

Department of Financial Services Exhibits or Schedules

(See department-level exhibits or schedules)

SCHEDULE IX: MAJOR AUDIT FINDINGS AND RECOMMENDATIONS

Budget Period: 2014-2015

Department: Financial Services

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REPORT NUMBER	PERIOD ENDING	UNIT/AREA	SUMMARY OF FINDINGS AND RECOMMENDATIONS	SUMMARY OF CORRECTIVE ACTION TAKEN	ISSUE CODE
Auditor General Report No. 2012-008	Feb. 2011	<i>DFS Treasury Investment Policies and Prior Audit Follow-up</i>	<p>Finding 1: The Treasury's investment policies, procedures and web site disclosures could be improved by amending them to include certain provisions recommended by Government Finance Officer Association Guidance.</p> <p>Recommendation: The Treasury amend its investment policies, procedures and web site disclosures, as applicable, to incorporate coverage of share valuation, structured investments and derivatives, standards of care, safeguarding and custody of securities, internal controls, reporting, investment policy review and approval, Investment Committee members, and Investment Committee meeting minutes. We also recommend that Treasury submit its policies, procedures, and Web site disclosures to its investment consultant for review.</p>	<p>CLOSED: Treasury staff reviewed policies, procedures and web site disclosures and made further updates to the Comprehensive Investment Policy which were reviewed and approved by the Investment Committee. Treasury also enhanced procedures and the web site to incorporate changes deemed appropriate.</p>	
			<p>Finding 2: The Department should continue its efforts, in consultation with the Legislature, to affect changes to current Florida law that would allow for a functional Qualified Public Depository Oversight Board.</p> <p>Recommendation: The Department continue to pursue the establishment of an advisory committee.</p>	<p>ONGOING: Treasury staff worked with the Florida Bankers Association (FBA) concerning revisions to Chapter 280, Florida Statutes. The proposed changes would have included the removal of the Bank Oversight Board and reestablishment of the Qualified Public Depository Advisory Board. The necessary changes were not adopted during the Legislative session. Treasury continues to work with the Department's legislative staff and the FBA regarding the changes.</p>	

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			<p>Finding 3: The Department had not adopted rules to enumerate the circumstances under which collateral pledging levels may differ from levels computed under existing law and rule.</p> <p>Recommendation: The Department amend its rules as necessary to enumerate the circumstances under which analysts may change the collateral pledging levels from those computed by CAP.</p>	<p>ONGOING: Chapter 280, Florida Statutes, was not updated in the Legislative session. Treasury is currently pursuing an update to the Rule, as an individual issue.</p>	
			<p>Finding 4: The Department had not adopted rules identifying the conditions under which a Qualified Public Depository (QPD) with low financial condition rankings may submit a request to delay the provision of additional collateral, criteria to evaluate such a request, or the time frame within which a hardship case must ultimately meet a required collateral level.</p> <p>Recommendation: The Department establish by rule the conditions under which a hardship request may be submitted by a QPD, the criteria to be used by the Department to evaluate hardship requests, and the maximum time frame within which a transition to a required collateral level must be completed.</p>	<p>ONGOING: Chapter 280, Florida Statutes, was not updated in the Legislative session. Treasury is currently pursuing an update to the Rule, as an individual issue.</p>	
			<p>Finding 5: Subsidiary worksheets used to track and value abandoned securities continued to contain inaccurate and incomplete information.</p> <p>Recommendation: The Bureau of Unclaimed Property reconcile all investment worksheets to UPMIS. Additionally, the Bureau should continue its efforts to determine the feasibility of making changes to UPMIS to accommodate the tracking and valuation of investments held by outside holders. Additionally, the Bureau should ensure that investments are appropriately valued.</p>	<p>CLOSED: The Bureau contracted with another securities custodian, eliminating the need for investment tracking spreadsheets. Transfer agents send all securities directly to the custodian and the custodian tracks the value of the security and provides securities information to the Bureau.</p>	

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Auditor General Report No. 2012-016	July 2011	<i>DFS Florida Accounting Information Resource (FLAIR) Subsystem</i>	<p>Finding 1: The access privileges of some Department users were not appropriate for their job responsibilities.</p> <p>Recommendation: The Department should limit user access privileges to only what is necessary for user job responsibilities. Additionally, the Department should ensure that periodic reviews of DAC and HAC Statewide access privileges contain sufficient information to determine whether assigned access privileges remain appropriate and commensurate with job responsibilities. The Department should also expand its review of Payroll Component access privileges to include users within DIS.</p>	<p>CLOSED: The Division of Accounting and Auditing updated the access control procedure for the systems in question. The Division also developed access control reports to support quarterly monitoring activities. The Division of Information Systems (DIS) limited access privileges, as applicable. DIS also modified the access review reports to include sufficient detail for determining the appropriateness of access privileges.</p>	
Auditor General Report No. 2012-016 (...contd)	July 2011	<i>DFS Florida Accounting Information Resource (FLAIR) Subsystem</i>	<p>Finding 2: The Department did not disable network access privileges of some former employees in a timely manner.</p> <p>Recommendation: The Department should enhance its practices to ensure that network access privileges of all former employees are disabled in a timely manner.</p>	<p>CLOSED: In June 2011, the Department procured a monitoring tool to more accurately record the date privileges were disabled. On July 13, 2011, the DIS implemented this tool and, since that time has been capturing these records. The Department updated its policies and procedures related to timely disablement of access privileges and implemented a process to perform periodic checks of employee separations to ensure network accounts are disabled.</p>	
			<p>Finding 3: Certain Department security controls needed improvement.</p> <p>Recommendation: The Department should improve security controls related to security event logging, logical access, and data transmission.</p>	<p>CLOSED: The Department enhanced the noted security controls to ensure the confidentiality, integrity, and availability of data and IT resources.</p>	
			<p>Finding 4: Contrary to the requirements of the State of Florida, <i>General Records Schedule</i> for the retention of access control records, the Department did not retain some network and Natural Security access control records.</p> <p>Recommendation: The Department should ensure that access control records are retained as required by the <i>General Records Schedule</i>.</p>	<p>CLOSED: In June 2011, the Department procured a monitoring tool to ensure that records were captured and retained in accordance with the <i>General Records Schedule</i>. On July 13, 2011, the DIS implemented this tool and since that time has been capturing and retaining these records. Additionally, on August 7, 2011, the Division enhanced Natural Security logging to ensure proper retention of those records, as well.</p>	

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			<p>Finding 5: The Department did not maintain a comprehensive configuration repository of its IT infrastructure and applications.</p> <p>Recommendation: The Department should implement a central comprehensive configuration repository to facilitate management and control of its IT infrastructure and applications.</p>	<p>ONGOING: The Department is leveraging multiple repository solutions to expand management of its information technology infrastructure. Existing repositories were updated, as needed. In 2010, the Department procured enhancements to existing configuration management tools to facilitate management and control of its IT infrastructure and applications. The Division of Information Systems completed one tool enhancement and dedicated resources to work toward deployment of the second enhancement.</p>	
			<p>Finding 6: The Department did not provide initial security awareness training for some agency workers or periodic refresher training for all agency workers.</p> <p>Recommendation: The Department should provide initial and periodic refresher security awareness training for all Department workers, including salaried employees, contractors, volunteers, and OPS employees.</p>	<p>CLOSED: In April 2010, the DIS procured a Security Awareness Training tool. New Department workers are registered for training by DIS when a request is received to provide access to IT resources. DIS implemented a process to follow-up with workers to ensure that training is completed within 30 days of hire. Department workers are also required to complete refresher training on an annual basis.</p>	
			<p>Finding 7: The Department's firewall configuration management controls needed improvement.</p> <p>Recommendation: The Department should ensure that all changes to the firewall configuration are approved and tested and that affected users are notified of the changes as provided in the Firewall Configuration Procedure.</p>	<p>CLOSED: DIS completed enhancement of its firewall configuration procedures in March 2012.</p>	
			<p>Finding 8: Some Department policies and procedures were outdated, inaccurate, lacking, or not effectively disseminated to staff. The Department also lacked written procedures for some Departmental Accounting Component (DAC) access control processes.</p> <p>Recommendation: The Department should update and correct inaccuracies in existing policies and procedures. Additionally, the Department should ensure that procedures are communicated and made available to all appropriate staff.</p>	<p>CLOSED: The policies in question were updated by the Department. Procedures were put in place to require a periodic review of Department policies and procedures. Additionally, a new procedure was implemented to ensure that Department staff are made aware of changes in policy. Two of the Divisions in question placed their internal policies and procedures on the Divisions' Intranet Site to ensure they remain accessible.</p>	

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Auditor General Report No. 2012-026	Feb. 2011	DFS Division of Agent and Agency Services	<p>Finding 1: The Department had not prepared detailed analyses comparing particular categories of regulatory costs to the revenues designated to cover those costs.</p> <p>Recommendation: The Department conduct periodic comparisons of the costs of industry regulation and the associated designated fees and taxes. Any indicated need for changes in rate should be brought to the Legislature's attention.</p>	<p>CLOSED: The Department continues to provide the Legislature with quarterly analyses of Insurance Regulatory Trust Fund (IRTF) revenues and expenditures. The quarterly Trust Fund Analysis Reports provide the Legislature with the information on IRTF revenues and program expenditures necessary to make decisions regarding rate changes.</p>	
			<p>Finding 2: The Division had not provided for adequate oversight of the information technology controls relevant to the system used to support Division licensing functions.</p> <p>Recommendation: The Division amend the information technology services contract and the Department make or obtain an independent periodic assessment of the contractor's relevant internal controls.</p>	<p>CLOSED: On July 2, 2011, the Department entered into a new agreement with the contractor which included provisions requiring the contractor to comply with the Department's policies and procedures and standards for information technology functions within the Department. Through the new contract and the contractor's required use of the Department's Change Management Process and Information Systems Development Methodology, the Department provided the appropriate internal control framework.</p>	
			<p>Finding 3: The Department had not properly assessed and collected certain required fees.</p> <p>Recommendation: The Department continue its efforts to implement procedures to assess and collect all required fees.</p>	<p>CLOSED: System changes were deployed January 18, 2012, to begin collecting the noted fees.</p>	
			<p>Finding 4: A significant number of investigations were not closed within Department established timeframes.</p> <p>Recommendation: The Bureau should take steps to improve the timeliness of investigations.</p>	<p>CLOSED: In June 2012, the Division deployed a new case tracking system that facilitated additional process improvements allowing for further reductions in the overall time to complete investigations. In addition, Division leaders continue to stress the importance of timely completion of investigative cases, while maintaining the integrity and quality of the investigation. Efforts to date have resulted in improvements in the timeliness of investigations.</p>	

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Auditor General Report No. 2012-067	June 2011	<i>DFS Division of Risk Management Monitoring of Third-Party Administrators</i>	<p>Finding 1: The Division did not adequately monitor third-party administrators engaged to provide workers' compensation case management administrative services and pharmacy benefits management.</p> <p>Recommendations: The Division:</p> <ul style="list-style-type: none"> • Comply with its policies and procedures related to performing required payment audits, medical reimbursement audits, and audit tests of TPA reimbursements. • Develop specific policies and procedures to require periodic audits of pharmaceutical claims paid by the Division's pharmaceutical benefit service provider. • Perform on-site monitoring of all TPAs. • Amend TPA contracts to require service auditor reports. • Establish a database or obtain access to TPA data containing detailed information on claims paid. 	<p>ONGOING: The Division continues to refine a coordinated, long-term strategy to strengthen monitoring of third party administrators. The Division has undertaken certain initiatives and longer-term planning consisting of the following: a) The Division established a Contract Monitoring Unit which is staffed with four employees. The Division requested and was authorized for another two positions effective 7/1/13; b) The Division continues to update and create policies and procedures related to contract monitoring functions; c) The Division contracted with an outside consultant which reviewed the activities of three of the Division's contracted providers. As a result of the reviews, the Division has worked with the contractors to implement corrective actions; d) The Division began contract negotiations and undertook certain actions to transition legacy claims to alternative service providers in an effort to improve management of the claims; e) The Contract Monitoring Unit started performing quarterly audits related to service provider payments and routinely reviews performance metrics for the service providers; f) The Division executed an amendment with a pharmaceutical TPA to increase accountability provisions and which defines how repackaged drugs are priced and defines the source used for average wholesale price; g) The Division obtained service auditor reports for current medical service-related TPA's; and h) the Division is in the process of procuring a new Risk Management Information System with the capability to capture claims data sufficient to enhance the Division's ability to monitor and evaluate the appropriateness of payments and provide additional support for the detection of potentially fraudulent activity.</p>	

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Auditor General Report No. 2012-071	9/1/2011	<i>DFS STARS (Information Technology Operational Audit)</i>	<p>Finding 1: The access privileges of some employees, contractors, and external users were not necessary for the users' assigned job responsibilities and did not enforce an appropriate separation of duties. Additionally, contrary to Department Policy, the Division lacked written procedures for controlling access to the STARS application.</p> <p>Recommendations: The Department should limit access privileges to STARS resources to only what is needed to perform job responsibilities. The Department should also evaluate employee job responsibilities relating to STARS and make appropriate changes to enforce an appropriate separation of incompatible duties. Additionally, the Department should develop written procedures for controlling access to the STARS application.</p>	<p>CLOSED: The Division of Risk Management (DRM) reviewed and limited user access privileges to the STARS application to only those privileges necessary based on user job responsibility. Additionally, the DRM created access control procedures for controlling access to STARS. In conjunction with the new procedures, the DRM implemented quarterly access reviews to ensure privileges remain appropriate in accordance with Department Policy.</p>	
			<p>Finding 2: Authorization documentation for STARS access privileges for some users was missing or incomplete.</p> <p>Recommendation: The Department should maintain complete documentation of management authorization for user access to STARS that specifies the security profiles assigned to the users.</p>	<p>CLOSED: The DRM continues to ensure that user access authorizations are appropriately documented and specify the access privileges being requested for the users. Additionally, the Division approved and implemented the STARS Access Control Policy.</p>	
			<p>Finding 3: Department records of network access deactivation dates were manually prepared rather than system-generated, which may lessen management's assurance of the reliability and completeness of the records. In addition, contrary to Department <i>Policy</i>, the Department did not document the deactivation of access to the STARS application. We also noted the Department did not timely deactivate the STARS server administrator access privileges of one former contractor.</p> <p>Recommendation: The Department should comply with AP&P 4-05 and also enhance its practices to ensure that access privileges of all former employees and contractors are deactivated in a timely manner.</p>	<p>CLOSED: The Department and DRM enhanced procedures to ensure timely disablement of network access privileges for separating employees, and the complete documentation of disablement tasks. In June 2011, the Department procured a monitoring tool to more accurately record the date network privileges are disabled. On July 13, 2011 the Department implemented this tool and since that time has been capturing these records.</p>	

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Auditor General Report No. 2012-071 (...contd)	9/1/2011	DFS STARS (Information Technology Operational Audit)	<p>Finding 4: Contrary to the State of Florida, <i>General Records Schedule</i> requirements for the retention of access control records, the Department did not retain complete access control records.</p> <p>Recommendation: The Department should retain access control records as required by the <i>General Records Schedule</i> .</p>	<p>CLOSED: The DRM revised its access control procedures to eliminate the reissuance and reactivation of STARS user IDs to ensure that access control records for separated employees are appropriately maintained in STARS. Additionally, in accordance with the <i>General Records Schedule</i> , the Division implemented a process for preserving the access control records outside of the application for both separated employees and employees whose access has been modified. In June 2011, the Department procured a monitoring tool to more accurately record the date network privileges are disabled. On July 13, 2011, the Division of Information Systems implemented this tool and since that time has been capturing these records.</p>	
			<p>Finding 5: Contrary to Agency for Enterprise Information Technology (AEIT) Rules and Department <i>Policy</i> , some generic and shared user identification codes (IDs) existed with access privileges to STARS data and IT resources.</p> <p>Recommendation: The Department should assign unique user IDs to each individual who is authorized to access STARS data and IT resources.</p>	<p>CLOSED: DRM limited the use of generic user IDs within the STARS application by deactivating the three accounts that were no longer being utilized. Additionally, DRM management instructed staff on Department policy prohibiting the sharing of network user ID's. The Division of Information Systems created individual STARS database administrative accounts for the Database Administrators.</p>	
			<p>Finding 6: The Department's review of the appropriateness of STARS user access privileges was not conducted on a sufficiently frequent basis. Additionally, documentation of access reviews conducted was not retained and results of the reviews were not reported, contrary to Department <i>Policy</i> .</p> <p>Recommendation: The Department should ensure that STARS access privileges are reviewed quarterly as required by AP&P 4-05. Additionally, the Department should retain documentation of access reviews and report the results to the Division of Information Systems Compliance Office.</p>	<p>CLOSED: DRM revised its procedures to ensure that quarterly reviews of access privileges are conducted and that documentation of reviews is retained.</p>	

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Auditor General Report No. 2012-071 (...contd)	9/1/2011	<i>DFS STARS (Information Technology Operational Audit)</i>	<p>Finding 7: Certain Department security controls related to user authentication, session controls and logging needed improvement.</p> <p>Recommendation: The Department should implement appropriate security controls related to these areas.</p>	<p>ONGOING: The Department continues to enhance security controls in the areas noted in the report. Additionally, DRM is working to procure an Insurance Management System which will include functionality to better meet this requirement.</p>	
			<p>Finding 8: STARS application program change controls needed improvement and the Department had not established written procedures for managing changes to the STARS application.</p> <p>Recommendation: The Department should establish and follow written procedures for managing changes to the STARS application. The Department should also implement a process for monitoring the movement of program changes into production.</p>	<p>CLOSED: DRM enhanced its change management process to ensure that changes to STARS are appropriately authorized, documented, tested, and approved. Additionally, DRM approved and implemented a formal policy to ensure that changes are properly documented and approved.</p>	
			<p>Finding 9: STARS lacked a data edit to disallow the payment of medical benefits incurred after the date of denial for controverted claims. Also, no reporting was in place to allow claims supervisors to monitor the payment of benefits on controverted claims.</p> <p>Recommendation: The Department should establish the appropriate data edit in STARS. Until the edit is established, the Department should implement exception reporting and monitoring to detect and follow-up on such payments, should they occur.</p>	<p>ONGOING: DRM continues to provide a Controverted Claims with Payments report to Claims staff for review on a monthly basis. Additionally, the Department is working to procure an Information Management System which will include functionality to meet this requirement.</p>	
			<p>Finding 10: Confidential and exempt workers' compensation claims information was not encrypted in some transmissions.</p> <p>Recommendation: The Department should implement appropriate controls to ensure the transmission and receipt of confidential and exempt information is secured.</p>	<p>CLOSED: The Division of Information Systems enhanced the Department's IT infrastructure to provide multiple technologies to facilitate the secure transmission of confidential and exempt information. The DRM continues to work with the Third Party Administrators to ensure that information exchanged with the Department is transmitted in a secure manner.</p>	

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			<p>Finding 11: The Department did not monitor payments for medical services to providers from the Genex billing process to ensure claims were paid within 45 days of receipt.</p> <p>Recommendation: The Department should monitor billing claims for medical services to ensure claims are paid within 45 days of receipt.</p>	<p>CLOSED: DRM implemented a new process with Genex to identify and correct payment delay issues and continues to follow the process established with Genex to identify and correct payment delay issues. Additionally, the Department is working to procure an Information Management System which will include functionality to meet this requirement.</p>	
Auditor General Report No. 2012-071 (...contd)	9/1/2011	DFS STARS (Information Technology Operational Audit)	<p>Finding 12: Sub-annual filings on open claims to the Division of Workers' Compensation were not always timely. Also, no reporting mechanism existed in STARS to allow Division staff to proactively ensure that filings were completed in a timely manner and appropriately filed.</p> <p>Recommendation: The Department should ensure that sub-annual claim cost reports are filed with the Division of Workers' Compensation as required within the time frame specified. Also, the Department should review the <i>Missing SA Report</i> to ensure that past due reports are filed.</p>	<p>CLOSED: DRM implemented a process to review the internal DWC-13 reports in conjunction with the Missing SA Report to ensure that past due reports are filed. Since implementation of this process on September 1, 2012, the Division reduced the number of past due reports. Additionally the Department is working to procure an Information Management System which will include functionality to meet this requirement.</p>	
			<p>Finding 13: Data reconciliation procedures were lacking between STARS and the temporary total disability (TTD) database.</p> <p>Recommendation: The Department should implement the necessary controls to ensure that data transfers between STARS and the TTD database are complete and accurate. Additionally, the Department should implement procedures for reconciling the TTD benefit payment data transferred from STARS to the TTD database, including records written to the append file for manual review.</p>	<p>CLOSED: The Division of Information Systems developed a new TTD database that DRM is using for the STARS data exchange reconciliation process. Additionally reconciliation procedures were developed, approved, and validated. The new TTD database accepted the data import file and the corresponding reconciliation procedures were validated.</p>	

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Auditor General Report No. 2012-142	6/30/2011	<i>State of Florida Compliance and Internal Controls over Financial Reporting and Federal Awards</i>	<p>Finding FS 11-005: The Bureau of Accounting (Bureau) did not, in all instances, identify and correctly record financial accounts and balances related to the Rehabilitation and Liquidation Trust Fund activities for the fiscal year.</p> <p>Recommendation: The Bureau enhance its fiscal year-end reporting procedures.</p>	<p>CLOSED: The Bureau of Financial Services and the Division of Rehabilitation and Liquidation worked closely to ensure that financial data provided by the Division for the most recent fiscal year end June 30, 2012 was properly converted from the Other Comprehensive Basis of Accounting to the Accrual Basis in accordance with Generally Accepted Accounting Principles.</p>	
Auditor General Report No. 2012-142 (...contd)	6/30/2011	<i>State of Florida Compliance and Internal Controls over Financial Reporting and Federal Awards</i>	<p>Finding FA 11-034: The Department's procedures established to ensure the accuracy and completeness of the SWCAP could be improved. Also, the 2012 SWCAP Section II documentation did not include financial information pertaining to the Northwest Regional Data Center.</p> <p>Recommendation: The Department implement procedures to ensure all central service activities are included in the SWCAP and ensure the data center is added to Section II of the SWCAP.</p>	<p>CLOSED: The Department implemented procedures to ensure all central service activities are included in the SWCAP. The NWRDC was added to Section II of the 2013 SWCAP submitted on December 23, 2011.</p>	
			<p>Finding FA 11-037: The Department did not adequately review the data presented on the Schedule of Expenditures of Federal Awards (SEFA) and the notes to the SEFA.</p> <p>Recommendation: The Department establish review procedures to ensure amounts reported on the SEFA and the notes to the SEFA are accurate, complete, and in accordance with OMB Circular A-133 and the Compliance Supplement.</p>	<p>CLOSED: The Department will follow its established review procedures to ensure that amounts reported on the SEFA and the notes to the SEFA are accurate, complete, and in accordance with OMB Circular A-133 and the Compliance Supplement.</p>	

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Auditor General Report No. 2012-179	January 2012	<i>DFS Special Disability Trust Fund Claims Manager 2004 System</i>	<p>Finding 1: The access privileges of some Department users were not necessary for their job responsibilities and did not enforce an appropriate separation of incompatible job duties.</p> <p>Recommendation: The Department should limit access privileges to SDTF System resources to only those necessary to perform assigned job duties and also evaluate employee job responsibilities to make applicable changes to enforce an appropriate separation of incompatible duties.</p>	CLOSED: The Division of Workers' Compensation restricted access to SDTF System resources and routinely monitors user access privileges to ensure they remain appropriate. The Division also implemented procedures to monitor the activity of all system users.	
			<p>Finding 2: The Department's review of SDTF System IT resource access privileges needed improvement.</p> <p>Recommendation: The Department should comply with the provisions of AP&P 4-05 regarding periodic reviews of access privileges for all SDTF system-related IT resources.</p>	CLOSED: In September 2011, the Division of Workers' Compensation began performing quarterly business unit level reviews of Special Disability Trust Fund System access privileges. Additionally, the Division of Information Systems initiated the first review of the access control practices for a sample of secure applications in November 2012.	
Auditor General Report No. 2012-179 (...contd)	January 2012	<i>DFS Special Disability Trust Fund Claims Manager 2004 System</i>	<p>Finding 3: Some confidential and exempt SDTF information was accessible by individuals who did not have a valid business purpose to access the information.</p> <p>Recommendation: The Department should improve controls protecting the confidentiality of SDTF confidential and exempt information.</p>	CLOSED: Access to confidential and exempt information was limited to only those individuals with a valid business purpose for accessing the information.	
			<p>Finding 4: Certain Department security controls needed improvement.</p> <p>Recommendation: The Department should improve its security controls related to access privileges, default local administrator accounts and local server security event logging.</p>	CLOSED: Management successfully resolved issues noted in the report or implemented compensating controls.	
			<p>Finding 5: SDTF System database backups were not regularly being stored at an off-site location.</p> <p>Recommendation: The Department should enhance procedures to ensure that a current copy of the SDTF System database is stored in a secure, off-site location.</p>	CLOSED: On February 20, 2012, the Division of Information Systems revised backup procedures to ensure the SDTF system database is backed up on a regular basis and that back-up copies are stored at a secure off-site location.	

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			<p>Finding 6: Discrepancies in SDTF System data were noted. Also, system input, processing, and related user controls were deficient.</p> <p>Recommendation: The Department should implement appropriate input, processing, and user controls.</p>	<p>CLOSED: The Division of Workers' Compensation implemented a reconciliation process to ensure that SDTF System data accurately reflects the claim data provided from FLAIR. Additionally, the Division implemented monthly review of change history logs to ensure that changes to data are accurate and appropriate.</p>	
			<p>Finding 7: The Department did not reconcile claim payment data in the SDTF system to the FLAIR Subsystem.</p> <p>Recommendation: The Department should implement the necessary reconciliation controls to ensure that that claim payment data exchanged between the SDTF System and FLAIR is complete, valid, and accurate.</p>	<p>CLOSED: The Division of Workers' Compensation implemented a reconciliation process to ensure that SDTF claim payment data exchanged between the SDTF System and FLAIR is complete, valid, and accurate and that SDTF System claim payment requests are only submitted once for payment.</p>	
Auditor General Report No. 2012-179 (...contd)	January 2012	<i>DFS Special Disability Trust Fund Claims Manager 2004 System</i>	<p>Finding 8: Department monitoring of SDTF System logs and reports needed improvement.</p> <p>Recommendation: The Department should ensure that SDTF System logs and reports are routinely monitored.</p>	<p>CLOSED: The Division of Workers' Compensation implemented a monthly review of change history logs to ensure that changes to data are accurate and appropriate.</p>	
Auditor General Report No. 2013-078	January 2013	<i>Florida Accounting Information Resource Subsystem (FLAIR)</i>	<p>Finding 1: The access privileges of some Department users were not appropriate for their job responsibilities.</p> <p>Recommendation: The Department should limit user access privileges to only what is necessary for the users' job responsibilities.</p>	<p>CLOSED: The Division of Information Systems and Division of Accounting and Auditing limited access privileges to ensure appropriate separation of duties.</p>	
			<p>Finding 2: The Department did not deactivate the access privileges of some former employees and contractors in a timely manner.</p> <p>Recommendation: The Department should enhance its practices to ensure that network and DAC access privileges of all former employees and contractors are deactivated in a timely manner.</p>	<p>CLOSED: The Department enhanced procedures to further ensure timely disablement of network access privileges for separating employees and implemented a monitoring process to identify past due disablements. Additionally, the Department continues to communicate the importance of timely reporting of separations to ensure timely deactivation of accounts.</p>	

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			<p>Finding 3: The Department did not maintain access authorization forms for some users.</p> <p>Recommendation: The Department should maintain documentation of management's authorization for user access privileges to move Natural, COBOL, and UNIX changes into the production environment.</p>	<p>CLOSED: Access authorization documentation is completed for all new employees and for any employees who move positions within the Department. Quarterly access reviews are performed to ensure that all users access to system is authorized. Additionally, the Department provided training on procedures to ensure access to the Department's secure applications is reviewed on a quarterly basis.</p>	
Auditor General Report No. 2013-078 (...contd)	January 2013	<i>Florida Accounting Information Resource Subsystem (FLAIR)</i>	<p>Finding 4: Certain Department security controls related to security event login, logical access, the protection of confidential and exempt information, and risk management needed improvement.</p> <p>Recommendation: The Department should improve security controls related to security event logging, logical access, the protection of confidential and exempt information, and risk management to ensure the confidentiality, integrity, and availability of data and IT resources.</p>	<p>ONGOING: The Department improved security controls in some areas noted in the report and will continue to address security controls in other areas, as appropriate.</p>	
			<p>Finding 5: The Department did not maintain a comprehensive configuration repository to facilitate the management and control of its IT infrastructure and applications.</p> <p>Recommendation: The Department should continue efforts to implement central comprehensive configuration repository to facilitate the management and control of its IT infrastructure and applications.</p>	<p>ONGOING: The Department continues to leverage multiple repository solutions to manage its information technology infrastructure. Existing repositories are being updated as needed, and the remaining phases of the Remedy enhancement are being planned.</p>	
			<p>Finding 6: The Department's monitoring of program changes needed improvement.</p> <p>Recommendation: The Department should implement a process to monitor the status of existing Data Processing Requests (DPR) and ensure that status information for each DPR is current.</p>	<p>CLOSED: The Division enhanced procedures to ensure that DPR statuses are updated timely. The Division implemented a process to review reports of DPRs.</p>	

REPORT NUMBER	PERIOD ENDING	UNIT/AREA	SUMMARY OF FINDINGS AND RECOMMENDATIONS	SUMMARY OF CORRECTIVE ACTION TAKEN	ISSUE CODE
			<p>Finding 7: Department procedures were outdated, inaccurate, or lacking.</p> <p>Recommendation: The Department should update and correct inaccuracies in existing procedures. Additionally, pursuant to AP&P 4-05, the Department should develop procedures that detail how the business units determine who should have access to their applications. Furthermore, the Department should develop procedures for approving and assigning access privileges for adding vendors to the Statewide vendor file.</p>	<p>CLOSED: The Division of Information Systems continues its efforts to review and update existing policies and procedures. Internal Policy & Procedure 2.2.01 FLAIR Access Control was updated by the Division of Administration informing business units how to determine who should have access to FLAIR. The Division of Accounting and Auditing's Access Control Business Process Procedures for OLO 4390 were updated to reflect DAC access changes associated with the Statewide Vendor File.</p>	
Auditor General Report No. 2013-161	June 30 2012	<i>Compliance and Internal Controls Over Financial Reporting and Federal Awards</i>	<p>Finding FS 12-003: The Department's Unclaimed Property Trust Fund Advances to other funds was understated by \$91,730,486 due to errors in calculating estimates of amounts yet to be reclaimed by and paid to unclaimed property claimants (future claim payments).</p> <p>Recommendation: The Department implement a more thorough supervisory review of the continuing validity of the assumption used in developing the estimates of future claim payments to claimants.</p>	<p>ONGOING: The Department is enhancing its procedures to implement a more thorough supervisory review of the assumptions used in developing the estimates of future claim payments.</p>	
			<p>FS 12-008: The Statewide Financial Reporting Section (SFRS) incorrectly classified a portion of the General Fund's unassigned fund balance as nonspendable fund balance.</p> <p>Recommendation: SFRS should consider the impact of all relevant accounts affecting fund balance classifications.</p>	<p>CLOSED: SFRS enhanced procedures to ensure that consideration is given to all relevant accounts impacting the nonspendable fund balance classification.</p>	
			<p>Finding FS 12-012: The Department improperly coded Administrative expenses as Investment activity expense and Other deductions as Withdrawals during the fiscal year-end financial reporting closing process.</p> <p>Recommendation: The Department enhance procedures over its fiscal year-end financial reporting closing process to ensure the Department's accounts are correctly classified for use in the preparation of the State's financial statements.</p>	<p>ONGOING: The Department is enhancing its procedures to ensure account balances for the Division of Rehabilitation and Liquidation are correctly classified on the State's financial statements.</p>	

REPORT NUMBER	PERIOD ENDING	UNIT/AREA	SUMMARY OF FINDINGS AND RECOMMENDATIONS	SUMMARY OF CORRECTIVE ACTION TAKEN	ISSUE CODE
			<p>FA 12-013: The Department's procedures did not ensure that sufficient data was obtained during the 2011-12 fiscal year to calculate an accurate clearance pattern for one Federal program.</p> <p>Recommendation: The Department should enhance their procedures to ensure that complete account code information is collected and used to calculate clearance patterns.</p>	<p>ONGOING: CMIA procedures were updated January 2013. A prior year adjustment will be included in the CMIA Annual Report to be submitted December 2013.</p>	
			<p>Finding FA 12-030: Reconciliations for the Statewide Cost Allocation Plan (SWCAP) disclosed two funds with excessive balances. Additionally, SWCAP Section II did not include all required documentation for the Northwest Regional Data Center (NWRDC).</p> <p>Recommendation: The Department should require the NWRDC to determine the mainframe data processing and storage services rates. We also recommend the Department adjust rates as appropriate.</p>	<p>ONGOING: The excess balance for the NWRDC was adjusted by correcting the related depreciation. The Department continues to work with FDMS on excess balance related to the Purchasing Trust Fund. In addition, the Department requested that NWRDC timely determine the mainframe data processing and storage service rates.</p>	
Auditor General Report No. 2013-161 (...contd)	June 30 2012	<i>Compliance and Internal Controls Over Financial Reporting and Federal Awards</i>	<p>Finding FA 12-013: The Department did not report applicable Homeland Security Grant Program subaward data in the Federal Funding Accountability and Transparency Act (FFATA) Subaward Reporting System (FSRS) pursuant to Federal regulations.</p> <p>Recommendation: The Department should implement procedures to ensure that all key data elements are timely reported in FSRS.</p>	<p>CLOSED: All required reports were submitted to the Division of Emergency Management (DEM) for filing into the online FFATA database. Additionally, the FDFS enhanced its procedures to ensure that reports are timely and properly submitted to DEM, who is responsible for inputting the reports into the FFATA system</p>	

REPORT NUMBER	PERIOD ENDING	UNIT/AREA	SUMMARY OF FINDINGS AND RECOMMENDATIONS	SUMMARY OF CORRECTIVE ACTION TAKEN	ISSUE CODE
Office of Inspector General Report No. IA 12-205	September 2012	<i>Audit of the Department's Management of the Memorandum of Understanding for the Use of the DAVID and DAVE Databases</i>	<p>Issue 1: Management of the Memorandum of Understanding (MOU) was inefficient and ineffective.</p> <p>Recommendation: The Department should centralize management of the MOU to facilitate a more systematic and coordinated approach for managing the agreement with DHSMV.</p>	<p>CLOSED: The Department centralized management of the MOU and designated the Division of Information System's Criminal Justice Information Compliance Officer as the Contract Manager for the MOU. The Division effected various changes in administration of the MOU including the development of comprehensive policies related to use of the DAVE and DAVID databases.</p>	
			<p>Issue 2: a) User Access permissions were not always timely updated; b) Quarterly Quality Control reviews were not performed by all entities; c) Policies and procedures related to the security of the personal data and information obtained from the databases needed improvement; d) Acknowledgement forms were not maintained in current status; e) All entities did not monitor database use on an on-going basis; f) Policies and procedures regarding misuse of DAVID or DAVE information were inadequate; and g) Protocols for accomplishing the required annual audit and affirmation needed to be established.</p> <p>Recommendation: The Department should establish overarching written policies and procedures related to administration of the MOU and use of the DAVE and DAVID Databases and enhance processes to ensure compliance with the terms of the MOU and that personal data obtained from the databases is properly safeguarded.</p>	<p>ONGOING: The Department implemented a comprehensive policy and procedure related to usage of the DAVE and DAVID Databases. Additionally, the Department developed and provided training for Department staff and updated existing security training. Department user entities began conducting the required Quarterly Quality Control reviews and misuse audits. The Division of Information Systems is updating its Computer Security Incident Reporting Team (CSIRT) procedures to ensure that security incidents involving the DAVE and DAVID databases are properly reported in accordance with the MOU.</p>	

REPORT NUMBER	PERIOD ENDING	UNIT/AREA	SUMMARY OF FINDINGS AND RECOMMENDATIONS	SUMMARY OF CORRECTIVE ACTION TAKEN	ISSUE CODE
Office of Inspector General Report No. IA 12-205 (...contd)	September 2012	<i>Audit of the Department's Management of the Memorandum of Understanding for the Use of the DAVID and DAVE Databases</i>	<p>Issue 3: a) One user entity had been granted access to the DHSMV DAVID database although the entity did not have statutory authority to access the database; b) The Division of Information Systems was not included in the review and approval of the MOU to ensure potential information technology security issues were appropriately addressed prior to execution of the MOU.</p> <p>Recommendation: The Department needs to improve its contracting procedures for ensuring that appropriate statutory authority exists prior to executing MOU's for the exchange of data and information with external sources. Additionally, the Department should require the Division of Information Systems to review and approve MOUs involving the exchange of data and information with external entities.</p>	ONGOING: The Department implemented a comprehensive policy and procedure related to usage of the DAVE and DAVID databases which established a process to validate legal authority for accessing the databases. The Department continues to revise processes to ensure proper review and approval of data exchange agreements.	
Office of Inspector General Report No. IA 13-203	March 31, 2013	<i>Audit of Internal Controls Over Personal Data Exchanged Under DHSMV Memorandum of Understanding and Audit Follow-up of IA 12-205</i>	<p>Finding 1: Access permissions were not always timely revoked.</p> <p>Recommendation: The Department should consider enhancing its procedures to ensure that access is timely revoked and each user entity has a designated back-up for its Digital Certificate Coordinator (DCC) or Point of Contact (POC)</p>	ONGOING: The Division of Information Systems (DIS) is in the process of reviewing and updating the DAVE and DAVID Access Control Procedures.	

REPORT NUMBER	PERIOD ENDING	UNIT/AREA	SUMMARY OF FINDINGS AND RECOMMENDATIONS	SUMMARY OF CORRECTIVE ACTION TAKEN	ISSUE CODE
			<p>Finding 2: The Quarterly Quality Control (QQC) access reviews were not always conducted quarterly. Documentation of four reviews was not adequate in that some of the reviews contained errors, none denoted the time period covered by the review, and none evidenced supervisory review and approval.</p> <p>Recommendation: DIS should consider updating the DAVE and DAVID Access Control Procedures to require documented supervisory review and approval of the QQC reviews.</p>	<p>ONGOING: The DIS is currently updating the DAVE and DAVID Access Control Procedures to require documented supervisory review and approval of the QQC reviews. The updated procedures will be provided to the DAVE and DAVID access administrators as guidance for the performance of the QQC reviews.</p>	
Office of Inspector General Report No. IA 13-203	March 31, 2013	<p><i>Audit of Internal Controls Over Personal Data Exchanged Under DHSMV Memorandum of Understanding and Audit Follow-up of IA 12-205</i></p>	<p>Finding 3: Four DAVE user entities retained personal data obtained from the DAVE database for non-law enforcement purposes, absent written authorization from the Department of Highway Safety and Motor Vehicles</p> <p>Recommendation: In instances where clarification or changes are needed to the Memorandum of Understanding (MOU), the Department should coordinate with its Division of Legal Services to seek written authorization and/or an amendment to the MOU, as necessary. Additionally, the Department should consider implementing alternative procedures to meet their documentation needs related to personal data.</p>	<p>ONGOING: The Department received written authorization from DHSMV to retain data obtained from the DAVE database. The MOU will be revised subsequent to the implementation of the new DAVID system. The Department will coordinate with the Department's Division of Legal Services for execution of the revised MOU at that time.</p>	

REPORT NUMBER	PERIOD ENDING	UNIT/AREA	SUMMARY OF FINDINGS AND RECOMMENDATIONS	SUMMARY OF CORRECTIVE ACTION TAKEN	ISSUE CODE
			<p>Finding 4: Access authorization and acknowledgement forms were not maintained for all users. Sufficient documentation was not maintained to evidence that users of the DAVID database had signed access authorization forms and user acknowledgements prior to being granted access to the database.</p> <p>Recommendation: The Department should consider enhancing its procedures to ensure that access authorization forms and user acknowledgements are properly maintained. Access and acknowledgement forms should be dated and proper records maintained to reflect all users of the databases and pertinent information such as the date access is granted/revoked etc.</p>	<p>ONGOING: The DIS is updating the DAVE and DAVID Access Control Procedures, including procedures for detailed user listings.</p>	
			<p>Finding 5: Sufficient documentation was not always maintained to evidence the proper completion of the misuse audits and appropriate action was not always taken to investigate and resolve potential misuse or questionable searches. The misuse audits did not evidence proper supervisory review and approval and most user entities did not have an adequate means to verify database search activity.</p> <p>Recommendation: The DIS should consider updating the DAVE and DAVID Access Control Procedures to require documented supervisory review and approval of the misuse audits and clarify the type of supporting documentation to be maintained. The Department should consider exploring practical solutions which may include search logs or similar means to ensure that POCs and DCCs are able to verify users' searches.</p>	<p>ONGOING: The DIS is reviewing and updating DAVE and DAVID Access Control Procedures, including the audit forms and instructions. Additionally, the Department of Highway Safety and Motor Vehicles (DHSMV) is in the process of implementing enhancements to the DAVE and DAVID databases which should address certain problems related to the performance of the misuse audits. The enhancements are expected to be operational in Fall 2013. The Department continues to be in contact with DHSMV and is reviewing options for correlating usage activity to authorized business functions.</p>	

REPORT NUMBER	PERIOD ENDING	UNIT/AREA	SUMMARY OF FINDINGS AND RECOMMENDATIONS	SUMMARY OF CORRECTIVE ACTION TAKEN	ISSUE CODE
			<p>Finding 6: Security incident procedures were not sufficient to meet the unique reporting needs of the MOU and access permissions were not updated for users involved in misuse incidents. Misuse incidents were not timely and properly reported to the Division of Information Services, the Office of Inspector General or the Department of Highway Safety and Motor Vehicles (DHSMV).</p> <p>Recommendation: The Department should continue its efforts to enhance its Computer Security Incident Reporting Team (CSIRT) procedures to ensure that procedures meet the unique requirements of the MOU and other externally owned systems. Clarification is needed to the DAVID and DAVE Access Control Procedures to designate who is responsible, in misuse incidents, for notifying the DCC/POC to revoke access and also when revocation should occur during the misuse incident. Additionally, clarification should be sought from DHSMV regarding the updating of access permissions related to misuse incidents</p>	<p>ONGOING: The DIS is currently in the process of reviewing and updating CSIRT procedures and the DAVE and DAVID Access Control Procedures. The updated CSIRT procedures will be implemented after they have been reviewed and approved by the CSIRT team. Additionally, DIS is consulting with relevant parties to determine appropriate timing for updating access permissions related to misuse incidents</p>	
			<p>Finding 7: Department contracting policies and procedures are not sufficient to ensure a proper evaluation of legal authority for data exchange agreements.</p> <p>Recommendation: DIS should amend the DAVID and DAVE procedures to define processes for new user entities to acquire database access. Additionally, General Services should amend the Contract Management and Life Cycle and Procurement Guide to identify those individuals who are responsible for determining statutory authority for these types of agreements.</p>	<p>ONGOING: DIS is currently in the process of reviewing and updating DAVE and DAVID Access Control Procedures. Additionally, General Services added clarifying language to the Contract Management Life Cycle and Procurement Guide to identify those individuals who are responsible for determining and validating statutory authority.</p>	
Office of Inspector General Report No. IA 13-203 (...contd)			<p>Finding 8: A security issue involving the DAVID database needs remediation.</p> <p>Recommendation: The Department should continue its efforts to remediate the security issue.</p>	<p>ONGOING: The Department is continuing its efforts to remediate the security issue. The planned solution is approaching the testing phase and is scheduled to be fully implemented by September 30, 2013.</p>	

REPORT NUMBER	PERIOD ENDING	UNIT/AREA	SUMMARY OF FINDINGS AND RECOMMENDATIONS	SUMMARY OF CORRECTIVE ACTION TAKEN	ISSUE CODE
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SCHEDULE IX: MAJOR AUDIT FINDINGS AND RECOMMENDATIONS

Budget Period: 2014-2015

Department: Office of Insurance Regulation

Chief Internal Auditor: Bonnie Deering

Budget Entity: 43900120 Execution Direction

Phone Number: 850-413-4975

(1) REPORT NUMBER	(2) PERIOD ENDING	(3) UNIT/AREA	(4) SUMMARY OF FINDINGS AND RECOMMENDATIONS	(5) SUMMARY OF CORRECTIVE ACTION TAKEN	(6) ISSUE CODE
(None to report)					

SCHEDULE IX: MAJOR AUDIT FINDINGS AND RECOMMENDATIONS

Budget Period: 2012 -2013

Department: Office of Financial Regulation

Chief Internal Auditor: Karen Fisher, Inspector General

 Direction; 43900570-
 Division of Securities;
 43900560- Division of
 Consumer Finance;
 43900530- Division of
 Financial Institutions
 and 43900540- Bureau

Budget Entity: of Financial

Phone Number: (850)410-9712

(1)	(2)	(3)	(4)	(5)	(6)
REPORT NUMBER	PERIOD ENDING	UNIT/AREA	SUMMARY OF FINDINGS AND RECOMMENDATIONS	SUMMARY OF CORRECTIVE ACTION TAKEN	ISSUE CODE
Auditor General Report No. 2011-083	30-Jun-11	Division of Securities	<p>State-chartered financial institutions.</p> <p>Finding No. 3: OFR did not always timely submit to the Central Registration Depository (CRD) regulatory filings disclosing disciplinary actions taken (U6 forms), thereby limiting the information available to others as they pursue their duties relative to the regulation of the securities industry.</p> <p>Recommendation: We recommend that OFR file U6 forms with FINRA to ensure that disciplinary actions against individuals are available to other regulators and, as applicable, to the public through BrokerCheck. Additionally, we recommend that OFR perform follow-up procedures to determine whether individuals have filed U4 form amendments with FINRA for disciplinary actions taken by OFR.</p>	<p>Resolved. No finding in Auditor General Report 2013-031, under Prior Year Follow-Up</p>	
Auditor General Report No. 2011-083	30-Jun-11	REAL System, Executive Direction	<p>Finding No. 8: OFR and the Department of Financial Services (DFS) did not have a signed service level agreement for the REAL System services provided by DFS.</p> <p>Recommendation: OFR should pursue the finalization of an agreement that includes appropriate and specific provisions defining each party's roles and responsibilities with respect to the REAL System.</p>	<p>Repeat finding in Auditor General Report 2013-031, however in November 2012 OFR entered into a Service Level Agreement for the REAL System with DFS.</p>	

OFR OIG
Management
Review
Report No.
M1112OFR-012

30-Jun-12 Bureau of Financial
Investigations

Finding No. 1- Six of the ten FCIC/NCIC users surveyed were not aware of the Bureau of Financial Investigations' National Crime Information Center/Florida Crime Information Center (NCIC/FCIC) Criminal History Data and Computer Use Procedures. Based on the sample items tested there was one search that was a misuse of the FCIC/NCIC system which was reported to FDI E

Recommendation: We recommend that management ensure that all users of the FCIC/NCIC system are familiar with the Bureau of Financial Investigations' National Crime information Center/Florida Crime Information Center (NCIC/FCIC) Criminal History Data and Computer Use Procedures and that the use of the FCIC/NCIC is for criminal justice purposes only. Management should consider requiring each investigator to sign for the receipt and acknowledgement of the Bureau of Financial Investigations' NCIC/FCIC Criminal History Data and Computer Use Procedures. The acknowledgement should also include a statement that the FCIC/NCIC system be used in support of criminal justice purposes only and should provide

Resolved. The Bureau has developed procedures "Operational Memorandum-Confidentiality of Information", dated October 2, 2012 which each Bureau employee must acknowledge that they have received and read. The acknowledgments are maintained in the Bureau. The procedures address the authorized uses of the FCIC/NCIC and the penalties for misuse.

OFR OIG
Management
Review
Report No.
M1112OFR-012

30-Jun-12 Bureau of Financial
Investigations

Finding No. 2- Eleven of the 26 sample items reviewed in the FCIC/NCIC system could not initially be associated with an investigation. The Office of the Inspector General provided the list of eleven names to Bureau personnel to research. Subsequently the names were associated with an investigation. Thirteen of the 39 sample items reviewed in D.A.V.I.D. could not be associated by the Bureau to an investigative case.

Resolved. The Operational Memorandum-Confidentiality of Information procedures requires that any BFI staff member having access to the FCIC/NCIC or D.A.V.I.D. System must notify their manager and the BFI Point of Contact in Tallahassee via email, prior to conducting a search. The email must contain the case number, the name of the person being searched and the rationale for the search. Documentation of the notification is maintained by the Tallahassee BFI Point of Contact.



CHIEF FINANCIAL OFFICER
JEFF ATWATER
STATE OF FLORIDA

LEGISLATIVE BUDGET REQUEST

October 15, 2013

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

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

Mike Hansen, Staff Director
Committee on Budget, 201 Capitol
Tallahassee, Florida 32399-1300

Dear Directors:

Pursuant to Chapter 216, Florida Statutes, our Legislative Budget Request for the Department of Financial Services 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 2014-15 Fiscal Year.

I approve this submission. Please let me know if you need additional information.

Sincerely,



Jeff Atwater
Chief Financial Officer

Enclosures

JA:tjm



OFFICE OF INSURANCE REGULATION

KEVIN M. MCCARTY
COMMISSIONER

FINANCIAL SERVICES
COMMISSION

RICK SCOTT
GOVERNOR

JEFF ATWATER
CHIEF FINANCIAL OFFICER

PAM BONDI
ATTORNEY GENERAL

ADAM PUTNAM
COMMISSIONER OF
AGRICULTURE

October 15, 2013

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

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

Mike Hansen, Staff Director
Senate Budget Committee
201 Capitol
Tallahassee, FL 32399-1300

Dear Directors:

Pursuant to Chapter 216, Florida Statutes, our Legislative Budget Request for the Office of Insurance Regulation is submitted in the format prescribed in the budget instructions. The information provided electronically and contained herein is a true and accurate presentation of our proposed needs for the 2014-15 Fiscal Year. This submission has been approved by Kevin McCarty, Insurance Commissioner of the State of Florida.

Sincerely,

Audrey S. Brown
Chief of Staff

• • •
AUDREY SUMRALL BROWN • CHIEF OF STAFF
200 EAST GAINES STREET • TALLAHASSEE, FLORIDA 32399-0326 • (850) 413-5100 • FAX (850) 413-2348
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FLORIDA OFFICE OF FINANCIAL REGULATION

www.FLOFR.com

DREW J. BREAKSPEAR
COMMISSIONER

LEGISLATIVE BUDGET REQUEST

October 14, 2013

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

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

Mike Hansen, Staff Director
Senate Appropriations Committee
201 Capitol
Tallahassee, Florida 32399-1300

Dear Directors:

Pursuant to Chapter 216, Florida Statutes, our Legislative Budget Request for the Office of Financial Regulation is submitted in the format prescribed in the budget instructions. The information provided electronically and contained herein is a true and accurate presentation of our proposed needs for the 2014-15 Fiscal Year. This submission has been approved by Drew J. Breakspear, Commissioner of the Office of Financial Regulation.

Sincerely,

J. Ross Nobles
Chief Financial Officer
Office of Financial Regulation

Department Level Exhibits and Schedules

Schedule IV-B - Information Technology Projects

(Only the Office Financial Regulation has a submission for this
schedule for FY 2014-15 Legislative Budget Request)

DIVISION OF CONSUMER FINANCE – CHECK CASHING TRANSACTION DATABASE

For Fiscal Year 2014-15



October 15, 2013

OFFICE OF FINANCIAL REGULATION

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I. Schedule IV-B Cover Sheet

Schedule IV-B Cover Sheet and Agency Project Approval	
Agency: Office of Financial Regulation	Schedule IV-B Submission Date: October 15, 2013
Project Name: Division of Consumer Finance’s Check Cashing Transaction Database	Is this project included in the Agency’s LRPP? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
FY 2014-15 LBR Issue Code: 36331C0	FY 2014-15 LBR Issue Title: Additional Resources and Funding for the Establishment of the Check Cashing Transaction Database in Compliance with House Bill 217 (2013)
Agency Contact for Schedule IV-B (Name, Phone #, and E-mail address): Gregory C. Oaks, 850-410-9851, Greg.Oaks@flofr.com	
AGENCY APPROVAL SIGNATURES	
I am submitting the attached Schedule IV-B in support of our legislative budget request. I have reviewed the estimated costs and benefits documented in the Schedule IV-B and believe the proposed solution can be delivered within the estimated time for the estimated costs to achieve the described benefits. I agree with the information in the attached Schedule IV-B.	
Agency Head: Printed Name: Drew J. Breakspear, Commissioner, OFR	Date:
Agency Chief Information Officer (or equivalent): Printed Name: Charles Ghini, Chief Information Officer, DFS	Date:
Budget Officer: Printed Name: J. Ross Nobles, Chief Financial Officer, OFR	Date:
Planning Officer: Printed Name: J. Ross Nobles, Chief Financial Officer, OFR	Date:
Project Sponsor: Printed Name: Gregory C. Oaks, Director, Division of Consumer Finance	Date:
Schedule IV-B Preparers (Name, Phone #, and E-mail address):	
Business Need:	
Cost Benefit Analysis:	
Risk Analysis:	
Technology Planning:	

Project Planning:

General Guidelines

The Schedule IV-B contains more detailed information on information technology (IT) projects than is included in the D-3A issue narrative submitted with an agency’s Legislative Budget Request (LBR). The Schedule IV-B compiles the analyses and data developed by the agency during the initiation and planning phases of the proposed IT project. A Schedule IV-B must be completed for all IT projects when the total cost (all years) of the project is \$1 million or more.

Schedule IV-B is not required for requests to:

- Continue existing hardware and software maintenance agreements,
- Renew existing software licensing agreements, or
- Replace desktop units (“refresh”) with new technology that is similar to the technology currently in use.

Documentation Requirements

The type and complexity of an IT project determines the level of detail an agency should submit for the following documentation requirements:

- Background and Strategic Needs Assessment
- Baseline Analysis
- Proposed Business Process Requirements
- Functional and Technical Requirements
- Success Criteria
- Benefits Realization
- Cost Benefit Analysis
- Major Project Risk Assessment
- Risk Assessment Summary
- Current Information Technology Environment
- Current Hardware/Software Inventory
- Proposed Solution Description
- Project Management Planning

Compliance with s. 216.023(4)(a)10, F.S. is also required if the total cost for all years of the project is \$10 million or more.

A description of each IV-B component is provided within this general template for the benefit of the Schedule IV-B authors. These descriptions and this guidelines section should be removed prior to the submission of the document.

Sections of the Schedule IV-B may be authored in software applications other than MS Word, such as MS Project and Visio. Submission of these documents in their native file formats is encouraged for proper analysis.

The revised Schedule IV-B includes two required templates, the Cost Benefit Analysis and Major Project Risk Assessment workbooks. For all other components of the Schedule IV-B, agencies should submit their own planning documents and tools to demonstrate their level of readiness to implement the proposed IT project. It is also necessary to assemble all Schedule IV-B components into one PDF file for submission to the Florida Fiscal Portal and to ensure that all personnel can open component files and that no component of the Schedule has been omitted.

Submit all component files of the agency’s Schedule IV-B in their native file formats to the Office of Policy and Budget and the Legislature at IT@LASPBS.STATE.FL.US. Reference the D-3A issue code and title in the subject line.

II. Schedule IV-B Business Case – Strategic Needs Assessment

A. Background and Strategic Needs Assessment

Purpose: To clearly articulate the business-related need(s) for the proposed project.

1. Business Need

To put into place a check cashing transaction database in compliance with House Bill 217 (2013 Legislature). This Schedule IV-B is a placeholder and will be updated with an amended Legislative Budget Request.

2. Business Objectives

NOTE: For IT projects with total cost in excess of \$10 million, the business objectives described in this section must be consistent with existing or proposed substantive policy required in s. 216.023(4)(a)10, F.S.

B. 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.

1. Current Business Process(es)

NOTE: If an agency has completed a workflow analysis, include through file insertion or attachment the analyses documentation developed and completed by the agency.

2. Assumptions and Constraints

C. Proposed Business Process Requirements

Purpose: To establish a basis for understanding what business process requirements the proposed solution must meet in order to select an appropriate solution for the project.

1. Proposed Business Process Requirements

2. Business Solution Alternatives

3. Rationale for Selection

4. Recommended Business Solution

NOTE: For IT projects with total cost in excess of \$10 million, the project scope described in this section must be consistent with existing or proposed substantive policy required in s. 216.023(4)(a)10, F.S.

D. Functional and Technical Requirements

Purpose: To identify the functional and technical system requirements that must be met by the project.

Include through file insertion or attachment the functional and technical requirements analyses documentation developed and completed by the agency.

III. Success Criteria

Purpose: To identify the critical results, both outputs and outcomes, that must be realized for the project to be considered a success.

SUCCESS CRITERIA TABLE				
#	Description of Criteria	How will the Criteria be measured/assessed?	Who benefits?	Realization Date (MM/YY)
1				
2				

IV. Schedule IV-B Benefits Realization and Cost Benefit Analysis

A. Benefits Realization Table

Purpose: To calculate and declare the tangible benefits compared to the total investment of resources needed to support the proposed IT project.

For each tangible benefit, identify the recipient of the benefit, how and when it is realized, how the realization will be measured, and how the benefit will be measured to include estimates of tangible benefit amounts.

BENEFITS REALIZATION TABLE					
#	Description of Benefit	Who receives the benefit?	How is benefit realized?	How is the realization of the benefit measured?	Realization Date (MM/YY)
1					
2					

B. Cost Benefit Analysis (CBA)

Purpose: To provide a comprehensive financial prospectus specifying the project’s tangible benefits, funding requirements, and proposed source(s) of funding.

1. The Cost-Benefit Analysis Forms

The chart below summarizes the required CBA Forms which are included as Appendix A on the Florida Fiscal Portal and must be completed and submitted with the Schedule IV-B.

Cost Benefit Analysis	
Form	Description of Data Captured
CBA Form 1 - Net Tangible Benefits	Agency Program Cost Elements: Existing program operational costs versus the expected program operational costs resulting from this project. The agency needs to identify the expected changes in operational costs for the program(s) that will be impacted by the proposed project.

Cost Benefit Analysis	
Form	Description of Data Captured
	Tangible Benefits: Estimates for tangible benefits resulting from implementation of the proposed IT project, which correspond to the benefits identified in the Benefits Realization Table. These estimates appear in the year the benefits will be realized.
CBA Form 2 - Project Cost Analysis	Baseline Project Budget: Estimated project costs. Project Funding Sources: Identifies the planned sources of project funds, e.g., General Revenue, Trust Fund, Grants. Characterization of Project Cost Estimate.
CBA Form 3 - Project Investment Summary	Investment Summary Calculations: Summarizes total project costs and net tangible benefits and automatically calculates: <ul style="list-style-type: none"> • Return on Investment • Payback Period • Breakeven Fiscal Year • Net Present Value • Internal Rate of Return

V. Schedule IV-B Major Project Risk Assessment

Purpose: To provide an initial high-level assessment of overall risk incurred by the project to enable appropriate risk mitigation and oversight and to improve the likelihood of project success. The risk assessment summary identifies the overall level of risk associated with the project and provides an assessment of the project’s alignment with business objectives.

NOTE: All multi-year projects must update the Risk Assessment Component of the Schedule IV-B along with any other components that have been changed from the original Feasibility Study.

The Risk Assessment Tool and Risk Assessment Summary are included in Appendix B on the Florida Fiscal Portal and must be completed and submitted with the agency’s Schedule IV-B.

A. Risk Assessment Summary

Appendix B on the Florida Fiscal Portal includes the Risk Assessment Summary. After answering the questions on the Risk Assessment Tool, the Risk Assessment Summary is automatically populated.

VI. Schedule IV-B Technology Planning

Purpose: To ensure there is close alignment with the business and functional requirements and the selected technology.

A. Current Information Technology Environment

1. Current System
 - a. *Description of current system*
 - b. *Current system resource requirements*
 - c. *Current system performance*
2. Information Technology Standards

B. Current Hardware and/or Software Inventory

NOTE: Current customers of a primary data center would obtain this information from the primary data center.

C. Proposed Solution Description

1. Summary description of proposed system
2. Resource and summary level funding requirements for proposed solution (if known)

D. Capacity Planning

(historical and current trends versus projected requirements)

VII. Schedule IV-B Project Management Planning

Purpose: To require the agency to provide evidence of its thorough project planning and provide the tools the agency will use to carry out and manage the proposed project. The level of detail must be appropriate for the project's scope and complexity.

Include through file insertion or attachment the agency's project management plan and any associated planning tools/documents.

NOTE: For IT projects with total cost in excess of \$10 million, the project scope, business objectives, and timelines described in this section must be consistent with existing or proposed substantive policy required in s. 216.023(4)(a)10, F.S.

VIII. 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 agency within the Schedule IV-B.

Schedule VI – Detail of Debt Service

(The Department of Financial Services has no submission for this schedule for the Fiscal Year 2014-15 Legislative Budget Request)

Schedule VII - Agency Litigation Inventory

(The Office of Insurance Regulation and The Office of Financial Regulation has no submissions for this schedule for the FY 2014-15 Legislative Budget Request)

Schedule VII - Agency Litigation Inventory

(The Office of Insurance Regulation and The Office of Financial Regulation has no submissions for this schedule for the FY 2014-15 Legislative Budget Request)

Schedule VII: Agency Litigation Inventory

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

Agency:	Department of Financial Services		
Contact Person:	Richard Donelan, Esq.	Phone Number:	850-413-4221
Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	Galaxy Fireworks, Inc., et al. v. State of Florida, et al. (Florida Supreme Court); Hon. Rick Scott, Governor & State of Florida vs. Galaxy Fireworks, Inc. & Itzhak Dickstein (2 nd DCA); Galaxy Fireworks, Inc., et al. v. The Hon. Rick Scott, Governor, and the State of Florida (Hillsborough County Circuit Court)		
Court with Jurisdiction:	Florida Supreme Court; 2 nd District Court of Appeal; Hillsborough County Circuit Court reserved jurisdiction on matter of attorneys' fees and costs.		
Case Number:	Supreme Court Case No. SC13-928; 2 nd DCA Case No. 2D11-1583; Hillsborough County Circuit Court Case No. 98-CA-009608		
Summary of the Complaint:	An inverse condemnation action alleging that issuance of Executive Order 98-165 by then Governor Chiles deprived the Plaintiffs of the opportunity to sell fireworks for the July 1998 fireworks sales season, and the prohibition constituted a compensable taking. Once appealed to the 2 nd DCA, the issues were whether a taking occurred as a result of the State's exercise of its police power in light of the emergency situation facing Florida (expansive and uncontrollable wildfires) in 1998, and whether lost profits are available as damages for taking claims.		
Amount of the Claim:	\$1 million + interest accumulated since 1998 = \$2,108,494.40. Also subject to post-judgment interest at statutory rate; attorneys' fees and costs may exceed \$300,000.		
Specific Statutes or Laws (including GAA) Challenged:	Executive Order 98-165		
Status of the Case:	Settled for \$1 million on the amount of damages only, with interest accumulating since 1998. Final Judgment entered 2/23/11 was appealed by the State to the 2 nd DCA. On 12/5/12, the 2 nd DCA ruled in the State's favor, saying the retailers were not denied the value of property, but only the profits that might have been earned during the two-week restricted period, which profits were realized by subsequent sale of assets; that the Executive Order was a valid exercise of the State's police power given dangerous conditions present in the state at the time; and that limitation did not interfere with the retailers' investment-backed expectations. A Motion for Rehearing En Banc by Galaxy Fireworks was denied on 4/2/13. Galaxy then appealed to the Supreme Court and jurisdictional briefs were submitted by both parties in May 2013.		
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 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).	
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Office of Policy and Budget – July 2013

Schedule VII: Agency Litigation Inventory

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

Agency:	Department of Financial Services		
Contact Person:	Michael Davidson, Esq.	Phone Number:	850-413-4178
Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	Frederick W. Kortum, Jr. v. Alex Sink (Jeff Atwater, successor in interest), in her/his capacity as Chief Financial Officer and head of the Department of Financial Services for the State of Florida		
Court with Jurisdiction:	Second Judicial Circuit Court; 1 st District Court of Appeal; Supreme Court of Florida		
Case Number:	2009 CA 3926; 1D10-2459; SC11-133		
Summary of the Complaint:	This action challenged the constitutionality of s. 626.854(6), F.S., limiting the ability of public insurance adjusters to engage in truthful commercial speech.		
Amount of the Claim:	\$ N/A		
Specific Statutes or Laws (including GAA) Challenged:	Section 626.854(6), Florida Statutes		
Status of the Case:	On 7/5/12, the Supreme Court of Florida affirmed the 1 st DCA's decision that the statute, which the courts found to prohibit all public adjuster-initiated contact with a homeowner or claimant within 48 hours after a claims producing event, unconstitutionally infringed upon commercial free speech, and therefore cannot be enforced. The Department had been charged with the statute's enforcement. The statute is no longer in force or effect. Litigation of this case has ended and the Department has no contingent liabilities as a result of the litigation.		
Who is representing (of record) the state in this lawsuit? Check all that apply.	<input checked="" type="checkbox"/>	Agency Counsel	
	<input type="checkbox"/>	Office of the Attorney General or Division of Risk Management	
	<input type="checkbox"/>	Outside Contract Counsel	
If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).			

Schedule VII: Agency Litigation Inventory

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

Agency:	Office of Insurance Regulation		
Contact Person:	Richard Fox	850-413-5025	
Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	N/A		
Court with Jurisdiction:	N/A		
Case Number:	N/A		
Summary of the Complaint:	N/A		
Amount of the Claim:	\$0		
Specific Statutes or Laws (including GAA) Challenged:	N/A		
Status of the Case:	N/A		
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 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).	N/A		

Schedule VII: Agency Litigation Inventory

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

Agency:	Office of Financial Regulation		
Contact Person:	Ross Nobles	850-410-9771	
Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	N/A		
Court with Jurisdiction:	N/A		
Case Number:	N/A		
Summary of the Complaint:	N/A		
Amount of the Claim:	\$0		
Specific Statutes or Laws (including GAA) Challenged:	N/A		
Status of the Case:	N/A		
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 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).	N/A		

Schedule VII: Agency Litigation Inventory

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

Agency:	Department of Financial Services		
Contact Person:	Richard Donelan, Esq.	Phone Number:	850-413-4221
Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	Galaxy Fireworks, Inc., et al. v. State of Florida, et al. (Florida Supreme Court); Hon. Rick Scott, Governor & State of Florida vs. Galaxy Fireworks, Inc. & Itzhak Dickstein (2 nd DCA); Galaxy Fireworks, Inc., et al. v. The Hon. Rick Scott, Governor, and the State of Florida (Hillsborough County Circuit Court)		
Court with Jurisdiction:	Florida Supreme Court; 2 nd District Court of Appeal; Hillsborough County Circuit Court reserved jurisdiction on matter of attorneys' fees and costs.		
Case Number:	Supreme Court Case No. SC13-928; 2 nd DCA Case No. 2D11-1583; Hillsborough County Circuit Court Case No. 98-CA-009608		
Summary of the Complaint:	An inverse condemnation action alleging that issuance of Executive Order 98-165 by then Governor Chiles deprived the Plaintiffs of the opportunity to sell fireworks for the July 1998 fireworks sales season, and the prohibition constituted a compensable taking. Once appealed to the 2 nd DCA, the issues were whether a taking occurred as a result of the State's exercise of its police power in light of the emergency situation facing Florida (expansive and uncontrollable wildfires) in 1998, and whether lost profits are available as damages for taking claims.		
Amount of the Claim:	\$1 million + interest accumulated since 1998 = \$2,108,494.40. Also subject to post-judgment interest at statutory rate; attorneys' fees and costs may exceed \$300,000.		
Specific Statutes or Laws (including GAA) Challenged:	Executive Order 98-165		
Status of the Case:	Settled for \$1 million on the amount of damages only, with interest accumulating since 1998. Final Judgment entered 2/23/11 was appealed by the State to the 2 nd DCA. On 12/5/12, the 2 nd DCA ruled in the State's favor, saying the retailers were not denied the value of property, but only the profits that might have been earned during the two-week restricted period, which profits were realized by subsequent sale of assets; that the Executive Order was a valid exercise of the State's police power given dangerous conditions present in the state at the time; and that limitation did not interfere with the retailers' investment-backed expectations. A Motion for Rehearing En Banc by Galaxy Fireworks was denied on 4/2/13. Galaxy then appealed to the Supreme Court and jurisdictional briefs were submitted by both parties in May 2013.		
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 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).	
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Office of Policy and Budget – July 2013

Schedule VII: Agency Litigation Inventory

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

Agency:	Department of Financial Services		
Contact Person:	Michael Davidson, Esq.	Phone Number:	850-413-4178
Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	Frederick W. Kortum, Jr. v. Alex Sink (Jeff Atwater, successor in interest), in her/his capacity as Chief Financial Officer and head of the Department of Financial Services for the State of Florida		
Court with Jurisdiction:	Second Judicial Circuit Court; 1 st District Court of Appeal; Supreme Court of Florida		
Case Number:	2009 CA 3926; 1D10-2459; SC11-133		
Summary of the Complaint:	This action challenged the constitutionality of s. 626.854(6), F.S., limiting the ability of public insurance adjusters to engage in truthful commercial speech.		
Amount of the Claim:	\$ N/A		
Specific Statutes or Laws (including GAA) Challenged:	Section 626.854(6), Florida Statutes		
Status of the Case:	On 7/5/12, the Supreme Court of Florida affirmed the 1 st DCA's decision that the statute, which the courts found to prohibit all public adjuster-initiated contact with a homeowner or claimant within 48 hours after a claims producing event, unconstitutionally infringed upon commercial free speech, and therefore cannot be enforced. The Department had been charged with the statute's enforcement. The statute is no longer in force or effect. Litigation of this case has ended and the Department has no contingent liabilities as a result of the litigation.		
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	<input 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).			

Schedule VII: Agency Litigation Inventory

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

Agency:	Office of Insurance Regulation		
Contact Person:	Richard Fox	850-413-5025	
Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	N/A		
Court with Jurisdiction:	N/A		
Case Number:	N/A		
Summary of the Complaint:	N/A		
Amount of the Claim:	\$0		
Specific Statutes or Laws (including GAA) Challenged:	N/A		
Status of the Case:	N/A		
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 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).	N/A		

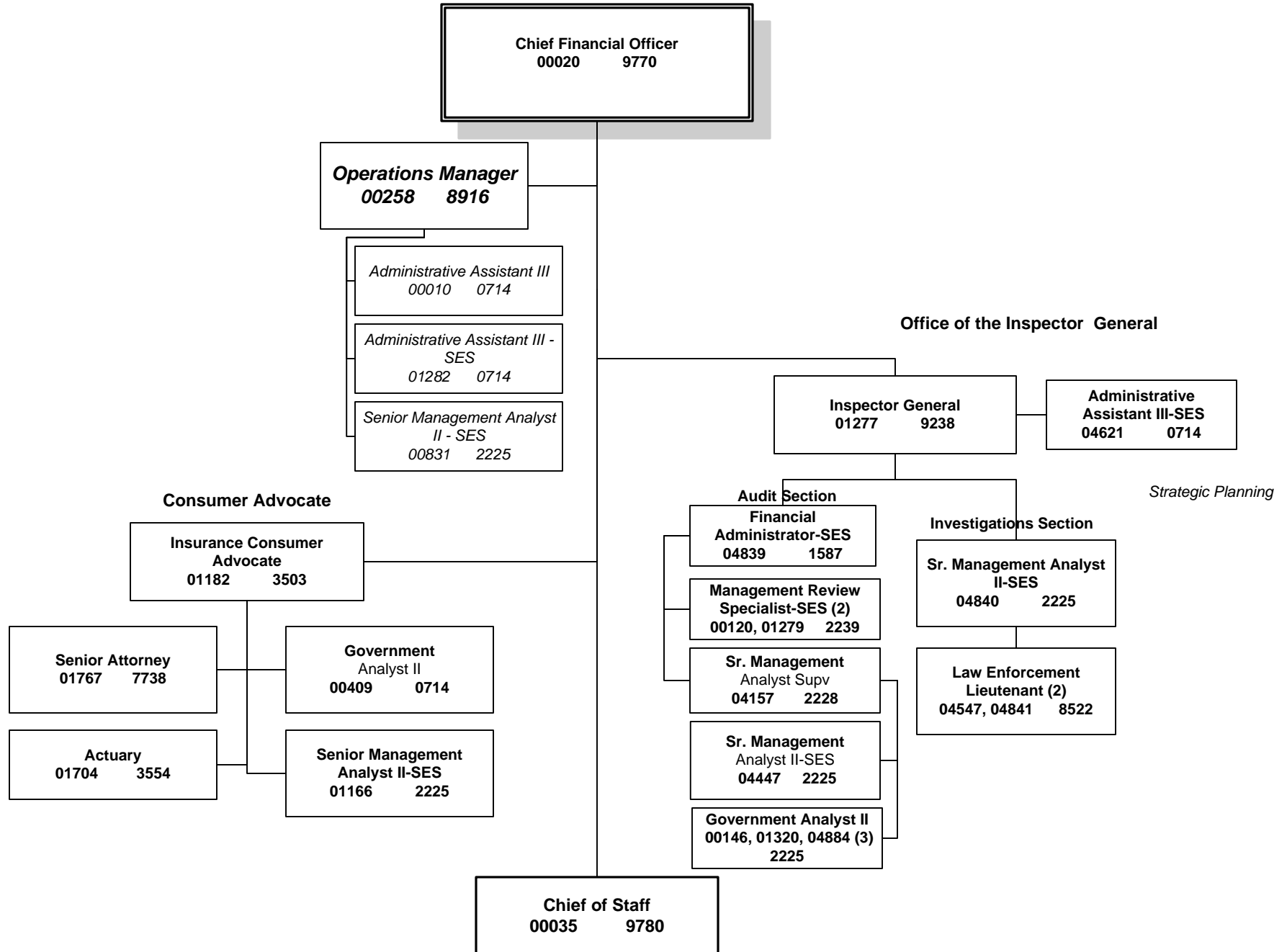
Schedule VII: Agency Litigation Inventory

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

Agency:	Office of Financial Regulation		
Contact Person:	Ross Nobles	850-410-9771	
Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	N/A		
Court with Jurisdiction:	N/A		
Case Number:	N/A		
Summary of the Complaint:	N/A		
Amount of the Claim:	\$0		
Specific Statutes or Laws (including GAA) Challenged:	N/A		
Status of the Case:	N/A		
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 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).	N/A		

Schedule X – Organizational Structure

Department of Financial Services Chief Financial Officer

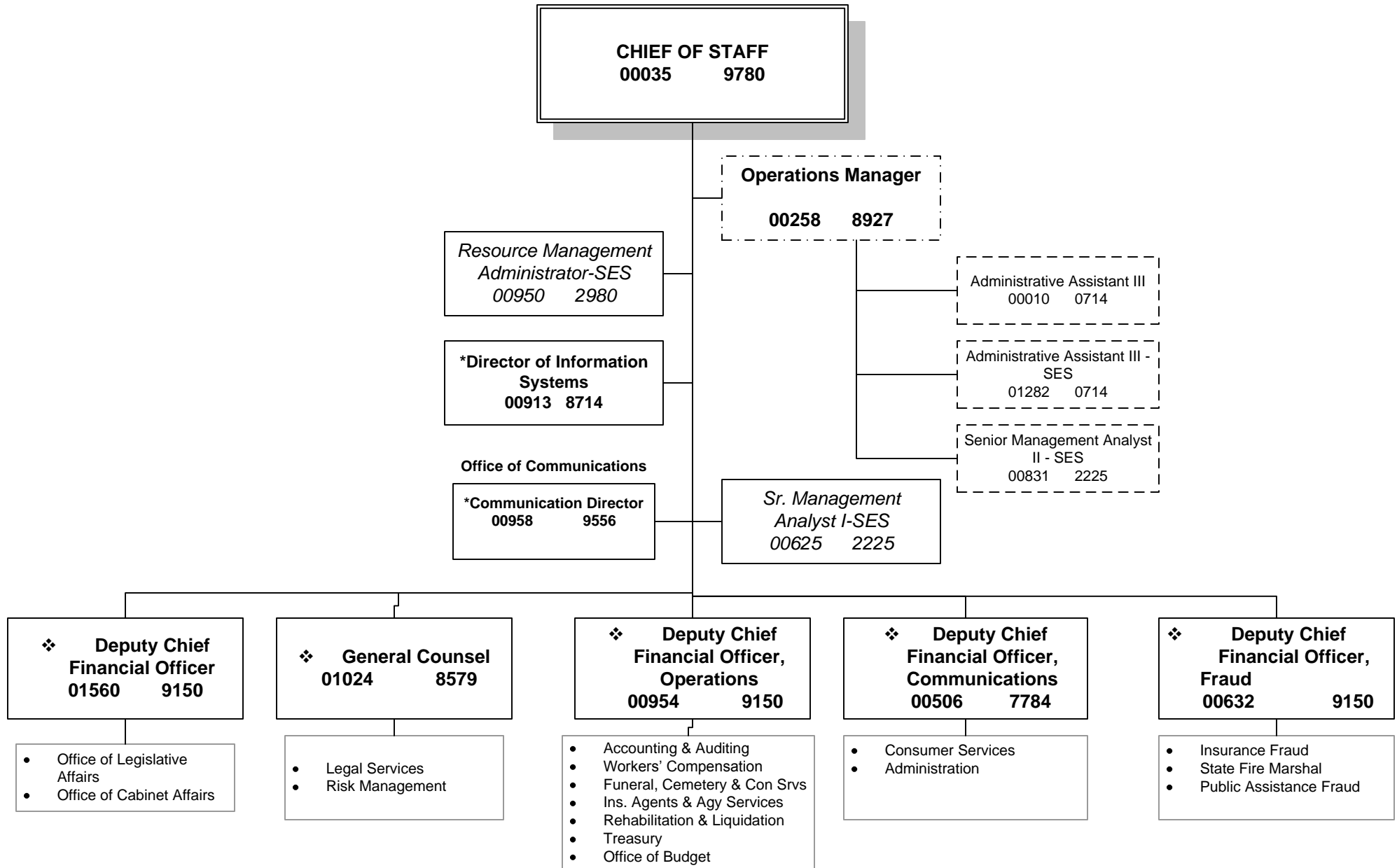


CFO Total FTE: 4
 Consumer Advocate FTE: 4
 Inspector General FTE: 12

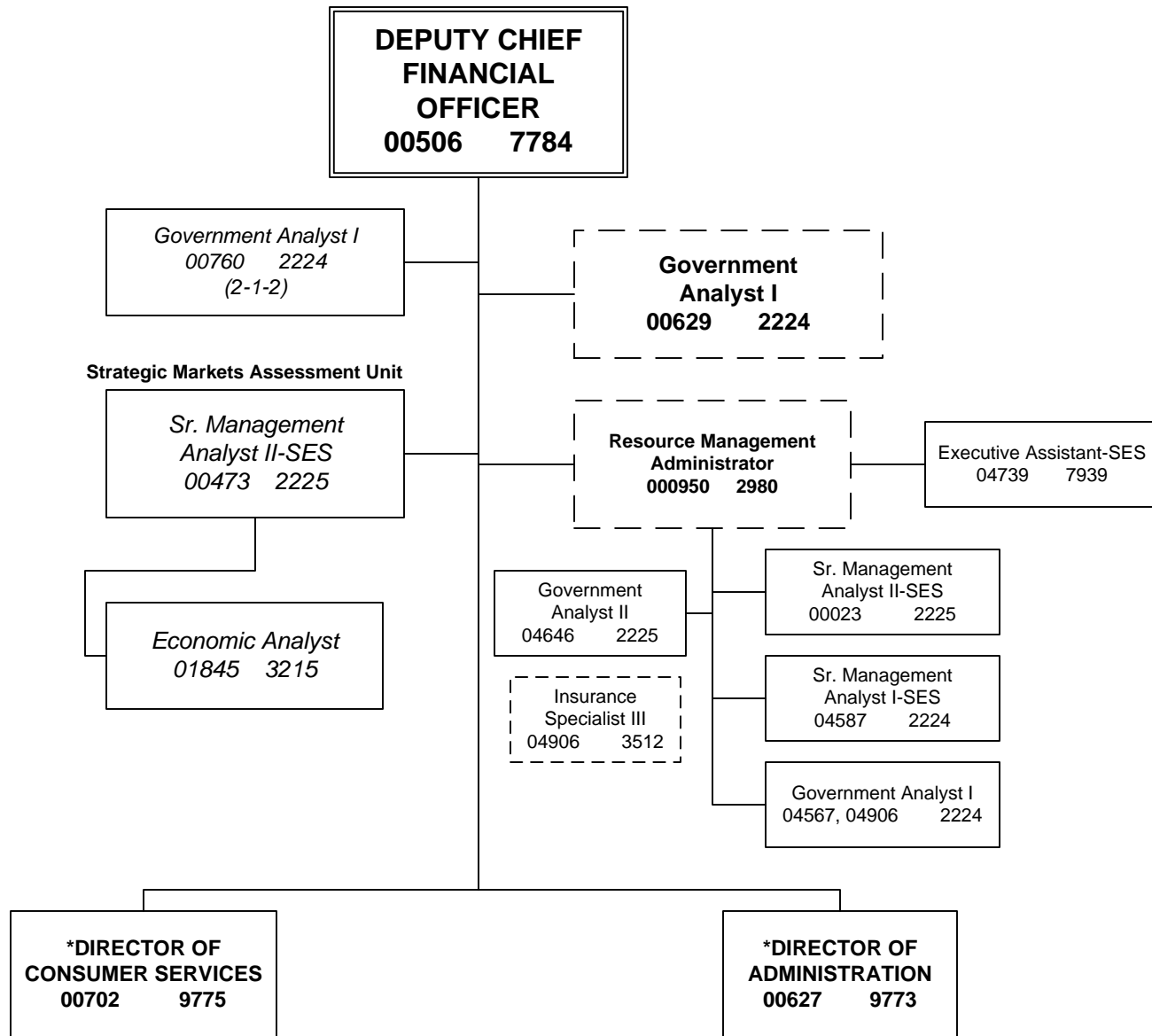
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 Italic = Organizationally Assigned. Reports elsewhere administratively. FTE counted.

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 Rev 07/01/2013 1-0-0

**Department of Financial Services
Chief Financial Officer
Office of the Chief of Staff**

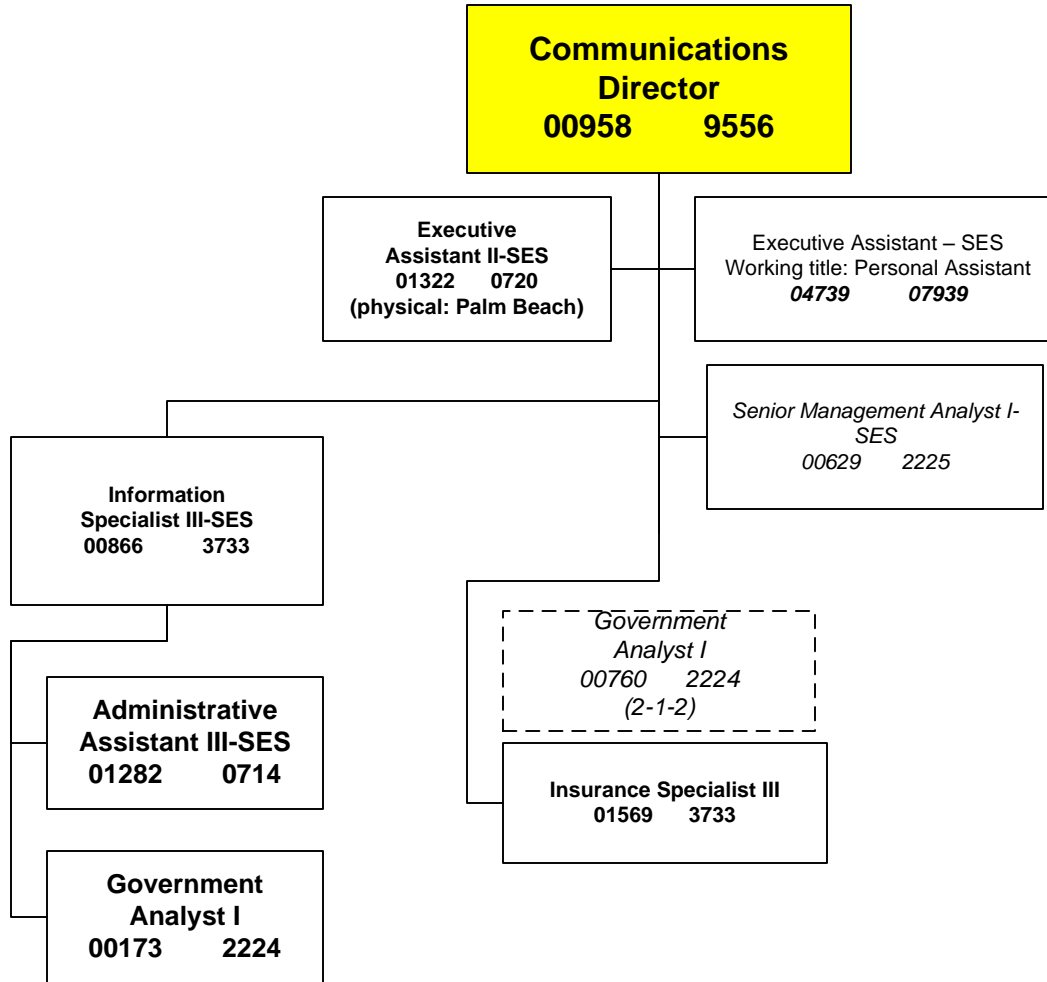


**Department of Financial Services
Office of the Chief of Staff
Office of the Deputy Chief Financial Officer**

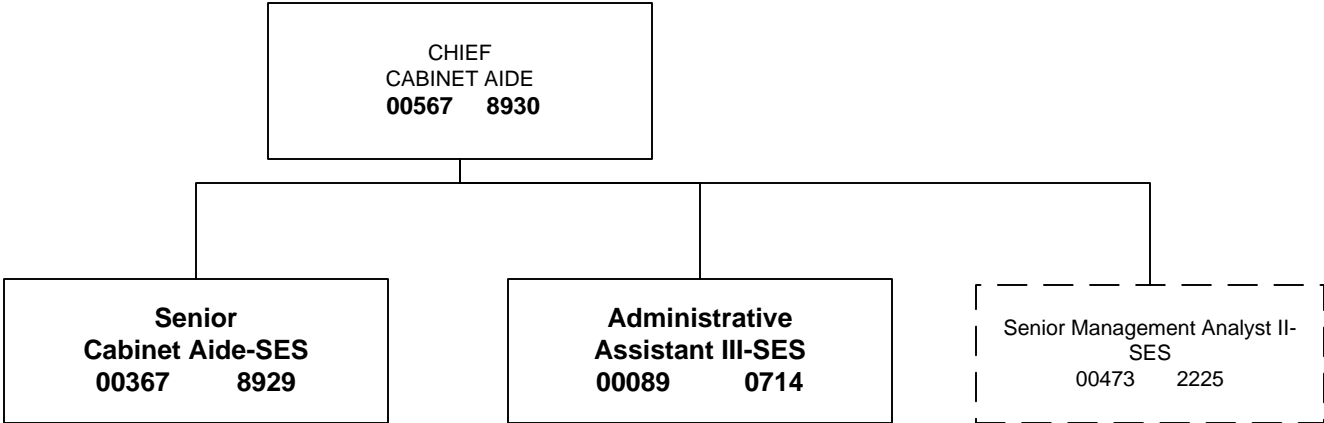


Department of Financial Services
 Office of the Chief of Staff
 Office of the Deputy Chief of Staff
 Office of Communications

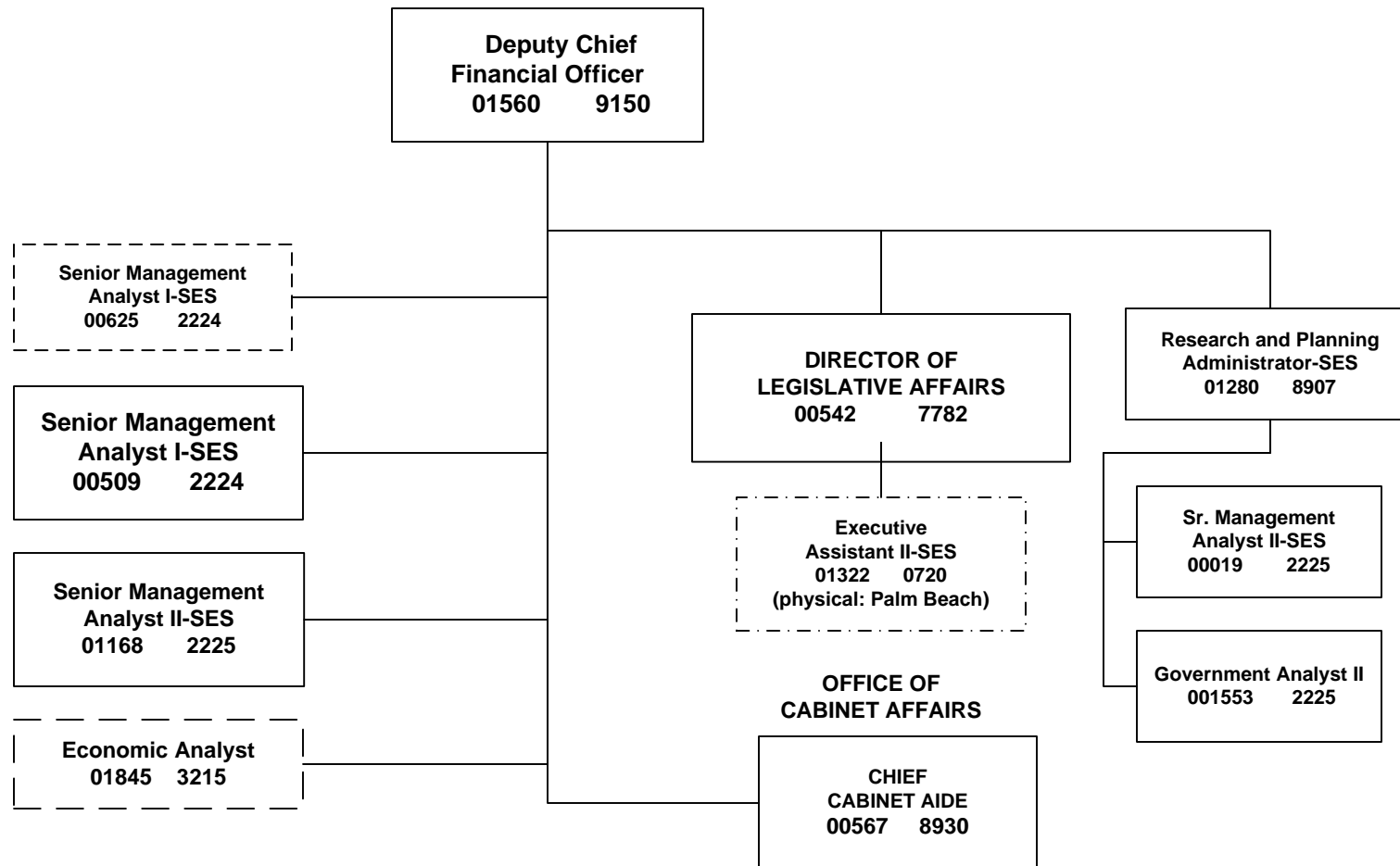
PROPOSED



**Department of Financial Services
Office of the Chief of Staff
Office of the Deputy Chief of Staff
Office of Cabinet Affairs**



**Department of Financial Services
Office of the Chief of Staff
Office of the Deputy Chief of Staff
Office of Legislative Affairs**

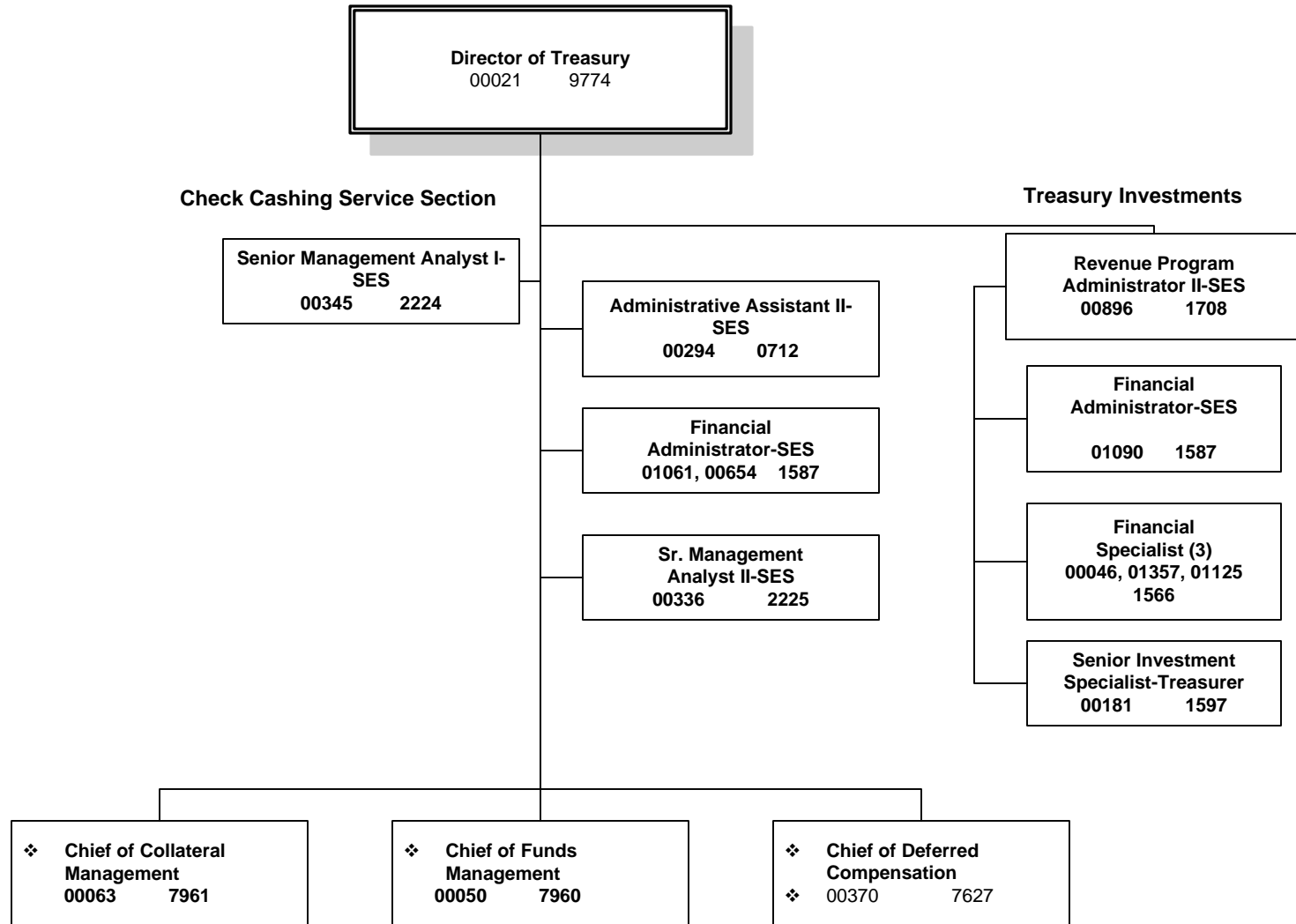


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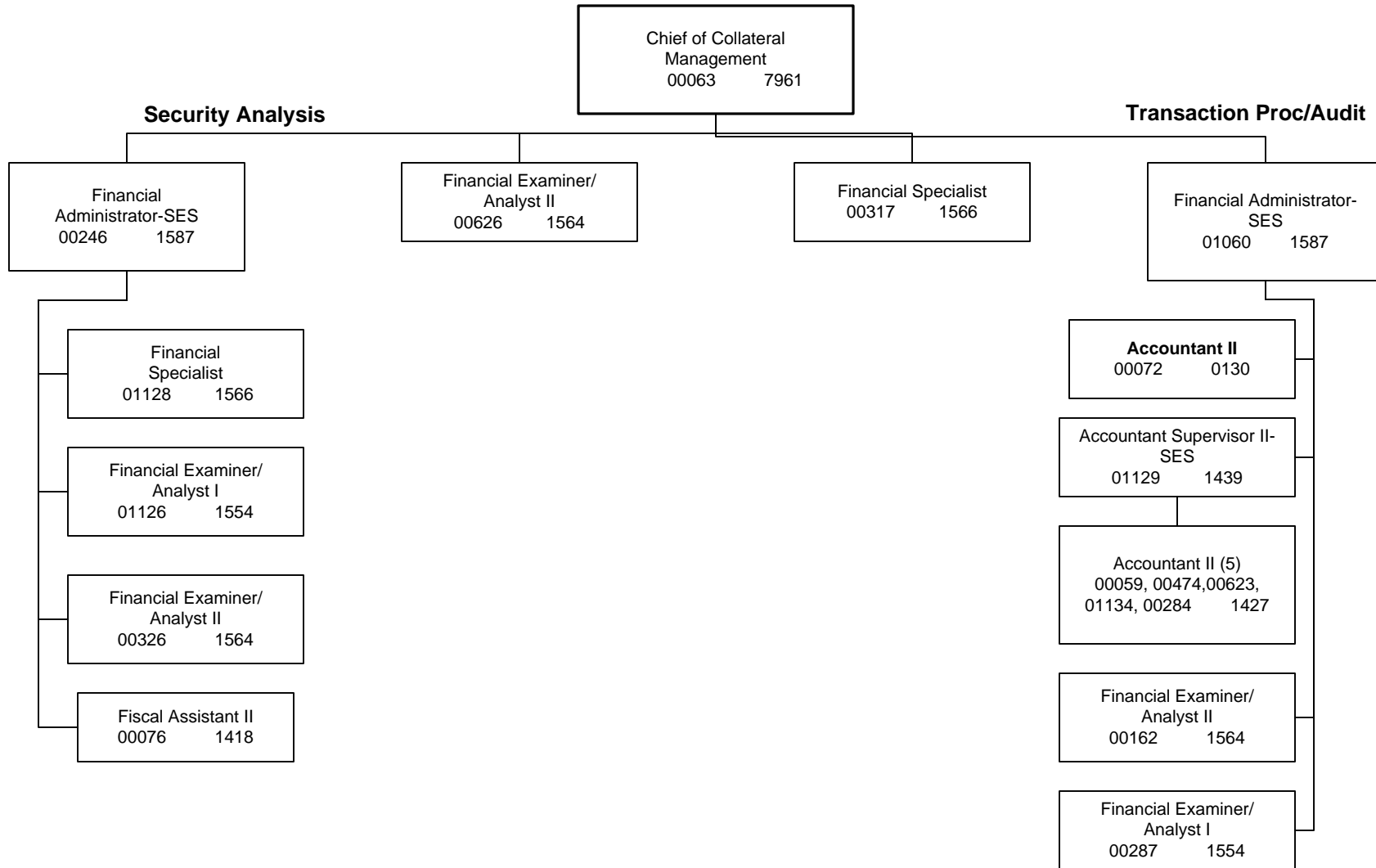
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Rev 04/09/13

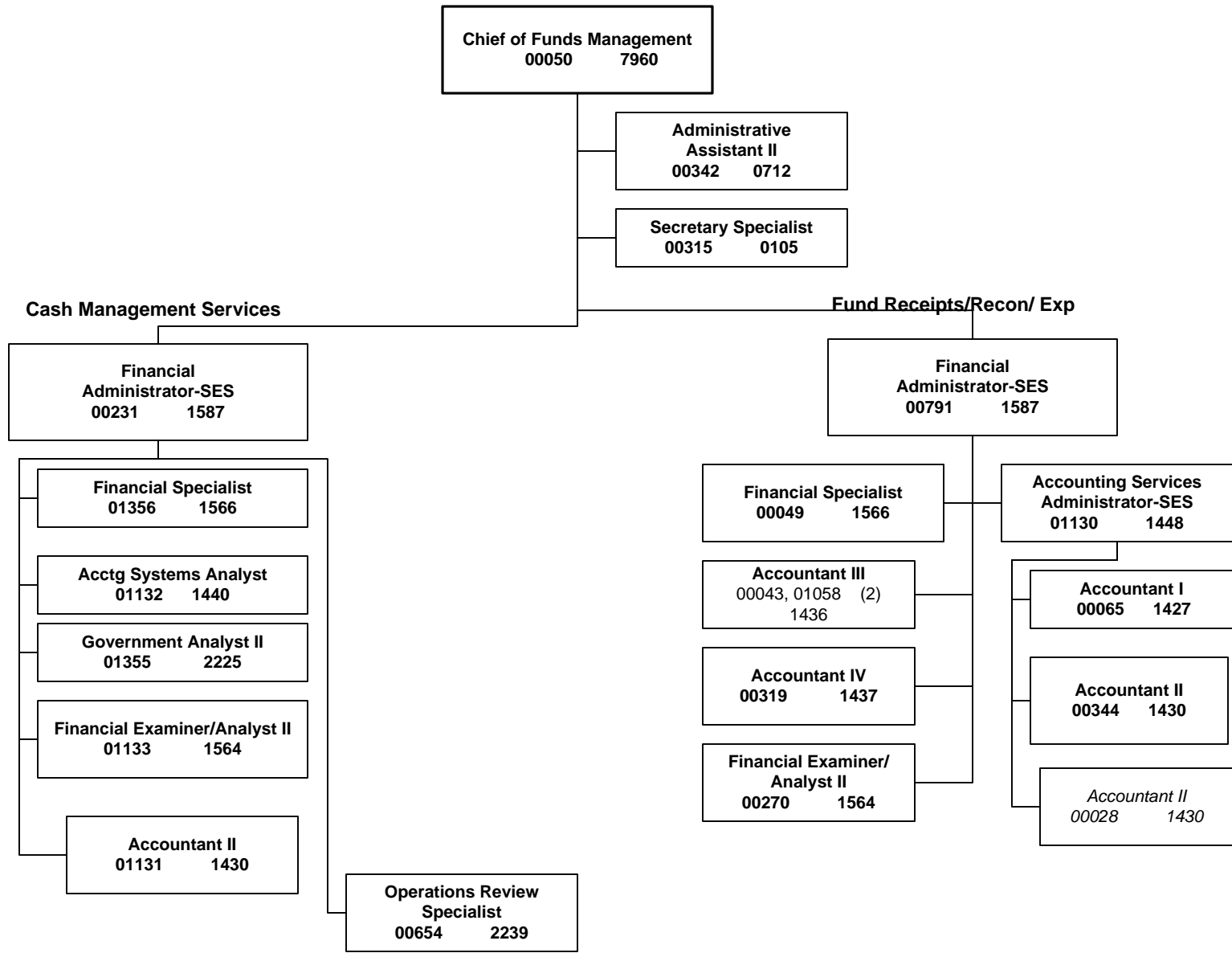
**Department of Financial Service
Office of the Deputy Chief Financial Officer
Division of Treasury
Office of the Director**



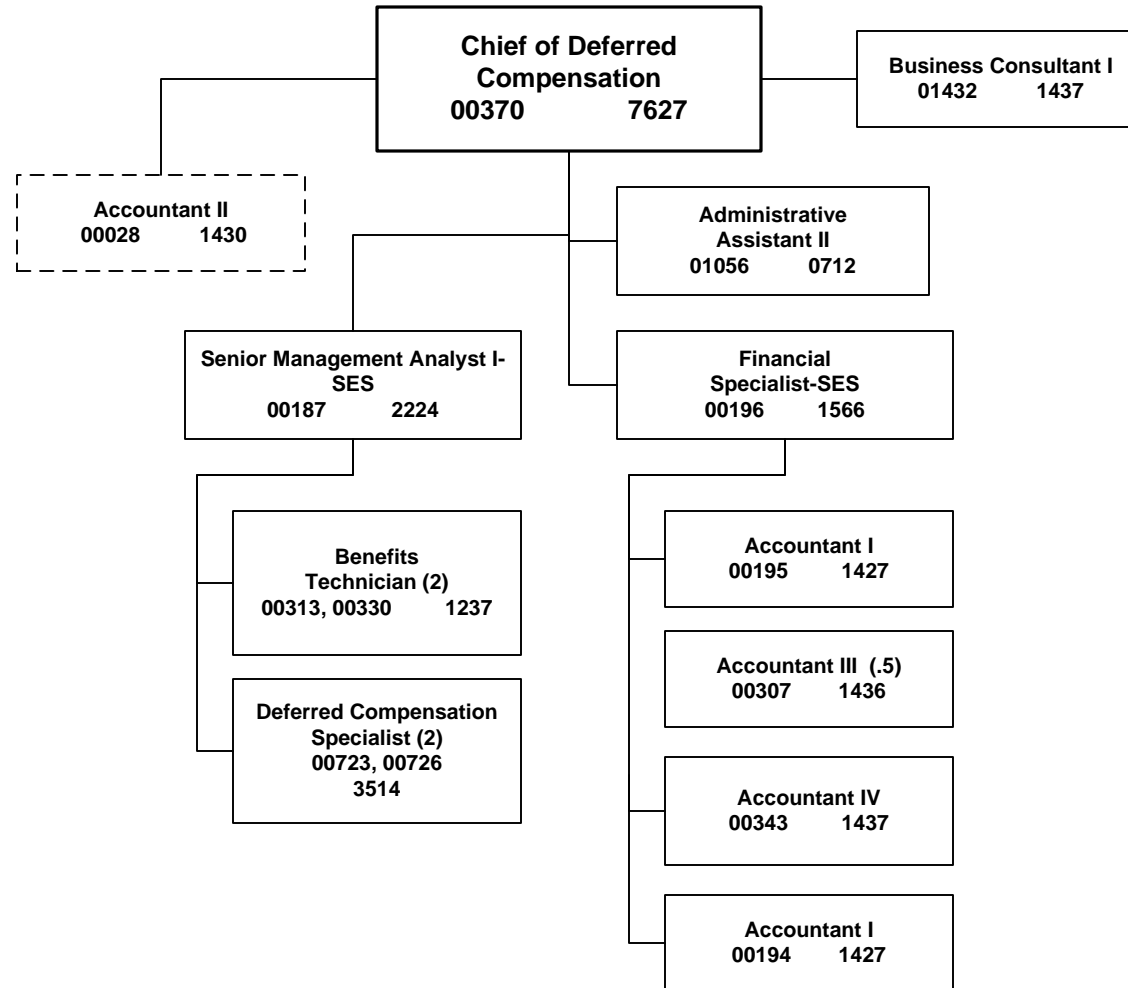
**Department of Financial Services
Office of the General Counsel
Division of Treasury
Bureau of Collateral Management**



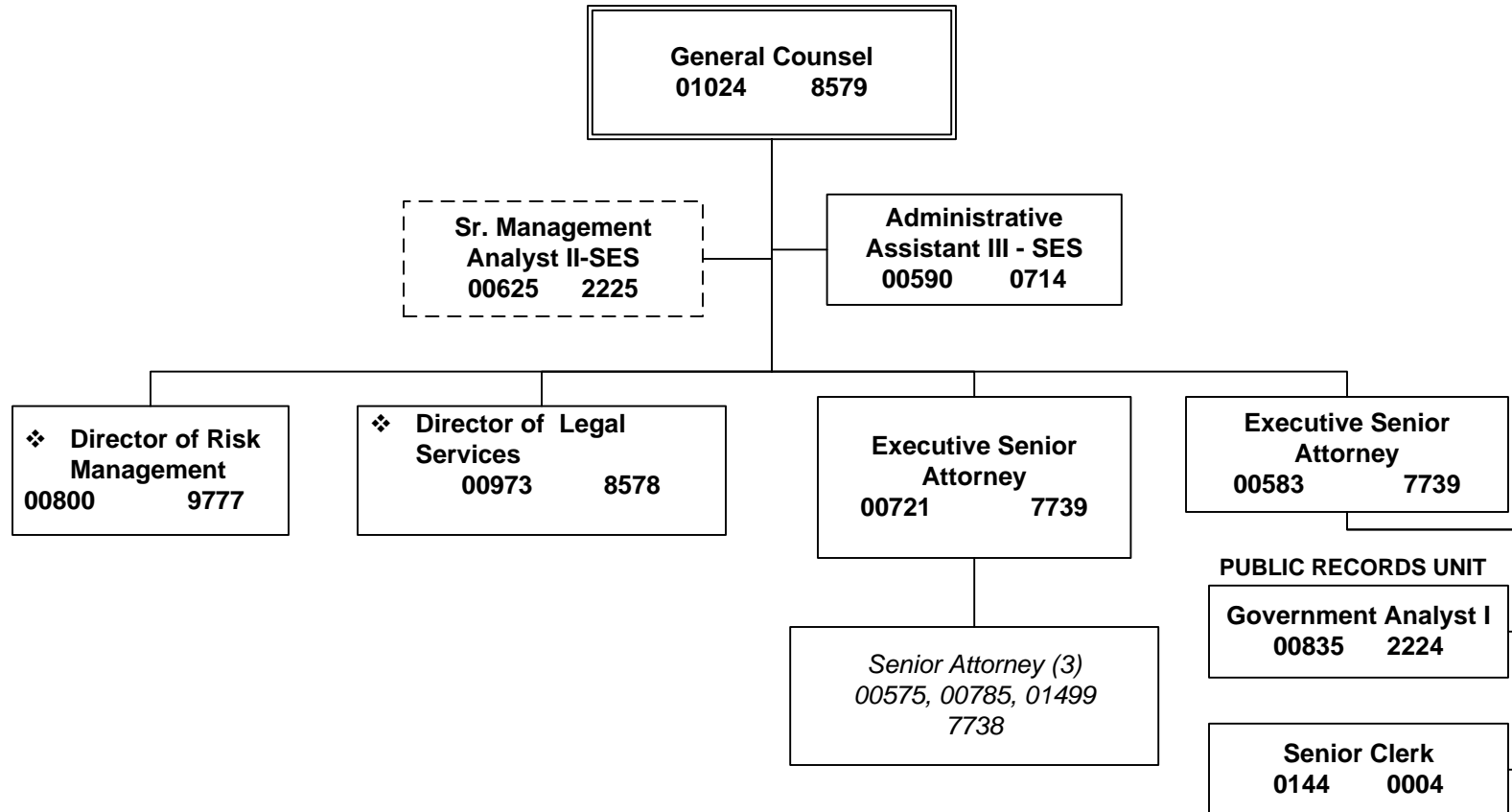
**Department of Financial Services
Office of the General Counsel
Division of Treasury
Bureau of Funds Management**



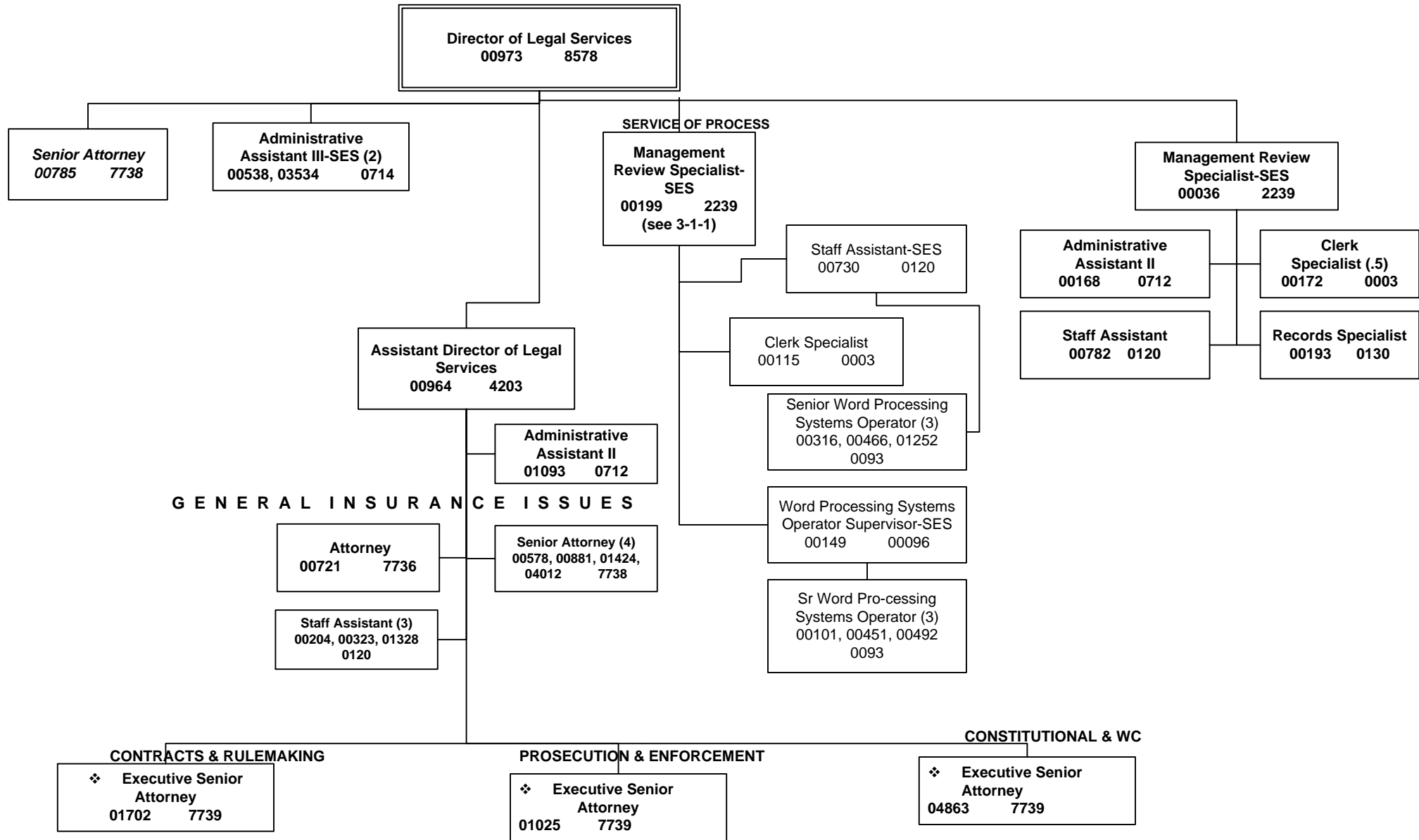
**Department of Financial Services
Division of Treasury
Bureau of Deferred Compensation**



Department of Financial Services Office of the General Counsel



**Department of Financial Services
Office of the General Counsel
Division of Legal Services
Office of the Director**

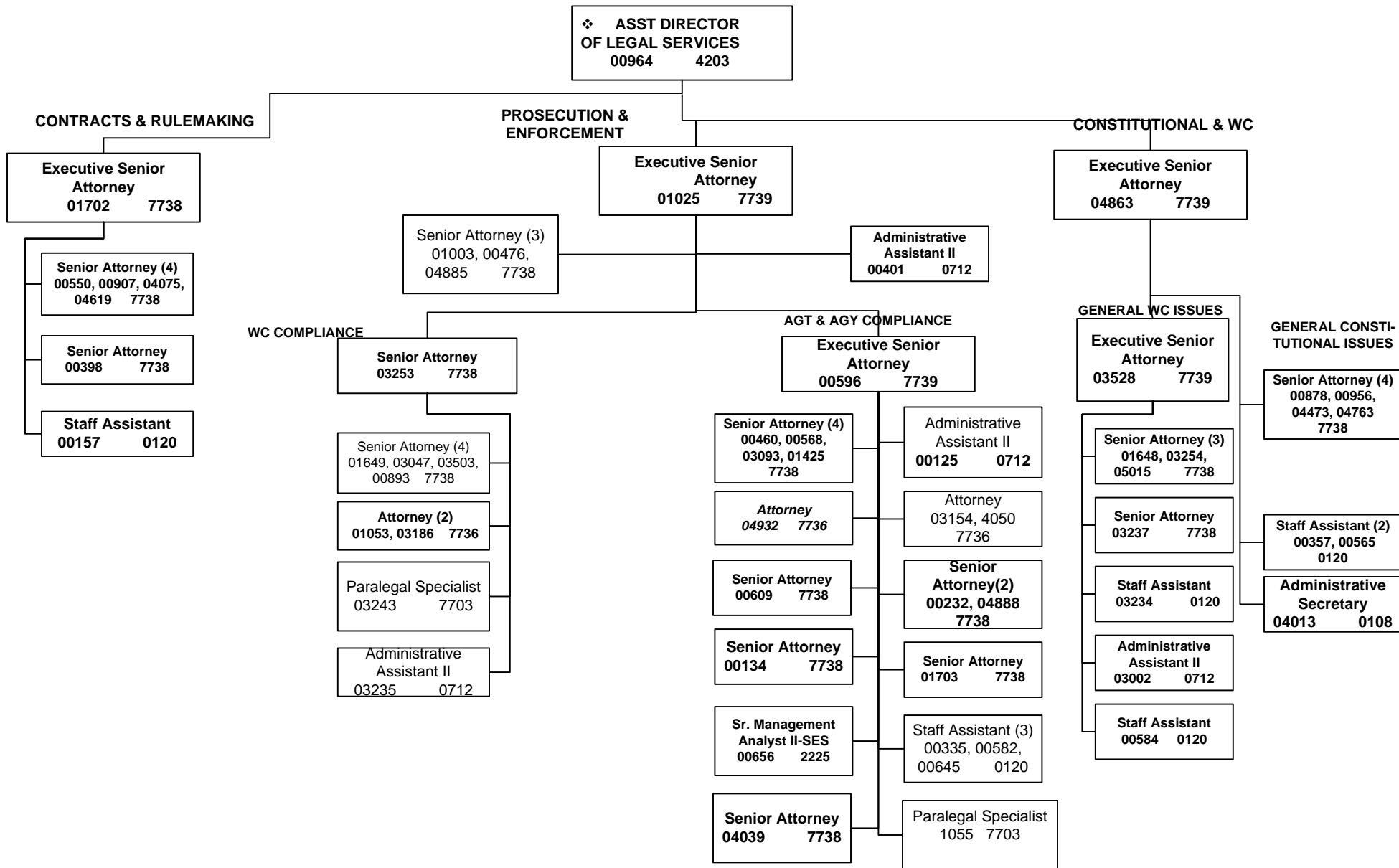


Director's Ofc FTE: 20.5
General Ins Issues FTE: 8
Division Total FTE: 85.5

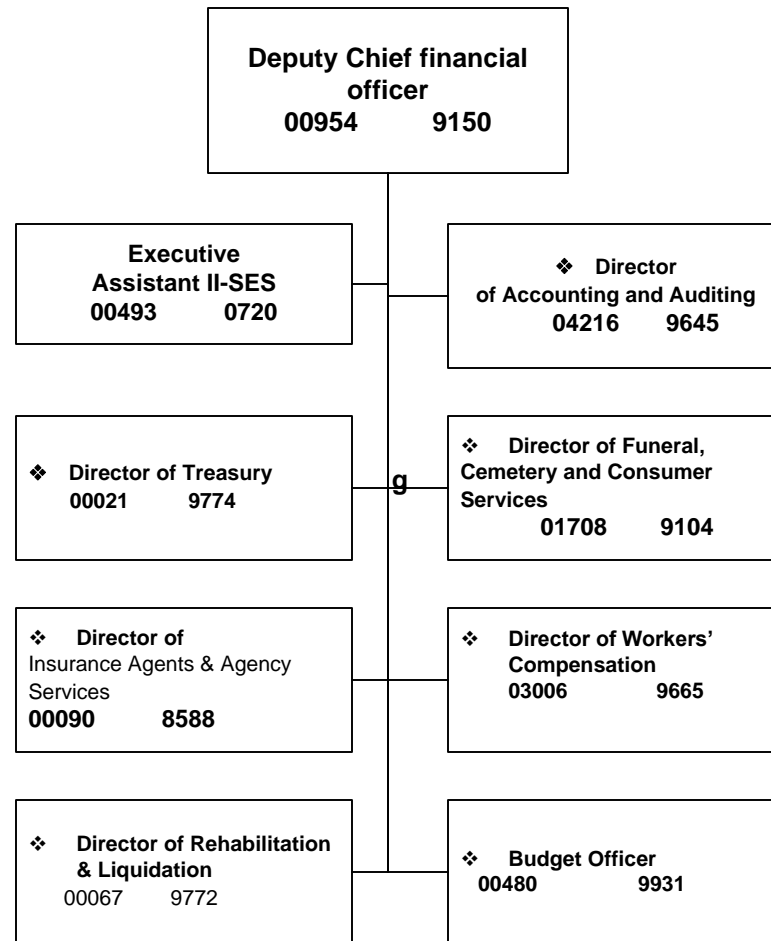
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Italic = Organizationally Assigned. Reports elsewhere administratively. FTE counted.

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Rev 11-18-2011

**Department of Financial Service
Office of the General Counsel
Division of Legal Services**



Department of Financial Services
Office of Deputy Chief Financial Officer

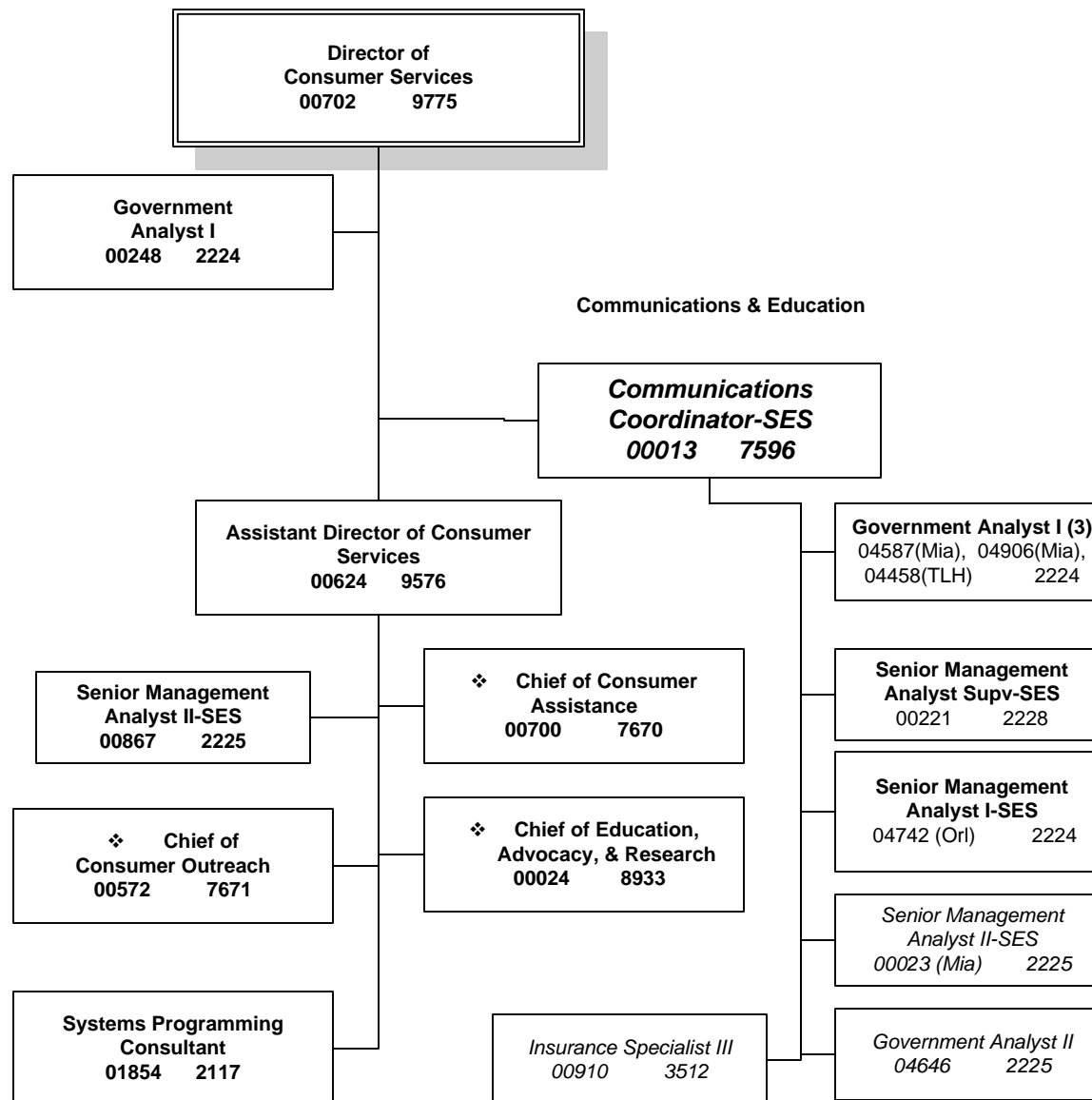


**Department of Financial Services
Office of the Chief of Staff
Office of the Deputy Chief of Staff
Office of Budgeting**

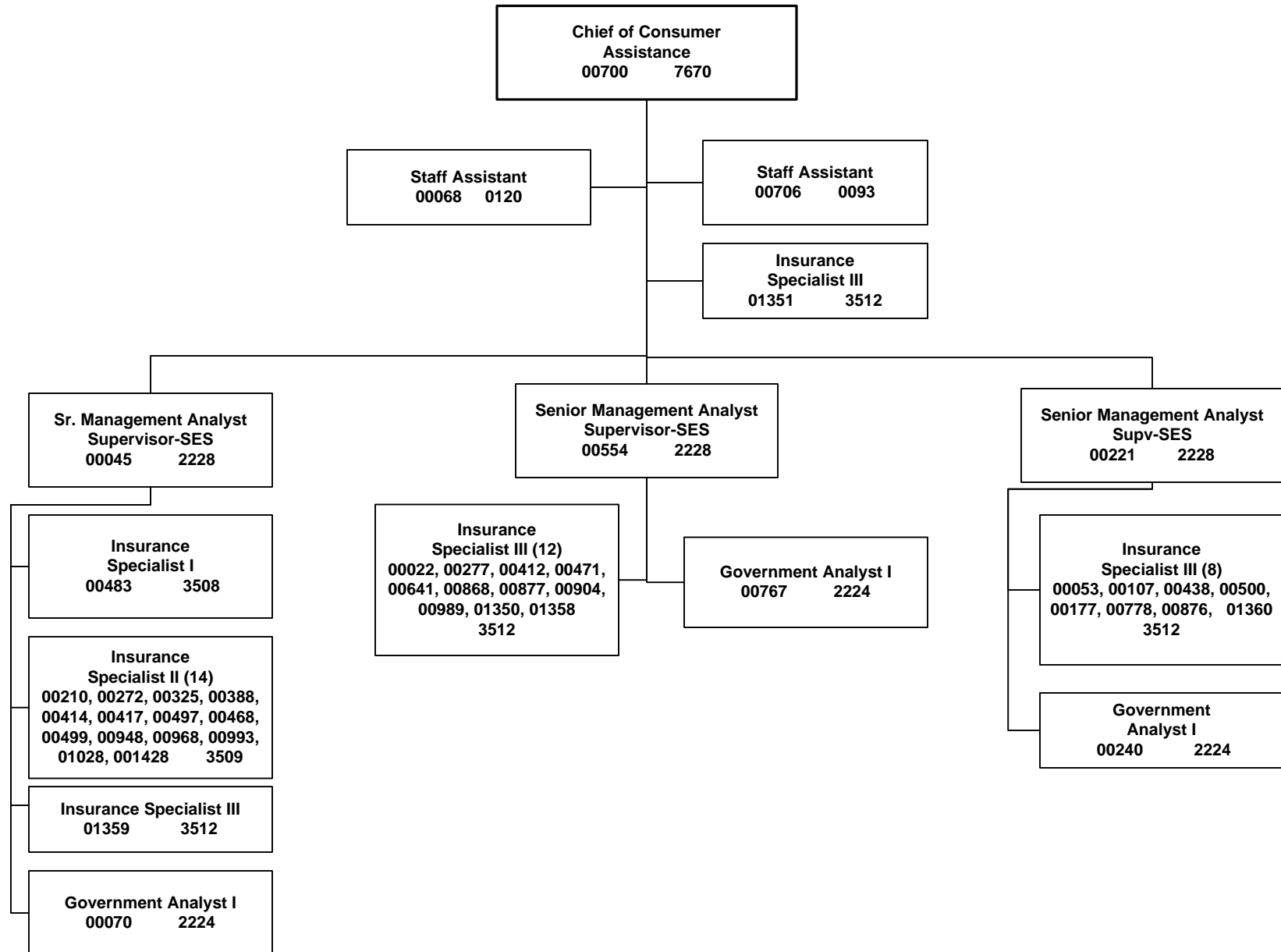
❖ **Budget Officer**
00480 9931

**Sr. Management Analyst II-
SES(3)**
04020, 00914, 00233
2225

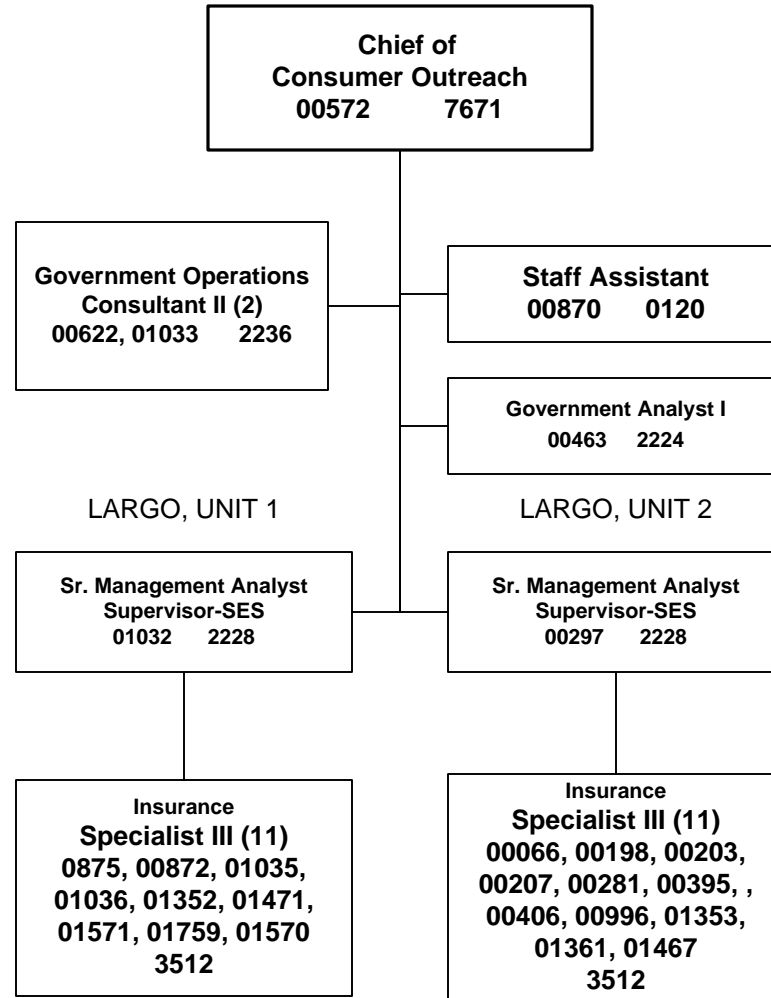
**Department of Financial Services
Office of Deputy Chief Financial Officer
Division of Consumer Services
Office of the Director**



**Department of Financial Services
Division of Consumer Services
Bureau of Consumer Assistance**



**Department of Financial Services
Division of Consumer Services
Bureau of Consumer Outreach**



**Department of Financial Services
Division of Consumer Services
Bureau of Education, Advocacy, and Research**

Chief of Education, Advocacy
& Research
00024 8933

Government Analyst II
00862 2225

Records & Dispute Programs

Senior Management
Analyst I-SES
01272 2224

Correspondence & Get Lean

Senior Management Analyst
Supv-SES
00074 2228

Government Analyst I
01594 2224

Insurance
Specialist II
01037 3509

Staff Assistant
00779 0093

Operations
Analyst I (4)
00544, 00705, 00773, 00990
2209

Regulation & Quality Control

Senior Management
Analyst Supv -SES
001567 2228

Senior Management Analyst
II-SES (3)
00453, 00482, 01470
2225

Government
Analyst II (2)
00780, 01475 2225

Government Analyst I
04458 2224
00148 2224

Communications & Education

Communications
Coordinator-SES
00013 7596

Senior Management Analyst
II-SES
00064 2225

Government Operations
Consultant II (3)
00069, 00126, 00260 2236

Senior Management
Analyst II-SES
04150 2225

Government Analyst I
00444 2224

Insurance
Specialist I
00992 3508

Records
Technician
01595 0045

Insurance
Specialist II
00861 3509

Insurance
Specialist III (5)
00057, 00279, 00995,
00768, 01006
3512

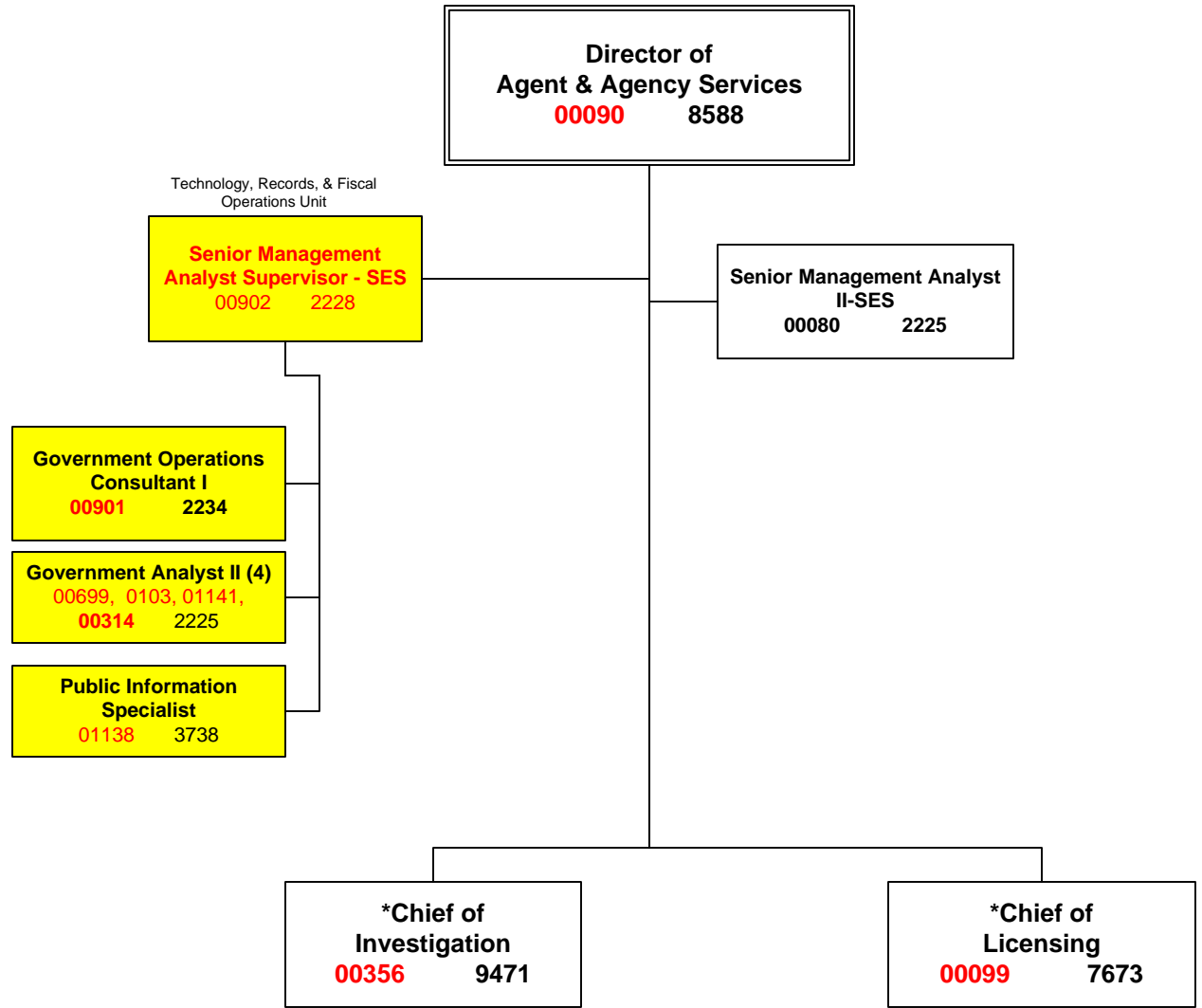
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Italic = Organizationally Assigned. Reports elsewhere administratively. FTE counted.

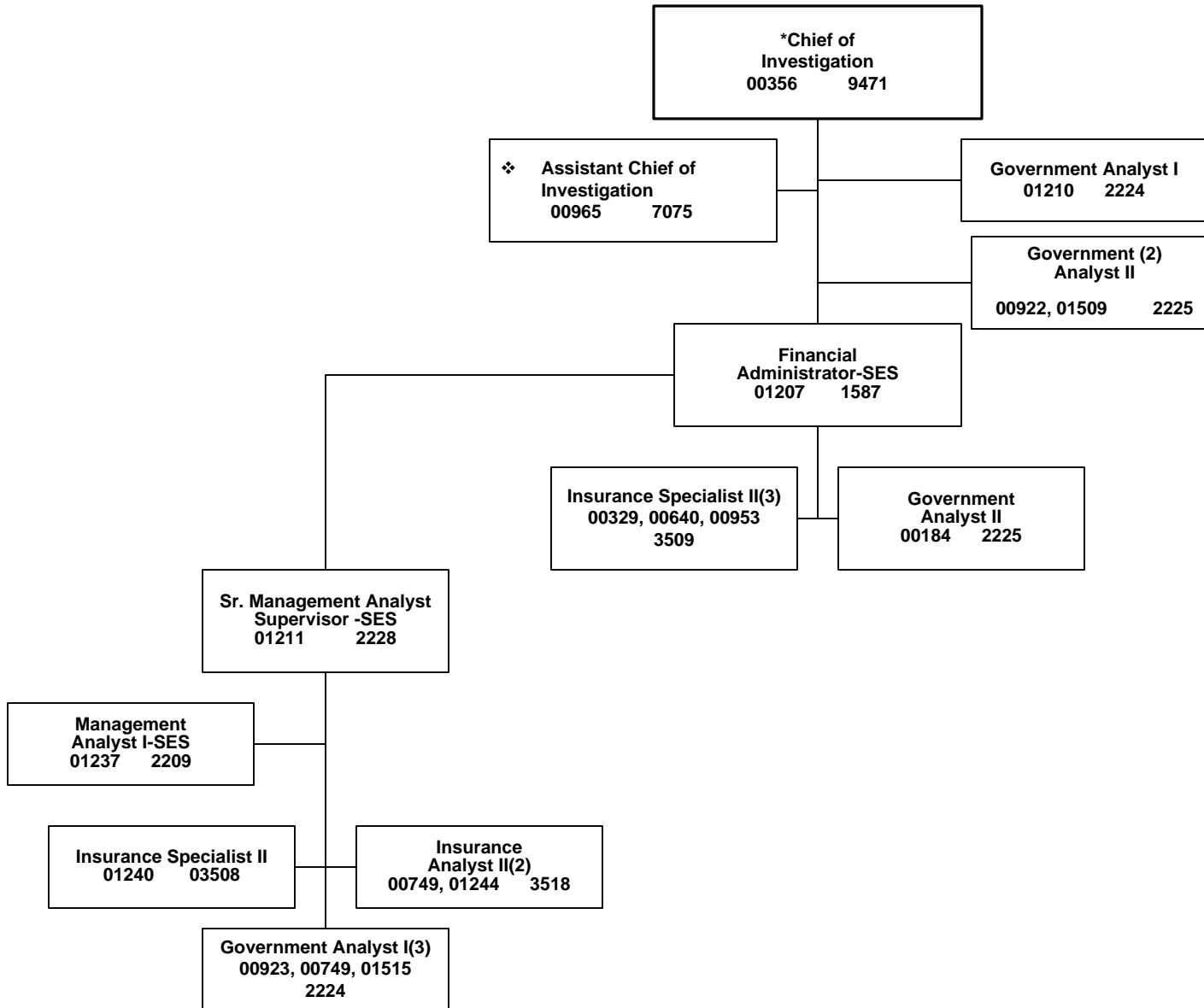
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Rev 06-24-2013

**Department of Financial Services
Division of Insurance Agents & Agency Services
Office of the Director**

PROPOSED, re-org



**Department of Financial Services
 Division of Insurance Agents & Agency Services
 Bureau of Investigation
 Office of the Chief**

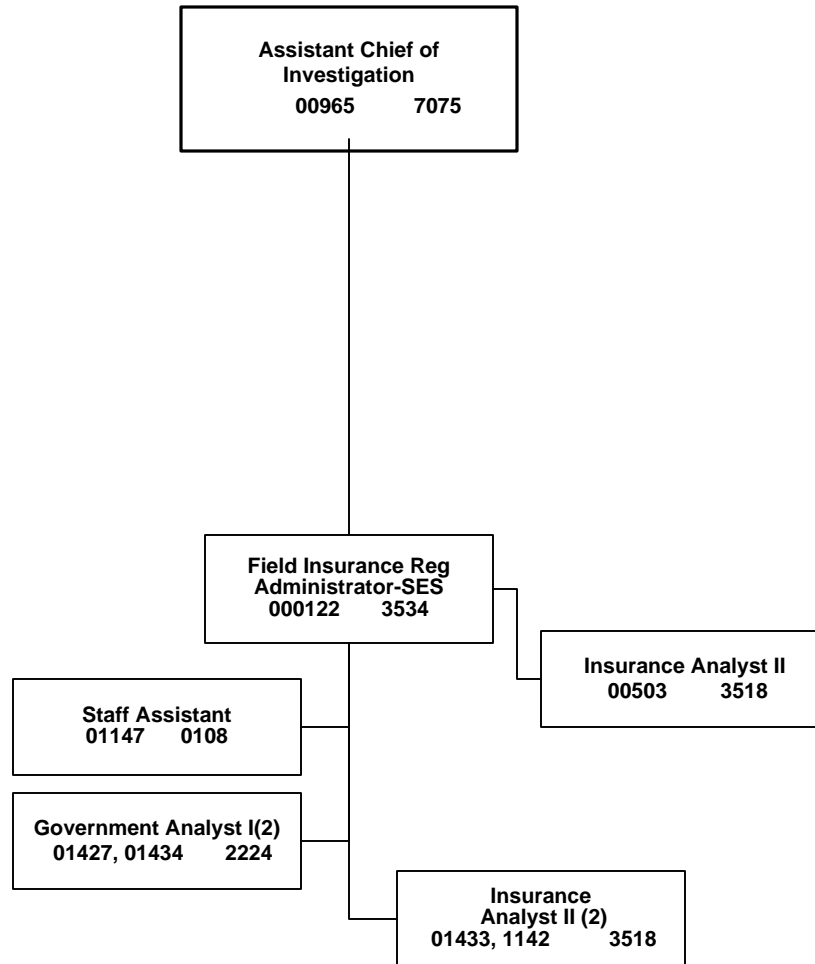


Bureau Total FTE = 77
 Office of the Chief = 24

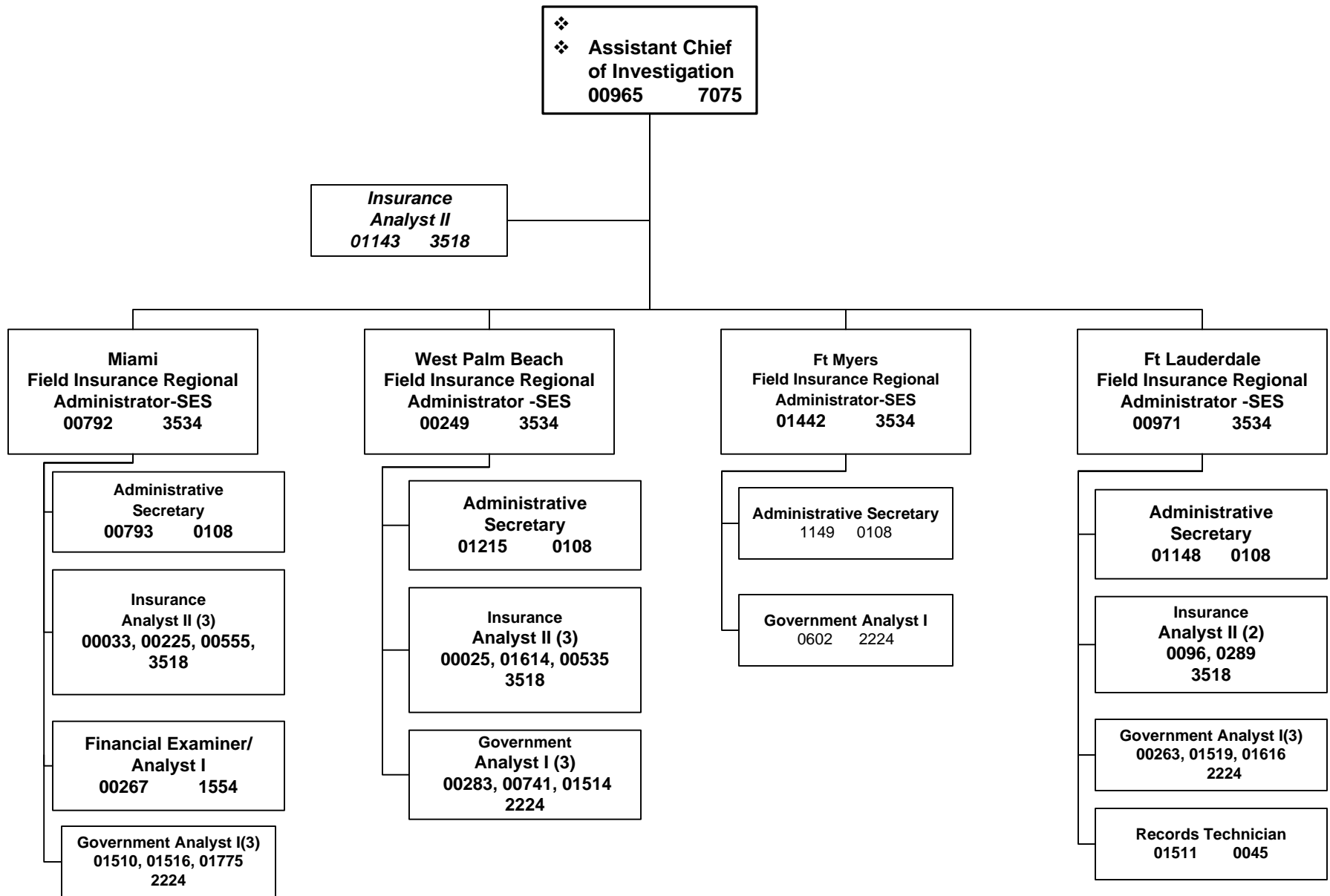
❖ FTE not Included in this Section
 Dotted Line = Administratively Assigned. FTE not counted.
 Italic = Organizationally Assigned. Reports elsewhere administratively. FTE counted.

Eff 05-01-2013
 Rev 04-26-2013

**Department of Financial Services
Division of Insurance Agents & Agency Services
Bureau of Investigation
Office of the Assistant Chief**



Department of Financial Services
 Division of Insurance Agents & Agency Services
 Bureau of Investigation
 South Region



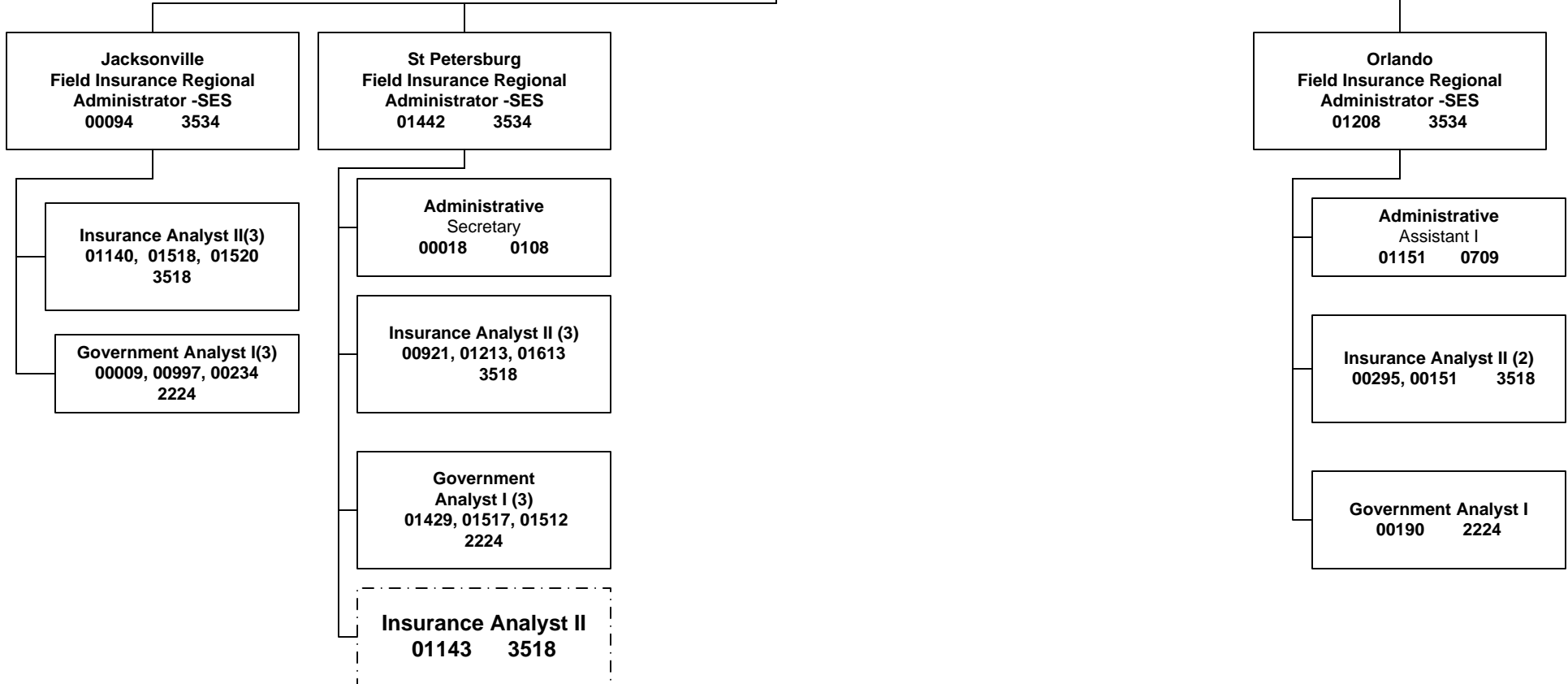
FTE 33

❖ FTE not Included in this Section
 Dotted Line = Administratively Assigned. FTE not counted.
 Italic = Organizationally Assigned. Reports elsewhere administratively.
 FTE counted.

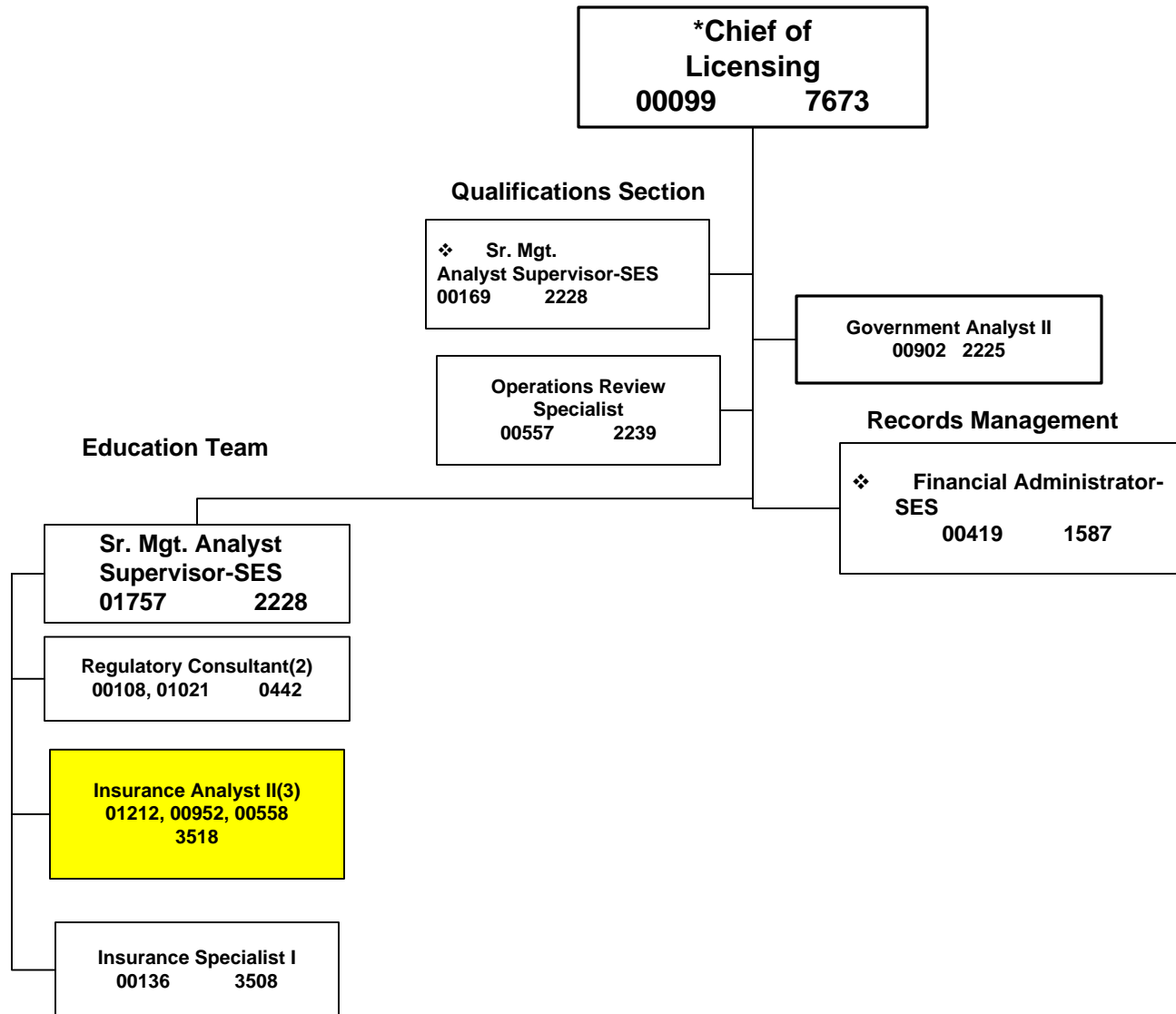
Eff 06-05-2013
 Rev 05-30-2013

**Department of Financial Services
 Division of Insurance Agents & Agency Services
 Bureau of Investigation
 North Region**

❖ Assistant Chief of Investigation
 00965 7075

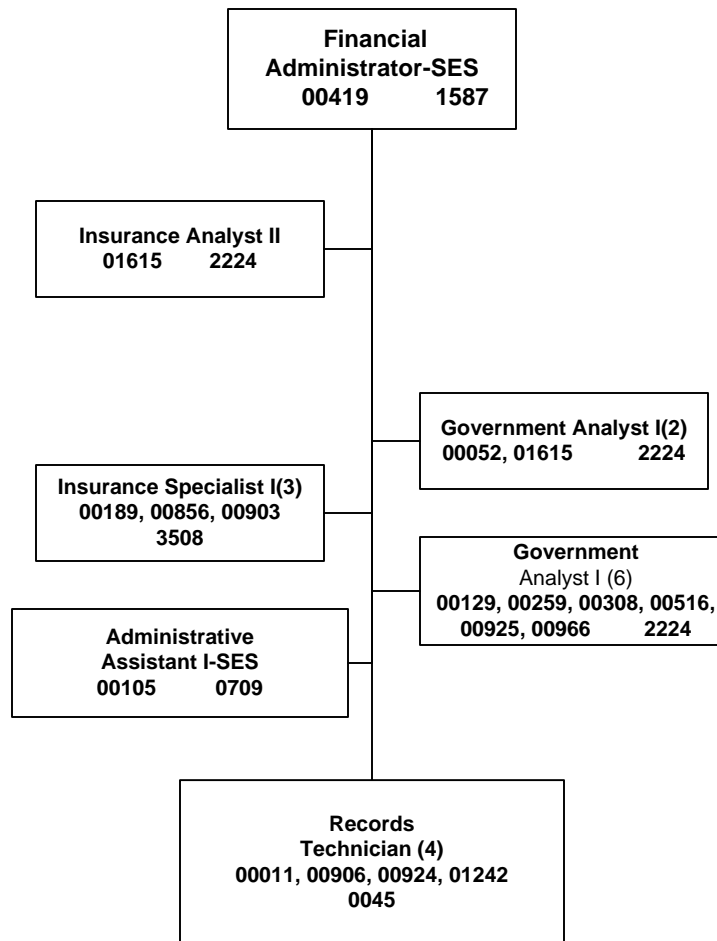


**Department of Financial Services
 Division of Insurance Agents & Agency Services
 Bureau of Licensing
 Office of the Chief**



**Department of Financial Services
 Division of Insurance Agents & Agency Services
 Bureau of Licensing
 Records Management**

PROPOSED



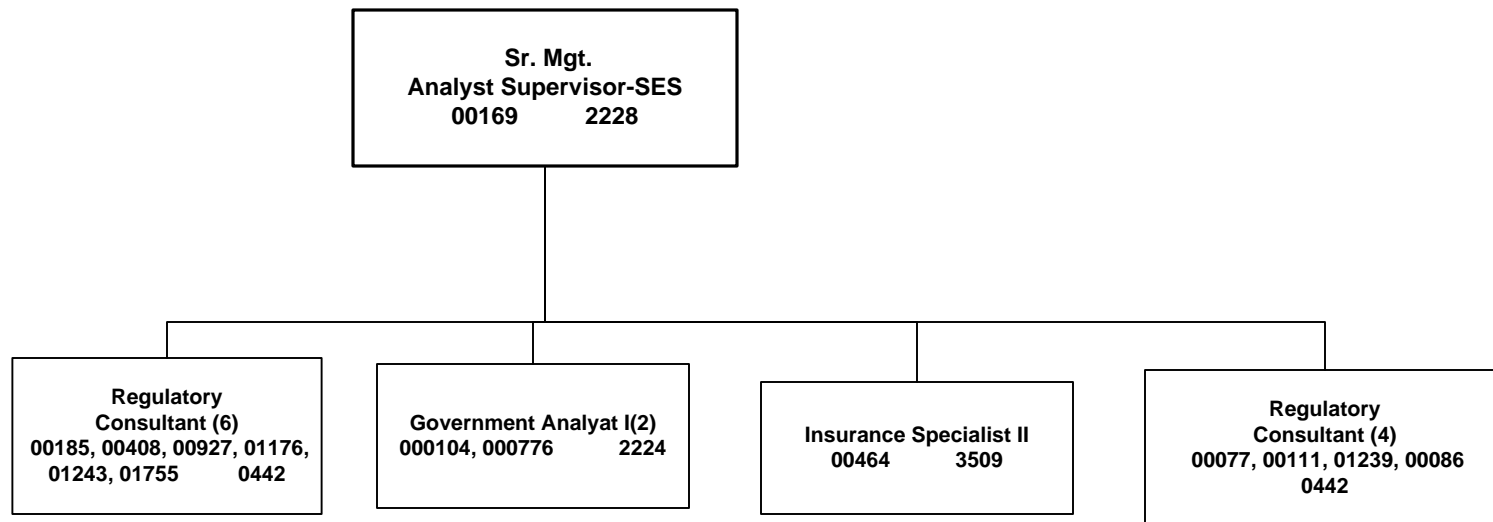
Total Section FTE = 17

❖ FTE not Included in this Section
 Dotted Line = Administratively Assigned. FTE not counted.
 Italic = Organizationally Assigned. Reports elsewhere administratively. FTE counted.

Eff
 Rev 06-11-13

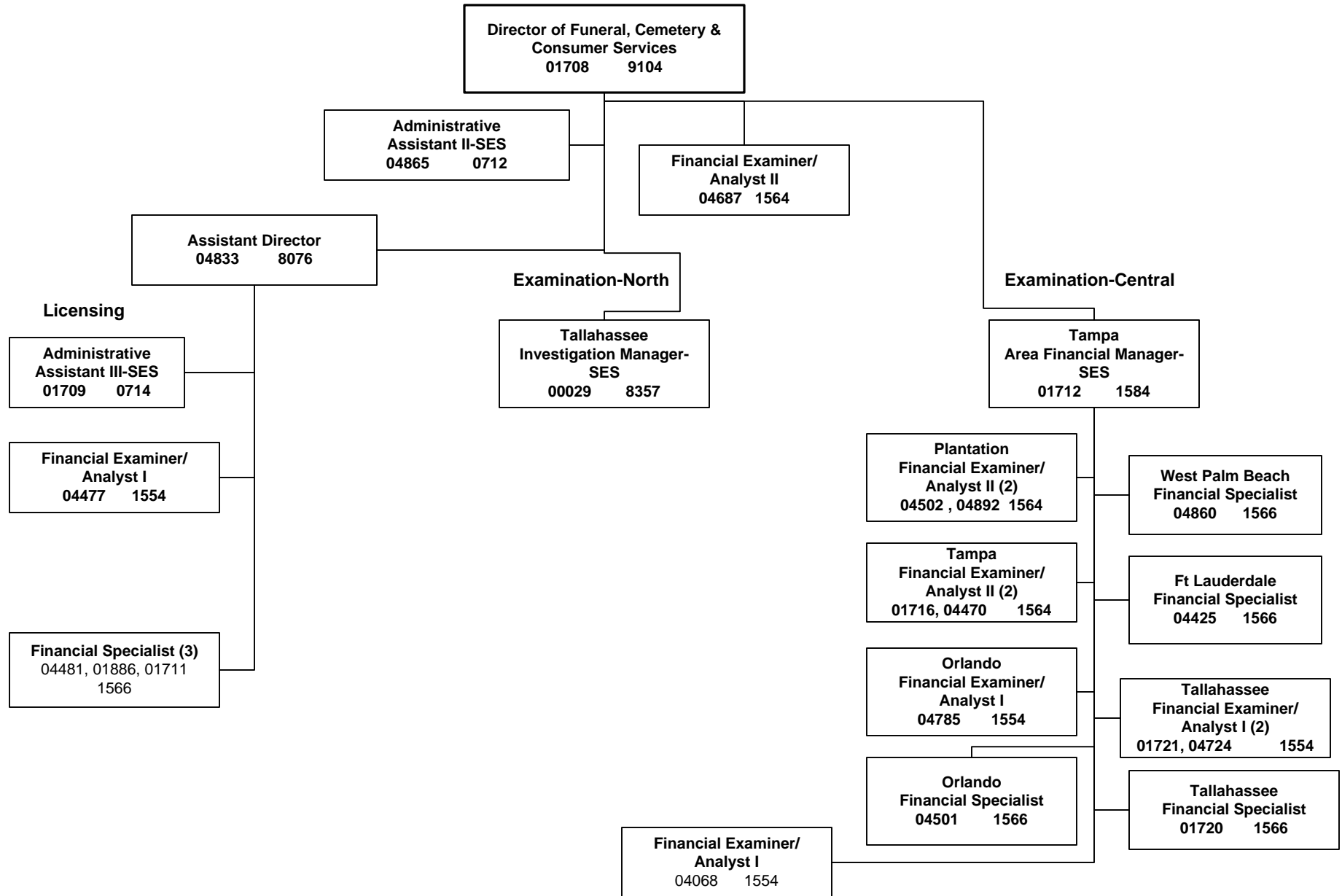
4-2-7

**Department of Financial Services
Division of Insurance Agents & Agency Services
Bureau of Licensing
Qualifications Section**

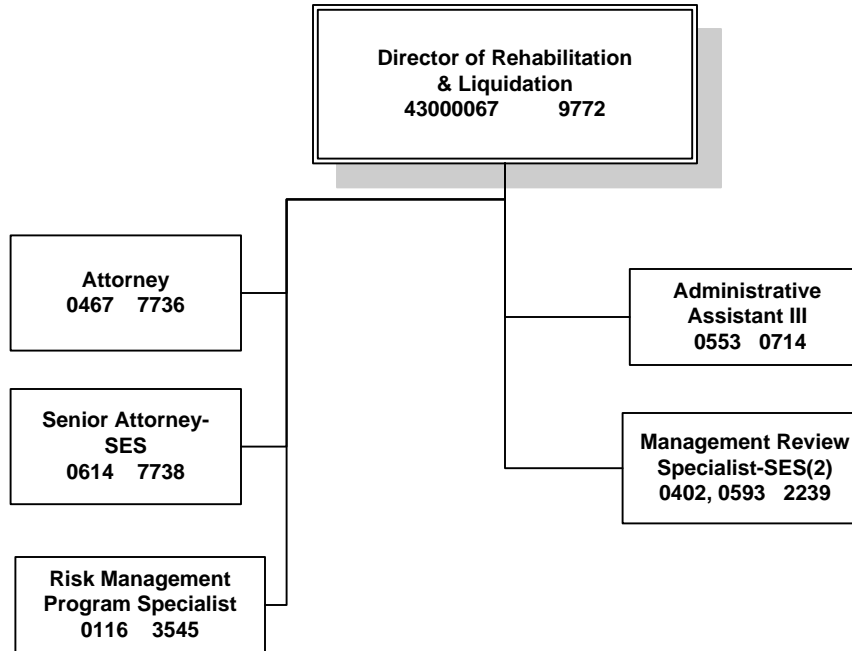


Department of Financial Services

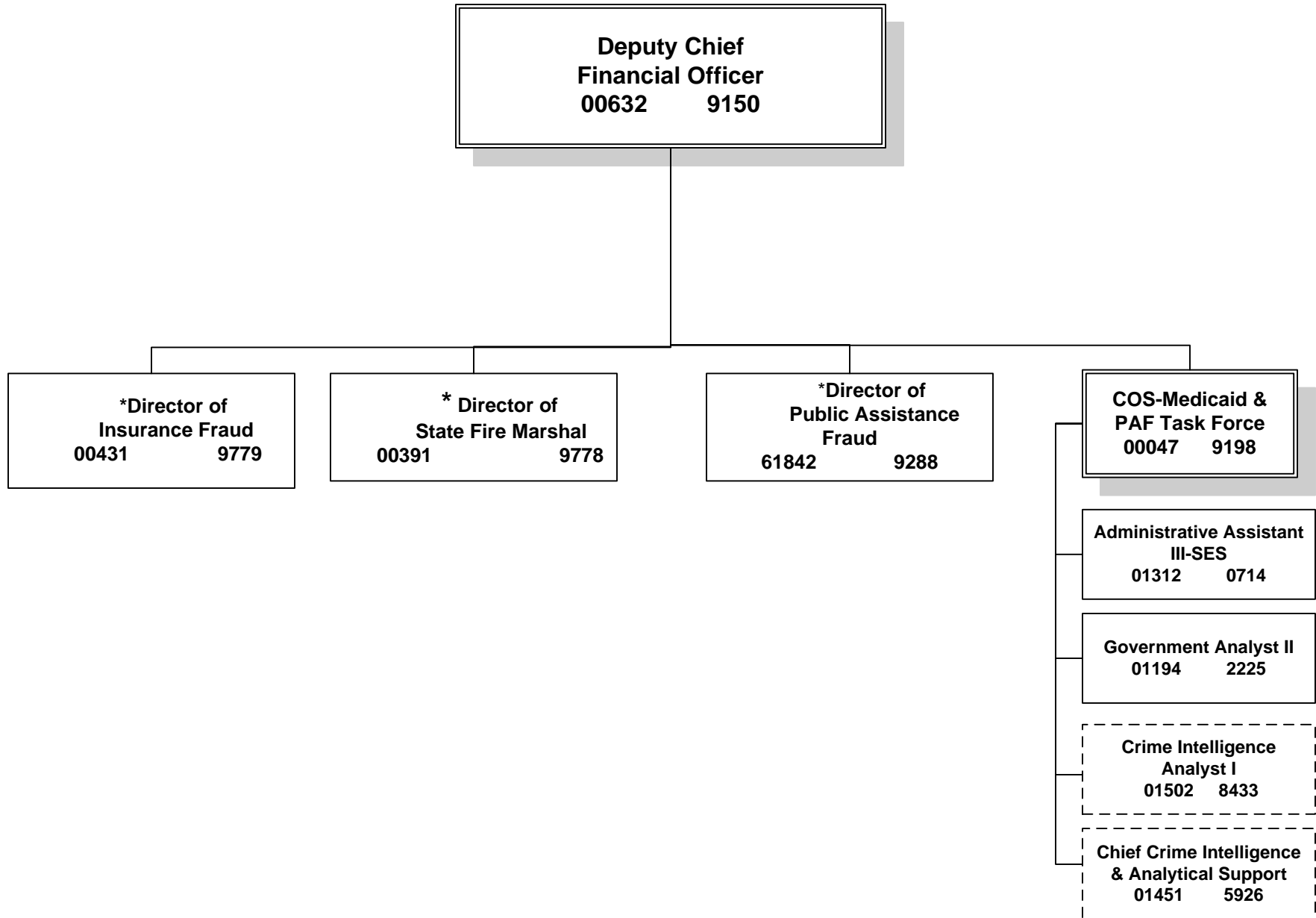
Division of Funeral, Cemetery and Consumer Services



**Department of Financial Services
Office of the General Counsel
Division of Rehabilitation & Liquidation
Office of the Director**



**Department of Financial Services
Office of the Deputy Chief Financial Officer**



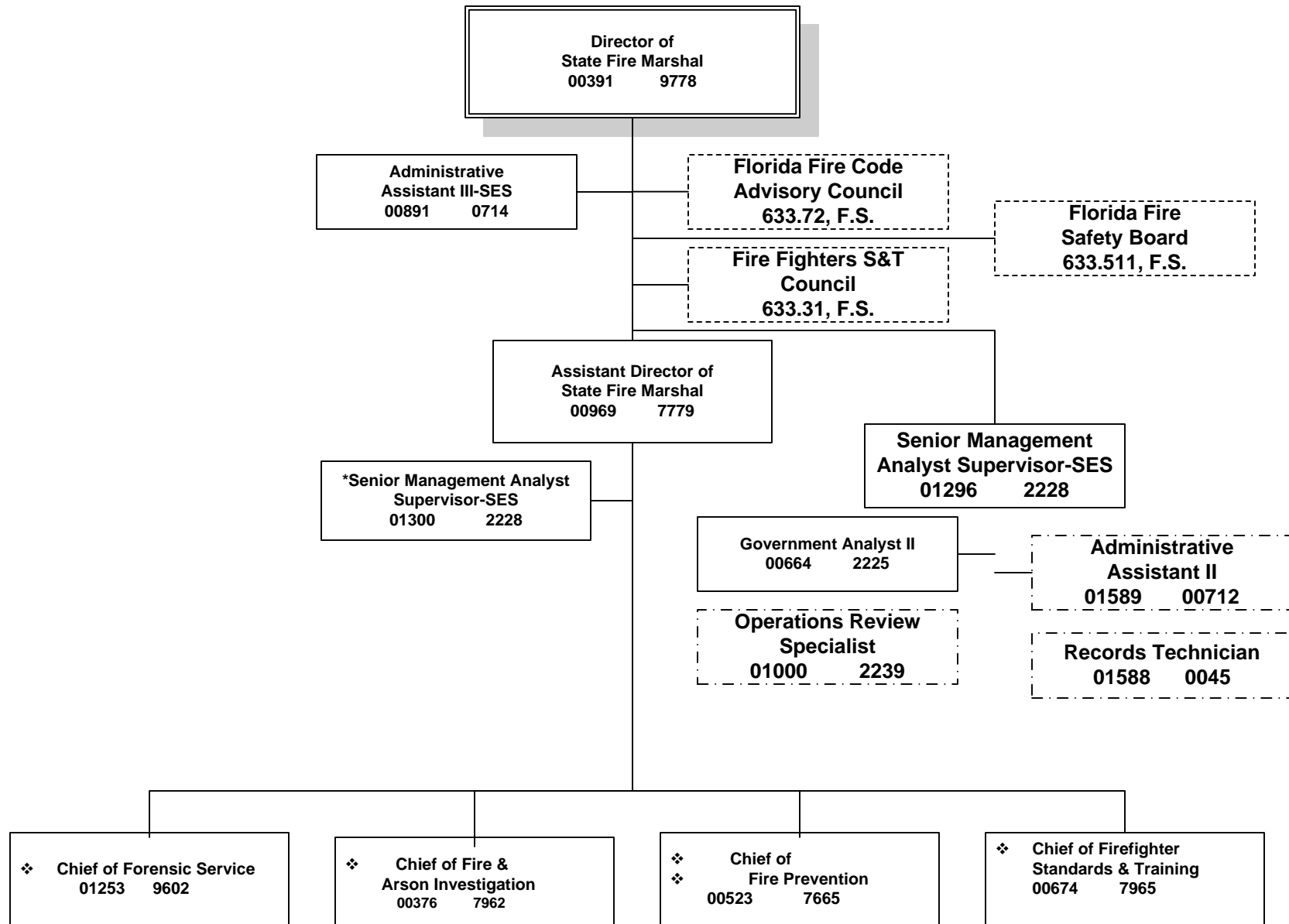
Total FTE: 5

❖ FTE not Included in this Section
 Dotted Line = Administratively Assigned. FTE not counted.
 Italic = Organizationally Assigned. Reports elsewhere administratively. FTE counted.

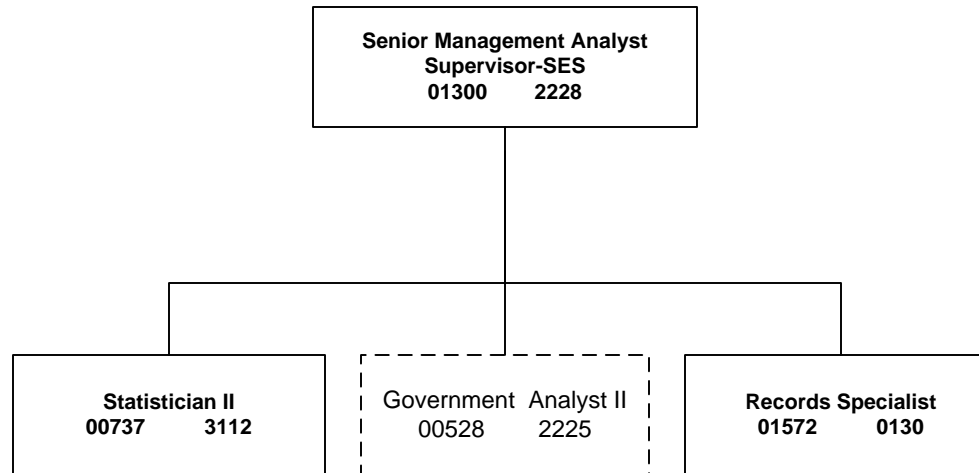
Eff 4-1-2011
 Rev 4-11-2011

5-0-0

**Department of Financial Services
Division of State Fire Marshal
Office of the Director**



**Department of Financial Services
Division of State Fire Marshal
Office of the Director
Fire Incident Reporting Section**



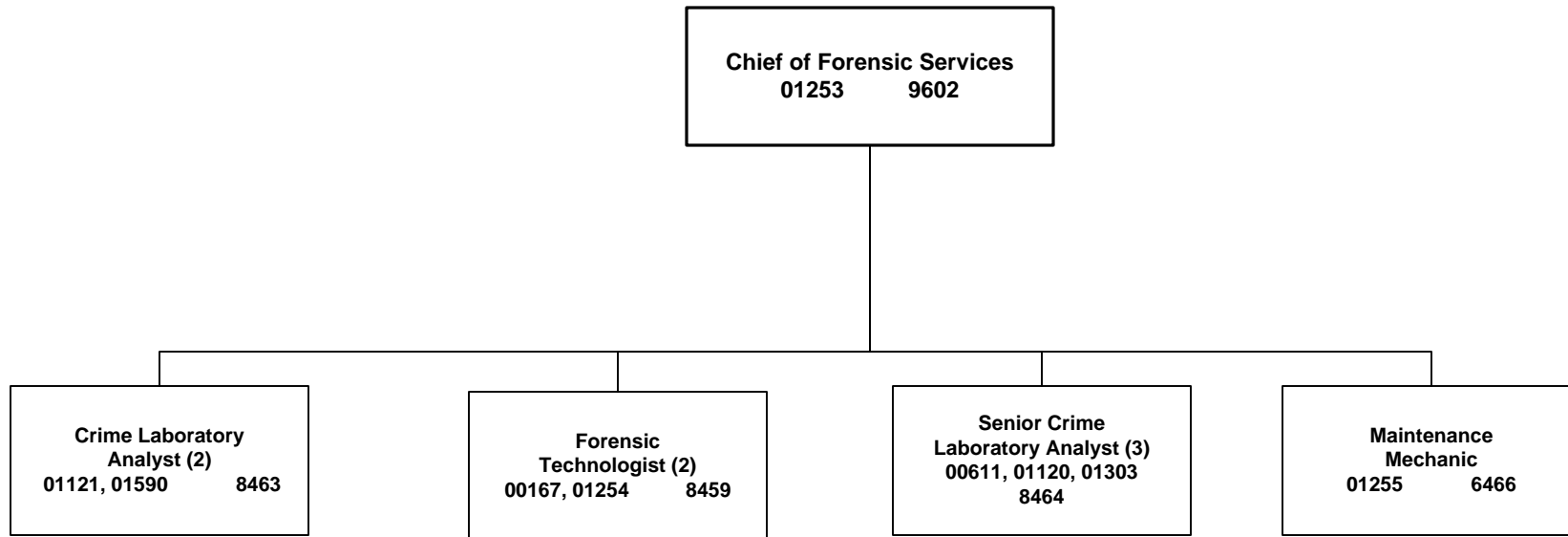
Total FTE: 2

❖ FTE not Included in this Section
Dotted Line = Administratively Assigned. FTE not counted.
Italic = Organizationally Assigned. Reports elsewhere administratively. FTE counted.

Eff 07-01-11
Rev 06-17-11

5-1-2

**Department of Financial Services
Division of State Fire Marshal
Bureau of Forensic Fire & Explosives Analysis**



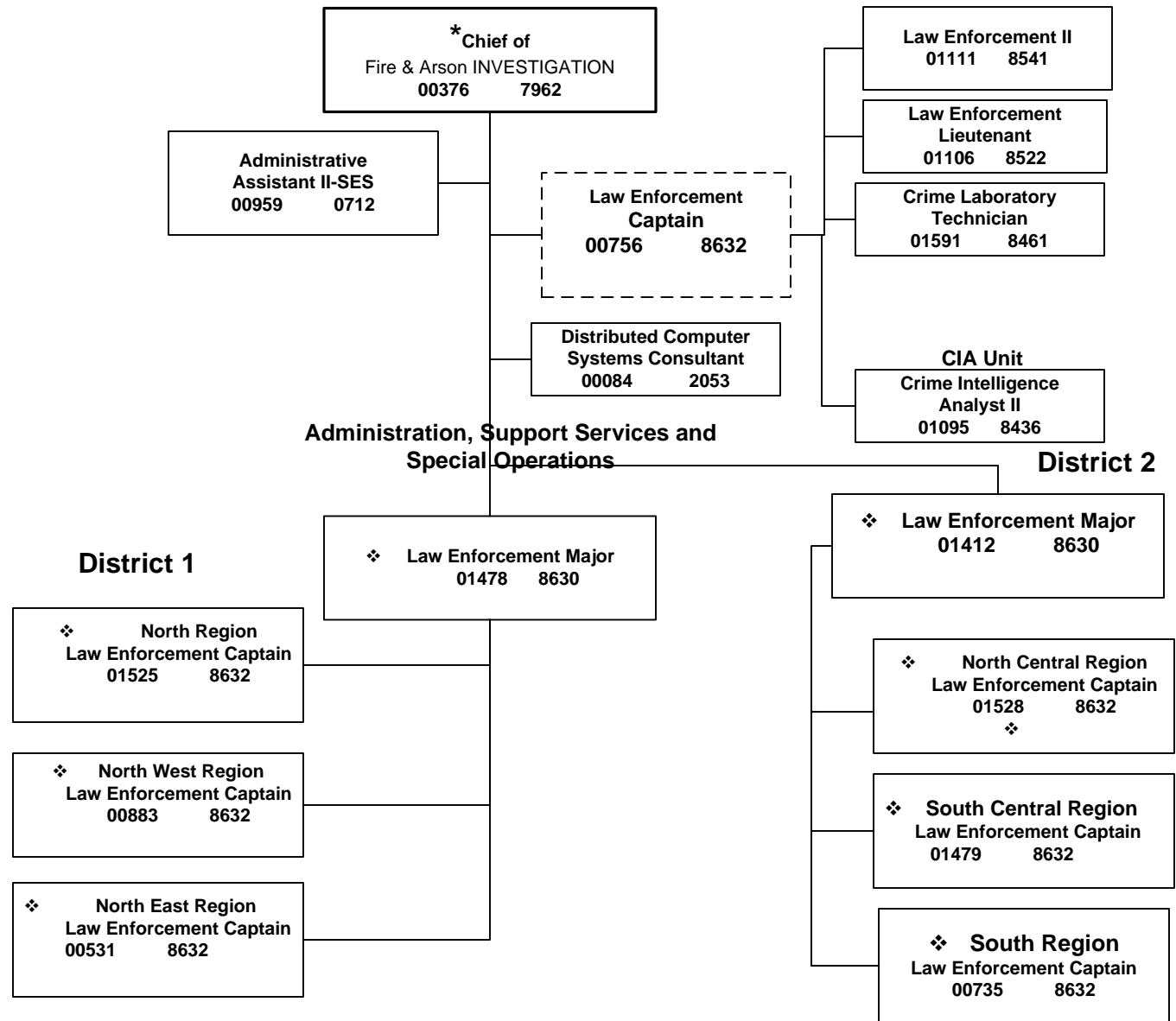
Total FTE: 8

❖ FTE not Included in this Section
Dotted Line = Administratively Assigned. FTE not counted.
Italic = Organizationally Assigned. Reports elsewhere administratively. FTE counted.

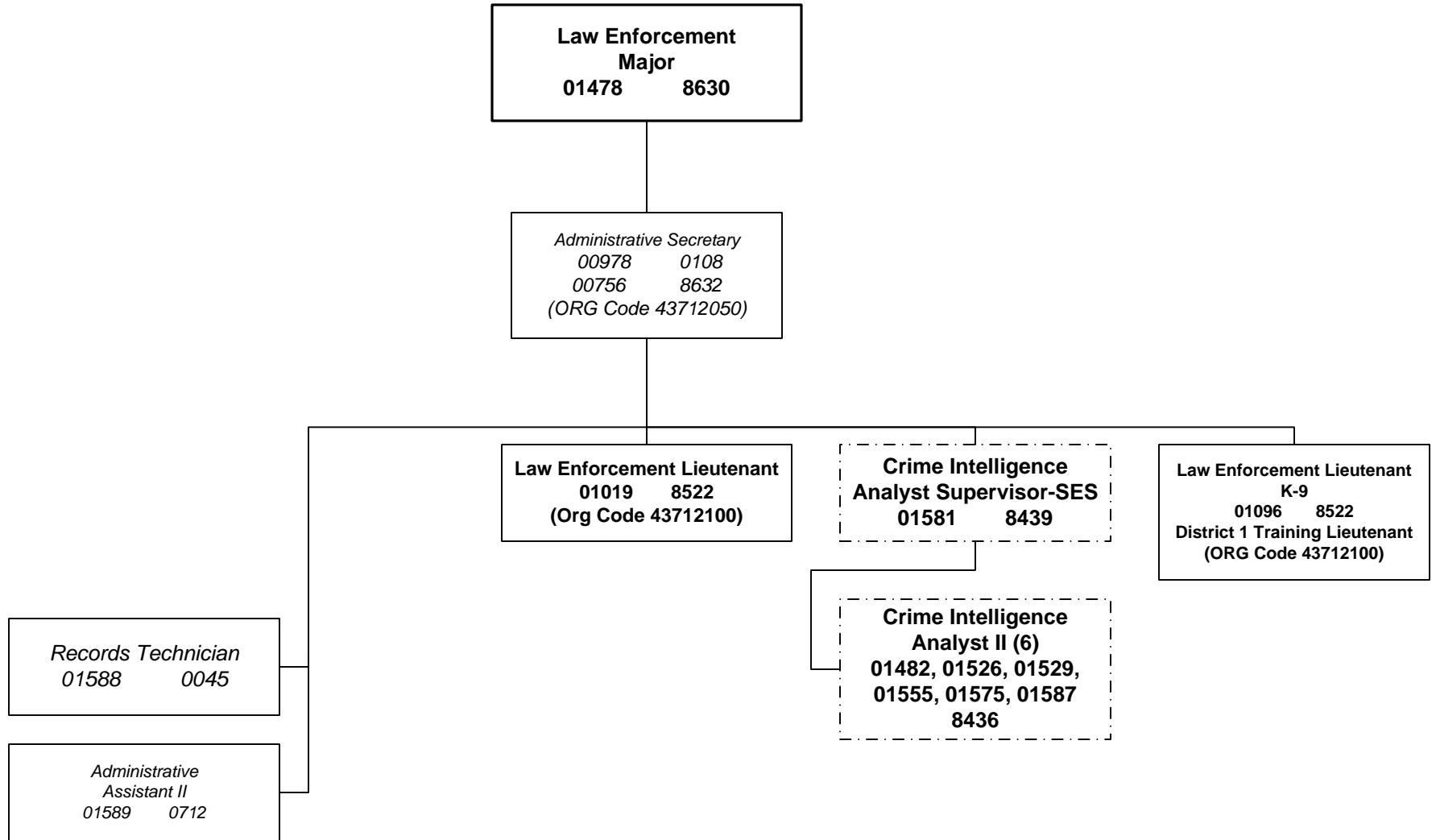
Eff 07-1-11
Rev 07-1-11

5-1-3

**Department of Financial Services
 Division of State Fire Marshal
 Bureau of Fire & Arson Investigations
 Office of the Chief**



**Department of Financial Services
 Division of State Fire Marshal
 Office of the Chief
 Administration, Support Services and Special Operations**

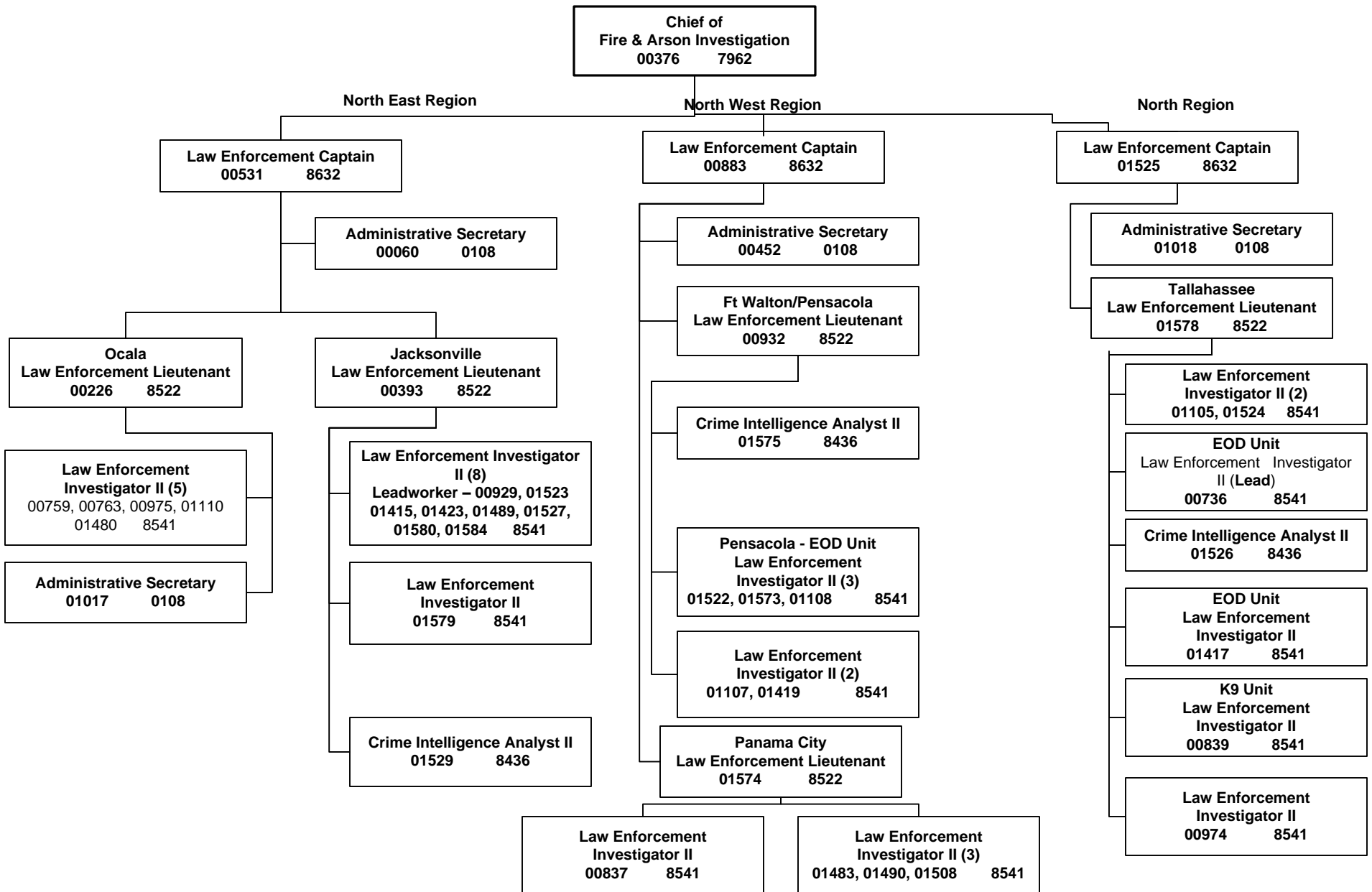


Total FTE: 8

❖ FTE not Included in this Section
 Dotted Line = Administratively Assigned. FTE not counted.
 Italic = Organizationally Assigned. Reports elsewhere administratively. FTE counted.

Eff 05-01-2013
 Rev 04-18-13

**Department of Financial Services
Division of State Fire Marshal
Bureau of Fire & Arson Investigation
District 1**

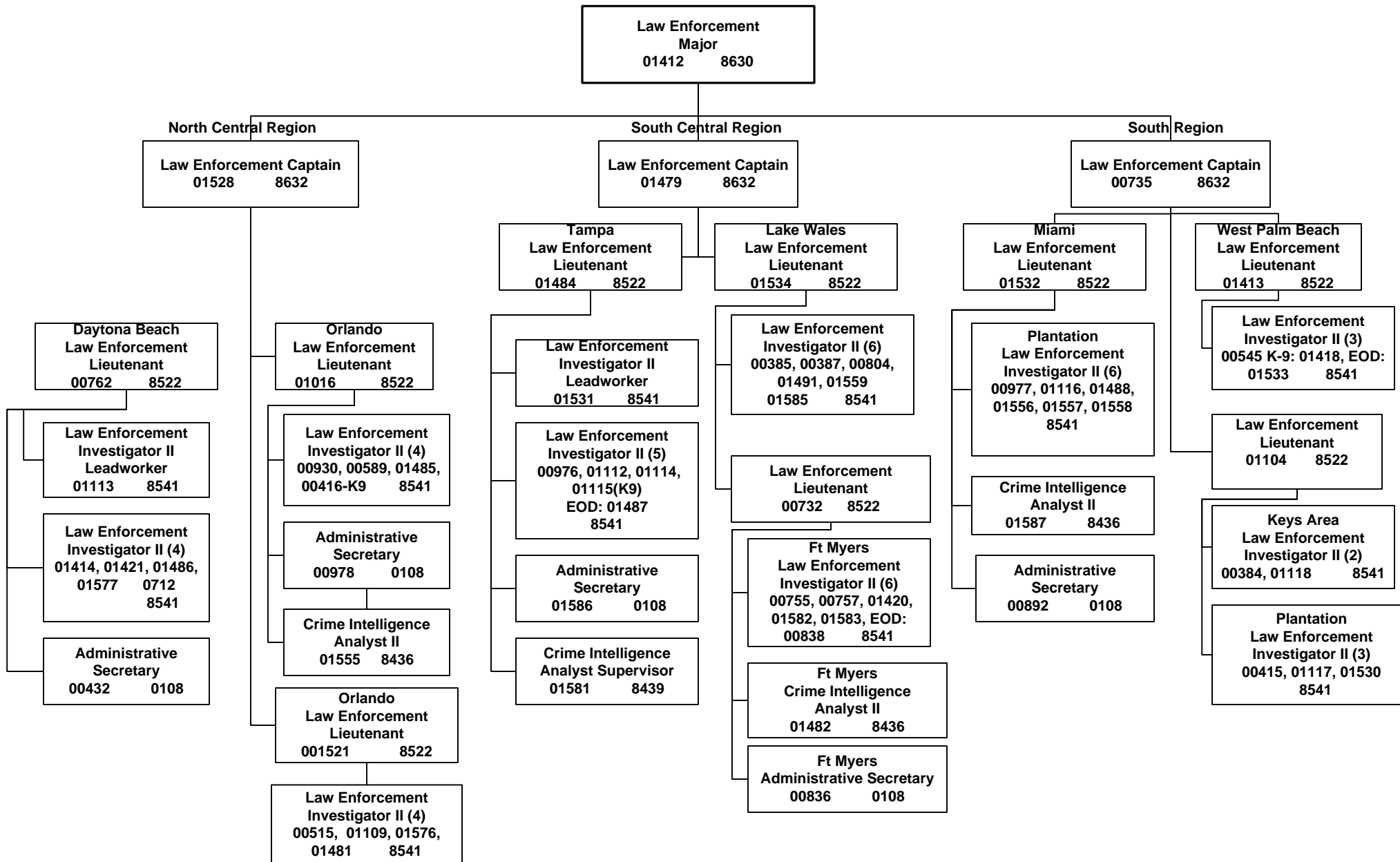


Total FTE: 47

❖ FTE not Included in this Section
 Dotted Line = Administratively Assigned. FTE not counted.
 Italic = Organizationally Assigned. Reports elsewhere administratively. FTE counted.

Eff 07-01-2013
 Rev 07-15-2013

**Department of Financial Services
Division of State Fire Marshal
Bureau of Fire & Arson Investigations
District 2**

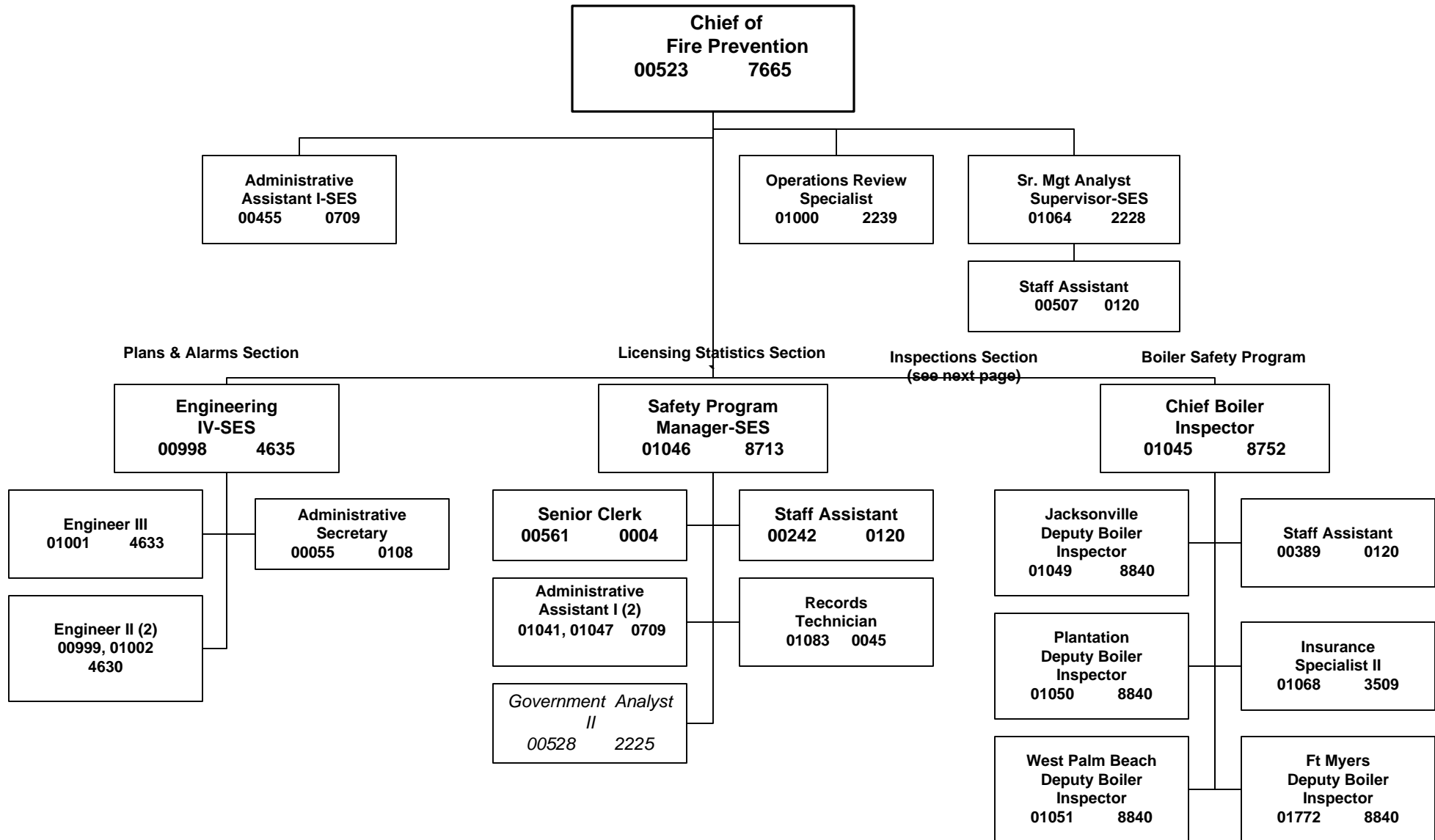


Total FTE: 66

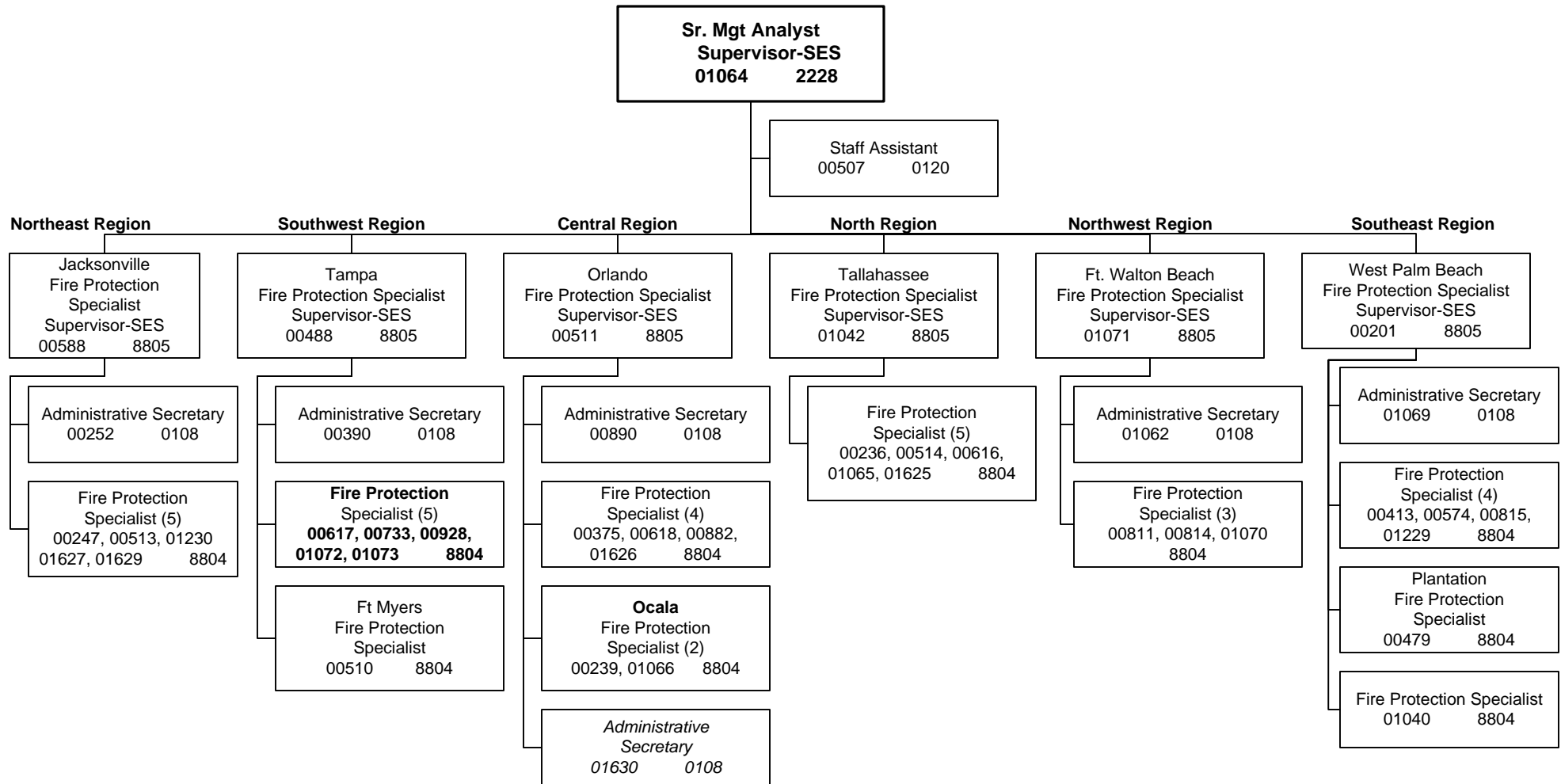
❖ FTE not Included in this Section
Dotted Line = Administratively Assigned. FTE not counted.
Italic = Organizationally Assigned. Reports elsewhere administratively. FTE counted.

Eff 08-15-2013
Rev 08-14-2013

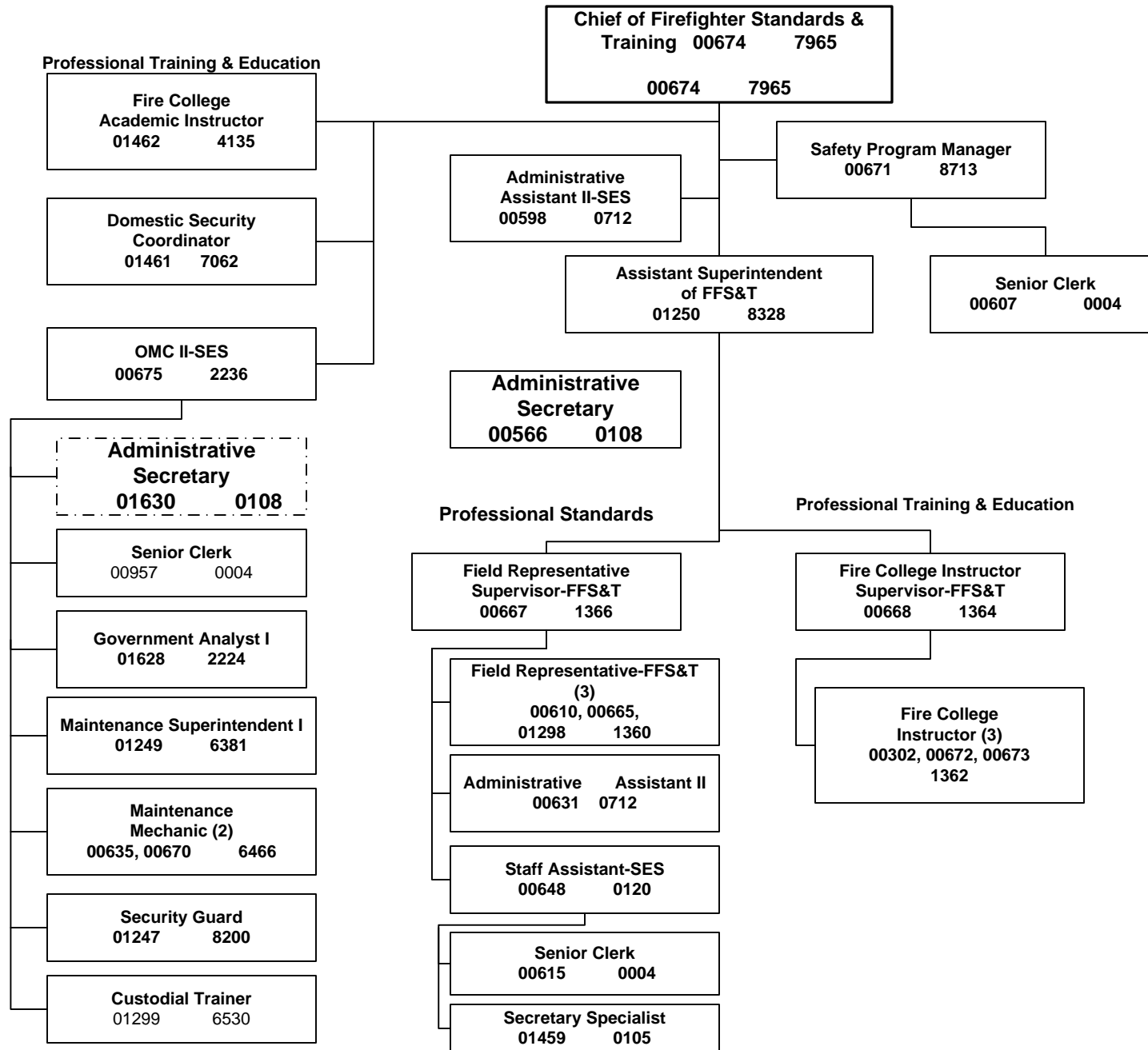
**Department of Financial Services
Division of State Fire Marshal
Bureau of Fire Prevention
Office of the Chief**



**Department of Financial Services
Division of State Fire Marshal
Bureau of Fire Prevention
Inspections Section**



**Department of Financial Services
Division of State Fire Marshal
Bureau of Fire Fighter Standards & Training**



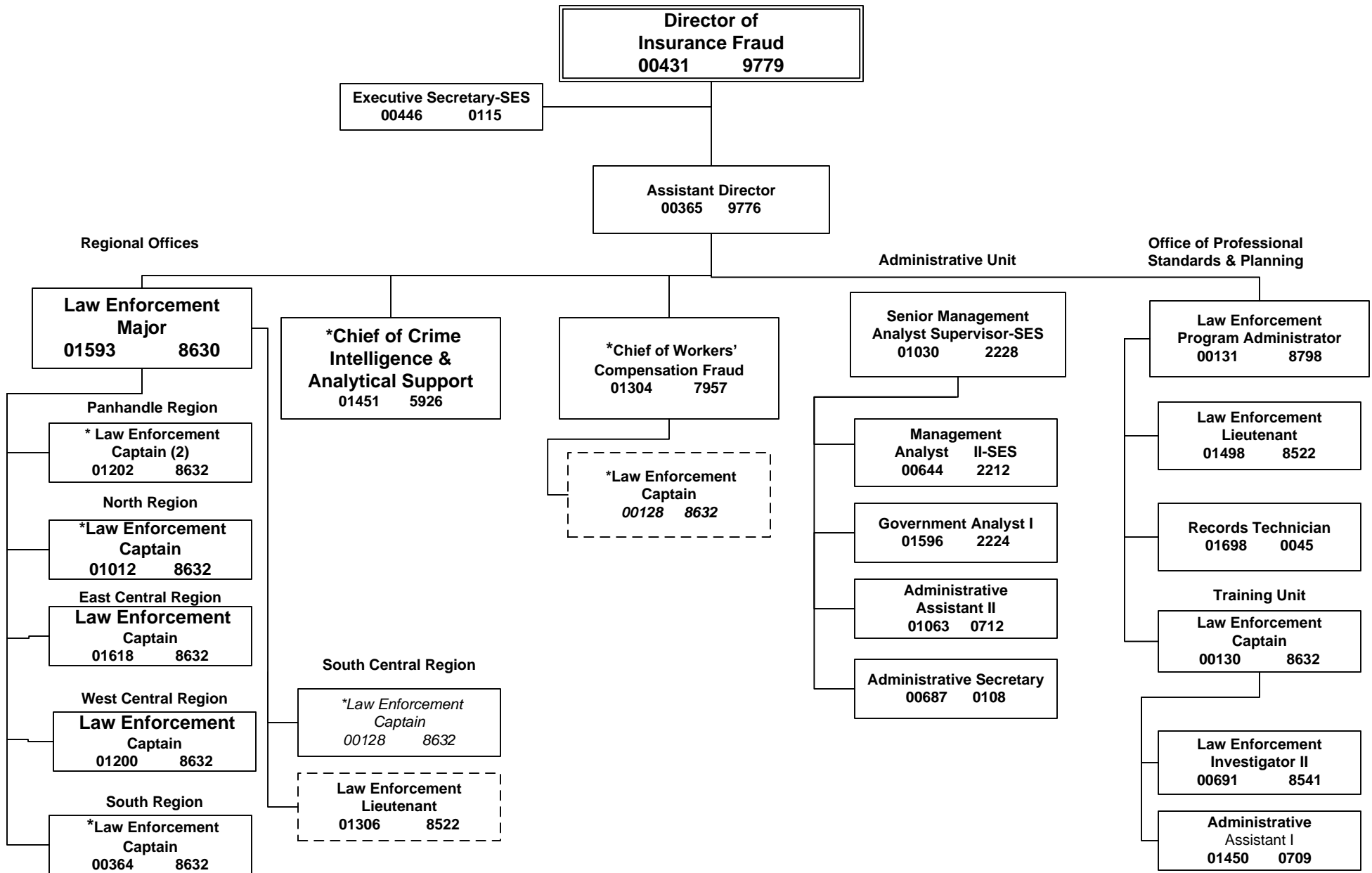
Total FTE: 29

❖ FTE not Included in this Section
Dotted Line = Administratively Assigned. FTE not counted.
Italic = Organizationally Assigned. Reports elsewhere administratively. FTE counted.

Eff 07-01-2013
Rev 07-11-2013

5-1-10

**Department of Financial Services
Division of Insurance Fraud
Office of the Director**



Division Total FTE = 186
Director's Office = 19

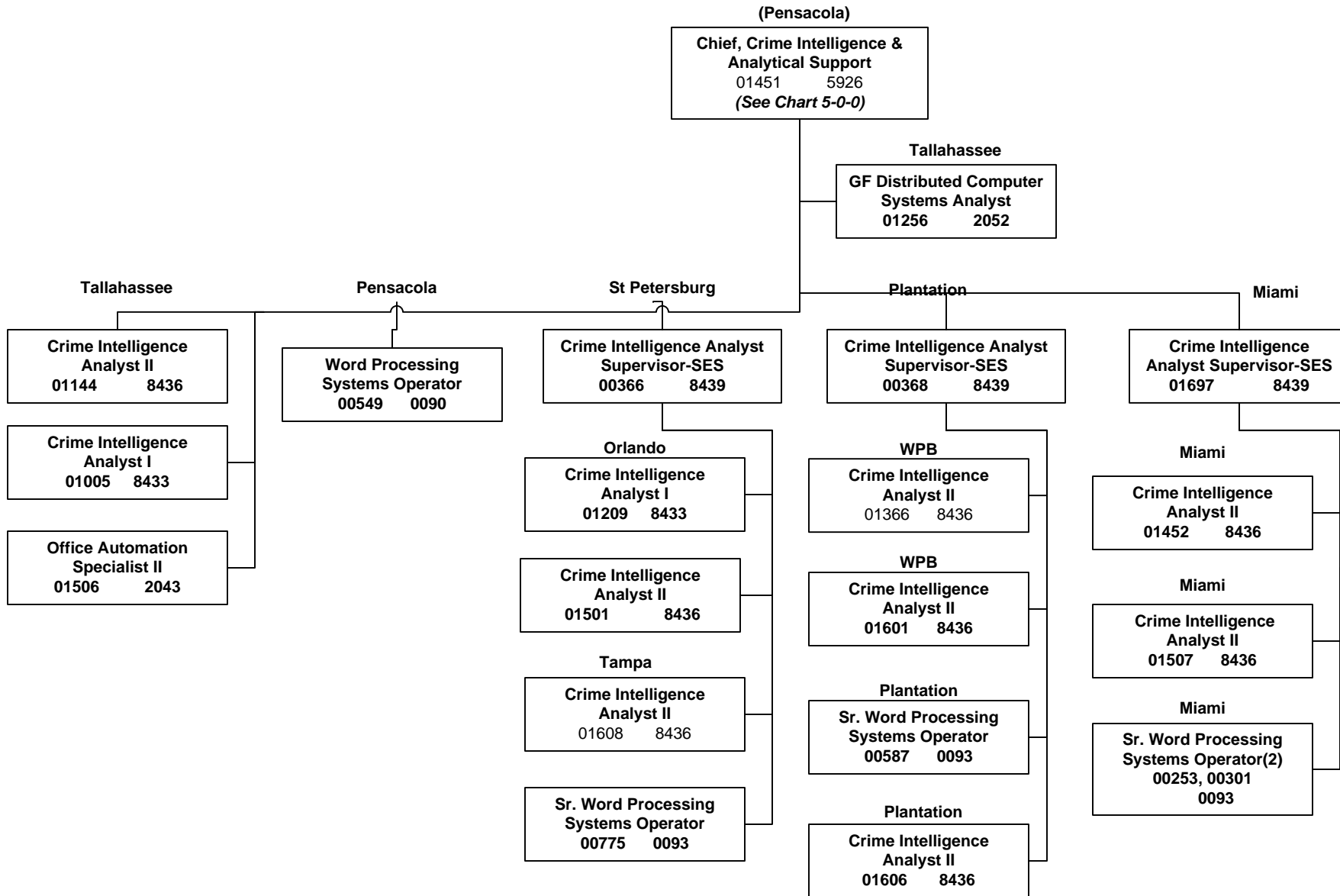
* FTE not Included in this Section

** Dotted Line/Red = Administratively Assigned. FTE not counted.

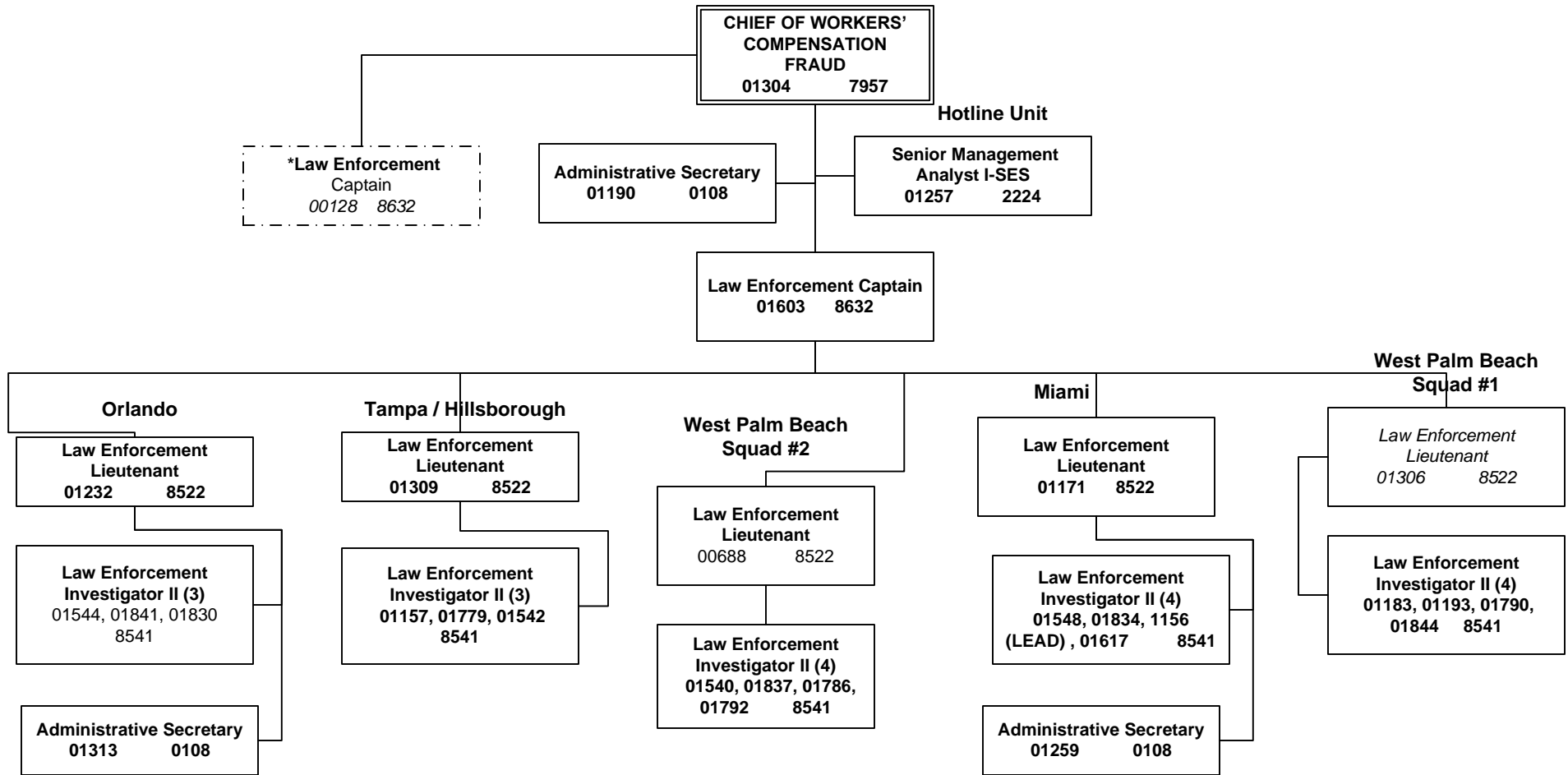
Italic = Organizationally Assigned. Reports elsewhere administratively. FTE counted.

Eff 07-02-2013
Rev 07-01-2013

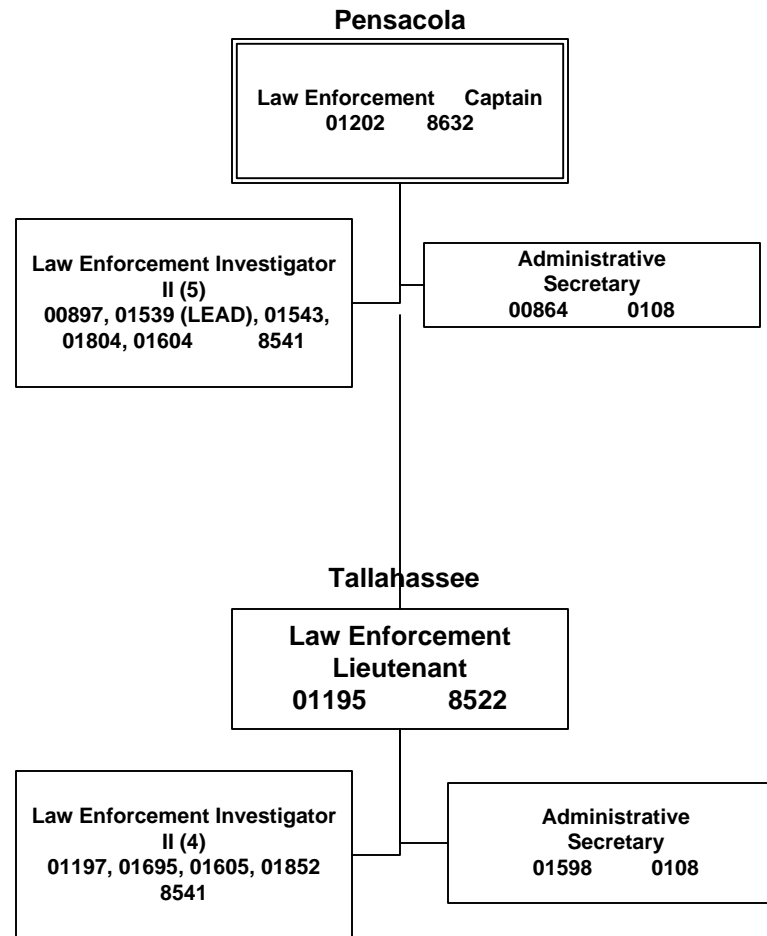
**Department of Financial Services
Division of Insurance Fraud
Bureau of Crime Intelligence & Analytical Support**



**Department of Financial Services
Division of Insurance Fraud
Bureau of Workers' Compensation Fraud**

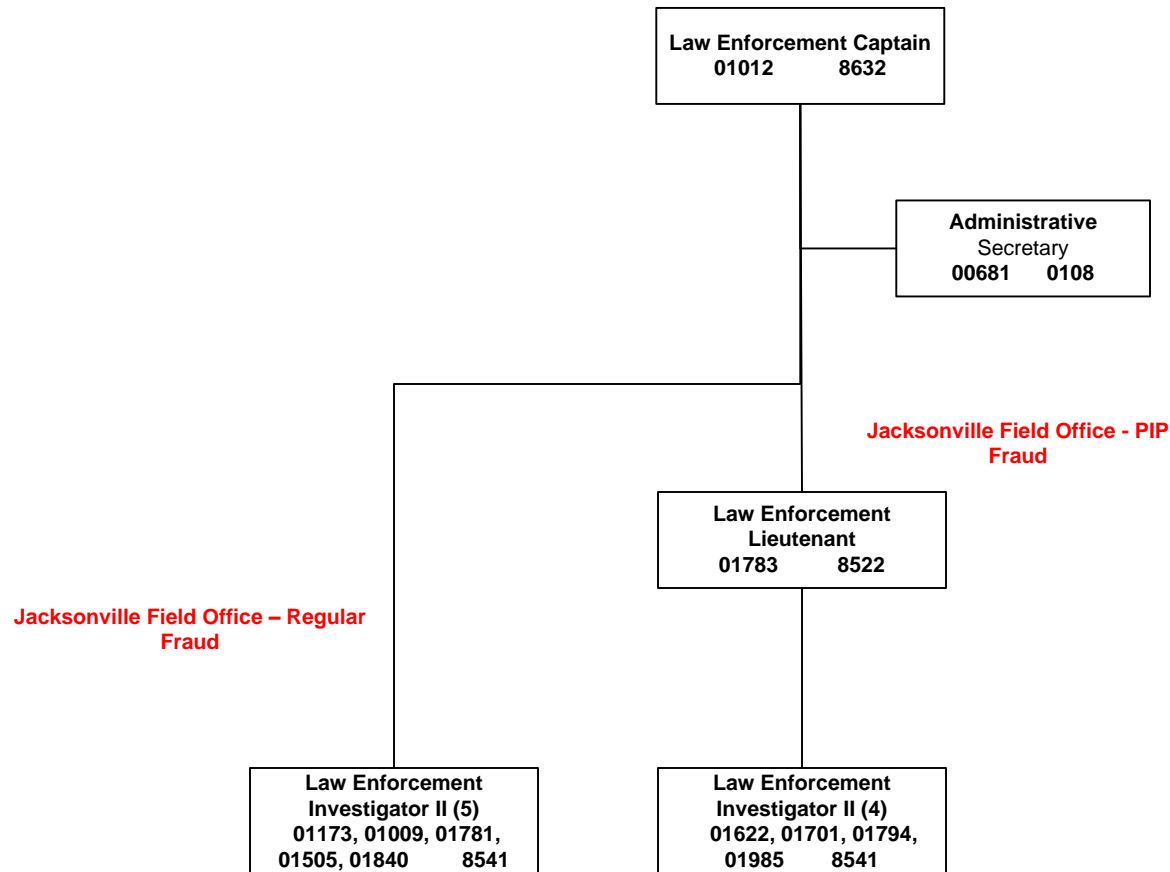


**Department of Financial Services
Division of Insurance Fraud
Panhandle Region**

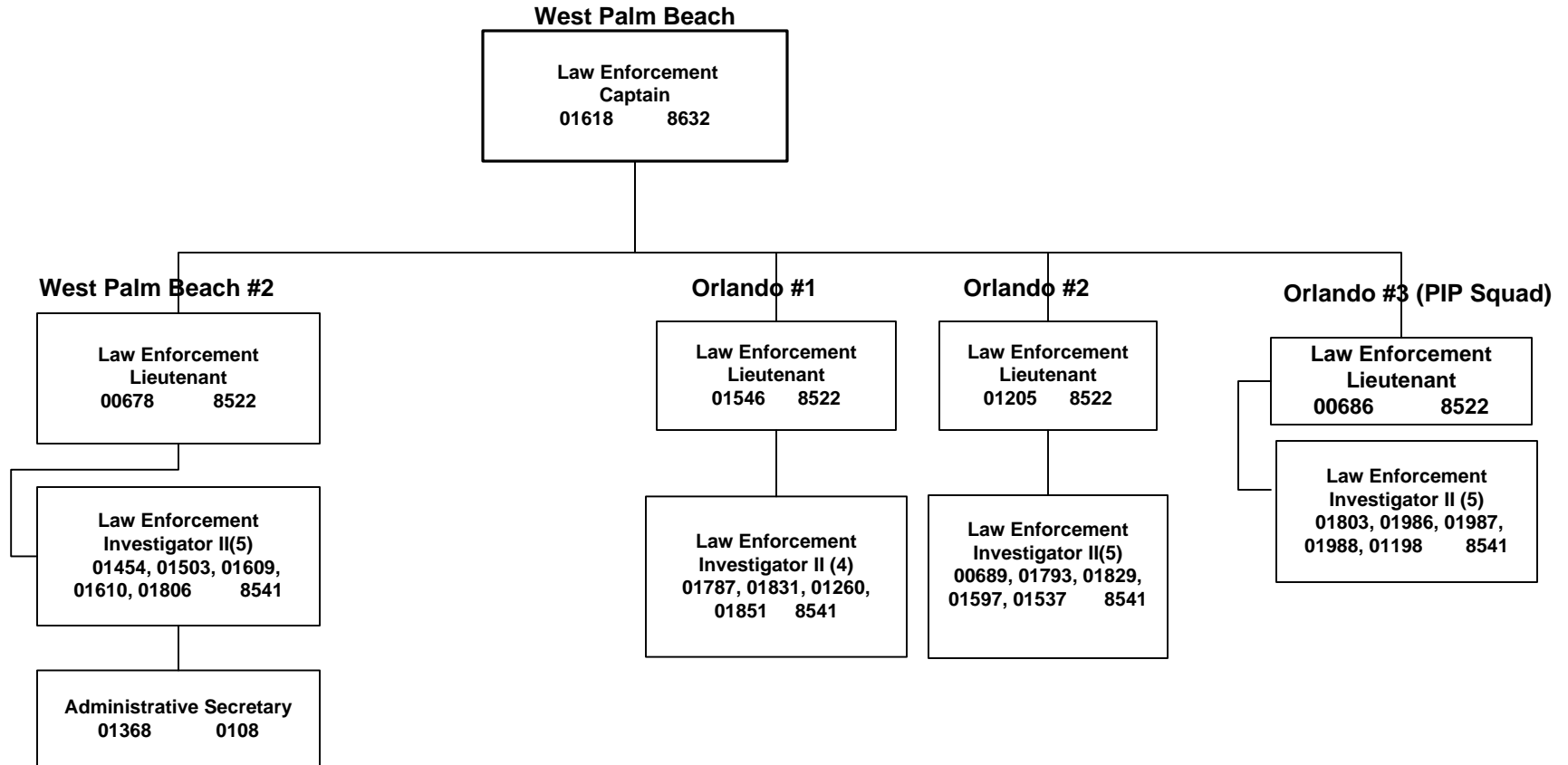


Department of Financial Services
Division of Insurance Fraud
North Region
Jacksonville – Ins Fraud

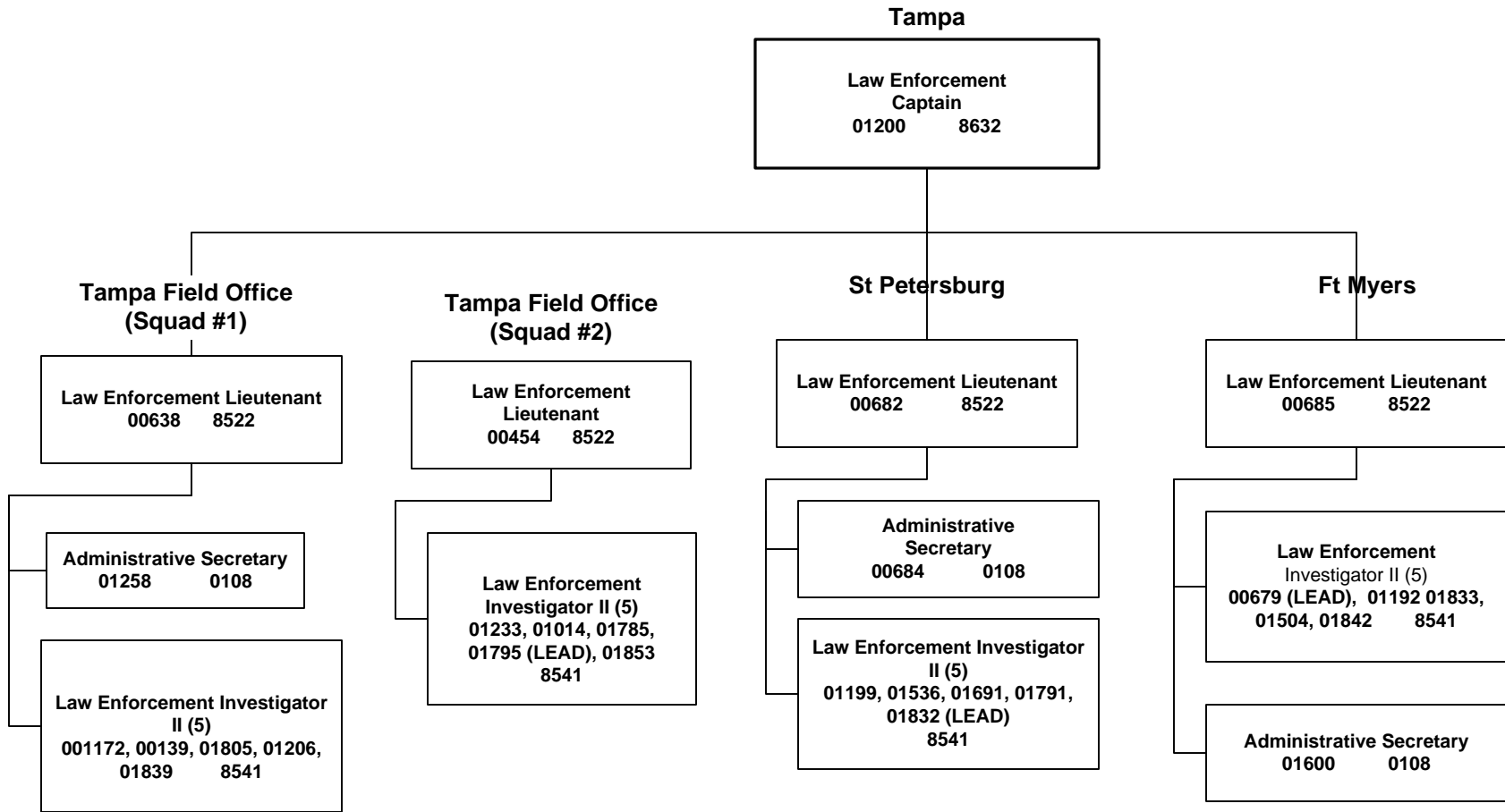
PROPOSED, pending
reorg approval



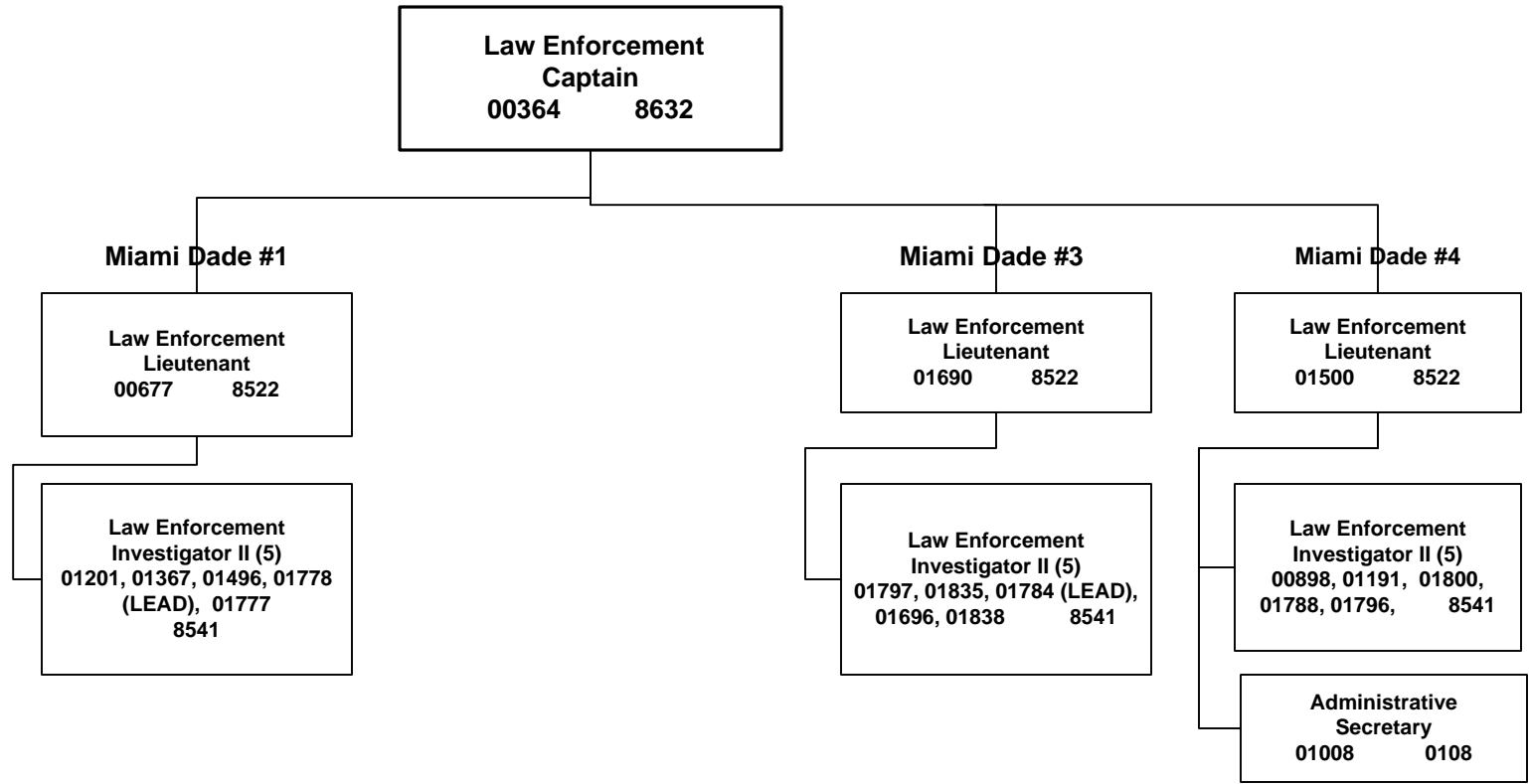
**Department of Financial Services
Division Insurance of Fraud
East Central Region**



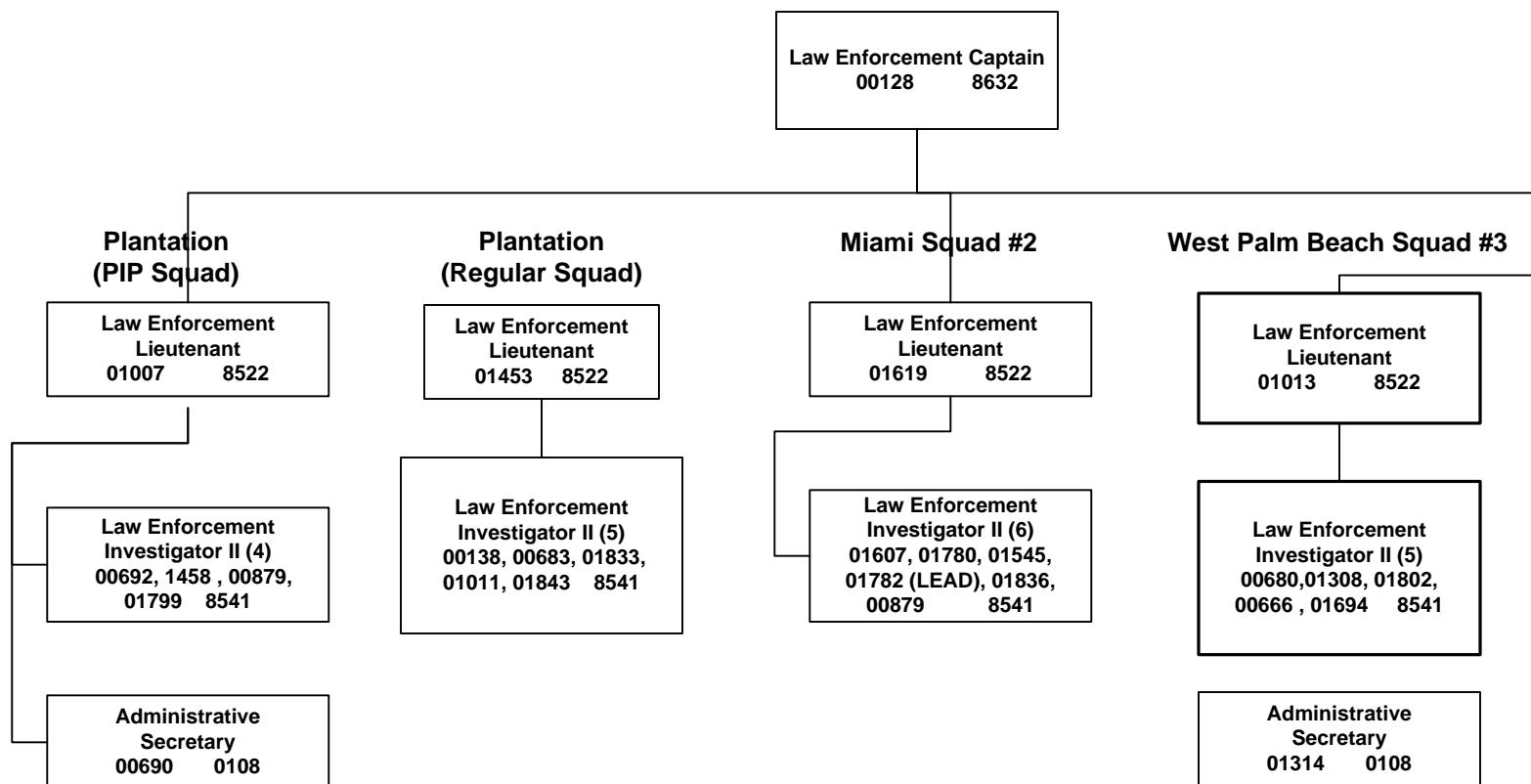
**Department of Financial Services
Division of Insurance Fraud
West Central Region**



**Department of Financial Service
Division of Insurance Fraud
South Region**

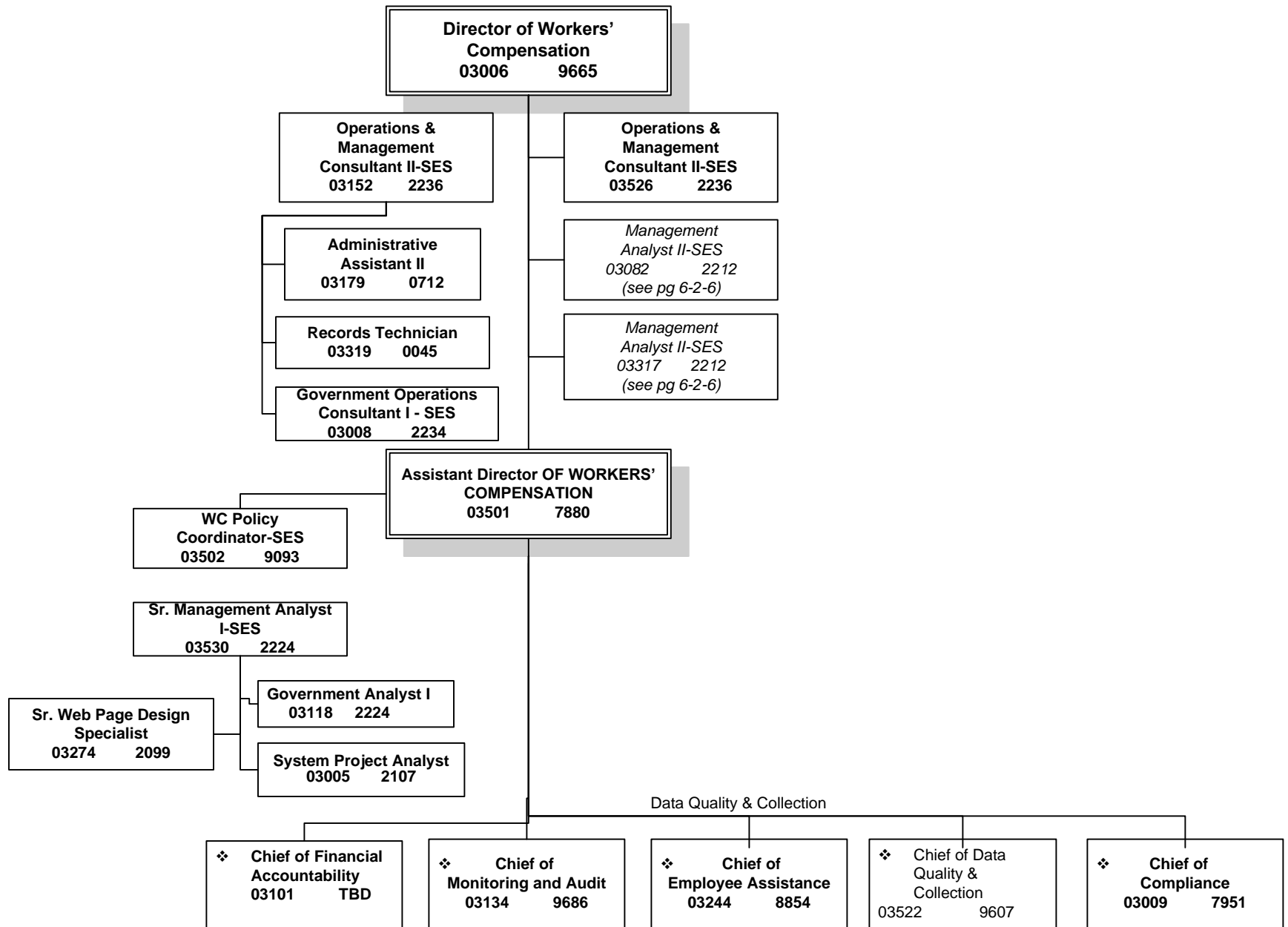


**Department of Financial Service
Division of Insurance Fraud
South Central Region**



Department of Financial Services

Division of Workers' Compensation

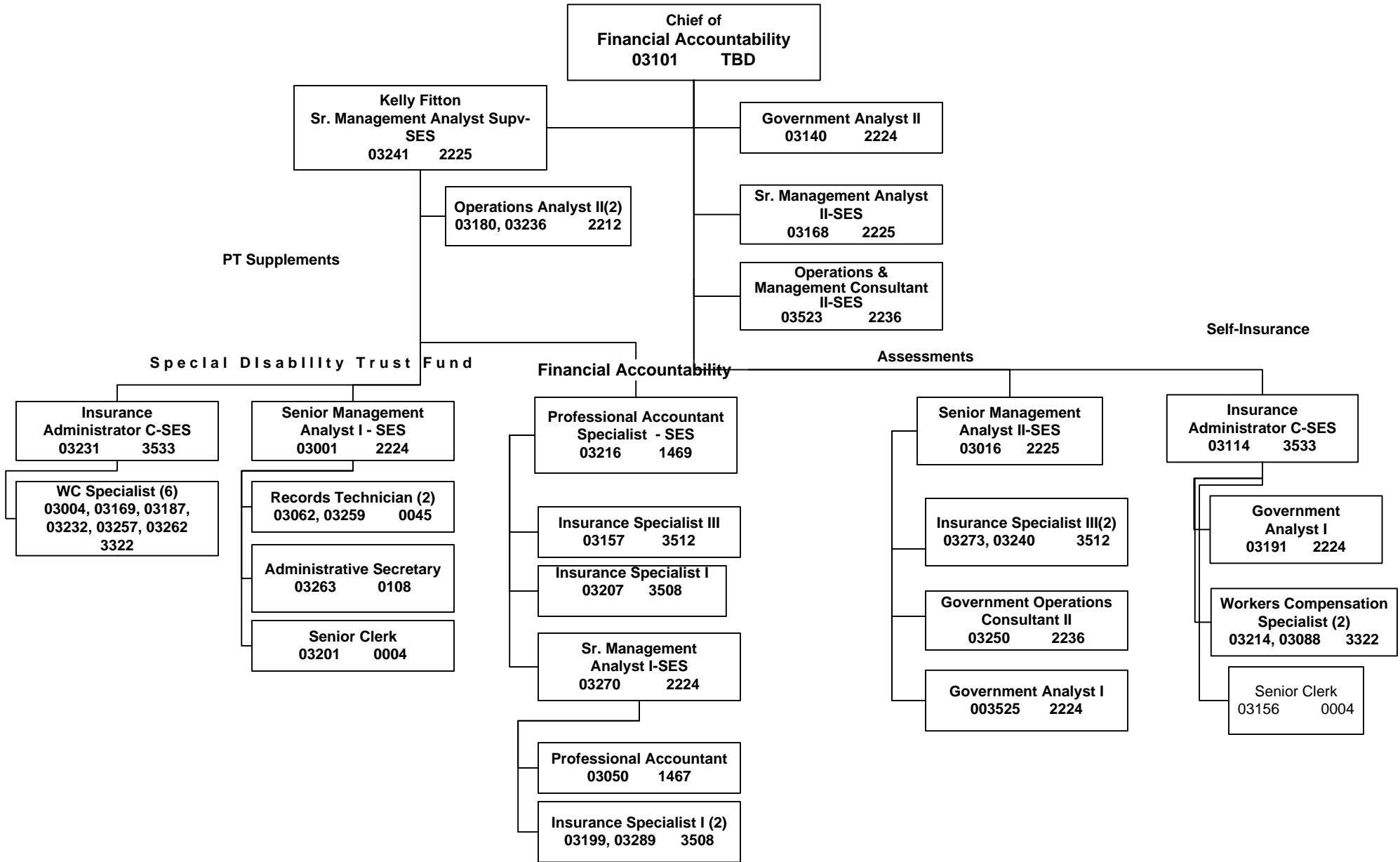


Division Total FTE: 354
 Director Office Total FTE: 13

❖ FTE not Included in this Section
 Dotted Line = Administratively Assigned. FTE not counted.
 Italic = Organizationally Assigned. Reports elsewhere administratively. FTE counted.

Eff 08/01/2013
 Rev 08/14/2013

**Department of Financial Services
Division of Workers' Compensation
Bureau of Financial Accountability**

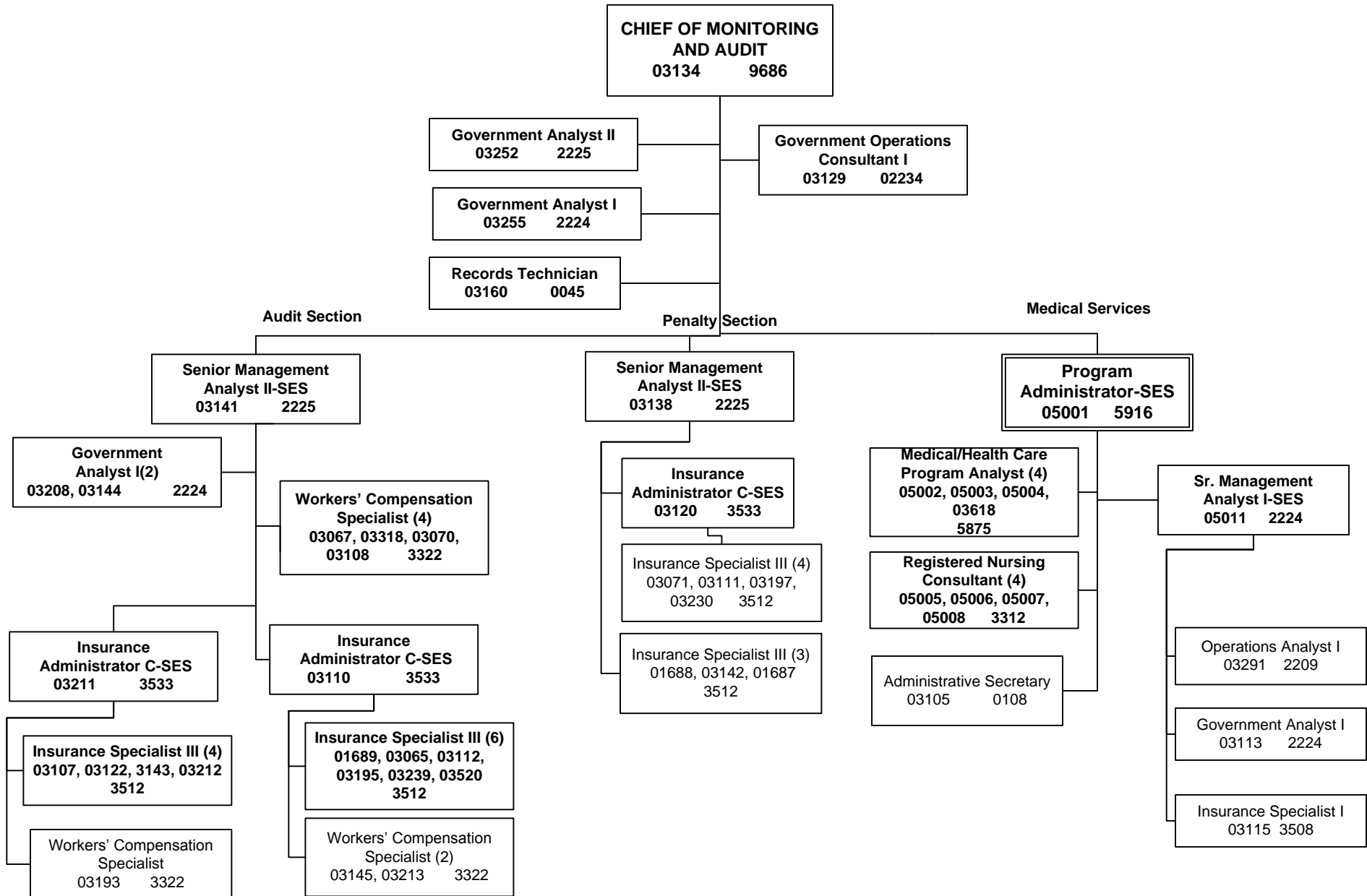


Total FTE: 34

❖ FTE not Included in this Section
 Dotted Line = Administratively Assigned. FTE not counted.
 Italic = Organizationally Assigned. Reports elsewhere administratively. FTE counted.

Eff 01/24/2013
 Rev 01/22/2013

**Department of Financial Services
Division of Workers' Compensation
Bureau of Monitoring and Audit**

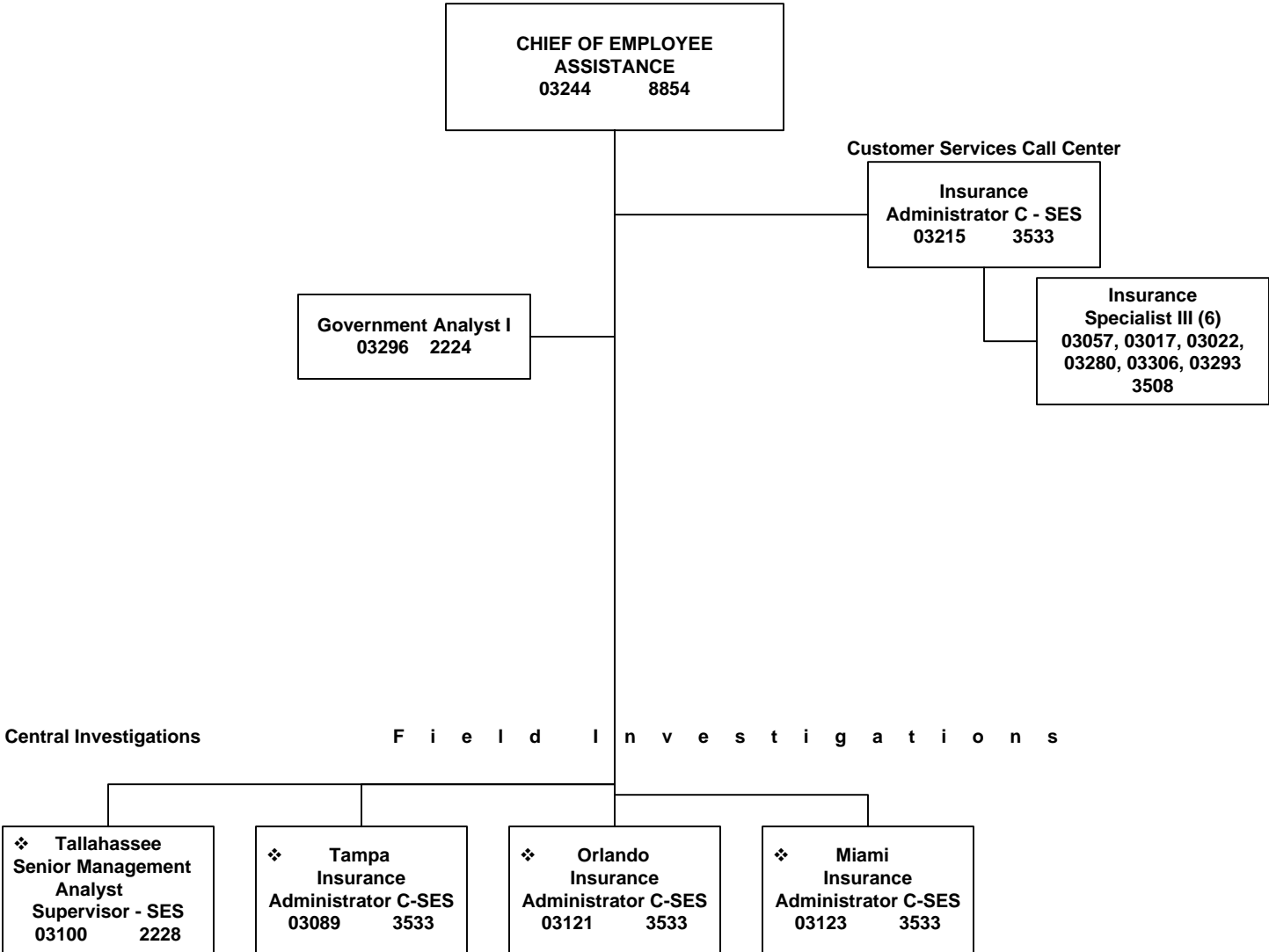


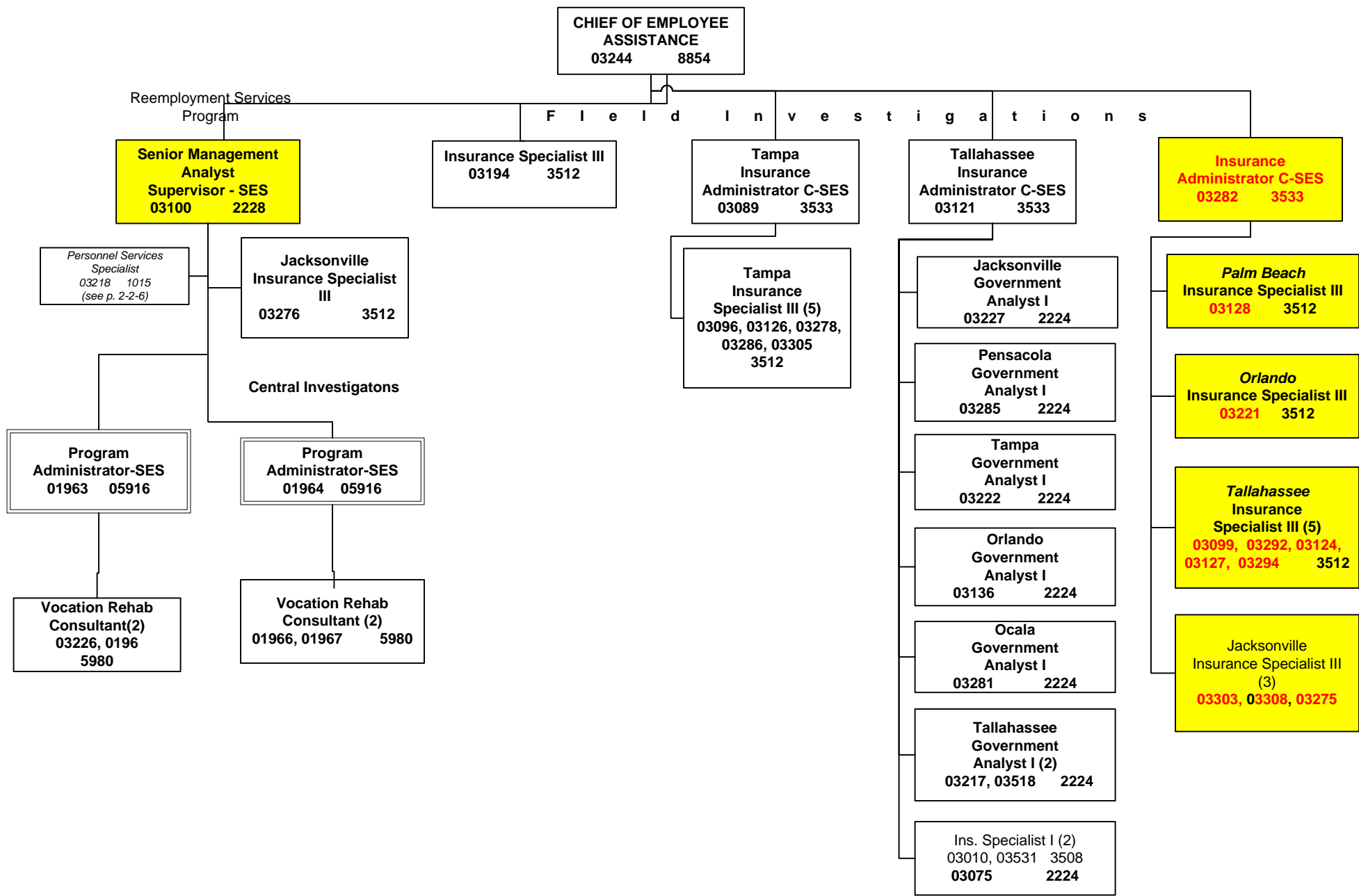
Bureau Total FTE: 50

❖ FTE not Included in this Section
Dotted Line = Administratively Assigned. FTE not counted.
Italic = Organizationally Assigned. Reports elsewhere administratively. FTE counted.

Eff 07/01/2013
Rev 8-7-13

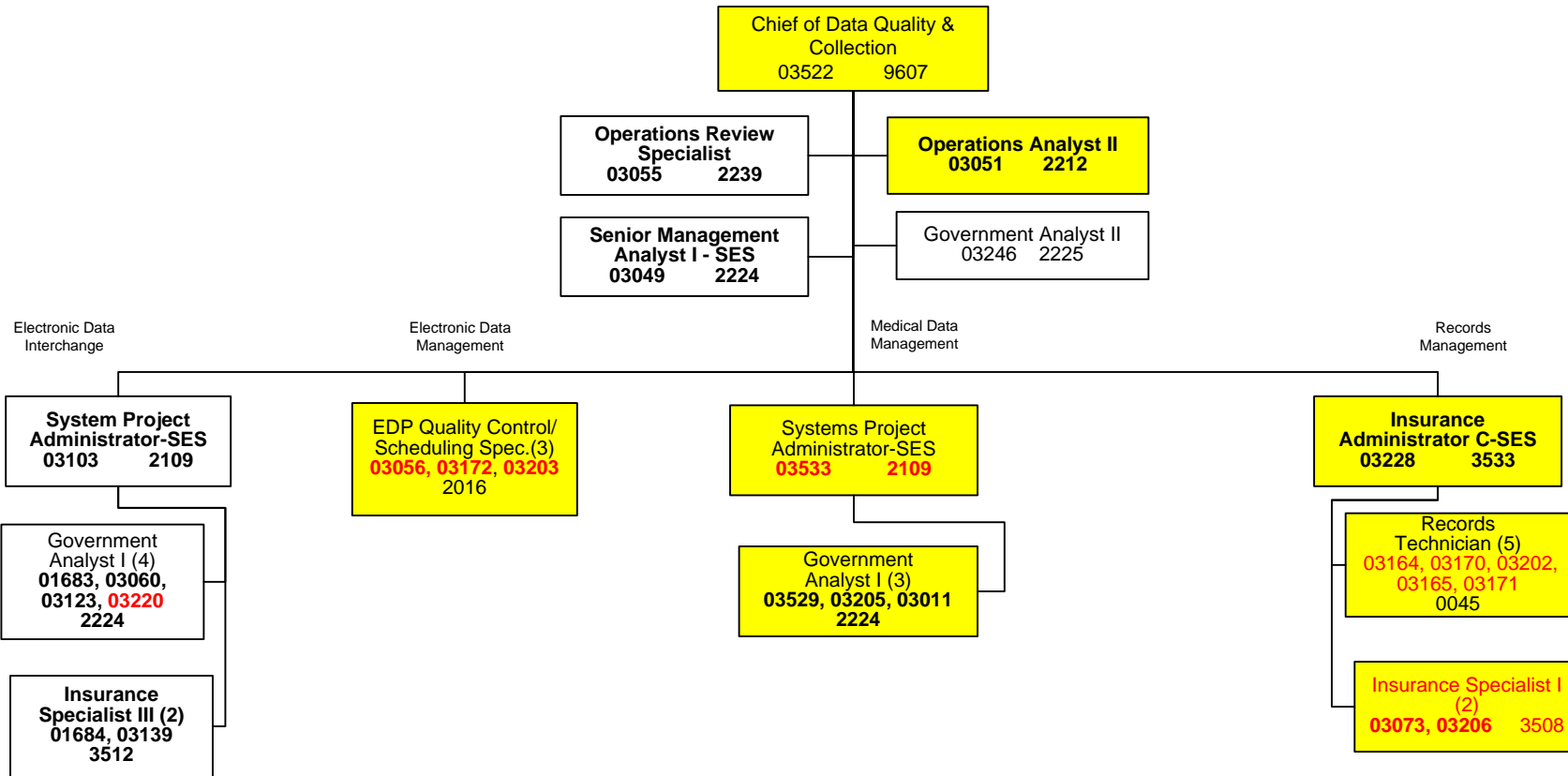
Department of Financial Services
 Division of Workers' Compensation
 Bureau of Employee Assistance



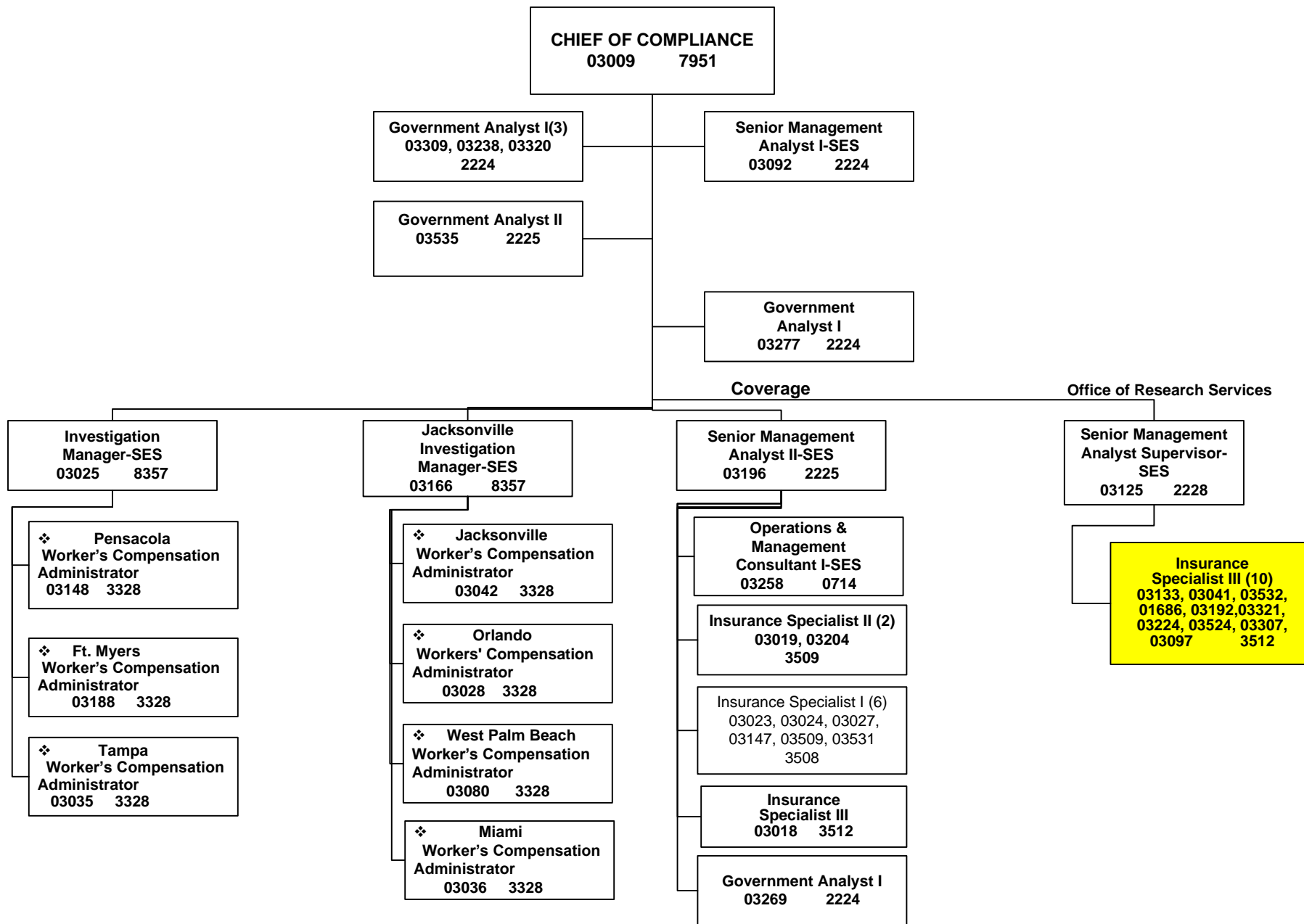


**Department of Financial Services (43)
 Division of Workers' Compensation (73)
 Office of Data Quality and Collection (40)**

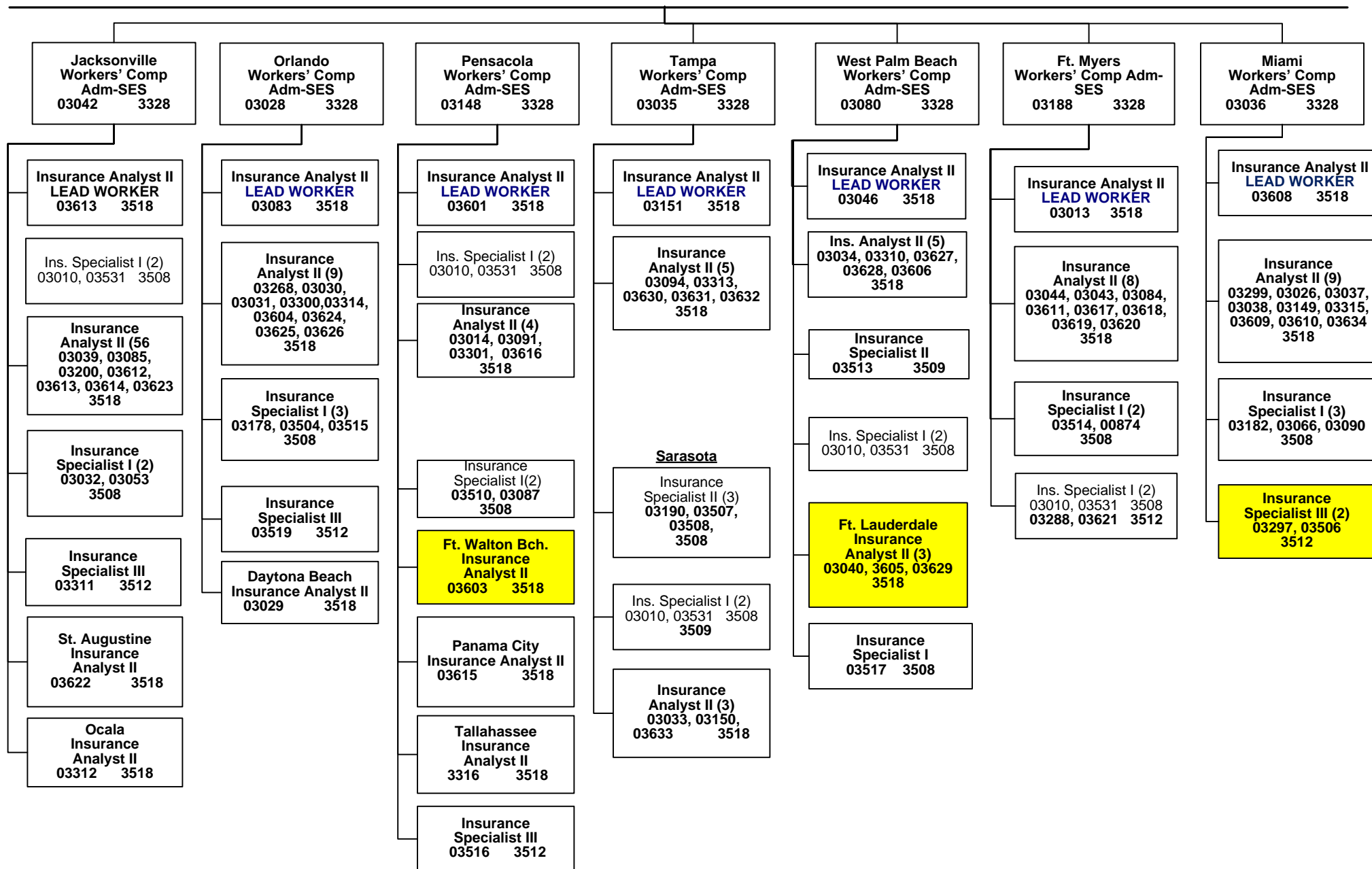
CURRENT



**Department of Financial Services
Division of Workers' Compensation
Bureau of Compliance**



Department of Financial Services Division of Workers' Compensation Bureau of Compliance

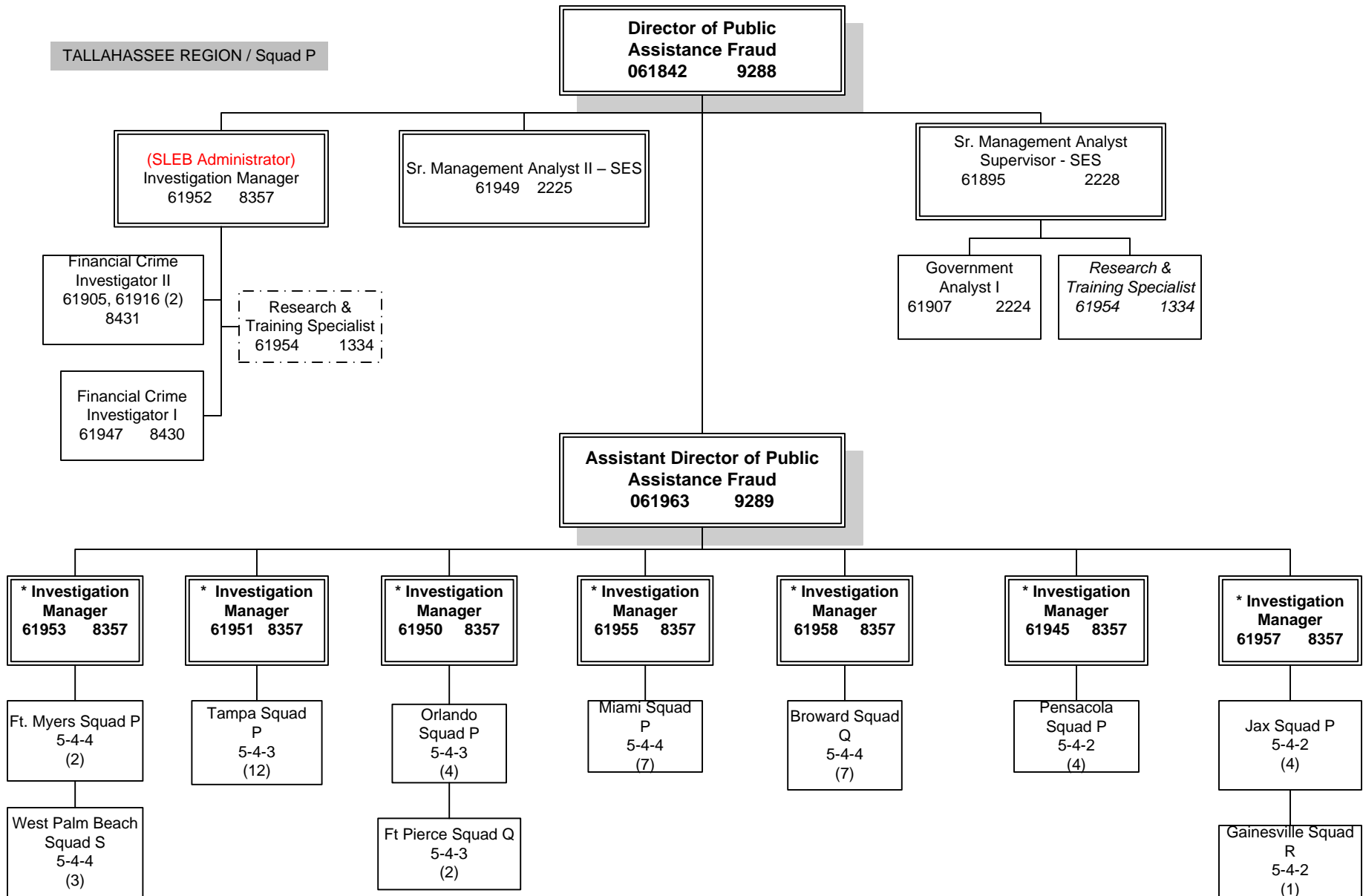


**Department of Financial Services
Division of Workers' Compensation
Office of Medical Services**

THE OFFICE OF MEDICAL SERVICE WAS MOVED TO MONITORING & AUDIT AS THE
MEDICAL SERVICES SECTION EFFECTIVE 2-1-12

We are requesting to move the Medical Services section located in the Division of Workers' Compensation, Director's Office to the Division of Workers' Compensation, Bureau of Monitoring & Audit. The Medical Services section, will be supervised by Position 43005001, Program Administrator - SES. No positions will be reclassified as a result of the re-organization request.

**Department of Financial Services
Division of Public Assistance Fraud
Office of the Director**



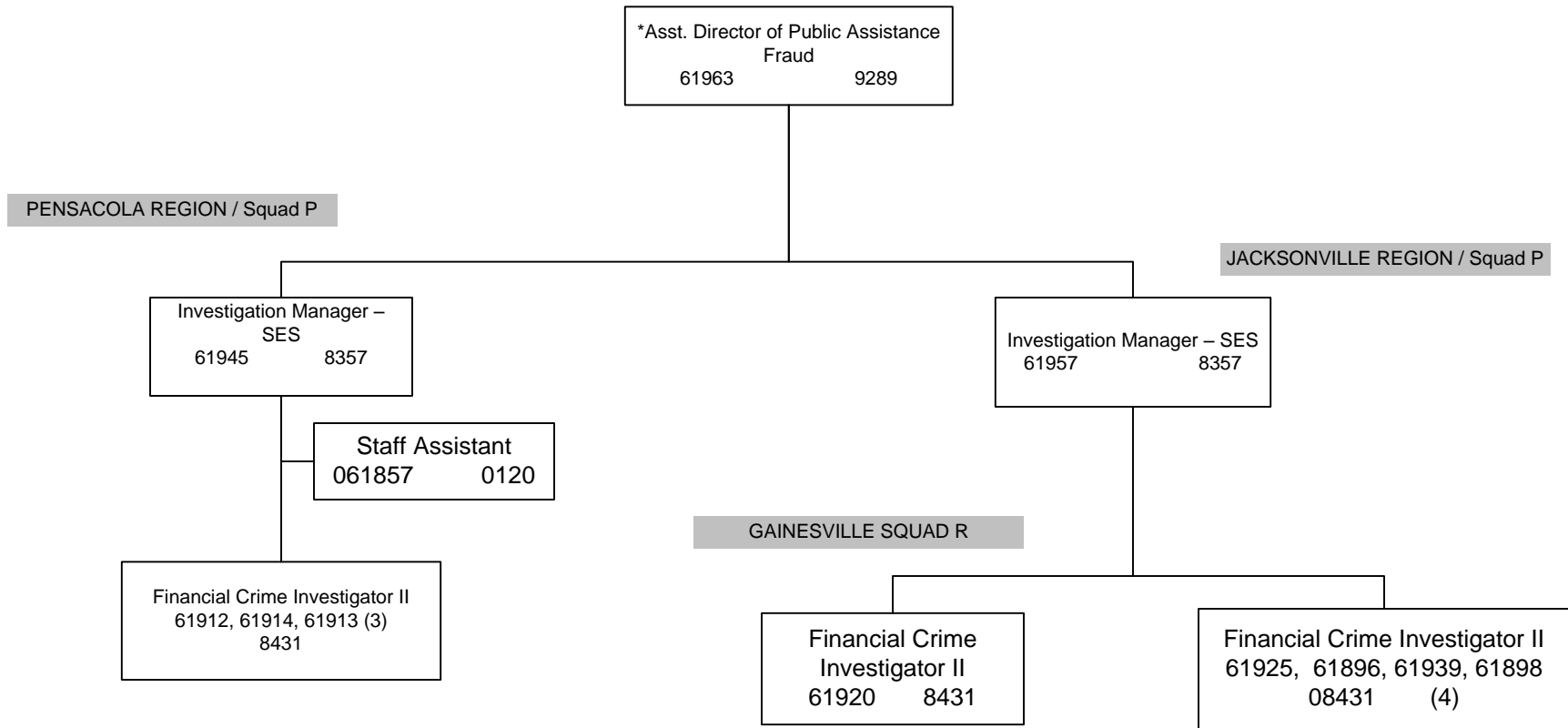
Division Total FTE: 63
Director Office Total FTE: 10

* FTE not Included in this Section
Dotted Line = Administratively Assigned. FTE not counted.
Italic = Organizationally Assigned. Reports elsewhere administratively. FTE counted.

Eff 07/01/2013
Rev 7/31/13

5-4-1

Department of Financial Services Division of Public Assistance Fraud North Region

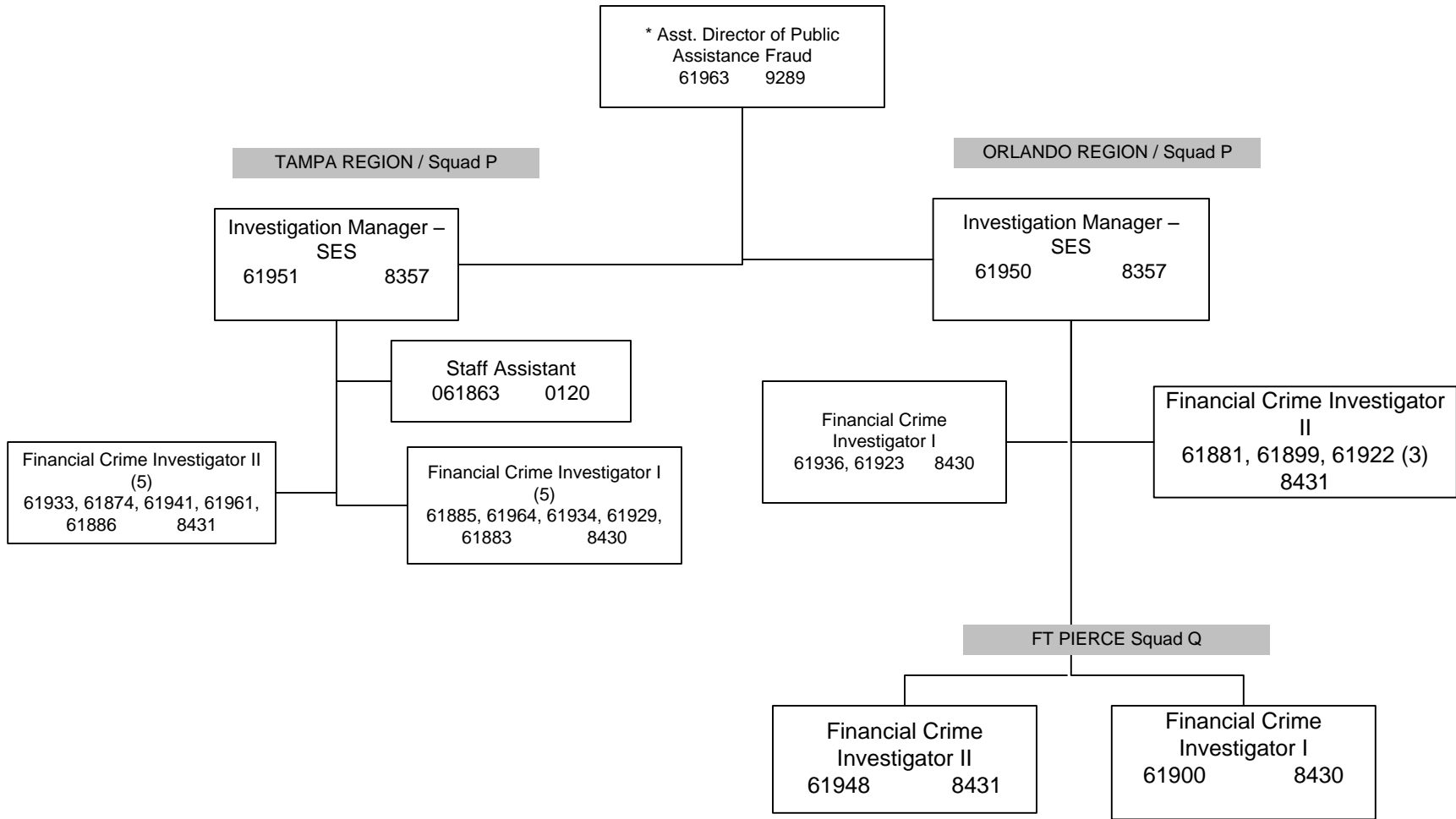


Total FTE: 11
 Pensacola: 5
 Jacksonville: 5
 Gainesville: 1

* FTE not Included in this Section
 Dotted Line = Administratively Assigned. FTE not counted.
 Italic = Organizationally Assigned. Reports elsewhere administratively. FTE counted.

Eff 12-1-12
 Rev 12-4-12

**Department of Financial Services
Division of Public Assistance Fraud
Central Region**

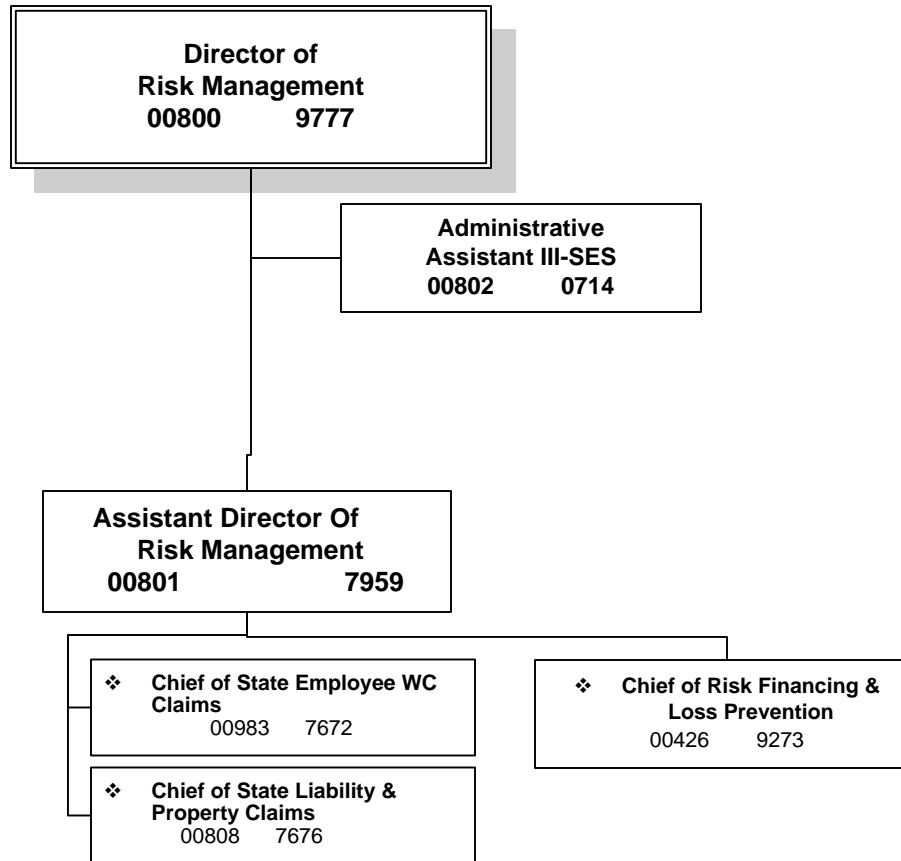


Total FTE: 20
 Tampa: 12
 Orlando: 6
 Ft. Pierce: 2

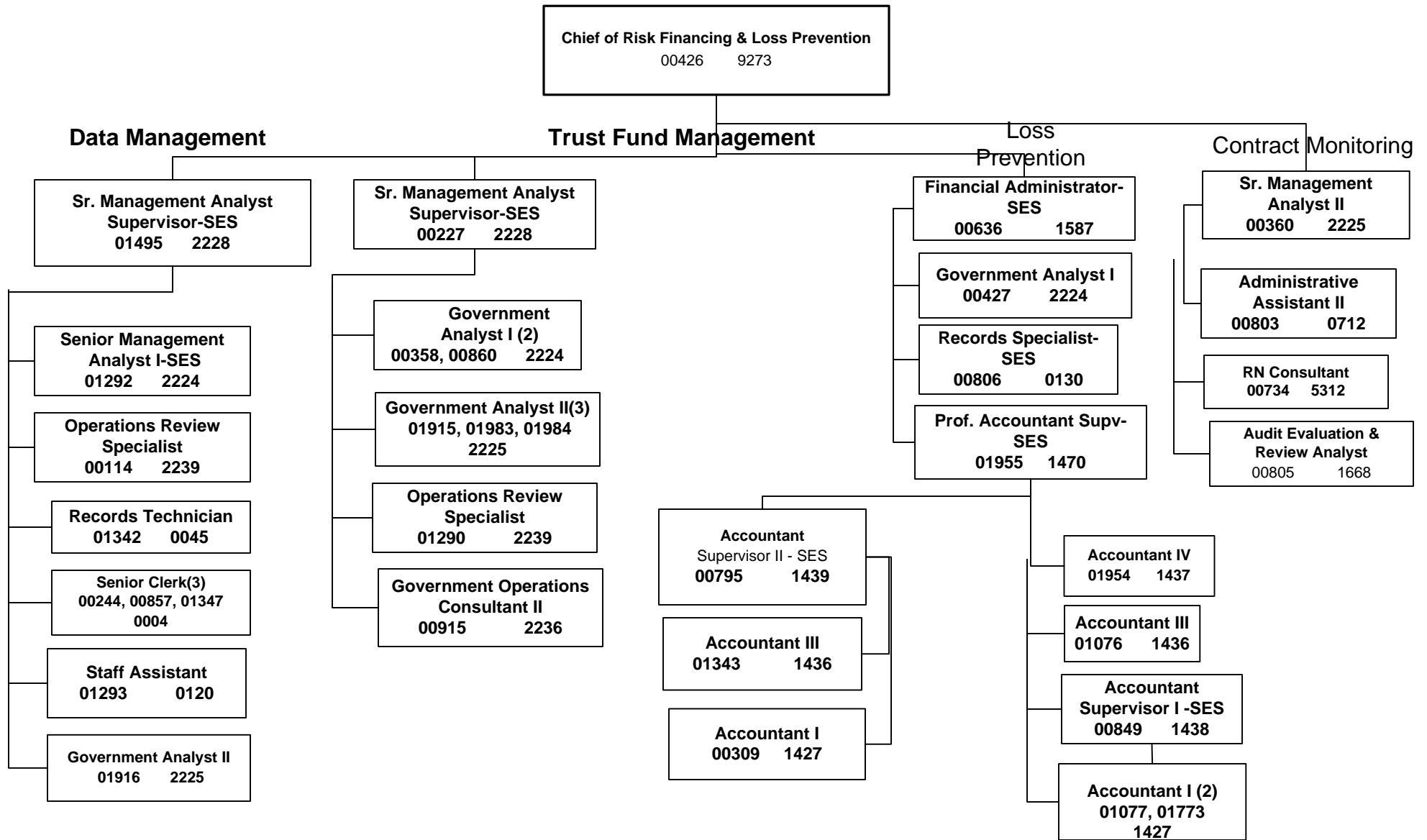
* FTE not Included in this Section
 Dotted Line = Administratively Assigned. FTE not counted.
 Italic = Organizationally Assigned. Reports elsewhere administratively. FTE counted.

Eff 7-1-13
 Rev 7-30-13

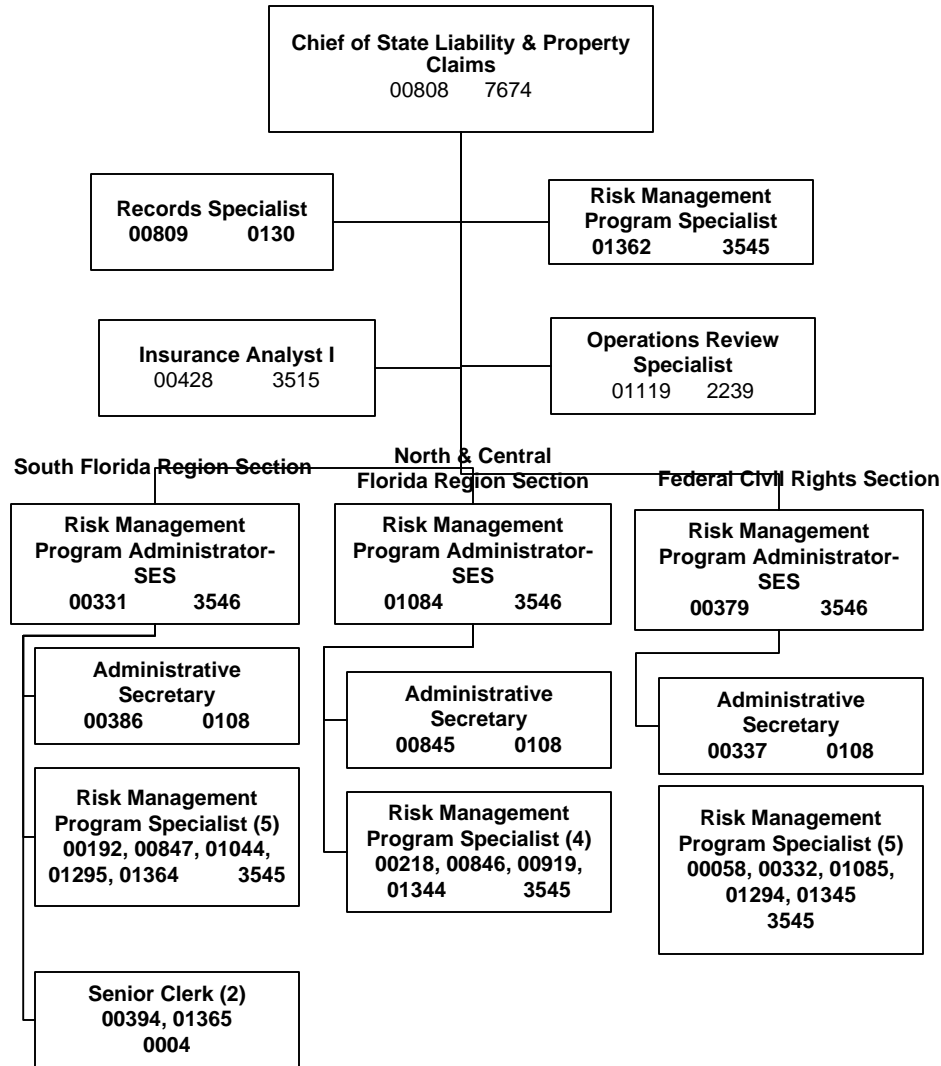
Department of Financial Services
Office of the Chief of Staff
Division of Risk Management
Office of the Director



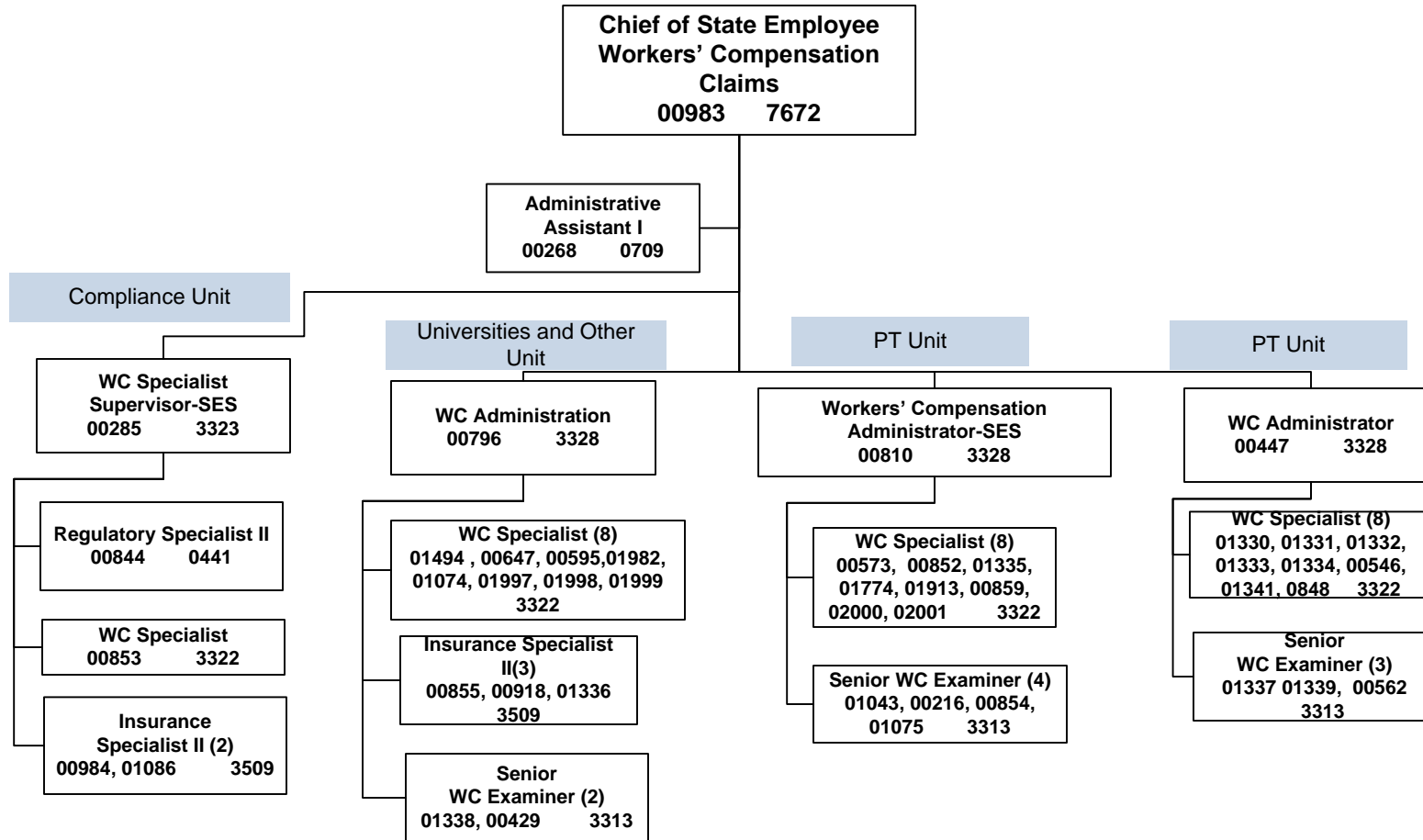
**Department of Financial Services
Division of Risk Management
Bureau of Risk Financing & Loss Prevention**



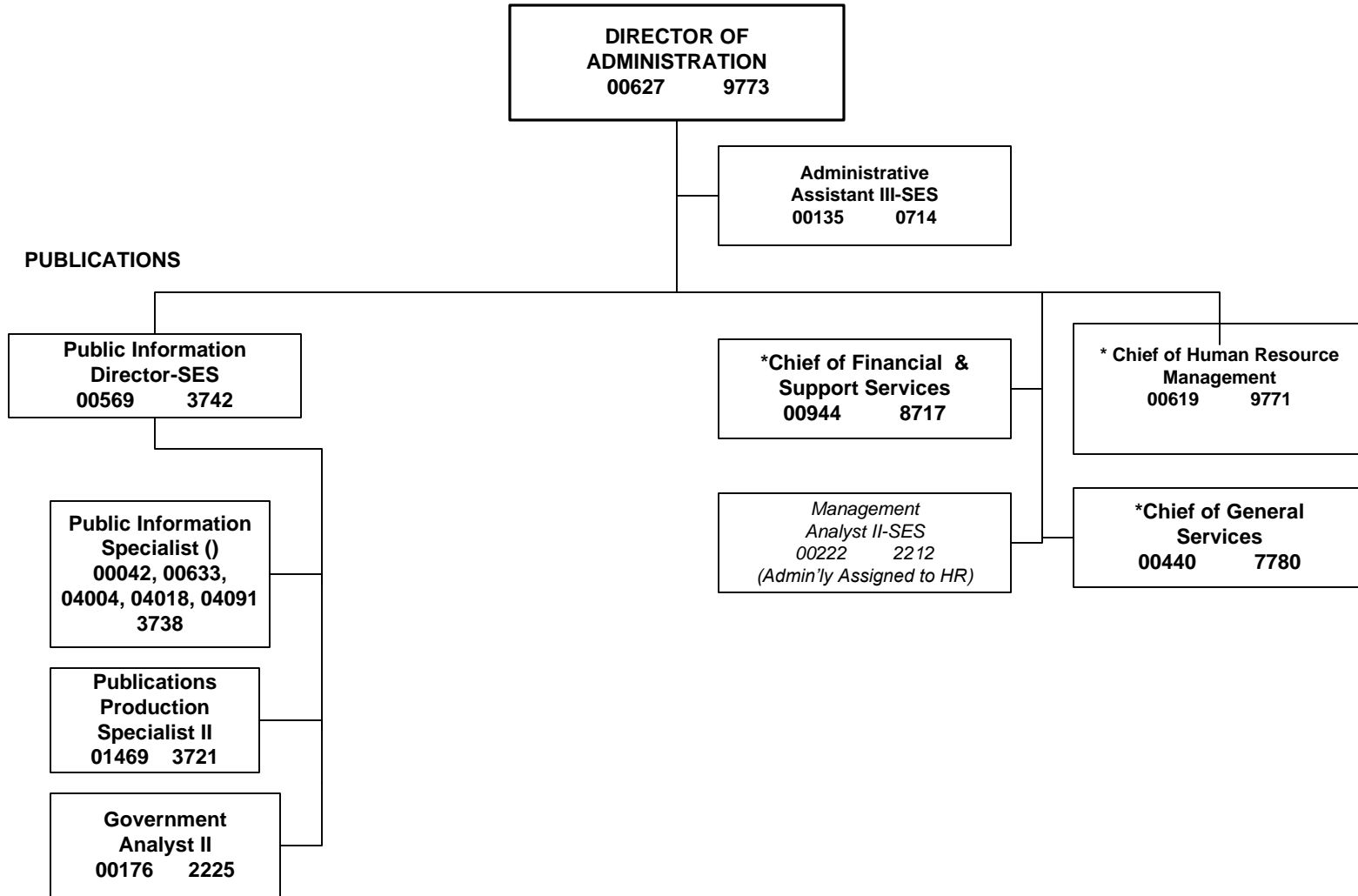
**Department of Financial Services
Division of Risk Management
Bureau of State Liability & Property Claims**



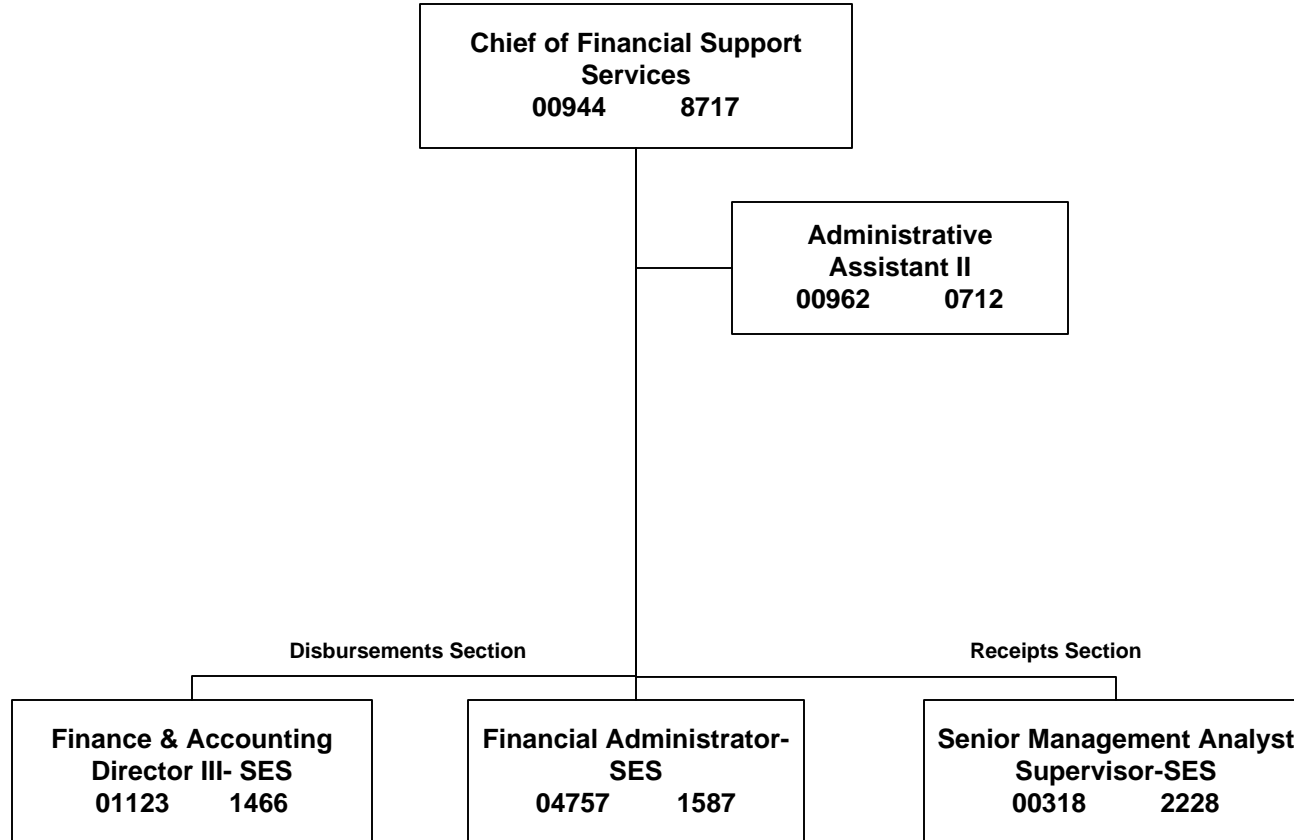
**Department of Financial Services
Division of Risk Management
Bureau of State Employee Workers' Compensation Claims**



**Department of Financial Services
Division of Administration
Office of the Director**



**Department of Financial Services
 Division of Administration
 Bureau of Financial & Support Services
 Office of the Chief**

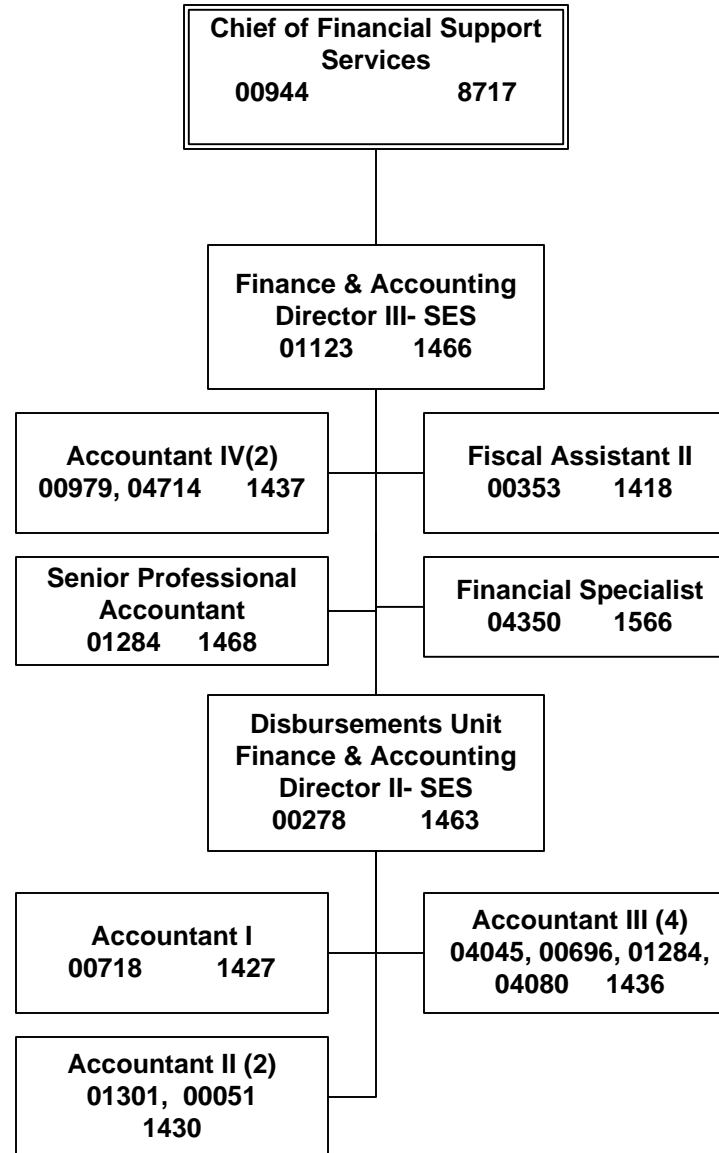


Bureau Total FTE: 43
 Chief FTE: 4

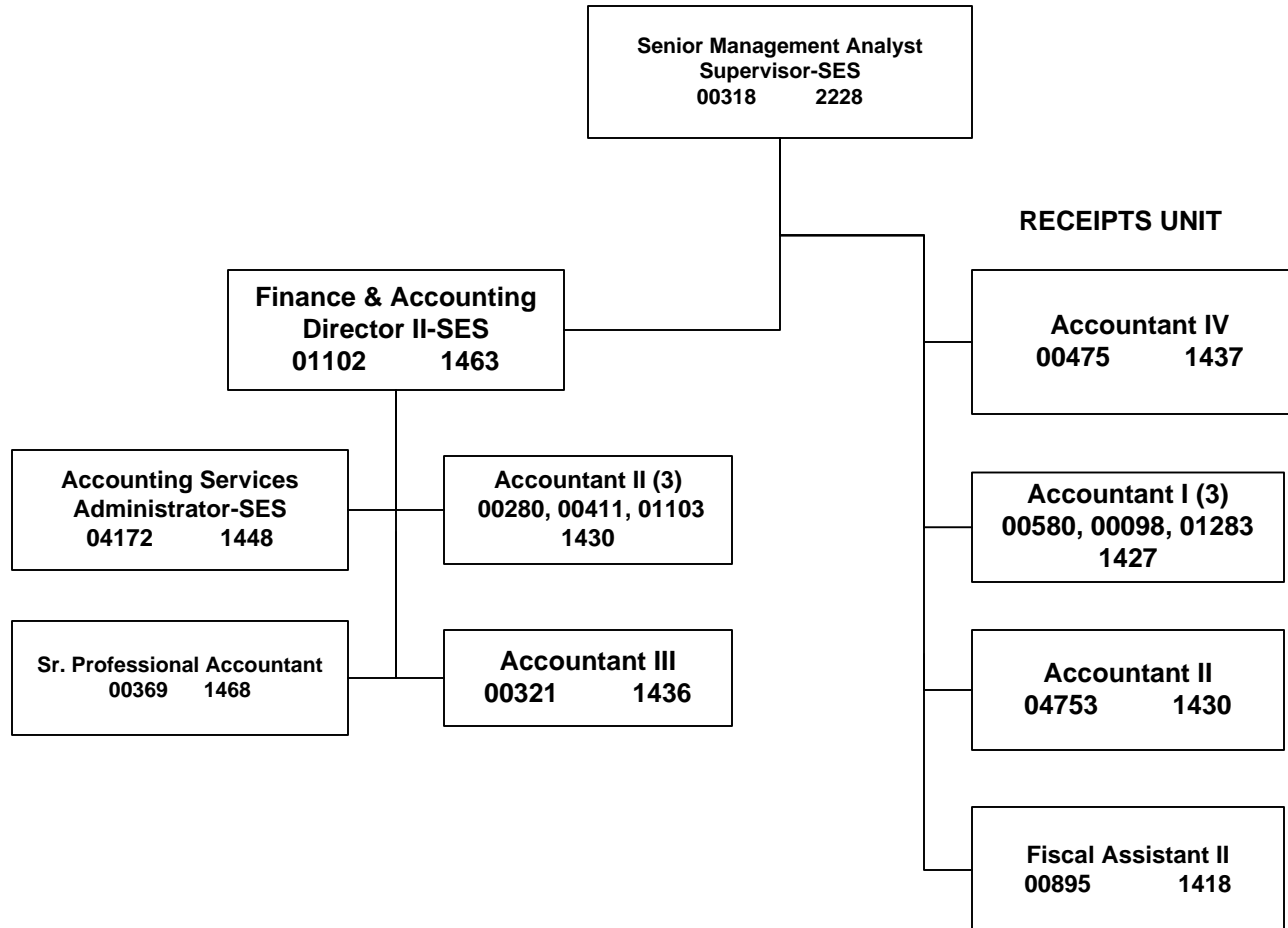
❖ FTE not Included in this Section
 Dotted Line = Administratively Assigned. FTE not counted.
 Italic = Organizationally Assigned. Reports elsewhere administratively. FTE counted.

Eff 07-01-2013
 Rev 06-21-2013 6-2-2

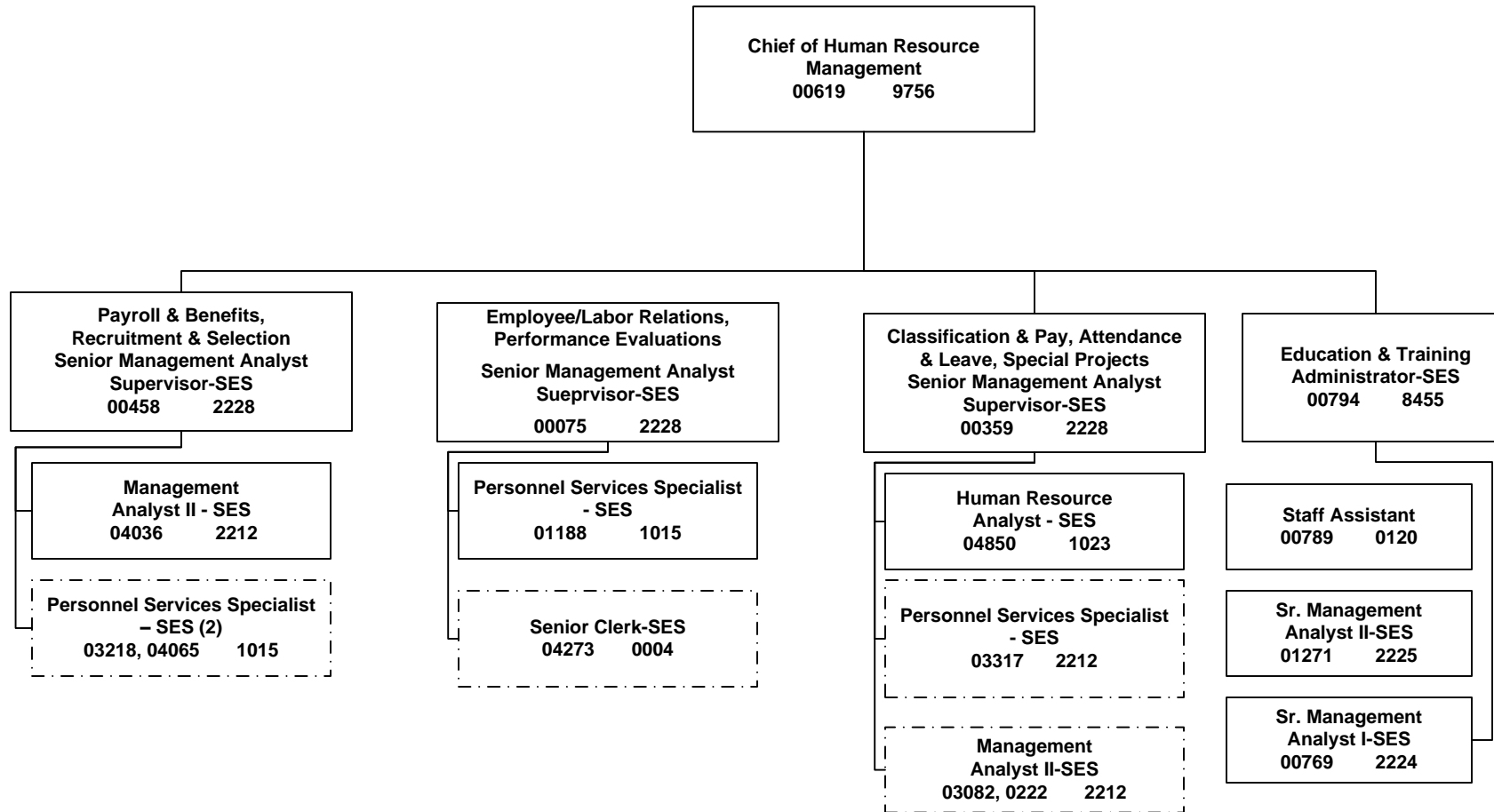
Department of Financial Services
Division of Administration
Bureau of Financial & Support Services
Disbursements Section



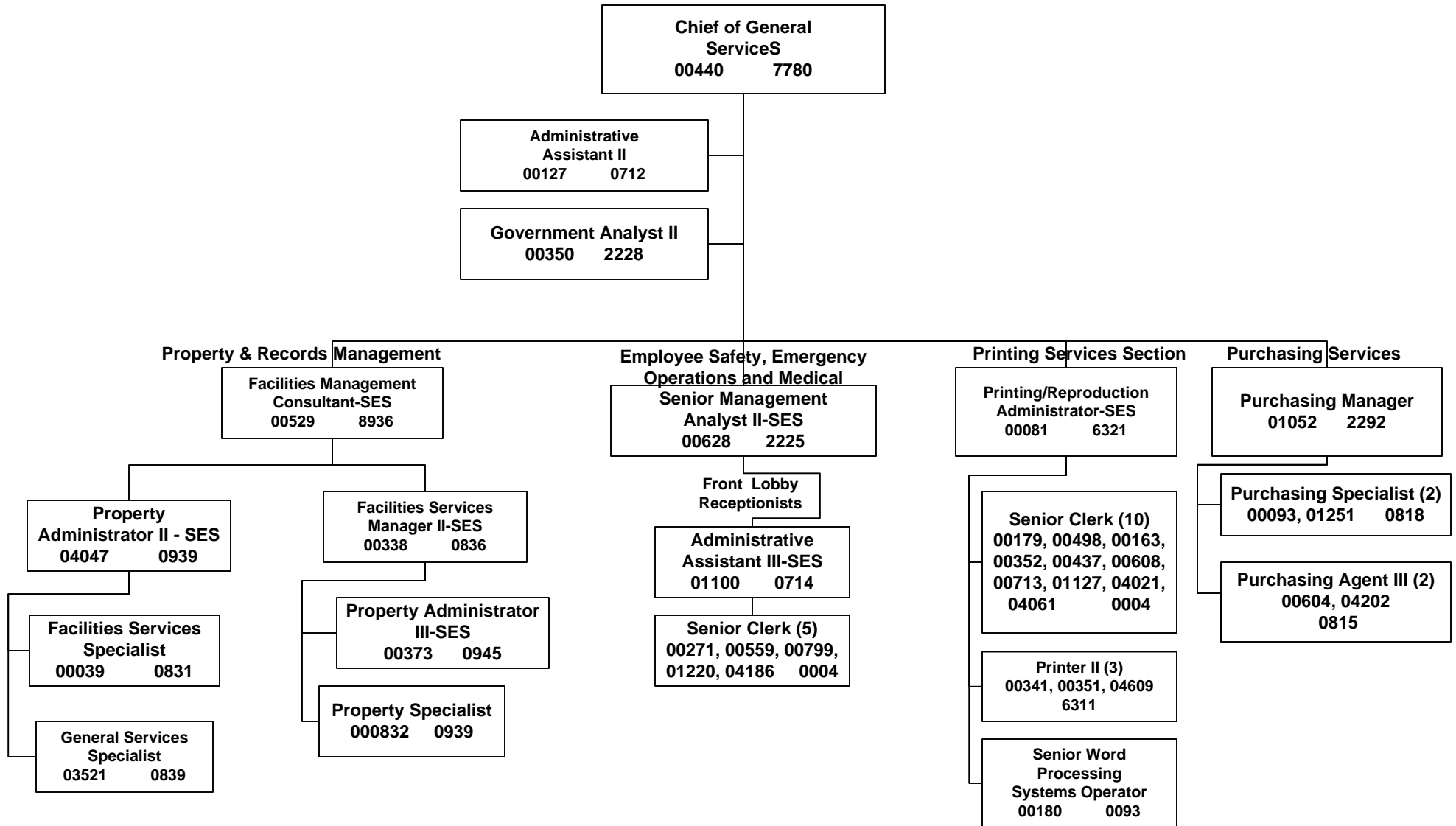
**Department of Financial Services
Division of Administration
Bureau of Financial & Support Services
Receipts Section**



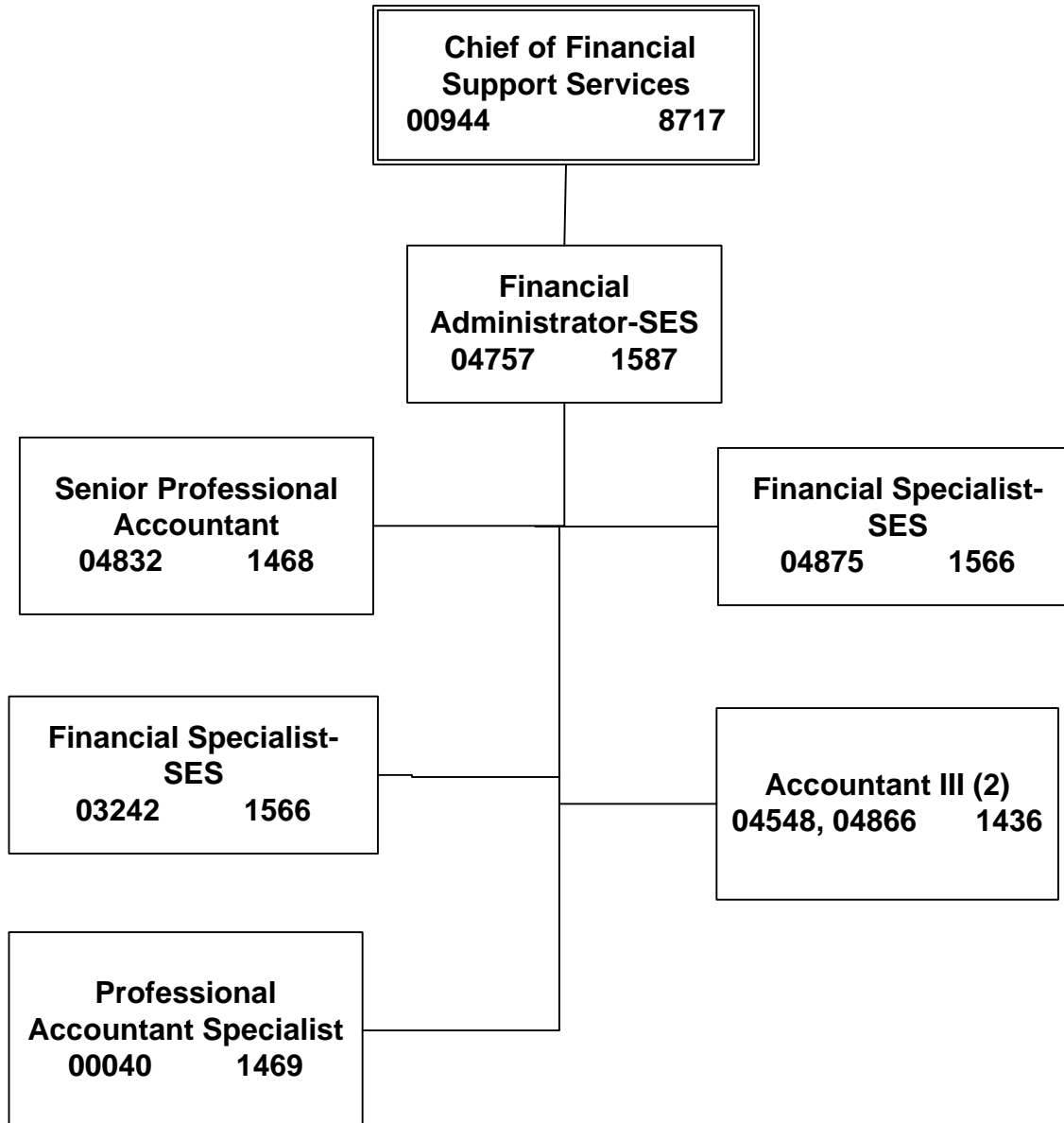
**Department of Financial Services
Division of Administration
Bureau of Human Resource Management**



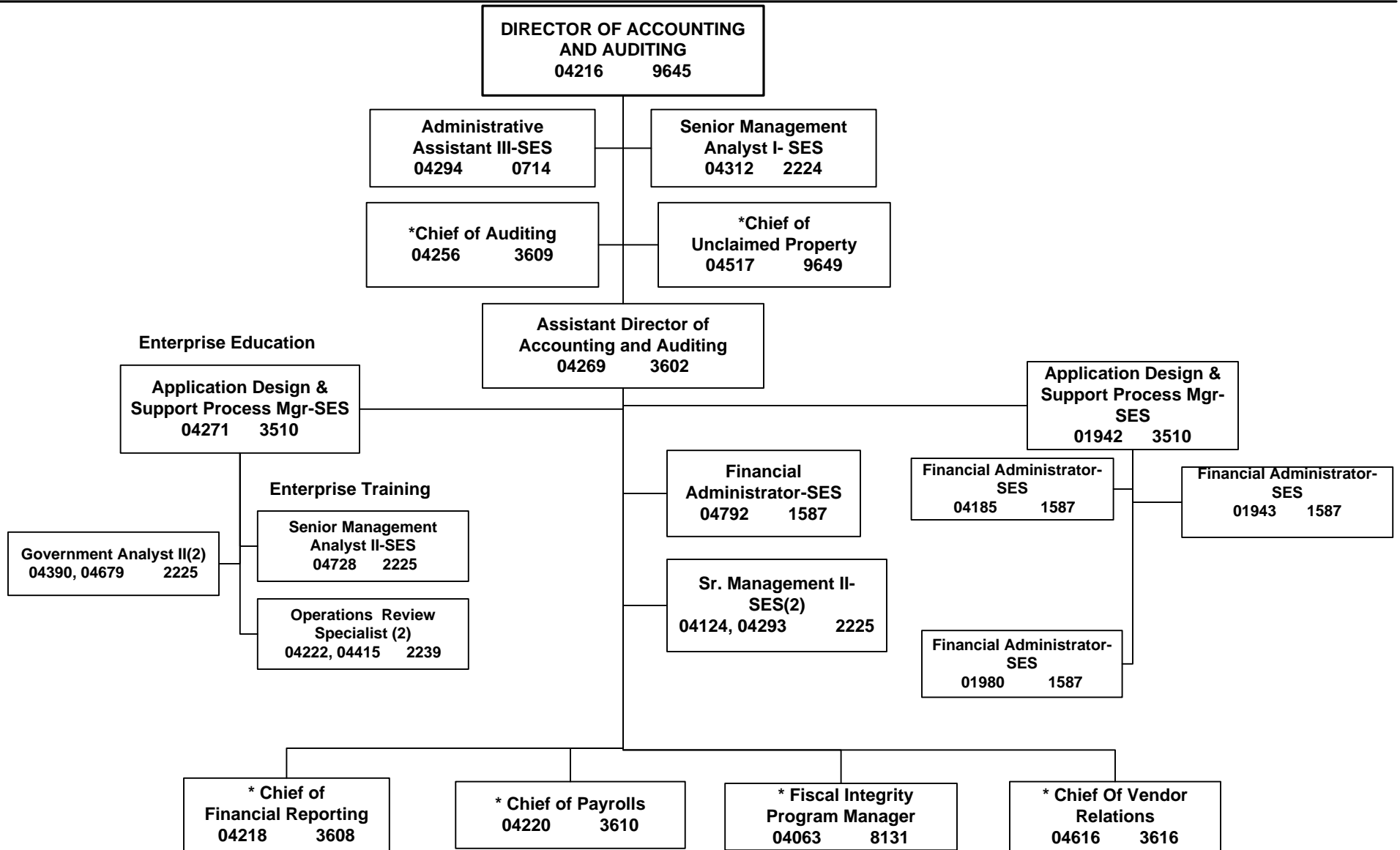
**Department of Financial Services
Division of Administration
Bureau of General Services**



**Department of Financial Services
 Division of Administration
 Bureau of Financial & Support Services
 Reconciliation and Reporting Section**



**Department of Financial Services
Office of the Deputy Chief Financial Officer
Division of Accounting and Auditing
Office of the Director**

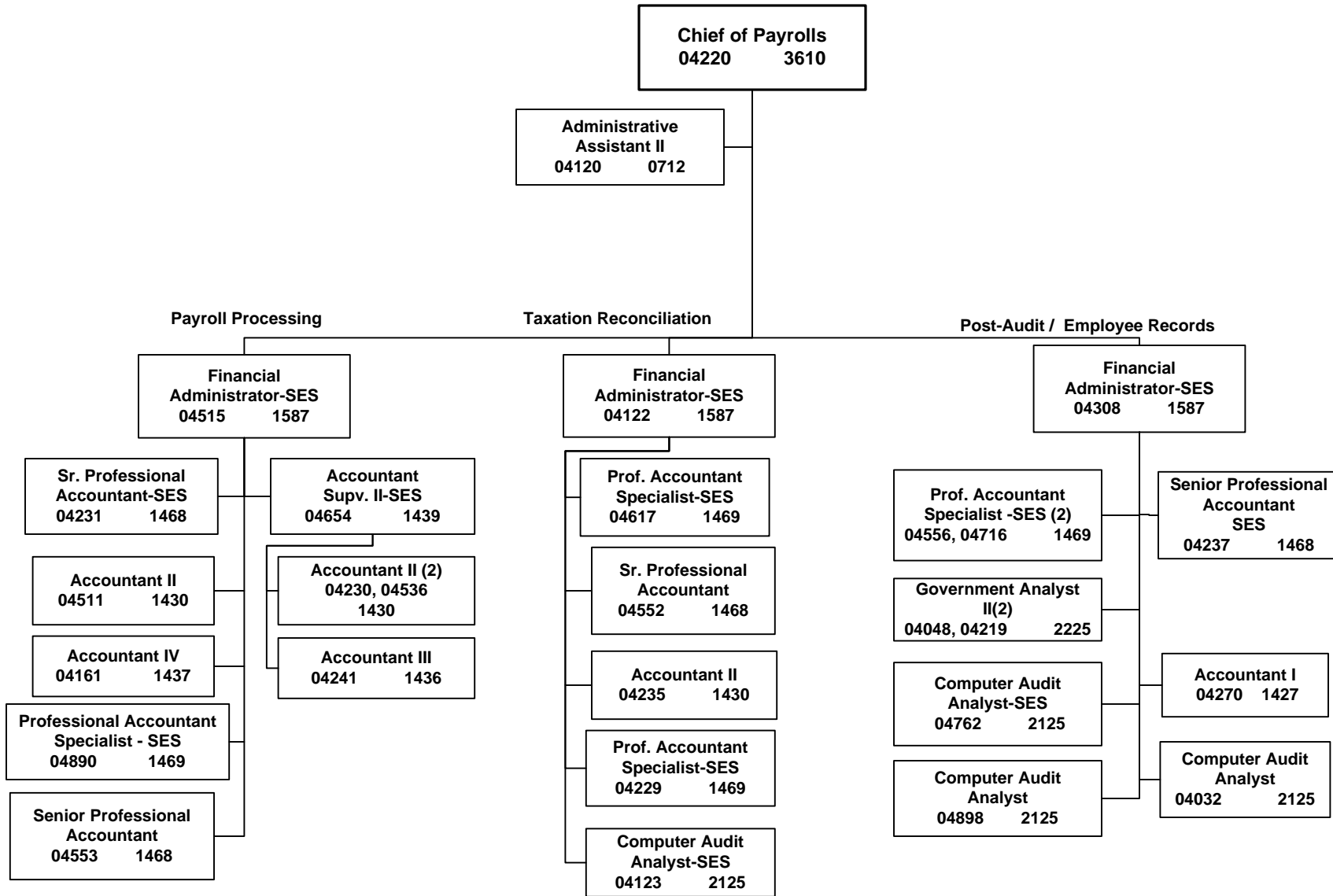


Division Total FTE: 232
Total FTE: 22

❖ FTE not Included in this Section
Dotted Line = Administratively Assigned. FTE not counted.
Italic = Organizationally Assigned. Reports elsewhere administratively. FTE counted.

Eff: 06-18-13
Rev: 06-11-13

**Department of Financial Services
Division of Accounting and Auditing
Bureau of State Payrolls**

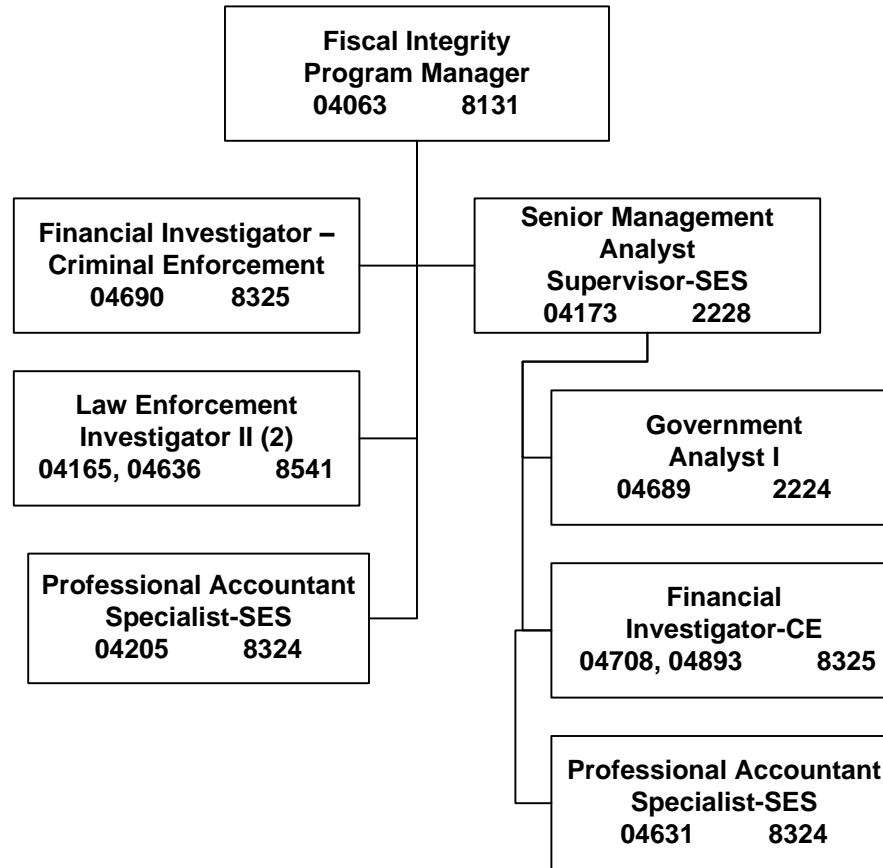


Total FTE: 27

❖ FTE not Included in this Section
Dotted Line = Administratively Assigned. FTE not counted.
Italic = Organizationally Assigned. Reports elsewhere administratively. FTE counted.

Eff 06-12-2013
Rev 06-06-2013

**Department of Financial Services
Division of Accounting & Auditing
Office of Fiscal Integrity**

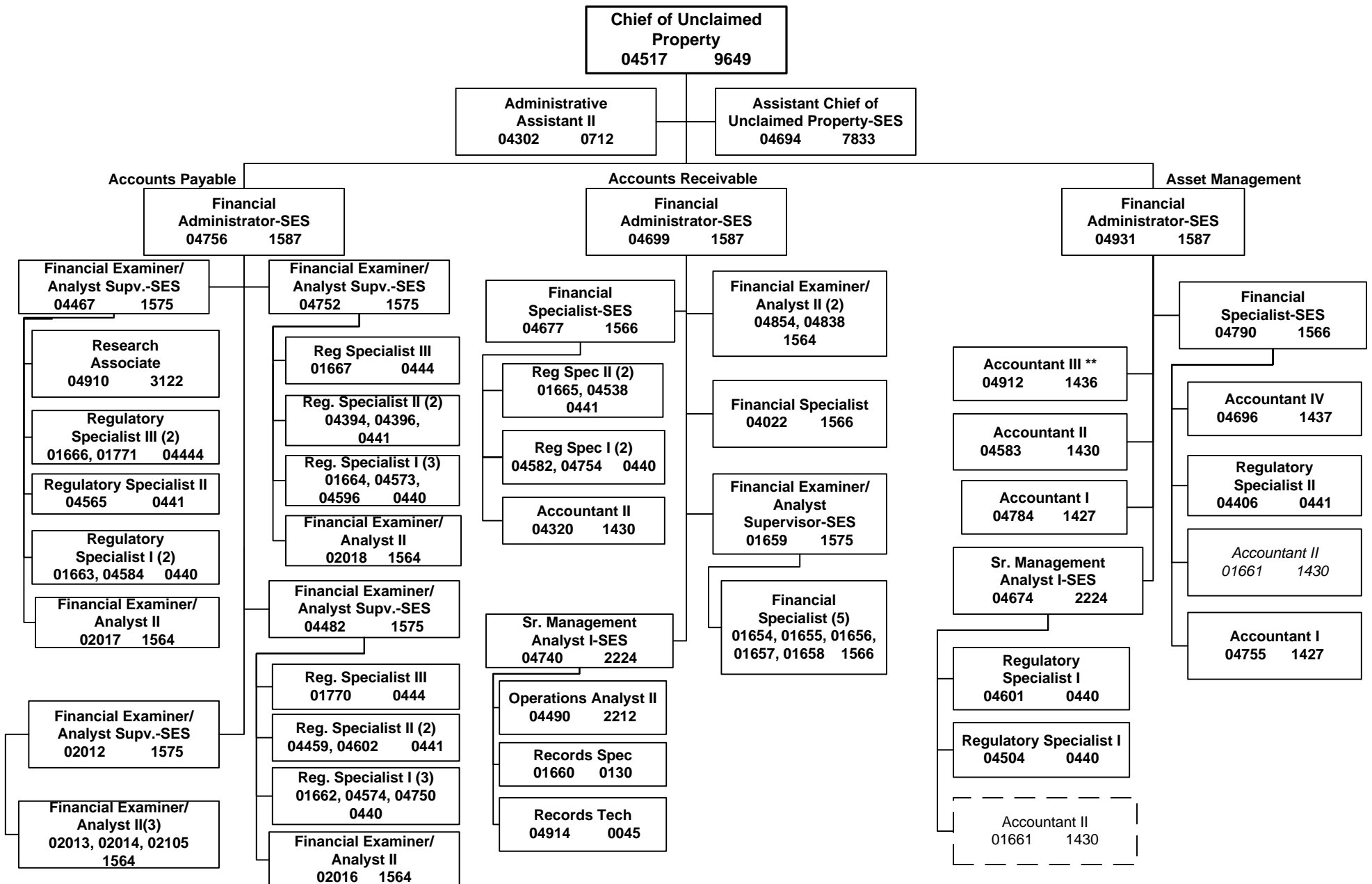


Total FTE: 9

❖ FTE not Included in this Section
 Dotted Line = Administratively Assigned. FTE not counted.
 Italic = Organizationally Assigned. Reports elsewhere administratively. FTE counted.

Eff 08-06-12
 Rev 05-14-12

**Department of Financial Services
Division of Accounting and Auditing
Bureau of Unclaimed Property**



Total FTE: 62

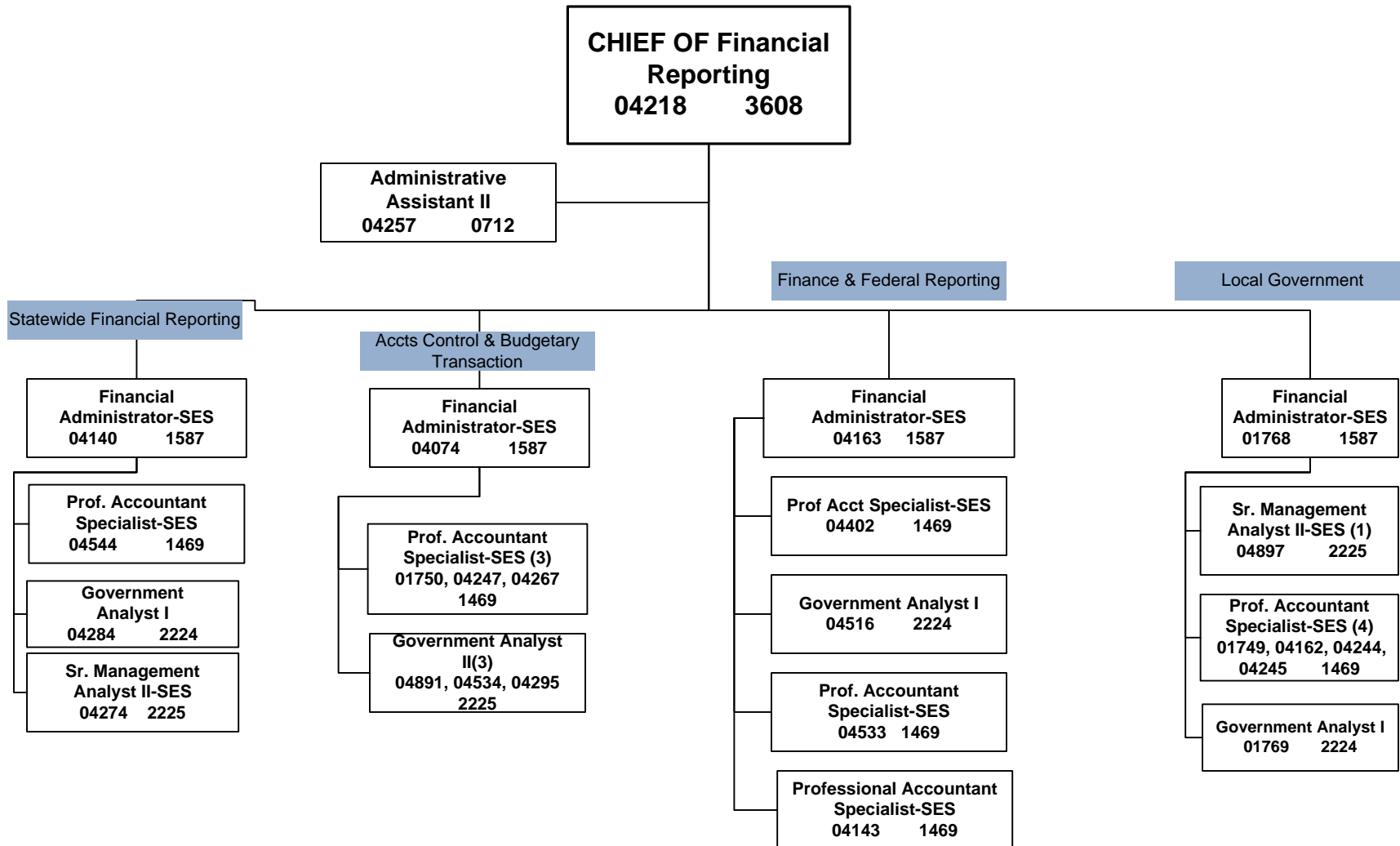
❖ FTE not Included in this Section

Dotted Line = Administratively Assigned. FTE not counted.

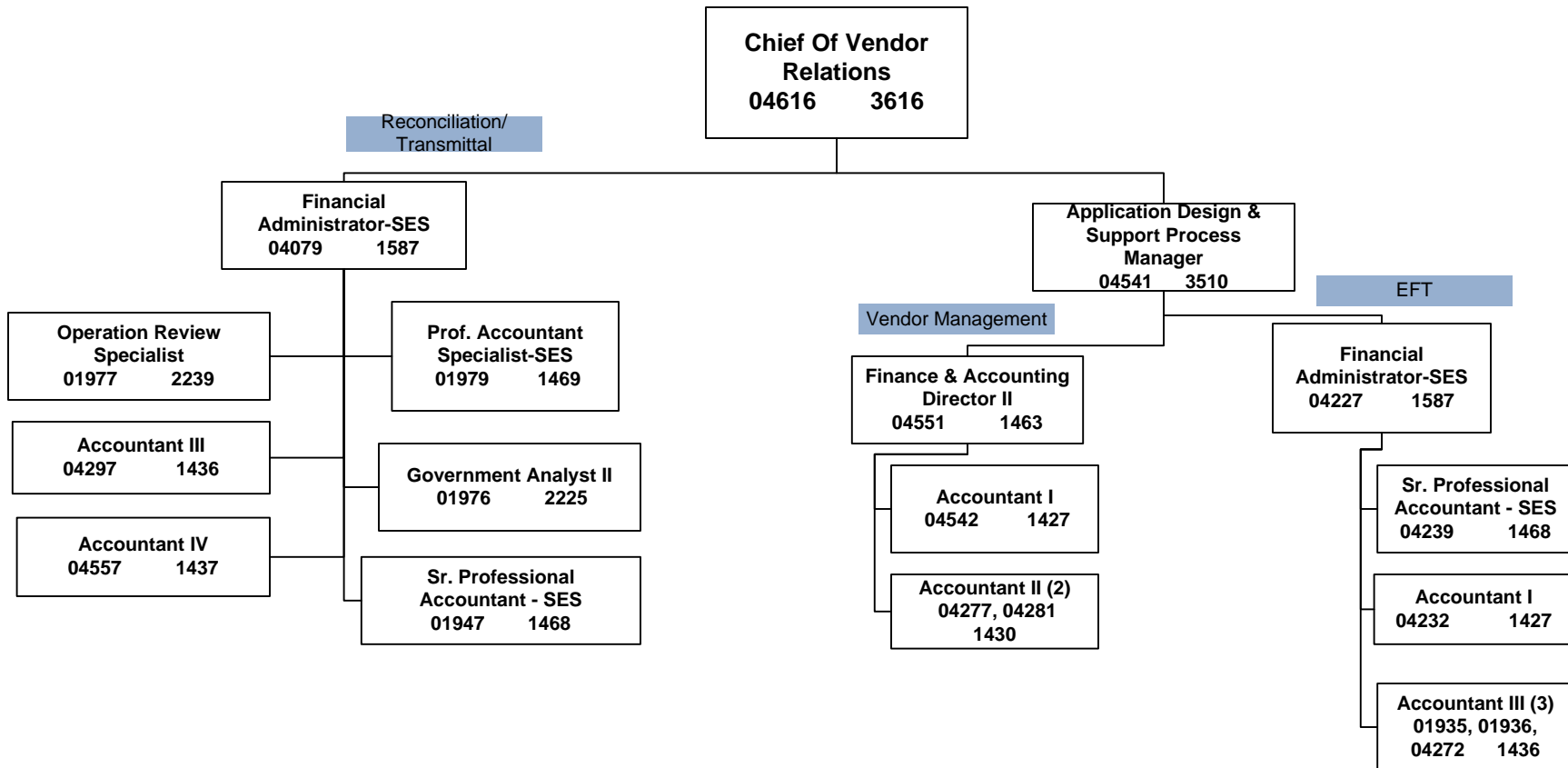
Italic = Organizationally Assigned. Reports elsewhere administratively. FTE counted.

Eff 08/02/13
Rev 08/02/13

**Department of Financial Services
Division of Accounting and Auditing
Bureau of Financial Reporting**

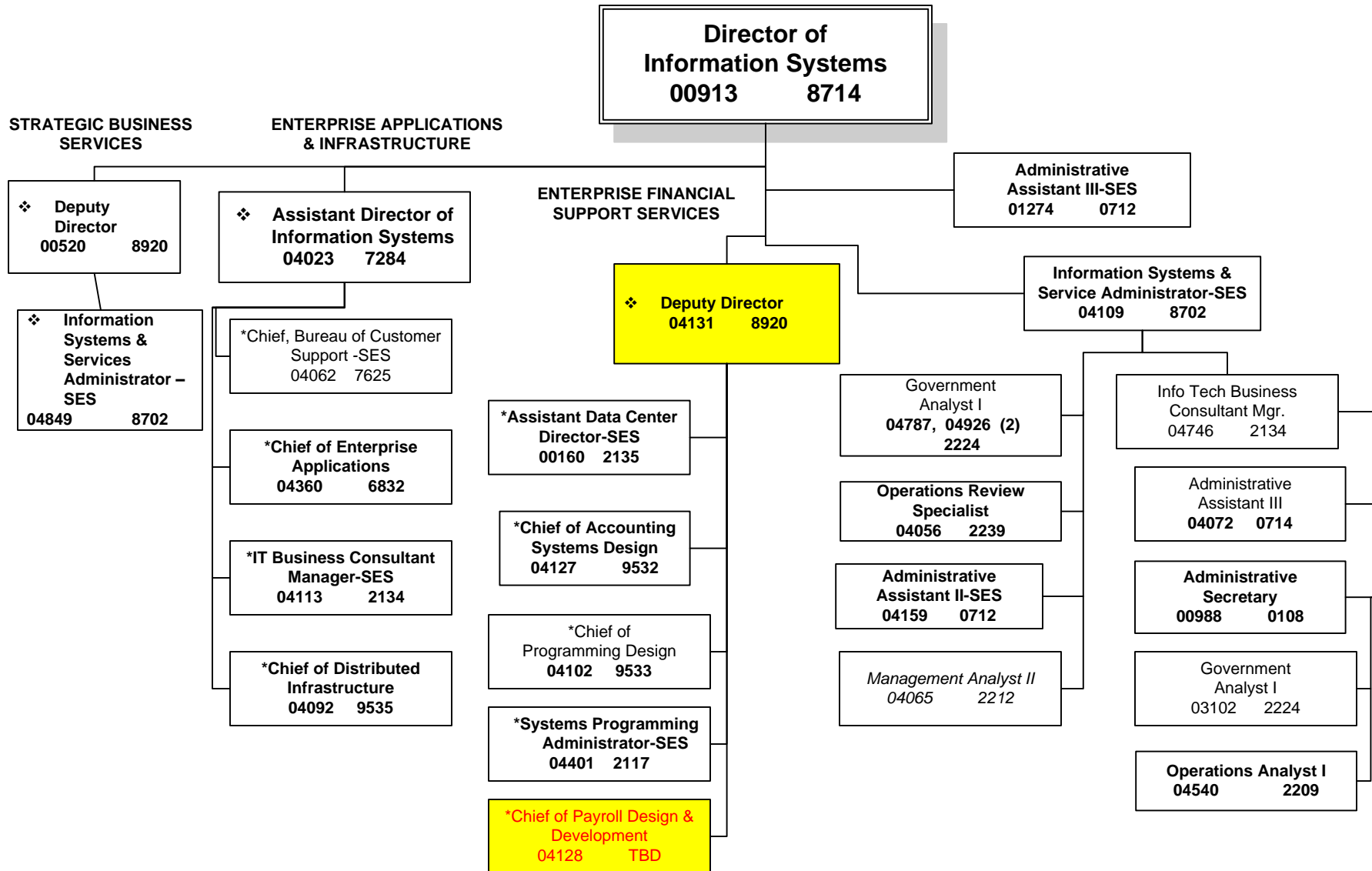


**Department of Financial Services
Division of Accounting and Auditing
Bureau of Vendor Relations**



**Department of Financial Services
Office of the Deputy Chief Financial Officer
Division of Information Systems
Office of the Director**

PROPOSED, pending DMS approval
creating Bureau of Payroll Design & Dvlpmnt



Division Total FTE: 239
Director Office Total FTE: 13

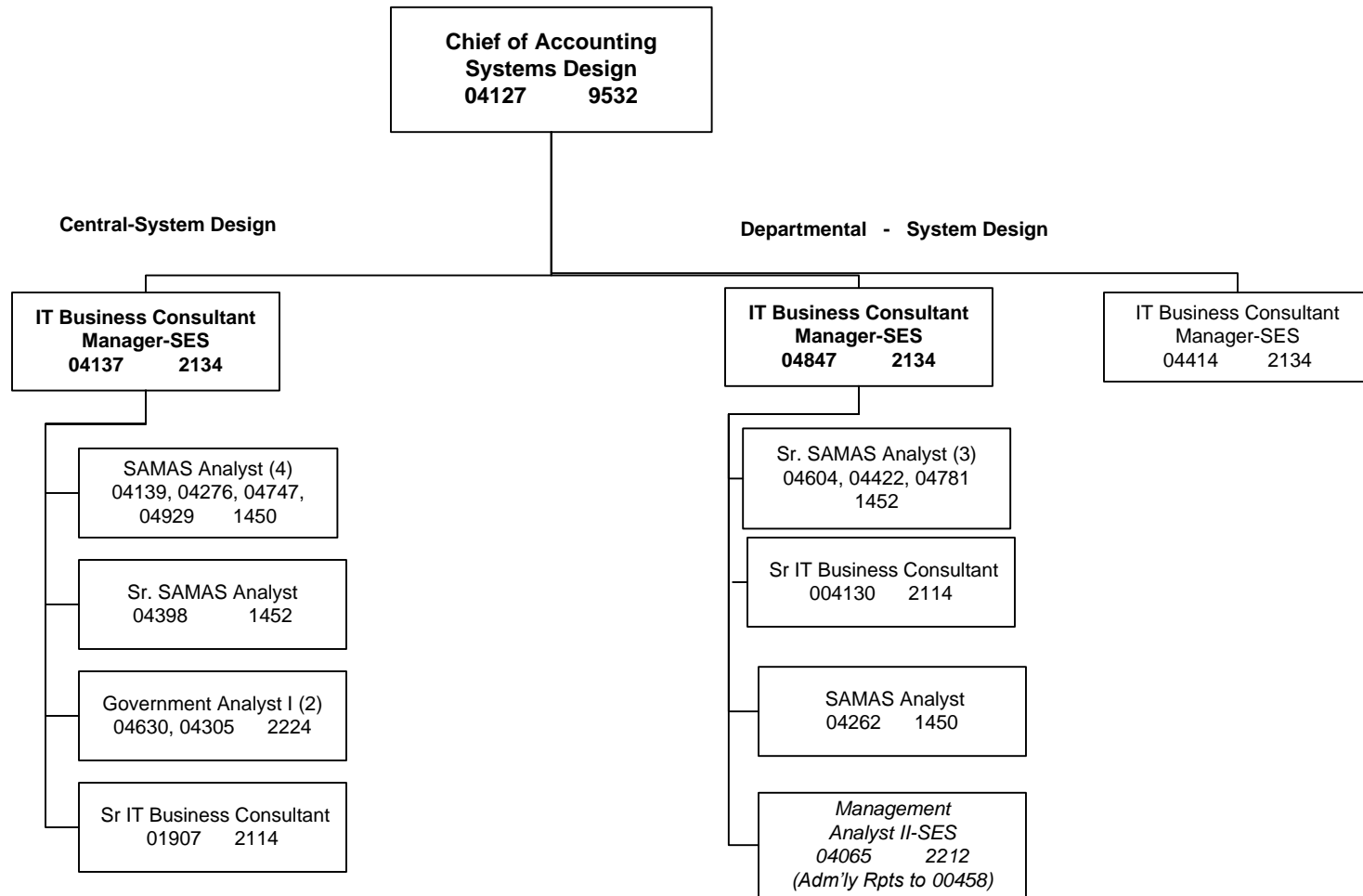
❖ FTE not Included in this Section
Dotted Line = Administratively Assigned. FTE not counted.
Italic = Organizationally Assigned. Reports elsewhere administratively. FTE counted.

Eff
Rev: 6-24-13

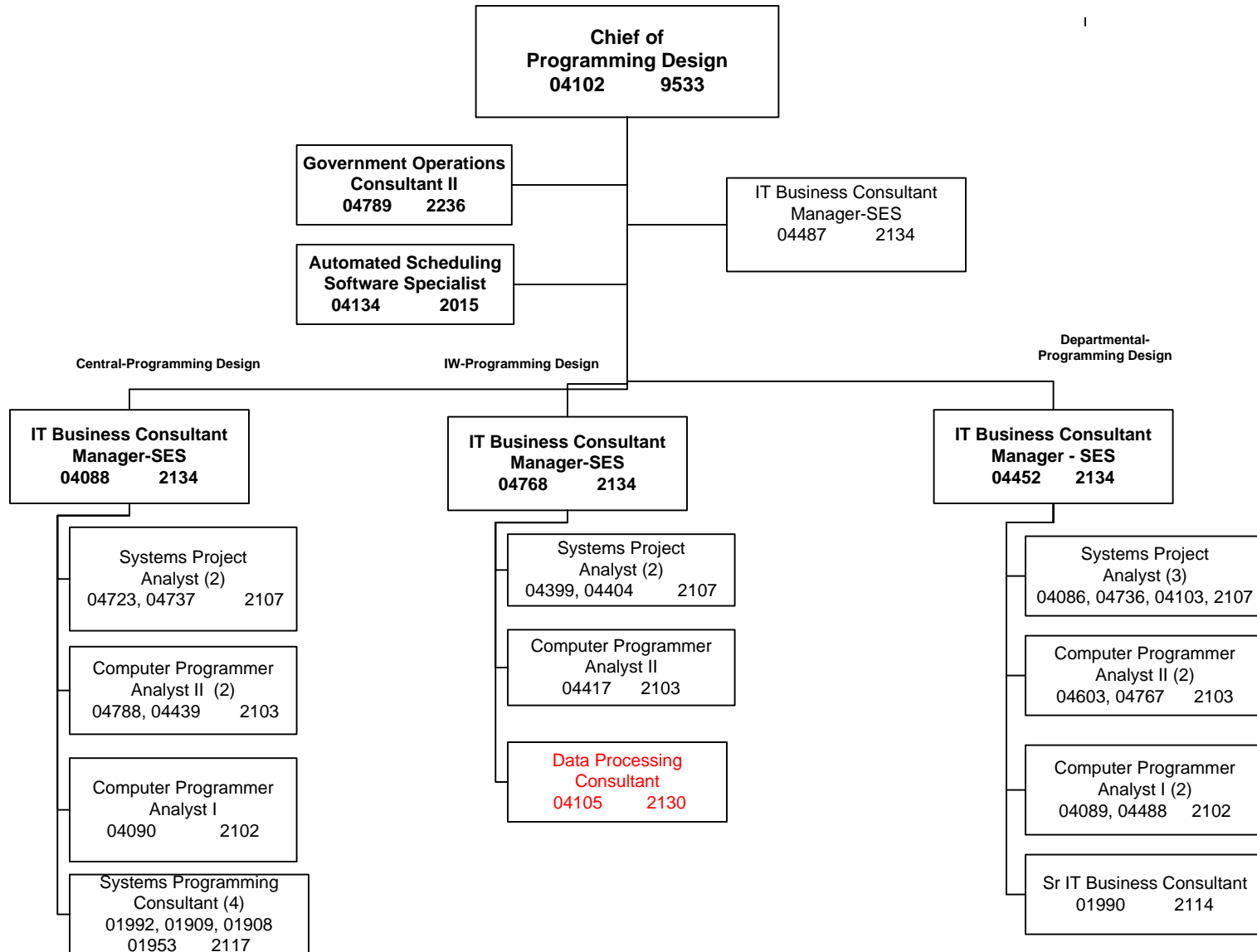
**Department of Financial Services
Division of Information Systems**

PROPOSED, pending DMS approval deleting the
Payroll section and moving to new Bureau of Payroll
Design & Dvlpmt

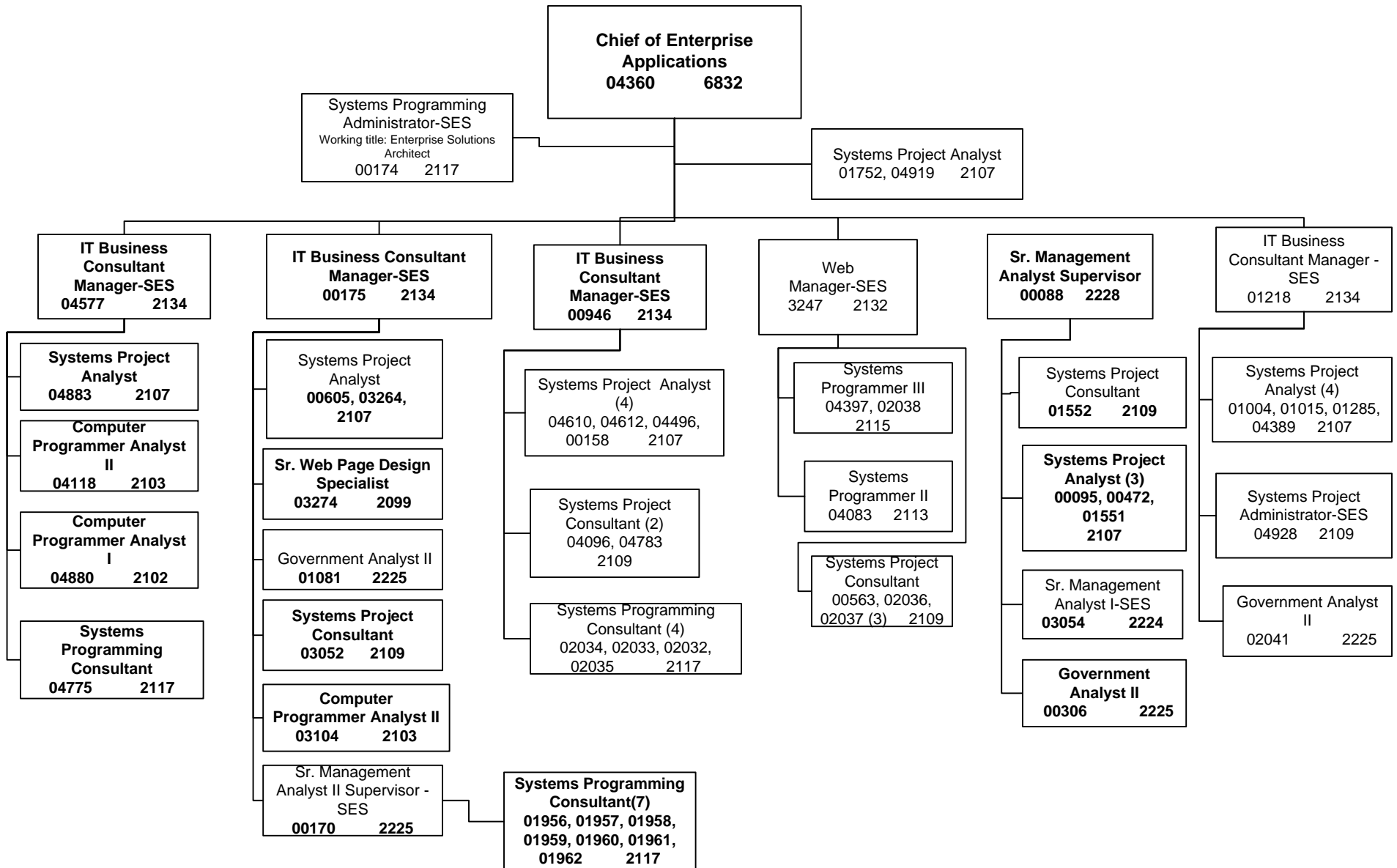
Office of Enterprise Financial Support Services, Bureau of Accounting Systems Design



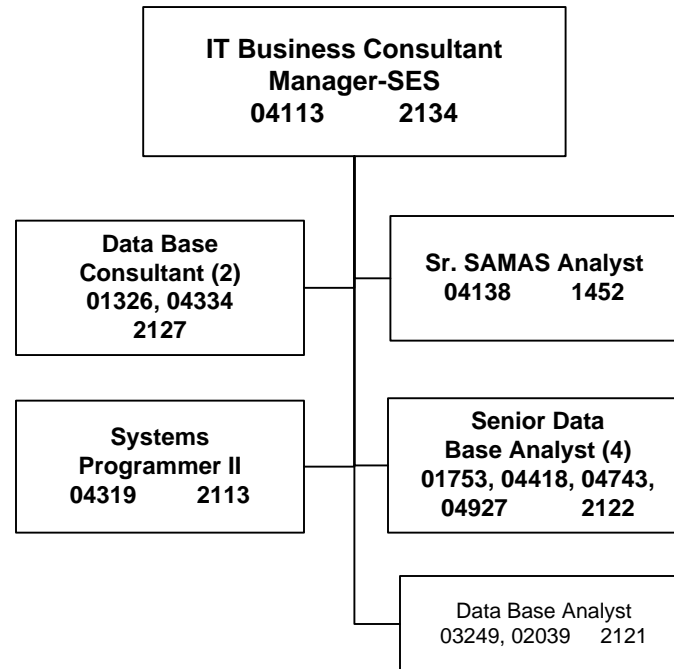
Department of Financial Services Division of Information Systems Office of Enterprise Financial Support Services, Bureau of Programming Design



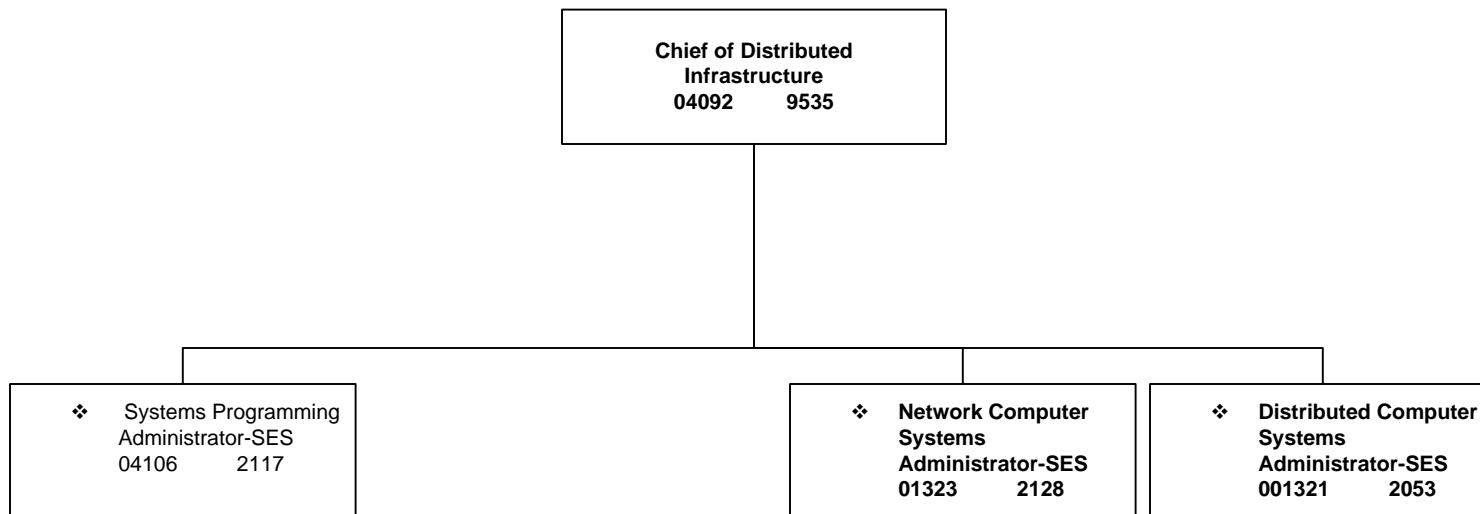
**Department of Financial Services
Division of Information Systems
Office of Enterprise Application & Infrastructure
Bureau of Enterprise Applications**



**Department of Financial Services
Division of Information Systems
Office of Enterprise Application & Infrastructure
Database Administration**



Department of Financial Services
Division of Information Systems
Office of Enterprise Applications & Infrastructure, Bureau of Distributed Infrastructure



Department of Financial Services
Division of Information Systems
Office of Enterprise Applications & Infrastructure
Bureau of Distributed Infrastructure – Web Development & Support Services
**THIS SECTION WAS DELETED EFFECTIVE 1/8/13; POSITIONS WERE MOVED TO BUREAU OF
ENTERPRISE APPLICATIONS (chart 6-4-5)**

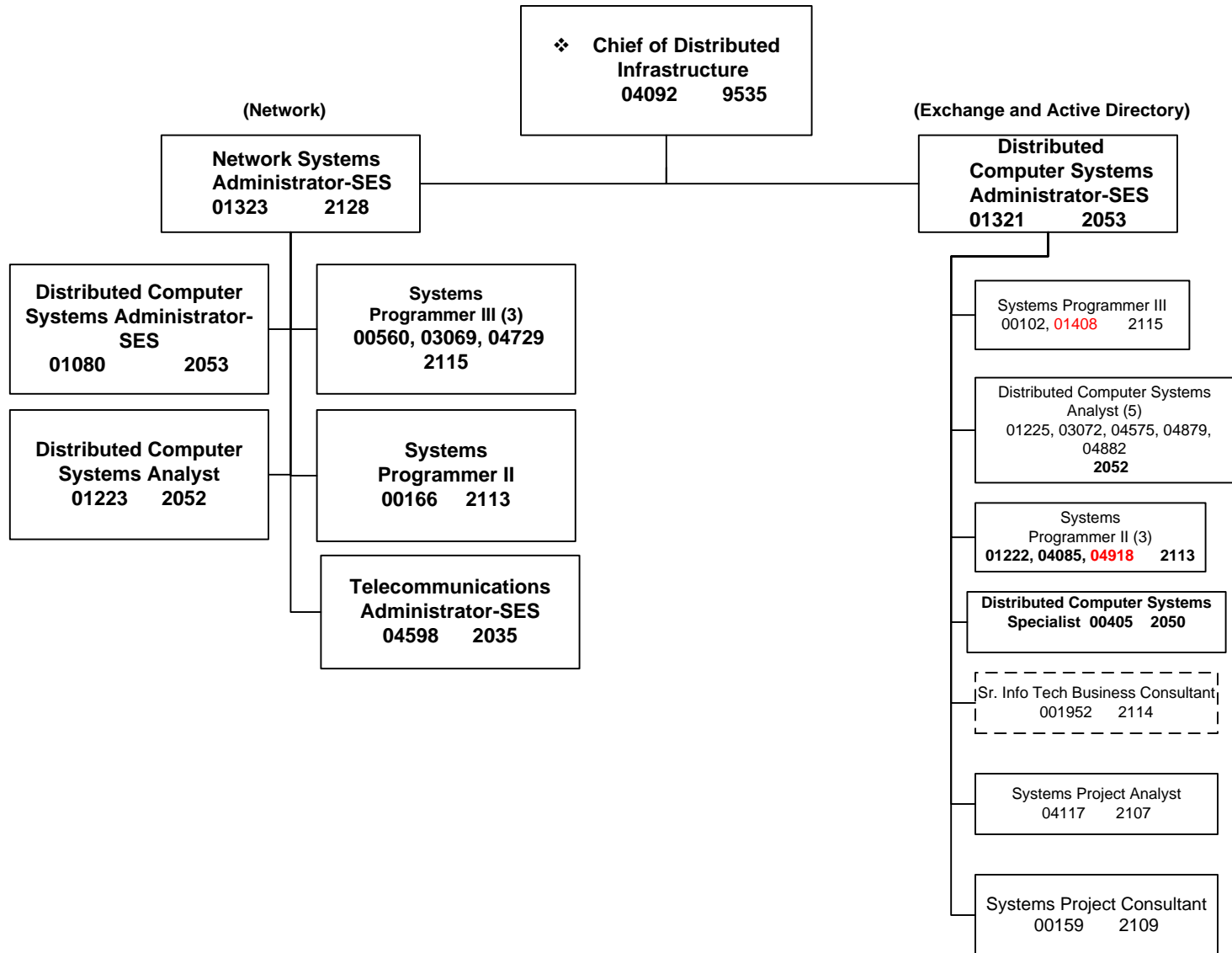
Total FTE:

❖ FTE not Included in this Section
Dotted Line = Administratively Assigned. FTE not counted.
Italic = Organizationally Assigned. Reports elsewhere administratively. FTE counted.

Eff 01/08/2013
Rev 01/22/2013

6-4-9

Department of Financial Services
Division of Information Systems
Bureau of Distributed Infrastructure - Network / Exchange and Active Directory

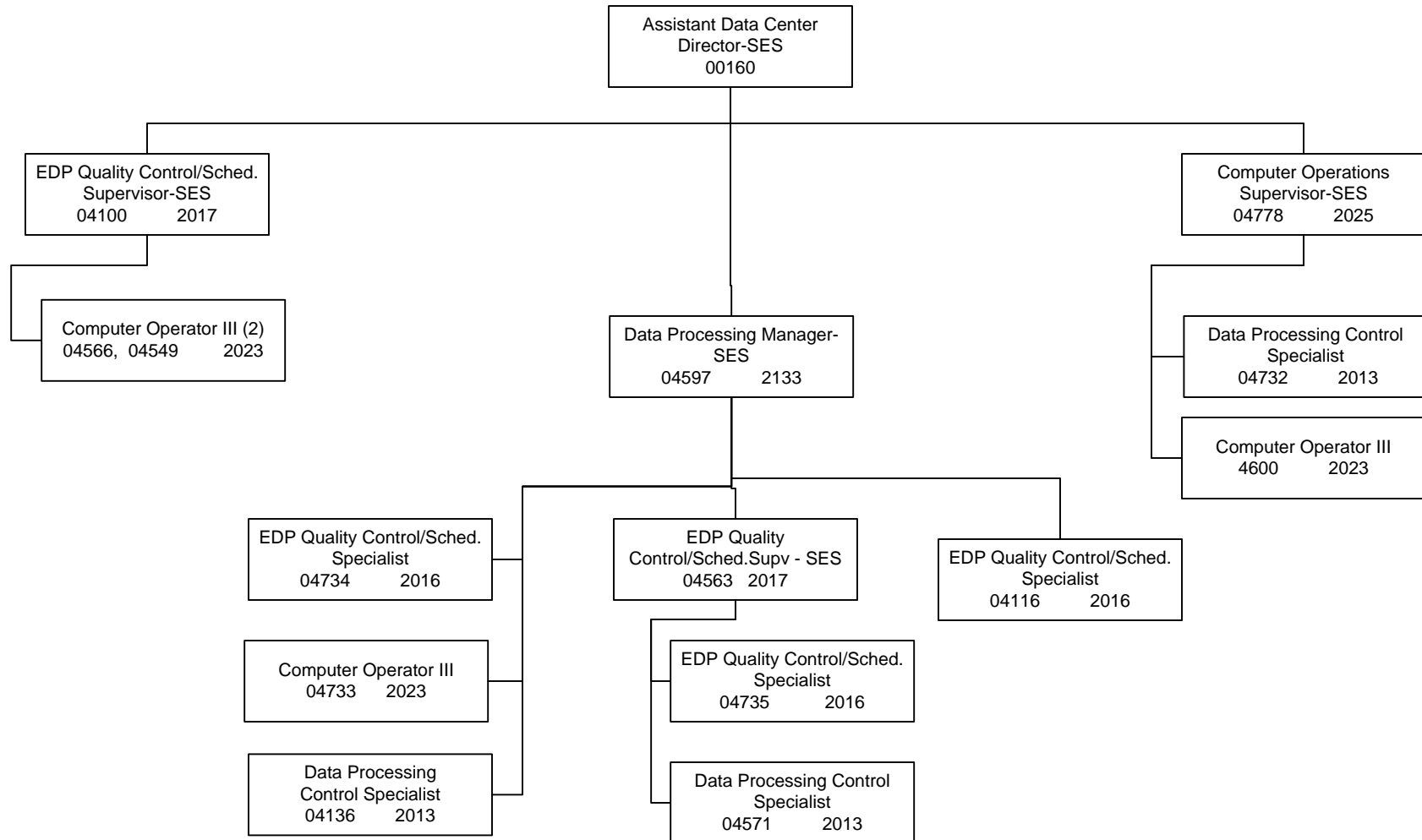


Total FTE: **22**

❖ FTE not Included in this Section
 Dotted Line = Administratively Assigned. FTE not counted.
 Italic = Organizationally Assigned. Reports elsewhere administratively. FTE counted.

Eff 01/08/2013
 Rev 01/22/2013

**Department of Financial Services
Division of Information Systems
Office of Enterprise Financial Support Services, Mainframe Operations**

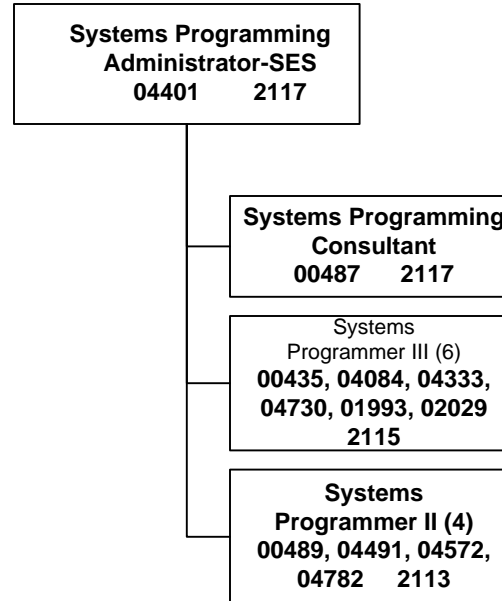


Total FTE: 15

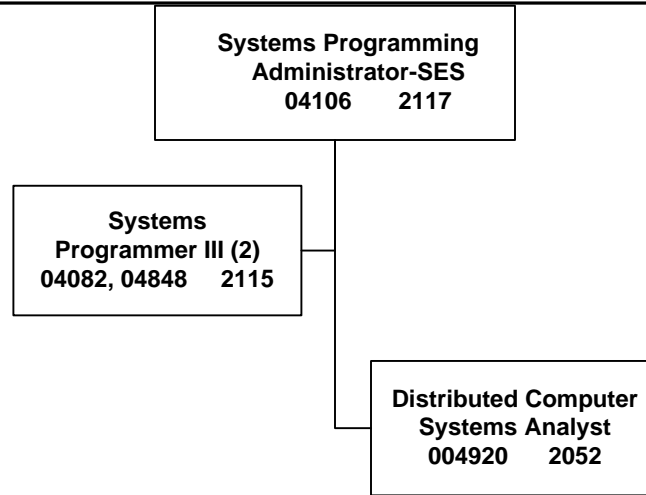
❖ FTE not Included in this Section
 Dotted Line = Administratively Assigned. FTE not counted.
 Italic = Organizationally Assigned. Reports elsewhere administratively. FTE counted.

Eff 07-01-13
 Rev 7-17-13

**Department of Financial Services
Division of Information Systems
Office of Enterprise Financial Support Services, Mainframe Systems**



**Department of Financial Services
Division of Information Systems
Office of Enterprise Applications & Infrastructure
Bureau of Distributed Infrastructure, Unix Systems**



Total FTE = 4

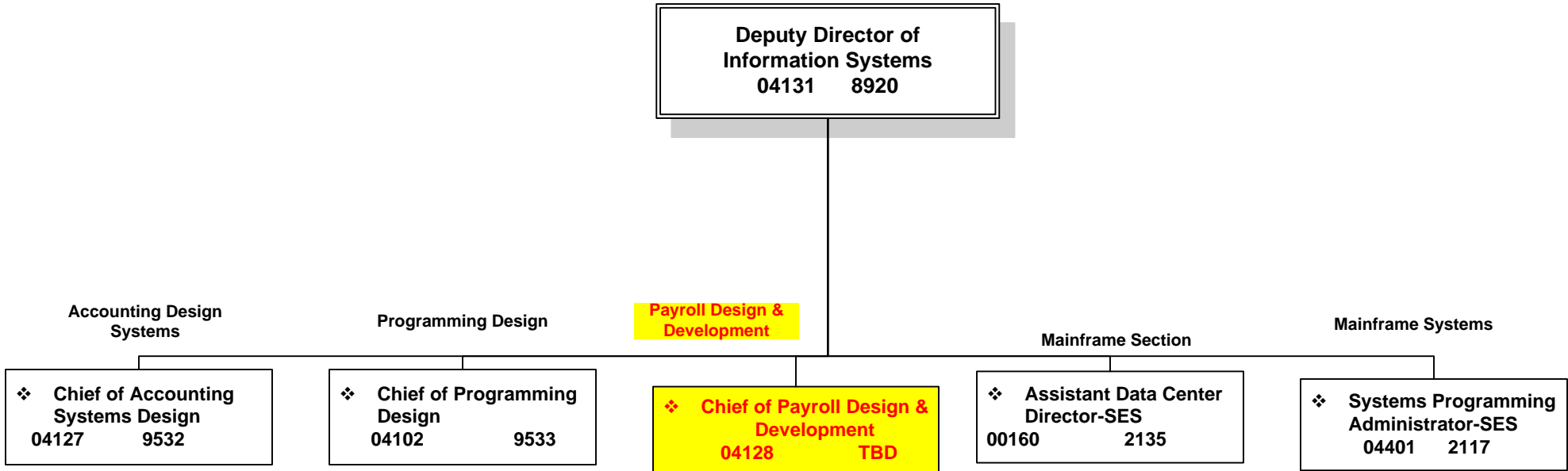
❖ FTE not Included in this Section
Dotted Line = Administratively Assigned. FTE not counted.
Italic = Organizationally Assigned. Reports elsewhere administratively. FTE counted.

Eff 07-01-12
Rev 8-1-13

6-4-14

**Department of Financial Services
Office of the Deputy Chief Financial Officer
Division of Information Systems
Office of Enterprise Financial Support Services (FLAIR)**

PROPOSED, pending reorg approval

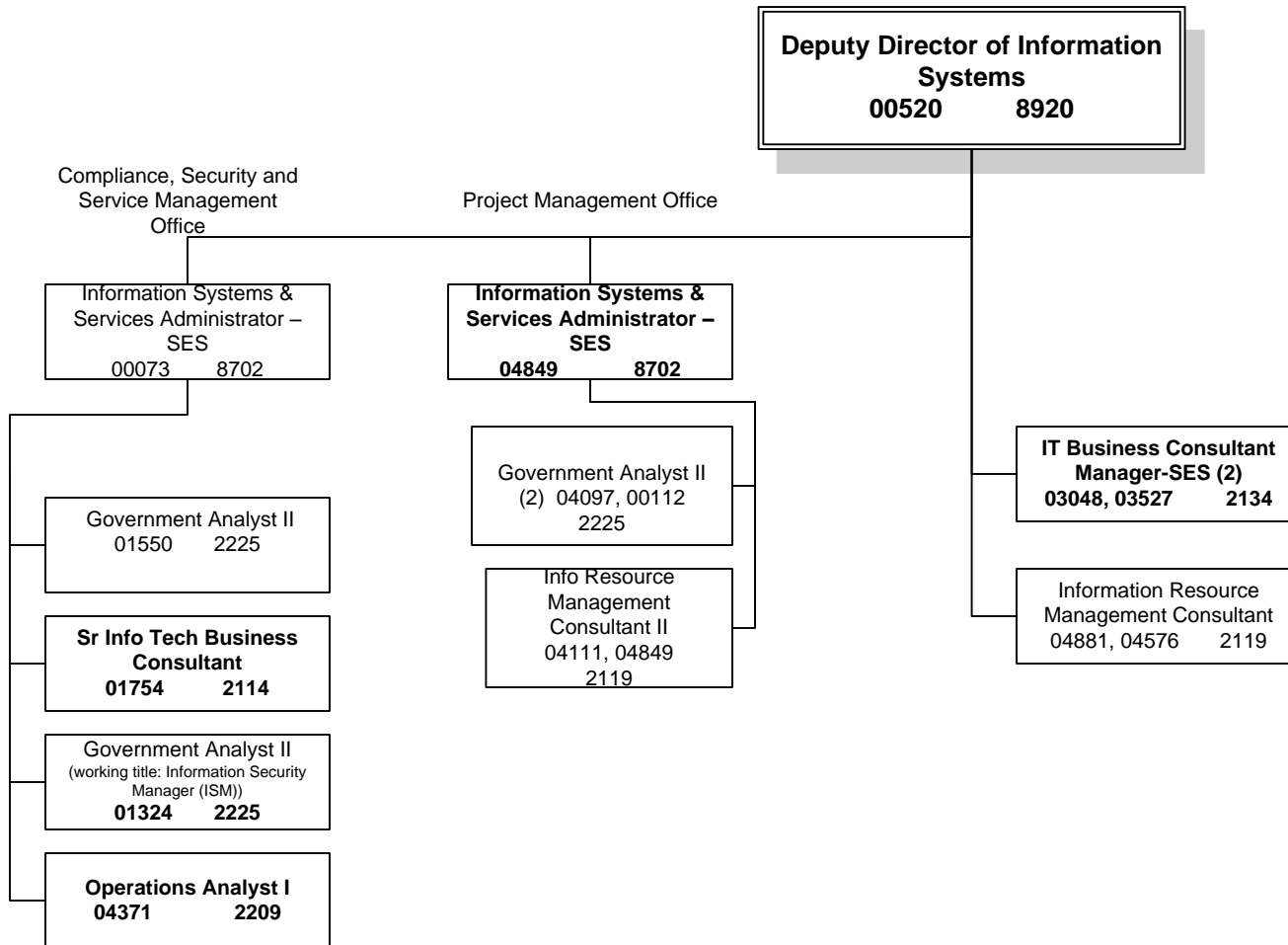


Division Total FTE: 93
Director Office Total FTE: 1

❖ FTE not Included in this Section
Dotted Line = Administratively Assigned. FTE not counted.
Italic = Organizationally Assigned. Reports elsewhere administratively. FTE counted.

Eff:
Revised: 6-25-13 6-4-15

**Department of Financial Services
Office of the Deputy Chief Financial Officer
Division of Information Systems
Office of Strategic Business Services**

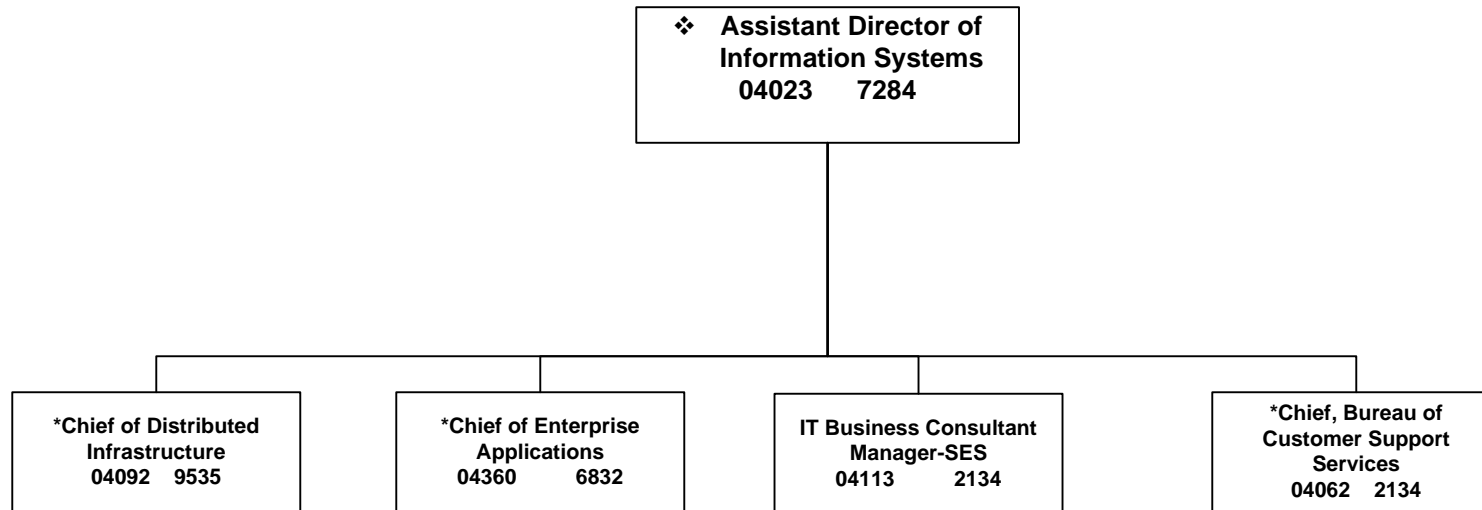


Division Total FTE: 238
Director Office Total FTE: 15

❖ FTE not Included in this Section
Dotted Line = Administratively Assigned. FTE not counted.
Italic = Organizationally Assigned. Reports elsewhere administratively. FTE counted.

Eff: 8/1/13
Rev: 8/2/13

**Department of Financial Services
Division of Information Systems
Enterprise Application & Infrastructure**



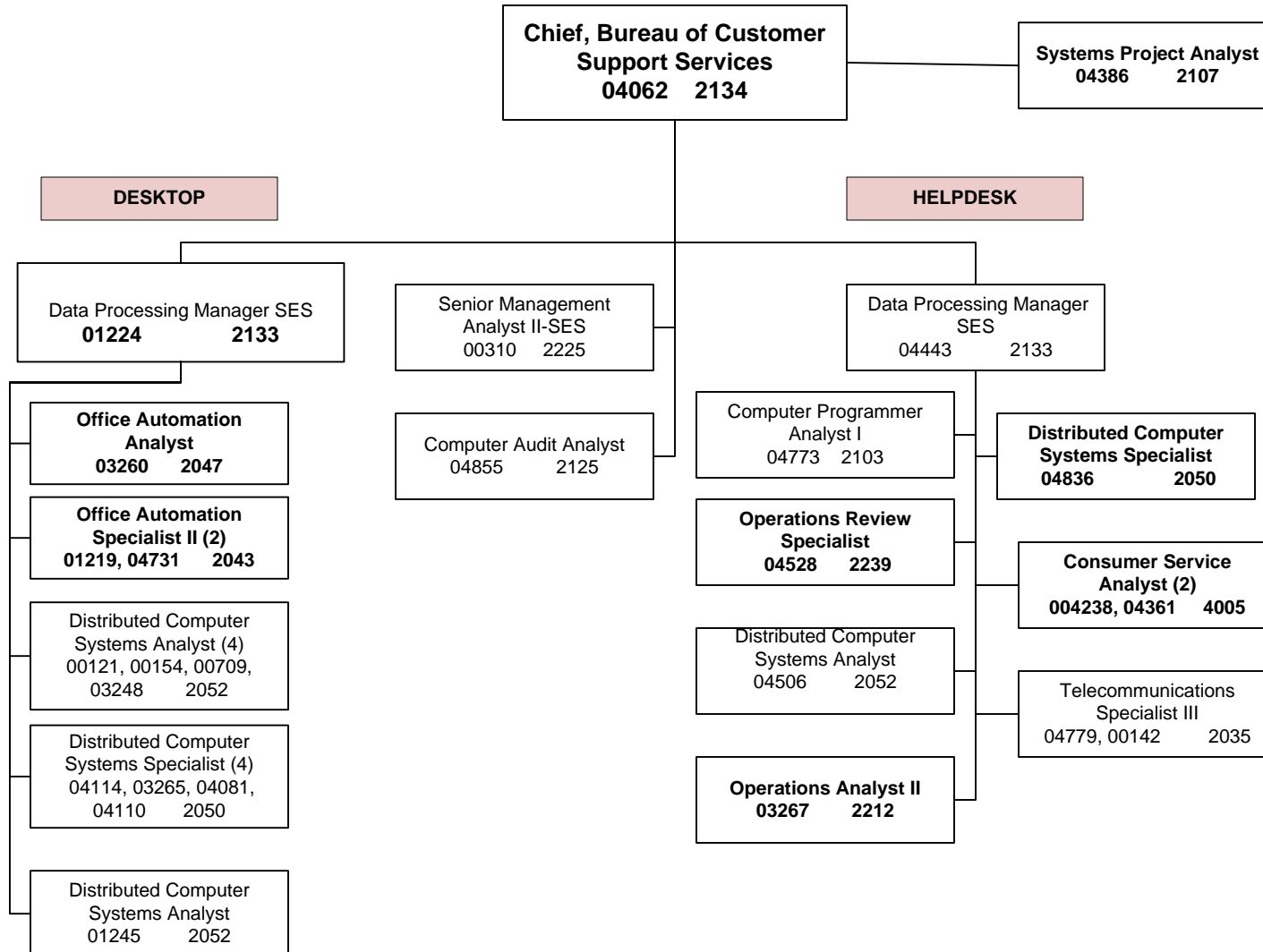
Total FTE: 1

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Italic = Organizationally Assigned. Reports elsewhere administratively. FTE counted.

Eff 7/1/2012
Rev 02-21-2012

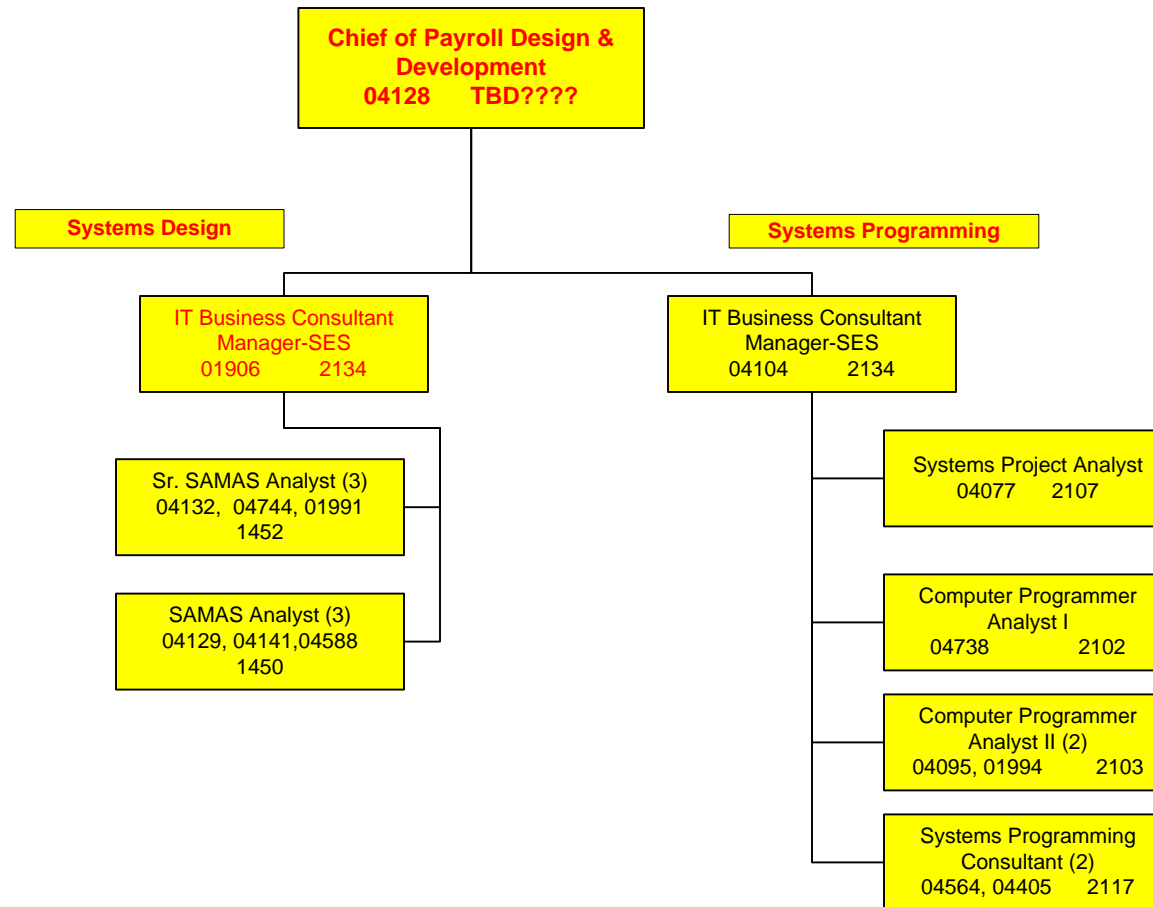
6-4-17

**Department of Financial Services
Division of Information Systems
Enterprise Application & Infrastructure
Bureau of Customer Support Services, Help Desk & Desktop Services**



Department of Financial Services
Division of Information Systems
Office of Enterprise Financial Support Services
Bureau of Payroll Design & Development (new)

PROPOSED, pending reorg approval



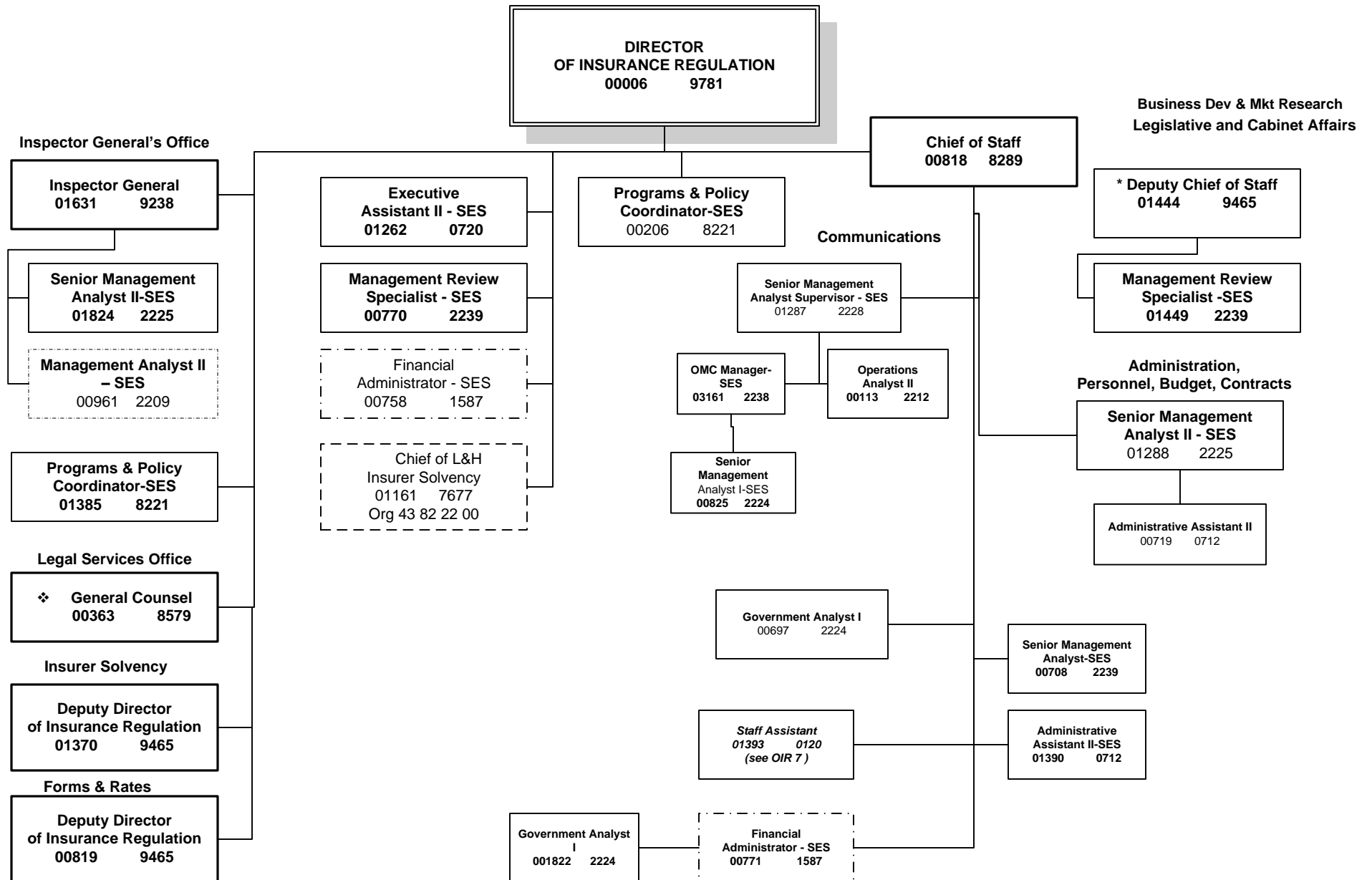
Total FTE: 15

❖ FTE not Included in this Section
 Dotted Line = Administratively Assigned. FTE not counted.
 Italic = Organizationally Assigned. Reports elsewhere administratively. FTE counted.

Eff
 Rev 6-25-13

6-4-19

**Financial Services Commission
Office of Insurance Regulation
Director of Insurance Regulation**

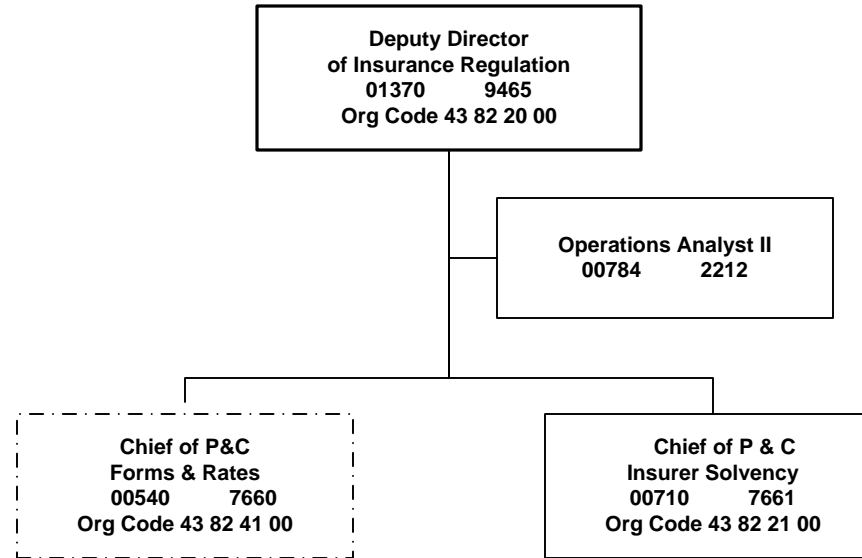


Division Total FTE: 296
Office of the Director FTE: 22

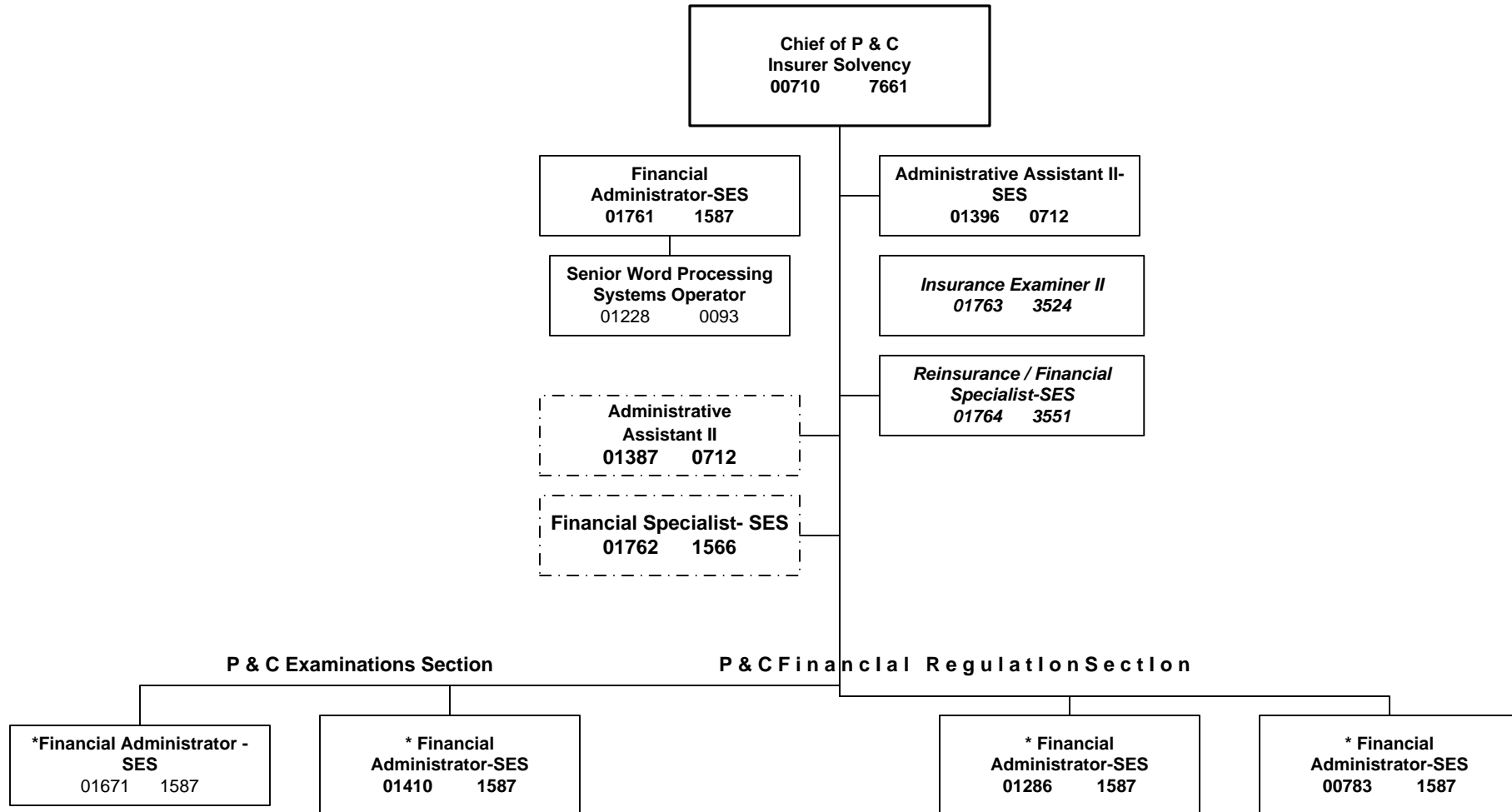
❖ FTE not Included in this Section
Dotted Line = Administratively Assigned. FTE not counted.
Italic = Organizationally Assigned. Reports elsewhere administratively. FTE counted.

Eff:06/01/2013
Rev: 06/13/2013

**Financial Services Commission
Office of Insurance Regulation
Deputy Director of Insurance Regulation (Insurer Solvency)**



**Financial Services Commission
Office of Insurance Regulation
Bureau of P & C Insurer Solvency
Office of the Chief**



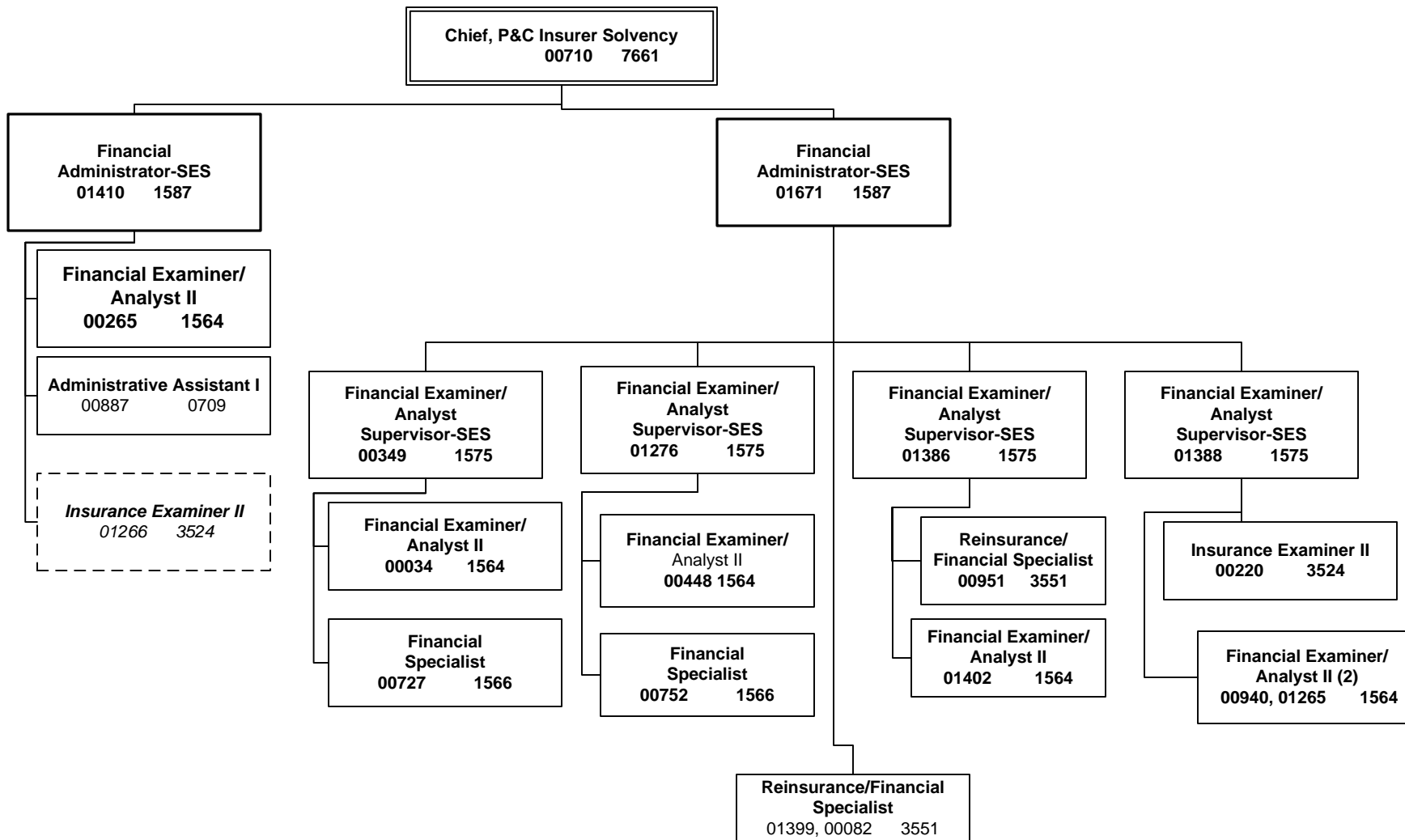
Bureau Total FTE: 58
Office of the Chief FTE: 6

❖ * FTE not Included in this Section
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Italic = Organizationally Assigned. Reports elsewhere administratively. FTE counted.

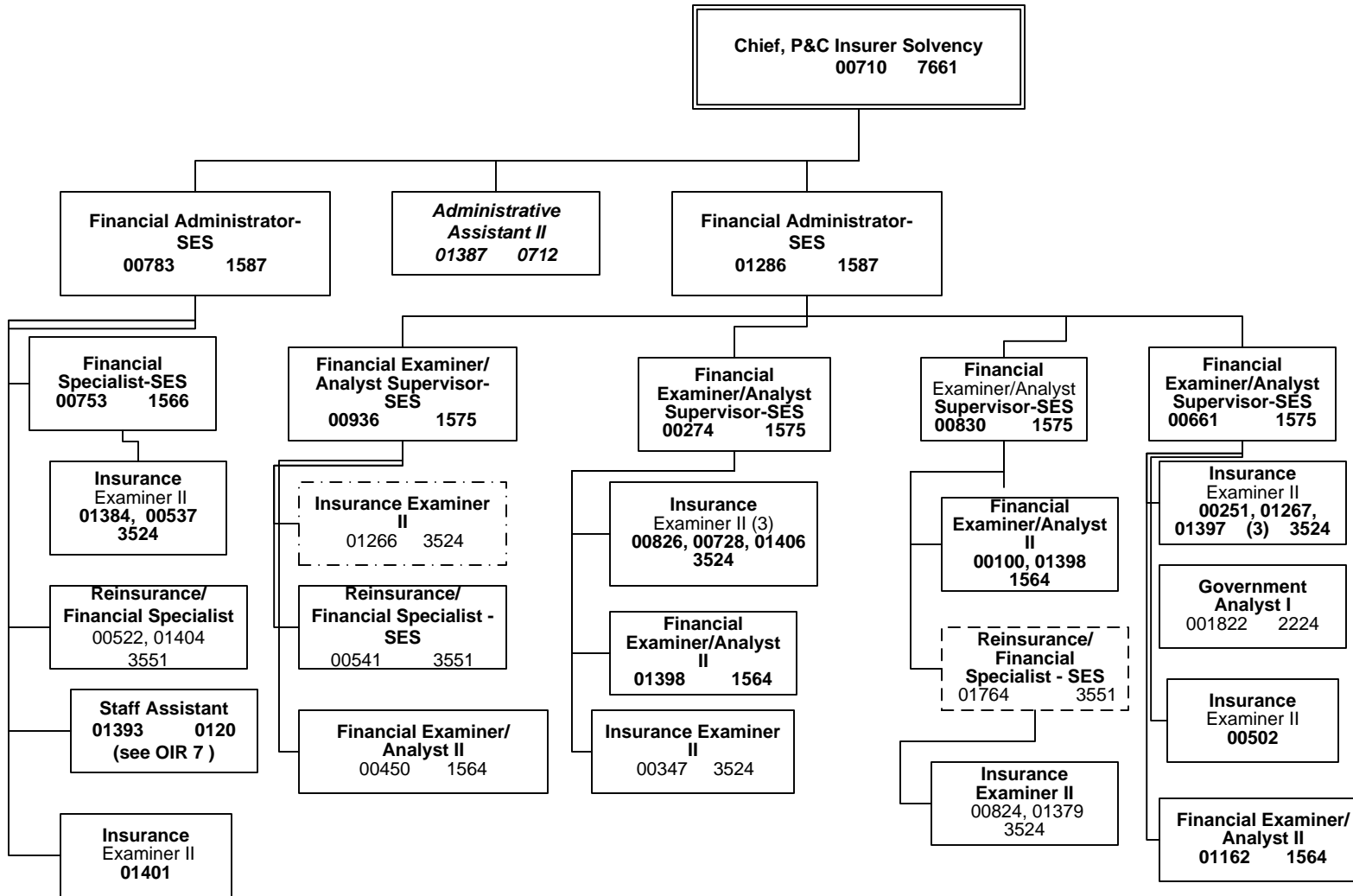
Eff: 05-18-12
Rev: 05-23-12

OIR 3

**Financial Services Commission
Office of Insurance Regulation
Bureau of P & C Insurer Solvency
P & C Examinations Section**



Financial Services Commission
Office of Insurance Regulation
Bureau of P & C Insurer Solvency
P & C Financial Regulation Section



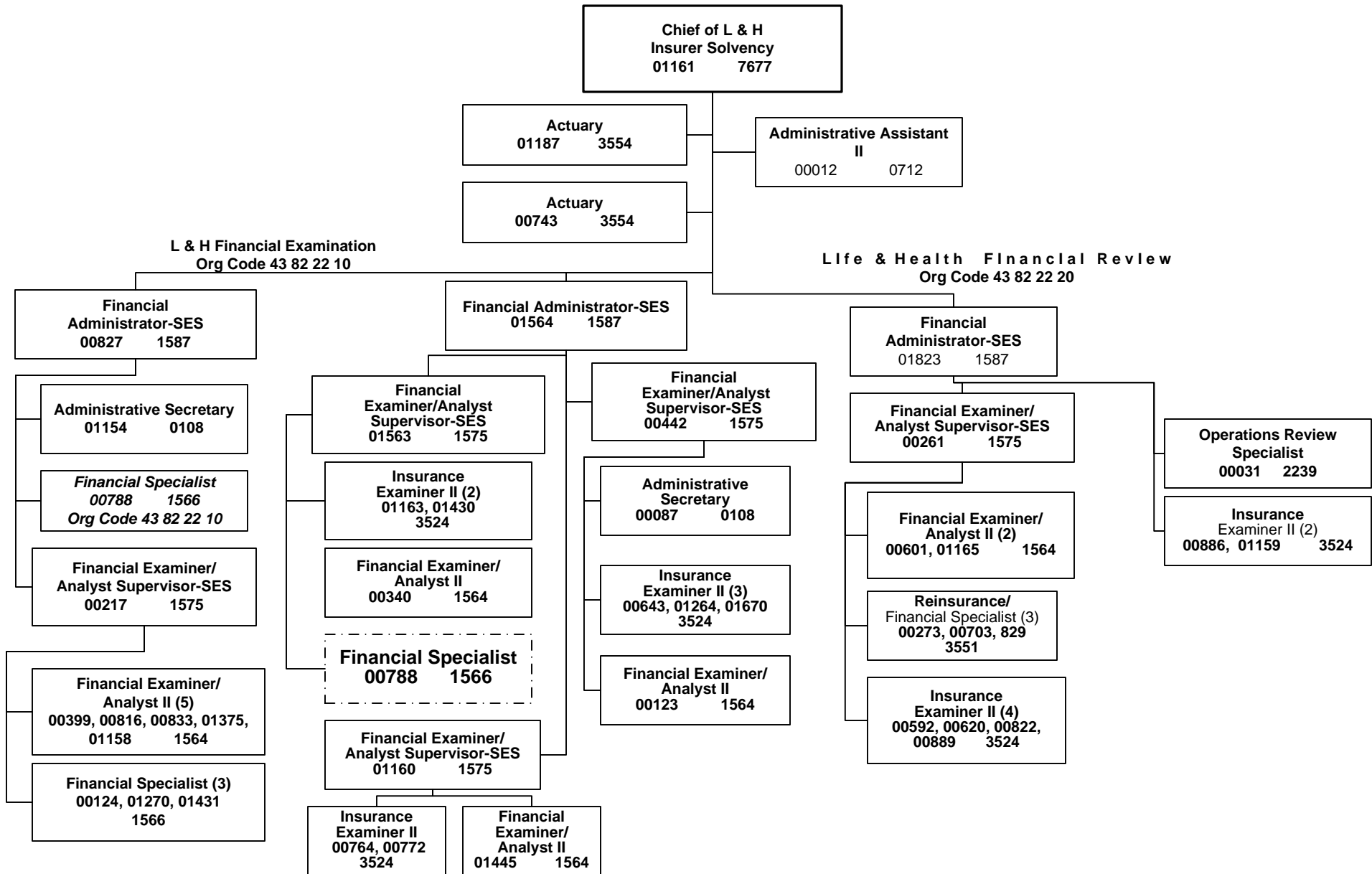
FTE: 32

❖ FTE not Included in this Section
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 Italic = Organizationally Assigned. Reports elsewhere administratively. FTE counted.

Eff 7-18-13
 Rev 7-27-13

OIR 5

**Financial Services Commission
Office of Insurance Regulation
Bureau of Life & Health Insurer Solvency**



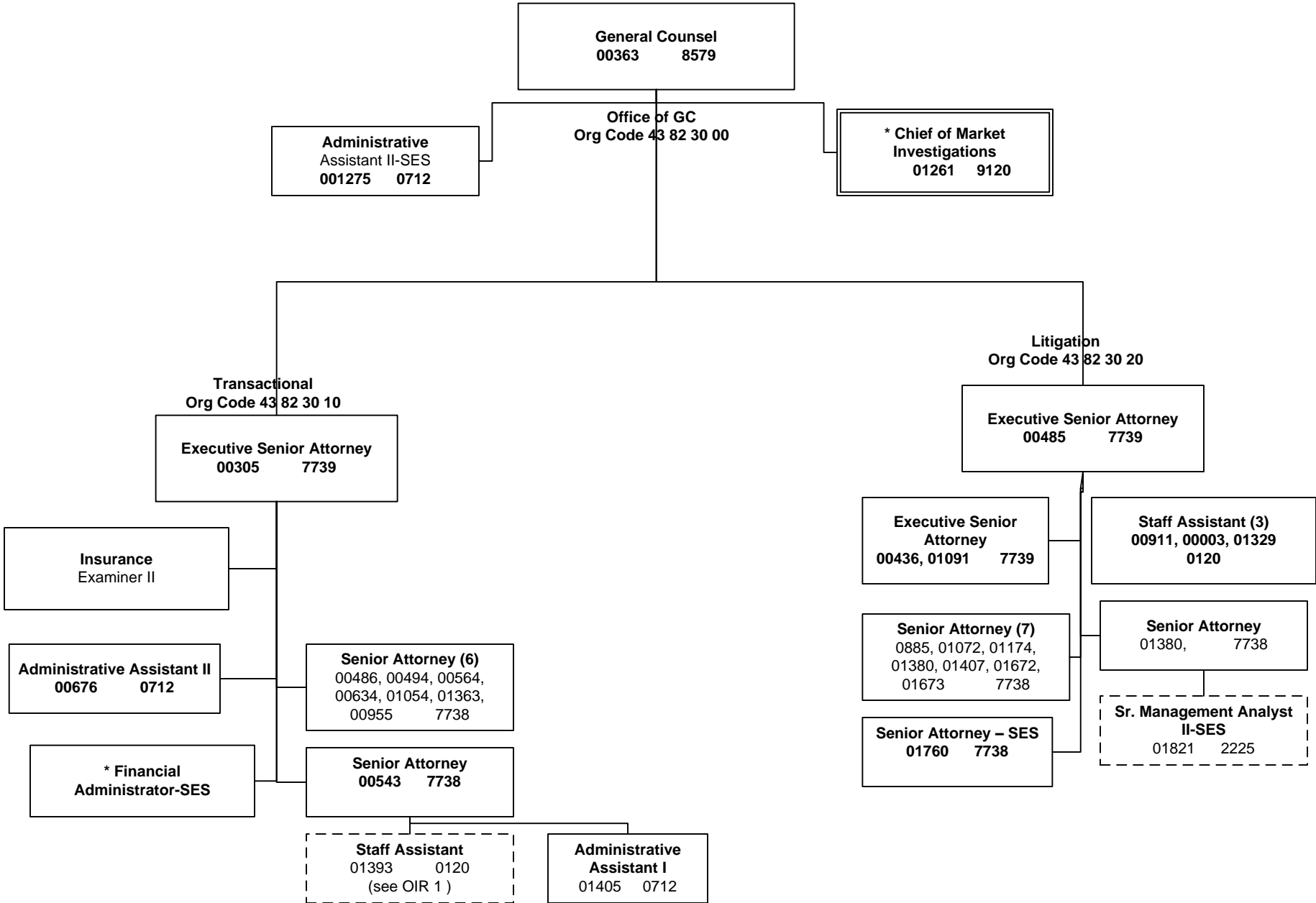
Bureau Total FTE: 45

❖ FTE not Included in this Section
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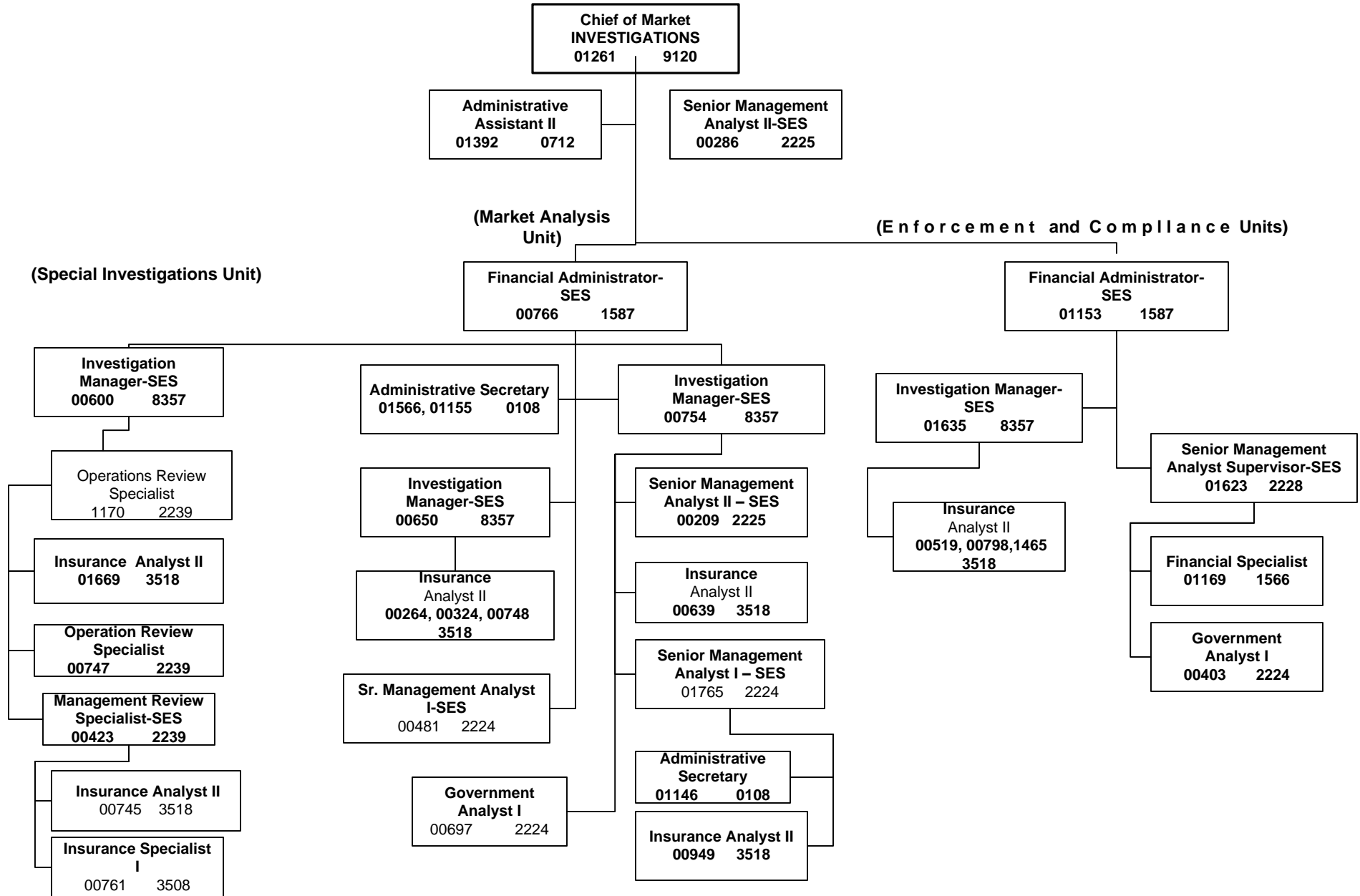
Eff 2/18/2013
Rev 3/4/13

OIR 6

**Financial Services Commission
Office of Insurance Regulation
Legal Services Office**



Financial Services Commission Office of Insurance Regulation Bureau of Market Investigations



Bureau Total FTE: 33

✦ FTE not Included in this Section

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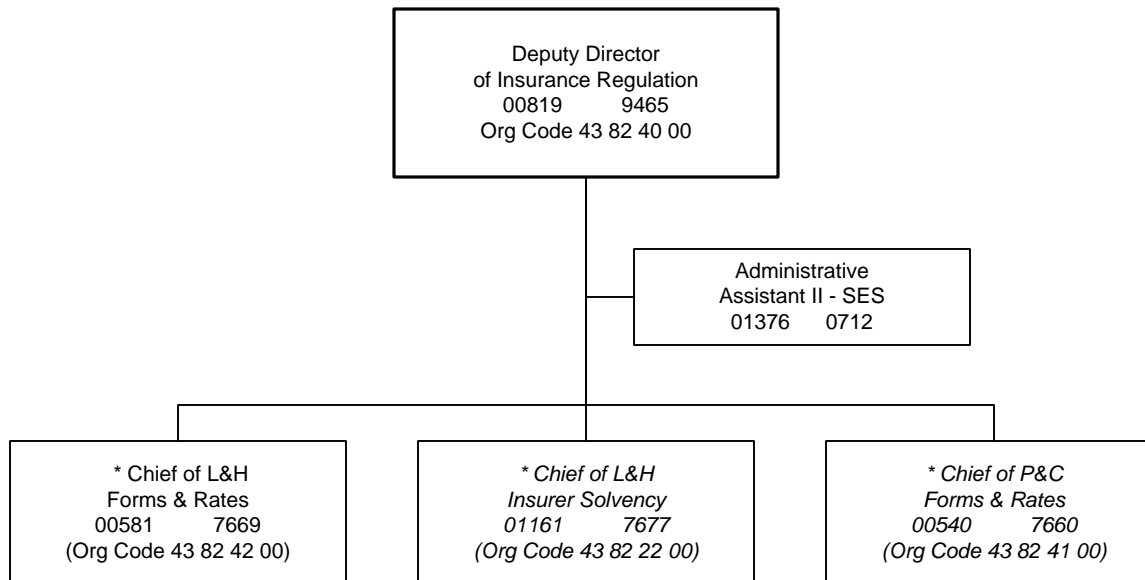
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Eff 7-2-13

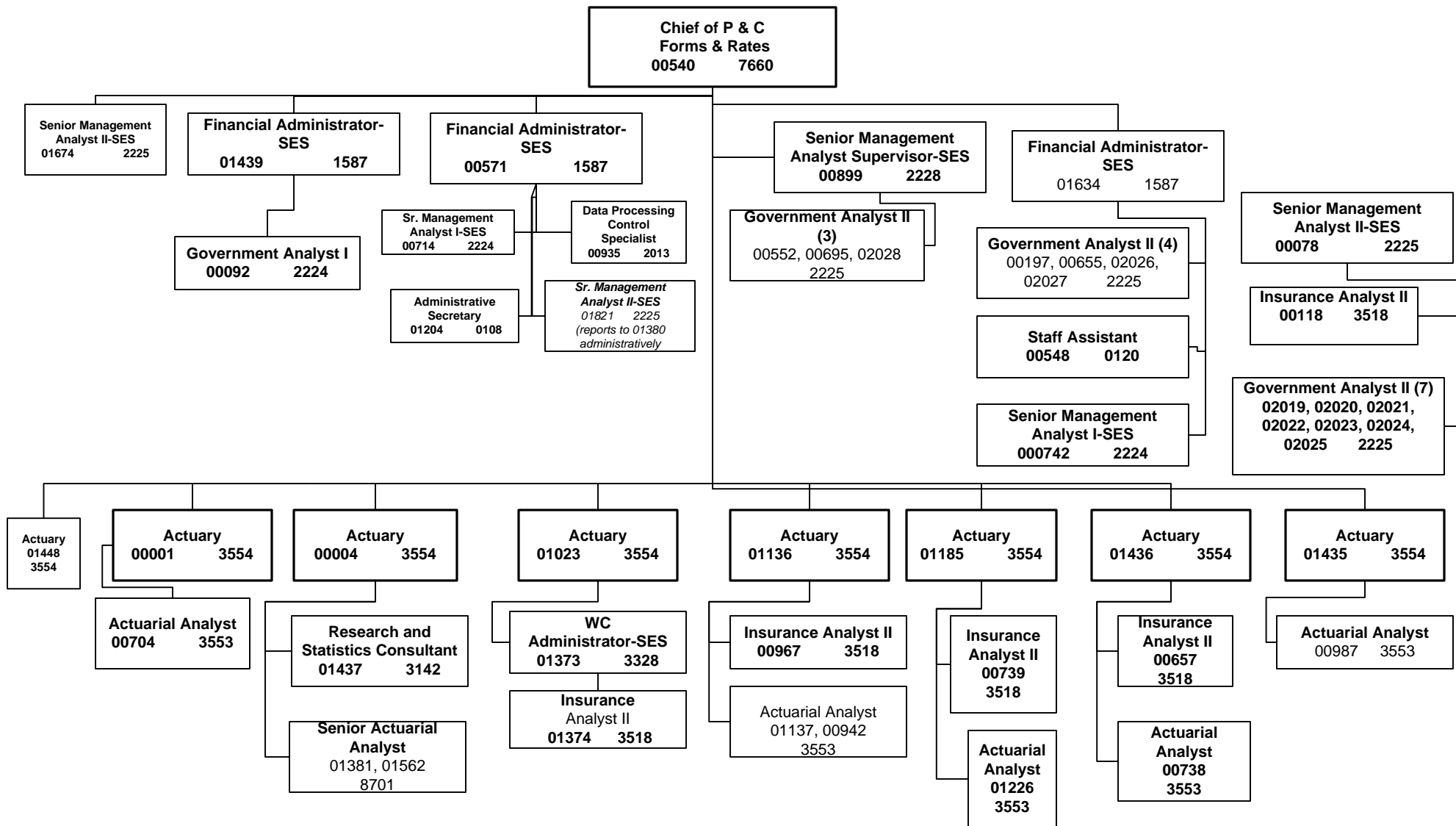
Rev: 7-15-13

OIR 8

**Financial Services Commission
Office of Insurance Regulation
Deputy Director of Insurance Regulation (Forms & Rate)**



**Financial Services Commission
Office of Insurance Regulation
Bureau of Property & Casualty Forms & Rates**



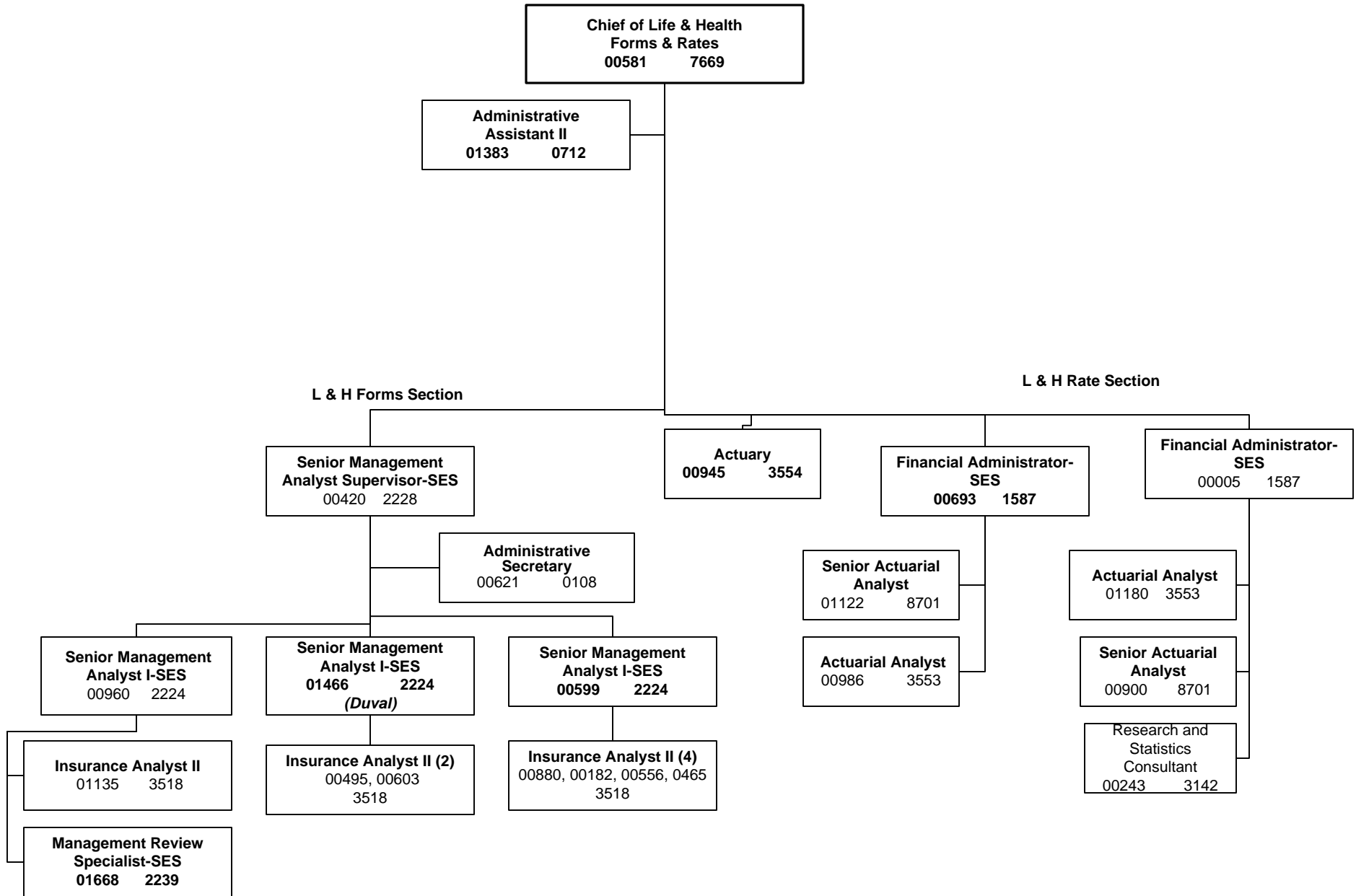
Bureau Total FTE: 51

❖ FTE not Included in this Section
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 Italic = Organizationally Assigned. Reports elsewhere administratively. FTE counted.

Eff 07-01-2013
 Rev 07-23-2013, 7/1 new psn

OIR 10

**Financial Services Commission
Office of Insurance Regulation
Bureau of Life & Health Forms & Rates**



Bureau Total FTE: 23

❖ FTE not Included in this Section

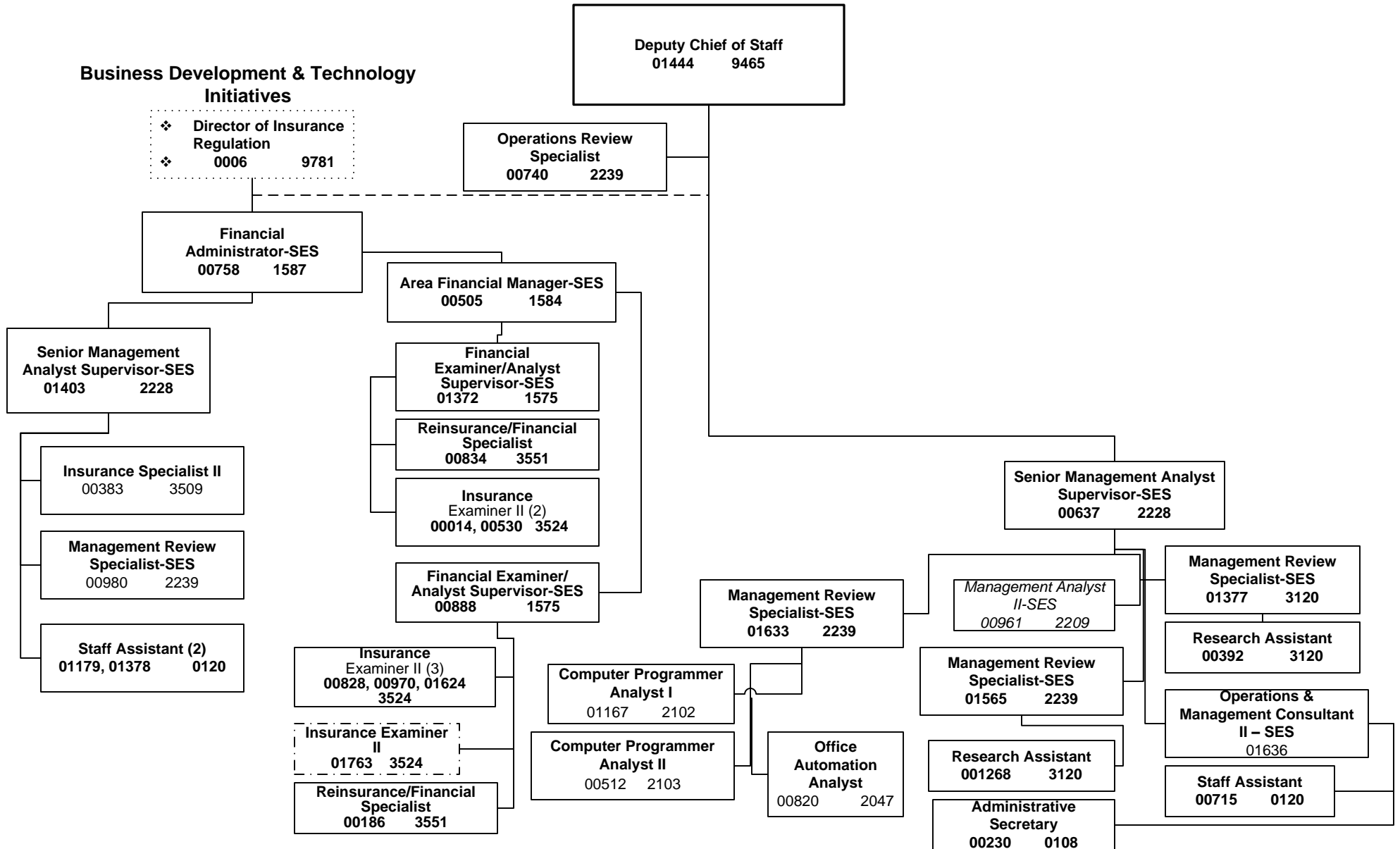
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Italic = Organizationally Assigned. Reports elsewhere administratively. FTE counted.

Eff
Rev 7-29-13

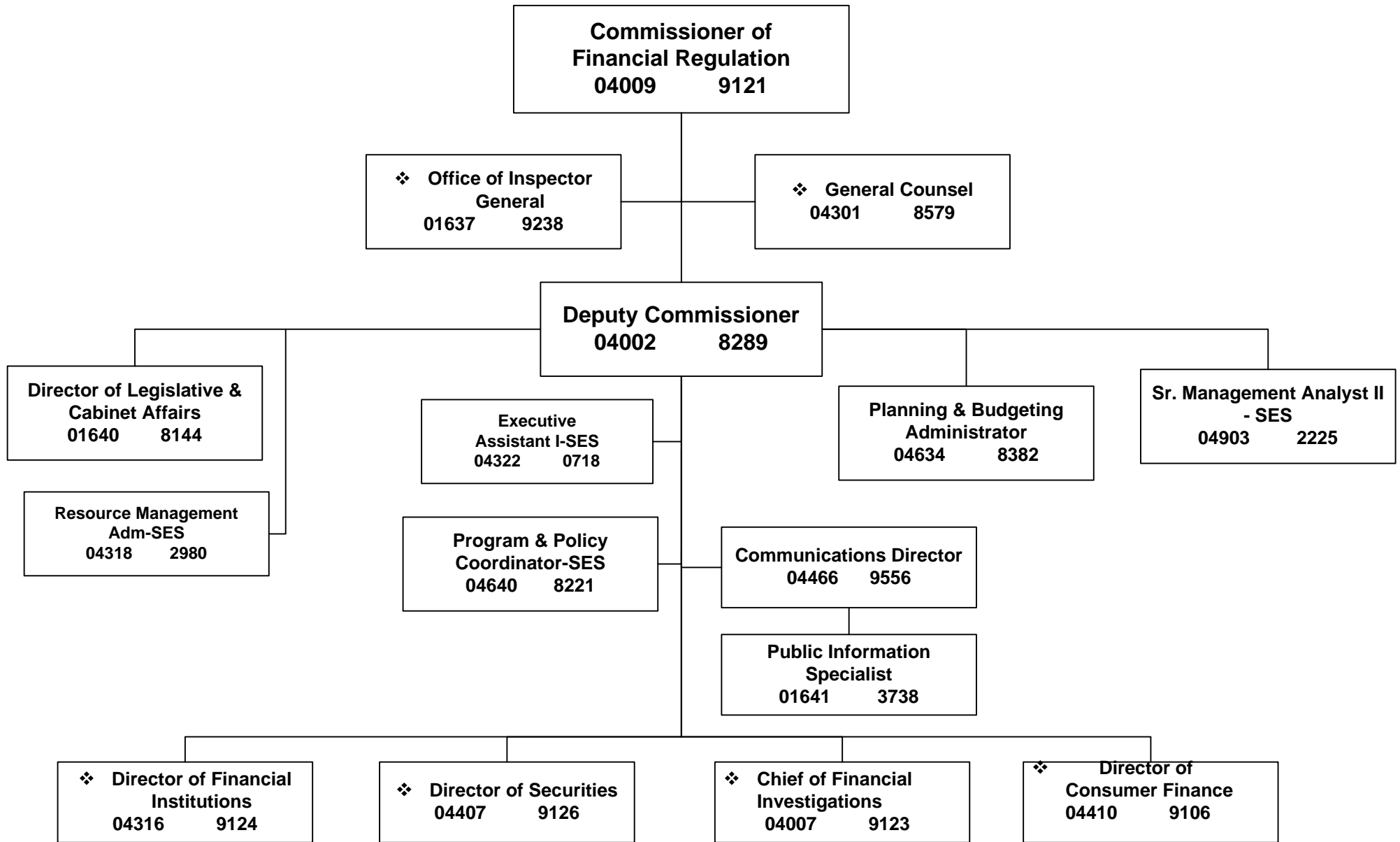
OIR 11

Financial Services Commission Office of Insurance Regulation Business Development & Market Research

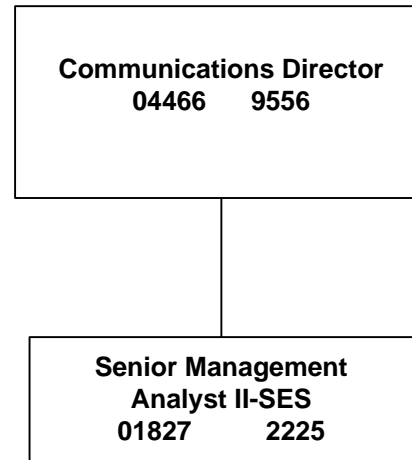


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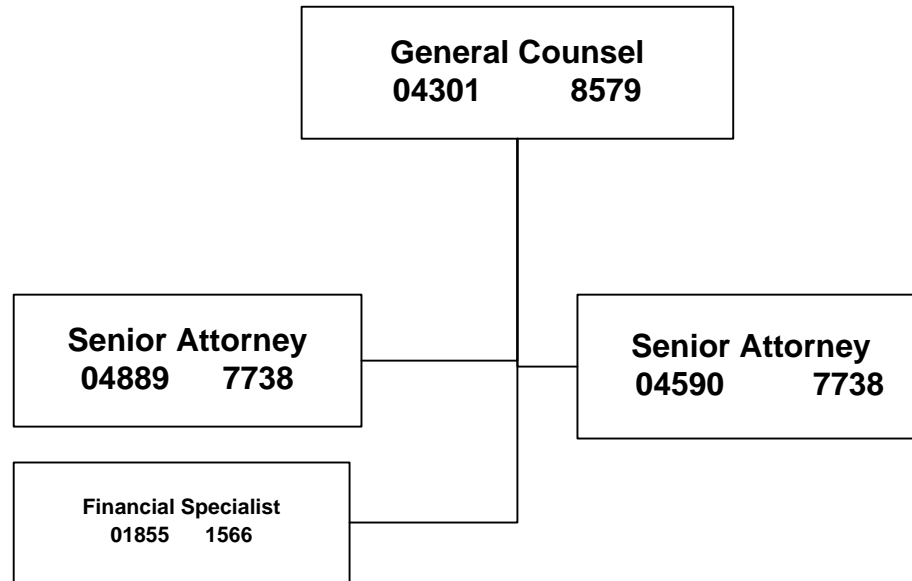
**Financial Services Commission
Office of Financial Regulation
Office of the Commissioner**



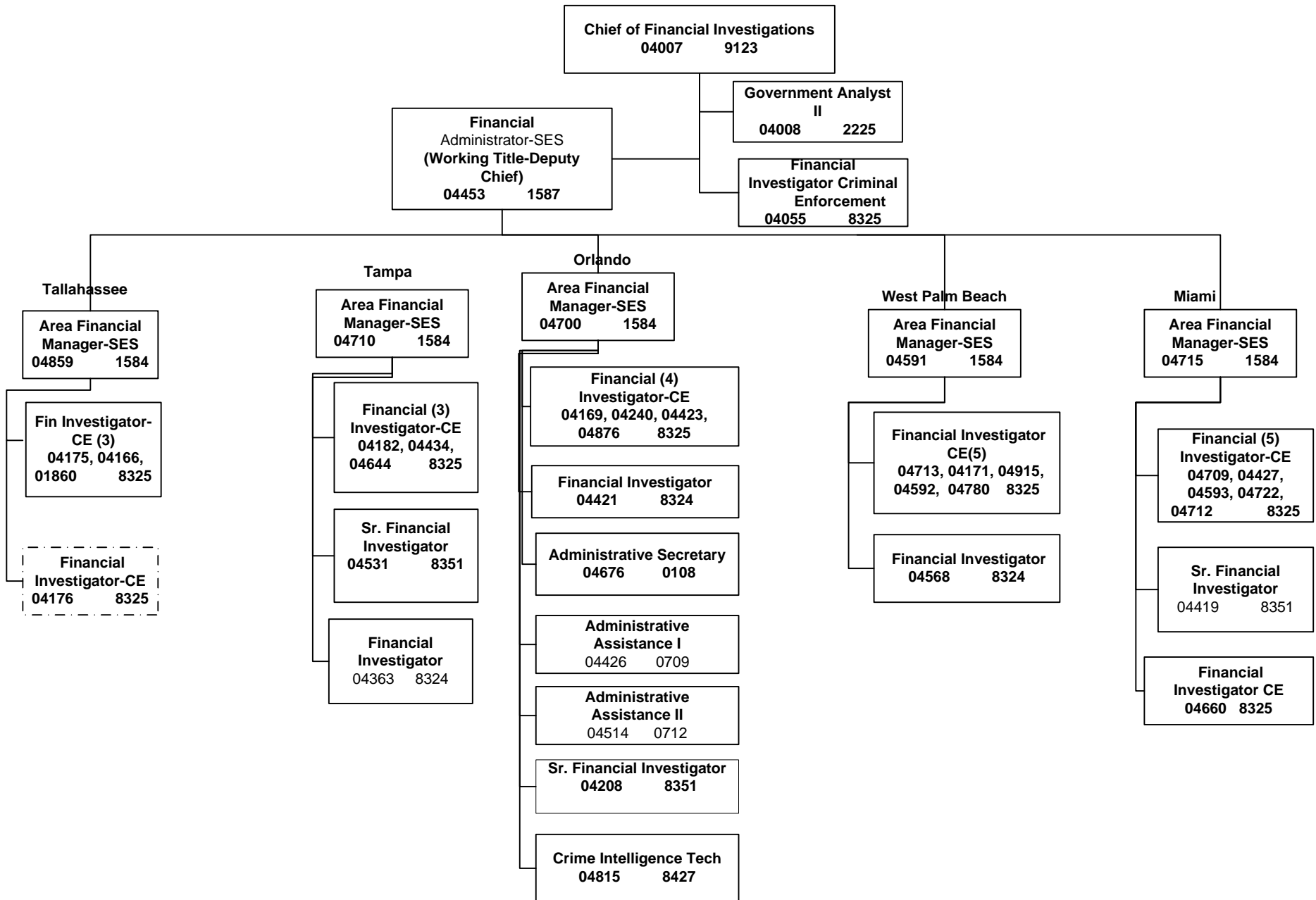
**Financial Services Commission
Office of Financial Regulation
Office of the Inspector General**



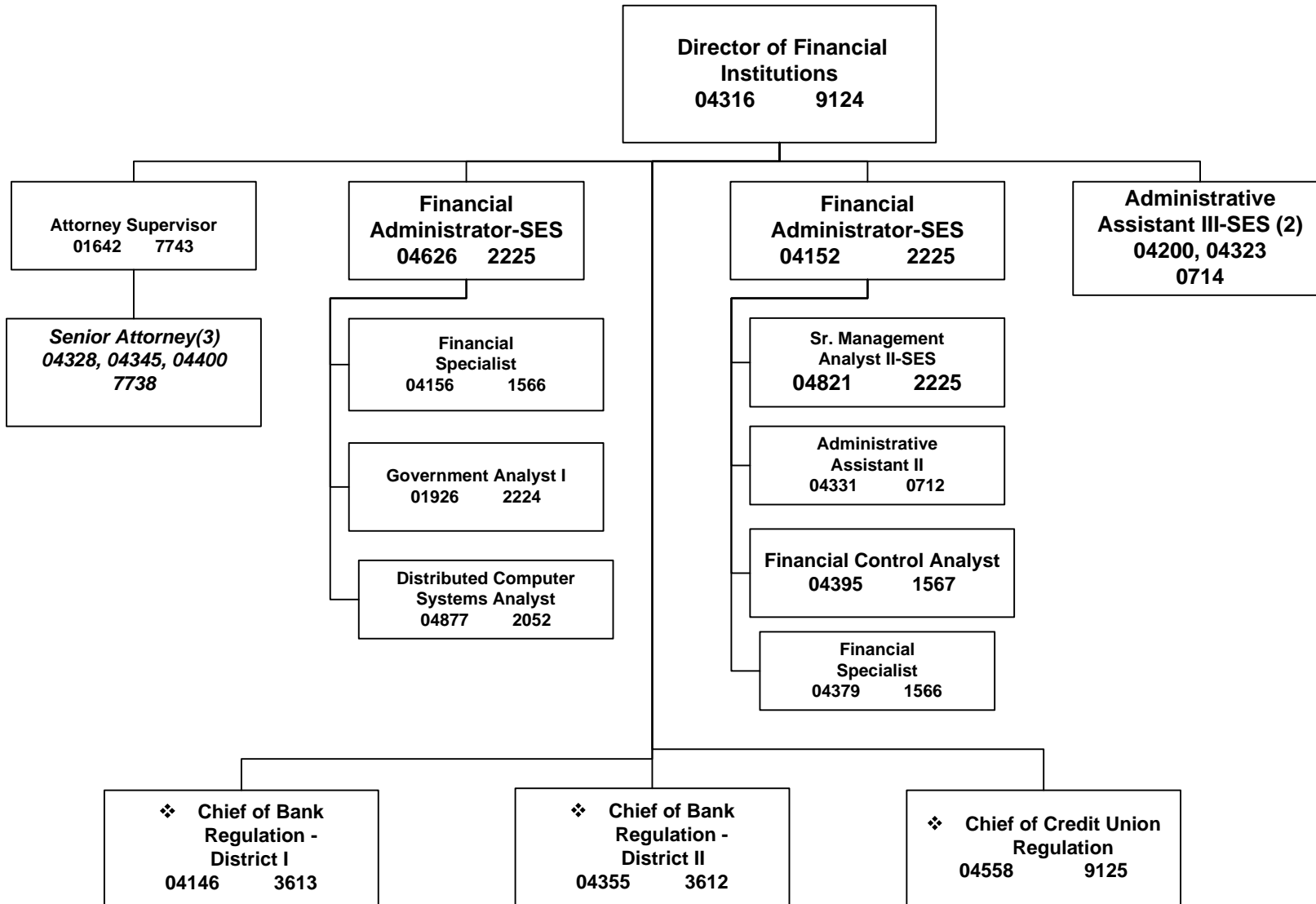
**Financial Services Commission
Office of Financial Regulation
Office of the General Counsel**



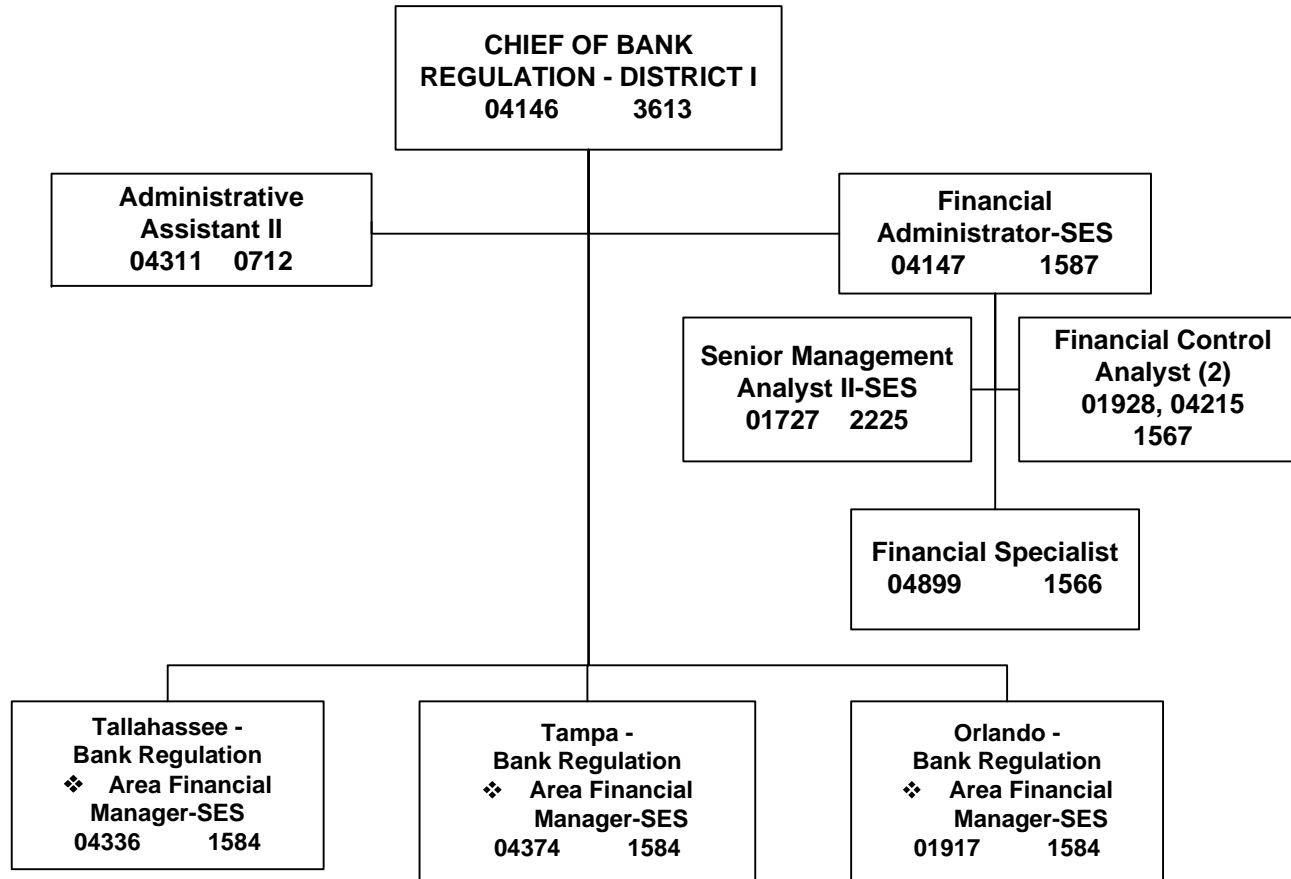
Financial Services Commission Office of Financial Regulation Bureau of Financial Investigations



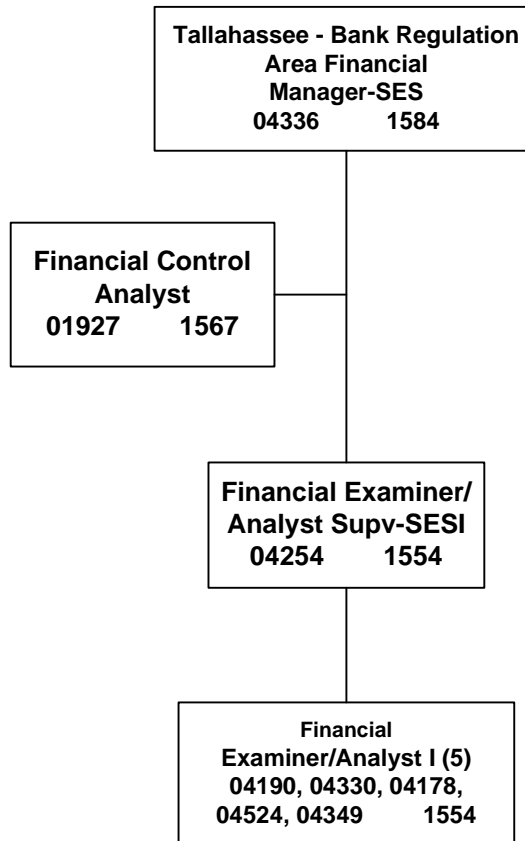
**Financial Services Commission
Office of Financial Regulation
Division of Financial Institutions
Office of the Director**



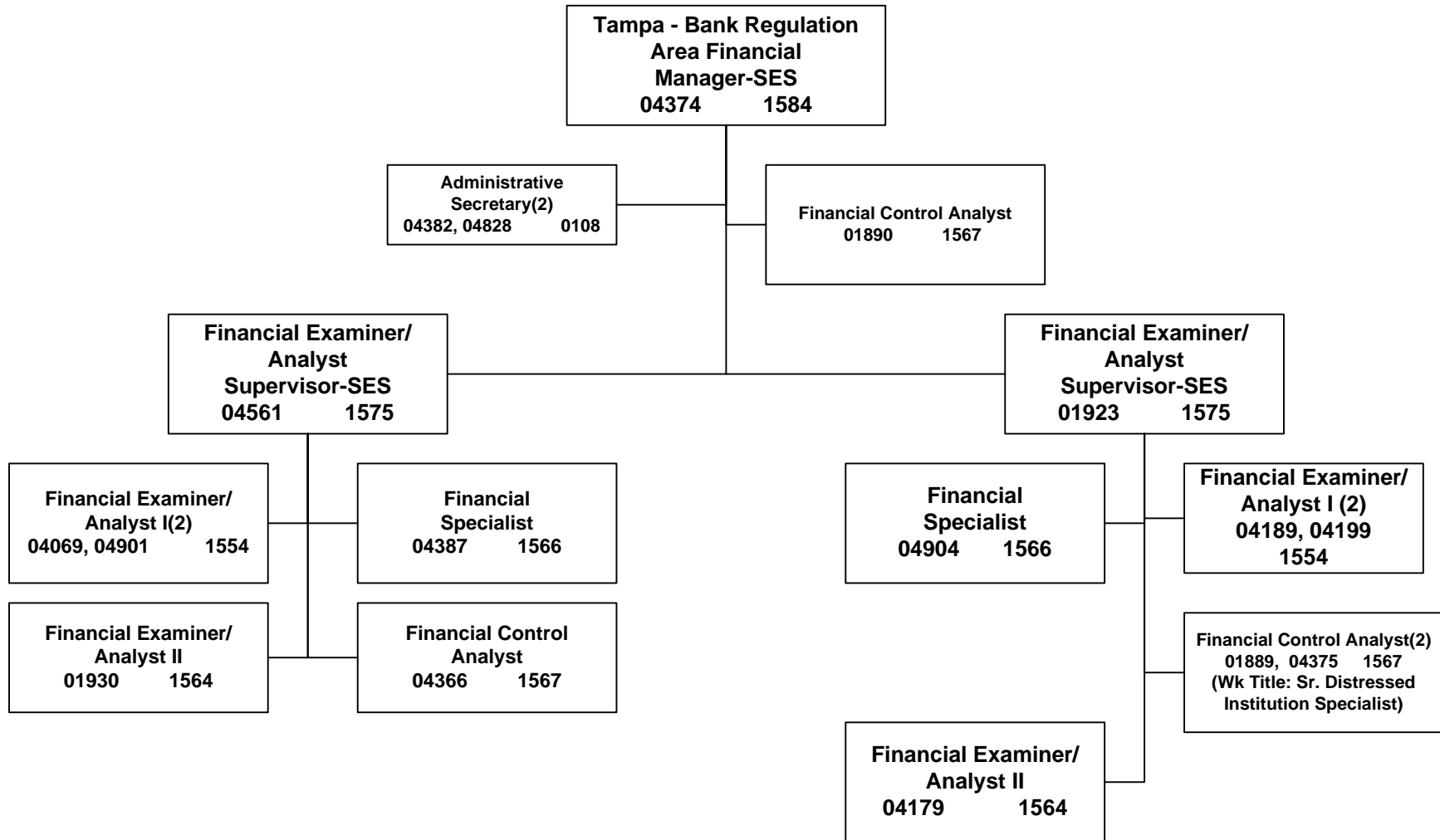
**Financial Services Commission
Office of Financial Regulation
Division of Financial Institutions
Bureau of Bank Regulation - District I**



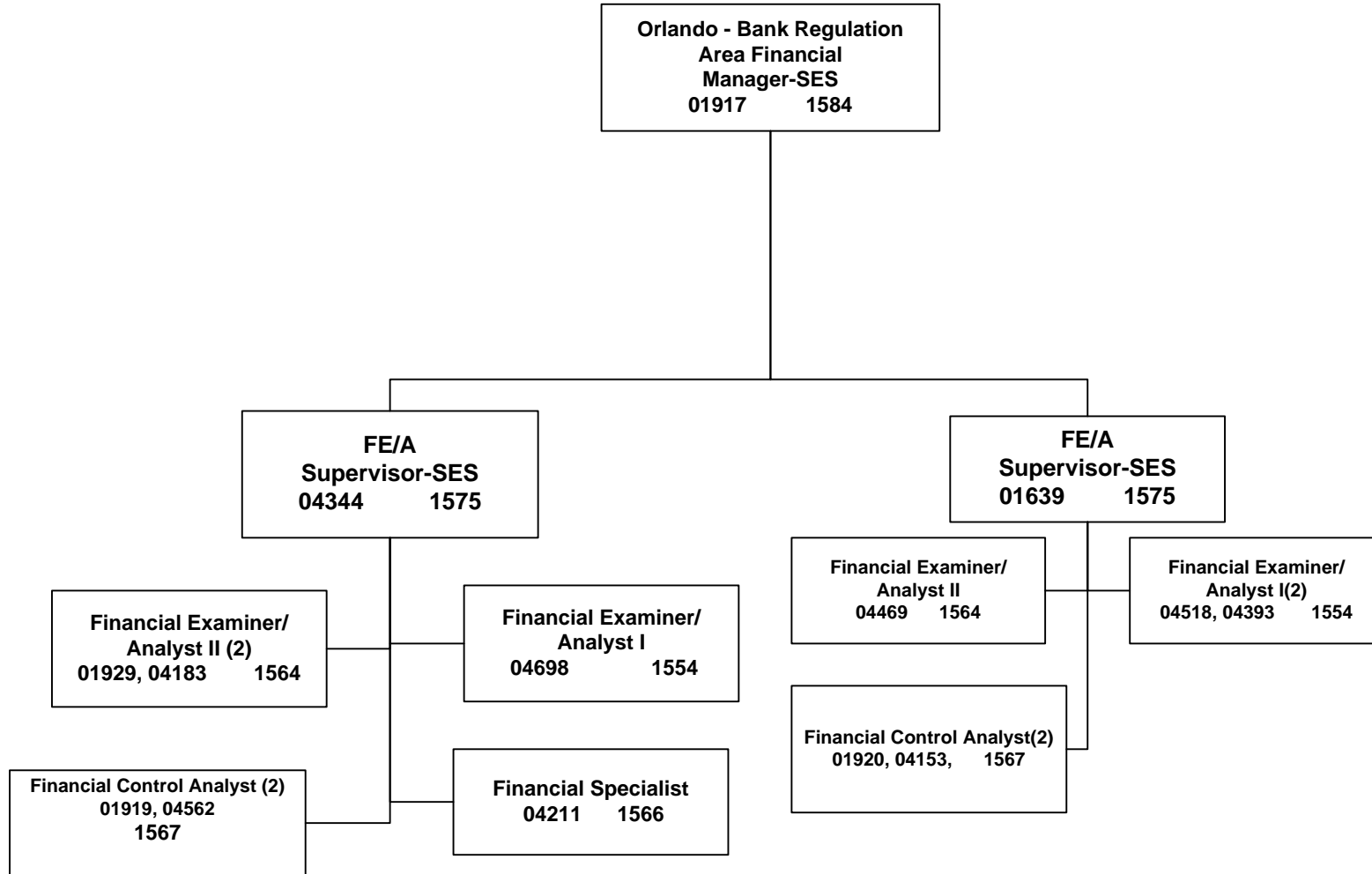
Financial Services Commission / **Office of Financial Regulation (84)**
Division of Financial Institutions (30)
Bureau of Bank Regulation - District I (10)
Tallahassee Field Office - Bank Regulation (20)



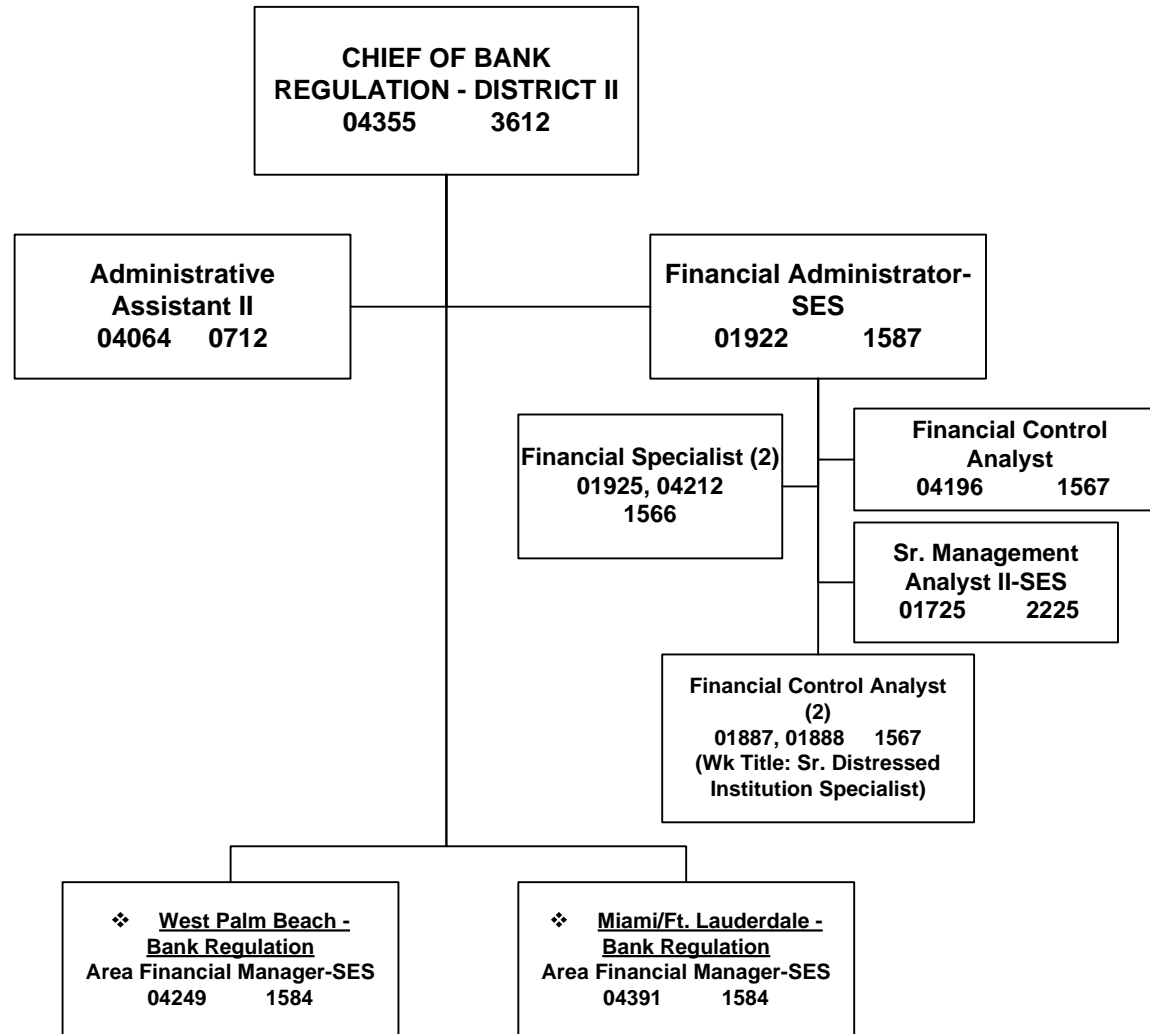
**Financial Services Commission
Office of Financial Regulation
Division of Financial Institutions
Bureau of Bank Regulation - District I**



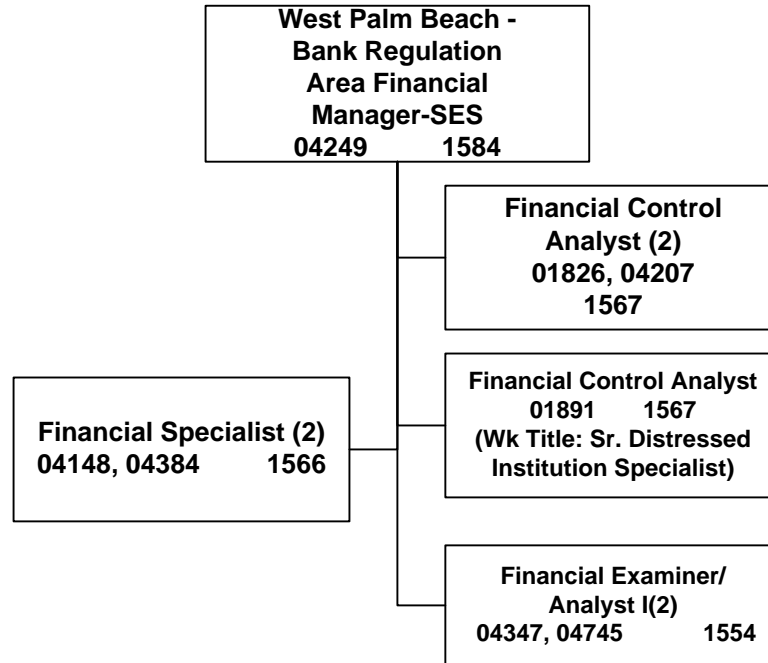
**Financial Services Commission
Office of Financial Regulation
Division of Financial Institutions
Bureau of Bank Regulation - District I**



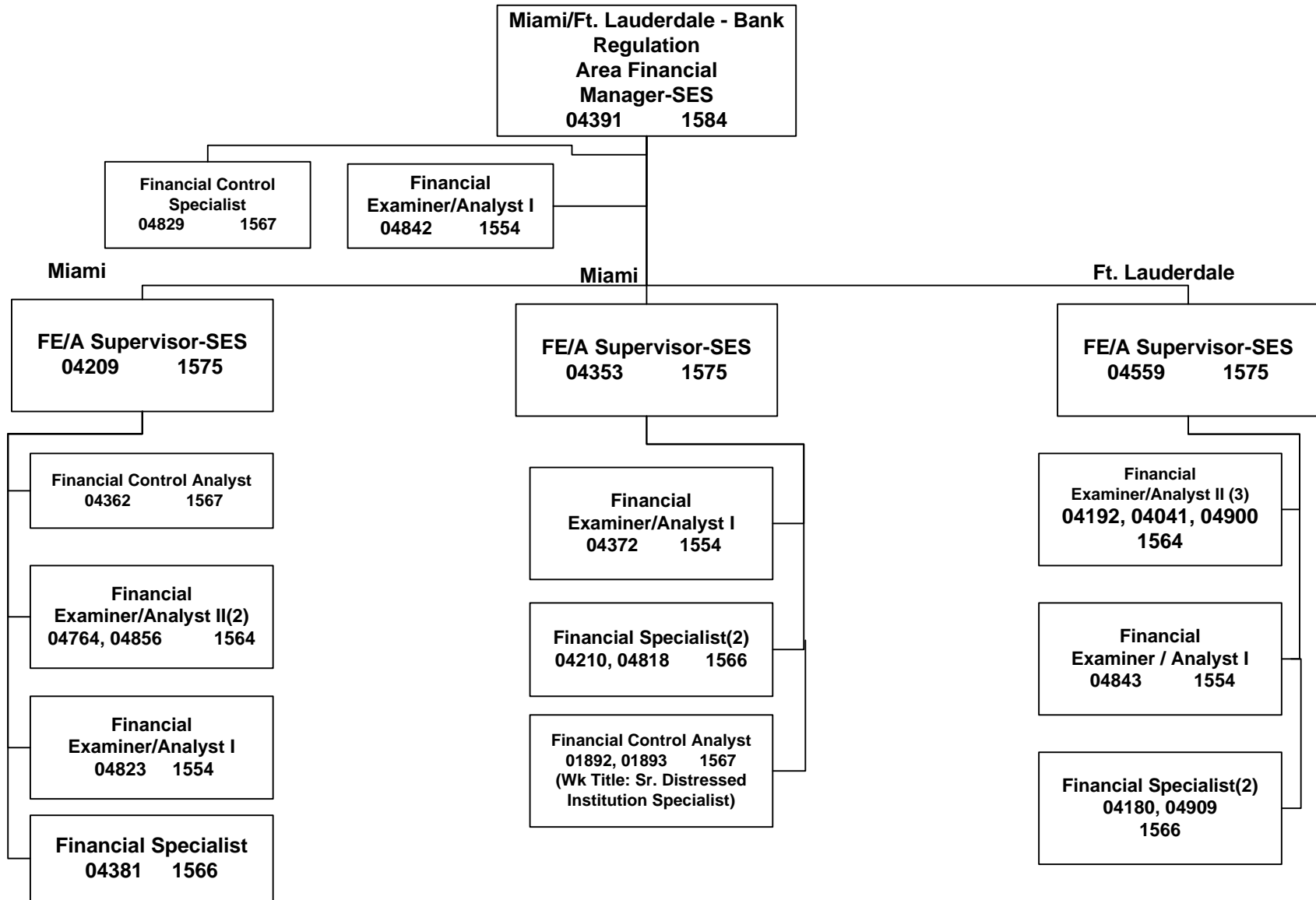
**Financial Services Commission
Office of Financial Regulation
Division of Financial Institutions
Bureau of Bank Regulation - District II**



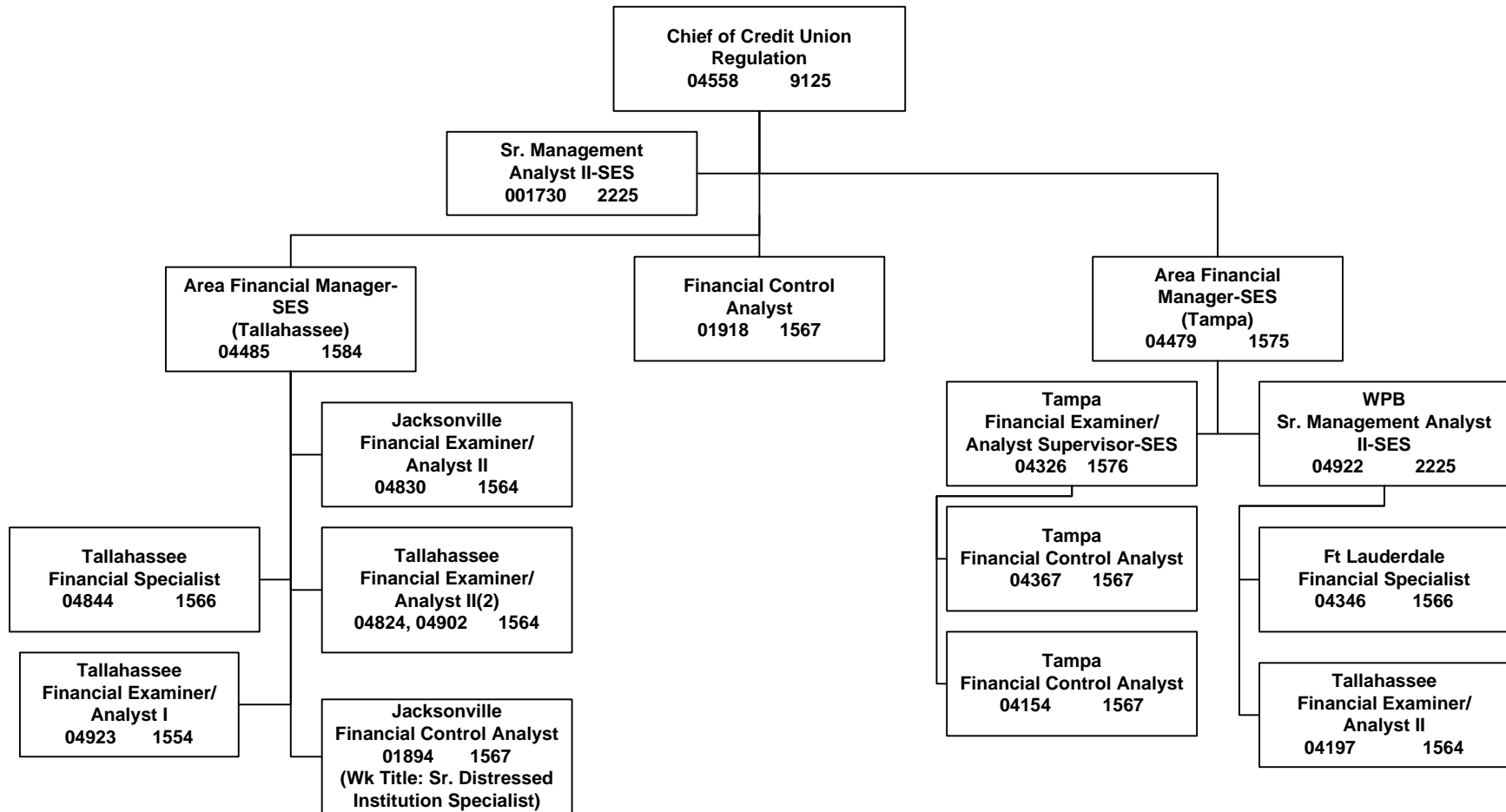
**Financial Services Commission
Office of Financial Regulation
Division of Financial Institutions
Bureau of Bank Regulation - District II**



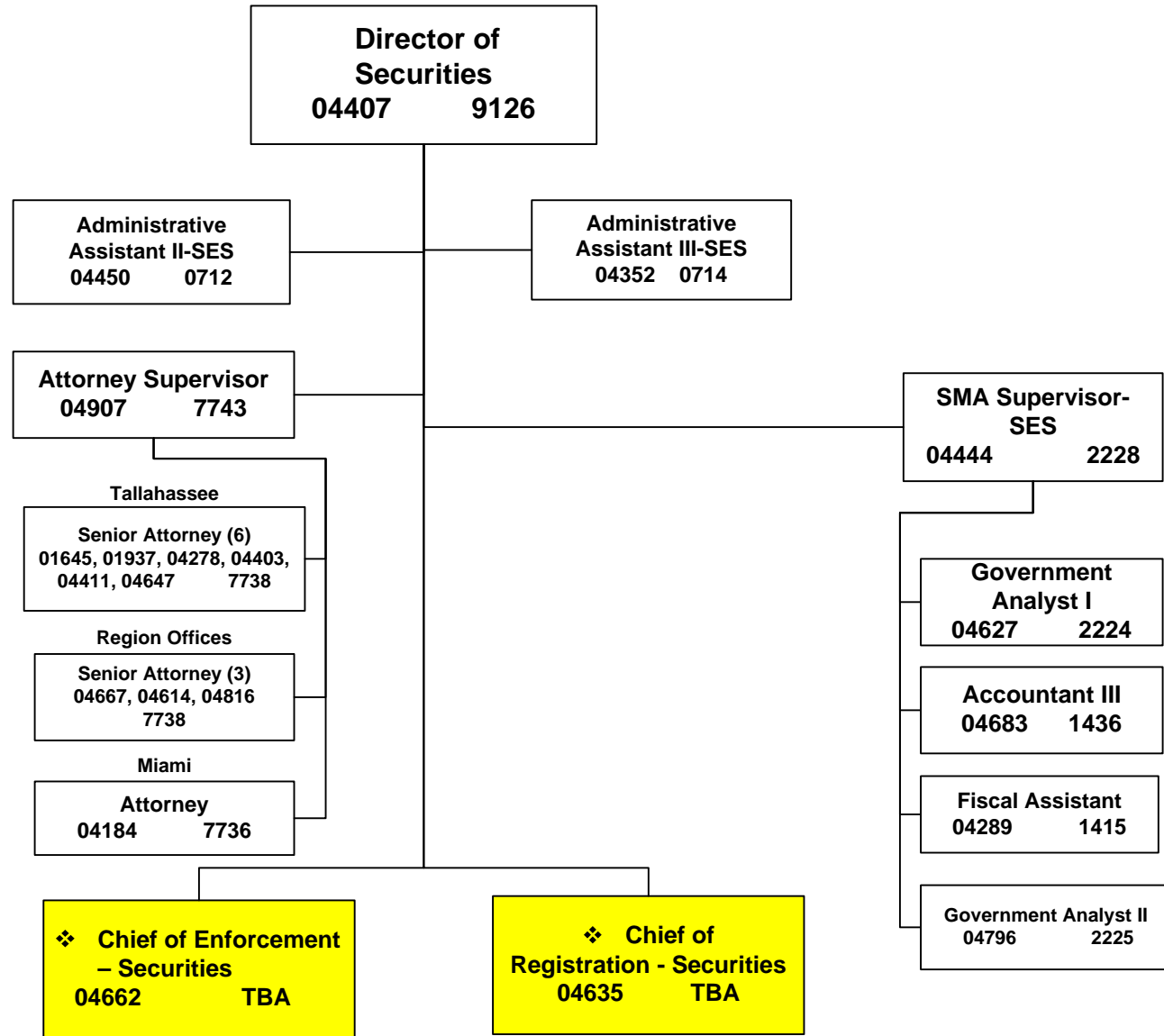
Financial Services Commission
Office of Financial Regulation
Division of Financial Institutions
Bureau of Bank Regulation - District II



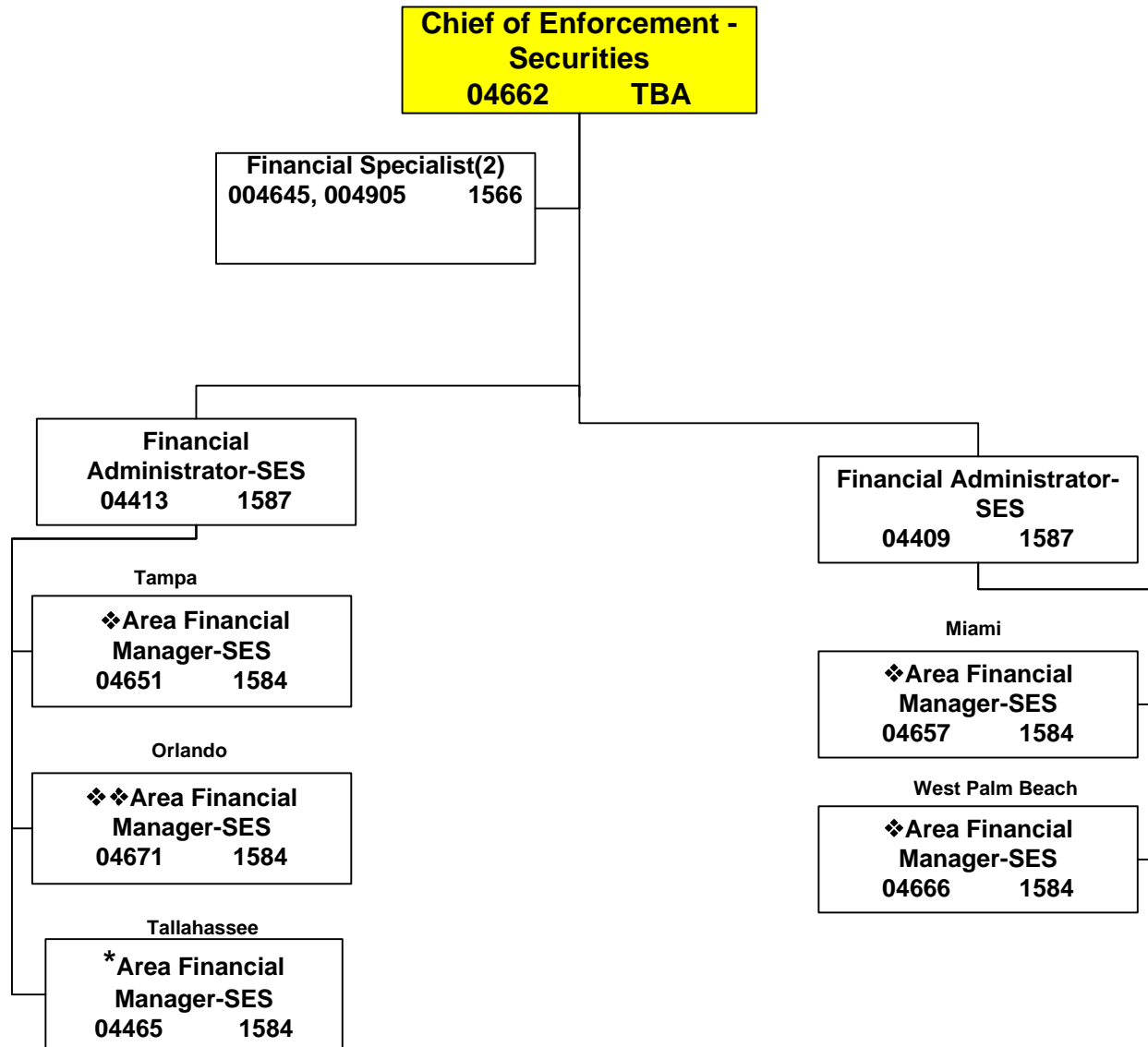
**Financial Services Commission
Office of Financial Regulation
Division of Financial Institutions
Bureau of Credit Union Regulation**



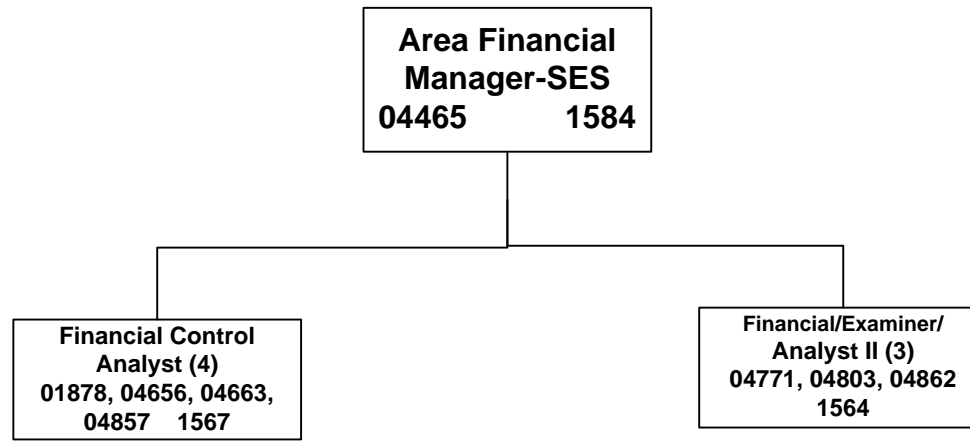
**Financial Services Commission
Office of Financial Regulation
Division of Securities
Office of the Director**



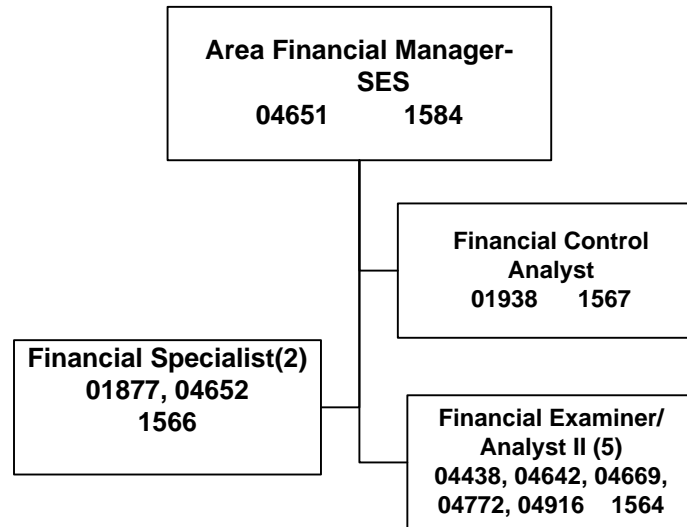
**Financial Services Commission
Office of Financial Regulation
Division of Securities
Bureau of Enforcement – Securities**



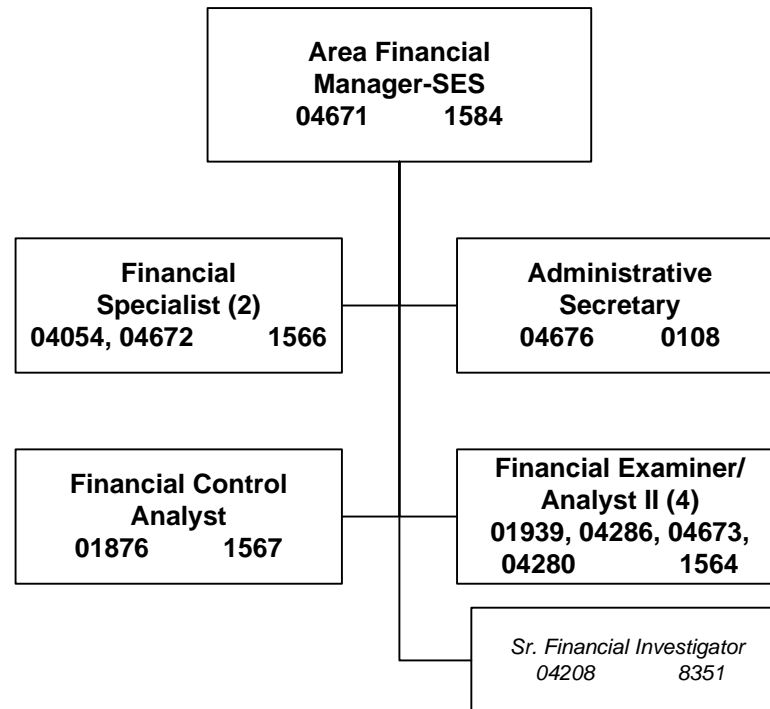
**Financial Services Commission
Office of Financial Regulation
Division of Securities
Bureau of Enforcement - Securities
Tallahassee - Securities Regulation**



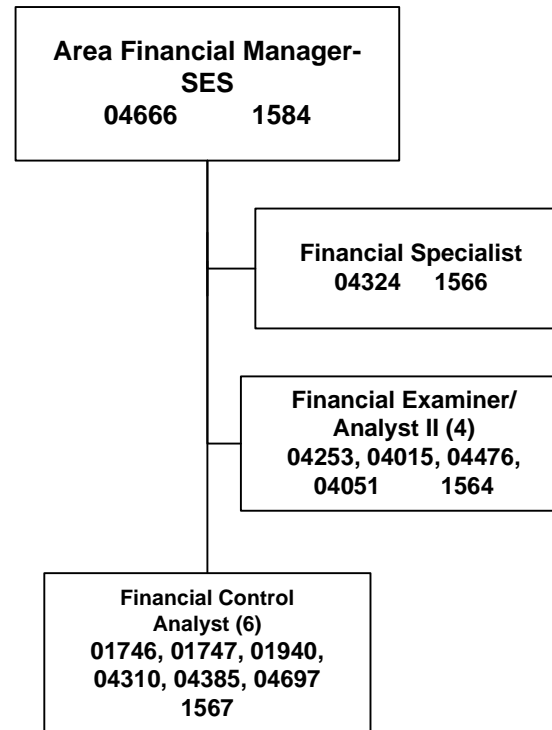
**Financial Services Commission
Office of Financial Regulation
Division of Securities
Bureau of Enforcement - Securities
Tampa Securities Enforcement**



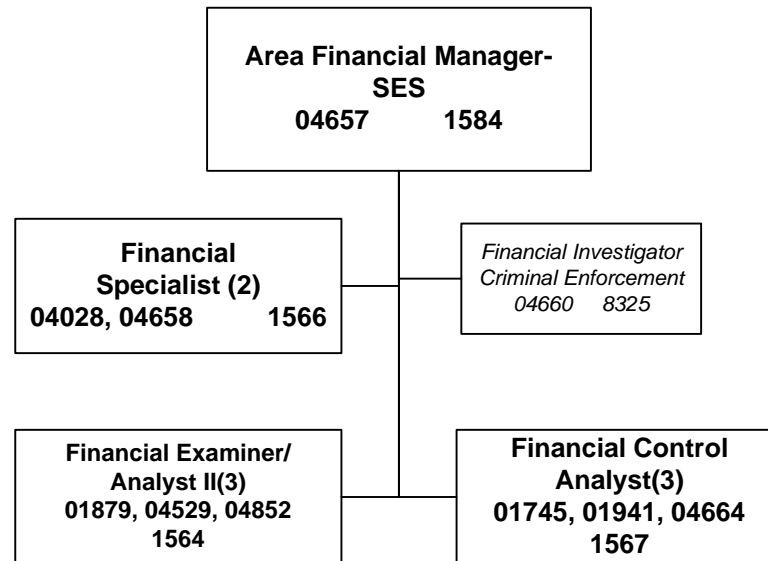
**Financial Services Commission
Office of Financial Regulation
Division of Securities
Bureau of Enforcement - Securities
Orlando Securities Enforcement**



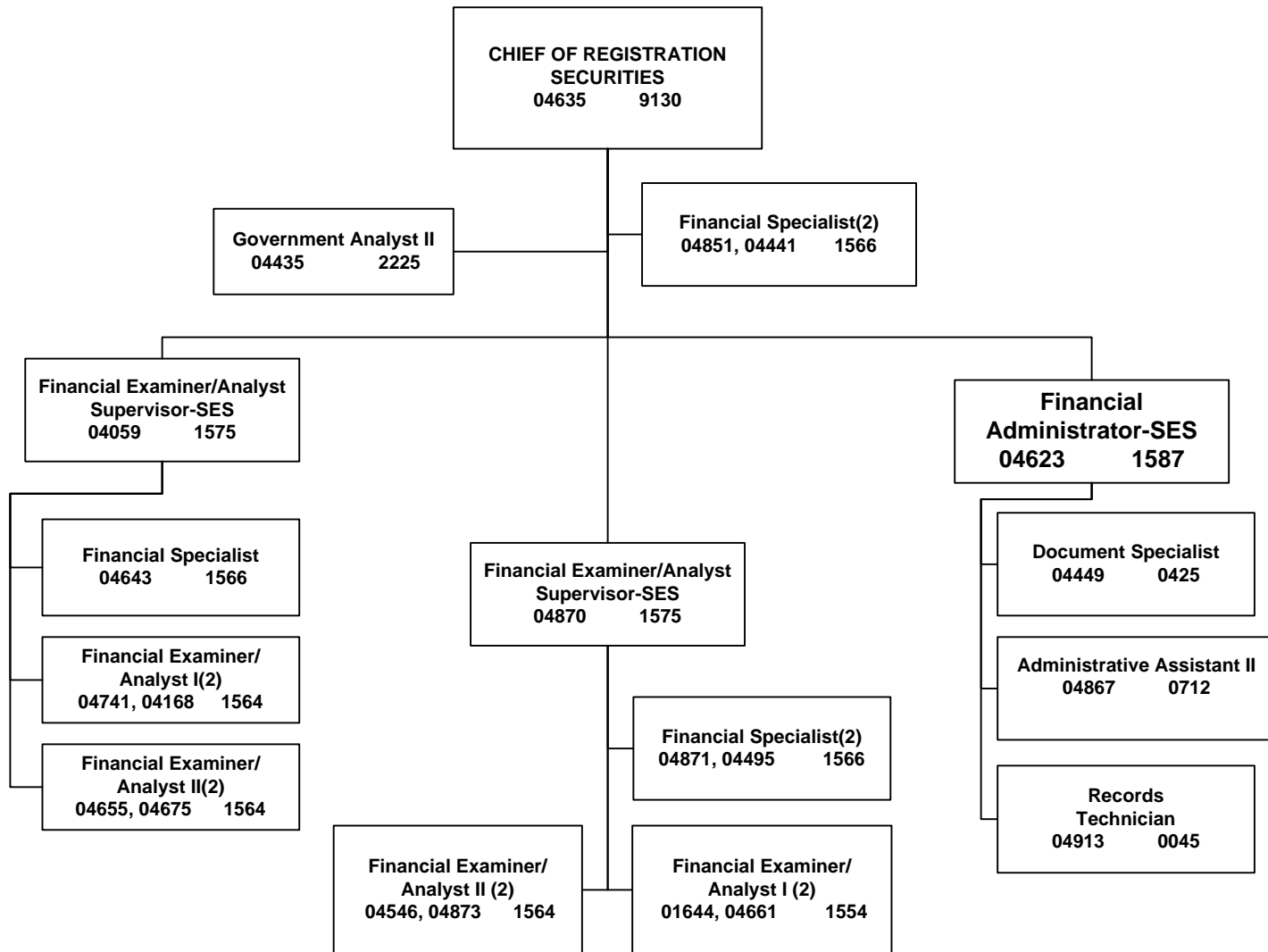
**Financial Services Commission
Office of Financial Regulation
Division of Securities
Bureau of Enforcement Securities
West Palm Beach Securities Enforcement**



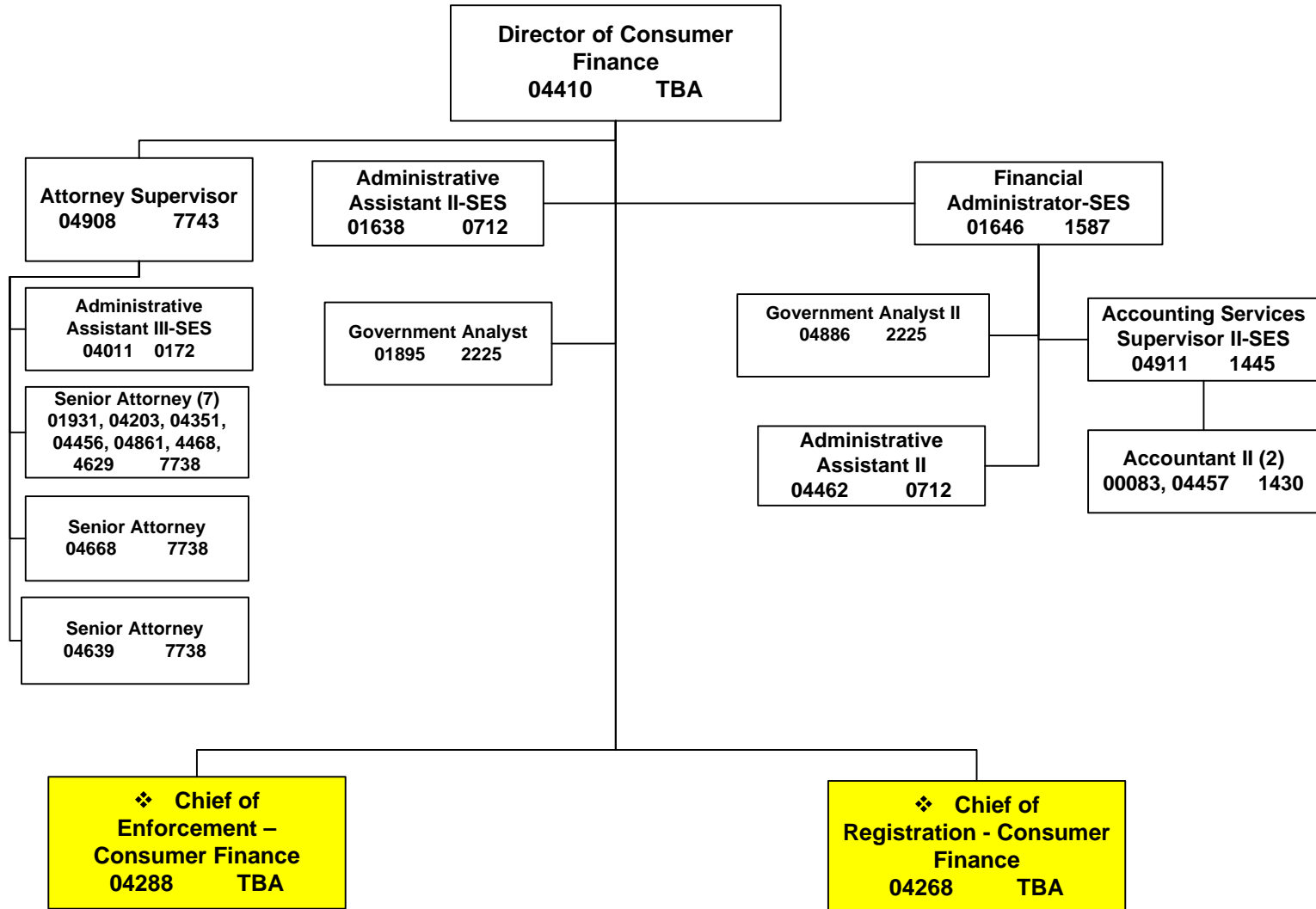
**Financial Services Commission
Office of Financial Regulation
Division of Securities
Bureau of Enforcement - Securities
Miami – Securities Enforcement**



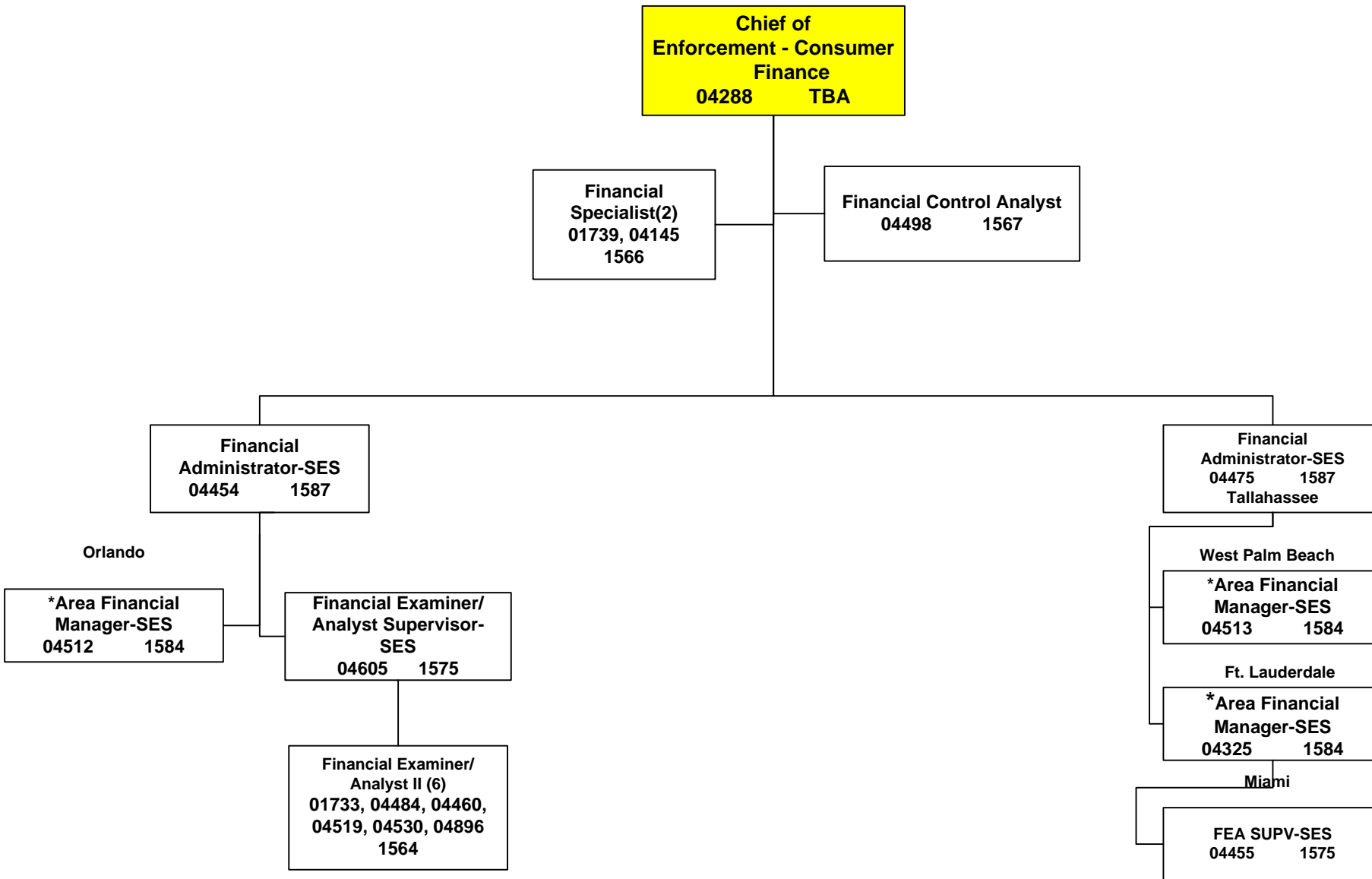
Financial Services Commission
Office of Financial Regulation
Division of Securities
Bureau of Registration - Securities



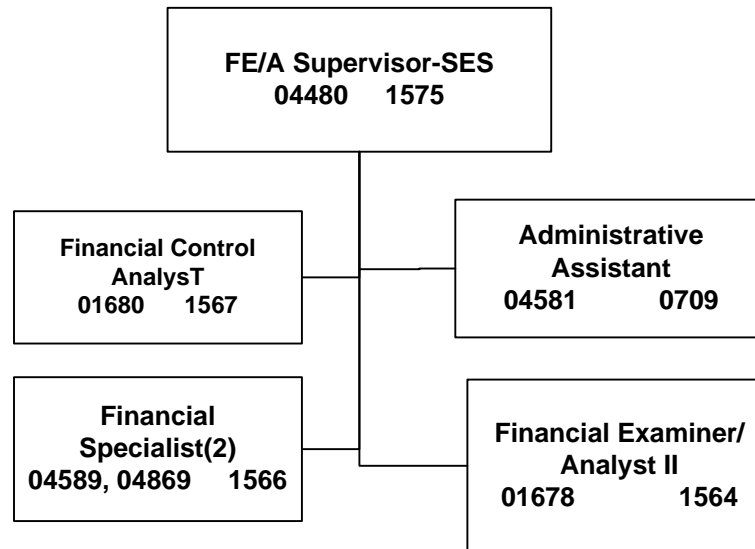
**Financial Services Commission
Office of Financial Regulation
Division of Consumer Finance
Office of the Director**



**Financial Services Commission
Office of Financial Regulation
Division of Consumer Finance
Bureau of Enforcement – Consumer Finance**

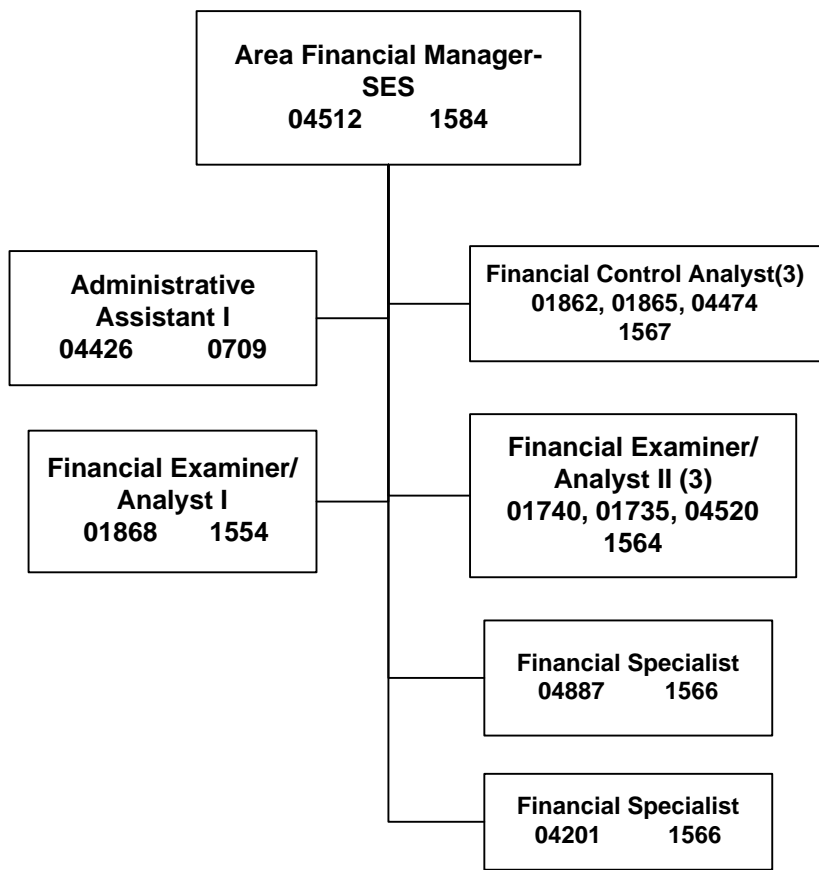


**Financial Services Commission
Office of Financial Regulation
Division of Consumer Finance
Bureau of Enforcement – Consumer Finance
Tampa Consumer Finance Enforcement**

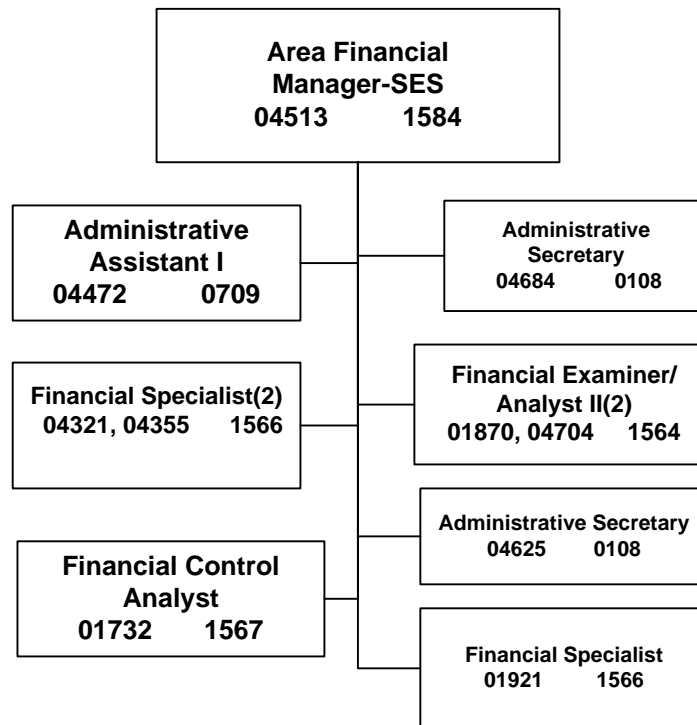


Financial Services Commission
Office of Financial Regulation
Division of Consumer Finance
Bureau of Enforcement - Consumer Finance
Orlando Consumer Finance Enforcement

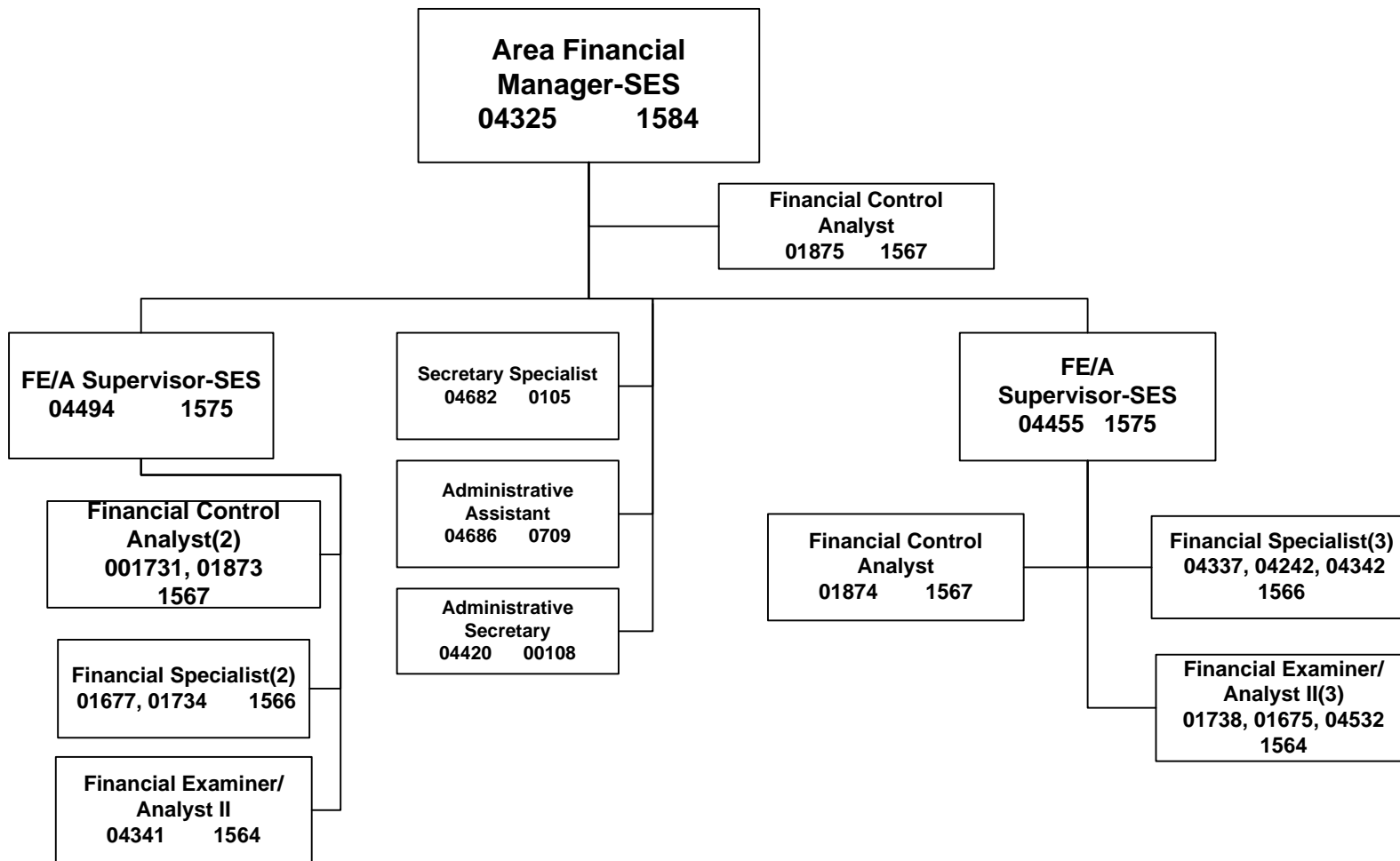
PROPOSED



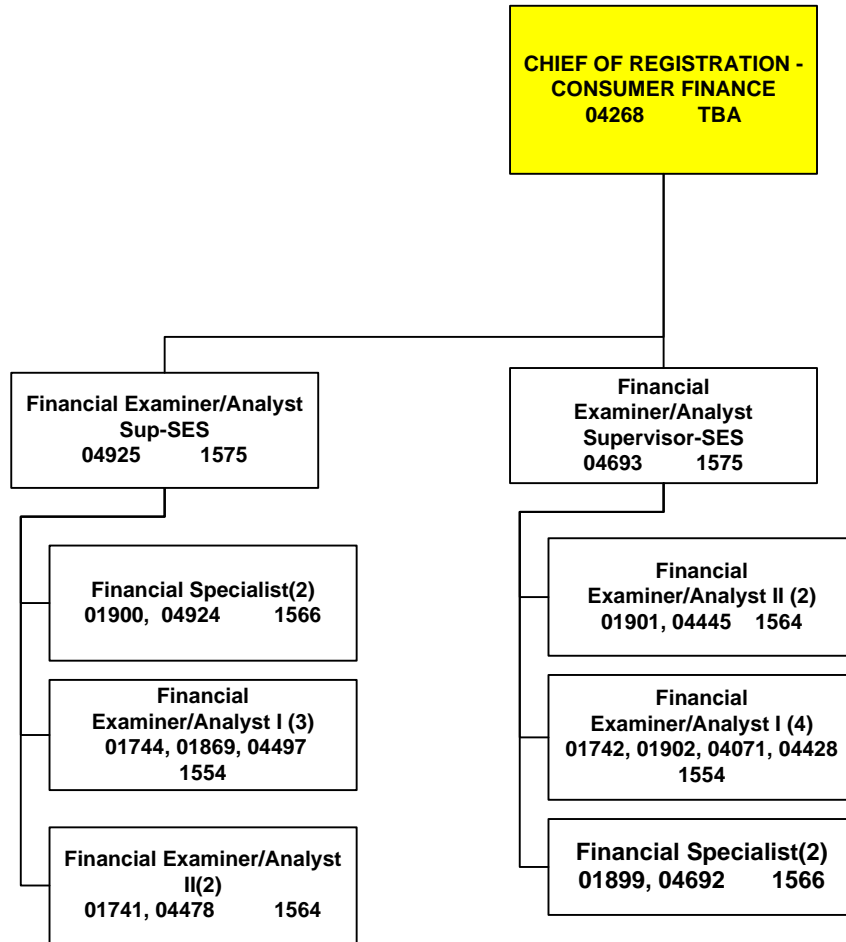
**Financial Services Commission
Office of Financial Regulation
Division of Consumer Finance
Bureau of Enforcement - Consumer Finance
West Palm Beach Consumer Finance Enforcement**



**Financial Services Commission
Office of Financial Regulation
Division of Consumer Finance
Bureau of Enforcement - Consumer Finance
Miami Consumer Finance Enforcement**



Financial Services Commission
Office of Financial Regulation
Division of Consumer Finance
Bureau of Registration – Consumer Finance



Bureau Total FTE: 18

✦ FTE not Included in this Section
 Dotted Line = Administratively Assigned. FTE not counted.
 Italic = Organizationally Assigned. Reports elsewhere administratively. FTE counted.

Eff 07-01-13
 Rev 07-10-13

OFR-35

Schedule XI – Agency-Level Unit Cost
Summary (1-Page spreadsheet)

FINANCIAL SERVICES, DEPARTMENT OF		FISCAL YEAR 2012-13			
SECTION I: BUDGET		OPERATING		FIXED CAPITAL OUTLAY	
TOTAL ALL FUNDS GENERAL APPROPRIATIONS ACT		290,757,549		616,047	
ADJUSTMENTS TO GENERAL APPROPRIATIONS ACT (Supplementals, Vetoes, Budget Amendments, etc.)		15,275,088		0	
FINAL BUDGET FOR AGENCY		306,032,637		616,047	
SECTION II: ACTIVITIES * MEASURES		Number of Units	(1) Unit Cost	(2) Expenditures (Allocated)	(3) FCO
Executive Direction, Administrative Support and Information Technology (2)					616,047
Provide Analysis On Securities Held For Deposit And Qualified Public Depositories * Number of analyses performed on the financial condition of qualified public depositories and custodians, and securities held for regulatory collateral deposit.		6,818	53.86	367,198	
Process Transactions, Account Changes And Audit Functions * Number of account actions taken on regulatory collateral deposit accounts.		57,958	17.41	1,009,111	
Investment Of Public Funds * Dollar Volume of Funds Invested		20,300,000,000	0.00	681,527	
Provide Cash Management Services * Number of cash management consultation services.		30	32,183.17	965,495	
Receive Funds, Process Payment Of Warrants And Provide Account And Reconciliation Services * Number of financial management/accounting transactions processed and reports produced.		3,311,050	0.48	1,590,225	
Administer The State Supplemental Deferred Compensation Plan * Number of participant account actions processed by the state deferred compensation office.		2,169,785	0.72	1,557,296	
Accounting And Reporting Of State Funds * State Accounts Managed In The Florida Accounting Information Resource System.		38,597	122.85	4,741,800	
Migrate Current Accounts Payable Procedures To Electronic Commerce * Payments issued electronically to settle claims against the state.		10,866,646	0.10	1,070,335	
Conduct Pre-audits Of Selected Accounts Payable * Vendor payment requests that are pre-audited for compliance with statutes and contract requirements		535,323	6.78	3,629,884	
Conduct Post-audits Of Major State Programs * Post-audits completed of major state programs to determine compliance with statutes and contract requirements		5	307,691.60	1,538,458	
Process State Employees Payroll * Payroll payments issued		3,103,502	0.77	2,389,072	
Conduct Post-audits Of Payroll * Post-audits completed of state agencies payroll payments to determine compliance with statutes		8	22,308.75	178,470	
Conduct Fiscal Integrity Investigations * Fiscal integrity investigations completed to investigate allegations or suspicions of fraud, waste or abuse.		10	90,198.40	901,984	
Article V - Clerk Of The Courts * NA		23	43,861.09	1,008,805	
Collect Unclaimed Property * Accounts reported by holders of unclaimed property.		2,075,040	1.25	2,596,950	
Process And Payment Of Unclaimed Property * Payments processed for claims of unclaimed property.		324,865	8.27	2,687,694	
License The Fire Protection Industry * Number of entity requests for licenses, permits and certificates processed within statutorily mandated time frames.		6,328	81.95	518,562	
Perform Fire Safety Inspections * Number of inspections of fire code compliance completed.		15,992	249.43	3,988,866	
Review Construction Plans For Fire Code Compliance * Number of construction plans reviewed.		479	1,108.94	531,180	
Perform Boiler Inspections * Number of boiler inspections completed by department inspectors.		1,276	433.87	553,613	
Investigate Fires Accidental, Arson And Other * Total number of closed fire investigations involving economic or physical loss.		3,041	4,256.44	12,943,830	
Provide State, Local And Business Professional Training And Education * Number of classroom contact hours provided by the Florida State Fire College.		188,553	45.35	8,551,379	
Provide State, Local And Business Professional Standards, Testing And Statutory Compliance * Number of examinations administered.		4,886	857.15	4,188,039	
Provide Forensic Laboratory Services * Number of evidence items and photographic images processed.		13,742	74.18	1,019,358	
Fire Incident Reporting * Number of total incidents reported to the Florida Fire Incident Reporting System.		2,409,043	0.15	371,958	
Provide Adjusting Services On State Workers' Compensation Claims * Number of workers' compensation claims worked.		19,039	1,436.34	27,346,533	
Provide Adjusting Services On State Liability Claims * Number of liability claims worked.		4,665	2,341.90	10,924,985	
Process Property Claims On State Owned Buildings (structure And Contents) * Number of state property loss/damage claims worked.		284	6,794.32	1,929,588	
Provide Risk Services Training And Consultation * Number of agency loss prevention staff trained during the fiscal year.		124	14,182.19	1,758,592	
Rehabilitate And/Or Liquidate Financially Impaired Insurance Companies * Number of insurance companies in receivership during the year.		43	19,296.95	829,769	
Review Applications For Licensure (qualifications) * Number of applications for licensure processed.		90,583	30.04	2,720,849	
Administer Examinations And Issue Licenses * Number of examinations administered and licenses authorized.		31,674	84.46	2,675,246	
Administer The Appointment Process From Employers And Insurers * Number of appointment actions processed.		1,668,055	0.46	770,744	
Administration Of Education Requirements (pre Licensing And Continuing Education) * Number of applicants and licensees required to comply with education requirements.		196,812	2.07	407,860	
Investigate Agents And Agencies * Number of agent and agency investigations completed.		2,936	2,009.21	5,899,039	
Investigate Insurance Fraud (general) * Number of insurance fraud investigations completed (not including workers' compensation).		1,412	11,170.58	15,772,864	
Investigate Workers' Compensation Insurance Fraud * Number of workers' compensation insurance fraud investigations completed (not including general fraud investigations).		711	6,221.15	4,423,240	
Respond To Consumer Request For Assistance * Number of consumer requests and informational inquiries handled.		51,451	78.22	4,024,495	
Provide Consumer Education Activities * Number of visits to the Consumer Services website.		298,532	2.32	691,361	
Answer Consumer Telephone Calls * Number of telephone calls answered through the consumer helpline.		325,270	14.20	4,619,273	
Examine And Regulate Licensees In The Funeral & Cemetery Business (chapter 497) To Ensure Regulatory Compliance * Number of examinations and inspections completed.		1,722	1,289.36	2,220,282	
Monitor And Audit Workers' Compensation Insurers To Ensure Benefit Payments * Number of claims reviewed annually.		89,302	46.51	4,153,101	
Verify That Employers Comply With Workers' Compensation Laws * Number of employer investigations conducted.		34,150	376.89	12,870,706	
Facilitate The Informal Resolution Of Disputes With Injured Workers, Employers And Insurance Carriers * Number of injured workers that obtained one or more benefits due to intervention by the Employee Assistance Office.		997	4,672.42	4,658,403	
Provide Reimbursement For Workers' Compensation Claims Paid By Insurance Carriers On Employees Hired With Preexisting Conditions * Number of reimbursement requests (SDF-2) audited.		3,181	396.52	1,261,332	
Collection Of Assessments From Workers' Compensation Insurance Providers * Amount of assessment dollars collected.		113,735,517	0.01	651,782	
Data Collection, Dissemination, And Archival * Number of records successfully entered into the division's databases.		5,146,469	0.70	3,607,598	
Reimbursement Disputes * Number of petitions for reimbursement dispute resolution resolved annually		7,747	184.63	1,430,345	
Approve And License Entities To Conduct Insurance Business. * Number of Certificates of Authority processed		132	6,767.25	893,277	
Conduct And Direct Market Conduct Examinations. * Number of examinations and investigations completed for licensed companies and unlicensed entities		843	3,641.93	3,070,149	
Conduct Financial Reviews And Examinations. * Number of financial reviews and examinations completed.		7,953	1,758.27	13,983,528	
Review And Approve Rate And Form Filings. * Number of rate and forms review completed.		15,031	517.96	7,785,519	
Examine And Regulate Financial Services Companies To Ensure Regulatory Compliance. * Examinations of non-depository financial service companies to determine compliance with regulations.		752	8,156.69	6,133,834	
Evaluate And Process Applications For Licensure As A Financial Services Entity. * Applications processed or evaluated for licensure or registration as a non-depository financial services entity.		24,636	96.15	2,368,739	
Examine And Enforce Laws Regarding Banks, Trusts, And Credit Unions To Ensure Safety And Soundness. * Number of domestic financial institutions examined to ensure safety and soundness.		223	55,163.29	12,301,414	
Examine And Enforce Laws Regarding International Financial Institutions To Ensure Safety And Soundness. * Number of international financial institutions examined to ensure safety and soundness.		29	25,925.48	751,839	
Conduct Financial Investigations Into Allegations Of Fraudulent Activity. * Number of financial investigations into allegations of fraudulent activity.		170	18,131.46	3,082,349	
Examine And Regulate Money Services Businesses To Ensure Regulatory Compliance * Examinations of money services businesses conducted to determine compliance with regulations.		236	11,031.15	2,603,352	
Examine And Regulate Securities Firms, Branches To Ensure Regulatory Compliance. * Conducted examinations of securities firms and branches.		322	16,914.35	5,446,420	
Evaluate And Process Applications For Registration As A Securities Firm, Branch, And/Or Individual. * Securities applications processed for registration of firms, branches, and/or individuals.		51,741	43.90	2,271,537	
TOTAL				235,921,033	616,047
SECTION III: RECONCILIATION TO BUDGET					
PASS THROUGHS					
TRANSFER - STATE AGENCIES					
AID TO LOCAL GOVERNMENTS					
PAYMENT OF PENSIONS, BENEFITS AND CLAIMS				1,297,569	
OTHER				34,596,541	
REVERSIONS				34,285,920	
TOTAL BUDGET FOR AGENCY (Total Activities + Pass Throughs + Reversions) - Should equal Section I above. (4)				306,101,063	616,047

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.

NUCSSP03 LAS/PBS SYSTEM
 BUDGET PERIOD: 2004-2015
 STATE OF FLORIDA

SP 10/14/2013 14:20
 SCHED XI: AGENCY-LEVEL UNIT COST SUMMARY
 AUDIT REPORT FINANCIAL SERVICES

 ACTIVITY ISSUE CODES SELECTED:

TRANSFER-STATE AGENCIES ACTIVITY ISSUE CODES SELECTED:

1-8:

AID TO LOCAL GOVERNMENTS ACTIVITY ISSUE CODES SELECTED:

1-8:

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

*** NO ACTIVITIES FOUND ***

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

*** NO OPERATING CATEGORIES FOUND ***

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

BE	PC	CODE	TITLE	EXPENDITURES	FCO
43010200	1602000000	ACT1020	HOLOCAUST VICTIMS ASSISTANCE	290,812	
43010400	1602000000	ACT1040	INSURANCE CONSUMER ADVOCATE	582,274	
43010500	1603000000	ACT1050	INFORMATION TECHNOLOGY - FLAIR	11,338,899	
43200100	1601000000	ACT2010	PASS THROUGH FROM PRISON INDUSTRY	749,688	
43200100	1601000000	ACT2020	CAPITAL COLLATERAL REGISTRY	1,715,722	
43400100	1601000000	ACT4150	PURCHASE OF EXCESS INSURANCE	13,599,739	
43600100	1102020000	ACT6010	TRANSFER TO 1ST DISTRICT COURT OF	1,761,055	
43500700	1205000000	ACT9060	AFDC/WAGES/EMPLOYEE FRAUD	929,953	
43500700	1205000000	ACT9070	PUBLIC ASSISTANCE FRAUD	1,859,856	
43500700	1205000000	ACT9080	MEDICAID FRAUD INVESTIGATIONS	929,904	
43900110	1204000000	ACT9150	HURRICANE RATE/RISK MODEL	588,639	
43600100	1102020000	ACT9940	TRANSFER TO THE UNIVERSITY OF	250,000	

 TOTALS FROM SECTION I AND SECTIONS II + III:

DEPARTMENT: 43	EXPENDITURES	FCO
FINAL BUDGET FOR AGENCY (SECTION I):	306,032,637	616,047
TOTAL BUDGET FOR AGENCY (SECTION III):	306,101,063	616,047
ADJUSTMENT FOR B08 BALANCE	68,397-	
DIFFERENCE:	29-	
(MAY NOT EQUAL DUE TO ROUNDING)	=====	=====

Schedule XII - Series Outsourcing or Privatization of State Service or Activity

(The Department of Financial Services has no submission for this schedule for the Fiscal Year 2014-15 Legislative Budget Request)

Schedule XIII-Proposed Consolidated Financing of Deferred-Payment Commodity Contracts

(The Department of Financial Services has no submission for
this schedule for the Fiscal Year 2014-15 Legislative Budget
Request)

Schedule XIV – Variance from Long Range Financial Outlook

(The Department of Financial Services has no submission for
this schedule for the Fiscal Year 2014-15 Legislative Budget
Request)

Schedule XIV
Variance from Long Range Financial Outlook

Agency: Department of Financial Services Contact: Dawn Creamer - 850-413-1522

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 2013 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 2014-2015 Estimate/Request Amount	
			Long Range Financial Outlook	Legislative Budget Request
a	Florida Accounting Information Resource (FLAIR) Overlap Positions	B	426158	103027
b				
c				
d				
e				
f				

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

For Fiscal Year 2013-2014, the Department requested \$426,158 to support overlap of eight individuals in the FLAIR bureaus. However, because some of these individuals will be retiring in FY 2013-2014, and one additional position will require overlap in FY 2014-2015, the number of necessary overlap positions will reduce from eight to three. Therefore, the amount needed to fund these overlap positions for the necessary months in FY 2014-2015 will be \$103,027.

* R/B = Revenue or Budget Driver

Schedule XV - Contract Reporting

(The Department of Financial Services has no submission for this schedule for the Fiscal Year 2014-15 Legislative Budget Request)

SCHEDULE IX: MAJOR AUDIT FINDINGS AND RECOMMENDATIONS

Budget Period: 2014-2015

Department: Financial Services

Chief Internal Auditor: Leah Gardner

Budget Entity: Office of Inspector General

Phone Number: (850) 413-4953

(1)	(2)	(3)	(4)	(5)	(6)
REPORT NUMBER	PERIOD ENDING	UNIT/AREA	SUMMARY OF FINDINGS AND RECOMMENDATIONS	SUMMARY OF CORRECTIVE ACTION TAKEN	ISSUE CODE
Auditor General Report No. 2012-008	Feb. 2011	<i>DFS Treasury Investment Policies and Prior Audit Follow-up</i>	<p>Finding 1: The Treasury's investment policies, procedures and web site disclosures could be improved by amending them to include certain provisions recommended by Government Finance Officer Association Guidance.</p> <p>Recommendation: The Treasury amend its investment policies, procedures and web site disclosures, as applicable, to incorporate coverage of share valuation, structured investments and derivatives, standards of care, safeguarding and custody of securities, internal controls, reporting, investment policy review and approval, Investment Committee members, and Investment Committee meeting minutes. We also recommend that Treasury submit its policies, procedures, and Web site disclosures to its investment consultant for review.</p>	<p>CLOSED: Treasury staff reviewed policies, procedures and web site disclosures and made further updates to the Comprehensive Investment Policy which were reviewed and approved by the Investment Committee. Treasury also enhanced procedures and the web site to incorporate changes deemed appropriate.</p>	
			<p>Finding 2: The Department should continue its efforts, in consultation with the Legislature, to affect changes to current Florida law that would allow for a functional Qualified Public Depository Oversight Board.</p> <p>Recommendation: The Department continue to pursue the establishment of an advisory committee.</p>	<p>ONGOING: Treasury staff worked with the Florida Bankers Association (FBA) concerning revisions to Chapter 280, Florida Statutes. The proposed changes would have included the removal of the Bank Oversight Board and reestablishment of the Qualified Public Depository Advisory Board. The necessary changes were not adopted during the Legislative session. Treasury continues to work with the Department's legislative staff and the FBA regarding the changes.</p>	

REPORT NUMBER	PERIOD ENDING	UNIT/AREA	SUMMARY OF FINDINGS AND RECOMMENDATIONS	SUMMARY OF CORRECTIVE ACTION TAKEN	ISSUE CODE
			<p>Finding 3: The Department had not adopted rules to enumerate the circumstances under which collateral pledging levels may differ from levels computed under existing law and rule.</p> <p>Recommendation: The Department amend its rules as necessary to enumerate the circumstances under which analysts may change the collateral pledging levels from those computed by CAP.</p>	<p>ONGOING: Chapter 280, Florida Statutes, was not updated in the Legislative session. Treasury is currently pursuing an update to the Rule, as an individual issue.</p>	
			<p>Finding 4: The Department had not adopted rules identifying the conditions under which a Qualified Public Depository (QPD) with low financial condition rankings may submit a request to delay the provision of additional collateral, criteria to evaluate such a request, or the time frame within which a hardship case must ultimately meet a required collateral level.</p> <p>Recommendation: The Department establish by rule the conditions under which a hardship request may be submitted by a QPD, the criteria to be used by the Department to evaluate hardship requests, and the maximum time frame within which a transition to a required collateral level must be completed.</p>	<p>ONGOING: Chapter 280, Florida Statutes, was not updated in the Legislative session. Treasury is currently pursuing an update to the Rule, as an individual issue.</p>	
			<p>Finding 5: Subsidiary worksheets used to track and value abandoned securities continued to contain inaccurate and incomplete information.</p> <p>Recommendation: The Bureau of Unclaimed Property reconcile all investment worksheets to UPMIS. Additionally, the Bureau should continue its efforts to determine the feasibility of making changes to UPMIS to accommodate the tracking and valuation of investments held by outside holders. Additionally, the Bureau should ensure that investments are appropriately valued.</p>	<p>CLOSED: The Bureau contracted with another securities custodian, eliminating the need for investment tracking spreadsheets. Transfer agents send all securities directly to the custodian and the custodian tracks the value of the security and provides securities information to the Bureau.</p>	

REPORT NUMBER	PERIOD ENDING	UNIT/AREA	SUMMARY OF FINDINGS AND RECOMMENDATIONS	SUMMARY OF CORRECTIVE ACTION TAKEN	ISSUE CODE
Auditor General Report No. 2012-016	July 2011	<i>DFS Florida Accounting Information Resource (FLAIR) Subsystem</i>	<p>Finding 1: The access privileges of some Department users were not appropriate for their job responsibilities.</p> <p>Recommendation: The Department should limit user access privileges to only what is necessary for user job responsibilities. Additionally, the Department should ensure that periodic reviews of DAC and HAC Statewide access privileges contain sufficient information to determine whether assigned access privileges remain appropriate and commensurate with job responsibilities. The Department should also expand its review of Payroll Component access privileges to include users within DIS.</p>	<p>CLOSED: The Division of Accounting and Auditing updated the access control procedure for the systems in question. The Division also developed access control reports to support quarterly monitoring activities. The Division of Information Systems (DIS) limited access privileges, as applicable. DIS also modified the access review reports to include sufficient detail for determining the appropriateness of access privileges.</p>	
Auditor General Report No. 2012-016 (...contd)	July 2011	<i>DFS Florida Accounting Information Resource (FLAIR) Subsystem</i>	<p>Finding 2: The Department did not disable network access privileges of some former employees in a timely manner.</p> <p>Recommendation: The Department should enhance its practices to ensure that network access privileges of all former employees are disabled in a timely manner.</p>	<p>CLOSED: In June 2011, the Department procured a monitoring tool to more accurately record the date privileges were disabled. On July 13, 2011, the DIS implemented this tool and, since that time has been capturing these records. The Department updated its policies and procedures related to timely disablement of access privileges and implemented a process to perform periodic checks of employee separations to ensure network accounts are disabled.</p>	
			<p>Finding 3: Certain Department security controls needed improvement.</p> <p>Recommendation: The Department should improve security controls related to security event logging, logical access, and data transmission.</p>	<p>CLOSED: The Department enhanced the noted security controls to ensure the confidentiality, integrity, and availability of data and IT resources.</p>	
			<p>Finding 4: Contrary to the requirements of the State of Florida, <i>General Records Schedule</i> for the retention of access control records, the Department did not retain some network and Natural Security access control records.</p> <p>Recommendation: The Department should ensure that access control records are retained as required by the <i>General Records Schedule</i>.</p>	<p>CLOSED: In June 2011, the Department procured a monitoring tool to ensure that records were captured and retained in accordance with the <i>General Records Schedule</i>. On July 13, 2011, the DIS implemented this tool and since that time has been capturing and retaining these records. Additionally, on August 7, 2011, the Division enhanced Natural Security logging to ensure proper retention of those records, as well.</p>	

REPORT NUMBER	PERIOD ENDING	UNIT/AREA	SUMMARY OF FINDINGS AND RECOMMENDATIONS	SUMMARY OF CORRECTIVE ACTION TAKEN	ISSUE CODE
			<p>Finding 5: The Department did not maintain a comprehensive configuration repository of its IT infrastructure and applications.</p> <p>Recommendation: The Department should implement a central comprehensive configuration repository to facilitate management and control of its IT infrastructure and applications.</p>	<p>ONGOING: The Department is leveraging multiple repository solutions to expand management of its information technology infrastructure. Existing repositories were updated, as needed. In 2010, the Department procured enhancements to existing configuration management tools to facilitate management and control of its IT infrastructure and applications. The Division of Information Systems completed one tool enhancement and dedicated resources to work toward deployment of the second enhancement.</p>	
			<p>Finding 6: The Department did not provide initial security awareness training for some agency workers or periodic refresher training for all agency workers.</p> <p>Recommendation: The Department should provide initial and periodic refresher security awareness training for all Department workers, including salaried employees, contractors, volunteers, and OPS employees.</p>	<p>CLOSED: In April 2010, the DIS procured a Security Awareness Training tool. New Department workers are registered for training by DIS when a request is received to provide access to IT resources. DIS implemented a process to follow-up with workers to ensure that training is completed within 30 days of hire. Department workers are also required to complete refresher training on an annual basis.</p>	
			<p>Finding 7: The Department's firewall configuration management controls needed improvement.</p> <p>Recommendation: The Department should ensure that all changes to the firewall configuration are approved and tested and that affected users are notified of the changes as provided in the Firewall Configuration Procedure.</p>	<p>CLOSED: DIS completed enhancement of its firewall configuration procedures in March 2012.</p>	
			<p>Finding 8: Some Department policies and procedures were outdated, inaccurate, lacking, or not effectively disseminated to staff. The Department also lacked written procedures for some Departmental Accounting Component (DAC) access control processes.</p> <p>Recommendation: The Department should update and correct inaccuracies in existing policies and procedures. Additionally, the Department should ensure that procedures are communicated and made available to all appropriate staff.</p>	<p>CLOSED: The policies in question were updated by the Department. Procedures were put in place to require a periodic review of Department policies and procedures. Additionally, a new procedure was implemented to ensure that Department staff are made aware of changes in policy. Two of the Divisions in question placed their internal policies and procedures on the Divisions' Intranet Site to ensure they remain accessible.</p>	

REPORT NUMBER	PERIOD ENDING	UNIT/AREA	SUMMARY OF FINDINGS AND RECOMMENDATIONS	SUMMARY OF CORRECTIVE ACTION TAKEN	ISSUE CODE
Auditor General Report No. 2012-026	Feb. 2011	DFS Division of Agent and Agency Services	<p>Finding 1: The Department had not prepared detailed analyses comparing particular categories of regulatory costs to the revenues designated to cover those costs.</p> <p>Recommendation: The Department conduct periodic comparisons of the costs of industry regulation and the associated designated fees and taxes. Any indicated need for changes in rate should be brought to the Legislature's attention.</p>	<p>CLOSED: The Department continues to provide the Legislature with quarterly analyses of Insurance Regulatory Trust Fund (IRTF) revenues and expenditures. The quarterly Trust Fund Analysis Reports provide the Legislature with the information on IRTF revenues and program expenditures necessary to make decisions regarding rate changes.</p>	
			<p>Finding 2: The Division had not provided for adequate oversight of the information technology controls relevant to the system used to support Division licensing functions.</p> <p>Recommendation: The Division amend the information technology services contract and the Department make or obtain an independent periodic assessment of the contractor's relevant internal controls.</p>	<p>CLOSED: On July 2, 2011, the Department entered into a new agreement with the contractor which included provisions requiring the contractor to comply with the Department's policies and procedures and standards for information technology functions within the Department. Through the new contract and the contractor's required use of the Department's Change Management Process and Information Systems Development Methodology, the Department provided the appropriate internal control framework.</p>	
			<p>Finding 3: The Department had not properly assessed and collected certain required fees.</p> <p>Recommendation: The Department continue its efforts to implement procedures to assess and collect all required fees.</p>	<p>CLOSED: System changes were deployed January 18, 2012, to begin collecting the noted fees.</p>	
			<p>Finding 4: A significant number of investigations were not closed within Department established timeframes.</p> <p>Recommendation: The Bureau should take steps to improve the timeliness of investigations.</p>	<p>CLOSED: In June 2012, the Division deployed a new case tracking system that facilitated additional process improvements allowing for further reductions in the overall time to complete investigations. In addition, Division leaders continue to stress the importance of timely completion of investigative cases, while maintaining the integrity and quality of the investigation. Efforts to date have resulted in improvements in the timeliness of investigations.</p>	

REPORT NUMBER	PERIOD ENDING	UNIT/AREA	SUMMARY OF FINDINGS AND RECOMMENDATIONS	SUMMARY OF CORRECTIVE ACTION TAKEN	ISSUE CODE
Auditor General Report No. 2012-067	June 2011	<i>DFS Division of Risk Management Monitoring of Third-Party Administrators</i>	<p>Finding 1: The Division did not adequately monitor third-party administrators engaged to provide workers' compensation case management administrative services and pharmacy benefits management.</p> <p>Recommendations: The Division:</p> <ul style="list-style-type: none"> • Comply with its policies and procedures related to performing required payment audits, medical reimbursement audits, and audit tests of TPA reimbursements. • Develop specific policies and procedures to require periodic audits of pharmaceutical claims paid by the Division's pharmaceutical benefit service provider. • Perform on-site monitoring of all TPAs. • Amend TPA contracts to require service auditor reports. • Establish a database or obtain access to TPA data containing detailed information on claims paid. 	<p>ONGOING: The Division continues to refine a coordinated, long-term strategy to strengthen monitoring of third party administrators. The Division has undertaken certain initiatives and longer-term planning consisting of the following: a) The Division established a Contract Monitoring Unit which is staffed with four employees. The Division requested and was authorized for another two positions effective 7/1/13; b) The Division continues to update and create policies and procedures related to contract monitoring functions; c) The Division contracted with an outside consultant which reviewed the activities of three of the Division's contracted providers. As a result of the reviews, the Division has worked with the contractors to implement corrective actions; d) The Division began contract negotiations and undertook certain actions to transition legacy claims to alternative service providers in an effort to improve management of the claims; e) The Contract Monitoring Unit started performing quarterly audits related to service provider payments and routinely reviews performance metrics for the service providers; f) The Division executed an amendment with a pharmaceutical TPA to increase accountability provisions and which defines how repackaged drugs are priced and defines the source used for average wholesale price; g) The Division obtained service auditor reports for current medical service-related TPA's; and h) the Division is in the process of procuring a new Risk Management Information System with the capability to capture claims data sufficient to enhance the Division's ability to monitor and evaluate the appropriateness of payments and provide additional support for the detection of potentially fraudulent activity.</p>	

REPORT NUMBER	PERIOD ENDING	UNIT/AREA	SUMMARY OF FINDINGS AND RECOMMENDATIONS	SUMMARY OF CORRECTIVE ACTION TAKEN	ISSUE CODE
Auditor General Report No. 2012-071	9/1/2011	<i>DFS STARS (Information Technology Operational Audit)</i>	<p>Finding 1: The access privileges of some employees, contractors, and external users were not necessary for the users' assigned job responsibilities and did not enforce an appropriate separation of duties. Additionally, contrary to Department Policy, the Division lacked written procedures for controlling access to the STARS application.</p> <p>Recommendations: The Department should limit access privileges to STARS resources to only what is needed to perform job responsibilities. The Department should also evaluate employee job responsibilities relating to STARS and make appropriate changes to enforce an appropriate separation of incompatible duties. Additionally, the Department should develop written procedures for controlling access to the STARS application.</p>	<p>CLOSED: The Division of Risk Management (DRM) reviewed and limited user access privileges to the STARS application to only those privileges necessary based on user job responsibility. Additionally, the DRM created access control procedures for controlling access to STARS. In conjunction with the new procedures, the DRM implemented quarterly access reviews to ensure privileges remain appropriate in accordance with Department Policy.</p>	
			<p>Finding 2: Authorization documentation for STARS access privileges for some users was missing or incomplete.</p> <p>Recommendation: The Department should maintain complete documentation of management authorization for user access to STARS that specifies the security profiles assigned to the users.</p>	<p>CLOSED: The DRM continues to ensure that user access authorizations are appropriately documented and specify the access privileges being requested for the users. Additionally, the Division approved and implemented the STARS Access Control Policy.</p>	
			<p>Finding 3: Department records of network access deactivation dates were manually prepared rather than system-generated, which may lessen management's assurance of the reliability and completeness of the records. In addition, contrary to Department <i>Policy</i>, the Department did not document the deactivation of access to the STARS application. We also noted the Department did not timely deactivate the STARS server administrator access privileges of one former contractor.</p> <p>Recommendation: The Department should comply with AP&P 4-05 and also enhance its practices to ensure that access privileges of all former employees and contractors are deactivated in a timely manner.</p>	<p>CLOSED: The Department and DRM enhanced procedures to ensure timely disablement of network access privileges for separating employees, and the complete documentation of disablement tasks. In June 2011, the Department procured a monitoring tool to more accurately record the date network privileges are disabled. On July 13, 2011 the Department implemented this tool and since that time has been capturing these records.</p>	

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Auditor General Report No. 2012-071 (...contd)	9/1/2011	DFS STARS (Information Technology Operational Audit)	<p>Finding 4: Contrary to the State of Florida, <i>General Records Schedule</i> requirements for the retention of access control records, the Department did not retain complete access control records.</p> <p>Recommendation: The Department should retain access control records as required by the <i>General Records Schedule</i> .</p>	<p>CLOSED: The DRM revised its access control procedures to eliminate the reissuance and reactivation of STARS user IDs to ensure that access control records for separated employees are appropriately maintained in STARS. Additionally, in accordance with the <i>General Records Schedule</i> , the Division implemented a process for preserving the access control records outside of the application for both separated employees and employees whose access has been modified. In June 2011, the Department procured a monitoring tool to more accurately record the date network privileges are disabled. On July 13, 2011, the Division of Information Systems implemented this tool and since that time has been capturing these records.</p>	
			<p>Finding 5: Contrary to Agency for Enterprise Information Technology (AEIT) Rules and Department <i>Policy</i> , some generic and shared user identification codes (IDs) existed with access privileges to STARS data and IT resources.</p> <p>Recommendation: The Department should assign unique user IDs to each individual who is authorized to access STARS data and IT resources.</p>	<p>CLOSED: DRM limited the use of generic user IDs within the STARS application by deactivating the three accounts that were no longer being utilized. Additionally, DRM management instructed staff on Department policy prohibiting the sharing of network user ID's. The Division of Information Systems created individual STARS database administrative accounts for the Database Administrators.</p>	
			<p>Finding 6: The Department's review of the appropriateness of STARS user access privileges was not conducted on a sufficiently frequent basis. Additionally, documentation of access reviews conducted was not retained and results of the reviews were not reported, contrary to Department <i>Policy</i> .</p> <p>Recommendation: The Department should ensure that STARS access privileges are reviewed quarterly as required by AP&P 4-05. Additionally, the Department should retain documentation of access reviews and report the results to the Division of Information Systems Compliance Office.</p>	<p>CLOSED: DRM revised its procedures to ensure that quarterly reviews of access privileges are conducted and that documentation of reviews is retained.</p>	

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Auditor General Report No. 2012-071 (...contd)	9/1/2011	<i>DFS STARS (Information Technology Operational Audit)</i>	<p>Finding 7: Certain Department security controls related to user authentication, session controls and logging needed improvement.</p> <p>Recommendation: The Department should implement appropriate security controls related to these areas.</p>	<p>ONGOING: The Department continues to enhance security controls in the areas noted in the report. Additionally, DRM is working to procure an Insurance Management System which will include functionality to better meet this requirement.</p>	
			<p>Finding 8: STARS application program change controls needed improvement and the Department had not established written procedures for managing changes to the STARS application.</p> <p>Recommendation: The Department should establish and follow written procedures for managing changes to the STARS application. The Department should also implement a process for monitoring the movement of program changes into production.</p>	<p>CLOSED: DRM enhanced its change management process to ensure that changes to STARS are appropriately authorized, documented, tested, and approved. Additionally, DRM approved and implemented a formal policy to ensure that changes are properly documented and approved.</p>	
			<p>Finding 9: STARS lacked a data edit to disallow the payment of medical benefits incurred after the date of denial for controverted claims. Also, no reporting was in place to allow claims supervisors to monitor the payment of benefits on controverted claims.</p> <p>Recommendation: The Department should establish the appropriate data edit in STARS. Until the edit is established, the Department should implement exception reporting and monitoring to detect and follow-up on such payments, should they occur.</p>	<p>ONGOING: DRM continues to provide a Controverted Claims with Payments report to Claims staff for review on a monthly basis. Additionally, the Department is working to procure an Information Management System which will include functionality to meet this requirement.</p>	
			<p>Finding 10: Confidential and exempt workers' compensation claims information was not encrypted in some transmissions.</p> <p>Recommendation: The Department should implement appropriate controls to ensure the transmission and receipt of confidential and exempt information is secured.</p>	<p>CLOSED: The Division of Information Systems enhanced the Department's IT infrastructure to provide multiple technologies to facilitate the secure transmission of confidential and exempt information. The DRM continues to work with the Third Party Administrators to ensure that information exchanged with the Department is transmitted in a secure manner.</p>	

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			<p>Finding 11: The Department did not monitor payments for medical services to providers from the Genex billing process to ensure claims were paid within 45 days of receipt.</p> <p>Recommendation: The Department should monitor billing claims for medical services to ensure claims are paid within 45 days of receipt.</p>	<p>CLOSED: DRM implemented a new process with Genex to identify and correct payment delay issues and continues to follow the process established with Genex to identify and correct payment delay issues. Additionally, the Department is working to procure an Information Management System which will include functionality to meet this requirement.</p>	
Auditor General Report No. 2012-071 (...contd)	9/1/2011	DFS STARS (Information Technology Operational Audit)	<p>Finding 12: Sub-annual filings on open claims to the Division of Workers' Compensation were not always timely. Also, no reporting mechanism existed in STARS to allow Division staff to proactively ensure that filings were completed in a timely manner and appropriately filed.</p> <p>Recommendation: The Department should ensure that sub-annual claim cost reports are filed with the Division of Workers' Compensation as required within the time frame specified. Also, the Department should review the <i>Missing SA Report</i> to ensure that past due reports are filed.</p>	<p>CLOSED: DRM implemented a process to review the internal DWC-13 reports in conjunction with the Missing SA Report to ensure that past due reports are filed. Since implementation of this process on September 1, 2012, the Division reduced the number of past due reports. Additionally the Department is working to procure an Information Management System which will include functionality to meet this requirement.</p>	
			<p>Finding 13: Data reconciliation procedures were lacking between STARS and the temporary total disability (TTD) database.</p> <p>Recommendation: The Department should implement the necessary controls to ensure that data transfers between STARS and the TTD database are complete and accurate. Additionally, the Department should implement procedures for reconciling the TTD benefit payment data transferred from STARS to the TTD database, including records written to the append file for manual review.</p>	<p>CLOSED: The Division of Information Systems developed a new TTD database that DRM is using for the STARS data exchange reconciliation process. Additionally reconciliation procedures were developed, approved, and validated. The new TTD database accepted the data import file and the corresponding reconciliation procedures were validated.</p>	

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Auditor General Report No. 2012-142	6/30/2011	<i>State of Florida Compliance and Internal Controls over Financial Reporting and Federal Awards</i>	<p>Finding FS 11-005: The Bureau of Accounting (Bureau) did not, in all instances, identify and correctly record financial accounts and balances related to the Rehabilitation and Liquidation Trust Fund activities for the fiscal year.</p> <p>Recommendation: The Bureau enhance its fiscal year-end reporting procedures.</p>	<p>CLOSED: The Bureau of Financial Services and the Division of Rehabilitation and Liquidation worked closely to ensure that financial data provided by the Division for the most recent fiscal year end June 30, 2012 was properly converted from the Other Comprehensive Basis of Accounting to the Accrual Basis in accordance with Generally Accepted Accounting Principles.</p>	
Auditor General Report No. 2012-142 (...contd)	6/30/2011	<i>State of Florida Compliance and Internal Controls over Financial Reporting and Federal Awards</i>	<p>Finding FA 11-034: The Department's procedures established to ensure the accuracy and completeness of the SWCAP could be improved. Also, the 2012 SWCAP Section II documentation did not include financial information pertaining to the Northwest Regional Data Center.</p> <p>Recommendation: The Department implement procedures to ensure all central service activities are included in the SWCAP and ensure the data center is added to Section II of the SWCAP.</p>	<p>CLOSED: The Department implemented procedures to ensure all central service activities are included in the SWCAP. The NWRDC was added to Section II of the 2013 SWCAP submitted on December 23, 2011.</p>	
			<p>Finding FA 11-037: The Department did not adequately review the data presented on the Schedule of Expenditures of Federal Awards (SEFA) and the notes to the SEFA.</p> <p>Recommendation: The Department establish review procedures to ensure amounts reported on the SEFA and the notes to the SEFA are accurate, complete, and in accordance with OMB Circular A-133 and the Compliance Supplement.</p>	<p>CLOSED: The Department will follow its established review procedures to ensure that amounts reported on the SEFA and the notes to the SEFA are accurate, complete, and in accordance with OMB Circular A-133 and the Compliance Supplement.</p>	

REPORT NUMBER	PERIOD ENDING	UNIT/AREA	SUMMARY OF FINDINGS AND RECOMMENDATIONS	SUMMARY OF CORRECTIVE ACTION TAKEN	ISSUE CODE
Auditor General Report No. 2012-179	January 2012	<i>DFS Special Disability Trust Fund Claims Manager 2004 System</i>	<p>Finding 1: The access privileges of some Department users were not necessary for their job responsibilities and did not enforce an appropriate separation of incompatible job duties.</p> <p>Recommendation: The Department should limit access privileges to SDTF System resources to only those necessary to perform assigned job duties and also evaluate employee job responsibilities to make applicable changes to enforce an appropriate separation of incompatible duties.</p>	CLOSED: The Division of Workers' Compensation restricted access to SDTF System resources and routinely monitors user access privileges to ensure they remain appropriate. The Division also implemented procedures to monitor the activity of all system users.	
			<p>Finding 2: The Department's review of SDTF System IT resource access privileges needed improvement.</p> <p>Recommendation: The Department should comply with the provisions of AP&P 4-05 regarding periodic reviews of access privileges for all SDTF system-related IT resources.</p>	CLOSED: In September 2011, the Division of Workers' Compensation began performing quarterly business unit level reviews of Special Disability Trust Fund System access privileges. Additionally, the Division of Information Systems initiated the first review of the access control practices for a sample of secure applications in November 2012.	
Auditor General Report No. 2012-179 (...contd)	January 2012	<i>DFS Special Disability Trust Fund Claims Manager 2004 System</i>	<p>Finding 3: Some confidential and exempt SDTF information was accessible by individuals who did not have a valid business purpose to access the information.</p> <p>Recommendation: The Department should improve controls protecting the confidentiality of SDTF confidential and exempt information.</p>	CLOSED: Access to confidential and exempt information was limited to only those individuals with a valid business purpose for accessing the information.	
			<p>Finding 4: Certain Department security controls needed improvement.</p> <p>Recommendation: The Department should improve its security controls related to access privileges, default local administrator accounts and local server security event logging.</p>	CLOSED: Management successfully resolved issues noted in the report or implemented compensating controls.	
			<p>Finding 5: SDTF System database backups were not regularly being stored at an off-site location.</p> <p>Recommendation: The Department should enhance procedures to ensure that a current copy of the SDTF System database is stored in a secure, off-site location.</p>	CLOSED: On February 20, 2012, the Division of Information Systems revised backup procedures to ensure the SDTF system database is backed up on a regular basis and that back-up copies are stored at a secure off-site location.	

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			<p>Finding 6: Discrepancies in SDTF System data were noted. Also, system input, processing, and related user controls were deficient.</p> <p>Recommendation: The Department should implement appropriate input, processing, and user controls.</p>	<p>CLOSED: The Division of Workers' Compensation implemented a reconciliation process to ensure that SDTF System data accurately reflects the claim data provided from FLAIR. Additionally, the Division implemented monthly review of change history logs to ensure that changes to data are accurate and appropriate.</p>	
			<p>Finding 7: The Department did not reconcile claim payment data in the SDTF system to the FLAIR Subsystem.</p> <p>Recommendation: The Department should implement the necessary reconciliation controls to ensure that that claim payment data exchanged between the SDTF System and FLAIR is complete, valid, and accurate.</p>	<p>CLOSED: The Division of Workers' Compensation implemented a reconciliation process to ensure that SDTF claim payment data exchanged between the SDTF System and FLAIR is complete, valid, and accurate and that SDTF System claim payment requests are only submitted once for payment.</p>	
Auditor General Report No. 2012-179 (...contd)	January 2012	<i>DFS Special Disability Trust Fund Claims Manager 2004 System</i>	<p>Finding 8: Department monitoring of SDTF System logs and reports needed improvement.</p> <p>Recommendation: The Department should ensure that SDTF System logs and reports are routinely monitored.</p>	<p>CLOSED: The Division of Workers' Compensation implemented a monthly review of change history logs to ensure that changes to data are accurate and appropriate.</p>	
Auditor General Report No. 2013-078	January 2013	<i>Florida Accounting Information Resource Subsystem (FLAIR)</i>	<p>Finding 1: The access privileges of some Department users were not appropriate for their job responsibilities.</p> <p>Recommendation: The Department should limit user access privileges to only what is necessary for the users' job responsibilities.</p>	<p>CLOSED: The Division of Information Systems and Division of Accounting and Auditing limited access privileges to ensure appropriate separation of duties.</p>	
			<p>Finding 2: The Department did not deactivate the access privileges of some former employees and contractors in a timely manner.</p> <p>Recommendation: The Department should enhance its practices to ensure that network and DAC access privileges of all former employees and contractors are deactivated in a timely manner.</p>	<p>CLOSED: The Department enhanced procedures to further ensure timely disablement of network access privileges for separating employees and implemented a monitoring process to identify past due disablements. Additionally, the Department continues to communicate the importance of timely reporting of separations to ensure timely deactivation of accounts.</p>	

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			<p>Finding 3: The Department did not maintain access authorization forms for some users.</p> <p>Recommendation: The Department should maintain documentation of management's authorization for user access privileges to move Natural, COBOL, and UNIX changes into the production environment.</p>	<p>CLOSED: Access authorization documentation is completed for all new employees and for any employees who move positions within the Department. Quarterly access reviews are performed to ensure that all users access to system is authorized. Additionally, the Department provided training on procedures to ensure access to the Department's secure applications is reviewed on a quarterly basis.</p>	
Auditor General Report No. 2013-078 (...contd)	January 2013	<i>Florida Accounting Information Resource Subsystem (FLAIR)</i>	<p>Finding 4: Certain Department security controls related to security event login, logical access, the protection of confidential and exempt information, and risk management needed improvement.</p> <p>Recommendation: The Department should improve security controls related to security event logging, logical access, the protection of confidential and exempt information, and risk management to ensure the confidentiality, integrity, and availability of data and IT resources.</p>	<p>ONGOING: The Department improved security controls in some areas noted in the report and will continue to address security controls in other areas, as appropriate.</p>	
			<p>Finding 5: The Department did not maintain a comprehensive configuration repository to facilitate the management and control of its IT infrastructure and applications.</p> <p>Recommendation: The Department should continue efforts to implement central comprehensive configuration repository to facilitate the management and control of its IT infrastructure and applications.</p>	<p>ONGOING: The Department continues to leverage multiple repository solutions to manage its information technology infrastructure. Existing repositories are being updated as needed, and the remaining phases of the Remedy enhancement are being planned.</p>	
			<p>Finding 6: The Department's monitoring of program changes needed improvement.</p> <p>Recommendation: The Department should implement a process to monitor the status of existing Data Processing Requests (DPR) and ensure that status information for each DPR is current.</p>	<p>CLOSED: The Division enhanced procedures to ensure that DPR statuses are updated timely. The Division implemented a process to review reports of DPRs.</p>	

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			<p>Finding 7: Department procedures were outdated, inaccurate, or lacking. Recommendation: The Department should update and correct inaccuracies in existing procedures. Additionally, pursuant to AP&P 4-05, the Department should develop procedures that detail how the business units determine who should have access to their applications. Furthermore, the Department should develop procedures for approving and assigning access privileges for adding vendors to the Statewide vendor file.</p>	<p>CLOSED: The Division of Information Systems continues its efforts to review and update existing policies and procedures. Internal Policy & Procedure 2.2.01 FLAIR Access Control was updated by the Division of Administration informing business units how to determine who should have access to FLAIR. The Division of Accounting and Auditing's Access Control Business Process Procedures for OLO 4390 were updated to reflect DAC access changes associated with the Statewide Vendor File.</p>	
Auditor General Report No. 2013-161	June 30 2012	<i>Compliance and Internal Controls Over Financial Reporting and Federal Awards</i>	<p>Finding FS 12-003: The Department's Unclaimed Property Trust Fund Advances to other funds was understated by \$91,730,486 due to errors in calculating estimates of amounts yet to be reclaimed by and paid to unclaimed property claimants (future claim payments). Recommendation: The Department implement a more thorough supervisory review of the continuing validity of the assumption used in developing the estimates of future claim payments to claimants.</p>	<p>ONGOING: The Department is enhancing its procedures to implement a more thorough supervisory review of the assumptions used in developing the estimates of future claim payments.</p>	
			<p>FS 12-008: The Statewide Financial Reporting Section (SFRS) incorrectly classified a portion of the General Fund's unassigned fund balance as nonspendable fund balance. Recommendation: SFRS should consider the impact of all relevant accounts affecting fund balance classifications.</p>	<p>CLOSED: SFRS enhanced procedures to ensure that consideration is given to all relevant accounts impacting the nonspendable fund balance classification.</p>	
			<p>Finding FS 12-012: The Department improperly coded Administrative expenses as Investment activity expense and Other deductions as Withdrawals during the fiscal year-end financial reporting closing process. Recommendation: The Department enhance procedures over its fiscal year-end financial reporting closing process to ensure the Department's accounts are correctly classified for use in the preparation of the State's financial statements.</p>	<p>ONGOING: The Department is enhancing its procedures to ensure account balances for the Division of Rehabilitation and Liquidation are correctly classified on the State's financial statements.</p>	

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			<p>FA 12-013: The Department's procedures did not ensure that sufficient data was obtained during the 2011-12 fiscal year to calculate an accurate clearance pattern for one Federal program.</p> <p>Recommendation: The Department should enhance their procedures to ensure that complete account code information is collected and used to calculate clearance patterns.</p>	<p>ONGOING: CMIA procedures were updated January 2013. A prior year adjustment will be included in the CMIA Annual Report to be submitted December 2013.</p>	
			<p>Finding FA 12-030: Reconciliations for the Statewide Cost Allocation Plan (SWCAP) disclosed two funds with excessive balances. Additionally, SWCAP Section II did not include all required documentation for the Northwest Regional Data Center (NWRDC).</p> <p>Recommendation: The Department should require the NWRDC to determine the mainframe data processing and storage services rates. We also recommend the Department adjust rates as appropriate.</p>	<p>ONGOING: The excess balance for the NWRDC was adjusted by correcting the related depreciation. The Department continues to work with FDMS on excess balance related to the Purchasing Trust Fund. In addition, the Department requested that NWRDC timely determine the mainframe data processing and storage service rates.</p>	
Auditor General Report No. 2013-161 (...contd)	June 30 2012	<i>Compliance and Internal Controls Over Financial Reporting and Federal Awards</i>	<p>Finding FA 12-013: The Department did not report applicable Homeland Security Grant Program subaward data in the Federal Funding Accountability and Transparency Act (FFATA) Subaward Reporting System (FSRS) pursuant to Federal regulations.</p> <p>Recommendation: The Department should implement procedures to ensure that all key data elements are timely reported in FSRS.</p>	<p>CLOSED: All required reports were submitted to the Division of Emergency Management (DEM) for filing into the online FFATA database. Additionally, the FDFS enhanced its procedures to ensure that reports are timely and properly submitted to DEM, who is responsible for inputting the reports into the FFATA system</p>	

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Office of Inspector General Report No. IA 12-205	September 2012	<i>Audit of the Department's Management of the Memorandum of Understanding for the Use of the DAVID and DAVE Databases</i>	<p>Issue 1: Management of the Memorandum of Understanding (MOU) was inefficient and ineffective.</p> <p>Recommendation: The Department should centralize management of the MOU to facilitate a more systematic and coordinated approach for managing the agreement with DHSMV.</p>	<p>CLOSED: The Department centralized management of the MOU and designated the Division of Information System's Criminal Justice Information Compliance Officer as the Contract Manager for the MOU. The Division effected various changes in administration of the MOU including the development of comprehensive policies related to use of the DAVE and DAVID databases.</p>	
			<p>Issue 2: a) User Access permissions were not always timely updated; b) Quarterly Quality Control reviews were not performed by all entities; c) Policies and procedures related to the security of the personal data and information obtained from the databases needed improvement; d) Acknowledgement forms were not maintained in current status; e) All entities did not monitor database use on an on-going basis; f) Policies and procedures regarding misuse of DAVID or DAVE information were inadequate; and g) Protocols for accomplishing the required annual audit and affirmation needed to be established.</p> <p>Recommendation: The Department should establish overarching written policies and procedures related to administration of the MOU and use of the DAVE and DAVID Databases and enhance processes to ensure compliance with the terms of the MOU and that personal data obtained from the databases is properly safeguarded.</p>	<p>ONGOING: The Department implemented a comprehensive policy and procedure related to usage of the DAVE and DAVID Databases. Additionally, the Department developed and provided training for Department staff and updated existing security training. Department user entities began conducting the required Quarterly Quality Control reviews and misuse audits. The Division of Information Systems is updating its Computer Security Incident Reporting Team (CSIRT) procedures to ensure that security incidents involving the DAVE and DAVID databases are properly reported in accordance with the MOU.</p>	

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Office of Inspector General Report No. IA 12-205 (...contd)	September 2012	<i>Audit of the Department's Management of the Memorandum of Understanding for the Use of the DAVID and DAVE Databases</i>	<p>Issue 3: a) One user entity had been granted access to the DHSMV DAVID database although the entity did not have statutory authority to access the database; b) The Division of Information Systems was not included in the review and approval of the MOU to ensure potential information technology security issues were appropriately addressed prior to execution of the MOU.</p> <p>Recommendation: The Department needs to improve its contracting procedures for ensuring that appropriate statutory authority exists prior to executing MOU's for the exchange of data and information with external sources. Additionally, the Department should require the Division of Information Systems to review and approve MOUs involving the exchange of data and information with external entities.</p>	ONGOING: The Department implemented a comprehensive policy and procedure related to usage of the DAVE and DAVID databases which established a process to validate legal authority for accessing the databases. The Department continues to revise processes to ensure proper review and approval of data exchange agreements.	
Office of Inspector General Report No. IA 13-203	March 31, 2013	<i>Audit of Internal Controls Over Personal Data Exchanged Under DHSMV Memorandum of Understanding and Audit Follow-up of IA 12-205</i>	<p>Finding 1: Access permissions were not always timely revoked.</p> <p>Recommendation: The Department should consider enhancing its procedures to ensure that access is timely revoked and each user entity has a designated back-up for its Digital Certificate Coordinator (DCC) or Point of Contact (POC)</p>	ONGOING: The Division of Information Systems (DIS) is in the process of reviewing and updating the DAVE and DAVID Access Control Procedures.	

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			<p>Finding 2: The Quarterly Quality Control (QQC) access reviews were not always conducted quarterly. Documentation of four reviews was not adequate in that some of the reviews contained errors, none denoted the time period covered by the review, and none evidenced supervisory review and approval.</p> <p>Recommendation: DIS should consider updating the DAVE and DAVID Access Control Procedures to require documented supervisory review and approval of the QQC reviews.</p>	<p>ONGOING: The DIS is currently updating the DAVE and DAVID Access Control Procedures to require documented supervisory review and approval of the QQC reviews. The updated procedures will be provided to the DAVE and DAVID access administrators as guidance for the performance of the QQC reviews.</p>	
Office of Inspector General Report No. IA 13-203	March 31, 2013	<p><i>Audit of Internal Controls Over Personal Data Exchanged Under DHSMV Memorandum of Understanding and Audit Follow-up of IA 12-205</i></p>	<p>Finding 3: Four DAVE user entities retained personal data obtained from the DAVE database for non-law enforcement purposes, absent written authorization from the Department of Highway Safety and Motor Vehicles</p> <p>Recommendation: In instances where clarification or changes are needed to the Memorandum of Understanding (MOU), the Department should coordinate with its Division of Legal Services to seek written authorization and/or an amendment to the MOU, as necessary. Additionally, the Department should consider implementing alternative procedures to meet their documentation needs related to personal data.</p>	<p>ONGOING: The Department received written authorization from DHSMV to retain data obtained from the DAVE database. The MOU will be revised subsequent to the implementation of the new DAVID system. The Department will coordinate with the Department's Division of Legal Services for execution of the revised MOU at that time.</p>	

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			<p>Finding 4: Access authorization and acknowledgement forms were not maintained for all users. Sufficient documentation was not maintained to evidence that users of the DAVID database had signed access authorization forms and user acknowledgements prior to being granted access to the database.</p> <p>Recommendation: The Department should consider enhancing its procedures to ensure that access authorization forms and user acknowledgements are properly maintained. Access and acknowledgement forms should be dated and proper records maintained to reflect all users of the databases and pertinent information such as the date access is granted/revoked etc.</p>	<p>ONGOING: The DIS is updating the DAVE and DAVID Access Control Procedures, including procedures for detailed user listings.</p>	
			<p>Finding 5: Sufficient documentation was not always maintained to evidence the proper completion of the misuse audits and appropriate action was not always taken to investigate and resolve potential misuse or questionable searches. The misuse audits did not evidence proper supervisory review and approval and most user entities did not have an adequate means to verify database search activity.</p> <p>Recommendation: The DIS should consider updating the DAVE and DAVID Access Control Procedures to require documented supervisory review and approval of the misuse audits and clarify the type of supporting documentation to be maintained. The Department should consider exploring practical solutions which may include search logs or similar means to ensure that POCs and DCCs are able to verify users' searches.</p>	<p>ONGOING: The DIS is reviewing and updating DAVE and DAVID Access Control Procedures, including the audit forms and instructions. Additionally, the Department of Highway Safety and Motor Vehicles (DHSMV) is in the process of implementing enhancements to the DAVE and DAVID databases which should address certain problems related to the performance of the misuse audits. The enhancements are expected to be operational in Fall 2013. The Department continues to be in contact with DHSMV and is reviewing options for correlating usage activity to authorized business functions.</p>	

REPORT NUMBER	PERIOD ENDING	UNIT/AREA	SUMMARY OF FINDINGS AND RECOMMENDATIONS	SUMMARY OF CORRECTIVE ACTION TAKEN	ISSUE CODE
			<p>Finding 6: Security incident procedures were not sufficient to meet the unique reporting needs of the MOU and access permissions were not updated for users involved in misuse incidents. Misuse incidents were not timely and properly reported to the Division of Information Services, the Office of Inspector General or the Department of Highway Safety and Motor Vehicles (DHSMV).</p> <p>Recommendation: The Department should continue its efforts to enhance its Computer Security Incident Reporting Team (CSIRT) procedures to ensure that procedures meet the unique requirements of the MOU and other externally owned systems. Clarification is needed to the DAVID and DAVE Access Control Procedures to designate who is responsible, in misuse incidents, for notifying the DCC/POC to revoke access and also when revocation should occur during the misuse incident. Additionally, clarification should be sought from DHSMV regarding the updating of access permissions related to misuse incidents</p>	<p>ONGOING: The DIS is currently in the process of reviewing and updating CSIRT procedures and the DAVE and DAVID Access Control Procedures. The updated CSIRT procedures will be implemented after they have been reviewed and approved by the CSIRT team. Additionally, DIS is consulting with relevant parties to determine appropriate timing for updating access permissions related to misuse incidents</p>	
			<p>Finding 7: Department contracting policies and procedures are not sufficient to ensure a proper evaluation of legal authority for data exchange agreements.</p> <p>Recommendation: DIS should amend the DAVID and DAVE procedures to define processes for new user entities to acquire database access. Additionally, General Services should amend the Contract Management and Life Cycle and Procurement Guide to identify those individuals who are responsible for determining statutory authority for these types of agreements.</p>	<p>ONGOING: DIS is currently in the process of reviewing and updating DAVE and DAVID Access Control Procedures. Additionally, General Services added clarifying language to the Contract Management Life Cycle and Procurement Guide to identify those individuals who are responsible for determining and validating statutory authority.</p>	
Office of Inspector General Report No. IA 13-203 (...contd)			<p>Finding 8: A security issue involving the DAVID database needs remediation.</p> <p>Recommendation: The Department should continue its efforts to remediate the security issue.</p>	<p>ONGOING: The Department is continuing its efforts to remediate the security issue. The planned solution is approaching the testing phase and is scheduled to be fully implemented by September 30, 2013.</p>	

REPORT NUMBER	PERIOD ENDING	UNIT/AREA	SUMMARY OF FINDINGS AND RECOMMENDATIONS	SUMMARY OF CORRECTIVE ACTION TAKEN	ISSUE CODE
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SCHEDULE IX: MAJOR AUDIT FINDINGS AND RECOMMENDATIONS

Budget Period: 2014-2015

Department: Office of Insurance Regulation

Chief Internal Auditor: Bonnie Deering

Budget Entity: 43900120 Execution Direction

Phone Number: 850-413-4975

(1) REPORT NUMBER	(2) PERIOD ENDING	(3) UNIT/AREA	(4) SUMMARY OF FINDINGS AND RECOMMENDATIONS	(5) SUMMARY OF CORRECTIVE ACTION TAKEN	(6) ISSUE CODE
(None to report)					

SCHEDULE IX: MAJOR AUDIT FINDINGS AND RECOMMENDATIONS

Budget Period: 2012 -2013

Department: Office of Financial Regulation

Chief Internal Auditor: Karen Fisher, Inspector General

 Direction; 43900570-
 Division of Securities;
 43900560- Division of
 Consumer Finance;
 43900530- Division of
 Financial Institutions
 and 43900540- Bureau

Budget Entity: of Financial

Phone Number: (850)410-9712

(1)	(2)	(3)	(4)	(5)	(6)
REPORT NUMBER	PERIOD ENDING	UNIT/AREA	SUMMARY OF FINDINGS AND RECOMMENDATIONS	SUMMARY OF CORRECTIVE ACTION TAKEN	ISSUE CODE
Auditor General Report No. 2011-083	30-Jun-11	Division of Securities	<p>State-chartered financial institutions.</p> <p>Finding No. 3: OFR did not always timely submit to the Central Registration Depository (CRD) regulatory filings disclosing disciplinary actions taken (U6 forms), thereby limiting the information available to others as they pursue their duties relative to the regulation of the securities industry.</p> <p>Recommendation: We recommend that OFR file U6 forms with FINRA to ensure that disciplinary actions against individuals are available to other regulators and, as applicable, to the public through BrokerCheck. Additionally, we recommend that OFR perform follow-up procedures to determine whether individuals have filed U4 form amendments with FINRA for disciplinary actions taken by OFR.</p>	<p>Resolved. No finding in Auditor General Report 2013-031, under Prior Year Follow-Up</p>	
Auditor General Report No. 2011-083	30-Jun-11	REAL System, Executive Direction	<p>Finding No. 8: OFR and the Department of Financial Services (DFS) did not have a signed service level agreement for the REAL System services provided by DFS.</p> <p>Recommendation: OFR should pursue the finalization of an agreement that includes appropriate and specific provisions defining each party's roles and responsibilities with respect to the REAL System.</p>	<p>Repeat finding in Auditor General Report 2013-031, however in November 2012 OFR entered into a Service Level Agreement for the REAL System with DFS.</p>	

OFR OIG
Management
Review
Report No.
M1112OFR-012

30-Jun-12 Bureau of Financial
Investigations

Finding No. 1- Six of the ten FCIC/NCIC users surveyed were not aware of the Bureau of Financial Investigations' National Crime Information Center/Florida Crime Information Center (NCIC/FCIC) Criminal History Data and Computer Use Procedures. Based on the sample items tested there was one search that was a misuse of the FCIC/NCIC system which was reported to FDI E

Recommendation: We recommend that management ensure that all users of the FCIC/NCIC system are familiar with the Bureau of Financial Investigations' National Crime information Center/Florida Crime Information Center (NCIC/FCIC) Criminal History Data and Computer Use Procedures and that the use of the FCIC/NCIC is for criminal justice purposes only. Management should consider requiring each investigator to sign for the receipt and acknowledgement of the Bureau of Financial Investigations' NCIC/FCIC Criminal History Data and Computer Use Procedures. The acknowledgement should also include a statement that the FCIC/NCIC system be used in support of criminal justice purposes only and should provide

Resolved. The Bureau has developed procedures "Operational Memorandum-Confidentiality of Information", dated October 2, 2012 which each Bureau employee must acknowledge that they have received and read. The acknowledgments are maintained in the Bureau. The procedures address the authorized uses of the FCIC/NCIC and the penalties for misuse.

OFR OIG
Management
Review
Report No.
M1112OFR-012

30-Jun-12 Bureau of Financial
Investigations

Finding No. 2- Eleven of the 26 sample items reviewed in the FCIC/NCIC system could not initially be associated with an investigation. The Office of the Inspector General provided the list of eleven names to Bureau personnel to research. Subsequently the names were associated with an investigation. Thirteen of the 39 sample items reviewed in D.A.V.I.D. could not be associated by the Bureau to an investigative case.

Resolved. The Operational Memorandum-Confidentiality of Information procedures requires that any BFI staff member having access to the FCIC/NCIC or D.A.V.I.D. System must notify their manager and the BFI Point of Contact in Tallahassee via email, prior to conducting a search. The email must contain the case number, the name of the person being searched and the rationale for the search. Documentation of the notification is maintained by the Tallahassee BFI Point of Contact.

Fiscal Year 2014-15 LBR Technical Review Checklist

Department/Budget Entity (Service): Department of Financial Services
Agency Budget Officer/OPB Analyst Name: Teri Madsen

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

Action	Program or Service (Budget Entity Codes)				
	43010	43100	43200	43300	43400

1. GENERAL						
1.1	Are Columns A01, A02, A04, A05, A23, A24, A25, A36, A93, IA1, IA5, IA6, IP1, IV1, IV3 and NV1 set to TRANSFER CONTROL for DISPLAY status and MANAGEMENT CONTROL for UPDATE status for both the Budget and Trust Fund columns? Are Columns A06, A07, A08 and A09 for Fixed Capital Outlay (FCO) set to TRANSFER CONTROL for DISPLAY status only? (CSDI)	Y	Y	Y	Y	Y
1.2	Is Column A03 set to TRANSFER CONTROL for DISPLAY and UPDATE status for both the Budget and Trust Fund columns? (CSDI)	Y	Y	Y	Y	Y
AUDITS:						
1.3	Has Column A03 been copied to Column A12? Run the Exhibit B Audit Comparison Report to verify. (EXBR, EXBA)	Y	Y	Y	Y	Y
1.4	Has security been set correctly? (CSDR, CSA)	Y	Y	Y	Y	Y
TIP	The agency should prepare the budget request for submission in this order: 1) Lock columns as described above; 2) copy Column A03 to Column A12; and 3) set Column A12 column security to ALL for DISPLAY status and MANAGEMENT CONTROL for UPDATE status.					
2. EXHIBIT A (EADR, EXA)						
2.1	Is the budget entity authority and description consistent with the agency's LRPP and does it conform to the directives provided on page 59 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 Section 3 of the LBR Instructions (pages 15 through 29)? Do they clearly describe the issue?	Y	Y	Y	Y	Y
2.4	Have the coding guidelines in Section 3 of the LBR Instructions (pages 15 through 29) been followed?	Y	Y	Y	Y	Y
3. EXHIBIT B (EXBR, EXB)						
3.1	Is it apparent that there is a fund shift where an appropriation category's funding source is different between A02 and A03? Were the issues entered into LAS/PBS correctly? Check D-3A funding shift issue 340XXX0 - a unique deduct and unique add back issue should be used to ensure fund shifts display correctly on the LBR exhibits.	Y	Y	Y	Y	Y
AUDITS:						
3.2	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
3.3	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.					

Action		Program or Service (Budget Entity Codes)				
		43010	43100	43200	43300	43400
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
5.3	FLAIR Expenditure/Appropriation Ledger Comparison Report: Is Column A01 less than Column B04? (EXBR, EXBB - Negative differences need to be corrected in Column A01.)	Y	Y	Y	Y	Y
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	N	N	N	N
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 2012-13 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.	Three adj. were made after B08 was created. This results in a 62k difference in Admin TF and 5k in IRTE.				
6. EXHIBIT D-3 (ED3R, ED3) (Not required to be submitted in the LBR - for analytical purposes only.)						
6.1	Are issues appropriately aligned with appropriation categories?	Y	Y	Y	Y	Y
TIP	Exhibit D-3 is no longer required in the budget submission but may be needed for this particular appropriation category/issue sort. Exhibit D-3 is also a useful report when identifying negative appropriation category problems.					
7. EXHIBIT D-3A (EADR, ED3A)						
7.1	Are the issue titles correct and do they clearly identify the issue? (See pages 15 through 31 of the LBR Instructions.)	Y	Y	Y	Y	Y
7.2	Does the issue narrative adequately explain the agency's request and is the explanation consistent with the LRPP? (See page 67-68 of the LBR Instructions.)	Y	Y	Y	Y	Y

Action		Program or Service (Budget Entity Codes)				
		43010	43100	43200	43300	43400
7.3	Does the narrative for Information Technology (IT) issue follow the additional narrative requirements described on pages 69 through 71 of the LBR Instructions?	Y	Y	Y	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	Y	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	Y	Y	Y
7.6	Does the salary rate request amount accurately reflect any new requests and are the amounts proportionate to the Salaries and Benefits request? Note: Salary rate should always be annualized	Y	Y	Y	Y	Y
7.7	Does the issue narrative thoroughly explain/justify all Salaries and Benefits amounts entered into the Other Salary Amounts transactions (OAD/C)? Amounts entered into OAD are reflected in the Position Detail of Salaries and Benefits section of the Exhibit D-3A	Y	Y	Y	Y	Y
7.8	Does the issue narrative include the Consensus Estimating Conference forecast, where appropriate?	Y	Y	Y	Y	Y
7.9	Does the issue narrative reference the specific county(ies) where applicable?	Y	Y	Y	Y	Y
7.10	Do the 160XXX0 issues reflect budget amendments that have been approved (or in the process of being approved) and that have a recurring impact (including Lump Sums)? Have the approved budget amendments been entered in Column A18 as instructed in Memo #13-003?	Y	Y	Y	Y	Y
7.11	When appropriate are there any 160XXX0 issues included to delete positions placed in reserve in the OPB Position and Rate Ledger (e.g. unfunded grants)? Note: Lump sum appropriations not yet allocated should <u>not</u> be deleted. (PLRR, PLMO)	Y	Y	Y	Y	Y
7.12	Does the issue narrative include plans to satisfy additional space requirements when requesting additional positions?	Y	Y	Y	Y	Y
7.13	Has the agency included a 160XXX0 issue and 210XXXX and 260XXX0 issues as required for lump sum distributions?	Y	Y	Y	Y	Y
7.14	Do the amounts reflect appropriate FSI assignments?	Y	Y	Y	Y	Y
7.15	Are the 33XXXX0 issues negative amounts only and do not restore nonrecurring cuts from a prior year or fund any issues that net to a positive or zero amount? Check D-3A issues 33XXXX0 - a unique issue should be used for issues that net to zero or a positive amount.	Y	Y	Y	Y	Y
7.16	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 28 and 88 of the LBR Instructions.)	Y	Y	Y	Y	Y
7.17	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	Y	Y	Y
7.18	Are the issues relating to <i>major audit findings and recommendations</i> properly coded (4A0XXX0, 4B0XXX0)?	Y	Y	Y	Y	Y
7.19	Does the issue narrative identify the strategy or strategies in the Five Year Statewide Strategic Plan for Economic Development as requested in Memo# 14-006?	Y	Y	Y	Y	Y
AUDIT:						
7.20	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)				
		43010	43100	43200	43300	43400
7.21	Does the General Revenue for 160XXXX (Adjustments to Current Year Expenditures) issues net to zero? (GENR, LBR1)	Y	Y	Y	Y	Y
7.22	Does the General Revenue for 180XXXX (Intra-Agency Reorganizations) issues net to zero? (GENR, LBR2)	Y	Y	Y	Y	Y
7.23	Does the General Revenue for 200XXXX (Estimated Expenditures Realignment) issues net to zero? (GENR, LBR3)	Y	Y	Y	Y	Y
7.24	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	Y	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 2013-14 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	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
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	Y	Y	Y
8.5	Have the required detailed narratives been provided (5% trust fund reserve narrative; method for computing the distribution of cost for general management and administrative services narrative; adjustments narrative; revenue estimating methodology narrative)?	Y	Y	Y	Y	Y
8.6	Has the Inter-Agency Transfers Reported on Schedule I form been included as applicable for transfers totaling \$100,000 or more for the fiscal year?	Y	Y	Y	Y	Y
8.7	If the agency is scheduled for the annual trust fund review this year, have the Schedule ID and applicable draft legislation been included for recreation, modification or termination of existing trust funds?	Y	Y	Y	Y	Y

Action		Program or Service (Budget Entity Codes)				
		43010	43100	43200	43300	43400
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	Y	Y	Y	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	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	Y	Y	Y	Y
8.13	If there is no Consensus Estimating Conference forecast available, do the revenue estimates appear to be reasonable?	Y	Y	Y	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	Y	Y	Y
8.15	Are anticipated grants included and based on the state fiscal year (rather than federal fiscal year)?	Y	Y	Y	Y	Y
8.16	Are the Schedule I revenues consistent with the FSI's reported in the Exhibit D-3A?	Y	Y	Y	Y	Y
8.17	If applicable, are nonrecurring revenues entered into Column A04?	Y	Y	Y	Y	Y
8.18	Has the agency certified the revenue estimates in columns A02 and A03 to be the latest and most accurate available? Does the certification include a statement that the agency will notify OPB of any significant changes in revenue estimates that occur prior to the Governor's Budget Recommendations being issued?	Y	Y	Y	Y	Y
8.19	Is a 5% trust fund reserve reflected in Section II? If not, is sufficient justification provided for exemption? Are the additional narrative requirements provided?	Y	Y	Y	Y	Y
8.20	Are appropriate service charge nonoperating amounts included in Section II?	Y	Y	Y	Y	Y
8.21	Are nonoperating expenditures to other budget entities/departments cross-referenced accurately?	Y	Y	Y	Y	Y
8.22	Do transfers balance between funds (within the agency as well as between agencies)? (See also 8.6 for required transfer confirmation of amounts totaling \$100,000 or more.)	Y	Y	Y	Y	Y
8.23	Are nonoperating expenditures recorded in Section II and adjustments recorded in Section III?	Y	Y	Y	Y	Y
8.24	Are prior year September operating reversions appropriately shown in column A01?	Y	Y	Y	Y	Y
8.25	Are current year September operating reversions appropriately shown in column A02?	Y	Y	Y	Y	Y
8.26	Does the Schedule IC properly reflect the unreserved fund balance for each trust fund as defined by the LBR Instructions, and is it reconciled to the agency accounting records?	Y	Y	Y	Y	Y
8.27	Does Column A01 of the Schedule I accurately represent the actual prior year accounting data as reflected in the agency accounting records, and is it provided in sufficient detail for analysis?	Y	Y	Y	Y	Y
8.28	Does Line I of Column A01 (Schedule I) equal Line K of the Schedule IC?	Y	Y	Y	Y	Y
AUDITS:						

Action		Program or Service (Budget Entity Codes)				
		43010	43100	43200	43300	43400
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
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 128 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:						
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 158 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 91 of the LBR Instructions.)	Y	Y	Y	Y	Y
10.2	Are amounts in <i>Other Salary Amount</i> appropriate and fully justified? (See page 98 of the LBR Instructions for appropriate use of the OAD transaction.) Use OADI or OADR to identify agency other salary amounts requested.	Y	Y	Y	Y	Y
11. SCHEDULE IV (EADR, SC4)						
11.1	Are the correct Information Technology (IT) issue codes used?	Y	Y	Y	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? Note: FCO issues can now be included in the priority listing.	Y	Y	Y	Y	Y
13. SCHEDULE VIIIB-1 (EADR, S8B1)						
13.1	NOT REQUIRED FOR THIS YEAR	Y	Y	Y	Y	Y

Action		Program or Service (Budget Entity Codes)				
		43010	43100	43200	43300	43400
14. SCHEDULE VIII B-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	Y	Y	Y
15. SCHEDULE VIII C (EADR, S8C) (LAS/PBS Web - see page 105-107 of the LBR Instructions for detailed instructions)						
15.1	Agencies are required to generate this schedule via the LAS/PBS Web.	Y	Y	Y	Y	Y
15.2	Does the schedule include at least three and no more than 10 unique reprioritization issues, in priority order? Manual Check.	Y	Y	Y	Y	Y
15.3	Does the schedule display reprioritization issues that are each comprised of two unique issues - a deduct component and an add-back component which net to zero at the department level?	N	N	N	N	N
15.4	Are the priority narrative explanations adequate and do they follow the guidelines on pages 105-107 of the LBR instructions?	Y	Y	Y	Y	Y
15.5	Does the issue narrative in A6 address the following: Does the state have the authority to implement the reprioritization issues independent of other entities (federal and local governments, private donors, etc.)? Are the reprioritization issues an allowable use of the recommended funding source?	Y	Y	Y	Y	Y
AUDIT:						
15.6	Do the issues net to zero at the department level? (GENR, LBR5)	N	N	N	N	N
16. SCHEDULE XI (USCR, SCXI) (LAS/PBS Web - see page 108-112 of the LBR Instructions for detailed instructions)						
16.1	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
16.2	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:						
16.3	Does the FY 2012-13 Actual (prior year) Expenditures in Column A36 reconcile to Column A01? (GENR, ACT1)	Y	Y	Y	Y	Y
16.4	None of the executive direction, administrative support and information technology statewide activities (ACT0010 thru ACT0490) have output standards (Record Type 5)? (Audit #1 should print "No Activities Found")	Y	Y	Y	Y	Y
16.5	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	Y	Y	Y	Y
16.6	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	Y	Y	Y	Y	Y
16.7	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.					
17. MANUALLY PREPARED EXHIBITS & SCHEDULES						
17.1	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

Action		Program or Service (Budget Entity Codes)				
		43010	43100	43200	43300	43400
17.2	Are appropriation category totals comparable to Exhibit B, where applicable?	Y	Y	Y	Y	Y
17.3	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.					
TIP	Reorganizations may cause audit errors. Agencies must indicate that these errors are due to an agency reorganization to justify the audit error.					
18. CAPITAL IMPROVEMENTS PROGRAM (CIP)						
18.1	Are the CIP-2, CIP-3, CIP-A and CIP-B forms included?	Y	Y	Y	Y	Y
18.2	Are the CIP-4 and CIP-5 forms submitted when applicable (see CIP Instructions)?	Y	Y	Y	Y	Y
18.3	Do all CIP forms comply with CIP Instructions where applicable (see CIP Instructions)?	Y	Y	Y	Y	Y
18.4	Does the agency request include 5 year projections (Columns A03, A06, A07, A08 and A09)?	Y	Y	Y	Y	Y
18.5	Are the appropriate counties identified in the narrative?	Y	Y	Y	Y	Y
18.6	Has the CIP-2 form (Exhibit B) been modified to include the agency priority for each project and the modified form saved as a PDF document?	Y	Y	Y	Y	Y
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.					
19. FLORIDA FISCAL PORTAL						
19.1	Have all files been assembled correctly and posted to the Florida Fiscal Portal as outlined in the Florida Fiscal Portal Submittal Process?	Y	Y	Y	Y	Y

Fiscal Year 2014-15 LBR Technical Review Checklist

Department/Budget Entity (Service): Department of Financial Services
Agency Budget Officer/OPB Analyst Name: Teri Madsen

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

Action	Program or Service (Budget Entity Codes)			
	43500	43600	OIR	OFR

1. GENERAL

1.1 Are Columns A01, A02, A04, A05, A23, A24, A25, A36, A93, IA1, IA5, IA6, 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	
1.2 Is Column A03 set to TRANSFER CONTROL for DISPLAY and UPDATE status for both the Budget and Trust Fund columns? (CSDI)	Y	Y	Y	Y	

AUDITS:

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

2. EXHIBIT A (EADR, EXA)

2.1 Is the budget entity authority and description consistent with the agency's LRPP and does it conform to the directives provided on page 59 of the LBR Instructions?	Y	Y	Y	Y	
2.2 Are the statewide issues generated systematically (estimated expenditures, nonrecurring expenditures, etc.) included?	Y	Y	Y	Y	
2.3 Are the issue codes and titles consistent with <i>Section 3</i> of the LBR Instructions (pages 15 through 29)? Do they clearly describe the issue?	Y	Y	Y	Y	
2.4 Have the coding guidelines in <i>Section 3</i> of the LBR Instructions (pages 15 through 29) been followed?	Y	Y	Y	Y	

3. EXHIBIT B (EXBR, EXB)

3.1 Is it apparent that there is a fund shift where an appropriation category's funding source is different between A02 and A03? Were the issues entered into LAS/PBS correctly? Check D-3A funding shift issue 340XXX0 - a unique deduct and unique add back issue should be used to ensure fund shifts display correctly on the LBR exhibits.	Y	Y	Y	Y	
---	---	---	---	---	--

AUDITS:

3.2 Negative Appropriation Category Audit for Agency Request (Columns A03 and A04): Are all appropriation categories positive by budget entity at the FSI level? Are all nonrecurring amounts less than requested amounts? (NACR, NAC - Report should print "No Negative Appropriation Categories Found")	Y	Y	Y	Y	
3.3 Current Year Estimated Verification Comparison Report: Is Column A02 equal to Column B07? (EXBR, EXBC - Report should print "Records Selected Net To Zero")	Y	Y	Y	Y	
TIP Generally look for and be able to fully explain significant differences between A02 and A03.					
TIP Exhibit B - A02 equal to B07: Compares Current Year Estimated column to a backup of A02. This audit is necessary to ensure that the historical detail records have not been adjusted. Records selected should net to zero.					

Action		Program or Service (Budget Entity Codes)				
		43500	43600	OIR	OFR	
TIP	Requests for appropriations which require advance payment authority must use the sub-title "Grants and Aids". For advance payment authority to local units of government, the Aid to Local Government appropriation category (05XXXX) should be used. For advance payment authority to non-profit organizations or other units of state government, the Special Categories appropriation category (10XXXX) should be used.					
4. EXHIBIT D (EADR, EXD)						
4.1	Is the program component objective statement consistent with the agency LRPP, and does it conform to the directives provided on page 61 of the LBR Instructions?	Y	Y	Y	Y	
4.2	Is the program component code and title used correct?	Y	Y	Y	Y	
TIP	Fund shifts or transfers of services or activities between program components will be displayed on an Exhibit D whereas it may not be visible on an Exhibit A.					
5. EXHIBIT D-1 (ED1R, EXD1)						
5.1	Are all object of expenditures positive amounts? (This is a manual check.)	Y	Y	Y	Y	
AUDITS:						
5.2	Do the fund totals agree with the object category totals within each appropriation category? (ED1R, XD1A - Report should print "No Differences Found For This Report")	Y	Y	Y	Y	
5.3	FLAIR Expenditure/Appropriation Ledger Comparison Report: Is Column A01 less than Column B04? (EXBR, EXBB - Negative differences need to be corrected in Column A01.)	Y	Y	Y	Y	
5.4	A01/State Accounts Disbursements and Carry Forward Comparison Report: Does Column A01 equal Column B08? (EXBR, EXBD - Differences need to be corrected in Column A01.)	N	N	Y	Y	
TIP	If objects are negative amounts, the agency must make adjustments to Column A01 to correct the object amounts. In addition, the fund totals must be adjusted to reflect the adjustment made to the object data.					
TIP	If fund totals and object totals do not agree or negative object amounts exist, the agency must adjust Column A01.					
TIP	Exhibit B - A01 less than B04: This audit is to ensure that the disbursements and carry/certifications forward in A01 are less than FY 2012-13 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.					Three adj. were made after B08 was created. This results in a 62k difference in Admin TF and 5k in IRTF.
6. EXHIBIT D-3 (ED3R, ED3) (Not required to be submitted in the LBR - for analytical purposes only.)						
6.1	Are issues appropriately aligned with appropriation categories?	Y	Y	Y	Y	
TIP	Exhibit D-3 is no longer required in the budget submission but may be needed for this particular appropriation category/issue sort. Exhibit D-3 is also a useful report when identifying negative appropriation category problems.					
7. EXHIBIT D-3A (EADR, ED3A)						
7.1	Are the issue titles correct and do they clearly identify the issue? (See pages 15 through 31 of the LBR Instructions.)	Y	Y	Y	Y	
7.2	Does the issue narrative adequately explain the agency's request and is the explanation consistent with the LRPP? (See page 67-68 of the LBR Instructions.)	Y	Y	Y	Y	

Action		Program or Service (Budget Entity Codes)				
		43500	43600	OIR	OFR	
7.3	Does the narrative for Information Technology (IT) issue follow the additional narrative requirements described on pages 69 through 71 of the LBR Instructions?	Y	Y	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	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	Y	Y	
7.6	Does the salary rate request amount accurately reflect any new requests and are the amounts proportionate to the Salaries and Benefits request? Note: Salary rate should always be <u>annualized</u> .	Y	Y	Y	Y	
7.7	Does the issue narrative thoroughly explain/justify all Salaries and Benefits amounts entered into the Other Salary Amounts transactions (OADA/C)? Amounts entered into OAD are reflected in the Position Detail of Salaries and Benefits section of the Exhibit D-3A.	Y	Y	Y	Y	
7.8	Does the issue narrative include the Consensus Estimating Conference forecast, where <u>appropriate</u> ?	Y	Y	Y	Y	
7.9	Does the issue narrative reference the specific county(ies) where applicable?	Y	Y	Y	Y	
7.10	Do the 160XXX0 issues reflect budget amendments that have been approved (or in the process of being approved) and that have a recurring impact (including Lump Sums)? Have the approved budget amendments been entered in Column A18 as instructed in Memo #13-003?	Y	Y	Y	Y	
7.11	When appropriate are there any 160XXX0 issues included to delete positions placed in reserve in the OPB Position and Rate Ledger (e.g. unfunded grants)? Note: Lump sum appropriations not yet allocated should <u>not</u> be deleted. (PLRR, PLMO)	Y	Y	Y	Y	
7.12	Does the issue narrative include plans to satisfy additional space requirements when <u>requesting additional positions</u> ?	Y	Y	Y	Y	
7.13	Has the agency included a 160XXX0 issue and 210XXXX and 260XXX0 issues as required for <u>lump sum distributions</u> ?	Y	Y	Y	Y	
7.14	Do the amounts reflect appropriate FSI assignments?	Y	Y	Y	Y	
7.15	Are the 33XXXX0 issues negative amounts only and do not restore nonrecurring cuts from a prior year or fund any issues that net to a positive or zero amount? Check D-3A issues 33XXXX0 - a unique issue should be used for issues that net to zero or a positive amount.	Y	Y	Y	Y	
7.16	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 28 and 88 of the LBR Instructions.)	Y	Y	Y	Y	
7.17	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	Y	Y	Y	
7.18	Are the issues relating to <i>major audit findings and recommendations</i> properly coded (4A0XXX0, 4B0XXX0)?	Y	Y	Y	Y	
7.19	Does the issue narrative identify the strategy or strategies in the Five Year Statewide Strategic Plan for Economic Development as requested in Memo# 14-006?	Y	Y	Y	Y	
AUDIT:						
7.20	Are all FSI's equal to '1', '2', '3', or '9'? There should be no FSI's equal to '0'. (EADR, FSIA - Report should print "No Records Selected For Reporting")	Y	Y	Y	Y	
7.21	Does the General Revenue for 160XXXX (Adjustments to Current Year Expenditures) issues net to zero? (GENR, LBR1)	Y	Y	Y	Y	

Action		Program or Service (Budget Entity Codes)				
		43500	43600	OIR	OFR	
7.22	Does the General Revenue for 180XXXX (Intra-Agency Reorganizations) issues net to zero? (GENR, LBR2)	Y	Y	Y	Y	
7.23	Does the General Revenue for 200XXXX (Estimated Expenditures Realignment) issues net to zero? (GENR, LBR3)	Y	Y	Y	Y	
7.24	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	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 2013-14 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	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	
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	
8.4	Have the Examination of Regulatory Fees Part I and Part II forms been included for the applicable regulatory programs?	Y	Y	Y	Y	
8.5	Have the required detailed narratives been provided (5% trust fund reserve narrative; method for computing the distribution of cost for general management and administrative services narrative; adjustments narrative; revenue estimating methodology narrative)?	Y	Y	Y	Y	
8.6	Has the Inter-Agency Transfers Reported on Schedule I form been included as applicable for transfers totaling \$100,000 or more for the fiscal year?	Y	Y	Y	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	Y	Y	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	Y	Y	Y	

Action	Program or Service (Budget Entity Codes)				
	43500	43600	OIR	OFR	
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	Y	Y	
8.10 Are the statutory authority references correct?	Y	Y	Y	Y	
8.11 Are the General Revenue Service Charge percentage rates used for each revenue source correct? (Refer to Chapter 2009-78, Laws of Florida, for appropriate general revenue service charge percentage rates.)	Y	Y	Y	Y	
8.12 Is this an accurate representation of revenues based on the most recent Consensus Estimating Conference forecasts?	Y	Y	Y	Y	
8.13 If there is no Consensus Estimating Conference forecast available, do the revenue estimates appear to be reasonable?	Y	Y	Y	Y	
8.14 Are the federal funds revenues reported in Section I broken out by individual grant? Are the correct CFDA codes used?	Y	Y	Y	Y	
8.15 Are anticipated grants included and based on the state fiscal year (rather than federal fiscal year)?	Y	Y	Y	Y	
8.16 Are the Schedule I revenues consistent with the FST's reported in the Exhibit D-3A?	Y	Y	Y	Y	
8.17 If applicable, are nonrecurring revenues entered into Column A04?	Y	Y	Y	Y	
8.18 Has the agency certified the revenue estimates in columns A02 and A03 to be the latest and most accurate available? Does the certification include a statement that the agency will notify OPB of any significant changes in revenue estimates that occur prior to the Governor's Budget Recommendations being issued?	Y	Y	Y	Y	
8.19 Is a 5% trust fund reserve reflected in Section II? If not, is sufficient justification provided for exemption? Are the additional narrative requirements provided?	Y	Y	Y	Y	
8.20 Are appropriate service charge nonoperating amounts included in Section II?	Y	Y	Y	Y	
8.21 Are nonoperating expenditures to other budget entities/departments cross-referenced accurately?	Y	Y	Y	Y	
8.22 Do transfers balance between funds (within the agency as well as between agencies)? (See also 8.6 for required transfer confirmation of amounts totaling \$100,000 or more.)	Y	Y	Y	Y	
8.23 Are nonoperating expenditures recorded in Section II and adjustments recorded in Section III?	Y	Y	Y	Y	
8.24 Are prior year September operating reversions appropriately shown in column A01?	Y	Y	Y	Y	
8.25 Are current year September operating reversions appropriately shown in column A02?	Y	Y	Y	Y	
8.26 Does the Schedule IC properly reflect the unreserved fund balance for each trust fund as defined by the LBR Instructions, and is it reconciled to the agency accounting records?	Y	Y	Y	Y	
8.27 Does Column A01 of the Schedule I accurately represent the actual prior year accounting data as reflected in the agency accounting records, and is it provided in sufficient detail for analysis?	Y	Y	Y	Y	
8.28 Does Line I of Column A01 (Schedule I) equal Line K of the Schedule IC?	Y	Y	Y	Y	
AUDITS:					
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	

Action		Program or Service (Budget Entity Codes)				
		43500	43600	OIR	OFR	
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	
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	
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 128 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:						
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 158 of the LBR Instructions.)	Y	Y	Y	Y	
10. SCHEDULE III (PSCR, SC3)						
10.1	Is the appropriate lapse amount applied in Segment 3? (See page 91 of the LBR Instructions.)	Y	Y	Y	Y	
10.2	Are amounts in <i>Other Salary Amount</i> appropriate and fully justified? (See page 98 of the LBR Instructions for appropriate use of the OAD transaction.) Use OADI or OADR to identify agency other salary amounts requested.	Y	Y	Y	Y	
11. SCHEDULE IV (EADR, SC4)						
11.1	Are the correct Information Technology (IT) issue codes used?	Y	Y	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? Note: FCO issues can now be included in the priority listing.	Y	Y	Y	Y	
13. SCHEDULE VIIIB-1 (EADR, S8B1)						
13.1	NOT REQUIRED FOR THIS YEAR	Y	Y	Y	Y	

Action	Program or Service (Budget Entity Codes)				
	43500	43600	OIR	OFR	
14. SCHEDULE VIII B-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	Y	Y	
15. SCHEDULE VIII C (EADR, S8C) (LAS/PBS Web - see page 105-107 of the LBR Instructions for detailed instructions)					
15.1 Agencies are required to generate this schedule via the LAS/PBS Web.	Y	Y	Y	Y	
15.2 Does the schedule include at least three and no more than 10 unique reprioritization issues, in priority order? Manual Check.	Y	Y	Y	Y	
15.3 Does the schedule display reprioritization issues that are each comprised of two unique issues - a deduct component and an add-back component which net to zero at the department level?	N	N	Y	Y	
15.4 Are the priority narrative explanations adequate and do they follow the guidelines on pages 105-107 of the LBR instructions?	Y	Y	Y	Y	
15.5 Does the issue narrative in A6 address the following: Does the state have the authority to implement the reprioritization issues independent of other entities (federal and local governments, private donors, etc.)? Are the reprioritization issues an allowable use of the recommended funding source?	Y	Y	Y	Y	
AUDIT:					
15.6 Do the issues net to zero at the department level? (GENR, LBR5)	N	N	Y	Y	
16. SCHEDULE XI (USCR, SCXI) (LAS/PBS Web - see page 108-112 of the LBR Instructions for detailed instructions)					
16.1 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	
16.2 Do the PDF files uploaded to the Florida Fiscal Portal for the LRPP and LBR match?	Y	Y	Y	Y	
AUDITS INCLUDED IN THE SCHEDULE XI REPORT:					
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16.4 None of the executive direction, administrative support and information technology statewide activities (ACT0010 thru ACT0490) have output standards (Record Type 5)? (Audit #1 should print "No Activities Found")	Y	Y	Y	Y	
16.5 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	Y	Y	Y	
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17.2	Are appropriation category totals comparable to Exhibit B, where applicable?	Y	Y	Y	Y	
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18.2	Are the CIP-4 and CIP-5 forms submitted when applicable (see CIP Instructions)?	Y	Y	Y	Y	
18.3	Do all CIP forms comply with CIP Instructions where applicable (see CIP Instructions)?	Y	Y	Y	Y	
18.4	Does the agency request include 5 year projections (Columns A03, A06, A07, A08 and A09)?	Y	Y	Y	Y	
18.5	Are the appropriate counties identified in the narrative?	Y	Y	Y	Y	
18.6	Has the CIP-2 form (Exhibit B) been modified to include the agency priority for each project and the modified form saved as a PDF document?	Y	Y	Y	Y	
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.					
19. FLORIDA FISCAL PORTAL						
19.1	Have all files been assembled correctly and posted to the Florida Fiscal Portal as outlined in the Florida Fiscal Portal Submittal Process?	Y	Y	Y	Y	

*** NO DIFFERENCES FOUND FOR THIS REPORT ***

CODE	ERROR MESSAGE	PAGE
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THERE WERE 0 ERRORS DETECTED


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* BPED1L01                      STATISTICAL INFORMATION                      10/15/2013 11:08 *
* BUDGET PERIOD: 2004-2015      EXHIBIT D-1 LIST REQUEST                    TJM 43      SP *
* COMPILE DATE: 12/28/2012     COMPILE TIME: 11:26:59                      PAGE:      2 *
*****
*
* TOTAL RECORDS READ FROM SORT:      2,080                                *
* TOTAL RECORDS READ FROM CARD:      24                                  *
* TOTAL BGF RECORDS READ:            0                                  *
* TOTAL BEF RECORDS READ:            62                                  *
* TOTAL PCF RECORDS READ:            14                                  *
* TOTAL OCF RECORDS READ:            0                                  *
* TOTAL ACF RECORDS READ:            43                                  *
* TOTAL FCF RECORDS READ:            0                                  *
* TOTAL RECORDS IN ERROR:            0                                  *
*
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		ACT PR YR	CURR YR EST	AGY REQUEST
		EXP 2012-13	EXP 2013-14	FY 2014-15
<u>FINANCIAL SERVICES</u> 43000000				
FUND: UNCLAIMED PROPERTY TF 2007				
UNRESERVED FUND BALANCE - JULY 1	(A)	9,132,149	17,997,153	13,715,905
ADD: REVENUES (FROM SECTION I)	(B)	548,086,613	579,053,275	451,761,400
TOTAL FUNDS AVAILABLE (LINE A + LINE B)	(C)	557,218,762	597,050,428	465,477,305
LESS: OPERATING EXPENDITURES	(D)			
LESS: NONOPERATING EXPENDITURES (SECTION II)	(E)	479,597,196	578,686,831	452,426,684
LESS: FIXED CAPITAL OUTLAY (TOTAL ONLY)	(F)			
UNRESERVED FUND BALANCE - JUNE 30 - BEFORE ADJ	(G)	77,621,566	18,363,597	13,050,621
NET ADJUSTMENTS (FROM SECTION III)	(H)	55,618,486-	28,478	
ADJUSTED UNRESERVED FUND BALANCE - JUNE 30	(I)	22,003,080	18,392,075	13,050,621

DISCREPANCIES:

LINE I OF ONE COLUMN IS NOT EQUAL TO LINE A OF NEXT COLUMNA01/A02; A02/A03
 SCHEDULE IB TOTAL IS NOT EQUAL TO LINE I.....A01; A02; A03

FUND: ADMINISTRATIVE TRUST FUND 2021

UNRESERVED FUND BALANCE - JULY 1	(A)	2,952,022	2,503,080	3,189,680
ADD: REVENUES (FROM SECTION I)	(B)	46,824,215	56,899,006	55,136,641
TOTAL FUNDS AVAILABLE (LINE A + LINE B)	(C)	49,776,237	59,402,086	58,326,321
LESS: OPERATING EXPENDITURES	(D)			
LESS: NONOPERATING EXPENDITURES (SECTION II)	(E)	638,655	574,196	366,130
LESS: FIXED CAPITAL OUTLAY (TOTAL ONLY)	(F)			
UNRESERVED FUND BALANCE - JUNE 30 - BEFORE ADJ	(G)	49,137,582	58,827,890	57,960,191
NET ADJUSTMENTS (FROM SECTION III)	(H)	672,220-	368,869	
ADJUSTED UNRESERVED FUND BALANCE - JUNE 30	(I)	48,465,362	59,196,759	57,960,191

DISCREPANCIES:

LINE I OF ONE COLUMN IS NOT EQUAL TO LINE A OF NEXT COLUMNA01/A02; A02/A03
 SCHEDULE IB TOTAL IS NOT EQUAL TO LINE I.....A01; A02; A03

		ACT PR YR	CURR YR EST	AGY REQUEST
		EXP 2012-13	EXP 2013-14	FY 2014-15
<u>FINANCIAL SERVICES</u> 43000000				
FUND: ANTI-FRAUD TRUST FUND 2038				
UNRESERVED FUND BALANCE - JULY 1	(A)	6,570,444	6,122,880	3,475,597
ADD: REVENUES (FROM SECTION I)	(B)	2,833,303	815,000	815,000
TOTAL FUNDS AVAILABLE (LINE A + LINE B)	(C)	9,403,747	6,937,880	4,290,597
LESS: OPERATING EXPENDITURES	(D)			
LESS: NONOPERATING EXPENDITURES (SECTION II)	(E)	3,184,594	3,268,255	105,592
LESS: FIXED CAPITAL OUTLAY (TOTAL ONLY)	(F)			
UNRESERVED FUND BALANCE - JUNE 30 - BEFORE ADJ	(G)	6,219,153	3,669,625	4,185,005
NET ADJUSTMENTS (FROM SECTION III)	(H)	1,592-	5,972	
ADJUSTED UNRESERVED FUND BALANCE - JUNE 30	(I)	6,217,561	3,675,597	4,185,005

DISCREPANCIES:

LINE I OF ONE COLUMN IS NOT EQUAL TO LINE A OF NEXT COLUMNA01/A02; A02/A03
 SCHEDULE IB TOTAL IS NOT EQUAL TO LINE I.....A01; A02; A03

FUND: STATE RISK MGMT TF 2078				
UNRESERVED FUND BALANCE - JULY 1	(A)	19,815,675	26,557,641	17,854,512
ADD: REVENUES (FROM SECTION I)	(B)	193,681,627	193,100,100	193,100,100
TOTAL FUNDS AVAILABLE (LINE A + LINE B)	(C)	213,497,302	219,657,741	210,954,612
LESS: OPERATING EXPENDITURES	(D)			
LESS: NONOPERATING EXPENDITURES (SECTION II)	(E)	130,438,918	140,665,153	146,671,780
LESS: FIXED CAPITAL OUTLAY (TOTAL ONLY)	(F)			
UNRESERVED FUND BALANCE - JUNE 30 - BEFORE ADJ	(G)	83,058,384	78,992,588	64,282,832
NET ADJUSTMENTS (FROM SECTION III)	(H)	3,319,271-	456,772	
ADJUSTED UNRESERVED FUND BALANCE - JUNE 30	(I)	79,739,113	79,449,360	64,282,832

DISCREPANCIES:

LINE I OF ONE COLUMN IS NOT EQUAL TO LINE A OF NEXT COLUMNA01/A02; A02/A03
 SCHEDULE IB TOTAL IS NOT EQUAL TO LINE I.....A01; A02; A03

		ACT PR YR EXP 2012-13	CURR YR EST EXP 2013-14	AGY REQUEST FY 2014-15
<u>FINANCIAL SERVICES</u>	43000000			
FUND: FEDERAL GRANTS TRUST FUND	2261			
UNRESERVED FUND BALANCE - JULY 1	(A)	363,862	1,167,448	2,592,559
ADD: REVENUES (FROM SECTION I)	(B)	2,768,131	4,278,935	4,278,935
TOTAL FUNDS AVAILABLE (LINE A + LINE B)	(C)	3,131,993	5,446,383	6,871,494
LESS: OPERATING EXPENDITURES	(D)			
LESS: NONOPERATING EXPENDITURES (SECTION II)	(E)	369,085	520,000	520,000
LESS: FIXED CAPITAL OUTLAY (TOTAL ONLY)	(F)			
UNRESERVED FUND BALANCE - JUNE 30 - BEFORE ADJ	(G)	2,762,908	4,926,383	6,351,494
NET ADJUSTMENTS (FROM SECTION III)	(H)	153,177		
ADJUSTED UNRESERVED FUND BALANCE - JUNE 30	(I)	2,916,085	4,926,383	6,351,494

DISCREPANCIES:

LINE I OF ONE COLUMN IS NOT EQUAL TO LINE A OF NEXT COLUMNA01/A02; A02/A03
 SCHEDULE IB TOTAL IS NOT EQUAL TO LINE I.....A01; A02; A03

FUND: FINANCIAL INST REG TF	2275			
UNRESERVED FUND BALANCE - JULY 1	(A)	21,319,427	20,469,987	18,541,067
ADD: REVENUES (FROM SECTION I)	(B)	15,398,977	15,064,212	15,044,412
TOTAL FUNDS AVAILABLE (LINE A + LINE B)	(C)	36,718,404	35,534,199	33,585,479
LESS: OPERATING EXPENDITURES	(D)			
LESS: NONOPERATING EXPENDITURES (SECTION II)	(E)	6,110,544	5,347,520	4,429,846
LESS: FIXED CAPITAL OUTLAY (TOTAL ONLY)	(F)			
UNRESERVED FUND BALANCE - JUNE 30 - BEFORE ADJ	(G)	30,607,860	30,186,679	29,155,633
NET ADJUSTMENTS (FROM SECTION III)	(H)	268,212	81,775	
ADJUSTED UNRESERVED FUND BALANCE - JUNE 30	(I)	30,876,072	30,268,454	29,155,633

DISCREPANCIES:

LINE I OF ONE COLUMN IS NOT EQUAL TO LINE A OF NEXT COLUMNA01/A02; A02/A03
 SCHEDULE IB TOTAL IS NOT EQUAL TO LINE I.....A01; A02; A03

		ACT PR YR EXP 2012-13	CURR YR EST EXP 2013-14	AGY REQUEST FY 2014-15
<u>FINANCIAL SERVICES</u>	43000000			
FUND: PRISON INDUSTRIES TF	2385			
UNRESERVED FUND BALANCE - JULY 1	(A)		646,680	648,514
ADD: REVENUES (FROM SECTION I)	(B)	1,031,553	752,000	752,000
TOTAL FUNDS AVAILABLE (LINE A + LINE B)	(C)	1,031,553	1,398,680	1,400,514
LESS: OPERATING EXPENDITURES	(D)			
LESS: NONOPERATING EXPENDITURES (SECTION II)	(E)	240	166	166
LESS: FIXED CAPITAL OUTLAY (TOTAL ONLY)	(F)			
UNRESERVED FUND BALANCE - JUNE 30 - BEFORE ADJ	(G)	1,031,313	1,398,514	1,400,348
NET ADJUSTMENTS (FROM SECTION III)	(H)	365,055		
ADJUSTED UNRESERVED FUND BALANCE - JUNE 30	(I)	1,396,368	1,398,514	1,400,348

DISCREPANCIES:

LINE I OF ONE COLUMN IS NOT EQUAL TO LINE A OF NEXT COLUMNA01/A02; A02/A03
 SCHEDULE IB TOTAL IS NOT EQUAL TO LINE I.....A01; A02; A03

FUND: INSURANCE REG TF	2393			
UNRESERVED FUND BALANCE - JULY 1	(A)	125,072,897	123,413,667	117,347,784
ADD: REVENUES (FROM SECTION I)	(B)	139,654,742	129,015,264	159,399,291
TOTAL FUNDS AVAILABLE (LINE A + LINE B)	(C)	264,727,639	252,428,931	276,747,075
LESS: OPERATING EXPENDITURES	(D)			
LESS: NONOPERATING EXPENDITURES (SECTION II)	(E)	51,258,714	43,668,513	37,777,312
LESS: FIXED CAPITAL OUTLAY (TOTAL ONLY)	(F)			
UNRESERVED FUND BALANCE - JUNE 30 - BEFORE ADJ	(G)	213,468,925	208,760,418	238,969,763
NET ADJUSTMENTS (FROM SECTION III)	(H)	1,677,773-	581,450	
ADJUSTED UNRESERVED FUND BALANCE - JUNE 30	(I)	211,791,152	209,341,868	238,969,763

DISCREPANCIES:

LINE I OF ONE COLUMN IS NOT EQUAL TO LINE A OF NEXT COLUMNA01/A02; A02/A03
 SCHEDULE IB TOTAL IS NOT EQUAL TO LINE I.....A01; A02; A03

		ACT PR YR	CURR YR EST	AGY REQUEST
		EXP 2012-13	EXP 2013-14	FY 2014-15
<u>FINANCIAL SERVICES</u> 43000000				
FUND: REGULATORY TRUST FUND 2573				
UNRESERVED FUND BALANCE - JULY 1	(A)	33,535,355	42,847,483	44,195,923
ADD: REVENUES (FROM SECTION I)	(B)	38,775,751	36,752,734	38,342,158
TOTAL FUNDS AVAILABLE (LINE A + LINE B)	(C)	72,311,106	79,600,217	82,538,081
LESS: OPERATING EXPENDITURES	(D)			
LESS: NONOPERATING EXPENDITURES (SECTION II)	(E)	13,484,774	15,175,915	13,631,430
LESS: FIXED CAPITAL OUTLAY (TOTAL ONLY)	(F)			
UNRESERVED FUND BALANCE - JUNE 30 - BEFORE ADJ	(G)	58,826,332	64,424,302	68,906,651
NET ADJUSTMENTS (FROM SECTION III)	(H)	304,440	34,478	
ADJUSTED UNRESERVED FUND BALANCE - JUNE 30	(I)	59,130,772	64,458,780	68,906,651

DISCREPANCIES:

LINE I OF ONE COLUMN IS NOT EQUAL TO LINE A OF NEXT COLUMNA01/A02; A02/A03
 SCHEDULE IB TOTAL IS NOT EQUAL TO LINE I.....A01; A02; A03

FUND: FED LAW ENFORCEMENT TF 2719				
UNRESERVED FUND BALANCE - JULY 1	(A)	1,382,788	2,524,650	2,791,492
ADD: REVENUES (FROM SECTION I)	(B)	1,194,359	540,000	375,000
TOTAL FUNDS AVAILABLE (LINE A + LINE B)	(C)	2,577,147	3,064,650	3,166,492
LESS: OPERATING EXPENDITURES	(D)			
LESS: NONOPERATING EXPENDITURES (SECTION II)	(E)	971	2,400	29,280
LESS: FIXED CAPITAL OUTLAY (TOTAL ONLY)	(F)			
UNRESERVED FUND BALANCE - JUNE 30 - BEFORE ADJ	(G)	2,576,176	3,062,250	3,137,212
NET ADJUSTMENTS (FROM SECTION III)	(H)			
ADJUSTED UNRESERVED FUND BALANCE - JUNE 30	(I)	2,576,176	3,062,250	3,137,212

DISCREPANCIES:

LINE I OF ONE COLUMN IS NOT EQUAL TO LINE A OF NEXT COLUMNA01/A02; A02/A03
 SCHEDULE IB TOTAL IS NOT EQUAL TO LINE I.....A01; A02; A03

		ACT PR YR	CURR YR EST	AGY REQUEST
		EXP 2012-13	EXP 2013-14	FY 2014-15
<u>FINANCIAL SERVICES</u> 43000000				
FUND: TREASURY ADM/INVEST TF 2725				
UNRESERVED FUND BALANCE - JULY 1	(A)	1,543,849	1,501,233	750,000
ADD: REVENUES (FROM SECTION I)	(B)	18,122,798	19,249,400	19,695,349
TOTAL FUNDS AVAILABLE (LINE A + LINE B)	(C)	19,666,647	20,750,633	20,445,349
LESS: OPERATING EXPENDITURES	(D)			
LESS: NONOPERATING EXPENDITURES (SECTION II)	(E)	8,849,189	13,404,791	13,019,378
LESS: FIXED CAPITAL OUTLAY (TOTAL ONLY)	(F)			
UNRESERVED FUND BALANCE - JUNE 30 - BEFORE ADJ	(G)	10,817,458	7,345,842	7,425,971
NET ADJUSTMENTS (FROM SECTION III)	(H)	3,792,159-	10,258	
ADJUSTED UNRESERVED FUND BALANCE - JUNE 30	(I)	7,025,299	7,356,100	7,425,971

DISCREPANCIES:

LINE I OF ONE COLUMN IS NOT EQUAL TO LINE A OF NEXT COLUMNA01/A02; A02/A03
 SCHEDULE IB TOTAL IS NOT EQUAL TO LINE I.....A01; A02; A03

FUND: WORKERS' COMP ADMIN TF 2795				
UNRESERVED FUND BALANCE - JULY 1	(A)	103,691,069	102,109,565	106,657,074
ADD: REVENUES (FROM SECTION I)	(B)	93,084,486	91,471,331	91,490,000
TOTAL FUNDS AVAILABLE (LINE A + LINE B)	(C)	196,775,555	193,580,896	198,147,074
LESS: OPERATING EXPENDITURES	(D)			
LESS: NONOPERATING EXPENDITURES (SECTION II)	(E)	55,634,426	59,267,372	62,174,906
LESS: FIXED CAPITAL OUTLAY (TOTAL ONLY)	(F)			
UNRESERVED FUND BALANCE - JUNE 30 - BEFORE ADJ	(G)	141,141,129	134,313,524	135,972,168
NET ADJUSTMENTS (FROM SECTION III)	(H)	16,064,591-	271,993	
ADJUSTED UNRESERVED FUND BALANCE - JUNE 30	(I)	125,076,538	134,585,517	135,972,168

DISCREPANCIES:

LINE I OF ONE COLUMN IS NOT EQUAL TO LINE A OF NEXT COLUMNA01/A02; A02/A03
 SCHEDULE IB TOTAL IS NOT EQUAL TO LINE I.....A01; A02; A03

		ACT PR YR EXP 2012-13	CURR YR EST EXP 2013-14	AGY REQUEST FY 2014-15
<u>FINANCIAL SERVICES</u>	43000000			
FUND: WORKERS'COMP SPEC DISAB TF	2798			
UNRESERVED FUND BALANCE - JULY 1	(A)	144,105,393	132,201,879	116,937,978
ADD: REVENUES (FROM SECTION I)	(B)	46,739,098	45,111,000	40,922,000
TOTAL FUNDS AVAILABLE (LINE A + LINE B)	(C)	190,844,491	177,312,879	157,859,978
LESS: OPERATING EXPENDITURES	(D)			
LESS: NONOPERATING EXPENDITURES (SECTION II)	(E)	57,715,654	59,191,066	60,886,565
LESS: FIXED CAPITAL OUTLAY (TOTAL ONLY)	(F)			
UNRESERVED FUND BALANCE - JUNE 30 - BEFORE ADJ	(G)	133,128,837	118,121,813	96,973,413
NET ADJUSTMENTS (FROM SECTION III)	(H)	2,130-	1,095	
ADJUSTED UNRESERVED FUND BALANCE - JUNE 30	(I)	133,126,707	118,122,908	96,973,413

DISCREPANCIES:

LINE I OF ONE COLUMN IS NOT EQUAL TO LINE A OF NEXT COLUMNA01/A02; A02/A03
 SCHEDULE IB TOTAL IS NOT EQUAL TO LINE I.....A01; A02; A03

		ACT PR YR EXP 2012-13	CURR YR EST EXP 2013-14	AGY REQUEST FY 2014-15
FINANCIAL SERVICES	43000000			
PRG: CHIEF FIN OFFICER/ADM	43010000			
EXECUTIVE DIR/SUPPORT SVCS	43010100			
FUND: ADMINISTRATIVE TRUST FUND 2021				
UNRESERVED FUND BALANCE - JULY 1	(A)			
ADD: REVENUES (FROM SECTION I)	(B)			
TOTAL FUNDS AVAILABLE (LINE A + LINE B)	(C)			
LESS: OPERATING EXPENDITURES	(D)	11,364,279	12,508,654	12,780,971
LESS: NONOPERATING EXPENDITURES (SECTION II)	(E)			
LESS: FIXED CAPITAL OUTLAY (TOTAL ONLY)	(F)			
UNRESERVED FUND BALANCE - JUNE 30 - BEFORE ADJ	(G)	11,364,279-	12,508,654-	12,780,971-
NET ADJUSTMENTS (FROM SECTION III)	(H)			
ADJUSTED UNRESERVED FUND BALANCE - JUNE 30	(I)	11,364,279-	12,508,654-	12,780,971-

DISCREPANCIES:

LINE I IS A NEGATIVE NUMBERA01; A02; A03
 LINE I OF ONE COLUMN IS NOT EQUAL TO LINE A OF NEXT COLUMNA01/A02; A02/A03

		ACT PR YR EXP 2012-13	CURR YR EST EXP 2013-14	AGY REQUEST FY 2014-15
FINANCIAL SERVICES	43000000			
PRG: CHIEF FIN OFFICER/ADM	43010000			
LEGAL SERVICES	43010200			
FUND: ADMINISTRATIVE TRUST FUND 2021				
UNRESERVED FUND BALANCE - JULY 1				
ADD: REVENUES (FROM SECTION I)				
TOTAL FUNDS AVAILABLE (LINE A + LINE B)				
LESS: OPERATING EXPENDITURES		7,113,914	7,993,899	8,226,452
LESS: NONOPERATING EXPENDITURES (SECTION II)				
LESS: FIXED CAPITAL OUTLAY (TOTAL ONLY)				
UNRESERVED FUND BALANCE - JUNE 30 - BEFORE ADJ		7,113,914-	7,993,899-	8,226,452-
NET ADJUSTMENTS (FROM SECTION III)				
ADJUSTED UNRESERVED FUND BALANCE - JUNE 30		7,113,914-	7,993,899-	8,226,452-

DISCREPANCIES:

LINE I IS A NEGATIVE NUMBERA01; A02; A03
 LINE I OF ONE COLUMN IS NOT EQUAL TO LINE A OF NEXT COLUMNA01/A02; A02/A03

FUND: INSURANCE REG TF 2393

UNRESERVED FUND BALANCE - JULY 1				
ADD: REVENUES (FROM SECTION I)				
TOTAL FUNDS AVAILABLE (LINE A + LINE B)				
LESS: OPERATING EXPENDITURES		290,812	308,007	
LESS: NONOPERATING EXPENDITURES (SECTION II)				
LESS: FIXED CAPITAL OUTLAY (TOTAL ONLY)				
UNRESERVED FUND BALANCE - JUNE 30 - BEFORE ADJ		290,812-	308,007-	
NET ADJUSTMENTS (FROM SECTION III)				
ADJUSTED UNRESERVED FUND BALANCE - JUNE 30		290,812-	308,007-	

DISCREPANCIES:

LINE I IS A NEGATIVE NUMBERA01; A02
 LINE I OF ONE COLUMN IS NOT EQUAL TO LINE A OF NEXT COLUMNA01/A02; A02/A03

		ACT PR YR EXP 2012-13	CURR YR EST EXP 2013-14	AGY REQUEST FY 2014-15
FINANCIAL SERVICES	43000000			
PRG: CHIEF FIN OFFICER/ADM	43010000			
<u>INFORMATION TECHNOLOGY</u>	43010300			
FUND: ADMINISTRATIVE TRUST FUND 2021				
UNRESERVED FUND BALANCE - JULY 1				(A)
ADD: REVENUES (FROM SECTION I)				(B)
TOTAL FUNDS AVAILABLE (LINE A + LINE B)				(C)
LESS: OPERATING EXPENDITURES		17,585,979	22,046,320	22,483,231
LESS: NONOPERATING EXPENDITURES (SECTION II)				(E)
LESS: FIXED CAPITAL OUTLAY (TOTAL ONLY)				(F)
UNRESERVED FUND BALANCE - JUNE 30 - BEFORE ADJ		17,585,979-	22,046,320-	22,483,231-
NET ADJUSTMENTS (FROM SECTION III)				(H)
ADJUSTED UNRESERVED FUND BALANCE - JUNE 30		17,585,979-	22,046,320-	22,483,231-

DISCREPANCIES:

LINE I IS A NEGATIVE NUMBERA01; A02; A03
 LINE I OF ONE COLUMN IS NOT EQUAL TO LINE A OF NEXT COLUMNA01/A02; A02/A03

		ACT PR YR EXP 2012-13	CURR YR EST EXP 2013-14	AGY REQUEST FY 2014-15
FINANCIAL SERVICES	43000000			
PRG: CHIEF FIN OFFICER/ADM	43010000			
CONSUMER ADVOCATE	43010400			
FUND: INSURANCE REG TF	2393			
UNRESERVED FUND BALANCE - JULY 1	(A)			
ADD: REVENUES (FROM SECTION I)	(B)			
TOTAL FUNDS AVAILABLE (LINE A + LINE B)	(C)			
LESS: OPERATING EXPENDITURES	(D)	582,274	749,179	774,678
LESS: NONOPERATING EXPENDITURES (SECTION II)	(E)			
LESS: FIXED CAPITAL OUTLAY (TOTAL ONLY)	(F)			
UNRESERVED FUND BALANCE - JUNE 30 - BEFORE ADJ	(G)	582,274-	749,179-	774,678-
NET ADJUSTMENTS (FROM SECTION III)	(H)			
ADJUSTED UNRESERVED FUND BALANCE - JUNE 30	(I)	582,274-	749,179-	774,678-

DISCREPANCIES:

LINE I IS A NEGATIVE NUMBERA01; A02; A03
 LINE I OF ONE COLUMN IS NOT EQUAL TO LINE A OF NEXT COLUMNA01/A02; A02/A03

		ACT PR YR EXP 2012-13	CURR YR EST EXP 2013-14	AGY REQUEST FY 2014-15
FINANCIAL SERVICES	43000000			
PRG: CHIEF FIN OFFICER/ADM	43010000			
INFO TECHNOLOGY - FLAIR	43010500			
FUND: ADMINISTRATIVE TRUST FUND 2021				
UNRESERVED FUND BALANCE - JULY 1	(A)			
ADD: REVENUES (FROM SECTION I)	(B)			
TOTAL FUNDS AVAILABLE (LINE A + LINE B)	(C)			
LESS: OPERATING EXPENDITURES	(D)	1,059,850	2,855,252	1,122,783
LESS: NONOPERATING EXPENDITURES (SECTION II)	(E)			
LESS: FIXED CAPITAL OUTLAY (TOTAL ONLY)	(F)			
UNRESERVED FUND BALANCE - JUNE 30 - BEFORE ADJ	(G)	1,059,850-	2,855,252-	1,122,783-
NET ADJUSTMENTS (FROM SECTION III)	(H)			
ADJUSTED UNRESERVED FUND BALANCE - JUNE 30	(I)	1,059,850-	2,855,252-	1,122,783-

DISCREPANCIES:

LINE I IS A NEGATIVE NUMBERA01; A02; A03
 LINE I OF ONE COLUMN IS NOT EQUAL TO LINE A OF NEXT COLUMNA01/A02; A02/A03

		ACT PR YR EXP 2012-13	CURR YR EST EXP 2013-14	AGY REQUEST FY 2014-15
FINANCIAL SERVICES	43000000			
PROGRAM: TREASURY	43100000			
DEPOSIT SECURITY	43100200			
FUND: TREASURY ADM/INVEST TF	2725			
UNRESERVED FUND BALANCE - JULY 1				(A)
ADD: REVENUES (FROM SECTION I)				(B)
TOTAL FUNDS AVAILABLE (LINE A + LINE B)				(C)
LESS: OPERATING EXPENDITURES		1,638,086	1,873,444	1,899,937
LESS: NONOPERATING EXPENDITURES (SECTION II)				(E)
LESS: FIXED CAPITAL OUTLAY (TOTAL ONLY)				(F)
UNRESERVED FUND BALANCE - JUNE 30 - BEFORE ADJ		1,638,086-	1,873,444-	1,899,937-
NET ADJUSTMENTS (FROM SECTION III)				(H)
ADJUSTED UNRESERVED FUND BALANCE - JUNE 30		1,638,086-	1,873,444-	1,899,937-

DISCREPANCIES:

LINE I IS A NEGATIVE NUMBERA01; A02; A03
 LINE I OF ONE COLUMN IS NOT EQUAL TO LINE A OF NEXT COLUMNA01/A02; A02/A03

		ACT PR YR EXP 2012-13	CURR YR EST EXP 2013-14	AGY REQUEST FY 2014-15
FINANCIAL SERVICES	43000000			
PROGRAM: TREASURY	43100000			
ST FUNDS MGT & INVESTMENT	43100300			
FUND: TREASURY ADM/INVEST TF	2725			
UNRESERVED FUND BALANCE - JULY 1	(A)			
ADD: REVENUES (FROM SECTION I)	(B)			
TOTAL FUNDS AVAILABLE (LINE A + LINE B)	(C)			
LESS: OPERATING EXPENDITURES	(D)	2,597,888	2,976,956	3,006,839
LESS: NONOPERATING EXPENDITURES (SECTION II)	(E)			
LESS: FIXED CAPITAL OUTLAY (TOTAL ONLY)	(F)			
UNRESERVED FUND BALANCE - JUNE 30 - BEFORE ADJ	(G)	2,597,888-	2,976,956-	3,006,839-
NET ADJUSTMENTS (FROM SECTION III)	(H)			
ADJUSTED UNRESERVED FUND BALANCE - JUNE 30	(I)	2,597,888-	2,976,956-	3,006,839-

DISCREPANCIES:

LINE I IS A NEGATIVE NUMBERA01; A02; A03
 LINE I OF ONE COLUMN IS NOT EQUAL TO LINE A OF NEXT COLUMNA01/A02; A02/A03

		ACT PR YR EXP 2012-13	CURR YR EST EXP 2013-14	AGY REQUEST FY 2014-15
FINANCIAL SERVICES	43000000			
PROGRAM: TREASURY	43100000			
SUP RETIREMENT PLAN	43100400			
FUND: TREASURY ADM/INVEST TF	2725			
UNRESERVED FUND BALANCE - JULY 1	(A)			
ADD: REVENUES (FROM SECTION I)	(B)			
TOTAL FUNDS AVAILABLE (LINE A + LINE B)	(C)			
LESS: OPERATING EXPENDITURES	(D)	1,288,092	1,755,700	1,769,195
LESS: NONOPERATING EXPENDITURES (SECTION II)	(E)			
LESS: FIXED CAPITAL OUTLAY (TOTAL ONLY)	(F)			
UNRESERVED FUND BALANCE - JUNE 30 - BEFORE ADJ	(G)	1,288,092-	1,755,700-	1,769,195-
NET ADJUSTMENTS (FROM SECTION III)	(H)			
ADJUSTED UNRESERVED FUND BALANCE - JUNE 30	(I)	1,288,092-	1,755,700-	1,769,195-

DISCREPANCIES:

LINE I IS A NEGATIVE NUMBERA01; A02; A03
 LINE I OF ONE COLUMN IS NOT EQUAL TO LINE A OF NEXT COLUMNA01/A02; A02/A03

		ACT PR YR EXP 2012-13	CURR YR EST EXP 2013-14	AGY REQUEST FY 2014-15
FINANCIAL SERVICES	43000000			
PGM: FIN ACCT/PUBLIC FUNDS	43200000			
ST FINAN INFO/ST AGY ACCTG	43200100			
FUND: ADMINISTRATIVE TRUST FUND 2021				
UNRESERVED FUND BALANCE - JULY 1	(A)			
ADD: REVENUES (FROM SECTION I)	(B)			
TOTAL FUNDS AVAILABLE (LINE A + LINE B)	(C)			
LESS: OPERATING EXPENDITURES	(D)	2,715,879	3,235,777	3,073,409
LESS: NONOPERATING EXPENDITURES (SECTION II)	(E)			
LESS: FIXED CAPITAL OUTLAY (TOTAL ONLY)	(F)			
UNRESERVED FUND BALANCE - JUNE 30 - BEFORE ADJ	(G)	2,715,879-	3,235,777-	3,073,409-
NET ADJUSTMENTS (FROM SECTION III)	(H)			
ADJUSTED UNRESERVED FUND BALANCE - JUNE 30	(I)	2,715,879-	3,235,777-	3,073,409-

DISCREPANCIES:

LINE I IS A NEGATIVE NUMBERA01; A02; A03
 LINE I OF ONE COLUMN IS NOT EQUAL TO LINE A OF NEXT COLUMNA01/A02; A02/A03

FUND: PRISON INDUSTRIES TF 2385

UNRESERVED FUND BALANCE - JULY 1	(A)			
ADD: REVENUES (FROM SECTION I)	(B)			
TOTAL FUNDS AVAILABLE (LINE A + LINE B)	(C)			
LESS: OPERATING EXPENDITURES	(D)	749,688	750,000	750,000
LESS: NONOPERATING EXPENDITURES (SECTION II)	(E)			
LESS: FIXED CAPITAL OUTLAY (TOTAL ONLY)	(F)			
UNRESERVED FUND BALANCE - JUNE 30 - BEFORE ADJ	(G)	749,688-	750,000-	750,000-
NET ADJUSTMENTS (FROM SECTION III)	(H)			
ADJUSTED UNRESERVED FUND BALANCE - JUNE 30	(I)	749,688-	750,000-	750,000-

DISCREPANCIES:

LINE I IS A NEGATIVE NUMBERA01; A02; A03
 LINE I OF ONE COLUMN IS NOT EQUAL TO LINE A OF NEXT COLUMNA01/A02; A02/A03

		ACT PR YR EXP 2012-13	CURR YR EST EXP 2013-14	AGY REQUEST FY 2014-15
FINANCIAL SERVICES	43000000			
PGM: FIN ACCT/PUBLIC FUNDS	43200000			
RECOVERY & RETURN OF UP	43200200			
FUND: UNCLAIMED PROPERTY TF 2007				
UNRESERVED FUND BALANCE - JULY 1				
ADD: REVENUES (FROM SECTION I)				
TOTAL FUNDS AVAILABLE (LINE A + LINE B)				
LESS: OPERATING EXPENDITURES		4,005,927	4,676,170	4,715,893
LESS: NONOPERATING EXPENDITURES (SECTION II)				
LESS: FIXED CAPITAL OUTLAY (TOTAL ONLY)				
UNRESERVED FUND BALANCE - JUNE 30 - BEFORE ADJ		4,005,927-	4,676,170-	4,715,893-
NET ADJUSTMENTS (FROM SECTION III)				
ADJUSTED UNRESERVED FUND BALANCE - JUNE 30		4,005,927-	4,676,170-	4,715,893-

DISCREPANCIES:

LINE I IS A NEGATIVE NUMBERA01; A02; A03
 LINE I OF ONE COLUMN IS NOT EQUAL TO LINE A OF NEXT COLUMNA01/A02; A02/A03

		ACT PR YR EXP 2012-13	CURR YR EST EXP 2013-14	AGY REQUEST FY 2014-15
FINANCIAL SERVICES	43000000			
PROGRAM: FIRE MARSHAL	43300000			
COMPLIANCE & ENFORCEMENT	43300200			
FUND: INSURANCE REG TF	2393			
UNRESERVED FUND BALANCE - JULY 1	(A)			
ADD: REVENUES (FROM SECTION I)	(B)			
TOTAL FUNDS AVAILABLE (LINE A + LINE B)	(C)			
LESS: OPERATING EXPENDITURES	(D)	4,044,301	4,438,357	4,703,059
LESS: NONOPERATING EXPENDITURES (SECTION II)	(E)			
LESS: FIXED CAPITAL OUTLAY (TOTAL ONLY)	(F)			
UNRESERVED FUND BALANCE - JUNE 30 - BEFORE ADJ	(G)	4,044,301-	4,438,357-	4,703,059-
NET ADJUSTMENTS (FROM SECTION III)	(H)			
ADJUSTED UNRESERVED FUND BALANCE - JUNE 30	(I)	4,044,301-	4,438,357-	4,703,059-

DISCREPANCIES:

LINE I IS A NEGATIVE NUMBERA01; A02; A03
 LINE I OF ONE COLUMN IS NOT EQUAL TO LINE A OF NEXT COLUMNA01/A02; A02/A03

		ACT PR YR EXP 2012-13	CURR YR EST EXP 2013-14	AGY REQUEST FY 2014-15
FINANCIAL SERVICES	43000000			
PROGRAM: FIRE MARSHAL	43300000			
<u>FIRE & ARSON INVESTIGATION</u>	43300300			
FUND: INSURANCE REG TF	2393			
UNRESERVED FUND BALANCE - JULY 1				(A)
ADD: REVENUES (FROM SECTION I)				(B)
TOTAL FUNDS AVAILABLE (LINE A + LINE B)				(C)
LESS: OPERATING EXPENDITURES		10,117,193	10,988,417	11,607,191
LESS: NONOPERATING EXPENDITURES (SECTION II)				(E)
LESS: FIXED CAPITAL OUTLAY (TOTAL ONLY)				(F)
UNRESERVED FUND BALANCE - JUNE 30 - BEFORE ADJ		10,117,193-	10,988,417-	11,607,191-
NET ADJUSTMENTS (FROM SECTION III)				(H)
ADJUSTED UNRESERVED FUND BALANCE - JUNE 30		10,117,193-	10,988,417-	11,607,191-

DISCREPANCIES:

LINE I IS A NEGATIVE NUMBERA01; A02; A03
 LINE I OF ONE COLUMN IS NOT EQUAL TO LINE A OF NEXT COLUMNA01/A02; A02/A03

		ACT PR YR EXP 2012-13	CURR YR EST EXP 2013-14	AGY REQUEST FY 2014-15
FINANCIAL SERVICES	43000000			
PROGRAM: FIRE MARSHAL	43300000			
PROF TRAINING & STANDARDS	43300400			
FUND: INSURANCE REG TF	2393			
UNRESERVED FUND BALANCE - JULY 1	(A)			
ADD: REVENUES (FROM SECTION I)	(B)			
TOTAL FUNDS AVAILABLE (LINE A + LINE B)	(C)			
LESS: OPERATING EXPENDITURES	(D)	12,066,409	2,763,481	3,330,113
LESS: NONOPERATING EXPENDITURES (SECTION II)	(E)			
LESS: FIXED CAPITAL OUTLAY (TOTAL ONLY)	(F)	470,252	163,000	2,980,230
UNRESERVED FUND BALANCE - JUNE 30 - BEFORE ADJ	(G)	12,536,661-	2,926,481-	6,310,343-
NET ADJUSTMENTS (FROM SECTION III)	(H)			
ADJUSTED UNRESERVED FUND BALANCE - JUNE 30	(I)	12,536,661-	2,926,481-	6,310,343-

DISCREPANCIES:

LINE I IS A NEGATIVE NUMBERA01; A02; A03
 LINE I OF ONE COLUMN IS NOT EQUAL TO LINE A OF NEXT COLUMNA01/A02; A02/A03

		ACT PR YR EXP 2012-13	CURR YR EST EXP 2013-14	AGY REQUEST FY 2014-15
FINANCIAL SERVICES	43000000			
PROGRAM: FIRE MARSHAL	43300000			
<u>FIRE MRSHL ADMN & SUP SRVS</u>	<u>43300500</u>			
FUND: INSURANCE REG TF	2393			
UNRESERVED FUND BALANCE - JULY 1	(A)			
ADD: REVENUES (FROM SECTION I)	(B)			
TOTAL FUNDS AVAILABLE (LINE A + LINE B)	(C)			
LESS: OPERATING EXPENDITURES	(D)	1,984,284	2,181,202	2,311,533
LESS: NONOPERATING EXPENDITURES (SECTION II)	(E)			
LESS: FIXED CAPITAL OUTLAY (TOTAL ONLY)	(F)	145,795	25,000	184,412
UNRESERVED FUND BALANCE - JUNE 30 - BEFORE ADJ	(G)	2,130,079-	2,206,202-	2,495,945-
NET ADJUSTMENTS (FROM SECTION III)	(H)			
ADJUSTED UNRESERVED FUND BALANCE - JUNE 30	(I)	2,130,079-	2,206,202-	2,495,945-

DISCREPANCIES:

LINE I IS A NEGATIVE NUMBERA01; A02; A03
 LINE I OF ONE COLUMN IS NOT EQUAL TO LINE A OF NEXT COLUMNA01/A02; A02/A03

		ACT PR YR EXP 2012-13	CURR YR EST EXP 2013-14	AGY REQUEST FY 2014-15
FINANCIAL SERVICES	43000000			
PGM: ST PROP/CASUALTY CLMS	43400000			
ST SELF-INSURED CLAIMS ADJ	43400100			
FUND: STATE RISK MGMT TF	2078			
UNRESERVED FUND BALANCE - JULY 1				(A)
ADD: REVENUES (FROM SECTION I)				(B)
TOTAL FUNDS AVAILABLE (LINE A + LINE B)				(C)
LESS: OPERATING EXPENDITURES		53,181,472	61,594,848	61,686,548
LESS: NONOPERATING EXPENDITURES (SECTION II)				(E)
LESS: FIXED CAPITAL OUTLAY (TOTAL ONLY)				(F)
UNRESERVED FUND BALANCE - JUNE 30 - BEFORE ADJ		53,181,472-	61,594,848-	61,686,548-
NET ADJUSTMENTS (FROM SECTION III)				(H)
ADJUSTED UNRESERVED FUND BALANCE - JUNE 30		53,181,472-	61,594,848-	61,686,548-

DISCREPANCIES:

LINE I IS A NEGATIVE NUMBERA01; A02; A03
 LINE I OF ONE COLUMN IS NOT EQUAL TO LINE A OF NEXT COLUMNA01/A02; A02/A03

		ACT PR YR EXP 2012-13	CURR YR EST EXP 2013-14	AGY REQUEST FY 2014-15
FINANCIAL SERVICES	43000000			
PGM: LICNSNG/CNSMER PROTEC	43500000			
INSURANCE CO REHAB/LIQDATN	43500100			
FUND: INSURANCE REG TF	2393			
UNRESERVED FUND BALANCE - JULY 1	(A)			
ADD: REVENUES (FROM SECTION I)	(B)			
TOTAL FUNDS AVAILABLE (LINE A + LINE B)	(C)			
LESS: OPERATING EXPENDITURES	(D)	672,734	991,553	602,696
LESS: NONOPERATING EXPENDITURES (SECTION II)	(E)			
LESS: FIXED CAPITAL OUTLAY (TOTAL ONLY)	(F)			
UNRESERVED FUND BALANCE - JUNE 30 - BEFORE ADJ	(G)	672,734-	991,553-	602,696-
NET ADJUSTMENTS (FROM SECTION III)	(H)			
ADJUSTED UNRESERVED FUND BALANCE - JUNE 30	(I)	672,734-	991,553-	602,696-

DISCREPANCIES:

LINE I IS A NEGATIVE NUMBERA01; A02; A03
 LINE I OF ONE COLUMN IS NOT EQUAL TO LINE A OF NEXT COLUMNA01/A02; A02/A03

		ACT PR YR EXP 2012-13	CURR YR EST EXP 2013-14	AGY REQUEST FY 2014-15
FINANCIAL SERVICES	43000000			
PGM: LICNSNG/CNSMER PROTEC	43500000			
LICENSURE, SALES/APPT/OVST	43500200			
FUND: INSURANCE REG TF	2393			
UNRESERVED FUND BALANCE - JULY 1	(A)			
ADD: REVENUES (FROM SECTION I)	(B)			
TOTAL FUNDS AVAILABLE (LINE A + LINE B)	(C)			
LESS: OPERATING EXPENDITURES	(D)	9,579,800	9,933,218	9,579,447
LESS: NONOPERATING EXPENDITURES (SECTION II)	(E)			
LESS: FIXED CAPITAL OUTLAY (TOTAL ONLY)	(F)			
UNRESERVED FUND BALANCE - JUNE 30 - BEFORE ADJ	(G)	9,579,800-	9,933,218-	9,579,447-
NET ADJUSTMENTS (FROM SECTION III)	(H)			
ADJUSTED UNRESERVED FUND BALANCE - JUNE 30	(I)	9,579,800-	9,933,218-	9,579,447-

DISCREPANCIES:

LINE I IS A NEGATIVE NUMBERA01; A02; A03
 LINE I OF ONE COLUMN IS NOT EQUAL TO LINE A OF NEXT COLUMNA01/A02; A02/A03

		ACT PR YR EXP 2012-13	CURR YR EST EXP 2013-14	AGY REQUEST FY 2014-15
FINANCIAL SERVICES	43000000			
PGM: LICNSNG/CNSMER PROTEC	43500000			
INSURANCE FRAUD	43500300			
FUND: INSURANCE REG TF 2393				
UNRESERVED FUND BALANCE - JULY 1				
ADD: REVENUES (FROM SECTION I)				
TOTAL FUNDS AVAILABLE (LINE A + LINE B)				
LESS: OPERATING EXPENDITURES		15,861,385	17,655,618	18,131,185
LESS: NONOPERATING EXPENDITURES (SECTION II)				
LESS: FIXED CAPITAL OUTLAY (TOTAL ONLY)				
UNRESERVED FUND BALANCE - JUNE 30 - BEFORE ADJ		15,861,385-	17,655,618-	18,131,185-
NET ADJUSTMENTS (FROM SECTION III)				
ADJUSTED UNRESERVED FUND BALANCE - JUNE 30		15,861,385-	17,655,618-	18,131,185-

DISCREPANCIES:

LINE I IS A NEGATIVE NUMBERA01; A02; A03
 LINE I OF ONE COLUMN IS NOT EQUAL TO LINE A OF NEXT COLUMNA01/A02; A02/A03

FUND: FED LAW ENFORCEMENT TF 2719

UNRESERVED FUND BALANCE - JULY 1				
ADD: REVENUES (FROM SECTION I)				
TOTAL FUNDS AVAILABLE (LINE A + LINE B)				
LESS: OPERATING EXPENDITURES		49,897	219,000	444,000
LESS: NONOPERATING EXPENDITURES (SECTION II)				
LESS: FIXED CAPITAL OUTLAY (TOTAL ONLY)				
UNRESERVED FUND BALANCE - JUNE 30 - BEFORE ADJ		49,897-	219,000-	444,000-
NET ADJUSTMENTS (FROM SECTION III)				
ADJUSTED UNRESERVED FUND BALANCE - JUNE 30		49,897-	219,000-	444,000-

DISCREPANCIES:

LINE I IS A NEGATIVE NUMBERA01; A02; A03
 LINE I OF ONE COLUMN IS NOT EQUAL TO LINE A OF NEXT COLUMNA01/A02; A02/A03

		ACT PR YR EXP 2012-13	CURR YR EST EXP 2013-14	AGY REQUEST FY 2014-15
FINANCIAL SERVICES	43000000			
PGM: LICNSNG/CNSMER PROTEC	43500000			
CONSUMER ASSISTANCE	43500400			

FUND: INSURANCE REG TF	2393			
UNRESERVED FUND BALANCE - JULY 1				(A)
ADD: REVENUES (FROM SECTION I)				(B)
TOTAL FUNDS AVAILABLE (LINE A + LINE B)				(C)
LESS: OPERATING EXPENDITURES		6,665,528	8,933,941	9,392,959
LESS: NONOPERATING EXPENDITURES (SECTION II)				(E)
LESS: FIXED CAPITAL OUTLAY (TOTAL ONLY)				(F)
UNRESERVED FUND BALANCE - JUNE 30 - BEFORE ADJ		6,665,528-	8,933,941-	9,392,959-
NET ADJUSTMENTS (FROM SECTION III)				(H)
ADJUSTED UNRESERVED FUND BALANCE - JUNE 30		6,665,528-	8,933,941-	9,392,959-

DISCREPANCIES:

LINE I IS A NEGATIVE NUMBERA01; A02; A03
 LINE I OF ONE COLUMN IS NOT EQUAL TO LINE A OF NEXT COLUMNA01/A02; A02/A03

		ACT PR YR EXP 2012-13	CURR YR EST EXP 2013-14	AGY REQUEST FY 2014-15
FINANCIAL SERVICES	43000000			
PGM: LICNSNG/CNSMER PROTEC	43500000			
<u>FUNERAL/CEMETERY SERVICES</u>	43500500			
FUND: REGULATORY TRUST FUND	2573			
UNRESERVED FUND BALANCE - JULY 1	(A)			
ADD: REVENUES (FROM SECTION I)	(B)			
TOTAL FUNDS AVAILABLE (LINE A + LINE B)	(C)			
LESS: OPERATING EXPENDITURES	(D)	1,704,309	1,942,298	1,965,298
LESS: NONOPERATING EXPENDITURES (SECTION II)	(E)			
LESS: FIXED CAPITAL OUTLAY (TOTAL ONLY)	(F)			
UNRESERVED FUND BALANCE - JUNE 30 - BEFORE ADJ	(G)	1,704,309-	1,942,298-	1,965,298-
NET ADJUSTMENTS (FROM SECTION III)	(H)			
ADJUSTED UNRESERVED FUND BALANCE - JUNE 30	(I)	1,704,309-	1,942,298-	1,965,298-

DISCREPANCIES:

LINE I IS A NEGATIVE NUMBERA01; A02; A03
 LINE I OF ONE COLUMN IS NOT EQUAL TO LINE A OF NEXT COLUMNA01/A02; A02/A03

		ACT PR YR EXP 2012-13	CURR YR EST EXP 2013-14	AGY REQUEST FY 2014-15
FINANCIAL SERVICES	43000000			
PGM: LICNSNG/CNSMER PROTEC	43500000			
<u>PUBLIC ASSISTANCE FRAUD</u>	<u>43500700</u>			

FUND: ADMINISTRATIVE TRUST FUND 2021

UNRESERVED FUND BALANCE - JULY 1	(A)			
ADD: REVENUES (FROM SECTION I)	(B)			
TOTAL FUNDS AVAILABLE (LINE A + LINE B)	(C)			
LESS: OPERATING EXPENDITURES	(D)		156,417	
LESS: NONOPERATING EXPENDITURES (SECTION II)	(E)			
LESS: FIXED CAPITAL OUTLAY (TOTAL ONLY)	(F)			
UNRESERVED FUND BALANCE - JUNE 30 - BEFORE ADJ	(G)		156,417-	
NET ADJUSTMENTS (FROM SECTION III)	(H)			
ADJUSTED UNRESERVED FUND BALANCE - JUNE 30	(I)		156,417-	

DISCREPANCIES:

LINE I IS A NEGATIVE NUMBERA02
 LINE I OF ONE COLUMN IS NOT EQUAL TO LINE A OF NEXT COLUMNA02/A03

FUND: FEDERAL GRANTS TRUST FUND 2261

UNRESERVED FUND BALANCE - JULY 1	(A)			
ADD: REVENUES (FROM SECTION I)	(B)			
TOTAL FUNDS AVAILABLE (LINE A + LINE B)	(C)			
LESS: OPERATING EXPENDITURES	(D)	1,748,637	2,333,824	2,484,483
LESS: NONOPERATING EXPENDITURES (SECTION II)	(E)			
LESS: FIXED CAPITAL OUTLAY (TOTAL ONLY)	(F)			
UNRESERVED FUND BALANCE - JUNE 30 - BEFORE ADJ	(G)	1,748,637-	2,333,824-	2,484,483-
NET ADJUSTMENTS (FROM SECTION III)	(H)			
ADJUSTED UNRESERVED FUND BALANCE - JUNE 30	(I)	1,748,637-	2,333,824-	2,484,483-

DISCREPANCIES:

LINE I IS A NEGATIVE NUMBERA01; A02; A03
 LINE I OF ONE COLUMN IS NOT EQUAL TO LINE A OF NEXT COLUMNA01/A02; A02/A03

		ACT PR YR EXP 2012-13	CURR YR EST EXP 2013-14	AGY REQUEST FY 2014-15
FINANCIAL SERVICES	43000000			
PGM: LICNSNG/CNSMER PROTEC	43500000			
<u>PUBLIC ASSISTANCE FRAUD</u>	<u>43500700</u>			
FUND: INSURANCE REG TF	2393			
UNRESERVED FUND BALANCE - JULY 1	(A)			
ADD: REVENUES (FROM SECTION I)	(B)			
TOTAL FUNDS AVAILABLE (LINE A + LINE B)	(C)			
LESS: OPERATING EXPENDITURES	(D)	2,441,762	2,794,723	2,692,023
LESS: NONOPERATING EXPENDITURES (SECTION II)	(E)			
LESS: FIXED CAPITAL OUTLAY (TOTAL ONLY)	(F)			
UNRESERVED FUND BALANCE - JUNE 30 - BEFORE ADJ	(G)	2,441,762-	2,794,723-	2,692,023-
NET ADJUSTMENTS (FROM SECTION III)	(H)			
ADJUSTED UNRESERVED FUND BALANCE - JUNE 30	(I)	2,441,762-	2,794,723-	2,692,023-

DISCREPANCIES:

LINE I IS A NEGATIVE NUMBERA01; A02; A03
 LINE I OF ONE COLUMN IS NOT EQUAL TO LINE A OF NEXT COLUMNA01/A02; A02/A03

		ACT PR YR EXP 2012-13	CURR YR EST EXP 2013-14	AGY REQUEST FY 2014-15
FINANCIAL SERVICES	43000000			
PGM: WORKERS' COMPENSATION	43600000			
<u>WORKERS' COMPENSATION</u>	<u>43600100</u>			
FUND: WORKERS' COMP ADMIN TF 2795				
UNRESERVED FUND BALANCE - JULY 1				(A)
ADD: REVENUES (FROM SECTION I)				(B)
TOTAL FUNDS AVAILABLE (LINE A + LINE B)				(C)
LESS: OPERATING EXPENDITURES		22,966,973	27,928,443	27,183,206
LESS: NONOPERATING EXPENDITURES (SECTION II)				(E)
LESS: FIXED CAPITAL OUTLAY (TOTAL ONLY)				(F)
UNRESERVED FUND BALANCE - JUNE 30 - BEFORE ADJ		22,966,973-	27,928,443-	27,183,206-
NET ADJUSTMENTS (FROM SECTION III)				(H)
ADJUSTED UNRESERVED FUND BALANCE - JUNE 30		22,966,973-	27,928,443-	27,183,206-

DISCREPANCIES:

LINE I IS A NEGATIVE NUMBERA01; A02; A03
 LINE I OF ONE COLUMN IS NOT EQUAL TO LINE A OF NEXT COLUMNA01/A02; A02/A03

FUND: WORKERS'COMP SPEC DISAB TF 2798

UNRESERVED FUND BALANCE - JULY 1				(A)
ADD: REVENUES (FROM SECTION I)				(B)
TOTAL FUNDS AVAILABLE (LINE A + LINE B)				(C)
LESS: OPERATING EXPENDITURES		924,828	1,184,930	1,201,239
LESS: NONOPERATING EXPENDITURES (SECTION II)				(E)
LESS: FIXED CAPITAL OUTLAY (TOTAL ONLY)				(F)
UNRESERVED FUND BALANCE - JUNE 30 - BEFORE ADJ		924,828-	1,184,930-	1,201,239-
NET ADJUSTMENTS (FROM SECTION III)				(H)
ADJUSTED UNRESERVED FUND BALANCE - JUNE 30		924,828-	1,184,930-	1,201,239-

DISCREPANCIES:

LINE I IS A NEGATIVE NUMBERA01; A02; A03
 LINE I OF ONE COLUMN IS NOT EQUAL TO LINE A OF NEXT COLUMNA01/A02; A02/A03

		ACT PR YR EXP 2012-13	CURR YR EST EXP 2013-14	AGY REQUEST FY 2014-15
FINANCIAL SERVICES	43000000			
PGM: FINANCIAL SVCS COMM	43900000			
OFFICE OF INSURANCE REG	43900100			
COMP & ENFORCE- INSURANCE	43900110			
FUND: INSURANCE REG TF	2393			
UNRESERVED FUND BALANCE - JULY 1	(A)			
ADD: REVENUES (FROM SECTION I)	(B)			
TOTAL FUNDS AVAILABLE (LINE A + LINE B)	(C)			
LESS: OPERATING EXPENDITURES	(D)	20,735,139	27,222,063	25,881,985
LESS: NONOPERATING EXPENDITURES (SECTION II)	(E)			
LESS: FIXED CAPITAL OUTLAY (TOTAL ONLY)	(F)			
UNRESERVED FUND BALANCE - JUNE 30 - BEFORE ADJ	(G)	20,735,139-	27,222,063-	25,881,985-
NET ADJUSTMENTS (FROM SECTION III)	(H)			
ADJUSTED UNRESERVED FUND BALANCE - JUNE 30	(I)	20,735,139-	27,222,063-	25,881,985-

DISCREPANCIES:

LINE I IS A NEGATIVE NUMBERA01; A02; A03
 LINE I OF ONE COLUMN IS NOT EQUAL TO LINE A OF NEXT COLUMNA01/A02; A02/A03

		ACT PR YR EXP 2012-13	CURR YR EST EXP 2013-14	AGY REQUEST FY 2014-15
FINANCIAL SERVICES	43000000			
PGM: FINANCIAL SVCS COMM	43900000			
OFFICE OF INSURANCE REG	43900100			
<u>EXEC DIR & SUPORT SERVICES</u>	43900120			
FUND: INSURANCE REG TF	2393			
UNRESERVED FUND BALANCE - JULY 1	(A)			
ADD: REVENUES (FROM SECTION I)	(B)			
TOTAL FUNDS AVAILABLE (LINE A + LINE B)	(C)			
LESS: OPERATING EXPENDITURES	(D)	2,719,817	2,846,325	2,877,918
LESS: NONOPERATING EXPENDITURES (SECTION II)	(E)			
LESS: FIXED CAPITAL OUTLAY (TOTAL ONLY)	(F)			
UNRESERVED FUND BALANCE - JUNE 30 - BEFORE ADJ	(G)	2,719,817-	2,846,325-	2,877,918-
NET ADJUSTMENTS (FROM SECTION III)	(H)			
ADJUSTED UNRESERVED FUND BALANCE - JUNE 30	(I)	2,719,817-	2,846,325-	2,877,918-

DISCREPANCIES:

LINE I IS A NEGATIVE NUMBERA01; A02; A03
 LINE I OF ONE COLUMN IS NOT EQUAL TO LINE A OF NEXT COLUMNA01/A02; A02/A03

		ACT PR YR EXP 2012-13	CURR YR EST EXP 2013-14	AGY REQUEST FY 2014-15
FINANCIAL SERVICES	43000000			
PGM: FINANCIAL SVCS COMM	43900000			
OFFICE OF FINANCIAL REG	43900500			
SFTY & SOUND ST BKG SYST	43900530			
FUND: FINANCIAL INST REG TF	2275			
UNRESERVED FUND BALANCE - JULY 1	(A)			
ADD: REVENUES (FROM SECTION I)	(B)			
TOTAL FUNDS AVAILABLE (LINE A + LINE B)	(C)			
LESS: OPERATING EXPENDITURES	(D)	10,406,085	11,727,387	11,830,576
LESS: NONOPERATING EXPENDITURES (SECTION II)	(E)			
LESS: FIXED CAPITAL OUTLAY (TOTAL ONLY)	(F)			
UNRESERVED FUND BALANCE - JUNE 30 - BEFORE ADJ	(G)	10,406,085-	11,727,387-	11,830,576-
NET ADJUSTMENTS (FROM SECTION III)	(H)			
ADJUSTED UNRESERVED FUND BALANCE - JUNE 30	(I)	10,406,085-	11,727,387-	11,830,576-

DISCREPANCIES:

LINE I IS A NEGATIVE NUMBERA01; A02; A03
 LINE I OF ONE COLUMN IS NOT EQUAL TO LINE A OF NEXT COLUMNA01/A02; A02/A03

		ACT PR YR EXP 2012-13	CURR YR EST EXP 2013-14	AGY REQUEST FY 2014-15
FINANCIAL SERVICES	43000000			
PGM: FINANCIAL SVCS COMM	43900000			
OFFICE OF FINANCIAL REG	43900500			
<u>FINANCIAL INVESTIGATIONS</u>	<u>43900540</u>			

FUND: ADMINISTRATIVE TRUST FUND 2021

UNRESERVED FUND BALANCE - JULY 1	(A)			
ADD: REVENUES (FROM SECTION I)	(B)			
TOTAL FUNDS AVAILABLE (LINE A + LINE B)	(C)			
LESS: OPERATING EXPENDITURES	(D)	2,273,109	3,259,118	3,296,339
LESS: NONOPERATING EXPENDITURES (SECTION II)	(E)			
LESS: FIXED CAPITAL OUTLAY (TOTAL ONLY)	(F)			
UNRESERVED FUND BALANCE - JUNE 30 - BEFORE ADJ	(G)	2,273,109-	3,259,118-	3,296,339-
NET ADJUSTMENTS (FROM SECTION III)	(H)			
ADJUSTED UNRESERVED FUND BALANCE - JUNE 30	(I)	2,273,109-	3,259,118-	3,296,339-

DISCREPANCIES:

LINE I IS A NEGATIVE NUMBERA01; A02; A03
 LINE I OF ONE COLUMN IS NOT EQUAL TO LINE A OF NEXT COLUMNA01/A02; A02/A03

FUND: FED LAW ENFORCEMENT TF 2719

UNRESERVED FUND BALANCE - JULY 1	(A)			
ADD: REVENUES (FROM SECTION I)	(B)			
TOTAL FUNDS AVAILABLE (LINE A + LINE B)	(C)			
LESS: OPERATING EXPENDITURES	(D)	1,629	51,758	51,758
LESS: NONOPERATING EXPENDITURES (SECTION II)	(E)			
LESS: FIXED CAPITAL OUTLAY (TOTAL ONLY)	(F)			
UNRESERVED FUND BALANCE - JUNE 30 - BEFORE ADJ	(G)	1,629-	51,758-	51,758-
NET ADJUSTMENTS (FROM SECTION III)	(H)			
ADJUSTED UNRESERVED FUND BALANCE - JUNE 30	(I)	1,629-	51,758-	51,758-

DISCREPANCIES:

LINE I IS A NEGATIVE NUMBERA01; A02; A03
 LINE I OF ONE COLUMN IS NOT EQUAL TO LINE A OF NEXT COLUMNA01/A02; A02/A03

		ACT PR YR EXP 2012-13	CURR YR EST EXP 2013-14	AGY REQUEST FY 2014-15
FINANCIAL SERVICES	43000000			
PGM: FINANCIAL SVCS COMM	43900000			
OFFICE OF FINANCIAL REG	43900500			
<u>EXEC DIR & SUPPORT SERVICE</u>	43900550			
FUND: ADMINISTRATIVE TRUST FUND 2021				
UNRESERVED FUND BALANCE - JULY 1	(A)			
ADD: REVENUES (FROM SECTION I)	(B)			
TOTAL FUNDS AVAILABLE (LINE A + LINE B)	(C)			
LESS: OPERATING EXPENDITURES	(D)	3,849,272	3,951,642	3,967,328
LESS: NONOPERATING EXPENDITURES (SECTION II)	(E)			
LESS: FIXED CAPITAL OUTLAY (TOTAL ONLY)	(F)			
UNRESERVED FUND BALANCE - JUNE 30 - BEFORE ADJ	(G)	3,849,272-	3,951,642-	3,967,328-
NET ADJUSTMENTS (FROM SECTION III)	(H)			
ADJUSTED UNRESERVED FUND BALANCE - JUNE 30	(I)	3,849,272-	3,951,642-	3,967,328-

DISCREPANCIES:

LINE I IS A NEGATIVE NUMBERA01; A02; A03
 LINE I OF ONE COLUMN IS NOT EQUAL TO LINE A OF NEXT COLUMNA01/A02; A02/A03

		ACT PR YR EXP 2012-13	CURR YR EST EXP 2013-14	AGY REQUEST FY 2014-15
FINANCIAL SERVICES	43000000			
PGM: FINANCIAL SVCS COMM	43900000			
OFFICE OF FINANCIAL REG	43900500			
<u>FINANCE REGULATION</u>	<u>43900560</u>			
FUND: REGULATORY TRUST FUND	2573			
UNRESERVED FUND BALANCE - JULY 1	(A)			
ADD: REVENUES (FROM SECTION I)	(B)			
TOTAL FUNDS AVAILABLE (LINE A + LINE B)	(C)			
LESS: OPERATING EXPENDITURES	(D)	9,154,200	10,731,004	11,184,508
LESS: NONOPERATING EXPENDITURES (SECTION II)	(E)			
LESS: FIXED CAPITAL OUTLAY (TOTAL ONLY)	(F)			
UNRESERVED FUND BALANCE - JUNE 30 - BEFORE ADJ	(G)	9,154,200-	10,731,004-	11,184,508-
NET ADJUSTMENTS (FROM SECTION III)	(H)			
ADJUSTED UNRESERVED FUND BALANCE - JUNE 30	(I)	9,154,200-	10,731,004-	11,184,508-

DISCREPANCIES:

LINE I IS A NEGATIVE NUMBERA01; A02; A03
 LINE I OF ONE COLUMN IS NOT EQUAL TO LINE A OF NEXT COLUMNA01/A02; A02/A03

		ACT PR YR EXP 2012-13	CURR YR EST EXP 2013-14	AGY REQUEST FY 2014-15
FINANCIAL SERVICES	43000000			
PGM: FINANCIAL SVCS COMM	43900000			
OFFICE OF FINANCIAL REG	43900500			
SECURITIES REGULATION	43900570			
FUND: ANTI-FRAUD TRUST FUND 2038				
UNRESERVED FUND BALANCE - JULY 1	(A)			
ADD: REVENUES (FROM SECTION I)	(B)			
TOTAL FUNDS AVAILABLE (LINE A + LINE B)	(C)			
LESS: OPERATING EXPENDITURES	(D)	94,681	200,000	200,000
LESS: NONOPERATING EXPENDITURES (SECTION II)	(E)			
LESS: FIXED CAPITAL OUTLAY (TOTAL ONLY)	(F)			
UNRESERVED FUND BALANCE - JUNE 30 - BEFORE ADJ	(G)	94,681-	200,000-	200,000-
NET ADJUSTMENTS (FROM SECTION III)	(H)			
ADJUSTED UNRESERVED FUND BALANCE - JUNE 30	(I)	94,681-	200,000-	200,000-

DISCREPANCIES:

LINE I IS A NEGATIVE NUMBERA01; A02; A03
 LINE I OF ONE COLUMN IS NOT EQUAL TO LINE A OF NEXT COLUMNA01/A02; A02/A03

FUND: REGULATORY TRUST FUND 2573

UNRESERVED FUND BALANCE - JULY 1	(A)			
ADD: REVENUES (FROM SECTION I)	(B)			
TOTAL FUNDS AVAILABLE (LINE A + LINE B)	(C)			
LESS: OPERATING EXPENDITURES	(D)	5,424,780	7,589,555	7,687,589
LESS: NONOPERATING EXPENDITURES (SECTION II)	(E)			
LESS: FIXED CAPITAL OUTLAY (TOTAL ONLY)	(F)			
UNRESERVED FUND BALANCE - JUNE 30 - BEFORE ADJ	(G)	5,424,780-	7,589,555-	7,687,589-
NET ADJUSTMENTS (FROM SECTION III)	(H)			
ADJUSTED UNRESERVED FUND BALANCE - JUNE 30	(I)	5,424,780-	7,589,555-	7,687,589-

DISCREPANCIES:

LINE I IS A NEGATIVE NUMBERA01; A02; A03
 LINE I OF ONE COLUMN IS NOT EQUAL TO LINE A OF NEXT COLUMNA01/A02; A02/A03

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* BPSCL01                                STATISTICAL INFORMATION                                10/15/2013 11:08:24 *
* BUDGET PERIOD: 2004-2015                SCHEDULE I REPORT REQUEST                            TJM 43 SP *
* COMPILE DATE: 08/12/2013                COMPILE TIME: 09:54:45                                PAGE: 1 *
*****
*
*                                     SAVE INITIALS:          SAVE DEPARTMENT: 07      SAVE ID: SC1A
* -----
*
* SELECT CODES.  WHEN NO CODE IS SELECTED, ALL CODES WILL BE REPORTED.
*
* BUDGET ENTITY OR GROUP/ACCUMULATION LEVEL (DEP, DIV, BUR, SUB, LBE, MRG):
*   1-7: 43          LBE
*   8-14:
*   15-21:
*   22-27:
* EXCLUDE:
*
* FUND:
*
* COLUMN SELECTION: A01          A02          A03
*
* REPORT OPTION: 2                IF AUDIT REQUESTED: COMPARE JUNE 30 BALANCES TO THE JULY 1 BEGINNING BALANCES (Y/N): Y
*   1=SCHEDULE I                RUN THE DEPARTMENT LEVEL RECONCILIATION UNRESERVED FUND BALANCE (Y/N): N
*   2=AUDIT REPORT              RUN THE SUMMARY OF NEGATIVE TRUST FUNDS AUDIT (Y/N): N
*   3=BOTH SCHEDULE I AND AUDIT REPORT  COMPARE ADJUSTED UNRESERVED FUND BALANCE TO SCHEDULE IB TOTAL (Y/N): Y
*   4=SCHEDULE I DOWNLOAD (PRO FORMA)
*   5=SCHEDULE I DOWNLOAD (EXCEL FORMAT) IF OPTION 5 REQUESTED: INCLUDE ISSUES (Y/N): Y      REPORT ISSUES BY FSI (Y/N): N
* -----
*
* REPORT SEQUENCE: BUDGET ENTITY: N      SECTION I SORT OPTION: 1
*   A=ALPHABETICAL                      1=LINE NUMBER
*   N=NUMERICAL                          2=REVENUE CODE
*
* INCLUDE COLUMN CODES (Y/N): N
*
* INCLUDE BE/FUND CODES (Y/N): Y
*
* PAGE BREAK ON FUND (Y/N): Y
*
*                                     REPORT HEADING:          SCHEDULE I AUDIT
* -----
*
* TOTAL RECORDS READ FROM SORT:          2,926
* TOTAL RECORDS READ FROM CARD:          19
* TOTAL BEF RECORDS READ:                63
* TOTAL FCF RECORDS READ:                13
*
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*** NO DISCREPANCIES EXIST FOR THIS REPORT ***

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* BPSCL01                                STATISTICAL INFORMATION                                10/15/2013 11:08:28 *
* BUDGET PERIOD: 2004-2015                SCHEDULE I REPORT REQUEST                            TJM 43 SP *
* COMPILE DATE: 08/12/2013                COMPILE TIME: 09:54:45                                PAGE: 1 *
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*
*                                SAVE INITIALS:          SAVE DEPARTMENT: 07      SAVE ID: DEPT
* -----
*
* SELECT CODES.  WHEN NO CODE IS SELECTED, ALL CODES WILL BE REPORTED.
*
* BUDGET ENTITY OR GROUP/ACCUMULATION LEVEL (DEP, DIV, BUR, SUB, LBE, MRG):
*   1-7: 43          DEP
*   8-14:
*   15-21:
*   22-27:
* EXCLUDE:
*
* FUND:
*
* COLUMN SELECTION: A01          A02          A03
*
* REPORT OPTION: 2                IF AUDIT REQUESTED: COMPARE JUNE 30 BALANCES TO THE JULY 1 BEGINNING BALANCES (Y/N): Y
*   1=SCHEDULE I                    RUN THE DEPARTMENT LEVEL RECONCILIATION UNRESERVED FUND BALANCE (Y/N): Y
*   2=AUDIT REPORT                  RUN THE SUMMARY OF NEGATIVE TRUST FUNDS AUDIT (Y/N): N
*   3=BOTH SCHEDULE I AND AUDIT REPORT COMPARE ADJUSTED UNRESERVED FUND BALANCE TO SCHEDULE IB TOTAL (Y/N): Y
*   4=SCHEDULE I DOWNLOAD (PRO FORMA)
*   5=SCHEDULE I DOWNLOAD (EXCEL FORMAT) IF OPTION 5 REQUESTED: INCLUDE ISSUES (Y/N): Y      REPORT ISSUES BY FSI (Y/N): N
*
* -----
*
* REPORT SEQUENCE: BUDGET ENTITY: N      SECTION I SORT OPTION: 1
*   A=ALPHABETICAL                    1=LINE NUMBER
*   N=NUMERICAL                        2=REVENUE CODE
*
* INCLUDE COLUMN CODES (Y/N): N
*
* INCLUDE BE/FUND CODES (Y/N): Y
*
* PAGE BREAK ON FUND (Y/N): Y
*
*                                REPORT HEADING:          SCHEDULE I AUDIT
* -----
*
*
* TOTAL RECORDS READ FROM SORT:          2,926
* TOTAL RECORDS READ FROM CARD:          19
* TOTAL BEF RECORDS READ:                1
* TOTAL FCF RECORDS READ:                13
*
*****

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BUDGET ENTITY	COLUMN A01 ACT PR YR EXP 2012-13 DISP UPDT		COLUMN A02 CURR YR EST EXP 2013-14 DISP UPDT		COLUMN A03 AGY REQUEST FY 2014-15 DISP UPDT		LAST UPDATE		
	DATE	TIME	BY						
43000000 BUDGET	TRANS	MGMT	TRANS	MGMT	TRANS	TRANS	10/15/2013	11:08	TJM-43
TRUST	TRANS	MGMT	TRANS	MGMT	TRANS	TRANS	10/15/2013	11:08	TJM-43
43010000 BUDGET	TRANS	MGMT	TRANS	MGMT	TRANS	TRANS	10/15/2013	11:08	TJM-43
TRUST	TRANS	MGMT	TRANS	MGMT	TRANS	TRANS	10/15/2013	11:08	TJM-43
43010100 BUDGET	TRANS	MGMT	TRANS	MGMT	TRANS	TRANS	10/15/2013	11:08	TJM-43
TRUST	TRANS	MGMT	TRANS	MGMT	TRANS	TRANS	10/15/2013	11:08	TJM-43
43010200 BUDGET	TRANS	MGMT	TRANS	MGMT	TRANS	TRANS	10/15/2013	11:08	TJM-43
TRUST	TRANS	MGMT	TRANS	MGMT	TRANS	TRANS	10/15/2013	11:08	TJM-43
43010300 BUDGET	TRANS	MGMT	TRANS	MGMT	TRANS	TRANS	10/15/2013	11:08	TJM-43
TRUST	TRANS	MGMT	TRANS	MGMT	TRANS	TRANS	10/15/2013	11:08	TJM-43
43010400 BUDGET	TRANS	MGMT	TRANS	MGMT	TRANS	TRANS	10/15/2013	11:08	TJM-43
TRUST	TRANS	MGMT	TRANS	MGMT	TRANS	TRANS	10/15/2013	11:08	TJM-43
43010500 BUDGET	TRANS	MGMT	TRANS	MGMT	TRANS	TRANS	10/15/2013	11:08	TJM-43
TRUST	TRANS	MGMT	TRANS	MGMT	TRANS	TRANS	10/15/2013	11:08	TJM-43
43010600 BUDGET	TRANS	MGMT	TRANS	MGMT	TRANS	TRANS	10/15/2013	11:08	TJM-43
TRUST	TRANS	MGMT	TRANS	MGMT	TRANS	TRANS	10/15/2013	11:08	TJM-43
43100000 BUDGET	TRANS	MGMT	TRANS	MGMT	TRANS	TRANS	10/15/2013	11:08	TJM-43
TRUST	TRANS	MGMT	TRANS	MGMT	TRANS	TRANS	10/15/2013	11:08	TJM-43
43100100 BUDGET	TRANS	MGMT	TRANS	MGMT	TRANS	TRANS	10/15/2013	11:08	TJM-43
TRUST	TRANS	MGMT	TRANS	MGMT	TRANS	TRANS	10/15/2013	11:08	TJM-43
43100200 BUDGET	TRANS	MGMT	TRANS	MGMT	TRANS	TRANS	10/15/2013	11:08	TJM-43
TRUST	TRANS	MGMT	TRANS	MGMT	TRANS	TRANS	10/15/2013	11:08	TJM-43
43100300 BUDGET	TRANS	MGMT	TRANS	MGMT	TRANS	TRANS	10/15/2013	11:08	TJM-43
TRUST	TRANS	MGMT	TRANS	MGMT	TRANS	TRANS	10/15/2013	11:08	TJM-43
43100400 BUDGET	TRANS	MGMT	TRANS	MGMT	TRANS	TRANS	10/15/2013	11:08	TJM-43
TRUST	TRANS	MGMT	TRANS	MGMT	TRANS	TRANS	10/15/2013	11:08	TJM-43
43200000 BUDGET	TRANS	MGMT	TRANS	MGMT	TRANS	TRANS	10/15/2013	11:08	TJM-43
TRUST	TRANS	MGMT	TRANS	MGMT	TRANS	TRANS	10/15/2013	11:08	TJM-43
43200100 BUDGET	TRANS	MGMT	TRANS	MGMT	TRANS	TRANS	10/15/2013	11:08	TJM-43
TRUST	TRANS	MGMT	TRANS	MGMT	TRANS	TRANS	10/15/2013	11:08	TJM-43
43200200 BUDGET	TRANS	MGMT	TRANS	MGMT	TRANS	TRANS	10/15/2013	11:08	TJM-43
TRUST	TRANS	MGMT	TRANS	MGMT	TRANS	TRANS	10/15/2013	11:08	TJM-43
43300000 BUDGET	TRANS	MGMT	TRANS	MGMT	TRANS	TRANS	10/15/2013	11:08	TJM-43
TRUST	TRANS	MGMT	TRANS	MGMT	TRANS	TRANS	10/15/2013	11:08	TJM-43
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43300300 BUDGET	TRANS	MGMT	TRANS	MGMT	TRANS	TRANS	10/15/2013	11:08	TJM-43
TRUST	TRANS	MGMT	TRANS	MGMT	TRANS	TRANS	10/15/2013	11:08	TJM-43
43300400 BUDGET	TRANS	MGMT	TRANS	MGMT	TRANS	TRANS	10/15/2013	11:08	TJM-43
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43300500 BUDGET	TRANS	MGMT	TRANS	MGMT	TRANS	TRANS	10/15/2013	11:08	TJM-43
TRUST	TRANS	MGMT	TRANS	MGMT	TRANS	TRANS	10/15/2013	11:08	TJM-43
43350000 BUDGET	TRANS	MGMT	TRANS	MGMT	TRANS	TRANS	10/15/2013	11:08	TJM-43
TRUST	TRANS	MGMT	TRANS	MGMT	TRANS	TRANS	10/15/2013	11:08	TJM-43
43350100 BUDGET	TRANS	MGMT	TRANS	MGMT	TRANS	TRANS	10/15/2013	11:08	TJM-43
TRUST	TRANS	MGMT	TRANS	MGMT	TRANS	TRANS	10/15/2013	11:08	TJM-43
43350200 BUDGET	TRANS	MGMT	TRANS	MGMT	TRANS	TRANS	10/15/2013	11:08	TJM-43
TRUST	TRANS	MGMT	TRANS	MGMT	TRANS	TRANS	10/15/2013	11:08	TJM-43

BUDGET ENTITY	COLUMN A01 ACT PR YR EXP 2012-13 DISP UPDT		COLUMN A02 CURR YR EST EXP 2013-14 DISP UPDT		COLUMN A03 AGY REQUEST FY 2014-15 DISP UPDT		LAST UPDATE			
	DATE	TIME	BY							
43350300	BUDGET	TRANS	MGMT	TRANS	MGMT	TRANS	TRANS	10/15/2013	11:08	TJM-43
	TRUST	TRANS	MGMT	TRANS	MGMT	TRANS	TRANS	10/15/2013	11:08	TJM-43
43350400	BUDGET	TRANS	MGMT	TRANS	MGMT	TRANS	TRANS	10/15/2013	11:08	TJM-43
	TRUST	TRANS	MGMT	TRANS	MGMT	TRANS	TRANS	10/15/2013	11:08	TJM-43
43400000	BUDGET	TRANS	MGMT	TRANS	MGMT	TRANS	TRANS	10/15/2013	11:08	TJM-43
	TRUST	TRANS	MGMT	TRANS	MGMT	TRANS	TRANS	10/15/2013	11:08	TJM-43
43400100	BUDGET	TRANS	MGMT	TRANS	MGMT	TRANS	TRANS	10/15/2013	11:08	TJM-43
	TRUST	TRANS	MGMT	TRANS	MGMT	TRANS	TRANS	10/15/2013	11:08	TJM-43
43500000	BUDGET	TRANS	MGMT	TRANS	MGMT	TRANS	TRANS	10/15/2013	11:08	TJM-43
	TRUST	TRANS	MGMT	TRANS	MGMT	TRANS	TRANS	10/15/2013	11:08	TJM-43
43500100	BUDGET	TRANS	MGMT	TRANS	MGMT	TRANS	TRANS	10/15/2013	11:08	TJM-43
	TRUST	TRANS	MGMT	TRANS	MGMT	TRANS	TRANS	10/15/2013	11:08	TJM-43
43500200	BUDGET	TRANS	MGMT	TRANS	MGMT	TRANS	TRANS	10/15/2013	11:08	TJM-43
	TRUST	TRANS	MGMT	TRANS	MGMT	TRANS	TRANS	10/15/2013	11:08	TJM-43
43500300	BUDGET	TRANS	MGMT	TRANS	MGMT	TRANS	TRANS	10/15/2013	11:08	TJM-43
	TRUST	TRANS	MGMT	TRANS	MGMT	TRANS	TRANS	10/15/2013	11:08	TJM-43
43500400	BUDGET	TRANS	MGMT	TRANS	MGMT	TRANS	TRANS	10/15/2013	11:08	TJM-43
	TRUST	TRANS	MGMT	TRANS	MGMT	TRANS	TRANS	10/15/2013	11:08	TJM-43
43500500	BUDGET	TRANS	MGMT	TRANS	MGMT	TRANS	TRANS	10/15/2013	11:08	TJM-43
	TRUST	TRANS	MGMT	TRANS	MGMT	TRANS	TRANS	10/15/2013	11:08	TJM-43
43500600	BUDGET	TRANS	MGMT	TRANS	MGMT	TRANS	TRANS	10/15/2013	11:08	TJM-43
	TRUST	TRANS	MGMT	TRANS	MGMT	TRANS	TRANS	10/15/2013	11:08	TJM-43
43500700	BUDGET	TRANS	MGMT	TRANS	MGMT	TRANS	TRANS	10/15/2013	11:08	TJM-43
	TRUST	TRANS	MGMT	TRANS	MGMT	TRANS	TRANS	10/15/2013	11:08	TJM-43
43500800	BUDGET	TRANS	MGMT	TRANS	MGMT	TRANS	TRANS	10/15/2013	11:08	TJM-43
	TRUST	TRANS	MGMT	TRANS	MGMT	TRANS	TRANS	10/15/2013	11:08	TJM-43
43500900	BUDGET	TRANS	MGMT	TRANS	MGMT	TRANS	TRANS	10/15/2013	11:08	TJM-43
	TRUST	TRANS	MGMT	TRANS	MGMT	TRANS	TRANS	10/15/2013	11:08	TJM-43
43600000	BUDGET	TRANS	MGMT	TRANS	MGMT	TRANS	TRANS	10/15/2013	11:08	TJM-43
	TRUST	TRANS	MGMT	TRANS	MGMT	TRANS	TRANS	10/15/2013	11:08	TJM-43
43600100	BUDGET	TRANS	MGMT	TRANS	MGMT	TRANS	TRANS	10/15/2013	11:08	TJM-43
	TRUST	TRANS	MGMT	TRANS	MGMT	TRANS	TRANS	10/15/2013	11:08	TJM-43
43700000	BUDGET	TRANS	MGMT	TRANS	MGMT	TRANS	TRANS	10/15/2013	11:08	TJM-43
	TRUST	TRANS	MGMT	TRANS	MGMT	TRANS	TRANS	10/15/2013	11:08	TJM-43
43700100	BUDGET	TRANS	MGMT	TRANS	MGMT	TRANS	TRANS	10/15/2013	11:08	TJM-43
	TRUST	TRANS	MGMT	TRANS	MGMT	TRANS	TRANS	10/15/2013	11:08	TJM-43
43700200	BUDGET	TRANS	MGMT	TRANS	MGMT	TRANS	TRANS	10/15/2013	11:08	TJM-43
	TRUST	TRANS	MGMT	TRANS	MGMT	TRANS	TRANS	10/15/2013	11:08	TJM-43
43700300	BUDGET	TRANS	MGMT	TRANS	MGMT	TRANS	TRANS	10/15/2013	11:08	TJM-43
	TRUST	TRANS	MGMT	TRANS	MGMT	TRANS	TRANS	10/15/2013	11:08	TJM-43
43700400	BUDGET	TRANS	MGMT	TRANS	MGMT	TRANS	TRANS	10/15/2013	11:08	TJM-43
	TRUST	TRANS	MGMT	TRANS	MGMT	TRANS	TRANS	10/15/2013	11:08	TJM-43
43900000	BUDGET	TRANS	MGMT	TRANS	MGMT	TRANS	TRANS	10/15/2013	11:08	TJM-43
	TRUST	TRANS	MGMT	TRANS	MGMT	TRANS	TRANS	10/15/2013	11:08	TJM-43
43900100	BUDGET	TRANS	MGMT	TRANS	MGMT	TRANS	TRANS	10/15/2013	11:08	TJM-43
	TRUST	TRANS	MGMT	TRANS	MGMT	TRANS	TRANS	10/15/2013	11:08	TJM-43
43900110	BUDGET	TRANS	MGMT	TRANS	MGMT	TRANS	TRANS	10/15/2013	11:08	TJM-43
	TRUST	TRANS	MGMT	TRANS	MGMT	TRANS	TRANS	10/15/2013	11:08	TJM-43

BUDGET ENTITY	COLUMN A01 ACT PR YR EXP 2012-13 DISP UPDT		COLUMN A02 CURR YR EST EXP 2013-14 DISP UPDT		COLUMN A03 AGY REQUEST FY 2014-15 DISP UPDT		LAST UPDATE		
	DATE	TIME	BY						
43900120 BUDGET	TRANS	MGMT	TRANS	MGMT	TRANS	TRANS	10/15/2013	11:08	TJM-43
TRUST	TRANS	MGMT	TRANS	MGMT	TRANS	TRANS	10/15/2013	11:08	TJM-43
43900500 BUDGET	TRANS	MGMT	TRANS	MGMT	TRANS	TRANS	10/15/2013	11:08	TJM-43
TRUST	TRANS	MGMT	TRANS	MGMT	TRANS	TRANS	10/15/2013	11:08	TJM-43
43900510 BUDGET	TRANS	MGMT	TRANS	MGMT	TRANS	TRANS	10/15/2013	11:08	TJM-43
TRUST	TRANS	MGMT	TRANS	MGMT	TRANS	TRANS	10/15/2013	11:08	TJM-43
43900520 BUDGET	TRANS	MGMT	TRANS	MGMT	TRANS	TRANS	10/15/2013	11:08	TJM-43
TRUST	TRANS	MGMT	TRANS	MGMT	TRANS	TRANS	10/15/2013	11:08	TJM-43
43900530 BUDGET	TRANS	MGMT	TRANS	MGMT	TRANS	TRANS	10/15/2013	11:08	TJM-43
TRUST	TRANS	MGMT	TRANS	MGMT	TRANS	TRANS	10/15/2013	11:08	TJM-43
43900540 BUDGET	TRANS	MGMT	TRANS	MGMT	TRANS	TRANS	10/15/2013	11:08	TJM-43
TRUST	TRANS	MGMT	TRANS	MGMT	TRANS	TRANS	10/15/2013	11:08	TJM-43
43900550 BUDGET	TRANS	MGMT	TRANS	MGMT	TRANS	TRANS	10/15/2013	11:08	TJM-43
TRUST	TRANS	MGMT	TRANS	MGMT	TRANS	TRANS	10/15/2013	11:08	TJM-43
43900560 BUDGET	TRANS	MGMT	TRANS	MGMT	TRANS	TRANS	10/15/2013	11:08	TJM-43
TRUST	TRANS	MGMT	TRANS	MGMT	TRANS	TRANS	10/15/2013	11:08	TJM-43
43900570 BUDGET	TRANS	MGMT	TRANS	MGMT	TRANS	TRANS	10/15/2013	11:08	TJM-43
TRUST	TRANS	MGMT	TRANS	MGMT	TRANS	TRANS	10/15/2013	11:08	TJM-43
43900580 BUDGET	TRANS	MGMT	TRANS	MGMT	TRANS	TRANS	10/15/2013	11:08	TJM-43
TRUST	TRANS	MGMT	TRANS	MGMT	TRANS	TRANS	10/15/2013	11:08	TJM-43
43910000 BUDGET	TRANS	MGMT	TRANS	MGMT	TRANS	TRANS	10/15/2013	11:08	TJM-43
TRUST	TRANS	MGMT	TRANS	MGMT	TRANS	TRANS	10/15/2013	11:08	TJM-43
43910100 BUDGET	TRANS	MGMT	TRANS	MGMT	TRANS	TRANS	10/15/2013	11:08	TJM-43
TRUST	TRANS	MGMT	TRANS	MGMT	TRANS	TRANS	10/15/2013	11:08	TJM-43
43910200 BUDGET	TRANS	MGMT	TRANS	MGMT	TRANS	TRANS	10/15/2013	11:08	TJM-43
TRUST	TRANS	MGMT	TRANS	MGMT	TRANS	TRANS	10/15/2013	11:08	TJM-43
43910400 BUDGET	TRANS	MGMT	TRANS	MGMT	TRANS	TRANS	10/15/2013	11:08	TJM-43
TRUST	TRANS	MGMT	TRANS	MGMT	TRANS	TRANS	10/15/2013	11:08	TJM-43
43910500 BUDGET	TRANS	MGMT	TRANS	MGMT	TRANS	TRANS	10/15/2013	11:08	TJM-43
TRUST	TRANS	MGMT	TRANS	MGMT	TRANS	TRANS	10/15/2013	11:08	TJM-43
43910600 BUDGET	TRANS	MGMT	TRANS	MGMT	TRANS	TRANS	10/15/2013	11:08	TJM-43
TRUST	TRANS	MGMT	TRANS	MGMT	TRANS	TRANS	10/15/2013	11:08	TJM-43

*** END OF REPORT ***

COL A03		COL A04		COL A03-A04		
AGY REQUEST		AGY REQ N/R		AGY REQUEST		
FY 2014-15		FY 2014-15		FY 2014-15		
POS AMOUNT		POS AMOUNT		POS AMOUNT		CODES

NO NEGATIVE APPROPRIATION CATEGORIES FOUND

```

*****
* BPNACL01                STATISTICAL INFORMATION                10/15/2013 11:08:34 *
* BUDGET PERIOD: 2004-2015    NEGATIVE APPROPRIATION CATEGORY LIST REQUEST    TJM 43    SP 13 *
* COMPILE DATE: 12/06/2012    COMPILE TIME: 15:52:58                PAGE:    1 *
*****
*
*                SAVE INITIALS:                SAVE DEPARTMENT: 07    SAVE ID: NAC                *
* ----- *
*
* SELECT CODES.  WHEN NO CODE IS SELECTED, ALL CODES WILL BE REPORTED. *
* BUDGET ENTITY OR GROUP: *
*   1-9: 43 *
*   10-18: *
*   19-27: *
* EXCLUDE: *
*
* PROGRAM COMPONENT: *
* APPROPRIATION CATEGORY OR GROUP: *
* MERGE FSI: N *
* COLUMN: A03    A04    A03-A04    CODES *
* FCO (Y/N): Y    FTE (Y/N): Y    RATE (Y/N): N    REPORT HEADING: NEGATIVE APPROPRIATION CATEGORY LISTING *
* *
* ----- *
*
* TOTAL NUMBER RECORDS READ FROM SORT:                840 *
* TOTAL NUMBER RECORDS READ FROM CARD:                22 *
* TOTAL NUMBER RECORDS READ FROM BEF :                0 *
* TOTAL NUMBER RECORDS READ FROM PCF :                0 *
* TOTAL NUMBER RECORDS READ FROM ACF :                0 *
* TOTAL NUMBER RECORDS READ FROM FCF :                0 *
*
* TOTAL BE/PC/AC/FSI PROCESSED:                287 *
* TOTAL NEGATIVE BE/PC/AC/FSI:                0 *
*
*****

```

 SEGMENT 2

43 FINANCIAL SERVICES
 01 PRG: CHIEF FIN OFFICER/ADM
 03 INFORMATION TECHNOLOGY

16.03.00.00.00 INFORMATION TECHNOLOGY

01 CAREER SERVICE

POS. NO.	SEQ. NO.	CLASS CODE	CLASS TITLE	FTE	COL A03 AGY REQUEST FY 2014-15 REQUESTED RATE	DEFAULT MINIMUM RATE	PROPOSED MINIMUM UPDATE	OVER/UNDER CALCULATED MINIMUM	CONTRACT MONTHS
03274	001	2099	SENIOR WEB PAGE DESIGN SPECIAL	1.00-	35,335-	32,698	32,698-	2,637-	
PAY PLAN TOTALS									
TOTAL SELECTED VACANT POSITIONS				1.00-	35,335-	32,698	32,698-	2,637-	
TOTAL POSITIONS				1.00-					
PERCENT OF SELECTED VACANT POSITIONS				100.00					
PROGRAM COMPONENT TOTALS									
TOTAL SELECTED VACANT POSITIONS				1.00-	35,335-	32,698	32,698-	2,637-	
TOTAL POSITIONS				1.00-					
PERCENT OF SELECTED VACANT POSITIONS				100.00					
BUDGET ENTITY TOTALS									
TOTAL SELECTED VACANT POSITIONS				1.00-	35,335-	32,698	32,698-	2,637-	
TOTAL POSITIONS				1.00-					
PERCENT OF SELECTED VACANT POSITIONS				100.00					

 SEGMENT 2

43 FINANCIAL SERVICES
 60 PGM: WORKERS' COMPENSATION
 01 WORKERS' COMPENSATION

11.02.02.00.00 WORKERS' COMPENSATION

01 CAREER SERVICE

COL A03
 AGY REQUEST
 FY 2014-15
 REQUESTED RATE

DEFAULT
 MINIMUM
 RATE

PROPOSED
 MINIMUM
 UPDATE

OVER/UNDER
 CALCULATED
 MINIMUM
 CONTRACT
 MONTHS

POS. NO.	SEQ. NO.	CLASS CODE	CLASS TITLE	FTE
03274	001	2099	SENIOR WEB PAGE DESIGN SPECIAL	1.00

PAY PLAN TOTALS				
TOTAL SELECTED VACANT POSITIONS				1.00
TOTAL POSITIONS				1.00
PERCENT OF SELECTED VACANT POSITIONS				100.00

PROGRAM COMPONENT TOTALS				
TOTAL SELECTED VACANT POSITIONS				1.00
TOTAL POSITIONS				1.00
PERCENT OF SELECTED VACANT POSITIONS				100.00

BUDGET ENTITY TOTALS				
TOTAL SELECTED VACANT POSITIONS				1.00
TOTAL POSITIONS				1.00
PERCENT OF SELECTED VACANT POSITIONS				100.00

35,335	32,698	32,698	2,637
35,335	32,698	32,698	2,637
35,335	32,698	32,698	2,637
35,335	32,698	32,698	2,637

 SEGMENT 3

43 FINANCIAL SERVICES
 01 PRG: CHIEF FIN OFFICER/ADM
 05 INFO TECHNOLOGY - FLAIR

16.03.00.00.00 INFORMATION TECHNOLOGY

01 CAREER SERVICE

POS. NO.	SEQ. NO.	CLASS CODE	CLASS TITLE	FTE	COL A03 AGY REQUEST FY 2014-15 REQUESTED RATE	DEFAULT MINIMUM RATE	PROPOSED MINIMUM UPDATE	OVER/UNDER CALCULATED MINIMUM	CONTRACT MONTHS
N0001	001	2107	SYSTEMS PROJECT ANALYST	1.00	3,613	40,949	40,949	37,336-	
N0002	001	1450	STATE AUTOMATE MGMNT ACCOUNT S	1.00	9,181	40,949	40,949	31,768-	
N0003	001	1452	SR STATE AUTOMATE MGT ACCT SYS	1.00	27,026	43,508	43,508	16,482-	
PAY PLAN TOTALS									
TOTAL SELECTED VACANT POSITIONS				3.00	39,820	125,406	125,406	85,586-	
TOTAL POSITIONS				3.00					
PERCENT OF SELECTED VACANT POSITIONS				100.00					
PROGRAM COMPONENT TOTALS									
TOTAL SELECTED VACANT POSITIONS				3.00	39,820	125,406	125,406	85,586-	
TOTAL POSITIONS				3.00					
PERCENT OF SELECTED VACANT POSITIONS				100.00					
BUDGET ENTITY TOTALS									
TOTAL SELECTED VACANT POSITIONS				3.00	39,820	125,406	125,406	85,586-	
TOTAL POSITIONS				3.00					
PERCENT OF SELECTED VACANT POSITIONS				100.00					

SEGMENT 3

43 FINANCIAL SERVICES
90 PGM: FINANCIAL SVCS COMM
01 OFFICE OF INSURANCE REG
10 COMP & ENFORCE- INSURANCE

12.04.00.00.00 REGULATION AND LICENSING

01 CAREER SERVICE

POS. NO.	SEQ. NO.	CLASS CODE	CLASS TITLE	FTE	COL A03 AGY REQUEST FY 2014-15 REQUESTED RATE	DEFAULT MINIMUM RATE	PROPOSED MINIMUM UPDATE	OVER/UNDER CALCULATED MINIMUM	CONTRACT MONTHS
C0021	003	2225	GOVERNMENT ANALYST II	3.00	149,580	46,382	139,146	10,434	
C0022	003	2224	GOVERNMENT ANALYST I	2.00	76,988	36,469	72,938	4,050	
PAY PLAN TOTALS									
TOTAL SELECTED VACANT POSITIONS				5.00	226,568	82,851	212,084	14,484	
TOTAL POSITIONS									
PERCENT OF SELECTED VACANT POSITIONS									

 SEGMENT 3

43 FINANCIAL SERVICES
 90 PGM: FINANCIAL SVCS COMM
 01 OFFICE OF INSURANCE REG
 10 COMP & ENFORCE- INSURANCE

12.04.00.00.00 REGULATION AND LICENSING

08 SELECTED EXEMPT SERVICES

POS. NO.	SEQ. NO.	CLASS CODE	CLASS TITLE	FTE	COL A03 AGY REQUEST FY 2014-15 REQUESTED RATE	DEFAULT MINIMUM RATE	PROPOSED MINIMUM UPDATE	OVER/UNDER CALCULATED MINIMUM	CONTRACT MONTHS
C0020	003	2225	SENIOR MANAGEMENT ANALYST II -	3.00	149,580	46,382	139,146	10,434	
PAY PLAN TOTALS									
TOTAL SELECTED VACANT POSITIONS				3.00	149,580	46,382	139,146	10,434	
TOTAL POSITIONS									
PERCENT OF SELECTED VACANT POSITIONS									
PROGRAM COMPONENT TOTALS									
TOTAL SELECTED VACANT POSITIONS				8.00	376,148	129,233	351,230	24,918	
TOTAL POSITIONS									
PERCENT OF SELECTED VACANT POSITIONS									
BUDGET ENTITY TOTALS									
TOTAL SELECTED VACANT POSITIONS				8.00	376,148	129,233	351,230	24,918	
TOTAL POSITIONS									
PERCENT OF SELECTED VACANT POSITIONS									
DEPARTMENT TOTALS									
TOTAL SELECTED VACANT POSITIONS				11.00	415,968	254,639	476,636	60,668-	
TOTAL POSITIONS				8.00					
PERCENT OF SELECTED VACANT POSITIONS				137.50					
SEGMENT 3 TOTALS									
TOTAL SELECTED VACANT POSITIONS				11.00	415,968	254,639	476,636	60,668-	
TOTAL POSITIONS				8.00					
PERCENT OF SELECTED VACANT POSITIONS				137.50					
REPORT TOTALS									
TOTAL SELECTED VACANT POSITIONS				11.00	415,968	320,035	476,636	60,668-	
TOTAL POSITIONS				8.00					
PERCENT OF SELECTED VACANT POSITIONS				137.50					

* PBRALP01 STATISTICAL INFORMATION 10/15/2013 11:08 *

* BUDGET PERIOD: 2004-2015 BASE RATE AUDIT REQUEST TJM 43 SP 19 *

* PAGE: 1 *

SAVE INITIALS: SAVE DEPARTMENT: 07 SAVE ID: BRAA

* SELECT CODES. WHEN NO CODE IS SELECTED, ALL CODES WILL BE REPORTED.

* MERGE GROUPS (Y/N): Y

* BUDGET ENTITY OR GROUP/ACCUMULATION LEVEL (DEP, DIV, BUR, SUB, LBE, MRG):

* 1-7: 43 LBE _____

* 8-14: _____

* 15-21: _____

* 22-27: _____

* PROGRAM COMPONENT/ACCUMULATION LEVEL (1, 2, 3, 4 OR 5 FOR 2, 4, 6, 8 OR 10 DIGITS, 0=MERGED):

* 5 _____

* PAY PLAN: _____

* SEGMENT: 2 3

* COLUMN SELECTION: PERSONNEL: _____ (SEGMENT 1)

* BUDGET DETAIL: A03 (SEGMENT 2 OR 3)

* REPORT OPTION: 1

* 1=POSITION REPORT ONLY

* 2=POSITION UPDATE AND REPORT

PAY GRADE MINIMUM OPTION: 2

1=CURRENT ANNUAL MINIMUM

2=BUDGET DEFAULT MINIMUM

BASE RATE OPTION: 3

1=BASE RATE LESS THAN PAY GRADE MINIMUM OPTION

2=BASE RATE GREATER THAN PAY GRADE MINIMUM OPTION

3=BASE RATE NOT EQUAL TO PAY GRADE MINIMUM OPTION

* POSITION TYPE: 2

* 1=ALL VACANT POSITIONS

* 2=VACANT POSITIONS SELECTED

* BY BASE RATE OPTION ONLY

* 3=FILLED POSITIONS SELECTED

* BY BASE RATE OPTION ONLY

* 4=VACANT AND FILLED POSITIONS

* SELECTED BY BASE RATE OPTION ONLY

ADJUST FOR ROUNDING (Y/N): N

BUDGET ENTITY PAGE BREAKS (Y/N): Y

REPORT HEADINGS: BASE RATE AUDIT REPORT

* TOTAL CPF RECORDS READ: 0

* TOTAL PAF RECORDS READ: 12

* TOTAL BEF RECORDS READ: 17

* TOTAL BGF RECORDS READ: 0

* TOTAL PCF RECORDS READ: 4

* TOTAL PPF RECORDS READ: 3

* TOTAL DPC RECORDS READ: 8

* TOTAL VACANT POSITIONS SELECTED: 8

* TOTAL FILLED POSITIONS SELECTED: 0

BPEXBL01 LAS/PBS SYSTEM
BUDGET PERIOD: 2004-2015
STATE OF FLORIDA

EXHIBIT B COMPARISON REPORT
ACTUAL PR YR EXPENDITURES 2012-13
COMPARED TO 2012-13 APPROVED BUDGET

SP 10/15/2013 11:08 PAGE: 1
ERROR REPORT

BUDGET ENTITY	CODE	ERROR MESSAGE	PAGE
---------------	------	---------------	------

THERE WERE 0 ERRORS DETECTED

	COL A01	COL B04	COL B04-A01	
			APPROV BUD	
			12-13 HDF	
			OVER (UNDER)	
	ACT PR YR	APPROV BUD	ACT PR YR	
	EXP 2012-13	12-13 HDF	EXP 2012-13	
	POS	AMOUNT	POS	AMOUNT
	POS	AMOUNT	POS	AMOUNT
				CODES
FINANCIAL SERVICES				43000000
PRG: CHIEF FIN OFFICER/ADM				43010000
<u>EXECUTIVE DIR/SUPPORT SVCS</u>				43010100
SALARIES AND BENEFITS				010000
ADMINISTRATIVE TRUST FUND.....	8,509,783	8,977,946	468,163	2021
EXPENSES				040000
ADMINISTRATIVE TRUST FUND.....	1,272,375	1,369,766	97,391	2021
SPECIAL CATEGORIES				100000
CONTRACTED SERVICES				100777
ADMINISTRATIVE TRUST FUND.....	274,484	327,325	52,841	2021
TENANT BROKER COMMISSIONS				105084
ADMINISTRATIVE TRUST FUND.....	93,034	110,000	16,966	2021
LEASE/PURCHASE/EQUIPMENT				105281
ADMINISTRATIVE TRUST FUND.....	149,894	158,268	8,374	2021
TOTAL: EXECUTIVE DIR/SUPPORT SVCS				43010100
BY FUND				
ADMINISTRATIVE TRUST FUND.....	10,299,570	10,943,305	643,735	2021

	COL A01	COL B04	COL B04-A01	
			APPROV BUD	
			12-13 HDF	
			OVER (UNDER)	
	ACT PR YR	APPROV BUD	ACT PR YR	
	EXP 2012-13	12-13 HDF	EXP 2012-13	
	POS	AMOUNT	POS	AMOUNT
	-----	-----	-----	-----
FINANCIAL SERVICES				43000000
PRG: CHIEF FIN OFFICER/ADM				43010000
LEGAL SERVICES				43010200
SALARIES AND BENEFITS				010000
ADMINISTRATIVE TRUST FUND.....	5,848,232	5,988,840	140,608	2021
=====	=====	=====	=====	
OTHER PERSONAL SERVICES				030000
ADMINISTRATIVE TRUST FUND.....	225,508	279,388	53,880	2021
=====	=====	=====	=====	
EXPENSES				040000
ADMINISTRATIVE TRUST FUND.....	617,191	655,736	38,545	2021
=====	=====	=====	=====	
OPERATING CAPITAL OUTLAY				060000
ADMINISTRATIVE TRUST FUND.....	6,965	28,639	21,674	2021
=====	=====	=====	=====	
SPECIAL CATEGORIES				100000
CONTRACTED SERVICES				100777
ADMINISTRATIVE TRUST FUND.....	219,563	253,306	33,743	2021
=====	=====	=====	=====	
HOLOCAUST VICTIMS ASST ADM				101085
INSURANCE REG TF.....	290,812	308,007	17,195	2393
=====	=====	=====	=====	
LEASE/PURCHASE/EQUIPMENT				105281
ADMINISTRATIVE TRUST FUND.....	14,745	51,361	36,616	2021
=====	=====	=====	=====	

	COL A01	COL B04	COL B04-A01	
			APPROV BUD	
			12-13 HDF	
			OVER (UNDER)	
	ACT PR YR	APPROV BUD	ACT PR YR	
	EXP 2012-13	12-13 HDF	EXP 2012-13	
POS	AMOUNT	POS	AMOUNT	POS
				AMOUNT
				CODES
FINANCIAL SERVICES				43000000
PRG: CHIEF FIN OFFICER/ADM				43010000
LEGAL SERVICES				43010200
TOTAL: LEGAL SERVICES				43010200
BY FUND				
ADMINISTRATIVE TRUST FUND	6,932,204	7,257,270	325,066	2021
INSURANCE REG TF	290,812	308,007	17,195	2393
TOTAL BUREAU.....	7,223,016	7,565,277	342,261	

	COL A01	COL B04	COL B04-A01	
			APPROV BUD	
			12-13 HDF	
			OVER (UNDER)	
	ACT PR YR	APPROV BUD	ACT PR YR	
	EXP 2012-13	12-13 HDF	EXP 2012-13	
	POS	AMOUNT	POS	AMOUNT
	-----	-----	-----	-----
				CODES
FINANCIAL SERVICES				43000000
PRG: CHIEF FIN OFFICER/ADM				43010000
<u>INFORMATION TECHNOLOGY</u>				43010300
SALARIES AND BENEFITS				010000
ADMINISTRATIVE TRUST FUND.....	8,128,041	8,470,464	342,423	2021
	=====	=====	=====	
OTHER PERSONAL SERVICES				030000
ADMINISTRATIVE TRUST FUND.....	63,622	98,334	34,712	2021
	=====	=====	=====	
EXPENSES				040000
ADMINISTRATIVE TRUST FUND.....	3,330,979	3,350,528	19,549	2021
	=====	=====	=====	
SPECIAL CATEGORIES				100000
CONTRACTED SERVICES				100777
ADMINISTRATIVE TRUST FUND.....	4,680,825	4,779,284	98,459	2021
	=====	=====	=====	
LEASE/PURCHASE/EQUIPMENT				105281
ADMINISTRATIVE TRUST FUND.....	5,899	21,275	15,376	2021
	=====	=====	=====	
DATA PROCESSING SERVICES				210000
NORTHWEST REGIONAL DC				210023
ADMINISTRATIVE TRUST FUND.....	18,475	88,518	70,043	2021
	=====	=====	=====	
TOTAL: INFORMATION TECHNOLOGY				43010300
BY FUND				
ADMINISTRATIVE TRUST FUND.....	16,227,841	16,808,403	580,562	2021
	=====	=====	=====	

	COL A01	COL B04	COL B04-A01	
			APPROV BUD	
			12-13 HDF	
			OVER (UNDER)	
	ACT PR YR	APPROV BUD	ACT PR YR	
	EXP 2012-13	12-13 HDF	EXP 2012-13	
	POS	AMOUNT	POS	AMOUNT
	POS	AMOUNT	POS	AMOUNT
				CODES
FINANCIAL SERVICES				43000000
PRG: CHIEF FIN OFFICER/ADM				43010000
CONSUMER ADVOCATE				43010400
SALARIES AND BENEFITS				010000
INSURANCE REG TF.....	469,943	528,574	58,631	2393
OTHER PERSONAL SERVICES				030000
INSURANCE REG TF.....	55,016	115,229	60,213	2393
SPECIAL CATEGORIES				100000
CONTRACTED SERVICES				100777
INSURANCE REG TF.....	2,391	20,471	18,080	2393
TOTAL: CONSUMER ADVOCATE				43010400
BY FUND				
INSURANCE REG TF.....	527,350	664,274	136,924	2393

	COL A01	COL B04	COL B04-A01	
			APPROV BUD	
			12-13 HDF	
			OVER (UNDER)	
	ACT PR YR	APPROV BUD	ACT PR YR	
	EXP 2012-13	12-13 HDF	EXP 2012-13	
	POS	AMOUNT	POS	AMOUNT
	POS	AMOUNT	POS	AMOUNT
				CODES
FINANCIAL SERVICES				43000000
PRG: CHIEF FIN OFFICER/ADM				43010000
INFO TECHNOLOGY - FLAIR				43010500
SALARIES AND BENEFITS				010000
GENERAL REVENUE FUND	5,837,215	6,073,369	236,154	1000
ADMINISTRATIVE TRUST FUND	446,187	453,617	7,430	2021
TOTAL APPRO.....	6,283,402	6,526,986	243,584	
EXPENSES				040000
GENERAL REVENUE FUND	1,279,510	1,285,578	6,068	1000
TOTAL APPRO.....	1,446,006	1,454,091	8,085	
SPECIAL CATEGORIES				100000
CONTRACTED SERVICES				100777
ADMINISTRATIVE TRUST FUND	421,439	431,500	10,061	2021
TOTAL APPRO.....	3,339,356	3,350,316	10,960	
TOTAL: INFO TECHNOLOGY - FLAIR				43010500
BY FUND				
GENERAL REVENUE FUND	10,034,642	10,277,763	243,121	1000
ADMINISTRATIVE TRUST FUND	1,034,122	1,053,630	19,508	2021
TOTAL BUREAU.....	11,068,764	11,331,393	262,629	

	COL A01	COL B04	COL B04-A01	
			APPROV BUD	
			12-13 HDF	
			OVER (UNDER)	
	ACT PR YR	APPROV BUD	ACT PR YR	
	EXP 2012-13	12-13 HDF	EXP 2012-13	
	POS	AMOUNT	POS	AMOUNT
	POS	AMOUNT	POS	AMOUNT
				CODES
FINANCIAL SERVICES				43000000
PROGRAM: TREASURY				43100000
DEPOSIT SECURITY				43100200
SALARIES AND BENEFITS				010000
TREASURY ADM/INVEST TF.....	1,367,584	1,432,265	64,681	2725
EXPENSES				040000
TREASURY ADM/INVEST TF.....	177,309	245,113	67,804	2725
SPECIAL CATEGORIES				100000
CONTRACTED SERVICES				100777
TREASURY ADM/INVEST TF.....	67,329	80,205	12,876	2725
TOTAL: DEPOSIT SECURITY				43100200
BY FUND				
TREASURY ADM/INVEST TF.....	1,612,222	1,757,583	145,361	2725

	COL A01	COL B04	COL B04-A01	
			APPROV BUD	
			12-13 HDF	
			OVER (UNDER)	
	ACT PR YR	APPROV BUD	ACT PR YR	
	EXP 2012-13	12-13 HDF	EXP 2012-13	
	POS	AMOUNT	POS	AMOUNT
	POS	AMOUNT	POS	AMOUNT
				CODES
FINANCIAL SERVICES				43000000
PROGRAM: TREASURY				43100000
SUP RETIREMENT PLAN				43100400
SALARIES AND BENEFITS				010000
TREASURY ADM/INVEST TF.....	584,348	636,289	51,941	2725
OTHER PERSONAL SERVICES				030000
TREASURY ADM/INVEST TF.....	14,332	20,100	5,768	2725
EXPENSES				040000
TREASURY ADM/INVEST TF.....	85,805	108,828	23,023	2725
SPECIAL CATEGORIES				100000
DEFERRED COMP ADM SVCS				100868
TREASURY ADM/INVEST TF.....	598,118	950,000	351,882	2725
TOTAL: SUP RETIREMENT PLAN				43100400
BY FUND				
TREASURY ADM/INVEST TF.....	1,282,603	1,715,217	432,614	2725

	COL A01	COL B04	COL B04-A01	
			APPROV BUD	
			12-13 HDF	
			OVER (UNDER)	
	ACT PR YR	APPROV BUD	ACT PR YR	
	EXP 2012-13	12-13 HDF	EXP 2012-13	
	POS	AMOUNT	POS	AMOUNT
				CODES
FINANCIAL SERVICES				43000000
PGM: FIN ACCT/PUBLIC FUNDS				43200000
ST FINAN INFO/ST AGY ACCTG				43200100
SALARIES AND BENEFITS				010000
GENERAL REVENUE FUND	9,003,782	9,415,847	412,065	1000
ADMINISTRATIVE TRUST FUND	909,635	1,155,761	246,126	2021
TOTAL APPRO.....	9,913,417	10,571,608	658,191	
OTHER PERSONAL SERVICES				030000
GENERAL REVENUE FUND	11,124	22,994	11,870	1000
ADMINISTRATIVE TRUST FUND		127,420	127,420	2021
TOTAL APPRO.....	11,124	150,414	139,290	
EXPENSES				040000
GENERAL REVENUE FUND	793,591	1,071,062	277,471	1000
ADMINISTRATIVE TRUST FUND	28,032	123,951	95,919	2021
TOTAL APPRO.....	821,623	1,195,013	373,390	
SPECIAL CATEGORIES				100000
CONTRACTED SERVICES				100777
GENERAL REVENUE FUND.....	693,899	728,449	34,550	1000
LEASE/PURCHASE/EQUIPMENT				105281
ADMINISTRATIVE TRUST FUND	4,274	9,305	5,031	2021
TOTAL APPRO.....	16,664	22,927	6,263	

	COL A01		COL B04		COL B04-A01		
					APPROV BUD		
					12-13 HDF		
					OVER (UNDER)		
	ACT PR YR		APPROV BUD		ACT PR YR		
	EXP 2012-13		12-13 HDF		EXP 2012-13		
	POS	AMOUNT	POS	AMOUNT	POS	AMOUNT	CODES
FINANCIAL SERVICES							43000000
PGM: FIN ACCT/PUBLIC FUNDS							43200000
ST FINAN INFO/ST AGY ACCTG							43200100
TOTAL: ST FINAN INFO/ST AGY ACCTG							43200100
BY FUND							
GENERAL REVENUE FUND		10,514,786		11,251,974		737,188	1000
ADMINISTRATIVE TRUST FUND		941,941		1,416,437		474,496	2021
TOTAL BUREAU.....		11,456,727		12,668,411		1,211,684	

	COL A01	COL B04	COL B04-A01	
			APPROV BUD	
			12-13 HDF	
			OVER (UNDER)	
	ACT PR YR	APPROV BUD	ACT PR YR	
	EXP 2012-13	12-13 HDF	EXP 2012-13	
	POS	AMOUNT	POS	AMOUNT
	POS	AMOUNT	POS	AMOUNT
				CODES
FINANCIAL SERVICES				43000000
PGM: FIN ACCT/PUBLIC FUNDS				43200000
RECOVERY & RETURN OF UP				43200200
SALARIES AND BENEFITS				010000
UNCLAIMED PROPERTY TF.....	2,861,890	2,898,675	36,785	2007
EXPENSES				040000
UNCLAIMED PROPERTY TF.....	710,095	779,443	69,348	2007
SPECIAL CATEGORIES				100000
CONTRACTED SERVICES				100777
UNCLAIMED PROPERTY TF.....	207,729	226,794	19,065	2007
TOTAL: RECOVERY & RETURN OF UP				43200200
BY FUND				
UNCLAIMED PROPERTY TF.....	3,779,714	3,904,912	125,198	2007

	COL A01	COL B04	COL B04-A01	
			APPROV BUD	
			12-13 HDF	
			OVER (UNDER)	
	ACT PR YR	APPROV BUD	ACT PR YR	
	EXP 2012-13	12-13 HDF	EXP 2012-13	
	POS	AMOUNT	POS	AMOUNT
			POS	AMOUNT
				CODES
FINANCIAL SERVICES				43000000
PROGRAM: FIRE MARSHAL				43300000
<u>COMPLIANCE & ENFORCEMENT</u>				43300200
SALARIES AND BENEFITS				010000
INSURANCE REG TF.....	3,294,746	3,481,377	186,631	2393
OTHER PERSONAL SERVICES				030000
INSURANCE REG TF.....	10,322	15,339	5,017	2393
SPECIAL CATEGORIES				100000
ELECTRONIC COMMERCE FEES				100064
INSURANCE REG TF.....		13,200	13,200	2393
TOTAL: COMPLIANCE & ENFORCEMENT				43300200
BY FUND				
INSURANCE REG TF.....	3,305,068	3,509,916	204,848	2393

	COL A01	COL B04	COL B04-A01	
			APPROV BUD	
			12-13 HDF	
			OVER (UNDER)	
	ACT PR YR	APPROV BUD	ACT PR YR	
	EXP 2012-13	12-13 HDF	EXP 2012-13	
	POS	AMOUNT	POS	AMOUNT
			POS	AMOUNT
FINANCIAL SERVICES				43000000
PROGRAM: FIRE MARSHAL				43300000
<u>FIRE & ARSON INVESTIGATION</u>				43300300
SALARIES AND BENEFITS				010000
INSURANCE REG TF.....	7,569,647	7,658,744	89,097	2393
	=====	=====	=====	
SPECIAL CATEGORIES				100000
CONTRACTED SERVICES				100777
INSURANCE REG TF.....	162,906	175,374	12,468	2393
	=====	=====	=====	
TOTAL: FIRE & ARSON INVESTIGATION				43300300
BY FUND				
INSURANCE REG TF.....	7,732,553	7,834,118	101,565	2393
	=====	=====	=====	

	COL A01	COL B04	COL B04-A01	
			APPROV BUD	
			12-13 HDF	
			OVER (UNDER)	
	ACT PR YR	APPROV BUD	ACT PR YR	
	EXP 2012-13	12-13 HDF	EXP 2012-13	
	POS	AMOUNT	POS	AMOUNT
				CODES
FINANCIAL SERVICES				43000000
PROGRAM: FIRE MARSHAL				43300000
<u>PROF TRAINING & STANDARDS</u>				43300400
SALARIES AND BENEFITS				010000
INSURANCE REG TF.....	1,538,544	1,578,724	40,180	2393
=====	=====	=====	=====	
OTHER PERSONAL SERVICES				030000
INSURANCE REG TF.....	190,444	200,000	9,556	2393
=====	=====	=====	=====	
SPECIAL CATEGORIES				100000
CONTRACTED SERVICES				100777
INSURANCE REG TF.....	319,499	325,497	5,998	2393
=====	=====	=====	=====	
DOMESTIC SECURITY				100851
INSURANCE REG TF.....	9,443,343	13,080,047	3,636,704	2393
=====	=====	=====	=====	
SUPP FIREFIGHTERS COMP				103725
INSURANCE REG TF.....	8,774	14,500	5,726	2393
=====	=====	=====	=====	
TOTAL: PROF TRAINING & STANDARDS				43300400
BY FUND				
INSURANCE REG TF.....	11,500,604	15,198,768	3,698,164	2393
=====	=====	=====	=====	

	COL A01	COL B04	COL B04-A01	
			APPROV BUD	
			12-13 HDF	
			OVER (UNDER)	
	ACT PR YR	APPROV BUD	ACT PR YR	
	EXP 2012-13	12-13 HDF	EXP 2012-13	
	POS	AMOUNT	POS	AMOUNT
	POS	AMOUNT	POS	AMOUNT
				CODES
FINANCIAL SERVICES				43000000
PROGRAM: FIRE MARSHAL				43300000
<u>FIRE MRSHL ADMN & SUP SRVS</u>				43300500
SALARIES AND BENEFITS				010000
INSURANCE REG TF.....	1,150,148	1,163,285	13,137	2393
EXPENSES				040000
INSURANCE REG TF.....	243,960	251,454	7,494	2393
SPECIAL CATEGORIES				100000
CONTRACTED SERVICES				100777
INSURANCE REG TF.....	175,311	189,189	13,878	2393
SUPP FIREFIGHTERS COMP				103725
INSURANCE REG TF.....	1,622	7,500	5,878	2393
TOTAL: FIRE MRSHL ADMN & SUP SRVS				43300500
BY FUND				
INSURANCE REG TF.....	1,571,041	1,611,428	40,387	2393

	COL A01	COL B04	COL B04-A01	
			APPROV BUD	
			12-13 HDF	
			OVER (UNDER)	
	ACT PR YR	APPROV BUD	ACT PR YR	
	EXP 2012-13	12-13 HDF	EXP 2012-13	
	POS	AMOUNT	POS	AMOUNT
	-----	-----	-----	-----
				CODES
FINANCIAL SERVICES				43000000
PGM: ST PROP/CASUALTY CLMS				43400000
ST SELF-INSURED CLAIMS ADJ				43400100
SALARIES AND BENEFITS				010000
STATE RISK MGMT TF.....	5,016,910	5,422,328	405,418	2078
=====	=====	=====	=====	
OTHER PERSONAL SERVICES				030000
STATE RISK MGMT TF.....	26,251	35,000	8,749	2078
=====	=====	=====	=====	
EXPENSES				040000
STATE RISK MGMT TF.....	712,559	890,292	177,733	2078
=====	=====	=====	=====	
SPECIAL CATEGORIES				100000
CONTRACTED SERVICES				100777
STATE RISK MGMT TF.....	13,550,872	14,210,951	660,079	2078
=====	=====	=====	=====	
CONTRACT LEGAL - ATTY GEN				100904
STATE RISK MGMT TF.....	5,213,175	6,302,284	1,089,109	2078
=====	=====	=====	=====	
CONTRACTED LEGAL SERVICES				100905
STATE RISK MGMT TF.....	15,158,830	18,001,020	2,842,190	2078
=====	=====	=====	=====	
EXCESS INSUR. & CLAIM SER				101221
STATE RISK MGMT TF.....	13,337,023	13,700,000	362,977	2078
=====	=====	=====	=====	
LEASE/PURCHASE/EQUIPMENT				105281
STATE RISK MGMT TF.....	18,813	24,031	5,218	2078
=====	=====	=====	=====	

COL A01		COL B04		COL B04-A01		CODES
ACT PR YR		APPROV BUD		APPROV BUD		
EXP 2012-13		12-13 HDF		12-13 HDF		
				OVER (UNDER)		
POS	AMOUNT	POS	AMOUNT	POS	AMOUNT	
FINANCIAL SERVICES						
						43000000
						43400000
						43400100
TOTAL: ST SELF-INSURED CLAIMS ADJ						
						43400100
BY FUND						
STATE RISK MGMT TF.....	53,034,433		58,585,906		5,551,473	2078
	=====		=====		=====	

	COL A01	COL B04	COL B04-A01	
			APPROV BUD	
			12-13 HDF	
			OVER (UNDER)	
	ACT PR YR	APPROV BUD	ACT PR YR	
	EXP 2012-13	12-13 HDF	EXP 2012-13	
POS	AMOUNT	POS	AMOUNT	POS
				AMOUNT
				CODES
FINANCIAL SERVICES				43000000
PGM: LICNSNG/CNSMER PROTEC				43500000
<u>INSURANCE CO REHAB/LIQDATN</u>				43500100
SALARIES AND BENEFITS				010000
INSURANCE REG TF.....	516,958	567,874	50,916	2393
=====	=====	=====	=====	
OTHER PERSONAL SERVICES				030000
INSURANCE REG TF.....		34,771	34,771	2393
=====	=====	=====	=====	
EXPENSES				040000
INSURANCE REG TF.....	93,719	119,364	25,645	2393
=====	=====	=====	=====	
SPECIAL CATEGORIES				100000
CONTRACTED SERVICES				100777
INSURANCE REG TF.....	56,447	232,517	176,070	2393
=====	=====	=====	=====	
TOTAL: INSURANCE CO REHAB/LIQDATN				43500100
BY FUND				
INSURANCE REG TF.....	667,124	954,526	287,402	2393
=====	=====	=====	=====	

	COL A01	COL B04	COL B04-A01	
			APPROV BUD	
			12-13 HDF	
			OVER (UNDER)	
	ACT PR YR	APPROV BUD	ACT PR YR	
	EXP 2012-13	12-13 HDF	EXP 2012-13	
POS	AMOUNT	POS	AMOUNT	POS
				AMOUNT
				CODES
FINANCIAL SERVICES				43000000
PGM: LICNSNG/CNSMER PROTEC				43500000
LICENSURE, SALES/APPT/OVST				43500200
SALARIES AND BENEFITS				010000
INSURANCE REG TF.....	6,178,449	6,529,769	351,320	2393
EXPENSES				040000
INSURANCE REG TF.....	963,080	1,044,418	81,338	2393
SPECIAL CATEGORIES				100000
ELECTRONIC COMMERCE FEES				100064
INSURANCE REG TF.....	932,664	2,100,000	1,167,336	2393
CONTRACTED SERVICES				100777
INSURANCE REG TF.....	1,314,176	2,184,892	870,716	2393
TOTAL: LICENSURE, SALES/APPT/OVST				43500200
BY FUND				
INSURANCE REG TF.....	9,388,369	11,859,079	2,470,710	2393

	COL A01	COL B04	COL B04-A01	
			APPROV BUD	
			12-13 HDF	
			OVER (UNDER)	
	ACT PR YR	APPROV BUD	ACT PR YR	
	EXP 2012-13	12-13 HDF	EXP 2012-13	
	POS	AMOUNT	POS	AMOUNT
	POS	AMOUNT	POS	AMOUNT
				CODES
FINANCIAL SERVICES				43000000
PGM: LICNSNG/CNSMER PROTEC				43500000
INSURANCE FRAUD				43500300
SALARIES AND BENEFITS				010000
INSURANCE REG TF.....	11,498,562	11,817,863	319,301	2393
OPERATING CAPITAL OUTLAY				060000
INSURANCE REG TF.....	92,489	101,931	9,442	2393
SPECIAL CATEGORIES				100000
CONTRACTED SERVICES				100777
INSURANCE REG TF	310,794	344,617	33,823	2393
TOTAL APPRO.....	341,419	375,342	33,923	
TOTAL: INSURANCE FRAUD				43500300
BY FUND				
INSURANCE REG TF	11,901,845	12,264,411	362,566	2393
TOTAL BUREAU.....	11,932,470	12,295,136	362,666	

	COL A01	COL B04	COL B04-A01	
			APPROV BUD	
			12-13 HDF	
			OVER (UNDER)	
	ACT PR YR	APPROV BUD	ACT PR YR	
	EXP 2012-13	12-13 HDF	EXP 2012-13	
POS	AMOUNT	POS	AMOUNT	POS
				AMOUNT
				CODES
FINANCIAL SERVICES				43000000
PGM: LICNSNG/CNSMER PROTEC				43500000
CONSUMER ASSISTANCE				43500400
SALARIES AND BENEFITS				010000
INSURANCE REG TF.....	5,451,171	6,035,078	583,907	2393
OTHER PERSONAL SERVICES				030000
INSURANCE REG TF.....	119,569	135,231	15,662	2393
EXPENSES				040000
INSURANCE REG TF.....	735,045	993,435	258,390	2393
SPECIAL CATEGORIES				100000
CONTRACTED SERVICES				100777
INSURANCE REG TF.....	207,160	595,374	388,214	2393
TOTAL: CONSUMER ASSISTANCE				43500400
BY FUND				
INSURANCE REG TF.....	6,512,945	7,759,118	1,246,173	2393

	COL A01	COL B04	COL B04-A01	
			APPROV BUD	
			12-13 HDF	
			OVER (UNDER)	
	ACT PR YR	APPROV BUD	ACT PR YR	
	EXP 2012-13	12-13 HDF	EXP 2012-13	
	POS	AMOUNT	POS	AMOUNT
				CODES
FINANCIAL SERVICES				43000000
PGM: LICNSNG/CNSMER PROTEC				43500000
<u>FUNERAL/CEMETERY SERVICES</u>				43500500
SALARIES AND BENEFITS				010000
REGULATORY TRUST FUND.....	1,289,364	1,372,926	83,562	2573
=====	=====	=====	=====	
OTHER PERSONAL SERVICES				030000
REGULATORY TRUST FUND.....	46,954	55,000	8,046	2573
=====	=====	=====	=====	
EXPENSES				040000
REGULATORY TRUST FUND.....	241,013	332,210	91,197	2573
=====	=====	=====	=====	
OPERATING CAPITAL OUTLAY				060000
REGULATORY TRUST FUND.....		9,500	9,500	2573
=====	=====	=====	=====	
SPECIAL CATEGORIES				100000
CONTRACTED SERVICES				100777
REGULATORY TRUST FUND.....	80,738	113,325	32,587	2573
=====	=====	=====	=====	
TOTAL: FUNERAL/CEMETERY SERVICES				43500500
BY FUND				
REGULATORY TRUST FUND.....	1,658,069	1,882,961	224,892	2573
=====	=====	=====	=====	

	COL A01	COL B04	COL B04-A01	
			APPROV BUD	
			12-13 HDF	
			OVER (UNDER)	
	ACT PR YR	APPROV BUD	ACT PR YR	
	EXP 2012-13	12-13 HDF	EXP 2012-13	
	POS AMOUNT	POS AMOUNT	POS AMOUNT	CODES
	-----	-----	-----	
FINANCIAL SERVICES				43000000
PGM: LICNSNG/CNSMER PROTEC				43500000
<u>PUBLIC ASSISTANCE FRAUD</u>				43500700
SALARIES AND BENEFITS				010000
ADMINISTRATIVE TRUST FUND		148,794	148,794	2021
FEDERAL GRANTS TRUST FUND	1,726,279	2,708,290	982,011	2261
INSURANCE REG TF	1,847,384	1,878,733	31,349	2393
TOTAL APPRO.....	3,573,663	4,735,817	1,162,154	
	=====	=====	=====	
EXPENSES				040000
FEDERAL GRANTS TRUST FUND		30,869	30,869	2261
INSURANCE REG TF	388,103	425,770	37,667	2393
TOTAL APPRO.....	388,103	456,639	68,536	
	=====	=====	=====	
OPERATING CAPITAL OUTLAY				060000
INSURANCE REG TF.....		20,000	20,000	2393
	=====	=====	=====	
SPECIAL CATEGORIES				100000
CONTRACTED SERVICES				100777
FEDERAL GRANTS TRUST FUND		60,527	60,527	2261
INSURANCE REG TF	164,322	183,291	18,969	2393
TOTAL APPRO.....	164,322	243,818	79,496	
	=====	=====	=====	
OPERATION/MOTOR VEHICLES				102289
FEDERAL GRANTS TRUST FUND.....		20,000	20,000	2261
	=====	=====	=====	

	COL A01	COL B04	COL B04-A01	
			APPROV BUD	
			12-13 HDF	
			OVER (UNDER)	
	ACT PR YR	APPROV BUD	ACT PR YR	
	EXP 2012-13	12-13 HDF	EXP 2012-13	
	POS	AMOUNT	POS	AMOUNT
	POS	AMOUNT	POS	AMOUNT
				CODES
FINANCIAL SERVICES				43000000
PGM: LICNSNG/CNSMER PROTEC				43500000
<u>PUBLIC ASSISTANCE FRAUD</u>				43500700
DATA PROCESSING SERVICES				210000
OTHER DATA PROCESSING SVCS				210014
INSURANCE REG TF	1,550	10,000	8,450	2393
TOTAL APPRO.....	1,550	15,000	13,450	
TOTAL: PUBLIC ASSISTANCE FRAUD				43500700
BY FUND				
ADMINISTRATIVE TRUST FUND		148,794	148,794	2021
FEDERAL GRANTS TRUST FUND	1,726,279	2,824,686	1,098,407	2261
INSURANCE REG TF	2,401,359	2,517,794	116,435	2393
TOTAL BUREAU.....	4,127,638	5,491,274	1,363,636	

	COL A01	COL B04	COL B04-A01	
			APPROV BUD	
			12-13 HDF	
			OVER (UNDER)	
	ACT PR YR	APPROV BUD	ACT PR YR	
	EXP 2012-13	12-13 HDF	EXP 2012-13	
	POS	AMOUNT	POS	AMOUNT
				CODES
FINANCIAL SERVICES				43000000
PGM: WORKERS' COMPENSATION				43600000
WORKERS' COMPENSATION				43600100
SALARIES AND BENEFITS				010000
WORKERS' COMP ADMIN TF	14,215,867	15,137,673	921,806	2795
WORKERS' COMP SPEC DISAB TF	733,281	881,732	148,451	2798
TOTAL APPRO.....	14,949,148	16,019,405	1,070,257	
OTHER PERSONAL SERVICES				030000
WORKERS' COMP ADMIN TF	147,175	579,410	432,235	2795
TOTAL APPRO.....	160,264	596,960	436,696	
EXPENSES				040000
WORKERS' COMP ADMIN TF	3,287,426	3,476,861	189,435	2795
WORKERS' COMP SPEC DISAB TF	112,277	127,570	15,293	2798
TOTAL APPRO.....	3,399,703	3,604,431	204,728	
OPERATING CAPITAL OUTLAY				060000
WORKERS' COMP ADMIN TF	94,704	100,021	5,317	2795
WORKERS' COMP SPEC DISAB TF		16,851	16,851	2798
TOTAL APPRO.....	94,704	116,872	22,168	
SPECIAL CATEGORIES				100000
ELECTRONIC COMMERCE FEES				100064
WORKERS' COMP ADMIN TF.....	82,277	288,000	205,723	2795
TR DIST CT OF AP-WORK COMP				100507
WORKERS' COMP ADMIN TF.....	1,761,055	1,768,300	7,245	2795

	COL A01	COL B04	COL B04-A01	
			APPROV BUD	
			12-13 HDF	
			OVER (UNDER)	
	ACT PR YR	APPROV BUD	ACT PR YR	
	EXP 2012-13	12-13 HDF	EXP 2012-13	
POS	AMOUNT	POS	AMOUNT	POS
				AMOUNT
				CODES
FINANCIAL SERVICES				43000000
PGM: WORKERS' COMPENSATION				43600000
<u>WORKERS' COMPENSATION</u>				43600100
SPECIAL CATEGORIES				100000
CONTRACTED SERVICES				100777
WORKERS' COMP ADMIN TF	2,128,827	2,547,656	418,829	2795
WORKERS' COMP SPEC DISAB TF	58,310	86,360	28,050	2798
TOTAL APPRO.....	2,187,137	2,634,016	446,879	
PURCHASED CLIENT SERVICES				102933
WORKERS' COMP ADMIN TF.....	153,459	2,400,000	2,246,541	2795
LEASE/PURCHASE/EQUIPMENT				105281
WORKERS' COMP ADMIN TF	66,689	75,820	9,131	2795
TOTAL APPRO.....	67,955	77,400	9,445	
TOTAL: WORKERS' COMPENSATION				43600100
BY FUND				
WORKERS' COMP ADMIN TF	21,937,479	26,373,741	4,436,262	2795
WORKERS' COMP SPEC DISAB TF	918,223	1,131,643	213,420	2798
TOTAL BUREAU.....	22,855,702	27,505,384	4,649,682	

	COL A01	COL B04	COL B04-A01	
			APPROV BUD	
			12-13 HDF	
			OVER (UNDER)	
	ACT PR YR	APPROV BUD	ACT PR YR	
	EXP 2012-13	12-13 HDF	EXP 2012-13	
	POS	AMOUNT	POS	AMOUNT
	POS	AMOUNT	POS	AMOUNT
				CODES
FINANCIAL SERVICES				43000000
PGM: FINANCIAL SVCS COMM				43900000
OFFICE OF INSURANCE REG				43900100
COMP & ENFORCE- INSURANCE				43900110
SALARIES AND BENEFITS				010000
INSURANCE REG TF.....	14,975,603	15,090,133	114,530	2393
EXPENSES				040000
INSURANCE REG TF.....	2,033,393	2,402,374	368,981	2393
OPERATING CAPITAL OUTLAY				060000
INSURANCE REG TF.....	86,337	94,000	7,663	2393
SPECIAL CATEGORIES				100000
PROPERTY/CASUALTY EXAMS				100523
INSURANCE REG TF.....	1,628,933	4,651,763	3,022,830	2393
LIFE AND HEALTH EXAMS				100524
INSURANCE REG TF.....	195,939	275,000	79,061	2393
CONTRACTED SERVICES				100777
INSURANCE REG TF.....	631,482	768,016	136,534	2393
TOTAL: COMP & ENFORCE- INSURANCE				43900110
BY FUND				
INSURANCE REG TF.....	19,551,687	23,281,286	3,729,599	2393

	COL A01	COL B04	COL B04-A01	
			APPROV BUD	
			12-13 HDF	
			OVER (UNDER)	
	ACT PR YR	APPROV BUD	ACT PR YR	
	EXP 2012-13	12-13 HDF	EXP 2012-13	
	POS	AMOUNT	POS	AMOUNT
				AMOUNT
				CODES
FINANCIAL SERVICES				43000000
PGM: FINANCIAL SVCS COMM				43900000
OFFICE OF INSURANCE REG				43900100
<u>EXEC DIR & SUPORT SERVICES</u>				43900120
<u>SALARIES AND BENEFITS</u>				010000
INSURANCE REG TF.....	2,499,588	2,542,850	43,262	2393
	=====	=====	=====	
SPECIAL CATEGORIES				100000
CONTRACTED SERVICES				100777
INSURANCE REG TF.....	106,973	117,710	10,737	2393
	=====	=====	=====	
TOTAL: EXEC DIR & SUPORT SERVICES				43900120
BY FUND				
INSURANCE REG TF.....	2,606,561	2,660,560	53,999	2393
	=====	=====	=====	

	COL A01	COL B04	COL B04-A01	
			APPROV BUD	
			12-13 HDF	
			OVER (UNDER)	
	ACT PR YR	APPROV BUD	ACT PR YR	
	EXP 2012-13	12-13 HDF	EXP 2012-13	
	POS	AMOUNT	POS	AMOUNT
	-----	-----	-----	-----
FINANCIAL SERVICES				43000000
PGM: FINANCIAL SVCS COMM				43900000
OFFICE OF FINANCIAL REG				43900500
<u>SFTY & SOUND ST BKG SYST</u>				43900530
SALARIES AND BENEFITS				010000
FINANCIAL INST REG TF.....	7,610,855	8,495,300	884,445	2275
	=====	=====	=====	
OTHER PERSONAL SERVICES				030000
FINANCIAL INST REG TF.....	767,790	872,000	104,210	2275
	=====	=====	=====	
EXPENSES				040000
FINANCIAL INST REG TF.....	1,598,314	1,747,752	149,438	2275
	=====	=====	=====	
SPECIAL CATEGORIES				100000
CONTRACTED SERVICES				100777
FINANCIAL INST REG TF.....	214,329	367,012	152,683	2275
	=====	=====	=====	
LEASE/PURCHASE/EQUIPMENT				105281
FINANCIAL INST REG TF.....	20,608	28,872	8,264	2275
	=====	=====	=====	
TOTAL: SFTY & SOUND ST BKG SYST				43900530
BY FUND				
FINANCIAL INST REG TF.....	10,211,896	11,510,936	1,299,040	2275
	=====	=====	=====	

	COL A01	COL B04	COL B04-A01	
			APPROV BUD	
			12-13 HDF	
			OVER (UNDER)	
	ACT PR YR	APPROV BUD	ACT PR YR	
	EXP 2012-13	12-13 HDF	EXP 2012-13	
	POS	AMOUNT	POS	AMOUNT
	-----	-----	-----	-----
FINANCIAL SERVICES				43000000
PGM: FINANCIAL SVCS COMM				43900000
OFFICE OF FINANCIAL REG				43900500
FINANCIAL INVESTIGATIONS				43900540
SALARIES AND BENEFITS				010000
ADMINISTRATIVE TRUST FUND.....	1,911,233	2,370,704	459,471	2021
	=====	=====	=====	
EXPENSES				040000
ADMINISTRATIVE TRUST FUND	293,823	493,557	199,734	2021
FED LAW ENFORCEMENT TF	1,629	51,758	50,129	2719
	-----	-----	-----	
TOTAL APPRO.....	295,452	545,315	249,863	
	=====	=====	=====	
OPERATING CAPITAL OUTLAY				060000
ADMINISTRATIVE TRUST FUND.....	1,005	10,600	9,595	2021
	=====	=====	=====	
SPECIAL CATEGORIES				100000
CONTRACTED SERVICES				100777
ADMINISTRATIVE TRUST FUND.....	12,479	36,354	23,875	2021
	=====	=====	=====	
LEASE/PURCHASE/EQUIPMENT				105281
ADMINISTRATIVE TRUST FUND.....	8,324	15,809	7,485	2021
	=====	=====	=====	
TOTAL: FINANCIAL INVESTIGATIONS				43900540
BY FUND				
ADMINISTRATIVE TRUST FUND	2,226,864	2,927,024	700,160	2021
FED LAW ENFORCEMENT TF	1,629	51,758	50,129	2719
	-----	-----	-----	
TOTAL SUB-BUREAU.....	2,228,493	2,978,782	750,289	
	=====	=====	=====	

	COL A01	COL B04	COL B04-A01	
			APPROV BUD	
			12-13 HDF	
			OVER (UNDER)	
	ACT PR YR	APPROV BUD	ACT PR YR	
	EXP 2012-13	12-13 HDF	EXP 2012-13	
	POS	AMOUNT	POS	AMOUNT
	-----	-----	-----	-----
FINANCIAL SERVICES				43000000
PGM: FINANCIAL SVCS COMM				43900000
OFFICE OF FINANCIAL REG				43900500
<u>EXEC DIR & SUPPORT SERVICE</u>				43900550
SALARIES AND BENEFITS				010000
ADMINISTRATIVE TRUST FUND.....	1,477,908	1,776,145	298,237	2021
	=====	=====	=====	
OTHER PERSONAL SERVICES				030000
ADMINISTRATIVE TRUST FUND.....	17,887	150,000	132,113	2021
	=====	=====	=====	
EXPENSES				040000
ADMINISTRATIVE TRUST FUND.....	210,928	422,548	211,620	2021
	=====	=====	=====	
SPECIAL CATEGORIES				100000
CONTRACTED SERVICES				100777
ADMINISTRATIVE TRUST FUND.....	24,171	61,048	36,877	2021
	=====	=====	=====	
DATA PROCESSING SERVICES				210000
REAL SYSTEM - OFR				210016
ADMINISTRATIVE TRUST FUND.....	2,077,074	2,181,547	104,473	2021
	=====	=====	=====	
TOTAL: EXEC DIR & SUPPORT SERVICE				43900550
BY FUND				
ADMINISTRATIVE TRUST FUND.....	3,807,968	4,591,288	783,320	2021
	=====	=====	=====	

	COL A01	COL B04	COL B04-A01	
			APPROV BUD	
			12-13 HDF	
			OVER (UNDER)	
	ACT PR YR	APPROV BUD	ACT PR YR	
	EXP 2012-13	12-13 HDF	EXP 2012-13	
	POS	AMOUNT	POS	AMOUNT
	POS	AMOUNT	POS	AMOUNT
				CODES
FINANCIAL SERVICES				43000000
PGM: FINANCIAL SVCS COMM				43900000
OFFICE OF FINANCIAL REG				43900500
FINANCE REGULATION				43900560
SALARIES AND BENEFITS				010000
REGULATORY TRUST FUND.....	4,952,251	5,660,620	708,369	2573
=====	=====	=====	=====	
OTHER PERSONAL SERVICES				030000
REGULATORY TRUST FUND.....	28,573	130,000	101,427	2573
=====	=====	=====	=====	
EXPENSES				040000
REGULATORY TRUST FUND.....	657,429	838,494	181,065	2573
=====	=====	=====	=====	
SPECIAL CATEGORIES				100000
CONTRACTED SERVICES				100777
REGULATORY TRUST FUND.....	3,410,945	3,416,565	5,620	2573
=====	=====	=====	=====	
LEASE/PURCHASE/EQUIPMENT				105281
REGULATORY TRUST FUND.....	27,208	34,995	7,787	2573
=====	=====	=====	=====	
TOTAL: FINANCE REGULATION				43900560
BY FUND				
REGULATORY TRUST FUND.....	9,076,406	10,080,674	1,004,268	2573
=====	=====	=====	=====	

	COL A01	COL B04	COL B04-A01	
			APPROV BUD	
			12-13 HDF	
			OVER (UNDER)	
	ACT PR YR	APPROV BUD	ACT PR YR	
	EXP 2012-13	12-13 HDF	EXP 2012-13	
	POS	AMOUNT	POS	AMOUNT
	-----	-----	-----	-----
FINANCIAL SERVICES				43000000
PGM: FINANCIAL SVCS COMM				43900000
OFFICE OF FINANCIAL REG				43900500
SECURITIES REGULATION				43900570
<u>SALARIES AND BENEFITS</u>				010000
REGULATORY TRUST FUND.....	4,847,746	6,311,004	1,463,258	2573
	=====	=====	=====	
OTHER PERSONAL SERVICES				030000
ANTI-FRAUD TRUST FUND	580	32,538	31,958	2038
TOTAL APPRO.....	580	37,004	36,424	
	=====	=====	=====	
EXPENSES				040000
ANTI-FRAUD TRUST FUND	4,468	62,885	58,417	2038
REGULATORY TRUST FUND	466,099	681,023	214,924	2573
TOTAL APPRO.....	470,567	743,908	273,341	
	=====	=====	=====	
OPERATING CAPITAL OUTLAY				060000
ANTI-FRAUD TRUST FUND	9,585	24,528	14,943	2038
TOTAL APPRO.....	9,585	29,094	19,509	
	=====	=====	=====	
SPECIAL CATEGORIES				100000
CONTRACTED SERVICES				100777
REGULATORY TRUST FUND	23,648	349,500	325,852	2573
TOTAL APPRO.....	103,696	429,549	325,853	
	=====	=====	=====	


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* BPEXBL01                                STATISTICAL INFORMATION                10/15/2013 11:08:44:*
* BUDGET PERIOD: 2004-2015                EXHIBIT B REPORT REQUEST                TJM 43      SP      *
* COMPILE DATE: 08/21/2013                COMPILE TIME: 14:36:23                PAGE:      1      *
*****
*
*          SAVE INITIALS:          SAVE DEPARTMENT: 07      SAVE ID: EXBB
* -----
* ITEMIZATION OF EXPENDITURE:          IOE ACCUMULATION LEVEL: 0 (1=OPER/FCO, 2=IOE, 0=MERGED)
* SECTION:          MERGE SECTIONS (Y/N): Y
* MERGE GROUPS (Y/N): Y
* BUDGET ENTITY OR GROUP/ACCUMULATION LEVEL (DEP, DIV, BUR, SUB, LBE, MRG):
*   1-7: 43      LBE
*   8-14:
*   15-21:
*   22-27:
* EXCLUDE:
*
* PROGRAM COMPONENT/ACCUMULATION LEVEL (1, 2, 3, 4 OR 5 FOR 2, 4, 6, 8 OR 10 DIGITS, 0=MERGED):
*   0          0          0          0          0          0
*
* APPROPRIATION CATEGORY OR GROUP/ACCUMULATION LEVEL (1=MAJOR, 2=MINOR, 0=MERGED):
*   2
* FUND GROUPS SET:          OR FUND:          FUNDING SOURCE IDENTIFIER:          MERGE FSI (Y/N): Y
* FCO (Y/N): N      FTE (Y/N): N          SALARY RATE (Y/N): N
* -----
* COLUMN SELECTION/P=PERCENTAGE OF TOTAL COLUMN:
*   A01          B04          B04-A01          CODES
*
* REPORT COLUMNS WITH CALCULATION DIFFERENCE ONLY (Y/N): Y THAT EXCEED:          5,000
*
* LEVELS OF TOTALS: (N=NO TOTAL, L=LINE TOTAL, T=BY FUND TYPE, D=BY DETAIL FUND, B=BY DETAIL FUND AND FUND TYPE,
*   G=FUND GROUP LINE TOTALS, E=BY DETAIL FUND AND FUND GROUP)
*   RUN: N      ITEM OF EXP: N      GROUP/SECTION: N      DEPARTMENT: T      DIVISION: N      BUREAU: N      SUB-BUREAU: N
*   LBE: D      PROG COMP: N      MAJOR APP CAT: N      MINOR APP CAT: D
*
* APPROPRIATION CATEGORY TITLES: S          SORT OPTION: A          REPORT SEQUENCE:
*   (S=SHORT, L=LONG)          A=ITEM OF EXP/BUDGET ENTITY          DEPT/BUDGET ENTITY: N      A=ALPHABETICAL
*   B=BUDGET ENTITY/ITEM OF EXP          PROGRAM COMPONENT: N      N=NUMERICAL
* -----
*   DEPARTMENT NARRATIVE SET:
*   BUDGET ENTITY NARRATIVE SET:
*
* INCLUDE COLUMN CODES (Y/N): Y
*
* OUTPUT FORMAT: L          PAGE BREAKS: LBE
*   L=LANDSCAPE          (IOE, GRP, DEP, DIV, BUR,      REPORT HEADING:          EXHIBIT B COMPARISON REPORT
*   P=PORTRAIT          SUB, LBE, PRC, MAC, NAC)          ACTUAL PR YR EXPENDITURES 2012-13
*                                          COMPARED TO 2012-13 APPROVED BUDGET
* -----

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* BPEXBL01                               STATISTICAL INFORMATION                10/15/2013 11:08:44:*
* BUDGET PERIOD: 2004-2015                EXHIBIT B REPORT REQUEST                TJM 43      SP      *
* COMPILE DATE: 08/21/2013                COMPILE TIME: 14:36:23                  PAGE:      2      *
*****
*
* TOTAL NUMBER RECORDS READ FROM SORT:    585
* TOTAL NUMBER RECORDS READ FROM CARD:    34
* TOTAL NUMBER RECORDS READ FROM ACF:     40
* TOTAL NUMBER RECORDS READ FROM BEF:    120
* TOTAL NUMBER RECORDS READ FROM BEN:     0
* TOTAL NUMBER RECORDS READ FROM BGF:     0
* TOTAL NUMBER RECORDS READ FROM FCF:    14
* TOTAL NUMBER RECORDS READ FROM FSF:     0
* TOTAL NUMBER RECORDS READ FROM IEF:     0
* TOTAL NUMBER RECORDS READ FROM PCF:     0
* TOTAL NUMBER RECORDS READ FROM SNF:     0
*
*****

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COL B07-A02
BACK UP OF
A02
OVER(UNDER)
CURR YR EST
EXP 2013-14
POS AMOUNT

CODES

RECORDS SELECTED NET TO ZERO

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* BPEXBL01                                STATISTICAL INFORMATION                10/15/2013 11:08:49:*
* BUDGET PERIOD: 2004-2015                EXHIBIT B REPORT REQUEST                TJM 43      SP      *
* COMPILE DATE: 08/21/2013                COMPILE TIME: 14:36:23                PAGE:      1      *
*****
*
*          SAVE INITIALS:          SAVE DEPARTMENT: 07      SAVE ID: EXBC
* -----
* ITEMIZATION OF EXPENDITURE:          IOE ACCUMULATION LEVEL: 0 (1=OPER/FCO, 2=IOE, 0=MERGED)
* SECTION:                            MERGE SECTIONS (Y/N): Y
* MERGE GROUPS (Y/N): Y
* BUDGET ENTITY OR GROUP/ACCUMULATION LEVEL (DEP, DIV, BUR, SUB, LBE, MRG):
*   1-7: 43      LBE
*   8-14:
*   15-21:
*   22-27:
* EXCLUDE:
*
* PROGRAM COMPONENT/ACCUMULATION LEVEL (1, 2, 3, 4 OR 5 FOR 2, 4, 6, 8 OR 10 DIGITS, 0=MERGED):
*   5
*
* APPROPRIATION CATEGORY OR GROUP/ACCUMULATION LEVEL (1=MAJOR, 2=MINOR, 0=MERGED):
*   2
* FUND GROUPS SET:          OR FUND:          FUNDING SOURCE IDENTIFIER:          MERGE FSI (Y/N): Y
* FCO (Y/N): Y      FTE (Y/N): Y          SALARY RATE (Y/N): N
* -----
* COLUMN SELECTION/P=PERCENTAGE OF TOTAL COLUMN:
*          B07-A02
*
*          CODES
*
* REPORT COLUMNS WITH CALCULATION DIFFERENCE ONLY (Y/N): N THAT EXCEED:
*
* LEVELS OF TOTALS: (N=NO TOTAL, L=LINE TOTAL, T=BY FUND TYPE, D=BY DETAIL FUND, B=BY DETAIL FUND AND FUND TYPE,
* G=FUND GROUP LINE TOTALS, E=BY DETAIL FUND AND FUND GROUP)
* RUN: T      ITEM OF EXP: N      GROUP/SECTION: N      DEPARTMENT: T      DIVISION: T      BUREAU: T      SUB-BUREAU: T
* LBE: T      PROG COMP: D      MAJOR APP CAT: N      MINOR APP CAT: D
*
*
* APPROPRIATION CATEGORY TITLES: S          SORT OPTION: A          REPORT SEQUENCE:
* (S=SHORT, L=LONG)          A=ITEM OF EXP/BUDGET ENTITY          DEPT/BUDGET ENTITY: N A=ALPHABETICAL
*          B=BUDGET ENTITY/ITEM OF EXP          PROGRAM COMPONENT: N N=NUMERICAL
* -----
* DEPARTMENT NARRATIVE SET:
* BUDGET ENTITY NARRATIVE SET:
*
* INCLUDE COLUMN CODES (Y/N): Y
*
*
* OUTPUT FORMAT: L          PAGE BREAKS:
* L=LANDSCAPE          (IOE, GRP, DEP, DIV, BUR,      REPORT HEADING: COMPARISON REPORT FOR
* P=PORTRAIT          SUB, LBE, PRC, MAC, NAC)          CURRENT YEAR ESTIMATED
*
*
*
* -----

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* BPEXBL01                               STATISTICAL INFORMATION                10/15/2013 11:08:49:*
* BUDGET PERIOD: 2004-2015                EXHIBIT B REPORT REQUEST                TJM 43      SP      *
* COMPILE DATE: 08/21/2013                COMPILE TIME: 14:36:23                    PAGE:      2      *
*****
*
* TOTAL NUMBER RECORDS READ FROM SORT:      345
* TOTAL NUMBER RECORDS READ FROM CARD:      34
* TOTAL NUMBER RECORDS READ FROM ACF:       47
* TOTAL NUMBER RECORDS READ FROM BEF:       62
* TOTAL NUMBER RECORDS READ FROM BEN:       0
* TOTAL NUMBER RECORDS READ FROM BGF:       0
* TOTAL NUMBER RECORDS READ FROM FCF:       0
* TOTAL NUMBER RECORDS READ FROM FSF:       0
* TOTAL NUMBER RECORDS READ FROM IEF:       0
* TOTAL NUMBER RECORDS READ FROM PCF:       13
* TOTAL NUMBER RECORDS READ FROM SNF:       0
*
*****

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BUDGET ENTITY	CODE	ERROR MESSAGE	PAGE
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THERE WERE 0 ERRORS DETECTED

	COL A03		COL A12		COL A03-A12	
	AGY REQUEST		AGY FIN REQ		AGY REQUEST	
	FY 2014-15		FY 2014-15		FY 2014-15	
	POS	AMOUNT	POS	AMOUNT	POS	AMOUNT
						CODES
FINANCIAL SERVICES						43000000
PROGRAM: TREASURY						43100000
<u>DEPOSIT SECURITY</u>						43100200
TRUST FUNDS.....	23.00	1,899,937	23.00	1,899,937		2000
<u>ST FUNDS MGT & INVESTMENT</u>						43100300
TRUST FUNDS.....	27.50	3,006,839	27.50	3,006,839		2000
<u>SUP RETIREMENT PLAN</u>						43100400
TRUST FUNDS.....	12.00	1,769,195	12.00	1,769,195		2000
TOTAL: PROGRAM: TREASURY						43100000
BY FUND TYPE						
TRUST FUNDS.....	62.50	6,675,971	62.50	6,675,971		2000
PGM: FIN ACCT/PUBLIC FUNDS						43200000
<u>ST FINAN INFO/ST AGY ACCTG</u>						43200100
GENERAL REVENUE FUND		12,662,878		12,662,878		1000
TRUST FUNDS		3,823,409		3,823,409		2000
TOTAL POSITIONS.....	173.00		173.00			
TOTAL BUREAU.....		16,486,287		16,486,287		
<u>RECOVERY & RETURN OF UP</u>						43200200
TRUST FUNDS.....	64.00	4,715,893	64.00	4,715,893		2000
TOTAL: PGM: FIN ACCT/PUBLIC FUNDS						43200000
BY FUND TYPE						
GENERAL REVENUE FUND		12,662,878		12,662,878		1000
TRUST FUNDS		8,539,302		8,539,302		2000
TOTAL POSITIONS.....	237.00		237.00			
TOTAL DIVISION.....		21,202,180		21,202,180		

	COL A03		COL A12		COL A03-A12	
	AGY REQUEST		AGY FIN REQ		AGY REQUEST	
	FY 2014-15		FY 2014-15		FY 2014-15	
	POS	AMOUNT	POS	AMOUNT	POS	AMOUNT
						CODES
FINANCIAL SERVICES						43000000
PROGRAM: FIRE MARSHAL						43300000
<u>COMPLIANCE & ENFORCEMENT</u>						43300200
TRUST FUNDS.....	68.00	4,703,059	68.00	4,703,059		2000
	=====	=====	=====	=====		
<u>FIRE & ARSON INVESTIGATION</u>						43300300
TRUST FUNDS.....	127.00	11,607,191	127.00	11,607,191		2000
	=====	=====	=====	=====		
<u>PROF TRAINING & STANDARDS</u>						43300400
TRUST FUNDS.....	29.00	6,310,343	29.00	6,310,343		2000
	=====	=====	=====	=====		
<u>FIRE MRSHL ADMN & SUP SRVS</u>						43300500
TRUST FUNDS.....	16.00	2,495,945	16.00	2,495,945		2000
	=====	=====	=====	=====		
TOTAL: PROGRAM: FIRE MARSHAL						43300000
BY FUND TYPE						
TRUST FUNDS.....	240.00	25,116,538	240.00	25,116,538		2000
	=====	=====	=====	=====		
PGM: ST PROP/CASUALTY CLMS						43400000
<u>ST SELF-INSURED CLAIMS ADJ</u>						43400100
TRUST FUNDS.....	113.00	61,686,548	113.00	61,686,548		2000
	=====	=====	=====	=====		
PGM: LICNSNG/CNSMER PROTEC						43500000
<u>INSURANCE CO REHAB/LIQDATN</u>						43500100
TRUST FUNDS.....	1.00	602,696	1.00	602,696		2000
	=====	=====	=====	=====		
<u>LICENSURE, SALES/APPT/OVST</u>						43500200
TRUST FUNDS.....	116.00	9,579,447	116.00	9,579,447		2000
	=====	=====	=====	=====		

	COL A03		COL A12		COL A03-A12		
	AGY REQUEST		AGY FIN REQ		AGY REQUEST		
	FY 2014-15		FY 2014-15		FY 2014-15		
	POS	AMOUNT	POS	AMOUNT	POS	AMOUNT	CODES
<u>FINANCIAL SERVICES</u>							43000000
PGM: LICNSNG/CNSMER PROTEC							43500000
<u>INSURANCE FRAUD</u>							43500300
TRUST FUNDS.....	191.00	18,575,185	191.00	18,575,185			2000
<u>CONSUMER ASSISTANCE</u>							43500400
TRUST FUNDS.....	119.00	9,392,959	119.00	9,392,959			2000
<u>FUNERAL/CEMETERY SERVICES</u>							43500500
TRUST FUNDS.....	23.00	1,965,298	23.00	1,965,298			2000
<u>PUBLIC ASSISTANCE FRAUD</u>							43500700
TRUST FUNDS.....	62.00	5,176,506	62.00	5,176,506			2000
TOTAL: PGM: LICNSNG/CNSMER PROTEC							43500000
BY FUND TYPE							
TRUST FUNDS.....	512.00	45,292,091	512.00	45,292,091			2000
<u>PGM: WORKERS' COMPENSATION</u>							43600000
<u>WORKERS' COMPENSATION</u>							43600100
TRUST FUNDS.....	297.00	28,384,445	297.00	28,384,445			2000
<u>PGM: FINANCIAL SVCS COMM</u>							43900000
<u>OFFICE OF INSURANCE REG</u>							43900100
<u>COMP & ENFORCE- INSURANCE</u>							43900110
TRUST FUNDS.....	254.00	25,881,985	254.00	25,881,985			2000
<u>EXEC DIR & SUPORT SERVICES</u>							43900120
TRUST FUNDS.....	34.00	2,877,918	34.00	2,877,918			2000

	COL A03		COL A12		COL A03-A12		
	AGY REQUEST		AGY FIN REQ		AGY REQUEST		
	FY 2014-15		FY 2014-15		FY 2014-15		
	POS	AMOUNT	POS	AMOUNT	POS	AMOUNT	CODES
	-----	-----	-----	-----	-----	-----	-----
FINANCIAL SERVICES							43000000
PGM: FINANCIAL SVCS COMM							43900000
OFFICE OF INSURANCE REG							43900100
TOTAL: OFFICE OF INSURANCE REG							43900100
BY FUND TYPE							
TRUST FUNDS.....	288.00	28,759,903	288.00	28,759,903			2000
	=====	=====	=====	=====			
OFFICE OF FINANCIAL REG							43900500
SFTY & SOUND ST BKG SYST							43900530
TRUST FUNDS.....	114.00	11,830,576	114.00	11,830,576			2000
	=====	=====	=====	=====			
FINANCIAL INVESTIGATIONS							43900540
TRUST FUNDS.....	39.00	3,348,097	39.00	3,348,097			2000
	=====	=====	=====	=====			
EXEC DIR & SUPPORT SERVICE							43900550
TRUST FUNDS.....	16.00	3,967,328	16.00	3,967,328			2000
	=====	=====	=====	=====			
FINANCE REGULATION							43900560
TRUST FUNDS.....	97.00	11,184,508	97.00	11,184,508			2000
	=====	=====	=====	=====			
SECURITIES REGULATION							43900570
TRUST FUNDS.....	96.00	7,887,589	96.00	7,887,589			2000
	=====	=====	=====	=====			
TOTAL: OFFICE OF FINANCIAL REG							43900500
BY FUND TYPE							
TRUST FUNDS.....	362.00	38,218,098	362.00	38,218,098			2000
	=====	=====	=====	=====			


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* BPEXBL01                                STATISTICAL INFORMATION                10/15/2013 11:08:54:*
* BUDGET PERIOD: 2004-2015                EXHIBIT B REPORT REQUEST                TJM 43      SP      *
* COMPILE DATE: 08/21/2013                COMPILE TIME: 14:36:23                PAGE:      1      *
*****
*
*          SAVE INITIALS:          SAVE DEPARTMENT: 07      SAVE ID: EXBA
* -----
* ITEMIZATION OF EXPENDITURE:          IOE ACCUMULATION LEVEL: 0 (1=OPER/FCO, 2=IOE, 0=MERGED)
* SECTION:          MERGE SECTIONS (Y/N): Y
* MERGE GROUPS (Y/N): Y
* BUDGET ENTITY OR GROUP/ACCUMULATION LEVEL (DEP, DIV, BUR, SUB, LBE, MRG):
*   1-7: 43      LBE
*   8-14:
*   15-21:
*   22-27:
* EXCLUDE:
*
* PROGRAM COMPONENT/ACCUMULATION LEVEL (1, 2, 3, 4 OR 5 FOR 2, 4, 6, 8 OR 10 DIGITS, 0=MERGED):
*   0          0          0          0          0          0
*
* APPROPRIATION CATEGORY OR GROUP/ACCUMULATION LEVEL (1=MAJOR, 2=MINOR, 0=MERGED):
*   0          0          0          0          0          0
* FUND GROUPS SET:          OR FUND:          FUNDING SOURCE IDENTIFIER:          MERGE FSI (Y/N): Y
* FCO (Y/N): Y      FTE (Y/N): Y          SALARY RATE (Y/N): N
* -----
* COLUMN SELECTION/P=PERCENTAGE OF TOTAL COLUMN:
*   A03          A12          A03-A12          CODES
*
* REPORT COLUMNS WITH CALCULATION DIFFERENCE ONLY (Y/N): N THAT EXCEED:
*
* LEVELS OF TOTALS: (N=NO TOTAL, L=LINE TOTAL, T=BY FUND TYPE, D=BY DETAIL FUND, B=BY DETAIL FUND AND FUND TYPE,
* G=FUND GROUP LINE TOTALS, E=BY DETAIL FUND AND FUND GROUP)
* RUN: T      ITEM OF EXP: N      GROUP/SECTION: N      DEPARTMENT: T      DIVISION: T      BUREAU: T      SUB-BUREAU: T
* LBE: T      PROG COMP: N      MAJOR APP CAT: N      MINOR APP CAT: N
*
* APPROPRIATION CATEGORY TITLES: S          SORT OPTION: A          REPORT SEQUENCE:
* (S=SHORT, L=LONG)          A=ITEM OF EXP/BUDGET ENTITY          DEPT/BUDGET ENTITY: N      A=ALPHABETICAL
*          B=BUDGET ENTITY/ITEM OF EXP          PROGRAM COMPONENT: N      N=NUMERICAL
* -----
* DEPARTMENT NARRATIVE SET:
* BUDGET ENTITY NARRATIVE SET:
*
* INCLUDE COLUMN CODES (Y/N): Y
*
* OUTPUT FORMAT: L          PAGE BREAKS:
* L=LANDSCAPE          (IOE, GRP, DEP, DIV, BUR,      REPORT HEADING:          COMPARISON REPORT
* P=PORTRAIT          SUB, LBE, PRC, MAC, NAC)          COLUMNS A03, A12
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* BPEXBL01                               STATISTICAL INFORMATION                10/15/2013 11:08:54:*
* BUDGET PERIOD: 2004-2015              EXHIBIT B REPORT REQUEST                TJM 43      SP      *
* COMPILE DATE: 08/21/2013              COMPILE TIME: 14:36:23                  PAGE:      2      *
*****
*
* TOTAL NUMBER RECORDS READ FROM SORT:      840
* TOTAL NUMBER RECORDS READ FROM CARD:      34
* TOTAL NUMBER RECORDS READ FROM ACF:       0
* TOTAL NUMBER RECORDS READ FROM BEF:       62
* TOTAL NUMBER RECORDS READ FROM BEN:       0
* TOTAL NUMBER RECORDS READ FROM BGF:       0
* TOTAL NUMBER RECORDS READ FROM FCF:       2
* TOTAL NUMBER RECORDS READ FROM FSF:       0
* TOTAL NUMBER RECORDS READ FROM IEF:       0
* TOTAL NUMBER RECORDS READ FROM PCF:       0
* TOTAL NUMBER RECORDS READ FROM SNF:       0
*
*****

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BPEXBL01 LAS/PBS SYSTEM
BUDGET PERIOD: 2004-2015
STATE OF FLORIDA

ACTUAL PR YR EXPENDITURES 2012-2013
COMPARED TO 2012-2013 STATE ACCOUNTS
DISBURSEMENTS PLUS APPROV CARRY FORWARD

SP 10/15/2013 11:08 PAGE: 1
ERROR REPORT

BUDGET ENTITY	CODE	ERROR MESSAGE	PAGE
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THERE WERE 0 ERRORS DETECTED

	COL A01	COL B04	COL B04-A01	
			APPROV BUD	
			12-13 HDF	
			OVER(UNDER)	
	ACT PR YR	APPROV BUD	ACT PR YR	
	EXP 2012-13	12-13 HDF	EXP 2012-13	
	POS	AMOUNT	POS	AMOUNT
	-----	-----	-----	-----
FINANCIAL SERVICES				4300000
PRG: CHIEF FIN OFFICER/ADM				4301000
EXECUTIVE DIR/SUPPORT SVCS				43010100
SALARIES AND BENEFITS				010000
ADMINISTRATIVE TRUST FUND.....	8,509,783	8,977,946	468,163	2021
	=====	=====	=====	
OTHER PERSONAL SERVICES				030000
ADMINISTRATIVE TRUST FUND.....	92,801	92,801		2021
	=====	=====	=====	
EXPENSES				040000
ADMINISTRATIVE TRUST FUND.....	1,272,375	1,369,766	97,391	2021
	=====	=====	=====	
OPERATING CAPITAL OUTLAY				060000
ADMINISTRATIVE TRUST FUND.....	7,965	10,000	2,035	2021
	=====	=====	=====	
SPECIAL CATEGORIES				100000
ACQUISITION/MOTOR VEHICLES				100021
ADMINISTRATIVE TRUST FUND.....	789,359	790,217	858	2021
	=====	=====	=====	
CONTRACTED SERVICES				100777
ADMINISTRATIVE TRUST FUND.....	274,484	327,325	52,841	2021
	=====	=====	=====	
OPERATION/MOTOR VEHICLES				102289
ADMINISTRATIVE TRUST FUND.....	2,946	3,500	554	2021
	=====	=====	=====	
RISK MANAGEMENT INSURANCE				103241
ADMINISTRATIVE TRUST FUND.....	119,367	119,367		2021
	=====	=====	=====	

	COL A01	COL B04	COL B04-A01	
			APPROV BUD	
			12-13 HDF	
			OVER(UNDER)	
	ACT PR YR	APPROV BUD	ACT PR YR	
	EXP 2012-13	12-13 HDF	EXP 2012-13	
	POS	AMOUNT	POS	AMOUNT
	POS	AMOUNT	POS	AMOUNT
				CODES
FINANCIAL SERVICES				43000000
PRG: CHIEF FIN OFFICER/ADM				43010000
EXECUTIVE DIR/SUPPORT SVCS				43010100
SPECIAL CATEGORIES				100000
TENANT BROKER COMMISSIONS				105084
ADMINISTRATIVE TRUST FUND.....	93,034	110,000	16,966	2021
LEASE/PURCHASE/EQUIPMENT				105281
ADMINISTRATIVE TRUST FUND.....	149,894	158,268	8,374	2021
TR/DMS/HR SVCS/STW CONTRCT				107040
ADMINISTRATIVE TRUST FUND.....	52,271	52,271		2021
<u>LEGAL SERVICES</u>				43010200
SALARIES AND BENEFITS				010000
ADMINISTRATIVE TRUST FUND.....	5,848,232	5,988,840	140,608	2021
OTHER PERSONAL SERVICES				030000
ADMINISTRATIVE TRUST FUND.....	225,508	279,388	53,880	2021
EXPENSES				040000
ADMINISTRATIVE TRUST FUND.....	617,191	655,736	38,545	2021
OPERATING CAPITAL OUTLAY				060000
ADMINISTRATIVE TRUST FUND.....	6,965	28,639	21,674	2021

	COL A01	COL B04	COL B04-A01	
			APPROV BUD	
			12-13 HDF	
			OVER(UNDER)	
	ACT PR YR	APPROV BUD	ACT PR YR	
	EXP 2012-13	12-13 HDF	EXP 2012-13	
	POS	AMOUNT	POS	AMOUNT
	-----	-----	-----	-----
FINANCIAL SERVICES				43000000
PRG: CHIEF FIN OFFICER/ADM				43010000
<u>LEGAL SERVICES</u>				43010200
SPECIAL CATEGORIES				100000
TRANS TO DIV ADM HEARINGS				100565
ADMINISTRATIVE TRUST FUND.....	130,963	130,963		2021
-----	-----	-----	-----	-----
CONTRACTED SERVICES				100777
ADMINISTRATIVE TRUST FUND.....	219,563	253,306	33,743	2021
-----	-----	-----	-----	-----
HOLOCAUST VICTIMS ASST ADM				101085
INSURANCE REG TF.....	290,812	308,007	17,195	2393
-----	-----	-----	-----	-----
RISK MANAGEMENT INSURANCE				103241
ADMINISTRATIVE TRUST FUND.....	21,679	21,679		2021
-----	-----	-----	-----	-----
LEASE/PURCHASE/EQUIPMENT				105281
ADMINISTRATIVE TRUST FUND.....	14,745	51,361	36,616	2021
-----	-----	-----	-----	-----
TR/DMS/HR SVCS/STW CONTRCT				107040
ADMINISTRATIVE TRUST FUND.....	29,068	29,068		2021
-----	-----	-----	-----	-----
<u>INFORMATION TECHNOLOGY</u>				43010300
SALARIES AND BENEFITS				010000
ADMINISTRATIVE TRUST FUND.....	8,128,041	8,470,464	342,423	2021
-----	-----	-----	-----	-----

	COL A01	COL B04	COL B04-A01	
			APPROV BUD	
			12-13 HDF	
			OVER(UNDER)	
	ACT PR YR	APPROV BUD	ACT PR YR	
	EXP 2012-13	12-13 HDF	EXP 2012-13	
	POS	AMOUNT	POS	AMOUNT
	-----	-----	-----	-----
FINANCIAL SERVICES				4300000
PRG: CHIEF FIN OFFICER/ADM				43010000
<u>INFORMATION TECHNOLOGY</u>				43010300
OTHER PERSONAL SERVICES				030000
ADMINISTRATIVE TRUST FUND.....	63,622	98,334	34,712	2021
	=====	=====	=====	
EXPENSES				040000
ADMINISTRATIVE TRUST FUND.....	3,330,979	3,350,528	19,549	2021
	=====	=====	=====	
OPERATING CAPITAL OUTLAY				060000
ADMINISTRATIVE TRUST FUND.....	1,278,172	1,278,196	24	2021
	=====	=====	=====	
SPECIAL CATEGORIES				100000
CONTRACTED SERVICES				100777
ADMINISTRATIVE TRUST FUND.....	4,680,825	4,779,284	98,459	2021
	=====	=====	=====	
OPERATION/MOTOR VEHICLES				102289
ADMINISTRATIVE TRUST FUND.....	1,652	2,900	1,248	2021
	=====	=====	=====	
RISK MANAGEMENT INSURANCE				103241
ADMINISTRATIVE TRUST FUND.....	32,673	32,673		2021
	=====	=====	=====	
LEASE/PURCHASE/EQUIPMENT				105281
ADMINISTRATIVE TRUST FUND.....	5,899	21,275	15,376	2021
	=====	=====	=====	
TR/DMS/HR SVCS/STW CONTRCT				107040
ADMINISTRATIVE TRUST FUND.....	43,874	43,874		2021
	=====	=====	=====	

	COL A01	COL B04	COL B04-A01	
			APPROV BUD	
			12-13 HDF	
			OVER(UNDER)	
	ACT PR YR	APPROV BUD	ACT PR YR	
	EXP 2012-13	12-13 HDF	EXP 2012-13	
	POS	AMOUNT	POS	AMOUNT
	POS	AMOUNT	POS	AMOUNT
				CODES
FINANCIAL SERVICES				4300000
PRG: CHIEF FIN OFFICER/ADM				4301000
<u>INFORMATION TECHNOLOGY</u>				43010300
DATA PROCESSING SERVICES				210000
SOUTHWOOD SRC				210021
ADMINISTRATIVE TRUST FUND.....	1,767	1,980	213	2021
NORTHWEST REGIONAL DC				210023
ADMINISTRATIVE TRUST FUND.....	18,475	88,518	70,043	2021
<u>CONSUMER ADVOCATE</u>				43010400
SALARIES AND BENEFITS				010000
INSURANCE REG TF.....	469,943	528,574	58,631	2393
OTHER PERSONAL SERVICES				030000
INSURANCE REG TF.....	55,016	115,229	60,213	2393
EXPENSES				040000
INSURANCE REG TF.....	47,844	48,627	783	2393
OPERATING CAPITAL OUTLAY				060000
INSURANCE REG TF.....	2,404	4,000	1,596	2393
SPECIAL CATEGORIES				100000
CONTRACTED SERVICES				100777
INSURANCE REG TF.....	2,391	20,471	18,080	2393

	COL A01	COL B04	COL B04-A01	
			APPROV BUD	
			12-13 HDF	
			OVER(UNDER)	
	ACT PR YR	APPROV BUD	ACT PR YR	
	EXP 2012-13	12-13 HDF	EXP 2012-13	
	POS	AMOUNT	POS	AMOUNT
	POS	AMOUNT	POS	AMOUNT
				CODES
FINANCIAL SERVICES				43000000
PRG: CHIEF FIN OFFICER/ADM				43010000
CONSUMER ADVOCATE				43010400
SPECIAL CATEGORIES				100000
RISK MANAGEMENT INSURANCE				103241
INSURANCE REG TF.....	1,442	1,442		2393
LEASE/PURCHASE/EQUIPMENT				105281
INSURANCE REG TF.....	1,368	1,638	270	2393
TR/DMS/HR SVCS/STW CONTRCT				107040
INSURANCE REG TF.....	1,866	1,866		2393
INFO TECHNOLOGY - FLAIR				43010500
SALARIES AND BENEFITS				010000
GENERAL REVENUE FUND	5,837,215	6,073,369	236,154	1000
ADMINISTRATIVE TRUST FUND	446,187	453,617	7,430	2021
TOTAL APPRO.....	6,283,402	6,526,986	243,584	
OTHER PERSONAL SERVICES				030000
GENERAL REVENUE FUND.....	4,900	5,000	100	1000
EXPENSES				040000
GENERAL REVENUE FUND	1,279,510	1,285,578	6,068	1000
ADMINISTRATIVE TRUST FUND	166,496	168,513	2,017	2021
TOTAL APPRO.....	1,446,006	1,454,091	8,085	

	COL A01	COL B04	COL B04-A01	CODES
	ACT PR YR	APPROV BUD	APPROV BUD	
	EXP 2012-13	12-13 HDF	12-13 HDF	
	POS	AMOUNT	POS	AMOUNT
	POS	AMOUNT	POS	AMOUNT
	POS	AMOUNT	POS	AMOUNT
FINANCIAL SERVICES				4300000
PRG: CHIEF FIN OFFICER/ADM				4301000
INFO TECHNOLOGY - FLAIR				43010500
OPERATING CAPITAL OUTLAY				060000
GENERAL REVENUE FUND	190,794	190,794		1000
ADMINISTRATIVE TRUST FUND	21,875	25,000	3,125	2021
TOTAL APPRO.....	212,669	215,794	3,125	
SPECIAL CATEGORIES				100000
CONTRACTED SERVICES				100777
GENERAL REVENUE FUND	2,917,917	2,918,816	899	1000
ADMINISTRATIVE TRUST FUND	421,439	431,500	10,061	2021
TOTAL APPRO.....	3,339,356	3,350,316	10,960	
RISK MANAGEMENT INSURANCE				103241
GENERAL REVENUE FUND	13,468	13,468		1000
ADMINISTRATIVE TRUST FUND	1,260	1,260		2021
TOTAL APPRO.....	14,728	14,728		
LEASE/PURCHASE/EQUIPMENT				105281
GENERAL REVENUE FUND.....	290	3,824	3,534	1000
TR/DMS/HR SVCS/STW CONTRCT				107040
GENERAL REVENUE FUND	34,955	34,955		1000
ADMINISTRATIVE TRUST FUND	2,593	2,593		2021
TOTAL APPRO.....	37,548	37,548		

	COL A01	COL B04	COL B04-A01	
			APPROV BUD	
			12-13 HDF	
			OVER(UNDER)	
	ACT PR YR	APPROV BUD	ACT PR YR	
	EXP 2012-13	12-13 HDF	EXP 2012-13	
	POS	AMOUNT	POS	AMOUNT
	-----	-----	-----	-----
FINANCIAL SERVICES				43000000
PROGRAM: TREASURY				43100000
DEPOSIT SECURITY				43100200
SALARIES AND BENEFITS				010000
TREASURY ADM/INVEST TF.....	1,367,584	1,432,265	64,681	2725
OTHER PERSONAL SERVICES				030000
TREASURY ADM/INVEST TF.....		1,500	1,500	2725
EXPENSES				040000
TREASURY ADM/INVEST TF.....	177,309	245,113	67,804	2725
OPERATING CAPITAL OUTLAY				060000
TREASURY ADM/INVEST TF.....		1,783	1,783	2725
SPECIAL CATEGORIES				100000
CONTRACTED SERVICES				100777
TREASURY ADM/INVEST TF.....	67,329	80,205	12,876	2725
RISK MANAGEMENT INSURANCE				103241
TREASURY ADM/INVEST TF.....	14,255	14,255		2725
LEASE/PURCHASE/EQUIPMENT				105281
TREASURY ADM/INVEST TF.....	4,125	4,616	491	2725
TR/DMS/HR SVCS/STW CONTRCT				107040
TREASURY ADM/INVEST TF.....	7,484	7,484		2725

	COL A01	COL B04	COL B04-A01	
			APPROV BUD	
			12-13 HDF	
			OVER(UNDER)	
	ACT PR YR	APPROV BUD	ACT PR YR	
	EXP 2012-13	12-13 HDF	EXP 2012-13	
	POS	AMOUNT	POS	AMOUNT
	POS	AMOUNT	POS	AMOUNT
				CODES
FINANCIAL SERVICES				43000000
PROGRAM: TREASURY				43100000
<u>ST FUNDS MGT & INVESTMENT</u>				43100300
SALARIES AND BENEFITS				010000
TREASURY ADM/INVEST TF.....	1,573,868	1,663,425	89,557	2725
OTHER PERSONAL SERVICES				030000
TREASURY ADM/INVEST TF.....		17,500	17,500	2725
EXPENSES				040000
TREASURY ADM/INVEST TF.....	180,067	249,846	69,779	2725
SPECIAL CATEGORIES				100000
CONTRACTED SERVICES				100777
TREASURY ADM/INVEST TF.....	834,855	948,785	113,930	2725
TR/DMS/HR SVCS/STW CONTRCT				107040
TREASURY ADM/INVEST TF.....	9,098	9,098		2725
<u>SUP RETIREMENT PLAN</u>				43100400
SALARIES AND BENEFITS				010000
TREASURY ADM/INVEST TF.....	584,348	636,289	51,941	2725
OTHER PERSONAL SERVICES				030000
TREASURY ADM/INVEST TF.....	14,332	20,100	5,768	2725

	COL A01	COL B04	COL B04-A01	
			APPROV BUD	
			12-13 HDF	
			OVER(UNDER)	
	ACT PR YR	APPROV BUD	ACT PR YR	
	EXP 2012-13	12-13 HDF	EXP 2012-13	
	POS	AMOUNT	POS	AMOUNT
	POS	AMOUNT	POS	AMOUNT
				CODES
FINANCIAL SERVICES				43000000
PROGRAM: TREASURY				43100000
SUP RETIREMENT PLAN				43100400
EXPENSES				040000
TREASURY ADM/INVEST TF.....	85,805	108,828	23,023	2725
SPECIAL CATEGORIES				100000
CONTRACTED SERVICES				100777
TREASURY ADM/INVEST TF.....	93	252	159	2725
DEFERRED COMP ADM SVCS				100868
TREASURY ADM/INVEST TF.....	598,118	950,000	351,882	2725
LEASE/PURCHASE/EQUIPMENT				105281
TREASURY ADM/INVEST TF.....	1,690	1,905	215	2725
TR/DMS/HR SVCS/STW CONTRCT				107040
TREASURY ADM/INVEST TF.....	3,706	3,706		2725
PGM: FIN ACCT/PUBLIC FUNDS				43200000
ST FINAN INFO/ST AGY ACCTG				43200100
SALARIES AND BENEFITS				010000
GENERAL REVENUE FUND	9,003,782	9,415,847	412,065	1000
ADMINISTRATIVE TRUST FUND	909,635	1,155,761	246,126	2021
TOTAL APPRO.....	9,913,417	10,571,608	658,191	

	COL A01	COL B04	COL B04-A01	
			APPROV BUD	
			12-13 HDF	
			OVER(UNDER)	
	ACT PR YR	APPROV BUD	ACT PR YR	
	EXP 2012-13	12-13 HDF	EXP 2012-13	
	POS	AMOUNT	POS	AMOUNT
	POS	AMOUNT	POS	AMOUNT
				CODES
FINANCIAL SERVICES				43000000
PGM: FIN ACCT/PUBLIC FUNDS				43200000
ST FINAN INFO/ST AGY ACCTG				43200100
OTHER PERSONAL SERVICES				030000
GENERAL REVENUE FUND	11,124	22,994	11,870	1000
ADMINISTRATIVE TRUST FUND		127,420	127,420	2021
TOTAL APPRO.....	11,124	150,414	139,290	
EXPENSES				040000
GENERAL REVENUE FUND	793,591	1,071,062	277,471	1000
ADMINISTRATIVE TRUST FUND	28,032	123,951	95,919	2021
TOTAL APPRO.....	821,623	1,195,013	373,390	
OPERATING CAPITAL OUTLAY				060000
GENERAL REVENUE FUND.....	291	4,500	4,209	1000
SPECIAL CATEGORIES				100000
REGISTRY ATTORNEYS				100650
ADMINISTRATIVE TRUST FUND.....	1,715,722	1,716,384	662	2021
CONTRACTED SERVICES				100777
GENERAL REVENUE FUND.....	693,899	728,449	34,550	1000
OPERATION/MOTOR VEHICLES				102289
GENERAL REVENUE FUND.....	8,531	9,600	1,069	1000
RISK MANAGEMENT INSURANCE				103241
ADMINISTRATIVE TRUST FUND.....	55,791	55,791		2021

	COL A01	COL B04	COL B04-A01	
			APPROV BUD	
			12-13 HDF	
			OVER(UNDER)	
	ACT PR YR	APPROV BUD	ACT PR YR	
	EXP 2012-13	12-13 HDF	EXP 2012-13	
	POS	AMOUNT	POS	AMOUNT
	POS	AMOUNT	POS	AMOUNT
				CODES
FINANCIAL SERVICES				43000000
PGM: FIN ACCT/PUBLIC FUNDS				43200000
ST FINAN INFO/ST AGY ACCTG				43200100
SPECIAL CATEGORIES				100000
SALARY INCENTIVE PAYMENTS				103290
GENERAL REVENUE FUND.....	1,091	1,200	109	1000
LEASE/PURCHASE/EQUIPMENT				105281
GENERAL REVENUE FUND	12,390	13,622	1,232	1000
ADMINISTRATIVE TRUST FUND	4,274	9,305	5,031	2021
TOTAL APPRO.....	16,664	22,927	6,263	
TR/DMS/HR SVCS/STW CONTRCT				107040
GENERAL REVENUE FUND	52,934	52,934		1000
ADMINISTRATIVE TRUST FUND	2,425	2,425		2021
TOTAL APPRO.....	55,359	55,359		
TR/PRISON INDUSTRY ENH PRG				108005
PRISON INDUSTRIES TF.....	749,688	750,000	312	2385
CLAIMS BILLS & RELIEF ACTS				490000
WRONGFUL INCARCERATION COM				490200
GENERAL REVENUE FUND.....	1,297,569	1,297,570	1	1000

	COL A01	COL B04	COL B04-A01	
			APPROV BUD	
			12-13 HDF	
			OVER(UNDER)	
	ACT PR YR	APPROV BUD	ACT PR YR	
	EXP 2012-13	12-13 HDF	EXP 2012-13	
	POS	AMOUNT	POS	AMOUNT
	-----	-----	-----	-----
FINANCIAL SERVICES				43000000
PGM: FIN ACCT/PUBLIC FUNDS				43200000
RECOVERY & RETURN OF UP				43200200
SALARIES AND BENEFITS				010000
UNCLAIMED PROPERTY TF.....	2,861,890	2,898,675	36,785	2007
=====	=====	=====	=====	
OTHER PERSONAL SERVICES				030000
UNCLAIMED PROPERTY TF.....	187,250	187,250		2007
=====	=====	=====	=====	
EXPENSES				040000
UNCLAIMED PROPERTY TF.....	710,095	779,443	69,348	2007
=====	=====	=====	=====	
OPERATING CAPITAL OUTLAY				060000
UNCLAIMED PROPERTY TF.....		250	250	2007
=====	=====	=====	=====	
SPECIAL CATEGORIES				100000
CONTRACTED SERVICES				100777
UNCLAIMED PROPERTY TF.....	207,729	226,794	19,065	2007
=====	=====	=====	=====	
RISK MANAGEMENT INSURANCE				103241
UNCLAIMED PROPERTY TF.....	9,143	9,143		2007
=====	=====	=====	=====	
LEASE/PURCHASE/EQUIPMENT				105281
UNCLAIMED PROPERTY TF.....	11,167	12,024	857	2007
=====	=====	=====	=====	
TR/DMS/HR SVCS/STW CONTRCT				107040
UNCLAIMED PROPERTY TF.....	18,653	18,653		2007
=====	=====	=====	=====	

	COL A01	COL B04	COL B04-A01	
			APPROV BUD	
			12-13 HDF	
			OVER(UNDER)	
	ACT PR YR	APPROV BUD	ACT PR YR	
	EXP 2012-13	12-13 HDF	EXP 2012-13	
	POS	AMOUNT	POS	AMOUNT
	POS	AMOUNT	POS	AMOUNT
				CODES
FINANCIAL SERVICES				43000000
PROGRAM: FIRE MARSHAL				43300000
COMPLIANCE & ENFORCEMENT				43300200
SPECIAL CATEGORIES				100000
LEASE/PURCHASE/EQUIPMENT				105281
INSURANCE REG TF.....	11,257	13,242	1,985	2393
TR/DMS/HR SVCS/STW CONTRCT				107040
INSURANCE REG TF.....	21,462	21,462		2393
FIRE & ARSON INVESTIGATION				43300300
SALARIES AND BENEFITS				010000
INSURANCE REG TF.....	7,569,647	7,658,744	89,097	2393
OTHER PERSONAL SERVICES				030000
INSURANCE REG TF.....	15,367	19,028	3,661	2393
EXPENSES				040000
INSURANCE REG TF.....	1,630,422	1,630,440	18	2393
OPERATING CAPITAL OUTLAY				060000
INSURANCE REG TF.....	81,987	82,409	422	2393
SPECIAL CATEGORIES				100000
CONTRACTED SERVICES				100777
INSURANCE REG TF.....	162,906	175,374	12,468	2393

	COL A01	COL B04	COL B04-A01	
			APPROV BUD	
			12-13 HDF	
			OVER(UNDER)	
	ACT PR YR	APPROV BUD	ACT PR YR	
	EXP 2012-13	12-13 HDF	EXP 2012-13	
	POS	AMOUNT	POS	AMOUNT
	POS	AMOUNT	POS	AMOUNT
				CODES
FINANCIAL SERVICES				43000000
PROGRAM: FIRE MARSHAL				43300000
<u>FIRE & ARSON INVESTIGATION</u>				43300300
SPECIAL CATEGORIES				100000
ON-CALL FEES				102261
INSURANCE REG TF.....	349,998	350,000	2	2393
OPERATION/MOTOR VEHICLES				102289
INSURANCE REG TF.....	133,900	133,900		2393
SALARY INCENTIVE PAYMENTS				103290
INSURANCE REG TF.....	102,433	103,124	691	2393
SUPP FIREFIGHTERS COMP				103725
INSURANCE REG TF.....	6,566	8,000	1,434	2393
LEASE/PURCHASE/EQUIPMENT				105281
INSURANCE REG TF.....	23,422	26,081	2,659	2393
TR/DMS/HR SVCS/STW CONTRCT				107040
INSURANCE REG TF.....	40,545	40,545		2393
<u>PROF TRAINING & STANDARDS</u>				43300400
<u>SALARIES AND BENEFITS</u>				010000
INSURANCE REG TF.....	1,538,544	1,578,724	40,180	2393

	COL A01	COL B04	COL B04-A01	
			APPROV BUD	
			12-13 HDF	
			OVER(UNDER)	
	ACT PR YR	APPROV BUD	ACT PR YR	
	EXP 2012-13	12-13 HDF	EXP 2012-13	
	POS AMOUNT	POS AMOUNT	POS AMOUNT	CODES
	-----	-----	-----	
FINANCIAL SERVICES				4300000
PROGRAM: FIRE MARSHAL				4330000
<u>PROF TRAINING & STANDARDS</u>				43300400
OTHER PERSONAL SERVICES				030000
INSURANCE REG TF.....	190,444	200,000	9,556	2393
	=====	=====	=====	
EXPENSES				040000
INSURANCE REG TF.....	476,503	478,845	2,342	2393
	=====	=====	=====	
OPERATING CAPITAL OUTLAY				060000
INSURANCE REG TF.....	26,688	27,254	566	2393
	=====	=====	=====	
SPECIAL CATEGORIES				100000
ELECTRONIC COMMERCE FEES				100064
INSURANCE REG TF.....	11,399	13,200	1,801	2393
	=====	=====	=====	
CONTRACTED SERVICES				100777
INSURANCE REG TF.....	319,499	325,497	5,998	2393
	=====	=====	=====	
DOMESTIC SECURITY				100851
INSURANCE REG TF.....	9,443,343	13,080,047	3,636,704	2393
	=====	=====	=====	
OPERATION/MOTOR VEHICLES				102289
INSURANCE REG TF.....	17,900	17,900		2393
	=====	=====	=====	
SUPP FIREFIGHTERS COMP				103725
INSURANCE REG TF.....	8,774	14,500	5,726	2393
	=====	=====	=====	

	COL A01	COL B04	COL B04-A01	
			APPROV BUD	
			12-13 HDF	
			OVER(UNDER)	
	ACT PR YR	APPROV BUD	ACT PR YR	
	EXP 2012-13	12-13 HDF	EXP 2012-13	
	POS	AMOUNT	POS	AMOUNT
	POS	AMOUNT	POS	AMOUNT
				CODES
FINANCIAL SERVICES				43000000
PROGRAM: FIRE MARSHAL				43300000
<u>PROF TRAINING & STANDARDS</u>				43300400
SPECIAL CATEGORIES				100000
LEASE/PURCHASE/EQUIPMENT				105281
INSURANCE REG TF.....	20,878	22,519	1,641	2393
TR/DMS/HR SVCS/STW CONTRCT				107040
INSURANCE REG TF.....	12,437	12,437		2393
<u>FIRE MRSHL ADMN & SUP SRVS</u>				43300500
SALARIES AND BENEFITS				010000
INSURANCE REG TF.....	1,150,148	1,163,285	13,137	2393
OTHER PERSONAL SERVICES				030000
INSURANCE REG TF.....	16,085	20,102	4,017	2393
EXPENSES				040000
INSURANCE REG TF.....	243,960	251,454	7,494	2393
OPERATING CAPITAL OUTLAY				060000
INSURANCE REG TF.....	6,000	6,000		2393
SPECIAL CATEGORIES				100000
CONTRACTED SERVICES				100777
INSURANCE REG TF.....	175,311	189,189	13,878	2393

	COL A01	COL B04	COL B04-A01	
			APPROV BUD	
			12-13 HDF	
			OVER(UNDER)	
	ACT PR YR	APPROV BUD	ACT PR YR	
	EXP 2012-13	12-13 HDF	EXP 2012-13	
	POS	AMOUNT	POS	AMOUNT
	POS	AMOUNT	POS	AMOUNT
				CODES
FINANCIAL SERVICES				43000000
PROGRAM: FIRE MARSHAL				43300000
<u>FIRE MRSHL ADMN & SUP SRVS</u>				43300500
SPECIAL CATEGORIES				100000
OPERATION/MOTOR VEHICLES				102289
INSURANCE REG TF.....	1,300	1,300		2393
RISK MANAGEMENT INSURANCE				103241
INSURANCE REG TF.....	375,858	375,858		2393
SUPP FIREFIGHTERS COMP				103725
INSURANCE REG TF.....	1,622	7,500	5,878	2393
LEASE/PURCHASE/EQUIPMENT				105281
INSURANCE REG TF.....	7,870	8,985	1,115	2393
TR/DMS/HR SVCS/STW CONTRCT				107040
INSURANCE REG TF.....	6,130	6,130		2393
PGM: ST PROP/CASUALTY CLMS				43400000
<u>ST SELF-INSURED CLAIMS ADJ</u>				43400100
SALARIES AND BENEFITS				010000
STATE RISK MGMT TF.....	5,016,910	5,422,328	405,418	2078
OTHER PERSONAL SERVICES				030000
STATE RISK MGMT TF.....	26,251	35,000	8,749	2078

	COL A01	COL B04	COL B04-A01	
			APPROV BUD	
			12-13 HDF	
			OVER(UNDER)	
	ACT PR YR	APPROV BUD	ACT PR YR	
	EXP 2012-13	12-13 HDF	EXP 2012-13	
	POS AMOUNT	POS AMOUNT	POS AMOUNT	CODES
	-----	-----	-----	
FINANCIAL SERVICES				43000000
PGM: ST PROP/CASUALTY CLMS				43400000
ST SELF-INSURED CLAIMS ADJ				43400100
EXPENSES				040000
STATE RISK MGMT TF.....	712,559	890,292	177,733	2078
	=====	=====	=====	
OPERATING CAPITAL OUTLAY				060000
STATE RISK MGMT TF.....	1,293	5,405	4,112	2078
	=====	=====	=====	
SPECIAL CATEGORIES				100000
CONTRACTED SERVICES				100777
STATE RISK MGMT TF.....	13,550,872	14,210,951	660,079	2078
	=====	=====	=====	
CONTRACT LEGAL - ATTY GEN				100904
STATE RISK MGMT TF.....	5,213,175	6,302,284	1,089,109	2078
	=====	=====	=====	
CONTRACTED LEGAL SERVICES				100905
STATE RISK MGMT TF.....	15,158,830	18,001,020	2,842,190	2078
	=====	=====	=====	
EXCESS INSUR. & CLAIM SER				101221
STATE RISK MGMT TF.....	13,337,023	13,700,000	362,977	2078
	=====	=====	=====	
RISK MANAGEMENT INSURANCE				103241
STATE RISK MGMT TF.....	111,961	111,961		2078
	=====	=====	=====	
LEASE/PURCHASE/EQUIPMENT				105281
STATE RISK MGMT TF.....	18,813	24,031	5,218	2078
	=====	=====	=====	

	COL A01	COL B04	COL B04-A01	
			APPROV BUD	
			12-13 HDF	
			OVER(UNDER)	
	ACT PR YR	APPROV BUD	ACT PR YR	
	EXP 2012-13	12-13 HDF	EXP 2012-13	
	POS	AMOUNT	POS	AMOUNT
	POS	AMOUNT	POS	AMOUNT
				CODES
FINANCIAL SERVICES				43000000
PGM: ST PROP/CASUALTY CLMS				43400000
ST SELF-INSURED CLAIMS ADJ				43400100
SPECIAL CATEGORIES				100000
TR/DMS/HR SVCS/STW CONTRCT				107040
STATE RISK MGMT TF.....	33,785	33,785		2078
PGM: LICNSNG/CNSMER PROTEC				43500000
INSURANCE CO REHAB/LIQDATN				43500100
SALARIES AND BENEFITS				010000
INSURANCE REG TF.....	516,958	567,874	50,916	2393
OTHER PERSONAL SERVICES				030000
INSURANCE REG TF.....		34,771	34,771	2393
EXPENSES				040000
INSURANCE REG TF.....	93,719	119,364	25,645	2393
OPERATING CAPITAL OUTLAY				060000
INSURANCE REG TF.....	1,087	1,120	33	2393
SPECIAL CATEGORIES				100000
CONTRACTED SERVICES				100777
INSURANCE REG TF.....	56,447	232,517	176,070	2393
RISK MANAGEMENT INSURANCE				103241
INSURANCE REG TF.....	2,020	2,020		2393

	COL A01	COL B04	COL B04-A01	
			APPROV BUD	
			12-13 HDF	
			OVER(UNDER)	
	ACT PR YR	APPROV BUD	ACT PR YR	
	EXP 2012-13	12-13 HDF	EXP 2012-13	
	POS AMOUNT	POS AMOUNT	POS AMOUNT	CODES
FINANCIAL SERVICES				43000000
PGM: LICNSNG/CNSMER PROTEC				43500000
INSURANCE CO REHAB/LIQDATN				43500100
SPECIAL CATEGORIES				100000
TR/DMS/HR SVCS/STW CONTRCT				107040
INSURANCE REG TF.....	2,503	2,503		2393
<u>LICENSURE, SALES/APPT/OVST</u>				43500200
SALARIES AND BENEFITS				010000
INSURANCE REG TF.....	6,178,449	6,529,769	351,320	2393
OTHER PERSONAL SERVICES				030000
INSURANCE REG TF.....		3,938	3,938	2393
EXPENSES				040000
INSURANCE REG TF.....	963,080	1,044,418	81,338	2393
OPERATING CAPITAL OUTLAY				060000
INSURANCE REG TF.....		2,500	2,500	2393
SPECIAL CATEGORIES				100000
ELECTRONIC COMMERCE FEES				100064
INSURANCE REG TF.....	932,664	2,100,000	1,167,336	2393
CONTRACTED SERVICES				100777
INSURANCE REG TF.....	1,314,176	2,184,892	870,716	2393

	COL A01	COL B04	COL B04-A01	
			APPROV BUD	
			12-13 HDF	
			OVER(UNDER)	
	ACT PR YR	APPROV BUD	ACT PR YR	
	EXP 2012-13	12-13 HDF	EXP 2012-13	
	POS	AMOUNT	POS	AMOUNT
	POS	AMOUNT	POS	AMOUNT
				CODES
FINANCIAL SERVICES				43000000
PGM: LICNSNG/CNSMER PROTEC				43500000
LICENSURE, SALES/APPT/OVST				43500200
SPECIAL CATEGORIES				100000
OPERATION/MOTOR VEHICLES				102289
INSURANCE REG TF.....	6,956	9,200	2,244	2393
RISK MANAGEMENT INSURANCE				103241
INSURANCE REG TF.....	118,593	118,593		2393
LEASE/PURCHASE/EQUIPMENT				105281
INSURANCE REG TF.....	17,882	18,034	152	2393
TR/DMS/HR SVCS/STW CONTRCT				107040
INSURANCE REG TF.....	48,000	48,000		2393
<u>INSURANCE FRAUD</u>				43500300
SALARIES AND BENEFITS				010000
INSURANCE REG TF.....	11,498,562	11,817,863	319,301	2393
OTHER PERSONAL SERVICES				030000
INSURANCE REG TF.....	37,262	38,500	1,238	2393
EXPENSES				040000
INSURANCE REG TF	2,027,990	2,028,019	29	2393
FED LAW ENFORCEMENT TF	19,272	19,275	3	2719
TOTAL APPRO.....	2,047,262	2,047,294	32	

	COL A01	COL B04	COL B04-A01	
			APPROV BUD	
			12-13 HDF	
			OVER(UNDER)	
	ACT PR YR	APPROV BUD	ACT PR YR	
	EXP 2012-13	12-13 HDF	EXP 2012-13	
	POS AMOUNT	POS AMOUNT	POS AMOUNT	CODES
	-----	-----	-----	
FINANCIAL SERVICES				43000000
PGM: LICNSNG/CNSMER PROTEC				43500000
<u>INSURANCE FRAUD</u>				43500300
OPERATING CAPITAL OUTLAY				060000
INSURANCE REG TF.....	92,489	101,931	9,442	2393
	=====	=====	=====	
SPECIAL CATEGORIES				100000
ACQUISITION/MOTOR VEHICLES				100021
INSURANCE REG TF.....	80,904	80,904		2393
	=====	=====	=====	
TRANS TO JAC FOR PIP FRAUD				100522
INSURANCE REG TF.....	1,196,826	1,199,541	2,715	2393
	=====	=====	=====	
CONTRACTED SERVICES				100777
INSURANCE REG TF	310,794	344,617	33,823	2393
FED LAW ENFORCEMENT TF	30,625	30,725	100	2719
	-----	-----	-----	
TOTAL APPRO.....	341,419	375,342	33,923	
	=====	=====	=====	
OPERATION/MOTOR VEHICLES				102289
INSURANCE REG TF.....	150,253	154,600	4,347	2393
	=====	=====	=====	
RISK MANAGEMENT INSURANCE				103241
INSURANCE REG TF.....	169,508	169,508		2393
	=====	=====	=====	
SALARY INCENTIVE PAYMENTS				103290
INSURANCE REG TF.....	185,996	185,996		2393
	=====	=====	=====	

	COL A01	COL B04	COL B04-A01	
			APPROV BUD	
			12-13 HDF	
			OVER(UNDER)	
	ACT PR YR	APPROV BUD	ACT PR YR	
	EXP 2012-13	12-13 HDF	EXP 2012-13	
	POS	AMOUNT	POS	AMOUNT
	POS	AMOUNT	POS	AMOUNT
				CODES
FINANCIAL SERVICES				43000000
PGM: LICNSNG/CNSMER PROTEC				43500000
INSURANCE FRAUD				43500300
SPECIAL CATEGORIES				100000
LEASE/PURCHASE/EQUIPMENT				105281
INSURANCE REG TF.....	46,729	49,047	2,318	2393
TR/DMS/HR SVCS/STW CONTRCT				107040
INSURANCE REG TF.....	64,072	64,072		2393
CONSUMER ASSISTANCE				43500400
SALARIES AND BENEFITS				010000
INSURANCE REG TF.....	5,451,171	6,035,078	583,907	2393
OTHER PERSONAL SERVICES				030000
INSURANCE REG TF.....	119,569	135,231	15,662	2393
EXPENSES				040000
INSURANCE REG TF.....	735,045	993,435	258,390	2393
OPERATING CAPITAL OUTLAY				060000
INSURANCE REG TF.....		2,200	2,200	2393
SPECIAL CATEGORIES				100000
CONTRACTED SERVICES				100777
INSURANCE REG TF.....	207,160	595,374	388,214	2393

	COL A01	COL B04	COL B04-A01	
			APPROV BUD	
			12-13 HDF	
			OVER(UNDER)	
	ACT PR YR	APPROV BUD	ACT PR YR	
	EXP 2012-13	12-13 HDF	EXP 2012-13	
	POS	AMOUNT	POS	AMOUNT
	POS	AMOUNT	POS	AMOUNT
				CODES
FINANCIAL SERVICES				43000000
PGM: LICNSNG/CNSMER PROTEC				43500000
<u>FUNERAL/CEMETERY SERVICES</u>				43500500
OPERATING CAPITAL OUTLAY				060000
REGULATORY TRUST FUND.....		9,500	9,500	2573
SPECIAL CATEGORIES				100000
ELECTRONIC COMMERCE FEES				100064
REGULATORY TRUST FUND.....	10,382	14,100	3,718	2573
CONTRACTED SERVICES				100777
REGULATORY TRUST FUND.....	80,738	113,325	32,587	2573
OPERATION/MOTOR VEHICLES				102289
REGULATORY TRUST FUND.....	10,700	10,700		2573
RISK MANAGEMENT INSURANCE				103241
REGULATORY TRUST FUND.....	9,570	9,570		2573
LEASE/PURCHASE/EQUIPMENT				105281
REGULATORY TRUST FUND.....	3,432	3,962	530	2573
TR/DMS/HR SVCS/STW CONTRCT				107040
REGULATORY TRUST FUND.....	12,156	12,156		2573

	COL A01	COL B04	COL B04-A01	
			APPROV BUD	
			12-13 HDF	
			OVER(UNDER)	
	ACT PR YR	APPROV BUD	ACT PR YR	
	EXP 2012-13	12-13 HDF	EXP 2012-13	
	POS AMOUNT	POS AMOUNT	POS AMOUNT	CODES
	-----	-----	-----	
FINANCIAL SERVICES				43000000
PGM: LICNSNG/CNSMER PROTEC				43500000
<u>PUBLIC ASSISTANCE FRAUD</u>				43500700
SALARIES AND BENEFITS				010000
ADMINISTRATIVE TRUST FUND		148,794	148,794	2021
FEDERAL GRANTS TRUST FUND	1,726,279	2,708,290	982,011	2261
INSURANCE REG TF	1,847,384	1,878,733	31,349	2393
TOTAL APPRO.....	3,573,663	4,735,817	1,162,154	
	=====	=====	=====	
OTHER PERSONAL SERVICES				030000
FEDERAL GRANTS TRUST FUND		144	144	2261
INSURANCE REG TF		3,906	3,906	2393
TOTAL APPRO.....		4,050	4,050	
	=====	=====	=====	
EXPENSES				040000
FEDERAL GRANTS TRUST FUND		30,869	30,869	2261
INSURANCE REG TF	388,103	425,770	37,667	2393
TOTAL APPRO.....	388,103	456,639	68,536	
	=====	=====	=====	
OPERATING CAPITAL OUTLAY				060000
INSURANCE REG TF.....		20,000	20,000	2393
	=====	=====	=====	
SPECIAL CATEGORIES				100000
CONTRACTED SERVICES				100777
FEDERAL GRANTS TRUST FUND		60,527	60,527	2261
INSURANCE REG TF	164,322	183,291	18,969	2393
TOTAL APPRO.....	164,322	243,818	79,496	
	=====	=====	=====	

	COL A01	COL B04	COL B04-A01	
			APPROV BUD	
			12-13 HDF	
			OVER(UNDER)	
	ACT PR YR	APPROV BUD	ACT PR YR	
	EXP 2012-13	12-13 HDF	EXP 2012-13	
	POS	AMOUNT	POS	AMOUNT
	POS	AMOUNT	POS	AMOUNT
	POS	AMOUNT	POS	AMOUNT
				CODES
FINANCIAL SERVICES				43000000
PGM: LICNSNG/CNSMER PROTEC				43500000
PUBLIC ASSISTANCE FRAUD				43500700
SPECIAL CATEGORIES				100000
OPERATION/MOTOR VEHICLES				102289
FEDERAL GRANTS TRUST FUND.....		20,000	20,000	2261
RISK MANAGEMENT INSURANCE				103241
INSURANCE REG TF.....	13,162	13,162		2393
LEASE/PURCHASE/EQUIPMENT				105281
INSURANCE REG TF.....	10,799	10,800	1	2393
TR/DMS/HR SVCS/STW CONTRCT				107040
FEDERAL GRANTS TRUST FUND	22,358	22,358		2261
INSURANCE REG TF	16,442	16,442		2393
TOTAL APPRO.....	38,800	38,800		
DATA PROCESSING SERVICES				210000
OTHER DATA PROCESSING SVCS				210014
FEDERAL GRANTS TRUST FUND		5,000	5,000	2261
INSURANCE REG TF	1,550	10,000	8,450	2393
TOTAL APPRO.....	1,550	15,000	13,450	

	COL A01	COL B04	COL B04-A01	
			APPROV BUD	
			12-13 HDF	
			OVER(UNDER)	
	ACT PR YR	APPROV BUD	ACT PR YR	
	EXP 2012-13	12-13 HDF	EXP 2012-13	
	POS	AMOUNT	POS	AMOUNT
	-----	-----	-----	-----
FINANCIAL SERVICES				43000000
PGM: WORKERS' COMPENSATION				43600000
WORKERS' COMPENSATION				43600100
SALARIES AND BENEFITS				010000
WORKERS' COMP ADMIN TF	14,215,867	15,137,673	921,806	2795
WORKERS' COMP SPEC DISAB TF	733,281	881,732	148,451	2798
TOTAL APPRO.....	14,949,148	16,019,405	1,070,257	
	=====	=====	=====	
OTHER PERSONAL SERVICES				030000
WORKERS' COMP ADMIN TF	147,175	579,410	432,235	2795
WORKERS' COMP SPEC DISAB TF	13,089	17,550	4,461	2798
TOTAL APPRO.....	160,264	596,960	436,696	
	=====	=====	=====	
EXPENSES				040000
WORKERS' COMP ADMIN TF	3,287,426	3,476,861	189,435	2795
WORKERS' COMP SPEC DISAB TF	112,277	127,570	15,293	2798
TOTAL APPRO.....	3,399,703	3,604,431	204,728	
	=====	=====	=====	
OPERATING CAPITAL OUTLAY				060000
WORKERS' COMP ADMIN TF	94,704	100,021	5,317	2795
WORKERS' COMP SPEC DISAB TF		16,851	16,851	2798
TOTAL APPRO.....	94,704	116,872	22,168	
	=====	=====	=====	
SPECIAL CATEGORIES				100000
ELECTRONIC COMMERCE FEES				100064
WORKERS' COMP ADMIN TF.....	82,277	288,000	205,723	2795
	=====	=====	=====	

	COL A01	COL B04	COL B04-A01	
			APPROV BUD	
			12-13 HDF	
			OVER(UNDER)	
	ACT PR YR	APPROV BUD	ACT PR YR	
	EXP 2012-13	12-13 HDF	EXP 2012-13	
	POS AMOUNT	POS AMOUNT	POS AMOUNT	CODES
	-----	-----	-----	
FINANCIAL SERVICES				43000000
PGM: WORKERS' COMPENSATION				43600000
<u>WORKERS' COMPENSATION</u>				43600100
SPECIAL CATEGORIES				100000
TR DIST CT OF AP-WORK COMP				100507
WORKERS' COMP ADMIN TF.....	1,761,055	1,768,300	7,245	2795
	=====	=====	=====	
TR/USF-OSHA MATCH				100521
WORKERS' COMP ADMIN TF.....	250,000	250,000		2795
	=====	=====	=====	
TR JAC - PROS WRKS COMP FR				100526
WORKERS' COMP ADMIN TF.....	257,707	258,288	581	2795
	=====	=====	=====	
CONTRACTED SERVICES				100777
WORKERS' COMP ADMIN TF	2,128,827	2,547,656	418,829	2795
WORKERS' COMP SPEC DISAB TF	58,310	86,360	28,050	2798
	-----	-----	-----	
TOTAL APPRO.....	2,187,137	2,634,016	446,879	
	=====	=====	=====	
OPERATION/MOTOR VEHICLES				102289
WORKERS' COMP ADMIN TF.....	74,613	74,800	187	2795
	=====	=====	=====	
PURCHASED CLIENT SERVICES				102933
WORKERS' COMP ADMIN TF.....	153,459	2,400,000	2,246,541	2795
	=====	=====	=====	
RISK MANAGEMENT INSURANCE				103241
WORKERS' COMP ADMIN TF.....	345,048	345,048		2795
	=====	=====	=====	

	COL A01	COL B04	COL B04-A01	
			APPROV BUD	
			12-13 HDF	
			OVER(UNDER)	
	ACT PR YR	APPROV BUD	ACT PR YR	
	EXP 2012-13	12-13 HDF	EXP 2012-13	
	POS	AMOUNT	POS	AMOUNT
	POS	AMOUNT	POS	AMOUNT
				CODES
FINANCIAL SERVICES				43000000
PGM: WORKERS' COMPENSATION				43600000
<u>WORKERS' COMPENSATION</u>				43600100
SPECIAL CATEGORIES				100000
LEASE/PURCHASE/EQUIPMENT				105281
WORKERS' COMP ADMIN TF	66,689	75,820	9,131	2795
WORKERS' COMP SPEC DISAB TF	1,266	1,580	314	2798
TOTAL APPRO.....	67,955	77,400	9,445	
TR/DMS/HR SVCS/STW CONTRCT				107040
WORKERS' COMP ADMIN TF	102,126	103,422	1,296	2795
WORKERS' COMP SPEC DISAB TF	6,605	6,605		2798
TOTAL APPRO.....	108,731	110,027	1,296	
PGM: FINANCIAL SVCS COMM				43900000
OFFICE OF INSURANCE REG				43900100
<u>COMP & ENFORCE- INSURANCE</u>				43900110
SALARIES AND BENEFITS				010000
INSURANCE REG TF.....	14,975,603	15,090,133	114,530	2393
OTHER PERSONAL SERVICES				030000
INSURANCE REG TF.....	228,000	228,000		2393
EXPENSES				040000
INSURANCE REG TF.....	2,033,393	2,402,374	368,981	2393
OPERATING CAPITAL OUTLAY				060000
INSURANCE REG TF.....	86,337	94,000	7,663	2393

	COL A01	COL B04	COL B04-A01	
			APPROV BUD	
			12-13 HDF	
			OVER(UNDER)	
	ACT PR YR	APPROV BUD	ACT PR YR	
	EXP 2012-13	12-13 HDF	EXP 2012-13	
	POS	AMOUNT	POS	AMOUNT
	POS	AMOUNT	POS	AMOUNT
				CODES
FINANCIAL SERVICES				43000000
PGM: FINANCIAL SVCS COMM				43900000
OFFICE OF INSURANCE REG				43900100
COMP & ENFORCE- INSURANCE				43900110
SPECIAL CATEGORIES				100000
FL PUBLIC HURR LOSS MODEL				100515
INSURANCE REG TF.....	588,639	588,639		2393
PROPERTY/CASUALTY EXAMS				100523
INSURANCE REG TF.....	1,628,933	4,651,763	3,022,830	2393
LIFE AND HEALTH EXAMS				100524
INSURANCE REG TF.....	195,939	275,000	79,061	2393
CONTRACTED SERVICES				100777
INSURANCE REG TF.....	631,482	768,016	136,534	2393
RISK MANAGEMENT INSURANCE				103241
INSURANCE REG TF.....	262,960	262,960		2393
LEASE/PURCHASE/EQUIPMENT				105281
INSURANCE REG TF.....	16,506	18,989	2,483	2393
TR/DMS/HR SVCS/STW CONTRCT				107040
INSURANCE REG TF.....	87,347	87,347		2393

	COL A01	COL B04	COL B04-A01	
			APPROV BUD	
			12-13 HDF	
			OVER(UNDER)	
	ACT PR YR	APPROV BUD	ACT PR YR	
	EXP 2012-13	12-13 HDF	EXP 2012-13	
	POS	AMOUNT	POS	AMOUNT
	POS	AMOUNT	POS	AMOUNT
				CODES
FINANCIAL SERVICES				43000000
PGM: FINANCIAL SVCS COMM				43900000
OFFICE OF INSURANCE REG				43900100
EXEC DIR & SUPORT SERVICES				43900120
SALARIES AND BENEFITS				010000
INSURANCE REG TF.....	2,499,588	2,542,850	43,262	2393
EXPENSES				040000
INSURANCE REG TF.....	92,477	92,643	166	2393
SPECIAL CATEGORIES				100000
CONTRACTED SERVICES				100777
INSURANCE REG TF.....	106,973	117,710	10,737	2393
LEASE/PURCHASE/EQUIPMENT				105281
INSURANCE REG TF.....	8,573	9,314	741	2393
TR/DMS/HR SVCS/STW CONTRCT				107040
INSURANCE REG TF.....	12,206	12,206		2393
OFFICE OF FINANCIAL REG				43900500
SFTY & SOUND ST BKG SYST				43900530
SALARIES AND BENEFITS				010000
FINANCIAL INST REG TF.....	7,610,855	8,495,300	884,445	2275
OTHER PERSONAL SERVICES				030000
FINANCIAL INST REG TF.....	767,790	872,000	104,210	2275

	COL A01	COL B04	COL B04-A01	
			APPROV BUD	
			12-13 HDF	
			OVER(UNDER)	
	ACT PR YR	APPROV BUD	ACT PR YR	
	EXP 2012-13	12-13 HDF	EXP 2012-13	
	POS	AMOUNT	POS	AMOUNT
	-----	-----	-----	-----
FINANCIAL SERVICES				43000000
PGM: FINANCIAL SVCS COMM				43900000
OFFICE OF FINANCIAL REG				43900500
SFTY & SOUND ST BKG SYST				43900530
EXPENSES				040000
FINANCIAL INST REG TF.....	1,598,314	1,747,752	149,438	2275
	=====	=====	=====	
OPERATING CAPITAL OUTLAY				060000
FINANCIAL INST REG TF.....	113,441	117,130	3,689	2275
	=====	=====	=====	
SPECIAL CATEGORIES				100000
CONTRACTED SERVICES				100777
FINANCIAL INST REG TF.....	214,329	367,012	152,683	2275
	=====	=====	=====	
RISK MANAGEMENT INSURANCE				103241
FINANCIAL INST REG TF.....	39,228	39,228		2275
	=====	=====	=====	
LEASE/PURCHASE/EQUIPMENT				105281
FINANCIAL INST REG TF.....	20,608	28,872	8,264	2275
	=====	=====	=====	
TR/DMS/HR SVCS/STW CONTRCT				107040
FINANCIAL INST REG TF.....	41,520	41,520		2275
	=====	=====	=====	
FINANCIAL INVESTIGATIONS				43900540
SALARIES AND BENEFITS				010000
ADMINISTRATIVE TRUST FUND.....	1,911,233	2,370,704	459,471	2021
	=====	=====	=====	

	COL A01	COL B04	COL B04-A01	
			APPROV BUD	
			12-13 HDF	
			OVER(UNDER)	
	ACT PR YR	APPROV BUD	ACT PR YR	
	EXP 2012-13	12-13 HDF	EXP 2012-13	
	POS	AMOUNT	POS	AMOUNT
	-----	-----	-----	-----
FINANCIAL SERVICES				43000000
PGM: FINANCIAL SVCS COMM				43900000
OFFICE OF FINANCIAL REG				43900500
FINANCIAL INVESTIGATIONS				43900540
OTHER PERSONAL SERVICES				030000
ADMINISTRATIVE TRUST FUND.....	4,928	5,321	393	2021
	=====	=====	=====	
EXPENSES				040000
ADMINISTRATIVE TRUST FUND	293,823	493,557	199,734	2021
FED LAW ENFORCEMENT TF	1,629	51,758	50,129	2719
	-----	-----	-----	
TOTAL APPRO.....	295,452	545,315	249,863	
	=====	=====	=====	
OPERATING CAPITAL OUTLAY				060000
ADMINISTRATIVE TRUST FUND.....	1,005	10,600	9,595	2021
	=====	=====	=====	
SPECIAL CATEGORIES				100000
CONTRACTED SERVICES				100777
ADMINISTRATIVE TRUST FUND.....	12,479	36,354	23,875	2021
	=====	=====	=====	
RISK MANAGEMENT INSURANCE				103241
ADMINISTRATIVE TRUST FUND.....	21,275	21,275		2021
	=====	=====	=====	
LEASE/PURCHASE/EQUIPMENT				105281
ADMINISTRATIVE TRUST FUND.....	8,324	15,809	7,485	2021
	=====	=====	=====	
TR/DMS/HR SVCS/STW CONTRCT				107040
ADMINISTRATIVE TRUST FUND.....	20,042	20,042		2021
	=====	=====	=====	

	COL A01	COL B04	COL B04-A01	
			APPROV BUD	
			12-13 HDF	
			OVER(UNDER)	
	ACT PR YR	APPROV BUD	ACT PR YR	
	EXP 2012-13	12-13 HDF	EXP 2012-13	
	POS	AMOUNT	POS	AMOUNT
	-----	-----	-----	-----
FINANCIAL SERVICES				43000000
PGM: FINANCIAL SVCS COMM				43900000
OFFICE OF FINANCIAL REG				43900500
EXEC DIR & SUPPORT SERVICE				43900550
SALARIES AND BENEFITS				010000
ADMINISTRATIVE TRUST FUND.....	1,477,908	1,776,145	298,237	2021
	=====	=====	=====	
OTHER PERSONAL SERVICES				030000
ADMINISTRATIVE TRUST FUND.....	17,887	150,000	132,113	2021
	=====	=====	=====	
EXPENSES				040000
ADMINISTRATIVE TRUST FUND.....	210,928	422,548	211,620	2021
	=====	=====	=====	
SPECIAL CATEGORIES				100000
CONTRACTED SERVICES				100777
ADMINISTRATIVE TRUST FUND.....	24,171	61,048	36,877	2021
	=====	=====	=====	
RISK MANAGEMENT INSURANCE				103241
ADMINISTRATIVE TRUST FUND.....	16,289	16,289		2021
	=====	=====	=====	
LEASE/PURCHASE/EQUIPMENT				105281
ADMINISTRATIVE TRUST FUND.....	9,674	10,004	330	2021
	=====	=====	=====	
TR/DMS/HR SVCS/STW CONTRCT				107040
ADMINISTRATIVE TRUST FUND.....	15,341	15,341		2021
	=====	=====	=====	

	COL A01	COL B04	COL B04-A01	
			APPROV BUD	
			12-13 HDF	
			OVER(UNDER)	
	ACT PR YR	APPROV BUD	ACT PR YR	
	EXP 2012-13	12-13 HDF	EXP 2012-13	
	POS	AMOUNT	POS	AMOUNT
	POS	AMOUNT	POS	AMOUNT
				CODES
FINANCIAL SERVICES				43000000
PGM: FINANCIAL SVCS COMM				43900000
OFFICE OF FINANCIAL REG				43900500
FINANCE REGULATION				43900560
SPECIAL CATEGORIES				100000
LEASE/PURCHASE/EQUIPMENT				105281
REGULATORY TRUST FUND.....	27,208	34,995	7,787	2573
TR/DMS/HR SVCS/STW CONTRCT				107040
REGULATORY TRUST FUND.....	35,754	35,754		2573
SECURITIES REGULATION				43900570
SALARIES AND BENEFITS				010000
REGULATORY TRUST FUND.....	4,847,746	6,311,004	1,463,258	2573
OTHER PERSONAL SERVICES				030000
ANTI-FRAUD TRUST FUND	580	32,538	31,958	2038
REGULATORY TRUST FUND		4,466	4,466	2573
TOTAL APPRO.....	580	37,004	36,424	
EXPENSES				040000
ANTI-FRAUD TRUST FUND	4,468	62,885	58,417	2038
REGULATORY TRUST FUND	466,099	681,023	214,924	2573
TOTAL APPRO.....	470,567	743,908	273,341	
OPERATING CAPITAL OUTLAY				060000
ANTI-FRAUD TRUST FUND	9,585	24,528	14,943	2038
REGULATORY TRUST FUND		4,566	4,566	2573


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*****
* BPEXBL01                                STATISTICAL INFORMATION                10/15/2013 11:08:59:*
* BUDGET PERIOD: 2004-2015                EXHIBIT B REPORT REQUEST                TJM 43      SP      *
* COMPILE DATE: 08/21/2013                COMPILE TIME: 14:36:23                    PAGE:      1      *
*****
*
*                               SAVE INITIALS:          SAVE DEPARTMENT: 07      SAVE ID: EXBD          *
* -----*
* ITEMIZATION OF EXPENDITURE:                IOE ACCUMULATION LEVEL: 0 (1=OPER/FCO, 2=IOE, 0=MERGED) *
* SECTION:                                MERGE SECTIONS (Y/N): Y *
* MERGE GROUPS (Y/N): Y *
* BUDGET ENTITY OR GROUP/ACCUMULATION LEVEL (DEP, DIV, BUR, SUB, LBE, MRG): *
*   1-7: 43      LBE *
*   8-14: *
*   15-21: *
*   22-27: *
* EXCLUDE: *
*
* PROGRAM COMPONENT/ACCUMULATION LEVEL (1, 2, 3, 4 OR 5 FOR 2, 4, 6, 8 OR 10 DIGITS, 0=MERGED): *
*   0          0          0          0          0          0 *
*
* APPROPRIATION CATEGORY OR GROUP/ACCUMULATION LEVEL (1=MAJOR, 2=MINOR, 0=MERGED): *
*   2 *
* FUND GROUPS SET:          OR FUND:          FUNDING SOURCE IDENTIFIER:          MERGE FSI (Y/N): Y *
* FCO (Y/N): N      FTE (Y/N): N          SALARY RATE (Y/N): N *
* -----*
* COLUMN SELECTION/P=PERCENTAGE OF TOTAL COLUMN: *
*   A01          B04          B04-A01          CODES *
*
* REPORT COLUMNS WITH CALCULATION DIFFERENCE ONLY (Y/N): N THAT EXCEED: *
*
* LEVELS OF TOTALS: (N=NO TOTAL, L=LINE TOTAL, T=BY FUND TYPE, D=BY DETAIL FUND, B=BY DETAIL FUND AND FUND TYPE, *
*   G=FUND GROUP LINE TOTALS, E=BY DETAIL FUND AND FUND GROUP) *
*   RUN: L      ITEM OF EXP: N      GROUP/SECTION: N      DEPARTMENT: N      DIVISION: N      BUREAU: N      SUB-BUREAU: N *
*   LBE: N      PROG COMP: N      MAJOR APP CAT: N      MINOR APP CAT: D *
*
*
* APPROPRIATION CATEGORY TITLES: S          SORT OPTION: A          REPORT SEQUENCE: *
*   (S=SHORT, L=LONG)          A=ITEM OF EXP/BUDGET ENTITY          DEPT/BUDGET ENTITY: N      A=ALPHABETICAL *
*                               B=BUDGET ENTITY/ITEM OF EXP          PROGRAM COMPONENT: N      N=NUMERICAL *
* -----*
*   DEPARTMENT NARRATIVE SET: *
* BUDGET ENTITY NARRATIVE SET: *
*
* INCLUDE COLUMN CODES (Y/N): Y *
*
*
* OUTPUT FORMAT: L          PAGE BREAKS: DEP *
*   L=LANDSCAPE          (IOE, GRP, DEP, DIV, BUR,      REPORT HEADING:  ACTUAL PR YR EXPENDITURES 2012-2013 *
*   P=PORTRAIT          SUB, LBE, PRC, MAC, NAC)          COMPARED TO 2012-2013 STATE ACCOUNTS *
*                               DISBURSEMENTS PLUS APPROV CARRY FORWARD *
* -----*

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* BPEXBL01                               STATISTICAL INFORMATION                10/15/2013 11:08:59:*
* BUDGET PERIOD: 2004-2015                EXHIBIT B REPORT REQUEST                TJM 43      SP      *
* COMPILE DATE: 08/21/2013                COMPILE TIME: 14:36:23                PAGE:      2      *
*****
*
* TOTAL NUMBER RECORDS READ FROM SORT:    585
* TOTAL NUMBER RECORDS READ FROM CARD:    34
* TOTAL NUMBER RECORDS READ FROM ACF:     40
* TOTAL NUMBER RECORDS READ FROM BEF:    120
* TOTAL NUMBER RECORDS READ FROM BEN:     0
* TOTAL NUMBER RECORDS READ FROM BGF:     0
* TOTAL NUMBER RECORDS READ FROM FCF:    14
* TOTAL NUMBER RECORDS READ FROM FSF:     0
* TOTAL NUMBER RECORDS READ FROM IEF:     0
* TOTAL NUMBER RECORDS READ FROM PCF:     0
* TOTAL NUMBER RECORDS READ FROM SNF:     0
*
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COL A03		COL A04		COL A05		
AGY REQUEST		AGY REQ N/R		AG REQ ANZ		
FY 2014-15		FY 2014-15		FY 2014-15		
POS	AMOUNT	POS	AMOUNT	POS	AMOUNT	CODES

NO RECORDS SELECTED FOR REPORTING

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* BPEADL01                                STATISTICAL INFORMATION                                10/15/2013 11:09:03 *
* BUDGET PERIOD: 2004-2015                EXHIBIT A, D AND D-3A LIST REQUEST                TJM 43      SP      *
* COMPILE DATE: 12/28/2012                COMPILE TIME: 10:44:48                                PAGE:      1      *
*****
*                                     SAVE INITIALS:          SAVE DEPARTMENT: 07      SAVE ID: FSIA
* -----
* SELECT CODES AND ACCUMULATION LEVELS WHERE ALLOWED.  WHEN NO CODE IS SELECTED, ALL CODES WILL BE REPORTED.
* ITEMIZATION OF EXPENDITURE:                IOE ACCUMULATION LEVEL: 0 (1=OPER/FCO, 2=IOE, 0=MERGED)
* MERGE GROUPS (Y/N): Y
* BUDGET ENTITY OR GROUP/ACCUMULATION LEVEL (DEP, DIV, BUR, SUB, LBE, MRG):
*   1-7: 43      LBE
*   8-14:
*   15-21:
*   22-27:
* EXCLUDE:
*
* PROGRAM COMPONENT/ACCUMULATION LEVEL (1, 2, 3, 4 OR 5 FOR 2, 4, 6, 8 OR 10 DIGITS, 6=MERGE POLICY, 0=MERGED):
*   5
*
* APPROPRIATION CATEGORY OR GROUP/ACCUMULATION LEVEL (1=MAJOR, 2=MINOR, 0=MERGED):
*   2
*
* FUND GROUPS SET:          OR FUND:                FUNDING SOURCE IDENTIFIER: 0          MERGE FSI (Y/N): N
* FCO (Y/N): N      FTE (Y/N): N          SALARY RATE (Y/N): N
* -----
* ISSUE CODE OR GROUP/ACCUMULATION LEVEL (1, 2 OR 3 FOR 1, 3 OR 7 CHARACTERS, 0=MERGED):
*   3
*
* REPORT OPTION: 1
* 1=EAD REPORT
* 2=SCHEDULE IV/IT ISSUES      COLUMN SELECTION: A03          A04          A05          CODES
* 3=STATEWIDE ISSUES
* 4=SCHEDULE VIIIA ISSUES      REPORT COLUMNS WITH CALCULATION DIFFERENCE ONLY (Y/N): N  THAT EXCEED:
*
* LEVELS OF TOTALS:  (N=NO TOTAL, L=LINE TOTAL, T=BY FUND TYPE, D=BY DETAIL FUND, B=BY DETAIL FUND AND FUND TYPE,
*                    G=FUND GROUP LINE TOTALS, E=BY DETAIL FUND AND FUND GROUP)
*   RUN: N          ITEM OF EXP: N          GROUP: N          DEPARTMENT: N          DIVISION: N          BUREAU: N
*   SUB-BUREAU: N          LBE: T          POLICY AREA: N          PROG COMP: T          D3A SUM ISSUE: N          D3A DETAIL ISSUE: L
*   MAJOR APP CAT: N          MINOR APP CAT: D
*
* APPROPRIATION CATEGORY TITLES: S (S=SHORT, L=LONG)          REPORT SEQUENCE: DEPT/BUDGET ENTITY: N  A=ALPHABETICAL
*                                     PROGRAM COMPONENT: N  N=NUMERICAL
* -----
* DEPARTMENT NARRATIVE SET:
* BUDGET ENTITY NARRATIVE SET:                PROGRAM COMPONENT NARRATIVE (Y/N): N
*
* ISSUE/ACTIVITY NARRATIVE SET:                PRIORITY ISSUE NARRATIVE SET (1-9):
*
* INCLUDE POSITION DATA (Y/N): N
*
* INCLUDE COLUMN CODES (Y/N): Y
*
* OUTPUT FORMAT: L          PAGE BREAKS: LBE
* L=LANDSCAPE                (IOE, GRP, DEP, DIV,          REPORT HEADING: FUNDING SOURCE IDENTIFER AUDIT REPORT
* P=PORTRAIT                BUR, SUB, LBE, PRC,
*                               SIS, ISC)
* -----

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* BPEADL01                               STATISTICAL INFORMATION                10/15/2013 11:09:03 *
* BUDGET PERIOD: 2004-2015              EXHIBIT A, D AND D-3A LIST REQUEST          TJM 43      SP   *
* COMPILE DATE: 12/28/2012              COMPILE TIME: 10:44:48                      PAGE:      2   *
*****
*
* TOTAL RECORDS READ FROM SORT:          0
* TOTAL RECORDS READ FROM CARD:         43
* TOTAL PAF RECORDS READ:                0
* TOTAL OAF RECORDS READ:                0
* TOTAL IEF RECORDS READ:                0
* TOTAL BGF RECORDS READ:                0
* TOTAL BEF RECORDS READ:                0
* TOTAL PCF RECORDS READ:                0
* TOTAL ICF RECORDS READ:                0
* TOTAL INF RECORDS READ:                0
* TOTAL ACF RECORDS READ:                0
* TOTAL FCF RECORDS READ:                0
* TOTAL FSF RECORDS READ:                10
* TOTAL PCN RECORDS READ:                0
* TOTAL BEN RECORDS READ:                0
* TOTAL DPC RECORDS READ:                0
* TOTAL RECORDS IN ERROR:                0
*
*****

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BUDGET	APPROP	A01-A36	A01-A36
ENTITY	CAT	FUND	ALL FUNDS
			FTE

*** NO RECORDS SELECTED FOR REPORTING ***

*** END OF REPORT ***

* PGENLP02 STATISTICAL INFORMATION 10/15/2013 11:09 *

* BUDGET PERIOD: 2004-2015 GENERIC REPORT REQUEST TJM 43 SP 37 *

* PAGE: 2 *

* OUTPUT FORMAT: L (L=LANDSCAPE, P=PORTRAIT) PAGE SIZE: L (S=STD, L=LEGAL) *

* DATA FORMAT: (ENTER NUMBERS SEQUENTIALLY BEGINNING WITH '1'. PRESS PF1 TO DISPLAY TOTAL POSITIONS USED ON REPORT.) *

SELECT (OPTIONAL)	SELECT (OPTIONAL)	SELECT (OPTIONAL)
CODE TITLE (WIDTH)	CODE TITLE (WIDTH)	CODE TITLE (WIDTH)
ITEM OF EXP: 5 (28)	SECTION: 6 (37)	
BUDGET ENTITY: 01 (10) (28/17) (28)	PROG COMPONENT: 12 (28)	APPROP CATEGORY: 05 (8) (28)
FUND/FUND GROUP: 06 (6) (28)	FUND SRCE IDENT: 5 (28)	OBJECT: 8 (28)
D-3A SUM ISSUE: 9 (37)	DETAIL ISSUE: 9 (37)	

* REPORT DOLLARS IN MILLIONS (13 EACH)(Y/N): N *

SELECT: COLUMN FUND* HEADING LINES (OPTIONAL)	SELECT: COLUMN FUND* HEADING LINES (OPTIONAL)
08 (19) A01-A36 B A01-A36	09 (19) A01-A36 A A01-A36
(19) B	(19) B
(19) B	(19) B

* SORT SEQUENCE: (ENTER '1' THRU '3' IN THE SEQUENCE YOU WISH FIELDS SORTED.) *

PAGE				PAGE				PAGE			
SORT		TOTALS	BREAKS	SORT		TOTALS	BREAKS	SORT		TOTALS	BREAKS
CODE	TITLE	(Y/N)	(Y/N)	CODE	TITLE	(Y/N)	(Y/N)	CODE	TITLE	(Y/N)	(Y/N)
ITEM OF EXP: -		N	N	SECTION: -		N	N	APPROP CATEGORY: -		N	N
BUDGET ENTITY: -		N	N	PROG COMPONENT: -		N	N	OBJECT: -		N	N
FUND: -		N	N	FUND SRCE IDENT: -		N	N				
D-3A SUM ISSUE: -		N	N	D-3A DETAIL ISSUE: -		N	N				

SORT: COLUMN FUND HEADING LINES (OPTIONAL)	SORT: COLUMN FUND HEADING LINES (OPTIONAL)
- A01-A36 B A01-A36	- A01-A36 A A01-A36
- B	- B
- B	- B

REPORT HEADING: VERIFY ACTUAL PRIOR YEAR AUDIT
 (A36 = A01)

* BDD RECORDS SELECTED: 0 *

* PLBRLP01
* BUDGET PERIOD: 2004-2015

STATISTICAL INFORMATION
LEGISLATIVE BUDGET REQUEST (L.B.R.)

10/15/2013 11:09 *
TJM 43 SP 14 *
PAGE: 1 *

SAVE INITIALS: SAVE DEPARTMENT: 07 SAVE ID: LBRA

* BUDGET ENTITY OR GROUP: 43 PROGRAM COMPONENT: _____

* SELECT THOSE EXHIBITS	<u>N</u>	EXHIBIT A	COLUMNS:	_____	_____	_____	_____	_____	_____	
* AND SCHEDULES YOU	<u>N</u>	EXHIBIT B		_____	_____	_____	_____	_____	_____	
* WISH TO ORDER (Y/N):	<u>N</u>	EXHIBIT D		_____	_____	_____	_____	_____	_____	
	<u>N</u>	EXHIBIT D-1		_____	_____	_____	_____	_____	_____	
	<u>N</u>	EXHIBIT D-3A		_____	_____	_____	_____	_____	_____	
	<u>N</u>	SCHEDULE I		_____	_____	_____	_____	_____	_____	
	<u>N</u>	SCHEDULE I		_____	_____	_____	_____	_____	_____	
	<u>N</u>	SCHEDULE II	BDF:	_____	_____	_____	CURRENT POSITION:	_____	_____	
	<u>N</u>	SCHEDULE III	BDF:	_____	_____	_____	CURRENT POSITION:	_____	_____	
	<u>N</u>	SCHEDULE IV		_____	_____	_____	_____	_____	_____	
	<u>N</u>	SCHEDULE VIIIA		_____	_____	_____	_____	_____	_____	
	<u>N</u>	SCHEDULE VIIIB-1		_____	_____	_____	_____	_____	_____	
	<u>N</u>	SCHEDULE VIIIB-2		_____	_____	_____	_____	_____	_____	
	<u>N</u>	SCHEDULE VIIIC		_____	_____	_____	_____	_____	_____	
	<u>N</u>	SCHEDULE XI	TOTAL ALL FUNDS:	_____	JUNE 30 LEDGER:	_____	ACTIVITY:	_____	REVERSION:	_____

ACTIVITY ISSUE CODE OR GROUP:
TRANSFER-STATE AGENCIES:
AID TO LOCAL GOVERNMENT:

* SELECT THOSE AUDIT	<u>Y</u>	EXHIBIT D-1 AUDIT	COLUMNS:	<u>A01</u>	_____	_____	_____	_____	_____
* REPORTS YOU WISH	<u>Y</u>	SCHEDULE I AUDIT		<u>A01</u>	<u>A02</u>	<u>A03</u>	_____	_____	_____
* TO ORDER (Y/N):	<u>Y</u>	SCHEDULE I DEPT AUDIT		<u>A01</u>	<u>A02</u>	<u>A03</u>	_____	_____	_____
	<u>Y</u>	COLUMN SECURITY LISTING		<u>A01</u>	<u>A02</u>	<u>A03</u>	_____	_____	_____
	<u>Y</u>	NEGATIVE APPROPRIATION CATEGORY		<u>A03</u>	<u>A04</u>	<u>A03-A04</u>	_____	_____	<u>CODES</u>
	<u>Y</u>	BASE RATE AUDIT		<u>A03</u>	_____	_____	_____	_____	_____
	<u>Y</u>	EXH B - FLAIR EXP/APP LEDGER COMPARISON		<u>A01</u>	<u>B04</u>	<u>B04-A01</u>	_____	_____	<u>CODES</u>
	<u>Y</u>	EXH B - CURR YR EST VERIFICATION		_____	<u>B07-A02</u>	_____	_____	_____	<u>CODES</u>
	<u>Y</u>	EXH B - COLUMN FLOAT VERIFICATION		<u>A03</u>	<u>A12</u>	<u>A03-A12</u>	_____	_____	<u>CODES</u>
	<u>Y</u>	EXH B - ACT PR YR/ST ACCT + APPRVD CF		_____	<u>A01</u>	<u>B04</u>	<u>B04-A01</u>	<u>CODES</u>	_____
	<u>Y</u>	FUNDING SOURCE IDENTIFIER AUDIT		<u>A03</u>	<u>A04</u>	<u>A05</u>	_____	_____	<u>CODES</u>
	<u>Y</u>	COMPARE ACTIVITY TO BUDGET		_____	_____	_____	_____	_____	_____

*** END OF REPORT ***
