

LEGISLATIVE BUDGET REQUEST

Department of Elder Affairs

Tallahassee

October 15, 2010

Mr. Jerry L. McDaniel, Director
Office of Policy and Budget
Executive Office of the Governor
1701 Capitol
Tallahassee, FL 32399-0001

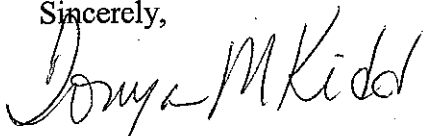
Ms. JoAnne Leznoff, Council Director
House Full Appropriations Councils
221 Capitol
Tallahassee, FL 32399-1300

Mr. 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 Elder Affairs 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 Charles T. Corley, Interim Secretary.

Sincerely,



Tonya M. Kidd
Chief Financial Officer

DEPARTMENT OF ELDER AFFAIRS **Comprehensive Eligibility Services – 65100200**
Home and Community Services – 65100400
Executive Direction and Support Services – 65100600
Consumer Advocate Services - 65101000

Department Level Exhibits and Schedules

Schedule IV-C	Recurring Information Technology Budget Planning
Schedule VII	Agency Litigation Inventory
Schedule X	Organization Structure
Schedule XI	Agency-Level Unit Cost Summary
Schedule XII	Series Outsourcing or Privatization of State Service or Activity
Schedule XIII	Proposed Consolidated Financing of Deferred-Payment Commodity Contracts
Schedule XIV	Variance from Long Range Financial Outlook
Schedule IV-B	Information Technology Projects
Schedule VI	Detail of Debt Service
Schedule IX	Major Audit Findings and Recommendations
	Technical Checklist LBR Review

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

Dept/Agency: **Department of Elder Affairs**
 Submitted by: **Edward Neu, Chief Information Officer**
 Phone: **414-2136**
 Date submitted: **October 13, 2010**

Network Service

This service enables data connectivity and transport using Local Area Network (LAN) and/or Wide Area Network (WAN) technologies. Please consult the *Guidelines for Schedule IV-C: IT Costs and Service Requirements* for the complete definition of this IT Service and specific direction on how to complete this document.

Identify the major commercial hardware and software associated with the LAN Service:			
1	Hewlett Packard and Dell Servers	5	
2	Linux	6	
3	Novell Open Enterprise Server	7	
4	Novell Zenworks	8	

1. IT Service Definition

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

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

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

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

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

- Agency staff (state employees or contractors)
- Employees or contractors from one or more additional state agencies
- External service providers
- Public

1.4. Please identify the number of users of the Network Service. 1250

1.5. How many locations currently host IT assets and resources used to provide LAN services? 28

1.6. How many locations currently use WAN services? 19

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

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

IT Service Requirements Worksheet: Data Center Service

2. Service Unique to Agency

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

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

Yes No

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

Alternative solution must offer higher performance and user satisfaction at a lower cost. This cost analysis must include training and other transition costs

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

3. IT Service Levels Required to Support Business Functions

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

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

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

3.2. Has the agency specified the service level requirements for WAN service?

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

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

Portfolio Services Agreement with DMS

3.3. Timing and Service Delivery Requirements

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

3.3.1.1. Online availability 24/7

3.3.1.2. Offline and availability for maintenance

3.3.2. What is the agency's tolerance for down time during peak periods, i.e., time before management-level intervention occurs **(e.g., 5 min, 15 min, 60 min)**? 10 minutes

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

Loss of productivity, disruption of business and the delivery of services.

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

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

IT Service Requirements Worksheet: Data Center Service

100 MBS from desktop to switches, 1GBS switches to servers

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

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

HIPAA, CL430, DD60, Agency mobile, wireless and stand alone policies

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

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

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

Yes No

3.3.6.1. If yes, please specify and describe:

HIPAA privacy and security requirements

4. User/customer satisfaction

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

Yes No

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

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

Yes No

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

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

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

5. Additional Information

5.1. Please describe the funding source(s), i.e., general revenue, trust fund, federal grant, or other, which is used to provide this service. Identify whether there is a cost recovery or cost allocation plan for this service. Be sure to describe any anticipated adjustments to the funding source(s) or funding level for FY 2009-10. If such adjustments are anticipated, please describe any corresponding change needed in the service funding model (e.g., charge-back, cost allocation, fee-per-transaction, etc.).

IT Service Requirements Worksheet: Data Center Service

General Revenue and Federal Funds

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

5.3. Other pertinent information related to this service

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

Dept/Agency: **Department of Elder Affairs**
 Submitted by: **Edward Neu, Chief Information Officer**
 Phone: **414-2136**
 Date submitted: **October 13, 2010**

E-Mail, Messaging, and Calendaring Service

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

Identify the major commercial hardware and software associated with the E-Mail Service:			
1	Hewlett Packard and Dell Servers	5	Sophos PureMessage Anti-Spam / Anti Virus
2	Blackberry devices (RIM)	6	
3	Novell Groupwise 7.0	7	
4	Notify Link	8	

1. IT Service Definition

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

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

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

- Agency staff (state employees or contractors)
- Employees or contractors from one or more additional state agencies
- External service providers
- Public

1.3. Please identify the number of users of this service. 1250

1.4. How many locations currently host IT assets and resources used to provide e-mail, messaging, and calendaring services? 12

2. Service Unique to Agency

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

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

- Yes
- No

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

Require Lower cost, improved Security and encryption and enhanced interoperability.

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

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

[Redacted]

3. IT Service Levels Required to Support Business Functions

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

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

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

[Redacted]

3.2. Timing and Service Delivery Requirements

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

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

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

Disruption of Business, email is a critical service.

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

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

[Redacted]

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

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

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

- Yes
- No

3.2.5.1. If yes, please specify and describe:

FAC DD60, HIPAA Privacy and Security Standards

4. User/customer satisfaction

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

- Yes
- No

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

[Redacted]

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

- Yes
- No

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

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

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

Project Name	Description	Start Date	End Date	Estimated Total Cost to Complete
None				

5. Additional Information

5.1. Please describe the funding source(s), i.e., general revenue, trust fund, federal grant, or other, which is used to provide this service. Identify whether there is a cost recovery or cost allocation plan for this service. Be sure to describe any anticipated adjustments to the funding source(s) or funding level for FY 2008-09. If such adjustments are anticipated, please describe any corresponding change needed in the service funding model (e.g., charge-back, cost allocation, fee-per-transaction, etc.).

General Revenue, Medicaid, and Older Americans Act (Federal)

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

5.3. Other pertinent information related to this service

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

Dept/Agency: **Department of Elder Affairs**
 Submitted by: **Edward Neu, Chief Information Officer**
 Phone: **414-2136**
 Date submitted: **October 13, 2010**

Desktop Computing Service

This service enables use of standard office automation functions, as well as access to other applications that require standard desktop functionality. Please consult the *Guidelines for Schedule IV-C: IT Costs and Service Requirements* for the complete definition of this IT Service and specific direction on how to complete this document.

Identify the major commercial hardware and software associated with the Desktop Computer Service:			
1	Dell and Hewlett-Packard Workstations	5	Microsoft Office 2007
2	Various Monitors	6	Drive Image 8.0
3	Sophos Virus Protection Software	7	Safeboot on Laptops
4	Open Office 2.0	8	

1. IT Service Definition

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

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

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

- Agency staff (state employees or contractors)
- Employees or contractors from one or more additional state agencies
- External service providers
- Public

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

780

1.4. How many locations currently use desktop computing services?

28

2. Service Unique to Agency

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

Very Similar

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

- Yes
- No

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

New solution must be cost effective and improve user satisfaction

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

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

3. IT Service Levels Required to Support Business Functions

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

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

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

Service Level Requirements are specified in Department Information System Policies

3.2. Timing and Service Delivery Requirements

3.2.1. Hours/Days that service is required (*e.g., 0800-1600 M-F, 24/7*) M-F 0700-1730

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

Loss of Productivity

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

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

We are a HIPAA covered entity; we treat all workstations as if they contained PHI

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

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

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

- Yes
- No

3.2.5.1. If yes, please specify and describe:

HIPAA

4. User/customer satisfaction

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

- Yes
- No

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

Helpdesk and Desktop support metrics are reviewed monthly by CIO

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

- Yes
- No

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

IT Service Requirements Worksheet: Desktop Computing Service

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

Project Name	Description	Start Date	End Date	Estimated Total Cost to Complete
None				

5. Additional Information

5.1. Please describe the funding source(s), i.e., general revenue, trust fund, federal grant, or other, which is used to provide this service. Identify whether there is a cost recovery or cost allocation plan for this service. Be sure to describe any anticipated adjustments to the funding source(s) or funding level for FY 2008-09. If such adjustments are anticipated, please describe any corresponding change needed in the service funding model (e.g., charge-back, cost allocation, fee-per-transaction, etc.).

General Revenue, Medicaid, and Older Americans Act Grant

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

5.3. Other pertinent information related to this service

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

Dept/Agency: **Department of Elder Affairs**
 Submitted by: **Edward Neu, Chief Information Officer**
 Phone: **414-2136**
 Date submitted: **October 13, 2010**

Helpdesk Service

This service involves the centralized or consolidated intake and resolution of IT system problems for users and stakeholders throughout the department. Please consult the *Guidelines for Schedule IV-C: IT Costs and Service Requirements* for the complete definition of this IT Service and specific direction on how to complete this document.

Identify any major commercial hardware and software associated with the Helpdesk Service:			
1	Helpdesk Pro Software	5	
2		6	
3		7	
4		8	

1. IT Service Definition

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

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

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

- Agency staff (state employees or contractors)
- Employees or contractors from one or more additional state agencies
- External service providers
- Public

1.3. Please identify the number of users of this service. 1250

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

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

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

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

Help Desk Action	Simple problems	Moderately complex problems	Complex problems
Accepting and logging	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Referring/escalating	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Tracking and reporting	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Resolving/closing	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>

IT Service Requirements Worksheet: Helpdesk Service

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)

Somewhat Similar

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

Yes No

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

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

Since transitioning from the ESTD to an in-house helpdesk, the cost of serving our users has been dramatically reduced and user satisfaction has greatly improved.

3. IT Service Levels Required to Support Business Functions

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

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

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

Agency Help Desk Policy,
 Problem type, Response time, Resolution Time
 Mission Critical, 15 Minutes, 2 Hours
 Single user or group outage that is preventing the affected user(s) from working, 30 Minutes, 4 hours
 Single user or group outage that can be permanently or temporarily solved with a workaround, 45 Minutes, same day
 Scheduled work, 1 hour, 1-4 days

3.2. Timing and Service Delivery Requirements

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

24/7 Online reporting, Business hours otherwise.

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

Disruption of operations, decreased customer satisfaction

3.2.3. What is the average monthly volume of calls/cases/tickets? 245 /

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

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

The help desk support agency specific application especially the CIRTIS application.

IT Service Requirements Worksheet: Helpdesk Service

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

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

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

- Yes
- No

3.2.6.1. If yes, please specify and describe:

There are situation where HIPAA privacy and security issues arise

4. User/customer satisfaction

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

- Yes
- No

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

CIO reviews call resolution reports, and monitors support trends with IT management

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

- Yes
- No

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

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

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

5. Additional Information

5.1. Please describe the funding source(s), i.e., general revenue, trust fund, federal grant, or other, which is used to provide this service. Identify whether there is a cost recovery or cost allocation plan for this service. Be sure to describe any anticipated adjustments to the funding source(s) or funding level for FY 2008-09. If such adjustments are anticipated, please describe any corresponding change needed in the service funding model (e.g., charge-back, cost allocation, fee-per-transaction, etc.).

General Revenue, Medicaid, and Older Americans Act Grant

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.)

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

5.3. Other pertinent information related to this service

Dept/Agency: **Department of Elder Affairs**
Submitted by: **Edward Neu, Chief Information Officer**
Phone: **414-2136**
Date submitted: **October 13, 2010**

IT Security/Risk Mitigation Service

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

1. IT Service Definition

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

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

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

- Agency staff (state employees or contractors)
- Employees or contractors from one or more additional state agencies
- External service providers
- Public

2. Service Unique to Agency

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

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

- Yes
- No

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

Meet or exceed our functional requirements at reduced cost, with minimal disruptions, and improve user and customer satisfaction

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

3. IT Service Levels Required to Support Business Functions

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

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

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

IT Service Requirements Worksheet: Data Center Service

3.2. Timing and Service Delivery Requirements

- 3.2.1. Hours/Days that service is required (*e.g., 0800-1600 M-F, 24/7*): 24/7
- 3.2.2. In the event of an emergency, how quickly must essential services be restored to maintain the agency's continuity of operations? Less than 8 hours
- 3.2.3. How frequently must the IT disaster recovery plan be tested? At least once per year
- 3.2.4. In the event of a security breach, what is the agency's tolerance for down time of security IT services during peak periods, i.e., time before management-level intervention occurs (*e.g., 10 min, 60 min, 4 hours*)? 10 minutes
- 3.2.5. Are there any agency-unique service requirements? Yes No
 If yes, specify (*include any applicable constitutional, statutory, or rule requirements*)

- 3.2.6. What are security requirements for this IT service? (*Indicate all that apply*)
- User ID/Password
 - Access through internal network only
 - Other ___VPN_____
 - Access through Internet or external network
 - Access through Internet with secure encryption
- 3.2.7. Are there any federal, state, or agency privacy policies or restrictions applicable to this IT Service?
 Yes No

If yes, please specify and describe:

HIPAA Privacy, Security and EDI

4. User/customer satisfaction

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

CIO monitors security testing and incident results

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

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

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

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

IT Service Requirements Worksheet: Data Center Service

5. Additional Information

5.1. Please describe the funding source(s), i.e., general revenue, trust fund, federal grant, or other, which is used to provide this service. Identify whether there is a cost recovery or cost allocation plan for this service. Be sure to describe any anticipated adjustments to the funding source(s) or funding level for FY 2008-09. If such adjustments are anticipated, please describe any corresponding change needed in the service funding model (e.g., charge-back, cost allocation, fee-per-transaction, etc.).

General Revenue, Federal Older Americans Act Funding for State Unit on Aging Administration

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

5.3. Other pertinent information related to this service

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

Dept/Agency: **Department of Elder Affairs**
 Submitted by: **Edward Neu, Chief Information Officer**
 Phone: **414-2136**
 Date submitted: **October 13, 2010**

IT Support Service for Agency Financial and Administrative Systems

This service enables users in the agency's administrative and support areas to operate and maintain the non-strategic applications that support agency administrative. Please consult the *Guidelines for Schedule IV-C: IT Costs and Service Requirements* for the complete definition of this IT Service and specific direction on how to complete this document.

Identify major IT Systems (applications) that are included (in whole or part) in this IT Service:			
1	Automated Contract Management	5	Contracted Provider System
2	Correspondence Tracking	6	
3	Document Control	7	
4	Contracted Unit Rate System	8	

1. IT Service Definition

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

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

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

- Agency staff (state employees or contractors)
- Employees or contractors from one or more additional state agencies
- External service providers
- Public

1.3. Please identify the number of users of this service. 120

1.4. How many locations currently host agency financial/ administrative systems? 2

2. Service Unique to Agency

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

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

- Yes
- No

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

Better functionality, highly flexible solutions, higher customer satisfaction at lower cost

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

3. IT Service Levels Required to Support Business Functions

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

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

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

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

3.2. Timing and Service Delivery Requirements

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

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

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

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

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

Impede administrative operations

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

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

DOEA is 90% privatized, contract and subcontract management as well as provider payment information management is critical. DOEA has thousands of program-service-location-provider rates and limits that must be managed and applied in the payment system.

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

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

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

- Yes No

3.2.5.1. If yes, please specify and describe:

Some of this information is protected under HIPAA privacy guidelines

4. User/customer satisfaction

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

- Yes No

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

IT Service Requirements Worksheet: Data Center Service

CIO monitors and reports excessive interruptions to Deputy Secretary

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

- Yes No

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

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

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

5. Additional Information

5.1. Please describe the funding source(s), i.e., general revenue, trust fund, federal grant, or other, which is used to provide this service. Identify whether there is a cost recovery or cost allocation plan for this service. Be sure to describe any anticipated adjustments to the funding source(s) or funding level for FY 2008-09. If such adjustments are anticipated, please describe any corresponding change needed in the service funding model (e.g., charge-back, cost allocation, fee-per-transaction, etc.).

General Revenue and Federal Funding is used to support this function

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

5.3. Other pertinent information related to this service

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

Dept/Agency: **Department of Elder Affairs**
 Submitted by: **Edward Neu, Chief Information Officer**
 Phone: **414-2136**
 Date submitted: **October 13, 2010**

IT Administration and Management Service

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

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

1. IT Service Definition

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

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

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

2. Service Unique to Agency

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

- Yes No

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

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

Information technology management is deeply integrated into the program management areas of this department. Outside management of this function would cause operational and customer service problems.

3. IT Service Levels Required to Support Business Functions

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

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

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

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

3.2. Timing and Service Delivery Requirements

3.2.1. Hours/Days that service is required (*e.g., 0800-1600 M-F, 24/7*) for the systems included in this service: Not Applicable

3.2.2. What is the agency's tolerance for down time during peak periods, i.e., time before management-level intervention occurs (*e.g., 5 min, 15 min, 60 min*)? Not Applicable

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

If yes, please specify and describe:

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

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

4. User/customer satisfaction

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

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

Service levels and operational issues are monitored closely. The Secretary is apprised of major interruptions or other issues.

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

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

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

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

5. Additional Information

5.1. Please describe the funding source(s), i.e., general revenue, trust fund, federal grant, or other, which is used to provide this service. Identify whether there is a cost recovery or cost allocation plan for this service. Be sure to describe any anticipated adjustments to the funding source(s) or funding level for FY 2008-09. If such adjustments are anticipated, please describe any corresponding change needed in the service funding model (e.g., charge-back, cost allocation, fee-per-transaction, etc.).

IT Service Requirements Worksheet: Data Center Service

Primarily General Revenue funding and Administration on Aging grant for State Unit on Aging operations.

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

5.3. Other pertinent information related to this service

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

Dept/Agency: **Department of Elder Affairs**
 Submitted by: **Edward Neu, Chief Information Officer**
 Phone: **414-2136**
 Date submitted: **October 13, 2010**

Portal/Web Management Service

The Portal/Web Management service enables the publishing of the agency's standard, mission-critical information with its employees and the public. Please consult the Guidelines for Schedule IV-C: IT Costs and Service Requirements for the complete definition of this IT Service and specific direction on how to complete this document.

Identify the major commercial hardware and software associated with this service:			
1	SUSE Linux Operating System	5	
2	Oracle Database Software	6	
3	Hewlett Packard Servers	7	
4		8	

1. IT Service Definition

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

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

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

- Agency staff (state employees or contractors)
- Employees or contractors from one or more additional state agencies
- External service providers
- Public

1.3. Please identify the number of Internet users of this service. 325,000

1.4. Please identify the number of intranet users of this service. 635

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

2. Service Unique to Agency

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

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

- Yes No

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

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

While the web page host and database infrastructure could be supported by an external entity, the application support could not.

3. IT Service Levels Required to Support Business Functions

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

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

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

Service Level Agreement with DMS who hosts the Internet website

3.2. Timing and Service Delivery Requirements

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

3.2.2. What is the agency's tolerance for down time during peak periods, i.e., time before management-level intervention occurs (*e.g., 5 min, 15 min, 60 min*)? 30 minutes

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

Decrease customer satisfaction, reduced public access

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

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

HIPAA privacy and security protections of Personal health information

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

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

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

- Yes
- No

3.2.5.1. If yes, please specify and describe:

HIPAA

4. User/customer satisfaction

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

- Yes
- No

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

Customer surveys and polling are performed frequently, CIO monitors customer comments and complaints

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

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

Yes No

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

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

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

5. Additional Information

5.1. Please describe the funding source(s), i.e., general revenue, trust fund, federal grant, or other, which is used to provide this service. Identify whether there is a cost recovery or cost allocation plan for this service. Be sure to describe any anticipated adjustments to the funding source(s) or funding level for FY 2009-10. If such adjustments are anticipated, please describe any corresponding change needed in the service funding model (e.g., charge-back, cost allocation, fee-per-transaction, etc.).

This function is primarily supported by Federal Administration on Aging funding as well as general revenue funds.

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

5.3. Other pertinent information related to this service

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

Dept/Agency: **Department of Elder Affairs**
 Submitted by: **Edward Neu, Chief Information Officer**
 Phone: **414-2136**
 Date submitted: **October 13, 2010**

Data Center Service

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

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

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

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

Identify the non-strategic and strategic IT services that are supported (in whole or part) by data center services offered at the following data centers and computing facilities.		
1	Northwood Shared Resource Center	
2	Southwood Shared Resource Center	eMail, Agency Support Services, CIRT, LTCOP, ACFP, Area Agency Support Programs
3	Northwest Regional Data Center	
4	Agency (non-primary) Data Center	
5	Agency Computing Facilities	Applications Development and Testing, File and Print Network Services
6	Other External Data Center(s)	

1. IT Service Definition

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

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

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

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

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

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

1.3.1. Number of agency data center(s) 0

1.3.2. List the major IT application systems¹ hosted at each of these facilities:

Name of Agency Data Center	Major IT Application Systems Supported	External Agency Supported <i>(if applicable)</i>

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

1.4.1. Number of agency computing facilities 1

1.4.2. List the major IT application systems¹ hosted at each of these facilities:

Name of Computing Facility	Major IT Application Systems Supported	External Agency Supported <i>(if applicable)</i>
LAN Closet	File and Print Services, Application Development and Testing	

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

1.5.1. Total number of logical servers not housed in an agency data center, agency computing facility, or primary data center 0

1.5.2. Total number of single logical-server installations 0

1.5.3. List all major IT application systems¹ supported by these servers in 1.5.1 and 1.5.2:

2. Data Center Consolidation

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

N/A

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

Yes No

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.*

IT Service Requirements Worksheet: Data Center Service

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

[Redacted]

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

3. IT Service Levels Required to Support Business Functions

3.1. Timing and Service Delivery Requirements

3.1.1. Hours/Days that service is required (*e.g., 0600-2400 M-F, 24/7*) **All application except email have required availability of M-F 6am to 7pm**

3.1.2. What is the agency's tolerance for down time during peak periods, i.e., time before management-level intervention occurs (e.g., 5 min, 15 min, 60 min)? **30 minutes**

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

If yes, please specify and describe:

Most client applications are covered by HIPAA

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

[Redacted]

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

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

4. User/customer satisfaction

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

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

[Redacted]

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

Yes No

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

[Redacted]

IT Service Requirements Worksheet: Data Center Service

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
None				

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

Federal, State GR and Medicaid

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

5.3. Other pertinent information related to this service

FY 2011-12 Schedule IV-C: Information Technology (IT) Costs & Service Requirements
IT Service Requirements Worksheet: [Insert Service Name]

Dept/Agency: **Florida Department of Elder Affairs**
 Submitted by: **Edward Neu, Chief Information Officer**
 Phone: **(850) 414-2136**
 Date submitted: **October 13, 2010**

1. Adult Care Food Program System (ACFP)

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	Adult Care Food Program Provider Applications	5	
2	Adult Care Food Program Claims Applications	6	
3	Adult Care Food Program Monitoring	7	
4	Adult Care Food Program Reporting	8	

1. IT Service Definition

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

2. The Adult Care Food Program (ACFP) provides federally subsidized meals to participants in Adult Day Health Care centers. This program requires monitoring of the nutritional sufficiency of the meals and provides a variable subsidy based on client financial need. Service providers under this program contract to provide meals are approved through an annual application process, and submit quarterly bills for reimbursement. This program is fully federally funded and as such has specific federal reporting requirements.

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

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

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

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

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

2.4. How many locations currently host this service? 1

3. Service Unique to Agency

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

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

Yes No

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

The replacement application must meet the specific business needs of the DOEA and the Adult Care Food Providers and USDA

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

4. IT Service Levels Required to Support Business Functions

4.1. 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:

4.2. Timing and Service Delivery Requirements

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

4.2.1.1. User-facing components of this IT service (online) 7am – 7pm
M-F

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

4.2.2. 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)**? 2 hours

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

This system is based on a monthly claims processing cycle and a annual provider enrollment cycle, during these critical times loss of availability would result in delayed provider enrollment and payment, and possible disruption of services. Loss of availability at other then these critical times would have little operational impact

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

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

This application is designed to meet Federal Accounting and Reporting requirements for participation in the Adult Care Food Program

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

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

Other _____

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

Yes No

4.2.5.1. If yes, please specify and describe:

Client Privacy is protected under the HIPAA

5. User/customer satisfaction

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

Yes No

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

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

Yes No

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

5.2.2. 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
None				

6. Additional Information

6.1. 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

Federal Grant from USDA

6.2. 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.)

6.3. Other pertinent information related to this service

FY 2011-12 Schedule IV-C: Information Technology (IT) Costs & Service Requirements
IT Service Requirements Worksheet: [Insert Service Name]

Dept/Agency: **Florida Department of Elder Affairs**
 Submitted by: **Edward Neu, Chief Information Officer**
 Phone: **(850) 414-2136**
 Date submitted: **October 13, 2010**

2. Area Agency on Aging Support Systems

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	Medicaid Waiver Paid Claims Query Tool (ADA & ALE)	5	Aging Network Providers
2	APS Referral Tracking Tool (ARTT)	6	AAA Phone Call Tracking System
3	APS Exception Reports	7	Contracted Unit Rate
4	Holistic Monitoring Tool (HMT - ADA Waiver)	8	

1. IT Service Definition

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

The Department of Elder Affairs is 94.7% privatized, and the bulk of its activities are contracted to 11 regional private non-profit agencies known as Area Agencies on Aging. These contracted organizations further subcontract service delivery to over 300 service provider agencies, providing services funded by Federal, state and Medicaid sources. The activities involved in this strategic service are used to support and manage these contracted arrangements. Critical processes involve the coordination of provision of services to abused and neglected elders identified by the Florida Department of Children and Families, monitoring contract compliance of AAAs and service providers, developing and managing comprehensive contracts and subcontracts, and managing the allocation of funding

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

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

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

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

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

150

FY 2011-12 Schedule IV-C: Information Technology (IT) Costs & Service Requirements
IT Service Requirements Worksheet: [Insert Service Name]

1.5. How many locations currently host this service? 1

2. Service Unique to Agency

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

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

Yes No

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

The applications supporting this service are highly customized to the specific need of the DOEA and the Aging network. That business specific functionality would have to be available in any replacement service

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

3. IT Service Levels Required to Support Business Functions

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

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

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

3.2. Timing and Service Delivery Requirements

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

3.2.1.1. User-facing components of this IT service (online) 7am – 7pm
M-F

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

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

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

Components of this service are used by DCF and other in Elder Abuse investigations, and manual processes have to be immediately used if ARTT is unavailable. Other administrative components are not as sensitive to reduced availability.

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

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

These applications are critical to manage and operate the unique contracting relationships the DOEA has with the Area Agencies on Aging and Aging Resource Centers, and for their subsequent management of subcontracts with service providers.

FY 2011-12 Schedule IV-C: Information Technology (IT) Costs & Service Requirements
IT Service Requirements Worksheet: [Insert Service Name]

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

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

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

- Yes
 No

3.2.5.1. If yes, please specify and describe:

Client Privacy is protected under the HIPAA

4. User/customer satisfaction

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

- Yes
 No

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

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

- Yes
 No

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

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

Project Name	Description	Start Date	End Date	Estimated Total Cost to Complete
Adding Unit Rate to CIRTS	The system used to file annual contract service rates is being incorporated into the CIRTS application as part of a Federal Aging Resource Center Grant.	7/1/2010	9/30/2011	\$80,000 from Federal Aging Resource Center Grant

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

Federal Funding from the Administration on Aging, Medicaid Trust Fund

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

5.3. Other pertinent information related to this service

FY 2011-12 Schedule IV-C: Information Technology (IT) Costs & Service Requirements
IT Service Requirements Worksheet: [Insert Service Name]

Dept/Agency: **Florida Department of Elder Affairs**
 Submitted by: **Edward Neu, Chief Information Officer**
 Phone: **(850) 414-2136**
 Date submitted: **October 13, 2010**

3. Client Information and Registration Tracking System (CIRTS)

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	Client Information and Registration Tracking System (CIRTS)	5	Medicaid Waiver Claims Reporting System
2	Client Information and Registration Tracking System Reporting (CIRTS REPORTS)	6	
3	EDI File Exchange	7	
4	User Management System	8	

1. IT Service Definition

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

The CIRTS Service is used to track clients over 319,000 clients served per year, collect client assessment information, manage waitlists and program enrollments and track services provided for provider reimbursement. The following IT Systems are constituent elements of this Strategic IT Service. Who is the service provider? **(Indicate all that apply)**

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

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

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

1.3. Please identify the number of users of this service. ~1400

1.4. How many locations currently host this service? 1

2. Service Unique to Agency

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

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

Yes No

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

All

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

3. IT Service Levels Required to Support Business Functions

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

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

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

3.2. Timing and Service Delivery Requirements

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

- 3.2.1.1. User-facing components of this IT service (online) 7am – 7pm
M-Sat
- 3.2.1.2. Back-office-facing components of this IT service (batch and maintenance) 7am – 7pm
M-Sat

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

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

CIRTS is a critical IT service, which is used by the contractors and subcontracted service providers to track service provision, client eligibility, and psychosocial and medical assessment data used for eligibility determination for Medicaid and other programs. While a gap in availability would not immediately stop operations and service delivery, a prolonged outage would severely impact timeliness of provider payments, and client access to services.

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

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

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

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

FY 2011-12 Schedule IV-C: Information Technology (IT) Costs & Service Requirements
IT Service Requirements Worksheet: [Insert Service Name]

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

3.2.5.1. If yes, please specify and describe:

Client Privacy is protected under the HIPAA

4. User/customer satisfaction

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

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

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

Yes No

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

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

Project Name	Description	Start Date	End Date	Estimated Total Cost to Complete
Service Rate Data in CIRTS	The application used to file annual contract service rates is being incorporated into the CIRTS application as part of a Federal Aging Resource Center Grant.	7/1/2010	9/30/2011	\$80,000 from a Federal Aging Resource Center Grant
Changes in Assessment form	A stakeholder workgroup is developing recommendation for changes in the assessment form used to determine eligibility for programs, for Medicaid and for care planning purposes as part of a federal grant project	7/1/2010	9/30/2012	\$140,000 from Federal Administration on Aging Grant

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

Federal Funding from the Administration on Aging

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

5.3. Other pertinent information related to this service

FY 2011-12 Schedule IV-C: Information Technology (IT) Costs & Service Requirements
IT Service Requirements Worksheet: [Insert Service Name]

Dept/Agency: **Florida Department of Elder Affairs**
 Submitted by: **Edward Neu, Chief Information Officer**
 Phone: **(850) 414-2136**
 Date submitted: **October 13, 2010**

4. Long Term Care Ombudsmen System

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	Long Term Care Ombudsmen System (LCTOP)	5	
2		6	
3		7	
4		8	

1. IT Service Definition

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

The Ombudsmen program investigates quality of care, safety and resident rights violations on behalf of clients residing in nursing homes. The Ombudsmen program manages a large network of highly trained volunteer investigators. This application tracks and monitors investigations, inspections, volunteer training and other volunteer workforce information.

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

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

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

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

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

1.5. How many locations currently host this service? 1

2. Service Unique to Agency

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

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

FY 2011-12 Schedule IV-C: Information Technology (IT) Costs & Service Requirements
IT Service Requirements Worksheet: [Insert Service Name]

Yes No

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

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

3. IT Service Levels Required to Support Business Functions

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

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

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

3.2. Timing and Service Delivery Requirements

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

3.2.1.1. User-facing components of this IT service (online) 7am – 7pm
M-Sat

3.2.1.2. Back-office-facing components of this IT service (batch and maintenance) 7am – 7pm
M-Sat

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

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

This system is used for managing volunteers and complaints concerning long term care facilities. The immediate availability of this system is not critical for operations; it is used for program administration and management

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

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

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

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

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

Yes No

3.2.5.1. If yes, please specify and describe:

Client Privacy is protected under the HIPAA

4. User/customer satisfaction

FY 2011-12 Schedule IV-C: Information Technology (IT) Costs & Service Requirements
IT Service Requirements Worksheet: [Insert Service Name]

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

Yes No

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

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

Yes No

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

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

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

5. Additional Information

5.1. Please describe the funding source(s), i.e., general revenue, trust fund, federal grant, or other, that is used to provide this service, and describe any anticipated adjustments to the funding source(s) or funding level for FY 2011-12

Federal Funding from the Administration on Aging

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

5.3. Other pertinent information related to this service

Non-Strategic IT Service:		Network Service		Resources Apportioned to this IT Service in FY 2011-12				Combined v.2011-12	
Dept/Agency: Department of Elder Affairs									
Prepared by: Edward Neu, Chief Information Officer									
Phone: 414-2136									
Service Provisioning - - Assets & Resources (Cost Elements)			Footnote Number	Number used for this service	Number w/ costs in FY 2011-12	A	B	C	D
						Initial Estimate for Fiscal Year 2010-11	Estimated FY 2010-11 Allocation of Recurring Base Budget (based on Column G64 minus G65)	Estimated FY 2011-12 Allocation of Recurring Base Budget (based on Column G64 minus G65)	Planned Increase/Decrease Use of Recurring Base Funding (Columns C - B)
A. Personnel				1.25		\$74,821	\$74,821	\$74,821	\$0
A-1.1	State FTE			0.75		\$48,721	\$48,721	\$48,721	\$0
A-2.1	OPS FTE			0.50		\$26,100	\$26,100	\$26,100	\$0
A-3.1	Contractor Positions (Staff Augmentation)			0.00		\$0	\$0	\$0	\$0
B. Hardware					0	\$27,842	\$27,842	\$18,842	-\$9,000
B-1	Servers		1,2	6		\$18,000	\$18,000	\$9,000	-\$9,000
B-2	Server Maintenance & Support					\$9,842	\$9,842	\$9,842	\$0
B-3	Network Devices & Hardware (e.g., routers, switches, hubs, cabling, etc.)		3	22		\$0	\$0	\$0	\$0
B-4	Online Storage for file and print (indicate GB of storage)			2048Gb		\$0	\$0	\$0	\$0
B-5	Archive Storage for file and print (indicate GB of storage)			4096 Gb		\$0	\$0	\$0	\$0
B-6	Other Hardware Assets (Please specify in Footnote Section below)					\$0	\$0	\$0	\$0
C. Software						\$11,298	\$11,298	\$11,298	\$0
D. External Service Provider(s)						\$171,250	\$171,250	\$171,250	\$0
D-1	MyFloridaNet					\$133,932	\$133,932	\$133,932	\$0
D-2	Other (Please specify in Footnote Section below)		4,5			\$37,318	\$37,318	\$37,318	\$0
E. Other (Please describe in Footnotes Section below)				6		\$4,800	\$4,800	\$4,800	\$0
F. Total for IT Service						\$290,011	\$290,011	\$281,011	-\$9,000
G. Footnotes - Please be sure to indicate there is a footnote for the corresponding row above. Maximum footnote length is 1024 characters.									
1	Server count includes 3 File and Print Servers, 1 endpoint patching and management server, 1 Service Location Protocol (SLP) Server, and 1 Dynamic Host Configuration Protocol (DHCP) server								
2	Plan to purchase 2 servers to replace four of the listed out of warrantee servers during SFY 2010-11 (federal OAA funding), one additional replacement server 2011-12								
3	Network devices are : 4 Routers, 10 HP Procurve Ethernet Switches for LAN use, 8 Enteresys Switched installed by Siemens for the VOIP Phone system								
4	Contract with Siemens for operation of a VOIP telephone system, \$28,618 / Year								
5	Contract with CITRIX for GoToMeeting Conferencing Software \$8,700 / Year								
6	Contract with Hayes Computer Systems for Non-Standard Mesh Tunnel (CISCO 1711) router for Secure Communications with Remote offices (\$4,800 / Year)								
7									
8									
9									
10									
11									
12									
13									
14									
15									

Non-Strategic IT Service:		E- Mail, Messaging, and Calendaring Service			Form: FY 2011-12 Schedule IV-C -			
Agency: Department of Elder Affairs		# of Assets & Resources AppORTioned to this IT Service in FY 2011- 12		Estimated IT Service Costs				
Prepared by: Edward Neu, Chief Information Officer		Footnote Number	Number used for this service	Number w/ costs in FY 2011- 12	A	B	C	D
Phone: 414- 2136					Initial Estimate for Fiscal Year 2010- 11	Estimated FY 2010- 11 Allocation of Recurring Base Budget (based on Column G64 minus G65)	Estimated FY 2011- 12 Allocation of Recurring Base Budget (based on Column G64 minus G65)	Planned Increase/Decrease Use of Recurring Base Funding (Columns C - B)
Service Provisioning - - Assets & Resources (Cost Elements)								
A. Personnel								
A-1	State FTE		0.75		\$48,721	\$48,721	\$48,721	\$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								
B-1	Servers	1,2,3	3	0	\$0	\$0	\$0	\$0
B-2	Server Maintenance & Support		0	0	\$0	\$0	\$0	\$0
B-3	Wireless Communication Devices (e.g., Blackberries, I-phones, PDAs, etc.)		0	0	\$0	\$0	\$0	\$0
B-4	Online Storage (indicate GB of storage)		225Gb		\$0	\$0	\$0	\$0
B-5	Archive Storage (indicate GB of storage)		1536Gb		\$0	\$0	\$0	\$0
B-6	Other Hardware Assets (Please specify in Footnote Section below)				\$0	\$0	\$0	\$0
C. Software				4,5	\$95,971	\$95,971	\$95,971	\$0
D. External Service Provider(s)					\$15,295	\$15,295	\$15,295	\$0
D-1	Southwood Shared Resource Center				\$0	\$0	\$0	\$0
D-2	Northwood Shared Resource Center				\$0	\$0	\$0	\$0
D-3	Northwest Regional Data Center				\$0	\$0	\$0	\$0
D-4	Other Data Center External Service Provider (specify in Footnotes below)	6			\$15,295	\$15,295	\$15,295	\$0
E. Other (Please describe in Footnotes Section below)					\$0	\$0	\$0	\$0
F. Total for IT Service					\$159,987	\$159,987	\$159,987	\$0
G. Administrative Overhead - Percentage of Other Non- Strategic IT Service Costs Supporting Email Service								
Non- Strategic Service		Footnote	%	Cost	To determine the fully-loaded cost of the e-mail service, agencies must estimate the amount (percentage) of the other non-strategic IT services that are "consumed" by the e-mail service. For example, desktop support personnel install and configure the e-mail software on the desktop, which is used in the e-mail service, so to obtain a fully-loaded cost for the e-mail service, it is important to include the indirect workload and associated costs of the desktop service expended in support of the e-mail service. The portion of Network, IT Security & Risk Mitigation, and IT Administration & Management services will be estimated by the AEIT based on the agency Schedule IV-C submissions for these IT services. For the purposes of the Schedule IV- C analysis, the data submitted in this section will NOT be added to the cost of the e-mail service.			
OT-1	Network							
OT-2	Desktop IT Service		5.00%	\$ 14,549				
OT-3	Help Desk		10.00%	\$ 22,144				
OT-4	IT Security & Risk Mitigation							
OT-5	IT Administration & Management							
SUBTOTAL				\$ 36,693				
Fully- loaded IT Service Cost \$ 196,680								
H. Footnotes - Please be sure to indicate there is a footnote for the corresponding row above. Maximum footnote length is 1024 characters.								
1	Server count includes 1 Groupwise Email Server, 1 NotifyLink Server, and 1 Email Anti-Virus and Anti-Spam server							
2	These servers are located at and managed by the Southwood Shard Resource Center under Shared Transitional Services, costs are included under Data Center service							
3	Email Web access server is included under the Portal / Web Management Service							
4	Software includes \$68,233 for Groupwise Enterprise Email, \$4,320 for Notify Link for Handheld devices, \$11,028 for Sophos Pure Message Anti Virus and Anti Spam, and \$12,400 for Email Archive software							
5	Portions of the software cost are encompassed in the Shared Transitional service payments to the SSRC and are subject to reimbursement							
6	Annual service cost for 34 mobile devices (Blackberry etc) of \$15,295 paid to Verizon							
7								
8								
9								

Non-Strategic IT Service: Desktop Computing Service				Form: FY 2011-12 Schedule IV-C -				
Agency: Department of Elder Affairs		# of Assets & Resources Apportioned to this IT Service in FY 2011-12		Estimated IT Service Costs				
Prepared by: Edward Neu, Chief Information Officer		Footnote Number	Number used for this service	Number w/ costs in FY 2011-12	A	B	C	D
Phone: 414-2136					Initial Estimate for Fiscal Year 2010-11	Estimated FY 2010-11 Allocation of Recurring Base Budget (based on Column G64 minus G65)	Estimated FY 2011-12 Allocation of Recurring Base Budget (based on Column G64 minus G65)	Planned Increase/Decrease Use of Recurring Base Funding (Columns C - B)
Service Provisioning - - Assets & Resources (Cost Elements)								
A. Personnel								
A-1	State FTE		0.25		\$13,050	\$13,050	\$13,050	\$0
A-2	OPS FTE		0.25		\$13,050	\$13,050	\$13,050	\$0
A-3	Contractor Positions (Staff Augmentation)		0.00		\$0	\$0	\$0	\$0
B. Hardware								
B-1	Servers		649	0	\$121,198	\$121,198	\$121,198	\$0
B-2	Server Maintenance & Support		0	0	\$0	\$0	\$0	\$0
B-3.1	Desktop Computers		295	0	\$52,339	\$52,339	\$52,339	\$0
B-3.2	Mobile Computers (e.g., Laptop, Notebook, Handheld, Wireless Computer)	1	354	0	\$68,859	\$68,859	\$68,859	\$0
B-3.3	Other Hardware Assets (Please specify in Footnote Section below)		0	0	\$0	\$0	\$0	\$0
C. Software								
					\$29,091	\$29,091	\$29,091	\$0
D. External Service Provider(s)								
					\$0	\$0	\$0	\$0
E. Other (Please describe in Footnotes Section below)				2,3,4				
					\$90,097	\$90,097	\$127,648	\$37,551
F. Total for IT Service					\$253,436	\$253,436	\$290,987	\$37,551
G. Footnotes - Please be sure to indicate there is a footnote for the corresponding row above. Maximum footnote length is 1024 characters.								
1	Total includes 320 Laptops, including 220 being deployed (purchased SFY 2009-10) to field staff during SFY 2010-11, 34 handheld Devices (e.g. Blackberry, Android etc.)							
2	This amount is for Aircards service being deployed as a part of a strategic project to allow assessments to be done in the field, During the SFY2010-11 the number of aircards deployed will increase from 59 to 305							
3	The Aircard service costs (Verizon) are prorated for SFY2010-11 based on the deployment schedule and shown at the estimated full value for 2011-12							
4	The increase in this cost is expected to be more then offset by reductions in costs for office space leasing and increased productivity of assessors							
5								
6								
7								
8								
9								
10								
11								
12								
13								
14								
15								

Non-Strategic IT Service:		Helpdesk Service		Form: FY 2011-12 Schedule IV-C -				
Agency: Department of Elder Affairs		# of Assets & Resources Apportioned to this IT Service in FY 2011- 12		Estimated IT Service Costs				
Prepared by: Edward Neu, Chief Information Officer				A	B	C	D	
Phone: 414- 2136				Initial Estimate for Fiscal Year 2010- 11	Estimated FY 2010- 11 Allocation of Recurring Base Budget (based on Column G64 minus G65)	Estimated FY 2011- 12 Allocation of Recurring Base Budget (based on Column G64 minus G65)	Planned Increase/Decrease Use of Recurring Base Funding (Columns C - B)	
Service Provisioning - - Assets & Resources (Cost Elements)		Footnote Number	Number used for this service	Number w/ costs in FY 2011- 12				
A. Personnel			6.25		\$211,330	\$211,330	\$211,330	\$0
A-1	State FTE		3.25		\$103,172	\$103,172	\$103,172	\$0
A-2	OPS FTE		3.00		\$108,158	\$108,158	\$108,158	\$0
A-3	Contractor Positions (Staff Augmentation)		0.00		\$0	\$0	\$0	\$0
B. Hardware			0	0	\$0	\$0	\$0	\$0
B-1	Servers		0	0	\$0	\$0	\$0	\$0
B-2	Server Maintenance & Support		0	0	\$0	\$0	\$0	\$0
B-3	Other Hardware Assets (Please specify in Footnote Section below)		0	0	\$0	\$0	\$0	\$0
C. Software		1			\$1,406	\$1,406	\$1,406	\$0
D. External Service Provider(s)			0	0	\$0	\$0	\$0	\$0
E. Other (Please describe in Footnotes Section below)		2			\$8,700	\$8,700	\$8,700	\$0
F. Total for IT Service					\$221,436	\$221,436	\$221,436	\$0
G. Footnotes - Please be sure to indicate there is a footnote for the corresponding row above. Maximum footnote length is 1024 characters.								
1	Annual license fee for imaging utility program							
2	Annual subscription to CITRIX GoToAssist, used for support and configuration of remote users							
3								
4								
5								
6								
7								
8								
9								
10								
11								
12								
13								
14								
15								

Non-Strategic IT Service: IT Security/Risk Mitigation Service									
Agency: Department of Elder Affairs			Form: FY 2011-12 Schedule IV-C -						
Prepared by: Edward Neu, Chief Information Officer			# of Assets & Resources Apportioned to this IT Service in FY 2011-12		Estimated IT Service Costs				
Phone: 414-2136					A	B	C	D	
Service Provisioning - - Assets & Resources (Cost Elements)			Footnote Number	Number used for this service	Number w/ costs in FY 2011-12	Initial Estimate for Fiscal Year 2010-11	Estimated FY 2010-11 Allocation of Recurring Base Budget (based on Column G64 minus G65)	Estimated FY 2011-12 Allocation of Recurring Base Budget (based on Column G64 minus G65)	Planned Increase/Decrease Use of Recurring Base Funding (Columns C - B)
A. Personnel				0.50		\$36,805	\$36,805	\$36,805	\$0
A-1	State FTE			0.25		\$23,755	\$23,755	\$23,755	\$0
A-2	OPS FTE			0.25		\$13,050	\$13,050	\$13,050	\$0
A-3	Contractor Positions (Staff Augmentation)			0.00		\$0	\$0	\$0	\$0
B. Hardware				2	0	\$0	\$0	\$0	\$0
B-1	Servers		1,2	2	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			3			\$23,842	\$23,842	\$23,842	\$0
D. External Service Provider(s)				0	0	\$0	\$0	\$0	\$0
E. Other (Please describe in Footnotes Section below)			4			\$600	\$600	\$600	\$0
F. Total for IT Service						\$61,247	\$61,247	\$61,247	\$0
G. Footnotes - Please be sure to indicate there is a footnote for the corresponding row above. Maximum footnote length is 1024 characters.									
1	These servers are located in the LAN room at DOEA HQ								
2	One server is for Sophos Endpoint Security, the other is for Safeboot mobile device encryption								
3	Software costs include WorkStation Antivirus, Email Antivirus, and Border Management								
4	Cost is for 12 months of Video Monitoring of LAN room								
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Non-Strategic IT Service: Agency Financial and Administrative Systems Support Service							
Agency: Department of Elder Affairs Prepared by: Edward Neu, Chief Information Officer Phone: 414-2136			# of Assets & Resources Apportioned to this IT Service in FY 2011-12		Form: FY 2011-12 Schedule IV-C -		
Service Provisioning - - Assets & Resources (Cost Elements)	Footnote Number	Number used for this service	Number w/ costs in FY 2011-12	Estimated IT Service Costs			
				A Initial Estimate for Fiscal Year 2010-11	B Estimated FY 2010-11 Allocation of Recurring Base Budget (based on Column G64 minus G65)	C Estimated FY 2011-12 Allocation of Recurring Base Budget (based on Column G64 minus G65)	D Planned Increase/Decrease Use of Recurring Base Funding (Columns C - B)
A. Personnel		0.75		\$51,943	\$51,943	\$51,943	\$0
A-1 State FTE		0.25		\$25,843	\$25,843	\$25,843	\$0
A-2 OPS FTE		0.50		\$26,100	\$26,100	\$26,100	\$0
A-3 Contractor Positions (Staff Augmentation)		0.00		\$0	\$0	\$0	\$0
B. Hardware		1	0	\$0	\$0	\$0	\$0
B-1 Servers	1,2	1	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	3			\$16,360	\$16,360	\$16,360	\$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				\$68,303	\$68,303	\$68,303	\$0
G. Footnotes - Please be sure to indicate there is a footnote for the corresponding row above. Maximum footnote length is 1024 characters.							
1	The indicated server is used for the SAMAS transaction system component of this service, the other systems under this service are housed on a single set of server reported under Strategic Service #3 CIRTS						
2	This Server is located at and managed by the Southwood Shard Resource Center under Shared Transitional Services, costs are included under Data Center service						
3	Software costs are estimated proportion of Oracle Enterprise License used by this service, portions of this amount are subject to reimbursement by the SSRC						
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Non-Strategic IT Service: IT Administration and Management Service							
Agency: Department of Elder Affairs Prepared by: Edward Neu, Chief Information Officer Phone: 414- 2136		# of Assets & Resources Apportioned to this IT Service in FY 2011- 12		Form: FY 2011-12 Schedule IV-C -			
Service Provisioning - - Assets & Resources (Cost Elements)	Footnote Number	Number used for this service	Number w/ costs in FY 2011- 12	A	Estimated IT Service Costs		D
				Initial Estimate for Fiscal Year 2010- 11	B Estimated FY 2010- 11 Allocation of Recurring Base Budget (based on Column G64 minus G65)	C Estimated FY 2011- 12 Allocation of Recurring Base Budget (based on Column G64 minus G65)	Planned Increase/Decrease Use of Recurring Base Funding (Columns C - B)
A. Personnel		3.75		\$255,614	\$255,614	\$255,614	\$0
A-1 State FTE		3.75		\$255,614	\$255,614	\$255,614	\$0
A-2 OPS FTE		0.00		\$0	\$0	\$0	\$0
A-3 Contractor Positions (Staff Augmentation)		0.00		\$0	\$0	\$0	\$0
B. Hardware		0	0	\$0	\$0	\$0	\$0
B-1 Servers		0	0	\$0	\$0	\$0	\$0
B-2 Server Maintenance & Support		0	0	\$0	\$0	\$0	\$0
B-3 Other Hardware Assets (Please specify in Footnote Section below)		0	0	\$0	\$0	\$0	\$0
C. Software				\$0	\$0	\$0	\$0
D. External Service Provider(s)		0	0	\$0	\$0	\$0	\$0
E. Other (Please describe in Footnotes Section below)				\$0	\$0	\$0	\$0
F. Total for IT Service				\$255,614	\$255,614	\$255,614	\$0
G. Footnotes - Please be sure to indicate there is a footnote for the corresponding row above. Maximum footnote length is 1024 characters.							
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Non-Strategic IT Service:		Portal/Web Management Service			Form: Schedule IV-C -Combined v.2011-12			
Dept/Agency: Department of Elder Affairs		# of Assets & Resources Apportioned to this IT Service In FY 2011-12			Estimated IT Service Costs			
Prepared by: Edward Neu, Chief Information Officer					A	B	C	D
Phone: 414-2136		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 <i>(based on Column G64 minus G65)</i>	Estimated FY 2011-12 Allocation of Recurring Base Budget <i>(based on Column G64 minus G65)</i>	Planned Increase/Decrease Use of Recurring Base Funding
Service Provisioning -- Assets & Resources <i>(Cost Elements)</i>								
A. Personnel			2.00		\$86,501	\$86,501	\$86,501	\$0
A-1.1	State FTE		1.00		\$44,741	\$44,741	\$44,741	\$0
A-2.1	OPS FTE		1.00		\$41,760	\$41,760	\$41,760	\$0
A-3.1	Contractor Positions (Staff Augmentation)		0.00		\$0	\$0	\$0	\$0
B. Hardware					\$0	\$0	\$0	\$0
B-1	Servers	1,2	6	0	\$0	\$0	\$0	\$0
B-2	Server Maintenance & Support		0	0	\$0	\$0	\$0	\$0
B-3	Other Hardware Assets <i>(Please specify in Footnotes Section below)</i>		0	0	\$0	\$0	\$0	\$0
C. Software		3			\$22,102	\$22,102	\$22,102	\$0
D. External Service Provider(s)			0	0	\$0	\$0	\$0	\$0
E. Other <i>(Please describe in Footnotes Section below)</i>					\$0	\$0	\$0	\$0
F. Total for IT Service					\$108,603	\$108,603	\$108,603	\$0
G. Footnotes - Please be sure to indicate there is a footnote for the corresponding row above. Maximum footnote length is 1024 characters.								
1	These six servers are located at and managed by the Southwood Shard Resource Center under Shared Transitional Services, costs are included under Data Center service							
2	These servers include 2 LDAP/eDIRECTORY Servers, 2 Linux Access Gateway Servers, 1 Oracle Single Sign on Server, and 1 Secure FTP server							
3	Oracle Single Sign on License at \$12,763, Linux Access Gateway at \$8,974, and Dreamweaver at \$365							
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Non-Strategic IT Service: Data Center Service				Form: Schedule IV-C -Combined v.2011-12			
Dept/Agency: Department of Elder Affairs Prepared by: Edward Neu, Chief Information Officer Phone: 414-2136		# of Assets & Resources Apportioned to this IT Service in FY 2011-12		Estimated IT Service Costs			
Service Provisioning -- Assets & Resources (Cost Elements)	Footnote Number	Number used for this service	Number w/ costs in FY 2011-12	A	B	C	D
				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	\$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
Calculated total non-mainframe servers from all IV-C services	28						
Calculated total mainframes from all IV-C services	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	\$0
B-3 Server Maintenance & Support		0	0	\$0	\$0	\$0	\$0
B-4 Online or Archival Storage Systems (indicate GB of storage)		0		\$0	\$0	\$0	\$0
B-5 Data Center/ Computing Facility Internal Network				\$0	\$0	\$0	\$0
B-6 Other Hardware (Please specify in Footnotes Section below)				\$0	\$0	\$0	\$0
C. Software				\$0	\$0	\$0	\$0
D. External Service Provider(s)				\$156,674	\$156,674	\$156,674	\$0
D-1 Southwood Shared Resource Center (indicate # of Board votes)	1,2,3	0		\$156,674	\$156,674	\$156,674	\$0
D-2 Northwood Shared Resource Center (indicate # of Board votes)		0		\$0	\$0	\$0	\$0
D-3 Northwest Regional Data Center (indicate # of Board votes)		0		\$0	\$0	\$0	\$0
D-4 Other Data Center External Service Provider (specify in Footnotes below)				\$0	\$0	\$0	\$0
E. Plant & Facility		Total	Est Utilized	\$0	\$0	\$0	\$0
E-1 Agency Data Center (indicate total square feet)		0	0	\$0	\$0	\$0	\$0
E-2 Computing Facilities (indicate total square feet)		0	0	\$0	\$0	\$0	\$0
E-3 Office Space (indicate total square feet)		0	0	\$0	\$0	\$0	\$0
E-4 Backup Generator, Power Distribution Units, UPS, etc. (indicate capacity in KW)		0	0	\$0	\$0	\$0	\$0
E-5 Utilities (e.g., electricity and water) (estimated total annual KWH)		0		\$0	\$0	\$0	\$0
E-6 Environmentals (e.g., HVAC, fire control, and physical security)				\$0	\$0	\$0	\$0
E-7 Other (please specify in Footnotes Section below)				\$0	\$0	\$0	\$0
F. Other (Please describe in Footnotes Section below)				\$0	\$0	\$0	\$0
G. Total for IT Service				\$156,674	\$156,674	\$156,674	\$0
H. Footnotes - Please be sure to indicate there is a footnote for the corresponding row above. Maximum footnote length is 1024 characters.							
1	Elder Affairs is currently participating in the Shared Transitional Service Phase of the Full Service Transition, all production resources are housed at the SSRC						
2	Estimates assume no change in original estimate of SSRC service costs						
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Strategic IT Service: Adult Care Food Program (ACFP)

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

Dept/Agency: **Department of Elder Affairs**
 Prepared by: **Edward Neu, Chief Information Officer**
 Phone: **414-2136**

Service Provisioning -- Assets & Resources (Cost Elements)	Footnote Number	# of Assets & Resources apportioned to this IT Service		Estimated IT Service Costs			
		Number used for this service	Number w/ costs in FY 2011-12	A Initial Estimate for Fiscal Year 2010-11	B Estimated FY 2010-11 Allocation of Recurring Base Budget (based on Column G64 minus G65)	C Estimated FY 2011-12 Allocation of Recurring Base Budget (based on Column G64 minus G65)	D Planned Increase/Decrease Use of Recurring Base Funding
A. Personnel		2.25		\$143,629	\$143,629	\$143,629	\$0
A-1.1 State FTE		1.25		\$78,149	\$78,149	\$78,149	\$0
A-2.1 OPS FTE		1.00		\$65,480	\$65,480	\$65,480	\$0
A-3.1 Contractor Positions (Staff Augmentation)		0.00		\$0	\$0	\$0	\$0
B. Hardware		2	0	\$0	\$0	\$0	\$0
B-1 Servers - Mainframe			0	\$0	\$0	\$0	\$0
B-2 Servers - Non-Mainframe	1,2,3,4	2	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	5			\$15,080	\$15,080	\$15,080	\$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				\$158,709	\$158,709	\$158,709	\$0

G. Footnotes - Please be sure to indicate there is a footnote for the corresponding row above. Maximum footnote length is 1024 characters.	
1	One server is used only as an application server for this service, the second server is a development and test server
2	The indicated application server is located at and managed by the Southwood Shard Resource Center under Shared Transitional Services, costs are included under Data Center service
3	The indicated development server is located at DOEA HQ and its costs are shown here
4	This service is housed at the Southwood Shared Resource Center under Shared Transitional Services, costs are included under Data Center service
5	Software costs are estimated proportion of Oracle Enterprise License used by this service, portions of this amount are subject to reimbursement by the SSRC
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Strategic IT Service: Area Agency on Aging Support Systems							
Dept/Agency: Department of Elder Affairs		Form: Schedule IV-C -Combined v.2011-12					
Prepared by: Edward Neu, Chief Information Officer		# of Assets & Resources apportioned to this IT Service		Estimated IT Service Costs			
Phone: 414-2136				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 <i>(based on Column G64 minus G65)</i>	Estimated FY 2011-12 Allocation of Recurring Base Budget <i>(based on Column G64 minus G65)</i>	Planned Increase/Decrease Use of Recurring Base Funding
A. Personnel		1.75		\$101,880	\$101,880	\$101,880	\$0
A-1.1 State FTE		1.25		\$75,780	\$75,780	\$75,780	\$0
A-2.1 OPS FTE		0.50		\$26,100	\$26,100	\$26,100	\$0
A-3.1 Contractor Positions (Staff Augmentation)		0.00		\$0	\$0	\$0	\$0
B. Hardware		1	0	\$0	\$0	\$0	\$0
B-1 Servers - Mainframe		0	0	\$0	\$0	\$0	\$0
B-2 Servers - Non-Mainframe	1,2,3,4	1	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	5			\$16,553	\$16,553	\$16,553	\$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				\$118,433	\$118,433	\$118,433	\$0
G. Footnotes - Please be sure to indicate there is a footnote for the corresponding row above. Maximum footnote length is 1024 characters.							
1	The indicated server is used for the Unit Rate WebDB application, the other systems under this service are housed on a single set of server reported under Strategic Service #3 CIRT						
2	This Server is located at and managed by the Southwood Shared Resource Center under Shared Transitional Services, costs are included under Data Center service						
3	This server will be removed from service during the SFY 2010-11, its functions will be intergrated into the CIRT application						
4	This service is housed at the Southwood Shared Resource Center under Shared Transitional Services, costs are included under Data Center service						
5	Software costs are estimated proportion of Oracle Enterprise License used by this service, portions of this amount are subject to reimbursement by the SSRC						
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Strategic IT Service: Client Information and Registration Tracking System (CIRTS)							
Dept/Agency: Department of Elder Affairs		<i>Form: Schedule IV-C -Combined v.2011-12</i>					
Prepared by: Edward Neu, Chief Information Officer		# of Assets & Resources apportioned to this IT Service		Estimated IT Service Costs			
Phone: 414-2136				<i>A</i>	<i>B</i>	<i>C</i>	<i>D</i>
Service Provisioning -- Assets & Resources	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							
A-1.1	State FTE	3.50		\$274,908	\$274,908	\$274,908	\$0
A-2.1	OPS FTE	1.00		\$212,268	\$212,268	\$212,268	\$0
A-3.1	Contractor Positions (Staff Augmentation)	0.00		\$62,640	\$62,640	\$62,640	\$0
B. Hardware							
B-1	Servers - Mainframe	0	0	\$0	\$0	\$0	\$0
B-2	Servers - Non-Mainframe	6	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							
		5		\$64,240	\$64,240	\$64,240	\$0
D. External Service Provider(s)							
		0	0	\$0	\$0	\$0	\$0
E. Other (Please describe in Footnotes Section below)							
		6					\$0
F. Total for IT Service							
				\$339,148	\$339,148	\$339,148	\$0
G. Footnotes - Please be sure to indicate there is a footnote for the corresponding row above. Maximum footnote length is 1024 characters.							
1	The three production servers included in this service are located at and managed by the Southwood Shared Resource Center under Shared Transitional Services, costs are included under Data Center service						
2	The three production servers are used by a variety of strategic and non-strategic services, but are reported under this service which consumes the majority of resources on those servers						
3	The server count includes a development, test, and adhoc reporting (3) servers located at DOEA HQ						
4	This service is housed at the Southwood Shared Resource Center under Shared Transitional Services, costs are included under Data Center service						
5	Software costs are estimated proportion of Oracle Enterprise License used by this service, portions of this amount are subject to reimbursement by the SSRC						
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Strategic IT Service: Long Term Care Ombudsmen Program (LTCOP)							
Dept/Agency: Department of Elder Affairs		Form: Schedule IV-C -Combined v.2011-12					
Prepared by: Edward Neu, Chief Information Officer		# of Assets & Resources apportioned to this IT Service		Estimated IT Service Costs			
Phone: 414-2136				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 <i>(based on Column G64 minus G65)</i>	Estimated FY 2011-12 Allocation of Recurring Base Budget <i>(based on Column G64 minus G65)</i>	Planned Increase/Decrease Use of Recurring Base Funding
A. Personnel		2.00		\$116,586	\$116,586	\$116,586	\$0
A-1.1 State FTE		1.00		\$64,386	\$64,386	\$64,386	\$0
A-2.1 OPS FTE		1.00		\$52,200	\$52,200	\$52,200	\$0
A-3.1 Contractor Positions (Staff Augmentation)		0.00		\$0	\$0	\$0	\$0
B. Hardware		1	0	\$0	\$0	\$0	\$0
B-1 Servers - Mainframe		0	0	\$0	\$0	\$0	\$0
B-2 Servers - Non-Mainframe	1,2	1	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	3			\$20,783	\$20,783	\$20,783	\$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				\$137,369	\$137,369	\$137,369	\$0
G. Footnotes - Please be sure to indicate there is a footnote for the corresponding row above. Maximum footnote length is 1024 characters.							
1	This Server is located at and managed by the Southwood Shared Resource Center under Shared Transitional Services, costs are included under Data Center service						
2	This service is housed at the Southwood Shared Resource Center under Shared Transitional Services, costs are included under Data Center service						
3	Software costs are estimated proportion of Oracle Enterprise License used by this service, portions of this amount are subject to reimbursement by the SSRC						
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Schedule VII: Agency Litigation Inventory

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

Agency:	Department of Elder Affairs		
Contact Person:	Dean C. Kowalchyk	Phone Number:	850-414-2074
Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	Lee v. Dudek, et al. f/k/a Long v. Benson, et al.		
Court with Jurisdiction:	United States District Court – Northern District of Florida		
Case Number:	4:08-cv-26-RH-WCS		
Summary of the Complaint:	Alleges that State is violating ADA by not transitioning nursing home residents to community placement. Further alleges that the State is violating ADA by failing to inform nursing home residents of the potential availability of HCBS Medicaid waiver services.		
Amount of the Claim:	\$ No dollar amount stated – fiscal impact of modification to Medicaid Waivers could be multi-million dollar		
Specific Statutes or Laws (including GAA) Challenged:	Americans with Disabilities Act and Medicaid Laws		
Status of the Case:	In supplemental discovery phase – trial currently scheduled for 2/7/11		
Who is representing (of record) the state in this lawsuit? Check all that apply.	<input checked="" type="checkbox"/>	Agency Counsel	
	<input type="checkbox"/>	Office of the Attorney General or Division of Risk Management	
	<input type="checkbox"/>	Outside Contract Counsel	

<p>If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).</p>	<p>Jodi Siegel, Neil Chonin, and Gabriela Ruiz, Southern Legal Counsel, Inc., NW 12th Avenue, Gainesville, FL 32601;</p> <p>Stephen F. Gold, 125 S. 9th Street, Suite 700, Philadelphia, Pa. 19107;</p> <p>Bruce Vignery, Stacy Canan, AARP Foundation Litigation, 601 E Street, NW, Washington, DC 20049;</p> <p>Sarah Somers, National Health Law Program; 101 East Weaver Street, Suite G-7, Carrboro, NC 27510</p>
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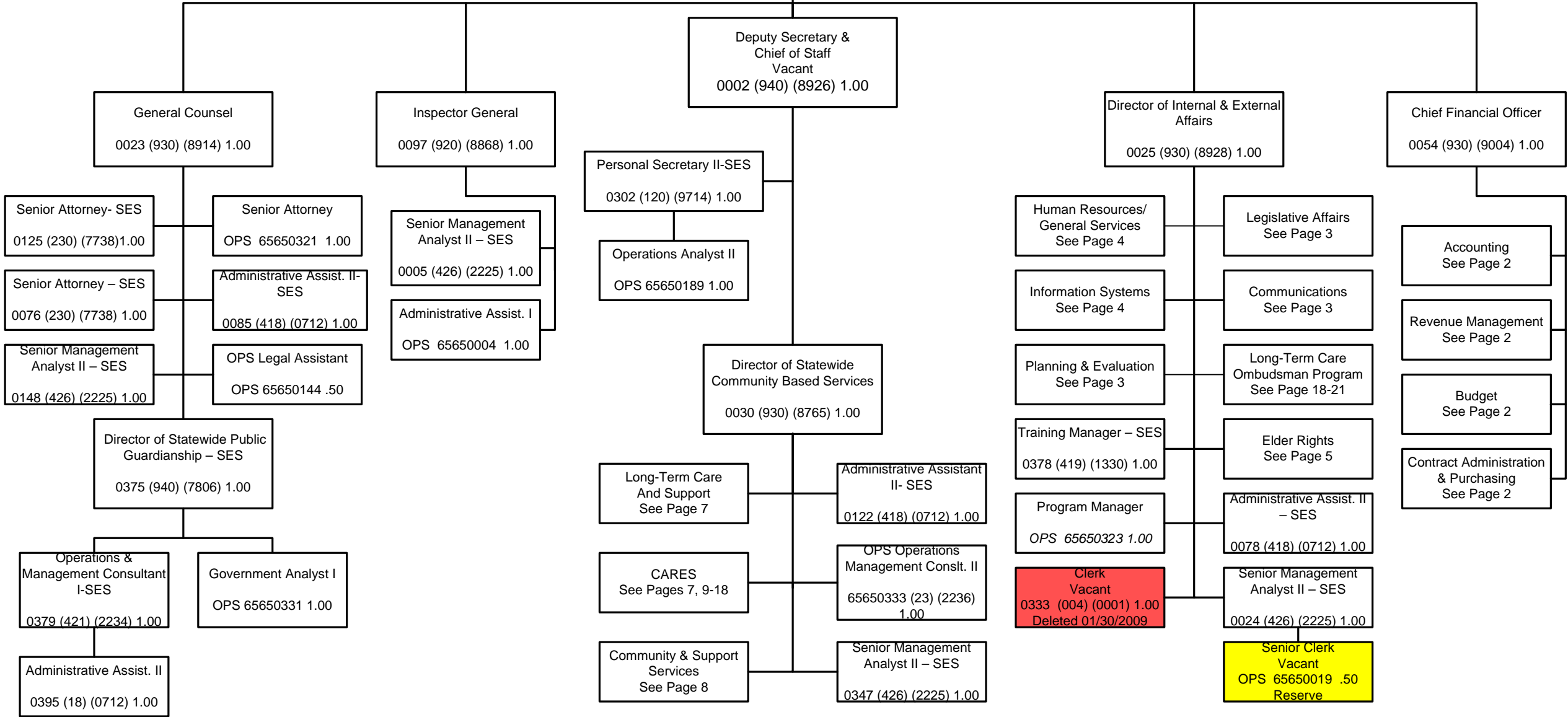
Office of Policy and Budget – July 2010

DEPARTMENT OF ELDER AFFAIRS
As of 10/01/2010

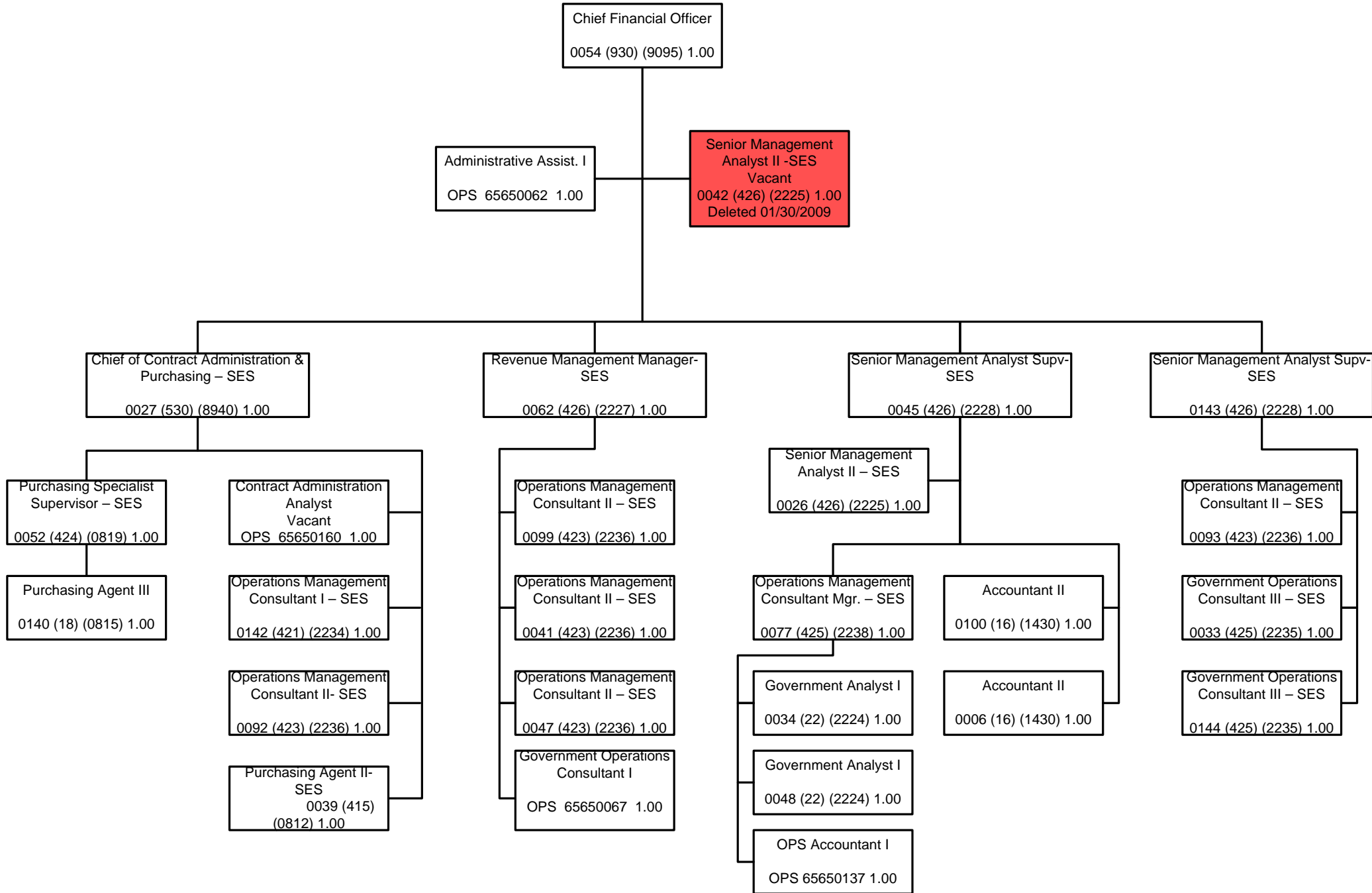
Interim Secretary
Charles Corley
0001 (950) (8925) 1.00

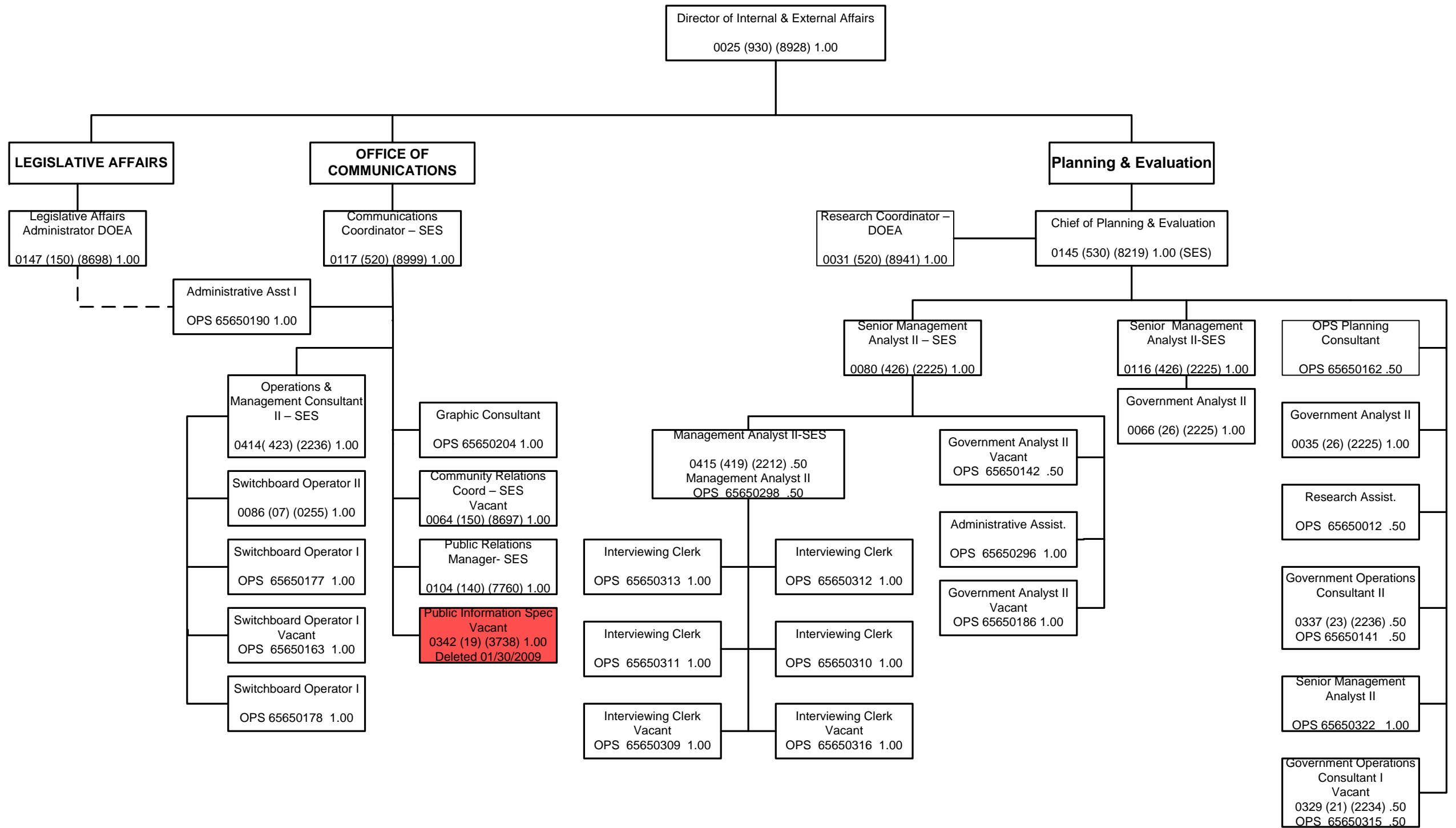
Advisory Council
ADI

Advisory Council
DOEA



Division of Financial Administration





Director of Internal & External Affairs
0025 (930) (8928) 1.00

Human Resources/ General Services /
Emergency Operations and Disaster
Preparedness

Information Systems

Chief of Human Resources, General
Services and Emergency Operations –
SES
0108 (530) (7780) 1.00

Chief Information Officer
0326 (540) (8738) 1.00

Administrative Assist. I
OPS 65650206 1.00

Administrative Assist. I-
SES
0068 (415) (0709) 1.00

Administrative Assistant
II
0059 (18) (0712) 1.00

Senior Management
Analyst II – SES
0036 (426) (2225) 1.00

Operations Management
Consultant II – SES
0103 (423) (2236) 1.00

Government Operations
Consultant I
0040 (21) (2234) 1.00

Human Resources
Specialist – SES
0046 (423) (2282) 1.00

Operations & Management
Consultant I – SES
Emergency Coordinating
Officer
0141 (421) (2234) 1.00

Technical Support
Systems Programming
Administrator – SES
0037 (427) (2117) 1.00

Enterprise Support
Systems Project Analyst
– SES
0044 (424) (2107) 1.00

Applications Support
Group
Sys Proj Analyst – SES
0280 (424) (2107) 1.00

Senior Clerk
Vacant
0345 (11) (0004) 1.00

Property Analyst
0301 (16) (0942) 1.00

Human Resources
Specialist – SES
0139 (423) (2282) 1.00

Administrative Assist. II
Vacant
OPS 65650143 1.00
Reserve

Systems Programmer III
0305 (025) (2115) 1.00

Distributed Computer
Systems Analyst
0038 (20) (2050) 1.00

Systems Project
Analyst-SES
Vacant
0115 (424) (2107) 1.00

Sr. Webpage Design
Specialist
Government Operations
Consultant I
0094 (21) (2234) 1.00

Senior Data Base
Analyst
0110 (25) (2122) 1.00

Office Automation
Specialist II
0338 (17) (2043) 1.00

Systems Programmer III
OPS 65650299 1.00

Data Processing
Consultant
OPS 65650195 1.00

Systems Programmer
OPS 65650294 1.00

Distributed Computer
Systems Specialist
OPS 65650016 1.00

Distributed Computer
Systems Analyst
OPS 65650018 1.00

ARC, CMS, I&R
Systems Programmer III
0306 (25) (2115) 1.00

Distributed Computer
Systems Analyst
0101 (22) (2052) 1.00

Computer Operator II
OPS 65650176 1.00

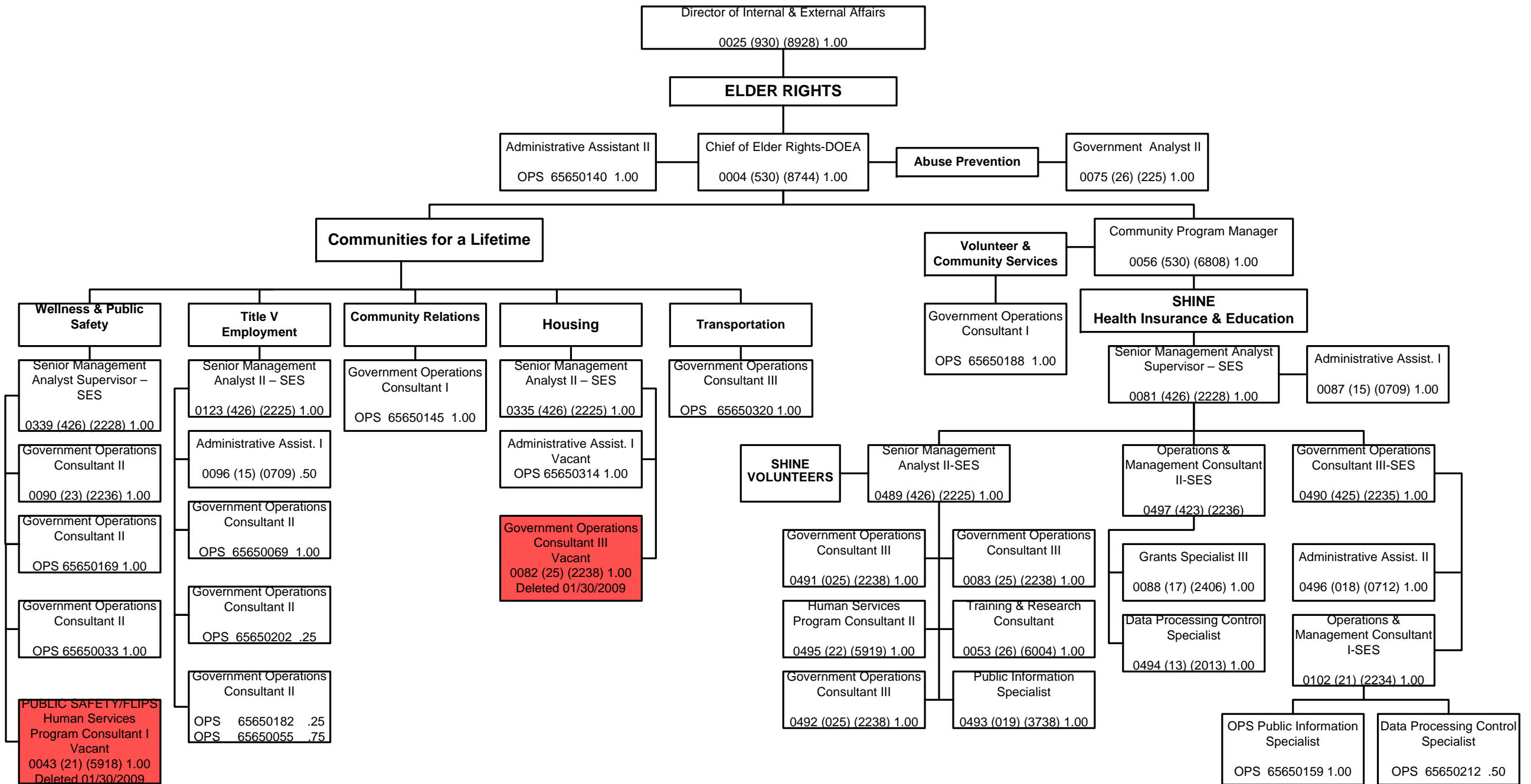
ARC, CIRT
Computer Programmer
Analyst II
0322 (22) (2103) 1.00

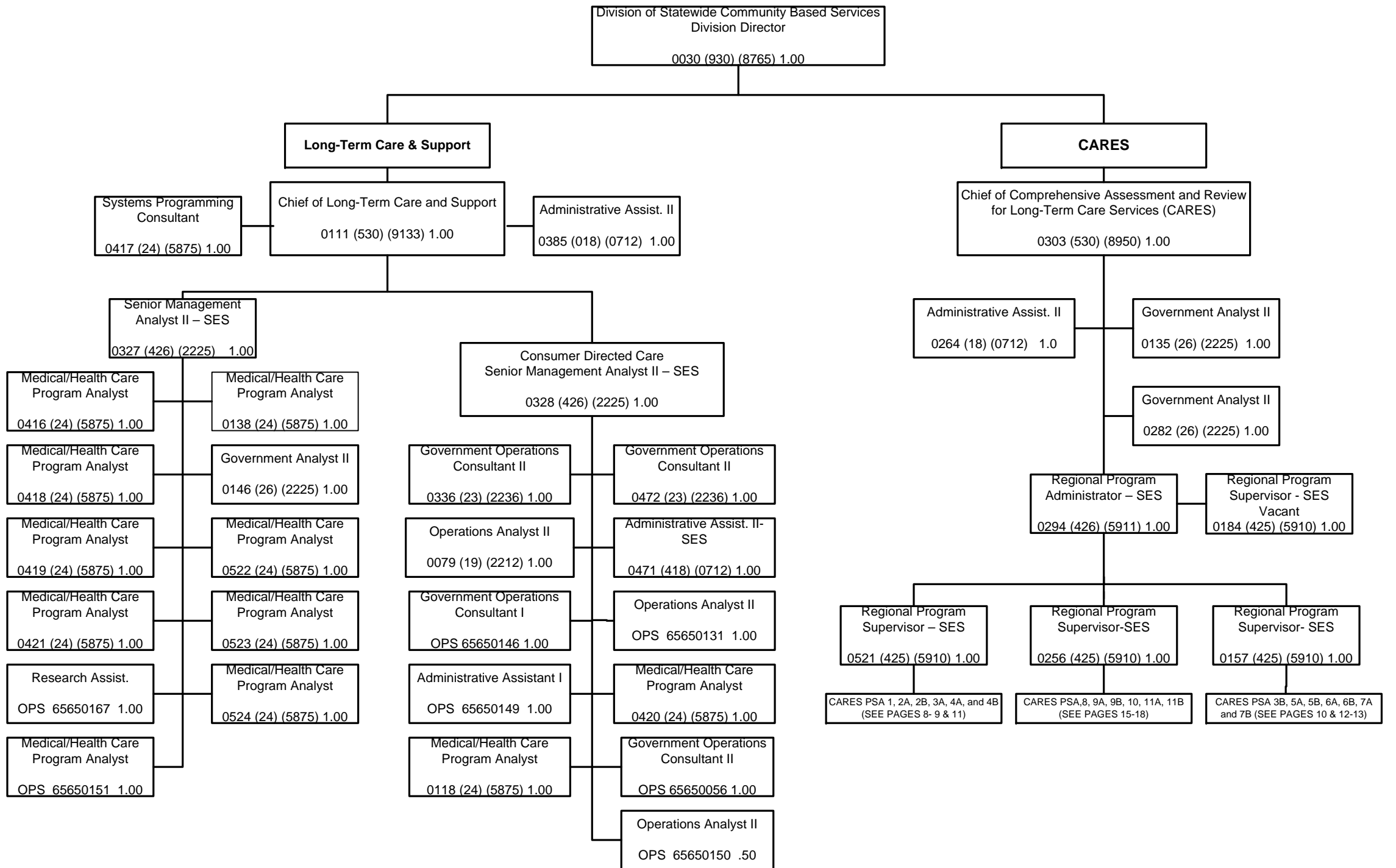
Data Processing
Consultant
OPS 65650046 1.00

Computer Operator II
0324 (13) (2022) .50
OPS 65650170 .50

Systems Computer
Programmer Analyst I
0061 (20) (2102) 1.00

Distributed Computer
Systems Analyst
OPS 65650158 1.00





Community & Support Services

Chief of Community and Support Services
0029 (530) (9205) 1.00

Administrative Assist. II
0028 (18) (0712) 1.00 FTE

Monitoring & Quality Assurance

ARC IMPLEMENTATION, CONTRACT MANAGEMENT, TECHNICAL ASSISTANCE

NUTRITION

CAREGIVER SUPPORT

Senior Management Analyst Supervisor-SES
0063 (426) (2228) 1.00

Senior Management Analyst Supervisor-SES
ARC Project Manager
0098 (426) (2228) 1.00

Operations Management Consultant Mgr – SES
0340 (425) (2238) 1.00

Americorps/NFCSP/Relief Operations Management Consultant Manager – SES
00343 (425) (2238) 1.00

Senior Management Analyst II – SES
0321 (426) (2225) 1.00

Senior Management Analyst II – SES
0051 (426) (2225) 1.00

Government Operations Consultant III – SES
0073 (425) (2235) 1.00

Government Operations Consultant III – SES
0070 (425) (2235) 1.00

Administrative Assistant I
VACANT
OPS 65650070 .50

Senior Companion RELIEF/NFCSP Grants Specialist V
0113 (20) (2415) 1.00

Operations Management Consultant II – SES
0071 (423) (2236) 1.00

Senior Management Analyst II - SES
0297 (426) (2225) 1.00

Government Operations Consultant III – SES
0114 (425) (2235) 1.00

Government Operations Consultant III – SES
0067 (425) (2235) 1.00

Government Operations Consultant II
0299 (23) (2236) 1.00

Administrative Assist. II
0055 (18) (0712) 1.00

Operations Management Consultant II – SES
0069 (423) (2236) 1.00

Research Assist.
OPS 65650165 1.00

Government Operations Consultant II
0058 (23) (2236) 1.00

Government Operations Consultant II
0072 (23) (2236) 1.00

Government Operations Consultant II
0065 (23) (2236) 1.00

Government Operations Consultant I
Vacant
RESERVE
OPS 65650072 1.00

Administrative Assist. I
0084 (15) (0709) 1.00

Government Analyst II
0334 (26) (2225) 1.00

Administrative Assist. II
0304 (18) (0712) 1.00

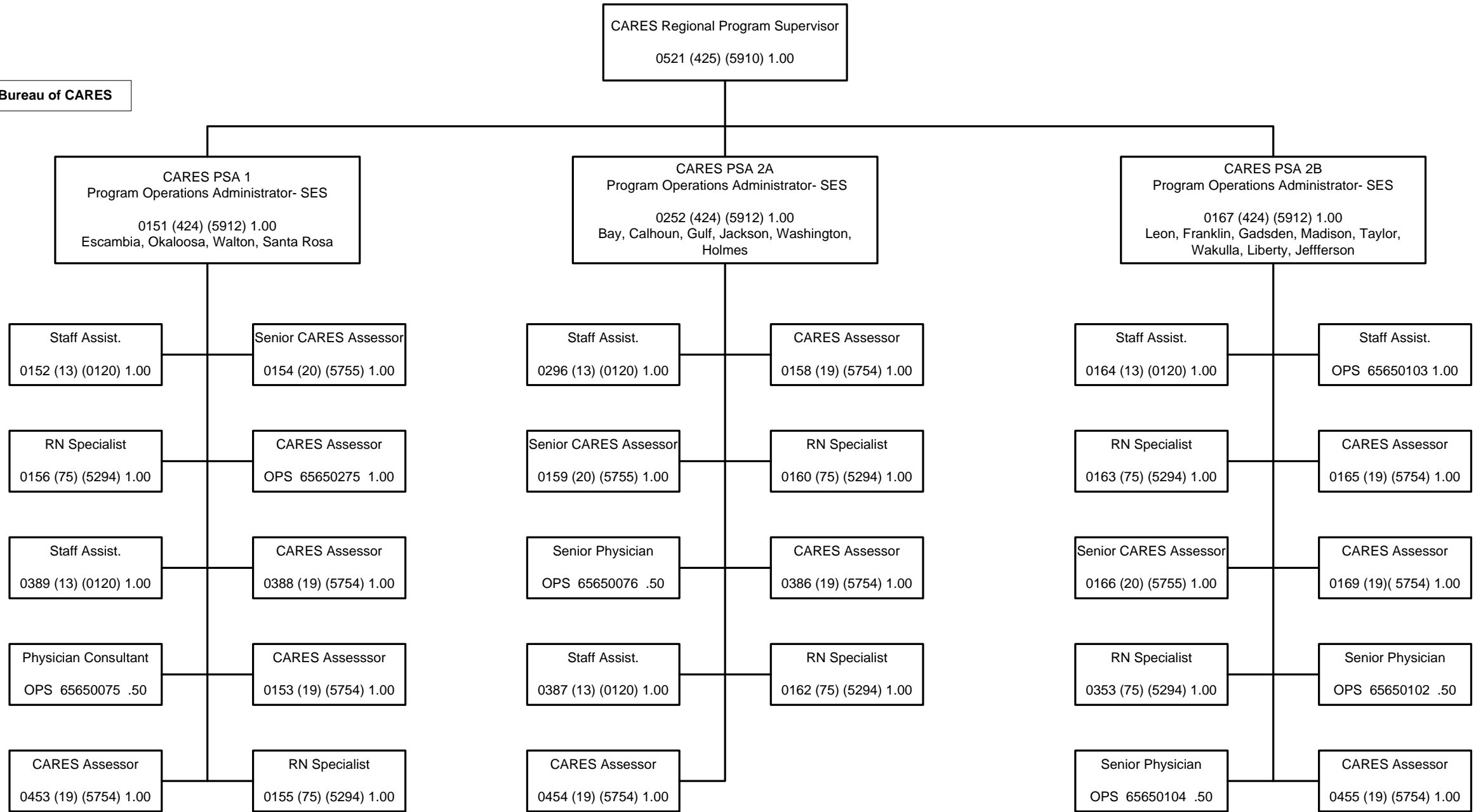
Government Analyst I
OPS 65650335 .75

Government Operations Consultant II
RESERVE
OPS 65650292 1.00

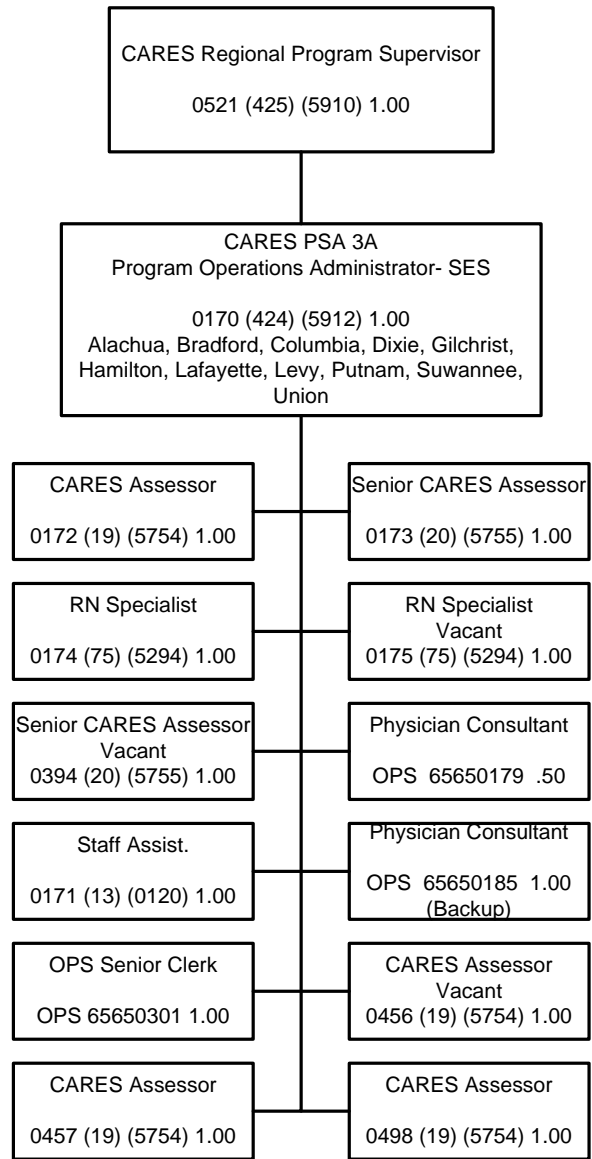
RN Specialist
0298 (75) (5294) 1.00

Government Operations Consultant I
OPS 65650148 1.00

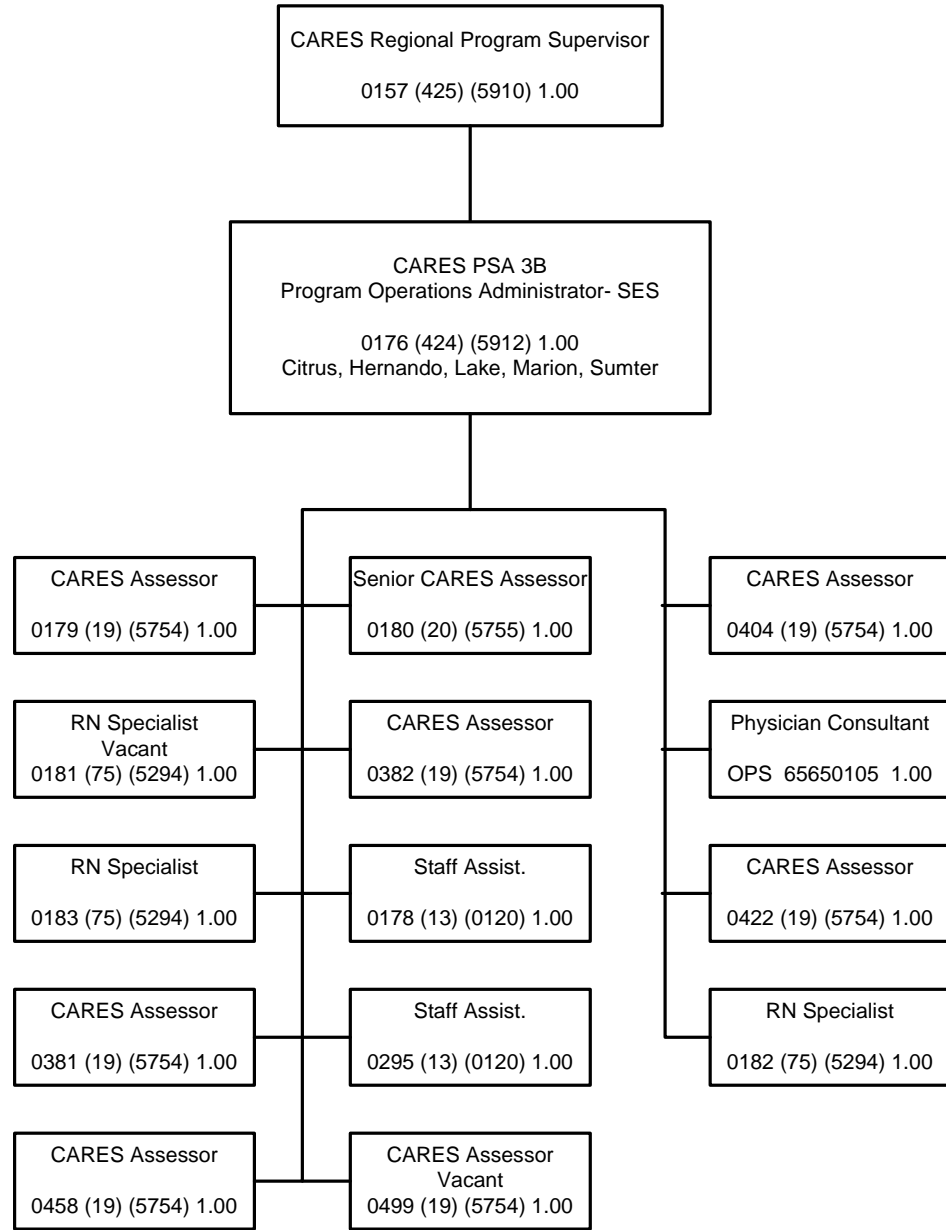
Bureau of CARES



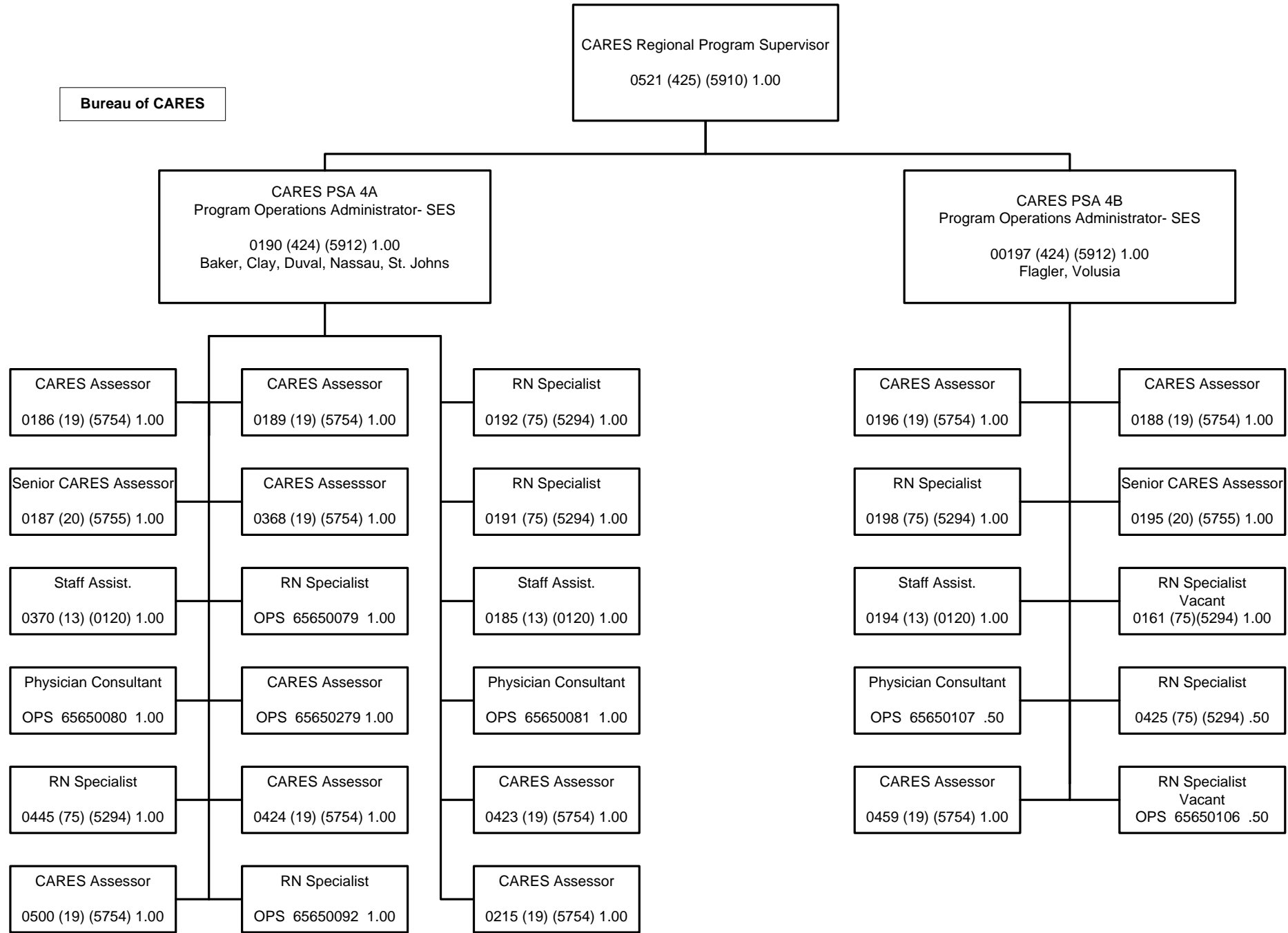
Bureau of CARES



Bureau of CARES



Bureau of CARES

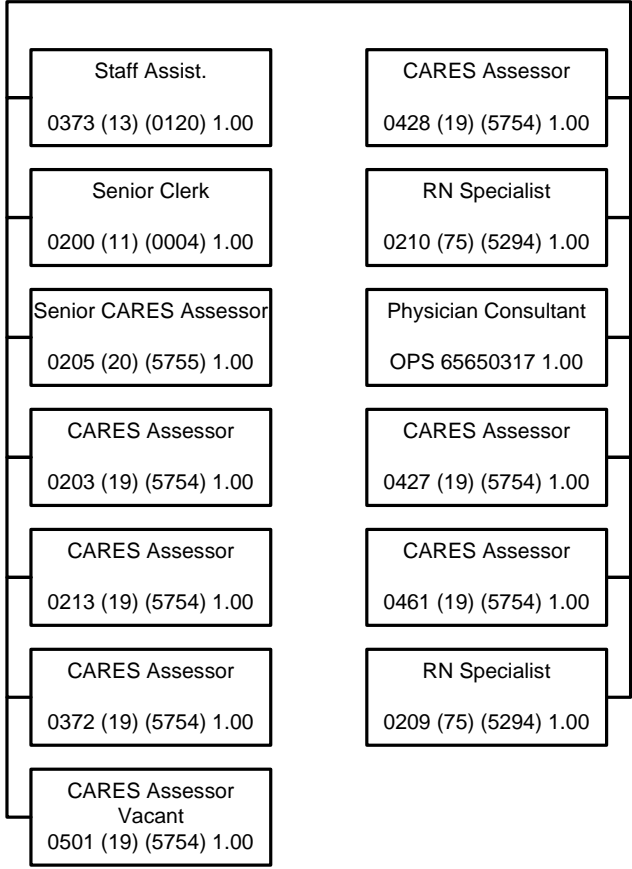
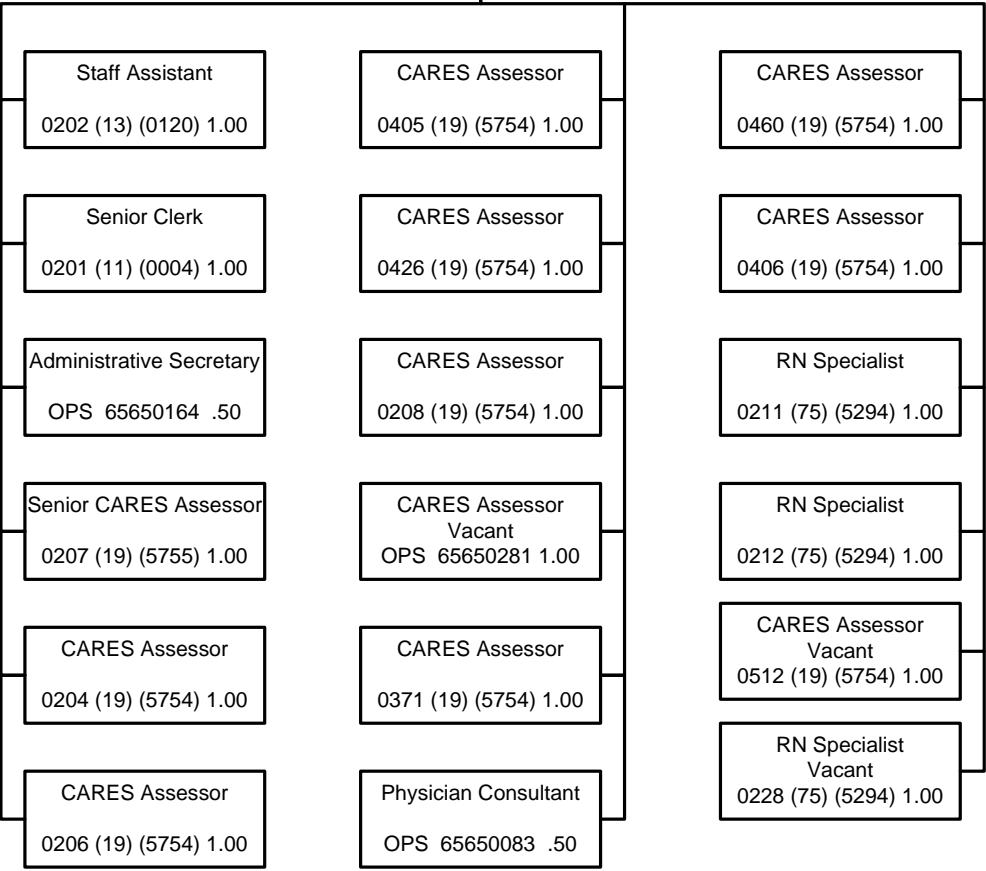


Bureau of CARES

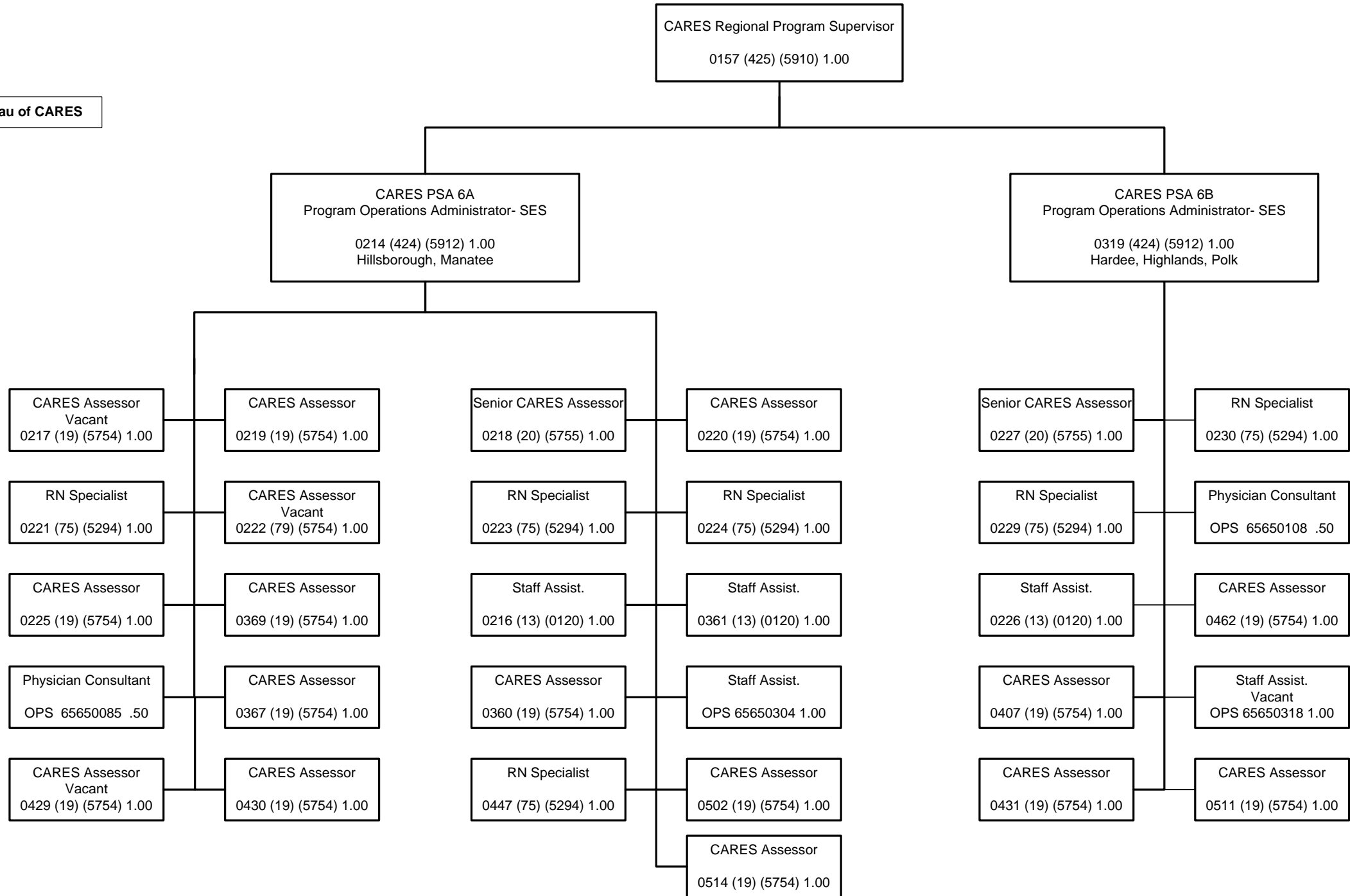
CARES Regional Program Supervisor
0157 (425) (5910) 1.00

CARES PSA 5A
Program Operations Administrator-SES
0199 (424) (5912) 1.00
Central and Southern Pinellas

CARES PSA 5B
Program Operations Administrator – SES
0446 (424) (5912) 1.00
North Pinellas and Pasco



Bureau of CARES

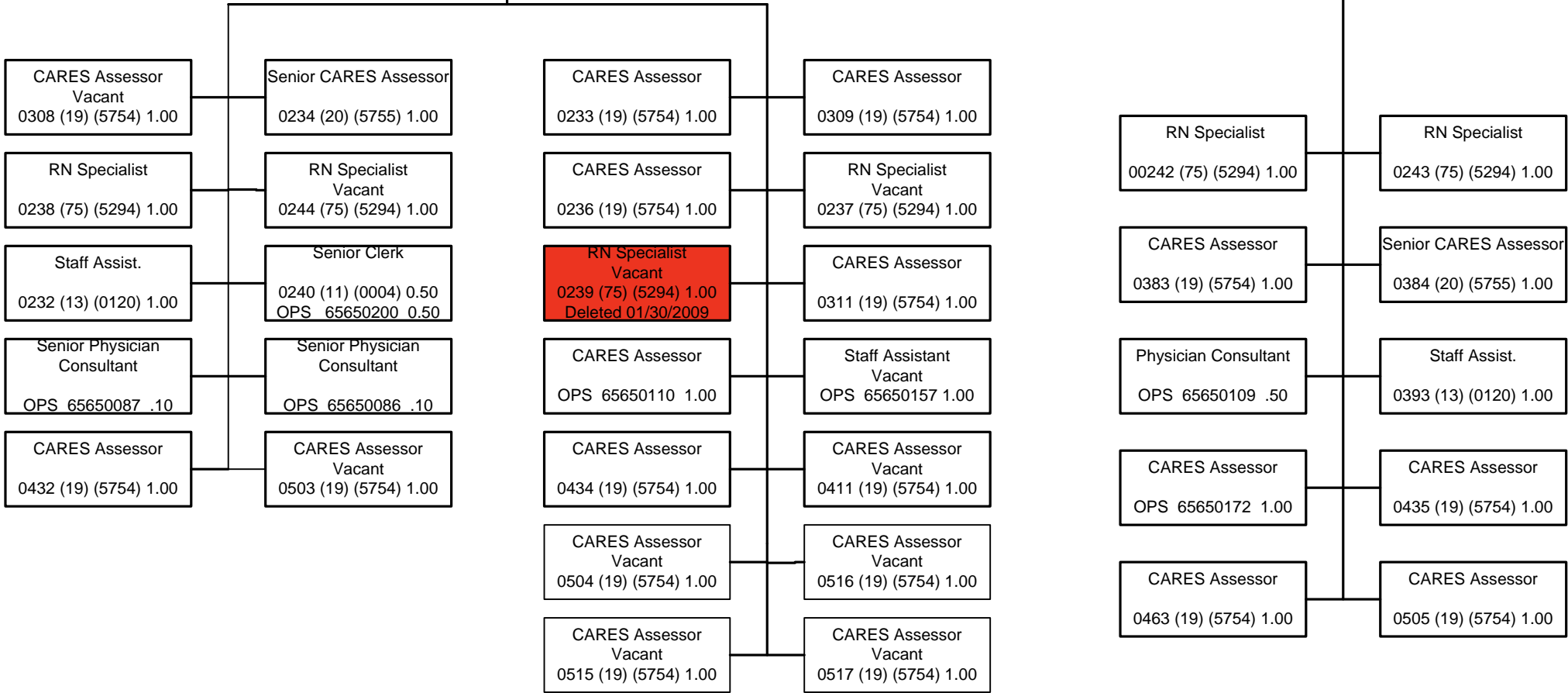


Bureau of CARES

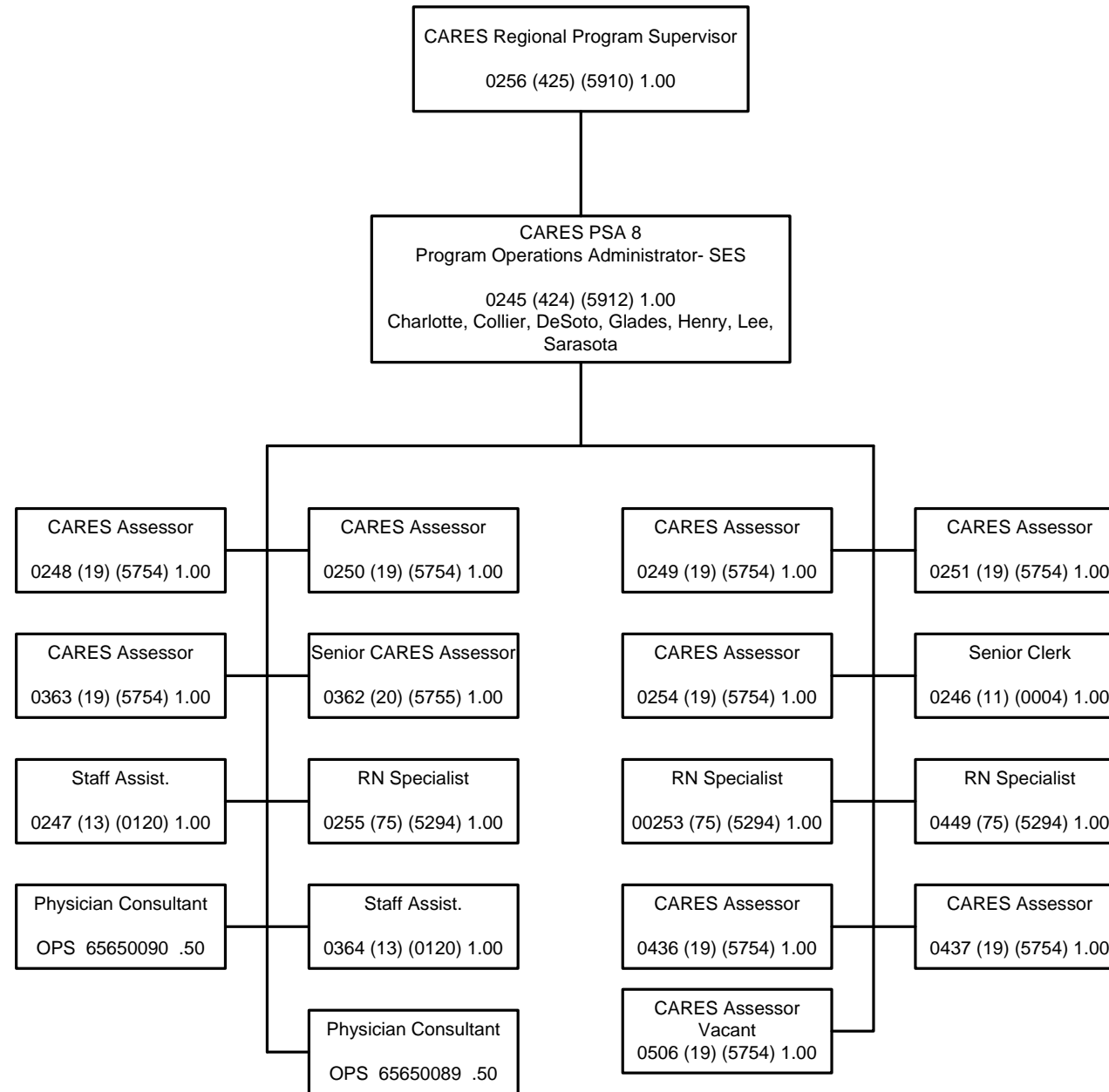
CARES Regional Program Supervisor
0157 (425) (5910) 1.00

CARES PSA 7A
Program Operations Administrator- SES
0231 (424) (5912) 1.00
Orange, Osceola, Seminole

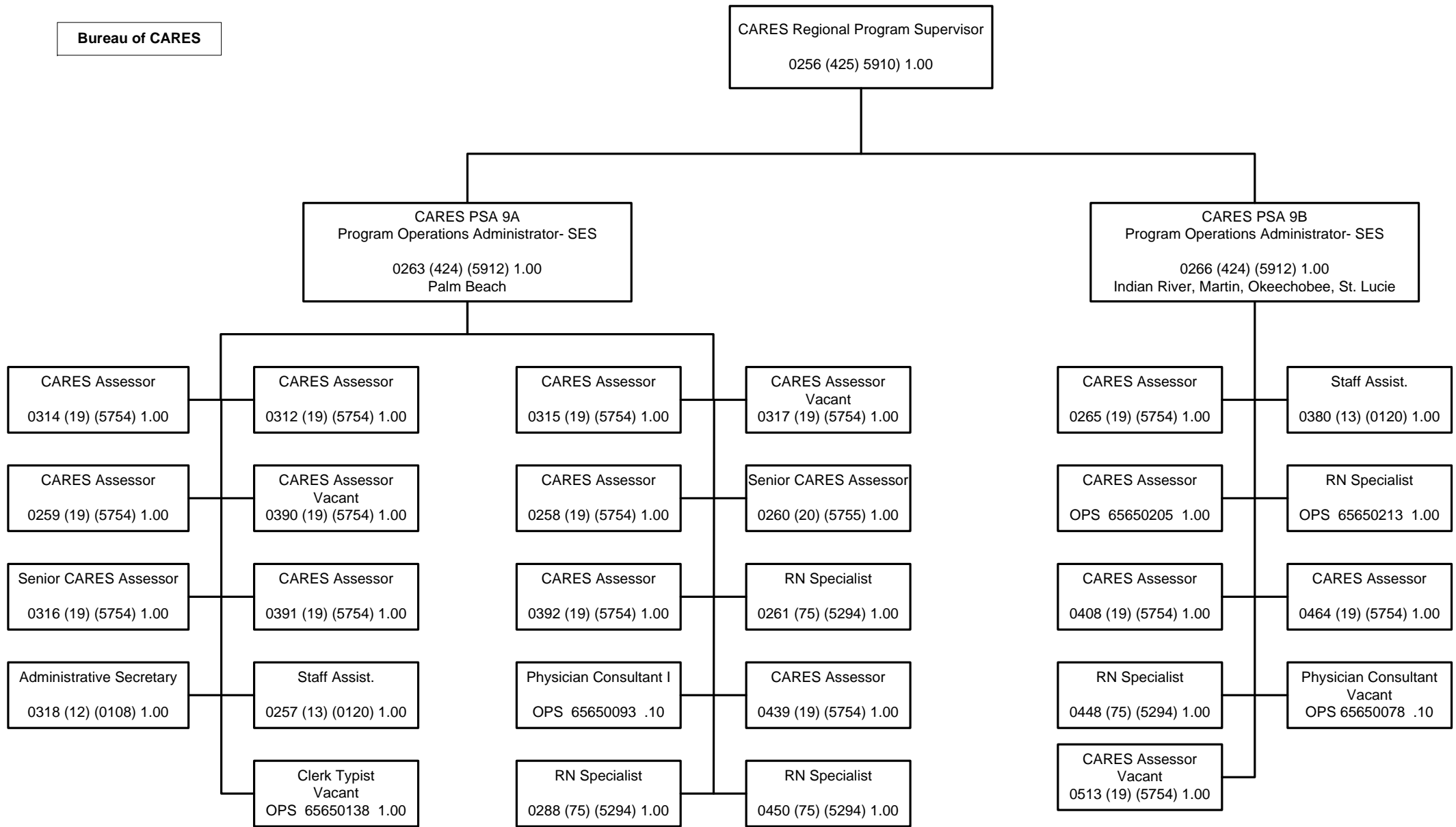
CARES PSA 7B
Program Operations Administrator- SES
0241 (424) (5912) 1.00
Brevard



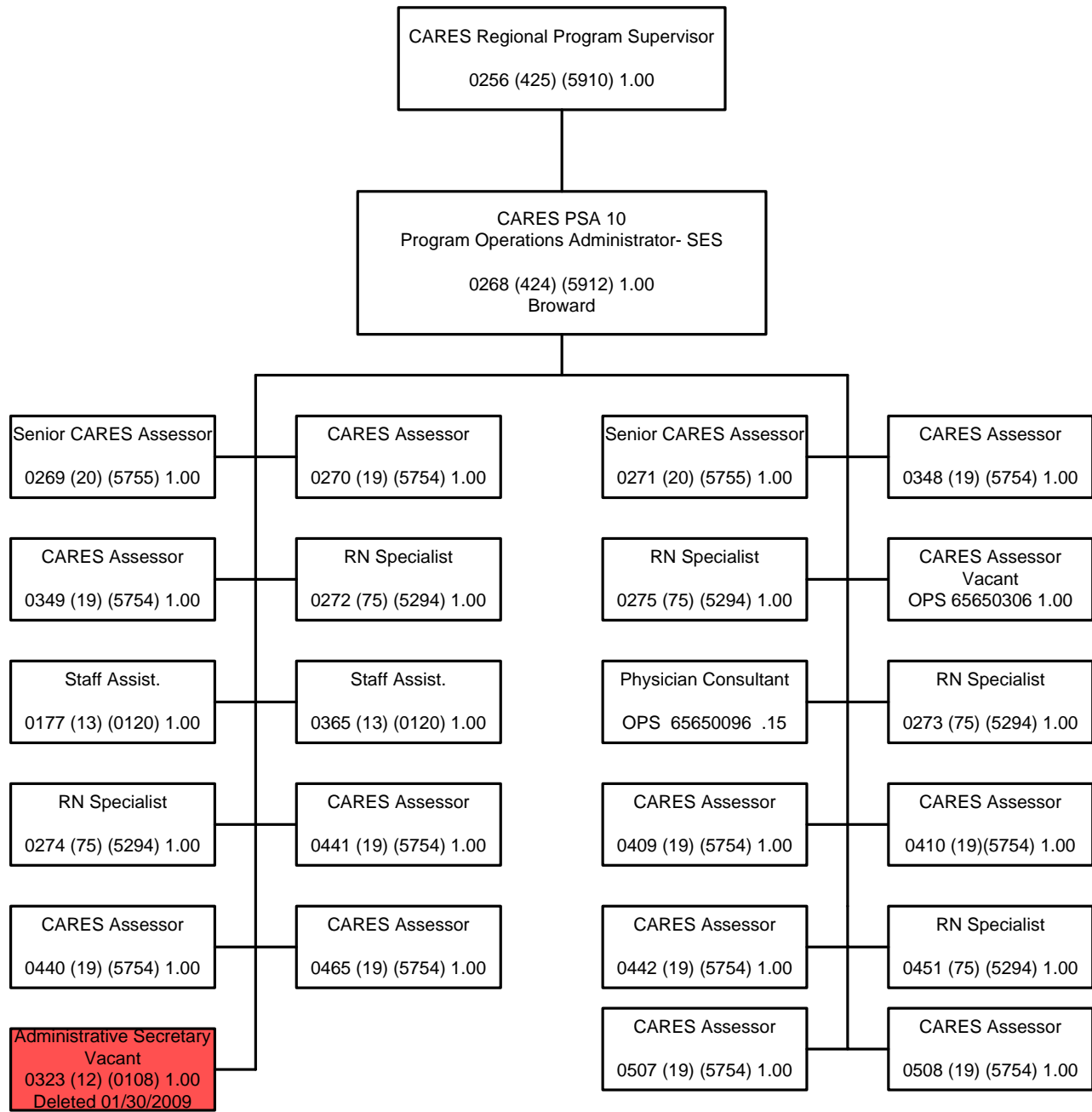
Bureau of CARES



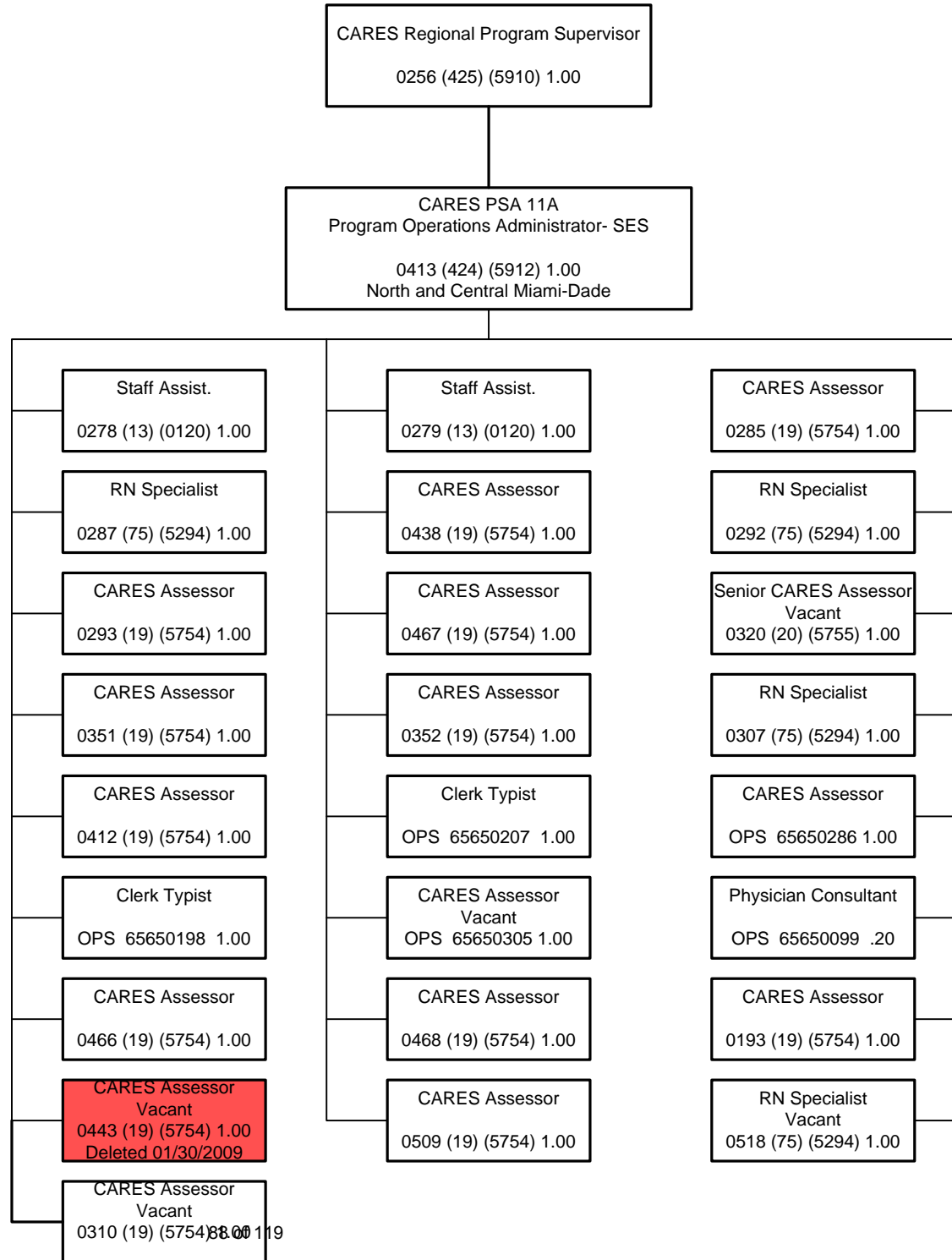
Bureau of CARES



Bureau of CARES

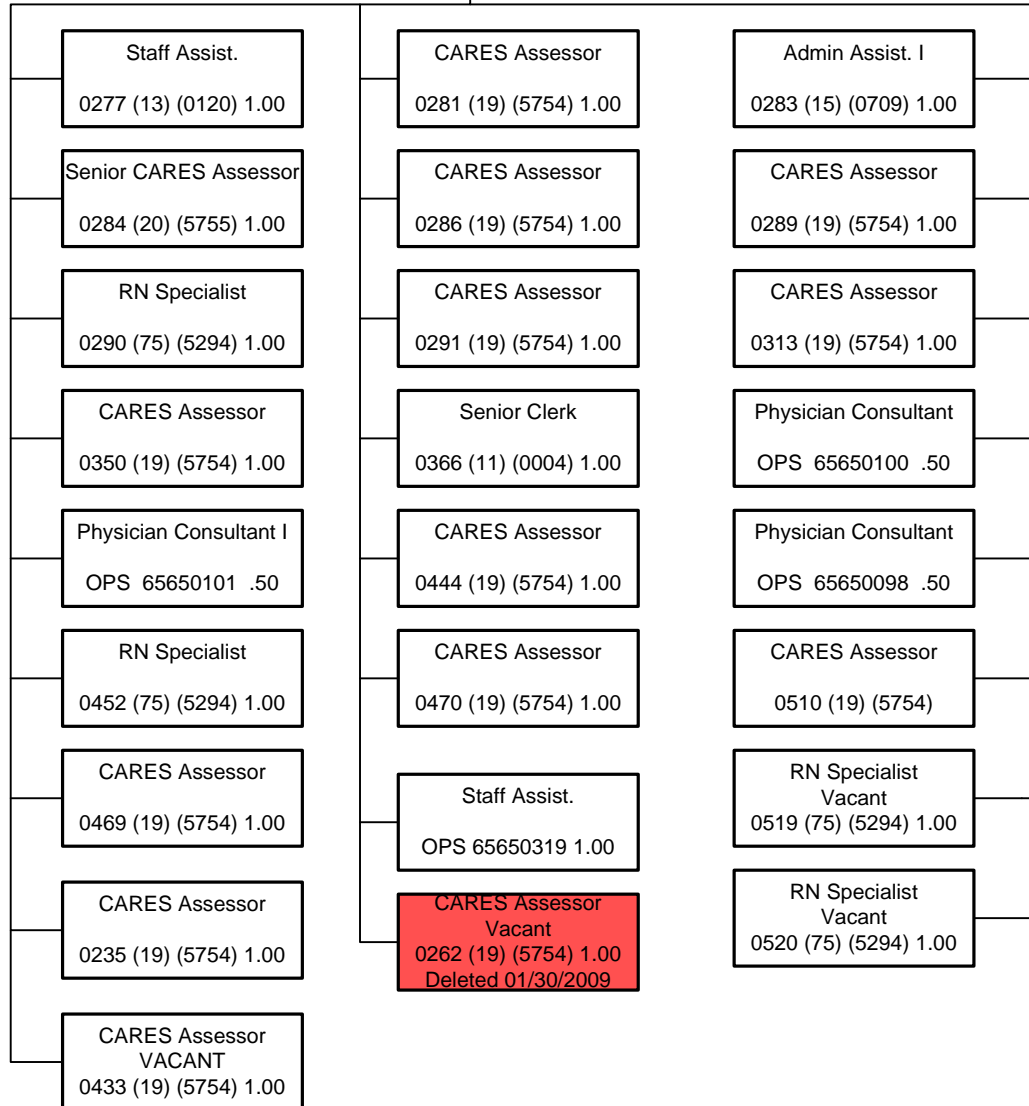


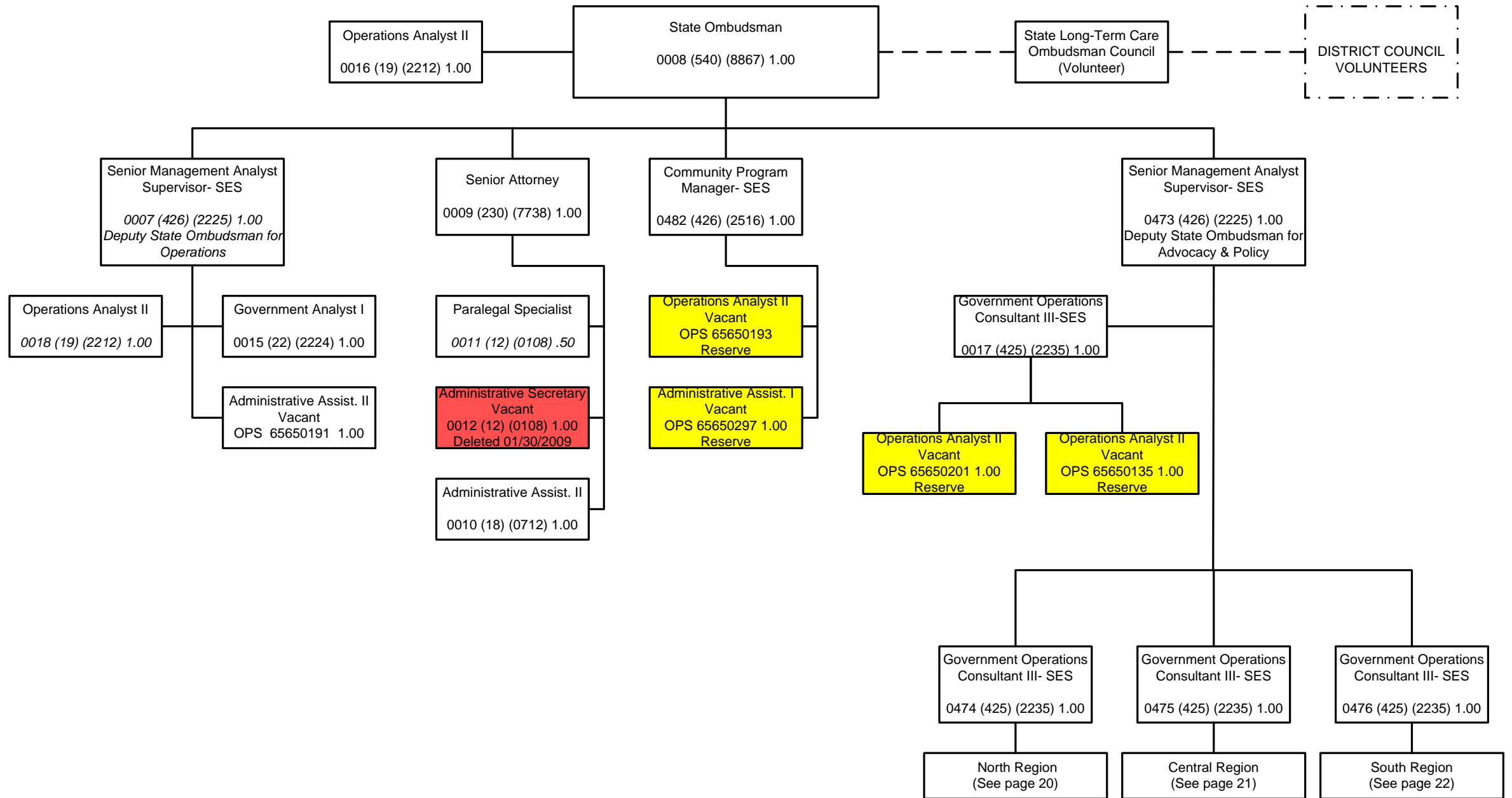
Bureau of CARES



CARES Regional Program Supervisor
0256 (425) (5910) 1.00I

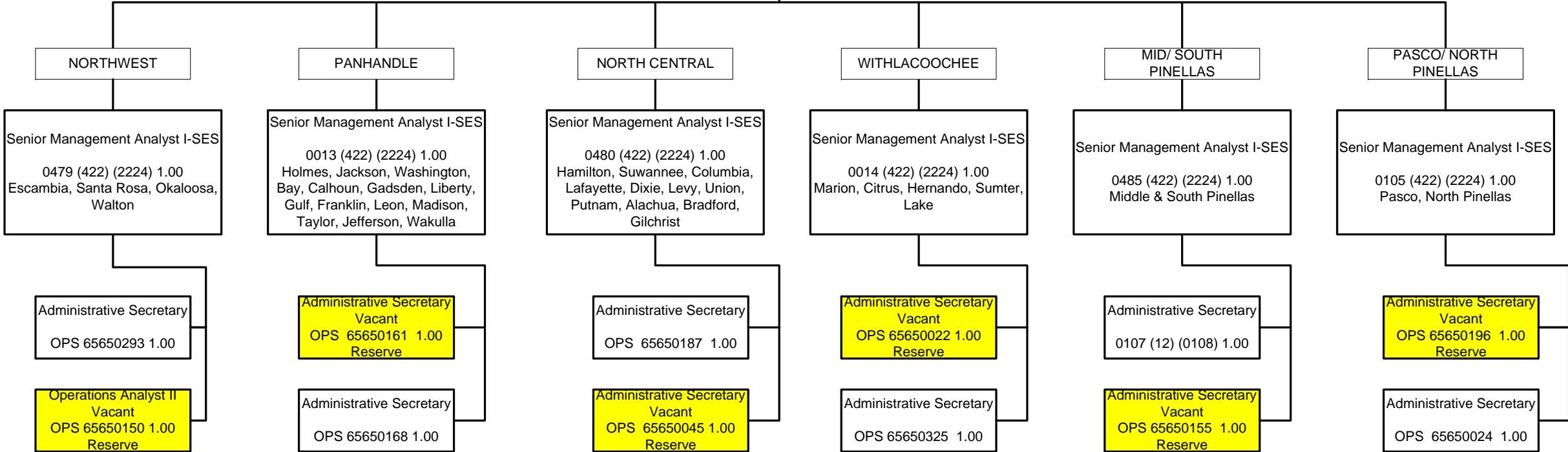
CARES PSA 11B
Program Operations Administrator- SES
0276 (424) (5912) 1.00
South Miami-Dade and Monroe





Senior Management Analyst Supervisor- SES
0473 (426) (2225) 1.00
Deputy State Ombudsman for Advocacy & Policy

North Region
Government Operations Consultant III- SES
0474 (425) (2235) 1.00



Senior Management Analyst Supervisor- SES
0473 (426) (2225) 1.00
Deputy State Ombudsman for Advocacy & Policy

Central Region
Government Operations Consultant III- SES
Vacant
0475 (425) (2235) 1.00

FIRST COAST

FIRST COAST SOUTH

TREASURE COAST

EAST CENTRAL

WEST CENTRAL

SOUTH CENTRAL

Senior Management Analyst I-SES
0486 (422) (2224) 1.00
Nassau, Baker, Duval, Clay & St. Johns

Senior Management Analyst I-SES
0481 (422) (2224) 1.00
Volusia, Flagler

Senior Management Analyst I-SES
0483 (422) (2224) 1.00
Martin, St. Lucie, Indian River, Okeechobee

Senior Management Analyst I-SES
0488 (422) (2224) 1.00
Orange, Seminole, Brevard, Osceola

Senior Management Analyst I-SES
0019 (422) (2224) 1.00
Hillsborough and Manatee

Senior Management Analyst I-SES
0478 (422) (2224) 1.00
Polk, Highland, Hardee

Administrative Secretary
Vacant
OPS 65650180 1.00

Administrative Secretary
Vacant
OPS 65650174 1.00
Reserve

Administrative Secretary
0020 (12) (0108) 1.00

Administrative Secretary
OPS 65650039 1.00

Administrative Secretary
OPS 65650197 1.00

Administrative Secretary
OPS 65650166 1.00

Administrative Secretary
Vacant
OPS 65650035 1.00
Reserve

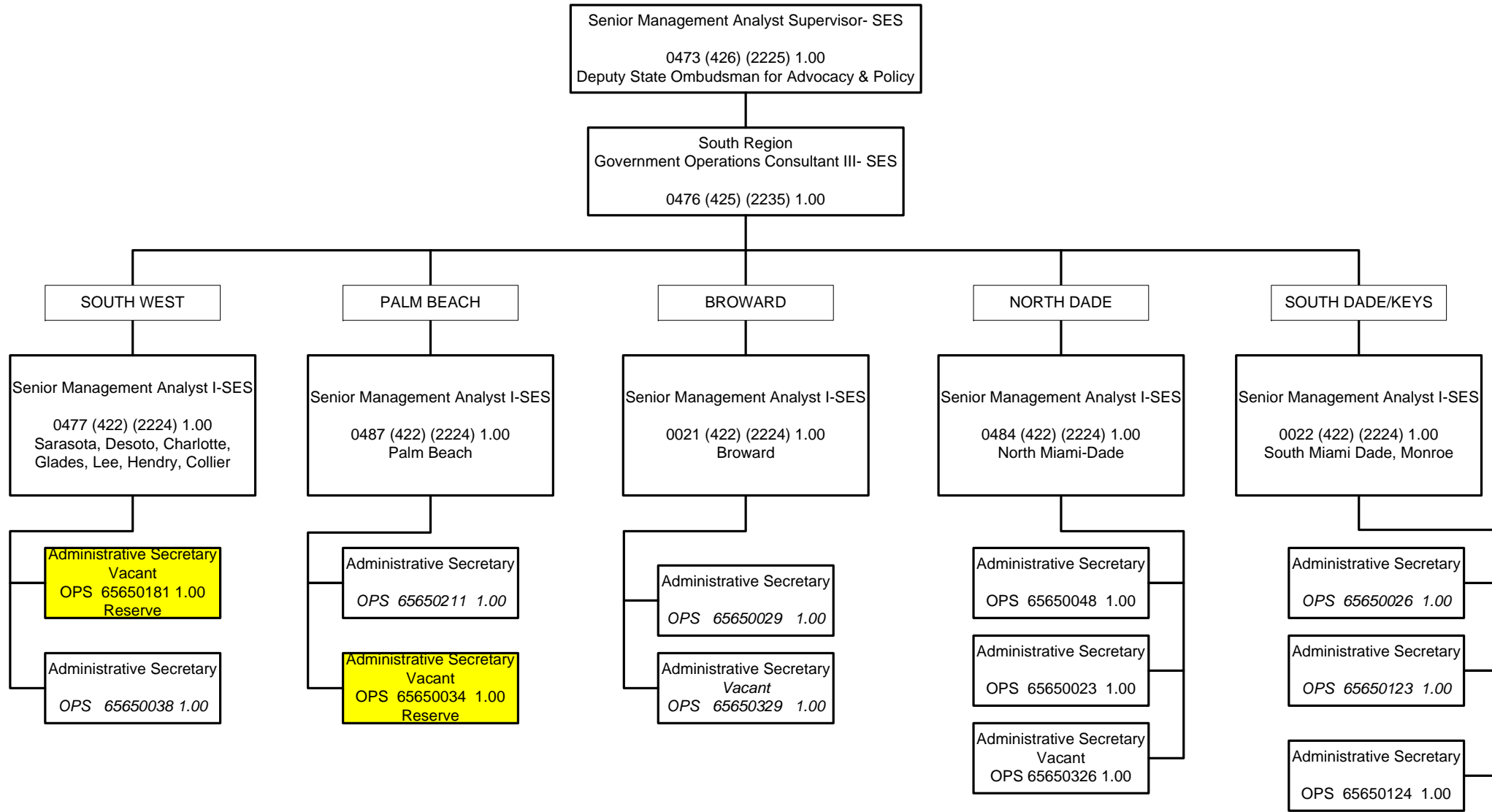
Administrative Secretary
OPS 65650139 1.00

Administrative Secretary
Vacant
OPS 65650324 1.00
Reserve

Administrative Secretary
OPS 65650327 1.00

Administrative Secretary
OPS 65650328 1.00

Administrative Secretary
Vacant
OPS 65650192 1.00



SCHEDULE XII: OUTSOURCING OR PRIVATIZATION OF A SERVICE OR ACTIVITY

NOT APPLICABLE

Schedule XII Cover Sheet and Agency Project Approval	
Agency: Department of Elder Affairs	Schedule XII Submission Date:
Project Name:	Is this project included in the Agency's LRPP? _____ Yes _____ No
FY 2011-2012 LBR Issue Code:	FY 2011-2012 LBR Issue Title:
Agency Contact for Schedule XII (Name, Phone #, and E-mail address):	
AGENCY APPROVAL SIGNATURES	
I am submitting the attached Schedule XII in support of our legislative budget request. I have reviewed and agree with the information in the attached Schedule XII.	
Agency Head:	Date:
Printed Name:	
Agency Chief Information Officer: <i>(If applicable)</i>	Date:
Printed Name:	
Budget Officer:	Date:
Printed Name:	
Planning Officer:	Date:
Printed Name:	
Project Sponsor:	Date:
Printed Name:	

SCHEDULE XII: OUTSOURCING OR PRIVATIZATION OF A SERVICE OR ACTIVITY

I. Background Information	
1.	Describe the service or activity proposed to be outsourced or privatized.
2.	How does the service or activity support the agency's core mission? What are the agency's desired goals and objectives to be achieved through the proposed outsourcing or privatization and the rationale for such goals and objectives?
3.	Provide the legal citation authorizing the agency's performance of the service or activity.
4.	Identify the service's or activity's major stakeholders, including customers, clients, and affected organizations or agencies.
5.	Describe and analyze how the agency currently performs the service or activity and list the resources, including information technology services and personnel resources, and processes used.
6.	Provide the existing or needed legal authorization, if any, for outsourcing or privatizing the service or activity.

7. Provide the reasons for changing the delivery or performance of the service or activity. What is the current cost of service and revenue source?

II. Evaluation of Options
1. Provide a description of the available options for performing the service or activity and list for each option the general resources and processes needed to perform the service or activity. If state employees are currently performing the service or activity, provide at least one option involving maintaining state provision of the service or activity.
2. For each option, describe its current market for the service or activity under consideration for outsourcing or privatizing. How many vendors are currently providing the specific service or activity on a scale similar to the proposed option? How mature is this market?
3. List the criteria used to evaluate the options. Include a cost-benefit analysis documenting the direct and indirect specific baseline costs, savings, and qualitative and quantitative benefits involved in or resulting from the implementation of the recommended option(s).
4. Based upon the evaluation criteria, identify and analyze the advantages and disadvantages of each option, including potential performance improvements and risks.
5. For each option, describe the anticipated impact on the agency and the stakeholders, including impacts on other state agencies and their operations.

<p>6. Identify changes in cost and/or service delivery that will result from each option. Describe how the changes will be realized. Describe how benefits will be measured and provide the annual cost.</p>
<p>7. List the major risks for each option and how the risks could be mitigated.</p>
<p>8. Describe any relevant experience of other agencies, other states, or the private sector in implementing similar options.</p>

<p>III. Information on Recommended Option</p>
<p>1. Identify the proposed competitive solicitation including the anticipated number of respondents.</p>
<p>2. Provide the agency's projected timeline for outsourcing or privatization of the service or activity. Include key events and milestones from the beginning of the procurement process through the expiration of a contract and key events and milestones for transitioning the service or activity from the state to the vendor. Provide a copy of the agency's transition plan for addressing changes in the number of agency personnel, affected business processes, employee transition issues including reemployment and retraining assistance plan for employees who are not retained by the agency or employed by the contractor, and communication with stakeholders such as agency clients and the public.</p>
<p>3. Identify all forms of compensation to the vendor(s) for performance of the service or activity, including in-kind allowances and state resources to be transferred to the vendor(s). Provide a detailed cost estimate of each.</p>

<p>4. Provide an analysis of the potential impact on federal, state, and local revenues, and expenditures. If federal dollars currently fund all or part of the service or activity, what has been the response of the federal funding agency(ies) to the proposed change in the service delivery method? If federal dollars currently fund all or part of the service or activity, does the change in the service delivery method meet federal requirements?</p>
<p>5. What responsibilities, if any, required for the performance of the service or activity will be retained and performed by the agency? What costs, including personnel costs, will the agency continue to incur after the change in the service delivery model? Provide these cost estimations. Provide the method for monitoring progress in achieving the specified performance standards within the contract.</p>
<p>6. Describe the agency's contract management process for the outsourced or privatized service or activity, including a description of the specific performance standards that must be met to ensure adequate performance and how the agency will address potential contractor nonperformance. Attach a copy of any competitive solicitation documents, requests for quote(s), service level agreements, or similar documents issued by the agency for this competitive solicitation if available.</p>
<p>7. Provide the agency's contingency plan(s) that describes the tasks involved in and costs required for its implementation and how the agency will resume the in-house provision of the service or activity in the event of contract termination/non-renewal.</p>
<p>8. Identify all other Legislative Budget Request issues that are related to this proposal.</p>

9. Explain whether or not the agency can achieve similar results by a method other than outsourcing or privatization and at what cost. Please provide the estimated expenditures by fiscal year over the expected life of the project.
10. Identify the specific performance measures that are to be achieved or that will be impacted by changing the service's or activity's delivery method.
11. Provide a plan to verify vendor(s) compliance with public records laws.
12. If applicable, provide a plan to verify vendor compliance with applicable federal and state law ensuring access by persons with disabilities.
13. If applicable, provide a description of potential differences among current agency policies or processes and a plan to standardize, consolidate, or revise current policies or processes.
14. If the cost of the outsourcing is anticipated to exceed \$10 million in any given fiscal year, provide a copy of the business case study (and cost benefit analysis if available) prepared by the agency for the activity or service to be outsourced or privatized pursuant to the requirements set forth in s. 287.0571, F.S.

**SCHEDULE XIII
PROPOSED CONSOLIDATED FINANCING OF DEFERRED-PAYMENT
COMMODITY CONTRACTS**

NOT APPLICABLE

Contact Information
Agency: Department of Elder Affairs
Name:
Phone:
E-mail address:

Deferred-payment commodity contracts are approved by the Department of Financial Services (department). The rules governing these contracts are in Chapter 69I-3, *Florida Administrative Code* and may be accessed via the following website <https://www.flrules.org/gateway/ChapterHome.asp?Chapter=69I-3> . Information on the program and other associated information on the Consolidated Equipment Financing Program and Guaranteed Energy Savings Contracts may be accessed via the following website http://www.myfloridacfo.com/aadir/statewide_financial_reporting/.

For each proposed deferred-payment commodity contract that exceeds the threshold for Category IV as defined in Section 287.017, *Florida Statutes*, complete the following information and submit Department of Financial Services forms Lease Checklist DFS-A1-411 and CEFP Checklist DFS-A1-410 with this schedule.

1. Commodities proposed for purchase.
2. Describe and justify the need for the deferred-payment commodity contract including guaranteed energy performance savings contracts.
3. Summary of one-time payment versus financing analysis including a summary amortization schedule for the financing by fiscal year (amortization schedule and analysis detail may be attached separately).
4. Identify base budget proposed for payment of contract and/or issue code and title of budget request if increased authority is required for payment of the contract.

Schedule XIV
Variance from Long Range Financial Outlook

Agency: Department of Elder Affairs

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

- 1) Does the long range financial outlook adopted by the Joint Legislative Budget Commission in September 2010 contain revenue or expenditure estimates related to your agency?

Yes No

- 2) If yes, please list the estimates for revenues and budget drivers that reflect an estimate for your agency for Fiscal Year 2011-2012 and list the amount projected in the long range financial outlook and the amounts projected in your Schedule I or budget request.

	Issue (Revenue or Budget Driver)	R/B*	FY 2011-2012 Estimate/Request Amount	
			Long Range Financial Outlook	Legislative Budget Request
a				
b				
c				
d				
e				
f				

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

* R/B = Revenue or Budget Driver

Schedule IV-B Cover Sheet and Agency Project Approval	
Agency: Department of Elder Affairs	Schedule IV-B Submission Date: October 15, 2010
Project Name: NOT APPLICABLE	Is this project included in the Agency's LRPP? ____ Yes ____ No
FY 2011-12 LBR Issue Code:	FY 2011-12 LBR Issue Title:
Agency Contact for Schedule IV-B (Name, Phone #, and E-mail address):	
AGENCY APPROVAL SIGNATURES	
I am submitting the attached Schedule IV-B in support of our legislative budget request. I have reviewed the estimated costs and benefits documented in the Schedule IV-B and believe the proposed solution can be delivered within the estimated time for the estimated costs to achieve the described benefits. I agree with the information in the attached Schedule IV-B.	
Agency Head: Printed Name:	Date:
Agency Chief Information Officer: Printed Name:	Date:
Budget Officer: Printed Name:	Date:
Planning Officer: Printed Name:	Date:
Project Sponsor: Printed Name:	Date:
Schedule IV-B Preparers (Name, Phone #, and E-mail address):	
Business Need:	
Cost Benefit Analysis:	
Risk Analysis:	
Technology Planning:	
Project Planning:	

SCHEDULE VI: DETAIL OF DEBT SERVICE

Department: Elder Affairs
Budget Entity: NOT APPLICABLE

Budget Period 2011-12

(1)	(2)	(3)	(4)
SECTION I	ACTUAL FY 2009 - 10	ESTIMATED FY 2010 - 11	REQUEST FY 2011 - 12
Interest on Debt	(A)		
Principal	(B)		
Repayment of Loans	(C)		
Fiscal Agent or Other Fees	(D)		
Other Debt Service	(E)		
Total Debt Service	(F)		

Explanation: _____

SECTION II

ISSUE: _____

(1)	(2)	(3)	(4)	(5)
INTEREST RATE	MATURITY DATE	ISSUE AMOUNT	JUNE 30, 2011	JUNE 30, 2012
(6)	(7)	(8)	(9)	
	ACTUAL FY 2009 - 10	ESTIMATED FY 2010 - 11	REQUEST FY 2011 - 12	
Interest on Debt	(G)			
Principal	(H)			
Fiscal Agent or Other Fees	(I)			
Other	(J)			
Total Debt Service	(K)			

ISSUE: _____

INTEREST RATE	MATURITY DATE	ISSUE AMOUNT	JUNE 30, 2011	JUNE 30, 2012
	ACTUAL FY 2009 - 10	ESTIMATED FY 2010 - 11	REQUEST FY 2011 - 12	
Interest on Debt	(G)			
Principal	(H)			
Fiscal Agent or Other Fees	(I)			
Other	(J)			
Total Debt Service	(K)			

SCHEDULE IX: MAJOR AUDIT FINDINGS AND RECOMMENDATIONS

Budget Period: 2010-2011

Department: Elder Affairs

Chief Internal Auditor: Tony Hernandez

Budget Entity: 65100200, 65100400, 65100600, 65101000

Phone Number: 850-414-2117

(1) REPORT NUMBER	(2) PERIOD ENDING	(3) UNIT/AREA	(4) SUMMARY OF FINDINGS AND RECOMMENDATIONS	(5) SUMMARY OF CORRECTIVE ACTION TAKEN	(6) ISSUE CODE
2010-008	Aug-09	Operational Audit DOEA- Payments to Service Providers and the Client Information and Registration Tracking System	<p>FINDING 1 - To ensure that only authorized users have access to CIRTS, we recommend that the Department establish written procedures to timely remove user access upon an employee's separation from the Department. The Department should also establish a process for periodically reviewing user access privileges to ensure that the granted privileges remain appropriate.</p> <p>FINDING 2 - We recommend that the Department improve these security controls to more reasonably ensure the confidentiality, integrity, and availability of data and IT resources.</p>	<p>The Department immediately instituted procedures... The procedure was later incorporated into the Department's Termination / Suspension of Computer Services Policy (see Section 3.5 in Attachment 1). This policy assures that access for all systems is suspended and requires that the actions are verified.</p> <p>The Department of Elder Affairs has completed the application changes required to add the functionality to in CIRTS to save incomplete CARES assessments for later completion. This functionality for the Aging network assessments is under development. We have verified that the compensating controls which prevent unauthorized access to the system are deployed for all users and workstations.</p>	
09-10-IA-008	Mar-10	Switchboard Audit	<p>FINDING 1 - Switchboard Operations and the Department do not have an adequate phone system for measuring call center activity. We recommend the Department form a work group, at a minimum consisting of management from the Communications Office, Division of Financial Administration, Bureau of General Services, and the Bureau of Information Technology, to select criteria for a new Department phone system. Key criteria should include Switchboard Operations management dashboard to capture and monitor key performance indicators and reports. Until the Department moves to a new phone system, we recommend Switchboard Operations create a database for call logs. Operators should have the capability for immediate data entry as they receive calls. Management should have reporting abilities from this database to better supervise and monitor ad-hoc call metrics. Using existing Department "Oracle" database technology or licensed "Microsoft Access" database technology and staff time helps reduce costs.</p> <p>FINDING 2 - Management of the Department's telephone directory database is inefficient and needs improvement. We recommend Switchboard Operations create a single database for Department phone numbers.</p>	<p>The Office of Communications concurs with this finding and will implement procedures/practices to ensure that appropriate action is taken. The Department's switchboard supervisor met with members of the Applications Support unit on Tuesday, January 26, 2010, to discuss the different options available to capture call information data. During the meeting, it was decided that the best tool to capture call information would be a system similar to the Department's Correspondence Tracking system. The switchboard supervisor will meet with the Applications Support unit again to determine the specific information that should be captured when the operators enter information. Communications' current target date to start using the new Call Tracking system is June 1, 2010. The Communications Director will work with the Director of the Division of Internal and External Affairs to identify potential members of the proposed workgroup by July 1, 2010.</p> <p>The Office of Communications concurs with this finding and will implement procedures/practices to ensure that appropriate action is taken. The Communications Director will work with the switchboard supervisor to develop a master database file containing identifying information for each staff member working at the Department's headquarters office. This single database file will allow staff to produce reports in multiple formats as needed (by first name, by last name, etc.). Once this new database is established, the data used in the production of reports can readily be updated as needed.</p>	

(1) REPORT NUMBER	(2) PERIOD ENDING	(3) UNIT/AREA	(4) SUMMARY OF FINDINGS AND RECOMMENDATIONS	(5) SUMMARY OF CORRECTIVE ACTION TAKEN	(6) ISSUE CODE
			<p>FINDING 3 - Switchboard operators need training in Continuity of Operations Procedures (COOP) and using their Telecommunication Device for the Deaf (TDD). We recommend switchboard staff review the instruction manual for the TDD device and receive training on COOP and disaster recovery assistance.</p> <p>FINDING 4 - The Department does not mandate or conduct level-two criminal background checks on switchboard operators. We recommend level-two criminal background checks for switchboard operators and any back-up operators.</p> <p>FINDING 5 - DOEA employees need training on the proper role and function of switchboard operations. We recommend Department-wide training and periodic reinforcement of the roles and responsibilities of all employees as they relate to switchboard operations.</p>	<p>The Office of Communications concurs with this finding and will implement procedures/practices to ensure that appropriate action is taken. In early April 2010, the switchboard supervisor will meet with all three operators to review the Switchboard audit and discuss further implementation steps. Each operator will be given a copy of the Department's TYY manual and asked to review it during the ensuing two weeks. After this review period, each operator will be asked to answer a TYY call. The switchboard supervisor will work with an outside agency to arrange a time for the operators to handle an actual TYY call. In March 2010, the switchboard supervisor received a copy of the updated Continuity of Operations Plan (COOP) from the Department's Office of Disaster Preparedness and Emergency Operations. The supervisor has reviewed the plan and will work with the Department's Emergency Coordinating Officer to train the switchboard operators prior to the anticipated</p> <p>The Office of Communications concurs with this finding and has implemented procedures/practices to ensure that appropriate action is taken. In light of the preliminary audit findings, the switchboard supervisor oversaw the completion of a Level 2 background form and fingerprint card for each of the three switchboard operators and all backup operators. To ensure that this process covered all primary and backup operators, the switchboard supervisor determined which operators had not received a Level 2 background screening (a total of seven individuals) and assisted in getting them the appropriate materials for a screening. As of March 18, 2010, all staff members identified as needing the additional screening had picked up the appropriate documents and made arrangements with the Florida Department of Law Enforcement. These backup operators have been given until April 16, 2010, to have both documents completed and turned into the appropriate staff member.</p> <p>The Office of Communications concurs with this finding and will implement procedures/practices to ensure that appropriate action is taken. The switchboard supervisor will work with the Communications Director to develop an internal marketing plan to educate current Department employees on the proper role and function of the switchboard, including etiquette. The plan will use both Department-wide meetings and the Department's internal newsletter DOEA Digest. As the current switchboard supervisor will be on maternity leave before and during the anticipated completion date, an acting switchboard supervisor will work with the Department's staff trainer to incorporate information on the proper role and function of the switchboard into materials provided to new employees as part of the Employee</p>	

Office of Policy and Budget - July 2010

Fiscal Year 2011-12 LBR Technical Review Checklist (Rev. 10-13-2010)

Department/Budget Entity (Service): Dept. of Elder Affairs/Comp. Elig. Svcs./Home & Com. Svcs./Exe. Dir. & Sup. Svcs./Con. Adv. Svcs.
Agency Budget Officer/OPB Analyst Name: Barbara Henry/Gregory Martin

A "Y" indicates "YES" and is acceptable, an "N/J" indicates "NO/Justification Provided" - these require further explanation/justification (additional sheets can be used as necessary), and "TIPS" are other areas to consider.

Action	Program or Service (Budget Entity Codes)				
	65100200	65100400	65100600	65101000	Dept.

1. GENERAL

1.1 Are Columns A01, A02, A04, A05, A36, A90, A91, A92, A93, A94, A95, IA1, IA4, IA5, IP1, V1, IV3 and NV1 set to TRANSFER CONTROL for DISPLAY status and MANAGEMENT CONTROL for UPDATE status for both the Budget and Trust Fund columns? Are Columns A06, A07, A08 and A09 for Fixed Capital Outlay (FCO) set to TRANSFER CONTROL for DISPLAY status only? (CSDI)	Y	Y	Y	Y	
1.2 Is Column A03 set to TRANSFER CONTROL for DISPLAY and UPDATE status for both the Budget and Trust Fund columns? (CSDI)	Y	Y	Y	Y	

AUDITS:

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

2. EXHIBIT A (EADR, EXA)

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

3. EXHIBIT B (EXBR, EXB)

3.1 Is it apparent that there is a fund shift and were the issues entered into LAS/PBS correctly? Check D-3A funding shift issue 340XXX0 - a unique deduct and unique add back issue should be used to ensure fund shifts display correctly on the LBR exhibits.					
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.					

AUDITS:

Action		Program or Service (Budget Entity Codes)				
		65100200	65100400	65100600	65101000	Dept.
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.					
TIP	Requests for appropriations which require advance payment authority must use the sub-title "Grants and Aids". For advance payment authority to local units of government, the Aid to Local Government appropriation category (05XXXX) should be used. For advance payment authority to non-profit organizations or other units of state government, the Special Categories appropriation category (10XXXX) should be used.					
4. EXHIBIT D (EADR, EXD)						
4.1	Is the program component objective statement consistent with the agency LRPP, and does it conform to the directives provided on page 59 of the LBR Instructions?	Y	Y	Y	Y	
4.2	Is the program component code and title used correct?	Y	Y	Y	Y	
TIP	Fund shifts or transfers of services or activities between program components will be displayed on an Exhibit D whereas it may not be visible on an Exhibit A.					
5. EXHIBIT D-1 (ED1R, EXD1)						
5.1	Are all object of expenditures positive amounts? (This is a manual check.)	Y	Y	Y	Y	
AUDITS:						
5.2	Do the fund totals agree with the object category totals within each appropriation category? (ED1R, XD1A - Report should print "No Differences Found For This Report")	Y	Y	Y	Y	
5.3	FLAIR Expenditure/Appropriation Ledger Comparison Report: Is Column A01 less than Column B04? (EXBR, EXBB - Negative differences need to be corrected in Column A01.)	Y	Y	Y	Y	
5.4	A01/State Accounts Disbursements and Carry Forward Comparison Report: Does Column A01 equal Column B08? (EXBR, EXBD - Differences need to be corrected in Column A01.)	Y	Y	Y	Y	
TIP	If objects are negative amounts, the agency must make adjustments to Column A01 to correct the object amounts. In addition, the fund totals must be adjusted to reflect the adjustment made to the object data.					

Action		Program or Service (Budget Entity Codes)				
		65100200	65100400	65100600	65101000	Dept.
TIP	If fund totals and object totals do not agree or negative object amounts exist, the agency must adjust Column A01.					
TIP	Exhibit B - A01 less than B04: This audit is to ensure that the disbursements and carry/certifications forward in A01 are less than FY 2009-10 approved budget. Amounts should be positive.					
TIP	If B08 is not equal to A01, check the following: 1) the initial FLAIR disbursements or carry forward data load was corrected appropriately in A01; 2) the disbursement data from departmental FLAIR was reconciled to State Accounts; and 3) the FLAIR disbursements did not change after Column B08 was created.					
6. EXHIBIT D-3 (ED3R, ED3) (Not required in the LBR - for analytical purposes only.)						
6.1	Are issues appropriately aligned with appropriation categories?	Y	Y	Y	Y	
TIP	Exhibit D-3 is no longer required in the budget submission but may be needed for this particular appropriation category/issue sort. Exhibit D-3 is also a useful report when identifying negative appropriation category problems.					
7. EXHIBIT D-3A (EADR, ED3A)						
7.1	Are the issue titles correct and do they clearly identify the issue? (See pages 15 through 31 of the LBR Instructions.)	Y	Y	Y	Y	
7.2	Does the issue narrative adequately explain the agency's request and is the explanation consistent with the LRPP? (See page 65 of the LBR Instructions.)	Y	Y	Y	Y	
7.3	Does the narrative for Information Technology (IT) issue follow the additional narrative requirements described on pages 66 through 69 of the LBR Instructions?					
7.4	Are all issues with an IT component identified with a "Y" in the "IT COMPONENT?" field? If the issue contains an IT component, has that component been identified and documented?					
7.5	Does the issue narrative explain any variances from the Standard Expense and Human Resource Services Assessments package? Is the nonrecurring portion in the nonrecurring column? (See pages E-4 and E-5 of the LBR Instructions.)		Y	Y		
7.6	Does the salary rate request amount accurately reflect any new requests and are the amounts proportionate to the Salaries and Benefits request? Note: Salary rate should always be annualized.		Y	Y		
7.7	Does the issue narrative thoroughly explain/justify all Salaries and Benefits amounts entered into the Other Salary Amounts transactions (OAD/C)? Amounts entered into OAD are reflected in the Position Detail of Salaries and Benefits section of the Exhibit D-3A.					
7.8	Does the issue narrative include the Consensus Estimating Conference forecast, where appropriate?					
7.9	Does the issue narrative reference the specific county(ies) where applicable?					

Action	Program or Service (Budget Entity Codes)				
	65100200	65100400	65100600	65101000	Dept.
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?					
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)					
7.12 Does the issue narrative include plans to satisfy additional space requirements when requesting additional positions?					

Action		Program or Service (Budget Entity Codes)				
		65100200	65100400	65100600	65101000	Dept.
7.13	Has the agency included a 160XXX0 issue and 210XXXX and 260XXX0 issues as required for lump sum distributions?					
7.14	Do the amounts reflect appropriate FSI assignments?	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.)					
7.16	Do the issues relating to <i>Information Technology (IT)</i> have a "C" in the sixth position of the issue code (36XXXXCX) and are the correct issue codes used (361XXC0, 362XXC0, 363XXC0, 17C01C0, 17C02C0, 17C03C0, 24010C0, 33001C0 or 55C01C0)?					
7.17	Are the issues relating to <i>major audit findings and recommendations</i> properly coded (4A0XXX0, 4B0XXX0)?					
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)					
7.20	Does the General Revenue for 180XXXX issues net to zero? (GENR, LBR2)					
7.21	Does the General Revenue for 200XXXX issues net to zero? (GENR, LBR3)					
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))					
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.					

	Program or Service (Budget Entity Codes)				
Action	65100200	65100400	65100600	65101000	Dept.
<p>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).</p>					
<p>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.</p>					

Action	Program or Service (Budget Entity Codes)				
	65100200	65100400	65100600	65101000	Dept.

8. SCHEDULE I & RELATED DOCUMENTS (SC1R, SC1 - Budget Entity Level or SC1R, SC1D - Department Level)						
8.1	Has a separate department level Schedule I and supporting documents package been submitted by the agency?					Y
8.2	Has a Schedule I been completed in LAS/PBS for each operating trust fund?					Y
8.3	Have the appropriate Schedule I supporting documents been included for the trust funds (Schedule IA, Schedule IB, Schedule IC, and Reconciliation to Trial Balance)?					Y
8.4	Have the Examination of Regulatory Fees Part I and Part II forms been included for the applicable regulatory programs?					N/J
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/J
8.8	If the agency is scheduled for the annual trust fund review this year, have the necessary trust funds been requested for creation pursuant to <i>section 215.32(2)(b), Florida Statutes</i> - including the Schedule ID and applicable legislation?					N/J
8.9	Are the revenue codes correct? In the case of federal revenues, has the agency appropriately identified direct versus indirect receipts (object codes 000700, 000750, 000799, 001510 and 001599)?					Y
8.10	Are the statutory authority references correct?					Y
8.11	Are the General Revenue Service Charge percentage rates used for each revenue source correct? (Refer to Chapter 2009-78, Laws of Florida, for appropriate general revenue service charge percentage rates.)					Y
8.12	Is this an accurate representation of revenues based on the most recent Consensus Estimating Conference forecasts?					Y
8.13	If there is no Consensus Estimating Conference forecast available, do the revenue estimates appear to be reasonable?					Y
8.14	Are the federal funds revenues reported in Section I broken out by individual grant? Are the correct CFDA codes used?					Y
8.15	Are anticipated grants included and based on the state fiscal year (rather than federal fiscal year)?					Y
8.16	Are the Schedule I revenues consistent with the FSI's reported in the Exhibit D-3A?					Y
8.17	If applicable, are nonrecurring revenues entered into Column A04?					Y

Action		Program or Service (Budget Entity Codes)				
		65100200	65100400	65100600	65101000	Dept.
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?					
8.22	Do transfers balance between funds (within the agency as well as between agencies)? (See also 8.6 for required transfer confirmation of amounts totaling \$100,000 or more.)					Y
8.23	Are nonoperating expenditures recorded in Section II and adjustments recorded in Section III?					Y
8.24	Are prior year September operating reversions appropriately shown in column A01?					Y
8.25	Are current year September operating reversions appropriately shown in column A02?					Y
8.26	Does the Schedule IC properly reflect the unreserved fund balance for each trust fund as defined by the LBR Instructions, and is it reconciled to the agency accounting records?					Y
8.27	Does Column A01 of the Schedule I accurately represent the actual prior year accounting data as reflected in the agency accounting records, and is it provided in sufficient detail for analysis?					Y
8.28	Does Line I of Column A01 (Schedule I) equal Line K of the Schedule IC?					Y
AUDITS:						
8.29	Is Line I a positive number? (If not, the agency must adjust the budget request to eliminate the deficit).					Y
8.30	Is the June 30 Adjusted Unreserved Fund Balance (Line I) equal to the July 1 Unreserved Fund Balance (Line A) of the following year? (SC1R, SC1A - Report should print "No Discrepancies Exist For This Report")					Y
8.31	Has a Department Level Reconciliation been provided for each trust fund and does Line A of the Schedule I equal the CFO amount? If not, the agency must correct Line A. (SC1R, DEPT)					Y
TIP	The Schedule I is the most reliable source of data concerning the trust funds. It is very important that this schedule is as accurate as possible!					
TIP	Determine if the agency is scheduled for trust fund review. (See page 125 of the LBR Instructions.)					

		Program or Service (Budget Entity Codes)				
Action		65100200	65100400	65100600	65101000	Dept.
TIP	Review the unreserved fund balances and compare revenue totals to expenditure totals to determine and understand the trust fund status.					
TIP	Typically nonoperating expenditures and revenues should not be a negative number. Any negative numbers must be fully justified.					
9. SCHEDULE II (PSCR, SC2)						
AUDIT:						
9.1	Is the pay grade minimum for salary rate utilized for positions in segments 2 and 3? (BRAR, BRAA - Report should print "No Records Selected For This Request") Note: Amounts other than the pay grade minimum should be fully justified in the D-3A issue narrative. (See <i>Base Rate Audit</i> on page 157 of the LBR Instructions.)		N/J	N/J		
10. SCHEDULE III (PSCR, SC3)						
10.1	Is the appropriate lapse amount applied in Segment 3? (See page 87 of the LBR Instructions.)					

Action	Program or Service (Budget Entity Codes)				
	65100200	65100400	65100600	65101000	Dept.
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.					
11. SCHEDULE IV (EADR, SC4)					
11.1 Are the correct Information Technology (IT) issue codes used?					
TIP If IT issues are not coded correctly (with "C" in 6th position), they will not appear in the Schedule IV.					
12. SCHEDULE VIIIA (EADR, SC8A)					
12.1 Is there only one #1 priority, one #2 priority, one #3 priority, etc. reported on the Schedule VIII-A? Are the priority narrative explanations adequate?					Y
13. SCHEDULE VIIIB-1 (EADR, S8B1)					
13.1 Do the reductions comply with the instructions provided on pages 98 through 101 of the LBR Instructions regarding a 5% reduction in recurring and nonrecurring General Revenue and Trust Funds?					Y
14. SCHEDULE VIIIB-2 (EADR, S8B2)					
14.1 Do the reductions comply with the instructions provided on pages 102 through 104 of the LBR Instructions regarding a 15% reduction in recurring General Revenue and Trust Funds?					Y
15. SCHEDULE XI (LAS/PBS Web - see page 108 of the LBR Instructions for detailed instructions)					
15.1 Has the Schedule XI one page summary Excel file been e-mailed to OPB at OPB.UnitCostSummary@laspbs.state.fl.us? Agencies are required to generate this spreadsheet via the LAS/PBS Web. (Note: Pursuant to <i>section 216.023(4)(b), Florida Statutes</i> , the Legislature can reduce the funding level for any agency that does not provide this information.)					Y
15.2 Do the PDF files uploaded to the Florida Fiscal Portal for the LRPP and LBR match the Excel file e-mailed to OPB?					Y
AUDITS INCLUDED IN THE SCHEDULE XI REPORT:					
15.3 Does the FY 2009-10 Actual (prior year) Expenditures in Column A36 reconcile to Column A01? (GENR, ACT1)	Y	Y	Y	Y	
15.4 None of the executive direction, administrative support and information technology statewide activities (ACT0010 thru ACT0490) have output standards (Record Type 5)? (Audit #1 should print "No Activities Found")			Y		
15.5 Does the Fixed Capital Outlay (FCO) statewide activity (ACT0210) only contain 08XXXX or 14XXXX appropriation categories? (Audit #2 should print "No Operating Categories Found")		Y			

Action	Program or Service (Budget Entity Codes)				
	65100200	65100400	65100600	65101000	Dept.
15.6 Has the agency provided the necessary demand (Record Type 5) for all activities which <u>should</u> appear in Section II? (Note: Audit #3 will identify those activities that do NOT have a Record Type '5' and have not been identified as a 'Pass Through' activity. These activities will be displayed in Section III with the 'Payment of Pensions, Benefits and Claims' activity and 'Other' activities. Verify if these activities should be displayed in Section III. If not, an output standard would need to be added for that activity and the Schedule XI submitted again.)	Y	Y		Y	
15.7 Does Section I (Final Budget for Agency) and Section III (Total Budget for Agency) equal? (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.					

Action	Program or Service (Budget Entity Codes)				
	65100200	65100400	65100600	65101000	Dept.

16. MANUALLY PREPARED EXHIBITS & SCHEDULES						
16.1	Do exhibits and schedules comply with LBR Instructions (pages 110 through 154 of the LBR Instructions), and are they accurate and complete?					Y
16.2	Are appropriation category totals comparable to Exhibit B, where applicable?	Y	Y	Y	Y	
16.3	Are agency organization charts (Schedule X) provided and at the appropriate level of detail?	Y	Y	Y	Y	

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

17. CAPITAL IMPROVEMENTS PROGRAM (CIP)						
17.1	Are the CIP-2, CIP-3, CIP-A and CIP-B forms included?					Y
17.2	Are the CIP-4 and CIP-5 forms submitted when applicable (see CIP Instructions)?					
17.3	Do all CIP forms comply with CIP Instructions where applicable (see CIP Instructions)?					Y
17.4	Does the agency request include 5 year projections (Columns A03, A06, A07, A08 and A09)?					
17.5	Are the appropriate counties identified in the narrative?					
17.6	Has the CIP-2 form (Exhibit B) been modified to include the agency priority for each project and the modified form saved as a PDF document?					
TIP	Requests for Fixed Capital Outlay appropriations which are Grants and Aids to Local Governments and Non-Profit Organizations must use the Grants and Aids to Local Governments and Non-Profit Organizations - Fixed Capital Outlay major appropriation category (140XXX) and include the sub-title "Grants and Aids". These appropriations utilize a CIP-B form as justification.					

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