



**State of Florida**  
**Department of Children and Families**

**Rick Scott**  
*Governor*

**David E. Wilkins**  
*Secretary*

---

LEGISLATIVE BUDGET REQUEST

Department of Children and Families  
Tallahassee, FL

September 12, 2011

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

JoAnne Leznoff, Staff Director  
House Appropriations Committee  
221 Capitol  
Tallahassee, FL 32399-1300

Craig Meyer, Staff Director  
Senate Budget Committee  
201 Capitol  
Tallahassee, FL 32399-1300

Dear Directors:

Pursuant to Chapter 216, Florida Statutes, our Legislative Budget Request for the Department of Children and Families 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 2012-13 Fiscal Year. This submission has been approved by Mr. Nevin G. Smith, our Chief Financial Officer.

If I may be of further assistance, please let me know.

Sincerely,

A handwritten signature in black ink that reads "David E. Wilkins". The signature is written in a cursive, flowing style.

David E. Wilkins  
Secretary

1317 Winewood Boulevard, Tallahassee, Florida 32399-0700

---

Mission: Protect the Vulnerable, Promote Strong and Economically Self-Sufficient Families, and Advance Personal and Family Recovery and Resiliency



# Department Level Exhibits & Schedules

Non-Strategic IT Service: <b>Network Service</b>				
Dept/Agency: <b>Department of Children and Families</b> Prepared by: <b>Parker Cape</b> Phone: <b>850-414-0008</b>		# of Assets & Resources Apportioned to this IT Service in FY 2012-13		
Service Provisioning -- Assets & Resources (Cost Elements)				Estimated FY 2012-13 Allocation of Recurring Base Budget (based on Column G64 minus G65)
	Footnote Number	Number used for this service	Number w/ costs in FY 2012-13	
<b>A. Personnel</b>				<b>\$555,147</b>
A-1.1	State FTE	8.50		\$545,148
A-2.1	OPS FTE	0.25		\$9,999
A-3.1	Contractor Positions (Staff Augmentation)	0.00		\$0
<b>B. Hardware</b>				<b>\$1,781,086</b>
B-1	Servers	192.07	0	\$0
B-2	Server Maintenance & Support	192.07	187.07	\$41,302
B-3	Network Devices & Hardware (e.g., routers, switches, hubs, cabling, etc.)	3172	1042	\$796,605
B-4	Online Storage for file and print (indicate GB of storage)	179196		\$54,126
B-5	Archive Storage for file and print (indicate GB of storage)	122354		\$2,540
B-6	Other Hardware Assets (Please specify in Footnote Section below)	2		\$886,513
<b>C. Software</b>				<b>\$349,995</b>
<b>D. External Service Provider(s)</b>				<b>\$1,120,342</b>
D-1	MyFloridaNet			\$713,155
D-2	Other (Please specify in Footnote Section below)	3		\$407,187
<b>E. Other (Please describe in Footnotes Section below)</b>				<b>\$51,079</b>
<b>F. Total for IT Service</b>				<b>\$3,857,649</b>
<b>G. Please identify the number of users of the Network Service</b>				<b>20,000</b>
<b>H. How many locations currently host IT assets and resources used to provide LAN services?</b>				<b>134</b>
<b>I. How many locations currently use WAN services?</b>				<b>199</b>
<b>J.</b>	<b>Footnotes - Please indicate a footnote for each corresponding row above. Maximum footnote length is 1024 characters.</b>			
1	There are 77 virtual servers			
2	315 MFDs, 23 VTCs, 2 Kronos Biometric Time Clocks, a Ricoh Remote Mgt Portal, VTC maintenance			
3	Maintenance for KVA UPS, wireless service/air cards, DSL service, Comcast to test Aventaill			
4	Expenses related to personnel: phone, supplies, occupancy and related			
5	G -- Includes FTE, OPS, contractors, external service provides and other agencies			
6				
7				
8				
9				
10				
11				
12				
13				
14				
15				

Non-Strategic IT Service:		E-Mail, Messaging, and Calendaring Service			
Agency: <b>Department of Children and Families</b>		# of Assets & Resources			
Prepared by: <b>Parker Cape</b>		Apportioned to this IT Service in FY 2012-13			
Phone: <b>850-414-0008</b>					
Service Provisioning -- Assets & Resources (Cost Elements)		Footnote Number	Number used for this service	Number w/ costs in FY 2012-13	Estimated FY 2012-13 Allocation of Recurring Base Budget (based on Column G64 minus G65)
<b>A. Personnel</b>			4.00		\$227,884
A-1	State FTE		4.00		\$227,884
A-2	OPS FTE		0.00		\$0
A-3	Contractor Positions (Staff Augmentation)		0.00		\$0
<b>B. Hardware</b>					\$1,359,674
B-1	Servers		0	0	\$0
B-2	Server Maintenance & Support		0	0	\$0
B-3	Wireless Communication Devices (e.g., Blackberries, I-phones, PDAs, etc.)	2	2781	2781	\$1,359,674
B-4	Online Storage (indicate GB of storage)		0		\$0
B-5	Archive Storage (indicate GB of storage)		0		\$0
B-6	Other Hardware Assets (Please specify in Footnote Section below)				\$0
<b>C. Software</b>					\$0
<b>D. External Service Provider(s)</b>					\$984,455
D-1	Southwood Shared Resource Center				\$984,455
D-2	Northwood Shared Resource Center				\$0
D-3	Northwest Regional Data Center				\$0
D-4	Other Data Center External Service Provider (specify in Footnotes below)				\$0
<b>E. Other (Please describe in Footnotes Section below)</b>		1			\$25,221
<b>F. Total for IT Service</b>					\$2,597,234
<b>G. Please provide the number of user mailboxes.</b>					12,395
<b>H. Please provide the number of resource mailboxes.</b>					675
<b>I. Footnotes - Please indicate a footnote for each corresponding row above. Maximum footnote length is 1024 characters.</b>					
1	Expenses related to personnel: phone, supplies, occupancy and related				
2	Includes cost of service providers AT&T, Verizon, Sprint.				
3					
4					
5					
6					
7					
8					
9					

Non-Strategic IT Service: <b>Desktop Computing Service</b>							
Agency: <b>Department of Children and Families</b> Prepared by: <b>Parker Cape</b> Phone: <b>850-414-0008</b>			# of Assets & Resources Apportioned to this IT Service in FY 2012-13				
Service Provisioning -- Assets & Resources (Cost Elements)				Footnote Number	Number used for this service	Number w/ costs in FY 2012-13	Estimated FY 2012-13 Allocation of Recurring Base Budget (based on Column G64 minus G65)
<b>A. Personnel</b>					25.50		\$1,512,435
A-1	State FTE				25.50		\$1,512,435
A-2	OPS FTE				0.00		\$0
A-3	Contractor Positions (Staff Augmentation)				0.00		\$0
<b>B. Hardware</b>					17916.5	1.75	\$364
B-1	Servers			1	1.75	0	\$0
B-2	Server Maintenance & Support				1.75	1.75	\$364
B-3.1	Desktop Computers			3	10686	0	\$0
B-3.2	Mobile Computers (e.g., Laptop, Notebook, Handheld, Wireless Computer)			3	6759	0	\$0
B-3.3	Other Hardware Assets (Please specify in Footnote Section below)			4	468	0	\$0
<b>C. Software</b>							\$63,973
<b>D. External Service Provider(s)</b>					0	0	\$0
<b>E. Other (Please describe in Footnotes Section below)</b>				2			\$175,685
<b>F. Total for IT Service</b>							<b>\$1,752,457</b>
<b>G. Please identify the number of users of this service.</b>							<b>15,000</b>
<b>H. How many locations currently use this service?</b>							<b>225</b>
<b>I. Footnotes - Please indicate a footnote for each corresponding row above. Maximum footnote length is 1024 characters.</b>							
1	There are no virtual servers						
2	Expenses related to personnel: phone, supplies, occupancy and related						
3	The department has no formal statewide refresh policy						
4	Scanners						
5							
6							
7							
8							
9							
10							
11							
12							
13							
14							
15							

Non-Strategic IT Service:		Helpdesk Service			
Agency: <b>Department of Children and Families</b>		# of Assets & Resources Apportioned to this IT Service in FY 2012-13			
Prepared by: <b>Parker Cape</b>					
Phone: <b>850-414-0008</b>					
Service Provisioning -- Assets & Resources (Cost Elements)		Footnote Number	Number used for this service	Number w/ costs in FY 2012-13	Estimated FY 2012-13 Allocation of Recurring Base Budget (based on Column G64 minus G65)
<b>A. Personnel</b>					<b>\$1,329,339</b>
A-1	State FTE		25.00		\$1,329,339
A-2	OPS FTE		0.00		\$0
A-3	Contractor Positions (Staff Augmentation)		0.00		\$0
<b>B. Hardware</b>					<b>\$104</b>
B-1	Servers	1	0.5	0	\$0
B-2	Server Maintenance & Support		0.5	0.5	\$104
B-3	Other Hardware Assets (Please specify in Footnote Section below)		0	0	\$0
<b>C. Software</b>					<b>\$47,935</b>
<b>D. External Service Provider(s)</b>					<b>\$36,812</b>
<b>E. Other (Please describe in Footnotes Section below)</b>					<b>\$158,083</b>
<b>F. Total for IT Service</b>					<b>\$1,572,273</b>
<b>G. Please identify the number of users of this service.</b>					<b>219,031</b>
<b>H. How many locations currently host IT assets and resources used to provide this service?</b>					<b>4</b>
<b>I. What is the average monthly volume of calls/cases/tickets?</b>					<b>18,553</b>
<b>J. Footnotes - Please indicate a footnote for each corresponding row above. Maximum footnote length is 1024 characters.</b>					
1	There are no virtual servers				
2	Expenses related to personnel: phone, supplies, occupancy and related				
3	G -- Total number of calls (i.e., tickets) received in FY 10-11. A user may have multiple tickets; additionally there a number of potential users that will not use Helpdesk services				
4	I -- Of these, 8,560 are for assistance with strategic applications				
5					
6	NOTE: There is a calculation error on the BE-Non-Strategic worksheet cost per call. The formula divides the total year-to-date cost by the number of monthly calls. The agency cost per Helpdesk ticket is \$7.18.				
7					
8					
9					
10					
11					
12					
13					
14					
15					

Non-Strategic IT Service: <b>IT Security/Risk Mitigation Service</b>				
Agency: <b>Department of Children and Families</b> Prepared by: <b>Parker Cape</b> Phone: <b>850-414-0008</b>			# of Assets & Resources Apportioned to this IT Service in FY 2012-13	
Service Provisioning -- Assets & Resources (Cost Elements)	Footnote Number	Number used for this service	Number w/ costs in FY 2012-13	Estimated FY 2012-13 Allocation of Recurring Base Budget (based on Column G64 minus G65)
<b>A. Personnel</b>		8.50		\$579,770
A-1 State FTE		8.50		\$575,771
A-2 OPS FTE	3	0.00		\$3,999
A-3 Contractor Positions (Staff Augmentation)		0.00		\$0
<b>B. Hardware</b>		11	5.5	\$1,208
B-1 Servers	1	5.5	0	\$0
B-2 Server Maintenance & Support		5.5	5.5	\$1,208
B-3 Other Hardware Assets (Please specify in Footnote Section below)		0	0	\$0
<b>C. Software</b>				\$224,547
<b>D. External Service Provider(s)</b>		1	1	\$1,020
<b>E. Other (Please describe in Footnotes Section below)</b>	2			\$56,167
<b>F. Total for IT Service</b>				<b>\$862,712</b>
<b>G. Footnotes – Please indicate a footnote for each corresponding row above. Maximum footnote length is 1024 characters.</b>				
1	There are no virtual servers			
2	Expenses related to personnel: phone, supplies, occupancy and related			
3	Less than .25 FTE			
4				
5				
6				
7				
8				
9				
10				
11				
12				
13				
14				
15				

Non-Strategic IT Service:		Agency Financial and Administrative Systems Support Service			
Agency: <b>Department of Children and Families</b>		# of Assets & Resources Apportioned to this IT Service in FY 2012-13			
Prepared by: <b>Parker Cape</b>					
Phone: <b>850-414-0008</b>					
Service Provisioning -- Assets & Resources (Cost Elements)		Footnote Number	Number used for this service	Number w/ costs in FY 2012-13	Estimated FY 2012-13 Allocation of Recurring Base Budget (based on Column G64 minus G65)
<b>A. Personnel</b>			15.00		\$1,420,133
A-1	State FTE		11.75		\$915,626
A-2	OPS FTE		0.50		\$28,372
A-3	Contractor Positions (Staff Augmentation)		2.75		\$476,135
<b>B. Hardware</b>			24.3	9.15	\$2,467
B-1	Servers	1	10.15	0	\$0
B-2	Server Maintenance & Support		10.15	9.15	\$2,467
B-3	Other Hardware Assets (Please specify in Footnote Section below)	2	4	0	\$0
<b>C. Software</b>					\$125,424
<b>D. External Service Provider(s)</b>			0	0	\$0
<b>E. Other (Please describe in Footnotes Section below)</b>		3			\$98,591
<b>F. Total for IT Service</b>					<b>\$1,646,615</b>
<b>G. Please identify the number of users of this service.</b>					<b>24,714</b>
<b>H. How many locations currently host agency financial/administrative systems?</b>					<b>5</b>
<b>I. Footnotes - Please indicate a footnote for each corresponding row above. Maximum footnote length is 1024 characters.</b>					
1	There are no virtual servers				
2	3 DVRs and Agilent Wirescope 350				
3	Expenses related to personnel: phone, supplies, occupancy and related				
4	G -- Count of user IDs of the several systems; may have some duplicated counts of specific users				
5					
6					
7					
8					
9					
10					
11					
12					
13					
14					
15					



Non-Strategic IT Service: <b>IT Administration and Management Service</b>						
Agency: <b>Department of Children and Families</b> Prepared by: <b>Parker Cape</b> Phone: <b>850-414-0008</b>			# of Assets & Resources Apportioned to this IT Service in FY 2012- 13 <span style="float: right;">C</span>			
Service Provisioning -- Assets & Resources (Cost Elements)			Footnote Number	Number used for this service	Number w/ costs in FY 2012-13	Estimated FY 2012-13 Allocation of Recurring Base Budget (based on Column G64 minus G65)
<b>A. Personnel</b>				36.75		\$3,036,686
A-1	State FTE			36.75		\$3,026,780
A-2	OPS FTE		3	0.00		\$1,771
A-3	Contractor Positions (Staff Augmentation)		3	0.00		\$8,135
<b>B. Hardware</b>				14.5	7.25	\$1,872
B-1	Servers		1	7.25	0	\$0
B-2	Server Maintenance & Support			7.25	7.25	\$1,872
B-3	Other Hardware Assets (Please specify in Footnote Section below)			0	0	\$0
<b>C. Software</b>						\$0
<b>D. External Service Provider(s)</b>				0	0	\$0
<b>E. Other (Please describe in Footnotes Section below)</b>			2			\$240,140
<b>F. Total for IT Service</b>						<b>\$3,278,698</b>
<b>G. How many locations currently host assets and resources used to provide this service?</b>						<b>2</b>
<b>G. Footnotes - Please indicate a footnote for each corresponding row above. Maximum footnote length is 1024 characters.</b>						
1	There are no virtual servers					
2	Expenses related to personnel: phone, supplies, occupancy and related					
3	Less than .25 FTE					
4						
5						
6						
7						
8						
9						
10						
11						
12						
13						
14						
15						

Non-Strategic IT Service: <b>Web/Portal Service</b>					
Dept/Agency: <b>Department of Children and Families</b> Prepared by: <b>Parker Cape</b> Phone: <b>850-414-0008</b>		# of Assets & Resources Apportioned to this IT Service in FY 2012-13			
Service Provisioning -- Assets & Resources <i>(Cost Elements)</i>		Footnote Number	Number used for this service	Number w/ costs in FY 2012-13	Estimated FY 2012-13 Allocation of Recurring Base Budget (based on Column G64 minus G65)
<b>A. Personnel</b>			1.75		\$115,795
A-1.1	State FTE		1.75		\$115,795
A-2.1	OPS FTE		0.00		\$0
A-3.1	Contractor Positions (Staff Augmentation)		0.00		\$0
<b>B. Hardware</b>					\$728
B-1	Servers	1	3	0	\$0
B-2	Server Maintenance & Support		3	3	\$728
B-3	Other Hardware Assets <i>(Please specify in Footnotes Section below)</i>		0	0	\$0
<b>C. Software</b>					\$0
<b>D. External Service Provider(s)</b>			0	0	\$0
<b>E. Other <i>(Please describe in Footnotes Section below)</i></b>		2			\$11,857
<b>F. Total for IT Service</b>					<b>\$128,380</b>
<b>G. Please identify the number of Internet users of this service.</b>					<b>11,055,487</b>
<b>H. Please identify the number of intranet users of this service.</b>					<b>167,468</b>
<b>I. How many locations currently host IT assets and resources used to provide this service?</b>					<b>2</b>
<b>J.</b>	<b>Footnotes - Please indicate a footnote for each corresponding row above. Maximum footnote length is 1024 characters.</b>				
1	There are 3 virtual servers				
2	Expenses related to personnel: phone, supplies, occupancy and related				
3	G -- Represents unique visitors, however there were 29,804,476 visits and 111,981,840 page views				
4	H -- Represents unique visitors, however there were 2,986,781 visits and 4,315,135 page views				
5					
6					
7					
8					
9					
10					
11					
12					
13					
14					
15					

Non-Strategic IT Service:		Data Center Service		
Dept/Agency: <b>Department of Children and Families</b>		# of Assets & Resources Apportioned to this IT Service in FY 2012-13		
Prepared by: <b>Parker Cape</b>				
Phone: <b>850-414-0008</b>				
Service Provisioning -- Assets & Resources (Cost Elements)	Footnote Number	Number used for this service	Number w/ costs in FY 2012-13	Estimated FY 2012-13 Allocation of Recurring Base Budget (based on Column G64 minus G65)
<b>A. Personnel</b> (performing data center functions defined in w. 282.201(2)(d)1.e., F.S.)		0.50		\$41,295
A-1.1 State FTE		0.50		\$41,295
A-2.1 OPS FTE		0.00		\$0
A-3.1 Contractor Positions (Staff Augmentation)		0.00		\$0
<b>B. Hardware</b>				\$3,000
B-1 Non-Mainframe Servers (including single-function logical servers not assigned to another service)		0	0	\$0
B-2 Servers - Mainframe		0	0	\$0
B-3 Server Maintenance & Support		0	0	\$0
B-4 Online or Archival Storage Systems (indicate GB of storage)		0		\$0
B-5 Data Center/ Computing Facility Internal Network				\$0
B-6 Other Hardware (Please specify in Footnotes Section below)	1			\$3,000
<b>C. Software</b>				\$0
<b>D. External Service Provider(s)</b>				\$18,452,571
D-1 Southwood Shared Resource Center (indicate # of Board votes)	4	0		\$123,448
D-2 Northwood Shared Resource Center (indicate # of Board votes)	4	4		\$18,277,407
D-3 Northwest Regional Data Center (indicate # of Board votes)	5	0		\$50,116
D-4 Other Data Center External Service Provider (specify in Footnotes below)	3			\$1,600
<b>E. Plant &amp; Facility</b>				\$235,970
E-1 Data Center/Computing Facilities Rent & Insurance				\$204,561
E-2 Utilities (e.g., electricity and water)				\$6,524
E-3 Environmentals (e.g., HVAC, fire control, and physical security)				\$24,885
E-4 Other (please specify in Footnotes Section below)				\$0
<b>F. Other</b> (Please describe in Footnotes Section below)	2			\$3,605
<b>G. Total for IT Service</b>				<b>\$18,736,441</b>
<b>H. Please provide the number of agency data centers.</b>				<b>2</b>
<b>I. Please provide the number of agency computing facilities.</b>				<b>35</b>
<b>J. Please provide the number of single-server installations.</b>				<b>71</b>
<b>H. Footnotes</b> - Please indicate a footnote for each corresponding row above. Maximum footnote length is 1024 characters.				
1	Workstation and switch			
2	Expenses related to personnel: phone, supplies, occupancy and related			
3	Maintenance on Liebert cooling units			
4	Includes costs for both strategic and non-strategic applications			
5	Includes costs for strategic application only			
6				
7				
8				
9				

Agency: Department of Children and Families

E-Mail, Messaging, and Calendaring Service	Network Service	Desktop Computing Service	Helpdesk Service	IT Security/Risk Mitigation Service	Agency Financial and Administrative Systems Support Service	IT Administration and Management Service	Web/Portal Service	Data Center Service
--	-----------------	---------------------------	------------------	-------------------------------------	---	--	--------------------	---------------------

Budget Entity Name	BE Code	Program Component Code	Program Component Name	Identified Funding as % of Total Cost of Service		E-Mail, Messaging, and Calendaring Service		Network Service		Desktop Computing Service		Helpdesk Service		IT Security/Risk Mitigation Service		Agency Financial and Administrative Systems Support Service		IT Administration and Management Service		Web/Portal Service		Data Center Service		
				Costs within BE	Funding Identified for IT Service	100.0000%	100.0000%	100.0000%	100.0000%	100.0000%	100.0000%	100.0000%	100.0000%	100.0000%	100.0000%	100.0000%	100.0000%	100.0000%	100.0000%	100.0000%	100.0000%	100.0000%	100.0000%	100.0000%
1 Executive Dir/support Svcs	60900101	1602000000	Exec Leadership/supprt Svc	\$19,326,929	\$1,049,454	\$2,597,234	\$3,857,649	\$1,752,457	\$1,572,273	\$86,2712	\$1,646,615	\$3,278,698	\$128,380	\$18,736,441										
2 Executive Dir/support Svcs	60900101	1602600100	Executive Leadership	\$100																				
3 Executive Dir/support Svcs	60900101	1602600200	Asst/secretary/admin	\$315				\$236																
4 Executive Dir/support Svcs	60900101	1602600300	District Administration	\$6,639,640		\$235,773	\$624,363	\$1,431,456	\$221,361	\$387,601	\$40,139	\$544,026	\$119,447	\$31,975										
5 Information Technology	60900202	1603000000	Information Technology	\$176		\$48,604	\$574,034	\$57,634	\$1,266,227	\$402,300	\$1,478,409	\$2,662,544	\$208	\$49,680										
6 Child Prot/permanency	60910304	1304070000	Child Protection	\$176				\$144																
7 Family Safety/preservation	60910310	1204000000	Regulation And Licensing	\$77,208		\$77,208																		
8 Family Safety/preservation	60910310	1204030000	Child Care Regulation	\$77,115		\$23,832	\$51,009																	
9 Family Safety/preservation	60910310	1304030000	Homeless Assistance	\$264				\$240																
10 Family Safety/preservation	60910310	1304060000	Adult Protection	\$337,328		\$103,014	\$165,332	\$43,521	\$6,217	\$6,217														
11 Family Safety/preservation	60910310	1304070000	Child Protection	\$1,657,077		\$593,236	\$936,857	\$34,696	\$5,783	\$11,565														
12 Family Safety/preservation	60910310	1602000000	Exec Leadership/supprt Svc	\$272,881		\$26,707	\$16,986	\$55,929	\$3,290															
13 Mental Health Services	60910506	1301020000	Civil Commitment Program	\$406,219		\$5,647	\$143,978	\$29,948	\$50,105	\$28,822	\$89,328	\$49,229	\$4,855	\$4,307										
14 Mental Health Services	60910506	1301030000	Forensic Commitment Prog	\$188,119		\$8,773	\$63,945	\$34,038	\$11,767															
15 Mental Health Services	60910506	1301080000	Adult/comm/mental/health	\$17																				
16 Mental Health Services	60910506	1301090000	Child/comm/mental/health	\$17																				
17 Mental Health Services	60910506	1602000000	Exec Leadership/supprt Svc	\$45,902		\$16,968		\$27,211																
18 Substance Abuse Services	60910604	1201020000	Children Substance Abuse	\$2,417				\$2,400																
19 Substance Abuse Services	60910604	1201030000	Adult Substance Abuse	\$17																				
20 Substance Abuse Services	60910604	1602000000	Exec Leadership/supprt Svc	\$10,366				\$9,495																
21 Economic Self Sufficiency Se	60910708	1304000000	Services/most Vulnerable	\$267				\$189																
22 Economic Self Sufficiency Se	60910708	1304010000	Comprehensive/elligib/svcs	\$1,774,400		\$396,839	\$1,203,960	\$58,612	\$6,997	\$3,085														
23 Economic Self Sufficiency Se	60910708	1602000000	Exec Leadership/supprt Svc	\$79,544		\$11,179	\$37,202	\$6,623	\$3,816	\$13,247		\$6,623		\$854										
24				\$0																				
25				\$0																				
26				\$0																				
27				\$0																				
28				\$0																				
29				\$0																				
30				\$0																				

Sum of IT Cost Elements Across IT Services				4.00	8.50	25.50	25.00	8.50	11.75	36.75	1.75	0.50	
IT Cost Element Data as entered on IT Service Worksheets	Personnel	State FTE (#)	1222.25	\$8,290,073	\$227,884	\$545,148	\$1,512,435	\$1,329,339	\$575,771	\$915,626	\$3,026,780	\$115,795	\$41,295
	Personnel	State FTE (Costs)	0.75	\$44,141	\$0	\$0.25	\$0	\$0	\$0	\$0.50	\$0	\$0	\$0
	Personnel	OPS FTE (#)	2.75	\$484,270	\$0	\$0	\$0	\$0	\$0	\$3,999	\$28,372	\$1,771	\$0
	Personnel	OPS FTE (Costs)		\$3,150,503	\$1,359,674	\$1,781,086	\$364	\$104	\$1,208	\$2,467	\$1,872	\$728	\$3,000
	Hardware	Vendor/Staff Augmentation (# Positions)		\$811,874	\$0	\$349,995	\$63,973	\$47,935	\$224,547	\$125,424	\$0	\$0	\$0
	Hardware	Vendor/Staff Augmentation (Costs)		\$20,595,200	\$984,455	\$1,120,342	\$0	\$36,812	\$1,020	\$0	\$0	\$0	\$18,452,571
	Plant & Facility (Data Center Only)			\$235,970									\$235,970
	Other			\$820,428	\$25,221	\$51,079	\$175,685	\$158,083	\$56,167	\$98,591	\$240,140	\$11,857	\$3,605
		Budget Total		\$34,432,460	\$2,597,234	\$3,857,649	\$1,752,457	\$1,572,273	\$86,2712	\$1,646,615	\$3,278,698	\$128,380	\$18,736,441
		FTE Total		125.75	4.00	8.75	25.50	25.00	8.50	15.00	36.75	1.75	0.50
		Users		13,070	20,000	15,000	219,031	24,714	11,222,955	\$0.01			
		Cost Per User		198.712215	\$192.88	\$116.83	\$7.18	\$66.63					

Help Desk Tickets: 18,553  
Cost/Ticket: \$85

## 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.

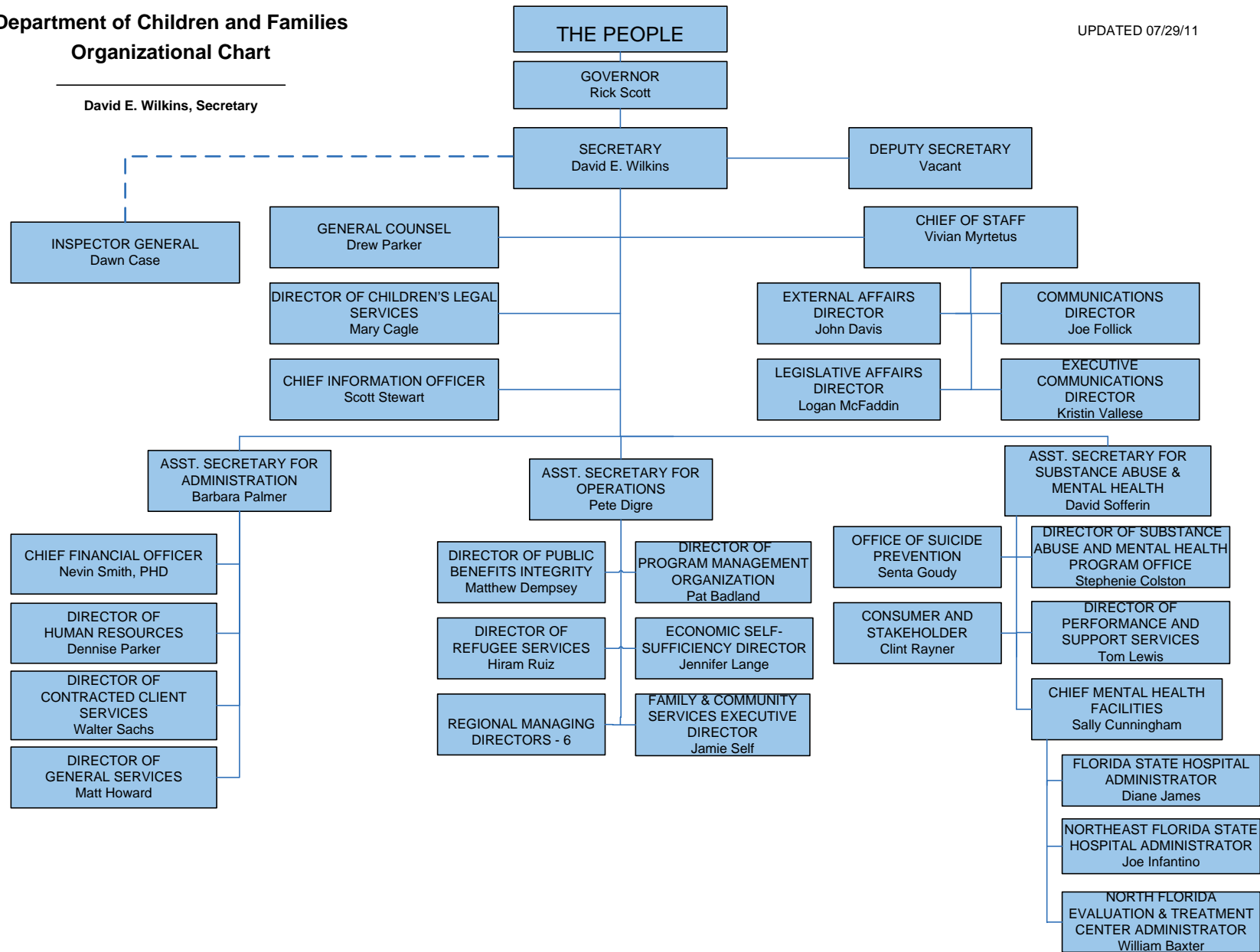
Agency:	Department of Children and Family Services		
Contact Person:	John Slye, Dep. Gen’l Cnsl.	Phone Number:	(850) 413-6173
Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	<p><i>FPS v. Dudek</i>,            There are two organizational plaintiffs in the case, the Florida Pediatric Society/The Florida Chapter of the American Academy of Pediatrics, and the Florida Academy of Pediatric Dentistry, and nine individual plaintiffs.            The Defendants are the agency heads of DCF (which determines and re-determines Medicaid eligibility), AHCA (which is the single state agency for Medicaid), and DOH, which administers Children’s Medical Services, a program for children with special healthcare needs, including children on Medicaid with special health care needs.</p>		
Court with Jurisdiction:	U. S. District Court, Southern District of Florida		
Case Number:	05-23037-CIV-JORDAN, OAG Case No. L05-4-5118		
Summary of the Complaint:	<p>In 2005, Plaintiffs filed a four-count class action complaint, pursuant to 42 U.S.C. s. 1983, of which two counts remain viable against DCF. The first count alleges that Medicaid covered services are not provided to children with reasonable promptness, and alleges violations of 42 U.S.C. 1396a(a)(8) and (10). The second count alleges that the Florida Medicaid program does not provide adequate outreach to both the uninsured and to Florida Medicaid enrolled children to ensure that all eligible children get the services that are available through the program that they need, in violation of 42 U.S.C. s. 1396a(43)(A).</p>		
Amount of the Claim:	The complaint is one for injunctive relief. No specific dollar amount of damages is named.		
Specific Statutes or Laws (including GAA) Challenged:	42 U.S.C. s. 1983 42U.S.C.1396(a)(8) and (10) 42U.S.C. 1396(43)(A)		
Status of the Case:	<p>There have been 42 trial days since December 7, 2009. Plaintiffs closed their case in chief in February 2011. Defendants started their case on April 4, 2011, and have presented five witnesses. One of the five is almost through with direct examination, and will be subject to cross-examination. There are approximately 2 dozen more witnesses to go in the defendants’ case. It is difficult to project a specific end point for your case, as the Court tries the case in segments, as time becomes available. The Court indicated in the last two trial sessions that it intends to set aside a longer period of time, as much as four weeks, to try to finish the trial in this case.</p>		
Who is representing (of		Agency Counsel	

record) the state in this lawsuit? Check all that apply.	X	Office of the Attorney General or Division of Risk Management
	X	Outside Contract Counsel
If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).	Boies, Schiller & Flexner LLP, Ft. Lauderdale, Fla. Public Interest Law Center of Philadelphia Bullock, Bullock & Blakemore, Tulsa, Oklahoma	

*Office of Policy and Budget – July 2011*

**Department of Children and Families  
Organizational Chart**

UPDATED 07/29/11



CHILDREN AND FAMILY SERVICES, DEPARTMENT OF		FISCAL YEAR 2010-11		
		OPERATING		FIXED CAPITAL OUTLAY
SECTION I: BUDGET				
TOTAL ALL FUNDS GENERAL APPROPRIATIONS ACT				0
ADJUSTMENTS TO GENERAL APPROPRIATIONS ACT (Supplementals, Vetoes, Budget Amendments, etc.)				0
FINAL BUDGET FOR AGENCY				0
SECTION II: ACTIVITIES * MEASURES		Number of Units	(1) Unit Cost	(2) Expenditures (Allocated)
Executive Direction, Administrative Support and Information Technology (2)				0
Protective Investigations * Number of investigations		47,261	674.61	31,882,842
Protective Services * Number of people receiving protective services		6,223	3,475.87	21,630,350
Healthy Families * Number of families served in Healthy Families		8,861	190.05	1,684,040
Protective Investigations * Number of investigations		188,528	1,027.77	193,763,205
In-home Supports * Number of children under protective supervision (point in time)		7,883	8.64	68,100
Out-of-home Supports * Number of children with a goal of adoption who remain in out-of-home care after 24 months.		18,731	1,982.59	37,135,933
Child Welfare Legal Services * Percent of victims of verified or indicated maltreatment who were subjects of subsequent reports with verified or indicated maltreatment within 6 months		2,542	20,796.84	52,865,577
Emergency Shelter Supports * Number of individuals counseled		60,628	371.12	22,500,055
Prevention Grants * Number of grants received		63	134,509.30	8,474,086
Report Intake, Assessment And Referral * Number of calls to the Florida Abuse Hotline		529,164	40.51	21,436,011
Adoption Subsidies * Number of children receiving adoption subsidies		31,748	4,162.57	132,153,278
Adoption Services * Children receiving adoptive services		5,554	111,929.11	621,654,253
License Child Care Arrangements * Number of facilities and homes licensed		6,311	3,361.90	21,216,964
Daily Living * Number of qualified disabled adults (ages(18 - 59) in the CCDA, ADA Medicaid Waiver Programs, and Consumer Directed Care Medicaid Waiver		1,383	4,767.49	6,593,444
Home Care For Disabled Adults * Number of qualified disabled adults (ages 18 - 59) in the HCDA Program		1,434	1,406.98	2,017,603
Emergency Stabilization * Number of children served		11,658	1,905.77	22,217,495
Emergency Stabilization * Number of adults served		29,093	3,095.54	90,058,605
Provide Forensic Treatment * Number of adults in forensic commitment served		2,563	73,812.12	189,180,452
Provide Civil Treatment * Number of people in civil commitment served		1,139	200,981.01	228,917,374
Community Support Services * Number of children served		53,141	1,219.98	64,830,781
Community Support Services * Number of adults with forensic involvement served.		3,582	56,459.24	202,237,010
Assessment * Number of sexual predators assessed		3,032	9,704.95	29,425,406
Detoxification * Number served		2,441	2,160.57	5,273,943
Treatment And Aftercare * Number of children with substance-abuse problems served		44,622	1,530.61	68,298,848
Detoxification * Number of adults provided detoxification and crisis supports		21,543	1,106.32	23,833,404
Prevention * Number of at-risk adults provided prevention services		26,897	3,689.36	99,232,663
Benefit Recovery/Error Rate Reduction * Return on investment from fraud prevention/benefit recovery		18,757,167	0.99	18,656,748
Refugee Assistance * Number of refugee clients served		72,689	1,053.46	76,575,229
Issue Optional State Supplementation Payments * Number of applications processed for Optional State Supplementation payments		1,028	16,124.53	16,576,013
Homeless Assistance * Number of beds per day available for homeless clients		2,388	9,319.72	22,255,482
Eligibility Determination/Case Management * Number of cash assistance payments		11,871,922	28.37	336,848,902
Issue Welfare Transition Program Payments * Total number of cash assistance applications		542,099	329.07	178,391,002
TOTAL				2,847,885,098
SECTION III: RECONCILIATION TO BUDGET				
PASS THROUGHS				
TRANSFER - STATE AGENCIES				
AID TO LOCAL GOVERNMENTS				
PAYMENT OF PENSIONS, BENEFITS AND CLAIMS				
OTHER				
REVERSIONS		144,446,756		
TOTAL BUDGET FOR AGENCY (Total Activities + Pass Throughs + Reversions) - Should equal Section I above. (4)		2,992,331,854		

### SCHEDULE XI/EXHIBIT VI: AGENCY-LEVEL UNIT COST SUMMARY

(1) Some activity unit costs may be overstated due to the allocation of double budgeted items.  
(2) Expenditures associated with Executive Direction, Administrative Support and Information Technology have been allocated based on FTE. Other allocation methodologies could result in significantly different unit costs per activity.  
(3) Information for FCO depicts amounts for current year appropriations only. Additional information and systems are needed to develop meaningful FCO unit costs.  
(4) Final Budget for Agency and Total Budget for Agency may not equal due to rounding.



**SCHEDULE XIIB: MAJOR OUTSOURCING AND PRIVATIZATION INITIATIVES  
EXCEEDING \$10 MILLION INITIALLY UNDERTAKEN IN THE LAST FIVE YEARS**

<b>Schedule XII-B Cover Sheet and Agency Project Approval</b>	
<b>Agency:</b> Department of Children and Families	<b>Schedule XII-B Submission Date:</b> 8/23/11
<b>Project Name:</b> Substance Abuse and Mental Health Managing Entities	<b>Is this project included in the Agency's LRPP?</b> <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
<b>FY 2011-2012 LBR Issue Code:</b> n/a	<b>FY 2011-2012 LBR Issue Title:</b> n/a
<b>Agency Contact for Schedule XII-B (Name, Phone #, and E-mail address):</b> David Overstreet, (850) 717-4429, David_Overstreet@dcf.state.fl.us	
<b>AGENCY APPROVAL SIGNATURES</b>	
I am submitting the attached Schedule XII-B in support of our legislative budget request. I have reviewed and agree with the information in the attached Schedule XII-B.	
<b>Agency Head:</b>	<b>Date:</b>
<b>Printed Name:</b> David Wilkins	
<b>Agency Chief Information Officer:</b> <i>(If applicable)</i>	<b>Date:</b>
<b>Printed Name:</b> n/a	
<b>Budget Officer:</b>	<b>Date:</b>
<b>Printed Name:</b> Nevin Smith	
<b>Planning Officer:</b>	<b>Date:</b>
<b>Printed Name:</b> Stephenie Colston	
<b>Project Sponsor:</b>	<b>Date:</b>
<b>Printed Name:</b> David Sofferin	

**SCHEDULE XIIB-1: MAJOR OUTSOURCING AND PRIVATIZATION INITIATIVES  
EXCEEDING \$10 MILLION INITIALLY UNDERTAKEN IN THE LAST FIVE YEARS  
– BACKGROUND INFORMATION**

**Background Information**

1. Provide a narrative summary describing the agency’s decision to outsource or privatize the service or activity.

Attach to Schedule XII-B copies of the original business case and cost benefit analysis. If these documents are unavailable, attach any documents which state the original intention of the outsourcing or privatization initiative that will detail its goals, objectives, and expected outcomes. Such documents may include (a) original legislative budget requests, (b) original budget amendments, (c) legislative presentations, or (d) agency planning documents.

In 2008, the Legislature authorized the Department to implement Behavioral Health Managing Entities (394.9082, FS). These entities are defined as Florida corporations exempt from taxation under s. 501(c)(3) that contract with the Department to manage the daily delivery of behavioral health services (i.e. substance abuse and mental health services).

Based on preliminary success within the SunCoast and Southern Regions and recent administrative reductions within the SAMH program which eliminated circuit level SAMH staff, the Department decided to continue with the process of selecting a Managing Entity for each region. The Managing Entities will provide structured oversight of the mental health and substance abuse funds; more efficient and effective use of limited resources; and a comprehensive, continuous, and integrated system of care in a defined geographic area. The goal is to allow for a more flexible and innovative form of management that will, in turn, allow the Department to assume a broader planning, training, and systems development role.

This service delivery strategy is designed to provide for an effective coordination, integration, and management approach for delivering effective behavioral health services to persons who are experiencing a mental health or substance abuse crisis, who have a disabling mental illness or a substance use or co-occurring disorder, and require extended services in order to recover from their illness, or who need brief treatment or longer-term supportive interventions to avoid a crisis or disability.

In accordance with s.394.9082 (4):

(a), the department may contract for the purchase and management of behavioral health services with community-based managing entities. The department may require a managing entity to contract for specialized services that are not currently part of the managing entity's network if the department determines that to do so is in the best interests of consumers of services. The secretary shall determine the schedule for phasing in contracts with managing entities. The managing entities shall, at a minimum, be accountable for the operational oversight of the delivery of behavioral health services funded by the department and for the collection and submission of the required data pertaining to these contracted services. A managing entity shall serve a geographic area designated by the department. The geographic area must be of sufficient size in population and have enough public funds for behavioral health services to allow for flexibility and maximum efficiency.

(b) The operating costs of the managing entity contract shall be funded through funds from the department and any savings and efficiencies achieved through the implementation of managing entities when realized by their participating provider network agencies. The department recognizes that managing entities will

have infrastructure development costs during start-up so that any efficiencies to be realized by providers from consolidation of management functions, and the resulting savings, will not be achieved during the early years of operation. The department shall negotiate a reasonable and appropriate administrative cost rate with the managing entity. The Legislature intends that reduced local and state contract management and other administrative duties passed on to the managing entity allows funds previously allocated for these purposes to be proportionately reduced and the savings used to purchase the administrative functions of the managing entity. Policies and procedures of the department for monitoring contracts with managing entities shall include provisions for eliminating duplication of the department's and the managing entities' contract management and other administrative activities in order to achieve the goals of cost-effectiveness and regulatory relief. To the maximum extent possible, provider-monitoring activities shall be assigned to the managing entity.

(c) Contracting and payment mechanisms for services must promote clinical and financial flexibility and responsiveness and must allow different categorical funds to be integrated at the point of service. The contracted service array must be determined by using public input, needs assessment, and evidence-based and promising best practice models. The department may employ care management methodologies, prepaid capitation, and case rate or other methods of payment which promote flexibility, efficiency, and accountability.

The following reference documents are available upon request:

- me roles and responsibilities 6-19-09.doc
- SAMH Managing Entities 031609.ppt
- ME update slides 8-1-11.ppt
- MH Managing Entity.xls (budget amendment request)
- DCF Staff Development & Training Plan603010\_draft.doc
- KMR\_Managing\_Entities\_Management\_Plan\_Final\_Report\_60-30-10-DRAFT.doc

2. Have the anticipated cost savings and benefits of the initiative been realized? Explain.

The first two Managing Entity (ME) contracts were executed on July 1, 2010 in the SunCoast Region and on October 1, 2010 in the Southern Region. In addition, a letter designating Lakeview Center, Inc. as a ME in Circuit 1 was sent on June 21, 2011. To date the combined savings from these areas was reported as approximately \$10.6 million. In addition, the existing ME contracts specify \$9.7 million in administrative cost reduction to be redirected to services.

The following contracts are available upon request:

- SunCoast Region - Central Florida Behavioral Health Network, Inc. (SC Region - QD1AD9 Original.pdf),
- Southern Region – South Florida Behavioral Health Network, Inc. (S Region – KH225-Standard Attachment1.pdf)
- Circuit 1 – Lakeview Center, Inc. (June 21 Letter to Gary Bemby ME Circuit 1)

3. Provide a narrative description of the competitive solicitation used to outsource or privatize the service or activity.

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, which are deemed by the agency not to be confidential or exempt from public records requirements if available.

The Department of Children and Families used an Invitation to Negotiate (attached) to solicit vendors for this project. Proposals were submitted and after evaluation and negotiations, contracts were signed with Central Florida Behavioral Health Network, Inc. and South Florida Behavioral Health Network, Inc. An ITN has been release in the Northeast, Central, and Southeast regions to solicit an ME in those areas.

The following ITNs are available upon request:

NE Region – (F309\_FINALITN07D11GC3NERRegionMEITN07\_14\_11.pdf)

CE Region – (F7705\_FINALITN07D11GC2CentralRegionMEITN07\_14\_11.pdf)

SE Region – (F3972\_FINALITN07D11GC1SERRegionMEITN07\_14\_11.pdf)

4. Section 287.057(13)(a), *Florida Statutes*, allows for the renewal of contracts for commodities and contractual services for a period that may not exceed 3 years or the term of the original contract, whichever period is longer. Such renewals are contingent upon satisfactory performance evaluations by the agency and subject to the availability of funds.

For the outsourced or privatized service or activity, identify the number of times the contract has been renewed and specify the renewal period of each. Attach a copy of the documentation verifying the contractor's satisfactory performance compliance required prior to each renewal.

These contracts have not yet been renewed.

5. For the outsourced or privatized service or activity, has the contractor satisfactorily complied with all service level requirements? Provide a narrative summary describing service level requirements compliance or noncompliance and the method used by the agency for monitoring progress in achieving the specified performance standards within the contract.

Current MEs have begun to satisfactorily comply with all services level requirements since the execution of the full Managing Entity contracts. Performance specifications and standards for monitoring of the contract are shown in the below excerpts from the current contract.

## 5. Performance Specifications

### a. Performance Measures

(1) The managing entity shall meet the performance standards and required outcomes as specified in **Exhibit C-1, Substance Abuse and Mental Health Required Performance Outcomes and Outputs**.

(2) The managing entity agrees that the SAMH Information System will be the source for all data used to determine compliance with performance standards and outcomes in **Exhibit C-1, Substance Abuse and Mental Health Required Performance Outcomes and Outputs**. The managing entity shall provide oversight to ensure that all network providers submit all service related data for clients funded, in whole or in part, by SAMH funds, local match, or Medicaid.

(3) The managing entity shall evaluate and require that all network providers also evaluate co-occurring capabilities within their agency and their clinical staff. Prevalence data shall be collected using the Substance Abuse and Mental Health Information System (SAMHIS). Specifically, prevalence data will be collected via the Substance Abuse Outcomes Admission, Mental Health Outcomes Admission, and Detoxification Outcome forms found in SAMHIS.

(4) In addition to the performance standards and required outcomes specified in **Exhibit C-1, Substance Abuse and Mental Health Required Performance Outcomes and Outputs**, the provider shall meet requirements set forth in **Exhibit C-2, Indirect Prevention Performance Measures**.

### b. Performance Measurement Terms

CFP 155-2 provides the definitions of the data elements used for various performance measures and contains policies and procedures for submitting the required data into the department data system. KIT Solutions maintains the procedures for submitting the required prevention data into PBPS.

### c. Performance Evaluation Methodology

(1) The managing entity shall require network providers to collect information and submit performance data and individual client outcomes to the department data system in compliance with CFP 155-2 requirements. The specific methodologies for each performance measure may be found at the following website:  
[http://dashboard.dcf.state.fl.us/index.cfm?page=menu details](http://dashboard.dcf.state.fl.us/index.cfm?page=menu%20details).

(2) The managing entity shall engage in organized performance improvement

activities and participate in partnership with the department in performance improvement projects that are related to system wide transformation and improvement of services for individuals and families.

(3) The department's contract manager will monitor the standards and outcomes specified in **Exhibit C-1, Substance Abuse and Mental Health Required Performance Outcomes and Outputs**, and in **Exhibit C-2, Indirect Prevention**, during the contract period, to determine if the provider is achieving the levels that are specified.

(4) The managing entity shall achieve deliverables specified in **Exhibit L, Contract Deliverables/Implementation Plan for Baseline Functions**.

(5) By execution of this contract the managing entity hereby acknowledges and agrees that its performance under the contract must meet the standards set forth above and will be bound by the conditions set forth in this contract. If the managing entity fails to meet these standards, the department, at its exclusive option, may allow a reasonable period, not to exceed 6 months, for the managing entity to correct performance deficiencies. If performance deficiencies are not resolved to the satisfaction of the department within the prescribed time, and if no extenuating circumstances can be documented by the managing entity to the department's satisfaction, the department must terminate the contract. The department has the sole authority to determine whether there are extenuating or mitigating circumstances.

---

## **Contract Requirements for Monitoring of Central Florida Behavioral Health Network, Inc.**

### **c. Monitoring Requirements**

(1) The managing entity will be monitored in accordance with s. 394.741 F.S., and CFOP 75-8, Contract Monitoring Operating Procedures. The managing entity shall comply with any coordination or documentation required by the department's evaluator(s) to successfully evaluate the programs, and shall provide complete access to all budget and financial information related to services provided under this contract, regardless of the source of funds.

(2) The department will provide a written report to the provider within 30 days of the monitoring. If the report indicates corrective action is necessary, the provider shall have 30 days from receipt of the monitoring report to respond in writing to the request. In the case of threat to life or safety of clients, the corrective action will be immediate.

---

In addition, the ITNs released in the Northeast, Central, and Southeast Regions contain additional performance expectation shown below.

### **4.20 Performance Measures**

The selected Managing Entity will be held responsible and accountable for meeting the performance and outcome measure targets. It is the selected Managing Entity's responsibility to manage the System of Care and oversee the collection of data in order to assure that the outcome measure targets are met.

The selected Managing Entity resulting from this ITN shall follow the outcome measures listed below, which will be finalized during the negotiation phase of the ITN process.

The following outcome measures are divided into three (3) categories (Critical, Essential and Necessary) relative to the amount of Performance Adjustment that will be made upon repetitive non-performance and will be used in the Department's assessment of the selected Managing Entity's performance:

**(a)**

**System of Care Development and Management - Outcome Measures:**

<b>Critical</b>	
1)	100% funding of evidence-based practices by end of year two (2) of the contract and each year thereafter
<b>Essential</b>	
2)	85% of individuals assessed as needing treatment services receive treatment services within two (2) calendar days of assessment for year one (1) of contract; 95% for year two (2); and 100% for each year thereafter

**(b) Utilization Management Systems - Outcome Measures:**

<b>Critical</b>	
1)	100% elimination of all waiting lists for treatment services by the end of year one (1) of the contract and each year thereafter
<b>Essential</b>	
2)	Decrease in annual per client cost of 1% per year for each year of the contract and reinvestment of savings for implementation of evidence-based practices
3)	50% decrease in cost per individual for those individuals costing more than \$500,000.00 per year by end of year one (1) of the contract and each year thereafter
4)	30% decrease in residential services and reinvestment of savings into intervention, diversion, and brief treatment services by the end of year two (2) of the contract and continuing thereafter

**(c) Subcontractor Management and Subcontractor Relations - Outcome Measures:**

<b>Critical</b>	
1)	100% accuracy of documentation that the Department is payer of last resort as reported to the Department during quarterly reconciliation meetings
2)	100% of subcontractor compliance with all Managing Entity data and cost reporting requirements by the end of the first (1 <sup>st</sup> ) quarter of year one (1) of the contract and each year thereafter
<b>Essential</b>	
3)	Reinvestment of 30% of annual savings to reward subcontractors exceeding their quantifiable performance targets by a minimum of 15%
<b>Necessary</b>	
4)	95% satisfactory results from annual subcontractor satisfaction surveys
5)	100% reporting of subcontractor monitoring findings and trends to the Department during quarterly reconciliation meetings beginning third (3 <sup>rd</sup> ) quarter of year one (1) of the contract and each year thereafter

**(d) Continuous Quality Improvement Systems - Outcome Measures:**

<b>Critical</b>	
1)	95% of consumers surveyed will report satisfaction scores equal to or greater than nationally normed satisfaction scores for similar programs
<b>Essential</b>	
2)	100% of subcontractor risk assessment and monitoring efforts identifying immediate action result in immediate action and reported quarterly to the Department
<b>Necessary</b>	
3)	100% of impacts of quality improvement efforts measured and reported to the Department beginning the third (3 <sup>rd</sup> ) quarter of year one (1) of the contract each year continuing for each quarter thereafter
4)	100% of all subcontractors will utilize a nationally recognized and normed customer satisfaction survey instrument by the end of year one (1) and each year thereafter

**(e) Data Collection, Reporting, and Analysis - Outcome Measures:**

<b>Critical</b>	
1)	100% accuracy of cost, service utilization, and outcomes data per individual served by the beginning of the third (3 <sup>rd</sup> ) quarter of year one (1) of the contract and reported quarterly to the Department
2)	100% accuracy in eliminating duplicate billing of Department and Medicaid by the beginning of the third (3 <sup>rd</sup> ) quarter of year one (1) of the contract and reported quarterly to the Department
<b>Essential</b>	
3)	85% accuracy (as verified by SAMHIS, or any subsequent data collection system) and timeliness of invoicing for year one (1) of the contract; 95% accuracy (as verified by SAMHIS, or any subsequent data collection system) and timeliness of invoicing for year two (2) of the contract; and 100% accuracy (as verified by SAMHIS, or any subsequent data collection system) and timeliness of invoicing for each year thereafter

**(f) Financial Management Systems - Outcome Measures:**

<b>Essential</b>	
1)	A minimum of 25% of the savings reinvested during the term of the contract are based on shifts in documentable utilization patterns
<b>Necessary</b>	
2)	100% reporting of System of Care administrative costs by the end of the third (3 <sup>rd</sup> ) quarter of year one (1) of the contract and continuing thereafter
3)	100% reporting of eligibility determination during quarterly reconciliation meetings
4)	5% increase in network Medicaid revenue by the end of year two (2) of the contract and each year thereafter as a result of implementing Supplemental Security Income-Social Security Disability Insurance (SSI-SSDI) Outreach, Access and Recovery (SOAR) process

**(g) Board Development and Governance - Outcome Measure:**

<b>Critical</b>	
-----------------	--



1)	100% of Departmental requirements pertaining to Governing Board composition as reflected in Board membership and any Board committees upon contract execution and maintained throughout the life of the contract
----	--

**Necessary**

2)	Active board involvement in managing entity operations as evidenced by a minimum of eight (8) board meetings per year with Board minutes and information provided to the Board at such meetings, provided to the Department within thirty (30) days after the Board meeting
----	---

**(h) Administrative Cost Reductions - Outcome Measure:**

**Critical**

1)	100% of rates negotiated with new subcontractors have administrative cost of a maximum of 10% by the end of year two (2) of the resulting Managing Entity contract and continuing thereafter, with savings reinvested for implementation of evidence-based practices; intervention, diversion, brief treatment, or recovery support services; or development of necessary infrastructure as coordinated with the Department
----	---

2)	100% of rates negotiated with existing subcontractors which the selected Managing Entity decides to continue as a subcontractor beyond the first (1 <sup>st</sup> ) year have administrative costs of a maximum of 10% by the end of year four (4) of the resulting Managing Entity contract (The selected Managing Entity must ensure that some reduction in current subcontractor administrative costs occurs each year.)
----	--

Outcome measures are subject to periodic review by the Department and adjustments to the targets or the measures may be made by mutual agreement. Performance of subcontractors will be monitored and tracked by the selected Managing Entity who will implement applicable technical assistance and corrective actions as required.

The selected Managing Entity agrees that the SAMHIS, or any subsequent data collection system, will be the source for all data used to determine compliance with outcome measures as listed above, as well as payments for services provided to clients. The selected Managing Entity will provide oversight to ensure that all subcontractors submit all service related data for individuals served which are funded, in whole, or in part, by SAMH funds, Medicaid, and local match.

The selected Managing Entity will submit a Performance and Outcome Measure and Data Collection Improvement Plan for improving the performance measurement and data collection system based on State performance and outcome measures and the Federally-mandated National Outcome Measures within one (1) year of contract execution for implementation beginning within the second (2<sup>nd</sup>) year with full implementation within the third (3<sup>rd</sup>) year of the contract. The new performance outcome and data collection system must comply with all State and Federal reporting requirements. Until such time as the Department approves the alternative performance outcome and data collection methodology, the current Department performance based data system will be utilized.

The plan will describe approaches for the future integration of appropriate data among SAMHIS, or any subsequent data collection system, Florida Safe Family Network (FSFN), and Automated Community Connection to Economic Self-Sufficiency (ACCESS) data systems operated by the Department.

In addition to the performance and outcome measure listed above, Respondents must also propose a

minimum of five (5) additional performance and outcome measures which will measure the quality of service delivery and the methodology for calculating each measure.

#### 4.21 Description of Performance Measurement Terms

The PAM 155-2 provides the definitions of the data elements used for various performance measures and contains policies and procedures for submitting the required data into the Department's data system.

#### 4.22 Performance Evaluation Methodology

The methodology for each performance and outcome measure in **Section 4.20** will be finalized prior to the execution of the contract resulting from this ITN.

The selected Managing Entity shall ensure that the subcontractors collect information and submit outcomes data to the Department data system in compliance with PAM 155-2 requirements. The specific methodologies for each performance measure may be found at the following website:

<http://dashboard.dcf.state.fl.us/>

The selected Managing Entity agrees that its performance must meet the standards set forth in the resulting contract and will be bound by the conditions set forth therein.

#### 4.23 Performance Statement

By execution of any contract resulting from this ITN the selected Managing Entity hereby acknowledges and agrees that its performance must meet the standards set forth in the resulting contract and will be bound by the terms and conditions in the solicitation document. If the selected Managing Entity fails to meet these standards, the Department, at its exclusive option, may allow a reasonable period, not to exceed 6 months, for the selected Managing Entity to achieve compliance with the standards. If the Department affords the selected Managing Entity an opportunity to achieve compliance, and the selected Managing Entity fails to achieve within the specified time frame, the Department must terminate the contract, in the absence of any extenuating or mitigating circumstances. The Department has the sole authority to determine whether there are extenuating or mitigating circumstances.

6. Describe any unexpected benefits from outsourcing or privatization of the service or activity.

It is too soon to identify any unanticipated benefits.

7. Describe any unexpected problems or issues with the outsourcing or privatization of the service or activity.

Although early in the implementation, an issue of data sharing did develop and was quickly resolved. The issue revolved around a request that the Managing Entity made for historical client data for services provided by agencies within the established provider network. Because appropriate releases of information were not provided for historical data, a working agreement had to be modified between each provider in the network and the Managing Entity to facilitate the exchange of client data, especially historical data.

8. Briefly describe your agency's overall level of satisfaction with the results of outsourcing or privatization of the service or activity.

In only the first several months of implementation there have been no noted disruptions or reduction in services. Continued progress will be monitored closely.

9. What lessons learned should be shared with other agencies considering the outsourcing or privatization of a similar service or activity?

Heavy emphasis on the initial procurement and negotiation phase is critical for a smooth transition. In addition, the development of an internal management training plan that clearly delineates the new skills needed for Department staff is an essential part of the transition. The plan should look to evaluate current skill sets, needed skill sets, and outline a plan for bridging the skills/knowledge gap through training or recruitment. Even though the first full Managing Entity contract has only been in place since July 1, 2010, the team will focus on continued lessons learned for continued successful transition.

To assist in the transition, the Department created a Managing Entity Readiness Assessment Tool (attached) to provide the agency selected with an understanding of the critical areas in which they must demonstrate readiness prior to the execution of a full Managing Entity contract. In compliance with the intent of 394.908 F.S. and the Region's ITN, this is a quality assurance and evaluation tool designed to review the status of programmatic, financial, quality, utilization, network management, and organizational competence. The criteria include documented outcomes that must be available for review and serve as evidence to support any readiness statements made in each of the areas of review. Budget, operating procedures, detailed written plans; etc. will be evidenced by activities provided in the agency's executive board minutes and in copies of requested materials.

The following document is available upon request:  
Managing Entity Readiness Assessment Tool – (F7246\_MEReadinessAssessment031009.pdf)

**SCHEDULE XIIB-2: MAJOR OUTSOURCING AND PRIVATIZATION INITIATIVES EXCEEDING \$10 MILLION INITIALLY UNDERTAKEN IN THE LAST FIVE YEARS - COST AND DELIVERABLES DATA**

**Sectin I: Cost Data**

For each outsourced or privatized service or activity, complete the cost analysis below:

Fiscal Year	Planned Costs	Actual/Revised Costs	Planned * Savings	Actual/Revised Savings
<b>Central Florida Behavioral Health Network (QD1A9)</b>				
FY 2010 - 2011	\$ 138,113,649	\$	\$543,441	\$
FY 2011 - 2012	\$ 138,113,649	\$	\$1,684,332	\$
FY 2012 - 2013	\$ 138,113,649	\$	\$1,797,134	\$
FY 2013-2014	\$ 138,113,649	\$	\$1,702,545	\$
FY 2014-2015	\$ 138,113,649	\$	\$1,607,956	\$
<b>South Florida Behavioral Health Network (KH225)</b>				
FY 2010 - 2011	56,607,730	\$	0	\$
FY 2011 - 2012	75,827,242	\$	633952	\$
FY 2012 - 2013	75,827,242	\$	699127	\$
FY 2013-2014	75,827,242	\$	699127	\$
FY 2014-2015	75,827,242	\$	699128	\$

\* Planned savings are in reduced administrative costs that will then be used to meet increased service demand

Variance	Reasons			
<b>Cost</b>				
<b>Savings</b>				

**Section II: Deliverables and Milestones Schedule**

For each outsourced or privatized service or activity, complete the deliverables and milestones schedule below:

Deliverables and Milestones	Original	Actual Date/ Revised Date
<b>Central Florida Behavioral Health Network (QD1A9)</b>		
See Exhibit C - Contract QD1A9 "Substance Abuse and Mental Health Required Performance Outcomes and Outputs"		
See Exhibit G - Contract QD1A9 "Minimum Service Requirements"		
See Exhibit L - Contract QD1A9 "Contract Deliverables/Implementaton Plan for Baseline Functions"		
<b>South Florida Behavioral Health Network (KH225)</b>		
See Exhibit D - Contract KH225 "Substance Abuse and Mental Health Required Performance Outcomes and Outputs"		
See Exhibit F - Contract KH225 "Minimum Service Requirements"		

Variance	Reasons			
<b>Schedule</b>				

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

<b>Contact Information</b>
Agency:
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/](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.

<b>1. Commodities proposed for purchase.</b>
<b>2. Describe and justify the need for the deferred-payment commodity contract including guaranteed energy performance savings contracts.</b>
<b>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).</b>
<b>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.</b>

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

Agency: Department of Children and Family Services Contact: Nevin Smith (850) 717-4760

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 2011 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 2012-2013 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 2012-2013 Estimate/Request Amount	
			Long Range Financial Outlook	Legislative Budget Request
	Base			
a	The Long-Range Financial Outlook included the Northwood Shared Resource Center and did not reflect the Nonrecurring Trust Fund Budget Authority for Fiscal Year 2011-12. The number reflected under the Long Range Financial Outlook on this report reconciles back to the Department of Children and Families base for the Fiscal Year 2012-13 Legislative Budget Request.	R & B	\$2,742.2 M	\$ 2,742.2 M
b	Annualizations	B	\$ 0.0 M	\$ 0.0 M
c	Temporary Assistance for Needy Families (TANF)	B	\$ 9.6 M	\$ 0.0 M
d	Community Based Care	B	\$ 4.9 M	\$ 5.0 M
e	Restore Community Based Care Nonrecurring	B	\$ 4.0 M	\$ 4.0 M
f	Restore Healthy Families Nonrecurring	B	\$ 2.0 M	\$ 2.0 M
g	Independent Living	B	\$ 1.9 M	\$ 0.0 M
h	Restore Maintenance Adoption Subsidies FMAP Adjustment	B	\$ 3.9 M	\$ 3.9 M
i	Maintenance Adoptions - Restore Nonrecurring Funds	B	\$ 8.1 M	\$ 8.1 M
j	Maintenance Adoption Subsidies	B	\$ 0.0 M	\$ 12.4 M
k	Aged or Disabled Adults (ADA) Medicaid Waiver	B	\$ 9.1 M	\$ 0.0 M
l	Mental Health Services - Restore Nonrecurring Funds	B	\$ 27.9 M	\$ 27.9 M
m	Substance Abuse - Restore Nonrecurring Funds	B	\$ 15.1 M	\$ 15.1 M
n	Sexually Violent Predator Program	B	\$ 1.7 M	\$ 1.7 M
o	Federal Indirect Reimbursement Deficit (Restore Funding for Programs Support by Administrative Earnings)	B	\$ 8.5 M	\$ 8.5 M
p	Marisa Amora Claim	B	\$ 1.7 M	\$ 1.7 M
q	Restore Mental Health Reinvestment Grants	B	\$ 3.0 M	\$ 0.0 M
r	Capital Improvement/Maintenance and Repair	B	\$ 2.8 M	\$ 11.5 M
s	Information Technology Issues 2000240 and 2000250 "Information Technology Shared Services Realignment" 20010C0 and 20020C0 "Substance Abuse and Mental Health Financial and Service Accounting System" 2500030 "Adjustment to Balance Office of Information Technology" 33015C0 "Reductions from Email Services Consolidations" 55C04C0 "Additional Resources Required to Support Consolidation of Email Services"	B	\$ 0.0 M	\$ 100.8 M
t	Executive Direction and Support Services 3300100 "Delete Unfunded Positions" 33V0040 "Kimberly Godwin Relief Bill" 4000860 "Statewide staffing of the Department of Children and Families General Counsel's Office" 4A01000 "Americans with Disabilities Act and Rehabilitation Act Compliance Settlement Agreement"	B	\$ 0.0 M	(\$ 0.1 M)
u	Family Safety and Preservation Services 3201010 and 3301010 "Eliminate Unfunded Budget" 4000730 "Money Follows the Person Grant"	B	\$ 0.0 M	(\$ 1.8 M)
v	Mental Health Services 3201010 "Eliminate Unfunded Budget" 4004580 "Cost of Living Adjustment - Mental Health Contracted Agencies" 4004950 "Adult Mental Health Florida Assertive Community Treatment Team Increase"	B	\$ 0.0 M	\$ 7.9 M
w	Substance Abuse Services 3201010 and 3301010 "Eliminate Unfunded Budget"	B	\$ 0.0 M	(\$ 1.0 M)
x	Economic Self Sufficiency Services 1703010 "Transfer Medicaid Assistive Care to Agency for Health Care Administration" 3201010 "Eliminate Unfunded Budget" 4000200 "Emergency Shelter Grant Increase" 4000A90 "Superior Achievement Bonus for ACCESS Employees" 4008750 "Automated Community Connection to Economic Self Sufficiency Asset Verification" 4009900 "Equipment for Community Partners"	B	\$ 0.0 M	(\$ 3.0 M)
	<b>Department of Children and Families TOTAL</b>		<b>\$2,846.4 M</b>	<b>\$ 2,946.8 M</b>

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.

The Department of Children and Families identified needs for the Legislative Budget Request associated with its mission and statutory mandates. Following the identification of needs the department analyzed its ability to meet those needs utilizing existing resources (base budget) and resource requests above base (state and federal funds). Utilizing that planning/funding frame the department prioritized its Legislative Budget Request. Differences between the Departments request and the Long Range Financial Outlook are related to differences in the planning/funding frame utilized by the Department and the those preparing the Long Range Financial Outlook.

\* R/B = Revenue or Budget Driver

Office of Policy and Budget - July 2011

**SCHEDULE XV:  
CONTRACT INFORMATION FOR EACH CONTRACT IN WHICH THE  
CONSIDERATION TO BE PAID TO THE AGENCY IS A PERCENTAGE OF  
THE VENDOR REVENUE AND IN EXCESS OF \$10 MILLION**

<b>Contact Information</b>
Agency:
Name:
Phone:
E-mail address:

<b>1. Vendor Name</b>		
<b>2. Brief description of services provided by the vendor.</b>		
<b>3. Contract terms and years remaining.</b>		
<b>4. Amount of revenue generated</b>		
Prior Fiscal Year	Current Fiscal Year	Next Fiscal Year (Request Year)
<b>5. Amount of revenue remitted</b>		
Prior Fiscal Year	Current Fiscal Year	Next Fiscal Year (Request Year)
<b>6. Value of capital improvement</b>		
<b>7. Remaining amount of capital improvement</b>		
<b>8. Amount of state appropriations</b>		
Prior Fiscal Year	Current Fiscal Year	Next Fiscal Year (Request Year)



# Budget Entity Level Exhibits & Schedules





# Schedule IV-B

## Information Technology Projects

*The projected costs will be confirmed during the required Cost Benefit Analysis and Schedule IV-B documentation scheduled to be completed during the current Fiscal Year 2011-2012.*

**SCHEDULE VI: DETAIL OF DEBT SERVICE**

**Department:** Children and Families **Budget Period 2012 - 2013**  
**Budget Entity:** 60910506 - Mental Health Program

(1)	(2)	(3)	(4)
PAGE 1	ACTUAL	ESTIMATED	REQUEST
<u>SECTION I</u>	FY 2010 -2011	FY 2011 - 2012	FY 2012 - 2013
Interest on Debt	(A) 5,898,378.89	5,955,943.72	4,653,665.00
Principal	(B) 4,590,000.00	5,770,000.00	7,075,735.00
Repayment of Loans	(C)		
Fiscal Agent or Other Fees	(D) 30,157.00	28,887.00	28,887.00
Other Debt Service	(E)		
Total Debt Service	(F) 10,518,535.89	11,754,830.72	11,758,287.00

Explanation: South Florida State Hospital COP-1998 (\$37,985,000)  
South Florida Evaluation Treatment Center-2005 (COP) (\$41,940,000)  
Florida Civil Commitment Center COP-2006 (\$68,730,000)

**SECTION II**

**ISSUE:** South Florida State Hospital-Series 1998

(1)	(2)	(3)	(4)	(5)
INTEREST RATE	MATURITY DATE	ISSUE AMOUNT	JUNE 30. 2011	JUNE 30. 2012
(6)	(7)	(8)	(9)	
	ACTUAL	ESTIMATED	REQUEST	
	FY 2010 -2011	FY 2011 - 2012	FY 2012 - 2013	
From 5.00% to 5.20%	7/1/2018	\$37,985,000.00	35,715,000.00	33,340,000.00
Interest on Debt	(G) 1,012,065.00	961,883.72	857,790.00	
Principal	(H) 2,170,000.00	2,270,000.00	2,375,000.00	
Fiscal Agent or Other Fees	(I) 9,275.00	8,000.00	8,000.00	
Other	(J)			
Total Debt Service	(K) 3,191,340.00	3,239,883.72	3,240,790.00	

**ISSUE:** South Florida Evaluation Treatment Center-Series 2005

INTEREST RATE	MATURITY DATE	ISSUE AMOUNT	JUNE 30. 2011	JUNE 30. 2012
(6)	(7)	(8)	(9)	
	ACTUAL	ESTIMATED	REQUEST	
	FY 2010 -2011	FY 2011 - 2012	FY 2012 - 2013	
From 4.00% to 5.00%	10/1/2025	\$41,940,000.00	\$40,380,000.00	\$38,740,000.00
Interest on Debt	(G) 1,923,387.50	1,849,875.00	1,770,875.00	
Principal	(H) 1,490,000.00	1,560,000.00	1,640,000.00	
Fiscal Agent or Other Fees	(I) 7,681.00	7,500.00	7,500.00	
Other	(J)			
Total Debt Service	(K) 3,421,068.50	3,417,375.00	3,418,375.00	

**SCHEDULE VI: DETAIL OF DEBT SERVICE**

**Department:** Children and Families **Budget Period 2012 - 2013**  
**Budget Entity:** 60910506 - Mental Health Program

(1)	(2)	(3)	(4)
PAGE 2	ACTUAL	ESTIMATED	REQUEST
<u>SECTION I</u>	FY 2009 -2010	FY 2010 - 2011	FY 2011 - 2012
Interest on Debt	(A) <input type="text"/>	<input type="text"/>	<input type="text"/>
Principal	(B) <input type="text"/>	<input type="text"/>	<input type="text"/>
Repayment of Loans	(C) <input type="text"/>	<input type="text"/>	<input type="text"/>
Fiscal Agent or Other Fees	(D) <input type="text"/>	<input type="text"/>	<input type="text"/>
Other Debt Service	(E) <input type="text"/>	<input type="text"/>	<input type="text"/>
Total Debt Service	(F) <input type="text"/>	<input type="text"/>	<input type="text"/>

**SECTION II**

**ISSUE:** Florida Civil Commitment Center-Series 2006

(1)	(2)	(3)	(4)	(5)
INTEREST RATE	MATURITY DATE	ISSUE AMOUNT	JUNE 30. 2011	JUNE 30. 2012
4.00% to 5.00%	10/1/2029	\$68,730,000.00	66,790,000.00	63,729,265.00
(6)		(7)	(8)	(9)
		ACTUAL	ESTIMATED	REQUEST
		FY 2010 -2011	FY 2011 - 2012	FY 2012 - 2013
Interest on Debt	(G)	2,962,926.39	3,144,185.00	2,025,000.00
Principal	(H)	930,000.00	1,940,000.00	3,060,735.00
Fiscal Agent or Other Fees	(I)	13,201.00	13,387.00	13,387.00
Other	(J)	<input type="text"/>	<input type="text"/>	<input type="text"/>
Total Debt Service	(K)	3,906,127.39	5,097,572.00	5,099,122.00

**ISSUE:**

INTEREST RATE	MATURITY DATE	ISSUE AMOUNT	JUNE 30. 2011	JUNE 30. 2012
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
		ACTUAL	ESTIMATED	REQUEST
		FY 2009 -2010	FY 2010 - 2011	FY 2011 - 2012
Interest on Debt	(G)	<input type="text"/>	<input type="text"/>	<input type="text"/>
Principal	(H)	<input type="text"/>	<input type="text"/>	<input type="text"/>
Fiscal Agent or Other Fees	(I)	<input type="text"/>	<input type="text"/>	<input type="text"/>
Other	(J)	<input type="text"/>	<input type="text"/>	<input type="text"/>
Total Debt Service	(K)	<input type="text"/>	<input type="text"/>	<input type="text"/>

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

**Budget Period: 2012 -13**

**Department:** Children and Families

**Chief Internal Auditor:** Jerry Chesnutt

**Budget Entity:** \_\_\_\_\_

**Phone Number:** (850) 488-8722

(1)	(2)	(3)	(4)	(5)	(6)
REPORT NUMBER	PERIOD ENDING	UNIT/AREA	SUMMARY OF FINDINGS AND RECOMMENDATIONS	SUMMARY OF CORRECTIVE ACTION TAKEN	ISSUE CODE
A-DCF0910-113	06/30/2011	Adult Services	(1) Department Operating Procedure 140-2 defines and details multiple responsibilities for Adult Protective Investigator (API) supervisors related to assessing, preparing, commencing, and conducting adult protective investigations. We recommend the Adult Protective Services (APS) program supplement their existing plan for standardized API training to include a comprehensive and customized training module for API supervisors based on current policy.	Follow-up is underway.	
A-DCF0910-262	06/30/2011	Administrative Services - Financial Management	(1) "We recommend all trustee organizations evaluate their operational need and the amount of cash on hand necessary to administer client trust funds."	The Department concurs with this recommendation and will implement it with the July 2010 monthly reconciliation reviews. Documentation of our questioned balances and the trustees responses, if any, will be included in the monthly reconciliation files.	
			(2) "We recommend the Department periodically review the investment level of each client trust fund and question those trustees when the investment might be less than optimal."	The Department concurs with the recommendation.	
			(3) "We recommend excess funds be invested to mitigate the risk of under insurance."	The Department concurs with the recommendation as a means of increasing investments of idle funds and interest accruing to the clients.	

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

**Budget Period: 2012 -13**

**Department:** Children and Families

**Chief Internal Auditor:** Jerry Chesnutt

**Budget Entity:** \_\_\_\_\_

**Phone Number:** (850) 488-8722

(1)	(2)	(3)	(4)	(5)	(6)
REPORT NUMBER	PERIOD ENDING	UNIT/AREA	SUMMARY OF FINDINGS AND RECOMMENDATIONS	SUMMARY OF CORRECTIVE ACTION TAKEN	ISSUE CODE
			(4) "We recommend consideration should be given to modernization of the [investment] process."	The Department concurs with the recommendation. Unfortunately, the process is controlled by the Department of Financial Services, and is affected by the provisions of Chapter 216, Florida Statutes, requiring the availability of budget before cash may be transferred into or out of the State Treasury. We will work with the Department of Financial Services to search for improvements in the process within the existing statutory constraints.	
A-DCF0910-347	06/30/2011		(1) Staff of the Office of Revenue Management (ASFMR) review the list of Financial Management System (FMS) users and take immediate action to limit access to current state employees or contractors whose assigned job responsibilities require such access, and correctly identify their work location in the system.	"We concur. ASFMR will take immediate steps necessary to limit access to FMS to the appropriate users."	
			(2) ASFMR ensure that such reviews [of FMS users] are performed periodically.	A periodic review will be implemented to ensure appropriate staff or contractors have access to the FMS."	
			(3) ASFMR develop an updated version of HRS Operating Procedure 55-10 which provides the guidance and direction necessary for fee collection staff to apply the Department's policy in Children and Families Operating Procedure 55-7 when using FMS.	"We concur. ASFMR has begun drafting an updated version of this operating procedure that will be released pending proper approvals."	

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

**Budget Period: 2012 -13**

**Department:** Children and Families

**Chief Internal Auditor:** Jerry Chesnutt

**Budget Entity:** \_\_\_\_\_

**Phone Number:** (850) 488-8722

(1)	(2)	(3)	(4)	(5)	(6)
REPORT NUMBER	PERIOD ENDING	UNIT/AREA	SUMMARY OF FINDINGS AND RECOMMENDATIONS	SUMMARY OF CORRECTIVE ACTION TAKEN	ISSUE CODE
			(4) The Department review and enhance its policy on delinquencies to include instances, such as for "02" receivable accounts, where referring receivable accounts to a collection agency is an appropriate enforcement action.	"We concur. ASFM will review and enhance its policy on delinquent accounts receivable to consider referrals to a collection agency, where appropriate.": DCF Comptroller requested by e-mail, "Please send me the details on the 11 second party folks who need to be referred for collection."	
			(5) Florida State Hospital (FSH) revise their policy on wages paid to clients while in residential care to be consistent with that of Northeast Florida State Hospital (NEFSH), and seek Federal approval to pay residents at a special minimum wage which is not subject to fee assessment.	"Florida State Hospital has initiated actions to address this recommendation. They have begun the process of seeking federal approval to pay residents at a special minimum wage. The Mental Health Program Office will monitor the status of this recommendation until completion."	
			(6) The Mental Health Central Program Office, in conjunction with the Office of Information Technology Services and Northwood Shared Resource Center (NSRC), change the monthly process so that FMS billing statements are printed in-house at the hospitals, rather than by an outside contractor.	"Print jobs can be sent to the hospitals with some technical adjustments to the Fee Maintenance System and amendments made to the NSRC Service Level Agreement and Pitney Bowes contract. The Substance Abuse and Mental Health program office has indicated that it would like to implement this change and has asked Information Technology Services (ITS) to develop a schedule, costs, and resource considerations. ITS will move ahead with this request."	

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

**Budget Period: 2012 -13**

**Department:** Children and Families

**Chief Internal Auditor:** Jerry Chesnutt

**Budget Entity:** \_\_\_\_\_

**Phone Number:** (850) 488-8722

(1)	(2)	(3)	(4)	(5)	(6)
REPORT NUMBER	PERIOD ENDING	UNIT/AREA	SUMMARY OF FINDINGS AND RECOMMENDATIONS	SUMMARY OF CORRECTIVE ACTION TAKEN	ISSUE CODE
F-1011DCF-042	06/30/2011	Child Welfare	(2) Chapter 65C-13, Florida Administrative Code, is still under revision. We recommend that rule revisions be completed as soon as possible to establish legally recognized foster home licensing and re-licensing guidelines. The rule should include all new foster home options that promote safe, effective and efficient foster home licensing and re-licensing decisions. The Family Safety Contract Template for lead agencies should be revised accordingly.	Follow-up is scheduled for 12/15/11.	
G-1011DCF-201	06/30/2011	Human Resources	There is no formal training program for records retention as required by the Governor's Executive Order 11-03.	The Human Resources function of the Department has developed a draft training syllabus to provide annual online records retention training as directed of each Agency Secretary by the Governors Code of Ethics effective January 4, 2011. The Office of General Counsel has reviewed and provided comments on the Records Retention Training and the General Services staff will do the same.	

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

**Budget Period: 2012 -13**

**Department:** Children and Families

**Chief Internal Auditor:** Jerry Chesnutt

**Budget Entity:** \_\_\_\_\_

**Phone Number:** (850) 488-8722

(1)	(2)	(3)	(4)	(5)	(6)
REPORT NUMBER	PERIOD ENDING	UNIT/AREA	SUMMARY OF FINDINGS AND RECOMMENDATIONS	SUMMARY OF CORRECTIVE ACTION TAKEN	ISSUE CODE
2011-141 (Auditor General)	6/30/2011	Information Technology Services	Florida Online Recipient Integrated Data Access (FLORIDA) System - Contrary to Section 119.071(5)(a), Florida Statutes, the Department used certain employee social security numbers (SSN) without specific authorization in law or without having established the imperative need to use the SSN for the performance of its duties and responsibilities as prescribed by law. This finding was also noted in prior audits of the Department, most recently our report No. 2010-066. Recommendation: In the absence of establishing an imperative need for the use of the SSN, the Department should comply with State law by establishing another number to be used as the unique identifier rather than the SSN.	This continues to be an unresolved, repeat finding.	



## Fiscal Year 2012-13 LBR Technical Review Checklist

Department/Budget Entity (Service): Department of Children and Family Services/Executive Direction and Support Services, Information Technology, Family Safety and Preservation Services, Mental Health Services, Substance Abuse Services, Economic Self-Sufficiency Services

Agency Budget Officer/OPB Analyst Name: Nevin Smith/Jackie Gray

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)					
	60900101	60900202	60910310	60910506	60910604	60910708
<b>1. GENERAL</b>						
1.1 Are Columns A01, A02, A04, A05, A36, A93, IA1, IA5, IP1, IV1, IV3 and NV1 set to TRANSFER CONTROL for DISPLAY status and MANAGEMENT CONTROL for UPDATE status for both the Budget and Trust Fund columns? Are Columns A06, A07, A08 and A09 for Fixed Capital Outlay (FCO) set to TRANSFER CONTROL for DISPLAY status only? <b>(CSDI)</b>	Y	Y	Y	Y	Y	Y
1.2 Is Column A03 set to TRANSFER CONTROL for DISPLAY and UPDATE status for both the Budget and Trust Fund columns? <b>(CSDI)</b>	Y	Y	Y	Y	Y	Y
<b>AUDITS:</b>						
1.3 Has Column A03 been copied to Column A12? Run the Exhibit B Audit Comparison Report to verify. <b>(EXBR, EXBA)</b>	Y	Y	Y	Y	Y	Y
1.4 Has security been set correctly? <b>(CSDR, CSA)</b>	Y	Y	Y	Y	Y	Y
<b>TIP</b> The agency should prepare the budget request for submission in this order: 1) Lock columns as described above; 2) copy Column A03 to Column A12; and 3) set Column A12 column security to ALL for DISPLAY status and MANAGEMENT CONTROL for UPDATE status.						
<b>2. EXHIBIT A (EADR, EXA)</b>						
2.1 Is the budget entity authority and description consistent with the agency's LRPP and does it conform to the directives provided on page 59 of the LBR Instructions?	Y	Y	Y	Y	Y	Y
2.2 Are the statewide issues generated systematically (estimated expenditures, nonrecurring expenditures, etc.) included?	Y	Y	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 30)? Do they clearly describe the issue?	Y	Y	Y	Y	Y	Y
2.4 Have the coding guidelines in <i>Section 3</i> of the LBR Instructions (pages 15 through 30) been followed?	Y	Y	Y	Y	Y	Y
<b>3. EXHIBIT B (EXBR, EXB)</b>						
3.1 Is it apparent that there is a fund shift and were the issues entered into LAS/PBS correctly? Check D-3A funding shift issue 340XXX0 - a unique deduct and unique add back issue should be used to ensure fund shifts display correctly on the LBR exhibits.	Y	Y	Y	Y	Y	Y
3.2 Are the 33XXXXX0 issues negative amounts only and do not restore nonrecurring cuts from a prior year or fund any issues that net to a positive or zero amount? Check D-3A issues 33XXXXX0 - a unique issue should be used for issues that net to zero or a positive amount.	Y	Y	Y	Y	Y	Y
<b>AUDITS:</b>						
3.3 Negative Appropriation Category Audit for Agency Request (Columns A03 and A04): Are all appropriation categories positive by budget entity at the FSI level? Are all nonrecurring amounts less than requested amounts? <b>(NACR, NAC - Report should print "No Negative Appropriation Categories Found")</b>	Y	Y	Y	Y	Y	Y
3.4 Current Year Estimated Verification Comparison Report: Is Column A02 equal to Column B07? <b>(EXBR, EXBC - Report should print "Records Selected Net To Zero")</b>	Y	Y	Y	Y	Y	Y
<b>TIP</b> Generally look for and be able to fully explain significant differences between A02 and A03.						
<b>TIP</b> Exhibit B - A02 equal to B07: Compares Current Year Estimated column to a backup of A02. This audit is necessary to ensure that the historical detail records have not been adjusted. Records selected should net to zero.						

Action	Program or Service (Budget Entity Codes)					
	60900101	60900202	60910310	60910506	60910604	60910708
TIP Requests for appropriations which require advance payment authority must use the sub-title "Grants and Aids". For advance payment authority to local units of government, the Aid to Local Government appropriation category (05XXXX) should be used. For advance payment authority to non-profit organizations or other units of state government, the Special Categories appropriation category (10XXXX) should be used.						
<b>4. EXHIBIT D (EADR, EXD)</b>						
4.1 Is the program component objective statement consistent with the agency LRPP, and does it conform to the directives provided on page 62 of the LBR Instructions?	Y	Y	Y	Y	Y	Y
4.2 Is the program component code and title used correct?	Y	Y	Y	Y	Y	Y
TIP Fund shifts or transfers of services or activities between program components will be displayed on an Exhibit D whereas it may not be visible on an Exhibit A.						
<b>5. EXHIBIT D-1 (ED1R, EXD1)</b>						
5.1 Are all object of expenditures positive amounts? (This is a manual check.)	Y	Y	Y	Y	Y	Y
<b>AUDITS:</b>						
5.2 Do the fund totals agree with the object category totals within each appropriation category? (ED1R, XD1A - Report should print "No Differences Found For This Report")	Y	Y	Y	Y	Y	Y
5.3 FLAIR Expenditure/Appropriation Ledger Comparison Report: Is Column A01 less than Column B04? (EXBR, EXBB - Negative differences need to be corrected in Column A01.)	Y	Y	Y	Y	Y	Y
5.4 A01/State Accounts Disbursements and Carry Forward Comparison Report: Does Column A01 equal Column B08? (EXBR, EXBD - Differences need to be corrected in Column A01.)	Y	Y	Y	Y	Y	Y
TIP If objects are negative amounts, the agency must make adjustments to Column A01 to correct the object amounts. In addition, the fund totals must be adjusted to reflect the adjustment made to the object data.						
TIP If fund totals and object totals do not agree or negative object amounts exist, the agency must adjust Column A01.						
TIP Exhibit B - A01 less than B04: This audit is to ensure that the disbursements and carry/certifications forward in A01 are less than FY 2010-11 approved budget. Amounts should be positive.						
TIP If B08 is not equal to A01, check the following: 1) the initial FLAIR disbursements or carry forward data load was corrected appropriately in A01; 2) the disbursement data from departmental FLAIR was reconciled to State Accounts; and 3) the FLAIR disbursements did not change after Column B08 was created.						
<b>6. EXHIBIT D-3 (ED3R, ED3) (Not required in the LBR - for analytical purposes only.)</b>						
6.1 Are issues appropriately aligned with appropriation categories?	Y	Y	Y	Y	Y	Y
TIP Exhibit D-3 is no longer required in the budget submission but may be needed for this particular appropriation category/issue sort. Exhibit D-3 is also a useful report when identifying negative appropriation category problems.						
<b>7. EXHIBIT D-3A (EADR, ED3A)</b>						
7.1 Are the issue titles correct and do they clearly identify the issue? (See pages 15 through 30 of the LBR Instructions.)	Y	Y	Y	Y	Y	Y
7.2 Does the issue narrative adequately explain the agency's request and is the explanation consistent with the LRPP? (See page 65 of the LBR Instructions.)	Y	Y	Y	Y	Y	Y
7.3 Does the narrative for Information Technology (IT) issue follow the additional narrative requirements described on pages 69 through 70 of the LBR Instructions?	Y	Y	N/A	N/A	N/A	N/A

Action	Program or Service (Budget Entity Codes)					
	60900101	60900202	60910310	60910506	60910604	60910708
7.4 Are all issues with an IT component identified with a "Y" in the "IT COMPONENT?" field? If the issue contains an IT component, has that component been identified and documented?	Y	Y	N/A	N/A	N/A	N/A
7.5 Does the issue narrative explain any variances from the Standard Expense and Human Resource Services Assessments package? Is the nonrecurring portion in the nonrecurring column? (See pages E-4 and E-5 of the LBR Instructions.)	Y	N/A	N/A	N/A	N/A	N/A
7.6 Does the salary rate request amount accurately reflect any new requests and are the amounts proportionate to the Salaries and Benefits request? Note: Salary rate should always be annualized.	Y	N/A	N/A	N/A	N/A	N/A
7.7 Does the issue narrative thoroughly explain/justify all Salaries and Benefits amounts entered into the Other Salary Amounts transactions (OADA/C)? Amounts entered into OAD are reflected in the Position Detail of Salaries and Benefits section of the Exhibit D-3A.	Y	Y	Y	Y	Y	Y
7.8 Does the issue narrative include the Consensus Estimating Conference forecast, where appropriate?	N/A	N/A	N/A	N/A	N/A	N/A
7.9 Does the issue narrative reference the specific county(ies) where applicable?	Y	Y	Y	Y	Y	Y
7.10 Do the 160XXX0 issues reflect budget amendments that have been approved (or in the process of being approved) and that have a recurring impact (including Lump Sums)? Have the approved budget amendments been entered in Column A18 as instructed in Memo #12-009?	N/A	N/A	Y	N/A	N/A	N/A
7.11 When appropriate are there any 160XXX0 issues included to delete positions placed in reserve in the OPB Position and Rate Ledger (e.g. unfunded grants)? Note: Lump sum appropriations not yet allocated should <u>not</u> be deleted. ( <b>PLRR, PLMO</b> )	N/A	N/A	N/A	N/A	N/A	N/A
7.12 Does the issue narrative include plans to satisfy additional space requirements when requesting additional positions?	Y	N/A	N/A	N/A	N/A	N/A
7.13 Has the agency included a 160XXX0 issue and 210XXXX and 260XXX0 issues as required for lump sum distributions?	Y	Y	Y	Y	Y	Y
7.14 Do the amounts reflect appropriate FSI assignments?	Y	Y	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 29 and 88 of the LBR Instructions.)	N/A	N/A	N/A	N/A	N/A	Y
7.16 Do the issues relating to <i>Information Technology (IT)</i> have a "C" in the sixth position of the issue code (36XXXCX) and are the correct issue codes used (361XXC0, 362XXC0, 363XXC0, 17C01C0, 17C02C0, 17C03C0, 24010C0, 33001C0 or 55C01C0)? Have the correct issue codes been used for the Statewide Email Consolidation (17C10C0, 17C11C0, 17C14C0, 33015C0 and 55C04C0)	Y	Y	N/A	N/A	N/A	N/A
7.17 Are the issues relating to <i>major audit findings and recommendations</i> properly coded (4A0XXX0, 4B0XXX0)?	Y	N/A	N/A	N/A	N/A	N/A
<b>AUDIT:</b>						
7.18 Are all FSI's equal to '1', '2', '3', or '9'? There should be no FSI's equal to '0'. ( <b>EADR, FSIA - Report should print "No Records Selected For Reporting"</b> )	Y	Y	Y	Y	Y	Y
7.19 Does the General Revenue for 160XXXX (Adjustments to Current Year Expenditures) issues net to zero? ( <b>GENR, LBR1</b> )	Y	Y	Y	Y	Y	Y
7.20 Does the General Revenue for 180XXXX (Intra-Agency Reorganizations) issues net to zero? ( <b>GENR, LBR2</b> )	N/A	N/A	N/A	N/A	N/A	N/A
7.21 Does the General Revenue for 200XXXX (Estimated Expenditures Realignment) issues net to zero? ( <b>GENR, LBR3</b> )	Y	N/A	Y	Y	Y	Y

Action	Program or Service (Budget Entity Codes)					
	60900101	60900202	60910310	60910506	60910604	60910708
7.22 Have FCO appropriations been entered into the nonrecurring column A04? <b>(GENR, LBR4 - Report should print "No Records Selected For Reporting" or a listing of D-3A issue(s) assigned to Debt Service (IOE N) or in some cases State Capital Outlay - Public Education Capital Outlay (IOE L) )</b>	Y	N/A	N/A	N/A	N/A	N/A
TIP Salaries and Benefits amounts entered using the OADA/C transactions must be thoroughly justified in the D-3A issue narrative. Agencies can run <b>OADA/OADR</b> from STAM to identify the amounts entered into OAD and ensure these entries have been thoroughly explained in the D-3A issue narrative.						
TIP The issue narrative must completely and thoroughly explain and justify each D-3A issue. Agencies must ensure it provides the information necessary for the OPB and legislative analysts to have a complete understanding of the issue submitted. Thoroughly review pages 67 through 71 of the LBR Instructions.						
TIP Check BAPS to verify status of budget amendments. Check for reapprovals not picked up in the General Appropriations Act. Verify that Lump Sum appropriations in Column A02 do not appear in Column A03. Review budget amendments to verify that 160XXX0 issue amounts correspond accurately and net to zero for General Revenue funds.						
TIP If an agency is receiving federal funds from another agency the FSI should = 9 (Transfer - Recipient of Federal Funds). The agency that originally receives the funds directly from the federal agency should use FSI = 3 (Federal Funds).						
TIP If an appropriation made in the FY 2011-12 General Appropriations Act duplicates an appropriation made in substantive legislation, the agency must create a unique deduct nonrecurring issue to eliminate the duplicated appropriation. Normally this is taken care of through line item veto.						
<b>8. SCHEDULE I &amp; RELATED DOCUMENTS (SC1R, SC1 - Budget Entity Level or SC1R, SC1D - Department Level)</b>						
8.1 Has a separate department level Schedule I and supporting documents package been submitted by the agency?	<i>see Schedule I Department Level - Related Documents for Schedule I Technical Checklist Review</i>					
8.2 Has a Schedule I and Schedule IB been completed in LAS/PBS for each operating trust fund?						
8.3 Have the appropriate Schedule I supporting documents been included for the trust funds (Schedule IA, Schedule IC, and Reconciliation to Trial Balance)?						
8.4 Have the Examination of Regulatory Fees Part I and Part II forms been included for the applicable regulatory programs?						
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)?						
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?						
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?						
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?						
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)? For non-grant federal revenues, is the correct revenue code identified (codes 000504, 000119, 001270, 001870, 001970)?						
8.10 Are the statutory authority references correct?						

Action	Program or Service (Budget Entity Codes)					
	60900101	60900202	60910310	60910506	60910604	60910708
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.)					
8.12	Is this an accurate representation of revenues based on the most recent Consensus Estimating Conference forecasts?					
8.13	If there is no Consensus Estimating Conference forecast available, do the revenue estimates appear to be reasonable?					
8.14	Are the federal funds revenues reported in Section I broken out by individual grant? Are the correct CFDA codes used?					
8.15	Are anticipated grants included and based on the state fiscal year (rather than federal fiscal year)?					
8.16	Are the Schedule I revenues consistent with the FSI's reported in the Exhibit D-3A?					
8.17	If applicable, are nonrecurring revenues entered into Column A04?					
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?					
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?					
8.20	Are appropriate service charge nonoperating amounts included in Section II?					
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.)					
8.23	Are nonoperating expenditures recorded in Section II and adjustments recorded in Section III?					
8.24	Are prior year September operating reversions appropriately shown in column A01?					
8.25	Are current year September operating reversions appropriately shown in column A02? <b>DUE TO THE EARLY SUBMISSION DATE OF THE 2012-13 LBR, CERTIFIED FORWARD REVERSIONS AT 9/30/11 WILL NEED TO BE ADDED BY AGENCIES DURING THE TECHNICAL REVIEW PERIOD.</b>					
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?					
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?					
8.28	Does Line I of Column A01 (Schedule I) equal Line K of the Schedule IC?					
<b>AUDITS:</b>						
8.29	Is Line I a positive number? (If not, the agency must adjust the budget request to eliminate the deficit).					
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? If a Schedule IB was prepared, do the totals agree with the Schedule I, Line I? <b>(SC1R, SC1A - Report should print "No Discrepancies Exist For This Report")</b>					
8.31	Has a Department Level Reconciliation been provided for each trust fund and does Line A of the Schedule I equal the CFO amount? If not, the agency must correct Line A. <b>(SC1R, DEPT)</b>					

*see Schedule I Department Level - Related Documents  
for Schedule I Technical Checklist Review*

Action	Program or Service (Budget Entity Codes)					
	60900101	60900202	60910310	60910506	60910604	60910708
TIP The Schedule I is the most reliable source of data concerning the trust funds. It is very important that this schedule is as accurate as possible!						
TIP Determine if the agency is scheduled for trust fund review. (See page 125 of the LBR Instructions.)						
TIP Review the unreserved fund balances and compare revenue totals to expenditure totals to determine and understand the trust fund status.						
TIP Typically nonoperating expenditures and revenues should not be a negative number. Any negative numbers must be fully justified.						
<b>9. SCHEDULE II (PSCR, SC2)</b>						
AUDIT:						
9.1 Is the pay grade minimum for salary rate utilized for positions in segments 2 and 3? ( <b>BRAR, BRAA - Report should print "No Records Selected For This Request"</b> ) Note: Amounts other than the pay grade minimum should be fully justified in the D-3A issue narrative. (See <i>Base Rate Audit</i> on page 157 of the LBR Instructions.)	Y	Y	Y	Y	Y	Y
<b>10. SCHEDULE III (PSCR, SC3)</b>						
10.1 Is the appropriate lapse amount applied in Segment 3? (See page 90 of the LBR Instructions.)	Y	N/A	N/A	N/A	N/A	N/A
10.2 Are amounts in <i>Other Salary Amount</i> appropriate and fully justified? (See page 97 of the LBR Instructions for appropriate use of the OAD transaction.) Use <b>OADI</b> or <b>OADR</b> to identify agency other salary amounts requested.	Y	Y	Y	Y	Y	Y
<b>11. SCHEDULE IV (EADR, SC4)</b>						
11.1 Are the correct Information Technology (IT) issue codes used?	Y	Y	N/A	N/A	N/A	N/A
TIP If IT issues are not coded correctly (with "C" in 6th position), they will not appear in the Schedule IV.						
<b>12. SCHEDULE VIIIA (EADR, SC8A)</b>						
12.1 Is there only one #1 priority, one #2 priority, one #3 priority, etc. reported on the Schedule VIII-A? Are the priority narrative explanations adequate?	Y	Y	Y	Y	Y	Y
<b>13. SCHEDULE VIIIB-1 (EADR, S8B1)</b>						
13.1 <b>NOT REQUIRED FOR THIS YEAR</b>	N/A	N/A	N/A	N/A	N/A	N/A
<b>14. SCHEDULE VIIIB-2 (EADR, S8B2)</b>						
14.1 Do the reductions comply with the instructions provided on pages 102 through 104 of the LBR Instructions regarding a 10% reduction in recurring General Revenue and Trust Funds, including the verification that the 33BXXX0 issue has not been used?	Y	N/A	Y	Y	Y	Y
<b>15. SCHEDULE XI (LAS/PBS Web - see page 105 of the LBR Instructions for detailed instructions)</b>						
15.1 Agencies are required to generate this spreadsheet via the LAS/PBS Web. <b>The Final Excel version on longer has to be submitted to OPB for inclusion on the Governor's Florida Performs Website.</b> (Note: Pursuant to <i>section 216.023(4)(b), Florida Statutes</i> , the Legislature can reduce the funding level for any agency that does not provide this information.)	Y	Y	Y	Y	Y	Y
15.2 Do the PDF files uploaded to the Florida Fiscal Portal for the LRPP and LBR match?	Y	Y	Y	Y	Y	Y
AUDITS INCLUDED IN THE SCHEDULE XI REPORT:						
15.3 Does the FY 2010-11 Actual (prior year) Expenditures in Column A36 reconcile to Column A01? ( <b>GENR, ACT1</b> )	Y	Y	Y	Y	Y	Y
15.4 None of the executive direction, administrative support and information technology statewide activities (ACT0010 thru ACT0490) have output standards (Record Type 5)? ( <b>Audit #1 should print "No Activities Found"</b> )	Y	Y	Y	Y	Y	Y
15.5 Does the Fixed Capital Outlay (FCO) statewide activity (ACT0210) only contain 08XXXXX or 14XXXXX appropriation categories? ( <b>Audit #2 should print "No Operating Categories Found"</b> )	Y	Y	Y	Y	Y	Y

Action	Program or Service (Budget Entity Codes)					
	60900101	60900202	60910310	60910506	60910604	60910708
15.6 Has the agency provided the necessary standard (Record Type 5) for all activities which <u>should</u> appear in Section II? (Note: Audit #3 will identify those activities that do NOT have a Record Type '5' and have not been identified as a 'Pass Through' activity. These activities will be displayed in Section III with the 'Payment of Pensions, Benefits and Claims' activity and 'Other' activities. Verify if these activities should be displayed in Section III. If not, an output standard would need to be added for that activity and the Schedule XI submitted again.)	Y	Y	Y	Y	Y	Y
15.7 Does Section I (Final Budget for Agency) and Section III (Total Budget for Agency) equal? ( <b>Audit #4 should print "No Discrepancies Found"</b> )	Y	Y	Y	Y	Y	Y
TIP If Section I and Section III have a small difference, it may be due to rounding and therefore will be acceptable.						
<b>16. MANUALLY PREPARED EXHIBITS &amp; SCHEDULES</b>						
16.1 Do exhibits and schedules comply with LBR Instructions (pages 110 through 154 of the LBR Instructions), and are they accurate and complete?	Y	Y	Y	Y	Y	Y
16.2 Are appropriation category totals comparable to Exhibit B, where applicable?	Y	Y	Y	Y	Y	Y
16.3 Are agency organization charts (Schedule X) provided and at the appropriate level of detail?	Y	Y	Y	Y	Y	Y
<b>AUDITS - GENERAL INFORMATION</b>						
TIP Review <i>Section 6: Audits</i> of the LBR Instructions (pages 156-158) for a list of audits and their descriptions.						
TIP Reorganizations may cause audit errors. Agencies must indicate that these errors are due to an agency reorganization to justify the audit error.						
<b>17. CAPITAL IMPROVEMENTS PROGRAM (CIP)</b>						
17.1 Are the CIP-2, CIP-3, CIP-A and CIP-B forms included?	Y	Y	Y	Y	Y	Y
17.2 Are the CIP-4 and CIP-5 forms submitted when applicable (see CIP Instructions)?	Y	Y	Y	Y	Y	Y
17.3 Do all CIP forms comply with CIP Instructions where applicable (see CIP Instructions)?	Y	Y	Y	Y	Y	Y
17.4 Does the agency request include 5 year projections (Columns A03, A06, A07, A08 and A09)?	Y	Y	Y	Y	Y	Y
17.5 Are the appropriate counties identified in the narrative?	Y	Y	Y	Y	Y	Y
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?	Y	Y	Y	Y	Y	Y
TIP Requests for Fixed Capital Outlay appropriations which are Grants and Aids to Local Governments and Non-Profit Organizations must use the Grants and Aids to Local Governments and Non-Profit Organizations - Fixed Capital Outlay major appropriation category (140XXX) and include the sub-title "Grants and Aids". These appropriations utilize a CIP-B form as justification.						
<b>18. FLORIDA FISCAL PORTAL</b>						
18.1 Have all files been assembled correctly and posted to the Florida Fiscal Portal as outlined in the Florida Fiscal Portal Submittal Process?	Y	Y	Y	Y	Y	Y
<b>19. CREATION OF DEPARTMENT OF ECONOMIC OPPORTUNITY (DEO)</b>						

Action	Program or Service (Budget Entity Codes)					
	60900101	60900202	60910310	60910506	60910604	60910708
<p>19.1 If you are an agency that no longer exists or is transferred to DEO after the approval of the reorganization by the Legislative Budget Commission (LBC), have you submitted the following schedules, as applicable:</p> <ul style="list-style-type: none"> <li>• Schedule I: Trust Funds Available and Schedule IB -DEPARTMENT LEVEL</li> <li>• Schedule IA: Detail of Fees and Related Costs (Part I and Part II)</li> <li>• Schedule IC: Reconciliation of Unreserved Fund Balances</li> <li>• Reconciliation: Beginning Trial Balance to Schedule I and IC</li> <li>• Exhibit D-1: Detail of Expenses</li> <li>• Schedule XI: Agency-Level Unit Cost Summary</li> <li>• Opening Trial Balance as of July 1, 2011</li> <li>• Schedule I Narratives related to Column A01</li> <li>• Inter-Agency Transfer Form</li> </ul>	N/A	N/A	N/A	N/A	N/A	N/A