

LEGISLATIVE BUDGET REQUEST

Department of Elder Affairs

Tallahassee

October 15, 2012

RICK SCOTT
GOVERNOR

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

CHARLES T. CORLEY
SECRETARY

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

Terry Rhodes, Staff Director
Senate Budget Committee
201 Capitol
Tallahassee, Florida 32399-1300

Dear Directors:

Pursuant to Chapter 216, *Florida Statutes*, our Legislative Budget Request for the Department of Elder Affairs is submitted in the format prescribed in the budget instructions. The information provided electronically and contained herein is a true and accurate presentation of our proposed needs for the 2013-14 Fiscal Year. This submission has been approved by Charles T. Corley, Secretary.

4040 ESPLANADE WAY
TALLAHASSEE, FLORIDA
32399-7000

phone 850-414-2000
fax 850-414-2004
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Sincerely,

Jonathon Manalo
Chief Financial Officer



Temporary Special Duty
General Pay Additives Implementation Plan
For Fiscal Year 2013-14

NOT APPLICABLE

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

Manual Exhibits, Schedules and Supporting Documents

Letter of Transmittal

Temporary Special Duty – General Pay Additives Implementation Plan for Fiscal Year 2013-14

Department Level Exhibits and Schedules

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

Non-Strategic IT Service: Network Service				
Dept/Agency: Dept. of Elder Affairs Prepared by: Steve Grantham, CIO Phone: 850-414-2023		# of Assets & Resources Apportioned to this IT Service in FY 2013-14		
Service Provisioning -- Assets & Resources (Cost Elements)				Estimated FY 2013-14 Allocation of Recurring Base Budget (based on Column G64 minus G65)
	Footnote Number	Number used for this service	Number w/ costs in FY 2013-14	
A. Personnel				\$60,470
A-1.1	State FTE	1	0.97	\$60,470
A-2.1	OPS FTE		0.00	\$0
A-3.1	Contractor Positions (Staff Augmentation)		0.00	\$0
B. Hardware				\$67,808
B-1	Servers	2	3	\$17,868
B-2	Server Maintenance & Support		0	\$0
B-3	Network Devices & Hardware (e.g., routers, switches, hubs, cabling, etc.)		0	\$0
B-4	Online Storage for file and print (indicate GB of storage)	3	2048	\$24,970
B-5	Archive Storage for file and print (indicate GB of storage)	3	2048	\$24,970
B-6	Other Hardware Assets (Please specify in Footnote Section below)			\$0
C. Software				\$23,759
D. External Service Provider(s)				\$333,935
D-1	MyFloridaNet			\$185,915
D-2	Other (Please specify in Footnote Section below)	5		\$148,020
E. Other (Please describe in Footnotes Section below)				\$28,618
F. Total for IT Service				\$514,590
G. Please identify the number of users of the Network Service				932
H. How many locations currently host IT assets and resources used to provide LAN services?				12
I. How many locations currently use WAN services?				13
J. Footnotes - Please indicate a footnote for each corresponding row above. Maximum footnote length is 1024 characters.				
1	Split over 2 FTEs			
2	No virtual servers. Not all servers are 100% allocated to this junction. Servers located in SSRC. Rates based on SSRC charges per server. Number w/cost is estimated percentage usage on all servers.			
3	4Tb Level 1, Unmirrored back-up @ SSRC \$49,940 Storage and archive split.			
4	Novell \$13,636; FiberLink \$411; Open DNS \$4,812; FiberLink \$4,920			
5	AirCards used for field connection to CIRT for assessments. 312ea \$148,020. annual :			
6	Siemens VOIP Service Contract \$28,618; Citrix Go-to-meeting \$8,700; Hayes Secure Comm. \$4,800; FL-GA Alarm \$600; Fiber Link \$4,920			
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Non-Strategic IT Service: E-Mail, Messaging, and Calendaring Service					
Agency: Dept. of Elder Affairs Prepared by: Steve Grantham, CIO Phone: 850-414-2023			# of Assets & Resources Apportioned to this IT Service in FY 2013-14		
Service Provisioning -- Assets & Resources (Cost Elements)		Footnote Number	Number used for this service	Number w/ costs in FY 2013-14	Estimated FY 2013-14 Allocation of Recurring Base Budget (based on Column G64 minus G65)
A. Personnel					
A-1	State FTE	1	0.70		\$51,406
A-2	OPS FTE		0.00		\$0
A-3	Contractor Positions (Staff Augmentation)		0.00		\$0
B. Hardware					
B-1	Servers	2	3	3	\$46,080
B-2	Server Maintenance & Support		0	0	\$0
B-3	Wireless Communication Devices (e.g., Blackberries, iPhones, PDAs, etc.)		0	0	\$0
B-4	Online Storage (indicate GB of storage)	3	500		\$6,168
B-5	Archive Storage (indicate GB of storage)	3	500		\$6,168
B-6	Other Hardware Assets (Please specify in Footnote Section below)				\$0
C. Software					
		4			\$88,922
D. External Service Provider(s)					
D-1	Southwood Shared Resource Center				\$0
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
E. Other (Please describe in Footnotes Section below)					
					\$0
F. Total for IT Service					
					\$198,744
G. Please provide the number of user mailboxes.					792
H. Please provide the number of resource mailboxes.					93
I. Footnotes - Please indicate a footnote for each corresponding row above. Maximum footnote length is 1024 characters.					
1	Spit 35/35 over 2 FTEs				
2	Servers dedicated 100%. Located in SSRC and based on billing rate.				
3	Cost based on SSRC published for Level 1, Unmirrored storage + backup. Online and archive spit. Licence count is 1244 due to legacy area agencies support w/ a bundled agreement. Less expensive to retain bundle than break out reduced number of users. Novell \$72,202; Notify \$4,320; GWArchive \$12,400.				
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Non-Strategic IT Service:		Desktop Computing Service			
Agency: Dept. of Elder Affairs		# of Assets & Resources Apportioned to this IT Service in FY 2013-14			
Prepared by: Steve Grantham, CIO					
Phone: 850-414-2023					
Service Provisioning -- Assets & Resources (Cost Elements)		Footnote Number	Number used for this service	Number w/ costs in FY 2013-14	Estimated FY 2013-14 Allocation of Recurring Base Budget (based on Column G64 minus G65)
A. Personnel			4.20		\$210,341
A-1	State FTE		2.20		\$124,659
A-2	OPS FTE		2.00		\$85,682
A-3	Contractor Positions (Staff Augmentation)		0.00		\$0
B. Hardware			3	1.6	\$206,399
B-1	Servers	1	3	1.6	\$17,686
B-2	Server Maintenance & Support		0	0	\$0
B-3.1	Desktop Computers		0	0	\$46,743
B-3.2	Mobile Computers (e.g., Laptop, Notebook, Handheld, Wireless Computer)		0	0	\$62,666
B-3.3	Other Hardware Assets (Please specify in Footnote Section below)	5	0	0	\$79,304
C. Software		4			\$20,973
D. External Service Provider(s)		2	600	0	\$500
E. Other (Please describe in Footnotes Section below)		3			\$5,000
F. Total for IT Service					\$443,213
G. Please identify the number of users of this service.					932
H. How many locations currently use this service?					34
I. Footnotes - Please indicate a footnote for each corresponding row above. Maximum footnote length is 1024 characters.					
1	No virtual servers. Not all servers are 100% allocated to this junction. Servers located in SSRC. Rates based on SSRC charges per server. Number w/cost is estimated usage of all servers.				
2	Cloud based software service desk software.				
3	Travel expense to support remote offices. \$4,020				
4	Universal Image \$2,170; Go to Assist \$12,150; Zenworks \$6,653				
5	Monitors \$26,891, Docking stations \$8,656, Projectors \$7,344, Scanners \$5,622, Misc. PC card Purchases \$13,137, MFMP printer parts, disk drives, cables, adaptors, etc. \$17,654				
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Non-Strategic IT Service:		Helpdesk Service			
Agency: Dept. of Elder Affairs		# of Assets & Resources Apportioned to this IT Service in FY 2013-14			
Prepared by: Steve Grantham, CIO					
Phone: 850-414-2023					
Service Provisioning -- Assets & Resources (Cost Elements)		Footnote Number	Number used for this service	Number w/ costs in FY 2013-14	Estimated FY 2013-14 Allocation of Recurring Base Budget (based on Column G64 minus G65)
A. Personnel			1.00		\$44,247
A-1	State FTE	1	1.00		\$44,247
A-2	OPS FTE		0.00		\$0
A-3	Contractor Positions (Staff Augmentation)		0.00		\$0
B. Hardware			0	0	\$0
B-1	Servers		0	0	\$0
B-2	Server Maintenance & Support		0	0	\$0
B-3	Other Hardware Assets (Please specify in Footnote Section below)		0	0	\$0
C. Software		2			\$12,150
D. External Service Provider(s)			0	0	\$0
E. Other (Please describe in Footnotes Section below)					\$0
F. Total for IT Service					\$56,397
G. Please identify the number of users of this service.					932
H. How many locations currently host IT assets and resources used to provide this service?					34
I. What is the average monthly volume of calls/cases/tickets?					688
J. Footnotes - Please indicate a footnote for each corresponding row above. Maximum footnote length is 1024 characters.					
1	Elder Affairs does not support a separate Helpdesk service. Level 1 and Level 2 calls are handled by Desktop support. Estimated 1 FTE for this function				
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Non-Strategic IT Service:		IT Security/Risk Mitigation Service			
Agency: Dept. of Elder Affairs		# of Assets & Resources Apportioned to this IT Service in FY 2013-14			
Prepared by: Steve Grantham, CIO					
Phone: 850-414-2023					
Service Provisioning -- Assets & Resources (Cost Elements)		Footnote Number	Number used for this service	Number w/ costs in FY 2013-14	Estimated FY 2013-14 Allocation of Recurring Base Budget (based on Column G64 minus G65)
A. Personnel			0.30		\$27,190
A-1	State FTE	1	0.30		\$27,190
A-2	OPS FTE		0.00		\$0
A-3	Contractor Positions (Staff Augmentation)		0.00		\$0
B. Hardware			2	0.66	\$10,128
B-1	Servers	2	2	0.66	\$10,128
B-2	Server Maintenance & Support		0	0	\$0
B-3	Other Hardware Assets (Please specify in Footnote Section below)		0	0	\$0
C. Software		3			\$25,778
D. External Service Provider(s)			0	0	\$0
E. Other (Please describe in Footnotes Section below)					\$0
F. Total for IT Service					\$63,096
G. Footnotes - Please indicate a footnote for each corresponding row above. Maximum footnote length is 1024 characters.					
1					
2	No Virtual Servers. Not all servers are 100% allocated to this junction. 1 Server located in SSRK. 1 located in Agency data center. Number w/cost is estimated usage on all servers.				
3	Sophos End Point Manager \$24,780; Vulnerabilty Research \$998;				
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Non-Strategic IT Service:		Agency Financial and Administrative Systems Support Service			
Agency: Dept. of Elder Affairs		# of Assets & Resources			
Prepared by: Steve Grantham, CIO		AppORTioned to this			
Phone: 850-414-2023		IT Service in FY 2013-14			
Service Provisioning -- Assets & Resources (Cost Elements)		Footnote Number	Number used for this service	Number w/ costs in FY 2013-14	Estimated FY 2013-14 Allocation of Recurring Base Budget (based on Column G64 minus G65)
A. Personnel			0.50		\$21,192
A-1	State FTE	1	0.50		\$21,192
A-2	OPS FTE		0.00		\$0
A-3	Contractor Positions (Staff Augmentation)		0.00		\$0
B. Hardware			0	0	\$0
B-1	Servers		0	0	\$0
B-2	Server Maintenance & Support		0	0	\$0
B-3	Other Hardware Assets (Please specify in Footnote Section below)		0	0	\$0
C. Software		2			\$7,631
D. External Service Provider(s)			0	0	\$0
E. Other (Please describe in Footnotes Section below)					\$0
F. Total for IT Service					\$28,823
G. Please identify the number of users of this service.					25
H. How many locations currently host agency financial/administrative systems?					1
I. Footnotes - Please indicate a footnote for each corresponding row above. Maximum footnote length is 1024 characters.					
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2	Terminal emulation software				
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Non-Strategic IT Service: IT Administration and Management Service				
Agency: Dept. of Elder Affairs Prepared by: Steve Grantham, CIO Phone: 850-414-2023			# of Assets & Resources Apportioned to this IT Service in FY 2013-14	
Service Provisioning -- Assets & Resources (Cost Elements)	Footnote Number	Number used for this service	Number w/ costs in FY 2013-14	Estimated FY 2013-14 Allocation of Recurring Base Budget (based on Column G64 minus G65)
A. Personnel				
A-1 State FTE		1.55		\$120,872
A-2 OPS FTE		0.00		\$0
A-3 Contractor Positions (Staff Augmentation)		0.00		\$0
B. Hardware				
B-1 Servers		0	0	\$0
B-2 Server Maintenance & Support		0	0	\$0
B-3 Other Hardware Assets (Please specify in Footnote Section below)		0	0	\$0
C. Software				
D. External Service Provider(s)				
E. Other (Please describe in Footnotes Section below)				
		1,2		\$20,000
F. Total for IT Service				\$140,872
G. How many locations currently host assets and resources used to provide this service?				1
G. Footnotes - Please indicate a footnote for each corresponding row above. Maximum footnote length is 1024 characters.				
1	Misc. Office expense and minor h/w / s/w purchases. 10,000			
2	Travel expense and training exp. 3,000 and 3,000.			
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Non-Strategic IT Service: Web/Portal Service				
Dept/Agency: Dept. of Elder Affairs Prepared by: Steve Grantham, CIO Phone: 850-414-2023		# of Assets & Resources Apportioned to this IT Service In FY 2013-14		
Service Provisioning -- Assets & Resources (Cost Elements)	Footnote Number	Number used for this service	Number w/ costs in FY 2013-14	Estimated FY 2013-14 Allocation of Recurring Base Budget (based on Column G64 minus G65)
A. Personnel		1.65		\$83,393
A-1.1 State FTE		1.00		\$55,587
A-2.1 OPS FTE		0.65		\$27,806
A-3.1 Contractor Positions (Staff Augmentation)		0.00		\$0
B. Hardware				\$46,080
B-1 Servers		3	3	\$46,080
B-2 Server Maintenance & Support		0	0	\$0
B-3 Other Hardware Assets (Please specify in Footnotes Section below)		0	0	\$0
C. Software	2			\$13,493
D. External Service Provider(s)		0	0	\$0
E. Other (Please describe in Footnotes Section below)				\$0
F. Total for IT Service				\$142,966
G. Please identify the number of Internet users of this service.				187,413
H. Please identify the number of intranet users of this service.				932
I. How many locations currently host IT assets and resources used to provide this service?				1
J. Footnotes	Please indicate a footnote for each corresponding row above. Maximum footnote length is 1024 characters.			
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2	Oracle single sign on 12,763.00 Dreamweaver 730.00			
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Non-Strategic IT Service: Data Center Service				
Dept/Agency: Dept. of Elder Affairs		# of Assets & Resources Apportioned to this IT Service In FY 2013-14		
Prepared by: Steve Grantham, CIO				
Phone: 850-414-2023				
Service Provisioning -- Assets & Resources (Cost Elements)	Footnote Number	Number used for this service	Number w/ costs in FY 2013-14	Estimated FY 2013-14 Allocation of Recurring Base Budget (based on Column G64 minus G65)
A. Personnel (performing data center functions defined in w. 282.201(2)(d)1.e., F.S.)		0.13		\$10,143
A-1.1 State FTE		0.13		\$10,143
A-2.1 OPS FTE		0.00		\$0
A-3.1 Contractor Positions (Staff Augmentation)		0.00		\$0
B. Hardware				\$0
B-1 Non-Mainframe Servers (including single-function logical servers not assigned to another service)	1,2	6	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)	3	4096		\$0
B-5 Data Center/ Computing Facility Internal Network				\$0
B-6 Other Hardware (Please specify in Footnotes Section below)				\$0
C. Software				\$0
D. External Service Provider(s)				\$0
D-1 Southwood Shared Resource Center (indicate # of Board votes)		0		\$0
D-2 Northwood Shared Resource Center (indicate # of Board votes)		0		\$0
D-3 Northwest Regional Data Center (indicate # of Board votes)		0		\$0
D-4 Other Data Center External Service Provider (specify in Footnotes below)				\$0
E. Plant & Facility				\$0
E-1 Data Center/Computing Facilities Rent & Insurance				\$0
E-2 Utilities (e.g., electricity and water)				\$0
E-3 Environmentals (e.g., HVAC, fire control, and physical security)				\$0
E-4 Other (please specify in Footnotes Section below)				\$0
F. Other (Please describe in Footnotes Section below)				\$0
G. Total for IT Service				\$10,143
H. Please provide the number of agency data centers.				0
I. Please provide the number of agency computing facilities.				1
J. Please provide the number of single-server installations.				0
H. Footnotes - Please indicate a footnote for each corresponding row above. Maximum footnote length is 1024 characters.				
1	Most all servers are located in SSRC, fully managed. Few remaining servers at Agency to be moved 2013.			
2	No anticipated additional cost for remaining servers.			
3	Agency built Network Storage Device. No maintenance or recurring cost. New storage cost captured in Network Storage			
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Agency: Dept. of Elder Affairs

Budget Entry Code	Budget Entity	Program Component Code	Program Component	Appropriation Category Code	Appropriation Category	Fund Code	Fund	FSI	Identified Funding as % of		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
									Line Item Total	Funding Identified for IT Service									
									100.0000%	100.0000%									
											\$198,744	\$514,590	\$443,213	\$56,397	\$63,096	\$28,823	\$140,872	\$142,966	\$10,143
1	65100200	Comp. Elig Svcs.	1303000000	Long-term Care	040000	Expenses	1000	General Revenue	2	\$14,822		\$14,134							
2	65100200	Comp. Elig Svcs.	1303000000	Long-term Care	040000	Expenses	2516	Operation & Maintenance	3	\$81,264		\$81,264							
3	65100400	Home & Community	1303000000	Long-term Care	040000	Expenses	1000	General Revenue	1	\$7,727		\$16	\$7,711						
4	65100400	Home & Community	1303000000	Long-term Care	040000	Expenses	1000	General Revenue	2	\$1,968		\$416	\$1,552						
5	65100400	Home & Community	1303000000	Long-term Care	040000	Expenses	2261	Federal Grant	3	\$16,771		\$176	\$16,595						
6	65100400	Home & Community	1303000000	Long-term Care	040000	Expenses	2516	Operation & Maintenance	3	\$1,016			\$1,016						
7	65100600	Exec. Dir & Sup Svcs	1208000000	Emerg Prev/Prep/Respsns	040000	Expenses	1000	General Revenue	2	\$188			\$188						
8	65100600	Exec. Dir & Sup Svcs	1208000000	Emerg Prev/Prep/Respsns	040000	Expenses	2261	Federal Grant	3	\$3,773			\$3,773						
9	65100600	Exec. Dir & Sup Svcs	1602000000	Exec. Leadership/Support	040000	Expenses	1000	General Revenue	1	\$11,251			\$11,251						
10	65100600	Exec. Dir & Sup Svcs	1602000000	Exec. Leadership/Support	040000	Expenses	1000	General Revenue	2	\$2,022			\$2,022						
11	65100600	Exec. Dir & Sup Svcs	1602000000	Exec. Leadership/Support	040000	Expenses	2021	Administration TF	3	\$2,387			\$2,387						
12	65100600	Exec. Dir & Sup Svcs	1602000000	Exec. Leadership/Support	040000	Expenses	2261	Federal Grant	3	\$57,145			\$57,145						
13	65100600	Exec. Dir & Sup Svcs	1602000000	Exec. Leadership/Support	060000	Operating Capital Outlay	2261	Federal Grant	3	\$1,114			\$1,114						
14	65100600	Exec. Dir & Sup Svcs	1603000000	Information Technology	010000	Salaries and Benefit	1000	General Revenue	1	\$44,247			\$44,247						
15	65100600	Exec. Dir & Sup Svcs	1603000000	Information Technology	010000	Salaries and Benefit	1000	General Revenue	2	\$43,573			\$19,080		\$5,298	\$5,298	\$13,897		
16	65100600	Exec. Dir & Sup Svcs	1603000000	Information Technology	010000	Salaries and Benefit	2261	Federal Grant	3	\$130,717			\$57,239		\$15,894	\$15,894	\$41,690		
17	65100600	Exec. Dir & Sup Svcs	1603000000	Information Technology	010000	Salaries and Benefit	2021	Administration TF	3	\$297,229	\$51,406	\$60,470	\$48,340	\$27,190		\$99,680		\$10,143	
18	65100600	Exec. Dir & Sup Svcs	1603000000	Information Technology	030000	OPS	2021	Administration TF	3	\$113,488			\$85,682					\$27,806	
19	65100600	Exec. Dir & Sup Svcs	1603000000	Information Technology	040000	Expenses	1000	General Revenue	2	\$86,221	\$58,416	\$16,285						\$11,520	
20	65100600	Exec. Dir & Sup Svcs	1603000000	Information Technology	040000	Expenses	2021	Administration TF	3	\$37,430			\$7,302	\$10,128		\$20,000			
21	65100600	Exec. Dir & Sup Svcs	1603000000	Information Technology	040000	Expenses	2261	Federal Grant	3	\$172,338	\$88,922	\$48,856						\$34,560	
22	65100600	Exec. Dir & Sup Svcs	1603000000	Information Technology	210021	Southwood Shared Resource Ctr	2021	Administration TF	3	\$276,220			\$12,150	\$25,778					
23	65100600	Exec. Dir & Sup Svcs	1603000000	Information Technology	210021	Southwood Shared Resource Ctr	2261	Federal Grant	3	\$169,144			\$148,020			\$7,631		\$13,493	
24	65101000	Consumer Adv. Svcs.	1304000000	HHSS/Most Vulnerable	040000	Expenses	1000	General Revenue	1	\$1,083			\$1,083						
25	65101000	Consumer Adv. Svcs.	1304000000	HHSS/Most Vulnerable	040000	Expenses	1000	General Revenue	2	\$3,850			\$3,850						
26	65101000	Consumer Adv. Svcs.	1304000000	HHSS/Most Vulnerable	040000	Expenses	2021	Administration TF	3	\$345			\$345						
27	65101000	Consumer Adv. Svcs.	1304000000	HHSS/Most Vulnerable	103566	Long Term Care Ombudsman	1000	General Revenue	2	\$21,511		\$288	\$21,223						
28										\$0									
29										\$0									
30										\$0									
Sum of IT Cost Elements Across IT Services																			
IT Cost Element Data as entered on IT Service Worksheets	Personnel		State FTE (#)	8.35	0.70	0.97	2.20	1.00	0.30	0.50	1.55	1.00	0.13						
			State FTE (Costs)	\$515,766	\$51,406	\$60,470	\$124,659	\$44,247	\$27,190	\$21,192	\$120,872	\$55,587	\$10,143						
			OPS FTE (#)	2.65	0.00	0.00	2.00	0.00	0.00	0.65	0.00								
			OPS FTE (Cost)	\$113,488	\$0	\$0	\$85,682	\$0	\$0	\$27,806	\$0								
			Vendor/Staff Augmentation (# Positions)	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00					
			Vendor/Staff Augmentation (Costs)	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0					
			Hardware	\$388,831	\$58,416	\$67,808	\$206,399	\$0	\$10,128	\$0	\$46,080	\$0							
			Software	\$192,706	\$88,922	\$23,759	\$20,973	\$12,150	\$25,778	\$7,631	\$0	\$13,493	\$0						
			External Services	\$334,435	\$0	\$333,935	\$500	\$0	\$0	\$0	\$0	\$0	\$0						
			Plant & Facility (Data Center Only)	\$0															
			Other	\$53,618	\$0	\$28,618	\$5,000	\$0	\$0	\$0	\$20,000	\$0	\$0						
			Budget Total	\$1,598,844	\$198,744	\$514,590	\$443,213	\$56,397	\$63,096	\$28,823	\$140,872	\$142,966	\$10,143						
FTE Total	11.00	0.70	0.97	4.20	1.00	0.30	0.50	1.55	1.65	0.13									
Users		885	932	932	932	25	188,345												
Cost Per User		\$225	\$552,135,1931	\$475,550,4292	\$60,511,80258	\$1152.92	\$0.759064483												

(cost/all mailboxes) Help Desk Tickets: 688
Cost/Ticket: 6.831031977

Schedule VII: Agency Litigation Inventory

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

Agency:	Department of Elder Affairs		
Contact Person:	Donald Bell	Phone Number:	414-2074
Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	NOT APPLICABLE		
Court with Jurisdiction:			
Case Number:			
Summary of the Complaint:			
Amount of the Claim:	\$		
Specific Statutes or Laws (including GAA) Challenged:			
Status of the Case:			
Who is representing (of record) the state in this lawsuit? Check all that apply.		Agency Counsel	
		Office of the Attorney General or Division of Risk Management	
		Outside Contract Counsel	
If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).			

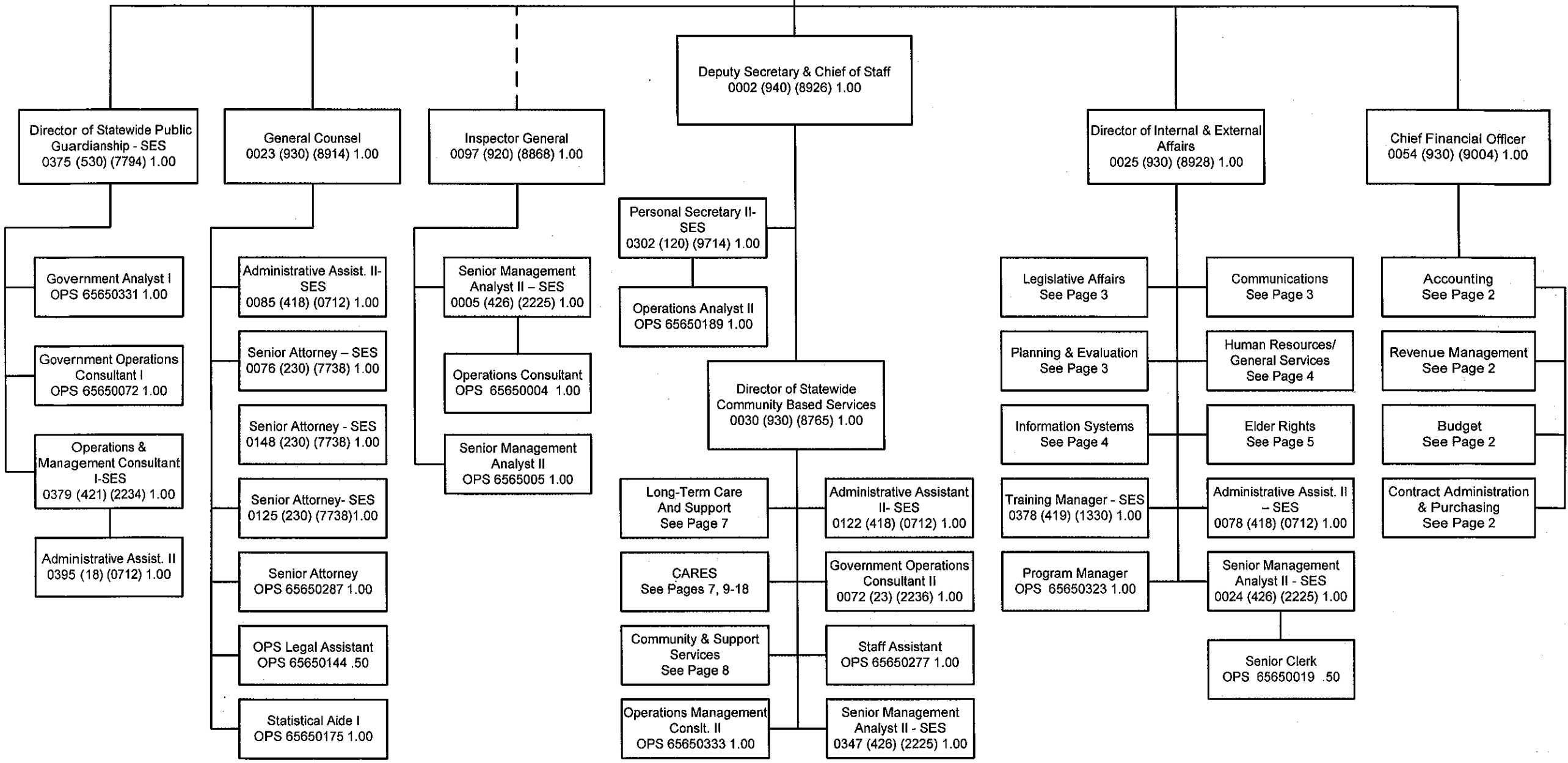
DEPARTMENT OF ELDER AFFAIRS

Secretary
0001 (950) (8925) 1.00

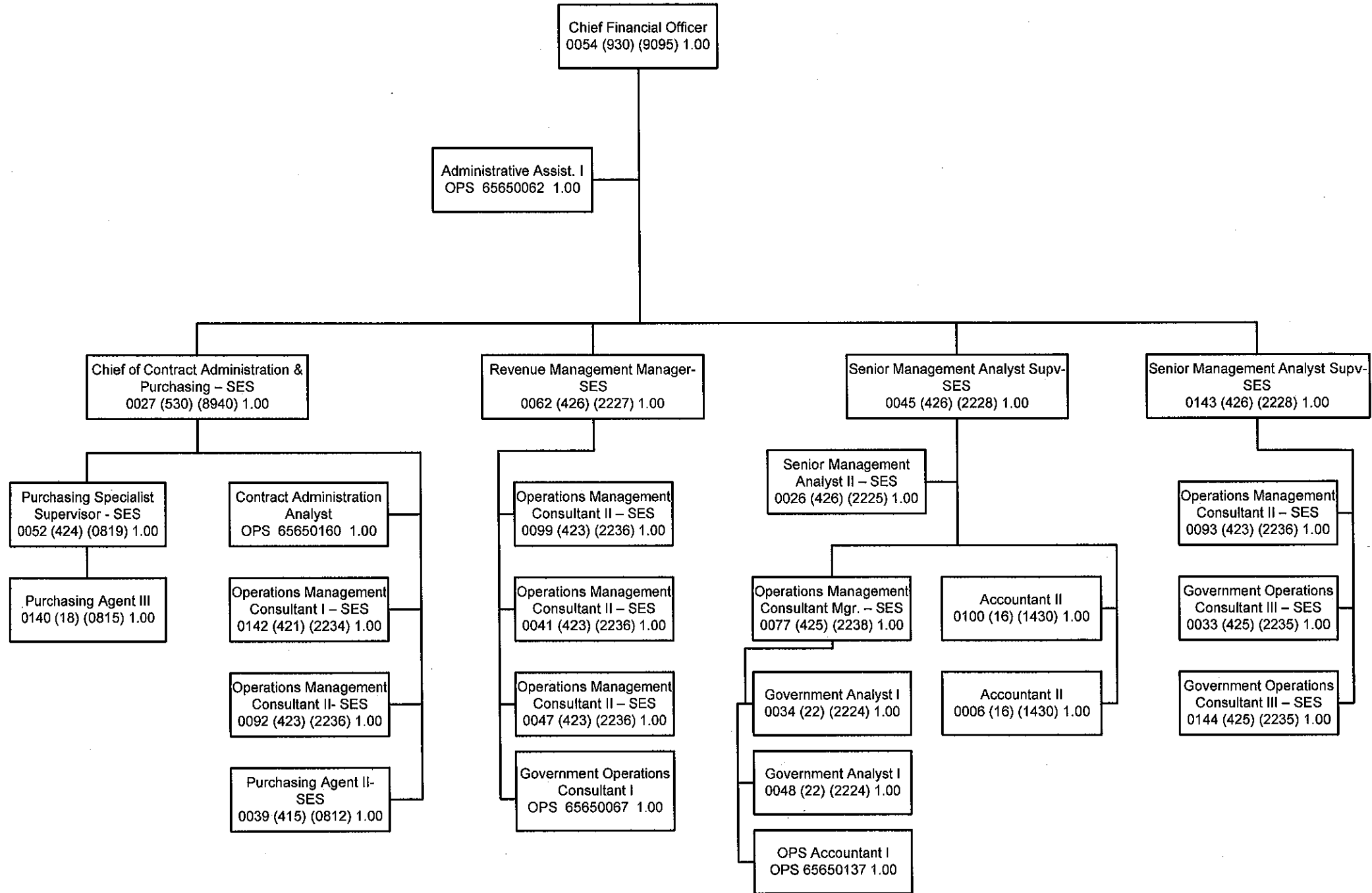
Long-Term Care
Ombudsman Program
See Page 20-23

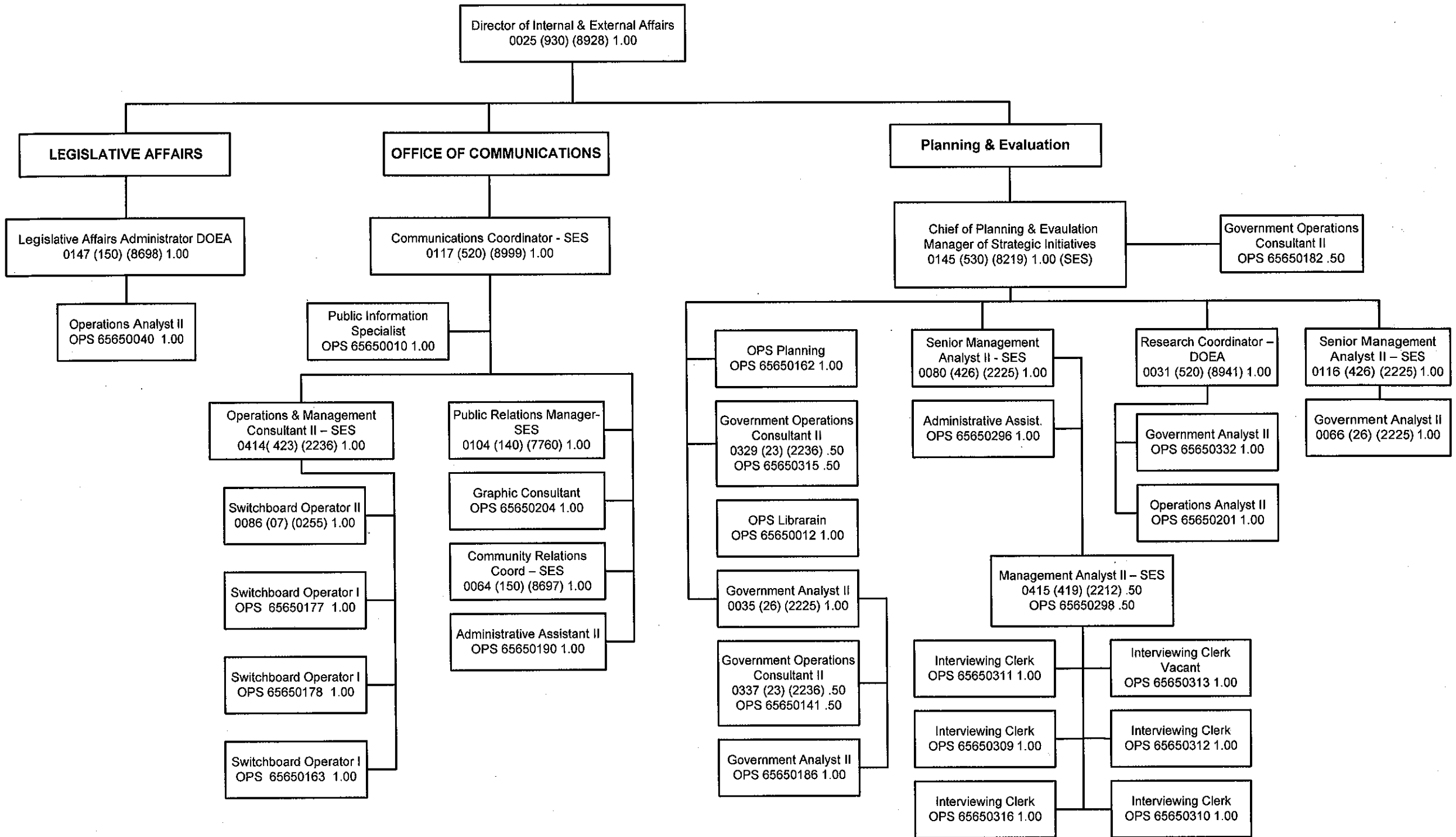
Advisory Council
ADI

Advisory Council
DOEA



Division of Financial Administration





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

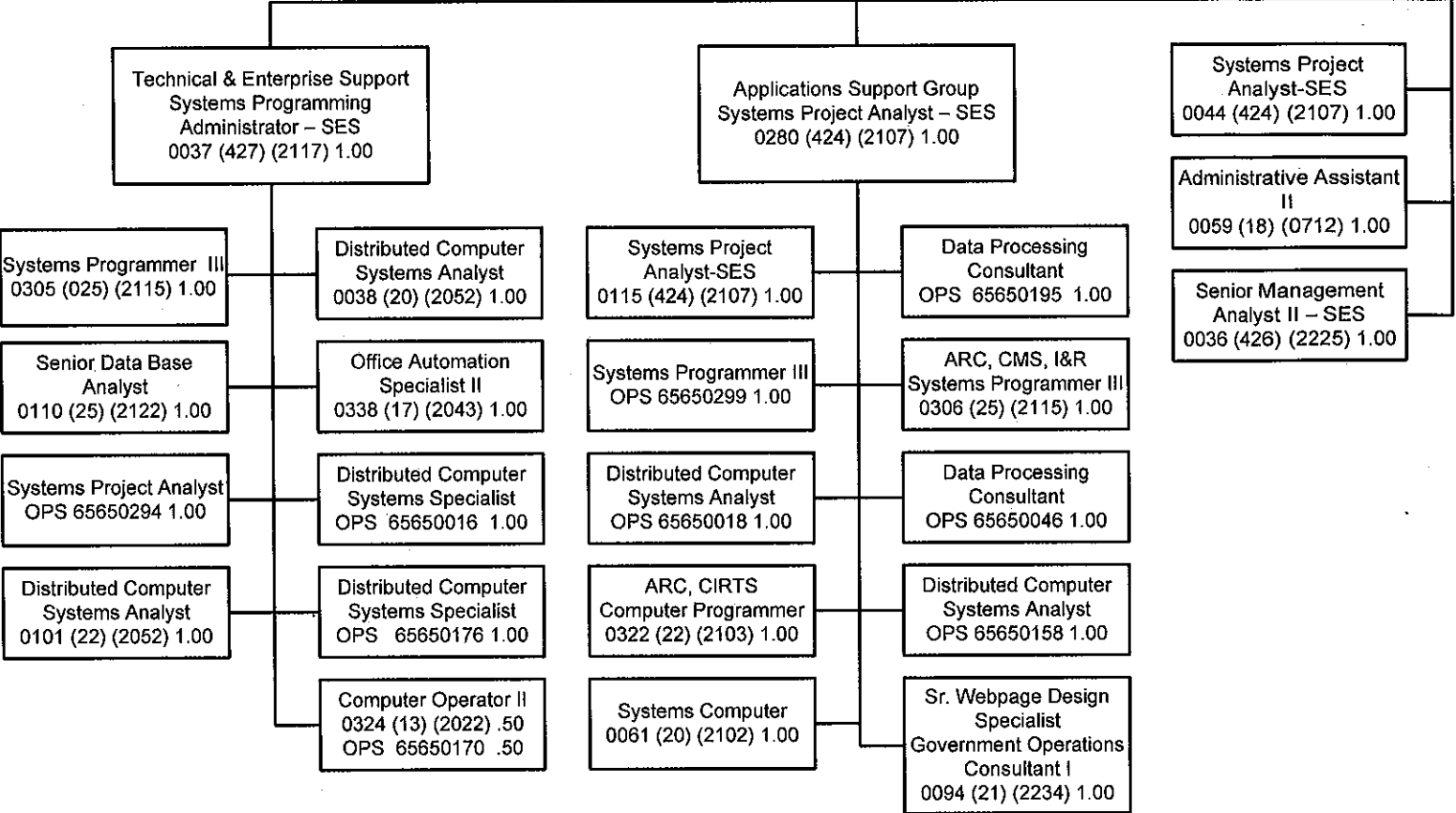
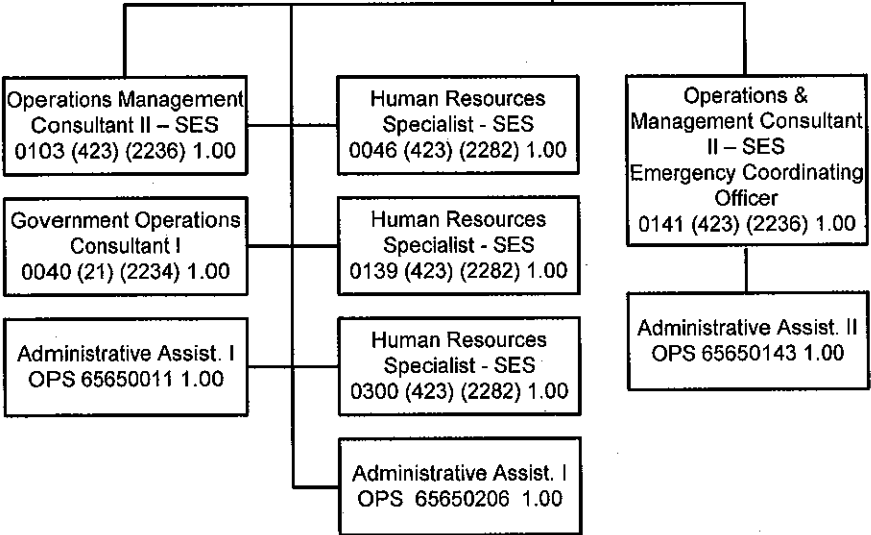
Human Resources/ General Services /
Emergency Operations and Disaster
Preparedness

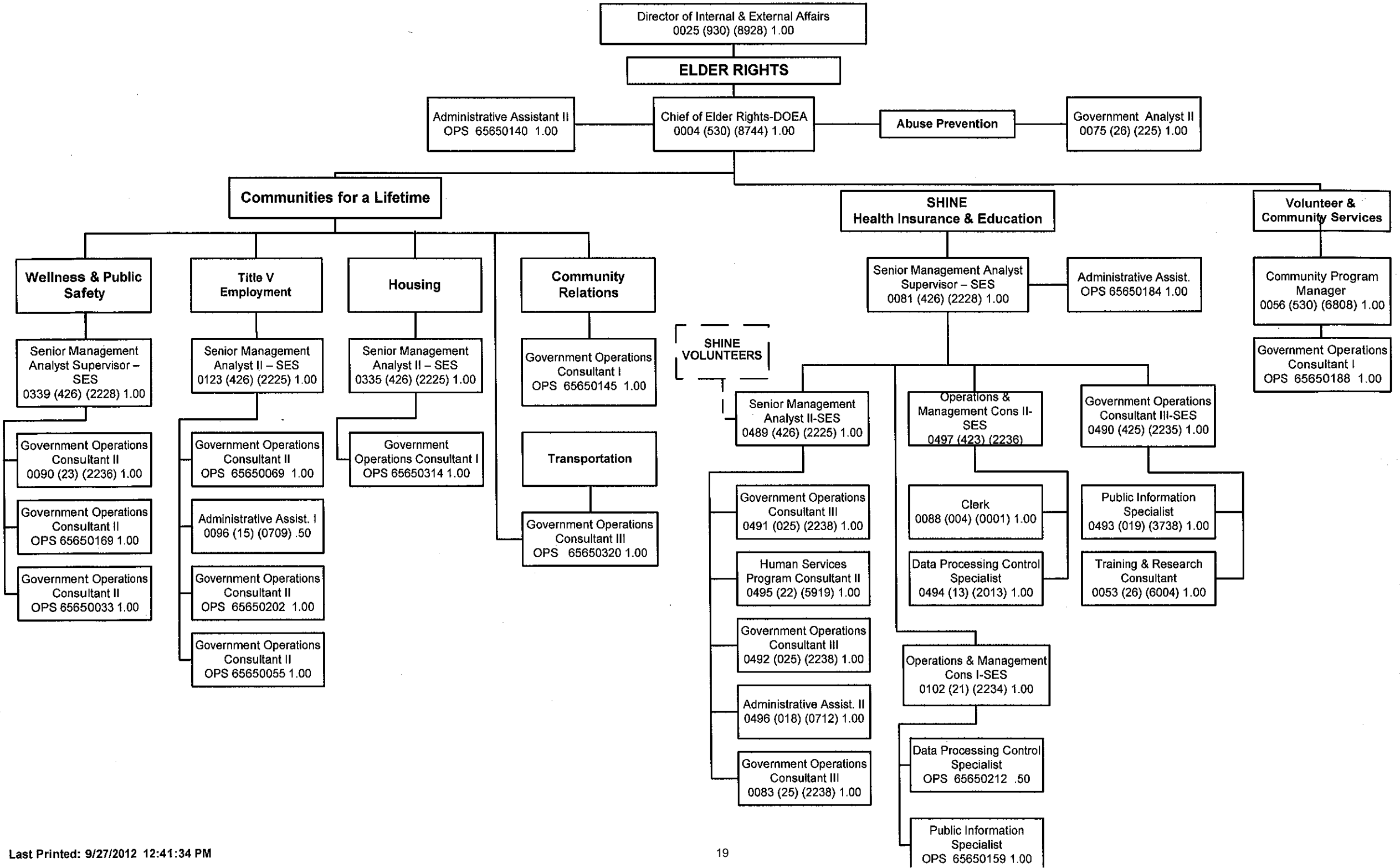
Information Systems

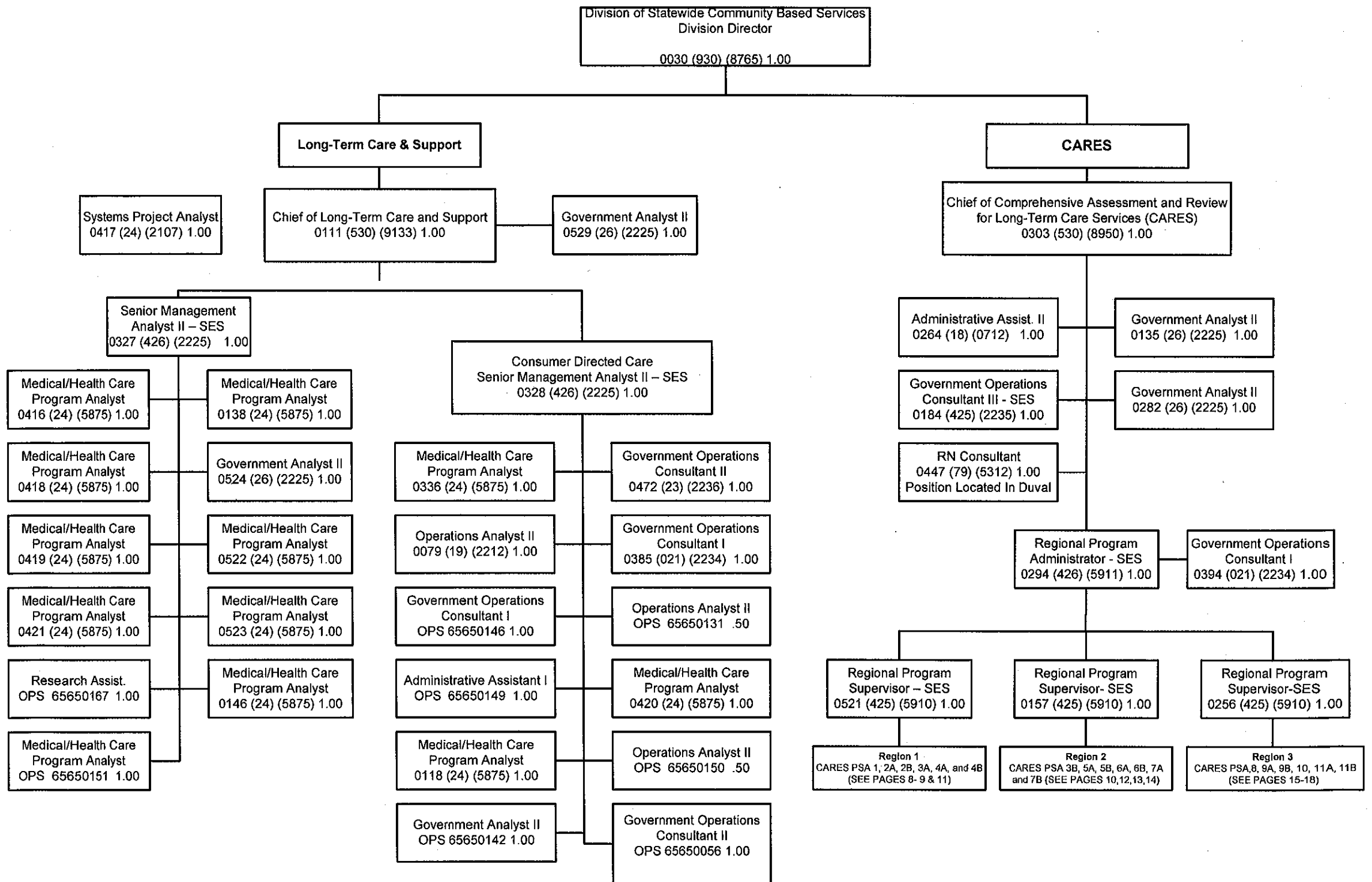
Chief of Human Resources, General
Services and Emergency Operations –
SES
0108 (530) (7780) 1.00

Chief Information Officer
0326 (540) (8738) 1.00

Administrative Assist. II-
SES
0068 (418) (0712) 1.00







Community & Support Services

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

Operations & Management Consultant Mgr
OPS 65650053

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

Monitoring & Quality Assurance

ARC IMPLEMENTATION, CONTRACT MANAGEMENT, TECHNICAL ASSISTANCE

NUTRITION

CAREGIVER SUPPORT

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

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

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

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

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

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

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

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

Administrative Assistant I
OPS 65650070 .50

Senior Companion RELIEF/NFCSP
Government Operations Consultant II
0113 (23) (2236) 1.00

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

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

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

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

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

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

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

Research Assist.
OPS 65650165 1.00

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

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

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

OPS Government Operations Consultant II
OPS 65650292 1.00

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

Government Analyst II
0334 (26) (2225) 1.00

OPS Government Operations Consultant II
OPS 65650308 1.00

Operations Management Consit. II
OPS 65650333 1.00

Government Analyst I
OPS 65650335 .50

Government Operations Consultant I
OPS 65650148 1.00

RN Specialist
0298 (75) (5294) 1.00

Senior Management Analyst II
OPS 65650322 1.00

Government Operations Consultant II
OPS 65650064 1.00

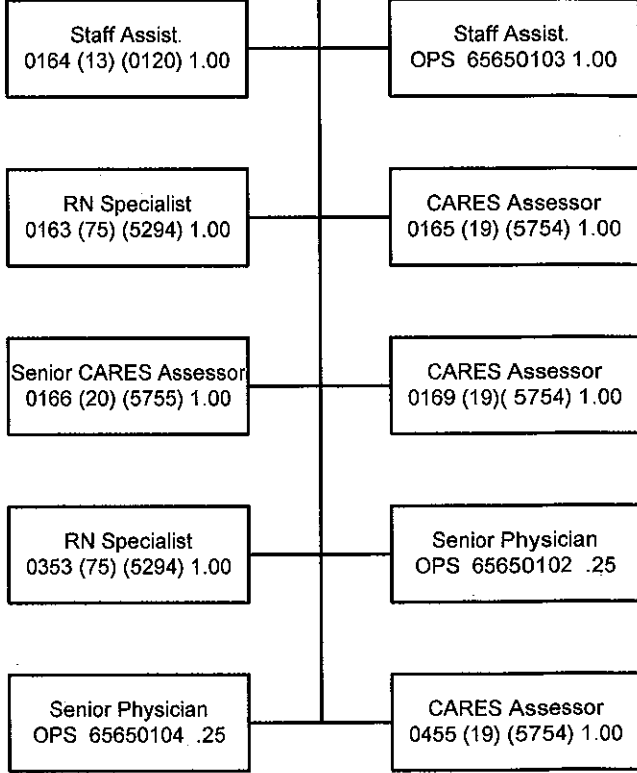
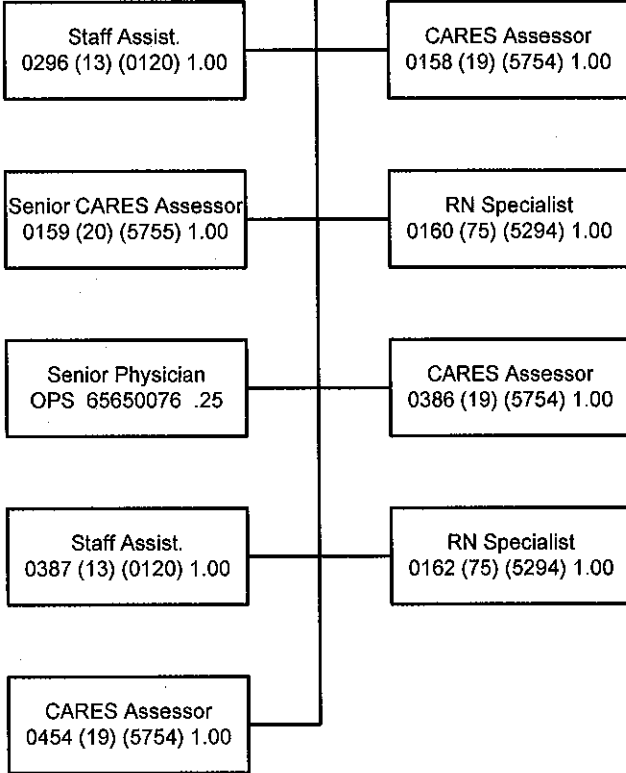
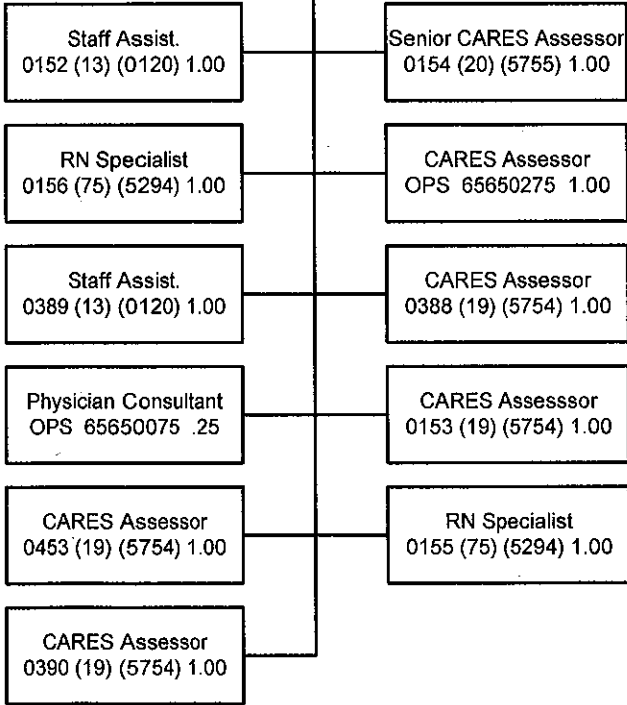
Bureau of CARES

CARES Regional Program Supervisor
0521 (425) (5910) 1.00

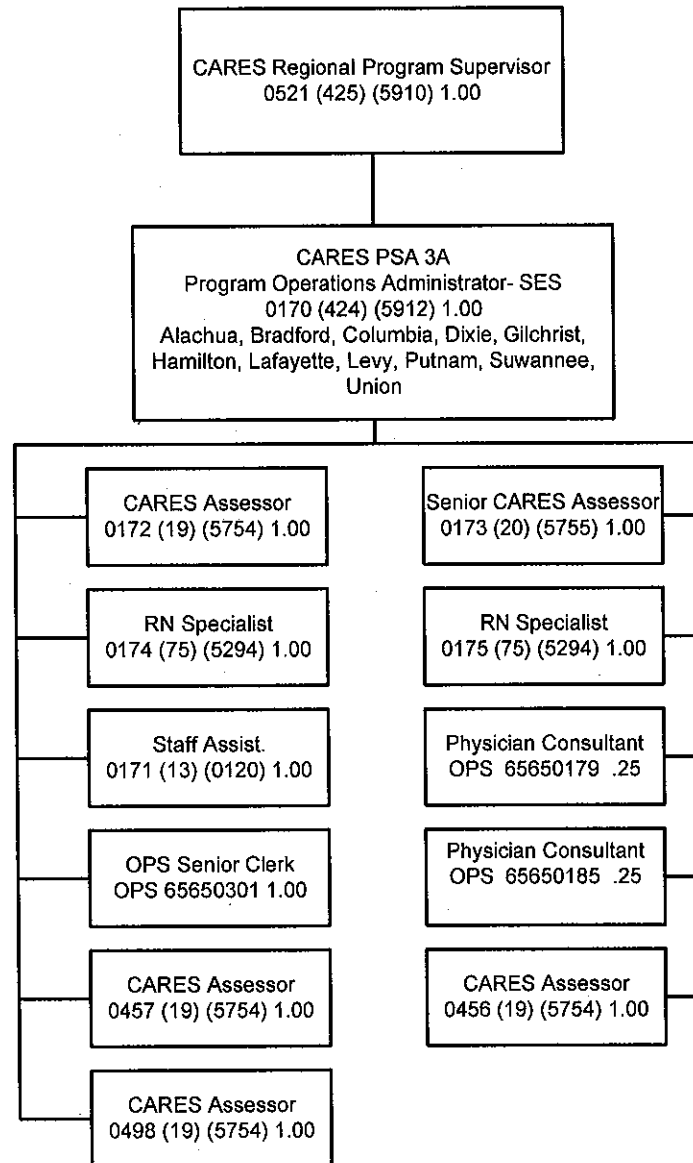
CARES PSA 1
Program Operations Administrator- SES
0151 (424) (5912) 1.00
Escambia, Okaloosa, Walton, Santa Rosa

CARES PSA 2A
Program Operations Administrator- SES
0252 (424) (5912) 1.00
Bay, Calhoun, Gulf, Jackson, Washington, Holmes

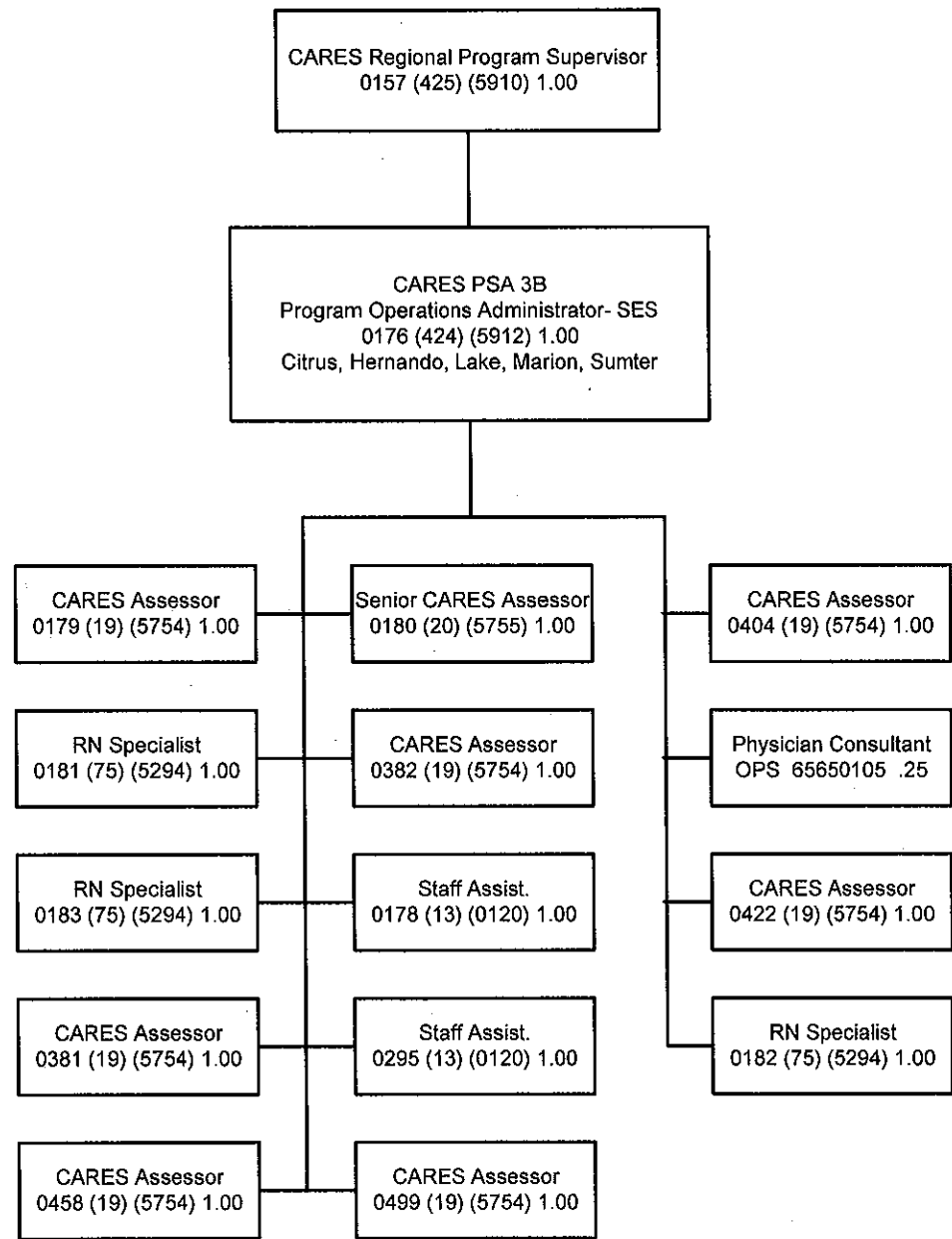
CARES PSA 2B
Program Operations Administrator- SES
0167 (424) (5912) 1.00
Leon, Franklin, Gadsden, Madison, Taylor, Wakulla, Liberty, Jefferson



Bureau of CARES



Bureau of CARES

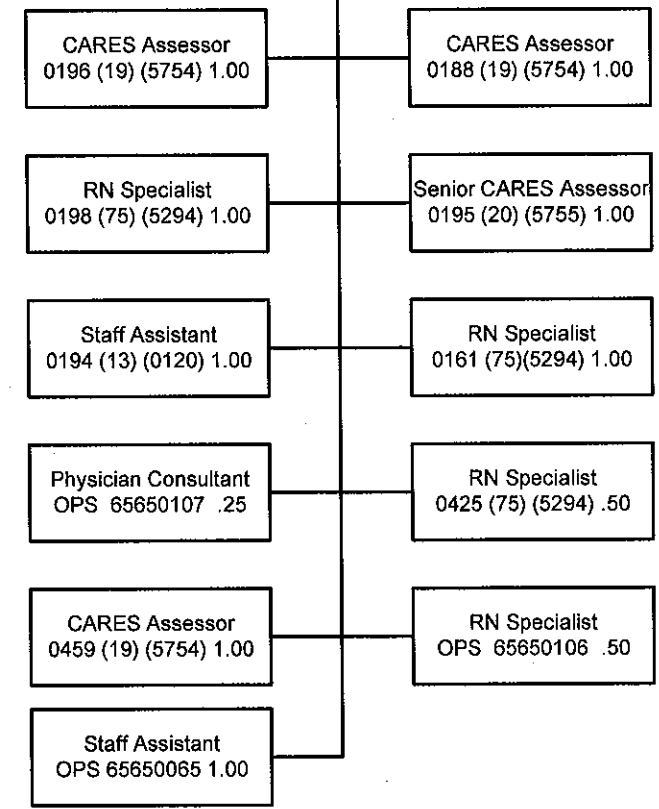
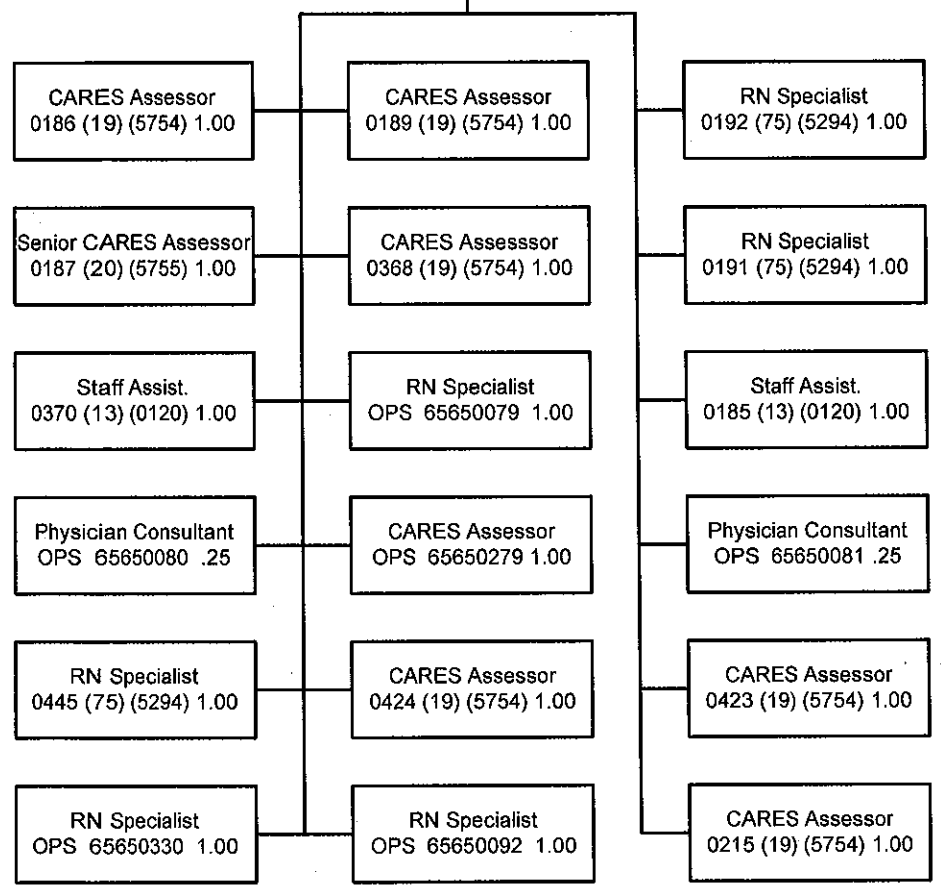


Bureau of CARES

CARES Regional Program Supervisor
0521 (425) (5910) 1.00

CARES PSA 4A
Program Operations Administrator- SES
0190 (424) (5912) 1.00
Baker, Clay, Duval, Nassau, St. Johns

CARES PSA 4B
Program Operations Administrator- SES
00197 (424) (5912) 1.00
Flagler, Volusia

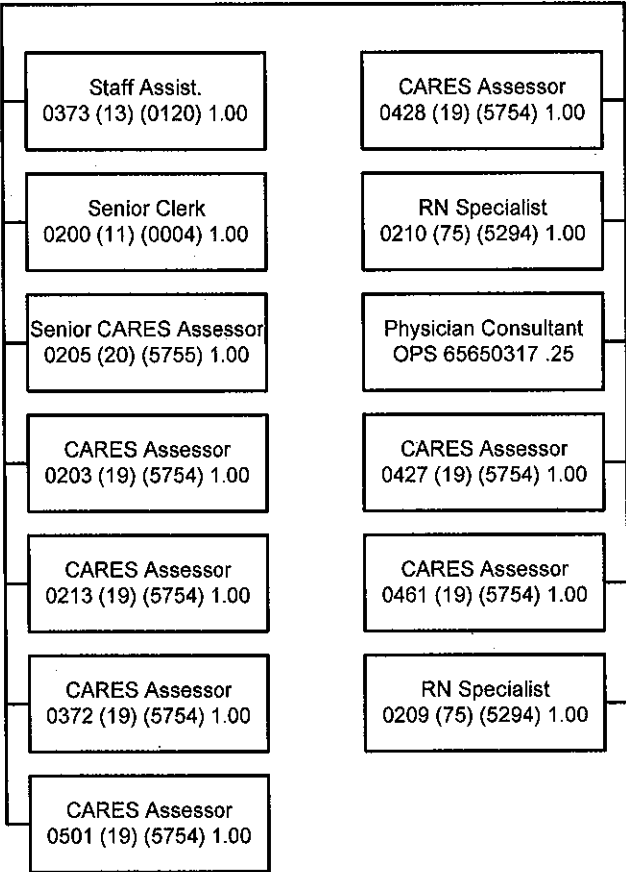
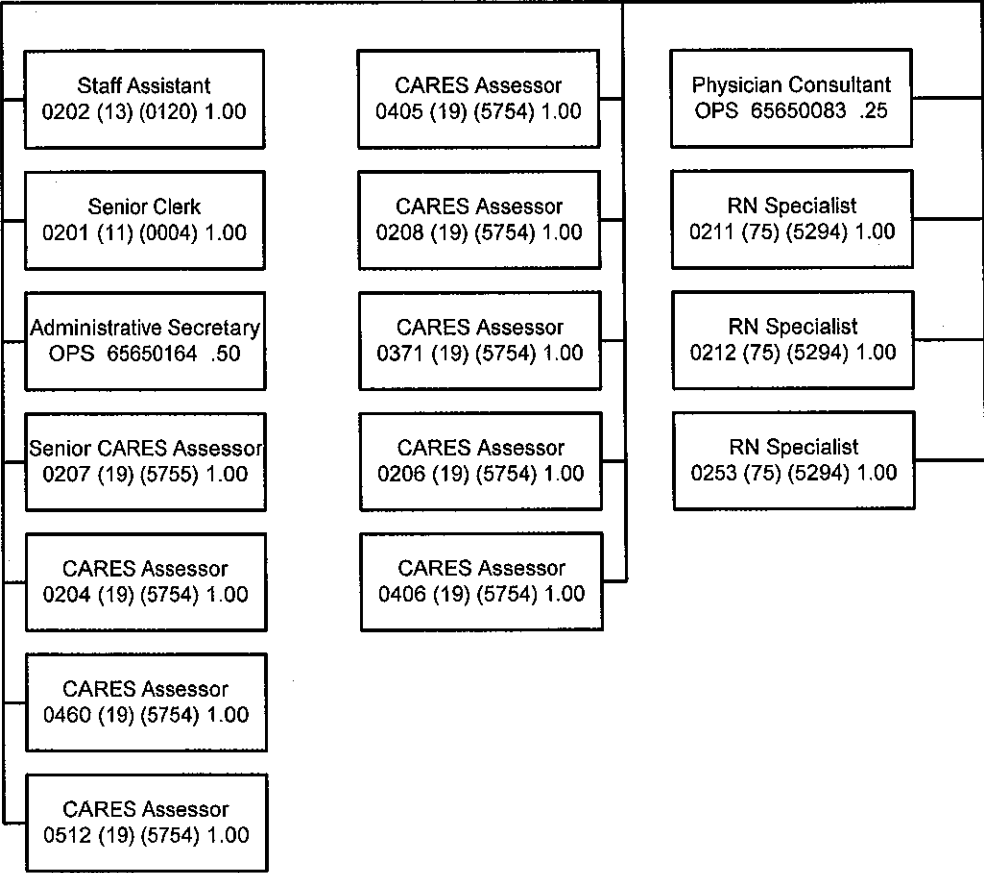


Bureau of CARES

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

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

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

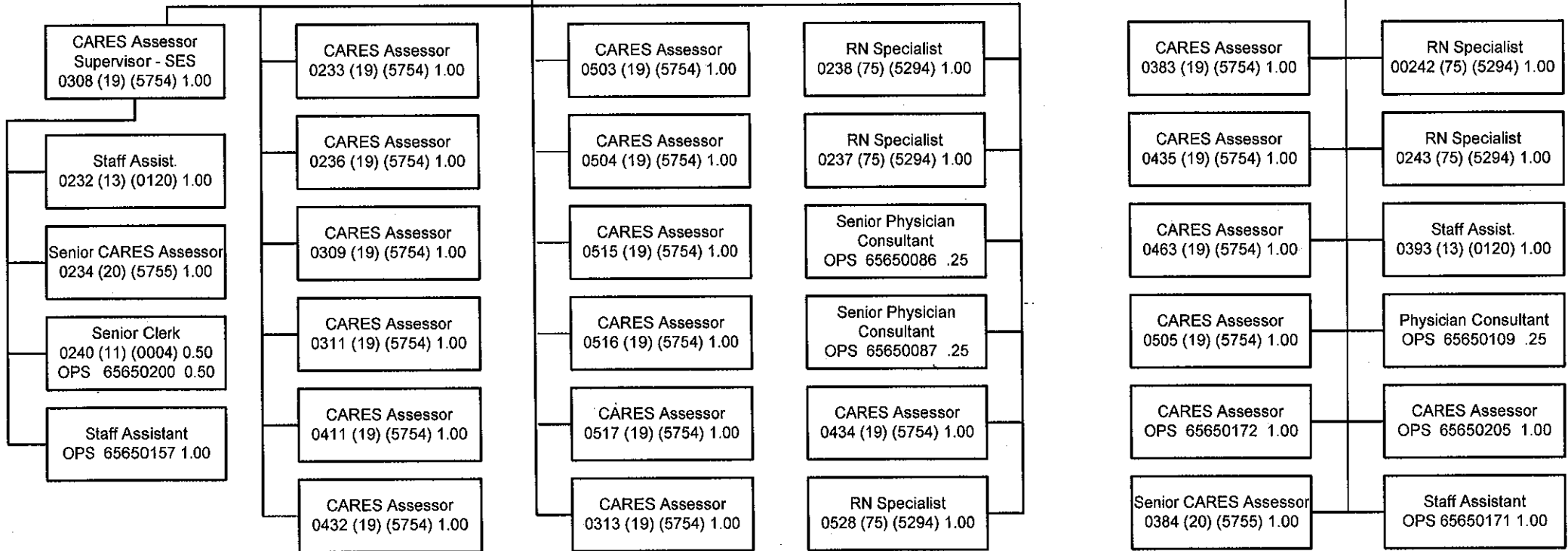


Bureau of CARES

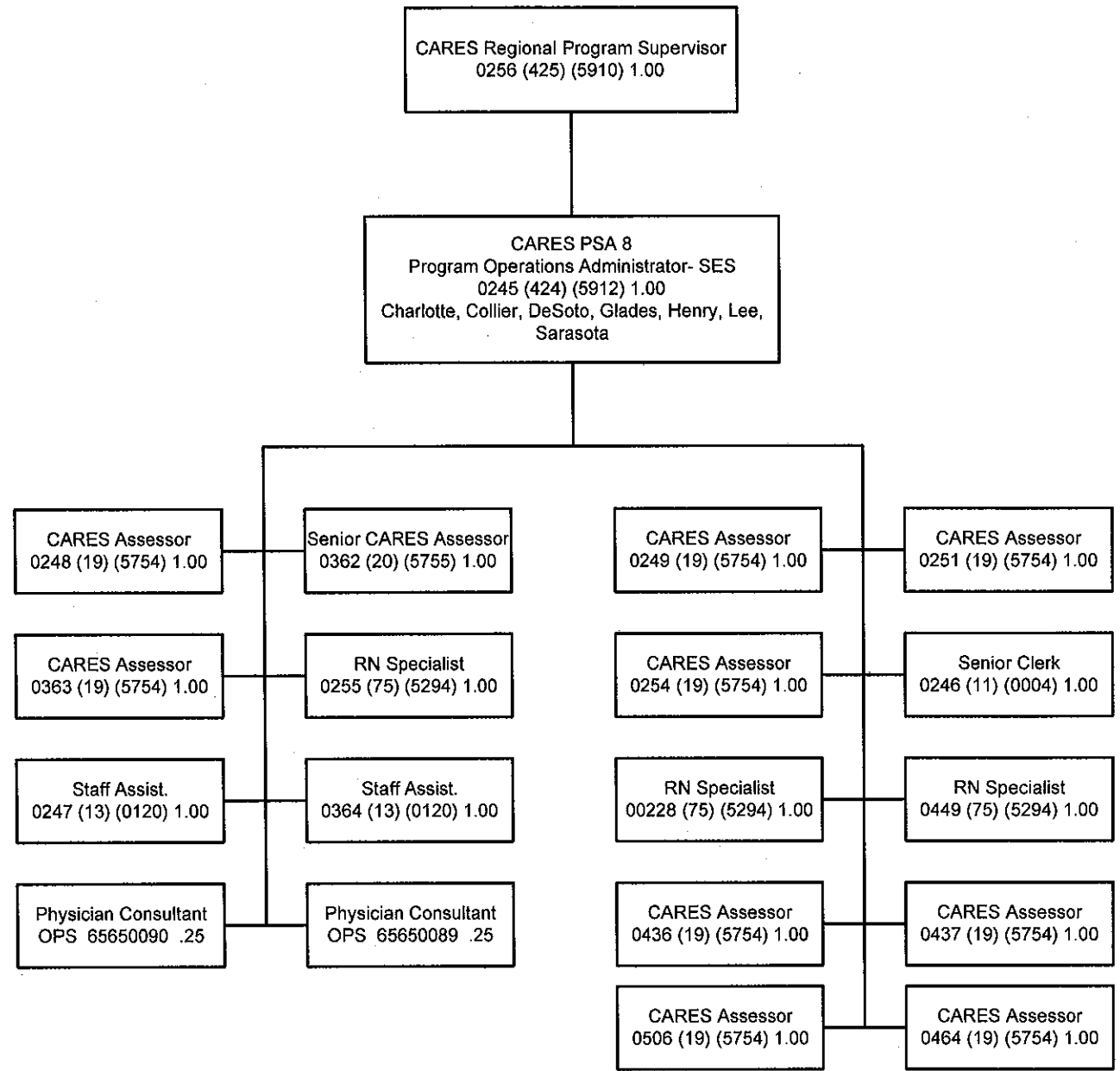
CARES Regional Program Supervisor
0157 (425) (5910) 1.00

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

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



Bureau of CARES



Bureau of CARES

CARES Regional Program Supervisor
0256 (425) 5910) 1.00

CARES PSA 9A
Program Operations Administrator- SES
0263 (424) (5912) 1.00
Palm Beach

CARES PSA 9B
Program Operations Administrator- SES
0266 (424) (5912) 1.00
Indian River, Martin, Okeechobee, St. Lucie

CARES Assessor
0314 (19) (5754) 1.00

CARES Assessor
0312 (19) (5754) 1.00

CARES Assessor
0315 (19) (5754) 1.00

CARES Assessor
0317 (19) (5754) 1.00

CARES Assessor
0259 (19) (5754) 1.00

CARES Assessor
0391 (19) (5754) 1.00

CARES Assessor
0258 (19) (5754) 1.00

Senior CARES Assessor
0260 (20) (5755) 1.00

Senior CARES Assessor
0316 (19) (5754) 1.00

Staff Assist.
0257 (13) (0120) 1.00

CARES Assessor
0392 (19) (5754) 1.00

RN Specialist
0261 (75) (5294) 1.00

Administrative Secretary
0318 (12) (0108) 1.00

Clerk Typist
OPS 65650138 1.00

Physician Consultant I
OPS 65650093 .25

CARES Assessor
0439 (19) (5754) 1.00

Physician Consultant I
OPS 65650093 .25

RN Specialist
0288 (75) (5294) 1.00

RN Specialist
0450 (75) (5294) 1.00

CARES Assessor
0265 (19) (5754) 1.00

Staff Assist.
0380 (13) (0120) 1.00

CARES Assessor
0408 (19) (5754) 1.00

RN Specialist
OPS 65650213 1.00

RN Specialist
0448 (75) (5294) 1.00

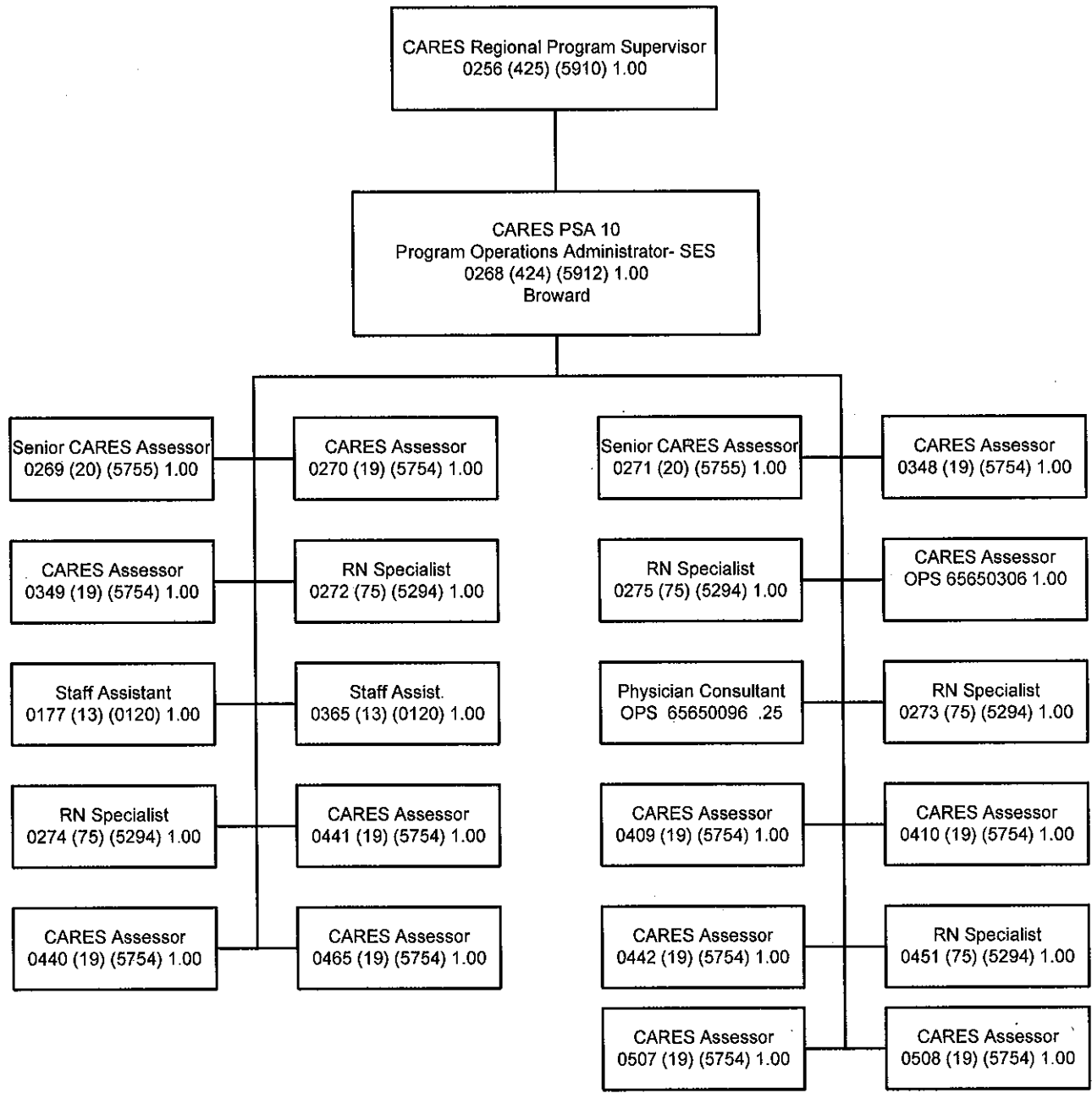
Physician Consultant
OPS 65650078 .25

CARES Assessor
0513 (19) (5754) 1.00

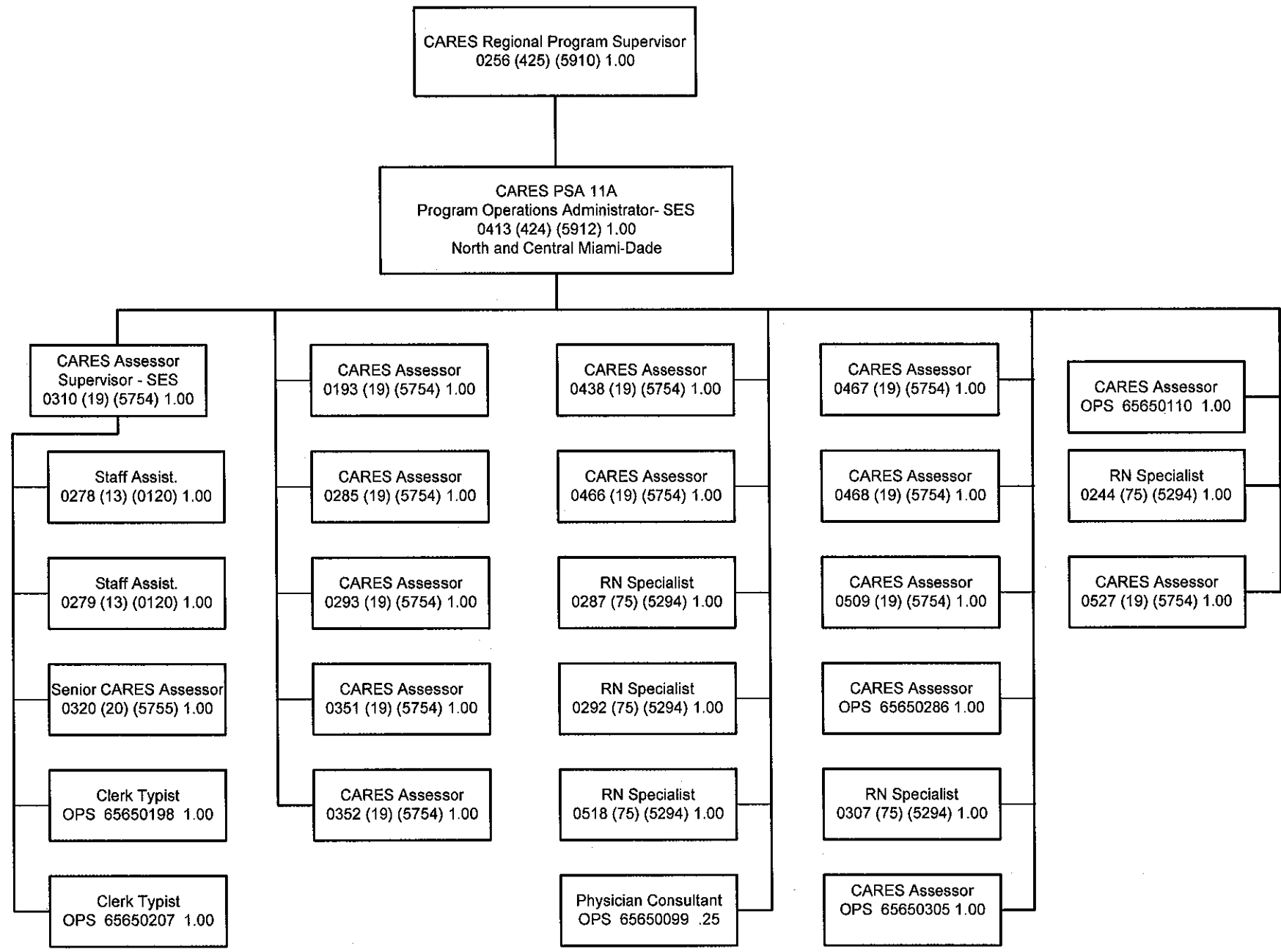
CARES Assessor
OPS 65650281 1.00

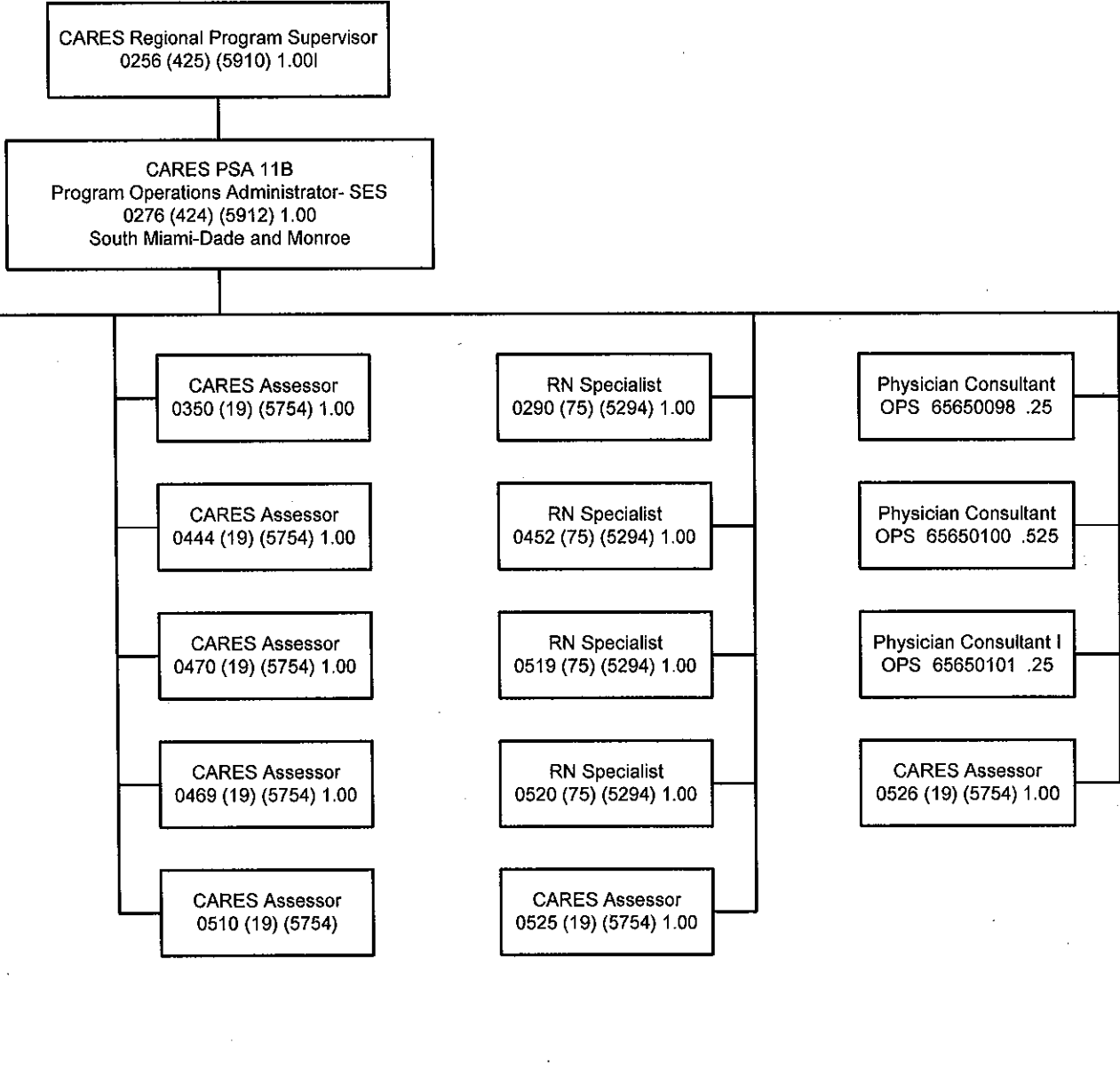
Senior CARES Assessor
0250 (20) (5755) 1.00

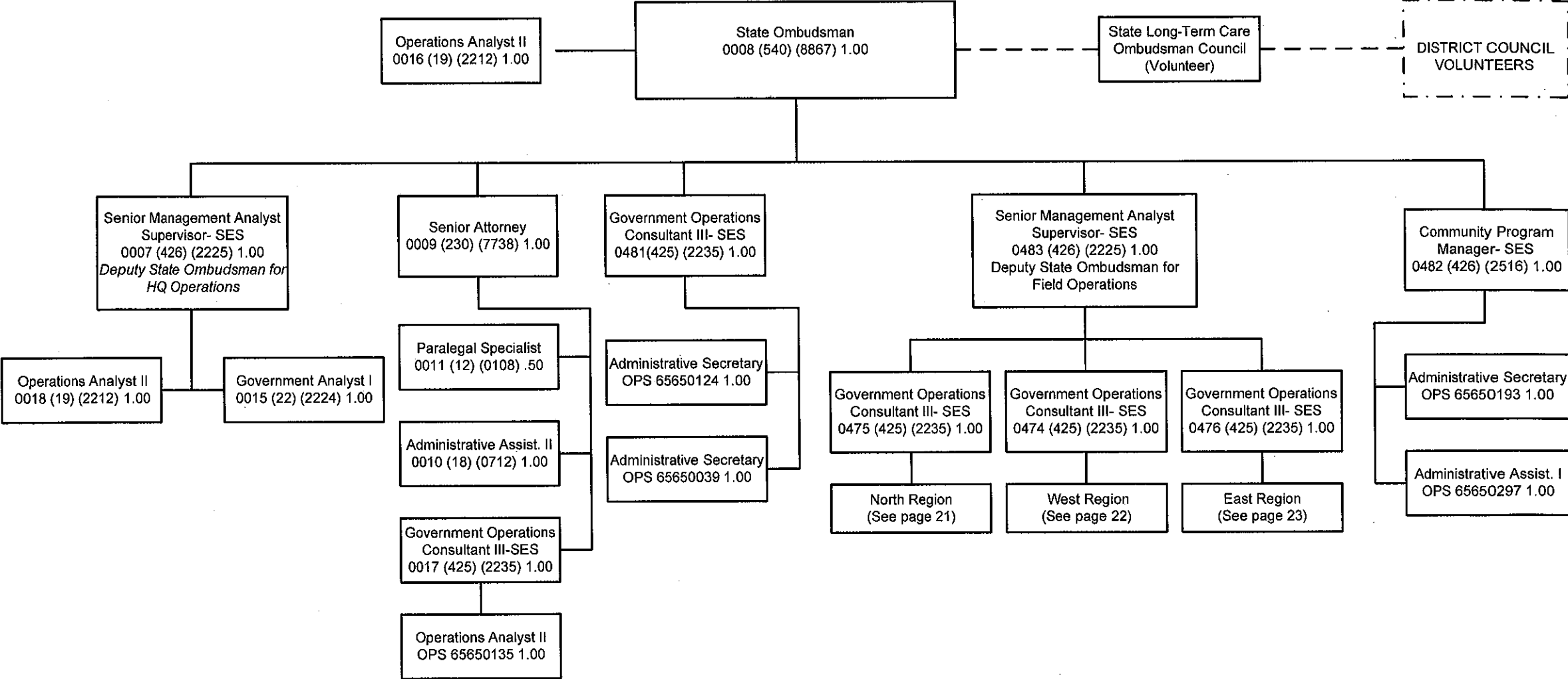
Bureau of CARES



Bureau of CARES

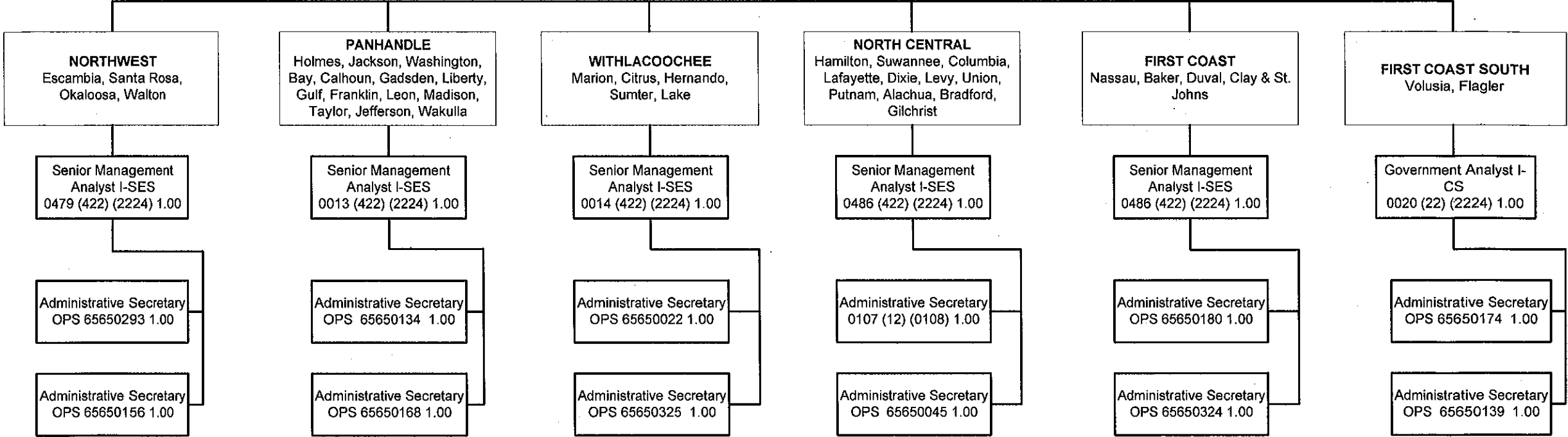


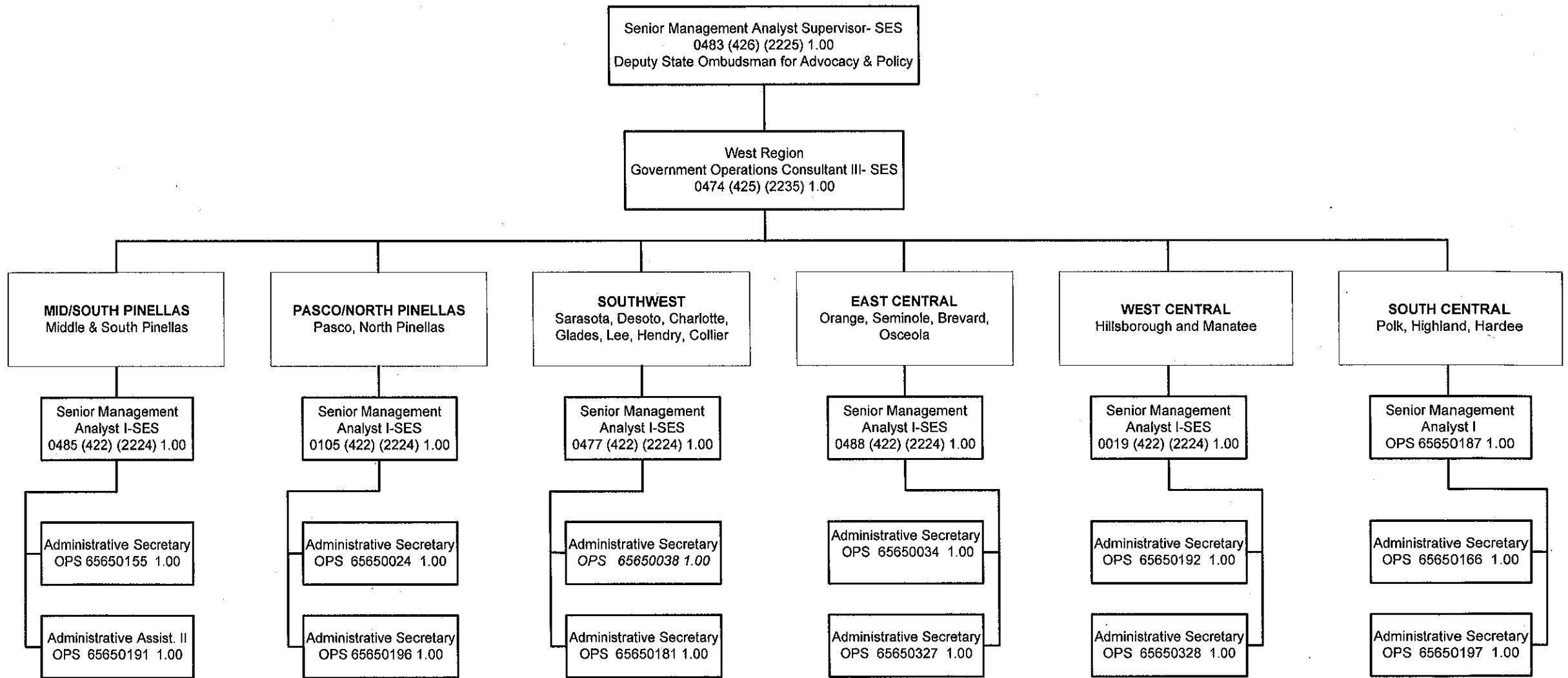


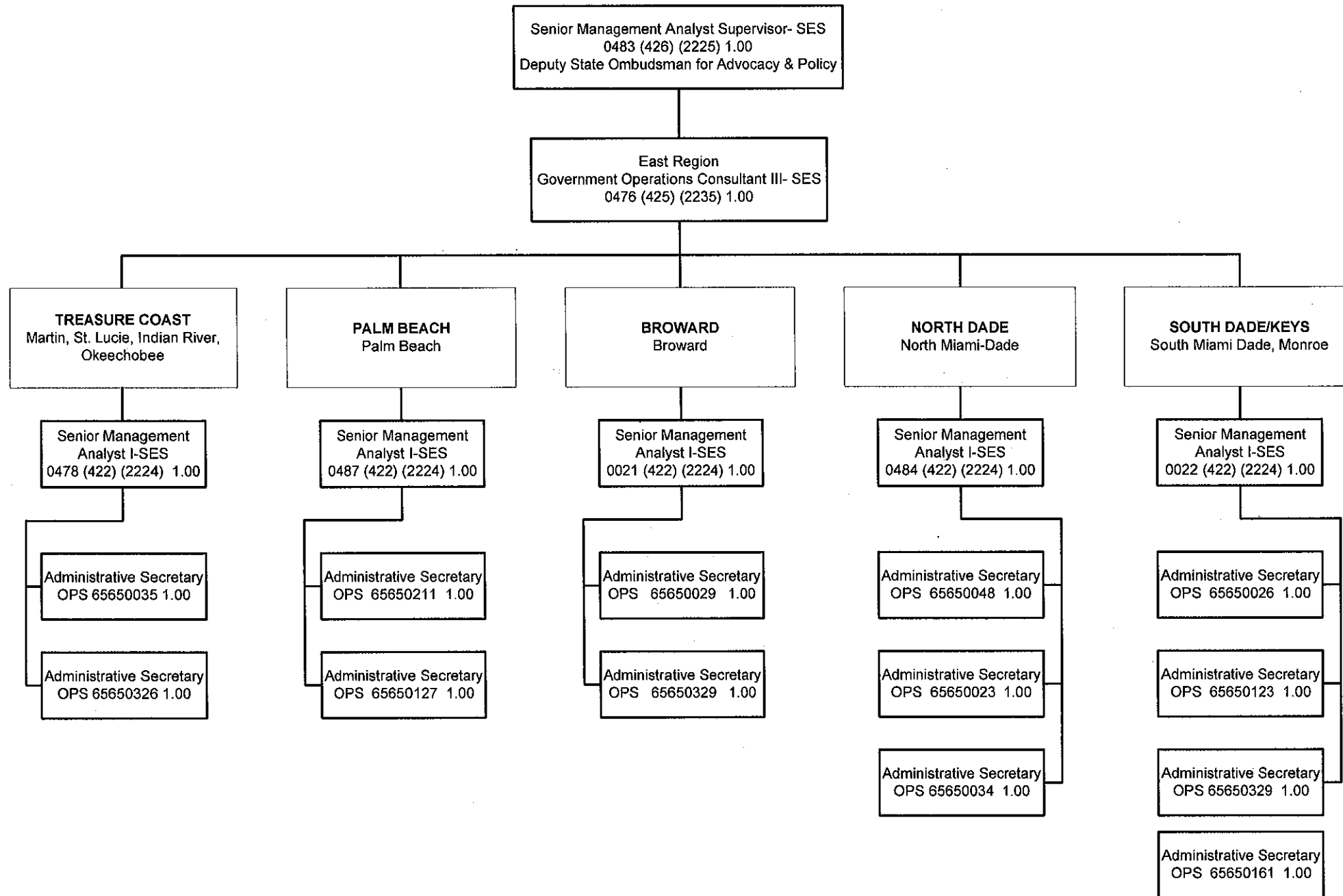


Senior Management Analyst Supervisor- SES
0483 (426) (2225) 1.00
Deputy State Ombudsman for Advocacy & Policy

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







ACTIVITY ISSUE CODES SELECTED:

TRANSFER-STATE AGENCIES ACTIVITY ISSUE CODES SELECTED:

1-8:

AID TO LOCAL GOVERNMENTS ACTIVITY ISSUE CODES SELECTED:

1-8:

THE FOLLOWING STATEWIDE ACTIVITIES (ACT0010 THROUGH ACT0490) HAVE AN OUTPUT STANDARD (RECORD TYPE 5) AND SHOULD NOT:

*** NO ACTIVITIES FOUND ***

THE FCO ACTIVITY (ACT0210) CONTAINS EXPENDITURES IN AN OPERATING CATEGORY AND SHOULD NOT:
(NOTE: THIS ACTIVITY IS ROLLED INTO EXECUTIVE DIRECTION, ADMINISTRATIVE SUPPORT AND INFORMATION TECHNOLOGY)

*** NO OPERATING CATEGORIES FOUND ***

THE FOLLOWING ACTIVITIES DO NOT HAVE AN OUTPUT STANDARD (RECORD TYPE 5) AND ARE REPORTED AS 'OTHER' IN SECTION III: (NOTE: 'OTHER' ACTIVITIES ARE NOT 'TRANSFER-STATE AGENCY' ACTIVITIES OR 'AID TO LOCAL GOVERNMENTS' ACTIVITIES. ALL ACTIVITIES WITH AN OUTPUT STANDARD (RECORD TYPE 5) SHOULD BE REPORTED IN SECTION II.)

BE	PC	CODE	TITLE	EXPENDITURES	FCO
65100400	1303000000	ACT4700	HOUSING, HOSPICE AND END OF LIFE	39,831	
65100600	1208000000	ACT6000	DISASTER PREPAREDNESS AND	61,536	

TOTALS FROM SECTION I AND SECTIONS II + III:

DEPARTMENT: 65	EXPENDITURES	FCO
FINAL BUDGET FOR AGENCY (SECTION I):	755,179,228	
TOTAL BUDGET FOR AGENCY (SECTION III):	755,179,243	
DIFFERENCE:	15-	
(MAY NOT EQUAL DUE TO ROUNDING)	=====	=====

NOTES:

ACT4700 - Housing, Hospice and End of Life - This is no longer a part of the Department's approved measures, since the activity is administrative in nature.

ACT6000 - Although Disaster Preparedness and Operations is an Executive Direction and Support Services activity, the assigned code does not fall in the appropriate range ACT0010 through ACT0490 for it to be recognized as such.

SCHEDULE XII: OUTSOURCING OR PRIVATIZATION OF A SERVICE OR ACTIVITY

NOT APPLICABLE

Schedule XII Cover Sheet and Agency Project Approval	
Agency: Department of Elder Affairs	Schedule XII Submission Date:
Project Name:	Is this project included in the Agency's LRPP? _____ Yes _____ No
FY 2013-2014 LBR Issue Code:	FY 2013-2014 LBR Issue Title:
Agency Contact for Schedule XII (Name, Phone #, and E-mail address):	
AGENCY APPROVAL SIGNATURES	
I am submitting the attached Schedule XII in support of our legislative budget request. I have reviewed and agree with the information in the attached Schedule XII.	
Agency Head:	Date:
Printed Name:	
Agency Chief Information Officer: <i>(If applicable)</i>	Date:
Printed Name:	
Budget Officer:	Date:
Printed Name:	
Planning Officer:	Date:
Printed Name:	
Project Sponsor:	Date:
Printed Name:	

SCHEDULE XII: OUTSOURCING OR PRIVATIZATION OF A SERVICE OR ACTIVITY

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

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

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

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

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

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

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

**SCHEDULE XIII
 PROPOSED CONSOLIDATED FINANCING OF DEFERRED-PAYMENT
 COMMODITY CONTRACTS
 NOT APPLICABLE**

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

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

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

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

Schedule XIV
Variance from Long Range Financial Outlook

Agency: Department of Elder Affairs

Contact: Jonathon Manalo

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 2012 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 2013-2014 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 2013-2014 Estimate/Request Amount	
			Long Range Financial Outlook	Legislative Budget Request
a				
b				
c				
d				
e				
f				

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

N/A

* R/B = Revenue or Budget Driver

NOT APPLICABLE

**SCHEDULE XV:
CONTRACT INFORMATION FOR EACH CONTRACT IN WHICH THE
CONSIDERATION TO BE PAID TO THE AGENCY IS A PERCENTAGE OF**

Contact Information
Agency:
Name:
Phone:
E-mail address:

THE VENDOR REVENUE AND IN EXCESS OF \$10 MILLION

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

Schedule IV-B Cover Sheet and Agency Project Approval	
Agency: Department of Elder Affairs	Schedule IV-B Submission Date: October 15, 2012
Project Name: NOT APPLICABLE	Is this project included in the Agency's LRPP? _____ Yes _____ No
FY 2013-14 LBR Issue Code:	FY 2013-14 LBR Issue Title:
Agency Contact for Schedule IV-B (Name, Phone #, and E-mail address): Steve Grantham, 414-2023, Granthams@elderaffairs.org	
AGENCY APPROVAL SIGNATURES	
I am submitting the attached Schedule IV-B in support of our legislative budget request. I have reviewed the estimated costs and benefits documented in the Schedule IV-B and believe the proposed solution can be delivered within the estimated time for the estimated costs to achieve the described benefits. I agree with the information in the attached Schedule IV-B.	
Agency Head: Charles T. Corley	Date: 10-08-12
Printed Name: Steve Grantham	10-08-12
Agency Chief Information Officer (or equivalent):	Date:
Printed Name: Barbara Henry	10-08-12
Budget Officer:	Date:
Printed Name:	
Planning Officer:	Date:
Printed Name:	
Project Sponsor:	Date:
Printed Name:	
Schedule IV-B Preparers (Name, Phone #, and E-mail address):	
Business Need:	
Cost Benefit Analysis:	
Risk Analysis:	
Technology Planning:	
Project Planning:	

COL A03		COL A04		COL A05		CODES
AGY REQUEST		AGY REQ N/R		AG REQ ANZ		
FY 2013-14		FY 2013-14		FY 2013-14		
POS	AMOUNT	POS	AMOUNT	POS	AMOUNT	

NO RECORDS SELECTED FOR REPORTING

SCHEDULE VI: DETAIL OF DEBT SERVICE

Department: Elder Affairs
Budget Entity: NOT APPLICABLE

Budget Period 2013 - 14

(1)	(2)	(3)	(4)
SECTION I	ACTUAL	ESTIMATED	REQUEST
	FY 20__ - __	FY 20__ - __	FY 20__ - __
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"/>

Explanation: _____

SECTION II

ISSUE: _____

(1)	(2)	(3)	(4)	(5)
INTEREST RATE	MATURITY DATE	ISSUE AMOUNT	JUNE 30, 20__	JUNE 30, 20__
(6)		(7)	(8)	(9)
		ACTUAL	ESTIMATED	REQUEST
		FY 20__ - __	FY 20__ - __	FY 20__ - __
Interest on Debt (G)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Principal (H)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Fiscal Agent or Other Fees (I)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Other (J)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Total Debt Service (K)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

ISSUE: _____

INTEREST RATE	MATURITY DATE	ISSUE AMOUNT	JUNE 30, 20__	JUNE 30, 20__
		ACTUAL	ESTIMATED	REQUEST
		FY 20__ - __	FY 20__ - __	FY 20__ - __
Interest on Debt (G)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Principal (H)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Fiscal Agent or Other Fees (I)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Other (J)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Total Debt Service (K)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

SCHEDULE IX: MAJOR AUDIT FINDINGS AND RECOMMENDATIONS

Budget Period: 2013-2014

Department: Florida Department of Elder Affairs

Chief Internal Auditor: Position is currently vacant. Taroub J. King, Inspector General

Budget Entity: 65100400, 65100600

Phone Number: 850-414-2013

(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-1011DEA-023	12/6/2011	Long-Term Care Community Diversion Audit	<p>FINDING 1 – The Department does not have a process to electronically assemble and analyze all the data it has available when conducting the risk assessment step in the development of its monitoring plan. We recommend the Department establish a process to electronically capture and coordinate data analysis between CIRT, encounter data, care plans, and service provider listings for managed care programs to better assess risks and quality of care to enrollees and the proper delivery of services by providers.</p> <p>FINDING 2 – Diversion Monitoring needs improvements, better segregation of duties, and additional resources. We recommend the department take appropriate action to better segregate contract monitoring functions from contract managers to enhance independence and objectivity of the monitoring process. We further recommend that Long-Term Care Diversion Program monitors increase the number of enrollee visitations to a level that is statistically significant to provide program management with better reliance on this important monitoring tool.</p> <p>FINDING 3 – Duplicate enrollee Medicaid payments were made to Diversion providers. We recommend the Diversion program create a master spreadsheet and/or database for comparing past invoices with current invoices from AHCA to provide an edit check for possible duplicate payments by examining the entire population of enrollees, the time period for the payments, and a comparison with past payments to ensure there are no duplicate payments for the same time period.</p>	<p>The Department's management assumed the risk.</p> <p>The Department's management assumed the risk.</p> <p>The Department's management assumed the risk.</p>	

			<p>FINDING 4 – The Department can enhance its fiscal reviews of Diversion providers by obtaining and analyzing additional readily available financial information. We recommend the Diversion program include a review of any publicly traded parent company’s 10-K filings as an additional control of any Medicaid-related issues that may affect the Diversion program</p>	<p>The Department reviews the 10-K (annual) report found on Hoover.com to see if there are any other items of interest may have been reported for the company overall provided the company is publicly traded. This has been implemented since August 2011 where any unknown information of significance which could have a negative impact for the Department is reported to management at the earliest convenience. In addition, for those MCOs that are publicly traded companies, a search (through Google Finance) is conducted on a monthly basis to see if there is any headline news of interest.</p>
A-1112DEA-023	3/6/2012	Enterprise Contract Monitoring Audit	<p>FINDING 1 – Internal policies and procedures for the contracting process needs consolidation. We recommend the Department create a central repository on the intranet which contains all the necessary Department policies and procedures, templates and forms pertaining to contract administration, management and invoicing and payment processing.</p> <p>FINDING 2 – Contract management training needs improvement. We recommend the Department establish an annual internal training program for all staff involved in the contracting process. We further recommend the updating of position descriptions for those related to the contracting process to include at a minimum a requirement to maintain continuing professional education and training in the contracting process as deemed appropriate by the Department.</p>	<p>The Department currently has policies, procedures, manuals, templates, and forms that provide guidance pertaining to the entire contracting process. In addition, staff is provided with frequent on-the-job training in the form of memos, meetings and directives to ensure that they are following applicable rules, statutes, and regulations. The Department will create a central repository on the intranet to ensure available materials are accessible in one location.</p> <p>The Department will continue to hold a bi-annual meeting for all program directors and contract managers. These sessions will share contract information, establish a contract time line for the next six months, and also train on any changes in law or rule affecting the contracting process, including changes to the Department’s standard contract or forms. In addition, information regarding DFS’ training “Advancing Accountability - Best Practices for Contract & Grant Management” which covers DFS Contract and Grant User Guide and related CFO Memorandum requirements on contract monitoring and documenting contract performance will be shared among the program offices. Lastly, the Department will update position descriptions to include continuing education for contract managers.</p>

2012-135	3/15/2015	Operational Audit of the Department of Elder Affairs	<p>FINDING 1 - Consumer-Directed Care Plus (CDC+) Program - The Department did not always timely request background screenings for CDC+ Program direct service providers. In addition, the Department did not always ensure that background screenings for CDC+ Program direct service providers were free of disqualifying offenses. We recommend that the Department review CDC+ Program consumers' provider files to ensure that all providers have been subjected to a current background screening that is free of disqualifying offenses. In addition, Department management should more closely monitor staff compliance with Department procedure.</p> <p>FINDING 2 - Consumer-Directed Care Plus (CDC+) Program - The Department did not always maintain for consumer cash purchases documentation to demonstrate that the amounts expended were for authorized purposes. In addition, we noted instances in which cash payments were made to consumer representatives after the consumers had left the program. We recommend that the Department continue attempts to substantiate the appropriateness of the undocumented payments and proceed with recoupment for the payments made after consumers left the Program. In addition, the Department should remind consultants that invoices and receipts must be retained in accordance with the CDC+ Guidelines.</p> <p>FINDING 3 - Aging Resource Centers (ARCs) -The data captured in the ARCs' call tracking system lacked the quality and consistency needed to allow the Department to perform meaningful analysis of the data for the purpose of ensuring that consumers were referred in an effective and timely manner. We recommend that the Department implement standardized call type (reason for call) classifications for ARCs to use when recording consumer calls in ReferNET. In addition, the Department should direct ARC staff to use the standard call type classifications and ensure that the call type classification is not left blank. Once the validity and consistency of ReferNET data is corrected, the Department should periodically analyze the ReferNET data as part of its monitoring process to verify whether the ARCs are meeting the statutory goals regarding information, response, and referral of the Department's consumers</p>	<p>The Department will implement the following procedure to address the Auditor General's recommendation. The CDC+ Program Office will ensure, through an internal corrective action plan, that all active CDC+ participants' workers/representatives are appropriately Level 2 background screened and that appropriate management oversight and technical assistance to consultants and consumers is in place.</p> <p>The Department concurs with the Auditor General's recommendation. Discovery of these problems during the performance of the audit prompted management to review current internal processes and external training materials, and to implement a detailed corrective action plan to overcome this finding.</p> <p>The Department of Elder Affairs concurs with the finding. The Department has established a workgroup with ARC representation to address the issues identified by the Auditor General's staff.</p>
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		<p>FINDING 4 - Aging Resource Centers (ARCs) - The ARCs did not always follow up consumer contacts within the required timeframes. Also, ARC subcontracted providers enrolled consumers, which increased the risk for conflicts of interest in the assessment of the need for particular services for consumers. We recommend that the Department ensure that all consumers are enrolled through the ARCs in accordance with the law. We also recommend that the Department continue to remind ARCs of the contractual timeframes for consumer referral follow-up.</p> <p>FINDING 5 - Aging Resource Centers (ARCs) - With respect to monitoring, the Department should enhance documentation of its ARC risk assessment and reporting. We recommend that the Department's monitoring staff maintain documentation of the monitoring risk assessment process, as well as documentation explaining the rationale for omitting</p> <p>FINDING 6 - Information Technology (IT) Controls -Department management of the Client Information and Registration Tracking System (CIRTS) access privileges needed improvement. To ensure that only authorized users have access to CIRTS, we recommend that the Department establish a process for periodically reviewing user access privileges to ensure that the granted privileges remain appropriate. We also recommend that the Department continue its efforts to timely remove the access privileges of terminating employees.</p> <p>FINDING 7 - Information Technology (IT) Controls - Certain security controls protecting CIRTS data and Department IT resources needed enhancement. We again recommend that the Department improve these security controls to more reasonably ensure the confidentiality, integrity, and availability of data and IT resources.</p>	<p>The Department will update the Programs and Services Handbook to clearly reflect the role of the ARC in receiving and handling referrals. The Department will evaluate the outsourcing of intake and screening for OAA services with our legal office. If determined necessary, the Department will seek legislative change to the statute that allows for effective streamlining of access to services.</p> <p>The MQA supervisor will summarize the risk factors identified during each pre-deployment meeting and email identified risks to the group, requesting confirmation, at the conclusion of the meetings. A hard copy of the email and any responses by the group will be placed in the monitoring book. The Bureau Chief will be copied on the email to the administrative assistant who prints the documents that are included in the book. Additionally, the MQA reviewers will forward their completed instruments for their review areas to the MQA supervisor.</p> <p>The Department is developing an employee tracking data base application with a direct linkage to the People First system, which is the official repository of personnel actions. In this system, the PAR can be generated on demand and the risk of omission of personnel actions is removed. This system is being developed to include other employee related information such as tracking training, training requirements, and performance evaluations</p> <p>The Department is migrating to upgraded technologies which are anticipated to address the concerns identified by the audit team.</p>
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Fiscal Year 2013-14 LBR Technical Review Checklist

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

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

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

1. GENERAL

1.1 Are Columns A01, A02, A04, A05, A36, 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? (CSDI)	Y	Y	Y	Y	Y
1.2 Is Column A03 set to TRANSFER CONTROL for DISPLAY and UPDATE status for both the Budget and Trust Fund columns? (CSDI)	Y	Y	Y	Y	Y

AUDITS:

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

2. EXHIBIT A (EADR, EXA)

2.1 Is the budget entity authority and description consistent with the agency's LRPP and does it conform to the directives provided on page 58 of the LBR Instructions?	Y	Y	Y	Y	
2.2 Are the statewide issues generated systematically (estimated expenditures, nonrecurring expenditures, etc.) included?	Y	Y	Y	Y	
2.3 Are the issue codes and titles consistent with <i>Section 3</i> of the LBR Instructions (pages 15 through 30)? Do they clearly describe the issue?	Y	Y	Y	Y	
2.4 Have the coding guidelines in <i>Section 3</i> of the LBR Instructions (pages 15 through 30) been followed?	Y	Y	Y	Y	

3. EXHIBIT B (EXBR, EXB)

3.1 Is it apparent that there is a fund shift and were the issues entered into LAS/PBS correctly? Check D-3A funding shift issue 340XXX0 - a unique deduct and unique add back issue should be used to ensure fund shifts display correctly on the LBR exhibits.					
3.2 Are the 33XXXX0 issues negative amounts only and do not restore nonrecurring cuts from a prior year or fund any issues that net to a positive or zero amount? Check D-3A issues 33XXXX0 - a unique issue should be used for issues that net to zero or a positive amount.					

AUDITS:

Action		Program or Service (Budget Entity Codes)				
		65100200	65100400	65100600	65101000	Dept.
3.3	Negative Appropriation Category Audit for Agency Request (Columns A03 and A04): Are all appropriation categories positive by budget entity at the FSI level? Are all nonrecurring amounts less than requested amounts? (NACR, NAC - Report should print "No Negative Appropriation Categories Found")	Y	Y	Y	Y	
3.4	Current Year Estimated Verification Comparison Report: Is Column A02 equal to Column B07? (EXBR, EXBC - Report should print "Records Selected Net To Zero")	Y	Y	Y	Y	
TIP	Generally look for and be able to fully explain significant differences between A02 and A03.					
TIP	Exhibit B - A02 equal to B07: Compares Current Year Estimated column to a backup of A02. This audit is necessary to ensure that the historical detail records have not been adjusted. Records selected should net to zero.					
TIP	Requests for appropriations which require advance payment authority must use the sub-title "Grants and Aids". For advance payment authority to local units of government, the Aid to Local Government appropriation category (05XXXX) should be used. For advance payment authority to non-profit organizations or other units of state government, the Special Categories appropriation category (10XXXX) should be used.					
4. EXHIBIT D (EADR, EXD)						
4.1	Is the program component objective statement consistent with the agency LRPP, and does it conform to the directives provided on page 61 of the LBR Instructions?	Y	Y	Y	Y	
4.2	Is the program component code and title used correct?	Y	Y	Y	Y	
TIP	Fund shifts or transfers of services or activities between program components will be displayed on an Exhibit D whereas it may not be visible on an Exhibit A.					
5. EXHIBIT D-1 (ED1R, EXD1)						
5.1	Are all object of expenditures positive amounts? (This is a manual check.)	Y	Y	Y	Y	
AUDITS:						
5.2	Do the fund totals agree with the object category totals within each appropriation category? (ED1R, XD1A - Report should print "No Differences Found For This Report")	Y	Y	Y	Y	
5.3	FLAIR Expenditure/Appropriation Ledger Comparison Report: Is Column A01 less than Column B04? (EXBR, EXBB - Negative differences need to be corrected in Column A01.)	Y	Y	Y	Y	
5.4	A01/State Accounts Disbursements and Carry Forward Comparison Report: Does Column A01 equal Column B08? (EXBR, EXBD - Differences need to be corrected in Column A01.)	Y	Y	Y	Y	

Action		Program or Service (Budget Entity Codes)				
		65100200	65100400	65100600	65101000	Dept.
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 2011-12 approved budget. Amounts should be positive.					
TIP	If B08 is not equal to A01, check the following: 1) the initial FLAIR disbursements or carry forward data load was corrected appropriately in A01; 2) the disbursement data from departmental FLAIR was reconciled to State Accounts; and 3) the FLAIR disbursements did not change after Column B08 was created.					
6. EXHIBIT D-3 (ED3R, ED3) (Not required in the LBR - for analytical purposes only.)						
6.1	Are issues appropriately aligned with appropriation categories?	Y	Y	Y	Y	
TIP	Exhibit D-3 is no longer required in the budget submission but may be needed for this particular appropriation category/issue sort. Exhibit D-3 is also a useful report when identifying negative appropriation category problems.					
7. EXHIBIT D-3A (EADR, ED3A)						
7.1	Are the issue titles correct and do they clearly identify the issue? (See pages 15 through 30 of the LBR Instructions.)	Y	Y	Y	Y	
7.2	Does the issue narrative adequately explain the agency's request and is the explanation consistent with the LRPP? (See page 66-67 of the LBR Instructions.)	Y	Y	Y	Y	
7.3	Does the narrative for Information Technology (IT) issue follow the additional narrative requirements described on pages 68 through 70 of the LBR Instructions?					
7.4	Are all issues with an IT component identified with a "Y" in the "IT COMPONENT?" field? If the issue contains an IT component, has that component been identified and documented?					
7.5	Does the issue narrative explain any variances from the Standard Expense and Human Resource Services Assessments package? Is the nonrecurring portion in the nonrecurring column? (See pages E-4 and E-5 of the LBR Instructions.)				Y	
7.6	Does the salary rate request amount accurately reflect any new requests and are the amounts proportionate to the Salaries and Benefits request? Note: Salary rate should always be annualized.					
7.7	Does the issue narrative thoroughly explain/justify all Salaries and Benefits amounts entered into 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			

Action		Program or Service (Budget Entity Codes)				
		65100200	65100400	65100600	65101000	Dept.
7.8	Does the issue narrative include the Consensus Estimating Conference forecast, where appropriate?					
7.9	Does the issue narrative reference the specific county(ies) where applicable?					
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 #13-003?	Y	Y		Y	
7.11	When appropriate are there any 160XXX0 issues included to delete positions placed in reserve in the OPB Position and Rate Ledger (e.g. unfunded grants)? Note: Lump sum appropriations not yet allocated should <u>not</u> be deleted. (PLRR, PLMO)					
7.12	Does the issue narrative include plans to satisfy additional space requirements when requesting additional positions?					
7.13	Has the agency included a 160XXX0 issue and 210XXXX and 260XXX0 issues as required for lump sum distributions?					
7.14	Do the amounts reflect appropriate FSI assignments?	Y	Y	Y	Y	
7.15	Do the issues relating to <i>salary and benefits</i> have an "A" in the fifth position of the issue code (XXXXAXX) and are they self-contained (not combined with other issues)? (See page 29 and 88 of the LBR Instructions.)					
7.16	Do the issues relating to <i>Information Technology (IT)</i> have a "C" in the sixth position of the issue code (36XXXXCX) and are the correct issue codes used (361XXC0, 362XXC0, 363XXC0, 17C01C0, 17C02C0, 17C03C0, 24010C0, 33001C0 or 55C01C0)?					
7.17	Are the issues relating to <i>major audit findings and recommendations</i> properly coded (4A0XXX0, 4B0XXX0)?					
7.18	Does the issue narrative identify the strategy or strategies in the Five Year Statewide Strategic Plan for Economic Development as requested in Memo# 13-010?					
AUDIT:						
7.19	Are all FSI's equal to '1', '2', '3', or '9'? There should be no FSI's equal to '0'. (EADR, FSIA - Report should print "No Records Selected For Reporting")	Y	Y	Y	Y	
7.20	Does the General Revenue for 160XXXX (Adjustments to Current Year Expenditures) issues net to zero? (GENR, LBR1)	Y	Y		Y	
7.21	Does the General Revenue for 180XXXX (Intra-Agency Reorganizations) issues net to zero? (GENR, LBR2)					
7.22	Does the General Revenue for 200XXXX (Estimated Expenditures Realignment) issues net to zero? (GENR, LBR3)					

Action		Program or Service (Budget Entity Codes)				
		65100200	65100400	65100600	65101000	Dept.
7.23	Have FCO appropriations been entered into the nonrecurring column A04? (GENR, LBR4 - Report should print "No Records Selected For Reporting" or a listing of D-3A issue(s) assigned to Debt Service (IOE N) or in some cases State Capital Outlay - Public Education Capital Outlay (IOE L))					
TIP	Salaries and Benefits amounts entered using the OADA/C transactions must be thoroughly justified in the D-3A issue narrative. Agencies can run OADA/OADR from STAM to identify the amounts entered into OAD and ensure these entries have been thoroughly explained in the D-3A issue narrative.					
TIP	The issue narrative must completely and thoroughly explain and justify each D-3A issue. Agencies must ensure it provides the information necessary for the OPB and legislative analysts to have a complete understanding of the issue submitted. Thoroughly review pages 66 through 70 of the LBR Instructions.					
TIP	Check BAPS to verify status of budget amendments. Check for reapprovals not picked up in the General Appropriations Act. Verify that Lump Sum appropriations in Column A02 do not appear in Column A03. Review budget amendments to verify that 160XXX0 issue amounts correspond accurately and net to zero for General Revenue funds.					
TIP	If an agency is receiving federal funds from another agency the FSI should = 9 (Transfer - Recipient of Federal Funds). The agency that originally receives the funds directly from the federal agency should use FSI = 3 (Federal Funds).					
TIP	If an appropriation made in the FY 2012-13 General Appropriations Act duplicates an appropriation made in substantive legislation, the agency must create a unique deduct nonrecurring issue to eliminate the duplicated appropriation. Normally this is taken care of through line item veto.					
8. SCHEDULE I & RELATED DOCUMENTS (SC1R, SC1 - SC1D - Department Level)						
8.1	Has a separate department level Schedule I and supporting documents package been submitted by the agency?					Y
8.2	Has a Schedule I and Schedule IB been completed in LAS/PBS for each operating trust fund?					Y
8.3	Have the appropriate Schedule I supporting documents been included for the trust funds (Schedule IA, Schedule IC, and Reconciliation to Trial Balance)?					Y
8.4	Have the Examination of Regulatory Fees Part I and Part II forms been included for the applicable regulatory programs?					Y
8.5	Have the required detailed narratives been provided (5% trust fund reserve narrative; method for computing the distribution of cost for general management and administrative services narrative; adjustments narrative; revenue estimating methodology narrative)?					Y

Action		Program or Service (Budget Entity Codes)				
		65100200	65100400	65100600	65101000	Dept.
8.6	Has the Inter-Agency Transfers Reported on Schedule I form been included as applicable for transfers totaling \$100,000 or more for the fiscal year?					Y
8.7	If the agency is scheduled for the annual trust fund review this year, have the Schedule ID and applicable draft legislation been included for recreation, modification or termination of existing trust funds?					
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)?					Y
8.10	Are the statutory authority references correct?					Y
8.11	Are the General Revenue Service Charge percentage rates used for each revenue source correct? (Refer to Chapter 2009-78, Laws of Florida, for appropriate general revenue service charge percentage rates.)					Y
8.12	Is this an accurate representation of revenues based on the most recent Consensus Estimating Conference forecasts?					
8.13	If there is no Consensus Estimating Conference forecast available, do the revenue estimates appear to be reasonable?					Y
8.14	Are the federal funds revenues reported in Section I broken out by individual grant? Are the correct CFDA codes used?					Y
8.15	Are anticipated grants included and based on the state fiscal year (rather than federal fiscal year)?					Y
8.16	Are the Schedule I revenues consistent with the FSI's reported in the Exhibit D-3A?					Y
8.17	If applicable, are nonrecurring revenues entered into Column A04?					Y
8.18	Has the agency certified the revenue estimates in columns A02 and A03 to be the latest and most accurate available? Does the certification include a statement that the agency will notify OPB of any significant changes in revenue estimates that occur prior to the Governor's Budget Recommendations being issued?					Y
8.19	Is a 5% trust fund reserve reflected in Section II? If not, is sufficient justification provided for exemption? Are the additional narrative requirements provided?					Y
8.20	Are appropriate service charge nonoperating amounts included in Section II?					Y
8.21	Are nonoperating expenditures to other budget entities/departments cross-referenced accurately?					

Action		Program or Service (Budget Entity Codes)				
		65100200	65100400	65100600	65101000	Dept.
8.22	Do transfers balance between funds (within the agency as well as between agencies)? (See also 8.6 for required transfer confirmation of amounts totaling \$100,000 or more.)					Y
8.23	Are nonoperating expenditures recorded in Section II and adjustments recorded in Section III?					Y
8.24	Are prior year September operating reversions appropriately shown in column A01?					Y
8.25	Are current year September operating reversions appropriately shown in column A02?					Y
8.26	Does the Schedule IC properly reflect the unreserved fund balance for each trust fund as defined by the LBR Instructions, and is it reconciled to the agency accounting records?					Y
8.27	Does Column A01 of the Schedule I accurately represent the actual prior year accounting data as reflected in the agency accounting records, and is it provided in sufficient detail for analysis?					Y
8.28	Does Line I of Column A01 (Schedule I) equal Line K of the Schedule IC?					
AUDITS:						
8.29	Is Line I a positive number? (If not, the agency must adjust the budget request to eliminate the deficit).					Y
8.30	Is the June 30 Adjusted Unreserved Fund Balance (Line I) equal to the July 1 Unreserved Fund Balance (Line A) of the following year? If a Schedule IB was prepared, do the totals agree with the Schedule I, Line I? (SC1R, SC1A - Report should print "No Discrepancies Exist For This Report")					Y
8.31	Has a Department Level Reconciliation been provided for each trust fund and does Line A of the Schedule I equal the CFO amount? If not, the agency must correct Line A. (SC1R, DEPT)					Y
TIP	The Schedule I is the most reliable source of data concerning the trust funds. It is very important that this schedule is as accurate as possible!					
TIP	Determine if the agency is scheduled for trust fund review. (See page 125 of the LBR Instructions.) Transaction DFTR in LAS/PBS is also available and provides an LBR review date for each trust fund.					
TIP	Review the unreserved fund balances and compare revenue totals to expenditure totals to determine and understand the trust fund status.					
TIP	Typically nonoperating expenditures and revenues should not be a negative number. Any negative numbers must be fully justified.					
9. SCHEDULE II (PSCR, SC2)						
AUDIT:						

Action	Program or Service (Budget Entity Codes)				
	65100200	65100400	65100600	65101000	Dept.
9.1 Is the pay grade minimum for salary rate utilized for positions in segments 2 and 3? (BRAR, BRAA - Report should print "No Records Selected For This Request") Note: Amounts other than the pay grade minimum should be fully justified in the D-3A issue narrative. (See <i>Base Rate Audit</i> on page 157 of the LBR Instructions.)	Y	Y	Y	Y	
10. SCHEDULE III (PSCR, SC3)					
10.1 Is the appropriate lapse amount applied in Segment 3? (See page 90 of the LBR Instructions.)					
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 OADI or OADR to identify agency other salary amounts requested.		Y			
11. SCHEDULE IV (EADR, SC4)					
11.1 Are the correct Information Technology (IT) issue codes used?					
TIP If IT issues are not coded correctly (with "C" in 6th position), they will not appear in the Schedule IV.					
12. SCHEDULE VIIIA (EADR, SC8A)					
12.1 Is there only one #1 priority, one #2 priority, one #3 priority, etc. reported on the Schedule VIII-A? Are the priority narrative explanations adequate?				Y	
13. SCHEDULE VIIIB-1 (EADR, S8B1)					
13.1 NOT REQUIRED FOR THIS YEAR					
14. SCHEDULE VIIIB-2 (EADR, S8B2)					
14.1 Do the reductions comply with the instructions provided on pages 102 through 104 of the LBR Instructions regarding a 5% reduction in recurring General Revenue and Trust Funds, including the verification that the 33BXXX0 issue has NOT been used?		Y	Y		
15. SCHEDULE XI (USCR,SCXI) (LAS/PBS Web - see page 105-109 of the LBR Instructions for detailed instructions)					
15.1 Agencies are required to generate this spreadsheet via the LAS/PBS Web. The Final Excel version no longer has to be submitted to OPB for inclusion on the Governor's Florida Performs Website. (Note: Pursuant to <i>section 216.023(4)(b), Florida Statutes</i> , the Legislature can reduce the funding level for any agency that does not provide this information.)					Y
15.2 Do the PDF files uploaded to the Florida Fiscal Portal for the LRPP and LBR match?					Y
AUDITS INCLUDED IN THE SCHEDULE XI REPORT:					
15.3 Does the FY 2011-12 Actual (prior year) Expenditures in Column A36 reconcile to Column A01? (GENR, ACT1)	Y	Y	Y	Y	
15.4 None of the executive direction, administrative support and information technology statewide activities (ACT0010 thru ACT0490) have output standards (Record Type 5)? (Audit #1 should print "No Activities Found")			Y		

Action		Program or Service (Budget Entity Codes)				
		65100200	65100400	65100600	65101000	Dept.
15.5	Does the Fixed Capital Outlay (FCO) statewide activity (ACT0210) only contain 08XXXX or 14XXXX appropriation categories? (Audit #2 should print "No Operating Categories Found")					
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	
15.7	Does Section I (Final Budget for Agency) and Section III (Total Budget for Agency) equal? (Audit #4 should print "No Discrepancies Found")					Y
TIP	If Section I and Section III have a small difference, it may be due to rounding and therefore will be acceptable.					
16. MANUALLY PREPARED EXHIBITS & SCHEDULES						
16.1	Do exhibits and schedules comply with LBR Instructions (pages 110 through 154 of the LBR Instructions), and are they accurate and complete?					Y
16.2	Are appropriation category totals comparable to Exhibit B, where applicable?	Y	Y	Y	Y	
16.3	Are agency organization charts (Schedule X) provided and at the appropriate level of detail?	Y	Y	Y	Y	
AUDITS - GENERAL INFORMATION						
TIP	Review <i>Section 6: Audits</i> of the LBR Instructions (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.					
17. CAPITAL IMPROVEMENTS PROGRAM (CIP)						
17.1	Are the CIP-2, CIP-3, CIP-A and CIP-B forms included?	Y		Y	Y	Y
17.2	Are the CIP-4 and CIP-5 forms submitted when applicable (see CIP Instructions)?					Y
17.3	Do all CIP forms comply with CIP Instructions where applicable (see CIP Instructions)?	Y		Y	Y	Y
17.4	Does the agency request include 5 year projections (Columns A03, A06, A07, A08 and A09)?					
17.5	Are the appropriate counties identified in the narrative?					
17.6	Has the CIP-2 form (Exhibit B) been modified to include the agency priority for each project and the modified form saved as a PDF document?					

		Program or Service (Budget Entity Codes)				
Action		65100200	65100400	65100600	65101000	Dept.
<p>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.</p>						
18. FLORIDA FISCAL PORTAL						
18.1	Have all files been assembled correctly and posted to the Florida Fiscal Portal as outlined in the Florida Fiscal Portal Submittal Process?	Y	Y	Y	Y	Y