



CHIEF FINANCIAL OFFICER
JEFF ATWATER
STATE OF FLORIDA

LEGISLATIVE BUDGET REQUEST

October 15, 2014

Cynthia Kelly, 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

Cindy Kynoch, Staff Director
Senate Committee on Appropriations
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 2015-16 Fiscal Year. This submission has been approved by Jeff Atwater, Chief Financial Officer.

A handwritten signature in blue ink that reads "Jeff Atwater".

Jeff Atwater
Chief Financial Officer

JA:tjm



OFFICE OF INSURANCE REGULATION

FINANCIAL SERVICES
COMMISSION

RICK SCOTT
GOVERNOR

JEFF ATWATER
CHIEF FINANCIAL OFFICER

PAM BONDI
ATTORNEY GENERAL

ADAM PUTNAM
COMMISSIONER OF
AGRICULTURE

KEVIN M. MCCARTY
COMMISSIONER

October 15, 2014

Cynthia Kelly, Director
Office of Policy and Budget
Executive Office of the Governor
1701 Capitol
Tallahassee, FL 32399-0001

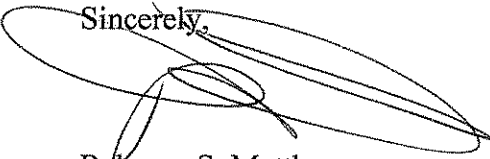
JoAnne Leznoff, Staff Director
House Appropriations Committee
221 Capitol
Tallahassee, FL 32399-1300

Cindy Kynoch, 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 2015-16 Fiscal Year. This submission has been approved by Kevin McCarty, Insurance Commissioner of the State of Florida.

Sincerely,



Rebecca S. Matthews
Chief of Staff



FLORIDA OFFICE OF FINANCIAL REGULATION

www.FLOFR.com

DREW J. BREAKSPEAR
COMMISSIONER

Legislative Budget Request

October 15, 2014

Cynthia Kelly, 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 The Capitol
Tallahassee, Florida 32399-1300

Cindy Kynoch, Staff Director
Senate Appropriations Committee
201 The Capitol
Tallahassee, Florida 3399-1100

Dear Directors:

Persuant 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 2015-16 Fiscal Year. This submission has been approved by Drew J. Breakspear, Commissioner.

Sincerely,

J. Ross Nobles
Chief Financial Officer
Office of Financial Regulation

Schedule VII – Agency Litigation Inventory

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:	David Hershel	Phone Number:	850-413-1606
Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	<i>Amerisure Mutual Insurance Company v. Department of Financial Services, Division of Workers' Compensation</i>		
Court with Jurisdiction:	Florida First District Court of Appeal		
Case Number:	1D14-0873		
Summary of the Complaint:	The department allegedly failed to apply credits resulting from premium refunds made to policyholders to reduce Special Disability Trust Fund and Workers' Compensation Administration Trust Fund assessments.		
Amount of the Claim:	\$451,542.70		
Specific Statutes or Laws (including GAA) Challenged:	Section 624.5094, Florida Statutes.		
Status of the Case:	Case is fully briefed. Oral Argument is scheduled for September 17, 2014, after which we'll wait for the Court's ruling.		
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).			

Office of Policy and Budget – July 2014

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	Phone Number:	850-413-5024
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:	\$		
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.

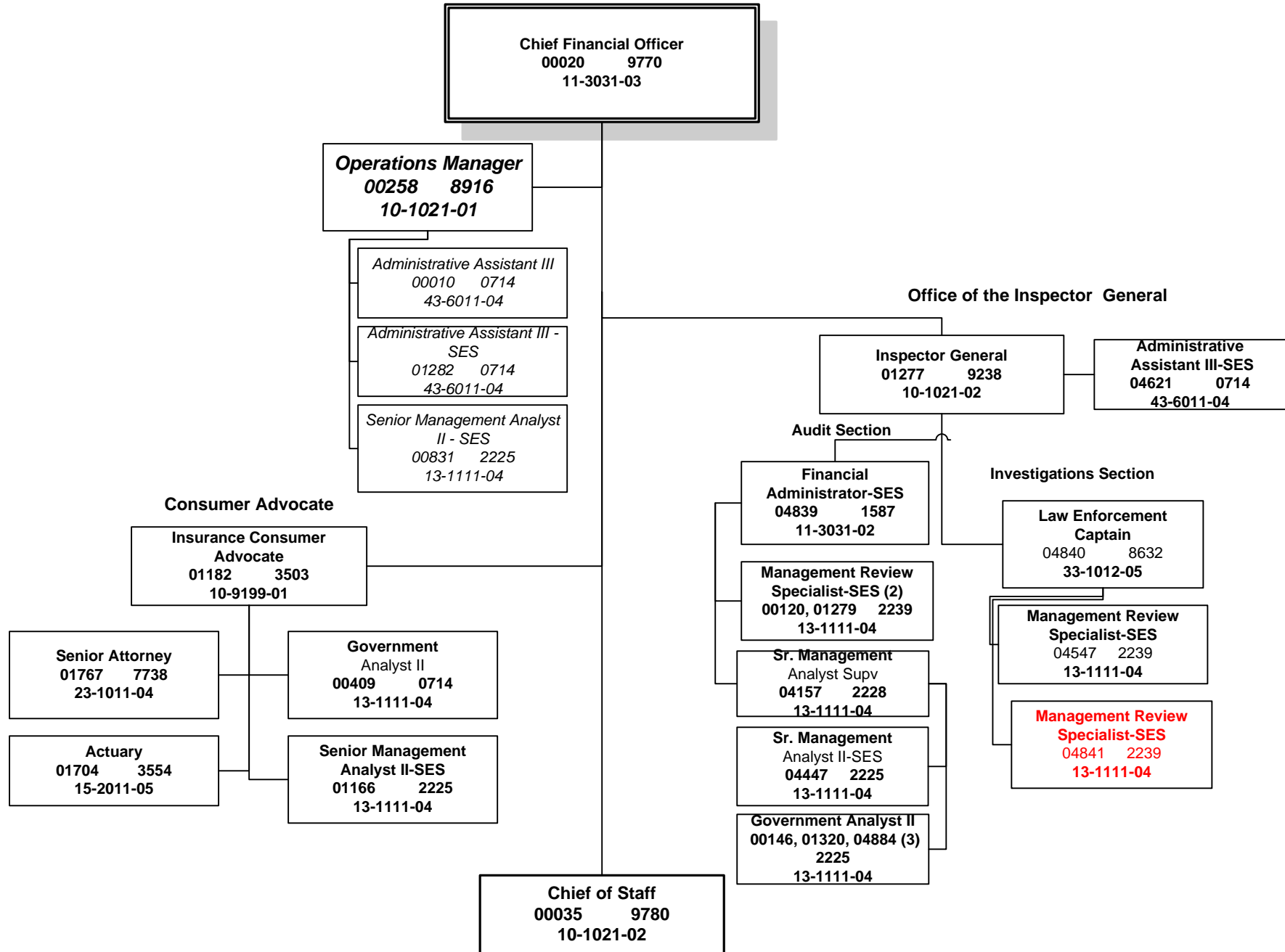
Agency:	Office of Financial Regulation		
Contact Person:	Ross Nobles	850-410-9771	
Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	Office of Financial Regulation and Office of the Attorney General v. Western Sky Financial, LLC, Cashcall, Inc., WS Funding, Delbert Services Corp., and John Paul Reddam.		
Court with Jurisdiction:	Circuit Court of the Thirteenth Judicial Circuit		
Case Number:	13-CA-015462		
Summary of the Complaint:	Action against Defendants for violation of Florida's Consumer Finance Act (Ch. 516, Florida Statutes), Florida's Interest Usury and Lending Practices (Ch. 687, Florida Statutes) and Florida Deceptive and Unfair Trade Practices act (Ch. 501, Part II, Florida Statutes).		
Amount of the Claim:	Not yet determined, but it is anticipated to be in excess of \$500,000.		
Specific Statutes or Laws (including GAA) Challenged:	N/A		
Status of the Case:	Currently in litigation.		
Who is representing (of record) the state in this lawsuit? Check all that apply.	X	Agency Counsel	
	X	Office of the Attorney General or Division of Risk Management	
		Outside Contract Counsel	
If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).	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.)	Office of Financial Regulation and Circle K		
Court with Jurisdiction:	N/A		
Case Number:			
Summary of the Complaint:	Action against Circle for unlicensed check cashing activity.		
Amount of the Claim:	Settlement fine of \$1 Million paid by Circle K		
Specific Statutes or Laws (including GAA) Challenged:	N/A		
Status of the Case:	Case settled		
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).	N/A		

Department of Financial Services Chief Financial Officer



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

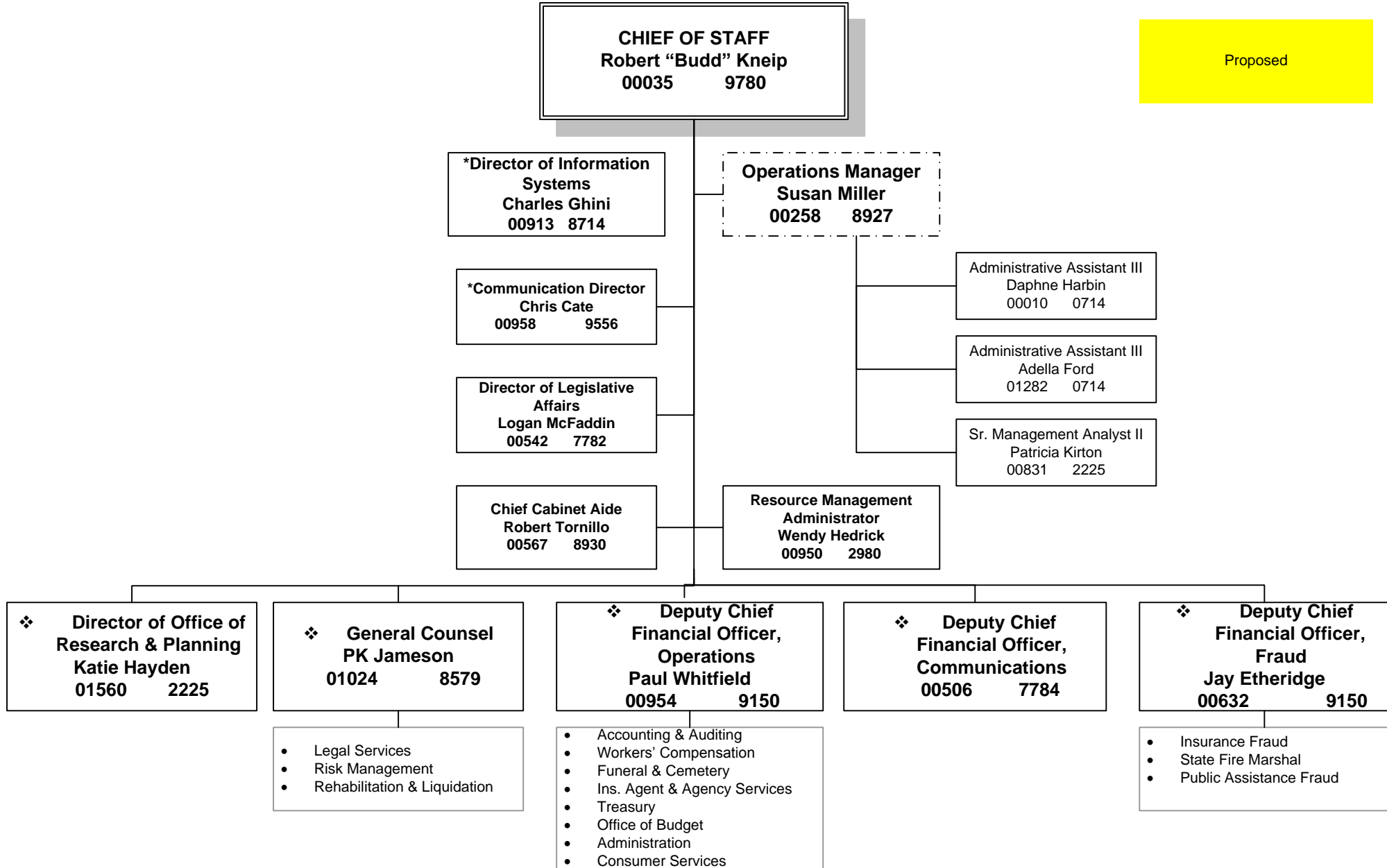
❖ FTE not Included in this Section
 Dotted Line = Administratively Assigned. FTE not counted.
 Italic = Organizationally Assigned. Reports elsewhere administratively. FTE counted.

Eff 7-1-14
 Rev 7-7-14

1-0-0

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

Proposed



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

Proposed

DEPUTY CHIEF
FINANCIAL
OFFICER
00506 7784

DCOS FTE: 1

❖ FTE not Included in this Section

Dotted Line = Administratively Assigned. FTE not counted.

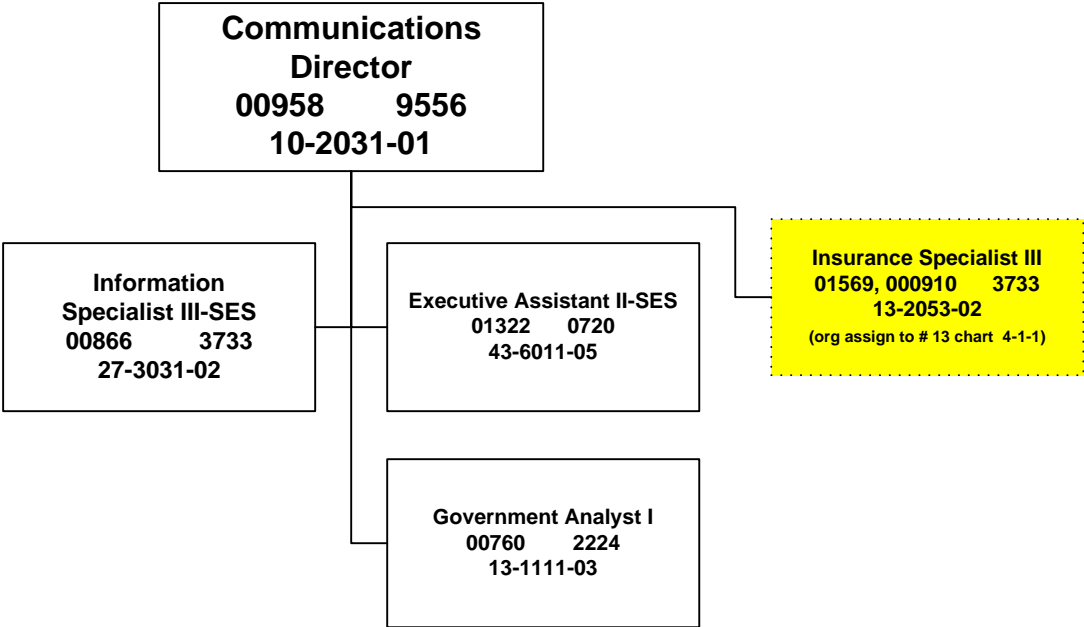
Italic = Organizationally Assigned. Reports elsewhere administratively. FTE counted.

Eff 02-15-13
Rev 10-30-13

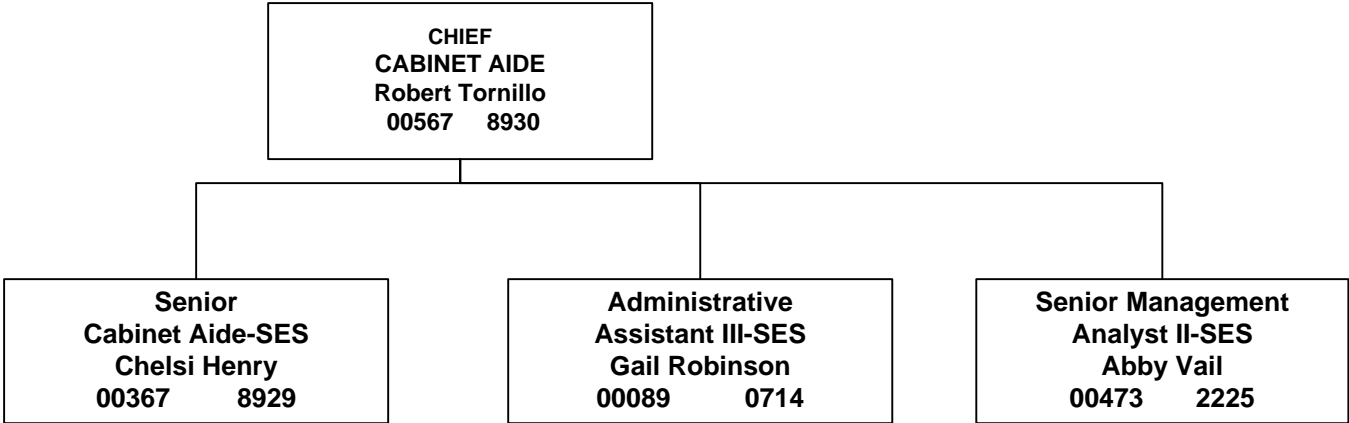
2-1-1

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

Proposed

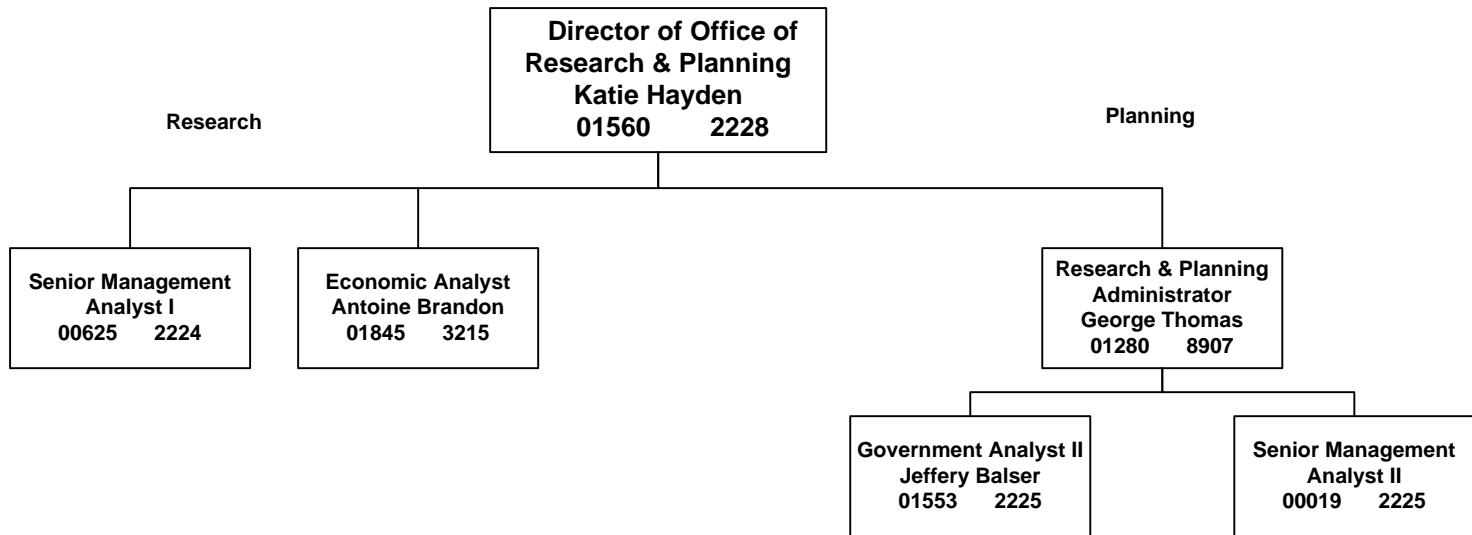


**Department of Financial Services
Office of the Chief of Staff
Office of the Deputy Chief of Staff
Office of Cabinet Affairs**



**Department of Financial Services
Office of the Chief of Staff
Office of Research & Planning**

Proposed



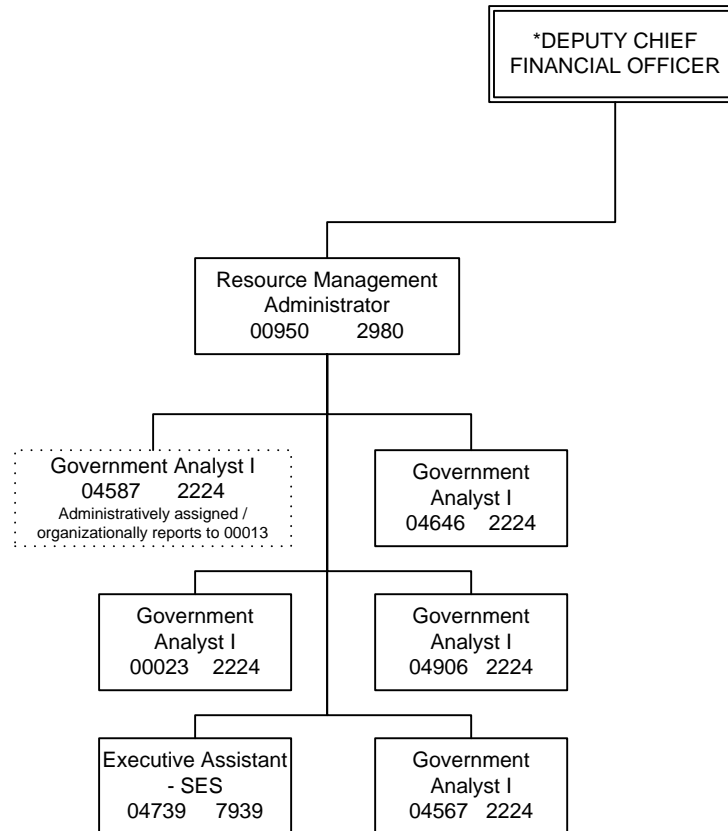
Total FTE = 7

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

Eff 04/01/13
Rev 04/09/13

2-1-4

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



DCOS FTE: 6

❖ FTE not Included in this Section

Dotted Line = Administratively Assigned. FTE not counted.

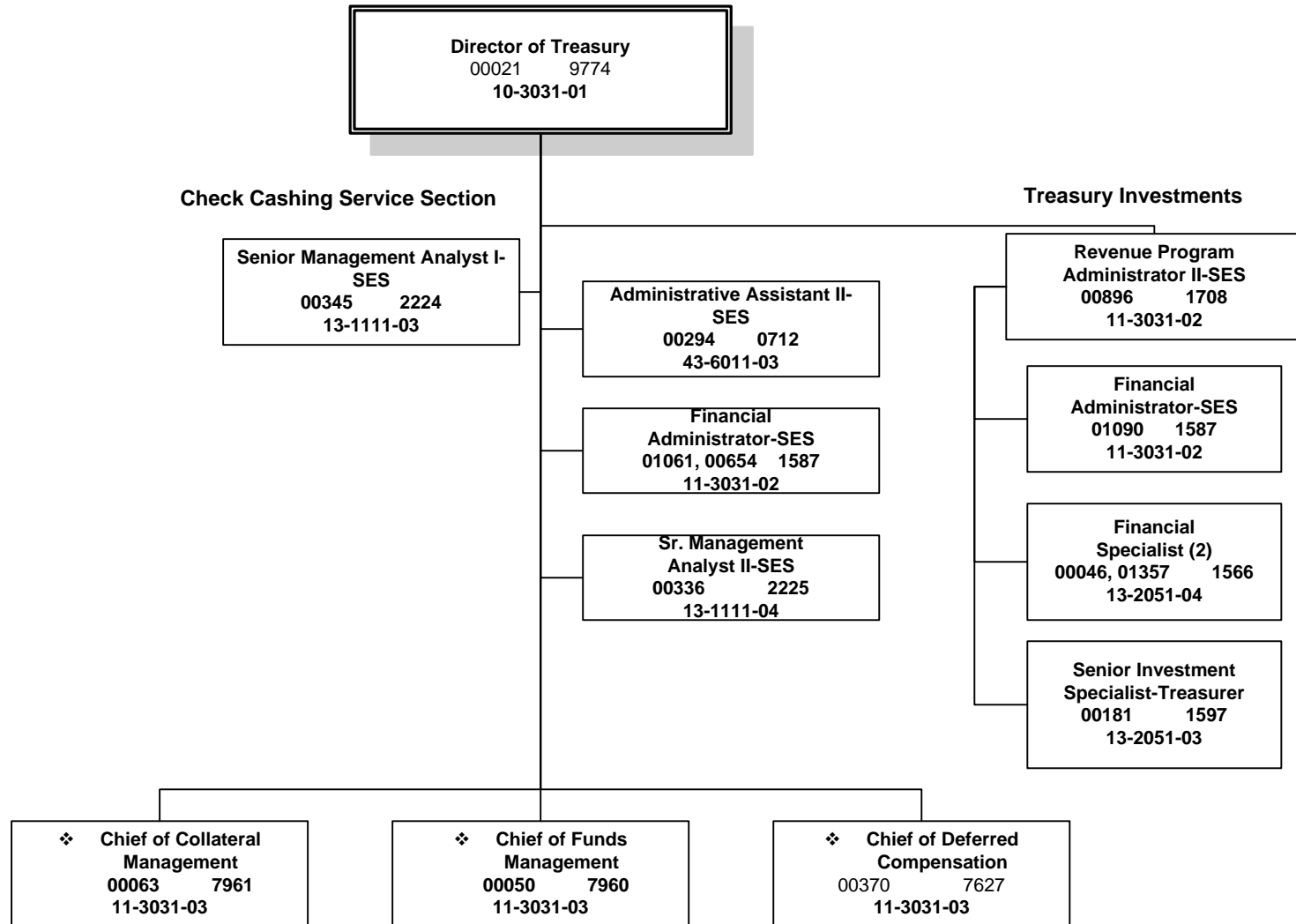
Italic = Organizationally Assigned. Reports elsewhere administratively. FTE counted.

Eff 03-2014

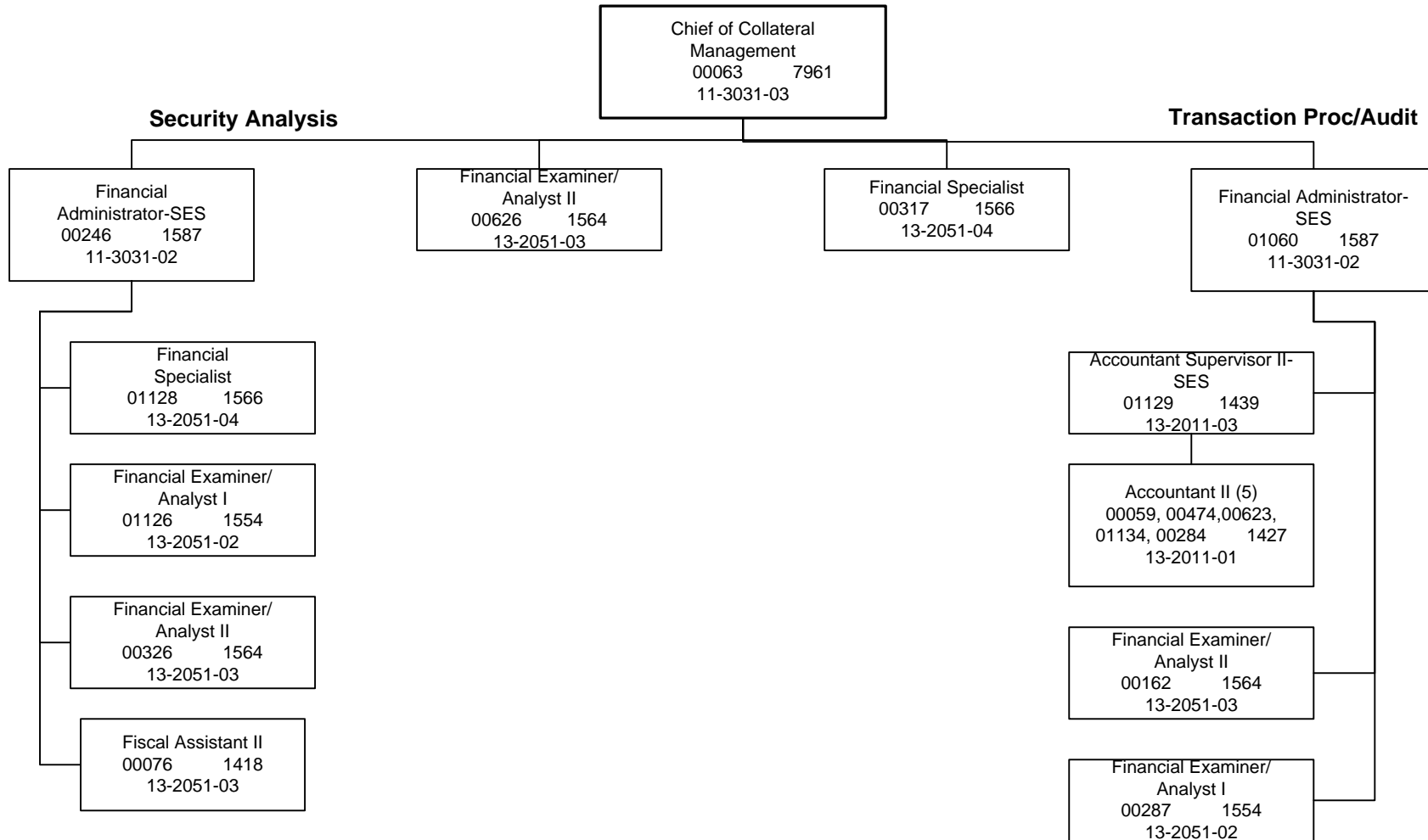
Rev 8-8-2014

2-1-1 (a)

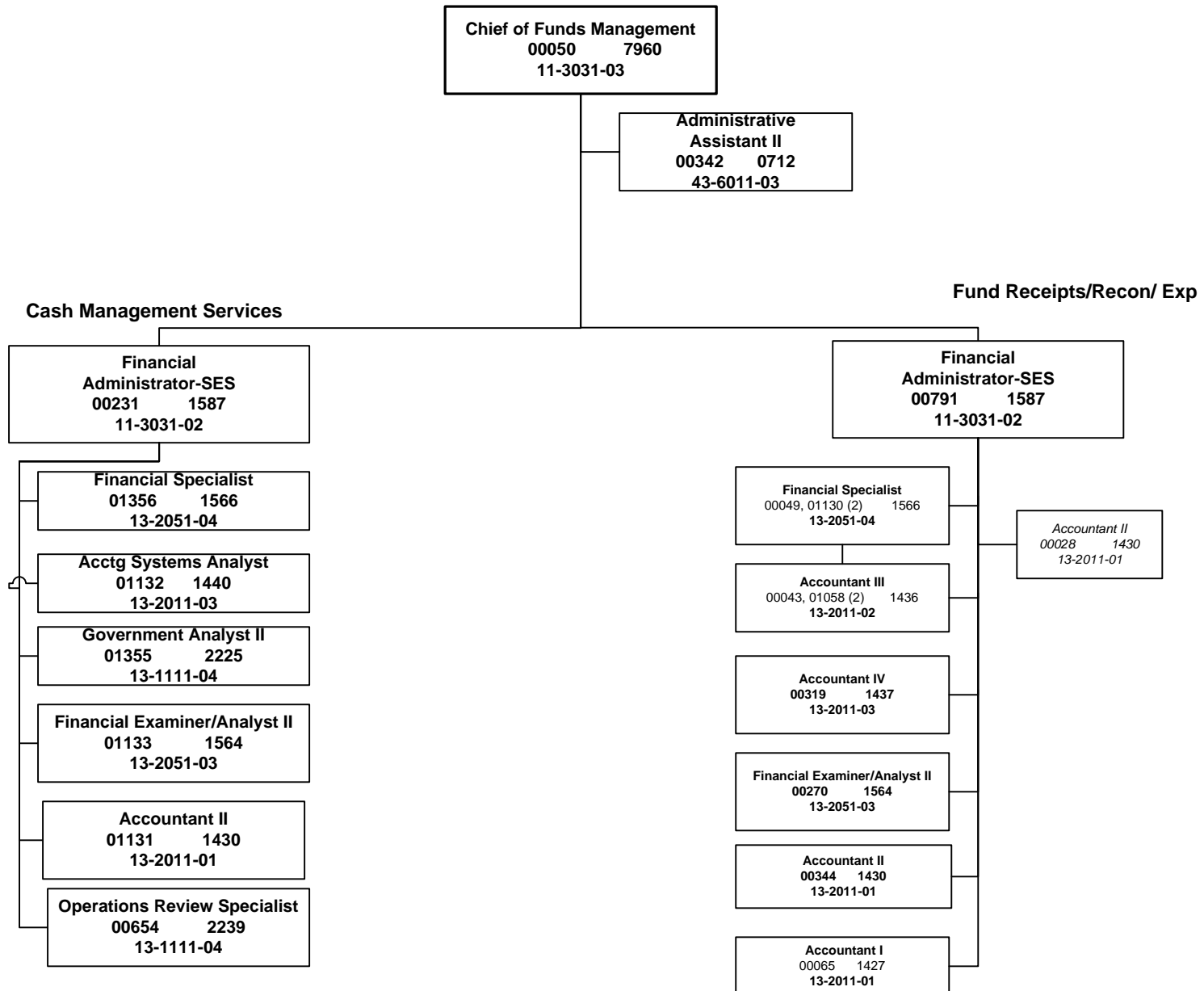
**Department of Financial Service
Office of the Deputy Chief Financial Officer
Division of Treasury
Office of the Director**



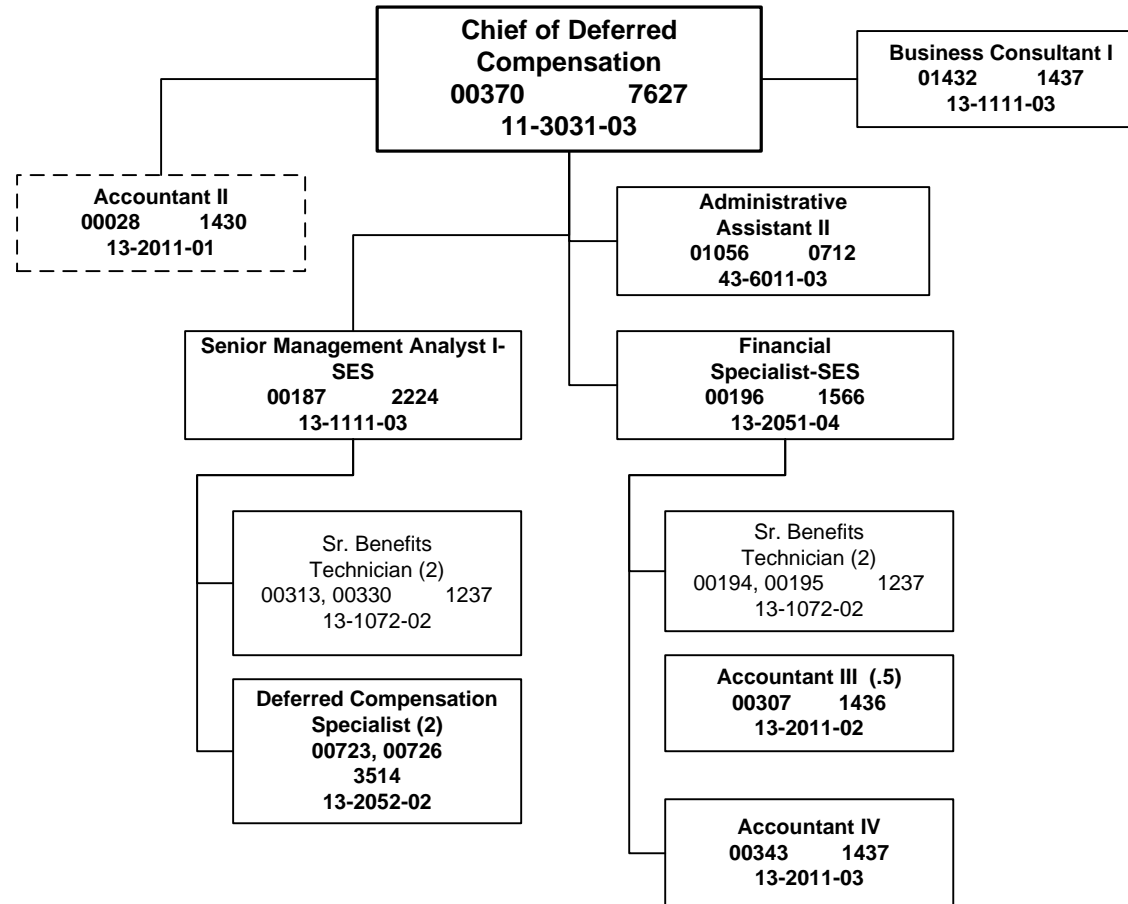
**Department of Financial Services
Office of the General Counsel
Division of Treasury
Bureau of Collateral Management**



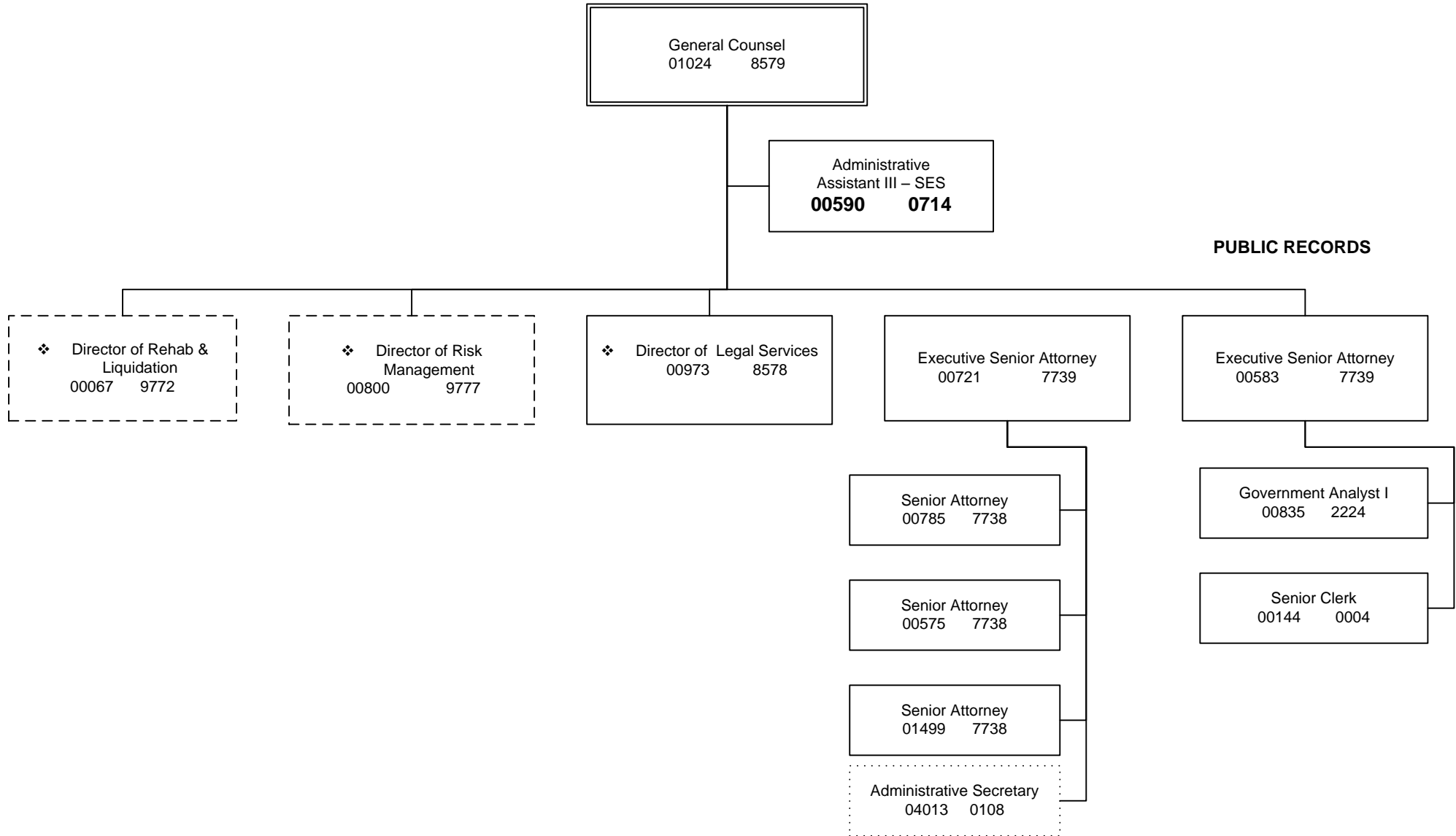
**Department of Financial Services
Office of the General Counsel
Division of Treasury
Bureau of Funds Management**



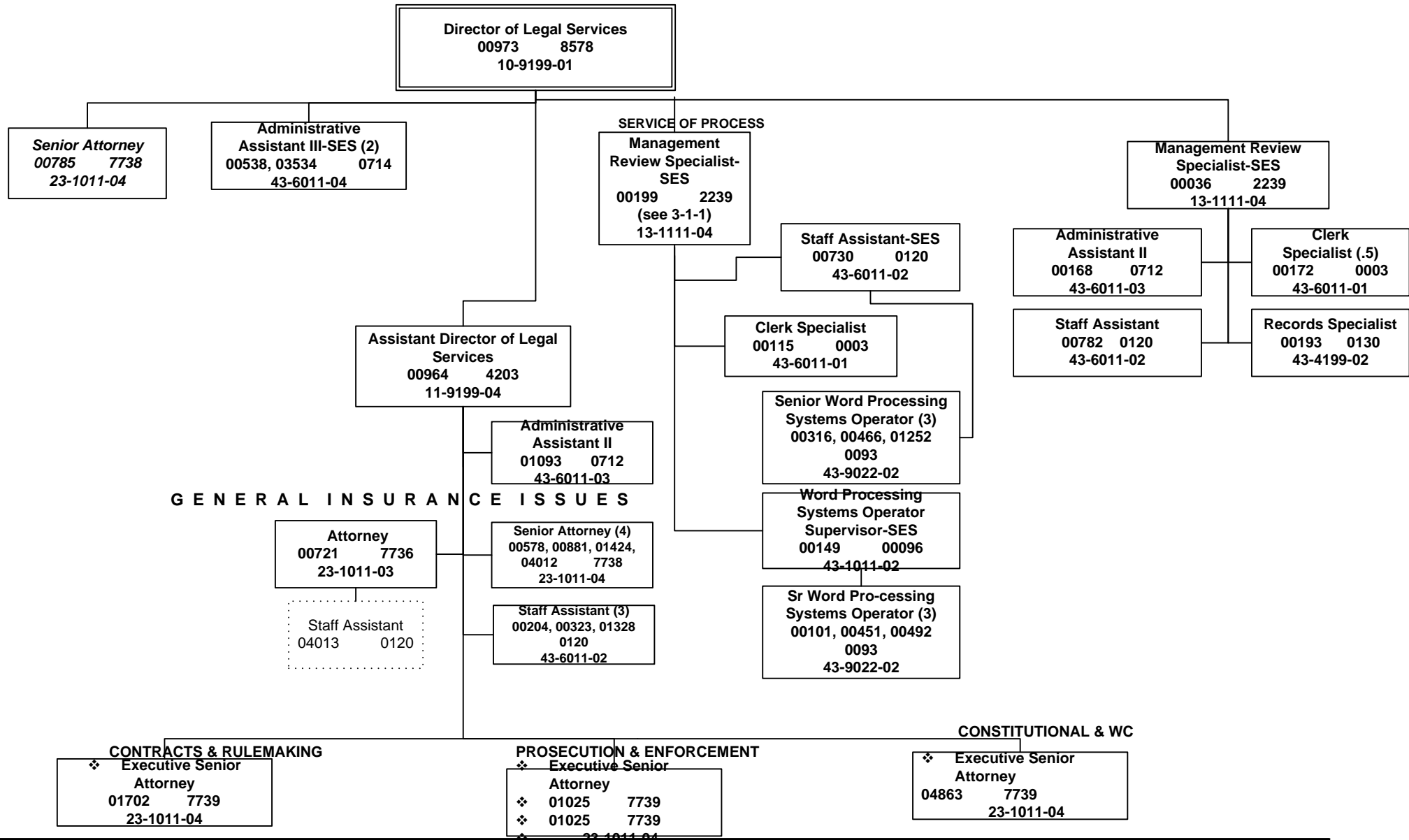
**Department of Financial Services
Division of Treasury
Bureau of Deferred Compensation**



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**

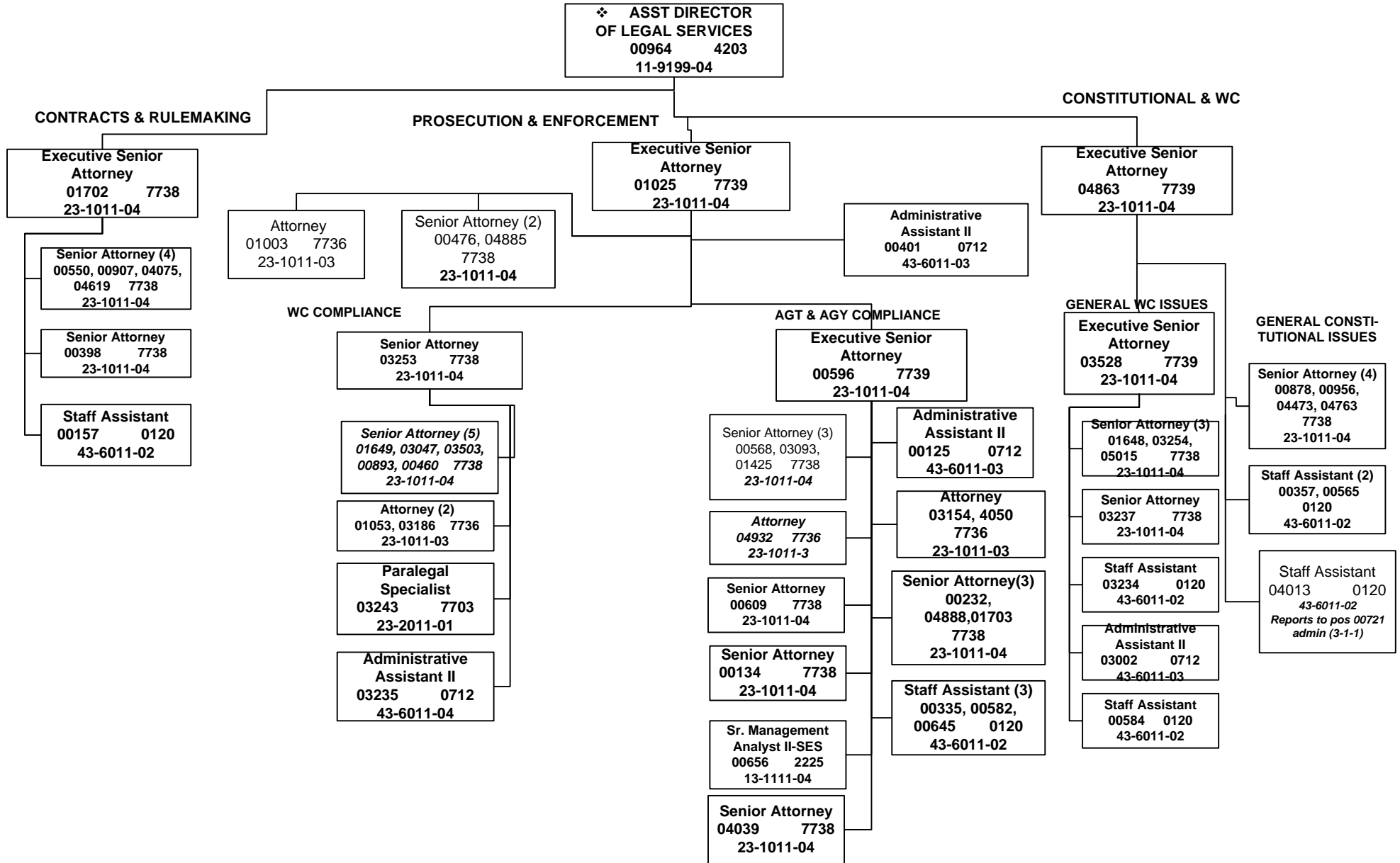


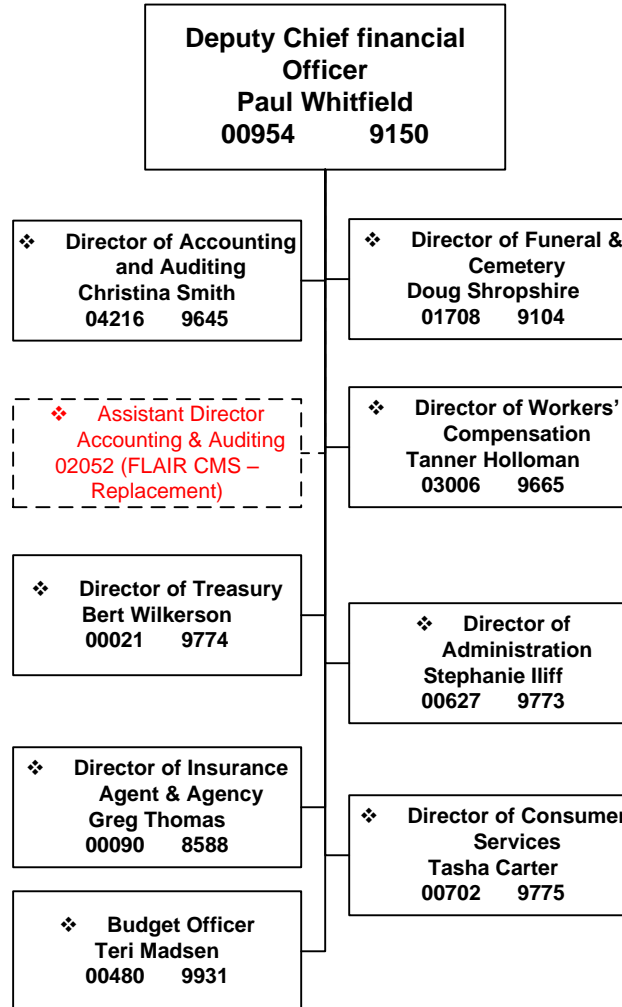
Director's Ofc FTE: 20.5
General Ins Issues FTE: 8
Division Total FTE: 85.5

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

Eff 5-8-14
Rev 5-22-14

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



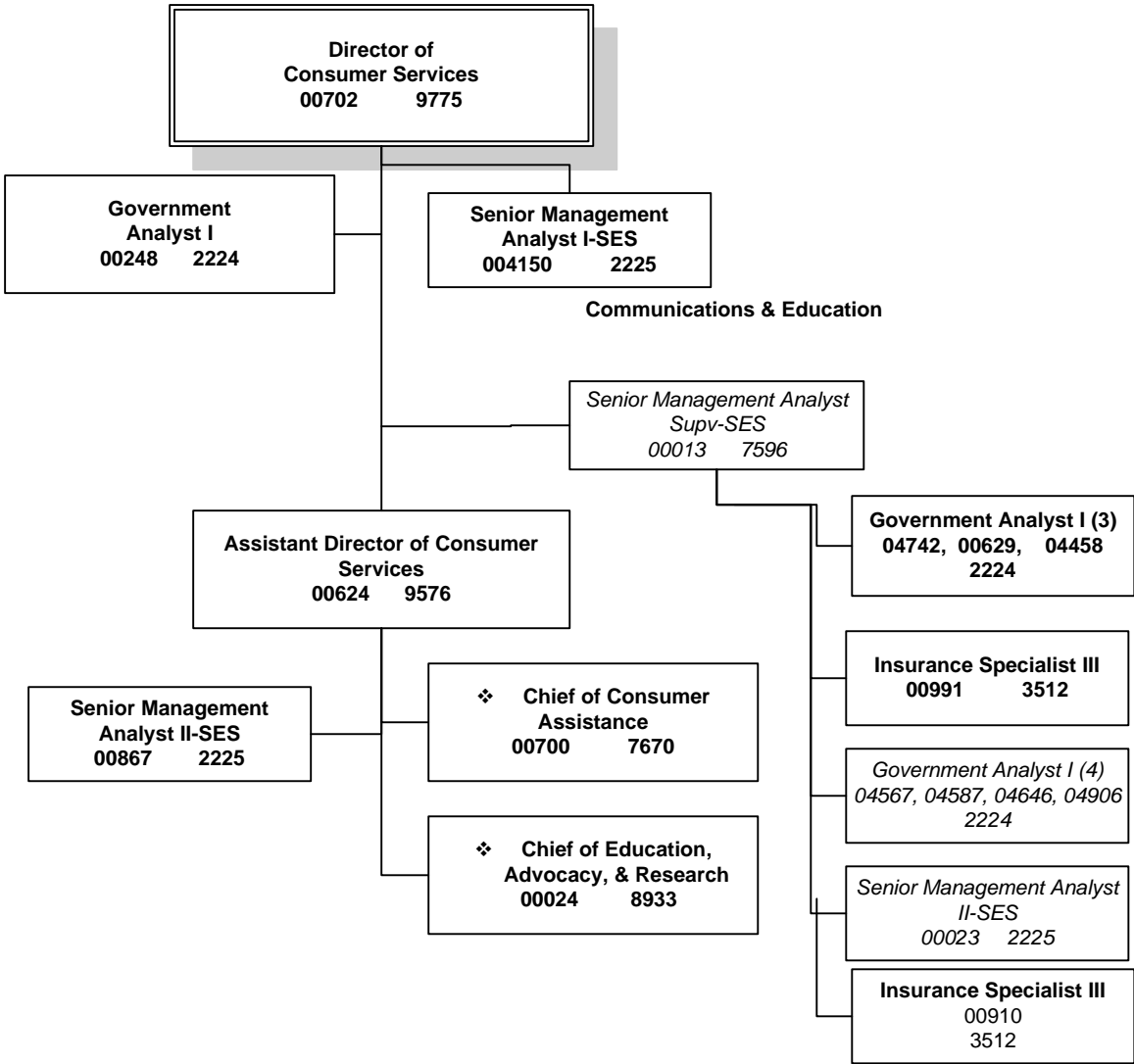


**Department of Financial Services
Office of the Chief of Staff
Office of the Deputy Chief of Staff
Office of Budgeting**

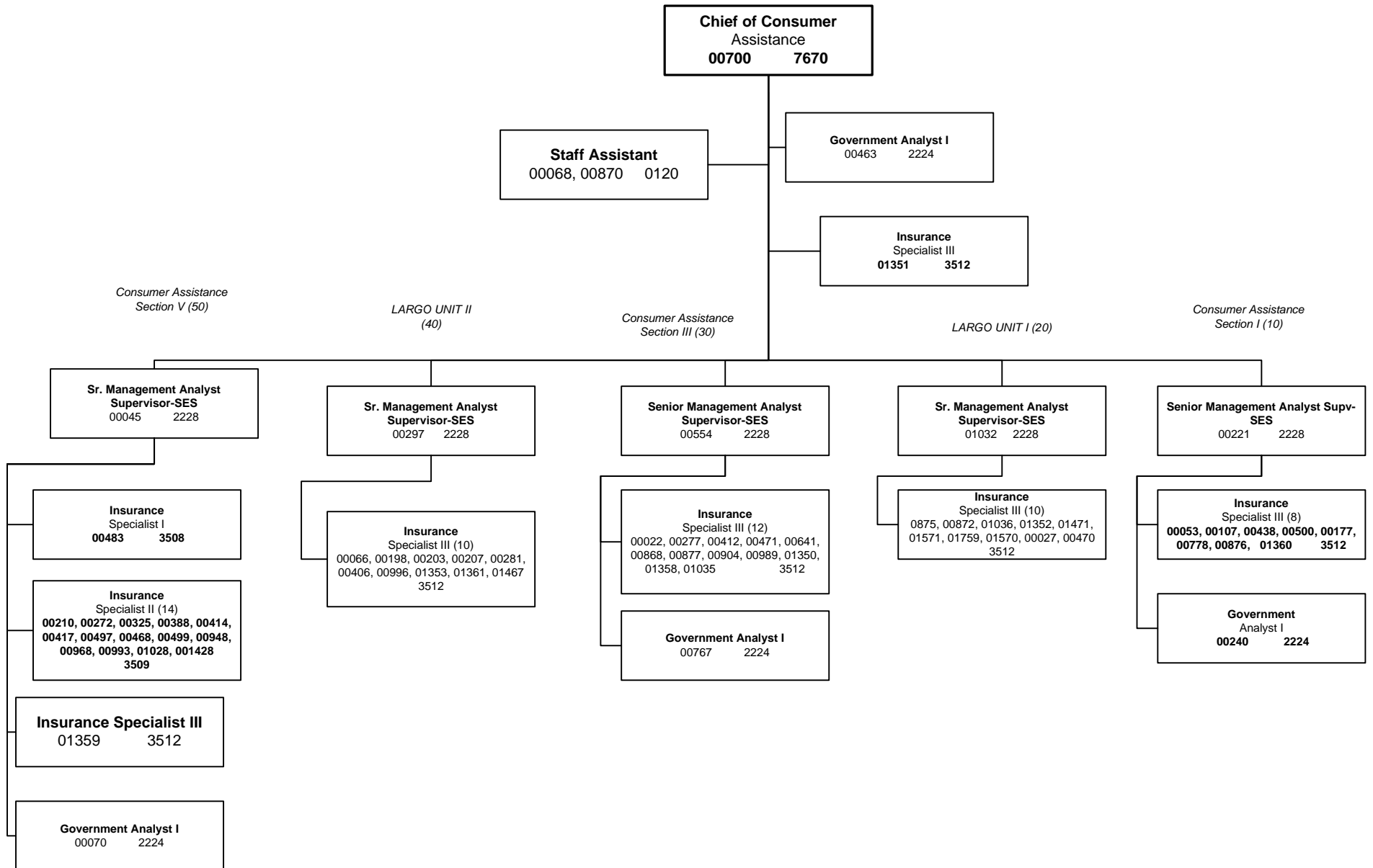
❖ **Budget Officer**
00480 9931
11-3031-04

Sr. Management Analyst II-SES (4)
04020, 00914, 00233,04548
2225 13-1111-04

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



Department of Financial Services ⁽⁴³⁾
Division of Consumer Services ⁽⁵²⁾
Bureau of Consumer Assistance ⁽¹⁰⁾



Department of Financial Services ⁽⁴³⁾
Division of Consumer Services ⁽⁵²⁾
Bureau of Consumer Outreach ⁽²⁰⁾

THIS BUREAU WAS ELIMINATED & FUNCTIONS
DISBURSED WITHIN THE DIVISION DURING A REORG
EFFECTIVE 2/1/2014

Bureau Total FTE:

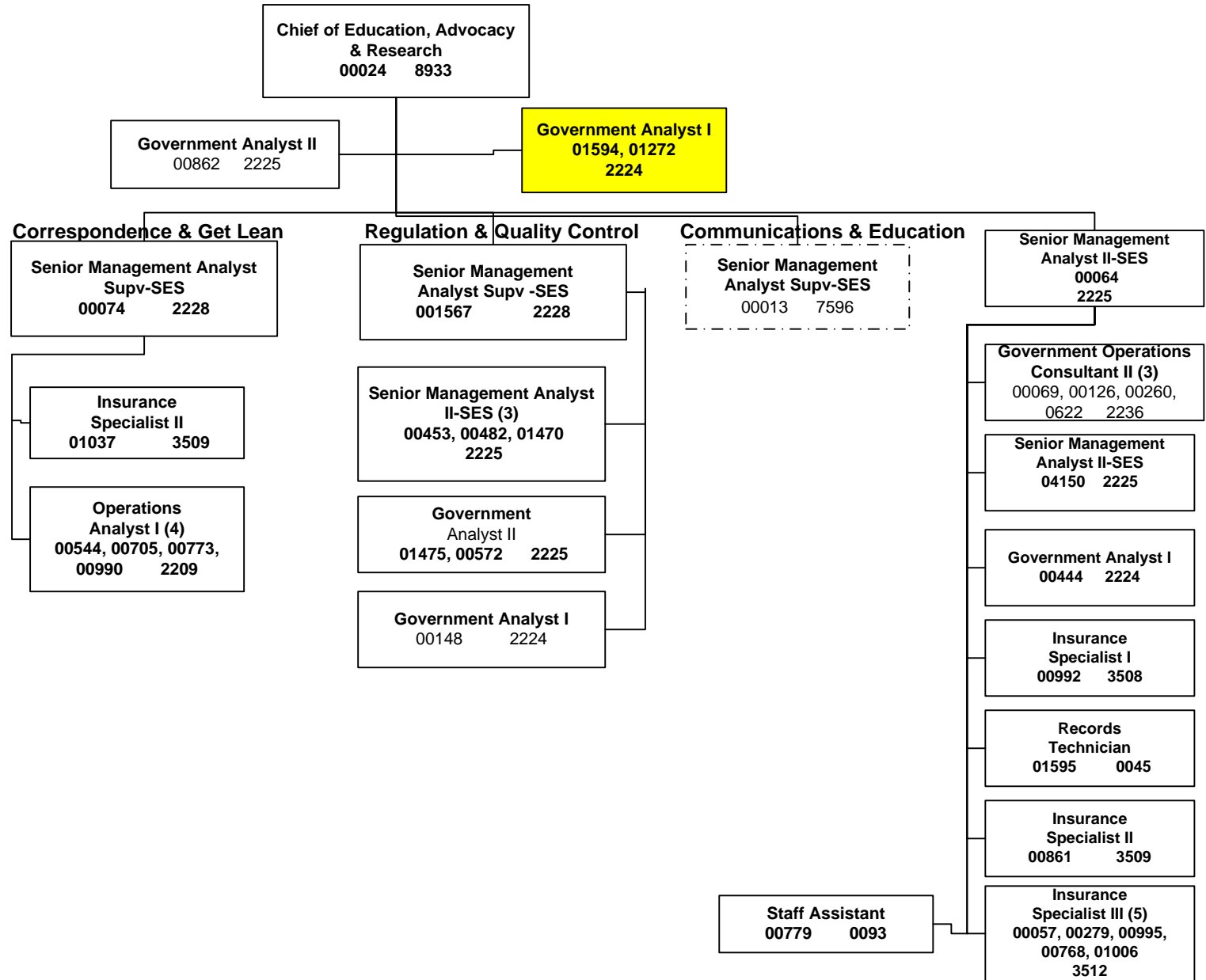
❖ FTE not Included in this Section
Dotted Line = Administratively Assigned. FTE not counted. 27 of 366
Italic = Organizationally Assigned. Reports elsewhere administratively. FTE counted.

Eff 2-1-2014
Rev 2-25--2014

4-1-3

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

Proposed



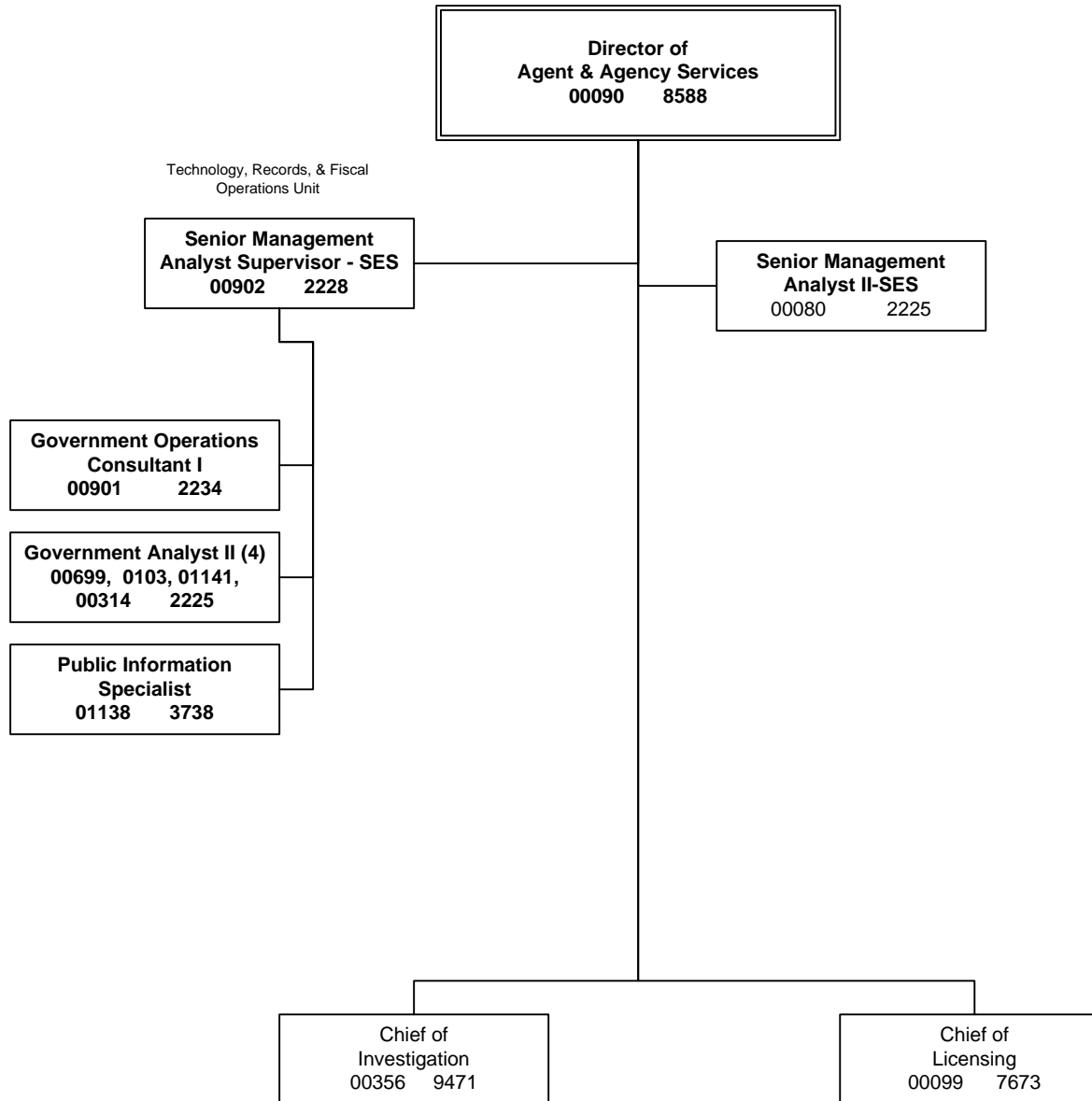
Total FTE: 32

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

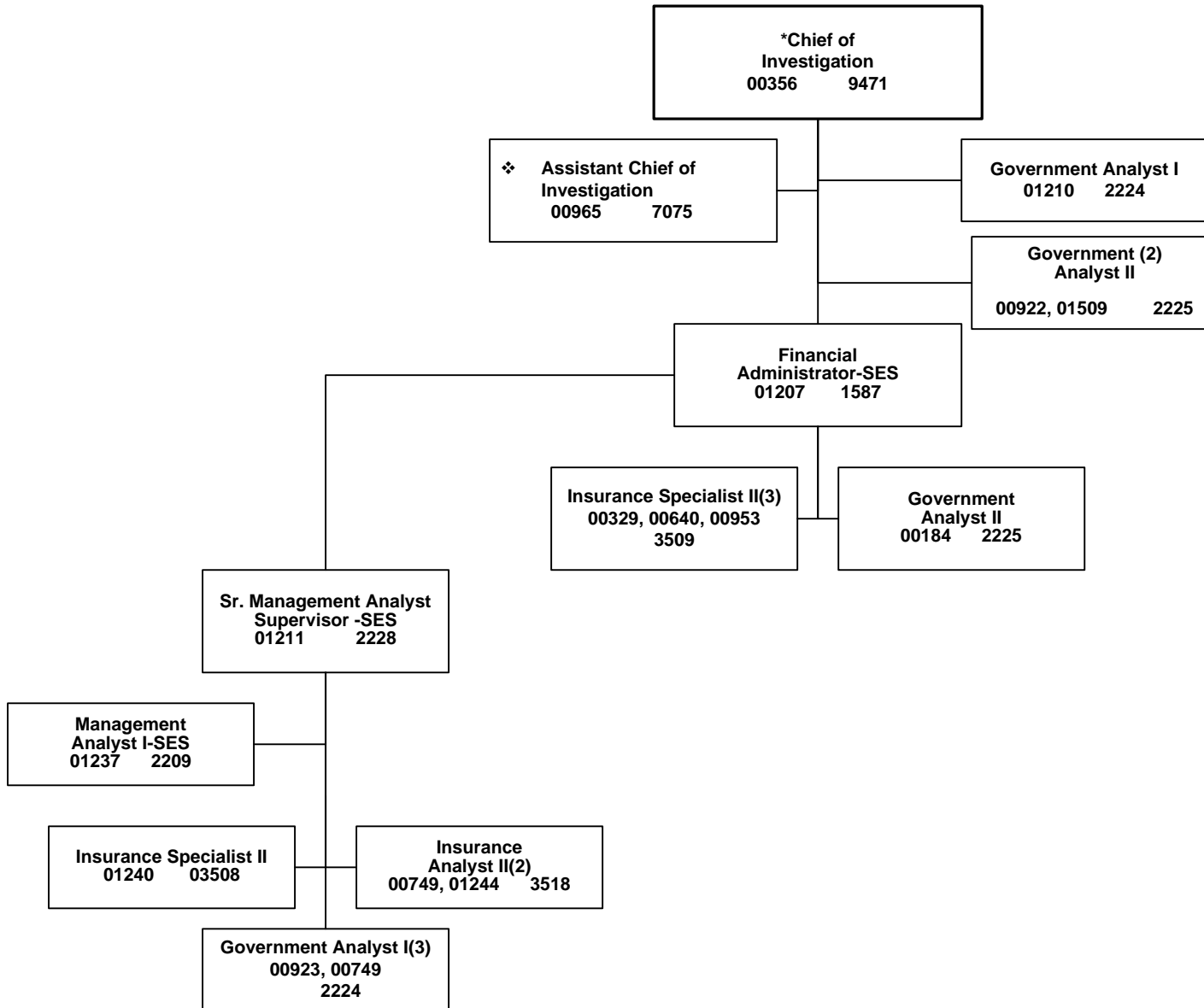
Eff 2-1-2014
Rev2-25-2014

4-1-4

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



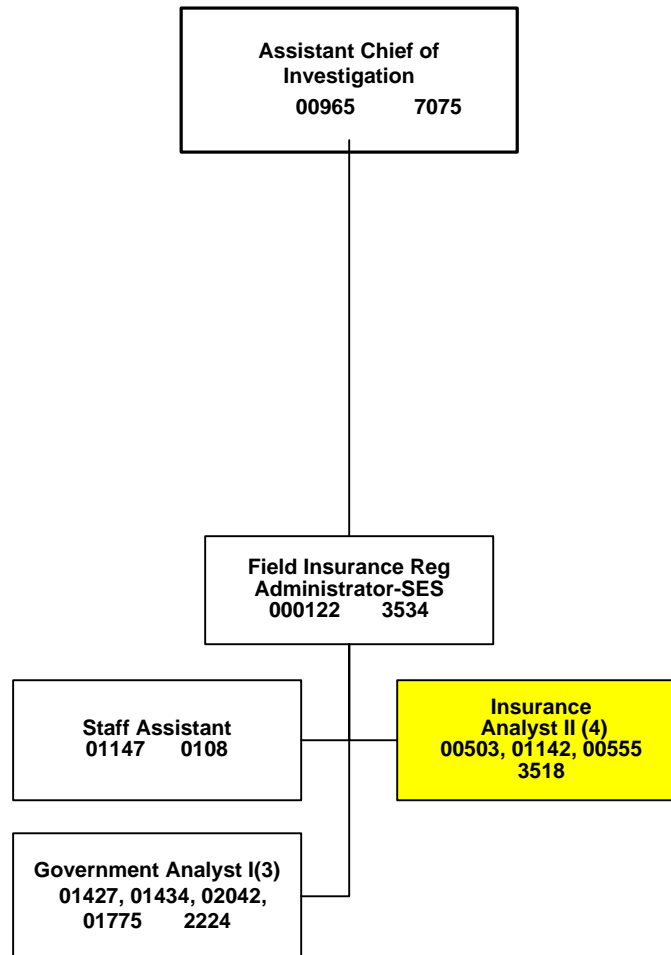
**Department of Financial Services
 Division of Insurance Agents & Agency Services
 Bureau of Investigation
 Office of the Chief**



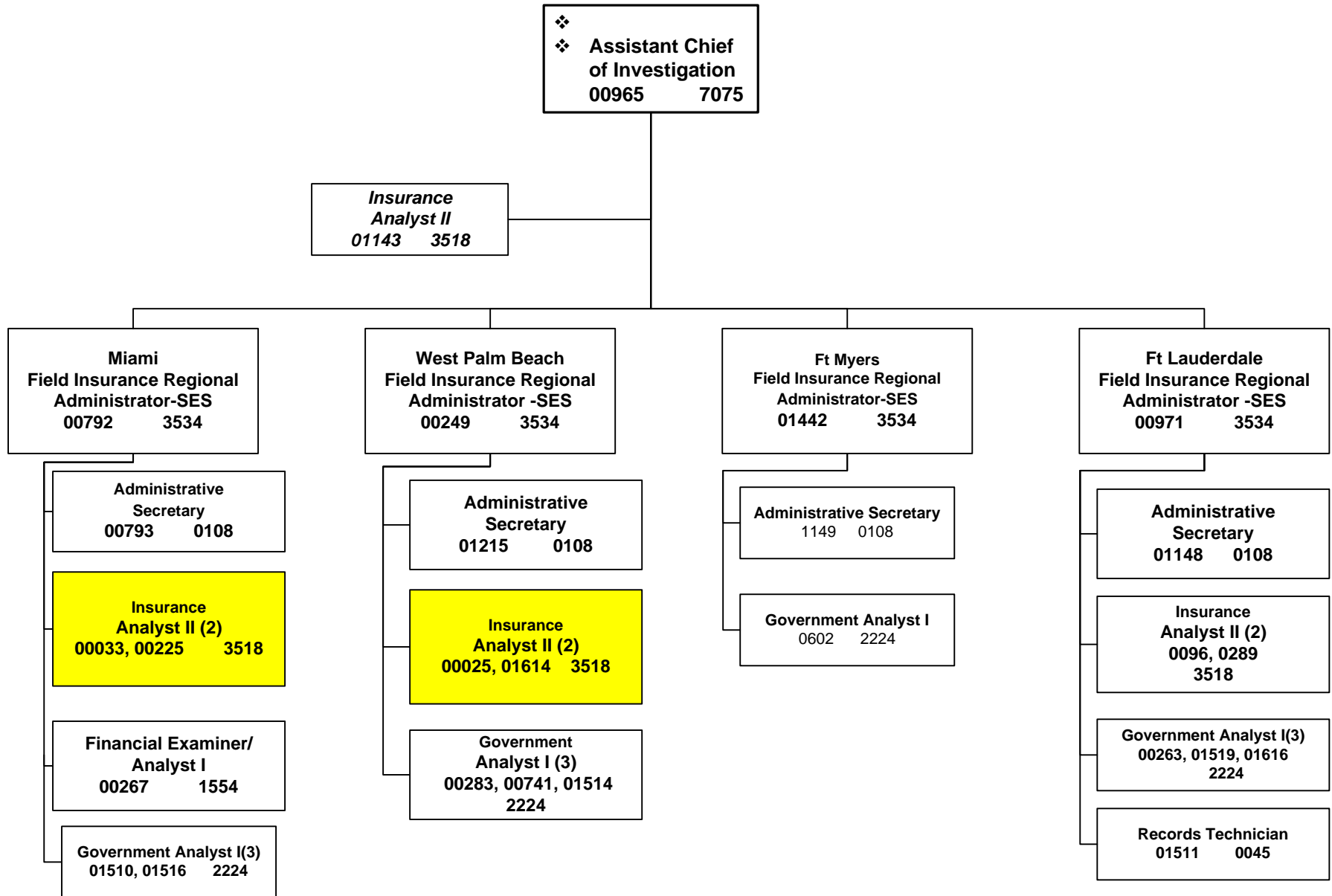
Bureau Total FTE = 77
 Office of the Chief = 24

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

**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

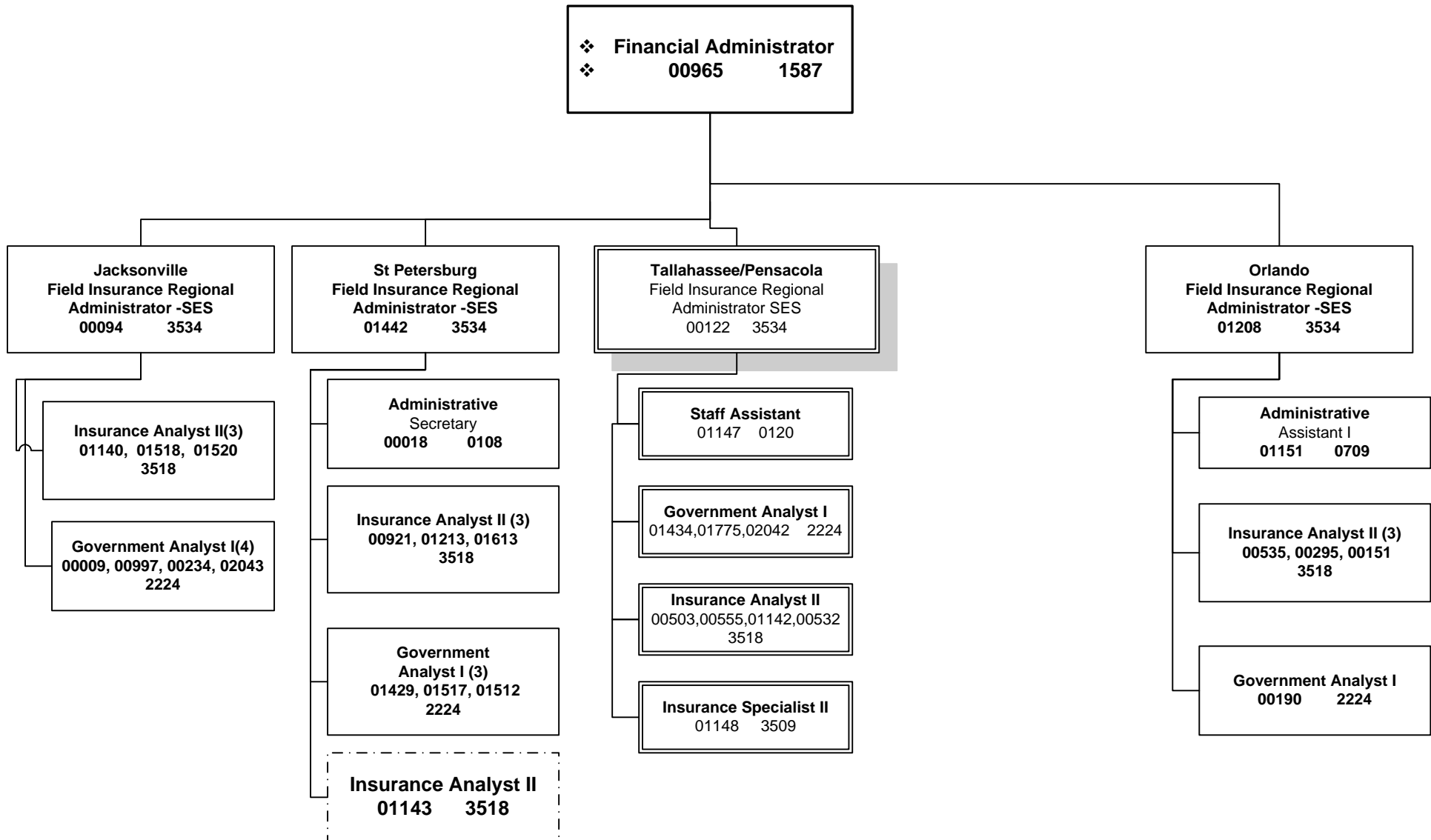


FTE 31

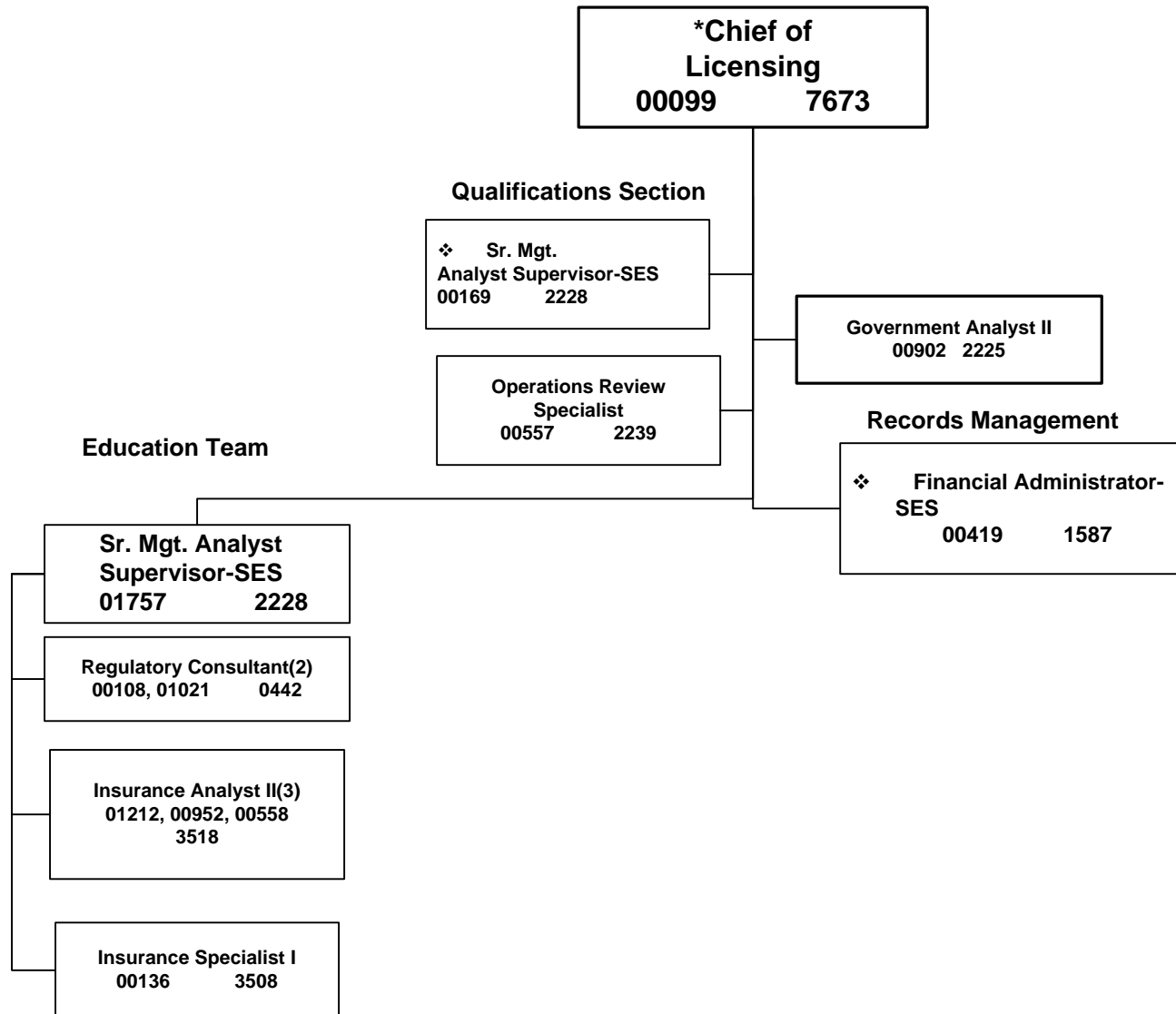
❖ FTE not Included in this Section
 Dotted Line = Administratively Assigned. FTE not counted.
 Italic = Organizationally Assigned. Reports elsewhere administratively.
 FTE counted.

Eff 8/27/2013
 Rev 08-27-2013

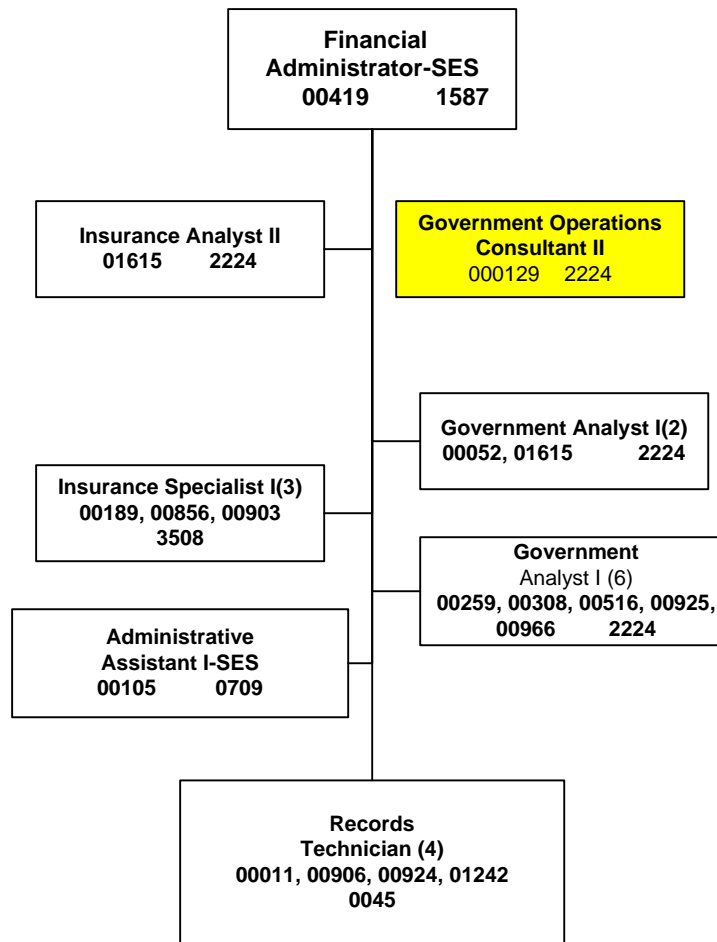
**Department of Financial Services
 Division of Insurance Agents & Agency Services
 Bureau of Investigation
 North Region**



**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**

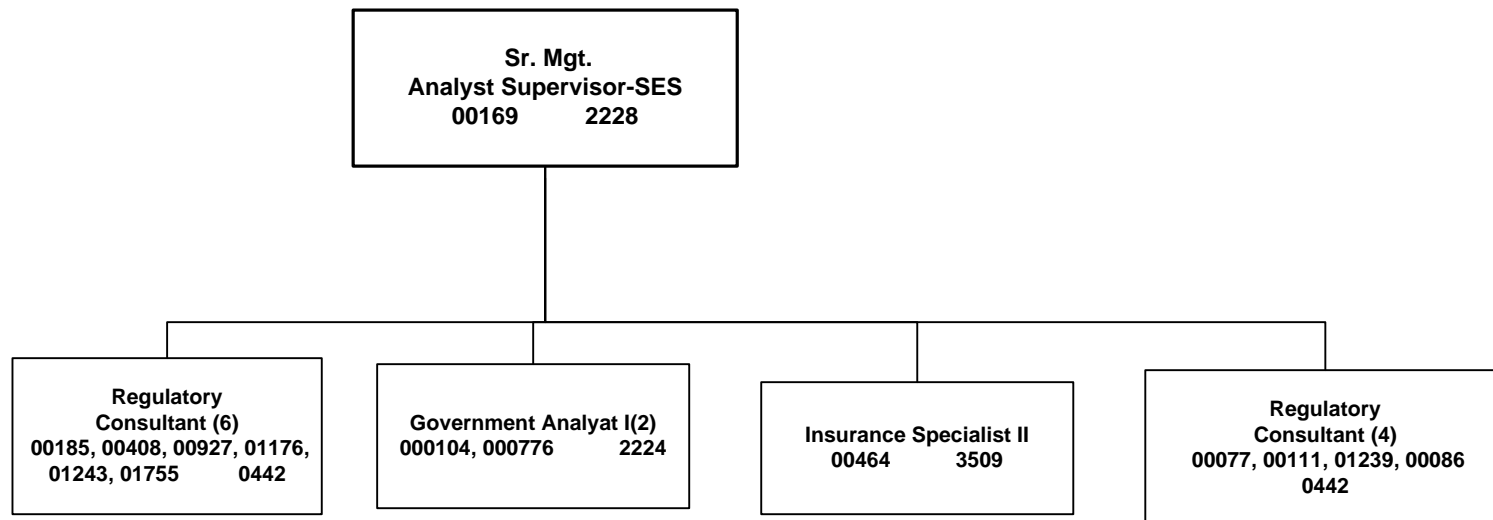


Total Section FTE = 17

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

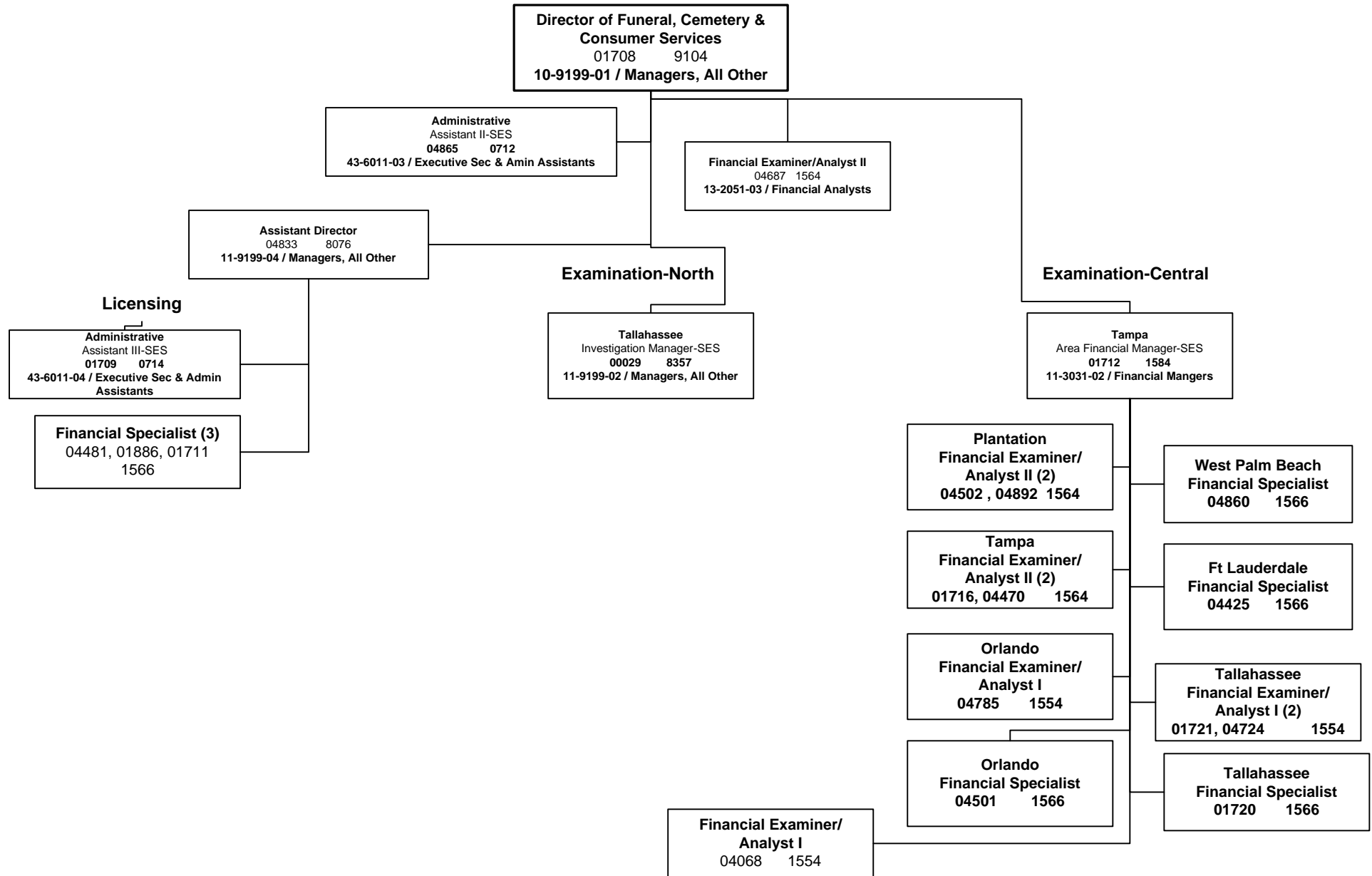
Eff 10-1-2013
 Rev 06-11-13

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

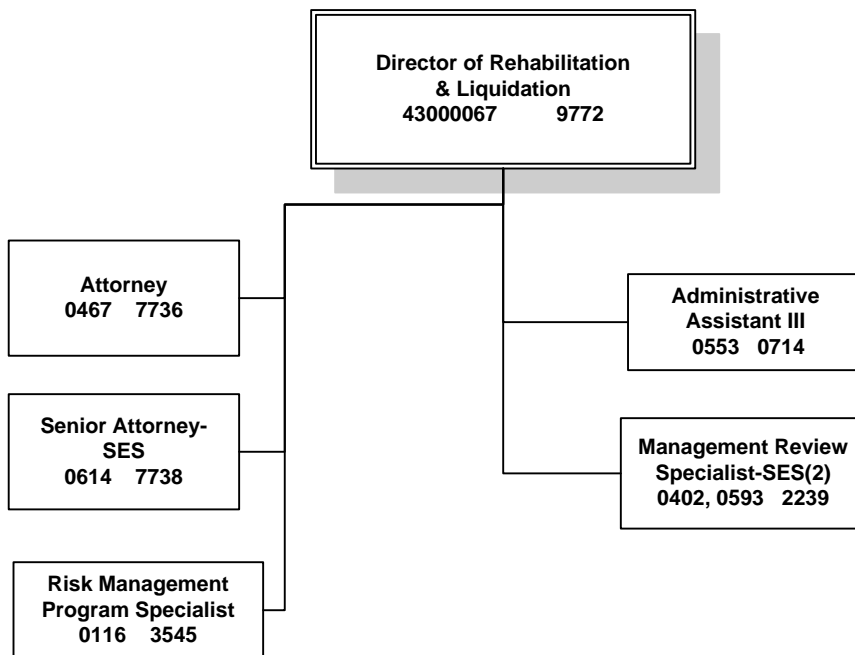


Department of Financial Services

Division of Funeral, Cemetery and Consumer Services



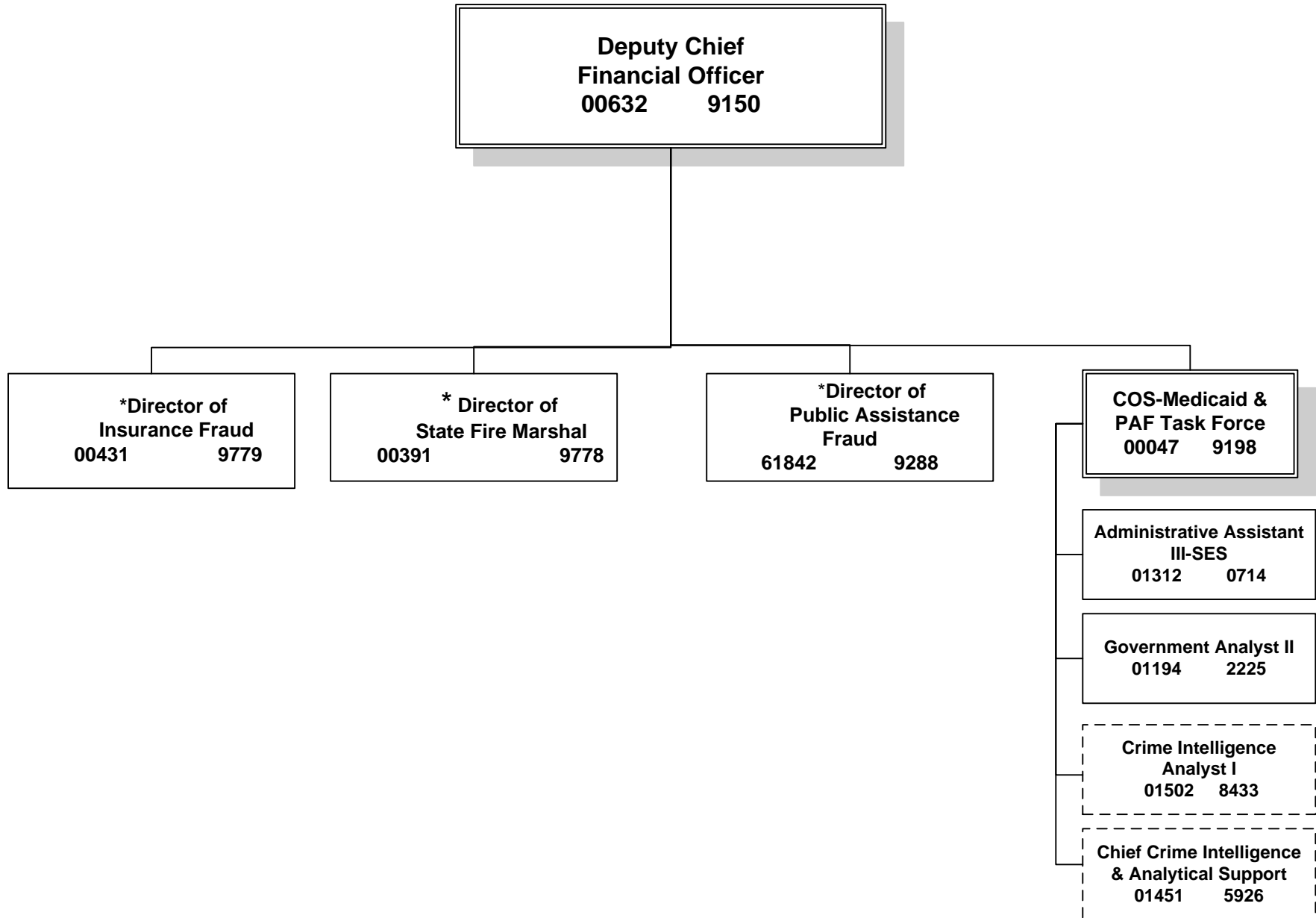
**Department of Financial Services
Office of the General Counsel
Division of Rehabilitation & Liquidation
Office of the Director**



Division Total FTE = 7

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

**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.

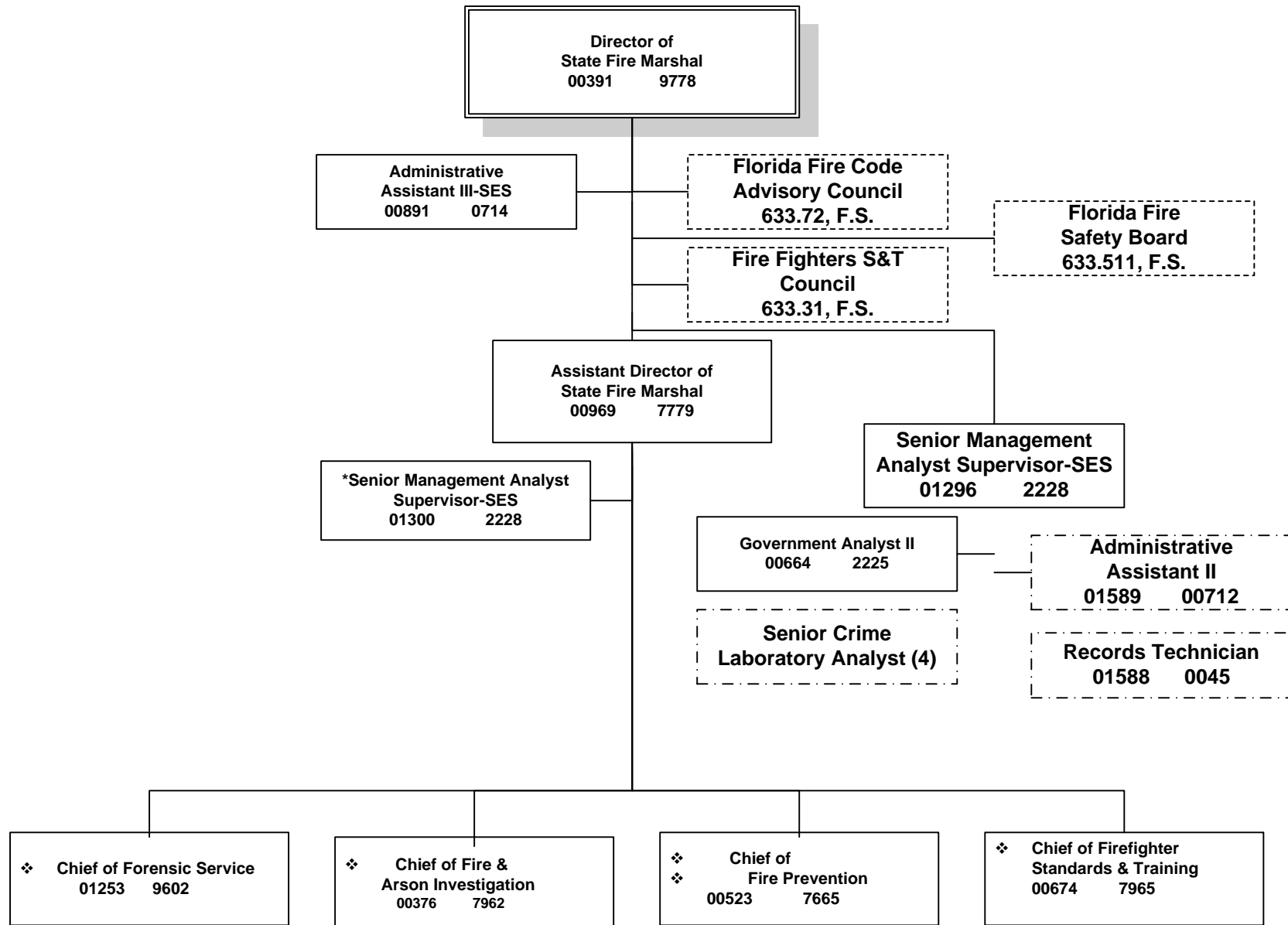
Italic = Organizationally Assigned. Reports elsewhere administratively. FTE counted.

Eff 4-1-2011

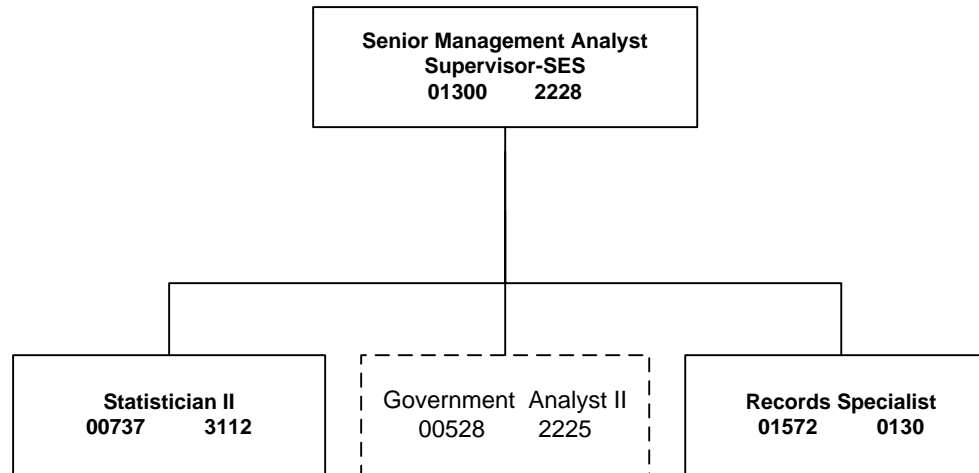
Rev 4-11-2011

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**



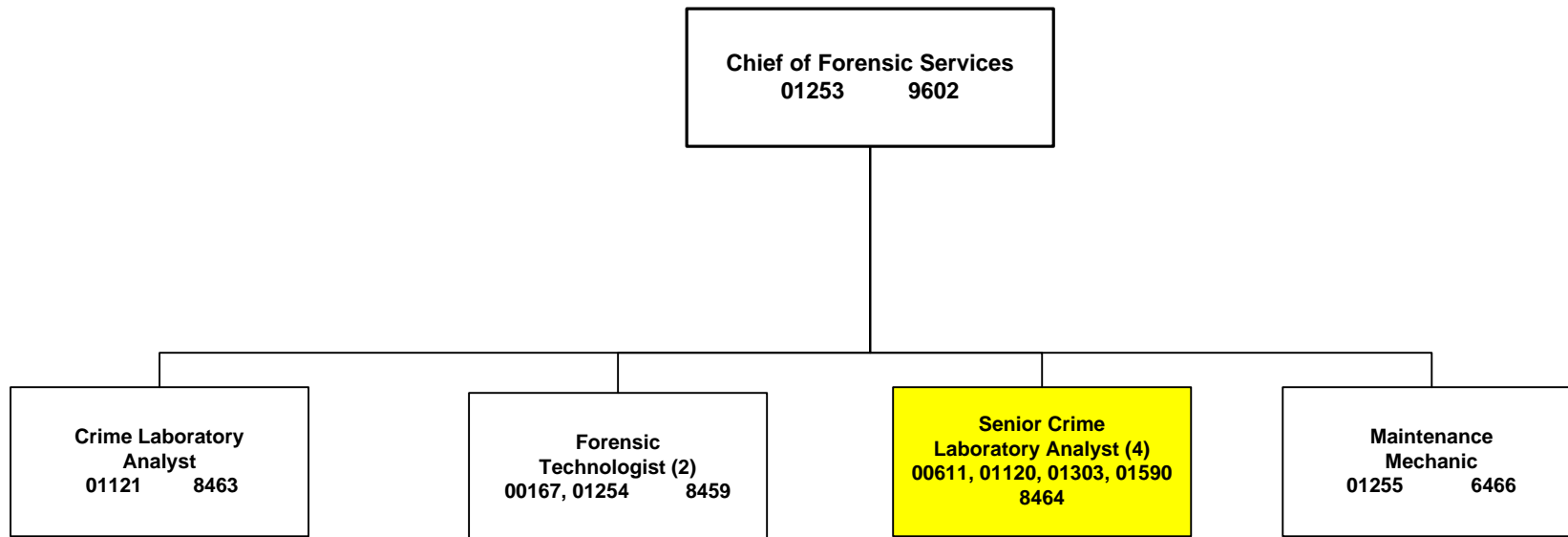
Total FTE: 2

❖ 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

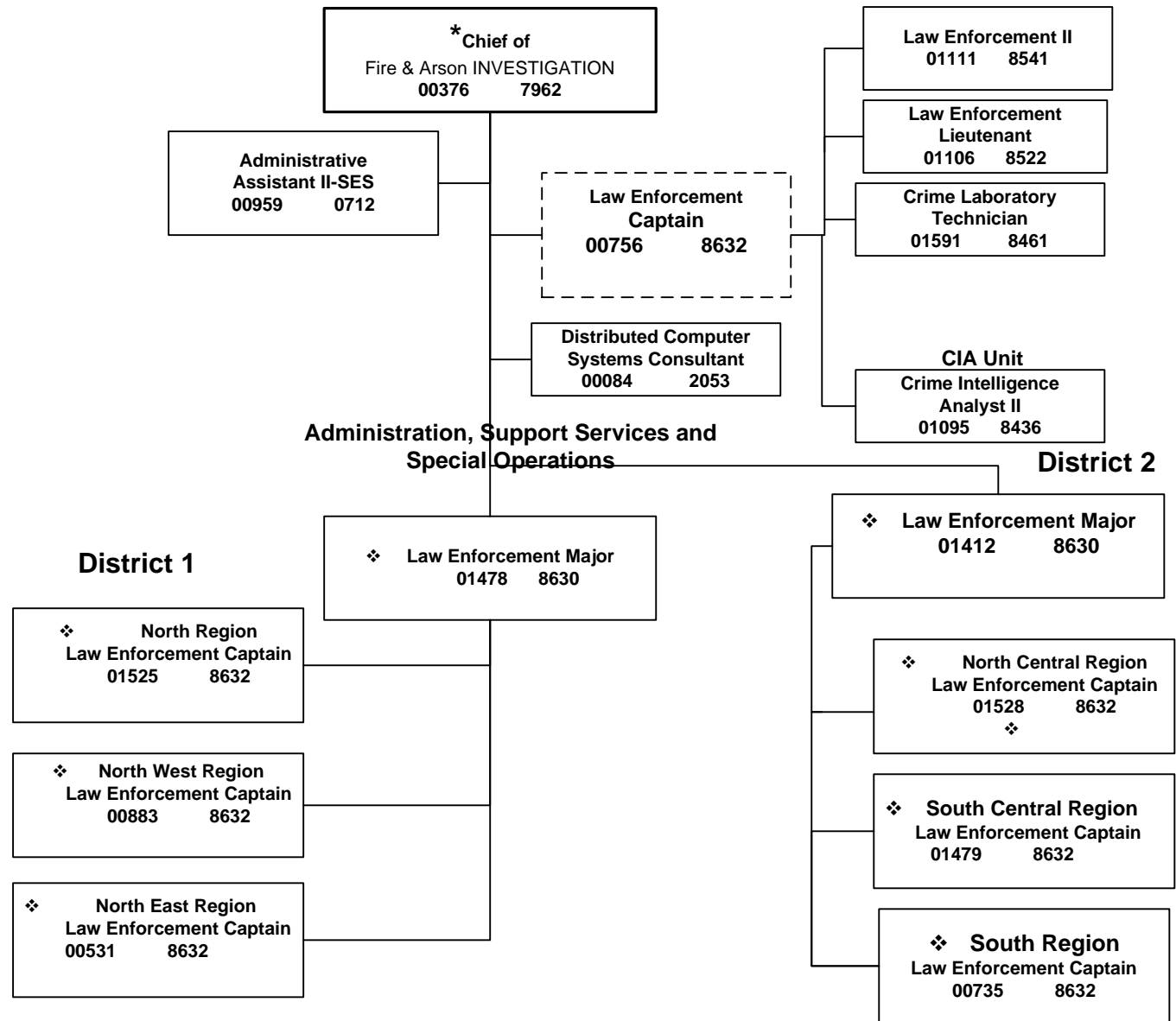
**Department of Financial Services
Division of State Fire Marshal
Bureau of Forensic Fire & Explosives Analysis**



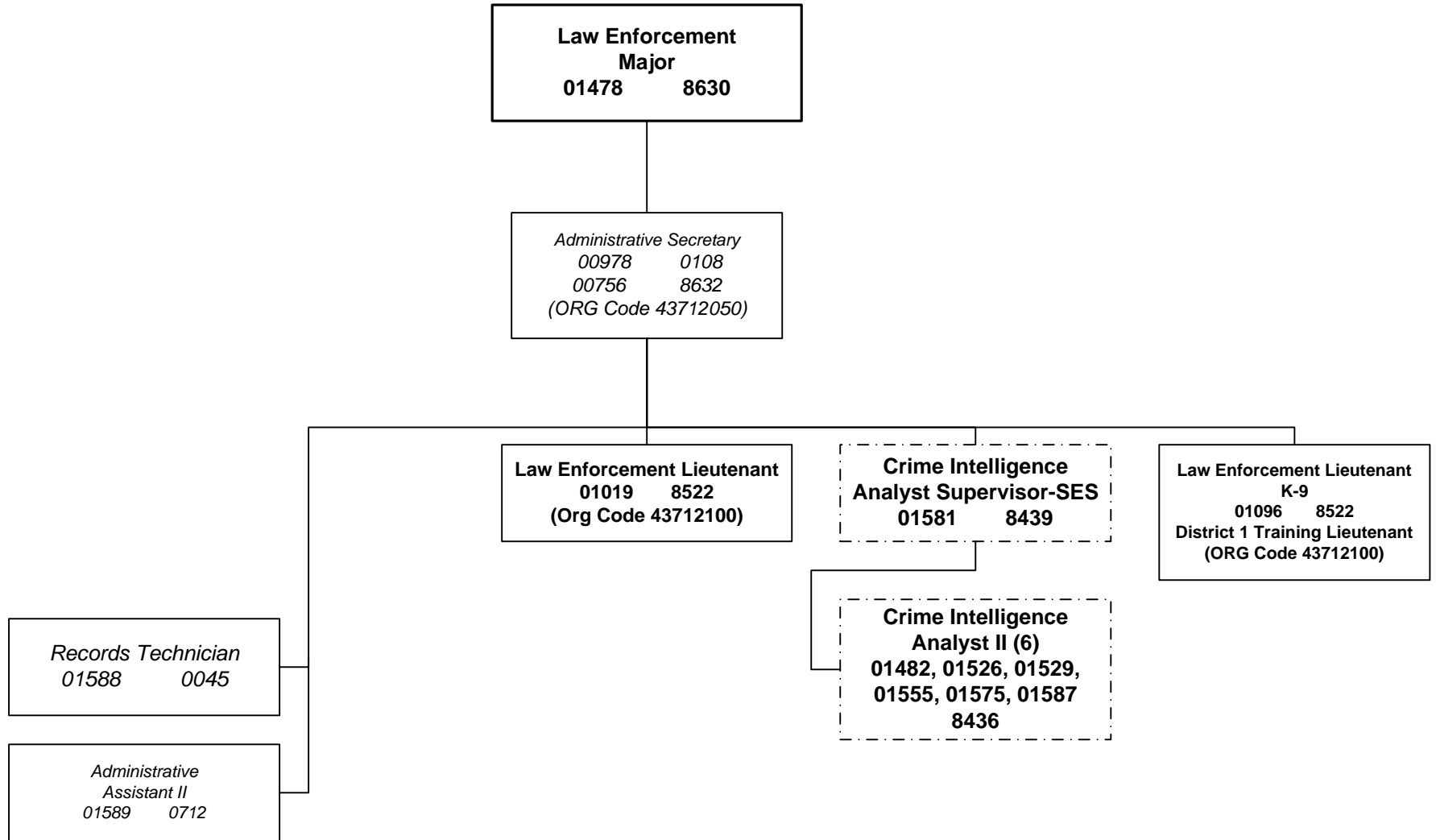
Total FTE: 8

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

**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**

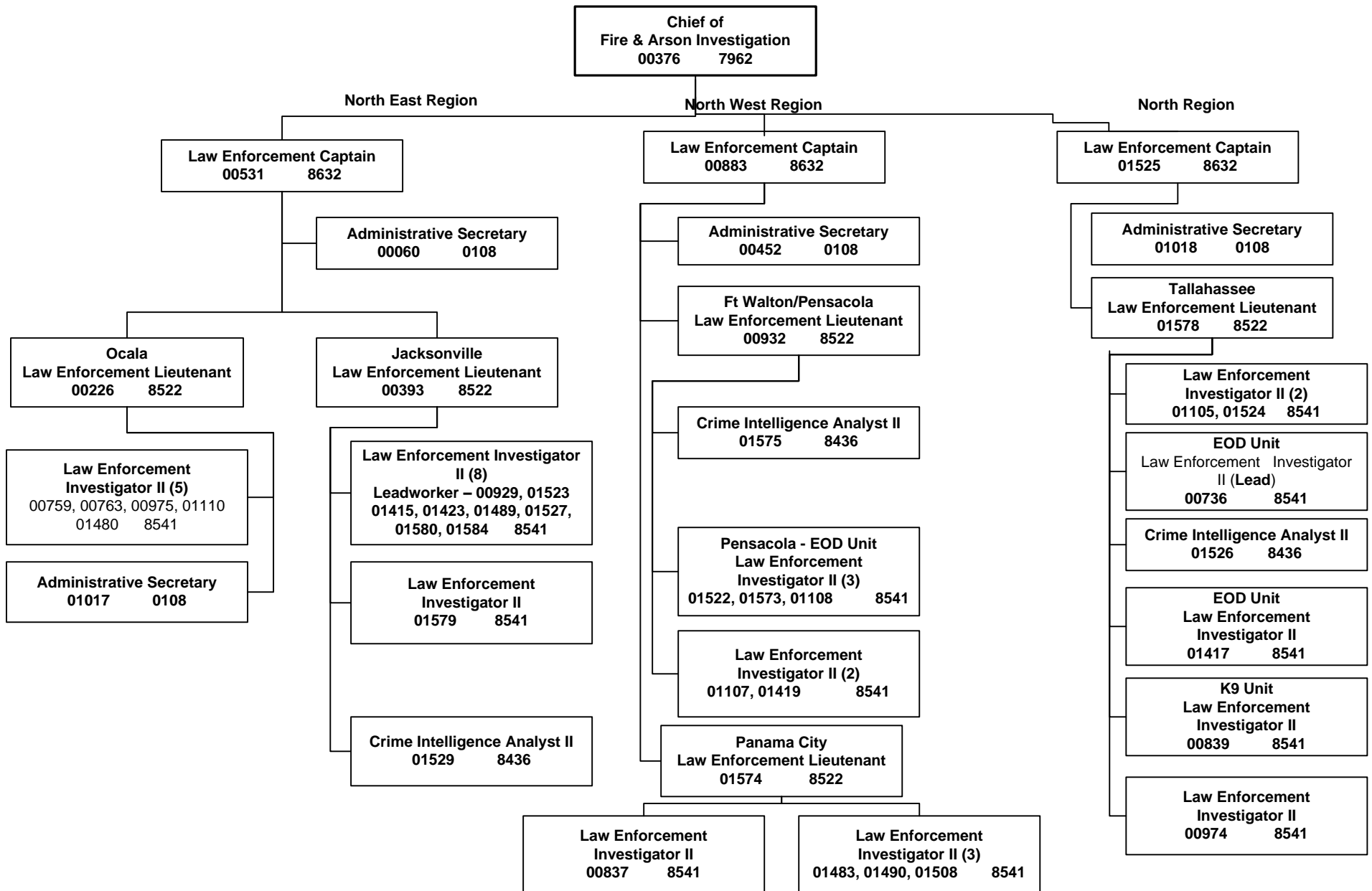


Total FTE: 8

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

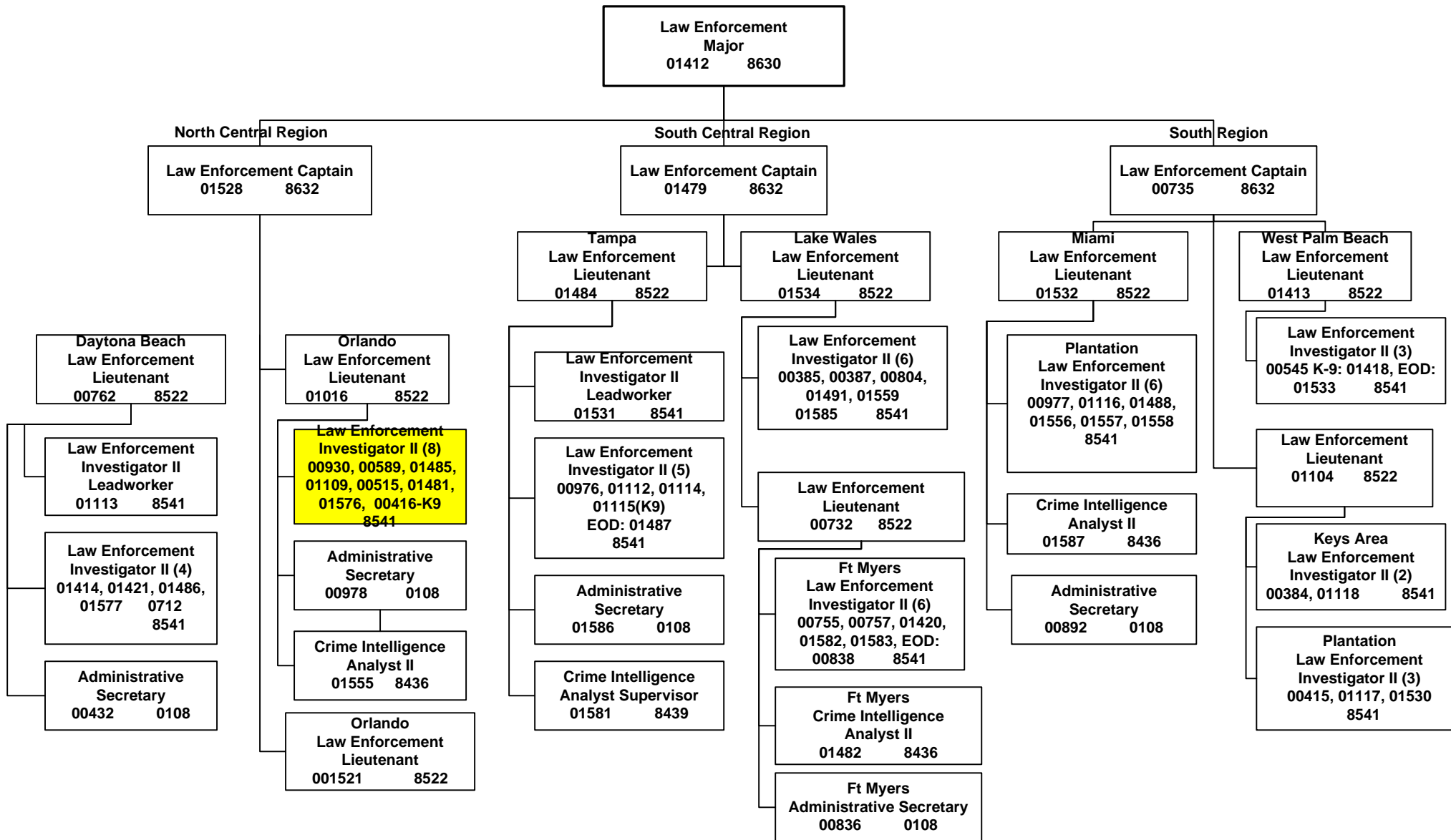
Eff 05-01-2013
 Rev 04-18-13

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

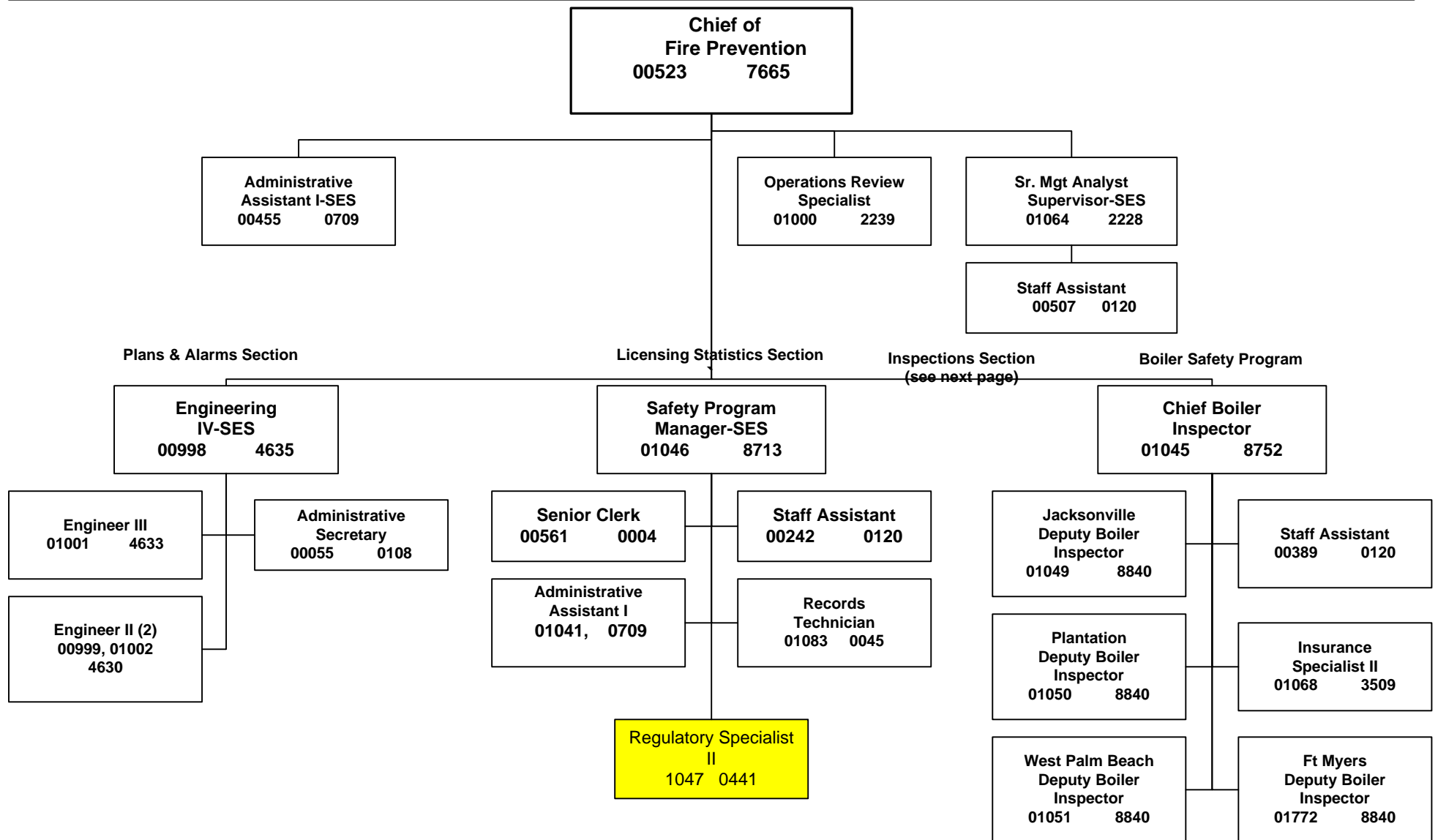


**Department of Financial Services
Division of State Fire Marshal
Bureau of Fire & Arson Investigations
District 2**

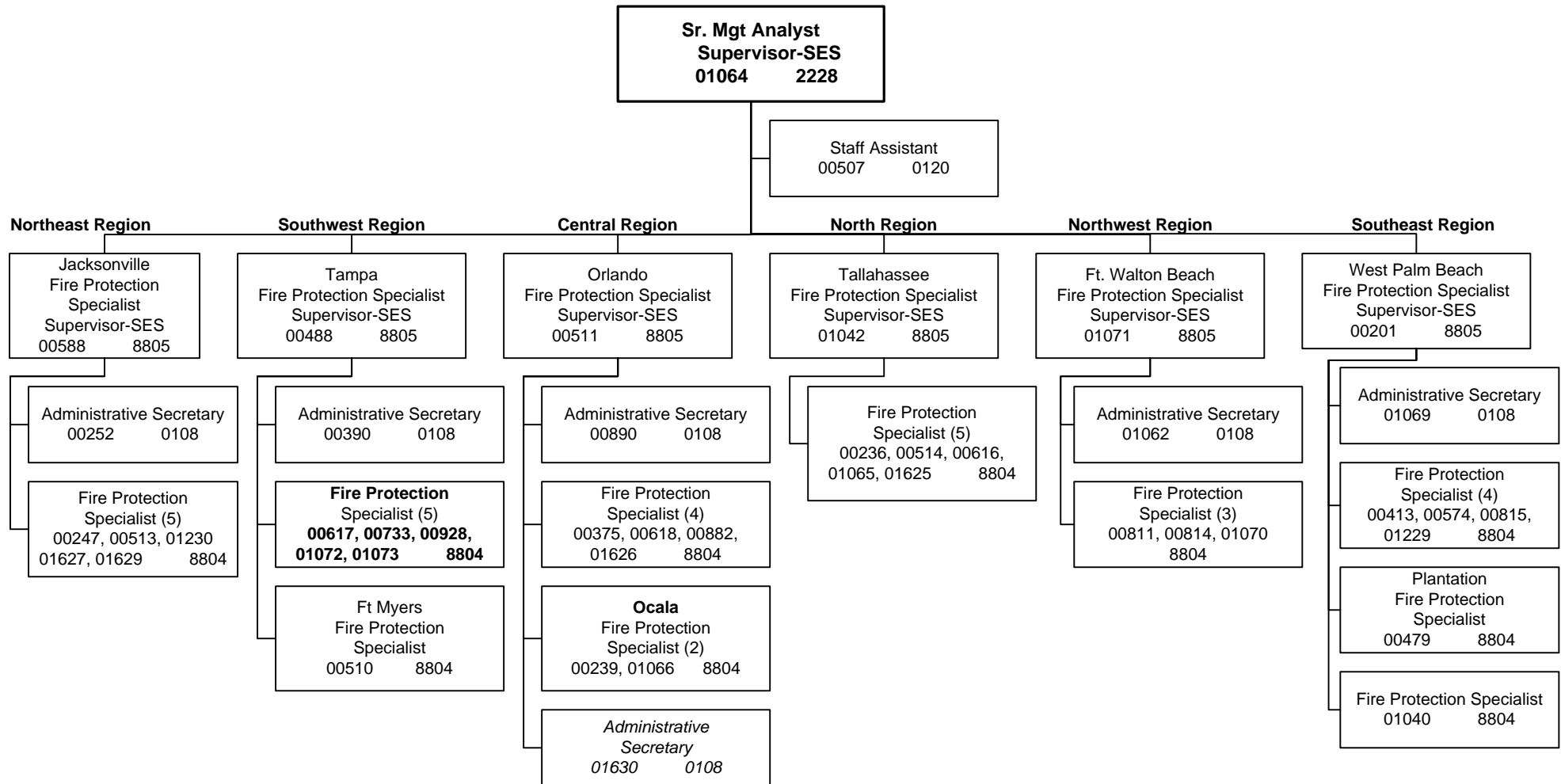
Proposed



**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**



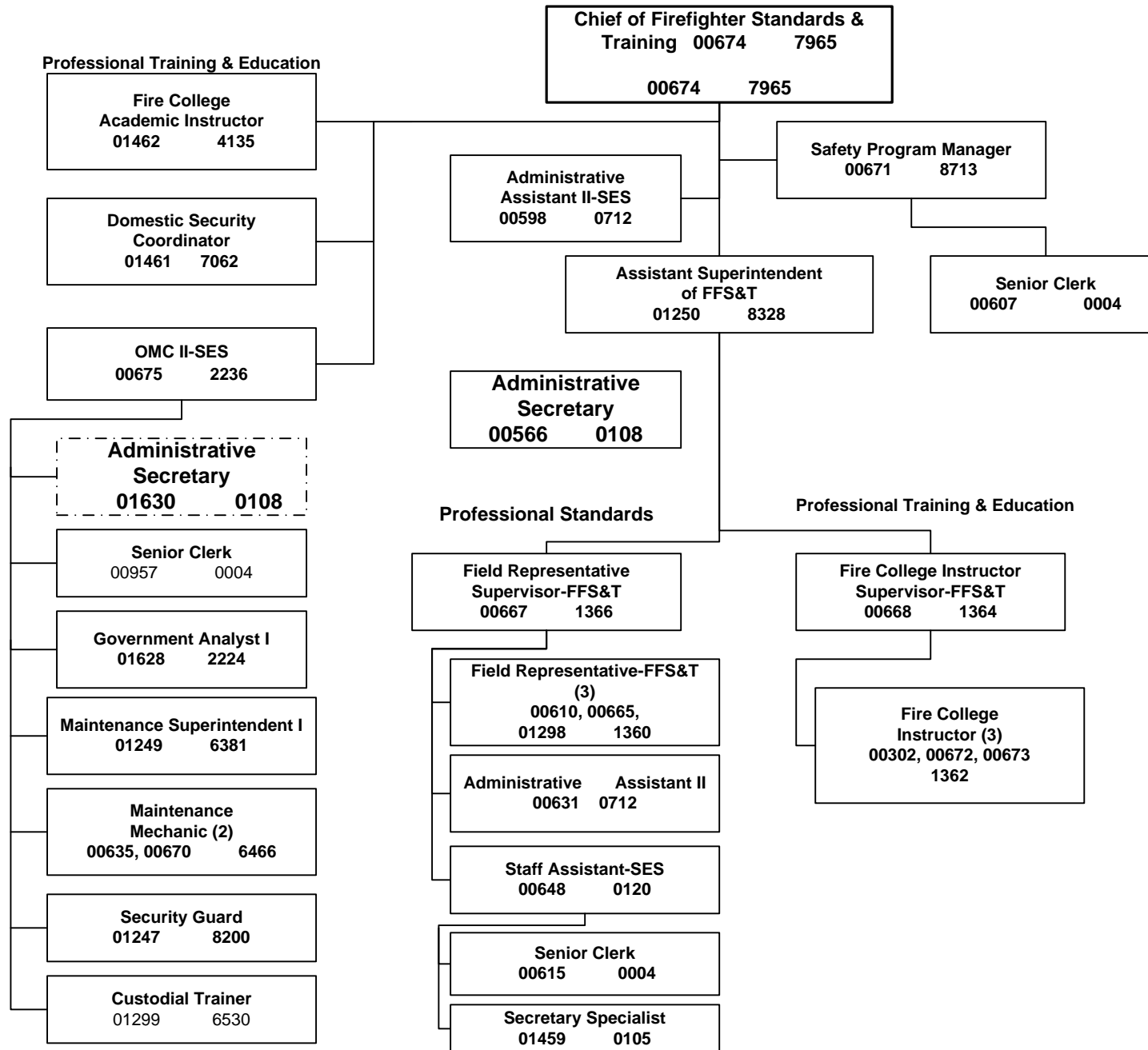
Section Total FTE: 45

❖ FTE not Included in this Section
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 Italic = Organizationally Assigned. Reports elsewhere administratively. FTE counted.
 48 of 366

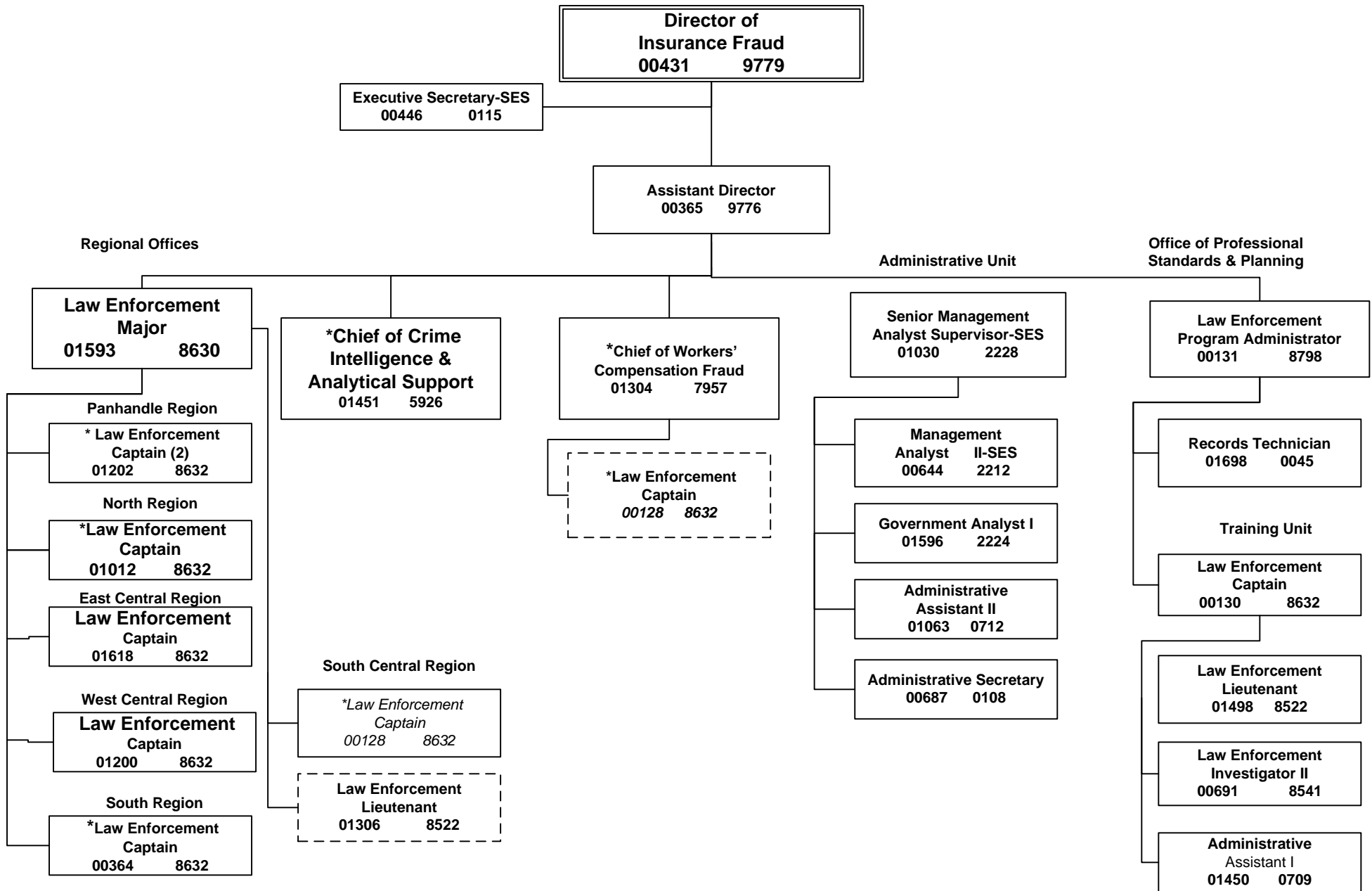
Eff 12-07-11
 Rev 12-07-11

5-1-9

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



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



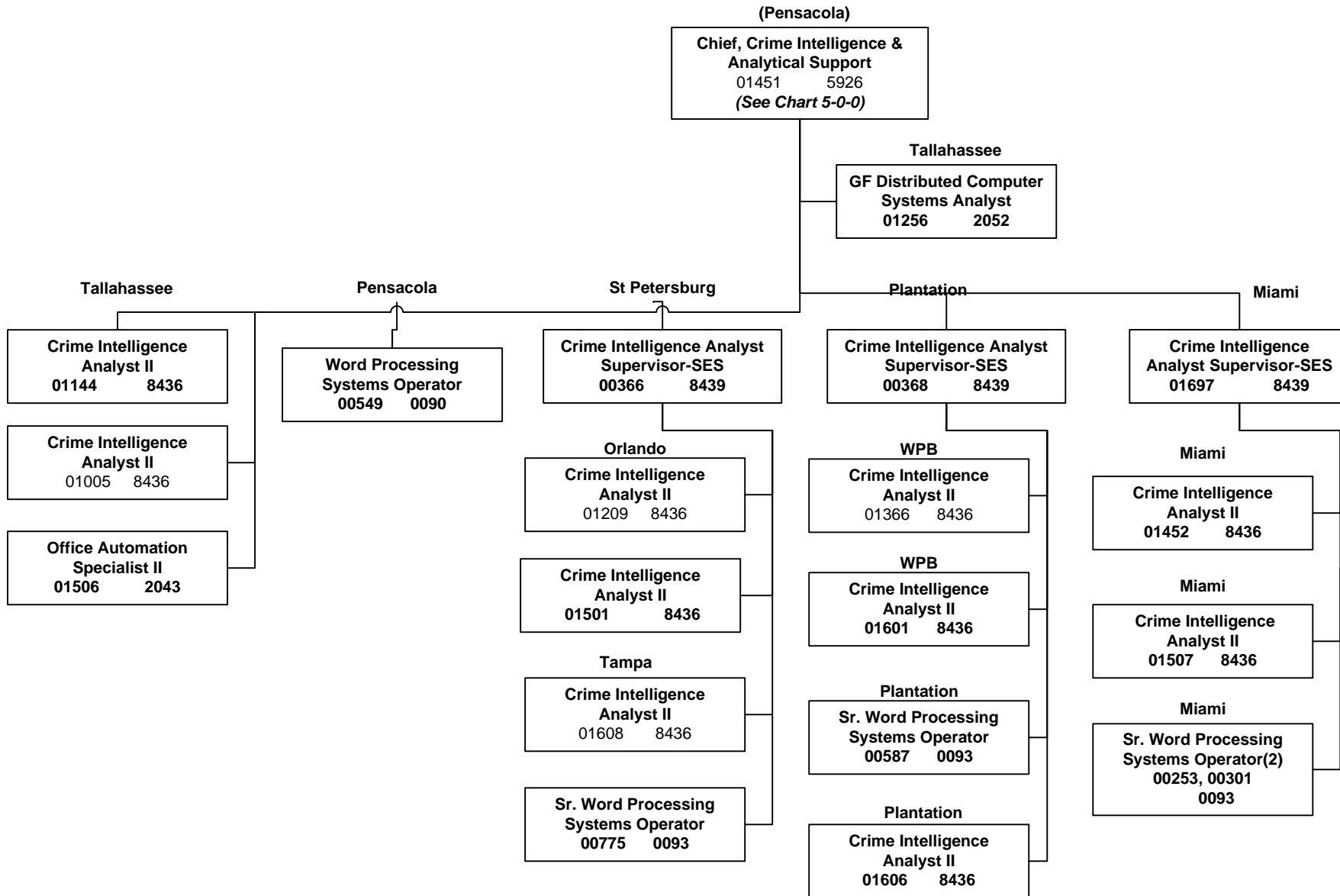
Division Total FTE = 186
Director's Office = 18

* FTE not Included in this Section

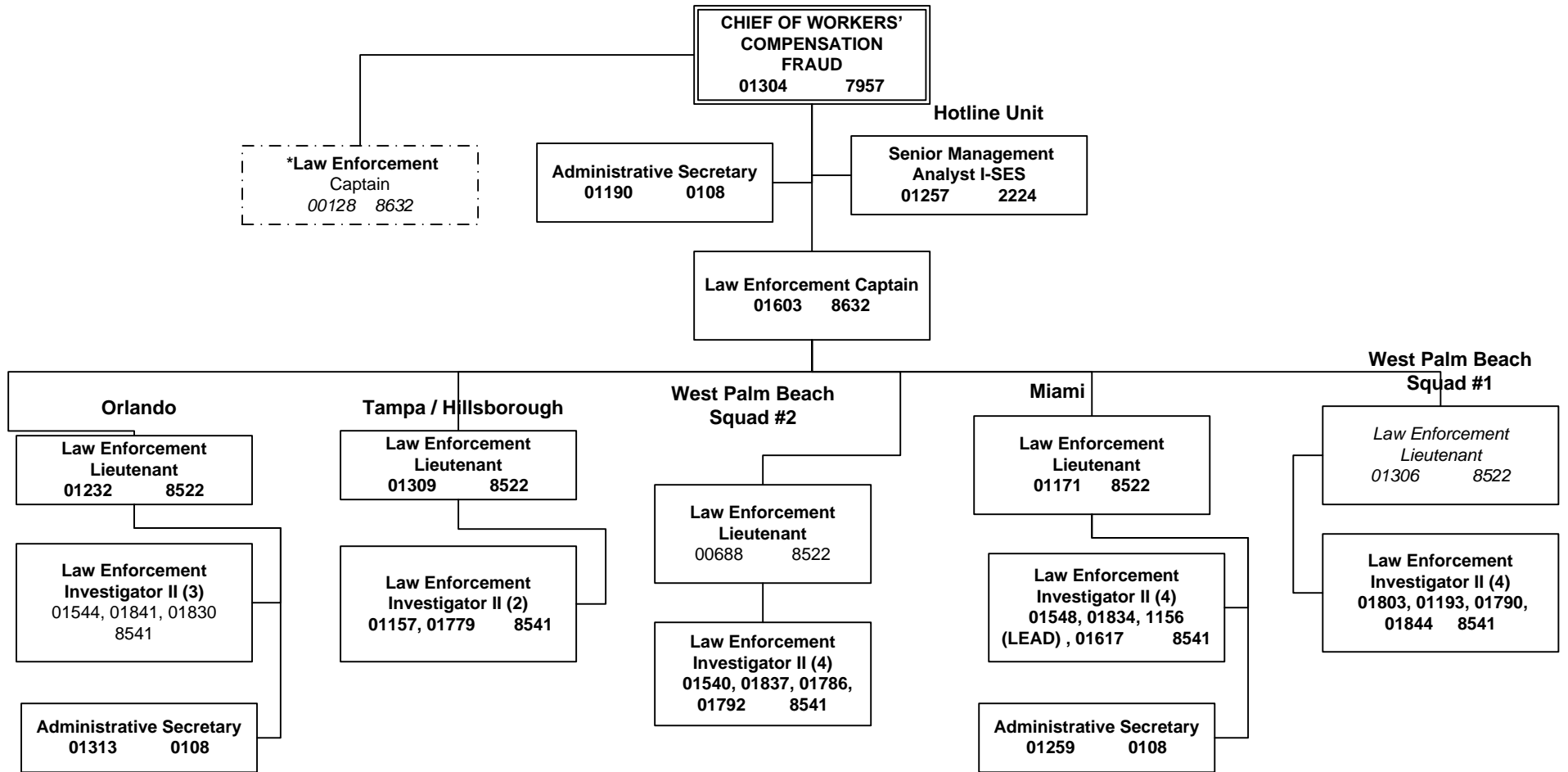
** Dotted Line/Red = Administratively Assigned. FTE not counted.

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

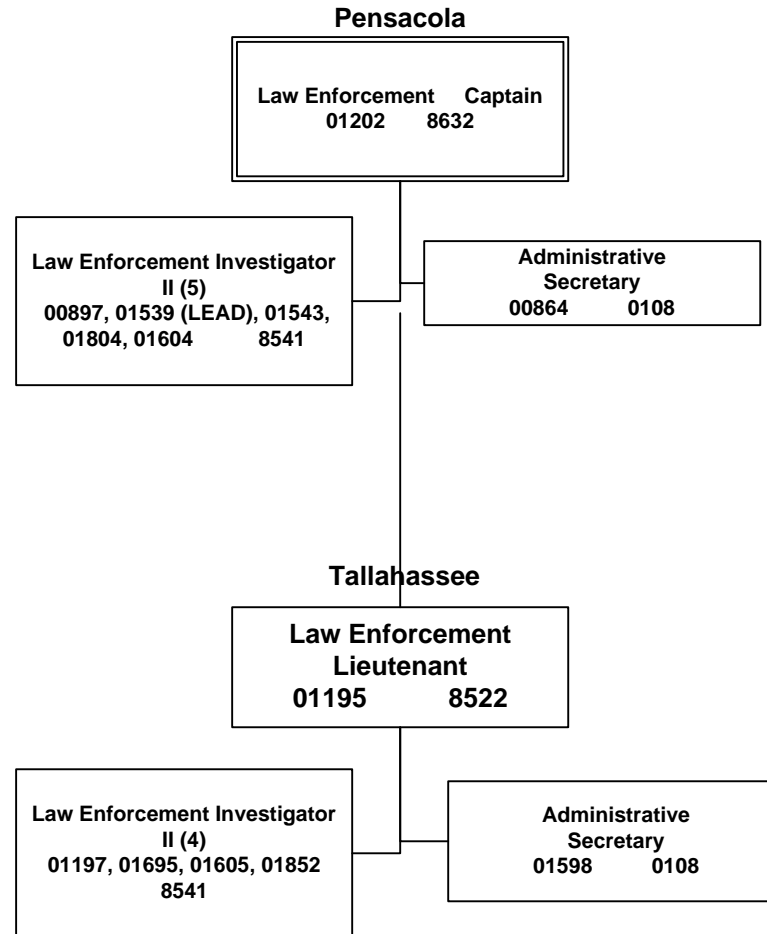
**Department of Financial Services
Division of Insurance Fraud
Bureau of Crime Intelligence & Analytical Support**



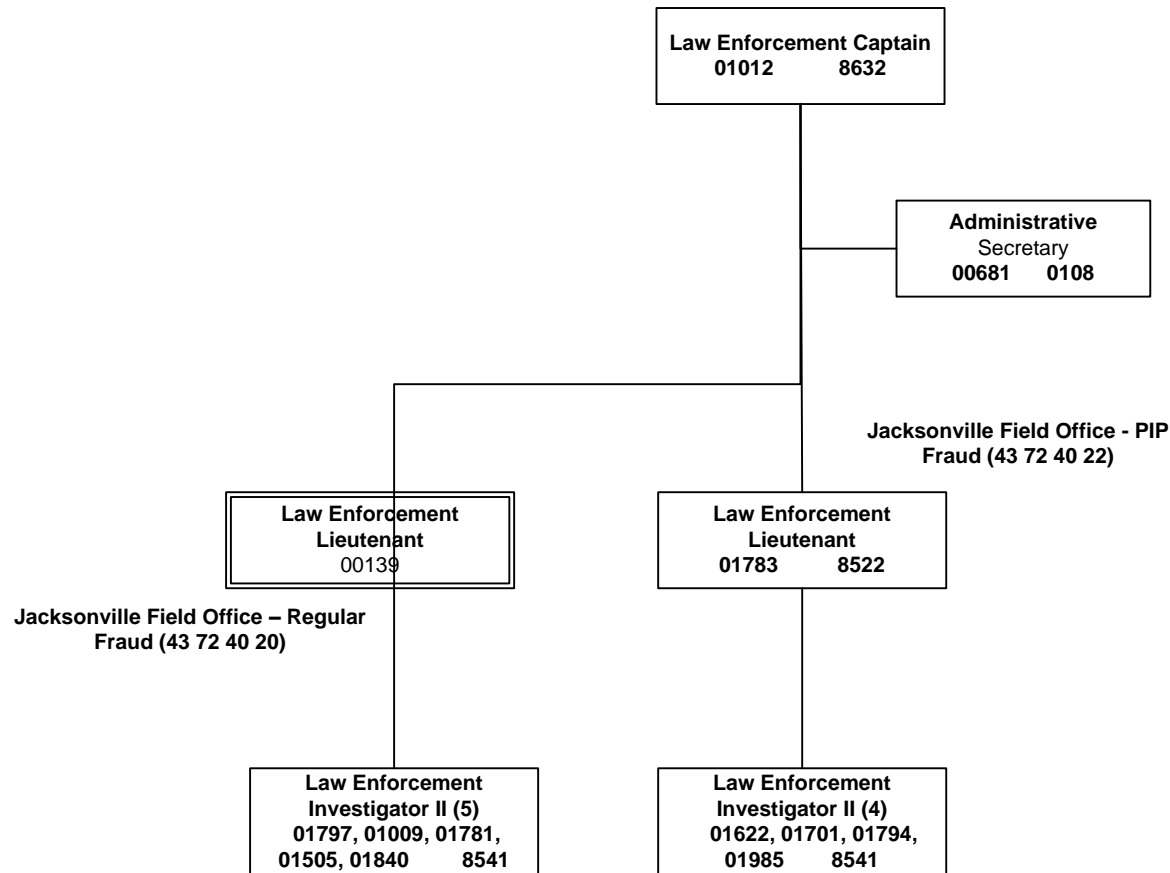
**Department of Financial Services
Division of Insurance Fraud
Bureau of Workers' Compensation Fraud**



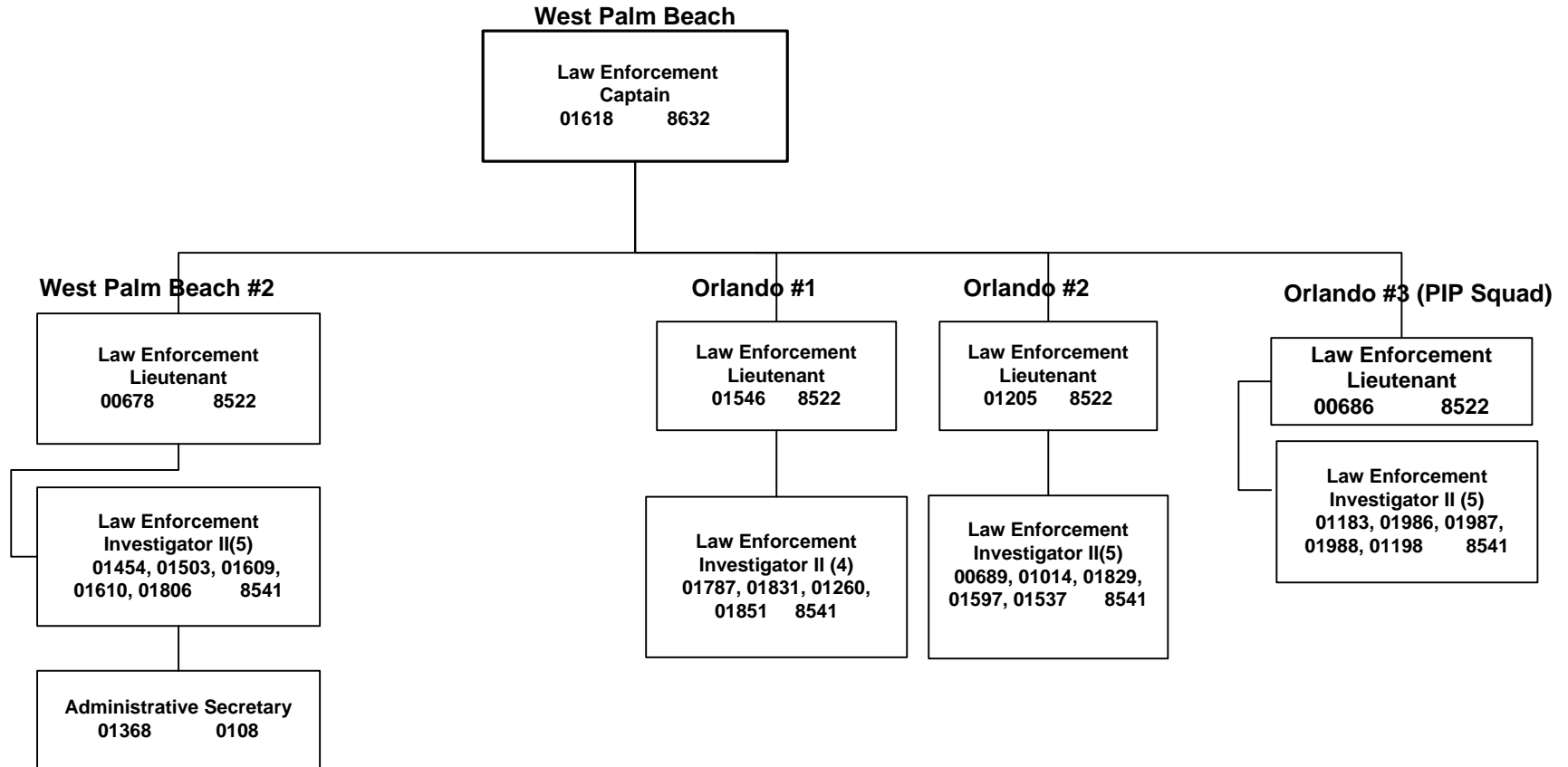
**Department of Financial Services
Division of Insurance Fraud
Panhandle Region**



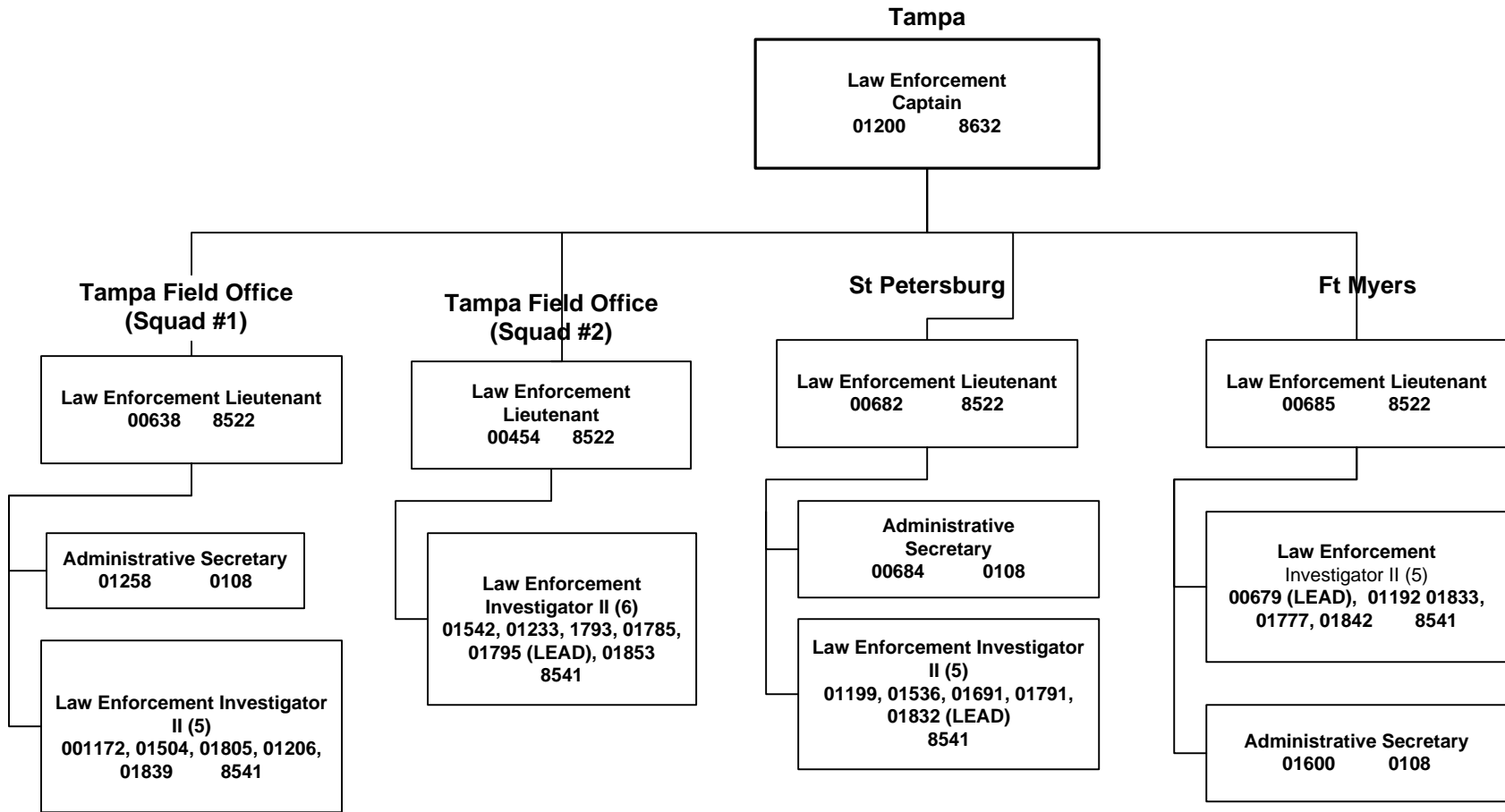
**Department of Financial Services
 Division of Insurance Fraud
 North Region
 Jacksonville – Ins Fraud**



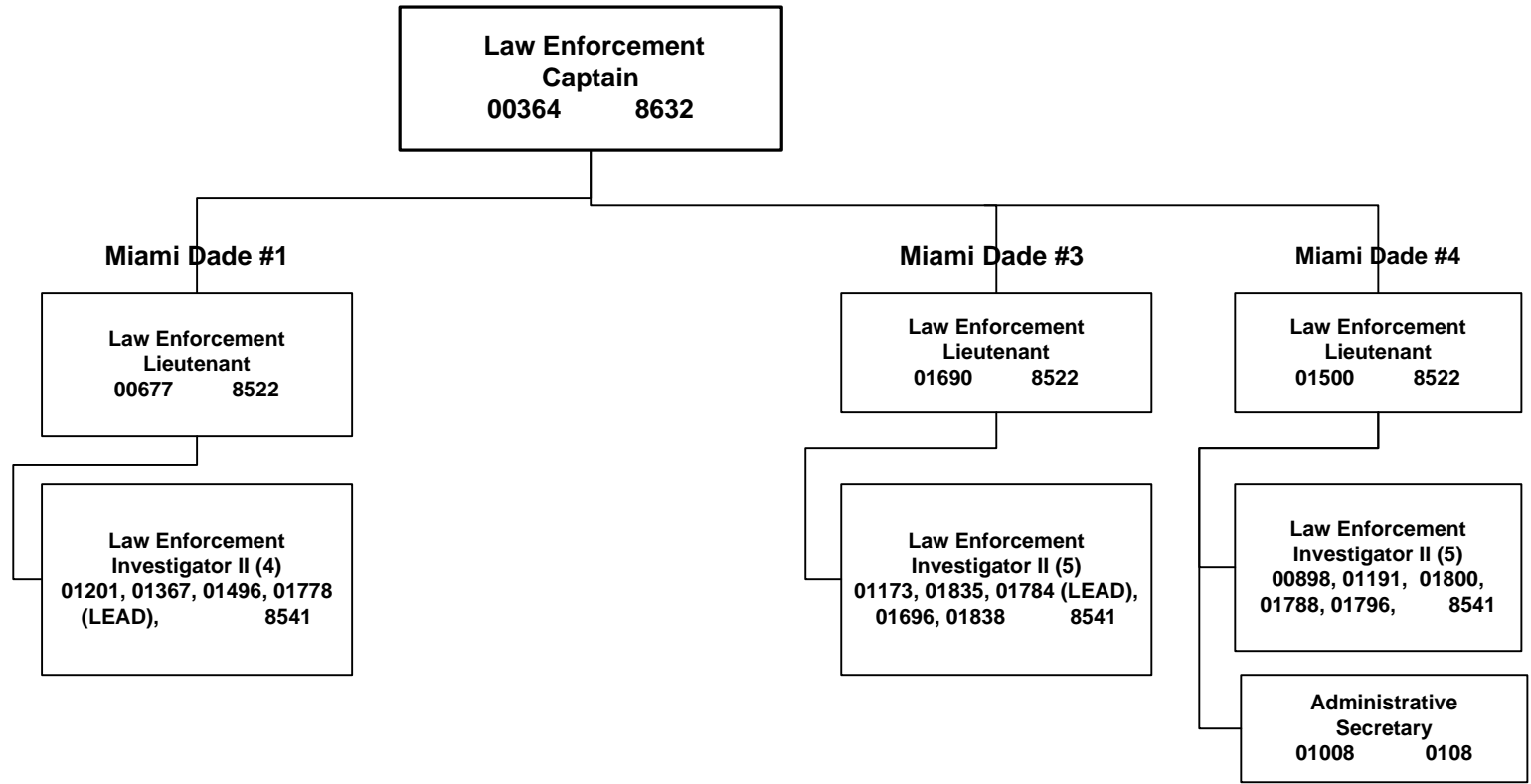
**Department of Financial Services
Division Insurance of Fraud
East Central Region**



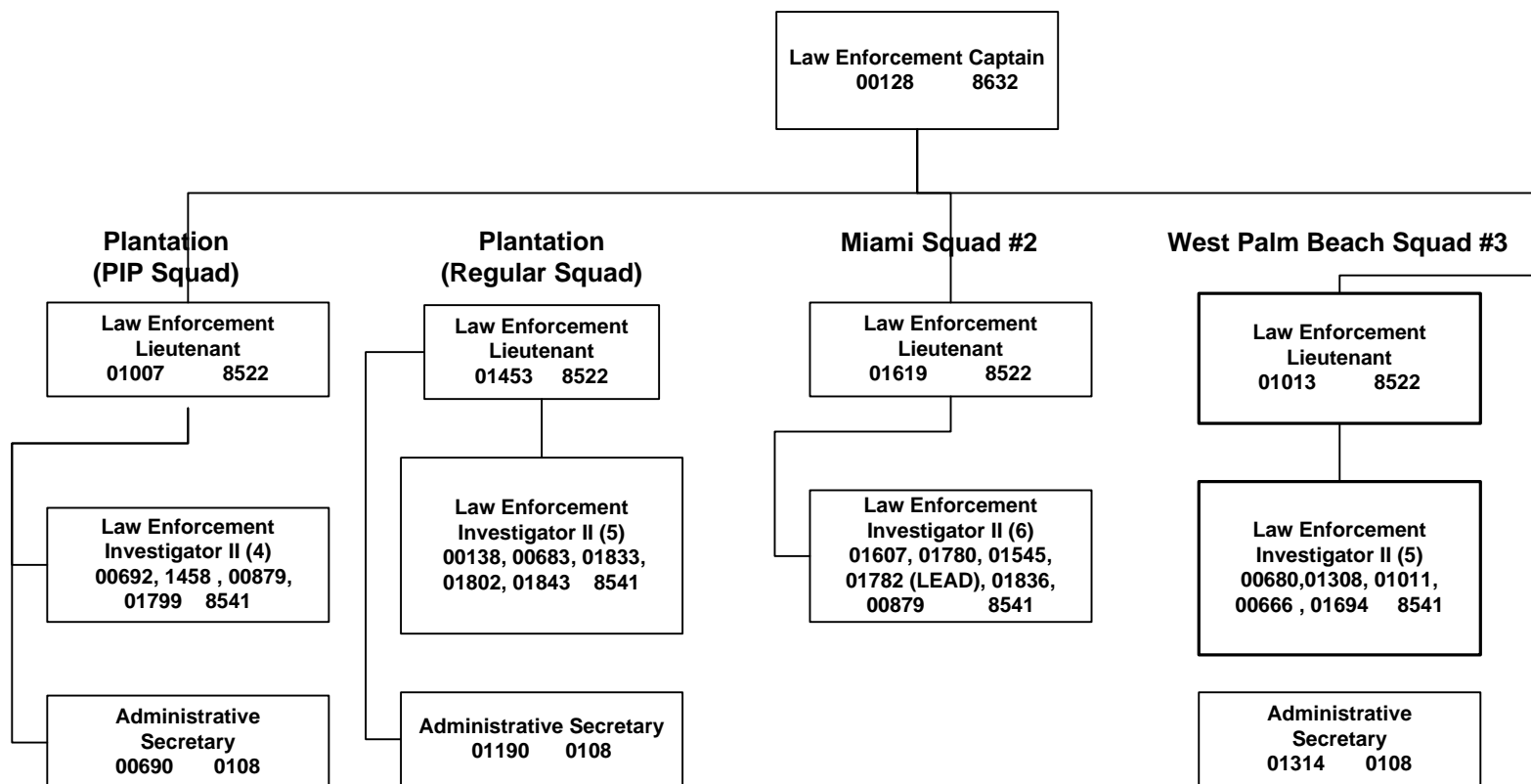
**Department of Financial Services
Division of Insurance Fraud
West Central Region**



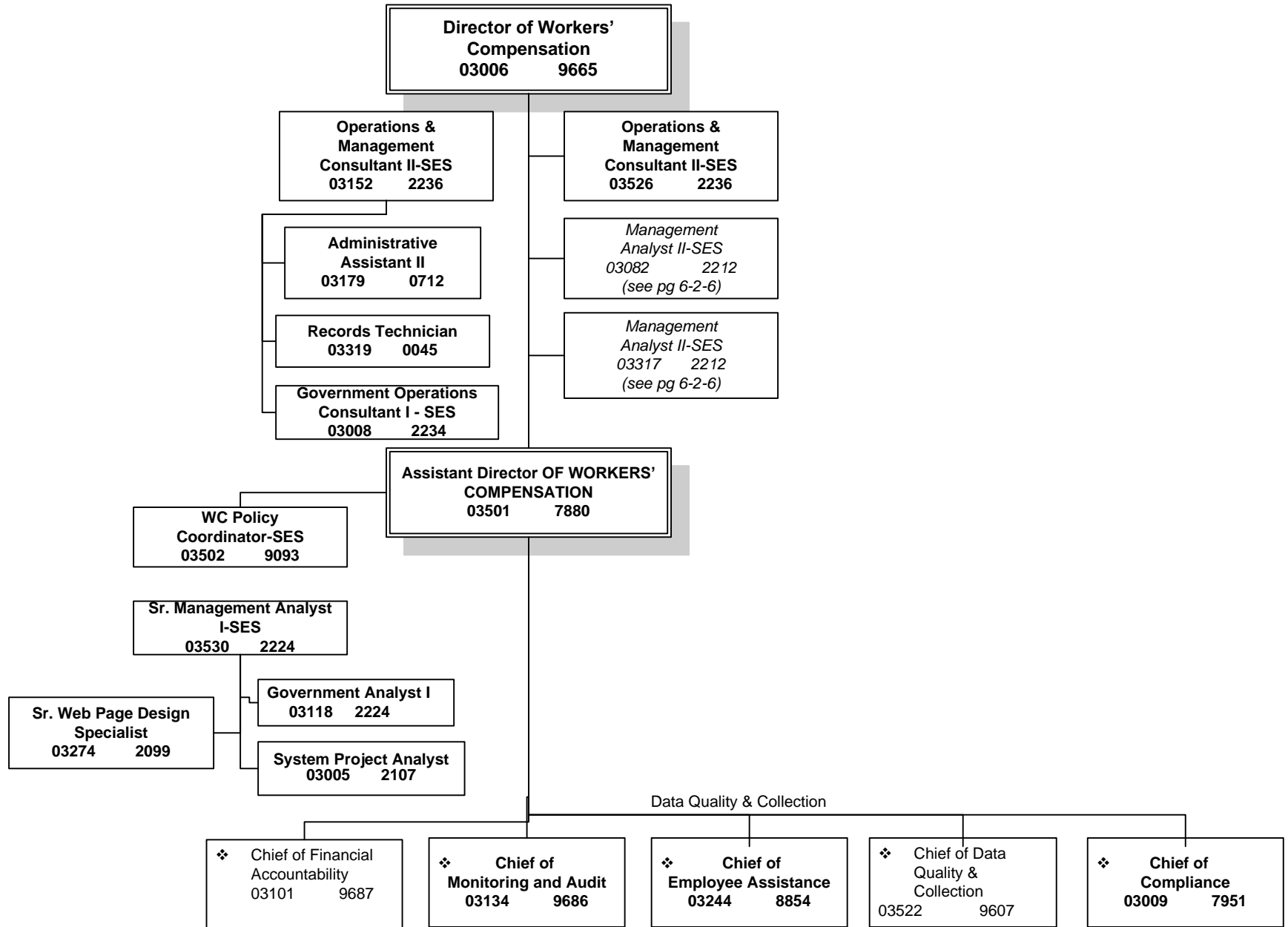
**Department of Financial Service
Division of Insurance Fraud
South Region**



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



Department of Financial Services Division of Workers' Compensation

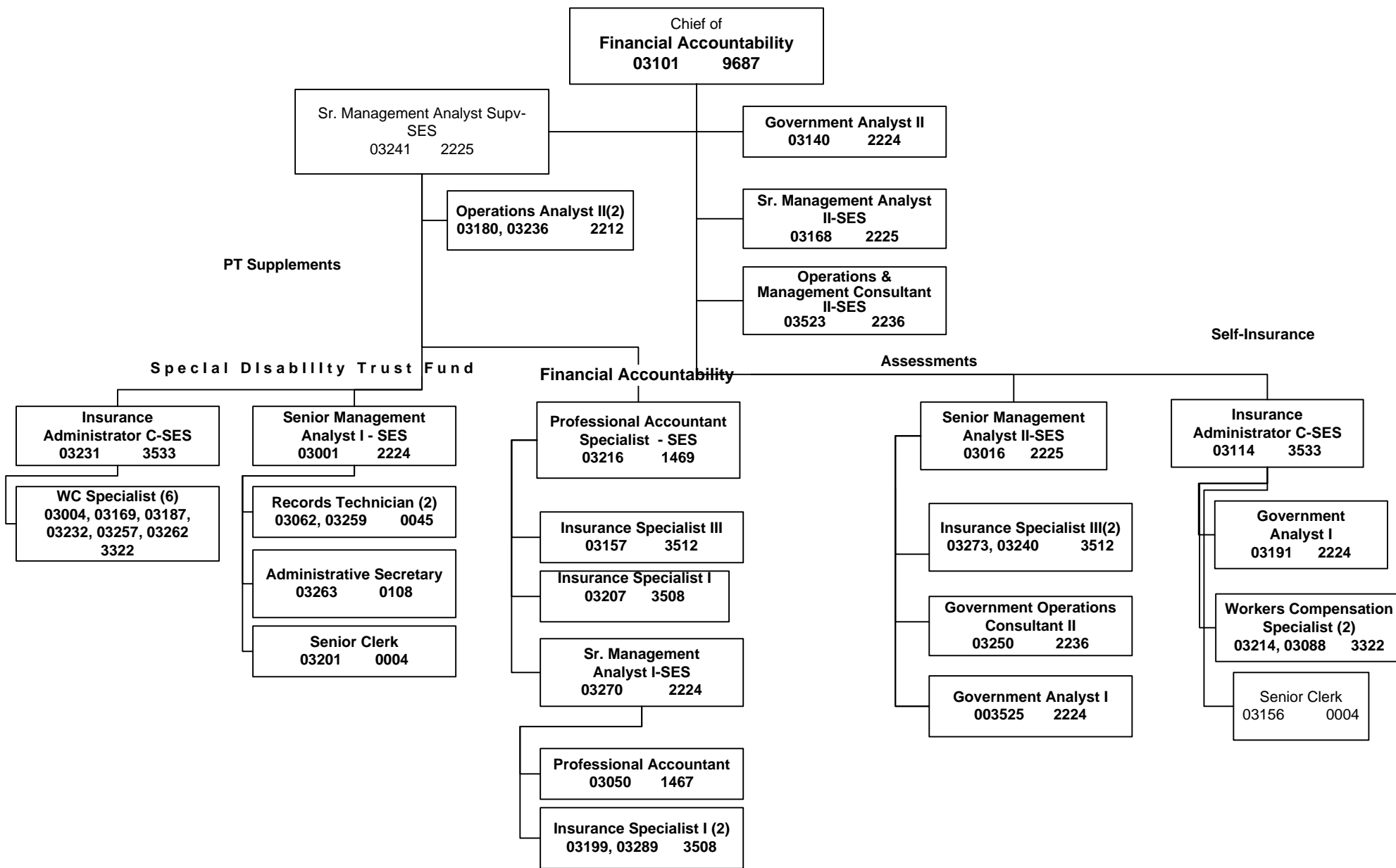


Division Total FTE: 354
Director Office Total FTE: 13

❖ 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 4-2-14

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

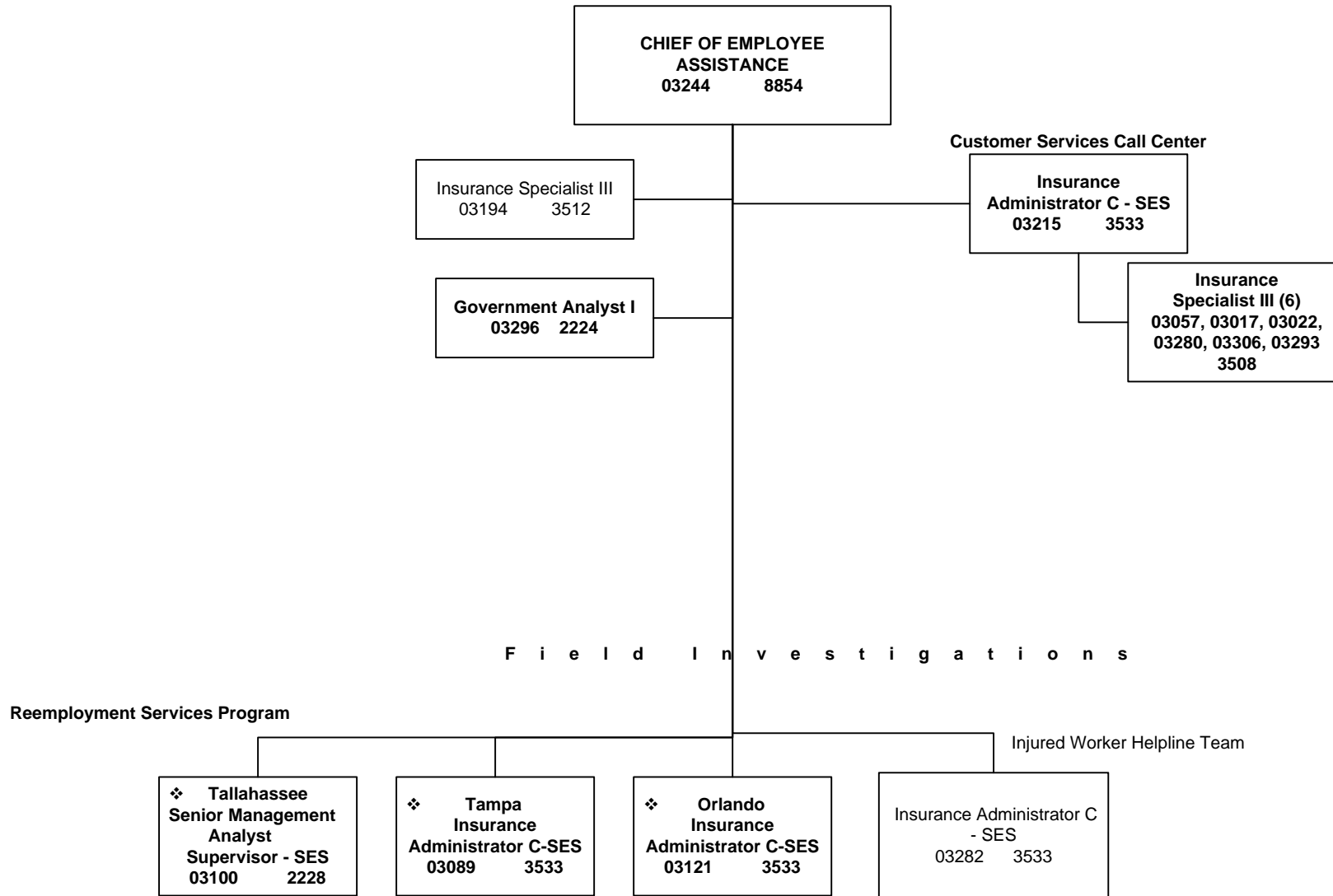


Total FTE: 34

❖ 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

5-3-2



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

*CHIEF OF EMPLOYEE ASSISTANCE
 03244 8854

F i e l d I n v e s t i g a t i o n s

Reemployment Services Program

Senior Management Analyst Supervisor - SES
 03100 2228

Central Investigations

Tallahassee
 Program Administrator-SES
 01963 05916

Orlando
 Program Administrator-SES
 01964 05916

Orlando
 Vocation Rehab Consultant
 01966 5980

Miami
 Vocation Rehab Consultant
 01967 5980

Personnel Services Specialist
 03218 1015
 (see p. 2-2-6)

Tallahassee
 Vocation Rehab Consultant
 01965 5980

Tampa
 Vocation Rehab Consultant
 03226 5980

Tampa
 Insurance Administrator C-SES
 03089 3533

Tallahassee
 Insurance Administrator C-SES
 03121 3533

Insurance Administrator C - SES
 03282 3533

Tampa
 Insurance Specialist III (3)
 03096, 03278, 03305
 3512

Jacksonville
 Insurance Specialist III
 03286 3512

Miami
 Insurance Specialist III
 03126 3512

Jacksonville
 Government Analyst I
 03227 2224

Pensacola
 Government Analyst I
 03285 2224

Tampa
 Government Analyst I
 03222 2224

Orlando
 Government Analyst I (2)
 03136, 03282 2224

Tallahassee
 Government Analyst I (2)
 03217, 03518 2224

Miami
 Government Analyst I
 03075 2224

Ocala
 Government Analyst I
 03281 2224

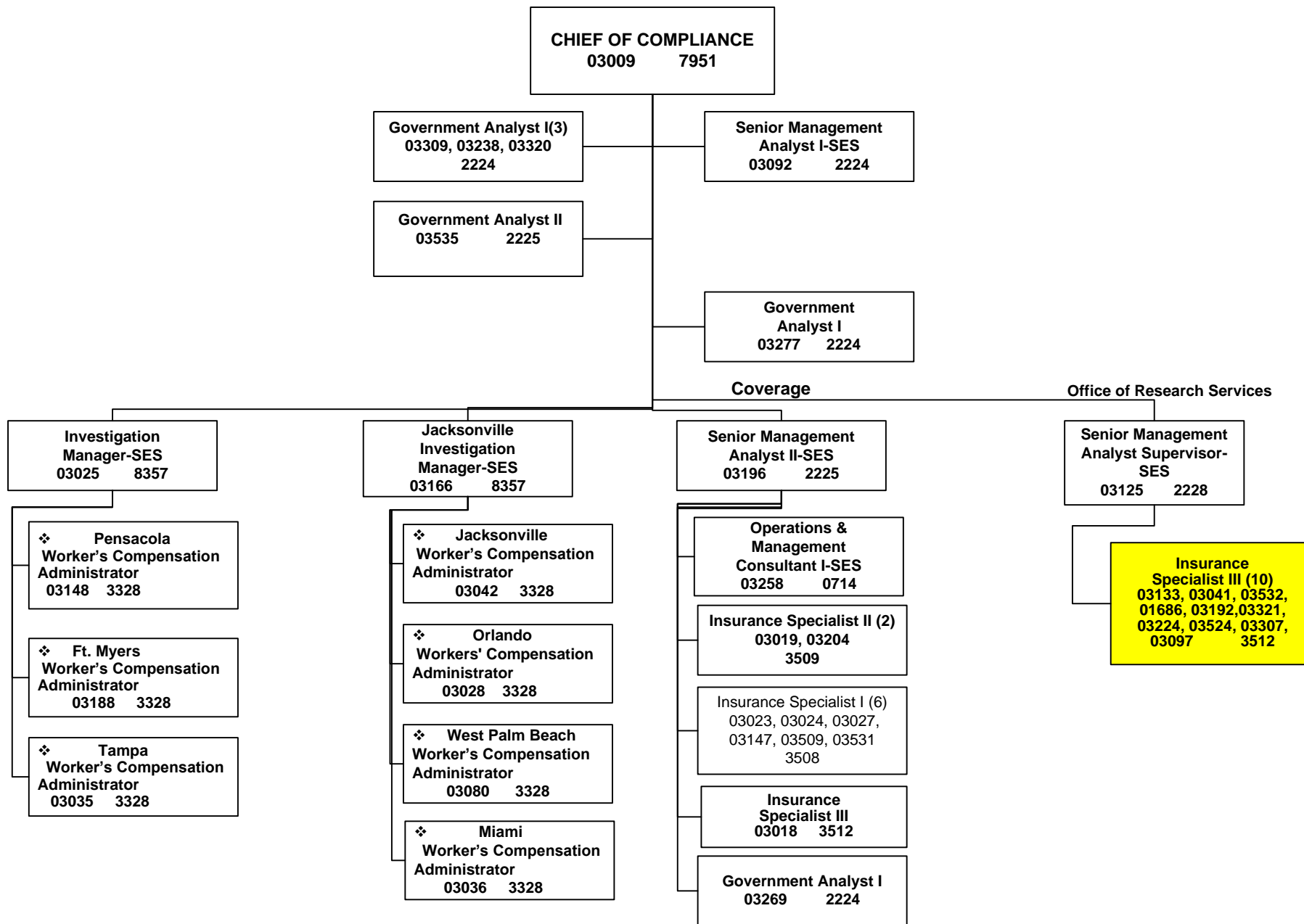
Tallahassee
 Insurance Specialist III (5)
 03099, 03292, 03124,
 03127, 03294
 3512

Miami
 Insurance Specialist III(3)
 03275, 03303, 03308
 3512

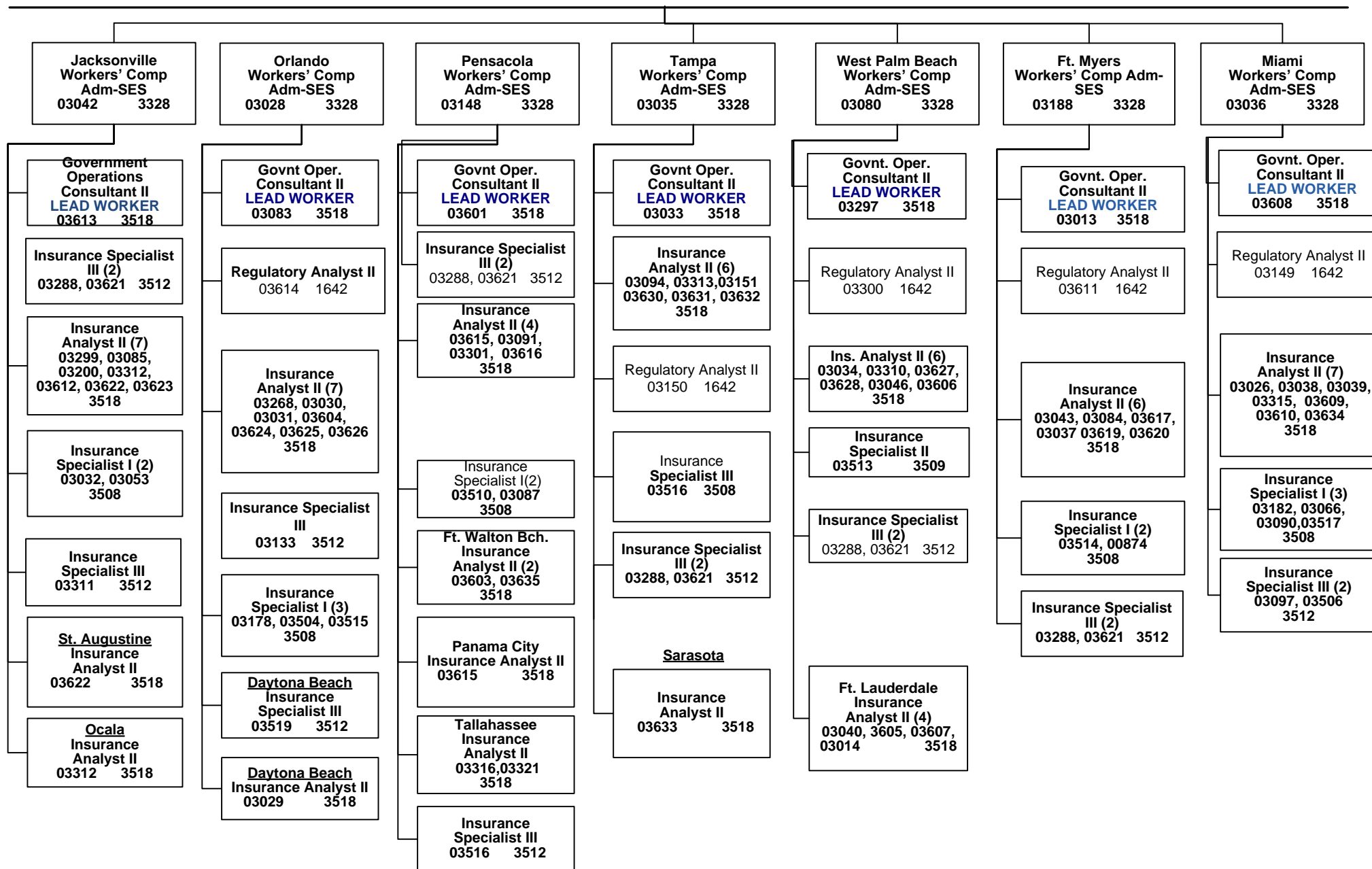
WPB
 Insurance Specialist III
 03128 3512

Orlando
 Insurance Specialist III
 03221 3512

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



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

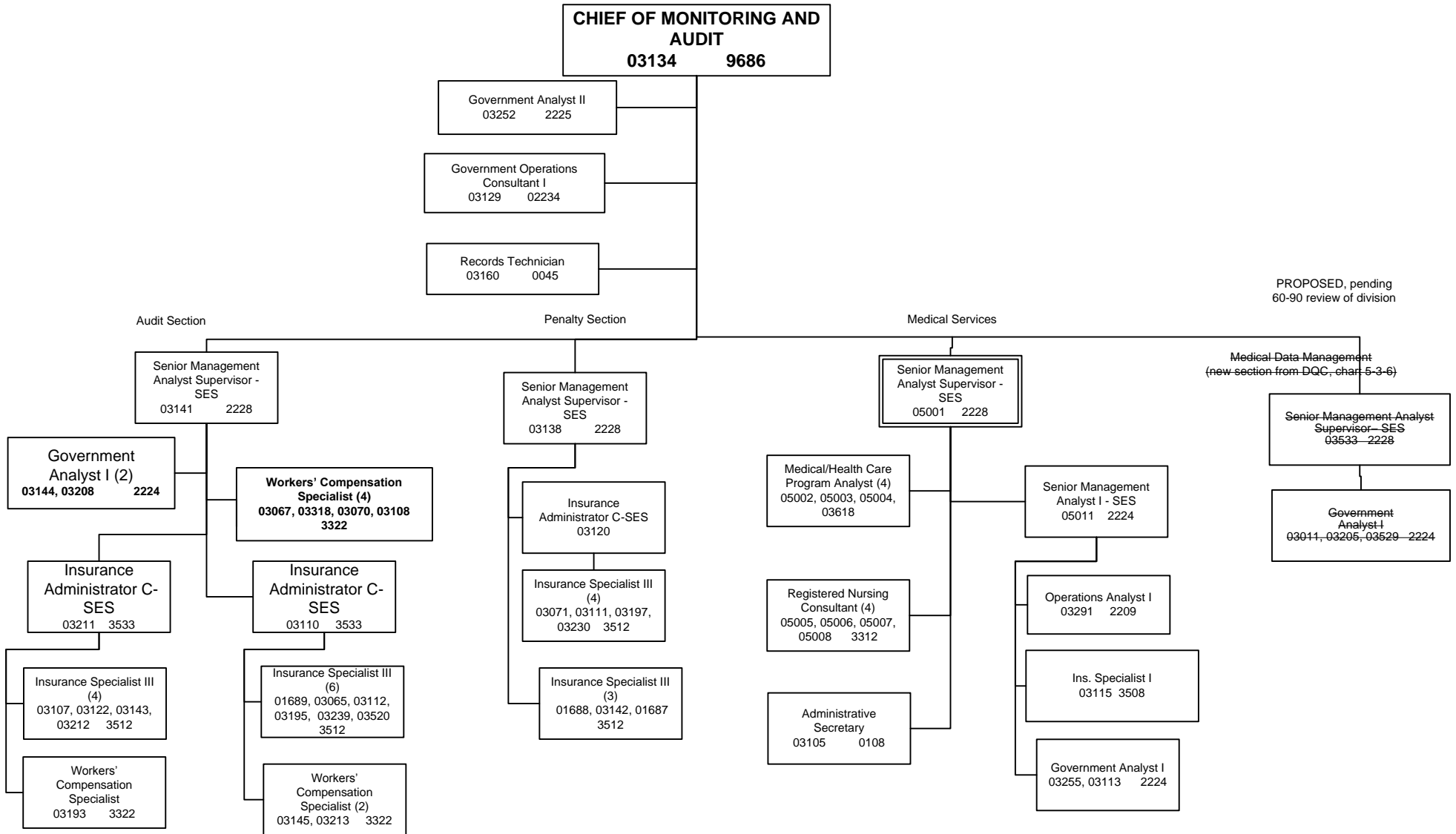


**Department of Financial Services
Division of Workers' Compensation
Office of Medical Services**

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

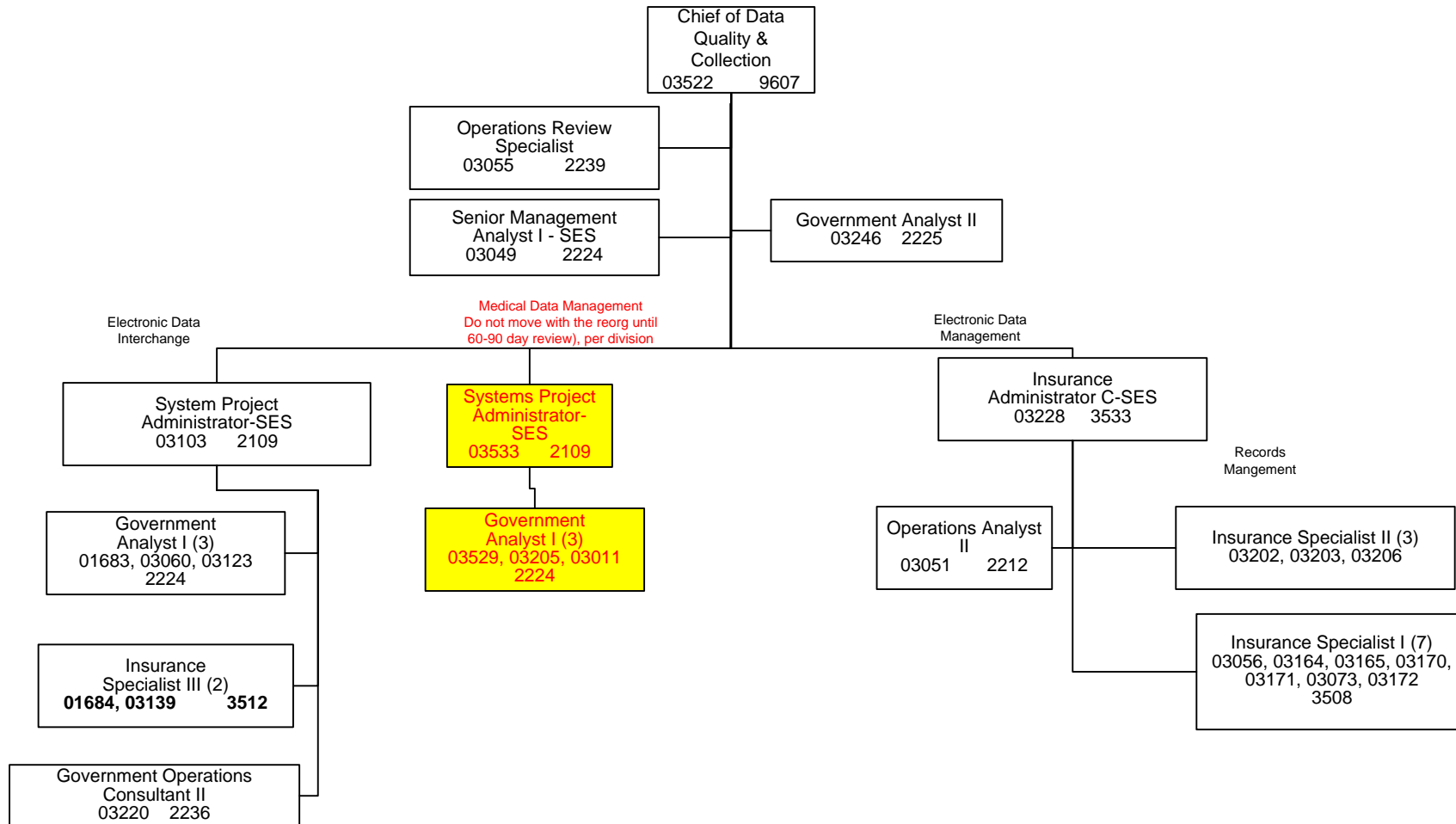
We are requesting to move the Medical Services section located in the Division of Workers' Compensation, Director's Office to the Division of Workers' Compensation, Bureau of Monitoring & Audit. The Medical Services section, will be supervised by Position 43005001, Program Administrator - SES. No positions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

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

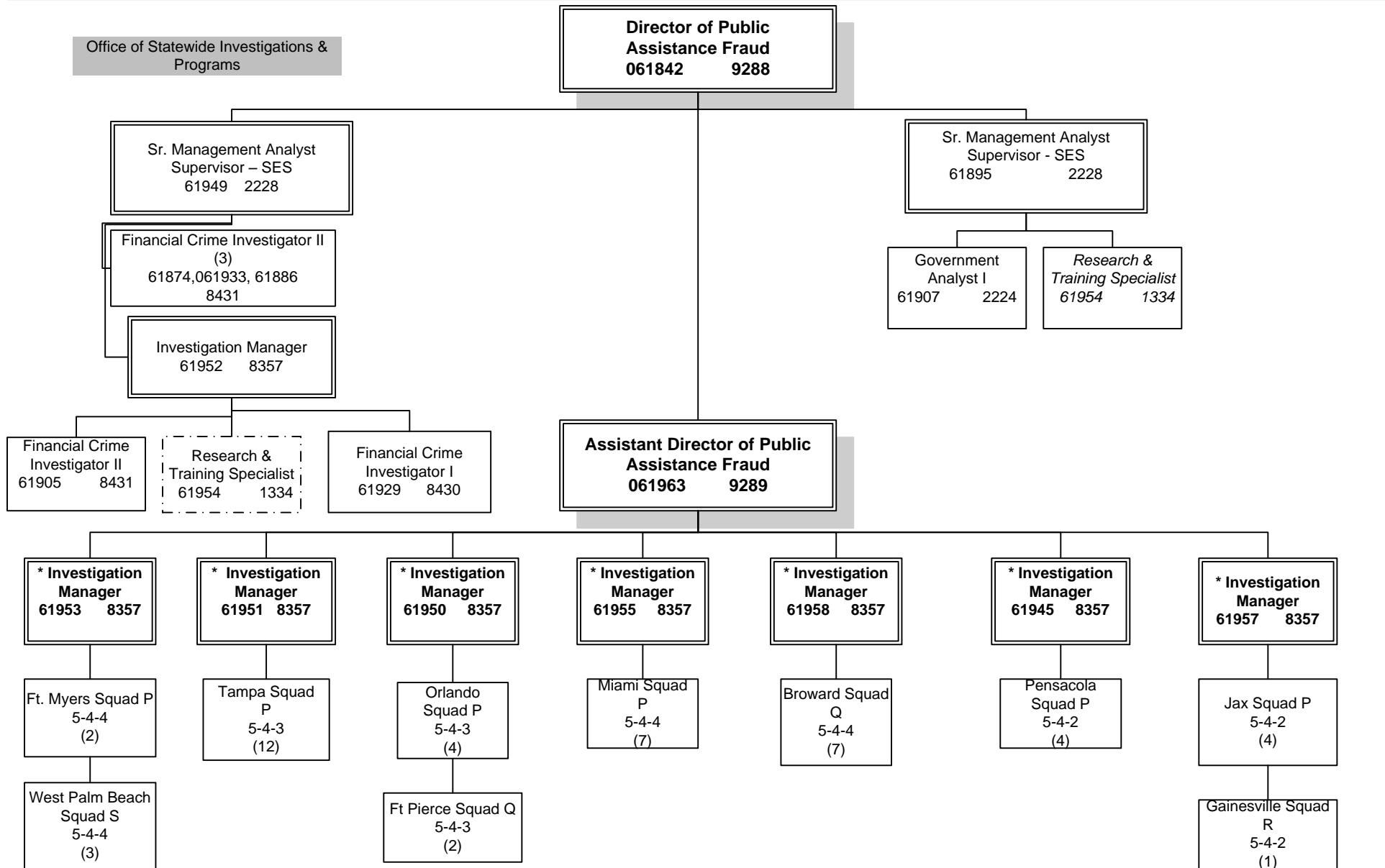


PROPOSED, pending 60-90 review of division

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



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



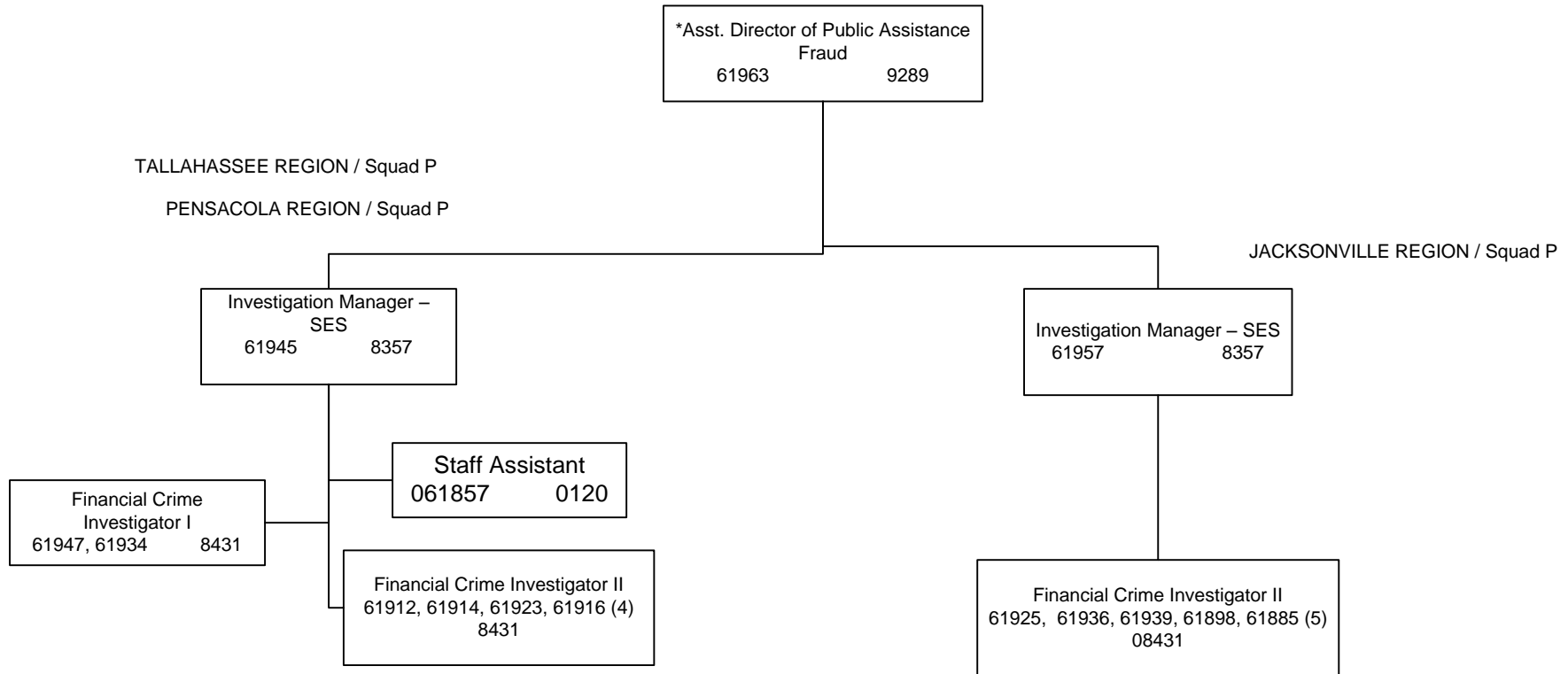
Division Total FTE: 63
Director Office Total FTE: 10

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

Eff 4/28/2014
Rev 8/25/14

5-4-1

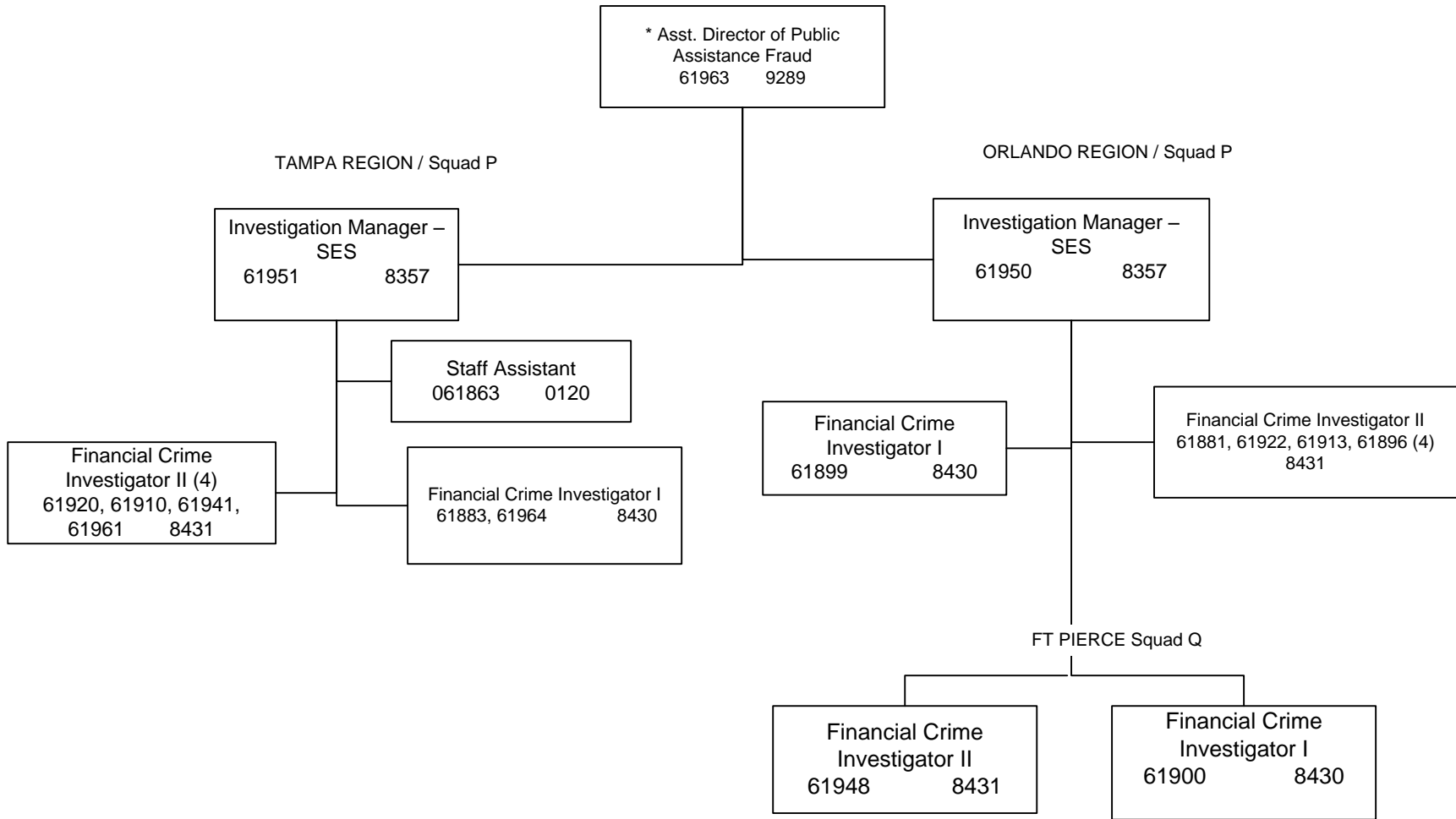
Department of Financial Services Division of Public Assistance Fraud North Region



Total FTE: 13
 Pensacola & Tallahassee 8
 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.

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

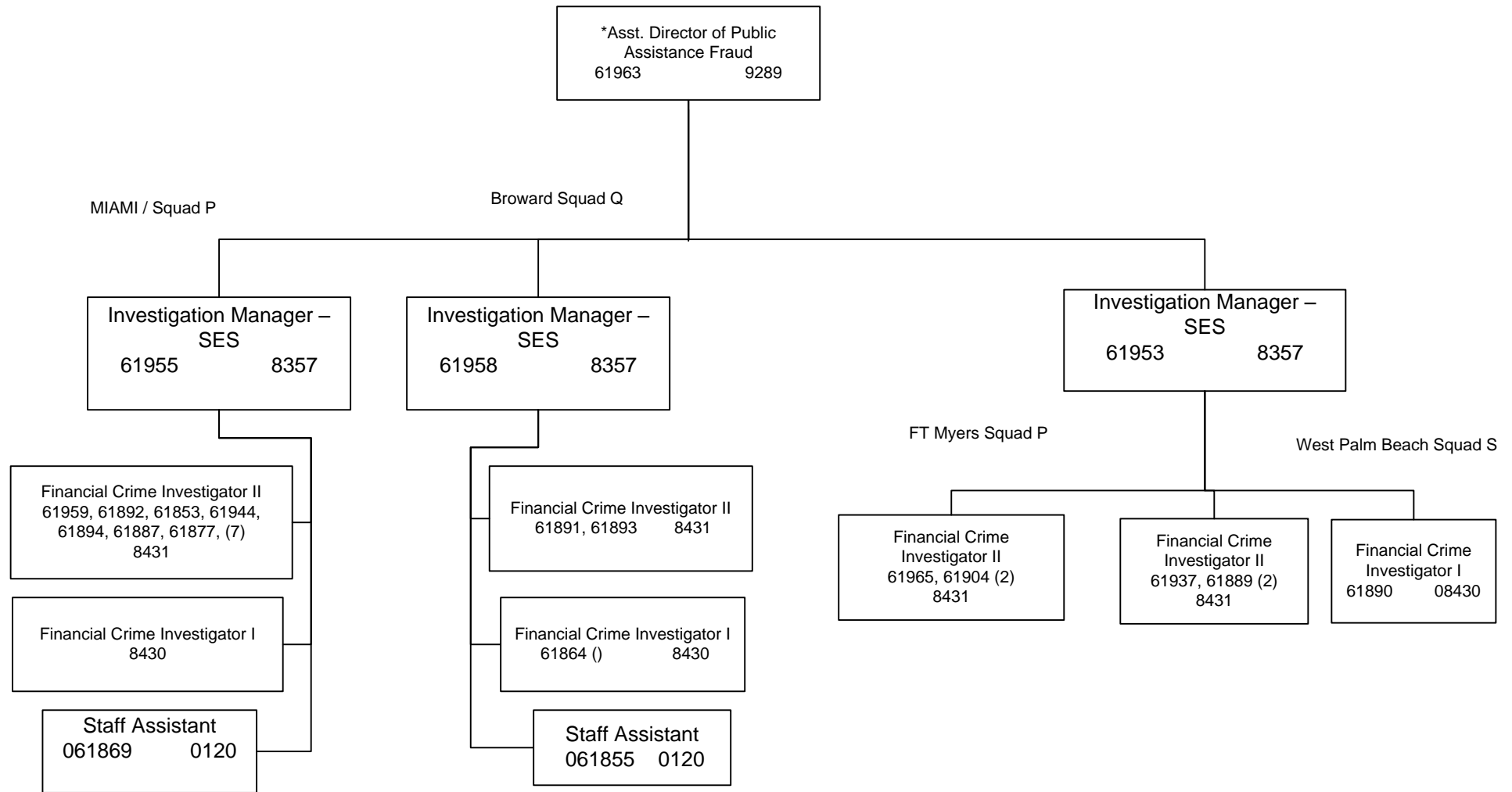


Total FTE: 20
 Tampa: 12
 Orlando: 6
 Ft. Pierce: 2

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

Eff 7-7-14
 Rev 8-25-14

Department of Financial Services Division of Public Assistance Fraud South Region



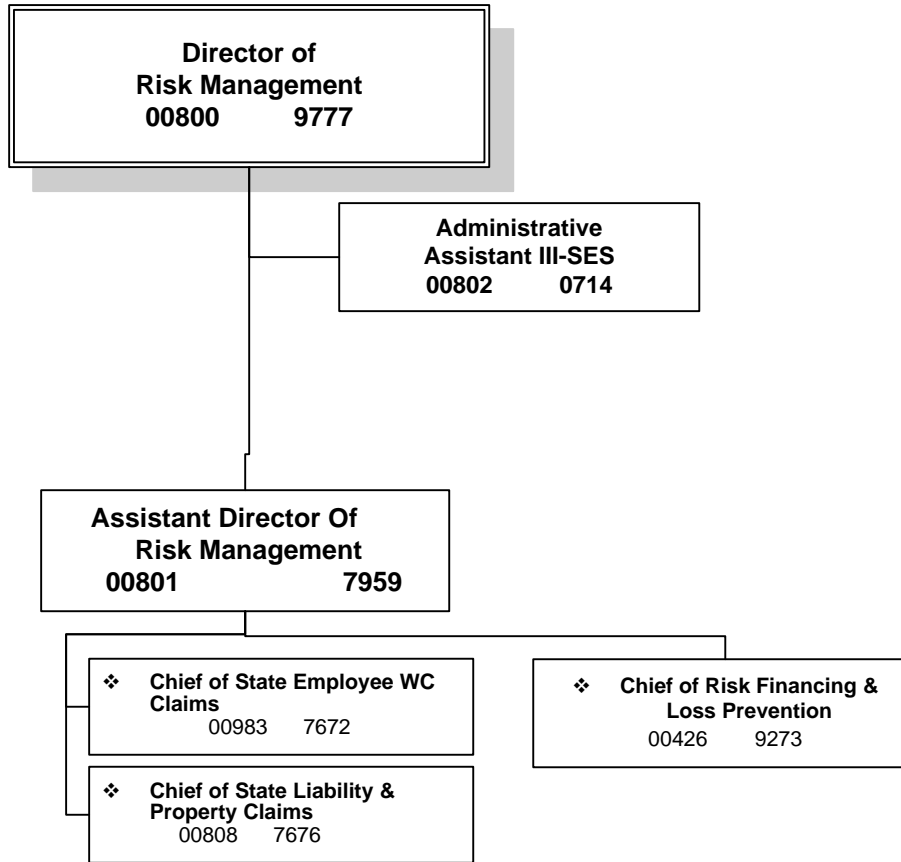
Total FTE: 22
 Miami: 10
 Broward: 5
 West Palm Beach: 3
 Ft Myers: 3

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

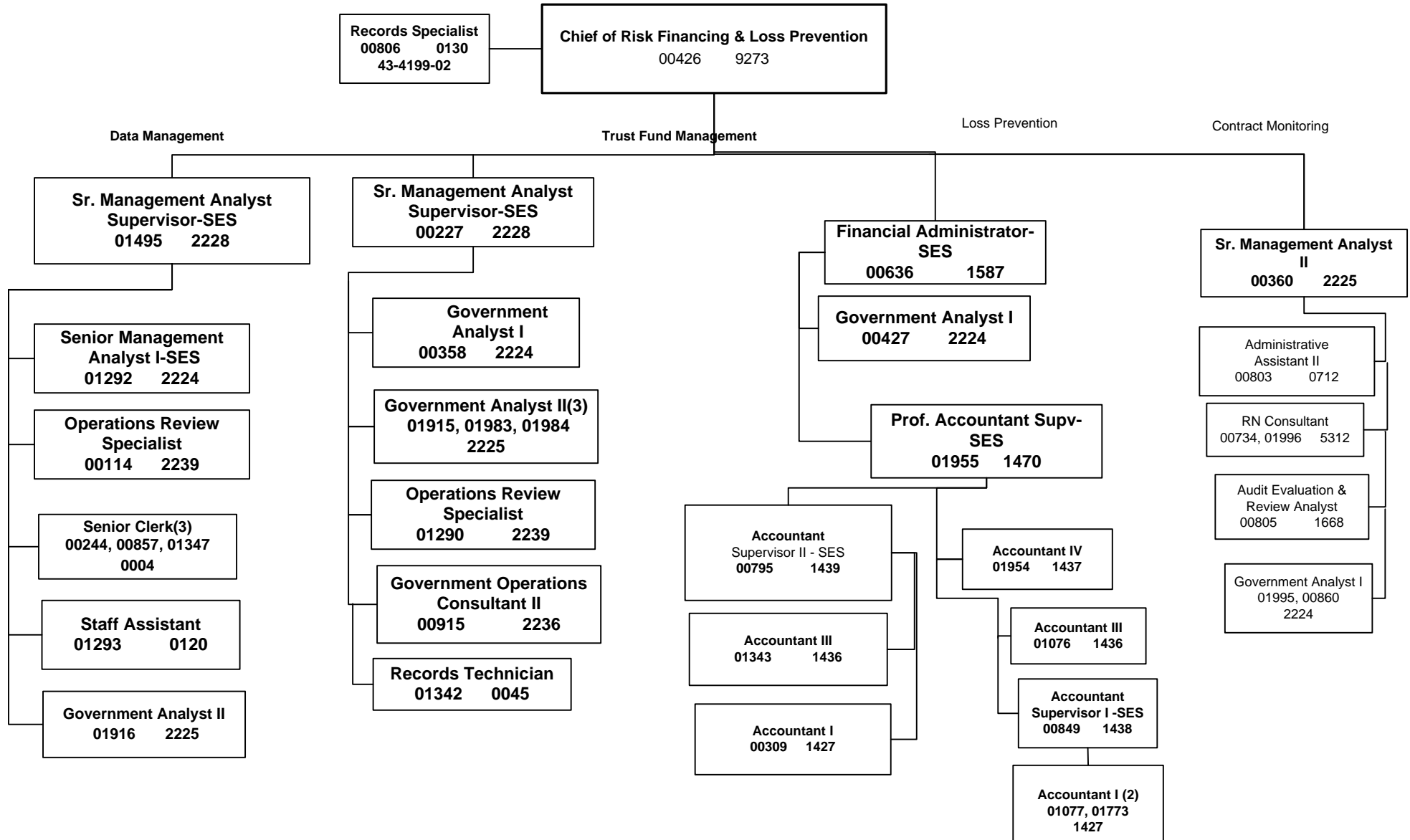
Eff 4-28-14
 Rev 8-25-14

5-4-4

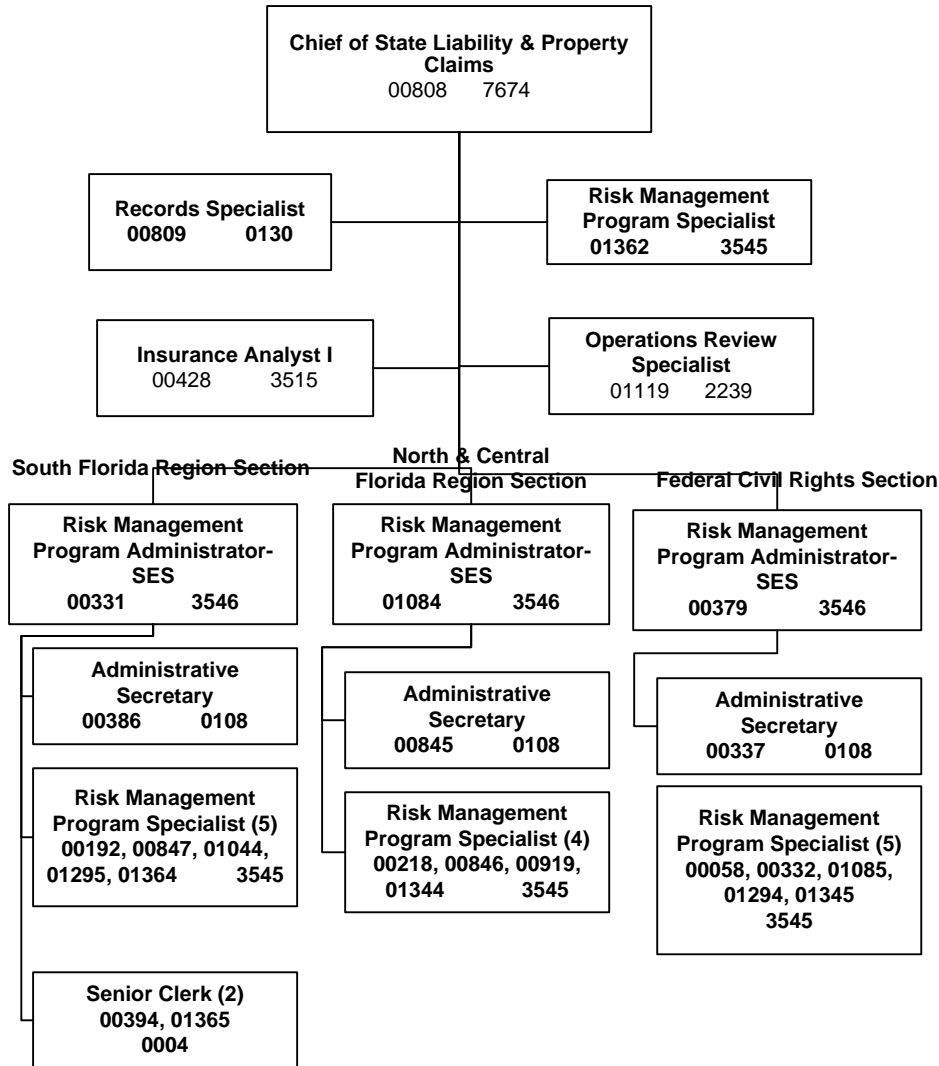
Department of Financial Services
Office of the Chief of Staff
Division of Risk Management
Office of the Director



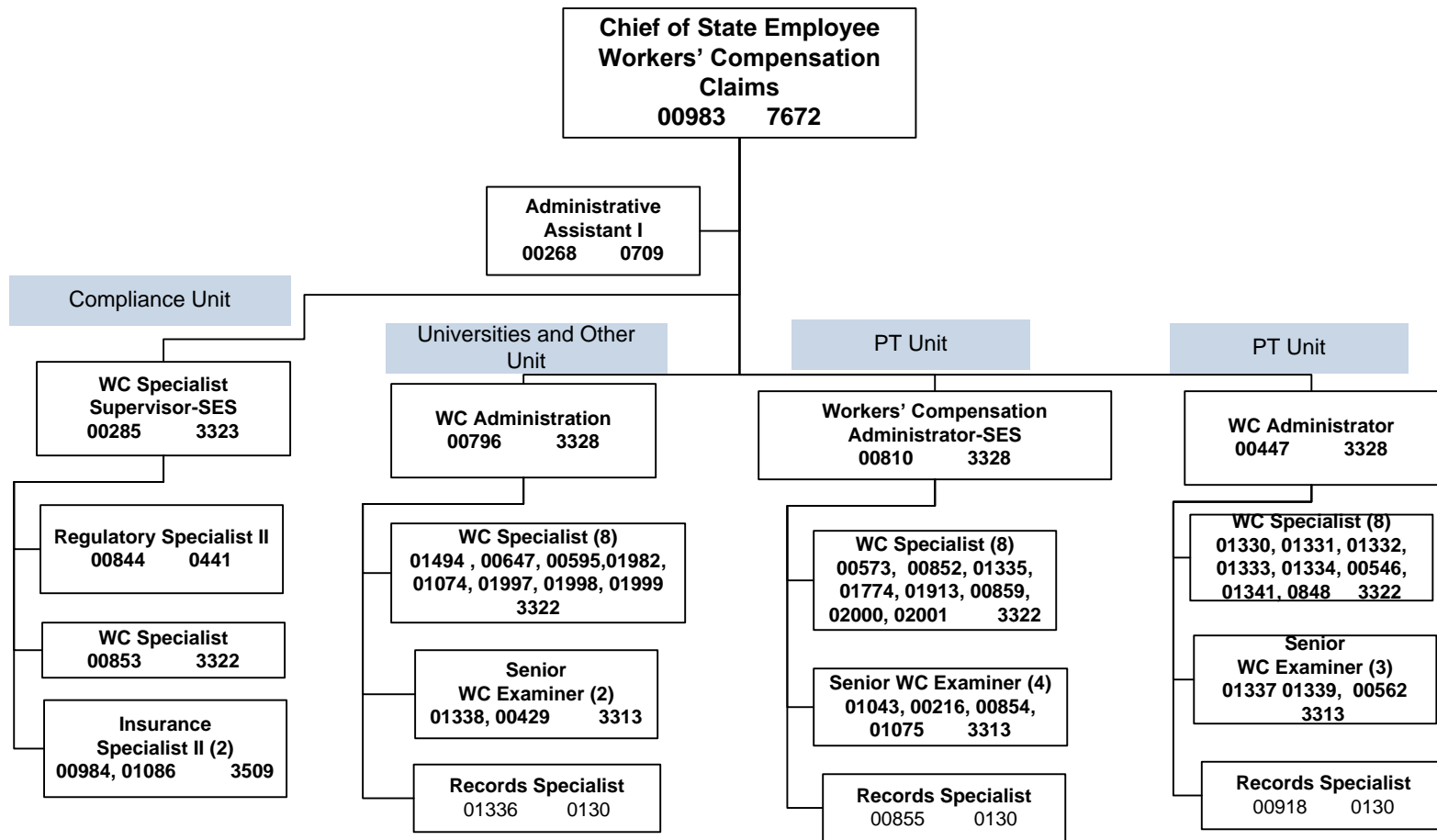
**Department of Financial Services
Division of Risk Management
Bureau of Risk Financing & Loss Prevention**



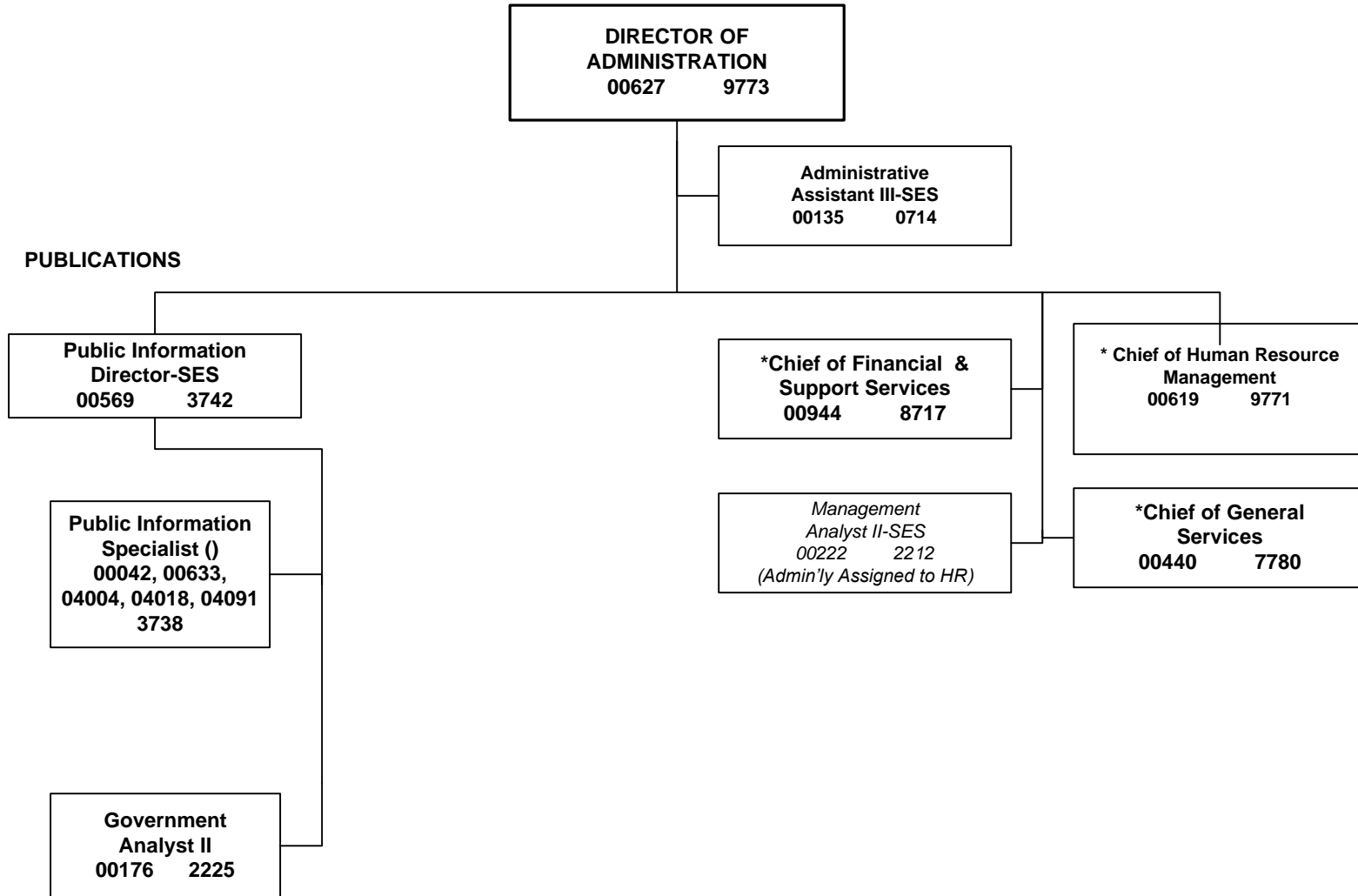
**Department of Financial Services
Division of Risk Management
Bureau of State Liability & Property Claims**



**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**

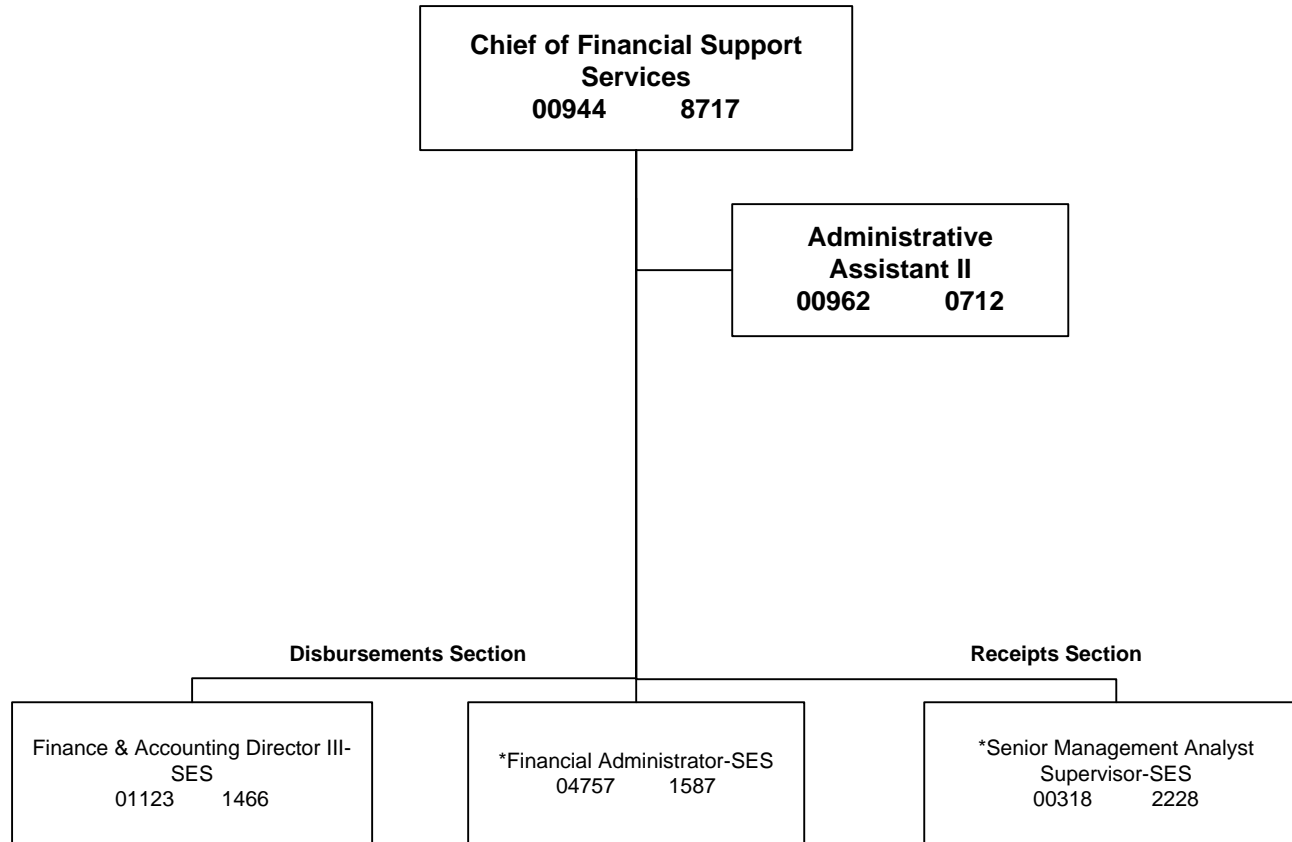


Div of Administration Total FTE: 91
Office of the Director FTE: 3
Publications: 7

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

Eff 07/01/2014
Rev 8-24-14

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

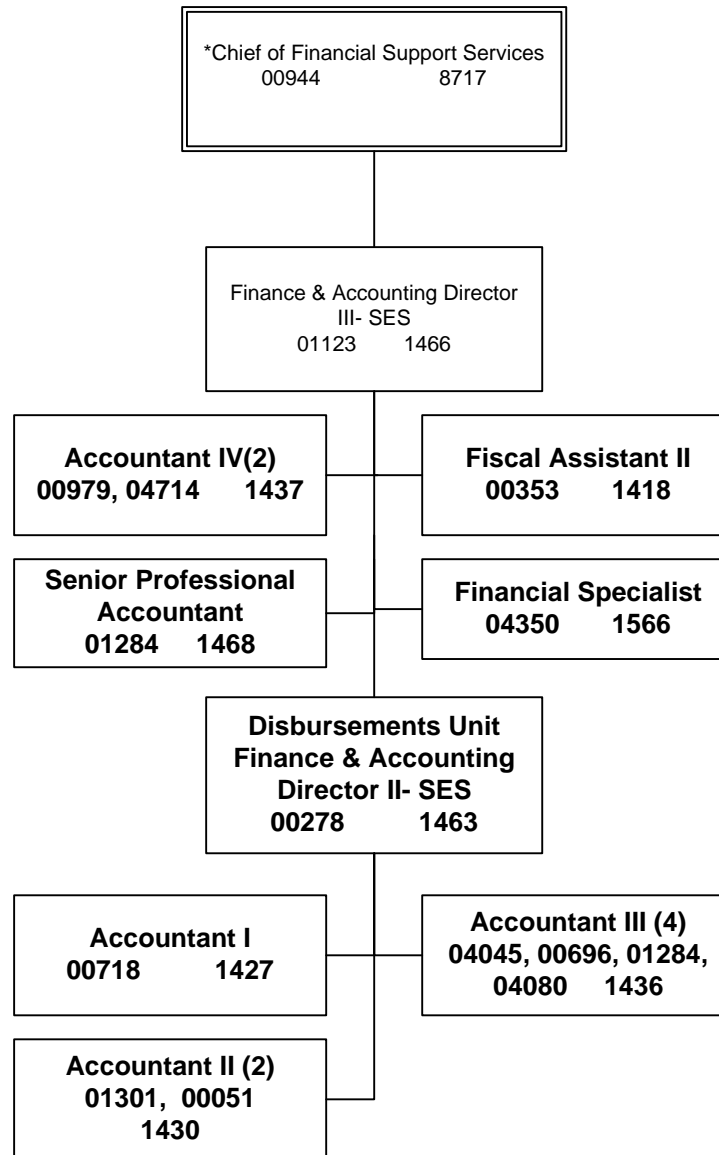


Bureau Total FTE: 43
Chief FTE: 2

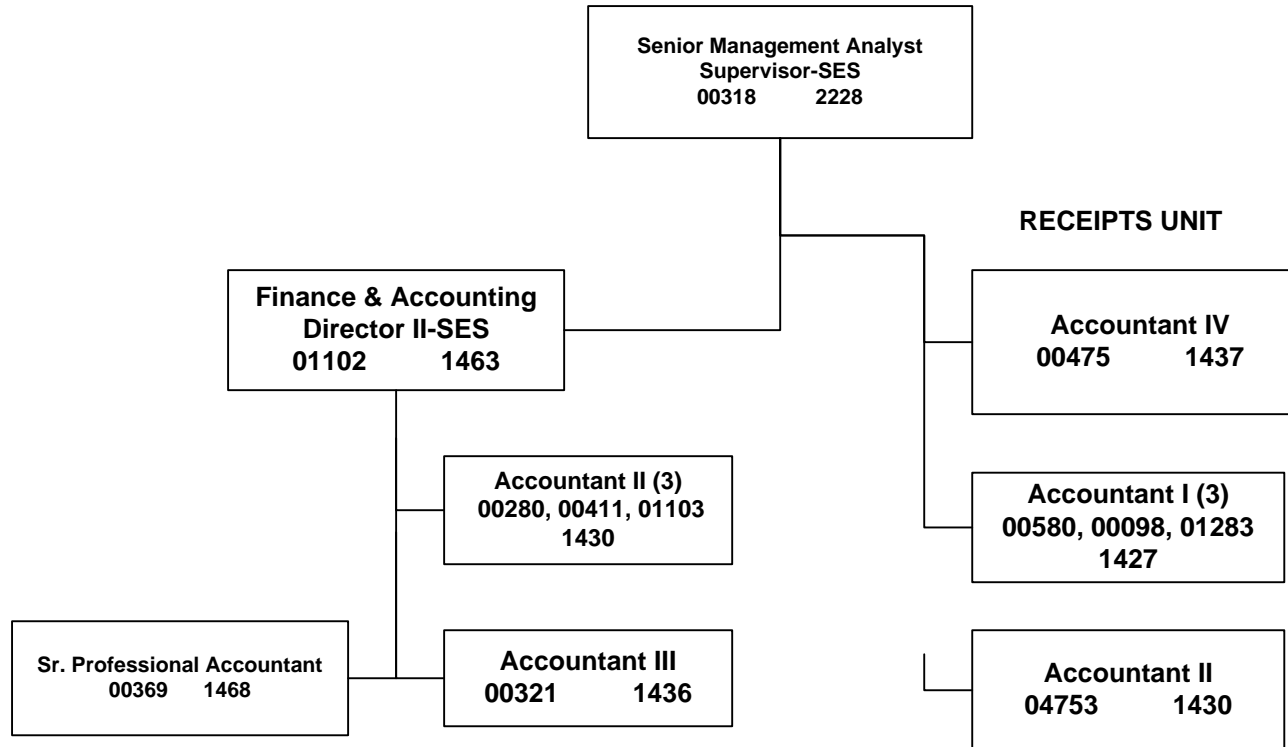
❖ FTE not Included in this Section
 Dotted Line = Administratively Assigned. FTE not counted.
 Italic = Organizationally Assigned. Reports elsewhere administratively FTE counted.

Eff 07-01-2013
 Rev 10-8-13 **6-2-2**

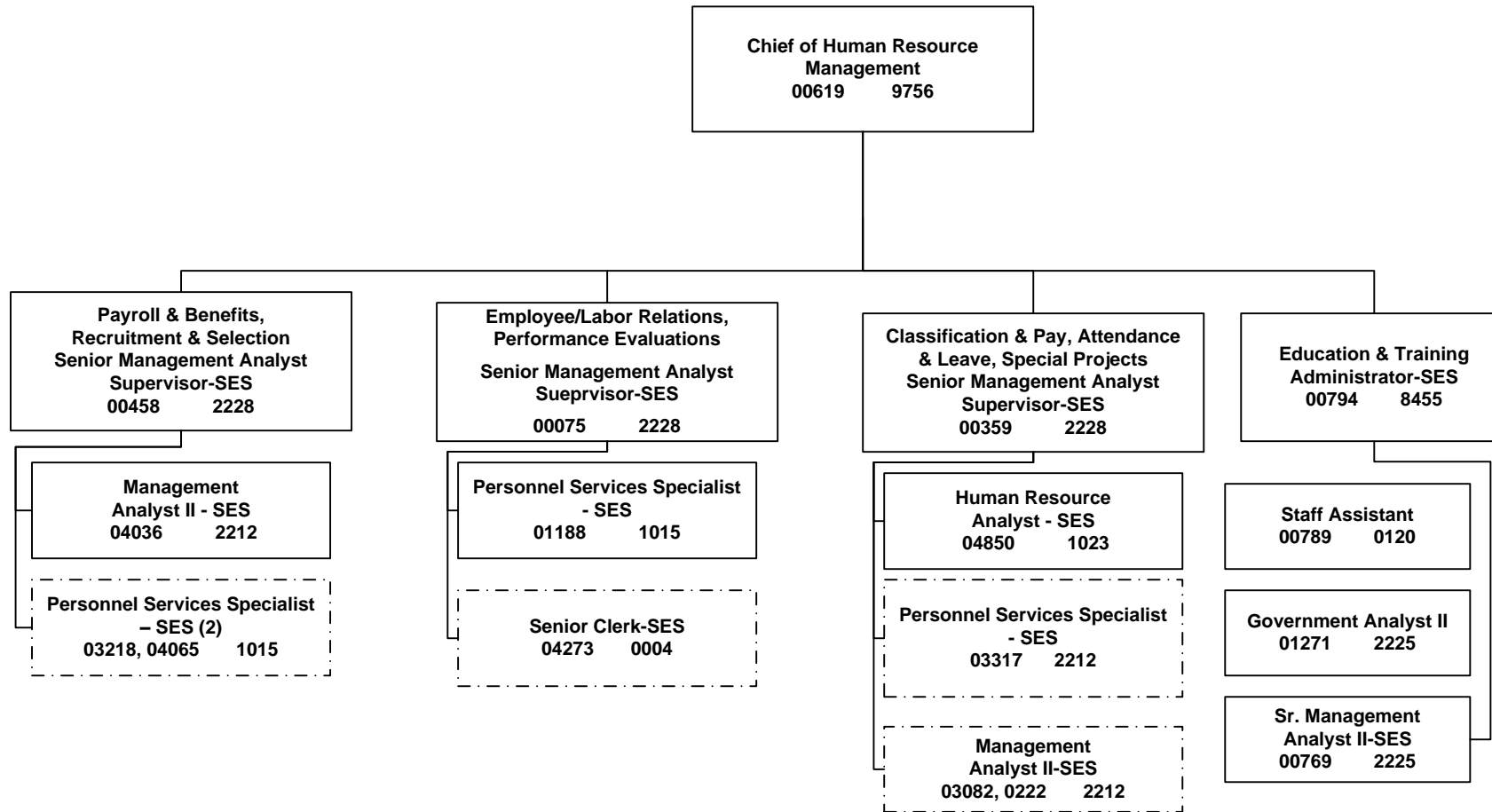
**Department of Financial Services
 Division of Administration
 Bureau of Financial & Support Services
 Disbursements Section**



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



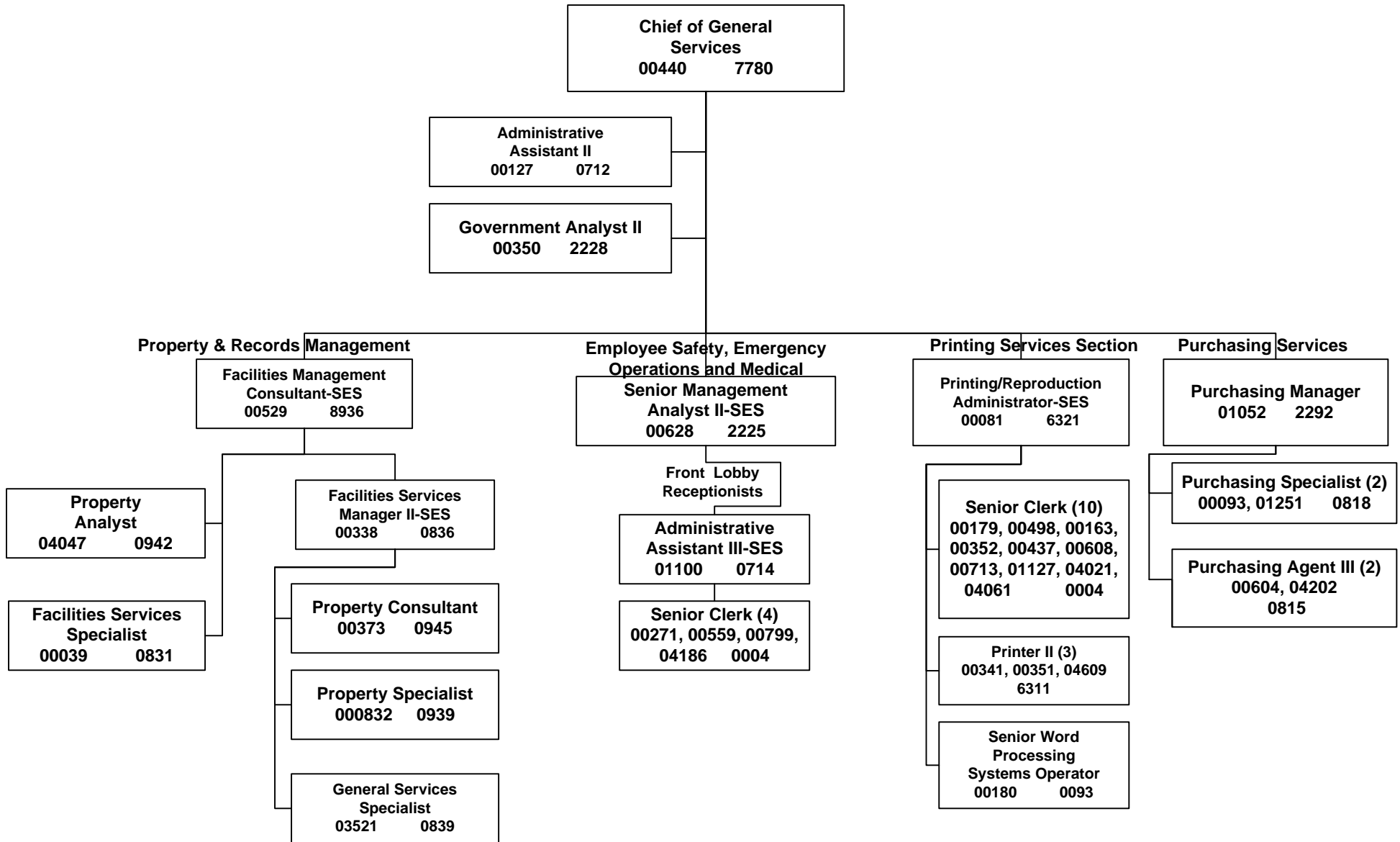
**Department of Financial Services
Division of Administration
Bureau of Human Resource Management**



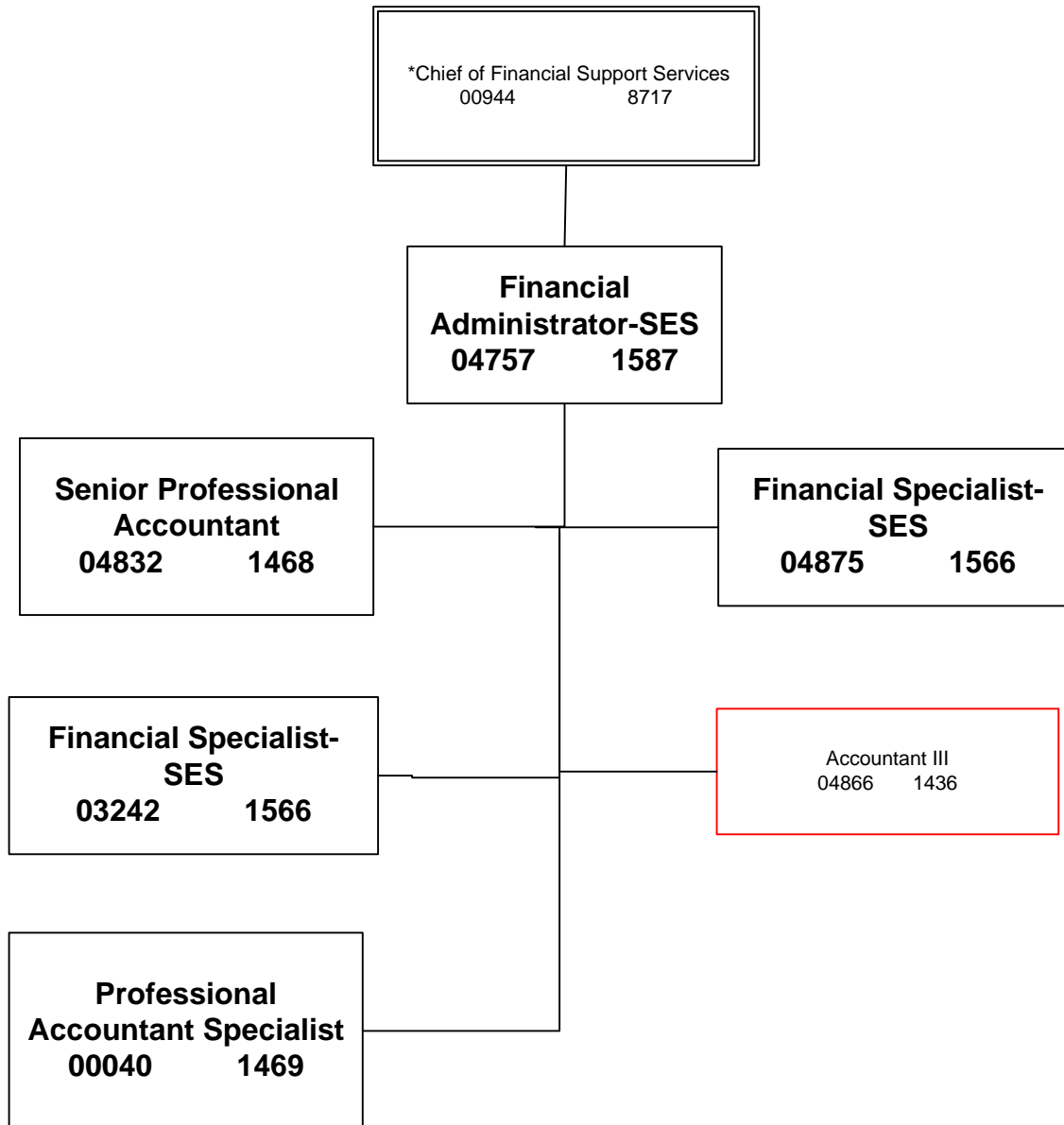
Bureau Total FTE: 11

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

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

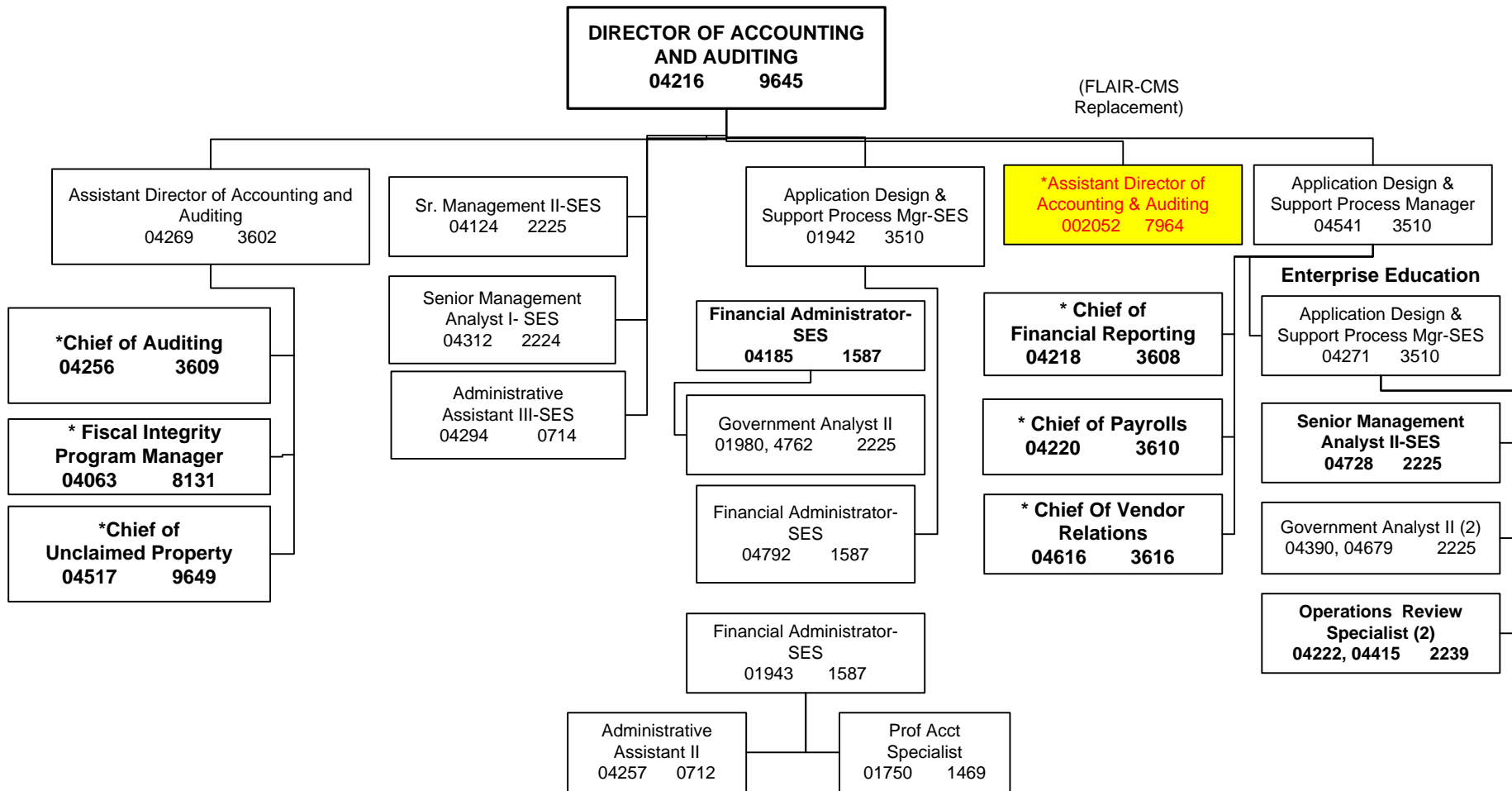


**Department of Financial Services
 Division of Administration
 Bureau of Financial & Support Services
 Reconciliation and Reporting Section**



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

Proposed, pending DMS/
OPB approval (re-org)

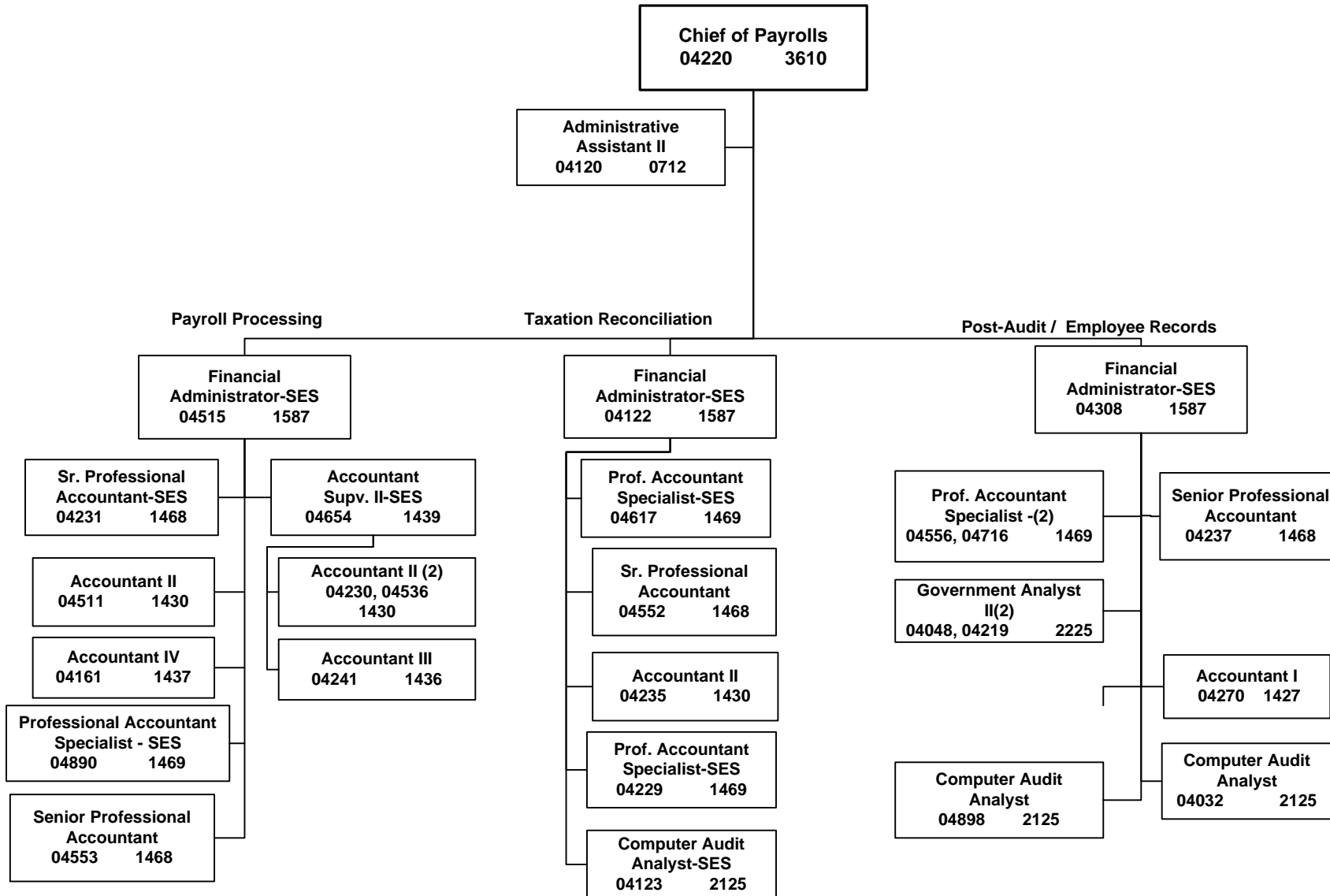


Division Total FTE:
Total FTE: 21

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

Eff:
Rev: 08-14-14

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



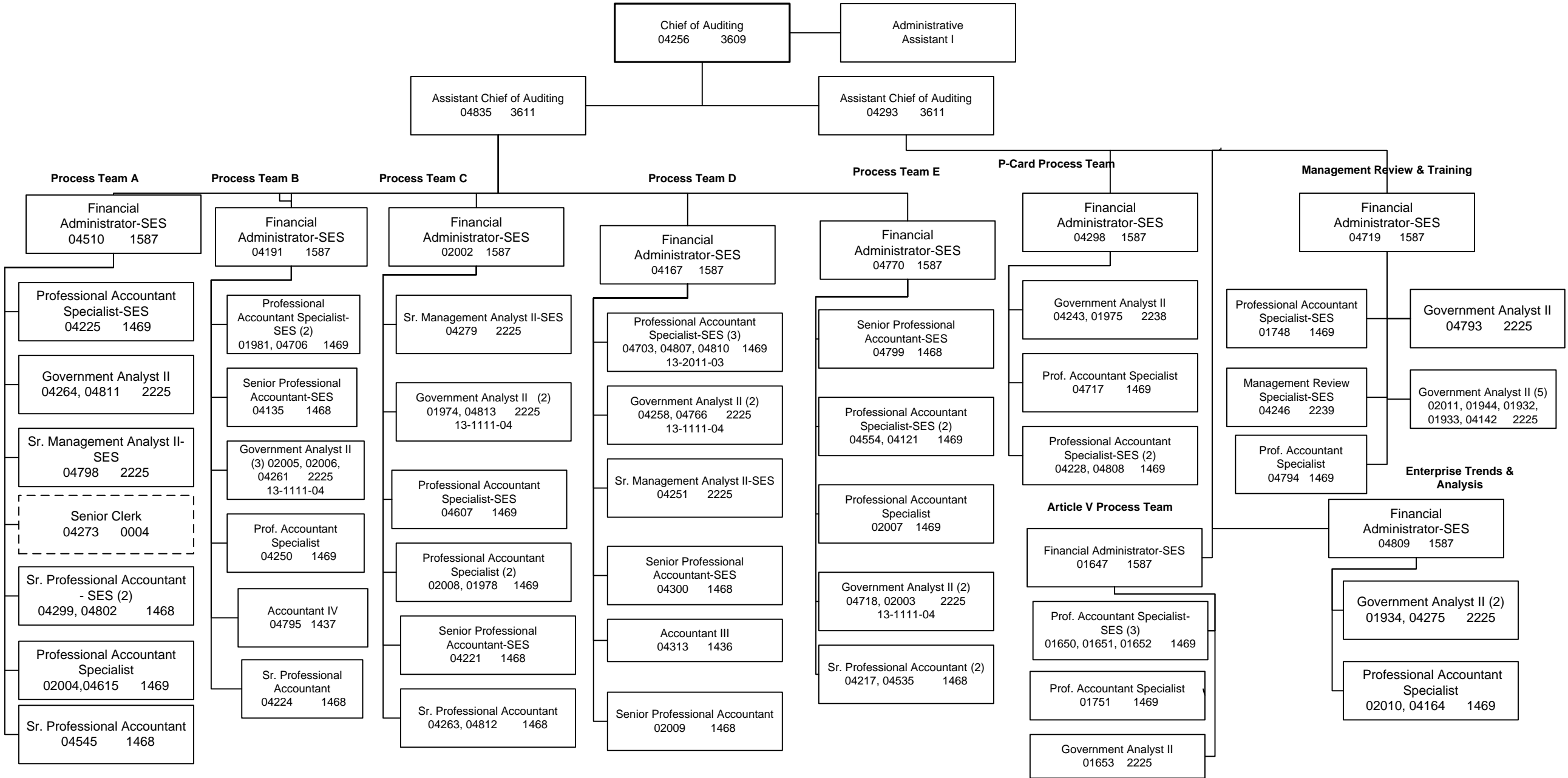
Total FTE: 27

❖ FTE not Included in this Section

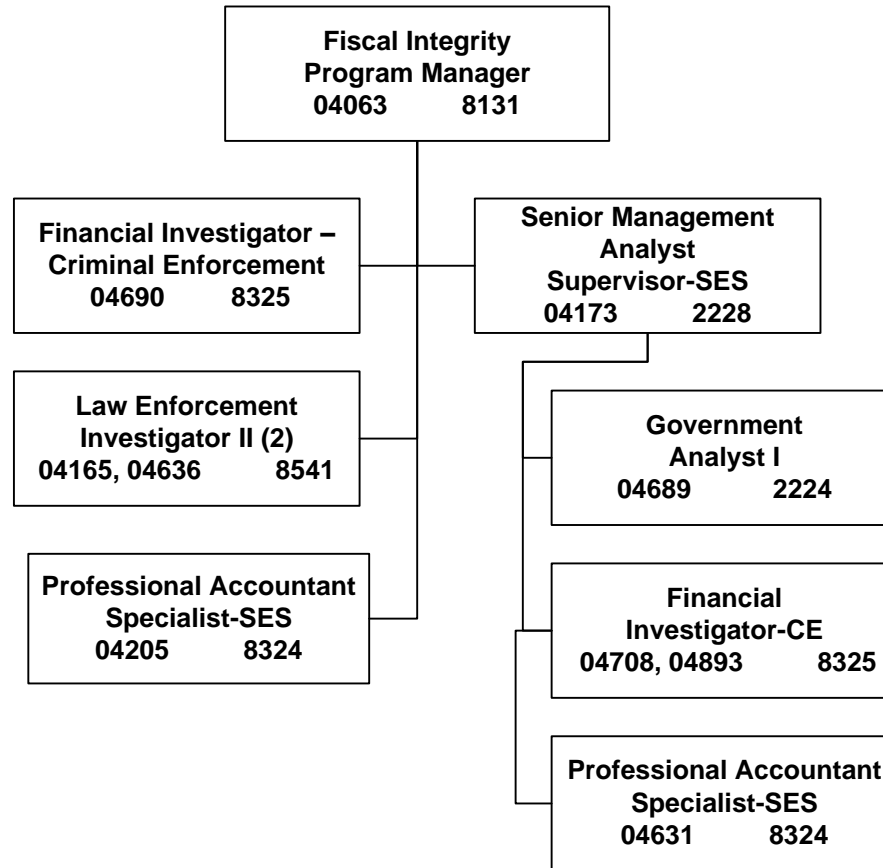
Dotted Line = Administratively Assigned. FTE not counted.

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

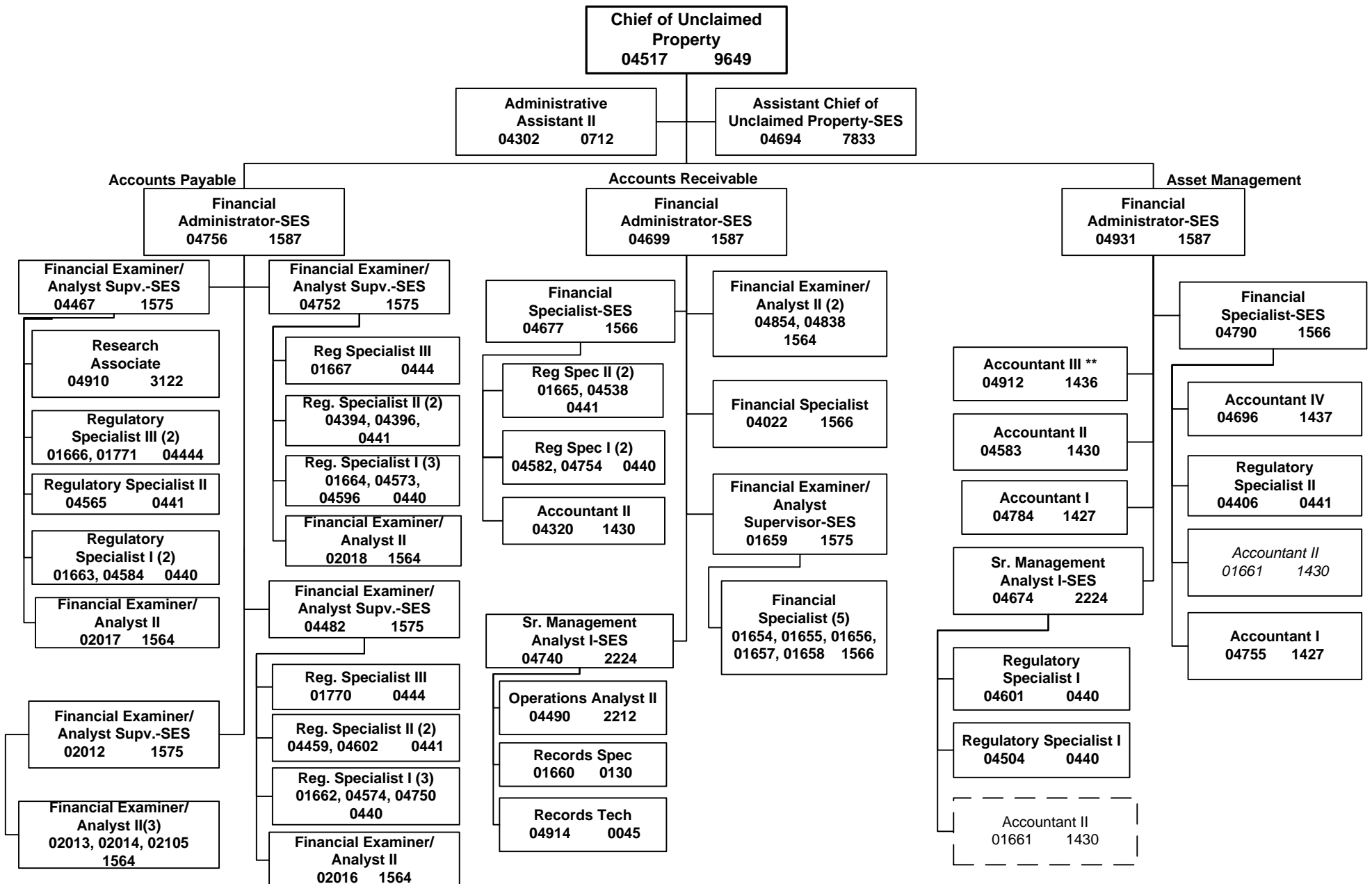
**Department of Financial Services
Division of Accounting and Auditing
Bureau of Auditing**



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



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



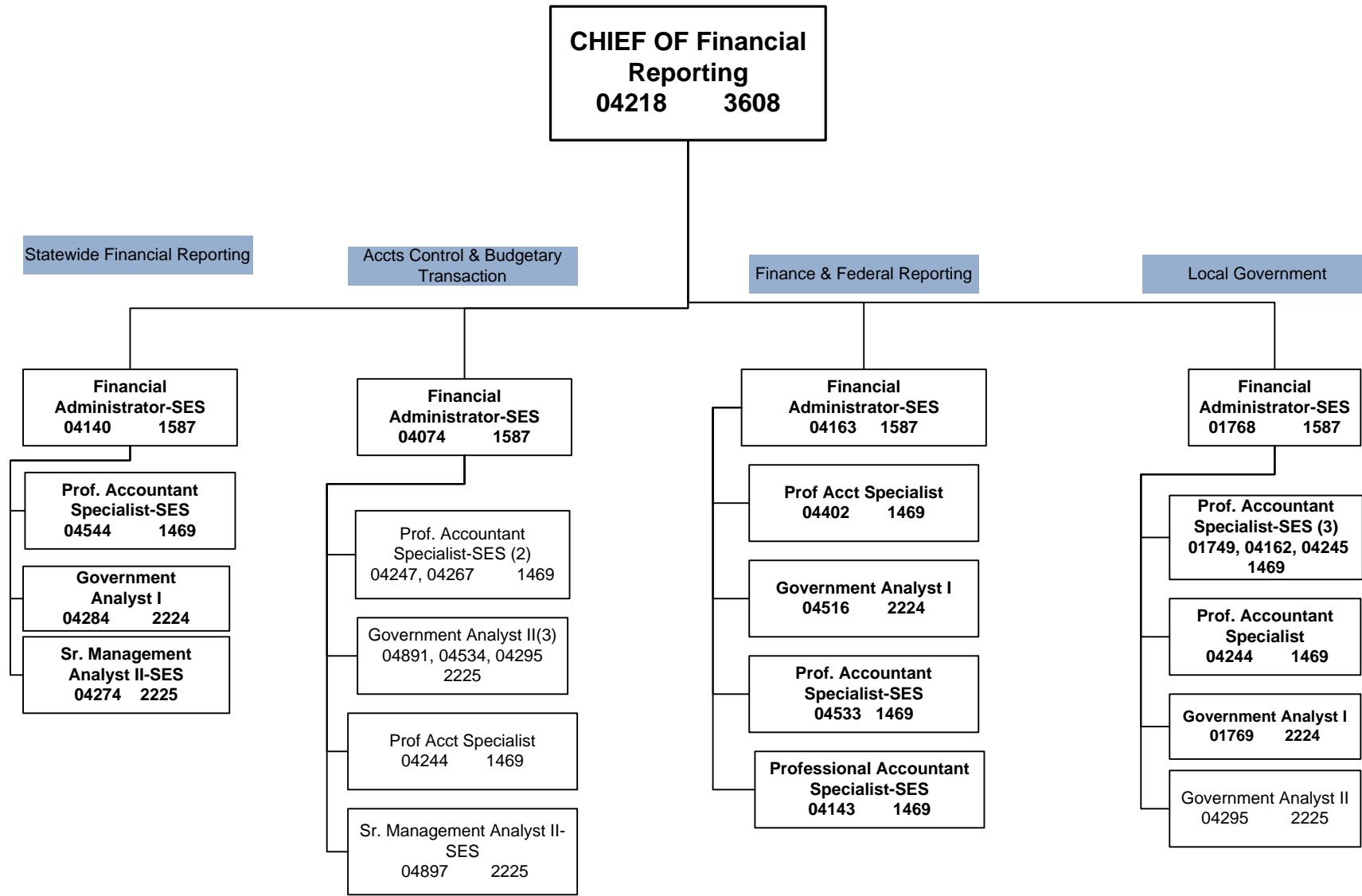
Total FTE: 62

❖ FTE not Included in this Section

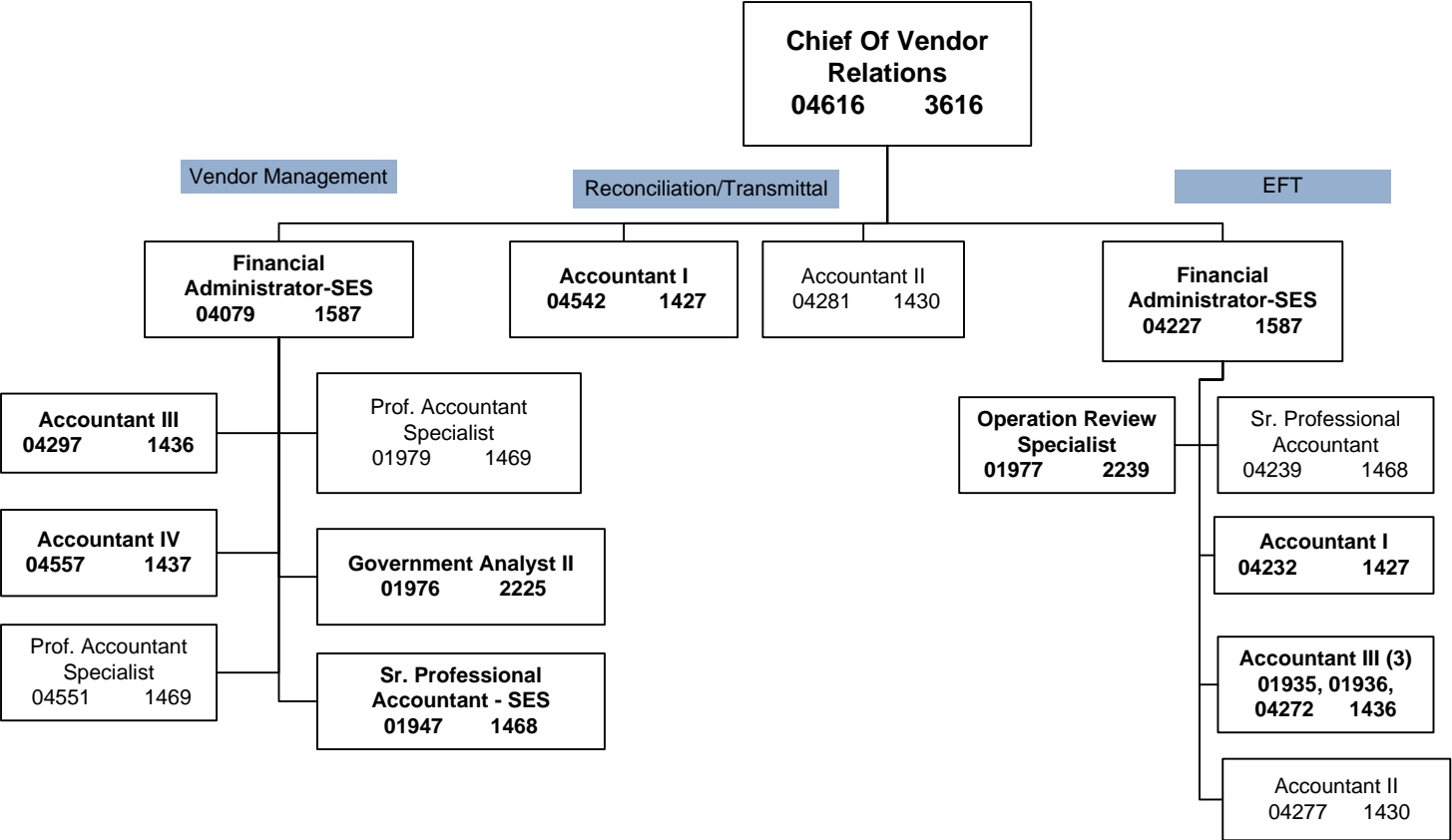
Dotted Line = Administratively Assigned. FTE not counted.

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

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

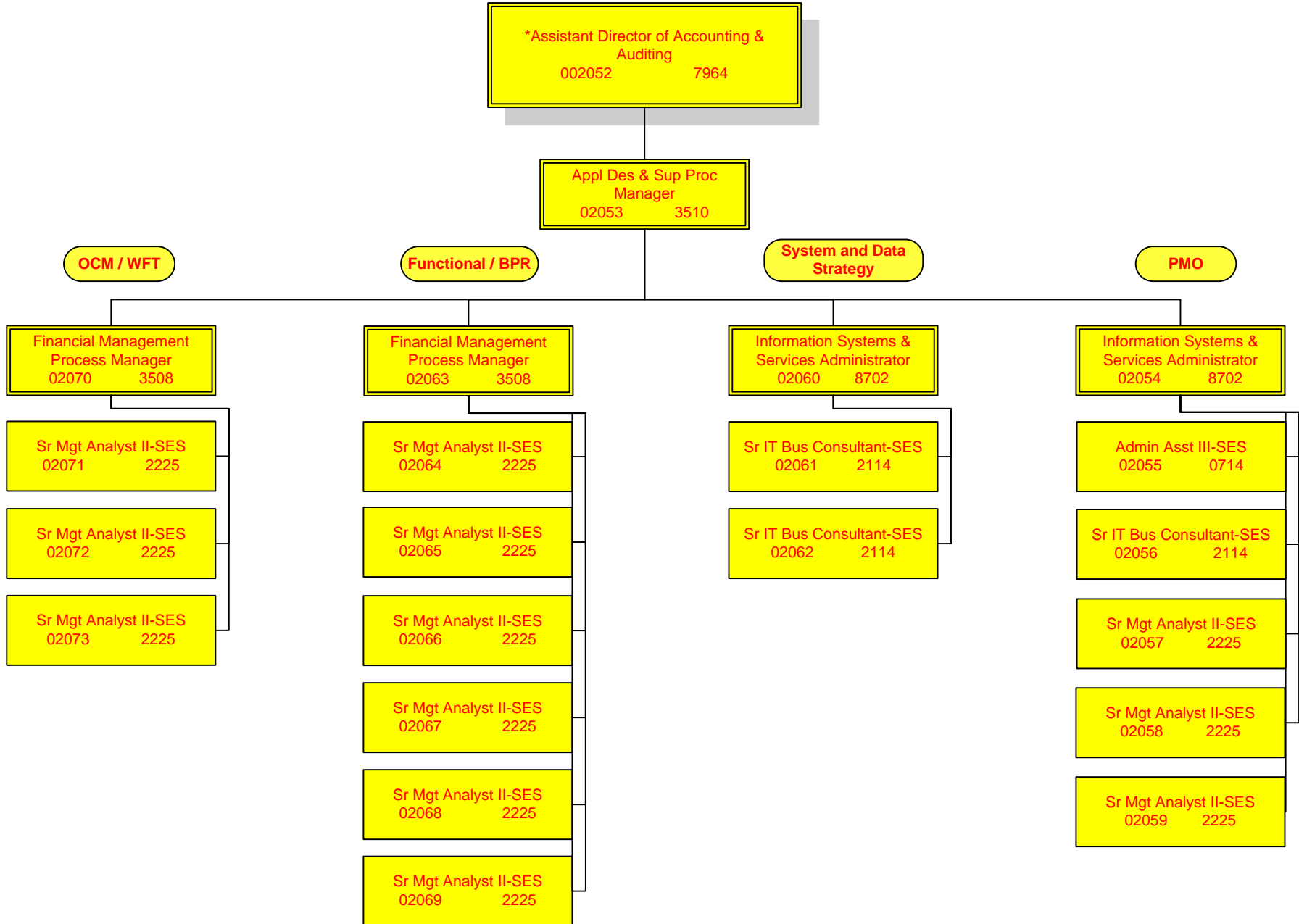


**Department of Financial Services
Division of Accounting and Auditing
Bureau of Vendor Relations**

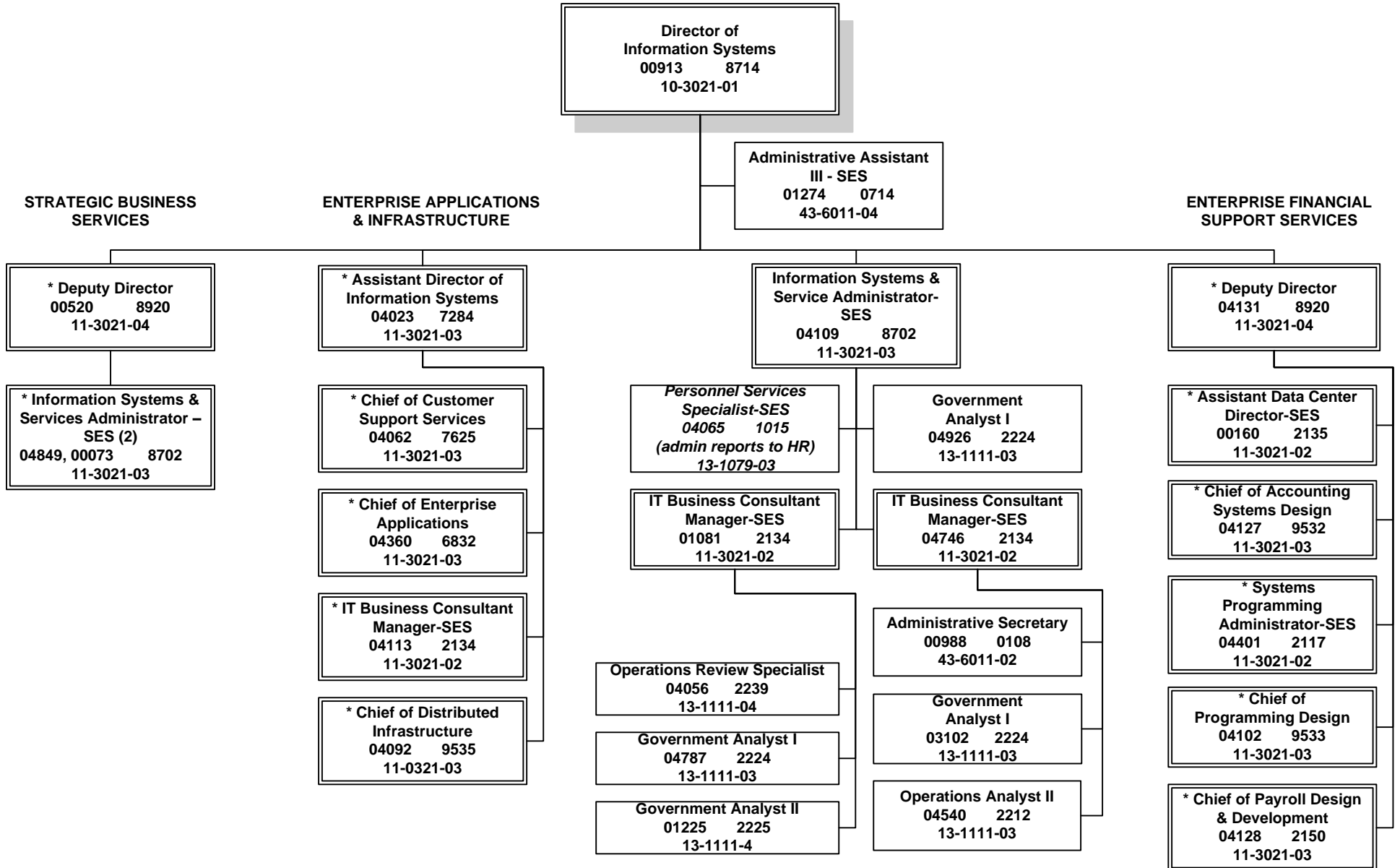


Department of Financial Services Division of Accounting and Auditing FLAIR- CMS Replacement

PROPOSED, pending DMS/OPB approval
(re-org)



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



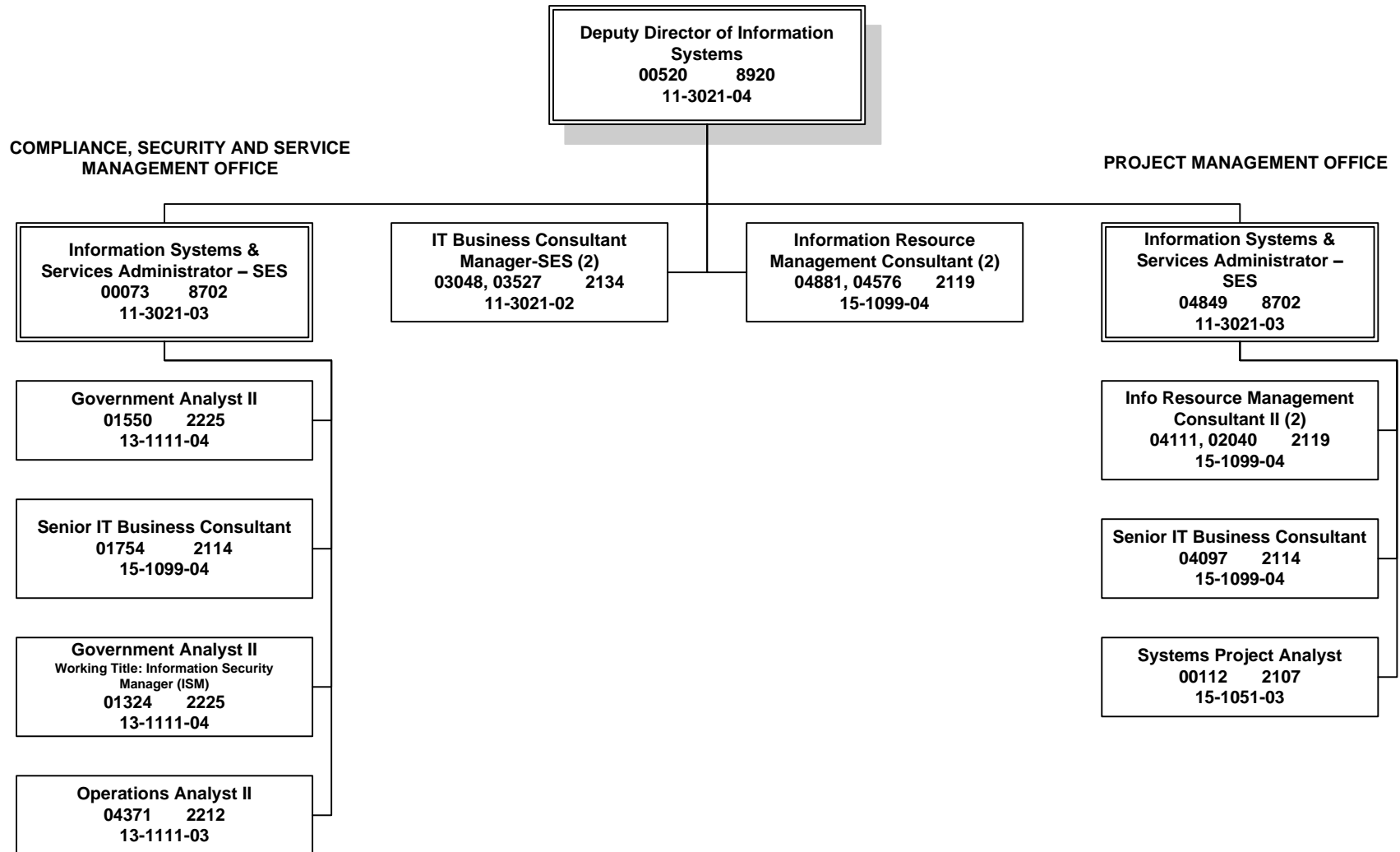
Division Total FTE: 241
Director Office Total FTE: 13

* FTE not Included in this Section
Dotted Line = Administratively Assigned. FTE not counted. 91 of 366
Italic = Organizationally Assigned. Reports elsewhere administratively. FTE counted.

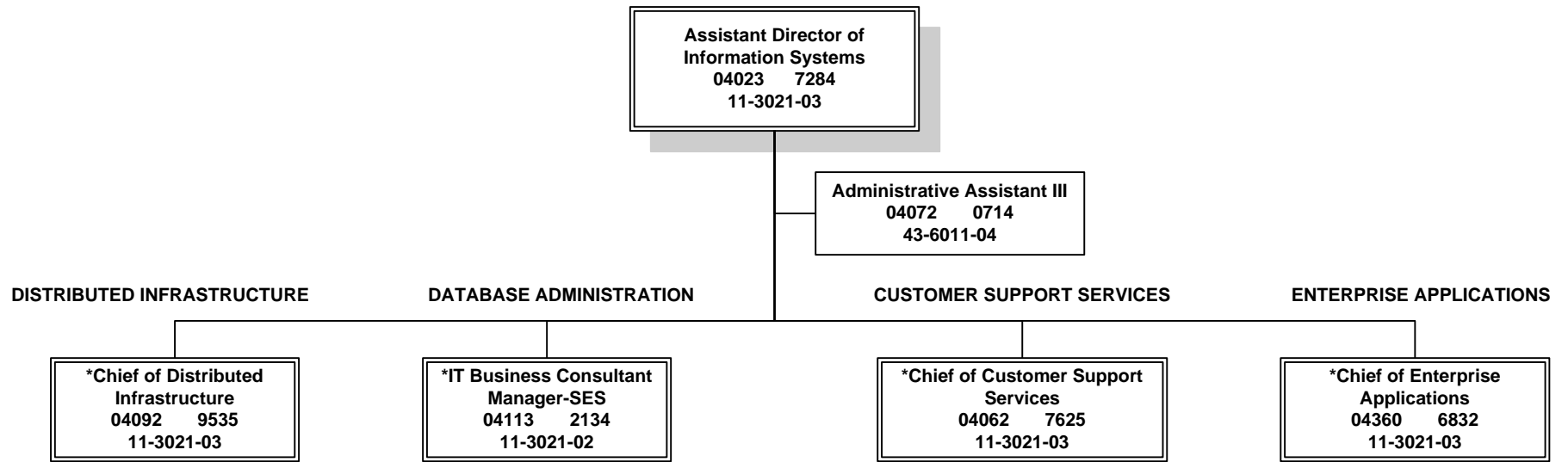
Eff 7-1-14
Rev: 8-24-14

6-4-1

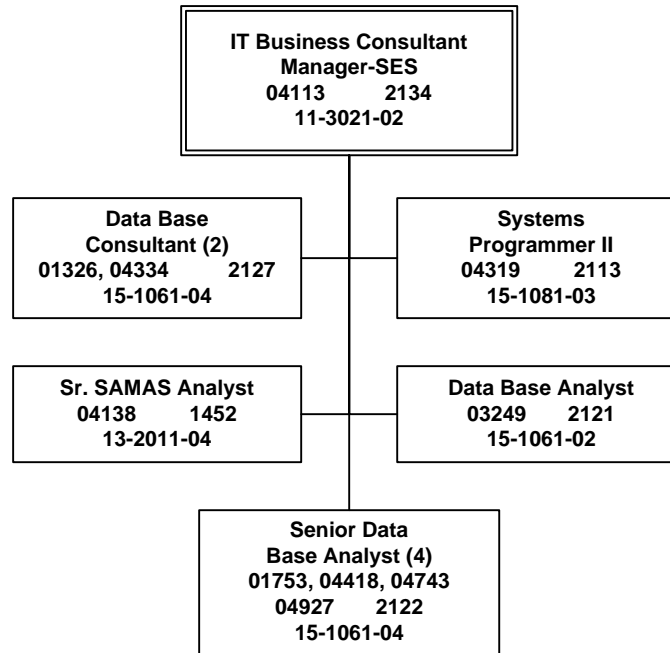
**Department of Financial Services
Division of Information Systems
Office of Strategic Business Services**



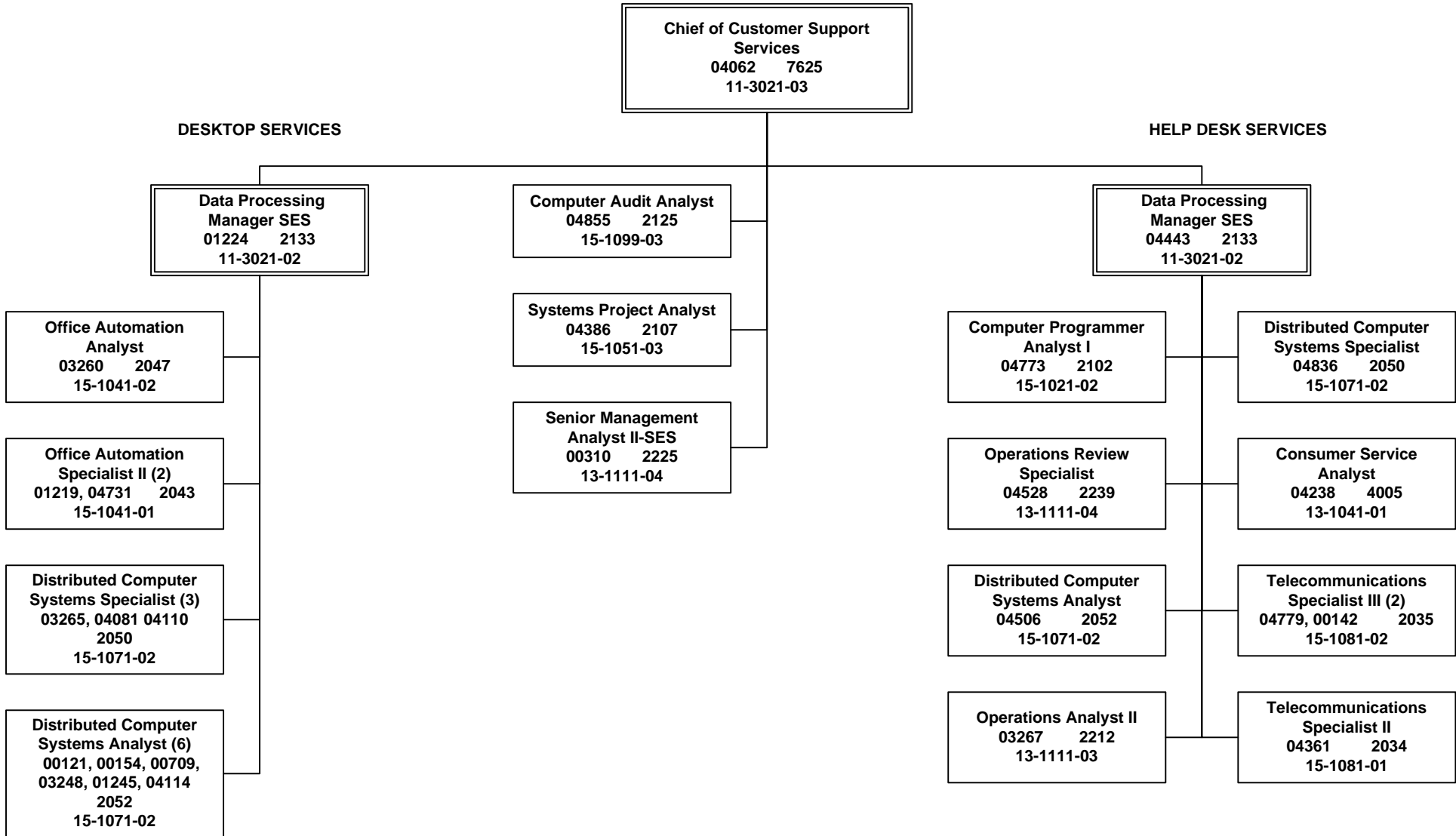
**Department of Financial Services
Division of Information Systems
Office of Enterprise Applications & Infrastructure**



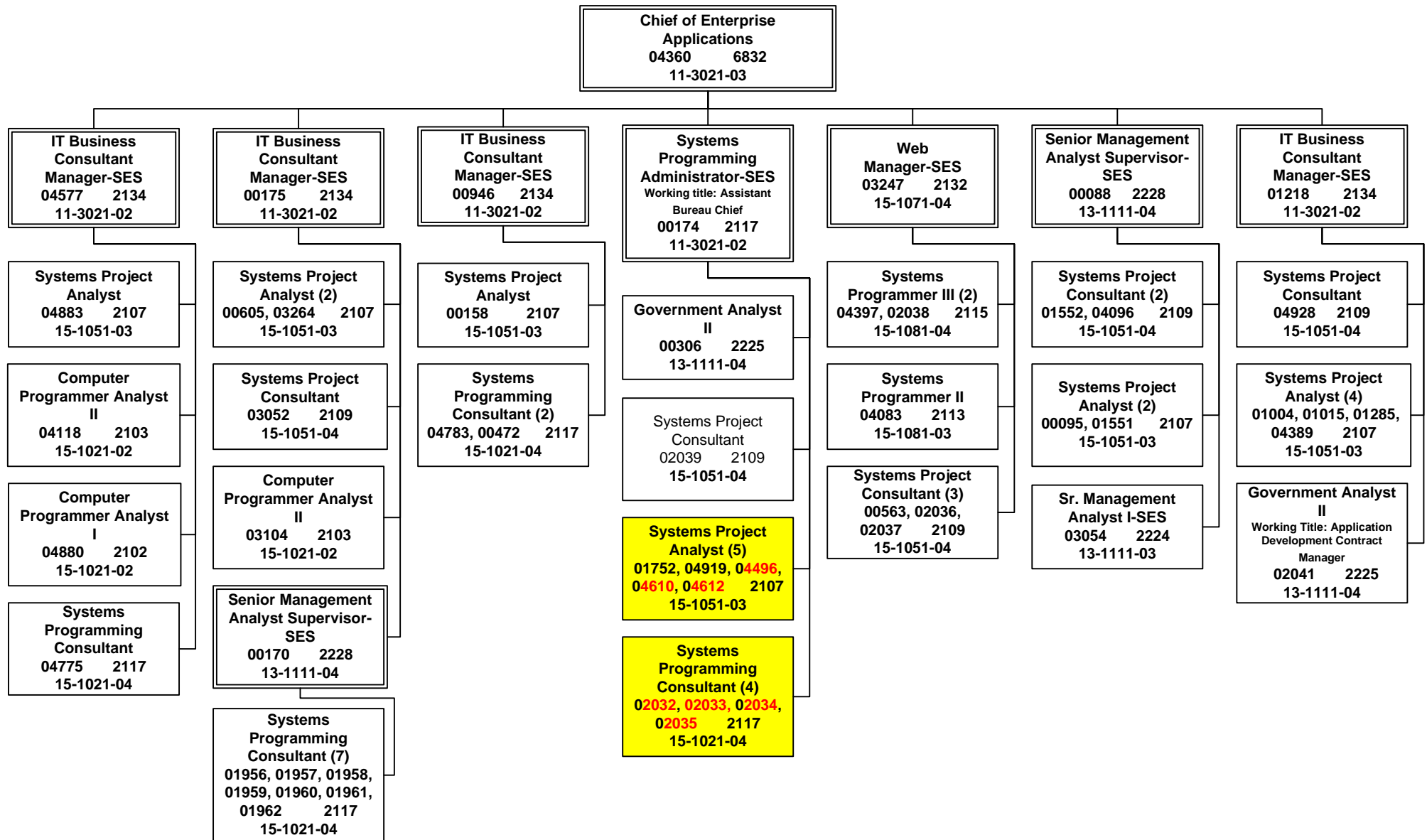
**Department of Financial Services
 Division of Information Systems
 Office of Enterprise Application & Infrastructure
 Database Administration**



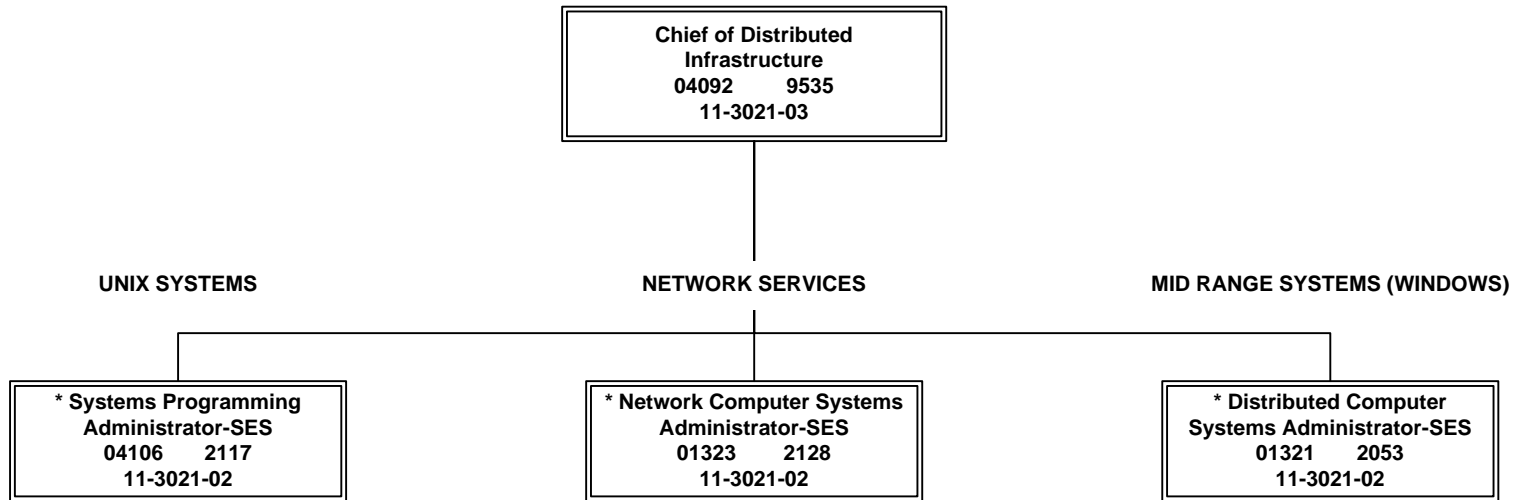
**Department of Financial Services
 Division of Information Systems
 Enterprise Application & Infrastructure
 Bureau of Customer Support Services, Help Desk & Desktop Services**



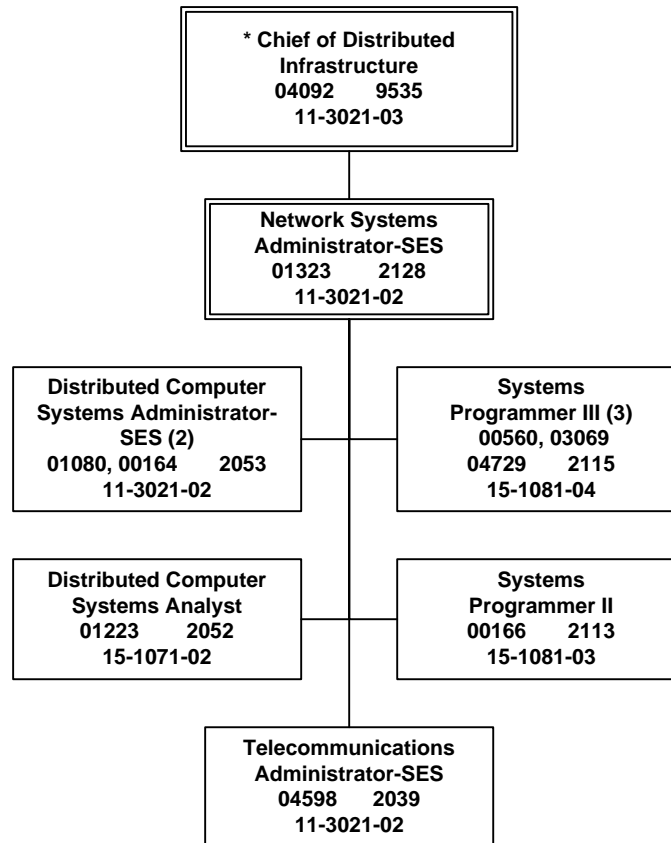
**Department of Financial Services
Division of Information Systems
Office of Enterprise Application & Infrastructure
Bureau of Enterprise Applications**



**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, Network Services**



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.

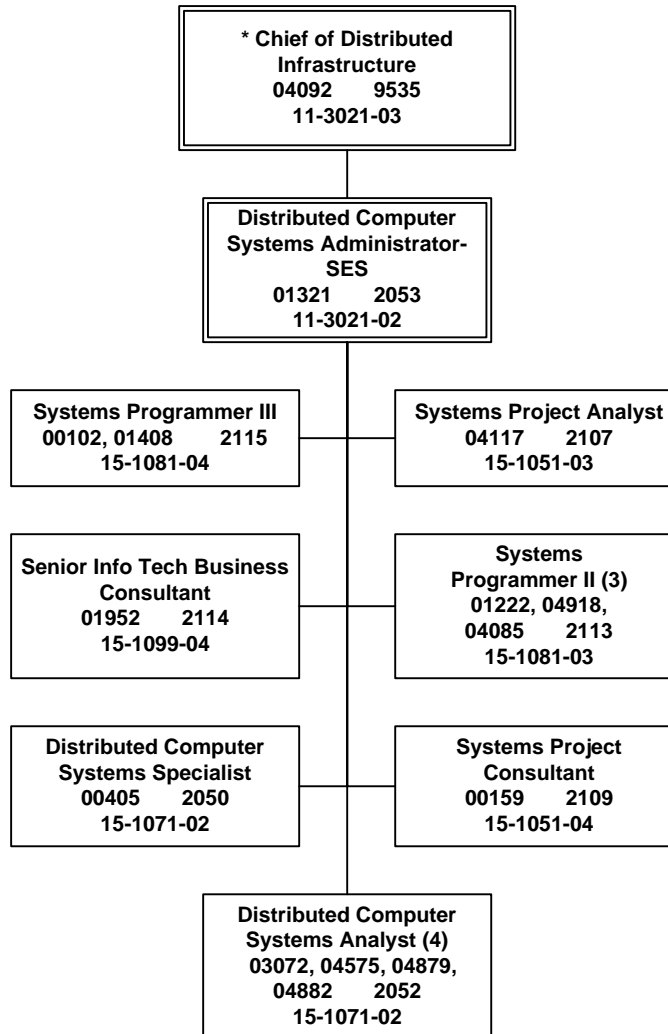
99 of 366

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

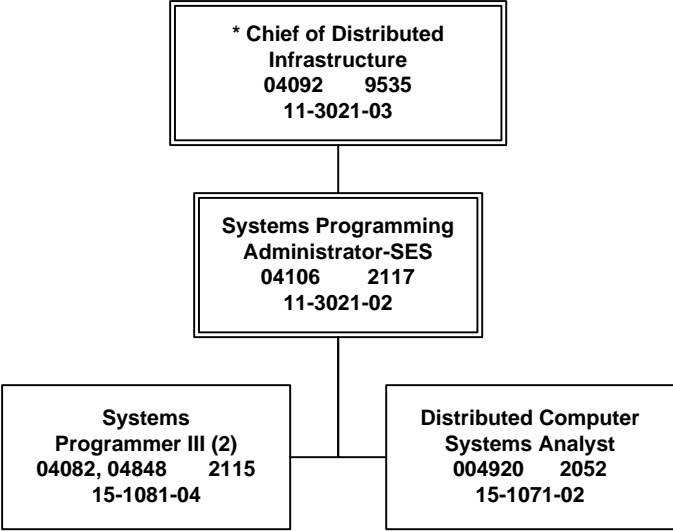
Eff 1-8-13
Rev 1-22-13

6-4-9

**Department of Financial Services
 Division of Information Systems
 Office of Enterprise Applications & Infrastructure
 Bureau of Distributed Infrastructure, Mid Range Systems (Windows)**



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



**Department of Financial Services
 Division of Information Systems
 Office of Enterprise Financial Support Services (FLAIR)**

Deputy Director of
 Information Systems
 04131 8920
 11-3021-04

ACCOUNTING SYSTEMS DESIGN

PROGRAMMING DESIGN

PAYROLL DESIGN & DEVELOPMENT

MAINFRAME OPERATIONS

MAINFRAME SYSTEMS

* Chief of Accounting
 Systems Design
 04172 9532
 11-3021-03

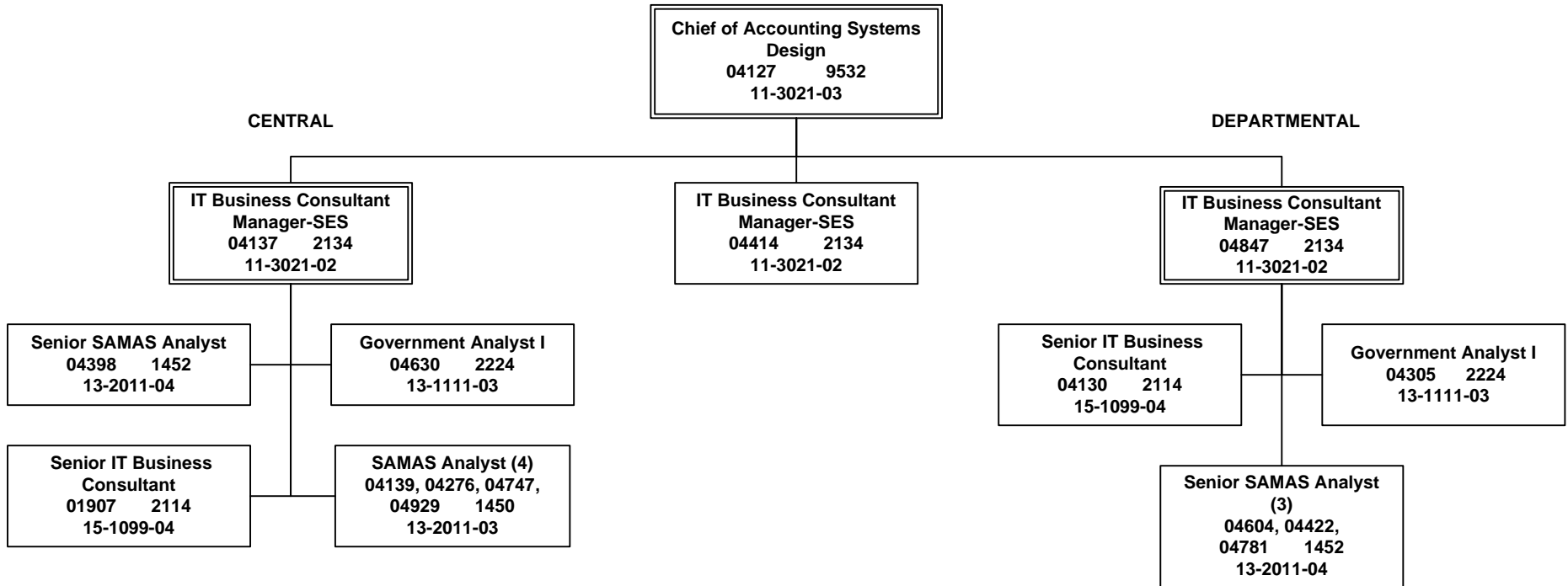
* Chief of Programming
 Design
 04102 9533
 11-3021-03

* Chief of Payroll Design &
 Development
 04128 2150
 11-3021-03

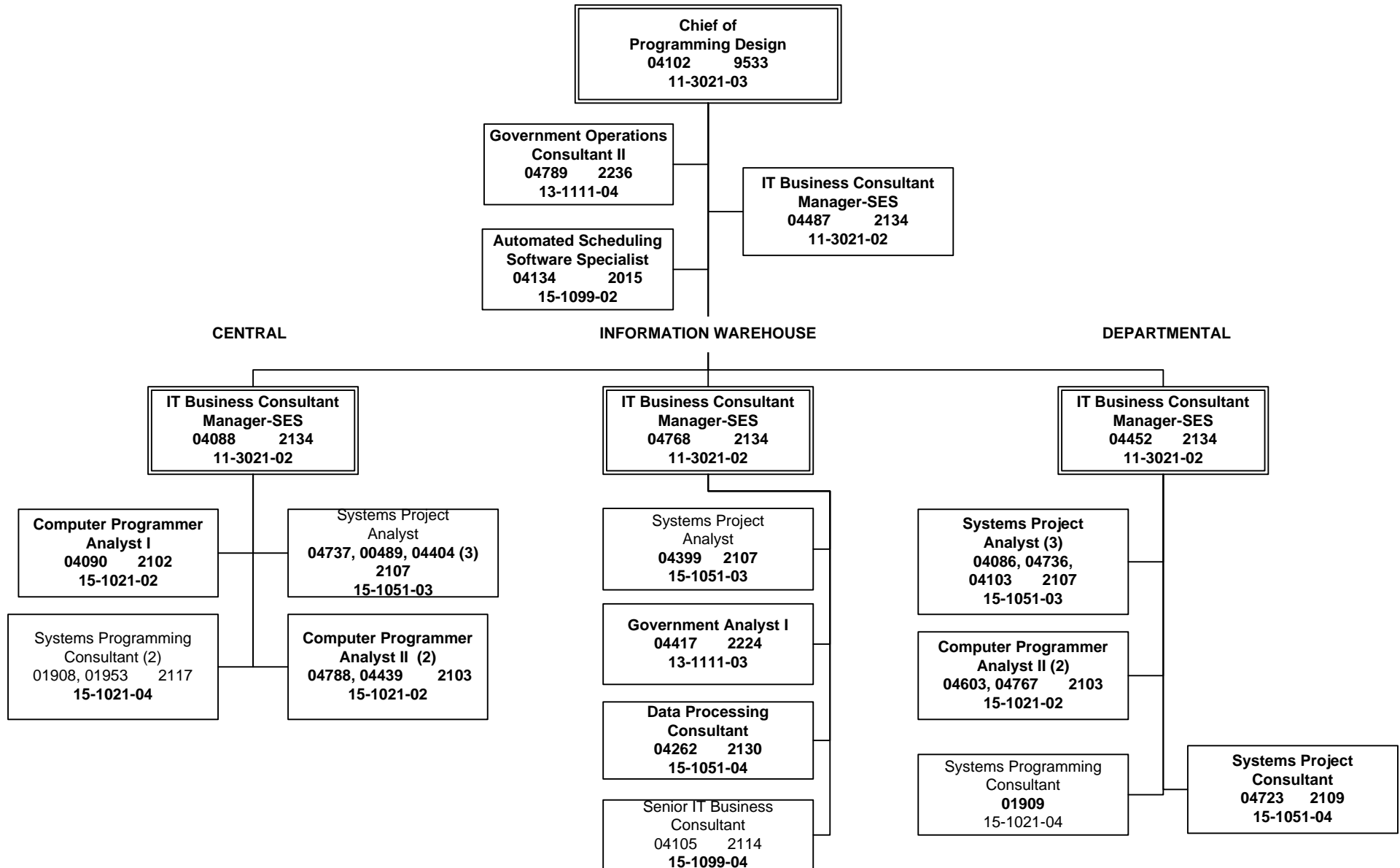
* Assistant Data Center
 Director-SES
 00160 2135
 11-3021-02

* Systems Programming
 Administrator-SES
 04401 2117
 11-3021-02

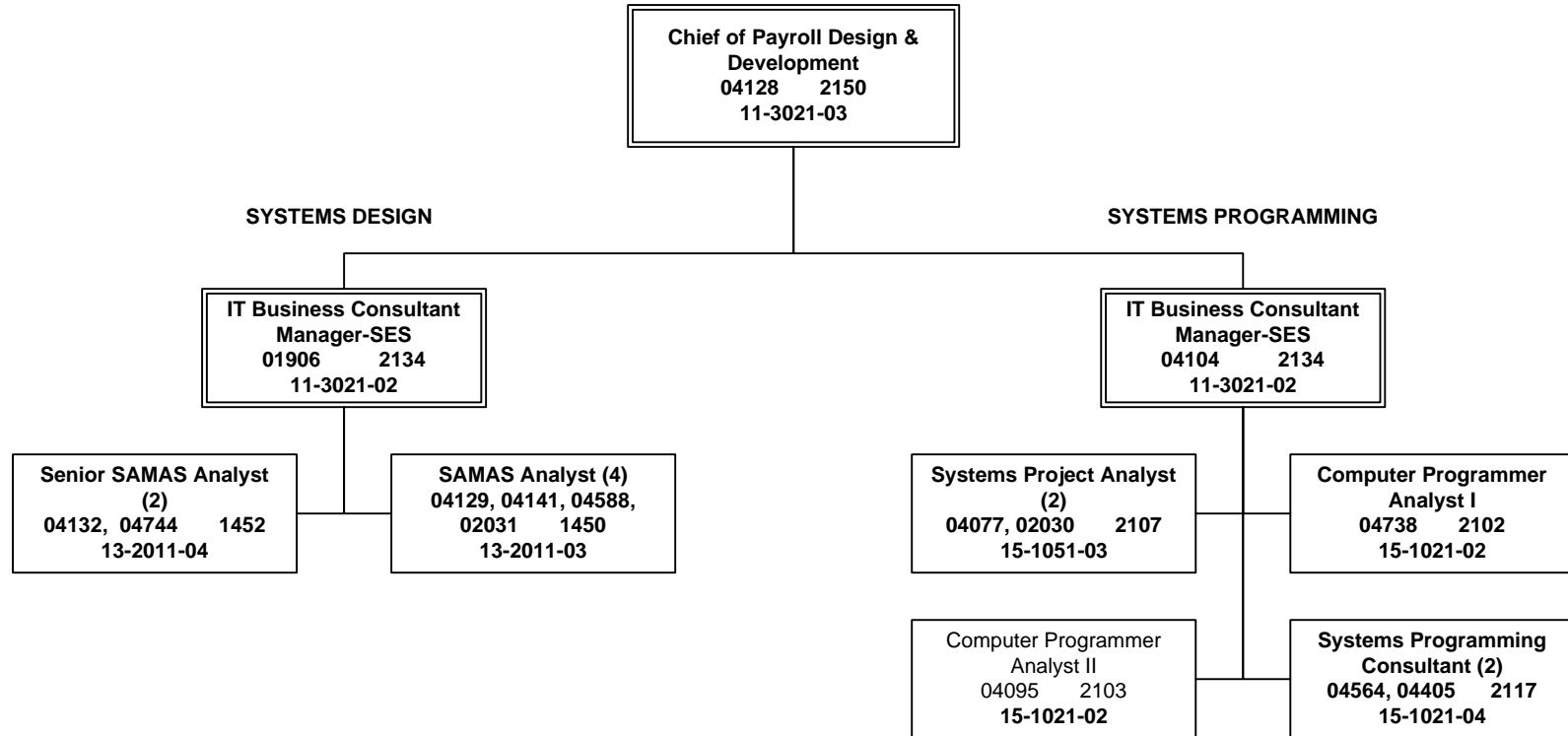
**Department of Financial Services
 Division of Information Systems
 Office of Enterprise Financial Support Services (FLAIR)
 Bureau of Accounting Systems Design**



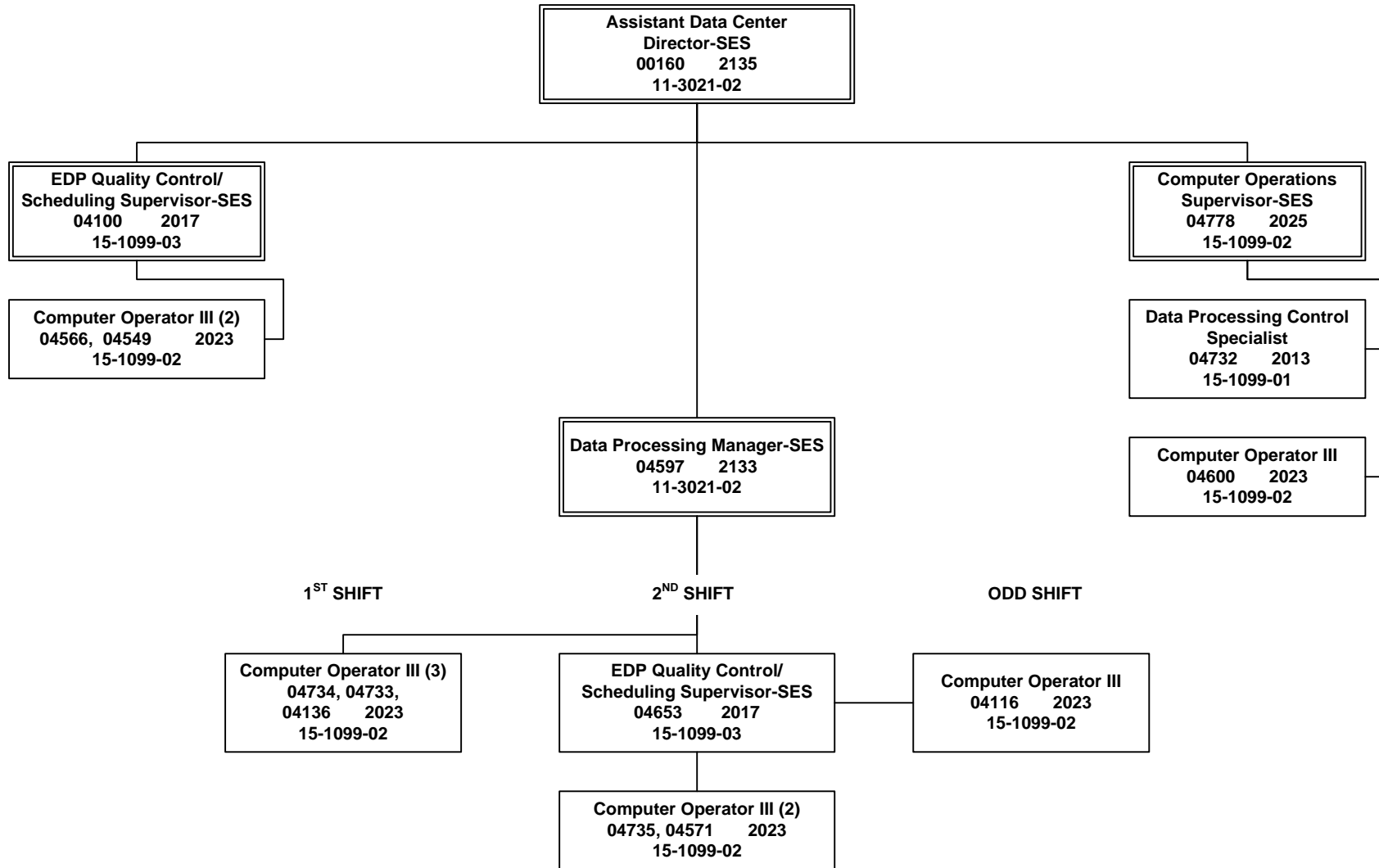
**Department of Financial Services
Division of Information Systems
Office of Enterprise Financial Support Services (FLAIR)
Bureau of Programming Design**



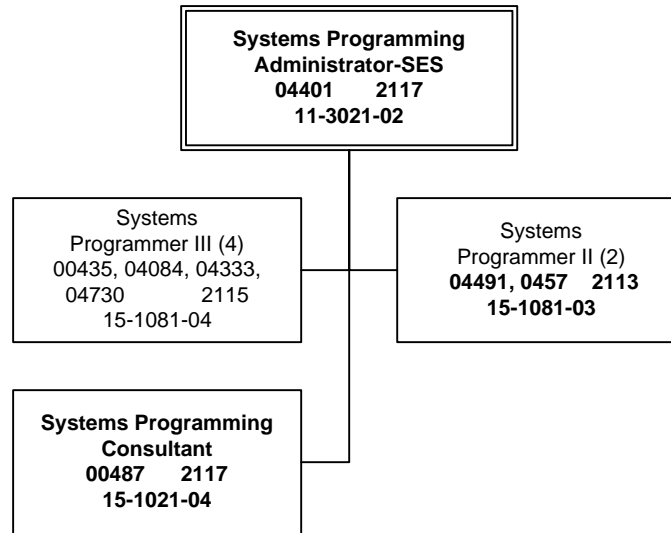
**Department of Financial Services
 Division of Information Systems
 Office of Enterprise Financial Support Services (FLAIR)
 Bureau of Payroll Design & Development**



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

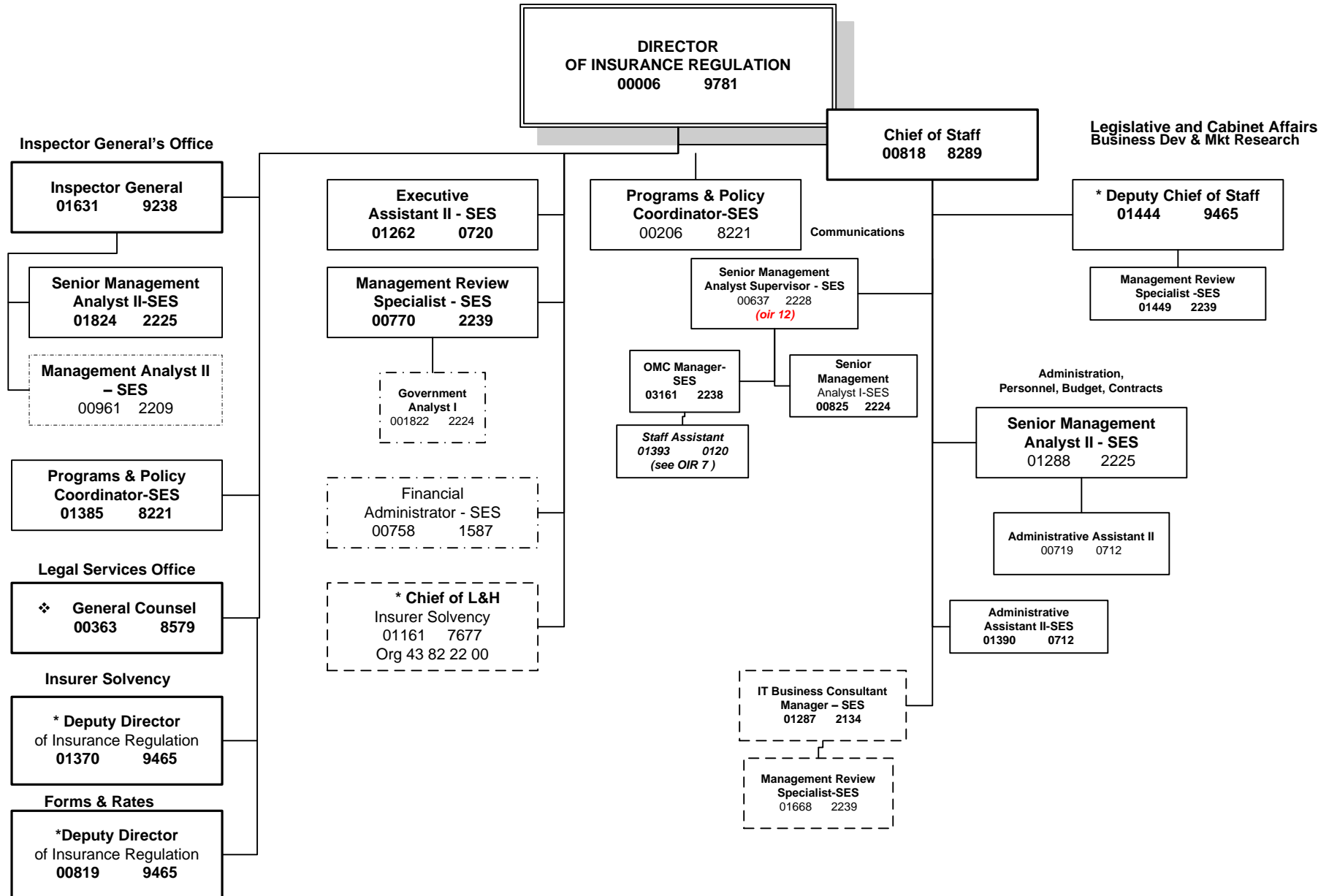


**Department of Financial Services
Division of Information Systems
Office of Enterprise Financial Support Services (FLAIR), Mainframe Systems**



Financial Services Commission
Office of Insurance Regulation
Director of Insurance Regulation

HISTORICAL:
POS 0771 REPORTING TO
0581 EFF 4/10/14 (CHART oir
11)



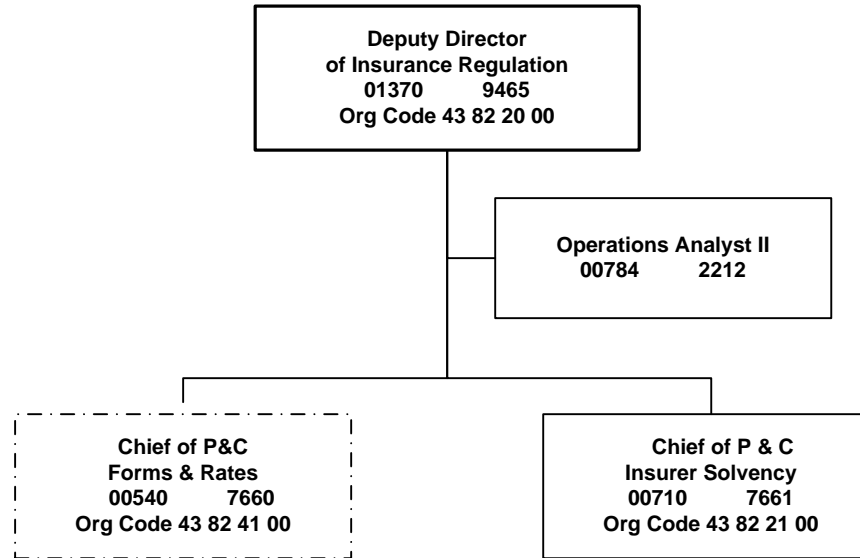
Division Total FTE: 296
Office of the Director FTE: 17

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

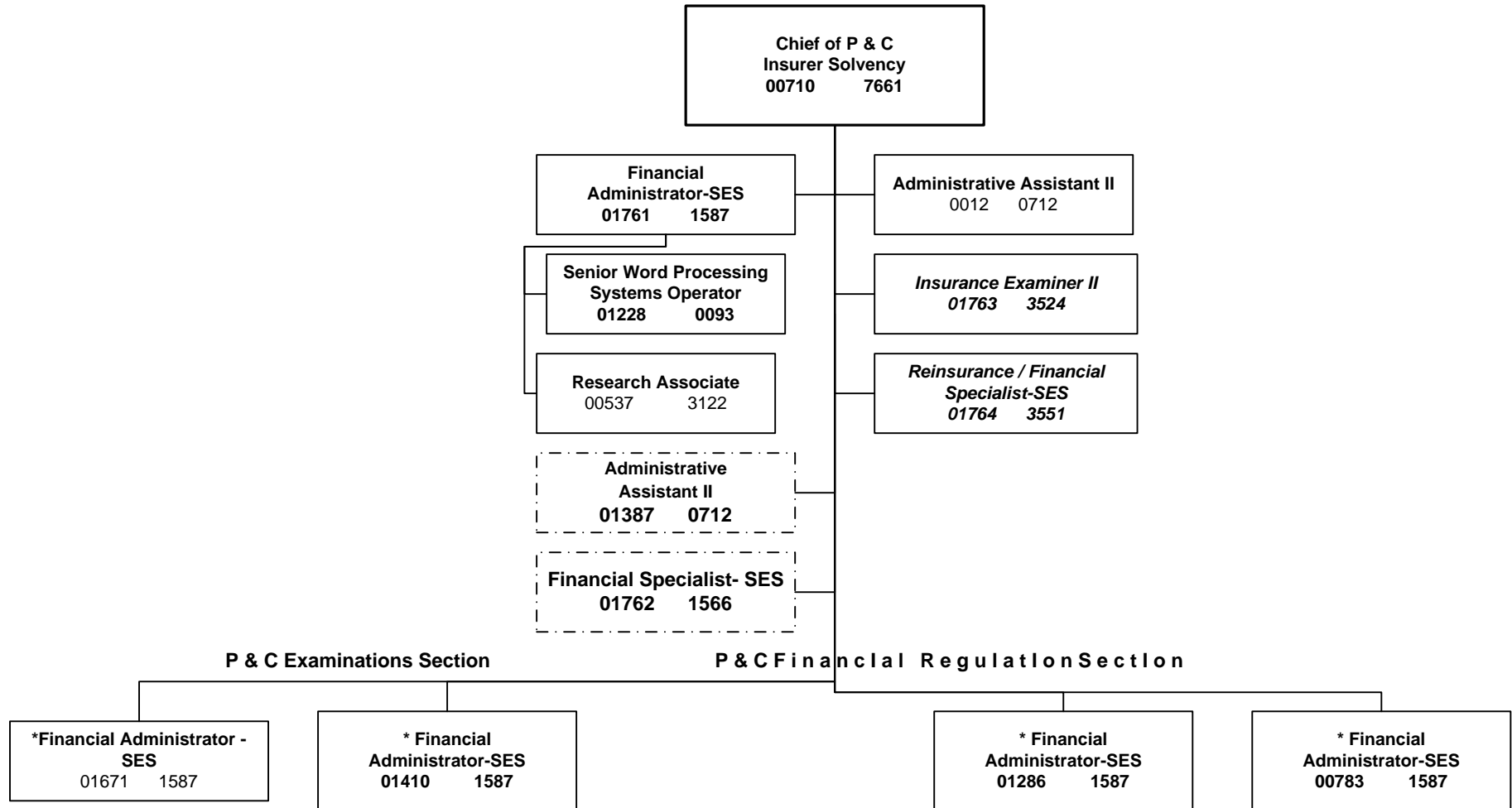
Eff: 6-1-2014
Rev: 6-11-14

OIR 1

**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**

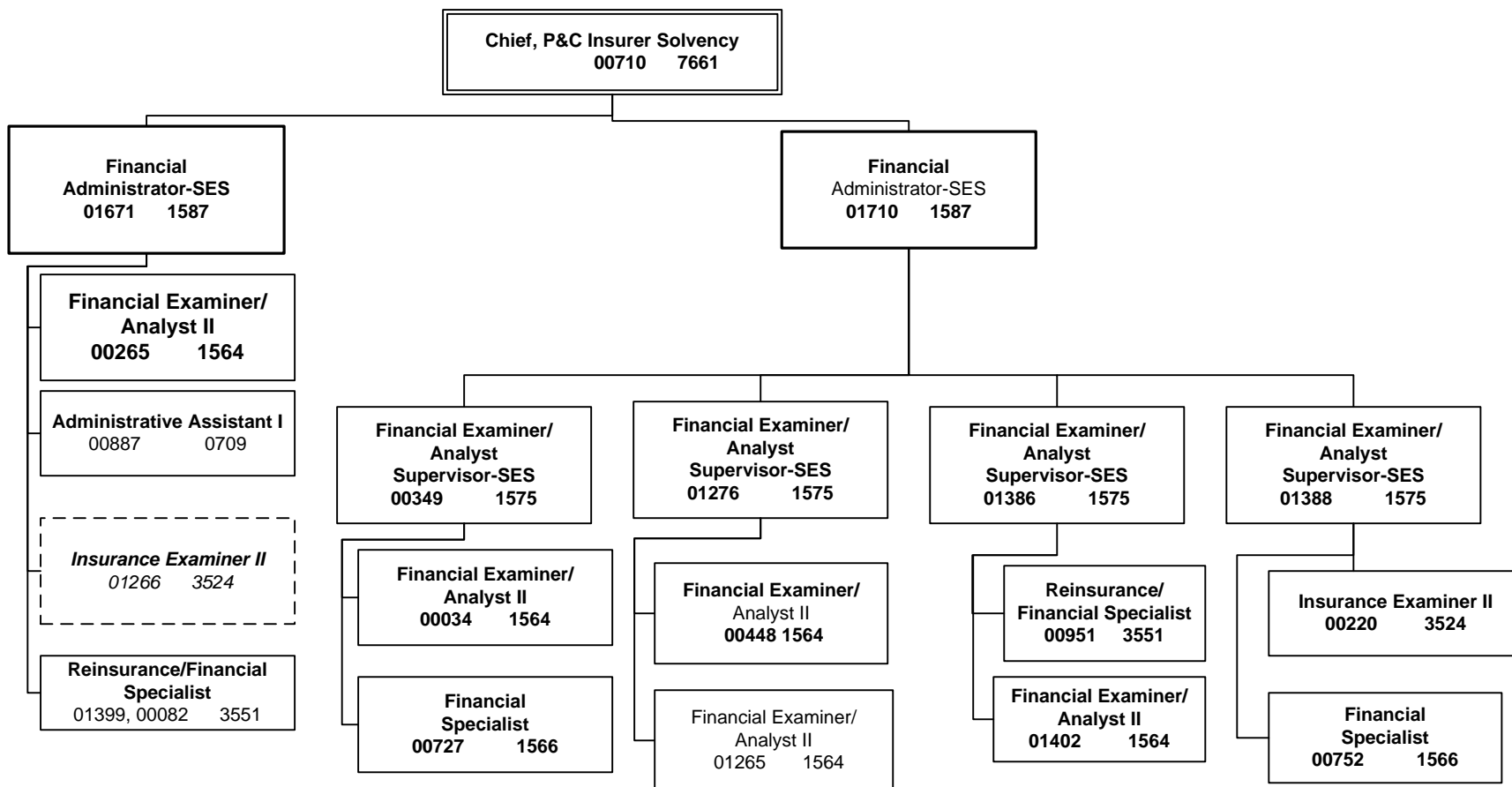


Bureau Total FTE: 58
Office of the Chief FTE: 7

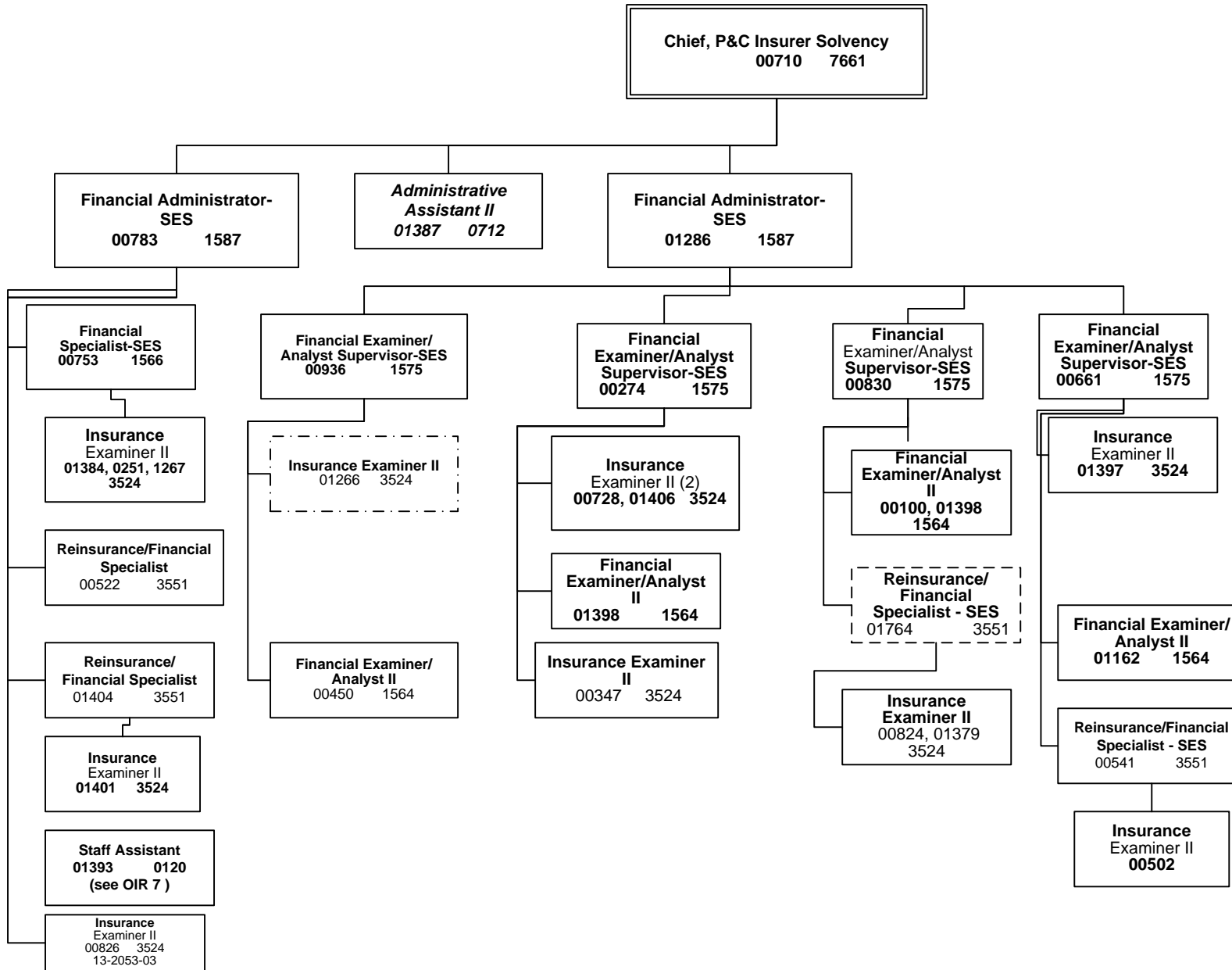
❖ * FTE not Included in this Section
Dotted Line = Administratively Assigned. FTE not counted.
Italic = Organizationally Assigned. Reports elsewhere administratively. FTE counted.

Eff: 1-27-14
Rev: 2-5-14

**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: 31

❖ FTE not Included in this Section

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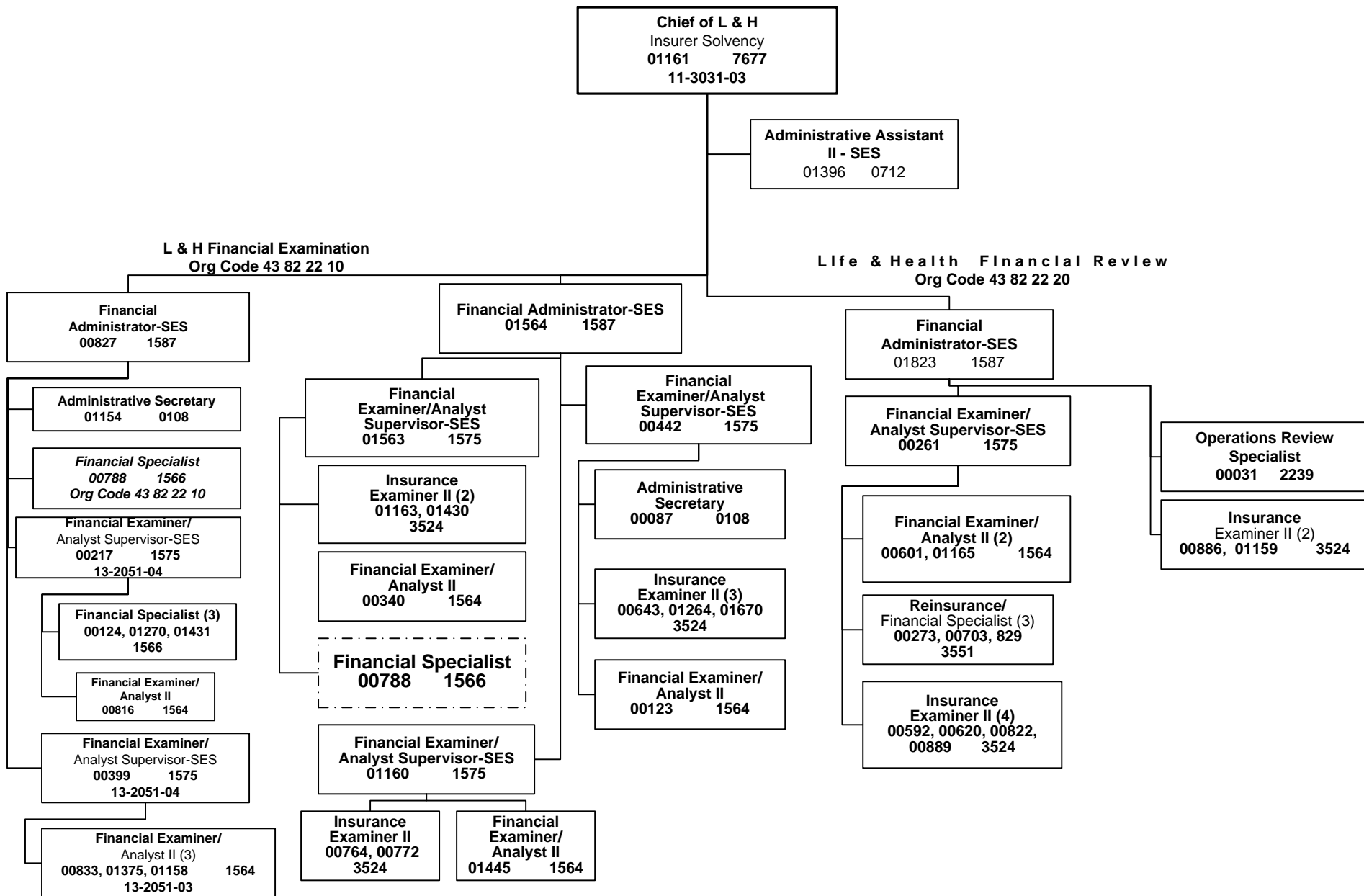
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Eff 11-11-2013

Rev 3-19-14

OIR 5

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



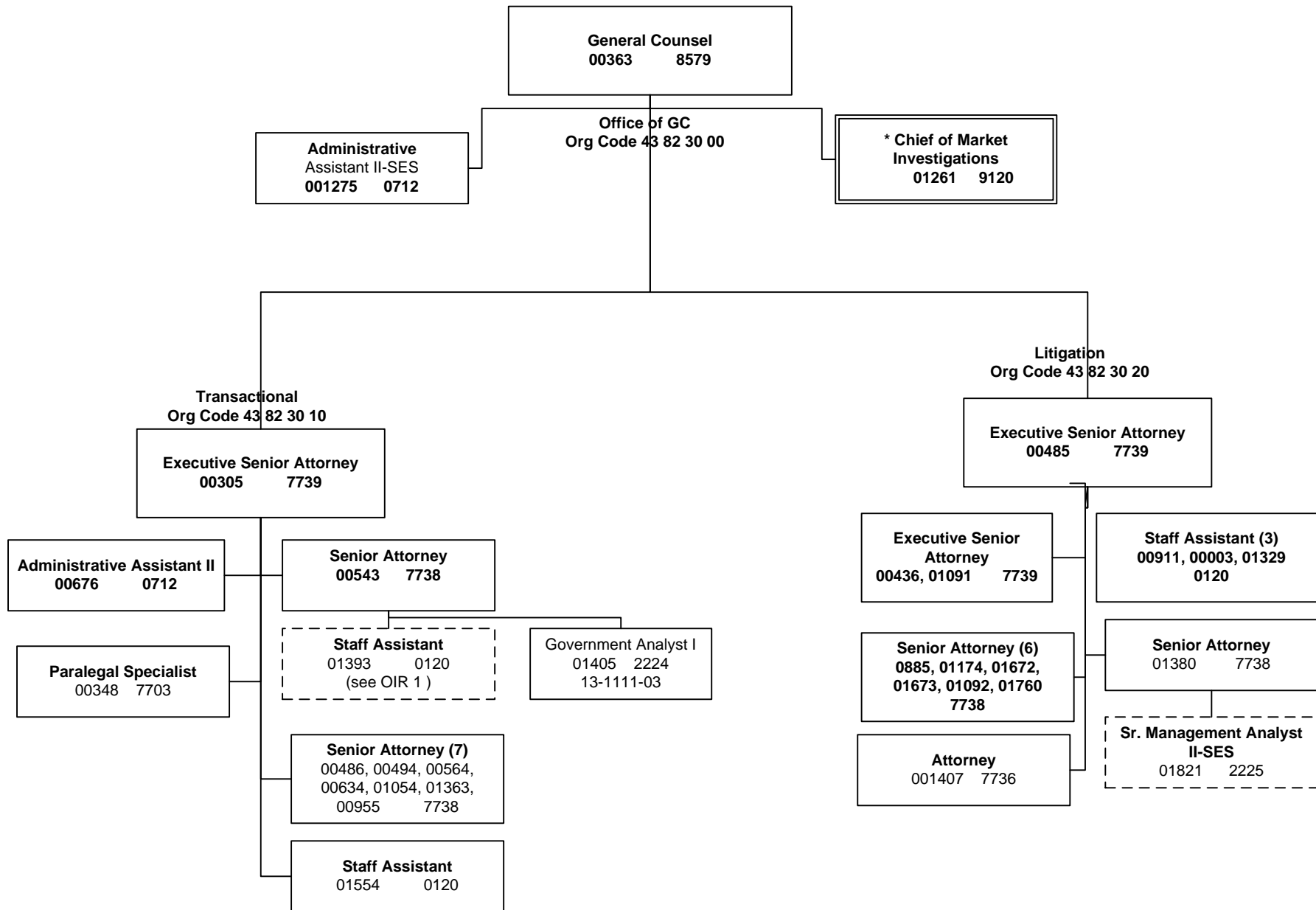
Bureau Total FTE: 45

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

Eff 1-27-14
Rev 2-5-14

OIR 6

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



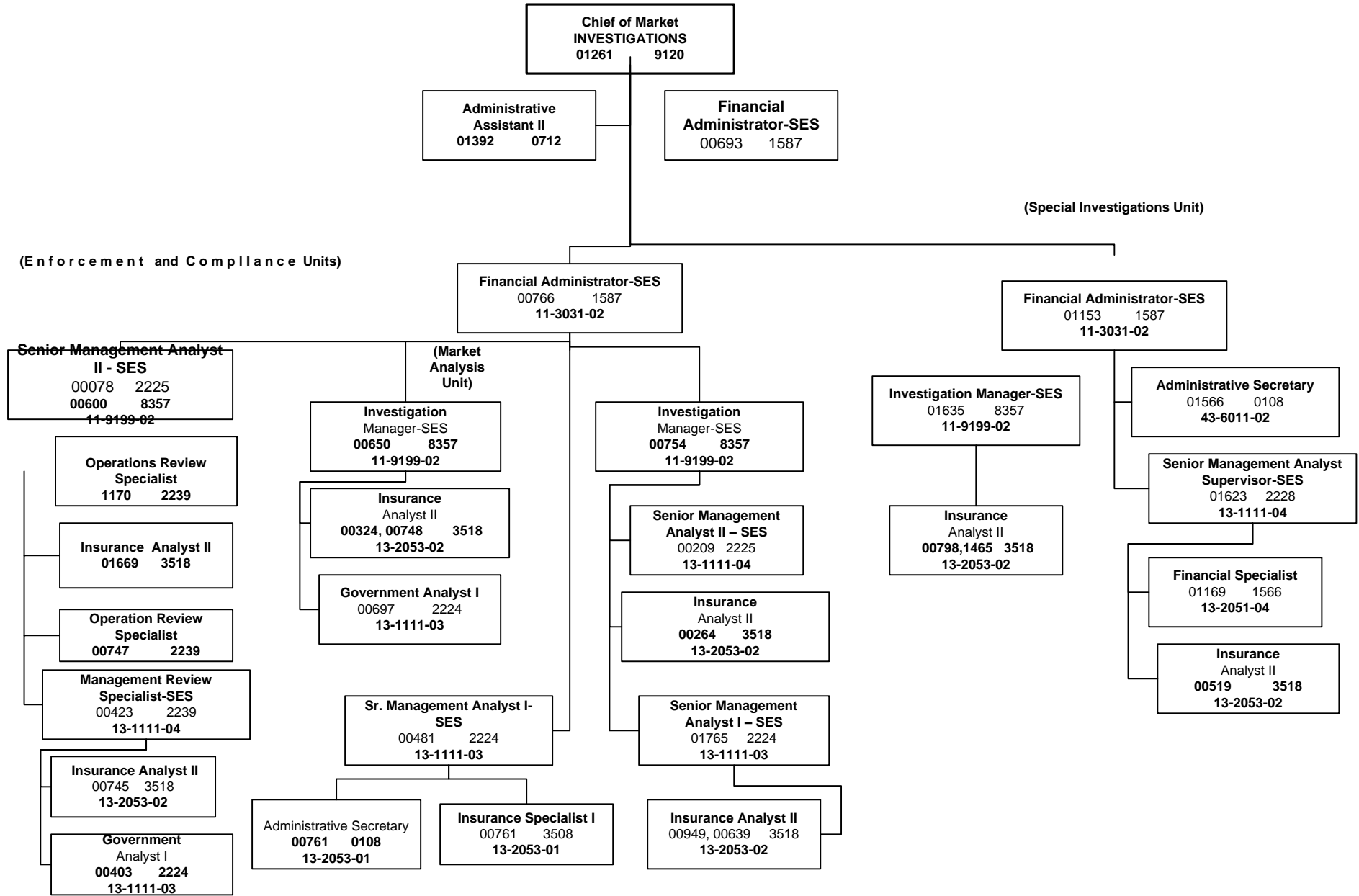
Legal Services Total FTE = 30

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

Eff 3-24-2014
 Rev: 3-27-2014

OIR 7

Financial Services Commission Office of Insurance Regulation Bureau of Market Investigations

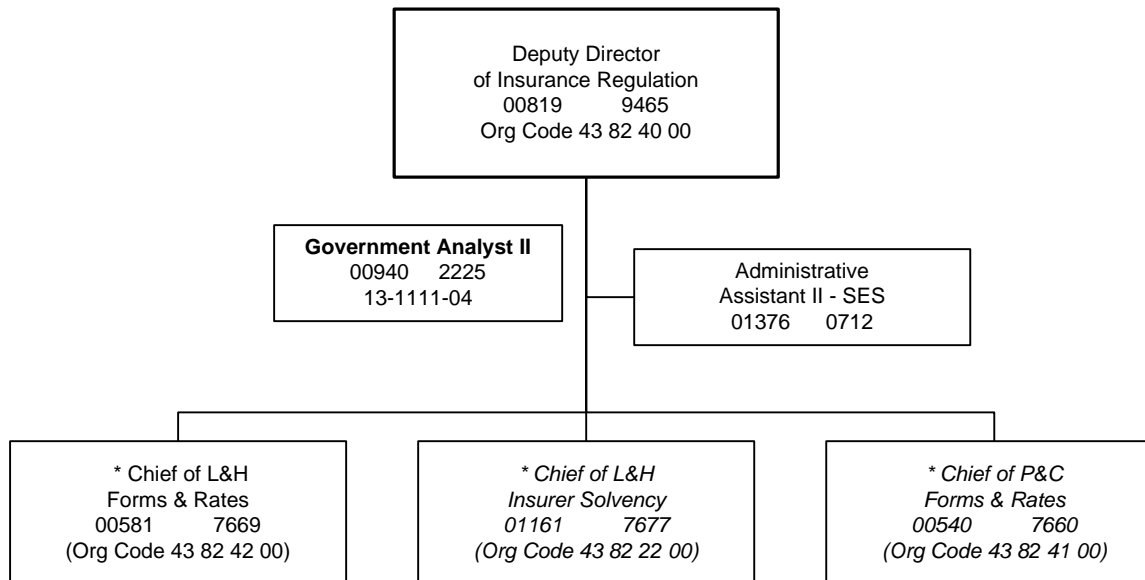


Bureau Total FTE: 32

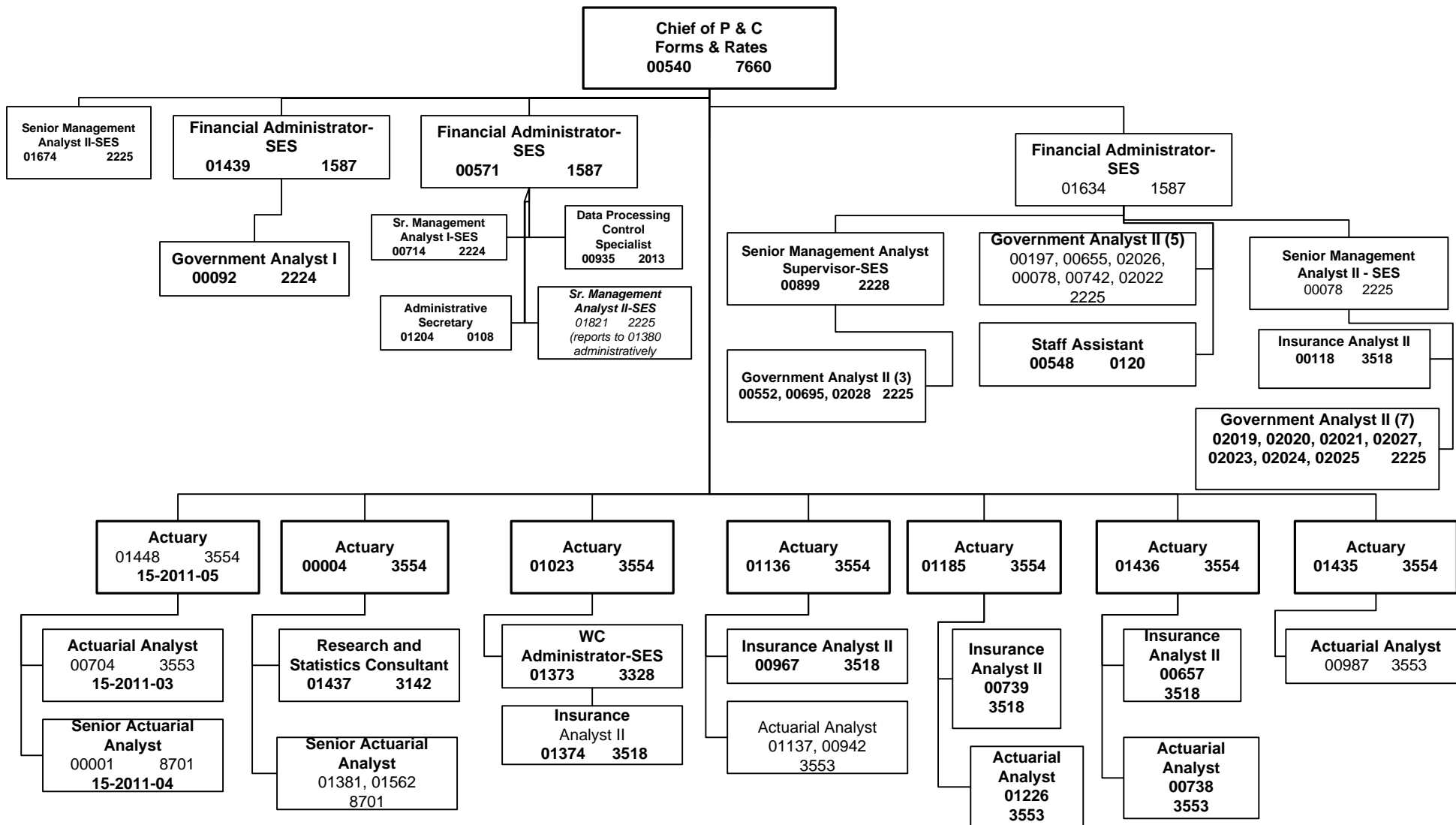
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 Italic = Organizationally Assigned. Reports elsewhere administratively. FTE counted.

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 Rev: 9-26-13

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

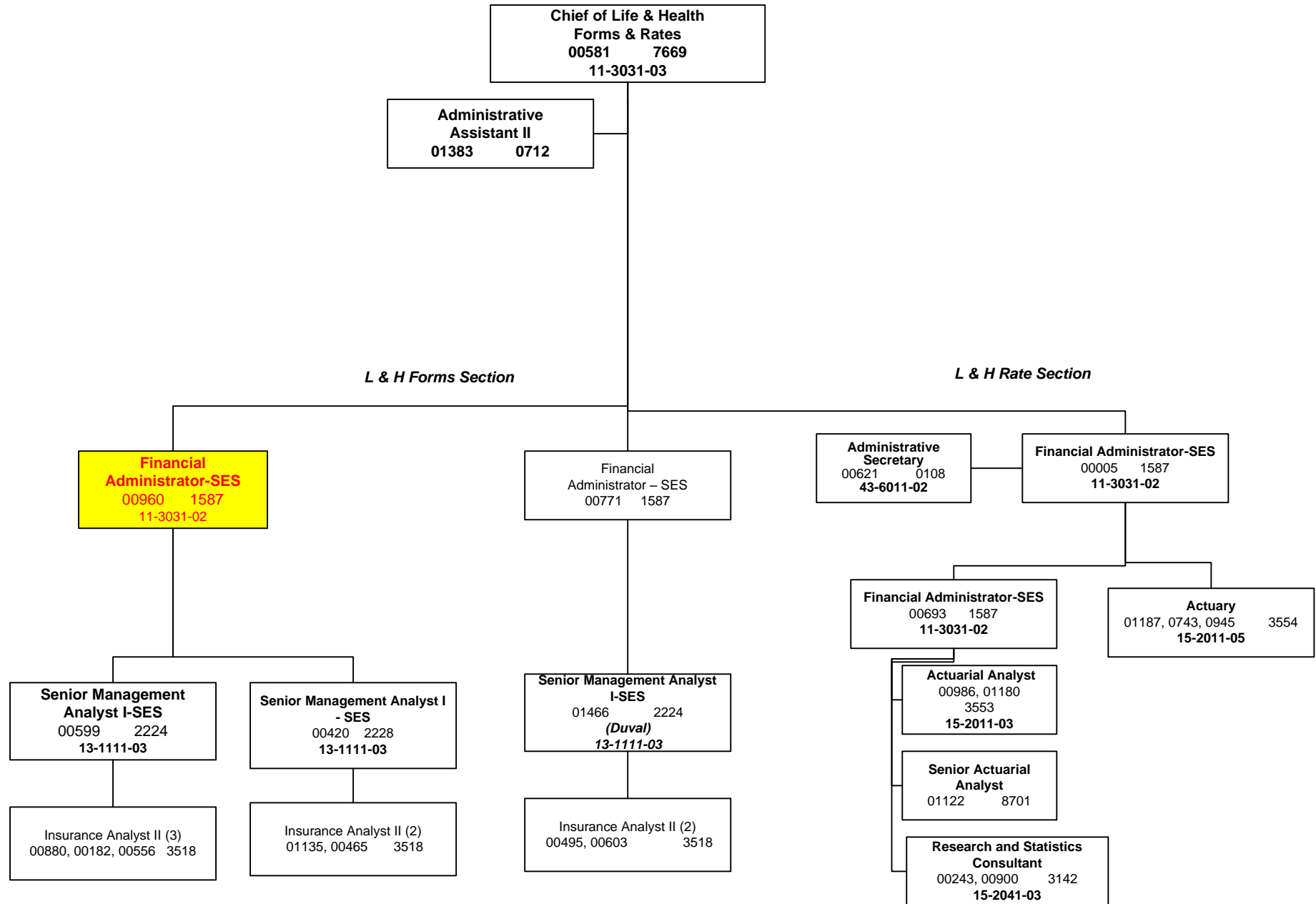


Financial Services Commission Office of Insurance Regulation Bureau of Property & Casualty Forms & Rates



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

PROPOSED, pending
DMS approval



Bureau Total FTE: 24

❖ FTE not Included in this Section

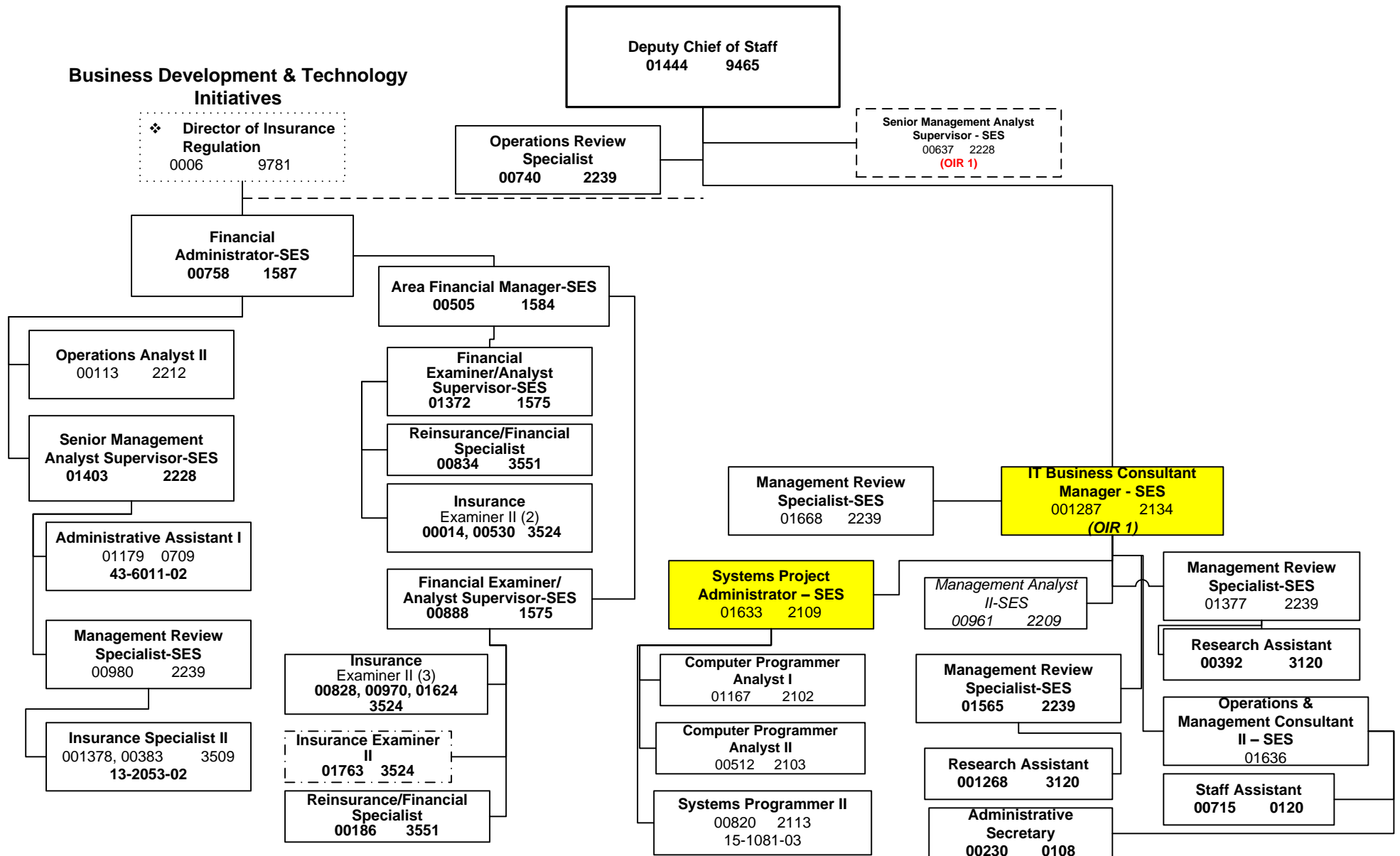
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Italic = Organizationally Assigned. Reports elsewhere administratively. FTE counted.
118 of 366

Eff
Rev 6-12-14

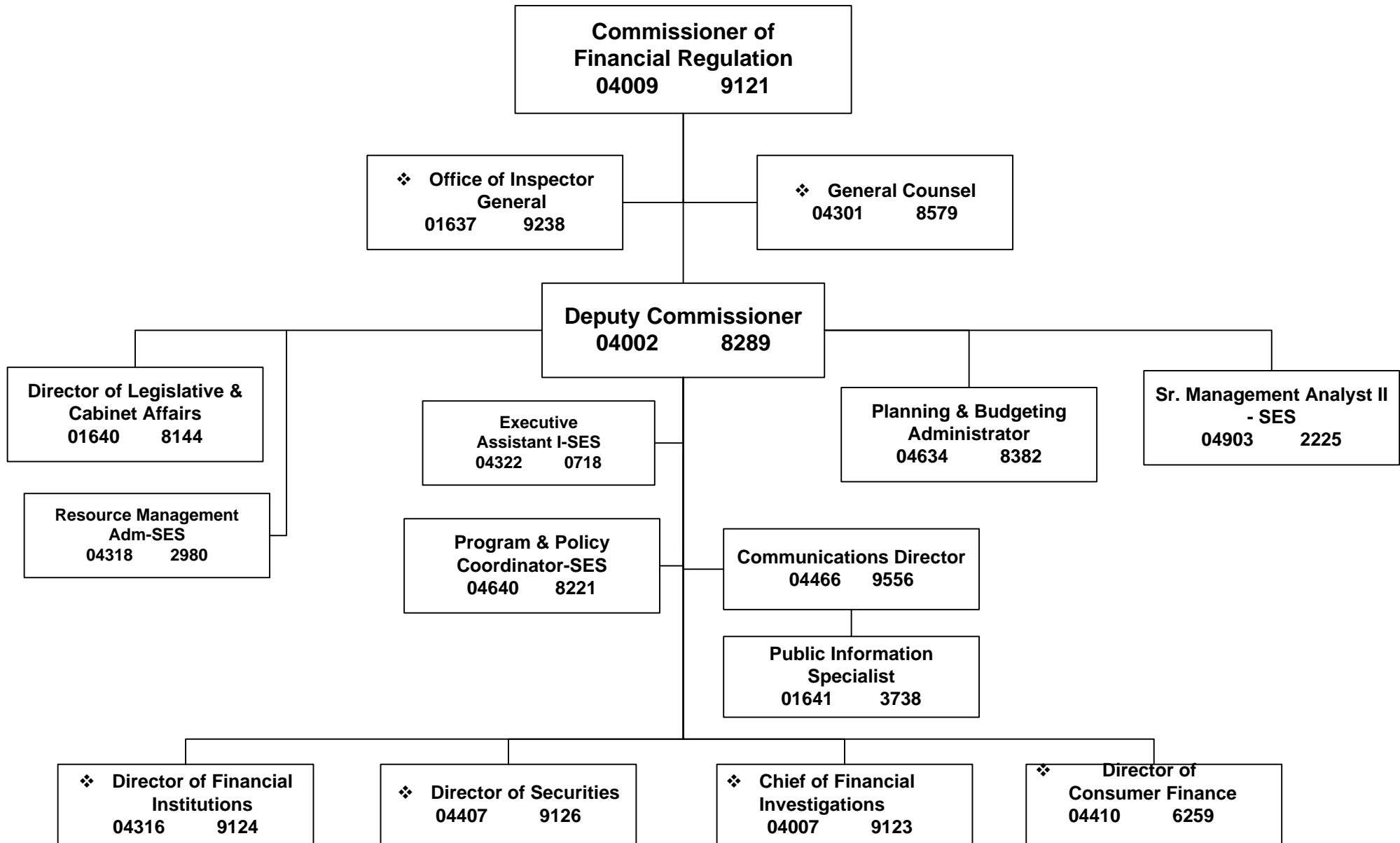
OIR 11

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

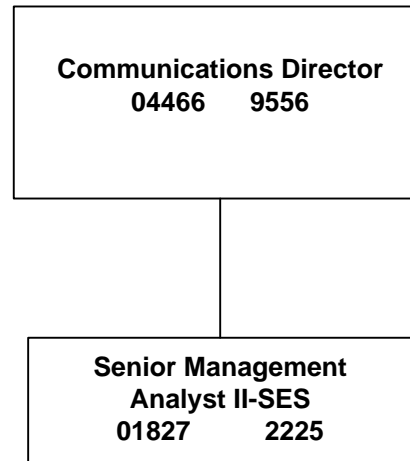


❖ FTE not Included in this Section
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 Italic = Organizationally Assigned. Reports elsewhere administratively. FTE counted.
 119 of 366

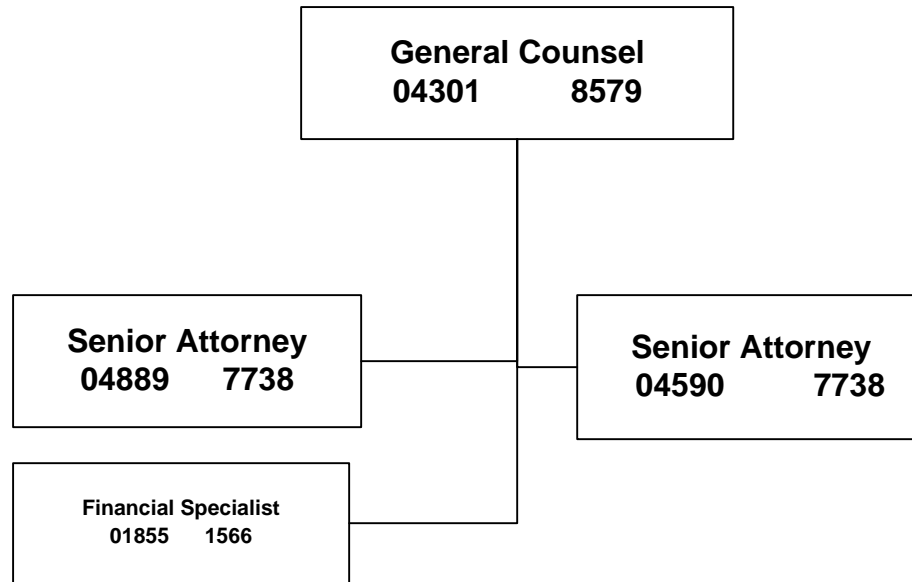
**Financial Services Commission
Office of Financial Regulation
Office of the Commissioner**



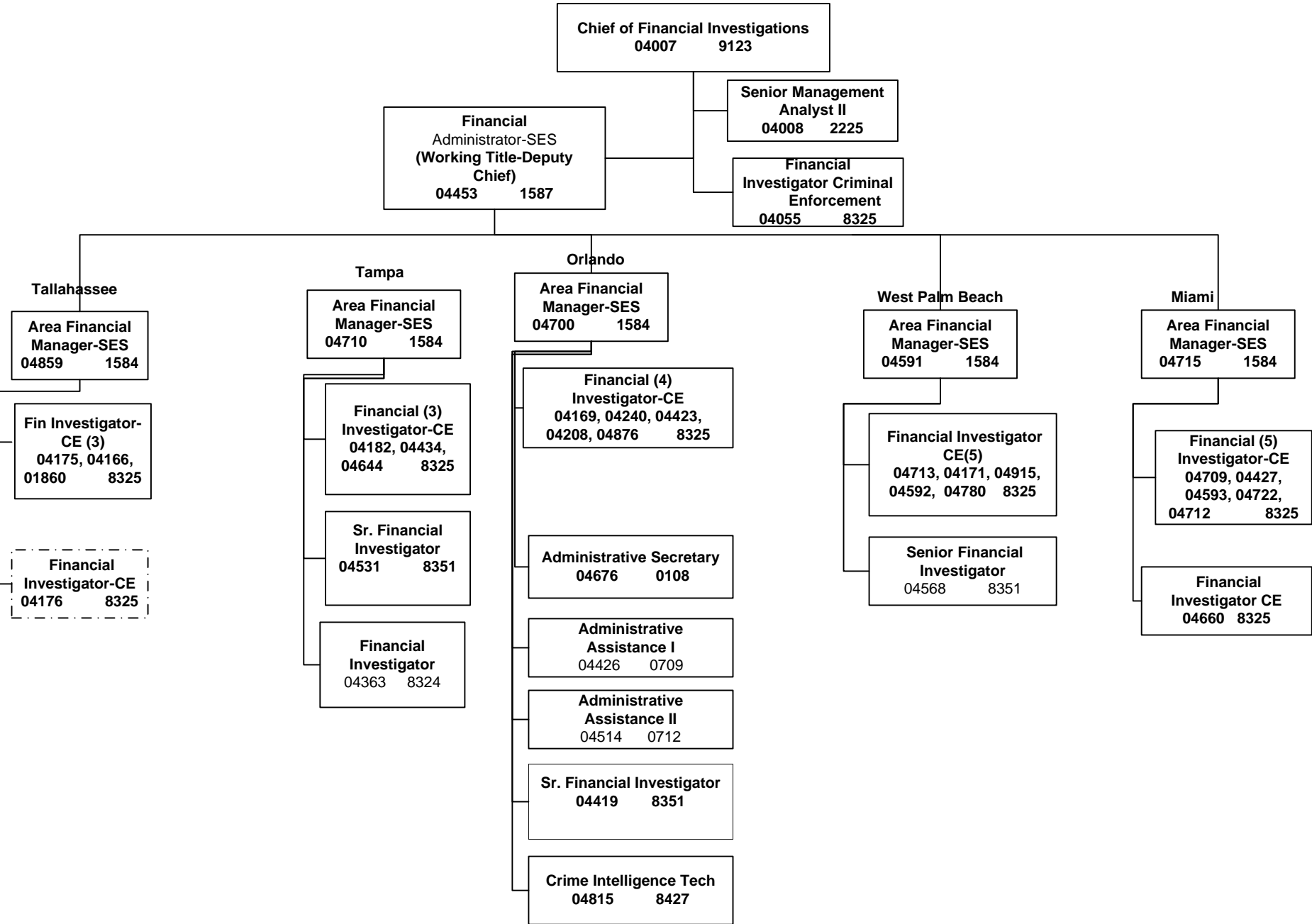
**Financial Services Commission
Office of Financial Regulation
Office of the Inspector General**



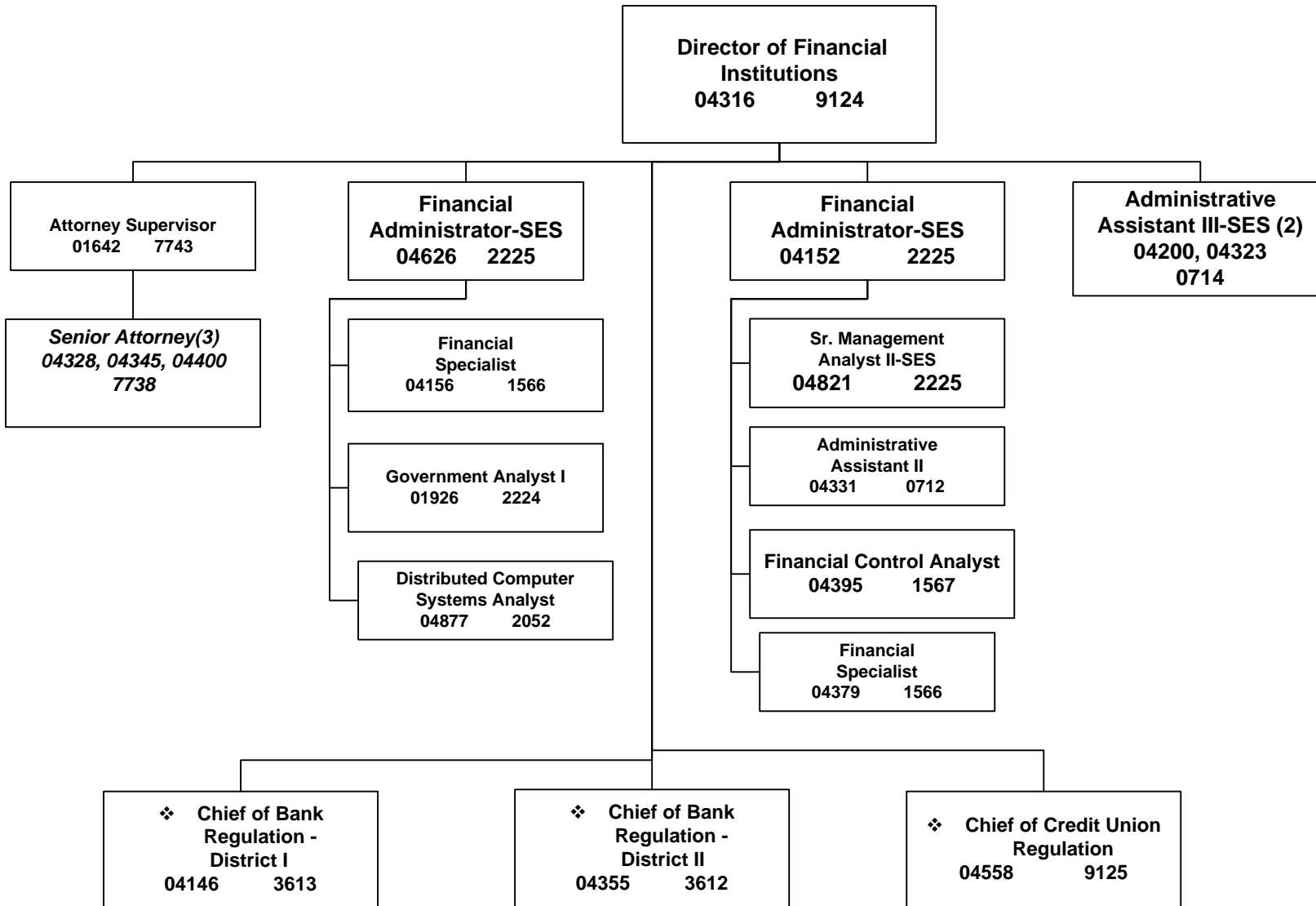
**Financial Services Commission
Office of Financial Regulation
Office of the General Counsel**



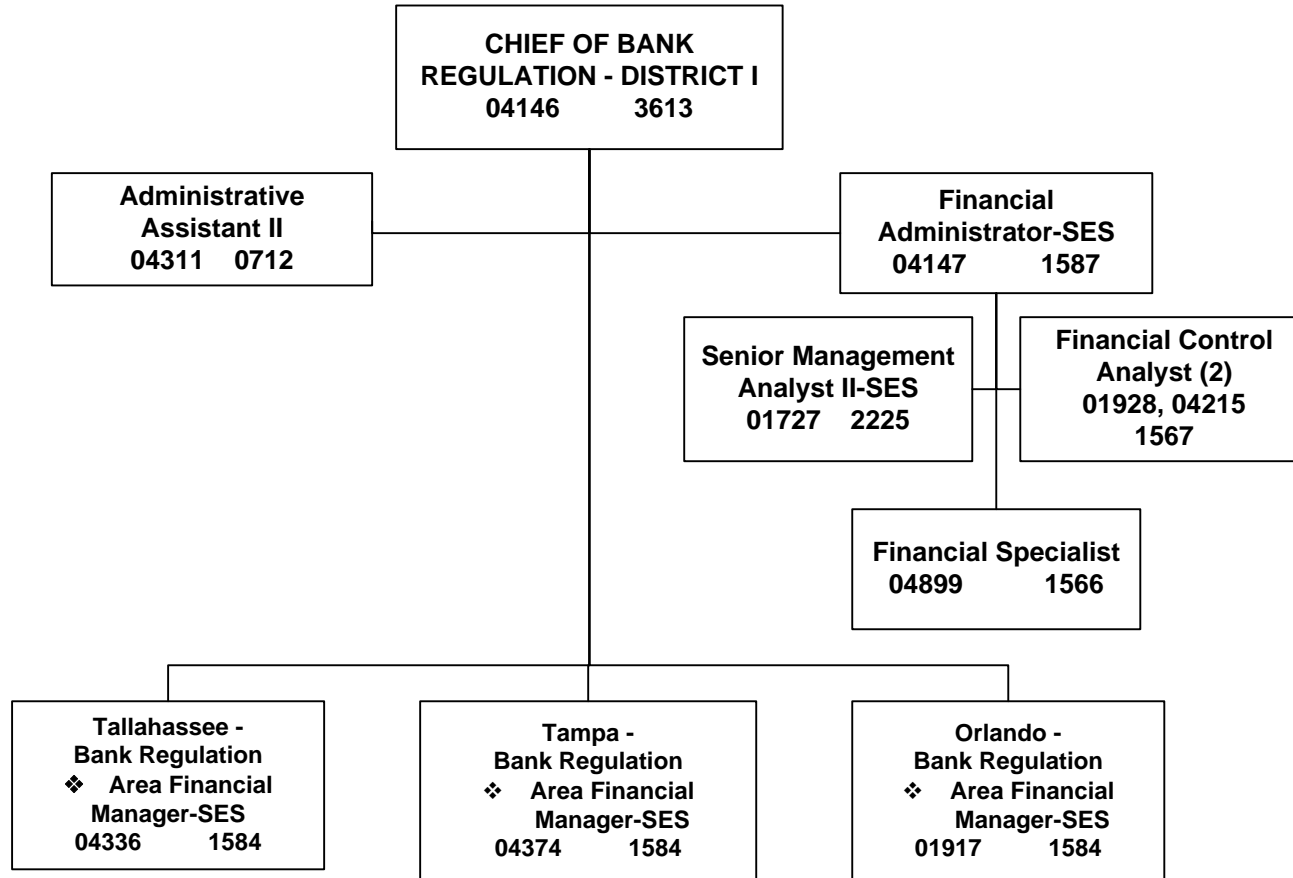
Financial Services Commission Office of Financial Regulation Bureau of Financial Investigations



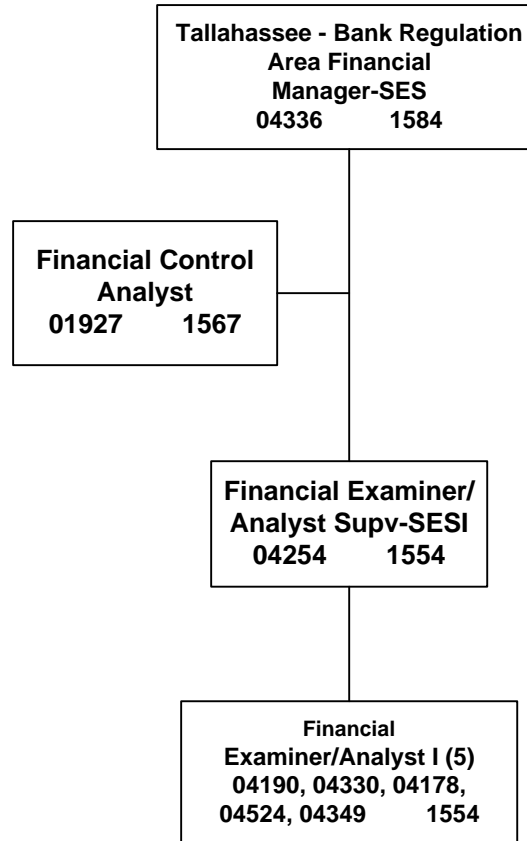
**Financial Services Commission
Office of Financial Regulation
Division of Financial Institutions
Office of the Director**



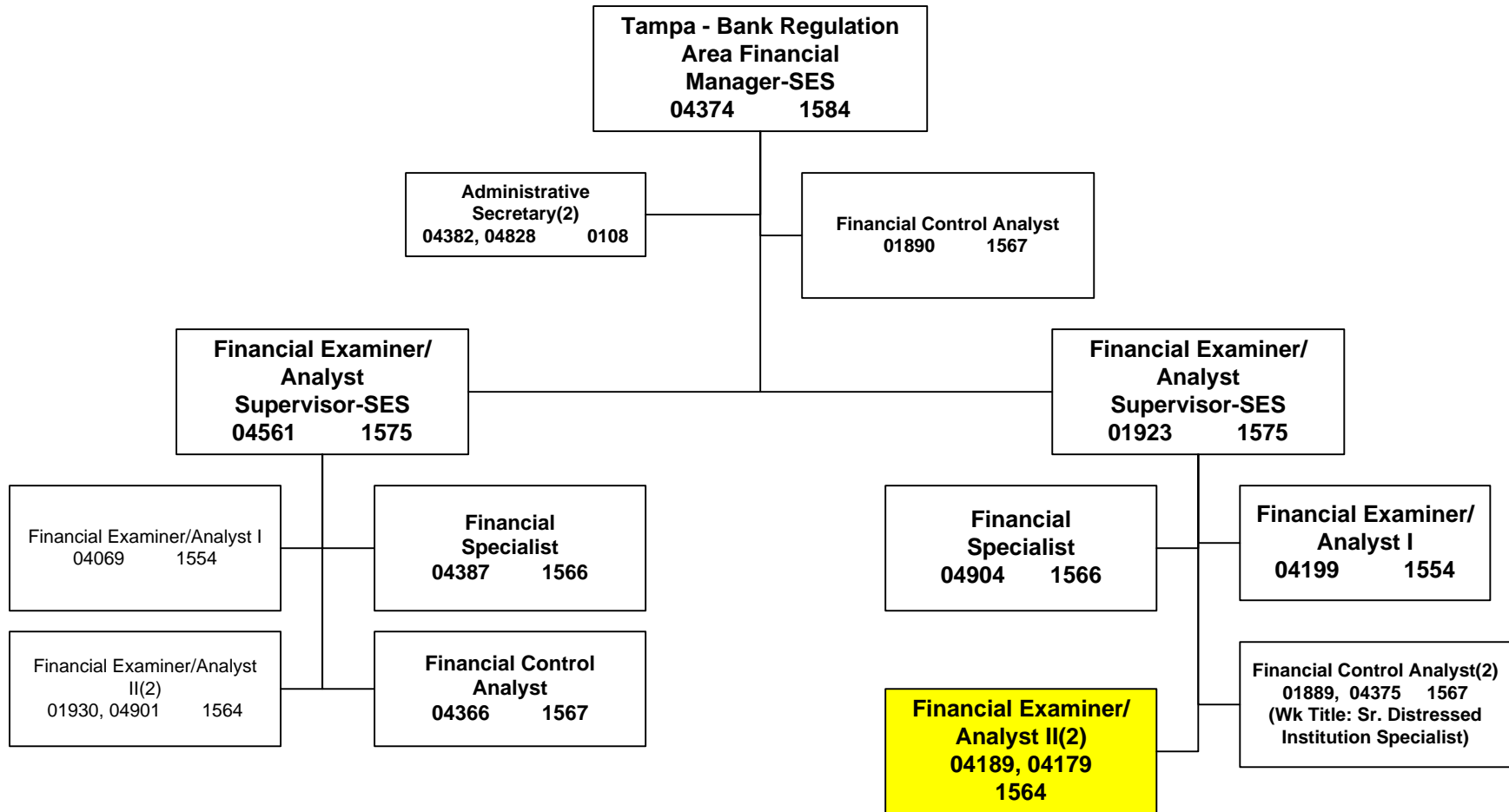
**Financial Services Commission
Office of Financial Regulation
Division of Financial Institutions
Bureau of Bank Regulation - District I**



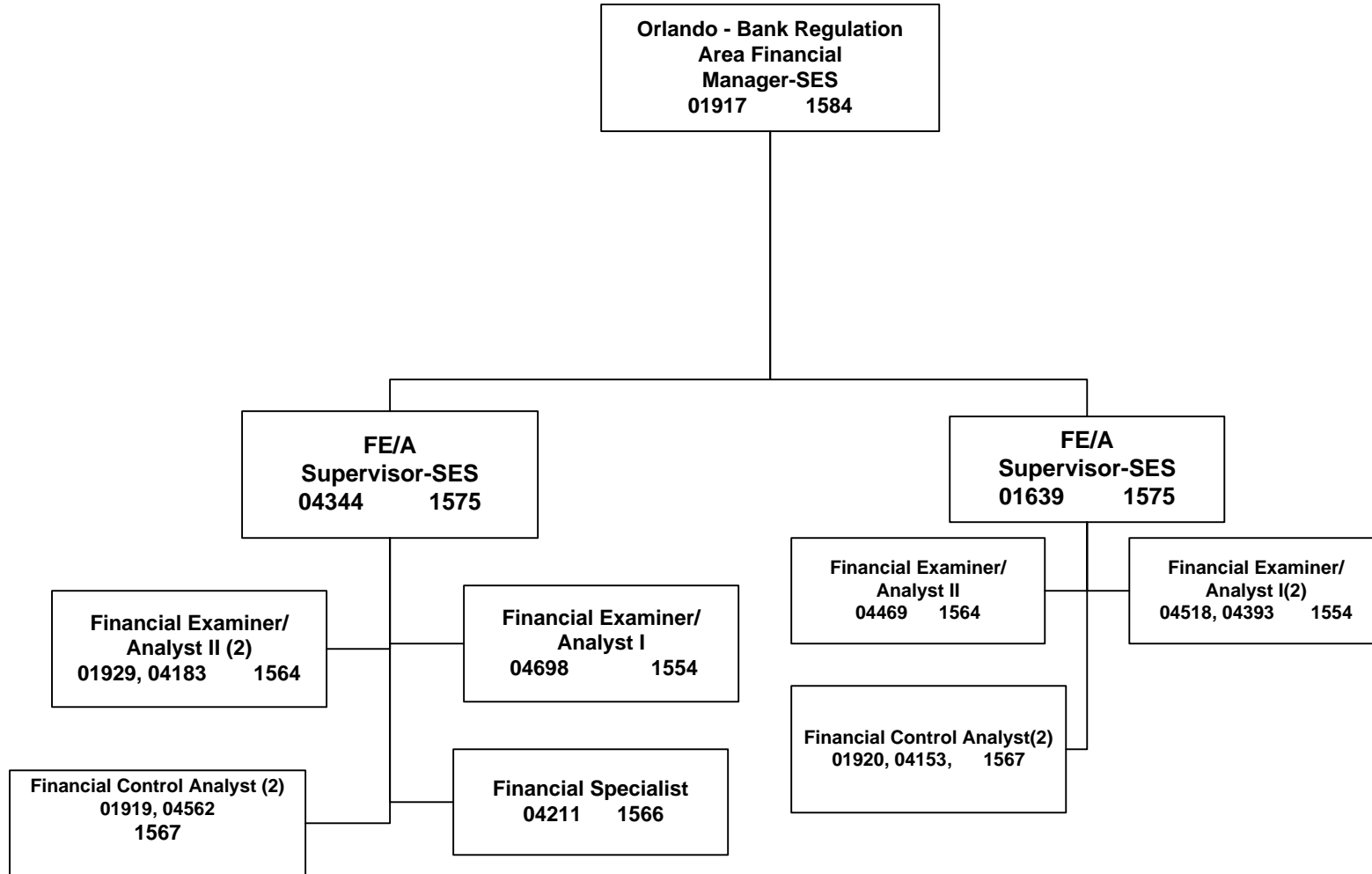
Financial Services Commission / **Office of Financial Regulation (84)**
Division of Financial Institutions (30)
Bureau of Bank Regulation - District I (10)
Tallahassee Field Office - Bank Regulation (20)



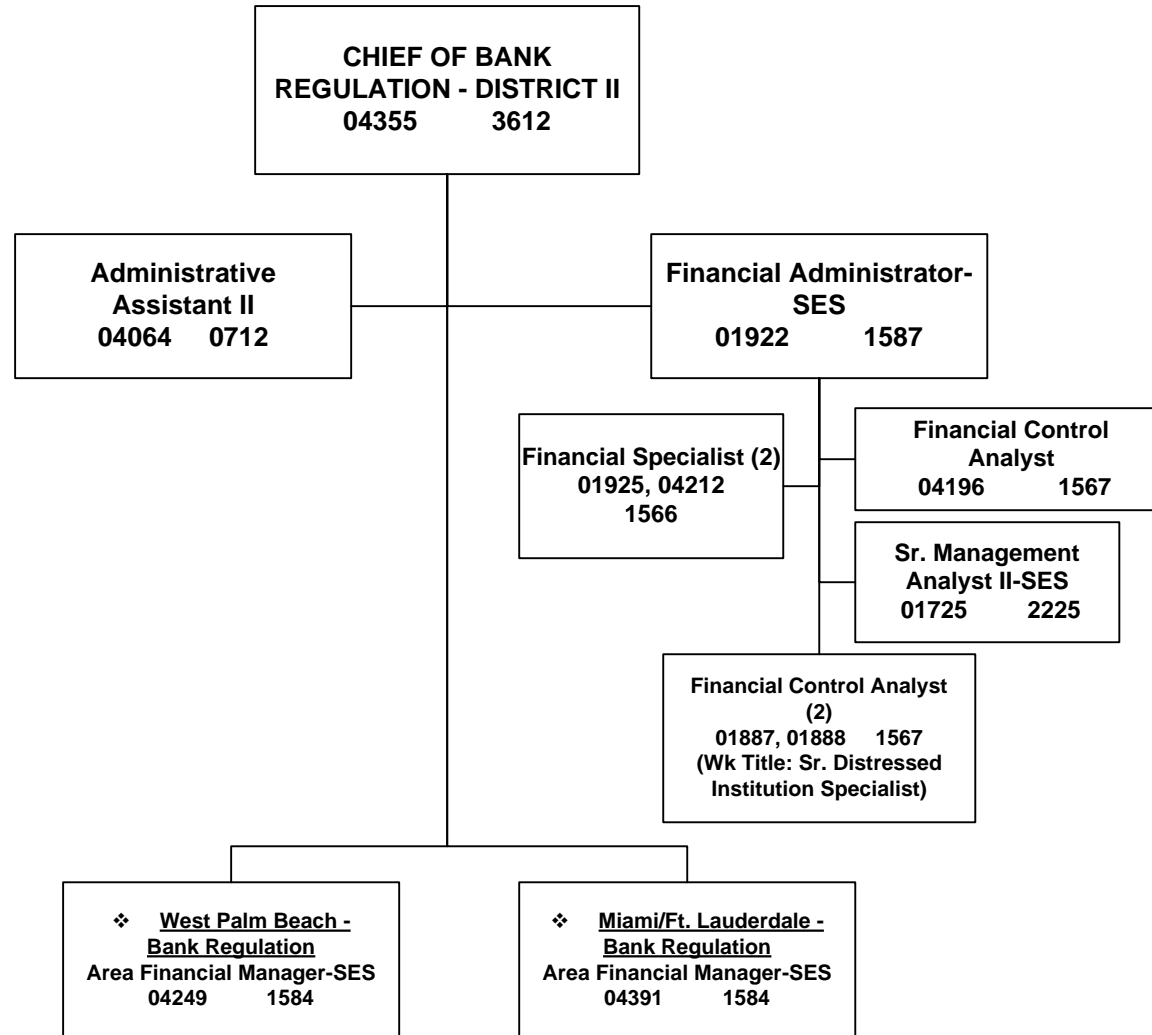
**Financial Services Commission
Office of Financial Regulation
Division of Financial Institutions
Bureau of Bank Regulation - District I**



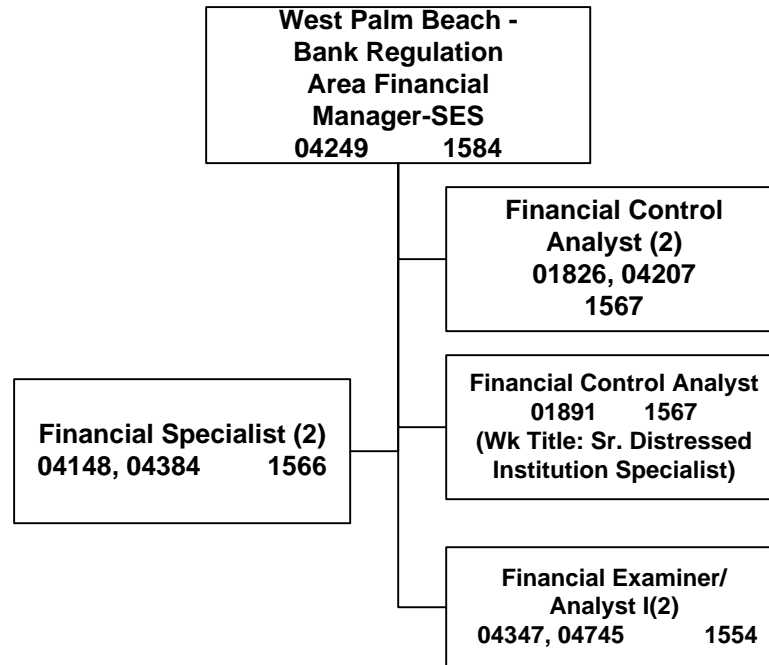
**Financial Services Commission
Office of Financial Regulation
Division of Financial Institutions
Bureau of Bank Regulation - District I**



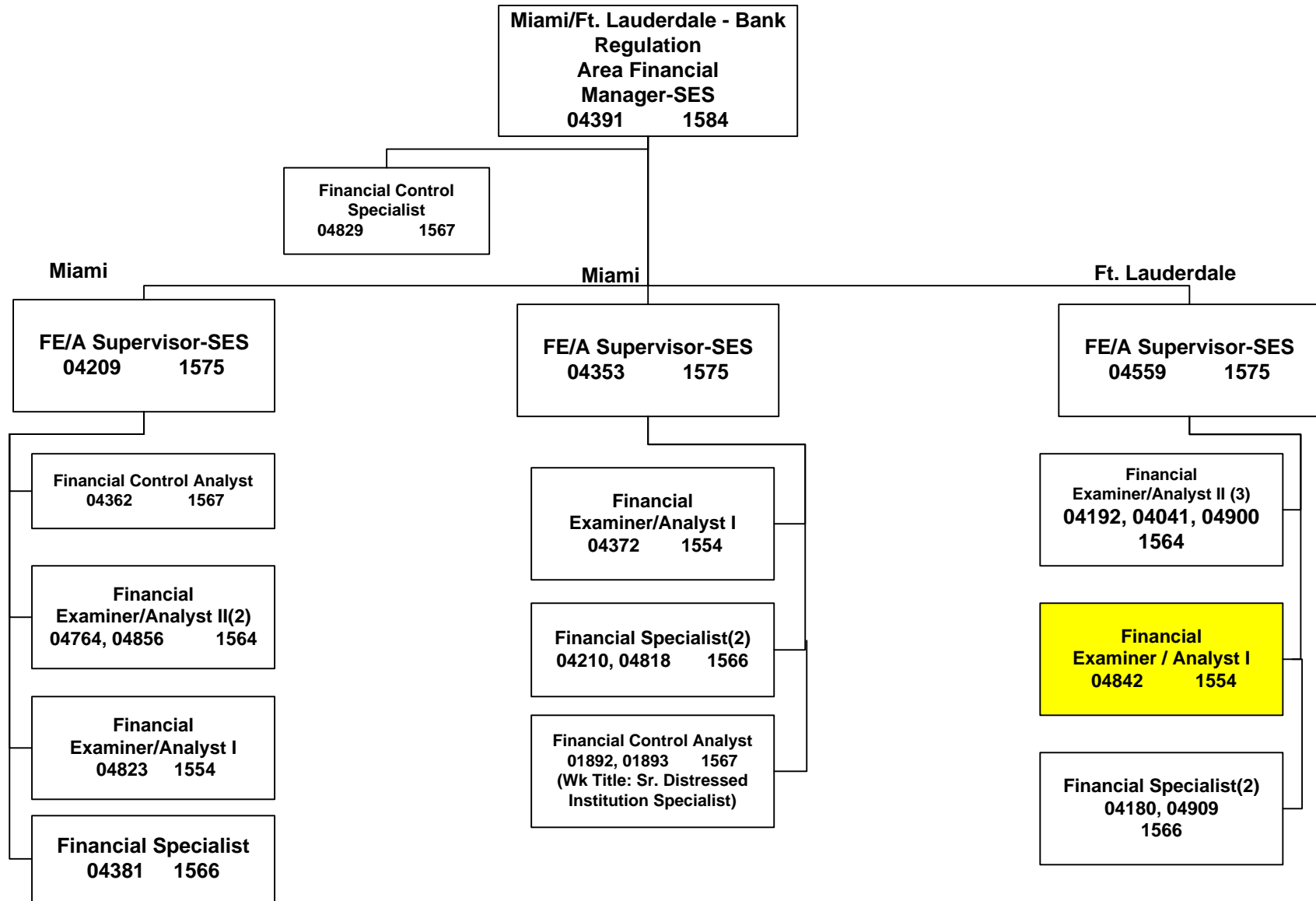
**Financial Services Commission
Office of Financial Regulation
Division of Financial Institutions
Bureau of Bank Regulation - District II**



**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



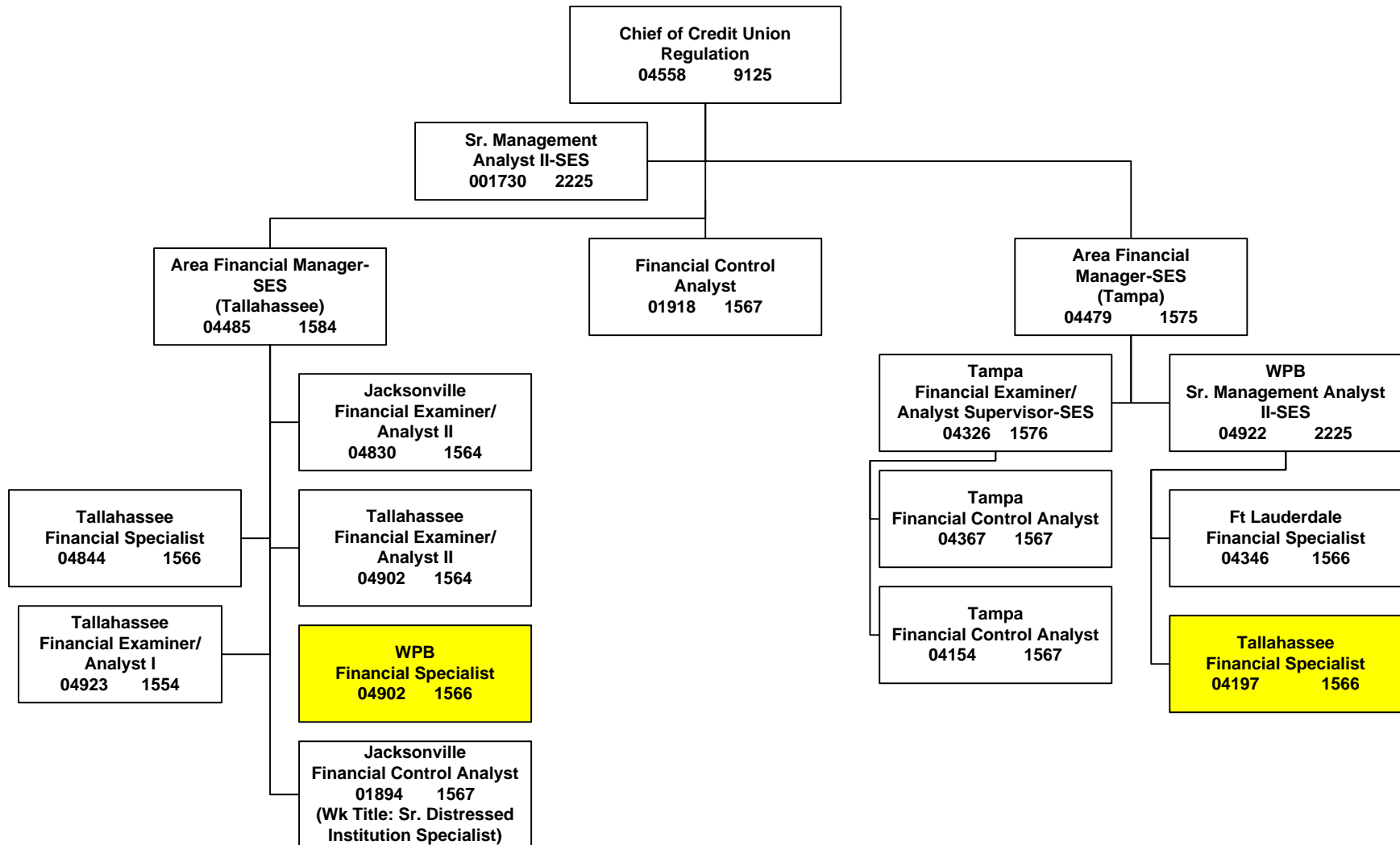
Miami/Ft. Lauderdale FTE: 21

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

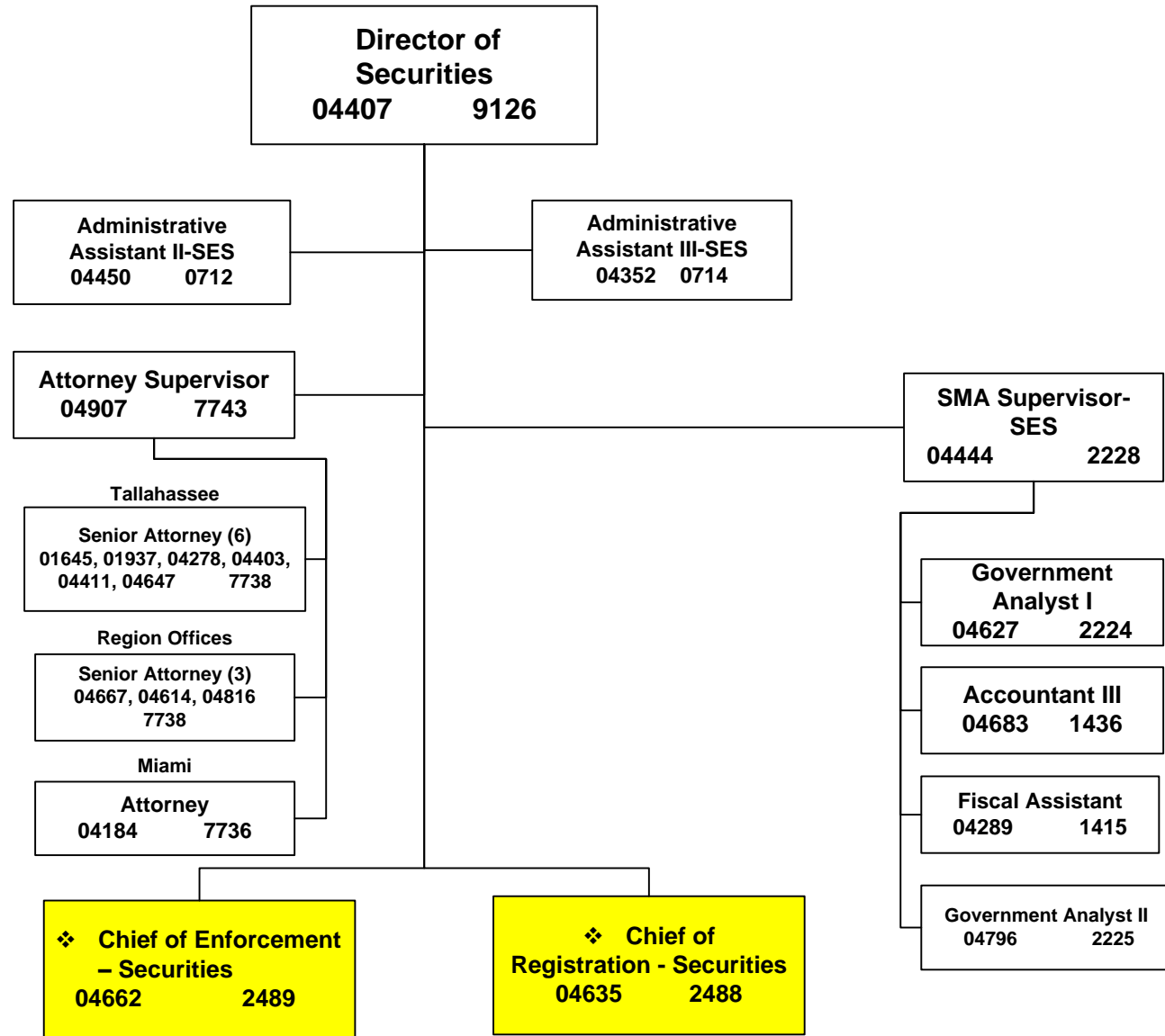
Eff 9/16/2013
 Rev 09/19/2013

OFR-13

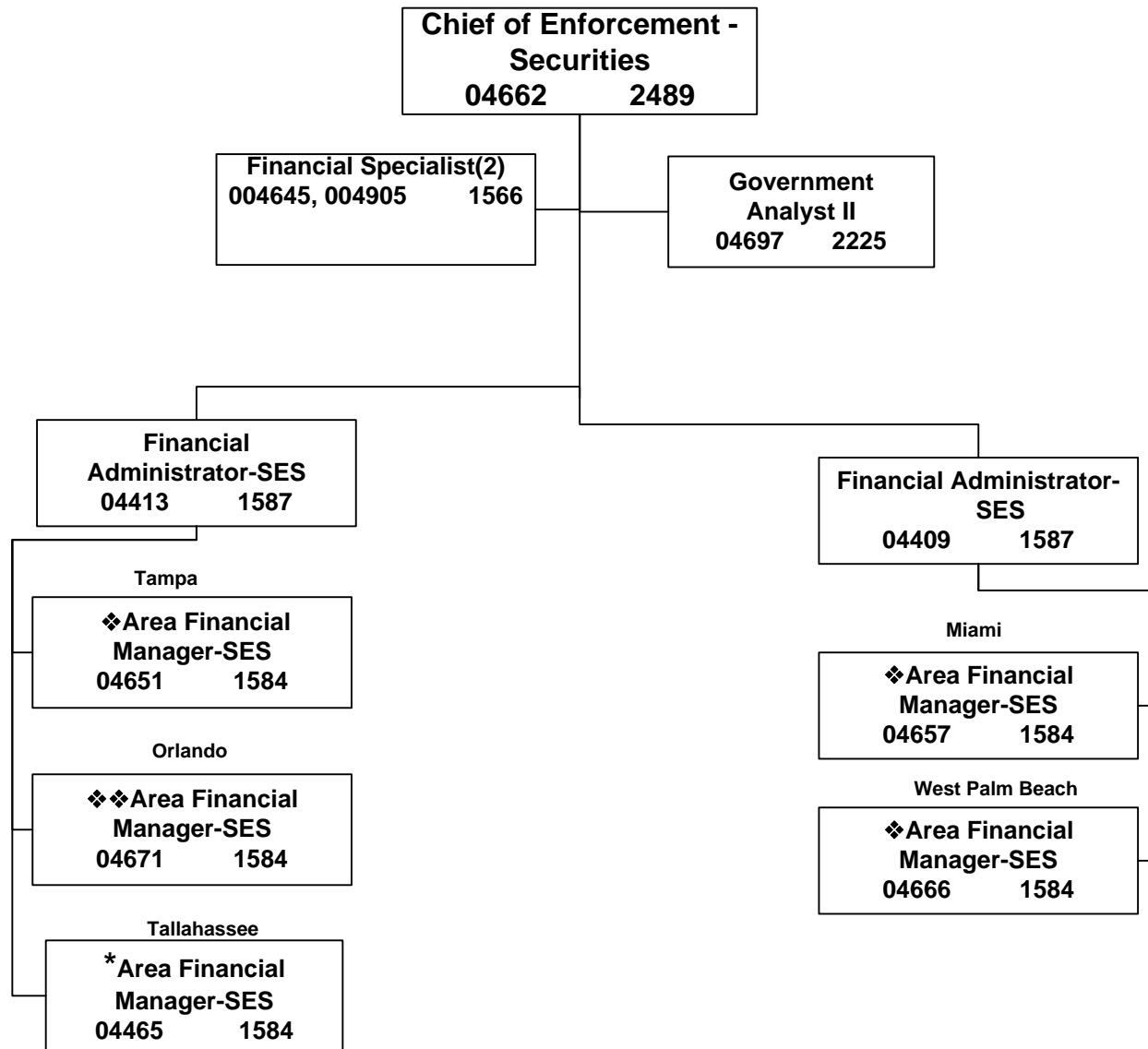
**Financial Services Commission
Office of Financial Regulation
Division of Financial Institutions
Bureau of Credit Union Regulation**



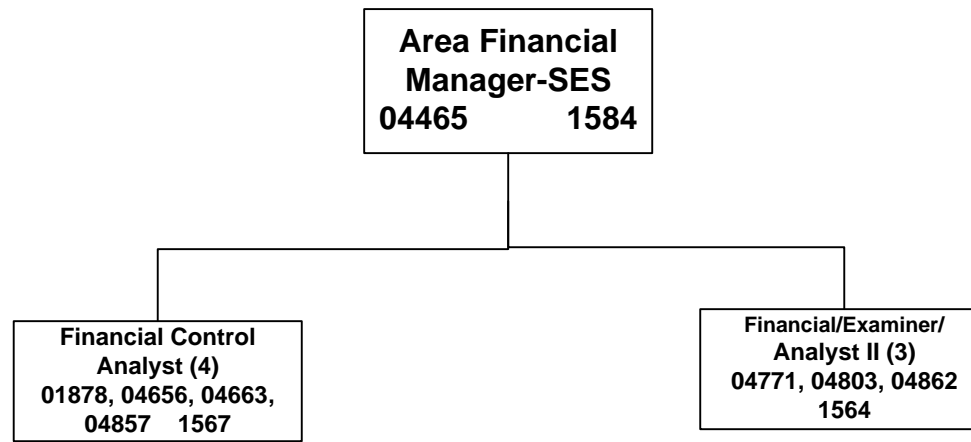
**Financial Services Commission
Office of Financial Regulation
Division of Securities
Office of the Director**



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

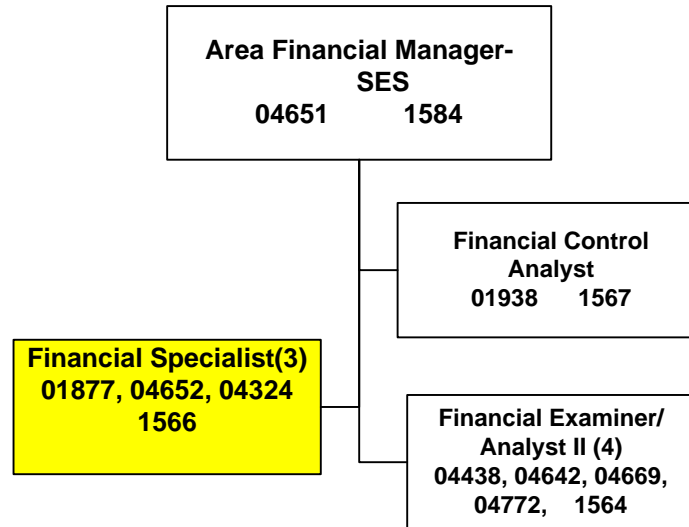


**Financial Services Commission
Office of Financial Regulation
Division of Securities
Bureau of Enforcement - Securities
Tallahassee - Securities Regulation**

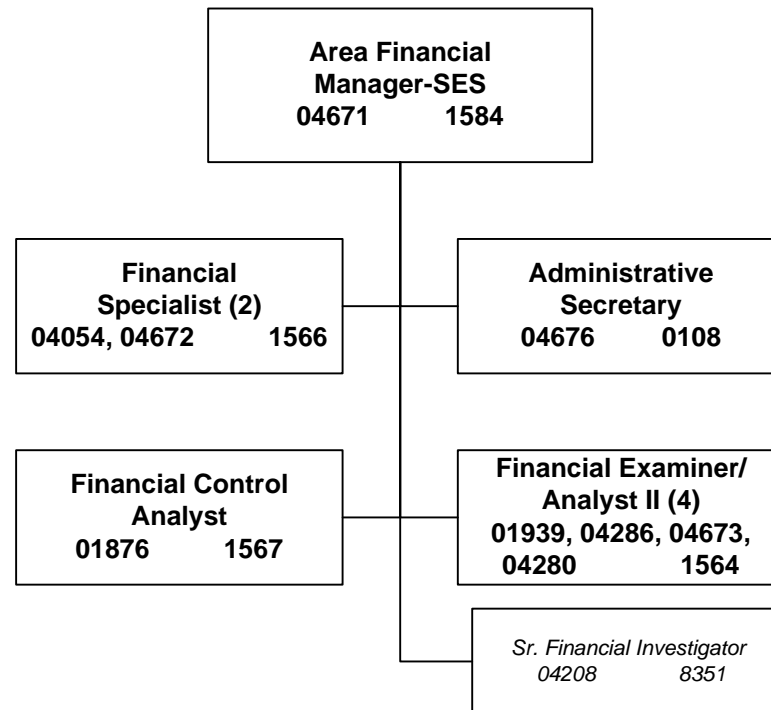


Financial Services Commission
Office of Financial Regulation
Division of Securities
Bureau of Enforcement - Securities
Tampa Securities Enforcement

PROPOSED

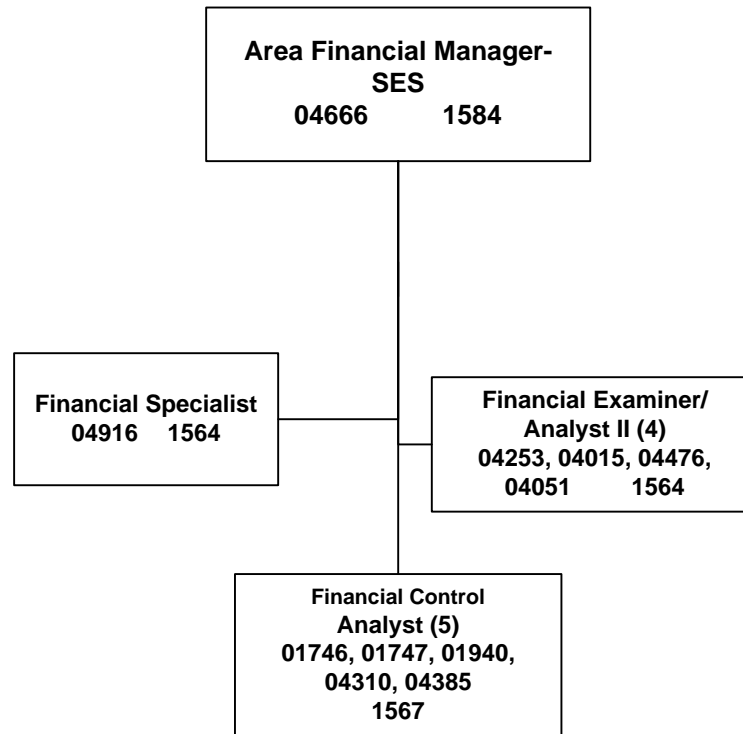


**Financial Services Commission
Office of Financial Regulation
Division of Securities
Bureau of Enforcement - Securities
Orlando Securities Enforcement**

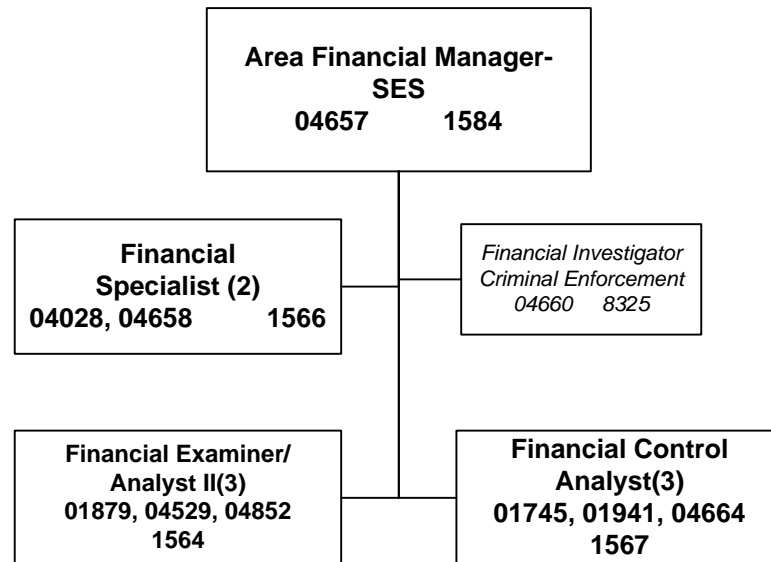


Financial Services Commission
Office of Financial Regulation
Division of Securities
Bureau of Enforcement Securities
West Palm Beach Securities Enforcement

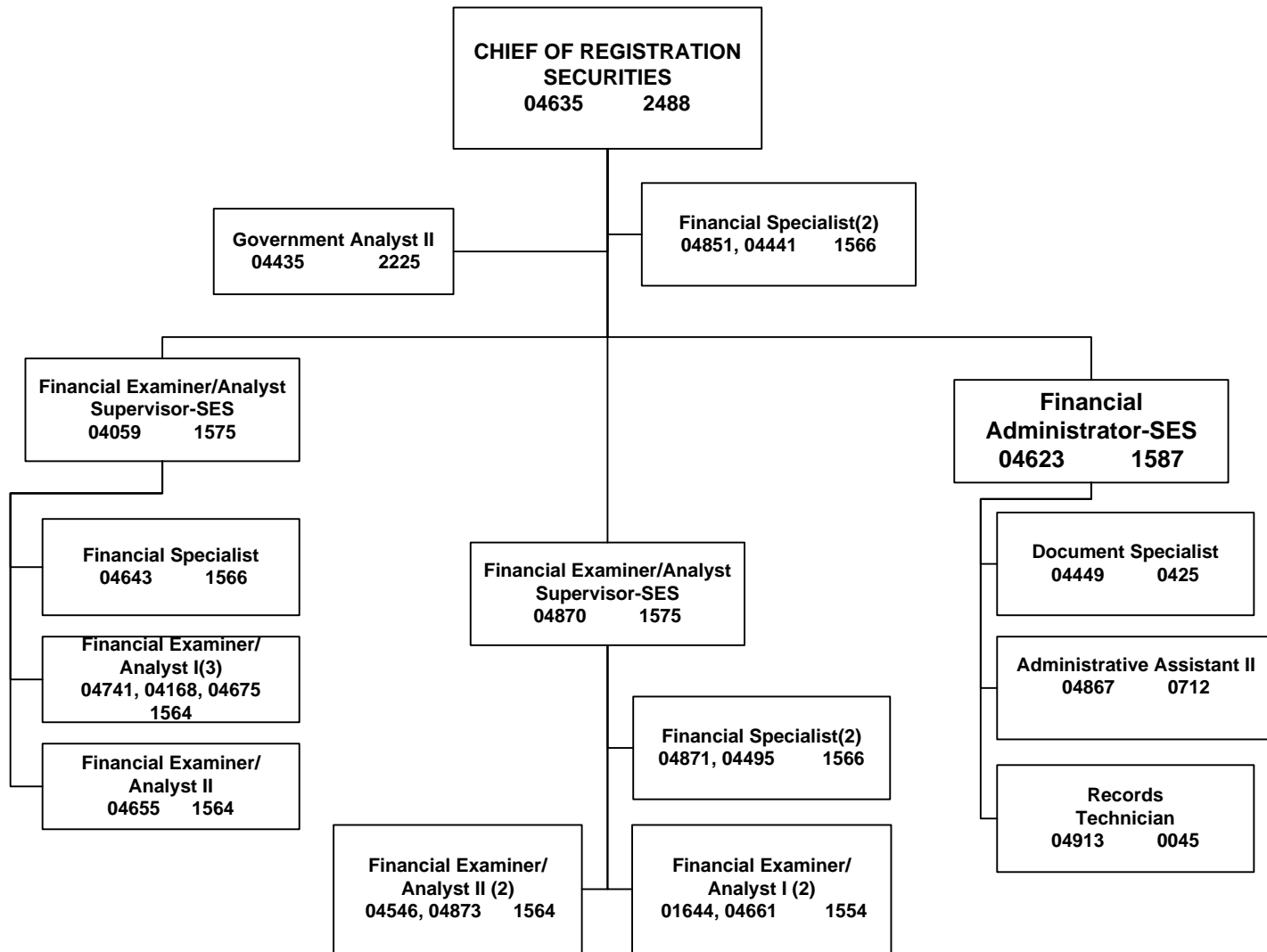
PROPOSED



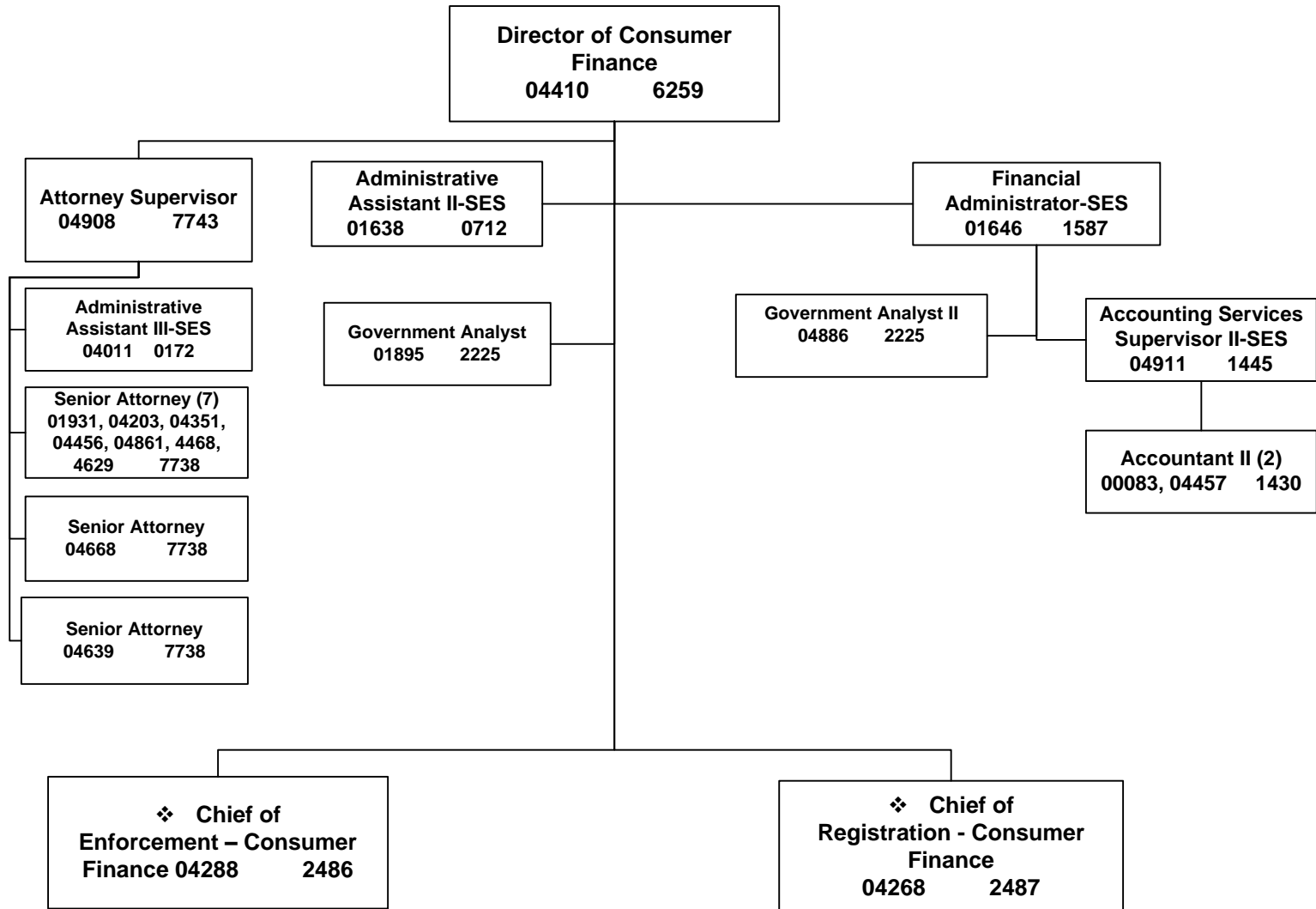
**Financial Services Commission
Office of Financial Regulation
Division of Securities
Bureau of Enforcement - Securities
Miami – Securities Enforcement**



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**



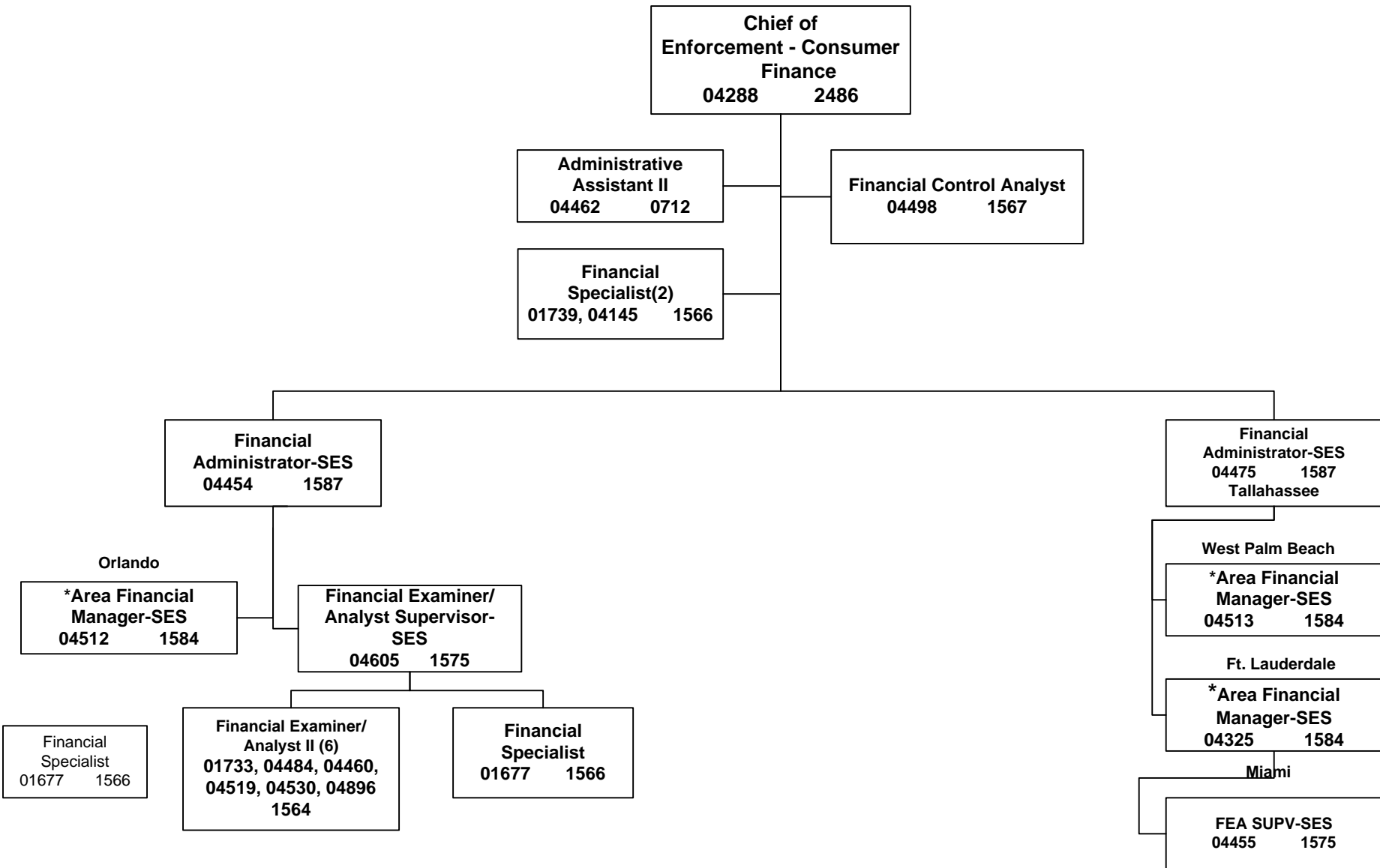
Office of the Director FTE: 18
Total Division FTE: 92

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

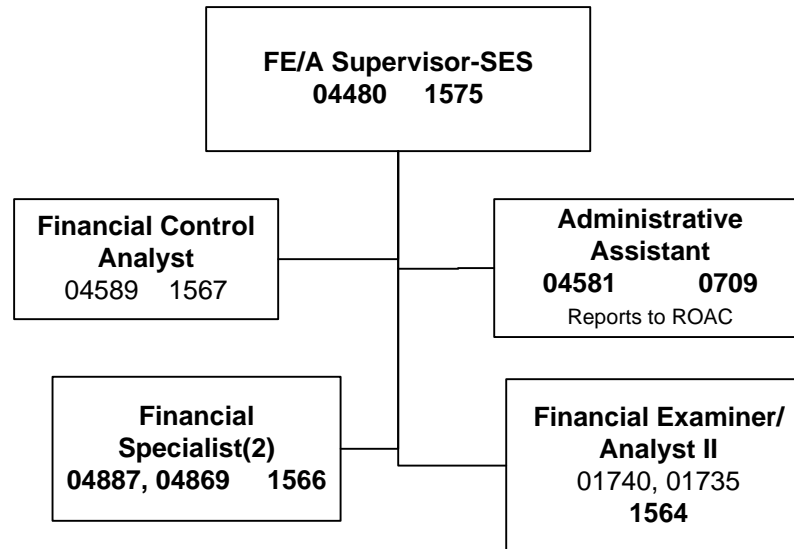
Eff 09-06-13
Rev 09-10-13

OFR-25

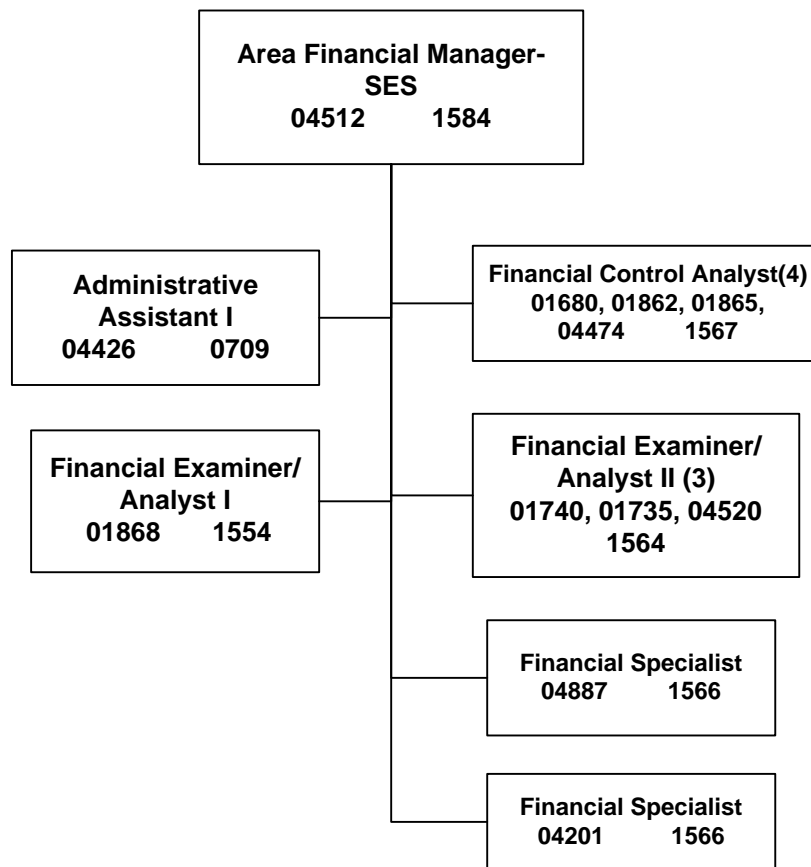
**Financial Services Commission
Office of Financial Regulation
Division of Consumer Finance
Bureau of Enforcement – Consumer Finance**



**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**



Total FTE: 11

❖ FTE not Included in this Section

Dotted Line = Administratively Assigned. FTE not counted.

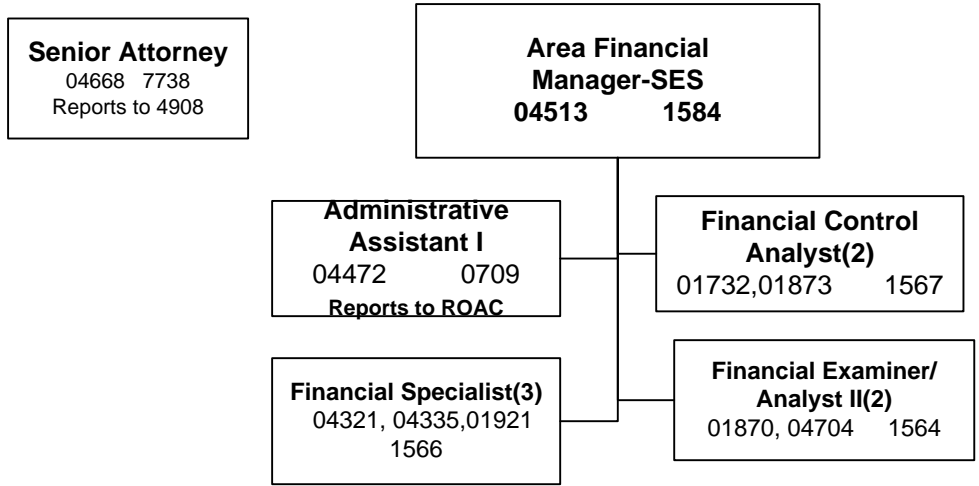
Italic = Organizationally Assigned. Reports elsewhere administratively. FTE counted.

Eff 09-03-13

Rev 09-03-13

OFR-30

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



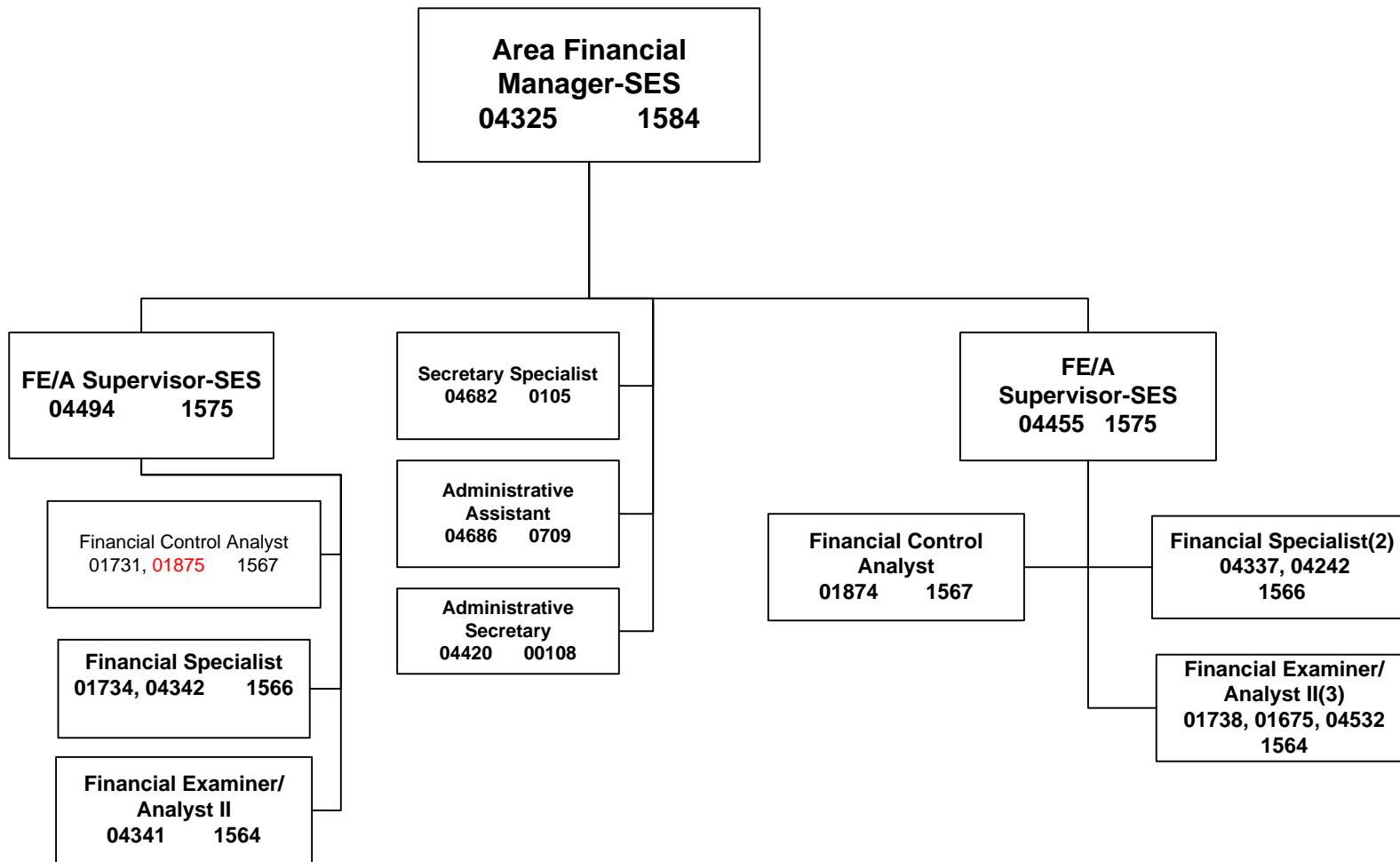
Total FTE: 10

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

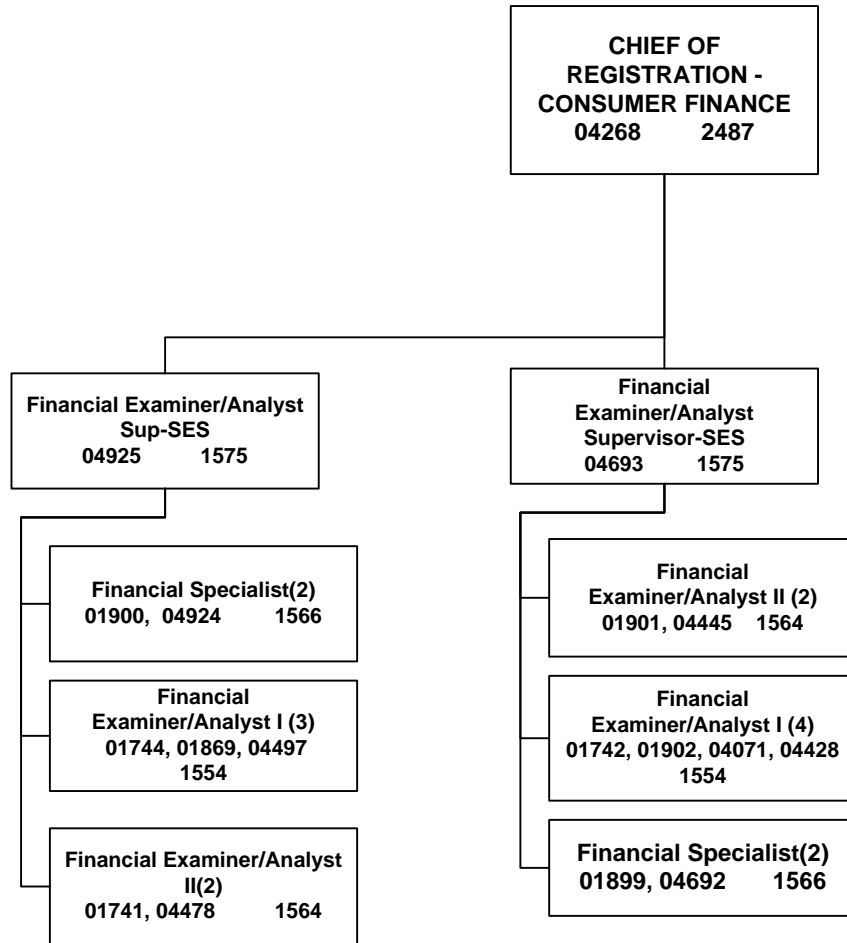
Eff 05/08/2014
Rev 6/24/2014

OFR-31

**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 administered. FTE counted.

Eff 09-09-13
 Rev 07-10-13

OFR-35

FINANCIAL SERVICES, DEPARTMENT OF		FISCAL YEAR 2013-14			
SECTION I: BUDGET		OPERATING		FIXED CAPITAL OUTLAY	
TOTAL ALL FUNDS GENERAL APPROPRIATIONS ACT		301,801,171		188,000	
ADJUSTMENTS TO GENERAL APPROPRIATIONS ACT (Supplementals, Vetoes, Budget Amendments, etc.)		9,869,919		0	
FINAL BUDGET FOR AGENCY		311,671,090		188,000	
SECTION II: ACTIVITIES * MEASURES		Number of Units	(1) Unit Cost	(2) Expenditures (Allocated)	(3) FCO
Executive Direction, Administrative Support and Information Technology (2)					172,834
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.		6,407	58.53	375,002	
Process Transactions, Account Changes And Audit Functions * Number of account actions taken on regulatory collateral deposit accounts.		69,073	14.93	1,031,014	
Investment Of Public Funds * Dollar Volume of Funds Invested		21,100,000,000	0.00	721,946	
Provide Cash Management Services * Number of cash management consultation services.		29	35,194.24	1,020,633	
Receive Funds, Process Payment Of Warrants And Provide Account And Reconciliation Services * Number of financial management/accounting transactions processed and reports produced.		3,278,974	0.51	1,681,041	
Administer The State Supplemental Deferred Compensation Plan * Number of participant account actions processed by the state deferred compensation office.		1,685,464	1.00	1,685,935	
Accounting And Reporting Of State Funds * State Accounts Managed in the Florida Accounting Information Resource System.		35,654	132.70	4,731,230	
Migrate Current Accounts Payable Procedures To Electronic Commerce * Payments issued electronically to settle claims against the state.		9,518,526	0.12	1,113,346	
Conduct Pre-audits Of Selected Accounts Payable * Vendor payment requests that are pre-audited for compliance with statutes and contract requirements		366,437	11.78	4,315,879	
Conduct Post-audits Of Major State Programs * Post-audits completed of major state programs to determine compliance with statutes and contract requirements		6	378,880.67	2,273,284	
Process State Employees Payroll * Payroll payments issued		3,102,597	0.81	2,508,026	
Conduct Post-audits Of Payroll * Post-audits completed of state agencies payroll payments to determine compliance with statutes		12	15,764.25	189,171	
Conduct Fiscal Integrity Investigations * Fiscal integrity investigations completed to investigate allegations or suspicions of fraud, waste or abuse.		18	52,770.39	949,867	
Collect Unclaimed Property * Accounts reported by holders of unclaimed property.		2,359,186	1.20	2,823,002	
Process And Payment Of Unclaimed Property * Payments processed for claims of unclaimed property.		342,234	8.89	3,042,350	
License The Fire Protection Industry * Number of entity requests for licenses, permits and certificates processed within statutorily mandated time frames.		8,047	67.54	543,487	
Perform Fire Safety Inspections * Number of inspections of fire code compliance completed.		15,447	270.65	4,180,703	
Review Construction Plans For Fire Code Compliance * Number of construction plans reviewed.		543	1,031.10	559,889	
Perform Boiler Inspections * Number of boiler inspections completed by department inspectors.		1,397	400.78	559,889	
Investigate Fires Accidental, Arson And Other * Total number of closed fire investigations involving economic or physical loss.		1,391	9,895.42	13,764,528	
Provide State, Local And Business Professional Training And Education * Number of classroom contact hours provided by the Florida State Fire College.		132,009	30.04	3,965,283	
Provide State, Local And Business Professional Standards, Testing And Statutory Compliance * Number of examinations administered.		6,004	317.06	1,903,606	
Provide Forensic Laboratory Services * Number of evidence items and photographic images processed.		12,431	87.53	1,088,112	
Fire Incident Reporting * Number of total incidents reported to the Florida Fire Incident Reporting System.		2,613,062	0.15	398,177	
Provide Adjusting Services On State Workers' Compensation Claims * Number of workers' compensation claims worked.		19,298	1,522.90	29,388,898	
Provide Adjusting Services On State Liability Claims * Number of liability claims worked.		4,427	2,578.90	11,416,787	
Process Property Claims On State Owned Buildings (structure And Contents) * Number of state property loss/damage claims worked.		218	9,125.34	1,989,324	
Provide Risk Services Training And Consultation * Number of agency loss prevention staff trained during the fiscal year.		242	7,759.80	1,877,871	
Rehabilitate And/Or Liquidate Financially Impaired Insurance Companies * Number of insurance companies in receivership during the year.		39	17,787.97	693,731	
Review Applications For Licensure (qualifications) * Number of applications for licensure processed.		102,829	26.65	2,739,972	
Administer Examinations And Issue Licenses * Number of examinations administered and licenses authorized.		36,140	42.66	1,541,782	
Administer The Appointment Process From Employers And Insurers * Number of appointment actions processed.		1,730,733	0.41	713,373	
Administration Of Education Requirements (pre Licensing And Continuing Education) * Number of applicants and licensees required to comply with education requirements.		205,468	2.02	415,538	
Investigate Agents And Agencies * Number of agent and agency investigations completed.		2,949	2,005.57	5,914,417	
Investigate Insurance Fraud (general) * Number of insurance fraud investigations completed (not including workers' compensation).		1,547	11,190.10	17,311,087	
Investigate Workers' Compensation Insurance Fraud * Number of workers' compensation insurance fraud investigations completed (not including general fraud investigations).		848	5,614.39	4,761,000	
Respond To Consumer Request For Assistance * Number of consumer requests and informational inquiries handled.		53,259	79.51	4,234,674	
Provide Consumer Education Activities * Number of visits to the Consumer Services website.		341,936	2.11	720,096	
Answer Consumer Telephone Calls * Number of telephone calls answered through the consumer helpline.		339,028	14.05	4,762,300	
Examine And Regulate Licensees In The Funeral & Cemetery Business (chapter 497) To Ensure Regulatory Compliance * Number of examinations and inspections completed.		1,898	1,223.91	2,322,983	
Monitor And Audit Workers' Compensation Insurers To Ensure Benefit Payments * Number of claims reviewed annually.		87,903	49.33	4,336,041	
Verify That Employers Comply With Workers' Compensation Laws * Number of employer investigations conducted.		35,294	387.00	13,658,684	
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.		1,005	4,809.27	4,833,313	
Provide Reimbursement For Workers' Compensation Claims Paid By Insurance Carriers On Employees Hired With Preexisting Conditions * Number of reimbursement requests (SDF-2) audited.		2,491	528.63	1,316,829	
Collection Of Assessments From Workers' Compensation Insurance Providers * Amount of assessment dollars collected.		124,608,427	0.01	680,448	
Data Collection, Dissemination, And Archival * Number of records successfully entered into the division's databases.		5,377,802	0.70	3,768,668	
Reimbursement Disputes * Number of petitions for reimbursement dispute resolution resolved annually		10,428	140.92	1,469,497	
Public Assistance Fraud Investigations * Number of public assistance fraud investigations conducted.		4,717	1,253.67	5,913,569	
Approve And License Entities To Conduct Insurance Business. * Number of Certificates of Authority processed		68	13,458.85	915,202	
Conduct And Direct Market Conduct Examinations. * Number of examinations and investigations completed for licensed companies and unlicensed entities		700	4,459.46	3,121,623	
Conduct Financial Reviews And Examinations. * Number of financial reviews and examinations completed.		7,866	1,890.62	14,871,584	
Review And Approve Rate And Form Filings. * Number of rate and forms review completed.		15,356	528.61	8,117,325	
Examine And Regulate Financial Services Companies To Ensure Regulatory Compliance. * Examinations of non-depository financial service companies to determine compliance with regulations.		317	20,342.26	6,448,498	
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.		27,952	88.35	2,469,576	
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.		216	55,081.99	11,897,709	
Examine And Enforce Laws Regarding International Financial Institutions To Ensure Safety And Soundness. * Number of international financial institutions examined to ensure safety and soundness.		25	29,871.96	746,799	
Conduct Financial Investigations Into Allegations Of Fraudulent Activity. * Number of financial investigations into allegations of fraudulent activity.		189	19,642.49	3,712,431	
Examine And Regulate Money Services Businesses To Ensure Regulatory Compliance * Examinations of money services businesses conducted to determine compliance with regulations.		600	4,821.42	2,892,850	
Examine And Regulate Securities Firms, Branches To Ensure Regulatory Compliance. * Conducted examinations of securities firms and branches.		272	21,891.12	5,954,385	
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.		54,307	47.00	2,552,451	
TOTAL				245,912,715	172,834
SECTION III: RECONCILIATION TO BUDGET					
PASS THROUGHS					
TRANSFER - STATE AGENCIES					
AID TO LOCAL GOVERNMENTS					
PAYMENT OF PENSIONS, BENEFITS AND CLAIMS					
OTHER					
REVERSIONS					
TOTAL BUDGET FOR AGENCY (Total Activities + Pass Throughs + Reversions) - Should equal Section I above. (4)					
311,671,180					
188,000					

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.

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
43500400	1205000000	ACT1020	HOLOCAUST VICTIMS ASSISTANCE	299,722	
43010400	1602000000	ACT1040	INSURANCE CONSUMER ADVOCATE	642,138	
43010500	1603000000	ACT1050	INFORMATION TECHNOLOGY - FLAIR	12,720,351	
43200100	1601000000	ACT2010	PASS THROUGH FROM PRISON INDUSTRY	750,000	
43200100	1601000000	ACT2190	ARTICLE V - CLERK OF THE COURTS	128,447	
43400100	1601000000	ACT4150	PURCHASE OF EXCESS INSURANCE	14,495,110	
43600100	1102020000	ACT6010	TRANSFER TO 1ST DISTRICT COURT OF	1,780,920	
43500400	1205000000	ACT9010	TRANSFER TO FLORIDA CATASTROPHIC	750,000	
43900110	1204000000	ACT9150	HURRICANE RATE/RISK MODEL	2,149,385	
43600100	1102020000	ACT9940	TRANSFER TO THE UNIVERSITY OF	241,080	

TOTALS FROM SECTION I AND SECTIONS II + III:

DEPARTMENT: 43	EXPENDITURES	FCO
FINAL BUDGET FOR AGENCY (SECTION I):	311,671,090	188,000
TOTAL BUDGET FOR AGENCY (SECTION III):	311,671,180	188,000
DIFFERENCE:	90-	
(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 2015-16 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 2015-16 Legislative Budget Request)

Schedule XIV – Variance from Long Range Financial Outlook

Schedule XIV Variance from Long Range Financial Outlook

Agency: Financial Services

Contact: Teri Madsen

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 2014 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 2014-2015 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 2015-2016 Estimate/Request Amount	
			Long Range Financial Outlook	Legislative Budget Request
a	Florida Accounting Information Resource (FLAIR) Overlap Positions	B	87,455	87,485
b	Florida Accounting Information Resource (FLAIR) Replacement	B	9,800,000	15,000,000
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.

a. Minor difference of 30 in salary benefits (General Revenue appropriation)

b. Difference is due to the contingency amount the department is requesting for the project. As the legislature appropriated in FY 2014/15, DFS will request a contingency amount for the project. As for total costs, we do not see a variance from the \$9.8 in the Long Range Financial Outlook document. (Trust Fund appropriation)

* 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 2015-16 Legislative Budget Request)

Schedule IV-B - Information Technology Projects

(Only the Department of Financial Services has a submission for
this schedule for FY 2015-16 Legislative Budget Request)

FLAIR AND CMS REPLACEMENT

For Fiscal Year 2015-16



July 1, 2015

DEPARTMENT OF FINANCIAL SERVICES

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I. Schedule IV-B Cover Sheet

Schedule IV-B Cover Sheet and Agency Project Approval	
Agency: Department of Financial Services	Schedule IV-B Submission Date: 10/15/2014
Project Name: FLAIR and CMS Replacement	Is this project included in the Agency's LRPP? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
FY 2015-2016 LBR Issue Code: 36105C0	FY 2015-2016 LBR Issue Title: FLAIR Replacement
Agency Contact for Schedule IV-B (Name, Phone #, and E-mail address): Tara Kyvik, 850.413.2245, Tara.Kyvik@myfloridacfo.com Melissa Turner, (850) 410-9024, Melissa.Turner@myfloridacfo.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: Jeff Atwater	Date:
Agency Chief Information Officer (or equivalent): Printed Name: Charles Ghini	Date:
Budget Officer: Printed Name: Teri Madsen	Date:
Planning Officer: Printed Name:	Date:
Project Sponsor: Printed Name: Charles Ghini, Christina Smith, Bert Wilkerson	Date:
Schedule IV-B Preparers (Name, Phone #, and E-mail address):	
Business Need:	
Cost Benefit Analysis:	
Risk Analysis:	
Technology Planning:	
Project Planning:	

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

The Florida Constitution (s. 4(c), Article IV) and Florida Statutes (Section 17.001 and 215.94, F.S.) identify the Chief Financial Officer (CFO) as the chief fiscal officer. By virtue of the position, the CFO is responsible for the Florida Accounting Information Resource Subsystem (FLAIR) and the Cash Management Subsystem (CMS). By statute (Section 215.94, F.S.) the Department of Financial Services (DFS, Department) is the functional owner of FLAIR.

As a result of the proviso language in Section 6 of the 2013 General Appropriations Act, the Department procured the services of North Highland, an independent consulting firm with experience in planning public sector technology projects, to complete a study (FLAIR Study) and to recommend either enhancing or replacing FLAIR. For the study, the joint team of DFS and North Highland is referenced as the FLAIR Study Team (Team). Also, the study includes an inventory of agency business systems interfacing with FLAIR (Inventory) and an assessment of the feasibility of implementing an Enterprise Resource Planning (ERP) System for the State of Florida.

The FLAIR Study adhered to the requirements set forth in the 2013 GAA Proviso and in Section 287.0571 (4), F.S. Scope items included:

- Prepare an inventory of agency business systems interfacing with FLAIR
- Assess the advantages and disadvantages of enhancing FLAIR
- Assess the advantages and disadvantages of replacing:
 - FLAIR (Departmental, Central, IW, and Payroll components)
 - FLAIR and CMS
 - FLAIR, CMS, MFMP, and People First
 - Assess the feasibility of implementing an ERP system for the State of Florida
- Identify any specific changes needed in the Florida Statutes and the State’s financial business practices to facilitate the recommended option
- Perform a study of the various go-forward options, provide a go-forward recommendation, and prepare a final report titled “FLAIR Study”
- Complete and deliver the following budget schedules with information obtained as part of the study where required:
 - Schedule IV-B – Information Technology Projects
 - Schedule XII – Outsourcing or Privatization of a Service or Activity (if applicable)
 - Schedule XIII, 1-3 – Cost/Benefit Analysis

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.

Through a rigorous exercise of strategy development with the DFS executive team, a vision and comprehensive set of goals was established as the basis to evaluate the alternatives for FLAIR from the 2013 GAA proviso. The selection of alternatives from the 2013 GAA proviso language had to support:

1. A reduction of the State's financial risk exposure through technology built on the premises of scalability, flexibility, and maintainability
2. Improvement in the State's specific decision making by capturing a consistent and an expandable set of data
3. Improvement in the State's financial management and accounting capabilities to enable more accurate oversight of budget and cash demands today and in the future
4. Improvement in state employee productivity, reduction of operational complexity and an increase of internal controls by enabling standardization and automation of business processes within and between DFS and the State's other governmental agencies

For the complete details of the Department's business objectives, refer to:

Chapter 1 of the [FLAIR Study](#), Section 1.5 Solution Goals and Benefits Must Support the Agency's Mission.

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.

FLAIR and CMS are references to a series of technical subcomponents performing various financial and cash management functions. The systems support the business aspects of the Division of Accounting and Auditing (A&A) and the Division of Treasury (Treasury) and state agency financial accounting.

FLAIR is a 30-year old system with an array of technology, old and new. The core technology was developed in the 1970s and implemented in the 1980s. While the software and hardware versions are relatively current, the construct of the internal software components and configuration (coding language is outdated within the database), and administration over the years present a rigid and fragile foundation in an environment requiring a dynamic response to economic, political and social changes.

Furthermore, the FLAIR programming language and data file structure are not commonplace and resources to support the technology are scarce in the market today. According to software industry analysts, the current programming language does not rank in the top 50 in-demand today. From an IT support perspective, over 40% of personnel supporting FLAIR have at least 30 years of service and are currently eligible for full retirement. As these employees retire it will represent a significant loss of institutional knowledge and technical expertise. Replacing the technical expertise of a market scarce resource is highly unlikely. Conclusively, the FLAIR staff members who may depart within the next five years are seasoned and experienced experts with many combined years of institutional knowledge presenting a significant risk for enhancement and support to FLAIR in the near future.

For CMS there is a similar, albeit more modern situation, regarding support staff. While a [significant](#) portion of CMS functionality has been replaced by more modern technology, the resource pool supporting and developing the modern components is constrained by a small number of existing, senior employees. It is challenging, if not unrealistic, to build an infrastructure to acquire and develop employees on a specific technical platform. This presents additional risk across the domain and functions of the Treasury.

FLAIR is comprised of four components to support accounts payable, accounts receivable, financial statements, cash projections and forecasting and state payroll processing:

- Central Accounting Component (Central FLAIR) – mostly used by A&A for auditing, maintains cash and budgetary balances, and functions for tax reporting
- Department Accounting Component (Departmental FLAIR) – used by all agencies to report general ledger balances, maintain detailed accounting records, manage assets, and administer vendor files used for payments
- Payroll – processes employee payments, tax reporting and other agency administrative payroll functions not performed by People First
- Information Warehouse (IW) – as a financial data repository, maintains five years of transaction history and used primarily to supply data to agency financial management systems

The Treasury receives and disburses cash, invests available balances, and performs related accounting functions, cash management operations, and consultations. The Treasury operates separate applications known collectively as CMS to carry out its responsibilities of monitoring cash levels and activities in State bank accounts, for keeping detailed records of cash transactions and investments for State agencies, and paying of warrants and other payments issued by the CFO. CMS interfaces with Central FLAIR, Departmental FLAIR, Department of Revenue systems, other State agency systems, and bank business partner systems.

For additional information on current business processes, functions and stakeholders, refer to the [FLAIR Study](#):

- Chapter 1, Section 1.3 Current State Performance
- Chapter 1, Section 1.5.2 Current State Challenges and Risks Require Action to be Taken Now
- Chapter 1, Section 1.8.1 CMS Business Application Summary

- Chapter 2, Section 2.2.1.2 Summary of Agency Information

2. Assumptions and Constraints

FLAIR is developed in rigid and antiquated software and has not been significantly upgraded in the context of modernizing the core modules. This rigid structure does not allow FLAIR to support the emerging business needs.

The specific analysis for assumptions and constraints are detailed in Chapter 1 of the FLAIR Study, Section 1.4 Limitations with FLAIR Today. Additional information may be found in Chapter 1 of the [FLAIR Study](#), Section 1.5.2 Current State Challenges and Risks Require Action to be Taken Now 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

To properly evaluate the solutions available to the State for improving its financial management system, the FLAIR Study Team defined the following minimum set of capabilities which represent the high level business process requirements the new system should meet:

- The mission of the CFO and other existing statutes
- The limitations to financial management posed by the current FLAIR system
- The State's guiding principles, goals, and objectives for a new solution for financial management
- Research into how Florida Agencies, other states and the software market have responded to the challenges caused by FLAIR's current limitations

For the minimum set of capability requirements to meet the new Florida financial management system, refer to Chapter 2 of the [FLAIR Study](#), Section 2.3.1 Minimum Capabilities of a New Financial System. Business Solution Alternatives

The 2013 GAA Proviso language for the FLAIR Study project included requirements to evaluate the following solutions as to how best they would address the current, aforementioned limitations:

1. Enhance FLAIR
2. Replace FLAIR
3. Replace FLAIR and CMS
4. Replace FLAIR, CMS, MFMP and People First

For the full discussion of the business solution alternatives, reference Chapter 2 of the [FLAIR Study](#), Section 2.3.3 Option Descriptions.

2. Rationale for Selection

Based on the analysis completed in the FLAIR Study Project the recommendation is the State of Florida should replace FLAIR and CMS with an ERP solution (Option 3).

This option was selected based on information collected from the market conditions and trends and the analysis of both qualitative and quantitative factors, including:

- Alignment to Goals and Objectives
- Cost Comparison
- Benefits Comparison
- Risk Analysis

Prior to undertaking the implementation of Option 3, an enhanced governance structure must be established.

For the complete rationale of this selection, refer to Chapter 3 of the [FLAIR Study](#).

3. 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.

The recommended business solution from the FLAIR Study is Option 3: Replace FLAIR and CMS. Option 3 includes an ERP solution to replace the four main components of FLAIR and select components of CMS.

- Central FLAIR
- Departmental FLAIR
- Information Warehouse
- Payroll
- Cash Management
- Accounting Management

For the details of the recommended option, refer to Chapter 2 of the [FLAIR Study](#), Section 2.3.3.3 Option 3: Replace FLAIR and CMS.

C. Functional and Technical Requirements

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

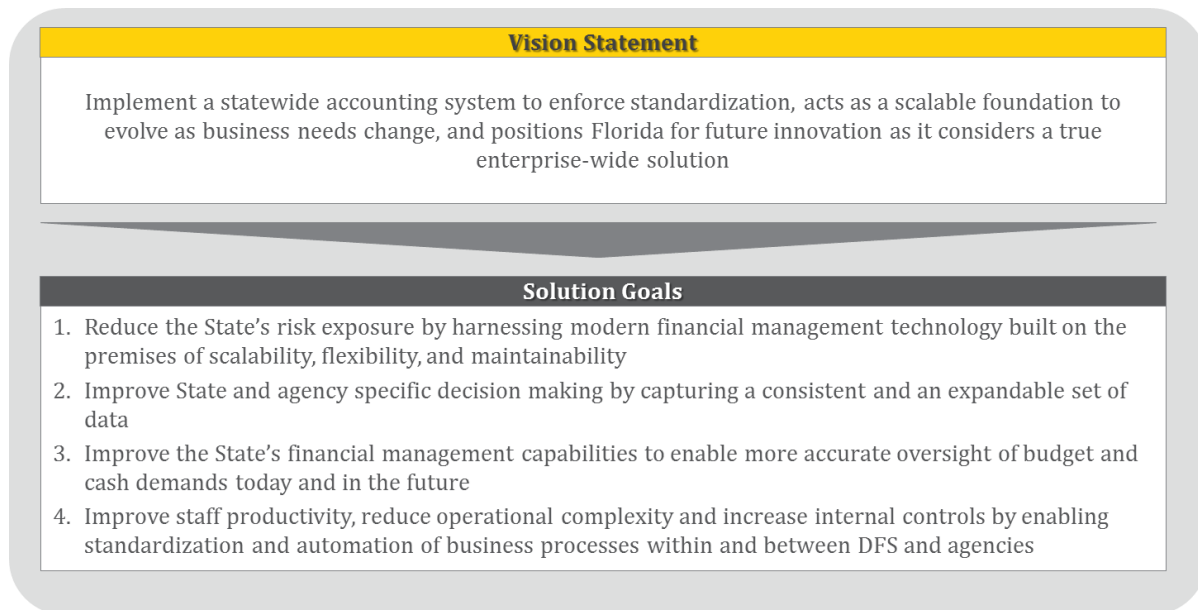
The State must have a financial system to maintain its official accounting records to meet the obligations of the CFO and DFS who are governed by state and federal requirements. The system must accurately process and account for State revenues, expenditures and expenses, assets, liabilities, and cash flows on a cash, modified accrual, and full accrual bases. The system must apply budgetary and funds availability edits consistent with Florida Statutes. The system must support preparation of the State's Comprehensive Annual Financial Report (CAFR), including the ability to conform to published pronouncements for state governments.

The objective of this Schedule IV-B Feasibility Study is to secure funding to embark on a significant business transformation effort. This project will result in the detailed construction of the functional and technical requirements for the FLAIR and CMS Replacement Project. In general terms, the required system capability analysis is located in Chapter 2 of the [FLAIR Study](#), Exhibit 2-9 System Function Comparison by Option and Section 2.5.4 Required System Capability Justification

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.

The FLAIR Study vision statement sets the future direction. It is critical to have defined goals aligned to the vision and, if they are realized, they address the current FLAIR limitations, support the mission, and deliver business value. The solution goals identified for the FLAIR Study are:



For the project to be successful, during the first two years of the FLAIR and CMS Replacement Project, the Department will conduct Pre-Design, Development and Implementation (Pre-DDI) activities prior to selecting the software and system integrator. The activities include the following:

- Business Process Re-engineering
- Procurement Support
- Organizational Change Management
- Project Management Office
- Workforce Transition
- Systems and Data Strategy

These projects will enable the Department to move from the current state to a prepared state when the system integrator arrives to implement the new ERP system. Specific to this movement is the

completion of the business process re-engineering project. This project will establish the baseline goals and measurement criteria.

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 from the replacement of FLAIR will be realized at the completion of each phase of the implementation. The expected benefits are derived from reduced risk and improve operational performance. During the first two years of the project when business process re-engineering is performed, current benchmarks of specific business processes will be documented to enable measurement of process improvements.

For additional information on the expected benefits, refer to Chapter 2 of the [FLAIR Study](#), Section 2.4.3 Benefits Comparison.

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	Reduction of the State’s financial risk exposure through technology built on the premises of scalability, flexibility, and maintainability	DFS	Reduction of employee time spent on non-value added maintenance and the ability to address system changes/enhancement requests on a timely basis.	Employee time spent on maintenance activities	06/22
2	Improvement in the State’s specific decision making by capturing a consistent and an expandable set of data	DFS and State Agencies	Increased standardization in capture of transactional data and improved reporting	Reduction in individual agency reporting solutions	06/22
3	Improvement in the State’s financial management and accounting capabilities to enable more accurate oversight of budget and cash demands today and	DFS and State Agencies	Improved Cash Management, reduced time to reconcile transactions, enhanced financial reporting due to automated	Agency time spent reconciling cash, cash management optimization, agency time spent managing	06/22

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)
	in the future		encumbrances/payables	budget	
4	Improvement in state employee productivity, reduction of operational complexity and an increase of internal controls by enabling standardization and automation of business processes within and between DFS and the State's other governmental agencies	DFS and State Agencies	Reduced time performing redundant data entry and reconciliation, reformatting reports, etc.	Amount of employee time spent performing transactions vs. time spent performing analysis and other higher value activities	06/22

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.

Cost Benefit Analysis	
Form	Description of Data Captured
CBA Form 1 - Net Tangible Benefits	<p>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 divisions impacted by the proposed project.</p> <p>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.</p>
CBA Form 2 - Project Cost Analysis	<p>Baseline Project Budget: Estimated project costs.</p> <p>Project Funding Sources: Identifies the planned sources of project funds, e.g., General Revenue, Trust Fund, Grants.</p> <p>Characterization of Project Cost Estimate.</p>

Cost Benefit Analysis	
Form	Description of Data Captured
CBA Form 3 - Project Investment Summary	<p>Investment Summary Calculations: Summarizes total project costs and net tangible benefits and automatically calculates:</p> <ul style="list-style-type: none"> • Return on Investment • Payback Period • Breakeven Fiscal Year • Net Present Value • Internal Rate of Return

Notes regarding the CBA:

- a. Tab 1 – CBA Form 1A Net Tangible Benefits
 - i. FY 2015-16 (project year 2)
 1. Existing Program Costs Column – Reflects the 2014 appropriation and actual costs that are appearing for FY 2014-15 in the Project Spending Plan.
 2. Operational Cost Change Column
 - a. The \$1,722,775 identified for State FTEs S&B includes the \$438,184 for the 3 new FTEs, plus the additional amount required to fix underestimation in S&B.
 - b. DFS would also like to explore the option of having the flexibility to offer certain candidates the option to work OPS instead of FTE.
 - c. Requesting additional \$8,000 for training (total \$10,000). Course topic(s) has/have not yet been identified.
 - d. Last year DFS identified \$5.1M in contingency budget for FY15-16; this amount is reduced by the amount needed to correct S&B.
 - ii. FY 2016-17 (project year 3) – These numbers come from the FLAIR Study and will likely change as detailed project planning continues.
 1. Much of the increase shown in FY 2016-17 is based on the FLAIR Study implementation plan showing the purchase of hardware, software, and contracting with system integrator.
 2. The increase of \$10M for training is noteworthy because it includes the cost of employee time to attend training: 2,140 users * \$1500 per week (S&B)* 3 weeks. DFS will refine this number as the team begins detailed planning for FY 2016-17.
 - iii. FY 2017-18 (project year 4) – These numbers also come from the FLAIR Study and will likely change as detailed project planning continues. The reductions reflect that some of the FY 2016-17 purchases do not recur on an annual basis. It also reflects the assumption that costs for maintenance plans will be paid in the year the equipment or software is purchased.
- b. Tab 1 – CBA Form 1B Characterization of Project Benefit Estimate – While a thorough analysis was conducted to develop the Total Cost of Ownership Model complementing the FLAIR Study report, as we are performing detailed project planning, we are finding that some estimates and assumptions are off ; therefore, the Characterization has been moved to Order of Magnitude – 25%.
- c. Tab 2 – CBA Form 2 – Project Cost Analysis – This tab has been left blank. Please refer to the FLAIR Study Cost Model v103 for the Project Cost Analysis.
- d. Tab 3 – CBA Form 2B Project Funding Sources
 - i. Fiscal years 2016-17 and 2017-18 reflect amounts of GR funding that were recently

published in EDR's three-year plan.
e. Tab 3 – CBA Form 2C Characterization of Project Cost Estimate – While a thorough analysis was conducted to develop the Total Cost of Ownership Model complementing the FLAIR Study report, as we are performing detailed project planning, we are finding that some estimates and assumptions are off ; therefore, the Characterization has been moved to Order of Magnitude – 25%.

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.

A. Risk Assessment Summary

The Risk Assessment Summary is included in Appendix B.

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

FLAIR (see Exhibit 1 FLAIR/CMS Current Environment) is the State's accounting system. It supports the accounting and financial management functions for the State's CFO including budget posting, receipt and disbursement of funds, payroll processing and employee portal, and the accounting information for the State's Comprehensive Annual Financial Report (CAFR).

FLAIR consists of the following components:

- **Payroll Accounting:** Processes the State's payroll. Payroll capabilities are contained within FLAIR.
- **Central Accounting:** Maintains cash basis records and is used by the CFO to ensure expenditures are made in accordance with the legislative appropriations. It contains cash balances and budget records as well as supports tax reporting; it is not a comprehensive General Ledger.
- **Departmental Accounting:** Maintains agencies' accounting records and is utilized at the end of each fiscal year to prepare financial statements in accordance with generally accepted accounting principles.
- **Information Warehouse:** A data repository and reporting system allowing users to access Central Accounting information and most Departmental Accounting information in FLAIR. The IW receives data from Central FLAIR, Departmental FLAIR, and Payroll.

The Treasury receives and disburses cash, invests available balances, and performs related accounting functions, cash management operations, and consultations. The Treasury operates separate applications known collectively as CMS to carry out its responsibilities of monitoring cash levels and activities in State bank accounts, for keeping detailed records of cash transactions and investments for State agencies, and paying of warrants and other payments issued by the CFO. CMS interfaces with Central FLAIR, Departmental FLAIR, Department of Revenue systems, the Information Warehouse, other State agency systems, and bank business partner systems.

The Treasury ~~is in the process of upgrading the upgraded a portion of the~~ current CMS platform to a web-based system ~~in August 2013. The upgrade will occur in two phases. Phase 1 went live in August 2013 and~~ This upgrade established a new integrated platform and replaced three existing business applications including Verifies, Receipts, and Chargebacks. ~~Phase 2 will replace the remaining CMS subsystem applications and add the capabilities to the new integrated CMS platform developed in Phase 1. Phase 2 is scheduled to implement in stages from 2014 through 2018.~~

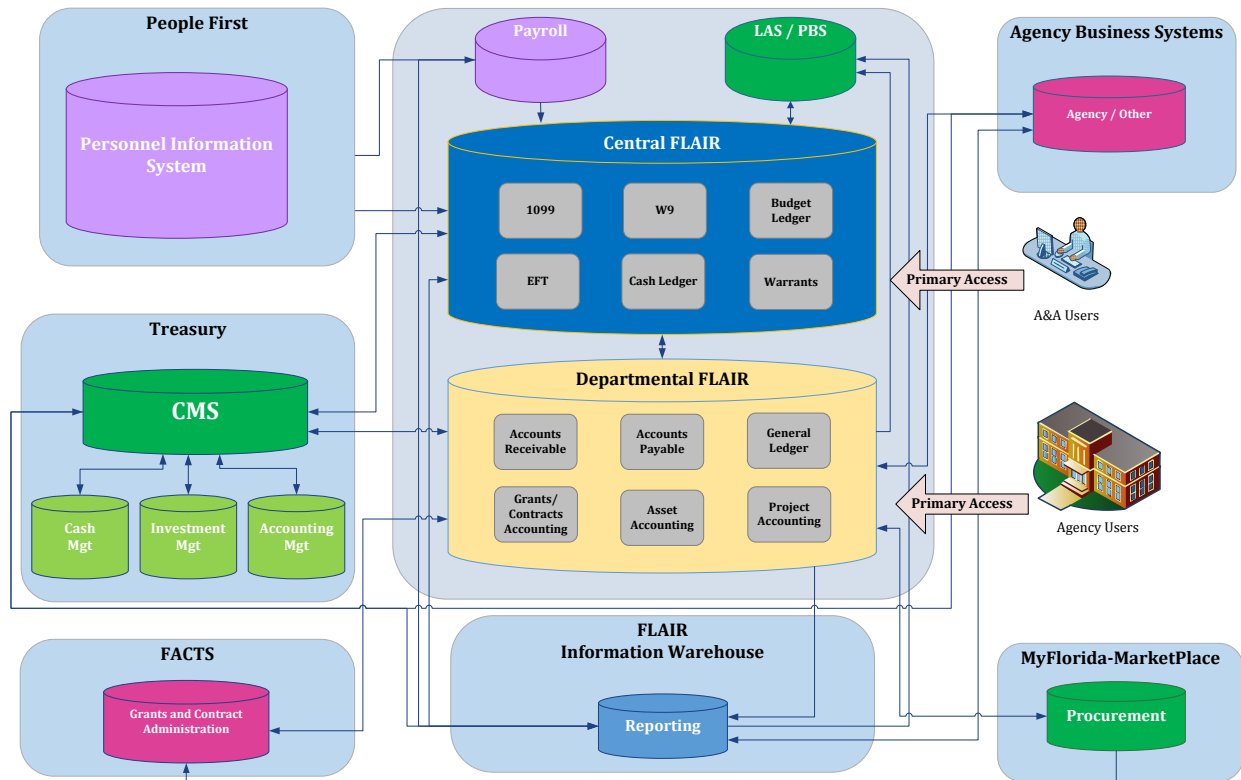


Exhibit 1 FLAIR/CMS Current Environment

FLAIR was implemented in the early 1980s based on source code from the 1970s. It runs on a mainframe and is used by 36 state agencies with approximately 14,000+ individual users at 400+ accounting office sites throughout the State. FLAIR supports the financial oversight management of the State's \$90 billion budget and processes more than 95 million accounting transactions annually. FLAIR also pays 180,000 State personnel annually.

FLAIR is primarily a batch system, accessed via terminal emulation with no graphical interface. The mainframe and related database and software technology are difficult to maintain and do not fit with the Department's desired hardware and software platform standards. The current FLAIR and CMS architecture is neither flexible nor adaptable. The "siloes" design between FLAIR components presents challenges in making modifications and is not conducive to supporting the industry standard required number of instances necessary to support enterprise applications.

b. Current system resource requirements

The FLAIR programming language and data file structure are not commonplace and resources to support the technology are scarce in the market today. According to software industry analysts, the current programming language does not rank in the top 50 in-demand today. From an IT support perspective, approximately 42% of FLAIR technical support employees have 30 or more years of service. As these employees retire it will represent a significant loss of institutional knowledge and technical expertise. Replacing the technical expertise of a market scarce resource is highly unlikely. Conclusively, the FLAIR staff members who may depart within the next five years are seasoned and

experienced experts with many combined years of institutional knowledge presenting a significant risk for enhancement and support to FLAIR in the near future.

For CMS there is a similar, albeit more modern situation, regarding support staff. While a portion of CMS functionality has been replaced by more modern technology, the resource pool supporting and developing the modern components is constrained by a small number of existing, senior employees. This presents additional risk across the domain and functions of the Treasury. Mitigating the risk by building a complete programming support organization is unrealistic.

c. Current system performance

FLAIR currently meets the minimum requirements to manage the accounts of the State, and is not meeting the needs of DFS or the state's agencies. Some of the major concerns that agencies have with FLAIR include:

- Agencies have financial management needs which are not being met by FLAIR and have therefore implemented their own systems to meet these needs
- The current design of FLAIR creates complex manual processing requirements and produces delays in processing times
- Integration with FLAIR is technically difficult, and the technology used causes limitations to agency functionality

Agencies have had to develop reporting capabilities and workaround solutions due to limitations in FLAIR.

Prior to 2013, the Treasury used fourteen different applications which were developed at various points in time between 1984 and 2002¹. The net result of the various application development efforts was multiple database platforms to support multiple programming languages. The difficulty to maintain adequate resources with the complex skill set needed to support such a variety of platforms, and integration among platforms can become a challenge. Furthermore, from a business perspective, processes can be disjointed and interrupted creating multiple entry points for inefficient and ineffective practices. The Treasury functions CMS serves are:

- Cash Management
- Investment Management
- Accounting Management

Treasury embarked on a ~~two phase~~ modernization effort which began in 2009². ~~Phase 1~~ This effort included an integrated application to support cash management processes including receipts, verifications, and chargebacks ultimately updating the bank and state account applications. The ~~first phase of the~~ modernization effort was implemented in August 2013. Also in 2013, the Treasury began the second phase of modernization and this phase includes various processes for consolidated revolving accounts, investment accounting, trust fund accounting, warrants,

¹ DFS Treasury Cash Management System Modular Redesign Project Justification, 10/27/2009

² Cash Management System, Project Management Plan, Department of Financial Services, 12/16/2011

~~disinvestments, archives, agency repository, and replacement of bank and state accounts. This phase is in progress with an estimated completion date of 2018.~~

For additional information on current system performance and limitations, refer to the [FLAIR Study](#):

- Chapter 1, Section 1.3 Current State Performance
- Chapter 2, Section 2.2.1.2 Summary of Agency Information

2. Information Technology Standards

FLAIR is the system of record for the State of Florida financial transactions. There is currently no development or test environment for the system making any changes both difficult and risky. The current nightly batch process takes most of the night and can therefore only run one time in a 24 hour cycle, presenting a significant limitation to user productivity and causing some complex transactions to take up to five days to process.

B. Current Hardware and/or Software Inventory

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

FLAIR operates on the DIS mainframe. It is custom developed software with no warranty or commercial support available. The system has significant limitations including those outlined above in section A.1.c Current System Performance. Current FLAIR maintenance costs are included in the attached cost forms.

For additional information on FLAIR functionality and limitations, refer to the [FLAIR Study](#):

- Chapter 1, Section 1.3 Current State Performance
- Chapter 2, Section 2.2.1.2 Summary of Agency Information

C. Proposed Solution Description

1. Summary description of proposed system

The proposed replacement to FLAIR is a modern ERP system that will replace the four main components of FLAIR listed below and the Cash Management System in a single, integrated system:

- Central FLAIR
- Departmental FLAIR
- Information Warehouse
- Payroll

Key functionality of the new system will include:

- Budget Ledger

- Cash Ledger
- General Ledger
- Accounts Receivable
- Accounts Payable (Including W9, EFT, 1099, and Warrants)
- Project Accounting
- Asset Accounting
- Grants Accounting
- Information Warehouse / Reporting
- Payroll
- Cash Management (including Receipt Verification, Chargebacks, Trust Fund Accounting, Investment Accounting, Disinvestments, and Bank Accounts)

The following diagram represents the proposed FLAIR and CMS replacement architecture at a high level.

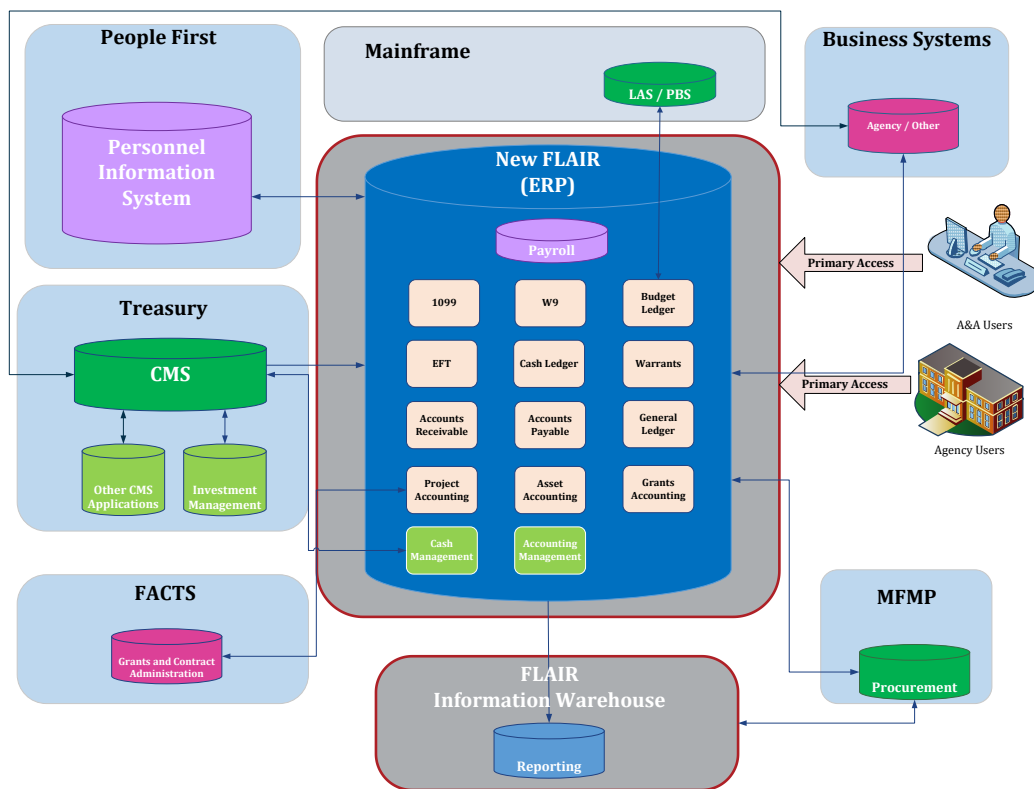


Exhibit 2 FLAIR/CMS Future Environment

The FLAIR and CMS Replacement Project is expected to last twelve years from initial assessment through final implementation. The funding requirements and requested resources are included in Appendix A. Additional information on the expected resource and funding requirements can be found in Chapter 2 of the [FLAIR Study](#), Section 2.3.3.3 Option 3: Replace FLAIR and CMS

2. Resource and summary level funding requirements for proposed solution (if known)

Resource requirements and summary level resource requirements for the initial phase of the project are included in Appendix A. A high level summary of the included functionality is included in Chapter 2 of the [FLAIR Study](#), Sections 2.3.3 Option Descriptions, 2.3.1 Minimum Capabilities of a New Financial System, and 2.5.4 Required System Capability Justification.

Specific technology platform, infrastructure, and data center requirements will be determined as part of the Pre-DDI phase when the ERP software is selected. Additional details on the activities which will be performed during the Pre-DDI phase are included in Chapter 4 of the [FLAIR Study](#), Section 4.1.1 Pre-DDI Phase & Project Tracks.

D. Capacity Planning (historical and current trends versus projected requirements)

FLAIR is currently used by approximately 14,000+ individual users at over 400 accounting office sites throughout the State. It processes more than 95 million accounting transactions annually. FLAIR also pays 180,000 State personnel annually.

The specific capacity of the FLAIR and CMS replacement solution will be defined after the detailed requirements are documented and should be available at the end of the Pre-DDI phase. It is expected that the number of users and transactions will significantly increase in future years as the State takes advantage of expanded functionality.

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.

Please refer to Chapter 4 of the [FLAIR Study](#) - Implementation Strategy

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.

In order to be successful, the implementation strategy to support the replacement of FLAIR and CMS must consider the following elements:

- An enhanced and effective governance structure at the enterprise and overall project level
- The business and IT organizational units will undergo significant transformation
- Extensive communication and coordination with the state agencies directly supports success

- The Florida financial repository requires an overhaul starting with the creation of a system and data strategy
- Business process standardization is imperative to support any future benefits gained from replacing FLAIR and CMS with an ERP solution

Based on the above, great thought has been given to the implementation strategy and it will occur in smaller “steps” as described below:

- The first two years will consist of activities to prepare DFS for implementation
- The first implementation will consist of the implementation of a new ERP for core FLAIR and CMS functions
- A pilot will be held prior to full implementation
- Waved rollouts will occur with the agencies

This approach allows the State to adequately prepare and incorporate lessons learned when moving through the full implementation.

The replacement of FLAIR and CMS with an ERP solution is a large, multi-year, complex project. A comprehensive implementation strategy and approach is required before executing any implementation activities.

The FLAIR and CMS Replacement Project involves changes to long standing business practices, affects employee duties, job functions and roles and involves multiple organizations. Effective organizational change management requires a carefully planned implementation which is collaborative and highly leveraged with state resources in each agency.

The general assumption for this implementation strategy is DFS and agency resources are retrained and redeployed during the overall transition from the existing legacy FLAIR and CMS environment to the new ERP FLAIR and CMS environment.

For the details of the implementation strategy including the project management planning, refer to Chapter 4 of the [FLAIR Study](#).

VIII. Appendices

FLAIR and CMS Replacement Appendices	
Appendix	Description
A	Cost Benefit Analysis Workbook
B	Rick Assessment Tool
Link to the FLAIR Study	http://www.myfloridacfo.com/Division/AA/FLAIRStudy.htm

CBAForm 1 - Net Tangible Benefits

Agency	<u>Dept. of Financial Services</u>	Project	<u>FLAIR & CMS Replacement</u>
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Net Tangible Benefits - Operational Cost Changes (Costs of Current Operations versus Proposed Operations as a Result of the Project) and Additional Tangible Benefits -- CBAForm 1A															
Agency <i>(Operations Only -- No Project Costs)</i>	FY 2015-16			FY 2016-17			FY 2017-18			FY 2018-19			FY 2019-20		
	(a)	(b)	(c) = (a)+(b)	(a)	(b)	(c) = (a) + (b)	(a)	(b)	(c) = (a) + (b)	(a)	(b)	(c) = (a) + (b)	(a)	(b)	(c) = (a) + (b)
	Existing Program Costs	Operational Cost Change	New Program Costs resulting from Proposed Project	Existing Program Costs	Operational Cost Change	New Program Costs resulting from Proposed Project	Existing Program Costs	Operational Cost Change	New Program Costs resulting from Proposed Project	Existing Program Costs	Operational Cost Change	New Program Costs resulting from Proposed Project	Existing Program Costs	Operational Cost Change	New Program Costs resulting from Proposed Project
A. Personnel -- Total FTE Costs (Salaries & Benefits)	\$1,145,216	\$1,722,775	\$2,867,991	\$2,867,991	\$3,737,400	\$6,605,391	\$6,605,391	\$3,783,005	\$10,388,396	\$0	\$0	\$0	\$0	\$0	\$0
A.b Total FTE	22.00	3.00	25.00	25.00	47.00	72.00	72.00	37.00	109.00	0.00	0.00	0.00	0.00	0.00	0.00
A-1.a. State FTEs (Salaries & Benefits)	\$1,145,216	\$1,722,775	\$2,867,991	\$2,867,991	\$3,737,400	\$6,605,391	\$6,605,391	\$3,783,005	\$10,388,396	\$0	\$0	\$0	\$0	\$0	\$0
A-1.b. State FTEs (# FTEs)	22.00	3.00	25.00	25.00	47.00	72.00	72.00	37.00	109.00	0.00	0.00	0.00	0.00	0.00	0.00
A-2.a. OPS FTEs (Salaries)	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
A-2.b. OPS FTEs (# FTEs)	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
A-3.a. Staff Augmentation (Contract Cost)	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
A-3.b. Staff Augmentation (# of Contract FTEs)	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
B. Data Processing -- Costs	\$0	\$0	\$0	\$0	\$7,458,810	\$7,458,810	\$7,458,810	(\$6,790,482)	\$668,328	\$0	\$0	\$0	\$0	\$0	\$0
B-1. Hardware	\$0	\$0	\$0	\$0	\$2,500,000	\$2,500,000	\$2,500,000	(\$2,500,000)	\$0	\$0	\$0	\$0	\$0	\$0	\$0
B-2. Software	\$0	\$0	\$0	\$0	\$4,958,810	\$4,958,810	\$4,958,810	(\$4,290,482)	\$668,328	\$0	\$0	\$0	\$0	\$0	\$0
B-3. Other <i>Specify</i>	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
C. External Service Provider -- Costs	\$5,380,375	\$2,563,015	\$7,943,390	\$7,943,390	\$12,423,108	\$20,366,498	\$20,366,498	\$5,064,100	\$25,430,598	\$0	\$0	\$0	\$0	\$0	\$0
C-1. Consultant Services	\$0	\$0	\$0	\$0	\$12,093,811	\$12,093,811	\$12,093,811	\$5,705,256	\$17,799,067	\$0	\$0	\$0	\$0	\$0	\$0
C-2. Maintenance & Support Services	\$0	\$0	\$0	\$0	\$794,400	\$794,400	\$794,400	(\$750,000)	\$44,400	\$0	\$0	\$0	\$0	\$0	\$0
C-3. Network / Hosting Services	\$0	\$0	\$0	\$0	\$222,000	\$222,000	\$222,000	\$0	\$222,000	\$0	\$0	\$0	\$0	\$0	\$0
C-4. Data Communications Services	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
C-5. Other <i>Pre Design, Develop, Implementation</i>	\$5,380,375	\$2,563,015	\$7,943,390	\$7,943,390	(\$687,103)	\$7,256,287	\$7,256,287	\$108,844	\$7,365,131	\$0	\$0	\$0	\$0	\$0	\$0
D. Plant & Facility -- Costs (including PDC services)	\$288,971	\$17,060	\$306,031	\$306,031	\$877,878	\$1,183,909	\$1,183,909	\$233,240	\$1,417,149	\$0	\$0	\$0	\$0	\$0	\$0
E. Others -- Costs	\$2,132,263	\$1,750,325	\$3,882,588	\$20,000	\$10,340,535	\$10,360,535	\$10,360,535	(\$9,162,603)	\$1,197,932	\$0	\$0	\$0	\$0	\$0	\$0
E-1. Training	\$2,000	\$8,000	\$10,000	\$10,000	\$10,350,535	\$10,360,535	\$10,360,535	(\$9,162,603)	\$1,197,932	\$0	\$0	\$0	\$0	\$0	\$0
E-2. Travel	\$10,000	\$0	\$10,000	\$10,000	(\$10,000)	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
E-3. Other <i>Contingency Budget (reserves)</i>	\$2,120,263	\$1,742,325	\$3,862,588	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Total of Operational Costs (Rows A through E)	\$8,946,825	\$6,053,175	\$15,000,000	\$11,137,412	\$34,837,731	\$45,975,143	\$45,975,143	(\$6,872,740)	\$39,102,403	\$0	\$0	\$0	\$0	\$0	\$0
F. Additional Tangible Benefits:		\$0			\$0			\$0			\$0			\$0	
F-1. <i>Specify</i>		\$0			\$0			\$0			\$0			\$0	
F-2. <i>Specify</i>		\$0			\$0			\$0			\$0			\$0	
F-3. <i>Specify</i>		\$0			\$0			\$0			\$0			\$0	
Total Net Tangible Benefits:		(\$6,053,175)			(\$34,837,731)			\$6,872,740			\$0			\$0	

CHARACTERIZATION OF PROJECT BENEFIT ESTIMATE -- CBAForm 1B		
Choose Type	Estimate Confidence	Enter % (+/-)
Detailed/Rigorous <input type="checkbox"/>	Confidence Level	
Order of Magnitude <input checked="" type="checkbox"/>	Confidence Level	25%
Placeholder <input type="checkbox"/>	Confidence Level	

A	B		C	D	E	F	G	H	I	J	K	L	M	N	O	P	Q	R	S	T	
1	Dept. of Financial Services		FLAIR & CMS Replacement		CBAForm 2A Baseline Project Budget																
2	Costs entered into each row are mutually exclusive. Insert rows for detail and modify appropriation categories as necessary, but do not remove any of the provided project cost elements. Reference vendor quotes in the Item Description where applicable. Include only one-time project costs in this table. Include any recurring costs in CBA Form 1A.				FY2015-16			FY2016-17			FY2017-18			FY2018-19			FY2019-20			TOTAL	
3	\$ -				\$ -			\$ -			\$ -			\$ -			\$ -				
4	Item Description <i>(remove guidelines and annotate entries here)</i>	Project Cost Element	Appropriation Category	Current & Previous Years Project-Related Cost	YR 1 # YR 1 LBR YR 1 Base Budget		YR 2 # YR 2 LBR YR 2 Base Budget		YR 3 # YR 3 LBR YR 3 Base Budget		YR 4 # YR 4 LBR YR 4 Base Budget		YR 5 # YR 5 LBR YR 5 Base Budget		TOTAL						
5	Costs for all state employees working on the project.	FTE	S&B	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	\$ -	
6	Costs for all OPS employees working on the project.	OPS	OPS	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	\$ -	
7	Staffing costs for personnel using Time & Expense.	Staff Augmentation	Contracted Services	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	\$ -	
8	Project management personnel and related deliverables.	Project Management	Contracted Services	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	\$ -	
9	Project oversight (IV&V) personnel and related deliverables.	Project Oversight	Contracted Services	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	\$ -	
10	Staffing costs for all professional services not included in other categories.	Consultants/Contractors	Contracted Services	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	\$ -	
11	Separate requirements analysis and feasibility study procurements.	Project Planning/Analysis	Contracted Services	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	
12	Hardware purchases not included in Primary Data Center services.	Hardware	OCO	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	
13	Commercial software purchases and licensing costs.	Commercial Software	Contracted Services	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	
14	Professional services with fixed-price costs (i.e. software development, installation, project documentation)	Project Deliverables	Contracted Services	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	
15	All first-time training costs associated with the project.	Training	Contracted Services	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	
16	Include the quote received from the state data center for project equipment and services. Only include one-time project costs in this row. Recurring, project-related data center costs are included in CBA Form 1A.	Data Center Services - One Time Costs	Data Center Category	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	
17	Other contracted services not included in other categories.	Other Services	Contracted Services	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	
18	Include costs for non-state data center equipment required by the project and the proposed solution (insert additional rows as needed for detail)	Equipment	Expense	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	
19	Include costs associated with leasing space for project personnel.	Leased Space	Expense	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	
20	Other project expenses not included in other categories.	Other Expenses	Expense	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	
21	Total				\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	\$ -

CBAForm 2 - Project Cost Analysis

Agency	<u>Dept. of Financial Services</u>	Project	<u>FLAIR & CMS Replacement</u>
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PROJECT COST SUMMARY	PROJECT COST SUMMARY (from CBAForm 2A)					TOTAL
	FY 2015-16	FY 2016-17	FY 2017-18	FY 2018-19	FY 2019-20	
TOTAL PROJECT COSTS (*)	\$0	\$0	\$0	\$0	\$0	\$0
CUMULATIVE PROJECT COSTS <i>(includes Current & Previous Years' Project-Related Costs)</i>	\$0	\$0	\$0	\$0	\$0	\$0
Total Costs are carried forward to CBAForm3 Project Investment Summary worksheet.						

PROJECT FUNDING SOURCES	PROJECT FUNDING SOURCES - CBAForm 2B					TOTAL
	FY 2015-16	FY 2016-17	FY 2017-18	FY 2018-19	FY 2019-20	
General Revenue	\$0	\$25,500,000	\$18,300,000	\$0	\$0	\$43,800,000
Trust Fund	\$11,137,412	\$20,475,143	\$20,802,402	\$0	\$0	\$52,414,957
Federal Match <input type="checkbox"/>	\$0	\$0	\$0	\$0	\$0	\$0
Grants <input type="checkbox"/>	\$0	\$0	\$0	\$0	\$0	\$0
Other <input checked="" type="checkbox"/> Contingency	\$3,862,588	\$0	\$0	\$0	\$0	\$3,862,588
TOTAL INVESTMENT	\$15,000,000	\$45,975,143	\$39,102,402	\$0	\$0	\$100,077,545
CUMULATIVE INVESTMENT	\$15,000,000	\$60,975,143	\$100,077,545	\$100,077,545	\$100,077,545	

Characterization of Project Cost Estimate - CBAForm 2C			
Choose Type		Estimate Confidence	Enter % (+/-)
Detailed/Rigorous		Confidence Level	
Order of Magnitude	x	Confidence Level	25%
Placeholder		Confidence Level	

CBAForm 3 - Project Investment Summary

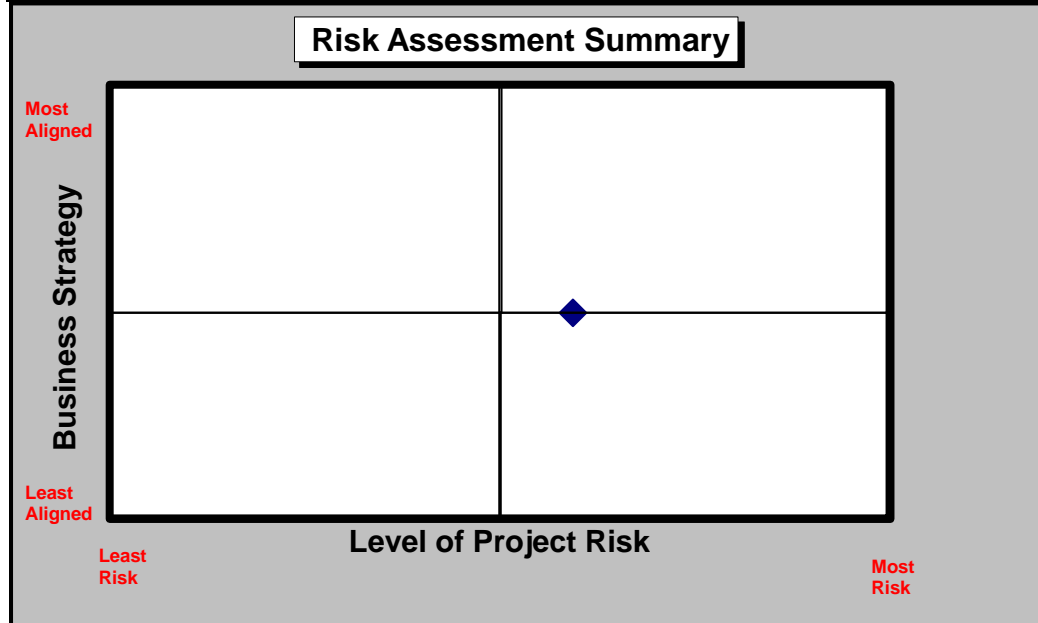
Agency	<u>Dept. of Financial Services</u>	Project	<u>FLAIR & CMS Replacemen</u>
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<i>COST BENEFIT ANALYSIS -- CBAForm 3A</i>						
	FY 2015-16	FY 2016-17	FY 2017-18	FY 2018-19	FY 2019-20	TOTAL FOR ALL YEARS
Project Cost	\$0	\$0	\$0	\$0	\$0	\$0
Net Tangible Benefits	(\$6,053,175)	(\$34,837,731)	\$6,872,740	\$0	\$0	(\$34,018,166)
Return on Investment	(\$6,053,175)	(\$34,837,731)	\$6,872,740	\$0	\$0	(\$34,018,166)
Year to Year Change in Program Staffing	3	47	37	0	0	

<i>RETURN ON INVESTMENT ANALYSIS -- CBAForm 3B</i>		
Payback Period (years)	NO PAYBACK	Payback Period is the time required to recover the investment costs of the project.
Breakeven Fiscal Year	NO PAYBACK	Fiscal Year during which the project's investment costs are recovered.
Net Present Value (NPV)	(\$33,120,334)	NPV is the present-day value of the project's benefits less costs over the project's lifecycle.
Internal Rate of Return (IRR)	NO IRR	IRR is the project's rate of return.

<i>Investment Interest Earning Yield -- CBAForm 3C</i>					
Fiscal Year	FY 2015-16	FY 2016-17	FY 2017-18	FY 2018-19	FY 2019-20
Cost of Capital	1.94%	2.07%	3.18%	4.32%	4.85%

Project	<i>FLAIR and CMS Replacement</i>	
Agency	<i>Department of Financial Services</i>	
FY 2014-15 LBR Issue Code:	FY 2014-15 LBR Issue Title:	
<i>36105C0</i>	<i>FLAIR REPLACEMENT</i>	
Risk Assessment Contact Info (Name, Phone #, and E-mail Address):		
<i>Melissa Turner, (850) 410-9024, melissa.turner@myfloridacfo.com</i>		
Executive Sponsor	<i>CFO Jeff Atwater</i>	
Project Manager	<i>Melissa Turner</i>	
Prepared By	<i>Melissa Turner</i>	<i>10/2/2014</i>



Project Risk Area Breakdown	
Risk Assessment Areas	Risk Exposure
Strategic Assessment	MEDIUM
Technology Exposure Assessment	MEDIUM
Organizational Change Management Assessment	HIGH
Communication Assessment	LOW
Fiscal Assessment	MEDIUM
Project Organization Assessment	MEDIUM
Project Management Assessment	MEDIUM
Project Complexity Assessment	HIGH
Overall Project Risk	HIGH

Agency: Department of Financial Services

Project: FLAIR and CMS Replacement

Section 1 -- Strategic Area			
#	Criteria	Values	Answer
1.01	Are project objectives clearly aligned with the agency's legal mission?	0% to 40% -- Few or no objectives aligned	81% to 100% -- All or nearly all objectives aligned
		41% to 80% -- Some objectives aligned	
		81% to 100% -- All or nearly all objectives aligned	
1.02	Are project objectives clearly documented and understood by all stakeholder groups?	Not documented or agreed to by stakeholders	Documented with sign-off by stakeholders
		Informal agreement by stakeholders	
		Documented with sign-off by stakeholders	
1.03	Are the project sponsor, senior management, and other executive stakeholders actively involved in meetings for the review and success of the project?	Not or rarely involved	Project charter signed by executive sponsor and executive team actively engaged in steering
		Most regularly attend executive steering committee	
		Project charter signed by executive sponsor and executive team actively engaged in steering committee meetings	
1.04	Has the agency documented its vision for how changes to the proposed technology will improve its business processes?	Vision is not documented	Vision is completely documented
		Vision is partially documented	
		Vision is completely documented	
1.05	Have all project business/program area requirements, assumptions, constraints, and priorities been defined and documented?	0% to 40% -- Few or none defined and documented	41% to 80% -- Some defined and documented
		41% to 80% -- Some defined and documented	
		81% to 100% -- All or nearly all defined and documented	
1.06	Are all needed changes in law, rule, or policy identified and documented?	No changes needed	Changes are identified in concept only
		Changes unknown	
		Changes are identified in concept only	
		Changes are identified and documented	
		Legislation or proposed rule change is drafted	
1.07	Are any project phase or milestone completion dates fixed by outside factors, e.g., state or federal law or funding restrictions?	Few or none	Few or none
		Some	
		All or nearly all	
1.08	What is the external (e.g. public) visibility of the proposed system or project?	Minimal or no external use or visibility	Moderate external use or visibility
		Moderate external use or visibility	
		Extensive external use or visibility	
1.09	What is the internal (e.g. state agency) visibility of the proposed system or project?	Multiple agency or state enterprise visibility	Multiple agency or state enterprise visibility
		Single agency-wide use or visibility	
		Use or visibility at division and/or bureau level only	
1.10	Is this a multi-year project?	Greater than 5 years	Greater than 5 years
		Between 3 and 5 years	
		Between 1 and 3 years	
		1 year or less	

Agency: Department of Financial Services

Project: FLAIR and CMS Replacement

Section 2 -- Technology Area			
#	Criteria	Values	Answer
2.01	Does the agency have experience working with, operating, and supporting the proposed technology in a production environment?	Read about only or attended conference and/or vendor presentation	Installed and supported production system more than 3 years
		Supported prototype or production system less than 6 months	
		Supported production system 6 months to 12 months	
		Supported production system 1 year to 3 years	
		Installed and supported production system more than 3 years	
2.02	Does the agency's internal staff have sufficient knowledge of the proposed technology to implement and operate the new system?	External technical resources will be needed for implementation and operations	External technical resources will be needed through implementation only
		External technical resources will be needed through implementation only	
		Internal resources have sufficient knowledge for implementation and operations	
2.03	Have all relevant technology alternatives/ solution options been researched, documented and considered?	No technology alternatives researched	All or nearly all alternatives documented and considered
		Some alternatives documented and considered	
		All or nearly all alternatives documented and considered	
2.04	Does the proposed technology comply with all relevant agency, statewide, or industry technology standards?	No relevant standards have been identified or incorporated into proposed technology	Proposed technology solution is fully compliant with all relevant agency, statewide, or industry standards
		Some relevant standards have been incorporated into the proposed technology	
		Proposed technology solution is fully compliant with all relevant agency, statewide, or industry standards	
2.05	Does the proposed technology require significant change to the agency's existing technology infrastructure?	Minor or no infrastructure change required	Extensive infrastructure change required
		Moderate infrastructure change required	
		Extensive infrastructure change required	
		Complete infrastructure replacement	
2.06	Are detailed hardware and software capacity requirements defined and documented?	Capacity requirements are not understood or defined	Capacity requirements are defined only at a conceptual level
		Capacity requirements are defined only at a conceptual level	
		Capacity requirements are based on historical data and new system design specifications and performance requirements	

Agency: Department of Financial Services

Project: FLAIR and CMS Replacement

Section 3 -- Organizational Change Management Area			
#	Criteria	Values	Answer
3.01	What is the expected level of organizational change that will be imposed within the agency if the project is successfully implemented?	Extensive changes to organization structure, staff or business processes	Extensive changes to organization structure, staff or business processes
		Moderate changes to organization structure, staff or business processes	
		Minimal changes to organization structure, staff or business processes structure	
3.02	Will this project impact essential business processes?	Yes	Yes
		No	
3.03	Have all business process changes and process interactions been defined and documented?	0% to 40% -- Few or no process changes defined and documented	0% to 40% -- Few or no process changes defined and documented
		41% to 80% -- Some process changes defined and documented	
		81% to 100% -- All or nearly all processes defined and documented	
3.04	Has an Organizational Change Management Plan been approved for this project?	Yes	Yes
		No	
3.05	Will the agency's anticipated FTE count change as a result of implementing the project?	Over 10% FTE count change	1% to 10% FTE count change
		1% to 10% FTE count change	
		Less than 1% FTE count change	
3.06	Will the number of contractors change as a result of implementing the project?	Over 10% contractor count change	1 to 10% contractor count change
		1 to 10% contractor count change	
		Less than 1% contractor count change	
3.07	What is the expected level of change impact on the citizens of the State of Florida if the project is successfully implemented?	Extensive change or new way of providing/receiving services or information)	Moderate changes
		Moderate changes	
		Minor or no changes	
3.08	What is the expected change impact on other state or local government agencies as a result of implementing the project?	Extensive change or new way of providing/receiving services or information	Extensive change or new way of providing/receiving services or information
		Moderate changes	
		Minor or no changes	
3.09	Has the agency successfully completed a project with similar organizational change requirements?	No experience/Not recently (>5 Years)	Recently completed project with fewer change requirements
		Recently completed project with fewer change requirements	
		Recently completed project with similar change requirements	
		Recently completed project with greater change requirements	

Agency: Agency Name

Project: Project Name

Section 4 -- Communication Area			
#	Criteria	Value Options	Answer
4.01	Has a documented Communication Plan been approved for this project?	Yes	Yes
		No	
4.02	Does the project Communication Plan promote the collection and use of feedback from management, project team, and business stakeholders (including end users)?	Negligible or no feedback in Plan	Proactive use of feedback in Plan
		Routine feedback in Plan	
		Proactive use of feedback in Plan	
4.03	Have all required communication channels been identified and documented in the Communication Plan?	Yes	Yes
		No	
4.04	Are all affected stakeholders included in the Communication Plan?	Yes	Yes
		No	
4.05	Have all key messages been developed and documented in the Communication Plan?	Plan does not include key messages	Some key messages have been developed
		Some key messages have been developed	
		All or nearly all messages are documented	
4.06	Have desired message outcomes and success measures been identified in the Communication Plan?	Plan does not include desired messages outcomes and success measures	Success measures have been developed for some messages
		Success measures have been developed for some messages	
		All or nearly all messages have success measures	
4.07	Does the project Communication Plan identify and assign needed staff and	Yes	Yes
		No	

Agency: Department of Financial Services

Project: FLAIR and CMS Replacement

Section 5 -- Fiscal Area			
#	Criteria	Values	Answer
5.01	Has a documented Spending Plan been approved for the entire project lifecycle?	Yes	Yes
		No	
5.02	Have all project expenditures been identified in the Spending Plan?	0% to 40% -- None or few defined and documented	41% to 80% -- Some defined and documented
		41% to 80% -- Some defined and documented	
		81% to 100% -- All or nearly all defined and documented	
5.03	What is the estimated total cost of this project over its entire lifecycle?	Unknown	Greater than \$10 M
		Greater than \$10 M	
		Between \$2 M and \$10 M	
		Between \$500K and \$1,999,999	
		Less than \$500 K	
5.04	Is the cost estimate for this project based on quantitative analysis using a standards-based estimation model?	Yes	No
		No	
5.05	What is the character of the cost estimates for this project?	Detailed and rigorous (accurate within ±10%)	Detailed and rigorous (accurate within ±10%)
		Order of magnitude – estimate could vary between 10-100%	
		Placeholder – actual cost may exceed estimate by more than 100%	
5.06	Are funds available within existing agency resources to complete this project?	Yes	No
		No	
5.07	Will/should multiple state or local agencies help fund this project or system?	Funding from single agency	Funding from single agency
		Funding from local government agencies	
		Funding from other state agencies	
5.08	If federal financial participation is anticipated as a source of funding, has federal approval been requested and received?	Neither requested nor received	Not applicable
		Requested but not received	
		Requested and received	
		Not applicable	
5.09	Have all tangible and intangible benefits been identified and validated as reliable and achievable?	Project benefits have not been identified or validated	Most project benefits have been identified but not validated
		Some project benefits have been identified but not validated	
		Most project benefits have been identified but not validated	
		All or nearly all project benefits have been identified and validated	
5.10	What is the benefit payback period that is defined and documented?	Within 1 year	No payback
		Within 3 years	
		Within 5 years	
		More than 5 years	
		No payback	

Agency: Department of Financial Services

Project: FLAIR and CMS Replacement

Section 5 -- Fiscal Area			
#	Criteria	Values	Answer
5.11	Has the project procurement strategy been clearly determined and agreed to by affected stakeholders?	Procurement strategy has not been identified and documented	Stakeholders have reviewed and approved the proposed procurement strategy
		Stakeholders have not been consulted re: procurement strategy	
		Stakeholders have reviewed and approved the proposed procurement strategy	
5.12	What is the planned approach for acquiring necessary products and solution services to successfully complete the project?	Time and Expense (T&E)	Combination FFP and T&E
		Firm Fixed Price (FFP)	
		Combination FFP and T&E	
5.13	What is the planned approach for procuring hardware and software for the project?	Timing of major hardware and software purchases has not yet been determined	Timing of major hardware and software purchases has not yet been determined
		Purchase all hardware and software at start of project to take advantage of one-time discounts	
		Just-in-time purchasing of hardware and software is documented in the project schedule	
5.14	Has a contract manager been assigned to this project?	No contract manager assigned	Contract manager assigned is not the procurement manager or the project manager
		Contract manager is the procurement manager	
		Contract manager is the project manager	
		Contract manager assigned is not the procurement manager or the project manager	
5.15	Has equipment leasing been considered for the project's large-scale computing purchases?	Yes	Yes
		No	
5.16	Have all procurement selection criteria and outcomes been clearly identified?	No selection criteria or outcomes have been identified	Some selection criteria and outcomes have been defined and documented
		Some selection criteria and outcomes have been defined and documented	
		All or nearly all selection criteria and expected outcomes have been defined and documented	
5.17	Does the procurement strategy use a multi-stage evaluation process to progressively narrow the field of prospective vendors to the single, best qualified candidate?	Procurement strategy has not been developed	Multi-stage evaluation and proof of concept or prototype planned/used to select best qualified vendor
		Multi-stage evaluation not planned/used for procurement	
		Multi-stage evaluation and proof of concept or prototype planned/used to select best qualified vendor	
		Multi-stage evaluation and proof of concept or prototype planned/used to select best qualified vendor	
5.18	For projects with total cost exceeding \$10 million, did/will the procurement strategy require a proof of concept or prototype as part of the bid response?	Procurement strategy has not been developed	Yes, bid response did/will include proof of concept or prototype
		No, bid response did/will not require proof of concept or prototype	
		Yes, bid response did/will include proof of concept or prototype	
		Not applicable	

Agency: Department of Financial Services

Project: FLAIR and CMS Replacement

Section 6 -- Project Organization Area			
#	Criteria	Values	Answer
6.01	Is the project organization and governance structure clearly defined and documented within an approved project plan?	Yes	Yes
		No	
6.02	Have all roles and responsibilities for the executive steering committee been clearly identified?	None or few have been defined and documented	All or nearly all have been defined and documented
		Some have been defined and documented	
		All or nearly all have been defined and documented	
6.03	Who is responsible for integrating project deliverables into the final solution?	Not yet determined	Agency
		Agency	
		System Integrator (contractor)	
6.04	How many project managers and project directors will be responsible for managing the project?	3 or more	3 or more
		2	
		1	
6.05	Has a project staffing plan specifying the number of required resources (including project team, program staff, and contractors) and their corresponding roles, responsibilities and needed skill levels been developed?	Needed staff and skills have not been identified	Some or most staff roles and responsibilities and needed skills have been identified
		Some or most staff roles and responsibilities and needed skills have been identified	
		Staffing plan identifying all staff roles, responsibilities, and skill levels have been documented	
6.06	Is an experienced project manager dedicated fulltime to the project?	No experienced project manager assigned	Yes, experienced project manager dedicated full-time, 100% to project
		No, project manager is assigned 50% or less to project	
		No, project manager assigned more than half-time, but less than full-time to project	
		Yes, experienced project manager dedicated full-time, 100% to project	
6.07	Are qualified project management team members dedicated full-time to the project	None	Yes, business, functional or technical experts dedicated full-time, 100% to project
		No, business, functional or technical experts dedicated 50% or less to project	
		No, business, functional or technical experts dedicated more than half-time but less than full-time to project	
		Yes, business, functional or technical experts dedicated full-time, 100% to project	
6.08	Does the agency have the necessary knowledge, skills, and abilities to staff the project team with in-house resources?	Few or no staff from in-house resources	Half of staff from in-house resources
		Half of staff from in-house resources	
		Mostly staffed from in-house resources	
		Completely staffed from in-house resources	
6.09	Is agency IT personnel turnover expected to significantly impact this project?	Minimal or no impact	Moderate impact
		Moderate impact	
		Extensive impact	
6.10	Does the project governance structure establish a formal change review and control board to address proposed changes in project scope, schedule, or cost?	Yes	Yes
		No	
6.11	Are all affected stakeholders represented by functional manager on the change review and control board?	No board has been established	Yes, all stakeholders are represented by functional manager
		No, only IT staff are on change review and control board	
		No, all stakeholders are not represented on the board	
		Yes, all stakeholders are represented by functional manager	

Agency: Department of Financial Services

Project: FLAIR and CMS Replacement

Section 7 -- Project Management Area			
#	Criteria	Values	Answer
7.01	Does the project management team use a standard commercially available project management methodology to plan, implement, and control the project?	No	Yes
		Project Management team will use the methodology selected by the systems integrator	
		Yes	
7.02	For how many projects has the agency successfully used the selected project management methodology?	None	More than 3
		1-3	
		More than 3	
7.03	How many members of the project team are proficient in the use of the selected project management methodology?	None	All or nearly all
		Some	
		All or nearly all	
7.04	Have all requirements specifications been unambiguously defined and documented?	0% to 40% -- None or few have been defined and documented	41 to 80% -- Some have been defined and documented
		41 to 80% -- Some have been defined and documented	
		81% to 100% -- All or nearly all have been defined and documented	
7.05	Have all design specifications been unambiguously defined and documented?	0% to 40% -- None or few have been defined and documented	0% to 40% -- None or few have been defined and documented
		41 to 80% -- Some have been defined and documented	
		81% to 100% -- All or nearly all have been defined and documented	
7.06	Are all requirements and design specifications traceable to specific business rules?	0% to 40% -- None or few are traceable	0% to 40% -- None or few are traceable
		41 to 80% -- Some are traceable	
		81% to 100% -- All or nearly all requirements and specifications are traceable	
7.07	Have all project deliverables/services and acceptance criteria been clearly defined and documented?	None or few have been defined and documented	None or few have been defined and documented
		Some deliverables and acceptance criteria have been defined and documented	
		All or nearly all deliverables and acceptance criteria have been defined and documented	
7.08	Is written approval required from executive sponsor, business stakeholders, and project manager for review and sign-off of major project deliverables?	No sign-off required	Review and sign-off from the executive sponsor, business stakeholder, and project manager are required on all major project deliverables
		Only project manager signs-off	
		Review and sign-off from the executive sponsor, business stakeholder, and project manager are required on all major project deliverables	
7.09	Has the Work Breakdown Structure (WBS) been defined to the work package level for all project activities?	0% to 40% -- None or few have been defined to the work package level	0% to 40% -- None or few have been defined to the work package level
		41 to 80% -- Some have been defined to the work package level	
		81% to 100% -- All or nearly all have been defined to the work package level	
7.10	Has a documented project schedule been approved for the entire project lifecycle?	Yes	No
		No	

Agency: Department of Financial Services

Project: FLAIR and CMS Replacement

Section 7 -- Project Management Area			
#	Criteria	Values	Answer
7.11	Does the project schedule specify all project tasks, go/no-go decision points (checkpoints), critical milestones, and resources?	Yes	No
		No	
7.12	Are formal project status reporting processes documented and in place to manage and control this project?	No or informal processes are used for status reporting	Project team and executive steering committee use formal status reporting
		Project team uses formal processes	
		Project team and executive steering committee use formal status reporting processes	
7.13	Are all necessary planning and reporting templates, e.g., work plans, status reports, issues and risk management, available?	No templates are available	All planning and reporting templates are available
		Some templates are available	
		All planning and reporting templates are available	
7.14	Has a documented Risk Management Plan been approved for this project?	Yes	No
		No	
7.15	Have all known project risks and corresponding mitigation strategies been identified?	None or few have been defined and documented	Some have been defined and documented
		Some have been defined and documented	
		All known risks and mitigation strategies have been defined	
7.16	Are standard change request, review and approval processes documented and in place for this project?	Yes	Yes
		No	
7.17	Are issue reporting and management processes documented and in place for this project?	Yes	Yes
		No	

Agency: Department of Financial Services

Project: FLAIR and CMS Replacement

Section 8 -- Project Complexity Area			
#	Criteria	Values	Answer
8.01	How complex is the proposed solution compared to the current agency systems?	Unknown at this time	More complex
		More complex	
		Similar complexity	
		Less complex	
8.02	Are the business users or end users dispersed across multiple cities, counties, districts, or regions?	Single location	More than 3 sites
		3 sites or fewer	
		More than 3 sites	
8.03	Are the project team members dispersed across multiple cities, counties, districts, or regions?	Single location	Single location
		3 sites or fewer	
		More than 3 sites	
8.04	How many external contracting or consulting organizations will this project require?	No external organizations	More than 3 external organizations
		1 to 3 external organizations	
		More than 3 external organizations	
8.05	What is the expected project team size?	Greater than 15	Greater than 15
		9 to 15	
		5 to 8	
		Less than 5	
8.06	How many external entities (e.g., other agencies, community service providers, or local government entities) will be impacted by this project or system?	More than 4	More than 4
		2 to 4	
		1	
		None	
8.07	What is the impact of the project on state operations?	Business process change in single division or bureau	Statewide or multiple agency business process change
		Agency-wide business process change	
		Statewide or multiple agency business process change	
8.08	Has the agency successfully completed a similarly-sized project when acting as Systems Integrator?	Yes	No
		No	
8.09	What type of project is this?	Infrastructure upgrade	Combination of the above
		Implementation requiring software development or purchasing commercial off the shelf (COTS) software	
		Business Process Reengineering	
		Combination of the above	
8.10	Has the project manager successfully managed similar projects to completion?	No recent experience	Lesser size and complexity
		Lesser size and complexity	
		Similar size and complexity	
		Greater size and complexity	
8.11	Does the agency management have experience governing projects of equal or similar size and complexity to successful completion?	No recent experience	Lesser size and complexity
		Lesser size and complexity	
		Similar size and complexity	
		Greater size and complexity	

Schedule IX – Major Audit Findings and Recommendations

Schedule VI – Detail of Debt Service

(The Department of Financial Services has no submission for this schedule for the Fiscal Year 2015-16 Legislative Budget Request)

SCHEDULE IX: MAJOR AUDIT FINDINGS AND RECOMMENDATIONS

Budget Period: 2015-2016

Department: Financial Services

Chief Internal Auditor: Leah Gardner

Budget Entity: Office of Inspector General

Phone Number: (850) 413-4953

(1) REPORT NUMBER	(2) PERIOD ENDING	(3) UNIT/AREA	(4) SUMMARY OF FINDINGS AND RECOMMENDATIONS	(5) SUMMARY OF CORRECTIVE ACTION TAKEN	(6) ISSUE CODE
Auditor General Report No. 2014- 020	January, 2013	<i>Division of Risk Management State Employee Workers' Compensation</i>	<p>Finding 1: The Division of Risk Management's (DRM) process for monitoring the third-party administrators (TPA) engaged to provide State employee workers' compensation case management administrative services and pharmacy benefits management services continues to need improvement.</p> <p>Recommendation: DRM management should continue its efforts to fully implement a comprehensive, effective TPA monitoring process. Such a process should include, among other things, routine payment audits, on-site monitoring, and the receipt and review of independent service auditor's reports.</p>	<p>ONGOING: The DRM continues to implement contract monitoring plans for its workers' compensation medical case management (MCM) and pharmacy benefits management (PBM) contracts. The DRM awarded new contracts for MCM and PBM services and a new medical bill review (MBR) contract in an effort to segregate functions. Effective January 1, 2014, provider payments will be made by DRM rather than the MCM contractor. Monthly performance monitoring be reported by the MCM contractor and verified by DRM. DRM is completing quarterly audits of the payments made under the old MCM contracts and of the PBM payments made by DRM to ensure that prescription drugs provided under the contracts were properly priced. In addition, DRM developed a template for use in reviewing the contractor's service auditor's reports and requested the current reports for review. The DRM filled the vacant positions in the Contract Monitoring Unit.</p>	

REPORT NUMBER	PERIOD ENDING	UNIT/AREA	SUMMARY OF FINDINGS AND RECOMMENDATIONS	SUMMARY OF CORRECTIVE ACTION TAKEN	ISSUE CODE
			<p>Finding 2: Application controls for STARS, the information system utilized by DRM to account for State employee workers' compensation claims data, and other DRM controls were not always sufficient to prevent and detect improper payments or to ensure that required reports were timely completed and filed.</p> <p>Recommendation: DRM management should establish policies and procedures for the recovery of improper claim payments. DRM controls should be enhanced to prevent or better facilitate the identification of improper payments and to ensure the timely filing of required forms and reports.</p>	<p>ONGOING: The DRM provides the Controverted Claims with Payments Report and a Missing SA Report to the Administrators in the Bureau of State Employee Workers' Compensation Claims for their review. Additionally, DRM continues to work with the Division of Information Systems (DIS) to ensure compliance with these requirements in the Risk Management Information System (RMIS) procurement.</p>	
Auditor General Report No. 2014-020 (...cont'd)	January, 2013	<i>Division of Risk Management State Employee Workers' Compensation</i>	<p>Finding 3: DRM staff, by inadvertently circumventing key input controls, uploaded duplicate claim information into STARS.</p> <p>Recommendation: DRM management should take appropriate steps to prevent the override of STARS input controls. DRM should periodically reconcile claim payments data recorded in STARS to claim payments data recorded in FLAIR.</p>	<p>ONGOING: The DRM continues to conduct data imports that include a reconciliation of the data import file to the respective invoices. Additionally, a verification report process is run to ensure all records are imported and to identify records that do not import. The verification report is submitted to the vendor to facilitate file corrections and, when necessary, resubmission. The DRM continues to work with DIS to ensure enhanced data controls are included in the RMIS procurement.</p>	
			<p>Finding 4: The DRM deferred the required competitive procurement procedures by entering into multiple extensions of the STARS contract.</p> <p>Recommendation: DRM management should ensure that contracts are procured and managed in accordance with the requirements of State law.</p>	<p>ONGOING: The DRM executed a contract with a vendor to replace the STARS system. Due to the effort required during the design, development and implementation of the new RMIS, DRM does not expect the new RMIS to be operational until late summer of 2015. In order for DRM to continue with the statutorily mandated operations, contract extensions will be required for the existing STARS contract until the replacement RMIS is operational.</p>	
Auditor General Report No. 2014-033	June, 2013	<i>Florida Accounting Information Resource Subsystem (FLAIR)</i>	<p>Finding 1: As similarly noted in prior audits of the Department of Financial Services (Department or DFS), most recently Auditor General Report No. 2013-078, 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 data and information technology (IT) resources to only what is necessary to perform job responsibilities and to promote an appropriate separation of duties.</p>	<p>CLOSED: The DIS updated access permissions and access control procedures.</p>	

REPORT NUMBER	PERIOD ENDING	UNIT/AREA	SUMMARY OF FINDINGS AND RECOMMENDATIONS	SUMMARY OF CORRECTIVE ACTION TAKEN	ISSUE CODE
			<p>Finding 2: The Department's periodic review of access privileges needed improvement.</p> <p>Recommendation: The Department should ensure that the periodic review of access privileges includes verification of access by appropriate supervisory personnel independent of the users for whom the access verification pertains and encompasses all applicable users.</p>	<p>CLOSED: The DIS performed an evaluation of the access review process and refined it to include all users with access and appropriate supervisory staff for verification purposes.</p>	
Auditor General Report No. 2014-033 (...cont'd)	June, 2013	<i>Florida Accounting Information Resource Subsystem (FLAIR)</i>	<p>Finding 3: As noted in Auditor General Report No. 2013-078, the Department did not maintain access authorization forms for some users.</p> <p>Recommendation: The Department should maintain complete documentation of management authorization for user access privileges to move Natural, COBOL, and UNIX changes into the production environment.</p>	<p>ONGOING: The Department performed a formal risk assessment related to this matter and accepted the minimal risk identified through this process. Department efforts will continue to be focused on the completion of these forms for all new workers and on controls related to the prevention and detection of inappropriate access.</p>	
			<p>Finding 4: Certain Departmental security controls related to logical access needed improvement. This issue was communicated to Department management in connection with Auditor General Report No. 2013-078.</p> <p>Recommendation: The Department should improve security controls related to logical access to ensure the confidentiality, integrity, and availability of data and IT resources.</p>	<p>CLOSED: The Department continues to address security controls, as appropriate.</p>	
			<p>Finding 5: Some automated controls related to Departmental transaction data input and processing were not in place.</p> <p>Recommendation: The Department should continue its process toward the completion of the study for the replacement or enhancement of FLAIR as outlined in Chapter 2013-40, Laws of Florida, Specific Appropriation 2279. The Department should also consider improvements in financial business practices and supporting IT processes and controls.</p>	<p>CLOSED: On March 21, 2014, the North Highland Company completed the business case study on the replacement or enhancement of FLAIR. The Department requested additional resources for fiscal year 2014/15 for the pre-development, design, and implementation activities that are recommended in the study. These activities include process reengineering designed to identify improvements, standardization and improved controls.</p>	
			<p>Finding 6: The Department had not established procedures to ensure that the agencies paid prompt payment interest penalty invoices within the 15 days required by State law.</p> <p>Recommendation: The Department should finalize and implement its procedures for ensuring that interest penalty invoices are timely paid.</p>	<p>CLOSED: The DIS implemented procedures and issued guidance to the state agencies related to the issue.</p>	

REPORT NUMBER	PERIOD ENDING	UNIT/AREA	SUMMARY OF FINDINGS AND RECOMMENDATIONS	SUMMARY OF CORRECTIVE ACTION TAKEN	ISSUE CODE
			<p>Finding 7: Certain Payroll application processing controls related to payroll processing and payroll processing adjustments needed improvement.</p> <p>Recommendation: The Department should improve Payroll application processing controls to ensure the completeness, accuracy, and validity of transactions and data.</p>	<p>ONGOING: The Department improved payroll application processing controls to ensure the completeness, accuracy and validity of transactions and data. With respect to the prioritization of payroll deductions, based on the conclusions made by its Division of Legal Services, the Department was correct in its process for certain payroll processing adjustments, and no changes are needed.</p>	
Auditor General Report No. 2014-103	February, 2013	<i>Division of Public Assistance Fraud</i>	<p>Finding 1: The Division of Public Assistance Fraud (DPAF) had not established policies and procedures addressing DPAF’s operations and unique responsibilities or periodically analyzed its regional office investigative staffing needs. Additionally, DPAF’s investigative process could be enhanced by providing a staff training program specific to public assistance fraud investigations and by engaging individuals with training and experience in complex financial data analysis.</p> <p>Recommendation: DPAF management should establish policies and procedures that adequately address its operations and unique responsibilities and periodically analyze its regional office investigative staffing needs and, as appropriate, reassign staff. In addition, DPAF should provide a training program specific to public assistance fraud investigations and consider engaging individuals with training and experience in complex financial data analysis.</p>	<p>ONGOING: Training. A training directive was published in October 2013. A Financial Crime Investigator (FCI) Academy was established and classes conducted for new FCIs in December 2013 and June 2014. Division-wide training was conducted in February 2014 for all investigative staff.</p> <p>Procedures. The Investigations and Operational Procedures manual is currently being updated and is 90% complete. A number of Technical Bulletins were also developed. The Investigations and Operational Procedures manual is augmented by the Technical Bulletins.</p> <p>Policies. Several policies have been developed and posted to DPAF’s SharePoint site. The DPAF continues to assess the need for additional policies.</p> <p>Staffing Qualifications. The DPAF updated its position advertisements to include preferences for individuals with financial data analysis experience or a college degree and/or previous work experience with an emphasis on data analysis, accounting or statistics.</p> <p>Staff Assignments. The DPAF completed an analysis of staffing allocations across regions in March, 2014.</p>	

REPORT NUMBER	PERIOD ENDING	UNIT/AREA	SUMMARY OF FINDINGS AND RECOMMENDATIONS	SUMMARY OF CORRECTIVE ACTION TAKEN	ISSUE CODE
			<p>Finding 2: The DPAF had not established controls to ensure that referral data was completely, accurately, and timely recorded in the Automated Investigation Management System (AIMS) used to track and review referrals of potential public assistance fraud.</p> <p>Recommendation: DPAF management should establish effective data input controls to ensure that referral data is completely, accurately, and timely recorded in AIMS. Such controls should include documented procedures for the periodic reconciliation of referrals submitted by the Department of Children and Families (DCF) and the Office of Early Learning (OEL) to those recorded in AIMS and for the comparison of source documents to manual input processing.</p>	<p>ONGOING: The DPAF worked with the DIS to establish procedures to reconcile file transfers of complaints/referrals transmitted by DCF and OEL to those received by DPAF. In addition, DPAF's Investigations and Operational Procedures manual was updated to establish procedures for documenting citizen and external agency complaints.</p>	
Auditor General Report No. 2014-103 (...cont'd)	February, 2013	<i>Division of Public Assistance Fraud</i>	<p>Finding 3: The DPAF's processes for the review and disposition of referrals of potential public assistance fraud need improvement to ensure that all referrals are properly considered for investigation.</p> <p>Recommendation: DPAF management should strengthen its practices for processing referrals to ensure that referrals of potential fraud are properly considered for investigation. Specifically, DPAF management should:</p> <ul style="list-style-type: none"> <input type="checkbox"/> Establish criteria for use in determining whether a fraud referral should be investigated or rejected. <input type="checkbox"/> Develop and communicate to referring agencies guidelines outlining the information required to be submitted for each referral and rejected referrals can be resubmitted. <input type="checkbox"/> Modify AIMS to provide more detailed reason codes for rejecting referrals and generate reports that would allow for the calculation of the average cost of a fraud investigation. <input type="checkbox"/> Establish automated controls in AIMS to facilitate the identification of missing referral information and when the statute of limitations applies. 	<p>ONGOING: <u>Referral Evaluation Criteria.</u> Referral evaluation is addressed in DPAF's Investigative Strategy and reinforced in the quarterly ProACT reviews. As a result of our efforts to improve case selection, the average dollars of fraud per case increased from \$3,400 in fiscal year 2012-13 to over \$4,100 per investigation in fiscal year 2013-14. The strategy requires, among other things, DPAF managers to select and assign the largest potential dollar cases rather than a static dollar threshold.</p> <p><u>Referral Information and Review.</u> The DPAF met with DCF and OEL to address referral criteria. Referral criteria were documented and distributed to the appropriate parties.</p> <p><u>Modifying AIM.</u> The DPAF is working with DIS programming staff, who are creating new edits in AIMS with additional 'drop codes' to better represent the reason referrals are not retained.</p>	

REPORT NUMBER	PERIOD ENDING	UNIT/AREA	SUMMARY OF FINDINGS AND RECOMMENDATIONS	SUMMARY OF CORRECTIVE ACTION TAKEN	ISSUE CODE
			<p>Finding 4: The DPAF’s investigative process needs enhancement. Specifically, DPAF needs to employ data analysis tools and techniques and establish procedures and AIMS edit controls to ensure that appropriate documentation is maintained in the investigation files.</p> <p>Recommendation: DPAF management should enhance its investigative process by employing appropriate data analysis tools and techniques and establishing procedures and AIMS edit controls to ensure that appropriate documentation is maintained in the investigation files. Such documentation should include justification to support the termination of investigations and the closing of cases, especially when cases are closed due solely to manpower or workload issues. DPAF management should reevaluate the practice of closing investigations due solely to workload issues.</p>	<p>ONGOING: <u>Data Analysis.</u> In its recruitment efforts, DPAF is seeking FCIs who have data analysis, accounting, or statistician experience or education. In addition, DPAF is seeking five additional staff positions to form an analytical section through a Legislative Budget Request for the 2015-16 fiscal year.</p> <p><u>AIM Fraud Investigation Information.</u> The DPAF has added procedures in its draft Investigations and Operational Procedures manual that mandates completion of Non-referral Summaries for all investigations closed without a referral to an agency.</p> <p><u>Termination of Cases.</u> The DPAF coordinated with DIS to develop enhancements to AIMS which will prevent a case from being closed without a termination report. The DIS is currently working to implement those changes.</p>	
Auditor General Report No. 2014-103 (...cont'd)	February, 2013	<i>Division of Public Assistance Fraud</i>	<p>Finding 5: The DPAF had not established appropriate controls to ensure that Supplemental Nutrition Assistance Program (SNAP) Electronic Benefits Transfer (EBT) cards were properly accounted for and used only for valid investigative purposes.</p> <p>Recommendation: DPAF management should establish appropriate controls over the SNAP EBT cards. Such controls should include, but not be limited to, an appropriate separation of duties for EBT card activities, periodic inventories of EBT cards, monitoring of EBT card usage, and appropriate documentation to support EBT card return and disposal.</p>	<p>ONGOING: The DPAF implemented policies and procedures which set forth the roles and responsibilities of staff involved in the process. In addition, line inspections and quarterly monitoring is performed of the EBT cards and card activity.</p>	
			<p>Finding 6: The DPAF did not comply with certain terms and conditions set forth in the United States Department of Agriculture Food and Nutrition Service agreement authorizing DPAF to acquire SNAP EBT benefits for investigative purposes.</p> <p>Recommendation: DPAF management should take appropriate steps to ensure compliance with all the terms and conditions of the USDA-FNS agreement and that documentation to demonstrate DPAF’s compliance be maintained.</p>	<p>CLOSED: The DPAF updated its policies and procedures to incorporate procedures relative to the USDA State Law Enforcement Bureau (SLEB) Agreement. In July 2014, the USDA signed the revised SLEB Agreement, which comports to the processes previously employed by DPAF and endorsed through FNS Retailer Integrity Branch.</p>	

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Auditor General Report No. 2014-109	September, 2013	<i>Unclaimed Property Management Information System (UPMIS)</i>	<p>Finding 1: The Department's reviewing and monitoring of program change requests needed improvement.</p> <p>Recommendation: The Department should establish a procedure for reviewing and monitoring aging program change requests based on available resources to ensure the system functions as intended by management.</p>	<p>ONGOING: The Department continues to follow established procedures to ensure effective review and prioritization of change requests based on available resources and business owner prioritization.</p>	
			<p>Finding 2: The Division of Accounting and Auditing, Bureau of Unclaimed Property did not have procedures to ensure that background checks were performed on employees selected to assist in the annual unclaimed property inventory process.</p> <p>Recommendation: The Department should ensure background checks have been completed for all employees assisting with the annual unclaimed property inventory process.</p>	<p>CLOSED: The Division of Accounting and Auditing's procedures related to the annual inventory process were updated to reflect that background checks must be completed on any employee assisting with the annual inventory.</p>	
Auditor General Report No. 2014-109 (...cont'd)	September, 2013	<i>Unclaimed Property Management Information System (UPMIS)</i>	<p>Finding 3: As similarly noted in Auditor General Report No. 2007-186, improvements were needed in the Department's procedures for deactivating access privileges to the database used for UPMIS data.</p> <p>Recommendation: The Department should ensure that access privileges to the UPMIS database are appropriately deactivated when corresponding access privileges to UPMIS are deactivated.</p>	<p>CLOSED: On April 29, 2014, DIS completed a database account review which resulted in termination of orphaned user accounts. This effort coupled with the revised access issuance process will ensure that database accounts are deactivated within Department policy established timeframes.</p>	
			<p>Finding 4: Certain security controls related to user authentication needed improvement.</p> <p>Recommendation: The Department should improve user authentication controls to ensure the continued confidentiality, integrity, and availability of Department data and IT resources.</p>	<p>ONGOING: The Department has 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: Access privileges of selected UPMIS IT programming staff were not appropriate for their job duties.</p> <p>Recommendation: The Department should continue to ensure that access to UPMIS is appropriate.</p>	<p>ONGOING: The Department continues to review access to UPMIS to ensure that it remains appropriate.</p>	

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Auditor General Report No. 2014-173	June, 2013	<i>State of Florida Compliance and Internal Controls Over Financial Reporting and Federal Awards</i>	<p>Finding 2013-005: The Department's Statewide Financial Reporting Section (SFRS) improperly classified financial activity for a blended component unit of the State of Florida (State) as a special revenue fund rather than as an enterprise fund.</p> <p>Recommendation: We recommend that the SFRS strengthen review procedures to ensure that funds are correctly classified during the preparation of the State's financial statements.</p>	<p>ONGOING: SFRS will strengthen review procedures to ensure that funds are correctly classified during the preparation of the State's financial statements.</p>	
Auditor General Report No. 2014-184	February, 2013	<i>Payroll and Personnel Processes at Selected State Agencies</i>	<p>Finding 2: Some State agencies had not established adequate policies and procedures related to dual employment that effectively promoted compliance with State law. Additionally, State agencies did not always document that dual employment was properly approved in accordance with the requirements of State law, Department of Management Services (DMS) rules, and other guidelines.</p> <p>Recommendation: State agency management should establish appropriate procedures that provide for the proper submittal and approval of dual employment requests. Additionally, State agencies should utilize available dual employment reports to ensure that the dual employment activities of all applicable personnel have received appropriate consideration in accordance with State law, DMS rules, and other guidelines.</p>	<p>ONGOING: The DFS's Division of Administration Bureau of Human Resource Management (BHRM) has identified additional means of communicating to employees and managers the process for completing dual employment request forms. The BHRM will continue to send an email to all employees in May of each year reminding them of the dual employment Administrative Policy and Procedure (AP&P) 5-04. In addition, a reminder email will be sent quarterly to management staff reminding them of the dual employment process and AP&P 5-04. The payroll office will continue to utilize the available dual employment reports and communicate with BHRM when a duplicate payment has been made. The BHRM will verify whether or not the employee is entitled to both payments.</p>	
			<p>Finding 3: State agency and DFS processes and procedures for salary reissuances should be enhanced to avoid overpayments to third parties for miscellaneous post-tax deductions. Additionally, State agencies did not always timely initiate efforts to collect from third parties overpayments made as a result of canceled salary payments.</p> <p>Recommendation: The DFS should provide specific guidance to State agencies regarding the methods available to prevent overpayments of miscellaneous post-tax deductions related to salary payment reissuances.</p>	<p>ONGOING: DFS will provide specific guidance to State agencies regarding the methods available to prevent overpayments of miscellaneous post-tax deductions related to salary payment reissuances. This guidance will include revisions to DFS's Payroll Preparation Manual and distribution of a memorandum to State agencies with detailed instructions related to salary reissuances and recovery of salary overpayments.</p>	

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Auditor General Report No. 2015-002	May, 2013	<i>Contract and Grant Management Processes at Selected State Agencies</i>	<p>Finding 1: State agencies did not always document that employees involved in the contractor evaluation and selection process attested in writing, or timely attested, that they were independent of, and had no conflict of interest in, the entities evaluated and selected.</p> <p>Recommendation: State agency management should take steps to ensure that conflict of interest attestations required by State law are timely completed by all individuals taking part in the contractor evaluation and selection process and that the attestation documents are appropriately maintained.</p>	<p>ONGOING: Additional measures were taken to clarify policy verbiage, and conflict of interest forms were incorporated into the contract routing process to assist contract managers with obtaining the required signatures in a timely manner. DFS internal procurement training sessions are also being utilized to remind contract managers of this requirement. In addition, written communication will also be sent as a reminder of the contract manager's responsibility in this regard.</p>	
Auditor General Report No. 2015-002 (...cont'd)	May, 2013	<i>Contract and Grant Management Processes at Selected State Agencies</i>	<p>Finding 3: State agencies did not always document that contracts were properly reviewed, approved, and executed in accordance with State law.</p> <p>Recommendation: State agency management should ensure that contracts are properly reviewed, approved, and executed in accordance with State law and that agency head delegations of authority are appropriately documented.</p>	<p>ONGOING: Additional measures have been taken to document delegations of authority. DFS internal contract manager training sessions are also being utilized to reinforce the requirement of maintaining this documentation within the contract manager files. In addition, written communication will also be sent as a reminder of the contract manager's responsibility in this regard.</p>	
			<p>Finding 5: State agencies did not always document that contract managers received, or timely received, required training for accountability in contracts management.</p> <p>Recommendation: State agency management should ensure that all contract managers attend the required DFS training for accountability in contracts management in accordance with State law and DFS guidelines. DFS management should continue to maximize the availability of contracts management training to facilitate State agency compliance with the statutory training requirements.</p>	<p>ONGOING: DFS management will continue to maximize the availability of contract management training to facilitate State agency compliance with the statutory training requirements.</p>	
			<p>Finding 6: State agencies did not always appropriately document that contract managers were independent of, and had no conflict of interest in, the entities whose contracts they were assigned to manage.</p> <p>Recommendation: State agency management should ensure that documentation is maintained to demonstrate that contract managers are independent of, and have no conflict of interest in, the entities whose contracts they are assigned to manage.</p>	<p>ONGOING: Additional measures have been taken to incorporate the conflict of interest forms inside of the contract routing process to assist contract managers with obtaining the required signatures prior to execution of the contract. DFS internal Contract Management training sessions are also being utilized to remind contract managers of this requirement. In addition, written communication will also be sent as a reminder of the contract manager's responsibility in this regard.</p>	

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			<p>Finding 7: State agencies did not always document that sufficient contract monitoring had been performed in accordance with DFS and applicable State agency guidelines.</p> <p>Recommendation: State agency management should ensure that contract monitoring activities are appropriately performed and documented in accordance with DFS guidance and applicable State agency policies and procedures.</p>	<p>ONGOING: DFS management will continue to maximize the DFS internal Contract Management training to remind contract managers of their responsibility to complete their vendor performance reviews and monitoring activities in a timely manner and in accordance with the individual plan associated with each contract. In addition, written communication will also be sent as a reminder of the contract manager's responsibility in this regard.</p>	
Auditor General Report No. 2015-002 (...cont'd)	May, 2013	<i>Contract and Grant Management Processes at Selected State Agencies</i>	<p>Finding 8: State agencies could not always demonstrate that contract payments were properly approved, supported by adequate documentation, or made in accordance with applicable contract terms and Chief Financial Officer (CFO) memoranda.</p> <p>Recommendation: State agency management should ensure that contract payments are properly approved, adequately supported, and made in accordance with applicable contract terms and CFO memoranda.</p>	<p>ONGOING: We will continue to work with contract managers to remind them of their responsibility to maintain proper documentation of delegates and to include the certification signed directly by either the contract manager or their delegate.</p>	
			<p>Finding 9: State agencies did not always document that sufficient grant monitoring had been performed in accordance with DFS and applicable State agency procedures.</p> <p>Recommendation: State agency management should ensure that grant monitoring activities and grant manager independence are appropriately documented and that the monitoring results are timely communicated to the grantee.</p>	<p>ONGOING: Additional measures were taken to clarify policy verbiage, and conflict of interest forms were incorporated into the contract routing process to assist contract managers with obtaining the required signatures in a timely manner. DFS internal procurement and contract manager training sessions are also being utilized to remind contract managers of this and other requirements to reinforce the responsibilities of the contract manager and required documentation within their files. In addition, written communication will be sent as a reminder of the contract manager's responsibility in this regard.</p>	
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 the Department of Highway Safety and Motor Vehicles (DHSMV).</p>	<p>CLOSED: The Department centralized management of the MOU and designated DIS's Criminal Justice Information Compliance Officer as the Contract Manager for the MOU. The DIS effected various changes in administration of the MOU including the development of comprehensive policies related to use of the DAVE and DAVID databases.</p>	

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Office of Inspector General Report No. IA 12-205 (...cont'd)	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 2: a) User Access permissions were not always timely updated; b) Quarterly Quality Control (QQC) 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 QQC reviews and misuse audits. The DIS 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>	
			<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 DIS 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 DIS to review and approve MOUs involving the exchange of data and information with external entities.</p>	<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.</p>	

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Office of Inspector General Report No. IA 13-203	March, 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>	<p>CLOSED: To facilitate the detailed and timely revocation of access permissions for separated workers, DIS developed procedures and provided training to designated DCC's and POC's. Additionally, the Department's divisions have designated and trained back-ups to ensure that revocations are processed timely in the absence of the primary designee.</p>	
			<p>Finding 2: The 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: The DIS should consider updating the DAVE and DAVID Access Control Procedures to require documented supervisory review and approval of the QQC reviews.</p>	<p>CLOSED: DIS finalized and distributed updated DAVID procedures to the POCs on May 2, 2014. The procedures incorporate changes to the review process as a result of the implementation of the new DAVID system. Additionally, DIS continues to monitor the completion of the reviews conducted by the POCs.</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 DHSMV.</p> <p>Recommendation: In instances where clarification or changes are needed to the MO, 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 DHSMV stated that the MOU will be revised subsequent to the implementation of the new DAVID system. The DAVE system will be unavailable starting May 15, 2014, and the old DAVID system is estimated to be unavailable starting June 30, 2014. The DFS MOU, however, does not expire until December 2014. Therefore, a new MOU will not be initiated by DHSMV until that time. DHSMV will coordinate with the Department's Division of Legal Services for execution of the revised 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 13-203 (...cont'd)	March, 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 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>CLOSED: DIS finalized and distributed updated DAVID procedures to the POCs on May 2, 2014. Consistent with the prior version of the procedures, the new procedures require the POCs to ensure that a DAVID User Acknowledgement Form is completed for each user prior to granting access to the system or information derived from it.</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>CLOSED: DIS finalized and distributed updated DAVID procedures to the POCs on May 2, 2014. The procedures incorporate changes to the review process as a result of the implementation of the new DAVID system. Consistent with the prior procedures, POCs are required to document the reviews, provide a copy of the review form to DIS, and follow defined misuse reporting protocol, when appropriate. Additionally, DIS continues to monitor the completion of the reviews conducted by the POCs.</p>	

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Office of Inspector General Report No. IA 13-203 (...cont'd)	March, 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 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 DIS, the OIG or 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>	ONGOING: DIS finalized and distributed updated DAVID procedures to the POCs on May 2, 2014. Both the DAVID and CSIRT procedures were updated to incorporate requirements consistent with the MOU.	
			<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>	CLOSED: DIS finalized and distributed updated DAVID procedures to the POCs on May 2, 2014. The updated procedures require DFS Legal Services to evaluate legal authority for new user entities that require access to the system.	
			<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>	ONGOING: The Department has made additional progress to remediate this security issue and will continue to work until corrective action is complete.	

SCHEDULE IX: MAJOR AUDIT FINDINGS AND RECOMMENDATIONS

Budget Period: 2014 - 2015

Department: Office of Insurance Regulation

Chief Internal Auditor: Bonnie Deering

Budget Entity: 43900120

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
AR-1213-062 (Auditor General)	8/29/2013	OIR Operational Audit	<p>Finding 1: Office policies and procedures should be enhanced to require that the reasoning and judgments supporting Property and Casualty (P&C) rate filing decisions be sufficiently documented.</p> <p><i>It is recommended that the Office enhance its policies and procedures to require Office staff to sufficiently document the reasoning and judgments supporting P&C rate filing decisions.</i></p>	<p>Corrective Action 1: The Office engaged an outside actuarial firm to review the documentation of rate filings. The Office received the final report on April 25, 2014. The report stated the Office provided sufficient documentation for the reasoning and judgments and made recommendations to serve the purpose of making these practices standardized across all personal residential rate filing reviews. These recommendations are currently under consideration for implementation.</p>	

<p>AR-1213-062 (Auditor General)</p>	<p>8/29/2013</p>	<p>OIR Operational Audit</p>	<p>Finding 2: The Office did not use existing accounting codes to facilitate the preparation of, nor had the Office prepared, detailed analyses comparing regulatory costs to the regulatory fees and taxes designated to cover those costs.</p> <p><i>It is recommended that the Office utilize established accounting codes to facilitate periodic comparisons, by business unit, of regulatory costs to associated regulatory fees and taxes. In the event rate and tax changes are necessary to defray the expenses incurred by the Office in the discharge of its duties, the Office should propose such changes for legislative consideration.</i></p>	<p>Corrective Action 2: The Office has performed a review of the current process of the revenues deposited in the Insurance Regulatory Trust Fund (IRTF). The Office continues to perform monthly reviews of the revenue reports that are received from DFS Accounting. The Office Budget Director also continues to review the IRTF on a quarterly basis in coordination with the DFS budget office. The revenue that the Office receives changed during the 2014 Legislative Session. House Bill 5403 was passed and beginning on July 1, 2014, 8.8% of the Surplus Lines Premium Tax revenues were redirected to the Insurance Regulatory Trust Fund to cover Office operations. The redirection of this tax covers the Office's current revenue gap. The Office will continue to monitor the revenue for this Fiscal Year.</p>	
<p>AR-1213-062 (Auditor General)</p>	<p>8/29/2013</p>	<p>OIR Operational Audit</p>	<p>Finding 3: Periodic information technology (IT) user access reviews had not been conducted by individuals knowledgeable of user roles and responsibilities. Additionally, Office-specific procedures addressing Office IT applications had not been developed.</p> <p><i>It is recommended that the Office ensure that periodic reviews of user access privileges are performed by supervisory staff knowledgeable of each user's roles and responsibilities. In addition, we recommend that the Office establish Office-specific procedures for controlling access to all its IT applications.</i></p>	<p>Corrective Action 3: Bi-annual IT application reviews were initiated on December 30, 2013 and again on July 15, 2014. Office-specific procedures deviating from DFS AP&P 4-05 were drafted requiring twice-yearly access control reviews conducted within the business units by the appropriate staff knowledgeable of each user's roles and responsibilities. The draft procedures are currently under review for adoption.</p>	

<p>AR-1213-062 (Auditor General)</p>	<p>8/29/2013</p>	<p>OIR Operational Audit</p>	<p>Finding 4: The Office had not timely obtained and reviewed the independent service auditor’s report related to the controls designed and established by the National Association of Insurance Commissioners for the database that maintains the P&C insurer financial information used by the Office in its financial analyses processes.</p> <p><i>It is recommended that the Office timely request, obtain, and document review of independent service auditor’s reports on the effectiveness of NAIC controls established for the FDR.</i></p>	<p>Corrective Action 4: The Office requested a copy of the 2013 SSAE16 report from the NAIC on January 2, 2014. The NAIC advised that the report would not be available until early March and a copy would be provided when available.</p> <p>On April 2, 2014, the Office received a copy of the NAIC’s 2013 SSAE16 report. The Office revised its procedures for the SSAE16 report on April 15, 2014 which included an amendment to extend the days for review from 14 to 20 business days from the date of receipt of the report. The Office’s review was closed on April 22, 2014. The Chief of Staff, Inspector General and Director of Market Research and Technology reviewed the report and there were no items of concern. The Office will request the SSAE16 report from the NAIC no later than March 15 of each year.</p>
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<p>AUD-1213-022 (OIR Inspector General)</p>	<p>4/29/2014</p>	<p>Audit of Performance Measures</p>	<p>Finding 1: The Property & Casualty Financial Oversight Unit's documentation and communication of information within the exam scheduling and exam monitoring process should be improved. Despite their best efforts, historical data was not effectively maintained, data was not always accurately or consistently captured, and performance measure data was not always accurately transferred.</p> <p><i>It is recommended that the P&C Financial Oversight unit identify alternate methods to aid in the financial examination scheduling and monitoring process and implement improved processes to ensure examination data is accurately and consistently recorded, and historical data is effectively maintained.</i></p>	<p>Corrective Action 1: The Property & Casualty Financial Oversight Unit (P&C), along with the Life & Health Financial Oversight Unit (L&H), recently began an effort to improve many aspects of financial examination scheduling and monitoring. To that end, these two units are working with Market Research & Technology to develop a more efficient and more accurate examination scheduler. The new application will address many of the findings found in the report. The Office anticipates the new application will be deployed by the end of the calendar year.</p> <p>While the application is under development, the P&C and L&H Chief Examiner and Deputy Chief Examiner will monitor the financial examination schedule. CORE and FAME are being reviewed to provide updates to the schedule. The monthly status report, used to identify the number of financial examinations completed, is also being review by the Chief Examiner before the report is distributed.</p>	
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<p>AUD-1213-022 (OIR Inspector General)</p>	<p>4/29/2014</p>	<p>Audit of Performance Measures</p>	<p>Finding 2: The performance measure data collection, verification, and reporting process should be better defined and formalized to help ensure reliable and valid performance measure results are captured and reported. The business units applied different definitions for the performance measure attributes; the total number of examinations scheduled with the same “as of” exam date was not taken into consideration when determining compliance with the 18-month criteria; and exams exceeding the 18-month criteria would not have been reported within the same OIR LRPP fiscal year, but within the subsequent fiscal year.</p> <p><i>It is recommended that OIR develop written procedures for the performance measure data collection, verification, and reporting process. Procedures should identify the types of financial examinations subject to the performance measure, include a definition for the performance measure attributes, incorporate the scheduled number of examinations into the calculation process, and require consistent application of approved definitions and the data collection, verification, and reporting process.</i></p>	<p>Corrective Action 2: The L&H Financial Oversight Unit and the P&C Financial Oversight Unit are in agreement with the finding. Written procedures will be developed for the performance measure data collection, verification, and reporting process to ensure consistency among divisions. Both business units anticipate that final written procedures will be in place by the end of June 2014.</p>	
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SCHEDULE IX: MAJOR AUDIT FINDINGS AND RECOMMENDATIONS

Budget Period: 2015-2016

Department: Financial Services

Chief Internal Auditor: Leah Gardner

Budget Entity: Office of Inspector General

Phone Number: (850) 413-4953

(1) REPORT NUMBER	(2) PERIOD ENDING	(3) UNIT/AREA	(4) SUMMARY OF FINDINGS AND RECOMMENDATIONS	(5) SUMMARY OF CORRECTIVE ACTION TAKEN	(6) ISSUE CODE
Auditor General Report No. 2014- 020	January, 2013	<i>Division of Risk Management State Employee Workers' Compensation</i>	<p>Finding 1: The Division of Risk Management's (DRM) process for monitoring the third-party administrators (TPA) engaged to provide State employee workers' compensation case management administrative services and pharmacy benefits management services continues to need improvement.</p> <p>Recommendation: DRM management should continue its efforts to fully implement a comprehensive, effective TPA monitoring process. Such a process should include, among other things, routine payment audits, on-site monitoring, and the receipt and review of independent service auditor's reports.</p>	<p>ONGOING: The DRM continues to implement contract monitoring plans for its workers' compensation medical case management (MCM) and pharmacy benefits management (PBM) contracts. The DRM awarded new contracts for MCM and PBM services and a new medical bill review (MBR) contract in an effort to segregate functions. Effective January 1, 2014, provider payments will be made by DRM rather than the MCM contractor. Monthly performance monitoring be reported by the MCM contractor and verified by DRM. DRM is completing quarterly audits of the payments made under the old MCM contracts and of the PBM payments made by DRM to ensure that prescription drugs provided under the contracts were properly priced. In addition, DRM developed a template for use in reviewing the contractor's service auditor's reports and requested the current reports for review. The DRM filled the vacant positions in the Contract Monitoring Unit.</p>	

REPORT NUMBER	PERIOD ENDING	UNIT/AREA	SUMMARY OF FINDINGS AND RECOMMENDATIONS	SUMMARY OF CORRECTIVE ACTION TAKEN	ISSUE CODE
			<p>Finding 2: Application controls for STARS, the information system utilized by DRM to account for State employee workers' compensation claims data, and other DRM controls were not always sufficient to prevent and detect improper payments or to ensure that required reports were timely completed and filed.</p> <p>Recommendation: DRM management should establish policies and procedures for the recovery of improper claim payments. DRM controls should be enhanced to prevent or better facilitate the identification of improper payments and to ensure the timely filing of required forms and reports.</p>	<p>ONGOING: The DRM provides the Controverted Claims with Payments Report and a Missing SA Report to the Administrators in the Bureau of State Employee Workers' Compensation Claims for their review. Additionally, DRM continues to work with the Division of Information Systems (DIS) to ensure compliance with these requirements in the Risk Management Information System (RMIS) procurement.</p>	
Auditor General Report No. 2014-020 (...cont'd)	January, 2013	<i>Division of Risk Management State Employee Workers' Compensation</i>	<p>Finding 3: DRM staff, by inadvertently circumventing key input controls, uploaded duplicate claim information into STARS.</p> <p>Recommendation: DRM management should take appropriate steps to prevent the override of STARS input controls. DRM should periodically reconcile claim payments data recorded in STARS to claim payments data recorded in FLAIR.</p>	<p>ONGOING: The DRM continues to conduct data imports that include a reconciliation of the data import file to the respective invoices. Additionally, a verification report process is run to ensure all records are imported and to identify records that do not import. The verification report is submitted to the vendor to facilitate file corrections and, when necessary, resubmission. The DRM continues to work with DIS to ensure enhanced data controls are included in the RMIS procurement.</p>	
			<p>Finding 4: The DRM deferred the required competitive procurement procedures by entering into multiple extensions of the STARS contract.</p> <p>Recommendation: DRM management should ensure that contracts are procured and managed in accordance with the requirements of State law.</p>	<p>ONGOING: The DRM executed a contract with a vendor to replace the STARS system. Due to the effort required during the design, development and implementation of the new RMIS, DRM does not expect the new RMIS to be operational until late summer of 2015. In order for DRM to continue with the statutorily mandated operations, contract extensions will be required for the existing STARS contract until the replacement RMIS is operational.</p>	
Auditor General Report No. 2014-033	June, 2013	<i>Florida Accounting Information Resource Subsystem (FLAIR)</i>	<p>Finding 1: As similarly noted in prior audits of the Department of Financial Services (Department or DFS), most recently Auditor General Report No. 2013-078, 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 data and information technology (IT) resources to only what is necessary to perform job responsibilities and to promote an appropriate separation of duties.</p>	<p>CLOSED: The DIS updated access permissions and access control procedures.</p>	

REPORT NUMBER	PERIOD ENDING	UNIT/AREA	SUMMARY OF FINDINGS AND RECOMMENDATIONS	SUMMARY OF CORRECTIVE ACTION TAKEN	ISSUE CODE
			<p>Finding 2: The Department's periodic review of access privileges needed improvement.</p> <p>Recommendation: The Department should ensure that the periodic review of access privileges includes verification of access by appropriate supervisory personnel independent of the users for whom the access verification pertains and encompasses all applicable users.</p>	<p>CLOSED: The DIS performed an evaluation of the access review process and refined it to include all users with access and appropriate supervisory staff for verification purposes.</p>	
Auditor General Report No. 2014-033 (...cont'd)	June, 2013	<i>Florida Accounting Information Resource Subsystem (FLAIR)</i>	<p>Finding 3: As noted in Auditor General Report No. 2013-078, the Department did not maintain access authorization forms for some users.</p> <p>Recommendation: The Department should maintain complete documentation of management authorization for user access privileges to move Natural, COBOL, and UNIX changes into the production environment.</p>	<p>ONGOING: The Department performed a formal risk assessment related to this matter and accepted the minimal risk identified through this process. Department efforts will continue to be focused on the completion of these forms for all new workers and on controls related to the prevention and detection of inappropriate access.</p>	
			<p>Finding 4: Certain Departmental security controls related to logical access needed improvement. This issue was communicated to Department management in connection with Auditor General Report No. 2013-078.</p> <p>Recommendation: The Department should improve security controls related to logical access to ensure the confidentiality, integrity, and availability of data and IT resources.</p>	<p>CLOSED: The Department continues to address security controls, as appropriate.</p>	
			<p>Finding 5: Some automated controls related to Departmental transaction data input and processing were not in place.</p> <p>Recommendation: The Department should continue its process toward the completion of the study for the replacement or enhancement of FLAIR as outlined in Chapter 2013-40, Laws of Florida, Specific Appropriation 2279. The Department should also consider improvements in financial business practices and supporting IT processes and controls.</p>	<p>CLOSED: On March 21, 2014, the North Highland Company completed the business case study on the replacement or enhancement of FLAIR. The Department requested additional resources for fiscal year 2014/15 for the pre-development, design, and implementation activities that are recommended in the study. These activities include process reengineering designed to identify improvements, standardization and improved controls.</p>	
			<p>Finding 6: The Department had not established procedures to ensure that the agencies paid prompt payment interest penalty invoices within the 15 days required by State law.</p> <p>Recommendation: The Department should finalize and implement its procedures for ensuring that interest penalty invoices are timely paid.</p>	<p>CLOSED: The DIS implemented procedures and issued guidance to the state agencies related to the issue.</p>	

REPORT NUMBER	PERIOD ENDING	UNIT/AREA	SUMMARY OF FINDINGS AND RECOMMENDATIONS	SUMMARY OF CORRECTIVE ACTION TAKEN	ISSUE CODE
			<p>Finding 7: Certain Payroll application processing controls related to payroll processing and payroll processing adjustments needed improvement.</p> <p>Recommendation: The Department should improve Payroll application processing controls to ensure the completeness, accuracy, and validity of transactions and data.</p>	<p>ONGOING: The Department improved payroll application processing controls to ensure the completeness, accuracy and validity of transactions and data. With respect to the prioritization of payroll deductions, based on the conclusions made by its Division of Legal Services, the Department was correct in its process for certain payroll processing adjustments, and no changes are needed.</p>	
Auditor General Report No. 2014-103	February, 2013	<i>Division of Public Assistance Fraud</i>	<p>Finding 1: The Division of Public Assistance Fraud (DPAF) had not established policies and procedures addressing DPAF’s operations and unique responsibilities or periodically analyzed its regional office investigative staffing needs. Additionally, DPAF’s investigative process could be enhanced by providing a staff training program specific to public assistance fraud investigations and by engaging individuals with training and experience in complex financial data analysis.</p> <p>Recommendation: DPAF management should establish policies and procedures that adequately address its operations and unique responsibilities and periodically analyze its regional office investigative staffing needs and, as appropriate, reassign staff. In addition, DPAF should provide a training program specific to public assistance fraud investigations and consider engaging individuals with training and experience in complex financial data analysis.</p>	<p>ONGOING: Training. A training directive was published in October 2013. A Financial Crime Investigator (FCI) Academy was established and classes conducted for new FCIs in December 2013 and June 2014. Division-wide training was conducted in February 2014 for all investigative staff.</p> <p>Procedures. The Investigations and Operational Procedures manual is currently being updated and is 90% complete. A number of Technical Bulletins were also developed. The Investigations and Operational Procedures manual is augmented by the Technical Bulletins.</p> <p>Policies. Several policies have been developed and posted to DPAF’s SharePoint site. The DPAF continues to assess the need for additional policies.</p> <p>Staffing Qualifications. The DPAF updated its position advertisements to include preferences for individuals with financial data analysis experience or a college degree and/or previous work experience with an emphasis on data analysis, accounting or statistics.</p> <p>Staff Assignments. The DPAF completed an analysis of staffing allocations across regions in March, 2014.</p>	

REPORT NUMBER	PERIOD ENDING	UNIT/AREA	SUMMARY OF FINDINGS AND RECOMMENDATIONS	SUMMARY OF CORRECTIVE ACTION TAKEN	ISSUE CODE
			<p>Finding 2: The DPAF had not established controls to ensure that referral data was completely, accurately, and timely recorded in the Automated Investigation Management System (AIMS) used to track and review referrals of potential public assistance fraud.</p> <p>Recommendation: DPAF management should establish effective data input controls to ensure that referral data is completely, accurately, and timely recorded in AIMS. Such controls should include documented procedures for the periodic reconciliation of referrals submitted by the Department of Children and Families (DCF) and the Office of Early Learning (OEL) to those recorded in AIMS and for the comparison of source documents to manual input processing.</p>	<p>ONGOING: The DPAF worked with the DIS to establish procedures to reconcile file transfers of complaints/referrals transmitted by DCF and OEL to those received by DPAF. In addition, DPAF's Investigations and Operational Procedures manual was updated to establish procedures for documenting citizen and external agency complaints.</p>	
Auditor General Report No. 2014-103 (...cont'd)	February, 2013	<i>Division of Public Assistance Fraud</i>	<p>Finding 3: The DPAF's processes for the review and disposition of referrals of potential public assistance fraud need improvement to ensure that all referrals are properly considered for investigation.</p> <p>Recommendation: DPAF management should strengthen its practices for processing referrals to ensure that referrals of potential fraud are properly considered for investigation. Specifically, DPAF management should:</p> <ul style="list-style-type: none"> <input type="checkbox"/> Establish criteria for use in determining whether a fraud referral should be investigated or rejected. <input type="checkbox"/> Develop and communicate to referring agencies guidelines outlining the information required to be submitted for each referral and rejected referrals can be resubmitted. <input type="checkbox"/> Modify AIMS to provide more detailed reason codes for rejecting referrals and generate reports that would allow for the calculation of the average cost of a fraud investigation. <input type="checkbox"/> Establish automated controls in AIMS to facilitate the identification of missing referral information and when the statute of limitations applies. 	<p>ONGOING: <u>Referral Evaluation Criteria.</u> Referral evaluation is addressed in DPAF's Investigative Strategy and reinforced in the quarterly ProACT reviews. As a result of our efforts to improve case selection, the average dollars of fraud per case increased from \$3,400 in fiscal year 2012-13 to over \$4,100 per investigation in fiscal year 2013-14. The strategy requires, among other things, DPAF managers to select and assign the largest potential dollar cases rather than a static dollar threshold.</p> <p><u>Referral Information and Review.</u> The DPAF met with DCF and OEL to address referral criteria. Referral criteria were documented and distributed to the appropriate parties.</p> <p><u>Modifying AIM.</u> The DPAF is working with DIS programming staff, who are creating new edits in AIMS with additional 'drop codes' to better represent the reason referrals are not retained.</p>	

REPORT NUMBER	PERIOD ENDING	UNIT/AREA	SUMMARY OF FINDINGS AND RECOMMENDATIONS	SUMMARY OF CORRECTIVE ACTION TAKEN	ISSUE CODE
			<p>Finding 4: The DPAF’s investigative process needs enhancement. Specifically, DPAF needs to employ data analysis tools and techniques and establish procedures and AIMS edit controls to ensure that appropriate documentation is maintained in the investigation files.</p> <p>Recommendation: DPAF management should enhance its investigative process by employing appropriate data analysis tools and techniques and establishing procedures and AIMS edit controls to ensure that appropriate documentation is maintained in the investigation files. Such documentation should include justification to support the termination of investigations and the closing of cases, especially when cases are closed due solely to manpower or workload issues. DPAF management should reevaluate the practice of closing investigations due solely to workload issues.</p>	<p>ONGOING: <u>Data Analysis.</u> In its recruitment efforts, DPAF is seeking FCIs who have data analysis, accounting, or statistician experience or education. In addition, DPAF is seeking five additional staff positions to form an analytical section through a Legislative Budget Request for the 2015-16 fiscal year.</p> <p><u>AIM Fraud Investigation Information.</u> The DPAF has added procedures in its draft Investigations and Operational Procedures manual that mandates completion of Non-referral Summaries for all investigations closed without a referral to an agency.</p> <p><u>Termination of Cases.</u> The DPAF coordinated with DIS to develop enhancements to AIMS which will prevent a case from being closed without a termination report. The DIS is currently working to implement those changes.</p>	
Auditor General Report No. 2014-103 (...cont'd)	February, 2013	<i>Division of Public Assistance Fraud</i>	<p>Finding 5: The DPAF had not established appropriate controls to ensure that Supplemental Nutrition Assistance Program (SNAP) Electronic Benefits Transfer (EBT) cards were properly accounted for and used only for valid investigative purposes.</p> <p>Recommendation: DPAF management should establish appropriate controls over the SNAP EBT cards. Such controls should include, but not be limited to, an appropriate separation of duties for EBT card activities, periodic inventories of EBT cards, monitoring of EBT card usage, and appropriate documentation to support EBT card return and disposal.</p>	<p>ONGOING: The DPAF implemented policies and procedures which set forth the roles and responsibilities of staff involved in the process. In addition, line inspections and quarterly monitoring is performed of the EBT cards and card activity.</p>	
			<p>Finding 6: The DPAF did not comply with certain terms and conditions set forth in the United States Department of Agriculture Food and Nutrition Service agreement authorizing DPAF to acquire SNAP EBT benefits for investigative purposes.</p> <p>Recommendation: DPAF management should take appropriate steps to ensure compliance with all the terms and conditions of the USDA-FNS agreement and that documentation to demonstrate DPAF’s compliance be maintained.</p>	<p>CLOSED: The DPAF updated its policies and procedures to incorporate procedures relative to the USDA State Law Enforcement Bureau (SLEB) Agreement. In July 2014, the USDA signed the revised SLEB Agreement, which comports to the processes previously employed by DPAF and endorsed through FNS Retailer Integrity Branch.</p>	

REPORT NUMBER	PERIOD ENDING	UNIT/AREA	SUMMARY OF FINDINGS AND RECOMMENDATIONS	SUMMARY OF CORRECTIVE ACTION TAKEN	ISSUE CODE
Auditor General Report No. 2014-109	September, 2013	<i>Unclaimed Property Management Information System (UPMIS)</i>	<p>Finding 1: The Department's reviewing and monitoring of program change requests needed improvement.</p> <p>Recommendation: The Department should establish a procedure for reviewing and monitoring aging program change requests based on available resources to ensure the system functions as intended by management.</p>	ONGOING: The Department continues to follow established procedures to ensure effective review and prioritization of change requests based on available resources and business owner prioritization.	
			<p>Finding 2: The Division of Accounting and Auditing, Bureau of Unclaimed Property did not have procedures to ensure that background checks were performed on employees selected to assist in the annual unclaimed property inventory process.</p> <p>Recommendation: The Department should ensure background checks have been completed for all employees assisting with the annual unclaimed property inventory process.</p>	CLOSED: The Division of Accounting and Auditing's procedures related to the annual inventory process were updated to reflect that background checks must be completed on any employee assisting with the annual inventory.	
Auditor General Report No. 2014-109 (...cont'd)	September, 2013	<i>Unclaimed Property Management Information System (UPMIS)</i>	<p>Finding 3: As similarly noted in Auditor General Report No. 2007-186, improvements were needed in the Department's procedures for deactivating access privileges to the database used for UPMIS data.</p> <p>Recommendation: The Department should ensure that access privileges to the UPMIS database are appropriately deactivated when corresponding access privileges to UPMIS are deactivated.</p>	CLOSED: On April 29, 2014, DIS completed a database account review which resulted in termination of orphaned user accounts. This effort coupled with the revised access issuance process will ensure that database accounts are deactivated within Department policy established timeframes.	
			<p>Finding 4: Certain security controls related to user authentication needed improvement.</p> <p>Recommendation: The Department should improve user authentication controls to ensure the continued confidentiality, integrity, and availability of Department data and IT resources.</p>	ONGOING: The Department has improved security controls in some areas noted in the report and will continue to address security controls in other areas, as appropriate.	
			<p>Finding 5: Access privileges of selected UPMIS IT programming staff were not appropriate for their job duties.</p> <p>Recommendation: The Department should continue to ensure that access to UPMIS is appropriate.</p>	ONGOING: The Department continues to review access to UPMIS to ensure that it remains appropriate.	

REPORT NUMBER	PERIOD ENDING	UNIT/AREA	SUMMARY OF FINDINGS AND RECOMMENDATIONS	SUMMARY OF CORRECTIVE ACTION TAKEN	ISSUE CODE
Auditor General Report No. 2014-173	June, 2013	<i>State of Florida Compliance and Internal Controls Over Financial Reporting and Federal Awards</i>	<p>Finding 2013-005: The Department's Statewide Financial Reporting Section (SFRS) improperly classified financial activity for a blended component unit of the State of Florida (State) as a special revenue fund rather than as an enterprise fund.</p> <p>Recommendation: We recommend that the SFRS strengthen review procedures to ensure that funds are correctly classified during the preparation of the State's financial statements.</p>	<p>ONGOING: SFRS will strengthen review procedures to ensure that funds are correctly classified during the preparation of the State's financial statements.</p>	
Auditor General Report No. 2014-184	February, 2013	<i>Payroll and Personnel Processes at Selected State Agencies</i>	<p>Finding 2: Some State agencies had not established adequate policies and procedures related to dual employment that effectively promoted compliance with State law. Additionally, State agencies did not always document that dual employment was properly approved in accordance with the requirements of State law, Department of Management Services (DMS) rules, and other guidelines.</p> <p>Recommendation: State agency management should establish appropriate procedures that provide for the proper submittal and approval of dual employment requests. Additionally, State agencies should utilize available dual employment reports to ensure that the dual employment activities of all applicable personnel have received appropriate consideration in accordance with State law, DMS rules, and other guidelines.</p>	<p>ONGOING: The DFS's Division of Administration Bureau of Human Resource Management (BHRM) has identified additional means of communicating to employees and managers the process for completing dual employment request forms. The BHRM will continue to send an email to all employees in May of each year reminding them of the dual employment Administrative Policy and Procedure (AP&P) 5-04. In addition, a reminder email will be sent quarterly to management staff reminding them of the dual employment process and AP&P 5-04. The payroll office will continue to utilize the available dual employment reports and communicate with BHRM when a duplicate payment has been made. The BHRM will verify whether or not the employee is entitled to both payments.</p>	
			<p>Finding 3: State agency and DFS processes and procedures for salary reissuances should be enhanced to avoid overpayments to third parties for miscellaneous post-tax deductions. Additionally, State agencies did not always timely initiate efforts to collect from third parties overpayments made as a result of canceled salary payments.</p> <p>Recommendation: The DFS should provide specific guidance to State agencies regarding the methods available to prevent overpayments of miscellaneous post-tax deductions related to salary payment reissuances.</p>	<p>ONGOING: DFS will provide specific guidance to State agencies regarding the methods available to prevent overpayments of miscellaneous post-tax deductions related to salary payment reissuances. This guidance will include revisions to DFS's Payroll Preparation Manual and distribution of a memorandum to State agencies with detailed instructions related to salary reissuances and recovery of salary overpayments.</p>	

REPORT NUMBER	PERIOD ENDING	UNIT/AREA	SUMMARY OF FINDINGS AND RECOMMENDATIONS	SUMMARY OF CORRECTIVE ACTION TAKEN	ISSUE CODE
Auditor General Report No. 2015-002	May, 2013	<i>Contract and Grant Management Processes at Selected State Agencies</i>	<p>Finding 1: State agencies did not always document that employees involved in the contractor evaluation and selection process attested in writing, or timely attested, that they were independent of, and had no conflict of interest in, the entities evaluated and selected.</p> <p>Recommendation: State agency management should take steps to ensure that conflict of interest attestations required by State law are timely completed by all individuals taking part in the contractor evaluation and selection process and that the attestation documents are appropriately maintained.</p>	<p>ONGOING: Additional measures were taken to clarify policy verbiage, and conflict of interest forms were incorporated into the contract routing process to assist contract managers with obtaining the required signatures in a timely manner. DFS internal procurement training sessions are also being utilized to remind contract managers of this requirement. In addition, written communication will also be sent as a reminder of the contract manager's responsibility in this regard.</p>	
Auditor General Report No. 2015-002 (...cont'd)	May, 2013	<i>Contract and Grant Management Processes at Selected State Agencies</i>	<p>Finding 3: State agencies did not always document that contracts were properly reviewed, approved, and executed in accordance with State law.</p> <p>Recommendation: State agency management should ensure that contracts are properly reviewed, approved, and executed in accordance with State law and that agency head delegations of authority are appropriately documented.</p>	<p>ONGOING: Additional measures have been taken to document delegations of authority. DFS internal contract manager training sessions are also being utilized to reinforce the requirement of maintaining this documentation within the contract manager files. In addition, written communication will also be sent as a reminder of the contract manager's responsibility in this regard.</p>	
			<p>Finding 5: State agencies did not always document that contract managers received, or timely received, required training for accountability in contracts management.</p> <p>Recommendation: State agency management should ensure that all contract managers attend the required DFS training for accountability in contracts management in accordance with State law and DFS guidelines. DFS management should continue to maximize the availability of contracts management training to facilitate State agency compliance with the statutory training requirements.</p>	<p>ONGOING: DFS management will continue to maximize the availability of contract management training to facilitate State agency compliance with the statutory training requirements.</p>	
			<p>Finding 6: State agencies did not always appropriately document that contract managers were independent of, and had no conflict of interest in, the entities whose contracts they were assigned to manage.</p> <p>Recommendation: State agency management should ensure that documentation is maintained to demonstrate that contract managers are independent of, and have no conflict of interest in, the entities whose contracts they are assigned to manage.</p>	<p>ONGOING: Additional measures have been taken to incorporate the conflict of interest forms inside of the contract routing process to assist contract managers with obtaining the required signatures prior to execution of the contract. DFS internal Contract Management training sessions are also being utilized to remind contract managers of this requirement. In addition, written communication will also be sent as a reminder of the contract manager's responsibility in this regard.</p>	

REPORT NUMBER	PERIOD ENDING	UNIT/AREA	SUMMARY OF FINDINGS AND RECOMMENDATIONS	SUMMARY OF CORRECTIVE ACTION TAKEN	ISSUE CODE
			<p>Finding 7: State agencies did not always document that sufficient contract monitoring had been performed in accordance with DFS and applicable State agency guidelines.</p> <p>Recommendation: State agency management should ensure that contract monitoring activities are appropriately performed and documented in accordance with DFS guidance and applicable State agency policies and procedures.</p>	<p>ONGOING: DFS management will continue to maximize the DFS internal Contract Management training to remind contract managers of their responsibility to complete their vendor performance reviews and monitoring activities in a timely manner and in accordance with the individual plan associated with each contract. In addition, written communication will also be sent as a reminder of the contract manager's responsibility in this regard.</p>	
Auditor General Report No. 2015-002 (...cont'd)	May, 2013	<i>Contract and Grant Management Processes at Selected State Agencies</i>	<p>Finding 8: State agencies could not always demonstrate that contract payments were properly approved, supported by adequate documentation, or made in accordance with applicable contract terms and Chief Financial Officer (CFO) memoranda.</p> <p>Recommendation: State agency management should ensure that contract payments are properly approved, adequately supported, and made in accordance with applicable contract terms and CFO memoranda.</p>	<p>ONGOING: We will continue to work with contract managers to remind them of their responsibility to maintain proper documentation of delegates and to include the certification signed directly by either the contract manager or their delegate.</p>	
			<p>Finding 9: State agencies did not always document that sufficient grant monitoring had been performed in accordance with DFS and applicable State agency procedures.</p> <p>Recommendation: State agency management should ensure that grant monitoring activities and grant manager independence are appropriately documented and that the monitoring results are timely communicated to the grantee.</p>	<p>ONGOING: Additional measures were taken to clarify policy verbiage, and conflict of interest forms were incorporated into the contract routing process to assist contract managers with obtaining the required signatures in a timely manner. DFS internal procurement and contract manager training sessions are also being utilized to remind contract managers of this and other requirements to reinforce the responsibilities of the contract manager and required documentation within their files. In addition, written communication will be sent as a reminder of the contract manager's responsibility in this regard.</p>	
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 the Department of Highway Safety and Motor Vehicles (DHSMV).</p>	<p>CLOSED: The Department centralized management of the MOU and designated DIS's Criminal Justice Information Compliance Officer as the Contract Manager for the MOU. The DIS effected various changes in administration of the MOU including the development of comprehensive policies related to use of the DAVE and DAVID databases.</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 (...cont'd)	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 2: a) User Access permissions were not always timely updated; b) Quarterly Quality Control (QQC) 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 QQC reviews and misuse audits. The DIS 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>	
			<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 DIS 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 DIS to review and approve MOUs involving the exchange of data and information with external entities.</p>	<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.</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 13-203	March, 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>	<p>CLOSED: To facilitate the detailed and timely revocation of access permissions for separated workers, DIS developed procedures and provided training to designated DCC's and POC's. Additionally, the Department's divisions have designated and trained back-ups to ensure that revocations are processed timely in the absence of the primary designee.</p>	
			<p>Finding 2: The 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: The DIS should consider updating the DAVE and DAVID Access Control Procedures to require documented supervisory review and approval of the QQC reviews.</p>	<p>CLOSED: DIS finalized and distributed updated DAVID procedures to the POCs on May 2, 2014. The procedures incorporate changes to the review process as a result of the implementation of the new DAVID system. Additionally, DIS continues to monitor the completion of the reviews conducted by the POCs.</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 DHSMV.</p> <p>Recommendation: In instances where clarification or changes are needed to the 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 DHSMV stated that the MOU will be revised subsequent to the implementation of the new DAVID system. The DAVE system will be unavailable starting May 15, 2014, and the old DAVID system is estimated to be unavailable starting June 30, 2014. The DFS MOU, however, does not expire until December 2014. Therefore, a new MOU will not be initiated by DHSMV until that time. DHSMV will coordinate with the Department's Division of Legal Services for execution of the revised 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 13-203 (...cont'd)	March, 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 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>CLOSED: DIS finalized and distributed updated DAVID procedures to the POCs on May 2, 2014. Consistent with the prior version of the procedures, the new procedures require the POCs to ensure that a DAVID User Acknowledgement Form is completed for each user prior to granting access to the system or information derived from it.</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>CLOSED: DIS finalized and distributed updated DAVID procedures to the POCs on May 2, 2014. The procedures incorporate changes to the review process as a result of the implementation of the new DAVID system. Consistent with the prior procedures, POCs are required to document the reviews, provide a copy of the review form to DIS, and follow defined misuse reporting protocol, when appropriate. Additionally, DIS continues to monitor the completion of the reviews conducted by the POCs.</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 13-203 (...cont'd)	March, 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 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 DIS, the OIG or 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: DIS finalized and distributed updated DAVID procedures to the POCs on May 2, 2014. Both the DAVID and CSIRT procedures were updated to incorporate requirements consistent with the MOU.</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>CLOSED: DIS finalized and distributed updated DAVID procedures to the POCs on May 2, 2014. The updated procedures require DFS Legal Services to evaluate legal authority for new user entities that require access to the system.</p>	
			<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 has made additional progress to remediate this security issue and will continue to work until corrective action is complete.</p>	

Fiscal Year 2015-16 LBR Technical Review Checklist

Department/Budget Entity (Service): Department of Financial Services (including OIR and OFR)
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	
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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	
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Action		Program or Service (Budget Entity Codes)				
		43500	43600	OIR	OFR	
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.					
TIP	Requests for appropriations which require advance payment authority must use the sub-title "Grants and Aids". For advance payment authority to local units of government, the Aid to Local Government appropriation category (05XXXX) should be used. For advance payment authority to non-profit organizations or other units of state government, the Special Categories appropriation category (10XXXX) should be used.					
4. EXHIBIT D (EADR, EXD)						
4.1	Is the program component objective statement consistent with the agency LRPP, and does it conform to the directives provided on page 61 of the LBR Instructions?	Y	Y	Y	Y	
4.2	Is the program component code and title used correct?	Y	Y	Y	Y	
TIP	Fund shifts or transfers of services or activities between program components will be displayed on an Exhibit D whereas it may not be visible on an Exhibit A.					
5. EXHIBIT D-1 (ED1R, EXD1)						
5.1	Are all object of expenditures positive amounts? (This is a manual check.)	Y	Y	Y	Y	
AUDITS:						
5.2	Do the fund totals agree with the object category totals within each appropriation category? (ED1R, XD1A - Report should print "No Differences Found For This Report")	Y	Y	Y	Y	
5.3	FLAIR Expenditure/Appropriation Ledger Comparison Report: Is Column A01 less than Column B04? (EXBR, EXBB - Negative differences need to be corrected in Column A01.)	Y	Y	Y	Y	
5.4	A01/State Accounts Disbursements and Carry Forward Comparison Report: Does Column A01 equal Column B08? (EXBR, EXBD - Differences need to be corrected in Column A01.)	Y	Y	Y	Y	
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 2013-14 approved budget. Amounts should be positive.					

Action		Program or Service (Budget Entity Codes)				
		43500	43600	OIR	OFR	
TIP If B08 is not equal to A01, check the following: 1) the initial FLAIR disbursements or carry forward data load was corrected appropriately in A01; 2) the disbursement data from departmental FLAIR was reconciled to State Accounts; and 3) the FLAIR disbursements did not change after Column B08 was created.						
6. EXHIBIT D-3 (ED3R, ED3) (Not required 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 33 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	
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 through E-6 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 annualized.		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 appropriate?		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 #14-001?		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	

Action		Program or Service (Budget Entity Codes)				
		43500	43600	OIR	OFR	
7.12	Does the issue narrative include plans to satisfy additional space requirements when requesting additional positions?	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	
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, 330010C0, 33011C0, 160E470, 160E480 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?	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	
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 65 through 70 of the LBR Instructions.					

Action		Program or Service (Budget Entity Codes)				
		43500	43600	OIR	OFR	
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 a state agency needs to include in its LBR a realignment or workload request issue to align its data processing services category with its projected FY 2015-16 data center costs, this can be completed by using the new State Data Center data processing services category (210001). (NSRC data processing services category (210022) and the SSRC data processing services category (210021) will no longer be used).					
TIP	If an appropriation made in the FY 2014-15 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; fixed capital outlay adjustment 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 FSI'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 general revenue 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	

Action		Program or Service (Budget Entity Codes)				
		43500	43600	OIR	OFR	
8.27	Has the agency properly accounted for continuing appropriations (category 13XXXX) in column A01, Section III?	Y	Y	Y	Y	
8.28	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	
8.29	Does Line I of Column A01 (Schedule I) equal Line K of the Schedule IC?	Y	Y	Y	Y	
AUDITS:						
8.30	Is Line I a positive number? (If not, the agency must adjust the budget request to eliminate the deficit).	Y	Y	Y	Y	
8.31	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	
8.32	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	
8.33	Has a Schedule IB been provided for each trust fund and does total agree with line I ?	Y	Y	Y	Y	
8.34	Have A/R been properly analyzed and any allowances for doubtful accounts been properly recorded on the Schedule IC?	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 130 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 161 of the LBR Instructions.)	Y	Y	Y	Y	

Action		Program or Service (Budget Entity Codes)				
		43500	43600	OIR	OFR	
10. SCHEDULE III (PSCR, SC3)						
10.1	Is the appropriate lapse amount applied in Segment 3? (See page 92 of the LBR Instructions.)	Y	Y	Y	Y	
10.2	Are amounts in <i>Other Salary Amount</i> appropriate and fully justified? (See page 99 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					
14. SCHEDULE VIIIB-2 (EADR, S8B2)						
14.1	Do the reductions comply with the instructions provided on pages 104 through 106 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 VIIIC (EADR, S8C) (LAS/PBS Web - see page 107-109 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?	Y	Y	Y	Y	
15.4	Are the priority narrative explanations adequate and do they follow the guidelines on pages 107-109 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)	Y	Y	Y	Y	

Action		Program or Service (Budget Entity Codes)				
		43500	43600	OIR	OFR	
16. SCHEDULE XI (USCR,SCXI) (LAS/PBS Web - see page 110-114 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:						
16.3	Does the FY 2013-14 Actual (prior year) Expenditures in Column A36 reconcile to Column A01? (GENR, ACT1)	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	
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	
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 Schedule XI submitted again.)	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	
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 115 through 158 of the LBR Instructions), and are they accurate and complete?	Y	Y	Y	Y	
17.2	Are appropriation category totals comparable to Exhibit B, where applicable?	Y	Y	Y	Y	
17.3	Are agency organization charts (Schedule X) provided and at the appropriate level of detail?	Y	Y	Y	Y	
17.4	Does the LBR include a separate IV-B for each IT project over \$1 million (see page 134 of the LBR instructions for exemptions to this rule)? Have all IV-B been emailed to: IT@LASPBS.state.fl.us	Y	Y	Y	Y	
17.5	Are all forms relating to Fixed Capital Outlay (FCO) funding requests submitted in the proper form, including a Truth in Bonding statement (if applicable) ?	Y	Y	Y	Y	

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

AUDITS - GENERAL INFORMATION

TIP	Review <i>Section 6: Audits</i> of the LBR Instructions (pages 160-162) 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	
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	
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Fiscal Year 2015-16 LBR Technical Review Checklist

Department/Budget Entity (Service): Department of Financial Services (including OIR and OFR)
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 <i>Section 3</i> 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 <i>Section 3</i> 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
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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
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Action		Program or Service (Budget Entity Codes)				
		43010	43100	43200	43300	43400
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.					
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.)	Y	Y	Y	Y	Y
TIP	If objects are negative amounts, the agency must make adjustments to Column A01 to correct the object amounts. In addition, the fund totals must be adjusted to reflect the adjustment made to the object data.					
TIP	If fund totals and object totals do not agree or negative object amounts exist, the agency must adjust Column A01.					
TIP	Exhibit B - A01 less than B04: This audit is to ensure that the disbursements and carry/certifications forward in A01 are less than FY 2013-14 approved budget. Amounts should be positive.					

Action		Program or Service (Budget Entity Codes)				
		43010	43100	43200	43300	43400
TIP If B08 is not equal to A01, check the following: 1) the initial FLAIR disbursements or carry forward data load was corrected appropriately in A01; 2) the disbursement data from departmental FLAIR was reconciled to State Accounts; and 3) the FLAIR disbursements did not change after Column B08 was created.						
6. EXHIBIT D-3 (ED3R, ED3) (Not required 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 33 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
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 through E-6 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 (OADA/C)? Amounts entered into OAD are reflected in the Position Detail of Salaries and Benefits section of the Exhibit D-3A.		Y	Y	Y	Y	Y
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 #14-001?		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

Action		Program or Service (Budget Entity Codes)				
		43010	43100	43200	43300	43400
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 (36XXXXCX) and are the correct issue codes used (361XXC0, 362XXC0, 363XXC0, 17C01C0, 17C02C0, 17C03C0, 24010C0, 33001C0, 330010C0, 33011C0, 160E470, 160E480 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?	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
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 65 through 70 of the LBR Instructions.					

Action		Program or Service (Budget Entity Codes)				
		43010	43100	43200	43300	43400
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 a state agency needs to include in its LBR a realignment or workload request issue to align its data processing services category with its projected FY 2015-16 data center costs, this can be completed by using the new State Data Center data processing services category (210001). (NSRC data processing services category (210022) and the SSRC data processing services category (210021) will no longer be used).					
TIP	If an appropriation made in the FY 2014-15 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; fixed capital outlay adjustment 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
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

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

Action		Program or Service (Budget Entity Codes)				
		43010	43100	43200	43300	43400
8.27	Has the agency properly accounted for continuing appropriations (category 13XXXX) in column A01, Section III?	Y	Y	Y	Y	Y
8.28	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
8.29	Does Line I of Column A01 (Schedule I) equal Line K of the Schedule IC?	Y	Y	Y	Y	Y
AUDITS:						
8.30	Is Line I a positive number? (If not, the agency must adjust the budget request to eliminate the deficit).	Y	Y	Y	Y	Y
8.31	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
8.32	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
8.33	Has a Schedule IB been provided for each trust fund and does total agree with line I ?	Y	Y	Y	Y	Y
8.34	Have A/R been properly analyzed and any allowances for doubtful accounts been properly recorded on the Schedule IC?	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 130 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 161 of the LBR Instructions.)	Y	Y	Y	Y	Y

Action	Program or Service (Budget Entity Codes)				
	43010	43100	43200	43300	43400
10. SCHEDULE III (PSCR, SC3)					
10.1 Is the appropriate lapse amount applied in Segment 3? (See page 92 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 99 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					
14. SCHEDULE VIIIB-2 (EADR, S8B2)					
14.1 Do the reductions comply with the instructions provided on pages 104 through 106 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 VIIIC (EADR, S8C) (LAS/PBS Web - see page 107-109 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?	Y	Y	Y	Y	Y
15.4 Are the priority narrative explanations adequate and do they follow the guidelines on pages 107-109 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)	Y	Y	Y	Y	Y

Action	Program or Service (Budget Entity Codes)				
	43010	43100	43200	43300	43400
16. SCHEDULE XI (USCR,SCXI) (LAS/PBS Web - see page 110-114 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 2013-14 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 Schedule XI submitted again.)	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 115 through 158 of the LBR Instructions), and are they accurate and complete?	Y	Y	Y	Y	Y
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
17.4 Does the LBR include a separate IV-B for each IT project over \$1 million (see page 134 of the LBR instructions for exemptions to this rule)? Have all IV-B been emailed to: IT@LASPBS.state.fl.us	Y	Y	Y	Y	Y
17.5 Are all forms relating to Fixed Capital Outlay (FCO) funding requests submitted in the proper form, including a Truth in Bonding statement (if applicable) ?	Y	Y	Y	Y	Y

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

AUDITS - GENERAL INFORMATION

TIP	Review <i>Section 6: Audits</i> of the LBR Instructions (pages 160-162) 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
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*** 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                      10/15/2014 10:03 *
* BUDGET PERIOD: 2005-2016      EXHIBIT D-1 LIST REQUEST                    TJM 43      SP   *
* COMPILE DATE: 12/28/2012     COMPILE TIME: 11:26:59                      PAGE:      1   *
*****
*
*                               SAVE INITIALS:      SAVE DEPARTMENT: 07      SAVE ID: XD1A      *
* -----*
*
* SELECT CODES AND ACCUMULATION LEVELS WHERE ALLOWED.  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: *
* 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: *
*
* FCO (Y/N): N      FTE (Y/N): N      OBJECTS (Y/N): Y      FUNDS (Y/N): Y *
* -----*
* OBJECT CODE/ACCUMULATION LEVEL (1 OR 2 FOR 2 OR 6 DIGITS, 0=MERGED): *
*   2 *
*
* REPORT OPTION: 1 (1=AUDIT ONLY, 2=DETAIL ONLY, 3=BOTH) *
*
* COLUMN SELECTION:      A01 *
*
* LEVELS OF TOTALS: (N=NO TOTAL, L=LINE TOTAL, T=BY FUND TYPE, D=BY DETAIL FUND) *
*   RUN: N      GROUP: N      DEPARTMENT: N      DIVISION: N      BUREAU: N *
*   SUB-BUREAU: N      LBE: D      PROG COMP: D      MAJOR APP CAT: N      MINOR APP CAT: D *
*
* APPROPRIATION CATEGORY TITLES: S      REPORT SEQUENCE: *
*   (S=SHORT, L=LONG)      DEPT/BUDGET ENTITY: N      A=ALPHABETICAL *
*                           PROGRAM COMPONENT: N      N=NUMERICAL *
* -----*
* INCLUDE COLUMN CODES (Y/N): N      PAGE BREAKS: LBE *
*                               (GRP, DEP, DIV, BUR, SUB,      REPORT HEADING:      EXHIBIT D-1 AUDIT *
*                               LBE, PRC, MAC, NAC) *
* -----*

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* BPED1L01                               STATISTICAL INFORMATION                10/15/2014 10:03 *
* BUDGET PERIOD: 2005-2016              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:          2,085                                *
* TOTAL RECORDS READ FROM CARD:          24                                  *
* TOTAL BGF RECORDS READ:                0                                  *
* TOTAL BEF RECORDS READ:                62                                  *
* TOTAL PCF RECORDS READ:                13                                  *
* TOTAL OCF RECORDS READ:                0                                  *
* TOTAL ACF RECORDS READ:                40                                  *
* TOTAL FCF RECORDS READ:                0                                  *
* TOTAL RECORDS IN ERROR:                0                                  *
*
*****

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*** NO DISCREPANCIES EXIST FOR THIS REPORT ***

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*****
* BPSC1L01                      STATISTICAL INFORMATION                      10/15/2014 10:03:36 *
* BUDGET PERIOD: 2005-2016      SCHEDULE I REPORT REQUEST                  TJM 43   SP   *
* COMPILE DATE: 06/23/2014     COMPILE TIME: 15:26:22                      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:          2,579
* 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 2013-14 DISP UPDT		COLUMN A02 CURR YR EST EXP 2014-15 DISP UPDT		COLUMN A03 AGY REQUEST FY 2015-16 DISP UPDT		LAST UPDATE		
	DATE	TIME	BY						
43000000 BUDGET	TRANS	MGMT	TRANS	MGMT	TRANS	TRANS	10/15/2014	10:01	TJM-43
TRUST	TRANS	MGMT	TRANS	MGMT	TRANS	TRANS	10/15/2014	10:01	TJM-43
43010000 BUDGET	TRANS	MGMT	TRANS	MGMT	TRANS	TRANS	10/15/2014	10:01	TJM-43
TRUST	TRANS	MGMT	TRANS	MGMT	TRANS	TRANS	10/15/2014	10:01	TJM-43
43010100 BUDGET	TRANS	MGMT	TRANS	MGMT	TRANS	TRANS	10/15/2014	10:01	TJM-43
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TRUST	TRANS	MGMT	TRANS	MGMT	TRANS	TRANS	10/15/2014	10:01	TJM-43
43010300 BUDGET	TRANS	MGMT	TRANS	MGMT	TRANS	TRANS	10/15/2014	10:01	TJM-43
TRUST	TRANS	MGMT	TRANS	MGMT	TRANS	TRANS	10/15/2014	10:01	TJM-43
43010400 BUDGET	TRANS	MGMT	TRANS	MGMT	TRANS	TRANS	10/15/2014	10:01	TJM-43
TRUST	TRANS	MGMT	TRANS	MGMT	TRANS	TRANS	10/15/2014	10:01	TJM-43
43010500 BUDGET	TRANS	MGMT	TRANS	MGMT	TRANS	TRANS	10/15/2014	10:01	TJM-43
TRUST	TRANS	MGMT	TRANS	MGMT	TRANS	TRANS	10/15/2014	10:01	TJM-43
43010600 BUDGET	TRANS	MGMT	TRANS	MGMT	TRANS	TRANS	10/15/2014	10:01	TJM-43
TRUST	TRANS	MGMT	TRANS	MGMT	TRANS	TRANS	10/15/2014	10:01	TJM-43
43100000 BUDGET	TRANS	MGMT	TRANS	MGMT	TRANS	TRANS	10/15/2014	10:01	TJM-43
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43100100 BUDGET	TRANS	MGMT	TRANS	MGMT	TRANS	TRANS	10/15/2014	10:01	TJM-43
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43100400 BUDGET	TRANS	MGMT	TRANS	MGMT	TRANS	TRANS	10/15/2014	10:01	TJM-43
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43200000 BUDGET	TRANS	MGMT	TRANS	MGMT	TRANS	TRANS	10/15/2014	10:01	TJM-43
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43200100 BUDGET	TRANS	MGMT	TRANS	MGMT	TRANS	TRANS	10/15/2014	10:01	TJM-43
TRUST	TRANS	MGMT	TRANS	MGMT	TRANS	TRANS	10/15/2014	10:01	TJM-43
43200200 BUDGET	TRANS	MGMT	TRANS	MGMT	TRANS	TRANS	10/15/2014	10:01	TJM-43
TRUST	TRANS	MGMT	TRANS	MGMT	TRANS	TRANS	10/15/2014	10:01	TJM-43
43300000 BUDGET	TRANS	MGMT	TRANS	MGMT	TRANS	TRANS	10/15/2014	10:01	TJM-43
TRUST	TRANS	MGMT	TRANS	MGMT	TRANS	TRANS	10/15/2014	10:01	TJM-43
43300200 BUDGET	TRANS	MGMT	TRANS	MGMT	TRANS	TRANS	10/15/2014	10:01	TJM-43
TRUST	TRANS	MGMT	TRANS	MGMT	TRANS	TRANS	10/15/2014	10:01	TJM-43
43300300 BUDGET	TRANS	MGMT	TRANS	MGMT	TRANS	TRANS	10/15/2014	10:01	TJM-43
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43300400 BUDGET	TRANS	MGMT	TRANS	MGMT	TRANS	TRANS	10/15/2014	10:01	TJM-43
TRUST	TRANS	MGMT	TRANS	MGMT	TRANS	TRANS	10/15/2014	10:01	TJM-43
43300500 BUDGET	TRANS	MGMT	TRANS	MGMT	TRANS	TRANS	10/15/2014	10:01	TJM-43
TRUST	TRANS	MGMT	TRANS	MGMT	TRANS	TRANS	10/15/2014	10:01	TJM-43
43350000 BUDGET	TRANS	MGMT	TRANS	MGMT	TRANS	TRANS	10/15/2014	10:01	TJM-43
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43350100 BUDGET	TRANS	MGMT	TRANS	MGMT	TRANS	TRANS	10/15/2014	10:01	TJM-43
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TRUST	TRANS	MGMT	TRANS	MGMT	TRANS	TRANS	10/15/2014	10:01	TJM-43

BUDGET ENTITY	COLUMN A01 ACT PR YR EXP 2013-14 DISP UPDT		COLUMN A02 CURR YR EST EXP 2014-15 DISP UPDT		COLUMN A03 AGY REQUEST FY 2015-16 DISP UPDT		LAST UPDATE		
	DATE	TIME	BY						
43900120 BUDGET	TRANS	MGMT	TRANS	MGMT	TRANS	TRANS	10/15/2014	10:01	TJM-43
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43900500 BUDGET	TRANS	MGMT	TRANS	MGMT	TRANS	TRANS	10/15/2014	10:01	TJM-43
TRUST	TRANS	MGMT	TRANS	MGMT	TRANS	TRANS	10/15/2014	10:01	TJM-43
43900510 BUDGET	TRANS	MGMT	TRANS	MGMT	TRANS	TRANS	10/15/2014	10:01	TJM-43
TRUST	TRANS	MGMT	TRANS	MGMT	TRANS	TRANS	10/15/2014	10:01	TJM-43
43900520 BUDGET	TRANS	MGMT	TRANS	MGMT	TRANS	TRANS	10/15/2014	10:01	TJM-43
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43900530 BUDGET	TRANS	MGMT	TRANS	MGMT	TRANS	TRANS	10/15/2014	10:01	TJM-43
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43900540 BUDGET	TRANS	MGMT	TRANS	MGMT	TRANS	TRANS	10/15/2014	10:01	TJM-43
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43900560 BUDGET	TRANS	MGMT	TRANS	MGMT	TRANS	TRANS	10/15/2014	10:01	TJM-43
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43910000 BUDGET	TRANS	MGMT	TRANS	MGMT	TRANS	TRANS	10/15/2014	10:01	TJM-43
TRUST	TRANS	MGMT	TRANS	MGMT	TRANS	TRANS	10/15/2014	10:01	TJM-43
43910100 BUDGET	TRANS	MGMT	TRANS	MGMT	TRANS	TRANS	10/15/2014	10:01	TJM-43
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43910200 BUDGET	TRANS	MGMT	TRANS	MGMT	TRANS	TRANS	10/15/2014	10:01	TJM-43
TRUST	TRANS	MGMT	TRANS	MGMT	TRANS	TRANS	10/15/2014	10:01	TJM-43
43910400 BUDGET	TRANS	MGMT	TRANS	MGMT	TRANS	TRANS	10/15/2014	10:01	TJM-43
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TRUST	TRANS	MGMT	TRANS	MGMT	TRANS	TRANS	10/15/2014	10:01	TJM-43
43910600 BUDGET	TRANS	MGMT	TRANS	MGMT	TRANS	TRANS	10/15/2014	10:01	TJM-43
TRUST	TRANS	MGMT	TRANS	MGMT	TRANS	TRANS	10/15/2014	10:01	TJM-43

*** END OF REPORT ***

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*****
* PCSDLP01                                STATISTICAL INFORMATION                                10/15/2014 10:03 *
* BUDGET PERIOD: 2005-2016                COLUMN SECURITY LIST REQUEST                            TJM 43   SP 21 *
*                                                                                                     PAGE:    1 *
*****
*                                     SAVE INITIALS:          SAVE DEPARTMENT: 07      SAVE ID: CSA          *
* -----*
* SELECT CODES.  WHEN NO CODE IS SELECTED, ALL CODES WILL BE REPORTED.
*
* BUDGET ENTITY OR GROUP:
*   1-9:  43      _____
*  10-18: _____
*  19-27: _____
*
* COLUMN SELECTION:  A01 A02 A03  _____
*
*                                     REPORT HEADINGS:  _____
*                                     _____
*                                     _____
* -----*
* CSF RECORDS SELECTED:                   64
* CHF RECORDS SELECTED:                    3
*
*****
*                                     *** END OF REPORT ***
*****

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COL A03		COL A04		COL A03-A04		
AGY REQUEST		AGY REQ N/R		AGY REQUEST		
FY 2015-16		FY 2015-16		FY 2015-16		
POS AMOUNT		POS AMOUNT		POS AMOUNT		CODES

NO NEGATIVE APPROPRIATION CATEGORIES FOUND

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*****
* BPNACL01                STATISTICAL INFORMATION                10/15/2014 10:03:42 *
* BUDGET PERIOD: 2005-2016    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:                652
* 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:                283
* 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 2015-16 REQUESTED RATE	DEFAULT MINIMUM RATE	PROPOSED MINIMUM UPDATE	OVER/UNDER CALCULATED MINIMUM	CONTRACT MONTHS
N0001	002	2117	SYSTEMS PROGRAMMING CONSULTANT	2.00	119,653	49,428	98,856	20,797	
PAY PLAN TOTALS									
TOTAL SELECTED VACANT POSITIONS				2.00	119,653	49,428	98,856	20,797	
TOTAL POSITIONS				2.00					
PERCENT OF SELECTED VACANT POSITIONS				100.00					
PROGRAM COMPONENT TOTALS									
TOTAL SELECTED VACANT POSITIONS				2.00	119,653	49,428	98,856	20,797	
TOTAL POSITIONS				2.00					
PERCENT OF SELECTED VACANT POSITIONS				100.00					
BUDGET ENTITY TOTALS									
TOTAL SELECTED VACANT POSITIONS				2.00	119,653	49,428	98,856	20,797	
TOTAL POSITIONS				2.00					
PERCENT OF SELECTED VACANT POSITIONS				100.00					

 SEGMENT 2

43 FINANCIAL SERVICES
 50 PGM: LICNSNG/CNSMER PROTEC
 05 FUNERAL/CEMETERY SERVICES

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 2015-16 REQUESTED RATE	DEFAULT MINIMUM RATE	PROPOSED MINIMUM UPDATE	OVER/UNDER CALCULATED MINIMUM	CONTRACT MONTHS
N0005	002	2225	SENIOR MANAGEMENT ANALYST II -	5.00	255,095	46,382	231,910	23,185	
PAY PLAN TOTALS									
TOTAL SELECTED VACANT POSITIONS				5.00	255,095	46,382	231,910	23,185	
TOTAL POSITIONS				5.00					
PERCENT OF SELECTED VACANT POSITIONS				100.00					
PROGRAM COMPONENT TOTALS									
TOTAL SELECTED VACANT POSITIONS				5.00	255,095	46,382	231,910	23,185	
TOTAL POSITIONS				5.00					
PERCENT OF SELECTED VACANT POSITIONS				100.00					
BUDGET ENTITY TOTALS									
TOTAL SELECTED VACANT POSITIONS				5.00	255,095	46,382	231,910	23,185	
TOTAL POSITIONS				5.00					
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

POS. NO.	SEQ. NO.	CLASS CODE	CLASS TITLE	FTE	COL A03 AGY REQUEST FY 2015-16 REQUESTED RATE	DEFAULT MINIMUM RATE	PROPOSED MINIMUM UPDATE	OVER/UNDER CALCULATED MINIMUM	CONTRACT MONTHS
N0002	002	3512	INSURANCE SPECIALIST III	7.00	251,767	32,698	228,886	22,881	
PAY PLAN TOTALS									
TOTAL SELECTED VACANT POSITIONS				7.00	251,767	32,698	228,886	22,881	
TOTAL POSITIONS				7.00					
PERCENT OF SELECTED VACANT POSITIONS				100.00					
PROGRAM COMPONENT TOTALS									
TOTAL SELECTED VACANT POSITIONS				7.00	251,767	32,698	228,886	22,881	
TOTAL POSITIONS				7.00					
PERCENT OF SELECTED VACANT POSITIONS				100.00					
BUDGET ENTITY TOTALS									
TOTAL SELECTED VACANT POSITIONS				7.00	251,767	32,698	228,886	22,881	
TOTAL POSITIONS				7.00					
PERCENT OF SELECTED VACANT POSITIONS				100.00					
DEPARTMENT TOTALS									
TOTAL SELECTED VACANT POSITIONS				14.00	626,515	128,508	559,652	66,863	
TOTAL POSITIONS				14.00					
PERCENT OF SELECTED VACANT POSITIONS				100.00					
SEGMENT 2 TOTALS									
TOTAL SELECTED VACANT POSITIONS				14.00	626,515	128,508	559,652	66,863	
TOTAL POSITIONS				14.00					
PERCENT OF SELECTED VACANT POSITIONS				100.00					

 SEGMENT 3

43 FINANCIAL SERVICES
 40 PGM: ST PROP/CASUALTY CLMS
 01 ST SELF-INSURED CLAIMS ADJ

16.01.00.00.00 GOVERNMENTAL OPERATIONS

01 CAREER SERVICE

POS. NO.	SEQ. NO.	CLASS CODE	CLASS TITLE	FTE	COL A03 AGY REQUEST FY 2015-16 REQUESTED RATE	DEFAULT MINIMUM RATE	PROPOSED MINIMUM UPDATE	OVER/UNDER CALCULATED MINIMUM	CONTRACT MONTHS
N0001	001	2225	GOVERNMENT ANALYST II	4.00	205,941	46,382	185,528	20,413	
PAY PLAN TOTALS									
TOTAL SELECTED VACANT POSITIONS				4.00	205,941	46,382	185,528	20,413	
TOTAL POSITIONS				4.00					
PERCENT OF SELECTED VACANT POSITIONS				100.00					
PROGRAM COMPONENT TOTALS									
TOTAL SELECTED VACANT POSITIONS				4.00	205,941	46,382	185,528	20,413	
TOTAL POSITIONS				4.00					
PERCENT OF SELECTED VACANT POSITIONS				100.00					
BUDGET ENTITY TOTALS									
TOTAL SELECTED VACANT POSITIONS				4.00	205,941	46,382	185,528	20,413	
TOTAL POSITIONS				4.00					
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 2015-16 REQUESTED RATE	DEFAULT MINIMUM RATE	PROPOSED MINIMUM UPDATE	OVER/UNDER CALCULATED MINIMUM	CONTRACT MONTHS
C0080	001	8701	SENIOR ACTUARIAL ANALYST	1.00	51,019	46,382	46,382	4,637	
PAY PLAN TOTALS									
TOTAL SELECTED VACANT POSITIONS				1.00	51,019	46,382	46,382	4,637	
TOTAL POSITIONS				1.00					
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

08 SELECTED EXEMPT SERVICES

POS. NO.	SEQ. NO.	CLASS CODE	CLASS TITLE	FTE	COL A03 AGY REQUEST FY 2015-16 REQUESTED RATE	DEFAULT MINIMUM RATE	PROPOSED MINIMUM UPDATE	OVER/UNDER CALCULATED MINIMUM	CONTRACT MONTHS
C0061	001	1587	FINANCIAL ADMINISTRATOR - SES	2.00	123,524	56,149	112,298	11,226	
C0081	001	3554	ACTUARY	2.00	280,000	74,860	149,720	130,280	
PAY PLAN TOTALS									
TOTAL SELECTED VACANT POSITIONS				4.00	403,524	131,009	262,018	141,506	
TOTAL POSITIONS				4.00					
PERCENT OF SELECTED VACANT POSITIONS				100.00					
PROGRAM COMPONENT TOTALS									
TOTAL SELECTED VACANT POSITIONS				5.00	454,543	177,391	308,400	146,143	
TOTAL POSITIONS				5.00					
PERCENT OF SELECTED VACANT POSITIONS				100.00					
BUDGET ENTITY TOTALS									
TOTAL SELECTED VACANT POSITIONS				5.00	454,543	177,391	308,400	146,143	
TOTAL POSITIONS				5.00					
PERCENT OF SELECTED VACANT POSITIONS				100.00					
DEPARTMENT TOTALS									
TOTAL SELECTED VACANT POSITIONS				9.00	660,484	223,773	493,928	166,556	
TOTAL POSITIONS				9.00					
PERCENT OF SELECTED VACANT POSITIONS				100.00					
SEGMENT 3 TOTALS									
TOTAL SELECTED VACANT POSITIONS				9.00	660,484	223,773	493,928	166,556	
TOTAL POSITIONS				9.00					
PERCENT OF SELECTED VACANT POSITIONS				100.00					
REPORT TOTALS									
TOTAL SELECTED VACANT POSITIONS				23.00	1,286,999	352,281	1,053,580	233,419	
TOTAL POSITIONS				23.00					
PERCENT OF SELECTED VACANT POSITIONS				100.00					


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*****
* PBRALP01                                STATISTICAL INFORMATION                                10/15/2014 10:03 *
* BUDGET PERIOD: 2005-2016                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                PAY GRADE MINIMUM OPTION: 2                BASE RATE OPTION: 3
*   1=POSITION REPORT ONLY          1=CURRENT ANNUAL MINIMUM          1=BASE RATE LESS THAN PAY GRADE MINIMUM OPTION
*   2=POSITION UPDATE AND REPORT    2=BUDGET DEFAULT MINIMUM          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          ADJUST FOR ROUNDING (Y/N): N
*   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
*
* BUDGET ENTITY PAGE BREAKS (Y/N): Y
*
* REPORT HEADINGS: BASE RATE AUDIT REPORT
* -----
*
* TOTAL CPF RECORDS READ:          0
* TOTAL PAF RECORDS READ:          9
* TOTAL BEF RECORDS READ:         24
* TOTAL BGF RECORDS READ:          0
* TOTAL PCF RECORDS READ:          6
* TOTAL PPF RECORDS READ:          6
* TOTAL DPC RECORDS READ:          7
* TOTAL VACANT POSITIONS SELECTED:  7
* TOTAL FILLED POSITIONS SELECTED:  0
*
*****

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

THERE WERE 0 ERRORS DETECTED

	COL A01	COL B04	COL B04-A01	
			APPROV BUD	
			13-14 HDF	
			OVER (UNDER)	
	ACT PR YR	APPROV BUD	ACT PR YR	
	EXP 2013-14	13-14 HDF	EXP 2013-14	
	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.....	8,607,539	9,377,696	770,157	2021
=====	=====	=====	=====	
OTHER PERSONAL SERVICES				030000
ADMINISTRATIVE TRUST FUND.....	98,277	104,780	6,503	2021
=====	=====	=====	=====	
EXPENSES				040000
ADMINISTRATIVE TRUST FUND.....	1,248,649	1,427,766	179,117	2021
=====	=====	=====	=====	
OPERATING CAPITAL OUTLAY				060000
ADMINISTRATIVE TRUST FUND.....	24,399	30,000	5,601	2021
=====	=====	=====	=====	
SPECIAL CATEGORIES				100000
ACQUISITION/MOTOR VEHICLES				100021
ADMINISTRATIVE TRUST FUND.....	778,088	790,217	12,129	2021
=====	=====	=====	=====	
CONTRACTED SERVICES				100777
ADMINISTRATIVE TRUST FUND.....	230,415	348,325	117,910	2021
=====	=====	=====	=====	
TENANT BROKER COMMISSIONS				105084
ADMINISTRATIVE TRUST FUND.....	23,663	60,000	36,337	2021
=====	=====	=====	=====	
LEASE/PURCHASE/EQUIPMENT				105281
ADMINISTRATIVE TRUST FUND.....	132,149	144,268	12,119	2021
=====	=====	=====	=====	

	COL A01		COL B04		COL B04-A01		
					APPROV BUD		
					13-14 HDF		
					OVER (UNDER)		
	ACT PR YR		APPROV BUD		ACT PR YR		
	EXP 2013-14		13-14 HDF		EXP 2013-14		
	POS	AMOUNT	POS	AMOUNT	POS	AMOUNT	CODES
FINANCIAL SERVICES							43000000
PRG: CHIEF FIN OFFICER/ADM							43010000
EXECUTIVE DIR/SUPPORT SVCS							43010100
TOTAL: EXECUTIVE DIR/SUPPORT SVCS							43010100
BY FUND							
ADMINISTRATIVE TRUST FUND.....		11,143,179		12,283,052		1,139,873	2021
	=====		=====		=====		

	COL A01	COL B04	COL B04-A01	
			APPROV BUD	
			13-14 HDF	
			OVER (UNDER)	
	ACT PR YR	APPROV BUD	ACT PR YR	
	EXP 2013-14	13-14 HDF	EXP 2013-14	
	POS	AMOUNT	POS	AMOUNT
				CODES
FINANCIAL SERVICES				43000000
PRG: CHIEF FIN OFFICER/ADM				43010000
LEGAL SERVICES				43010200
SALARIES AND BENEFITS				010000
ADMINISTRATIVE TRUST FUND.....	6,282,300	6,467,343	185,043	2021
OTHER PERSONAL SERVICES				030000
ADMINISTRATIVE TRUST FUND.....	249,814	279,388	29,574	2021
EXPENSES				040000
ADMINISTRATIVE TRUST FUND.....	653,811	666,236	12,425	2021
SPECIAL CATEGORIES				100000
CONTRACTED SERVICES				100777
ADMINISTRATIVE TRUST FUND.....	206,142	247,106	40,964	2021
TOTAL: LEGAL SERVICES				43010200
BY FUND				
ADMINISTRATIVE TRUST FUND.....	7,392,067	7,660,073	268,006	2021

	COL A01	COL B04	COL B04-A01	
			APPROV BUD	
			13-14 HDF	
			OVER (UNDER)	
	ACT PR YR	APPROV BUD	ACT PR YR	
	EXP 2013-14	13-14 HDF	EXP 2013-14	
	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.....	9,081,272	9,702,258	620,986	2021
=====	=====	=====	=====	
EXPENSES				040000
ADMINISTRATIVE TRUST FUND.....	3,438,744	3,454,822	16,078	2021
=====	=====	=====	=====	
OPERATING CAPITAL OUTLAY				060000
ADMINISTRATIVE TRUST FUND.....	1,135,690	1,149,120	13,430	2021
=====	=====	=====	=====	
SPECIAL CATEGORIES				100000
CONTRACTED SERVICES				100777
ADMINISTRATIVE TRUST FUND.....	7,167,429	7,303,458	136,029	2021
=====	=====	=====	=====	
TOTAL: INFORMATION TECHNOLOGY				43010300
BY FUND				
ADMINISTRATIVE TRUST FUND.....	20,823,135	21,609,658	786,523	2021
=====	=====	=====	=====	

	COL A01		COL B04		COL B04-A01		
	ACT PR YR		APPROV BUD		APPROV BUD		
	EXP 2013-14		13-14 HDF		13-14 HDF		
	POS	AMOUNT	POS	AMOUNT	POS	AMOUNT	CODES
FINANCIAL SERVICES							43000000
PRG: CHIEF FIN OFFICER/ADM							43010000
CONSUMER ADVOCATE							43010400
OTHER PERSONAL SERVICES							030000
INSURANCE REG TF.....				67,229		67,229	2393
EXPENSES							040000
INSURANCE REG TF.....		44,290		58,377		14,087	2393
SPECIAL CATEGORIES							100000
CONTRACTED SERVICES							100777
INSURANCE REG TF.....		1,397		20,471		19,074	2393
TOTAL: CONSUMER ADVOCATE							43010400
BY FUND							
INSURANCE REG TF.....		45,687		146,077		100,390	2393

	COL A01	COL B04	COL B04-A01	
			APPROV BUD	
			13-14 HDF	
			OVER (UNDER)	
	ACT PR YR	APPROV BUD	ACT PR YR	
	EXP 2013-14	13-14 HDF	EXP 2013-14	
	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	5,782,530	6,162,458	379,928	1000
ADMINISTRATIVE TRUST FUND	463,151	489,700	26,549	2021
TOTAL APPRO.....	6,245,681	6,652,158	406,477	
EXPENSES				040000
GENERAL REVENUE FUND	1,511,838	1,611,538	99,700	1000
ADMINISTRATIVE TRUST FUND	75,140	137,013	61,873	2021
TOTAL APPRO.....	1,586,978	1,748,551	161,573	
SPECIAL CATEGORIES				100000
CONTRACTED SERVICES				100777
ADMINISTRATIVE TRUST FUND	1,751,584	2,213,000	461,416	2021
TOTAL APPRO.....	4,616,108	5,081,816	465,708	
TOTAL: INFO TECHNOLOGY - FLAIR				43010500
BY FUND				
GENERAL REVENUE FUND	10,158,892	10,642,812	483,920	1000
ADMINISTRATIVE TRUST FUND	2,289,875	2,839,713	549,838	2021
TOTAL BUREAU.....	12,448,767	13,482,525	1,033,758	

	COL A01	COL B04	COL B04-A01	
			APPROV BUD	
			13-14 HDF	
			OVER (UNDER)	
	ACT PR YR	APPROV BUD	ACT PR YR	
	EXP 2013-14	13-14 HDF	EXP 2013-14	
	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.....	1,388,664	1,523,662	134,998	2725
EXPENSES				040000
TREASURY ADM/INVEST TF.....	183,687	245,113	61,426	2725
SPECIAL CATEGORIES				100000
CONTRACTED SERVICES				100777
TREASURY ADM/INVEST TF.....	66,653	80,205	13,552	2725
TOTAL: DEPOSIT SECURITY				43100200
BY FUND				
TREASURY ADM/INVEST TF.....	1,639,004	1,848,980	209,976	2725

	COL A01	COL B04	COL B04-A01	
			APPROV BUD	
			13-14 HDF	
			OVER (UNDER)	
	ACT PR YR	APPROV BUD	ACT PR YR	
	EXP 2013-14	13-14 HDF	EXP 2013-14	
	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.....	1,635,584	1,761,736	126,152	2725
=====	=====	=====	=====	
OTHER PERSONAL SERVICES				030000
TREASURY ADM/INVEST TF.....		17,500	17,500	2725
=====	=====	=====	=====	
EXPENSES				040000
TREASURY ADM/INVEST TF.....	166,609	248,346	81,737	2725
=====	=====	=====	=====	
TOTAL: ST FUNDS MGT & INVESTMENT				43100300
BY FUND				
TREASURY ADM/INVEST TF.....	1,802,193	2,027,582	225,389	2725
=====	=====	=====	=====	

	COL A01	COL B04	COL B04-A01	
			APPROV BUD	
			13-14 HDF	
			OVER (UNDER)	
	ACT PR YR	APPROV BUD	ACT PR YR	
	EXP 2013-14	13-14 HDF	EXP 2013-14	
	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.....	631,179	672,846	41,667	2725
EXPENSES				040000
TREASURY ADM/INVEST TF.....	90,902	108,328	17,426	2725
SPECIAL CATEGORIES				100000
DEFERRED COMP ADM SVCS				100868
TREASURY ADM/INVEST TF.....	662,888	950,000	287,112	2725
TOTAL: SUP RETIREMENT PLAN				43100400
BY FUND				
TREASURY ADM/INVEST TF.....	1,384,969	1,731,174	346,205	2725

	COL A01	COL B04	COL B04-A01	
			APPROV BUD	
			13-14 HDF	
			OVER (UNDER)	
	ACT PR YR	APPROV BUD	ACT PR YR	
	EXP 2013-14	13-14 HDF	EXP 2013-14	
	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	9,548,709	10,560,750	1,012,041	1000
ADMINISTRATIVE TRUST FUND	768,290	1,321,781	553,491	2021
TOTAL APPRO.....	10,316,999	11,882,531	1,565,532	
	=====	=====	=====	
OTHER PERSONAL SERVICES				030000
GENERAL REVENUE FUND	1,623	22,994	21,371	1000
ADMINISTRATIVE TRUST FUND	2,788	45,420	42,632	2021
TOTAL APPRO.....	4,411	68,414	64,003	
	=====	=====	=====	
EXPENSES				040000
GENERAL REVENUE FUND	893,684	1,036,292	142,608	1000
ADMINISTRATIVE TRUST FUND	41	116,201	116,160	2021
TOTAL APPRO.....	893,725	1,152,493	258,768	
	=====	=====	=====	
OPERATING CAPITAL OUTLAY				060000
GENERAL REVENUE FUND.....	6,508	27,000	20,492	1000
	=====	=====	=====	
SPECIAL CATEGORIES				100000
CONTRACTED SERVICES				100777
GENERAL REVENUE FUND	767,663	855,949	88,286	1000
TOTAL APPRO.....	847,663	935,949	88,286	
	=====	=====	=====	

	COL A01	COL B04	COL B04-A01	
			APPROV BUD	
			13-14 HDF	
			OVER (UNDER)	
	ACT PR YR	APPROV BUD	ACT PR YR	
	EXP 2013-14	13-14 HDF	EXP 2013-14	
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	11,218,187	12,502,985	1,284,798	1000
ADMINISTRATIVE TRUST FUND	851,119	1,563,402	712,283	2021
TOTAL BUREAU.....	12,069,306	14,066,387	1,997,081	

	COL A01	COL B04	COL B04-A01	
			APPROV BUD	
			13-14 HDF	
			OVER (UNDER)	
	ACT PR YR	APPROV BUD	ACT PR YR	
	EXP 2013-14	13-14 HDF	EXP 2013-14	
	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.....	3,267,116	3,382,273	115,157	2007
EXPENSES				040000
UNCLAIMED PROPERTY TF.....	713,977	846,755	132,778	2007
SPECIAL CATEGORIES				100000
CONTRACTED SERVICES				100777
UNCLAIMED PROPERTY TF.....	165,684	226,794	61,110	2007
TOTAL: RECOVERY & RETURN OF UP				43200200
BY FUND				
UNCLAIMED PROPERTY TF.....	4,146,777	4,455,822	309,045	2007

	COL A01	COL B04	COL B04-A01	
			APPROV BUD	
			13-14 HDF	
			OVER (UNDER)	
	ACT PR YR	APPROV BUD	ACT PR YR	
	EXP 2013-14	13-14 HDF	EXP 2013-14	
	POS	AMOUNT	POS	AMOUNT
				CODES
FINANCIAL SERVICES				43000000
PROGRAM: FIRE MARSHAL				43300000
<u>COMPLIANCE & ENFORCEMENT</u>				43300200
SALARIES AND BENEFITS				010000
INSURANCE REG TF.....	3,412,786	3,601,893	189,107	2393
EXPENSES				040000
INSURANCE REG TF.....	684,934	691,479	6,545	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.....	4,097,720	4,306,572	208,852	2393

	COL A01	COL B04	COL B04-A01	
			APPROV BUD	
			13-14 HDF	
			OVER (UNDER)	
	ACT PR YR	APPROV BUD	ACT PR YR	
	EXP 2013-14	13-14 HDF	EXP 2013-14	
	POS	AMOUNT	POS	AMOUNT
	POS	AMOUNT	POS	AMOUNT
				CODES
FINANCIAL SERVICES				43000000
PROGRAM: FIRE MARSHAL				43300000
<u>FIRE & ARSON INVESTIGATION</u>				43300300
SALARIES AND BENEFITS				010000
INSURANCE REG TF.....	8,138,618	8,401,967	263,349	2393
OPERATING CAPITAL OUTLAY				060000
INSURANCE REG TF.....	97,455	102,709	5,254	2393
SPECIAL CATEGORIES				100000
CONTRACTED SERVICES				100777
INSURANCE REG TF.....	147,047	175,374	28,327	2393
DOMESTIC SECURITY				100851
INSURANCE REG TF.....	48,766	114,502	65,736	2393
OPERATION/MOTOR VEHICLES				102289
INSURANCE REG TF.....	166,332	183,900	17,568	2393
TOTAL: FIRE & ARSON INVESTIGATION				43300300
BY FUND				
INSURANCE REG TF.....	8,598,218	8,978,452	380,234	2393

	COL A01	COL B04	COL B04-A01	
			APPROV BUD	
			13-14 HDF	
			OVER (UNDER)	
	ACT PR YR	APPROV BUD	ACT PR YR	
	EXP 2013-14	13-14 HDF	EXP 2013-14	
	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.....	1,579,681	1,637,263	57,582	2393
	=====	=====	=====	
OTHER PERSONAL SERVICES				030000
INSURANCE REG TF.....	176,956	200,000	23,044	2393
	=====	=====	=====	
EXPENSES				040000
INSURANCE REG TF.....	552,660	559,845	7,185	2393
	=====	=====	=====	
SPECIAL CATEGORIES				100000
CONTRACTED SERVICES				100777
INSURANCE REG TF.....	207,318	225,008	17,690	2393
	=====	=====	=====	
DOMESTIC SECURITY				100851
INSURANCE REG TF.....	2,582,204	3,636,753	1,054,549	2393
	=====	=====	=====	
SUPP FIREFIGHTERS COMP				103725
INSURANCE REG TF.....	8,249	14,500	6,251	2393
	=====	=====	=====	
TOTAL: PROF TRAINING & STANDARDS				43300400
BY FUND				
INSURANCE REG TF.....	5,107,068	6,273,369	1,166,301	2393
	=====	=====	=====	

	COL A01	COL B04	COL B04-A01	
			APPROV BUD	
			13-14 HDF	
			OVER (UNDER)	
	ACT PR YR	APPROV BUD	ACT PR YR	
	EXP 2013-14	13-14 HDF	EXP 2013-14	
	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.....	1,194,057	1,235,136	41,079	2393
	=====	=====	=====	
SPECIAL CATEGORIES				100000
CONTRACTED SERVICES				100777
INSURANCE REG TF.....	181,396	188,189	6,793	2393
	=====	=====	=====	
SUPP FIREFIGHTERS COMP				103725
INSURANCE REG TF.....	1,674	7,500	5,826	2393
	=====	=====	=====	
TOTAL: FIRE MRSHL ADMN & SUP SRVS				43300500
BY FUND				
INSURANCE REG TF.....	1,377,127	1,430,825	53,698	2393
	=====	=====	=====	

	COL A01	COL B04	COL B04-A01	
			APPROV BUD	
			13-14 HDF	
			OVER (UNDER)	
	ACT PR YR	APPROV BUD	ACT PR YR	
	EXP 2013-14	13-14 HDF	EXP 2013-14	
	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.....	5,339,757	6,125,481	785,724	2078
=====	=====	=====	=====	
OTHER PERSONAL SERVICES				030000
STATE RISK MGMT TF.....	30,489	38,979	8,490	2078
=====	=====	=====	=====	
EXPENSES				040000
STATE RISK MGMT TF.....	782,625	922,235	139,610	2078
=====	=====	=====	=====	
SPECIAL CATEGORIES				100000
CONTRACT LEGAL - ATTY GEN				100904
STATE RISK MGMT TF.....	4,783,632	5,987,284	1,203,652	2078
=====	=====	=====	=====	
CONTRACTED LEGAL SERVICES				100905
STATE RISK MGMT TF.....	16,371,875	17,102,020	730,145	2078
=====	=====	=====	=====	
RISK MGMT INFO CLAIMS SYS				101222
STATE RISK MGMT TF.....		2,225,000	2,225,000	2078
=====	=====	=====	=====	
TOTAL: ST SELF-INSURED CLAIMS ADJ				43400100
BY FUND				
STATE RISK MGMT TF.....	27,308,378	32,400,999	5,092,621	2078
=====	=====	=====	=====	

	COL A01	COL B04	COL B04-A01	
			APPROV BUD	
			13-14 HDF	
			OVER (UNDER)	
	ACT PR YR	APPROV BUD	ACT PR YR	
	EXP 2013-14	13-14 HDF	EXP 2013-14	
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.....	228,948	518,884	289,936	2393
=====	=====	=====	=====	
OTHER PERSONAL SERVICES				030000
INSURANCE REG TF.....	2,694	34,771	32,077	2393
=====	=====	=====	=====	
EXPENSES				040000
INSURANCE REG TF.....	65,249	90,364	25,115	2393
=====	=====	=====	=====	
SPECIAL CATEGORIES				100000
CONTRACTED SERVICES				100777
INSURANCE REG TF.....	119,462	232,517	113,055	2393
=====	=====	=====	=====	
TOTAL: INSURANCE CO REHAB/LIQDATN				43500100
BY FUND				
INSURANCE REG TF.....	416,353	876,536	460,183	2393
=====	=====	=====	=====	

	COL A01	COL B04	COL B04-A01	
			APPROV BUD	
			13-14 HDF	
			OVER (UNDER)	
	ACT PR YR	APPROV BUD	ACT PR YR	
	EXP 2013-14	13-14 HDF	EXP 2013-14	
	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.....	6,358,474	6,796,809	438,335	2393
OTHER PERSONAL SERVICES				030000
INSURANCE REG TF.....	9,880	53,938	44,058	2393
EXPENSES				040000
INSURANCE REG TF.....	888,433	1,054,029	165,596	2393
SPECIAL CATEGORIES				100000
ELECTRONIC COMMERCE FEES				100064
INSURANCE REG TF.....	950,541	1,100,000	149,459	2393
CONTRACTED SERVICES				100777
INSURANCE REG TF.....	109,233	837,392	728,159	2393
TOTAL: LICENSURE, SALES/APPT/OVST				43500200
BY FUND				
INSURANCE REG TF.....	8,316,561	9,842,168	1,525,607	2393

	COL A01	COL B04	COL B04-A01	
			APPROV BUD	
			13-14 HDF	
			OVER (UNDER)	
	ACT PR YR	APPROV BUD	ACT PR YR	
	EXP 2013-14	13-14 HDF	EXP 2013-14	
	POS	AMOUNT	POS	AMOUNT
				CODES
FINANCIAL SERVICES				43000000
PGM: LICNSNG/CNSMER PROTEC				43500000
INSURANCE FRAUD				43500300
SALARIES AND BENEFITS				010000
INSURANCE REG TF.....	12,907,291	13,004,643	97,352	2393
=====	=====	=====	=====	
OTHER PERSONAL SERVICES				030000
INSURANCE REG TF.....	34,960	45,000	10,040	2393
=====	=====	=====	=====	
EXPENSES				040000
FED LAW ENFORCEMENT TF	112,211	127,850	15,639	2719
-----	-----	-----	-----	
TOTAL APPRO.....	2,091,372	2,107,967	16,595	
=====	=====	=====	=====	
SPECIAL CATEGORIES				100000
TRANS TO JAC FOR PIP FRAUD				100522
INSURANCE REG TF.....	1,398,472	1,516,786	118,314	2393
=====	=====	=====	=====	
CONTRACTED SERVICES				100777
INSURANCE REG TF	236,461	269,617	33,156	2393
FED LAW ENFORCEMENT TF	67,813	91,150	23,337	2719
-----	-----	-----	-----	
TOTAL APPRO.....	304,274	360,767	56,493	
=====	=====	=====	=====	
OPERATION/MOTOR VEHICLES				102289
INSURANCE REG TF.....	145,555	150,600	5,045	2393
=====	=====	=====	=====	

	COL A01	COL B04	COL B04-A01	
			APPROV BUD	
			13-14 HDF	
			OVER (UNDER)	
	ACT PR YR	APPROV BUD	ACT PR YR	
	EXP 2013-14	13-14 HDF	EXP 2013-14	
	POS	AMOUNT	POS	AMOUNT
				AMOUNT
				CODES
FINANCIAL SERVICES				43000000
PGM: LICNSNG/CNSMER PROTEC				43500000
INSURANCE FRAUD				43500300
TOTAL: INSURANCE FRAUD				43500300
BY FUND				
INSURANCE REG TF	16,701,900	16,966,763	264,863	2393
FED LAW ENFORCEMENT TF	180,024	219,000	38,976	2719
TOTAL BUREAU.....	16,881,924	17,185,763	303,839	

	COL A01	COL B04	COL B04-A01	
			APPROV BUD	
			13-14 HDF	
			OVER (UNDER)	
	ACT PR YR	APPROV BUD	ACT PR YR	
	EXP 2013-14	13-14 HDF	EXP 2013-14	
	POS	AMOUNT	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.....	5,614,748	6,396,056	781,308	2393
OTHER PERSONAL SERVICES				030000
INSURANCE REG TF.....	150,060	168,736	18,676	2393
EXPENSES				040000
INSURANCE REG TF.....	621,864	911,535	289,671	2393
SPECIAL CATEGORIES				100000
CONTRACTED SERVICES				100777
INSURANCE REG TF.....	482,488	645,374	162,886	2393
HOLOCAUST VICTIMS ASST ADM				101085
INSURANCE REG TF.....	299,722	308,007	8,285	2393
OPERATION/MOTOR VEHICLES				102289
INSURANCE REG TF.....	222	11,500	11,278	2393
TOTAL: CONSUMER ASSISTANCE				43500400
BY FUND				
INSURANCE REG TF.....	7,169,104	8,441,208	1,272,104	2393

	COL A01	COL B04	COL B04-A01	
			APPROV BUD	
			13-14 HDF	
			OVER (UNDER)	
	ACT PR YR	APPROV BUD	ACT PR YR	
	EXP 2013-14	13-14 HDF	EXP 2013-14	
	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.....	1,381,868	1,459,892	78,024	2573
EXPENSES				040000
REGULATORY TRUST FUND.....	226,129	274,010	47,881	2573
OPERATING CAPITAL OUTLAY				060000
REGULATORY TRUST FUND.....		9,500	9,500	2573
SPECIAL CATEGORIES				100000
CONTRACTED SERVICES				100777
REGULATORY TRUST FUND.....	73,210	99,549	26,339	2573
TOTAL: FUNERAL/CEMETERY SERVICES				43500500
BY FUND				
REGULATORY TRUST FUND.....	1,681,207	1,842,951	161,744	2573

	COL A01	COL B04	COL B04-A01	
			APPROV BUD	
			13-14 HDF	
			OVER (UNDER)	
	ACT PR YR	APPROV BUD	ACT PR YR	
	EXP 2013-14	13-14 HDF	EXP 2013-14	
	POS	AMOUNT	POS	AMOUNT
				AMOUNT
				CODES
FINANCIAL SERVICES				43000000
PGM: LICNSNG/CNSMER PROTEC				43500000
<u>PUBLIC ASSISTANCE FRAUD</u>				43500700
SALARIES AND BENEFITS				010000
ADMINISTRATIVE TRUST FUND		156,609	156,609	2021
FEDERAL GRANTS TRUST FUND	1,994,746	2,074,543	79,797	2261
INSURANCE REG TF	1,669,869	1,984,762	314,893	2393
TOTAL APPRO.....	3,664,615	4,215,914	551,299	
OTHER PERSONAL SERVICES				030000
FEDERAL GRANTS TRUST FUND	88,567	127,176	38,609	2261
TOTAL APPRO.....	227,592	266,200	38,608	
EXPENSES				040000
FEDERAL GRANTS TRUST FUND	25,566	47,011	21,445	2261
TOTAL APPRO.....	468,478	490,169	21,691	
OPERATING CAPITAL OUTLAY				060000
INSURANCE REG TF.....	8,165	20,000	11,835	2393
SPECIAL CATEGORIES				100000
CONTRACTED SERVICES				100777
FEDERAL GRANTS TRUST FUND		61,055	61,055	2261
INSURANCE REG TF	22,648	183,363	160,715	2393
TOTAL APPRO.....	22,648	244,418	221,770	

	COL A01	COL B04	COL B04-A01	
			APPROV BUD	
			13-14 HDF	
			OVER (UNDER)	
	ACT PR YR	APPROV BUD	ACT PR YR	
	EXP 2013-14	13-14 HDF	EXP 2013-14	
	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		156,609	156,609	2021
FEDERAL GRANTS TRUST FUND	2,108,879	2,314,785	205,906	2261
INSURANCE REG TF	2,284,169	2,780,307	496,138	2393
TOTAL BUREAU.....	4,393,048	5,251,701	858,653	

	COL A01	COL B04	COL B04-A01	
			APPROV BUD	
			13-14 HDF	
			OVER (UNDER)	
	ACT PR YR	APPROV BUD	ACT PR YR	
	EXP 2013-14	13-14 HDF	EXP 2013-14	
	POS	AMOUNT	POS	AMOUNT
				CODES
FINANCIAL SERVICES				43000000
PGM: WORKERS' COMPENSATION				43600000
WORKERS' COMPENSATION				43600100
SALARIES AND BENEFITS				010000
WORKERS' COMP ADMIN TF	15,364,749	16,085,851	721,102	2795
WORKERS' COMP SPEC DISAB TF	758,729	930,226	171,497	2798
TOTAL APPRO.....	16,123,478	17,016,077	892,599	
OTHER PERSONAL SERVICES				030000
WORKERS' COMP ADMIN TF	307,841	570,872	263,031	2795
TOTAL APPRO.....	321,480	588,422	266,942	
EXPENSES				040000
WORKERS' COMP ADMIN TF	3,247,920	3,301,361	53,441	2795
WORKERS' COMP SPEC DISAB TF	112,865	126,870	14,005	2798
TOTAL APPRO.....	3,360,785	3,428,231	67,446	
OPERATING CAPITAL OUTLAY				060000
WORKERS' COMP ADMIN TF	46,592	100,021	53,429	2795
WORKERS' COMP SPEC DISAB TF		16,851	16,851	2798
TOTAL APPRO.....	46,592	116,872	70,280	
SPECIAL CATEGORIES				100000
ELECTRONIC COMMERCE FEES				100064
WORKERS' COMP ADMIN TF.....	113,496	188,000	74,504	2795
TR DIST CT OF AP-WORK COMP				100507
WORKERS' COMP ADMIN TF.....	1,780,920	1,840,794	59,874	2795

	COL A01	COL B04	COL B04-A01	
			APPROV BUD	
			13-14 HDF	
			OVER (UNDER)	
	ACT PR YR	APPROV BUD	ACT PR YR	
	EXP 2013-14	13-14 HDF	EXP 2013-14	
	POS	POS	POS	AMOUNT
	AMOUNT	AMOUNT	AMOUNT	AMOUNT
	-----	-----	-----	-----
				CODES
FINANCIAL SERVICES				43000000
PGM: WORKERS' COMPENSATION				43600000
<u>WORKERS' COMPENSATION</u>				43600100
SPECIAL CATEGORIES				100000
TR/USF-OSHA MATCH				100521
WORKERS' COMP ADMIN TF.....	241,080	250,000	8,920	2795
	=====	=====	=====	
TR JAC - PROS WRKS COMP FR				100526
WORKERS' COMP ADMIN TF.....	545,148	587,357	42,209	2795
	=====	=====	=====	
CONTRACTED SERVICES				100777
WORKERS' COMP ADMIN TF	2,021,845	2,346,789	324,944	2795
WORKERS' COMP SPEC DISAB TF	75,315	86,360	11,045	2798
	-----	-----	-----	
TOTAL APPRO.....	2,097,160	2,433,149	335,989	
	=====	=====	=====	
PURCHASED CLIENT SERVICES				102933
WORKERS' COMP ADMIN TF.....	130,145	2,400,000	2,269,855	2795
	=====	=====	=====	
TOTAL: WORKERS' COMPENSATION				43600100
BY FUND				
WORKERS' COMP ADMIN TF	23,799,736	27,671,045	3,871,309	2795
WORKERS' COMP SPEC DISAB TF	960,548	1,177,857	217,309	2798
	-----	-----	-----	
TOTAL BUREAU.....	24,760,284	28,848,902	4,088,618	
	=====	=====	=====	

	COL A01	COL B04	COL B04-A01	
			APPROV BUD	
			13-14 HDF	
			OVER (UNDER)	
	ACT PR YR	APPROV BUD	ACT PR YR	
	EXP 2013-14	13-14 HDF	EXP 2013-14	
	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.....	15,234,515	16,299,566	1,065,051	2393
=====	=====	=====	=====	
OTHER PERSONAL SERVICES				030000
INSURANCE REG TF.....	338,080	354,504	16,424	2393
=====	=====	=====	=====	
EXPENSES				040000
INSURANCE REG TF.....	2,142,012	2,244,239	102,227	2393
=====	=====	=====	=====	
OPERATING CAPITAL OUTLAY				060000
INSURANCE REG TF.....	84,488	117,000	32,512	2393
=====	=====	=====	=====	
SPECIAL CATEGORIES				100000
FL PUBLIC HURR LOSS MODEL				100515
INSURANCE REG TF.....	606,085	615,608	9,523	2393
=====	=====	=====	=====	
PROPERTY/CASUALTY EXAMS				100523
INSURANCE REG TF.....	2,161,639	4,401,763	2,240,124	2393
=====	=====	=====	=====	
LIFE AND HEALTH EXAMS				100524
INSURANCE REG TF.....	250,645	525,000	274,355	2393
=====	=====	=====	=====	
CONTRACTED SERVICES				100777
INSURANCE REG TF.....	647,534	704,116	56,582	2393
=====	=====	=====	=====	

	COL A01	COL B04	COL B04-A01	
			APPROV BUD	
			13-14 HDF	
			OVER (UNDER)	
	ACT PR YR	APPROV BUD	ACT PR YR	
	EXP 2013-14	13-14 HDF	EXP 2013-14	
	POS	AMOUNT	POS	AMOUNT
				CODES
FINANCIAL SERVICES				43000000
PGM: FINANCIAL SVCS COMM				43900000
OFFICE OF INSURANCE REG				43900100
<u>COMP & ENFORCE- INSURANCE</u>				43900110
TOTAL: COMP & ENFORCE- INSURANCE				43900110
BY FUND				
INSURANCE REG TF.....	21,464,998	25,261,796	3,796,798	2393
	=====	=====	=====	

	COL A01	COL B04	COL B04-A01	
			APPROV BUD	
			13-14 HDF	
			OVER (UNDER)	
	ACT PR YR	APPROV BUD	ACT PR YR	
	EXP 2013-14	13-14 HDF	EXP 2013-14	
	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.....	2,638,520	2,686,109	47,589	2393
=====	=====	=====	=====	
EXPENSES				040000
INSURANCE REG TF.....	100,793	118,543	17,750	2393
=====	=====	=====	=====	
SPECIAL CATEGORIES				100000
CONTRACTED SERVICES				100777
INSURANCE REG TF.....	15,422	92,710	77,288	2393
=====	=====	=====	=====	
TOTAL: EXEC DIR & SUPORT SERVICES				43900120
BY FUND				
INSURANCE REG TF.....	2,754,735	2,897,362	142,627	2393
=====	=====	=====	=====	

	COL A01	COL B04	COL B04-A01	
			APPROV BUD	
			13-14 HDF	
			OVER (UNDER)	
	ACT PR YR	APPROV BUD	ACT PR YR	
	EXP 2013-14	13-14 HDF	EXP 2013-14	
	POS	AMOUNT	POS	AMOUNT
	POS	AMOUNT	POS	AMOUNT
				CODES
FINANCIAL SERVICES				43000000
PGM: FINANCIAL SVCS COMM				43900000
OFFICE OF FINANCIAL REG				43900500
SFTY & SOUND ST BKG SYST				43900530
<u>SALARIES AND BENEFITS</u>				010000
FINANCIAL INST REG TF.....	7,699,870	8,665,658	965,788	2275
	=====	=====	=====	
OTHER PERSONAL SERVICES				030000
FINANCIAL INST REG TF.....	640,687	875,979	235,292	2275
	=====	=====	=====	
EXPENSES				040000
FINANCIAL INST REG TF.....	1,488,578	1,740,552	251,974	2275
	=====	=====	=====	
SPECIAL CATEGORIES				100000
CONTRACTED SERVICES				100777
FINANCIAL INST REG TF.....	51,387	367,012	315,625	2275
	=====	=====	=====	
TOTAL: SFTY & SOUND ST BKG SYST				43900530
BY FUND				
FINANCIAL INST REG TF.....	9,880,522	11,649,201	1,768,679	2275
	=====	=====	=====	

	COL A01	COL B04	COL B04-A01	
			APPROV BUD	
			13-14 HDF	
			OVER (UNDER)	
	ACT PR YR	APPROV BUD	ACT PR YR	
	EXP 2013-14	13-14 HDF	EXP 2013-14	
	POS	AMOUNT	POS	AMOUNT
	POS	AMOUNT	POS	AMOUNT
				CODES
FINANCIAL SERVICES				43000000
PGM: FINANCIAL SVCS COMM				43900000
OFFICE OF FINANCIAL REG				43900500
FINANCIAL INVESTIGATIONS				43900540
SALARIES AND BENEFITS				010000
ADMINISTRATIVE TRUST FUND.....	2,419,803	2,657,747	237,944	2021
EXPENSES				040000
ADMINISTRATIVE TRUST FUND	262,443	484,457	222,014	2021
FED LAW ENFORCEMENT TF	27,347	51,758	24,411	2719
TOTAL APPRO.....	289,790	536,215	246,425	
SPECIAL CATEGORIES				100000
CONTRACTED SERVICES				100777
ADMINISTRATIVE TRUST FUND.....	12,430	36,354	23,924	2021
LEASE/PURCHASE/EQUIPMENT				105281
ADMINISTRATIVE TRUST FUND.....	9,789	15,809	6,020	2021
TOTAL: FINANCIAL INVESTIGATIONS				43900540
BY FUND				
ADMINISTRATIVE TRUST FUND	2,704,465	3,194,367	489,902	2021
FED LAW ENFORCEMENT TF	27,347	51,758	24,411	2719
TOTAL SUB-BUREAU.....	2,731,812	3,246,125	514,313	

	COL A01	COL B04	COL B04-A01	
			APPROV BUD	
			13-14 HDF	
			OVER (UNDER)	
	ACT PR YR	APPROV BUD	ACT PR YR	
	EXP 2013-14	13-14 HDF	EXP 2013-14	
	POS	AMOUNT	POS	AMOUNT
	-----	-----	-----	-----
				CODES
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.....	1,571,046	1,818,444	247,398	2021
	=====	=====	=====	
OTHER PERSONAL SERVICES				030000
ADMINISTRATIVE TRUST FUND.....	10,103	250,000	239,897	2021
	=====	=====	=====	
EXPENSES				040000
ADMINISTRATIVE TRUST FUND.....	157,178	418,948	261,770	2021
	=====	=====	=====	
SPECIAL CATEGORIES				100000
CONTRACTED SERVICES				100777
ADMINISTRATIVE TRUST FUND.....	15,120	61,048	45,928	2021
	=====	=====	=====	
DATA PROCESSING SERVICES				210000
REAL SYSTEM - OFR				210016
ADMINISTRATIVE TRUST FUND.....	1,294,861	1,347,397	52,536	2021
	=====	=====	=====	
TOTAL: EXEC DIR & SUPPORT SERVICE				43900550
BY FUND				
ADMINISTRATIVE TRUST FUND.....	3,048,308	3,895,837	847,529	2021
	=====	=====	=====	

	COL A01	COL B04	COL B04-A01	
			APPROV BUD	
			13-14 HDF	
			OVER (UNDER)	
	ACT PR YR	APPROV BUD	ACT PR YR	
	EXP 2013-14	13-14 HDF	EXP 2013-14	
	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.....	5,612,854	6,245,760	632,906	2573
OTHER PERSONAL SERVICES				030000
REGULATORY TRUST FUND.....	30,955	203,979	173,024	2573
EXPENSES				040000
REGULATORY TRUST FUND.....	687,848	952,494	264,646	2573
OPERATING CAPITAL OUTLAY				060000
REGULATORY TRUST FUND.....		5,631	5,631	2573
SPECIAL CATEGORIES				100000
CONTRACTED SERVICES				100777
REGULATORY TRUST FUND.....	3,233,274	3,241,565	8,291	2573
LEASE/PURCHASE/EQUIPMENT				105281
REGULATORY TRUST FUND.....	26,711	34,995	8,284	2573
TOTAL: FINANCE REGULATION				43900560
BY FUND				
REGULATORY TRUST FUND.....	9,591,642	10,684,424	1,092,782	2573

	COL A01	COL B04	COL B04-A01	
			APPROV BUD	
			13-14 HDF	
			OVER (UNDER)	
	ACT PR YR	APPROV BUD	ACT PR YR	
	EXP 2013-14	13-14 HDF	EXP 2013-14	
	POS	AMOUNT	POS	AMOUNT
				CODES
FINANCIAL SERVICES				43000000
PGM: FINANCIAL SVCS COMM				43900000
OFFICE OF FINANCIAL REG				43900500
SECURITIES REGULATION				43900570
SALARIES AND BENEFITS				010000
REGULATORY TRUST FUND.....	5,559,467	6,480,329	920,862	2573
OTHER PERSONAL SERVICES				030000
ANTI-FRAUD TRUST FUND	9,059	32,538	23,479	2038
TOTAL APPRO.....	13,525	37,004	23,479	
EXPENSES				040000
ANTI-FRAUD TRUST FUND	11,941	62,885	50,944	2038
REGULATORY TRUST FUND	496,252	677,423	181,171	2573
TOTAL APPRO.....	508,193	740,308	232,115	
OPERATING CAPITAL OUTLAY				060000
ANTI-FRAUD TRUST FUND	13,534	24,528	10,994	2038
TOTAL APPRO.....	13,534	29,094	15,560	
SPECIAL CATEGORIES				100000
CONTRACTED SERVICES				100777
ANTI-FRAUD TRUST FUND	55,620	80,049	24,429	2038
REGULATORY TRUST FUND	34,310	349,500	315,190	2573
TOTAL APPRO.....	89,930	429,549	339,619	

	COL A01	COL B04	COL B04-A01	
			APPROV BUD	
			13-14 HDF	
			OVER (UNDER)	
	ACT PR YR	APPROV BUD	ACT PR YR	
	EXP 2013-14	13-14 HDF	EXP 2013-14	
	POS	AMOUNT	POS	AMOUNT
				AMOUNT
				CODES
FINANCIAL SERVICES				43000000
PGM: FINANCIAL SVCS COMM				43900000
OFFICE OF FINANCIAL REG				43900500
<u>SECURITIES REGULATION</u>				43900570
TOTAL: SECURITIES REGULATION				43900570
BY FUND				
ANTI-FRAUD TRUST FUND	90,154	200,000	109,846	2038
REGULATORY TRUST FUND	6,094,495	7,516,284	1,421,789	2573
TOTAL SUB-BUREAU.....	6,184,649	7,716,284	1,531,635	
TOTAL: FINANCIAL SERVICES				43000000
BY FUND TYPE				
GENERAL REVENUE FUND	21,377,079	23,145,797	1,768,718	1000
TRUST FUNDS	217,281,663	247,196,008	29,914,345	2000
TOTAL DEPARTMENT.....	238,658,742	270,341,805	31,683,063	

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* BPEXBL01                                STATISTICAL INFORMATION                10/15/2014 10:03:52:*
* BUDGET PERIOD: 2005-2016                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 2013-14
*          COMPARED TO 2013-14 APPROVED BUDGET
* -----

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* BPEXBL01                               STATISTICAL INFORMATION                10/15/2014 10:03:52:*
* BUDGET PERIOD: 2005-2016                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:    599
* TOTAL NUMBER RECORDS READ FROM CARD:    34
* TOTAL NUMBER RECORDS READ FROM ACF:     41
* 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 2014-15
POS AMOUNT

CODES

RECORDS SELECTED NET TO ZERO

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* BPEXBL01                                STATISTICAL INFORMATION                10/15/2014 10:03:57:*
* BUDGET PERIOD: 2005-2016                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
*          TO ACTUAL APPROPRIATIONS
* -----

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* BPEXBL01                               STATISTICAL INFORMATION                10/15/2014 10:03:57:*
* BUDGET PERIOD: 2005-2016                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:    352
* TOTAL NUMBER RECORDS READ FROM CARD:    34
* TOTAL NUMBER RECORDS READ FROM ACF:     51
* 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 FY 2015-16 OVER (UNDER)		
	AGY REQUEST FY 2015-16		AGY FIN REQ FY 2015-16		AGY FIN REQ FY 2015-16		CODES
	POS	AMOUNT	POS	AMOUNT	POS	AMOUNT	
<hr/>							
FINANCIAL SERVICES							43000000
PRG: CHIEF FIN OFFICER/ADM							43010000
EXECUTIVE DIR/SUPPORT SVCS							43010100
	136.00		136.00				
TRUST FUNDS.....		12,864,444		12,864,444			2000
	=====		=====				
<hr/>							
LEGAL SERVICES							43010200
	92.00		92.00				
TRUST FUNDS.....		8,577,794		8,577,794			2000
	=====		=====				
<hr/>							
INFORMATION TECHNOLOGY							43010300
GENERAL REVENUE FUND		10,631,250		10,631,250			1000
TRUST FUNDS		25,163,817		25,163,817			2000
	-----		-----				
TOTAL POSITIONS.....	235.00		235.00				
TOTAL BUREAU.....		35,795,067		35,795,067			
	=====		=====				
<hr/>							
CONSUMER ADVOCATE							43010400
	5.00		5.00				
TRUST FUNDS.....		774,854		774,854			2000
	=====		=====				
<hr/>							
TOTAL: PRG: CHIEF FIN OFFICER/ADM							43010000
BY FUND TYPE							
GENERAL REVENUE FUND		10,631,250		10,631,250			1000
TRUST FUNDS		47,380,909		47,380,909			2000
	-----		-----				
TOTAL POSITIONS.....	468.00		468.00				
TOTAL DIVISION.....		58,012,159		58,012,159			
	=====		=====				
<hr/>							
PROGRAM: TREASURY							43100000
DEPOSIT SECURITY							43100200
	22.00		22.00				
TRUST FUNDS.....		1,901,903		1,901,903			2000
	=====		=====				

	COL A03		COL A12		COL A03-A12	
	AGY REQUEST		AGY FIN REQ		AGY REQUEST	
	FY 2015-16		FY 2015-16		FY 2015-16	
	POS	AMOUNT	POS	AMOUNT	POS	AMOUNT
						CODES
FINANCIAL SERVICES						43000000
PROGRAM: TREASURY						43100000
<u>ST FUNDS MGT & INVESTMENT</u>						43100300
TRUST FUNDS.....	25.50	3,243,553	25.50	3,243,553		2000
SUP RETIREMENT PLAN						43100400
TRUST FUNDS.....	13.00	1,815,096	13.00	1,815,096		2000
TOTAL: PROGRAM: TREASURY						43100000
BY FUND TYPE						
TRUST FUNDS.....	60.50	6,960,552	60.50	6,960,552		2000
PGM: FIN ACCT/PUBLIC FUNDS						43200000
<u>ST FINAN INFO/ST AGY ACCTG</u>						43200100
GENERAL REVENUE FUND		12,708,918		12,708,918		1000
TRUST FUNDS		20,299,313		20,299,313		2000
TOTAL POSITIONS.....	196.00		196.00			
TOTAL BUREAU.....		33,008,231		33,008,231		
RECOVERY & RETURN OF UP						43200200
TRUST FUNDS.....	64.00	4,747,449	64.00	4,747,449		2000
TOTAL: PGM: FIN ACCT/PUBLIC FUNDS						43200000
BY FUND TYPE						
GENERAL REVENUE FUND		12,708,918		12,708,918		1000
TRUST FUNDS		25,046,762		25,046,762		2000
TOTAL POSITIONS.....	260.00		260.00			
TOTAL DIVISION.....		37,755,680		37,755,680		

	COL A03		COL A12		COL A03-A12	
	AGY REQUEST		AGY FIN REQ		AGY REQUEST	
	FY 2015-16		FY 2015-16		FY 2015-16	
	POS	AMOUNT	POS	AMOUNT	POS	AMOUNT
						CODES
FINANCIAL SERVICES						43000000
PROGRAM: FIRE MARSHAL						43300000
<u>COMPLIANCE & ENFORCEMENT</u>						43300200
TRUST FUNDS.....	68.00	4,528,257	68.00	4,528,257		2000
	=====	=====	=====	=====		
<u>FIRE & ARSON INVESTIGATION</u>						43300300
TRUST FUNDS.....	124.00	11,793,859	124.00	11,793,859		2000
	=====	=====	=====	=====		
<u>PROF TRAINING & STANDARDS</u>						43300400
TRUST FUNDS.....	29.00	3,013,940	29.00	3,013,940		2000
	=====	=====	=====	=====		
<u>FIRE MRSHL ADMN & SUP SRVS</u>						43300500
TRUST FUNDS.....	16.00	2,286,489	16.00	2,286,489		2000
	=====	=====	=====	=====		
TOTAL: PROGRAM: FIRE MARSHAL						43300000
BY FUND TYPE						
TRUST FUNDS.....	237.00	21,622,545	237.00	21,622,545		2000
	=====	=====	=====	=====		
PGM: ST PROP/CASUALTY CLMS						43400000
<u>ST SELF-INSURED CLAIMS ADJ</u>						43400100
TRUST FUNDS.....	113.00	62,301,068	113.00	62,301,068		2000
	=====	=====	=====	=====		
PGM: LICNSNG/CNSMER PROTEC						43500000
<u>INSURANCE CO REHAB/LIQDATN</u>						43500100
TRUST FUNDS.....	7.00	1,001,770	7.00	1,001,770		2000
	=====	=====	=====	=====		
<u>LICENSURE, SALES/APPT/OVST</u>						43500200
TRUST FUNDS.....	120.00	10,021,083	120.00	10,021,083		2000
	=====	=====	=====	=====		

	COL A03		COL A12		COL A03-A12 AGY REQUEST FY 2015-16 OVER (UNDER)		
	AGY REQUEST FY 2015-16		AGY FIN REQ FY 2015-16		AGY FIN REQ FY 2015-16		CODES
	POS	AMOUNT	POS	AMOUNT	POS	AMOUNT	
<u>FINANCIAL SERVICES</u>							43000000
PGM: LICNSNG/CNSMER PROTEC							43500000
<u>INSURANCE FRAUD</u>							43500300
TRUST FUNDS.....	194.00	19,796,551	194.00	19,796,551			2000
<u>CONSUMER ASSISTANCE</u>							43500400
TRUST FUNDS.....	116.00	10,154,382	116.00	10,154,382			2000
<u>FUNERAL/CEMETERY SERVICES</u>							43500500
TRUST FUNDS.....	27.00	2,381,484	27.00	2,381,484			2000
<u>PUBLIC ASSISTANCE FRAUD</u>							43500700
TRUST FUNDS.....	67.00	5,241,720	67.00	5,241,720			2000
TOTAL: PGM: LICNSNG/CNSMER PROTEC BY FUND TYPE							43500000
TRUST FUNDS.....	531.00	48,596,990	531.00	48,596,990			2000
<u>PGM: WORKERS' COMPENSATION</u>							43600000
<u>WORKERS' COMPENSATION</u>							43600100
TRUST FUNDS.....	304.00	28,506,328	304.00	28,506,328			2000
<u>PGM: FINANCIAL SVCS COMM</u>							43900000
<u>OFFICE OF INSURANCE REG</u>							43900100
<u>COMP & ENFORCE- INSURANCE</u>							43900110
TRUST FUNDS.....	259.00	27,291,082	259.00	27,291,082			2000
<u>EXEC DIR & SUPORT SERVICES</u>							43900120
TRUST FUNDS.....	34.00	2,951,942	34.00	2,951,942			2000

	COL A03		COL A12		COL A03-A12	
	AGY REQUEST		AGY FIN REQ		AGY REQUEST	
	FY 2015-16		FY 2015-16		FY 2015-16	
	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.....	293.00	30,243,024	293.00	30,243,024		2000
	=====	=====	=====	=====		
OFFICE OF FINANCIAL REG						43900500
SFTY & SOUND ST BKG SYST						43900530
TRUST FUNDS.....	114.00	11,854,157	114.00	11,854,157		2000
	=====	=====	=====	=====		
FINANCIAL INVESTIGATIONS						43900540
TRUST FUNDS.....	39.00	3,351,997	39.00	3,351,997		2000
	=====	=====	=====	=====		
EXEC DIR & SUPPORT SERVICE						43900550
TRUST FUNDS.....	15.00	3,928,301	15.00	3,928,301		2000
	=====	=====	=====	=====		
FINANCE REGULATION						43900560
TRUST FUNDS.....	98.00	11,197,284	98.00	11,197,284		2000
	=====	=====	=====	=====		
SECURITIES REGULATION						43900570
TRUST FUNDS.....	96.00	7,905,948	96.00	7,905,948		2000
	=====	=====	=====	=====		
TOTAL: OFFICE OF FINANCIAL REG						43900500
BY FUND TYPE						
TRUST FUNDS.....	362.00	38,237,687	362.00	38,237,687		2000
	=====	=====	=====	=====		

	COL A03		COL A12		COL A03-A12	
	AGY REQUEST		AGY FIN REQ		AGY REQUEST	
	FY 2015-16		FY 2015-16		FY 2015-16	
	POS	AMOUNT	POS	AMOUNT	OVER (UNDER)	CODES
					AGY FIN REQ	
					FY 2015-16	
FINANCIAL SERVICES						43000000
PGM: FINANCIAL SVCS COMM						43900000
TOTAL: PGM: FINANCIAL SVCS COMM						43900000
BY FUND TYPE						
TRUST FUNDS.....	655.00		655.00			
		68,480,711		68,480,711		2000
TOTAL: FINANCIAL SERVICES						43000000
BY FUND TYPE						
GENERAL REVENUE FUND		23,340,168		23,340,168		1000
TRUST FUNDS		308,895,865		308,895,865		2000
TOTAL POSITIONS.....	2,628.50		2,628.50			
TOTAL DEPARTMENT.....		332,236,033		332,236,033		

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* BPEXBL01                                STATISTICAL INFORMATION                                10/15/2014 10:04:03:*
* BUDGET PERIOD: 2005-2016                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                10/15/2014 10:04:03:*
* BUDGET PERIOD: 2005-2016                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:    652
* 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: 2005-2016
STATE OF FLORIDA

ACTUAL PR YR EXPENDITURES 2013-2014
COMPARED TO 2013-2014 STATE ACCOUNTS
DISBURSEMENTS PLUS APPROV CARRY FORWARD

SP 10/15/2014 10:04 PAGE: 1
ERROR REPORT

BUDGET ENTITY	CODE	ERROR MESSAGE	PAGE
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THERE WERE 0 ERRORS DETECTED

	COL A01	COL B08	COL B08-A01	
	ACT PR YR	13-14 DISB	13-14 DISB	
	EXP 2013-14	+ APRVD CF	+ APRVD CF	
	POS	AMOUNT	POS	AMOUNT
				CODES
FINANCIAL SERVICES				43000000
PRG: CHIEF FIN OFFICER/ADM				43010000
EXECUTIVE DIR/SUPPORT SVCS				43010100
SALARIES AND BENEFITS				010000
ADMINISTRATIVE TRUST FUND.....	8,607,539	8,607,541	2	2021
OTHER PERSONAL SERVICES				030000
ADMINISTRATIVE TRUST FUND.....	98,277	98,277		2021
EXPENSES				040000
ADMINISTRATIVE TRUST FUND.....	1,248,649	1,248,650	1	2021
OPERATING CAPITAL OUTLAY				060000
ADMINISTRATIVE TRUST FUND.....	24,399	24,399		2021
SPECIAL CATEGORIES				100000
ACQUISITION/MOTOR VEHICLES				100021
ADMINISTRATIVE TRUST FUND.....	778,088	778,088		2021
CONTRACTED SERVICES				100777
ADMINISTRATIVE TRUST FUND.....	230,415	230,415		2021
OPERATION/MOTOR VEHICLES				102289
ADMINISTRATIVE TRUST FUND.....	2,771	2,771		2021
RISK MANAGEMENT INSURANCE				103241
ADMINISTRATIVE TRUST FUND.....	73,665	73,665		2021

	COL A01	COL B08	COL B08-A01 13-14 DISB + APRVD CF OVER(UNDER)	
	ACT PR YR EXP 2013-14	13-14 DISB + APRVD CF	ACT PR YR EXP 2013-14	CODES
	POS AMOUNT	POS AMOUNT	POS AMOUNT	
FINANCIAL SERVICES				43000000
PRG: CHIEF FIN OFFICER/ADM				43010000
EXECUTIVE DIR/SUPPORT SVCS				43010100
SPECIAL CATEGORIES				100000
TENANT BROKER COMMISSIONS				105084
ADMINISTRATIVE TRUST FUND.....	23,663	23,663		2021
LEASE/PURCHASE/EQUIPMENT				105281
ADMINISTRATIVE TRUST FUND.....	132,149	132,149		2021
TR/DMS/HR SVCS/STW CONTRCT				107040
ADMINISTRATIVE TRUST FUND.....	49,123	49,123		2021
<u>LEGAL SERVICES</u>				43010200
SALARIES AND BENEFITS				010000
ADMINISTRATIVE TRUST FUND.....	6,282,300	6,282,301	1	2021
OTHER PERSONAL SERVICES				030000
ADMINISTRATIVE TRUST FUND.....	249,814	249,814		2021
EXPENSES				040000
ADMINISTRATIVE TRUST FUND.....	653,811	653,811		2021
OPERATING CAPITAL OUTLAY				060000
ADMINISTRATIVE TRUST FUND.....	55,792	55,792		2021

	COL A01	COL B08	COL B08-A01 13-14 DISB + APRVD CF OVER(UNDER)	CODES
	ACT PR YR EXP 2013-14 POS AMOUNT	13-14 DISB + APRVD CF POS AMOUNT	ACT PR YR EXP 2013-14 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.....	381,933	381,933		2021
CONTRACTED SERVICES				100777
ADMINISTRATIVE TRUST FUND.....	206,142	206,142		2021
RISK MANAGEMENT INSURANCE				103241
ADMINISTRATIVE TRUST FUND.....	17,738	17,738		2021
LEASE/PURCHASE/EQUIPMENT				105281
ADMINISTRATIVE TRUST FUND.....	13,494	13,494		2021
TR/DMS/HR SVCS/STW CONTRCT				107040
ADMINISTRATIVE TRUST FUND.....	27,317	27,317		2021
<u>INFORMATION TECHNOLOGY</u>				43010300
SALARIES AND BENEFITS				010000
ADMINISTRATIVE TRUST FUND.....	9,081,272	9,081,272		2021
OTHER PERSONAL SERVICES				030000
ADMINISTRATIVE TRUST FUND.....	98,834	98,834		2021

	COL A01	COL B08	COL B08-A01	
	ACT PR YR	13-14 DISB	13-14 DISB	
	EXP 2013-14	+ APRVD CF	+ APRVD CF	
	POS	AMOUNT	POS	AMOUNT
				OVER(UNDER)
				ACT PR YR
				EXP 2013-14
				AMOUNT
				CODES
FINANCIAL SERVICES				4300000
PRG: CHIEF FIN OFFICER/ADM				43010000
<u>INFORMATION TECHNOLOGY</u>				43010300
EXPENSES				040000
ADMINISTRATIVE TRUST FUND.....	3,438,744	3,438,744		2021
OPERATING CAPITAL OUTLAY				060000
ADMINISTRATIVE TRUST FUND.....	1,135,690	1,135,690		2021
SPECIAL CATEGORIES				100000
CONTRACTED SERVICES				100777
ADMINISTRATIVE TRUST FUND.....	7,167,429	7,167,430	1	2021
OPERATION/MOTOR VEHICLES				102289
ADMINISTRATIVE TRUST FUND.....	1,245	1,245		2021
RISK MANAGEMENT INSURANCE				103241
ADMINISTRATIVE TRUST FUND.....	36,429	36,429		2021
DEFERRED-PAY COM CONTRACTS				105280
ADMINISTRATIVE TRUST FUND.....	184,076	184,076		2021
LEASE/PURCHASE/EQUIPMENT				105281
ADMINISTRATIVE TRUST FUND.....	4,145	4,145		2021
TR/DMS/HR SVCS/STW CONTRCT				107040
ADMINISTRATIVE TRUST FUND.....	44,311	44,311		2021

	COL A01	COL B08	COL B08-A01	
			13-14 DISB	
			+ APRVD CF	
	ACT PR YR	13-14 DISB	ACT PR YR	
	EXP 2013-14	+ APRVD CF	EXP 2013-14	
	POS	AMOUNT	POS	AMOUNT
				CODES
FINANCIAL SERVICES				43000000
PRG: CHIEF FIN OFFICER/ADM				43010000
<u>INFORMATION TECHNOLOGY</u>				43010300
DATA PROCESSING SERVICES				210000
SOUTHWOOD SRC				210021
ADMINISTRATIVE TRUST FUND.....	1,731	1,731		2021
NORTHWEST REGIONAL DC				210023
ADMINISTRATIVE TRUST FUND.....	50,110	50,110		2021
<u>CONSUMER ADVOCATE</u>				43010400
SALARIES AND BENEFITS				010000
INSURANCE REG TF.....	592,703	592,703		2393
EXPENSES				040000
INSURANCE REG TF.....	44,290	44,292	2	2393
SPECIAL CATEGORIES				100000
CONTRACTED SERVICES				100777
INSURANCE REG TF.....	1,397	1,397		2393
RISK MANAGEMENT INSURANCE				103241
INSURANCE REG TF.....	981	981		2393
LEASE/PURCHASE/EQUIPMENT				105281
INSURANCE REG TF.....	1,013	1,013		2393

	COL A01	COL B08	COL B08-A01	
	ACT PR YR	13-14 DISB	13-14 DISB	
	EXP 2013-14	+ APRVD CF	+ APRVD CF	OVER(UNDER)
	POS	AMOUNT	POS	AMOUNT
				ACT PR YR
				EXP 2013-14
				POS
				AMOUNT
				CODES
FINANCIAL SERVICES				43000000
PRG: CHIEF FIN OFFICER/ADM				43010000
CONSUMER ADVOCATE				43010400
SPECIAL CATEGORIES				100000
TR/DMS/HR SVCS/STW CONTRCT				107040
INSURANCE REG TF.....	1,754	1,754		2393
INFO TECHNOLOGY - FLAIR				43010500
SALARIES AND BENEFITS				010000
GENERAL REVENUE FUND	5,782,530	5,782,530		1000
ADMINISTRATIVE TRUST FUND	463,151	463,152		1 2021
TOTAL APPRO.....	6,245,681	6,245,682		1
OTHER PERSONAL SERVICES				030000
GENERAL REVENUE FUND.....	5,000	5,000		1000
EXPENSES				040000
GENERAL REVENUE FUND	1,511,838	1,511,839		1 1000
ADMINISTRATIVE TRUST FUND	75,140	75,140		2021
TOTAL APPRO.....	1,586,978	1,586,979		1
OPERATING CAPITAL OUTLAY				060000
GENERAL REVENUE FUND.....	104,880	104,880		1000
SPECIAL CATEGORIES				100000
CONTRACTED SERVICES				100777
GENERAL REVENUE FUND	2,864,524	2,864,525		1 1000
ADMINISTRATIVE TRUST FUND	1,751,584	1,751,584		2021

	COL A01	COL B08	COL B08-A01	CODES
	ACT PR YR EXP 2013-14	13-14 DISB + APRVD CF	13-14 DISB + APRVD CF OVER(UNDER) ACT PR YR EXP 2013-14	
	POS AMOUNT	POS AMOUNT	POS AMOUNT	
FINANCIAL SERVICES				43000000
PRG: CHIEF FIN OFFICER/ADM				43010000
INFO TECHNOLOGY - FLAIR				43010500
SPECIAL CATEGORIES				100000
CONTRACTED SERVICES				100777
TOTAL APPRO.....	4,616,108	4,616,109	1	
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		
DEFERRED-PAY COM CONTRACTS				105280
GENERAL REVENUE FUND	85,904	85,903	1-	1000
ADMINISTRATIVE TRUST FUND	25,000	25,000		2021
TOTAL APPRO.....	110,904	110,903	1-	
LEASE/PURCHASE/EQUIPMENT				105281
GENERAL REVENUE FUND.....	729	729		1000
TR/DMS/HR SVCS/STW CONTRCT				107040
GENERAL REVENUE FUND	32,906	32,906		1000
ADMINISTRATIVE TRUST FUND	2,437	2,437		2021
TOTAL APPRO.....	35,343	35,343		

	COL A01	COL B08	COL B08-A01	
	ACT PR YR	13-14 DISB	13-14 DISB	
	EXP 2013-14	+ APRVD CF	+ APRVD CF	
	POS	AMOUNT	POS	AMOUNT
				CODES
FINANCIAL SERVICES				43000000
PROGRAM: TREASURY				43100000
DEPOSIT SECURITY				43100200
SALARIES AND BENEFITS				010000
TREASURY ADM/INVEST TF.....	1,388,664	1,388,663		1- 2725
EXPENSES				040000
TREASURY ADM/INVEST TF.....	183,687	183,689		2 2725
SPECIAL CATEGORIES				100000
CONTRACTED SERVICES				100777
TREASURY ADM/INVEST TF.....	66,653	66,653		2725
RISK MANAGEMENT INSURANCE				103241
TREASURY ADM/INVEST TF.....	14,686	14,686		2725
LEASE/PURCHASE/EQUIPMENT				105281
TREASURY ADM/INVEST TF.....	2,501	2,501		2725
TR/DMS/HR SVCS/STW CONTRCT				107040
TREASURY ADM/INVEST TF.....	7,033	7,033		2725
ST FUNDS MGT & INVESTMENT				43100300
SALARIES AND BENEFITS				010000
TREASURY ADM/INVEST TF.....	1,635,584	1,635,584		2725

	COL A01	COL B08	COL B08-A01	CODES
	ACT PR YR	13-14 DISB	13-14 DISB	
	EXP 2013-14	+ APRVD CF	+ APRVD CF	
	POS	AMOUNT	POS	AMOUNT
	POS	AMOUNT	POS	AMOUNT
FINANCIAL SERVICES				43000000
PROGRAM: TREASURY				43100000
<u>ST FUNDS MGT & INVESTMENT</u>				43100300
EXPENSES				040000
TREASURY ADM/INVEST TF.....	166,609	166,609		2725
SPECIAL CATEGORIES				100000
CONTRACTED SERVICES				100777
TREASURY ADM/INVEST TF.....	948,783	948,784	1	2725
LEASE/PURCHASE/EQUIPMENT				105281
TREASURY ADM/INVEST TF.....	1,499	1,499		2725
TR/DMS/HR SVCS/STW CONTRCT				107040
TREASURY ADM/INVEST TF.....	8,550	8,550		2725
<u>SUP RETIREMENT PLAN</u>				43100400
SALARIES AND BENEFITS				010000
TREASURY ADM/INVEST TF.....	631,179	631,180	1	2725
OTHER PERSONAL SERVICES				030000
TREASURY ADM/INVEST TF.....	16,470	16,470		2725
EXPENSES				040000
TREASURY ADM/INVEST TF.....	90,902	90,902		2725

	COL A01	COL B08	COL B08-A01 13-14 DISB + APRVD CF OVER(UNDER)	CODES
	ACT PR YR EXP 2013-14 POS AMOUNT	13-14 DISB + APRVD CF POS AMOUNT	ACT PR YR EXP 2013-14 POS AMOUNT	
FINANCIAL SERVICES				43000000
PROGRAM: TREASURY				43100000
SUP RETIREMENT PLAN				43100400
SPECIAL CATEGORIES				100000
CONTRACTED SERVICES				100777
TREASURY ADM/INVEST TF.....	82	82		2725
DEFERRED COMP ADM SVCS				100868
TREASURY ADM/INVEST TF.....	662,888	662,888		2725
LEASE/PURCHASE/EQUIPMENT				105281
TREASURY ADM/INVEST TF.....	1,943	1,943		2725
TR/DMS/HR SVCS/STW CONTRCT				107040
TREASURY ADM/INVEST TF.....	3,483	3,483		2725
PGM: FIN ACCT/PUBLIC FUNDS				43200000
ST FINAN INFO/ST AGY ACCTG				43200100
SALARIES AND BENEFITS				010000
GENERAL REVENUE FUND	9,548,709	9,548,709		1000
ADMINISTRATIVE TRUST FUND	768,290	768,290		2021
TOTAL APPRO.....	10,316,999	10,316,999		
OTHER PERSONAL SERVICES				030000
GENERAL REVENUE FUND	1,623	1,623		1000
ADMINISTRATIVE TRUST FUND	2,788	2,788		2021
TOTAL APPRO.....	4,411	4,411		

	COL A01	COL B08	COL B08-A01	
	ACT PR YR	13-14 DISB	13-14 DISB	
	EXP 2013-14	+ APRVD CF	+ APRVD CF	OVER(UNDER)
	POS	AMOUNT	POS	AMOUNT
				ACT PR YR
				EXP 2013-14
				AMOUNT
				CODES
FINANCIAL SERVICES				43000000
PGM: FIN ACCT/PUBLIC FUNDS				43200000
ST FINAN INFO/ST AGY ACCTG				43200100
EXPENSES				040000
GENERAL REVENUE FUND	893,684	893,683		1- 1000
ADMINISTRATIVE TRUST FUND	41	41		2021
TOTAL APPRO.....	893,725	893,724		1-
OPERATING CAPITAL OUTLAY				060000
GENERAL REVENUE FUND.....	6,508	6,508		1000
SPECIAL CATEGORIES				100000
CONTRACTED SERVICES				100777
GENERAL REVENUE FUND	767,663	767,663		1000
ADMINISTRATIVE TRUST FUND	80,000	80,000		2021
TOTAL APPRO.....	847,663	847,663		
OPERATION/MOTOR VEHICLES				102289
GENERAL REVENUE FUND.....	2,880	2,880		1000
RISK MANAGEMENT INSURANCE				103241
ADMINISTRATIVE TRUST FUND.....	39,127	39,127		2021
SALARY INCENTIVE PAYMENTS				103290
GENERAL REVENUE FUND.....	1,156	1,156		1000
LEASE/PURCHASE/EQUIPMENT				105281
GENERAL REVENUE FUND	4,362	4,362		1000
ADMINISTRATIVE TRUST FUND	15,201	15,201		2021

	COL A01	COL B08	COL B08-A01	
	ACT PR YR	13-14 DISB	13-14 DISB	
	EXP 2013-14	+ APRVD CF	+ APRVD CF	OVER(UNDER)
	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
LEASE/PURCHASE/EQUIPMENT				105281
TOTAL APPRO.....	19,563	19,563		
TR/DMS/HR SVCS/STW CONTRCT				107040
GENERAL REVENUE FUND	52,868	52,868		1000
ADMINISTRATIVE TRUST FUND	2,279	2,279		2021
TOTAL APPRO.....	55,147	55,147		
TR/PRISON INDUSTRY ENH PRG				108005
PRISON INDUSTRIES TF.....	750,000	750,000		2385
RECOVERY & RETURN OF UP				43200200
SALARIES AND BENEFITS				010000
UNCLAIMED PROPERTY TF.....	3,267,116	3,267,117	1	2007
OTHER PERSONAL SERVICES				030000
UNCLAIMED PROPERTY TF.....	190,959	190,959		2007
EXPENSES				040000
UNCLAIMED PROPERTY TF.....	713,977	713,977		2007
OPERATING CAPITAL OUTLAY				060000
UNCLAIMED PROPERTY TF.....	7,271	7,271		2007

	COL A01	COL B08	COL B08-A01	
	ACT PR YR	13-14 DISB	13-14 DISB	
	EXP 2013-14	+ APRVD CF	+ APRVD CF	
	POS	AMOUNT	POS	AMOUNT
				AMOUNT
				CODES
FINANCIAL SERVICES				43000000
PGM: FIN ACCT/PUBLIC FUNDS				43200000
RECOVERY & RETURN OF UP				43200200
SPECIAL CATEGORIES				100000
CONTRACTED SERVICES				100777
UNCLAIMED PROPERTY TF.....	165,684	165,685		1 2007
RISK MANAGEMENT INSURANCE				103241
UNCLAIMED PROPERTY TF.....	9,253	9,253		2007
LEASE/PURCHASE/EQUIPMENT				105281
UNCLAIMED PROPERTY TF.....	9,300	9,300		2007
TR/DMS/HR SVCS/STW CONTRCT				107040
UNCLAIMED PROPERTY TF.....	19,858	19,858		2007
PROGRAM: FIRE MARSHAL				43300000
COMPLIANCE & ENFORCEMENT				43300200
SALARIES AND BENEFITS				010000
INSURANCE REG TF.....	3,412,786	3,412,785		1- 2393
OTHER PERSONAL SERVICES				030000
INSURANCE REG TF.....	12,101	12,101		2393
EXPENSES				040000
INSURANCE REG TF.....	684,934	684,935		1 2393

	COL A01	COL B08	COL B08-A01		
	ACT PR YR	13-14 DISB	13-14 DISB		
	EXP 2013-14	+ APRVD CF	+ APRVD CF	OVER(UNDER)	
	POS	AMOUNT	POS	AMOUNT	
				ACT PR YR	
				EXP 2013-14	
				POS	
				AMOUNT	
				CODES	
FINANCIAL SERVICES					43000000
PROGRAM: FIRE MARSHAL					43300000
<u>COMPLIANCE & ENFORCEMENT</u>					43300200
OPERATING CAPITAL OUTLAY					060000
INSURANCE REG TF.....	8,687	8,687			2393
SPECIAL CATEGORIES					100000
CONTRACTED SERVICES					100777
INSURANCE REG TF.....	95,202	95,203		1	2393
OPERATION/MOTOR VEHICLES					102289
INSURANCE REG TF.....	34,011	34,011			2393
SUPP FIREFIGHTERS COMP					103725
INSURANCE REG TF.....	7,738	7,737		1-	2393
LEASE/PURCHASE/EQUIPMENT					105281
INSURANCE REG TF.....	10,659	10,659			2393
TR/DMS/HR SVCS/STW CONTRCT					107040
INSURANCE REG TF.....	20,169	20,169			2393
<u>FIRE & ARSON INVESTIGATION</u>					43300300
SALARIES AND BENEFITS					010000
INSURANCE REG TF.....	8,138,618	8,138,618			2393

	COL A01	COL B08	COL B08-A01 13-14 DISB + APRVD CF OVER(UNDER)	CODES
	ACT PR YR EXP 2013-14 POS AMOUNT	13-14 DISB + APRVD CF POS AMOUNT	ACT PR YR EXP 2013-14 POS AMOUNT	
FINANCIAL SERVICES				43000000
PROGRAM: FIRE MARSHAL				43300000
<u>FIRE & ARSON INVESTIGATION</u>				43300300
OTHER PERSONAL SERVICES				030000
INSURANCE REG TF.....	16,765	16,764	1-	2393
EXPENSES				040000
INSURANCE REG TF.....	1,730,239	1,730,241	2	2393
OPERATING CAPITAL OUTLAY				060000
INSURANCE REG TF.....	97,455	97,455		2393
SPECIAL CATEGORIES				100000
CONTRACTED SERVICES				100777
INSURANCE REG TF.....	147,047	147,047		2393
DOMESTIC SECURITY				100851
INSURANCE REG TF.....	48,766	48,766		2393
ON-CALL FEES				102261
INSURANCE REG TF.....	370,000	370,000		2393
OPERATION/MOTOR VEHICLES				102289
INSURANCE REG TF.....	166,332	166,332		2393
SALARY INCENTIVE PAYMENTS				103290
INSURANCE REG TF.....	100,979	100,979		2393

	COL A01	COL B08	COL B08-A01 13-14 DISB + APRVD CF OVER(UNDER)	CODES
	ACT PR YR EXP 2013-14 POS AMOUNT	13-14 DISB + APRVD CF POS AMOUNT	ACT PR YR EXP 2013-14 POS AMOUNT	
FINANCIAL SERVICES				43000000
PROGRAM: FIRE MARSHAL				43300000
<u>FIRE & ARSON INVESTIGATION</u>				43300300
SPECIAL CATEGORIES				100000
SUPP FIREFIGHTERS COMP				103725
INSURANCE REG TF.....	5,514	5,514		2393
LEASE/PURCHASE/EQUIPMENT				105281
INSURANCE REG TF.....	21,838	21,838		2393
TR/DMS/HR SVCS/STW CONTRCT				107040
INSURANCE REG TF.....	38,103	38,103		2393
<u>PROF TRAINING & STANDARDS</u>				43300400
SALARIES AND BENEFITS				010000
INSURANCE REG TF.....	1,579,681	1,579,681		2393
OTHER PERSONAL SERVICES				030000
INSURANCE REG TF.....	176,956	176,955	1-	2393
EXPENSES				040000
INSURANCE REG TF.....	552,660	552,660		2393
OPERATING CAPITAL OUTLAY				060000
INSURANCE REG TF.....	22,335	22,335		2393

	COL A01	COL B08	COL B08-A01		
	ACT PR YR	13-14 DISB	13-14 DISB		
	EXP 2013-14	+ APRVD CF	+ APRVD CF	OVER(UNDER)	
	POS	AMOUNT	POS	AMOUNT	
				ACT PR YR	
				EXP 2013-14	
				POS	
				AMOUNT	
				CODES	
FINANCIAL SERVICES					43000000
PROGRAM: FIRE MARSHAL					43300000
PROF TRAINING & STANDARDS					43300400
SPECIAL CATEGORIES					100000
ELECTRONIC COMMERCE FEES					100064
INSURANCE REG TF.....	10,819	10,819			2393
CONTRACTED SERVICES					100777
INSURANCE REG TF.....	207,318	207,318			2393
DOMESTIC SECURITY					100851
INSURANCE REG TF.....	2,582,204	2,582,205		1	2393
OPERATION/MOTOR VEHICLES					102289
INSURANCE REG TF.....	23,512	23,512			2393
SUPP FIREFIGHTERS COMP					103725
INSURANCE REG TF.....	8,249	8,249			2393
LEASE/PURCHASE/EQUIPMENT					105281
INSURANCE REG TF.....	19,247	19,247			2393
TR/DMS/HR SVCS/STW CONTRCT					107040
INSURANCE REG TF.....	11,688	11,688			2393

	COL A01	COL B08	COL B08-A01	CODES
	ACT PR YR	13-14 DISB	13-14 DISB	
	EXP 2013-14	+ APRVD CF	+ APRVD CF	
	POS	AMOUNT	POS	AMOUNT
	POS	AMOUNT	POS	AMOUNT
FINANCIAL SERVICES				43000000
PROGRAM: FIRE MARSHAL				43300000
<u>FIRE MRSHL ADMN & SUP SRVS</u>				43300500
SALARIES AND BENEFITS				010000
INSURANCE REG TF.....	1,194,057	1,194,056		1- 2393
OTHER PERSONAL SERVICES				030000
INSURANCE REG TF.....	20,102	20,102		2393
EXPENSES				040000
INSURANCE REG TF.....	255,248	255,248		2393
OPERATING CAPITAL OUTLAY				060000
INSURANCE REG TF.....	190,757	190,757		2393
SPECIAL CATEGORIES				100000
CONTRACTED SERVICES				100777
INSURANCE REG TF.....	181,396	181,394		2- 2393
OPERATION/MOTOR VEHICLES				102289
INSURANCE REG TF.....	2,089	2,089		2393
RISK MANAGEMENT INSURANCE				103241
INSURANCE REG TF.....	267,327	267,327		2393
SUPP FIREFIGHTERS COMP				103725
INSURANCE REG TF.....	1,674	1,673		1- 2393

	COL A01	COL B08	COL B08-A01	
	ACT PR YR	13-14 DISB	13-14 DISB	
	EXP 2013-14	+ APRVD CF	+ APRVD CF	OVER(UNDER)
	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
LEASE/PURCHASE/EQUIPMENT				105281
INSURANCE REG TF.....	7,293	7,293		2393
TR/DMS/HR SVCS/STW CONTRCT				107040
INSURANCE REG TF.....	5,761	5,761		2393
PGM: ST PROP/CASUALTY CLMS				43400000
<u>ST SELF-INSURED CLAIMS ADJ</u>				43400100
SALARIES AND BENEFITS				010000
STATE RISK MGMT TF.....	5,339,757	5,339,757		2078
OTHER PERSONAL SERVICES				030000
STATE RISK MGMT TF.....	30,489	30,489		2078
EXPENSES				040000
STATE RISK MGMT TF.....	782,625	782,623	2-	2078
OPERATING CAPITAL OUTLAY				060000
STATE RISK MGMT TF.....	22,513	22,513		2078
SPECIAL CATEGORIES				100000
CONTRACTED SERVICES				100777
STATE RISK MGMT TF.....	14,866,651	14,866,651		2078

	COL A01	COL B08	COL B08-A01 13-14 DISB + APRVD CF OVER(UNDER)	CODES
	ACT PR YR EXP 2013-14	13-14 DISB + APRVD CF	ACT PR YR EXP 2013-14	
	POS AMOUNT	POS AMOUNT	POS AMOUNT	
FINANCIAL SERVICES				43000000
PGM: ST PROP/CASUALTY CLMS				43400000
ST SELF-INSURED CLAIMS ADJ				43400100
SPECIAL CATEGORIES				100000
CONTRACT LEGAL - ATTY GEN				100904
STATE RISK MGMT TF.....	4,783,632	4,783,632		2078
CONTRACTED LEGAL SERVICES				100905
STATE RISK MGMT TF.....	16,371,875	16,371,875		2078
EXCESS INSUR. & CLAIM SER				101221
STATE RISK MGMT TF.....	14,221,000	14,221,000		2078
RISK MANAGEMENT INSURANCE				103241
STATE RISK MGMT TF.....	70,481	70,481		2078
LEASE/PURCHASE/EQUIPMENT				105281
STATE RISK MGMT TF.....	17,755	17,755		2078
TR/DMS/HR SVCS/STW CONTRCT				107040
STATE RISK MGMT TF.....	34,079	34,079		2078
PGM: LICNSNG/CNSMER PROTEC				43500000
INSURANCE CO REHAB/LIQDATN				43500100
SALARIES AND BENEFITS				010000
INSURANCE REG TF.....	228,948	228,948		2393

	COL A01	COL B08	COL B08-A01 13-14 DISB + APRVD CF OVER(UNDER)	CODES
	ACT PR YR EXP 2013-14 POS AMOUNT	13-14 DISB + APRVD CF POS AMOUNT	ACT PR YR EXP 2013-14 POS AMOUNT	
FINANCIAL SERVICES				43000000
PGM: LICNSNG/CNSMER PROTEC				43500000
<u>INSURANCE CO REHAB/LIQDATN</u>				43500100
OTHER PERSONAL SERVICES				030000
INSURANCE REG TF.....	2,694	2,694		2393
EXPENSES				040000
INSURANCE REG TF.....	65,249	65,249		2393
OPERATING CAPITAL OUTLAY				060000
INSURANCE REG TF.....	109,199	109,199		2393
SPECIAL CATEGORIES				100000
CONTRACTED SERVICES				100777
INSURANCE REG TF.....	119,462	119,462		2393
RISK MANAGEMENT INSURANCE				103241
INSURANCE REG TF.....	3,084	3,084		2393
TR/DMS/HR SVCS/STW CONTRCT				107040
INSURANCE REG TF.....	2,352	2,352		2393
<u>LICENSURE, SALES/APPT/OVST</u>				43500200
SALARIES AND BENEFITS				010000
INSURANCE REG TF.....	6,358,474	6,358,474		2393

	COL A01	COL B08	COL B08-A01	
	ACT PR YR	13-14 DISB	13-14 DISB	
	EXP 2013-14	+ APRVD CF	+ APRVD CF	OVER(UNDER)
	POS	AMOUNT	POS	AMOUNT
				POS
				AMOUNT
				CODES
FINANCIAL SERVICES				43000000
PGM: LICNSNG/CNSMER PROTEC				43500000
LICENSURE, SALES/APPT/OVST				43500200
OTHER PERSONAL SERVICES				030000
INSURANCE REG TF.....	9,880	9,881		1 2393
EXPENSES				040000
INSURANCE REG TF.....	888,433	888,433		2393
SPECIAL CATEGORIES				100000
ELECTRONIC COMMERCE FEES				100064
INSURANCE REG TF.....	950,541	950,541		2393
CONTRACTED SERVICES				100777
INSURANCE REG TF.....	109,233	109,234		1 2393
OPERATION/MOTOR VEHICLES				102289
INSURANCE REG TF.....	8,244	8,244		2393
RISK MANAGEMENT INSURANCE				103241
INSURANCE REG TF.....	57,618	57,618		2393
LEASE/PURCHASE/EQUIPMENT				105281
INSURANCE REG TF.....	16,683	16,683		2393
TR/DMS/HR SVCS/STW CONTRCT				107040
INSURANCE REG TF.....	43,104	43,104		2393

	COL A01	COL B08	COL B08-A01 13-14 DISB + APRVD CF OVER(UNDER)	CODES
	ACT PR YR EXP 2013-14	13-14 DISB + APRVD CF	ACT PR YR EXP 2013-14	
	POS AMOUNT	POS AMOUNT	POS AMOUNT	
FINANCIAL SERVICES				43000000
PGM: LICNSNG/CNSMER PROTEC				43500000
INSURANCE FRAUD				43500300
SALARIES AND BENEFITS				010000
INSURANCE REG TF.....	12,907,291	12,907,291		2393
OTHER PERSONAL SERVICES				030000
INSURANCE REG TF.....	34,960	34,959		1- 2393
EXPENSES				040000
INSURANCE REG TF	1,979,161	1,979,159		2- 2393
FED LAW ENFORCEMENT TF	112,211	112,209		2- 2719
TOTAL APPRO.....	2,091,372	2,091,368		4-
OPERATING CAPITAL OUTLAY				060000
INSURANCE REG TF.....	33,385	33,385		2393
SPECIAL CATEGORIES				100000
TRANS TO JAC FOR PIP FRAUD				100522
INSURANCE REG TF.....	1,398,472	1,398,472		2393
CONTRACTED SERVICES				100777
INSURANCE REG TF	236,461	236,463		2 2393
FED LAW ENFORCEMENT TF	67,813	67,813		2719
TOTAL APPRO.....	304,274	304,276		2
OPERATION/MOTOR VEHICLES				102289
INSURANCE REG TF.....	145,555	145,555		2393

	COL A01	COL B08	COL B08-A01	
	ACT PR YR	13-14 DISB	13-14 DISB	
	EXP 2013-14	+ APRVD CF	+ APRVD CF	
	POS	AMOUNT	POS	AMOUNT
				CODES
FINANCIAL SERVICES				43000000
PGM: LICNSNG/CNSMER PROTEC				43500000
<u>INSURANCE FRAUD</u>				43500300
SPECIAL CATEGORIES				100000
RISK MANAGEMENT INSURANCE				103241
INSURANCE REG TF.....	406,294	406,294		2393
SALARY INCENTIVE PAYMENTS				103290
INSURANCE REG TF.....	202,501	202,501		2393
LEASE/PURCHASE/EQUIPMENT				105281
INSURANCE REG TF.....	47,218	47,218		2393
TR/DMS/HR SVCS/STW CONTRCT				107040
INSURANCE REG TF.....	60,213	60,213		2393
<u>CONSUMER ASSISTANCE</u>				43500400
<u>SALARIES AND BENEFITS</u>				010000
INSURANCE REG TF.....	5,614,748	5,614,748		2393
OTHER PERSONAL SERVICES				030000
INSURANCE REG TF.....	150,060	150,060		2393
EXPENSES				040000
INSURANCE REG TF.....	621,864	621,865	1	2393

	COL A01	COL B08	COL B08-A01		
	ACT PR YR	13-14 DISB	13-14 DISB		
	EXP 2013-14	+ APRVD CF	+ APRVD CF	OVER(UNDER)	
	POS	AMOUNT	POS	AMOUNT	
				POS	
				AMOUNT	
				CODES	
FINANCIAL SERVICES					43000000
PGM: LICNSNG/CNSMER PROTEC					43500000
CONSUMER ASSISTANCE					43500400
SPECIAL CATEGORIES					100000
TR TO FL CAT CENT AT FSU					100500
INSURANCE REG TF.....	750,000		750,000		2393
CONTRACTED SERVICES					100777
INSURANCE REG TF.....	482,488		482,489	1	2393
HOLOCAUST VICTIMS ASST ADM					101085
INSURANCE REG TF.....	299,722		299,720	2-	2393
OPERATION/MOTOR VEHICLES					102289
INSURANCE REG TF.....	222		222		2393
RISK MANAGEMENT INSURANCE					103241
INSURANCE REG TF.....	36,843		36,843		2393
LEASE/PURCHASE/EQUIPMENT					105281
INSURANCE REG TF.....	6,869		6,869		2393
TR/DMS/HR SVCS/STW CONTRCT					107040
INSURANCE REG TF.....	37,349		37,349		2393

	COL A01	COL B08	COL B08-A01	CODES
	ACT PR YR	13-14 DISB	13-14 DISB	
	EXP 2013-14	+ APRVD CF	+ APRVD CF	
	POS	AMOUNT	POS	AMOUNT
	POS	AMOUNT	POS	AMOUNT
FINANCIAL SERVICES				43000000
PGM: LICNSNG/CNSMER PROTEC				43500000
<u>FUNERAL/CEMETERY SERVICES</u>				43500500
SALARIES AND BENEFITS				010000
REGULATORY TRUST FUND.....	1,381,868	1,381,868		2573
OTHER PERSONAL SERVICES				030000
REGULATORY TRUST FUND.....	62,240	62,240		2573
EXPENSES				040000
REGULATORY TRUST FUND.....	226,129	226,129		2573
SPECIAL CATEGORIES				100000
ELECTRONIC COMMERCE FEES				100064
REGULATORY TRUST FUND.....	13,979	13,979		2573
CONTRACTED SERVICES				100777
REGULATORY TRUST FUND.....	73,210	73,209	1-	2573
OPERATION/MOTOR VEHICLES				102289
REGULATORY TRUST FUND.....	7,954	7,954		2573
RISK MANAGEMENT INSURANCE				103241
REGULATORY TRUST FUND.....	8,174	8,174		2573
LEASE/PURCHASE/EQUIPMENT				105281
REGULATORY TRUST FUND.....	3,279	3,279		2573

	COL A01	COL B08	COL B08-A01	CODES
	ACT PR YR EXP 2013-14 POS AMOUNT	13-14 DISB + APRVD CF POS AMOUNT	13-14 DISB + APRVD CF ACT PR YR EXP 2013-14 POS AMOUNT	
FINANCIAL SERVICES				43000000
PGM: LICNSNG/CNSMER PROTEC				43500000
FUNERAL/CEMETERY SERVICES				43500500
SPECIAL CATEGORIES				100000
TR/DMS/HR SVCS/STW CONTRCT				107040
REGULATORY TRUST FUND.....	11,424	11,424		2573
<u>PUBLIC ASSISTANCE FRAUD</u>				43500700
SALARIES AND BENEFITS				010000
FEDERAL GRANTS TRUST FUND	1,994,746	1,994,746		2261
INSURANCE REG TF	1,669,869	1,669,867	2-	2393
TOTAL APPRO.....	3,664,615	3,664,613	2-	
OTHER PERSONAL SERVICES				030000
FEDERAL GRANTS TRUST FUND	88,567	88,567		2261
INSURANCE REG TF	139,025	139,024	1-	2393
TOTAL APPRO.....	227,592	227,591	1-	
EXPENSES				040000
FEDERAL GRANTS TRUST FUND	25,566	25,565	1-	2261
INSURANCE REG TF	442,912	442,911	1-	2393
TOTAL APPRO.....	468,478	468,476	2-	
OPERATING CAPITAL OUTLAY				060000
INSURANCE REG TF.....	8,165	8,165		2393

	COL A01	COL B08	COL B08-A01 13-14 DISB + APRVD CF OVER(UNDER)	CODES
	ACT PR YR EXP 2013-14 POS AMOUNT	13-14 DISB + APRVD CF POS AMOUNT	ACT PR YR EXP 2013-14 POS AMOUNT	
FINANCIAL SERVICES				43000000
PGM: LICNSNG/CNSMER PROTEC				43500000
<u>PUBLIC ASSISTANCE FRAUD</u>				43500700
SPECIAL CATEGORIES				100000
CONTRACTED SERVICES				100777
INSURANCE REG TF.....	22,648	22,648		2393
OPERATION/MOTOR VEHICLES				102289
FEDERAL GRANTS TRUST FUND.....	19,532	19,532		2261
RISK MANAGEMENT INSURANCE				103241
INSURANCE REG TF.....	8,544	8,544		2393
LEASE/PURCHASE/EQUIPMENT				105281
INSURANCE REG TF.....	13,437	13,437		2393
TR/DMS/HR SVCS/STW CONTRCT				107040
FEDERAL GRANTS TRUST FUND	21,543	21,543		2261
INSURANCE REG TF	16,029	16,029		2393
TOTAL APPRO.....	37,572	37,572		
DATA PROCESSING SERVICES				210000
OTHER DATA PROCESSING SVCS				210014
INSURANCE REG TF.....	1,550	1,550		2393

	COL A01	COL B08	COL B08-A01 13-14 DISB + APRVD CF OVER(UNDER)	CODES
	ACT PR YR EXP 2013-14	13-14 DISB + APRVD CF	ACT PR YR EXP 2013-14	
	POS AMOUNT	POS AMOUNT	POS AMOUNT	
FINANCIAL SERVICES				4300000
PGM: WORKERS' COMPENSATION				43600000
WORKERS' COMPENSATION				43600100
SALARIES AND BENEFITS				010000
WORKERS' COMP ADMIN TF	15,364,749	15,364,751	2	2795
WORKERS' COMP SPEC DISAB TF	758,729	758,728	1-	2798
TOTAL APPRO.....	16,123,478	16,123,479	1	
OTHER PERSONAL SERVICES				030000
WORKERS' COMP ADMIN TF	307,841	307,840	1-	2795
WORKERS' COMP SPEC DISAB TF	13,639	13,639		2798
TOTAL APPRO.....	321,480	321,479	1-	
EXPENSES				040000
WORKERS' COMP ADMIN TF	3,247,920	3,247,918	2-	2795
WORKERS' COMP SPEC DISAB TF	112,865	112,865		2798
TOTAL APPRO.....	3,360,785	3,360,783	2-	
OPERATING CAPITAL OUTLAY				060000
WORKERS' COMP ADMIN TF.....	46,592	46,592		2795
SPECIAL CATEGORIES				100000
ELECTRONIC COMMERCE FEES				100064
WORKERS' COMP ADMIN TF.....	113,496	113,496		2795
TR DIST CT OF AP-WORK COMP				100507
WORKERS' COMP ADMIN TF.....	1,780,920	1,780,920		2795

	COL A01	COL B08	COL B08-A01 13-14 DISB + APRVD CF OVER(UNDER)	CODES
	ACT PR YR EXP 2013-14 POS AMOUNT	13-14 DISB + APRVD CF POS AMOUNT	ACT PR YR EXP 2013-14 POS AMOUNT	
FINANCIAL SERVICES				43000000
PGM: WORKERS' COMPENSATION				43600000
<u>WORKERS' COMPENSATION</u>				43600100
SPECIAL CATEGORIES				100000
TR/USF-OSHA MATCH				100521
WORKERS' COMP ADMIN TF.....	241,080	241,080		2795
TR JAC - PROS WRKS COMP FR				100526
WORKERS' COMP ADMIN TF.....	545,148	545,148		2795
CONTRACTED SERVICES				100777
WORKERS' COMP ADMIN TF	2,021,845	2,021,843	2-	2795
WORKERS' COMP SPEC DISAB TF	75,315	75,315		2798
TOTAL APPRO.....	2,097,160	2,097,158	2-	
OPERATION/MOTOR VEHICLES				102289
WORKERS' COMP ADMIN TF.....	73,487	73,487		2795
PURCHASED CLIENT SERVICES				102933
WORKERS' COMP ADMIN TF.....	130,145	130,145		2795
RISK MANAGEMENT INSURANCE				103241
WORKERS' COMP ADMIN TF.....	181,322	181,322		2795
LEASE/PURCHASE/EQUIPMENT				105281
WORKERS' COMP ADMIN TF	60,706	60,706		2795
WORKERS' COMP SPEC DISAB TF	1,340	1,340		2798

	COL A01	COL B08	COL B08-A01	
	ACT PR YR	13-14 DISB	13-14 DISB	
	EXP 2013-14	+ APRVD CF	+ APRVD CF	OVER(UNDER)
	POS	AMOUNT	POS	AMOUNT
				EXP 2013-14
				POS
				AMOUNT
				CODES
FINANCIAL SERVICES				43000000
PGM: WORKERS' COMPENSATION				43600000
<u>WORKERS' COMPENSATION</u>				43600100
SPECIAL CATEGORIES				100000
LEASE/PURCHASE/EQUIPMENT				105281
TOTAL APPRO.....	62,046	62,046		
TR/DMS/HR SVCS/STW CONTRCT				107040
WORKERS' COMP ADMIN TF	97,193	97,193		2795
WORKERS' COMP SPEC DISAB TF	6,207	6,207		2798
TOTAL APPRO.....	103,400	103,400		
PGM: FINANCIAL SVCS COMM				43900000
OFFICE OF INSURANCE REG				43900100
<u>COMP & ENFORCE- INSURANCE</u>				43900110
SALARIES AND BENEFITS				010000
INSURANCE REG TF.....	15,234,515	15,234,514		1- 2393
OTHER PERSONAL SERVICES				030000
INSURANCE REG TF.....	338,080	338,080		2393
EXPENSES				040000
INSURANCE REG TF.....	2,142,012	2,142,010		2- 2393
OPERATING CAPITAL OUTLAY				060000
INSURANCE REG TF.....	84,488	84,488		2393

	COL A01	COL B08	COL B08-A01 13-14 DISB + APRVD CF OVER(UNDER)	CODES
	ACT PR YR EXP 2013-14 POS AMOUNT	13-14 DISB + APRVD CF POS AMOUNT	ACT PR YR EXP 2013-14 POS AMOUNT	
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.....	606,085	606,085		2393
TR/FIU-ENH/FL PUBLIC/MODEL				100516
INSURANCE REG TF.....	1,543,300	1,543,300		2393
PROPERTY/CASUALTY EXAMS				100523
INSURANCE REG TF.....	2,161,639	2,161,638	1-	2393
LIFE AND HEALTH EXAMS				100524
INSURANCE REG TF.....	250,645	250,645		2393
CONTRACTED SERVICES				100777
INSURANCE REG TF.....	647,534	647,534		2393
RISK MANAGEMENT INSURANCE				103241
INSURANCE REG TF.....	162,559	162,559		2393
LEASE/PURCHASE/EQUIPMENT				105281
INSURANCE REG TF.....	15,275	15,275		2393
TR/DMS/HR SVCS/STW CONTRCT				107040
INSURANCE REG TF.....	83,750	83,750		2393

	COL A01	COL B08	COL B08-A01	
	ACT PR YR	13-14 DISB	13-14 DISB	
	EXP 2013-14	+ APRVD CF	+ APRVD CF	OVER(UNDER)
	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.....	2,638,520	2,638,520		2393
EXPENSES				040000
INSURANCE REG TF.....	100,793	100,793		2393
SPECIAL CATEGORIES				100000
CONTRACTED SERVICES				100777
INSURANCE REG TF.....	15,422	15,421	1-	2393
LEASE/PURCHASE/EQUIPMENT				105281
INSURANCE REG TF.....	7,493	7,493		2393
TR/DMS/HR SVCS/STW CONTRCT				107040
INSURANCE REG TF.....	11,471	11,471		2393
OFFICE OF FINANCIAL REG				43900500
SFTY & SOUND ST BKG SYST				43900530
SALARIES AND BENEFITS				010000
FINANCIAL INST REG TF.....	7,699,870	7,699,869	1-	2275
OTHER PERSONAL SERVICES				030000
FINANCIAL INST REG TF.....	640,687	640,687		2275

	COL A01	COL B08	COL B08-A01 13-14 DISB + APRVD CF OVER(UNDER)	CODES
	ACT PR YR EXP 2013-14	13-14 DISB + APRVD CF	ACT PR YR EXP 2013-14	
	POS AMOUNT	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.....	1,488,578	1,488,578		2275
OPERATING CAPITAL OUTLAY				060000
FINANCIAL INST REG TF.....	3,789	3,789		2275
SPECIAL CATEGORIES				100000
CONTRACTED SERVICES				100777
FINANCIAL INST REG TF.....	51,387	51,387		2275
RISK MANAGEMENT INSURANCE				103241
FINANCIAL INST REG TF.....	47,523	47,523		2275
LEASE/PURCHASE/EQUIPMENT				105281
FINANCIAL INST REG TF.....	24,611	24,611		2275
TR/DMS/HR SVCS/STW CONTRCT				107040
FINANCIAL INST REG TF.....	37,681	37,681		2275
FINANCIAL INVESTIGATIONS				43900540
SALARIES AND BENEFITS				010000
ADMINISTRATIVE TRUST FUND.....	2,419,803	2,419,803		2021

	COL A01	COL B08	COL B08-A01	
	ACT PR YR	13-14 DISB	13-14 DISB	
	EXP 2013-14	+ APRVD CF	+ APRVD CF	OVER(UNDER)
	POS	AMOUNT	POS	AMOUNT
	POS	AMOUNT	POS	AMOUNT
				CODES
FINANCIAL SERVICES				43000000
PGM: FINANCIAL SVCS COMM				43900000
OFFICE OF FINANCIAL REG				43900500
FINANCIAL INVESTIGATIONS				43900540
OTHER PERSONAL SERVICES				030000
ADMINISTRATIVE TRUST FUND.....	12,435	12,435		2021
EXPENSES				040000
ADMINISTRATIVE TRUST FUND	262,443	262,443		2021
FED LAW ENFORCEMENT TF	27,347	27,347		2719
TOTAL APPRO.....	289,790	289,790		
OPERATING CAPITAL OUTLAY				060000
ADMINISTRATIVE TRUST FUND.....	15,861	15,861		2021
SPECIAL CATEGORIES				100000
CONTRACTED SERVICES				100777
ADMINISTRATIVE TRUST FUND.....	12,430	12,430		2021
RISK MANAGEMENT INSURANCE				103241
ADMINISTRATIVE TRUST FUND.....	25,774	25,774		2021
LEASE/PURCHASE/EQUIPMENT				105281
ADMINISTRATIVE TRUST FUND.....	9,789	9,789		2021
TR/DMS/HR SVCS/STW CONTRCT				107040
ADMINISTRATIVE TRUST FUND.....	19,839	19,839		2021

	COL A01	COL B08	COL B08-A01 13-14 DISB + APRVD CF OVER(UNDER)	
	ACT PR YR EXP 2013-14	13-14 DISB + APRVD CF	ACT PR YR EXP 2013-14	CODES
	POS AMOUNT	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.....	1,571,046	1,571,046		2021
OTHER PERSONAL SERVICES				030000
ADMINISTRATIVE TRUST FUND.....	10,103	10,103		2021
EXPENSES				040000
ADMINISTRATIVE TRUST FUND.....	157,178	157,178		2021
SPECIAL CATEGORIES				100000
CONTRACTED SERVICES				100777
ADMINISTRATIVE TRUST FUND.....	15,120	15,120		2021
RISK MANAGEMENT INSURANCE				103241
ADMINISTRATIVE TRUST FUND.....	19,733	19,733		2021
LEASE/PURCHASE/EQUIPMENT				105281
ADMINISTRATIVE TRUST FUND.....	7,317	7,317		2021
TR/DMS/HR SVCS/STW CONTRCT				107040
ADMINISTRATIVE TRUST FUND.....	13,748	13,748		2021

	COL A01	COL B08	COL B08-A01	
	ACT PR YR	13-14 DISB	13-14 DISB	
	EXP 2013-14	+ APRVD CF	+ APRVD CF	
	POS	AMOUNT	POS	AMOUNT
				CODES
FINANCIAL SERVICES				43000000
PGM: FINANCIAL SVCS COMM				43900000
OFFICE OF FINANCIAL REG				43900500
<u>EXEC DIR & SUPPORT SERVICE</u>				43900550
DATA PROCESSING SERVICES				210000
REAL SYSTEM - OFR				210016
ADMINISTRATIVE TRUST FUND.....	1,294,861	1,294,861		2021
<u>FINANCE REGULATION</u>				43900560
SALARIES AND BENEFITS				010000
REGULATORY TRUST FUND.....	5,612,854	5,612,855	1	2573
OTHER PERSONAL SERVICES				030000
REGULATORY TRUST FUND.....	30,955	30,954	1-	2573
EXPENSES				040000
REGULATORY TRUST FUND.....	687,848	687,848		2573
SPECIAL CATEGORIES				100000
CONTRACTED SERVICES				100777
REGULATORY TRUST FUND.....	3,233,274	3,233,273	1-	2573
RISK MANAGEMENT INSURANCE				103241
REGULATORY TRUST FUND.....	45,105	45,105		2573
LEASE/PURCHASE/EQUIPMENT				105281
REGULATORY TRUST FUND.....	26,711	26,711		2573

	COL A01	COL B08	COL B08-A01	CODES
	ACT PR YR	13-14 DISB	13-14 DISB	
	EXP 2013-14	+ APRVD CF	+ APRVD CF	
	POS	AMOUNT	POS	AMOUNT
	POS	AMOUNT	POS	AMOUNT
FINANCIAL SERVICES				43000000
PGM: FINANCIAL SVCS COMM				43900000
OFFICE OF FINANCIAL REG				43900500
FINANCE REGULATION				43900560
SPECIAL CATEGORIES				100000
TR/DMS/HR SVCS/STW CONTRCT				107040
REGULATORY TRUST FUND.....	35,273	35,273		2573
SECURITIES REGULATION				43900570
SALARIES AND BENEFITS				010000
REGULATORY TRUST FUND.....	5,559,467	5,559,466	1-	2573
OTHER PERSONAL SERVICES				030000
ANTI-FRAUD TRUST FUND	9,059	9,059		2038
REGULATORY TRUST FUND	4,466	4,466		2573
TOTAL APPRO.....	13,525	13,525		
EXPENSES				040000
ANTI-FRAUD TRUST FUND	11,941	11,940	1-	2038
REGULATORY TRUST FUND	496,252	496,252		2573
TOTAL APPRO.....	508,193	508,192	1-	
OPERATING CAPITAL OUTLAY				060000
ANTI-FRAUD TRUST FUND.....	13,534	13,534		2038
SPECIAL CATEGORIES				100000
CONTRACTED SERVICES				100777
ANTI-FRAUD TRUST FUND	55,620	55,620		2038
REGULATORY TRUST FUND	34,310	34,310		2573

	COL A01	COL B08	COL B08-A01	CODES
	ACT PR YR	13-14 DISB	13-14 DISB	
	EXP 2013-14	+ APRVD CF	+ APRVD CF	
	POS	AMOUNT	POS	AMOUNT
	POS	AMOUNT	POS	AMOUNT
FINANCIAL SERVICES				43000000
PGM: FINANCIAL SVCS COMM				43900000
OFFICE OF FINANCIAL REG				43900500
<u>SECURITIES REGULATION</u>				43900570
SPECIAL CATEGORIES				100000
CONTRACTED SERVICES				100777
TOTAL APPRO.....	89,930	89,930		
RISK MANAGEMENT INSURANCE				103241
REGULATORY TRUST FUND.....	35,841	35,841		2573
LEASE/PURCHASE/EQUIPMENT				105281
REGULATORY TRUST FUND.....	24,420	24,419	1-	2573
TR/DMS/HR SVCS/STW CONTRCT				107040
REGULATORY TRUST FUND.....	30,027	30,027		2573
TOTAL: REPORT				
TOTAL REPORT.....	279,869,868	279,869,855	13-	

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* BPEXBL01                      STATISTICAL INFORMATION                      10/15/2014 10:04:09:*
* BUDGET PERIOD: 2005-2016      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      B08      B08-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 2013-2014 *
*   P=PORTRAIT      SUB, LBE, PRC, MAC, NAC)      COMPARED TO 2013-2014 STATE ACCOUNTS *
*                                               DISBURSEMENTS PLUS APPROV CARRY FORWARD *
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* BPEXBL01                               STATISTICAL INFORMATION                10/15/2014 10:04:09:*
* BUDGET PERIOD: 2005-2016                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:    580
* 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 2015-16		FY 2015-16		FY 2015-16		
POS	AMOUNT	POS	AMOUNT	POS	AMOUNT	CODES

NO RECORDS SELECTED FOR REPORTING

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* BPEADL01                                STATISTICAL INFORMATION                                10/15/2014 10:04:13 *
* BUDGET PERIOD: 2005-2016                EXHIBIT A, D AND D-3A LIST REQUEST                TJM 43      SP      *
* COMPILE DATE: 02/26/2014                COMPILE TIME: 16:28:51                                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      COLUMN SELECTION: A03      A04      A05                CODES
* 1=EAD REPORT
* 2=SCHEDULE IV/IT ISSUES      REPORT COLUMNS WITH CALCULATION DIFFERENCE ONLY (Y/N): N  THAT EXCEED:
* 3=STATEWIDE ISSUES
* 4=SCHEDULE VIIIA ISSUES
* SCHEDULE VIIIA ISSUES SPREADSHEET (Y/N): N
*
* 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                10/15/2014 10:04:13 *
* BUDGET PERIOD: 2005-2016              EXHIBIT A, D AND D-3A LIST REQUEST          TJM 43      SP    *
* COMPILE DATE: 02/26/2014              COMPILE TIME: 16:28:51                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 ***

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* PGENLP02                                STATISTICAL INFORMATION                10/15/2014 10:04 *
* BUDGET PERIOD: 2005-2016                GENERIC REPORT REQUEST                TJM 43   SP 38 *
*                                           PAGE: 1 *
*****
*
*                SAVE INITIALS:          SAVE DEPARTMENT: 07       SAVE ID: ACT1
* -----
*
* SELECT CODES AND ACCUMULATION LEVEL WHERE ALLOWED.  WHEN NO CODE IS SELECTED, ALL CODES FOR THE DATA SELECTION FIELDS SELECTED
* ON PAGE 3 WILL BE REPORTED.  SELECTION WILL BE MERGED IF THE DATA SELECTION FIELDS ON PAGE 3 ARE NOT SELECTED.
*
* ITEMIZATION OF EXPENDITURE:  _ _ _ _ _ IOE ACCUMULATION LEVEL:  2 (1=OPER/FCO, 2=IOE)      FCO (Y/N):  Y
* SECTION:  _ _ _ _ _ ACCUM EDUCATION:  N (S=SUMMARY,D=DETAIL,N=NONE)
* ACCUM JUSTICE:  N (S=SUMMARY,D=DETAIL,N=NONE)
* ACCUM DFS:  N (S=SUMMARY,N=NONE)
* BUDGET ENTITY OR GROUP/ACCUMULATION LEVEL (DEP, DIV, BUR, LBE):
* 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):
* 5
*
* APPROPRIATION CATEGORY OR GROUP/ACCUMULATION LEVEL (1=MAJOR, 2=MINOR):
* 2
* APPROPRIATION CATEGORY TITLES:  S
* (S=SHORT,L=LONG)
* -----
* FUND GROUPS SET:  _____ OR FUND/ACCUMULATION LEVEL (1=FUND TYPE, 2=DETAIL FUND):  2
*
* FUNDING SOURCE IDENTIFIER:  _ _ _ _ _
*
* ISSUE CODE OR GROUP/ACCUMULATION LEVEL (1, 2 OR 3 FOR 1, 3 OR 7 CHARACTERS):
* 3
*
* OBJECTS ARE REPORTED ONLY WHEN SELECTED:
*
* OBJECT CODE/ACCUMULATION LEVEL (1 OR 2 FOR 2 OR 6 DIGITS):
* 2
* -----

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* PGENLP02
* BUDGET PERIOD: 2005-2016

STATISTICAL INFORMATION
GENERIC REPORT REQUEST

10/15/2014 10:04 *
TJM 43 SP 38 *

PAGE: 3 *

INCLUDE FUNDS/FSIS:	EXCLUDE FUNDS:	FUND HEADING (17):	FUND HEADING (13):
A = FTE		<u>FTE</u>	<u>FTE</u>
B = ALL FUNDS		<u>ALL FUNDS</u>	<u>ALL FUNDS</u>
C = 1000		GENERAL REVENUE	<u>GEN REV</u>
D = 3000		WORKING CAPITAL	WORKING CAP
E = 1000 3000		GEN REV+WRK CAP	<u>GR + WC</u>
F = 2		ALL TRUST FUNDS	<u>ALL TF</u>
G = 2	2178 2555 2543	OTH TRUST FUNDS	<u>OTHER TF</u>
H = 2178		<u>LOTTERY</u>	<u>LOTTERY</u>
I = 2555		<u>PECO</u>	<u>PECO</u>
J = 2543		STATE SCHOOL TF	<u>ST SCH TF</u>
K = 2	2178	ALL TF-LOTTERY	ALL TF-LOTT
L =			
M =			
N =			
O =			
P =			
Q =			
R = SALARY RATE		<u>SALARY RATE</u>	SALARY RATE
S = 2	1 2 4 5 7 8	<u>ALL TF-STATE</u>	<u>ALL TF-ST</u>
T = 2	3 9	<u>ALL TF-FEDERAL</u>	<u>ALL TF-FED</u>

*
* *** END OF REPORT ***
*

* PLBRLP01
* BUDGET PERIOD: 2005-2016

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

10/15/2014 10:04 *
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>N</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>B08</u>	<u>B08-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 ***
