\$0		
E. Other (Please describe in Footnotes Section below)				\$0	\$0	\$0	\$0		
F. Total for IT Service				\$0	\$0	\$0	\$0		
G. Footnotes - Please be sure to indicate there is a footnote for the corresponding row	above. Maxin	num footnote length	is 1024 characters.						
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Strategic IT Service: Agency Strategic IT Service #4	4								
Dept/Agency: DBPR						Form: Schedule	IV-C -Combined v.2011-12		
Prepared by: Terry L. Kester, Chief Information Officer		# of Assets & Resources			Estimated IT Service Costs				
Phone: 850-921-5392		apportioned to	this IT Service	A	В	с	D		
Service Provisioning Assets & Resources (Cost Elements)	Footnote Number	Number used for this service	Number w/ costs in FY 2011-12	Initial Estimate for Fiscal Year 2010-11	Estimated FY 2010-11 Allocation of Recurring Base Budget (based on Column G64 minus G65)	Estimated FY 2011-12 Allocation of Recurring Base Budget (based on Column G64 minus G65)	Planned Increase/Decrease Use of Recurring Base Funding		
A. Personnel		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		
A-3.1 Contractor Positions (Staff Augmentation)		0.00		\$0	\$0	\$0	\$0		
B. Hardware		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		
B-3 Server Maintenance & Support				\$0		\$0	\$0		
B-4 Other Hardware Assets (e.g., system mgt workstation, printers, UPS)				\$0	\$0	\$0	\$0		
C. Software				\$0	\$0	\$0	\$0		
D. External Service Provider(s)		0	0	\$0	\$0	\$0	\$0		
E. Other (Please describe in Footnotes Section below)				\$0	\$0	\$0	\$0		
F. Total for IT Service				\$0	\$0	\$0	\$0		
G. Footnotes - Please be sure to indicate there is a footnote for the corresponding ro	ow above. Maxin	num footnote length	is 1024 characters.						
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Strategic IT Service: Agency Strategic IT Service #5									
Dept/Agency: DBPR						Form: Schedule	IV-C -Combined v.2011-12		
Prepared by: Terry L. Kester, Chief Information Officer		# of Assets	& Resources	Estimated IT Service Costs					
Phone: 850-921-5392			this IT Service	А	B	c	D		
Service Provisioning Assets & Resources (Cost Elements)	Footnote Number	Number used for this service	Number w/ costs in FY 2011-12	Initial Estimate for Fiscal Year 2010-11	Estimated FY 2010-11 Allocation of Recurring Base Budget (based on Column G64 minus G65)	Estimated FY 2011-12 Allocation of Recurring Base Budget (based on Column G64 minus G65)	Planned Increase/Decrease Use of Recurring Base Funding		
A. Personnel		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. Hardware		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		
B-3 Server Maintenance & Support				\$0		\$0	\$0		
B-4 Other Hardware Assets (e.g., system mgt workstation, printers, UPS)				\$0	\$0	\$0	\$0		
C. Software				\$0	\$0	\$0	\$0		
D. External Service Provider(s)		0	0	\$0	\$0	\$0	\$0		
E. Other (Please describe in Footnotes Section below)				\$0	\$0	\$0	\$0		
F. Total for IT Service				\$0	\$0	\$0	\$0		
G. Footnotes - Please be sure to indicate there is a footnote for the corresponding row	above. Maxin	num footnote length	is 1024 characters.						
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Strategic IT Service: Agency Strategic IT Service #6	5								
Dept/Agency: DBPR						Form: Schedule	IV-C -Combined v.2011-12		
Prepared by: Terry L. Kester, Chief Information Officer		# of Assets & Resources			Estimated IT Service Costs				
Phone: 850-921-5392		apportioned to	this IT Service	A	В	с	D		
Service Provisioning Assets & Resources (Cost Elements)	Footnote Number	Number used for this service	Number w/ costs in FY 2011-12	Initial Estimate for Fiscal Year 2010-11	Estimated FY 2010-11 Allocation of Recurring Base Budget (based on Column G64 minus G65)	Estimated FY 2011-12 Allocation of Recurring Base Budget (based on Column G64 minus G65)	Planned Increase/Decrease Use of Recurring Base Funding		
A. Personnel		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		
A-3.1 Contractor Positions (Staff Augmentation)		0.00		\$0	\$0	\$0	\$0		
B. Hardware		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		
B-3 Server Maintenance & Support				\$0		\$0	\$0		
B-4 Other Hardware Assets (e.g., system mgt workstation, printers, UPS)				\$0	\$0	\$0	\$0		
C. Software				\$0	\$0	\$0	\$0		
D. External Service Provider(s)		0	0	\$0	\$0	\$0	\$0		
E. Other (Please describe in Footnotes Section below)				\$0	\$0	\$0	\$0		
F. Total for IT Service					\$0	\$0	\$0		
G. Footnotes - Please be sure to indicate there is a footnote for the corresponding ro	w above. Maxin	num footnote length	is 1024 characters.						
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Strategic IT Service: Agency Strategic IT Service #	7								
Dept/Agency: DBPR	•					Form: Schedule	IV-C -Combined v.2011-12		
Prepared by: Terry L. Kester, Chief Information Officer		# of Assets	& Resources	Estimated IT Service Costs					
Phone: 850-921-5392	_		this IT Service	A	B	c	D		
Service Provisioning Assets & Resources (Cost Elements)	Footnote Number	Number used for this service	Number w/ costs in FY 2011-12	Initial Estimate for Fiscal Year 2010-11	Estimated FY 2010-11 Allocation of Recurring Base Budget (based on Column G64 minus G65)	Estimated FY 2011-12 Allocation of Recurring Base Budget (based on Column G64 minus G65)	Planned Increase/Decrease Use of Recurring Base Funding		
A. Personnel		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. Hardware		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		
B-4 Other Hardware Assets (e.g., system mgt workstation, printers, UPS)				\$0	\$0	\$0	\$0		
C. Software				\$0	\$0	\$0	\$0		
D. External Service Provider(s)		0	0	\$0	\$0	\$0	\$0		
E. Other (Please describe in Footnotes Section below)				\$0	\$0	\$0	\$0		
F. Total for IT Service				\$0	\$0	\$0	\$0		
G. Footnotes - Please be sure to indicate there is a footnote for the corresponding ro	ow above. Maxin	num footnote length	is 1024 characters.						
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Strategic IT Service: Agency Strategic IT Service #8									
Dept/Agency: DBPR						Form: Schedule	IV-C -Combined v.2011-12		
Prepared by: Terry L. Kester, Chief Information Officer		# of Assets	& Resources	Estimated IT Service Costs					
Phone: 850-921-5392			this IT Service	A	B	c	D		
Service Provisioning Assets & Resources (Cost Elements)	Footnote Number	Number used for this service	Number w/ costs in FY 2011-12	Initial Estimate for Fiscal Year 2010-11	Estimated FY 2010-11 Allocation of Recurring Base Budget (based on Column G64 minus G65)	Estimated FY 2011-12 Allocation of Recurring Base Budget (based on Column G64 minus G65)	Planned Increase/Decrease Use of Recurring Base Funding		
A. Personnel		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. Hardware		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		
B-3 Server Maintenance & Support				\$0		\$0	\$0		
B-4 Other Hardware Assets (e.g., system mgt workstation, printers, UPS)		_		\$0	\$0	\$0	\$0		
C. Software				\$0	\$0	\$0	\$0		
D. External Service Provider(s)		0	0	\$0	\$0	\$0	\$0		
E. Other (Please describe in Footnotes Section below)				\$0	\$0	\$0	\$0		
F. Total for IT Service				\$0	\$0	\$0	\$0		
G. Footnotes - Please be sure to indicate there is a footnote for the corresponding row	above. Maxin	num footnote length	is 1024 characters.						
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Strategic IT Service: Agency Strategic IT Service #	9								
Dept/Agency: DBPR						Form: Schedule	IV-C -Combined v.2011-12		
Prepared by: Terry L. Kester, Chief Information Officer		# of Assets & Resources			Estimated IT Service Costs				
Phone: 850-921-5392		apportioned to	this IT Service	A	В	с	D		
Service Provisioning Assets & Resources (Cost Elements)	Footnote Number	Number used for this service	Number w/ costs in FY 2011-12	Initial Estimate for Fiscal Year 2010-11	Estimated FY 2010-11 Allocation of Recurring Base Budget (based on Column G64 minus G65)	Estimated FY 2011-12 Allocation of Recurring Base Budget (based on Column G64 minus G65)	Planned Increase/Decrease Use of Recurring Base Funding		
A. Personnel		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		
A-3.1 Contractor Positions (Staff Augmentation)		0.00		\$0	\$0	\$0	\$0		
B. Hardware		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		
B-3 Server Maintenance & Support				\$0	\$0	\$0	\$0		
B-4 Other Hardware Assets (e.g., system mgt workstation, printers, UPS)				\$0	\$0	\$0	\$0		
C. Software				\$0	\$0	\$0	\$0		
D. External Service Provider(s)		0	0	\$0	\$0	\$0	\$0		
E. Other (Please describe in Footnotes Section below)				\$0	\$0	\$0	\$0		
F. Total for IT Service				\$0	\$0	\$0	\$0		
G. Footnotes - Please be sure to indicate there is a footnote for the corresponding ro	ow above. Maxin	num footnote length l	is 1024 characters.						
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Strategic IT Service: Agency Strategic IT Service #	10								
Dept/Agency: DBPR						Form: Schedule	IV-C -Combined v.2011-12		
Prepared by: Terry L. Kester, Chief Information Officer		# of Assets	& Resources	Estimated IT Service Costs					
Phone: 850-921-5392		apportioned to	this IT Service	A	В	с	D		
Service Provisioning Assets & Resources (Cost Elements)	Footnote Number	Number used for this service	Number w/ costs in FY 2011-12	Initial Estimate for Fiscal Year 2010-11	Estimated FY 2010-11 Allocation of Recurring Base Budget (based on Column G64 minus G65)	Estimated FY 2011-12 Allocation of Recurring Base Budget (based on Column G64 minus G65)	Planned Increase/Decrease Use of Recurring Base Funding		
A. Personnel		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		
A-3.1 Contractor Positions (Staff Augmentation)		0.00		\$0	\$0	\$0	\$0		
B. Hardware		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		
B-3 Server Maintenance & Support				\$0	\$0	\$0	\$0		
B-4 Other Hardware Assets (e.g., system mgt workstation, printers, UPS)				\$0	\$0	\$0	\$0		
C. Software				\$0	\$0	\$0	\$0		
D. External Service Provider(s)		0	0	\$0	\$0	\$0	\$0		
E. Other (Please describe in Footnotes Section below)				\$0	\$0	\$0	\$0		
F. Total for IT Service				\$0	\$0	\$0	\$0		
G. Footnotes - Please be sure to indicate there is a footnote for the corresponding ro	w above. Maxin	num footnote length l	is 1024 characters.						
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Strategic IT Service: Agency Strategic IT Service #	11								
Dept/Agency: DBPR						Form: Schedule	IV-C -Combined v.2011-12		
Prepared by: Terry L. Kester, Chief Information Officer		# of Assets	& Resources	Estimated IT Service Costs					
Phone: 850-921-5392		apportioned to	this IT Service	A	В	С	D		
Service Provisioning Assets & Resources (Cost Elements)	Footnote Number	Number used for this service	Number w/ costs in FY 2011-12	Initial Estimate for Fiscal Year 2010-11	Estimated FY 2010-11 Allocation of Recurring Base Budget (based on Column G64 minus G65)	Estimated FY 2011-12 Allocation of Recurring Base Budget (based on Column G64 minus G65)	Planned Increase/Decrease Use of Recurring Base Funding		
A. Personnel		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		
A-3.1 Contractor Positions (Staff Augmentation)		0.00		\$0	\$0	\$0	\$0		
B. Hardware		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		
B-3 Server Maintenance & Support				\$0		\$0	\$0		
B-4 Other Hardware Assets (e.g., system mgt workstation, printers, UPS)				\$0	\$0	\$0	\$0		
C. Software				\$0	\$0	\$0	\$0		
D. External Service Provider(s)		0	0	\$0	\$0	\$0	\$0		
E. Other (Please describe in Footnotes Section below)				\$0	\$0	\$0	\$0		
F. Total for IT Service				\$0	\$0	\$0	\$0		
G. Footnotes - Please be sure to indicate there is a footnote for the corresponding ro	ow above. Maxin	num footnote length	is 1024 characters.						
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Strategic IT Service: Agency Strategic IT Service #	12						
Dept/Agency: DBPR						Form: Schedule	IV-C -Combined v.2011-12
Prepared by: Terry L. Kester, Chief Information Officer		# of Assets	& Resources		Estimated IT Service	e Costs	
Phone: 850-921-5392		apportioned to	this IT Service	A	В	с	D
Service Provisioning Assets & Resources (Cost Elements)	Footnote Number	Number used for this service	Number w/ costs in FY 2011-12	Initial Estimate for Fiscal Year 2010-11	Estimated FY 2010-11 Allocation of Recurring Base Budget (based on Column G64 minus G65)	Estimated FY 2011-12 Allocation of Recurring Base Budget (based on Column G64 minus G65)	Planned Increase/Decrease Use of Recurring Base Funding
A. Personnel		0.00		\$0	\$0	\$0	\$0
A-1.1 State FTE		0.00		\$0	\$0		\$0
A-2.1 OPS FTE		0.00		\$0			\$0
A-3.1 Contractor Positions (Staff Augmentation)		0.00		\$0	\$0	\$0	\$0
B. Hardware		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
B-3 Server Maintenance & Support				\$0		\$0	\$0
B-4 Other Hardware Assets (e.g., system mgt workstation, printers, UPS)				\$0	\$0	\$0	\$0
C. Software				\$0	\$0	\$0	\$0
D. External Service Provider(s)		0	0	\$0	\$0	\$0	\$0
E. Other (Please describe in Footnotes Section below)				\$0	\$0	\$0	\$0
F. Total for IT Service				\$0	\$0	\$0	\$0
G. Footnotes - Please be sure to indicate there is a footnote for the corresponding ro	w above. Maxin	num footnote length	is 1024 characters.				
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Strategic IT Service: Agency Strategic IT Service #	13						
Dept/Agency: DBPR						Form: Schedule	IV-C -Combined v.2011-12
Prepared by: Terry L. Kester, Chief Information Officer		# of Assets	& Resources		Estimated IT Servic	e Costs	
Phone: 850-921-5392		apportioned to	this IT Service	A	В	с	D
Service Provisioning Assets & Resources (Cost Elements)	Footnote Number	Number used for this service	Number w/ costs in FY 2011-12	Initial Estimate for Fiscal Year 2010-11	Estimated FY 2010-11 Allocation of Recurring Base Budget (based on Column G64 minus G65)	Estimated FY 2011-12 Allocation of Recurring Base Budget (based on Column G64 minus G65)	Planned Increase/Decrease Use of Recurring Base Funding
A. Personnel		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
A-3.1 Contractor Positions (Staff Augmentation)		0.00		\$0	\$0	\$0	\$0
B. Hardware		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
C. Software				\$0	\$0	\$0	\$0
D. External Service Provider(s)		0	0	\$0	\$0	\$0	\$0
E. Other (Please describe in Footnotes Section below)				\$0	\$0	\$0	\$0
F. Total for IT Service				\$0	\$0	\$0	\$0
G. Footnotes - Please be sure to indicate there is a footnote for the corresponding i	row above. Maxin	num footnote length	is 1024 characters.				
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Strategic IT Service: Agency Strategic IT Service #	14								
Dept/Agency: DBPR						Form: Schedule	IV-C -Combined v.2011-12		
Prepared by: Terry L. Kester, Chief Information Officer		# of Assets	& Resources	Estimated IT Service Costs					
Phone: 850-921-5392		apportioned to	this IT Service	A	В	с	D		
Service Provisioning Assets & Resources (Cost Elements)	Footnote Number	Number used for this service	Number w/ costs in FY 2011-12	Initial Estimate for Fiscal Year 2010-11	Estimated FY 2010-11 Allocation of Recurring Base Budget (based on Column G64 minus G65)	Estimated FY 2011-12 Allocation of Recurring Base Budget (based on Column G64 minus G65)	Planned Increase/Decrease Use of Recurring Base Funding		
A. Personnel		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		
A-3.1 Contractor Positions (Staff Augmentation)		0.00		\$0	\$0	\$0	\$0		
B. Hardware		O	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		
B-3 Server Maintenance & Support				\$0		\$0	\$0		
B-4 Other Hardware Assets (e.g., system mgt workstation, printers, UPS)				\$0	\$0	\$0	\$0		
C. Software				\$0	\$0	\$0	\$0		
D. External Service Provider(s)		0	0	\$0	\$0	\$0	\$0		
E. Other (Please describe in Footnotes Section below)				\$0	\$0	\$0	\$0		
F. Total for IT Service				\$0	\$0	\$0	\$0		
G. Footnotes - Please be sure to indicate there is a footnote for the corresponding ro	ow above. Maxin	num footnote length l	is 1024 characters.						
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Strategic IT Service: Agency Strategic IT Service #	15								
Dept/Agency: DBPR						Form: Schedule	IV-C -Combined v.2011-12		
Prepared by: Terry L. Kester, Chief Information Officer		# of Assets	& Resources	Estimated IT Service Costs					
Phone: 850-921-5392		apportioned to	this IT Service	A	В	с	D		
Service Provisioning Assets & Resources (Cost Elements)	Footnote Number	Number used for this service	Number w/ costs in FY 2011-12	Initial Estimate for Fiscal Year 2010-11	Estimated FY 2010-11 Allocation of Recurring Base Budget (based on Column G64 minus G65)	Estimated FY 2011-12 Allocation of Recurring Base Budget (based on Column G64 minus G65)	Planned Increase/Decrease Use of Recurring Base Funding		
A. Personnel		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		
A-3.1 Contractor Positions (Staff Augmentation)		0.00		\$0	\$0	\$0	\$0		
B. Hardware		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		
B-3 Server Maintenance & Support				\$0		\$0	\$0		
B-4 Other Hardware Assets (e.g., system mgt workstation, printers, UPS)				\$0	\$0	\$0	\$0		
C. Software				\$0	\$0	\$0	\$0		
D. External Service Provider(s)		0	0	\$0	\$0	\$0	\$0		
E. Other (Please describe in Footnotes Section below)				\$0	\$0	\$0	\$0		
F. Total for IT Service				\$0	\$0	\$0	\$0		
G. Footnotes - Please be sure to indicate there is a footnote for the corresponding ro	ow above. Maxin	num footnote length	is 1024 characters.						
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		Agency:	DBPR		Licensing and Regulatory IT Strategic Servi	Electronic Tax & Registration IT Strategic Servic	cy Strategi ce #3	Strate #4	Agency Strateç Service #5	cy Strateç ce #6	Strate #7	cy Strateç ce #8	Agency Strated Service #9	Agency Stratec Service #10	Agency Strateç Service #11	Agency Strateg Service #12	Agency Strateg Service #13	Agency Strateç Service #14	Agency Strategic Service #15	Agency Strategic Service #16
					Licen Regu Strat	Electi Regis Strate	Agency	Agency	Agen	Agency Service	Agency Service	Agency :	Agen	Agen	Agen	Agen	Agen	Agen	Agen	Agen
Budget Entity Name	BE Code	Program Component Code	Program Component Name	Identified Funding as % of Total Cost of Service Costs Funding Identified within BE for IT Service	100.0%	100.0%														
					\$5,018,666	\$353,230	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	
Information Technology	79010300	160300000	Information Technology	\$5,371,896 \$0	\$5,018,666	\$353,230														
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				Sum of IT Cost Elements																
			Chair ETE (#)	Sum of IT Cost Elements Across IT Services 39.25	35.50	3.75	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
	ered	Personnel	State FTE (#) State FTE (Costs)	\$2,904,911	\$2,598,183	\$306,728	0.00	\$0	0.00	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	
	ent	Danasanal	OPS FTE (#)	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
	ta as	Personnel	OPS FTE (Cost) Vendor/Staff Augmentation (# Positions)	3.00	3.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
	t Dat		Vendor/Staff Augmentation (Costs)	\$600,000 \$52,217	\$600,000 \$52,217	\$0 \$0	\$0 \$0	\$0 \$0	\$0 \$0	\$0 \$0	\$0	\$0 \$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0 \$0	
	nent srvice	Hardware Software		\$52,217 \$1,238,134	\$52,217 \$1,236,884	\$0 \$1,250	\$0 \$0	\$0 \$0	\$0 \$0	\$0 \$0		\$0 \$0				\$0 \$0				
	Cost Element Data as ente on IT Service Worksheets	External Ser	rvices	\$88,411	\$88,411	\$0	\$0	\$0	\$0	\$0	\$0	\$0				\$0	\$0			
	Cost	Other	Totals of Costs	\$488,223 \$5,371,896	\$442,971 \$5,018,666	\$45,252 \$353,230	\$0 \$0	\$0 \$0	\$0 \$0	\$0 \$0	\$0	\$0 \$0			\$0 \$0	\$0 \$0	\$0 \$0			
	E		Totals of Costs	42.25	\$5,018,666 38.50	\$353,230 3.75	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.0

	Currently A Positi																
		Ctota ETE							C	Servers -			External				
n IV-C Service									Servers - Mainframe	Non- Mainframe H	lardware	Software	Service Provider	Other		TOTA	AL.
Network	2.25 \$		0.00		1.00		3.25			0 \$					32,014		721,728
Email, Messaging, @ Calendaring	0.50 \$		0.00	*	0.00		0.50			0 \$				\$		\$	107,644
Desktop Computing	3.50 \$		0.75		0.00		4.25			0 \$					45,882		899,493
Help Desk IT Security/Risk Mitigation	3.75 \$ 0.75 \$		0.75 0.00		0.00 0.00	•	4.50 0.75			0 \$		\$ 24,82 \$ 49,89			48,899 9,050	\$ \$	383,763 160,380
Financial and Administrative Systems Support	0.50		0.00		0.00		0.73			0 \$		\$ 49,09	\$ -	\$		\$	52,941
IT Administration & Management	2.25		0.00		0.00		2.25			0 \$		\$ -	\$ 57,630	-		\$	280,373
Portal/Web Management	1.25 \$		0.00		0.00		1.25			0 \$		\$ 4,20		\$	15,084	\$	105,594
Data Center	0.00		0.00	*	0.00		0.00	*	(,		\$ -	\$ 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 S				\$	190,148	\$:	3,744,486
	Currently A	uthorized						Data	Center Plan	it & Facility:	-	(included in Da	ta Center total)				
	Positi																
										Servers -			External				
									Servers -	Non-			Service				
IV-C Service	State FTE	Cost	OPS FTE	OPS FTE Cost	FTE	Cost		Personnel Cost	Mainframe		Hardware	Software	Provider	Other		TOTA	
Licensing and Regulatory IT Strategic Service	35.50 \$		0.00		3.00			\$ 3,198,183	(- ,			\$ \$	442,971		5,018,666
Electronic Tax and Registration IT Strategic Service Agency Strategic IT Service #3	3.75 \$ 0.00 \$		0.00		0.00		3.75 0.00		(, ,		\$ 1,25 \$ -	U \$ - \$ -	\$ \$	45,252	\$ \$	353,230
Agency Strategic IT Service #4	0.00		0.00	*	0.00	*	0.00	*	(\$ -	\$ -	\$	-	\$	-
Agency Strategic IT Service #5	0.00		0.00	\$ -	0.00		0.00		(0 \$	-	\$ -	\$ -	\$	-	\$	-
Agency Strategic IT Service #6	0.00 \$	-	0.00		0.00		0.00		(, ,		\$ -	\$ -	\$	-	\$	-
Agency Strategic IT Service #6 Agency Strategic IT Service #7	0.00 \$		0.00		0.00		0.00		(\$ -	\$ -	\$	-	\$	-
Agency Strategic IT Service #8 Agency Strategic IT Service #9	0.00 \$		0.00	*	0.00	*	0.00	*	(, ,		\$ - \$ -	\$ - \$ -	\$	-	\$ \$	-
Agency Strategic IT Service #9 Agency Strategic IT Service #10	0.00 \$		0.00	*	0.00	*	0.00	*	(\$ - \$ -	\$ -	э \$	-	\$	-
Agency Strategic IT Service #11	0.00		0.00	•	0.00		0.00	*	(0 \$		\$ -	\$ -	\$	-	\$	-
Agency Strategic IT Service #12	0.00 \$	-	0.00	\$ -	0.00	\$ -	0.00	\$ -	(0 \$	-	\$ -	\$ -	\$	-	\$	-
Agency Strategic IT Service #13	0.00 \$		0.00		0.00		0.00		(\$ -	\$ -	\$	-	\$	-
Agency Strategic IT Service #14	0.00 \$		0.00		0.00 0.00		0.00		(\$ - \$ -	\$ - \$ -	\$ \$	-	\$ \$	-
Agency Strategic IT Service #15 Agency Strategic IT Service #16	0.00 \$		0.00	Ŧ	0.00		0.00		(, ,		\$ - \$ -	\$ - \$ -	\$ \$	-	\$ \$	-
Total		2,904,911	0.00		3.00	*		\$ 3,504,911	0.00			*	Ŧ	-	488,223		5,371,896
	Currently A																
_	Positi	ons															
All Schedule IV-C Services																	
Non-Strategic IT Services	14.75	1,034,791	1.50	\$ 51,492	1.00	\$ 197,600	17.25	\$ 1,283,883	(0 \$	637,917	\$ 149,15	8 \$ 1,483,380	\$	190,148	\$:	3,744,486
Strategic IT Services		2,904,911	0.00		3.00			\$ 3,504,911	(,					488,223		5,371,896
Total	39.25 \$	2,904,911	0.00	\$ -	3.00	\$ 600,000	59.50	\$ 4,788,794	0.00	0.00	690,134	\$ 1,387,29	2 \$ 1,571,791 + Data Center		678,371		9,116,382
													+ Data Gerrier	i iaiit 0	a acmity:	φ :	3, 110,302
2																	
Woo				% External		% of Total											
All Schedule IV-C Services	% IT Positions	% Hardware	% Software	% External Service Provider	% Other	Reported IT Cost		Data Center Su	ımmərv						Total	Tot	tal Utilized
Non-Strategic IT Services	34.29%	17.04%	3.98%	39.62%	5.08%	41.07%		Total Data Cent							Total	101	0.00
Strategic IT Services	65.25%	0.97%	23.05%	1.65%	9.09%	58.93%				ı rvices - Mainfran	ne						0.00
% of Total Reported IT Cost	52.530%	7.570%	15.218%	17.241%	7.441%	30.0070				vices - Non-Mai							0
· ·								Agency Data Ce	enter (TOTAL	SQUARE FEET)					0		0
										SQUARE FEET)					0		0
								Office Space (To		•					0		0
								•		istribution Units,		PACITY IN KW)			0		
								Othities-Electrici	ity (ESTIMATE	ED TOTAL ANNU	AL KWH)				0		

Listing of Agency IT Systems

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	 Application Processing Maintaining Licensure Fee Processing Complaint Processing Inspections Investigations Legal Processing Contact History 	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	Document RoutingDocument RetrievalDocument Storage	
3	Versa: Online	COTS web-based Public Online Access System	License RenewalPublic License SearchInitial License Application	Integrates into the department's Single Licensing System.
4	DBPR Contact Center Customer Relationship Management System	COTS Customer Contact Center Solution	 Tracks and Manages Calls and Requests from the Public Processes Payments 	
5	DBPR Contact Center Interactive Voice Response System	COTS telephony solution for public to access applicable information	License RenewalLicense Status Lookups	
6	DBPR Custom Inspection System	Custom built .Net Windows Mobile application used with Personal	 Records Inspection Information as 	

Listing of Agency IT Systems

#	Name of IT System	Description of IT System	Agency Program or Function Supported	Notes
	for Personal Digital Assistants (PDAs)	Digital Assistants	Inspections are Performed • Allows Inspection Information to be Easily Retrieved by DBPR Inspectors • Onsite Inspection Information Uploaded to Licensing System	
7	LicenseEase Reporting Database	Custom Built Oracle Enterprise Level Database and Reporting Tool	Agency Internal ReportingPublic Records Reporting	
8	Elevator Inspection Auditing Reporting System	Custom Built Classic ASP Database	Inspections	
9	Online Reporting of Food Service Training Certification	Custom Built Classic ASP web- based Database	Compliance	
10	Alcoholic Beverages Quota Drawing System	Custom Built Delphi Database	Awards Licensing Allocation	
11	Continuing Education Reporting	Custom Built Delphi Reporting Tool	Continuing Education Compliance	
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.	 Audits/Compliance Collection of Inventory and Sales Data 	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	Audits/Enforcement	

(Insert as many rows into table as needed.)

Listing of Strategic IT Services

(FY 2011-12 Schedule IV-C Worksheet SC-2)

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

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

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 liquorquota 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.

- 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

Department: Business and Professional RegulationChief Internal Auditor: Ron Ferguson

Budget Period: 2011-201

Budget Entity: Executive Dir./Support Services Phone Number: 850.414.6700

(1)	(2)	(3)	(4)	(5)
REPORT	PERIOD		SUMMARY OF	SUMMARY OF
NUMBER	ENDING	UNIT/AREA	FINDINGS AND RECOMMENDATIONS	CORRECTIVE ACTION TAKEN
Internal Audit No.	October 2009	Division of	Finding 1: Policy lacks usable	
A-15-0809-011		Administration.	procedures to ensure that the mobile	
		Mobile Device	communication device policy objective	
		Assignment and	is accomplished.	
		Use.		
			Recommendation: The policy should	The Administrative Policy
			be amended to specify the criteria for	governing mobile
			* *	communication devices will be
			approval process for the assignment of	revised to address this finding.
			devices, and a process for the periodic	The revised policy will specify
			• •	the criteria for issuance of
			appropriateness of the assignment of	mobile communication devices
			11 1	and provide for an approval
			responsibilities necessary for	process. Periodic confirmation
			-	of the continuing
				appropriateness of existing
				assignments will also be
			management functions related to mobile	_
				Since mobile devices are not
				recorded in property inventory
				and require programming, we
			Brylsion of Administration.	believe the property
				management function is best
				suited within the Division of
				Information Technology.
				information reciniology.
				1

SCHEDULE IX: MAJOR AUDIT FINDINGS AND RECOMMENDATIONS

Department: Business and Professional Regulation Chief Internal Auditor: Ron Ferguson

Budget Period: 2011-201

Budget Entity: Executive Dir./Support Services Phone Number: 850.414.6700

(1)	(2)	(3)	(4)	(5)
REPORT	PERIOD	(-)	SUMMARY OF	SUMMARY OF
NUMBER	ENDING	UNIT/AREA	FINDINGS AND RECOMMENDATIONS	CORRECTIVE ACTION TAKEN
Internal Audit No.	October 2009	Division of	Finding 2: Inadequate controls to	
A-15-0809-011		Administration.	ensure the timely review of personal	
		Mobile Device	usage of mobile communication	
		Assignment and	devices.	
		Use.		
			Recommendation : Controls could	We will enhance the electronic
			include enhancing the electronic phone	phone usage report system to
			usage report system to provide for	provide reports that will
			electronic notification when phone	identify employees who are not
			usage data is available and electronic	reviewing their mobile device
			reminders until usage has been	invoices and identifying
			reviewed. Mobile communication	personal use in a timely
			policy should also outline notification	manner. The revised
			requirements. Without enhancements to	Administrative Policy will
			the electronic system, appropriate	establish a formal procedure to
			individuals could be assigned the	notify supervisors when
			responsibility to monitor the system and	
			follow-up with users until usage has	review in a timely manner.
			been reviewed.	Managing this notification
			l com reviewed.	process will reside in the
				Division of Administration.
				211151011 Of Frammistration.
	1	1		

SCHEDULE IX: MAJOR AUDIT FINDINGS AND RECOMMENDATIONS

Department: Business and Professional RegulationChief Internal Auditor: Ron Ferguson

Budget Entity: Executive Dir./Support Services Phone Number: 850.414.6700

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

Budget Period: 2011-201

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

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

REPORT NUMBER PERIOD ENDING Internal Audit Report No. A-15-0708-005 Information Technology. Agency Access Controls. Recommendation: 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 quality assurance on employees responsible for providing access to SUMMARY OF CORRECTIVE ACTION TAKEN Finding 2: Existing internal controls used by the Division of Technology to manage access to the DBPR Network and Single Licensing System could be strengthened. Recommendation: 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 in testing. Entitlement reviews
No. A-15-0708-005 Information Technology. Agency Access Controls. Recommendation: 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 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
department systems. 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.

Budget Period: 2011 - 2012 SCHEDULE IX: MAJOR AUDIT FINDINGS AND RECOMMENDATIONS **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 PERIOD SUMMARY OF ISSUE SUMMARY OF NUMBER **ENDING** UNIT/AREA FINDINGS AND RECOMMENDATIONS CORRECTIVE ACTION TAKEN CODE **Internal Audit Report** June 2009 Division of **Finding 3**: Audit testing of DBPR A-15-0708-005 Network access records revealed Information Technology. Agency deficiencies with respect to the information Access Controls. maintained by the Division of Technology. **Recommendation**: Create a process to The Division of Technology is in sufficiently address Network access form the process of updating access deficiencies, implement a process that forms. As indicated in the ensures departmental access control forms response to Finding 2 above, for all systems and applications are entitlement reviews are in accurate, and initiate a quality assurance progress for OnBase and will review that periodically tests the soon be forwarded for validation performance. for the Single Licensing System. A periodic quality assurance review will subsequently be implemented. **Finding 4**: Audit testing of Single Licensing System access records revealed deficiencies with respect to the information maintained by the Division of Technology. **Recommendation**: Create a process to The Division is developing a report on user access for the sufficiently address the Single Licensing System access form deficiencies, Single Licensing System sorted implement a process that ensures by division. This will be departmental access control forms for all provided to each division director systems and applications are accurate, and for validation and modifications initiate a quality assurance review that will be made based on responses periodically tests the performance of received. Records of entitlement division personnel responsible for reviews performed will be processing Single Licensing System access maintained by the Division of forms. Technology.

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	(2) PERIOD	(3)	(4) SUMMARY OF	(5) SUMMARY OF	(6) ISSUE
REPORT	PERIOD		SUMMARY OF	SUMMARY OF	ISSUE
NUMBER	ENDING	UNIT/AREA	FINDINGS AND RECOMMENDATIONS	CORRECTIVE ACTION TAKEN	CODE
			Finding 4 Continued		
Internal Audit Report	June 2009	Division of		The Division of Technology	
No. A-15-0708-005		Information		Information Security Manager	
No. A-15-0/06-005					
		Technology. Agency		will be performing quality	
		Access Controls.		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.	
				conducted twice yearry.	

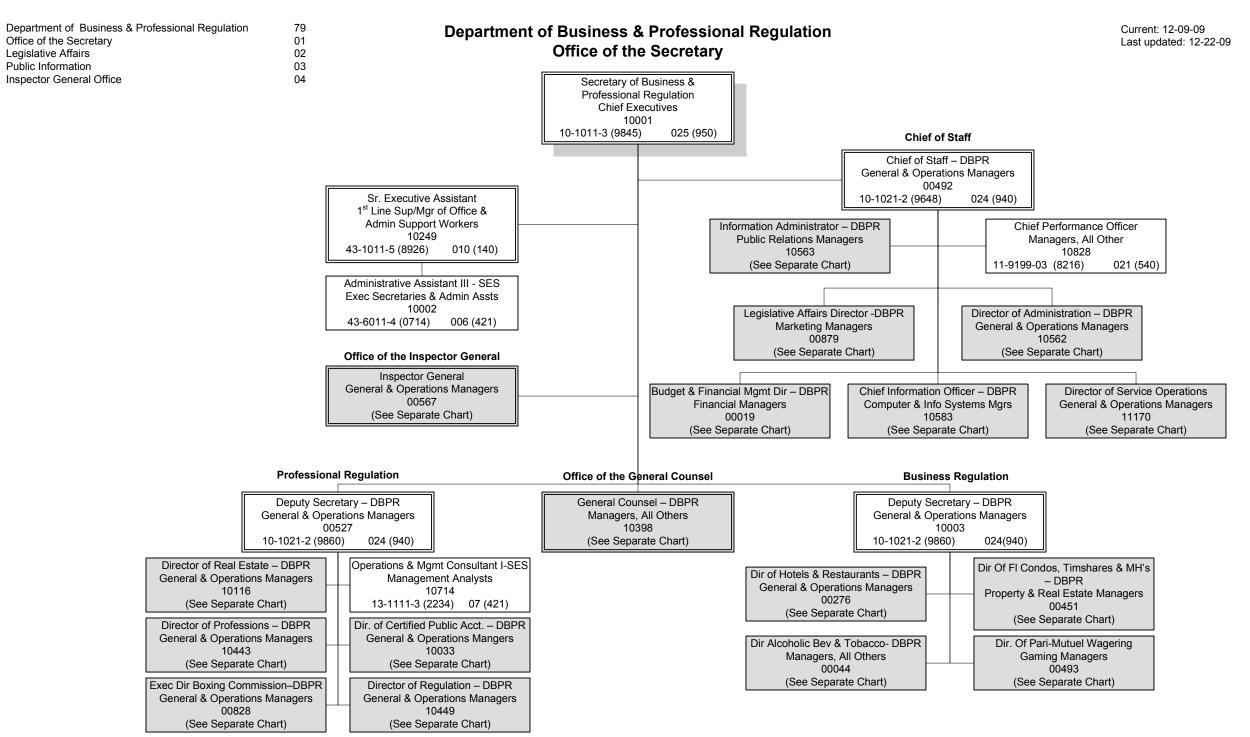
Schedule VII Agency Litigation Inventory

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.

the Governor's website.	0	hedule, please see	the "Legislative Budget Requ	uest (LBR) Instructions" located on		
Agency:	Departme	artment of Business and Professional Regulation				
Contact Person:	J. Sue Ri	chardson	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	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 record) the state in	,	Agency Cour	nsel			
lawsuit? Check all		Office of the	Attorney General or Div	vision of Risk Management		
apply.		Outside Con	tract 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).						

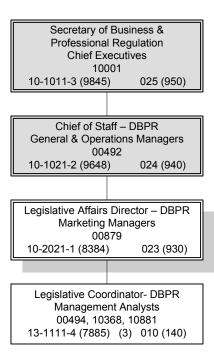
Schedule X Organization Structure

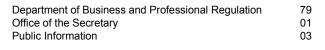


Department of Business & Professional Regulation	79
Office of the Secretary	01
_egislative Affairs	02

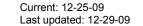
Department of Business and Professional Regulation Office of the Secretary Legislative Affairs

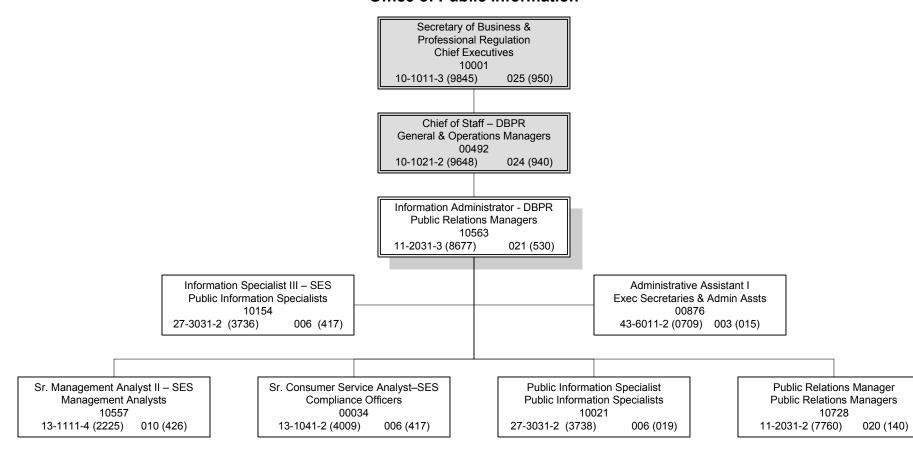
Current: 12-09-09 Last updated: 12-22-09

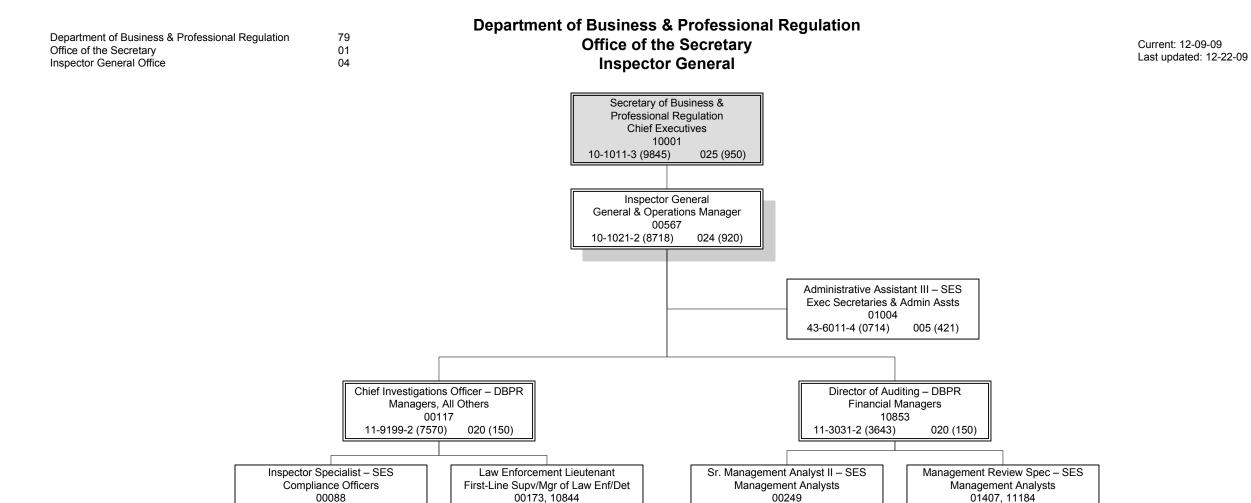




Department of Business and Professional Regulation Office of the Secretary Office of Public Information







33-1012-04 (8522) 012 (055)

88000

13-1041-4 (2240) 010 (424)

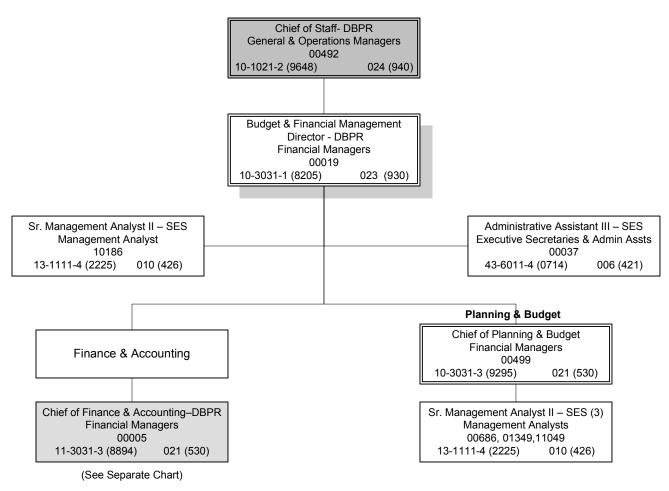
13-1111-4 (2225) 010 (426)

13-1111-4 (2239) 010 (424)

Department of Business & Professional Regulation	79
Office of the Secretary	01
Office of Budget & Financial Management	80
inance & Accounting	09

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

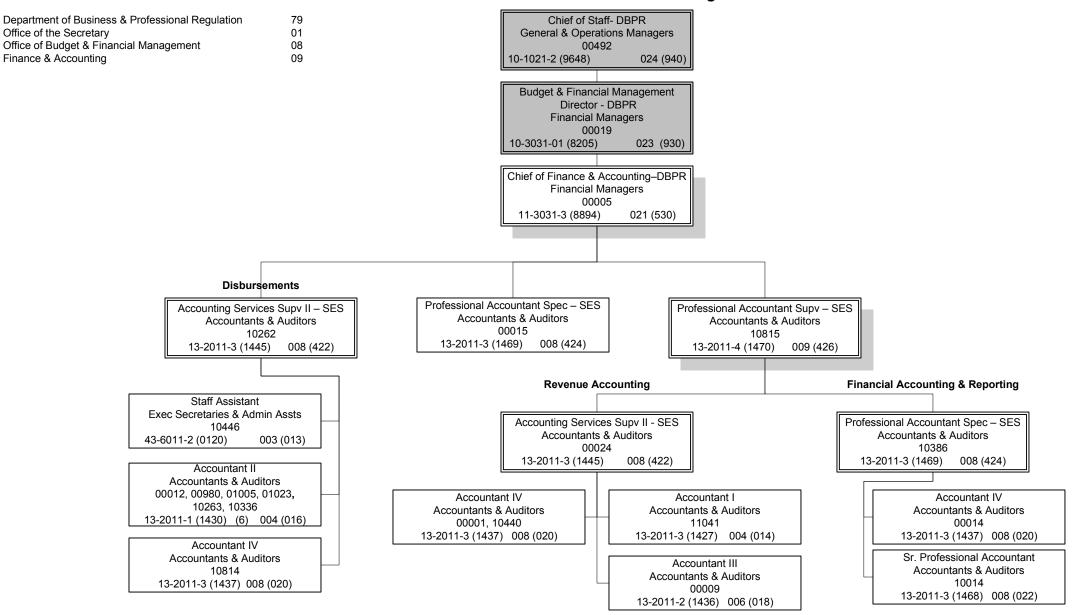
Office of the Secretary Office of Budget & Financial Management

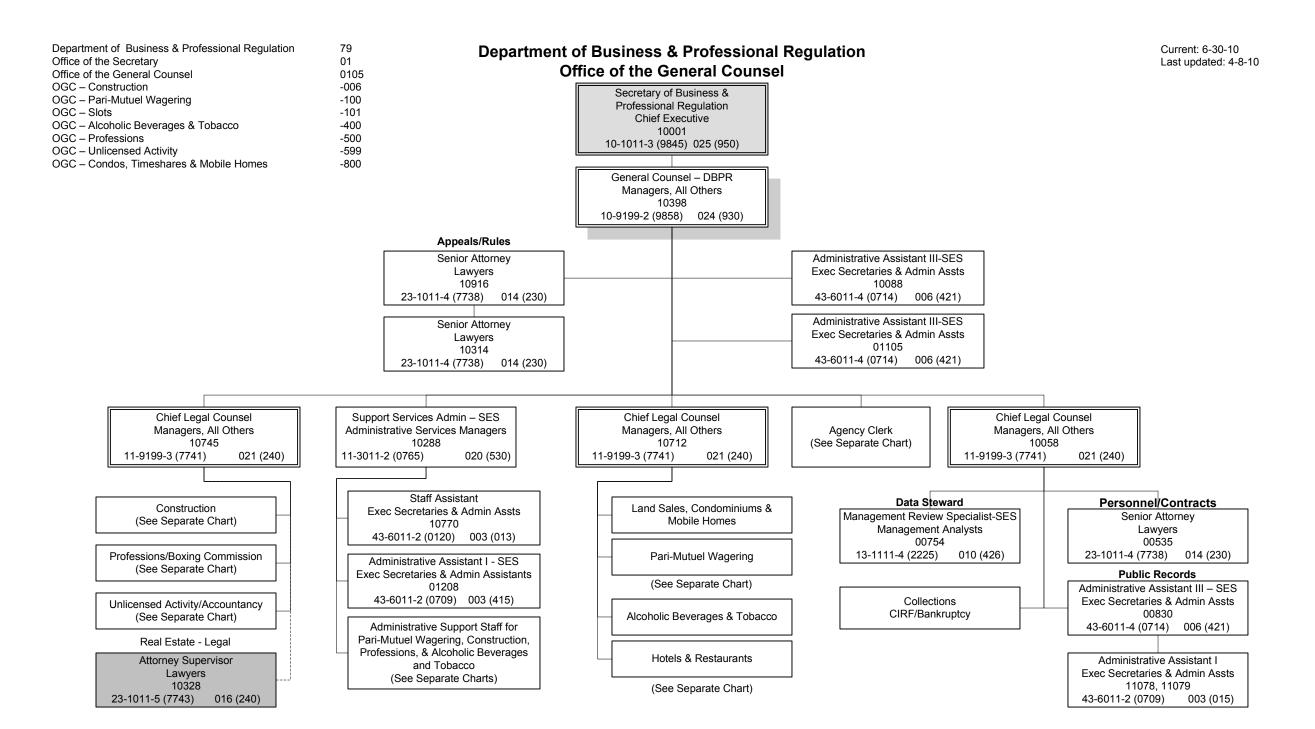


Office of the Secretary Budget & Financial Management Office of Finance & Accounting

Current: 6-30-10

Last Updated: 2-01-10







Office of the General Counsel Agency Clerk/Service of Process

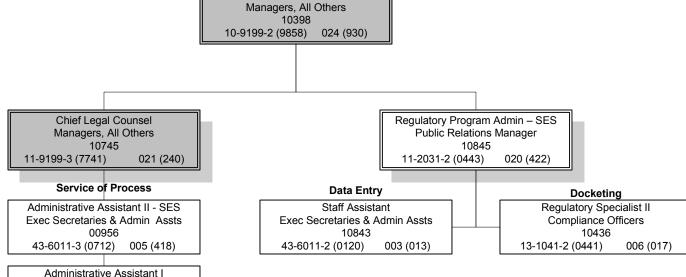
General Counsel – DBPR

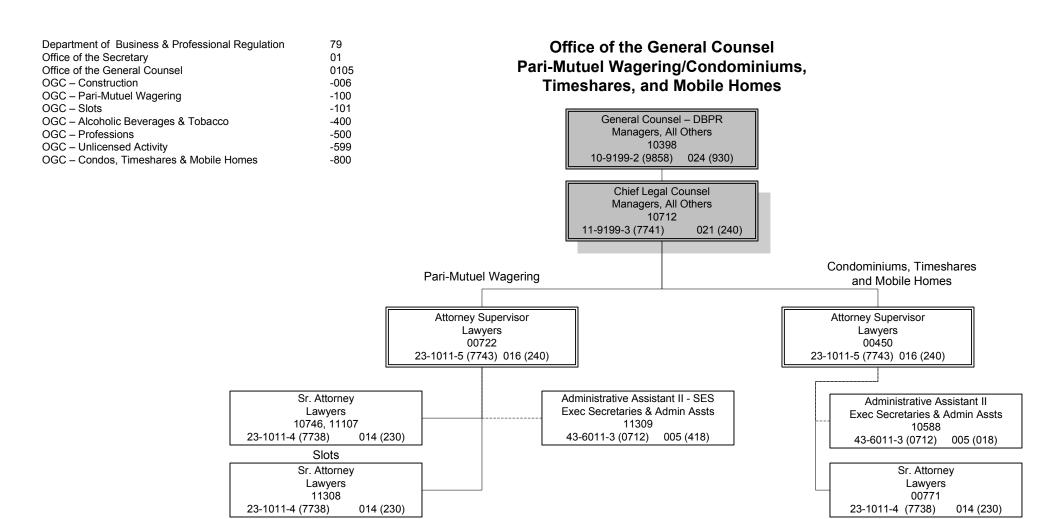
Exec Secretaries & Admin Assts 00032, 10872

003 (015)

43-6011-2 (0709)

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





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

Current: 6-30-10

Last updated: 4-8-10

Office of the General Counsel Department of Business & Professional Regulation 79 Alcoholic Beverages & Tobacco/ Office of the Secretary 01 Office of the General Counsel 0105 **Hotels & Restaurants** OGC - Construction -006 OGC - Pari-Mutuel Wagering -100 OGC - Slots -101 OGC – Alcoholic Beverages & Tobacco -400 General Counsel - DBPR OGC - Professions -500 Managers, All Others OGC - Unlicensed Activity -599 10398 OGC – Condos, Timeshares & Mobile Homes -800 10-9199-2 (9858) 024 (930) Chief Legal Counsel Managers, All Others 10712 11-9199-3 (7741) 021 (240) Alcoholic Beverages & Tobacco Hotels & Restaurants Attorney Supervisor Attorney Supervisor Lawyers Lawyers 10689 00908 23-1011-5 (7743) 016 (240) 23-1011-5 (7743) 016 (240) Administrative Assistant II Administrative Assistant III-SES Senior Attorney Exec Secretaries & Admin Assts Lawyers Exec Secretaries & Admin Assts 01209 10402, 10744 10302 43-6011-3 (0712) 005 (018) 23-1011-4 (7738) 014 (230) 43-6011-4 (0714) 006 (421) Administrative Assistant I Attorney

Lawyers

01231

010 (220)

23-1011-3 (7736)

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

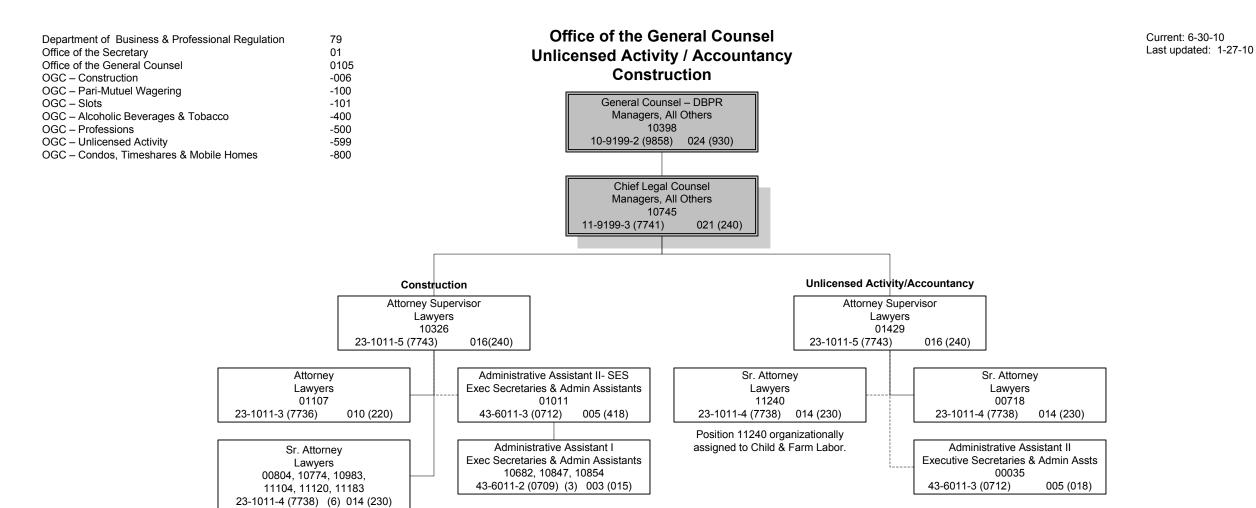
Exec Secretaries & Admin Assts

00685, 10850

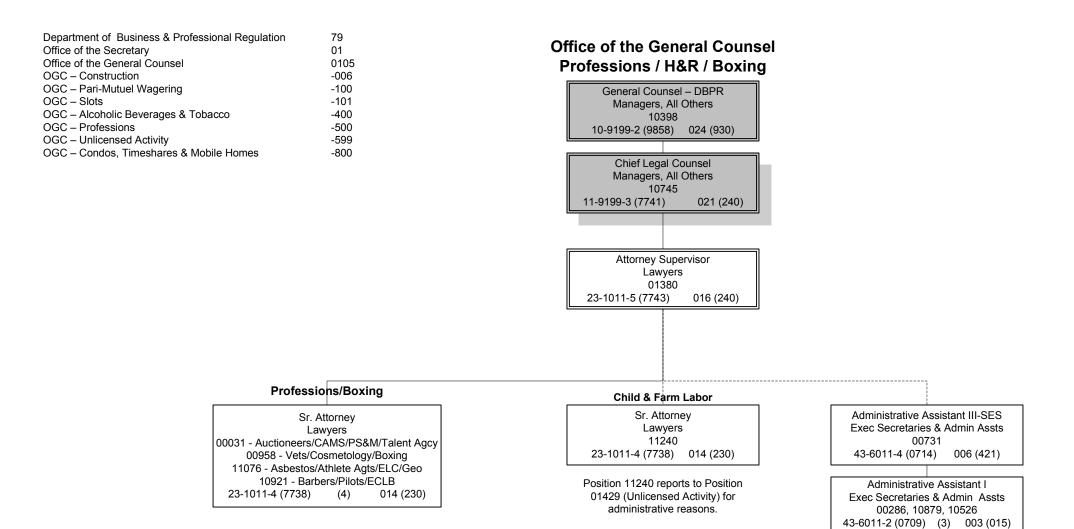
43-6011-2 (0709) 003 (015)

Current: 6-30-10

Last updated: 1-27-10



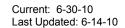
Note: The Administrative Assistant II positions #00035 and #01011, are jointly supervised by the Attorney Supervisor and the Support Services Administrator-DBPR.



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

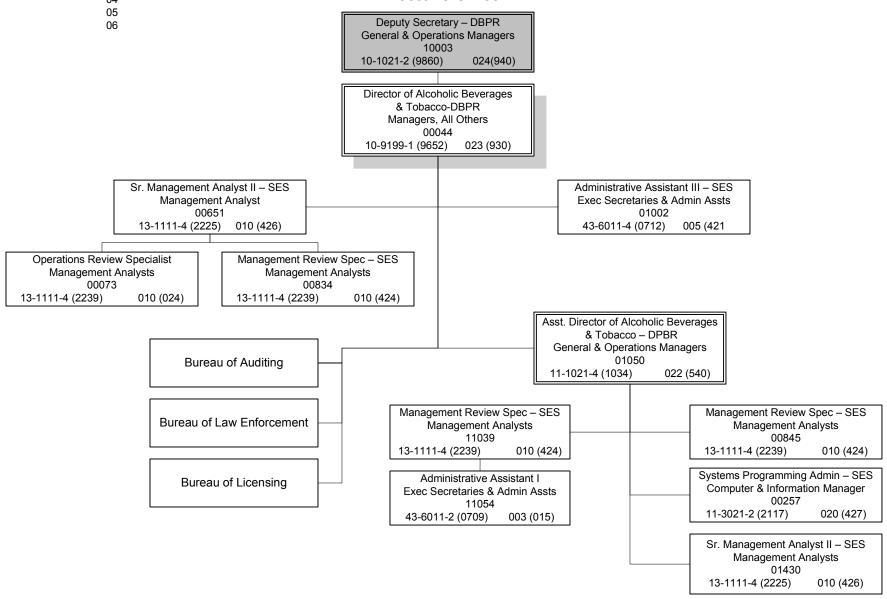
Current: 6-30-10

Last updated: 1-27-10





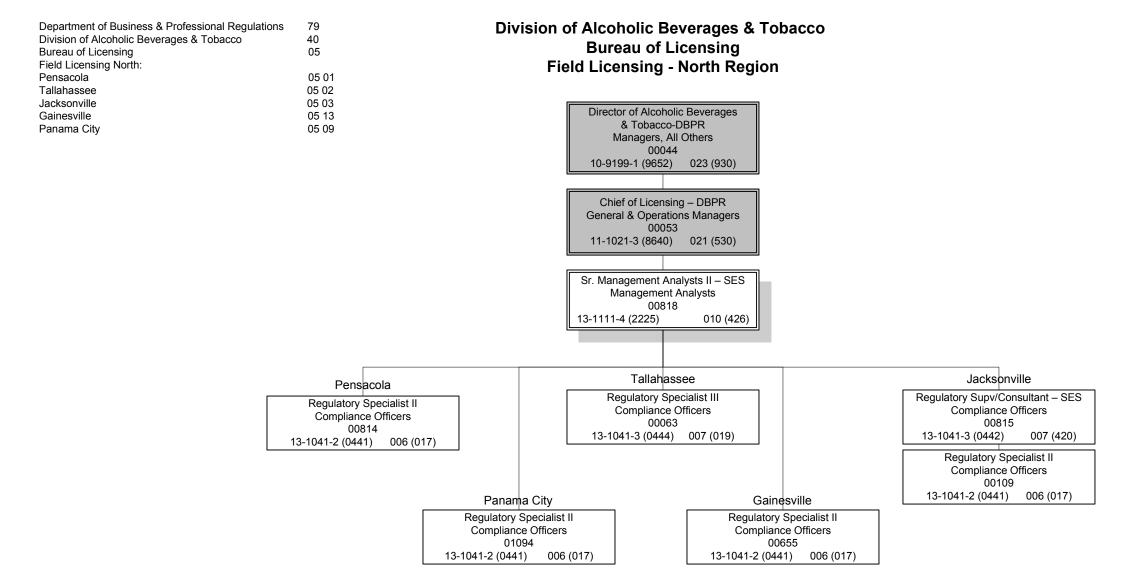
Department of Business & Professional Regulation Division of Alcoholic Beverages & Tobacco Director's Office



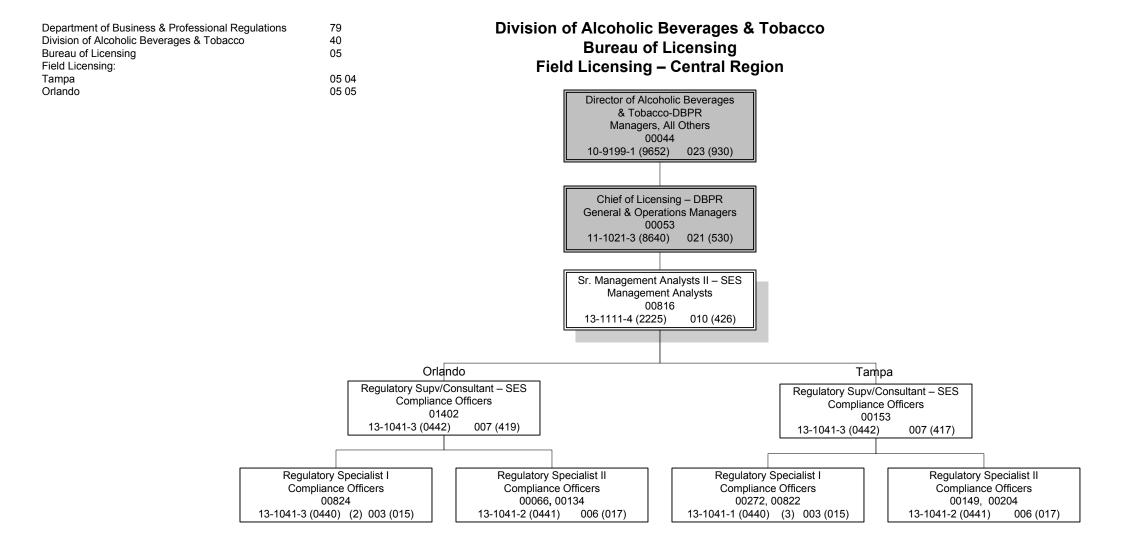
Department of Business & Professional Regulation Current: 6-30-10 Division of Alcoholic Beverages & Tobacco Division of Alcoholic Beverages & Tobacco 40 Last Updated: 6-14-10 **Bureau of Licensing** Director's Office 01 Auditing/Field Operations 04 **Chief's Office** 05 Law Enforcement 06 Director of Alcoholic Beverages & Tobacco-DBPR Managers, All Others 00044 10-9199-1 (9652) 023 (930) Chief of Licensing – DBPR General & Operations Managers 00053 11-1021-3 (8640) 021 (530) Regulatory Specialist III Administrative Assistant II Compliance Officers Exec Secretaries & Admin Assts 11047 00820 13-1041-3 (0444) 007 (019) 43-6011-3 (0712) 005 (018) License Review Records Management & Information Processing Field Licensing Sr. Management Analysts II – SES Sr. Management Analysts II – SES Management Analysts Management Analysts Field Licensing - North Region 00067 00055 (See Separate Charts) 13-1111-4 (2225) 010 (426) 13-1111-4 (2225) 010 (426) Regulatory Supv/Consultant - SES Regulatory Specialist II Field Licensing – Central Region Regulatory Specialist II Compliance Officers Compliance Officers (See Separate Charts) Compliance Officers 00826 00060, 00061, 00119, 00196, 01401 00058, 00089, 00823, 01052, 01400 13-1041-3 (0444) 007 (419) 13-1041-2 (0441) (5) 006 (017) 13-1041-2 (0441) (5) 006 (017) Field Licensing – South Region (See Separate Charts) Regulatory Specialist I Compliance Officers 00062 13-1041-1 (0440) 003 (015) Staff Assistant Exec. Secretaries & Admin Assts 00897, 11035 43-6011-2 (0120) (2) 003 (013)

79

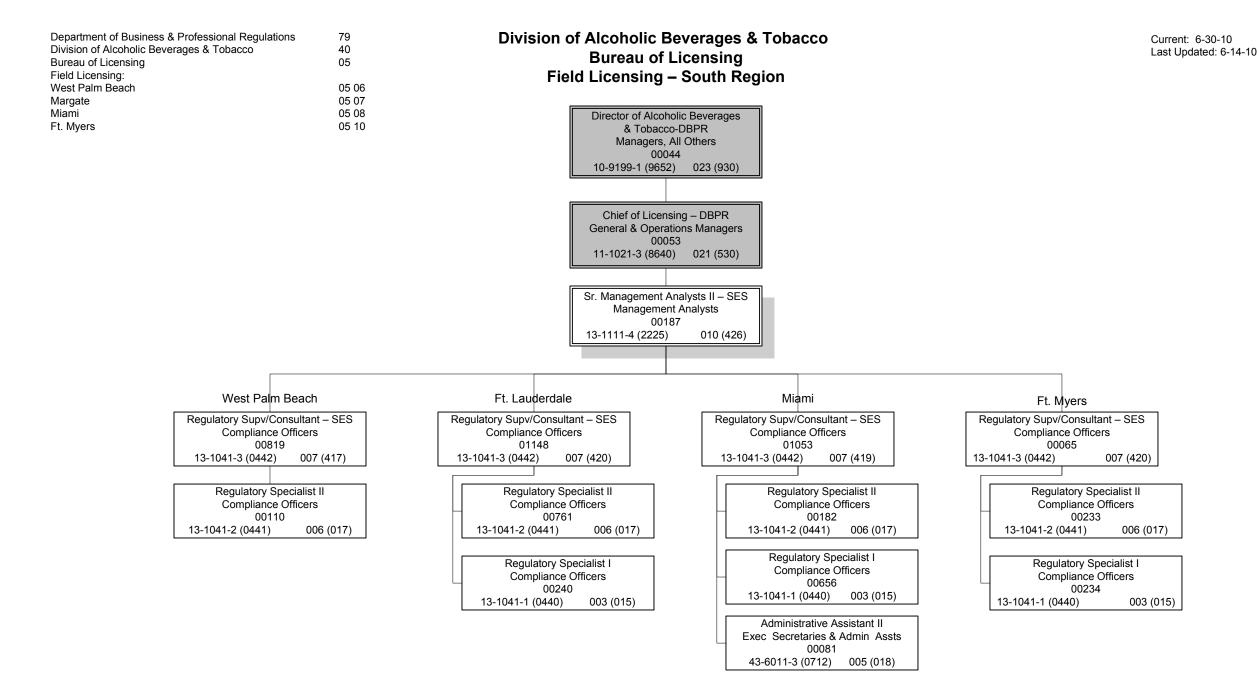
Licensing

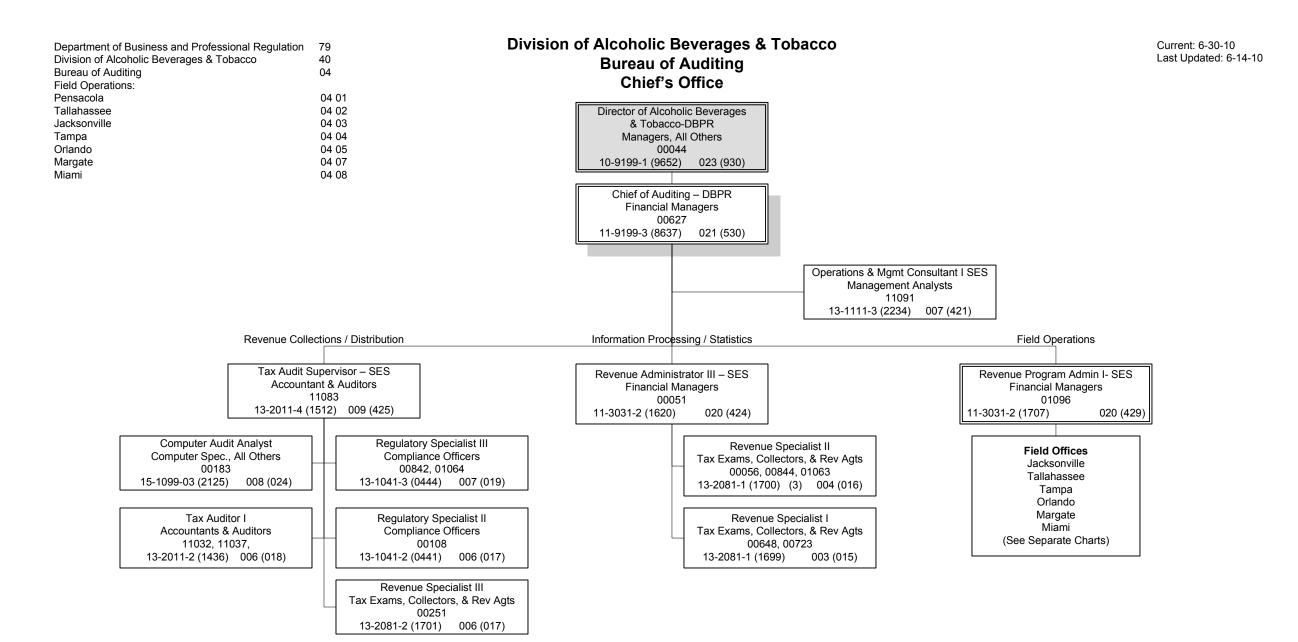


Current: 6-30-10



Current: 6-30-10

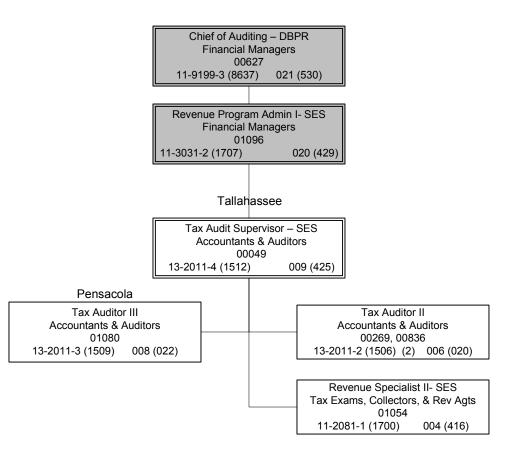




Department of Business and Professional Regulation	79
Division of Alcoholic Beverages & Tobacco	40
Bureau of Auditing	04
Field Operations:	
Pensacola	04 01
Tallahassee	04 02
Jacksonville	04 03
Tampa	04 04
Orlando	04 05
Margate	04 07
Miami	04 08

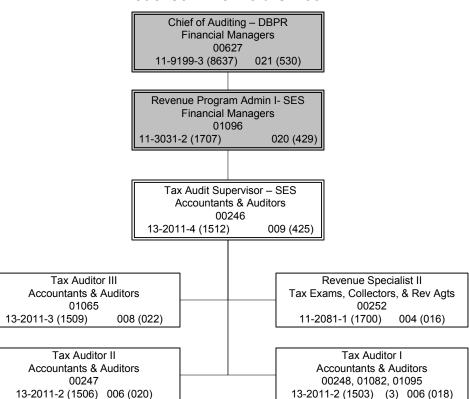
Division of Alcoholic Beverages & Tobacco Bureau of Auditing Pensacola and Tallahassee Field Offices

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



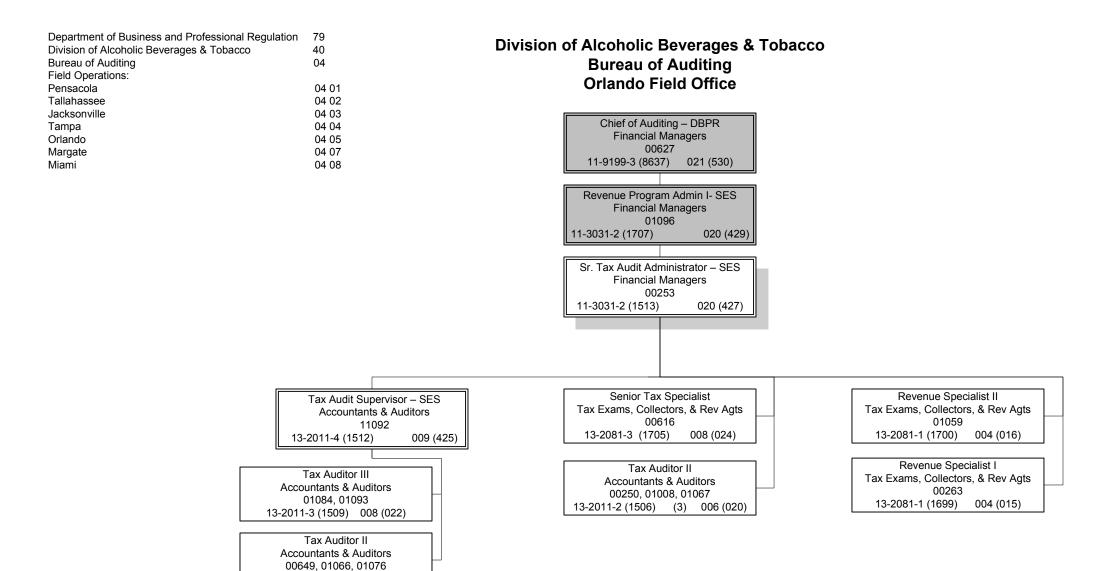
79
40
04
04 01
04 02
04 03
04 04
04 05
04 07
04 08

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



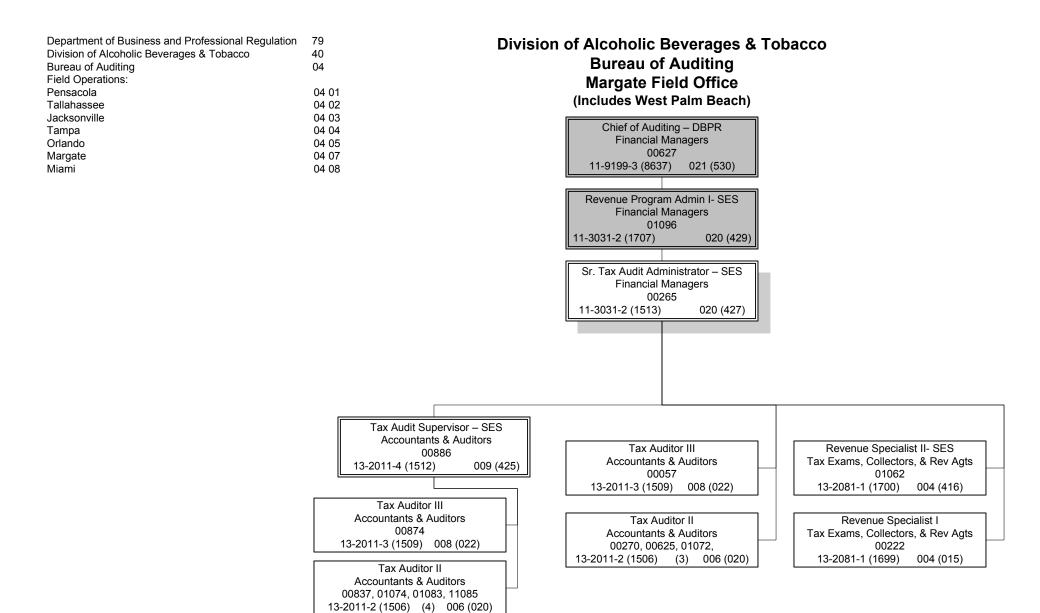
Current: 6-30-10 Last Updated: 6-14-10

Accountants & Auditors 00626, 00841, 01078, 01079, 01090, 13-2011-2 (1506) (5) 006 (020) Current: 6-30-10 Last Updated: 6-14-10

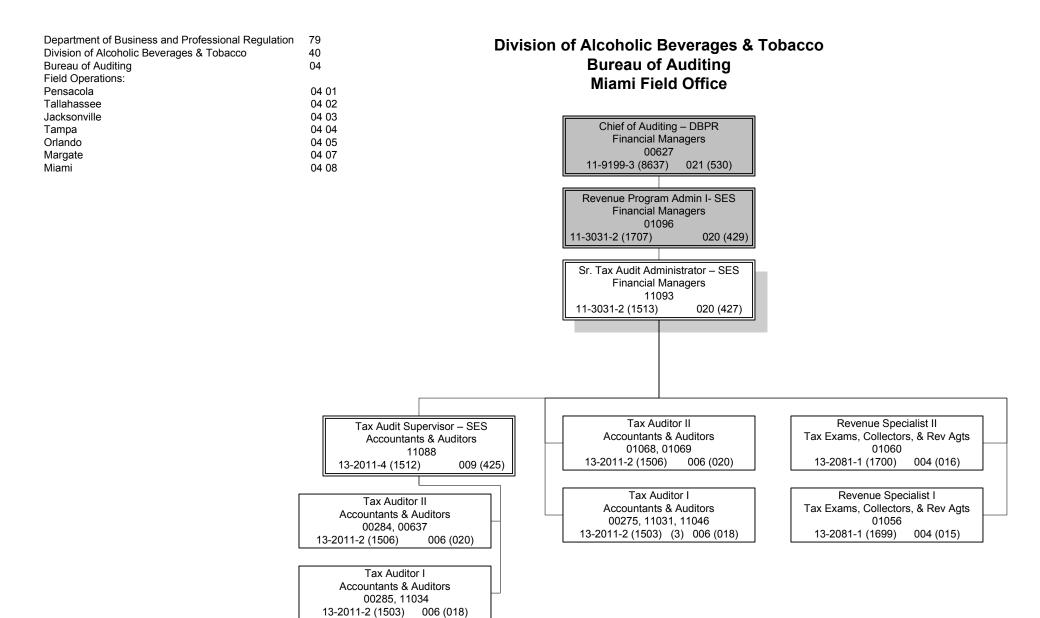


13-2011-2 (1506) (3) 006 (020)

Current: 6-30-10



Current: 6-30-10



Current: 6-30-10

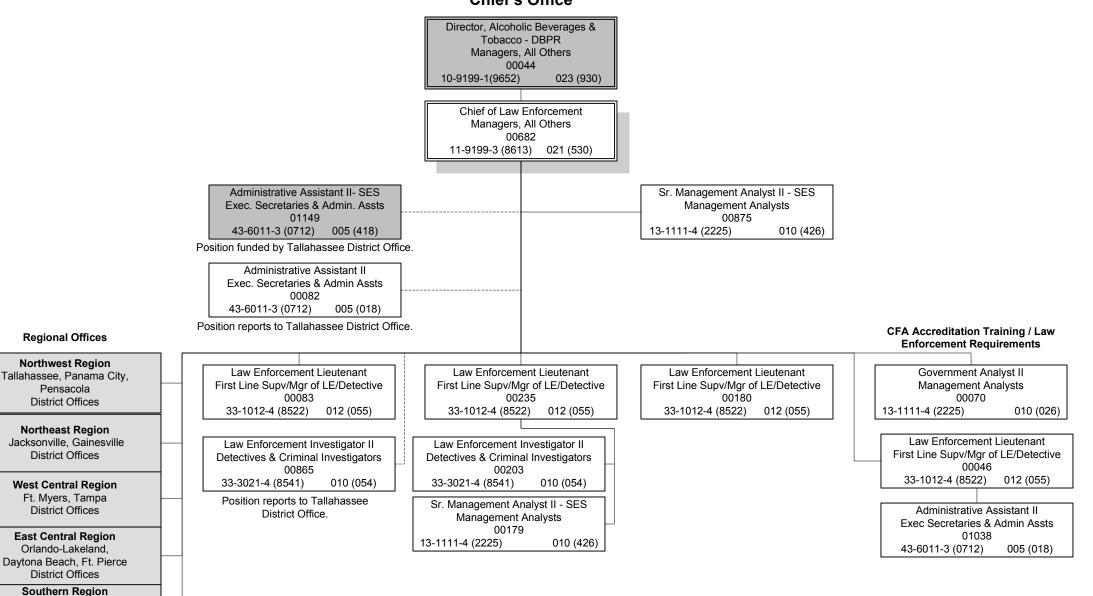
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Division of Alcoholic Beverages & Tobacco Bureau of Law Enforcement Chief's Office

Current: 6-30-10 Last Updated: 1-12-10

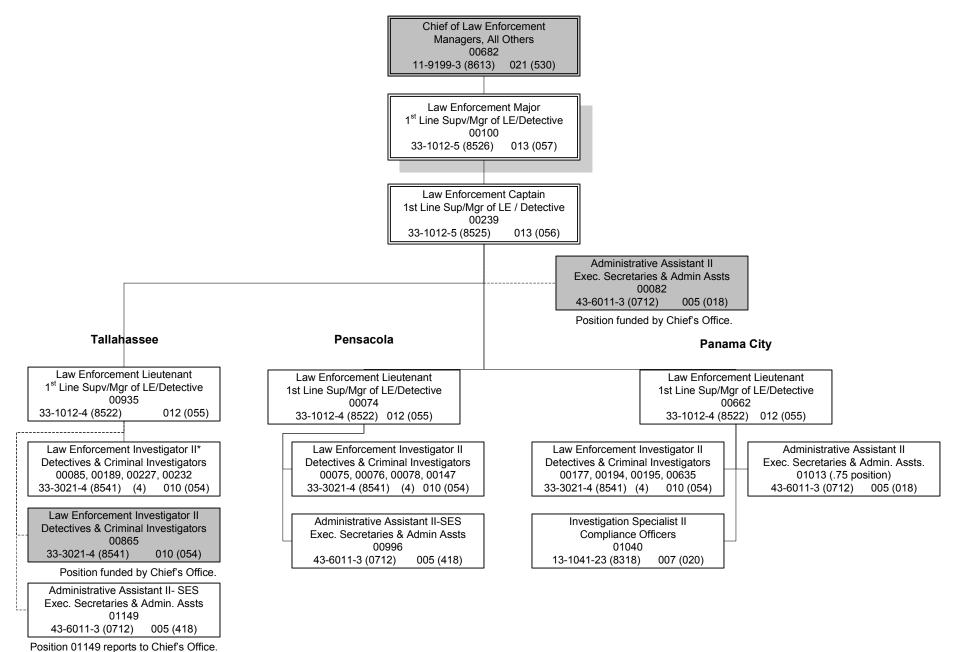


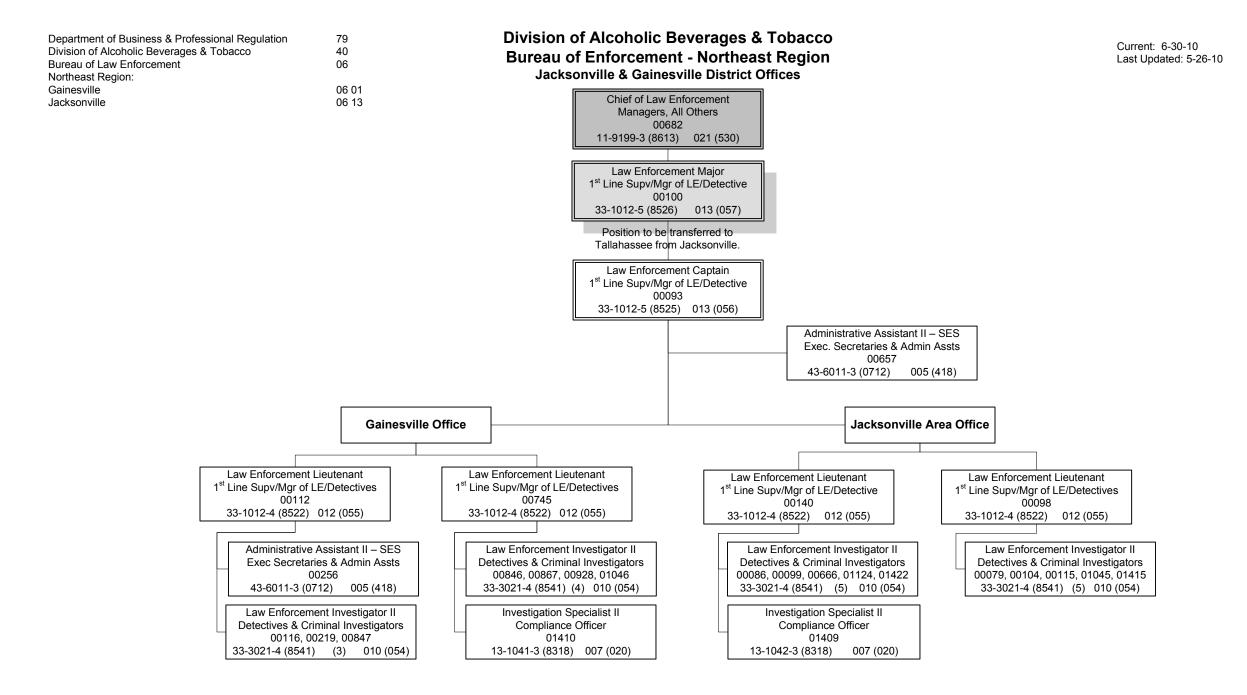
Miami, West Palm Beach, Margate, Key West District Offices



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

Current: 6-30-10 Last Updated: 1-12-10





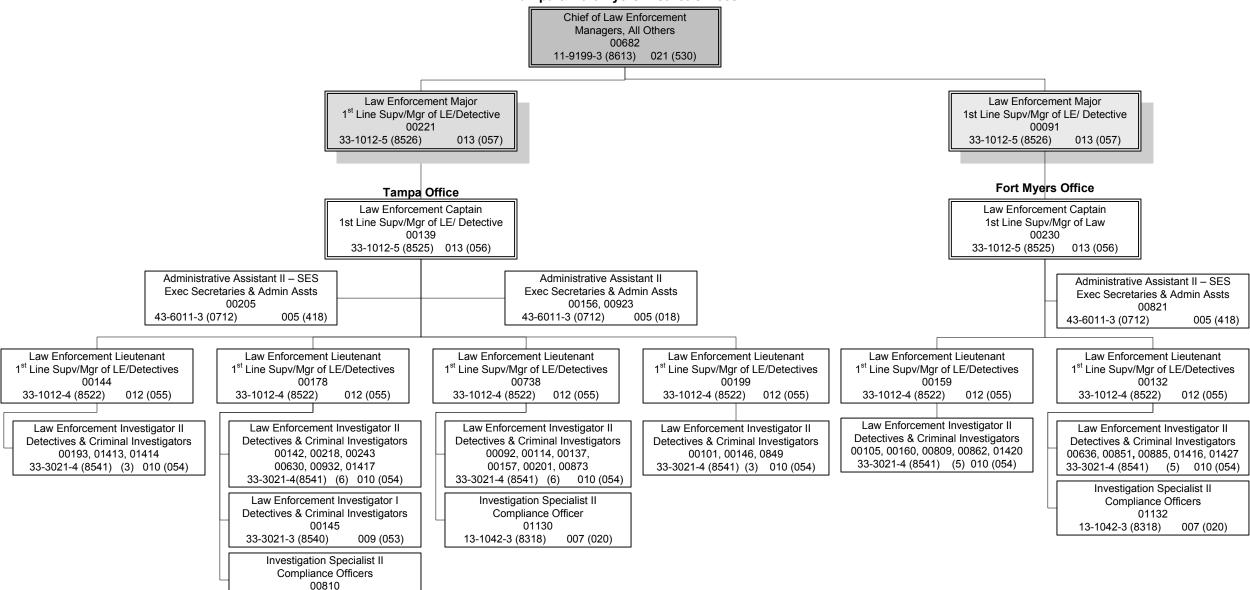


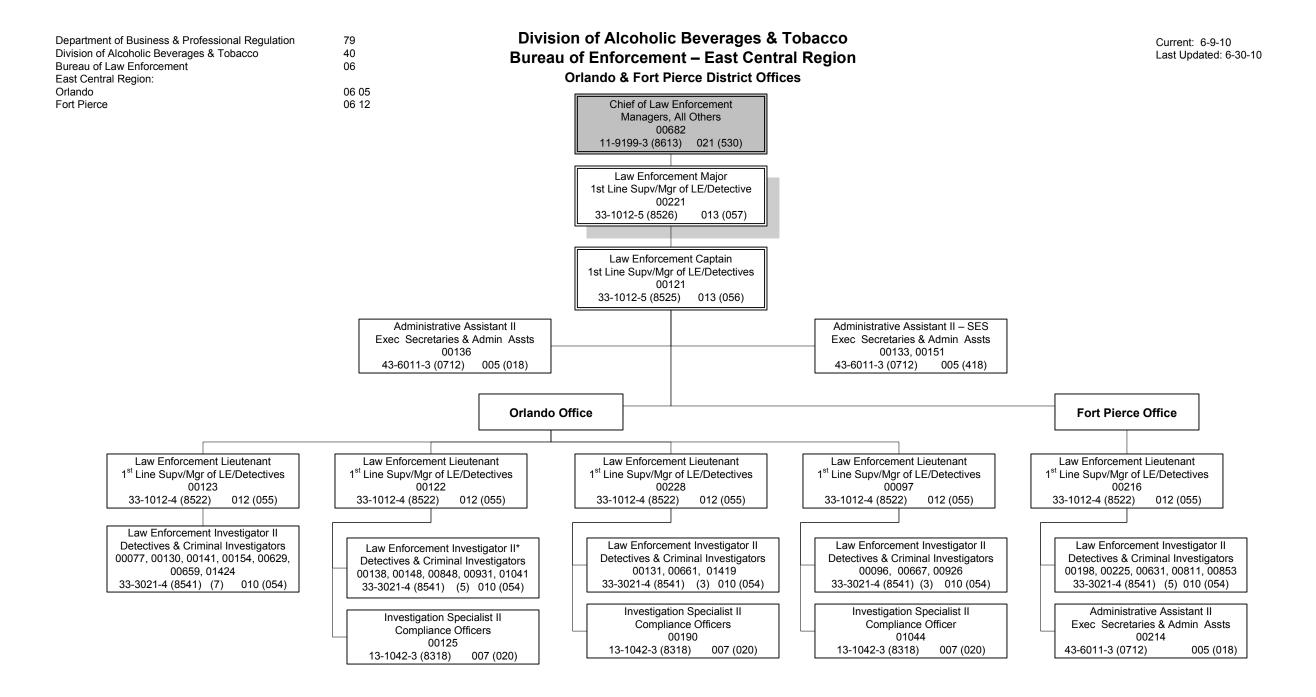
13-1042-3 (8318)

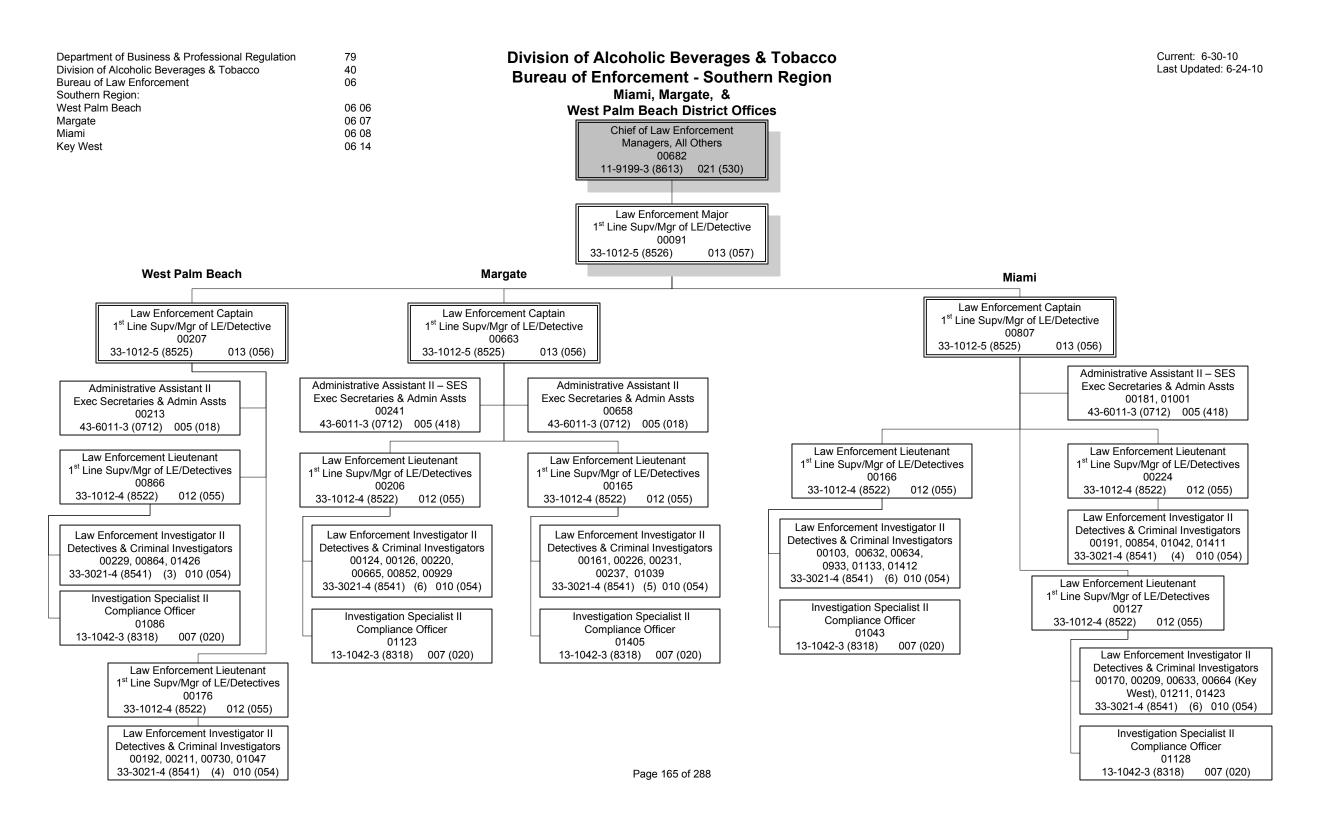
007 (020)

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

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

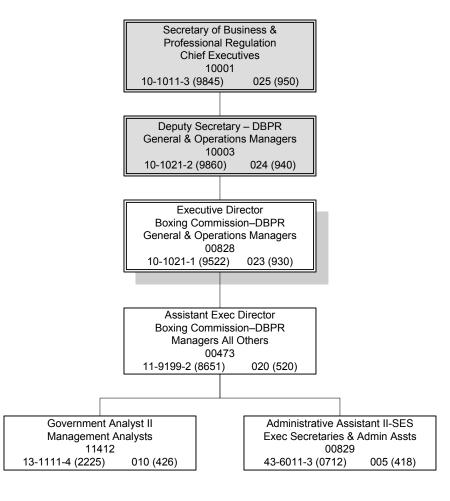






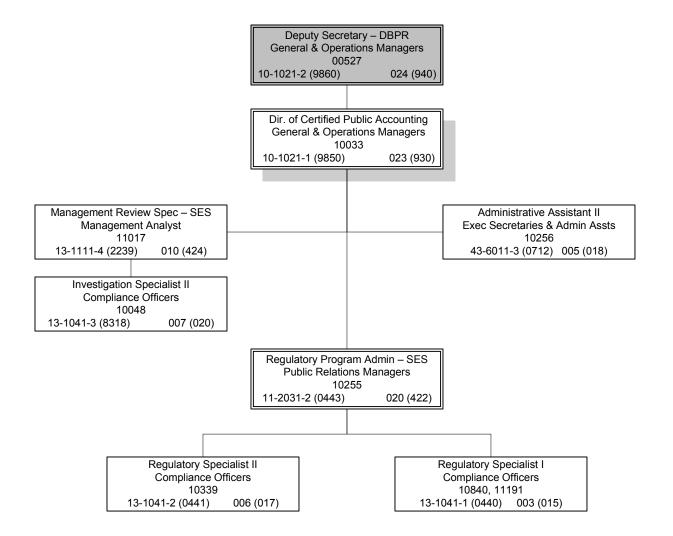
Department of Business & Professional Regulation Florida Boxing Commission

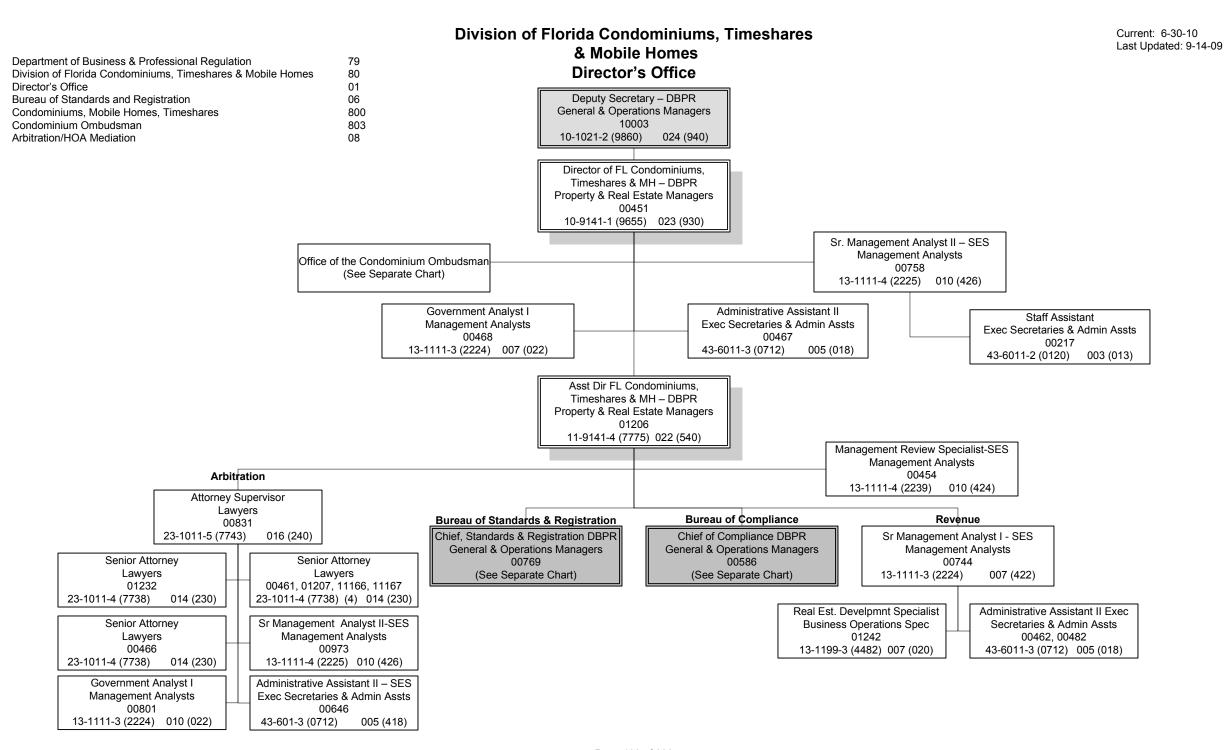
Current: 6-30-10 Last Updated: 10-17-08



Current: 6-30-10 Last Update: 9-14-07

Department of Business & Professional Regulations Division of Certified Public Accounting

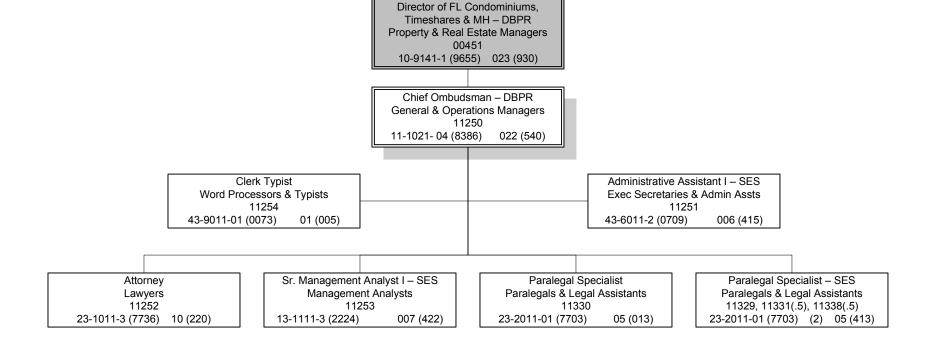


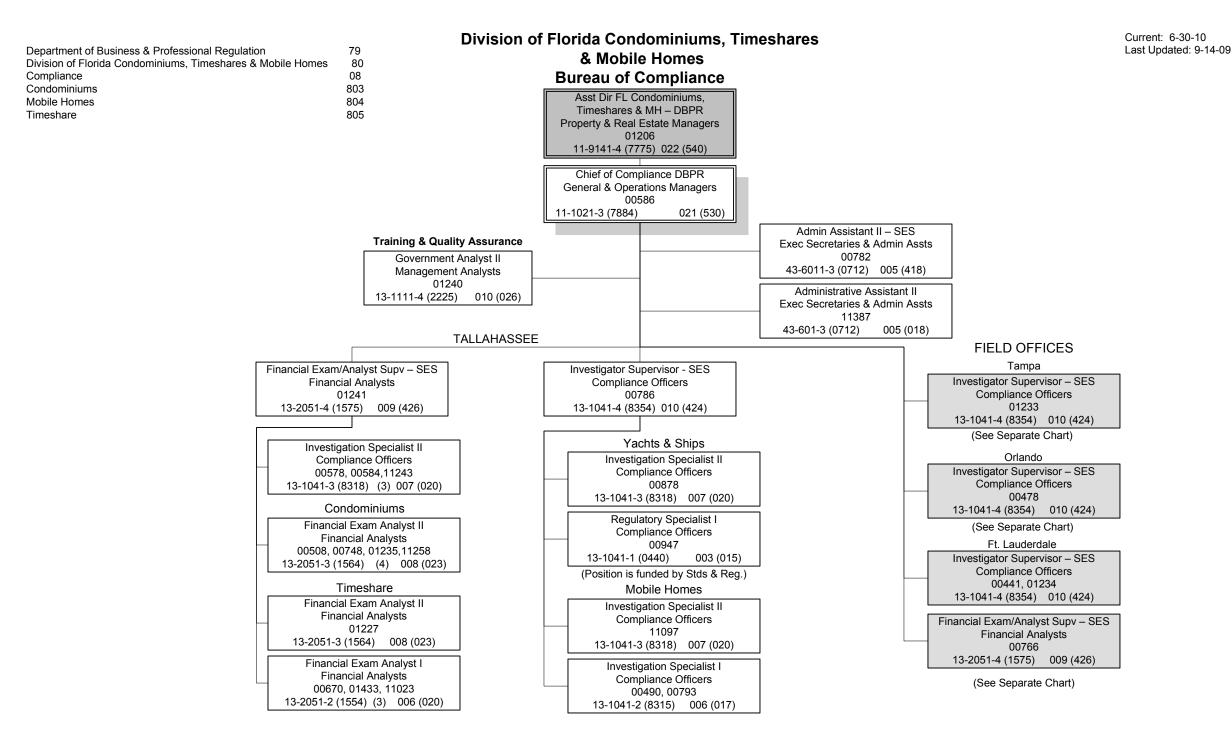


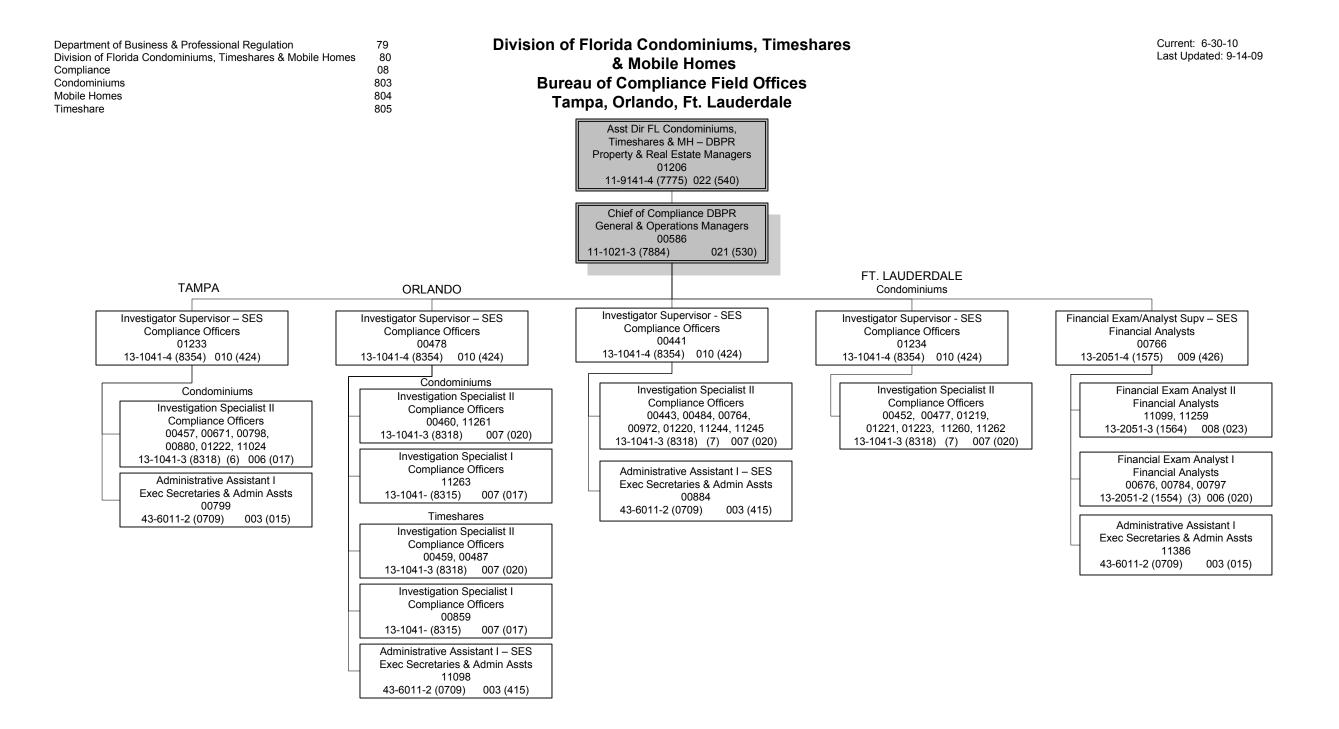
Department of Business & Professional Regulation	79
,	. •
Division of Florida Condominiums, Timeshares & Mobile Homes	80
Director's Office	01
Bureau of Standards and Registration	06
Condominiums, Mobile Homes, Timeshares	800
Condominium Ombudsman	803
Arbitration/HOA Mediation	80

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

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







Department of Business & Professional Regulation 79 **Division of Florida Condominiums, Timeshares** Division of Florida Condominiums, Timeshares & Mobile Homes 80 & Mobile Homes Director's Office 01 Bureau of Standards and Registration 06 **Bureau of Standards & Registration** Condominiums. Mobile Homes. Timeshares 800 Condominium Ombudsman 803 Arbitration/HOA Mediation 80 Asst Dir FL Condominiums, Timeshares & MH – DBPR Property & Real Estate Managers 01206 11-9141-4 (7775) 022 (540) Chief, Standards & Registration DBPR General & Operations Managers 00769 11-1021-3 (9868) 021 (530) Staff Assistant Administrative Asst II – SES Exec Secretaries & Admin Assts Exec Secretaries & Admin Assts 00751 11168 43-6011-2 (0120) 003 (013) 43-6011-3 (0712) 005 (418) Condominiums **Timeshare Mobile Homes** Real Estate Devpmt Spec Supv-SES Real Estate DevLPmt Spec Supv-SES Real Estate Devlpmt Spec Supv-SES Business Opers Specialist, All Others Business Opers Specialist, All Others Business Opers Specialist, All Others 00583 00792 11022 13-1199-4 (4484) 13-1199-4 (4484) 010 (422) 13-1199-4 (4484) 010 (422) 010 (422) Real Estate Development Spec Real Estate Development Spec Real Estate Development Spec Business Opers Specs, All Others Business Opers Specs, All Others Business Opers Specs, All Others

00737, 00783, 00800,

00877, 00898, 01204

13-1199-3 (4482) (6) 007 (020)

Administrative Assistant II

Exec Secretaries & Admin Assts

00463

005 (018)

43-6011-3 (0712)

43-6011-3 (0712)

00677, 00733, 00740,

00768, 11100, 11256

13-1199-3 (4482) (6) 007 (020)

Administrative Assistant II

Exec Secretaries & Admin Assts

00469

005 (018)

00444, 00465, 00582,

000672, 00788, 11257

Administrative Assistant II

Exec Secretaries & Admin Assts

00489

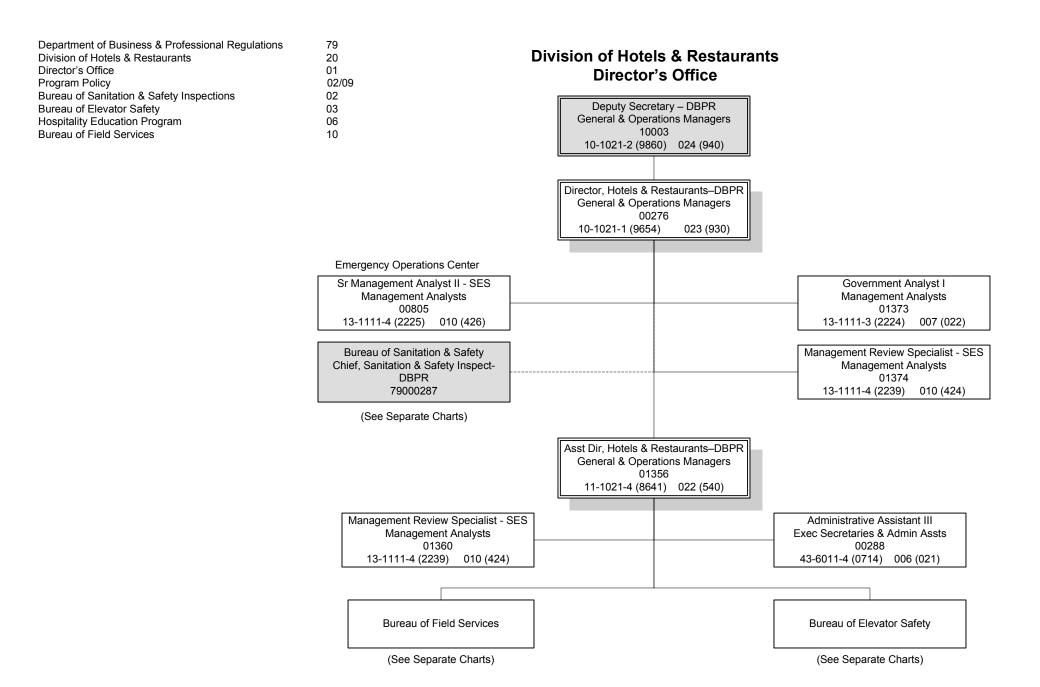
007 (020)

005 (018)

13-1199-3 (4482) (6)

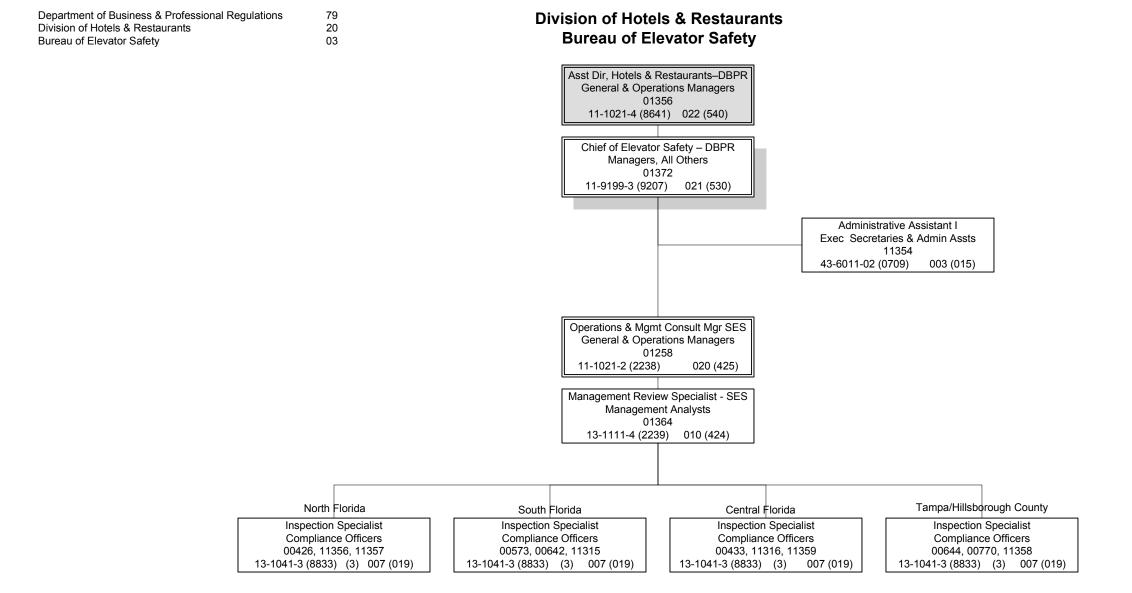
43-6011-3 (0712)

Current: 6-30-10



Current: 4-30-10

Last Updated: 6-30-10



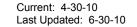
Current: 4-30-10

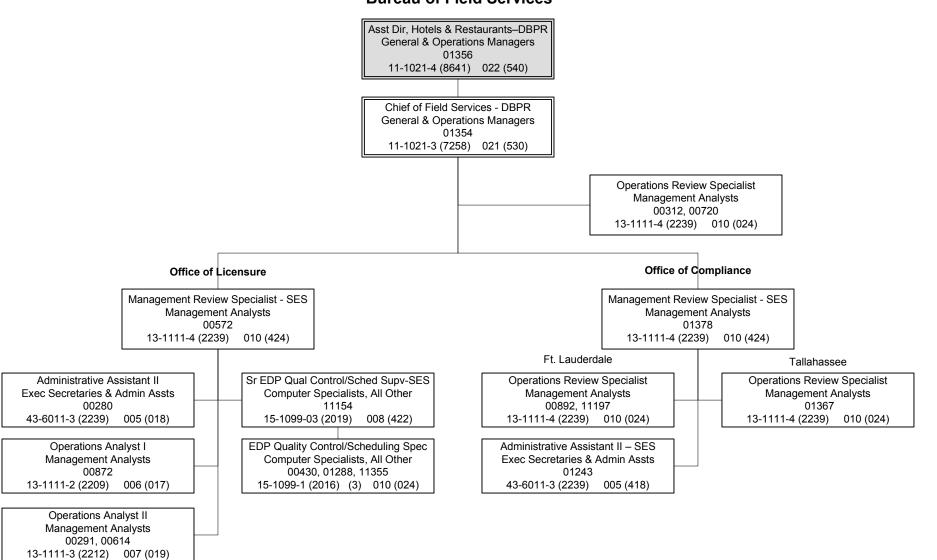
Last Updated: 6-30-10

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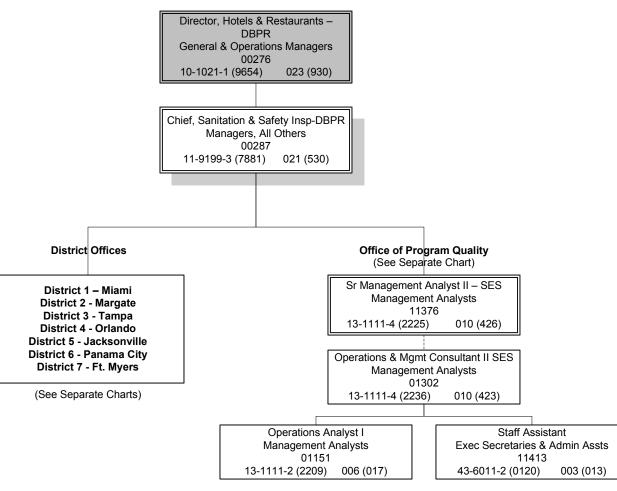




Current: 6-30-10 Last Updated: 5-18-10



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

All positions in Dade County unless identified otherwise.

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

Chief, Sanitation & Safety Insp-DBPR
Managers, All Others
00287
11-9199-3 (7881) 021 (530)

Sanitation & Safety Admin – SES Managers, All Others 00373 11-9199-2 (8891) 020 (424)

Sanitation & Safety Supv – SES Compliance Officers 00298 13-1041-4 (8895) 010 (422)

> Sr Sanitation & Safety Specialist Compliance Officers 00403, 01245 13-1041-3 (8889) (2) 007 (020)

> Sanitation & Safety Specialist Compliance Officers 00313, 00381, 00386, 01244 01278, 01284, 11128, 11363 13-1041-2 (8888) (8) 006 (019)

Sanitation & Safety Supv – SES Compliance Officers 11377 13-1041-4 (8895) 010 (422)

> Sr Sanitation & Safety Specialist Compliance Officers 00379, 00382, 01270 13-1041-3 (8889) (2) 007 (020)

Sanitation & Safety Specialist Compliance Officers 01267, 01271, 01275, 01283, 11193, 11364 13-1041-2 (8888) (6) 006 (019) Sanitation & Safety Supv – SES Compliance Officers 01343 13-1041-4 (8895) 010 (422)

> Sr Sanitation & Safety Specialist Compliance Officers 00948, 01246 13-1041-3 (8889) 007 (020)

Sanitation & Safety Specialist Compliance Officers 00320, 00396, 00398, 01113, 01269, 01276, 01280 13-1041-2 (8888) (7) 006 (019) Mgmt Review Specialist – SES Management Analyst 00330 13-1111-4 (2239) 010 (424)

> Administrative Assistant II – SES Exec Secretaries & Admin Assts 00390 43-6011-3 (0712) 005 (418)

> > Staff Assistant
> > Exec Secretaries & Admin Assts
> > 00743
> > 43-6011-2 (0120) 003 (013)

Current: 6-30-10

Last Updated: 5-18-10

Senior Clerk
Office Clerks, General
00399
43-9061-2 (0004) 003 (011)

Division of Hotels & Restaurants Department of Business & Professional Regulations 79 20 Division of Hotels & Restaurants **Sanitation & Safety Inspections** Sanitation & Safety Inspections 02 **District 2 - Margate** District 2 - Margate 03 All positions in Broward Chief, Sanitation & Safety Insp-DBPR unless identified otherwise Managers, All Others 00287 11-9199-3 (7881) 021 (530) Sanitation & Safety Admin - SES Managers, All Others 01383 11-9199-2 (8891) 020 (424) Sanitation & Safety Supv - SES Sanitation & Safety Supv – SES Sanitation & Safety Supv - SES Mgmt Review Specialist – SES Compliance Officers Compliance Officers **Compliance Officers** Management Analyst 01382 01342 11378 00292 13-1041-4 (8895) 010 (422) 13-1041-4 (8895) 010 (422) 13-1041-4 (8895) 010 (422) 13-1111-4 (2239) 010 (424) Administrative Assistant II – SES Sr Sanitation & Safety Specialist Sr Sanitation & Safety Specialist Sr Sanitation & Safety Specialist Exec Secretaries & Admin Assts Compliance Officers Compliance Officers Compliance Officers 01384 00358, 01247 00351, 11132 01101, 01249, 11325 43-6011-3 (0712) 005 (418) 13-1041-3 (8889) (2) 007 (020) 13-1041-3 (8889) (2) 007 (020) 13-1041-3 (8889) (3) 007 (020) Staff Assistant Sanitation & Safety Specialist Exec Secretaries & Admin Assts Sanitation & Safety Specialist Sanitation & Safety Specialist Compliance Officers 00365, 11360 Compliance Officers Compliance Officers 00361, 01287, 01289, 01336, 00362, 00375, 00869, 01260, 01279, 43-6011-2 (0120) 003 (013) 00350, 00364, 00372, 00387, 01274, 01281, 01285, 11131, 11318, 11365 01352, 11130, 11317 01363, 11185, 11366 13-1041-2 (8888) (10) 006 (019) 13-1041-2 (8888) (8) 006 (019) 13-1041-2 (8888) (7) 006 (019) Senior Clerk Office Clerks. General 01345 43-9061-2 (0004) 003 (011)

Current: 6-30-10

Last Updated: 5-18-10

Department of Business & Professional Regulations 79 Division of Hotels & Restaurants 20 Sanitation & Safety Inspections 02 District 3 - Tampa 04 All positions in Hillsborough unless identified otherwise

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

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

Chief, Sanitation & Safety Insp-DBPR Managers, All Others 00287 11-9199-3 (7881) 021 (530)

Sanitation & Safety Admin – SES Managers, All Others 00324 11-9199-2 (8891) 020 (424)

Pinellas County

Sanitation & Safety Supv – SES **Compliance Officers** 00331 13-1041-4 (8895) 010 (422)

Pinellas County

Sr Sanitation & Safety Specialist **Compliance Officers** 01291, 01300 13-1041-3 (8889) 007 (020)

Pinellas County

Sanitation & Safety Specialist **Compliance Officers** 00341, 00344, 01292, 01298, 01299, 01303, 01389, 11137 13-1041-2 (8888) (8) 006 (019) Sanitation & Safety Supv – SES **Compliance Officers** 01365 010 (422)

13-1041-4 (8895)

Sr Sanitation & Safety Specialist Compliance Officers 00305, 01111, 11326 13-1041-3 (8889) (3) 007 (020)

Sanitation & Safety Specialist Compliance Officers 00367, 01253, 11138, 11368 13-1041-2 (8888) (4) 006 (019)

Polk County

Sanitation & Safety Specialist Compliance Officers 00335, 00336, 01375, 11418 13-1041-2 (8888) (4) 006 (019) Sanitation & Safety Supv – SES Compliance Officers 11379 010 (422)

13-1041-4 (8895)

Sr Sanitation & Safety Specialist **Compliance Officers** 01252 (Citrus), 01297, 01358 13-1041-3 (8889) (3) 007 (020)

Sanitation & Safety Specialist Compliance Officers 00328, 11319, 11367 13-1041-2 (8888) (3) 006 (019)

Hernando County

Sanitation & Safety Specialist **Compliance Officers** 00329, 11134 13-1041-2 (8888) 006 (019)

Pasco County

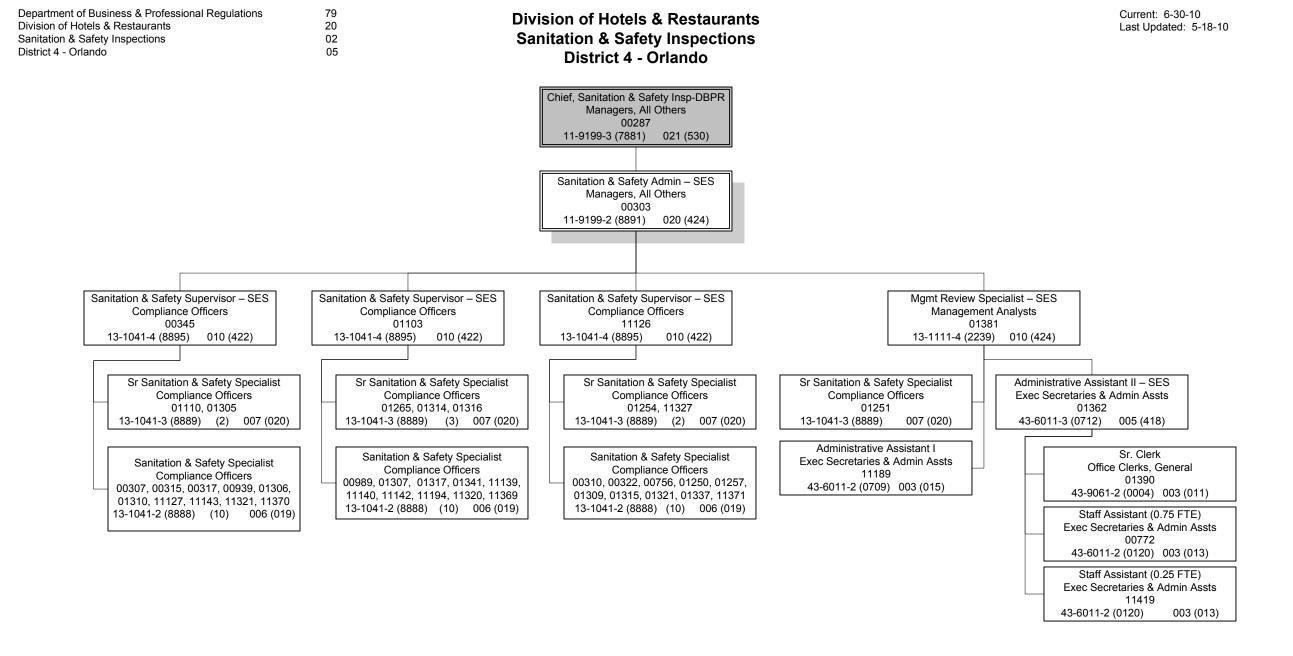
Sanitation & Safety Specialist **Compliance Officers** 01293, 01295 13-1041-2 (8888) 006 (019) Mgmt Review Specialist – SES Management Analyst 00359

13-1111-4 (2239) 010 (424)

Administrative Assistant II – SES Exec Secretaries & Admin Assts 01359 43-6011-3 (0712) 005 (418)

> Staff Assistant Exec Secretaries & Admin Assts 01387, 11361 43-6011-2 (0120) 003 (013)

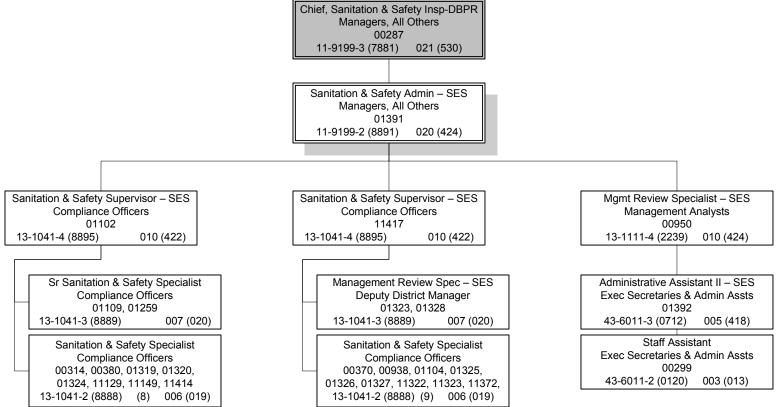
Senior Clerk Office Clerks, General 00369 43-9061-2 (0004) 003 (011)



Department of Business & Professional Regulations 79 20 Division of Hotels & Restaurants Sanitation & Safety Inspections 02 District 5 - Jacksonville 06

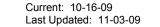
Division of Hotels & Restaurants Sanitation & Safety Inspections District 5 - Jacksonville

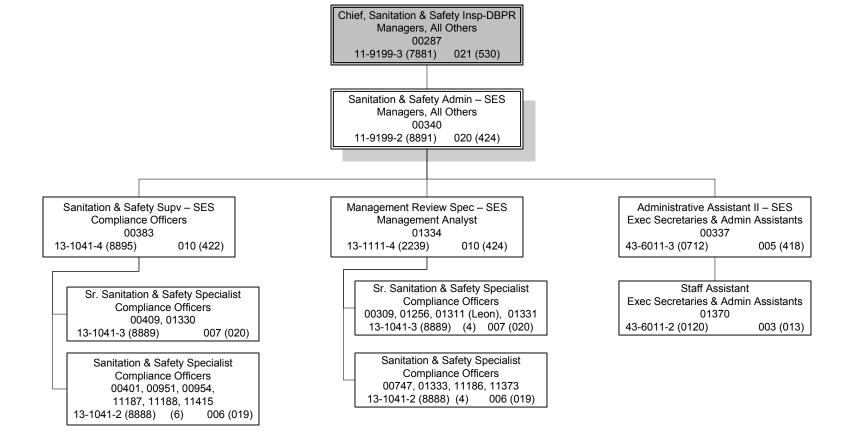




Department of Business & Professional Regulations 79
Division of Hotels & Restaurants 20
Sanitation & Safety Inspections 02
District 6 – Panama City 07

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





Department of Business & Professional Regulations 79 **Division of Hotels & Restaurants** Division of Hotels & Restaurants 20 Sanitation & Safety Inspections 02 **Sanitation & Safety Inspections** District 7 - Ft. Myers 80 District 7 - Ft. Myers Chief, Sanitation & Safety Insp-DBPR Managers, All Others 00287 11-9199-3 (7881) 021 (530) Sanitation & Safety Admin – SES Managers, All Others 01395 11-9199-2 (8891) 020 (424) Sanitation & Safety Supervisor – SES Sanitation & Safety Supervisor – SES Mgmt Review Specialist - SES Compliance Officers Compliance Officers Management Analyst 01399 11328 01366 13-1041-4 (8895) 010 (422) 13-1041-4 (8895) 010 (422) 13-1111-4 (2239) 010 (424) Sr Sanitation & Safety Specialist Management Review Spec - SES Administrative Assistant II – SES Compliance Officers Deputy District Manager Exec Secretaries & Admin Asst 00304, 00410, 01248 01112 01361 13-1041-3 (8889) (3) 007 (020) 13-1041-3 (8889) 007 (020) 43-6011-3 (0712) 005 (418)

Sanitation & Safety Specialist

Compliance Officers

00338, 01335, 01338, 01339, 01377,

11144, 11146, 11148, 11324, 11375

13-1041-2 (8888) (10) 006 (019)

Sanitation & Safety Specialist

Compliance Officers

00333, 00955, 11145,

11147, 11374, 11416

13-1041-2 (8888) (6) 006 (019)

Current: 6-30-10

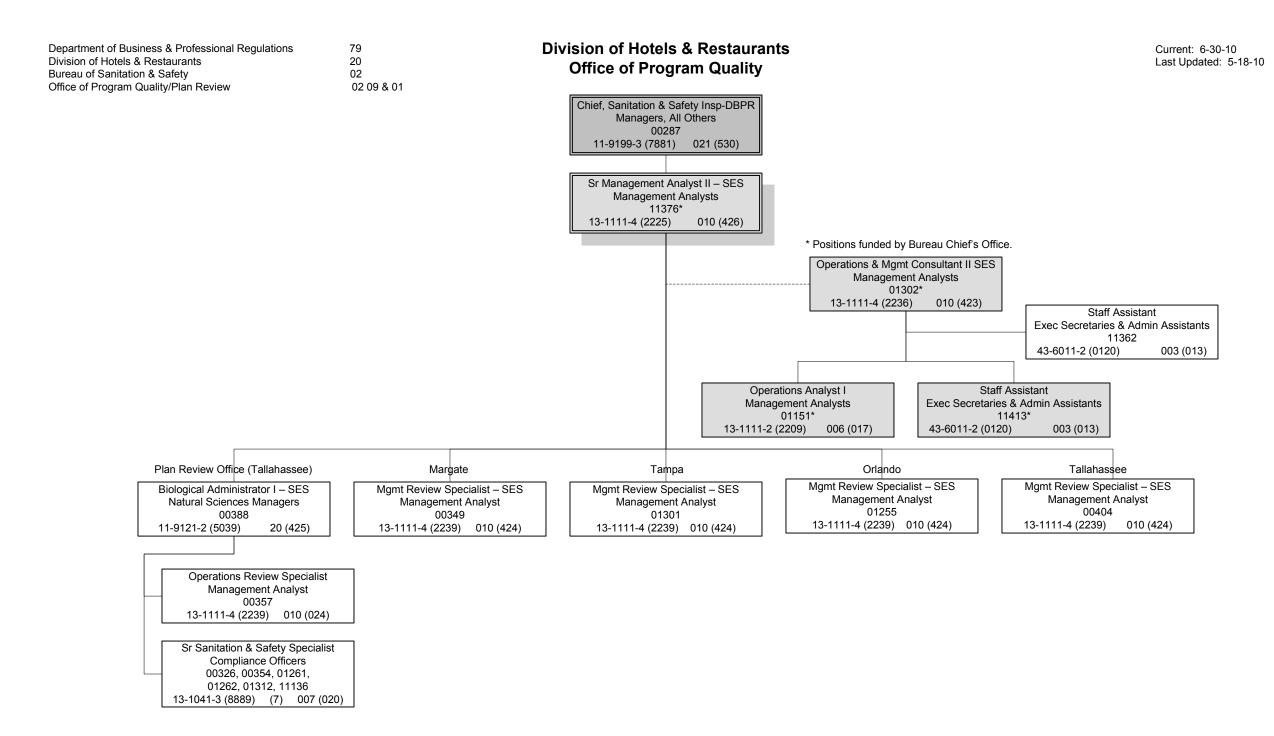
Staff Assistant

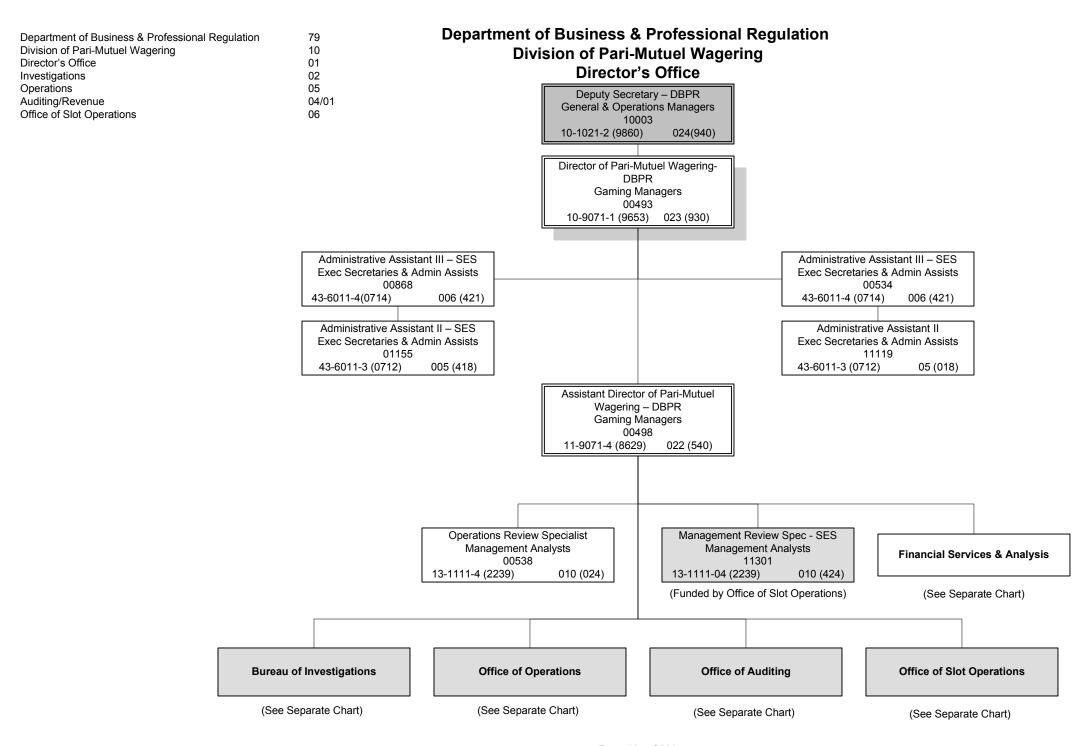
Exec Secretaries & Admin Assts

01346

43-6011-2 (0120) 003 (013)

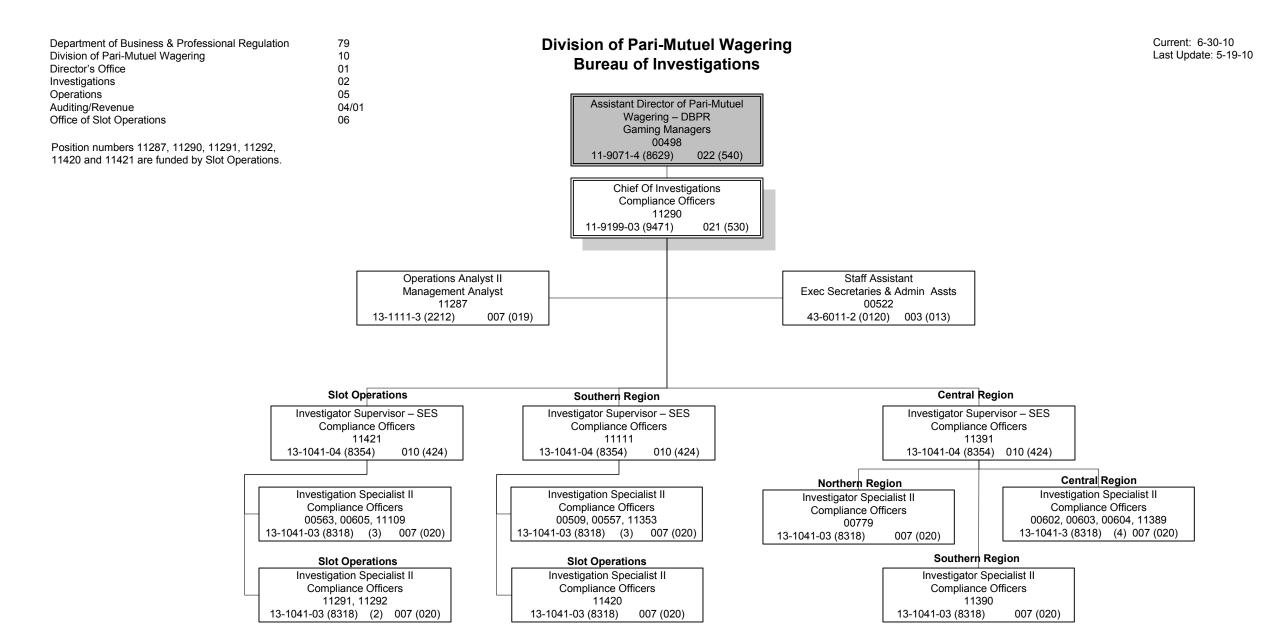
Last Updated: 5-18-10



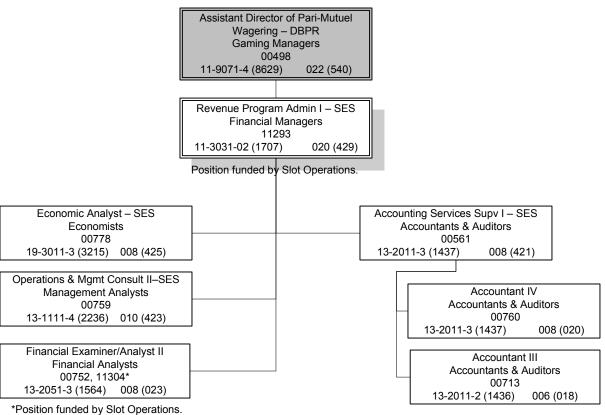


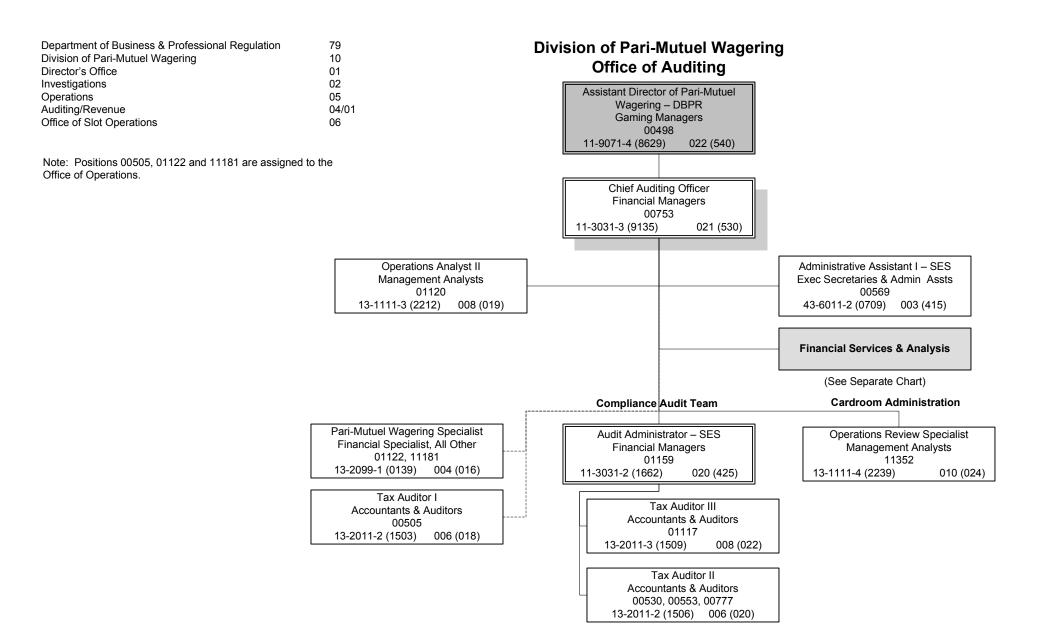
Current: 6-30-10

Last Update: 5-19-10



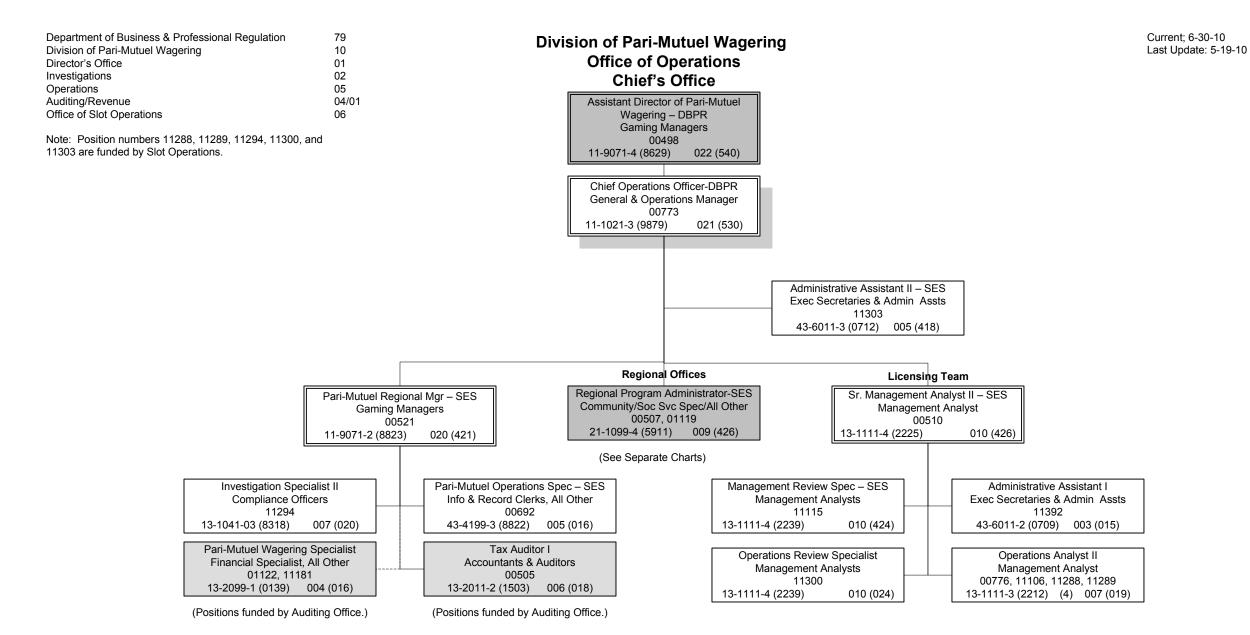
Office of Auditing Financial Services & Analysis





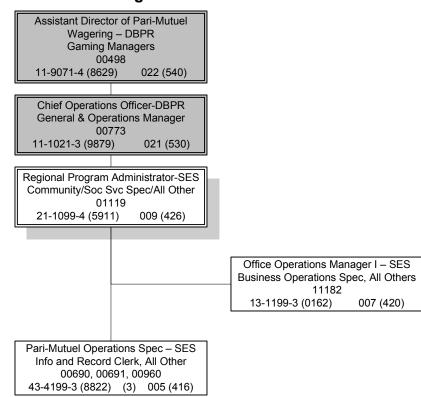
Current: 6-30-10

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	04/0
Office of Slot Operations	06

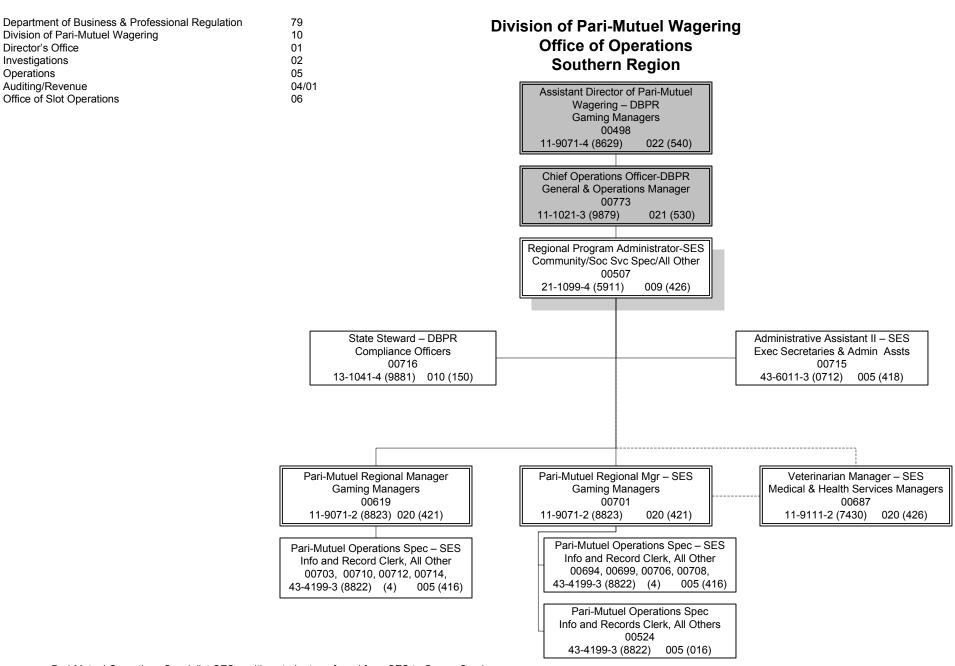
Division of Pari-Mutuel Wagering Office of Operations Central Region



Current; 6-30-10

Last Update: 5-19-10

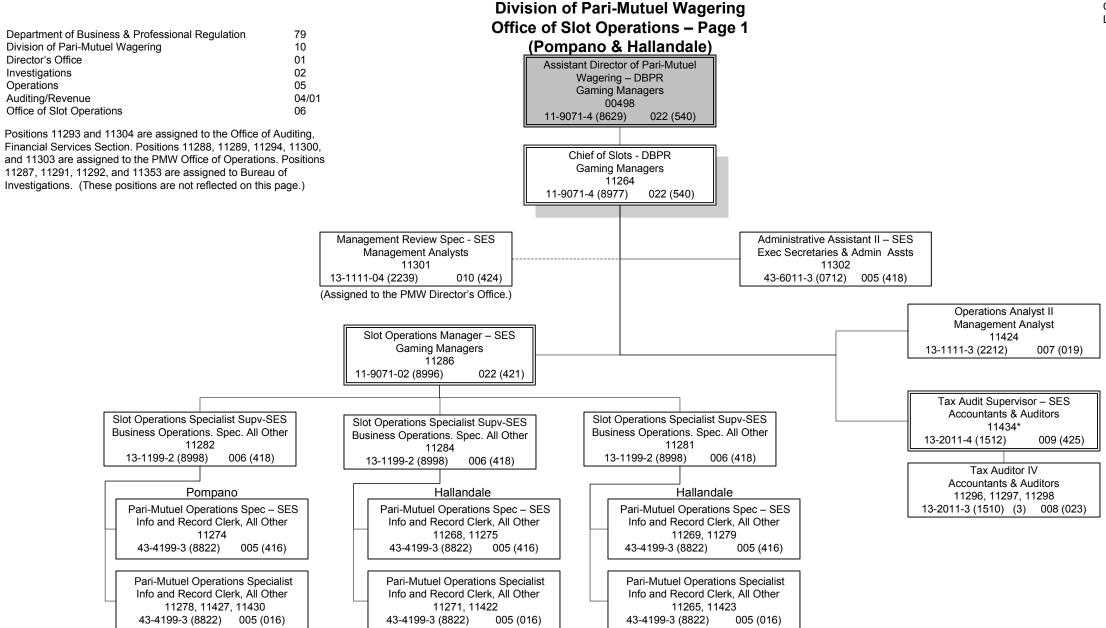
Pari-Mutuel Operations Specialist-SES positions to be transferred from SES to Career Service, pay plan 01, pay grade 016, on a position by position basis pending DMS/HRM Approval.



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. .

Current: 6-30-10

Last Update: 5-19-10

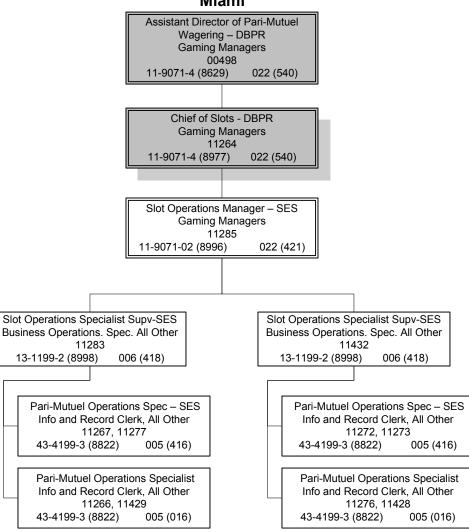


Department of Business & Professional Regulation	79
Division of Pari-Mutuel Wagering	10
Director's Office	01
Investigations	02
Operations	05
Auditing/Revenue	04/01
Office of Slot Operations	06

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.)

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

Current; 7-01-10 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. .

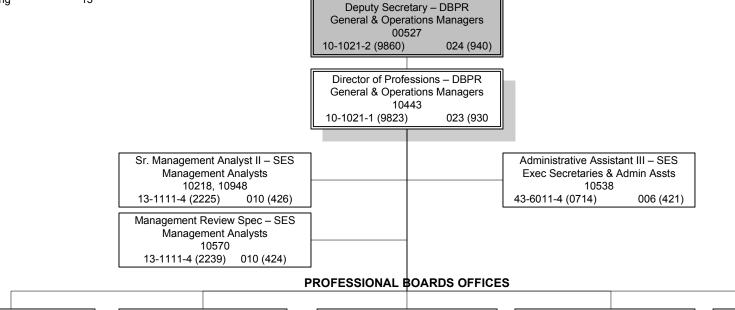
Page 193 of 288

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

> Construction Industry Licensing Board

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

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



Architecture & Interior Design,

Landscape Architecture, Veterinary Medicine Barbers, Cosmetology,

Pilot Commissioners,

Pilotage Rate Review, Building

Code Administration Inspectors

Electrical, Community Assoc. Managers, Auctioneers, Talent Agents, Surveyors & Mappers,

Geologists, Asbestos, Athlete

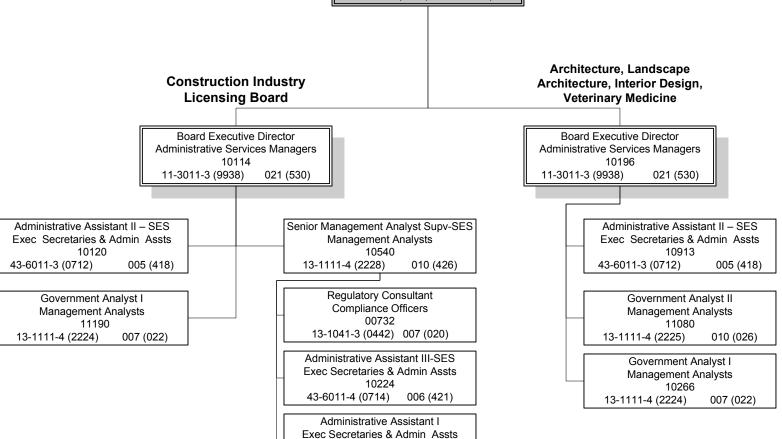
Agts, Employee Leasing Cos.

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

Division of Professions Professions Board Offices

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

Director of Professions – DBPR General & Operations Managers 10443 10-1021-1 (9823) 023 (930

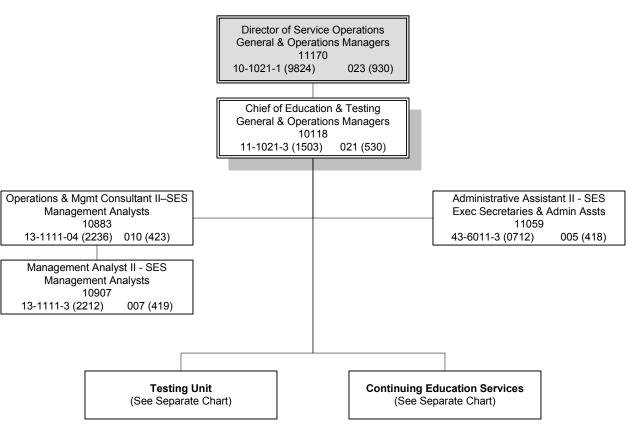


10430 43-6011-2 (0709) 003 (015) Department of Business & Professional Regulations 79
Division of Service Operations 04
Bureau of Education & Testing 04
Continuing Education Unit 04 06
Testing Unit 04 07

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

Current: 6-30-10

Last updated: 1-21-10



Bureau of Education & Testing Department of Business & Professional Regulations 79 Division of Service Operations 04 **Testing Unit** Bureau of Education & Testing 04 **Psychometrics & Research** Continuing Education Unit 04 06 Testing Unit 04 07 Director of Service Operations General & Operations Managers 11170 10-1021-1 (9824) 023 (930) Chief of Education & Testing General & Operations Managers 10118 11-1021-3 (1503) 021 (530) Exam Development Spec Supv – SES Training & Development Specialist 10876 13-1073-4 (1088) 010 (425) Administrative Assistant II Examination Development Specialist Research Associate Exec Secretaries & Admin Assts Training & Development Specialist Mathematics 10007, 10268,10344 10217 00045, 10220, 10906 43-6011-2 (0712) 005 (018) 13-1073-4 (1087) 15-2021-3 (3122) 008 (022) 010 (023) Administrative Assistant I Exec Secretaries & Admin Assts Administrative Assistant II 10897 Exec Secretaries & Admin Assts 43-6011-2 (0709) 003 (015) 10341* 43-6011-2 (0712) 005 (018) *Assigned to work in the DSO Director's office pending formal transfer.

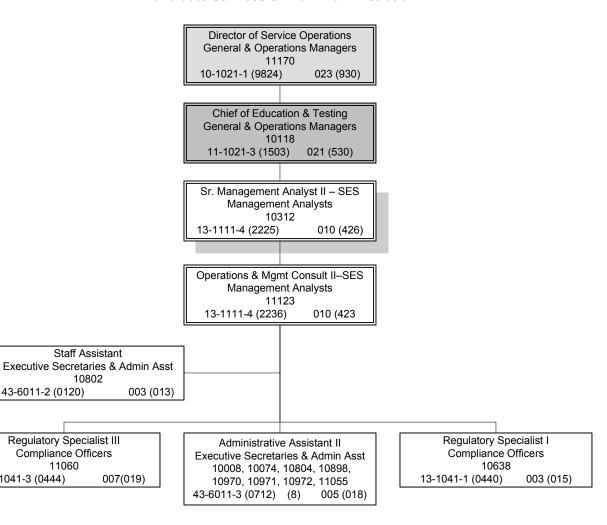
Current: 6-30-10

Last updated: 1-21-10

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

Bureau of Education & Testing Testing Unit

Candidate Services & Exam Administration



Current: 6-30-10

Last updated: 1-21-10

Staff Assistant

10802

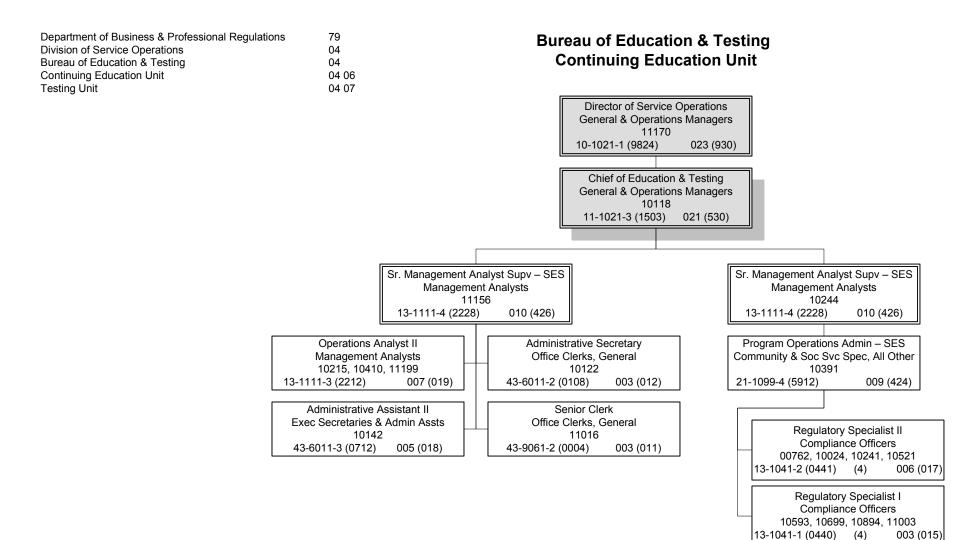
43-6011-2 (0120)

13-1041-3 (0444)

Regulatory Specialist III

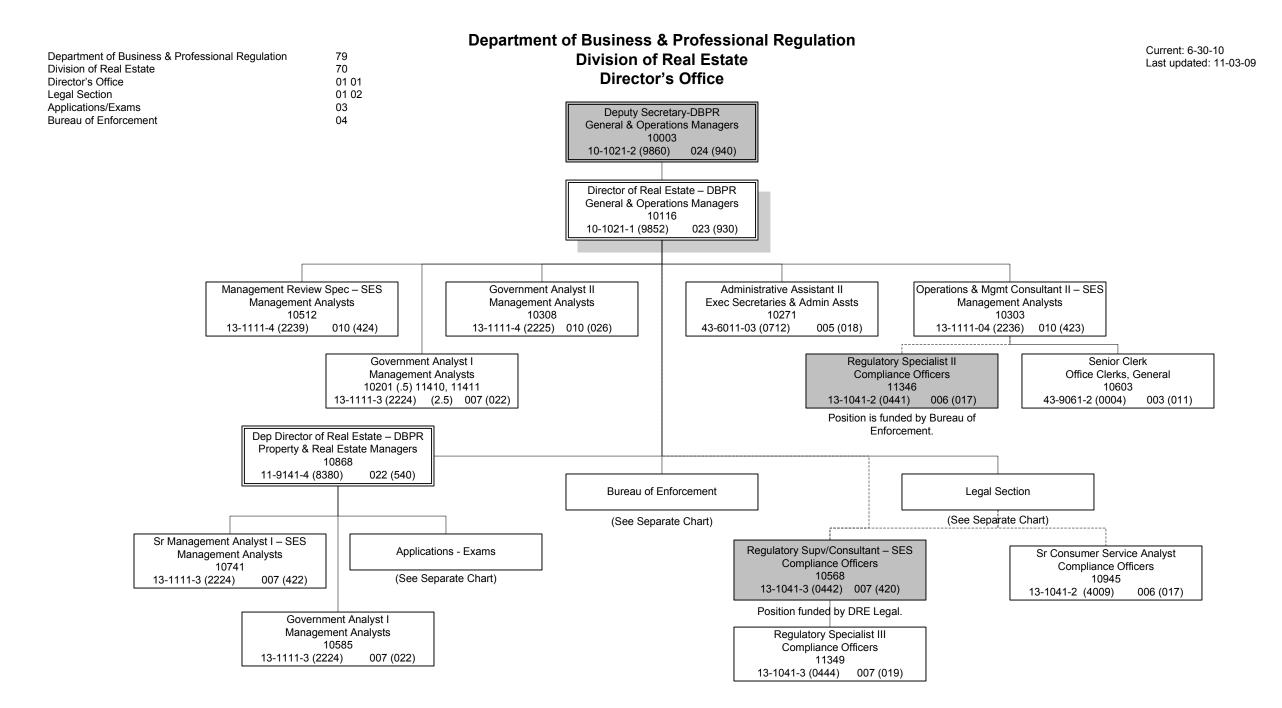
Compliance Officers

11060



Current: 6-30-10

Last updated: 1-21-10



Department of Business & Professional Regulation 79 Division of Real Estate 70 **Division of Real Estate** Director's Office 01 01 **Application - Exams** 01 02 Legal Section Applications/Exams 03 Bureau of Enforcement 04 Dep Director of Real Estate – DBPR Property & Real Estate Managers Position 10308, Government Analyst II, assigned to Director's Office. 10868 11-9141-4 (8380) 022 (540) Operations & Mgmt Consult II-SES Management Analysts 10556 113-1111-04 (2236) 007 (423) Regulatory Specialist III Regulatory Specialist II Regulatory Specialist I Compliance Officers Compliance Officers Compliance Officers 10549, 11249 10293, 10304 10834 13-1041-3 (0444) 007 (019) 13-1041-2 (0441) 006 (017) 13-1041-1 (0440) 003 (015) Current: 6-30-10

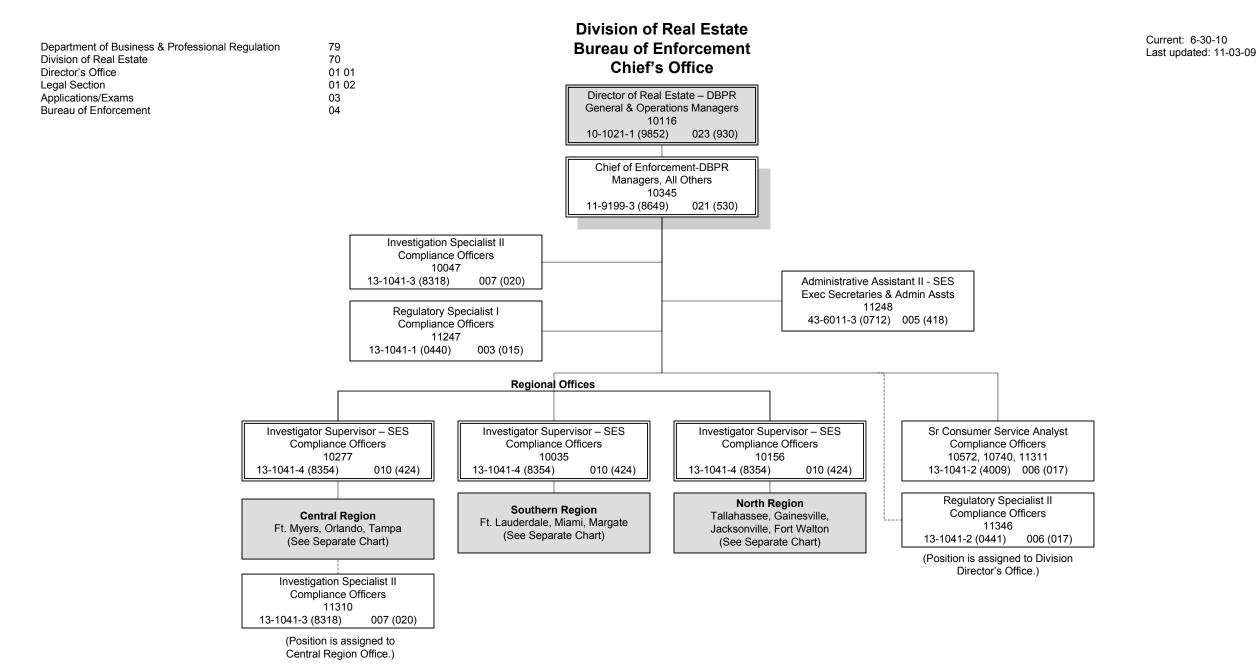
Last updated: 11-03-09

Department of Business & Professional Regulation 79 Division of Real Estate 70 **Division of Real Estate** Director's Office 01 01 **Legal Section** 01 02 Legal Section Applications/Exams 03 Orlando Bureau of Enforcement 04 Chief Legal Counsel Managers, All Others 10745 021 (240) 11-9199-3 (7741) Reports to Real Estate Director's Office Attorney Supervisor Regulatory Supv/Consultant – SES Compliance Officers Lawyers 10328 10568 23-1011-5 (7743) 016 (240) 13-1041-3 (0442) 007 (420) Sr. Attorney Regulatory Specialist II Administrative Assistant II – SES Lawyers Compliance Officers Exec Secretaries & Admin Assts 10129, 10203, 10275, 10566, 10350, 10567, 10619, 11246 10565 10575, 10601, 10933, 11313 13-1041-2 (0441) (4) 006 (017) 43-6011-2 (0712) 005 (418) 23-1011-4 (7738) (8) 014 (230) Government Analyst I Sr. Consumer Service Analyst Management Analysts Compliance Officers 11435 (.5) 10945 007 (022) 13-1111-3 (2224) 13-1041-2 (4009) 006 (017)

Position funded by Director's Office.

Current: 6-30-10

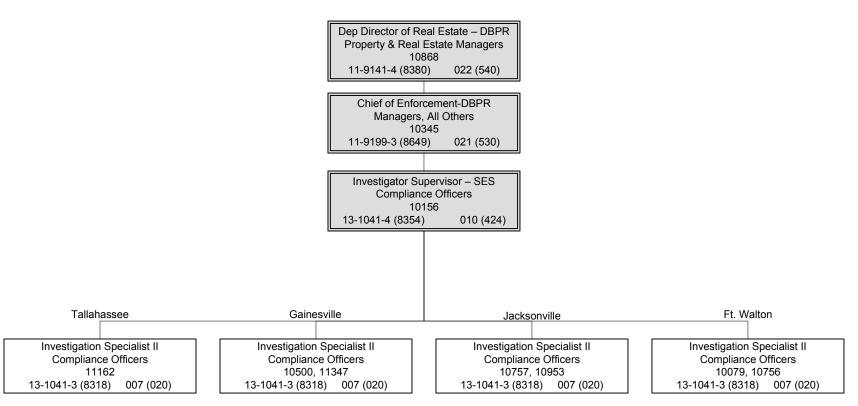
Last updated: 11-03-09



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



Division of Real Estate Bureau of Enforcement North Region

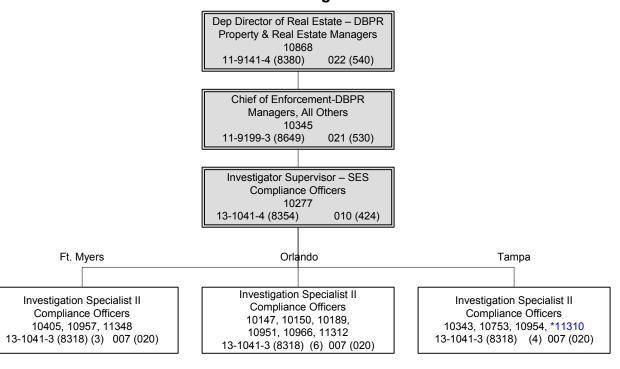


Department of Business & Professional Regulation	79
Division of Real Estate	70
Director's Office	01 01
Legal Section	01 02
Applications/Exams	03
Bureau of Enforcement	04

*Position 11310 is funded by Chief's Office.

Division of Real Estate Bureau of Enforcement Central Region

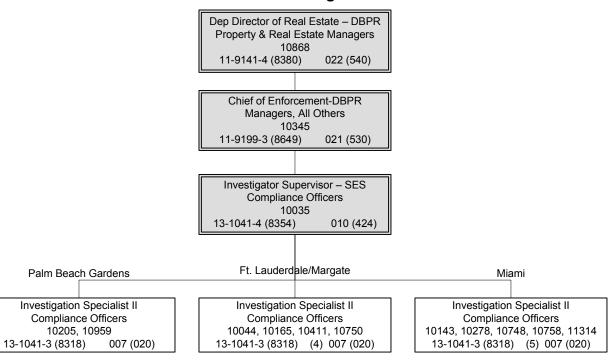
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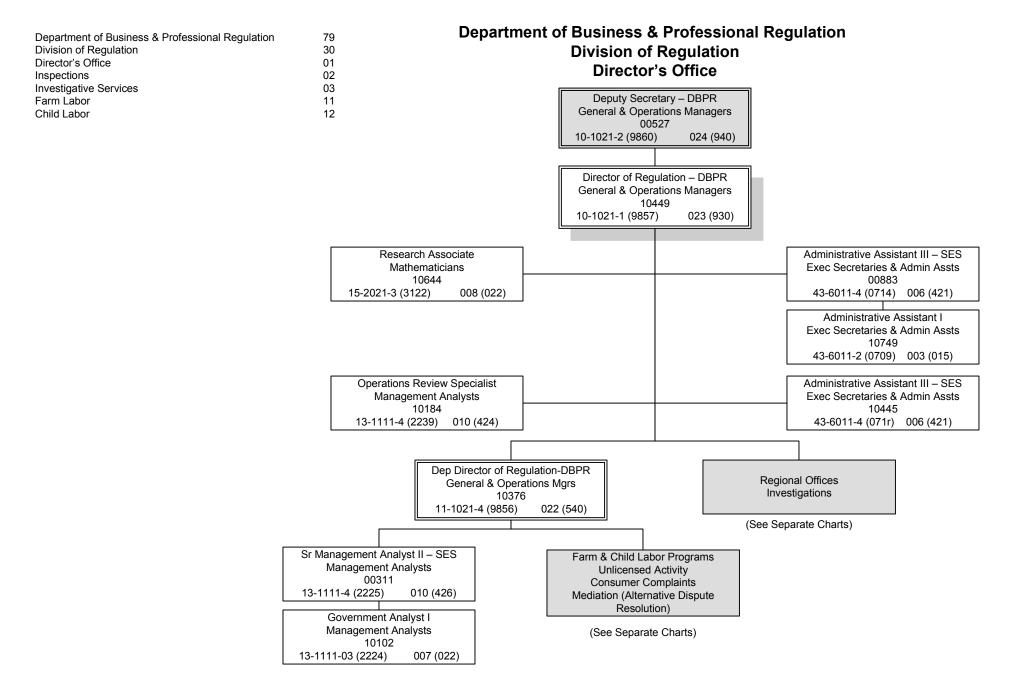


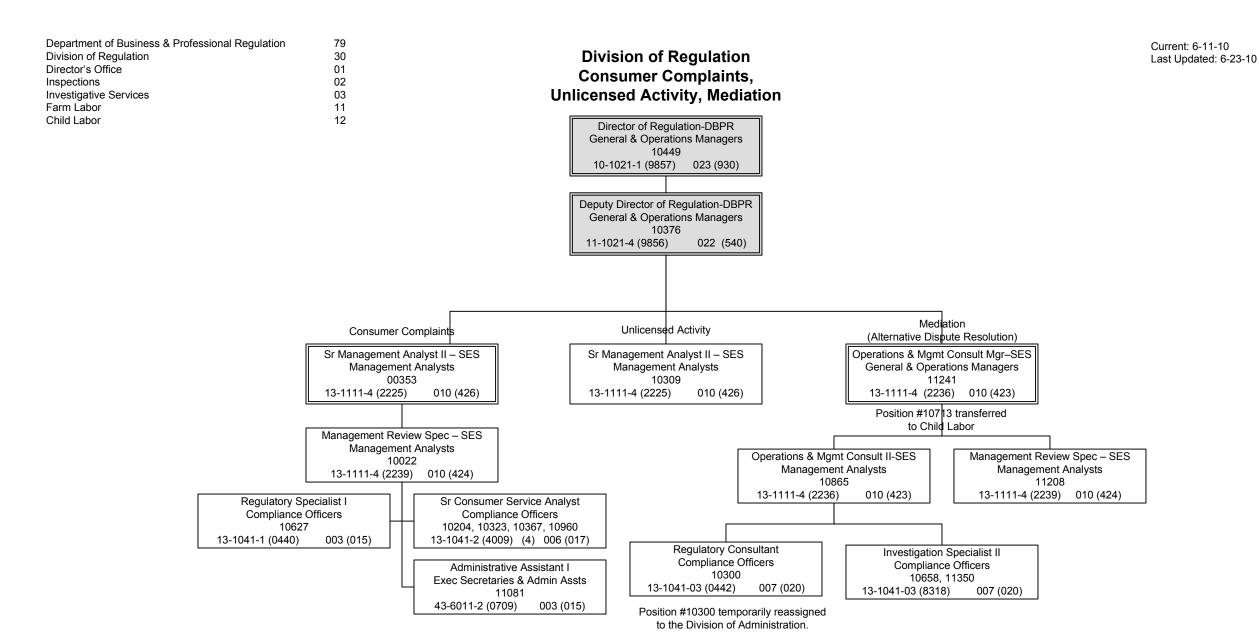
Department of Business & Professional Regulation 79
Division of Real Estate 70
Director's Office 01 01
Legal Section 01 02
Applications/Exams 03
Bureau of Enforcement 04

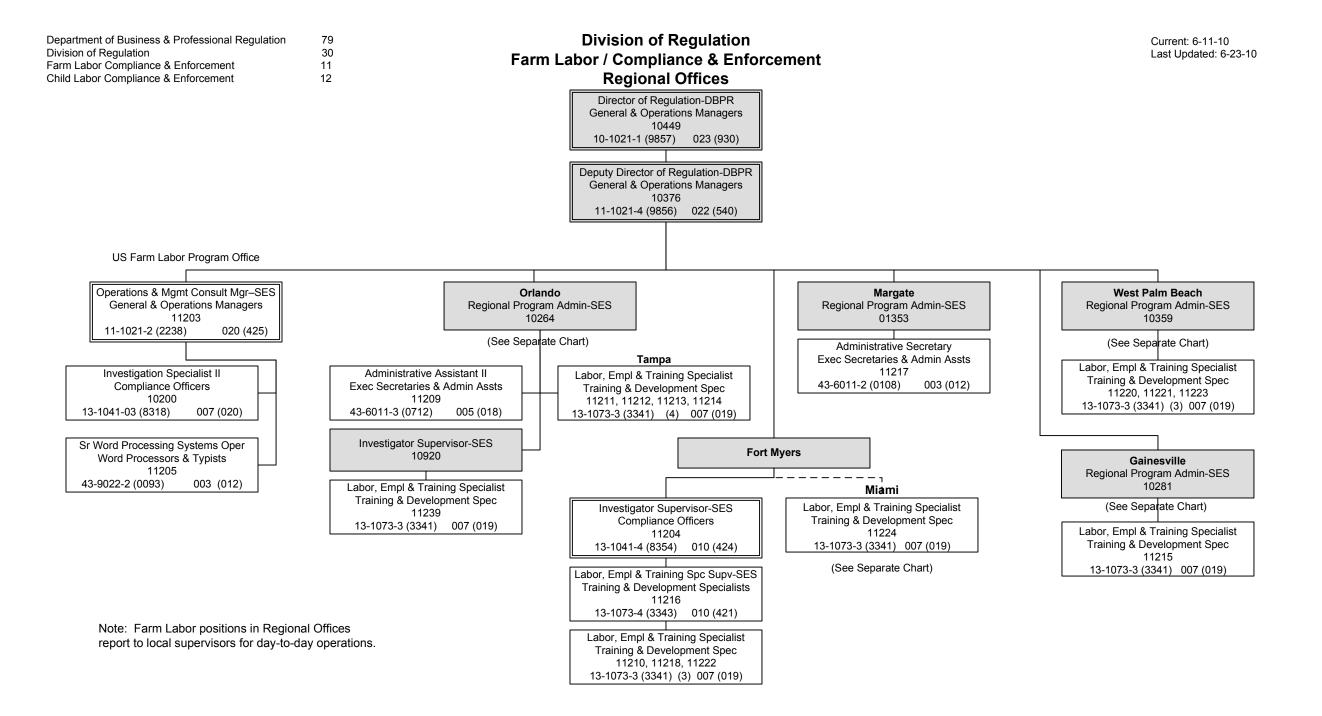
Current: 6-30-10 Last updated: 11-03-09

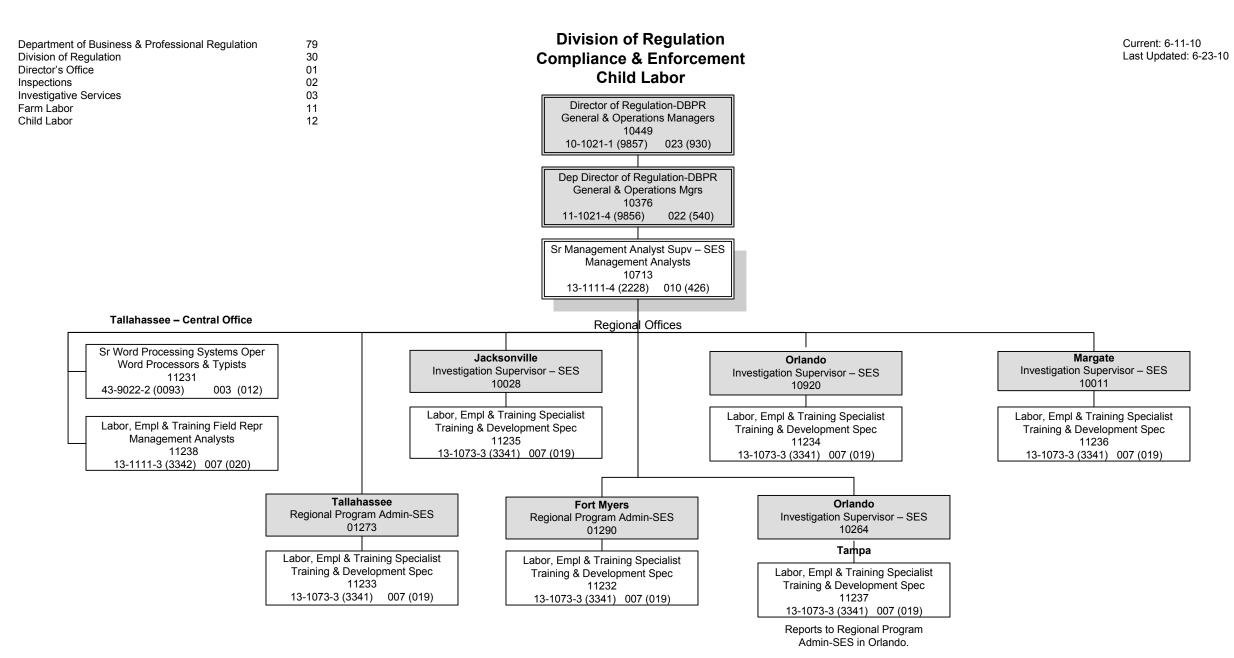
Division of Real Estate Bureau of Enforcement Southern Region











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

Department of Business & Professional Regulation Department of Business & Professional Regulations 79 04 **Division of Service Operations** 01 **Director's Office** 02 04 Chief of Staff- DBPR General & Operations Managers 00492 10-1021-2 (9648) 024 (940) Director of Service Operations General & Operations Managers 11170 023 (930) 10-1021-1 (9824) Sr. Management Analyst II - SES Operations & Mgmt Consult II-SES Management Analysts Management Analysts 10213, 10325 10018 13-1111-4 (2225) 010 (426) 13-1111-4 (2236) 010 (423) Administrative Assistant II Exec Secretaries & Admin Assts 10341* 43-6011-2 (0712) 005 (018) *Position funded by Bureau of Education & Testing. Deputy Director - Service Operations **Customer Contact Center** Bureau of Education & Testing General & Operations Managers 10190 11-1021-04 (8642) 022 (540) (See Separate Chart) (See Separate Chart) Bureau of Central Intake & Licensure (See Separate Chart)

Division of Service Operations

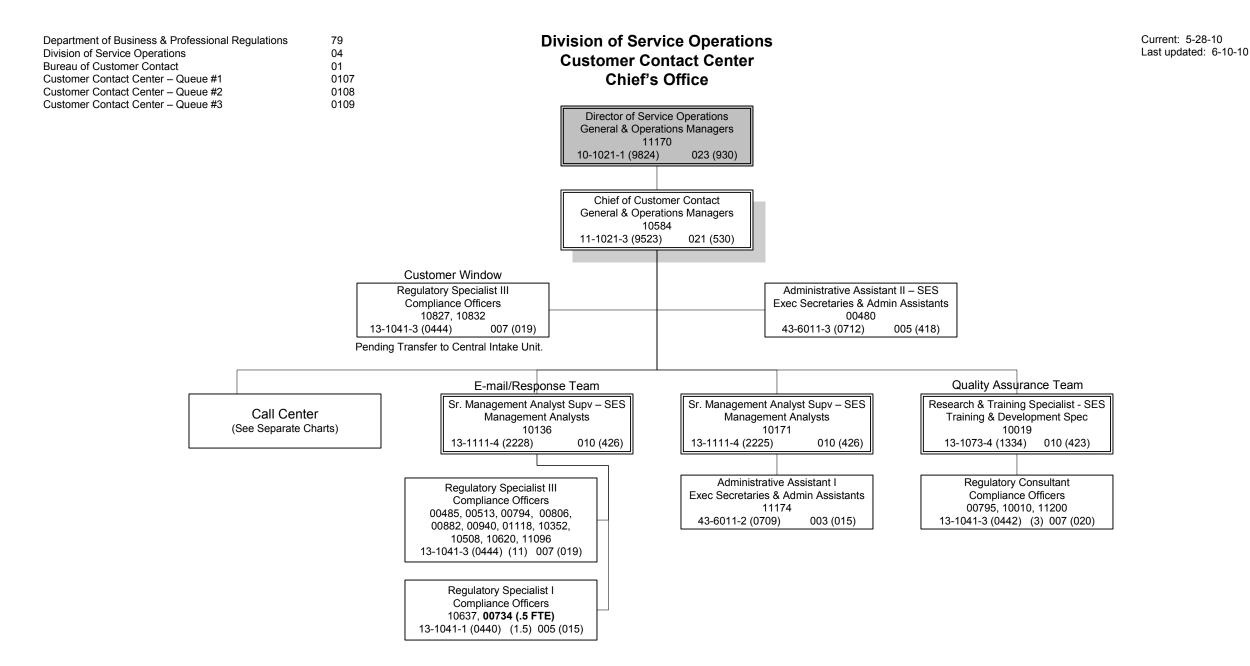
Bureau of Education & Testing

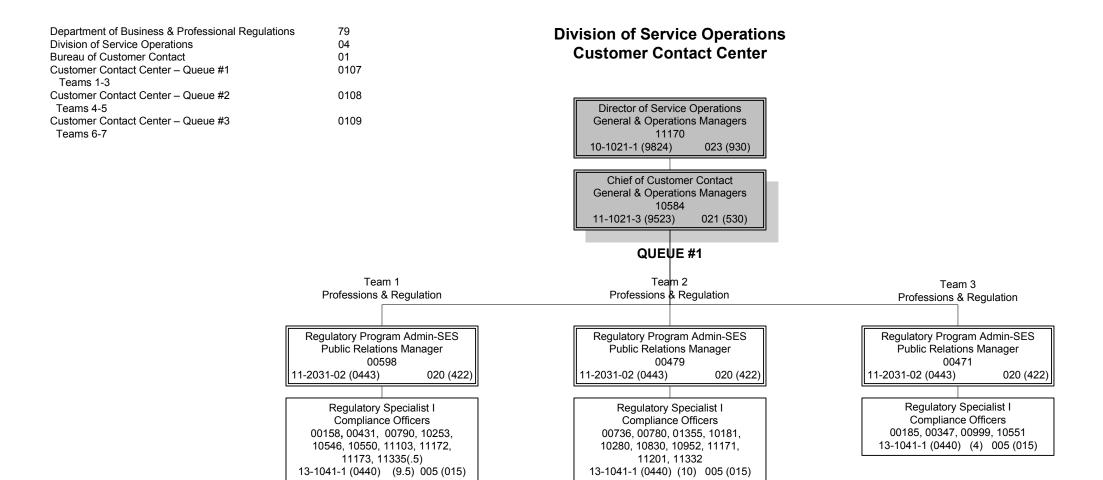
Bureau of Central Intake & Licensure

Bureau of Customer Contact

Current: 1-20-10

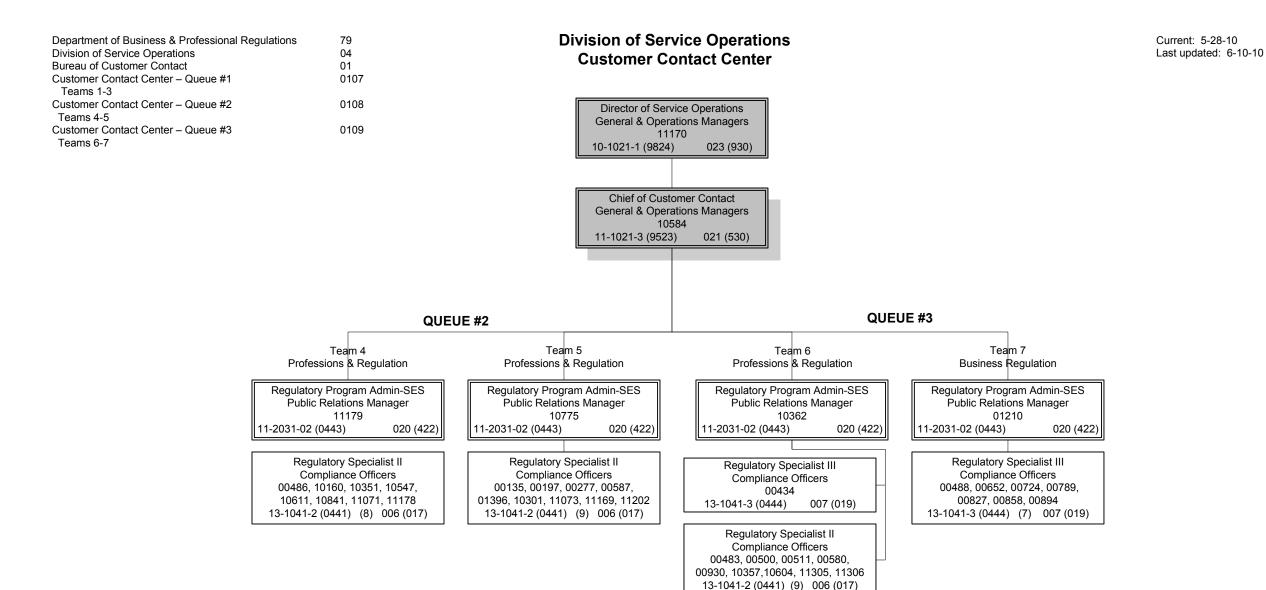
Last updated: 2-02-10

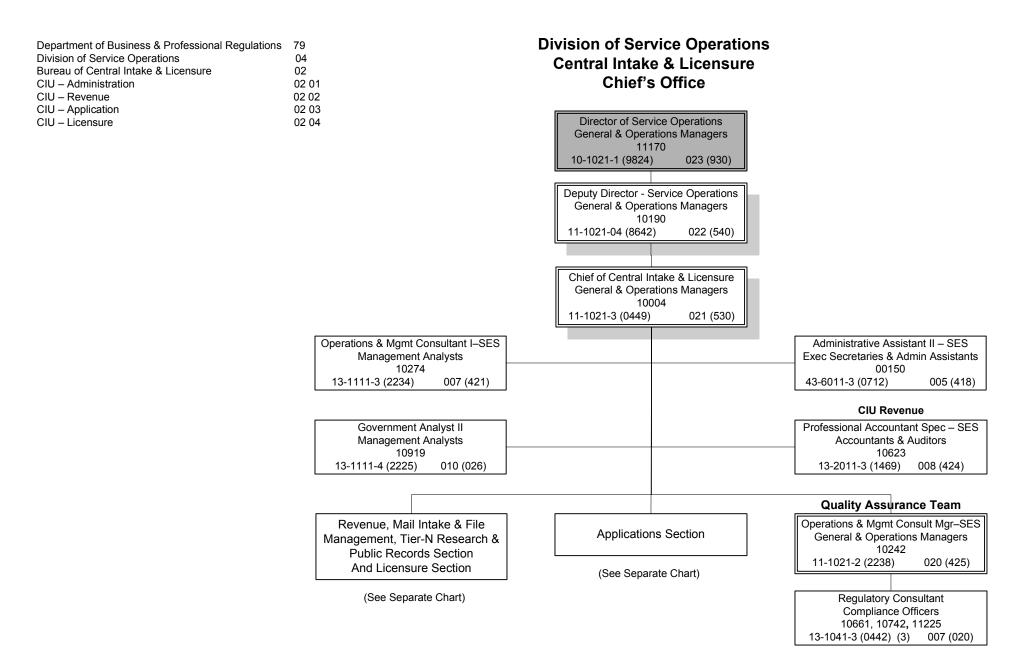




Current: 5-28-10

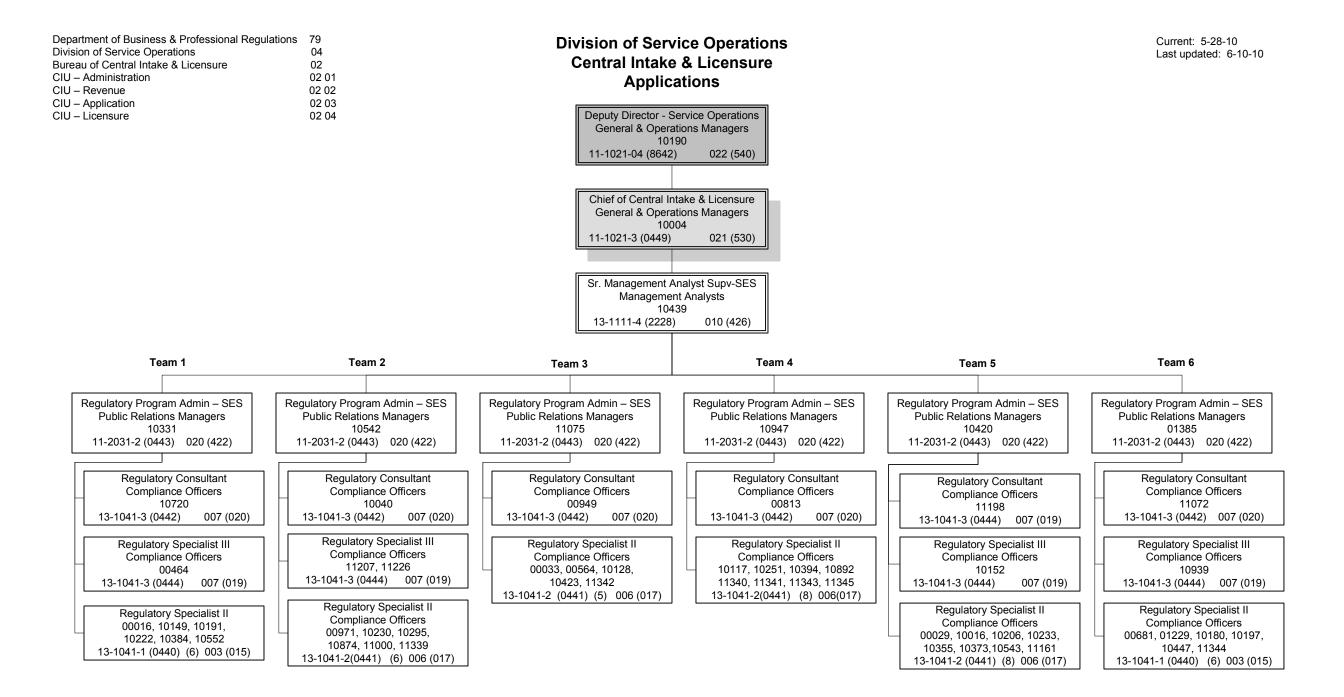
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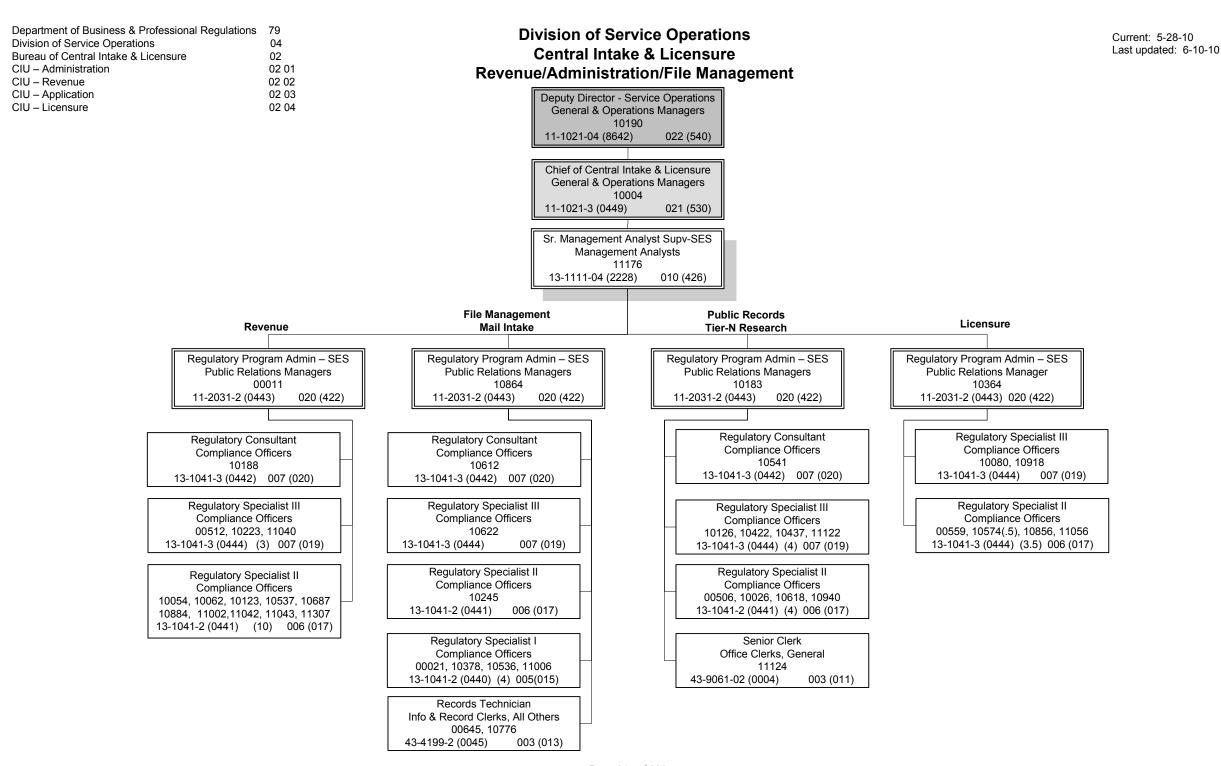


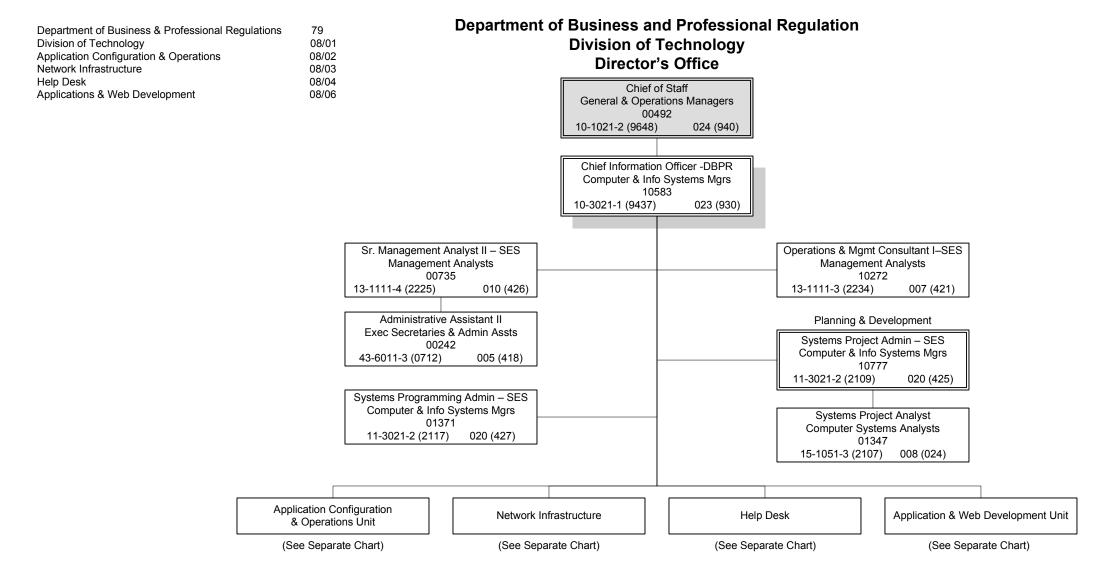


Current: 5-28-10

Last updated: 6-10-10

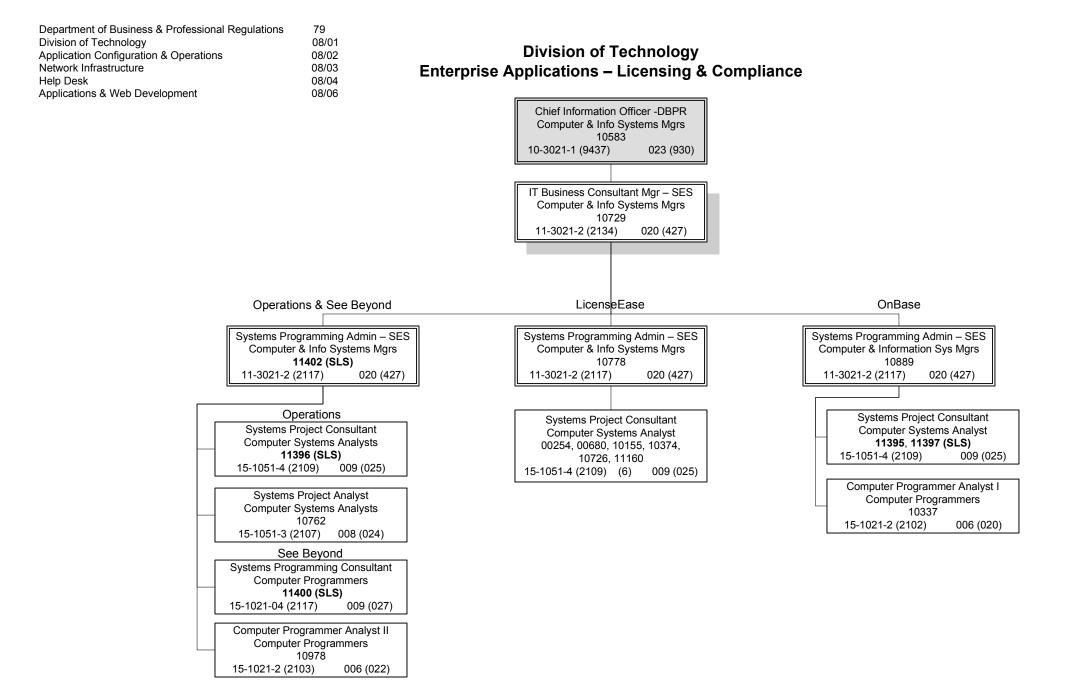






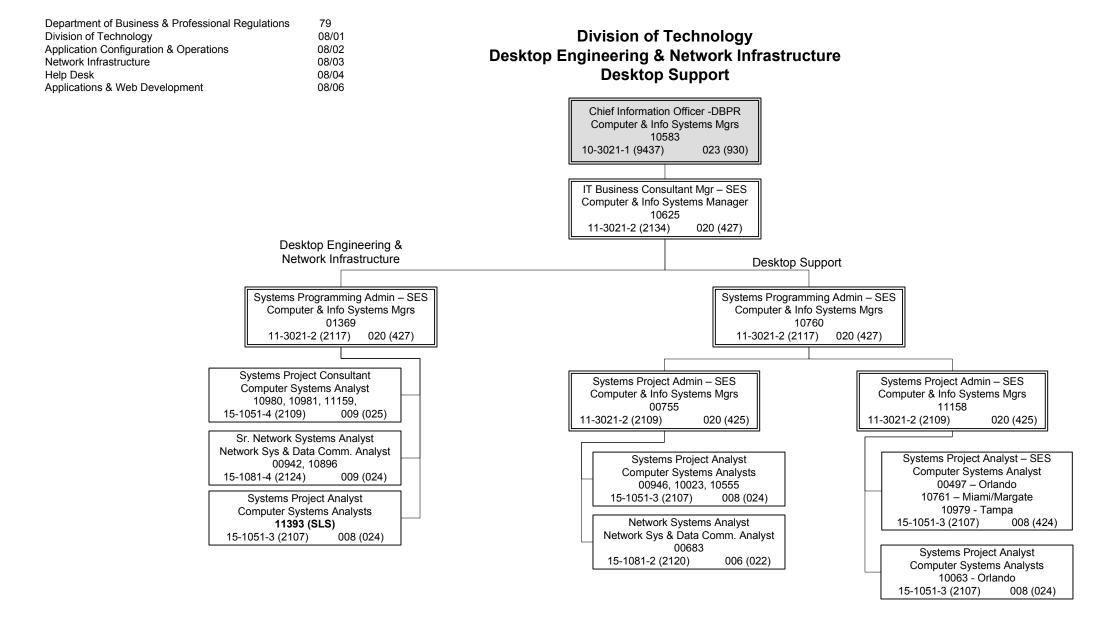
Current: 6-30-10

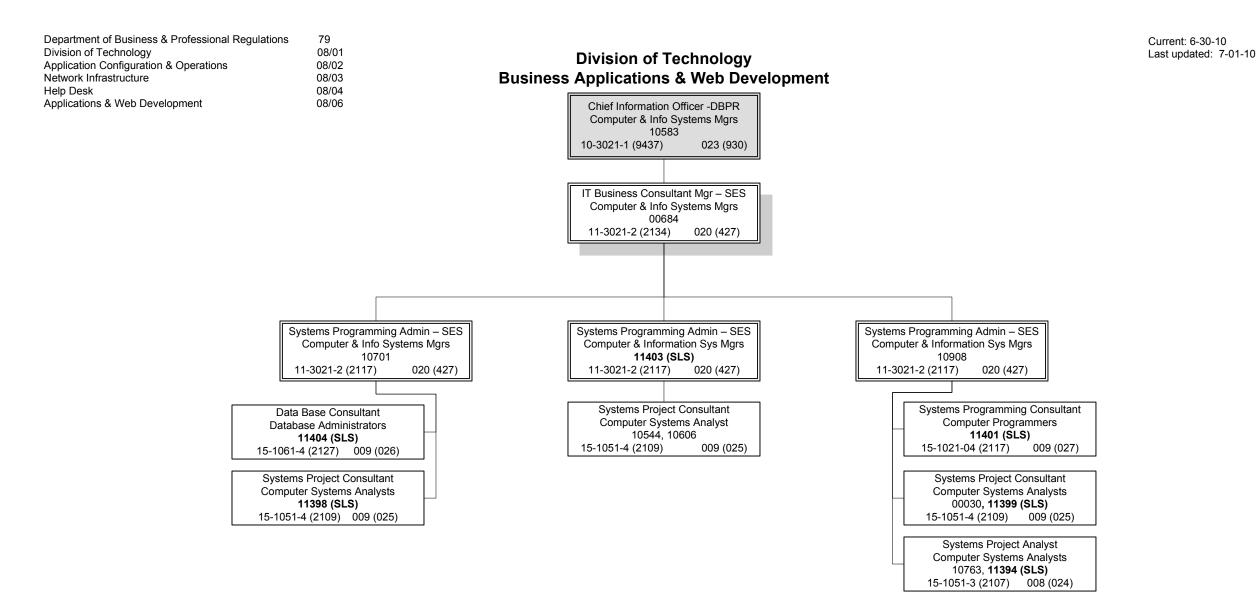
Last updated: 7-01-10



Current: 6-30-10

Last updated: 7-01-10





Schedule XI Agency-Level Unit Cost Summary

SECTION I: BUDGET TAL ALL FUNDS GENERAL APPROPRIATIONS ACT ADJUSTMENTS TO GENERAL APPROPRIATIONS ACT (Supplementals, Vetoes, Budget Amendments, etc.)		OPERATI	MC	FIXED CAPITAL
ADJUSTMENTS TO GENERAL APPROPRIATIONS ACT (Supplementals, Vetoes, Budget Amendments, etc.)			IVG	OUTLAY
			129,884,731 345,602	
AL BUDGET FOR AGENCY			130,230,333	
	Number of	(1) Unit Cost	(2) Expenditures	(3) FCO
SECTION II: ACTIVITIES * MEASURES	Units	(1) OHIL COSE	(Allocated)	(3) 1 0 0
cutive Direction, Administrative Support and Information Technology (2) 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.	741,000	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 Central Intake - Renewals "Number of renewals processed	107,976 505,456	39.93 1.61	4,311,499 816,076	
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 Monitor Employers For Compliance With Migrant Farmworker Labor Laws * Number of Investigations and Inspections	138 4,262	3,081.44 353.02	425,239 1,504,582	i
Monitor Employers For Compliance With Migrain Farmworker Labor Laws "Number of Investigations and Inspections Monitor Employers For Compliance With Child Labor Laws "Number of Investigations and Inspections	11,793	56.76	1,504,582	
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 Tax Collection And Auditing * Number of audits conducted.	790,464 70,450	18.55 22.90	14,660,839 1,613,499	
Tax Collection And Audiling Number of audits conducted. Cardrooms * Number of audits conducted.	70,450	4,008.28	1,613,499	<u></u>
Pari-mutuel Number Of Slot Applications Processed *Number of Slot Applications Processed	3,708	1,199.24	4,446,800	<u> </u>
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 Food Service And Tenant/Landlord Education And Training *Educational packets distributed, web hits, and training seminars/workshops conducted	9,464 32,510	152.96 25.58	1,447,572 831,731	
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 Tax Collection And Auditing * Number of audits conducted for Alcoholic Beverages and Tobacco	30,513 30,346	154.82 248.38	4,724,127 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. Homeowners' Associations " Number of compliance actions.	11,227 254	37.03 882.36	415,690 224,120	
Condominium Ombudsman * Number of activities in fulfillment of statutory duties.	67,124	7.09	476,216	
,				
				-
				-
				<u> </u>
AL			120,033,827	
			120,033,027	
SECTION III: RECONCILIATION TO BUDGET SS THROUGHS				
TRANSFER - STATE AGENCIES				
AID TO LOCAL GOVERNMENTS				
PAYMENT OF PENSIONS, BENEFITS AND CLAIMS			4 4=====	
OTHER /ERSIONS			1,477,721 8,718,834	
<u> </u>			0,7 10,034	
AL BUDGET FOR AGENCY (Total Activities + Pass Throughs + Reversions) - Should equal Section I above. (4)			130,230,382	

⁽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

Department/Budget Entity (Service): Department of Business and Professional Regulation- Drugs, Devices and Cosmetics

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

(addition	nal sheets can be used as necessary), and "TIPS" are other areas to consider.	Program	or Servi	ce (Budge	t Entity C	odes)
	Action	79700100	OI BEIVIO	CC (Duage	t Littly C	odes)
					i	
	WERAL		1	1	1	
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	<u> </u>			
AUDIT						
1.3	Has Column A03 been copied to Column A12? Run the Exhibit B Audit	* 7				
	Comparison Report to verify. (EXBR, EXBA)	Y	<u> </u>			
1.4	Has security been set correctly? (CSDR, CSA)	Y	<u> </u>			
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					
	CONTROL 6 LIDDATE 444					
	CONTROL for UPDATE status.					
	HBIT A (EADR, EXA)		1	1	1	
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,	1				
2.2	nonrecurring expenditures, etc.) included?	N/A				
2.3	Are the issue codes and titles consistent with Section 3 of the LBR Instructions	14/11	-			
2.3	(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	-				
2	27) been followed?	Y				
3. EXH	IIBIT B (EXBR, EXB)			l		
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.	N/A				
AUDIT	S:					
3.3	Negative Appropriation Category Audit for Agency Request (Columns A03 and			T	Ţ	
	A04): Are all appropriation categories positive by budget entity at the FSI level?		1			
	Are all nonrecurring amounts less than requested amounts? (NACR, NAC -					
	Report should print "No Negative Appropriation Categories Found")	37/4				
2.4	Compat Van Estimated Vanification Company Development Access 100	N/A	<u> </u>			
3.4	Current Year Estimated Verification Comparison Report: Is Column A02 equal to		1			
	Column B07? (EXBR, EXBC - Report should print "Records Selected Net To	N/A	1			
TIP	Zero") Generally look for and be able to fully explain significant differences between A02	14/71	<u> </u>			
TIP	and A03.					
TIP	Exhibit B - A02 equal to B07: Compares Current Year Estimated column to a					
711	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	e (Budg	et Entity (Codes)
	Action	79700100				
TEID						
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.					
	(BIT D (EADR, EXD)				1	
4.1	Is the program component objective statement consistent with the agency LRPP,					ĺ
	and does it conform to the directives provided on page 59 of the LBR Instructions?					ĺ
		Y				
4.2	Is the program component code and title used correct?	Y				l
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.					
	IBIT D-1 (ED1R, EXD1)		1	1	1	
5.1	Are all object of expenditures positive amounts? (This is a manual check.)	N/A				<u> </u>
AUDITS						
5.2	Do the fund totals agree with the object category totals within each appropriation					
	category? (ED1R, XD1A - Report should print "No Differences Found For					ĺ
	This Report")	N/A				
5.3	FLAIR Expenditure/Appropriation Ledger Comparison Report: Is Column A01					ĺ
	less than Column B04? (EXBR, EXBB - Negative differences need to be					ĺ
	corrected in Column A01.)	N/A				ĺ
5.4	A01/State Accounts Disbursements and Carry Forward Comparison Report: Does	1 \ /\Lambda				
3.4	Column A01 equal Column B08? (EXBR, EXBD - Differences need to be					ĺ
	corrected in Column A01.)					ł
	corrected in Column Av1.)	N/A				ł
TIP	If objects are negative amounts, the agency must make adjustments to Column A01					
	to correct the object amounts. In addition, the fund totals must be adjusted to					
	reflect the adjustment made to the object data.					
TIP	If fund totals and object totals do not agree or negative object amounts exist, the					
	agency must adjust Column A01.					
TIP	Exhibit B - A01 less than B04: This audit is to ensure that the disbursements and					
	carry/certifications forward in A01 are less than FY 2009-10 approved budget.					
	Amounts should be positive.					
TIP	If B08 is not equal to A01, check the following: 1) the initial FLAIR disbursements					
	or carry forward data load was corrected appropriately in A01; 2) the disbursement					
	data from departmental FLAIR was reconciled to State Accounts; and 3) the FLAIR					
	disbursements did not change after Column B08 was created.					
6. EXH	IBIT D-3 (ED3R, ED3) (Not required in the LBR - for analytical purposes only.)				
6.1	Are issues appropriately aligned with appropriation categories?	Y				
TIP	Exhibit D-3 is no longer required in the budget submission but may be needed for					
	this particular appropriation category/issue sort. Exhibit D-3 is also a useful report					
	when identifying negative appropriation category problems.					
7. EXH	IBIT D-3A (EADR, ED3A)					
7.1	Are the issue titles correct and do they clearly identify the issue? (See pages 15					
	through 31 of the LBR Instructions.)	Y				
7.2	Does the issue narrative adequately explain the agency's request and is the					
	explanation consistent with the LRPP? (See page 65 of the LBR Instructions.)					
		Y				

		Program or	Service (Bud	get 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?	NI/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			
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. (PLRR , PLMO)	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 (36XXXCX) and are the correct issue codes used (361XXC0, 362XXC0, 363XXC0, 17C01C0, 17C02C0, 17C03C0, 24010C0, 33001C0 or 55C01C0)?	N/A			
7.17	Are the issues relating to <i>major audit findings and recommendations</i> properly coded (4A0XXX0, 4B0XXX0)?	N/A			
AUDIT:					
7.18	Are all FSI's equal to '1', '2', '3', or '9'? There should be no FSI's equal to '0'. (EADR, FSIA - Report should print "No Records Selected For Reporting")	Y			
7.19	Does the General Revenue for 160XXXX issues net to zero? (GENR, LBR1)	N/A			
7.20	Does the General Revenue for 180XXXX issues net to zero? (GENR, LBR2)	N/A			

		Program	or Servi	ce (Budg	et Entity	Codes)
	Action	79700100				
7.2	1 Does the General Revenue for 200XXXX issues net to zero? (GENR, LBR3)					
/ . 2	1 Does the General Revenue for 2007AAA issues net to zero: (GEIAR, EDRS)	N/A				
7.2	2 Have FCO appropriations been entered into the nonrecurring column A04?					
	(GENR, LBR4 - Report should print "No Records Selected For Reporting" or					
	a listing of D-3A issue(s) assigned to Debt Service (IOE N) or in some cases					
	State Capital Outlay - Public Education Capital Outlay (IOE \boldsymbol{L})					
TEXT .		N/A				
TI	P Salaries and Benefits amounts entered using the OADA/C transactions must be thoroughly justified in the D-3A issue narrative. Agencies can runOADA/OADR					
	from STAM to identify the amounts entered into OAD and ensure these entries					
	have been thoroughly explained in the D-3A issue narrative.					
	in the coord and cought, companied in the 2 critical and in the					
TI	P 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.					
T.Y	D. Ch. I DADG and Ch. Lat. Ch. Lat. Ch. Lat.					
TI	P 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.					
TI	P 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).					
TI	11 1 1 1					
	an appropriation made in substantive legislation, the agency must create a unique deduct nonrecurring issue to eliminate the duplicated appropriation. Normally this					
	is taken care of through line item veto.					
8. St	CHEDULE I & RELATED DOCUMENTS (SC1R, SC1 - Budget Entity Level or SC1R	SC1D - I	Denartr	nent Le	vel)	
8.			Cpuru	lent Be	(CI)	
	submitted by the agency?	Y				
8.	2 Has a Schedule I been completed in LAS/PBS for each operating trust fund?					
		Y				
8.	11 1 11 0					
	funds (Schedule IA, Schedule IB, Schedule IC, and Reconciliation to Trial Balance)?	Y				
8.	,					
0.	the applicable regulatory programs?	N/A				
8.	11 0 11 0					
	narrative; method for computing the distribution of cost for general management					
	and administrative services narrative; adjustments narrative; revenue estimating					
	methodology narrative)?	Y				
8.						
	applicable for transfers totaling \$100,000 or more for the fiscal year?	v				
8.	7 If the agency is scheduled for the annual trust fund review this year, have the	Y				-
٥.	Schedule ID and applicable draft legislation been included for recreation,					
	modification or termination of existing trust funds?	N/A				
8.						
	necessary trust funds been requested for creation pursuant to section 215.32(2)(b),					
	Florida Statutes - including the Schedule ID and applicable legislation?					
		NT/A	1	1	l	1
		N/A				

		Program	or Service	ce (Budge	t Entity C	odes)
	Action	79700100		Ĭ		,
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				
AUDITS						
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 Servi	ce (Buda	et Entity (odes)
	Action	79700100	l or servi	Budg	Ct Littly C	-oucs)
		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? (SC1R, SC1A - Report					
	should print "No Discrepancies Exist For This Report")	N/A				
	Has a Department Level Reconciliation been provided for each trust fund and does		1			
	Line A of the Schedule I equal the CFO amount? If not, the agency must correct					
	Line A. (SC1R, DEPT)	N/A				
	The Schedule I is the most reliable source of data concerning the trust funds. It is	1 1/1 1		1		l
	very important that this schedule is as accurate as possible!					
	Determine if the agency is scheduled for trust fund review. (See page 125 of the					
	LBR Instructions.)					
	Review the unreserved fund balances and compare revenue totals to expenditure					
	totals to determine and understand the trust fund status.					
	Typically nonoperating expenditures and revenues should not be a negative number					
	Any negative numbers must be fully justified.					
	DULE II (PSCR, SC2)	l .				
AUDIT:	2022 2 (1002)					
	Is the pay grade minimum for salary rate utilized for positions in segments 2 and 3?					
	(BRAR, BRAA - Report should print "No Records Selected For This					
	Request") Note: Amounts other than the pay grade minimum should be fully					
	justified in the D-3A issue narrative. (See <i>Base Rate Audit</i> on page 157 of the					
	LBR Instructions.)	N/A				
	EDULE III (PSCR, SC3)	17/11		1		l
	Is the appropriate lapse amount applied in Segment 3? (See page 87 of the LBR					
	Instructions.)	N/A				
	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 OADI or					
	OADR to identify agency other salary amounts requested.					
	OADK to identify agency other salary amounts requested.	N/A				
11. SCH	EDULE IV (EADR, SC4)		1			
	Are the correct Information Technology (IT) issue codes used?	N/A				
	If IT issues are not coded correctly (with "C" in 6th position), they will not appear					
	in the Schedule IV.					
12. SCH	EDULE VIIIA (EADR, SC8A)					
	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				
	EDULE VIIIB-1 (EADR, S8B1)					l .
	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				
		11/11		1		
	EDULE VIIIB-2 (EADR, S8B2) 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				
			, and			
	EDULE XI (LAS/PBS Web - see page 108 of the LBR Instructions for detailed	Instruction	ons)	1		I
	Has the Schedule XI one page summary Excel file been e-mailed to OPB at OPB UnitCostSummary@lesphe.state.fl.us? A gencies are required to generate this					
	OPB.UnitCostSummary@laspbs.state.fl.us? Agencies are required to generate this spreadsheet via the LAS/PBS Web. (Note: Pursuant to section 216.023(4) (b),					
	Florida Statutes, the Legislature can reduce the funding level for any agency that does not provide this information.)	NT / A				
	-	N/A	ļ			
	Do the PDF files uploaded to the Florida Fiscal Portal for the LRPP and LBR match	1	1	1	ı	1
	the Excel file e-mailed to OPB?	N/A				

		Program	or Servi	ce (Budg	et Entity (Codes)
	Action	79700100				
AUDITS	S INCLUDED IN THE SCHEDULE XI REPORT:					
	Does the FY 2009-10 Actual (prior year) Expenditures in Column A36 reconcile to			I		
13.3	Column A01? (GENR, ACT1)	N/A				
15 /	None of the executive direction, administrative support and information technology	14/11				
13.4	statewide activities (ACT0010 thru ACT0490) have output standards (Record Type					
	5)? (Audit #1 should print "No Activities Found")					
	3): (Addit #1 should print 140 Activities Found)	N/A				
15.5	Does the Fixed Capital Outlay (FCO) statewide activity (ACT0210) only contain					
	08XXXX or 14XXXX appropriation categories? (Audit #2 should print "No					
	Operating Categories Found")	N/A				
15.6	Has the agency provided the necessary demand (Record Type 5) for all activities					
	which should appear in Section II? (Note: Audit #3 will identify those activities					
	that do NOT have a Record Type '5' and have not been identified as a 'Pass					
15.3 E C 15.4 N st st 5 15.5 E 0 C C 15.6 H w tt T T T tt tt n 15.7 E A TIP It tt tt 16. MANU 16.1 E 0 16.2 A 16.3 A C TIP R d T T T T T T T T T T T T T T T T T T	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? (Audit #4 should print "No Discrepancies Found")	N/A				
TIP	If Section I and Section III have a small difference, it may be due to rounding and					
	therefore will be acceptable.					
16. MA	NUALLY PREPARED EXHIBITS & SCHEDULES					
16.1	Do exhibits and schedules comply with LBR Instructions (pages 110 through 154					
	of the LBR Instructions), and are they accurate and complete?	Y				
16.2	Are appropriation category totals comparable to Exhibit B, where applicable?	Y				
16.3	Are agency organization charts (Schedule X) provided and at the appropriate level					
	of detail?	Y				
AUDITS	S - GENERAL INFORMATION					
TIP	Review Section 6: Audits of the LBR Instructions for a list of audits and their					
	descriptions.					
TIP	Reorganizations may cause audit errors. Agencies must indicate that these errors					
	are due to an agency reorganization to justify the audit error.					
17. CAI	PITAL IMPROVEMENTS PROGRAM (CIP)					
	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)?	NT/A				
15.0	D. HOTELS	N/A				
17.3	Do all CIP forms comply with CIP Instructions where applicable (see CIP	NT/A				
17.4	Instructions)?	N/A				
17.4	Does the agency request include 5 year projections (Columns A03, A06, A07, A08	NT/A				
17.5	and A09)?	N/A N/A				
	Are the appropriate counties identified in the narrative?					
17.0	Has the CIP-2 form (Exibit B) been modified to include the agency priority for each	N/A				
TID	project and the modified form saved as a PDF document?	11/71				
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 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.					
	These appropriations durize a Cit -D form as Justification.					
		•				

		Program	Program or Service (Budget Entity Codes)				
	Action	79700100					
18. FLO	ORIDA 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					

Department/Budget Entity (Service): Business and Professional Regulation - Division of Service Operations

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

(addition	nal sheets can be used as necessary), and "TIPS" are other areas to consider.	Drogre	ım or Servic	a (Budgat	Entity C	odec)
	Action	79040100	79040200	e (Budget	Entity Co	ides)
1. GEN	JERAI.					
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	Y			
1.2	Is Column A03 set to TRANSFER CONTROL for DISPLAY and UPDATE status for both the Budget and Trust Fund columns? (CSDI)	Y	Y			
AUDIT						
1.3	Has Column A03 been copied to Column A12? Run the Exhibit B Audit					
	Comparison Report to verify. (EXBR, EXBA)	Y	Y			
1.4	Has security been set correctly? (CSDR, CSA)	Y	Y			
TIP	The agency should prepare the budget request for submission in this order: 1) Lock columns as described above; 2) copy Column A03 to Column A12; and 3) set Column A12 column security to ALL for DISPLAY status and					
	MANAGEMENT CONTROL for UPDATE status.					
	HBIT A (EADR, EXA)	1		1 1		
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's	Y	Y			
2.2	Are the statewide issues generated systematically (estimated expenditures,					
	nonrecurring expenditures, etc.) included?	Y	Y			
2.3	Are the issue codes and titles consistent with Section 3 of the LBR Instructions					
	(pages 15 through 27)? Do they clearly describe the issue?	Y	Y			
2.4	Have the coding guidelines in Section 3 of the LBR Instructions (pages 15 through					
	27) been followed?	Y	Y			
3. EXH	HIBIT B (EXBR, EXB)					
3.1	Is it apparent that there is a fund shift and were the issues entered into LAS/PBS correctly? Check D-3A funding shift issue 340XXX0 - a unique deduct and					
	unique add back issue should be used to ensure fund shifts display correctly on the LBR exhibits.	N/A	N/A			
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			
AUDIT:						
3.3	Negative Appropriation Category Audit for Agency Request (Columns A03 and A04): Are all appropriation categories positive by budget entity at the FSI level? Are all nonrecurring amounts less than requested amounts? (NACR, NAC - Report should print "No Negative Appropriation Categories Found")	Y	Y			
3.4	Current Year Estimated Verification Comparison Report: Is Column A02 equal to					
J. 4	Column B07? (EXBR, EXBC - Report should print "Records Selected Net	Y	Y			
TIP	To Zero") Generally look for and be able to fully explain significant differences between A02		1	11		
	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					
	y .					

		Progra	am or Service	e (Budget	Entity C	odes)
	Action	79040100	79040200			
TID						
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.					
	IBIT D (EADR, EXD)					1
4.1	Is the program component objective statement consistent with the agency LRPP,					
	and does it conform to the directives provided on page 59 of the LBR Instructions					
		Y	Y			
4.2	Is the program component code and title used correct:	Y	Y			
TIP	Fund shifts or transfers of services or activities between program components will					
	be displayed on an Exhibit D whereas it may not be visible on an Exhibit A.					
5. EXH	IBIT D-1 (ED1R, EXD1)					
5.1	Are all object of expenditures positive amounts? (This is a manual check.)	Y	Y			
AUDITS	:					
5.2	Do the fund totals agree with the object category totals within each appropriation					
	category? (ED1R, XD1A - Report should print "No Differences Found For					
	This Report")	Y	Y			
5.3	FLAIR Expenditure/Appropriation Ledger Comparison Report: Is Column A01					
	less than Column B04? (EXBR, EXBB - Negative differences need to be					
	corrected in Column A01.)					
	·	Y	Y			
5.4	A01/State Accounts Disbursements and Carry Forward Comparison Report: Does					
	Column A01 equal Column B08? (EXBR, EXBD - Differences need to be					
	corrected in Column A01.)					
		Y	Y			
TIP	If objects are negative amounts, the agency must make adjustments to Column					
	A01 to correct the object amounts. In addition, the fund totals must be adjusted to					
	reflect the adjustment made to the object data.					
TIP	If fund totals and object totals do not agree or negative object amounts exist, the					
	agency must adjust Column A01.					
TIP	Exhibit B - A01 less than B04: This audit is to ensure that the disbursements and					
	carry/certifications forward in A01 are less than FY 2009-10 approved budget.					
	Amounts should be positive.					
TIP	If B08 is not equal to A01, check the following: 1) the initial FLAIR					
	disbursements or carry forward data load was corrected appropriately in A01; 2)					
	the disbursement data from departmental FLAIR was reconciled to State					
	Accounts; and 3) the FLAIR disbursements did not change after Column B08 was					
	created.					
6. EXH	IBIT D-3 (ED3R, ED3) (Not required in the LBR - for analytical purposes only	v.)				
6.1	Are issues appropriately aligned with appropriation categories'	Y	Y			
TIP	Exhibit D-3 is no longer required in the budget submission but may be needed for					
	this particular appropriation category/issue sort. Exhibit D-3 is also a useful report					
	when identifying negative appropriation category problems.					
7. EXH	IBIT D-3A (EADR, ED3A)					
7.1	Are the issue titles correct and do they clearly identify the issue? (See pages 15					
	through 31 of the LBR Instructions.)	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.)					
	(See Page of or the Esternormons)	N/A	Y			
						-

		Progra	m or Service	(Budget	Entity C	odes)
	Action	79040100	79040200	(Dauge	Limity C	Jaca)
	110101	79040100	79040200			<u> </u>
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 (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			
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 shouldnot be deleted. (PLRR,	N/A	N/A			
7.12	PLMO) 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 (36XXXCX) 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			
AUDIT:						
7.18	Are all FSI's equal to '1', '2', '3', or '9'? There should be no FSI's equal to '0'. (EADR, FSIA - Report should print "No Records Selected For Reporting")	Y	v			
7.19	Does the General Revenue for 160XXXX issues net to zero? (GENR, LBR1)	N/A	Y N/A			
7.20	Does the General Revenue for 180XXXX issues net to zero? (GENR, LBR2)	N/A	N/A			

		Progr	am or Service	e (Budge	t Entity C	lodes)
	Action	79040100	79040200			
7.01	D (1 C 1D C 200VVVVV) (CEND 1 DD2)	1			ſ	1
7.21	Does the General Revenue for 200XXXX issues net to zero? (GENR, LBR3)	N/A	N/A			
7.22	Have FCO appropriations been entered into the nonrecurring column A04?	14/74	TV/A			
	(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))	N/A	N/A			
TIP	Salaries and Benefits amounts entered using the OADA/C transactions must be	14/21	14/21			
111	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.					
	Thoroughly review pages 04 through 70 of the LBK histractions.					
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					
TIP	to zero for General Revenue funds.					
HP	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).					
	rands directly from the redefit agency should use 151 = 5 (redefit 1 ands).					
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	3				
O COL	is taken care of through line item veto.	D GGID			*	
8.1	EDULE I & RELATED DOCUMENTS (SC1R, SC1 - Budget Entity Level or SC1 Has a separate department level Schedule I and supporting documents package	R, SCID	- Departm	ent Lev	el)	
0.1	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	17	v			
8.4	Balance)? Have the Examination of Regulatory Fees Part I and Part II forms been included	Y	Y			
0.4	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	v			
8.7	If the agency is scheduled for the annual trust fund review this year, have the	1	Y			
3.7	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?	3.7/	3.77			
		N/A	N/A			

		Progra	m or Service	(Budget	Entity Co	odes)
	Action	79040100	79040200	Budget	Linuty Co	7403)
		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?	3.7.1	3.7/1			
		N/A	N/A			
8.20	Are appropriate service charge nonoperating amounts included in Section II?	* 7	* 7			
		Y	Y			
8.21	Are nonoperating expenditures to other budget entities/departments cross-	3.7	3.7			
	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	* 7	* 7			
	\$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		•			
0.23	A02?	v	v			
0.27		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	I				
	accounting data as reflected in the agency accounting records, and is it provided in					
	sufficient detail for analysis?	Y	Y			
8.28	Does Line I of Column A01 (Schedule I) equal Line K of the Schedule IC:	Y	Y			
AUDITS						
8.29	Is Line I a positive number? (If not, the agency must adjust the budget request to					
	eliminate the deficit).	Y	Y			
			•			

		D	C	. (D., 1	Entire C	(l)
	Action		m or Servic	e (Buagei	Entity C	odes)
	Action	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? (SC1R, SC1A -					
	Report should print "No Discrepancies Exist For This Report")	Y	Y			
8.31	Has a Department Level Reconciliation been provided for each trust fund and does		1			
6.51						
	Line A of the Schedule I equal the CFO amount? If not, the agency must correct	37	37			
mvn	Line A. (SC1R, DEPT)	Y	Y			
TIP	The Schedule I is the most reliable source of data concerning the trust funds. It is					
	very important that this schedule is as accurate as possible					
TIP	Determine if the agency is scheduled for trust fund review. (See page 125 of the					
	LBR Instructions.)					
TIP	Review the unreserved fund balances and compare revenue totals to expenditure					
	totals to determine and understand the trust fund status.					
TIP	Typically nonoperating expenditures and revenues should not be a negative					
	number. Any negative numbers must be fully justified.					
9. SCH	EDULE II (PSCR, SC2)					
AUDIT						
9.1	Is the pay grade minimum for salary rate utilized for positions in segments 2 and					
	3? (BRAR, BRAA - Report should print "No Records Selected For This					
	Request'') Note: Amounts other than the pay grade minimum should be fully					
	justified in the D-3A issue narrative. (See <i>Base Rate Audit</i> on page 157 of the					
	LBR Instructions.)	Y	N/J			
10 SCI	HEDULE III (PSCR, SC3)		- ,, -			l .
10.1	Is the appropriate lapse amount applied in Segment 3? (See page 87 of the LBR			1		
10.1	Instructions.)	N/A	Y			
10.2	,	11/1	1			
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					
	OADI or OADR to identify agency other salary amounts requested.	N/A	N/A			
11 SCF	HEDULE IV (EADR, SC4)					
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	14/11	11/11			
111	in the Schedule IV.					
12 COI						
	HEDULE VIIIA (EADR, SC8A)	1				1
12.1	Is there only one #1 priority, one #2 priority, one #3 priority, etc. reported on the	Y	Y			
	Schedule VIII-A? Are the priority narrative explanations adequate?	Y	ĭ			
	HEDULE VIIIB-1 (EADR, S8B1)					
13.1	Do the reductions comply with the instructions provided on pages 98 through 101					
	of the LBR Instructions regarding a 5% reduction in recurring and nonrecurring					
	General Revenue and Trust Funds?	Y	Y			
14. SCI	HEDULE VIIIB-2 (EADR, S8B2)					
14.1	Do the reductions comply with the instructions provided on pages 102 through 104					
	of the LBR Instructions regarding a 15% reduction in recurring General Revenue					
	and Trust Funds?	Y	Y			
15. SCF	HEDULE XI (LAS/PBS Web - see page 108 of the LBR Instructions for detailed	d instruc	tions)		!	
15.1	Has the Schedule XI one page summary Excel file been e-mailed to OPB at		/			
	OPB.UnitCostSummary@laspbs.state.fl.us? Agencies are required to generate this					
	spreadsheet via the LAS/PBS Web. (Note: Pursuant to section 216.023(4) (b),					
	Florida Statutes, the Legislature can reduce the funding level for any agency that					
	does not provide this information.)	Y	Y			
15.2		1	1	-		1
	Do the PDF files uploaded to the Florida Fiscal Portal for the LRPP and LBR	1		1		ĺ
15.2	match the Excel file e-mailed to OPB?	Y	Y			

		Progra	am or Service	(Budge	t Entity C	odes)
	Action	79040100	79040200			
AUDITS	S INCLUDED IN THE SCHEDULE XI REPORT:					
15.3	Does the FY 2009-10 Actual (prior year) Expenditures in Column A36 reconcile					
13.3	to Column A01? (GENR, ACT1)	Y	Y			
15.4	None of the executive direction, administrative support and information					
1011	technology statewide activities (ACT0010 thru ACT0490) have output standards					
	(Record Type 5)? (Audit #1 should print "No Activities Found")					
	(Record Type 5). (Rudit #1 should print 140 Recivities Found)	Y	Y			
15.5	Does the Fixed Capital Outlay (FCO) statewide activity (ACT0210) only contain					
	08XXXX or 14XXXX appropriation categories? (Audit #2 should print "No					
	Operating Categories Found")	N/A	N/A			
15.6	Has the agency provided the necessary demand (Record Type 5) for all activities					
	which should appear in Section II? (Note: Audit #3 will identify those activities					
	that do NOT have a Record Type '5' and have not been identified as a 'Pass					
	Through' activity. These activities will be displayed in Section III with the					
	'Payment of Pensions, Benefits and Claims' activity and 'Other' activities. Verify it					
	these activities should be displayed in Section III. If not, an output standard would					
	need to be added for that activity and the Schedule XI submitted again.)					
	•	Y	Y			
15.7	Does Section I (Final Budget for Agency) and Section III (Total Budget for					
	Agency) equal? (Audit #4 should print "No Discrepancies Found")	Y	Y			
TIP	If Section I and Section III have a small difference, it may be due to rounding and					
	therefore will be acceptable.					
16. MA	NUALLY PREPARED EXHIBITS & SCHEDULES					
16.1	Do exhibits and schedules comply with LBR Instructions (pages 110 through 154					
	of the LBR Instructions), and are they accurate and complete:	Y	Y			
16.2	Are appropriation category totals comparable to Exhibit B, where applicable?	Y	Y			
16.3	Are agency organization charts (Schedule X) provided and at the appropriate level	1	1			
10.5	of detail?	Y	Y			
AUDITS	5 - GENERAL INFORMATION		•			
TIP	Review Section 6: Audits of the LBR Instructions for a list of audits and their					
111	descriptions.					
TIP	Reorganizations may cause audit errors. Agencies must indicate that these errors					
	are due to an agency reorganization to justify the audit error.					
17. CAI	PITAL IMPROVEMENTS PROGRAM (CIP)					
17.1	Are the CIP-2, CIP-3, CIP-A and CIP-B forms included?	Y	Y			
17.2	Are the CIP-4 and CIP-5 forms submitted when applicable (see CIP Instructions)?					
		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		37/1			
	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 (Exibit B) been modified to include the agency priority for	NT/A	NT/A			
mrn	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					
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					

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

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

	***	Program or Service (Budget Entity Codes				Codes)
	Action	79400100	79400200	79400300		
1 CEN	ERAL					
1. GEN	Are Columns A01, A02, A04, A05, A36, A90, A91, A92, A93, A94, A95, IA1,					
1.1	IA4, IA5, IP1,V1, IV3 and NV1 set to TRANSFER CONTROL for DISPLAY					
	status and MANAGEMENT CONTROL for UPDATE status for both the Budget					
	and Trust Fund columns? Are Columns A06, A07, A08 and A09 for Fixed Capital					
	Outlay (FCO) set to TRANSFER CONTROL for DISPLAY status only? (CSDI)	Y	Y	Y		
1.2	Is Column A03 set to TRANSFER CONTROL for DISPLAY and UPDATE					
	status for both the Budget and Trust Fund columns? (CSDI)	Y	Y	Y		
AUDITS	S:					
1.3	Has Column A03 been copied to Column A12? Run the Exhibit B Audit					
	Comparison Report to verify. (EXBR, EXBA)	Y	Y	Y		
1.4	Has security been set correctly? (CSDR, CSA)	Y	Y	Y		
TIP	The agency should prepare the budget request for submission in this order: 1)					
	Lock columns as described above; 2) copy Column A03 to Column A12; and 3)					
	set Column A12 column security to ALL for DISPLAY status and					
	MANAGEMENT CONTROL for UPDATE status.					
2. EXH	IBIT 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?					
	1 1 2	Y	Y	Y		
2.2	Are the statewide issues generated systematically (estimated expenditures,					
	nonrecurring expenditures, etc.) included	Y	Y	Y		
2.3	Are the issue codes and titles consistent with Section 3 of the LBR Instructions					
	(pages 15 through 27)? Do they clearly describe the issue?	Y	Y	Y		
2.4	Have the coding guidelines in Section 3 of the LBR Instructions (pages 15 through					
	27) been followed?	Y	Y	Y		
3. EXH	IBIT B (EXBR, EXB)		1			
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 33XXXX0 issues negative amounts only and do not restore nonrecurring					
1	cuts from a prior year or fund any issues that net to a positive or zero amount?					
	Check D-3A issues 33XXXX0 - a unique issue should be used for issues that net					
	to zero or a positive amount.	Y	Y	Y		
AUDITS	1					
3.3	Negative Appropriation Category Audit for Agency Request (Columns A03 and					
3.5	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")					
	report should print 130 regains appropriation categories round	Y	Y	Y		
3.4	Current Year Estimated Verification Comparison Report: Is Column A02 equal to					
	Column B07? (EXBR, EXBC - Report should print "Records Selected Net					
	To Zero")	Y	Y	Y		
TIP	Generally look for and be able to fully explain significant differences between A02					<u> </u>
	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 Co				
	Action	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.					
4. EXH	IBIT D (EADR, EXD)					
4.1	Is the program component objective statement consistent with the agency LRPP, and does it conform to the directives provided on page 59 of the LBR Instructions?	Y	Y	Y		
4.2	Is the program component code and title used correct	Y	Y	Y		
TIP	Fund shifts or transfers of services or activities between program components will be displayed on an Exhibit D whereas it may not be visible on an Exhibit A.					
5. EXH	IBIT D-1 (ED1R, EXD1)					
5.1	Are all object of expenditures positive amounts? (This is a manual check.)	Y	Y	Y		
AUDITS						
5.2	Do the fund totals agree with the object category totals within each appropriation category? (ED1R, XD1A - Report should print "No Differences Found For This Report")	Y	Y	Y		
5.3	FLAIR Expenditure/Appropriation Ledger Comparison Report: Is Column A01 less than Column B04? (EXBR, EXBB - Negative differences need to be corrected in Column A01.)	Y	Y	Y		
5.4	A01/State Accounts Disbursements and Carry Forward Comparison Report: Does Column A01 equal Column B08? (EXBR, EXBD - Differences need to be corrected in Column A01.)	Y	Y	Y		
TIP	If objects are negative amounts, the agency must make adjustments to Column A01 to correct the object amounts. In addition, the fund totals must be adjusted to reflect the adjustment made to the object data.	1	1	1		
TIP	If fund totals and object totals do not agree or negative object amounts exist, the agency must adjust Column A01.					
TIP	Exhibit B - A01 less than B04: This audit is to ensure that the disbursements and carry/certifications forward in A01 are less than FY 2009-10 approved budget. Amounts should be positive.					
TIP	If B08 is not equal to A01, check the following: 1) the initial FLAIR disbursements or carry forward data load was corrected appropriately in A01; 2) the disbursement data from departmental FLAIR was reconciled to State Accounts; and 3) the FLAIR disbursements did not change after Column B08 was created.					
6. EXH	IBIT D-3 (ED3R, ED3) (Not required in the LBR - for analytical purposes only	y.)				
6.1	Are issues appropriately aligned with appropriation categories	Y	Y	Y		
TIP	Exhibit D-3 is no longer required in the budget submission but may be needed for this particular appropriation category/issue sort. Exhibit D-3 is also a useful report when identifying negative appropriation category problems.					
7. EXH	IBIT D-3A (EADR, ED3A)					
7.1	Are the issue titles correct and do they clearly identify the issue? (See pages 15 through 31 of the LBR Instructions.)	Y	Y	Y		
7.2	Does the issue narrative adequately explain the agency's request and is the explanation consistent with the LRPP? (See page 65 of the LBR Instructions.)	Y	Y	Y		

		Progra	am or Serv	vice (Budge	t Entity C	Codes)
	Action	79400100	79400200	79400300		
7.0						
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 "V" in the "IT	14/74	11//	1\/\T		
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	NT/A	NT/A	NT/A		
	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		
7.0		IV/A	IN/A	IV/A		
7.8	Does the issue narrative include the Consensus Estimating Conference forecast,	NT/A	NT/A	NT/A		
	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. (PLRR ,					
	PLMO)	N/A	N/A	N/A		
7.12	Does the issue narrative include plans to satisfy additional space requirements					
7.12	when requesting additional positions?	N/A	N/A	N/A		
7.13	Has the agency included a 160XXX0 issue and 210XXXX and 260XXX0 issues	14/21	10/11	14/11		
7.13		N/A	N/A	N/A		
7.14	as required for lump sum distributions?	Y	Y	Y		
7.14	Do the amounts reflect appropriate FSI assignments?	1	1	1		
7.15	Do the issues relating to salary and benefits have an "A" in the fifth position of					
	the issue code (XXXXAXX) and are they self-contained (not combined with other					
	issues)? (See page 26 and 86 of the LBR Instructions.)	NI/A	NT/A	NI/A		
711		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 major audit findings and recommendations properly			1		
	coded (4A0XXX0, 4B0XXX0)?	N/A	N/A	N/A		
AUDIT	:					
7.18	Are all FSI's equal to '1', '2', '3', or '9'? There should be no FSI's equal to '0'.					
	(EADR, FSIA - Report should print "No Records Selected For Reporting")					
		Y	Y	Y		
7.19	Does the General Revenue for 160XXXX issues net to zero? (GENR, LBR1)					
	` , ,	N/A	N/A	N/A		
7.20	Does the General Revenue for 180XXXX issues net to zero? (GENR, LBR2)			1		
,.20	2 355 the Solicial Revenue for Tourism's issues not to zero. (GERM, EDRZ)	N/A	N/A	N/A		
		11/11	1.//11	11/11		

		Program or Service (Budget Entit			et Entity (Codes)
	Action	79400100	79400200	79400300		
7.21	Does the General Revenue for 200XXXX issues net to zero? (GENR, LBR3)					
7.21	Does the General Revenue for 200AAAA issues liet to zero: (GENR, LDRS)	N/A	N/A	N/A		
7.22	Have FCO appropriations been entered into the nonrecurring column A04?	- "				
	(GENR, LBR4 - Report should print "No Records Selected For Reporting"					
	or a listing of D-3A issue(s) assigned to Debt Service (IOE N) or in some cases					
	State Capital Outlay - Public Education Capital Outlay (IOE L))					
		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.					
TID	The issue narrative must completely and thoroughly explain and justify each D-3A					
TIP	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.					
	Thoroughly review pages of alrough 70 of the EBR 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					
111	an appropriation made in substantive legislation, the agency must create a unique					
	deduct nonrecurring issue to eliminate the duplicated appropriation. Normally this					
	is taken care of through line item veto.					
8. SCHI	EDULE I & RELATED DOCUMENTS (SC1R, SC1 - Budget Entity Level or SC1	R, SC1D	- Depar	tment Le	evel)	
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?	**	***	* 7		
0.2	TI 4	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	1	1	1		
0.4	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		
		1 V /A	1 V /A	1 N/ A		l

		Progra	ım or Serv	rice (Budge	t Entity C	odes)
	Action	79400100	79400200	79400300		
0.0						
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,	Y	Y	Y		
8.10	000750, 000799, 001510 and 001599)? Are the statutory authority references correct:	Y	Y	Y		
8.10	Are the General Revenue Service Charge percentage rates used for each revenue	1	1	1		
0.11	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	-	1	-		
0.12	Estimating Conference forecasts?	Y	Y	Y		
8.13	If there is no Consensus Estimating Conference forecast available, do the revenue	1	1	1		
6.13	estimates appear to be reasonable?	Y	Y	Y		
8.14	Are the federal funds revenues reported in Section I broken out by individual	1	1	1		
0.14	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	IV/A	11/71	11/7		
6.13	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-	14/74	14/71	14/71		
8.10	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					$\overline{}$
23	A02?	Y	Y	Y		
9.26		1	ĭ	1		
8.26	Does the Schedule IC properly reflect the unreserved fund balance for each trust					
	fund as defined by the LBR Instructions, and is it reconciled to the agency					
	accounting records?	Y	Y	Y		
8.27	Does Column A01 of the Schedule I accurately represent the actual prior year					
	accounting data as reflected in the agency accounting records, and is it provided in					
	sufficient detail for analysis?	Y	Y	Y		
8.28	Does Line I of Column A01 (Schedule I) equal Line K of the Schedule IC	Y	Y	Y		
AUDITS				, ,	-	
8.29	Is Line I a positive number? (If not, the agency must adjust the budget request to					
	eliminate the deficit).	Y	Y	Y		

		Progra	m or Serv	rice (Budge	et Entity ('odes)
	Action	79400100	79400200	79400300		
		79400100	79400200	79400300	l	
8.30	Is the June 30 Adjusted Unreserved Fund Balance (Line I) equal to the July 1					
	Unreserved Fund Balance (Line A) of the following year? (SC1R, SC1A -					
	Report should print "No Discrepancies Exist For This Report")	Y	Y	Y		
8.31	Has a Department Level Reconciliation been provided for each trust fund and does					
	Line A of the Schedule I equal the CFO amount? If not, the agency must correct					
	Line A. (SC1R, DEPT)	Y	Y	Y		
TIP	The Schedule I is the most reliable source of data concerning the trust funds. It is		•	•	•	
	very important that this schedule is as accurate as possible					
TIP	Determine if the agency is scheduled for trust fund review. (See page 125 of the					
	LBR Instructions.)					
TIP	Review the unreserved fund balances and compare revenue totals to expenditure					
	totals to determine and understand the trust fund status.					
TIP	Typically nonoperating expenditures and revenues should not be a negative					
	number. Any negative numbers must be fully justified.					
9. SCH	EDULE II (PSCR, SC2)					
AUDIT:						
9.1	Is the pay grade minimum for salary rate utilized for positions in segments 2 and					
	3? (BRAR, BRAA - Report should print "No Records Selected For This					
	Request") Note: Amounts other than the pay grade minimum should be fully					
	justified in the D-3A issue narrative. (See Base Rate Audit on page 157 of the					
	LBR Instructions.)	Y	Y	N/A		
10. SCF	HEDULE III (PSCR, SC3)					
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 Other Salary Amount appropriate and fully justified? (See page					
	94 of the LBR Instructions for appropriate use of the OAD transaction.) Use					
	OADI or OADR to identify agency other salary amounts requested.	N/A	N/A	N/A		
11 COL	IEDIU E IV. (EADD CCA)	11/11	11/11	11/71		
	HEDULE IV (EADR, SC4)	N/A	N/A	N/A	I	
11.1	Are the correct Information Technology (IT) issue codes used	IN/A	1 V /A	IN/A	ļ	
TIP	If IT issues are not coded correctly (with "C" in 6th position), they will not appear					
12 COI	in the Schedule IV.					
	HEDULE VIIIA (EADR, SC8A)	I	I	1	I	
12.1	Is there only one #1 priority, one #2 priority, one #3 priority, etc. reported on the	Y	Y	Y		
12 COI	Schedule VIII-A? Are the priority narrative explanations adequate?	1	1	1		
13. SCF	HEDULE VIIIB-1 (EADR, S8B1) Do the reductions comply with the instructions provided on pages 98 through 101	I	I		I	
13.1						
i	of the LBR Instructions regarding a 5% reduction in recurring and nonrecurring General Revenue and Trust Funds?	v	v	v		
14 007		Y	Y	Y		
	HEDULE VIIIB-2 (EADR, S8B2)	ı	ı	1	ı	
14.1	Do the reductions comply with the instructions provided on pages 102 through 104					
i	of the LBR Instructions regarding a 15% reduction in recurring General Revenue	Y	v	Y		
15 001	and Trust Funds?		Y	I		
	HEDULE XI (LAS/PBS Web - see page 108 of the LBR Instructions for detailed	a ınstru	ctions)	1	l	
15.1	Has the Schedule XI one page summary Excel file been e-mailed to OPB at					
	OPB.UnitCostSummary@laspbs.state.fl.us? Agencies are required to generate this					
	spreadsheet via the LAS/PBS Web. (Note: Pursuant to section 216.023(4) (b),					
1	Florida Statutes, the Legislature can reduce the funding level for any agency that	3.7	3.7	3.7		
1.7.2	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	37	37	37		
1	match the Excel file e-mailed to OPB?	Y	Y	Y		

		Program or Service (Budget Entity Co				
	Action	79400100	79400200	79400300		
	S INCLUDED IN THE SCHEDULE XI REPORT:			Г		
15.3	Does the FY 2009-10 Actual (prior year) Expenditures in Column A36 reconcile	v	v	v		
	to Column A01? (GENR, ACT1)	Y	Y	Y		
15.4	None of the executive direction, administrative support and information					
	technology statewide activities (ACT0010 thru ACT0490) have output standards					
	(Record Type 5)? (Audit #1 should print "No Activities Found")	Y	Y	Y		
15.5	Does the Fixed Capital Outlay (FCO) statewide activity (ACT0210) only contain		-	1		
13.3						
	08XXXX or 14XXXX appropriation categories? (Audit #2 should print "No	N/A	N/A	N/A		
15.6	Operating Categories Found") Has the agency provided the necessary demand (Record Type 5) for all activities	14/11	10/11	1 1/21		
15.0						
	which should appear in Section II? (Note: Audit #3 will identify those activities					
	that do NOT have a Record Type '5' and have not been identified as a 'Pass					
	Through' activity. These activities will be displayed in Section III with the					
	'Payment of Pensions, Benefits and Claims' activity and 'Other' activities. Verify i					
	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.)	37	37	37		
15.5	D. G. d. L.C. I.D. I. a.C. d	Y	Y	Y		
15.7	Does Section I (Final Budget for Agency) and Section III (Total Budget for	37	37	37		
TELD	Agency) equal? (Audit #4 should print "No Discrepancies Found")	Y	Y	Y		
TIP	If Section I and Section III have a small difference, it may be due to rounding and					
	therefore will be acceptable.					
	NUALLY PREPARED EXHIBITS & SCHEDULES			1		
16.1	Do exhibits and schedules comply with LBR Instructions (pages 110 through 154	Y	Y	v		
1.60	of the LBR Instructions), and are they accurate and complete	ĭ	ĭ	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		
	- GENERAL INFORMATION					
TIP	Review Section 6: Audits of the LBR Instructions for a list of audits and their descriptions.					
TIP	Reorganizations may cause audit errors. Agencies must indicate that these errors					
	are due to an agency reorganization to justify the audit error.					
17. CAI	PITAL IMPROVEMENTS PROGRAM (CIP)					
17.1	Are the CIP-2, CIP-3, CIP-A and CIP-B forms included?	Y	Y	Y		
17.2	Are the CIP-4 and CIP-5 forms submitted when applicable (see CIP Instructions)?	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 (Exibit 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.					

	Prog	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 Porta	l as				
outlined in the Florida Fiscal Portal Submittal Process?	Y	Y	Y		

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

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

(aaaiiioni	al sheets can be used as necessary), and "HPS" are other areas to consider.	Progran	n or Serv	rice (Bud	et Entity	Codes)
	Action	79800100			<u>, , , , , , , , , , , , , , , , , , , </u>	
			1	I I		
1. GEN				1 1		
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		
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.					
	IBIT A (EADR, EXA)		1	I I		
2.1	Is the budget entity authority and description consistent with the agency's LRPP					
	and does it conform to the directives provided on page 56 of the LBR Instructions					
		Y				
2.2	Are the statewide issues generated systematically (estimated expenditures,					
	nonrecurring expenditures, etc.) included?	Y				
2.3	Are the issue codes and titles consistent with Section 3 of the LBR Instructions	***				
	(pages 15 through 27)? Do they clearly describe the issue?	Y				
2.4	Have the coding guidelines in Section 3 of the LBR Instructions (pages 15 through	3.7				
	27) been followed?	Y				
	IBIT B (EXBR, EXB)			1 1		
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					
2.2	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	37				
ATIDIZE	to zero or a positive amount.	Y				
AUDITS	Negative Appropriation Category Audit for Agency Request (Columns A03 and					
3.3						
	A04): Are all appropriation categories positive by budget entity at the FSI level?					
	Are all nonrecurring amounts less than requested amounts? (NACR, NAC					
	Report should print "No Negative Appropriation Categories Found")	Y				
3.4	Current Year Estimated Verification Comparison Report: Is Column A02 equal to	-				
]	Column B07? (EXBR, EXBC - Report should print "Records Selected Net					
	To Zero")	Y				
TIP	Generally look for and be able to fully explain significant differences between A02					
	and A03.					
TIP	Exhibit B - A02 equal to B07: Compares Current Year Estimated column to a					
	backup of A02. This audit is necessary to ensure that the historical detail records					
	have not been adjusted. Records selected should net to zero					
	*					

		Program or Service (Budget Entity Co			Codes)	
	Action	79800100				
TPY N						
TIP	Requests for appropriations which require advance payment authority must use the					
	sub-title "Grants and Aids". For advance payment authority to local units of					
	government, the Aid to Local Government appropriation category (05XXXX)					
	should be used. For advance payment authority to non-profit organizations or					
	other units of state government, the Special Categories appropriation category					
	(10XXXX) should be used.					
4. EXH	IBIT D (EADR, EXD)					
4.1	Is the program component objective statement consistent with the agency LRPP,					
	and does it conform to the directives provided on page 59 of the LBR Instructions					
		Y				
4.2	Is the program component code and title used correct'	Y				
TIP	Fund shifts or transfers of services or activities between program components will					
	be displayed on an Exhibit D whereas it may not be visible on an Exhibit A.					
5. EXH	IBIT D-1 (ED1R, EXD1)					
5.1	Are all object of expenditures positive amounts? (This is a manual check.	Y				
AUDITS						
5.2	Do the fund totals agree with the object category totals within each appropriation					
	category? (ED1R, XD1A - Report should print "No Differences Found For					
	This Report")	Y				
5.3	FLAIR Expenditure/Appropriation Ledger Comparison Report: Is Column A01					
3.3	less than Column B04? (EXBR, EXBB - Negative differences need to be					
	corrected in Column A01.)					
	corrected in Column Av1.)	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.)					
	corrected in Column 11011)	Y				
TIP	If objects are negative amounts, the agency must make adjustments to Column					1
	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					
111	agency must adjust Column A01.					
TIP	Exhibit B - A01 less than B04: This audit is to ensure that the disbursements and					
111						
	carry/certifications forward in A01 are less than FY 2009-10 approved budget.					
TID	Amounts should be positive. If B08 is not equal to A01, check the following: 1) the initial FLAIR					
TIP						
	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.					
	IBIT D-3 (ED3R, ED3) (Not required in the LBR - for analytical purposes only					
6.1	Are issues appropriately aligned with appropriation categories	Y				
TIP	Exhibit D-3 is no longer required in the budget submission but may be needed for					
	this particular appropriation category/issue sort. Exhibit D-3 is also a useful report					
	when identifying negative appropriation category problems.					
7. EXH	IBIT D-3A (EADR, ED3A)					
7.1	Are the issue titles correct and do they clearly identify the issue? (See pages 15					
	through 31 of the LBR Instructions.)	Y		_		
7.2	Does the issue narrative adequately explain the agency's request and is the					
	explanation consistent with the LRPP? (See page 65 of the LBR Instructions.)					
		Y				

		Program or Ser	vice (Budget	Entity Cod	des)
	Action	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 colour acts are supply to account the supply of the colour account to a decrease the colour acts and are the				
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	1			_
, · · ·	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,	- "			_
7.0	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. (PLRR,				
	PLMO)	N/A			
7.12	Does the issue narrative include plans to satisfy additional space requirements	3.77			
	when requesting additional positions?	N/A			
7.13	Has the agency included a 160XXX0 issue and 210XXXX and 260XXX0 issues	NT/A			
7.14	as required for lump sum distributions?	N/A Y			
7.14	Do the amounts reflect appropriate FSI assignments?	I			
7.15	Do the issues relating to salary and benefits have an "A" in the fifth position of				
	the issue code (XXXXAXX) and are they self-contained (not combined with other issues)? (See page 26 and 86 of the LRB Instructions)				
	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				\neg
	position of the issue code (36XXXCX) and are the correct issue codes used				
	(361XXC0, 362XXC0, 363XXC0, 17C01C0, 17C02C0, 17C03C0, 24010C0,				
	33001C0 or 55C01C0)?	N/A			
7.17	Are the issues relating to major audit findings and recommendations properly				
	coded (4A0XXX0, 4B0XXX0)?	N/A			
AUDIT:			,		
7.18	Are all FSI's equal to '1', '2', '3', or '9'? There should be no FSI's equal to '0'.				
	(EADR, FSIA - Report should print "No Records Selected For Reporting")	v			
7.10	Devide Consultations Control VVVVV	Y			
7.19	Does the General Revenue for 160XXXX issues net to zero? (GENR, LBR1)	NI/A			
		N/A			

		Program	n or Serv	rice (Bud	get Entity	(Codes)
	Action	79800100				
7.20	Does the General Revenue for 180XXXX issues net to zero? (GENR, LBR2)	N/A				
7.21	Does the General Revenue for 200XXXX issues net to zero? (GENR, LBR3)	N/A				
7.22	Have FCO appropriations been entered into the nonrecurring column A04? (GENR, LBR4 - Report should print "No Records Selected For Reporting" or a listing of D-3A issue(s) assigned to Debt Service (IOE N) or in some cases State Capital Outlay - Public Education Capital Outlay (IOE L)	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.					
8. SCH	EDULE I & RELATED DOCUMENTS (SC1R, SC1 - Budget Entity Level or SC1	R, SC1I) - Depa	artment	Level)	
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 section 215.32(2)(b), Florida Statutes - including the Schedule ID and applicable legislation?	N/A				

		Progran	n or Serv	rice (Bud	get 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					
0.1	grant? Are the correct CFDA codes used?	N/A				
8.15	Are anticipated grants included and based on the state fiscal year (rather than	1,,11				
0.13	federal fiscal year)?	N/A				
8.16	Are the Schedule I revenues consistent with the FSI's reported in the Exhibit D-	14/11				
6.10	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					
0.10	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?					
	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					
0.23	Section III?	37				
0.24		Y				ļ
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					
0.20	fund as defined by the LBR Instructions, and is it reconciled to the agency					
	accounting records?	37				
0.27		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					
0.77	sufficient detail for analysis?	Y				
8.28	Does Line I of Column A01 (Schedule I) equal Line K of the Schedule IC	Y				
AUDITS						
8.29	Is Line I a positive number? (If not, the agency must adjust the budget request to					
	eliminate the deficit).	Y				
1			!	.		

		Progran	or Serv	rice (Bude	get Entity	(Codes)
	Action	79800100	. 01 501 V	Dud)	501 Diffity	zoucs)
	18401	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? (SC1R, SC1A -					
	Report should print "No Discrepancies Exist For This Report")	Y				
8.31	Has a Department Level Reconciliation been provided for each trust fund and does					
	Line A of the Schedule I equal the CFO amount? If not, the agency must correct					
	Line A. (SC1R, DEPT)	Y				
TIP	The Schedule I is the most reliable source of data concerning the trust funds. It is		I			
	very important that this schedule is as accurate as possible					
TIP	Determine if the agency is scheduled for trust fund review. (See page 125 of the					
	LBR Instructions.)					
TIP	Review the unreserved fund balances and compare revenue totals to expenditure					
	totals to determine and understand the trust fund status.					
TIP	Typically nonoperating expenditures and revenues should not be a negative					
	number. Any negative numbers must be fully justified.					
9. SCH	EDULE II (PSCR, SC2)					
AUDIT:						
9.1	Is the pay grade minimum for salary rate utilized for positions in segments 2 and					
	3? (BRAR, BRAA - Report should print "No Records Selected For This					
	Request") Note: Amounts other than the pay grade minimum should be fully					
	justified in the D-3A issue narrative. (See <i>Base Rate Audit</i> on page 157 of the					
	LBR Instructions.)	Y				
10. SCI	HEDULE III (PSCR, SC3)		ı			
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 Other Salary Amount appropriate and fully justified? (See page					
	94 of the LBR Instructions for appropriate use of the OAD transaction.) Use					
	OADI or OADR to identify agency other salary amounts requested.					
		N/A				
11. SCF	HEDULE IV (EADR, SC4)					
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.					
12. SCF	HEDULE VIIIA (EADR, SC8A)					
12.1	Is there only one #1 priority, one #2 priority, one #3 priority, etc. reported on the					
	Schedule VIII-A? Are the priority narrative explanations adequate?	Y				
	HEDULE VIIIB-1 (EADR, S8B1)					
13.1	Do the reductions comply with the instructions provided on pages 98 through 101					
	of the LBR Instructions regarding a 5% reduction in recurring and nonrecurring					
	General Revenue and Trust Funds?	Y				
14. SCI	HEDULE VIIIB-2 (EADR, S8B2)					
14.1	Do the reductions comply with the instructions provided on pages 102 through 104					
	of the LBR Instructions regarding a 15% reduction in recurring General Revenue					
	and Trust Funds?	Y				
15. SCI	HEDULE XI (LAS/PBS Web - see page 108 of the LBR Instructions for detailed	l instru	ctions)			
15.1	Has the Schedule XI one page summary Excel file been e-mailed to OPB at					
	OPB.UnitCostSummary@laspbs.state.fl.us? Agencies are required to generate this					
	spreadsheet via the LAS/PBS Web. (Note: Pursuant to section 216.023(4) (b),					
	Florida Statutes, the Legislature can reduce the funding level for any agency that					
	does not provide this information.)	Y	<u> </u>			
15.2	Do the PDF files uploaded to the Florida Fiscal Portal for the LRPP and LBR					
L	match the Excel file e-mailed to OPB?	Y				

		Program or Service (Budget Entity Code					
	Action	79800100					
	S INCLUDED IN THE SCHEDULE XI REPORT:			1		1	
15.3	Does the FY 2009-10 Actual (prior year) Expenditures in Column A36 reconcile	3.7					
	to Column A01? (GENR, ACT1)	Y			<u> </u>	_	
15.4	None of the executive direction, administrative support and information						
	technology statewide activities (ACT0010 thru ACT0490) have output standards						
	(Record Type 5)? (Audit #1 should print "No Activities Found")	Y					
15.5	D	1			 	-	
15.5	Does the Fixed Capital Outlay (FCO) statewide activity (ACT0210) only contain						
	08XXXX or 14XXXX appropriation categories? (Audit #2 should print "No	N/A					
15.6	Operating Categories Found")	IN/A			 	_	
15.6	Has the agency provided the necessary demand (Record Type 5) for all activities						
	which should appear in Section II? (Note: Audit #3 will identify those activities						
	that do NOT have a Record Type '5' and have not been identified as a 'Pass						
	Through' activity. These activities will be displayed in Section III with the						
	'Payment of Pensions, Benefits and Claims' activity and 'Other' activities. Verify i						
	these activities should be displayed in Section III. If not, an output standard would						
	need to be added for that activity and the Schedule XI submitted again.)						
		Y					
15.7	Does Section I (Final Budget for Agency) and Section III (Total Budget for						
	Agency) equal? (Audit #4 should print "No Discrepancies Found")	Y					
TIP	If Section I and Section III have a small difference, it may be due to rounding and						
	therefore will be acceptable.						
16. MA	NUALLY PREPARED EXHIBITS & SCHEDULES						
16.1	Do exhibits and schedules comply with LBR Instructions (pages 110 through 154						
	of the LBR Instructions), and are they accurate and complete:	Y					
16.2	Are appropriation category totals comparable to Exhibit B, where applicable?	Y					
16.3	Are agency organization charts (Schedule X) provided and at the appropriate level						
	of detail?	Y					
AUDITS	S - GENERAL INFORMATION		•	•	_		
TIP	Review Section 6: Audits of the LBR Instructions for a list of audits and their						
	descriptions.						
TIP	Reorganizations may cause audit errors. Agencies must indicate that these errors						
	are due to an agency reorganization to justify the audit error.						
17. CAI	PITAL IMPROVEMENTS PROGRAM (CIP)						
17.1	Are the CIP-2, CIP-3, CIP-A and CIP-B forms included?	Y			1		
17.2	Are the CIP-4 and CIP-5 forms submitted when applicable (see CIP Instructions)?				1		
	Tr(N/A					
17.3	Do all CIP forms comply with CIP Instructions where applicable (see CIP				1	1	
17.0	Instructions)?	Y					
17.4	Does the agency request include 5 year projections (Columns A03, A06, A07, A08				1	+	
17	and A09)?	N/A					
17.5	Are the appropriate counties identified in the narrative:	N/A				+	
17.6	Has the CIP-2 form (Exibit B) been modified to include the agency priority for					+	
17.0	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		1	l			
111	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					
18. FL0	ORIDA 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					

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

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

	***	Program	n or Serv	ice (Bud	get Entity	(Codes)
	Action	79200100				
1 CEN	ERAL					
1. GEN	Are Columns A01, A02, A04, A05, A36, A90, A91, A92, A93, A94, A95, IA1,					
1.1	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					1
	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. EXH	IBIT A (EADR, EXA)					
2. EAH 2.1	Is the budget entity authority and description consistent with the agency's LRPP and					
2.1	does it conform to the directives provided on page 56 of the LBR Instructions?					
	does it conform to the directives provided on page 36 of the LBR instructions?	v				
2.2		Y				
2.2	Are the statewide issues generated systematically (estimated expenditures,	37				
	nonrecurring expenditures, etc.) included?	Y				
2.3	Are the issue codes and titles consistent with Section 3 of the LBR Instructions	***				
	(pages 15 through 27)? Do they clearly describe the issue?	Y				
2.4	Have the coding guidelines in Section 3 of the LBR Instructions (pages 15 through					
	27) been followed?	Y				
	IBIT B (EXBR, EXB)	1		1	1	1
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:					
3.3	Negative Appropriation Category Audit for Agency Request (Columns A03 and					
	A04): Are all appropriation categories positive by budget entity at the FSI level?					
	Are all nonrecurring amounts less than requested amounts? (NACR, NAC - Report					
	should print "No Negative Appropriation Categories Found")					
		Y				
3.4	Current Year Estimated Verification Comparison Report: Is Column A02 equal to					
	Column B07? (EXBR, EXBC - Report should print "Records Selected Net To					
	Zero")	Y				
TIP	Generally look for and be able to fully explain significant differences between A02			L. C.		
	and A03.					

		Prograr	n or Serv	vice (Bud	get 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.					
4. EXH	IBIT D (EADR, EXD)					
4.1	Is the program component objective statement consistent with the agency LRPP, and					
1.1	does it conform to the directives provided on page 59 of the LBR Instructions?					
	does it conform to the directives provided on page 37 of the EDR instructions:	Y				
4.2	T- 4	Y		-		-
4.2	Is the program component code and title used correct?	1				
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.					
_						
	IBIT D-1 (ED1R, EXD1)	**				
5.1	Are all object of expenditures positive amounts? (This is a manual check.)	Y				
AUDITS		Ī	1		1	
5.2	Do the fund totals agree with the object category totals within each appropriation					
	category? (ED1R, XD1A - Report should print "No Differences Found For					
	This Report")	Y				
5.3	FLAIR Expenditure/Appropriation Ledger Comparison Report: Is Column A01 less					
	than Column B04? (EXBR, EXBB - Negative differences need to be corrected					
	in Column A01.)					
		Y				
5.4	A01/State Accounts Disbursements and Carry Forward Comparison Report: Does					
	Column A01 equal Column B08? (EXBR, EXBD - Differences need to be					
	corrected in Column A01.)					
		Y				
TIP	If objects are negative amounts, the agency must make adjustments to Column A01					
	to correct the object amounts. In addition, the fund totals must be adjusted to reflect					
	the adjustment made to the object data.					
TIP	If fund totals and object totals do not agree or negative object amounts exist, the					
	agency must adjust Column A01.					
TIP	Exhibit B - A01 less than B04: This audit is to ensure that the disbursements and					
	carry/certifications forward in A01 are less than FY 2009-10 approved budget.					
	Amounts should be positive.					
TIP	If B08 is not equal to A01, check the following: 1) the initial FLAIR disbursements					
111	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.					
	disbursements and not change after Column Boo was created.					
<	TRANSPORTED A CEDAD EDA AL LA					
	IBIT D-3 (ED3R, ED3) (Not required in the LBR - for analytical purposes only.)		1	1		
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.					
	IBIT D-3A (EADR, ED3A)	1	1	1		
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				

		Progran	n or Serv	vice (Bud	get 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.)					
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				
7.17	Are the issues relating to <i>major audit findings and recommendations</i> properly coded (4A0XXX0, 4B0XXX0)?	N/A				
AUDIT:						
7.18	Are all FSI's equal to '1', '2', '3', or '9'? There should be no FSI's equal to '0'. (EADR, FSIA - Report should print "No Records Selected For Reporting")	Y				
7.19	Does the General Revenue for 160XXXX issues net to zero? (GENR, LBR1)	N/A				
7.20	Does the General Revenue for 180XXXX issues net to zero? (GENR, LBR2)	N/A				

		Progran	or Serv	ice (Bud	get Entity	Codes)
	Action	79200100				
7.21	Does the General Revenue for 200XXXX issues net to zero? (GENR, LBR3)					
7.21	bots the denotal revenue for 2007 Mill issues her to 2010. (GE/AR, 21516)	N/A				
7.22	Have FCO appropriations been entered into the nonrecurring column A04?(GENR,					
	LBR4 - Report should print "No Records Selected For Reporting" or a listing					
	of D-3A issue(s) assigned to Debt Service (IOE N) or in some cases State					
	Capital Outlay - Public Education Capital Outlay (IOE L))	37/1				
TEXTS		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.					
	been dioloughly explained in the B 311 issue halfutive.					
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					
e cciti	is taken care of through line item veto.	CCID	D	T	1\	
8.1	EDULE I & RELATED DOCUMENTS (SC1R, SC1 - Budget Entity Level or SC1R, Has a separate department level Schedule I and supporting documents package been	, SCID -	Depart	ment L	evei)	1
6.1	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	Y				
8.5	the applicable regulatory programs? Have the required detailed narratives been provided (5% trust fund reserve narratives)					
6.5	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,	37/1				
0.0	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)</i> , <i>Florida Statutes</i> - including the Schedule ID and applicable legislation?					
	1 to that shallness - metading the selecture its and applicable registation?	N/A				
		. 1/ . 1				1

		Progran	n or Serv	vice (Budg	get 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				
AUDITS						
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 C			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? (SC1R, SC1A - Report					
	should print "No Discrepancies Exist For This Report")	Y				
8.31	Has a Department Level Reconciliation been provided for each trust fund and does					
0.00	Line A of the Schedule I equal the CFO amount? If not, the agency must correct					
	Line A. (SC1R, DEPT)	Y				
TIP	The Schedule I is the most reliable source of data concerning the trust funds. It is					
111	very important that this schedule is as accurate as possible!					
TID	· · · ·					
TIP	Determine if the agency is scheduled for trust fund review. (See page 125 of the					
TEXT	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.					
	EDULE II (PSCR, SC2)					
AUDIT:						
9.1	Is the pay grade minimum for salary rate utilized for positions in segments 2 and 3?					
	(BRAR, BRAA - Report should print "No Records Selected For This					
	Request") Note: Amounts other than the pay grade minimum should be fully					
	justified in the D-3A issue narrative. (See Base Rate Audit on page 157 of the LBR					
	Instructions.)	N/J				
10 SCE	HEDULE III (PSCR, SC3)		l			
10.1	Is the appropriate lapse amount applied in Segment 3? (See page 87 of the LBR					
10.1	Instructions.)	Y				
10.2	·	1				
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 OADI or					
	OADR to identify agency other salary amounts requested.	N/A				
11 CCT	IEDIH E IV (EADD CC4)	14/11				
	HEDULE IV (EADR, SC4)	N/A	ı			
11.1	Are the correct Information Technology (IT) issue codes used?	IN/A				
TIP	If IT issues are not coded correctly (with "C" in 6th position), they will not appear in					
4	the Schedule IV.					
	HEDULE VIIIA (EADR, SC8A)	1		1		
12.1	Is there only one #1 priority, one #2 priority, one #3 priority, etc. reported on the					
	Schedule VIII-A? Are the priority narrative explanations adequate?	Y				
13. SCE	HEDULE VIIIB-1 (EADR, S8B1)					
13.1	Do the reductions comply with the instructions provided on pages 98 through 101 of					
	the LBR Instructions regarding a 5% reduction in recurring and nonrecurring					
	General Revenue and Trust Funds?	Y				
14. SCF	HEDULE VIIIB-2 (EADR, S8B2)					
14.1	Do the reductions comply with the instructions provided on pages 102 through 104					
1	of the LBR Instructions regarding a 15% reduction in recurring General Revenue					
	and Trust Funds?	Y				
15 CCT			(ama)			
	HEDULE XI (LAS/PBS Web - see page 108 of the LBR Instructions for detailed i Has the Schedule XI one page summary Excel file been e-mailed to OPB at	nstruct	OHS)			
15.1	. • •					
	OPB.UnitCostSummary@laspbs.state.fl.us? Agencies are required to generate this					
	spreadsheet via the LAS/PBS Web. (Note: Pursuant to section 216.023(4) (b),					
	Florida Statutes, the Legislature can reduce the funding level for any agency that					
	does not provide this information.)	Y			<u></u>	
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	n or Serv	vice (Buo	lget Entit	y Codes)
	Action	79200100				
AUDITS	S INCLUDED IN THE SCHEDULE XI REPORT:					
15.3	Does the FY 2009-10 Actual (prior year) Expenditures in Column A36 reconcile to					T
13.3	Column A01? (GENR, ACT1)	Y				
15.4	None of the executive direction, administrative support and information technology					
13.1	statewide activities (ACT0010 thru ACT0490) have output standards (Record Type					
	5)? (Audit #1 should print "No Activities Found")					
	o) (India / I should plane I to II should I to II should I	Y				
15.5	Does the Fixed Capital Outlay (FCO) statewide activity (ACT0210) only contain					
	08XXXX or 14XXXX appropriation categories? (Audit #2 should print "No					
	Operating Categories Found'')	N/A				
15.6	Has the agency provided the necessary demand (Record Type 5) for all activities					
	which should appear in Section II? (Note: Audit #3 will identify those activities					
	that do NOT have a Record Type '5' and have not been identified as a 'Pass Through'					
	activity. These activities will be displayed in Section III with the 'Payment of					
	Pensions, Benefits and Claims' activity and 'Other' activities. Verify if these					
	activities should be displayed in Section III. If not, an output standard would need					
	to be added for that activity and the Schedule XI submitted again.)					
		Y				
15.7	Does Section I (Final Budget for Agency) and Section III (Total Budget for Agency)					
	equal? (Audit #4 should print "No Discrepancies Found")	Y				
TIP	If Section I and Section III have a small difference, it may be due to rounding and		•		•	•
	therefore will be acceptable.					
16. MA	NUALLY PREPARED EXHIBITS & SCHEDULES					
16.1	Do exhibits and schedules comply with LBR Instructions (pages 110 through 154 of					
	the LBR Instructions), and are they accurate and complete?	Y				
16.2	Are appropriation category totals comparable to Exhibit B, where applicable?	Y				
16.3	Are agency organization charts (Schedule X) provided and at the appropriate level					+
10.5	of detail?	Y				
AUDITS	S - GENERAL INFORMATION			ı	1	
TIP	Review Section 6: Audits of the LBR Instructions for a list of audits and their					
	descriptions.					
TIP	Reorganizations may cause audit errors. Agencies must indicate that these errors are					
	due to an agency reorganization to justify the audit error.					
17. CAI	PITAL IMPROVEMENTS PROGRAM (CIP)					
17.1	Are the CIP-2, CIP-3, CIP-A and CIP-B forms included?	Y				
17.2	Are the CIP-4 and CIP-5 forms submitted when applicable (see CIP Instructions)?					
		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 (Exibit 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.					

	Prog	Program or Service (Budget Entity Codes)					
Action	792001)					
18. FLORIDA FISCAL PORTAL							
18.1 Have all files been assembled correctly and posted to the Florida Fiscal Portal outlined in the Florida Fiscal Portal Submittal Process?	as Y						

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

	to be used as necessary), and 1113 are other areas to consider.	Program or Service (Budget Entity Code			des)	
	Action	790102000	79010300			
1 CEN	ERAL					
1.1	Are Columns A01, A02, A04, A05, A36, A90, A91, A92, A93, A94, A95, IA1,					
1.1	IA4, IA5, IP1,V1, IV3 and NV1 set to TRANSFER CONTROL for DISPLAY					l
	status and MANAGEMENT CONTROL for UPDATE status for both the Budget					l
	and Trust Fund columns? Are Columns A06, A07, A08 and A09 for Fixed Capital					l
	Outlay (FCO) set to TRANSFER CONTROL for DISPLAY status only? (CSDI)					ł
		Y	Y			Ь—
1.2	Is Column A03 set to TRANSFER CONTROL for DISPLAY and UPDATE status					l
	for both the Budget and Trust Fund columns? (CSDI)	Y	Y			
AUDITS			1	, ,		
1.3	Has Column A03 been copied to Column A12? Run the Exhibit B Audit	**	**			l
	Comparison Report to verify. (EXBR, EXBA)	Y	Y			<u> </u>
1.4	Has security been set correctly? (CSDR, CSA)	Y	Y			Щ_
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.					
	IBIT A (EADR, EXA)		1			
2.1	Is the budget entity authority and description consistent with the agency's LRPP					l
	and does it conform to the directives provided on page 56 of the LBR Instructions?					l
		Y	Y			<u> </u>
2.2	Are the statewide issues generated systematically (estimated expenditures,					l
	nonrecurring expenditures, etc.) included?	Y	Y			
2.3	Are the issue codes and titles consistent with Section 3 of the LBR Instructions					l
	(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					l
	27) been followed?	Y	Y			1
	IBIT B (EXBR, EXB)		•			
3.1	Is it apparent that there is a fund shift and were the issues entered into LAS/PBS					l
	correctly? Check D-3A funding shift issue 340XXX0 - a unique deduct and unique					l
	add back issue should be used to ensure fund shifts display correctly on the LBR					l
	exhibits.	N/A	N/A			
3.2	Are the 33XXXX0 issues negative amounts only and do not restore nonrecurring					l
	cuts from a prior year or fund any issues that net to a positive or zero amount?					l
	Check D-3A issues 33XXXX0 - a unique issue should be used for issues that net to					l
	zero or a positive amount.	Y	Y			1
AUDITS						
3.3	Negative Appropriation Category Audit for Agency Request (Columns A03 and					ł
	A04): Are all appropriation categories positive by budget entity at the FSI level?					l
	Are all nonrecurring amounts less than requested amounts? (NACR, NAC -					l
	Report should print "No Negative Appropriation Categories Found")					l
		Y	Y			
3.4	Current Year Estimated Verification Comparison Report: Is Column A02 equal to					ł
	Column B07? (EXBR, EXBC - Report should print "Records Selected Net To		_			ł
	Zero")	Y	Y			<u> </u>
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.					

		Progran	n or Service	(Budget	Entity Co	odes)
	Action	790102000	79010300	(=g.:		
TIP	Requests for appropriations which require advance payment authority must use the sub-title "Grants and Aids". For advance payment authority to local units of government, the Aid to Local Government appropriation category (05XXXX) should be used. For advance payment authority to non-profit organizations or other units of state government, the Special Categories appropriation category (10XXXX) should be used.					•
4. EXH	IBIT D (EADR, EXD)					
4.1	Is the program component objective statement consistent with the agency LRPP, and does it conform to the directives provided on page 59 of the LBR Instructions?	Y	Y			
4.2 TIP	Is the program component code and title used correct? 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.	Y	Y			
	IBIT D-1 (ED1R, EXD1)		1	1		
5.1	Are all object of expenditures positive amounts? (This is a manual check.)	Y	Y			
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. Exhibit B - A01 less than B04: This audit is to ensure that the disbursements and					
TIP	carry/certifications forward in A01 are less than FY 2009-10 approved budget. Amounts should be positive.					
111	If B08 is not equal to A01, check the following: 1) the initial FLAIR disbursements or carry forward data load was corrected appropriately in A01; 2) the disbursement data from departmental FLAIR was reconciled to State Accounts; and 3) the FLAIR disbursements did not change after Column B08 was created.					
6. EXH	IBIT D-3 (ED3R, ED3) (Not required in the LBR - for analytical purposes only.)					
6.1 TIP	Are issues appropriately aligned with appropriation categories? 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.	Y	Y			
7. EXH	IBIT D-3A (EADR, ED3A)					
7.1	Are the issue titles correct and do they clearly identify the issue? (See pages 15 through 31 of the LBR Instructions.)	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			

		Program	or Service	(Budget	Entity Co	des)
	Action	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 (OADA/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. (PLRR , PLMO)	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 major audit findings and recommendations properly coded (4A0XXX0, 4B0XXX0)?	N/A	N/A			
AUDIT:						
7.18	Are all FSI's equal to '1', '2', '3', or '9'? There should be no FSI's equal to '0'. (EADR, FSIA - Report should print "No Records Selected For Reporting")	v	V			
7.19	Does the General Revenue for 160XXXX issues net to zero? (GENR, LBR1)	Y N/A	Y N/A			
7.20	Does the General Revenue for 180XXXX issues net to zero? (GENR, LBR2)	N/A N/A	N/A N/A			
L		11/11	11/11		<u> </u>	

		Program	or Service	(Budget	Entity Co	des)
	Action	790102000	79010300	Dauget		
7.21	D. d. C. I.D. C. MONYMY.		·			
7.21	Does the General Revenue for 200XXXX issues net to zero? (GENR, LBR3)	N/A	N/A			
7.22	Have FCO appropriations been entered into the nonrecurring column A04? (GENR, LBR4 - Report should print "No Records Selected For Reporting" or a listing of D-3A issue(s) assigned to Debt Service (IOE N) or in some cases State Capital Outlay - Public Education Capital Outlay (IOE L)	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.					
8. SCH	EDULE I & RELATED DOCUMENTS (SC1R, SC1 - Budget Entity Level or SC1R	SC1D - De	partment	Level)		
8.1	Has a separate department level Schedule I and supporting documents package been submitted by the agency?	Y	Y			
8.2	Has a Schedule I been completed in LAS/PBS for each operating trust fund?	Y	Y			
8.3	Have the appropriate Schedule I supporting documents been included for the trust funds (Schedule IA, Schedule IB, Schedule IC, and Reconciliation to Trial Balance)?	Y	Y			
8.4	Have the Examination of Regulatory Fees Part I and Part II forms been included for the applicable regulatory programs?	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)</i> , <i>Florida Statutes</i> - including the Schedule ID and applicable legislation?	N/A	N/A			

		Progran	n or Service	(Budget En	tity Codes	3)
	Action	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			
AUDITS:						
8.29	Is Line I a positive number? (If not, the agency must adjust the budget request to eliminate the deficit).	Y	Y			

		Program	or Service	(Budget Fi	ntity Coo	les)
	Action	790102000	79010300	(Dauget El	, CO	
	. action	790102000	77010300			
8.30	Is the June 30 Adjusted Unreserved Fund Balance (Line I) equal to the July 1					
	Unreserved Fund Balance (Line A) of the following year? (SC1R, SC1A - Report					
	should print "No Discrepancies Exist For This Report")	Y	Y			
8.31	Has a Department Level Reconciliation been provided for each trust fund and does					
	Line A of the Schedule I equal the CFO amount? If not, the agency must correct					
	Line A. (SC1R, DEPT)	Y	Y			
TIP	The Schedule I is the most reliable source of data concerning the trust funds. It is		-			
111	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					
111	LBR Instructions.)					
TIP	Review the unreserved fund balances and compare revenue totals to expenditure					
111	totals to determine and understand the trust fund status.					
TIP	Typically nonoperating expenditures and revenues should not be a negative					
111	number. Any negative numbers must be fully justified.					
0 CCIT	EDULE II (PSCR, SC2)					
AUDIT:						
				I I		
9.1	Is the pay grade minimum for salary rate utilized for positions in segments 2 and 3?					
	(BRAR, BRAA - Report should print "No Records Selected For This					
	Request'') Note: Amounts other than the pay grade minimum should be fully					
	justified in the D-3A issue narrative. (See <i>Base Rate Audit</i> on page 157 of the	NT/ A	27/4			
	LBR Instructions.)	N/A	N/A			
	HEDULE III (PSCR, SC3)					
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 Other Salary Amount appropriate and fully justified? (See page 94					
	of the LBR Instructions for appropriate use of the OAD transaction.) Use \boldsymbol{OADI} or					
	OADR to identify agency other salary amounts requested.	NT/A	NT/A			
		N/A	N/A			
	HEDULE IV (EADR, SC4)	NT/ A	*7		1	
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.					
	HEDULE VIIIA (EADR, SC8A)					
12.1	Is there only one #1 priority, one #2 priority, one #3 priority, etc. reported on the					
	Schedule VIII-A? Are the priority narrative explanations adequate?	Y	Y			
	HEDULE VIIIB-1 (EADR, S8B1)					
13.1	Do the reductions comply with the instructions provided on pages 98 through 101					
	of the LBR Instructions regarding a 5% reduction in recurring and nonrecurring					
L_	General Revenue and Trust Funds?	Y	Y			
14. SCF	HEDULE VIIIB-2 (EADR, S8B2)			•		
14.1	Do the reductions comply with the instructions provided on pages 102 through 104					
	of the LBR Instructions regarding a 15% reduction in recurring General Revenue					
	and Trust Funds?	Y	Y			
15. SCF	HEDULE XI (LAS/PBS Web - see page 108 of the LBR Instructions for detailed i	nstructions)			
15.1	Has the Schedule XI one page summary Excel file been e-mailed to OPB at		,			
	OPB.UnitCostSummary@laspbs.state.fl.us? Agencies are required to generate this					
	spreadsheet via the LAS/PBS Web. (Note: Pursuant to section 216.023(4) (b),					
	Florida Statutes, the Legislature can reduce the funding level for any agency that					
	does not provide this information.)	Y	Y			
15.2	*	1	I			
15.2	Do the PDF files uploaded to the Florida Fiscal Portal for the LRPP and LBR match	V	37			
L	the Excel file e-mailed to OPB?	Y	Y			

		Progran	n or Service	(Budget I	Entity Co	des)
	Action	790102000	79010300			
ATTINITIO	A NICH LIDED BY WITE COVERNIA E VI DEPORT		*			
	S INCLUDED IN THE SCHEDULE XI REPORT:		l I	1 1		
15.3	Does the FY 2009-10 Actual (prior year) Expenditures in Column A36 reconcile to Column A01? (GENR, ACT1)	Y	Y			
15.4	None of the executive direction, administrative support and information technology	1	1			
13.4	statewide activities (ACT0010 thru ACT0490) have output standards (Record Type					
	5)? (Audit #1 should print "No Activities Found")					
	5). (Rudit #1 bilouid print 110 recirrates Found)	Y	Y			
15.5	Does the Fixed Capital Outlay (FCO) statewide activity (ACT0210) only contain					
	08XXXX or 14XXXX appropriation categories? (Audit #2 should print "No					
	Operating Categories Found'')	N/A	N/A			
15.6	Has the agency provided the necessary demand (Record Type 5) for all activities					
	which should appear in Section II? (Note: Audit #3 will identify those activities					
	that do NOT have a Record Type '5' and have not been identified as a 'Pass					
	Through' activity. These activities will be displayed in Section III with the					
	'Payment of Pensions, Benefits and Claims' activity and 'Other' activities. Verify if					
	these activities should be displayed in Section III. If not, an output standard would					
	need to be added for that activity and the Schedule XI submitted again.)					
		Y	Y			
15.7	Does Section I (Final Budget for Agency) and Section III (Total Budget for					
	Agency) equal? (Audit #4 should print "No Discrepancies Found")	Y	Y			
TIP	If Section I and Section III have a small difference, it may be due to rounding and					
	therefore will be acceptable.					
	NUALLY PREPARED EXHIBITS & SCHEDULES		1			
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	1	1			
10.5	of detail?	Y	Y			
AUDITS	5 - GENERAL INFORMATION		1 -			
TIP	Review Section 6: Audits of the LBR Instructions for a list of audits and their					
111	descriptions.					
TIP	Reorganizations may cause audit errors. Agencies must indicate that these errors					
111	are due to an agency reorganization to justify the audit error.					
17. CAI	PITAL IMPROVEMENTS PROGRAM (CIP)					
17.1	Are the CIP-2, CIP-3, CIP-A and CIP-B forms included?	Y	Y			
17.2	Are the CIP-4 and CIP-5 forms submitted when applicable (see CIP Instructions)?		1			
		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 (Exibit 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						
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			·			

Department/Budget Entity (Service): Business and Professional Regulation - Pari-Mutuel Wagering

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

(addition	al sheets can be used as necessary), and "TIPS" are other areas to consider.	Program	m or Servi	ce (Bude	ret Entity	Codes)
	Action	79100400	79100500	cc (Duug	ct Entity	zoucs)
1 CEN					-	
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	Y			
1.2	Is Column A03 set to TRANSFER CONTROL for DISPLAY and UPDATE status for both the Budget and Trust Fund columns? (CSDI)	Y	Y			
AUDITS						
1.3	Has Column A03 been copied to Column A12? Run the Exhibit B Audit					
	Comparison Report to verify. (EXBR, EXBA)	Y	Y			
1.4	Has security been set correctly? (CSDR, CSA)	Y	Y			
TIP	The agency should prepare the budget request for submission in this order: 1) Lock columns as described above; 2) copy Column A03 to Column A12; and 3) set Column A12 column security to ALL for DISPLAY status and					
2 EVI	MANAGEMENT CONTROL for UPDATE status.					
	IIBIT A (EADR, EXA) Is the budget entity authority and description consistent with the agency's LRPP					
2.1	and does it conform to the directives provided on page 56 of the LBR Instructions?	Y	Y			
2.2	Are the statewide issues generated systematically (estimated expenditures,					
	nonrecurring expenditures, etc.) included?	Y	Y			
2.3	Are the issue codes and titles consistent with Section 3 of the LBR Instructions					
	(pages 15 through 27)? Do they clearly describe the issue?	Y	Y			
2.4	Have the coding guidelines in <i>Section 3</i> of the LBR Instructions (pages 15 through 27) been followed?	Y	Y			
2 EVII	IIBIT B (EXBR, EXB)	1	1			
3.1	Is it apparent that there is a fund shift and were the issues entered into LAS/PBS					
3.1	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			
AUDITS						
3.3	Negative Appropriation Category Audit for Agency Request (Columns A03 and A04): Are all appropriation categories positive by budget entity at the FSI level? Are all nonrecurring amounts less than requested amounts? (NACR, NAC -					
	Report should print "No Negative Appropriation Categories Found")	Y	Y			
3.4	Current Year Estimated Verification Comparison Report: Is Column A02 equal to					
	Column B07? (EXBR, EXBC - Report should print "Records Selected Net To Zero")	Y	Y			
TIP	Generally look for and be able to fully explain significant differences between A02 and A03.					
TIP	Exhibit B - A02 equal to B07: Compares Current Year Estimated column to a backup of A02. This audit is necessary to ensure that the historical detail records have not been adjusted. Records selected should net to zero					
	· · · · · · · · · · · · · · · · · · ·					

		Program or Service (Budget Ent				Codes)
	Action	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.					
4. EXH	IBIT D (EADR, EXD)					
4.1	Is the program component objective statement consistent with the agency LRPP,					
	and does it conform to the directives provided on page 59 of the LBR Instructions?					
		Y	Y			
4.2	Is the program component code and title used correct:	Y	Y			
TIP	Fund shifts or transfers of services or activities between program components will		ı	ı		
	be displayed on an Exhibit D whereas it may not be visible on an Exhibit A.					
5. EXH	IBIT D-1 (ED1R, EXD1)					
5.1	Are all object of expenditures positive amounts? (This is a manual check.)	Y	Y			
AUDITS						
5.2	Do the fund totals agree with the object category totals within each appropriation					
2.2	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					
5.5	less than Column B04? (EXBR, EXBB - Negative differences need to be					
	corrected in Column A01.)					
	corrected in Column Av1.)	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.)					
	corrected in Column 2011)	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					
111	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.	`				
	IBIT D-3 (ED3R, ED3) (Not required in the LBR - for analytical purposes only	y.) Y	Y	1	1	
6.1	Are issues appropriately aligned with appropriation categories'	1	1			L
TIP	Exhibit D-3 is no longer required in the budget submission but may be needed for					
	this particular appropriation category/issue sort. Exhibit D-3 is also a useful report					
	when identifying negative appropriation category problems.					
7 13711	IDIT D 2A (EADD ED2A)					
	IBIT D-3A (EADR, ED3A)			1		
7.1	Are the issue titles correct and do they clearly identify the issue? (See pages 15	v	37			
7.2	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			
		1	1	<u> </u>		

Action			Progra	m or Serv	ice (Budg	get Entity	Codes)
narrative requirements described on pages 66 through 69 of the LBR Instructions? N/A N/A Are all issues with an IT component identified with a "Y" in the "IT COMPONENT?" field? If the issue contains an IT component, has that component been identified and documented? 7.5 Does the issue narrative explain any variances from the Standard Expense and Human Resource Scrives Assessments package? Is the nonrecurring portion in the nonrecurring column? (See pages E-4 and E-5 of the LBR Instructions.) 7.6 Does the salary rate request amount accurately reflect any new requests and are the amounts proportionate to the Salaries and Benefits request? Note: Salary rate should always be annualized. 7.7 Does the issue narrative thoroughly explain/justify all Salaries and Benefits amounts entered into OAD are reflected in the Position Detail of Salaries and Benefits section of the Exhibit D-3A. 8. Does the issue narrative include the Consensus Estimating Conference forecast, where appropriate? 7.9 Does the issue narrative reference the specific county(ies) where applicable? 7.10 Do the 160XXXO 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? 7.11 When appropriate are there any 160XXO 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 shouldnot be deleted. (PLRR, PLMO) 7.12 Does the issue narrative include plans to satisfy additional space requirements when requesting additional positions? 7.14 The third of the same and the properties of the same and an analysis of the issue code (XXXXAXX) and are the correct issue codes used (361XXCO.363XXCO.363XXCO.7017CO.2CO.17CO3CO.24010CO.33001CO or 55CO1CO)? 7.11 Are the issues relating to Information Technology (IT) have a "C" in the sixth position of the issue code (36XXXCO.3		Action	79100400	79100500			
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7.19 Does the General Revenue for 160XXXX issues net to zero? (GENR, LBR1) N/A N/A		(EADR, FSIA - Report should print "No Records Selected For Reporting")					
N/A N/A			Y	Y			
	7.19	Does the General Revenue for 160XXXX issues net to zero? (GENR, LBR1)					
7.20 Does the General Revenue for 180XXXX issues net to zero? (GENR, LBR2)			N/A	N/A			
	7.20	Does the General Revenue for 180XXXX issues net to zero? (GENR, LBR2)					
N/A N/A			N/A	N/A			

		Prograi	n or Serv	ice (Bud	get Entity	Codes)
	Action	79100400	79100500			
7.21	Does the General Revenue for 200XXXX issues net to zero? (GENR, LBR3)					
7.21	Does the Ocheral Revenue for 2007/27/7 Issues net to zero. (OEFW, EBRS)	N/A	N/A			
7.22	Have FCO appropriations been entered into the nonrecurring column A04?					
	(GENR, LBR4 - Report should print "No Records Selected For Reporting"					
	or a listing of D-3A issue(s) assigned to Debt Service (IOE N) or in some cases ${\sf C}$					
	State Capital Outlay - Public Education Capital Outlay (IOE L))	N/A	N/A			
TIP	Solories and Banefits amounts entered using the OADA/C transactions must be	IN/A	IV/A			
H	Salaries and Benefits amounts entered using the OADA/C transactions must be thoroughly justified in the D-3A issue narrative. Agencies can runOADA/OADR					
	from STAM to identify the amounts entered into OAD and ensure these entries					
	have been thoroughly explained in the D-3A issue narrative.					
	in the seem motoraging supramed in the 2 strassuc instants.					
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.					
	EDULE I & RELATED DOCUMENTS (SC1R, SC1 - Budget Entity Level or SC1	R, SC1I) - Depai	rtment	Level)	1
8.1	Has a separate department level Schedule I and supporting documents package	3.7	37			
0.2	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					
0.7	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	-	•			
0.0	applicable for transfers totaling \$100,000 or more for the fiscal year?					
	11	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			
		11/11	11/11	l	l	1

Program or Service (Budget Entity C							
	Action	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-	3.7	3.7				
	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?						
	r	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	1	1				
0.23	A02?	* 7	* 7				
0.25		Y	Y				
8.26	Does the Schedule IC properly reflect the unreserved fund balance for each trust						
	fund as defined by the LBR Instructions, and is it reconciled to the agency						
	accounting records?	Y	Y				
8.27	Does Column A01 of the Schedule I accurately represent the actual prior year						
	accounting data as reflected in the agency accounting records, and is it provided in						
	sufficient detail for analysis?	Y	Y				
8.28	Does Line I of Column A01 (Schedule I) equal Line K of the Schedule IC	Y	Y				
AUDITS		1					
8.29	Is Line I a positive number? (If not, the agency must adjust the budget request to						
	eliminate the deficit).	Y	Y				

Action		Drogra	n or Corre	iaa (Bud	ant Entity	Codes)	
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? (SCIR, SCIA - Report should print "No Discrepancies Exist For This Report") 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. (SCIR, DEPT) TIP The Schedule I si the most reliable source of data concerning the trust funds. It is very important that this schedule is as accurate as possible TIP Determine if the agency is scheduled for trust fund review. (See page 125 of the LBR Instructions.) TIP Review the unreserved fund balances and compare revenue totals to expenditure totals to determine and understand the trust fund status TIP Typically nonoperating expenditures and revenues should not be a negative number. Any negative numbers must be fully justified. 9. SCHEDULE IT (PSCR, SC2) AUDIT: 9.1 Is the pay grade minimum for salary rate utilized for positions in segments 2 and 3? (BRAR, BRAA - Report should print "No Records Selected For This Request") Note: Amounts other than the pay grade minimum should be fully justified in the D-3h sisse narrative. (See Base Rate Audit on page 157 of the LBR Instructions.) 10. SCHEDULE III (PSCR, SC3) 10.1 Is the appropriate lapse amount applied in Segment 3? (See page 87 of the LBR Instructions.) 10.2 Are amounts in Other Salary Amount appropriate and fully justified? (See page 94 of the LBR Instructions for appropriate use of the OAD transaction.) Use OADI or OADR to identify agency other salary amounts requested. 11. Are the correct Information Technology (IT) issue codes used 12. SCHEDULE IV (EADR, SC4) 13. SCHEDULE V (EADR, SC4) 14. To the ecorrect Information Technology (IT) issue codes used 15. SCHEDULE VIIIA (EADR, SC5) 16. SCHEDULE VIIIA (EADR, SC8) 17. SCHEDULE VIIIA (EADR, SC8) 18. SCHEDULE VIIIA (EADR, SC8) 19. The reductions comply with the instructions provided on pages 98 through 101 of		Action			ice (Dud	get Entity	Coues)
Libreserved Fundi Balance (Line A) of the following year? (SCIR, SCIA. Y Y		ACTION	79100400	79100500	<u> </u>	<u> </u>	<u> </u>
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15.2 Do the PDF files uploaded to the Florida Fiscal Portal for the LRPP and LBR		Florida Statutes, the Legislature can reduce the funding level for any agency that					
	<u> </u>	does not provide this information.)	Y	Y			
match the Excel file e-mailed to OPB?	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			

		Prograi	m or Serv	ice (Bud	get Entity	y Codes)
	Action	79100400	79100500			
	S INCLUDED IN THE SCHEDULE XI REPORT:					
15.3	Does the FY 2009-10 Actual (prior year) Expenditures in Column A36 reconcile	3.7	3.7		İ	
	to Column A01? (GENR, ACT1)	Y	Y		<u> </u>	
15.4	None of the executive direction, administrative support and information				İ	
	technology statewide activities (ACT0010 thru ACT0490) have output standards				İ	
	(Record Type 5)? (Audit #1 should print "No Activities Found")	Y	Y		İ	
15.5	D	1	1		-	+
15.5	Does the Fixed Capital Outlay (FCO) statewide activity (ACT0210) only contain				İ	
	08XXXX or 14XXXX appropriation categories? (Audit #2 should print "No	N/A	N/A		İ	
15.6	Operating Categories Found")	IN/A	IN/A		-	+
15.6	Has the agency provided the necessary demand (Record Type 5) for all activities				İ	
	which should appear in Section II? (Note: Audit #3 will identify those activities				İ	
	that do NOT have a Record Type '5' and have not been identified as a 'Pass				İ	
	Through' activity. These activities will be displayed in Section III with the				İ	
	'Payment of Pensions, Benefits and Claims' activity and 'Other' activities. Verify it				İ	
	these activities should be displayed in Section III. If not, an output standard would				İ	
	need to be added for that activity and the Schedule XI submitted again.)				İ	
		Y	Y			
15.7	Does Section I (Final Budget for Agency) and Section III (Total Budget for				İ	
	Agency) equal? (Audit #4 should print "No Discrepancies Found")	Y	Y			
TIP	If Section I and Section III have a small difference, it may be due to rounding and					
	therefore will be acceptable.					
16. MA	NUALLY PREPARED EXHIBITS & SCHEDULES					
16.1	Do exhibits and schedules comply with LBR Instructions (pages 110 through 154					
	of the LBR Instructions), and are they accurate and complete?	Y	Y		İ	
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		İ	
AUDITS	S - GENERAL INFORMATION					
TIP	Review Section 6: Audits of the LBR Instructions for a list of audits and their					
	descriptions.					
TIP	Reorganizations may cause audit errors. Agencies must indicate that these errors					
	are due to an agency reorganization to justify the audit error.					
17. CAI	PITAL IMPROVEMENTS PROGRAM (CIP)					
17.1	Are the CIP-2, CIP-3, CIP-A and CIP-B forms included?	Y	Y			
17.2	Are the CIP-4 and CIP-5 forms submitted when applicable (see CIP Instructions)?					1
	Tr(N/A	N/A		İ	
17.3	Do all CIP forms comply with CIP Instructions where applicable (see CIP					+
17.0	Instructions)?	Y	Y		İ	
17.4	Does the agency request include 5 year projections (Columns A03, A06, A07, A08					+
17.1	and A09)?	N/A	N/A		İ	
17.5	Are the appropriate counties identified in the narrative:	N/A	N/A			+
17.6	Has the CIP-2 form (Exibit B) been modified to include the agency priority for	1,,11	1,711			+
17.0	each project and the modified form saved as a PDF document:	N/A	N/A		1	
TIP	Requests for Fixed Capital Outlay appropriations which are Grants and Aids to			1		
111	Local Governments and Non-Profit Organizations must use the Grants and Aids to					
	Local Governments and Non-Profit Organizations in 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.					
	These appropriations utilize a Cir-b form as justification.					

Program or Service (Budget Entity Codes)									
	Action	79100400	79100500						
18. FL0	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						

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

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

		Program or Service (Budget Entity Codes)				
	Action	79050100	79050400	79050500	79050600	
1 CEN						
	ERAL			l		
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	Y	Y	Y	
1.2	Is Column A03 set to TRANSFER CONTROL for DISPLAY and UPDATE					
	status for both the Budget and Trust Fund columns? (CSDI)	Y	Y	Y	Y	
AUDITS	3:					
1.3	Has Column A03 been copied to Column A12? Run the Exhibit B Audit					
	Comparison Report to verify. (EXBR, EXBA)	Y	Y	Y	Y	
1.4	Has security been set correctly? (CSDR, CSA)	Y	Y	Y	Y	
TIP	The agency should prepare the budget request for submission in this order: 1)		l .		<u> </u>	U
	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 FXH	IBIT A (EADR, EXA)					
2.1	Is the budget entity authority and description consistent with the agency's LRPP					
2.1	and does it conform to the directives provided on page 56 of the LBR Instructions'					
	and does it conform to the directives provided on page 50 of the LBK instructions.	Y	Y	Y	Y	
2.2	Are the statewide issues generated systematically (estimated expenditures,	1	1	1	1	
2.2		Y	Y	Y	Y	
	nonrecurring expenditures, etc.) included:	1	1	1	1	
2.3	Are the issue codes and titles consistent with Section 3 of the LBR Instructions	Y	37	Y	v	
2.4	(pages 15 through 27)? Do they clearly describe the issue?	1	Y	Y	Y	
2.4	Have the coding guidelines in Section 3 of the LBR Instructions (pages 15 through	Y	Y	Y	Y	
	27) been followed?	1	I	I	ĭ	
	IBIT B (EXBR, EXB)			ı		
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	
AUDITS	3:					
3.3	Negative Appropriation Category Audit for Agency Request (Columns A03 and					
	A04): Are all appropriation categories positive by budget entity at the FSI level?					
	Are all nonrecurring amounts less than requested amounts? (NACR, NAC -					
	Report should print "No Negative Appropriation Categories Found")					
		Y	Y	Y	Y	
3.4	Current Year Estimated Verification Comparison Report: Is Column A02 equal to					
	Column B07? (EXBR, EXBC - Report should print "Records Selected Net					
	To Zero")	Y	Y	Y	Y	
TIP	Generally look for and be able to fully explain significant differences between A02					
	and A03.					
TIP	Exhibit B - A02 equal to B07: Compares Current Year Estimated column to a					
	backup of A02. This audit is necessary to ensure that the historical detail records					
	have not been adjusted. Records selected should net to zero					

	Prog	gram or Serv	rice (Budget	Entity Cod	es)
Action	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.					
4. EXHIBIT D (EADR, EXD)					
4.1 Is the program component objective statement consistent with the agency LRPP, and does it conform to the directives provided on page 59 of the LBR Instructions.	Y	Y	Y	Y	
4.2 Is the program component code and title used correct:	Y	Y	Y	Y	
TIP Fund shifts or transfers of services or activities between program components will be displayed on an Exhibit D whereas it may not be visible on an Exhibit A.					
5. EXHIBIT D-1 (ED1R, EXD1)					
5.1 Are all object of expenditures positive amounts? (This is a manual check.)	Y	Y	Y	Y	
AUDITS:	1	ı		1	1
5.2 Do the fund totals agree with the object category totals within each appropriation category? (ED1R, XD1A - Report should print "No Differences Found For This Report")	Y	Y	Y	Y	
5.3 FLAIR Expenditure/Appropriation Ledger Comparison Report: Is Column A01 less than Column B04? (EXBR, EXBB - Negative differences need to be corrected in Column A01.)	Y	Y	Y	Y	
5.4 A01/State Accounts Disbursements and Carry Forward Comparison Report: Does Column A01 equal Column B08? (EXBR, EXBD - Differences need to be corrected in Column A01.)		Y	Y	Y	
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.		1	1	1	
TIP If fund totals and object totals do not agree or negative object amounts exist, the agency must adjust Column A01.					
TIP Exhibit B - A01 less than B04: This audit is to ensure that the disbursements and carry/certifications forward in A01 are less than FY 2009-10 approved budget. Amounts should be positive.					
TIP If B08 is not equal to A01, check the following: 1) the initial FLAIR disbursements or carry forward data load was corrected appropriately in A01; 2) the disbursement data from departmental FLAIR was reconciled to State Accounts; and 3) the FLAIR disbursements did not change after Column B08 was created.					
6. EXHIBIT D-3 (ED3R, ED3) (Not required in the LBR - for analytical purposes onl					
6.1 Are issues appropriately aligned with appropriation categories	Y	Y	Y	Y	
TIP Exhibit D-3 is no longer required in the budget submission but may be needed for this particular appropriation category/issue sort. Exhibit D-3 is also a useful report when identifying negative appropriation category problems.					
7. EXHIBIT D-3A (EADR, ED3A)					
7.1 Are the issue titles correct and do they clearly identify the issue? (See pages 15 through 31 of the LBR Instructions.)	Y	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	

		Prog	ram or Serv	vice (Budge	t Entity Cod	es)
	Action	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. (PLRR , PLMO)	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 (36XXXCX) 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	
AUDIT:						
7.18	Are all FSI's equal to '1', '2', '3', or '9'? There should be no FSI's equal to '0'. (EADR, FSIA - Report should print "No Records Selected For Reporting")	Y	Y	Y	Y	
7.19	Does the General Revenue for 160XXXX issues net to zero? (GENR, LBR1)	NA	NA	NA	NA	
7.20	Does the General Revenue for 180XXXX issues net to zero? (GENR, LBR2)	NA	NA	NA	NA	

		Prog	ram or Serv	rice (Budget	Entity Cod	es)
	Action	79050100	79050400	79050500	79050600	
7.21	Does the General Revenue for 200XXXX issues net to zero? (GENR, LBR3)	NA	NA	NA	NA	
7.22	Have FCO appropriations been entered into the nonrecurring column A04? (GENR, LBR4 - Report should print "No Records Selected For Reporting" or a listing of D-3A issue(s) assigned to Debt Service (IOE N) or in some cases State Capital Outlay - Public Education Capital Outlay (IOE L))	NA	NA	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 runOADA/OADR from STAM to identify the amounts entered into OAD and ensure these entries have been thoroughly explained in the D-3A issue narrative.					
TIP	The issue narrative must completely and thoroughly explain and justify each D-3A issue. Agencies must ensure it provides the information necessary for the OPB and legislative analysts to have a complete understanding of the issue submitted. Thoroughly review pages 64 through 70 of the LBR Instructions.					
TIP	Check BAPS to verify status of budget amendments. Check for reapprovals not picked up in the General Appropriations Act. Verify that Lump Sum appropriations in Column A02 do not appear in Column A03. Review budget amendments to verify that 160XXX0 issue amounts correspond accurately and net to zero for General Revenue funds.					
TIP	If an agency is receiving federal funds from another agency the FSI should = 9 (Transfer - Recipient of Federal Funds). The agency that originally receives the funds directly from the federal agency should use FSI = 3 (Federal Funds).					
TIP	If an appropriation made in the FY 2009-10 General Appropriations Act duplicates an appropriation made in substantive legislation, the agency must create a unique deduct nonrecurring issue to eliminate the duplicated appropriation. Normally this is taken care of through line item veto.					
8 SCH	EDULE I & RELATED DOCUMENTS (SC1R, SC1 - Budget Entity Level or SC1	R SC1D	Departm	ant I aval)		
8.1	Has a separate department level Schedule I and supporting documents package	Y Y	Y	Y	Y	
8.2	been submitted by the agency? 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	Y	Y	Y	Y	
8.4	Balance)? Have the Examination of Regulatory Fees Part I and Part II forms been included				1 37	
8.5	for the applicable regulatory programs. 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	Y	Y	NA	Y	
8.6	methodology narrative): Has the Inter-Agency Transfers Reported on Schedule I form been included as	Y	Y	Y	Y	
	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?					
	1 tortaa otatutes - metaanig the beneath 1D and applicable registation?	NA	NA	NA	NA	

		Prog	ram or Serv	rice (Budget	Entity Cod	es)
	Action	79050100	79050400	79050500	79050600	cs)
	A DOLLOTE	79050100	79050400	79030300	79030600	
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					
0.1	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		- 10-			
0.13	federal fiscal year)?	NA	NA	NA	NA	
8.16	Are the Schedule I revenues consistent with the FSI's reported in the Exhibit D-					
0.10	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			_	_	
0.27	A01?	Y	Y	Y	37	
0.27		I	I	I	Y	
8.25	Are current year September operating reversions appropriately shown in column					
	A02?	Y	Y	Y	Y	
8.26	Does the Schedule IC properly reflect the unreserved fund balance for each trust					
	fund as defined by the LBR Instructions, and is it reconciled to the agency					
	accounting records?	Y	Y	Y	Y	
8.27	Does Column A01 of the Schedule I accurately represent the actual prior year					
	accounting data as reflected in the agency accounting records, and is it provided in					
	sufficient detail for analysis?	Y	Y	Y	Y	
8.28	Does Line I of Column A01 (Schedule I) equal Line K of the Schedule IC'	Y	Y	Y	Y	
AUDITS				1	1	
8.29	Is Line I a positive number? (If not, the agency must adjust the budget request to					
	eliminate the deficit).	•	•	,,,		
	<u>'</u>	Y	Y	Y	Y	

		D		rian (D1-	Entite C	laa)
	Action		ram or Serv			ies)
<u> </u>	Action	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? (SC1R, SC1A -					
	Report should print "No Discrepancies Exist For This Report")	Y	Y	Y	Y	
8.31	Has a Department Level Reconciliation been provided for each trust fund and does		_	-	-	
0.01	Line A of the Schedule I equal the CFO amount? If not, the agency must correct					
	Line A. (SC1R, DEPT)	Y	Y	Y	Y	
TIP	The Schedule I is the most reliable source of data concerning the trust funds. It is					
111	very important that this schedule is as accurate as possible					
TIP	Determine if the agency is scheduled for trust fund review. (See page 125 of the					
	LBR Instructions.)					
TIP	Review the unreserved fund balances and compare revenue totals to expenditure					
	totals to determine and understand the trust fund status.					
TIP	Typically nonoperating expenditures and revenues should not be a negative					
	number. Any negative numbers must be fully justified.					
9. SCH	EDULE II (PSCR, SC2)					
AUDIT						
9.1	Is the pay grade minimum for salary rate utilized for positions in segments 2 and					
	3? (BRAR, BRAA - Report should print "No Records Selected For This					
	Request") Note: Amounts other than the pay grade minimum should be fully					
	justified in the D-3A issue narrative. (See Base Rate Audit on page 157 of the					
	LBR Instructions.)	N/J	Y	Y	Y	
10. SCI	HEDULE III (PSCR, SC3)		•		•	
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					
	OADI or OADR to identify agency other salary amounts requested.					
		NA	NA	NA	NA	
	HEDULE IV (EADR, SC4)	37.1	374	37.1	1 374	1
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.					
	HEDULE VIIIA (EADR, SC8A)		ı		ı	1
12.1	Is there only one #1 priority, one #2 priority, one #3 priority, etc. reported on the	v	v	37	v	
12 00	Schedule VIII-A? Are the priority narrative explanations adequate?	Y	Y	Y	Y	
	HEDULE VIIIB-1 (EADR, S8B1)		I		I	1
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	37	.,,	37	,,,	
	General Revenue and Trust Funds?	Y	Y	Y	Y	
	HEDULE VIIIB-2 (EADR, S8B2)		ı		ı	ı
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	37	37	37	37	
45 00-	and Trust Funds?	Y	Y	Y	Y	
	HEDULE XI (LAS/PBS Web - see page 108 of the LBR Instructions for detailed	i instruc	tions)		I	1
15.1	Has the Schedule XI one page summary Excel file been e-mailed to OPB at					
	OPB.UnitCostSummary@laspbs.state.fl.us? Agencies are required to generate this					
	spreadsheet via the LAS/PBS Web. (Note: Pursuant to section 216.023(4) (b),					
	Florida Statutes, the Legislature can reduce the funding level for any agency that					
	does not provide this information.)	Y	Y	Y	Y	
150	Do the PDF files uploaded to the Florida Fiscal Portal for the LRPP and LBR		1			1
15.2	match the Excel file e-mailed to OPB?	Y	Y	Y	Y	

15.3 Do to 0 15.4 No tec (Re 15.5 Do 083 Op 15.6 Ha wh tha Thi 'Pa the nee	Action ICLUDED IN THE SCHEDULE XI REPORT: oes the FY 2009-10 Actual (prior year) Expenditures in Column A36 reconcile Column A01? (GENR, ACT1) one of the executive direction, administrative support and information chnology statewide activities (ACT0010 thru ACT0490) have output standards ecord Type 5)? (Audit #1 should print "No Activities Found") oes the Fixed Capital Outlay (FCO) statewide activity (ACT0210) only contain EXXXX or 14XXXX appropriation categories? (Audit #2 should print "No perating Categories Found") as the agency provided the necessary demand (Record Type 5) for all activities hich should appear in Section II? (Note: Audit #3 will identify those activities at do NOT have a Record Type '5' and have not been identified as a 'Pass hrough' activity. These activities will be displayed in Section III with the ayment of Pensions, Benefits and Claims' activity and 'Other' activities. Verify i ese activities should be displayed in Section III. If not, an output standard would ed to be added for that activity and the Schedule XI submitted again.) oes Section I (Final Budget for Agency) and Section III (Total Budget for gency) equal? (Audit #4 should print "No Discrepancies Found")	79050100 Y Y NA	Y Y NA	79050500 Y Y NA	Y Y NA	
15.3 Do to 0 15.4 No tec (Re 15.5 Do 083 Op 15.6 Ha wh tha Thi 'Pa the nee	oes the FY 2009-10 Actual (prior year) Expenditures in Column A36 reconcile Column A01? (GENR, ACT1) one of the executive direction, administrative support and information chnology statewide activities (ACT0010 thru ACT0490) have output standards eccord Type 5)? (Audit #1 should print "No Activities Found") oes the Fixed Capital Outlay (FCO) statewide activity (ACT0210) only contain 8XXXX or 14XXXX appropriation categories? (Audit #2 should print "No perating Categories Found") as the agency provided the necessary demand (Record Type 5) for all activities hich should appear in Section II? (Note: Audit #3 will identify those activities at do NOT have a Record Type '5' and have not been identified as a 'Pass brough' activity. These activities will be displayed in Section III with the ayment of Pensions, Benefits and Claims' activity and 'Other' activities. Verify i ese activities should be displayed in Section III. If not, an output standard would be deed to be added for that activity and the Schedule XI submitted again.)	Y NA	Y NA	Y	Y	
15.3 Do to 0 15.4 No tec (Re 15.5 Do 083 Op 15.6 Ha wh tha Thi 'Pa the nee	oes the FY 2009-10 Actual (prior year) Expenditures in Column A36 reconcile Column A01? (GENR, ACT1) one of the executive direction, administrative support and information chnology statewide activities (ACT0010 thru ACT0490) have output standards eccord Type 5)? (Audit #1 should print "No Activities Found") oes the Fixed Capital Outlay (FCO) statewide activity (ACT0210) only contain 8XXXX or 14XXXX appropriation categories? (Audit #2 should print "No perating Categories Found") as the agency provided the necessary demand (Record Type 5) for all activities hich should appear in Section II? (Note: Audit #3 will identify those activities at do NOT have a Record Type '5' and have not been identified as a 'Pass brough' activity. These activities will be displayed in Section III with the ayment of Pensions, Benefits and Claims' activity and 'Other' activities. Verify i ese activities should be displayed in Section III. If not, an output standard would be deed to be added for that activity and the Schedule XI submitted again.)	Y NA	Y NA	Y	Y	
15.4 No tec (Re 15.5 Do 08: Op 15.6 Ha wh tha Thi 'Pa the need 15.7 Do Ag	Column A01? (GENR, ACT1) one of the executive direction, administrative support and information chnology statewide activities (ACT0010 thru ACT0490) have output standards Record Type 5)? (Audit #1 should print "No Activities Found") oes the Fixed Capital Outlay (FCO) statewide activity (ACT0210) only contain 8XXXX or 14XXXX appropriation categories? (Audit #2 should print "No perating Categories Found") as the agency provided the necessary demand (Record Type 5) for all activities hich should appear in Section II? (Note: Audit #3 will identify those activities at do NOT have a Record Type '5' and have not been identified as a 'Pass prough' activity. These activities will be displayed in Section III with the ayment of Pensions, Benefits and Claims' activity and 'Other' activities. Verify it ese activities should be displayed in Section III. If not, an output standard would not be added for that activity and the Schedule XI submitted again.)	Y NA	Y NA	Y	Y	
15.4 No tec (Re 15.5 Do 082 Op 15.6 Ha wh tha Thi 'Pa the need 15.7 Do Ag	one of the executive direction, administrative support and information chnology statewide activities (ACT0010 thru ACT0490) have output standards Record Type 5)? (Audit #1 should print "No Activities Found") oes the Fixed Capital Outlay (FCO) statewide activity (ACT0210) only contain 8XXXX or 14XXXX appropriation categories? (Audit #2 should print "No perating Categories Found") as the agency provided the necessary demand (Record Type 5) for all activities withich should appear in Section II? (Note: Audit #3 will identify those activities at do NOT have a Record Type '5' and have not been identified as a 'Pass arrough' activity. These activities will be displayed in Section III with the ayment of Pensions, Benefits and Claims' activity and 'Other' activities. Verify i ese activities should be displayed in Section III. If not, an output standard would seed to be added for that activity and the Schedule XI submitted again.) oes Section I (Final Budget for Agency) and Section III (Total Budget for	NA	NA			
15.5 Do 082 Op 15.6 Ha wh tha Thi 'Pa the nee	chnology statewide activities (ACT0010 thru ACT0490) have output standards tecord Type 5)? (Audit #1 should print "No Activities Found") oes the Fixed Capital Outlay (FCO) statewide activity (ACT0210) only contain XXXXX or 14XXXX appropriation categories? (Audit #2 should print "No perating Categories Found") as the agency provided the necessary demand (Record Type 5) for all activities hich should appear in Section II? (Note: Audit #3 will identify those activities at do NOT have a Record Type '5' and have not been identified as a 'Pass brough' activity. These activities will be displayed in Section III with the ayment of Pensions, Benefits and Claims' activity and 'Other' activities. Verify it ese activities should be displayed in Section III. If not, an output standard would seed to be added for that activity and the Schedule XI submitted again.) oes Section I (Final Budget for Agency) and Section III (Total Budget for	NA	NA			
15.5 Do 082 Op 15.6 Ha wh tha Thi 'Pa the nee	Record Type 5)? (Audit #1 should print "No Activities Found") oes the Fixed Capital Outlay (FCO) statewide activity (ACT0210) only contain RXXXX or 14XXXX appropriation categories? (Audit #2 should print "No perating Categories Found") as the agency provided the necessary demand (Record Type 5) for all activities which should appear in Section II? (Note: Audit #3 will identify those activities at do NOT have a Record Type '5' and have not been identified as a 'Pass prough' activity. These activities will be displayed in Section III with the asyment of Pensions, Benefits and Claims' activity and 'Other' activities. Verify it ese 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.) oes Section I (Final Budget for Agency) and Section III (Total Budget for	NA	NA			
15.5 Do 082 Op 15.6 Ha wh tha Thi 'Pa the nee	oes the Fixed Capital Outlay (FCO) statewide activity (ACT0210) only contain 3XXXX or 14XXXX appropriation categories? (Audit #2 should print "No perating Categories Found") as the agency provided the necessary demand (Record Type 5) for all activities hich should appear in Section II? (Note: Audit #3 will identify those activities at 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 ayment of Pensions, Benefits and Claims' activity and 'Other' activities. Verify it ese 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.)	NA	NA			
15.6 Ha wh tha Thi 'Pa the need 15.7 Do Ag	SXXXX or 14XXXX appropriation categories? (Audit #2 should print "No perating Categories Found") as the agency provided the necessary demand (Record Type 5) for all activities hich should appear in Section II? (Note: Audit #3 will identify those activities at do NOT have a Record Type '5' and have not been identified as a 'Pass brough' activity. These activities will be displayed in Section III with the ayment of Pensions, Benefits and Claims' activity and 'Other' activities. Verify it ese activities should be displayed in Section III. If not, an output standard would seed to be added for that activity and the Schedule XI submitted again.) oes Section I (Final Budget for Agency) and Section III (Total Budget for			NA	NA	
15.6 Ha wh tha Thi 'Pa the need 15.7 Do Ag	perating Categories Found'') as the agency provided the necessary demand (Record Type 5) for all activities hich should appear in Section II? (Note: Audit #3 will identify those activities at do NOT have a Record Type '5' and have not been identified as a 'Pass brough' activity. These activities will be displayed in Section III with the ayment of Pensions, Benefits and Claims' activity and 'Other' activities. Verify it ese 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.) oes Section I (Final Budget for Agency) and Section III (Total Budget for			NA	NA	
15.6 Ha wh tha Thi 'Pa the nee	as the agency provided the necessary demand (Record Type 5) for all activities hich should appear in Section II? (Note: Audit #3 will identify those activities at do NOT have a Record Type '5' and have not been identified as a 'Pass brough' activity. These activities will be displayed in Section III with the ayment of Pensions, Benefits and Claims' activity and 'Other' activities. Verify it ese 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.) oes Section I (Final Budget for Agency) and Section III (Total Budget for			NA	NA	
wh tha Thi 'Pa the need 15.7 Do Ag	hich should appear in Section II? (Note: Audit #3 will identify those activities at do NOT have a Record Type '5' and have not been identified as a 'Pass brough' activity. These activities will be displayed in Section III with the ayment of Pensions, Benefits and Claims' activity and 'Other' activities. Verify it ese activities should be displayed in Section III. If not, an output standard would ded to be added for that activity and the Schedule XI submitted again.) oes Section I (Final Budget for Agency) and Section III (Total Budget for	Y				
tha Thi 'Pa the nec	at do NOT have a Record Type '5' and have not been identified as a 'Pass brough' activity. These activities will be displayed in Section III with the ayment of Pensions, Benefits and Claims' activity and 'Other' activities. Verify it ese activities should be displayed in Section III. If not, an output standard would be displayed to be added for that activity and the Schedule XI submitted again.) The section I (Final Budget for Agency) and Section III (Total Budget for	Y				
The 'Pa the nee	arrough' activity. These activities will be displayed in Section III with the ayment of Pensions, Benefits and Claims' activity and 'Other' activities. Verify it ese 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.) oes Section I (Final Budget for Agency) and Section III (Total Budget for	Y				
'Pa the nec	ayment of Pensions, Benefits and Claims' activity and 'Other' activities. Verify i ese activities should be displayed in Section III. If not, an output standard would seed to be added for that activity and the Schedule XI submitted again.) oes Section I (Final Budget for Agency) and Section III (Total Budget for	Y				
15.7 Do	ese activities should be displayed in Section III. If not, an output standard would be to be added for that activity and the Schedule XI submitted again.) oes Section I (Final Budget for Agency) and Section III (Total Budget for	Y				
15.7 Do	eed to be added for that activity and the Schedule XI submitted again.) oes Section I (Final Budget for Agency) and Section III (Total Budget for	Y				1
15.7 Do Ag	oes Section I (Final Budget for Agency) and Section III (Total Budget for	Y				
Ag		Y		l		
Ag			Y	Y	Y	
	gency) equal? (Audit #4 should print "No Discrepancies Found")	37	37	**	37	
		Y	Y	Y	Y	
	Section I and Section III have a small difference, it may be due to rounding and					
	erefore will be acceptable.					
	ALLY PREPARED EXHIBITS & SCHEDULES		1	ı		
	o exhibits and schedules comply with LBR Instructions (pages 110 through 154	37	37	37	37	
	the LBR Instructions), and are they accurate and complete	Y	Y	Y	Y	
	re appropriation category totals comparable to Exhibit B, where applicable?	Y	Y	Y	Y	
	re agency organization charts (Schedule X) provided and at the appropriate level	* 7	***	***	***	
	detail?	Y	Y	Y	Y	
	GENERAL INFORMATION					
	eview Section 6: Audits of the LBR Instructions for a list of audits and their					
	escriptions.					
	eorganizations may cause audit errors. Agencies must indicate that these errors					
	e due to an agency reorganization to justify the audit error.					
	AL IMPROVEMENTS PROGRAM (CIP)	Y	Y	Y	Y	
	re the CIP-2, CIP-3, CIP-A and CIP-B forms included? re the CIP-4 and CIP-5 forms submitted when applicable (see CIP Instructions)?	1	1	1	1	
17.2 AI	re the Cit -4 and Cit -5 forms submitted when applicable (see Cir filstructions)?	NA	NA	NA	NA	
17.3 Do	o all CIP forms comply with CIP Instructions where applicable (see CIP	11/1	14/1	11/1	11/1	
	structions)?	Y	Y	Y	Y	
	oes the agency request include 5 year projections (Columns A03, A06, A07, A08		-	1		
	nd A09)?	NA	NA	NA	NA	
	re the appropriate counties identified in the narrative:	NA	NA	NA	NA	
	as the CIP-2 form (Exibit B) been modified to include the agency priority for					
	sch project and the modified form saved as a PDF document?	NA	NA	NA	NA	
	equests for Fixed Capital Outlay appropriations which are Grants and Aids to		1	1	<u> </u>	
	ocal Governments and Non-Profit Organizations must use the Grants and Aids to					
	ocal Governments and Non-Profit Organizations - Fixed Capital Outlay major					
	propriation category (140XXX) and include the sub-title "Grants and Aids".					
	hese 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					