

LEGISLATIVE BUDGET REQUEST

September 20, 2012

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

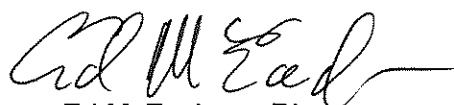
Ms. JoAnne Leznoff, Staff Director
House Appropriations Committee
221 Capitol
Tallahassee, Florida 32399-1300

Ms. 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 Health 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 John H. Armstrong, MD, Surgeon General and Secretary.

Sincerely,



Ed McEachron, Director
Division of Administration

EM/lr
Enclosures

Temporary Special Duty - General

Pay Additives Implementation Plan for Fiscal Year 2013-2014

Temporary Special Duty Additives - General may be authorized in situations where employees are assuming the acting roles of vacant positions within the agency. This additive may be used while the agency is involved in the recruiting process, and until the incumbent has been hired and/or successfully trained. The additive may be implemented on the effective date of the vacancy, and must be discontinued on or before the 90th day of implementation, unless prior approval has been received. The additive may range between 5-10% of the acting employees base rate of pay, the amount will be determined based upon the assigned duties and responsibilities of the acting role. The total value of Temporary Special Duty Additives - General implemented during fiscal year 2012-2013 was \$40,167.56 for a total of 41 employees. It is estimated that the agency will implement a similar number of Temporary Duty Additives - General in the 2013-2014 fiscal year. Pay Additives will impact employees in the following collective bargaining units:

AFSCME
FNA
FPD
SEAG



Legislative Budget Request

Fiscal Year 2013-2014

Department Level

Exhibits and Schedules

| Non-Strategic IT Service: | | Network Service | | | |
|---|---|-----------------|--|-------------------------------|--|
| Dept/Agency: | Department Of Health | | # of Assets & Resources Apportioned to this IT Service in FY 2013-14 | | |
| Prepared by: | Bob Dillenschneider | | | | |
| Phone: | 850-245-4471 | | | | |
| 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 | | | 48.25 | | \$2,528,130 |
| A-1.1 | State FTE | 1 | 39.00 | | \$1,871,661 |
| A-2.1 | OPS FTE | 1 | 3.75 | | \$114,830 |
| A-3.1 | Contractor Positions (Staff Augmentation) | 1 | 5.50 | | \$541,639 |
| B. Hardware | | | | | \$1,822,556 |
| B-1 | Servers | | 507 | 11.5 | \$87,000 |
| B-2 | Server Maintenance & Support | | 76 | 26 | \$142,999 |
| B-3 | Network Devices & Hardware (e.g., routers, switches, hubs, cabling, etc.) | | 5761 | 2844 | \$1,354,171 |
| B-4 | Online Storage for file and print (indicate GB of storage) | | 150110 | | \$13,656 |
| B-5 | Archive Storage for file and print (indicate GB of storage) | | 122660 | | \$12,530 |
| B-6 | Other Hardware Assets (Please specify in Footnote Section below) | | | | \$212,200 |
| C. Software | | | | | \$95,570 |
| D. External Service Provider(s) | | | | | \$5,022,338 |
| D-1 | MyFloridaNet | | | | \$4,700,651 |
| D-2 | Other (Please specify in Footnote Section below) | | | | \$321,687 |
| E. Other (Please describe in Footnotes Section below) | | | | | \$22,527 |
| F. Total for IT Service | | | | | \$9,491,121 |
| G. Please identify the number of users of the Network Service | | | | | 20,000 |
| H. How many locations currently host IT assets and resources used to provide LAN services? | | | | | 348 |
| I. How many locations currently use WAN services? | | | | | 1,893 |
| J. | Footnotes - Please indicate a footnote for each corresponding row above. Maximum footnote length is 1024 characters. | | | | |
| 1 | All personnel, hardware and software data is from the various budget entities and units throughout the Department | | | | |
| 2 | | | | | |
| 3 | | | | | |
| 4 | | | | | |
| 5 | | | | | |
| 6 | | | | | |
| 7 | | | | | |
| 8 | | | | | |
| 9 | | | | | |
| 10 | | | | | |
| 11 | | | | | |
| 12 | | | | | |
| 13 | | | | | |
| 14 | | | | | |
| 15 | | | | | |

E-Mail, Messaging, and Calendaring Service

Agency: **Department Of Health**
 Prepared by: **Bob Dillenschneider**
 Phone: **850-245-4471**

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 | | | | | \$317,196 |
| A-1 | State FTE | 1 | 7.50 | | \$310,945 |
| A-2 | OPS FTE | | 0.10 | | \$633 |
| A-3 | Contractor Positions (Staff Augmentation) | | 0.10 | | \$5,618 |
| B. Hardware | | | | | \$333,600 |
| B-1 | Servers | | 21 | 0 | \$0 |
| B-2 | Server Maintenance & Support | | 1 | 1 | \$4,599 |
| B-3 | Wireless Communication Devices (e.g., Blackberries, iPhones, PDAs, etc.) | | 2131 | 254 | \$329,001 |
| B-4 | Online Storage (indicate GB of storage) | | 85 | | \$0 |
| B-5 | Archive Storage (indicate GB of storage) | | 82 | | \$0 |
| B-6 | Other Hardware Assets (Please specify in Footnote Section below) | | | | \$0 |
| C. Software | | | | | \$39,312 |
| D. External Service Provider(s) | | | | | \$10,000 |
| D-1 | Southwood Shared Resource Center | | | | \$10,000 |
| 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) | | | | | \$11,167 |
| F. Total for IT Service | | | | | \$711,275 |
| G. Please provide the number of user mailboxes. | | | | | 19,000 |
| H. Please provide the number of resource mailboxes. | | | | | 523 |
| I. Footnotes - Please indicate a footnote for each corresponding row above. Maximum footnote length is 1024 characters. | | | | | |
| 1 | All personnel, hardware and software data is from the various budget entities and units throughout the Department | | | | |
| 2 | | | | | |
| 3 | | | | | |
| 4 | | | | | |
| 5 | | | | | |
| 6 | | | | | |
| 7 | | | | | |
| 8 | | | | | |
| 9 | | | | | |

Desktop Computing Service

Agency: **Department Of Health**
 Prepared by: **Bob Dillenschneider**
 Phone: **850-245-4471**

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 | | | | | \$3,830,258 |
| A-1 | State FTE | 1 | 75.75 | | \$3,643,078 |
| A-2 | OPS FTE | | 5.75 | | \$183,620 |
| A-3 | Contractor Positions (Staff Augmentation) | | 0.20 | | \$3,560 |
| B. Hardware | | | | | \$3,573,357 |
| B-1 | Servers | | 95.25 | 0 | \$30,000 |
| B-2 | Server Maintenance & Support | | 22 | 3 | \$2,680 |
| B-3.1 | Desktop Computers | | 16312 | 2663 | \$2,605,229 |
| B-3.2 | Mobile Computers (e.g., Laptop, Notebook, Handheld, Wireless Computer) | | 6303 | 484 | \$747,054 |
| B-3.3 | Other Hardware Assets (Please specify in Footnote Section below) | | 6793 | 507 | \$188,394 |
| C. Software | | | | | \$342,333 |
| D. External Service Provider(s) | | | | | \$95,051 |
| E. Other (Please describe in Footnotes Section below) | | | | | \$46,270 |
| F. Total for IT Service | | | | | \$7,887,268 |
| G. Please identify the number of users of this service. | | | | | 18,067 |
| H. How many locations currently use this service? | | | | | 492 |
| I. Footnotes - Please indicate a footnote for each corresponding row above. Maximum footnote length is 1024 characters. | | | | | |
| 1 | All personnel, hardware and software data is from the various budget entities and units throughout the Department | | | | |
| 2 | | | | | |
| 3 | | | | | |
| 4 | | | | | |
| 5 | | | | | |
| 6 | | | | | |
| 7 | | | | | |
| 8 | | | | | |
| 9 | | | | | |
| 10 | | | | | |
| 11 | | | | | |
| 12 | | | | | |
| 13 | | | | | |
| 14 | | | | | |
| 15 | | | | | |

Non-Strategic IT Service:

Helpdesk Service

Agency: **Department Of Health**

Prepared by: **Bob Dillenschneider**

Phone: **850-245-4471**

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 | | | 54.75 | | \$2,289,437 |
| A-1 | State FTE | 1 | 40.25 | | \$1,919,564 |
| A-2 | OPS FTE | | 13.75 | | \$322,503 |
| A-3 | Contractor Positions (Staff Augmentation) | | 0.75 | | \$47,370 |
| B. Hardware | | | 87 | 3 | \$6,500 |
| B-1 | Servers | | 10 | 0 | \$0 |
| B-2 | Server Maintenance & Support | | 3 | 2 | \$6,000 |
| B-3 | Other Hardware Assets (Please specify in Footnote Section below) | | 74 | 1 | \$500 |
| C. Software | | | | | \$149,644 |
| D. External Service Provider(s) | | | 2 | 1 | \$122,424 |
| E. Other (Please describe in Footnotes Section below) | | | | | \$1,745 |
| F. Total for IT Service | | | | | \$2,569,750 |
| G. Please identify the number of users of this service. | | | | | 20,000 |
| H. How many locations currently host IT assets and resources used to provide this service? | | | | | 162 |
| I. What is the average monthly volume of calls/cases/tickets? | | | | | 36,094 |
| J. Footnotes - Please indicate a footnote for each corresponding row above. Maximum footnote length is 1024 characters. | | | | | |
| 1 | All personnel, hardware and software data is from the various budget entities and units throughout the Department | | | | |
| 2 | | | | | |
| 3 | | | | | |
| 4 | | | | | |
| 5 | | | | | |
| 6 | | | | | |
| 7 | | | | | |
| 8 | | | | | |
| 9 | | | | | |
| 10 | | | | | |
| 11 | | | | | |
| 12 | | | | | |
| 13 | | | | | |
| 14 | | | | | |
| 15 | | | | | |

Non-Strategic IT Service:

IT Security/Risk Mitigation Service

Agency: **Department Of Health**
 Prepared by: **Bob Dillenschneider**
 Phone: **850-245-4471**

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 | | | 23.00 | | \$931,300 |
| A-1 | State FTE | 1 | 20.90 | | \$810,969 |
| A-2 | OPS FTE | | 0.10 | | \$3,800 |
| A-3 | Contractor Positions (Staff Augmentation) | | 2.00 | | \$116,531 |
| B. Hardware | | | 670 | 507 | \$685,308 |
| B-1 | Servers | | 17 | 1 | \$63,696 |
| B-2 | Server Maintenance & Support | | 6 | 4 | \$4,280 |
| B-3 | Other Hardware Assets (Please specify in Footnote Section below) | | 647 | 502 | \$617,332 |
| C. Software | | | | | \$234,294 |
| D. External Service Provider(s) | | | 2 | 0 | \$10,150 |
| E. Other (Please describe in Footnotes Section below) | | | | | \$877 |
| F. Total for IT Service | | | | | \$1,861,929 |
| G. Footnotes - Please indicate a footnote for each corresponding row above. Maximum footnote length is 1024 characters. | | | | | |
| 1 | All personnel, hardware and software data is from the various budget entities and units throughout the Department | | | | |
| 2 | | | | | |
| 3 | | | | | |
| 4 | | | | | |
| 5 | | | | | |
| 6 | | | | | |
| 7 | | | | | |
| 8 | | | | | |
| 9 | | | | | |
| 10 | | | | | |
| 11 | | | | | |
| 12 | | | | | |
| 13 | | | | | |
| 14 | | | | | |
| 15 | | | | | |

Non-Strategic IT Service:

Agency Financial and Administrative Systems Support Service

Agency: **Department Of Health**
 Prepared by: **Bob Dillenschneider**
 Phone: **850-245-4471**

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 | | | 30.45 | | \$2,460,211 |
| A-1 | State FTE | 1 | 20.75 | | \$1,299,054 |
| A-2 | OPS FTE | | 0.20 | | \$7,600 |
| A-3 | Contractor Positions (Staff Augmentation) | | 9.50 | | \$1,153,558 |
| B. Hardware | | | 91 | 7 | \$21,109 |
| B-1 | Servers | | 6 | 0 | \$0 |
| B-2 | Server Maintenance & Support | | 4 | 2 | \$18,609 |
| B-3 | Other Hardware Assets (Please specify in Footnote Section below) | | 81 | 5 | \$2,500 |
| C. Software | | | | | \$317,631 |
| D. External Service Provider(s) | | | 0 | 0 | \$0 |
| E. Other (Please describe in Footnotes Section below) | | | | | \$109,001 |
| F. Total for IT Service | | | | | \$2,907,952 |
| G. Please identify the number of users of this service. | | | | | 1,537 |
| H. How many locations currently host agency financial/administrative systems? | | | | | 21 |
| I. Footnotes - Please indicate a footnote for each corresponding row above. Maximum footnote length is 1024 characters. | | | | | |
| 1 | All personnel, hardware and software data is from the various budget entities and units throughout the Department | | | | |
| 2 | | | | | |
| 3 | | | | | |
| 4 | | | | | |
| 5 | | | | | |
| 6 | | | | | |
| 7 | | | | | |
| 8 | | | | | |
| 9 | | | | | |
| 10 | | | | | |
| 11 | | | | | |
| 12 | | | | | |
| 13 | | | | | |
| 14 | | | | | |
| 15 | | | | | |

Non-Strategic IT Service:

IT Administration and Management Service

Agency: **Department Of Health**
 Prepared by: **Bob Dillenschneider**
 Phone: **850-245-4471**

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 | | | 59.00 | | \$4,365,627 |
| A-1 | State FTE | 1 | 52.25 | | \$3,478,822 |
| A-2 | OPS FTE | | 0.00 | | \$0 |
| A-3 | Contractor Positions (Staff Augmentation) | | 6.75 | | \$886,806 |
| B. Hardware | | | 100 | 12 | \$44,860 |
| B-1 | Servers | | 34 | 2 | \$35,000 |
| B-2 | Server Maintenance & Support | | 20 | 7 | \$7,380 |
| B-3 | Other Hardware Assets (Please specify in Footnote Section below) | | 46 | 3 | \$2,480 |
| C. Software | | | | | \$1,900 |
| D. External Service Provider(s) | | | 4 | 1 | \$43,533 |
| E. Other (Please describe in Footnotes Section below) | | | | | \$192,740 |
| F. Total for IT Service | | | | | \$4,648,660 |
| G. How many locations currently host assets and resources used to provide this service? | | | | | 69 |
| G. Footnotes - Please indicate a footnote for each corresponding row above. Maximum footnote length is 1024 characters. | | | | | |
| 1 | All personnel, hardware and software data is from the various budget entities and units throughout the Department | | | | |
| 2 | | | | | |
| 3 | | | | | |
| 4 | | | | | |
| 5 | | | | | |
| 6 | | | | | |
| 7 | | | | | |
| 8 | | | | | |
| 9 | | | | | |
| 10 | | | | | |
| 11 | | | | | |
| 12 | | | | | |
| 13 | | | | | |
| 14 | | | | | |
| 15 | | | | | |

Non-Strategic IT Service:

Web/Portal Service

Dept/Agency: **Department Of Health**
 Prepared by: **Bob Dillenschneider**
 Phone: **850-245-4471**

of Assets & Resources Apportioned to this IT Service In FY 2013-14

| Service Provisioning -- Assets & Resources <i>(Cost Elements)</i> | | 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 | | | 24.55 | | \$1,285,038 |
| A-1.1 | State FTE | 1 | 22.50 | | \$1,225,179 |
| A-2.1 | OPS FTE | | 2.00 | | \$58,969 |
| A-3.1 | Contractor Positions (Staff Augmentation) | | 0.05 | | \$890 |
| B. Hardware | | | | | \$15,580 |
| B-1 | Servers | | 35 | 2 | \$11,000 |
| B-2 | Server Maintenance & Support | | 5 | 1 | \$4,080 |
| B-3 | Other Hardware Assets <i>(Please specify in Footnotes Section below)</i> | | 8 | 1 | \$500 |
| C. Software | | | | | \$26,047 |
| D. External Service Provider(s) | | | 2 | 2 | \$23,822 |
| E. Other <i>(Please describe in Footnotes Section below)</i> | | | | | \$1,424 |
| F. Total for IT Service | | | | | \$1,351,911 |
| G. Please identify the number of Internet users of this service. | | | | | 8,216,526 |
| H. Please identify the number of intranet users of this service. | | | | | 45,087 |
| I. How many locations currently host IT assets and resources used to provide this service? | | | | | 81 |
| J. | Footnotes - Please indicate a footnote for each corresponding row above. Maximum footnote length is 1024 characters. | | | | |
| 1 | <i>All personnel, hardware and software data is from the various budget entities and units throughout the Department</i> | | | | |
| 2 | | | | | |
| 3 | | | | | |
| 4 | | | | | |
| 5 | | | | | |
| 6 | | | | | |
| 7 | | | | | |
| 8 | | | | | |
| 9 | | | | | |
| 10 | | | | | |
| 11 | | | | | |
| 12 | | | | | |
| 13 | | | | | |
| 14 | | | | | |
| 15 | | | | | |

Non-Strategic IT Service:

Data Center Service

Dept/Agency: **Department Of Health**

Prepared by: **Bob Dillenschneider**

Phone: **850-245-4471**

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 (performing data center functions defined in w. 282.201(2)(d)1.e., F.S.) | | | 12.25 | | \$704,689 |
| A-1.1 | State FTE | 1 | 12.25 | | \$704,689 |
| A-2.1 | OPS FTE | | 0.00 | | \$0 |
| A-3.1 | Contractor Positions (Staff Augmentation) | | 0.00 | | \$0 |
| B. Hardware | | | | | \$108,466 |
| B-1 | Non-Mainframe Servers (including single-function logical servers not assigned to another service) | | 97 | 2 | \$65,000 |
| B-2 | Servers - Mainframe | | 0 | 1 | \$0 |
| B-3 | Server Maintenance & Support | | 2 | 8 | \$11,750 |
| B-4 | Online or Archival Storage Systems (indicate GB of storage) | | 17 | | \$28,916 |
| B-5 | Data Center/ Computing Facility Internal Network | | | | \$1,800 |
| B-6 | Other Hardware (Please specify in Footnotes Section below) | | | | \$1,000 |
| C. Software | | | | | \$412 |
| D. External Service Provider(s) | | | | | \$7,280,246 |
| D-1 | Southwood Shared Resource Center (indicate # of Board votes) | | 1803 | | \$5,335,521 |
| D-2 | Northwood Shared Resource Center (indicate # of Board votes) | | 0 | | \$1,894,609 |
| D-3 | Northwest Regional Data Center (indicate # of Board votes) | | 0 | | \$50,116 |
| D-4 | Other Data Center External Service Provider (specify in Footnotes below) | | | | \$0 |
| E. Plant & Facility | | | | | \$266,120 |
| E-1 | Data Center/Computing Facilities Rent & Insurance | | | | \$50,329 |
| E-2 | Utilities (e.g., electricity and water) | | | | \$171,657 |
| E-3 | Environmentals (e.g., HVAC, fire control, and physical security) | | | | \$23,824 |
| E-4 | Other (please specify in Footnotes Section below) | | | | \$20,310 |
| F. Other (Please describe in Footnotes Section below) | | | | | \$2,132 |
| G. Total for IT Service | | | | | \$8,362,065 |
| H. Please provide the number of agency data centers. | | | | | 8 |
| I. Please provide the number of agency computing facilities. | | | | | 23 |
| J. Please provide the number of single-server installations. | | | | | 43 |
| H. Footnotes - Please indicate a footnote for each corresponding row above. Maximum footnote length is 1024 characters. | | | | | |
| 1 | All personnel, hardware and software data is from the various budget entities and units throughout the Department | | | | |
| 2 | | | | | |
| 3 | | | | | |
| 4 | | | | | |
| 5 | | | | | |
| 6 | | | | | |
| 7 | | | | | |
| 8 | | | | | |
| 9 | | | | | |

Agency: Department Of Health

| Agency: Department Of Health | | | | | | | | | | 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 Code | Budget Entity | Program Component Code | Program Component | Appropriation Category Code | Appropriation Category | Fund Code | Fund | FSI | Identified Funding as % of Total Cost of Service | 99.9999% | 100.0000% | 100.0000% | 100.0000% | 100.0000% | 100.0000% | 100.0000% | 100.0000% | 100.0000% | | | | |
| | | | | | | | | | Line Item Total | Funding Identified for IT Service | | | | | | | | | | | | |
| 1 | 64100200 | Administration | 1602000000 & 1603000000 | Executive Leadership / Information Technology | 010000, 030000, 040000, 100777, 107040 | 000319, 021033 | General Revenue & Admin Trust Fund | 1,3 | \$19,327,401 | \$711,274 | \$9,491,121 | \$7,887,269 | \$2,569,750 | \$1,861,929 | \$2,907,952 | \$4,648,660 | \$1,351,911 | \$8,362,065 | | | | |
| 2 | | | | | | | | | \$0 | \$134,079 | \$4,120,839 | \$207,157 | \$611,942 | \$1,212,588 | \$2,497,089 | \$2,768,464 | \$339,913 | \$7,435,330 | | | | |
| 3 | 64200200 | Disease Control | 1301000000 | Health Service to Individuals | 010000 | 000319 | General Revenue | 1 | \$282,889 | | \$53,760 | \$150,617 | | | \$54,526 | \$23,986 | | | | | | |
| 4 | 64200700 | CHDs | 1306000000 | CHDs | 010000 | 141001 | CHD Trust Fund | 1 | \$17,299,095 | \$498,109 | \$4,468,792 | \$6,202,541 | \$1,665,266 | \$576,217 | \$403,763 | \$1,759,521 | \$849,717 | \$875,169 | | | | |
| 5 | 64200800 | Statewide Health Support | 1602000000 | Executive Leadership | 010000, 040000 | 000319, 531003 | General Revenue and Planning and Evaluation Trust Fund | 1 | \$741,451 | | | | | | | | | | | | | |
| 6 | 64300100 | Children's Medical Service | 1301000000 | Health Service to Individuals | 040000 | 000319 | General Revenue | 1 | \$2,141,095 | \$6,971 | \$191,647 | \$322,122 | \$93,600 | | \$23,643 | \$51,902 | \$51,566 | | | | | |
| 7 | | | | | | | | | \$0 | \$72,115 | \$656,083 | \$1,004,832 | \$198,942 | \$73,124 | \$7,100 | \$42,506 | \$86,393 | | | | | |
| 8 | | | | | | | | | \$0 | | | | | | | | | | | | | |
| 9 | | | | | | | | | \$0 | | | | | | | | | | | | | |
| 10 | | | | | | | | | \$0 | | | | | | | | | | | | | |
| 11 | | | | | | | | | \$0 | | | | | | | | | | | | | |
| 12 | | | | | | | | | \$0 | | | | | | | | | | | | | |
| 13 | | | | | | | | | \$0 | | | | | | | | | | | | | |
| 14 | | | | | | | | | \$0 | | | | | | | | | | | | | |
| 15 | | | | | | | | | \$0 | | | | | | | | | | | | | |
| 16 | | | | | | | | | \$0 | | | | | | | | | | | | | |
| 17 | | | | | | | | | \$0 | | | | | | | | | | | | | |
| 18 | | | | | | | | | \$0 | | | | | | | | | | | | | |
| 19 | | | | | | | | | \$0 | | | | | | | | | | | | | |
| 20 | | | | | | | | | \$0 | | | | | | | | | | | | | |
| 21 | | | | | | | | | \$0 | | | | | | | | | | | | | |
| 22 | | | | | | | | | \$0 | | | | | | | | | | | | | |
| 23 | | | | | | | | | \$0 | | | | | | | | | | | | | |
| 24 | | | | | | | | | \$0 | | | | | | | | | | | | | |
| 25 | | | | | | | | | \$0 | | | | | | | | | | | | | |
| 26 | | | | | | | | | \$0 | | | | | | | | | | | | | |
| 27 | | | | | | | | | \$0 | | | | | | | | | | | | | |
| 28 | | | | | | | | | \$0 | | | | | | | | | | | | | |
| 29 | | | | | | | | | \$0 | | | | | | | | | | | | | |
| 30 | | | | | | | | | \$0 | | | | | | | | | | | | | |
| Sum of IT Cost Elements Across IT Services | | | | | | | | | | | | | | | | | | | | | | |
| IT Cost Element Data as entered on IT Service Work sheets | | | | | | | | | | Personnel | | State FTE (#) | 291.15 | 7.50 | 39.00 | 75.75 | 40.25 | 20.90 | 20.75 | 52.25 | 22.50 | 12.25 |
| | | | | | | | | | | | | State FTE (Costs) | \$15,263,960 | \$310,945 | \$1,871,661 | \$3,643,078 | \$1,919,564 | \$810,969 | \$1,299,054 | \$3,478,822 | \$1,225,179 | \$704,689 |
| | | | | | | | | | | OPS FTE (#) | 25.65 | 0.10 | 3.75 | 5.75 | 13.75 | 0.10 | 0.20 | 0.00 | 2.00 | 0.00 | | |
| | | | | | | | | | | OPS FTE (Cost) | \$691,955 | \$633 | \$114,830 | \$183,620 | \$322,503 | \$3,800 | \$7,600 | \$0 | \$58,969 | \$0 | | |
| | | | | | | | | | | Vendor/Staff Augmentation (# Positions) | 24.85 | 0.10 | 5.50 | 0.20 | 0.75 | 2.00 | 9.50 | 6.75 | 0.05 | 0.00 | | |
| | | | | | | | | | | Vendor/Staff Augmentation (Costs) | \$2,755,971 | \$5,618 | \$541,639 | \$3,560 | \$47,370 | \$116,531 | \$1,153,558 | \$886,806 | \$890 | \$0 | | |
| | | | | | | | | | | Hardware | \$6,611,336 | \$333,600 | \$1,822,556 | \$3,573,357 | \$6,500 | \$685,308 | \$21,109 | \$44,860 | \$15,580 | \$108,466 | | |
| | | | | | | | | | | Software | \$1,207,143 | \$39,312 | \$95,570 | \$342,333 | \$149,644 | \$234,294 | \$317,631 | \$1,900 | \$26,047 | \$412 | | |
| | | | | | | | | | | External Services | \$12,607,564 | \$10,000 | \$5,022,338 | \$95,051 | \$122,424 | \$10,150 | \$0 | \$43,533 | \$23,822 | \$7,280,246 | | |
| | | | | | | | | | | Plant & Facility (Data Center Only) | \$266,120 | | | | | | | | | \$266,120 | | |
| Other | \$387,883 | \$11,167 | \$22,527 | \$46,270 | \$1,745 | \$877 | \$109,001 | \$192,740 | \$1,424 | \$2,132 | | | | | | | | | | | | |
| Budget Total | \$39,791,931 | \$711,275 | \$9,491,121 | \$7,887,268 | \$2,569,750 | \$1,861,929 | \$2,907,952 | \$4,648,660 | \$1,351,911 | \$8,362,065 | | | | | | | | | | | | |
| FTE Total | 341.65 | 7.70 | 48.25 | 81.70 | 54.75 | 23.00 | 30.45 | 59.00 | 24.55 | 12.25 | | | | | | | | | | | | |
| Users | | 19,523 | 20,000 | 18,067 | 20,000 | 1,537 | 8,261,613 | | | | | | | | | | | | | | | |
| Cost Per User | | \$36 | 474.556054 | 436.5566181 | 128.4874985 | 1891.96635 | 0.163637658 | | | | | | | | | | | | | | | |
| | | | | | | | | | | (cost/all mailboxes) Help Desk Tickets: 36,094 Cost/Ticket: 5.933003569 | | | | | | | | | | | | |

Schedule VII: Agency Litigation Inventory

| | | | |
|--|--|---|--------------|
| Agency: | Florida Department of Health | | |
| Contact Person: | Jennifer Tschetter, General Counsel | Phone Number: | 850-245-4005 |
| Names of the Case: (If no case name, list the names of the plaintiff and defendant.) | T.H., A.C., et al v. Elizabeth Dudek in her official capacity as agency head for the Agency for Healthcare Administration, Harry Frank Farmer, M.D., in his official capacity as Florida’s Surgeon General and agency head for the Florida Department of Health, et al. | | |
| Court with Jurisdiction: | United States District Court for the Southern District of Florida/Ft. Lauderdale | | |
| Case Number: | 12-60460-CIV-ZLOCK | | |
| Summary of the Complaint: | Plaintiffs seek a permanent injunction requiring the Defendants to cease sending medical fragile and complex children to nursing facilities and wanting Defendants to provide services to the same children in the most integrated setting. | | |
| Amount of the Claim: | \$ See AHCA | | |
| Specific Statutes or Laws (including GAA) Challenged: | Title II of the Americans with Disabilities Act of 1973, 42 USC §§12131-12165, Section 504 of the Rehabilitation Act of 1973, 29 USC §794, Medicaid Act 42 USC §§1396-1396v, the Nursing Home Reform Amendments to Medicaid Act, 42 USC §§1396r and Early and Periodic Screening Diagnostic and Treatment Services 42 USC §1396d(r) and 42 USC §1983 | | |
| Status of the Case: | In the discovery phase. | | |
| Who is representing (of record) the state in this lawsuit? Check all that apply. | <input type="checkbox"/> | Agency Counsel | |
| | <input type="checkbox"/> | Office of the Attorney General or Division of Risk Management | |
| | <input checked="" type="checkbox"/> | Outside Contract Counsel | |
| If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s). | Law Offices of Matthew W. Dietz FSU College of Law Public Interest Law Center The North Florida Center for Equal Justice, Inc. | | |

Schedule VII: Agency Litigation Inventory

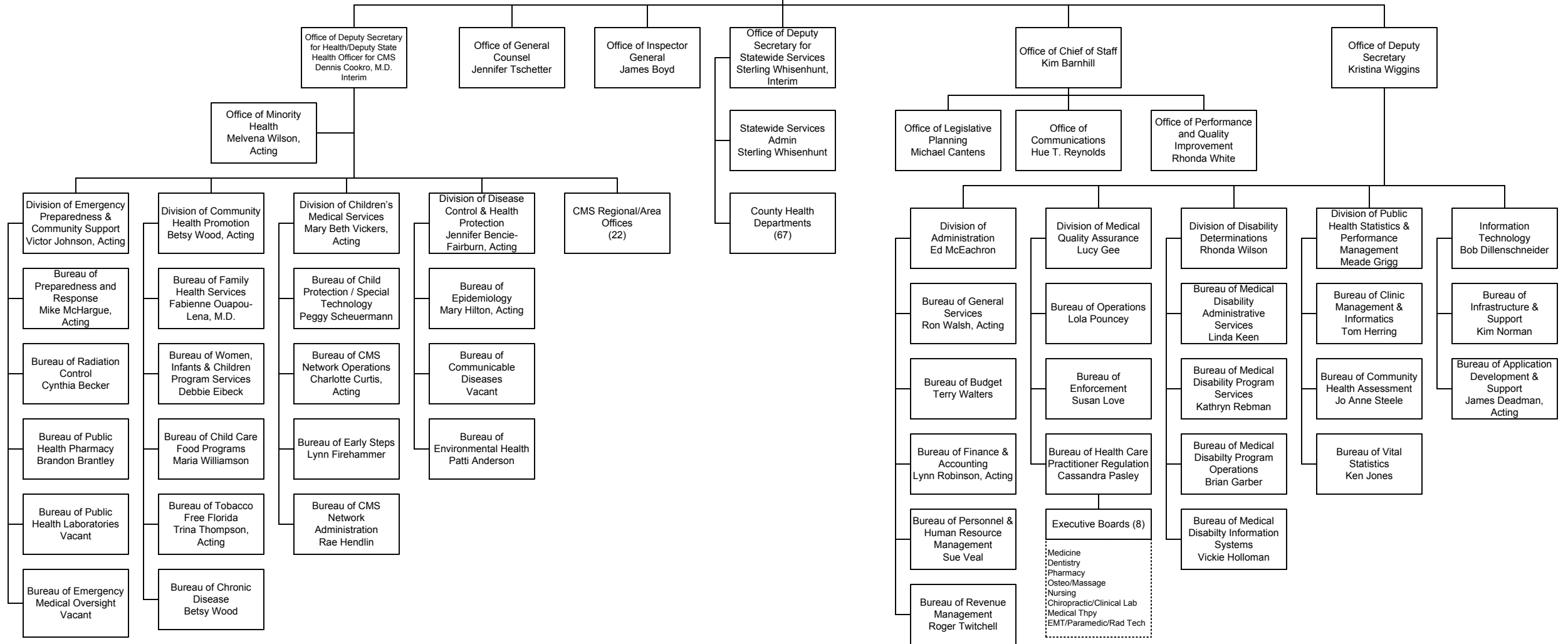
| | | | |
|---|---|---|--------------|
| Agency: | Florida Department of Health (FDOH) | | |
| Contact Person: | Jennifer Tschetter, FDOH General Counsel & Stephanie Daniels , Special Counsel, Office of Attorney General | Phone Number: | 850-245-4005 |
| Names of the Case: (If no case name, list the names of the plaintiff and defendant.) | Florida Pediatric Society, the Florida Chapter of the American Academy of Pediatrics, et al v. Elizabeth Dudek, in her official capacity as Secretary of the Agency for Health Care Administration, John Armstrong, M.D., in his official capacity as Florida's Surgeon General and agency head for the Florida Department of Health, et al. | | |
| Court with Jurisdiction: | U.S. District Court for Southern District of Florida | | |
| Case Number: | 1:05-cv-23037-AJ | | |
| Summary of the Complaint: | This case broadly challenges the administration of the Florida Medicaid Program as it relates to children under the age of 21. Plaintiffs challenge the adequacy of reimbursement rates paid to physician and dental providers who furnish Medicaid services to children. They also challenge the adequacy and timeliness of access to physician and dental services, including physician and dental specialty care as well as access to services provided by managed care plans, including prepaid mental health plans and prepaid dental plans. | | |
| Amount of the Claim: | \$ See Agency for Healthcare Administration | | |
| Specific Statutes or Laws (including GAA) Challenged: | Title XIX of the Social Security Act, 42 United States Code § 1396 | | |
| Status of the Case: | Awaiting a final opinion from the court on the liability phase of this case. If liability is found, then the case will continue to the remedy phase. | | |
| Who is representing (of record) the state in this lawsuit? Check all that apply. | <input type="checkbox"/> | Agency Counsel | |
| | <input checked="" type="checkbox"/> | Office of the Attorney General or Division of Risk Management | |
| | <input checked="" type="checkbox"/> | Outside Contract Counsel | |

| | |
|--|---|
| If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s). | Boies, Schiller & Flexner – Ft. Lauderdale, Florida Miller, Keffer & Bullocks – Tulsa, Oklahoma Public Interest Law Center of Philadelphia – Philadelphia, Pennsylvania |
|--|---|

Office of Policy and Budget – July 2012

State of Florida Department of Health

The People
Rick Scott, Governor
Office of State Surgeon General
John Armstrong, M.D.



| HEALTH, DEPARTMENT OF | | FISCAL YEAR 2011-12 | | | |
|--|--|---------------------|---------------|---------------------------------|------------|
| SECTION I: BUDGET | | OPERATING | | FIXED CAPITAL OUTLAY | |
| TOTAL ALL FUNDS GENERAL APPROPRIATIONS ACT | | 2,867,703,126 | | 43,079,943 | |
| ADJUSTMENTS TO GENERAL APPROPRIATIONS ACT (Supplementals, Vetoes, Budget Amendments, etc.) | | -43,567,490 | | 0 | |
| FINAL BUDGET FOR AGENCY | | 2,824,135,636 | | 43,079,943 | |
| SECTION II: ACTIVITIES * MEASURES | | Number of Units | (1) Unit Cost | (2) Expenditures (Allocated) | (3) FCO |
| Executive Direction, Administrative Support and Information Technology (2) | | | | | 43,079,943 |
| Anti-tobacco Marketing Activities * Number of anti-tobacco impressions. | | 1,049,465,829 | 0.02 | 21,860,636 | |
| Community Based Anti-tobacco Activities * Number of community based tobacco intervention projects funded. | | 67 | 272,308.03 | 18,244,638 | |
| Provide Quitline Services * Number of calls to the Florida Quit-for-Life Line. | | 56,831 | 224.79 | 12,774,831 | |
| Cessation Interventions - Area Health Education Centers (ahecs) * Total number of tobacco users who received AHEC tobacco cessation services | | 12,171 | 328.65 | 4,000,000 | |
| State And Community Interventions - Area Health Education Centers (ahecs) * Total number of health care practitioners trained in tobacco dependence, patient referrals and systems change. | | 7,820 | 767.26 | 6,000,000 | |
| Provide School Health Services * Number of school health services provided | | 24,805,543 | 2.27 | 56,347,237 | |
| Provide Dental Health Services * Number of adults and children receiving county health department professional dental care. | | 229,755 | 309.96 | 71,214,536 | |
| Provide Healthy Start Services * Number of Healthy Start clients provided by direct service providers. | | 304,259 | 491.90 | 149,663,685 | |
| Provide Women, Infants And Children (wic) Nutrition Services * Number of monthly participants | | 494,615 | 785.65 | 388,596,656 | |
| Child Care Food Nutrition * Number of child care meals served monthly | | 10,215,607 | 18.38 | 187,744,837 | |
| Provide Family Planning Services * Number of family planning clients. | | 219,410 | 261.34 | 57,340,142 | |
| Provide Primary Care For Adults And Children * Number of adults and children receiving well child care and care for acute and episodic illnesses and injuries. | | 281,335 | 475.93 | 133,894,646 | |
| Provide Chronic Disease Screening And Education Services * Number of persons receiving chronic disease community services from county health departments. | | 211,985 | 278.98 | 59,139,287 | |
| Recruit Volunteers * Number of volunteers participating | | 32,327 | 14.26 | 461,009 | |
| Provide Immunization Services * Number of immunization services provided | | 1,457,967 | 27.88 | 40,650,136 | |
| Provide Sexually Transmitted Disease Services * Number of sexually transmitted disease clients. | | 99,743 | 346.11 | 34,521,887 | |
| Provide Human Immunodeficiency Virus/Acquired Immune Deficiency Syndrome (hiv/Aids) Services * Persons receiving HIV patient care and case management from Ryan White Consortia and General Revenue Networks | | 46,446 | 3,309.42 | 153,709,257 | |
| Provide Tuberculosis Services * Number of tuberculosis medical, screening, tests, test read services. | | 289,052 | 137.53 | 39,754,634 | |
| Operate Ag Holley Tuberculosis Hospital * Number of patient days. | | 18,191 | 583.04 | 10,606,041 | |
| Provide Infectious Disease Surveillance * Number of epidemiological interview / follow-up services. | | 117,211 | 161.53 | 18,932,532 | |
| Monitor And Regulate Facilities * Number of facility inspections. | | 198,365 | 151.75 | 30,101,109 | |
| Monitor And Regulate Onsite Sewage Disposal (osds) Systems * Number of onsite sewage disposal systems inspected. | | 407,668 | 86.49 | 35,259,222 | |
| Control Radiation Threats * Number of radiation facilities, devices and users regulated. | | 90,058 | 79.65 | 7,173,366 | |
| Racial And Ethnic Disparity Grant * Number of projects | | 27 | 130,515.70 | 3,523,924 | |
| Provide Community Hygiene Services * Number of Community Hygiene Health Services | | 126,026 | 66.76 | 8,413,620 | |
| Monitor Water System/Groundwater Quality * Water system / storage tank inspections / plans reviewed. | | 258,974 | 36.14 | 9,359,963 | |
| Record Vital Events - Chd * Number of vital events recorded. | | 406,083 | 28.67 | 11,640,579 | |
| Process Vital Records * Number of birth, death, fetal death, marriage and divorce records processed. | | 653,447 | 14.23 | 9,301,098 | |
| Provide Public Health Pharmacy Services * Number of drug packets, bottles, and scripts distributed/dispensed. | | 1,545,904 | 85.59 | 132,311,655 | |
| Provide Public Health Laboratory Services * Number of relative workload units performed annually. | | 5,060,915 | 5.94 | 30,037,865 | |
| Public Health Preparedness And Response To Bioterrorism * Number of services (vary considerably in scope) | | 55,566 | 974.72 | 54,161,020 | |
| Statewide Research * Number of grants awarded annually | | 51 | 624,337.10 | 31,841,192 | |
| Prescription Drug Monitoring * Number of queries to the Prescription Drug Monitoring Database | | 1,493,287 | 0.37 | 558,208 | |
| Early Intervention Services * Number enrolled in early intervention program. | | 42,638 | 1,123.44 | 47,901,223 | |
| Medical Services To Abused / Neglected Children * Number of Child Protection Team assessments | | 47,400 | 357.11 | 16,926,961 | |
| Poison Control Centers * Number of telephone consultations. | | 167,293 | 7.54 | 1,261,319 | |
| Children's Medical Services Network * Number of children enrolled | | 64,740 | 3,761.73 | 243,534,642 | |
| Issue Licenses And Renewals * Health care practitioner licenses issued | | 500,000 | 73.64 | 36,821,719 | |
| Investigate Unlicensed Activity * Number of unlicensed cases investigated. | | 583 | 2,242.25 | 1,307,230 | |
| Profile Practitioners * Number of visits to practitioner profile website. | | 5,400,000 | 0.12 | 667,565 | |
| Recruit Providers To Underserved Areas * Providers recruited to serve in underserved areas. | | 431 | 774.94 | 334,000 | |
| Support Local Health Planning Councils * Number of Local Health Councils Supported. | | 11 | 90,909.18 | 1,000,001 | |
| Support Rural Health Networks * Rural Health Networks supported. | | 9 | 127,709.67 | 1,149,387 | |
| Rehabilitate Brain And Spinal Cord Injury Victims * Number of brain and spinal cord injured individuals served. | | 2,327 | 10,715.72 | 24,935,484 | |
| Dispense Grant Funds To Local Providers * Number of disbursements. | | 130 | 51,435.38 | 6,686,600 | |
| Trauma Services * Number of Verified Trauma Centers | | 22 | 526,401.77 | 11,580,839 | |
| Provide Eligibility Determination For Benefits * Number of claims completed with accurate determinations | | 249,608 | 530.46 | 132,406,127 | |
| Investigative Services * Number of practitioner cases investigated. | | 29,463 | 298.05 | 8,781,437 | |
| Practitioner Regulation Legal Services * Number of practitioner cases resolved. | | 7,307 | 1,119.65 | 8,181,258 | |
| Consumer Services * Number of complaints resolved. | | 19,294 | 131.37 | 2,534,605 | |
| TOTAL | | | | 2,375,149,845 | 43,079,943 |
| SECTION III: RECONCILIATION TO BUDGET | | | | | |
| PASS THROUGHS | | | | | |
| TRANSFER - STATE AGENCIES | | | | | |
| AID TO LOCAL GOVERNMENTS | | | | | |
| PAYMENT OF PENSIONS, BENEFITS AND CLAIMS | | | | | |
| OTHER | | | | 199,390,497 | |
| REVERSIONS | | | | 249,593,838 | |
| TOTAL BUDGET FOR AGENCY (Total Activities + Pass Throughs + Reversions) - Should equal Section I above. (4) | | | | 2,824,134,180 | 43,079,943 |

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 XIV Variance from Long Range Financial Outlook

Agency: Health

Contact: Terry Walters

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 | Tobacco Settlement/Tobacco Constitutional Amendment | B | 1.1 | N/A |
| b | Nitrogen Reduction Study | B | 0.8 | 1 |
| c | Medicaid Waivers | B | 1.7 | N/A |
| d | Restore Non-recurring Operational Funds | B | 1.8 | 1.8 |
| e | Restore Non-recurring Temp Ass't for Needy Families (TANF) | B | 5.5 | 5.5 |
| f | Capital Improvements/Repair and Maintenance | B | 19.2 | 55 |
| g | Information systems WIC | B | 4.8 | 6.6 |

- 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 Tobacco Settlement (consumer price index change) and medicaid waivers are typically not requested by the department. The appropriations are given to the department during the legislative session. The Repair and Maintenance issue consists of centrally managed projects. The Information Systems consists of the Women, Infants and Children (WIC) Electronic Benefits Transfer (EBT) Data System.

* R/B = Revenue or Budget Driver

Office of Policy and Budget - July 2012

**DEPARTMENT OF HEALTH
ADMINISTRATIVE SUPPORT EXHIBITS AND SCHEDULES**

**DEPARTMENT OF HEALTH
ADMINISTRATIVE SUPPORT SCHEDULE I SERIES**

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

| | |
|-----------------------------|-----------------------------------|
| Department Title: | Budget Period: 2013 - 2014 |
| Trust Fund Title: | Department of Health |
| Budget Entity: | Administrative Trust Fund |
| LAS/PBS Fund Number: | 64100200 |
| | 2021 |

| | Balance as of 6/30/2012 | | SWFS* Adjustments | Adjusted Balance |
|---|----------------------------|-----|----------------------|---------------------|
| Chief Financial Officer's (CFO) Cash Balance | 7,990,763.85 | (A) | | 7,990,763.85 |
| ADD: Other Cash (See Instructions) | 328.78 | (B) | | 328.78 |
| ADD: Investments | | (C) | | 0.00 |
| ADD: Outstanding Accounts Receivable | 5,505,262.46 | (D) | | 5,505,262.46 |
| ADD: _____ | | (E) | | 0.00 |
| Total Cash plus Accounts Receivable | 13,496,355.09 | (F) | 0.00 | 13,496,355.09 |
| LESS Allowances for Uncollectibles | | (G) | | 0.00 |
| LESS Approved "A" Certified Forwards | (455,669.83) | (H) | | (455,669.83) |
| Approved "B" Certified Forwards | (145,364.80) | (H) | | (145,364.80) |
| Approved "FCO" Certified Forwards | (302,011.93) | (H) | | (302,011.93) |
| LESS: Other Accounts Payable (Nonoperating) | (198.09) | (I) | | (198.09) |
| LESS: Transfer to BE 64100400 | (1,542,457.00) | (J) | | (1,542,457.00) |
| LESS: Transfer to BE 64400200 | (12,750.47) | (J) | | (12,750.47) |
| Unreserved Fund Balance, 07/01/12 | 11,037,902.97 | (K) | 0.00 | 11,037,902.97 ** |

Notes:

*SWFS = Statewide Financial Statement

** This amount should agree with Line I, Section IV of the Schedule I for the most recent completed fiscal year and Line A for the following year.

RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC

Budget Period: 2013 - 2014

| | |
|-----------------------------|---------------------------|
| Department Title: | Department of Health |
| Trust Fund Title: | Administrative Trust Fund |
| LAS/PBS Fund Number: | 2021/64100200 |

BEGINNING TRIAL BALANCE:

Total Fund Balance Per FLAIR Trial Balance, 07/01/12

| | | |
|--|----------------------|-----|
| Total all GLC's 5XXXX for governmental funds; GLC 539XX for proprietary and fiduciary funds | 12,977,261.55 | (A) |
|--|----------------------|-----|

| | | |
|---|--|-----|
| Subtract Nonspendable Fund Balance (GLC 56XXX) | | (B) |
|---|--|-----|

Add/Subtract Statewide Financial Statement (SWFS) Adjustments :

| | | |
|-----------------------------------|--|-----|
| SWFS Adjustment # and Description | | (C) |
|-----------------------------------|--|-----|

| | | |
|-----------------------------------|--|-----|
| SWFS Adjustment # and Description | | (C) |
|-----------------------------------|--|-----|

Add/Subtract Other Adjustment(s):

| | | |
|---|--------------|-----|
| Approved "B" Carry Forward (Encumbrances) per LAS/PBS | (145,364.80) | (D) |
|---|--------------|-----|

| | | |
|--|--------------|-----|
| Approved "C" Carry Forward Total (FCO) per LAS/PBS | (302,011.93) | (D) |
|--|--------------|-----|

| | | |
|----------------------------------|-----------|-----|
| A/P not C/F-Operating Categories | 63,225.62 | (D) |
|----------------------------------|-----------|-----|

| | | |
|-------------------------|----------------|-----|
| Transfer to BE 64100400 | (1,542,457.00) | (D) |
|-------------------------|----------------|-----|

| | | |
|-------------------------|-------------|-----|
| Transfer to BE 64400200 | (12,750.47) | (D) |
|-------------------------|-------------|-----|

| | | |
|--|--|-----|
| | | (D) |
|--|--|-----|

| | | |
|--|----------------------|-----|
| ADJUSTED BEGINNING TRIAL BALANCE: | 11,037,902.97 | (E) |
|--|----------------------|-----|

| | | |
|--|----------------------|-----|
| UNRESERVED FUND BALANCE, SCHEDULE IC (Line I) | 11,037,902.97 | (F) |
|--|----------------------|-----|

| | | |
|--------------------|-------------|------|
| DIFFERENCE: | 0.00 | (G)* |
|--------------------|-------------|------|

***SHOULD EQUAL ZERO.**

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

| | |
|-----------------------------|-----------------------------------|
| Department Title: | Budget Period: 2013 - 2014 |
| Trust Fund Title: | Department of Health |
| Budget Entity: | Tobacco Settlement Trust Fund |
| LAS/PBS Fund Number: | 64100200 |
| | 2122 |

| | Balance as of 6/30/2012 | | SWFS* Adjustments | Adjusted Balance |
|---|----------------------------|-----|----------------------|---------------------|
| Chief Financial Officer's (CFO) Cash Balance | 0.00 | (A) | | 0.00 |
| ADD: Other Cash (See Instructions) | | (B) | | 0.00 |
| ADD: Investments | | (C) | | 0.00 |
| ADD: Outstanding Accounts Receivable | 8,433.16 | (D) | | 8,433.16 |
| ADD: _____ | | (E) | | 0.00 |
| Total Cash plus Accounts Receivable | 8,433.16 | (F) | 0.00 | 8,433.16 |
| LESS Allowances for Uncollectibles | | (G) | | 0.00 |
| LESS Approved "A" Certified Forwards | (8,433.16) | (H) | | (8,433.16) |
| Approved "B" Certified Forwards | | (H) | | 0.00 |
| Approved "FCO" Certified Forwards | | (H) | | 0.00 |
| LESS: Other Accounts Payable (Nonoperating) | | (I) | | 0.00 |
| LESS: _____ | | (J) | | 0.00 |
| Unreserved Fund Balance, 07/01/12 | 0.00 | (K) | 0.00 | 0.00 ** |

Notes:

*SWFS = Statewide Financial Statement

** This amount should agree with Line I, Section IV of the Schedule I for the most recent completed fiscal year and Line A for the following year.

RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC

Budget Period: 2013 - 2014

Department Title: Department of Health
Trust Fund Title: Tobacco Settlement Trust Fund
LAS/PBS Fund Number: 2122/64100200

BEGINNING TRIAL BALANCE:

Total Fund Balance Per FLAIR Trial Balance, 07/01/12

Total all GLC's 5XXXX for governmental funds; (A)
GLC 539XX for proprietary and fiduciary funds

Subtract Nonspendable Fund Balance (GLC 56XXX) (B)

Add/Subtract Statewide Financial Statement (SWFS) Adjustments :

SWFS Adjustment # and Description (C)

SWFS Adjustment # and Description (C)

Add/Subtract Other Adjustment(s):

Approved "B" Carry Forward (Encumbrances) per LAS/PBS (D)

Approved "C" Carry Forward Total (FCO) per LAS/PBS (D)

A/P not C/F-Operating Categories (D)

(D)

(D)

(D)

ADJUSTED BEGINNING TRIAL BALANCE: (E)

UNRESERVED FUND BALANCE, SCHEDULE IC (Line I) (F)

DIFFERENCE: (G)*

***SHOULD EQUAL ZERO.**

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

| | |
|-----------------------------|-----------------------------------|
| Department Title: | Budget Period: 2013 - 2014 |
| Trust Fund Title: | Department of Health |
| Budget Entity: | Federal Grant Trust Fund |
| LAS/PBS Fund Number: | 64100200 |
| | 2261 |

| | Balance as of 6/30/2012 | | SWFS* Adjustments | Adjusted Balance |
|---|----------------------------|-----|----------------------|----------------------|
| Chief Financial Officer's (CFO) Cash Balance | 1,732.92 | (A) | | 1,732.92 |
| ADD: Other Cash (See Instructions) | | (B) | | 0.00 |
| ADD: Investments | | (C) | | 0.00 |
| ADD: Outstanding Accounts Receivable | 309,917.32 | (D) | | 309,917.32 |
| ADD: _____ | | (E) | | 0.00 |
| Total Cash plus Accounts Receivable | 311,650.24 | (F) | 0.00 | 311,650.24 |
| LESS Allowances for Uncollectibles | | (G) | | 0.00 |
| LESS Approved "A" Certified Forwards | (62,594.06) | (H) | | (62,594.06) |
| Approved "B" Certified Forwards | | (H) | | 0.00 |
| Approved "FCO" Certified Forwards | | (H) | | 0.00 |
| LESS: Other Accounts Payable (Nonoperating) | | (I) | | 0.00 |
| LESS: _____ | | (J) | | 0.00 |
| Unreserved Fund Balance, 07/01/12 | 249,056.18 | (K) | | 249,056.18 ** |

Notes:

*SWFS = Statewide Financial Statement

** This amount should agree with Line I, Section IV of the Schedule I for the most recent completed fiscal year and Line A for the following year.

RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC

Budget Period: 2013 - 2014

| | |
|-----------------------------|--------------------------|
| Department Title: | Department of Health |
| Trust Fund Title: | Federal Grant Trust Fund |
| LAS/PBS Fund Number: | 2261/64100200 |

BEGINNING TRIAL BALANCE:

Total Fund Balance Per FLAIR Trial Balance, 07/01/12

| | | |
|--|---|-----|
| Total all GLC's 5XXXX for governmental funds; GLC 539XX for proprietary and fiduciary funds | <input type="text" value="254,778.12"/> | (A) |
|--|---|-----|

| | | |
|---|----------------------|-----|
| Subtract Nonspendable Fund Balance (GLC 56XXX) | <input type="text"/> | (B) |
|---|----------------------|-----|

Add/Subtract Statewide Financial Statement (SWFS) Adjustments :

| | | |
|-----------------|----------------------|-----|
| SWFS Adjustment | <input type="text"/> | (C) |
|-----------------|----------------------|-----|

| | | |
|-----------------|----------------------|-----|
| SWFS Adjustment | <input type="text"/> | (C) |
|-----------------|----------------------|-----|

Add/Subtract Other Adjustment(s):

| | | |
|---|----------------------|-----|
| Approved "B" Carry Forward (Encumbrances) per LAS/PBS | <input type="text"/> | (D) |
|---|----------------------|-----|

| | | |
|--|----------------------|-----|
| Approved "C" Carry Forward Total (FCO) per LAS/PBS | <input type="text"/> | (D) |
|--|----------------------|-----|

| | | |
|----------------------------------|---|-----|
| A/P not C/F-Operating Categories | <input type="text" value="(5,721.94)"/> | (D) |
|----------------------------------|---|-----|

| | |
|----------------------|-----|
| <input type="text"/> | (D) |
|----------------------|-----|

| | |
|----------------------|-----|
| <input type="text"/> | (D) |
|----------------------|-----|

| | |
|----------------------|-----|
| <input type="text"/> | (D) |
|----------------------|-----|

| | | |
|--|---|-----|
| ADJUSTED BEGINNING TRIAL BALANCE: | <input type="text" value="249,056.18"/> | (E) |
|--|---|-----|

| | | |
|--|---|-----|
| UNRESERVED FUND BALANCE, SCHEDULE IC (Line I) | <input type="text" value="249,056.18"/> | (F) |
|--|---|-----|

| | | |
|--------------------|-----------------------------------|------|
| DIFFERENCE: | <input type="text" value="0.00"/> | (G)* |
|--------------------|-----------------------------------|------|

***SHOULD EQUAL ZERO.**

SCHEDULE IX: MAJOR AUDIT FINDINGS AND RECOMMENDATIONS

Budget Period: 2013 - 2014

Department: Health

Chief Internal Auditor: Michael J. Bennett

Budget Entity: 64100200

Phone Number: (850) 245-4444 ext. 2150

| (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-1112DOH-019 | June 30, 2013 | Division of Administration | Department of Health (DOH) did not have a complete and formal process that assists relevant parties in making well-informed decisions related to the performance of contracted providers. <i>The Division of Administration should develop a formal, coordinated process so that all DOH personnel involved in contract monitoring efforts have the ability to effectively communicate and share information regarding contracted providers.</i> | The Division of Administration will develop a SharePoint site that will allow Department staff and Contract Managers to share information, results, and feedback related to monitoring of contract providers. | |
| A-1112DOH-019 | June 30, 2013 | Division of Administration | DOH Policies governing purchasing and contractual services failed to mention or reference Rule 60A-1.006, Florida Administrative Code (F.A.C.), leading to inconsistent application of the Rule’s provisions. <i>The Division of Administration should revise policies and correspondence with contracted providers to include references to Rule 60A-1.006, F.A.C. The Division of Administration should be more assertive in any published reports or correspondence regarding deficiencies in contracted provider performance by referencing and consistently enforcing the provisions of Rule 60A-1.006, F.A.C., especially the provisions regarding timely provider response and rendering the provider “in default” once those timeframes have not been met.</i> | The purchasing and contractual services policies will be updated to include reference to 60A-1.006, F.A.C. Specifically, the reference will focus on the removal of vendors, default actions, and placement on the Department of Management Services convicted vendors list. The purchasing and contractual services policies will be updated to include reference to 60A-1.006, F.A.C. Specifically, the reference will focus on the removal of vendors, default actions, and placement on the Department of Management Services convicted vendors list. | |
| A-1112DOH-019 | June 30, 2013 | Division of Administration | DOH executed or renewed contracts with providers that previously failed to respond to requests for corrective actions in Contract Administrative Monitoring (CAM) unit reports. <i>The Division of Administration should develop a control to identify contracted providers/vendors who have not timely responded to monitoring reports published by the CAM unit. Subsequent contracts should not be executed until the contracted provider appropriately responds to the issues cited in the Administrative Monitoring Report.</i> | The Division of Administration will strengthen its current process of identifying contract providers who have not responded timely to corrective actions emanating from Administrative Monitoring. It will: 1. Strengthen its current process; 2. Coordinate with the Office of General Counsel and various program offices regarding entering into new contracts with providers who failed to respond timely. 3. The SharePoint site referenced in 1.1 will include information on providers that have not timely responded to Administrative Monitoring. This information will be made available to DOH contracting and program staff. | |
| A-1112DOH-019 | June 30, 2013 | Division of Administration | DOH executed or renewed contracts with providers that were previously terminated from another DOH contract. <i>Finding will be addressed by fulfillment of the first finding and recommendation listed above.</i> | Response not required. | |

| | | | | | |
|---------------|---------------|----------------------------|---|---|--|
| A-1112DOH-019 | June 30, 2013 | Division of Administration | Previous Division of Administration management did not completely appropriately handle concerns related to a CAM Unit Contract Administrative Monitoring of a contracted provider. <i>The Division of Administration should take steps to ensure all allegations or appearances of financial irregularities, such as misappropriation of assets, fraud, or other illegal acts identified by CAM Unit Administrative Monitoring reviews, are reported timely to the Office of Inspector General. The Bureau of Finance and Accounting should take steps to finalize and publish DOHP 250-15-11, Awarding Financial Assistance, as soon as possible.</i> | The Division of Administration will take appropriate steps by reassessing its current process to ensure that the Office of Inspector General is timely informed of financial irregularities. It will review its current process and procedures to ensure that issues and concerns related to financial irregularities are reported to the Office of Inspector General and other related parties. The policy DOHP 250-15-11, Awarding Financial Assistance, will be reviewed and finalized for publication. The Bureau will coordinate the review of DOHP 250-15-11 with the Office of General Counsel to finalize publication. | |
| A-1112DOH-019 | June 30, 2013 | Division of Administration | Written procedures were not in place to advise contract managers how to handle instances of allegations or appearances of financial irregularities, such as misappropriation of assets, fraud, or other illegal acts perpetrated by contracted providers. <i>The Office of Contract Administration should update DOHP 250-14-11, Contractual Services Policies and Procedures, and its Programmatic Monitoring Guidelines to advise that contract managers should timely report all allegations or appearances of financial irregularities, such as misappropriation of assets, fraud, or other illegal acts identified during contract monitoring efforts, to the Office of Inspector General.</i> | The Office of Contract Administration has developed a uniform process for contract managers to timely report allegations of financial irregularities. This process will be incorporated into the DOHP 250-14-11, Contractual Services Policies & Procedures, and Programmatic Monitoring Guidelines. The Office of Contract Administration will incorporate a "Problem Situation Process" flowchart and procedures into DOHP 250-14-11. | |
| A-1112DOH-019 | June 30, 2013 | Division of Administration | The Bureau of Finance and Accounting has not applied interest to questioned costs after 40 days following formal notification to contracted providers that have outstanding balances, as stipulated in DOH's Standard Contract. <i>The Bureau of Finance and Accounting should enforce the provisions of the DOH standard contract and apply interest to contracted providers for any outstanding balance of questioned costs not returned within 40 days of notification. The CAM unit should remind contracted providers in formal communications that interest will be applied on any outstanding balance of questioned costs not returned within 40 days of notification.</i> | The Bureau of Finance & Accounting will enforce the provision of the standard contract regarding the application of interest to questioned costs. The Bureau of Finance & Accounting will develop a process of identifying contracted providers that have outstanding balances and enforcing the application of interest. The CAM unit will update its process to include the application of interest upon formal notice to providers that have outstanding balances. All future correspondence to contract providers will include a provision for the application of interest to questioned costs. | |
| A-1112DOH-019 | June 30, 2013 | Division of Administration | Administrative Monitoring Reports were not being published on a timely basis. <i>The Division of Administration should maintain the integrity of its CAM unit by ensuring the timely publication of all reports based on Administrative Monitoring reviews. These reports should include all material issues identified during the course of the respective administrative monitoring.</i> | The Division of Administration is in the process of assessing its policies and procedures of the CAM Unit to identify areas for improvement which will include, but not limited to publishing reports on time, making all reports available to contract managers, etc. | |

| | | | | | |
|---------------|---------------|--|---|---|--|
| A-1112DOH-019 | June 30, 2013 | Division of Administration | The Bureau of Finance and Accounting did not employ consistent efforts to collect questioned costs identified during Contract Administrative Monitoring projects. <i>The Bureau of Finance and Accounting should implement a control to track and monitor responses to Administrative Monitoring Reports, especially those with requests for a return of questioned costs, to ensure timely action is taken for those providers who fail to respond.</i> | The Bureau of Finance and Accounting will develop a process for collecting questioned costs identified during administrative monitoring projects. | |
| A-1011DOH-021 | June 30, 2012 | Division of Information Technology (DIT) | The Bureau of Application Development and Support does not adhere to the Application Development Standards or the Application Requirements Standards documents. <i>The Bureau of Application Development and Support should refer to industry best practices to establish and maintain standards for all application developments and acquisitions. Ensuring the standards incorporate key elements such as approvals at key milestones. The Bureau of Application Development and Support should incorporate quality assurance and management within the systems development life cycle (SDLC) standards to ensure all new application developments adhere to the standards. The standards should be reviewed and revised periodically to ensure they reflect industry trends and actual application and/or system acquisition and development activities within the Department.</i> | DIT is re-examining the systems development life cycle standards utilized by the Bureau of Application Development and Support. Primary SDLC methodology currently employed is Agile Scrum. DIT will also review tools currently owned for additional options and functionality. Documentation will be updated to reflect standards for all application development and acquisition. | |
| A-1011DOH-021 | June 30, 2012 | Division of Information Technology | Documented test plans are not developed for all applications and maintenance releases. <i>The Bureau of Application Development and Support should define test plan documentation standards and incorporate the requirements into the application development standards.</i> | DIT is re-examining the systems development life cycle standards utilized by the Bureau of Application Development and Support. Primary SDLC methodology currently employed is Agile Scrum. DIT is aware one software development methodology may not be suitable for use by all projects, based on technical, project and team considerations. DIT accepts the use of linear and iterative development methodologies as appropriate. Documentation will be updated to address quality assurance and project management activities as part of the development life cycle. DIT will review tools currently owned for additional options and functionality. | |
| A-1011DOH-021 | June 30, 2012 | Division of Information Technology | The Bureau of Application Development and Support (ADS) does not have defined performance measures. Moreover, the Division of Information Technology does not have a defined strategic plan which the Bureau of ADS can align their goals and performance measures. <i>The Bureau of Application Development and Support should identify, implement, monitor and report applicable performance measures that are aligned with a Division wide strategic plan and the recommended application development standards. The performance measures should provide value by measuring progress toward objectives and focus on customer needs or agreed upon service levels rather than Information Technology goals.</i> | Testing is an integral part of planned software development. DIT will define a standard test plan document and incorporate standards for Unit, System and User Acceptance Testing into the application development standards. | |

| | | | | | |
|---------------|---------------|---|--|--|--|
| A-1112DOH-004 | June 30, 2012 | Division of Administration, Bureau of General Services, Office of Contract Administration | Further clarification is needed regarding the definition of a Memorandum of Understanding (MOA), its use at DOH, and its distinction from a contract. <i>We recommend the Office of General Counsel work with the Division of Administration to develop and provide more formal guidance to users of MOAs at DOH, which distinguishes MOAs from contracts, and provides consistency of general language in these agreements. This guidance could be published by Office of General Counsel or could, through mutual agreement, be incorporated into policy publications published by the Division of Administration.</i> | The Office of General Counsel is providing edits and recommended changes to a memorandum prepared by Division of Administration to county health departments (CHDs) and programs to provide clear guidance and re-emphasize the correct use of MOAs. The memorandum will be issued or distributed no later than November 2012. | |
| A-1112DOH-004 | June 30, 2012 | Division of Administration, Bureau of General Services, Office of Contract Administration | Instances were noted where DOH continues to enter into contractual agreements for purchases of products or services with non-governmental entities using an MOA. Other concerns related to the execution of MOA documents were also noted. <i>We recommend the Bureau of General Services provide clear directive and training to County Health Deaprtments (CHD), Children's Medical Services (CMS) area offices and program offices that MOAs should not be used for or associated with any purchases (except between governments) of any dollar amount, and should not be tied to purchase orders.</i> | A memorandum to CHDs and programs to provide clear guidance and re-emphasize the correct use of MOAs has been routed and is with the Office of General Counsel for review and edits. The revised distribution date is no later than November 2012. | |
| A-1112DOH-004 | June 30, 2012 | Division of Administration, Bureau of General Services, Office of Contract Administration | MOAs were generally not entered into the Contract Information File of the Florida Accounting Information Resource (FLAIR) and therefore were unaccounted for by Central Office. <i>We recommend the Bureau of General Services take steps to verify that each program office, CHD, and CMS area office include their MOAs in at least one central database for reporting purposes. In light of the large quantity of MOAs within DOH, and also considering requirements to be defined by the Department of Financial Services in making its contract management system functional, DOH management should reevaluate whether it is appropriate for information related to MOAs to be captured in one or more systems so that DOH may centrally have access to information related to these types of agreements.</i> | A memorandum to CHDs and programs to provide clear guidance and re-emphasize the correct use of MOAs has been routed and is with the Office of General Counsel for review and edits. The projected distribution date of the memorandum is November 2012. To assure compliance and sufficient time for all parties to understand and implement the mandatory requirements, the amended completion date for this activity is April 2013. | |

Office of Policy and Budget - July 2012

DEPARTMENT OF HEALTH
INFORMATION TECHNOLOGY EXHIBITS AND SCHEDULES

**DEPARTMENT OF HEALTH
INFORMATION TECHNOLOGY SCHEDULE I SERIES**

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

| | |
|-----------------------------|-----------------------------------|
| Department Title: | Budget Period: 2013 - 2014 |
| Trust Fund Title: | Department of Health |
| Budget Entity: | Administrative Trust Fund |
| LAS/PBS Fund Number: | 64100400 |
| | 2021 |

| | Balance as of 6/30/2012 | | SWFS* Adjustments | Adjusted Balance |
|---|----------------------------|-----|----------------------|---------------------|
| Chief Financial Officer's (CFO) Cash Balance | 275,982.36 | (A) | | 275,982.36 |
| ADD: Other Cash (See Instructions) | | (B) | | 0.00 |
| ADD: Investments | | (C) | | 0.00 |
| ADD: Outstanding Accounts Receivable | | (D) | 52,201.60 | 52,201.60 |
| ADD: Anticipated Grant Revenue | 1,542,457.00 | (E) | | 1,542,457.00 |
| Total Cash plus Accounts Receivable | 1,818,439.36 | (F) | 52,201.60 | 1,870,640.96 |
| LESS Allowances for Uncollectibles | | (G) | | 0.00 |
| LESS Approved "A" Certified Forwards | (1,515,773.47) | (H) | 17,011.00 | (1,498,762.47) |
| Approved "B" Certified Forwards | (26,684.44) | (H) | | (26,684.44) |
| Approved "FCO" Certified Forwards | | (H) | | 0.00 |
| LESS: Other Accounts Payable (Nonoperating) | | (I) | | 0.00 |
| LESS: _____ | | (J) | | 0.00 |
| Unreserved Fund Balance, 07/01/12 | 275,981.45 | (K) | 69,212.60 | 345,194.05 ** |

Notes:

*SWFS = Statewide Financial Statement

** This amount should agree with Line I, Section IV of the Schedule I for the most recent completed fiscal year and Line A for the following year.

RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC

Budget Period: 2013 - 2014

| | |
|-----------------------------|---------------------------|
| Department Title: | Department of Health |
| Trust Fund Title: | Administrative Trust Fund |
| LAS/PBS Fund Number: | 2021/64100400 |

BEGINNING TRIAL BALANCE:

Total Fund Balance Per FLAIR Trial Balance, 07/01/12

| | | |
|--|-----------------------|-----|
| Total all GLC's 5XXXX for governmental funds; GLC 539XX for proprietary and fiduciary funds | (1,138,123.80) | (A) |
|--|-----------------------|-----|

| | | |
|---|--|-----|
| Subtract Nonspendable Fund Balance (GLC 56XXX) | | (B) |
|---|--|-----|

Add/Subtract Statewide Financial Statement (SWFS) Adjustments :

| | | |
|--|-----------|-----|
| SWFS Adjustment # Due from ther Departments (163XX) | 52,201.60 | (C) |
|--|-----------|-----|

| | | |
|--|-----------|-----|
| SWFS Adjustment # B6400005 Due to other Departments (353XX) | 17,011.00 | (C) |
|--|-----------|-----|

Add/Subtract Other Adjustment(s):

| | | |
|---|-------------|-----|
| Approved "B" Carry Forward (Encumbrances) per LAS/PBS | (26,684.44) | (D) |
|---|-------------|-----|

| | | |
|--|--|-----|
| Approved "C" Carry Forward Total (FCO) per LAS/PBS | | (D) |
|--|--|-----|

| | | |
|----------------------------------|--------------|-----|
| A/P not C/F-Operating Categories | (101,667.31) | (D) |
|----------------------------------|--------------|-----|

| | | |
|---|--------------|-----|
| Anticipated Grant Revenues from 2021 64100200 | 1,542,457.00 | (D) |
|---|--------------|-----|

| | | |
|--|--|-----|
| | | (D) |
|--|--|-----|

| | | |
|--|--|-----|
| | | (D) |
|--|--|-----|

| | | |
|--|-------------------|-----|
| ADJUSTED BEGINNING TRIAL BALANCE: | 345,194.05 | (E) |
|--|-------------------|-----|

| | | |
|--|-------------------|-----|
| UNRESERVED FUND BALANCE, SCHEDULE IC (Line I) | 345,194.05 | (F) |
|--|-------------------|-----|

| | | |
|--------------------|-------------|------|
| DIFFERENCE: | 0.00 | (G)* |
|--------------------|-------------|------|

***SHOULD EQUAL ZERO.**

**DEPARTMENT OF HEALTH
COMMUNITY HEALTH PROMOTION EXHIBITS AND SCHEDULES**

DEPARTMENT OF HEALTH
COMMUNITY HEALTH PROMOTION SCHEDULE I SERIES

SCHEDULE 1A: DETAIL OF FEES AND RELATED PROGRAM COSTS

Department: 64 Health **Budget Period:** 2013-2014
Program: 64200100 Community Health Promotion
Fund: 2089 Rape Crisis Program Trust Fund

Specific Authority: s. 794.055 & s. 794.056, F.S.
Purpose of Fees Collected: Funds are allocated to rape crisis centers to provide sexual battery recovery services to victims of sexual battery and their families.

Type of Fee or Program: (Check **ONE** Box and answer questions as indicated.)

| | |
|-------------------------------------|---|
| <input type="checkbox"/> | Regulatory services or oversight to businesses or professions. (Complete Sections I, II, and III and attach Examination of Regulatory Fees Form - Part I and II.) |
| <input checked="" type="checkbox"/> | Non-regulatory fees authorized to cover full cost of conducting a specific program or service. (Complete Sections I, II, and III only.) |

| <u>SECTION I - FEE COLLECTION</u> | ACTUAL | ESTIMATED | REQUEST |
|---|------------------|------------------|------------------|
| | FY 2011 -2012 | FY 2012 -2013 | FY 2013 -2014 |
| <u>Receipts:</u> | | | |
| _____ | 1,432,428 | 1,432,428 | 1,432,428 |
| _____ | | | |
| _____ | | | |
| _____ | | | |
| Total Fee Collection to Line (A) - Section III | 1,432,428 | 1,432,428 | 1,432,428 |

| <u>SECTION II - FULL COSTS</u> | | | |
|---|------------------|------------------|------------------|
| <u>Direct Costs:</u> | | | |
| Salaries and Benefits | - | 32,000 | 36,000 |
| Other Personal Services | | | |
| Expenses | 30,913 | 38,437 | 34,437 |
| Operating Capital Outlay | | | |
| Contractual Services | 1,769,219 | 1,338,298 | 1,338,298 |
| _____ | | | |
| Indirect Costs Charged to Trust Fund | | | |
| Total Full Costs to Line (B) - Section III | 1,800,132 | 1,408,735 | 1,408,735 |

Basis Used: _____

| <u>SECTION III - SUMMARY</u> | | | |
|--------------------------------|-----|------------------|---------------|
| TOTAL SECTION I | (A) | 1,432,428 | 1,432,428 |
| TOTAL SECTION II | (B) | 1,800,132 | 1,408,735 |
| TOTAL - Surplus/Deficit | (C) | (367,704) | 23,693 |

EXPLANATION of LINE C:
Cash is available for negative balance. Revenues have been estimated based on history of previous deposits.
It is not anticipated that the deposits will increase during FY 13-14.

SCHEDULE 1A: DETAIL OF FEES AND RELATED PROGRAM COSTS

Department: 64 Department of Health **Budget Period:** **2013-2014**
Program: 64200300 Community Health Promotion - Epilepsy Prevention Program
Fund: 2197 Epilepsy Services Trust Fund

Specific Authority: s. 385.2007, F.S.
Purpose of Fees Collected: Statewide Implementation of Programs for Epilepsy Prevention and Education

Type of Fee or Program: (Check **ONE** Box and answer questions as indicated.)

| | |
|-------------------------------------|---|
| <input type="checkbox"/> | Regulatory services or oversight to businesses or professions. (Complete Sections I, II, and III and attach Examination of Regulatory Fees Form - Part I and II.) |
| <input checked="" type="checkbox"/> | Non-regulatory fees authorized to cover full cost of conducting a specific program or service. (Complete Sections I, II, and III only.) |

| <u>SECTION I - FEE COLLECTION</u> | ACTUAL | ESTIMATED | REQUEST |
|---|------------------------------------|------------------------------------|------------------------------------|
| | FY 20 <u>11</u> - <u>12</u> | FY 20 <u>12</u> - <u>13</u> | FY 20 <u>13</u> - <u>14</u> |
| <u>Receipts:</u> | | | |
| <u>Fines Assessed - Safety Belt/Child</u> | 1,346,555 | 1,386,952 | 1,428,561 |
| <u>Restraint Violations</u> | | | |
| <u> </u> | | | |
| <u> </u> | | | |
| Total Fee Collection to Line (A) - Section III | 1,346,555 | 1,386,952 | 1,428,561 |

| <u>SECTION II - FULL COSTS</u> | | | |
|---|------------------|------------------|------------------|
| <u>Direct Costs:</u> | | | |
| <u>Salaries and Benefits</u> | 50,257 | 51,764 | 53,316 |
| <u>Other Personal Services</u> | - | - | - |
| <u>Expenses</u> | 19,034 | 19,034 | 19,034 |
| <u>Operating Capital Outlay</u> | | | |
| <u>Contractual Services</u> | 1,400,000 | 1,400,000 | 1,400,000 |
| <u>7.3% Service Charge To GR</u> | 98,298 | 101,247 | 104,284 |
| <u>Indirect Costs Charged to Trust Fund</u> | | | |
| Total Full Costs to Line (B) - Section III | 1,567,589 | 1,572,045 | 1,576,634 |

Basis Used: _____

| <u>SECTION III - SUMMARY</u> | | | | |
|-------------------------------------|-----|------------------|------------------|------------------|
| TOTAL SECTION I | (A) | 1,346,555 | 1,386,952 | 1,428,561 |
| TOTAL SECTION II | (B) | 1,567,589 | 1,572,045 | 1,576,634 |
| TOTAL - Surplus/Deficit | (C) | (221,034) | (185,093) | (148,073) |

EXPLANATION of LINE C:

SCHEDULE IX: MAJOR AUDIT FINDINGS AND RECOMMENDATIONS

Budget Period: 2013 - 2014

Department: Health

Chief Internal Auditor: Michael J. Bennett

Budget Entity: 64200100

Phone Number: (850) 245-4444 ext. 2150

| (1) | (2) | (3) | (4) | (5) | (6) |
|---------------|---------------|---|---|------------------------------------|------------|
| REPORT NUMBER | PERIOD ENDING | UNIT/AREA | SUMMARY OF FINDINGS AND RECOMMENDATIONS | SUMMARY OF CORRECTIVE ACTION TAKEN | ISSUE CODE |
| 2012-142 | June 30, 2012 | Child and Adult Care Food Program (CACFP) | Florida Department of Health (FDOH) did not have a process in place to report Federal Funding Accountability and Transparency ACT (FFATA) Subaward Reporting System (FSRS) data related to subawards. In addition, FDOH did not obtain the Dun and Bradstreet Data Universal Numbering System (DUNS) number of subrecipients prior to issuing subawards. <i>We recommend that FDOH ensure that all required key data elements are timely reported in FSRS for the applicable grants. We also recommend that FDOH obtain DUNS numbers prior to executing subrecipient agreements.</i> | Completed. | |
| 2012-142 | June 30, 2012 | CACFP | FDOH uses the Management Information and Payment System (MIPS) to receive CACFP claims from pre-approved contractors who provide meals and snacks under the Program. MIPS calculates monthly claims, provides management information, and prepares Federal reports. In our Information Technology operation audit report No. 2011-193, dated June 2011, we disclosed in finding Nos. 1 through 6, deficiencies related to MIPS regarding user access and system modification that we consider collectively to be a significant deficiency. Details of the findings and recommendations are included in that report. | No response required. | |

Office of Policy and Budget - July 2012

DEPARTMENT OF HEALTH
DISEASE CONTROL AND HEALTH PROTECTION
EXHIBITS AND SCHEDULES

DEPARTMENT OF HEALTH
DISEASE CONTROL AND HEALTH PROTECTION
SCHEDULE I SERIES

SCHEDULE 1A: DETAIL OF FEES AND RELATED PROGRAM COSTS

Department: Health **Budget Period:** 2013-2014
Program: Bureau of Onsite Sewage
Fund: Grants and Donations TF-339060

Specific Authority: 381.007
Purpose of Fees Collected: Septic Tank Contractor License fees-to ensure that contractors are licensed to perform septic work in Florida

Type of Fee or Program: (Check **ONE** Box and answer questions as indicated.)

| | |
|--|---|
| <input checked="checked" type="checkbox"/> | Regulatory services or oversight to businesses or professions. (Complete Sections I, II, and III and attach Examination of Regulatory Fees Form - Part I and II.) |
| <input type="checkbox"/> | Non-regulatory fees authorized to cover full cost of conducting a specific program or service. (Complete Sections I, II, and III only.) |

SECTION I - FEE COLLECTION

ACTUAL ESTIMATED REQUEST
FY 2011 - 2012 FY 2012 - 2013 FY 2013 -2014

Receipts:

| | | | |
|-------------------------|--------|---------|--------|
| Contractor Registration | 80,425 | 190,000 | 85,000 |
| | | | |
| | | | |
| | | | |

Total Fee Collection to Line (A) - Section III 80,425 190,000 85,000

SECTION II - FULL COSTS

Direct Costs:

| | | | |
|------------------------------|--------|---------|---------|
| Salaries and Benefits | 83,038 | 102,120 | 102,120 |
| Other Personal Services | | | |
| Expenses | 577 | 9,400 | 4,700 |
| Operating Capital Outlay | | | |
| Refunds | 150 | 150 | 150 |
| General Revenue Surcharge-8% | 6,218 | 15,200 | 6,800 |

Indirect Costs Charged to Trust Fund

Total Full Costs to Line (B) - Section III 89,982 126,870 113,770

Basis Used: _____

SECTION III - SUMMARY

| | | | | |
|--------------------------------|-----|----------------|---------------|-----------------|
| TOTAL SECTION I | (A) | 80,425 | 190,000 | 85,000 |
| TOTAL SECTION II | (B) | 89,982 | 126,870 | 113,770 |
| TOTAL - Surplus/Deficit | (C) | (9,557) | 63,130 | (28,770) |

EXPLANATION of LINE C:

This is a bi-ennial program. The surplus revenue in the trust fund will offset the cash deficit for FY 13-14.

SCHEDULE 1A: DETAIL OF FEES AND RELATED PROGRAM COSTS

Department: Health **Budget Period:** 2013-2014
Program: Bureau of Community Environmental Health
Fund: Radiation Control TF

Specific Authority: FS 404.056
Purpose of Fees Collected: Fees collected for Radon Certification.

Type of Fee or Program: (Check **ONE** Box and answer questions as indicated.)

| | |
|-------------------------------------|---|
| <input checked="" type="checkbox"/> | Regulatory services or oversight to businesses or professions. (Complete Sections I, II, and III and attach Examination of Regulatory Fees Form - Part I and II.) |
| <input type="checkbox"/> | Non-regulatory fees authorized to cover full cost of conducting a specific program or service. (Complete Sections I, II, and III only.) |

| <u>SECTION I - FEE COLLECTION</u> | ACTUAL | ESTIMATED | REQUEST |
|---|-----------------------|-----------------------|----------------------|
| | FY 2011 - 2012 | FY 2012 - 2013 | FY 2013 -2014 |
| <u>Receipts:</u> | | | |
| _____ | 112,255 | 117,868 | 117,868 |
| _____ | | | |
| _____ | | | |
| _____ | | | |
| Total Fee Collection to Line (A) - Section III | 112,255 | 117,868 | 117,868 |

| <u>SECTION II - FULL COSTS</u> | | | |
|---|---------------|---------------|---------------|
| <u>Direct Costs:</u> | | | |
| Salaries and Benefits | 51,167 | 53,725 | 53,725 |
| Other Personal Services | | | |
| Expenses | 6,281 | 6,595 | 6,595 |
| Operating Capital Outlay | | | |
| <u>General Revenue Surcharge-8%</u> | 8,101 | 9,429 | 9,429 |
| _____ | | | |
| Indirect Costs Charged to Trust Fund | | | |
| Total Full Costs to Line (B) - Section III | 65,548 | 69,749 | 69,749 |

Basis Used: _____

| <u>SECTION III - SUMMARY</u> | | | | |
|-------------------------------------|-----|---------------|---------------|---------------|
| TOTAL SECTION I | (A) | 112,255 | 117,868 | 117,868 |
| TOTAL SECTION II | (B) | 65,548 | 69,749 | 69,749 |
| TOTAL - Surplus/Deficit | (C) | 46,707 | 48,119 | 48,119 |

EXPLANATION of LINE C:
 Surplus cash helps offset cash deficit in the program to support radon activities.

SCHEDULE IX: MAJOR AUDIT FINDINGS AND RECOMMENDATIONS

Budget Period: 2013 - 2014

Department: Health

Chief Internal Auditor: Michael J. Bennett

Budget Entity: 64200200

Phone Number: (850) 245-4444 ext. 2150

| (1) | (2) | (3) | (4) | (5) | (6) |
|---------------|---------------|-----------|---|---|------------|
| REPORT NUMBER | PERIOD ENDING | UNIT/AREA | SUMMARY OF FINDINGS AND RECOMMENDATIONS | SUMMARY OF CORRECTIVE ACTION TAKEN | ISSUE CODE |
| 2012-142 | June 30, 2012 | HIV/AIDS | FDOH management had not established effective access security controls for the AIDS Information Management System (AIMS). <i>We recommend the Bureau of HIV/AIDS perform and document periodic reviews of AIMS access privileges and consider obtaining AIMS Access Request Forms for all users. We also recommend that FDOH establish written policies and procedures related to AIMS access security.</i> | The Reporting Unit has hired a developer and engaged a contractor to assist with moving the AIMS re-write project forward. Projected completion date is October 2012. The security module and contracting module have been coded as of this time. | |

Office of Policy and Budget - July 2012

DEPARTMENT OF HEALTH
FAMILY HEALTH SERVICES EXHIBITS AND SCHEDULES

DEPARTMENT OF HEALTH
FAMILY HEALTH SERVICES SCHEDULE I SERIES

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

| | |
|-----------------------------|-----------------------------------|
| Department Title: | Budget Period: 2013 - 2014 |
| Trust Fund Title: | Department of Health |
| Budget Entity: | Administrative Trust Fund |
| LAS/PBS Fund Number: | 62200300 |
| | 2021 |

| | Balance as of 6/30/2012 | | SWFS* Adjustments | Adjusted Balance |
|---|----------------------------|-----|----------------------|---------------------|
| Chief Financial Officer's (CFO) Cash Balance | 24,122.62 | (A) | | 24,122.62 |
| ADD: Other Cash (See Instructions) | | (B) | | 0.00 |
| ADD: Investments | | (C) | | 0.00 |
| ADD: Outstanding Accounts Receivable | | (D) | | 0.00 |
| ADD: _____ | | (E) | | 0.00 |
| Total Cash plus Accounts Receivable | 24,122.62 | (F) | 0.00 | 24,122.62 |
| LESS Allowances for Uncollectibles | | (G) | | 0.00 |
| LESS Approved "A" Certified Forwards | | (H) | | 0.00 |
| Approved "B" Certified Forwards | (3,674.99) | (H) | | (3,674.99) |
| Approved "FCO" Certified Forwards | | (H) | | 0.00 |
| LESS: Other Accounts Payable (Nonoperating) | | (I) | | 0.00 |
| LESS: _____ | | (J) | | 0.00 |
| Unreserved Fund Balance, 07/01/12 | 20,447.63 | (K) | 0.00 | 20,447.63 ** |

Notes:

*SWFS = Statewide Financial Statement

** This amount should agree with Line I, Section IV of the Schedule I for the most recent completed fiscal year and Line A for the following year.

RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC

Budget Period: 2013 - 2014

Department Title: Department of Health
Trust Fund Title: Administrative Trust Fund
LAS/PBS Fund Number: 2021/64200300

BEGINNING TRIAL BALANCE:

Total Fund Balance Per FLAIR Trial Balance, 07/01/12

Total all GLC's 5XXXX for governmental funds; 24,122.62 (A)
 GLC 539XX for proprietary and fiduciary funds

Subtract Nonspendable Fund Balance (GLC 56XXX) (B)

Add/Subtract Statewide Financial Statement (SWFS) Adjustments :

SWFS Adjustment # and Description (C)

SWFS Adjustment # and Description (C)

Add/Subtract Other Adjustment(s):

Approved "B" Carry Forward (Encumbrances) per LAS/PBS (3,674.99) (D)

Approved "C" Carry Forward Total (FCO) per LAS/PBS (D)

A/P not C/F-Operating Categories (D)

(D)

(D)

(D)

ADJUSTED BEGINNING TRIAL BALANCE: 20,447.63 (E)

UNRESERVED FUND BALANCE, SCHEDULE IC (Line I) 20,447.63 (F)

DIFFERENCE: 0.00 (G)*

***SHOULD EQUAL ZERO.**

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

| | |
|-----------------------------|-----------------------------------|
| Department Title: | Budget Period: 2013 - 2014 |
| Trust Fund Title: | Department of Health |
| Budget Entity: | Rape Crisis Trust Fund |
| LAS/PBS Fund Number: | 64200300 |
| | 2089 |

| | Balance as of 6/30/2012 | | SWFS* Adjustments | Adjusted Balance |
|---|----------------------------|-----|----------------------|---------------------|
| Chief Financial Officer's (CFO) Cash Balance | 460,382.17 | (A) | | 460,382.17 |
| ADD: Other Cash (See Instructions) | | (B) | | 0.00 |
| ADD: Investments | | (C) | | 0.00 |
| ADD: Outstanding Accounts Receivable | | (D) | | 0.00 |
| ADD: _____ | | (E) | | 0.00 |
| Total Cash plus Accounts Receivable | 460,382.17 | (F) | 0.00 | 460,382.17 |
| LESS Allowances for Uncollectibles | | (G) | | 0.00 |
| LESS Approved "A" Certified Forwards | (208,608.23) | (H) | | (208,608.23) |
| Approved "B" Certified Forwards | (6,481.93) | (H) | | (6,481.93) |
| Approved "FCO" Certified Forwards | | (H) | | 0.00 |
| LESS: Other Accounts Payable (Nonoperating) | (31,064.19) | (I) | | (31,064.19) |
| LESS: _____ | | (J) | | 0.00 |
| Unreserved Fund Balance, 07/01/12 | 214,227.82 | (K) | 0.00 | 214,227.82 ** |

Notes:

*SWFS = Statewide Financial Statement

** This amount should agree with Line I, Section IV of the Schedule I for the most recent completed fiscal year and Line A for the following year.

RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC

Budget Period: 2013 - 2014

Department Title: Department of Health
Trust Fund Title: Rape Crisis Trust Fund
LAS/PBS Fund Number: 2089/64200300

BEGINNING TRIAL BALANCE:

Total Fund Balance Per FLAIR Trial Balance, 07/01/12

Total all GLC's 5XXXX for governmental funds; 220,709.75 (A)
 GLC 539XX for proprietary and fiduciary funds

Subtract Nonspendable Fund Balance (GLC 56XXX) (B)

Add/Subtract Statewide Financial Statement (SWFS) Adjustments :

SWFS Adjustment # and Description (C)

SWFS Adjustment # and Description (C)

Add/Subtract Other Adjustment(s):

Approved "B" Carry Forward (Encumbrances) per LAS/PBS (6,481.93) (D)

Approved "C" Carry Forward Total (FCO) per LAS/PBS (D)

A/P not C/F-Operating Categories (D)

(D)

(D)

(D)

ADJUSTED BEGINNING TRIAL BALANCE: 214,227.82 (E)

UNRESERVED FUND BALANCE, SCHEDULE IC (Line I) 214,227.82 (F)

DIFFERENCE: 0.00 (G)*

***SHOULD EQUAL ZERO.**

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

| | |
|-----------------------------|-----------------------------------|
| Department Title: | Budget Period: 2013 - 2014 |
| Trust Fund Title: | Department of Health |
| Budget Entity: | Tobacco Settlement Trust Fund |
| LAS/PBS Fund Number: | 64200300 |
| | 2122 |

| | Balance as of 6/30/2012 | | SWFS* Adjustments | Adjusted Balance |
|---|----------------------------|-----|----------------------|---------------------|
| Chief Financial Officer's (CFO) Cash Balance | 0.00 | (A) | | 0.00 |
| ADD: Other Cash (See Instructions) | | (B) | | 0.00 |
| ADD: Investments | | (C) | | 0.00 |
| ADD: Outstanding Accounts Receivable | 128,638.49 | (D) | | 128,638.49 |
| ADD: Transfer from 2122 64200700 | 278,133.51 | (E) | | 278,133.51 |
| Total Cash plus Accounts Receivable | 406,772.00 | (F) | 0.00 | 406,772.00 |
| LESS Allowances for Uncollectibles | | (G) | | 0.00 |
| LESS Approved "A" Certified Forwards | (90,102.00) | (H) | | (90,102.00) |
| Approved "B" Certified Forwards | (316,670.00) | (H) | | (316,670.00) |
| Approved "FCO" Certified Forwards | | (H) | | 0.00 |
| LESS: Other Accounts Payable (Nonoperating) | | (I) | | 0.00 |
| LESS: _____ | | (J) | | 0.00 |
| Unreserved Fund Balance, 07/01/12 | 0.00 | (K) | 0.00 | 0.00 ** |

Notes:

*SWFS = Statewide Financial Statement

** This amount should agree with Line I, Section IV of the Schedule I for the most recent completed fiscal year and Line A for the following year.

RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC

Budget Period: 2013 - 2014

| | |
|-----------------------------|-------------------------------|
| Department Title: | Department of Health |
| Trust Fund Title: | Tobacco Settlement Trust Fund |
| LAS/PBS Fund Number: | 2122/64200300 |

BEGINNING TRIAL BALANCE:

Total Fund Balance Per FLAIR Trial Balance, 07/01/12

| | | |
|--|-----------------------------------|-----|
| Total all GLC's 5XXXX for governmental funds; GLC 539XX for proprietary and fiduciary funds | <input type="text" value="0.00"/> | (A) |
|--|-----------------------------------|-----|

| | | |
|---|----------------------|-----|
| Subtract Nonspendable Fund Balance (GLC 56XXX) | <input type="text"/> | (B) |
|---|----------------------|-----|

Add/Subtract Statewide Financial Statement (SWFS) Adjustments :

| | | |
|-----------------------------------|----------------------|-----|
| SWFS Adjustment # and Description | <input type="text"/> | (C) |
|-----------------------------------|----------------------|-----|

| | | |
|-----------------------------------|----------------------|-----|
| SWFS Adjustment # and Description | <input type="text"/> | (C) |
|-----------------------------------|----------------------|-----|

Add/Subtract Other Adjustment(s):

| | | |
|---|---|-----|
| Approved "B" Carry Forward (Encumbrances) per LAS/PBS | <input type="text" value="(316,670.00)"/> | (D) |
|---|---|-----|

| | | |
|--|-----------------------------------|-----|
| Approved "C" Carry Forward Total (FCO) per LAS/PBS | <input type="text" value="0.00"/> | (D) |
|--|-----------------------------------|-----|

| | | |
|----------------------------------|--|-----|
| A/P not C/F-Operating Categories | <input type="text" value="38,536.49"/> | (D) |
|----------------------------------|--|-----|

| | | |
|-----------------------------|---|-----|
| Transfer from 2122 64200700 | <input type="text" value="278,133.51"/> | (D) |
|-----------------------------|---|-----|

| | |
|----------------------|-----|
| <input type="text"/> | (D) |
|----------------------|-----|

| | |
|----------------------|-----|
| <input type="text"/> | (D) |
|----------------------|-----|

| | | |
|--|-----------------------------------|-----|
| ADJUSTED BEGINNING TRIAL BALANCE: | <input type="text" value="0.00"/> | (E) |
|--|-----------------------------------|-----|

| | | |
|--|-----------------------------------|-----|
| UNRESERVED FUND BALANCE, SCHEDULE IC (Line I) | <input type="text" value="0.00"/> | (F) |
|--|-----------------------------------|-----|

| | | |
|--------------------|-----------------------------------|------|
| DIFFERENCE: | <input type="text" value="0.00"/> | (G)* |
|--------------------|-----------------------------------|------|

***SHOULD EQUAL ZERO.**

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

| | |
|-----------------------------|-----------------------------------|
| Department Title: | Budget Period: 2013 - 2014 |
| Trust Fund Title: | Department of Health |
| Budget Entity: | Epilepsy Trust Fund |
| LAS/PBS Fund Number: | 64200300 |
| | 2197 |

| | Balance as of 6/30/2012 | | SWFS* Adjustments | Adjusted Balance |
|---|----------------------------|-----|----------------------|----------------------|
| Chief Financial Officer's (CFO) Cash Balance | 739,909.03 | (A) | | 739,909.03 |
| ADD: Other Cash (See Instructions) | | (B) | | 0.00 |
| ADD: Investments | | (C) | | 0.00 |
| ADD: Outstanding Accounts Receivable | | (D) | | 0.00 |
| ADD: _____ | | (E) | | 0.00 |
| Total Cash plus Accounts Receivable | 739,909.03 | (F) | 0.00 | 739,909.03 |
| LESS Allowances for Uncollectibles | | (G) | | 0.00 |
| LESS Approved "A" Certified Forwards | (58,080.58) | (H) | | (58,080.58) |
| Approved "B" Certified Forwards | | (H) | | 0.00 |
| Approved "FCO" Certified Forwards | | (H) | | 0.00 |
| LESS: Other Accounts Payable (Nonoperating) | (27,898.15) | (I) | | (27,898.15) |
| LESS: _____ | | (J) | | 0.00 |
| Unreserved Fund Balance, 07/01/12 | 653,930.30 | (K) | 0.00 | 653,930.30 ** |

Notes:

*SWFS = Statewide Financial Statement

** This amount should agree with Line I, Section IV of the Schedule I for the most recent completed fiscal year and Line A for the following year.

RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC

Budget Period: 2013 - 2014

Department Title: Department of Health
Trust Fund Title: Epilepsy Trust Fund
LAS/PBS Fund Number: 2197/64200300

BEGINNING TRIAL BALANCE:

Total Fund Balance Per FLAIR Trial Balance, 07/01/12

Total all GLC's 5XXXX for governmental funds; 653,930.30 (A)
 GLC 539XX for proprietary and fiduciary funds

Subtract Nonspendable Fund Balance (GLC 56XXX) (B)

Add/Subtract Statewide Financial Statement (SWFS) Adjustments :

SWFS Adjustment # and Description (C)

SWFS Adjustment # and Description (C)

Add/Subtract Other Adjustment(s):

Approved "B" Carry Forward (Encumbrances) per LAS/PBS (D)

Approved "C" Carry Forward Total (FCO) per LAS/PBS (D)

A/P not C/F-Operating Categories (D)

(D)

(D)

(D)

ADJUSTED BEGINNING TRIAL BALANCE: 653,930.30 (E)

UNRESERVED FUND BALANCE, SCHEDULE IC (Line I) 653,930.30 (F)

DIFFERENCE: 0.00 (G)*

***SHOULD EQUAL ZERO.**

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

| | |
|-----------------------------|-----------------------------------|
| Department Title: | Budget Period: 2013 - 2014 |
| Trust Fund Title: | Department of Health |
| Budget Entity: | Federal Grant Trust Fund |
| LAS/PBS Fund Number: | 64200300 |
| | 2261 |

| | Balance as of 6/30/2012 | | SWFS* Adjustments | Adjusted Balance |
|---|----------------------------|-----|----------------------|----------------------|
| Chief Financial Officer's (CFO) Cash Balance | 3,471,727.76 | (A) | | 3,471,727.76 |
| ADD: Other Cash (See Instructions) | | (B) | | 0.00 |
| ADD: Investments | | (C) | | 0.00 |
| ADD: Outstanding Accounts Receivable | 35,968,515.85 | (D) | | 35,968,515.85 |
| ADD: <u>Transfer from 2261 64200400</u> | 3,329,990.26 | (E) | | 3,329,990.26 |
| Total Cash plus Accounts Receivable | 42,770,233.87 | (F) | 0.00 | 42,770,233.87 |
| LESS Allowances for Uncollectibles | | (G) | | 0.00 |
| LESS Approved "A" Certified Forwards | (41,040,161.01) | (H) | | (41,040,161.01) |
| Approved "B" Certified Forwards | (1,730,072.86) | (H) | | (1,730,072.86) |
| Approved "FCO" Certified Forwards | | (H) | | 0.00 |
| LESS: Other Accounts Payable (Nonoperating) | | (I) | | 0.00 |
| LESS: _____ | | (J) | | 0.00 |
| Unreserved Fund Balance, 07/01/12 | 0.00 | (K) | | 0.00 ** |

Notes:

*SWFS = Statewide Financial Statement

** This amount should agree with Line I, Section IV of the Schedule I for the most recent completed fiscal year and Line A for the following year.

RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC

Budget Period: 2013 - 2014

| | |
|-----------------------------|--------------------------|
| Department Title: | Department of Health |
| Trust Fund Title: | Federal Grant Trust Fund |
| LAS/PBS Fund Number: | 2261/64200300 |

BEGINNING TRIAL BALANCE:

Total Fund Balance Per FLAIR Trial Balance, 07/01/12

| | |
|--|---|
| Total all GLC's 5XXXX for governmental funds; GLC 539XX for proprietary and fiduciary funds | <input type="text" value="(1,644,237.30)"/> (A) |
|--|---|

| | |
|---|--------------------------|
| Subtract Nonspendable Fund Balance (GLC 56XXX) | <input type="text"/> (B) |
|---|--------------------------|

Add/Subtract Statewide Financial Statement (SWFS) Adjustments :

| | |
|-----------------|--------------------------|
| SWFS Adjustment | <input type="text"/> (C) |
|-----------------|--------------------------|

| | |
|-----------------|--------------------------|
| SWFS Adjustment | <input type="text"/> (C) |
|-----------------|--------------------------|

Add/Subtract Other Adjustment(s):

| | |
|---|---|
| Approved "B" Carry Forward (Encumbrances) per LAS/PBS | <input type="text" value="(1,730,072.86)"/> (D) |
|---|---|

| | |
|--|--------------------------|
| Approved "C" Carry Forward Total (FCO) per LAS/PBS | <input type="text"/> (D) |
|--|--------------------------|

| | |
|----------------------------------|--|
| A/P not C/F-Operating Categories | <input type="text" value="44,319.90"/> (D) |
|----------------------------------|--|

| | |
|-----------------------------|---|
| Transfer from 2261 64200400 | <input type="text" value="3,329,990.26"/> (D) |
|-----------------------------|---|

| |
|--------------------------|
| <input type="text"/> (D) |
|--------------------------|

| |
|--------------------------|
| <input type="text"/> (D) |
|--------------------------|

| | |
|--|---------------------------------------|
| ADJUSTED BEGINNING TRIAL BALANCE: | <input type="text" value="0.00"/> (E) |
|--|---------------------------------------|

| | |
|--|---------------------------------------|
| UNRESERVED FUND BALANCE, SCHEDULE IC (Line I) | <input type="text" value="0.00"/> (F) |
|--|---------------------------------------|

| | |
|--------------------|--|
| DIFFERENCE: | <input type="text" value="0.00"/> (G)* |
|--------------------|--|

***SHOULD EQUAL ZERO.**

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

| | |
|-----------------------------|-----------------------------------|
| Department Title: | Budget Period: 2013 - 2014 |
| Trust Fund Title: | Department of Health |
| Budget Entity: | Grants & Donations Trust Fund |
| LAS/PBS Fund Number: | 64200300 |
| | 2339 |

| | Balance as of 6/30/2012 | | SWFS* Adjustments | Adjusted Balance |
|---|----------------------------|-----|----------------------|---------------------|
| Chief Financial Officer's (CFO) Cash Balance | 1,448.33 | (A) | | 1,448.33 |
| ADD: Other Cash (See Instructions) | | (B) | | 0.00 |
| ADD: Investments | | (C) | | 0.00 |
| ADD: Outstanding Accounts Receivable | | (D) | | 0.00 |
| ADD: _____ | | (E) | | 0.00 |
| Total Cash plus Accounts Receivable | 1,448.33 | (F) | 0.00 | 1,448.33 |
| LESS Allowances for Uncollectibles | | (G) | | 0.00 |
| LESS Approved "A" Certified Forwards | | (H) | | 0.00 |
| Approved "B" Certified Forwards | | (H) | | 0.00 |
| Approved "FCO" Certified Forwards | | (H) | | 0.00 |
| LESS: Other Accounts Payable (Nonoperating) | | (I) | | 0.00 |
| LESS: _____ | | (J) | | 0.00 |
| Unreserved Fund Balance, 07/01/12 | 1,448.33 | (K) | 0.00 | 1,448.33 ** |

Notes:

*SWFS = Statewide Financial Statement

** This amount should agree with Line I, Section IV of the Schedule I for the most recent completed fiscal year and Line A for the following year.

RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC

Budget Period: 2013 - 2014

Department Title: Department of Health
Trust Fund Title: Grants & Donations Trust Fund
LAS/PBS Fund Number: 2339/64200300

BEGINNING TRIAL BALANCE:

Total Fund Balance Per FLAIR Trial Balance, 07/01/12

Total all GLC's 5XXXX for governmental funds; (A)
GLC 539XX for proprietary and fiduciary funds

Subtract Nonspendable Fund Balance (GLC 56XXX) (B)

Add/Subtract Statewide Financial Statement (SWFS) Adjustments :

SWFS Adjustment (C)

SWFS Adjustment # and Description (C)

Add/Subtract Other Adjustment(s):

Approved "B" Carry Forward (Encumbrances) per LAS/PBS (D)

Approved "C" Carry Forward Total (FCO) per LAS/PBS (D)

A/P not C/F-Operating Categories (D)

(D)

(D)

(D)

ADJUSTED BEGINNING TRIAL BALANCE: (E)

UNRESERVED FUND BALANCE, SCHEDULE IC (Line I) (F)

DIFFERENCE: (G)*

***SHOULD EQUAL ZERO.**

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

| | |
|-----------------------------|-----------------------------------|
| Department Title: | Budget Period: 2013 - 2014 |
| Trust Fund Title: | Department of Health |
| Budget Entity: | Welfare Transition Trust Fund |
| LAS/PBS Fund Number: | 64200300 |
| | 2401 |

| | Balance as of 6/30/2012 | | SWFS* Adjustments | Adjusted Balance |
|---|----------------------------|-----|----------------------|---------------------|
| Chief Financial Officer's (CFO) Cash Balance | 0.00 | (A) | | 0.00 |
| ADD: Other Cash (See Instructions) | | (B) | | 0.00 |
| ADD: Investments | | (C) | | 0.00 |
| ADD: Outstanding Accounts Receivable | | (D) | | 0.00 |
| ADD: _____ | | (E) | | 0.00 |
| Total Cash plus Accounts Receivable | 0.00 | (F) | 0.00 | 0.00 |
| LESS Allowances for Uncollectibles | | (G) | | 0.00 |
| LESS Approved "A" Certified Forwards | 0.00 | (H) | | 0.00 |
| Approved "B" Certified Forwards | | (H) | | 0.00 |
| Approved "FCO" Certified Forwards | | (H) | | 0.00 |
| LESS: Other Accounts Payable (Nonoperating) | 0.00 | (I) | | 0.00 |
| LESS: _____ | | (J) | | 0.00 |
| Unreserved Fund Balance, 07/01/12 | 0.00 | (K) | 0.00 | 0.00 ** |

Notes:

*SWFS = Statewide Financial Statement

** This amount should agree with Line I, Section IV of the Schedule I for the most recent completed fiscal year and Line A for the following year.

RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC

Budget Period: 2013 - 2014

Department Title: Department of Health
Trust Fund Title: Welfare Transition Trust Fund
LAS/PBS Fund Number: 2401/64200300

BEGINNING TRIAL BALANCE:

Total Fund Balance Per FLAIR Trial Balance, 07/01/12

Total all GLC's 5XXXX for governmental funds; (A)
GLC 539XX for proprietary and fiduciary funds

Subtract Nonspendable Fund Balance (GLC 56XXX) (B)

Add/Subtract Statewide Financial Statement (SWFS) Adjustments :

SWFS Adjustment # and Description (C)

SWFS Adjustment # and Description (C)

Add/Subtract Other Adjustment(s):

Approved "B" Carry Forward (Encumbrances) per LAS/PBS (D)

Approved "C" Carry Forward Total (FCO) per LAS/PBS (D)

A/P not C/F-Operating Categories (D)

(D)

(D)

(D)

ADJUSTED BEGINNING TRIAL BALANCE: (E)

UNRESERVED FUND BALANCE, SCHEDULE IC (Line I) (F)

DIFFERENCE: (G)*

***SHOULD EQUAL ZERO.**

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

| | |
|-----------------------------|---|
| Department Title: | Budget Period: 2013 - 2014 |
| Trust Fund Title: | Department of Health |
| Budget Entity: | Maternal & Children Health Block Grant Trust Fund |
| LAS/PBS Fund Number: | 64200300 |
| | 2475 |

| | Balance as of 6/30/2012 | | SWFS* Adjustments | Adjusted Balance |
|---|----------------------------|-----|----------------------|---------------------|
| Chief Financial Officer's (CFO) Cash Balance | (517,215.29) | (A) | | (517,215.29) |
| ADD: Other Cash (See Instructions) | | (B) | | 0.00 |
| ADD: Investments | | (C) | | 0.00 |
| ADD: Outstanding Accounts Receivable | 1,412,190.32 | (D) | | 1,412,190.32 |
| ADD: TNFR From 2475 64300100 | 374,341.61 | (E) | | 374,341.61 |
| Total Cash plus Accounts Receivable | 1,269,316.64 | (F) | 0.00 | 1,269,316.64 |
| LESS Allowances for Uncollectibles | | (G) | | 0.00 |
| LESS Approved "A" Certified Forwards | (1,254,811.76) | (H) | | (1,254,811.76) |
| Approved "B" Certified Forwards | (14,504.88) | (H) | | (14,504.88) |
| Approved "FCO" Certified Forwards | | (H) | | 0.00 |
| LESS: Other Accounts Payable (Nonoperating) | 0.00 | (I) | | 0.00 |
| LESS: _____ | | (J) | | 0.00 |
| Unreserved Fund Balance, 07/01/12 | 0.00 | (K) | 0.00 | 0.00 ** |

Notes:

*SWFS = Statewide Financial Statement

** This amount should agree with Line I, Section IV of the Schedule I for the most recent completed fiscal year and Line A for the following year.

RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC

Budget Period: 2013 - 2014

| | |
|-----------------------------|---|
| Department Title: | Department of Health |
| Trust Fund Title: | Maternal & Children Health Block Grant Trust Fund |
| LAS/PBS Fund Number: | 2475 / 64200300 |

BEGINNING TRIAL BALANCE:

Total Fund Balance Per FLAIR Trial Balance, 07/01/12

| | |
|--|---|
| Total all GLC's 5XXXX for governmental funds; GLC 539XX for proprietary and fiduciary funds | <input type="text" value="(361,142.97)"/> (A) |
|--|---|

| | |
|---|--------------------------|
| Subtract Nonspendable Fund Balance (GLC 56XXX) | <input type="text"/> (B) |
|---|--------------------------|

Add/Subtract Statewide Financial Statement (SWFS) Adjustments :

| | |
|-----------------------------------|--------------------------|
| SWFS Adjustment # and Description | <input type="text"/> (C) |
|-----------------------------------|--------------------------|

| | |
|-----------------------------------|--------------------------|
| SWFS Adjustment # and Description | <input type="text"/> (C) |
|-----------------------------------|--------------------------|

Add/Subtract Other Adjustment(s):

| | |
|---|--|
| Approved "B" Carry Forward (Encumbrances) per LAS/PBS | <input type="text" value="(14,504.88)"/> (D) |
|---|--|

| | |
|--|--------------------------|
| Approved "C" Carry Forward Total (FCO) per LAS/PBS | <input type="text"/> (D) |
|--|--------------------------|

| | |
|----------------------------------|---|
| A/P not C/F-Operating Categories | <input type="text" value="1,306.24"/> (D) |
|----------------------------------|---|

| | |
|-------------------------|---|
| TNFR From 2475 64300100 | <input type="text" value="374,341.61"/> (D) |
|-------------------------|---|

| |
|--------------------------|
| <input type="text"/> (D) |
|--------------------------|

| |
|--------------------------|
| <input type="text"/> (D) |
|--------------------------|

| | |
|--|---------------------------------------|
| ADJUSTED BEGINNING TRIAL BALANCE: | <input type="text" value="0.00"/> (E) |
|--|---------------------------------------|

| | |
|--|---------------------------------------|
| UNRESERVED FUND BALANCE, SCHEDULE IC (Line I) | <input type="text" value="0.00"/> (F) |
|--|---------------------------------------|

| | |
|--------------------|--|
| DIFFERENCE: | <input type="text" value="0.00"/> (G)* |
|--------------------|--|

***SHOULD EQUAL ZERO.**

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

| | |
|-----------------------------|---|
| Department Title: | Budget Period: 2013 - 2014 |
| Trust Fund Title: | Department of Health |
| Budget Entity: | Preventative Health Services Block Grant Trust Fund |
| LAS/PBS Fund Number: | 64200300 |
| | 2539 |

| | Balance as of 6/30/2012 | | SWFS* Adjustments | Adjusted Balance |
|---|----------------------------|-----|----------------------|---------------------|
| Chief Financial Officer's (CFO) Cash Balance | 457,030.74 | (A) | | 457,030.74 |
| ADD: Other Cash (See Instructions) | | (B) | | 0.00 |
| ADD: Investments | | (C) | | 0.00 |
| ADD: Outstanding Accounts Receivable | 0.00 | (D) | | 0.00 |
| ADD: _____ | 0.00 | (E) | | 0.00 |
| Total Cash plus Accounts Receivable | 457,030.74 | (F) | 0.00 | 457,030.74 |
| LESS Allowances for Uncollectibles | | (G) | | 0.00 |
| LESS Approved "A" Certified Forwards | (62,156.10) | (H) | | (62,156.10) |
| Approved "B" Certified Forwards | (55,302.12) | (H) | | (55,302.12) |
| Approved "FCO" Certified Forwards | | (H) | | 0.00 |
| LESS: Other Accounts Payable (Nonoperating) | 0.00 | (I) | | 0.00 |
| LESS: _____ | | (J) | | 0.00 |
| Unreserved Fund Balance, 07/01/12 | 339,572.52 | (K) | 0.00 | 339,572.52 ** |

Notes:

*SWFS = Statewide Financial Statement

** This amount should agree with Line I, Section IV of the Schedule I for the most recent completed fiscal year and Line A for the following year.

RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC

Budget Period: 2013 - 2014

| | |
|-----------------------------|---|
| Department Title: | Department of Health |
| Trust Fund Title: | Preventative Health Services Block Grant Trust Fund |
| LAS/PBS Fund Number: | 2569/64200300 |

BEGINNING TRIAL BALANCE:

Total Fund Balance Per FLAIR Trial Balance, 07/01/12

| | |
|--|---|
| Total all GLC's 5XXXX for governmental funds; GLC 539XX for proprietary and fiduciary funds | <input type="text" value="394,175.55"/> (A) |
|--|---|

| | |
|---|--------------------------|
| Subtract Nonspendable Fund Balance (GLC 56XXX) | <input type="text"/> (B) |
|---|--------------------------|

Add/Subtract Statewide Financial Statement (SWFS) Adjustments :

| | |
|-----------------------------------|--------------------------|
| SWFS Adjustment # and Description | <input type="text"/> (C) |
|-----------------------------------|--------------------------|

| | |
|-----------------------------------|--------------------------|
| SWFS Adjustment # and Description | <input type="text"/> (C) |
|-----------------------------------|--------------------------|

Add/Subtract Other Adjustment(s):

| | |
|---|--|
| Approved "B" Carry Forward (Encumbrances) per LAS/PBS | <input type="text" value="(55,302.12)"/> (D) |
|---|--|

| | |
|--|--------------------------|
| Approved "C" Carry Forward Total (FCO) per LAS/PBS | <input type="text"/> (D) |
|--|--------------------------|

| | |
|----------------------------------|---|
| A/P not C/F-Operating Categories | <input type="text" value="699.09"/> (D) |
|----------------------------------|---|

| | |
|----------------------|-----|
| <input type="text"/> | (D) |
|----------------------|-----|

| | |
|----------------------|-----|
| <input type="text"/> | (D) |
|----------------------|-----|

| | |
|----------------------|-----|
| <input type="text"/> | (D) |
|----------------------|-----|

| | |
|--|---|
| ADJUSTED BEGINNING TRIAL BALANCE: | <input type="text" value="339,572.52"/> (E) |
|--|---|

| | |
|--|--------------------------|
| UNRESERVED FUND BALANCE, SCHEDULE IC (Line I) | <input type="text"/> (F) |
|--|--------------------------|

| | |
|--------------------|--|
| DIFFERENCE: | <input type="text" value="339,572.52"/> (G)* |
|--------------------|--|

***SHOULD EQUAL ZERO.**

**DEPARTMENT OF HEALTH
INFECTIOUS DISEASE CONTROL EXHIBITS AND SCHEDULES**

**DEPARTMENT OF HEALTH
INFECTIOUS DISEASE CONTROL SCHEDULE I SERIES**

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

| | |
|-----------------------------|-----------------------------------|
| Department Title: | Budget Period: 2013 - 2014 |
| Trust Fund Title: | Department of Health |
| Budget Entity: | Federal Grant Trust Fund |
| LAS/PBS Fund Number: | 64200400 |
| | 2261 |

| | Balance as of 6/30/2012 | | SWFS* Adjustments | Adjusted Balance |
|---|----------------------------|-----|----------------------|------------------------|
| Chief Financial Officer's (CFO) Cash Balance | 11,605,399.73 | (A) | | 11,605,399.73 |
| ADD: Other Cash (See Instructions) | 22.84 | (B) | | 22.84 |
| ADD: Investments | | (C) | | 0.00 |
| ADD: Outstanding Accounts Receivable | 8,571,162.67 | (D) | | 8,571,162.67 |
| ADD: _____ | | (E) | | 0.00 |
| Total Cash plus Accounts Receivable | 20,176,585.24 | (F) | 0.00 | 20,176,585.24 |
| LESS Allowances for Uncollectibles | | (G) | | 0.00 |
| LESS Approved "A" Certified Forwards | (6,236,700.94) | (H) | | (6,236,700.94) |
| Approved "B" Certified Forwards | (564,101.26) | (H) | | (564,101.26) |
| Approved "FCO" Certified Forwards | | (H) | | 0.00 |
| LESS: <u>Transfer to BE 64200300/64200400/64200800/64500100</u> | (8,111,451.12) | (I) | | (8,111,451.12) |
| Unreserved Fund Balance, 07/01/12 | 5,264,331.92 | (K) | | 5,264,331.92 ** |

Notes:

*SWFS = Statewide Financial Statement
year and Line A for the following year.

RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC

Budget Period: 2013 - 2014

| | |
|-----------------------------|--------------------------|
| Department Title: | Department of Health |
| Trust Fund Title: | Federal Grant Trust Fund |
| LAS/PBS Fund Number: | 2261/64200400 |

BEGINNING TRIAL BALANCE:

Total Fund Balance Per FLAIR Trial Balance, 07/01/12

| | |
|--|--|
| Total all GLC's 5XXXX for governmental funds; GLC 539XX for proprietary and fiduciary funds | <input type="text" value="13,927,073.12"/> (A) |
|--|--|

| | |
|---|--------------------------|
| Subtract Nonspendable Fund Balance (GLC 56XXX) | <input type="text"/> (B) |
|---|--------------------------|

Add/Subtract Statewide Financial Statement (SWFS) Adjustments :

| | |
|-----------------|--------------------------|
| SWFS Adjustment | <input type="text"/> (C) |
|-----------------|--------------------------|

| | |
|-----------------|--------------------------|
| SWFS Adjustment | <input type="text"/> (C) |
|-----------------|--------------------------|

Add/Subtract Other Adjustment(s):

| | |
|---|---|
| Approved "B" Carry Forward (Encumbrances) per LAS/PBS | <input type="text" value="(564,101.26)"/> (D) |
|---|---|

| | |
|--|--------------------------|
| Approved "C" Carry Forward Total (FCO) per LAS/PBS | <input type="text"/> (D) |
|--|--------------------------|

| | |
|----------------------------------|--|
| A/P not C/F-Operating Categories | <input type="text" value="12,811.18"/> (D) |
|----------------------------------|--|

| | |
|--|---|
| Transfer to BE 64200300/64200400/64200800/64500100 | <input type="text" value="(8,111,451.12)"/> (D) |
|--|---|

| |
|--------------------------|
| <input type="text"/> (D) |
|--------------------------|

| |
|--------------------------|
| <input type="text"/> (D) |
|--------------------------|

| | |
|--|---|
| ADJUSTED BEGINNING TRIAL BALANCE: | <input type="text" value="5,264,331.92"/> (E) |
|--|---|

| | |
|--|---|
| UNRESERVED FUND BALANCE, SCHEDULE IC (Line I) | <input type="text" value="5,264,331.92"/> (F) |
|--|---|

| | |
|--------------------|--|
| DIFFERENCE: | <input type="text" value="0.00"/> (G)* |
|--------------------|--|

***SHOULD EQUAL ZERO.**

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

| | |
|-----------------------------|-----------------------------------|
| Department Title: | Budget Period: 2013 - 2014 |
| Trust Fund Title: | Department of Health |
| Budget Entity: | Grants & Donations Trust Fund |
| LAS/PBS Fund Number: | 64200400 |
| | 2339 |

| | Balance as of 6/30/2012 | | SWFS* Adjustments | Adjusted Balance |
|---|----------------------------|-----|----------------------|---------------------|
| Chief Financial Officer's (CFO) Cash Balance | (144,185.72) | (A) | | (144,185.72) |
| ADD: Other Cash (See Instructions) | 2.23 | (B) | | 2.23 |
| ADD: Investments | | (C) | | 0.00 |
| ADD: Outstanding Accounts Receivable | 3,811.99 | (D) | | 3,811.99 |
| ADD: Anticipated Receivable Cancer Registry | 222,839.11 | (E) | | 222,839.11 |
| Total Cash plus Accounts Receivable | 82,467.61 | (F) | 0.00 | 82,467.61 |
| LESS Allowances for Uncollectibles | | (G) | | 0.00 |
| LESS Approved "A" Certified Forwards | (79,676.54) | (H) | | (79,676.54) |
| Approved "B" Certified Forwards | (2,471.07) | (H) | | (2,471.07) |
| Approved "FCO" Certified Forwards | | (H) | | 0.00 |
| LESS: Other Accounts Payable (Nonoperating) | (320.00) | (I) | | (320.00) |
| LESS: _____ | | (J) | | 0.00 |
| Unreserved Fund Balance, 07/01/12 | (0.00) | (K) | 0.00 | (0.00) ** |

Notes:

*SWFS = Statewide Financial Statement

** This amount should agree with Line I, Section IV of the Schedule I for the most recent completed fiscal year and Line A for the following year.

RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC

Budget Period: 2013 - 2014

| | |
|-----------------------------|-------------------------------|
| Department Title: | Department of Health |
| Trust Fund Title: | Grants & Donations Trust Fund |
| LAS/PBS Fund Number: | 2339/64200400 |

BEGINNING TRIAL BALANCE:

Total Fund Balance Per FLAIR Trial Balance, 07/01/12

| | | |
|--|---|-----|
| Total all GLC's 5XXXX for governmental funds; GLC 539XX for proprietary and fiduciary funds | <input type="text" value="(220,414.44)"/> | (A) |
|--|---|-----|

| | | |
|---|----------------------|-----|
| Subtract Nonspendable Fund Balance (GLC 56XXX) | <input type="text"/> | (B) |
|---|----------------------|-----|

Add/Subtract Statewide Financial Statement (SWFS) Adjustments :

| | | |
|-----------------|----------------------|-----|
| SWFS Adjustment | <input type="text"/> | (C) |
|-----------------|----------------------|-----|

| | | |
|-----------------------------------|----------------------|-----|
| SWFS Adjustment # and Description | <input type="text"/> | (C) |
|-----------------------------------|----------------------|-----|

Add/Subtract Other Adjustment(s):

| | | |
|---|---|-----|
| Approved "B" Carry Forward (Encumbrances) per LAS/PBS | <input type="text" value="(2,471.07)"/> | (D) |
|---|---|-----|

| | | |
|--|----------------------|-----|
| Approved "C" Carry Forward Total (FCO) per LAS/PBS | <input type="text"/> | (D) |
|--|----------------------|-----|

| | | |
|----------------------------------|------------------------------------|-----|
| A/P not C/F-Operating Categories | <input type="text" value="46.40"/> | (D) |
|----------------------------------|------------------------------------|-----|

| | | |
|--|---|-----|
| Anticipated Receivable Cancer Registry | <input type="text" value="222,839.11"/> | (D) |
|--|---|-----|

| | |
|----------------------|-----|
| <input type="text"/> | (D) |
|----------------------|-----|

| | |
|----------------------|-----|
| <input type="text"/> | (D) |
|----------------------|-----|

| | | |
|--|-----------------------------------|-----|
| ADJUSTED BEGINNING TRIAL BALANCE: | <input type="text" value="0.00"/> | (E) |
|--|-----------------------------------|-----|

| | | |
|--|-----------------------------------|-----|
| UNRESERVED FUND BALANCE, SCHEDULE IC (Line I) | <input type="text" value="0.00"/> | (F) |
|--|-----------------------------------|-----|

| | | |
|--------------------|-----------------------------------|------|
| DIFFERENCE: | <input type="text" value="0.00"/> | (G)* |
|--------------------|-----------------------------------|------|

***SHOULD EQUAL ZERO.**

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

| | |
|-----------------------------|-------------------------------------|
| Department Title: | Budget Period: 2013 - 2014 |
| Trust Fund Title: | Department of Health |
| Budget Entity: | Operations & Maintenance Trust Fund |
| LAS/PBS Fund Number: | 64200400 |
| | 2516 |

| | Balance as of 6/30/2012 | | SWFS* Adjustments | Adjusted Balance |
|---|----------------------------|-----|----------------------|------------------------|
| Chief Financial Officer's (CFO) Cash Balance | 4,437,751.08 | (A) | | 4,437,751.08 |
| ADD: Other Cash (See Instructions) | | (B) | | 0.00 |
| ADD: Investments | | (C) | | 0.00 |
| ADD: Outstanding Accounts Receivable | 1,914.30 | (D) | 45,500.00 | 47,414.30 |
| ADD: _____ | | (E) | | 0.00 |
| Total Cash plus Accounts Receivable | 4,439,665.38 | (F) | 45,500.00 | 4,485,165.38 |
| LESS Allowances for Uncollectibles | | (G) | | 0.00 |
| LESS Approved "A" Certified Forwards | (190,392.46) | (H) | | (190,392.46) |
| Approved "B" Certified Forwards | (60,757.44) | (H) | | (60,757.44) |
| Approved "FCO" Certified Forwards | | (H) | | 0.00 |
| LESS: Other Accounts Payable (Nonoperating) | (5,758.76) | (I) | | (5,758.76) |
| LESS: _____ | | (J) | | 0.00 |
| Unreserved Fund Balance, 07/01/12 | 4,182,756.72 | (K) | 45,500.00 | 4,228,256.72 ** |

Notes:

*SWFS = Statewide Financial Statement

** This amount should agree with Line I, Section IV of the Schedule I for the most recent completed fiscal year and Line A for the following year.

RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC

Budget Period: 2013 - 2014

| | |
|-----------------------------|-------------------------------------|
| Department Title: | Department of Health |
| Trust Fund Title: | Operations & Maintenance Trust Fund |
| LAS/PBS Fund Number: | 2516/64200400 |

BEGINNING TRIAL BALANCE:

Total Fund Balance Per FLAIR Trial Balance, 07/01/12

| | | |
|--|--------------|-----|
| Total all GLC's 5XXXX for governmental funds; GLC 539XX for proprietary and fiduciary funds | 4,403,425.40 | (A) |
|--|--------------|-----|

| | | |
|---|--------------|-----|
| Subtract Nonspendable Fund Balance (GLC 56XXX) | (160,387.24) | (B) |
|---|--------------|-----|

Add/Subtract Statewide Financial Statement (SWFS) Adjustments :

| | | |
|---|-----------|-----|
| SWFS Adjustment #B6400014 "Increase Due from" (163XX) | 45,500.00 | (C) |
|---|-----------|-----|

| | | |
|-----------------------------------|--|-----|
| SWFS Adjustment # and Description | | (C) |
|-----------------------------------|--|-----|

Add/Subtract Other Adjustment(s):

| | | |
|---|-------------|-----|
| Approved "B" Carry Forward (Encumbrances) per LAS/PBS | (60,757.44) | (D) |
|---|-------------|-----|

| | | |
|--|--|-----|
| Approved "C" Carry Forward Total (FCO) per LAS/PBS | | (D) |
|--|--|-----|

| | | |
|----------------------------------|--------|-----|
| A/P not C/F-Operating Categories | 476.00 | (D) |
|----------------------------------|--------|-----|

| | | |
|--|--|-----|
| | | (D) |
|--|--|-----|

| | | |
|--|--|-----|
| | | (D) |
|--|--|-----|

| | | |
|--|--|-----|
| | | (D) |
|--|--|-----|

| | | |
|--|--------------|-----|
| ADJUSTED BEGINNING TRIAL BALANCE: | 4,228,256.72 | (E) |
|--|--------------|-----|

| | | |
|--|--|-----|
| UNRESERVED FUND BALANCE, SCHEDULE IC (Line I) | | (F) |
|--|--|-----|

| | | |
|--------------------|--------------|------|
| DIFFERENCE: | 4,228,256.72 | (G)* |
|--------------------|--------------|------|

***SHOULD EQUAL ZERO.**

DEPARTMENT OF HEALTH
ENVIRONMENTAL HEALTH EXHIBITS AND SCHEDULES

**DEPARTMENT OF HEALTH
ENVIRONMENTAL HEALTH SERVICES SCHEDULE I SERIES**

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

| | |
|-----------------------------|-----------------------------------|
| Department Title: | Budget Period: 2013 - 2014 |
| Trust Fund Title: | Department of Health |
| Budget Entity: | Administrative Trust Fund |
| LAS/PBS Fund Number: | 62200600 |
| | 2021 |

| | Balance as of 6/30/2012 | | SWFS* Adjustments | Adjusted Balance |
|---|----------------------------|-----|----------------------|------------------------|
| Chief Financial Officer's (CFO) Cash Balance | 2,575,532.65 | (A) | | 2,575,532.65 |
| ADD: Other Cash (See Instructions) | 107.49 | (B) | | 107.49 |
| ADD: Investments | | (C) | | 0.00 |
| ADD: Outstanding Accounts Receivable | (3,054.27) | (D) | | (3,054.27) |
| ADD: _____ | | (E) | | 0.00 |
| Total Cash plus Accounts Receivable | 2,572,585.87 | (F) | 0.00 | 2,572,585.87 |
| LESS Allowances for Uncollectibles | | (G) | | 0.00 |
| LESS Approved "A" Certified Forwards | (76,067.04) | (H) | | (76,067.04) |
| Approved "B" Certified Forwards | (11,415.62) | (H) | | (11,415.62) |
| Approved "FCO" Certified Forwards | | (H) | | 0.00 |
| LESS: Other Accounts Payable (Nonoperating) | (150.00) | (I) | | (150.00) |
| LESS: _____ | | (J) | | 0.00 |
| Unreserved Fund Balance, 07/01/12 | 2,484,953.21 | (K) | 0.00 | 2,484,953.21 ** |

Notes:

*SWFS = Statewide Financial Statement

** This amount should agree with Line I, Section IV of the Schedule I for the most recent completed fiscal year and Line A for the following year.

RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC

Budget Period: 2013 - 2014

| | |
|-----------------------------|---------------------------|
| Department Title: | Department of Health |
| Trust Fund Title: | Administrative Trust Fund |
| LAS/PBS Fund Number: | 2021/64200600 |

BEGINNING TRIAL BALANCE:

Total Fund Balance Per FLAIR Trial Balance, 07/01/12

| | | |
|--|--------------|-----|
| Total all GLC's 5XXXX for governmental funds; GLC 539XX for proprietary and fiduciary funds | 2,494,701.25 | (A) |
|--|--------------|-----|

| | | |
|---|--|-----|
| Subtract Nonspendable Fund Balance (GLC 56XXX) | | (B) |
|---|--|-----|

Add/Subtract Statewide Financial Statement (SWFS) Adjustments :

| | | |
|-----------------------------------|--|-----|
| SWFS Adjustment # and Description | | (C) |
|-----------------------------------|--|-----|

| | | |
|-----------------------------------|--|-----|
| SWFS Adjustment # and Description | | (C) |
|-----------------------------------|--|-----|

Add/Subtract Other Adjustment(s):

| | | |
|---|-------------|-----|
| Approved "B" Carry Forward (Encumbrances) per LAS/PBS | (11,415.62) | (D) |
|---|-------------|-----|

| | | |
|--|--|-----|
| Approved "C" Carry Forward Total (FCO) per LAS/PBS | | (D) |
|--|--|-----|

| | | |
|----------------------------------|----------|-----|
| A/P not C/F-Operating Categories | 1,667.58 | (D) |
|----------------------------------|----------|-----|

| | | |
|--|--|-----|
| | | (D) |
|--|--|-----|

| | | |
|--|--|-----|
| | | (D) |
|--|--|-----|

| | | |
|--|--|-----|
| | | (D) |
|--|--|-----|

| | | |
|--|---------------------|-----|
| ADJUSTED BEGINNING TRIAL BALANCE: | 2,484,953.21 | (E) |
|--|---------------------|-----|

| | | |
|--|---------------------|-----|
| UNRESERVED FUND BALANCE, SCHEDULE IC (Line I) | 2,484,953.21 | (F) |
|--|---------------------|-----|

| | | |
|--------------------|-------------|------|
| DIFFERENCE: | 0.00 | (G)* |
|--------------------|-------------|------|

***SHOULD EQUAL ZERO.**

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

| | |
|-----------------------------|-----------------------------------|
| Department Title: | Budget Period: 2013 - 2014 |
| Trust Fund Title: | Department of Health |
| Budget Entity: | Federal Grant Trust Fund |
| LAS/PBS Fund Number: | 64200600 |
| | 2261 |

| | Balance as of 6/30/2012 | | SWFS* Adjustments | Adjusted Balance |
|---|----------------------------|-----|----------------------|---------------------|
| Chief Financial Officer's (CFO) Cash Balance | (94,229.04) | (A) | | (94,229.04) |
| ADD: Other Cash (See Instructions) | | (B) | | 0.00 |
| ADD: Investments | | (C) | | 0.00 |
| ADD: Outstanding Accounts Receivable | 330,679.65 | (D) | | 330,679.65 |
| ADD: <u>Transfer from 2261 64200400</u> | 5,902.56 | (E) | | 5,902.56 |
| Total Cash plus Accounts Receivable | 242,353.17 | (F) | 0.00 | 242,353.17 |
| LESS Allowances for Uncollectibles | | (G) | | 0.00 |
| LESS Approved "A" Certified Forwards | (203,094.15) | (H) | | (203,094.15) |
| Approved "B" Certified Forwards | (39,259.02) | (H) | | (39,259.02) |
| Approved "FCO" Certified Forwards | | (H) | | 0.00 |
| LESS: Other Accounts Payable (Nonoperating) | | (I) | | 0.00 |
| LESS: _____ | | (J) | | 0.00 |
| Unreserved Fund Balance, 07/01/12 | 0.00 | (K) | | 0.00 ** |

Notes:

*SWFS = Statewide Financial Statement

** This amount should agree with Line I, Section IV of the Schedule I for the most recent completed fiscal year and Line A for the following year.

RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC

Budget Period: 2013 - 2014

Department Title: Department of Health
Trust Fund Title: Federal Grant Trust Fund
LAS/PBS Fund Number: 2261/64200600

BEGINNING TRIAL BALANCE:

Total Fund Balance Per FLAIR Trial Balance, 07/01/12

Total all GLC's 5XXXX for governmental funds; 32,286.54 (A)
GLC 539XX for proprietary and fiduciary funds

Subtract Nonspendable Fund Balance (GLC 56XXX) (B)

Add/Subtract Statewide Financial Statement (SWFS) Adjustments :

SWFS Adjustment (C)

SWFS Adjustment (C)

Add/Subtract Other Adjustment(s):

Approved "B" Carry Forward (Encumbrances) per LAS/PBS (39,259.02) (D)

Approved "C" Carry Forward Total (FCO) per LAS/PBS (D)

A/P not C/F-Operating Categories 1,069.92 (D)

Transfer from 2261 64200400 5,902.56 (D)

(D)

(D)

ADJUSTED BEGINNING TRIAL BALANCE: 0.00 (E)

UNRESERVED FUND BALANCE, SCHEDULE IC (Line I) 0.00 (F)

DIFFERENCE: 0.00 (G)*

***SHOULD EQUAL ZERO.**

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

| | |
|-----------------------------|-----------------------------------|
| Department Title: | Budget Period: 2013 - 2014 |
| Trust Fund Title: | Department of Health |
| Budget Entity: | Grants & Donations Trust Fund |
| LAS/PBS Fund Number: | 64200600 |
| | 2339 |

| | Balance as of 6/30/2012 | | SWFS* Adjustments | Adjusted Balance |
|---|----------------------------|-----|----------------------|---------------------|
| Chief Financial Officer's (CFO) Cash Balance | 2,118,599.72 | (A) | | 2,118,599.72 |
| ADD: Other Cash (See Instructions) | | (B) | | 0.00 |
| ADD: Investments | | (C) | | 0.00 |
| ADD: Outstanding Accounts Receivable | 849,903.13 | (D) | | 849,903.13 |
| ADD: _____ | | (E) | | 0.00 |
| Total Cash plus Accounts Receivable | 2,968,502.85 | (F) | 0.00 | 2,968,502.85 |
| LESS Allowances for Uncollectibles | | (G) | | 0.00 |
| LESS Approved "A" Certified Forwards | (580,851.58) | (H) | | (580,851.58) |
| Approved "B" Certified Forwards | (11,638.38) | (H) | | (11,638.38) |
| Approved "FCO" Certified Forwards | | (H) | | 0.00 |
| LESS: Other Accounts Payable (Nonoperating) | (2,143.40) | (I) | | (2,143.40) |
| LESS: _____ | | (J) | | 0.00 |
| Unreserved Fund Balance, 07/01/12 | 2,373,869.49 | (K) | 0.00 | 2,373,869.49 ** |

Notes:

*SWFS = Statewide Financial Statement

** This amount should agree with Line I, Section IV of the Schedule I for the most recent completed fiscal year and Line A for the following year.

RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC

Budget Period: 2013 - 2014

| | |
|-----------------------------|-------------------------------|
| Department Title: | Department of Health |
| Trust Fund Title: | Grants & Donations Trust Fund |
| LAS/PBS Fund Number: | 2339/64200600 |

BEGINNING TRIAL BALANCE:

Total Fund Balance Per FLAIR Trial Balance, 07/01/12

| | | |
|--|--------------|-----|
| Total all GLC's 5XXXX for governmental funds; GLC 539XX for proprietary and fiduciary funds | 2,384,974.92 | (A) |
|--|--------------|-----|

| | | |
|---|--|-----|
| Subtract Nonspendable Fund Balance (GLC 56XXX) | | (B) |
|---|--|-----|

Add/Subtract Statewide Financial Statement (SWFS) Adjustments :

| | | |
|-----------------|--|-----|
| SWFS Adjustment | | (C) |
|-----------------|--|-----|

| | | |
|-----------------------------------|--|-----|
| SWFS Adjustment # and Description | | (C) |
|-----------------------------------|--|-----|

Add/Subtract Other Adjustment(s):

| | | |
|---|-------------|-----|
| Approved "B" Carry Forward (Encumbrances) per LAS/PBS | (11,638.38) | (D) |
|---|-------------|-----|

| | | |
|--|--|-----|
| Approved "C" Carry Forward Total (FCO) per LAS/PBS | | (D) |
|--|--|-----|

| | | |
|----------------------------------|--------|-----|
| A/P not C/F-Operating Categories | 532.95 | (D) |
|----------------------------------|--------|-----|

| | | |
|--|--|-----|
| | | (D) |
|--|--|-----|

| | | |
|--|--|-----|
| | | (D) |
|--|--|-----|

| | | |
|--|--|-----|
| | | (D) |
|--|--|-----|

| | | |
|--|--------------|-----|
| ADJUSTED BEGINNING TRIAL BALANCE: | 2,373,869.49 | (E) |
|--|--------------|-----|

| | | |
|--|--------------|-----|
| UNRESERVED FUND BALANCE, SCHEDULE IC (Line I) | 2,373,869.49 | (F) |
|--|--------------|-----|

| | | |
|--------------------|------|------|
| DIFFERENCE: | 0.00 | (G)* |
|--------------------|------|------|

***SHOULD EQUAL ZERO.**

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

| | |
|-----------------------------|-----------------------------------|
| Department Title: | Budget Period: 2013 - 2014 |
| Trust Fund Title: | Department of Health |
| Budget Entity: | Radiation Protection Trust Fund |
| LAS/PBS Fund Number: | 64200600 |
| | 2569 |

| | Balance as of 6/30/2012 | | SWFS* Adjustments | Adjusted Balance |
|---|----------------------------|-----|----------------------|------------------------|
| Chief Financial Officer's (CFO) Cash Balance | 2,744,657.95 | (A) | | 2,744,657.95 |
| ADD: Other Cash (See Instructions) | 3,315.00 | (B) | | 3,315.00 |
| ADD: Investments | | (C) | | 0.00 |
| ADD: Outstanding Accounts Receivable | 396,503.47 | (D) | | 396,503.47 |
| ADD: _____ | | (E) | | 0.00 |
| Total Cash plus Accounts Receivable | 3,144,476.42 | (F) | 0.00 | 3,144,476.42 |
| LESS Allowances for Uncollectibles | | (G) | | 0.00 |
| LESS Approved "A" Certified Forwards | (173,463.92) | (H) | | (173,463.92) |
| Approved "B" Certified Forwards | (5,825.69) | (H) | | (5,825.69) |
| Approved "FCO" Certified Forwards | | (H) | | 0.00 |
| LESS: Other Accounts Payable (Nonoperating) | (111,547.16) | (I) | | (111,547.16) |
| LESS: _____ | | (J) | | 0.00 |
| Unreserved Fund Balance, 07/01/12 | 2,853,639.65 | (K) | 0.00 | 2,853,639.65 ** |

Notes:

*SWFS = Statewide Financial Statement

** This amount should agree with Line I, Section IV of the Schedule I for the most recent completed fiscal year and Line A for the following year.

RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC

Budget Period: 2013 - 2014

Department Title: Department of Health
Trust Fund Title: Radiation Protection Trust Fund
LAS/PBS Fund Number: 2569/64200600

BEGINNING TRIAL BALANCE:

Total Fund Balance Per FLAIR Trial Balance, 07/01/12

Total all GLC's 5XXXX for governmental funds; 2,855,285.56 (A)
GLC 539XX for proprietary and fiduciary funds

Subtract Nonspendable Fund Balance (GLC 56XXX) (B)

Add/Subtract Statewide Financial Statement (SWFS) Adjustments :

SWFS Adjustment # and Description (C)

SWFS Adjustment # and Description (C)

Add/Subtract Other Adjustment(s):

Approved "B" Carry Forward (Encumbrances) per LAS/PBS (5,825.69) (D)

Approved "C" Carry Forward Total (FCO) per LAS/PBS (D)

A/P not C/F-Operating Categories 4,179.78 (D)

(D)

(D)

(D)

ADJUSTED BEGINNING TRIAL BALANCE: 2,853,639.65 (E)

UNRESERVED FUND BALANCE, SCHEDULE IC (Line I) 2,853,639.65 (F)

DIFFERENCE: 0.00 (G)*

***SHOULD EQUAL ZERO.**

DEPARTMENT OF HEALTH
COUNTY HEALTH DEPARTMENT LOCAL HEALTH NEEDS
EXHIBITS AND SCHEDULES

DEPARTMENT OF HEALTH
COUNTY HEALTH DEPARTMENT LOCAL HEALTH NEEDS
SCHEDULE I SERIES

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

| | |
|-----------------------------|-----------------------------------|
| Department Title: | Budget Period: 2013 - 2014 |
| Trust Fund Title: | Department of Health |
| Budget Entity: | Tobacco Settlement Trust Fund |
| LAS/PBS Fund Number: | 64200700 |
| | 2122 |

| | Balance as of 6/30/2012 | | SWFS* Adjustments | Adjusted Balance |
|---|----------------------------|-----|----------------------|---------------------|
| Chief Financial Officer's (CFO) Cash Balance | 1,223,207.90 | (A) | | 1,223,207.90 |
| ADD: Other Cash (See Instructions) | | (B) | | 0.00 |
| ADD: Investments | | (C) | | 0.00 |
| ADD: Outstanding Accounts Receivable | | (D) | | 0.00 |
| ADD: _____ | | (E) | | 0.00 |
| Total Cash plus Accounts Receivable | 1,223,207.90 | (F) | 0.00 | 1,223,207.90 |
| LESS Allowances for Uncollectibles | | (G) | | 0.00 |
| LESS Approved "A" Certified Forwards | | (H) | | 0.00 |
| Approved "B" Certified Forwards | 0.00 | (H) | | 0.00 |
| Approved "FCO" Certified Forwards | (905,246.39) | (H) | | (905,246.39) |
| LESS: Other Accounts Payable (Nonoperating) | 0.00 | (I) | | 0.00 |
| LESS: Transfer to 2122 64200300 | (278,133.51) | (J) | | (278,133.51) |
| LESS: Transfer to 2122 64400200 | (39,828.00) | (J) | | (39,828.00) |
| Unreserved Fund Balance, 07/01/12 | (0.00) | (K) | 0.00 | (0.00)** |

Notes:

*SWFS = Statewide Financial Statement

** This amount should agree with Line I, Section IV of the Schedule I for the most recent completed fiscal year and Line A for the following year.

RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC

Budget Period: 2013 - 2014

| | |
|-----------------------------|-------------------------------|
| Department Title: | Department of Health |
| Trust Fund Title: | Tobacco Settlement Trust Fund |
| LAS/PBS Fund Number: | 2122/64200700 |

BEGINNING TRIAL BALANCE:

Total Fund Balance Per FLAIR Trial Balance, 07/01/12

| | | |
|--|---------------------|-----|
| Total all GLC's 5XXXX for governmental funds; GLC 539XX for proprietary and fiduciary funds | 1,223,207.90 | (A) |
|--|---------------------|-----|

| | | |
|---|--|-----|
| Subtract Nonspendable Fund Balance (GLC 56XXX) | | (B) |
|---|--|-----|

Add/Subtract Statewide Financial Statement (SWFS) Adjustments :

| | | |
|-----------------------------------|--|-----|
| SWFS Adjustment # and Description | | (C) |
|-----------------------------------|--|-----|

| | | |
|-----------------------------------|--|-----|
| SWFS Adjustment # and Description | | (C) |
|-----------------------------------|--|-----|

Add/Subtract Other Adjustment(s):

| | | |
|---|--|-----|
| Approved "B" Carry Forward (Encumbrances) per LAS/PBS | | (D) |
|---|--|-----|

| | | |
|--|--------------|-----|
| Approved "C" Carry Forward Total (FCO) per LAS/PBS | (905,246.39) | (D) |
|--|--------------|-----|

| | | |
|----------------------------------|--|-----|
| A/P not C/F-Operating Categories | | (D) |
|----------------------------------|--|-----|

| | | |
|---------------------------|--------------|-----|
| Transfer to 2122 64200300 | (278,133.51) | (D) |
|---------------------------|--------------|-----|

| | | |
|---------------------------|-------------|-----|
| Transfer to 2122 64400200 | (39,828.00) | (D) |
|---------------------------|-------------|-----|

| | | |
|--|--|-----|
| | | (D) |
|--|--|-----|

| | | |
|--|---------------|-----|
| ADJUSTED BEGINNING TRIAL BALANCE: | (0.00) | (E) |
|--|---------------|-----|

| | | |
|--|-------------|-----|
| UNRESERVED FUND BALANCE, SCHEDULE IC (Line I) | 0.00 | (F) |
|--|-------------|-----|

| | | |
|--------------------|---------------|------|
| DIFFERENCE: | (0.00) | (G)* |
|--------------------|---------------|------|

***SHOULD EQUAL ZERO.**

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

| | |
|-----------------------------|-------------------------------------|
| Department Title: | Budget Period: 2013 - 2014 |
| Trust Fund Title: | Department of Health |
| Budget Entity: | County Health Department Trust Fund |
| LAS/PBS Fund Number: | 64200700 |
| | 2141 |

| | Balance as of 6/30/2012 | | SWFS* Adjustments | Adjusted Balance |
|---|----------------------------|-----|----------------------|--------------------------|
| Chief Financial Officer's (CFO) Cash Balance | 75,429,477.06 | (A) | | 75,429,477.06 |
| ADD: Other Cash (See Instructions) | 1,038,329.37 | (B) | | 1,038,329.37 |
| ADD: Investments | 83,826,211.00 | (C) | | 83,826,211.00 |
| ADD: Outstanding Accounts Receivable | 50,434,314.75 | (D) | 62,100.00 | 50,496,414.75 |
| ADD: _____ | | (E) | | 0.00 |
| Total Cash plus Accounts Receivable | 210,728,332.18 | (F) | 62,100.00 | 210,790,432.18 |
| LESS Allowances for Uncollectibles | (12,004,397.75) | (G) | | (12,004,397.75) |
| LESS Approved "A" Certified Forwards | (25,566,598.82) | (H) | (4,752.57) | (25,571,351.39) |
| Approved "B" Certified Forwards | (6,847,883.84) | (H) | | (6,847,883.84) |
| Approved "FCO" Certified Forwards | (46,890,293.45) | (H) | | (46,890,293.45) |
| LESS: Other Accounts Payable (Nonoperating) | (33,535.48) | (I) | | (33,535.48) |
| LESS: _____ | | (J) | | 0.00 |
| Unreserved Fund Balance, 07/01/12 | 119,385,622.84 | (K) | 57,347.43 | 119,442,970.27 ** |

Notes:

*SWFS = Statewide Financial Statement

** This amount should agree with Line I, Section IV of the Schedule I for the most recent completed fiscal year and Line A for the following year.

RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC

Budget Period: 2013 - 2014

| | |
|-----------------------------|-------------------------------------|
| Department Title: | Department of Health |
| Trust Fund Title: | County Health Department Trust Fund |
| LAS/PBS Fund Number: | 2141/64200700 |

BEGINNING TRIAL BALANCE:

Total Fund Balance Per FLAIR Trial Balance, 07/01/12

| | | |
|--|----------------|-----|
| Total all GLC's 5XXXX for governmental funds; GLC 539XX for proprietary and fiduciary funds | 181,278,799.19 | (A) |
|--|----------------|-----|

| | | |
|---|----------------|-----|
| Subtract Nonspendable Fund Balance (GLC 56XXX) | (9,611,110.85) | (B) |
|---|----------------|-----|

Add/Subtract Statewide Financial Statement (SWFS) Adjustments :

| | | |
|---|-----------|-----|
| SWFS Adjustment #B6400015 Increase Due From (163XX/61300) | 62,100.00 | (C) |
|---|-----------|-----|

| | | |
|---|------------|-----|
| SWFS Adjustment #B6400018 increase Due to (353XX 759XX) | (4,752.57) | (C) |
|---|------------|-----|

Add/Subtract Other Adjustment(s):

| | | |
|---|----------------|-----|
| Approved "B" Carry Forward (Encumbrances) per LAS/PBS | (6,847,883.84) | (D) |
|---|----------------|-----|

| | | |
|--|-----------------|-----|
| Approved "C" Carry Forward Total (FCO) per LAS/PBS | (46,890,293.45) | (D) |
|--|-----------------|-----|

| | | |
|----------------------------------|--------------|-----|
| A/P not C/F-Operating Categories | 1,124,118.49 | (D) |
|----------------------------------|--------------|-----|

| | | |
|----------------------------|------------|-----|
| A/P not C/F-FCO Categories | 331,993.30 | (D) |
|----------------------------|------------|-----|

| | | |
|---|--|-----|
| Transfer from Nursing Student Loan Forgiveness Trust Fund | | (D) |
|---|--|-----|

| | | |
|--|--|-----|
| | | (D) |
|--|--|-----|

| | | |
|--|-----------------------|------------|
| ADJUSTED BEGINNING TRIAL BALANCE: | 119,442,970.27 | (E) |
|--|-----------------------|------------|

| | | |
|--|-----------------------|------------|
| UNRESERVED FUND BALANCE, SCHEDULE IC (Line I) | 119,442,970.27 | (F) |
|--|-----------------------|------------|

| | | |
|--------------------|-------------|-------------|
| DIFFERENCE: | 0.00 | (G)* |
|--------------------|-------------|-------------|

***SHOULD EQUAL ZERO.**

SCHEDULE IX: MAJOR AUDIT FINDINGS AND RECOMMENDATIONS

Budget Period: 2013 - 2014

Department: Health

Chief Internal Auditor: Michael J. Bennett

Budget Entity: 64200700

Phone Number: (850) 245-4444 ext. 2150

| (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-1011DOH-035 | June 30, 2012 | Miami-Dade CHD | The Contract Manager included contract language that permits providers to submit deliverables after contracts end. <i>We recommend the Contract Management section of Miami-Dade CHD review all contracts and ensure contract language requires contracted providers to submit deliverables prior to payment, and discontinue the use of language that allows deliverables to be submitted after the contract ends.</i> | Completed at 6 month followup of April 13, 2012. We have implemented all recommendations in conformity with the audit. | |

Office of Policy and Budget - July 2012

**DEPARTMENT OF HEALTH
STATEWIDE PUBLIC HEALTH EXHIBITS AND SCHEDULES**

**DEPARTMENT OF HEALTH
STATEWIDE PUBLIC HEALTH SUPPORT SCHEDULE I SERIES**

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

| | |
|-----------------------------|-----------------------------------|
| Department Title: | Budget Period: 2013 - 2014 |
| Trust Fund Title: | Department of Health |
| Budget Entity: | Administrative Trust Fund |
| LAS/PBS Fund Number: | 64200800 |
| | 2021 |

| | Balance as of 6/30/2012 | | SWFS* Adjustments | Adjusted Balance |
|---|----------------------------|-----|----------------------|------------------------|
| Chief Financial Officer's (CFO) Cash Balance | 4,152,219.18 | (A) | | 4,152,219.18 |
| ADD: Other Cash (See Instructions) | | (B) | | 0.00 |
| ADD: Investments | | (C) | | 0.00 |
| ADD: Outstanding Accounts Receivable | 7,135.52 | (D) | | 7,135.52 |
| ADD: _____ | | (E) | | 0.00 |
| Total Cash plus Accounts Receivable | 4,159,354.70 | (F) | 0.00 | 4,159,354.70 |
| LESS Allowances for Uncollectibles | | (G) | | 0.00 |
| LESS Approved "A" Certified Forwards | (9,270.30) | (H) | | (9,270.30) |
| Approved "B" Certified Forwards | (148,123.13) | (H) | | (148,123.13) |
| Approved "FCO" Certified Forwards | | (H) | | 0.00 |
| LESS: Other Accounts Payable (Nonoperating) | (532.00) | (I) | | (532.00) |
| LESS: _____ | | (J) | | 0.00 |
| Unreserved Fund Balance, 07/01/12 | 4,001,429.27 | (K) | 0.00 | 4,001,429.27 ** |

Notes:

*SWFS = Statewide Financial Statement

** This amount should agree with Line I, Section IV of the Schedule I for the most recent completed fiscal year and Line A for the following year.

RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC

Budget Period: 2013 - 2014

Department Title: Department of Health
Trust Fund Title: Administrative Trust Fund
LAS/PBS Fund Number: 2021/64200800

BEGINNING TRIAL BALANCE:

Total Fund Balance Per FLAIR Trial Balance, 07/01/12

Total all GLC's 5XXXX for governmental funds; 4,149,552.40 (A)
 GLC 539XX for proprietary and fiduciary funds

Subtract Nonspendable Fund Balance (GLC 56XXX) (B)

Add/Subtract Statewide Financial Statement (SWFS) Adjustments :

SWFS Adjustment # and Description (C)

SWFS Adjustment # and Description (C)

Add/Subtract Other Adjustment(s):

Approved "B" Carry Forward (Encumbrances) per LAS/PBS (148,123.13) (D)

Approved "C" Carry Forward Total (FCO) per LAS/PBS (D)

A/P not C/F-Operating Categories (D)

 (D)

 (D)

 (D)

ADJUSTED BEGINNING TRIAL BALANCE: 4,001,429.27 (E)

UNRESERVED FUND BALANCE, SCHEDULE IC (Line I) 4,001,429.27 (F)

DIFFERENCE: 0.00 (G)*

***SHOULD EQUAL ZERO.**

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

| | |
|-----------------------------|-----------------------------------|
| Department Title: | Budget Period: 2013 - 2014 |
| Trust Fund Title: | Department of Health |
| Budget Entity: | Tobacco Settlement Trust Fund |
| LAS/PBS Fund Number: | 64200800 |
| | 2122 |

| | Balance as of 6/30/2012 | | SWFS* Adjustments | Adjusted Balance |
|---|----------------------------|-----|----------------------|---------------------|
| Chief Financial Officer's (CFO) Cash Balance | 0.00 | (A) | | 0.00 |
| ADD: Other Cash (See Instructions) | | (B) | | 0.00 |
| ADD: Investments | | (C) | | 0.00 |
| ADD: Outstanding Accounts Receivable | 1,305,384.56 | (D) | | 1,305,384.56 |
| ADD: _____ | | (E) | | 0.00 |
| Total Cash plus Accounts Receivable | 1,305,384.56 | (F) | 0.00 | 1,305,384.56 |
| LESS Allowances for Uncollectibles | | (G) | | 0.00 |
| LESS Approved "A" Certified Forwards | (1,305,384.56) | (H) | | (1,305,384.56) |
| Approved "B" Certified Forwards | | (H) | | 0.00 |
| Approved "FCO" Certified Forwards | | (H) | | 0.00 |
| LESS: Other Accounts Payable (Nonoperating) | | (I) | | 0.00 |
| LESS: _____ | | (J) | | 0.00 |
| Unreserved Fund Balance, 07/01/12 | 0.00 | (K) | 0.00 | 0.00 ** |

Notes:

*SWFS = Statewide Financial Statement

** This amount should agree with Line I, Section IV of the Schedule I for the most recent completed fiscal year and Line A for the following year.

RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC

Budget Period: 2013 - 2014

Department Title: Department of Health
Trust Fund Title: Tobacco Settlement Trust Fund
LAS/PBS Fund Number: 2122/64200800

BEGINNING TRIAL BALANCE:

Total Fund Balance Per FLAIR Trial Balance, 07/01/12

Total all GLC's 5XXXX for governmental funds; (A)
GLC 539XX for proprietary and fiduciary funds

Subtract Nonspendable Fund Balance (GLC 56XXX) (B)

Add/Subtract Statewide Financial Statement (SWFS) Adjustments :

SWFS Adjustment # and Description (C)

SWFS Adjustment # and Description (C)

Add/Subtract Other Adjustment(s):

Approved "B" Carry Forward (Encumbrances) per LAS/PBS (D)

Approved "C" Carry Forward Total (FCO) per LAS/PBS (D)

A/P not C/F-Operating Categories (D)

(D)

(D)

(D)

ADJUSTED BEGINNING TRIAL BALANCE: (E)

UNRESERVED FUND BALANCE, SCHEDULE IC (Line I) (F)

DIFFERENCE: (G)*

***SHOULD EQUAL ZERO.**

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

| | |
|-----------------------------|---------------------------------------|
| Department Title: | Budget Period: 2013 - 2014 |
| Trust Fund Title: | Department of Health |
| Budget Entity: | Emergency Medical Services Trust Fund |
| LAS/PBS Fund Number: | 64200800 |
| | 2192 |

| | Balance as of 6/30/2012 | | SWFS* Adjustments | Adjusted Balance |
|---|----------------------------|-----|----------------------|---------------------|
| Chief Financial Officer's (CFO) Cash Balance | 2,746,617.77 | (A) | | 2,746,617.77 |
| ADD: Other Cash (See Instructions) | 865.00 | (B) | | 865.00 |
| ADD: Investments | | (C) | | 0.00 |
| ADD: Outstanding Accounts Receivable | 55,687.32 | (D) | | 55,687.32 |
| ADD: Transfer from 2192 64400200 | 4,687,930.73 | (E) | | 4,687,930.73 |
| Total Cash plus Accounts Receivable | 7,491,100.82 | (F) | 0.00 | 7,491,100.82 |
| LESS Allowances for Uncollectibles | | (G) | | 0.00 |
| LESS Approved "A" Certified Forwards | (415,659.78) | (H) | | (415,659.78) |
| Approved "B" Certified Forwards | (51,875.58) | (H) | | (51,875.58) |
| Approved "FCO" Certified Forwards | | (H) | | 0.00 |
| LESS: Other Accounts Payable (Nonoperating) | | (I) | | 0.00 |
| LESS: _____ | (384,966.47) | (J) | | (384,966.47) |
| Unreserved Fund Balance, 07/01/12 | 6,638,598.99 | (K) | 0.00 | 6,638,598.99 ** |

Notes:

*SWFS = Statewide Financial Statement

** This amount should agree with Line I, Section IV of the Schedule I for the most recent completed fiscal year and Line A for the following year.

RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC

Budget Period: 2013 - 2014

| | |
|-----------------------------|--|
| Department Title: | Department of Health |
| Trust Fund Title: | Emergency Medical Services Trust Funds |
| LAS/PBS Fund Number: | 2192/64200800 |

BEGINNING TRIAL BALANCE:

Total Fund Balance Per FLAIR Trial Balance, 07/01/12

| | | |
|--|---------------------|-----|
| Total all GLC's 5XXXX for governmental funds; GLC 539XX for proprietary and fiduciary funds | 1,998,467.83 | (A) |
|--|---------------------|-----|

| | | |
|---|--|-----|
| Subtract Nonspendable Fund Balance (GLC 56XXX) | | (B) |
|---|--|-----|

Add/Subtract Statewide Financial Statement (SWFS) Adjustments :

| | | |
|-----------------------------------|--|-----|
| SWFS Adjustment # and Description | | (C) |
|-----------------------------------|--|-----|

| | | |
|-----------------------------------|--|-----|
| SWFS Adjustment # and Description | | (C) |
|-----------------------------------|--|-----|

Add/Subtract Other Adjustment(s):

| | | |
|---|-------------|-----|
| Approved "B" Carry Forward (Encumbrances) per LAS/PBS | (51,875.58) | (D) |
|---|-------------|-----|

| | | |
|--|--|-----|
| Approved "C" Carry Forward Total (FCO) per LAS/PBS | | (D) |
|--|--|-----|

| | | |
|----------------------------------|----------|-----|
| A/P not C/F-Operating Categories | 4,076.01 | (D) |
|----------------------------------|----------|-----|

| | | |
|-----------------------------|--------------|-----|
| Transfer from 2192 64200800 | 4,687,930.73 | (D) |
|-----------------------------|--------------|-----|

| | | |
|--|--|-----|
| | | (D) |
|--|--|-----|

| | | |
|--|--|-----|
| | | (D) |
|--|--|-----|

| | | |
|--|---------------------|-----|
| ADJUSTED BEGINNING TRIAL BALANCE: | 6,638,598.99 | (E) |
|--|---------------------|-----|

| | | |
|--|---------------------|-----|
| UNRESERVED FUND BALANCE, SCHEDULE IC (Line I) | 6,638,598.99 | (F) |
|--|---------------------|-----|

| | | |
|--------------------|-------------|------|
| DIFFERENCE: | 0.00 | (G)* |
|--------------------|-------------|------|

***SHOULD EQUAL ZERO.**

SCHEDULE 1A: DETAIL OF FEES AND RELATED PROGRAM COSTS

Department: 64 Health **Budget Period:** **2013-2014**
Program: 64200800 Statewide Public Health Support
Fund: 192002 Emergency Medical Services

Specific Authority: F.S. 320.0801, 318.14(5), 318.18(15)(a)1, 318.18(3)(h), 318.18(5)(c), 318.18(20), 938.07, 318.21, 316.061, 316.0083(1)(b)3.b

Purpose of Fees Collected: To improve and expand prehospital emergency medical services in the state.

Type of Fee or Program: (Check **ONE** Box and answer questions as indicated.)

| | |
|-------------------------------------|---|
| <input type="checkbox"/> | Regulatory services or oversight to businesses or professions. (Complete Sections I, II, and III and attach Examination of Regulatory Fees Form - Part I and II.) |
| <input checked="" type="checkbox"/> | Non-regulatory fees authorized to cover full cost of conducting a specific program or service. (Complete Sections I, II, and III only.) |

| <u>SECTION I - FEE COLLECTION</u> | ACTUAL | ESTIMATED | REQUEST |
|---|---------------------|----------------------|-----------------------|
| | FY 2011-2012 | FY 2012-2013 | FY 2013 - 2014 |
| <u>Receipts:</u> | | | |
| <u>HD000-Motor Vehicle Registration Surtax</u> | 1,962,807 | 1,943,179 | 1,962,611 |
| <u>HD001-Civil Penalty</u> | 195,881 | 191,963 | 193,883 |
| <u>HD002-Red Light Running Fine</u> | 2,600,010 | 2,210,008.50 | 2,033,207.82 |
| <u>HD004-Traffic Violation Fine</u> | 5,039 | 4,938 | 5,037 |
| <u>HD005-Traffic Violation Fine</u> | 155,108 | 152,006 | 155,046 |
| <u>HD006-Traffic Violation Fine</u> | 485,168 | 475,465 | 484,974 |
| <u>N2000-Traffic Violation Fines</u> | 6,603,922 | 6,141,647 | 6,203,064 |
| <u>N2000-Interest Income</u> | 315 | 320 | 365 |
| <u>RLCTK-Red Light Ticket Revenue</u> | 7,375,567 | 8,113,124 | 8,924,436 |
| Total Fee Collection to Line (A) - Section I | 19,383,817 | 19,232,650.67 | 19,962,623.46 |

SECTION II - FULL COSTS

| | | | |
|--|-------------------|-------------------|-------------------|
| <u>Direct Costs:</u> | | | |
| <u>Salaries and Benefits</u> | 1,663,498 | 1,712,359 | 1,797,977 |
| <u>Other Personal Services</u> | 93,237 | 95,000 | 95,000 |
| <u>Expenses</u> | 207,243 | 314,667 | 312,000 |
| <u>Operating Capital Outlay</u> | 1,305 | 3,000 | 3,000 |
| <u>Contractual</u> | 853,221 | 865,000 | 712,000 |
| <u>County Grants</u> | 1,854,671 | 3,000,000 | 3,060,000 |
| <u>Matching Grants</u> | 2,636,393 | 2,500,000 | 2,550,000 |
| <u>Payout to Trauma Centers</u> | 7,728,956 | 8,501,852 | 9,352,037 |
| <u>Trauma Special Category</u> | 65,908 | 69,203 | 72,664 |
| <u>8% Service Charge</u> | 1,238,375 | 1,538,612 | 1,597,010 |
| Total Full Costs to Line (B) - Section II | 16,342,807 | 18,599,693 | 19,551,687 |

Basis Used: _____

SECTION III - SUMMARY

| | | | | |
|--------------------------------|-----|------------------|----------------|----------------|
| TOTAL SECTION I | (A) | 19,383,817 | 19,232,651 | 19,962,623 |
| TOTAL SECTION II | (B) | 16,342,807 | 18,599,693 | 19,551,687 |
| TOTAL - Surplus/Deficit | (C) | 3,041,010 | 632,958 | 410,936 |

EXPLANATION of LINE C:

Revenue for RLCTK for FY 2011-12 was deposited into the Admin TF, 021042; for FY 2012-13 it will be deposited into the EMS TF 192002.

SCHEDULE 1A: DETAIL OF FEES AND RELATED PROGRAM COSTS

Department: 64 Health **Budget Period: 2013-2014**
Program: 64200800 Statewide Public Health Support
Fund: 192002 Emergency Medical Services

Specific Authority: F.S. 401.34, 401.465(3)
Purpose of Fees Collected: To improve and expand prehospital emergency medical services in the state.

Type of Fee or Program: (Check **ONE** Box and answer questions as indicated.)

| | |
|-------------------------------------|---|
| <input checked="" type="checkbox"/> | Regulatory services or oversight to businesses or professions. (Complete Sections I, II, and III and attach Examination of Regulatory Fees Form - Part I and II.) |
| <input type="checkbox"/> | Non-regulatory fees authorized to cover full cost of conducting a specific program or service. (Complete Sections I, II, and III only.) |

| <u>SECTION I - FEE COLLECTION</u> | <u>ACTUAL</u> | <u>ESTIMATED</u> | <u>REQUEST</u> |
|---|---------------------|---------------------|-----------------------|
| | <u>FY 2011-2012</u> | <u>FY 2012-2013</u> | <u>FY 2013 - 2014</u> |
| <u>Receipts:</u> | | | |
| EMDSP-Emergency Dispatcher Certification | 118,845 | 441,000 | 150,000 |
| IL000-Licensure & Certification Fees | 619,340 | 2,759,875 | 650,307 |
| _____ | _____ | _____ | _____ |
| _____ | _____ | _____ | _____ |
| Total Fee Collection to Line (A) - Section III | 738,185 | 3,200,875 | 800,307 |

| <u>SECTION II - FULL COSTS</u> | | | |
|---|------------------|------------------|------------------|
| <u>Direct Costs:</u> | | | |
| Salaries and Benefits | 247,739 | 248,450 | 248,450 |
| Other Personal Services | 35,700 | 61,576 | 61,576 |
| Expenses | 79,391 | 240,075 | 92,075 |
| Operating Capital Outlay | 4,611 | 1,500 | 1,500 |
| Contractual | 103,345 | 157,556 | 125,000 |
| Payment to MQA | 1,351,388 | 1,400,000 | 600,000 |
| Refunds | 4,285 | 4,200 | 4,200 |
| 8% Service Charge | 71,841 | 256,070 | 64,025 |
| Total Full Costs to Line (B) - Section III | 1,898,300 | 2,113,357 | 1,132,801 |

Basis Used: _____

| <u>SECTION III - SUMMARY</u> | | | | |
|--------------------------------|-----|--------------------|------------------|------------------|
| TOTAL SECTION I | (A) | 738,185 | 3,200,875 | 800,307 |
| TOTAL SECTION II | (B) | 1,898,300 | 2,113,357 | 1,132,801 |
| TOTAL - Surplus/Deficit | (C) | (1,160,115) | 1,087,518 | (332,494) |

EXPLANATION of LINE C:
 Revenue in OCA IL000 based on fees for applications and permits that are based on a 2 year cycle.
 Revenue in OCA EMDSP based on fees for certifications that are based on a 2 year cycle.

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

| | |
|-----------------------------|-----------------------------------|
| Department Title: | Budget Period: 2013 - 2014 |
| Trust Fund Title: | Department of Health |
| Budget Entity: | Biomedical Research Trust Fund |
| LAS/PBS Fund Number: | 64200800 |
| | 2245 |

| | Balance as of 6/30/2012 | | SWFS* Adjustments | Adjusted Balance |
|---|----------------------------|-----|----------------------|------------------------|
| Chief Financial Officer's (CFO) Cash Balance | 2,615,137.95 | (A) | | 2,615,137.95 |
| ADD: Other Cash (See Instructions) | | (B) | | 0.00 |
| ADD: Investments | 37,337,588.08 | (C) | | 37,337,588.08 |
| ADD: Outstanding Accounts Receivable | 66,485.41 | (D) | | 66,485.41 |
| ADD: _____ | | (E) | | 0.00 |
| Total Cash plus Accounts Receivable | 40,019,211.44 | (F) | 0.00 | 40,019,211.44 |
| LESS Allowances for Uncollectibles | | (G) | | 0.00 |
| LESS Approved "A" Certified Forwards | (1,514,708.94) | (H) | | (1,514,708.94) |
| Approved "B" Certified Forwards | (7,304,280.76) | (H) | | (7,304,280.76) |
| Approved Carry Forward | (27,207,812.39) | (H) | | (27,207,812.39) |
| LESS: Other Accounts Payable (Nonoperating) | | (I) | | 0.00 |
| LESS: _____ | | (J) | | 0.00 |
| Unreserved Fund Balance, 07/01/12 | 3,992,409.35 | (K) | 0.00 | 3,992,409.35 ** |

Notes:

*SWFS = Statewide Financial Statement

** This amount should agree with Line I, Section IV of the Schedule I for the most recent completed fiscal year and Line A for the following year.

RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC

Budget Period: 2013 - 2014

Department Title: Department of Health
Trust Fund Title: Biomedical Research Trust Fund
LAS/PBS Fund Number: 2245/64200800

BEGINNING TRIAL BALANCE:

Total Fund Balance Per FLAIR Trial Balance, 07/01/12

Total all GLC's 5XXXX for governmental funds; 37,794,832.65 (A)
 GLC 539XX for proprietary and fiduciary funds

Subtract Nonspendable Fund Balance (GLC 56XXX) (B)

Add/Subtract Statewide Financial Statement (SWFS) Adjustments :

SWFS Adjustment # and Description (C)

SWFS Adjustment # and Description (C)

Add/Subtract Other Adjustment(s):

Approved "B" Carry Forward (Encumbrances) per LAS/PBS (7,304,280.76) (D)

Approved Carry Forward (27,207,812.39) (D)

A/P not C/F-Operating Categories 709,669.85 (D)

 (D)

 (D)

 (D)

ADJUSTED BEGINNING TRIAL BALANCE: 3,992,409.35 (E)

UNRESERVED FUND BALANCE, SCHEDULE IC (Line I) 3,992,409.35 (F)

DIFFERENCE: 0.00 (G)*

***SHOULD EQUAL ZERO.**

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

| | |
|-----------------------------|----------------------------|
| Department Title: | Budget Period: 2013 - 2014 |
| Trust Fund Title: | Department of Health |
| Budget Entity: | Federal Grant Trust Fund |
| LAS/PBS Fund Number: | 64200800 |
| | 2261 |

| | Balance as of 6/30/2012 | | SWFS* Adjustments | Adjusted Balance |
|---|----------------------------|-----|----------------------|----------------------|
| Chief Financial Officer's (CFO) Cash Balance | (3,464,869.78) | (A) | | (3,464,869.78) |
| ADD: Other Cash (See Instructions) | 68.00 | (B) | | 68.00 |
| ADD: Investments | | (C) | | 0.00 |
| ADD: Outstanding Accounts Receivable | 690,252.77 | (D) | | 690,252.77 |
| ADD: <u>Transfer from 2261 64200400</u> | 4,642,598.86 | (E) | | 4,642,598.86 |
| ADD: <u>Transfer from 2261 64400200</u> | 14,413,142.58 | (E) | | 14,413,142.58 |
| Total Cash plus Accounts Receivable | 16,281,192.43 | (F) | 0.00 | 16,281,192.43 |
| LESS Allowances for Uncollectibles | | (G) | | 0.00 |
| LESS Approved "A" Certified Forwards | (14,221,498.25) | (H) | 4,752.57 | (14,216,745.68) |
| Approved "B" Certified Forwards | (2,064,446.75) | (H) | | (2,064,446.75) |
| Approved "FCO" Certified Forwards | | (H) | | 0.00 |
| LESS: Other Accounts Payable (Nonoperating) | | (I) | | 0.00 |
| LESS: | | (J) | | 0.00 |
| LESS: _____ | | (J) | | 0.00 |
| Unreserved Fund Balance, 07/01/12 | (4,752.57) | (K) | 4,752.57 | 0.00 ** |

Notes:

*SWFS = Statewide Financial Statement

** This amount should agree with Line I, Section IV of the Schedule I for the most recent completed fiscal year and Line A for the following year.

RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC

Budget Period: 2013 - 2014

| | |
|-----------------------------|--------------------------|
| Department Title: | Department of Health |
| Trust Fund Title: | Federal Grant Trust Fund |
| LAS/PBS Fund Number: | 2261/64200800 |

BEGINNING TRIAL BALANCE:

| | |
|--|---------------------|
| Total Fund Balance Per FLAIR Trial Balance, 07/01/12 | |
| Total all GLC's 5XXXX for governmental funds; | |
| GLC 539XX for proprietary and fiduciary funds | 19,636,895.84 (A) |
| Subtract Nonspendable Fund Balance (GLC 56XXX) | (36,620,816.80) (B) |
| Add/Subtract Statewide Financial Statement (SWFS) Adjustments : | |
| SWFS Adjustment #B6400019 Delete Due to Other Department (353XX) | 4,752.57 (C) |
| SWFS Adjustment | |
| Add/Subtract Other Adjustment(s): | |
| Approved "B" Carry Forward (Encumbrances) per LAS/PBS | (2,064,446.75) (D) |
| Approved "C" Carry Forward Total (FCO) per LAS/PBS | |
| A/P not C/F-Operating Categories | 23,142.10 (D) |
| Difference between LASPBS file and departmental Trial Balance | (35,268.40) (D) |
| Transfer from 2261 64200400 | 4,642,598.86 (D) |
| Transfer from 2261 64400200 | 14,413,142.58 (D) |
| | |
| ADJUSTED BEGINNING TRIAL BALANCE: | 0.00 (E) |
| UNRESERVED FUND BALANCE, SCHEDULE IC (Line I) | 0.00 (F) |
| DIFFERENCE: | 0.00 (G)* |

***SHOULD EQUAL ZERO.**

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

| | |
|-----------------------------|-----------------------------------|
| Department Title: | Budget Period: 2013 - 2014 |
| Trust Fund Title: | Department of Health |
| Budget Entity: | Grants & Donations Trust Fund |
| LAS/PBS Fund Number: | 64200800 |
| | 2339 |

| | Balance as of 6/30/2012 | | SWFS* Adjustments | Adjusted Balance |
|---|----------------------------|-----|----------------------|---------------------|
| Chief Financial Officer's (CFO) Cash Balance | 4,137,495.70 | (A) | | 4,137,495.70 |
| ADD: Other Cash (See Instructions) | 59.00 | (B) | | 59.00 |
| ADD: Investments | | (C) | | 0.00 |
| ADD: Outstanding Accounts Receivable | 3,346,804.06 | (D) | (964,178.87) | 2,382,625.19 |
| ADD: _____ | | (E) | | 0.00 |
| Total Cash plus Accounts Receivable | 7,484,358.76 | (F) | (964,178.87) | 6,520,179.89 |
| LESS Allowances for Uncollectibles | | (G) | | 0.00 |
| LESS Approved "A" Certified Forwards | (684,640.81) | (H) | | (684,640.81) |
| Approved "B" Certified Forwards | (36,035.37) | (H) | | (36,035.37) |
| Approved "FCO" Certified Forwards | | (H) | | 0.00 |
| LESS: Other Accounts Payable (Nonoperating) | (1,502.61) | (I) | | (1,502.61) |
| LESS: _____ | | (J) | | 0.00 |
| Unreserved Fund Balance, 07/01/12 | 6,762,179.97 | (K) | (964,178.87) | 5,798,001.10 ** |

Notes:

*SWFS = Statewide Financial Statement

** This amount should agree with Line I, Section IV of the Schedule I for the most recent completed fiscal year and Line A for the following year.

RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC

Budget Period: 2013 - 2014

| | |
|-----------------------------|-------------------------------|
| Department Title: | Department of Health |
| Trust Fund Title: | Grants & Donations Trust Fund |
| LAS/PBS Fund Number: | 2339/64200800 |

BEGINNING TRIAL BALANCE:

Total Fund Balance Per FLAIR Trial Balance, 07/01/12

| | | |
|--|---------------------|-----|
| Total all GLC's 5XXXX for governmental funds; GLC 539XX for proprietary and fiduciary funds | 7,196,497.31 | (A) |
|--|---------------------|-----|

| | | |
|---|---------------------|-----|
| Subtract Nonspendable Fund Balance (GLC 56XXX) | (400,821.06) | (B) |
|---|---------------------|-----|

Add/Subtract Statewide Financial Statement (SWFS) Adjustments :

| | | |
|--|---------------------|-----|
| SWFS Adjustment #B64000002 delete receivable (61300) | (964,178.87) | (C) |
|--|---------------------|-----|

| | | |
|-----------------------------------|--|-----|
| SWFS Adjustment # and Description | | (C) |
|-----------------------------------|--|-----|

Add/Subtract Other Adjustment(s):

| | | |
|---|--------------------|-----|
| Approved "B" Carry Forward (Encumbrances) per LAS/PBS | (36,035.37) | (D) |
|---|--------------------|-----|

| | | |
|--|--|-----|
| Approved "C" Carry Forward Total (FCO) per LAS/PBS | | (D) |
|--|--|-----|

| | | |
|----------------------------------|-----------------|-----|
| A/P not C/F-Operating Categories | 2,539.09 | (D) |
|----------------------------------|-----------------|-----|

| | | |
|--|--|-----|
| | | (D) |
|--|--|-----|

| | | |
|--|--|-----|
| | | (D) |
|--|--|-----|

| | | |
|--|--|-----|
| | | (D) |
|--|--|-----|

| | | |
|--|---------------------|-----|
| ADJUSTED BEGINNING TRIAL BALANCE: | 5,798,001.10 | (E) |
|--|---------------------|-----|

| | | |
|--|---------------------|-----|
| UNRESERVED FUND BALANCE, SCHEDULE IC (Line I) | 5,798,001.10 | (F) |
|--|---------------------|-----|

| | | |
|--------------------|-------------|------|
| DIFFERENCE: | 0.00 | (G)* |
|--------------------|-------------|------|

***SHOULD EQUAL ZERO.**

SCHEDULE 1A: DETAIL OF FEES AND RELATED PROGRAM COSTS

Department: Health **Budget Period: 2013-2014**
Program: Brain and Spinal Cord Injury Prevention Program
Fund: 390001

Specific Authority: 318.21, 938.07, 327.35
Purpose of Fees Collected: Fees collected are used to assist brain and spinal cord injury clients.

Type of Fee or Program: (Check **ONE** Box and answer questions as indicated.)

| | |
|-------------------------------------|---|
| <input type="checkbox"/> | Regulatory services or oversight to businesses or professions. (Complete Sections I, II, and III and attach Examination of Regulatory Fees Form - Part I and II.) |
| <input checked="" type="checkbox"/> | Non-regulatory fees authorized to cover full cost of conducting a specific program or service. (Complete Sections I, II, and III only.) |

| <u>SECTION I - FEE COLLECTION</u> | ACTUAL | ESTIMATED | REQUEST |
|---|-------------------|-------------------|-------------------|
| | FY 2011 - 2012 | FY 2012 - 2013 | FY 2013 - 2014 |
| <u>Receipts:</u> | | | |
| <u>Traffic Violation Fees 001200</u> | 8,091,116 | 7,252,346 | 7,252,346 |
| <u>Red Light Running</u> | 2,295,725 | 2,733,528 | 2,733,528 |
| <u>License Tag Surcharge 001520</u> | 1,162,641 | 1,238,496 | 1,238,496 |
| <u>Specialty Motor Cycle Tags 000200</u> | 54,030 | 54,366 | 54,366 |
| Total Fee Collection to Line (A) - Section III | 11,603,512 | 11,278,736 | 11,278,736 |

| <u>SECTION II - FULL COSTS</u> | | | |
|---|-------------------|-------------------|-------------------|
| <u>Direct Costs:</u> | | | |
| Salaries and Benefits | 2,710,995 | 2,403,326 | 2,403,326 |
| Other Personal Services | | | |
| Expenses | 754,906 | 668,523 | 668,523 |
| Operating Capital Outlay | 6,225 | 5,000 | 5,000 |
| <u>Contractual (100777/100778)</u> | 1,476,269 | 1,500,000 | 1,500,000 |
| <u>All Other Expenses</u> | 20,044,733 | 15,000,000 | 15,000,000 |
| Indirect Costs Charged to Trust Fund | 919,095 | | |
| Total Full Costs to Line (B) - Section III | 25,912,224 | 19,576,849 | 19,576,849 |

Basis Used: _____

| <u>SECTION III - SUMMARY</u> | | | |
|--------------------------------|-----|---------------------|--------------------|
| TOTAL SECTION I | (A) | 11,603,512 | 11,278,736 |
| TOTAL SECTION II | (B) | 25,912,224 | 19,576,849 |
| TOTAL - Surplus/Deficit | (C) | (14,308,712) | (8,298,113) |

EXPLANATION of LINE C:
Negative Cash balance will be covered by transfers from AHCA for Medicaid Waiver Clients

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

| | |
|-----------------------------|---|
| Department Title: | Budget Period: 2013 - 2014 |
| Trust Fund Title: | Department of Health |
| Budget Entity: | Nursing Student Loan Forgiveness Trust Fund |
| LAS/PBS Fund Number: | 64200800 |
| | 2505 |

| | Balance as of 6/30/2012 | | SWFS* Adjustments | Adjusted Balance |
|---|----------------------------|-----|----------------------|----------------------|
| Chief Financial Officer's (CFO) Cash Balance | 804,077.11 | (A) | | 804,077.11 |
| ADD: Other Cash (See Instructions) | | (B) | | 0.00 |
| ADD: Investments | | (C) | | 0.00 |
| ADD: Outstanding Accounts Receivable | | (D) | | 0.00 |
| ADD: _____ | | (E) | | 0.00 |
| Total Cash plus Accounts Receivable | 804,077.11 | (F) | 0.00 | 804,077.11 |
| LESS Allowances for Uncollectibles | | (G) | | 0.00 |
| LESS Approved "A" Certified Forwards | (55.95) | (H) | | (55.95) |
| Approved "B" Certified Forwards | | (H) | | 0.00 |
| Approved "FCO" Certified Forwards | | (H) | | 0.00 |
| LESS: Other Accounts Payable (Nonoperating) | | (I) | | 0.00 |
| LESS: _____ | | (J) | | 0.00 |
| Unreserved Fund Balance, 07/01/12 | 804,021.16 | (K) | 0.00 | 804,021.16 ** |

Notes:

*SWFS = Statewide Financial Statement

** This amount should agree with Line I, Section IV of the Schedule I for the most recent completed fiscal year and Line A for the following year.

RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC

Budget Period: 2013 - 2014

Department Title: Department of Health
Trust Fund Title: Nursing Student Loan Forgiveness Trust Fund
LAS/PBS Fund Number: 2505/64200800

BEGINNING TRIAL BALANCE:

Total Fund Balance Per FLAIR Trial Balance, 07/01/12

Total all GLC's 5XXXX for governmental funds; (A)
GLC 539XX for proprietary and fiduciary funds

Subtract Nonspendable Fund Balance (GLC 56XXX) (B)

Add/Subtract Statewide Financial Statement (SWFS) Adjustments :

SWFS Adjustment # and Description (C)

SWFS Adjustment # and Description (C)

Add/Subtract Other Adjustment(s):

Approved "B" Carry Forward (Encumbrances) per LAS/PBS (D)

Approved "C" Carry Forward Total (FCO) per LAS/PBS (D)

A/P not C/F-Operating Categories (D)

(D)

(D)

(D)

ADJUSTED BEGINNING TRIAL BALANCE: (E)

UNRESERVED FUND BALANCE, SCHEDULE IC (Line I) (F)

DIFFERENCE: (G)*

***SHOULD EQUAL ZERO.**

SCHEDULE 1A: DETAIL OF FEES AND RELATED PROGRAM COSTS

Department: Health **Budget Period:** 2013-2014
Program: 64200800 Statewide Health Support Services
Fund: 2531 Planning & Eval TF
Specific Authority: FS 381.0202 (3)
Purpose of Fees Collected: Support laboratory services provided
J5A00/9VA00

Type of Fee or Program: (Check **ONE** Box and answer questions as indicated.)

| | |
|-------------------------------------|---|
| <input type="checkbox"/> | Regulatory services or oversight to businesses or professions. (Complete Sections I, II, and III and attach Examination of Regulatory Fees Form - Part I and II.) |
| <input checked="" type="checkbox"/> | Non-regulatory fees authorized to cover full cost of conducting a specific program or service. (Complete Sections I, II, and III only.) |

| <u>SECTION I - FEE COLLECTION</u> | ACTUAL FY 2011-2012 | ESTIMATED FY 2012-2013 | REQUEST FY 2013-2014 |
|---|--------------------------------|-----------------------------------|---------------------------------|
| <u>Receipts:</u> | | | |
| <u>Contract, CHDs, & Lab billings</u> | 4,805,590 | 4,901,702 | 4,489,736 |
| <u>Medicaid, Medicare & 3rd Party</u> | 2,666,054 | 2,706,045 | 2,733,106 |
| <u>Other Grants</u> | 22,500 | 100,000 | 125,000 |
| <u>Miscellaneous</u> | 261,349 | 175,000 | 200,000 |
| Total Fee Collection to Line (A) - Section III | 7,755,493 | 7,882,747 | 7,547,842 |

| <u>SECTION II - FULL COSTS</u> | | | |
|---|------------------|------------------|------------------|
| <u>Direct Costs:</u> | | | |
| <u>Salaries and Benefits</u> | 2,169,342 | 2,392,433 | 2,175,000 |
| <u>Other Personal Services</u> | 53,560 | 62,961 | 65,000 |
| <u>Expenses</u> | 5,191,664 | 5,258,849 | 5,200,000 |
| <u>Operating Capital Outlay</u> | 9,343 | 112,250 | 100,000 |
| <u>Contractual Services</u> | 1,503,701 | 1,289,159 | 1,250,000 |
| <u>Other - includes Risk Mgt</u> | 151,654 | 128,512 | 130,000 |
| <u>Indirect Costs Charged to Trust Fund</u> | (264,831) | (275,000) | (275,000) |
| Total Full Costs to Line (B) - Section III | 8,814,433 | 8,969,164 | 8,645,000 |

Basis Used: Indirect costs transferred to Q1000 and LJWCP; administrative salaries based on FTE and operating costs based on square footage

| <u>SECTION III - SUMMARY</u> | | | | |
|-------------------------------------|-----|--------------------|--------------------|--------------------|
| TOTAL SECTION I | (A) | 7,755,493 | 7,882,747 | 7,547,842 |
| TOTAL SECTION II | (B) | 8,814,433 | 8,969,164 | 8,645,000 |
| TOTAL - Surplus/Deficit | (C) | (1,058,940) | (1,086,417) | (1,097,158) |

EXPLANATION of LINE C:

deficit will be offset by surplus in other accounts and existng cash reserves

SCHEDULE 1A: DETAIL OF FEES AND RELATED PROGRAM COSTS

Department: Health **Budget Period:** 2013-2014
Program: 64200800 Statewide Health Support Services
Fund: 2531 Planning & Eval TF

Specific Authority: FS 403.0625, FS 403.863 & FS 403.8635
Purpose of Fees Collected: Certification of Labs that perform either analyses of environmental samples or water samples (Florida Safe Drinking Water Act) LJWCP

Type of Fee or Program: (Check **ONE** Box and answer questions as indicated.)

| | |
|-------------------------------------|---|
| <input checked="" type="checkbox"/> | Regulatory services or oversight to businesses or professions. (Complete Sections I, II, and III and attach Examination of Regulatory Fees Form - Part I and II.) |
| <input type="checkbox"/> | Non-regulatory fees authorized to cover full cost of conducting a specific program or service. (Complete Sections I, II, and III only.) |

| <u>SECTION I - FEE COLLECTION</u> | ACTUAL FY 2011-2012 | ESTIMATED FY 2012-2013 | REQUEST FY 2013-2014 |
|---|--------------------------------|-----------------------------------|---------------------------------|
| <u>Receipts:</u> | | | |
| <u>License renewals, applications, and certifications</u> | 1,166,870 | 1,150,000 | 1,175,000 |
| <u>Other</u> | 16,137 | 10,000 | 15,000 |
| Total Fee Collection to Line (A) - Section III | 1,183,007 | 1,160,000 | 1,190,000 |

| <u>SECTION II - FULL COSTS</u> | | | |
|---|----------------|----------------|----------------|
| <u>Direct Costs:</u> | | | |
| Salaries and Benefits | 707,209 | 701,507 | 710,000 |
| Other Personal Services | | | |
| Expenses | 89,145 | 92,150 | 95,000 |
| Operating Capital Outlay | | | |
| <u>Contractual Services</u> | 27,263 | 75,000 | 30,000 |
| Indirect Costs Charged to Trust Fund | 101,094 | 102,500 | 105,000 |
| Total Full Costs to Line (B) - Section III | 924,711 | 971,157 | 940,000 |

Basis Used: Administrative overhead allocated by FTE
Operating costs allocated by square footage

| <u>SECTION III - SUMMARY</u> | | | | |
|-------------------------------------|-----|----------------|----------------|----------------|
| TOTAL SECTION I | (A) | 1,183,007 | 1,160,000 | 1,190,000 |
| TOTAL SECTION II | (B) | 924,711 | 971,157 | 940,000 |
| TOTAL - Surplus/Deficit | (C) | 258,296 | 188,843 | 250,000 |

EXPLANATION of LINE C:
Existing surplus cash will be used as a resource for programs that do not collect enough revenue to cover the expenditures in the programs.

SCHEDULE 1A: DETAIL OF FEES AND RELATED PROGRAM COSTS

Department: Health **Budget Period: 2013-2014**
Program: 64200800 Statewide Health Support Services
Fund: 2531 Planning & Eval TF
Specific Authority: FS 383.14
Purpose of Fees Collected: Provide Laboratory Screening for metabolic disorders, other hereditary and congenital disorders for newborns. 1000 1TAH

Type of Fee or Program: (Check **ONE** Box and answer questions as indicated.)

| | |
|-------------------------------------|---|
| <input type="checkbox"/> | Regulatory services or oversight to businesses or professions. (Complete Sections I, II, and III and attach Examination of Regulatory Fees Form - Part I and II.) |
| <input checked="" type="checkbox"/> | Non-regulatory fees authorized to cover full cost of conducting a specific program or service. (Complete Sections I, II, and III only.) |

| SECTION I - FEE COLLECTION | ACTUAL | ESTIMATED | REQUEST |
|---|-----------------------|-----------------------|-----------------------|
| | FY 2011 - 2012 | FY 2012 - 2013 | FY 2013 - 2014 |
| <u>Receipts:</u> | | | |
| Fee for live births hospitals birth center | 3,204,415 | 3,157,605 | 3,173,393 |
| Medicaid Federal | 6,213,905 | 7,138,139 | 7,577,607 |
| Medicaid State attach 1 | 4,883,148 | 5,260,921 | 5,469,237 |
| Other third party includes medicare | 2,439,475 | 3,201,422 | 3,378,055 |
| Total Fee Collection to Line (A) - Section III | 16,740,943 | 18,758,087 | 19,598,292 |

| SECTION II - FULL COSTS | | | |
|---|-------------------|-------------------|-------------------|
| <u>Direct Costs:</u> | | | |
| Salaries and Benefits | 1,363,231 | 1,376,946 | 1,410,125 |
| Other Personal Services | | | |
| Expenses | 5,835,675 | 6,193,655 | 6,123,933 |
| Operating Capital Outlay | 3,255 | | |
| Contractual | 1,951,045 | 2,963,163 | 3,487,955 |
| C/S transfer | 1,273,906 | 1,638,385 | 1,658,385 |
| C transfer | 4,842,726 | 5,260,921 | 5,469,237 |
| Outsource | 7,340 | 13,528 | 13,528 |
| Service Charge | 253,038 | 230,505 | 231,658 |
| Indirect Costs Charged to Trust Fund | 345,780 | 386,000 | 380,000 |
| Total Full Costs to Line (B) - Section III | 15,875,996 | 18,063,103 | 18,774,821 |

Basis Used: Administrative indirect costs allocated by FTE and operating costs by square footage

| SECTION III - SUMMARY | | | |
|--------------------------------|-----|----------------|----------------|
| TOTAL SECTION I | (A) | 16,740,943 | 18,758,087 |
| TOTAL SECTION II | (B) | 15,875,996 | 18,774,821 |
| TOTAL - Surplus/Deficit | (C) | 864,947 | 823,471 |

EXPLANATION of LINE C:
 surplus to cover deficit in other account

SCHEDULE 1A: DETAIL OF FEES AND RELATED PROGRAM COSTS

Department: 64 Health **Budget Period:** 2013-2014
Program: 64200800 Statewide Health Support Services
Fund: 2531 Planning & Eval TF
 Vital Statistics Cooperative Program AC000
Specific Authority: Chapter 382, Florida Statutes
Purpose of Fees Collected: Annual contract for providing Florida vital record data to the National Center for Health Statistics

Type of Fee or Program: (Check ONE Box and answer questions as indicated.)

| | |
|-------------------------------------|--|
| <input type="checkbox"/> | Regulatory services or oversight to businesses or professions (Complete Sections I, II, and III and attach Examination of Regulatory Fees Form - Part I and II.) |
| <input checked="" type="checkbox"/> | Non-regulatory fees authorized to cover full cost of conducting a specific program or service. (Complete Sections I, II, and III only.) |

SECTION I - FEE COLLECTION

| | ACTUAL FY 2011-12 | ESTIMATED FY 2012-13 | REQUEST FY 2013-14 |
|---|------------------------------|---------------------------------|-------------------------------|
| <u>Receipts:</u> | | | |
| Vital Statistics Cooperative Program | 268,179 | 716,816 | 769,704 |
| _____ | | | |
| _____ | | | |
| _____ | | | |
| Total Fee Collection to Line (A) - Section III | 268,179 | 716,816 | 769,704 |

SECTION II - FULL COSTS

| | | | |
|---|----------------|----------------|----------------|
| <u>Direct Costs:</u> | | | |
| Salaries and Benefits | 312,892 | 316,021 | 319,181 |
| Other Personal Services | | | |
| Expenses | 130 | - | - |
| Operating Capital Outlay | | - | - |
| <u>Service Charge to General Revenue</u> | | - | - |
| _____ | | | |
| Indirect Costs Charged to Trust Fund | | | |
| Total Full Costs to Line (B) - Section III | 313,022 | 316,021 | 319,181 |

Basis Used: Revenue Object Code Report and Schedule of Allotment Balances
as of June 30, 2012

SECTION III - SUMMARY

| | | | | |
|--------------------------------|-----|-----------------|----------------|----------------|
| TOTAL SECTION I | (A) | 268,179 | 716,816 | 769,704 |
| TOTAL SECTION II | (B) | 313,022 | 316,021 | 319,181 |
| TOTAL - Surplus/Deficit | (C) | (44,843) | 400,795 | 450,523 |

EXPLANATION of LINE C:

SCHEDULE 1A: DETAIL OF FEES AND RELATED PROGRAM COSTS

Department: Health 64 **Budget Period:** 2013-2014
Program: Statewide Health Support Services 64200800
Fund: Planning & Evaluation Trust Fund 531003
Vital Statistics Certified Records JV000
Specific Authority: Chapter 382, Florida Statutes
Purpose of Fees Collected: Fees for certified copies of Florida vital records; processing amendments, corrections, adoptions, paternity, etc.and filing of marriage and dissolution of marriage.

Type of Fee or Program: (Check **ONE** Box and answer questions as indicated.)

| | |
|-------------------------------------|--|
| <input type="checkbox"/> | Regulatory services or oversight to businesses or professions (Complete Sections I, II, and III and attach Examination of Regulatory Fees Form - Part I and II.) |
| <input checked="" type="checkbox"/> | Non-regulatory fees authorized to cover full cost of conducting a specific program or service. (Complete Sections I, II, and III only.) |

| <u>SECTION I - FEE COLLECTION</u> | ACTUAL | ESTIMATED | REQUEST |
|---|-------------------|-------------------|-------------------|
| | FY 2011-12 | FY 2012-13 | FY 2013-14 |
| <u>Receipts:</u> | | | |
| <u>Vital Statistics Certification Fees</u> | 3,881,193 | 3,978,223 | 4,077,679 |
| <u>Marriage License Filing Fees</u> | 672,172 | 678,894 | 685,683 |
| <u>Dissolution of Marriage Filing Fees</u> | 433,819 | 438,157 | 438,157 |
| | | | |
| Total Fee Collection to Line (A) - Section III | 4,987,184 | 5,095,274 | 5,201,519 |

| <u>SECTION II - FULL COSTS</u> | | | |
|---|------------------|------------------|------------------|
| <u>Direct Costs:</u> | | | |
| <u>Salaries and Benefits</u> | 4,245,993 | 4,267,223 | 4,288,559 |
| <u>Other Personal Services</u> | 296,559 | 298,042 | 299,532 |
| <u>Expenses</u> | 1,410,152 | 1,445,405 | 1,452,632 |
| <u>Operating Capital Outlay</u> | 7,476 | 22,000 | 22,000 |
| <u>Service Charge to General Revenue</u> | 392,094 | 403,857 | 409,915 |
| <u>Transfers to DMS</u> | | | |
| <u>Refund State Revenues</u> | | | |
| | | | |
| <u>Indirect Costs Charged to Trust Fund</u> | | | |
| Total Full Costs to Line (B) - Section III | 6,352,274 | 6,436,527 | 6,472,638 |

Basis Used: _____

| <u>SECTION III - SUMMARY</u> | | | | |
|-------------------------------------|-----|--------------------|--------------------|--------------------|
| TOTAL SECTION I | (A) | 4,987,184 | 5,095,274 | 5,201,519 |
| TOTAL SECTION II | (B) | 6,352,274 | 6,436,527 | 6,472,638 |
| TOTAL - Surplus/Deficit | (C) | (1,365,090) | (1,341,253) | (1,271,119) |

EXPLANATION of LINE C:
Deficits will be funded by surpluses in other OCA's.

SCHEDULE 1A: DETAIL OF FEES AND RELATED PROGRAM COSTS

Department: Health 64 **Budget Period:** 2013-2014
Program: Statewide Health Support Services 64200800
Fund: Planning & Evaluation Trust Fund 531003
Child Support Administration KZ000
Specific Authority: Chapter 382, Florida Statutes
Purpose of Fees Collected: Reimbursement by the Department of Revenue of expenditures for processing and filing Child Support Enforcement paternity actions

Type of Fee or Program: (Check **ONE** Box and answer questions as indicated.)

| | |
|-------------------------------------|--|
| <input type="checkbox"/> | Regulatory services or oversight to businesses or professions (Complete Sections I, II, and III and attach Examination of Regulatory Fees Form - Part I and II .) |
| <input checked="" type="checkbox"/> | Non-regulatory fees authorized to cover full cost of conducting a specific program or service. (Complete Sections I, II, and III only.) |

| <u>SECTION I - FEE COLLECTION</u> | ACTUAL FY 2011-12 | ESTIMATED FY 2012-13 | REQUEST FY 2013-14 |
|---|------------------------------|---------------------------------|-------------------------------|
| <u>Receipts:</u> | | | |
| Department of Revenue Reimbursements | 204,956 | 210,080 | 213,231 |
| _____ | | | |
| _____ | | | |
| _____ | | | |
| Total Fee Collection to Line (A) - Section III | 204,956 | 210,080 | 213,231 |

| <u>SECTION II - FULL COSTS</u> | | | |
|---|----------------|----------------|----------------|
| <u>Direct Costs:</u> | | | |
| Salaries and Benefits | 124,925 | 124,925 | 126,174 |
| Other Personal Services | 68,438 | 69,293 | 69,122 |
| Expenses | 3,361 | 3,394 | 3,428 |
| Operating Capital Outlay | | | |
| Transfers to DMS | - | | |
| _____ | | | |
| Indirect Costs Charged to Trust Fund | | | |
| Total Full Costs to Line (B) - Section III | 196,724 | 197,612 | 198,724 |

Basis Used: Revenue Object Code Report and Schedule of Allotment Balances as of June 30, 2011

| <u>SECTION III - SUMMARY</u> | | | | |
|-------------------------------------|-----|--------------|---------------|---------------|
| TOTAL SECTION I | (A) | 204,956 | 210,080 | 213,231 |
| TOTAL SECTION II | (B) | 196,724 | 197,612 | 198,724 |
| TOTAL - Surplus/Deficit | (C) | 8,232 | 12,468 | 14,507 |

EXPLANATION of LINE C:
Deficits will be funded by surpluses in other OCA's.

SCHEDULE 1A: DETAIL OF FEES AND RELATED PROGRAM COSTS

Department: Health 64 **Budget Period:** 2013-2014
Program: Statewide Health Support Services 64200800
Fund: Planning & Evaluation Trust Fund 531003
 Vital Statistics Billing LZ000
Specific Authority: Chapter 382, Florida Statutes
Purpose of Fees Collected: Fees for conducting special studies and providing Florida vital record data as requested by individuals and organizations.

Type of Fee or Program: (Check **ONE** Box and answer questions as indicated.)

| | |
|---|--|
| | Regulatory services or oversight to businesses or professions (Complete Sections I, II, and III and attach Examination of Regulatory Fees Form - Part I and II.) |
| X | Non-regulatory fees authorized to cover full cost of conducting a specific program or service. (Complete Sections I, II, and III only.) |

| <u>SECTION I - FEE COLLECTION</u> | ACTUAL FY 2011-12 | ESTIMATED FY 2012-13 | REQUEST FY 2013-14 |
|---|------------------------------|---------------------------------|-------------------------------|
| <u>Receipts:</u> | | | |
| Vital Statistics Special Study Fees | 65,531 | 66,514 | 67,512 |
| _____ | | | |
| _____ | | | |
| _____ | | | |
| Total Fee Collection to Line (A) - Section III | 65,531 | 66,514 | 67,512 |

| <u>SECTION II - FULL COSTS</u> | | | |
|---|--------------|--------------|----------|
| <u>Direct Costs:</u> | | | |
| Salaries and Benefits | | | |
| Other Personal Services | | | |
| Expenses | | | |
| Operating Capital Outlay | | | |
| <u>Service Charge to General Revenue</u> | 5,654 | 5,739 | |
| _____ | | | |
| Indirect Costs Charged to Trust Fund | | | |
| Total Full Costs to Line (B) - Section III | 5,654 | 5,739 | - |

Basis Used: _____

| <u>SECTION III - SUMMARY</u> | | | | |
|-------------------------------------|------------|---------------|---------------|---------------|
| TOTAL SECTION I | (A) | 65,531 | 66,514 | 67,512 |
| TOTAL SECTION II | (B) | 5,654 | 5,739 | - |
| TOTAL - Surplus/Deficit | (C) | 59,877 | 60,775 | 67,512 |

EXPLANATION of LINE C:

SCHEDULE 1A: DETAIL OF FEES AND RELATED PROGRAM COSTS

Department: Health 64 **Budget Period:** 2013-2014
Program: Statewide Health Support Services 64200800
Fund: Planning & Evaluation Trust Fund 531003
Vital Statistics - Collection of Birth Records 32J00
Specific Authority: Chapter 382, Florida Statutes
Purpose of Fees Collected: Annual contract for providing Florida birth record data to the Social Security Administration.

Type of Fee or Program: (Check **ONE** Box and answer questions as indicated.)

| | |
|-------------------------------------|--|
| <input type="checkbox"/> | Regulatory services or oversight to businesses or professions (Complete Sections I, II, and III and attach Examination of Regulatory Fees Form - Part I and II .) |
| <input checked="" type="checkbox"/> | Non-regulatory fees authorized to cover full cost of conducting a specific program or service. (Complete Sections I, II, and III only.) |

| <u>SECTION I - FEE COLLECTION</u> | ACTUAL FY 2011-12 | ESTIMATED FY 2012-13 | REQUEST FY 2013-14 |
|---|------------------------------|---------------------------------|-------------------------------|
| <u>Receipts:</u> | | | |
| Social Security Administration Birth | 519,511 | 535,000 | 545,700 |
| _____ | | | |
| _____ | | | |
| _____ | | | |
| Total Fee Collection to Line (A) - Section III | 519,511 | 535,000 | 545,700 |

| <u>SECTION II - FULL COSTS</u> | | | |
|---|----------------|----------------|----------------|
| <u>Direct Costs:</u> | | | |
| Salaries and Benefits | 519,072 | 524,263 | 529,506 |
| Other Personal Services | - | - | - |
| Expenses | 189 | - | - |
| Operating Capital Outlay | | | |
| Transfers to DMS | | - | - |
| _____ | | | |
| Indirect Costs Charged to Trust Fund | | | |
| Total Full Costs to Line (B) - Section III | 519,261 | 524,263 | 529,506 |

Basis Used: Revenue Object Code Report and Schedule of Allotment Balances as of June 30, 2012

| <u>SECTION III - SUMMARY</u> | | | | |
|-------------------------------------|-----|------------|---------------|---------------|
| TOTAL SECTION I | (A) | 519,511 | 535,000 | 545,700 |
| TOTAL SECTION II | (B) | 519,261 | 524,263 | 529,506 |
| TOTAL - Surplus/Deficit | (C) | 250 | 10,737 | 16,194 |

EXPLANATION of LINE C:
Deficits will be funded by surpluses in other OCAs.

SCHEDULE 1A: DETAIL OF FEES AND RELATED PROGRAM COSTS

Department: Health 64 **Budget Period:** 2013-2014
Program: Statewide Health Support Services 64200800
Fund: Planning & Evaluation Trust Fund 531003
 Vital Statistics - CPSC Agreement 32K00
Specific Authority: Chapter 382, Florida Statutes
Purpose of Fees Collected: Annual contract for providing Florida death record data to the U.S.
 Consumer Product Safety Commission.

Type of Fee or Program: (Check **ONE** Box and answer questions as indicated.)

| | |
|-------------------------------------|---|
| <input type="checkbox"/> | Regulatory services or oversight to businesses or professions (Complete Sections I, II, and III and attach Examination of Regulatory Fees Form - Part I and II) |
| <input checked="" type="checkbox"/> | Non-regulatory fees authorized to cover full cost of conducting a specific program or service. (Complete Sections I, II, and III only.) |

SECTION I - FEE COLLECTION

| | ACTUAL FY 2011-12 | ESTIMATED FY 2012-13 | REQUEST FY 2013-14 |
|---|------------------------------|---------------------------------|-------------------------------|
| Receipts: | | | |
| ConsumerProduct Safety Commission Deat | 14,559 | 14,850 | 14,999 |
| _____ | | | |
| _____ | | | |
| _____ | | | |
| Total Fee Collection to Line (A) - Section III | 14,559 | 14,850 | 14,999 |

SECTION II - FULL COSTS

| | | | |
|---|----------|----------|----------|
| Direct Costs: | | | |
| Salaries and Benefits | | | |
| Other Personal Services | | | |
| Expenses | | | |
| Operating Capital Outlay | | | |
| _____ | | | |
| _____ | | | |
| Indirect Costs Charged to Trust Fund | | | |
| Total Full Costs to Line (B) - Section III | - | - | - |

Basis Used: Revenue Object Code Report and Schedule of Allotment Balances
 as of June 30, 2012

SECTION III - SUMMARY

| | | | | |
|--------------------------------|-----|---------------|---------------|---------------|
| TOTAL SECTION I | (A) | 14,559 | 14,850 | 14,999 |
| TOTAL SECTION II | (B) | - | - | - |
| TOTAL - Surplus/Deficit | (C) | 14,559 | 14,850 | 14,999 |

EXPLANATION of LINE C:

SCHEDULE 1A: DETAIL OF FEES AND RELATED PROGRAM COSTS

Department: Health 64 **Budget Period: 2013-2014**
Program: Statewide Health Support Services 64200800
Fund: Planning & Evaluation Trust Fund 531003
 Vital - Death Record Collection 32L00
Specific Authority: Chapter 382, Florida Statutes
Purpose of Fees Collected: Annual contract for providing Florida death record data to the Social Security Administration

Type of Fee or Program: (Check **ONE** Box and answer questions as indicated.)

| | |
|-------------------------------------|--|
| <input type="checkbox"/> | Regulatory services or oversight to businesses or professions (Complete Sections I, II, and III and attach Examination of Regulatory Fees Form - Part I and II.) |
| <input checked="" type="checkbox"/> | Non-regulatory fees authorized to cover full cost of conducting a specific program or service. (Complete Sections I, II, and III only.) |

| <u>SECTION I - FEE COLLECTION</u> | ACTUAL FY 2011-12 | ESTIMATED FY 2012-13 | REQUEST FY 2013-14 |
|---|------------------------------|---------------------------------|-------------------------------|
| <u>Receipts:</u> | | | |
| Social Security Administration Death | 140,441 | 213,867 | 226,699 |
| _____ | | | |
| _____ | | | |
| _____ | | | |
| Total Fee Collection to Line (A) - Section III | 140,441 | 213,867 | 226,699 |

| <u>SECTION II - FULL COSTS</u> | | | |
|---|----------------|----------------|----------------|
| <u>Direct Costs:</u> | | | |
| Salaries and Benefits | | | |
| Other Personal Services | 138,885 | 141,663 | 144,496 |
| Expenses | | | |
| Operating Capital Outlay | | | |
| _____ | | | |
| _____ | | | |
| Indirect Costs Charged to Trust Fund | | | |
| Total Full Costs to Line (B) - Section III | 138,885 | 141,663 | 144,496 |

Basis Used: _____

| <u>SECTION III - SUMMARY</u> | | | | |
|-------------------------------------|-----|--------------|---------------|---------------|
| TOTAL SECTION I | (A) | 140,441 | 213,867 | 226,699 |
| TOTAL SECTION II | (B) | 138,885 | 141,663 | 144,496 |
| TOTAL - Surplus/Deficit | (C) | 1,556 | 72,204 | 82,203 |

EXPLANATION of LINE C:

SCHEDULE 1A: DETAIL OF FEES AND RELATED PROGRAM COSTS

Department: Health 64 **Budget Period:** 2013-2014
Program: Statewide Health Support Services 64200800
Fund: Planning & Evaluation Trust Fund 531003
Vital Statistics - NDI Contracts 32M00
Specific Authority: Chapter 382, Florida Statutes
Purpose of Fees Collected: Annual contract for providing Florida death record data to the National Center for Health Statistics

Type of Fee or Program: (Check ONE Box and answer questions as indicated.)

| | |
|-------------------------------------|--|
| <input type="checkbox"/> | Regulatory services or oversight to businesses or professions (Complete Sections I, II, and III and attach Examination of Regulatory Fees Form - Part I and II.) |
| <input checked="" type="checkbox"/> | Non-regulatory fees authorized to cover full cost of conducting a specific program or service. (Complete Sections I, II, and III only.) |

| <u>SECTION I - FEE COLLECTION</u> | ACTUAL FY 2011-12 | ESTIMATED FY 2012-13 | REQUEST FY 2013-14 |
|---|------------------------------|---------------------------------|-------------------------------|
| <u>Receipts:</u> | | | |
| National Death Index | 82,054 | 242,572 | 133,401 |
| _____ | | | |
| _____ | | | |
| _____ | | | |
| Total Fee Collection to Line (A) - Section III | 82,054 | 242,572 | 133,401 |

| <u>SECTION II - FULL COSTS</u> | | | |
|---|----------|----------|----------|
| <u>Direct Costs:</u> | | | |
| Salaries and Benefits | - | | |
| Other Personal Services | - | | |
| Expenses | | - | - |
| Operating Capital Outlay | | | |
| Service Charge to General Revenue | | | |
| _____ | | | |
| Indirect Costs Charged to Trust Fund | | | |
| Total Full Costs to Line (B) - Section III | - | - | - |

Basis Used: Revenue Object Code Report and Schedule of Allotment Balances as of June 30, 2011

| <u>SECTION III - SUMMARY</u> | | | | |
|-------------------------------------|-----|---------------|----------------|----------------|
| TOTAL SECTION I | (A) | 82,054 | 242,572 | 133,401 |
| TOTAL SECTION II | (B) | - | - | - |
| TOTAL - Surplus/Deficit | (C) | 82,054 | 242,572 | 133,401 |

EXPLANATION of LINE C:

SCHEDULE 1A: DETAIL OF FEES AND RELATED PROGRAM COSTS

Department: 64 Health **Budget Period:** 2013-2014
Program: 64200800 Statewide Health Support Services
Fund: 2531 Planning & Evaluation Trust Fund
 Vital Statistics - Marriage license Display Fee 6UM00
Specific Authority: Chapter 382, Florida Statutes
Purpose of Fees Collected: Fee for certified copy of commemorative marriage license.

Type of Fee or Program: (Check **ONE** Box and answer questions as indicated.)

| | |
|-------------------------------------|---|
| <input type="checkbox"/> | Regulatory services or oversight to businesses or professions (Complete Sections I, II, and III and attach Examination of Regulatory Fees Form - Part I and II) |
| <input checked="" type="checkbox"/> | Non-regulatory fees authorized to cover full cost of conducting a specific program or service. (Complete Sections I, II, and III only.) |

| <u>SECTION I - FEE COLLECTION</u> | ACTUAL FY 2011-12 | ESTIMATED FY 2012-13 | REQUEST FY 2013-14 |
|---|------------------------------|---------------------------------|-------------------------------|
| <u>Receipts:</u> | | | |
| Marriage license Display Fee | 3,725 | 3,762 | 3,800 |
| _____ | | | |
| _____ | | | |
| _____ | | | |
| Total Fee Collection to Line (A) - Section III | 3,725 | 3,762 | 3,800 |

| <u>SECTION II - FULL COSTS</u> | | | |
|---|------------|------------|------------|
| <u>Direct Costs:</u> | | | |
| Salaries and Benefits | | | |
| Other Personal Services | | | |
| Expenses | | | |
| Operating Capital Outlay | | | |
| Service Charge to General Revenue | 270 | 278 | 286 |
| _____ | | | |
| Indirect Costs Charged to Trust Fund | - | | |
| Total Full Costs to Line (B) - Section III | 270 | 278 | 286 |

Basis Used: _____

| <u>SECTION III - SUMMARY</u> | | | |
|-------------------------------------|-----|--------------|--------------|
| TOTAL SECTION I | (A) | 3,725 | 3,800 |
| TOTAL SECTION II | (B) | 270 | 286 |
| TOTAL - Surplus/Deficit | (C) | 3,455 | 3,514 |

EXPLANATION of LINE C:

SCHEDULE 1A: DETAIL OF FEES AND RELATED PROGRAM COSTS

Department: Health 64 **Budget Period:** 2013-2014
Program: Statewide Health Support Services 64200800
Fund: Planning & Evaluation Trust Fund 531003
\$2 Birth Certificate Surcharge Fee 7Z000
Specific Authority: Chapter 382, Florida Statutes
Purpose of Fees Collected: \$2 surcharge for each request for a certification of a Florida birth record.

Type of Fee or Program: (Check **ONE** Box and answer questions as indicated.)

| | |
|-------------------------------------|--|
| <input type="checkbox"/> | Regulatory services or oversight to businesses or professions (Complete Sections I, II, and III and attach Examination of Regulatory Fees Form - Part I and II.) |
| <input checked="" type="checkbox"/> | Non-regulatory fees authorized to cover full cost of conducting a specific program or service. (Complete Sections I, II, and III only.) |

| <u>SECTION I - FEE COLLECTION</u> | <u>ACTUAL FY 2011-12</u> | <u>ESTIMATED FY 2012-13</u> | <u>REQUEST FY 2013-14</u> |
|---|------------------------------|---------------------------------|-------------------------------|
| <u>Receipts:</u> | | | |
| <u>\$2 Birth Certificate Surcharge</u> | 1,300,248 | 1,332,754 | 1,366,073 |
| _____ | | | |
| _____ | | | |
| _____ | | | |
| Total Fee Collection to Line (A) - Section III | 1,300,248 | 1,332,754 | 1,366,073 |

| <u>SECTION II - FULL COSTS</u> | | | |
|---|----------------|----------------|----------------|
| <u>Direct Costs:</u> | | | |
| Salaries and Benefits | 145,368 | 145,368 | 145,368 |
| Other Personal Services | | - | - |
| Expenses | | - | - |
| Operating Capital Outlay | | | |
| <u>Service Charge to General Revenue</u> | 105,790 | 107,906 | 110,064 |
| <u>Transfers to DMS</u> | | | |
| Indirect Costs Charged to Trust Fund | 21,078 | | |
| Total Full Costs to Line (B) - Section III | 272,236 | 253,274 | 255,432 |

Basis Used: _____

| <u>SECTION III - SUMMARY</u> | | | |
|--------------------------------|-----|------------------|------------------|
| TOTAL SECTION I | (A) | 1,300,248 | 1,332,754 |
| TOTAL SECTION II | (B) | 272,236 | 255,432 |
| TOTAL - Surplus/Deficit | (C) | 1,028,012 | 1,079,480 |

EXPLANATION of LINE C:

0 0

SCHEDULE 1A: DETAIL OF FEES AND RELATED PROGRAM COSTS

Department: Health 64 **Budget Period:** 2013-2014
Program: Statewide Health Support Services 64200800
Fund: Planning & Evaluation Trust Fund 531003
\$1.50 Child Welfare Certificate Surcharge Fee X9000
Specific Authority: Chapter 382, Florida Statutes
Purpose of Fees Collected: \$1.50 surcharge for each request for a certification of a Florida birth record

Type of Fee or Program: (Check **ONE** Box and answer questions as indicated.)

| | |
|-------------------------------------|--|
| <input type="checkbox"/> | Regulatory services or oversight to businesses or professions (Complete Sections I, II, and III and attach |
| <input checked="" type="checkbox"/> | Non-regulatory fees authorized to cover full cost of conducting a specific program or service. (Complete |

| <u>SECTION I - FEE COLLECTION</u> | ACTUAL FY 2011-12 | ESTIMATED FY 2012-13 | REQUEST FY 2013-14 |
|---|------------------------------|---------------------------------|-------------------------------|
| <u>Receipts:</u> | | | |
| <u>\$1.50 Child Welfare Certificate Surcharge</u> | 193,871 | | |
| _____ | | | |
| _____ | | | |
| _____ | | | |
| Total Fee Collection to Line (A) - Section III | 193,871 | - | - |

| <u>SECTION II - FULL COSTS</u> | | | |
|---|---------------|----------|----------|
| <u>Direct Costs:</u> | | | |
| Salaries and Benefits | - | | |
| Other Personal Services | | - | - |
| Expenses | - | - | - |
| Operating Capital Outlay | | | |
| <u>Service Charge to General Revenue</u> | 79,477 | | |
| <u>Transfers to DMS</u> | | | |
| Indirect Costs Charged to Trust Fund | | | |
| Total Full Costs to Line (B) - Section III | 79,477 | - | - |

Basis Used: _____

| <u>SECTION III - SUMMARY</u> | | | |
|-------------------------------------|-----|----------------|----------|
| TOTAL SECTION I | (A) | 193,871 | - |
| TOTAL SECTION II | (B) | 79,477 | - |
| TOTAL - Surplus/Deficit | (C) | 114,394 | - |

EXPLANATION of LINE C:

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

| | |
|-----------------------------|-----------------------------------|
| Department Title: | Budget Period: 2013 - 2014 |
| Trust Fund Title: | Department of Health |
| Budget Entity: | Planning & Evaluation Trust Fund |
| LAS/PBS Fund Number: | 64200800 |
| | 2531 |

| | Balance as of 6/30/2012 | | SWFS* Adjustments | Adjusted Balance |
|---|----------------------------|-----|----------------------|------------------------|
| Chief Financial Officer's (CFO) Cash Balance | 7,535,676.52 | (A) | | 7,535,676.52 |
| ADD: Other Cash (See Instructions) | 518.09 | (B) | | 518.09 |
| ADD: Investments | | (C) | | 0.00 |
| ADD: Outstanding Accounts Receivable | 1,084,531.26 | (D) | 30.00 | 1,084,561.26 |
| ADD: _____ | | (E) | | 0.00 |
| Total Cash plus Accounts Receivable | 8,620,725.87 | (F) | 30.00 | 8,620,755.87 |
| LESS Allowances for Uncollectibles | | (G) | | 0.00 |
| LESS Approved "A" Certified Forwards | (660,454.37) | (H) | (355,829.45) | (1,016,283.82) |
| Approved "B" Certified Forwards | (133,672.05) | (H) | | (133,672.05) |
| Approved "FCO" Certified Forwards | (2,603,921.93) | (H) | | (2,603,921.93) |
| LESS: Other Accounts Payable (Nonoperating) | (222,657.08) | (I) | | (222,657.08) |
| LESS: _____ | | (J) | | 0.00 |
| Unreserved Fund Balance, 07/01/12 | 5,000,020.44 | (K) | (355,799.45) | 4,644,220.99 ** |

Notes:

*SWFS = Statewide Financial Statement

** This amount should agree with Line I, Section IV of the Schedule I for the most recent completed fiscal year and Line A for the following year.

RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC

Budget Period: 2013 - 2014

| | |
|-----------------------------|----------------------------------|
| Department Title: | Department of Health |
| Trust Fund Title: | Planning & Evaluation Trust Fund |
| LAS/PBS Fund Number: | 2531/64200800 |

BEGINNING TRIAL BALANCE:

Total Fund Balance Per FLAIR Trial Balance, 07/01/12

Total all GLC's 5XXXX for governmental funds; 7,771,664.94 (A)
GLC 539XX for proprietary and fiduciary funds

Subtract Nonspendable Fund Balance (GLC 56XXX) (83,459.84) (B)

Add/Subtract Statewide Financial Statement (SWFS) Adjustments :

SWFS Adjustment #B64000010 Record Accounts Payable (355,829.45) (C)

SWFS Adjustment #B64000010 Record Accounts Receivable 30.00 (C)

Add/Subtract Other Adjustment(s):

Approved "B" Carry Forward (Encumbrances) per LAS/PBS (133,672.05) (D)

Approved "C" Carry Forward Total (FCO) per LAS/PBS (2,603,921.93) (D)

A/P not C/F-Operating Categories 49,409.32 (D)

(D)

(D)

(D)

ADJUSTED BEGINNING TRIAL BALANCE: 4,644,220.99 (E)

UNRESERVED FUND BALANCE, SCHEDULE IC (Line I) 4,644,220.99 (F)

DIFFERENCE: 0.00 (G)*

***SHOULD EQUAL ZERO.**

SCHEDULE IX: MAJOR AUDIT FINDINGS AND RECOMMENDATIONS

Budget Period: 2013 - 2014

Department: Health

Chief Internal Auditor: Michael J. Bennett

Budget Entity: 64200800

Phone Number: (850) 245-4444 ext. 2150

| (1) | (2) | (3) | (4) | (5) | (6) |
|---------------|---------------|---|---|------------------------------------|------------|
| REPORT NUMBER | PERIOD ENDING | UNIT/AREA | SUMMARY OF FINDINGS AND RECOMMENDATIONS | SUMMARY OF CORRECTIVE ACTION TAKEN | ISSUE CODE |
| 2012-142 | June 30, 2012 | Division of Emergency Preparedness and Community Response | FDOH did not always maintain appropriate records to support salary and benefit payments charged to the Program for contract employees. <i>Bureau of Preparedness and Response (BPR) will modify its processes for identifying contracted employees required to complete the payroll certifications, its process of collecting the certifications in a timely manner, and develop a tool to review the accuracy of the submitted certifications.</i> | Completed. | |
| 2012-142 | June 30, 2012 | Division of Emergency Preparedness and Community Response | FDOH did not always maintain appropriate records to support salary and benefits charged to the Pubic Health Emergency Preparedness (PHEP) Program. Additionally, adjusting and data entry errors resulted in incorrect charges to the PHEP Program. <i>We recommend that FDOH ensure that payroll certifications are properly prepared and maintained and that time and effort records adequately support salary charges to the Program. We also recommend that FDOH take steps to ensure that time sheet and adjusting entries are correctly made.</i> | Completed. | |

Office of Policy and Budget - July 2012

**DEPARTMENT OF HEALTH
CHILDREN'S MEDICAL SERVICES EXHIBITS AND SCHEDULES**

**DEPARTMENT OF HEALTH
CHILDREN'S MEDICAL SERVICES SCHEDULE I SERIES**

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

| | |
|-----------------------------|-----------------------------------|
| Department Title: | Budget Period: 2013 - 2014 |
| Trust Fund Title: | Department of Health |
| Budget Entity: | Tobacco Settlement Trust Fund |
| LAS/PBS Fund Number: | 64300100 |
| | 2122 |

| | Balance as of 6/30/2012 | | SWFS* Adjustments | Adjusted Balance |
|---|----------------------------|-----|----------------------|---------------------|
| Chief Financial Officer's (CFO) Cash Balance | 1,413,633.86 | (A) | | 1,413,633.86 |
| ADD: Other Cash (See Instructions) | | (B) | | 0.00 |
| ADD: Investments | | (C) | | 0.00 |
| ADD: Outstanding Accounts Receivable | 12,366.11 | (D) | | 12,366.11 |
| ADD: _____ | | (E) | | 0.00 |
| Total Cash plus Accounts Receivable | 1,425,999.97 | (F) | 0.00 | 1,425,999.97 |
| LESS Allowances for Uncollectibles | | (G) | | 0.00 |
| LESS Approved "A" Certified Forwards | (1,201,794.55) | (H) | | (1,201,794.55) |
| Approved "B" Certified Forwards | (14,068.97) | (H) | | (14,068.97) |
| Approved "FCO" Certified Forwards | | (H) | | 0.00 |
| LESS: Other Accounts Payable (Nonoperating) | | (I) | | 0.00 |
| LESS: Transfer to 2122 64400200 | (210,136.45) | (J) | | (210,136.45) |
| Unreserved Fund Balance, 07/01/12 | 0.00 | (K) | 0.00 | 0.00 ** |

Notes:

*SWFS = Statewide Financial Statement

** This amount should agree with Line I, Section IV of the Schedule I for the most recent completed fiscal year and Line A for the following year.

RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC

Budget Period: 2013 - 2014

| | |
|-----------------------------|-------------------------------|
| Department Title: | Department of Health |
| Trust Fund Title: | Tobacco Settlement Trust Fund |
| LAS/PBS Fund Number: | 2122/64300100 |

BEGINNING TRIAL BALANCE:

Total Fund Balance Per FLAIR Trial Balance, 07/01/12

| | | |
|--|---|-----|
| Total all GLC's 5XXXX for governmental funds; GLC 539XX for proprietary and fiduciary funds | <input type="text" value="224,133.42"/> | (A) |
|--|---|-----|

| | | |
|---|----------------------|-----|
| Subtract Nonspendable Fund Balance (GLC 56XXX) | <input type="text"/> | (B) |
|---|----------------------|-----|

Add/Subtract Statewide Financial Statement (SWFS) Adjustments :

| | | |
|-----------------------------------|----------------------|-----|
| SWFS Adjustment # and Description | <input type="text"/> | (C) |
|-----------------------------------|----------------------|-----|

| | | |
|-----------------------------------|----------------------|-----|
| SWFS Adjustment # and Description | <input type="text"/> | (C) |
|-----------------------------------|----------------------|-----|

Add/Subtract Other Adjustment(s):

| | | |
|---|--|-----|
| Approved "B" Carry Forward (Encumbrances) per LAS/PBS | <input type="text" value="(14,068.97)"/> | (D) |
|---|--|-----|

| | | |
|--|----------------------|-----|
| Approved "C" Carry Forward Total (FCO) per LAS/PBS | <input type="text"/> | (D) |
|--|----------------------|-----|

| | | |
|----------------------------------|------------------------------------|-----|
| A/P not C/F-Operating Categories | <input type="text" value="72.00"/> | (D) |
|----------------------------------|------------------------------------|-----|

| | | |
|---------------------------|---|-----|
| Transfer to 2122 64400200 | <input type="text" value="(210,136.45)"/> | (D) |
|---------------------------|---|-----|

| | |
|----------------------|-----|
| <input type="text"/> | (D) |
|----------------------|-----|

| | |
|----------------------|-----|
| <input type="text"/> | (D) |
|----------------------|-----|

| | | |
|--|-----------------------------------|-----|
| ADJUSTED BEGINNING TRIAL BALANCE: | <input type="text" value="0.00"/> | (E) |
|--|-----------------------------------|-----|

| | | |
|--|-----------------------------------|-----|
| UNRESERVED FUND BALANCE, SCHEDULE IC (Line I) | <input type="text" value="0.00"/> | (F) |
|--|-----------------------------------|-----|

| | | |
|--------------------|-----------------------------------|------|
| DIFFERENCE: | <input type="text" value="0.00"/> | (G)* |
|--------------------|-----------------------------------|------|

***SHOULD EQUAL ZERO.**

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

| | |
|-----------------------------|-----------------------------------|
| Department Title: | Budget Period: 2013 - 2014 |
| Trust Fund Title: | Department of Health |
| Budget Entity: | Donations Trust Fund |
| LAS/PBS Fund Number: | 64300100 |
| | 2168 |

| | Balance as of 6/30/2012 | | SWFS* Adjustments | Adjusted Balance |
|---|----------------------------|-----|----------------------|-------------------------|
| Chief Financial Officer's (CFO) Cash Balance | 21,291,409.16 | (A) | | 21,291,409.16 |
| ADD: Other Cash (See Instructions) | 640.45 | (B) | | 640.45 |
| ADD: Investments | | (C) | 179,127.48 | 179,127.48 |
| ADD: Outstanding Accounts Receivable | 5,765,185.59 | (D) | | 5,765,185.59 |
| ADD: _____ | | (E) | | 0.00 |
| Total Cash plus Accounts Receivable | 27,057,235.20 | (F) | 179,127.48 | 27,236,362.68 |
| LESS Allowances for Uncollectibles | | (G) | | 0.00 |
| LESS Approved "A" Certified Forwards | (14,546,562.44) | (H) | | (14,546,562.44) |
| Approved "B" Certified Forwards | (313,122.49) | (H) | | (313,122.49) |
| Approved "FCO" Certified Forwards | | (H) | | 0.00 |
| LESS: Other Accounts Payable (Nonoperating) | (191.52) | (I) | | (191.52) |
| LESS: Post A/P CF LASPBS Adjustment | | (J) | | 0.00 |
| Unreserved Fund Balance, 07/01/12 | 12,197,358.75 | (K) | 179,127.48 | 12,376,486.23 ** |

Notes:

*SWFS = Statewide Financial Statement

** This amount should agree with Line I, Section IV of the Schedule I for the most recent completed fiscal year and Line A for the following year.

RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC

Budget Period: 2013 - 2014

| | |
|-----------------------------|----------------------|
| Department Title: | Department of Health |
| Trust Fund Title: | Donations Trust Fund |
| LAS/PBS Fund Number: | 2168/64300100 |

BEGINNING TRIAL BALANCE:

Total Fund Balance Per FLAIR Trial Balance, 07/01/12

| | | |
|--|---------------------|-----|
| Total all GLC's 5XXXX for governmental funds; GLC 539XX for proprietary and fiduciary funds | 1,361,500.21 | (A) |
|--|---------------------|-----|

| | | |
|---|--|-----|
| Subtract Nonspendable Fund Balance (GLC 56XXX) | | (B) |
|---|--|-----|

Add/Subtract Statewide Financial Statement (SWFS) Adjustments :

| | | |
|---|------------|-----|
| SWFS Adjustment #B6400012 Special Investments | 179,127.48 | (C) |
|---|------------|-----|

| | | |
|-----------------------------------|--|-----|
| SWFS Adjustment # and Description | | (C) |
|-----------------------------------|--|-----|

Add/Subtract Other Adjustment(s):

| | | |
|---|--------------|-----|
| Approved "B" Carry Forward (Encumbrances) per LAS/PBS | (313,122.49) | (D) |
|---|--------------|-----|

| | | |
|--|--|-----|
| Approved "C" Carry Forward Total (FCO) per LAS/PBS | | (D) |
|--|--|-----|

| | | |
|----------------------------------|---------------|-----|
| A/P not C/F-Operating Categories | 11,153,607.19 | (D) |
|----------------------------------|---------------|-----|

| | | |
|--|------------|-----|
| LASPBS Post closing CF A/P Adjustments | (4,626.16) | (D) |
|--|------------|-----|

| | | |
|--|--|-----|
| | | (D) |
|--|--|-----|

| | | |
|--|--|-----|
| | | (D) |
|--|--|-----|

| | | |
|--|----------------------|-----|
| ADJUSTED BEGINNING TRIAL BALANCE: | 12,376,486.23 | (E) |
|--|----------------------|-----|

| | | |
|--|----------------------|-----|
| UNRESERVED FUND BALANCE, SCHEDULE IC (Line I) | 12,376,486.23 | (F) |
|--|----------------------|-----|

| | | |
|--------------------|-------------|------|
| DIFFERENCE: | 0.00 | (G)* |
|--------------------|-------------|------|

***SHOULD EQUAL ZERO.**

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

| | |
|-----------------------------|-----------------------------------|
| Department Title: | Budget Period: 2013 - 2014 |
| Trust Fund Title: | Department of Health |
| Budget Entity: | Federal Grant Trust Fund |
| LAS/PBS Fund Number: | 64300100 |
| | 2261 |

| | Balance as of 6/30/2012 | | SWFS* Adjustments | Adjusted Balance |
|---|----------------------------|-----|----------------------|------------------------|
| Chief Financial Officer's (CFO) Cash Balance | 821,424.58 | (A) | | 821,424.58 |
| ADD: Other Cash (See Instructions) | | (B) | | 0.00 |
| ADD: Investments | | (C) | | 0.00 |
| ADD: Outstanding Accounts Receivable | 1,993,917.21 | (D) | | 1,993,917.21 |
| ADD: _____ | | (E) | | 0.00 |
| Total Cash plus Accounts Receivable | 2,815,341.79 | (F) | 0.00 | 2,815,341.79 |
| LESS Allowances for Uncollectibles | | (G) | | 0.00 |
| LESS Approved "A" Certified Forwards | (1,713,194.74) | (H) | | (1,713,194.74) |
| Approved "B" Certified Forwards | (43,149.26) | (H) | | (43,149.26) |
| Approved "FCO" Certified Forwards | | (H) | | 0.00 |
| LESS: Other Accounts Payable (Nonoperating) | | (I) | | 0.00 |
| LESS: _____ | | (J) | | 0.00 |
| Unreserved Fund Balance, 07/01/12 | 1,058,997.79 | (K) | | 1,058,997.79 ** |

Notes:

*SWFS = Statewide Financial Statement

** This amount should agree with Line I, Section IV of the Schedule I for the most recent completed fiscal year and Line A for the following year.

RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC

Budget Period: 2013 - 2014

| | |
|-----------------------------|--------------------------|
| Department Title: | Department of Health |
| Trust Fund Title: | Federal Grant Trust Fund |
| LAS/PBS Fund Number: | 2261/64300100 |

BEGINNING TRIAL BALANCE:

Total Fund Balance Per FLAIR Trial Balance, 07/01/12

| | | |
|--|---------------------|-----|
| Total all GLC's 5XXXX for governmental funds; GLC 539XX for proprietary and fiduciary funds | 1,089,779.77 | (A) |
|--|---------------------|-----|

| | | |
|---|--|-----|
| Subtract Nonspendable Fund Balance (GLC 56XXX) | | (B) |
|---|--|-----|

Add/Subtract Statewide Financial Statement (SWFS) Adjustments :

| | | |
|-----------------|--|-----|
| SWFS Adjustment | | (C) |
|-----------------|--|-----|

| | | |
|-----------------|--|-----|
| SWFS Adjustment | | (C) |
|-----------------|--|-----|

Add/Subtract Other Adjustment(s):

| | | |
|---|-------------|-----|
| Approved "B" Carry Forward (Encumbrances) per LAS/PBS | (43,149.26) | (D) |
|---|-------------|-----|

| | | |
|--|--|-----|
| Approved "C" Carry Forward Total (FCO) per LAS/PBS | | (D) |
|--|--|-----|

| | | |
|----------------------------------|-----------|-----|
| A/P not C/F-Operating Categories | 12,367.28 | (D) |
|----------------------------------|-----------|-----|

| | | |
|------------------------------------|--|-----|
| A/P Encumbrance/Payable Adjustment | | (D) |
|------------------------------------|--|-----|

| | | |
|--|--|-----|
| | | (D) |
|--|--|-----|

| | | |
|--|--|-----|
| | | (D) |
|--|--|-----|

| | | |
|--|---------------------|-----|
| ADJUSTED BEGINNING TRIAL BALANCE: | 1,058,997.79 | (E) |
|--|---------------------|-----|

| | | |
|--|---------------------|-----|
| UNRESERVED FUND BALANCE, SCHEDULE IC (Line I) | 1,058,997.79 | (F) |
|--|---------------------|-----|

| | | |
|--------------------|-------------|------|
| DIFFERENCE: | 0.00 | (G)* |
|--------------------|-------------|------|

***SHOULD EQUAL ZERO.**

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

| | |
|-----------------------------|-----------------------------------|
| Department Title: | Budget Period: 2013 - 2014 |
| Trust Fund Title: | Department of Health |
| Budget Entity: | Welfare Transition Trust Fund |
| LAS/PBS Fund Number: | 64300100 |
| | 2401 |

| | Balance as of 6/30/2012 | | SWFS* Adjustments | Adjusted Balance |
|---|----------------------------|-----|----------------------|---------------------|
| Chief Financial Officer's (CFO) Cash Balance | 0.00 | (A) | | 0.00 |
| ADD: Other Cash (See Instructions) | | (B) | | 0.00 |
| ADD: Investments | | (C) | | 0.00 |
| ADD: Outstanding Accounts Receivable | | (D) | | 0.00 |
| ADD: _____ | | (E) | | 0.00 |
| Total Cash plus Accounts Receivable | 0.00 | (F) | 0.00 | 0.00 |
| LESS Allowances for Uncollectibles | | (G) | | 0.00 |
| LESS Approved "A" Certified Forwards | 0.00 | (H) | | 0.00 |
| Approved "B" Certified Forwards | | (H) | | 0.00 |
| Approved "FCO" Certified Forwards | | (H) | | 0.00 |
| LESS: Other Accounts Payable (Nonoperating) | 0.00 | (I) | | 0.00 |
| LESS: _____ | | (J) | | 0.00 |
| Unreserved Fund Balance, 07/01/12 | 0.00 | (K) | 0.00 | 0.00 ** |

Notes:

*SWFS = Statewide Financial Statement

** This amount should agree with Line I, Section IV of the Schedule I for the most recent completed fiscal year and Line A for the following year.

RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC

Budget Period: 2013 - 2014

Department Title: Department of Health
Trust Fund Title: Welfare Transition Trust Fund
LAS/PBS Fund Number: 2401/64300100

BEGINNING TRIAL BALANCE:

Total Fund Balance Per FLAIR Trial Balance, 07/01/12

Total all GLC's 5XXXX for governmental funds; (A)
GLC 539XX for proprietary and fiduciary funds

Subtract Nonspendable Fund Balance (GLC 56XXX) (B)

Add/Subtract Statewide Financial Statement (SWFS) Adjustments :

SWFS Adjustment # and Description (C)

SWFS Adjustment # and Description (C)

Add/Subtract Other Adjustment(s):

Approved "B" Carry Forward (Encumbrances) per LAS/PBS (D)

Approved "C" Carry Forward Total (FCO) per LAS/PBS (D)

A/P not C/F-Operating Categories (D)

(D)

(D)

(D)

ADJUSTED BEGINNING TRIAL BALANCE: (E)

UNRESERVED FUND BALANCE, SCHEDULE IC (Line I) (F)

DIFFERENCE: (G)*

***SHOULD EQUAL ZERO.**

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

| | |
|-----------------------------|---|
| Department Title: | Budget Period: 2013 - 2014 |
| Trust Fund Title: | Department of Health |
| Budget Entity: | Maternal & Children Health Block Grant Trust Fund |
| LAS/PBS Fund Number: | 64300100 |
| | 2475 |

| | Balance as of 6/30/2012 | | SWFS* Adjustments | Adjusted Balance |
|---|----------------------------|-----|----------------------|----------------------|
| Chief Financial Officer's (CFO) Cash Balance | 650,142.18 | (A) | | 650,142.18 |
| ADD: Other Cash (See Instructions) | | (B) | | 0.00 |
| ADD: Investments | | (C) | | 0.00 |
| ADD: Outstanding Accounts Receivable | 698,902.02 | (D) | | 698,902.02 |
| ADD: _____ | | (E) | | 0.00 |
| Total Cash plus Accounts Receivable | 1,349,044.20 | (F) | 0.00 | 1,349,044.20 |
| LESS Allowances for Uncollectibles | | (G) | | 0.00 |
| LESS Approved "A" Certified Forwards | (824,907.11) | (H) | | (824,907.11) |
| Approved "B" Certified Forwards | | (H) | | 0.00 |
| Approved "FCO" Certified Forwards | | (H) | | 0.00 |
| LESS: Other Accounts Payable (Nonoperating) | 0.00 | (I) | | 0.00 |
| LESS: TNFR to 2475 64300100 | (374,341.61) | (J) | | (374,341.61) |
| Unreserved Fund Balance, 07/01/12 | 149,795.48 | (K) | 0.00 | 149,795.48 ** |

Notes:

*SWFS = Statewide Financial Statement

** This amount should agree with Line I, Section IV of the Schedule I for the most recent completed fiscal year and Line A for the following year.

RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC

Budget Period: 2013 - 2014

| | |
|-----------------------------|---|
| Department Title: | Department of Health |
| Trust Fund Title: | Maternal & Children Health Block Grant Trust Fund |
| LAS/PBS Fund Number: | 2475/64300100 |

BEGINNING TRIAL BALANCE:

Total Fund Balance Per FLAIR Trial Balance, 07/01/12

| | | |
|--|-------------------|-----|
| Total all GLC's 5XXXX for governmental funds; GLC 539XX for proprietary and fiduciary funds | 524,133.46 | (A) |
|--|-------------------|-----|

| | | |
|---|--|-----|
| Subtract Nonspendable Fund Balance (GLC 56XXX) | | (B) |
|---|--|-----|

Add/Subtract Statewide Financial Statement (SWFS) Adjustments :

| | | |
|-----------------------------------|--|-----|
| SWFS Adjustment # and Description | | (C) |
|-----------------------------------|--|-----|

| | | |
|-----------------------------------|--|-----|
| SWFS Adjustment # and Description | | (C) |
|-----------------------------------|--|-----|

Add/Subtract Other Adjustment(s):

| | | |
|---|--|-----|
| Approved "B" Carry Forward (Encumbrances) per LAS/PBS | | (D) |
|---|--|-----|

| | | |
|--|--|-----|
| Approved "C" Carry Forward Total (FCO) per LAS/PBS | | (D) |
|--|--|-----|

| | | |
|----------------------------------|------|-----|
| A/P not C/F-Operating Categories | 3.63 | (D) |
|----------------------------------|------|-----|

| | | |
|-----------------------|--------------|-----|
| TNFR to 2475 64300100 | (374,341.61) | (D) |
|-----------------------|--------------|-----|

| | | |
|--|--|-----|
| | | (D) |
|--|--|-----|

| | | |
|--|--|-----|
| | | (D) |
|--|--|-----|

| | | |
|--|-------------------|-----|
| ADJUSTED BEGINNING TRIAL BALANCE: | 149,795.48 | (E) |
|--|-------------------|-----|

| | | |
|--|-------------------|-----|
| UNRESERVED FUND BALANCE, SCHEDULE IC (Line I) | 149,795.48 | (F) |
|--|-------------------|-----|

| | | |
|--------------------|-------------|------|
| DIFFERENCE: | 0.00 | (G)* |
|--------------------|-------------|------|

***SHOULD EQUAL ZERO.**

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

| | |
|-----------------------------|--|
| Department Title: | Budget Period: 2013 - 2014 |
| Trust Fund Title: | Department of Health |
| Budget Entity: | Social Services Block Grant Trust Fund |
| LAS/PBS Fund Number: | 64300100 |
| | 2639 |

| | Balance as of 6/30/2012 | | SWFS* Adjustments | Adjusted Balance |
|---|----------------------------|-----|----------------------|----------------------|
| Chief Financial Officer's (CFO) Cash Balance | 1,617,074.63 | (A) | | 1,617,074.63 |
| ADD: Other Cash (See Instructions) | | (B) | | 0.00 |
| ADD: Investments | | (C) | | 0.00 |
| ADD: Outstanding Accounts Receivable | 36,901.00 | (D) | | 36,901.00 |
| ADD: _____ | | (E) | | 0.00 |
| Total Cash plus Accounts Receivable | 1,653,975.63 | (F) | 0.00 | 1,653,975.63 |
| LESS Allowances for Uncollectibles | | (G) | | 0.00 |
| LESS Approved "A" Certified Forwards | (1,288,538.51) | (H) | | (1,288,538.51) |
| Approved "B" Certified Forwards | (14,459.55) | (H) | | (14,459.55) |
| Approved "FCO" Certified Forwards | | (H) | | 0.00 |
| LESS: Other Accounts Payable (Nonoperating) | | (I) | | 0.00 |
| LESS: _____ | | (J) | | 0.00 |
| Unreserved Fund Balance, 07/01/12 | 350,977.57 | (K) | 0.00 | 350,977.57 ** |

Notes:

*SWFS = Statewide Financial Statement

** This amount should agree with Line I, Section IV of the Schedule I for the most recent completed fiscal year and Line A for the following year.

RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC

Budget Period: 2013 - 2014

| | |
|-----------------------------|--|
| Department Title: | Department of Health |
| Trust Fund Title: | Social Services Block Grant Trust Fund |
| LAS/PBS Fund Number: | 2639/64300100 |

BEGINNING TRIAL BALANCE:

Total Fund Balance Per FLAIR Trial Balance, 07/01/12

| | | |
|--|-------------------|-----|
| Total all GLC's 5XXXX for governmental funds; GLC 539XX for proprietary and fiduciary funds | 365,437.12 | (A) |
|--|-------------------|-----|

| | | |
|---|--|-----|
| Subtract Nonspendable Fund Balance (GLC 56XXX) | | (B) |
|---|--|-----|

Add/Subtract Statewide Financial Statement (SWFS) Adjustments :

| | | |
|-----------------------------------|--|-----|
| SWFS Adjustment # and Description | | (C) |
|-----------------------------------|--|-----|

| | | |
|-----------------------------------|--|-----|
| SWFS Adjustment # and Description | | (C) |
|-----------------------------------|--|-----|

Add/Subtract Other Adjustment(s):

| | | |
|---|-------------|-----|
| Approved "B" Carry Forward (Encumbrances) per LAS/PBS | (14,459.55) | (D) |
|---|-------------|-----|

| | | |
|--|--|-----|
| Approved "C" Carry Forward Total (FCO) per LAS/PBS | | (D) |
|--|--|-----|

| | | |
|----------------------------------|--|-----|
| A/P not C/F-Operating Categories | | (D) |
|----------------------------------|--|-----|

| | | |
|--|--|-----|
| | | (D) |
|--|--|-----|

| | | |
|--|--|-----|
| | | (D) |
|--|--|-----|

| | | |
|--|--|-----|
| | | (D) |
|--|--|-----|

| | | |
|--|-------------------|-----|
| ADJUSTED BEGINNING TRIAL BALANCE: | 350,977.57 | (E) |
|--|-------------------|-----|

| | | |
|--|-------------------|-----|
| UNRESERVED FUND BALANCE, SCHEDULE IC (Line I) | 350,977.57 | (F) |
|--|-------------------|-----|

| | | |
|--------------------|-------------|------|
| DIFFERENCE: | 0.00 | (G)* |
|--------------------|-------------|------|

***SHOULD EQUAL ZERO.**

SCHEDULE IX: MAJOR AUDIT FINDINGS AND RECOMMENDATIONS

Budget Period: 2013 - 2014

Department: Health

Chief Internal Auditor: Michael J. Bennett

Budget Entity: 64300100

Phone Number: (850) 245-4444 ext. 2150

| (1) | (2) | (3) | (4) | (5) | (6) |
|---------------|---------------|-----------------------------------|---|------------------------------------|------------|
| REPORT NUMBER | PERIOD ENDING | UNIT/AREA | SUMMARY OF FINDINGS AND RECOMMENDATIONS | SUMMARY OF CORRECTIVE ACTION TAKEN | ISSUE CODE |
| 2012-142 | June 30, 2012 | Children's Medical Services (CMS) | FDOH procedures for monitoring the reasonableness of Children's Health Insurance Program (CHIP) capitation rates were not sufficient to prevent the accumulation of a significant cash balance. Additionally, FDOH did not ensure that the time elapsing between the drawdown of funds by the Florida Agency for Health Care Administration (FACHA) and the disbursement of funds by FDOH was minimized. <i>We recommend that FDOH monitor capitation rates to determine whether reductions are needed to prevent the accumulation of excess CHIP funds. We also recommend that FDOH continue to monitor the cash balance in the CHIP capitation account and request reimbursement only to meet immediate cash needs.</i> | Completed. | |
| 2012-142 | June 30, 2012 | CMS | FDOH management had not implemented certain data modification controls for the Case Management Data System (CMDS). <i>FDOH contracted with a third-party administrator in July 2010 to take over all payment and data functions currently performed by CMDS; however, CMDS is not scheduled to be completely phased out until August 2012. We recommend FDOH CMS Headquarters further enhance its procedures to ensure that CMS Area Offices timely install CMDS updates until the third-party administrator assumes all CMDS payment and data functions.</i> | Completed. | |
| 2012-142 | June 30, 2012 | CMS | FDOH and University of Florida (UF) had not resolved issues related to the appropriateness of costs charged to Federal programs and the return of the excess funds to FDOH. <i>We recommend UF and FDOH continue to monitor the status of the Federal investigation and determine and return unallowable costs, as appropriate.</i> | Completed. | |

**DEPARTMENT OF HEALTH
MEDICAL QUALITY ASSURANCE SCHEDULE I SERIES**

**DEPARTMENT OF HEALTH
MEDICAL QUALITY ASSURANCE EXHIBITS AND SCHEDULES**

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

| | |
|-----------------------------|--------------------------------------|
| Department Title: | Budget Period: 2013 - 2014 |
| Trust Fund Title: | Department of Health |
| Budget Entity: | Drugs Devices & Cosmetics Trust Fund |
| LAS/PBS Fund Number: | 64400100 |
| | 2173 |

| | Balance as of 6/30/2012 | | SWFS* Adjustments | Adjusted Balance |
|---|----------------------------|-----|----------------------|---------------------|
| Chief Financial Officer's (CFO) Cash Balance | 0.00 | (A) | | 0.00 |
| ADD: Other Cash (See Instructions) | | (B) | | 0.00 |
| ADD: Investments | | (C) | | 0.00 |
| ADD: Outstanding Accounts Receivable | 0.00 | (D) | | 0.00 |
| ADD: _____ | 0.00 | (E) | | 0.00 |
| Total Cash plus Accounts Receivable | 0.00 | (F) | 0.00 | 0.00 |
| LESS Allowances for Uncollectibles | | (G) | | 0.00 |
| LESS Approved "A" Certified Forwards | (58.99) | (H) | | (58.99) |
| Approved "B" Certified Forwards | 0.00 | (H) | | 0.00 |
| Approved "FCO" Certified Forwards | | (H) | | 0.00 |
| LESS: Other Accounts Payable (Nonoperating) | 0.00 | (I) | | 0.00 |
| LESS: Post Closing CF Approved "B" Adjustment | 58.99 | (J) | | 58.99 |
| Unreserved Fund Balance, 07/01/12 | 0.00 | (K) | 0.00 | 0.00 ** |

Notes:

*SWFS = Statewide Financial Statement

** This amount should agree with Line I, Section IV of the Schedule I for the most recent completed fiscal year and Line A for the following year.

RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC

Budget Period: 2013 - 2014

Department Title: Department of Health
Trust Fund Title: Drugs Devices & Cosmetics Trust Fund
LAS/PBS Fund Number: 2173/64400100

BEGINNING TRIAL BALANCE:

Total Fund Balance Per FLAIR Trial Balance, 07/01/12

Total all GLC's 5XXXX for governmental funds; (A)
 GLC 539XX for proprietary and fiduciary funds

Subtract Nonspendable Fund Balance (GLC 56XXX) (B)

Add/Subtract Statewide Financial Statement (SWFS) Adjustments :

SWFS Adjustment # and Description (C)

SWFS Adjustment # and Description (C)

Add/Subtract Other Adjustment(s):

Approved "B" Carry Forward (Encumbrances) per LAS/PBS (D)

Approved "C" Carry Forward Total (FCO) per LAS/PBS (D)

A/P not C/F-Operating Categories (D)

Post Closing CF Approved "B" Adjustment (D)

(D)

(D)

ADJUSTED BEGINNING TRIAL BALANCE: (E)

UNRESERVED FUND BALANCE, SCHEDULE IC (Line I) (F)

DIFFERENCE: (G)*

***SHOULD EQUAL ZERO.**

SCHEDULE 1A: DETAIL OF FEES AND RELATED PROGRAM COSTS

Department: 64 Department of Health **Budget Period: 2013-14**
Program: 64400100 Regulation and Licensing
Fund: 2352 Medical Quality Assurance Trust Fund

Specific Authority: Chapter 456, F.S.
Purpose of Fees Collected: Regulate and enforce Health Care Practitioners.

Type of Fee or Program: (Check **ONE** Box and answer questions as indicated.)

| | |
|-------------------------------------|--|
| <input checked="" type="checkbox"/> | Regulatory services or oversight to businesses or professions (Complete Sections I, II, and III and attach Examination of Regulatory Fees Form - Part I and II.) |
| <input type="checkbox"/> | Non-regulatory fees authorized to cover full cost of conducting a specific program or service. (Complete Sections I, II, and III only.) |

SECTION I - FEE COLLECTION **ACTUAL** **ESTIMATED** **REQUEST**
 FY 2011-12 **FY 2012-13** **FY 2013-14**

Receipts:

| | | | |
|-------------------------------|------------|------------|------------|
| Fees and licensees | 76,447,529 | 62,562,303 | 75,593,331 |
| Fines, forfeitures, judgments | 3,926,079 | 3,439,955 | 3,439,957 |
| Unlicensed activity | 2,373,335 | 2,048,663 | 2,089,703 |
| Miscellaneous | 89,846 | 91,560 | 91,630 |

Total Fee Collection to Line (A) - Section III **82,836,789** **68,142,481** **81,214,621**

SECTION II - FULL COSTS

Direct Costs:

| | | | |
|--------------------------|------------|------------|------------|
| Salaries and Benefits | 27,049,792 | 27,204,484 | 27,664,573 |
| Other Personal Services | 4,232,386 | 4,706,433 | 4,881,603 |
| Expenses | 6,114,799 | 6,187,363 | 6,253,401 |
| Operating Capital Outlay | 56,009 | 75,955 | 46,140 |
| Special categories | 44,477,712 | 34,540,930 | 33,893,808 |
| | - | - | - |

Indirect Costs Charged to Trust Fund 2,203,652 2,552,873 2,647,890

Total Full Costs to Line (B) - Section III **84,134,349** **75,268,037** **75,387,414**

Basis Used: _____

SECTION III - SUMMARY

| | | | | |
|--------------------------------|-----|--------------------|--------------------|------------------|
| TOTAL SECTION I | (A) | 82,836,789 | 68,142,481 | 81,214,621 |
| TOTAL SECTION II | (B) | 84,134,349 | 75,268,037 | 75,387,414 |
| TOTAL - Surplus/Deficit | (C) | (1,297,560) | (7,125,556) | 5,827,207 |

EXPLANATION of LINE C:

SCHEDULE 1A: DETAIL OF FEES AND RELATED PROGRAM COSTS

Department: 64 Department of Health **Budget Period: 2013-14**
Program: 64400100 Regulation and Licensing
Fund: 2352 Medical Quality Assurance Trust Fund

Specific Authority: Chapter 456, F.S.
Purpose of Fees Collected: Regulate and enforce Health Care Practitioners.
 Acupuncture

Type of Fee or Program: (Check **ONE** Box and answer questions as indicated.)

| | |
|-------------------------------------|--|
| <input checked="" type="checkbox"/> | Regulatory services or oversight to businesses or professions (Complete Sections I, II, and III and attach Examination of Regulatory Fees Form - Part I and II.) |
| <input type="checkbox"/> | Non-regulatory fees authorized to cover full cost of conducting a specific program or service. (Complete Sections I, II, and III only.) |

| <u>SECTION I - FEE COLLECTION</u> | ACTUAL | ESTIMATED | REQUEST |
|---|-------------------|-------------------|-------------------|
| | FY 2011-12 | FY 2012-13 | FY 2013-14 |
| <u>Receipts:</u> | | | |
| Fees and licensees | 725,953 | 114,590 | 720,530 |
| Fines, forfeitures, judgments | 4,116 | 4,116 | 4,116 |
| Unlicensed activity | 10,745 | 840 | 9,590 |
| Miscellaneous | 240 | 240 | 310 |
| Total Fee Collection to Line (A) - Section III | 741,054 | 119,786 | 734,546 |

| <u>SECTION II - FULL COSTS</u> | ACTUAL | ESTIMATED | REQUEST |
|---|-------------------|-------------------|-------------------|
| | FY 2011-12 | FY 2012-13 | FY 2013-14 |
| <u>Direct Costs:</u> | | | |
| Salaries and Benefits | 114,562 | 114,711 | 127,255 |
| Other Personal Services | 10,167 | 19,845 | 22,455 |
| Expenses | 36,849 | 26,090 | 28,765 |
| Operating Capital Outlay | 215 | 320 | 212 |
| Special categories | 485,894 | 454,005 | 155,888 |
| | | | |
| Indirect Costs Charged to Trust Fund | 8,631 | 10,764 | 12,180 |
| Total Full Costs to Line (B) - Section III | 656,318 | 625,736 | 346,756 |

Basis Used: 8% of all projected costs under object: 11xxxx, 12xxxx, 15xxxx and 16xxxx.

| <u>SECTION III - SUMMARY</u> | | ACTUAL | ESTIMATED | REQUEST |
|-------------------------------------|------------|-------------------|-------------------|-------------------|
| | | FY 2011-12 | FY 2012-13 | FY 2013-14 |
| TOTAL SECTION I | (A) | 741,054 | 119,786 | 734,546 |
| TOTAL SECTION II | (B) | 656,318 | 625,736 | 346,756 |
| TOTAL - Surplus/Deficit | (C) | 84,736 | (505,950) | 387,790 |

EXPLANATION of LINE C:

At July 1, 2012, this profession has a beginning cash balance of \$844,829. The cash balance will cover the deficit.

SCHEDULE 1A: DETAIL OF FEES AND RELATED PROGRAM COSTS

Department: 64 Department of Health **Budget Period: 2013-14**
Program: 64400100 Regulation and Licensing
Fund: 2352 Medical Quality Assurance Trust Fund

Specific Authority: Chapter 456, F.S.
Purpose of Fees Collected: Regulate and enforce Health Care Practitioners.
 Anesthesiologist Assistants

Type of Fee or Program: (Check **ONE** Box and answer questions as indicated.)

| | |
|-------------------------------------|--|
| <input checked="" type="checkbox"/> | Regulatory services or oversight to businesses or professions (Complete Sections I, II, and III and attach Examination of Regulatory Fees Form - Part I and II.) |
| <input type="checkbox"/> | Non-regulatory fees authorized to cover full cost of conducting a specific program or service. (Complete Sections I, II, and III only.) |

| <u>SECTION I - FEE COLLECTION</u> | ACTUAL FY 2011-12 | ESTIMATED FY 2012-13 | REQUEST FY 2013-14 |
|---|------------------------------|---------------------------------|-------------------------------|
| <u>Receipts:</u> | | | |
| Fees and licensees | 22,863 | 77,185 | 22,863 |
| Fines, forfeitures, judgments | 2 | | 2 |
| Unlicensed activity | 5 | 560 | 5 |
| Miscellaneous | (7,383) | | |
| Total Fee Collection to Line (A) - Section III | 15,487 | 77,745 | 22,870 |

| <u>SECTION II - FULL COSTS</u> | ACTUAL FY 2011-12 | ESTIMATED FY 2012-13 | REQUEST FY 2013-14 |
|---|------------------------------|---------------------------------|-------------------------------|
| <u>Direct Costs:</u> | | | |
| Salaries and Benefits | 819 | 3,701 | 5,956 |
| Other Personal Services | 2,878 | 640 | 1,051 |
| Expenses | 306 | 842 | 1,346 |
| Operating Capital Outlay | 6 | 10 | 10 |
| Special categories | 9,419 | 3,293 | 7,223 |
| | | | |
| Indirect Costs Charged to Trust Fund | 233 | 347 | 570 |
| Total Full Costs to Line (B) - Section III | 13,661 | 8,834 | 16,155 |

Basis Used: 8% of all projected costs under object: 11xxxx, 12xxxx, 15xxxx and 16xxxx.

| <u>SECTION III - SUMMARY</u> | | | | |
|-------------------------------------|------------|--------------|---------------|--------------|
| TOTAL SECTION I | (A) | 15,487 | 77,745 | 22,870 |
| TOTAL SECTION II | (B) | 13,661 | 8,834 | 16,155 |
| TOTAL - Surplus/Deficit | (C) | 1,826 | 68,911 | 6,715 |

EXPLANATION of LINE C:

SCHEDULE 1A: DETAIL OF FEES AND RELATED PROGRAM COSTS

Department: 64 Department of Health **Budget Period: 2013-14**
Program: 64400100 Regulation and Licensing
Fund: 2352 Medical Quality Assurance Trust Fund

Specific Authority: Chapter 456, F.S.
Purpose of Fees Collected: Regulate and enforce Health Care Practitioners.
 Athletic Trainers

Type of Fee or Program: (Check **ONE** Box and answer questions as indicated.)

| | |
|-------------------------------------|--|
| <input checked="" type="checkbox"/> | Regulatory services or oversight to businesses or professions (Complete Sections I, II, and III and attach Examination of Regulatory Fees Form - Part I and II.) |
| <input type="checkbox"/> | Non-regulatory fees authorized to cover full cost of conducting a specific program or service. (Complete Sections I, II, and III only.) |

SECTION I - FEE COLLECTION

| | ACTUAL FY 2011-12 | ESTIMATED FY 2012-13 | REQUEST FY 2013-14 |
|---|------------------------------|---------------------------------|-------------------------------|
| <u>Receipts:</u> | | | |
| Fees and licensees | 67,545 | 289,400 | 80,135 |
| Fines, forfeitures, judgments | 959 | 5,933 | 5,933 |
| Unlicensed activity | 1,650 | 7,825 | 1,650 |
| Miscellaneous | 216 | 203 | 203 |
| Total Fee Collection to Line (A) - Section III | 70,370 | 303,361 | 87,921 |

SECTION II - FULL COSTS

| | | | |
|---|----------------|----------------|----------------|
| <u>Direct Costs:</u> | | | |
| Salaries and Benefits | 42,054 | 56,549 | 49,648 |
| Other Personal Services | 699 | 9,783 | 8,761 |
| Expenses | 14,157 | 12,861 | 11,223 |
| Operating Capital Outlay | 155 | 158 | 83 |
| Special categories | 116,843 | 141,296 | 60,227 |
| | | | |
| Indirect Costs Charged to Trust Fund | 6,298 | 5,307 | 4,752 |
| Total Full Costs to Line (B) - Section III | 180,207 | 225,953 | 134,692 |

Basis Used: 8% of all projected costs under object: 11xxxx, 12xxxx, 15xxxx and 16xxxx.

SECTION III - SUMMARY

| | | | | |
|--------------------------------|-----|------------------|---------------|-----------------|
| TOTAL SECTION I | (A) | 70,370 | 303,361 | 87,921 |
| TOTAL SECTION II | (B) | 180,207 | 225,953 | 134,692 |
| TOTAL - Surplus/Deficit | (C) | (109,837) | 77,408 | (46,771) |

EXPLANATION of LINE C:

At July 1, 2012, this profession has a beginning cash balance of \$125,922. The cash balance will cover the deficit.

SCHEDULE 1A: DETAIL OF FEES AND RELATED PROGRAM COSTS

Department: 64 Department of Health **Budget Period: 2013-14**
Program: 64400100 Regulation and Licensing
Fund: 2352 Medical Quality Assurance Trust Fund

Specific Authority: Chapter 456, F.S.
Purpose of Fees Collected: Regulate and enforce Health Care Practitioners.
 Certified Nursing Assistant

Type of Fee or Program: (Check **ONE** Box and answer questions as indicated.)

| | |
|-------------------------------------|--|
| <input checked="" type="checkbox"/> | Regulatory services or oversight to businesses or professions (Complete Sections I, II, and III and attach Examination of Regulatory Fees Form - Part I and II.) |
| <input type="checkbox"/> | Non-regulatory fees authorized to cover full cost of conducting a specific program or service. (Complete Sections I, II, and III only.) |

| SECTION I - FEE COLLECTION | ACTUAL | ESTIMATED | REQUEST |
|---|-------------------|-------------------|-------------------|
| | FY 2011-12 | FY 2012-13 | FY 2013-14 |
| Receipts: | | | |
| Fees and licensees | 4,939,547 | 4,540,816 | 4,540,816 |
| Fines, forfeitures, judgments | 57,221 | 57,221 | 57,221 |
| Unlicensed activity | 423,330 | 396,385 | 396,385 |
| Miscellaneous | 4,654 | 4,654 | 4,654 |
| Total Fee Collection to Line (A) - Section III | 5,424,752 | 4,999,076 | 4,999,076 |

| SECTION II - FULL COSTS | ACTUAL | ESTIMATED | REQUEST |
|---|-------------------|-------------------|-------------------|
| | FY 2011-12 | FY 2012-13 | FY 2013-14 |
| Direct Costs: | | | |
| Salaries and Benefits | 1,599,877 | 1,582,715 | 1,808,806 |
| Other Personal Services | 51,535 | 273,813 | 319,176 |
| Expenses | 397,037 | 359,971 | 408,869 |
| Operating Capital Outlay | 5,879 | 4,419 | 3,017 |
| Special categories | 2,252,945 | 1,414,777 | 2,200,245 |
| | | | |
| Indirect Costs Charged to Trust Fund | 235,364 | 148,522 | 173,128 |
| Total Full Costs to Line (B) - Section III | 4,542,638 | 3,784,218 | 4,913,240 |

Basis Used: 8% of all projected costs under object: 11xxxx, 12xxxx, 15xxxx and 16xxxx.

| SECTION III - SUMMARY | | ACTUAL | ESTIMATED | REQUEST |
|--------------------------------|------------|-------------------|-------------------|-------------------|
| | | FY 2011-12 | FY 2012-13 | FY 2013-14 |
| TOTAL SECTION I | (A) | 5,424,752 | 4,999,076 | 4,999,076 |
| TOTAL SECTION II | (B) | 4,542,638 | 3,784,218 | 4,913,240 |
| TOTAL - Surplus/Deficit | (C) | 882,114 | 1,214,858 | 85,836 |

EXPLANATION of LINE C:

MQATF receives additional Fed pass through revenues to support program. Additionally, 456.025(8), F.S. authorizes periodic transfer of cash balances from the Board of Nursing to cover incurred costs in the regulation of CNAs.

SCHEDULE 1A: DETAIL OF FEES AND RELATED PROGRAM COSTS

Department: 64 Department of Health **Budget Period: 2013-14**
Program: 64400100 Regulation and Licensing
Fund: 2352 Medical Quality Assurance Trust Fund

Specific Authority: Chapter 456, F.S.
Purpose of Fees Collected: Regulate and enforce Health Care Practitioners.
 Certified Social Workers

Type of Fee or Program: (Check **ONE** Box and answer questions as indicated.)

| | |
|-------------------------------------|--|
| <input checked="" type="checkbox"/> | Regulatory services or oversight to businesses or professions (Complete Sections I, II, and III and attach Examination of Regulatory Fees Form - Part I and II.) |
| <input type="checkbox"/> | Non-regulatory fees authorized to cover full cost of conducting a specific program or service. (Complete Sections I, II, and III only.) |

| <u>SECTION I - FEE COLLECTION</u> | ACTUAL | ESTIMATED | REQUEST |
|---|-------------------|-------------------|-------------------|
| | FY 2011-12 | FY 2012-13 | FY 2013-14 |
| <u>Receipts:</u> | | | |
| Fees and licensees | 25 | 475 | 25 |
| Fines, forfeitures, judgments | | | |
| Unlicensed activity | | 15 | |
| Miscellaneous | | 0 | |
| Total Fee Collection to Line (A) - Section III | 25 | 490 | 25 |

| <u>SECTION II - FULL COSTS</u> | | | |
|---|--------------|--------------|--------------|
| <u>Direct Costs:</u> | | | |
| Salaries and Benefits | 1,465 | 964 | 452 |
| Other Personal Services | 71 | 167 | 80 |
| Expenses | 379 | 219 | 102 |
| Operating Capital Outlay | 0 | 3 | 1 |
| Special categories | 743 | 891 | 582 |
| | | | |
| Indirect Costs Charged to Trust Fund | - | 90 | 43 |
| Total Full Costs to Line (B) - Section III | 2,657 | 2,334 | 1,260 |

Basis Used: 8% of all projected costs under object: 11xxxx, 12xxxx, 15xxxx and 16xxxx.

SECTION III - SUMMARY

| | | | | |
|--------------------------------|------------|----------------|----------------|----------------|
| TOTAL SECTION I | (A) | 25 | 490 | 25 |
| TOTAL SECTION II | (B) | 2,657 | 2,334 | 1,260 |
| TOTAL - Surplus/Deficit | (C) | (2,632) | (1,844) | (1,235) |

EXPLANATION of LINE C:

As of July 1, 2012, the profession's cash balance is (\$136,290). The number of licensees (3) are inadequate to cover the administrative costs of regulation.

SCHEDULE 1A: DETAIL OF FEES AND RELATED PROGRAM COSTS

Department: 64 Department of Health **Budget Period: 2013-14**
Program: 64400100 Regulation and Licensing
Fund: 2352 Medical Quality Assurance Trust Fund

Specific Authority: Chapter 456, F.S.
Purpose of Fees Collected: Regulate and enforce Health Care Practitioners.
 Chiropractic

Type of Fee or Program: (Check **ONE** Box and answer questions as indicated.)

| | |
|-------------------------------------|--|
| <input checked="" type="checkbox"/> | Regulatory services or oversight to businesses or professions (Complete Sections I, II, and III and attach Examination of Regulatory Fees Form - Part I and II.) |
| <input type="checkbox"/> | Non-regulatory fees authorized to cover full cost of conducting a specific program or service. (Complete Sections I, II, and III only.) |

| <u>SECTION I - FEE COLLECTION</u> | ACTUAL | ESTIMATED | REQUEST |
|---|-------------------|-------------------|-------------------|
| | FY 2011-12 | FY 2012-13 | FY 2013-14 |
| <u>Receipts:</u> | | | |
| Fees and licensees | 3,238,618 | 364,062 | 2,303,096 |
| Fines, forfeitures, judgments | 226,094 | 226,094 | 226,094 |
| Unlicensed activity | 42,468 | 9,090 | 28,300 |
| Miscellaneous | 7,379 | 4,111 | 4,111 |
| Total Fee Collection to Line (A) - Section III | 3,514,559 | 603,357 | 2,561,601 |

| <u>SECTION II - FULL COSTS</u> | | | |
|---|------------------|------------------|------------------|
| <u>Direct Costs:</u> | | | |
| Salaries and Benefits | 849,469 | 653,354 | 692,700 |
| Other Personal Services | 146,408 | 113,032 | 122,232 |
| Expenses | 169,516 | 148,598 | 156,580 |
| Operating Capital Outlay | 1,169 | 1,824 | 1,155 |
| Special categories | 1,445,497 | 981,029 | 847,442 |
| | | | |
| Indirect Costs Charged to Trust Fund | 46,420 | 61,311 | 66,301 |
| Total Full Costs to Line (B) - Section III | 2,658,478 | 1,959,148 | 1,886,410 |

Basis Used: 8% of all projected costs under object: 11xxxx, 12xxxx, 15xxxx and 16xxxx.

| <u>SECTION III - SUMMARY</u> | | | |
|-------------------------------------|-----|----------------|--------------------|
| TOTAL SECTION I | (A) | 3,514,559 | 603,357 |
| TOTAL SECTION II | (B) | 2,658,478 | 1,959,148 |
| TOTAL - Surplus/Deficit | (C) | 856,081 | (1,355,791) |

EXPLANATION of LINE C:

SCHEDULE 1A: DETAIL OF FEES AND RELATED PROGRAM COSTS

Department: 64 Department of Health **Budget Period: 2013-14**
Program: 64400100 Regulation and Licensing
Fund: 2352 Medical Quality Assurance Trust Fund

Specific Authority: Chapter 456, F.S.
Purpose of Fees Collected: Regulate and enforce Health Care Practitioners.
 Clinical Labs

Type of Fee or Program: (Check **ONE** Box and answer questions as indicated.)

| | |
|-------------------------------------|--|
| <input checked="" type="checkbox"/> | Regulatory services or oversight to businesses or professions (Complete Sections I, II, and III and attach Examination of Regulatory Fees Form - Part I and II.) |
| <input type="checkbox"/> | Non-regulatory fees authorized to cover full cost of conducting a specific program or service. (Complete Sections I, II, and III only.) |

| <u>SECTION I - FEE COLLECTION</u> | ACTUAL FY 2011-12 | ESTIMATED FY 2012-13 | REQUEST FY 2013-14 |
|---|------------------------------|---------------------------------|-------------------------------|
| <u>Receipts:</u> | | | |
| Fees and licensees | 557,007 | 1,145,277 | 557,007 |
| Fines, forfeitures, judgments | 28,829 | 27,874 | 27,874 |
| Unlicensed activity | 30,485 | 46,950 | 30,485 |
| Miscellaneous | 1,210 | 992 | 992 |
| Total Fee Collection to Line (A) - Section III | 617,531 | 1,221,093 | 616,358 |

| <u>SECTION II - FULL COSTS</u> | | | |
|---|------------------|----------------|----------------|
| <u>Direct Costs:</u> | | | |
| Salaries and Benefits | 342,860 | 340,343 | 283,917 |
| Other Personal Services | 11,323 | 58,880 | 50,099 |
| Expenses | 68,213 | 77,407 | 64,178 |
| Operating Capital Outlay | 753 | 950 | 474 |
| Special categories | 675,652 | 303,918 | 345,425 |
| | | | |
| Indirect Costs Charged to Trust Fund | 30,558 | 31,938 | 27,175 |
| Total Full Costs to Line (B) - Section III | 1,129,359 | 813,436 | 771,267 |

Basis Used: 8% of all projected costs under object: 11xxxx, 12xxxx, 15xxxx and 16xxxx.

| <u>SECTION III - SUMMARY</u> | | | | |
|-------------------------------------|-----|------------------|----------------|------------------|
| TOTAL SECTION I | (A) | 617,531 | 1,221,093 | 616,358 |
| TOTAL SECTION II | (B) | 1,129,359 | 813,436 | 771,267 |
| TOTAL - Surplus/Deficit | (C) | (511,828) | 407,657 | (154,909) |

EXPLANATION of LINE C:

At July 1, 2012, this profession has a beginning cash balance of \$312,427. The cash balance will cover the deficit.

SCHEDULE 1A: DETAIL OF FEES AND RELATED PROGRAM COSTS

Department: 64 Department of Health **Budget Period: 2013-14**
Program: 64400100 Regulation and Licensing
Fund: 2352 Medical Quality Assurance Trust Fund

Specific Authority: Chapter 456, F.S.
Purpose of Fees Collected: Regulate and enforce Health Care Practitioners.
 CSW/MFT/MHC

Type of Fee or Program: (Check **ONE** Box and answer questions as indicated.)

| | |
|-------------------------------------|--|
| <input checked="" type="checkbox"/> | Regulatory services or oversight to businesses or professions (Complete Sections I, II, and III and attach Examination of Regulatory Fees Form - Part I and II.) |
| <input type="checkbox"/> | Non-regulatory fees authorized to cover full cost of conducting a specific program or service. (Complete Sections I, II, and III only.) |

| | | | |
|--|-------------------|-------------------|-------------------|
| <u>SECTION I - FEE COLLECTION</u> | ACTUAL | ESTIMATED | REQUEST |
| | FY 2011-12 | FY 2012-13 | FY 2013-14 |

Receipts:

| | | | |
|---|----------------|------------------|----------------|
| Fees and licensees | 745,037 | 3,483,647 | 745,037 |
| Fines, forfeitures, judgments | 6,049 | 6,049 | 6,049 |
| Unlicensed activity | 10,037 | 116,088 | 10,037 |
| Miscellaneous | 2,566 | 2566 | 2566 |
| Total Fee Collection to Line (A) - Section III | 763,689 | 3,608,350 | 763,689 |

SECTION II - FULL COSTS

Direct Costs:

| | | | |
|---|------------------|------------------|------------------|
| Salaries and Benefits | 978,420 | 853,477 | 778,878 |
| Other Personal Services | 79,992 | 147,653 | 137,438 |
| Expenses | 173,515 | 194,114 | 176,061 |
| Operating Capital Outlay | 2,048 | 2,383 | 1,299 |
| Special categories | 1,298,936 | 970,740 | 958,700 |
| | | | |
| Indirect Costs Charged to Trust Fund | 82,342 | 80,090 | 74,550 |
| Total Full Costs to Line (B) - Section III | 2,615,254 | 2,248,457 | 2,126,926 |

Basis Used: 8% of all projected costs under object: 11xxxx, 12xxxx, 15xxxx and 16xxxx.

SECTION III - SUMMARY

| | | | | |
|--------------------------------|------------|--------------------|------------------|--------------------|
| TOTAL SECTION I | (A) | 763,689 | 3,608,350 | 763,689 |
| TOTAL SECTION II | (B) | 2,615,254 | 2,248,457 | 2,126,926 |
| TOTAL - Surplus/Deficit | (C) | (1,851,565) | 1,359,893 | (1,363,237) |

EXPLANATION of LINE C:

At July 1, 2012, this profession has a beginning cash balance of \$1,518,483. The cash balance will cover the deficit.

SCHEDULE 1A: DETAIL OF FEES AND RELATED PROGRAM COSTS

Department: 64 Department of Health **Budget Period: 2013-14**
Program: 64400100 Regulation and Licensing
Fund: 2352 Medical Quality Assurance Trust Fund

Specific Authority: Chapter 456, F.S.
Purpose of Fees Collected: Regulate and enforce Health Care Practitioners.
Dentistry

Type of Fee or Program: (Check **ONE** Box and answer questions as indicated.)

| | |
|-------------------------------------|--|
| <input checked="" type="checkbox"/> | Regulatory services or oversight to businesses or professions (Complete Sections I, II, and III and attach Examination of Regulatory Fees Form - Part I and II.) |
| <input type="checkbox"/> | Non-regulatory fees authorized to cover full cost of conducting a specific program or service. (Complete Sections I, II, and III only.) |

| <u>SECTION I - FEE COLLECTION</u> | ACTUAL | ESTIMATED | REQUEST |
|---|-------------------|-------------------|-------------------|
| | FY 2011-12 | FY 2012-13 | FY 2013-14 |
| <u>Receipts:</u> | | | |
| <u>Fees and licensees</u> | 4,147,387 | 421,282 | 4,009,422 |
| <u>Fines, forfeitures, judgments</u> | 290,117 | 290,117 | 290,117 |
| <u>Unlicensed activity</u> | 130,900 | 4,480 | 55,815 |
| <u>Miscellaneous</u> | 5,494 | 5,494 | 5,494 |
| Total Fee Collection to Line (A) - Section III | 4,573,898 | 721,373 | 4,360,848 |

| <u>SECTION II - FULL COSTS</u> | | | |
|---|------------------|------------------|------------------|
| <u>Direct Costs:</u> | | | |
| <u>Salaries and Benefits</u> | 1,528,768 | 1,317,852 | 1,364,811 |
| <u>Other Personal Services</u> | 260,484 | 227,991 | 240,830 |
| <u>Expenses</u> | 310,820 | 299,731 | 308,507 |
| <u>Operating Capital Outlay</u> | 2,512 | 3,679 | 2,276 |
| <u>Special categories</u> | 1,171,887 | 1,203,831 | 1,687,277 |
| <u>Indirect Costs Charged to Trust Fund</u> | 98,438 | 123,667 | 130,632 |
| Total Full Costs to Line (B) - Section III | 3,372,909 | 3,176,752 | 3,734,333 |

Basis Used: 8% of all projected costs under object: 11xxxx, 12xxxx, 15xxxx and 16xxxx.

| <u>SECTION III - SUMMARY</u> | | | |
|-------------------------------------|------------------|--------------------|----------------|
| TOTAL SECTION I (A) | 4,573,898 | 721,373 | 4,360,848 |
| TOTAL SECTION II (B) | 3,372,909 | 3,176,752 | 3,734,333 |
| TOTAL - Surplus/Deficit (C) | 1,200,989 | (2,455,379) | 626,515 |

EXPLANATION of LINE C:
As of July 1, 2012, the profession has a cash balance of \$613,413. This profession is being subsidized by professions having a surplus cash balance due to the licensure fee cap of \$300.

SCHEDULE 1A: DETAIL OF FEES AND RELATED PROGRAM COSTS

Department: 64 Department of Health **Budget Period: 2013-14**
Program: 64400100 Regulation and Licensing
Fund: 2352 Medical Quality Assurance Trust Fund

Specific Authority: Chapter 456, F.S.
Purpose of Fees Collected: Regulate and enforce Health Care Practitioners.
 Dental Hygienist

Type of Fee or Program: (Check **ONE** Box and answer questions as indicated.)

| | |
|-------------------------------------|--|
| <input checked="" type="checkbox"/> | Regulatory services or oversight to businesses or professions (Complete Sections I, II, and III and attach Examination of Regulatory Fees Form - Part I and II.) |
| <input type="checkbox"/> | Non-regulatory fees authorized to cover full cost of conducting a specific program or service. (Complete Sections I, II, and III only.) |

| | | | |
|--|-------------------|-------------------|-------------------|
| <u>SECTION I - FEE COLLECTION</u> | ACTUAL | ESTIMATED | REQUEST |
| | FY 2011-12 | FY 2012-13 | FY 2013-14 |

Receipts:

| | | | |
|---|------------------|----------------|------------------|
| Fees and licensees | 1,357,668 | 151,528 | 1,366,798 |
| Fines, forfeitures, judgments | 23 | - | - |
| Unlicensed activity | 5,020 | 1,730 | 60,085 |
| Miscellaneous | 660 | 453 | 453 |
| Total Fee Collection to Line (A) - Section III | 1,363,371 | 153,711 | 1,427,336 |

SECTION II - FULL COSTS

Direct Costs:

| | | | |
|---|------------------|------------------|----------------|
| Salaries and Benefits | 182,347 | 194,675 | 262,129 |
| Other Personal Services | 8,723 | 33,679 | 46,254 |
| Expenses | 46,869 | 44,277 | 59,253 |
| Operating Capital Outlay | 461 | 544 | 437 |
| Special categories | 806,373 | 769,509 | 319,177 |
| Indirect Costs Charged to Trust Fund | 18,661 | 18,268 | 25,089 |
| Total Full Costs to Line (B) - Section III | 1,063,434 | 1,060,952 | 712,339 |

Basis Used: 8% of all projected costs under object: 11xxxx, 12xxxx, 15xxxx and 16xxxx.

SECTION III - SUMMARY

| | | | | |
|--------------------------------|------------|----------------|------------------|----------------|
| TOTAL SECTION I | (A) | 1,363,371 | 153,711 | 1,427,336 |
| TOTAL SECTION II | (B) | 1,063,434 | 1,060,952 | 712,339 |
| TOTAL - Surplus/Deficit | (C) | 299,937 | (907,241) | 714,997 |

EXPLANATION of LINE C:

At July 1, 2012, this profession has a beginning cash balance of \$1,549,945.

SCHEDULE 1A: DETAIL OF FEES AND RELATED PROGRAM COSTS

Department: 64 Department of Health **Budget Period: 2013-14**
Program: 64400100 Regulation and Licensing
Fund: 2352 Medical Quality Assurance Trust Fund

Specific Authority: Chapter 456, F.S.
Purpose of Fees Collected: Regulate and enforce Health Care Practitioners.
 Dental Labs

Type of Fee or Program: (Check **ONE** Box and answer questions as indicated.)

| | |
|-------------------------------------|--|
| <input checked="" type="checkbox"/> | Regulatory services or oversight to businesses or professions (Complete Sections I, II, and III and attach Examination of Regulatory Fees Form - Part I and II.) |
| <input type="checkbox"/> | Non-regulatory fees authorized to cover full cost of conducting a specific program or service. (Complete Sections I, II, and III only.) |

SECTION I - FEE COLLECTION

| | ACTUAL FY 2011-12 | ESTIMATED FY 2012-13 | REQUEST FY 2013-14 |
|---|------------------------------|---------------------------------|-------------------------------|
| <u>Receipts:</u> | | | |
| Fees and licensees | 208,670 | 15,050 | 209,650 |
| Fines, forfeitures, judgments | | - | - |
| Unlicensed activity | 4,980 | 115 | 5,025 |
| Miscellaneous | 60 | 60 | 60 |
| Total Fee Collection to Line (A) - Section III | 213,710 | 15,225 | 214,735 |

SECTION II - FULL COSTS

| | | | |
|---|----------------|----------------|----------------|
| <u>Direct Costs:</u> | | | |
| Salaries and Benefits | 23,834 | 35,419 | 46,918 |
| Other Personal Services | 282 | 6,128 | 8,279 |
| Expenses | 6,635 | 8,056 | 10,606 |
| Operating Capital Outlay | 86 | 99 | 78 |
| Special categories | 134,683 | 125,309 | 59,956 |
| | | | |
| Indirect Costs Charged to Trust Fund | 3,499 | 3,324 | 4,491 |
| Total Full Costs to Line (B) - Section III | 169,019 | 178,333 | 130,327 |

Basis Used: 8% of all projected costs under object: 11xxxx, 12xxxx, 15xxxx and 16xxxx.

SECTION III - SUMMARY

| | | | | |
|--------------------------------|-----|---------------|------------------|---------------|
| TOTAL SECTION I | (A) | 213,710 | 15,225 | 214,735 |
| TOTAL SECTION II | (B) | 169,019 | 178,333 | 130,327 |
| TOTAL - Surplus/Deficit | (C) | 44,691 | (163,108) | 84,408 |

EXPLANATION of LINE C:

At July 1, 2012, this profession has a beginning cash balance of \$318,420. The cash balance will cover the deficit.

SCHEDULE 1A: DETAIL OF FEES AND RELATED PROGRAM COSTS

Department: 64 Department of Health **Budget Period: 2013-14**
Program: 64400100 Regulation and Licensing
Fund: 2352 Medical Quality Assurance Trust Fund

Specific Authority: Chapter 456, F.S.
Purpose of Fees Collected: Regulate and enforce Health Care Practitioners.
 Dietitians

Type of Fee or Program: (Check **ONE** Box and answer questions as indicated.)

| | |
|-------------------------------------|--|
| <input checked="" type="checkbox"/> | Regulatory services or oversight to businesses or professions (Complete Sections I, II, and III and attach Examination of Regulatory Fees Form - Part I and II.) |
| <input type="checkbox"/> | Non-regulatory fees authorized to cover full cost of conducting a specific program or service. (Complete Sections I, II, and III only.) |

| | | | |
|--|-------------------|-------------------|-------------------|
| <u>SECTION I - FEE COLLECTION</u> | ACTUAL | ESTIMATED | REQUEST |
| | FY 2011-12 | FY 2012-13 | FY 2013-14 |

Receipts:

| | | | |
|---|----------------|----------------|----------------|
| Fees and licensees | 118,550 | 484,810 | 118,550 |
| Fines, forfeitures, judgments | 22,700 | 22,700 | 22,700 |
| Unlicensed activity | 7,680 | 11,320 | 7,680 |
| Miscellaneous | 340 | 294 | 294 |
| Total Fee Collection to Line (A) - Section III | 149,270 | 519,124 | 149,224 |

SECTION II - FULL COSTS

Direct Costs:

| | | | |
|---|----------------|----------------|----------------|
| Salaries and Benefits | 95,837 | 96,006 | 98,827 |
| Other Personal Services | 4,750 | 16,609 | 17,439 |
| Expenses | 20,317 | 21,836 | 22,339 |
| Operating Capital Outlay | 300 | 268 | 165 |
| Special categories | 368,418 | 215,751 | 128,957 |
| Indirect Costs Charged to Trust Fund | 12,130 | 9,009 | 9,459 |
| Total Full Costs to Line (B) - Section III | 501,751 | 359,479 | 277,186 |

Basis Used: 8% of all projected costs under object: 11xxxx, 12xxxx, 15xxxx and 16xxxx.

SECTION III - SUMMARY

| | | | | |
|--------------------------------|------------|------------------|----------------|------------------|
| TOTAL SECTION I | (A) | 149,270 | 519,124 | 149,224 |
| TOTAL SECTION II | (B) | 501,751 | 359,479 | 277,186 |
| TOTAL - Surplus/Deficit | (C) | (352,481) | 159,645 | (127,962) |

EXPLANATION of LINE C:

At July 1, 2012, this profession has a beginning cash balance of \$40,969. The cash balance will cover the deficit.

SCHEDULE 1A: DETAIL OF FEES AND RELATED PROGRAM COSTS

Department: 64 Department of Health **Budget Period: 2013-14**
Program: 64400100 Regulation and Licensing
Fund: 2352 Medical Quality Assurance Trust Fund

Specific Authority: Chapter 456, F.S.
Purpose of Fees Collected: Regulate and enforce Health Care Practitioners.
 Electrologists

Type of Fee or Program: (Check **ONE** Box and answer questions as indicated.)

| | |
|-------------------------------------|--|
| <input checked="" type="checkbox"/> | Regulatory services or oversight to businesses or professions (Complete Sections I, II, and III and attach Examination of Regulatory Fees Form - Part I and II.) |
| <input type="checkbox"/> | Non-regulatory fees authorized to cover full cost of conducting a specific program or service. (Complete Sections I, II, and III only.) |

| <u>SECTION I - FEE COLLECTION</u> | ACTUAL | ESTIMATED | REQUEST |
|---|-------------------|-------------------|-------------------|
| | FY 2011-12 | FY 2012-13 | FY 2013-14 |
| <u>Receipts:</u> | | | |
| Fees and licensees | 275,251 | 106,070 | 226,470 |
| Fines, forfeitures, judgments | 8,210 | 6,940 | 6,940 |
| Unlicensed activity | 8,512 | 1,539 | 4,861 |
| Miscellaneous | 500 | 234 | 234 |
| Total Fee Collection to Line (A) - Section III | 292,473 | 114,783 | 238,505 |

| <u>SECTION II - FULL COSTS</u> | | | |
|---|----------------|----------------|----------------|
| <u>Direct Costs:</u> | | | |
| Salaries and Benefits | 80,411 | 93,489 | 104,794 |
| Other Personal Services | 2,282 | 16,174 | 18,492 |
| Expenses | 17,982 | 21,263 | 23,688 |
| Operating Capital Outlay | 200 | 261 | 175 |
| Special categories | 147,387 | 86,141 | 130,129 |
| | | | |
| Indirect Costs Charged to Trust Fund | 7,931 | 8,773 | 10,030 |
| Total Full Costs to Line (B) - Section III | 256,195 | 226,101 | 287,308 |

Basis Used: 8% of all projected costs under object: 11xxxx, 12xxxx, 15xxxx and 16xxxx.

SECTION III - SUMMARY

| | | | | |
|--------------------------------|-----|---------------|------------------|-----------------|
| TOTAL SECTION I | (A) | 292,473 | 114,783 | 238,505 |
| TOTAL SECTION II | (B) | 256,195 | 226,101 | 287,308 |
| TOTAL - Surplus/Deficit | (C) | 36,278 | (111,318) | (48,803) |

EXPLANATION of LINE C:

At July 1, 2012, this profession has a beginning cash balance of (\$489,814). Renewal fee caps of \$100 are not adequate to cover the regulatory costs of the program.

SCHEDULE 1A: DETAIL OF FEES AND RELATED PROGRAM COSTS

Department: 64 Department of Health **Budget Period: 2013-14**
Program: 64400100 Regulation and Licensing
Fund: 2352 Medical Quality Assurance Trust Fund

Specific Authority: Chapter 456, F.S.
Purpose of Fees Collected: Regulate and enforce Health Care Practitioners.
Hearing Aid Specialists

Type of Fee or Program: (Check **ONE** Box and answer questions as indicated.)

| | |
|-------------------------------------|--|
| <input checked="" type="checkbox"/> | Regulatory services or oversight to businesses or professions (Complete Sections I, II, and III and attach Examination of Regulatory Fees Form - Part I and II.) |
| <input type="checkbox"/> | Non-regulatory fees authorized to cover full cost of conducting a specific program or service. (Complete Sections I, II, and III only.) |

| <u>SECTION I - FEE COLLECTION</u> | ACTUAL | ESTIMATED | REQUEST |
|---|-------------------|-------------------|-------------------|
| | FY 2011-12 | FY 2012-13 | FY 2013-14 |
| <u>Receipts:</u> | | | |
| <u>Fees and licensees</u> | 84,363 | 578,096 | 100,871 |
| <u>Fines, forfeitures, judgments</u> | 4,685 | 23,140 | 23,140 |
| <u>Unlicensed activity</u> | 920 | 3,180 | 920 |
| <u>Miscellaneous</u> | 228 | 291 | 291 |
| Total Fee Collection to Line (A) - Section III | 90,196 | 604,707 | 125,222 |

| <u>SECTION II - FULL COSTS</u> | | | |
|---|----------------|----------------|----------------|
| <u>Direct Costs:</u> | | | |
| <u>Salaries and Benefits</u> | 88,995 | 104,338 | 71,705 |
| <u>Other Personal Services</u> | 2,347 | 18,051 | 12,653 |
| <u>Expenses</u> | 21,227 | 23,731 | 16,208 |
| <u>Operating Capital Outlay</u> | 226 | 291 | 120 |
| <u>Special categories</u> | 52,937 | 95,033 | 89,218 |
| <u> </u> | | | |
| <u>Indirect Costs Charged to Trust Fund</u> | 9,097 | 9,791 | 6,863 |
| Total Full Costs to Line (B) - Section III | 174,829 | 251,235 | 196,767 |

Basis Used: 8% of all projected costs under object: 11xxxx, 12xxxx, 15xxxx and 16xxxx.

| <u>SECTION III - SUMMARY</u> | | | |
|--------------------------------|------------|-----------------|----------------|
| TOTAL SECTION I | (A) | 90,196 | 604,707 |
| TOTAL SECTION II | (B) | 174,829 | 251,235 |
| TOTAL - Surplus/Deficit | (C) | (84,633) | 353,472 |

EXPLANATION of LINE C:

SCHEDULE 1A: DETAIL OF FEES AND RELATED PROGRAM COSTS

Department: 64 Department of Health **Budget Period: 2013-14**
Program: 64400100 Regulation and Licensing
Fund: 2352 Medical Quality Assurance Trust Fund

Specific Authority: Chapter 456, F.S.
Purpose of Fees Collected: Regulate and enforce Health Care Practitioners.
 Massage Therapy

Type of Fee or Program: (Check **ONE** Box and answer questions as indicated.)

| | |
|-------------------------------------|--|
| <input checked="" type="checkbox"/> | Regulatory services or oversight to businesses or professions (Complete Sections I, II, and III and attach Examination of Regulatory Fees Form - Part I and II.) |
| <input type="checkbox"/> | Non-regulatory fees authorized to cover full cost of conducting a specific program or service. (Complete Sections I, II, and III only.) |

| SECTION I - FEE COLLECTION | ACTUAL FY 2011-12 | ESTIMATED FY 2012-13 | REQUEST FY 2013-14 |
|---|------------------------------|---------------------------------|-------------------------------|
| <u>Receipts:</u> | | | |
| Fees and licensees | 4,741,629 | 2,281,473 | 5,387,179 |
| Fines, forfeitures, judgments | 137,998 | 137,998 | 137,998 |
| Unlicensed activity | 187,392 | 91,496 | 130,999 |
| Miscellaneous | 3,686 | 3,686 | 3,686 |
| Total Fee Collection to Line (A) - Section III | 5,070,705 | 2,514,653 | 5,659,862 |

| SECTION II - FULL COSTS | | | |
|---|------------------|------------------|------------------|
| <u>Direct Costs:</u> | | | |
| Salaries and Benefits | 1,962,484 | 1,409,702 | 1,727,356 |
| Other Personal Services | 155,516 | 243,881 | 304,804 |
| Expenses | 526,361 | 320,621 | 390,458 |
| Operating Capital Outlay | 4,027 | 3,936 | 2,881 |
| Special categories | 2,294,138 | 1,602,343 | 2,162,635 |
| | | | |
| Indirect Costs Charged to Trust Fund | 151,855 | 132,287 | 165,332 |
| Total Full Costs to Line (B) - Section III | 5,094,381 | 3,712,770 | 4,753,466 |

Basis Used: 8% of all projected costs under object: 11xxxx, 12xxxx, 15xxxx and 16xxxx.

| SECTION III - SUMMARY | | | | |
|--------------------------------|-----|-----------------|--------------------|----------------|
| TOTAL SECTION I | (A) | 5,070,705 | 2,514,653 | 5,659,862 |
| TOTAL SECTION II | (B) | 5,094,381 | 3,712,770 | 4,753,466 |
| TOTAL - Surplus/Deficit | (C) | (23,676) | (1,198,117) | 906,396 |

EXPLANATION of LINE C:

SCHEDULE 1A: DETAIL OF FEES AND RELATED PROGRAM COSTS

Department: 64 Department of Health **Budget Period: 2013-14**
Program: 64400100 Regulation and Licensing
Fund: 2352 Medical Quality Assurance Trust Fund

Specific Authority: Chapter 456, F.S.
Purpose of Fees Collected: Regulate and enforce Health Care Practitioners.
 Medical Physicists

Type of Fee or Program: (Check **ONE** Box and answer questions as indicated.)

| | |
|-------------------------------------|--|
| <input checked="" type="checkbox"/> | Regulatory services or oversight to businesses or professions (Complete Sections I, II, and III and attach Examination of Regulatory Fees Form - Part I and II.) |
| <input type="checkbox"/> | Non-regulatory fees authorized to cover full cost of conducting a specific program or service. (Complete Sections I, II, and III only.) |

| | | | |
|--|-------------------|-------------------|-------------------|
| <u>SECTION I - FEE COLLECTION</u> | ACTUAL | ESTIMATED | REQUEST |
| | FY 2011-12 | FY 2012-13 | FY 2013-14 |

Receipts:

| | | | |
|---|---------------|----------------|---------------|
| Fees and licensees | 41,015 | 108,460 | 37,010 |
| Fines, forfeitures, judgments | 3,113 | - | - |
| Unlicensed activity | 670 | 2,195 | 670 |
| Miscellaneous | 55 | 51 | 51 |
| Total Fee Collection to Line (A) - Section III | 44,853 | 110,706 | 37,731 |

SECTION II - FULL COSTS

Direct Costs:

| | | | |
|---|---------------|---------------|---------------|
| Salaries and Benefits | 32,844 | 22,354 | 26,584 |
| Other Personal Services | 613 | 3,867 | 4,691 |
| Expenses | 5,378 | 5,084 | 6,009 |
| Operating Capital Outlay | 76 | 62 | 44 |
| Special categories | 49,739 | 56,350 | 32,244 |
| Indirect Costs Charged to Trust Fund | 3,032 | 2,098 | 2,544 |
| Total Full Costs to Line (B) - Section III | 91,683 | 89,816 | 72,118 |

Basis Used: 8% of all projected costs under object: 11xxxx, 12xxxx, 15xxxx and 16xxxx.

SECTION III - SUMMARY

| | | | | |
|--------------------------------|------------|-----------------|---------------|-----------------|
| TOTAL SECTION I | (A) | 44,853 | 110,706 | 37,731 |
| TOTAL SECTION II | (B) | 91,683 | 89,816 | 72,118 |
| TOTAL - Surplus/Deficit | (C) | (46,830) | 20,890 | (34,387) |

EXPLANATION of LINE C:

At July 1, 2012, this profession has a beginning cash balance of \$103,882. The cash balance will cover the deficit.

SCHEDULE 1A: DETAIL OF FEES AND RELATED PROGRAM COSTS

Department: 64 Department of Health **Budget Period: 2013-14**
Program: 64400100 Regulation and Licensing
Fund: 2352 Medical Quality Assurance Trust Fund

Specific Authority: Chapter 456, F.S.
Purpose of Fees Collected: Regulate and enforce Health Care Practitioners.
 Medicine

Type of Fee or Program: (Check **ONE** Box and answer questions as indicated.)

| | |
|-------------------------------------|--|
| <input checked="" type="checkbox"/> | Regulatory services or oversight to businesses or professions (Complete Sections I, II, and III and attach Examination of Regulatory Fees Form - Part I and II.) |
| <input type="checkbox"/> | Non-regulatory fees authorized to cover full cost of conducting a specific program or service. (Complete Sections I, II, and III only.) |

| | | | |
|--|-------------------|-------------------|-------------------|
| <u>SECTION I - FEE COLLECTION</u> | ACTUAL | ESTIMATED | REQUEST |
| | FY 2011-12 | FY 2012-13 | FY 2013-14 |

Receipts:

| | | | |
|---|-------------------|-------------------|-------------------|
| Fees and licensees | 15,819,291 | 16,561,519 | 16,561,519 |
| Fines, forfeitures, judgments | 1,847,326 | 1,571,357 | 1,571,357 |
| Unlicensed activity | 191,063 | 151,875 | 151,875 |
| Miscellaneous | 28,890 | 28,890 | 28,890 |
| Total Fee Collection to Line (A) - Section III | 17,886,570 | 18,313,641 | 18,313,641 |

SECTION II - FULL COSTS

Direct Costs:

| | | | |
|---|-------------------|-------------------|-------------------|
| Salaries and Benefits | 7,598,204 | 7,313,844 | 7,266,191 |
| Other Personal Services | 1,438,580 | 1,265,310 | 1,282,169 |
| Expenses | 1,649,451 | 1,663,454 | 1,642,476 |
| Operating Capital Outlay | 11,747 | 20,420 | 12,119 |
| Special categories | 7,110,791 | 7,446,853 | 8,938,192 |
| Indirect Costs Charged to Trust Fund | 455,566 | 686,332 | 695,477 |
| Total Full Costs to Line (B) - Section III | 18,264,340 | 18,396,213 | 19,836,624 |

Basis Used: 8% of all projected costs under object: 11xxxx, 12xxxx, 15xxxx and 16xxxx.

SECTION III - SUMMARY

| | | | | |
|--------------------------------|-----|------------------|-----------------|--------------------|
| TOTAL SECTION I | (A) | 17,886,570 | 18,313,641 | 18,313,641 |
| TOTAL SECTION II | (B) | 18,264,340 | 18,396,213 | 19,836,624 |
| TOTAL - Surplus/Deficit | (C) | (377,770) | (82,572) | (1,522,983) |

EXPLANATION of LINE C:

As of July 1, 2012, the Medicine account cash balance is \$8,351,108. The cash balance will cover the deficit.

SCHEDULE 1A: DETAIL OF FEES AND RELATED PROGRAM COSTS

Department: 64 Department of Health **Budget Period: 2013-14**
Program: 64400100 Regulation and Licensing
Fund: 2352 Medical Quality Assurance Trust Fund

Specific Authority: Chapter 456, F.S.
Purpose of Fees Collected: Regulate and enforce Health Care Practitioners.
 Midwifery

Type of Fee or Program: (Check **ONE** Box and answer questions as indicated.)

| | |
|-------------------------------------|--|
| <input checked="" type="checkbox"/> | Regulatory services or oversight to businesses or professions (Complete Sections I, II, and III and attach Examination of Regulatory Fees Form - Part I and II.) |
| <input type="checkbox"/> | Non-regulatory fees authorized to cover full cost of conducting a specific program or service. (Complete Sections I, II, and III only.) |

| <u>SECTION I - FEE COLLECTION</u> | ACTUAL | ESTIMATED | REQUEST |
|---|-------------------|-------------------|-------------------|
| | FY 2011-12 | FY 2012-13 | FY 2013-14 |
| <u>Receipts:</u> | | | |
| Fees and licensees | 75,776 | 10,658 | 77,658 |
| Fines, forfeitures, judgments | 2,705 | 1,500 | 1,500 |
| Unlicensed activity | 715 | 60 | 620 |
| Miscellaneous | 43 | 43 | 43 |
| Total Fee Collection to Line (A) - Section III | 79,239 | 12,261 | 79,821 |

| <u>SECTION II - FULL COSTS</u> | | | |
|---|---------------|---------------|---------------|
| <u>Direct Costs:</u> | | | |
| Salaries and Benefits | 30,821 | 22,695 | 27,354 |
| Other Personal Services | 2,695 | 3,926 | 4,827 |
| Expenses | 6,070 | 5,162 | 6,183 |
| Operating Capital Outlay | 53 | 63 | 46 |
| Special categories | 16,207.18 | 22,290 | 35,331 |
| | | | |
| Indirect Costs Charged to Trust Fund | 2,099 | 2,130 | 2,618 |
| Total Full Costs to Line (B) - Section III | 57,946 | 56,266 | 76,358 |

Basis Used: 8% of all projected costs under object: 11xxxx, 12xxxx, 15xxxx and 16xxxx.

| <u>SECTION III - SUMMARY</u> | | | |
|-------------------------------------|---------------|-----------------|--------------|
| TOTAL SECTION I (A) | 79,239 | 12,261 | 79,821 |
| TOTAL SECTION II (B) | 57,946 | 56,266 | 76,358 |
| TOTAL - Surplus/Deficit (C) | 21,293 | (44,005) | 3,463 |

EXPLANATION of LINE C:
 At July 1, 2012, this profession has a beginning cash balance of (\$867,885). Renewal fee caps of \$500 and the low number of licensees (136) are not adequate to cover the regulatory costs of the program.

SCHEDULE 1A: DETAIL OF FEES AND RELATED PROGRAM COSTS

Department: 64 Department of Health **Budget Period: 2013-14**
Program: 64400100 Regulation and Licensing
Fund: 2352 Medical Quality Assurance Trust Fund

Specific Authority: Chapter 456, F.S.
Purpose of Fees Collected: Regulate and enforce Health Care Practitioners.
 Naturopaths

Type of Fee or Program: (Check **ONE** Box and answer questions as indicated.)

| | |
|-------------------------------------|--|
| <input checked="" type="checkbox"/> | Regulatory services or oversight to businesses or professions (Complete Sections I, II, and III and attach Examination of Regulatory Fees Form - Part I and II.) |
| <input type="checkbox"/> | Non-regulatory fees authorized to cover full cost of conducting a specific program or service. (Complete Sections I, II, and III only.) |

| SECTION I - FEE COLLECTION | ACTUAL FY 2011-12 | ESTIMATED FY 2012-13 | REQUEST FY 2013-14 |
|---|------------------------------|---------------------------------|-------------------------------|
| <u>Receipts:</u> | | | |
| Fees and licensees | - | - | - |
| Fines, forfeitures, judgments | - | - | - |
| Unlicensed activity | - | - | - |
| Miscellaneous | 1 | 1 | 1 |
| Total Fee Collection to Line (A) - Section III | 1 | 1 | 1 |

| SECTION II - FULL COSTS | ACTUAL FY 2011-12 | ESTIMATED FY 2012-13 | REQUEST FY 2013-14 |
|---|------------------------------|---------------------------------|-------------------------------|
| <u>Direct Costs:</u> | | | |
| Salaries and Benefits | 957 | 268 | 396 |
| Other Personal Services | 59 | 46 | 70 |
| Expenses | 676 | 61 | 90 |
| Operating Capital Outlay | 0 | 1 | 1 |
| Special categories | 1,870 | 465 | 714 |
| Indirect Costs Charged to Trust Fund | - | 25 | 38 |
| Total Full Costs to Line (B) - Section III | 3,562 | 866 | 1,308 |

Basis Used: 8% of all projected costs under object: 11xxxx, 12xxxx, 15xxxx and 16xxxx.

| SECTION III - SUMMARY | | ACTUAL FY 2011-12 | ESTIMATED FY 2012-13 | REQUEST FY 2013-14 |
|--------------------------------|-----|------------------------------|---------------------------------|-------------------------------|
| TOTAL SECTION I | (A) | 1 | 1 | 1 |
| TOTAL SECTION II | (B) | 3,562 | 866 | 1,308 |
| TOTAL - Surplus/Deficit | (C) | (3,561) | (865) | (1,307) |

EXPLANATION of LINE C:
 At July 1, 2012, this profession has a beginning cash balance of (\$340,980). The number of licensees (0) is insufficient to cover the administrative costs of regulation.

SCHEDULE 1A: DETAIL OF FEES AND RELATED PROGRAM COSTS

Department: 64 Department of Health **Budget Period: 2013-14**
Program: 64400100 Regulation and Licensing
Fund: 2352 Medical Quality Assurance Trust Fund

Specific Authority: Chapter 456, F.S.
Purpose of Fees Collected: Regulate and enforce Health Care Practitioners.
 Nursing

Type of Fee or Program: (Check **ONE** Box and answer questions as indicated.)

| | |
|-------------------------------------|--|
| <input checked="" type="checkbox"/> | Regulatory services or oversight to businesses or professions (Complete Sections I, II, and III and attach Examination of Regulatory Fees Form - Part I and II.) |
| <input type="checkbox"/> | Non-regulatory fees authorized to cover full cost of conducting a specific program or service. (Complete Sections I, II, and III only.) |

SECTION I - FEE COLLECTION

| | ACTUAL FY 2011-12 | ESTIMATED FY 2012-13 | REQUEST FY 2013-14 |
|---|------------------------------|---------------------------------|-------------------------------|
| <u>Receipts:</u> | | | |
| Fees and licensees | 19,045,454 | 19,093,879 | 19,093,879 |
| Fines, forfeitures, judgments | 541,027 | 501,083 | 501,083 |
| Unlicensed activity | 912,960 | 803,028 | 803,028 |
| Miscellaneous | 16,870 | 16,870 | 16,870 |
| Total Fee Collection to Line (A) - Section III | 20,516,311 | 20,414,860 | 20,414,860 |

SECTION II - FULL COSTS

| | | | |
|---|-------------------|-------------------|-------------------|
| <u>Direct Costs:</u> | | | |
| Salaries and Benefits | 5,029,473 | 7,049,777 | 6,650,724 |
| Other Personal Services | 1,275,113 | 1,219,626 | 1,173,566 |
| Expenses | 1,088,095 | 1,603,395 | 1,503,354 |
| Operating Capital Outlay | 13,272 | 19,683 | 11,092 |
| Special categories | 13,580,191 | 9,251,890 | 8,074,004 |
| | | | |
| Indirect Costs Charged to Trust Fund | 529,278 | 661,552 | 636,568 |
| Total Full Costs to Line (B) - Section III | 21,515,422 | 19,805,923 | 18,049,308 |

Basis Used: 8% of all projected costs under object: 11xxxx, 12xxxx, 15xxxx and 16xxxx.

SECTION III - SUMMARY

| | | | | |
|--------------------------------|-----|------------------|----------------|------------------|
| TOTAL SECTION I | (A) | 20,516,311 | 20,414,860 | 20,414,860 |
| TOTAL SECTION II | (B) | 21,515,422 | 19,805,923 | 18,049,308 |
| TOTAL - Surplus/Deficit | (C) | (999,111) | 608,937 | 2,365,552 |

EXPLANATION of LINE C:

SCHEDULE 1A: DETAIL OF FEES AND RELATED PROGRAM COSTS

Department: 64 Department of Health **Budget Period: 2013-14**
Program: 64400100 Regulation and Licensing
Fund: 2352 Medical Quality Assurance Trust Fund

Specific Authority: Chapter 456, F.S.
Purpose of Fees Collected: Regulate and enforce Health Care Practitioners.
 Nursing Home Administrators

Type of Fee or Program: (Check **ONE** Box and answer questions as indicated.)

| | |
|-------------------------------------|--|
| <input checked="" type="checkbox"/> | Regulatory services or oversight to businesses or professions (Complete Sections I, II, and III and attach Examination of Regulatory Fees Form - Part I and II.) |
| <input type="checkbox"/> | Non-regulatory fees authorized to cover full cost of conducting a specific program or service. (Complete Sections I, II, and III only.) |

| <u>SECTION I - FEE COLLECTION</u> | ACTUAL FY 2011-12 | ESTIMATED FY 2012-13 | REQUEST FY 2013-14 |
|---|------------------------------|---------------------------------|-------------------------------|
| <u>Receipts:</u> | | | |
| Fees and licensees | 203,080 | 652,530 | 203,080 |
| Fines, forfeitures, judgments | 4,751 | 4,751 | 4,751 |
| Unlicensed activity | 1,435 | 6,855 | 1,435 |
| Miscellaneous | 1,149 | 1023 | 1023 |
| Total Fee Collection to Line (A) - Section III | 210,415 | 665,159 | 210,289 |

| <u>SECTION II - FULL COSTS</u> | | | |
|---|----------------|----------------|----------------|
| <u>Direct Costs:</u> | | | |
| Salaries and Benefits | 143,983 | 152,408 | 120,390 |
| Other Personal Services | 6,121 | 26,367 | 21,244 |
| Expenses | 44,612 | 34,664 | 27,213 |
| Operating Capital Outlay | 250 | 426 | 201 |
| Special categories | 194,982 | 135,742 | 146,133 |
| | | | |
| Indirect Costs Charged to Trust Fund | 10,030 | 14,302 | 11,523 |
| Total Full Costs to Line (B) - Section III | 399,978 | 363,908 | 326,703 |

Basis Used: 8% of all projected costs under object: 11xxxx, 12xxxx, 15xxxx and 16xxxx.

| <u>SECTION III - SUMMARY</u> | | | |
|-------------------------------------|-----|------------------|------------------|
| TOTAL SECTION I | (A) | 210,415 | 210,289 |
| TOTAL SECTION II | (B) | 399,978 | 326,703 |
| TOTAL - Surplus/Deficit | (C) | (189,563) | (116,414) |

EXPLANATION of LINE C:

SCHEDULE 1A: DETAIL OF FEES AND RELATED PROGRAM COSTS

Department: 64 Department of Health **Budget Period: 2013-14**
Program: 64400100 Regulation and Licensing
Fund: 2352 Medical Quality Assurance Trust Fund

Specific Authority: Chapter 456, F.S.
Purpose of Fees Collected: Regulate and enforce Health Care Practitioners.
 Occupational Therapy

Type of Fee or Program: (Check **ONE** Box and answer questions as indicated.)

| | |
|-------------------------------------|--|
| <input checked="" type="checkbox"/> | Regulatory services or oversight to businesses or professions (Complete Sections I, II, and III and attach Examination of Regulatory Fees Form - Part I and II.) |
| <input type="checkbox"/> | Non-regulatory fees authorized to cover full cost of conducting a specific program or service. (Complete Sections I, II, and III only.) |

| | | | |
|--|-------------------|-------------------|-------------------|
| <u>SECTION I - FEE COLLECTION</u> | ACTUAL | ESTIMATED | REQUEST |
| | FY 2011-12 | FY 2012-13 | FY 2013-14 |

Receipts:

| | | | |
|---|----------------|----------------|----------------|
| Fees and licensees | 253,637 | 858,707 | 229,792 |
| Fines, forfeitures, judgments | 21,578 | 19,590 | 19,590 |
| Unlicensed activity | 6,510 | 48,340 | 6,510 |
| Miscellaneous | 550 | 550 | 550 |
| Total Fee Collection to Line (A) - Section III | 282,275 | 927,187 | 256,442 |

SECTION II - FULL COSTS

Direct Costs:

| | | | |
|---|----------------|----------------|----------------|
| Salaries and Benefits | 205,765 | 224,088 | 176,982 |
| Other Personal Services | 15,146 | 38,768 | 31,230 |
| Expenses | 37,310 | 50,966 | 40,006 |
| Operating Capital Outlay | 541 | 626 | 295 |
| Special categories | 283,415 | 318,542 | 216,453 |
| Indirect Costs Charged to Trust Fund | 21,927 | 21,028 | 16,940 |
| Total Full Costs to Line (B) - Section III | 564,103 | 654,018 | 481,905 |

Basis Used: 8% of all projected costs under object: 11xxxx, 12xxxx, 15xxxx and 16xxxx.

SECTION III - SUMMARY

| | | | | |
|--------------------------------|------------|------------------|----------------|------------------|
| TOTAL SECTION I | (A) | 282,275 | 927,187 | 256,442 |
| TOTAL SECTION II | (B) | 564,103 | 654,018 | 481,905 |
| TOTAL - Surplus/Deficit | (C) | (281,828) | 273,169 | (225,463) |

EXPLANATION of LINE C:

At July 1, 2012, this profession has a beginning cash balance of \$617,274. The cash balance will cover the deficit.

SCHEDULE 1A: DETAIL OF FEES AND RELATED PROGRAM COSTS

Department: 64 Department of Health **Budget Period: 2013-14**
Program: 64400100 Regulation and Licensing
Fund: 2352 Medical Quality Assurance Trust Fund

Specific Authority: Chapter 456, F.S.
Purpose of Fees Collected: Regulate and enforce Health Care Practitioners.
 Opticianry

Type of Fee or Program: (Check **ONE** Box and answer questions as indicated.)

| | |
|-------------------------------------|--|
| <input checked="" type="checkbox"/> | Regulatory services or oversight to businesses or professions (Complete Sections I, II, and III and attach Examination of Regulatory Fees Form - Part I and II.) |
| <input type="checkbox"/> | Non-regulatory fees authorized to cover full cost of conducting a specific program or service. (Complete Sections I, II, and III only.) |

| SECTION I - FEE COLLECTION | ACTUAL FY 2011-12 | ESTIMATED FY 2012-13 | REQUEST FY 2013-14 |
|---|------------------------------|---------------------------------|-------------------------------|
| <u>Receipts:</u> | | | |
| Fees and licensees | 135,289 | 598,139 | 135,289 |
| Fines, forfeitures, judgments | 3,117 | 3,117 | 3,117 |
| Unlicensed activity | 2,047 | 16,943 | 2,047 |
| Miscellaneous | 468 | 468 | 468 |
| Total Fee Collection to Line (A) - Section III | 140,921 | 618,667 | 140,921 |

| SECTION II - FULL COSTS | ACTUAL FY 2011-12 | ESTIMATED FY 2012-13 | REQUEST FY 2013-14 |
|---|------------------------------|---------------------------------|-------------------------------|
| <u>Direct Costs:</u> | | | |
| Salaries and Benefits | 286,933 | 230,950 | 228,835 |
| Other Personal Services | 12,097 | 39,955 | 40,380 |
| Expenses | 94,749 | 52,527 | 51,727 |
| Operating Capital Outlay | 376 | 645 | 382 |
| Special categories | 249,998 | 213,715 | 285,975 |
| _____ | | | |
| Indirect Costs Charged to Trust Fund | 14,696 | 21,672 | 21,903 |
| Total Full Costs to Line (B) - Section III | 658,848 | 559,464 | 629,202 |

Basis Used: 8% of all projected costs under object: 11xxxx, 12xxxx, 15xxxx and 16xxxx.

| SECTION III - SUMMARY | | | |
|--------------------------------|-----|------------------|------------------|
| TOTAL SECTION I | (A) | 140,921 | 140,921 |
| TOTAL SECTION II | (B) | 658,848 | 629,202 |
| TOTAL - Surplus/Deficit | (C) | (517,927) | (488,281) |

EXPLANATION of LINE C:
 As of July 1, 2012, the profession had a cash balance of \$400,697. The cash balance will cover the deficit.

SCHEDULE 1A: DETAIL OF FEES AND RELATED PROGRAM COSTS

Department: 64 Department of Health **Budget Period: 2013-14**
Program: 64400100 Regulation and Licensing
Fund: 2352 Medical Quality Assurance Trust Fund

Specific Authority: Chapter 456, F.S.
Purpose of Fees Collected: Regulate and enforce Health Care Practitioners.
 Optometry

Type of Fee or Program: (Check **ONE** Box and answer questions as indicated.)

| | |
|-------------------------------------|--|
| <input checked="" type="checkbox"/> | Regulatory services or oversight to businesses or professions (Complete Sections I, II, and III and attach Examination of Regulatory Fees Form - Part I and II.) |
| <input type="checkbox"/> | Non-regulatory fees authorized to cover full cost of conducting a specific program or service. (Complete Sections I, II, and III only.) |

| | | | |
|--|-------------------|-------------------|-------------------|
| <u>SECTION I - FEE COLLECTION</u> | ACTUAL | ESTIMATED | REQUEST |
| | FY 2011-12 | FY 2012-13 | FY 2013-14 |

Receipts:

| | | | |
|---|----------------|------------------|----------------|
| Fees and licensees | 339,272 | 1,249,997 | 339,272 |
| Fines, forfeitures, judgments | 10,694 | 6,281 | 6,281 |
| Unlicensed activity | 2,458 | 12,912 | 2,458 |
| Miscellaneous | 1,441 | 1,092 | 1,092 |
| Total Fee Collection to Line (A) - Section III | 353,865 | 1,270,282 | 349,103 |

SECTION II - FULL COSTS

Direct Costs:

| | | | |
|---|----------------|----------------|----------------|
| Salaries and Benefits | 241,796 | 374,718 | 260,062 |
| Other Personal Services | 15,059 | 64,827 | 45,890 |
| Expenses | 76,474 | 85,226 | 58,785 |
| Operating Capital Outlay | 348 | 1,046 | 434 |
| Special categories | 384,541 | 334,376 | 316,364 |
| Indirect Costs Charged to Trust Fund | 13,996 | 35,164 | 24,892 |
| Total Full Costs to Line (B) - Section III | 732,213 | 895,357 | 706,427 |

Basis Used: 8% of all projected costs under object: 11xxxx, 12xxxx, 15xxxx and 16xxxx.

SECTION III - SUMMARY

| | | | | |
|--------------------------------|------------|------------------|----------------|------------------|
| TOTAL SECTION I | (A) | 353,865 | 1,270,282 | 349,103 |
| TOTAL SECTION II | (B) | 732,213 | 895,357 | 706,427 |
| TOTAL - Surplus/Deficit | (C) | (378,348) | 374,925 | (357,324) |

EXPLANATION of LINE C:

This profession has a July 1, 2012 beginning cash balance of \$505,386. The cash balance will cover the deficit.

SCHEDULE 1A: DETAIL OF FEES AND RELATED PROGRAM COSTS

Department: 64 Department of Health **Budget Period: 2013-14**
Program: 64400100 Regulation and Licensing
Fund: 2352 Medical Quality Assurance Trust Fund

Specific Authority: Chapter 456, F.S.
Purpose of Fees Collected: Regulate and enforce Health Care Practitioners.
 Orthotists & Prosthetists

Type of Fee or Program: (Check **ONE** Box and answer questions as indicated.)

| | |
|-------------------------------------|--|
| <input checked="" type="checkbox"/> | Regulatory services or oversight to businesses or professions (Complete Sections I, II, and III and attach Examination of Regulatory Fees Form - Part I and II.) |
| <input type="checkbox"/> | Non-regulatory fees authorized to cover full cost of conducting a specific program or service. (Complete Sections I, II, and III only.) |

| <u>SECTION I - FEE COLLECTION</u> | ACTUAL FY 2011-12 | ESTIMATED FY 2012-13 | REQUEST FY 2013-14 |
|---|------------------------------|---------------------------------|-------------------------------|
| <u>Receipts:</u> | | | |
| Fees and licensees | 443,241 | 94,296 | 480,796 |
| Fines, forfeitures, judgments | 12,240 | 12,240 | 12,240 |
| Unlicensed activity | 3,690 | 470 | 3,430 |
| Miscellaneous | 278 | 205 | 205 |
| Total Fee Collection to Line (A) - Section III | 459,449 | 107,211 | 496,671 |

| <u>SECTION II - FULL COSTS</u> | ACTUAL FY 2011-12 | ESTIMATED FY 2012-13 | REQUEST FY 2013-14 |
|---|------------------------------|---------------------------------|-------------------------------|
| <u>Direct Costs:</u> | | | |
| Salaries and Benefits | 67,348 | 104,873 | 92,912 |
| Other Personal Services | 9,123 | 18,143 | 16,395 |
| Expenses | 18,290 | 23,852 | 21,002 |
| Operating Capital Outlay | 151 | 293 | 155 |
| Special categories | 110,912 | 170,789 | 114,839 |
| _____ | | | |
| Indirect Costs Charged to Trust Fund | 6,065 | 9,841 | 8,893 |
| Total Full Costs to Line (B) - Section III | 211,889 | 327,791 | 254,196 |

Basis Used: 8% of all projected costs under object: 11xxxx, 12xxxx, 15xxxx and 16xxxx.

| <u>SECTION III - SUMMARY</u> | | | | |
|-------------------------------------|------------|----------------|------------------|----------------|
| TOTAL SECTION I | (A) | 459,449 | 107,211 | 496,671 |
| TOTAL SECTION II | (B) | 211,889 | 327,791 | 254,196 |
| TOTAL - Surplus/Deficit | (C) | 247,560 | (220,580) | 242,475 |

EXPLANATION of LINE C:

SCHEDULE 1A: DETAIL OF FEES AND RELATED PROGRAM COSTS

Department: 64 Department of Health **Budget Period: 2013-14**
Program: 64400100 Regulation and Licensing
Fund: 2352 Medical Quality Assurance Trust Fund

Specific Authority: Chapter 456, F.S.
Purpose of Fees Collected: Regulate and enforce Health Care Practitioners.
 Osteopathic

Type of Fee or Program: (Check **ONE** Box and answer questions as indicated.)

| | |
|-------------------------------------|--|
| <input checked="" type="checkbox"/> | Regulatory services or oversight to businesses or professions (Complete Sections I, II, and III and attach Examination of Regulatory Fees Form - Part I and II.) |
| <input type="checkbox"/> | Non-regulatory fees authorized to cover full cost of conducting a specific program or service. (Complete Sections I, II, and III only.) |

| <u>SECTION I - FEE COLLECTION</u> | ACTUAL | ESTIMATED | REQUEST |
|---|-------------------|-------------------|-------------------|
| | FY 2011-12 | FY 2012-13 | FY 2013-14 |
| <u>Receipts:</u> | | | |
| Fees and licensees | 2,828,366 | 351,707 | 2,584,653 |
| Fines, forfeitures, judgments | 216,224 | 216,224 | 216,224 |
| Unlicensed activity | 29,237 | 1,597 | 31,418 |
| Miscellaneous | 2,504 | 2,504 | 2,504 |
| Total Fee Collection to Line (A) - Section III | 3,076,331 | 572,032 | 2,834,799 |

| <u>SECTION II - FULL COSTS</u> | | | |
|---|------------------|------------------|------------------|
| <u>Direct Costs:</u> | | | |
| Salaries and Benefits | 821,228 | 729,904 | 826,314 |
| Other Personal Services | 122,460 | 126,275 | 145,809 |
| Expenses | 186,996 | 166,009 | 186,783 |
| Operating Capital Outlay | 1,253 | 2,038 | 1,378 |
| Special categories | 750,085 | 652,548 | 1,005,260 |
| | | | |
| Indirect Costs Charged to Trust Fund | 48,519 | 68,494 | 79,090 |
| Total Full Costs to Line (B) - Section III | 1,930,541 | 1,745,268 | 2,244,634 |

Basis Used: 8% of all projected costs under object: 11xxxx, 12xxxx, 15xxxx and 16xxxx.

| <u>SECTION III - SUMMARY</u> | | | |
|-------------------------------------|------------|------------------|--------------------|
| TOTAL SECTION I | (A) | 3,076,331 | 572,032 |
| TOTAL SECTION II | (B) | 1,930,541 | 1,745,268 |
| TOTAL - Surplus/Deficit | (C) | 1,145,790 | (1,173,236) |

EXPLANATION of LINE C:

At July 1, 2012, this profession has a beginning cash balance of \$1,842,211. The cash balance will cover the deficit.

SCHEDULE 1A: DETAIL OF FEES AND RELATED PROGRAM COSTS

Department: 64 Department of Health **Budget Period: 2013-14**
Program: 64400100 Regulation and Licensing
Fund: 2352 Medical Quality Assurance Trust Fund

Specific Authority: Chapter 456, F.S.
Purpose of Fees Collected: Regulate and enforce Health Care Practitioners.
 Pharmacy

Type of Fee or Program: (Check **ONE** Box and answer questions as indicated.)

| | |
|-------------------------------------|--|
| <input checked="" type="checkbox"/> | Regulatory services or oversight to businesses or professions (Complete Sections I, II, and III and attach Examination of Regulatory Fees Form - Part I and II.) |
| <input type="checkbox"/> | Non-regulatory fees authorized to cover full cost of conducting a specific program or service. (Complete Sections I, II, and III only.) |

| <u>SECTION I - FEE COLLECTION</u> | ACTUAL FY 2011-12 | ESTIMATED FY 2012-13 | REQUEST FY 2013-14 |
|---|------------------------------|---------------------------------|-------------------------------|
| <u>Receipts:</u> | | | |
| Fees and licensees | 7,289,414 | 5,875,404 | 7,289,414 |
| Fines, forfeitures, judgments | 286,105 | 153,989 | 153,989 |
| Unlicensed activity | 153,801 | 245,275 | 138,755 |
| Miscellaneous | 10,413 | 10,413 | 10,413 |
| Total Fee Collection to Line (A) - Section III | 7,739,733 | 6,285,081 | 7,592,571 |

| <u>SECTION II - FULL COSTS</u> | | | |
|---|-------------------|------------------|------------------|
| <u>Direct Costs:</u> | | | |
| Salaries and Benefits | 2,576,345 | 2,145,547 | 2,449,803 |
| Other Personal Services | 361,441 | 371,184 | 432,285 |
| Expenses | 670,580 | 487,981 | 553,762 |
| Operating Capital Outlay | 5,562 | 5,990 | 4,086 |
| Special categories | 6,379,570 | 3,471,421 | 2,992,418 |
| | | | |
| Indirect Costs Charged to Trust Fund | 212,504 | 201,338 | 234,481 |
| Total Full Costs to Line (B) - Section III | 10,206,002 | 6,683,461 | 6,666,835 |

Basis Used: 8% of all projected costs under object: 11xxxx, 12xxxx, 15xxxx and 16xxxx.

| <u>SECTION III - SUMMARY</u> | | | | |
|-------------------------------------|-----|--------------------|------------------|----------------|
| TOTAL SECTION I | (A) | 7,739,733 | 6,285,081 | 7,592,571 |
| TOTAL SECTION II | (B) | 10,206,002 | 6,683,461 | 6,666,835 |
| TOTAL - Surplus/Deficit | (C) | (2,466,269) | (398,380) | 925,736 |

EXPLANATION of LINE C:
 At July 1, 2012, this profession has a beginning cash balance of \$1,759,146.

SCHEDULE 1A: DETAIL OF FEES AND RELATED PROGRAM COSTS

Department: 64 Department of Health **Budget Period: 2013-14**
Program: 64400100 Regulation and Licensing
Fund: 2352 Medical Quality Assurance Trust Fund

Specific Authority: Chapter 456, F.S.
Purpose of Fees Collected: Regulate and enforce Health Care Practitioners.
 Physical Theraphy

Type of Fee or Program: (Check **ONE** Box and answer questions as indicated.)

| | |
|-------------------------------------|--|
| <input checked="" type="checkbox"/> | Regulatory services or oversight to businesses or professions (Complete Sections I, II, and III and attach Examination of Regulatory Fees Form - Part I and II.) |
| <input type="checkbox"/> | Non-regulatory fees authorized to cover full cost of conducting a specific program or service. (Complete Sections I, II, and III only.) |

SECTION I - FEE COLLECTION

| | ACTUAL FY 2011-12 | ESTIMATED FY 2012-13 | REQUEST FY 2013-14 |
|---|------------------------------|---------------------------------|-------------------------------|
| <u>Receipts:</u> | | | |
| Fees and licensees | 1,929,060 | 480,860 | 1,996,210 |
| Fines, forfeitures, judgments | 27,944 | 27,944 | 27,944 |
| Unlicensed activity | 108,269 | 9,950 | 92,875 |
| Miscellaneous | 3,010 | 2,045 | 2,045 |
| Total Fee Collection to Line (A) - Section III | 2,068,283 | 520,799 | 2,119,074 |

SECTION II - FULL COSTS

| | | | |
|---|------------------|------------------|------------------|
| <u>Direct Costs:</u> | | | |
| Salaries and Benefits | 481,967 | 410,940 | 512,362 |
| Other Personal Services | 43,212 | 71,093 | 90,410 |
| Expenses | 97,958 | 93,464 | 115,816 |
| Operating Capital Outlay | 1,060 | 1,147 | 855 |
| Special categories | 1,009,793 | 784,362 | 627,252 |
| | | | |
| Indirect Costs Charged to Trust Fund | 42,921 | 38,563 | 49,040 |
| Total Full Costs to Line (B) - Section III | 1,676,910 | 1,399,568 | 1,395,734 |

Basis Used: 8% of all projected costs under object: 11xxxx, 12xxxx, 15xxxx and 16xxxx.

SECTION III - SUMMARY

| | | | | |
|--------------------------------|-----|----------------|------------------|----------------|
| TOTAL SECTION I | (A) | 2,068,283 | 520,799 | 2,119,074 |
| TOTAL SECTION II | (B) | 1,676,910 | 1,399,568 | 1,395,734 |
| TOTAL - Surplus/Deficit | (C) | 391,373 | (878,769) | 723,340 |

EXPLANATION of LINE C:

At July 1, 2012, this profession has a beginning cash balance of \$1,424,634.

SCHEDULE 1A: DETAIL OF FEES AND RELATED PROGRAM COSTS

Department: 64 Department of Health **Budget Period: 2013-14**
Program: 64400100 Regulation and Licensing
Fund: 2352 Medical Quality Assurance Trust Fund

Specific Authority: Chapter 456, F.S.
Purpose of Fees Collected: Regulate and enforce Health Care Practitioners.
 Physicians Assistant

Type of Fee or Program: (Check **ONE** Box and answer questions as indicated.)

| | |
|-------------------------------------|--|
| <input checked="" type="checkbox"/> | Regulatory services or oversight to businesses or professions (Complete Sections I, II, and III and attach Examination of Regulatory Fees Form - Part I and II.) |
| <input type="checkbox"/> | Non-regulatory fees authorized to cover full cost of conducting a specific program or service. (Complete Sections I, II, and III only.) |

| | | | |
|--|-------------------|-------------------|-------------------|
| <u>SECTION I - FEE COLLECTION</u> | ACTUAL | ESTIMATED | REQUEST |
| | FY 2011-12 | FY 2012-13 | FY 2013-14 |

Receipts:

| | | | |
|---|------------------|----------------|------------------|
| Fees and licensees | 2,474,335 | 361,932 | 1,985,757 |
| Fines, forfeitures, judgments | 9,764 | 5,000 | 5,000 |
| Unlicensed activity | 3,380 | 2,765 | 27,005 |
| Miscellaneous | 850 | 850 | 850 |
| Total Fee Collection to Line (A) - Section III | 2,488,329 | 370,547 | 2,018,612 |

SECTION II - FULL COSTS

Direct Costs:

| | | | |
|---|------------------|------------------|------------------|
| Salaries and Benefits | 518,837 | 424,907 | 468,584 |
| Other Personal Services | 55,108 | 73,510 | 82,685 |
| Expenses | 89,107 | 96,641 | 105,920 |
| Operating Capital Outlay | 957 | 1,186 | 782 |
| Special categories | 481,324 | 727,276 | 570,335 |
| Indirect Costs Charged to Trust Fund | 38,255 | 39,873 | 44,850 |
| Total Full Costs to Line (B) - Section III | 1,183,588 | 1,363,393 | 1,273,156 |

Basis Used: 8% of all projected costs under object: 11xxxx, 12xxxx, 15xxxx and 16xxxx.

SECTION III - SUMMARY

| | | | | |
|--------------------------------|------------|------------------|------------------|----------------|
| TOTAL SECTION I | (A) | 2,488,329 | 370,547 | 2,018,612 |
| TOTAL SECTION II | (B) | 1,183,588 | 1,363,393 | 1,273,156 |
| TOTAL - Surplus/Deficit | (C) | 1,304,741 | (992,846) | 745,456 |

EXPLANATION of LINE C:

At July 1, 2012, this profession has a beginning cash balance of \$1,393,184.

SCHEDULE 1A: DETAIL OF FEES AND RELATED PROGRAM COSTS

Department: 64 Department of Health **Budget Period: 2013-14**
Program: 64400100 Regulation and Licensing
Fund: 2352 Medical Quality Assurance Trust Fund

Specific Authority: Chapter 456, F.S.
Purpose of Fees Collected: Regulate and enforce Health Care Practitioners.
 Podiatry

Type of Fee or Program: (Check **ONE** Box and answer questions as indicated.)

| | |
|-------------------------------------|--|
| <input checked="" type="checkbox"/> | Regulatory services or oversight to businesses or professions (Complete Sections I, II, and III and attach Examination of Regulatory Fees Form - Part I and II.) |
| <input type="checkbox"/> | Non-regulatory fees authorized to cover full cost of conducting a specific program or service. (Complete Sections I, II, and III only.) |

SECTION I - FEE COLLECTION

| | ACTUAL | ESTIMATED | REQUEST |
|--|-------------------|-------------------|-------------------|
| | FY 2011-12 | FY 2012-13 | FY 2013-14 |

Receipts:

| | | | |
|---|----------------|----------------|----------------|
| Fees and licensees | 731,564 | 66,202 | 675,452 |
| Fines, forfeitures, judgments | 39,810 | 35,036 | 35,036 |
| Unlicensed activity | 11,200 | 1,160 | 9,525 |
| Miscellaneous | 761 | 701 | 701 |
| Total Fee Collection to Line (A) - Section III | 783,335 | 103,099 | 720,714 |

SECTION II - FULL COSTS

Direct Costs:

| | | | |
|---|----------------|----------------|----------------|
| Salaries and Benefits | 165,765 | 209,382 | 202,428 |
| Other Personal Services | 32,885 | 36,223 | 35,720 |
| Expenses | 45,085 | 47,622 | 45,757 |
| Operating Capital Outlay | 349 | 585 | 338 |
| Special categories | 206,190 | 187,039 | 246,241 |
| Indirect Costs Charged to Trust Fund | 13,763 | 19,648 | 19,375 |
| Total Full Costs to Line (B) - Section III | 464,037 | 500,498 | 549,858 |

Basis Used: 8% of all projected costs under object: 11xxxx, 12xxxx, 15xxxx and 16xxxx.

SECTION III - SUMMARY

| | | | | |
|--------------------------------|-----|----------------|------------------|----------------|
| TOTAL SECTION I | (A) | 783,335 | 103,099 | 720,714 |
| TOTAL SECTION II | (B) | 464,037 | 500,498 | 549,858 |
| TOTAL - Surplus/Deficit | (C) | 319,298 | (397,399) | 170,856 |

EXPLANATION of LINE C:

At July 1, 2012, this profession has a beginning cash balance of \$326,024. The cash balance will cover the deficit.

SCHEDULE 1A: DETAIL OF FEES AND RELATED PROGRAM COSTS

Department: 64 Department of Health **Budget Period: 2013-14**
Program: 64400100 Regulation and Licensing
Fund: 2352 Medical Quality Assurance Trust Fund

Specific Authority: Chapter 456, F.S.
Purpose of Fees Collected: Regulate and enforce Health Care Practitioners.
 Psychology

Type of Fee or Program: (Check **ONE** Box and answer questions as indicated.)

| | |
|-------------------------------------|--|
| <input checked="" type="checkbox"/> | Regulatory services or oversight to businesses or professions (Complete Sections I, II, and III and attach Examination of Regulatory Fees Form - Part I and II.) |
| <input type="checkbox"/> | Non-regulatory fees authorized to cover full cost of conducting a specific program or service. (Complete Sections I, II, and III only.) |

| SECTION I - FEE COLLECTION | ACTUAL FY 2011-12 | ESTIMATED FY 2012-13 | REQUEST FY 2013-14 |
|---|------------------------------|---------------------------------|-------------------------------|
| <u>Receipts:</u> | | | |
| Fees and licensees | 1,825,536 | 249,033 | 1,760,883 |
| Fines, forfeitures, judgments | 28,183 | 28,183 | 28,183 |
| Unlicensed activity | 22,715 | 1,220 | 21,150 |
| Miscellaneous | 1,192 | 1,192 | 1,192 |
| Total Fee Collection to Line (A) - Section III | 1,877,626 | 279,628 | 1,811,408 |

| SECTION II - FULL COSTS | ACTUAL FY 2011-12 | ESTIMATED FY 2012-13 | REQUEST FY 2013-14 |
|---|------------------------------|---------------------------------|-------------------------------|
| <u>Direct Costs:</u> | | | |
| Salaries and Benefits | 409,864 | 369,306 | 362,666 |
| Other Personal Services | 41,534 | 63,891 | 63,995 |
| Expenses | 87,632 | 83,995 | 81,978 |
| Operating Capital Outlay | 717 | 1,031 | 605 |
| Special categories | 647,704 | 773,400 | 449,102 |
| | | | |
| Indirect Costs Charged to Trust Fund | 28,692 | 34,656 | 34,712 |
| Total Full Costs to Line (B) - Section III | 1,216,142 | 1,326,277 | 993,059 |

Basis Used: 8% of all projected costs under object: 11xxxx, 12xxxx, 15xxxx and 16xxxx.

| SECTION III - SUMMARY | | ACTUAL FY 2011-12 | ESTIMATED FY 2012-13 | REQUEST FY 2013-14 |
|--------------------------------|------------|------------------------------|---------------------------------|-------------------------------|
| TOTAL SECTION I | (A) | 1,877,626 | 279,628 | 1,811,408 |
| TOTAL SECTION II | (B) | 1,216,142 | 1,326,277 | 993,059 |
| TOTAL - Surplus/Deficit | (C) | 661,484 | (1,046,649) | 818,349 |

EXPLANATION of LINE C:

At July 1, 2012, this profession has a beginning cash balance of \$1,354,886.

SCHEDULE 1A: DETAIL OF FEES AND RELATED PROGRAM COSTS

Department: 64 Department of Health **Budget Period: 2013-14**
Program: 64400100 Regulation and Licensing
Fund: 2352 Medical Quality Assurance Trust Fund

Specific Authority: Chapter 456, F.S.
Purpose of Fees Collected: Regulate and enforce Health Care Practitioners.
 Respiratory Therapy

Type of Fee or Program: (Check **ONE** Box and answer questions as indicated.)

| | |
|-------------------------------------|--|
| <input checked="" type="checkbox"/> | Regulatory services or oversight to businesses or professions (Complete Sections I, II, and III and attach Examination of Regulatory Fees Form - Part I and II.) |
| <input type="checkbox"/> | Non-regulatory fees authorized to cover full cost of conducting a specific program or service. (Complete Sections I, II, and III only.) |

| <u>SECTION I - FEE COLLECTION</u> | ACTUAL | ESTIMATED | REQUEST |
|---|-------------------|-------------------|-------------------|
| | FY 2011-12 | FY 2012-13 | FY 2013-14 |
| <u>Receipts:</u> | | | |
| Fees and licensees | 235,380 | 1,586,006 | 235,380 |
| Fines, forfeitures, judgments | 60,873 | 21,856 | 21,856 |
| Unlicensed activity | 5,840 | 46,885 | 11,545 |
| Miscellaneous | 835 | 688 | 688 |
| Total Fee Collection to Line (A) - Section III | 302,928 | 1,655,435 | 269,469 |

| <u>SECTION II - FULL COSTS</u> | | | |
|---|------------------|----------------|----------------|
| <u>Direct Costs:</u> | | | |
| Salaries and Benefits | 314,508 | 340,980 | 297,888 |
| Other Personal Services | 48,694 | 58,990 | 52,564 |
| Expenses | 56,899 | 77,552 | 67,336 |
| Operating Capital Outlay | 699 | 952 | 497 |
| Special categories | 588,287 | 479,863 | 361,693 |
| | | | |
| Indirect Costs Charged to Trust Fund | 28,225 | 31,998 | 28,512 |
| Total Full Costs to Line (B) - Section III | 1,037,312 | 990,334 | 808,490 |

Basis Used: 8% of all projected costs under object: 11xxxx, 12xxxx, 15xxxx and 16xxxx.

| <u>SECTION III - SUMMARY</u> | | | |
|-------------------------------------|------------|------------------|----------------|
| TOTAL SECTION I | (A) | 302,928 | 1,655,435 |
| TOTAL SECTION II | (B) | 1,037,312 | 990,334 |
| TOTAL - Surplus/Deficit | (C) | (734,384) | 665,101 |

EXPLANATION of LINE C:

SCHEDULE 1A: DETAIL OF FEES AND RELATED PROGRAM COSTS

Department: 64 Department of Health **Budget Period: 2013-14**
Program: 64400100 Regulation and Licensing
Fund: 2352 Medical Quality Assurance Trust Fund

Specific Authority: Chapter 456, F.S.
Purpose of Fees Collected: Regulate and enforce Health Care Practitioners.
 School Psychology

Type of Fee or Program: (Check **ONE** Box and answer questions as indicated.)

| | |
|-------------------------------------|--|
| <input checked="" type="checkbox"/> | Regulatory services or oversight to businesses or professions (Complete Sections I, II, and III and attach Examination of Regulatory Fees Form - Part I and II.) |
| <input type="checkbox"/> | Non-regulatory fees authorized to cover full cost of conducting a specific program or service. (Complete Sections I, II, and III only.) |

| | | | |
|--|-------------------|-------------------|-------------------|
| <u>SECTION I - FEE COLLECTION</u> | ACTUAL | ESTIMATED | REQUEST |
| | FY 2011-12 | FY 2012-13 | FY 2013-14 |

Receipts:

| | | | |
|---|----------------|---------------|----------------|
| Fees and licensees | 156,911 | 20,315 | 151,635 |
| Fines, forfeitures, judgments | 15 | 15 | 15 |
| Unlicensed activity | 3,560 | 190 | 3,560 |
| Miscellaneous | 48 | 58 | 58 |
| Total Fee Collection to Line (A) - Section III | 160,534 | 20,578 | 155,268 |

SECTION II - FULL COSTS

Direct Costs:

| | | | |
|---|----------------|----------------|---------------|
| Salaries and Benefits | 19,629 | 16,049 | 24,560 |
| Other Personal Services | 258 | 2,776 | 4,334 |
| Expenses | 4,190 | 3,650 | 5,552 |
| Operating Capital Outlay | 69 | 45 | 41 |
| Special categories | 137,243 | 112,483 | 29,923 |
| Indirect Costs Charged to Trust Fund | 2,799 | 1,506 | 2,351 |
| Total Full Costs to Line (B) - Section III | 164,188 | 136,509 | 66,760 |

Basis Used: 8% of all projected costs under object: 11xxxx, 12xxxx, 15xxxx and 16xxxx.

SECTION III - SUMMARY

| | | | | |
|--------------------------------|------------|----------------|------------------|---------------|
| TOTAL SECTION I | (A) | 160,534 | 20,578 | 155,268 |
| TOTAL SECTION II | (B) | 164,188 | 136,509 | 66,760 |
| TOTAL - Surplus/Deficit | (C) | (3,654) | (115,931) | 88,508 |

EXPLANATION of LINE C:

At July 1, 2012, this profession has a beginning cash balance of \$211,213.

SCHEDULE 1A: DETAIL OF FEES AND RELATED PROGRAM COSTS

Department: 64 Department of Health **Budget Period: 2013-14**
Program: 64400100 Regulation and Licensing
Fund: 2352 Medical Quality Assurance Trust Fund

Specific Authority: Chapter 456, F.S.
Purpose of Fees Collected: Regulate and enforce Health Care Practitioners.
Speech - Language Pathology & Audiology

Type of Fee or Program: (Check **ONE** Box and answer questions as indicated.)

| | |
|-------------------------------------|--|
| <input checked="" type="checkbox"/> | Regulatory services or oversight to businesses or professions (Complete Sections I, II, and III and attach Examination of Regulatory Fees Form - Part I and II.) |
| <input type="checkbox"/> | Non-regulatory fees authorized to cover full cost of conducting a specific program or service. (Complete Sections I, II, and III only.) |

| <u>SECTION I - FEE COLLECTION</u> | ACTUAL FY 2011-12 | ESTIMATED FY 2012-13 | REQUEST FY 2013-14 |
|---|------------------------------|---------------------------------|-------------------------------|
| <u>Receipts:</u> | | | |
| Fees and licensees | 1,390,795 | 288,898 | 1,367,203 |
| Fines, forfeitures, judgments | 23,607 | 23,607 | 23,607 |
| Unlicensed activity | 49,661 | 5,330 | 39,960 |
| Miscellaneous | 638 | 638 | 638 |
| Total Fee Collection to Line (A) - Section III | 1,464,701 | 318,473 | 1,431,408 |

| <u>SECTION II - FULL COSTS</u> | | | |
|---|------------------|------------------|----------------|
| <u>Direct Costs:</u> | | | |
| Salaries and Benefits | 211,321 | 204,202 | 245,386 |
| Other Personal Services | 14,732 | 35,327 | 43,300 |
| Expenses | 45,064 | 46,443 | 55,468 |
| Operating Capital Outlay | 490 | 570 | 409 |
| Special categories | 1,033,118 | 1,033,665 | 298,257 |
| | | | |
| Indirect Costs Charged to Trust Fund | 19,828 | 19,162 | 23,487 |
| Total Full Costs to Line (B) - Section III | 1,324,553 | 1,339,370 | 666,307 |

Basis Used: 8% of all projected costs under object: 11xxxx, 12xxxx, 15xxxx and 16xxxx.

| <u>SECTION III - SUMMARY</u> | | | | |
|-------------------------------------|-----|----------------|--------------------|----------------|
| TOTAL SECTION I | (A) | 1,464,701 | 318,473 | 1,431,408 |
| TOTAL SECTION II | (B) | 1,324,553 | 1,339,370 | 666,307 |
| TOTAL - Surplus/Deficit | (C) | 140,148 | (1,020,897) | 765,101 |

EXPLANATION of LINE C:

At July 1, 2012, this profession has a beginning cash balance of \$2,115,130. The cash balance will cover the deficit.

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

| | |
|-----------------------------|--------------------------------------|
| Department Title: | Budget Period: 2013 - 2014 |
| Trust Fund Title: | Department of Health |
| Budget Entity: | Medical Quality Assurance Trust Fund |
| LAS/PBS Fund Number: | 64400100 |
| | 2352 |

| | Balance as of 6/30/2012 | | SWFS* Adjustments | Adjusted Balance |
|---|----------------------------|-----|----------------------|-------------------------|
| Chief Financial Officer's (CFO) Cash Balance | 32,838,457.75 | (A) | | 32,838,457.75 |
| ADD: Other Cash (See Instructions) | 137,466.44 | (B) | | 137,466.44 |
| ADD: Investments | | (C) | | 0.00 |
| ADD: Outstanding Accounts Receivable | 7,010,128.22 | (D) | | 7,010,128.22 |
| ADD: _____ | | (E) | | 0.00 |
| Total Cash plus Accounts Receivable | 39,986,052.41 | (F) | 0.00 | 39,986,052.41 |
| LESS Allowances for Uncollectibles | (2,057,198.19) | (G) | | (2,057,198.19) |
| LESS Approved "A" Certified Forwards | (2,663,471.60) | (H) | 2,159.48 | (2,661,312.12) |
| Approved "B" Certified Forwards | (968,353.43) | (H) | | (968,353.43) |
| Approved "FCO" Certified Forwards | | (H) | | 0.00 |
| LESS: Other Accounts Payable (Nonoperating) | (1,517,429.84) | (I) | | (1,517,429.84) |
| LESS: _____ | | (J) | | 0.00 |
| Unreserved Fund Balance, 07/01/12 | 32,779,599.35 | (K) | 2,159.48 | 32,781,758.83 ** |

Notes:

*SWFS = Statewide Financial Statement

** This amount should agree with Line I, Section IV of the Schedule I for the most recent completed fiscal year and Line A for the following year.

RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC

Budget Period: 2013 - 2014

| | |
|-----------------------------|--------------------------------------|
| Department Title: | Department of Health |
| Trust Fund Title: | Medical Quality Assurance Trust Fund |
| LAS/PBS Fund Number: | 2352/64400100 |

BEGINNING TRIAL BALANCE:

Total Fund Balance Per FLAIR Trial Balance, 07/01/12

| | | |
|--|---------------|-----|
| Total all GLC's 5XXXX for governmental funds; GLC 539XX for proprietary and fiduciary funds | 32,240,986.35 | (A) |
|--|---------------|-----|

| | | |
|---|--|-----|
| Subtract Nonspendable Fund Balance (GLC 56XXX) | | (B) |
|---|--|-----|

Add/Subtract Statewide Financial Statement (SWFS) Adjustments :

| | | |
|---|----------|-----|
| SWFS Adjustment #B6400003 Reduce Accounts Payable | 2,159.48 | (C) |
|---|----------|-----|

| | | |
|-----------------------------------|--|-----|
| SWFS Adjustment # and Description | | (C) |
|-----------------------------------|--|-----|

Add/Subtract Other Adjustment(s):

| | | |
|---|--------------|-----|
| Approved "B" Carry Forward (Encumbrances) per LAS/PBS | (968,353.43) | (D) |
|---|--------------|-----|

| | | |
|--|--|-----|
| Approved "C" Carry Forward Total (FCO) per LAS/PBS | | (D) |
|--|--|-----|

| | | |
|----------------------------------|------------|-----|
| A/P not C/F-Operating Categories | 112,139.76 | (D) |
|----------------------------------|------------|-----|

| | | |
|--|--------------|-----|
| G/L 486XX - Long Term Compensated Absences Liability | 1,394,826.67 | (D) |
|--|--------------|-----|

| | | |
|--|--|-----|
| | | (D) |
|--|--|-----|

| | | |
|--|--|-----|
| | | (D) |
|--|--|-----|

| | | |
|--|----------------------|-----|
| ADJUSTED BEGINNING TRIAL BALANCE: | 32,781,758.83 | (E) |
|--|----------------------|-----|

| | | |
|--|----------------------|-----|
| UNRESERVED FUND BALANCE, SCHEDULE IC (Line I) | 32,781,758.83 | (F) |
|--|----------------------|-----|

| | | |
|--------------------|-------------|------|
| DIFFERENCE: | 0.00 | (G)* |
|--------------------|-------------|------|

***SHOULD EQUAL ZERO.**

DEPARTMENT OF HEALTH

SCHEDULE IV-B

FOR

MQA TRANSFORMATION PROJECT

FOR

FISCAL YEAR 2013-14



State of Florida

The Florida Legislature
Governor's Office of Policy and Budget

October 15, 2012

DOCUMENT CONTROL

Change Record

| Date | Author | Version | Change Reference |
|---------|--------------|---------|------------------|
| 10/6/12 | Lola Pouncey | 1.0 | Initial Version |
| | | | |

Contributors List

| Name | Affiliation |
|---------------------|--|
| Allison Stachnik | MQA PM |
| Angela Harrison | IT |
| Candy Tyre | MQA PM |
| Daniela Lee | MQA PM |
| David Osteen | IT |
| Dennis Caldwell | IT - Sr. DBA/Consultant |
| Diane Dennin | MQA Finance |
| Jay Weinberg | IT PM |
| Kevin Convery | SSRC Open Systems and Database Manager |
| Kim Dillenschneider | MQA |
| Lola Pouncey | MQA Planning Officer |
| Melinda Simmons | Sr. Health Budget Analyst |

Table of Contents

| | |
|--|-----|
| List of Tables..... | 5 |
| List of Figures | 6 |
| 1. Cover Sheet and Executive Summary | 7 |
| 1.1. CoverSheet..... | 7 |
| 1.2. Executive Summary | 8 |
| 2. Schedule IV-B Business Case..... | 13 |
| 2.1. Background and Strategic Needs Assessment | 13 |
| 2.2. Baseline Analysis | 19 |
| 2.3. Proposed Business Process Requirements | 26 |
| 3. Schedule IV-B Cost Benefit Analysis | 30 |
| 3.1. Benefits Realization Table..... | 30 |
| 3.2. MQA Transformation Benefits Realization Strategy..... | 32 |
| 3.3. Cost Benefit Analysis (CBA) Forms..... | 34 |
| 3.4. CBA Analysis and Results..... | 38 |
| 4. Major Project Risk Assessment Component..... | 39 |
| 4.1. Risk Assessment Tool..... | 39 |
| 4.2. Risk Assessment Summary..... | 39 |
| 5. Technology Planning Component | 41 |
| 5.1. Current Information Technology Environment | 41 |
| 5.2. Proposed Solution Description | 67 |
| 5.3. Capacity Planning | 68 |
| 5.4. Analysis of Alternatives | 69 |
| 6. Project Management Planning Component..... | 83 |
| 6.1. Project Charter | 83 |
| 7.2. Work Breakdown Structure | 93 |
| 7.3. Resource Loaded Project Schedule | 95 |
| 7.4. Project Budget..... | 96 |
| 7.5. Project Organization | 97 |
| 7.6. Project Quality Control | 100 |
| 7.7. External Project Oversight | 101 |
| 7.8. Risk Management | 102 |
| 7.9. Organizational Change Management | 110 |
| 7.10. Project Communication | 110 |
| 7.11. Special Authorization Requirements..... | 111 |
| 8. Appendices..... | 112 |
| A. Preliminary MQA Transformation Project Schedule..... | 112 |
| B. SSRC Hardware Estimates | 117 |
| C. CBA Forms..... | 117 |

D. Risk Analysis Tool..... 117
E. LicenseEase (COMPAS) Enhancement List..... 118

List of Tables

| | |
|--|-----|
| Table 1-1 – Annual Recurring Tangible Benefits..... | 10 |
| Table 2-1 – Alignment of HB-1263 Objectives and Transformation Project..... | 15 |
| Table 2-2 – Mission Critical Infrastructure and Software at End of Life..... | 16 |
| Table 2-3 – Transformation Project Stakeholders..... | 18 |
| Table 2-4 – Alignment of LRPP and Transformation Project..... | 19 |
| Table 3-1 – Benefit Realization Table..... | 31 |
| Table 3-2 – Investment Value Summary..... | 38 |
| Table 5-1 – Support Status of Software..... | 42 |
| Table 5-2 – Internal Interfaces..... | 44 |
| Table 5-3 – External Interfaces..... | 45 |
| Table 5-4 – Server Data Retention Schedule..... | 50 |
| Table 5-5 – Current System Resource Requirements..... | 57 |
| Table 5-6 – Alternative 1 Hardware / Software Impacts..... | 70 |
| Table 5-7 – Alternative 1 Advantages & Disadvantages..... | 71 |
| Table 5-8 – Alternative 2 Hardware / Software Impacts..... | 71 |
| Table 5-9 – Alternative 2 Advantages & Disadvantages..... | 72 |
| Table 5-10 – Alternative 3 Hardware / Software Impacts..... | 73 |
| Table 5-11 – Alternative 3 Advantages & Disadvantages..... | 74 |
| Table 5-12 – Alternative 4 Hardware / Software Impacts..... | 75 |
| Table 5-13 – Alternative 4 Advantages & Disadvantages..... | 76 |
| Table 5-14 – Alternative Evaluation Criteria..... | 77 |
| Table 5-15 – Alternative Weighing Factors..... | 77 |
| Table 5-16 – Alternative Scoring Criteria..... | 78 |
| Table 5-17 – Alternative 1 Scoring Rationale..... | 79 |
| Table 5-18 – Alternative 2 Scoring Rationale..... | 80 |
| Table 5-19 – Alternative 3 Scoring Rationale..... | 80 |
| Table 5-20 – Alternative 4 Scoring Rationale..... | 81 |
| Table 6-1 – Preliminary List of Project Deliverables..... | 89 |
| Table 6-2 – Stakeholders Affected by the MQA Transformation Project..... | 90 |
| Table 6-3 – Project Milestones..... | 91 |
| Table 6-4 – Project Organization Members - Roles & Descriptions..... | 100 |
| Table 6-5 – MQA Quality Standards by Project Area..... | 101 |
| Table 6-6 – Risk Management High-Level Workflow..... | 104 |
| Table 6-7 – Risks and Mitigation Strategies..... | 109 |
| Table A-1 – Preliminary MQA Transformation Project Schedule..... | 116 |






List of Figures

| | |
|--|-----|
| Figure 2-1 - High-Level MQA Functions..... | 21 |
| Figure 2-2 - Current Process for Examinations | 21 |
| Figure 2-3 - Current Process for Inspections..... | 22 |
| Figure 2-4 - Current Process for Applications and Licensures | 23 |
| Figure 2-5 - Current Process for Renewals | 24 |
| Figure 2-6 - Current Process for Enforcement and Compliance..... | 25 |
| Figure 2-7 - Current Process for Reporting | 26 |
| Figure 3-1 - Benefits Realization Process | 33 |
| Figure 3-2 - Net Tangible Benefits..... | 35 |
| Figure 3-3 - Project Cost Analysis | 36 |
| Figure 3-4 - Project Investment Summary | 37 |
| Figure 4-1 - Risk Assessment Summary | 39 |
| Figure 4-2 - Project Risk Area Breakdown | 40 |
| Figure 5-1 - Current Production Infrastructure..... | 46 |
| Figure 5-2 - Current Test Infrastructure..... | 47 |
| Figure 5-3 - Current Development Infrastructure | 48 |
| Figure 5-4 - Current Disaster Recovery Infrastructure..... | 48 |
| Figure 5-5 - Batch Process Flow | 51 |
| Figure 5-6 - Batch Processing Diagram..... | 52 |
| Figure 5-7 - Proposed System Architecture..... | 68 |
| Figure 5-8 - Historical Transaction Volumes..... | 69 |
| Figure 5-9 - Historical Licensees per FTE | 69 |
| Figure 5-10 - Market Scan of Licensure Systems..... | 73 |
| Figure 5-11 - Alternative Scoring Results | 78 |
| Figure 6-1 - MQA Key Business Processes | 83 |
| Figure 6-2 - Proposed Change Control Process | 92 |
| Figure 6-3 - High-Level Work Breakdown Structure | 94 |
| Figure 6-4 - MQA High-Level Project Timeline..... | 95 |
| Figure 6-5 - CBAForm 2 - Project Cost Analysis | 96 |
| Figure 6-6 - Proposed Project Organization..... | 98 |
| Figure 6-7 - Risk Management Workflow Steps and Descriptions..... | 103 |

FY 2011-12 SCHEDULE IV-B FEASIBILITY STUDY FOR
MQA MODERNIZATION PROJECT

1. Cover Sheet and Executive Summary

1.1. Cover Sheet

| | |
|--|--|
| Agency: Department of Health | Schedule IV-B Submission Date: 10/15/2012 |
| Project Name: MQA Modernization Project | Is this project included in the Agency's LRPP? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No |
| FY 2013-14 LBR Issue Code: | FY 2013-14 LBR Issue Title: Versa Regulation Upgrade |
| Agency Contact for Schedule IV-B (Name, Phone #, and E-mail address): Lola Pouncey, 850-245-4064, Lola_Pouncey@doh.state.fl.us | |
| <p>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.</p> | |
| Agency Head:  Printed Name: John Armstrong, MD, FACS | Date: 10/11/12 |
| Agency Chief Information Officer (or equivalent):  Printed Name: Bob Dillenschneider | Date: 11 October 2012 |
| Budget Officer:  Printed Name: Terry Walters | Date: 10/11/12 |
| Planning Officer:  Printed Name: Lola Pouncey | Date: 10/11/12 |
| Project Sponsor:  Printed Name: Lucy C. Gee | Date: 10/11/12 |
| Business Need: | Lola Pouncey |
| Cost Benefit Analysis: | Daniela Lee, Allison Stachnik, Candy Tyre |
| Risk Analysis: | Lola Pouncey |
| Technology Planning: | Bob Dillenschneider |
| Project Planning: | Daniela Lee, Allison Stachnik, Candy Tyre |

1.2. Executive Summary

1.2.1. Introduction and Proposed Project

The Florida Department of Health, through its Division of Medical Quality Assurance (MQA), determines if health care practitioners meet minimum licensure requirements. At the end of FY 2011-12, MQA licensed, registered, or certified 1,083,767 health care practitioners, 23,809 facilities and establishments, and 48,330 continuing education providers. 100,958 initial license applications were received and 94,761 new licenses were issued. MQA, in conjunction with 22 boards and 6 councils, is responsible for regulatory activities of 200-plus license types in more than 41 health care professions and 8 types of facilities. MQA's three key business processes are licensure, enforcement and information.

The division performs its licensure and enforcement business functions using a system called the Customer Oriented Medical Practitioner Administration System (COMPAS). This system is based on a 2003 upgrade of PRAES system that was originally purchased in 1998 when the division was formed.

Section 116 of House Bill 1263 (2012) directed the Division of Medical Quality Assurance (MQA) to develop a plan to improve the efficiency of its functions. In response to this legislation, the Department has performed an analysis of best practices from within the division and other state agencies with similar functions, a consultation with its regulatory boards, an exploration of technology and other business solutions that have resulted in this efficiency improvement plan. From this analysis the division has determined a transformational effort is required to increase productivity and provide stability including the following:

- Implement a licensing system, like Versa:Regulation, that will provide the functionality, flexibility and sustainability needed by the MQA program.
- Update current processes to attain efficiencies through the use of workflow and other enabling technologies.
- Establish an infrastructure that is completely supported and stable.

The primary drivers for this effort are:

- The need for timelier licensure of practitioners, facilities and providers.
- The need to increase automation in order to meet increasing demand with current staff levels.
- Mission critical system reaching the end of renewable licensing and support.

In today's economy, States around the nation are looking to gain a competitive edge by attracting the most skilled members of the workforce. If Florida is to remain competitive it must focus on making the State one that is easy to conduct business in and reducing if not eliminating barriers to entry for professionals, this includes reducing delays in the time it takes to get licensed as a healthcare practitioner, facility or provider. Consistent with the direction provided under HB1263 (2012), if the division is to be able to meet the primary objective of reducing "the average length of time for a qualified applicant to receive initial and renewal licensure certification or registration by one-third", it must modernize the MQA licensing system (COMPAS) implemented in 2003.

The current system limits the business and technical improvements the Department can make due to the lack of workflow and real-time processing. Unlike the system currently employed by the Department of Business and Professional Regulation (DBPR), which allows for same day issuance of licenses, the COMPAS system requires the use of batch processing to complete the licensing process. These limitations result in multi-day delays in the time it takes to renew a license and issue a new license, resulting in significant foregone wages and increasing the time it takes for the applicants to gain employment. The shortcomings of the current processes and system ultimately results in a

negative impact on Florida's economic engine estimated at \$14,230,866 annually.

Even if the COMPAS system provided the functionality needed to meet the demands of the current environment, which it does not, much of the software and backend infrastructure is reaching (or has already reached) the end of its life. Most significantly, the LicenseEase software that COMPAS is based on is rapidly approaching the end of its software life as it will no longer be supported after December 31, 2013. In addition, the Sun servers used to run the software will not be supported after June 2013 and the Dell tablets being used by inspectors for mobile inspections are already unsupported. Moreover, much of the backend software (J-Initiator, Windows XP, Oracle DB and Oracle Application Server) is either unsupported or will be within the next year or two.

Within the next 12 months the system's risk of failure will grow exponentially as it is compounded by the lack of options to handle any system failures. Due to the critical licensure business supported by the COMPAS system, it is simply not a viable option to allow the system to age into such an unsupported state.

The technology maximization effort allows for several other benefits to be realized as well:

- Functionality and support for staff to conduct remote inspections via mobile devices like tablets, increasing the efficiency, speed and effectiveness of inspections and reducing the amount of time it takes to complete paperwork.
- Consistency and alignment with other state agencies who have either implemented or upgraded to Versa:Regulation (this also opens the possibility of a common back-office across state agencies for these systems).
- Increasing competition by removing the reliance on a single database vendor.

1.2.2. Costs and Benefits

The MQA Transformation Project is estimated to deliver annually recurring tangible benefits of \$14.5 million.

The enhancements included with the transformation project will include self-service functionality allowing users to obtain answers to many questions online that currently require interaction with the MQA call center. It also provides workflow functionality that represents the single biggest functional improvement offered in the upgrade and has the potential of dramatically improving operational efficiencies at MQA. It will assign applications or cases to MQA staff and allow managers to set assignment rules, create and manage work queues, monitor deadlines, set work alerts and more. Functionality will also be implemented to modernize inspections, allowing all inspections to be completed utilizing electronic forms and routing. These enhanced features will be supported by a new high availability IT infrastructure that will provide the foundation for real time processing of applicant and licensee financial transactions.

Improved automation and efficiencies throughout these areas will deliver positive, measureable impacts to the Florida economy by allowing qualified applicants to be licensed faster – getting Floridians to work, a critical initiative to rebuild Florida's economy. The MQA transformation is estimated to deliver the following annual recurring tangible benefits:

| Estimated Annual Benefit | Description of Benefit |
|--------------------------|--|
| \$14,230,866 | Reducing time to process an initial application by five days – conservatively estimated at accelerating revenue into the State of Florida economy at \$14,230,866 annually. |
| \$290,000 | Reducing postage and handling related to mailing deficiency letters and renewal postcards – estimated at \$290,000 annually. <i>Note: Contingent upon proposed legislation to allow email address to be part of the official address of record.</i> |
| \$20,000 | Standardizing and expanding electronic tablet utilization for all inspections – estimated at \$20,000 annually |
| \$14,540,866 | Total Estimated Annual Benefit |

Table 1-1 – Annual Recurring Tangible Benefits

The estimated total cost of implementing the MQA Transformation Project is \$12,150,626 over a two year period as follows:

| FY 13-14 | FY 14-15 |
|-------------|-------------|
| \$7,019,017 | \$5,131,609 |

1.2.3. Recommendation

The Feasibility Study process has concluded that it is in the best interest of MQA to proceed with the upgrade of LicenseEase (COMPAS) version 4 to Versa:Regulation 2.5. This option addresses the mandate for reducing time to license healthcare professionals, addresses the aging and largely unsupported software and infrastructure, and leverages existing data structure and business processes and from a cost perspective, makes the most sense. Other alternatives were considered including:

1. Status Quo with Windows 7 Workaround
2. Upgrade Backend Infrastructure Only
3. Procure New Licensing Software and Upgrade Infrastructure
4. Upgrade LicenseEase (COMPAS) to Versa:Regulation and Upgrade Infrastructure

Alternatives 1-4 are discussed in more detail in the Alternatives Analysis section of this document. The Department also considered the addition of staff as an alternative to meet its objectives. The analysis indicated that Alternative 4 was the clear choice and that all other alternatives should be ruled out as they either do not sufficiently address the critical issues MQA is facing or would significantly increase the cost and risk associated with achieving the directive of HB1263 (2012) of reducing by one-third, the time for a qualified applicant to receive initial and renewal licensure certification or registration. In fact without this transformational effort the current system’s performance will continue to degrade further elongating the time it takes to license healthcare professionals. In addition, the estimated recurring tangible benefits of implementing the solution outweigh the estimated costs to implement the upgrade.

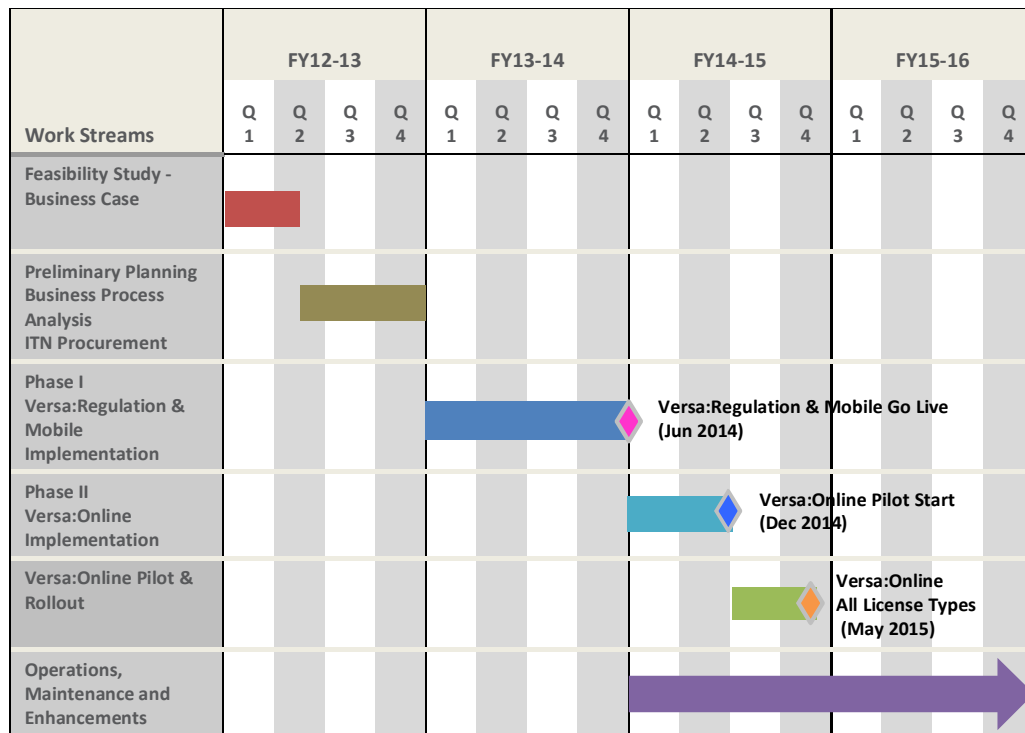
Additional advantages of upgrading from LicenseEase (COMPAS) to Versa:Regulation include:

- Real-time system. Includes real-time connection to online payments through interface for Florida ePay interface (payment service provider.) Issue with licenses not being approved until funds have physically been deposited would be corrected
- Automated workflow. Includes auto-assignment and dashboard management, integration with the existing MQA Imaging system, and improved correspondence functionality and ability to

email. It is believed this could be the single biggest improvement associated with the upgrade and will be a key contributor to reaching MQA's goals to improve the time it takes to license healthcare professionals

- Ability to pull images from database as system integrates the imaging solution into one where images are available real-time
- Database schema is 90% the same as LicenseEase (COMPAS) which will greatly reduce any data conversion effort required
- Technology alignment with other state licensing agencies including the potential for a common back-office for these agencies

This study recommends that the MQA Transformation project be conducted according to best practices in a phased plan to transition to a solution that meets the business process requirements and user needs. A preliminary, high-level project timeline is shown in the following figure.



1.2.4. Project Risks

As with any project, there are a number of project risks that need to be recognized and appropriately mitigated. The Project Management section of this document details the risks associated with the project, but most probable risks associated with this project include the following:

- Internal technical staff will not have sufficient experience with the proposed technology in the production environment
- Moderate changes to business processes impacting 650+ MQA employees directly, a new online component will be required as part of the move toward greater self-sufficiency and away from manual processes; some productivity may initially be impacted as users are trained in and become adept in the new system's business processes
- The Division does not have the necessary knowledge, skills and abilities to staff the project team with in-house resources

Several strategies to mitigate these risks have been identified and include the following:

- Include architectural consulting services in the scope of work for the project to assess the current environment against the proposed production environment(s) to identify gaps in technology infrastructure.
- Internal technical staff will work closely with the vendor technical resources to provide knowledge transfer and increase understanding of production environment(s).
 - Internal technical staff will take part in technical systems training to be included within the scope of work for the awarded vendor.
- A clear vision of project objectives will be defined and maintained by executive leadership throughout the life of the project in order to minimize the real or perceived impact of process changes on key stakeholders
- The Organizational Change Management Plan will address mitigation strategies associated with expected changes as they are identified
- Organizational Change Management activities must be given top priority throughout the project in order to facilitate the transition of the Department from its current mode of operation toward the efficiencies of a modern business system
 - Plan for and provide adequate training for user community
 - The Division will use the state's competitive procurement process to engage qualified and reputable vendors who are able to provide the necessary knowledge, skills and abilities

1.2.5. Conclusion

Highlighted by the Legislature passing HB1263 (2012), it is time for MQA to evolve its technology. The functions performed by MQA are critical to Florida and the current software and infrastructure will not allow for efficient issuance and enforcement of licenses. In addition, no amount of additional staffing will allow the Department to meet the directives outlined in HB1263 (2012). The division is currently functioning in an environment of older technology using batch processing systems with software and infrastructure that is either currently unsupported or will be unsupported in the near future. Without the technology modernization project, the time to issue licenses will be much longer than MQA, the Legislature, and the public would desire and MQA will continue to operate in an environment filled with the risk of an unrecoverable catastrophic failure. **The recommended next step is to procure a product that provides the functionality needed along with the services required to successfully implement it.**

2. Schedule IV-B Business Case

| Business Case Section | \$1-1.99M | \$2 - 10 M | | > \$10 M |
|---|-----------|-----------------------------------|-----------------------------------|----------|
| | | Routine upgrades & infrastructure | Business or organizational change | |
| Background and Strategic Needs Assessment | | | X | X |
| Baseline Analysis | | | X | X |
| Proposed Business Process Requirements | | | X | X |
| Cost Benefit Analysis | | X | X | X |

2.1. Background and Strategic Needs Assessment

2.1.1. Agency Background

The Division of Medical Quality Assurance (MQA) was established under section 20.43(3)(g), Florida Statutes, to regulate health care practitioners for the preservation of the health, safety, and welfare of the public through licensing health care professionals as well as enforcement of state laws and guidelines that pertain to licensed health care professionals. The following boards, councils and department-regulated professions are established to carry out this charge.

BOARDS

| | | |
|---|-----------------------------|---|
| Acupuncture | Medicine | Pharmacy |
| Athletic Training | Nursing | Physical Therapy Practice |
| Chiropractic Medicine | Nursing Home Administrators | Podiatric Medicine |
| Clinical Laboratory Personnel | Occupational Therapy | Psychology |
| Clinical Social Work, Marriage and Family Therapy, and Mental Health Counseling | Opticianry | Respiratory Care |
| Dentistry | Optometry | Speech-Language Pathology and Audiology |
| Hearing Aid Specialists | Orthotists and Prosthetists | |
| Massage Therapy | Osteopathic Medicine | |

COUNCILS

| | | |
|----------------------------------|--------------------|----------------------|
| Certified Nursing Assistants | Electrolysis | Medical Physicists |
| Dietetics and Nutrition Practice | Licensed Midwifery | Physician Assistants |

DEPARTMENT REGULATED PROFESSIONS

| | |
|-------------------------------|------------------------|
| Emergency Medical Technicians | Radiologic Technicians |
|-------------------------------|------------------------|

| | |
|------------|----------------------|
| Paramedics | School Psychologists |
|------------|----------------------|

At the end of FY 2011-12, MQA licensed, registered, or certified 1,083,767 healthcare practitioners, 23,809 facilities and establishments, and 48,330 continuing education providers. 100,958 initial license applications were received and 94,761 new licenses were issued. 91.42% of the 400,393 licenses renewed were renewed using the online renewal system.

To support the regulation of health care practitioners, MQA performs the following functions:

- **Examinations** – Monitoring all national examination and vendor contracts, as well as planning, coordinating and directing the development, scheduling, scoring, score reporting, post-examination reviews, defense, and security of all examinations administered by the department
- **Inspections** – Conducting on-site inspections of pharmacies, dispensing practitioners, dental laboratories, electrolysis and massage establishments with field staff located in twelve offices throughout the state
- **Application & Licensure:** Evaluating credentials of applicants for initial licensure to determine if statutorily-established minimum standards are met
- **Renewals:** Evaluating credentials of practitioners and establishments for license renewal to determine if statutorily-established minimum standards are met
- **Enforcement & Compliance** – Analyzing and investigating complaints, inspecting facilities, assisting in prosecuting violations of Florida’s regulatory statues and administrative rules, monitoring compliance of licensees with disciplinary final orders, and combating unlicensed activity

2.1.2.Statement of Need

A conservative study was performed by MQA and found the estimated statewide daily salary impact to medical professionals not being able to obtain a license is more than \$5 million. MQA needs to modernize the software and infrastructure supporting the licensure and related processes to ensure licenses are issues as quickly and efficiently as possible.

In addition, modernization of MQA would allow for all related software and infrastructure to be supported with an effective disaster recovery strategy and process. Without the modernization effort, the division runs the risk of an unrecoverable catastrophic failure costing the healthcare industry millions of dollars on a daily basis.

During the 2012 legislative session HB-1263 (Division of Medical Quality Assurance Efficiency Improvement Plan) directed the Division of Medical Quality Assurance (MQA) to develop a plan to improve the efficiency of its functions. In response to this legislation, the Department has performed an analysis of best practices from within the division and other state agencies with similar functions, consultation with its regulatory boards, and exploration of technology and other business solutions, have resulted in this efficiency improvement plan. The bill includes the following seven objectives:

- Reduce by one-third, the average length of time for a qualified applicant to receive initial and renewal licensure certification or registration
- Improve the agenda process for board meetings to increase transparency, timeliness, and usefulness for board decision making
- Improve the cost-effectiveness and efficiency of the joint functions of the division and regulatory boards
- Identify and analyze best practices within the division and other state agencies
- Identify options for information technology improvements
- Identify options for contracting with outside entities

- Identify other options the division deems useful

Not surprisingly, many of the identified efficiency improvements rely upon technology enhancements that mirror those implemented or in the process of being implemented in other state regulatory agencies. Many of the other state agencies use the proposed upgraded licensing system and have generously shared lessons learned, governance and business requirements documentation, and best practices for successful integration of the upgraded system.

MQA currently uses a system called the Customer Oriented Medical Practitioner Administration System (COMPAS) that supports the licensing of healthcare professions regulated under MQA. COMPAS is a software product entitled LicenseEase (version 4) COMPAS was implemented over a 22-month period from July 2003 to May 2005 and replaced the Department’s legacy system known as PRAES, operating in an Informix environment.

During the analysis of best practices from within the division and other state agencies with similar functions, one of the main opportunities for improvement would be to modernize the MQA environment by upgrading LicenseEase (COMPAS) to Versa:Regulation and the related infrastructure. As a by-product of this modernization effort, MQA would specifically address the following elements of HB-1263:

| HB-1263 Objective | How Transformation Effort Addresses |
|---|--|
| Reduce the average length of time for a qualified applicant to receive initial and renewal licensure certification or registration by one-third | Real-time processing (current process is batch), automated workflow, and increased online and mobile device capabilities. Part of this includes enhanced credit card processing. Today’s environment waits for all processing to be completed and funds posted into the bank account. Real-time processing will allow licenses to be issued immediately after approved in the system (days before funds are received into the account) |
| Identify options for information technology improvements | Updates software and infrastructure to current and supported technology (in addition to items previously mentioned) |
| Identify and analyze best practices within the division and other state agencies | MQA’s back office systems becomes aligned with other agencies (based on best practice analysis) |

Table 2-1 - Alignment of HB-1263 Objectives and Transformation Project

The purpose of the project would be to modernize MQA to timely collect, store, track, and deliver accurate licensure information to MQA, healthcare professionals, and the public through the following activities:

- Replacing the current COMPAS system via a migration of an end-of-life product to Versa: Regulation 2.5
- Implementing Versa: Online and Versa: Mobile (using tablets)
- Implementing workflow functionality to improve automation and reduce licensing time (available as part of Versa: Regulation) for each licensed profession
- Replacing database and other backend infrastructure

The enhancements associated with the upgrade will utilize new database and application system technologies. Automated workflow is also one of the primary enhancements associated with this upgrade and will dramatically change the way people do their jobs at MQA. To ensure full realization of this enhancement, extensive analysis of current process flows, work queues, and work assignment will be reviewed to ensure maximum efficiency is realized relating to automated workflow. Moreover, the solution will also provide for greater self-service as enhancements to the upgraded system would be through end-user configuration instead of custom IT development.

2.1.3. Mission Critical Application at End of Life

The improvements and objectives of HB-1263 are not the only challenges facing the COMPAS system. In fact the LicenseEase software that COMPAS is based on will no longer be supported as of December 31, 2013. In addition, multiple components of the hardware and backend infrastructure of COMPAS are either unsupported or quickly aging to the point where they will soon be unsupported as well. (More information on the technological issues can be found in the Technology Planning section of this document.)

The following components of the system are either currently or nearly unsupported:

| Technology | Description | Support Status |
|----------------------------------|--|---|
| LicenseEase (COMPAS) | Software providing the functionality needed for MQA to perform its business functions and meet its statutory obligations | Expires December 2013 |
| Sun Servers | Servers used to run LicenseEase (COMPAS), Oracle DB, Oracle App Server, and J-Initiator | Expires June 2013 |
| Dell XT Tablets | Tablets used for inspections | Expired |
| Oracle Database (10.2.0.5 10gR2) | Database platform used for LicenseEase (COMPAS) | Expires July 2013 |
| Oracle App Server (10.1.2) | Backend application server used for LicenseEase (COMPAS) | Current, but likely to expire in the next couple of years |
| J-Initiator | Backend application used render the UI | Expired |
| Windows XP | Desktop operating system used by users of LicenseEase (COMPAS) | Expires April 2014 |

Table 2-2 – Mission Critical Infrastructure and Software at End of Life

The organization has reached a critical point where the system must be updated to new technology platforms or face the real risk of having a mission critical application that will not be supported in the event of any system failure. Failure would result in significant delays in licenses being issued, renewed, and monitored. As previously mentioned, a very conservative study was performed by MQA and found the estimated daily salary impact to medical professionals not being able to obtain a license is more than \$5 million.

2.1.4. Stakeholders

The Project Management Institute defines a stakeholder as “anyone who may be positively or negatively impacted by the project.” The below table lists the project’s stakeholders identified-to-date and how each will be affected by, or will participate in, the system transformation project.

**FY 2011-12 SCHEDULE IV-B FEASIBILITY STUDY FOR
MQA MODERNIZATION PROJECT**

| Stakeholder | How affected and/or how they participate |
|---|---|
| MQA Board Office Staff | Key internal users of target system. Involvement includes participants in JAD sessions, and reviewers and approvers of requirements and functional design specifications |
| MQA Enforcement Unit (including Consumer Services, Investigation Services, Prosecution Services, and Compliance Monitoring) | Key internal users of target system. Involvement includes participants in JAD sessions, and reviewers and approvers of requirements and functional design specifications |
| MQA Call Center | Key internal users of target system. Involvement includes participants in JAD sessions, and reviewers and approvers of requirements and functional design specifications |
| MQA Clerk's Office | Key internal users of target system. Involvement includes participants in JAD sessions, and reviewers and approvers of requirements and functional design specifications |
| MQA Practitioner Reporting and Exam Services | Key internal users of target system. Involvement includes participants in JAD sessions, and reviewers and approvers of requirements and functional design specifications |
| MQA License Services Unit | Key internal users of target system. Involvement includes participants in JAD sessions, and reviewers and approvers of requirements and functional design specifications |
| MQA Systems Support Services | Key internal users and system administrators of target system. Involvement includes participants in JAD sessions, and reviewers and approvers of requirements and functional design specifications |
| Department of Health/Division of Information Technology | Target system must ultimately integrate with DIT technical architecture. Project must follow PMO standards. Selected DIT staff will provide information pertaining to current systems, participate in JAD sessions and approve technical requirements |
| Consumers | Key external users of the target system. External users will be required to register in the new system to create an online account to conduct business electronically with MQA. Examples include: online applications for licensure, online renewals, and checking status of application online |
| Image API | Vendor that provides application and hosting services for the MQA Imaging System, which interfaces with the existing LicenseEase (COMPAS) system |

Table 2-3 – Transformation Project Stakeholders

2.1.5. Program Objectives

The Department of Health (DOH) has documented its goals and strategic objectives in a Long-Range Program Plan (LRPP). Specific business objectives and outcomes were defined and aligned with the goals for public assistance services. The Goals are depicted below:

1. Prevent and Treat Diseases of Public Health Interest
2. Provide Access to Care for Children with Special Health Care Needs
3. Ensure Florida’s Health and Medical System Achieves and Maintains National Preparedness Capabilities
4. Improve Access to Basic Family Health Care Services
5. Prevent Diseases of Environmental Origin
6. Prevent and Reduce Tobacco Use
7. Ensure Health Care Practitioners meet Relevant Standards of Knowledge and Care
8. Enhance and Improve Emergency Medical Systems
9. Process Medical Disability Determinations

As part of this plan, the division of Medical Quality Assurance has identified 5 operational goals to assist with goal #7 from above (Ensure Health Care Practitioners meet Relevant Standards of Knowledge and Care.) The following identifies those goals and how MQA transformation will help achieve these goals:

| # | Operational Goals from LRPP | Key Elements of MQA Transformation to assist with Goal |
|---|--|---|
| 1 | License expeditiously all health care practitioners who meet statutorily mandated minimum standards of competency | <ul style="list-style-type: none"> • Move from batch to real-time processing (Practitioners will be able to have their renewal approved the same day it is processed) • Automated workflow (includes auto-assignment and dashboard management) • Integration with existing MQA imaging system • Improved correspondence methods |
| 2 | Enforce health care standards through education, remediation, and timely discipline of health care practitioners found in violation of the law | <p>Reduction in time to process cases resulting from:</p> <ul style="list-style-type: none"> • Integration with imaging system for case related information • Workflow functionality to assist with management of workload, case assignments, elevation and notification of high priority cases, and e-mail notifications to enforcement staff <p>As a result of all inspectors and investigators having a mobile solution, modernization will allow for real-time updates in the licensing system, reduced data entry errors (thus greater data integrity), and the ability to sort workload on-demand</p> |

| # | Operational Goals from LRPP | Key Elements of MQA Transformation to assist with Goal |
|---|---|---|
| 3 | Inform stakeholders by providing accessible, timely, and accurate information to assist them in making health care, business, and policy decisions | Solution is browser based providing for easier access by remote field offices or field workers |
| 4 | Motivate the workforce to achieve excellence | Ability to attract and retain talented employees due to exposure to newer, more efficient applications and systems |
| 5 | Minimize licensure costs, while maintaining a sufficient cash balance, through cost effective operations to ensure that all fees are reasonable, fair, and do not serve as a barrier to licensure | Many of the benefits identified have resulted in cost avoidance contributing to the effort to minimize licensure costs. Examples of these benefits include reduced time for incoming calls to the call center (not having to increase staff to reduce response times), reduced postage and handling costs, etc. |

Table 2-4 – Alignment of LRPP and Transformation Project

2.2. Baseline Analysis

Purpose: To establish a basis for understanding the business processes, stakeholder groups, and current technologies that will be affected by the project and the level of business transformation that will be required for the project to be successful.

2.2.1. Current Business Process Requirements

Currently, business process requirements for MQA are primarily met through LicenseEase (COMPAS) along with other custom developed solutions. The project team worked to identify and elaborate requirements for the new system. During this stage the project team members worked to analyze current business processes and systems, identify requirements for the new system, specify the technical architecture considering architectural and security standards and constraints, analyze requirements for interfaces and reports to elicit requirements for the system.

The benefits delivered to MQA during this stage

- Business process improvement recommendations
- Identification of key requirements and early resolution of issues
- Change control established before design and development
- Detailed and stable information for user interface, system interface, and report requirements
- Business process requirements that are tightly integrated with the system requirements
- Project activities that are clearly defined and maintained through design activities

Key outcomes

- Business processes identification and mapping
- Requirements identification, documentation, and approval
- Change readiness assessment

Discovery Process

The team started by reviewing the existing environment. This process included compiling the background information needed to develop the process and technology requirements. Key activities in

this step included:

1. Review of existing organization structure
2. Compiling documents and data for relevant background information
3. Review of existing technology systems
4. Review of existing legal and regulatory policies (e.g., records retention)
5. Identification and review of existing business metrics (volumes, staffing, performance measures, etc.)
6. Development of the system context diagram

2.2.2. Issues with Current Process and Technology

- Not able to meet mandate and goal to improve time it takes to license health care professionals with the current processes, hardware and infrastructure. Also relates to credit card processing and fact current environment will not post to licensing system until funds have physically been received into the system
- Risk of unrecoverable catastrophic system failure due to various components of the software and hardware infrastructure either not being supported or near end of support. Technical and manual process alternatives are being utilized in some cases to keep systems functioning in an unsupported environment
- Current disaster recovery process would likely yield extended business outage and inability for licenses to be issued during the outage period
- Not all inspectors have tablets resulting in a lag between inspections performed and updates made in the system
- Current environment requires regular downtime due to the current software/hardware infrastructure

More detail can be found in the technology section of this document

2.2.3. Business Process Improvement Recommendations

During the course of the MQA Transformation feasibility project, process improvement opportunities were identified. A couple of the key improvement opportunities identified as part of the MQA Transformation included:

- Move from batch to real-time processing environment
- Update software and infrastructure to current and supported technology

Inherent to the technologies proposed as part of the MQA Transformation are numerous efficiencies gained by implementing this system. For example, by leveraging workflow and document management technologies in the proposed system, current manual processes and tracking of paper documents becomes streamlined. While these efficiencies are fairly significant, there are other opportunities for process improvement that have not been identified. Through a structured Business Process Reengineering (BPR) exercise these efficiencies could be identified and incorporated into the new system.

2.2.4. Business Process Descriptions and Benefits

The following section describes the various functions of MQA and the perceived benefit of modernizing MQA.

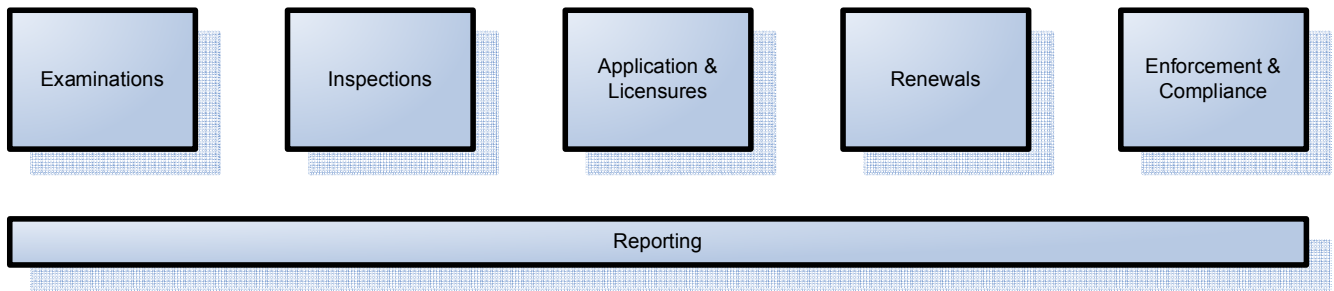


Figure 2-1 - High-Level MQA Functions

2.2.4.1. Examinations

Practitioner Reporting & Examination Services (PRES)

- Monitors all national examination and vendor contracts
- Plans, coordinates and directs the development, scheduling, scoring, score reporting, post-examination reviews, defense, and security of all examinations administered by the department
- Conducts background screenings of profiled professions at renewal, interfacing with data from FDLE and NPDB and entering this data into the licensing system
- Reports disciplinary adverse actions taken against all licensees by the licensing Boards to the Healthcare Integrity & Protection Data Bank (HIPDB)
- interfaces with the MQA Imaging system

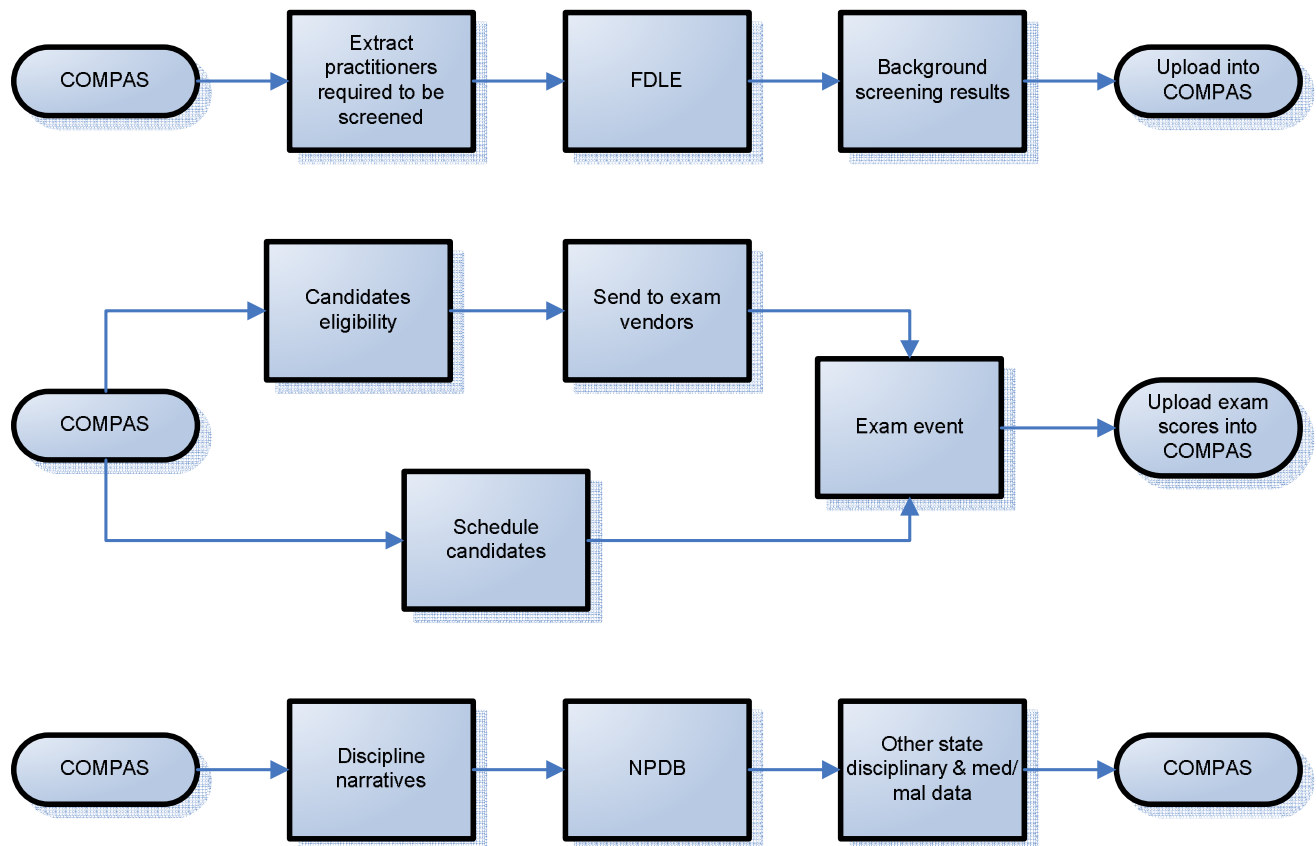


Figure 2-2 - Current Process for Examinations

As a result of the analysis of this process, the following anticipated benefits of the MQA Transformation project include:

- Reduced processing time by providing additional functionality such as workflow, which

- includes auto-assignment and dashboard management, integration with the existing MQA Imaging system, and improved correspondence functionality and ability to email
- Streamlined menu navigation with fewer clicks to perform current tasks, breadcrumb navigation, and improved notes functionality

2.2.4.2. Inspections

MQA conducts on-site inspections of pharmacies, dispensing practitioners, dental laboratories, electrolysis and massage establishments with field staff located in twelve offices throughout the state. The staff completed 24,169 inspections in FY11-12. Inspections enter the licensing system through manual entry of inspection forms or upload of electronic inspections through the LicenseEase (COMPAS) Mobile Inspection Partner (CMIP) which utilizes tablet technology. Inspections are assigned through the licensing system and managed through reporting. Inspectors also interface with the MQA imaging system.

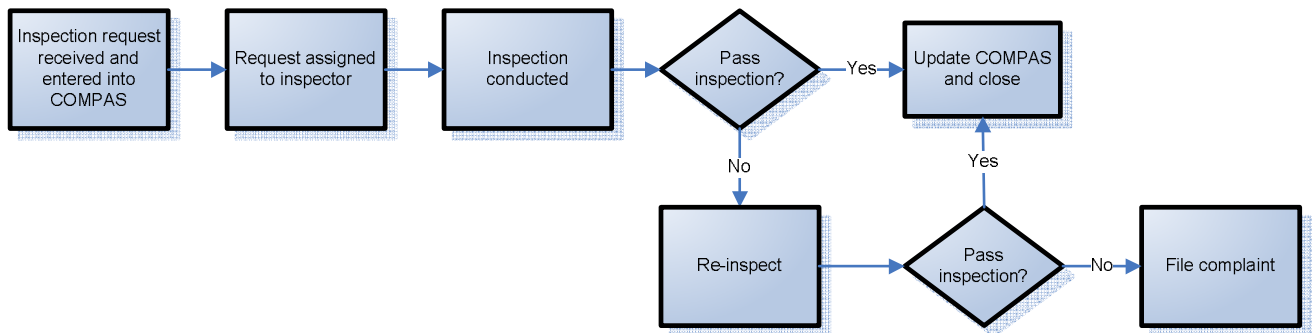


Figure 2-3 – Current Process for Inspections

As a result of the analysis of this process, the following anticipated benefits of the MQA Transformation project include:

- Streamlined inspection process through the workflow functionality
- More inspections to be done electronically by both investigative and inspection staff using Versa: Mobile and tablets. This also provides for a lower cost alternative to the current tablet
- Real-time data in the licensing system and to inspectors in the field (via the mobile solution)
- Reduced data entry errors and greater data integrity (due to all inspectors and investigators having mobile devices)
- Ability to sort the inspection workload on demand due to mobile devices and real-time processing

2.2.4.3. Application & Licensures

MQA evaluates the credentials of applicants for initial licensure to determine if statutorily-established minimum standards are met. More than 100,000 initial applications are processed annually, and over 94,700 initial licenses were issued in FY11-12. Applications are received both on paper via mail and electronically through MQA's Initial Application website. Upon receipt of an application, money is receipted into the system and an initial file is created for the applicant. Application processors review the file information and primary source verify credentials prior to issuing a license. Processing staff interface with both the LicenseEase (COMPAS) system and MQA Imaging system to process the files. For professions that require background screening, the staff accesses the FDLE system to verify screening results. Primary source verification may require interfaces with other national systems such as Nursys, NPDB, Certification/Exam Providers, and other state license verifications.

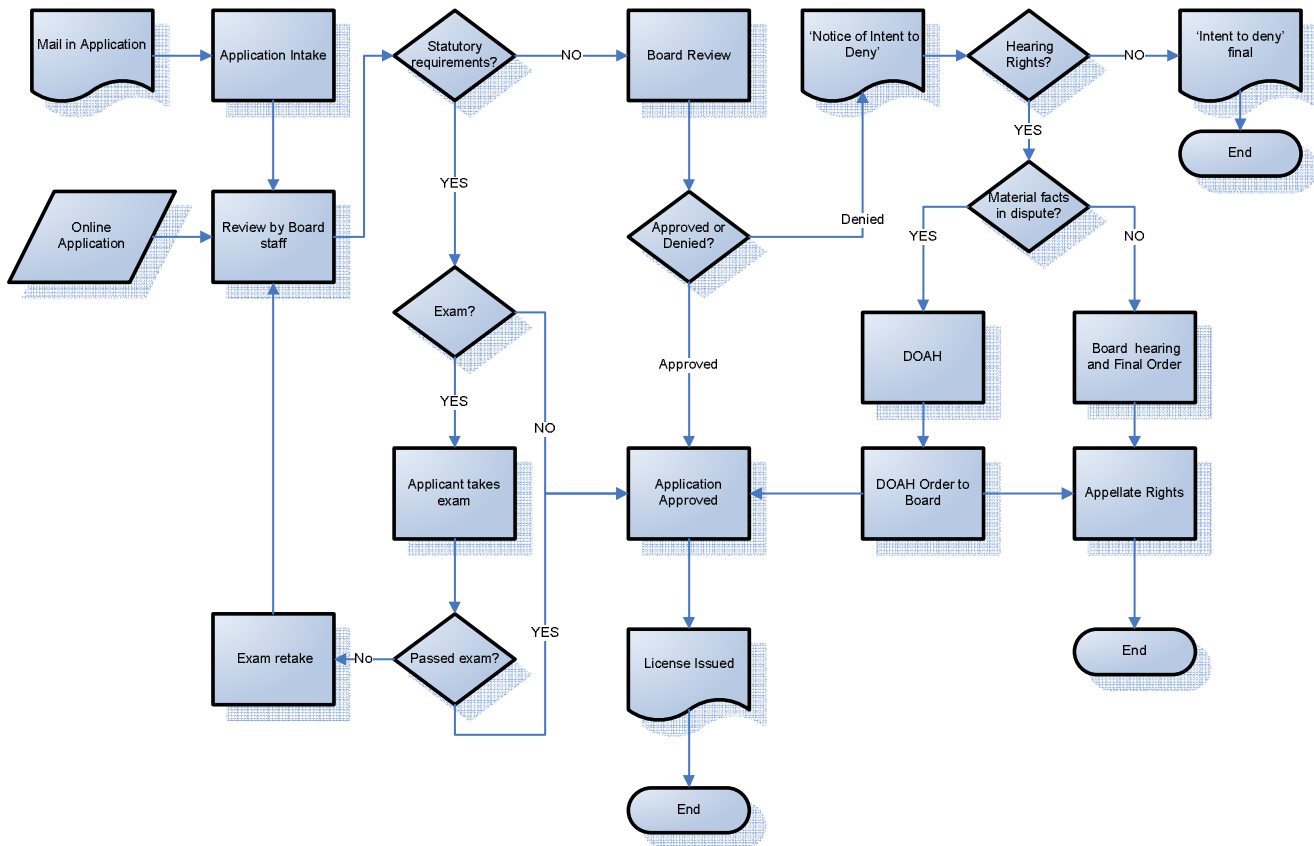


Figure 2-4 – Current Process for Applications and Licensures

As a result of the analysis of this process, the following anticipated benefits of the MQA Transformation project include:

- Reduced processing time through additional functionality such as workflow, which includes auto-assignment and dashboard management
- Integration with the existing MQA Imaging system
- Improved correspondence functionality and ability to email directly from the solution
- Streamlined menu navigation with fewer clicks to perform current tasks, breadcrumb navigation, and improved notes functionality

2.2.4.4. Renewals

MQA evaluates the credentials of practitioners and establishments for license renewal to determine if statutorily-established minimum standards are met. More than 400,000 renewal applications are processed annually. In FY11-12, 91.42% of these renewals were completed online.

Currently, 120 days prior to renewal, practitioners receive a postcard in the mail with renewal instructions - 78% of licensed practitioners renew this way. Practitioners log onto MQA Systems and either renews online or prints and mails the renewal form with payment. All practitioners have the opportunity to update their address, answer mandatory questions about convictions and Medicare fraud, and affirm their continuing education requirements have been met. Some professions have additional renewal requirements including updating their practitioner profile, statutorily required workforce surveys, and emergency treatment plans. For renewals completed online, practitioners print out a credit card receipt and a confirmation of license that indicates they have renewed their license. Once credit card fees are deposited in FLAIR and in the licensing system, the renewal is approved and the practitioner receives an official license in the mail. Renewals received through the mail are processed by a vendor and the money is receipted into

LicenseEase (COMPAS). Any renewals that require further processing are sent to MQA. Once the money for the renewal is deposited, a nightly process is run to approve the renewal and the practitioner receives an official license in the mail. Renewing establishments and some practitioners (22%) are sent their renewal form in the mail but have the option to renew online.

The MQA Services renewal system, back-end programs and processing staff interface with the following systems: LicenseEase (COMPAS), MQA Datamart, MQA Imaging system, FLAIR, Bank of America, SERVFL (the State of Florida's online system for managing public health and medical disaster responders), and MQA's continuing education electronic tracking system. Post renewal, the processing staff interfaces with other systems, depending on the profession including: the FDLE review system, the National Practitioner Data Bank (NPDB) and the HHS List of Excluded Individuals and Entities (LEIE).

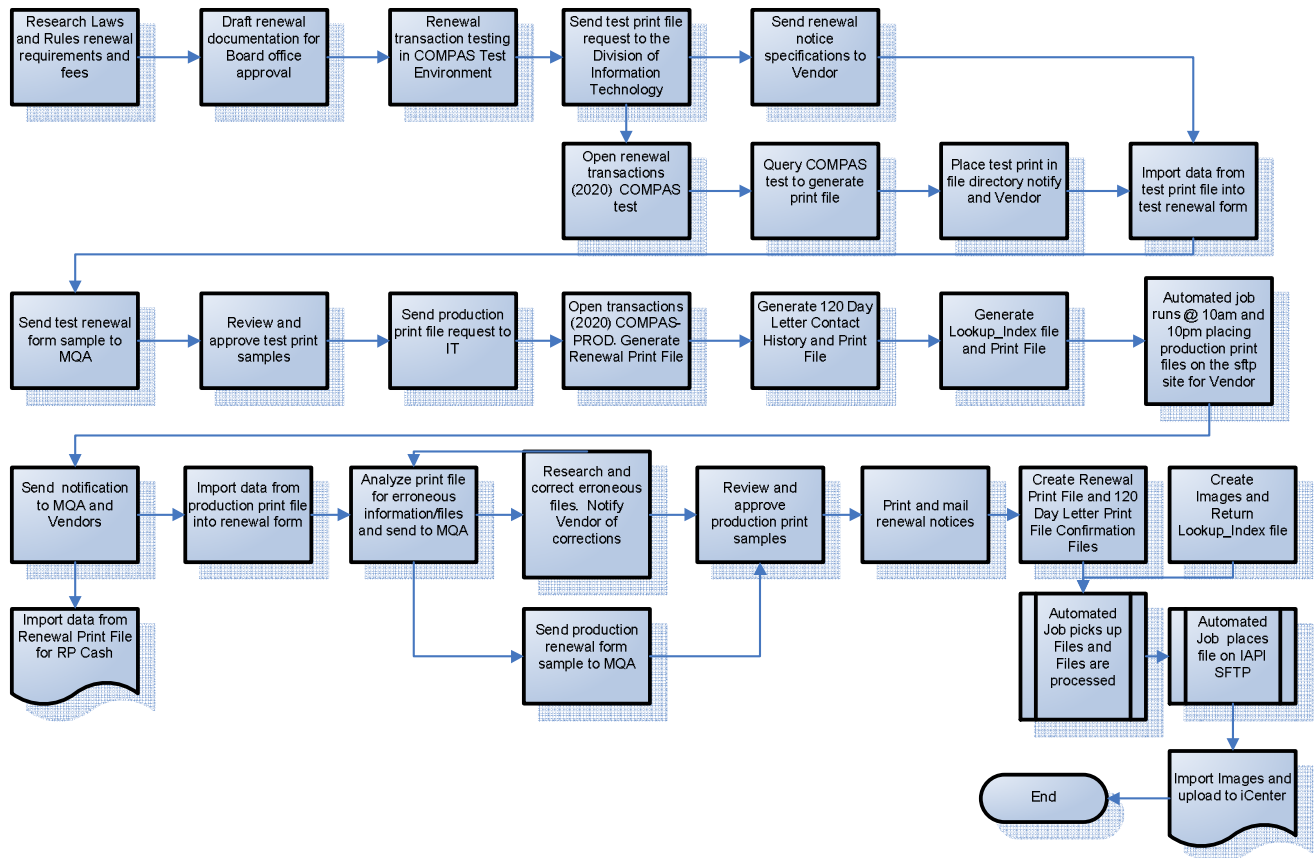


Figure 2-5 – Current Process for Renewals

As a result of the analysis of this process, the following anticipated benefits of the MQA Transformation project include:

- Reduced processing time by completing the online transaction in real time
- Other benefits including multi-language capability, forgotten password retrieval, E-mail transaction confirmation and configurable expert rules-based design

2.2.4.5. Enforcement & Compliance

MQA analyzes and investigates complaints, inspects facilities, assists in prosecuting violations of Florida regulatory statutes and administrative rules, monitors compliance of licensees with disciplinary final orders, and combats unlicensed activity. Last year, MQA received 21,035 complaints, completed 28,167 inspections, issued 1,542 citations, and resolved 2,325 cases through

final orders. Eight hundred and seventy-one unlicensed activity cases were investigated, and 395 were referred to law enforcement for criminal prosecution.

MQA Consumer Services staff reviews every complaint received by the Department to determine if there is legal sufficiency. Each complaint is entered into the LicenseEase (COMPAS) system. Activities, allegations, violations and findings that occur on the case are tracked in the LicenseEase (COMPAS) system. MQA is moving to an electronic case management system and paper case files will no longer be used. Case related information will be scanned and stored in the MQA Imaging system.

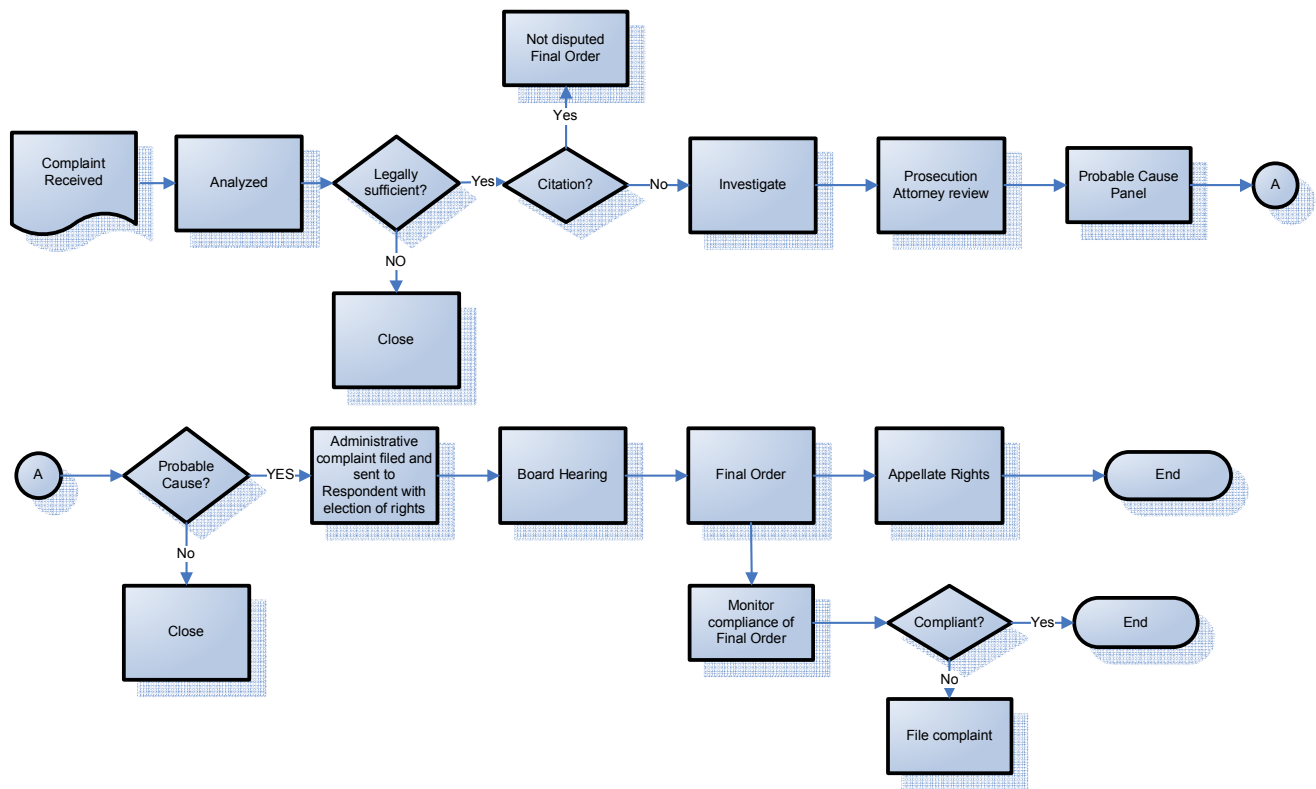


Figure 2-6 – Current Process for Enforcement and Compliance

As a result of the analysis of this process, the following anticipated benefits of the MQA Transformation project include:

- Reduction in time to process case using automated workflow functionality that assists with management of workload, case assignments, elevation and notification of high priority cases, and email notifications to enforcement staff

2.2.4.6. Reporting

To facilitate reporting, data from LicenseEase (COMPAS) is loaded into a reporting database. Users of MQA access this data to view various reports around applications, licenses, renewals, enforcement, and inspections. This data is used to manage workload and measure performance of the division. Crystal Reports (Business Objects) is primarily used for reporting today and would continue to be used in the upgraded environment. The Division of Information Technology has created a workgroup to explore alternative reporting solutions. At this time no recommendations have been made and MQA is continuing to use Crystal Reports (Business Objects).

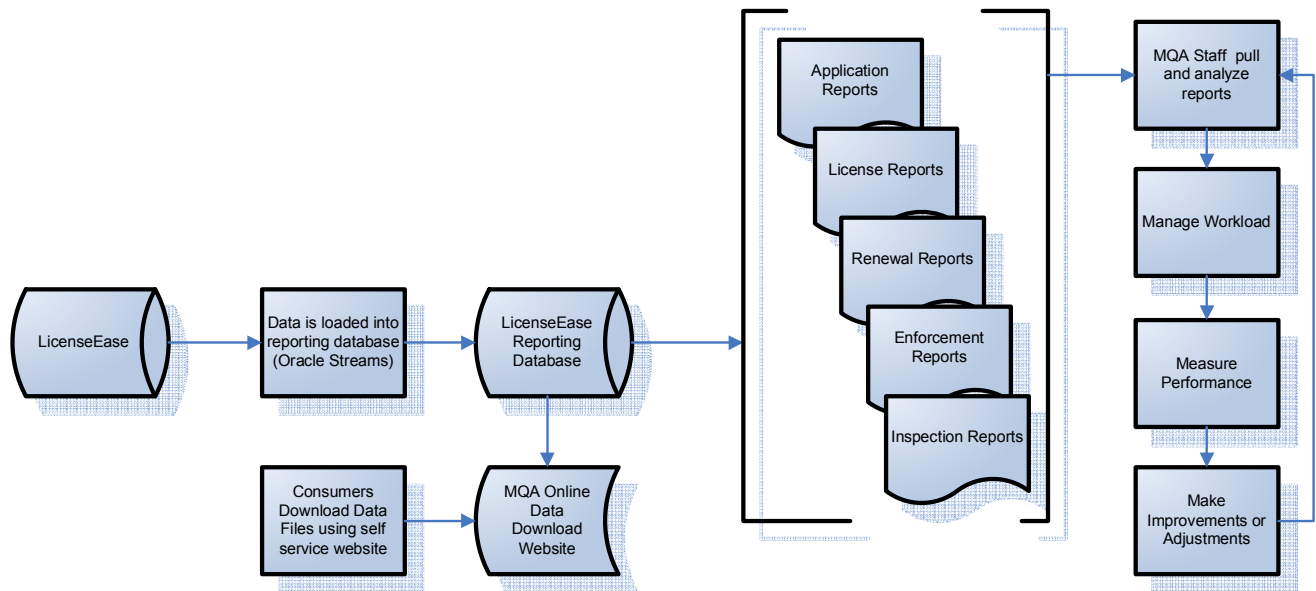


Figure 2-7 – Current Process for Reporting

2.2.5. Assumptions and Constraints

2.2.5.1. Assumptions

- Timely availability of project funding
- Multi-year, multi-phase project
- Roles, responsibilities, and level of effort defined in project charter with commitment from participants
- The upgraded system must be able to interface with state, local, and federal systems using industry standard technology (web services, XML, secure FTP, etc.)
- Enhancements to existing systems will be managed through a rigid change control process
- Data mart migration must be performed
- Versa:Regulation upgrade project (including mobile inspection upgrade) completed in 12 month period
- Versa:Online will be 2 year phased approach
- Additional resources identified and included in this proposal will be engaged to support MQA and DOH IT who have limited capacity

2.2.5.2. Constraints

- Availability of funds
- General system development and implementation risk
- Time for source selection and contracting impacts benefit realization
- The software tools supporting desired capabilities will be determined based on the solution proposed by the selected implementation vendor.
- Cost-benefit tradeoffs for gaps between requirements and component-based features/functions

2.3. Proposed Business Process Requirements

Purpose: To establish a basis for understanding the business processes requirements the proposed solution must meet and outline criteria the project will use in selecting an appropriate solution.

In order to meet the ever increasing needs of medical professionals, the MQA program requires a modern and integrated licensure system that provides more efficient transaction processing, greater consistency and improved data integrity with supported and stable platforms. During the project, detailed "To-Be" business process flows incorporating many proposed process and automated workflow improvements will be designed. These improved process flows, as well as the high-level requirements documented in this section, will be used as a starting point for the more detailed requirements gathering process.

The following high-level business requirements were gathered from a preliminary business analysis. These high-level requirements will certainly be updated as the project approaches initiation. The business solution alternatives and recommended business solution can be found in Section 5.5.

2.3.1. Overall

The following high-level business requirements should be met by all modules of the proposed system:

- System should utilize automated workflow to reduce processing time through auto-assignment, dashboard management, and integration with the existing MQA imaging system
- System should provide for improved correspondence functionality and ability to e-mail
- System should provide for breadcrumb navigation and improved notes functionality
- System should have ability to cashier funds
- System should have the ability to send information to an IVR (to support possible future need)
- System should maintain cash deposit history
- System should provide for online password retrieval and resets
- System should provide accurate performance reporting to stakeholders
- System should allow legislative changes to be quickly implemented
- System should have detailed timekeeping functionality to record internal and external effort applied to specific licensing and enforcement activity
- System should not require additional work-arounds for functionality and stability
- System should have advanced business process configuration functionality and not require core programming
- System should provide ability to store and retrieve historical transaction detail for all MQA elements
- System should be able to calculate all relevant fees
- System should protect data and information to MQA and DOH standards
- System should have built-in auditability

2.3.2. Examinations

The existing processes for this function supports the planning, coordinating, scheduling, scoring, reporting, reviews, and security of all examinations administered by the department. The following high-level business requirements necessary to support these functions in the new system are:

- System should have ability to track all examination activities
- System should have the ability to set up and schedule an examination
- System should track should be able to update examination results
- System should provide functionality to support the planning, coordinating, scheduling, scoring, and reporting around examinations administered by the department

2.3.3. Inspections

The existing processes for this function include conducting on-site inspections of pharmacies, dispensing practitioners, dental laboratories, electrolysis facilities, and massage establishments. The following high-level business requirements necessary to support these functions in the new system are:

- System should provide the ability for all inspections to be performed electronically through a mobile device
- System should update real-time from the mobile devices from the field
- System should provide basic data validation input filters on the mobile device to provide for greater data integrity and reduced data entry errors
- System should provide the ability to sort the inspection workload on demand through mobile devices and real-time processing
- System should have the ability to track all inspection activities and record inspection findings
- System should provide automated “ticklers” to follow-up on inspections and other outstanding items

2.3.4.Applications & Licensure

The existing processes for this function include evaluating the credentials of applicants for initial licensure to determine if statutorily-established minimum standards are met. The following high-level business requirements necessary to support these functions in the new system are:

- System should be directly integrated with the existing MQA imaging system
- System should track all application and licensure activities
- System should centrally locate and protect licensee personal data
- System should provide ability for licensees to be able to submit an information update and have it automatically applied to all related licenses
- System should provide the ability for a licensee to pay an application fee online and update the system in real time (thus eliminating the current delay between online payments, funds receipt, and posting in the system)
- System should provide the ability for online users to sign under penalty of perjury
- System should provide the ability to process applications and assist with the qualification of applicants
- System should be able to issue license documents
- System should maintain history of license information
- System should have the ability to produce data in response to requests for public information
- System should allow users to submit applications
- System should provide ability to track requirements met/not met for licensees
- System should provide ability for users to view license information
- System should be able to maintain history of pending applications
- System should have the ability to send renewal notices and delinquency notices via e-mail or regular mail

2.3.5.Renewals

The existing processes for this function include evaluating the credentials of applicants for license renewal to determine if statutorily-established minimum standards are met. The following high-level business requirements necessary to support these functions in the new system are:

- System should be directly integrated with the existing MQA imaging system
- System should track all renewal activities
- System should centrally locate and protect licensee personal data

- System should provide ability for licensees to be able to submit an information update and have it automatically applied to all related licenses
- System should provide the ability for a licensee to pay an application fee online and update the system in real time (thus eliminating the current delay between online payments, funds receipt, and posting in the system)
- System should provide the ability for online users to sign under penalty of perjury
- System should be able to issue license documents
- System should maintain history of license information
- System should have the ability to produce data in response to requests for public information
- System should allow users to apply for renewal
- System should provide ability to track requirements met/not met for licensees
- System should provide ability for users to view license information
- System should be able to maintain history of pending renewals
- System should have the ability to provide to users the required continuing education programs completed
- System should have the ability to send renewal notices and delinquency notices via e-mail or regular mail
- System should have the ability to generate renewed license

2.3.6. Enforcement & Compliance

The existing processes for this function include analyzing and investigating complaints, inspecting facilities, assisting in prosecuting violations of Florida regulatory statutes and administrative rules, monitoring compliance of licensees, and combating unlicensed activity. The following high-level business requirements necessary to support these functions in the new system are:

- System should provide reports identifying costs associated with enforcement
- System should allow consumers to access a licensee's professional standards violations
- System should have ability to record complaints and assist with conducting investigations
- System should monitor compliance and voluntary/disciplinary actions
- System should have ability to provide the ability to trend complaints
- System should provide ability to record compliant information, monitor enforcement and disciplinary cases, and initiate disciplinary action
- System should provide the ability to process petitions and appeals
- System should provide ability to enforce citation and penalty / probations
- System should maintain investigation information
- System should provide enforcement reports
- System should provide the ability to create enforcement letters
- System should provide ability to review enforcement information

3. Schedule IV-B Cost Benefit Analysis

Purpose: To calculate and document the expected return on investment for the proposed IT project.

Section 116 of House Bill 1263 (2012) directed the Division of Medical Quality Assurance (MQA) to develop a plan to improve the efficiency of its functions. The MQA Transformation Project is critical to meeting the goals established by this legislative mandate. The MQA Transformation Project is the foundation for enhancing the applications and IT infrastructure supporting DOH's licensing and inspection operations. These enhancements include self-service functionality that will allow users to obtain answers to many questions online that currently require interaction with the MQA call center. It also provides workflow functionality that represents the single biggest functional improvement offered in the upgrade and has the potential of dramatically improving operational efficiencies at MQA. It is a rules-based software product that is integrated with Versa:Regulation. It will assign applications or cases to MQA staff and allow managers to set assignment rules, create and manage work queues, monitor deadlines, set work alerts and more. Functionality will also be implemented to modernize inspections, allowing all inspections to be completed utilizing electronic forms and routing. These enhanced features will be supported by a new high availability IT infrastructure that will provide the foundation for real time processing of applicant and licensee financial transactions.

Improved automation and efficiencies throughout these areas will deliver positive, measureable impacts to the Florida economy by allowing qualified applicants to be licensed faster – getting Floridians to work, a critical initiative to rebuild Florida's economy.

3.1. Benefits Realization Table

The following table provides a breakdown and explanation of the benefits expected to be realized through the MQA Transformation Project:

| Benefits Realization Table | | | | | | |
|----------------------------|--|------------------------|--|---|---|--------------------------|
| # | Description of Benefit | Tangible or Intangible | Who receives benefit? | How is benefit realized? | How will the realization of the benefit be assessed / measured? | Realization Date (MM/YY) |
| 1 | Reducing time to process an initial application by five days – conservatively estimated at accelerating revenue into the State of Florida economy at \$14,230,866 annually. | Tangible | Applicants Employers Florida Economy | Accelerate business revenue | Reducing the average number of days to process an initial application | 7/15 |
| 2 | Reducing postage and handling related to mailing deficiency letters and renewal postcards – estimated at \$290,000 annually. <i>Note: Contingent upon proposed legislation to allow email address to be part of the official address of record.</i> | Tangible | DOH/State | Email correspondence to licensees | Reducing postage and handling costs | 07/14 |
| 3 | Standardizing and expanding electronic tablet utilization for all inspections – estimated at \$20,000 annually | Tangible | DOH/State | Upgrading mobile inspection platform and software | Eliminating data entry and paper-based forms | 07/14 |
| 4 | Reducing call center volume by providing online password reset – allowing for reduction in call wait times and improved customer service | Intangible | Applicants Licensees Citizens | Upgrading online services | Reducing call wait times and dropped calls | 07/15 |

Table 3-1 - Benefit Realization Table

3.1.1. Reducing time to process an initial application by five days

This benefit is calculated by targeting the highest profile professions regulated by MQA:

1. Medical Doctor
2. Registered Nurse
3. Dentist
4. Pharmacist
5. Physical Therapist, and
6. Massage Therapist

These practitioners have an average starting salary of \$64,266 – with an average daily earning potential of \$247. If the MQA processing time is reduced by five days and assuming that 50% of the new initial licensees from these professions (representing a portion of the 200 license types administered by MQA) could start earning salary when licensed, results in a \$14,230,866 acceleration of input to the Florida economy. Recent studies support a much higher percentage of health professionals that have

awaiting jobs. The research also shows a multiplier effect of economic impact resulting from other positions and expenses that support the primary licensed professional. These studies would support a more aggressive and larger economic impact; however, a more conservative estimate is included for purposes of establishing this MQA Transformation Project benefit.

3.1.2. Reducing postage and handling

Currently, deficiency letters and renewal postcards are circulated via US Mail. The MQA Transformation Project includes functionality that would allow for this correspondence to be sent via email. Realization of this benefit remains contingent upon 2013 proposed legislation that would allow email addresses to be part of the official address record. Subject to the passing of legislation during the 2013 Legislative Session, this benefit would generate a \$290,000 annual benefit.

3.1.3. Standardizing and expanding electronic tablet utilization for inspections

More efficient handling of inspections and improved access to information by making electronic mobile inspection forms available to all staff conducting inspections would reduce postage and handling by \$20,000 annually.

3.1.4. Reducing call center volume

Currently, 40% of incoming calls are related to user login and password reset requests. These calls contribute significantly to an unacceptable level of dropped calls. By implementing enhanced self-service features anticipated in the MQA Transformation Project, current staffing levels can support the current call volume and eliminate dropped calls, thus improving overall customer satisfaction.

3.2. **MQA Transformation Benefits Realization Strategy**

MQA has developed a strategy for realizing the estimated benefits expected from modernizing its licensing system to improve business processes and their outcomes. The following figure summarizes how DOH will track and manage the MQA Transformation Project benefits realization:

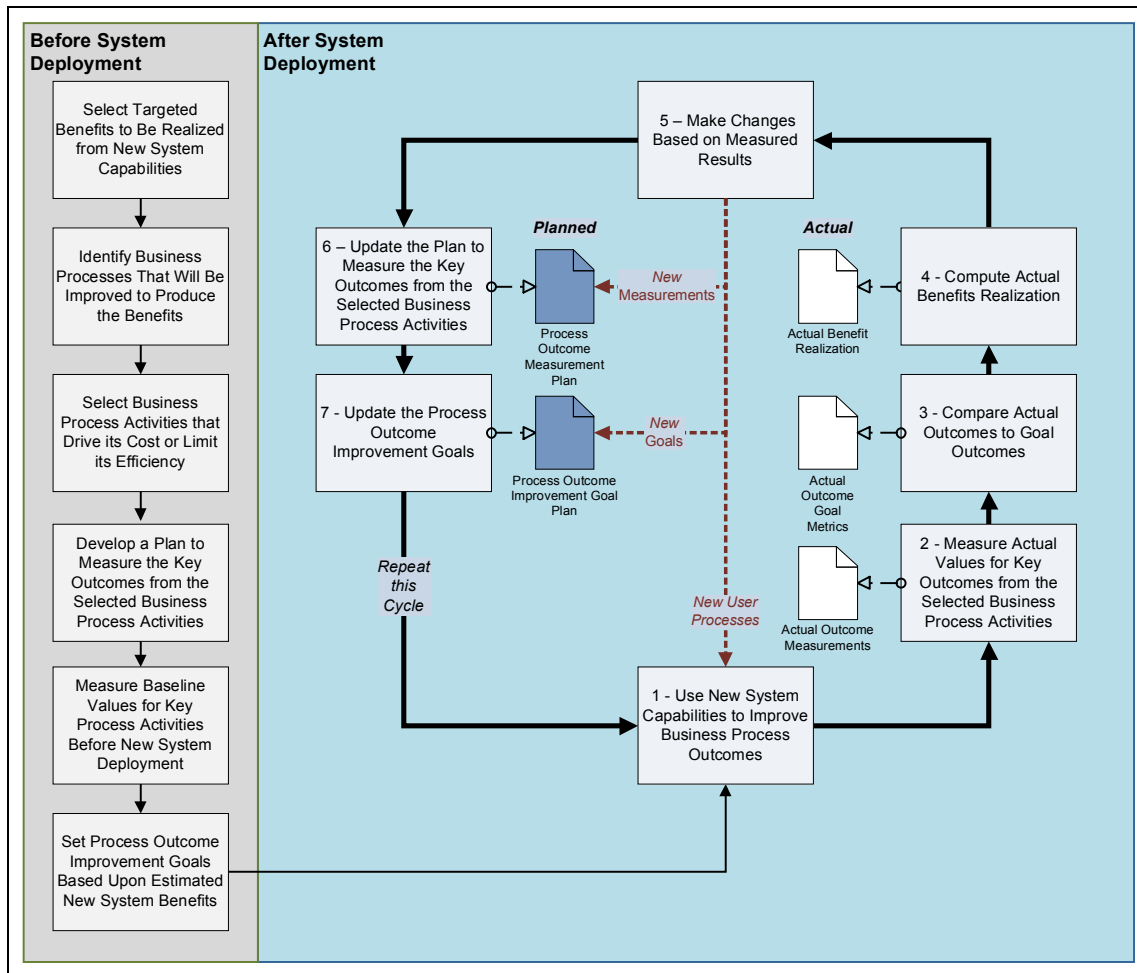


Figure 3-1 - Benefits Realization Process

The thoughtful and intentional realization of benefits cannot begin until a process is in place – with strong leadership, broad understanding and support from all stakeholders – to regularly obtain meaningful measurements of business process outcomes. The following paragraphs explain the benefits realization management activities. The management of MQA Transformation benefits realization begins by taking a number of preparatory steps before the new system deploys.

These steps will only be performed once and include:

Select the targeted benefits to be realized from the new system capabilities. This step has been started with the benefits identified in this feasibility study.

Identify the processes that will be improved to produce the benefits. The business processes related to the target benefits will be analyzed and validated in conjunction with key MQA program staff.

Select key activities from each business process that may serve as indicators of process improvement. The relevant business processes will be broken into smaller sub-processes and activities in order to facilitate discussions and analysis of current costs and opportunities for improvement using the new system’s capabilities. Estimated cost elements for each sub-process will be assembled into an MQA Transformation Project Benefits Realization Workbook. This will produce a large number of cost elements, which will be impractical to routinely track. Therefore, the values for a few key activities will be chosen as meaningful measurements of process improvement and cost reduction.

Develop a plan to measure these key activities (e.g. labor, duration, resources, quantity, quality, etc.).

The plan should include what is to be measured and by whom and should fully describe the method for taking the measurements so that different individuals would obtain the same results.

Measure baseline values for key process activities before the MQA Transformation Project is deployed. The measurement plan should be carried out until it is understood by all participants. Then baseline measurements should be taken before system deployment occurs so that before-and-after comparisons may be made.

Set process outcome improvement goals based upon the estimated system benefits. The cost reduction benefits from using the new system have been conservatively estimated. Once the estimated benefits are being realized, outcome improvement goals may be revised to obtain even greater benefits. The benefits realization management cycle can be employed as part of on-going continuous process improvement activities.

After implementation of the MQA Transformation Project, benefits realization management will consist of recurring cycles of the following actions:

1. Use the new system's capabilities to improve business process outcomes (e.g. lower cost, higher output, improved quality, etc.)
2. Measure the actual process outcomes
3. Compare the actual outcomes to the goal outcomes
4. Compute actual benefits realization
5. Make changes to system user processes or procedures, to the measurement plan, or to the process outcome goals – based upon the actual measurement results
6. Review and update the key process outcomes measurement plan, as required
7. Review and update process outcomes improvement goals, as required

3.3. Cost Benefit Analysis (CBA) Forms

This section contains an explanation of the Trust Funds that DOH plans to use for this project and includes the required CBA forms from the Schedule IV-B Feasibility Study Guidelines.

**FY 2011-12 SCHEDULE IV-B FEASIBILITY STUDY FOR
MQA MODERNIZATION PROJECT**

CBAForm 1 - Net Tangible Benefits

Agency Department of Health Project MQA Modernization

| Net Tangible Benefits - Operational Cost Changes (Costs of Current Operations versus Proposed Operations as a Result of the Project) and Additional Tangible Benefits -- CBAForm 1A | | | | | | | | | | | | | | | |
|---|------------------------|-------------------------|---|------------------------|-------------------------|---|------------------------|-------------------------|---|------------------------|-------------------------|---|------------------------|-------------------------|---|
| Agency Program Cost Elements <i>(Operations Only -- No Project Costs)</i> | FY 2013-14 | | | FY 2014-15 | | | FY 2015-16 | | | FY 2016-17 | | | FY 2017-18 | | |
| | (a) | (b) | (c) = (a)+(b) | (a) | (b) | (c) = (a) + (b) | (a) | (b) | (c) = (a) + (b) | (a) | (b) | (c) = (a) + (b) | (a) | (b) | (c) = (a) + (b) |
| | Existing Program Costs | Operational Cost Change | New Program Costs resulting from Proposed Project | Existing Program Costs | Operational Cost Change | New Program Costs resulting from Proposed Project | Existing Program Costs | Operational Cost Change | New Program Costs resulting from Proposed Project | Existing Program Costs | Operational Cost Change | New Program Costs resulting from Proposed Project | Existing Program Costs | Operational Cost Change | New Program Costs resulting from Proposed Project |
| A. Personnel -- Total FTE Costs (Salaries & FTE) | \$32,134,375 | \$0 | \$32,134,375 | \$32,134,375 | \$0 | \$32,134,375 | \$32,134,375 | \$0 | \$32,134,375 | \$32,134,375 | \$0 | \$32,134,375 | \$32,134,375 | \$0 | \$32,134,375 |
| A-1.a. State FTEs (Salaries & Benefits) | \$28,214,046 | \$0 | \$28,214,046 | \$28,214,046 | \$0 | \$28,214,046 | \$28,214,046 | \$0 | \$28,214,046 | \$28,214,046 | \$0 | \$28,214,046 | \$28,214,046 | \$0 | \$28,214,046 |
| A-1.b. State FTEs (# FTEs) | 883.00 | 0.00 | 883.00 | 883.00 | 0.00 | 883.00 | 883.00 | 0.00 | 883.00 | 883.00 | 0.00 | 883.00 | 883.00 | 0.00 | 883.00 |
| A-2.a. OPS FTEs (Salaries) | \$1,832,653 | \$0 | \$1,832,653 | \$1,832,653 | \$0 | \$1,832,653 | \$1,832,653 | \$0 | \$1,832,653 | \$1,832,653 | \$0 | \$1,832,653 | \$1,832,653 | \$0 | \$1,832,653 |
| A-2.b. OPS FTEs (# FTEs) | 269.00 | 0.00 | 269.00 | 269.00 | 0.00 | 269.00 | 269.00 | 0.00 | 269.00 | 269.00 | 0.00 | 269.00 | 269.00 | 0.00 | 269.00 |
| A-3.a. Staff Augmentation (Contract Cost) | \$2,087,676 | \$0 | \$2,087,676 | \$2,087,676 | \$0 | \$2,087,676 | \$2,087,676 | \$0 | \$2,087,676 | \$2,087,676 | \$0 | \$2,087,676 | \$2,087,676 | \$0 | \$2,087,676 |
| A-3.b. Staff Augmentation (# of Contract FTEs) | 14.00 | 0.00 | 14.00 | 14.00 | 0.00 | 14.00 | 14.00 | 0.00 | 14.00 | 14.00 | 0.00 | 14.00 | 14.00 | 0.00 | 14.00 |
| B. Data Processing -- Costs | \$33,452 | \$0 | \$33,452 | \$33,452 | \$0 | \$33,452 | \$33,452 | \$0 | \$33,452 | \$33,452 | \$0 | \$33,452 | \$33,452 | \$0 | \$33,452 |
| B-1. Hardware | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| B-2. Software | \$33,452 | \$0 | \$33,452 | \$33,452 | \$0 | \$33,452 | \$33,452 | \$0 | \$33,452 | \$33,452 | \$0 | \$33,452 | \$33,452 | \$0 | \$33,452 |
| B-3. Other Specify | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| C. External Service Provider -- Costs | \$1,030,013 | \$0 | \$1,030,013 | \$1,030,013 | \$0 | \$1,030,013 | \$1,030,013 | \$687,429 | \$1,717,442 | \$1,030,013 | \$687,429 | \$1,717,442 | \$1,030,013 | \$687,429 | \$1,717,442 |
| C-1. Consultant Services | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| C-2. Maintenance & Support Services | \$118,000 | \$0 | \$118,000 | \$118,000 | \$0 | \$118,000 | \$118,000 | \$283,500 | \$401,500 | \$118,000 | \$283,500 | \$401,500 | \$118,000 | \$283,500 | \$401,500 |
| C-3. Network / Hosting Services | \$473,172 | \$0 | \$473,172 | \$473,172 | \$0 | \$473,172 | \$473,172 | \$403,929 | \$877,101 | \$473,172 | \$403,929 | \$877,101 | \$473,172 | \$403,929 | \$877,101 |
| C-4. Data Communications Services | \$438,841 | \$0 | \$438,841 | \$438,841 | \$0 | \$438,841 | \$438,841 | \$0 | \$438,841 | \$438,841 | \$0 | \$438,841 | \$438,841 | \$0 | \$438,841 |
| C-5. Other Specify | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| D. Plant & Facility -- Costs | \$1,780,982 | \$0 | \$1,780,982 | \$1,780,982 | \$0 | \$1,780,982 | \$1,780,982 | \$0 | \$1,780,982 | \$1,780,982 | \$0 | \$1,780,982 | \$1,780,982 | \$0 | \$1,780,982 |
| E. Others -- Costs | \$37,159,423 | \$0 | \$37,159,423 | \$37,159,423 | (\$310,000) | \$36,849,423 | \$37,159,423 | (\$310,000) | \$36,849,423 | \$37,159,423 | (\$310,000) | \$36,849,423 | \$37,159,423 | (\$310,000) | \$36,849,423 |
| E-1. Training | \$136,525 | \$0 | \$136,525 | \$136,525 | \$0 | \$136,525 | \$136,525 | \$0 | \$136,525 | \$136,525 | \$0 | \$136,525 | \$136,525 | \$0 | \$136,525 |
| E-2. Travel | \$868,403 | \$0 | \$868,403 | \$868,403 | \$0 | \$868,403 | \$868,403 | \$0 | \$868,403 | \$868,403 | \$0 | \$868,403 | \$868,403 | \$0 | \$868,403 |
| E-3. Other Operations | \$36,154,495 | \$0 | \$36,154,495 | \$36,154,495 | (\$310,000) | \$35,844,495 | \$36,154,495 | (\$310,000) | \$35,844,495 | \$36,154,495 | (\$310,000) | \$35,844,495 | \$36,154,495 | (\$310,000) | \$35,844,495 |
| Total of Operational Costs (Rows A-E) | \$72,138,245 | \$0 | \$72,138,245 | \$72,138,245 | (\$310,000) | \$71,828,245 | \$72,138,245 | \$377,429 | \$72,515,674 | \$72,138,245 | \$377,429 | \$72,515,674 | \$72,138,245 | \$377,429 | \$72,515,674 |
| F. Additional Tangible Benefits: | | \$0 | | | \$0 | | | \$14,230,866 | | | \$14,230,866 | | | \$14,230,866 | |
| F-1. Reduced License Time | | \$0 | | | \$0 | | | \$14,230,866 | | | \$14,230,866 | | | \$14,230,866 | |
| F-2. Specify | | \$0 | | | \$0 | | | \$0 | | | \$0 | | | \$0 | |
| F-3. Specify | | \$0 | | | \$0 | | | \$0 | | | \$0 | | | \$0 | |
| Total Net Tangible Benefits: | | \$0 | | | \$310,000 | | | \$13,853,437 | | | \$13,853,437 | | | \$13,853,437 | |

| SPECIFY CHARACTER OF PROJECT BENEFIT ESTIMATE -- CBAForm 1B | | |
|---|-------------------------------------|----------------------|
| Choose Type | Estimate Confidence | Enter % (+/-) |
| Detailed/Rigorous | <input type="checkbox"/> | Confidence Level |
| Order of Magnitude | <input checked="" type="checkbox"/> | Confidence Level 20% |
| Placeholder | <input type="checkbox"/> | Confidence Level |

Figure 3-2 - Net Tangible Benefits

FY 2011-12 SCHEDULE IV-B FEASIBILITY STUDY FOR
MQA MODERNIZATION PROJECT

CBAForm 2 - Project Cost Analysis

| | | | |
|--------|-----------------------------|---------|--------------------------|
| Agency | <u>Department of Health</u> | Project | <u>MQA Modernization</u> |
|--------|-----------------------------|---------|--------------------------|

| PROJECT COST ELEMENTS | PROJECT COST TABLE -- CBAForm 2A | | | | | TOTAL |
|--|----------------------------------|--------------|--------------|--------------|--------------|--------------|
| | FY 2013-14 | FY 2014-15 | FY 2015-16 | FY 2016-17 | FY 2017-18 | |
| State FTEs (Salaries & Benefits) | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| OPS FTEs (Salaries) | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| Contractors (Costs) | \$4,353,800 | \$2,998,105 | \$0 | \$0 | \$0 | \$7,351,905 |
| Deliverables | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| Major Project Tasks | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| Hardware Hosting/iPads | \$1,122,017 | \$403,929 | \$0 | \$0 | \$0 | \$1,525,946 |
| COTS Software | \$189,000 | \$375,375 | \$0 | \$0 | \$0 | \$564,375 |
| Misc. Equipment Specify | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| Other Project Costs PMO/OCM | \$1,077,000 | \$1,077,000 | \$0 | \$0 | \$0 | \$2,154,000 |
| IV&V | \$277,200 | \$277,200 | \$0 | \$0 | \$0 | \$554,400 |
| TOTAL PROJECT COSTS (*) | \$7,019,017 | \$5,131,609 | \$0 | \$0 | \$0 | \$12,150,626 |
| CUMULATIVE PROJECT COSTS | \$7,019,017 | \$12,150,626 | \$12,150,626 | \$12,150,626 | \$12,150,626 | |

| INVESTMENT SUMMARY | FY 2013-14 | FY 2014-15 | FY 2015-16 | FY 2016-17 | FY 2017-18 | TOTAL |
|--|-----------------|--------------|--------------|--------------|--------------|--------------|
| | General Revenue | \$0 | \$0 | \$0 | \$0 | |
| Trust Fund | \$7,019,017 | \$5,131,609 | \$0 | \$0 | \$0 | \$12,150,626 |
| Federal Match | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| Grants | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| Other Specify | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| TOTAL INVESTMENT (*) | \$7,019,017 | \$5,131,609 | \$0 | \$0 | \$0 | \$12,150,626 |
| CUMULATIVE INVESTMENT (*) | \$7,019,017 | \$12,150,626 | \$12,150,626 | \$12,150,626 | \$12,150,626 | |

(*) Total Costs and Investments are carried forward to CBAForm3 Project Investment Summary worksheet

| Character of Project Costs Estimate - CBAForm 2B | | | |
|--|-------------------------------------|---------------------|---------------|
| Choose Type | | Estimate Confidence | Enter % (+/-) |
| Detailed/Rigorous | <input checked="" type="checkbox"/> | Confidence Level | 10% |
| Order of Magnitude | <input type="checkbox"/> | Confidence Level | |
| Placeholder | <input type="checkbox"/> | Confidence Level | |

Figure 3-3 - Project Cost Analysis

**FY 2011-12 SCHEDULE IV-B FEASIBILITY STUDY FOR
MQA MODERNIZATION PROJECT**

CBAForm 3 - Project Investment Summary

| | | | |
|---------------|-----------------------------|----------------|--------------------------|
| Agency | <u>Department of Health</u> | Project | <u>MQA Modernization</u> |
|---------------|-----------------------------|----------------|--------------------------|

| COST BENEFIT ANALYSIS -- CBAForm 3A | | | | | | |
|--|---------------|---------------|---------------|---------------|---------------|--------------|
| | 1 | 2 | 3 | 4 | 5 | |
| | FY 2013-14 | FY 2014-15 | FY 2015-16 | FY 2016-17 | FY 2017-18 | TOTAL |
| Project Cost | \$7,019,017 | \$5,131,609 | \$0 | \$0 | \$0 | \$12,150,626 |
| Net Tangible Benefits | \$0 | \$310,000 | \$13,853,437 | \$13,853,437 | \$13,853,437 | \$41,870,311 |
| Return on Investment | (\$7,019,017) | (\$4,821,609) | \$13,853,437 | \$13,853,437 | \$13,853,437 | \$29,719,685 |
| Year to Year Change in Program Staffing | 0 | 0 | 0 | 0 | 0 | |

| RETURN ON INVESTMENT ANALYSIS -- CBAForm 3B | | |
|--|---------------------|---|
| Payback Period (years) | 2 6/7 | Payback Period is the time required to recover the investment costs of the project. |
| Breakeven Fiscal Year | 2015-16 | Fiscal Year during which the project's investment costs are recovered. |
| Net Present Value (NPV) | \$22,886,315 | NPV is the present-day value of the project's benefits less costs over the project's lifecycle. |
| Internal Rate of Return (IRR) | 65.70% | IRR is the project's rate of return. |

| Treasurer's Investment Interest Earning Yield -- CBAForm 3C | | | | | |
|--|---------------|---------------|---------------|---------------|---------------|
| Fiscal Year | FY 2013-14 | FY 2014-15 | FY 2015-16 | FY 2016-17 | FY 2017-18 |
| Cost of Capital | 2.87% | 4.17% | 4.57% | 5.14% | 5.30% |

Figure 3-4 - Project Investment Summary

3.4. CBA Analysis and Results

The benefits that will be realized by the MQA Transformation Project are sizeable and make an extremely compelling business case to support the investment from the related Trust funds. The MQA Transformation Project is estimated to deliver the following annually recurring tangible benefits of \$13,839,262 when fully implemented.

3.4.1. Project Costs

The estimated **total** cost of implementing the MQA Transformation Project is \$12,150,626 over a two year period as follows:

| FY 13-14 | FY 14-15 |
|-------------|-------------|
| \$7,019,017 | \$5,131,609 |

DOH has computed the following summary values for the MQA Transformation Project:

| Investment Term | Computed Value |
|-------------------------|--|
| Total Cost | \$12.2 M distributed over two fiscal years |
| Net Tangible Benefits | \$41.9 M benefits over five years |
| Return on Investment | \$29.7 M over five years |
| Breakeven Fiscal Year | FY 15-16 |
| Net Present Value | \$22.9 M |
| Internal Rate of Return | 65.70% |

Table 3-2 – Investment Value Summary

DOH recommends that this proposed MQA Transformation Project be approved and authorized as vital to meeting the required operational efficiencies outlined in Section 116 of HB 1263 (2012).

4. Major Project Risk Assessment Component

The Major Project Risk Assessment Component identifies the risks faced by the project so the Department can enact appropriate mitigation strategies for managing those risks. **This Feasibility Study Component is required for all IT projects.**

4.1. Risk Assessment Tool

Purpose: To provide an initial high-level assessment of overall risk incurred by the project to enable appropriate risk mitigation and oversight to improve the likelihood of project success.

An in-depth risk assessment of the MQA Transformation project was performed using the risk assessment tool provided by the Technology Review Workgroup. The tool involves answering 86 questions about the project being considered, divided into eight assessment categories. The results of the assessment are summarized below. The actual file for the risk assessment containing the figures below can be found in Appendix D of this document.

4.2. Risk Assessment Summary

Purpose: To identify the overall level of risk associated with the project and provide an assessment of the project's alignment with business objectives.

Figure 4-1 is a graphical representation of the results computed by the risk assessment tool. It shows the MQA Transformation project is on its way to achieving solid business strategy alignment with a manageable amount of risk; The results of this risk assessment are discussed in detail in Section 6 along with the Department's plan to continually identify, assess, and mitigate risk throughout the life of the project.

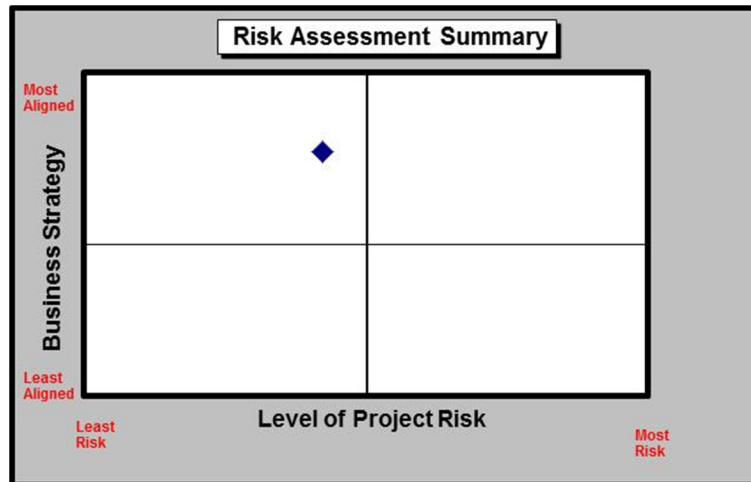


Figure 4-1 – Risk Assessment Summary

Figure 4-2 illustrates the risk assessment areas that were evaluated and the breakdown of the risk exposure assessed in each area. The results of this risk assessment are discussed in detail in Section 6 along with the Department's plan to continually identify, assess, and mitigate risk throughout the life of the project.

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

Figure 4-2 – Project Risk Area Breakdown

5. Technology Planning Component

| Technology Planning Section | \$1-1.99M | \$2 - 10 M | | > \$10 M |
|--|-----------|-----------------------------------|-----------------------------------|----------|
| | | Routine upgrades & infrastructure | Business or organizational change | |
| Current Information Technology Environment | | X | X | X |
| Proposed Solution Description | X | X | X | X |
| Capacity Planning | X | X | X | X |
| Analysis of Alternatives | X | X | X | X |

5.1. Current Information Technology Environment

5.1.1. Current System

5.1.1.1. Description of current system

MQA currently uses a system called the Customer Oriented Medical Practitioner Administration System (COMPAS) that supports the licensing of health care professions regulated under MQA. COMPAS is the business name for the product entitled LicenseEase (COMPAS). This system was implemented over a 22-month period from July 2003 to May 2005 and replaced the Department's legacy system known as PRAES, operating in an Informix environment. There are several factors driving the need for the MQA Modernization from a technology perspective.

1. **Legislative Mandates** - During the 2012 legislative session HB-1263 (Division of Medical Quality Assurance Efficiency Improvement Plan) directed the Division of Medical Quality Assurance (MQA) to develop a plan to improve the efficiency of its functions. One of the primary mandates from this legislation is a 33% improvement in the time to process and issue licenses. The current system processes transactions in batch instead of real-time. Somewhat related to this, when credit cards are processed online, license records are not updated with funds received until they are physically deposited into the account and licenses are not approved until this point. As a result, this results in a 3 to 4 day delay for licenses to be issued.
2. **Hardware Nearing End-of-Life** – The Sun servers which LicenseEase (COMPAS) currently runs on will be out of support on June 30, 2013. After that date the servers may be impossible to repair based upon availability of replacement parts. In addition, the ~30 to 35 Dell XT Tablets running Windows XP, used by some (not all) of the inspectors, will no longer be supported after April 2014.
3. **Front-End Software is or is Nearly Unsupported** – LicenseEase (COMPAS) was implemented in 2003 is built on technology platforms, standards, and development tools used in the 1990s. Much of the software supporting this application is or is nearly unsupported as depicted in the following chart:

| Software | Status |
|--------------------------------|--|
| LicenseEase (COMPAS) Version 4 | Will be unsupported after December 31, 2013. Vendor is no longer making enhancements |
| J-Initiator | No longer supported. Backend software used to generate letters in LicenseEase (COMPAS) |

| Software | Status |
|--------------------------------|--|
| Windows XP | Will be out of support in April 2014. The team is exploring “work-arounds” to move towards Windows 7 but it still involves using J-Initiator which, as previously mentioned, is an unsupported platform as well. |
| Oracle Database 10.2.0.5 10gR2 | Was originally released in July 2005. Premier support lasted through July 2010 and extended support ends in July 2013. It will not be supported beyond this date |
| Oracle App Server 10.1.2 | Premier support expired December 2011. It is believed support for this will end in the next year or so. |

Table 5-1 – Support Status of Software

4. **Other Process Issues Related to Technology** - There are a several other serious issues related to technology that have been identified as additional reasons the MQA Transformation effort is required including:
- *Current environment requires regular downtime* – When changes are necessary in the current LicenseEase (COMPAS) environment, modifications are performed through custom development of Oracle Forms. Because the current infrastructure is not “high availability” and does not include clustering, the environment has to be brought down when changes are made to Oracle forms. Although not always utilized, downtime is scheduled to take place on Tuesdays from 6:15p – 10p (EST). This maintenance window can have a negative impact to those operating on CST.
 - *Disaster Recovery*– The DOH disaster recovery site in Tampa is not in synch with Tallahassee with respect to MQA business functions and is an incomplete solution. The Oracle database and Oracle application server are the only system components at the disaster site. No datamart or Windows IIS or DB servers exist. All complimentary Windows servers would need to be configured and setup in order to fully restore MQA services. During the restoration period, which could be extensive, LicenseEase (COMPAS) would likely only be available in a “view only” mode until services could be restored. More detail can be found in the Backup and Disaster Recovery section of this document.
 - *“Work-arounds” being utilized to keep systems functioning in Unsupported Environment* – LicenseEase (COMPAS) relies on software from Sun called J-Initiator that allows a web-enabled Oracle Forms client application to be run inside a web browser. Windows 7 desktop clients are certified only with the native Sun Java Runtime Engine (JRE). Oracle J-Initiator was built on top of Java 1.3. Java 1.3 is no longer supported by Sun and not compatible with Windows 7. Sun has no plans to certify Oracle J-Initiator with Windows 7. The workaround to address this issue involves replacing a file in J-Initiator with an updated version, which will then allow LicenseEase (COMPAS) to work on Windows 7. This workaround is not supported by Sun.
 - *MQA Locked into single database platform* – LicenseEase (COMPAS) locks MQA into using Oracle as its database platform. Generally speaking, MS SQL Server is the DB platform standard for the Department. If MQA were to upgrade to Versa:Regulation, MQA would likely stay with Oracle database from an ease of migration standpoint. This said, by migrating to Versa:Regulation, MQA would have the option to migrate to MS SQL Server and eliminate the need for very costly infrastructure to support Oracle.
 - *No path for upgraded technology* – MQA currently owns a copy of the code contained within LicenseEase (COMPAS.) As a result, they are responsible for all customization and upgrades. That said, the vendor is no longer providing any upgrades or

enhancements to the existing software.

- *System updates require customization* – When enhancements are made to the current environment, the backend code (Oracle forms) is modified if there is not a configurable solution. MQA is able to modify the Oracle forms because they own a copy of the LicenseEase code. If MQA upgraded to Versa:Regulation, these customizations would be addressed as part of the gap between the two systems. In addition, any further modifications after system implementation that cannot be addressed through configuration will utilize Iron Data's PCR (enhancement) process.

5.1.1.2. Current LicenseEase (COMPAS) Software

Customer Oriented Medical Practitioner Administration System (COMPAS) that supports the licensing of health care professions regulated under MQA. COMPAS is the business name for the product entitled LicenseEase. This system was implemented over a 22-month period from July 2003 to May 2005 and replaced the Department's legacy system known as PRAES, operating in an Informix environment. The system supports the following MQA functions:

- Licensing
- Application
- Revenue Receipt
- Enforcement
- Compliance
- Reporting
- Exams

The current system utilizes batch processing and the following technologies:

- Oracle forms and reports based GUI for internal users
- Object oriented platform for custom portal .net framework for web GUI
- Procedural language for batch processing and interfaces

There are 650 licensed LicenseEase (COMPAS) users, about 350 MQA reports, and more than 12,500 web visitors per day (based on current usage pattern.) At its peak (December 2011), there were over 64,000 e-commerce transactions in a month including initial online applications, renewals, license certifications, other payer invoices, and delinquent renewals, and other transaction types. There are 3 types of users including administrative users (system support services who is front line between customers and IT), board office processors and enforcement staff (power users), and data entry IAPI (vendor who handles document storage.)

5.1.1.3. Internal and External Interfaces

There are number of major internal and external interfaces that support the MQA related to the LicenseEase (COMPAS) system.

Internal Interfaces for LicenseEase (COMPAS) extracts and imports

| Interface | Description (if needed) |
|-------------------------------|--|
| MQA Services Reporting | Web-based intranet application for reporting and managing the e-Renewal and Profiling Updates applications. Pulls data from LicenseEase (COMPAS) and MSSQL, through SQL Server |
| LicenseEase (COMPAS) Datamart | Summarization, aggregation, and denormalization of data |

**FY 2011-12 SCHEDULE IV-B FEASIBILITY STUDY FOR
MQA MODERNIZATION PROJECT**

| Interface | Description (if needed) |
|--------------------------------------|---|
| License Verification(License Lookup) | Extract for web users to provide public-accessible view of all basic license information contained in LicenseEase (COMPAS.) Pulls data from LicenseEase (COMPAS), through SQL Server |
| Practitioner Profile Application | Extract for web users to provide public-accessible view of physician profiling information contained in LicenseEase (COMPAS.) Pulls data from LicenseEase (COMPAS), through SQL Server |
| Hospital Discipline Reporting | Extract for web users to provide hospital discipline information (available only to hospitals.) Data maintained through intranet application |
| Online Exam Test Scores | Extract for web users for license candidates to view exam information. Pulls data from LicenseEase (COMPAS), through SQL Server |
| Final Order Look-up | Extract for web users to provide public-accessible image of final orders issued by the Dept. of Health against licensees. Pulls data from LicenseEase (COMPAS), through SQL Server |
| License Certification | Extract for web users to purchase license certification letters from MQA Compliance unit of licensee's practicing status with MQA. Batch processes to feed data into LicenseEase (COMPAS) |
| COOP | Extract for web users for extracting Continuous Operations information. Pulls data from Datamart |
| Image API | Exchange of information with Image API to facilitate printing of licenses |

Table 5-2 - Internal Interfaces

External Interfaces for LicenseEase (COMPAS) extracts and imports

| Interface | Description (if needed) |
|----------------------------------|---|
| Datamart Data Download | Web-based intranet application for downloading license data. Pulls data from Datamart |
| Data Download (DBPR) | Intra-agency application for downloading license data for pharmacy. Pulls data from Datamart |
| Daily release file for ImageAPI | Internal application for extracting PDFs to load into iCenter. Pulls data from MSSQL. Performed at 6:00a and 4:30p |
| Daily extract for NURSYS | Internal application for extract for NURSYS. Pulls data from Datamart |
| CE Broker | Application for downloading and loading continuing education data. Pulls data from ISF |
| CE Broker License Status extract | Application for extracting license status file loading continuing education data. Pulls data from ISF |
| Datamart extract | Nightly process to extract and transform LicenseEase (COMPAS) data for reporting schema. Pulls data from LicenseEase (COMPAS) |
| DOR | Application for downloading child support and enforcement. Creates data file for DOR |
| DFS - FLAIR | Application for downloading financial data to DOR. Creates data file for DOR |

| Interface | Description (if needed) |
|---|--|
| AHCA | Application for extracting Medicaid data for AHCA. Pulls data from datamart |
| FDLE | Application for importing FDLE results. FDLE files |
| American Registry of Radiologic Technologists | Application for extracting RADTECH data for AART. Pulls data from LicenseEase (COMPAS) |
| Veridoc | Application for extracting data for vendor Veridoc. Pulls data from datamart |
| HCCE | Application for extracting data for Health Care Clinic Establishment. Pulls data from datamart |
| FCN | Application for extracting survey data for FCN. Pulls data from datamart |
| FSMB | Application for extract data for FSMB. Pulls data from datamart |
| LEIE | Application for importing Medicaid data. Inserts data to datamart |
| MLI | Application for renewal vendor. Creates extract file for MLI |
| Remittance Processing (RP) | Application for applying money to licenses to LicenseEase (COMPAS) |
| Renewal Generation 1, 2 & 3 | Application for applying money to licenses to LicenseEase (COMPAS) |
| Image API | Exchange of information with Image API to facilitate printing of licenses |

Table 5-3 – External Interfaces

5.1.1.4. Current Hardware Infrastructure

The following diagram depicts the high level architecture of the **Production** LicenseEase (COMPAS) system:

FY 2011-12 SCHEDULE IV-B FEASIBILITY STUDY FOR
MQA MODERNIZATION PROJECT

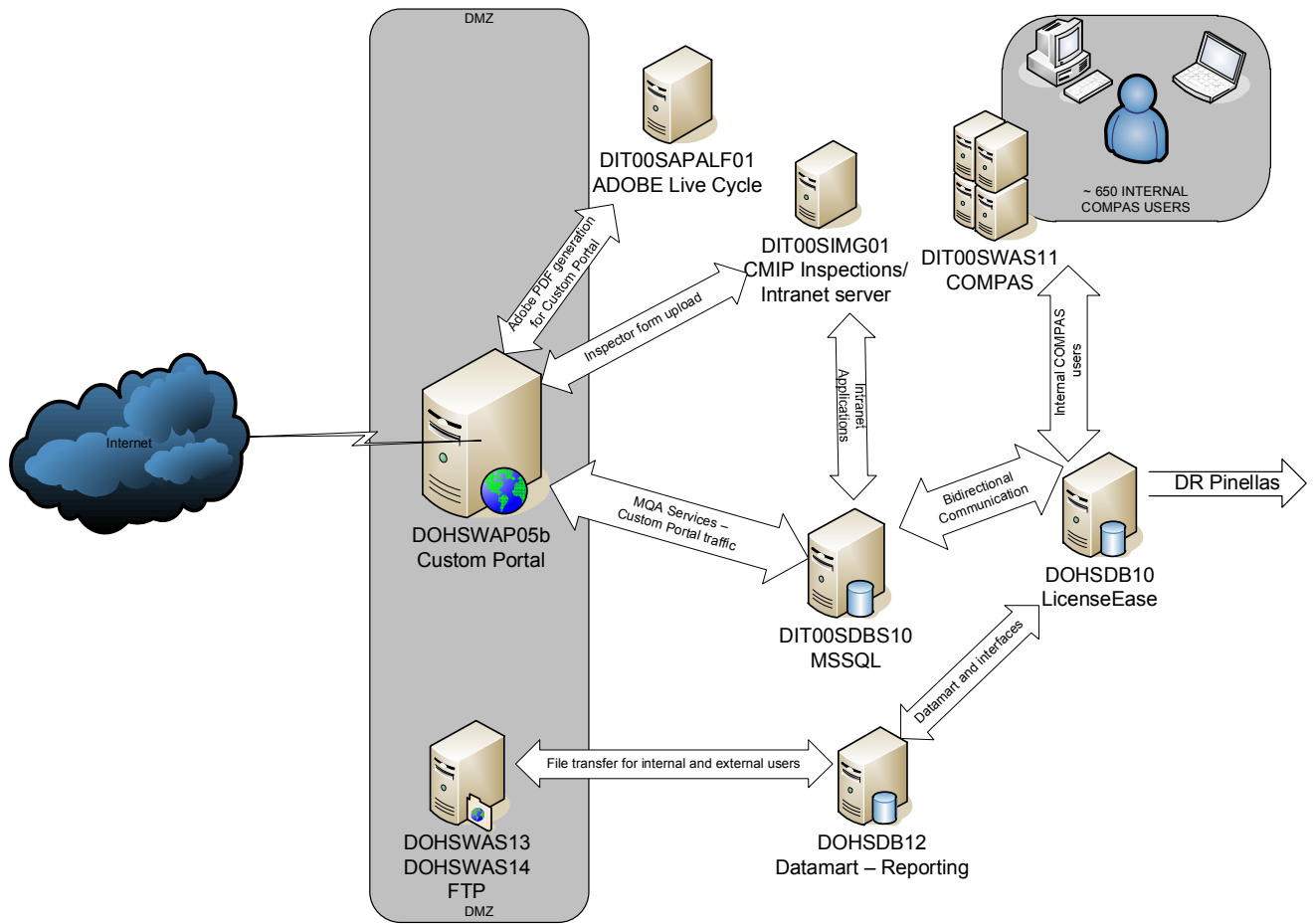


Figure 5-1 - Current Production Infrastructure

The following diagram depicts the high level architecture of the **Test** environment:

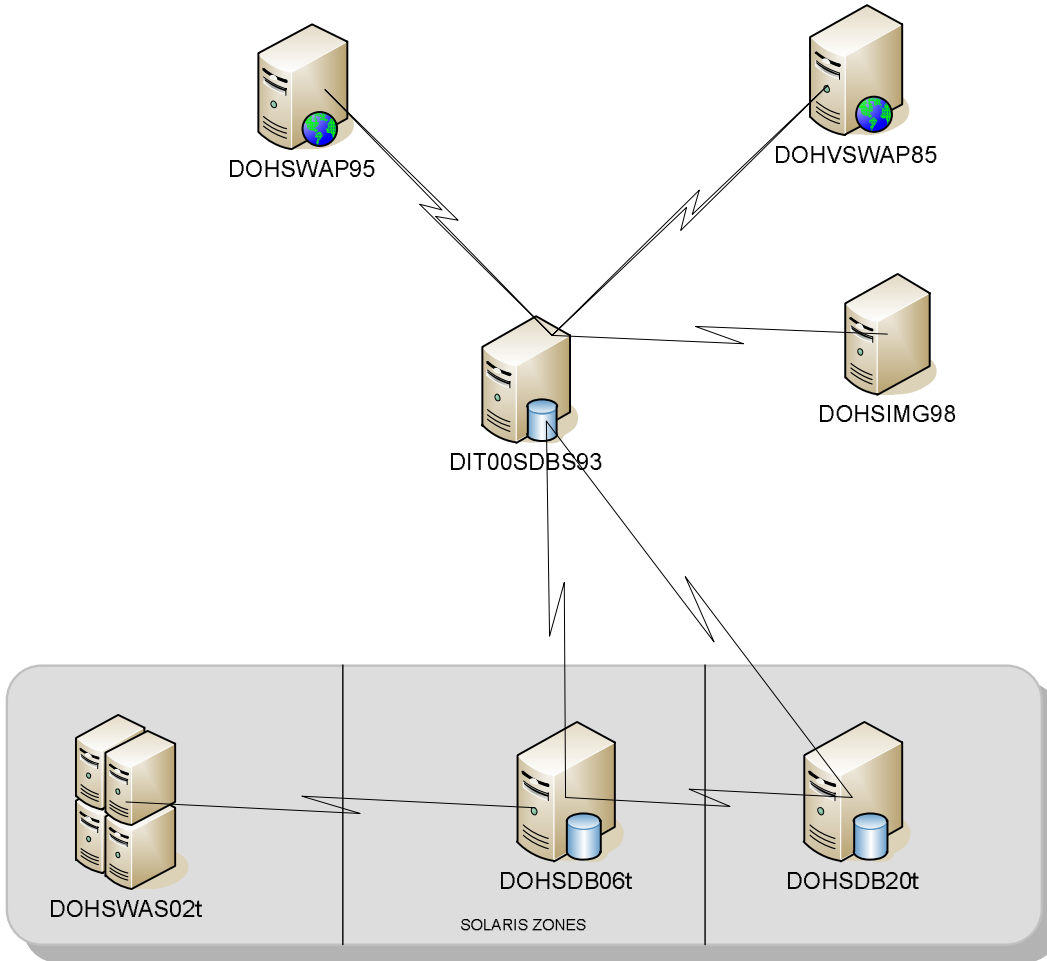


Figure 5-2 – Current Test Infrastructure

The following diagram depicts the high level architecture of the **Development** environment:

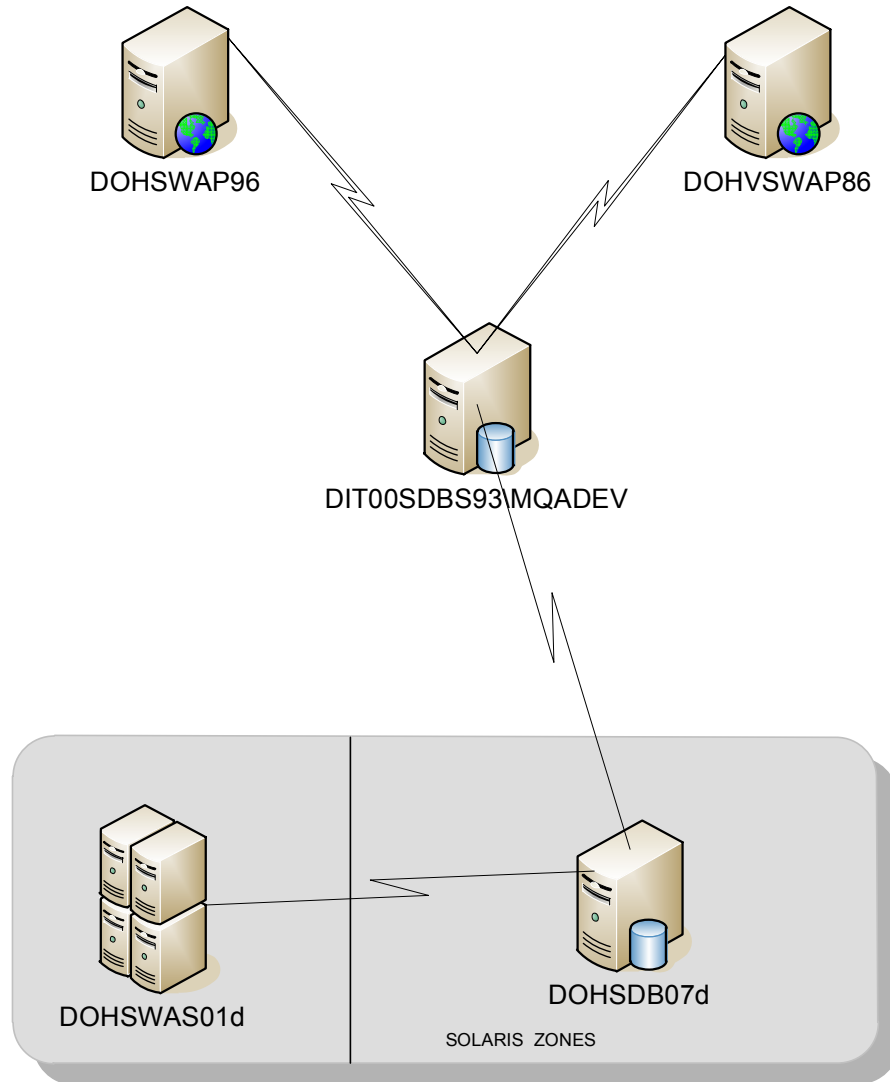


Figure 5-3 - Current Development Infrastructure

The following diagram depicts the high level architecture of the **Disaster Recovery** environment:

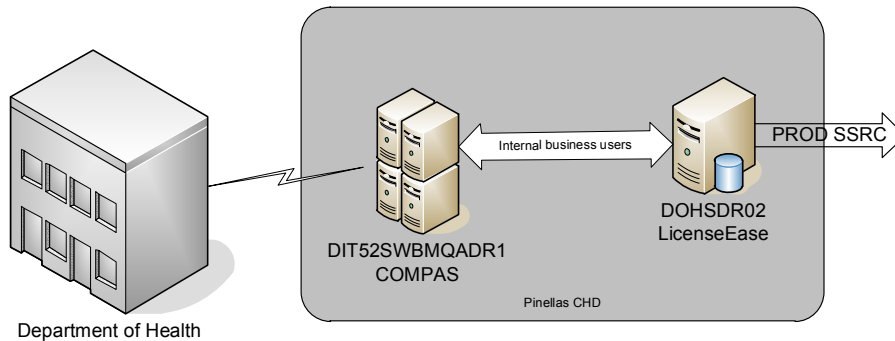


Figure 5-4 - Current Disaster Recovery Infrastructure

Some of the hardware characteristics of the existing infrastructure includes:

- Domain host – DMS,
- Servers – web, application, database

- Webservice – Windows 2003, Virtual machine, 2 CPU, 4GB ram
- Database server – Solaris 10, Sun V480, 8 CPU, 32GB ram
- Application server – Solaris 10, Sun,
-
- Network – Gig e, fabric VLAN switching, firewalls
- Storage: SAN storage for database server
- Archival – media server

5.1.1.5. Scheduled Software/Hardware Maintenance

Servers have very good availability. In a recent report, all related servers had average 24x7 availability of 99.7%. As previously mentioned, though, a weekly maintenance is scheduled on Tuesdays from 6:15p to 10p (although not always utilized.) This downtime is not included in availability percentages as it is scheduled downtime. When changes are necessary in the current LicenseEase (COMPAS) environment, modifications are performed through custom development of Oracle Forms. Because the current infrastructure is not “high availability” and does not support clustering, the environment has to be brought down when changes are made to Oracle forms. This can particularly negatively impact those operating on CST. Activities that may take place during this scheduled downtime may include:

- ASP promotion to the public facing web server - (UI)
- MSSQL db object promotion (stored procedure, triggers, views etc) - backend
- MSSQL data patch script - backend
- Oracle db object promotion (stored procedure, triggers, views, packages, functions etc) - backend
- Oracle forms and report objects (application server pages for LicenseEase (COMPAS) UI) - internal
- Oracle data patch script - backend
- Unix shell script for interfaces - backend
- Crystal Report objects - internal
- Create new scheduled jobs (Window Scheduler/cron)
- Any other Clear Quest activities

In addition to the weekly scheduled downtime, the first Tuesday of the month is reserved for code promotion, followed by OS level patching performed by the SSRC. This window is managed by the SSRC. The SSRC begins posting maintenance messages on the public facing Initial Application and MQA Services websites @ 6:00 pm and lets the connections drain over 20 - 30 minutes while MQA monitors the database sessions. This allows applicants to complete payments in process. The remaining systems are shut down and the SSRC completes the system maintenance.

- Occasionally maintenance activities require LicenseEase (COMPAS) to be stopped @ 6:15.
- An Oracle form promotion requires a 15 minute outage. An example of a one hour outage is letter temporary table maintenance. This usually occurs every other month or as needed.
- If our vendor BoA has maintenance that will impact the public facing ecommerce applications we partially take down the website to limit the impact on cash receipt process

5.1.1.6. Backup and Disaster Recovery

The backup responsibility is performed by the SSRC. Following is a schedule provided by IT identifying the schedule of backups by server:

**FY 2011-12 SCHEDULE IV-B FEASIBILITY STUDY FOR
MQA MODERNIZATION PROJECT**

| Server | Database | Backup type | Start time | Retention |
|---------------|--------------------|---------------------|---------------------------------------|--|
| DOHSBD10 | LEPROD | Rman full | 3:00 | 3 years |
| DHOSDB12 | LEDMPROD | export | 5:00 | full export - 1 year on disk, schema export - 5 days on disk |
| DOHSDB07D | LEDEV | Rman full | 23:30 | 3 years |
| DOHSDB06T | LEUA | Rman full | 22:00 | 3 years |
| DOHSDB20T | DM_DEV | Rman offline backup | 00:15 / Sunday | 3 years |
| DIT00SWAS11 | Application Server | OS full | 19:00 | 3 years |
| DOHSWAS01D | Application Server | OS full | 18:00 | NA |
| DOHSWAP02T | Application Server | OS full | 18:00 | NA |
| DIT00SDBS93 | MQADEV | SQLSafe full | Full Saturday Differential daily | NA |
| | DEFAULT (TEST) | SQLSafe full | Full Saturday Differential daily | NA |
| DIT00SDBS10 | DEFAULT | SQLSafe full | Full daily transaction log 30 minutes | 2 weeks on disk one set of tapes each month |
| DIT00SAPALF01 | TBD | TBD | TBD | Information not available at time of study |
| DIT00SIMG01 | TBD | TBD | TBD | Information not available at time of study |
| DIT00SWAP05b | TBD | TBD | TBD | Information not available at time of study |
| DOHSWAS02t | TBD | TBD | TBD | Information not available at time of study |

Table 5-4 – Server Data Retention Schedule

The failover process for disaster recovery involves making the physical standby server the master by “breaking” Oracle Data Guard and opening the database as READ/WRITE. The application server will also have to be started and any additional configuration changes to communicate with Tallahassee servers still in production. This approach has never been tested.

The solution at the disaster recovery site is incomplete and is complicated by the fact Tallahassee hosts the production environment and the disaster site is in Pinellas County at the County Health Department. The disaster recovery site is not in synch with the production environment in Tallahassee. The Oracle database and Oracle application server are the only system components at the disaster site. The disaster recovery site contains no Oracle datamart, no Windows IIS server(s), and no MSSQL DB servers. All complimentary Windows servers would need to exist and be stood

up in order to restore MQA Services fully. The licensing application, LicenseEase (COMPAS), would be best used for a "view only" environment until services can be restored as the disaster site is not setup to handle batch or process money. In the event a partial recovery site is acceptable, servers in Tallahassee and those processes would need to be reconfigured to point to the Pinellas CHD site.

5.1.1.7. Batch Processes

The current environment is setup to process in batch mode. Because MQA cannot move to real-time processing in the current environment, this is a contributing factor to the current inability of MQA to reduce processing time and meet some of the specific legislative objectives. The following diagrams depict the necessary batch processes that take place in the current environment.

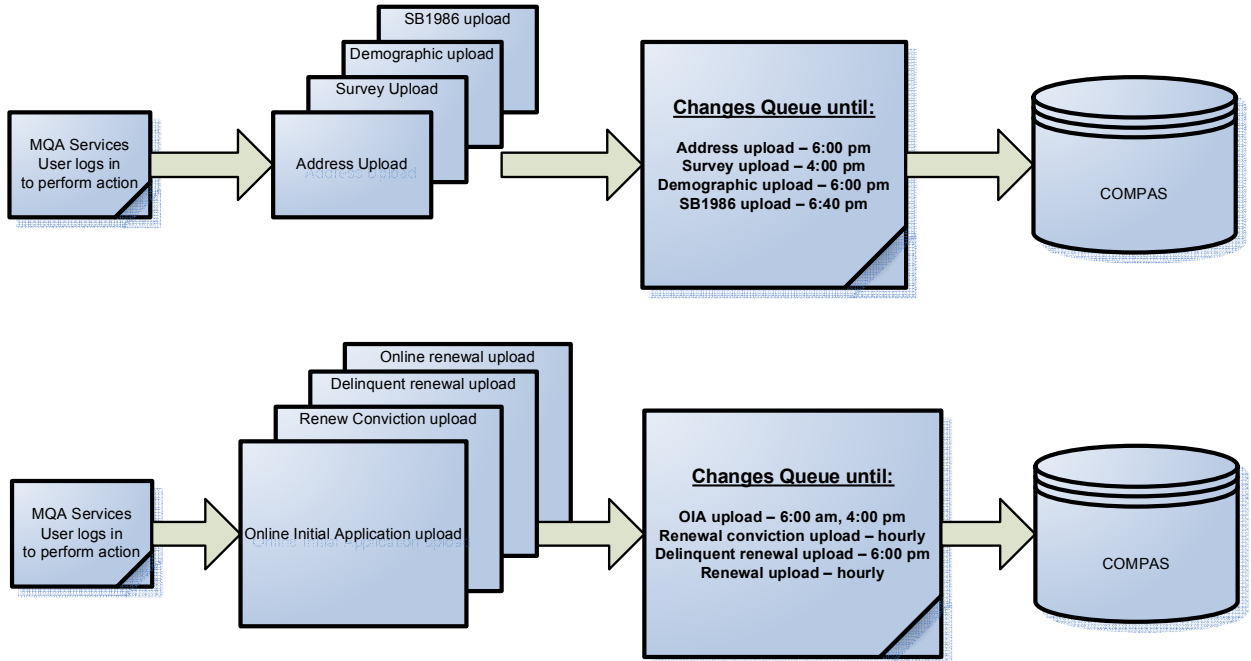


Figure 5-5 - Batch Process Flow

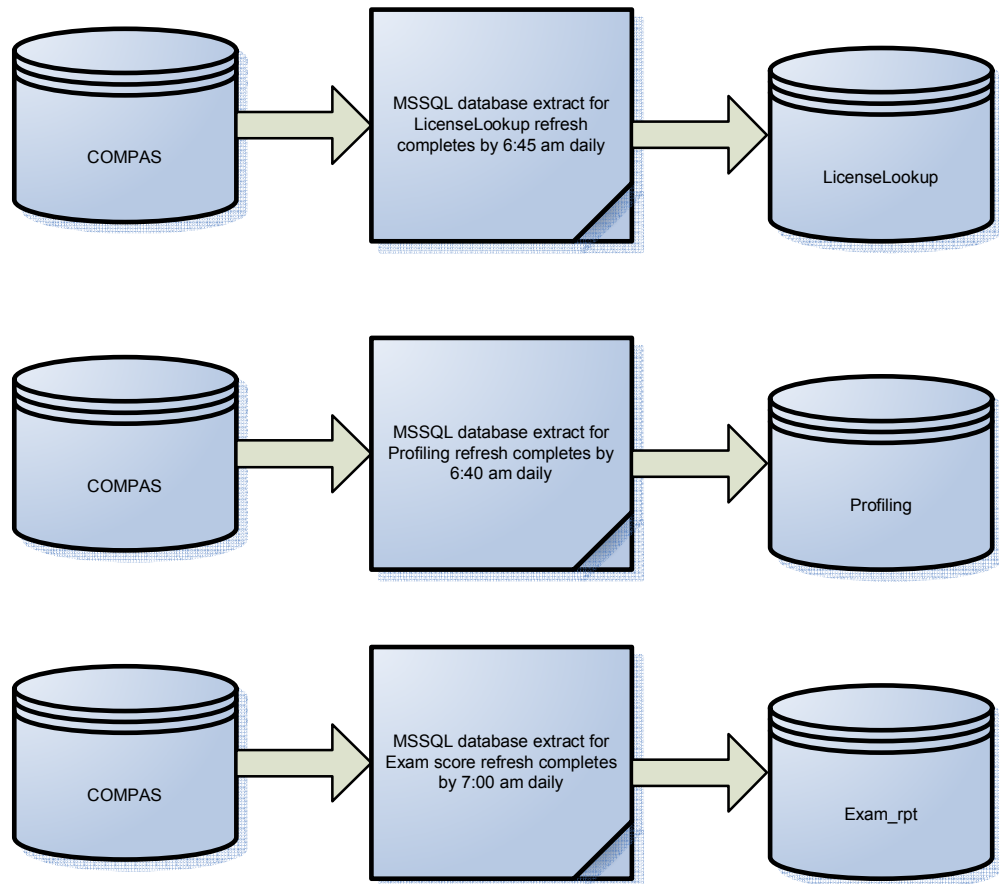


Figure 5-6 – Batch Processing Diagram

5.1.1.8. Current system resource requirements

| System Name | # of users / user types | Hardware Platform | Operating System | Database Software | Access | Programming Language / Software Characteristics | Internal / External |
|---------------------------------|---|---|----------------------|--|---|---|---------------------|
| Online Renewals | licensed practitioners (over 1.1 million) | VM - ESX host, 2CPU 2GB RAM, 40GB disk storage - DOHSWAP05b | Windows 2003 - IIS 6 | SQL2008 (with linked server to Oracle 10g) | Secured - requires login contains confidential info | GUI interface (classic asp & javascript) e-commerce interface (BoA) real-time payment txn batch processing of practitioner data | External |
| Online Initial Application | Public | VM - ESX host, 2CPU 2GB RAM, 40GB disk storage - DOHSWAP05b | Windows 2003 - IIS 6 | SQL2008 (with linked server to Oracle 10g) | Secured - requires login contains confidential info | GUI interface (.NET & javascript) e-commerce interface (BoA) real-time payment txn batch processing of practitioner data | External |
| Online Application Status Check | applicants | VM - ESX host, 2CPU 2GB RAM, 40GB disk storage - DOHSWAP05b | Windows 2003 - IIS 6 | SQL2008 (with linked server to Oracle 10g) | Secured - requires login contains confidential info | GUI interface (classic asp & javascript) | External |
| Online Address Updates | licensed practitioners (over 1.1 million) | VM - ESX host, 2CPU 2GB RAM, 40GB disk storage - DOHSWAP05b | Windows 2003 - IIS 6 | SQL2008 (with linked server to Oracle 10g) | Secured - requires login contains confidential info | GUI interface (classic asp & javascript) batch processing of practitioner data | External |

**FY 2011-12 SCHEDULE IV-B FEASIBILITY STUDY FOR
MQA MODERNIZATION PROJECT**

| System Name | # of users / user types | Hardware Platform | Operating System | Database Software | Access | Programming Language / Software Characteristics | Internal / External |
|-------------------------------|---|---|----------------------|--|---|---|---------------------|
| Online Profiling Updates | licensed profiled practitioners (over 93,000) | VM - ESX host, 2CPU 2GB RAM, 40GB disk storage - DOHSWAP05b | Windows 2003 - IIS 6 | SQL2008 (with linked server to Oracle 10g) | Secured - requires login contains confidential info | GUI interface (classic asp & javascript) batch processing of practitioner data | External |
| Online Duplicate License | licensed practitioners (over 1.1 million) | VM - ESX host, 2CPU 2GB RAM, 40GB disk storage - DOHSWAP05b | Windows 2003 - IIS 6 | SQL2008 (with linked server to Oracle 10g) | Secured - requires login contains confidential info | GUI interface (classic asp & javascript) e-commerce interface (BoA) real-time payment txn batch processing of practitioner data | External |
| Online OneTime Fee Assessment | licensed practitioners (over 1.1 million) | VM - ESX host, 2CPU 2GB RAM, 40GB disk storage - DOHSWAP05b | Windows 2003 - IIS 6 | SQL2008 (with linked server to Oracle 10g) | Secured - requires login contains confidential info | GUI interface (classic asp & javascript) e-commerce interface (BoA) real-time payment txn batch processing of practitioner data | External |
| Other Payer Invoicing | subset of licensed practitioners | VM - ESX host, 2CPU 2GB RAM, 40GB disk storage - DOHSWAP05b | Windows 2003 - IIS 6 | SQL2008 (with linked server to Oracle 10g) | Secured - requires login contains confidential info | GUI interface (classic asp & javascript) e-commerce interface (BoA) real-time payment txn batch processing of practitioner data | External |

**FY 2011-12 SCHEDULE IV-B FEASIBILITY STUDY FOR
MQA MODERNIZATION PROJECT**

| System Name | # of users / user types | Hardware Platform | Operating System | Database Software | Access | Programming Language / Software Characteristics | Internal / External |
|--------------------------------|----------------------------------|---|----------------------|--|---|--|-------------------------------|
| Batch Reconciliation | F&A staff (< 5) | VM - ESX host, 2CPU 2GB RAM, 40GB disk storage - DOHSWAP05b | Windows 2003 - IIS 6 | SQL2008 (with linked server to Oracle 10g) | Secured - requires login contains confidential info | GUI interface (classic asp) batch processing of financial data | Internal |
| MQA Services Reporting | MQA staff (<50) | VM - ESX host, 2CPU 2GB RAM, 40GB disk storage - DOHSWAP05b | Windows 2003 - IIS 6 | SQL2008 (with linked server to Oracle 10g) | Secured - requires login contains confidential info | GUI interface (classic asp & Crystal Rpts) batch processing of financial data | Internal |
| Online WorkForce Survey | subset of licensed practitioners | VM - ESX host, 2CPU 2GB RAM, 40GB disk storage - DOHSWAP05b | Windows 2003 - IIS 6 | SQL2008 (with linked server to Oracle 10g) | Secured - requires login contains confidential info | GUI interface (classic asp & javascript) batch processing of practitioner data Survey setups (question text,etc) reside in LicenseEase (COMPAS) | Internal (setups) External |
| Final Order & Emergency Action | Public | VM - ESX host, 2CPU 2GB RAM, 40GB disk storage - DOHSWAP05b | Windows 2003 - IIS 6 | SQL2008 (with linked server to Oracle 10g) | public access | GUI interface (.NET) | External |
| License Verification | Public | VM - ESX host, 2CPU 2GB RAM, 40GB disk storage - DOHSWAP05b | Windows 2003 - IIS 6 | SQL2008 (with linked server to Oracle 10g) | public access | GUI interface (classic asp & javascript) | External |

**FY 2011-12 SCHEDULE IV-B FEASIBILITY STUDY FOR
MQA MODERNIZATION PROJECT**

| System Name | # of users / user types | Hardware Platform | Operating System | Database Software | Access | Programming Language / Software Characteristics | Internal / External |
|---|--|--|----------------------|--|---|---|---------------------|
| Practitioner Profile | Public | VM - ESX host, 2CPU 2GB RAM, 40GB disk storage - DOHSWAP05b | Windows 2003 - IIS 6 | SQL2008 (with linked server to Oracle 10g) | public access | GUI interface (classic asp & javascript) | External |
| Data Download | Public | VM - ESX host, 2CPU 2GB RAM, 40GB disk storage - DOHSWAP05b | Windows 2003 - IIS 6 | SQL2008 (with linked server to Oracle 10g) | public access | GUI interface (.NET) | External |
| License Certification | Public | VM - ESX host, 2CPU 2GB RAM, 40GB disk storage - DOHSWAP05b | Windows 2003 - IIS 6 | SQL2008 (with linked server to Oracle 10g) | public access | GUI interface (classic asp & javascript) | External |
| Time Tracking | MQA staff (approx 600) | DELL PE 2950 - 4 CPU, 4GB RAM, 1.1 TB disk storage - DIT00SIMG01 | Windows 2003 - IIS 6 | SQL2008 (with linked server to Oracle 10g) | Secured - requires login contains confidential info | GUI interface (classic asp) real time | Internal |
| Online Exam Test Scores | MQA staff & licensed practitioners | VM - ESX host, 2CPU 2GB RAM, 40GB disk storage - DOHSWAP05b | Windows 2003 - IIS 6 | SQL2008 (with linked server to Oracle 10g) | Secured - requires login contains confidential info | GUI interface (.NET) real time | Internal & External |
| Prescription Pad Vendor Monthly Reporting | licensed practitioners who prescribe controlled substances | VM - ESX host, 2CPU 2GB RAM, 40GB disk storage - DOHSWAP05b | Windows 2003 - IIS 6 | SQL2008 (with linked server to Oracle 10g) | Secured - requires login contains confidential info | GUI interface (.NET) batch processing of data | External |

**FY 2011-12 SCHEDULE IV-B FEASIBILITY STUDY FOR
MQA MODERNIZATION PROJECT**

| System Name | # of users / user types | Hardware Platform | Operating System | Database Software | Access | Programming Language / Software Characteristics | Internal / External |
|-------------------------------|-------------------------|---|-------------------------|---|------------------|---|---------------------|
| MQA Services - NursingCompare | Public | VM - ESX host, 2CPU 2GB RAM, 40GB disk storage - DOHSWAP05b | Windows 2003 - IIS 6 | SQL2008 (with linked server to Oracle 10g) | public access | GUI interface (.NET) real time | External |

Table 5-5 – Current System Resource Requirements

5.1.1.9. Application Descriptions

LicenseEase 4 (COMPAS - Customer Oriented Medical Practitioner Administration System)

Oracle web based - MQA Division accessible - system for tracking Health Practitioner licensing, regulation, enforcement and profiling information.

MQA Services

Web-based entryway offering access to a wide-range of license services-oriented applications for licensee professions regulated under MQA, health care businesses, citizens and visitors to Florida.

- MQA Services portal is a web-based, front end GUI interface built using ASP, which interfaces with the middle-tier SQL Server database. SQL Server uses stored procedures to link with the LicenseEase (COMPAS) system
- The primary interaction with LicenseEase (COMPAS) is to validate user logins

MQA Services - Online Renewal Application:

Provides the licensee the ability to renew licenses online and pay the appropriate fees.

- Online Renewals is a web-based, front end GUI interface built using ASP, which interfaces with the middle-tier SQL Server database. SQL Server uses stored procedures to link with the LicenseEase (COMPAS). The online renewal application also contains an e-commerce component which has an interface with Bank of America
- Licensee data is retrieved from LicenseEase (COMPAS) and displayed to the end user. The user can then update their data and either pay for their renewal transaction, or enter an Other Payer Code (coupon code). Any updated licensee data is stored in SQL Server. Those updates are then batched for upload into LicenseEase (COMPAS). The financial transactional data is also stored in SQL Server, and uploaded into LicenseEase (COMPAS) once the settlement process and remittance process has been run. If an Other Payer code was entered, the Third Party Payer will be responsible for logging in to pay for the invoice (see Other Payer Invoicing)

MQA Services - Online Initial Licensure Application:

Provides the public the ability to apply online for initial licensure.

- Online Initial Application is a web-based, front end GUI interface built using ASP.NET, which interfaces with the middle-tier SQL Server database. SQL Server uses stored procedures to link with the LicenseEase (COMPAS). The online initial application also contains an e-commerce component which has an interface with Bank of America
- Applicants create an account, and then provide the data required according to the license requirements for that profession. At completion of data entry, the user can either pay for their initial application transaction or enter an Other Payer Code (coupon code). The applicant data is stored in SQL Server. Those updates are then batched for upload into LicenseEase (COMPAS). The financial transactional data is also stored in SQL Server, and uploaded into LicenseEase (COMPAS) once the

settlement process and remittance process has been run. If an Other Payer code was entered, the Third Party Payer will be responsible for logging in to pay for the invoice (see Other Payer Invoicing). Upon payment, their completed application is stored as a document in iCenter, the third party tool created and housed by Image API. The user has the ability to login to the system at a later time, to print a copy of their completed application, as well as any required supporting documentation. The application documents are retrieved from iCenter. The supporting documents are created at run-time, using an application developed in-house by DOH

MQA Services - Application Status Check:

Provides the applicant the ability to check the status of license applications online.

- Application Status Check is a web-based, front end GUI interface built using ASP, which interfaces with the middle-tier SQL Server database. SQL Server uses stored procedures to link with the LicenseEase (COMPAS)
- Application Status data is retrieved from LicenseEase (COMPAS) and displayed to the end user. The user has the ability to print a copy of their completed application. The application documents are retrieved from iCenter

MQA Services - Online Address Changes:

Provides the licensee the ability to change their addresses (Mailing & Practice Location), phone numbers and email address.

- Online Address Changes is a web-based, front end GUI interface built using ASP, which interfaces with the middle-tier SQL Server database. SQL Server uses stored procedures to link with the LicenseEase (COMPAS)
- Licensee data is retrieved from LicenseEase (COMPAS) and displayed to the end user. The user can then update their data. Any updated licensee data is stored in SQL Server. The updates are then batched for upload into LicenseEase (COMPAS)

MQA Services - License Confirmation:

Provides the licensee the ability to print a confirmation of license executed after an on-line license renewal or delinquent renewal. This is to be used to confirm a license while the practitioner is waiting on the printed official paper license.

- License Confirmation is a web-based, front end GUI interface built using ASP.NET, which interfaces with the middle-tier SQL Server database. SQL Server uses stored procedures to link with the LicenseEase (COMPAS)
- Licensee data is retrieved from LicenseEase (COMPAS) to generate the confirmation of license and displayed to the end user

MQA Services - Profiling Updates:

Provides the licensee the ability to change their Profile data online.

- Profiling Updates is a web-based, front end GUI interface built using ASP, which interfaces with the middle-tier SQL Server database. SQL Server uses stored procedures to link with the LicenseEase (COMPAS)
- Licensee data is retrieved from LicenseEase (COMPAS) and displayed to the end user. The user can then update their data. Any updated licensee data is stored in

SQL Server. Those updates are then batched for upload into LicenseEase (COMPAS). Some of the professions require that Profiling data goes through a Board Approval process. Once the updates have been approved, the updates are uploaded into LicenseEase (COMPAS)

MQA Services - Online Request for Duplicate License:

Provides the licensee the ability to order duplicate licenses online and pay the appropriate fees.

- Online Request for Duplicate License is a web-based, front end GUI interface built using ASP, which interfaces with the middle-tier SQL Server database. SQL Server uses stored procedures to link with the LicenseEase (COMPAS). The online duplicate license request system also contains an e-commerce component which has an interface with Bank of America
- Licensee data is retrieved from LicenseEase (COMPAS) and displayed to the end user. The user can then pay for their duplicate license transaction. The request for the license and the financial transactional data is stored in SQL Server, and uploaded into LicenseEase (COMPAS) once the settlement process and remittance process has been run

MQA Services - Online One Time Fee Assessment:

Provides the licensee the ability to pay for fees that are assessed by medical boards.

- Online One Time Fee Assessment is a web-based, front end GUI interface built using ASP, which interfaces with the middle-tier SQL Server database. SQL Server uses stored procedures to link with the LicenseEase (COMPAS). The one-time fee assessment system also contains an e-commerce component which has an interface with Bank of America
- Licensee data is retrieved from LicenseEase (COMPAS) and displayed to the end user. The user can then pay for their one-time fee assessment transaction. The financial transactional data is stored in SQL Server, and uploaded into LicenseEase (COMPAS) once the settlement process and remittance process has been run

MQA Services – Other Payer Invoicing:

Provides a third-party payer the ability to pay for an invoice. The invoice could contain licensees that have renewed online with an Other Payer Code, or applicants that have paid for an initial application with an Other Payer Code.

- Other Payer Invoicing is a web-based, front end GUI interface built using ASP, which interfaces with the middle-tier SQL Server database. SQL Server uses stored procedures to link with the LicenseEase (COMPAS). Also contains an e-commerce component which has an interface with Bank of America
- Invoice data is retrieved from SQL Server and displayed to the end user. The user can then pay for their invoice transaction. The financial transactional data is stored in SQL Server, and uploaded into LicenseEase (COMPAS) once the settlement process and remittance process has been run

MQA Services – Relationship Management:

Provides licensees with the ability the manage their relationships with other professions

online.

- Relationship Management is a web-based, front end GUI interface built using ASP.NET, which interfaces with the middle-tier SQL Server database. SQL Server uses stored procedures to link with the LicenseEase (COMPAS)
- Relationship data is retrieved from LicenseEase (COMPAS) and displayed to the end user. The user can add/update their data. The updates are stored in SQL Server, and uploaded into LicenseEase (COMPAS)

MQA Services – Batch Reconciliation:

Provides DOH Finance & Accounting staff the ability to reconcile MQA e-commerce transactions.

- Batch Reconciliation is a web-based, front end GUI interface built using ASP, which interfaces with the middle-tier SQL Server database. SQL Server uses stored procedures to link with the LicenseEase (COMPAS). It is an Intranet application that is a subsystem of the MQA Services Reporting System
- Financial data is retrieved from SQL Server and displayed to the end user. The user can then reconcile the batches of financial transactions, and assign batches to deposits. The data is stored in SQL Server, and uploaded into LicenseEase (COMPAS)

MQA Services Reporting System:

This Intranet system consists of four categories of functions designed for MQA business staff to control internet activity and report on internet activity from MQA Internet Services. The four functions are as follows:

1. MQA internet activity controls include: Address Change Approval, Licensee Account Look-up, Licensee Activity Look-up, Update Set-Up Flags, Profile Change Approval, iPortal Message/Alert
2. Finance and Accounting internet activity controls include: Batch Reconciliation
3. Activity reporting: a wide range of business and financial reports provided to monitor activity from MQA Internet Services.
4. Renewal Forms Setups

MQA Services Reporting System is a web-based, front end GUI interface built using ASP, which interfaces with the middle-tier SQL Server database. SQL Server uses stored procedures to link with the LicenseEase (COMPAS).

Data is retrieved from either SQL Server or LicenseEase (COMPAS) and displayed to the end user. Updates can be made for Address Change Approval and Profiling Change Approval. These updates are batched and uploaded to LicenseEase (COMPAS). Updates to Profession Setup data are stored in SQL Server. Reports are executed against data in SQL Server

MQA Services – Work Force Survey:

Provides the licensee the ability to respond to the required Physician's Workforce Survey online.

- Online Work Force Survey is a web-based, front end GUI interface built using ASP, which interfaces with the middle-tier SQL Server database. SQL Server uses stored procedures to link with the LicenseEase (COMPAS)
- Survey questions are stored in LicenseEase (COMPAS) RSD's. The questions are retrieved from LicenseEase (COMPAS) via SQL Server stored procedures (using linked servers), and presented to the licensee. The licensee responds to the survey questions and that data is stored in SQL Server, and then uploaded into via batch processing

MQA Services – Final Order & Emergency Action Lookup:

Provides the public with the ability to search for disciplinary action taken against practitioners licensed with the Department of Health, Division of Medical Quality Assurance. Final Order and Emergency Action documents have been imaged and stored in a repository for retrieval.

- Final Order Lookup is a web-based, front end GUI interface built using ASP.NET, which interfaces with the middle-tier SQL Server database. SQL Server uses stored procedures to link with the LicenseEase (COMPAS)
- Licensee data is retrieved from LicenseEase (COMPAS) and displayed to the end user. In addition, images of the final order and emergency action documents are retrieved from iCenter

MQA Services – License Verification:

Provides the public with the ability to search for basic license information for all health care professions regulated by MQA.

- License Verification is a web-based, front end GUI interface built using ASP, which interfaces with the middle-tier SQL Server database. SQL Server uses stored procedures to link with the LicenseEase (COMPAS)
- Key elements of data related to a licensee search are downloaded from LicenseEase (COMPAS) on a daily basis, and stored in a SQL Server database. When a search is performed, the search results are retrieved from the SQL Server database. When the end user drills down to the details of the individual licensee, the data is retrieved from LicenseEase (COMPAS) via SQL Server stored procedures (using linked servers), and presented to the end user

MQA Services – Practitioner Profiling Search:

Provides the public with the ability to search for license information for all profiled health care professions regulated by MQA.

- Practitioner Profiling Search is a web-based, front end GUI interface built using ASP, which interfaces with the middle-tier SQL Server database. SQL Server uses stored procedures to link with the LicenseEase (COMPAS)
- Key elements of data related to a profiled licensee search are downloaded from LicenseEase (COMPAS) on a daily basis, and stored in a SQL Server database. When a search is performed, the search results are retrieved from the SQL Server database. When the end user drills down to the details of the individual licensee, the data is retrieved from LicenseEase (COMPAS) via SQL Server stored procedures (using linked servers), and presented to the end user

MQA Services – Data Download:

Provides the public with the ability to download, free of charge, board-profession data files as per Chapter 119 of the Florida Statutes. The data available for downloading are the board-profession licensure data files, profiling data files, and exam list data files.

- Data Download is a web-based, front end GUI interface built using ASP.NET, which interfaces with the middle-tier SQL Server database. SQL Server uses stored procedures to link with the LicenseEase (COMPAS)

MQA Services – License Certification:

Provides the public with the ability to request license certification letters from MQA Compliance unit.

- License Certification is a web-based, front end GUI interface built using ASP, which interfaces with the middle-tier SQL Server database. SQL Server uses stored procedures to link with the LicenseEase (COMPAS). Also contains an e-commerce component which has an interface with Bank of America
- The user provides address information (where the certification letter should be mailed), and then the user can pay for their transaction. The data request is stored in SQL Server. Those updates are then batched for upload into LicenseEase (COMPAS). The financial transactional data is also stored in SQL Server, and uploaded into LicenseEase (COMPAS) once the settlement process and remittance process has been run

MQA Services - Prescription Pad Vendor Monthly Reporting:

Provides the licensees that prescribe controlled substances the ability to provide a monthly report of the number of blank, counterfeit-proof prescription blanks that are purchased from DOH approved vendors.

- Prescription Pad Monthly Reporting is a web-based, front end GUI interface built using ASP.NET, which interfaces with the middle-tier SQL Server database. SQL Server uses stored procedures to link with the LicenseEase (COMPAS)
- Prescription Pad data is retrieved from LicenseEase (COMPAS) and displayed to the end user. The user can add/update their data. The updates are stored in SQL Server, and uploaded into LicenseEase (COMPAS)

MQA Services – Pain Management Clinic Quarterly Reporting:

Provides pain clinics the ability to report their data on a quarterly basis. Designated physicians log into a secure website to submit the reports for their associated pain clinics. The information submitted is available on the MQA data download. Compliance reports have been developed to support the office in administrative functions in determining which clinics have not reported.

- Pain Management Clinic Reporting is a web-based, front end GUI interface built using ASP.NET, which interfaces with the middle-tier SQL Server database. SQL Server uses stored procedures to link with the LicenseEase (COMPAS)
- Pain Management Clinic data is retrieved from LicenseEase (COMPAS) and displayed to the end user. The user can add/update their data. The updates are stored in SQL Server, and uploaded into LicenseEase (COMPAS)

Time Tracking:

This Intranet system provides DOH staff with an automated means of tracking time and expenses. Primary users include Department of Health Enforcement staff, employees in the Bureau of Health Care Practitioner Regulation, Bureau of Management Services, and Bureau of Operations.

- Time Tracking is a web-based, front end GUI interface built using ASP, which interfaces with the middle-tier SQL Server database. SQL Server uses stored procedures to link with the LicenseEase (COMPAS)
- Users charge the time spent on different activities to the appropriate board offices, professions/occupations, cases/complaints, or administrative duties. Users can also charge expenses to a particular case/complaint. This system is also used to maintain the staff information and activity codes. The data is stored in SQL Server. This system only interacts with LicenseEase (COMPAS) for validation purposes (validation of Board Codes, Profession Codes, Staff Codes, and Case/Complaint numbers). This system does not upload data to LicenseEase (COMPAS)

Online Exam Test Scores:

This 2-part application system consists of a web-based public-accessible Examination Grade Report Search Page and an intranet administration application. The public search page is used by applicants, who have taken various board exams, to search online by professional board, exam title, exam date, and their candidate identification number in order to retrieve their exam scores. The Intranet Administration application allows for selection of professions for online exam services and selection of which exams to display.

- Online Exam Test Scores is a web-based, front end GUI interface built using ASP.NET, which interfaces with the middle-tier SQL Server database. SQL Server uses stored procedures to link with the LicenseEase (COMPAS)
- Exam data is retrieved from LicenseEase (COMPAS) via SQL Server stored procedures (using linked servers), and presented to the end user

Hospital Discipline Report System:

This system is a security web-based system at the Department of Health (DOH) that will be used by Hospitals and other medical facilities to report disciplinary actions to the department, and used by DOH to review, retrieve and retain those reports.

- Hospital Discipline System is a web-based, front end GUI interface built using ASP, which interfaces with the middle-tier SQL Server database. SQL Server uses stored procedures to link with the LicenseEase (COMPAS)
- Discipline data is retrieved from LicenseEase (COMPAS) and displayed to the end user. The user can add/update their data. The updates are stored in SQL Server, and uploaded into LicenseEase (COMPAS)

MQA Services – Nursing Compare:

Provides the public with the ability to search and compare Nursing Schools that are registered in the State of Florida.

- Nursing Compare is a web-based, front end GUI interface built using ASP.NET, which interfaces with the middle-tier SQL Server database. SQL Server uses stored procedures to link with the LicenseEase (COMPAS)
- The data is retrieved from LicenseEase (COMPAS) via SQL Server stored procedures (using linked servers), and presented to the end user

iCenter:

Document storage and retrieval application authored and supported by Image API. Provides the public, as well as internal users, with the ability to view practitioner documents.

- iCenter is a web-based, front end GUI interface built and supported by a third party vendor, which interfaces with many of DOH's applications

Inspection Reporting System:

This Intranet system provides DOH staff with the ability to print reports designed for MQA Enforcement, Inspections. Alleviated the need for additional LicenseEase (COMPAS) licenses for users who only needed LicenseEase (COMPAS) reports.

- Inspection Reporting System is a web-based, front end GUI interface built using ASP, which interfaces with the Crystal Reports server, and the middle-tier SQL Server database. SQL Server uses stored procedures to link with the LicenseEase (COMPAS) datamart. The datamart is a non-transactional database designed for reporting. The data is a replica of LicenseEase (COMPAS) production and is created by way of Oracle's streaming replication technology. In normal operating circumstance, the date stamp on the datamart is only seconds in difference from the production database
- Data is retrieved from the LicenseEase (COMPAS) Datamart, and displayed to the end user in a Crystal Report

NPDB Data Review System:

This Intranet system provides DOH staff a licensure system interface to NPDB (National Practitioner Data Bank) enabling import/export of licensee data required for the NPDB screening process. A review component of the interface enables data comparison between licensure system information and violations information returned from NPDB.

- NPDB Data Review System is a web-based, front end GUI interface built using ASP.NET, which interfaces with the middle-tier SQL Server database. SQL Server uses stored procedures to link with the LicenseEase (COMPAS)
- Data is retrieved from the LicenseEase (COMPAS), and displayed to the end user

FDLE Data Review System:

This Intranet system provides DOH staff a licensure system interface to FDLE (FL Dept of Law Enforcement) enabling import/export of licensee data required for the FDLE criminal background screening process. A review component of the interface enables data comparison between licensure system information and information returned from FDLE.

- FDLE Data Review System is a web-based, front end GUI interface built using ASP.NET, which interfaces with the middle-tier SQL Server database. SQL Server uses stored procedures to link with the LicenseEase (COMPAS)
- Data is retrieved from the LicenseEase (COMPAS), and displayed to the end user

MQA LicenseEase (COMPAS) – FLAIR Interface:

Manages the daily financial transaction export from LicenseEase (COMPAS) to FLAIR. Interface is manually executed by IT staff.

- LicenseEase (COMPAS) – FLAIR Interface system is a front end GUI interface VB Desktop Application

MQA Customer Functional Directory:

This Intranet system helps MQA serve customers by providing an online index of all MQA units, basic service information, job functions, and employees responsible for each job function.

- Customer Functional Directory is a web-based, front end GUI interface built using ASP which interfaces with the SQL Server database
- Does not have an interface with LicenseEase (COMPAS); however this application provides link to other online MQA Services applications, and there could be changes involved to the links as part of the VR upgrade

Web Services:

For additional information regarding web services, please see spreadsheet of internal/external interfaces.

MQA AHCA Criminal Background Screening Web Service:

Returns criminal background screening results from the MQA licensure datamart.

MQA Public Licensure Information Web Service:

The SERVFL system is a new application sponsored by the Office of Public Health Nursing. MQA coordinated with this office, the Project Management Office, and CFI (vendor of the FEHVR application) to develop a web service that allows the SERVFL system to look up licenses in the LicenseEase (COMPAS) database for verification purposes. Practitioners can register as a volunteer using the SERVFL website and then their license is automatically verified against LicenseEase (COMPAS). The SERVFL system continues to verify each volunteer every 30 days so they can pick up changes in license status. In cases of emergency or disaster, the SERVFL system will organize teams of volunteers and do a final verification against the LicenseEase (COMPAS) database before deployment of practitioners.

Prescription Drug Monitoring Program (PDMP) Web Service:

The web service is established by the DOH for use by the PDMP to automate the license verification process. The PDMP will call the web service, passing identifying criteria for a practitioner, and the web service will return a verification code to indicate if there is a match or not. This will eliminate the manual verification workload that is being performed

by staff currently.

5.1.2.Strategic Information Technology Direction

The Department has identified the following as the strategic direction for Information Technology:

- Incorporate real-time renewal processing
- Implement cost effective approach in provisioning a redundant high available solution
- Incorporate cloud services where appropriate and in compliance with HIPAA and security best practices
- Follow Software Development Life Cycle including FIPS publication 199 and FIPS publication 200
- Limit manual processes
- Integrate external customer self-service through public interface
- Incorporate document and workflow change management into the business processes
- Evaluate enterprise information system integration with similar Department solutions
- Implement a flexible platform to accommodate legislative and policy changes

5.2. Proposed Solution Description

The proposed solution is to modernize MQA by upgrading from LicenseEase (COMPAS) Version 4 to Versa:Regulation 2.5 and upgrading the related infrastructure that is or is close to being unsupported. The costs of the project will include not only the upgrade to Versa:Regulation and the infrastructure cost, but will also include system integrator and PMO related costs. Part of the need for the system integrator and PMO is to support MQA who currently does not have the staff capacity to 100% dedicate to the transformation efforts. DBPR performed a similar effort, but had the ability to dedicate some of the staff and did not implement automated workflow, so their cost to upgrade was less than what is being proposed for MQA.

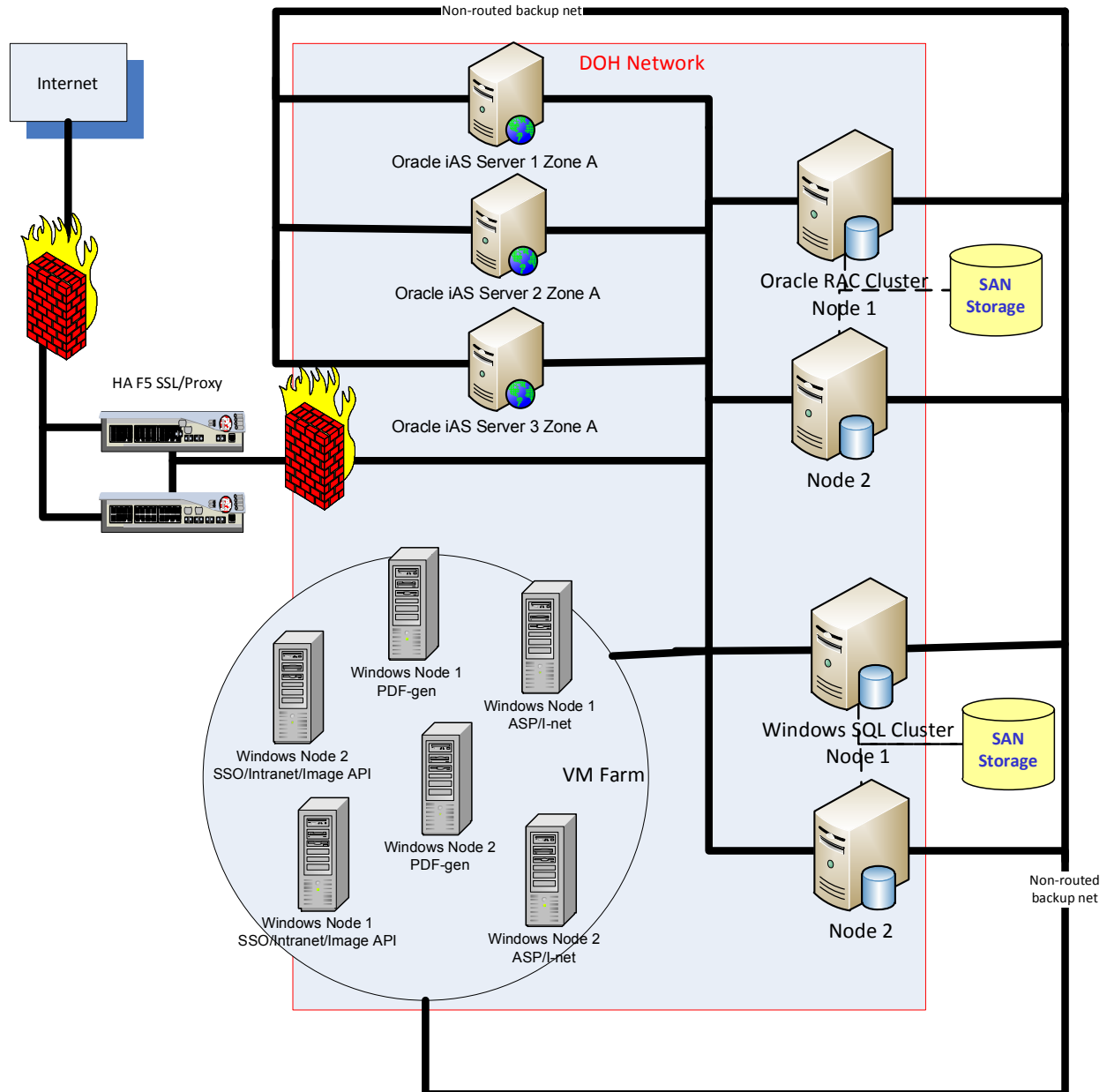


Figure 5-7 – Proposed System Architecture

More information on the proposed solution can be found in the “Analysis of Alternatives” section of this document.

5.3. Capacity Planning

Capacity Planning involves planning, measuring and monitoring of system capacity in support of delivering a service. When implemented correctly, a well-maintained Capacity Plan allows an enterprise to manage system costs tightly by capitalizing on the just-in-time availability of hardware. A focus on capacity planning will ensure an appropriate use of resources and sufficient capability is available in time to meet production workload needs.

For purposes of the MQA Transformation project, the vendor (Iron Data) for the proposed solution (Versa:Regulation) in conjunction with IT and the SSRC have reviewed the current environment, issues associated with the current environment, requirements for the upgraded solution, and the following transaction volumes to extrapolate the necessary infrastructure to effectively support

**FY 2013-14 SCHEDULE IV-B FEASIBILITY STUDY FOR
MQA MODERNIZATION PROJECT**

MQA and its needs. A copy of the estimated infrastructure needs can be found in Appendix B of this document.

Online Sales & Logins

| Fiscal Year | Logins | Total Online Sales Transactions | Online Renewals | Initial Application | Other Sales transactions | Total Amount of Online Transactions | Online Renewals | Initial Application | Other Sales Transactions |
|----------------|-----------|---------------------------------|-----------------|---------------------|--------------------------|-------------------------------------|-----------------|---------------------|--------------------------|
| FY 2007 - 2008 | 424,551 | 280,039 | 257,163 | 7,390 | 15,486 | \$42,268,141 | \$38,644,014 | \$1,537,653 | \$2,086,474 |
| FY 2008 - 2009 | 690,992 | 270,913 | 247,244 | 14,617 | 9,052 | \$35,928,232 | \$32,643,635 | \$3,008,620 | \$275,977 |
| FY 2009 - 2010 | 1,353,519 | 370,463 | 324,380 | 36,849 | 9,234 | \$58,341,023 | \$51,245,418 | \$6,856,995 | \$238,610 |
| FY 2010 - 2011 | 1,363,178 | 374,351 | 326,586 | 37,373 | 10,392 | \$45,332,553 | \$45,332,553 | \$5,965,822 | \$491,233 |
| FY 2011 - 2012 | 1,531,101 | 422,703 | 366,432 | 44,322 | 11,949 | \$63,600,010 | \$55,552,489 | \$7,699,183 | \$348,338 |

Notes:
 Source - MQA Services
 Online Renewals includes regular renewals and delinquent renewals
 Other Sales transactions include duplicate licenses, license certification, CD orders of license data and one time fee assessments.
 License Certification and CD orders of license data do not require a login to MQA services

Figure 5-8 - Historical Transaction Volumes

Historical Licensees per FTE

| | FY04-05 | FY05-06 | FY06-07 | FY07-08 | FY08-09 | FY09-10 | FY10-11 | FY11-12 |
|-------------------|---------|-----------|---------|---------|---------|---------|-----------|-----------|
| Practitioner | 889,326 | 1,017,772 | 831,131 | 863,975 | 905,237 | 971,265 | 1,016,028 | 1,059,958 |
| Establishment | 18,849 | 18,543 | 20,116 | 19,813 | 21,371 | 22,031 | 24,359 | 23,809 |
| Total Licensees | 908,175 | 1,036,315 | 851,247 | 883,788 | 926,608 | 993,296 | 1,040,387 | 1,083,767 |
| FTE | 561.5 | 575.5 | 575.5 | 596.5 | 600.5 | 609.5 | 609.5 | 608.5 |
| Licensees per FTE | 1,617 | 1,801 | 1,479 | 1,482 | 1,543 | 1,630 | 1,707 | 1,781 |

Figure 5-9 - Historical Licensees per FTE

5.4. Analysis of Alternatives

This section describes the analysis of alternative approaches considered for modernizing the MQA environment. Four options are presented: Status Quo with Windows 7 Workaround, Upgrade Backend Infrastructure Only, Procure New Licensing Software and Upgrade Infrastructure, and Upgrade LicenseEase (COMPAS) to Versa:Regulation and Upgrade Infrastructure.

To conduct the alternatives analysis the following steps were performed:
 Identified and defined a list of potential alternative system implementation methods.

- Developed high-level business and technical requirements that the new system must be capable of addressing
- Established a set of uniform evaluation criteria against which each alternative was measured
- Evaluated each of the alternatives through the application of the evaluation criteria
- Determined the best alternative for the Department

5.4.1. Alternative 1 – Status Quo with Windows 7 Workaround (Not Recommended)

For this alternative, the current processes would be utilized, using the existing LicenseEase (COMPAS) system and infrastructure and a work-around would be utilized to overcome to allow for LicenseEase (COMPAS) to be used with Windows 7. This option is essentially the option to simply “live” in the current environment.

The following depicts the changes made/not made to the software and infrastructure for this alternative:

| Hardware / Software Element | Current Issue | Change Made or Not Made |
|--------------------------------|--|--|
| LicenseEase (COMPAS) Version 4 | Will be unsupported after December 31, 2013. Vendor is no longer making enhancements | Not Upgraded |
| Sun Servers | Will be out of support on June 30, 2013 | Not Upgraded |
| Oracle Database 10.2.0.5 10gR2 | Was originally released in July 2005. Premier support lasted through July 2010 and extended support ends in July 2013. It will not be supported beyond this date | Not Upgraded |
| Oracle App Server 10.1.2 | Premier support expired December 2011. It is believed support for this will end in the next year or so | Not Upgraded |
| J-Initiator | No longer supported. Backend software used to generate letters in LicenseEase (COMPAS) | Not Upgraded |
| Windows XP Workstation | Will be out of support in April 2014 | Upgraded to Windows 7 and configured with work around involving installation of in-house developed specific .dll allowing desktop to work with unsupported J-Initiator |

Table 5-6 – Alternative 1 Hardware / Software Impacts

LicenseEase (COMPAS) relies on software from Sun called J-Initiator allowing a web-enabled Oracle Forms client application to be run inside a web browser. Windows 7 desktop clients are certified only with the native Sun Java Runtime Engine (JRE). Oracle J-Initiator was built on top of Java 1.3. Java 1.3 is no longer supported by Sun and is not compatible with Windows 7. Sun has no plans to certify Oracle J-Initiator with Windows 7. The workaround is to replace a file in J-Initiator with an updated version, which will then allow LicenseEase (COMPAS) to work on Windows 7. This workaround is not supported by Sun.

The advantages and disadvantages for this option include:

| Advantages | Disadvantages |
|------------|---------------|
|------------|---------------|

| Advantages | Disadvantages |
|---|---|
| <ul style="list-style-type: none"> • Will allow use of LicenseEase (COMPAS) to continue • Lowest cost and level of effort alternative | <ul style="list-style-type: none"> • LicenseEase (COMPAS) will no longer be supported after December 31, 2013 • Does not address other unsupported elements of the software / hardware infrastructure • Uses “work-arounds” which the business would like to avoid as much as possible • Work-around itself would not be a supported feature either • Risk of an unrecoverable catastrophic failure remains with this option due to the unsupported hardware and software that would still be in place • MQA would be out of alignment with other state agencies who have installed or upgraded to Versa:Regulation |

Table 5-7 – Alternative 1 Advantages & Disadvantages

5.4.2. Alternative 2 – Upgrade Backend Infrastructure Only (Not Recommended)

For this alternative, the current processes would be utilized; using the existing LicenseEase (COMPAS) system and the backend architecture would be upgraded.

The following depicts the changes made/not made to the software and infrastructure for this alternative:

| Hardware / Software Element | Current Issue | Change Made or Not Made |
|--------------------------------|--|---|
| LicenseEase (COMPAS) Version 4 | Will be unsupported after December 31, 2013. Vendor is no longer making enhancements | Not Upgraded |
| Sun Servers | Will be out of support on June 30, 2013 | Upgraded |
| Oracle Database 10.2.0.5 10gR2 | Was originally released in July 2005. Premier support lasted through July 2010 and extended support ends in July 2013. It will not be supported beyond this date | Upgraded |
| Oracle App Server 10.1.2 | Premier support expired December 2011. It is believed support for this will end in the next year or so | Upgraded |
| J-Initiator | No longer supported. Backend software used to generate letters in LicenseEase (COMPAS) | Upgraded to JRE |
| Windows XP Workstation | Will be out of support in April 2014 | Upgraded to Windows 7 and JRE to match server |

Table 5-8 – Alternative 2 Hardware / Software Impacts

The advantages and disadvantages for this option include:

| Advantages | Disadvantages |
|--|---|
| <ul style="list-style-type: none"> Addresses other unsupported elements of the software / hardware infrastructure | <ul style="list-style-type: none"> LicenseEase (COMPAS) will no longer be supported after December 31, 2013 Iron Data has stated there is an issue with compatibility between JRE and LicenseEase (COMPAS) Requires installing JRE on same server as server used to compile custom development necessary to support LicenseEase (COMPAS). IT has expressed serious concerns around server being shared with JRE and possible impact to integrity and stability of the development environment Risk of an unrecoverable catastrophic failure remains with this option due to LicenseEase (COMPAS) being unsupported and possible issues with JRE and License Issues and JRE and the development server MQA would be out of alignment with other state agencies who have installed or upgraded to Versa:Regulation |

Table 5-9 – Alternative 2 Advantages & Disadvantages

5.4.3. Alternative 3 – Procure New Licensing Software and Upgrade Infrastructure (Not Recommended)

This option replaces LicenseEase (COMPAS) with a new Licensing system from a new vendor. Just as with the upgrade to Versa:Regulation, this option would require upgrading the supporting infrastructure as well.

The following depicts the changes made/not made to the software and infrastructure for this alternative:

| Hardware / Software Element | Current Issue | Change Made or Not Made |
|--------------------------------|--|--|
| LicenseEase (COMPAS) Version 4 | Will be unsupported after December 31, 2013. Vendor is no longer making enhancements | Retired and different and new licensing system implemented |
| Sun Servers | Will be out of support on June 30, 2013 | Upgraded |
| Oracle Database 10.2.0.5 10gR2 | Was originally released in July 2005. Premier support lasted through July 2010 and extended support ends in July 2013. It will not be supported beyond this date | Upgraded |
| Oracle App Server 10.1.2 | Premier support expired December 2011. It is believed support for this will end in the next year or so | Upgraded |

| Hardware / Software Element | Current Issue | Change Made or Not Made |
|-----------------------------|--|-----------------------------|
| J-Initiator | No longer supported. Backend software used to generate letters in LicenseEase (COMPAS) | Upgraded to JRE or replaced |
| Windows XP Workstation | Will be out of support in April 2014 | Upgraded to Windows 7 |

Table 5-10 – Alternative 3 Hardware / Software Impacts

As part of this option, MQA would need to go through an extensive selection process and would be required to redefine all requirements to ensure functionality realized in the LicenseEase (COMPAS) environment in combination with the benefits that would have been expected with an upgrade to Versa:Regulation (Alternative 4.) In addition, the solution selection would not leverage the existing database structure or processes previously developed. The cost for this option is anticipated to be the highest. The cost to upgrade the backend infrastructure is expected to be the same for alternatives 2, 3, and 4 since all of these options upgrade the infrastructure, but this option adds additional cost for the additional elements and complexity required including:

- Data migration between dissimilar structures
- More detailed requirements gathering and design
- Additional change management with transition to completely new system

As part of the analysis of alternative 4, MQA performed a market scan and found several other options that could be available. The following chart best describes the pros and cons of the other available licensing solutions:

| PRODUCT | FUNCTIONALITY USED | | | | | | | | | | |
|-----------------------------------|---------------------|-------------|----------|---------------|----------------------|----------------------|-------------|------------------|-------|---------------|-----------------|
| | License Application | Enforcement | Renewals | Online Portal | Continuing Education | License Verification | Inspections | Document Imaging | Exams | Corespondence | Related License |
| License2000 | ✓ | ✓ | ✓ | ✓ | | ✓ | ✓ | | | ✓ | |
| GL Suite | | ✓ | ✓ | ✓ | | ✓ | | | | ✓ | ✓ |
| CAVU | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ |
| License2000 - My License Suite | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ |
| License2000 and Pearson VUE PULSE | | | ✓ | ✓ | ✓ | ✓ | ✓ | | | | |
| Versa:Regulation Suite | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ |
| CSDC, Inc. AMANDA | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ |
| ALMS - Maine | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ |
| Utah Interactive - NIC Inc. | ✓ | | ✓ | ✓ | ✓ | ✓ | ✓ | | | | |

Figure 5-10 – Market Scan of Licensure Systems

License 2000 - License 2000 is a rules-based, commercial-off-the-shelf (COTS) application with a proven track record of success. License 2000 provides regulatory agencies with an end-to-end credentialing management solution integrating application processing, licensee administration, enforcement management (complaint, compliance, and rehabilitation), examination tracking and scheduling, reporting, and automated renewal processing.

GL Suite - GL Suite is a browser-based, commercial off-the-shelf (COTS) software system that handles all aspects of government regulation and licensing. GL Suite is easy to use, configurable, and tailored to customer needs.

CAVU - (Purchased by IronData in 2010) - CAVU is a highly-secure, Web-based commercial-off-the-shelf (COTS) solution that is ideally suited for agencies that prefer cost effective Microsoft technology and a SQL Server database. It is designed to meet the diverse needs of regulatory agencies of all sizes, from single autonomous boards to multi-board agencies and large centralized departments.

License2000 - My License Suite - MyLicense Office is the next generation of the License 2000

product family re-architected as a three tier (n-tier) application. MyLicense Office is an end-to-end system for regulation management that combines all of an Department’s licensing and enforcement functions into an integrated solution.

PULSE is Pearson VUE’s Uniform Licensing Solution for E-Government—a multiboard licensing and certification management system that helps agencies streamline their processes, maximize efficiencies, and minimize cost. PULSE provides complete beginning-to-end processing that streamlines your Department’s examination, application, licensing, renewal, enforcement, and compliance operations.

AMANDA is a web-based commercial-off-the-shelf (COTS) product that enables business process automation for local, county, state and provincial government agencies. Its flexible and configurable design provides an ideal platform for configuring powerful licensing, permitting, planning, compliance, and courts justice solutions.

NIC is the nation’s leading provider of official government web sites, online services, and secure payment processing solutions. The NIC family of companies provides eGovernment solutions for more than 3,000 federal, state, and local agencies that serve 97 million people in the United States.

A recent implementation in California for a brand new system installation (as opposed to an upgrade) had a total price tag of over \$53.5 million. Although the scope varies to some degree, the cost alone provides an indicator of how much a new installation would cost compared to an upgrade of the existing solution..

The advantages and disadvantages for this option include:

| Advantages | Disadvantages |
|---|--|
| <ul style="list-style-type: none"> Addresses other unsupported elements of the software / hardware infrastructure Risk of unrecoverable catastrophic failure is minimized | <ul style="list-style-type: none"> Additional cost (over Alternative 4) would be realized because of data migration, more detailed requirements and design efforts, and additional change management MQA would be out of alignment with other state agencies who have installed or upgraded to Versa:Regulation Alternatives with the most project risk |

Table 5-11 – Alternative 3 Advantages & Disadvantages

5.4.4. Alternative 4 – Upgrade LicenseEase (COMPAS) to Versa:Regulation and Upgrade Infrastructure (Recommended)

This option upgrades LicenseEase (COMPAS) version 4 to Versa:Regulation. Versa:Regulation is the upgrade to LicenseEase (COMPAS) offered by the vendor. In addition, this option would also include upgrading the supporting infrastructure as well.

The following depicts the changes made/not made to the software and infrastructure for this alternative:

| Hardware / Software Element | Current Issue | Change Made or Not Made |
|-----------------------------|---------------|-------------------------|
| | | |

**FY 2013-14 SCHEDULE IV-B FEASIBILITY STUDY FOR
MQA MODERNIZATION PROJECT**

| Hardware / Software Element | Current Issue | Change Made or Not Made |
|------------------------------------|--|-------------------------------------|
| LicenseEase (COMPAS) Version 4 | Will be unsupported after December 31, 2013. Vendor is no longer making enhancements | <i>Upgraded</i> to Versa:Regulation |
| Sun Servers | Will be out of support on June 30, 2013 | Upgraded |
| Oracle Database 10.2.0.5 10gR2 | Was originally released in July 2005. Premier support lasted through July 2010 and extended support ends in July 2013. It will not be supported beyond this date | Upgraded |
| Oracle App Server 10.1.2 | Premier support expired December 2011. It is believed support for this will end in the next year or so | Upgraded |
| J-Initiator | No longer supported. Backend software used to generate letters in LicenseEase (COMPAS) | No longer required |
| Windows XP Workstation | Will be out of support in April 2014 | Upgraded to Windows 7 |

Table 5-12 – Alternative 4 Hardware / Software Impacts

As part of this option, MQA would be able to leverage the requirements and modifications made to LicenseEase (COMPAS) and the data structures are expected to be 90% the same between the current LicenseEase (COMPAS) and the Versa:Regulation systems. In addition, the upgrade offers desired additional functionality around workflow, online, and mobile inspections. The cost for this option would be less than Alternative 3 due to the following:

- Data migration is between structures 90% the same (per the vendor)
- Data migration between dissimilar structures
- More detailed requirements gathering and design
- Additional change management with transition to completely new system

The advantages and disadvantages for this option include:

| Advantages | Disadvantages |
|------------|---------------|
|------------|---------------|

| | |
|---|---|
| <ul style="list-style-type: none"> • Addresses other unsupported elements of the software / hardware infrastructure • Risk of unrecoverable catastrophic failure is minimized • Less cost option than procuring completely new and different licensure system • Data migration and business should be significantly easier than Alternative 3 • MQA would be in alignment with other state agencies who have installed or upgraded to Versa:Regulation | <ul style="list-style-type: none"> • Still more expensive than alternatives 1 & 2 • More project risk than alternatives 1 & 2 |
|---|---|

Table 5-13 - Alternative 4 Advantages & Disadvantages

5.4.5. Assessment Process

Six evaluation criteria were used to evaluate the alternatives, based on key objectives for. The following sections outline the evaluation criteria, criteria weighting, and criteria scoring used to determine the “best business solution alternative” for the development of the MQA Transformation effort.

| Evaluation Criteria | |
|---|--|
| Criteria | Factors |
| 1. Reduction in Time for License Issuance | <ul style="list-style-type: none"> • Meets goal/legislative mandate to reduce time to issue license |
| 2. Addresses Software / Hardware Support / End-of-Life Issues | <ul style="list-style-type: none"> • Addresses issues with front end and back end software and hardware that is or is nearly unsupported • Mitigates risk of unrecoverable catastrophic system failure |
| 3. Ease of Implementation | <ul style="list-style-type: none"> • Difficulty in transition to new system |
| 4. Cost | <ul style="list-style-type: none"> • Project costs • Affordability • Feasibility • Expected changes in operations and maintenance costs • Benefits, ROI and payback period |

| Evaluation Criteria | |
|---------------------|--|
| Criteria | Factors |
| 5. Project Risk | <ul style="list-style-type: none"> • Cost – potential that the project will exceed defined budgetary constraints • Schedule – potential that the project timeline will be exceeded • Resources – potential that necessary staff will not be available or may be reassigned after project initiation • Scope – potential that the baseline project requirements will be exceeded • Technology – potential that the chosen technology platform will become obsolete or unsupported prior to the solution achieving its desired results • Organizational – potential that the project will not receive internal/external support to the extent necessary to achieve a successful outcome • Goals – potential that the project will not achieve its stated purposes • Resistance – potential that the solution will be unacceptable to the end users |

Table 5-14 – Alternative Evaluation Criteria

5.4.6. Evaluation Weighting Criteria

Each of the five criteria was weighted for overall strategic importance to MQA. The justification and weighting can be found in the table below.

| Criteria Weighting Factors | | |
|---|-----------|--|
| Criteria | Weighting | Factors |
| 1. Reduction in Time for License Issuance | 40 | Extent as to how much time is reduced for issuing licenses to medical practitioners |
| 2. Addresses Software / Hardware Support / End-of-Life Issues | 20 | Extent to how much the issues are addressed with software and infrastructure being at the end of their life |
| 3. Ease of Implementation | 10 | Level of effort and difficult to implement the identified solution |
| 4. Cost | 20 | The overall costs associated with procurement, application preparation (whether enhancement, development, or configuration), deployment, operations, and maintenance |
| 5. Project Risk | 10 | The extent to which the alternative mitigates the perceived risks associated with the MQA transformation effort |

Table 5-15 – Alternative Weighting Factors

5.4.7. Evaluation Scoring Criteria

A four-point scale was used to score each of the alternatives. Categorical scores for each alternative were determined by multiplying the evaluation scoring and the weighting factor to derive a total score for each criterion.

| Scoring Scale | |
|---------------|--|
| Score | Criteria |
| 0 | The alternative does not enable or add value to MQA. |
| 1 | The alternative will provide some small value to MQA. |
| 2 | The alternative will provide significant value to MQA. |
| 3 | The alternative will provide maximum value to MQA. |

Table 5-16 – Alternative Scoring Criteria

5.4.8. Scoring Results for the Four Alternatives

| # | Categories | Weight | Alternative 1 Windows 7 Workaround | | Alternative 2 Backend Infrastructure Upgrade | | Alternative 3 Implement Different Licensing System | | Alternative 4 Upgrade to Versa:Regulation | |
|---|--|--------|--|-------|---|-------|---|-------|---|-------|
| | | | Score | Total | Score | Total | Score | Total | Score | Total |
| 1 | Reduction in Time for License Issuance | 25 | 0 | 0 | 0 | 0 | 3 | 75 | 3 | 75 |
| 2 | Addresses Software / Hardware Support / End-of-Life Issues | 25 | 0 | 0 | 1 | 25 | 3 | 75 | 3 | 75 |
| 3 | Ease of Implementation | 20 | 3 | 60 | 1 | 20 | 1 | 20 | 2 | 40 |
| 4 | Cost | 20 | 3 | 60 | 2 | 40 | 0 | 0 | 1 | 20 |
| 5 | Project Risk | 10 | 3 | 30 | 2 | 20 | 1 | 10 | 2 | 20 |
| | | | | 150 | | 105 | | 180 | | 230 |

Figure 5-11 – Alternative Scoring Results

5.4.9. Scoring Results Explained

Rationale for each score is provided for each alternative below.

| Alternative 1 – Windows 7 Workaround | | |
|---|-------|--|
| Criteria | Score | Rationale |
| 1. Reduction in Time for License Issuance | 0 | Because this option continues to use batch processing, does not utilize automated workflow, and does not enhance provide tablets for all inspectors, this option is not anticipated to reduce the time it takes to license a medical professional. |
| 2. Addresses Software / Hardware Support / End-of-Life Issues | 0 | The only software being updated in this option is Windows. The LicenseEase (COMPAS) , backend systems and infrastructure are not upgraded. This alternative does not deal with the risk of a unrecoverable catastrophic failure. |

| Alternative 1 - Windows 7 Workaround | | |
|--------------------------------------|-------|--|
| Criteria | Score | Rationale |
| 3. Ease of Implementation | 3 | As the patch has already been developed, implementation for this option should be easy. The option still needs to be tested, but then would just require installing the .dll on the client machines. |
| 4. Cost | 3 | There is virtually no cost with this option as IT has already developed the solution. There could be some minimal costs associated with the time it takes the staff to fully test and deploy the solution. |
| 5. Project Risk | 3 | Because the solution is relatively simple and low cost, there is not expected to be any material amount of risk associated with this effort. |

Table 5-17 - Alternative 1 Scoring Rationale

| Alternative 2 - Backend Infrastructure Upgrade | | |
|---|-------|---|
| Criteria | Score | Rationale |
| 1. Reduction in Time for License Issuance | 0 | Because this option continues to use batch processing, does not utilize automated workflow, and does not enhance provide tablets for all inspectors, this option is not anticipated to reduce the time it takes to license a medical professional. |
| 2. Addresses Software / Hardware Support / End-of-Life Issues | 1 | With this alternative, the backend infrastructure is upgraded, but the alternative does not upgrade LicenseEase (COMPAS) which will be out of support after December 31, 2013. This alternative does not fully deal with the risk of an unrecoverable catastrophic failure. It could actually make it worse as there are known compatibility issues with JRE and LicenseEase (COMPAS). In addition, there are concerns with JRE and it running on the development server. |
| 3. Ease of Implementation | 1 | The actual upgrade of the hardware should not be a difficult undertaking, but it is very possible difficulties would arise due to the incompatibility of JRE and LicenseEase (COMPAS) as well as the possible issues with JRE and the development environment. |
| 4. Cost | 2 | This cost of this option would be the same cost for the infrastructure upgrade for alternatives 3 & 4. This option is less expensive, however, as it does not require upgrading or replacing the licensing system. |
| 5. Project Risk | 2 | The reasons for this score are essentially the same as "Ease of Implementation". The actual upgrade of the hardware should not be a difficult undertaking. There is some level of project risk for this option around timeline as due to the incompatibility of JRE and LicenseEase (COMPAS) as well as the possible issues with JRE and the development environment. |

Table 5-18 – Alternative 2 Scoring Rationale

| Alternative 3 – Implement Different Licensing System | | |
|---|-------|---|
| Criteria | Score | Rationale |
| 1. Reduction in Time for License Issuance | 3 | Option should provide for real-time processing, should utilize automated workflow, and should put tablets in the hands of all inspectors. As a result, there should be a reduction in the time for licenses to be issued to medical professionals. |
| 2. Addresses Software / Hardware Support / End-of-Life Issues | 3 | This option upgrades all necessary software and hardware to a supported state. As a result, it addresses the current risk of an unrecoverable catastrophic system failure. |
| 3. Ease of Implementation | 1 | This is anticipated to be the most difficult implementation of the identified alternatives. This would require a potentially difficult data mapping and migration exercise. In addition, current requirements and design could not be leveraged resulting in the need to perform full requirements and design sessions. Furthermore, this alternative provides for more difficult change management as the entire face and backend of the system would be different than the current LicenseEase (COMPAS) solution. |
| 4. Cost | 0 | Because this alternative is essentially a complete replacement, it is the highest cost alternative. |
| 5. Project Risk | 1 | This alternative brings in a new vendor with potentially new technology. The same project risks with any brand new solution would exist with this alternative. New implementations often bring greater risk of timeline and cost slippage due to project difficulties. |

Table 5-19 – Alternative 3 Scoring Rationale

| Alternative 4 – Upgrade to Versa:Regulation | | |
|---|-------|--|
| Criteria | Score | Rationale |
| 1. Reduction in Time for License Issuance | 3 | Option should provide for real-time processing, should utilize automated workflow, and should put tablets in the hands of all inspectors. As a result, there should be a reduction in the time for licenses to be issued to medical professionals. |
| 2. Addresses Software / Hardware Support / End-of-Life Issues | 3 | This option upgrades all necessary software and hardware to a supported state. As a result, it addresses the current risk of an unrecoverable catastrophic system failure. |

| Alternative 4 – Upgrade to Versa:Regulation | | |
|---|-------|--|
| Criteria | Score | Rationale |
| 3. Ease of Implementation | 2 | Because this is an upgrade, the backend data structure between LicenseEase (COMPAS) and Versa:Regulation is estimated be 90% the same. This simplifies the transition to the new system dramatically over alternative 3. In addition, existing functionality can be leveraged for requirements and design of the new solution. This said, this alternative is certainly going to be more difficult than alternative 1 and alternative 2 is a component of this option. |
| 4. Cost | 1 | The costs associated with this option would be less than alternative 3 but would be more than the other two options due to the elements mentioned in “Ease of Implementation”. |
| 5. Project Risk | 2 | This alternative leverages a known software vendor as it is the same vendor as the current solution. This brings a level of knowledge on how migration should take place that is not available with alternative 3. It does have more complexities and moving parts than alternatives 1 & 2 so there is more project risk associated with this alternative. |

Table 5-20 – Alternative 4 Scoring Rationale

5.4.10. Technology Recommendation

The Feasibility Study process has concluded that it is in the best interest of MQA to proceed with the upgrade of LicenseEase (COMPAS) version 4 to Versa:Regulation 2.5. This option addresses the mandate for reducing time to license medical professionals, addresses the aging and largely unsupported software and infrastructure, and leverages existing data structure and business processes and from a cost perspective makes the most sense. The other alternatives considered either do not sufficiently address the critical issues MQA is facing or would significantly increase the cost and risk associated to get to a place where MQA needs to be.

Additional advantages of upgrading from LicenseEase (COMPAS) to Versa:Regulation include:

- Real-time system. Includes real-time connection to online payments through interface for Florida ePay interface (payment service provider.) Issue with licenses not being approved until funds have physically been deposited would be corrected
- Ability to leverage new functionality with Versa:Mobile and Versa:Online (included with Versa:Regulation upgrade)
- Automated workflow. As mentioned before this is probably the single biggest improvement associated with the upgrade and will be a key contributor to reaching the Governor’s and MQA’s goals for the time it takes to license medical professionals
- Not requiring Java to be installed
- Ability to expand online services through configuration (instead of custom develop as required in today’s environment)
- Ability to pull images from database as system integrates who imaging solution into one. Images are available real-time

**FY 2013-14 SCHEDULE IV-B FEASIBILITY STUDY FOR
MQA MODERNIZATION PROJECT**

- Because MQA would no longer “own” the code, regular upgrades would be included as part of the solution
- Database schema is 90% the same as LicenseEase (COMPAS)
- Technology alignment with other state licensing agencies including the potential for a common back-office for these agencies

6. Project Management Planning Component

6.1. Project Charter

Purpose: To document the agreement between a project's customers, the project team, and key management stakeholders regarding the scope of the project and to determine when the project has been completed. It is the underlying foundation for all project related decisions.

****Note:** The following project charter is a draft. The final version will be completed after a vendor has been selected through procurement. MQA and the selected vendor will negotiate the final scope, deliverables, delivery dates, and milestones required for the MQA Transformation project.

6.1.1. Project Executive Summary

7. The Florida Department of Health, through its Division of Medical Quality Assurance (MQA), determines whether health care practitioners meet minimum licensure requirements. Currently, Florida has over 1,083,767 licensed health care practitioners. The division, in conjunction with 22 boards and 6 councils, is responsible for regulatory activities of 200-plus license types in more than 41 health care professions and 8 types of facilities. MQA's three key business processes are licensure, enforcement and information as depicted in Figure 6-1.

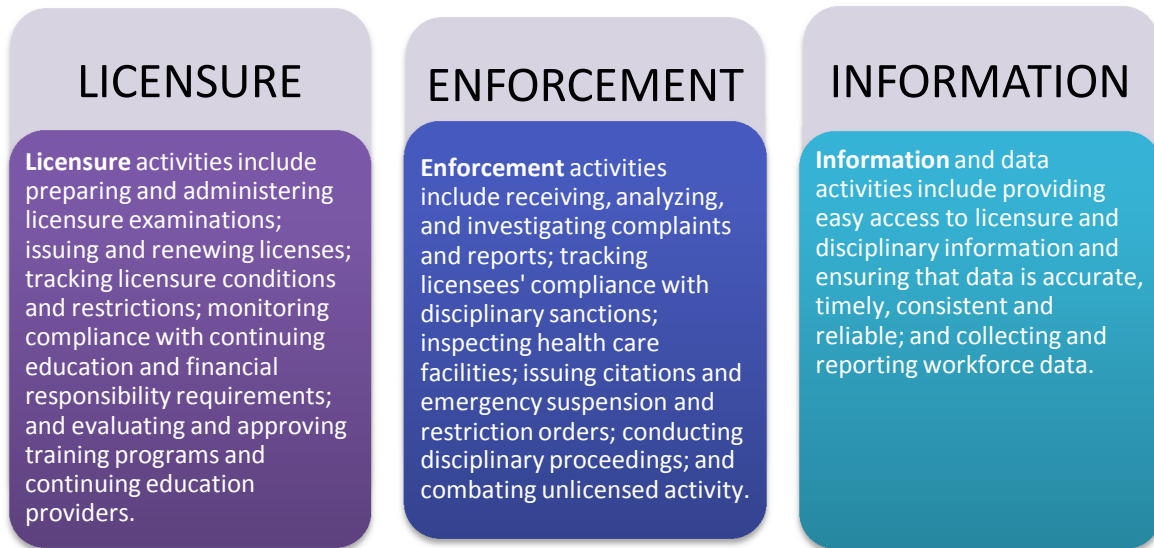


Figure 6-1 – MQA Key Business Processes

The Division of Medical Quality Assurance (MQA) is established under section 20.43(3)(g), F.S., to regulate health care practitioners for the preservation of the health, safety, and welfare of the public. The following boards and professions are established to carry out this charge:

- Board of Acupuncture
- Board of Medicine
- Board of Osteopathic Medicine
- Board of Chiropractic Medicine
- Board of Podiatric Medicine.
- Naturopathy
- Board of Optometry
- Board of Nursing
- Board of Athletic Training
- Board of Orthotists and Prosthetists
- Electrolysis Council
- Board of Massage Therapy
- Board of Clinical Laboratory Personnel
- Advisory Council of Medical Physicists

- Council on Certified Nursing Assistants
- Board of Pharmacy
- Board of Dentistry
- Council of Licensed Midwifery
- Board of Speech-Language Pathology and Audiology
- Board of Nursing Home Administrators
- Board of Occupational Therapy
- Board of Respiratory Care
- Board of Opticianry
- Board of Hearing Aid Specialists
- Board of Physical Therapy Practice
- Board of Psychology
- School Psychologists
- Board of Clinical Social Work, Marriage and Family Therapy, and Mental Health Counseling
- Emergency Medical Services Advisory Council
- Dietetics and Nutrition Practice Council

At the end of FY 2011-12, MQA licensed, registered, or certified 1,083,767 health care practitioners, 23,809 facilities and establishments, and 48,330 continuing education providers. 100,958 initial license applications were received and 94,761 new licenses issued.

MQA's current licensing system, LicenseEase (COMPAS), is rapidly approaching the end of its software life. MQA is a long time user of LicenseEase, which was implemented in 2003 as an upgrade to the original 1994 PRAES system. The design, build, and implementation of the Versa commercial off-the-shelf (COTS) product, LicenseEase, created an enterprise licensing solution for MQA and replaced 4 legacy licensing systems in use at the time. This comprehensive system supports the Division's application processing, licensing, permitting, enforcement, discipline, and compliance functionalities. MQA has invested heavily in staff training and business processes that have made the system a success.

The current version of the LicenseEase software will soon no longer be supported. As with any software solution, over the past 10 years Versa (which was purchased by Iron Data Solutions, LLC, in January 2010) has dramatically improved the software's capabilities and functionalities. The enhanced licensing and regulation product is known as Versa:Regulation. The Iron Data's Versa product suite also offers Versa:Online to support online services and Versa:Mobile to support mobile inspections on tablets.

Finally, upgrades to the technical infrastructure, which will allow real-time renewal processing and other business efficiencies, will require significant additional expenditures to MQA, if hosted at one of the State data centers. In the current pricing model, the MQA/SSRC managed services costs will increase to an estimated \$1,035,366/annually to host the upgraded infrastructure. The current annual expenditure for MQA is \$473,172.

MQA is now embarking on a major project to modernize the current licensing and regulatory system and enhance the capabilities to better serve the citizens of the State of Florida. To accomplish this major business modernization effort MQA will upgrade the current LicenseEase (COMPAS) system to Versa:Regulation, install Versa:Online and Versa:Mobile. MQA's intent is to upgrade to Versa:Regulation and Versa:Mobile during FY 2013-2014 with full implementation by June 2014. Versa:Online would be fully implemented by May 2015. Although in-house resources will be devoted to this project, a Legislative Budget Request for a special appropriation is necessary to fund the total systems integration costs associated with this much needed licensing/regulation modernization effort.

7.1.1. Project Overview and Purpose

The project outlined in this feasibility study not only sets out to deliver an enhanced licensing and regulatory system by upgrading the current LicenseEase system but also to enrich the

capabilities available to the citizens of Florida by installing an enhanced online portal component and utilizing a more cost effective tablet-based mobile solution for conducting field inspections.

7.1.2. Project Objectives

The primary objectives of the MQA Transformation project are to:

- Replace the existing infrastructure that has reached its end of life and expand on the existing architecture. Currently, MQA has one database server, one application server, and one internet server to support the LicenseEase system and web based services. The current architecture is minimal and does not offer redundancy, reaches performance peaks, and requires weekly scheduled downtime in order to perform maintenance and promote system changes
- Implement workflow functionality available on the Versa:Regulation package and configure for each profession
- Implement Versa:Online and configure online applications for licensure for each profession
- Implement Versa:Mobile and configure professions to have the ability to conduct mobile inspections on tablets
- Complete the project in multiple phases reducing the risk of MQA SME resource contention and take advantage of the enhanced licensing and regulatory capabilities early on in the project
- Review backlog of change requests and enhancements pending for the current LicenseEase system and determine which requests are still needed, what functionality exists in the Versa:Regulation product, and any enhancement requests that will need to be incorporated into the Versa:Regulation upgrade
- Leverage existing Oracle database technology investment and knowledge
- Move to a product that is fully web-based and at the early stages of its product life cycle
- Take advantage of new functions and features that have been developed within the Versa licensing and regulation product suite over the past 10 years
- Benefit from future enhancements available only with current levels of Versa products
- Manage the risk of a significant upgrade with current staff resources, knowledge, and skills
- Stay with a trusted partner that knows and supports MQA 's business processes
- Preserve the major investment in MQA's existing database structures and efficient business processes
- Leverage the existing knowledge of staff resulting in minimal training necessary because the system approach and database design are upwards compatible to LicenseEase
- Provide better customer service to the citizens of Florida

7.1.3. Project Scope

Upon receipt of budget approval, an Invitation to Negotiate (ITN) will be prepared and disseminated to elicit responses from capable providers with relevant experience in Versa licensing systems upgrades and modernizations (workflow) on systems using LicenseEase (COMPAS).

The project will re-engineer existing business processes with a focus on using the licensing COTS functionality out-of-the-box. This means that the conversion will be more of a migration that mitigates the risk and effort encountered in the last major licensing upgrade.

Tasks included in the scope of this project include:

- Install and configure hardware & software systems to house the next generation of licensing and regulatory systems
- Upgrade Versa LicenseEase to latest version of Versa:Regulation
- Install and configure Versa:Online for access by the user community
- Install and configure Versa:Mobile on purchased tablets
- Migration of both configuration and license data from the existing databases
- Integration testing to completely test all software components reliably with each other and with any external agencies
- User acceptance testing to include the development of test cases/scripts to validate all business and technical requirements are met
- A “Train the Trainer” training approach for each of the functional components of the system
- Provide training for 650 users of the system in their areas of responsibility
- Provide system administration training and support
- Provide technical architecture consulting services
- Test all 215 license types of converted configuration data to resolve any migration issues
- Conversion of all letter templates and reports
- Upgrade MQA’s Datamart for compatibility with the Versa:Regulation schema
- Port MQA required specific LicenseEase custom code unless business requirements are met with out-of-the-box Versa:Regulation functionality
- Transfer MQA’s LicenseEase 650 user licenses to Versa:Regulation’s 650 named user licenses
- Conduct performance testing to adhere to system performance requirements
- Provide workflow process re-engineering for specified business processes

Also Included in the Project Scope:

- Project management
- Organizational change management
- Independent Verification and Validation (IV&V)
- Requirements validation
- System architecture design
- Operations and maintenance planning

The following is considered out of scope.

- Anything not included in the Project Scope section of this document

7.1.4. Project Deliverables

Table 6-2 contains a preliminary list of project deliverables. The final deliverables list, which will include acceptance criteria, will be developed in conjunction with the selected implementation vendor and will be appropriate to the technology solution chosen.

| Deliverable | Deliverable Description |
|-------------|-------------------------|
|-------------|-------------------------|

**FY 2013-14 SCHEDULE IV-B FEASIBILITY STUDY FOR
MQA MODERNIZATION PROJECT**

| Deliverable | Deliverable Description |
|---|---|
| Project Charter | Document formally authorizing the existence of the project and provides the Project Manager with the authority to apply organizational resources to project activities. Specifies the scope, approach, goals, objectives, constraints, and risks for the project |
| Project Management Plan | Includes the following documents as required by the MQA Project Director and/or the PMO: <ul style="list-style-type: none"> • Work Breakdown Structure • Resource Loaded Project Schedule • Change Management Plan • Communication Plan • Document Management Plan • Scope Management Plan • Quality Management Plan • Risk Management Plan • Issue Management Plan • Resource Management Plan • Conflict Resolution Plan • Baseline Project Budget |
| Bi-Weekly Project Status Reports | Bi-weekly status reports to project management team and monthly progress reports to the Project Steering Committee |
| Meeting Minutes | Record of decisions, action items, issues, and risks identified during formal stakeholder meetings |
| Gap Analysis Report | Gap Analysis Report to include: <ul style="list-style-type: none"> • Customizations made to LicenseEase by MQA technical team that need to be considered for upgrade • Enhancement requests to LicenseEase to determine whether the functionality exists in Versa Regulation or whether the functionality is custom to MQA • Documented requirements for items identified in Gap Analysis |
| Functional/non-Functional Requirements Document | This deliverable shall include, at a minimum: <ul style="list-style-type: none"> • Unique identification of each requirement • A clear description of the functional and non-functional requirements for the system • A traceability matrix to include: requirement ID, requirement type, process, activity, requirement description, priority, and source |
| Interface Control Document (ICD) | Describes the relationship between the MQA Licensing system and target external agencies. The ICD governs the data exchanged between the two systems and provides information describing the data exchange syntax and semantics that have been agreed upon for use |

**FY 2013-14 SCHEDULE IV-B FEASIBILITY STUDY FOR
MQA MODERNIZATION PROJECT**

| Deliverable | Deliverable Description |
|---------------------------------------|---|
| Workflow Design Specification | Detailed workflow design for information processing in the new business licensing system for each new business process workflow to be implemented |
| Technical Design Specification | Detailed technical design for data and information processing in the new business licensing system for any of the customized components to include: <ul style="list-style-type: none"> • Data Model/ERD • Data Dictionary • Technical Architecture |
| Knowledge Transfer Plan | Details the steps taken to adequately transfer knowledge about the system to the resources that ultimately will be responsible for post-implementation support |
| Data Conversion/Migration Plan | Plan for migrating data from existing system to the new database structures; to include detailed data conversion mapping |
| Organizational Change Management Plan | Describes the overall objectives and approach for managing organizational change during the project, including the methodologies and deliverables that will be used to implement OCM for the project. |
| OCM Status Reports | Bi-weekly status reports to project management team and monthly progress reports to the Project Steering Committee |
| Stakeholder Analysis | Identifies of the groups impacted by the change, the type and degree of impact, group attitude toward the change and related change management needs |
| Training Plan | Defines the objectives, scope and approach for training all stakeholders who require education about the new organizational structures, processes, policies and system functionality |
| Training Materials | Material used in the performance of executing the Training Plan |
| Change Readiness Assessment | Surveys the readiness of the impacted stakeholders to “go live” with the project and identifies action plans to remedy any lack of readiness |
| IV&V Project Charter | A document issued by the Project Sponsor that formalizes the scope, objectives, and deliverables of the IV&V effort |

| Deliverable | Deliverable Description |
|---------------------------------------|--|
| IV&V Status Reports | <p>Documents the results of IV&V activity to determine the status of project management processes and outcomes including but not limited to:</p> <ul style="list-style-type: none"> • Schedule Review Summary • Budget Review Summary • Business Alignment Summary • Risk Review Summary • Issue Review Summary • Organizational Readiness Summary • Recommended Next Steps/Actions for each of the above areas • Milestone and Deliverable reviews (to determine if the project is prepared to proceed to the next phase in the project work plan) • Current scorecard of the project management disciplines • Strengths and areas for improvement in the project management disciplines • IV&V Next Steps/Actions |
| Test Plans | Detailed test plans for unit testing, system testing, performance testing, and user acceptance testing |
| Test Cases | Documented set of actions to be performed within the system to determine whether all functional requirements have been met |
| Implementation Plan | Detailed process steps for implementing the new licensing system for all stakeholders impacted |
| System Operation and Maintenance Plan | Detailed plan for how the finished system will be operated and maintained |
| Lessons Learned | Document all best practices and obstacles navigated during the life of the Versa Regulation Upgrade project |

Table 6-1 – Preliminary List of Project Deliverables

Note: The project team members will collectively define the specific contents of each deliverable based on discussions conducted through the course of the project.

7.1.5. Affected Stakeholders and Groups

The impact of this project on other organizations or stakeholders needs to be determined to ensure that the right people and functional areas are involved and communication is directed appropriately. Table 6-3 provides a listing of the organizations and various stakeholders that will be impacted by the implementation of the MQA Transformation project.

| Organizations / Stakeholders | How Are They Affected, or How Are They Participating? |
|---|---|
| <ul style="list-style-type: none"> • MQA Board Office Staff • MQA Enforcement Unit (including Consumer Services, Investigation Services, Prosecution Services, and Compliance Monitoring) • MQA Call Center • MQA Clerk’s Office • MQA Practitioner Reporting and Exam Services • MQA License Services Unit • MQA Systems Support Services | <p>Key internal users of target licensing system. Involvement includes participants in JAD sessions, and reviewers and approvers of requirements and design specifications</p> |
| <p>Department of Health Division of Information Technology (DIT)</p> | <p>Target licensing system must ultimately integrate with the DIT technical architecture. Project must follow PMO standards. Selected DIT staff will provide information pertaining to current systems, participate in JAD sessions and approve technical requirements and design</p> |
| <p>Consumers</p> | <p>Key external users of the target system. External users will be required to register in the new system to create an online account so they can conduct business electronically with MQA. Examples include: online applications for licensure, online renewals, and checking status of application online</p> |
| <p>Image API</p> | <p>Vendor that provides application and hosting services for the MQA Imaging System, which will interface with the target licensing system</p> |

Table 6-2 – Stakeholders Affected by the MQA Transformation Project

7.1.6. Project Milestones

It is anticipated the project will be managed according to the milestones listed in **Table 6-3**. Go/no-go checkpoints may be added to the project schedule where appropriate based on the chosen solution. Checkpoints will require Project Sponsor sign-off prior to commencing the next activity.

| Milestone | Planned Completion | Deliverable(s) Completed |
|---|------------------------------|--|
| Legislative Approval | May 2013 | <ul style="list-style-type: none"> Updated Schedule IV-B Feasibility Study |
| Vendor Procurement | July 2013 | <ul style="list-style-type: none"> Updated Schedule IV-B Feasibility Study Procurement Documentation |
| Contract Signing | July 2013 | <ul style="list-style-type: none"> Vendor Contract |
| Project Kick-off | July 2013 | <ul style="list-style-type: none"> Project Charter |
| Project Management Plans Approved | August 2013 | <ul style="list-style-type: none"> Project Management Plan Master Project Schedule |
| Business Process Re-engineering (BPR) | August 2013 | <ul style="list-style-type: none"> Review of initial Gap Analysis and plan to conduct requirements gathering sessions |
| GAP Analysis – Detailed Requirements | September 2013 | <ul style="list-style-type: none"> Conduct JAD sessions to define the detailed requirements for each gap. |
| License Configuration | December 2013 | <ul style="list-style-type: none"> Configuration Specifications |
| Data Conversion/Migration | June 2014 | <ul style="list-style-type: none"> Data Conversion Plan |
| Versa:Regulation Upgrade | June 2014 | <ul style="list-style-type: none"> Functional Versa:Regulation System |
| Versa:Mobile Implementation | September 2014 | <ul style="list-style-type: none"> Versa:Mobile Requirements Document |
| Workflow Implementation | September 2014 | <ul style="list-style-type: none"> Workflow Design Specification |
| Versa:Online Implementation | September 2014 | <ul style="list-style-type: none"> Versa:Online Requirements Document |
| User Acceptance Testing | October 2014 | <ul style="list-style-type: none"> User Acceptance Test Plan User Acceptance Test Scripts User Acceptance Test Results Report |
| Performance Testing | October 2015 | <ul style="list-style-type: none"> Performance Test Plan Performance Test Scripts Performance Test Results Report |
| Organizational Change Management | December 2014 | <ul style="list-style-type: none"> Organizational Change Management Plan OCM Status Reports Change Readiness Assessment |
| Training | December 2014 | <ul style="list-style-type: none"> Training Plan Training Materials |
| Go Live | December 2014 | <ul style="list-style-type: none"> Go Live Readiness Assessment Report |
| Operations and Maintenance Support | June 2015 | <ul style="list-style-type: none"> Operation and Maintenance Plan |
| Warranty | June 2015 | <ul style="list-style-type: none"> Warranty Completion Report |
| Ongoing Project Management Deliverables | Throughout Project Lifecycle | <ul style="list-style-type: none"> Status Reports, Risk and Issue Logs Glossary of Terms Meeting minutes |
| Project Close | June 2015 | <ul style="list-style-type: none"> Lessons Learned |

Table 6-3 – Project Milestones

7.1.7. Change Control Process

Projects of this magnitude should expect change as the project progresses through the design, development and implementation phases. All change requests will be formally documented and validated by the PMO and the Change Control Board (CCB), which will be comprised of key project stakeholders according to the Change Management Plan. Once validation has occurred, the appropriate stakeholders will assess the change and determine the associated time and cost implications.

Upon acceptance of the change request and its validation by the PMO, the tasks to implement the change will be incorporated into the project plan and a project change order will be initiated. A priority will be assigned and the request will be scheduled accordingly. Figure 6-2 illustrates the proposed change request process.

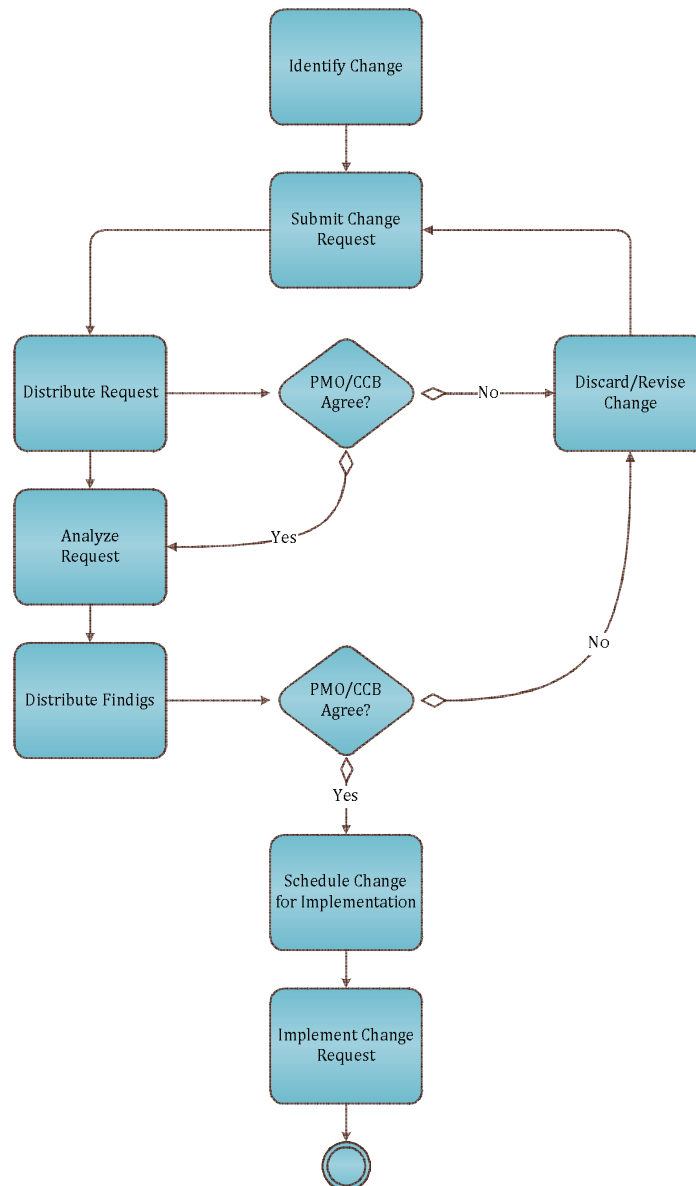


Figure 6-2 – Proposed Change Control Process

7.2. Work Breakdown Structure

Purpose: To define at a summary level all work that will take place within the project. It serves as a common framework for planning, scheduling, estimating, budgeting, configuring, monitoring, reporting on, directing, implementing and controlling the entire project.

The Work Breakdown Structure (WBS) is generated to define, at a summary level, all work that will take place within the project. It serves as a common framework for planning, scheduling, estimating, budgeting, configuring, monitoring, reporting on, directing, implementing and controlling the entire project. Additionally, the WBS is the framework for the management structure. The WBS is used to document and form the basis for:

- Project deliverables
- Effort required for creation of deliverables
- Assignment of responsibility for accomplishing and coordinating the work

According to PMI standards, a WBS is structured properly if it:

- Is representative of work as an activity, and this work has a tangible result
- Is arranged in a hierarchical structure
- Has an objective or tangible results referred to as a deliverable

A preliminary Work Breakdown Structure for the MQA Transformation project is presented in Figure 6-3. Note that execution phases may change to align with the chosen solution. The WBS will be finalized by the MQA Project Manager, working closely with the selected systems integration vendor. Any changes will be required to conform to MQA and PMO standards.

**FY 2013-14 SCHEDULE IV-B FEASIBILITY STUDY FOR
MQA MODERNIZATION PROJECT**

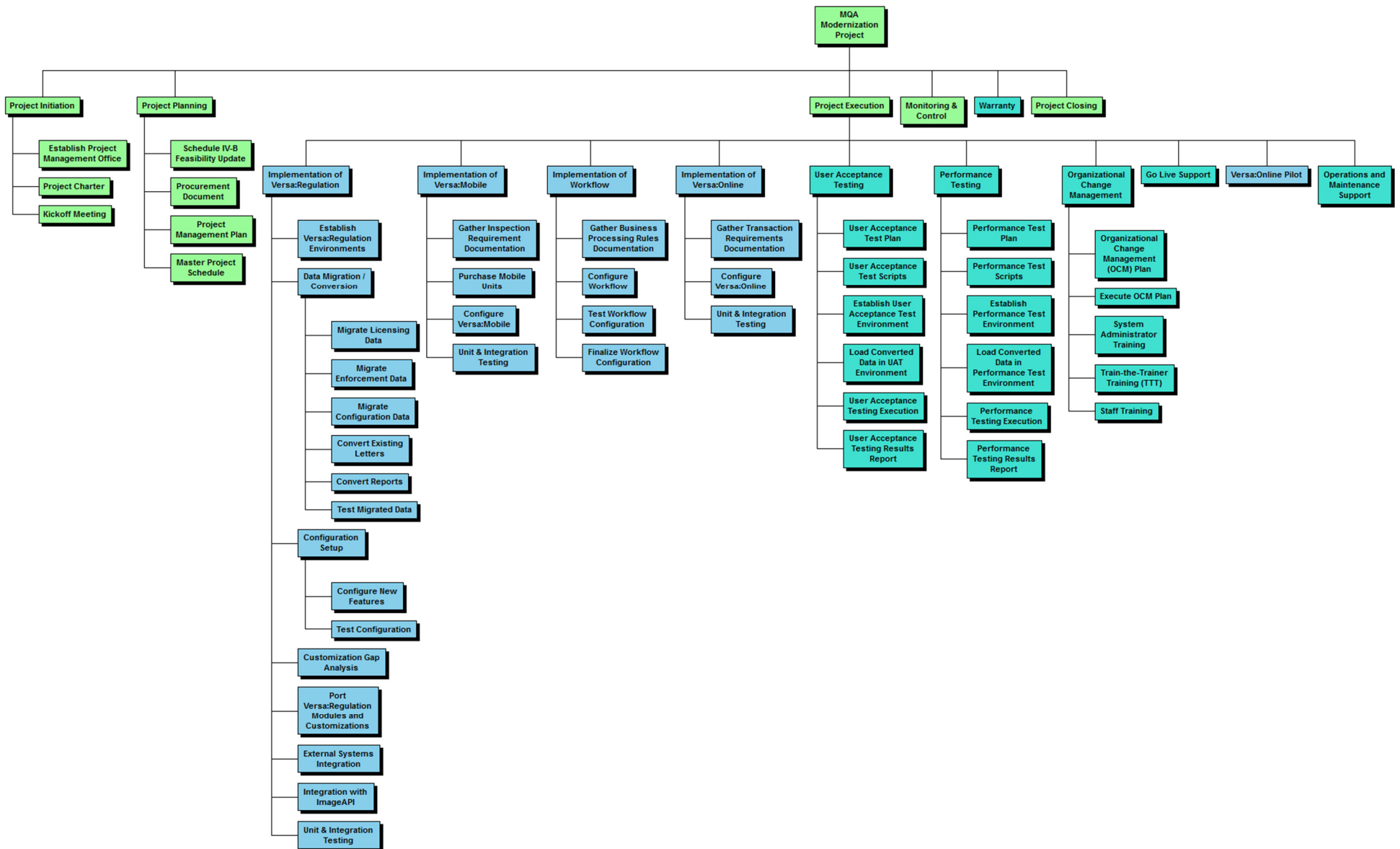


Figure 6-3 – High-Level Work Breakdown Structure

7.3. Resource Loaded Project Schedule

Purpose: To indicate the planned timetable for all project-related work and estimate the appropriate staffing levels necessary to accomplish each task, produce each deliverable, and achieve each milestone.

Figure 6-4 presents the preliminary project high-level representation of the overall timeline for the MQA Transformation project. The preliminary schedule includes planning activities currently underway and expected to be conducted in preparation for the project start. Preparations include the Schedule IV-B Feasibility Study development, requirements analysis, and business process analysis to develop the current state and future state business processes. After obtaining authorization to move forward with the procurement, the necessary procurement documents will be created in support of the ITN procurement.

A detailed preliminary resourced project schedule is included in Appendix A. The development of the final project schedule will be the responsibility of the MQA Project Manager and selected implementation vendor(s).

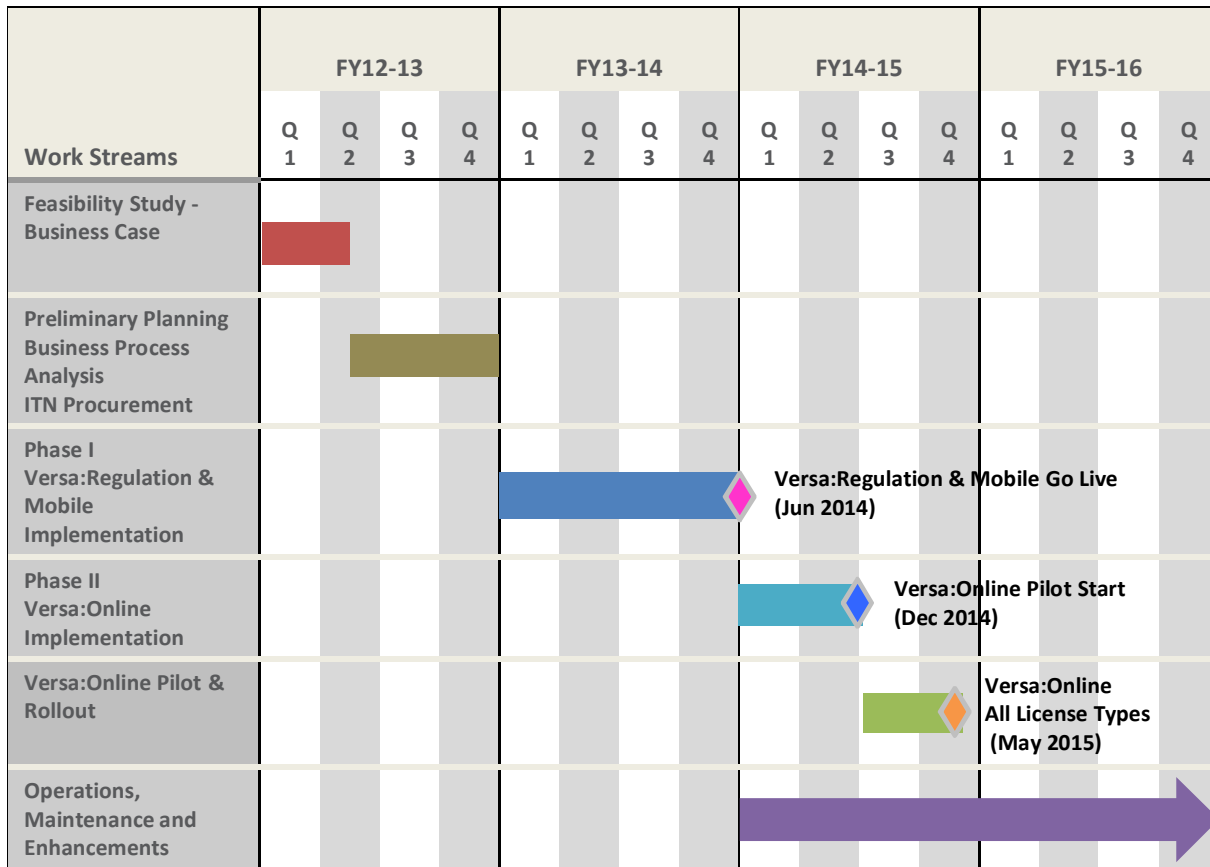


Figure 6-4 – MQA High-Level Project Timeline

7.4. Project Budget

Purpose: *To ensure that a realistic project budget has been developed.*

The cost information used as the basis for a preliminary project budget is based on the analogous estimating method using costs estimates from multiple Versa Licensing system upgrades including two agencies in Tallahassee – Department of Business and Professional Regulation (DBPR) and the Office of Financial Regulation (OFR). The age of the current licensing system was taken into account when estimating the effort to bring the aging system to current hardware and software technology levels. This significant transformation of the MQA’s licensing and regulation system will also require an organizational change management implementation to provide an effective rollout of the new features and capabilities of the licensing system to 650+ users throughout the State of Florida.

These numbers represent an estimate to be used for budgetary planning purposes only, with the acknowledgement that actual project costs could vary by as much as plus or minus 20%. The cost by year is based on tasks described in the Work Breakdown Structure (WBS) but may change based on the final deliverable payment schedule and contract negotiations secured during the procurement process.

Additional cost was added for Organizational Change Management (OCM), Project Management and IV&V services: OCM is estimated at 1 FTE's at an hourly cost of \$175, Project Management services estimated at 2 FTE's with a rate of \$160 per hour, and IV&V is estimated at 4% of total project costs. Since the project will span multiple State fiscal budget years, the total project cost projects are shown in Figure below.

| PROJECT COST ELEMENTS | PROJECT COST TABLE -- CBAForm 2A | | | | | TOTAL | |
|----------------------------------|----------------------------------|--------------------|---------------------|---------------------|---------------------|---------------------|---------------------|
| | FY 2013-14 | FY 2014-15 | FY 2015-16 | FY 2016-17 | FY 2017-18 | | |
| State FTEs (Salaries & Benefits) | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | |
| OPS FTEs (Salaries) | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | |
| Contractors (Costs) | \$4,353,800 | \$2,998,105 | \$0 | \$0 | \$0 | \$7,351,905 | |
| Deliverables | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | |
| Major Project Tasks | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | |
| Hardware | Hosting/iPads | \$1,122,017 | \$403,929 | \$0 | \$0 | \$0 | \$1,525,946 |
| COTS Software | | \$189,000 | \$394,144 | \$0 | \$0 | \$0 | \$583,144 |
| Misc. Equipment | Specify | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| Other Project Costs | PMO/OCM | \$1,077,000 | \$1,077,000 | \$0 | \$0 | \$0 | \$2,154,000 |
| | IV&V | \$277,200 | \$277,200 | \$0 | \$0 | \$0 | \$554,400 |
| TOTAL PROJECT COSTS (*) | | \$7,019,017 | \$5,150,377 | \$0 | \$0 | \$0 | \$12,169,394 |
| CUMULATIVE PROJECT COSTS | | \$7,019,017 | \$12,169,394 | \$12,169,394 | \$12,169,394 | \$12,169,394 | |

Figure 6-5 – CBAForm 2 – Project Cost Analysis

7.5. Project Organization

Purpose: *To determine whether an appropriate project organizational and governance structure will be in place and operational in time to support the needs of the project.*

Executive Steering Committee (ESC) members will include senior MQA management demonstrating commitment to the success of the project by their willingness to provide both oversight and advocacy for the licensing transformation effort. The ESC will be chaired by the Project Sponsor and provide guidance and executive support to the team. One of the ESC's most important roles will be to keep the project's charter firmly in view and assist the Project Director in resisting the ever-present forces that will seek to alter the project's objectives. They will also support the Project Director in guarding against scope growth and assist him or her in responding to external changes that impact the project.

During monthly steering committee meetings with the project management team, the committee will evaluate the project's adherence to the planned schedule, scope and use of resources. Finally, the Executive Steering Committee will act as advocates for the project whenever possible and especially when needed to bolster the confidence and resolve of other key stakeholders. The MQA Project Management Team will be headed by the Project Director and will include the Systems Administration & Configuration Manager, Versa:Regulation & Versa:Mobile Project Manager, Versa:Online Project Manager, and Systems Integrator Project Manager. This team will be responsible for day-to-day oversight of the project. In addition, the Project Management Team will be supported by the DOH IT department providing application and reporting development resources.

For a project of this size and duration, the Department will implement a Project Management Office (PMO) to create project management plans, monitor project issues and risks, and provide general support to the Project Director throughout the project. The PMO should be staffed with at least one Certified Project Management Professional.

The project business stakeholders identified in Table 6-4 include seasoned MQA staff from the program's core business areas. These key stakeholders will be instrumental in the implementation and testing of the enhanced licensing system and will assist in the review and approval of all project deliverables.

Figure 6-6 shows the proposed project organization and the relationship between its components.

**FY 2013-14 SCHEDULE IV-B FEASIBILITY STUDY FOR
MQA MODERNIZATION PROJECT**

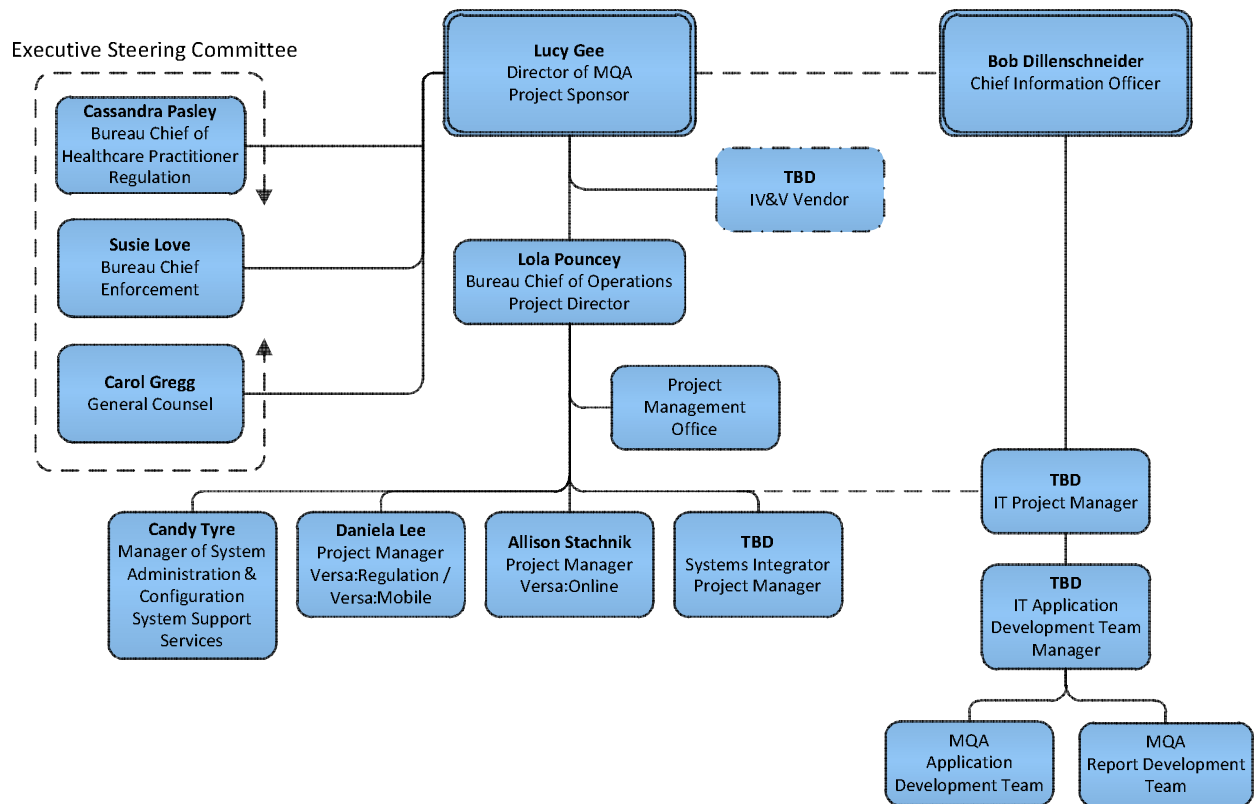


Figure 6-6 – Proposed Project Organization

The following table identifies, where known, the names of the people assigned a role in the project organization and a brief summary of their responsibilities.

| Role Name | Description | Assigned To |
|------------------------------|--|---|
| Executive Steering Committee | <ul style="list-style-type: none"> Provides oversight to the project Contributes to the scope and strategic direction for the project Establishes policies Identifies project risks and risk response strategies Resolves escalated issues Decides on project changes in terms of scope, budget, or schedule | Lucy Gee Cassandra Pasley Susie Love Carol Gregg |
| Project Sponsor | <ul style="list-style-type: none"> Has Programmatic decision making authority Champions the project within the customer’s organization Provides guidance on overall strategic direction Provides business resources for project success Has Programmatic responsibility for successful development and implementation of the project Chairs the Executive Steering Committee | Lucy Gee |

**FY 2013-14 SCHEDULE IV-B FEASIBILITY STUDY FOR
MQA MODERNIZATION PROJECT**

| Role Name | Description | Assigned To |
|---------------------------|---|---------------------|
| Project IT Sponsor | <ul style="list-style-type: none"> • Has IT decision making authority • Champions the project within the customer’s organization • Provides guidance on overall strategic direction • Provides IT resources for project success • Has responsibility for successful development and implementation of the project | Bob Dillenschneider |
| Project Director | <ul style="list-style-type: none"> • Has overall responsibility for the successful development and implementation of the project • Oversees the development and implementation of the project • Oversees the Project Management Office for the project • Liaison with IT Sponsor for resources • Liaison with Project Sponsor for business resources and day-to-day activities • Reports to the Executive Steering Committee | Lola Pouncey |
| Project Management Office | <ul style="list-style-type: none"> • Responsible for day-to-day project oversight • Provides overall guidance and direction to the Systems Integrator • Coordinates with the Project Director for resources • Works with Systems Integrator Project Manager to ensure stakeholder needs are met • Has daily decision making authority • Oversees and manages project plan • Coordinates project resources, budgets and contract management • Reviews and provides feedback on project deliverables • Responsible for project management areas including scope, risk, quality and change control • Coordinates project status communications • Liaison with external agencies as needed | TBD |

| Role Name | Description | Assigned To |
|------------------------------------|--|------------------------------------|
| Systems Integrator Project Manager | <ul style="list-style-type: none"> Steering Committee Member Responsible for Systems Integrator project management activities Maintain all project documentation, including detailed project plan Obtain MQA Project Director approval of documents including charter, requirements, design, and scope change requests Ensure adherence to the process and project management standards and guidelines in System Integrator’s project management plan Prepare formal project reports and presentations Ensure deliverables conform to MQA standards Facilitate project related workshops as required | Selected Systems Integrator Vendor |
| IV&V Vendor | <ul style="list-style-type: none"> Verifies that the system is developed in accordance with validated requirements and design specifications Validates that the system performs its functions satisfactorily Monitors project management processes and provides feedback on any deficiencies noted Reviews and provides feedback on project deliverables Presents to Executive Management team on IV&V activities | TBD |

Table 6-4 – Project Organization Members - Roles & Descriptions

7.6. Project Quality Control

Purpose: To understand project quality requirements and ensure that effective quality control processes and procedures are in place and operational in time to support the needs of the project.

The project will follow the Project Management Institute’s Project Management Methodology with up-front milestones delineating timeline, budget, and quality specifications for each deliverable. Each deliverable will be assigned detailed acceptance criteria in the project contract. Quality will be monitored and controlled by the Project Management Team and deliverables will be accepted only when the acceptance criteria have been met. The PMO will provide oversight and assistance to the entire Project Team to ensure that standards are followed.

| Project Area | Description |
|--------------------|---|
| Testing Management | The vendor will follow the established standards of the MQA PMO for Testing Management. This includes unit testing, integration testing, system testing, load testing and user acceptance testing |
| Approval | All deliverables will require individual stakeholder approval and sign-off upon completion of the final draft |

| Project Area | Description |
|-----------------------------------|--|
| Software Configuration Management | The vendor will follow the established standards of the MQA PMO for Software Configuration Management. This includes Stakeholder sign-off, documentation, and version control |
| Contract Management | The MQA PMO will be involved in contract management. All contracts must pass executive and legal approval. In addition, external project oversight will be required for contract negotiation |

Table 6-5 – MQA Quality Standards by Project Area

In addition to these formal areas of quality control, the following practices will be maintained during the life of the project.

- Peer reviews of artifacts
- Project team acceptance and approval
- Periodic project team meetings
- Project status meetings
- Periodic contractor, contract manager, project manager and project team meetings
- Change control management processes
- Contract manager and MQA Project Director acceptance and approval
- Maintain detailed requirements definitions under configuration management
- Defined test plan with standard levels of technical and acceptance testing, and
- Project team acceptance and approval

Additional quality controls will be built into the procurement documents and contract for the execution phase. At a minimum the selected vendor will be required to follow these quality controls:

- Periodic contractor, contract manager, project manager and project team meetings
- Change control management processes
- Risk management and mitigation response planning
- Contract manager and MQA Project Manager acceptance and approval

Quality will be monitored throughout the project by the PMO. Multiple levels of acceptance by all stakeholders will be built into the process to ensure project quality control.

7.7. External Project Oversight

Purpose: To understand any unique oversight requirements or mechanisms required by this project.

An Independent Verification and Validation (IV&V) effort will be in place throughout the life of the project. The purpose of IV&V is to provide an unbiased review and assessment of the project to help ensure it is meeting its desired goals, it adheres to internally documented or recognized industry standards and guidelines, the products or deliverables meet the requirements and are of high quality, appropriate controls are defined and utilized, and that the stakeholders in the process are effectively involved and aligned. Specific objectives of the IV&V effort for this project will include:

- Providing validation that the awarded implementation vendor:
 - Complies with the terms of the contract,
 - Performs and provides deliverables to the satisfaction of MQA,
 - Fulfills the technical and non-technical requirements of the contract,
 - Completes the project within the expected timeframe,
 - Demonstrates value and is committed to achieving the goals outlined by MQA, and,

- Acts in the best interests of MQA and surfaces issues in a timely and comprehensive manner
- Providing an independent, forward looking perspective on the project by raising key risks, issues and concerns and making actionable recommendations to address them
- Enhancing management's understanding of the progress, risks and concerns relating to the project and providing information to support sound business
- Provide ongoing advice and direction to the Executive Management Team, the Project Steering Committee, the Project Director and MQA Executive Leadership throughout each phase of the project. No external project oversight is required for the implementation of the MQA Transformation Project

7.8. Risk Management

Purpose: To ensure that the appropriate processes are in place to identify, assess, and mitigate major project risks that could prevent the successful completion of this project.

The purpose of risk management is to identify the risk factors for the project and establish a risk management plan to minimize the probability or reduce the impact that the identified risks will negatively impact the project thus reducing the risk exposure.

The project management methodology chosen for this project will include processes, templates, and procedures for documenting and mitigating risk. Risk analysis, tracking and mitigation appropriate for the project type and aligned with the framework of Project Management standards will be ongoing throughout all phases of the project. Risks are actively identified, detailed, and prioritized. Risk response strategies are determined and elaborated providing specific actions for appropriately addressing each risk. Risks are monitored, mitigated and closed throughout the lifecycle.

7.8.1. Risk Response Strategies

Risk management involves prioritizing, evaluating and implementing the appropriate risk exposure reducing activities in response to the risk assessment. Assessing each risk will allow the project management team to determine the most appropriate risk response strategy to employ for addressing the project risk.

Risk response strategies include:

- **Risk Assumption.** Accept the potential risk as unavoidable, continue the project, and implement controls to lower the risk to an acceptable level
- **Risk Avoidance.** Avoid the risk by eliminating the cause of the risk, the consequence of the risk, or both (e.g. forego certain aspects of the project that are particularly risky)
- **Risk Mitigation.** Taking steps to lessen risk by lowering the probability of a risk occurrence or reducing its impact should the risk occur
- **Risk Transference.** Transfer or share risk through options that compensate for the adverse impact, such as performance bonding and insurance

7.8.2. Risk Management Plan

All phases of the project will follow the standards defined by the Project Management Office (PMO). PMO standards include processes, templates, and procedures for documenting and mitigating risk.

A Risk Management Plan (RMP) will be developed as a component of the overall Project Management Plan and adhered to throughout all phases of the project. The RMP will include

clear risk management procedures including standard checkpoints and mitigation strategies. Execution of a well-defined RMP with clear mitigation strategies for each risk is critical to the success of the MQA Transformation project. Periodic reviews of existing known risks will be conducted according to the RMP as a critical component of the project management processes used throughout the project life cycle.

A view of the risk management process is provided in **Figure 6-7** below. A brief description of the high-level steps is provided in Table immediately following the risk management process workflow.

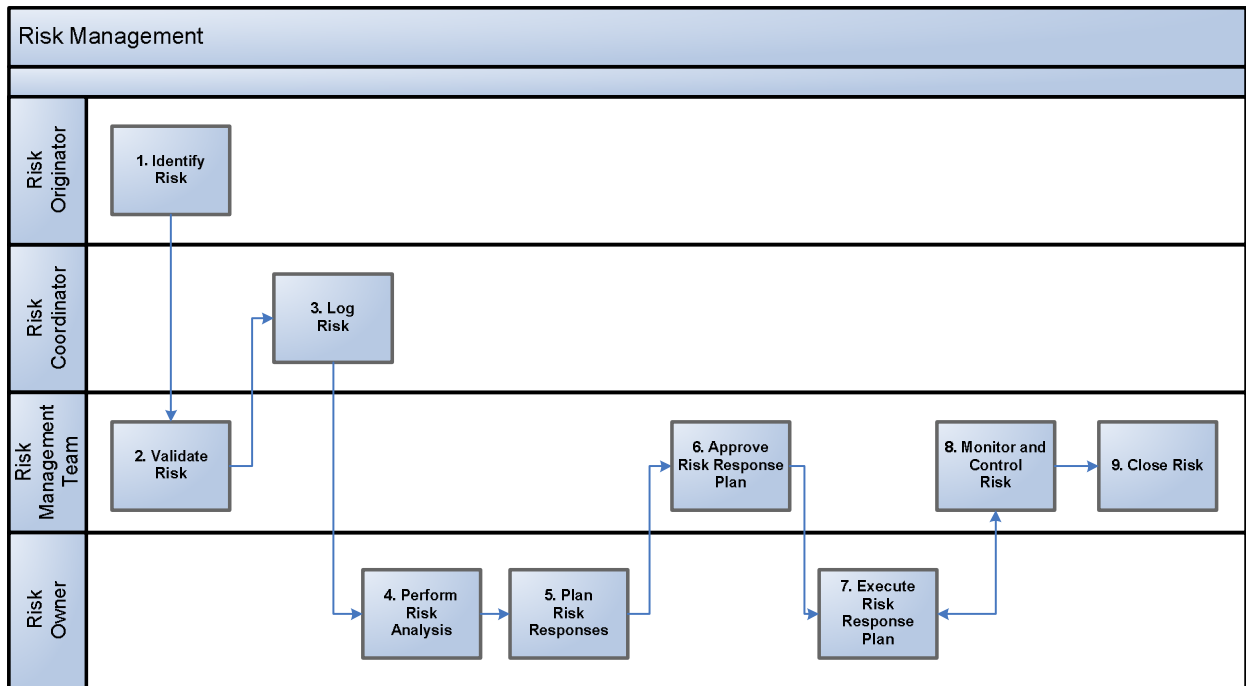


Figure 6-7 – Risk Management Workflow Steps and Descriptions

| Workflow Step | Description |
|-------------------------------|---|
| 1. Identify Risk | A risk is identified by any member of the project and reported to the Project Management Team (PMT) |
| 2. Validate Risk | The PMT determines whether a potential risk should be made an actual risk to be monitored for the project. The risk is vetted and categorized |
| 3. Log Risk | The Project Manager records the risk in the Risk Register |
| 4. Perform Risk Analysis | A risk analysis is conducted to assign probability and impact values to determine the overall risk exposure (factor of probability and impact) to the project. A priority of high, medium, or low is assigned based on the risk exposure. A Risk Owner will be assigned at this point |
| 5. Plan Risk Response | For those risks determined by the Project Management Team to require a risk response, a risk response set of actions will be developed by the Risk Owner |
| 6. Approve Risk Response Plan | The risk response plan will be reviewed by the authoritative body for approval. Typically, this is the Project Manager or Project Management Team |

| Workflow Step | Description |
|-----------------------------|--|
| 7. Execute Risk Response | Risk Owner implements the risk response plan |
| 8. Monitor and Control Risk | The PMT oversees the implementation of the risk response plan, tracking identified risks, monitoring residual risks, and identifying new risks |
| 9. Close Risk | Risks that are no longer a threat to the project are closed |

Table 6-6 - Risk Management High-Level Workflow

7.8.3. Project Risks and Mitigation

Table 6-7 provides an overview of the strategies that MQA will employ to mitigate the medium and high level risks identified by the risk assessment tool and documented in Section IV. Any new risks will be added to the risk register when identified following the risk management processes as defined in the Risk Management Plan.

| # | Risk description and Impact | Probability | Impact | Mitigation | Assigned Owner |
|--|---|-------------|--------|---|---------------------|
| Technology Exposure Assessment (High Risk) | | | | | |
| 1 | Internal technical staff will not have sufficient experience with the proposed technology in the production environment | High | High | <ul style="list-style-type: none"> • Include architectural consulting services in the scope of work for the project to assess the current environment against the proposed production environment(s) to identify gaps in technology infrastructure • Internal technical staff will work closely with the vendor technical resources to provide knowledge transfer and increase understanding of production environment(s) • Internal technical staff will take part in technical systems training to be included within the scope of work for the awarded vendor | MQA Project Manager |
| Organizational Change Management Assessment (Medium Risk) | | | | | |

**FY 2013-14 SCHEDULE IV-B FEASIBILITY STUDY FOR
MQA MODERNIZATION PROJECT**

| # | Risk description and Impact | Probability | Impact | Mitigation | Assigned Owner |
|--|---|-------------|--------|--|---------------------|
| 2 | Moderate changes to business processes impacting 650+ health care providers directly with a new online component will be required as part of the move toward greater self-sufficiency and away from manual processes; some users will be reluctant to these changes and slow to adopt | High | Medium | <ul style="list-style-type: none"> • A clear vision of project objectives will be defined and maintained by executive leadership throughout the life of the project in order to minimize the real or perceived impact of process changes on key stakeholders • The Organizational Change Management Plan will address mitigation strategies associated with expected changes as they are identified • Organizational Change Management activities must be given top priority throughout the project in order to facilitate the transition of the Department from its current mode of operation toward the efficiencies of a modern business system • Plan for and provide adequate training for user community | MQA Project Manager |
| 3 | Staff inexperience with incorporating change management activities could lead to acceptance reluctance of the new system and business process changes that are the outcome of the implementation | Medium | High | <ul style="list-style-type: none"> • A Organizational Change Management (OCM) Plan will be developed to communicate the on-going activities meant to address the changes to people, process and technology • Obtain Organizational Change Management subject matter expertise to coach and assist with the OCM Plan development | MQA Project Manager |
| Fiscal Assessment (Medium Risk) | | | | | |

**FY 2013-14 SCHEDULE IV-B FEASIBILITY STUDY FOR
MQA MODERNIZATION PROJECT**

| # | Risk description and Impact | Probability | Impact | Mitigation | Assigned Owner |
|--|---|-------------|--------|--|--|
| 4 | Unanticipated requirements may increase the cost estimate for the project; 215 unique license types to be implemented | Low | Medium | <ul style="list-style-type: none"> • A well-defined Project Charter finalized with the high-level business and technical requirements completed and included within the procurement documents • Request prospective vendors to identify missing requirements that are needed to satisfy the business goals of the project in their responses including why it is needed • The potential for cost overruns will be minimized by executing stringent change control and scope management practices | MQA Project Manager |
| Project Organization Assessment (Medium Risk) | | | | | |
| 5 | Due to the current workload, MQA business subject matter experts will be dedicated 50% or less to the project | Medium | Medium | <ul style="list-style-type: none"> • Project managers and analysts will be as flexible as possible when scheduling meetings or JAD sessions • All project meetings and JAD sessions will have clear and documented objectives, and should include only SMEs that are required to achieve those objectives • Adequate time will be provided for the review and approval of project deliverables • All training and testing activities involving SMEs will be thoroughly planned and efficiently executed • MQA Executive Management will regularly acknowledge SMEs for their contributions to the project | MQA Project Manager; Vendor Project Manager |

**FY 2013-14 SCHEDULE IV-B FEASIBILITY STUDY FOR
MQA MODERNIZATION PROJECT**

| # | Risk description and Impact | Probability | Impact | Mitigation | Assigned Owner |
|--|--|-------------|--------|---|--|
| 6 | The Division does not have the necessary knowledge, skills and abilities to staff the project team with in-house resources | Medium | Low | <ul style="list-style-type: none"> The Division will use the state's competitive procurement process to engage qualified and reputable vendors who are able to provide the necessary knowledge, skills and abilities | MQA Project Sponsor; MQA Project Director; MQA Project Manager |
| Project Management Assessment (Medium Risk) | | | | | |
| 7 | Inadequate project management and oversight could result in project time and cost overruns | Medium | Low | <ul style="list-style-type: none"> An experienced, full-time MQA Project Manager will be assigned to the project A Project Management Office will be established for the duration of the project to ensure industry best practices in project management are employed Additional project oversight will include an Executive Steering Committee Well defined Risk Mitigation strategies will be developed for all identified project risks All project plans, risks and issues will be continuously reviewed and refined as the project progresses The project schedule will include multiple checks and balances to ensure the project is meeting expectations and allocated timelines The potential for cost overruns will be minimized by executing stringent change control and scope management practices | MQA Project Manager; Vendor Project Manager |

**FY 2013-14 SCHEDULE IV-B FEASIBILITY STUDY FOR
MQA MODERNIZATION PROJECT**

| # | Risk description and Impact | Probability | Impact | Mitigation | Assigned Owner |
|--|---|-------------|--------|--|--|
| Project Complexity Assessment (Medium Risk) | | | | | |
| 8 | The fact that many stakeholders are dispersed across the state in remote locations will make project communication more challenging; the result could be missed requirements and/or unreasonable expectations | Medium | Low | <ul style="list-style-type: none"> • Ensure communication plan addresses statewide communication • Make communication among team members a priority and provide equal opportunities for remote team members to participate meaningfully • Facilitate remote participation by employing collaborative tools such as conference calls, video-conferencing and web-enabled project management tools. • Provide training regionally and develop a regional or local strategy for providing user support at start-up and beyond | MQA Project Manager; Vendor Project Manager |

Table 6-7 – Risks and Mitigation Strategies

7.9. Organizational Change Management

Purpose: To increase the understanding of the key requirements for managing the changes and transformation that the users and process owners will have to implement for the proposed project to be successful.

Effective Organizational Change Management (OCM) will be integral to the success of this project, and will be a critical success factor for ensuring staff participation in business process workflow improvement, implementation and user acceptance. Significant organizational change is expected as a result of automating workflow for existing business processes. Throughout the MQA Transformation project, OCM will be effectively implemented through communication, awareness, and training.

MQA will adhere to the standards of the PMO for Organizational Change Management. A specific OCM methodology has not been identified at this phase, but will be identified in the Organizational Change Management Plan created in the execution phase of the project.

At a minimum, the following will be included in the Organizational Change Management Plan:

- Description of roles, responsibilities, and communication between vendor and customer
- Skill/Role gap analysis between the existing system and the proposed system
- OCM Communication Plan

The following key roles will have varying degrees of responsibility for executing the change management plan and delivering a consistent, positive message about change throughout the life of the project:

- Organizational Change Management Lead
- MQA Project Manager
- Project Sponsor
- MQA Executive Management

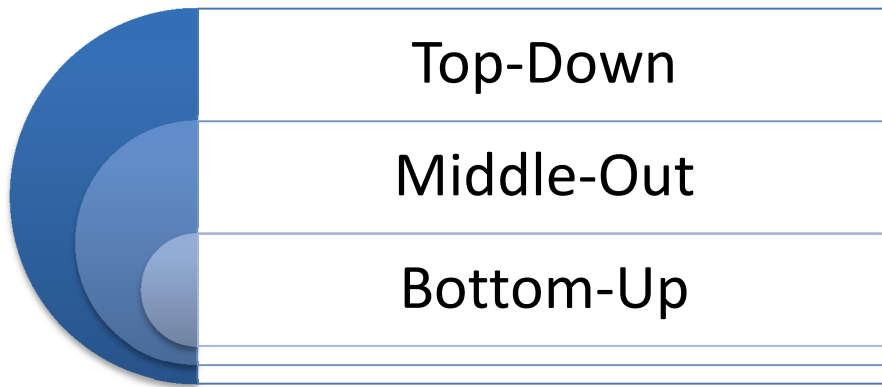
7.10. Project Communication

Purpose: To ensure that effective communication processes are in place to disseminate information and receive feedback from users, participants, and other project stakeholders to facilitate project success.

Communications management is a broad area comprised of the processes necessary to provide effective communications among project stakeholders. It identifies communications processes used to develop and disseminate communications, identify stakeholder information needs, define materials and frequencies of communications, and identify roles and responsibilities of communicators. Communications management is most effective when there is definition of what needs to be communicated, who is responsible for communicating with whom, when the communications need to occur, and how it will be communicated.

Disseminating knowledge among stakeholders is essential to the project's success. Project sponsors, core project team members and key stakeholders must be kept informed of the project status and how changes to the status affect them. The more people are kept informed about the progress of the project and how it will help them in the future, the more they will participate and benefit.

At this phase, the specific communication needs of project stakeholders and the methods and frequency of communication have not been established. This will be done during the project planning activities. Generally speaking, the project communication methodology will espouse the following types of information dissemination:



Each type will be utilized on the ensuing project. A brief description of each type follows.

Top-Down

It is crucial that all participants in this project sense a high degree of executive support and guidance for this effort. The executive leadership of the organization (project sponsor) needs to speak with a unified, enthusiastic voice about the project and what it holds for everyone involved. The project will require dedicated, 'hands-on' organizational change management if it is to be successful. Not only will the executives need to speak directly to all levels of the organization, they will need to listen to all levels as well. The transition from the project management practices of today to the practices envisioned for tomorrow will be driven by a sure and convinced leadership focused on a vision and guided by clearly defined, strategic, measurable goals.

Middle-Out

Full support at all levels of management is important for sustainable improvement. At this level (as with all levels), there must be an effort to find and communicate the specific benefits of the changes. People need a personal stake in the success of the project management practices.

A detailed Communication Plan will be completed. Requirements for effective communication methods will be incorporated into the project for implementing the enhanced system. These will include project kick off, regular status meetings, regular status reports, regular review and evaluation of project issues and risks, milestone reporting, periodic project evaluation, regular product demonstrations and reviews, a web-based discussion board, project website, etc.

Bottom-Up

To solidify the buy-in and confidence of the personnel involved in bringing the proposed changes to reality, it will be important to communicate the way in which the solutions were created. If the perception in the organization is that the core project team created the proposed changes in isolation, resistance is likely to occur. However, if it is understood that all participants were consulted, acceptance will be likely.

7.11. Special Authorization Requirements

Purpose: To understand any project specific authorizations that must be received for the proposed project or solution.

There are no special authorization requirements for the MQA Transformation Project.

**FY 2013-14 SCHEDULE IV-B FEASIBILITY STUDY FOR
MQA MODERNIZATION PROJECT**

8. Appendices

Number and include all required spreadsheets along with any other tools, diagrams, charts, etc. chosen to accompany and support the narrative data provided by the Department within the Schedule IV-B.

A. Preliminary MQA Transformation Project Schedule

| ID | Name | Duration | Start Date | Finish Date | Resource(s) |
|----|--|--------------------|------------------|-------------------|--|
| 1 | MQA Modernization Preliminary Planning | 214 days | 9/4/2012 | 6/28/2013 | |
| 2 | Schedule IV-B Feasibility Study Development | 30 days | 9/4/2012 | 10/15/2012 | |
| 3 | Requirements Analysis | 66 days | 11/1/2012 | 1/31/2013 | |
| 4 | Business Process Analysis (Current State, Future State) | 66 days | 2/1/2013 | 5/3/2013 | |
| 5 | ITN Procurement | 40 days | 5/6/2013 | 6/28/2013 | |
| 6 | MQA Licensing Modernization Project | 504 days | 7/1/2013 | 6/30/2015 | |
| 7 | Contract Start | 0 days | 7/1/2013 | 7/1/2013 | |
| 8 | Project Initiation | 17 days | 7/1/2013 | 7/24/2013 | |
| 9 | Project Management Office | 9 days | 7/1/2013 | 7/12/2013 | |
| 10 | Mobilize Project Management Team | 2 days | 7/1/2013 | 7/2/2013 | PMO Lead, MQA Project Director, MQA Project Sponsor |
| 11 | Setup PM Document Repository | 2 days | 7/3/2013 | 7/5/2013 | PMO Team |
| 12 | Develop Project Management Document Templates | 5 days | 7/8/2013 | 7/12/2013 | PMO Team |
| 13 | Project Charter | 15 days | 7/3/2013 | 7/24/2013 | |
| 14 | Finalize Project Charter | 5 days | 7/3/2013 | 7/10/2013 | PMO Lead |
| 15 | Internal Review of Project Charter | 2 days | 7/11/2013 | 7/12/2013 | PMO Team |
| 16 | Update Project Charter Based on Internal Review | 1 day | 7/15/2013 | 7/15/2013 | PMO Lead |
| 17 | Submit Project Charter | 0 days | 7/15/2013 | 7/15/2013 | |
| 18 | MQA Review of Project Charter | 3 days | 7/16/2013 | 7/18/2013 | MQA Project Director, MQA Project Sponsor |
| 19 | Update Project Charter Based on MQA Review | 2 days | 7/19/2013 | 7/22/2013 | PMO Lead |
| 20 | Submit Final Project Charter | 0 days | 7/22/2013 | 7/22/2013 | |
| 21 | MQA Final Review of Project Charter | 2 days | 7/23/2013 | 7/24/2013 | MQA Project Director, MQA Project Sponsor |
| 22 | Project Charter Approved | 0 days | 7/24/2013 | 7/24/2013 | |
| 23 | Kickoff Meeting | 5.14 days | 7/16/2013 | 7/23/2013 | |
| 24 | Prepare Project Kickoff Presentation | 3 days | 7/16/2013 | 7/18/2013 | PMO Lead |
| 25 | Internal Review / Update of Project Kickoff Presentation | 2 days | 7/19/2013 | 7/22/2013 | PMO Team |
| 26 | Project Kickoff Presentation | 0.14 days | 7/23/2013 | 7/23/2013 | PMO Lead, MQA Project Director, MQA Project Manager (Versa:Online), MQA Project Manager (Versa:Regulation/Mobile), MQA Project Sponsor, PMO Team, Vendor Project Manager |
| 27 | Project Planning | 39 days | 7/1/2013 | 8/23/2013 | |
| 28 | Project Management Plan | 29 days | 7/16/2013 | 8/23/2013 | |
| 29 | Draft Project Management Plan | 5 days | 7/16/2013 | 7/22/2013 | PMO Team |
| 30 | Internal Review of Project Management Plan | 2 days | 7/23/2013 | 7/24/2013 | PMO Team |
| 31 | Update Project Management Plan Based on Internal Review | 2 days | 7/25/2013 | 7/26/2013 | PMO Team |
| 32 | Submit Project Management Plan | 0 days | 7/26/2013 | 7/26/2013 | |
| 33 | MQA Review of Project Management Plan | 10 days | 7/29/2013 | 8/9/2013 | MQA Project Director, MQA Project Manager (Versa:Online), MQA Project Manager (Versa:Regulation/Mobile) |
| 34 | Update Project Management Plan Based on MQA Review | 5 days | 8/12/2013 | 8/16/2013 | PMO Team |
| 35 | Submit Final Project Management Plan | 0 days | 8/16/2013 | 8/16/2013 | |
| 36 | MQA Final Review of Project Management Plan | 5 days | 8/19/2013 | 8/23/2013 | MQA Project Director, MQA Project Manager (Versa:Online), MQA Project Manager (Versa:Regulation/Mobile) |
| 37 | Project Management Plan Approved | 0 days | 8/23/2013 | 8/23/2013 | |
| 38 | Master Project Schedule | 29 days | 7/1/2013 | 8/9/2013 | |
| 39 | Finalize Master Project Schedule | 5 days | 7/1/2013 | 7/8/2013 | PMO Team |
| 40 | Internal Review of Master Project Schedule | 2 days | 7/9/2013 | 7/10/2013 | PMO Team |
| 41 | Update Master Project Schedule Based on Internal Review | 2 days | 7/11/2013 | 7/12/2013 | PMO Team |
| 42 | Submit Master Project Schedule | 0 days | 7/12/2013 | 7/12/2013 | |
| 43 | MQA Review of Master Project Schedule | 10 days | 7/15/2013 | 7/26/2013 | MQA Project Director, MQA Project Manager (Versa:Online), MQA Project Manager (Versa:Regulation/Mobile) |
| 44 | Update Master Project Schedule Based on MQA Review | 5 days | 7/29/2013 | 8/2/2013 | PMO Team |
| 45 | Submit Final Master Project Schedule | 0 days | 8/2/2013 | 8/2/2013 | |
| 46 | MQA Final Review of Master Project Schedule | 5 days | 8/5/2013 | 8/9/2013 | MQA Project Director, MQA Project Manager (Versa:Online), MQA Project Manager (Versa:Regulation/Mobile) |
| 47 | Master Project Schedule Approved | 0 days | 8/9/2013 | 8/9/2013 | |
| 48 | Project Execution | 488.86 days | 7/23/2013 | 6/30/2015 | |
| 49 | Organizational Change Management | 358 days | 7/23/2013 | 12/24/2014 | |
| 50 | Organizational Change Management (OCM) Plan | 18 days | 7/23/2013 | 8/16/2013 | |
| 51 | Draft Organizational Change Management Plan | 5 days | 7/23/2013 | 7/30/2013 | OCM Lead |
| 52 | Internal Review of Organizational Change Management Plan | 2 days | 7/30/2013 | 8/1/2013 | OCM Staff |
| 53 | Update Communicaitons Management Plan Based on Internal Review | 2 days | 8/1/2013 | 8/5/2013 | OCM Lead |
| 54 | Submit Organizational Change Management Plan | 0 days | 8/5/2013 | 8/5/2013 | |
| 55 | MQA Review of Organizational Change Management Plan | 5 days | 8/5/2013 | 8/12/2013 | MQA Project Director, MQA Project Manager (Versa:Online), MQA Project Manager (Versa:Regulation/Mobile) |
| 56 | Update Organizational Change Management Plan Based on MQA Review | 2 days | 8/12/2013 | 8/14/2013 | OCM Lead |
| 57 | Submit Final Organizational Change Management Plan | 0 days | 8/14/2013 | 8/14/2013 | |

**FY 2013-14 SCHEDULE IV-B FEASIBILITY STUDY FOR
MQA MODERNIZATION PROJECT**

| ID | Name | Duration | Start Date | Finish Date | Resource(s) |
|-----|--|-----------------|-------------------|-------------------|---|
| 58 | MQA Final Review of Organizational Change Management Plan | 2 days | 8/14/2013 | 8/16/2013 | MQA Project Director, MQA Project Manager (Versa:Online), MQA Project Manager (Versa:Regulation/Mobile) |
| 59 | Organizational Change Management Plan Approved | 0 days | 8/16/2013 | 8/16/2013 | |
| 60 | Execute OCM Plan | 260 days | 8/16/2013 | 8/28/2014 | OCM Lead, OCM Staff |
| 61 | System Administrator Training | 19 days | 8/28/2014 | 9/25/2014 | Training Staff |
| 62 | Train-the-Trainer Training (TTT) | 20 days | 8/28/2014 | 9/26/2014 | Training Staff |
| 63 | Staff Training | 60 days | 9/26/2014 | 12/24/2014 | Training Staff |
| 64 | Phase I - Versa:Regulation & Mobile | 235 days | 7/25/2013 | 6/30/2014 | |
| 65 | Data Migration / Conversion | 210 days | 8/22/2013 | 6/23/2014 | |
| 66 | Data Conversion Plan | 20 days | 8/22/2013 | 9/19/2013 | Data Conversion Staff |
| 67 | Migrate Licensing Data | 30 days | 9/20/2013 | 10/31/2013 | Data Conversion Staff |
| 68 | Migrate Enforcement Data | 30 days | 9/20/2013 | 10/31/2013 | Data Conversion Staff |
| 69 | Migrate Configuration Data | 20 days | 11/1/2013 | 12/3/2013 | Data Conversion Staff |
| 70 | Convert Existing Letters | 120 days | 12/4/2013 | 5/23/2014 | Reports Development Staff |
| 71 | Convert Reports | 120 days | 12/4/2013 | 5/23/2014 | Reports Development Staff |
| 72 | Test Migrated Data | 20 days | 5/27/2014 | 6/23/2014 | Data Conversion Staff |
| 73 | Implementation of Versa:Regulation | 170 days | 7/25/2013 | 3/28/2014 | |
| 74 | Establish Versa:Regulation Environments | 20 days | 7/25/2013 | 8/21/2013 | |
| 75 | Build Development Environment | 10 days | 7/25/2013 | 8/7/2013 | Technical Staff |
| 76 | Build Integration Testing Environment | 10 days | 8/8/2013 | 8/21/2013 | Technical Architect |
| 77 | Configuration Setup | 80 days | 8/22/2013 | 12/17/2013 | |
| 78 | Configure New Features | 40 days | 8/22/2013 | 10/17/2013 | Development Staff |
| 79 | Test Configuration (215 License Types) | 40 days | 10/18/2013 | 12/17/2013 | Development Staff[400%] |
| 80 | Customization Gap Analysis | 20 days | 7/25/2013 | 8/21/2013 | Development Staff |
| 81 | Port Versa:Regulation Modules and Customizations | 100 days | 8/22/2013 | 1/16/2014 | Development Staff, MQA Project Manager (Versa:Regulation/Mobile) |
| 82 | External Systems Integration | 100 days | 8/22/2013 | 1/16/2014 | Development Staff[149%] |
| 83 | Integration with ImageAPI | 100 days | 8/22/2013 | 1/16/2014 | Development Staff[149%] |
| 84 | Unit & Integration Testing | 50 days | 1/17/2014 | 3/28/2014 | Development Staff |
| 85 | Implementation of Versa:Mobile | 60 days | 1/3/2014 | 3/28/2014 | |
| 86 | Gather Inspection Requirement Documentation | 10 days | 1/3/2014 | 1/16/2014 | MQA Project Manager (Versa:Regulation/Mobile), Process Analysts, Process Consultant |
| 87 | Purchase Mobile Units | 10 days | 1/17/2014 | 1/31/2014 | MQA Project Manager (Versa:Regulation/Mobile) |
| 88 | Configure Versa:Mobile | 20 days | 2/3/2014 | 2/28/2014 | Process Analysts, Process Consultant |
| 89 | Unit & Integration Testing | 20 days | 3/3/2014 | 3/28/2014 | Development Staff |
| 90 | Implementation of Phase I Workflow | 60 days | 1/3/2014 | 3/28/2014 | |
| 91 | Gather Business Processing Rules Documentation | 10 days | 1/3/2014 | 1/16/2014 | Process Analysts, Process Consultant |
| 92 | Configure Workflow | 20 days | 1/17/2014 | 2/14/2014 | Process Analysts |
| 93 | Test Workflow Configuration | 20 days | 2/17/2014 | 3/14/2014 | Process Consultant |
| 94 | Finalize Workflow Configuration | 10 days | 3/17/2014 | 3/28/2014 | Process Analysts, Process Consultant |
| 95 | User Acceptance Testing Planning & Prep | 112 days | 10/18/2013 | 4/1/2014 | |
| 96 | User Acceptance Test Plan | 37 days | 10/18/2013 | 12/12/2013 | |
| 97 | Draft User Acceptance Test Plan | 10 days | 10/18/2013 | 10/31/2013 | Test Manager |
| 98 | Internal Review of User Acceptance Test Plan | 5 days | 11/1/2013 | 11/7/2013 | Test Team |
| 99 | Update User Acceptance Test Plan Based on Internal Review | 2 days | 11/8/2013 | 11/12/2013 | Test Manager |
| 100 | Submit User Acceptance Test Plan | 0 days | 11/12/2013 | 11/12/2013 | |
| 101 | MQA Review of User Acceptance Test Plan | 10 days | 11/13/2013 | 11/26/2013 | MQA Project Director, MQA Project Manager (Versa:Online), MQA Project Manager (Versa:Regulation/Mobile) |
| 102 | Update User Acceptance Test Plan Based on MQA Review | 5 days | 11/27/2013 | 12/5/2013 | Test Manager |
| 103 | Submit Final User Acceptance Test Plan | 0 days | 12/5/2013 | 12/5/2013 | |
| 104 | MQA Final Review of User Acceptance Test Plan | 5 days | 12/6/2013 | 12/12/2013 | MQA Project Director, MQA Project Manager (Versa:Online), MQA Project Manager (Versa:Regulation/Mobile) |
| 105 | User Acceptance Test Plan Approved | 0 days | 12/12/2013 | 12/12/2013 | |
| 106 | User Acceptance Test Scripts | 95 days | 11/13/2013 | 4/1/2014 | |
| 107 | Draft User Acceptance Test Scripts | 40 days | 11/13/2013 | 1/13/2014 | Test Team |
| 108 | Internal Review of User Acceptance Test Scripts | 10 days | 1/14/2014 | 1/28/2014 | Test Team |
| 109 | Update User Acceptance Test Scripts Based on Internal Review | 5 days | 1/29/2014 | 2/4/2014 | Test Manager |
| 110 | Submit User Acceptance Test Scripts | 0 days | 2/4/2014 | 2/4/2014 | |
| 111 | MQA Review of User Acceptance Test Scripts | 20 days | 2/5/2014 | 3/4/2014 | MQA Project Director, MQA Project Manager (Versa:Online), MQA Project Manager (Versa:Regulation/Mobile) |
| 112 | Update User Acceptance Test Scripts Based on MQA Review | 10 days | 3/5/2014 | 3/18/2014 | Test Manager |
| 113 | Submit Final User Acceptance Test Scripts | 0 days | 3/18/2014 | 3/18/2014 | |
| 114 | MQA Final Review of User Acceptance Test Scripts | 10 days | 3/19/2014 | 4/1/2014 | MQA Project Director, MQA Project Manager (Versa:Online), MQA Project Manager (Versa:Regulation/Mobile) |
| 115 | User Acceptance Test Scripts Approved | 0 days | 4/1/2014 | 4/1/2014 | |
| 116 | Build User Acceptance Test Environment | 10 days | 1/17/2014 | 1/31/2014 | Technical Staff |
| 117 | Load Converted Data in UAT Environment | 10 days | 2/3/2014 | 2/14/2014 | Test Team |

**FY 2013-14 SCHEDULE IV-B FEASIBILITY STUDY FOR
MQA MODERNIZATION PROJECT**

| ID | Name | Duration | Start Date | Finish Date | Resource(s) |
|-----|--|-----------------|------------------|-------------------|---|
| 118 | User Acceptance Testing | 45 days | 4/14/2014 | 6/16/2014 | |
| 119 | User Acceptance Testing Execution | 40 days | 4/14/2014 | 6/9/2014 | Test Team |
| 120 | User Acceptance Testing Results Report | 5 days | 6/10/2014 | 6/16/2014 | Test Lead |
| 121 | Performance Testing Planning & Prep | 73 days | 2/26/2014 | 6/9/2014 | |
| 122 | Performance Test Plan | 38 days | 2/26/2014 | 4/18/2014 | |
| 123 | Draft Performance Test Plan | 10 days | 2/26/2014 | 3/11/2014 | Test Manager |
| 124 | Internal Review of Performance Test Plan | 5 days | 3/12/2014 | 3/18/2014 | Test Team |
| 125 | Update Performance Test Plan Based on Internal Review | 3 days | 3/19/2014 | 3/21/2014 | Test Manager |
| 126 | Submit Performance Test Plan | 0 days | 3/21/2014 | 3/21/2014 | |
| 127 | MQA Review of Performance Test Plan | 10 days | 3/24/2014 | 4/4/2014 | MQA Project Director, MQA Project Manager (Versa:Online), MQA Project Manager (Versa:Regulation/Mobile) |
| 128 | Update Performance Test Plan Based on MQA Review | 5 days | 4/7/2014 | 4/11/2014 | Test Manager |
| 129 | Submit Final Performance Test Plan | 0 days | 4/11/2014 | 4/11/2014 | |
| 130 | MQA Final Review of Performance Test Plan | 5 days | 4/14/2014 | 4/18/2014 | MQA Project Director, MQA Project Manager (Versa:Online), MQA Project Manager (Versa:Regulation/Mobile) |
| 131 | Performance Test Plan Approved | 0 days | 4/18/2014 | 4/18/2014 | |
| 132 | Performance Test Scripts | 55 days | 3/24/2014 | 6/9/2014 | |
| 133 | Identify Performance Test Scripts | 20 days | 3/24/2014 | 4/18/2014 | Test Team |
| 134 | Internal Review of Performance Test Scripts | 10 days | 4/21/2014 | 5/2/2014 | Test Team |
| 135 | Update Performance Test Scripts Based on Internal Review | 5 days | 5/5/2014 | 5/9/2014 | Test Manager |
| 136 | Submit Performance Test Scripts | 0 days | 5/9/2014 | 5/9/2014 | |
| 137 | MQA Review of Performance Test Scripts | 10 days | 5/12/2014 | 5/23/2014 | MQA Project Director, MQA Project Manager (Versa:Online), MQA Project Manager (Versa:Regulation/Mobile) |
| 138 | Update Performance Test Scripts Based on MQA Review | 5 days | 5/27/2014 | 6/2/2014 | Test Manager |
| 139 | Submit Final Performance Test Scripts | 0 days | 6/2/2014 | 6/2/2014 | |
| 140 | MQA Final Review of Performance Test Scripts | 5 days | 6/3/2014 | 6/9/2014 | MQA Project Director, MQA Project Manager (Versa:Online), MQA Project Manager (Versa:Regulation/Mobile) |
| 141 | Performance Test Scripts Approved | 0 days | 6/9/2014 | 6/9/2014 | |
| 142 | Build Performance Test Environment | 10 days | 4/21/2014 | 5/2/2014 | Technical Staff |
| 143 | Load Converted Data in Performance Test Environment | 10 days | 5/5/2014 | 5/16/2014 | Test Team |
| 144 | Performance Testing | 20 days | 5/19/2014 | 6/16/2014 | |
| 145 | Performance Testing Execution | 10 days | 5/19/2014 | 6/2/2014 | Test Team |
| 146 | Performance Testing Results Report | 10 days | 6/3/2014 | 6/16/2014 | Test Lead |
| 147 | Go Live Support Planning & Prep | 40 days | 5/5/2014 | 6/30/2014 | |
| 148 | Operations & Maintenance Plan | 40 days | 5/5/2014 | 6/30/2014 | PMO Team |
| 149 | Go Live Readiness Assessment | 20 days | 6/3/2014 | 6/30/2014 | OCM Lead, OCM Staff, PMO Team |
| 150 | Service Desk Support Training | 20 days | 6/3/2014 | 6/30/2014 | Training Staff |
| 151 | Go Live! - Versa:Regulation & Mobile | 0 days | 6/30/2014 | 6/30/2014 | |
| 152 | Phase II - Versa:Online | 125 days | 7/1/2014 | 12/30/2014 | |
| 153 | Implementation of Phase II Workflow | 40 days | 7/1/2014 | 8/26/2014 | |
| 154 | Gather Business Processing Rules Documentation | 10 days | 7/1/2014 | 7/15/2014 | Process Analysts, Process Consultant |
| 155 | Configure Workflow | 10 days | 7/16/2014 | 7/29/2014 | Process Analysts |
| 156 | Test Workflow Configuration | 10 days | 7/30/2014 | 8/12/2014 | Process Consultant |
| 157 | Finalize Workflow Configuration | 10 days | 8/13/2014 | 8/26/2014 | Process Analysts, Process Consultant |
| 158 | Implementation of Versa:Online | 60 days | 8/27/2014 | 11/20/2014 | |
| 159 | Gather Transaction Requirements Documentation | 20 days | 8/27/2014 | 9/24/2014 | MQA Project Manager (Versa:Online), Process Analysts, Process Consultant |
| 160 | Configure Versa:Online | 20 days | 9/25/2014 | 10/22/2014 | Process Consultant |
| 161 | Unit & Integration Testing | 20 days | 10/23/2014 | 11/20/2014 | Process Consultant |
| 162 | User Acceptance Testing Planning & Prep | 102 days | 7/1/2014 | 11/24/2014 | |
| 163 | User Acceptance Test Plan Update | 37 days | 7/1/2014 | 8/21/2014 | |
| 164 | Update User Acceptance Test Plan | 10 days | 7/1/2014 | 7/15/2014 | Test Manager |
| 165 | Internal Review of User Acceptance Test Plan | 5 days | 7/16/2014 | 7/22/2014 | Test Team |
| 166 | Update User Acceptance Test Plan Based on Internal Review | 2 days | 7/23/2014 | 7/24/2014 | Test Manager |
| 167 | Submit User Acceptance Test Plan | 0 days | 7/24/2014 | 7/24/2014 | |
| 168 | MQA Review of User Acceptance Test Plan | 10 days | 7/25/2014 | 8/7/2014 | MQA Project Director, MQA Project Manager (Versa:Online), MQA Project Manager (Versa:Regulation/Mobile) |
| 169 | Update User Acceptance Test Plan Based on MQA Review | 5 days | 8/8/2014 | 8/14/2014 | Test Manager |
| 170 | Submit Final User Acceptance Test Plan | 0 days | 8/14/2014 | 8/14/2014 | |
| 171 | MQA Final Review of User Acceptance Test Plan | 5 days | 8/15/2014 | 8/21/2014 | MQA Project Director, MQA Project Manager (Versa:Online), MQA Project Manager (Versa:Regulation/Mobile) |
| 172 | User Acceptance Test Plan Approved | 0 days | 8/21/2014 | 8/21/2014 | |
| 173 | User Acceptance Test Scripts | 65 days | 8/22/2014 | 11/24/2014 | |
| 174 | Draft User Acceptance Test Scripts | 20 days | 8/22/2014 | 9/19/2014 | Test Team |
| 175 | Internal Review of User Acceptance Test Scripts | 10 days | 9/22/2014 | 10/3/2014 | Test Team |
| 176 | Update User Acceptance Test Scripts Based on Internal Review | 5 days | 10/6/2014 | 10/10/2014 | Test Manager |
| 177 | Submit User Acceptance Test Scripts | 0 days | 10/10/2014 | 10/10/2014 | |

**FY 2013-14 SCHEDULE IV-B FEASIBILITY STUDY FOR
MQA MODERNIZATION PROJECT**

| | | | | | |
|-----|---|-----------------|----------------------------|----------------------------|---|
| 178 | MQA Review of User Acceptance Test Scripts | 10 days | 10/13/2014 | 10/24/2014 | MQA Project Director, MQA Project Manager (Versa:Online), MQA Project Manager (Versa:Regulation/Mobile) |
| 179 | Update User Acceptance Test Scripts Based on MQA Review | 10 days | 10/27/2014 | 11/7/2014 | Test Manager |
| 180 | Submit Final User Acceptance Test Scripts | 0 days | 11/7/2014 | 11/7/2014 | |
| 181 | MQA Final Review of User Acceptance Test Scripts | 10 days | 11/10/2014 | 11/24/2014 | MQA Project Director, MQA Project Manager (Versa:Online), MQA Project Manager (Versa:Regulation/Mobile) |
| 182 | User Acceptance Test Scripts Approved | 0 days | 11/24/2014 | 11/24/2014 | |
| 183 | Build User Acceptance Test Environment | 10 days | 10/23/2014 | 11/5/2014 | Technical Staff |
| 184 | Load Converted Data in UAT Environment | 5 days | 11/6/2014 | 11/13/2014 | Test Team |
| 185 | User Acceptance Testing | 25 days | 11/14/2014 | 12/22/2014 | |
| 186 | User Acceptance Testing Execution | 20 days | 11/14/2014 | 12/15/2014 | Test Team |
| 187 | User Acceptance Testing Results Report | 5 days | 12/16/2014 | 12/22/2014 | Test Lead |
| 188 | Performance Testing Planning & Prep | 73 days | 9/11/2014 | 12/26/2014 | |
| 189 | Update Performance Test Plan | 38 days | 9/11/2014 | 11/3/2014 | |
| 190 | Update Performance Test Plan | 10 days | 9/11/2014 | 9/24/2014 | Test Manager |
| 191 | Internal Review of Performance Test Plan | 5 days | 9/25/2014 | 10/1/2014 | Test Team |
| 192 | Update Performance Test Plan Based on Internal Review | 3 days | 10/2/2014 | 10/6/2014 | Test Manager |
| 193 | Submit Performance Test Plan | 0 days | 10/6/2014 | 10/6/2014 | |
| 194 | MQA Review of Performance Test Plan | 10 days | 10/7/2014 | 10/20/2014 | MQA Project Director, MQA Project Manager (Versa:Online), MQA Project Manager (Versa:Regulation/Mobile) |
| 195 | Update Performance Test Plan Based on MQA Review | 5 days | 10/21/2014 | 10/27/2014 | Test Manager |
| 196 | Submit Final Performance Test Plan | 0 days | 10/27/2014 | 10/27/2014 | |
| 197 | MQA Final Review of Performance Test Plan | 5 days | 10/28/2014 | 11/3/2014 | MQA Project Director, MQA Project Manager (Versa:Online), MQA Project Manager (Versa:Regulation/Mobile) |
| 198 | Performance Test Plan Approved | 0 days | 11/3/2014 | 11/3/2014 | |
| 199 | Performance Test Scripts | 55 days | 10/7/2014 | 12/26/2014 | |
| 200 | Identify Performance Test Scripts | 20 days | 10/7/2014 | 11/3/2014 | Test Team |
| 201 | Internal Review of Performance Test Scripts | 10 days | 11/4/2014 | 11/18/2014 | Test Team |
| 202 | Update Performance Test Scripts Based on Internal Review | 5 days | 11/19/2014 | 11/25/2014 | Test Manager |
| 203 | Submit Performance Test Scripts | 0 days | 11/25/2014 | 11/25/2014 | |
| 204 | MQA Review of Performance Test Scripts | 10 days | 11/26/2014 | 12/11/2014 | MQA Project Director, MQA Project Manager (Versa:Online), MQA Project Manager (Versa:Regulation/Mobile) |
| 205 | Update Performance Test Scripts Based on MQA Review | 5 days | 12/12/2014 | 12/18/2014 | Test Manager |
| 206 | Submit Final Performance Test Scripts | 0 days | 12/18/2014 | 12/18/2014 | |
| 207 | MQA Final Review of Performance Test Scripts | 5 days | 12/19/2014 | 12/26/2014 | MQA Project Director, MQA Project Manager (Versa:Online), MQA Project Manager (Versa:Regulation/Mobile) |
| 208 | Performance Test Scripts Approved | 0 days | 12/26/2014 | 12/26/2014 | |
| 209 | Build Performance Test Environment | 10 days | 11/4/2014 | 11/18/2014 | Technical Staff |
| 210 | Load Converted Data in Performance Test Environment | 10 days | 11/19/2014 | 12/4/2014 | Test Team |
| 211 | Performance Testing | 15 days | 12/5/2014 | 12/26/2014 | |
| 212 | Performance Testing Execution | 10 days | 12/5/2014 | 12/18/2014 | Test Team |
| 213 | Performance Testing Results Report | 5 days | 12/19/2014 | 12/26/2014 | Test Lead |
| 214 | Go Live Support Planning & Prep | 20 days | 12/2/2014 | 12/30/2014 | |
| 215 | Go Live Readiness Assessment | 20 days | 12/2/2014 | 12/30/2014 | OCM Lead, OCM Staff, PMO Team |
| 216 | Service Desk Support Training | 20 days | 12/2/2014 | 12/30/2014 | Training Staff |
| 217 | Go Live! - Versa:Regulation & Mobile | 0 days | 12/30/2014 | 12/30/2014 | |
| 218 | Versa:Online Pilot | 20 days | 12/30/2014 | 1/29/2015 | |
| 219 | Pilot Start | 0 days | 12/30/2014 | 12/30/2014 | |
| 220 | Pilot End | 0 days | 1/29/2015 | 1/29/2015 | |
| 221 | Versa:Online Rollout | 80 days | 1/30/2015 | 5/21/2015 | |
| 222 | Versa:Online Rollout 1 (50 License Types) | 20 days | 1/30/2015 | 2/26/2015 | Implementation Support Staff |
| 223 | Versa:Online Rollout 2 (50 License Types) | 20 days | 2/27/2015 | 3/26/2015 | Implementation Support Staff |
| 224 | Versa:Online Rollout 3 (50 License Types) | 20 days | 3/27/2015 | 4/23/2015 | Implementation Support Staff |
| 225 | Versa:Online Rollout 4 (65 License Types) | 20 days | 4/24/2015 | 5/21/2015 | Implementation Support Staff |
| 226 | Operations and Maintenance Support | 252 days | 7/1/2014 | 6/30/2015 | |
| 227 | O & M Support | 252 days | 7/1/2014 | 6/30/2015 | Implementation Support Staff, PMO Team |
| 228 | Monitoring & Control | 500 days | 7/1/2013 | 6/24/2015 | |
| 229 | Bi-Weekly Status Reports | 500 days | 7/1/2013 | 6/24/2015 | Vendor Project Manager, PMO Lead, IV&V Team, PMO Team |
| 230 | Bi-Weekly Status Meetings | 500 days | 7/1/2013 | 6/24/2015 | Vendor Project Manager, PMO Lead, IV&V Team, PMO Team |
| 231 | Bi-Weekly Schedule Maintenance | 500 days | 7/1/2013 | 6/24/2015 | Vendor Project Manager, PMO Lead, IV&V Team, PMO Team |
| 232 | Issue & Action Item Management | 500 days | 7/1/2013 | 6/24/2015 | Vendor Project Manager, PMO Lead, IV&V Team, PMO Team |
| 233 | Risk Management | 500 days | 7/1/2013 | 6/24/2015 | Vendor Project Manager, PMO Lead, IV&V Team, PMO Team |
| 234 | Scope Management | 500 days | 7/1/2013 | 6/24/2015 | Vendor Project Manager, PMO Lead, IV&V Team, PMO Team |

**FY 2013-14 SCHEDULE IV-B FEASIBILITY STUDY FOR
MQA MODERNIZATION PROJECT**

| ID | Name | Duration | Start Date | Finish Date | Resource(s) |
|-----------|---|-----------------|-------------------|--------------------|---|
| 235 | Warranty | 252 days | 7/1/2014 | 6/30/2015 | |
| 236 | Warranty - Phase I | 126 days | 7/1/2014 | 12/31/2014 | Warranty Team |
| 237 | Warranty - Phase II | 126 days | 1/2/2015 | 6/30/2015 | |
| 238 | Project Closing | 11 days | 6/11/2015 | 6/25/2015 | |
| 239 | Review Issues Log | 1 day | 6/11/2015 | 6/11/2015 | PMO Lead |
| 240 | Inventory and Archive Project Artifacts | 1 day | 6/12/2015 | 6/12/2015 | PMO Team |
| 241 | Draft Lessons Learned | 5 days | 6/15/2015 | 6/19/2015 | PMO Team |
| 242 | Review Lessons Learned with MQA | 1 day | 6/22/2015 | 6/22/2015 | PMO Lead, MQA Project Director, MQA Project Manager (Versa:Online), MQA Project Manager (Versa:Regulation/Mobile) |
| 243 | Prepare for Project Closeout Meeting | 2 days | 6/23/2015 | 6/24/2015 | PMO Lead |
| 244 | Project Closeout Meeting | 1 day | 6/25/2015 | 6/25/2015 | PMO Lead, MQA Project Director, MQA Project Manager (Versa:Online), MQA Project Manager (Versa:Regulation/Mobile) |
| 245 | Contract End | 0 days | 6/25/2015 | 6/25/2015 | |

Table A-1 – Preliminary MQA Transformation Project Schedule

B. SSRC Hardware Estimates



Adobe Acrobat
Document

C. CBA Forms



20121011 Appendix
C_CBA Forms_Final.x

D. Risk Analysis Tool



Appendix D--Risk
Analysis Tool 201209

E. LicenseEase (COMPAS) Enhancement List

Following identifies code enhancements made to LicenseEase (COMPAS). Analysis needs to be performed to determine how many of these will be addressed with upgrade.

| Reference # | Type of Change | Description |
|-------------------------|----------------|--|
| 2004-011 | | N1 Default security level.doc |
| 2004-013 | | N3 Letter button on compliance screen.doc |
| 2004-016A | | N6 Discipline Disp Tolled and Stayed. |
| 2004-020A | | N10 Confidential Work Product Notes |
| 2004-001 | | A8 Changes to AAA4 - Expire Applications |
| 2004-002 | | A10 Add detail records to confirmation of print file processing |
| 2004-003 | | A13 Web Account and Password |
| 2004-005 (and Gap AL27) | | A12 FDLE Background Check Submission |
| 2004-006 | | E2 Add exam history in EX13 |
| 2004-009 | | I3 Inspection List.doc |
| 2004-018 | | Default Complaint Status |
| 2004-023 | | N12 Enforcement- Inspection exports |
| 2004-024 | | RN/ANRP Upgrade Temp License |
| 2004-025 | | Additional Training LE Sys Admin |
| 2004-020B | | N10 Confidential Work Product Notes |
| 2004-026 | | Ability to Change Profession code in NF12 |
| 2004-028 | | We need to have the ability to run the chronological reports from the NF12 screen. |
| 2004-029 | | Amendments to the Chronological Report |
| 2004-016B | | N6 Discipline Disp Tolled and Stayed. |
| 2004-031 | | RSD Indicator columns .doc |
| 2004-030 | | Education RSD (Exam Stats Report) |
| 2004-027 | | Add the responsible party code to the name |
| 2004-032 | | Deposit number and date displayed on CA16 Find Cash Receipts |
| 2004-033 | | Final Order Reference Number |
| 2004-034 | | Validation number Automatic/Manual |
| 2004-035 | | Discipline Alerts - Modifier Alerts |
| 2004-036 | | Provide Certificate Number History |

FY 2013-14 SCHEDULE IV-B FEASIBILITY STUDY FOR
MQA MODERNIZATION PROJECT

| Reference # | Type of Change | Description |
|-----------------------|----------------|--|
| 2004-039 | | Add validation number |
| 2004-041 | | Grade Report Query |
| 2004-043 | | Admission Card Formatting |
| 2004-037 | | Mass discipline update |
| 2004-044 | | Display the disciplinary status of the delinquent licensee |
| 2004-045 | | Ability to record cash batches with non-sequential validation numbers |
| 2004-046 | | Scope for web account and password |
| 2004-051 | | Make RSD Configurable in the AFP view - to resolve printing Prescriber Numbers and other data from hisotric RSDs that are not printing |
| 2004-052 | | Create Maintenance screen for Configurable RSDs - Companion PCR to PCR 2004-051 |
| 2004-053 | | Add Mail Date to the Grade Report |
| 2004-054 | | Change the restriction for the requirement of a FO# to allow entry of Accession # and/or Rec Control # within the complaint on the FO tab and on the Mass Final Order Update screen. |
| 2004-055 | | Addition of client code to the chronology report |
| 2004-056 | | Exam provider management - modify Education RSD to allow for In State, Out of State, and Foreign codes. Check with IT for schema changes as indicated in Notes. |
| 2004-059 | | Automatic Population of Repetitive Data in Fields on the Mass Final Order Update Screen (flmq03) |
| 2004-062 | | FLMQ39 Report needs to allow option to select sort order similar to parameter screen for Master Inspection Report |
| 2004-063 | | Replace county code with Country for the FTP interface and the demographics update. |
| 2004-064 | | Score report formatting and score upload. |
| 2004-065 | | ALB4 - Reset License Status |
| 2004-066 | | Alphabetize the Eligible Candidate List on the EX11 screen. |
| 2004-067 | | Modifications to FLMQ39 Write Inspections Report |
| 2004-068 and CQ 18198 | | Modify the ALC4 report to include the certificate number. |
| 2004-069 | | Add the PRAES Document Number to LicenseEase (COMPAS) flmq16 screen. |

**FY 2013-14 SCHEDULE IV-B FEASIBILITY STUDY FOR
MQA MODERNIZATION PROJECT**

| Reference # | Type of Change | Description |
|-----------------------|-----------------------|---|
| 2004-070 | | Modify AL24 list screen to include the license number |
| 2004-073 | | EMS Address Clean Up Data Patch |
| 2004-074 | | EMS License Status Data Patch |
| 2004-075 | | Assign License Number to Temporary licenses for Rad Techs to maintain the same # throughout temporary and permanent license. |
| 2005-076 | | NREMT Interface file needed to upload EMT scores into LicenseEase (COMPAS). |
| 2005-077 | | Make se20 name search case insensitive |
| 2005-078 and CQ 20710 | | Exclude Military Only License Status from FDLE Batch Process Extract - flmq53 |
| 2005-084 | | Compliance Monitoring Enhancement |
| 2005-079 | | Modify the programs for batch scheduling of inspections to allow fiscal year scheduling. |
| 2005-080 and CQ 23450 | | Establish default values for CE Credit Code, CE Provider Number, CE Start Date, CE End Date, CE Credit Hours, and CE Requirement fields when creating new 7611 CE courses via the 1020 transaction (board 8076) |
| 2005-082 | | Product Registration Functionality Gap |
| 2005-083 | | Modify application transactions to search for all open, pending or closed complaints/cases no matter if it is a public case. Also, need enforcement module modified to search for respondents in the license module if there is no license tied to the respondent to confirm that they did not receive a license after the case was opened. |
| 2006-085 | | Modify flmq63 to calculate the derived score for Exam Type 'L'. The formula is overall score from ARRT divided by 145 multiplied by 100. |
| 2006-086 | | Addition of both the enhanced imaging functionality and the Drugs, Devices and Cosmetics (DDC) requirements to the existing mobile inspection (CMIP) functionality. |
| 2006-087 | | Modify LicenseEase (COMPAS) inspector's admin setup include a clone feature that would clone the setup for one inspector to a newly created inspector. The purpose is to provide a quick and easy feature to copy one inspector's setup to another. |
| 2007-089 | | Password protection when accessing LicenseEase (COMPAS) from CMIP |

FY 2013-14 SCHEDULE IV-B FEASIBILITY STUDY FOR
MQA MODERNIZATION PROJECT

| Reference # | Type of Change | Description |
|-----------------------|----------------|--|
| 2007-091 | | CMIP-Update Schema. |
| 2007-092 and CQ 33537 | | Add a method to conduct audits on financial responsibility (similar to CE32) |
| 2004-004 | | A14 App & Cash APIs |
| 2004-014B | | N4 Carry forward compliance data.doc |
| 2004-058 | | Experior/C.N.A Interface for exchange of testing data. |
| Gap AL1 | | Unassociated Documents function See also AL20. Document repository screen |
| Gap AL2 | | (Use algorithms to set expiration dates for Nursing, Medicine, and CNAs.) Renewal cycles and expiry dates RELEASE NOTES\RN060.doc RELEASE NOTES\RN061.doc 'Changeover' method in PRAES based on ALPSO values. see RAES\RAESspecs\al\alz1spec |
| Gap AL5 | | Link county to inspection region in set-up table IRM20022.doc |
| Gap AL6 | | In AL12 display status imposed by enforcement on license (suspension) in addition to status imposed by expiry of license (delinquency). \RELEASE NOTES\IRM20025.doc \RELEASE NOTES\IRM20038.doc |
| Gap AL7 | | This is for CE audit select and report. Is this still needed? Include activity status in selection criteria for ALBE and ALCE \RELEASE NOTES\IRM20039.doc |
| Gap AL13 | | AL11 - selection by certificate number. Is this still needed? |
| Gap AL17 | | Micrographics Index (Conversion - RBDMDT, RBDMGI) |
| Gap AL19 | | Required Supporting Modifiers (Conversion - RBDPSM) |

FY 2013-14 SCHEDULE IV-B FEASIBILITY STUDY FOR
MQA MODERNIZATION PROJECT

| Reference # | Type of Change | Description |
|-----------------------|----------------|---|
| Gap AL32 | | The following APIs are needed to service requests from the MQA web site code. create Application apply cash to application create miscellaneous charge apply cash to miscellaneous charge |
| Gap AL33 | | The RAES program ALB2 is used to assign new statuses to licenses after a given period of time in the current status. LicenseEase (COMPAS) does not have such a program. |
| Gap CA2 | | “Separate cash batches for Image API” Need separate streams of batch numbers and validation numbers for Image API. |
| Gap CA5 | | The SAMAS interface • access to the individual transactions in any summary batch through the on-line system |
| Gap CA6 | | The SAMAS interface needs the ability to 1.) process returned checks information; 2.) process unassigned cash and report on it when it is assigned; 3.) process refund information |
| Gap CA9 | | The SAMAS interface - a method to research a single check that paid for multiple licenses across professions |
| Gap CA17 and Gap CA05 | | Allow miscellaneous payments to be searched by Name or SS#. Once found need to see payment amount, receipting information and source codes. RELEASE NOTES\RN039.doc |
| Gap CA20 | | Payment by journal transfer “without recording to FLAIR”. Password needed for administrative checks. RELEASE NOTES\RN055.doc |
| Gap CA24 | | New programs FEA1 & FEA2 modifications needed to display accounting transaction program to provide for name search. RELEASE NOTES\RN039.doc |
| Gap CA27 | | Fee' Reports - Cash Report Enhancements: Bad Check Report, Unassigned Cash Report |

FY 2013-14 SCHEDULE IV-B FEASIBILITY STUDY FOR
MQA MODERNIZATION PROJECT

| Reference # | Type of Change | Description |
|-------------|----------------|---|
| Gap CA28 | | Default Remitter: Modify Cash Entry and RP so that a remitter record is automatically created for each receipt using a default "Unknown remitter" entity. Set bad check alerts for all beneficiaries of a receipt. |
| Gap EX2 | | Exam Sites RELEASE NOTES\RN004.doc to allow for selection of exam sites. |
| Gap EX3 | | Exam Structure RELEASE NOTES\RN005.doc RELEASE NOTES\RN008.doc (retake frequency, retake count) |
| Gap EX4 | | Exam Scheduling RELEASE NOTES\RN006.doc RELEASE NOTES\RN009.doc |
| Gap EX5 | | School Categories RELEASE NOTES\RN007.doc |
| Gap EX6 | | Multi-part grade reports and admission cards RELEASE NOTES\RN012.doc RELEASE NOTES\RN013.doc |
| Gap EX7 | | Rosters and exports (5 Reports) RELEASE NOTES\RN015.doc RELEASE NOTES\RN016.doc RELEASE NOTES\RN017.doc RELEASE NOTES\RN018.doc |
| Gap EX8 | | Approved Candidates list RN052.doc |
| Gap EX14 | | Modify Exam Statistics Report RELEASE NOTES\RN010.doc |
| Gap EX16 | | LicenseEase (COMPAS) does not allow addition of exam history through the maintenance form. The PRAES version of exam history maintenance does |
| Gap IN1 | | Next Periodic Inspection rules |

FY 2013-14 SCHEDULE IV-B FEASIBILITY STUDY FOR
MQA MODERNIZATION PROJECT

| Reference # | Type of Change | Description |
|-------------|----------------|--|
| Gap IN2 | | Change the default setting when requesting the next periodic inspection for new or change of location / ownership to always be "Routine" and then if a change needs to be made, it can be done manually RELEASE NOTES\RN048.doc |
| Gap IN3 | | When requesting the next periodic inspection after a new or change of location / ownership inspection, the next periodic inspection defaults to be the same as the completed inspection. This causes a problem with the new or changes of location / ownership reports in that the inspection has already been done. |
| Gap IN4 | | Inspections are based on the current PL address. IN70 only will pull inspections that are scheduled using the current (PL) address. When an address is changed, the License Address Number referenced by the Inspection no longer refers to a current address. There then is now a new License Address Number for this individual or facility, which means the requested inspection that exists, is for a historical address. When an address is changed in License Maintenance and an incomplete inspection is created for the record, a new inspection for the new address should be scheduled in order for that inspection to appear on the Master Inspection List (IN70). This situation will reoccur whenever an address is changed for a license that has a scheduled inspection. RELEASE NOTES\RN050.doc |
| Gap NF1 | | Automatic Letters on status change or addition of activity \RELEASE NOTES\RN003.doc RELEASE NOTES\RN021.doc |
| Gap NF2 | | Mass entry of compliance due dates \RELEASE NOTES\IRM20028.doc |
| Gap NF3 | | Streamline complaint entry \RELEASE NOTES\RN003.doc |
| Gap NF4 | | Custom sorting of complaint search. RELEASE NOTES\RN036.doc |
| Gap NF5 | | Closed health claims (3 in 5 rule) \RELEASE NOTES\RN002.doc |

FY 2013-14 SCHEDULE IV-B FEASIBILITY STUDY FOR
MQA MODERNIZATION PROJECT

| Reference # | Type of Change | Description |
|-------------|----------------|--|
| Gap NF6 | | Create an easy selection of one or more complaints from the MQ01-U screen to view multiple complaints without having to go to the cc50 screen to pull up each complaint individually and then return to MQ01-U screen. Include respondent's first name or initial for identification of appropriate respondent with multiple complaint/cases. Primary sort should be by last name, first name with secondary sort by complaint/case number. Complainant name should be blocked or sanitized for all public cases. SEE ALSO NF16 |
| Gap NF8 | | Prevent closure depending on disposition code. SEE ALSO NF13 |
| Gap NF9 | | Mass Final Order update. Request data entry screen similar to MQ02 and MQ03 screen for mass entry of state record control and accession numbers and microfilm roll and batch numbers assigned to closed cases. |
| Gap NF10 | | Identify the operator responsible for changes to complaints/cases in the PRAES system. |
| Gap NF11 | | Enforcement Measurement Statistics Report RELEASE NOTES\RN040.doc RELEASE NOTES\RN041.doc |
| Gap NF13 | | Block changes to status or activities after a case has been closed excepting a certain specified list of items. These mods limited changes to complaints after a given status was reached and required that the changes be applied to the subsequent cases instead. They also limited the changes that could be done to cases after closure. RELEASE NOTES\IRM20006.doc \RELEASE NOTES\IRM2001001.doc SEE ALSO NF8 |

FY 2013-14 SCHEDULE IV-B FEASIBILITY STUDY FOR
MQA MODERNIZATION PROJECT

| Reference # | Type of Change | Description |
|-----------------|----------------|---|
| NF14 CQ52574 | | After entering information on the MQ02 Mass Status Update screen, the option to print the report upon completion is presented. The report currently pulls the Respondent name into the report along with all the information that was entered. This request is to pull the Respondent Profession Code into the report as well. \RELEASE NOTES\IRM20028.doc CQ Ticket: LicenseEase (COMPAS) labels located under the Mass Status Update screen (nf17). A request to change how the labels print |
| Gap NF16 | | MQA specific programs RELEASE NOTES\RN026.doc SEE ALSO NF6 |
| Gap NF17 | | LABELS ??? RELEASE NOTES\RN014.doc |
| Gap NF18 | | Involved party letters. RELEASE NOTES\RN020.doc |
| Gap NF19 | | Complaint chronology RELEASE NOTES\RN024.doc |
| Gap NF21 | | Delete disposition changes RELEASE NOTES\RN044.doc |
| Gap NF24 | | Appeal Decision LOV (Conversion - RBDAPD) |
| Gap NF25 | | Enforcement Reports (3 Reports) |
| Gap IS1 | Interface | Nursing interface |
| Gap IS4 | Interface | Image API RELEASE NOTES/IRM0100146.doc RELEASE NOTES/IRM2002001.doc From Contract item 4: Print confirmation by license Batch update interface for demographics, addresses, RSDs |
| Gap IS5 | Interface | CNA interface RELEASE NOTES\RN042.doc RELEASE NOTES\IRM2001005.doc |

FY 2013-14 SCHEDULE IV-B FEASIBILITY STUDY FOR
MQA MODERNIZATION PROJECT

| Reference # | Type of Change | Description |
|----------------------------------|------------------------------|--|
| Gap IS7 | Interface | Lockbox |
| Gap IS8 | Interface | Validation printing RELEASE NOTES\RN035.doc |
| Gap IS9 | Interface | AFP table (License and Renewal Print) Report for "ALB7" (License Run) currently provides very limited information. Request that the report be modified to include the following information: File Number, Rank Code, License Number, Name, Document Type, Approved Transaction (i.e., 1020, 2020, etc.), and Certificate Number |
| Gap IS10 | Interface | The program that inserts records into the AFP table has been modified to include Account ID's and Passwords for all host document types. Additionally, the program that inserts records into AFP table has also been modified to create the account and password upon approval of a licensure transactions, host document type of 02, when an account id and password do not exist. The program that extracts information from the AFP table has also modified to include the Account Ids and Passwords in the AFP extract. This is the file sent to the vendor for license printing. IRM20022924.pdf |
| Gap IS11 | Interface | Print Confirmation Interface |
| Gap IS17 | Interface | FLAIR Interface |
| Gap IS22 | Interface | Batch Control Subsystem |
| CQ049835 | Defect | Cash Record Error |
| CQ037235 CQ052887 CQ052896 | Defect | Miscellaneous sales receipt shows paid cash receipt shows in unassigned payment; Miscellaneous sales issue with administrative fines and cost fees; Misc. Fee Calculation Error |
| CQ050699 | Defect | Cash Error |
| CQ052565 | Defect | Delete LicenseEase (COMPAS) Complaint #200904140 |
| CQ053639 | Defect | Add Validation to NF18 for clnt_publ_cse_rsn_id |
| CQ053710 | Defect | Modify inspection trigger for Pharmacy inspections |
| | Conversion and Configuration | Move email address from RSDs (RSD10/Optional Information) to Address module. Also allow multiple current email addresses. |

FY 2013-14 SCHEDULE IV-B FEASIBILITY STUDY FOR
MQA MODERNIZATION PROJECT

| Reference # | Type of Change | Description |
|--|-----------------|--|
| CQ046917 | Interface | Modify upload program for Rad Tech/EMT & Paramedics (FLMQ63 and FLMQ68) |
| CQ047960 | Screen | Sort order on Complaint History screen (nf32) and Disposition date on nf17 |
| CQ048886 | Interface | Need an automated uploaded for background screening results |
| CQ049562 | Screen | LicenseEase (COMPAS) force a disposition code entry for status 120 |
| CQ049855 CQ051886 | Interface | Nursing Orders Transmitting to NURSYS |
| CQ050119 CQ050998 CQ051546 CQ052853 | Interface | Automation of file uploads for national vendors. Score Automation for PT/PTA; Automation of score upload for Occupational Therapy; Dental Score Extract and Dental Hygiene; Opticianry |
| CQ50882 | Interface | Automate approval of examination applications for EMT |
| CQ051608 | Interface | Report modification flmq58 Exam Upload Report |
| CQ052334 | Screen | PMC Inspection form 440 - deficiency code be assigned for violation entry in LicenseEase (COMPAS) |
| CQ053806 | Schema/View | letter view modification ==> uv_disc_by_lic, uv_crim_by_lic, uv_disc_by_app, uv_crim_by_app <== |
| CQ052398 | Screen | LicenseEase (COMPAS) Enforcement Disposition Closed Date Validation |
| CQ048478 | Interface | FLMQ63 - Validate file name has not been run in update mode |
| CQ043685 | Interface | Place individual school report from FLMQ34 into seperate module |
| CQ053777 | Screen | Changes to license denial process |
| CQ053017 | Screen | Maintain Involved Parties Address Issue |
| CQ053119 | Schema/ Trigger | Automatically add Matching SSN Modifier to All new files with matching SSN's |
| CQ050112 | Schema/ Trigger | Request for Change in 1401 3010 Upgrade |
| CQ050224 CQ051414 CQ051416 CQ052466 CQ053613 | Interface | Mobile Inspections |
| CQ046658 | Screen | Ability to Add and Change within Compliance Module (nf21) |

FY 2013-14 SCHEDULE IV-B FEASIBILITY STUDY FOR
MQA MODERNIZATION PROJECT

| Reference # | Type of Change | Description |
|-------------|-------------------|---|
| CQ047849 | Screen | New other payer configuration screens for client 9801. (dhal01) |
| CQ049312 | Screen | Modify flmq01 Find Public Complaint by Respondent Screen |
| CQ053712 | Screen/ Schema | LicenseEase (COMPAS) - Compliance needs additional Fields and Logic added to NF26 Screen |
| CQ050592 | Screen | Mass Filing Update Changes for LicenseEase (COMPAS) |
| CQ050791 | Interface | Request for enhancement/modification to flmq58 (CNA Exam Import) |
| CQ049168 | Screen | LicenseEase (COMPAS) validation program extension |
| CQ043219 | Screen | Create a form in LicenseEase (COMPAS) to Update Missing License Methods in the Lic table |
| CQ043770 | Screen | Develop screen to enter multiple violations |
| CQ045078 | Interface | ex26 and ex27 LicenseEase (COMPAS) Report Changes |
| CQ050668 | Report | Unassigned Cash Report- Exporting to Excel |
| CQ052106 | Screen | flmq73 - Complaint Compliance Tracking Screen - Typographical Error |
| NEW | Screen | Mass Address Update - develop the ability to update all of the address for an involved party for open cases. For example: An attorney changes office locations. |
| NEW | Screen/Letter | PSU Closure letters - develop functionality to support generating closure letters based upon specific disposition and closure codes. Create contact history record. |
| NEW | Interface | Ability to generate letter and save image record in Department's image repository |
| NEW | Business Analysis | Analysis of enforcement processes to determine modifications to VR base package to accommodate their business processes. (ISU, PSU, CSU, CMU, ULA, and Central Records/Clerk's office) |
| NEW | Alerts | Add alert to enforcement screen if respondent address is not marked as confidential, but license address is marked confidential |
| NEW | Screen | Need ability to change involved party type without deleting the entire involved party record and re-entering the information. For example, moving/changing an attorney from the current attorney to the former attorney |

**FY 2013-14 SCHEDULE IV-B FEASIBILITY STUDY FOR
MQA MODERNIZATION PROJECT**

| Reference # | Type of Change | Description |
|--------------------|-----------------------|--|
| CQ13767 | | Develop an automated process for contact history interfacing through the LicenseEase (COMPAS) application modeled on the flmq33 - Demographics Update Interface. Contact history table (cntct_hist) elements should be updated as a result of the process as well as a RSD Type: RSD1, Table: RSD12 Admin Tasks, RSD column: RSD55 Date Verified (if value is present in file). |
| CQ20711 | Schema | Task: Exclude Military Only License Status from FDLE Batch Process Extract - flmq53 Due: 10/01/2005 |
| CQ25224 / CQ25225 | Schema | Complaint Screen (nf12) - Notify respondent address change Complaint Screen (nf12) - Error check on the address (zip code and county) |
| CQ25660 | Report | Develop a report to support the compliance monitoring project: |
| CQ26456 | Schema | When creating a complaint in LicenseEase (COMPAS), the user is given 2 options for saving the complaint. One is to click the "Save" button and they remain in the complaint and the other option is to click on the "OK" button and this will save the complaint and then take you out of the complaint so that another one can be created. Currently the user receives no notification that the complaint was save in the enforcement module. Task: Create a message indicating that the complaint was saved. |
| CQ27511 | Schema/ Screen | Modify the alc1 screen to allow querying of a range of license numbers and file numbers. |
| CQ27807 | Report | Create Oracle report for RSD Date Validation based on SQL in Attachments. Search parameters will be the Client Code. Sort order can be defined by user, have them choose from the fields listed in the order by statement in the SQL attachment. Report name should be "RSD Date Validity Report" |
| CQ27808 | Report | Create DOB Data Integrity Report for Birthdates < 18 and > 100 |
| CQ27859 | Schema/ Screen | Modify LicenseEase (COMPAS) address module so that users are given a warning when they attempt to modify the PL address for certain professions (establishments only). |

**FY 2013-14 SCHEDULE IV-B FEASIBILITY STUDY FOR
MQA MODERNIZATION PROJECT**

| Reference # | Type of Change | Description |
|--------------------|-----------------------|---|
| CQ27865 | Schema/ Screen | Research the possibility of adding a supervisor to the security screens in LicenseEase (COMPAS) (maybe SE20). Determine if functionality already exists in LicenseEase (COMPAS) to capture the supervisor for each user, otherwise add a field to capture this. This will be used for Enforcement reporting purposes to provide staff productivity reports. Currently, the on-line reporting team maintains a table in the datamart that has to be manually updated when a change in staff occurs. |
| CQ27994 | Report | Develop a report in LicenseEase (COMPAS) to display all revenue transactions approved during a time period. The parameters that should be user defined are the following: breakdown of counts by board code or by client code, date range of approved applications. The sort order can be fixed to order by the client code, this option does not need to be defined by the user. Fields required for display are client code/board code, client/board description, count of approved revenue transactions. |
| CQ28468 | Report | Create a LicenseEase (COMPAS) report display One Time Fees paid by mail-in (do not include fees paid online). See attached email for specifications. |
| CQ28504 | Interface | Interface crystal reports with LicenseEase (COMPAS) using URLs. |
| CQ28814 | Schema/ Screen | Research the ability to add a field to display the licensee file number. Please see attached. |
| CQ28815 | Report | Report: Alc4 Related License Report Issue: Not pulling relationship SU-ME Task: Investigate changes made to the report and correct. |
| CQ28823 | Report | Please add a report to the Reports in LicenseEase (COMPAS) under applications that will allow users to run a report of all applications by transaction and status. The report should allow users to choose basic data (name, ssn, birthdate) to be included in the report. |
| CQ29505 | Report | Create a report for a Data Integrity Missing Data Report for the following missing items in a pick list for the FDLE project: S... |
| CQ30143 | Report | Create a data integrity report that identifies open manual hold transactions. Model form after AAAB (Open Application Report). A similar query can be found under AAAA (Open Application Deficiency Report). Model report after AAAB. |
| CQ30144 | Report | Create a data integrity report that identifies any applicant or licensee that has a missing address for MA or PL. Model form and report after DI03 (PO Box Clean-Up). |

**FY 2013-14 SCHEDULE IV-B FEASIBILITY STUDY FOR
MQA MODERNIZATION PROJECT**

| Reference # | Type of Change | Description |
|--------------------|-----------------------|--|
| CQ30145 | Report | Create a report for flmq24 that captures the '06' document types when a print file is created. Model after the current flmq24 reports. |
| CQ30217 | Report | Testing Services needs to have a custom report created either in LicenseEase (COMPAS) OR on the Datamart. This report will bring together information from 3 currently-existing LicenseEase (COMPAS) reports (flmq27, ex26, and flmq34) and add information that is currently not available from any location, but that was previously available from PRAES. |
| CQ30227 | Schema | Modify the print file packages (flmq24.pkg, flmq24_afp_extract & vw_flmq_afp) to make the print file the correct length when extracting 06 document type. |
| CQ30427 | Schema/ Screen | Addresses: Has been disciplined al12.fmb : Set msg and msg_sta ALIGNMENT property to ALIGNMENT_CENTER ** IMPORTANT: This ticket to be promoted in combination with CQ30425 for nf19.fmx. |
| CQ30432 | Report | Modify CE32 report to include subtotals for the total number of licensees that have passed the audit (have 'P' in pass_status column) and the total number of licensees that have failed the audit. These totals should be displayed similar to the ALC1 'Final Report Summary'. |
| CQ30559 | Schema/ Screen | Research the ability to modify flmq68 to allow the new file format. Please see attached. |

FY 2013-14 SCHEDULE IV-B FEASIBILITY STUDY FOR
MQA MODERNIZATION PROJECT

| Reference # | Type of Change | Description |
|-------------|----------------|--|
| CQ30594 | Schema/ Screen | <p>Add the security questions asked on MQA Services Reporting System (questions staff are to ask licensee before giving ID and password) to LicenseEase (COMPAS) for the Web ID and Password RSD.</p> <p>History and Modification Description: (1/29/2007)</p> <p>Currently, MQA staff can look up licensee's web account user ID and password that is needed to login to the MQA Online Services using the MQA on-line intranet application, Licensee Account Information. There is a series of 4 questions that must be answered correctly before providing this information to a customer. This is the standard procedure followed by the Call Center when distributing this information to a licensee.</p> <p>There also exists a screen in LicenseEase (COMPAS), flmq43 Maintain Web User, that displays the web user ID and password. Some staff in the board office currently use this screen and provide the information to the licensee or caller. It can be accessed from the Work Selection menu.</p> <p>In an effort to reduce the risk of providing a web user ID and password to the incorrect person:</p> <ol style="list-style-type: none"> 1. Modify the LicenseEase (COMPAS) flmq43 screen to include the same 4 security questions that are used in the MQA Licensee Account Information Lookup Application. The Response fields will pre-populate with the licensee's account information. The 4 questions are: <ul style="list-style-type: none"> • What is the licensee's name? • What are the last four digits of the licensee's SSN? • What is the licensee's date of birth? • What is the licensee's current mailing address? |
| CQ30610 | Interface | <p>Modify flmq58 to check the length of the remaining fields in the file to avoid an incomplete load of applicant demographic & address information.</p> |
| CQ30692 | Report | <p>Modify the flmq56 Score Report to update the mail date on the candidate record, even if a date already exists and the score is PASS. The program should be modified to update the candidate's mail date in all instance, regardless of Pass or Fail status, and regardless of if the mail date is null or populated.</p> |
| CQ31000 | Report | <p>Data Integrity Report - Clean up report for Profiling records with data but no check mark</p> |

FY 2013-14 SCHEDULE IV-B FEASIBILITY STUDY FOR
MQA MODERNIZATION PROJECT

| Reference # | Type of Change | Description |
|-------------|----------------|--|
| CQ31084 | Report | <p>flmqa26 (Exam Roster Report) does not function properly for any of the six exams that require it. The Board 8007 Board of Dentistry Dental Examination – New Format has the following issues:</p> <p>'X' printed in every box Too many columns Not enough space to enter in a booklet number Booklet heading is too narrow</p> <p>Expected Outcome:</p> <p>Boxes are only populated with an 'X' if the candidate is not scheduled for the particular part/section. This will also eliminate some of the columns that are not needed. Please see attachment '8020 - Opticianry State Board Exam.jpg' for an example of how to populate the 'X'. Please see outcome in #1 above. Box to write the booklet number needs to be widened The heading for 'Booklet' needs to be widened so that it will fit all on one line</p> <p>Additional Information:</p> <p>There are 6 different exams that use this report. The Dental exam is the next scheduled exam where this report is required (March 22 – 25, 2007). In the past this report has been coded to handle exams that have only parts and exams that have parts and sections; however all six exams have issues and none function as expected. There is some hard coding in the program because the report for this profession/exam has an 'Orientation' section that is required for the report but is not part of the exam set-up in LicenseEase (COMPAS). Please see the attached Issue Matrix and exam screen shots as examples. Need to determine if a separate program is required for each report or for each type (parts only and parts/sections).</p> |
| CQ31114 | Schema | Optimize flmq22 to exclude I and X class xacts after 3 days. |
| CQ31365 | Schema | Modify LicenseEase (COMPAS) login with validate to prevent the special character '#' in the password since this causes some reports not to run. |
| CQ31566 | Schema | Remove characters zero, one, lower case L, and upper case O from from the password generation routine for new applicants. |
| CQ32024 | Schema | Modify se20 to update Event Time Stamp and Event Oper Id in stff_supvr |

FY 2013-14 SCHEDULE IV-B FEASIBILITY STUDY FOR
MQA MODERNIZATION PROJECT

| Reference # | Type of Change | Description |
|-------------|----------------|---|
| CQ32082 | Schema/ Screen | Please increase the number of characters allowed in the units field on Misc Sales screen ca13. Please see attachedment |
| CQ32093 | Interface | Optimize FLMQ34. Users are receiving time outs. Also, correct issues stated in e-mail attachment. |
| CQ32270 | Schema | <p>Jeane is requesting that we add functionality for SSS to configure the professions for the inspection delete functionality (when lic status goes to 46 or higher), however, I think her needs might be accommodated without a screen and new functionality. The professions that delete an inspection when the license status goes to 46 or above are hard coded (from the PCR 79 code drop). They are in trigger trg_flmq92_lic. We need to include additional professions in this trigger.</p> <p>Currently, if the profession code is 704, 1402, 2205, 2003 or 6502 and the license status > 46, then any open inspection requests are removed.</p> <p>Modify the trigger "trg_flmq92_lic" to also remove the inspection requests when the license status > 46 to include the following additional professions: 1501, 1506, 1507, 1513, 1901, 1701, 701, 2101 and 1801.</p> <p>Program Name : flmq92_lic.trg Version : 4.2 Author : jbilton and the license type is one of 704, 1402, 2205, 2003 or 6502 Create Date : Jul 23, 2006</p> |
| CQ32352 | Schema | Please add responsible party first name and last name added to the LV_COMPLAINT view in the LE schema. This is the same info found in the LV_COMPLAINT.CO_STFF_KEY_NME column (in last name, first name), but the info is needed in 'First name Last Name' order. We would like this info in two separate columns so it can used in future letters as required. In addition, we would like this information formatted in proper case (First letter capitalized with all remaining letters in lowercase). The use of the INITCAP function should take care of this requirement. |
| CQ32590 | Schema | Please update the time stamp and user id trigger on AA45 when exam history is deleted from ex13. |

FY 2013-14 SCHEDULE IV-B FEASIBILITY STUDY FOR
MQA MODERNIZATION PROJECT

| Reference # | Type of Change | Description |
|-------------|----------------|---|
| CQ32794 | Report | <p>It was brought to our attention last night that MQA was sending out grade reports for client 2501 and 7601 with the wrong pass/fail status. Upon investigation, it was determined that staff was not using LicenseEase (COMPAS) to generate these grade reports. After meeting with the staff this morning, it was determined that the formats that are currently available in LicenseEase (COMPAS), does not give the user everything that they need. Below are suggestions on how we can accommodate their needs:</p> <p>Client 2501 - Clone ex27 and make a few modifications to be specific to 2501 Only print fails for 2501 Modify the grade report to exclude the minimum pass field Allow printing of grade reports by upload date range Print text from ex27 on bottom of grade report</p> <p>Client 7601 - Has its own grade notice program flmq66 Modify to only print, fails, no shows and expired grade notices Create a text box like ex27. Then print on bottom of grade report</p> |

FY 2013-14 SCHEDULE IV-B FEASIBILITY STUDY FOR
MQA MODERNIZATION PROJECT

| Reference # | Type of Change | Description |
|-------------|----------------|---|
| CQ33023 | Report | <p>I tried the alcg report in lepard and received the following error. 'Can not display report at this time. Report not found.' I'm not sure if this report has ever functioned. Please submit a ClearQuest ticket so we can get an Oracle Reports developer to investigate this for us.</p> <p>Cindy *** 6/13/2007 3:27:59 PM: SWIER, CINDY - Ticket reassigned to MQA00 - SYSTEMS SUPPORT - COMPAS/PRAES *** 6/13/2007 3:08:49 PM: ANDRES, JESSICA X - Ticket reassigned to APPLICATION SUPPORT - MQAAPPS *** 6/13/2007 3:04:57 PM: OSTERHOUSE, DONALD - This ticket needs to be re-assigned; came to Data Management Reports in error. Thank you. *** 6/13/2007 3:04:57 PM: OSTERHOUSE, DONALD - Ticket reassigned to DOH IT CUSTOMER SERVICE CENTER *** 6/13/2007 2:50:52 PM: ANDRES, JESSICA X - Ticket reassigned to MQA01 - SYSTEMS SUPPORT - DATA MANAGEMENT- REPORTS *** 6/13/2007 2:49:36 PM: Stover, Robert - Please forward to Linda Day's group in IT. Thanks.</p> <p>Rob *** 6/13/2007 2:49:36 PM: Stover, Robert - Ticket reassigned to DOH IT CUSTOMER SERVICE CENTER *** 6/12/2007 9:26:09 AM: GALLO, CHRISTOPHER - Rob is researching this. *** 6/4/2007 9:39:19 AM: GALLO, CHRISTOPHER - Rob is researching this. *** 5/30/2007 2:51:49 PM: Stover, Robert - Rob is researching this. *** 5/30/2007 2:51:49 PM: Stover, Robert - Status updated to IN PROGRESS *** 5/30/2007 2:44:53 PM: ANDRES, JESSICA X - Ticket reassigned to MQA00 - SYSTEMS SUPPORT - COMPAS/PRAES *** 5/30/2007 2:43:23 PM: - I am unable to generate a report using the "Unsupported Related License Report" (alcg). I have tried it using client 8005 and client 501 with no luck.</p> |
| CQ33031 | Report | <p>ex27 admission card grade report - For client 2001 (OPI) our psychometrician has requested that the pass/fail status be removed for the sections of the clinical exam. There should be a pass/fail status for the clinical part as a whole, for the Lens Neutralization part, and for the overall exam, but not for the individual sections of the clinical.</p> |
| CQ33033 | Report | <p>The title in the header of the nfa2 Compliance Due/Overdue Report needs to be updated to be consistent with the report title on the menu. Currently, when you run the report, the header says ' Compliance History Report'.</p> |

FY 2013-14 SCHEDULE IV-B FEASIBILITY STUDY FOR
MQA MODERNIZATION PROJECT

| Reference # | Type of Change | Description |
|-------------|----------------|--|
| CQ33194 | Report | <p>Develop a report to support the compliance monitoring project:</p> <p>4 Referral Report Monthly Batch Report – Data Mart MQA IT</p> <p>Please see attached document for report samples/layout.</p> |
| CQ33358 | Report | <p>Modify the nfa2 - compliance due/overdue report to allow the option of generating the report by Board or by compliance officer.</p> |
| CQ33444 | Report | <p>Research the ability to modify the Compliance Due/Overdue Report so that anything with a referral date "falls off" the report for overdue.</p> |
| CQ33555 | Schema | <p>A new method is being requested for conducting an audit of licensee's required to have financial responsibility.</p> <p>Currently we audit licensees for compliance with their continuing education credits through the CE32 screen in LicenseEase (COMPAS). This list is then compared to the CEBroker file and marks everyone as "passed" that is compliant in CEBroker. The rest are asked to provide proof of their continuing educations credits.</p> <p>CEBroker does not collect information on financial responsibility. A method is being requested to pull a list of names for a financial responsibility audit that will not "compare" to the CEBroker system.</p> <p>We are requesting a module similar to CE32 for financial responsibility with the modifier.</p> <p>Generate a random list of active licensees 30 - 60 days after the renewal period ends (use module similar to CE32). These licensees will be required to show proof of their financial responsibility selection they made at the time of renewal.</p> <p>Most of the professions that require financial responsibility at the time of renewal were previously being audited by the Board offices. This responsibility is now in the Practitioner Auditing Services Unit. They will have a documented process very similar to CE audits.</p> |
| CQ33882 | Screen | <p>a new LicenseEase (COMPAS) screen to be used for Mass IP Address Updates, similar to Mass Activity Update and Mass Status Update screens</p> |

**FY 2013-14 SCHEDULE IV-B FEASIBILITY STUDY FOR
MQA MODERNIZATION PROJECT**

| Reference # | Type of Change | Description |
|--------------------|-----------------------|--|
| CQ34243 | Schema | Modify apz3 to allow user id to be captured when running datamart reports for Workforce Survey |
| CQ35186 | Interface | 7601 BMO only The system (LicenseEase (COMPAS)) converts the raw score received from the vendor to a derrived score and appears to be rounding up those scores. A raw score of 95 and above is passing. LicenseEase (COMPAS) appears to be rounding scores of 93 and 94 up to passing derrived score of 65. Please fix this so we do not license anyone in error. |
| CQ35209 | Interface | As part of the Application Status check application, the program that creates the web user Id and password will be run when the initial transaction is opened instead of just at renewal and license approval. In addition, the program will continue to run at renewal. This will also be useful as part of the online initial application project once the data is uploaded to LicenseEase (COMPAS) and the initial transaction is opened. |
| CQ35325 | Interface | The new testing vendor is requesting a different exam eligibility format. Please see the attached e-mail. I need to know if this is a change that can be made by your office. |
| CQ35584 | Schema | Create the form, package, etc. to move open applications to expired similar to the Cancel Application module (aa14) under the application drop-down. |
| CQ35607 | Schema | 12/4 - Update API call to check for duplicate addres line 1 and 2. If Line 2 is a duplicate, then ignore it (don't use it) and proceed with creating the print file. |
| CQ35634 | Schema/ Trigger | Modify the batch inspections trigger (trigger trg_flmq92_lic) to include the DDC professions (board 8023). Create a data patc... |
| CQ35692 | Report | CE entered on the "flmq74" screen does not show in the chronology report or in history. Please add this to LicenseEase (COMPAS). |
| CQ35833 | Report | dxa501 - Profession Transaction Summary Report - Selection Criteria is misspelled after running the report |
| CQ35886 | Report | di05 - Missing PL Address Report - Its pulling files that do not have an active status.(Example Error, Delete, Expired, Withdrew |
| CQ35887 | Schema/ Screen | Please change the find screen for License RSD's data to come up in alpha order by description. Please see attachment for detail of screen. |

FY 2013-14 SCHEDULE IV-B FEASIBILITY STUDY FOR
MQA MODERNIZATION PROJECT

| Reference # | Type of Change | Description |
|-------------|----------------|---|
| CQ36038 | Schema/ Screen | Please add a disposition date in the nf17- Mass Status update screen. Right now the disposition code is the only feature that is available in LicenseEase (COMPAS). A disposition date is needed when a disposition code is entered. Please see attached document. |
| CQ36298 | Interface | Modify the flmq63 report/exam upload to be similar to the ex24 report where you can run the report before actually doing the upload. The user can then correct errors in the file before actually running the upload so that they will not get rejects. Also need to correct the 'page can not be displayed error' that occurs when the report is executed. An error report should be produced when running the upload to identify records that were successfully loaded and those that were not. Currently, the user has to manually go into LicenseEase (COMPAS) and check which ones loaded and which were rejected. |
| CQ36422 | Schema/ Screen | <p>Add Completion Date, Action Date, and Action Reason to Application Header Screen (aa21). These are the dates used for HCPR Performance Measure Tracking of 30 and 90 Day Measures.</p> <p>The Completion Date field needs the following edit checks:</p> <ol style="list-style-type: none"> 1. Completion Date cannot be in the future 2. Completion Date cannot be prior to Application Date <p>The Action Date field needs the following edit checks:</p> <ol style="list-style-type: none"> 1. Action Date cannot be in the future 2. Action Date cannot be prior to Completion Date 3. Can not have an Action Date if Completion Date does not exist. <p>The Action Reason field needs to be a drop down LOV. These values can be found in le.appl_hcpr_act_desc.</p> <p>Once the user enters data into Completion Date, Action Date, or Action Reason fields, a row will need to be inserted into table le.appl_hcpr to populate the corresponding columns app_comp_dte, app_closed_dte, appl_hcpr_act_desc_id. le.appl_hcpr is a child table that references le.appl via applc_id. The primary key for le.appl_hcpr is applc_id, so once a record exists for the application, changes to will need to be updated instead of inserted. Table appl_hcpr will also need to have the timestamp (evnt_tme_stmp) and the stff_oper_id populated with the appropriate data with each insert or update.</p> |

**FY 2013-14 SCHEDULE IV-B FEASIBILITY STUDY FOR
MQA MODERNIZATION PROJECT**

| Reference # | Type of Change | Description |
|--------------------|-----------------------|---|
| CQ36764 | Schema/ View | <p>We need to pull the Licencee's Web User Name and Password into LicenseEase (COMPAS) into our letters. We've added the view into to LicenseEase (COMPAS) so that it appears in the pull down menu in Test, but when I ran test on it those areas didn't populate. I didn't get an error message or anything it just didn't populate. Please Help!</p> <p>This is the view that we entered into LicenseEase (COMPAS) LV_WEB_BASIC_DATA</p> |
| CQ36820 | Schema/ Interface | <p>Review current business processes and LicenseEase (COMPAS) functionality. Identify areas where the business process may be supported by LicenseEase (COMPAS) and make modifications needed to reduce manual manipulation of data. Include review and modify LicenseEase (COMPAS) set-ups, review and modify exam upload to support the business process and modify licensure methods to support the business process.</p> |
| CQ36821 | Schema | <p>Objid5036 (20070524) meant to fix Enforcement data (Create compliance type "Fine" is not generating a "Misc" sales item) instead created records where the xent_id was incorrectly changed.</p> |
| CQ36944 | Interface | <p>For the Prometric (client 4401) exam interface, please map all request coming in from Prometric as a code 7- Puerto Rican, to our code in LicenseEase (COMPAS) of 6- Hispanic. This will allow MQA to create CNA applicants using the exam interface for this code.</p> |

**FY 2013-14 SCHEDULE IV-B FEASIBILITY STUDY FOR
MQA MODERNIZATION PROJECT**

| Reference # | Type of Change | Description |
|-------------|----------------|---|
| CQ36970 | Schema/ Screen | <p>Per discussions, if a SSN is entered on the xe10 screen (not PIN or FEIN type) please add the following validation. Check data against a set of data validity rules* Check for the proper 9 digit pattern: 111-11-1111 Check for special numbers which will never be valid:</p> <p>a. Currently, a valid SSN cannot have an area number above 772, the highest area number which the Social Security Administration has allocated.[2]</p> <p>There are also special numbers which will never be allocated:</p> <p>Numbers with all zeros in any digit group (000-xx-xxxx, xxx-00-xxxx, xxx-xx-0000). Numbers of the form 666-xx-xxxx, probably due to the potential controversy (see Number of the Beast). Though the omission of this area number is not acknowledged by the SSA, it remains unassigned. Numbers from 987-65-4320 to 987-65-4329 are reserved for use in advertisements. Finally, there is a set of numbers that have been invalidated: 078051120,042103580, 062360749, 078051120, 095073645, 128036045, 135016629, 141186941, 165167999, 165187999, 165207999, 165227999, 165247999, 189092294.</p> <p>Also, please keep in mind that the SSN is NOT a required field</p> |
| CQ37181 | Report | <p>The board offices would like to remove all non-valid and bad checks from the (ca37) Unassigned Payment Report. They are in the process of cleaning of cleaning up the payments, but a lot of the payments are of these types.</p> |
| CQ37233 | Interface | <p>Right now when we receive new info from the (4401) vendor and the licensee has a null and void license (Status 60) the name does not update when the new file is created. It also does not populate the PL address. This causes licenses to not to automatically be issued when the scores come in. Is there any way to change this so the address and name will update when the new file is created?</p> |
| CQ37238 | Schema/ Screen | <p>The CE component (flmq74) in the compliance module does not automatically flag the licensure side when a CE obligation is in default. We need the information under the CE tab (flmq74) to flag the licensure side when in default just as the information under the compliance tab (nf26)</p> |

**FY 2013-14 SCHEDULE IV-B FEASIBILITY STUDY FOR
MQA MODERNIZATION PROJECT**

| Reference # | Type of Change | Description |
|--------------------|-----------------------|--|
| | | currently does. |
| CQ37310 | Schema | This project involves cloning the existing Level 1 Interface program (used by Profiling) for CNA Level 1 requests required for Licensure applicants. Applicants in this profession don't have a file number/profession on the file coming in because they complete this step prior to applying to the Department. This ticket will build on the work in CQ Ticket 35499. |
| CQ37538 | Report | When running the Unassigned Cash Report (ca37), I noticed as you get farther into the report that eventually the batch numbers are getting cut off of the report, usually after about page 8. Please see the attached document for the example. |
| CQ37637 | Interface | Requesting to have the vendor download for client 4401 not change addresses in any other client besides 4401 |
| CQ37696 | Report | http://dohswas10.doh.state.fl.us:7781/batchreports/flmq68_425647_03272008152815.pdf Entire report says license already issued and all 181 rejected. Same as the 141 from 3/10/2008 Please help so we dont have to hand enter. client 2501 |
| CQ37812 | Schema/ Screen | xe15 Contact History screen does not show the Application # for the letter. For example, with client 1701, file number 363443, the application number of 1188402 is not shown for the Deficiency Letter sent on 12/28/07 (even though the appl id is in the database for this contact history record). The data is in the database when you query it, it looks like the query is just not selecting the fields back for display. Same for complaint number, inspection #, etc. |
| CQ37850 | Schema/ Screen | The board offices would like for there to be a withdrew application module in the application drop-down at the top of the LicenseEase (COMPAS) screen. This would work exactly like the deny application module works right now in LicenseEase (COMPAS). It would set the open transaction to withdrew, and set the license status to withdrew. Please see attachment for where to find in LicenseEase (COMPAS). |
| CQ37890 | Report | The Unassigned Cash reports in LicenseEase (COMPAS) are not working at all. Please see attached copy of the request for 7/1/07-4/1/08 for 8025 and 8076. Other offices are reporting the same. Please look at this as soon as possible. Please see attachment. |

**FY 2013-14 SCHEDULE IV-B FEASIBILITY STUDY FOR
MQA MODERNIZATION PROJECT**

| Reference # | Type of Change | Description |
|--------------------|-----------------------|---|
| CQ38119 | Schema | Licensing and Auditing Services Unit would like to request a new status added to the CE23 screen for audit status. We need a status called "LASU Hold". Please see attachment for example. |
| CQ38197 | Report | We would like to add some fields to the Remittance Processing Payment and Application Approval Report. We would like to add a field for Transaction Type after the License #. Also we would like to add a user id from LicenseEase (COMPAS) that worked the transaction. This would come after the "status" field on the report. Let me know if you need more info from me. |
| CQ38252 | Interface | Please change the Experior interface to uppercase the city, regardless of the case in the file we get from Experior. |
| CQ38532 | Alerts | Enforcement is requesting that LicenseEase (COMPAS) generate an alert when a case is pulled up on the enforcement side and the MA address is different than on the licensure side. This is just for the mailing address. The alert could state "Enforc. address differs than license". |
| CQ38553 | Schema | Create new table on dohsdb10 to track report module request statistics |
| CQ38273 | Report | Create a report to identify stranded RP records in -3 status |
| CQ38849 | Interface | flmq54 (FDLE Background Check Results Upload) is not uploading correctly. |
| CQ38971 | Report | FDLE FLMQ54 report needs a column added to include the name of the unsuccessful record |
| CQ39066 | Extract | Modify the Rad Tech extract files that are sent to ARRT based on their proposed file layout. Combine 3 extract files and only send one extract file. Work with Data Integration team to get the daily file encrypted and moved. Keep the date in the file name. |
| CQ39585 | | An PLSQL error is thrown ORA-06502: PL/SQL: numeric or value error ORA-01403: no data found on complaint 200601534 in the Mass Activity Update screen. |
| CQ39686 | Schema | Remove the error in CA11 that the user with View only access sees if there are no Open batches. |
| CQ39971 | Report | Please modify the ca34 (Refund Report) to include the date the refund was issued. |
| CQ40069 | Interface | Client 4401, we are still having problems with some files where the PL address is not being created when the file is received from our vendor (Experior). |
| CQ40071 | Interface | Gary, this is a follow-up to our meeting with the EMS board. They would like an electronic exchange with NREMT on the exams. |

**FY 2013-14 SCHEDULE IV-B FEASIBILITY STUDY FOR
MQA MODERNIZATION PROJECT**

| Reference # | Type of Change | Description |
|--------------------|-----------------------|--|
| CQ40157 | Report | Please add professions 2001 - Optician and 2203 - Consultant Pharmacist to the drop down list for report dxa505 - Generate Renewal Notice. |
| CQ40237 | Extract | Please add the following professions to dxa505 - generate renewal notice 1501 - Medical Doctor 1515 - Anesthesiologist Assistant 6001 - Diagnostic Radiological Physicist 6002 - Therapeutic Radiological Physicist 6003 - Medical Nuclear Radiological Physicist 6004 - Medical Health Physicist |
| CQ40435 | Trigger | Modify the trigger that deletes pending inspections (disposition 'RQST', definition 'D', and status 'O') if the status is >=46. Add 2320, 2329, 2331, 2332, and 2355 to the trigger. There are some duplicates that look like they can be removed (i.e. 2327). Please remove 2399, 2326, and 2380 from the trigger. |
| CQ40649 | Schema | Is it possible to make the collections date field in the Compliance Module limited to "today's" date only? Please see attached screen shot. |
| CQ40650 | Schema/ Screen | The Compliance Unit would like a referred date field added to the flmq74 LicenseEase (COMPAS) screen. |
| CQ40652 | Schema/ Screen | The Compliance Unit is wanting to add a received date to the LicenseEase (COMPAS) flmq74 module. Please see the attachment. |
| CQ40664 | Report | Please add the following clients to the dxa505 report: 5201 - Clinical Social Work, 5202 - Marriage and Family Therapist, 5203 - Mental Health Counselor, 5207 - Social Work Intern, 5208 - Marriage and Family Intern, 5209 - Mental Health Intern, 5401 - Certified Master Social Worker. |
| CQ40683 | Report | Please add the following clients to the dxa505 report: 1801 - Optometry, 1802 - Optometry Branch, 2205 - Pharmacy, 3601 Hearing Aid Specialist, 5601 - Occupational Therapist, 5602 - Occupational Therapy Assistant. |

FY 2013-14 SCHEDULE IV-B FEASIBILITY STUDY FOR
MQA MODERNIZATION PROJECT

| Reference # | Type of Change | Description |
|-------------|----------------|---|
| CQ40764 | Schema | <p>Modify LicenseEase (COMPAS) to match PL Address validation in MQA Online Services. (see ticket 40686)</p> <p>We have found that licensees are putting in None or N/A in the PL address field at time of renewal. Please see the attached print screens.</p> <p>from ticket 34378: Need to add a quality check to on-line address updates to NOT ALLOW the following list for the PL type Address 1, Address 2, Address 3 and City :</p> <p>Unknown, NA, N/A, N.A. Not practicing, Currently Not practicing None, Confidential (No indicator set) Not Applicable.</p> |

FY 2013-14 SCHEDULE IV-B FEASIBILITY STUDY FOR
MQA MODERNIZATION PROJECT

| Reference # | Type of Change | Description |
|-------------|----------------|--|
| CQ40808 | View | <p>Please create a new letter view so that the deficiencies from all of the checklist items can be pulled instead of just the ones in write letter. Please see James's sql below from Test:</p> <pre> SELECT NVL(DC.defcn_txt, DC.defcn_desc) as deficiency from DEFCN_HIST DF, APPL AP, LIC L, DEFCN_RSN_CDE DC, CKLST_ACTV CA , XACT_ACTV_DEFN XD where AP.applc_id = DF.applc_id and L.lic_id = AP.lic_id and DC.defcn_id = DF.defcn_id and CA.cklst_actv_id = DF.cklst_actv_id and XD.xact_actv_defn_id = CA.xact_actv_defn_id --AND XD.xact_actv_cde = 'LETTER' and df.clr_tme_stmp is null and l.clnt_cde = 2501 and l.file_nbr = 87078 </pre> <p>Signature missing from application. CPR/ACLS No Back Showing Date of Birth Insufficient money received</p> |
| CQ40925 | Schema | <p>I want to know if the "Has Been disciplined" indicator that is generated by going to LicenseEase (COMPAS) screen flmq52 can be automatically generated any time a status of Suspension, Revocation, Probation, Obligations, Disciplinary Relinquishment, Reprimand is added to the Compliance Discipline field.</p> |
| CQ41071 | Schema | <p>The reset program (flmq57) cannot handle null secondary statuses. This prevents many licenses from moving over to their intended statuses. Make changes to the program to allow NULL secondary statuses to be affected by the program as well.</p> |

**FY 2013-14 SCHEDULE IV-B FEASIBILITY STUDY FOR
MQA MODERNIZATION PROJECT**

| Reference # | Type of Change | Description |
|-------------|----------------|--|
| CQ41283 | | <p>I researched this back to 2006, see the below screen shot that demonstrates the issued occurred at that time as well for a deposit in 2006 , deposit number 167198 for profession 2502. With that, I feel it is safe to say that it is not related to the missing application number issue.</p> <p>As Nicole stated, RP was not originally intended to handle bulk Remitter/Beneficiary receipts however since the functionality is being utilized, the issue is now to determine why RP is assigning the money in duplicate and verify if a program code modification will correct future use of RP for bulk renewals.</p> |
| CQ41337 | Schema/ Screen | Add a field to the flmq16 Document Repository screen for the Team #. This should be a drop down value containing the values Team 1 - Team 10. The field should be located under the Assigned Checkbox and above the Application ID field. This will be used by boards for routing mail that is scanned prior to working the file (Paperless Project with BON - upfront scanning). |
| CQ41424 | Schema | Client 2501 and 2502 - The board office is unable to input a PO box into the PL address. This is currently enabled for online systems however LicenseEase (COMPAS) will not allow it. Example: Client 2502 License # 235 - Unable to change PL to match MA. |
| CQ41458 | | Add unique constraint for Device Name on the device table and Display Message on lp41 screen. |
| CQ41579 | Schema | Do not allow users to enter alpha characters in the transaction code field in the ap53 form. |

FY 2013-14 SCHEDULE IV-B FEASIBILITY STUDY FOR
MQA MODERNIZATION PROJECT

| Reference # | Type of Change | Description |
|-------------|----------------|---|
| CQ41838 | Interface | <p>Gary, these are the scores that need to be changed to a zero. The following is the message from Candy:</p> <p>File number Part 17872 7 17900 7 17883 5 17323 7 17533 7 17741 7 17547 4 & 7 17769 5 & 7 17800 4 17632 7 17876 7 17921 5 & 7 17885 5 17886 5 17917 7 17923 5 17898 7</p> <p>Gary - Currently the candidates have a score of .01</p> |
| CQ41846 | | <p>Please modify the reset program to move delinquent licenses that have a manual hold on their records to null and void. Also, please modify the expiry program to move licenses that have a manual hold on their record to delinquent status.</p> |

FY 2013-14 SCHEDULE IV-B FEASIBILITY STUDY FOR
MQA MODERNIZATION PROJECT

| Reference # | Type of Change | Description |
|-------------|----------------|--|
| CQ41869 | Report | <p>"Optimize FLMQ34. Users are receiving time outs. Also, correct issues stated in e-mail attachment." I have attached your e-mail for your review.</p> <p>The notes in the ticket stated: "Report optimized and SQL separated into multiple .sql files. Report will be promoted to LicenseEase (COMPAS) Production Wednesday August 29, 2007. Individual school report will be complete as adhoc requests by Abby's group."</p> <p>I will be happy to reopen the ticket. Can you please provide examples of the reports and what the correct numbers should be. I will attach it to the ticket.</p> <p>Testing Services would like to have a date range field added to the FLMQ34 report.</p> |
| CQ41920 | Interface | <p>As part of the Rad Tech flmq63 upload for failed candidates, (CQ38620) we are cancelling licensure transactions when a candidate fails. Due to this please add Cancelled Applications to the aa11 Advanced Search.</p> |
| CQ41923 | Report | <p>Add date range as a required parameter and validate that the date range is not greater than 3 years. Modify report font to look like other LicenseEase (COMPAS) reports too.</p> <p>Adding this validation will prevent long running report formatting jobs. For instance, on 01/28 a user ran the report for all approved 2020's for profession 2201 with the total count of 83212. This report was long running and hung other reports preventing them from completing. The dhap01 had to be cancelled by the DBA. Although some professions like 1701 may return a large count, adding this validation will reduce the chances of small professions causing other users reporting needs to hang.</p> |
| CQ42053 | Alerts | <p>Need an alert that will pop-up on an open case when a practitioners license status has been moved to deceased.</p> |

FY 2013-14 SCHEDULE IV-B FEASIBILITY STUDY FOR
MQA MODERNIZATION PROJECT

| Reference # | Type of Change | Description |
|-------------|----------------|---|
| CQ42099 | Report | <p>Create a summary report to generate when flmq35 is run nightly.</p> <p>It will be similar to flmq35...</p> <p>Title will be FLAIR Extract Summary Report</p> <p>It will be grouped by Deposit #, Batch #</p> <p>Ordered by Deposit #, Deposit Date, Batch #</p> <p>Columns will be Deposit #, Deposit Date, Batch #, Batch Total</p> <p>And where BI (Bookkeeping Indicator) <> 'N'.</p> |
| CQ42206 | Schema/ Screen | As part of the PRO Project - add a new screen in LicenseEase (COMPAS) Enforcement Module that will support tracking the orders and filings for each complaint. Please see attached requirements document. |
| CQ42207 | Schema | Heres a little problem that I found... The application date that Image API enters when they are entering our profile info must not have any safety parameters set on it. At the beginning of the new year they forgot and put January 2008 on some of our files. One slipped through unnoticed and was worked and approved- now its on a report as being over a year old when we first worked it. Can you put a restriction in LicenseEase (COMPAS) so staff cannot enter a date further than 120 days from the past. |
| CQ42208 | Report | Testing Services would like to have a date range field added to the FLMQ34 report. Thanks. |
| CQ42416 | Schema | Based on discussions for Pharmacy Techs, Cindy brought up the point that manual holds disappear when the 'regenerate' button is pushed on the header screen. This ticket is to make sure that this checklist item remains on the transaction until it is manually cleared. |
| CQ42614 | Extract | Develop extract to create the file for the 120 day letters to replace the current Image API process. Mindy and Cindy will generate the file at the same time that the renewal print file is created and also update the contact history. |
| CQ42651 | Report | Please add the license numbers to the flmq63(Radiologic Technician Exam Score flmq63) and flmq68(EMT Exam Results Import) reports. |

FY 2013-14 SCHEDULE IV-B FEASIBILITY STUDY FOR
MQA MODERNIZATION PROJECT

| Reference # | Type of Change | Description |
|-------------|----------------|--|
| CQ42768 | Extract | <p>Found a BXMO on the export file that has not been approved to test- just a 9013 has been approved.</p> <p>The checklist items for the applicants 1010 were all checked off but the app wasn't set to approve. I approved the 1010 and the follow-up has been opened.</p> <p>I haven't done anything with the follow-up (add modifiers, etc...).</p> <p>User only needs this to work when they have approved applications.</p> |
| CQ42774 | Trigger | Please modify the inspection trigger that assigns the periodic inspections so that client 2302 receives a periodic inspection every year. |
| CQ43197 | Schema | Allow from broad assignment of codes with multiple payer codes for an entity linked to multiple transaction definitions to granular with one payer code for one transaction definition. |
| CQ43216 | Schema | I have been meeting with the PL address workgroup and they have come up with several recommendations on how to eliminate the issue that we have with practitioners that hold an active license but are not currently practicing their profession. |
| CQ43227 | Extract | LicenseEase (COMPAS) module flmq57 will not run successfully if scheduled for later (i.e. run through the batch scheduler). The problem is with the expiry date parameter in the procedure call. All dates should be passed in as a VARCHAR and then casted back to the date format within the procedure code. This causes an execution error and the program never runs. This same issue was found with pkg_doh09. |
| CQ43577 | Schema/ Screen | I need for the feature that populates an automatic date in the Collection tab on the nf26 screen to be removed. When this feature is tabbed through to get to the note section it is sending this case to the collections data base. We need to have to manually enter this date. |
| CQ43578 | Schema | On screen nf25, I need for the Termination date to be manually entered when the length and duration information is entered. |
| CQ43839 | Schema | Profession 502 (Chiropractic Faculty Certificate) does not have have a age limit for applicants in their laws and rules. They have an applicant right now that is 15 that needs to be put into LicenseEase (COMPAS). Please adjust the birthdate field in LicenseEase (COMPAS) for this profession. |

FY 2013-14 SCHEDULE IV-B FEASIBILITY STUDY FOR
MQA MODERNIZATION PROJECT

| Reference # | Type of Change | Description |
|-------------|----------------|--|
| CQ43899 | Schema | On the flmq16 Document Repository Screen - any time you make a change or save the record, the message that the SSN of the file selected and the SSN entered on the Doc Repos screen do not match. This occurs even if no file has been selected. The message should only be displayed when a file # has been selected into the record. If one of the SSN fields is blank, then it should not attempt to match and should not display an error message. |
| CQ44024 | View | Please create a letter view that pulls the Other Payer Code (other_payer_codes.OP_CDE), Start Date (other_payer_codes.START_DTE), End Date (other_payer_codes.END_DTE), Profession Name (clnt.clnt_long_nme) and transaction description (xact_defn.xact_desc) where the xact_other_payer_codes.CURR_IND is 'Y' . |
| CQ44536 | Schema | Please allow P O Boxes for PL addresses for Rad Techs in LicenseEase (COMPAS) and Online Systems. This request is the same that we had done for EMT/Paramedics several months ago. |
| CQ44620 | Schema | On flmq16, when searching on the last name D'Amico, the results do not come back with the correct names. Can this be changed so apostrophes in name fields are searchable? They also have requested to ability to keep the information in the search screen, so they can correct misspellings without having to re-enter the entire search again. Sometimes they will search from the flmq16 screen, but maybe have a misspelling in last name, so their results do not come back on the results screen. So when they return to searching, they'd like to have a way to keep the info that they had previously input. |
| CQ44779 | View | Is there a way that we can have a view that will pull in info from the Parties Tab. Right now I'm only able to pull in the patient's information when using the FULL_NME1 => uv_patient_info and also I can use IP_FULL_NME => lv_invl_party to pull in the Patient's information as well. But I don't see a way to pull in parties such Subject Attorney's, Risk Managers, Physicians etc. |

**FY 2013-14 SCHEDULE IV-B FEASIBILITY STUDY FOR
MQA MODERNIZATION PROJECT**

| Reference # | Type of Change | Description |
|--------------------|-----------------------|---|
| CQ44820 | Schema/ Screen | <p>Create a data edit on the LicenseEase (COMPAS) screen(s) where name additions or changes are made to trim any leading spaces.</p> <p>Do a data patch to correct all name records with the leading space issue.</p> <p>This issue was identified by searching for ARNP9214586 on License Verification using her name. She could not be found by her last name, only by her license number. After researching in LicenseEase (COMPAS), we determined that her last name had a leading space, " Stewart", and that was why she could not be found on the website.</p> |
| CQ45647 | Interface | Modify SB1986 upload program to accept a file from Image API, load the responses, and insert Image API into the operator ID field. Need to set up a naming convention, file layout, and FTP location. |
| CQ45654 | Schema/ Screen | Add Deficiency Reason Codes to the Manual Hold checklist item in LicenseEase (COMPAS) for Manual Hold Types in MQA Initial Apps |
| CQ45892 | Interface | Please modify the upload program to identify the users as Prometric instead of Experior. |
| CQ45893 | Interface | Automatic download of the file received on the FTP site for the CNA exam candidates from the test vendor Prometric to LicenseEase (COMPAS). |
| CQ45894 | Interface | Add Prometric's "file" number as an identifier in LicenseEase (COMPAS) during the daily download from the FTP site. This will assist the Board with identifying duplicates |
| CQ46121 | Schema | Modify dhal01 Other Payer to validate on Board Code - please refer to ticket 43197 if needed for full screen specs. |
| CQ46292 | Extract | The daily export to the NREMT for 2501 only is sending information that is really messing up our folks trying to test. All appli... |
| CQ46319 | Interface | Please modify the LicenseEase (COMPAS) upload program to recognize the Under 18 modifier alert. Modifications to the Online system will be mad... |
| CQ46378 | | Please see the attached print screen. Upon our research, it was discovered the the money that is being received by credit card... |
| CQ46474 | Extract | Would it be possible to include "expired" licensees in the FLMQ60 report. We would like to be able to dump ASRT continuing education in expired licensees. |
| CQ46590 | View | We need a LicenseEase (COMPAS) letter merge field that would pull in the applicant's completion date from the AP90 screen in LicenseEase (COMPAS). |

FY 2013-14 SCHEDULE IV-B FEASIBILITY STUDY FOR
MQA MODERNIZATION PROJECT

| Reference # | Type of Change | Description |
|-------------|----------------|--|
| CQ46915 | Schema | It occurred to me this morning that our deficiency letter view will pick the manual hold deficiency and add it to the letter. The users that I have talked with don't want this. Is there anyway to exclude this from being returned in the letter. |
| CQ46919 | Schema | Is there a way to use BD_RANK_CDE and BD_RANK_DESC codes on the Enforcement side of LicenseEase (COMPAS). Right now the LV_BASIC_DATA view won't work on the Enforcement side. |
| CQ46930 | | <p>Update the 21 Day Deficiency/Confirmation Job to Include Group 1 Initial Apps Professions and add adhoc report in LicenseEase (COMPAS)</p> <p>21 day DEFCN_LTR e-mail: clnt_cde = 1801 and xact_cde = 1010 clnt_cde = 1802 and xact_cde in (1010, 1015) clnt_cde = 1805 and xact_cde = 1020 clnt_cde = 4401 and xact_cde = 1021 clnt_cde in (5501,5502) and xact_cde in (1010,1021)</p> <p>Confirmation e-mail (LL1): clnt_cde = 4401 and xact_cde = 1021</p> <p>Also will include CC/From changes from CQ46765.</p> |
| CQ46966 | Report | <p>I talked with Mindy about the RP report that we monitor. We have to do quite a bit of research to determine issues with R, E, and M class transactions that don't approve. It would be helpful if we could see the validation, or at least the leading number, for each record on the report so we will know how the request was processed; online, RP Cash, or Manual. Mindy mentioned that, at a glance, there is at least one error message that takes up nearly the remainder of the page. So, she will have to see if there is space. I also don't know if other offices use this report, so I don't want to make changes that would affect others' work.</p> <p>We also talked about the possibility of a separate report instead of altering the RP report. As you know, all of the online application transactions appear on the 5:00 report that we review. Until recently, it only included online app transactions for nursing. As new online apps are rolled out, our report continues to grow. If we can't add payment information to the current report, her recommendation of a separate report would be</p> |

FY 2013-14 SCHEDULE IV-B FEASIBILITY STUDY FOR
MQA MODERNIZATION PROJECT

| Reference # | Type of Change | Description |
|-------------|----------------|---|
| | | worth exploring for both reasons. Please submit a ticket to them so that they can look into this. |
| CQ47276 | Trigger | Please research flmq73, nf12, nf19, nf23, nf17, flmq52, dhnf02 and nf25 enforcement screens to determine if any event triggers or forms logic cause the HBD indicator to be added or removed to a license. This is for the AC and Discipline workgroup and system enhancements. |
| CQ47490 | Schema | Please increase team numbers in the document repository to include 16-20. |
| CQ48081 | Schema | In AL24 - Maintain License Relations - add the 100 year date validation to this form for both Effective and End Dates. |
| CQ48123 | View | Requesting a view to be modified to pull in the following information => the medical school name, date of degree, and date of action. |
| CQ48912 | Report | Add the batch job parameters used from the screen to the report header. |
| CQ49314 | Schema/ Screen | We need a field added to the flmq16 Document Repository screen called the Date Entered. This field should be placed between the Document # field and the Received field. This will be used by the boards to enter the date the document is input into the repository. This is needed for the upfront scanning project. Contacts are Tammy Collins and Ivy Shivers. We will also need to modify the dxl533 Document Repository report to include this new field. per PM request at 12/13 CQ mtg: Correct the search/query functionality for organization names. |

FY 2013-14 SCHEDULE IV-B FEASIBILITY STUDY FOR
MQA MODERNIZATION PROJECT

| Reference # | Type of Change | Description |
|-------------|----------------|---|
| CQ49348 | | <p>*****IMPORTANT WHEN PROMOTING THE CA21.PL SCRIPT*****</p> <p>The file MUST be in this location: [oracle@dit00swas11]: /opt/oracle/product/10.1.2/licenseease/code/prod [iasforms10> cp ca21.pl /opt/oracle/product/10.1.2/bin/</p> <p>Please correct the IAPI location number on the endorsement stamp of the validation machine from 6400168 to 6400167. This location will correspond with validations beginning with 2 and 9.</p> |
| CQ49526 | Schema | <p>Add error handling for the prep/commit job when the CyberCashMCK.socket.1 error, /renewalrpt2k/cyber_prep.asp, line 142 occurs. Per discussion with DBA, an IF statement can be added to sleep when the error is received and retry in two minutes. See below SQL solution:</p> <p>[oracle@dohsdb10]:/opt/oracle/admin/LicenseEase/batch [leprod:> vi run_cybercash_prep.ksh</p> <p>Add bolded code:</p> <pre> if [[\$? -ne 0]] then echo "ASP call for commit failed at `date`." >> \$log STATUS=1 cat \$html_log mail \$GLOB_MAIL_LIST cat \$html_log mail DLMQA_Finance exit \$STATUS else timeout=`grep "Timed out waiting for a response" "\$html_log"` if [[\$timeout]] then sleep 120 /opt/sfw/bin/curl \$url4commit >> \$html_log 2>>\$log fi fi </pre> |

FY 2013-14 SCHEDULE IV-B FEASIBILITY STUDY FOR
MQA MODERNIZATION PROJECT

| Reference # | Type of Change | Description |
|-------------|----------------|--|
| CQ49557 | Trigger | Need to develop a Q modifier for the board of medicine to enter on a PMC license. When the modifier is added to a license, it will automatically request a periodic routine inspection with an inspect before date of 6/30/the FY entered. When the modifier is removed, any pending open inspections will be automatically deleted. This will closely mirror the current automation for dispensing practitioners. |
| CQ49563 | View | Please create a letter view that would pull in the RESPONDENT'S file number. It can be tied to the same table as the LIC_NBR field pulling from the Enforcement side. |
| CQ49564 | View | Requesting a letter view that will pull in the following Criminal Offense information (ap90 screen) listed below 1. Record Name 2. Level of Offense 3. Offense Description 4. Pleading Type 5. Date Offense This information can be tied to the LV_BASIC_DATA table. |
| CQ49565 | View | Requesting a letter view that will pull in the following Disciplinary information (ap90 screen) listed below 1. Record Name 2. Discription Body 3. Discription Date 4. Disc Viol Desc 5. Disc Action Des This can be tied to the LV_BASIC_DATA table. |
| CQ49655 | Schema/ Screen | When running a query in the document repository the team number box does not go past team number 15 for anyone in the Board of Nursing. There should be up to team 20. Teams 1-20 appear when adding, but when querying you can only get teams 1-15. |

FY 2013-14 SCHEDULE IV-B FEASIBILITY STUDY FOR
MQA MODERNIZATION PROJECT

| Reference # | Type of Change | Description |
|-------------|----------------|--|
| CQ49865 | | <p>SQL2008 issue...</p> <p>This survey extract is the first since upgrading to 2008 to have more than 32767 records. Starting at line 32768 in the upload file, we have roughly 20K occurrences of the following: "SQLGetDiagRec failed"</p> <p>Osql appears to limit to smallint the number of records one can process with a cursor. If true, there may be implications for other scheduled sqlserver jobs.</p> <p>Work around:</p> <p>In TSQL run, sp_print_survey_txn</p> <p>Save output to local disk. In this case file_name = survey_txn.0131.1600</p> <p>Copy file to \\dohsdb10\survey</p> <p>Run update stmt: update response set extrc_flag = 'Y', extrc_dte = getdate() where resp_id in (select resp_id from compas_survey_txn)</p> |
| CQ50183 | Schema/ Screen | <p>We need to get a license number field, and a license name field added to the LicenseEase (COMPAS) License Relationship History (al31) screen. This will be for all professions in LicenseEase (COMPAS). I have attached a screenshot of what it looks like now.</p> |
| CQ50346 | Schema/ Screen | <p>We need to modify the Miscellaneous Sales (ca13) screen in LicenseEase (COMPAS) to be able to search upon the Sale #. Please see attachment for screen.</p> |

FY 2013-14 SCHEDULE IV-B FEASIBILITY STUDY FOR
MQA MODERNIZATION PROJECT

| Reference # | Type of Change | Description |
|-------------|----------------|--|
| CQ50467 | Schema/ Screen | <p>This needs to be completed by 3/31/11, if possible. This is needed for both the upfront scanning of mail project and the transition of scanning to iCenter project. Modify the flmq16 Document Repository screen to add a new field, just above the Type field, called 'iCenter Doc Type'. This field will be a drop down list of values and should be populated with the codes in the attached document. Also, rename the 'Type' field label to 'Repository Doc Type'. See attached screen shot of doc repository.</p> <p>Rolling CQ50494 into this request so all changes can be moved at the same time:</p> <p>We would like to request that a field be added to the LicenseEase (COMPAS) Document Repository, (flmq16) that will allow us to capture the number of pages that are attached to a document. Please title the field "page count" and we would like to be able to type in the number of pages. Thanks.</p> <p>Also, the following needs to be added per telephone conversation btwn Linda and Daniela, 3-22-11:</p> <ul style="list-style-type: none"> - update the nightly release to iAPI for Document Repository - there will be a data patch for existing records |
| CQ50845 | Alerts | <p>On the application header of the aa21 screen, please add field validation that will provide an alert to indicate to the processor that they have entered an action date that is more than 90 days after the completion date. The alert should give the user the option to correct the date or indicate the date entered is the correct action date and proceed with saving the changes. This will help prevent data entry errors.</p> |
| CQ51148 | Schema/ Screen | <p>Need increase priority field on enforcement screen NF12 (Maintain Complaints) to 2 characters and change to text/numeric. For example, 1A This is a high priority request for improvement in tracking emergency actions against health care licensees.</p> |
| CQ51592 | Interface | <p>the ARRT Exam Vendor changed the format of the file used to upload the exam scores via flmq63.</p> |
| CQ51691 | View | <p>We need a letter field created to pull in ML_Address Routing info into LicenseEase (COMPAS) letters. Practioners have begun utilizing this field as part of their address.</p> |

FY 2013-14 SCHEDULE IV-B FEASIBILITY STUDY FOR
MQA MODERNIZATION PROJECT

| Reference # | Type of Change | Description |
|-------------|----------------|--|
| CQ51750 | Schema | The SSN Administration has changed the way they issue SSN Numbers. The following is taken from the Social Security website. "Previously unassigned area numbers will be introduced for assignment excluding area numbers 000, 666 and 900-999. " |
| CQ51855 | Schema/ Screen | The boards would like to add a 100 to the team numbers for the LicenseEase (COMPAS) Document Repository. They will be using this as a "Not Received". |
| CQ52616 | View | Please modify the following views to include the Notes section under the ap90 screen. Sometimes text is entered into these areas that they would also need to be included into the letter. uv_disc_by_lic uv_crim_by_lic uv_disc_by_app uv_crim_by_app |
| CQ52821 | Schema/ Screen | Please promote the revision made in test to the Name Change Field on the renewal forms in production. |

(This page intentionally left blank)

**DEPARTMENT OF HEALTH
COMMUNITY HEALTH RESOURCE EXHIBITS AND SCHEDULES**

DEPARTMENT OF HEALTH
COMMUNITY HEALTH RESOURCES SCHEDULE I SERIES

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

| | |
|-----------------------------|-----------------------------------|
| Department Title: | Budget Period: 2013 - 2014 |
| Trust Fund Title: | Department of Health |
| Budget Entity: | Administrative Trust Fund |
| LAS/PBS Fund Number: | 64400200 |
| | 2021 |

| | Balance as of 6/30/2012 | | SWFS* Adjustments | | Adjusted Balance |
|---|----------------------------|-----|----------------------|--|---------------------|
| Chief Financial Officer's (CFO) Cash Balance | (3,492.76) | (A) | | | (3,492.76) |
| ADD: Other Cash (See Instructions) | | (B) | | | 0.00 |
| ADD: Investments | | (C) | | | 0.00 |
| ADD: Outstanding Accounts Receivable | 0.00 | (D) | | | 0.00 |
| ADD: TRANSFER FROM 2021 64100200 | 12,750.47 | (E) | | | 12,750.47 |
| Total Cash plus Accounts Receivable | 9,257.71 | (F) | 0.00 | | 9,257.71 |
| LESS Allowances for Uncollectibles | | (G) | | | 0.00 |
| LESS Approved "A" Certified Forwards | (9,159.53) | (H) | | | (9,159.53) |
| Approved "B" Certified Forwards | (98.18) | (H) | | | (98.18) |
| Approved "FCO" Certified Forwards | | (H) | | | 0.00 |
| LESS: Other Accounts Payable (Nonoperating) | | (I) | | | 0.00 |
| LESS: _____ | | (J) | | | 0.00 |
| Unreserved Fund Balance, 07/01/12 | (0.00) | (K) | 0.00 | | (0.00) ** |

Notes:

*SWFS = Statewide Financial Statement

** This amount should agree with Line I, Section IV of the Schedule I for the most recent completed fiscal year and Line A for the following year.

RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC

Budget Period: 2013 - 2014

| | |
|-----------------------------|---------------------------|
| Department Title: | Department of Health |
| Trust Fund Title: | Administrative Trust Fund |
| LAS/PBS Fund Number: | 2021/64400200 |

BEGINNING TRIAL BALANCE:

Total Fund Balance Per FLAIR Trial Balance, 07/01/12

| | | |
|--|--|-----|
| Total all GLC's 5XXXX for governmental funds; GLC 539XX for proprietary and fiduciary funds | <input type="text" value="(12,682.33)"/> | (A) |
|--|--|-----|

| | | |
|---|----------------------|-----|
| Subtract Nonspendable Fund Balance (GLC 56XXX) | <input type="text"/> | (B) |
|---|----------------------|-----|

Add/Subtract Statewide Financial Statement (SWFS) Adjustments :

| | | |
|-----------------------------------|----------------------|-----|
| SWFS Adjustment # and Description | <input type="text"/> | (C) |
|-----------------------------------|----------------------|-----|

| | | |
|-----------------------------------|----------------------|-----|
| SWFS Adjustment # and Description | <input type="text"/> | (C) |
|-----------------------------------|----------------------|-----|

Add/Subtract Other Adjustment(s):

| | | |
|---|--------------------------------------|-----|
| Approved "B" Carry Forward (Encumbrances) per LAS/PBS | <input type="text" value="(98.18)"/> | (D) |
|---|--------------------------------------|-----|

| | | |
|--|----------------------|-----|
| Approved "C" Carry Forward Total (FCO) per LAS/PBS | <input type="text"/> | (D) |
|--|----------------------|-----|

| | | |
|----------------------------------|------------------------------------|-----|
| A/P not C/F-Operating Categories | <input type="text" value="30.04"/> | (D) |
|----------------------------------|------------------------------------|-----|

| | | |
|-----------------------------|--|-----|
| TRANSFER FROM 64100200 2021 | <input type="text" value="12,750.47"/> | (D) |
|-----------------------------|--|-----|

| | |
|----------------------|-----|
| <input type="text"/> | (D) |
|----------------------|-----|

| | |
|----------------------|-----|
| <input type="text"/> | (D) |
|----------------------|-----|

| | | |
|--|-----------------------------------|-----|
| ADJUSTED BEGINNING TRIAL BALANCE: | <input type="text" value="0.00"/> | (E) |
|--|-----------------------------------|-----|

| | | |
|--|-----------------------------------|-----|
| UNRESERVED FUND BALANCE, SCHEDULE IC (Line I) | <input type="text" value="0.00"/> | (F) |
|--|-----------------------------------|-----|

| | | |
|--------------------|-----------------------------------|------|
| DIFFERENCE: | <input type="text" value="0.00"/> | (G)* |
|--------------------|-----------------------------------|------|

***SHOULD EQUAL ZERO.**

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

| | |
|-----------------------------|-----------------------------------|
| Department Title: | Budget Period: 2013 - 2014 |
| Trust Fund Title: | Department of Health |
| Budget Entity: | Tobacco Settlement Trust Fund |
| LAS/PBS Fund Number: | 64400200 |
| | 2122 |

| | Balance as of 6/30/2012 | | SWFS* Adjustments | | Adjusted Balance |
|---|----------------------------|-----|----------------------|--|---------------------|
| Chief Financial Officer's (CFO) Cash Balance | 8,560,543.96 | (A) | | | 8,560,543.96 |
| ADD: Other Cash (See Instructions) | | (B) | | | 0.00 |
| ADD: Investments | | (C) | | | 0.00 |
| ADD: Outstanding Accounts Receivable | 4,283,181.79 | (D) | | | 4,283,181.79 |
| ADD: Anticipated Receivable from DFS 2123 | 1,400,599.06 | (E) | | | 1,400,599.06 |
| ADD: Transfer from 2122 64300100 | 210,136.45 | (E) | | | 210,136.45 |
| ADD: Transfer from 2122 64200700 | 39,828.00 | (E) | | | 39,828.00 |
| Total Cash plus Accounts Receivable | 14,494,289.26 | (F) | 0.00 | | 14,494,289.26 |
| LESS Allowances for Uncollectibles | | (G) | | | 0.00 |
| LESS Approved "A" Certified Forwards | (14,223,950.54) | (H) | | | (14,223,950.54) |
| Approved "B" Certified Forwards | (259,780.96) | (H) | | | (259,780.96) |
| Approved "FCO" Certified Forwards | (10,557.76) | (H) | | | (10,557.76) |
| LESS: Other Accounts Payable (Nonoperating) | | (I) | | | 0.00 |
| LESS: _____ | | (J) | | | 0.00 |
| Unreserved Fund Balance, 07/01/12 | 0.00 | (K) | 0.00 | | 0.00 |

Notes:

*SWFS = Statewide Financial Statement

** This amount should agree with Line I, Section IV of the Schedule I for the most recent completed fiscal year and Line A for the following year.

RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC

Budget Period: 2013 - 2014

| | |
|-----------------------------|-------------------------------|
| Department Title: | Department of Health |
| Trust Fund Title: | Tobacco Settlement Trust Fund |
| LAS/PBS Fund Number: | 2122/64400200 |

BEGINNING TRIAL BALANCE:

Total Fund Balance Per FLAIR Trial Balance, 07/01/12

| | | |
|--|---|-----|
| Total all GLC's 5XXXX for governmental funds; GLC 539XX for proprietary and fiduciary funds | <input type="text" value="(1,420,038.94)"/> | (A) |
|--|---|-----|

| | | |
|---|----------------------|-----|
| Subtract Nonspendable Fund Balance (GLC 56XXX) | <input type="text"/> | (B) |
|---|----------------------|-----|

Add/Subtract Statewide Financial Statement (SWFS) Adjustments :

| | | |
|-----------------------------------|----------------------|-----|
| SWFS Adjustment # and Description | <input type="text"/> | (C) |
|-----------------------------------|----------------------|-----|

| | | |
|-----------------------------------|----------------------|-----|
| SWFS Adjustment # and Description | <input type="text"/> | (C) |
|-----------------------------------|----------------------|-----|

Add/Subtract Other Adjustment(s):

| | | |
|---|---|-----|
| Approved "B" Carry Forward (Encumbrances) per LAS/PBS | <input type="text" value="(259,780.96)"/> | (D) |
|---|---|-----|

| | | |
|--|--|-----|
| Approved "C" Carry Forward Total (FCO) per LAS/PBS | <input type="text" value="(10,557.76)"/> | (D) |
|--|--|-----|

| | | |
|----------------------------------|--|-----|
| A/P not C/F-Operating Categories | <input type="text" value="39,814.15"/> | (D) |
|----------------------------------|--|-----|

| | | |
|--------------------------------------|---|-----|
| Anticipated Receivable from DFS 2123 | <input type="text" value="1,400,599.06"/> | (D) |
|--------------------------------------|---|-----|

| | | |
|-----------------------------|---|-----|
| Transfer from 2122 64300100 | <input type="text" value="210,136.45"/> | (D) |
|-----------------------------|---|-----|

| | | |
|-----------------------------|--|-----|
| Transfer from 2122 64200700 | <input type="text" value="39,828.00"/> | (D) |
|-----------------------------|--|-----|

| | | |
|--|-----------------------------------|-----|
| ADJUSTED BEGINNING TRIAL BALANCE: | <input type="text" value="0.00"/> | (E) |
|--|-----------------------------------|-----|

| | | |
|--|-----------------------------------|-----|
| UNRESERVED FUND BALANCE, SCHEDULE IC (Line I) | <input type="text" value="0.00"/> | (F) |
|--|-----------------------------------|-----|

| | | |
|--------------------|-----------------------------------|------|
| DIFFERENCE: | <input type="text" value="0.00"/> | (G)* |
|--------------------|-----------------------------------|------|

***SHOULD EQUAL ZERO.**

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

| | |
|-----------------------------|---------------------------------------|
| Department Title: | Budget Period: 2013 - 2014 |
| Trust Fund Title: | Department of Health |
| Budget Entity: | Emergency Medical Services Trust Fund |
| LAS/PBS Fund Number: | 64400200 |
| | 2192 |

| | Balance as of 6/30/2012 | | SWFS* Adjustments | Adjusted Balance |
|---|----------------------------|-----|----------------------|---------------------|
| Chief Financial Officer's (CFO) Cash Balance | 4,687,930.73 | (A) | | 4,687,930.73 |
| ADD: Other Cash (See Instructions) | | (B) | | 0.00 |
| ADD: Investments | | (C) | | 0.00 |
| ADD: Outstanding Accounts Receivable | | (D) | | 0.00 |
| ADD: _____ | | (E) | | 0.00 |
| Total Cash plus Accounts Receivable | 4,687,930.73 | (F) | 0.00 | 4,687,930.73 |
| LESS Allowances for Uncollectibles | | (G) | | 0.00 |
| LESS Approved "A" Certified Forwards | | (H) | | 0.00 |
| Approved "B" Certified Forwards | | (H) | | 0.00 |
| Approved "FCO" Certified Forwards | | (H) | | 0.00 |
| LESS: Other Accounts Payable (Nonoperating) | | (I) | | 0.00 |
| LESS: Transfer to 2192 64200800 | (4,687,930.73) | (J) | | (4,687,930.73) |
| Unreserved Fund Balance, 07/01/12 | 0.00 | (K) | 0.00 | 0.00 ** |

Notes:

*SWFS = Statewide Financial Statement

** This amount should agree with Line I, Section IV of the Schedule I for the most recent completed fiscal year and Line A for the following year.

RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC

Budget Period: 2013 - 2014

Department Title: Department of Health
Trust Fund Title: Emergency Medical Services Trust Fund
LAS/PBS Fund Number: 2192/64400200

BEGINNING TRIAL BALANCE:

Total Fund Balance Per FLAIR Trial Balance, 07/01/12

Total all GLC's 5XXXX for governmental funds; (A)
GLC 539XX for proprietary and fiduciary funds

Subtract Nonspendable Fund Balance (GLC 56XXX) (B)

Add/Subtract Statewide Financial Statement (SWFS) Adjustments :

SWFS Adjustment # and Description (C)

SWFS Adjustment # and Description (C)

Add/Subtract Other Adjustment(s):

Approved "B" Carry Forward (Encumbrances) per LAS/PBS (D)

Approved "C" Carry Forward Total (FCO) per LAS/PBS (D)

A/P not C/F-Operating Categories (D)

Transfer to 2192 64200800 (D)

(D)

(D)

ADJUSTED BEGINNING TRIAL BALANCE: (E)

UNRESERVED FUND BALANCE, SCHEDULE IC (Line I) (F)

DIFFERENCE: (G)*

***SHOULD EQUAL ZERO.**

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

| | |
|-----------------------------|-----------------------------------|
| Department Title: | Budget Period: 2013 - 2014 |
| Trust Fund Title: | Department of Health |
| Budget Entity: | Federal Grant Trust Fund |
| LAS/PBS Fund Number: | 64400200 |
| | 2261 |

| | Balance as of 6/30/2012 | | SWFS* Adjustments | | Adjusted Balance |
|---|----------------------------|-----|----------------------|--|----------------------|
| Chief Financial Officer's (CFO) Cash Balance | (205,979.97) | (A) | | | (205,979.97) |
| ADD: Other Cash (See Instructions) | | (B) | | | 0.00 |
| ADD: Investments | | (C) | | | 0.00 |
| ADD: Outstanding Accounts Receivable | 15,048,379.72 | (D) | | | 15,048,379.72 |
| ADD: A/R BE Adjustment 64200800 | | (E) | | | 0.00 |
| Total Cash plus Accounts Receivable | 14,842,399.75 | (F) | 0.00 | | 14,842,399.75 |
| LESS Allowances for Uncollectibles | | (G) | | | 0.00 |
| LESS Approved "A" Certified Forwards | (379,748.77) | (H) | | | (379,748.77) |
| Approved "B" Certified Forwards | (30,750.00) | (H) | | | (30,750.00) |
| Approved "FCO" Certified Forwards | | (H) | | | 0.00 |
| LESS: Other Accounts Payable (Nonoperating) | | (I) | | | 0.00 |
| LESS: <u>Transfer to 2261 64200800</u> | (14,413,142.58) | (J) | | | (14,413,142.58) |
| Unreserved Fund Balance, 07/01/12 | 18,758.40 | (K) | | | 18,758.40 ** |

Notes:

*SWFS = Statewide Financial Statement

** This amount should agree with Line I, Section IV of the Schedule I for the most recent completed fiscal year and Line A for the following year.

RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC

Budget Period: 2013 - 2014

| | |
|-----------------------------|--------------------------|
| Department Title: | Department of Health |
| Trust Fund Title: | Federal Grant Trust Fund |
| LAS/PBS Fund Number: | 2261/64400200 |

BEGINNING TRIAL BALANCE:

Total Fund Balance Per FLAIR Trial Balance, 07/01/12

| | | |
|--|----------------------|-----|
| Total all GLC's 5XXXX for governmental funds; GLC 539XX for proprietary and fiduciary funds | 14,462,387.31 | (A) |
|--|----------------------|-----|

| | | |
|---|--|-----|
| Subtract Nonspendable Fund Balance (GLC 56XXX) | | (B) |
|---|--|-----|

Add/Subtract Statewide Financial Statement (SWFS) Adjustments :

| | | |
|-----------------|--|-----|
| SWFS Adjustment | | (C) |
|-----------------|--|-----|

| | | |
|-----------------|--|-----|
| SWFS Adjustment | | (C) |
|-----------------|--|-----|

Add/Subtract Other Adjustment(s):

| | | |
|---|-------------|-----|
| Approved "B" Carry Forward (Encumbrances) per LAS/PBS | (30,750.00) | (D) |
|---|-------------|-----|

| | | |
|--|--|-----|
| Approved "C" Carry Forward Total (FCO) per LAS/PBS | | (D) |
|--|--|-----|

| | | |
|----------------------------------|--------|-----|
| A/P not C/F-Operating Categories | 263.67 | (D) |
|----------------------------------|--------|-----|

| | | |
|---------------------------|-----------------|-----|
| Transfer to 2261 64200800 | (14,413,142.58) | (D) |
|---------------------------|-----------------|-----|

| | | |
|--|--|-----|
| | | (D) |
|--|--|-----|

| | | |
|--|--|-----|
| | | (D) |
|--|--|-----|

| | | |
|--|------------------|-----|
| ADJUSTED BEGINNING TRIAL BALANCE: | 18,758.40 | (E) |
|--|------------------|-----|

| | | |
|--|------------------|-----|
| UNRESERVED FUND BALANCE, SCHEDULE IC (Line I) | 18,758.40 | (F) |
|--|------------------|-----|

| | | |
|--------------------|-------------|------|
| DIFFERENCE: | 0.00 | (G)* |
|--------------------|-------------|------|

***SHOULD EQUAL ZERO.**

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

| | |
|-----------------------------|-----------------------------------|
| Department Title: | Budget Period: 2013 - 2014 |
| Trust Fund Title: | Department of Health |
| Budget Entity: | Grants & Donations Trust Fund |
| LAS/PBS Fund Number: | 64400200 |
| | 2339 |

| | Balance as of 6/30/2012 | | SWFS* Adjustments | Adjusted Balance |
|---|----------------------------|-----|----------------------|---------------------|
| Chief Financial Officer's (CFO) Cash Balance | 1,072,724.83 | (A) | | 1,072,724.83 |
| ADD: Other Cash (See Instructions) | | (B) | | 0.00 |
| ADD: Investments | | (C) | | 0.00 |
| ADD: Outstanding Accounts Receivable | | (D) | | 0.00 |
| ADD: _____ | | (E) | | 0.00 |
| Total Cash plus Accounts Receivable | 1,072,724.83 | (F) | 0.00 | 1,072,724.83 |
| LESS Allowances for Uncollectibles | | (G) | | 0.00 |
| LESS Approved "A" Certified Forwards | (199,999.80) | (H) | | (199,999.80) |
| Approved "B" Certified Forwards | | (H) | | 0.00 |
| Approved "FCO" Certified Forwards | | (H) | | 0.00 |
| LESS: Other Accounts Payable (Nonoperating) | | (I) | | 0.00 |
| LESS: _____ | | (J) | | 0.00 |
| Unreserved Fund Balance, 07/01/12 | 872,725.03 | (K) | 0.00 | 872,725.03 ** |

Notes:

*SWFS = Statewide Financial Statement

** This amount should agree with Line I, Section IV of the Schedule I for the most recent completed fiscal year and Line A for the following year.

RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC

Budget Period: 2013 - 2014

| | |
|-----------------------------|-------------------------------|
| Department Title: | Department of Health |
| Trust Fund Title: | Grants & Donations Trust Fund |
| LAS/PBS Fund Number: | 2339/64400200 |

BEGINNING TRIAL BALANCE:

Total Fund Balance Per FLAIR Trial Balance, 07/01/12

| | | |
|--|---|-----|
| Total all GLC's 5XXXX for governmental funds; GLC 539XX for proprietary and fiduciary funds | <input type="text" value="872,725.03"/> | (A) |
|--|---|-----|

| | | |
|---|----------------------|-----|
| Subtract Nonspendable Fund Balance (GLC 56XXX) | <input type="text"/> | (B) |
|---|----------------------|-----|

Add/Subtract Statewide Financial Statement (SWFS) Adjustments :

| | | |
|-----------------|----------------------|-----|
| SWFS Adjustment | <input type="text"/> | (C) |
|-----------------|----------------------|-----|

| | | |
|-----------------------------------|----------------------|-----|
| SWFS Adjustment # and Description | <input type="text"/> | (C) |
|-----------------------------------|----------------------|-----|

Add/Subtract Other Adjustment(s):

| | | |
|---|----------------------|-----|
| Approved "B" Carry Forward (Encumbrances) per LAS/PBS | <input type="text"/> | (D) |
|---|----------------------|-----|

| | | |
|--|----------------------|-----|
| Approved "C" Carry Forward Total (FCO) per LAS/PBS | <input type="text"/> | (D) |
|--|----------------------|-----|

| | | |
|----------------------------------|----------------------|-----|
| A/P not C/F-Operating Categories | <input type="text"/> | (D) |
|----------------------------------|----------------------|-----|

| | |
|----------------------|-----|
| <input type="text"/> | (D) |
|----------------------|-----|

| | |
|----------------------|-----|
| <input type="text"/> | (D) |
|----------------------|-----|

| | |
|----------------------|-----|
| <input type="text"/> | (D) |
|----------------------|-----|

| | | |
|--|---|-----|
| ADJUSTED BEGINNING TRIAL BALANCE: | <input type="text" value="872,725.03"/> | (E) |
|--|---|-----|

| | | |
|--|---|-----|
| UNRESERVED FUND BALANCE, SCHEDULE IC (Line I) | <input type="text" value="872,725.03"/> | (F) |
|--|---|-----|

| | | |
|--------------------|-----------------------------------|------|
| DIFFERENCE: | <input type="text" value="0.00"/> | (G)* |
|--------------------|-----------------------------------|------|

***SHOULD EQUAL ZERO.**

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

| | |
|-----------------------------|---|
| Department Title: | Budget Period: 2013 - 2014 |
| Trust Fund Title: | Department of Health |
| Budget Entity: | Brain & Spinal Cord Injury Program Trust Fund |
| LAS/PBS Fund Number: | 64400200 |
| | 2390 |

| | Balance as of 6/30/2012 | | SWFS* Adjustments | Adjusted Balance |
|---|----------------------------|-----|----------------------|---------------------|
| Chief Financial Officer's (CFO) Cash Balance | 1,849,064.93 | (A) | | 1,849,064.93 |
| ADD: Other Cash (See Instructions) | 14.47 | (B) | | 14.47 |
| ADD: Investments | | (C) | | 0.00 |
| ADD: Outstanding Accounts Receivable | 1,583,761.18 | (D) | | 1,583,761.18 |
| ADD: _____ | | (E) | | 0.00 |
| Total Cash plus Accounts Receivable | 3,432,840.58 | (F) | 0.00 | 3,432,840.58 |
| LESS Allowances for Uncollectibles | | (G) | | 0.00 |
| LESS Approved "A" Certified Forwards | (2,870,277.71) | (H) | (237,510.26) | (3,107,787.97) |
| Approved "B" Certified Forwards | (12,734.72) | (H) | | (12,734.72) |
| Approved "FCO" Certified Forwards | | (H) | | 0.00 |
| LESS: Other Accounts Payable (Nonoperating) | (287,161.97) | (I) | | (287,161.97) |
| LESS: _____ | | (J) | | 0.00 |
| Unreserved Fund Balance, 07/01/12 | 262,666.18 | (K) | (237,510.26) | 25,155.92 ** |

Notes:

*SWFS = Statewide Financial Statement

** This amount should agree with Line I, Section IV of the Schedule I for the most recent completed fiscal year and Line A for the following year.

RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC

Budget Period: 2013 - 2014

| | |
|-----------------------------|---|
| Department Title: | Department of Health |
| Trust Fund Title: | Brain & Spinal Cord Injury Program Trust Fund |
| LAS/PBS Fund Number: | 2390/64400200 |

BEGINNING TRIAL BALANCE:

Total Fund Balance Per FLAIR Trial Balance, 07/01/12

| | | |
|--|---|-----|
| Total all GLC's 5XXXX for governmental funds; GLC 539XX for proprietary and fiduciary funds | <input type="text" value="264,473.81"/> | (A) |
|--|---|-----|

| | | |
|---|----------------------|-----|
| Subtract Nonspendable Fund Balance (GLC 56XXX) | <input type="text"/> | (B) |
|---|----------------------|-----|

Add/Subtract Statewide Financial Statement (SWFS) Adjustments :

| | | |
|---|---|-----|
| SWFS Adjustment #B6400009 increase "Due To" (353XX/759XX) | <input type="text" value="(237,510.26)"/> | (C) |
|---|---|-----|

| | | |
|-----------------------------------|----------------------|-----|
| SWFS Adjustment # and Description | <input type="text"/> | (C) |
|-----------------------------------|----------------------|-----|

Add/Subtract Other Adjustment(s):

| | | |
|---|--|-----|
| Approved "B" Carry Forward (Encumbrances) per LAS/PBS | <input type="text" value="(12,734.72)"/> | (D) |
|---|--|-----|

| | | |
|--|----------------------|-----|
| Approved "C" Carry Forward Total (FCO) per LAS/PBS | <input type="text"/> | (D) |
|--|----------------------|-----|

| | | |
|----------------------------------|--|-----|
| A/P not C/F-Operating Categories | <input type="text" value="10,927.09"/> | (D) |
|----------------------------------|--|-----|

| | |
|----------------------|-----|
| <input type="text"/> | (D) |
|----------------------|-----|

| | |
|----------------------|-----|
| <input type="text"/> | (D) |
|----------------------|-----|

| | |
|----------------------|-----|
| <input type="text"/> | (D) |
|----------------------|-----|

| | | |
|--|--|-----|
| ADJUSTED BEGINNING TRIAL BALANCE: | <input type="text" value="25,155.92"/> | (E) |
|--|--|-----|

| | | |
|--|--|-----|
| UNRESERVED FUND BALANCE, SCHEDULE IC (Line I) | <input type="text" value="25,155.92"/> | (F) |
|--|--|-----|

| | | |
|--------------------|-----------------------------------|------|
| DIFFERENCE: | <input type="text" value="0.00"/> | (G)* |
|--------------------|-----------------------------------|------|

***SHOULD EQUAL ZERO.**

**DEPARTMENT OF HEALTH
DISABILITY DETERMINATIONS EXHIBITS AND SCHEDULES**

DEPARTMENT OF HEALTH
DISABILITY DETERMINATIONS SCHEDULE I SERIES

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

| | |
|-----------------------------|-----------------------------------|
| Department Title: | Budget Period: 2013 - 2014 |
| Trust Fund Title: | Department of Health |
| Budget Entity: | Federal Grant Trust Fund |
| LAS/PBS Fund Number: | 64500100 |
| | 2261 |

| | Balance as of 6/30/2012 | | SWFS* Adjustments | | Adjusted Balance |
|---|----------------------------|-----|----------------------|--|---------------------|
| Chief Financial Officer's (CFO) Cash Balance | (136,417.44) | (A) | | | (136,417.44) |
| ADD: Other Cash (See Instructions) | | (B) | | | 0.00 |
| ADD: Investments | | (C) | | | 0.00 |
| ADD: Outstanding Accounts Receivable | 27,472.33 | (D) | | | 27,472.33 |
| ADD: Transfer from 2261 64200400 | 132,959.44 | (E) | | | 132,959.44 |
| Total Cash plus Accounts Receivable | 24,014.33 | (F) | 0.00 | | 24,014.33 |
| LESS Allowances for Uncollectibles | | (G) | | | 0.00 |
| LESS Approved "A" Certified Forwards | (24,014.33) | (H) | | | (24,014.33) |
| Approved "B" Certified Forwards | | (H) | | | 0.00 |
| Approved "FCO" Certified Forwards | | (H) | | | 0.00 |
| LESS: Other Accounts Payable (Nonoperating) | | (I) | | | 0.00 |
| LESS: _____ | | (J) | | | 0.00 |
| Unreserved Fund Balance, 07/01/12 | 0.00 | (K) | | | 0.00 ** |

Notes:

*SWFS = Statewide Financial Statement

** This amount should agree with Line I, Section IV of the Schedule I for the most recent completed fiscal year and Line A for the following year.

RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC

Budget Period: 2013 - 2014

| | |
|-----------------------------|--------------------------|
| Department Title: | Department of Health |
| Trust Fund Title: | Federal Grant Trust Fund |
| LAS/PBS Fund Number: | 2261/64500100 |

BEGINNING TRIAL BALANCE:

Total Fund Balance Per FLAIR Trial Balance, 07/01/12

| | | |
|--|---|-----|
| Total all GLC's 5XXXX for governmental funds; GLC 539XX for proprietary and fiduciary funds | <input type="text" value="(132,959.44)"/> | (A) |
|--|---|-----|

| | | |
|---|----------------------|-----|
| Subtract Nonspendable Fund Balance (GLC 56XXX) | <input type="text"/> | (B) |
|---|----------------------|-----|

Add/Subtract Statewide Financial Statement (SWFS) Adjustments :

| | | |
|-----------------|----------------------|-----|
| SWFS Adjustment | <input type="text"/> | (C) |
|-----------------|----------------------|-----|

| | | |
|-----------------|----------------------|-----|
| SWFS Adjustment | <input type="text"/> | (C) |
|-----------------|----------------------|-----|

Add/Subtract Other Adjustment(s):

| | | |
|---|----------------------|-----|
| Approved "B" Carry Forward (Encumbrances) per LAS/PBS | <input type="text"/> | (D) |
|---|----------------------|-----|

| | | |
|--|----------------------|-----|
| Approved "C" Carry Forward Total (FCO) per LAS/PBS | <input type="text"/> | (D) |
|--|----------------------|-----|

| | | |
|----------------------------------|----------------------|-----|
| A/P not C/F-Operating Categories | <input type="text"/> | (D) |
|----------------------------------|----------------------|-----|

| | | |
|-----------------------------|---|-----|
| Transfer from 2261 64200400 | <input type="text" value="132,959.44"/> | (D) |
|-----------------------------|---|-----|

| | |
|----------------------|-----|
| <input type="text"/> | (D) |
|----------------------|-----|

| | |
|----------------------|-----|
| <input type="text"/> | (D) |
|----------------------|-----|

| | | |
|--|-----------------------------------|-----|
| ADJUSTED BEGINNING TRIAL BALANCE: | <input type="text" value="0.00"/> | (E) |
|--|-----------------------------------|-----|

| | | |
|--|-----------------------------------|-----|
| UNRESERVED FUND BALANCE, SCHEDULE IC (Line I) | <input type="text" value="0.00"/> | (F) |
|--|-----------------------------------|-----|

| | | |
|--------------------|-----------------------------------|------|
| DIFFERENCE: | <input type="text" value="0.00"/> | (G)* |
|--------------------|-----------------------------------|------|

***SHOULD EQUAL ZERO.**

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

| | |
|-----------------------------|-----------------------------------|
| Department Title: | Budget Period: 2013 - 2014 |
| Trust Fund Title: | Department of Health |
| Budget Entity: | United States Trust Fund |
| LAS/PBS Fund Number: | 64500100 |
| | 2738 |

| | Balance as of 6/30/2012 | | SWFS* Adjustments | Adjusted Balance |
|---|----------------------------|-----|----------------------|---------------------|
| Chief Financial Officer's (CFO) Cash Balance | 796,822.77 | (A) | | 796,822.77 |
| ADD: Other Cash (See Instructions) | | (B) | | 0.00 |
| ADD: Investments | | (C) | | 0.00 |
| ADD: Outstanding Accounts Receivable | 4,539,789.74 | (D) | 56.00 | 4,539,845.74 |
| ADD: _____ | | (E) | | 0.00 |
| Total Cash plus Accounts Receivable | 5,336,612.51 | (F) | 56.00 | 5,336,668.51 |
| LESS Allowances for Uncollectibles | | (G) | | 0.00 |
| LESS Approved "A" Certified Forwards | (4,270,415.79) | (H) | | (4,270,415.79) |
| Approved "B" Certified Forwards | (913,526.20) | (H) | | (913,526.20) |
| Approved "FCO" Certified Forwards | | (H) | | 0.00 |
| LESS: Other Accounts Payable (Nonoperating) | (29,301.70) | (I) | | (29,301.70) |
| LESS: _____ | | (J) | | 0.00 |
| Unreserved Fund Balance, 07/01/12 | 123,368.82 | (K) | 56.00 | 123,424.82 ** |

Notes:

*SWFS = Statewide Financial Statement

** This amount should agree with Line I, Section IV of the Schedule I for the most recent completed fiscal year and Line A for the following year.

RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC

Budget Period: 2013 - 2014

| | |
|-----------------------------|--------------------------|
| Department Title: | Department of Health |
| Trust Fund Title: | United States Trust Fund |
| LAS/PBS Fund Number: | 2738/64500100 |

BEGINNING TRIAL BALANCE:

Total Fund Balance Per FLAIR Trial Balance, 07/01/12

| | | |
|--|-------------------|-----|
| Total all GLC's 5XXXX for governmental funds; GLC 539XX for proprietary and fiduciary funds | 989,125.33 | (A) |
|--|-------------------|-----|

| | | |
|---|--|-----|
| Subtract Nonspendable Fund Balance (GLC 56XXX) | | (B) |
|---|--|-----|

Add/Subtract Statewide Financial Statement (SWFS) Adjustments :

| | | |
|--|-------|-----|
| SWFS Adjustment #B6400011 increase receivables (61300) | 56.00 | (C) |
|--|-------|-----|

| | | |
|-----------------------------------|--|-----|
| SWFS Adjustment # and Description | | (C) |
|-----------------------------------|--|-----|

Add/Subtract Other Adjustment(s):

| | | |
|---|--------------|-----|
| Approved "B" Carry Forward (Encumbrances) per LAS/PBS | (913,526.20) | (D) |
|---|--------------|-----|

| | | |
|--|--|-----|
| Approved "C" Carry Forward Total (FCO) per LAS/PBS | | (D) |
|--|--|-----|

| | | |
|----------------------------------|-----------|-----|
| A/P not C/F-Operating Categories | 47,769.69 | (D) |
|----------------------------------|-----------|-----|

| | | |
|--|--|-----|
| | | (D) |
|--|--|-----|

| | | |
|--|--|-----|
| | | (D) |
|--|--|-----|

| | | |
|--|--|-----|
| | | (D) |
|--|--|-----|

| | | |
|--|-------------------|-----|
| ADJUSTED BEGINNING TRIAL BALANCE: | 123,424.82 | (E) |
|--|-------------------|-----|

| | | |
|--|-------------------|-----|
| UNRESERVED FUND BALANCE, SCHEDULE IC (Line I) | 123,424.82 | (F) |
|--|-------------------|-----|

| | | |
|--------------------|-------------|------|
| DIFFERENCE: | 0.00 | (G)* |
|--------------------|-------------|------|

***SHOULD EQUAL ZERO.**

Fiscal Year 2013-14 LBR Technical Review Checklist

| |
|--|
| Department/Budget Entity (Service): HEALTH / Executive Direction and Support |
| Agency Budget Officer/OPB Analyst Name: Terry Walters / Michelle Tallent |

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

| | Program or Service (Budget Entity Codes) | | | |
|--------|--|----------|--|--|
| Action | 64100200 | 64100400 | | |

| 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 | | | |
| 1.2 Is Column A03 set to TRANSFER CONTROL for DISPLAY and UPDATE status for both the Budget and Trust Fund columns? (CSDI) | Y | Y | | | |
| AUDITS: | | | | | |
| 1.3 Has Column A03 been copied to Column A12? Run the Exhibit B Audit Comparison Report to verify. (EXBR, EXBA) | Y | Y | | | |
| 1.4 Has security been set correctly? (CSDR, CSA) | Y | Y | | | |
| TIP The agency should prepare the budget request for submission in this order: 1) Lock columns as described above; 2) copy Column A03 to Column A12; and 3) set Column A12 column security to ALL for DISPLAY status and 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 | | | |
| 2.2 Are the statewide issues generated systematically (estimated expenditures, nonrecurring expenditures, etc.) included? | Y | Y | | | |
| 2.3 Are the issue codes and titles consistent with <i>Section 3</i> of the LBR Instructions (pages 15 through 30)? Do they clearly describe the issue? | Y | Y | | | |
| 2.4 Have the coding guidelines in <i>Section 3</i> of the LBR Instructions (pages 15 through 30) been followed? | 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. | N/A | N/A | | | |

| | | Program or Service (Budget Entity Codes) | | | |
|------------------------------------|--|--|----------|--|--|
| Action | | 64100200 | 64100400 | | |
| 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 | N/A | N/A | | |
| AUDITS: | | | | | |
| 3.3 | Negative Appropriation Category Audit for Agency Request (Columns A03 and A04): Are all appropriation categories positive by budget entity at the FSI level? Are all nonrecurring amounts less than requested amounts? (NACR, NAC - Report should print "No Negative Appropriation Categories Found") | Y | Y | | |
| 3.4 | Current Year Estimated Verification Comparison Report: Is Column A02 equal to Column B07? (EXBR, EXBC - Report should print "Records Selected Net To Zero") | Y | Y | | |
| TIP | Generally look for and be able to fully explain significant differences between A02 and A03. | | | | |
| TIP | Exhibit B - A02 equal to B07: Compares Current Year Estimated column to a backup of A02. This audit is necessary to ensure that the historical detail records have not been adjusted. Records selected should net to zero. | | | | |
| 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 | | |
| 4.2 | Is the program component code and title used correct? | Y | Y | | |
| TIP | Fund shifts or transfers of services or activities between program components will be displayed on an Exhibit D whereas it may not be visible on an Exhibit A. | | | | |
| 5. EXHIBIT D-1 (ED1R, EXD1) | | | | | |
| 5.1 | Are all object of expenditures positive amounts? (This is a manual check.) | Y | Y | | |
| AUDITS: | | | | | |
| 5.2 | Do the fund totals agree with the object category totals within each appropriation category? (ED1R, XD1A - Report should print "No Differences Found For This Report") | Y | Y | | |

| | | Program or Service (Budget Entity Codes) | | | |
|---|---|--|----------|--|--|
| Action | | 64100200 | 64100400 | | |
| 5.3 | FLAIR Expenditure/Appropriation Ledger Comparison Report: Is Column A01 less than Column B04? (EXBR, EXBB - Negative differences need to be corrected in Column A01.) | Y | Y | | |
| 5.4 | A01/State Accounts Disbursements and Carry Forward Comparison Report: Does Column A01 equal Column B08? (EXBR, EXBD - Differences need to be corrected in Column A01.) | Y | N/J | | |
| 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 | | | | |
| 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. | | | | There are instances where A01 does not equal B08 because B08 is greater than B04 |
| 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 | | |
| 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 | | |
| 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 | N/A | | |
| 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? | Y | N/A | | |
| 7.4 | Are all issues with an IT component identified with a "Y" in the "IT COMPONENT?" field? If the issue contains an IT component, has that component been identified and documented? | Y | 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 | | |

| | | Program or Service (Budget Entity Codes) | | | |
|---------------|--|--|----------|--|--|
| Action | | 64100200 | 64100400 | | |
| 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 | | |
| 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 Financial Report? | Y | N/A | | |
| 7.8 | Does the issue narrative include the Consensus Estimating Conference forecast, where appropriate? | N/A | N/A | | |
| 7.9 | Does the issue narrative reference the specific county(ies) where applicable? | N/A | N/A | | |
| 7.10 | Do the 160XXX0 issues reflect budget amendments that have been approved (or in the process of being approved) and that have a recurring impact (including Lump Sums)? Have the approved budget amendments been entered in Column A18 as instructed in Memo #13-003? | N/A | N/A | | |
| 7.11 | When appropriate are there any 160XXX0 issues included to delete positions placed in reserve in the OPB Position and Rate Ledger (e.g. unfunded grants)? Note: Lump sum appropriations not yet allocated should <u>not</u> be deleted. (PLRR, PLMO) | N/A | N/A | | |
| 7.12 | Does the issue narrative include plans to satisfy additional space requirements when requesting additional positions? | N/A | N/A | | |
| 7.13 | Has the agency included a 160XXX0 issue and 210XXXX and 260XXX0 issues as required for lump sum distributions? | N/A | N/A | | |
| 7.14 | Do the amounts reflect appropriate FSI assignments? | Y | N/A | | |
| 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 | | |
| 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)? | Y | N/A | | |
| 7.17 | Are the issues relating to <i>major audit findings and recommendations</i> properly coded (4A0XXX0, 4B0XXX0)? | N/A | N/A | | |
| 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? | Y | N/A | | |
| 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 | | |

| Action | | Program or Service (Budget Entity Codes) | | | |
|---|--|--|----------|--|--|
| | | 64100200 | 64100400 | | |
| 7.20 | Does the General Revenue for 160XXXX (Adjustments to Current Year Expenditures) issues net to zero? (GENR, LBR1) | Y | N/A | | |
| 7.21 | Does the General Revenue for 180XXXX (Intra-Agency Reorganizations) issues net to zero? (GENR, LBR2) | N/A | N/A | | |
| 7.22 | Does the General Revenue for 200XXXX (Estimated Expenditures Realignment) issues net to zero? (GENR, LBR3) | N/A | N/A | | |
| 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))) | N/A | N/A | | |
| TIP | Salaries and Benefits amounts entered using the OADA/C transactions must be thoroughly justified in the D-3A issue narrative. Agencies can run OADA/OADR from STAM to identify the amounts entered into OAD and ensure these entries have been thoroughly explained in the D-3A issue narrative. | | | | |
| TIP | The issue narrative must completely and thoroughly explain and justify each D-3A issue. Agencies must ensure it provides the information necessary for the OPB and legislative analysts to have a complete understanding of the issue submitted. Thoroughly review pages 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 - Budget Entity Level or SC1R, SC1D - Department) | | | | | |
| 8.1 | Has a separate department level Schedule I and supporting documents package been submitted by the agency? | Y | Y | | |
| 8.2 | Has a Schedule I and Schedule IB been completed in LAS/PBS for each operating trust fund? | Y | Y | | |

| | | Program or Service (Budget Entity Codes) | | | |
|--------|--|--|----------|--|--|
| Action | | 64100200 | 64100400 | | |
| 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 | Y | | |
| 8.4 | Have the Examination of Regulatory Fees Part I and Part II forms been included for the applicable regulatory programs? | N/A | N/A | | |
| 8.5 | Have the required detailed narratives been provided (5% trust fund reserve narrative; method for computing the distribution of cost for general management and administrative services narrative; adjustments narrative; revenue estimating methodology | Y | Y | | |
| 8.6 | Has the Inter-Agency Transfers Reported on Schedule I form been included as applicable for transfers totaling \$100,000 or more for the fiscal year? | Y | Y | | |
| 8.7 | If the agency is scheduled for the annual trust fund review this year, have the Schedule ID and applicable draft legislation been included for recreation, modification or termination of existing | N/A | N/A | | |
| 8.8 | If the agency is scheduled for the annual trust fund review this year, have the necessary trust funds been requested for creation pursuant to <i>section 215.32(2)(b), Florida Statutes</i> - including the Schedule ID and applicable legislation? | N/A | N/A | | |
| 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, 001070)? | Y | Y | | |
| 8.10 | Are the statutory authority references correct? | Y | Y | | |
| 8.11 | Are the General Revenue Service Charge percentage rates used for each revenue source correct? (Refer to Chapter 2009-78, Laws of Florida, for appropriate general revenue service charge percentage rates.) | Y | Y | | |
| 8.12 | Is this an accurate representation of revenues based on the most recent Consensus Estimating Conference forecasts? | N/A | N/A | | |
| 8.13 | If there is no Consensus Estimating Conference forecast available, do the revenue estimates appear to be reasonable? | Y | N/A | | |
| 8.14 | Are the federal funds revenues reported in Section I broken out by individual grant? Are the correct CFDA codes used? | Y | N/A | | |
| 8.15 | Are anticipated grants included and based on the state fiscal year (rather than federal fiscal year)? | Y | N/A | | |
| 8.16 | Are the Schedule I revenues consistent with the FSI's reported in the Exhibit D-3A? | Y | N/A | | |
| 8.17 | If applicable, are nonrecurring revenues entered into Column | N/A | N/A | | |

| | | Program or Service (Budget Entity Codes) | | | |
|----------------|--|--|----------|--|--|
| Action | | 64100200 | 64100400 | | |
| 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 | N/A | | |
| 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 | N/A | | |
| 8.20 | Are appropriate service charge nonoperating amounts included in Section II? | Y | N/A | | |
| 8.21 | Are nonoperating expenditures to other budget entities/departments cross-referenced accurately? | Y | Y | | |
| 8.22 | Do transfers balance between funds (within the agency as well as between agencies)? (See also 8.6 for required transfer confirmation of amounts totaling \$100,000 or more.) | Y | Y | | |
| 8.23 | Are nonoperating expenditures recorded in Section II and adjustments recorded in Section III? | Y | Y | | |
| 8.24 | Are prior year September operating reversions appropriately shown in column A01? | Y | Y | | |
| 8.25 | Are current year September operating reversions appropriately shown in column A02? | Y | Y | | |
| 8.26 | Does the Schedule IC properly reflect the unreserved fund balance for each trust fund as defined by the LBR Instructions, and is it reconciled to the agency accounting records? | Y | Y | | |
| 8.27 | Does Column A01 of the Schedule I accurately represent the actual prior year accounting data as reflected in the agency accounting records, and is it provided in sufficient detail for | Y | Y | | |
| 8.28 | Does Line I of Column A01 (Schedule I) equal Line K of the Schedule IC? | Y | Y | | |
| AUDITS: | | | | | |
| 8.29 | Is Line I a positive number? (If not, the agency must adjust the budget request to eliminate the deficit). | Y | Y | | |
| 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 | Y | | |
| 8.31 | Has a Department Level Reconciliation been provided for each trust fund and does Line A of the Schedule I equal the CFO amount? If not, the agency must correct Line A. (SC1R, DEPT) | Y | Y | | |

| | | Program or Service (Budget Entity Codes) | | | |
|--|---|--|----------|--|--|
| Action | | 64100200 | 64100400 | | |
| 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 | | | | |
| TIP | Review the unreserved fund balances and compare revenue totals to expenditure totals to determine and understand the trust fund | | | | |
| TIP | Typically nonoperating expenditures and revenues should not be a negative number. Any negative numbers must be fully justified. | | | | |
| 9. SCHEDULE II (PSCR, SC2) | | | | | |
| AUDIT: | | | | | |
| 9.1 | Is the pay grade minimum for salary rate utilized for positions in segments 2 and 3? (BRAR, BRAA - Report should print "No Records Selected For This Request") Note: Amounts other than the pay grade minimum should be fully justified in the D-3A issue narrative. (See <i>Base Rate Audit</i> on page 157 of the LBR Instructions.) | 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.) | 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 OADI or OADR to identify agency other salary amounts requested. | Y | Y | | |
| 11. SCHEDULE IV (EADR, SC4) | | | | | |
| 11.1 | Are the correct Information Technology (IT) issue codes used? | Y | Y | | |
| 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 | 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 detai | | | | | |

| | | Program or Service (Budget Entity Codes) | | | |
|---|---|--|----------|--|--|
| Action | | 64100200 | 64100400 | | |
| 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 | Y | | |
| 15.2 | Do the PDF files uploaded to the Florida Fiscal Portal for the LRPP and LBR match? | Y | 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 | | |
| 15.4 | None of the executive direction, administrative support and information technology statewide activities (ACT0010 thru ACT0490) have output standards (Record Type 5)? (Audit #1 should print "No Activities Found") | Y | Y | | |
| 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") | Y | Y | | |
| 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 | | |
| 15.7 | Does Section I (Final Budget for Agency) and Section III (Total Budget for Agency) equal? (Audit #4 should print "No Discrepancies Found") | Y | Y | | |
| TIP | If Section I and Section III have a small difference, it may be due to rounding and therefore will be acceptable. | | | | |
| 16. 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 | Y | | |
| 16.2 | Are appropriation category totals comparable to Exhibit B, where applicable? | Y | Y | | |
| 16.3 | Are agency organization charts (Schedule X) provided and at the appropriate level of detail? | Y | Y | | |
| 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. | | | | |

| | | Program or Service (Budget Entity Codes) | | | |
|--|---|--|----------|--|--|
| Action | | 64100200 | 64100400 | | |
| 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? | N/A | N/A | | |
| 17.2 | Are the CIP-4 and CIP-5 forms submitted when applicable (see CIP Instructions)? | N/A | N/A | | |
| 17.3 | Do all CIP forms comply with CIP Instructions where applicable (see CIP Instructions)? | N/A | N/A | | |
| 17.4 | Does the agency request include 5 year projections (Columns A03, A06, A07, A08 and A09)? | N/A | N/A | | |
| 17.5 | Are the appropriate counties identified in the narrative? | N/A | N/A | | |
| 17.6 | Has the CIP-2 form (Exhibit B) been modified to include the agency priority for each project and the modified form saved as a PDF document? | N/A | N/A | | |
| TIP Requests for Fixed Capital Outlay appropriations which are Grants and Aids to Local Governments and Non-Profit Organizations must use the Grants and Aids to Local Governments and Non-Profit Organizations - Fixed Capital Outlay major appropriation category (140XXX) and include the sub-title "Grants and Aids". These appropriations utilize a CIP-B form as | | | | | |
| 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 | Y | Y | | |

Fiscal Year 2013-14 LBR Technical Review Checklist

| |
|--|
| Department/Budget Entity (Service): HEALTH / Executive Direction and Support |
| Agency Budget Officer/OPB Analyst Name: Terry Walters / Michelle Tallent |

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

| | Program or Service (Budget Entity Codes) | | | | |
|--------|--|----------|----------|----------|----------|
| Action | 64200100 | 64200200 | 64200300 | 64200400 | 64200600 |

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 | N/A | N/A | N/A |

AUDITS:

| | | | | | |
|--|---|---|-----|-----|-----|
| 1.3 Has Column A03 been copied to Column A12? Run the Exhibit B Audit Comparison Report to verify. (EXBR, EXBA) | Y | Y | N/A | N/A | N/A |
| 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 | Y |
| 2.2 Are the statewide issues generated systematically (estimated expenditures, nonrecurring expenditures, etc.) included? | 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 | N/A | N/A | N/A |
| 2.4 Have the coding guidelines in <i>Section 3</i> of the LBR Instructions (pages 15 through 30) been followed? | Y | Y | N/A | N/A | N/A |

3. EXHIBIT B (EXBR, EXB)

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

| | | Program or Service (Budget Entity Codes) | | | | |
|------------------------------------|--|--|----------|----------|----------|----------|
| Action | | 64200100 | 64200200 | 64200300 | 64200400 | 64200600 |
| 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 | N/A | Y | N/A | N/A | N/A |
| AUDITS: | | | | | | |
| 3.3 | Negative Appropriation Category Audit for Agency Request (Columns A03 and A04): Are all appropriation categories positive by budget entity at the FSI level? Are all nonrecurring amounts less than requested amounts? (NACR, NAC - Report should print "No Negative Appropriation Categories Found") | Y | 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 | 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 | Y |
| 4.2 | Is the program component code and title used correct? | 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. | | | | | |
| 5. EXHIBIT D-1 (ED1R, EXD1) | | | | | | |
| 5.1 | Are all object of expenditures positive amounts? (This is a manual check.) | Y | 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 | Y |

| Action | | Program or Service (Budget Entity Codes) | | | | |
|---|---|--|----------|----------|----------|---|
| | | 64200100 | 64200200 | 64200300 | 64200400 | 64200600 |
| 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.) | N/A | N/A | 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.) | N/A | N/A | N/J | 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 | | | | | |
| 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. | | | | | 64200300 - There are instances where A1 does not equal B8 because B8 is greater than B04. |
| 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 | | | |
| 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 | N/A | N/A | N/A |
| 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 | N/A | N/A | N/A |
| 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? | Y | Y | N/A | N/A | N/A |
| 7.4 | Are all issues with an IT component identified with a "Y" in the "IT COMPONENT?" field? If the issue contains an IT component, has that component been identified and documented? | Y | Y | 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 | Y | N/A | N/A | N/A |

| Action | | Program or Service (Budget Entity Codes) | | | | |
|---------------|---|--|----------|----------|----------|----------|
| | | 64200100 | 64200200 | 64200300 | 64200400 | 64200600 |
| 7.6 | Does the salary rate request amount accurately reflect any new requests and are the amounts proportionate to the Salaries and Benefits request? Note: Salary rate should always be annualized. | Y | Y | 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 (OAD/C)? Amounts entered into OAD are reflected in the Position Detail of Salaries and Benefits section of the Exhibit D-2A. | Y | Y | N/A | N/A | N/A |
| 7.8 | Does the issue narrative include the Consensus Estimating Conference forecast, where appropriate? | Y | N/A | N/A | N/A | N/A |
| 7.9 | Does the issue narrative reference the specific county(ies) where applicable? | Y | Y | N/A | N/A | N/A |
| 7.10 | Do the 160XXX0 issues reflect budget amendments that have been approved (or in the process of being approved) and that have a recurring impact (including Lump Sums)? Have the approved budget amendments been entered in Column A18 as instructed in Memo #13-003? | N/A | N/A | N/A | N/A | N/A |
| 7.11 | When appropriate are there any 160XXX0 issues included to delete positions placed in reserve in the OPB Position and Rate Ledger (e.g. unfunded grants)? Note: Lump sum appropriations not yet allocated should <u>not</u> be deleted. (PLRR, PLMO) | N/A | N/A | N/A | N/A | N/A |
| 7.12 | Does the issue narrative include plans to satisfy additional space requirements when requesting additional positions? | N/A | N/A | N/A | N/A | N/A |
| 7.13 | Has the agency included a 160XXX0 issue and 210XXXX and 260XXX0 issues as required for lump sum distributions? | N/A | N/A | N/A | N/A | N/A |
| 7.14 | Do the amounts reflect appropriate FSI assignments? | Y | Y | N/A | N/A | N/A |
| 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.) | Y | Y | N/A | N/A | N/A |
| 7.16 | Do the issues relating to <i>Information Technology (IT)</i> have a "C" in the sixth position of the issue code (36XXXXCX) and are the correct issue codes used (361XXC0, 362XXC0, 363XXC0, 17C01C0, 17C02C0, 17C03C0, 24010C0, 33001C0 or 55C01C0)? | 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)? | N/A | N/A | N/A | N/A | N/A |
| 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? | Y | Y | N/A | N/A | N/A |
| 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 | Y |

| Action | | Program or Service (Budget Entity Codes) | | | | |
|--|--|--|----------|----------|----------|----------|
| | | 64200100 | 64200200 | 64200300 | 64200400 | 64200600 |
| 7.20 | Does the General Revenue for 160XXXX (Adjustments to Current Year Expenditures) issues net to zero? (GENR, LBR1) | N/A | N/A | N/A | N/A | N/A |
| 7.21 | Does the General Revenue for 180XXXX (Intra-Agency Reorganizations) issues net to zero? (GENR, LBR2) | Y | Y | N/A | N/A | N/A |
| 7.22 | Does the General Revenue for 200XXXX (Estimated Expenditures Realignment) issues net to zero? (GENR, LBR3) | Y | Y | N/A | N/A | N/A |
| 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)) | 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 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 - Budget Entity Level or SC1R, SC1D - Department | | | | | | |
| 8.1 | Has a separate department level Schedule I and supporting documents package been submitted by the agency? | Y | Y | Y | Y | Y |
| 8.2 | Has a Schedule I and Schedule IB been completed in LAS/PBS for each operating trust fund? | Y | Y | Y | Y | Y |

| Action | | Program or Service (Budget Entity Codes) | | | | |
|--------|--|--|----------|----------|----------|----------|
| | | 64200100 | 64200200 | 64200300 | 64200400 | 64200600 |
| 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 | Y | Y | Y | Y |
| 8.4 | Have the Examination of Regulatory Fees Part I and Part II forms been included for the applicable regulatory programs? | Y | Y | N/A | N/A | N/A |
| 8.5 | Have the required detailed narratives been provided (5% trust fund reserve narrative; method for computing the distribution of cost for general management and administrative services narrative; adjustments narrative; revenue estimating methodology | Y | Y | N/A | N/A | N/A |
| 8.6 | Has the Inter-Agency Transfers Reported on Schedule I form been included as applicable for transfers totaling \$100,000 or more for the fiscal year? | Y | Y | Y | Y | Y |
| 8.7 | If the agency is scheduled for the annual trust fund review this year, have the Schedule ID and applicable draft legislation been included for recreation, modification or termination of existing | N | N | N | N | N |
| 8.8 | If the agency is scheduled for the annual trust fund review this year, have the necessary trust funds been requested for creation pursuant to <i>section 215.32(2)(b), Florida Statutes</i> - including the Schedule ID and applicable legislation? | N/A | N/A | N/A | N/A | N/A |
| 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, 001070)? | Y | Y | Y | Y | Y |
| 8.10 | Are the statutory authority references correct? | Y | Y | Y | Y | Y |
| 8.11 | Are the General Revenue Service Charge percentage rates used for each revenue source correct? (Refer to Chapter 2009-78, Laws of Florida, for appropriate general revenue service charge percentage rates.) | Y | Y | Y | Y | Y |
| 8.12 | Is this an accurate representation of revenues based on the most recent Consensus Estimating Conference forecasts? | Y | N/A | N/A | N/A | N/A |
| 8.13 | If there is no Consensus Estimating Conference forecast available, do the revenue estimates appear to be reasonable? | Y | Y | N/A | N/A | N/A |
| 8.14 | Are the federal funds revenues reported in Section I broken out by individual grant? Are the correct CFDA codes used? | Y | Y | Y | Y | Y |
| 8.15 | Are anticipated grants included and based on the state fiscal year (rather than federal fiscal year)? | Y | Y | N/A | N/A | N/A |
| 8.16 | Are the Schedule I revenues consistent with the FSI's reported in the Exhibit D-3A? | Y | Y | N/A | N/A | N/A |
| 8.17 | If applicable, are nonrecurring revenues entered into Column | Y | Y | N/A | N/A | N/A |

| Action | Program or Service (Budget Entity Codes) | | | | |
|---|--|----------|----------|----------|----------|
| | 64200100 | 64200200 | 64200300 | 64200400 | 64200600 |
| 8.18 Has the agency certified the revenue estimates in columns A02 and A03 to be the latest and most accurate available? Does the certification include a statement that the agency will notify OPB of any significant changes in revenue estimates that occur prior to the Governor's Budget Recommendations being issued? | Y | Y | N/A | N/A | N/A |
| 8.19 Is a 5% trust fund reserve reflected in Section II? If not, is sufficient justification provided for exemption? Are the additional narrative requirements provided? | Y | Y | N/A | N/A | N/A |
| 8.20 Are appropriate service charge nonoperating amounts included in Section II? | Y | Y | N/A | N/A | N/A |
| 8.21 Are nonoperating expenditures to other budget entities/departments cross-referenced accurately? | Y | Y | N/A | N/A | N/A |
| 8.22 Do transfers balance between funds (within the agency as well as between agencies)? (See also 8.6 for required transfer confirmation of amounts totaling \$100,000 or more.) | Y | Y | Y | Y | Y |
| 8.23 Are nonoperating expenditures recorded in Section II and adjustments recorded in Section III? | Y | Y | N/A | N/A | N/A |
| 8.24 Are prior year September operating reversions appropriately shown in column A01? | N/A | N/A | Y | Y | Y |
| 8.25 Are current year September operating reversions appropriately shown in column A02? | Y | Y | N/A | N/A | N/A |
| 8.26 Does the Schedule IC properly reflect the unreserved fund balance for each trust fund as defined by the LBR Instructions, and is it reconciled to the agency accounting records? | Y | Y | N/A | N/A | N/A |
| 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 | N/A | N/A | Y | Y | Y |
| 8.28 Does Line I of Column A01 (Schedule I) equal Line K of the Schedule IC? | N/A | N/A | Y | Y | Y |
| AUDITS: | | | | | |
| 8.29 Is Line I a positive number? (If not, the agency must adjust the budget request to eliminate the deficit). | Y | Y | Y | Y | 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 | Y | Y | Y | Y |
| 8.31 Has a Department Level Reconciliation been provided for each trust fund and does Line A of the Schedule I equal the CFO amount? If not, the agency must correct Line A. (SC1R, DEPT) | Y | Y | Y | Y | Y |

| Action | Program or Service (Budget Entity Codes) | | | | |
|---|--|----------|----------|----------|----------|
| | 64200100 | 64200200 | 64200300 | 64200400 | 64200600 |
| 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 | | | | | |
| TIP Review the unreserved fund balances and compare revenue totals to expenditure totals to determine and understand the trust fund | | | | | |
| TIP Typically nonoperating expenditures and revenues should not be a negative number. Any negative numbers must be fully justified. | | | | | |
| 9. SCHEDULE II (PSCR, SC2) | | | | | |
| AUDIT: | | | | | |
| 9.1 Is the pay grade minimum for salary rate utilized for positions in segments 2 and 3? (BRAR, BRAA - Report should print "No Records Selected For This Request") Note: Amounts other than the pay grade minimum should be fully justified in the D-3A issue narrative. (See <i>Base Rate Audit</i> on page 157 of the LBR Instructions.) | Y | 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.) | Y | Y | 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 OADI or OADR to identify agency other salary amounts requested. | Y | Y | N/A | N/A | N/A |
| 11. SCHEDULE IV (EADR, SC4) | | | | | |
| 11.1 Are the correct Information Technology (IT) issue codes used? | Y | Y | 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. | | | | | |
| 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 | Y | N/A | N/A | N/A |
| 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 | N/A | N/A | Y |
| 15. SCHEDULE XI (USCR,SCXI) (LAS/PBS Web - see page 105-109 of the LBR Instructions for detailed i | | | | | |

| Action | | Program or Service (Budget Entity Codes) | | | | |
|---|---|--|----------|----------|----------|----------|
| | | 64200100 | 64200200 | 64200300 | 64200400 | 64200600 |
| 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 | 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 |
| 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) | N/A | N/A | 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") | N/A | N/A | Y | Y | Y |
| 15.5 | Does the Fixed Capital Outlay (FCO) statewide activity (ACT0210) only contain 08XXXX or 14XXXX appropriation categories? (Audit #2 should print "No Operating Categories | N/A | N/A | Y | Y | Y |
| 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 |
| 15.7 | Does Section I (Final Budget for Agency) and Section III (Total Budget for Agency) equal? (Audit #4 should print "No Discrepancies Found") | Y | Y | 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. | | | | | |
| 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 | Y | Y | Y | Y |
| 16.2 | Are appropriation category totals comparable to Exhibit B, where applicable? | 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 |
| 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. | | | | | |

| Action | | Program or Service (Budget Entity Codes) | | | | |
|--|---|--|----------|----------|----------|----------|
| | | 64200100 | 64200200 | 64200300 | 64200400 | 64200600 |
| 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? | N/A | N/A | N/A | N/A | N/A |
| 17.2 | Are the CIP-4 and CIP-5 forms submitted when applicable (see CIP Instructions)? | N/A | N/A | N/A | N/A | N/A |
| 17.3 | Do all CIP forms comply with CIP Instructions where applicable (see CIP Instructions)? | N/A | N/A | N/A | N/A | N/A |
| 17.4 | Does the agency request include 5 year projections (Columns A03, A06, A07, A08 and A09)? | N/A | N/A | N/A | N/A | N/A |
| 17.5 | Are the appropriate counties identified in the narrative? | N/A | N/A | N/A | N/A | N/A |
| 17.6 | Has the CIP-2 form (Exhibit B) been modified to include the agency priority for each project and the modified form saved as a PDF document? | N/A | N/A | N/A | N/A | N/A |
| TIP Requests for Fixed Capital Outlay appropriations which are Grants and Aids to Local Governments and Non-Profit Organizations must use the Grants and Aids to Local Governments and Non-Profit Organizations - Fixed Capital Outlay major appropriation category (140XXX) and include the sub-title "Grants and Aids". These appropriations utilize a CIP-B form as | | | | | | |
| 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 | Y | Y | Y | Y | Y |

Fiscal Year 2013-14 LBR Technical Review Checklist

| |
|--|
| Department/Budget Entity (Service): HEALTH / Community Public Health |
| Agency Budget Officer/OPB Analyst Name: Terry Walters / Michelle Tallent |

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

| | Program or Service (Budget Entity Codes) | | | |
|--------|--|----------|--|--|
| Action | 64200700 | 64200800 | | |

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 | | | |
| 1.2 Is Column A03 set to TRANSFER CONTROL for DISPLAY and UPDATE status for both the Budget and Trust Fund columns? (CSDI) | Y | Y | | | |

AUDITS:

| | | | | | |
|--|---|---|--|--|--|
| 1.3 Has Column A03 been copied to Column A12? Run the Exhibit B Audit Comparison Report to verify. (EXBR, EXBA) | Y | Y | | | |
| 1.4 Has security been set correctly? (CSDR, CSA) | Y | Y | | | |

TIP The agency should prepare the budget request for submission in this order: 1) Lock columns as described above; 2) copy Column A03 to Column A12; and 3) set Column A12 column security to ALL for DISPLAY status and 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 | | | |
| 2.2 Are the statewide issues generated systematically (estimated expenditures, nonrecurring expenditures, etc.) included? | Y | Y | | | |
| 2.3 Are the issue codes and titles consistent with <i>Section 3</i> of the LBR Instructions (pages 15 through 30)? Do they clearly describe the issue? | Y | Y | | | |
| 2.4 Have the coding guidelines in <i>Section 3</i> of the LBR Instructions (pages 15 through 30) been followed? | 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. | Y | Y | | | |
|--|---|---|--|--|--|

| | | Program or Service (Budget Entity Codes) | | | | |
|------------------------------------|--|--|----------|--|--|--|
| Action | | 64200700 | 64200800 | | | |
| 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 | N/A | N/A | | | |
| AUDITS: | | | | | | |
| 3.3 | Negative Appropriation Category Audit for Agency Request (Columns A03 and A04): Are all appropriation categories positive by budget entity at the FSI level? Are all nonrecurring amounts less than requested amounts? (NACR, NAC - Report should print "No Negative Appropriation Categories Found") | Y | Y | | | |
| 3.4 | Current Year Estimated Verification Comparison Report: Is Column A02 equal to Column B07? (EXBR, EXBC - Report should print "Records Selected Net To Zero") | Y | Y | | | |
| TIP | Generally look for and be able to fully explain significant differences between A02 and A03. | | | | | |
| TIP | Exhibit B - A02 equal to B07: Compares Current Year Estimated column to a backup of A02. This audit is necessary to ensure that the historical detail records have not been adjusted. Records selected should net to zero. | | | | | |
| 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 | | | |
| 4.2 | Is the program component code and title used correct? | Y | Y | | | |
| TIP | Fund shifts or transfers of services or activities between program components will be displayed on an Exhibit D whereas it may not be visible on an Exhibit A. | | | | | |
| 5. EXHIBIT D-1 (ED1R, EXD1) | | | | | | |
| 5.1 | Are all object of expenditures positive amounts? (This is a manual check.) | Y | Y | | | |
| AUDITS | | | | | | |
| 5.2 | Do the fund totals agree with the object category totals within each appropriation category? (ED1R, XD1A - Report should print "No Differences Found For This Report") | Y | Y | | | |

| | | Program or Service (Budget Entity Codes) | | | | |
|---|---|--|----------|--|--|--|
| Action | | 64200700 | 64200800 | | | |
| 5.3 | FLAIR Expenditure/Appropriation Ledger Comparison Report: Is Column A01 less than Column B04? (EXBR, EXBB - Negative differences need to be corrected in Column A01.) | Y | Y | | | |
| 5.4 | A01/State Accounts Disbursements and Carry Forward Comparison Report: Does Column A01 equal Column B08? (EXBR, EXBD - Differences need to be corrected in Column A01.) | Y | N/J | | | |
| 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 | | | | | |
| 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. | | | | | A01 does not equal B08 because B08 is greater than B04. There are also differences due the nature of the Biomedical Research Trust Fund. |
| 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 | | | |
| 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 | | | |
| 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 | | | |
| 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? | Y | Y | | | |
| 7.4 | Are all issues with an IT component identified with a "Y" in the "IT COMPONENT?" field? If the issue contains an IT component, has that component been identified and documented? | Y | Y | | | |
| 7.5 | Does the issue narrative explain any variances from the Standard Expense and Human Resource Services Assessments package? Is the nonrecurring portion in the nonrecurring column? (See pages E-4 and E-5 of the LBR Instructions.) | Y | Y | | | |

| Action | | Program or Service (Budget Entity Codes) | | | | |
|---------------|---|--|----------|--|--|--|
| | | 64200700 | 64200800 | | | |
| 7.6 | Does the salary rate request amount accurately reflect any new requests and are the amounts proportionate to the Salaries and Benefits request? Note: Salary rate should always be annualized. | Y | Y | | | |
| 7.7 | Does the issue narrative thoroughly explain/justify all Salaries and Benefits amounts entered into the Other Salary Amounts transactions (OADA/C)? Amounts entered into OAD are reflected in the Position Detail of Salaries and Benefits section of the Position Detail? | Y | Y | | | |
| 7.8 | Does the issue narrative include the Consensus Estimating Conference forecast, where appropriate? | N/A | N | | | |
| 7.9 | Does the issue narrative reference the specific county(ies) where applicable? | Y | N/A | | | |
| 7.10 | Do the 160XXX0 issues reflect budget amendments that have been approved (or in the process of being approved) and that have a recurring impact (including Lump Sums)? Have the approved budget amendments been entered in Column A18 as instructed in Memo #13-003? | 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) | Y | Y | | | |
| 7.12 | Does the issue narrative include plans to satisfy additional space requirements when requesting additional positions? | Y | Y | | | |
| 7.13 | Has the agency included a 160XXX0 issue and 210XXXX and 260XXX0 issues as required for lump sum distributions? | N/A | N/A | | | |
| 7.14 | Do the amounts reflect appropriate FSI assignments? | Y | Y | | | |
| 7.15 | Do the issues relating to <i>salary and benefits</i> have an "A" in the fifth position of the issue code (XXXXAXX) and are they self-contained (not combined with other issues)? (See page 29 and 88 of the LBR Instructions.) | Y | Y | | | |
| 7.16 | Do the issues relating to <i>Information Technology (IT)</i> have a "C" in the sixth position of the issue code (36XXXCX) and are the correct issue codes used (361XXC0, 362XXC0, 363XXC0, 17C01C0, 17C02C0, 17C03C0, 24010C0, 33001C0 or 55C01C0)? | Y | Y | | | |
| 7.17 | Are the issues relating to <i>major audit findings and recommendations</i> properly coded (4A0XXX0, 4B0XXX0)? | Y | Y | | | |
| 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? | Y | Y | | | |
| 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 | | | |

| | | Program or Service (Budget Entity Codes) | | | | |
|---|--|--|----------|--|--|--|
| Action | | 64200700 | 64200800 | | | |
| 7.20 | Does the General Revenue for 160XXXX (Adjustments to Current Year Expenditures) issues net to zero? (GENR, LBR1) | N/A | N/A | | | |
| 7.21 | Does the General Revenue for 180XXXX (Intra-Agency Reorganizations) issues net to zero? (GENR, LBR2) | Y | Y | | | |
| 7.22 | Does the General Revenue for 200XXXX (Estimated Expenditures Realignment) issues net to zero? (GENR, LBR3) | Y | Y | | | |
| 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))) | Y | Y | | | |
| 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 - Budget Entity Level or SC1R, SC1D - Department) | | | | | | |
| 8.1 | Has a separate department level Schedule I and supporting documents package been submitted by the agency? | Y | Y | | | |
| 8.2 | Has a Schedule I and Schedule IB been completed in LAS/PBS for each operating trust fund? | Y | Y | | | |

| | | Program or Service (Budget Entity Codes) | | | | |
|--------|--|--|----------|--|--|--|
| Action | | 64200700 | 64200800 | | | |
| 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 | Y | | | |
| 8.4 | Have the Examination of Regulatory Fees Part I and Part II forms been included for the applicable regulatory programs? | N/A | 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 | Y | Y | | | |
| 8.6 | Has the Inter-Agency Transfers Reported on Schedule I form been included as applicable for transfers totaling \$100,000 or more for the fiscal year? | Y | Y | | | |
| 8.7 | If the agency is scheduled for the annual trust fund review this year, have the Schedule ID and applicable draft legislation been included for recreation, modification or termination of existing | N | N | | | |
| 8.8 | If the agency is scheduled for the annual trust fund review this year, have the necessary trust funds been requested for creation pursuant to <i>section 215.32(2)(b), Florida Statutes</i> - including the Schedule ID and applicable legislation? | N/A | N/A | | | |
| 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 | Y | | | |
| 8.10 | Are the statutory authority references correct? | Y | Y | | | |
| 8.11 | Are the General Revenue Service Charge percentage rates used for each revenue source correct? (Refer to Chapter 2009-78, Laws of Florida, for appropriate general revenue service charge percentage rates.) | Y | Y | | | |
| 8.12 | Is this an accurate representation of revenues based on the most recent Consensus Estimating Conference forecasts? | N/A | Y | | | |
| 8.13 | If there is no Consensus Estimating Conference forecast available, do the revenue estimates appear to be reasonable? | Y | Y | | | |
| 8.14 | Are the federal funds revenues reported in Section I broken out by individual grant? Are the correct CFDA codes used? | Y | Y | | | |
| 8.15 | Are anticipated grants included and based on the state fiscal year (rather than federal fiscal year)? | Y | Y | | | |
| 8.16 | Are the Schedule I revenues consistent with the FSI's reported in the Exhibit D-3A? | Y | Y | | | |
| 8.17 | If applicable, are nonrecurring revenues entered into Column | Y | Y | | | |

| | | Program or Service (Budget Entity Codes) | | | | |
|----------------|--|--|----------|--|--|--|
| Action | | 64200700 | 64200800 | | | |
| 8.18 | Has the agency certified the revenue estimates in columns A02 and A03 to be the latest and most accurate available? Does the certification include a statement that the agency will notify OPB of any significant changes in revenue estimates that occur prior to the Governor's Budget Recommendations being issued? | Y | Y | | | |
| 8.19 | Is a 5% trust fund reserve reflected in Section II? If not, is sufficient justification provided for exemption? Are the additional narrative requirements provided? | Y | Y | | | |
| 8.20 | Are appropriate service charge nonoperating amounts included in Section II? | Y | Y | | | |
| 8.21 | Are nonoperating expenditures to other budget entities/departments cross-referenced accurately? | Y | Y | | | |
| 8.22 | Do transfers balance between funds (within the agency as well as between agencies)? (See also 8.6 for required transfer confirmation of amounts totaling \$100,000 or more.) | Y | Y | | | |
| 8.23 | Are nonoperating expenditures recorded in Section II and adjustments recorded in Section III? | Y | Y | | | |
| 8.24 | Are prior year September operating reversions appropriately shown in column A01? | Y | Y | | | |
| 8.25 | Are current year September operating reversions appropriately shown in column A02? | Y | Y | | | |
| 8.26 | Does the Schedule IC properly reflect the unreserved fund balance for each trust fund as defined by the LBR Instructions, and is it reconciled to the agency accounting records? | Y | Y | | | |
| 8.27 | Does Column A01 of the Schedule I accurately represent the actual prior year accounting data as reflected in the agency accounting records, and is it provided in sufficient detail for | Y | Y | | | |
| 8.28 | Does Line I of Column A01 (Schedule I) equal Line K of the Schedule IC? | Y | Y | | | |
| AUDITS: | | | | | | |
| 8.29 | Is Line I a positive number? (If not, the agency must adjust the budget request to eliminate the deficit). | Y | Y | | | |
| 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 | Y | | | |
| 8.31 | Has a Department Level Reconciliation been provided for each trust fund and does Line A of the Schedule I equal the CFO amount? If not, the agency must correct Line A. (SC1R, DEPT) | Y | Y | | | |

| | | Program or Service (Budget Entity Codes) | | | | |
|--|---|--|----------|--|--|--|
| Action | | 64200700 | 64200800 | | | |
| 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 | | | | | |
| TIP | Review the unreserved fund balances and compare revenue totals to expenditure totals to determine and understand the trust fund | | | | | |
| TIP | Typically nonoperating expenditures and revenues should not be a negative number. Any negative numbers must be fully justified. | | | | | |
| 9. SCHEDULE II (PSCR, SC2) | | | | | | |
| AUDIT: | | | | | | |
| 9.1 | Is the pay grade minimum for salary rate utilized for positions in segments 2 and 3? (BRAR, BRAA - Report should print "No Records Selected For This Request") Note: Amounts other than the pay grade minimum should be fully justified in the D-3A issue narrative. (See <i>Base Rate Audit</i> on page 157 of the LBR Instructions.) | 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.) | Y | Y | | | |
| 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 | Y | | | |
| 11. SCHEDULE IV (EADR, SC4) | | | | | | |
| 11.1 | Are the correct Information Technology (IT) issue codes used? | Y | N/A | | | |
| 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 | 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 details) | | | | | | |

| | | Program or Service (Budget Entity Codes) | | | | |
|---|---|--|----------|--|--|--|
| Action | | 64200700 | 64200800 | | | |
| 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 | Y | | | |
| 15.2 | Do the PDF files uploaded to the Florida Fiscal Portal for the LRPP and LBR match? | Y | 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 | | | |
| 15.4 | None of the executive direction, administrative support and information technology statewide activities (ACT0010 thru ACT0490) have output standards (Record Type 5)? (Audit #1 should print "No Activities Found") | Y | Y | | | |
| 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 | Y | Y | | | |
| 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 | | | |
| 15.7 | Does Section I (Final Budget for Agency) and Section III (Total Budget for Agency) equal? (Audit #4 should print "No Discrepancies Found") | Y | Y | | | |
| TIP | If Section I and Section III have a small difference, it may be due to rounding and therefore will be acceptable. | | | | | |
| 16. 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 | Y | | | |
| 16.2 | Are appropriation category totals comparable to Exhibit B, where applicable? | Y | Y | | | |
| 16.3 | Are agency organization charts (Schedule X) provided and at the appropriate level of detail? | Y | Y | | | |
| 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. | | | | | |

| | | Program or Service (Budget Entity Codes) | | | | |
|--|---|--|----------|--|--|--|
| Action | | 64200700 | 64200800 | | | |
| 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 | | | |
| 17.2 | Are the CIP-4 and CIP-5 forms submitted when applicable (see CIP Instructions)? | Y | Y | | | |
| 17.3 | Do all CIP forms comply with CIP Instructions where applicable (see CIP Instructions)? | Y | Y | | | |
| 17.4 | Does the agency request include 5 year projections (Columns A03, A06, A07, A08 and A09)? | Y | Y | | | |
| 17.5 | Are the appropriate counties identified in the narrative? | 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 | | | |
| 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 | | | | | | |
| 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 | Y | Y | | | |

Fiscal Year 2013-14 LBR Technical Review Checklist

Department/Budget Entity (Service): HEALTH / Children's Special Health Care

Agency Budget Officer/OPB Analyst Name: Terry Walters / Michele Tallent

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

| | Program or Service (Budget Entity Codes) | | | | |
|--------|--|--|--|--|--|
| Action | 64300100 | | | | |

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 | | | | |
| 1.2 Is Column A03 set to TRANSFER CONTROL for DISPLAY and UPDATE status for both the Budget and Trust Fund columns? (CSDI) | Y | | | | |

AUDITS:

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

2. EXHIBIT A (EADR, EXA)

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

3. EXHIBIT B (EXBR, EXB)

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

AUDITS:

| | | Program or Service (Budget Entity Codes) | | | | |
|------------------------------------|--|--|--|--|--|--|
| Action | | 64300100 | | | | |
| 3.3 | Negative Appropriation Category Audit for Agency Request (Columns A03 and A04): Are all appropriation categories positive by budget entity at the FSI level? Are all nonrecurring amounts less than requested amounts? (NACR, NAC - Report should print "No Negative Appropriation Categories Found") | Y | | | | |
| 3.4 | Current Year Estimated Verification Comparison Report: Is Column A02 equal to Column B07? (EXBR, EXBC - Report should print "Records Selected Net To Zero") | Y | | | | |
| TIP | Generally look for and be able to fully explain significant differences between A02 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 | | | | |
| 4.2 | Is the program component code and title used correct? | Y | | | | |
| TIP | Fund shifts or transfers of services or activities between program components will be displayed on an Exhibit D whereas it may not be visible on an Exhibit A. | | | | | |
| 5. EXHIBIT D-1 (ED1R, EXD1) | | | | | | |
| 5.1 | Are all object of expenditures positive amounts? (This is a manual check.) | Y | | | | |
| AUDITS | | | | | | |
| 5.2 | Do the fund totals agree with the object category totals within each appropriation category? (ED1R, XD1A - Report should print "No Differences Found For This Report") | Y | | | | |
| 5.3 | FLAIR Expenditure/Appropriation Ledger Comparison Report: Is Column A01 less than Column B04? (EXBR, EXBB - Negative differences need to be corrected in Column A01.) | Y | | | | |
| 5.4 | A01/State Accounts Disbursements and Carry Forward Comparison Report: Does Column A01 equal Column B08? (EXBR, EXBD - Differences need to be corrected in Column A01.) | Y | | | | |

| | | Program or Service (Budget Entity Codes) | | | | |
|---|---|--|--|--|--|--|
| Action | | 64300100 | | | | |
| 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 | | | | |
| 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 | | | | |
| 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 | | | | |
| 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? | Y | | | | |
| 7.4 | Are all issues with an IT component identified with a "Y" in the "IT COMPONENT?" field? If the issue contains an IT component, has that component been identified and documented? | Y | | | | |
| 7.5 | Does the issue narrative explain any variances from the Standard Expense and Human Resource Services Assessments package? Is the nonrecurring portion in the nonrecurring column? (See pages E-4 and E-5 of the LBR Instructions.) | Y | | | | |
| 7.6 | Does the salary rate request amount accurately reflect any new requests and are the amounts proportionate to the Salaries and Benefits request? Note: Salary rate should always be annualized. | Y | | | | |
| 7.7 | Does the issue narrative thoroughly explain/justify all Salaries and Benefits amounts entered into the Other Salary Amounts transactions (OADA/C)? Amounts entered into OAD are reflected in the Position Detail of Salaries and Benefits section of the Exhibit D-3A. | Y | | | | |

| | | Program or Service (Budget Entity Codes) | | | | |
|---------------|---|--|--|--|--|--|
| Action | | 64300100 | | | | |
| 7.8 | Does the issue narrative include the Consensus Estimating Conference forecast, where appropriate? | Y | | | | |
| 7.9 | Does the issue narrative reference the specific county(ies) where applicable? | Y | | | | |
| 7.10 | Do the 160XXX0 issues reflect budget amendments that have been approved (or in the process of being approved) and that have a recurring impact (including Lump Sums)? Have the approved budget amendments been entered in Column A18 as instructed in Memo #13-003? | 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) | Y | | | | |
| 7.12 | Does the issue narrative include plans to satisfy additional space requirements when requesting additional positions? | Y | | | | |
| 7.13 | Has the agency included a 160XXX0 issue and 210XXXX and 260XXX0 issues as required for lump sum distributions? | N/A | | | | |
| 7.14 | Do the amounts reflect appropriate FSI assignments? | Y | | | | |
| 7.15 | Do the issues relating to <i>salary and benefits</i> have an "A" in the fifth position of the issue code (XXXXAXX) and are they self-contained (not combined with other issues)? (See page 29 and 88 of the LBR Instructions.) | Y | | | | |
| 7.16 | Do the issues relating to <i>Information Technology (IT)</i> have a "C" in the sixth position of the issue code (36XXXXCX) and are the correct issue codes used (361XXC0, 362XXC0, 363XXC0, 17C01C0, 17C02C0, 17C03C0, 24010C0, 33001C0 or 55C01C0)? | Y | | | | |
| 7.17 | Are the issues relating to <i>major audit findings and recommendations</i> properly coded (4A0XXX0, 4B0XXX0)? | Y | | | | |
| 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? | Y | | | | |
| 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 | | | | |
| 7.20 | Does the General Revenue for 160XXXX (Adjustments to Current Year Expenditures) issues net to zero? (GENR, LBR1) | Y | | | | |
| 7.21 | Does the General Revenue for 180XXXX (Intra-Agency Reorganizations) issues net to zero? (GENR, LBR2) | Y | | | | |
| 7.22 | Does the General Revenue for 200XXXX (Estimated Expenditures Realignment) issues net to zero? (GENR, LBR3) | Y | | | | |

| | | Program or Service (Budget Entity Codes) | | | | |
|--|--|--|--|--|--|--|
| Action | | 64300100 | | | | |
| 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)) | N/A | | | | |
| TIP | Salaries and Benefits amounts entered using the OADA/C transactions must be thoroughly justified in the D-3A issue narrative. Agencies can run OADA/OADR from STAM to identify the amounts entered into OAD and ensure these entries have been thoroughly explained in the D-3A issue narrative. | | | | | |
| TIP | The issue narrative must completely and thoroughly explain and justify each D-3A issue. Agencies must ensure it provides the information necessary for the OPB and legislative analysts to have a complete understanding of the issue submitted. Thoroughly review pages 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 - Budget Entity Level or SC1R, SC1D - Department Level | | | | | | |
| 8.1 | Has a separate department level Schedule I and supporting documents package been submitted by the agency? | Y | | | | |
| 8.2 | Has a Schedule I 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 | 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 | | | | |

| | | Program or Service (Budget Entity Codes) | | | | |
|--------|--|--|--|--|--|--|
| Action | | 64300100 | | | | |
| 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? | Y | | | | |
| 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? | Y | | | | |
| 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? | Y | | | | |
| 8.13 | If there is no Consensus Estimating Conference forecast available, do the revenue estimates appear to be reasonable? | Y | | | | |
| 8.14 | Are the federal funds revenues reported in Section I broken out by individual grant? Are the correct CFDA codes used? | Y | | | | |
| 8.15 | Are anticipated grants included and based on the state fiscal year (rather than federal fiscal year)? | Y | | | | |
| 8.16 | Are the Schedule I revenues consistent with the FSI's reported in the Exhibit D-3A? | Y | | | | |
| 8.17 | If applicable, are nonrecurring revenues entered into Column A04? | Y | | | | |
| 8.18 | Has the agency certified the revenue estimates in columns A02 and A03 to be the latest and most accurate available? Does the certification include a statement that the agency will notify OPB of any significant changes in revenue estimates that occur prior to the Governor's Budget Recommendations being issued? | Y | | | | |
| 8.19 | Is a 5% trust fund reserve reflected in Section II? If not, is sufficient justification provided for exemption? Are the additional narrative requirements provided? | Y | | | | |
| 8.20 | Are appropriate service charge nonoperating amounts included in Section II? | Y | | | | |
| 8.21 | Are nonoperating expenditures to other budget entities/departments cross-referenced accurately? | Y | | | | |

| | | Program or Service (Budget Entity Codes) | | | | |
|-----------------------------------|--|--|--|--|--|--|
| Action | | 64300100 | | | | |
| 8.22 | Do transfers balance between funds (within the agency as well as between agencies)? (See also 8.6 for required transfer confirmation of amounts totaling \$100,000 or more.) | Y | | | | |
| 8.23 | Are nonoperating expenditures recorded in Section II and adjustments recorded in Section III? | Y | | | | |
| 8.24 | Are prior year September operating reversions appropriately shown in column A01? | Y | | | | |
| 8.25 | Are current year September operating reversions appropriately shown in column A02? | Y | | | | |
| 8.26 | Does the Schedule IC properly reflect the unreserved fund balance for each trust fund as defined by the LBR Instructions, and is it reconciled to the agency accounting records? | Y | | | | |
| 8.27 | Does Column A01 of the Schedule I accurately represent the actual prior year accounting data as reflected in the agency accounting records, and is it provided in sufficient detail for analysis? | Y | | | | |
| 8.28 | Does Line I of Column A01 (Schedule I) equal Line K of the Schedule IC? | Y | | | | |
| AUDITS: | | | | | | |
| 8.29 | Is Line I a positive number? (If not, the agency must adjust the budget request to eliminate the deficit). | Y | | | | |
| 8.30 | Is the June 30 Adjusted Unreserved Fund Balance (Line I) equal to the July 1 Unreserved Fund Balance (Line A) of the following year? 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 | 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: | | | | | | |

| | | Program or Service (Budget Entity Codes) | | | | |
|---|---|--|--|--|--|--|
| Action | | 64300100 | | | | |
| 9.1 | Is the pay grade minimum for salary rate utilized for positions in segments 2 and 3? (BRAR, BRAA - Report should print "No Records Selected For This Request") Note: Amounts other than the pay grade minimum should be fully justified in the D-3A issue narrative. (See <i>Base Rate Audit</i> on page 157 of the LBR Instructions.) | Y | | | | |
| 10. SCHEDULE III (PSCR, SC3) | | | | | | |
| 10.1 | Is the appropriate lapse amount applied in Segment 3? (See page 90 of the LBR Instructions.) | Y | | | | |
| 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? | Y | | | | |
| 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 | | | | |
| 15. SCHEDULE XI (USCR,SCXI) (LAS/PBS Web - see page 105-109 of the LBR Instructions for detailed instr | | | | | | |
| 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) | | | | | |
| 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 | | | | |

| | | Program or Service (Budget Entity Codes) | | | | |
|---|---|--|--|--|--|--|
| Action | | 64300100 | | | | |
| 15.5 | Does the Fixed Capital Outlay (FCO) statewide activity (ACT0210) only contain 08XXXX or 14XXXX appropriation categories? (Audit #2 should print "No Operating Categories Found") | Y | | | | |
| 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 | | | | |
| 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 | | | | |
| 16.3 | Are agency organization charts (Schedule X) provided and at the appropriate level of detail? | 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 | | | | |
| 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 | | | | |
| 17.4 | Does the agency request include 5 year projections (Columns A03, A06, A07, A08 and A09)? | Y | | | | |
| 17.5 | Are the appropriate counties identified in the narrative? | 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 | | | | |

| | | | | |
|---|---|---|--|--|
| | Program or Service (Budget Entity Codes) | | | |
| Action | 64300100 | | | |
| <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 | | |

Fiscal Year 2013-14 LBR Technical Review Checklist

| |
|--|
| Department/Budget Entity (Service): HEALTH / HEALTH CARE PRACTITIONER AND ACCESS |
| Agency Budget Officer/OPB Analyst Name: Terry Walters / Michelle Tallent |

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

| | Program or Service (Budget Entity Codes) | | | |
|--------|--|--|----------|--|
| Action | 64400100 | | 64400200 | |

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 | |
| 1.2 Is Column A03 set to TRANSFER CONTROL for DISPLAY and UPDATE status for both the Budget and Trust Fund columns? (CSDI) | | | N/A | |

AUDITS:

| | | | | |
|--|---|--|---|--|
| 1.3 Has Column A03 been copied to Column A12? Run the Exhibit B Audit Comparison Report to verify. (EXBR, EXBA) | Y | | Y | |
| 1.4 Has security been set correctly? (CSDR, CSA) | Y | | Y | |

| | | | | |
|---|--|--|--|--|
| TIP The agency should prepare the budget request for submission in this order: 1) Lock columns as described above; 2) copy Column A03 to Column A12; and 3) set Column A12 column security to ALL for DISPLAY status and 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 | |
| 2.2 Are the statewide issues generated systematically (estimated expenditures, nonrecurring expenditures, etc.) included? | Y | | Y | |
| 2.3 Are the issue codes and titles consistent with <i>Section 3</i> of the LBR Instructions (pages 15 through 30)? Do they clearly describe the issue? | Y | | N/A | |
| 2.4 Have the coding guidelines in <i>Section 3</i> of the LBR Instructions (pages 15 through 30) been followed? | Y | | N/A | |

3. EXHIBIT B (EXBR, EXB)

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

| | | Program or Service (Budget Entity Codes) | | | | |
|------------------------------------|--|--|--|----------|--|--|
| Action | | 64400100 | | 64400200 | | |
| 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 | Y | | N/A | | |
| AUDITS: | | | | | | |
| 3.3 | Negative Appropriation Category Audit for Agency Request (Columns A03 and A04): Are all appropriation categories positive by budget entity at the FSI level? Are all nonrecurring amounts less than requested amounts? (NACR, NAC - Report should print "No Negative Appropriation Categories Found") | 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 | | N/A | | |
| TIP | Generally look for and be able to fully explain significant differences between A02 and A03. | | | | | |
| TIP | Exhibit B - A02 equal to B07: Compares Current Year Estimated column to a backup of A02. This audit is necessary to ensure that the historical detail records have not been adjusted. Records selected should net to zero. | | | | | |
| 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 | | |
| 4.2 | Is the program component code and title used correct? | Y | | Y | | |
| TIP | Fund shifts or transfers of services or activities between program components will be displayed on an Exhibit D whereas it may not be visible on an Exhibit A. | | | | | |
| 5. EXHIBIT D-1 (ED1R, EXD1) | | | | | | |
| 5.1 | Are all object of expenditures positive amounts? (This is a manual check.) | Y | | Y | | |
| AUDITS | | | | | | |
| 5.2 | Do the fund totals agree with the object category totals within each appropriation category? (ED1R, XD1A - Report should print "No Differences Found For This Report") | Y | | Y | | |

| | | Program or Service (Budget Entity Codes) | | | | |
|---|---|--|--|----------|--|--|
| Action | | 64400100 | | 64400200 | | |
| 5.3 | FLAIR Expenditure/Appropriation Ledger Comparison Report: Is Column A01 less than Column B04? (EXBR, EXBB - Negative differences need to be corrected in Column A01.) | Y | | Y | | |
| 5.4 | A01/State Accounts Disbursements and Carry Forward Comparison Report: Does Column A01 equal Column B08? (EXBR, EXBD - Differences need to be corrected in Column A01.) | Y | | Y | | |
| TIP | If objects are negative amounts, the agency must make adjustments to Column A01 to correct the object amounts. In addition, the fund totals must be adjusted to reflect the adjustment | | | | | |
| 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 | | |
| 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 | | |
| 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 | | N/A | | |
| 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? | Y | | N/A | | |
| 7.4 | Are all issues with an IT component identified with a "Y" in the "IT COMPONENT?" field? If the issue contains an IT component, has that component been identified and documented? | Y | | 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 | | |

| | | Program or Service (Budget Entity Codes) | | | | |
|---------------|---|--|--|----------|--|--|
| Action | | 64400100 | | 64400200 | | |
| 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 | | |
| 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 Position Detail. | Y | | N/A | | |
| 7.8 | Does the issue narrative include the Consensus Estimating Conference forecast, where appropriate? | N/A | | N/A | | |
| 7.9 | Does the issue narrative reference the specific county(ies) where applicable? | N/A | | N/A | | |
| 7.10 | Do the 160XXX0 issues reflect budget amendments that have been approved (or in the process of being approved) and that have a recurring impact (including Lump Sums)? Have the approved budget amendments been entered in Column A18 as instructed in Memo #13-003? | Y | | N/A | | |
| 7.11 | When appropriate are there any 160XXX0 issues included to delete positions placed in reserve in the OPB Position and Rate Ledger (e.g. unfunded grants)? Note: Lump sum appropriations not yet allocated should <u>not</u> be deleted. (PLRR, PLMO) | Y | | N/A | | |
| 7.12 | Does the issue narrative include plans to satisfy additional space requirements when requesting additional positions? | Y | | N/A | | |
| 7.13 | Has the agency included a 160XXX0 issue and 210XXXX and 260XXX0 issues as required for lump sum distributions? | Y | | N/A | | |
| 7.14 | Do the amounts reflect appropriate FSI assignments? | Y | | Y | | |
| 7.15 | Do the issues relating to <i>salary and benefits</i> have an "A" in the fifth position of the issue code (XXXXAXX) and are they self-contained (not combined with other issues)? (See page 29 and 88 of the LBR Instructions.) | Y | | N/A | | |
| 7.16 | Do the issues relating to <i>Information Technology (IT)</i> have a "C" in the sixth position of the issue code (36XXXCX) and are the correct issue codes used (361XXC0, 362XXC0, 363XXC0, 17C01C0, 17C02C0, 17C03C0, 24010C0, 33001C0 or 55C01C0)? | Y | | N/A | | |
| 7.17 | Are the issues relating to <i>major audit findings and recommendations</i> properly coded (4A0XXX0, 4B0XXX0)? | Y | | N/A | | |
| 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? | Y | | N/A | | |
| 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 | | |

| | | Program or Service (Budget Entity Codes) | | | | |
|---|--|--|--|----------|--|--|
| Action | | 64400100 | | 64400200 | | |
| 7.20 | Does the General Revenue for 160XXXX (Adjustments to Current Year Expenditures) issues net to zero? (GENR, LBR1) | Y | | N/A | | |
| 7.21 | Does the General Revenue for 180XXXX (Intra-Agency Reorganizations) issues net to zero? (GENR, LBR2) | Y | | N/A | | |
| 7.22 | Does the General Revenue for 200XXXX (Estimated Expenditures Realignment) issues net to zero? (GENR, LBR3) | Y | | N/A | | |
| 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))) | N/A | | N/A | | |
| TIP | Salaries and Benefits amounts entered using the OADA/C transactions must be thoroughly justified in the D-3A issue narrative. Agencies can run OADA/OADR from STAM to identify the amounts entered into OAD and ensure these entries have been thoroughly explained in the D-3A issue narrative. | | | | | |
| TIP | The issue narrative must completely and thoroughly explain and justify each D-3A issue. Agencies must ensure it provides the information necessary for the OPB and legislative analysts to have a complete understanding of the issue submitted. Thoroughly review pages 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 - Budget Entity Level or SC1R, SC1D - Department) | | | | | | |
| 8.1 | Has a separate department level Schedule I and supporting documents package been submitted by the agency? | | | N/A | | |
| 8.2 | Has a Schedule I and Schedule IB been completed in LAS/PBS for each operating trust fund? | Y | | N/A | | |

| Action | | Program or Service (Budget Entity Codes) | | | | |
|--------|--|--|--|----------|--|--|
| | | 64400100 | | 64400200 | | |
| 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 | | N/A | | |
| 8.4 | Have the Examination of Regulatory Fees Part I and Part II forms been included for the applicable regulatory programs? | Y | | N/A | | |
| 8.5 | Have the required detailed narratives been provided (5% trust fund reserve narrative; method for computing the distribution of cost for general management and administrative services narrative; adjustments narrative; revenue estimating methodology | Y | | N/A | | |
| 8.6 | Has the Inter-Agency Transfers Reported on Schedule I form been included as applicable for transfers totaling \$100,000 or more for the fiscal year? | Y | | Y | | |
| 8.7 | If the agency is scheduled for the annual trust fund review this year, have the Schedule ID and applicable draft legislation been included for recreation, modification or termination of existing | Y | | N/A | | |
| 8.8 | If the agency is scheduled for the annual trust fund review this year, have the necessary trust funds been requested for creation pursuant to <i>section 215.32(2)(b), Florida Statutes</i> - including the Schedule ID and applicable legislation? | Y | | N/A | | |
| 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 | | Y | | |
| 8.10 | Are the statutory authority references correct? | Y | | Y | | |
| 8.11 | Are the General Revenue Service Charge percentage rates used for each revenue source correct? (Refer to Chapter 2009-78, Laws of Florida, for appropriate general revenue service charge percentage rates.) | Y | | N/A | | |
| 8.12 | Is this an accurate representation of revenues based on the most recent Consensus Estimating Conference forecasts? | N/A | | N/A | | |
| 8.13 | If there is no Consensus Estimating Conference forecast available, do the revenue estimates appear to be reasonable? | Y | | N/A | | |
| 8.14 | Are the federal funds revenues reported in Section I broken out by individual grant? Are the correct CFDA codes used? | Y | | Y | | |
| 8.15 | Are anticipated grants included and based on the state fiscal year (rather than federal fiscal year)? | Y | | N/A | | |
| 8.16 | Are the Schedule I revenues consistent with the FSI's reported in the Exhibit D-3A? | Y | | N/A | | |
| 8.17 | If applicable, are nonrecurring revenues entered into Column | Y | | N/A | | |

| | | Program or Service (Budget Entity Codes) | | | | |
|----------------|--|--|--|----------|--|--|
| Action | | 64400100 | | 64400200 | | |
| 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 | | N/A | | |
| 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 | | N/A | | |
| 8.20 | Are appropriate service charge nonoperating amounts included in Section II? | Y | | N/A | | |
| 8.21 | Are nonoperating expenditures to other budget entities/departments cross-referenced accurately? | Y | | Y | | |
| 8.22 | Do transfers balance between funds (within the agency as well as between agencies)? (See also 8.6 for required transfer confirmation of amounts totaling \$100,000 or more.) | Y | | Y | | |
| 8.23 | Are nonoperating expenditures recorded in Section II and adjustments recorded in Section III? | Y | | Y | | |
| 8.24 | Are prior year September operating reversions appropriately shown in column A01? | Y | | Y | | |
| 8.25 | Are current year September operating reversions appropriately shown in column A02? | Y | | Y | | |
| 8.26 | Does the Schedule IC properly reflect the unreserved fund balance for each trust fund as defined by the LBR Instructions, and is it reconciled to the agency accounting records? | Y | | Y | | |
| 8.27 | Does Column A01 of the Schedule I accurately represent the actual prior year accounting data as reflected in the agency accounting records, and is it provided in sufficient detail for | Y | | Y | | |
| 8.28 | Does Line I of Column A01 (Schedule I) equal Line K of the Schedule IC? | Y | | Y | | |
| AUDITS: | | | | | | |
| 8.29 | Is Line I a positive number? (If not, the agency must adjust the budget request to eliminate the deficit). | Y | | Y | | |
| 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 | | Y | | |
| 8.31 | Has a Department Level Reconciliation been provided for each trust fund and does Line A of the Schedule I equal the CFO amount? If not, the agency must correct Line A. (SC1R, DEPT) | Y | | Y | | |

| | | Program or Service (Budget Entity Codes) | | | |
|--|---|--|--|----------|--|
| Action | | 64400100 | | 64400200 | |
| 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 | | | | |
| TIP | Review the unreserved fund balances and compare revenue totals to expenditure totals to determine and understand the trust fund | | | | |
| TIP | Typically nonoperating expenditures and revenues should not be a negative number. Any negative numbers must be fully justified. | | | | |
| 9. SCHEDULE II (PSCR, SC2) | | | | | |
| AUDIT: | | | | | |
| 9.1 | Is the pay grade minimum for salary rate utilized for positions in segments 2 and 3? (BRAR, BRAA - Report should print "No Records Selected For This Request") Note: Amounts other than the pay grade minimum should be fully justified in the D-3A issue narrative. (See <i>Base Rate Audit</i> on page 157 of the LBR Instructions.) | Y | | N/A | |
| 10. SCHEDULE III (PSCR, SC3) | | | | | |
| 10.1 | Is the appropriate lapse amount applied in Segment 3? (See page 90 of the LBR Instructions.) | Y | | 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 OADI or OADR to identify agency other salary amounts requested. | Y | | N/A | |
| 11. SCHEDULE IV (EADR, SC4) | | | | | |
| 11.1 | Are the correct Information Technology (IT) issue codes used? | Y | | N/A | |
| 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 | | N/A | |
| 13. SCHEDULE VIIIB-1 (EADR, S8B1) | | | | | |
| 13.1 | NOT REQUIRED FOR THIS YEAR | | | N/A | |
| 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 | | N/A | |
| 15. SCHEDULE XI (USCR, SCXI) (LAS/PBS Web - see page 105-109 of the LBR Instructions for detailed | | | | | |

| | | Program or Service (Budget Entity Codes) | | | | |
|---|---|--|--|----------|--|--|
| Action | | 64400100 | | 64400200 | | |
| 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 | | N/A | | |
| 15.2 | Do the PDF files uploaded to the Florida Fiscal Portal for the LRPP and LBR match? | Y | | N/A | | |
| 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 | | |
| 15.4 | None of the executive direction, administrative support and information technology statewide activities (ACT0010 thru ACT0490) have output standards (Record Type 5)? (Audit #1 should print "No Activities Found") | Y | | Y | | |
| 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 | Y | | Y | | |
| 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 | | |
| 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 | | N/A | | |
| TIP | If Section I and Section III have a small difference, it may be due to rounding and therefore will be acceptable. | | | | | |
| 16. 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 | | N/A | | |
| 16.2 | Are appropriation category totals comparable to Exhibit B, where applicable? | Y | | N/A | | |
| 16.3 | Are agency organization charts (Schedule X) provided and at the appropriate level of detail? | Y | | N/A | | |
| 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. | | | | | |

| | | Program or Service (Budget Entity Codes) | | | |
|--|---|--|--|----------|--|
| Action | | 64400100 | | 64400200 | |
| 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? | N/A | | N/A | |
| 17.2 | Are the CIP-4 and CIP-5 forms submitted when applicable (see CIP Instructions)? | N/A | | N/A | |
| 17.3 | Do all CIP forms comply with CIP Instructions where applicable (see CIP Instructions)? | N/A | | N/A | |
| 17.4 | Does the agency request include 5 year projections (Columns A03, A06, A07, A08 and A09)? | N/A | | N/A | |
| 17.5 | Are the appropriate counties identified in the narrative? | N/A | | N/A | |
| 17.6 | Has the CIP-2 form (Exhibit B) been modified to include the agency priority for each project and the modified form saved as a PDF document? | N/A | | N/A | |
| TIP Requests for Fixed Capital Outlay appropriations which are Grants and Aids to Local Governments and Non-Profit Organizations must use the Grants and Aids to Local Governments and Non-Profit Organizations - Fixed Capital Outlay major appropriation category (140XXX) and include the sub-title "Grants and Aids". These appropriations utilize a CIP-B form as | | | | | |
| 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 | Y | | Y | |

Fiscal Year 2013-14 LBR Technical Review Checklist

| |
|--|
| Department/Budget Entity (Service): HEALTH / Disability Determinations |
| Agency Budget Officer/OPB Analyst Name: Terry Walters / Michelle Tallent |

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

| | Program or Service (Budget Entity Codes) | | | |
|--------|--|--|--|--|
| Action | 64500100 | | | |

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 | | | | |
| 1.2 Is Column A03 set to TRANSFER CONTROL for DISPLAY and UPDATE status for both the Budget and Trust Fund columns? (CSDI) | | | | | |

AUDITS:

| | | | | | |
|--|---|--|--|--|--|
| 1.3 Has Column A03 been copied to Column A12? Run the Exhibit B Audit Comparison Report to verify. (EXBR, EXBA) | Y | | | | |
| 1.4 Has security been set correctly? (CSDR, CSA) | Y | | | | |

TIP The agency should prepare the budget request for submission in this order: 1) Lock columns as described above; 2) copy Column A03 to Column A12; and 3) set Column A12 column security to ALL for DISPLAY status and MANAGEMENT CONTROL for UPDATE status.

2. EXHIBIT A (EADR, EXA)

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

3. EXHIBIT B (EXBR, EXB)

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

| | | Program or Service (Budget Entity Codes) | | | |
|------------------------------------|--|--|--|--|--|
| Action | | 64500100 | | | |
| 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 | N/A | | | |
| AUDITS: | | | | | |
| 3.3 | Negative Appropriation Category Audit for Agency Request (Columns A03 and A04): Are all appropriation categories positive by budget entity at the FSI level? Are all nonrecurring amounts less than requested amounts? (NACR, NAC - Report should print "No Negative Appropriation Categories Found") | Y | | | |
| 3.4 | Current Year Estimated Verification Comparison Report: Is Column A02 equal to Column B07? (EXBR, EXBC - Report should print "Records Selected Net To Zero") | Y | | | |
| TIP | Generally look for and be able to fully explain significant differences between A02 and A03. | | | | |
| TIP | Exhibit B - A02 equal to B07: Compares Current Year Estimated column to a backup of A02. This audit is necessary to ensure that the historical detail records have not been adjusted. Records selected should net to zero. | | | | |
| 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 | | | |
| 4.2 | Is the program component code and title used correct? | Y | | | |
| TIP | Fund shifts or transfers of services or activities between program components will be displayed on an Exhibit D whereas it may not be visible on an Exhibit A. | | | | |
| 5. EXHIBIT D-1 (ED1R, EXD1) | | | | | |
| 5.1 | Are all object of expenditures positive amounts? (This is a manual check.) | Y | | | |
| AUDITS | | | | | |
| 5.2 | Do the fund totals agree with the object category totals within each appropriation category? (ED1R, XD1A - Report should print "No Differences Found For This Report") | Y | | | |

| | | Program or Service (Budget Entity Codes) | | | | |
|---|---|--|--|--|--|--|
| Action | | 64500100 | | | | |
| 5.3 | FLAIR Expenditure/Appropriation Ledger Comparison Report: Is Column A01 less than Column B04? (EXBR, EXBB - Negative differences need to be corrected in Column A01.) | Y | | | | |
| 5.4 | A01/State Accounts Disbursements and Carry Forward Comparison Report: Does Column A01 equal Column B08? (EXBR, EXBD - Differences need to be corrected in Column A01.) | N/J | | | | |
| 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 | | | | | |
| 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. | | | | | There are instances where A1 does not equal B8 because B8 is greater than B04. |
| 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 | | | | |
| 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 | | | | |
| 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 | | | | |
| 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? | Y | | | | |
| 7.4 | Are all issues with an IT component identified with a "Y" in the "IT COMPONENT?" field? If the issue contains an IT component, has that component been identified and documented? | Y | | | | |
| 7.5 | Does the issue narrative explain any variances from the Standard Expense and Human Resource Services Assessments package? Is the nonrecurring portion in the nonrecurring column? (See pages E-4 and E-5 of the LBR Instructions.) | Y | | | | |

| | | Program or Service (Budget Entity Codes) | | | | |
|---------------|--|--|--|--|--|--|
| Action | | 64500100 | | | | |
| 7.6 | Does the salary rate request amount accurately reflect any new requests and are the amounts proportionate to the Salaries and Benefits request? Note: Salary rate should always be annualized. | Y | | | | |
| 7.7 | Does the issue narrative thoroughly explain/justify all Salaries and Benefits amounts entered into the Other Salary Amounts transactions (OADA/C)? Amounts entered into OAD are reflected in the Position Detail of Salaries and Benefits section of the Financial Report? | Y | | | | |
| 7.8 | Does the issue narrative include the Consensus Estimating Conference forecast, where appropriate? | Y | | | | |
| 7.9 | Does the issue narrative reference the specific county(ies) where applicable? | Y | | | | |
| 7.10 | Do the 160XXX0 issues reflect budget amendments that have been approved (or in the process of being approved) and that have a recurring impact (including Lump Sums)? Have the approved budget amendments been entered in Column A18 as instructed in Memo #13-003? | 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) | Y | | | | |
| 7.12 | Does the issue narrative include plans to satisfy additional space requirements when requesting additional positions? | Y | | | | |
| 7.13 | Has the agency included a 160XXX0 issue and 210XXXX and 260XXX0 issues as required for lump sum distributions? | Y | | | | |
| 7.14 | Do the amounts reflect appropriate FSI assignments? | Y | | | | |
| 7.15 | Do the issues relating to <i>salary and benefits</i> have an "A" in the fifth position of the issue code (XXXXAXX) and are they self-contained (not combined with other issues)? (See page 29 and 88 of the LBR Instructions.) | Y | | | | |
| 7.16 | Do the issues relating to <i>Information Technology (IT)</i> have a "C" in the sixth position of the issue code (36XXXXCX) and are the correct issue codes used (361XXC0, 362XXC0, 363XXC0, 17C01C0, 17C02C0, 17C03C0, 24010C0, 33001C0 or 55C01C0)? | Y | | | | |
| 7.17 | Are the issues relating to <i>major audit findings and recommendations</i> properly coded (4A0XXX0, 4B0XXX0)? | Y | | | | |
| 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? | Y | | | | |
| 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 | | | | |

| | | Program or Service (Budget Entity Codes) | | | | |
|---|--|--|--|--|--|--|
| Action | | 64500100 | | | | |
| 7.20 | Does the General Revenue for 160XXXX (Adjustments to Current Year Expenditures) issues net to zero? (GENR, LBR1) | Y | | | | |
| 7.21 | Does the General Revenue for 180XXXX (Intra-Agency Reorganizations) issues net to zero? (GENR, LBR2) | Y | | | | |
| 7.22 | Does the General Revenue for 200XXXX (Estimated Expenditures Realignment) issues net to zero? (GENR, LBR3) | Y | | | | |
| 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))) | N/A | | | | |
| TIP | Salaries and Benefits amounts entered using the OADA/C transactions must be thoroughly justified in the D-3A issue narrative. Agencies can run OADA/OADR from STAM to identify the amounts entered into OAD and ensure these entries have been thoroughly explained in the D-3A issue narrative. | | | | | |
| TIP | The issue narrative must completely and thoroughly explain and justify each D-3A issue. Agencies must ensure it provides the information necessary for the OPB and legislative analysts to have a complete understanding of the issue submitted. Thoroughly review pages 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 - Budget Entity Level or SC1R, SC1D - Department) | | | | | | |
| 8.1 | Has a separate department level Schedule I and supporting documents package been submitted by the agency? | | | | | |
| 8.2 | Has a Schedule I and Schedule IB been completed in LAS/PBS for each operating trust fund? | Y | | | | |

| | | Program or Service (Budget Entity Codes) | | | | |
|--------|--|--|--|--|--|--|
| Action | | 64500100 | | | | |
| 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? | N/A | | | | |
| 8.5 | Have the required detailed narratives been provided (5% trust fund reserve narrative; method for computing the distribution of cost for general management and administrative services narrative; adjustments narrative; revenue estimating methodology | Y | | | | |
| 8.6 | Has the Inter-Agency Transfers Reported on Schedule I form been included as applicable for transfers totaling \$100,000 or more for the fiscal year? | Y | | | | |
| 8.7 | If the agency is scheduled for the annual trust fund review this year, have the Schedule ID and applicable draft legislation been included for recreation, modification or termination of existing | N | | | | |
| 8.8 | If the agency is scheduled for the annual trust fund review this year, have the necessary trust funds been requested for creation pursuant to <i>section 215.32(2)(b), Florida Statutes</i> - including the Schedule ID and applicable legislation? | N/A | | | | |
| 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, 001070)? | Y | | | | |
| 8.10 | Are the statutory authority references correct? | Y | | | | |
| 8.11 | Are the General Revenue Service Charge percentage rates used for each revenue source correct? (Refer to Chapter 2009-78, Laws of Florida, for appropriate general revenue service charge percentage rates.) | Y | | | | |
| 8.12 | Is this an accurate representation of revenues based on the most recent Consensus Estimating Conference forecasts? | N/A | | | | |
| 8.13 | If there is no Consensus Estimating Conference forecast available, do the revenue estimates appear to be reasonable? | N/A | | | | |
| 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 | Y | | | | |

| | | Program or Service (Budget Entity Codes) | | | | |
|----------------|--|--|--|--|--|--|
| Action | | 64500100 | | | | |
| 8.18 | Has the agency certified the revenue estimates in columns A02 and A03 to be the latest and most accurate available? Does the certification include a statement that the agency will notify OPB of any significant changes in revenue estimates that occur prior to the Governor's Budget Recommendations being issued? | Y | | | | |
| 8.19 | Is a 5% trust fund reserve reflected in Section II? If not, is sufficient justification provided for exemption? Are the additional narrative requirements provided? | Y | | | | |
| 8.20 | Are appropriate service charge nonoperating amounts included in Section II? | Y | | | | |
| 8.21 | Are nonoperating expenditures to other budget entities/departments cross-referenced accurately? | Y | | | | |
| 8.22 | Do transfers balance between funds (within the agency as well as between agencies)? (See also 8.6 for required transfer confirmation of amounts totaling \$100,000 or more.) | Y | | | | |
| 8.23 | Are nonoperating expenditures recorded in Section II and adjustments recorded in Section III? | Y | | | | |
| 8.24 | Are prior year September operating reversions appropriately shown in column A01? | Y | | | | |
| 8.25 | Are current year September operating reversions appropriately shown in column A02? | Y | | | | |
| 8.26 | Does the Schedule IC properly reflect the unreserved fund balance for each trust fund as defined by the LBR Instructions, and is it reconciled to the agency accounting records? | Y | | | | |
| 8.27 | Does Column A01 of the Schedule I accurately represent the actual prior year accounting data as reflected in the agency accounting records, and is it provided in sufficient detail for | Y | | | | |
| 8.28 | Does Line I of Column A01 (Schedule I) equal Line K of the Schedule IC? | Y | | | | |
| AUDITS: | | | | | | |
| 8.29 | Is Line I a positive number? (If not, the agency must adjust the budget request to eliminate the deficit). | Y | | | | |
| 8.30 | Is the June 30 Adjusted Unreserved Fund Balance (Line I) equal to the July 1 Unreserved Fund Balance (Line A) of the following year? 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 | | | | |

| | | Program or Service (Budget Entity Codes) | | | | |
|---|---|--|--|--|--|--|
| Action | | 64500100 | | | | |
| 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 | | | | | |
| TIP | Review the unreserved fund balances and compare revenue totals to expenditure totals to determine and understand the trust fund | | | | | |
| TIP | Typically nonoperating expenditures and revenues should not be a negative number. Any negative numbers must be fully justified. | | | | | |
| 9. SCHEDULE II (PSCR, SC2) | | | | | | |
| AUDIT: | | | | | | |
| 9.1 | Is the pay grade minimum for salary rate utilized for positions in segments 2 and 3? (BRAR, BRAA - Report should print "No Records Selected For This Request") Note: Amounts other than the pay grade minimum should be fully justified in the D-3A issue narrative. (See <i>Base Rate Audit</i> on page 157 of the LBR Instructions.) | Y | | | | |
| 10. SCHEDULE III (PSCR, SC3) | | | | | | |
| 10.1 | Is the appropriate lapse amount applied in Segment 3? (See page 90 of the LBR Instructions.) | Y | | | | |
| 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? | Y | | | | |
| 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 | | | | |
| 15. SCHEDULE XI (USCR,SCXI) (LAS/PBS Web - see page 105-109 of the LBR Instructions for detail | | | | | | |

| | | Program or Service (Budget Entity Codes) | | | | |
|---|---|--|--|--|--|--|
| Action | | 64500100 | | | | |
| 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 | | | | |
| 15.4 | None of the executive direction, administrative support and information technology statewide activities (ACT0010 thru ACT0490) have output standards (Record Type 5)? (Audit #1 should print "No Activities Found") | Y | | | | |
| 15.5 | Does the Fixed Capital Outlay (FCO) statewide activity (ACT0210) only contain 08XXXX or 14XXXX appropriation categories? (Audit #2 should print "No Operating Categories) | Y | | | | |
| 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 | | | | |
| 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 | | | | |
| 16.3 | Are agency organization charts (Schedule X) provided and at the appropriate level of detail? | 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. | | | | | |

| | | Program or Service (Budget Entity Codes) | | | |
|--|---|--|--|--|--|
| Action | | 64500100 | | | |
| 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? | N/A | | | |
| 17.2 | Are the CIP-4 and CIP-5 forms submitted when applicable (see CIP Instructions)? | N/A | | | |
| 17.3 | Do all CIP forms comply with CIP Instructions where applicable (see CIP Instructions)? | N/A | | | |
| 17.4 | Does the agency request include 5 year projections (Columns A03, A06, A07, A08 and A09)? | N/A | | | |
| 17.5 | Are the appropriate counties identified in the narrative? | N/A | | | |
| 17.6 | Has the CIP-2 form (Exhibit B) been modified to include the agency priority for each project and the modified form saved as a PDF document? | N/A | | | |
| 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 | | | | | |
| 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 | Y | | | |

DEPARTMENT OF HEALTH

SCHEDULE IV-B

FOR

WIC DATA SYSTEM IMPLEMENTATION

FOR

STATE FISCAL YEAR 2013-14



State of Florida

The Florida Legislature

*Governor's Office of
Policy and Budget*

10/15/2012

Table of Contents

| | | |
|------|---|-------------------------------------|
| I. | Schedule IV-B Cover Sheet..... | 4 |
| II. | Schedule IV-B Business Case | 6 |
| | A. Background and Strategic Needs Assessment | 6 |
| | B. Baseline Analysis..... | 13 |
| | C. Proposed Business Process Requirements..... | 15 |
| III. | Schedule IV-B Cost Benefit Analysis | 21 |
| | A. The Cost-Benefit Analysis Forms and Notes | 21 |
| | B. Benefits Realization Table..... | 21 |
| | C. Cost-Benefit Analysis Results..... | 27 |
| IV. | Major Project Risk Assessment Component..... | 28 |
| | A. Project Risk Assessment Tool | 28 |
| | B. Project Risk Assessment Summary | 28 |
| V. | Technology Planning Component..... | 30 |
| | A. Current Information Technology Environment | 30 |
| | B. Proposed Solution Description..... | 31 |
| | C. Capacity Planning..... | 36 |
| | D. Analysis of Alternatives | 38 |
| VI. | Project Management Planning Component | 39 |
| | A. Project Charter | 39 |
| | B. Work Breakdown Structure | 39 |
| | C. Resource Loaded Project Schedule..... | 39 |
| | D. Project Budget..... | 39 |
| | E. Project Organization | 40 |
| | F. Project Quality Control..... | 40 |
| | G. External Project Oversight | 40 |
| | H. Risk Management..... | 41 |
| | I. Organizational Change Management..... | 41 |
| | J. Project Communication | 41 |
| | K. Special Authorization Requirements | Error! Bookmark not defined. |
| VII. | Appendix of Attachments | 42 |
| | A. Current Business Process Review..... | 42 |
| | B. CBA Forms, B.1 Cost Benefit Notes | Error! Bookmark not defined. |
| | C. Risk Assessment Tool..... | 42 |
| | D. Project Charter | 42 |
| | E. Work Breakdown Structure | 42 |
| | F. Project Schedule..... | 42 |
| | G. Project Gantt Chart | 42 |
| | H. Project Budget..... | 42 |
| | I. Project Organization | 42 |
| | J. Risk Management..... | 42 |
| | K. Project Communication | 42 |
| | L. USDA/FNS IAPD Approval May 2008 | Error! Bookmark not defined. |

M. USDA/FNS Contract Approval August 2011 Error! Bookmark not defined.

I. Schedule IV-B Cover Sheet

| Schedule IV-B Cover Sheet and Agency Project Approval | |
|--|--|
| Agency: Department of Health | Schedule IV-B Submission Date: October 2012 |
| Project Name: WIC EBT System Implementation | Is this project included in the Agency's LRPP? _X_ Yes ____ No |
| FY 2013-2014 LBR Issue Code: 36322C0 | FY 2013-2014 LBR Issue Title: WOMEN, INFANTS AND CHILDREN (WIC) ELECTRONIC BENEFITS TRANSFER (EBT) IMPLEMENTATION PROJECT |
| Agency Contact for Schedule IV-B (Name, Phone #, and E-mail address): Ms. Debbie Eibeck, WIC Bureau Chief, Project Sponsor, 245-4202, debbie_eibeck@doh.state.fl.us Mr. Philip Kidder, PMP, Project Manager, 245-4202, philip_kidder@doh.state.fl.us | |
| AGENCY APPROVAL SIGNATURES | |
| <p>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.</p> | |
| Agency Head: <i>Will provide signatures at a later date.</i> | Date: |
| Printed Name: John H. Armstrong, M.D., FACS, State Surgeon General | |
| Agency Chief Information Officer: | Date: |
| Printed Name: Mr. Bob Dillenschneider | |
| Budget Officer: | Date: |
| Printed Name: Ms. Terry Walters, Budget Officer | |
| Project Sponsor: | Date: |
| Printed Name: Ms. Betsy Woods, Executive Sponsor | |
| Planning Officer: | Date: |
| Printed Name: Ms. Debbie Eibeck, Project Sponsor | |

Schedule IV-B Preparers (Name, Phone #, and E-mail address):

| | |
|-------------------------------|--|
| Business Need: | Ms. Debbie Eibeck, 245-4202, debbie_eibeck@doh.state.fl.us |
| Cost Benefit Analysis: | Mr. Philip Kidder, 245-4202, philip_kidder@doh.state.fl.us |
| Risk Analysis: | Mr. Philip Kidder, PMP |
| Technology Planning: | Mr. Philip Kidder, PMP |
| Project Planning: | Mr. Philip Kidder, PMP |

II. Schedule IV-B Business Case

| Business Case Section | \$1-2M | \$2 - 10 M | | > \$10 M |
|---|--------|-----------------------------------|-----------------------------------|----------|
| | | Routine upgrades & infrastructure | Business or organizational change | |
| Background and Strategic Needs Assessment | | | X | X |
| Baseline Analysis | | | X | X |
| Proposed Business Process Requirements | | | X | X |

A. Background and Strategic Needs Assessment

1. Agency Program(s)/Service(s) Environment

The Florida Special Supplemental Nutrition Program for Women, Infants, and Children (WIC), receives U.S. Department of Agriculture Food and Nutrition Service (USDA/FNS) funds to serve low-to moderate income women who are pregnant, breastfeeding, or postpartum, infants up to one year of age, and children under 5 years of age, all of whom are at nutritional risk. WIC provides the following benefits at no cost to its clients: healthy nutritious foods, nutrition education and counseling, breastfeeding support, and referrals for health care.¹

The Florida WIC Program is administered by the Bureau of WIC Program Services in the Department of Health (DOH), and is managed locally by 43 WIC local agencies. These local agencies provide services in approximately 220 sites, serving all 67 counties in Florida.

The operations of the Florida WIC Program are supported by the WIC Data System. This system is a centralized, real-time mainframe system, designed in 1990, and fully implemented in October 1992. The system runs on an IBM series 890 mainframe, using CICS for transaction processing, DB2 for database management, and COBOL as the application programming language. The user interface is character-based and accessed via a 3270 terminal emulation package, running on desktop computers, connected to the mainframe via the DOH network. The system is hosted by the Florida Department of Children and Families (DCF) at the Northwood Shared Resource Center (NSRC). In June 2010, there were more than 1,563 users accessing the WIC Data System.

The WIC Data System employs a real-time interface with the FLORIDA system which contains enrollment and participation information for Medicaid, Temporary Cash Assistance, and Food Stamps. This interface is used to confirm WIC adjunctive income eligibility.

¹ The Florida WIC Program is 100% federally funded.

2. Operational and Strategic Needs

In October 2011, Florida WIC began an implementation project to replace its mainframe WIC Data System (current system) with a web-based WIC data system transferred from Pennsylvania and supplemented with functionality from other states (to be system).

In March 2012, House Bill (HB) 1263 was passed by the Florida Legislature requiring Florida WIC to implement WIC Electronic Benefits Transfer (WIC EBT) by July 1, 2013. Faced with this legislative requirement, executive branch support for the bill, and a data system project that did not include operational WIC EBT capability in the required timeframe, Florida WIC canceled the Pennsylvania data system transfer project. In April 2012, the Governor signed HB 1263 into law.

In order to meet the statutory deadline of HB 1263, Florida WIC evaluated its alternatives for obtaining operational WIC EBT capability in a data system and a WIC EBT service provider and developed the following approach:

Timely implementation of operational WIC EBT capability in a data system – Florida WIC evaluated its data system alternatives, including enhancing the current mainframe WIC Data System with EBT capability or transferring a State Agency Model (SAM) system from another state, and found that the only viable alternative was to transfer and minimally modify the web-based Michigan WIC data system that currently supports online outsourced WIC EBT processing.

The timely transfer and minimal modification of the Michigan WIC data system required a timely procurement of system integration services. Florida WIC found that it is permitted under Florida law to use the Alternate Contract Source (ACS) procurement method to obtain those services, which is consistent with federal regulations. Under section 287.042(16), Florida Statutes, the Department of Health (the Department) is authorized to evaluate contracts let by another state in order to acquire contract services. When another state's contract is determined to be cost effective and in the best interest of the state, the Department is authorized to enter into a written agreement permitting it to make purchases under such contract. The Department determined that the Michigan WIC data system met its requirements for being web-based and EBT-capable. The Department then evaluated the Michigan WIC Contract # 071B7200133 for a WIC management information system (MIS) and found that:

- The contract was competitively procured through the Michigan Invitation to Bid (ITB) # 071I 6200272
- The Michigan WIC data system as specified in its acquisition and contract would meet Florida's original operational and strategic needs to:
 - Improve the efficiency of WIC local agency operations to meet the demand for program services,
 - Support all WIC business process areas with needed system functionality, and

- Provide a cost-effective foundation for the development of WIC Electronic Benefits Transfer (EBT).
- The Michigan WIC data system provides a proven EBT capability to satisfy Florida's mandatory EBT implementation requirement.
- The Michigan WIC data system can be adapted for use by Florida WIC practically as-is, with only essential branding, configuration, and functional modifications. The needed modifications are: appointment scheduling with Florida-specific service reporting, an interface for adjunctive income eligibility determination, Florida-specific voter registration reporting, an interface to the local agency auto dialers, and an interface with the WIC EBT processor to be selected via the Florida Department of Children and Families procurement.
- The Michigan WIC data system is a less costly solution. The previous Florida data system acquisition, canceled in March 2012, was quoted with a system cost of \$4.7 million, exclusive of ongoing operations and maintenance, and did not provide operational EBT capability. In comparison, the delivery of the Michigan WIC data system itself, exclusive of ongoing operations and maintenance, will cost \$1.6 million.
- The services needed to begin implementation of the Michigan WIC data system become available in August 2012, which would provide sufficient time to complete the above scope of work within the statutory timeframe, assuming the timely procurement of a WIC EBT processor.
- USDA/FNS approved the Alternate Contract Source (ACS) procurement of the Michigan WIC data system on August 17, 2012.

Timely procurement of a WIC EBT service provider – With approval from the Governor's Office, Florida WIC joined the Department of Children and Families (DCF) EBT procurement, adding its WIC EBT requirements to the DCF Invitation to Negotiate (ITN). The DCF ITN# 02F12GC1 was approved by USDA/FNS in April 2012 and released by DCF in May 2012. The outcome of subsequent negotiations with three offerors was an award letter sent to FIS/eFunds October 15, 2012. Per the DCF ITN timeline, Florida WIC anticipates a signed contract for WIC EBT processing services in November 2012.

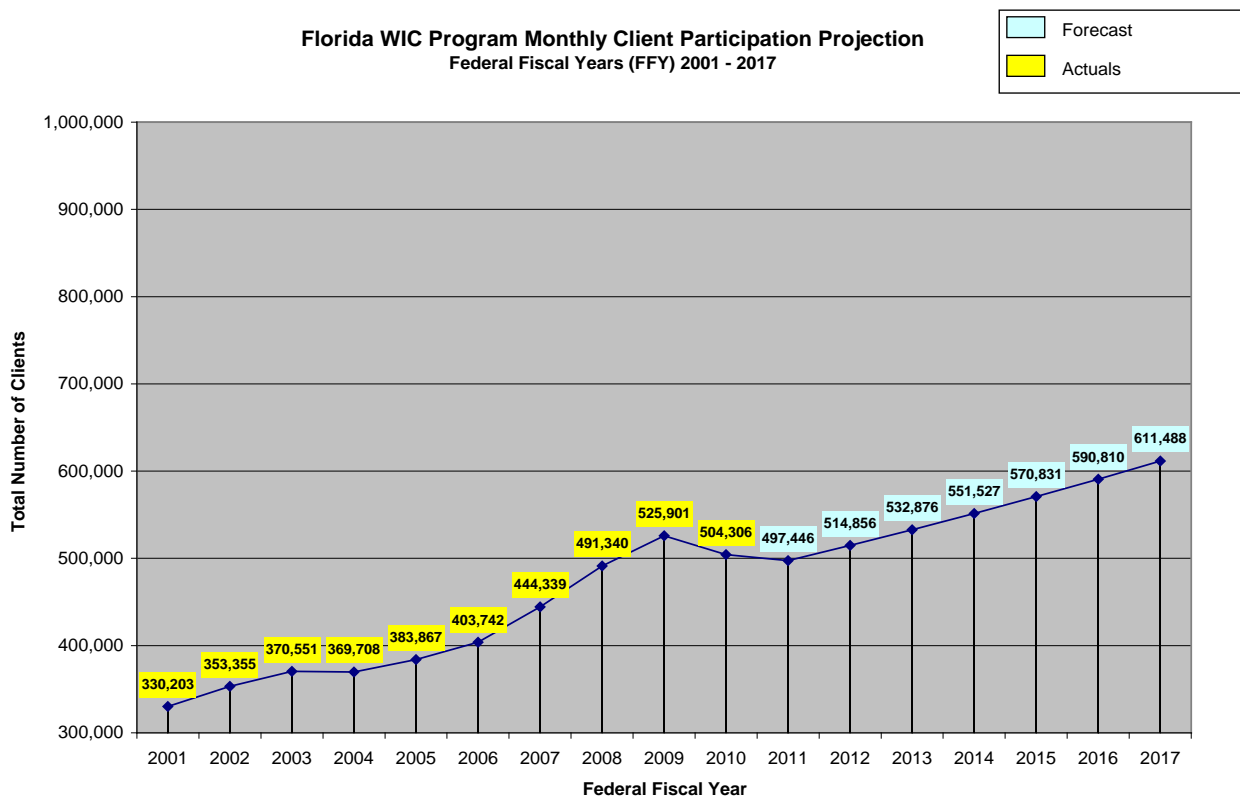
Florida WIC concludes that its operational and strategic needs have outgrown the current system's functionality and, after a comprehensive review of its alternatives, finds that the program must now invest in a cost-effective, modern system to meet its operational and strategic needs. These operational and strategic needs include:

- Improve the efficiency of WIC local agency operations to meet the demand for program services
- Support all WIC business process areas with needed system functionality

- Provide a cost-effective foundation for the development of WIC Electronic Benefits Transfer (EBT)

Improve the efficiency of WIC local agency operations to meet the growing demand for program services

Florida WIC faces continuing demand for program services. Monthly participation in the program grew rapidly in Federal Fiscal Years (FFY) 2005 through 2009. After a dip in participation in 2010, participation has stabilized. Participation projections show a growth rate of about four to five percent annually. These projections are useful in configuring and sizing the processing environments for the web-based system. The trend is illustrated in the chart below which shows actual monthly participation for the end of Federal Fiscal Years 2000 – 2010 and projected participation through 2017.



The increased level of participation has challenged Florida WIC’s ability to serve all of its clients in a timely manner, per federal appointment time standards. This means that Florida’s mothers and children eligible for WIC do not receive supplemental nutritious foods and nutrition education as soon as needed. As a result, the positive health benefits associated with WIC and attendant healthcare cost-savings to the State of Florida are delayed². The Florida economy is also impacted by delaying and possibly reducing the expenditure of federal benefit checks in grocery stores throughout the state³.

² Several studies have examined the effects of WIC participation on healthcare costs and found that prenatal WIC participation was associated with substantial savings in Medicaid costs during the first 60 days after birth. Florida WIC was the subject of one these studies which found that reductions in Medicaid costs for mothers and infants averaged \$347 (Devaney et al., 1991).

³ Florida WIC clients spent \$337,182,118 in local grocery stores to date in FFY 2012 (as of July 31, 2012).

Florida WIC has responded to this challenge with operational and procedural changes in its local agencies, including extending business hours, appointment call reminders, and conducting family group certifications and group nutrition education classes to increase the rate of clients certified. While these measures have met some success in reducing wait times for certification appointments, further improvements are constrained because of the limited business process support in the WIC Data System. A review of Florida WIC's current business processes revealed that these gaps in system functionality require local agency (and state office staff) to employ manual procedures to complete business tasks, keep business records on paper and/or in spreadsheets or word processing documents, and manage extensive paper files⁴.

The extent of these gaps was confirmed in Florida WIC's requirements analysis, which will be discussed in the next subsection.

In order to serve the continued growth in participants with limited increases in staff, Florida WIC needs to automate manual procedures, collect data electronically, reduce paper use, and consolidate business records. These process improvements would be obtained through the web-based WIC Data System which would provide the needed functionality and data sharing capability. More importantly, the web-based WIC Data System would provide the local agencies with the operational efficiency to meet the demand for program services.

Support all WIC business process areas with needed system functionality

Florida WIC developed a comprehensive set of system requirements in conjunction with the review of its 13 business process areas. Since enhancement of the current WIC Data System was an alternative to fully consider, the functionality in the current system was compared to these comprehensive system requirements. The analysis showed that the current WIC Data System meets about 57% of the system requirements. The major gaps (highlighted in orange) are detailed in the table below which shows the process areas divided into Client Services, Local Agency Support, and System Support (which includes the System Attributes or non-functional requirements).

⁴ In the Certification and Nutrition Education process areas which focus on client certifications, the manual procedures include: voter preference, income eligibility calculation, SOAP (nutrition counseling) notes, and client chart file management. Paper forms include: Voter Preference, Income Screening, Notice of Ineligibility, Nutrition Questionnaire, and SOAP notes.

| Requirements Summary | Current WIC Data System | | | | |
|--|-------------------------|------------|------------|------------|------------|
| | Met | Not Met | Total | % Met | % Not met |
| Process Area | | | | | |
| Client Service Focus - Local Agency | | | | | |
| 1.0 Appointment Scheduling | 47 | 31 | 78 | 60% | 40% |
| 2.0 Certification | 118 | 55 | 173 | 68% | 32% |
| 3.0 Food Issuance | 47 | 19 | 66 | 71% | 29% |
| 4.0 Nutrition Education & Health Surveillance | 11 | 13 | 24 | 46% | 54% |
| 10.0 Inventory Management | 9 | 10 | 19 | 47% | 53% |
| 13.0 Customer Service | 0 | 5 | 5 | 0% | 100% |
| <i>Total Client Service</i> | 232 | 133 | 365 | 64% | 36% |
| Local Agency Support Focus - State Office | | | | | |
| 5.0 Food Redemption & Reconciliation | 33 | 14 | 47 | 70% | 30% |
| 6.0 Vendor Management | 10 | 59 | 69 | 14% | 86% |
| 7.0 Participation Management | 6 | 12 | 18 | 33% | 67% |
| 8.0 Fiscal Management | 5 | 36 | 41 | 12% | 88% |
| 9.0 Quality Assurance | 5 | 17 | 22 | 23% | 77% |
| 12.0 Management Reporting | 144 | 68 | 212 | 68% | 32% |
| <i>Total Local Agency Support</i> | 203 | 206 | 409 | 50% | 50% |
| System Support Focus | | | | | |
| 11.0 System Administration | 43 | 16 | 59 | 73% | 27% |
| 14.0 System Attributes (Non-functional) | 15 | 14 | 29 | 52% | 48% |
| <i>Total System Support</i> | 58 | 30 | 88 | 66% | 34% |
| Total | 493 | 369 | 862 | 57% | 43% |

The efficiency of local agency operations is a key objective of the requirements in the Client Service process areas. In addition to the critical gaps in the Certification and Nutrition Education process areas mentioned earlier, there are large gaps in Appointment Scheduling, Inventory Management, and Customer Service, where system support is lacking. Examples include: appointment schedule maintenance, resource assignment, appointment notifications, food instrument inventory tracking, client and vendor call tracking and analysis, and client service surveys.

The effective management of WIC business partners, program integrity and quality, and program finances are the key objectives of the requirements in the Local Agency Support process areas. There are large gaps in Vendor Management, Participation Management, Fiscal Management, and Quality Assurance, where system support is lacking. Examples include: vendor communication, vendor risk analysis, vendor sanctions monitoring, agency outreach coordination, formula rebate analysis, and clinic integrity monitoring.

The efficient management of data system resources is the key objective of requirements in the System Support process areas. There are large gaps in the System Attributes or non-functional requirements where system attributes are missing, such as: ease of training, ability to change current workflows, ease of exchanging data, ability to add new functions, and role-based security.

These findings mean that where there are gaps in functionality, business process support in the system is lacking or absent, requiring the local agency and state office staff to employ manual procedures to complete business tasks, keep business records on paper and/or in spreadsheets and word processing documents, and manage extensive paper files. These gaps in functionality produce inefficiencies which limit productivity, collaboration among the staff, and data sharing within the WIC organization. The web-based WIC Data System would provide a cost-effective solution to fill these gaps with needed functionality, improving productivity and enabling the entire WIC organization

to keep pace with the growing volume of work created by the demand for WIC services in the local agencies.

Provide a cost-effective foundation for the development of WIC Electronic Benefits Transfer (EBT)

Florida WIC's strategic plan included the development of WIC Electronic Benefits Transfer (EBT), which was recently made a 2020 Federal Fiscal Year (FFY) requirement for WIC state agencies by the USDA/FNS. According to the USDA/FNS, EBT will replace paper WIC checks, provide clients with the ability to purchase all food benefit items during the authorized period, simplify accounting and reduce labor costs for food retailers, and possibly save time in WIC local agency and state office operations. HB 1263 requires Florida WIC to implement WIC EBT by July 1, 2013.

In May 2008, Florida WIC received approval from the USDA/FNS of its Implementation Advance Planning Document (IAPD) to undertake this project to replace the WIC Data System with a web-based WIC data system transferred from another state (see Attachment L). In May 2009, Florida WIC received legislative approval and budget authority for the project. In August 2011, USDA/FNS approved a contract to implement the web-based system (see Attachment M). In April 2012, HB 1263 was signed into law and USDA/FNS approved Florida WIC's participation in Department of Children and Families (DCF) EBT procurement. In August 2012, USDA/FNS approved the Alternate Contract Source procurement of a web-based, EBT operational system. This Schedule IV-B document supports the continued state approval of the project.

3. Project and Business Objectives

Florida WIC plans to accomplish the following objectives in the project:

- Replace the current WIC Data System with a web-based, EBT operational system, transferred from Michigan WIC
- Minimally modify the web-based system to meet needed requirements; e.g., interface with the EBT services provider contracted through the Department of Children and Families (DCF) EBT procurement (FIS/eFunds).
- Successfully implement the web-based system to meet the July 1, 2013 statutory deadline.
- Adapt, improve, or develop new Florida WIC business processes to fully utilize the web-based system functionality and achieve the maximum productivity and cost-savings benefits
- Complete the implementation with minimal disruption of services to WIC applicants and participants
- Accept the implemented system provided it meets or exceeds the critical success criteria

Successful implementation of the web-based WIC Data System will accomplish the following business objectives:

- Provide WIC local agencies with the operational efficiency to meet the demand for program services with limited increases in staff
- Reduce appointment wait times for new clients to achieve compliance with federal regulations
- Improve client satisfaction by reducing the amount of time clients spend in WIC clinics for certification
- Provide clients with the ability to purchase all food benefit items during the authorized period
- Support all WIC business process areas with needed system functionality to improve productivity in the entire WIC organization

B. Baseline Analysis

1. Current Business Process Requirements

Florida WIC completed a review of its current business processes in order to plan process improvements from the functionality required of the web-based WIC Data System. The analysis covered the following process areas: Appointment Scheduling, Certification, Food Issuance, Nutrition Education & Surveillance, Inventory Management, Customer Service, Food Redemption & Reconciliation, Vendor Management, Participation Management, Fiscal Management, Quality Assurance, Management Reporting and System Administration. Each process area was described in terms of inputs, processing, outputs, business process interfaces, and business process participants. These items were also depicted graphically in process maps. Please see Attachment A below.

Current Business Process Review



A--Current Business
Process Review_WIC

Attachment A

2. Assumptions and Constraints

Project Assumptions

An assumption is a factor that, for planning purposes, is considered to be true, real, or certain without proof or demonstration. The assumptions listed below refer to how the project will function and the results that will be obtained:

- The Florida WIC requirements do not significantly change over the duration of the project.
- There are no new federal or state operational requirements; e.g., regulations, introduced over the duration of the project that carry a significant technology impact.
- There are no unforeseen events; e.g., hurricanes or other disasters that cause undue delay or cancel the project.
- The Project Management Plan methodologies provide a clear set of decisions and executable directives to accomplish the project objectives.
- Project Scope is effectively managed over the life of the project using the change control process.
- The Project Deliverables are produced by the system contractor on time with the expected quality.
- The interfaces with related systems; e.g., FIS/eFunds, FLOIDA, are developed without disruption or delay to the project.
- The system hardware provided by the Southwood Shared Resource Center meets or exceeds the hardware capacity and configuration prescribed by the system contractor.
- The system hardware provided by the Southwood Shared Resource Center is available to use per the Project Schedule.
- The Shared Resource Center rates for hosting and related services do not significantly increase over the current quoted rates.
- The network requirements for the web-based WIC Data System remain the same for the duration of the project.
- The web-based WIC Data System passes DOH IT security scans.
- Florida WIC develops and executes an implementation/training plan using e-learning and other appropriate approaches to successfully train WIC Data System users, WIC retailers, and WIC participants.
- DOH, DCF, Shared Resource Center, and FIS/eFunds technical management and resources fully collaborate with Florida WIC in the project.
- Project communication among all parties is direct, professional, and prompt.
- The system contractors remain financially healthy and does not experience any significant change in ownership for the duration of the project.

- Any external reviews/approvals by USDA/FNS occur in a timely manner so there is no delay in project execution.

Project Constraints

A constraint is any applicable restriction or limitation, internal or external to the project that will affect the performance of the project or a project management process.

- The system contractors and Florida WIC project teams shall complete critical path tasks as planned.
- Florida WIC shall hire qualified professional project and technical support staff as planned and retain them for the duration of the project.
- Florida WIC staff shall provide support to the project when needed.
- The DOH, DCF, Southwood Shared Resource Center, and other needed technical resources shall support the project when needed.
- The system contractors shall provide qualified professional staff and retain them for the duration of the project.
- The web-based WIC Data System shall support Florida WIC program operations with all of the required functionality and performance per the contract.
- The system contractors and Florida WIC project teams shall abide by the process rigor specified in the Project Management Plan.

C. Proposed Business Process Requirements

1. Proposed Business Process

Florida WIC expects that the web-based WIC Data System will enable it to achieve its business objectives, including: provide the operational efficiency to meet the demand for program services, reduce appointment wait times for new clients and the amount of time clients spend in WIC clinics for certification, support all WIC business processes with needed functionality, and provide operational WIC Electronic Benefits Transfer (EBT) capability.

Consistent with that vision, Florida WIC expects that the implementation of the web-based WIC Data System will produce positive business process changes. A key project objective is to adapt, improve, and develop business processes to fully utilize the web-based system functionality and achieve maximum tangible and intangible benefits. The specific business process changes are dependent on the system that will be selected through the State of Florida competitive procurement process to be completed prior to the start of the project.

For the purpose of this analysis, business process changes were forecasted based on the Florida WIC's review of its current business processes, system requirements, and the

cost-benefit analysis in Section III. Florida WIC's anticipated business process changes fall into the following categories and are explained below:

- Automation
- Electronic data collection
- Paper use
- Business record consolidation
- Interfaces
- Extension of needed functionality

Automate Business Processes that Use Little or No Automation

The web-based system will enable the program to automate process steps that are currently performed manually. This functionality will improve processes that use little or no automation, including: Appointment Scheduling, Certification, Food Redemption and Reconciliation, Vendor Management, Participation Management, Management Reporting, and Customer Service.

The manual process steps to be automated include:

- Appointment calendar update and maintenance
- Calculation of participant income
- Output and tracking of the Notice of Ineligibility/Suspension
- Tracking vendor correspondence
- Identification of high-risk vendors
- Outreach letters and surveys
- Record keeping for vendor appeal payments and special formula payments
- Transformation and load of data to reports data mart

Collect Paper Data Electronically

The web-based system will enable the program to electronically collect data currently recorded on paper. This functionality will improve these process areas: Certification, Nutrition Education & Surveillance, Vendor Management, Participation Management, and Customer Service.

The data items to be collected electronically include:

- Voter Preference form

- Nutrition Questionnaire form
- SOAP notes and care plans
- Vendor Training log
- Outreach list and campaign activity log
- Program monitoring and support records

Reduce Paper Use, Storage, and Destruction Costs

The web-based system will enable the program to eliminate or reduce the use of pre-printed paper forms, including: the Income Screening Form, Notice of Ineligibility/Suspension, and the Nutrition Questionnaire. Also, document imaging will enable the staff to capture client and staff signatures and scan paper documents, converting these items to digital images for electronic storage. The combination of this functionality will also reduce paper storage and destruction costs. The functionality will improve the Certification and Nutrition Education & Surveillance process areas.

Consolidate Off-System Business Records into a Comprehensive Database

The web-based system will enable the program to consolidate a variety of off-system business records such as MS Excel spreadsheets, MS Word documents, paper files, and data in other external systems into one comprehensive database. This will improve data quality, facilitate collaboration, and enhance productivity by providing users with common access to needed data on demand.

The Florida WIC business processes currently use more than twenty spreadsheet and word processing documents, five external systems, and 10 paper forms. Business record consolidation will improve these process areas: Nutrition Education & Surveillance, Vendor Management, Participation Management, Fiscal Management, Quality Assurance, Inventory Management, and Customer Service.

Develop Efficient Interfaces with Related Systems

The web-based system will enable the program to develop efficient interfaces with related systems, providing staff with quicker access to information needed for client certifications and food issuance, which primarily improves the Certification and Food Issuance process area.

Extend Needed System Functionality to Support all Business Process Areas

The web-based system will extend needed functionality to all process areas, especially those where there is little or no direct support from the current WIC Data System: Customer Service, Vendor Management, Participation Management, Fiscal Management, and Quality Assurance.

2. Business Solution Alternatives

In previous Schedule IV-B documents, Florida WIC assessed the following business solution alternatives:

- Business as usual (no change)
- Enhance the current system
- Develop a new system
- Transfer and modify an existing WIC data system

In view of the statutory deadline to implement WIC EBT, the business solution alternatives were:

- Enhance the current system with WIC EBT capability, or
- Transfer and minimally modify an existing WIC data system with operational WIC EBT capability

Florida WIC used the following criteria to evaluate the business solution alternatives:

- Provides needed functionality
- Can be implemented in the shortest feasible timeframe
- Costs the least
- Carries the least program/project risk
- Achieves Florida WIC business objectives

Enhance the current system (Not viable)

This alternative would involve adding WIC EBT functionality to the current mainframe system.

The advantages of this alternative are:

- It would not require a data migration
- It would require minimal training for system users.
- It would not require extensive business process changes as the primary enhancements would be benefit issuance via WIC EBT and the associated WIC EBT administrative functions.

The disadvantages of this alternative are:

- It would cost an estimated \$2.1 million to develop WIC EBT functionality, particularly since the WIC EBT functionality would require the development of a messaging function to support an interface between the mainframe application

and a web-based EBT system. Such an effort would require a procurement for a system integrator fielding a specialized and sizeable team to complete the project in the required timeframe⁵.

- The risk of this alternative is unacceptably high because would involve new and unproven development within a short, fixed timeframe.

For the above reasons, Florida WIC considers this alternative not viable.

Transfer and minimally modify an existing WIC data system with operational WIC EBT capability (Only Solution)

This alternative refers to transferring a WIC data system currently supporting another state's WIC program that was WIC EBT operational⁶. The advantages of this alternative are:

- It would provide operational (proven) WIC EBT functionality.
- It could be implemented in the short, fixed timeframe assuming minimal modifications to the non-EBT functionality of the system.
- The \$1.6 million direct cost of this alternative was significantly less than the \$4.7 million direct cost of the previous web-based data system project⁷.
- It would achieve Florida WIC's business objectives.

The disadvantage of this alternative is:

- The technical and project risks of this alternative are less than the risks of enhancing the current WIC Data System. The major risks associated with this alternative are:
 - USDA/FNS could require Florida WIC to produce additional justifications in order to proceed with its plans due to the uniqueness of this alternative; e.g., Alternate Contract Source procurement and minimal modifications. The likely impact would be a delay in the forward progress of the project due to the time/effort needed to provide additional justifications.

There is no financial comparison to make in this analysis of alternatives as there is only one viable alternative.

3. Rationale for Selection

⁵ Response to the Florida WIC Request for Quote for Consulting Services For the Development of Mainframe WIC EBT Capability, August 2012.

⁶ Per the USDA/FNS web site, there are no viable State Agency Model systems available for transfer to Florida with operational EBT capability. The Michigan WIC data system remains uniquely qualified due to its operational WIC EBT capability.

⁷ This difference in price is due in part to the reduced scope of work, shorter duration of the project, and suitability of the functionality.

Based on the preceding analysis, Florida WIC has one alternative: transfer and minimally modify an existing WIC data system with operational WIC EBT capability.

4. Recommended Business Solution

Transfer and modify the Michigan WIC data system with its operational WIC EBT capability.

III. Schedule IV-B Cost Benefit Analysis

A. The Cost-Benefit Analysis Forms and Notes

The Cost-Benefit Analysis assumes that there are two business case alternatives to compare; specifically business as usual also known as do nothing, versus do something by applying an intervention. The Cost-Benefit Analysis compares the net value of tangible benefits and costs of doing nothing versus the net value of applying the intervention.

In past Schedule IV-B documents, there was a choice between business as usual or implementing a new WIC data system. Due to HB 1263, DOH is required to implement WIC EBT and therefore must have a data system that is EBT operational. Business as usual is no longer an option. The State of Florida has determined that the benefits of WIC EBT are worthy and that the Department must implement WIC EBT. The only alternatives available to the Department are the choice between enhancing the current mainframe WIC Data System and transferring and modifying a web-based, EBT operational WIC data system. Since the benefits of either approach are the same, the Cost-Benefit Analysis becomes a cost-effectiveness analysis; e.g., what is the less expensive, less risky option to pursue?

The Department has ruled out enhancing the mainframe system with EBT functionality because it would be more expensive (\$2.1 million direct cost of mainframe effort versus \$1.6 million direct cost for MI WIC) and because the risk of this alternative is unacceptably high as it would involve new and unproven development within a short, fixed timeframe.

Per the Business Solution Alternatives above, the Cost-Benefit analysis is not applicable as the only acceptable alternative is to transfer and minimally modify an existing WIC data system with operational WIC EBT capability.

B. Benefits Realization Table

| Benefits Realization Table | | | | | | |
|----------------------------|---|------------------------|--------------------|---|--|--------------------------|
| # | Description of Benefit | Tangible or Intangible | Who benefits? | How is the benefit realized? | How is the benefit measured? | Realization Date (MM/YY) |
| 1 | Provide master appointment calendar templates and enable mass appointment updates | Productivity | Local Agency staff | Web-based system reduces staff time to perform this procedure | Compare staff assessments of task time pre and post-implementation | Go Live + 3 months |

| Benefits Realization Table | | | | | | |
|-----------------------------------|--|-------------------------------|----------------------------------|--|---|---------------------------------|
| # | Description of Benefit | Tangible or Intangible | Who benefits? | How is the benefit realized? | How is the benefit measured? | Realization Date (MM/YY) |
| 2 | Reduce appointment wait times for new clients | Intangible | Participants, Local Agency Staff | Web-based system reduces time to complete the certification process, improving the rate of certifications and reducing appointment wait times for new clients to comply with federal standards | Compare rate of certifications pre and post-implementation, plus appointment wait times for all clients | Go Live + 3 months |
| 3 | Improve client satisfaction with the certification process | Intangible | Participants, Local Agency Staff | Web-based system will reduce the amount of time clients spend in the clinic during the certification process, improving client satisfaction | Compare time spent in the certification process in clinics and compare client satisfaction with the certification process pre and post-implementation | Go Live + 3 months |
| 5 | Eliminate (or reduce) use of paper Client Certification Worksheet | Tangible | State Office | Web-based system eliminates (or reduces) use of this paper form in Local Agencies, reducing State Office printing costs for this form by 90% | Compare pre and post-implementation form printing costs | Starts with project close |
| 6 | Collect Voter Preference Form data electronically | Productivity | Local Agency staff, Participants | Web-based system reduces staff time to perform this task | Compare staff assessments of task time pre and post-implementation | Go Live + 3 months |
| 7 | Automate calculation of income and collect Income Screening Form data electronically | Productivity | Local Agency staff, Participants | Web-based system eliminates duplicate entry, reducing staff time to perform this procedure | Compare staff assessments of task time pre and post-implementation | Go Live + 3 months |

| Benefits Realization Table | | | | | | |
|-----------------------------------|---|-------------------------------|----------------------------------|--|--|---------------------------------|
| # | Description of Benefit | Tangible or Intangible | Who benefits? | How is the benefit realized? | How is the benefit measured? | Realization Date (MM/YY) |
| 8 | Eliminate (or reduce) use of paper Income Screening Form | Tangible | State Office | Web-based system eliminates (or reduces) use of this paper form in Local Agencies, reducing State Office printing costs for this form by 90% | Compare pre and post-implementation form printing costs | Starts with project close |
| 9 | Automate output of Notice of Ineligibility-Suspension | Productivity | Local Agency staff | Web-based system reduces staff time to perform this procedure | Compare staff assessments of task time pre and post-implementation | Go Live + 3 months |
| 10 | Eliminate (or reduce) use of paper Notice of Ineligibility /Suspension | Tangible | State Office | Web-based system eliminates (or reduces) use of this paper form in Local Agencies, reducing State Office printing costs for this form by 90% | Compare pre and post-implementation form printing costs | Starts with project close |
| 11 | Reduce filing of client charts at certification | Productivity | Local Agency staff, Participants | Web-based system reduces filing of paper forms, eliminating staff time to perform this task | Compare staff assessments of task time pre and post-implementation | Go Live + 3 months |
| 12 | Collect SOAP note and care plan form data electronically | Productivity | Local Agency staff | Web-based system reduces staff time to perform this procedure | Compare staff assessments of task time pre and post-implementation | Go Live + 3 months |
| 13 | Reduce filing of client charts at follow-up nutrition education after certification | Productivity | Local Agency staff, Participants | Web-based system reduces filing of paper forms, eliminating staff time to perform this task | Compare staff assessments of task time pre and post-implementation | Go Live + 3 months |
| 14 | Automate vendor-appealed payments in the WIC check reconciliation process | Intangible | State Office, Vendors | Web-based system reduces staff time to perform this procedure | Compare staff assessments of task time pre and post-implementation | Starts with project close |

| Benefits Realization Table | | | | | | |
|-----------------------------------|---|-------------------------------|---|--|--|---------------------------------|
| # | Description of Benefit | Tangible or Intangible | Who benefits? | How is the benefit realized? | How is the benefit measured? | Realization Date (MM/YY) |
| 15 | Collect vendor training data electronically | Productivity | State Office | Web-based system eliminates duplicate entry, reducing staff time to perform this task | Compare staff assessments of task time pre and post-implementation | Go Live + 3 months |
| 16 | Automate vendor correspondence and tracking of same | Productivity | State Office | Web-based system reduces staff time to perform this procedure, use of e-mail reduces mailing costs | Compare pre and post-implementation staff assessments of task time, pre and post mailing costs | Go Live + 3 months |
| 17 | Reduce preparation time for compliance and sanction actions | Productivity | State Office, Vendors | Web-based system enables electronic storage of paper monitoring data, improved organization and access to same, reducing staff time to perform this function | Compare staff assessments of task time pre and post-implementation | Go Live + 3 months |
| 18 | Automate Fellow Floridian outreach letters and survey forms | Intangible | State Office, Local Agency staff | Web-based system reduces staff time to perform this procedure | Compare staff assessments of task time pre and post-implementation | Starts with project close |
| 19 | Collect outreach campaign data electronically | Intangible | State Office, Local Agency staff | Web-based system reduces staff time to perform this procedure | Compare staff assessments of task time pre and post-implementation | Starts with project close |
| 20 | Improve decision-making ability by increasing the frequency and scope of management data transfer to the reports database | Intangible | Participants, Vendors, Local Agency staff, State Office | Web-based system provides ability to transfer more management data, with greater frequency | Compare pre and post-implementation database transfer layouts and schedule | Starts with project close |
| 21 | Improve system security through role-based access to system functions | Intangible | Participants, Vendors, Local Agency staff, State Office | Web-based system provides role-based security | Compare pre and post-implementation security features and functions | Starts with project close |

| Benefits Realization Table | | | | | | |
|-----------------------------------|--|-------------------------------|--|---|---|--|
| # | Description of Benefit | Tangible or Intangible | Who benefits? | How is the benefit realized? | How is the benefit measured? | Realization Date (MM/YY) |
| 22 | Improve system security through the ability to track changes to key participant and program data | Intangible | Participants, Vendors, Local Agency staff, State Office | Web-based system provides data change audit capability | Compare pre and post-implementation security features and functions | Starts with project close |
| 23 | Improve disaster recovery response through the ability to download and use local agency data offline | Intangible | Participants, Vendors, Local Agency staff, State Office | Web-based system provides ability to download and use local data offline | Compare pre and post-implementation disaster recovery features and functions | Starts with project close |
| 24 | Reduce time to handle vendor support issues and queries | Productivity | State Office, Local Agency staff, Vendors, other DOH staff | Web-based system enables more electronic storage of paper information, improved organization and access to same, reducing staff time to perform this function | Compare staff assessments of task time pre and post-implementation | Go Live + 3 months |
| 25 | Reduce time to handle quality assurance support issues and queries | Productivity | State Office, Local Agency staff, County Health Departments, other DOH staff | Web-based system enables more electronic storage of paper information, improved organization and access to same, reducing staff time to perform this function | Compare staff assessments of task time pre and post-implementation | Go Live + 3 months |
| 26 | Improve customer service through tracking of calls, follow-up activities, resolutions, and outcomes | Intangible | Participants, Vendors, Local Agency staff, State Office | Web-based system provides tracking of support calls and queries, follow-up activities, resolutions and outcomes | Compare assessments of customer service among participants, Local Agency staff, vendors, and State Office, pre- and post-implementation | Review as possible enhancement during ongoing operations |

| Benefits Realization Table | | | | | | |
|-----------------------------------|--|-------------------------------|---|--|---|--|
| # | Description of Benefit | Tangible or Intangible | Who benefits? | How is the benefit realized? | How is the benefit measured? | Realization Date (MM/YY) |
| 27 | Improve customer service through automated opinion survey capability | Intangible | Participants, Vendors, Local Agency staff, State Office | Web-based system provides opinion survey capability | Compare assessments of customer service among participants, Local Agency staff, vendors, and State Office, pre- and post-implementation | Review as possible enhancement during ongoing operations |
| 28 | Reduce time to train new users on WIC Data System | Productivity | Local Agency staff, Participants | Web-based system reduces time to perform this procedure | Compare staff assessments of task time pre and post-implementation | Go Live + 3 months |
| 29 | Avoid (or reduce the) making (of) paper client charts and folders | Productivity | Local Agency staff | Web-based system enables more electronic information storage and easier access to same, avoids making paper participant charts and folders | Compare staff assessments of task time pre and post-implementation | Go Live + 3 months |
| 30 | Eliminate (or reduce) cost of archiving and purging client charts and folders | Tangible | Local Agency | Web-based system enables more electronic information storage and easier access to same, reducing cost of archiving and purging same | Compare pre and post-implementation costs for archiving and destruction of paper | Starts with project close |
| 31 | Improve data quality, lift productivity by providing users with common access to needed data on demand | Intangible | Participants, Vendors, Local Agency staff, State Office | Web-based system consolidates current off-system data stores into its database | Compare pre and post-implementation # and type of off-system data stores | Starts with project close |
| 32 | Lift productivity by extending needed functionality to support all business process areas | Intangible | Local Agency staff, State Office | Web-based system fills gaps with needed functionality | Compare staff assessments of task time pre and post-implementation | Go Live + 3 months |

| Benefits Realization Table | | | | | | |
|----------------------------|---|------------------------|--|--|---|---------------------------|
| # | Description of Benefit | Tangible or Intangible | Who benefits? | How is the benefit realized? | How is the benefit measured? | Realization Date (MM/YY) |
| 33 | Reduce data system processing, maintenance and support costs - SFY 2014, 2015, 2016, 2017 | Tangible | Participants, Local Agency staff, State Office | Web-based system costs less to process transactions, maintain, and support | Compare pre- and post-implementation system costs | Starts with project close |

C. Cost-Benefit Analysis Results

Per the Business Solution Alternatives above, the Cost-Benefit analysis is not applicable as the only acceptable alternative is to transfer and minimally modify an existing WIC data system with operational WIC EBT capability.

IV. Major Project Risk Assessment Component

A. Project Risk Assessment Tool



Att B -
RiskAssessment_201:

Attachment B

B. Project Risk Assessment Summary

The overall Risk Assessment for the project was Medium. In two of eight categories, risk was assessed as Low, five categories were assessed as Medium risk - Strategic, Technology Exposure, Organizational Change, Fiscal, and Project Organization, and High risk was found for Project Complexity. The following is a summary of the Risk Assessment Tool findings.

Strategic

Risk is Medium in this assessment. The project objectives have been clearly documented and are understood by all stakeholder groups. The project duration is estimated at 14 months and has public visibility to WIC participants and USDA/FNS, and internal visibility to the DOH, the DCF, and Southwood and Northwood Shared Resource Center staff.

Technology Exposure

Risk is Medium in this assessment. The relevant technology solutions have been researched, documented, and considered and the selected technology solution complies with relevant agency, statewide, and industry technology standards. Moderate infrastructure change is required to implement the solution; i.e., processing services will be provided by the Southwood Shared Resource Center. Since the selected solution is a COTS package, external technical resources will be needed for the implementation; e.g., system contractors and a contract project management team.

Organizational Change Management

Risk is Medium in this assessment. Although the project will impact essential business processes it will do so in a positive manner, bringing ease of use, time saving, and collaboration features to users. Some program process areas will receive full system support for the first time. WIC clients will benefit from time saving features, reducing the amount of time they spend in WIC clinics for certification and ease of payment through an electronic benefits transfer (EBT) card, a magnetic stripe card similar in appearance and function to a debit card. WIC retailers will also benefit from more efficient service to WIC clients in the checkout lane and less costly processing of WIC transactions.

Communication

Risk is Low in this assessment. Although a Communications Plan has been prepared that will enable proactive feedback from management, the project team, users, stakeholders, and the data system contractor, additional key messages and success measures will be added to the plan when the EBT service provider starts in November 2012.

Fiscal

Risk is Medium in this assessment. All of the anticipated project expenditures have been identified in the Spending Plan, approval from USDA/FNS of the use of federal funds is pending as of this writing, and the prospective funds are available from the annual Florida WIC grant to complete the project. These funds are supplemented by an American Recovery and Reinvestment Act (ARRA) grant and a commitment of DOH funds for the direct \$1.6 million cost of the project. A contract manager has been designated for the project.

Project Organization

Risk is Medium in this assessment. The project organization has been documented in the approved project plan, the roles of the steering committee defined, and a project staffing plan prepared. Florida WIC has staffed the project workgroups with subject matter experts that are available to whatever extent is needed.

Project Management

Risk is Low in this assessment. The project requirements have been defined and documented and standard project methodologies are in place and being used. The deliverable acceptance criteria have been documented in the purchase order. The project schedule has been developed with the data system contractor; the same step will be completed with the EBT service provider when it starts in November 2012.

Project Complexity

Risk is High in this assessment. The system will be implemented initially in a three month Pilot Test involving two WIC clinics, 25 WIC retailers, and overall about 8,000 participants. Upon USDA/FNS approval, the web-based data system and EBT processing will be rolled out statewide over a five to six months encompassing all of the remaining 220 local agency sites statewide. There will be four external organizations engaged by the project, if the solution is implemented as planned.

V. Technology Planning Component

| Technology Planning Section | \$1-2M | \$2 - 10 M | | > \$10 M |
|--|--------|-----------------------------------|-----------------------------------|----------|
| | | Routine upgrades & infrastructure | Business or organizational change | |
| Current Information Technology Environment | | X | X | X |
| Proposed Solution Description | X | X | X | X |
| Capacity Planning | X | X | X | X |
| Analysis of Alternatives | X | X | X | X |

A. Current Information Technology Environment

1. Current System

The Florida WIC Program is administered by the Bureau of WIC Program Services, Florida Department of Health (DOH), and is managed locally by 43 WIC local agencies, at about 222 sites, serving all 67 counties in Florida.

The WIC Data System is a centralized, real-time mainframe system, designed in 1990 and fully implemented in October 1992. The system runs on an IBM series 890 mainframe, using CICS for transaction processing, DB2 for database management, and COBOL as the application programming language. The user interface is character-based and accessed via a 3270 terminal emulation package, running on desktop computers, connected to the mainframe via the DOH network. The system is hosted by the Florida Department of Children and Families (DCF) at the Northwood Data Center. In August 2011, there were more than 1,600 users accessing the WIC Data System.

2. Strategic Information Technology Direction

The strategic information technology direction of the DOH is summarized below:

- Develop and implement open architecture systems
- Replace or re-platform legacy mainframe applications
- Link with third party systems and resources
- Exploit ETL (Extract, Transform, and Load) and Electronic Data Interchange (EDI) strategies
- Use DOH integration protocols
- Integrate with other enterprise information systems
- Comply with HIPAA (Health Insurance Portability and Accountability Act) and other regulatory requirements
- Employ centralized database management, eliminate data silos

3. Information Technology Standards

The key information technology standards of the DOH are listed below:

- Microsoft Network Architecture
- Microsoft .Net Framework
- Open Architecture
- Web-based
- Iterative development methodologies
- Maximum use of Prototyping and Early Defect Detection (EDD) strategies

B. Proposed Solution Description

In August 2012, the Department received approval from USDA/FNS to procure the services to transfer and modify the Michigan WIC data system. The web-based, EBT operational system coupled with the EBT processing services jointly procured with the Department of Children and Families, will provide Florida WIC with the technology platform that will:

- Improve the efficiency of WIC local agency operations to meet the demand for program services
- Support all WIC business process areas with needed system functionality
- Implement WIC Electronic Benefits Transfer (EBT) per the statutory requirements of HB 1263

1. Summary description

- a. System type: the web-based system transferred from Michigan WIC will have a tiered architecture comprised of a presentation layer, data layer, and business layer. The layers use the following technologies.
 - o Presentation Layer – ASP.Net, .Net Framework 3.5, XML, HTML, IIS, MS IE 6 & 7, DHTML, JavaScript, JSON, and ExtJS.
 - o Data Layer – SQL Server 2005, LINQ, Windows 2003 Distributed Transaction Coordinator, and Platinum Technology Erwin/ERX for Data Modeling.
 - o Business Layer – MS Visual Studio/Visual Basic.Net 2008, Visual SourceSafe, XML, ADO.Net, LINQ, and MS SQL Server 2005 Transact SQL.
- b. Connectivity: hosted at the Southwood Shared Resource Center; users will

access the system via the DOH intranet.

- c. Security: meets or exceeds DOH standards, including user role-based access and audit tracking.
- d. Development approach: The project consists of four sub-projects: Initiation Tasks to enable the overall project, Transfer and modification of the Michigan WIC data system, Configuration, modification, and interfaces to the FIS/eFunds EBT System. These sub-projects will converge in the User Acceptance Test Phase, leading to a three month EBT Pilot in the South Miami area beginning July 1, 2013. Following approval of the Pilot test by USDA/FNS will be the statewide rollout during operations and maintenance:
 - o Initiation Tasks are comprised of procurements and approvals.
 - The procurements include: Quality Assurance consulting services to guide and assist with data system and EBT system testing and processing through the EBT service provider to be selected via the DCF EBT reprocurement.
 - The approvals include: USDA/FNS approvals for the use of federal funds for the data system and EBT system efforts; e.g., approval of the Implementation Advance Planning Document Update (IAPDU), the WIC EBT Feasibility Study, and the WIC EBT Implementation Advance Planning Document (IAPD).
 - o The transfer and modification of the Michigan WIC data system will focus on:
 - Branding the system to uniquely identify it with Florida WIC.
 - Configuring the system by loading Florida WIC reference data and setting system options.
 - Modifying the system to provide essential functionality operational in the current WIC Data system; e.g., appointment scheduling with Florida-specific service reporting, an interface for adjunctive income eligibility determination, Florida-specific voter registration reporting, an interface to the local agency auto dialers, direct distribution of formula, and making interface changes to operate with the FIS/eFunds EBT system.
 - Establishing the processing environments in the Southwood Share Resource Center.
 - Migrating program data.
 - Updating documentation and training materials including the user and technical manuals, and system help files.

○ The configuration and modification of the EBT system includes the following phases, which will produce the deliverables required in the DCF ITN⁸:

- Planning includes development of a project plan and a transition (implementation) plan.
- Requirements/Design which will focus on developing requirements, a functional design, detailed (system) design, and test plan.
- Development which will focus on:
 - Modifications to the EBT system and interface
 - Test reports from integration and system tests
 - User acceptance test plans and scripts
 - Business continuity plan
 - System security plan
 - Training plan and materials for cardholders, authorized vendors, and WIC administrative staff
 - Retailer management plan.

○ The User Acceptance testing will focus on:

- User acceptance testing the Michigan WIC data system:
 - Completing two cycles of UAT, revision, and retesting,
 - Review of the data migration results,
 - Development and review of performance guidelines for evaluating system performance, and
 - Review of the UAT training provided to UAT testers.
- User acceptance testing the EBT system:
 - Completing UAT on the EBT system and its interfaces with the Michigan WIC data system and the current WIC Data System, and
 - Conducting the business continuity test.

⁸ The actual schedule for the EBT system effort will be developed and consolidated into the overall project schedule in November 2012 when it is anticipated that the contract with FIS/eFunds will be signed.

- USDA/FNS User acceptance testing:
 - Completing the standard WIC EBT test to be conducted by the consultant to FNS,
 - USDA/FNS review of test results,
 - Attaining USDA/FNS approval to begin the Pilot Test, and
 - Moving the revised code versions of the Michigan WIC data system, EBT system, and mainframe WIC Data System to the respective production environments.

○ The Pilot Test will focus on:

- Conducting the Pilot Phase data migration to the Michigan WIC data system.
- Conducting the Pilot Test involving the two clinics, 25 authorized vendors, and approximately 8,200 participants, and 50 clinic and call center staff.
- Exercising the operational processes and procedures of the post-implementation environment through system integrator support for EBT processing, local agency and state office support to clinics, and system integrator second-level support to the state office.

○ The Statewide Rollout during operations and maintenance will involve the rollout of WIC EBT and the web-based data system during the period from November 2013 through March 2014. This effort will only proceed upon FNS approval of the Pilot Test Evaluation and implementation plan.

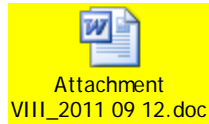
▪ The current plan calls for a rollout in five districts of the state:

- District One - the remainder of Miami-Dade County (November 2013)
- District Two - the remainder of the south of the state (December 2013)
- District Three - the central portion of the state (mid-January 2014)
- District Four - the northern portion of the state (February 2014)
- District Five - the panhandle area of the state (March 2014)

e. Interfaces: the web-based system will be modified to operate with three interfaces:

- i. FLORIDA system for adjunctive income eligibility determination
- ii. Auto-dialer used by local agencies for client appointment reminders
- iii. EBT service provider's system for processing WIC EBT transactions

Attached is the WIC Data System Interfaces document referenced in Florida WIC's contract for the web-based system.



- f. Maturity, life expectancy: the technology will be web-based, using a relational database. Life expectancy is estimated between 10 to 15 years, depending on federal program requirement and technology changes.

2. Resource and summary level funding requirements

- a. There will be three environments that will be operated on behalf of Florida WIC by the Southwood Shared Resource Center (TBD):

- Production (+reports)
- Quality Assurance (test/training + reports)
- Disaster Recovery (+reports)

- b. The Disaster Recovery environment will be located at a remote facility under contract to the Southwood Shared Resource Center.

- c. The system contractor will operate its own development environment.

- d. The anticipated staffing requirements involve technical support which will be provided by DOH contract staff hired by Florida WIC:

- Database Administrator
- System Support Technician

The system contractor will provide second-level support to these staff as well as the State Office WIC Help Desk.

3. Ability to meet performance requirements

- a. Availability - the web-based WIC Data System shall minimally be available during WIC program operation hours. The WIC Data System is currently available:

- 7:00 AM to 8:00 PM (EST), Monday - Thursday,

- 7:00 AM to 7:00 PM (EST) Friday, and
- Saturday 8:00 AM to 5:00 PM (EST).

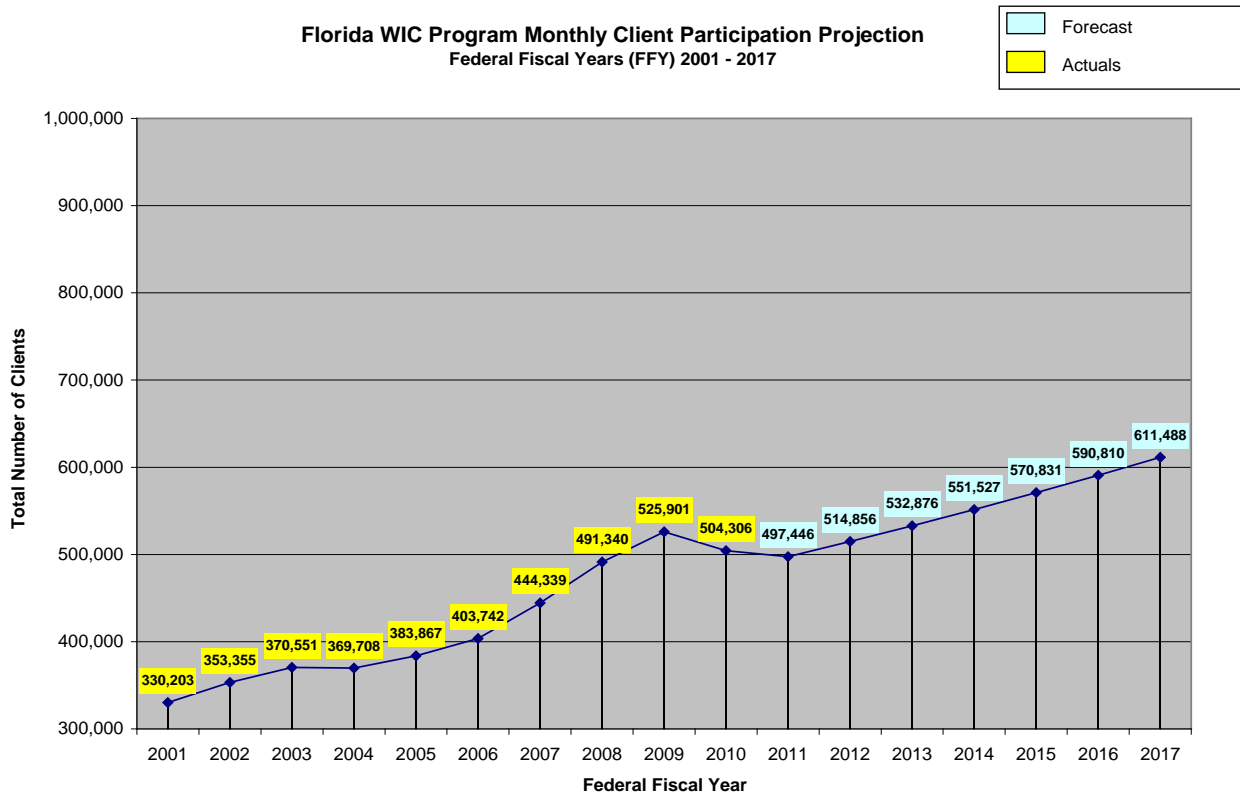
Any batch or period ending processes must be run as needed without impacting the availability of the system or user response time.

- Capacity - this topic will be discussed in Section V-C, Capacity Planning.
- Reliability - The web-based WIC Data System shall be tested to ensure it meets all reliability requirements.
- Backup and Operational Recovery - Business continuity and disaster recovery: will be provided through a duplicate production environment at the designated disaster recovery site.
- Scalability - The web-based WIC Data System shall be scalable to meet the demands for volume of service. This topic will be discussed in Section V-C., Capacity Planning.

C. Capacity Planning

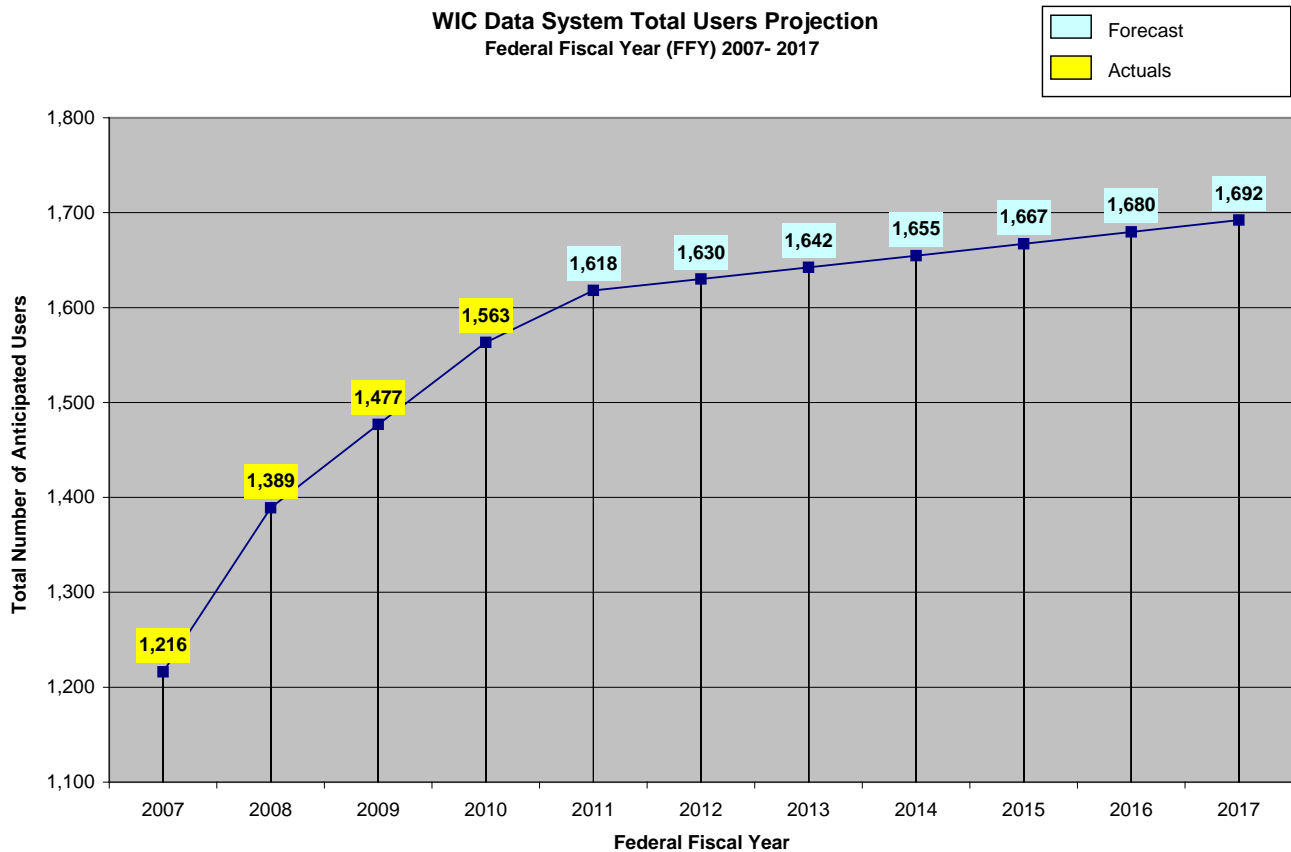
The web-based WIC Data System must have the capacity to support the anticipated number of participants and users. Following are the projections for these items from Federal Fiscal Year (FFY) 2011 through 2015.

Participants



The above chart illustrates participation (actual and projected) in the Florida WIC program from FFY 2001 through FFY 2017. Historical data from FFY 2001 to date in 2011 were used to project future monthly client participation, while taking into account recent program benefit changes, population trends, and the condition of the economy. The number of participants is expected to be approximately 551,000 in Federal Fiscal Year (FFY) 2014, the year in which the web-based data system will be rolled out.

Users



The above chart illustrates the number of users (actual and projected) of the WIC Data System from FFY 2007 through FFY 2017. The historical ratio of users to staff was used to project the total numbers. The number of WIC Data System users is expected to reach 1,655 in FFY 2014.

The preceding projections provide basic requirements for configuring and sizing the web-based WIC Data System.

The environments and server configurations planned for the web-based WIC data system were based on the system contractor’s final proposal, the experience of other state WIC agencies using web-based WIC data systems, and DOH IT requirements.

The storage needs of the web-based WIC Data System are based on the projected 14% growth in participants and food instruments issued over the next five federal fiscal years (FFY 2012 – 2016) and the expanded functionality of the selected system, including automation, digitization, and data store consolidation.

Based on the required environments and these storage needs, the system contractor has proposed a range of storage using locally attached disk drives (inside the server) and the storage area network (SAN). The system contractor's infrastructure requirements and Southwood Shared Resource Center price quotes were used to develop the operational and support cost estimates for the Project Budget.

Based on the experience of other state WIC agencies, Florida WIC understands that the web-based WIC Data System will not require a change in the current desktop computer capacity of the Florida WIC local agencies or state office. Florida WIC also understands from other state WIC agencies and the DOH IT that the network impact will almost certainly remain the same as it is today.

D. Analysis of Alternatives

The analysis of alternatives is presented in Section II-C.2, Business Solution Alternatives.

VI. Project Management Planning Component

| Project Management Section | \$1-2M | \$2 - 10 M | | > \$10 M |
|------------------------------------|--------|-----------------------------------|-----------------------------------|----------|
| | | Routine upgrades & infrastructure | Business or organizational change | |
| Project Charter | X | X | X | X |
| Work Breakdown Structure | X | X | X | X |
| Project Schedule | X | X | X | X |
| Project Budget | X | X | X | X |
| Project Organization | | | X | X |
| Project Quality Control | | | X | X |
| External Project Oversight | | | X | X |
| Risk Management | | | X | X |
| Organizational Change Management | | | X | X |
| Project Communication | | | X | X |
| Special Authorization Requirements | | | X | X |

A. Project Charter



Att D -
ProjectCharter_WIC |

Attachment C

B. Work Breakdown Structure

[Available upon request]

Attachment D

C. Resource Loaded Project Schedule



Att E - FL WIC EBT
Implementation_2012

Attachment E



Att F - FL WIC EBT
Implementation_2012

Attachment F

D. Project Budget



Att G -
SpendingPlan_WIC_E

Attachment G

E. Project Organization



Att H - Project Org
Chart_2012 10 15.pd

Attachment H

F. Project Quality Control

Project Quality Control is part of the quality assurance requirements of the DOH IT Project Management Office (PMO). These requirements are consistent with the quality assurance processes and standards published by the Project Management Institute (PMI). Quality assurance plans are created during the Initiation, Planning and Design phase of the project and are updated throughout the project. Key project control processes will be implemented in the project to ensure both quality of the project process and end products.

Quality assurance of the project process will involve application of the deliverable acceptance criteria in the purchase order, deliverable reviews, a formal change control process, contract management, and regular reporting. Regular meetings will involve the stakeholders, system contractors, Legislative Oversight staff, the DOH IT Governance Committee, and USDA/FNS. A Quality Assurance contractor will also be hired to provide a baseline assessment of project processes, assist in deliverable reviews, WIC retailer certification, ongoing issue and risk monitoring, technical consultation, and a Pilot Evaluation Report.

Quality assurance of the end product will primarily involve software testing. All of the normal software testing will be done during the development process - unit, integration, and system tests, as well as user acceptance tests, USDA/FNS certification of the data and EBT systems, and a three month pilot test prior to rollout. Florida WIC will also conduct disaster recovery fail-over tests. The Quality Assurance contractor will develop a user acceptance test plan test cases for the data and EBT systems.

G. External Project Oversight

The DOH IT PMO will provide formal oversight and monitoring of compliance with prescribed project management practices over the life of the project. The WIC Project Manger (PM) will request formal project reviews as part of standard quality assurance procedures for this project. The DOH IT PMO will report the status of the project to the DOH Tier 2 Governance Committee. DOH executive management also plans to hire an Internal Verification and Validation contractor to monitor and report project results.

H. Risk Management

The WIC Project Manager (PM) will implement formal Risk and Issue Management controls in accordance with the DOH IT PMO requirements and PMI standards.

[Available upon request]

Attachment I

Attachment I.1

I. Organizational Change Management

The WIC Data System – Implementation Phase project will require users to learn a new system and more than likely change the way they perform their work. Indeed the tangible benefits of the project depend on the ability of Florida WIC to successfully introduce process changes. An organizational change management plan is a key enabler for developing change management strategies. This plan will be included in the Training/Implementation Plan developed by Florida WIC.

J. Project Communication

[Available upon request]

Attachment J

VII. Appendix of Attachments

The attachments in the preceding text are listed below.

- A. Current Business Process Review**
- B. Risk Assessment Tool**
- C. Project Charter**
- D. Work Breakdown Structure**
- E. Project Schedule**
- F. Project Gantt Chart**
- G. Project Budget**
- H. Project Organization**
- I. Risk Management, I.1 Risk Register**
- J. Project Communication**