



CHIEF FINANCIAL OFFICER
JIMMY PATRONIS
STATE OF FLORIDA

LEGISLATIVE BUDGET REQUEST

September 16, 2019

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

Eric Pridgeon, Staff Director
House Appropriations Committee
221 Capitol
Tallahassee, Florida 32399-1300

Cynthia 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 2020-21 Fiscal Year. This submission has been approved by Jimmy Patronis, Chief Financial Officer.


Jimmy Patronis
Chief Financial Officer

JP:tjm



OFFICE OF INSURANCE REGULATION

DAVID ALTMAIER
COMMISSIONER

**FINANCIAL SERVICES
COMMISSION**

RON DESANTIS
GOVERNOR

JIMMY PATRONIS
CHIEF FINANCIAL OFFICER

ASHLEY MOODY
ATTORNEY GENERAL

NICOLE "NIKKI" FRIED
COMMISSIONER OF
AGRICULTURE

September 16, 2019

Chris Spencer, Policy Director
Office of Policy and Budget
Executive Office of the Governor
1701 Capitol
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Cindy Kynoch, Staff Director
Senate Committee on Appropriations
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 2020-21 Fiscal Year. I have approved this submission as the Insurance Commissioner of the State of Florida.

Sincerely,


David Altmaier

• • •
DAVID ALTMAIER • COMMISSIONER
200 EAST GAINES STREET • TALLAHASSEE, FLORIDA 32399-0305 • (850) 413-5914 • FAX (850) 488-3334
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FLORIDA OFFICE OF
FINANCIAL  REGULATION

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Legislative Budget Request

September 16, 2019

Chris Spencer, Policy Director
Office of Policy and Budget
Executive Office of the Governor
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Dear Directors:

Pursuant to Chapter 216, Florida Statutes, our Legislative Budget Request for the Office of Financial Regulation is submitted in the format prescribed in the budget instructions. The information provided electronically and contained herein is a true and accurate presentation of our proposed needs for the 2020-21 Fiscal Year. I have approved this submission as the Chief of Staff of the Florida Office of Financial Regulation.

Sincerely,



Abigail L. Vail
Chief of Staff
Office of Financial Regulation

DEPARTMENT OF FINANCIAL SERVICES

PAY ADDITIVES PLAN
FISCAL YEAR 2020-2021

The Department of Financial Services (Department), in accordance with Section 110.2035(7)(b), Florida Statutes (F.S.), and Chapter 60L-32.0012(2)(e), Florida Administrative Code (F.A.C.), is requesting approval to implement ‘temporary special duties – general’ pay additives during Fiscal Year 2019-2020.

When approved, the Department can implement and sustain these pay additives from existing appropriations, so no additional appropriations or rate is requested as a part of this plan.

Temporary Special Duties – General (s. 110.2035(7)(b), F.S.)

The Department requests approval to grant a temporary 5% pay additive to Law Enforcement Officers (LEO) who perform additional duties as a canine (K-9) handlers.

1. Justification and Description:

The Bureau of Fire and Arson Investigations (BFAI) currently has eight (8) K-9 LEO throughout the state. To become a K-9 handler, the LEO must attend and successfully complete a five-week training academy and maintain proficiency and certification for K-9 handling. Each K-9 is specially trained as an Accelerant Detection Canine (ADC) and, along with the LEO, work in the BFAI, as well as assists other agencies on special details. The LEO has full time (24/7) responsibilities for care and feeding of the K-9, and must also be able to house and maintain the K-9 at their residence. The K-9 must be trained daily, even when the handler is not on duty.

2. Length of Time for Additive:

The LEO is granted the temporary pay increase (calculated at 5% of the LEO’s current salary) after completion of the training for K-9 handling duties, and begins on the first day that LEO receives the K-9. The LEO’s temporary pay increase ends when the K-9 retires or upon reassignment of the K-9 to a different LEO.

3. Classes and Number of Positions Affected:

<u>Class Code</u>	<u>Class Title</u>	<u>No. of FTE</u>
8541	Law Enforcement Investigator II	8*

* One of the K-9 handlers is a currently a Law Enforcement Captain, and another is a Law Enforcement Lieutenant; neither would not be eligible for this pay additive.

4. Area of State Impacted:

The additive will impact employees statewide, as K-9 handlers are assigned to regions throughout Florida.

5. Historical Information:

The Department has participated in the State Farm Arson Dog Program since 1998. State Farm Insurance provides financial support for the acquisition and training of the ADC and its handler.

6. Estimate Cost of Additive:

Based on a salary estimate at the mid-range for a Law Enforcement Investigator II, the calculation is as follows: $\$56,735.64 \times 5\% = \$2,836.79$ annually $\times 8$ positions = $\$22,694.32$ annually.

7. Additional Information:

The Department's K-9 handlers receive recertification annually. The handlers work a full investigative case load in addition to the K-9 duties. These employees often work unusual and long hours. The K-9 LEO pay additive provides the incentive needed to recruit and retain these highly trained employees.

Lastly, the Department respectfully requests the following language be added into the "Pay Additives and Other Incentive Programs" section of the Fiscal Year 2020-2021 General Appropriations Act:

"In addition to the K-9 additive, the temporary special duty - general pay additives outlined in the Department of Financial Services plan may also include duties and responsibilities that will be performed on a temporary basis. This type of pay additive will begin on the first day the special duties are assigned. The temporary special duty pay additive will not go beyond 90 days without the Department reviewing the circumstances to extend it beyond 90 days. When necessary, the Department is authorized to continue temporary special duties beyond 90 days without having to obtain approval from the Department of Management Services. The temporary special pay additive will be an amount up to 15% of the employee's base rate of pay, depending on the extra duties given. These requests meet the requirements specified in the applicable collective bargaining agreements."

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:	Jan Myrick	Phone Number:	850-413-4126
Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	<i>Jeff Atwater v. United States</i>		
Court with Jurisdiction:	U. S. Court of Federal Claims		
Case Number:	1:16-cv-01482-EDK		
Summary of the Complaint:	<p>The Department has completed state court escheat proceedings to take title to three categories of savings bonds that are considered unclaimed property under Florida law. The third category of bonds includes matured, unredeemed savings bonds with a registered owner whose last known address is in the state of Florida; the state does not have physical possession or serial numbers for this category of bonds. The U.S. Treasury has refused to provide information or the funds related to this third category of bonds to state treasurers, including CFO Patronis. Nine other states previously initiated federal litigation in the United States Court of Federal Claims against the United States over the funds from these unknown bonds; the style of the Kansas case is <i>LaTurner, Treasurer for the State of Kansas v. United States</i>. The state of Florida case is stayed pending the outcome of the <i>LaTurner</i> case.</p>		
Amount of the Claim:	The CFO deems this a significant case that may increase revenues received by the state by more than \$500,000.		
Specific Statutes or Laws (including GAA) Challenged:	31 C.F.R. § 315, <i>et seq.</i> ; 31 C.F.R. § 353, <i>et seq.</i> ; Chapter 717, F.S.		
Status of the Case:	The instant case has been stayed pending the outcome of the <i>LaTurner</i> case.		
Who is representing (of record) the state in this lawsuit? Check all that apply.	<input type="checkbox"/>	Agency Counsel	
	<input type="checkbox"/>	Office of the Attorney General or Division of Risk Management	
	<input checked="" type="checkbox"/>	Outside Contract Counsel	

If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).	N/A
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Office of Policy and Budget – July 2018

Schedule VII: Agency Litigation Inventory

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Agency:	Department of Financial Services		
Contact Person:	Jan Myrick	Phone Number:	850-413-4126
Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	<i>Howard Forman, Clerk of Court v. Dep’t of Rev., et al.</i>		
Court with Jurisdiction:	First District Court of Appeal; Second Judicial Circuit, Leon County		
Case Number:	1D18-1891; 2016-CA-001044		
Summary of the Complaint:	Challenge to the constitutionality of statutory filing fee distribution scheme, similar to <i>Crist v. Ervin</i> , 56 So. 3d 745 (Fla. 2010). The Department is a defendant as the administrator of trust funds that receive a portion of the filing fees.		
Amount of the Claim:	Uncertain, but in excess of \$500,000.		
Specific Statutes or Laws (including GAA) Challenged:	Constitutional challenge to sections 28.2401, 28.241(1)(a)1. a.-b., 28.241(1)(a)2., 28.241(1)(c)1.-2., 28.35-.36, 34.041(1), 34.041(1)(c), 48.108(1), F.S., under art. V, § 14; art. III, § 12; and art. III, § 19(c)(3), Fla. Const.		
Status of the Case:	The trial court entered an Order and Final Judgment 4/27/18 finding the fee allocation outlined in the statutes unconstitutional. The Department of Financial Services has joined defendant Department of Revenue in an appeal to the First DCA. Initial Brief filed 8/31/18.		
Who is representing (of record) the state in this lawsuit? Check all that apply.	<input checked="" type="checkbox"/>	Agency Counsel	
	<input checked="" type="checkbox"/>	Office of the Attorney General or Division of Risk Management	
	<input type="checkbox"/>	Outside Contract Counsel	
If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).	N/A		

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Agency:	Department of Financial Services		
Contact Person:	Jan Myrick	Phone Number:	850-413-4126
Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	<i>Seminole County, et al. v. Daly, Atwater</i>		
Court with Jurisdiction:	First District Court of Appeal; Second Judicial Circuit, Leon County		
Case Number:	1D17-4509; 2016-CA-001849		
Summary of the Complaint:	Action seeking a declaratory judgment that counties are entitled to recover from the state treasury alleged overpayments to the Department of Juvenile Justice (DJJ), plus fees, costs, and damages, despite failure to file the refund application in accordance with the procedure designated by section 215.26, F.S. (2014) and (2016).		
Amount of the Claim:	Uncertain, but in excess of \$500,000.		
Specific Statutes or Laws (including GAA) Challenged:	Application of section 985.686, F.S.		
Status of the Case:	DJJ appealed the trial court order granting Counties' Motion for Summary Judgment. Oral Argument on DJJ's appeal was held 9/11/18 at 2:00 p.m.; the Department is monitoring the appeal.		
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		

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:	Paul Stadler	Phone Number:	850-413-4255
Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	<i>United Insurance Company of America, The Reliable Life Insurance Company, Mutual Savings Life Insurance Company, and Reserve National Insurance Company v. Jimmy Patronis (formerly Jeff Atwater), in his official capacity as Chief Financial Officer of the State of Florida, and the Florida Department of Financial Services</i>		
Court with Jurisdiction:	First District Court of Appeal; Second Judicial Circuit, Leon County		
Case Number:	1D18-2114; 2016-CA-001009		
Summary of the Complaint:	<p>Insurance company plaintiffs seek a declaration that chapter 2016-219, Laws of Florida, is unconstitutional on due process and impairment of contract grounds.</p> <p>Chapter 2016-219, Laws of Florida, requires insurers to compare their policyholder records against the United States Death Master File Index or equivalent to determine whether the death of an insured, a retained asset account holder, or an annuitant is indicated, for the purpose of paying insurance benefits and reporting unclaimed funds to the Department.</p>		
Amount of the Claim:	If the Department prevails in the litigation, millions of dollars in life insurance benefits will be remitted to beneficiaries. If these individuals cannot be located by the insurers, the funds will be reported and remitted to the Division of Unclaimed Property. The Division will then execute its statutory duties to notify the beneficiaries, process claims, and remit the insurance proceeds to the owners.		
Specific Statutes or Laws (including GAA) Challenged:	Section 717.107, F.S. (2016).		
Status of the Case:	Trial court granted the insurance companies' Amended Motion for Summary Judgment and the Department has appealed. The National Association of Unclaimed Property Administrators has been granted leave of court to participate as an amicus in support of the Department's position. Insurance companies' answer brief is due 9/26/18.		
Who is representing (of record) the state in this lawsuit? Check all that apply.	<input type="checkbox"/>	Agency Counsel	
	<input type="checkbox"/>	Office of the Attorney General or Division of Risk Management	
	<input checked="" type="checkbox"/>	Outside Contract Counsel	

If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).	N/A
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Office of Policy and Budget – July 2018

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:	Dustin Metz	Phone Number:	(850) 413-1685
Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	<i>State of Florida, Department of Financial Services, and Jeff Atwater v. Danahy & Murray, P.A., and Bennett Dennison, PLLC</i>		
Court with Jurisdiction:	First District Court of Appeal, Florida Supreme Court		
Case Number:	1D17-2493; SC 18-801		
Summary of the Complaint:	Bennett Dennison and Danahy & Murray (law firms) sought access to consumer names and addresses relating to the Department’s residential property mediation and neutral evaluation programs. The Department asserted the requested information is confidential and exempt from disclosure under section 624.23, F.S. The circuit court declared section 624.23 unconstitutional as applied to the identifying information. The Department appealed the circuit court’s order and the First DCA agreed with the Department, finding the statute constitutional.		
Amount of the Claim:	The outcome of this case may require amendments to the law under which the agency operates.		
Specific Statutes or Laws (including GAA) Challenged:	Sections 624.23(1)(b)7. and (2), F.S.		
Status of the Case:	Danahy & Murray appealed the First DCA’s ruling to the Florida Supreme Court. Both parties have submitted briefs on jurisdiction. Awaiting Florida Supreme Court’s ruling on whether the court will accept the case.		
Who is representing (of record) the state in this lawsuit? Check all that apply.	<input checked="" type="checkbox"/>	Agency Counsel	
	<input type="checkbox"/>	Office of the Attorney General or Division of Risk Management	
	<input type="checkbox"/>	Outside Contract Counsel	
If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).			

Schedule VII: Agency Litigation Inventory

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

Agency:	Department of Financial Services		
Contact Person:	Gina Smith	Phone Number:	850-413-4180
Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	<i>James Michael Hand, et al. v. Rick Scott, Pam Bondi, Jeff Atwater, et al.</i>		
Court with Jurisdiction:	United States District Court, Northern District of Florida		
Case Number:	4:17-CV-00128-MW-CAS		
Summary of the Complaint:	Civil rights class action seeking declaratory and injunctive relief alleging that Florida’s clemency/restoration of civil rights process regarding felon re-enfranchisement violates the 1st and 14th Amendments of the U.S. Constitution.		
Amount of the Claim:	The outcome of this case may require amendments to the law under which the agency operates.		
Specific Statutes or Laws (including GAA) Challenged:	Article VI, sec. 4(a) and Article IV, sec. 8, Florida Constitution; Sections 97.041(2)(b) and 944.292(1), F.S.; Florida Rules of Executive Clemency.		
Status of the Case:	The Plaintiffs filed and served a Complaint on all parties and the Florida Solicitor General is representing all Defendants. Following its order granting Plaintiffs' Motion for Summary Judgment, in part, the district court entered judgment for Plaintiffs, enjoining enforcement of the current vote-restoration process, and directing Defendants to promulgate new rules consistent with its decision. The matter is currently on appeal before the 11th Circuit Court of Appeals and is awaiting a decision following the oral argument held July 25, 2018.		
Who is representing (of record) the state in this lawsuit? Check all that apply.	<input type="checkbox"/>	Agency Counsel	
	<input checked="" type="checkbox"/>	Office of the Solicitor General	
	<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).	Fair Elections Legal Network and Cohen Milstein Sellers & Toll, PLLC.		

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:	Tom Nemecek	Phone Number:	850-413-1694
Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	<p><i>Florida Society of Ambulatory Surgical Centers, Inc.; HCA Health Services of Florida, Inc., d/b/a Oak Hill Hospital; HSS Systems, LLC, d/b/a Parallon Business Performance Group; and Automated Healthcare Solutions, Inc. v. Department of Financial Services, Division of Workers' Compensation.</i></p> <p>NOTE: <i>Zenith Insurance Company; Bridgefield Casualty Insurance Company; Business First Insurance Company; and RetailFirst Insurance Company</i> have intervened in support of the proposed rule.</p>		
Court with Jurisdiction:	Division of Administrative Hearings		
Case Number:	17-3025RP (Consolidated with 17-3026RP and 17-3027RP)		
Summary of the Complaint:	Petitioners have challenged proposed Rules 69L-31.016(1), 69L-31.016(2), and 69L-31.005(2), <i>Florida Administrative Code</i> , claiming they constitute an invalid exercise of delegated legislative authority.		
Amount of the Claim:	Litigation of this case has ended and the Department has no contingent liabilities as a result of the litigation.		
Specific Statutes or Laws (including GAA) Challenged:	Sections 120.56(2) and 120.52(8), Florida Statutes.		
Status of the Case:	On November 30, 2017, the Division of Administrative Hearings issued a Final Order declaring proposed Rules 69L-31.016(1), (2), and 69L-31.005(2)(d), <i>Florida Administrative Code</i> , invalid exercises of delegated legislative authority. The Final Order has not been appealed and the deadline to do so has expired.		
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 Solicitor General	
	<input type="checkbox"/>	Outside Contract Counsel	
If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).			

Schedule VII: Agency Litigation Inventory

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

Agency:	Department of Financial Services		
Contact Person:	Thomas Nemecek	Phone Number:	850-413-1694
Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	<i>Zenith Insurance Company v. Department of Financial Services, Division of Workers’ Compensation</i>		
Court with Jurisdiction:	Division of Administrative Hearings		
Case Number:	18-3844		
Summary of the Complaint:	The petition alleges the Department’s reimbursement dispute determination requires reimbursement for charges and services that are unreasonable, in violation of sections 440.015, 440.13(12-15) and 440.44(2), F.S. The petition further alleges the determination applies to both adopted and unadopted agency rule(s) or policy in violation of section 120.57(1), F.S., and illegally creates a conclusive presumption that all charges billed by the health care provider are reasonable and reimbursable in violation of Florida law.		
Amount of the Claim:	The outcome of this case may require amendments to the law under which the agency operates.		
Specific Statutes or Laws (including GAA) Challenged:	The petition directly challenges Rule 69L-7.501, <i>Florida Administrative Code</i> , and indirectly challenges Rules 69L-7.020 and 69L-7.100, <i>Florida Administrative Code</i> .		
Status of the Case:	This matter is pending before the Division of Administrative Hearings.		
Who is representing (of record) the state in this lawsuit? Check all that apply.	<input checked="" type="checkbox"/>	Agency Counsel	
	<input type="checkbox"/>	Office of the Attorney General or Division of Risk Management	
	<input type="checkbox"/>	Outside Contract Counsel	
If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).			

Schedule VII: Agency Litigation Inventory

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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		

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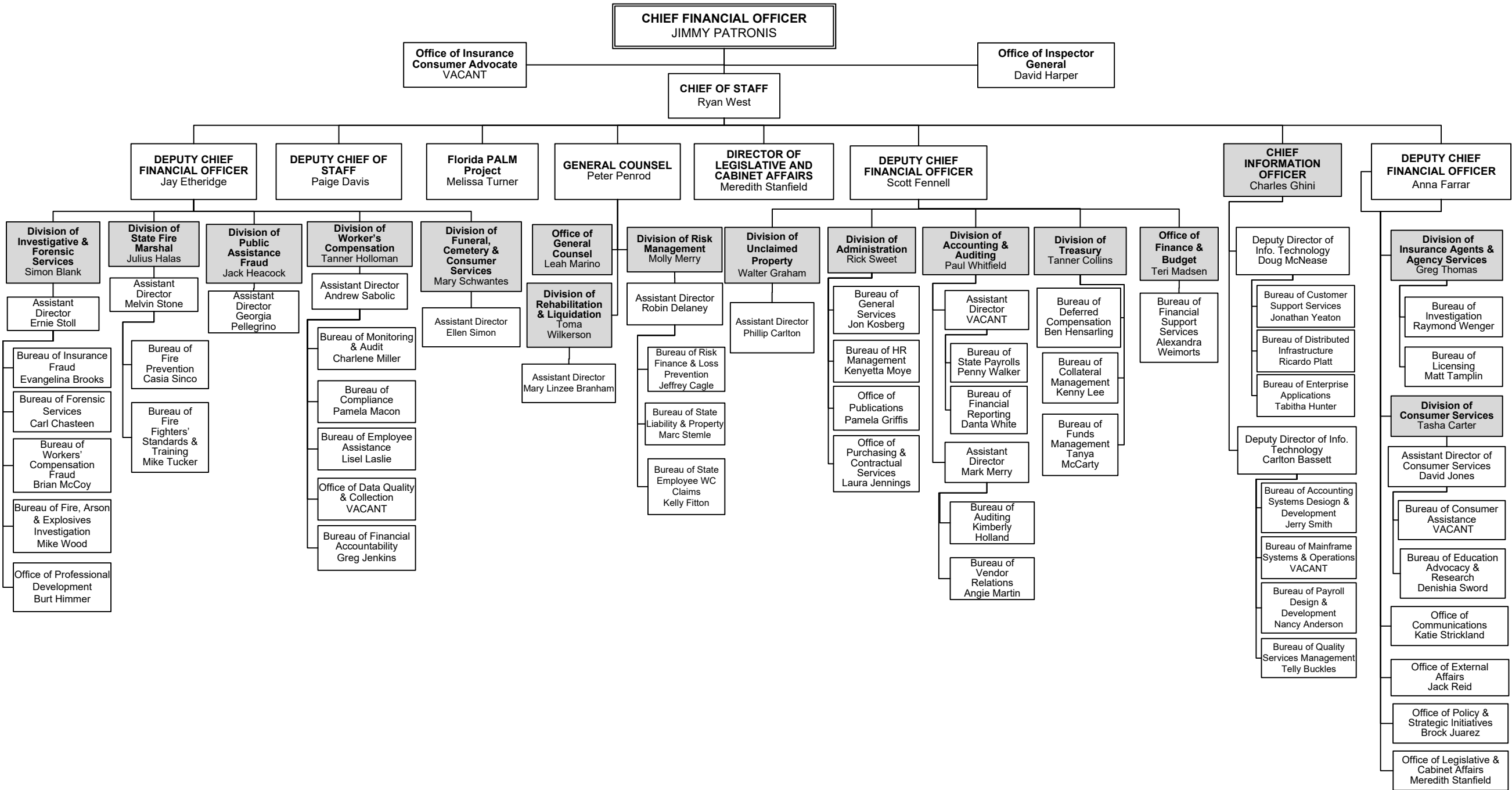
Agency:	Office of Financial Regulation		
Contact Person:	General Counsel’s Office	Phone Number:	850-410-9703
Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	Office of the Attorney General, State of Florida and Office of Financial Regulation v. Ocwen Financial Corporation, Ocwen Mortgage Servicing, Inc. and Ocwen Loan Servicing, LLC.		
Court with Jurisdiction:	United States District Court for the Southern District of Florida.		
Case Number:	Case No.: 9:17-cv-80496-KAM		
Summary of the Complaint:	This matter involves alleged state and federal violations concerning the Defendants’ mortgage loan servicing activities.		
Amount of the Claim:	Potential OFR fine of \$1,000,000		
Specific Statutes or Laws (including GAA) Challenged:	N/A		
Status of the Case:	Parties are in the process of completing discovery.		
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		

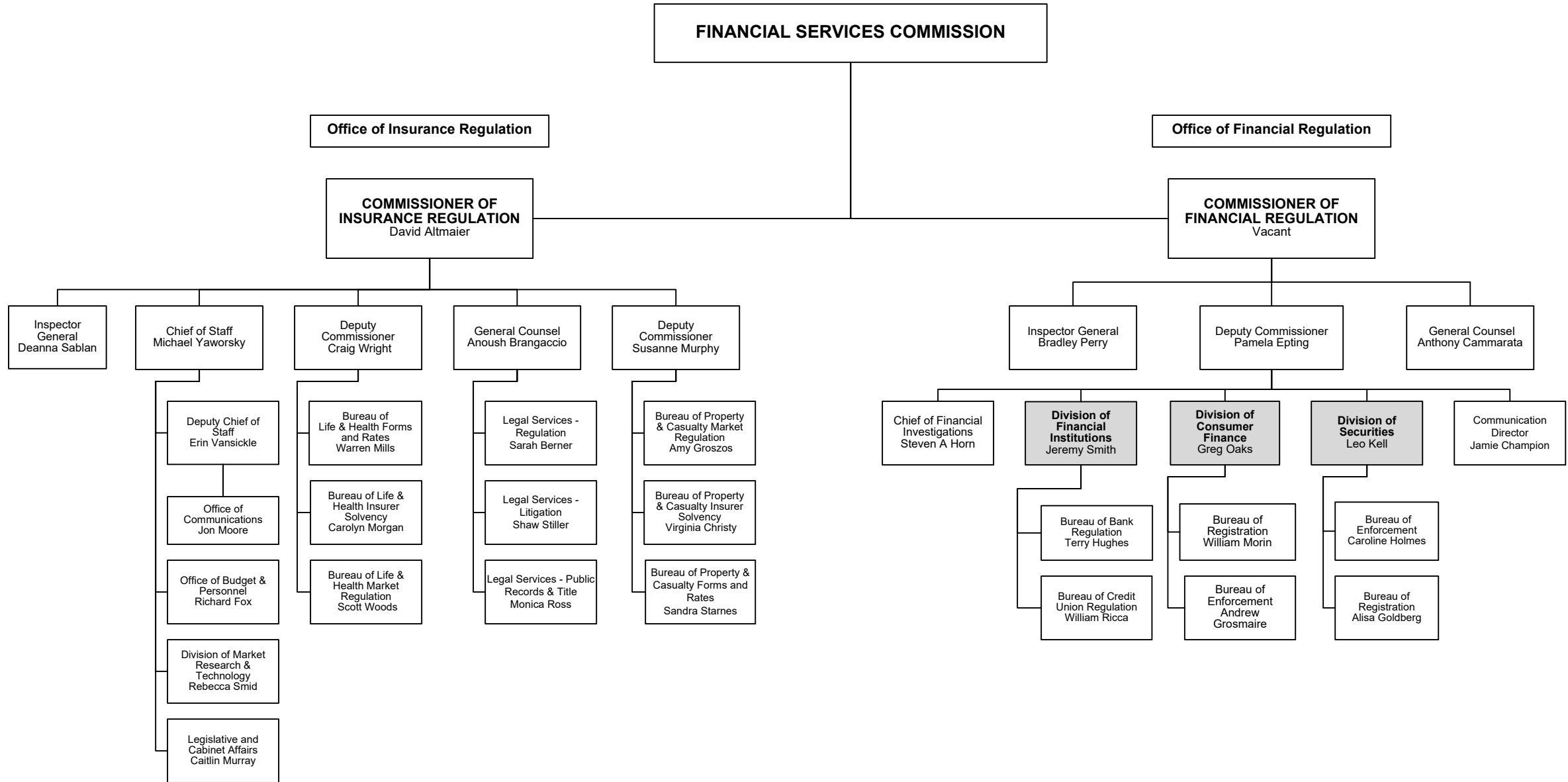
Schedule VII: Agency Litigation Inventory

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Agency:	Office of Financial Regulation		
Contact Person:	General Counsel’s Office	Phone Number:	850-410-9703
Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	Garda CL Southeast, Inc.		
Court with Jurisdiction:	N/A		
Case Number:	OFR Case No. 88558		
Summary of the Complaint:	Garda is an unlicensed armored car company that the Office alleges has been engaging in unlicensed activity for a period of time which, if required to pay the full amount of the corresponding administrative fine, would exceed \$2 million. Garda has applied for a money transmitter license pursuant to chapter 560, Florida Statutes.		
Amount of the Claim:	Potential fine in excess of \$2 million.		
Specific Statutes or Laws (including GAA) Challenged:	N/A		
Status of the Case:	The parties are discussing settlement of the amount of the administrative fine.		
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





FINANCIAL SERVICES, DEPARTMENT OF		FISCAL YEAR 2018-19			
SECTION I: BUDGET		OPERATING		FIXED CAPITAL OUTLAY	
TOTAL ALL FUNDS GENERAL APPROPRIATIONS ACT			385,429,043	9,761,650	
ADJUSTMENTS TO GENERAL APPROPRIATIONS ACT (Supplementals, Vetoes, Budget Amendments, etc.)			67,377,649	-1,500,000	
FINAL BUDGET FOR AGENCY			452,806,692	8,261,650	
SECTION II: ACTIVITIES * MEASURES		Number of Units	(1) Unit Cost	(2) Expenditures (Allocated)	(3) FCO
Executive Direction, Administrative Support and Information Technology (2)					308,262
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.		3,586	110.34	395,693	
Process Transactions, Account Changes And Audit Functions * Number of account actions taken on regulatory collateral deposit accounts.		60,601	17.14	1,038,468	
Investment Of Public Funds * Average Dollar Volume of Funds Invested		24,100,000,000	0.00	962,848	
Provide Cash Management Services * Number of cash management consultation services.		51	27,182.04	1,386,284	
Receive Funds, Process Payment Of Warrants And Provide Account And Reconciliation Services * Number of financial management/accounting transactions processed and reports produced.		2,700,000	0.78	2,116,466	
Administer The State Supplemental Deferred Compensation Plan * Number of participant account actions processed by the state deferred compensation office.		2,065,215	0.75	1,559,098	
Accounting And Reporting Of State Funds * State Accounts Managed in the Florida Accounting Information Reporting System.		35,642	118.50	4,223,606	
Migrate Current Accounts Payable Procedures To Electronic Commerce * Payments issued electronically to settle claims against the state.		9,464,223	0.08	781,406	
Conduct Pre-audits Of Selected Accounts Payable * Vendor payment requests that are pre-audited for compliance with statutes and contract requirements		382,280	20.51	7,839,121	
Conduct Post-audits Of Major State Programs * Post-audits completed of major state programs to determine compliance with statutes and contract requirements.		4	116,205.75	464,823	
Process State Employees Payroll * Payroll payments issued		3,184,639	0.63	1,996,924	
Conduct Post-audits Of Payroll * Post-audits completed of state agencies payroll payments to determine compliance with statutes		3	28,812.67	86,438	
Article V - Clerk Of The Courts * N/A		13	36,675.38	476,780	
Collect Unclaimed Property * Accounts reported by holders of unclaimed property		2,968,513	1.10	3,274,522	
Process And Payment Of Unclaimed Property * Payments processed for claims of unclaimed property.		593,765	5.87	3,485,959	
License The Fire Protection Industry * Number of entity requests for licenses, permits and certificates processed within statutorily mandated time frames.		7,065	80.71	570,214	
Perform Fire Safety Inspections * Number of inspections of fire code compliance completed.		15,299	277.44	4,244,516	
Review Construction Plans For Fire Code Compliance * Number of construction plans reviewed.		661	854.27	564,674	
Perform Boiler Inspections * Number of boiler inspections completed by department inspectors.		750	832.83	624,626	
Investigate Fires Accidental, Arson And Other * Total number of closed fire investigations involving economic or physical loss.		3,801	4,228.30	16,071,771	
Provide State, Local And Business Professional Training And Education * Number of classroom contact hours provided by the Florida State Fire College.		191,968	11.78	2,260,928	
Provide State, Local And Business Professional Standards, Testing And Statutory Compliance * Number of examinations administered.		9,234	118.77	1,096,756	
Provide Forensic Laboratory Services * Number of evidence items and photographic images processed.		8,372	168.30	1,408,993	
Fire Incident Reporting * Number of total incidents reported to the Florida Fire Incident Reporting System.		2,303,103	0.13	294,317	
Provide Adjusting Services On State Workers' Compensation Claims * Number of workers' compensation claims worked.		20,986	1,766.70	37,076,071	
Provide Adjusting Services On State Liability Claims * Number of liability claims worked.		6,134	2,182.38	13,386,720	
Process Property Claims On State Owned Buildings (structure And Contents) * Number of state property loss/damage claims worked.		2,243	1,075.56	2,412,489	
Provide Risk Services Training And Consultation * Number of agency loss prevention staff trained during the fiscal year.		720	2,975.23	2,142,163	
Rehabilitate And/Or Liquidate Financially Impaired Insurance Companies * Number of insurance companies in receivership during the year.		20	33,438.60	668,772	
Review Applications For Licensure (qualifications) * Number of applications for licensure processed.		125,626	21.99	2,762,692	
Administer Examinations And Issue Licenses * Number of examinations administered and licenses authorized.		49,137	27.64	1,358,175	
Administer The Appointment Process From Employers And Insurers * Number of appointment actions processed.		1,897,032	0.41	782,087	
Administration Of Education Requirements (pre Licensing And Continuing Education) * Number of applicants and licensees required to comply with education requirements.		285,692	1.42	406,128	
Investigate Agents And Agencies * Number of agent and agency investigations completed.		3,952	1,463.81	5,784,988	
Investigate Insurance Fraud (general) * Number of insurance fraud investigations completed (not including workers- compensation).		1,784	11,664.93	20,810,227	
Investigate Workers' Compensation Insurance Fraud * Number of workers' compensation insurance fraud investigations completed.		405	8,574.16	3,472,533	
Respond To Consumer Request For Assistance * Number of consumer requests and informational inquiries handled.		54,892	76.85	4,218,721	
Provide Consumer Education Activities * Number of visits to the Consumer Services website.		513,239	1.26	645,599	
Answer Consumer Telephone Calls * Number of telephone calls answered through the consumer helpline.		289,085	16.55	4,784,604	
Examine And Regulate Licensees In The Funeral & Cemetery Business (chapter 497) To Ensure Regulatory Compliance * Number of examinations and inspections completed.		1,630	1,712.85	2,791,939	
Monitor And Audit Workers' Compensation Insurers To Ensure Benefit Payments * Number of claims reviewed annually.		95,089	46.35	4,407,138	
Verify That Employers Comply With Workers' Compensation Laws * Number of employer investigations conducted.		30,029	476.84	14,319,156	
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.		762	6,605.13	5,033,111	
Provide Reimbursement For Workers' Compensation Claims Paid By Insurance Carriers On Employees Hired With Preexisting Conditions * Number of reimbursement requests (SDF-2) audited.		1,465	952.78	1,395,824	
Collection Of Assessments From Workers' Compensation Insurance Providers * Amount of assessment dollars collected.		93,944,831	0.01	703,537	
Data Collection, Dissemination, And Archival * Number of records successfully entered into the division's databases.		6,649,549	0.57	3,782,852	
Reimbursement Disputes * Number of petitions resolved annually		2,607	621.77	1,620,954	
Public Assistance Fraud Investigations * Number of public assistance fraud investigations conducted.		4,792	1,454.75	6,971,182	
Approve And License Entities To Conduct Insurance Business. * Number of Certificates of Authority (COAs) processed.		139	6,764.47	940,262	
Conduct And Direct Market Conduct Examinations. * Number of examinations and investigations completed for licensed companies and unlicensed entities		325	9,893.30	3,215,322	
Conduct Financial Reviews And Examinations. * Number of financial reviews and examinations completed.		8,701	1,897.43	16,509,580	
Review And Approve Rate And Form Filings. * Number of rate and forms review completed.		12,268	702.54	8,618,701	
Examine And Regulate Financial Services Companies To Ensure Regulatory Compliance. * Examinations of non-depository financial service companies to determine compliance with regulations.		424	10,989.05	4,659,357	
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.		25,656	79.50	2,039,534	
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.		91	113,896.41	10,364,573	
Examine And Enforce Laws Regarding International Financial Institutions To Ensure Safety And Soundness. * Number of international financial institutions examined to ensure safety and soundness.		9	79,221.11	712,990	
Conduct Financial Investigations Into Allegations Of Fraudulent Activity. * Number of financial investigations into allegations of fraudulent activity.		221	16,795.47	3,711,799	
Examine And Regulate Money Services Businesses To Ensure Regulatory Compliance * Examinations of money services businesses conducted to determine compliance with regulations.		205	27,511.00	5,639,755	
Examine And Regulate Securities Firms, Branches To Ensure Regulatory Compliance. * Conduct examinations of securities firms and branches.		196	31,862.72	6,245,093	
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.		57,122	48.11	2,747,904	
TOTAL				264,367,763	308,262
SECTION III: RECONCILIATION TO BUDGET					
PASS THROUGHS					
TRANSFER - STATE AGENCIES					
AID TO LOCAL GOVERNMENTS					
PAYMENT OF PENSIONS, BENEFITS AND CLAIMS					
OTHER				134,132,538	7,876,650
REVERSIONS				54,306,394	
TOTAL BUDGET FOR AGENCY (Total Activities + Pass Throughs + Reversions) - Should equal Section I above. (4)				452,806,695	8,184,912

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

- Some activity unit costs may be overstated due to the allocation of double budgeted items.
- 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.
- Information for FCO depicts amounts for current year appropriations only. Additional information and systems are needed to develop meaningful FCO unit costs.
- Final Budget for Agency and Total Budget for Agency may not equal due to rounding.

SECTION III - PASS THROUGH ACTIVITY ISSUE CODES SELECTED:

TRANSFER-STATE AGENCIES ACTIVITY ISSUE CODES SELECTED:

1-8:

AID TO LOCAL GOVERNMENTS ACTIVITY ISSUE CODES SELECTED:

1-8:

AUDIT #1: THE FOLLOWING STATEWIDE ACTIVITIES (ACT0010 THROUGH ACT0490) HAVE AN OUTPUT STANDARD (RECORD TYPE 5) AND SHOULD NOT:

*** NO ACTIVITIES FOUND ***

AUDIT #2: 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 ***

AUDIT #3: THE ACTIVITIES LISTED IN AUDIT #3 DO NOT HAVE AN ASSOCIATED OUTPUT STANDARD. IN ADDITION, THE ACTIVITIES WERE NOT IDENTIFIED AS A TRANSFER-STATE AGENCIES, AS AID TO LOCAL GOVERNMENTS, OR A PAYMENT OF PENSIONS, BENEFITS AND CLAIMS (ACT0430). ACTIVITIES LISTED HERE SHOULD REPRESENT TRANSFERS/PASS THROUGH THAT ARE NOT REPRESENTED BY THOSE ABOVE OR ADMINISTRATIVE COSTS THAT ARE UNIQUE TO THE AGENCY AND ARE NOT APPROPRIATE TO BE ALLOCATED TO ALL OTHER ACTIVITIES.

BE	PC	CODE	TITLE	EXPENDITURES	FCO
43500400	1205000000	ACT1020	HOLOCAUST VICTIMS ASSISTANCE	288,502	
43010400	1602000000	ACT1040	INSURANCE CONSUMER ADVOCATE	578,129	
43010500	1603000000	ACT1050	INFORMATION TECHNOLOGY - FLAIR	13,020,813	
43200100	1601000000	ACT2010	PASS THROUGH FROM PRISON INDUSTRY	490,659	
43200100	1601000000	ACT2020	PASS THROUGH - TRANSFER TO STATE	54,561,375	
43700400	1205000000	ACT2170	CONDUCT FISCAL INTEGRITY	471,312	
43200300	1603000000	ACT2180	FLORIDA ACCOUNTING INFORMATION	27,175,344	
43200100	1601000000	ACT2195	PASS THROUGH FLORIDA CLERKS OF	2,800,000	
43300400	1202000000	ACT3430	PASS-THROUGH GRANTS AND AIDS	958,177	
43300500	1202000000	ACT3440	PASS-THROUGH GRANTS AND AIDS LOCAL	9,486,339	7,876,650
43300500	1202000000	ACT3530	PASS THROUGH - TRANSFER TO	2,000,000	
43400100	1601000000	ACT4150	PURCHASE OF EXCESS INSURANCE	11,153,928	
43700400	1205000000	ACT5510	HURRICANES AND OTHER NATURAL	6,850,933	
43600100	1102020000	ACT6010	TRANSFER TO 1ST DISTRICT COURT OF	1,904,211	
43900110	1204000000	ACT9150	HURRICANE RATE/RISK MODEL	1,065,589	
43900110	1204000000	ACT9160	GRANTS AND AIDS - INSURANCE AND	1,077,227	
43600100	1102020000	ACT9940	TRANSFER TO THE UNIVERSITY OF	250,000	

AUDIT #4: TOTALS FROM SECTION I AND SECTIONS II + III:

DEPARTMENT: 43	EXPENDITURES	FCO
FINAL BUDGET FOR AGENCY (SECTION I):	452,806,692	8,261,650
TOTAL BUDGET FOR AGENCY (SECTIONS II + III):	452,806,695	8,184,912
DIFFERENCE:	3-	76,738*
(MAY NOT EQUAL DUE TO ROUNDING)	=====	=====

* FCO Difference is due to the 76,738 held in unbudget reserve from FY 18/19 appropriations in category 080990 BE 43300400

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 2020-21 Legislative Budget Request)

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

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

contact Information
Agency: Department of Financial Services, Office of Information Technology (OIT)
Name: Technical Contact – Nicholas Platt, Chief of Distributed Infrastructure, Budget Contact – Joe Walker, Director’s Office.
Phone: Nicholas Platt 413-1509, Joe Walker 413-2303
E-mail address: Nicholas.Platt@myfloridacfo.com or Joe.Walker@myfloridacfo.com

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

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

1. Commodities proposed for purchase.					
Item #	Mfr. Part	Description	Price	Qty	Extended Price
*1	CLMSWITCH-24NODE-R5	SwitchNetAppCluster24-Node Mfr: NetApp, Inc	\$0.00	2	\$0.00
*2	X190001	Cluster Switch,Interconnect,32Pt,40Gb,PTSX Mfr: NetApp, Inc	\$10,500.00	2	\$21,000.00
*3	X66100-1	Cable,Direct Attach CU SFP+,40Gb,1m Mfr: NetApp, Inc	\$196.00	2	\$392.00
*4	X66100-3	Cable,Direct Attach CU SFP+,40Gb,3m Mfr: NetApp, Inc	\$196.00	4	\$784.00
*5	X66120-3	Cable,Direct Attach CU 40G QSFP/4x10G SFP,3m Mfr: NetApp, Inc	\$321.00	2	\$642.00
*6	X1558A-R6	Power Cable,In-Cabinet,48-IN,C13-C14 Mfr: NetApp, Inc	\$0.00	4	\$0.00
*7	SW-2-CL-BASE	SW-2,Base,CL,Node Mfr: NetApp, Inc	\$0.00	1	\$0.00
*8	AFF-A700	HEADER LINE Mfr: NetApp, Inc	\$0.00	1	\$0.00
*9	AFF-A700A-002	AFF A700 HA System,FlashBundle Mfr: NetApp, Inc	\$0.00	2	\$0.00
*10	SW-2-A700A-NVE-C	SW,Data at Rest Encryption Enabled,A700A,-C Mfr: NetApp, Inc	\$0.00	2	\$0.00
*11	SW-2-A700A-TPM-C	SW,Trusted Platform Module Enabled,A700A,-C Mfr: NetApp, Inc	\$0.00	2	\$0.00

*12	AFF-A700A-201-C	AFF A700,HA,CTL,Encl,AC PS,40G,SAS,-C Mfr: NetApp, Inc	\$70,284.43	1	\$70,284.43
*13	X91440A-C	IO Module,2-PT 40GbE,-C Mfr: NetApp, Inc	\$2,595.34	2	\$5,190.68
*14	X92071A-C	IO Module,4-PT SAS,12Gb,-C Mfr: NetApp, Inc	\$685.56	4	\$2,742.24
*15	X91143A-C	IO Module,4-PT CNA,10GbE,16GB FC,-C Mfr: NetApp, Inc	\$1,862.00	2	\$3,724.00
*16	X-QSFP-4SFP10G-CU3M-C	Cable,Cisco,QSFP/4xSFP10G,CU Passive,3m,-C Mfr: NetApp, Inc	\$248.00	4	\$992.00
*17	X66250-2-C	Cable,LC-LC,OM4,2m,-C Mfr: NetApp, Inc	\$62.40	8	\$499.20
*18	X66032A-C	Cable,12Gb,Mini SAS HD,2m,-C Mfr: NetApp, Inc	\$139.56	4	\$558.24
*19	DOC-AFF-A700-C	Documents,AFF-A700,-C Mfr: NetApp, Inc	\$0.00	1	\$0.00
*20	X1985-R6-C	12-Node Cluster Cable Label Kit,-C Mfr: NetApp, Inc	\$0.00	1	\$0.00
*21	DATA-AT-REST-ENCRYPTION	Data at Rest Encryption Capable Operating Sys Mfr: NetApp, Inc	\$0.00	2	\$0.00
*22	ALL-FLASH-OPTIMIZED	Optimized SSD Personality Mfr: NetApp, Inc	\$0.00	1	\$0.00
*23	SW-FLASH-PREM-BUNDLE-C	ONTAP,Per-0.1TB,FlashBundle,Ult-Perf,-C Mfr: NetApp, Inc	\$204.00	456	\$93,024.00
*24	X1558A-R6-C	Power Cable,In-Cabinet,48-IN,C13-C14,-C Mfr: NetApp, Inc	\$0.00	6	\$0.00
*25	X-02659-00-C	Rail Kit,4-Post,Rnd/Sq-Hole,Adj,24-32,-C Mfr: NetApp, Inc	\$55.02	2	\$110.04
*26	X6596-R6-C	SFP+ FC Optical 16Gb,-C Mfr: NetApp, Inc	\$492.00	8	\$3,936.00
*27	PS-DEPLOY-STAND-AFF-H	PS DeploymentStandardAFFHigh Mfr: NetApp, Inc	\$0.00	1	\$0.00
*28	DS224C-SL-3.8-12S-2P-C	SSD Shelf,12G,12x3.8TB,2P,-C Mfr: NetApp, Inc	\$24,000.00	1	\$24,000.00
*29	CS-O2-4HR	SupportEdge Premium 4hr Onsite Mfr: NetApp, Inc	\$0.00	1	\$0.00
*30	CS-NRD2-E	Non Returnable Disk Plus,e Mfr: NetApp, Inc	\$0.00	1	\$0.00
*31	FAS8200	FAS8200 - HEADER Mfr: NetApp, Inc	\$0.00	1	\$0.00
*32	FAS8200A-002	FAS8200 HA System,Premium Bundle Mfr: NetApp, Inc	\$8,167.00	2	\$16,334.00
*33	SW-2-8200A-TPM-C	SW,Trusted Platform Module Enabled,8200A,-C Mfr: NetApp, Inc	\$0.00	2	\$0.00
*34	SW-2-8200A-NVE-C	SW,Data at Rest Encryption Enabled,8200A,-C Mfr: NetApp, Inc	\$0.00	2	\$0.00
*35	X2071A-C	HBA,4-Port HD-miniSAS,12Gb,PCIe,-C Mfr: NetApp, Inc	\$788.40	4	\$3,153.60
*36	X66250-2-C	Cable,LC-LC,OM4,2m,-C Mfr: NetApp, Inc	\$62.40	4	\$249.60
*37	X-SFP-H10GB-CU3M-R6-C	Cable,Cisco 10GBase Copper SFP+ 3m,-C Mfr: NetApp, Inc	\$146.78	4	\$587.12
*38	X66031A-C	Cable,12Gb,Mini SAS HD,1m,-C Mfr: NetApp, Inc	\$110.18	8	\$881.44
*39	X6235-C	Chassis,FAS8200,AFF-A300,AC PS,-C Mfr: NetApp, Inc	\$0.00	1	\$0.00
*40	DS212C-07-4.0-12B-2P-C	Disk Shelf,12G,12x4TB,7.2K,2P,-C Mfr: NetApp, Inc	\$4,047.14	2	\$8,094.28
*41	DOC-8200-C	Documents,8200,-C Mfr: NetApp, Inc	\$0.00	1	\$0.00
*42	DATA-AT-REST-ENCRYPTION	Data at Rest Encryption Capable Operating Sys Mfr: NetApp, Inc	\$0.00	2	\$0.00

*43	X1558A-R6-C	Power Cable,In-Cabinet,48-IN,C13-C14,-C Mfr: NetApp, Inc	\$0.00	6	\$0.00
*44	X-02657-00-C	Rail Kit,Thin,Rnd/Sq-Hole,4-Post,Adj,24-32,-C Mfr: NetApp, Inc	\$64.58	2	\$129.16
*45	X-02659-00-C	Rail Kit,4-Post,Rnd/Sq-Hole,Adj,24-32,-C Mfr: NetApp, Inc	\$55.02	1	\$55.02
*46	OS-ONTAP1-CAP1-PREM-2P-C	ONTAP,Per-0.1TB,PREMBNDL,Capacity,2P,-C Mfr: NetApp, Inc	\$14.80	960	\$14,208.00
*47	X6596-R6-C	SFP+ FC Optical 16Gb,-C Mfr: NetApp, Inc	\$386.00	4	\$1,544.00
*48	PS-DEPLOY-STAND-FAS-L	PS DeploymentStandardFASLow Mfr: NetApp, Inc	\$0.00	1	\$0.00
*49	CS-O2-4HR	SupportEdge Premium 4hr Onsite Mfr: NetApp, Inc	\$0.00	1	\$0.00
*50	CS-NRD2-E	Non Returnable Disk Plus,e Mfr: NetApp, Inc	\$0.00	1	\$0.00
*51	X90102A	Hardware Kit,System De-pop Trays Mfr: NetApp, Inc	\$0.00	1	\$0.00
*52	X66021A-R6	Cable,Storage,MiniSAS HD,QSFP,12G,2m Mfr: NetApp, Inc	\$61.22	24	\$1,469.28
*53	Freight Services - B	FREIGHT SVCS - DOCS / PACKAGING / SHIP - BILLABLE Mfr: UNITED DATA TECHNOLOGIES	\$600.00	1	\$600.00
*54	CLMSWITCH-24NODE-R5	SwitchNetAppCluster24-Node Mfr: NetApp, Inc	\$0.00	2	\$0.00
*55	X190001	Cluster Switch,Interconnect,32Pt,40Gb,PTX Mfr: NetApp, Inc	\$10,500.00	2	\$21,000.00
*56	X66100-1	Cable,Direct Attach CU SFP+,40Gb,1m Mfr: NetApp, Inc	\$196.00	2	\$392.00
*57	X66100-3	Cable,Direct Attach CU SFP+,40Gb,3m Mfr: NetApp, Inc	\$196.00	4	\$784.00
*58	X66120-3	Cable,Direct Attach CU 40G QSFP/4x10G SFP,3m Mfr: NetApp, Inc	\$305.00	2	\$610.00
*59	X1558A-R6	Power Cable,In-Cabinet,48-IN,C13-C14 Mfr: NetApp, Inc	\$0.00	4	\$0.00
*60	SW-2-CL-BASE	SW-2,Base,CL,Node Mfr: NetApp, Inc	\$0.00	1	\$0.00
*61	AFF-A700	HEADER LINE Mfr: NetApp, Inc	\$0.00	1	\$0.00
*62	AFF-A700A-002	AFF A700 HA System,FlashBundle Mfr: NetApp, Inc	\$0.00	2	\$0.00
*63	SW-2-A700A-NVE-C	SW,Data at Rest Encryption Enabled,A700A,-C Mfr: NetApp, Inc	\$0.00	2	\$0.00
*64	SW-2-A700A-TPM-C	SW,Trusted Platform Module Enabled,A700A,-C Mfr: NetApp, Inc	\$0.00	2	\$0.00
*65	AFF-A700A-201-C	AFF A700,HA,CTL,Encl,AC PS,40G,SAS,-C Mfr: NetApp, Inc	\$70,284.43	1	\$70,284.43
*66	X91440A-C	IO Module,2-PT 40GbE,-C Mfr: NetApp, Inc	\$2,595.34	2	\$5,190.68
*67	X92071A-C	IO Module,4-PT SAS,12Gb,-C Mfr: NetApp, Inc	\$685.56	4	\$2,742.24
*68	X91143A-C	IO Module,4-PT CNA,10GbE,16GB FC,-C Mfr: NetApp, Inc	\$2,281.94	2	\$4,563.88
*69	X-QSFP-4SFP10G-CU3M-C	Cable,Cisco,QSFP/4xSFP10G,CU Passive,3m,-C Mfr: NetApp, Inc	\$425.90	4	\$1,703.60
*70	X66250-2-C	Cable,LC-LC,OM4,2m,-C Mfr: NetApp, Inc	\$62.40	8	\$499.20
*71	X66032A-C	Cable,12Gb,Mini SAS HD,2m,-C Mfr: NetApp, Inc	\$139.56	4	\$558.24
*72	DOC-AFF-A700-C	Documents,AFF-A700,-C Mfr: NetApp, Inc	\$0.00	1	\$0.00

*73	X1985-R6-C	12-Node Cluster Cable Label Kit,-C Mfr: NetApp, Inc	\$0.00	1	\$0.00
*74	DATA-AT-REST- ENCRYPTION	Data at Rest Encryption Capable Operating Sys Mfr: NetApp, Inc	\$0.00	2	\$0.00
*75	ALL-FLASH- OPTIMIZED	Optimized SSD Personality Mfr: NetApp, Inc	\$0.00	1	\$0.00
*76	SW-FLASH-PREM- BUNDLE-C	ONTAP,Per-0.1TB,FlashBundle,Ult-Perf,-C Mfr: NetApp, Inc	\$204.00	456	\$93,024.00
*77	X1558A-R6-C	Power Cable,In-Cabinet,48-IN,C13-C14,-C Mfr: NetApp, Inc	\$0.00	6	\$0.00
*78	X-02659-00-C	Rail Kit,4-Post,Rnd/Sq-Hole,Adj,24-32,-C Mfr: NetApp, Inc	\$55.02	2	\$110.04
*79	X6596-R6-C	SFP+ FC Optical 16Gb,-C Mfr: NetApp, Inc	\$506.82	8	\$4,054.56
*80	PS-DEPLOY-STAND- AFF-H	PS DeploymentStandardAFFHigh Mfr: NetApp, Inc	\$0.00	1	\$0.00
*81	DS224C-SL-3.8-12S- 2P-C	SSD Shelf,12G,12x3.8TB,2P,-C Mfr: NetApp, Inc	\$24,000.00	1	\$24,000.00
*82	CS-O2-4HR	SupportEdge Premium 4hr Onsite Mfr: NetApp, Inc	\$0.00	1	\$0.00
*83	CS-NRD2-E	Non Returnable Disk Plus,e Mfr: NetApp, Inc	\$0.00	1	\$0.00
*84	FAS8200	FAS8200 - HEADER Mfr: NetApp, Inc	\$0.00	1	\$0.00
*85	FAS8200A-002	FAS8200 HA System,Premium Bundle Mfr: NetApp, Inc	\$10,763.68	2	\$21,527.36
*86	SW-2-8200A-TPM-C	SW,Trusted Platform Module Enabled,8200A,-C Mfr: NetApp, Inc	\$0.00	2	\$0.00
*87	SW-2-8200A-NVE-C	SW,Data at Rest Encryption Enabled,8200A,-C Mfr: NetApp, Inc	\$0.00	2	\$0.00
*88	X2071A-C	HBA,4-Port HD-miniSAS,12Gb,PCIe,-C Mfr: NetApp, Inc	\$788.40	4	\$3,153.60
*89	X66250-2-C	Cable,LC-LC,OM4,2m,-C Mfr: NetApp, Inc	\$62.40	4	\$249.60
*90	X-SFP-H10GB-CU3M- R6-C	Cable,Cisco 10GBase Copper SFP+ 3m,-C Mfr: NetApp, Inc	\$146.78	4	\$587.12
*91	X66031A-C	Cable,12Gb,Mini SAS HD,1m,-C Mfr: NetApp, Inc	\$110.18	8	\$881.44
*92	X6235-C	Chassis,FAS8200,AFF-A300,AC PS,-C Mfr: NetApp, Inc	\$0.00	1	\$0.00
*93	DS212C-07-4.0-12B- 2P-C	Disk Shelf,12G,12x4TB,7.2K,2P,-C Mfr: NetApp, Inc	\$4,047.14	2	\$8,094.28
*94	DOC-8200-C	Documents,8200,-C Mfr: NetApp, Inc	\$0.00	1	\$0.00
*95	DATA-AT-REST- ENCRYPTION	Data at Rest Encryption Capable Operating Sys Mfr: NetApp, Inc	\$0.00	2	\$0.00
*96	X1558A-R6-C	Power Cable,In-Cabinet,48-IN,C13-C14,-C Mfr: NetApp, Inc	\$0.00	6	\$0.00
*97	X-02657-00-C	Rail Kit,Thin,Rnd/Sq-Hole,4-Post,Adj,24-32,-C Mfr: NetApp, Inc	\$64.58	2	\$129.16
*98	X-02659-00-C	Rail Kit,4-Post,Rnd/Sq-Hole,Adj,24-32,-C Mfr: NetApp, Inc	\$55.02	1	\$55.02
*99	OS-ONTAP1-CAP1- PREM-2P-C	ONTAP,Per-0.1TB,PREMBNDL,Capacity,2P,-C Mfr: NetApp, Inc	\$14.80	960	\$14,208.00
*100	X6596-R6-C	SFP+ FC Optical 16Gb,-C Mfr: NetApp, Inc	\$506.82	4	\$2,027.28
*101	PS-DEPLOY-STAND- FAS-L	PS DeploymentStandardFASLow Mfr: NetApp, Inc	\$0.00	1	\$0.00
*102	CS-O2-4HR	SupportEdge Premium 4hr Onsite Mfr: NetApp, Inc	\$0.00	1	\$0.00

*103	CS-NRD2-E	Non Returnable Disk Plus,e Mfr: NetApp, Inc	\$0.00	1	\$0.00
*104	X90102A	Hardware Kit,System De-pop Trays Mfr: NetApp, Inc	\$0.00	1	\$0.00
*105	X66021A-R6	Cable,Storage,MiniSAS HD,QSFP,12G,2m Mfr: NetApp, Inc	\$61.22	24	\$1,469.28
*106	Freight Services - B	FREIGHT SVCS - DOCS / PACKAGING / SHIP - BILLABLE Mfr: UNITED DATA TECHNOLOGIES	\$600.00	1	\$600.00
107	FAS8200A-002	FAS8200 HA System,Premium Bundle Mfr: NetApp, Inc	\$10,500.00	2	\$21,000.00
*108	X2071A-C	HBA,4-Port HD-miniSAS,12Gb,PCle,-C [Cat: L] Mfr: NetApp, Inc	\$872.00	2	\$1,744.00
*109	X6566B-05-R6-C	Cable,Direct Attach CU SFP+ 10G Mfr: ARROW ENTERPRISE	\$87.60	4	\$350.40
110	X6566B-3-R6-C	Cable,Direct Attach CU SFP+ 10G,3M,-C Mfr: NetApp, Inc	\$138.70	8	\$1,109.60
*111	X66250-2-C	Cable,LC-LC,OM4,2m,-C Mfr: NetApp, Inc	\$91.00	4	\$364.00
112	X-SFP-H10GB-CU3M-R6-C	Cable,Cisco 10GBase Copper SFP+ 3m,-C Mfr: NetApp, Inc	\$163.52	4	\$654.08
113	X66030A-C	Cable,12Gb,Mini SAS HD,0.5m,-C Mfr: NetApp, Inc	\$134.68	4	\$538.72
114	X66031A-C	Cable,12Gb,Mini SAS HD,1m,-C Mfr: NetApp, Inc	\$163.80	8	\$1,310.40
*115	X1960-R6-C	ClusterNet Inter-connect,16Pt Mfr: ARROW ENTERPRISE	\$4,600.00	2	\$9,200.00
116	DS212C-07-4.0-12B-2P-C	Disk Shelf,12G,12x4TB,7.2K,2P,-C Mfr: NetApp, Inc	\$4,100.00	2	\$8,200.00
117	X-02657-00-C	Rail Kit,Thin,Rnd/Sq-Hole,4-Post,Adj,24-32,-C Mfr: NetApp, Inc	\$98.88	4	\$395.52
*118	X-02659-00-C	Rail Kit,4-Post,Rnd/Sq-Hole,Adj,24-32,-C Mfr: NetApp, Inc	\$84.24	1	\$84.24
119	OS-ONTAP1-CAP1-PREM-2P-C	ONTAP,Per-0.1TB,PREMBNDL,Capacity,2P,-C Mfr: NetApp, Inc	\$20.50	1920	\$39,360.00
*120	X6596-R6-C	SFP+ FC Optical 16Gb,-C Mfr: ARROW ENTERPRISE	\$753.50	4	\$3,014.00
121	PS-DEPLOY-STAND-FAS-L	PS DeploymentStandardFASLow Mfr: NetApp, Inc	\$0.00	1	\$0.00
*122	CS-O2-4HR	Support Edge Premium 4hr Onsite Support Mfr: NETAPP, INC	\$0.00	1	\$0.00
123	CS-NRD2-E	Non Returnable Disk Plus,e Mfr: NetApp, Inc	\$0.00	1	\$0.00
124	DS212C-07-4.0-12B-2P-CQ	Disk Shelf,12G,12x4TB,7.2K,2P,CQ Mfr: NetApp, Inc	\$4,100.00	2	\$8,200.00
*125	CS-O2-4HR	Support Edge Premium 4hr Onsite Support Mfr: NETAPP, INC	\$0.00	1	\$0.00
126	CS-NRD2-E	Non Returnable Disk Plus,e Mfr:	\$0.00	1	\$0.00
127	FAS8200A-002	FAS8200 HA System,Premium Bundle Mfr:	\$16,481.44	2	\$32,962.88
*128	X2071A-C	HBA,4-Port HD-miniSAS,12Gb,PCle,-C [Cat: L] Mfr: NetApp, Inc	\$1,172.12	2	\$2,344.24
*129	X66250-2-C	Cable,LC-LC,OM4,2m,-C Mfr: NetApp, Inc	\$91.00	4	\$364.00
130	X-SFP-H10GB-CU3M-R6-C	Cable,Cisco 10GBase Copper SFP+ 3m,-C Mfr: NetApp, Inc	\$163.52	4	\$654.08
131	X66031A-C	Cable,12Gb,Mini SAS HD,1m,-C Mfr: NetApp, Inc	\$163.80	8	\$1,310.40
132	DS212C-07-4.0-12B-2P-CQ	Disk Shelf,12G,12x4TB,7.2K,2P,CQ Mfr: NetApp, Inc	\$4,100.00	2	\$8,200.00

133	X-02657-00-C	Rail Kit,Thin,Rnd/Sq-Hole,4-Post,Adj,24-32,-C Mfr: NetApp, Inc	\$98.88	2	\$197.76
*134	X-02659-00-C	Rail Kit,4-Post,Rnd/Sq-Hole,Adj,24-32,-C Mfr: NetApp, Inc	\$76.00	1	\$76.00
135	OS-ONTAP1-CAP1-PREM-2P-C	ONTAP,Per-0.1TB,PREMBNDL,Capacity,2P,-C Mfr: NetApp, Inc	\$20.50	960	\$19,680.00
*136	X6596-R6-C	SFP+ FC Optical 16Gb,-C Mfr: ARROW ENTERPRISE	\$478.00	4	\$1,912.00
137	PS-DEPLOY-STAND-FAS-L	PS DeploymentStandardFASLow Mfr: NetApp, Inc	\$0.00	1	\$0.00
*138	CS-O2-4HR	Support Edge Premium 4hr Onsite Support Mfr: NETAPP, INC	\$0.00	1	\$0.00
139	CS-NRD2-E	Non Returnable Disk Plus,e Mfr:	\$0.00	1	\$0.00
140	X66021A-R6	Cable,Storage,MiniSAS HD,QSFP,12G,2m Mfr:	\$78.00	6	\$468.00
141	X66020A-R6	Cable,Storage,MiniSAS HD,QSFP,12G,1m Mfr:	\$54.00	10	\$540.00
141 item(s)				Sub-Total	\$721,917.66

2. Describe and justify the need for the deferred-payment commodity contract including guaranteed energy performance savings contracts.

The purpose for this request is largely financial. Market conditions have dictated that it is more practical to purchase new storage (NetApp) equipment approximately every three years due to the inclusion of equipment maintenance with the new equipment purchase price. When purchased independently, equipment maintenance is \$297,000 for a twelve-month period on old equipment. The \$721,917.65 to be financed will provide OIT with newer, faster storage, and 3 years of maintenance included on the equipment. Thus, saving a net of \$133,406.82 (after interest savings: total spent will be \$757,593.18 over 12 quarterly payments) and providing DFS with better equipment.

3. Summary of one-time payment versus financing analysis including a summary amortization schedule for the financing by fiscal year (amortization schedule and analysis detail may be attached separately).

OIT is not able to purchase this out of base budget due to other budget constraints. Since recurring budget authority has been provided, OIT is requesting it's use to procure a contract. An amortization schedule is attached showing total costs over three years at an interest rate of 3% and total after interest cost of \$757,593.18.

4. Identify base budget proposed for payment of contract and/or issue code and title of budget request if increased authority is required for payment of the contract.

Increased authority is not required for the contract.

1. a.) Name of Agency: The Florida Department of Financial Services
 b.) Mailing Address: 200 East Gaines St, Tallahassee, FL 32399
 c.) Proposed Lease Term – From: 10/1/2020 To: 10/1/2023
 d.) Proposed Lease Location: DFS Fletcher building 200 East Gaines St. Tallahassee, FL 32399
 e.) L1L2: 4363 FLAIR Account Code: SPLIT BETWEEN THREE: 10-2-021002-43010300-00-105280-00 and 10-1-000122-43010500-00-105280-00 and 20-2-021201-43010500-00-105280-00 (CEFP funds)
 f.) Agency Contact Person: Joseph Walker
 g.) Agency Contact Phone: 850-413-2303
 h.) Agency Contact Email: joe.walker@myfloridacfo.com
 i.) Reviewed by Purchasing Office (signature): n/a
 j.) Submitted By (signature): _____

2. Equipment Description 12 Storage controllers (Models A700 and FAS8200), 12 disk drive enclosures with disks (2 enclosures for solid state disks and 10 enclosures for spinning disks), 6 Cluster Switches (2 for each of the 3 storage environments).

3. Equipment Vendor Name: TBD
 Equipment Vendor Address: TBD
 Equipment Vendor FEID No: TBD

4. What acquisition method was used to procure equipment (Request for Quote (RFQ), Invitation to Bid (ITB), Request for Proposal (RFP), Sole Source, etc.)? will likely be RFQ

5. Attach procurement documentation (copy of RFQ/ITB /RFP) and the bid tabulation used to select vendor. If method was sole source, attach Sole Source Certificate. N/A

6. Attach an official statement documenting the need and usage of the equipment. Please see schedule XIII

7. Attach documentation from the budget office substantiating there are recurring funds available to make payments under the proposed lease term. No lease purchase funds available

8. Attach a copy of the requisition order and proposed lease agreement, if applicable. n/a

NOTE: – these are estimates; we are seeking to leverage the lower interest rate in CEFP and already have recurring funds. We do not have a vendor that has provided leasing numbers.

9. a.) If purchased instead of leased, proposed purchase price after discounts and trade-in :	\$721,917.66
b.) Less equity accruals of rental credits:	(0)
c.) Net purchase price	\$721,917.66

10. a.) Proposed lease term:	36 months
b.) Expected period of need for proposed equipment:	48 months
c.) Remaining useful life of equipment at lease conclusion:	36 months
d.) Total useful life of equipment at Lease inception:	72 months
e.) Remaining percentage of total useful life (c/d):	50 %
f.) Purchase price of the equipment at end of lease term:	\$0
g.) Does the lessee provide a guarantee that the lessor will receive the purchase price of the equipment at the end of the lease term? <u>Unknown at this time</u>	<input type="checkbox"/> Yes <input type="checkbox"/> No
h.) Is a maintenance charge included in the lease payment?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
i.) If no, the separate monthly expense is:	\$24,750/ month
j.) If yes, implied monthly expense – equivalent to maintenance cost if equipment was owned:	\$ _____ / month
k.) Gross lease payment, not including separate maintenance (i)	\$19,528
l.) Less executory (period) costs-	
Implied maintenance (j)	(_____)
Other:	(_____)
m.) Net lease cost (k) – (l)	\$19,528
n.) Net lease cost over lease term (m) x (a)	\$703,008

11. Present Value determination: Use the lesser interest rate of: a) incremental borrowing rate of approximately 6.0% - use Present Value Table provided; or b) the implicit (not expressed directly) rate in the lease of _____%

Present Value Table		
10(a) Lease Term Months	Present Value Annuity Factor (PVAF) 6.0%	Future Value of single Payment Factor (FVPF) 6.0%
12	11.219	0.943
18	17.173	0.917
24	22.553	0.890
30	27.794	0.895
36	32.871	0.839
42	37.798	0.815
48	42.580	0.792

60	51.725	0.747
72	60.340	0.705

11(a) Present Value of Net Lease Payments – Multiply the net lease cost 10(m) by the present value annuity factor corresponding with the lease term 10(a)	10(m) \$19,528
	x PVAF 32.871
	= 11(a) \$641,905

NOTE: If 10(g) is No, skip sections 11(b), 11(c), and 11(d), go to 11(e).

11(b) Present Value of Lease End Price – Multiply the purchase price at end of the lease 10(f) by the future value of single payment factor corresponding with the lease term 10(a)	10(f) \$ _____
	x FVPF \$ _____
	= 11(b) \$ _____

11(c) Cost of Equipment during lease – Subtract the present value of the purchase price at the end of lease 11(b) from the net purchase price 9(c)	9(c) \$ _____
	- 11(b) \$ _____
	= 11(c) \$ _____

11(d) Divide the present value of net lease payments 11(a) by the cost of equipment during lease 11(c)	11(a) \$ _____
	/ 11(c) \$ _____
	= 11(d) _____ %

11(e) Divide the present value of net lease payments 11(a) by the net purchase price 9(c)	11(a) \$641,905
	/ 9(c) \$721,918
	= 11(e) 89%

12. If the proposed lease term 10(a) is less than expected period of need for the equipment 10(b), is there a lease available with a term that more closely approximates the expected period of need? Yes No unknown
 If yes, provide documentation explaining why the proposed lease term is less than the period of need and how it is cost-effective.
 Are 10(a) & 10(b) equivalent? Yes No unknown

13. At the end of the lease term, is the ownership (title) of the property transferred to the Lessee? Yes No unknown

14. Does the lease contain a bargain purchase option price? Yes No unknown

NOTE: If 10(e) is 25% or less, skip questions 15 & 16, go to question 17.

15. Is the lease term substantially (75 percent or more) equal to the remaining economic useful life of the leased property? (10(a) / 10(d) = 36/72). Yes No

16. Does the present value of net lease payments 11(a) equal or exceed 90 percent of the fair value (net purchase price 9(c) or the cost to be recovered 11(c) of the lease property)?

Yes No

Depending on the answer to 10(g), use 16(a) or 16(b) to determine the response:

(a) If answer to 10(g) is yes, use 11(d) _____% Yes No

(b) If answer to 10(g) is no, use 11(e) _____% Yes No

17. Checking "Yes" indicates that the proposed agreement is in conformance with the following provisions:

	Yes
a.) Indemnity Clauses (Attorney General Opinion (AGO) 78-20)	<input type="checkbox"/>
b.) Late Payments (Section 215.422, F.S.)	<input type="checkbox"/>
c.) Advanced payment for goods and services (Section 215.422, F.S.)	<input type="checkbox"/>
d.) Annual Appropriations (Section 287.0582, F.S.)	<input type="checkbox"/>
e.) No clauses granting security interest. (AGO 79-72 and 80-9)	<input type="checkbox"/>
f.) Laws of the State of Florida shall prevail in the agreement	<input type="checkbox"/>
g.) The risk of loss or damage to leased equipment, or other lessor duties, has not been transferred to the lessee (State).	<input type="checkbox"/>
h.) Lease made under purchasing contracts, i.e., state term contracts, do not contain modifications that are not part of the original purchasing contract.	<input type="checkbox"/>
i.) No clauses containing prepayment penalties.	<input type="checkbox"/>
j.) No clauses providing for the lessee (State) to separately pay for intangible taxes, property taxes, etc.	<input type="checkbox"/>
k.) Present value methodology used for leases, which require payments for more than one year and include provisions for unequal payment streams or unequal time payment streams. (Section 287.0572, F.S.)	<input type="checkbox"/>

Submit Department of Financial Services
to: Bureau of Accounting
Finance and Federal Reporting Section
200 East Gaines Street
414 Fletcher Building
Tallahassee, Florida 32399-0364
Phone: (850) 413-5511
E-mail Address: financing@myfloridacfo.com

APPROVED

DEPARTMENT OF FINANCIAL SERVICES
DIVISION OF ACCOUNTING AND AUDITING

BY: _____

DATE: _____

APPROVAL NO: _____

Note: This application form must be submitted, with all required substantiating documentation, at least 21 days before awarding the contract for such equipment.

1. a) Name of Agency: The Department of Financial Services
b) Address of Agency: 200 East Gaines Street, Tallahassee, FL 32399
c) Agency Contact: Joseph Walker Phone: 850-413-2303
Email address: Joe.walker@myfloridacfo.com Fax: _____
d) Agency Address and Contact Person (if different from above) _____
e) Reviewed by Purchasing Office (signature): N/A
f) Submitted by (signature): N/A

2. a) Equipment Description 12 Storage controllers (Models A700 and FAS8200),
12 disk drive enclosures with disks (2 enclosures for
solid state disks and 10 enclosures for spinning
disks), 6 Cluster Switches (2 for each of the 3 storage
environments).

- b) Proposed Location of Equipment: DFS Fletcher building 200 East Gaines St.
Tallahassee, FL 32399
c) Equipment Vendor Name, Address: TBD
Equipment Vendor FEID No. TBD
d) Financing vendor name, address:
Name: TD Equipment Finance, Inc.
PO Box 71405
Address: Philadelphia, PA 19176-1405
Financing Vendor FEID No. 01-0381697

3. Attach written justification based on public purpose served by acquisition, need, size of purchase, and financial benefit to the State for deferred payment purchase. Attach documentation supporting recurring funds requirement in Sections 287.063(5) and 287.064 (11) (i.e. Budget Officer letter)

4. FLAIR Account from which payments will be made:
SPLIT BETWEEN THREE: 10-2-021002-43010300-00-105280-00 and 10-1-000122-43010500-00-105280-00 and 20-2-021201-43010500-00-105280-00 (CEFP funds)

5. Vendor Selection Method – State Term Contract # -
Other Selection Method
UNKOWN

** Attach bid tabulation sheet or other appropriate document.*

6. Were funds specifically appropriated to purchase or replace existing equipment with this equipment? No Yes
Appropriation line item number TBD

Appropriation amount for current FY N/A

7. If acquisition is for Information Technology Resources that have a purchase price more than threshold amount for Cat. THREE in §287.017, F.S., attach Chief Information Officer or Delegee Approval if required by your agency or university.

N/A – not currently purchasing, requesting use of existing recurring CEFP funds for this purpose.

8. Ensure that:
- a) An equipment schedule is prepared in detail.
 - b) The equipment meets the definition of commodity and ownership provisions of agreement will be satisfied.
 - c) Insurance selection on equipment has been made (check one of the following):
Self-insurance Commercial insurance policy

9. If purchasing a telephone system, attach Department of Management Services' approval.

10. a) Requested Financing term	<u>12</u>	Quarters
b) Equipment useful life	<u>24</u>	Quarters
c) Anticipated period the equipment will be used before major upgrade, modification or replacement	<u>24</u>	Quarters
Anticipated acceptance date	<u>10/1/2020</u>	

11. Equipment – Total Purchase Price	<u>\$721,917.66</u>
Less Discounts and Credits	<u>()</u>
Less Trade-in	<u>()</u>
Less Freight and Installation	<u>()</u>
Less Maintenance	<u>()</u>
Total Cash Sale Price – Amount to be capitalized	<u>721,917.66</u>
Less Down Payment (if any)	<u>()</u>
12. Amount to be financed:	<u>\$721,917.66</u>

First payment is due within ten (10) days of funding.
Subsequent payments are due quarterly thereafter.

Send to:
Department of Financial Services
Bureau of Financial Reporting, Finance Section
200 East Gaines Street, 414 Fletcher Building
Tallahassee, Florida 32399-0364
Phone: (850) 413-5511

E-mail Address: financing@myfloridacfo.com

APPROVED

DEPARTMENT OF FINANCIAL SERVICES
DIVISION OF ACCOUNTING AND AUDITING

BY: _____

DATE: _____

APPROVAL NO: _____

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 2019 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 2020-2021 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 2020-2021 Estimate/Request Amount	
			Long Range Financial Outlook	Legislative Budget Request
a	Florida Accounting Information Resource (FLAIR) Replacement	B	\$2.4M GR/ \$24.1M TF	\$27.0M GR/0 TF
b				
c				
d				
e				
f				

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

The long range financial outlook for the budget driver assumes the Insurance Regulatory Trust Fund (IRTF) will fund the \$20.4M portion of the \$26.4M contractual need for the FLAIR replacement (PALM). The IRTF cash balance has been on the decline for the last few years. The annual appropriation, from operating and non-operating budget, is approximately \$155M annually. Funding PALM from IRTF in FY 2020/21 will lower the ending cash balance to approximately \$83.3M. It has been determined, for the health of the trust fund, the department is requesting the entire PALM appropriation from General Revenue. The department also added an additional .6M in GR for staff that will assist with the implementation to PALM from FLAIR.

* 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 2020-21 Legislative Budget Request)

SCHEDULE IV-B FOR INFORMATION TECHNOLOGY CRM TO-BE PROJECT

For Fiscal Year 2020-21



[EFFECTIVE DATE]

DEPARTMENT OF FINANCIAL SERVICES

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I. Schedule IV-B Cover Sheet

Schedule IV-B Cover Sheet and Agency Project Approval	
Agency: Florida Department of Financial Services	Schedule IV-B Submission Date:
Project Name: CRM To-Be	Is this project included in the Agency's LRPP? <u>XXX</u> Yes ____ No
FY 2020-21 LBR Issue Code:	FY 2020-21 LBR Issue Title:
Agency Contact for Schedule IV-B (Name, Phone #, and E-mail address):	
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: _____	Date: _____
Printed Name:	
Agency Chief Information Officer (or equivalent): _____	Date: _____
Printed Name:	
Budget Officer: _____	Date: _____
Printed Name:	
Planning Officer: _____	Date: _____
Printed Name:	
Project Sponsor: _____	Date: _____
Printed Name:	
Schedule IV-B Preparers (Name, Phone #, and E-mail address):	
Business Need:	Dan Campbell 850-413-1518 dan.campbell@myfloridacfo.com
Cost Benefit Analysis:	Michael Kyvik 850-413-2274 michael.kyvik@myfloridacfo.com
Risk Analysis:	Sheetal Shidhaye 850-413-2250 Sheetal.shidhaye@myfloridacfo.com
Technology Planning:	Tabitha Hunter 850-413-4651 Tabitha.hunter@myfloridacfo.com
Project Planning:	Sheetal Shidhaye, 850-413-2250 Sheetal.shidhaye@myfloridacfo.com Doris Moss 850-413-2355 doris.moss@myfloridacfo.com

General Guidelines

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

Schedule IV-B is not required for requests to:

- Continue existing hardware and software maintenance agreements,
- Renew existing software licensing agreements that are similar to the service level agreements currently in use, or
- Replace desktop units ("refresh") with new technology that is similar to the technology currently in use.
- Contract only for the completion of a business case or feasibility study for the replacement or remediation of an existing IT system or the development of a new IT system.

Documentation Requirements

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

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

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

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

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

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

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

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

A. Background and Strategic Needs Assessment

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

1. Business Need

The Department of Financial Services' (DFS) Division of Consumer Services (DCS) answers citizen questions, accepts and resolves complaints, or makes referrals for deeper investigation about insurance and financial services for approximately 298,940 constituents annually. DCS also triages calls on behalf of the Division of Unclaimed Property. Each call is directed through an Interactive Voice Response system and electronically logged as a case in a Siebel case management system known as ServicePoint with data such as the name of the citizen, the relevant insurance company and type of request/complaint. ServicePoint is over 15 years old, has not been upgraded for over 10 years, no longer supported by Siebel and is based on antiquated methodologies that are inherently rigid and difficult to maintain.

The collective case management processes used by DCS consists of ServicePoint as well as 13 separate custom web applications many of which are slow to evolve, obsolete, difficult to maintain, troubleshoot, and are ultimately unsustainable.

DCS' 13 case management web applications are:

- Company Complaint Response System (CCRS)
- Company Data Update, Complaint Comparison
- Mediation Manager
- Civil Remedy
- eService Website
- eService Gatekeeper
- eStorm
- Get Lean
- ReportGen
- Disaster Report
- Sinkhole and Survey Creation

Case management systems from other divisions that ServicePoint integrates with include:

- Companies and Other Related Entities Navigator (COREN)
- Agent Licensing Information System (ALIS)
- Shared Data Warehouse (DWH)

Data from ServicePoint is manually entered into case management systems of other divisions including:

- R&L's OLCP,
- OIR's external case management system maintained by the NAIC (SBS)
- A&AS' Electronic Management of Investigative and Licensing Information (EMILI)
- OIT's Remedy Help Desk solution.

Data from ServicePoint is also used by other divisions including:

- The Division of Rehabilitation and Liquidation (R&L)
- The Office of Insurance Regulation (OIR)
- The Division of Insurance Agent and Agency Services (A&AS)
- The Office of Information Technology (OIT)
- The Division of Investigative and Forensic Services (DIFS),
- the Office of Insurance Consumer Advocate (ICA), and
- The Office of General Counsel (OGC) in the performance of their duties.

Clearly, the current Case Management System and future Customer Relationship are central components of many of the Department's business operations.

Many of these current systems that have proliferated over the last two decades are isolated fit-for-purpose applications, limited in scope and functionality using data from diverse and disjointed sources which is sometimes incomplete. DFS' OIT must manage and maintain many of these applications and the interfaces for each thus requiring a unique set of knowledge and skills.

They sometimes require additional "middle-ware" applications to interpret and reformat data, or worse, manual reformatting, which introduces human error. In either case, data errors are obscured.

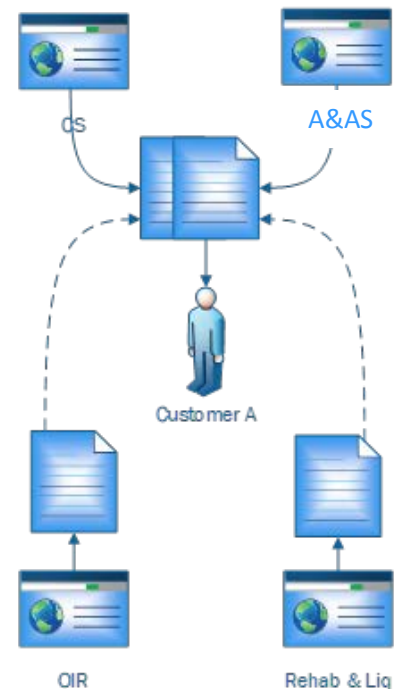
The current silos of data create redundant sources of information, thus choosing the appropriate source is difficult for data analysts. Redundant data also increases storage costs and can unknowingly leave data unmanaged and unprotected. Scattered data creates gaps in governance, greater security vulnerability and makes it difficult to aggregate and analyze agency-wide data and provide timely and accurate information about companies engaged in assorted activities governed by various divisions. This inhibits the agency's ability to investigate alleged violations of Florida's insurance laws, protect citizens' assets, and advocate for Florida consumers with insurance and financial matters.

For example, Customer A (in the figure below) may have more than one case in DCS, A&AS and R&L and these siloed cases will not share relevant each other thus rendering case workers and citizens unaware. Division directors also do not have complete picture of "an insurance company", or "a customer". A true CRM would be customer centric thus enable bringing the data together regardless of the purpose of its collection or who collected it.

Current Case Management Systems



Potential Customer Relationship Management (CRM) System



2. CRM Roadmap

The Department is following the road map as shown below. We completed the CRM As-Is step, which included a functional systems analysis, and the explore step, which included a business process analysis. We are ready to proceed to the Procurement step, followed by the actual build, which includes the Plan through Adopt steps.

CRM Roadmap

From Case Management to Customer Relationship Management



To move forward, the Department must replace core aging technical infrastructure with a mix of cloud services (like software as a service) and integration tools (as provided by a common Application Integration Platform: AIP) to sustain integration with legacy systems in the interim, and ensure ongoing seamless integration in the future regardless of how many systems there are or where they are located. The resulting complexity and additional costs required to accommodate layered functionality in the existing systems increases the risk of a system failure. Below are some of the challenges facing the program:

- The systems’ design makes updates and changes a lengthy and expensive process
- Increased risk of infrastructure failure due to the loss of compatibility with modern technology
- Reliance on multiple systems at various divisions creates additional workload for users, and delays the final resolution
- Limited self-service capability
- Unnecessary reliance on manual processing
- Difficulty in gathering and incorporating external electronic data into the resolution process
- Data is not easily shared with divisions, limiting the holistic treatment of customers

3. Business Objectives

OIT is taking an agency-wide view of the technical and business needs. Rather than using multiple isolated fit-for-purpose applications, we propose a CRM solution as a new business strategy. We plan to collaborate the efforts of multiple divisions and improve our constituent's experience, data, functionality, modernity, and metrics by placing our constituent and the companies we regulate at the center of the organization. This will be a multi-year phased proposal to achieve a conglomerated system that will enable us to communicate with our customers, gather information, and address their concerns. This is the first step to house all the case management systems in one platform.

In Phase I, this new system will fold the core Siebel application as well as the 13 custom applications into one solution. We will enable personalized and customized automatic responses to constituents. Further, we will be able to incorporate constituent needs into what we do as an agency.

In Phase II, we will fold in two additional systems that have similar case management functions; one for A&AS' EMILI and the other for DIFS' Fraud Plan Reporting & Employee Designation Database (FREDD).

We want to establish a one secure agency-wide data pool for the data we collect from our customers and the companies we regulate. We want to review the kinds of data we are currently collecting and determine how best to store it. A proposed solution to this will be to implement an application integration platform (AIP) to enable real time data and functionality exchange rather than forcing large scale data consolidation that is both risky and expensive. We can essentially have all the integrations with other division applications configured through AIP. More importantly, this information can be better used to analyze patterns and produce business intelligence (BI) that will revolutionize how we do business.

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

B. Baseline Analysis

Purpose: To establish a basis for understanding the business processes, stakeholder groups, and current technologies that will be affected by the project and the level of business transformation that will be required for the project to be successful.

1. Current Business Process(es)

See Attachment II.B.1 Current Business Process(es)

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

2. Assumptions and Constraints

Assumptions

1. The solution will consider cloud software-as-a-service (SaaS) as the first priority option for CRM.
2. The solution will be leveraged to its full capability.
3. The solution will accommodate real-time data and functional integration using DFS' Application Integration Platform (AIP)
4. Stakeholders understand the impact that the solution will have on the organization; meaning the CRM vision and strategy is clearly articulated.
5. This initiative is not primarily an IT project, rather it's an organizational approach that encompasses contributions from all DFS offices and divisions. A core organizational team will guide, monitor, evaluate, and adjust the implementation as it progresses.

6. This project is supported by senior executives, top-level management, OIT, DCS and A&AS as end users.
7. The core team will be educated on top CRM products, strategies, key implementation techniques, and overall quality to evaluate CRM systems.
8. This project will have a fully documented project plan that supports the technical and business aspects of the CRM implementation and is regularly reviewed by the project team and sponsors.
9. All CRM processes will be clearly defined, documented, communicated, benchmarked, and performance measured, including key processes such as management changes, evaluations, and security.
10. Risks and issues will be identified, analyzed, documented, monitored, acted on, evaluated, and communicated.
11. Customer relationship management is mission critical; therefore, the implementer will work closely with the organizational team to plan for needed and desired functionality in advance of the solution design and implementation.
12. The solution will be intuitive and easy to use. It will come with many features and functionalities out-of-the-box. However, it will require customizations and configurations to accomplish the organization's required tasks. Therefore, the organizational team will work closely with the implementer to provide policy and planning decisions. Users will be informed of the functionality available and guided through the proper use of the solution to maintain a database that can be used as a valuable data-mining tool.
13. The solution will serve the needs of various user groups; therefore, optimum user interfaces will be configured for each user to provide an intuitive and useful work environment for all users, even allowing individual interface customization for efficient decision-making.
14. Implementers will work with the organizational team to decide which feature set will provide the biggest gains for the organization with minimum cost investment, thereby streamlining the installation and configuration process.
15. A multi-phased implementation will allow both the organization and the implementer the opportunity to spread resources out over time. Additional benefits of the multi-phased implementation are:
 - a. Start with the end in mind
 - b. Concentrate on core issues first, paying close attention to expected outcomes
 - c. Differentiate secondary requirements in terms of time and money investment versus impact and begin with large impact low investment items.
 - d. Plan for and be open to change, as using the product may uncover design requirements that were not predictable beforehand
 - e. Prevent implementing systems that will be discarded later.
 - f. Maintain and reuse data efficiently.
16. The implementer and the organizational team will work closely to plan the project, define expected outcomes, and detail implementation steps.
17. Staff's work environment will be re-aligned to the CRM plan and mapped accordingly.

Constraints

1. Need for funding.
2. Need to maintain stakeholder engagement throughout the length of the project.
3. Need stakeholders to adopt and embrace the new product, including a business process change and culture shift.
4. Need to simplify a complicated deployment.
5. Need to maintain a clear scope as the project evolves.
6. Difficulty in migrating from legacy and third-party system.
7. Need to migrate and cleanse data.
8. Need to avoid post-release performance issues.
9. Need to ensure information security.

C. Proposed Business Process Requirements

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

1. Proposed Business Process Requirements

Business Requirement	Stakeholder Requirement
Continuing Care Retirement Community (CCRC) Mediation	Service Request for CCRC Mediation shall include all required fields
	ServicePoint shall track a Service Request through the Refund of Payment for CCRC Mediation Process
	ServicePoint shall track a Service Request through the Withdrawal or Settlement Prior to the Mediation Conference
	ServicePoint shall track a Service Request through the Withdrawal or Settlement Less than 3 Calendar Days Prior to the Mediation Conference process
	ServicePoint shall track a Service Request through the Submission of the Mediator Report process
	ServicePoint shall allow for the automation of Processes
	The Service Request shall be assigned to a Mediator
	Service Request shall require additional information
	Service Request shall be ruled Ineligible
	Service Request shall be ruled Ineligible prior to payment of CCRC Mediation fees
	The Complainant shall be allowed to provide additional information
	The system shall allow the generation of documents from template
	ServicePoint shall allow service requests to be re-opened
Residential Mediation	Service Request for Residential Mediation
	ServicePoint shall track a Service Request through the Withdrawal or Settlement prior to Mediator Assignment process
	ServicePoint shall track a Service Request through the Withdrawal or Settlement prior to Mediation Conference Scheduling process
	ServicePoint shall track a Service Request through the Withdrawal or Settlement after Mediation Conference Scheduling process

Business Requirement	Stakeholder Requirement
	ServicePoint shall track a Service Request through the Submission of the Mediator Report process
	ServicePoint shall allow for the automation of Processes
	The service request shall be assigned to a Mediator
	Mediation Request requires additional information
	Mediation Request is ruled Ineligible
	The Complainant shall be allowed to provide additional information
	The system shall allow the generation of documents from template
	ServicePoint shall allow service requests to be re-opened
Commercial Residential	Service Request for Commercial Residential Mediation
	ServicePoint shall track a Service Request through the Withdrawal or Settlement prior to Mediator Assignment process
	ServicePoint shall track a Service Request through the Withdrawal or Settlement prior to Mediation Conference Scheduling process
	ServicePoint shall track a Service Request through the Withdrawal or Settlement after Mediation Conference Scheduling process
	ServicePoint shall track a Service Request through the Submission of the Mediator Report process
	ServicePoint shall allow for the automation of Processes
	The service request shall be assigned to a Mediator
	Mediation Request requires additional information
	Mediation Request is ruled Ineligible
	The Complainant shall be allowed to provide additional information
	The system shall allow the generation of documents from template
	ServicePoint shall allow service requests to be re-opened
Auto Mediation	Service Request for Auto Mediation shall include all required fields
	ServicePoint shall track a Service Request through the Declination of Mediation Process

Business Requirement	Stakeholder Requirement
	ServicePoint shall track a Service Request through the Refund of Payment for Automobile Mediation Process
	ServicePoint shall track a Service Request through the Withdrawal or Settlement prior to Automobile Mediator Assignment process
	ServicePoint shall track a Service Request through the Withdrawal or Settlement prior to Automobile Mediation Conference Scheduling process
	ServicePoint shall track a Service Request through the Withdrawal or Settlement after Automobile Mediation Conference Scheduling process
	ServicePoint shall track a Service Request through the Submission of the Mediator Report process
	ServicePoint shall allow for the automation of Processes
	The Service Request shall be assigned to a Mediator
	Service Request shall require additional information
	Service Request shall be ruled Ineligible
	Service Request shall be ruled Ineligible after payment of Automobile Mediation fees
	Service Request shall be ruled Ineligible prior to payment of Automobile Mediation fees
	The Complainant shall be allowed to provide additional information
	The system shall allow the generation of documents from template
	ServicePoint shall allow service requests to be re-opened
Neutral Evaluation	Neutral Evaluation Service Request Shall include all Required Fields
	Neutral Evaluation Mutual Agreement Process
	Neutral Evaluation Random Assignment Process
	Neutral Evaluation Strike Conditions
	Neutral Evaluator shall accept the assignment
	Neutral Evaluation Conference shall be held
	Neutral Evaluator shall submit a disposition

Business Requirement	Stakeholder Requirement
	ServicePoint shall allow for the automation of Processes
	ServicePoint shall track a Service Request through the Withdrawal or Settlement prior to Neutral Evaluator Assignment process
	ServicePoint shall track a Service Request through the Submission of the Neutral Evaluator Report process
	The Complainant shall be allowed to provide additional information
	The system shall allow the generation of documents from template
	ServicePoint shall allow service requests to be re-opened
	Neutral Evaluation Request is ruled Ineligible
Service Request (SR) Creation & Assignment	ServicePoint assigns service requests
	ServicePoint shall generate service requests from correspondence sources
	ServicePoint shall generate service requests from a phone source
	Service Requests shall contain all required fields
Helpline	The CS Helpline shall be able to receive a phone call from the consumer
	The ServicePoint shall have fields for the service request data
	The Consumer Services Helpline shall deal with call only service requests
	The Consumer Services Helpline shall deal with Correspondence only service requests
	The Consumer Services Helpline shall resolve all assigned service requests
	All Notices of Issue shall be assigned to the Bureau of Education, Advocacy, and Research
	The Helpline Specialist shall issue Notifications to the Company through the ServicePoint system
Company Complaint Response System (CCRS)	Companies shall conduct Service Request response through the Company Complaint Response System Portal
	The Service Request List page within the Company Complaint Response system shall allow the exportation of data

Business Requirement	Stakeholder Requirement
	The Service Request List Page within the Company Complaint Response System shall provide a navigation menu
	The Company Complaint Response System shall provide a Service Request Detail page for each assigned service request
	The Service Request Detail page shall provide the ability for the company to submit a response to the service request
	The Company Complaint Response System shall provide a Company Data Verification page
	The Company Data Update Portal shall allow the company to update their contact information
	The eStorm Portal shall be activated at direction of the Division Director
	The eStorm Disaster Request List shall display all Disaster issues assigned to the Company
	The eStorm Portal shall have a Navigation Menu
	The Disaster Service Request Details page shall provide information on each Service Request Issue assigned to the Company
	The Disaster Service Request Details page shall provide the Issue Details
	The Disaster Service Request Details page shall provide the Insurance Company Response fields
	The company shall be allowed to attach documents to the issue
A&AS	ServicePoint assigns service requests
	ServicePoint generates service requests from correspondence sources
	Service Requests contains all required fields
	Service Requests shall have subareas that SR can be sorted into
	Service Requests shall need to be able to be prioritized
	ServicePoint shall need to store the information from the primary contacts
	ServicePoint shall allow service requests to be re-opened
	ServicePoint shall record timeliness per SR that can be exported and analyzed

Business Requirement	Stakeholder Requirement
R&L	The General Services section shall be allowed to create Service Tickets
	Each section shall have a Microsoft Exchange group
	Members of each Rehabilitation and Liquidation section shall not have individual system accounts
	The system shall allow the users to make updates to a service request
Technical Requirement	The vendor shall provide training for the defined roles within the system
	The system shall support the development of Reporting
	The system shall provide for the integration of Email
	The system shall allow the Uploading of Document
	The system shall support Consumer Assistance / Interactions
	The system shall support the Scanning and Indexing of hardcopy documents
	The system shall provide for System Administration
	The system shall allow the use of Electronic Communication
	The system shall support the creation of Workflow Processes
	The system shall support the DFS Cyber-Security posture
	The system shall provide Storage for DFS data
	The system shall support Performance Monitoring features
	The system shall enforce all State Regulations/Guidelines
	The system shall be compatible with the DFS Coding practices
	The system Database shall be able to support the needs of DFS
	The system shall support the creation of a User Interface

2. Business Solution Alternatives

There are at a minimum, two options for replacing ServicePoint and the related 13 custom web applications in Phase I and EMILI and FREDD in Phase II.

- On-Premise/Cloud Hybrid
- Cloud

Within these broad categories are a multitude of options and there is clearly some overlap between them. So the explanations here will include some generalities. There are pros and cons with all options, but each must also be evaluated against the OIT governance criteria in determining the best fit for the application owners and the Department's ability to provide long term support of the applications.

3. Rationale for Selection

Regardless of the option chosen, it must meet the following criteria:

- Ability to integrate with AIP
- Be procured and implemented within the given timeframe and with the appropriated funding
- Leverage and integrate with currently supported web applications and enterprise tools
- Provide a technology platform that is both supported and flexible
- Create operational efficiency
- Increase process automation
- Promote master data management and de-duplication of data
- Streamline processes for future analysis and strategy
- Provide a one-stop shop for conducting business for DCS
- Facilitate data sharing and tracking for all other such as A&AS, R&L, OIR, and many more divisions that access and use parts of the current application.

On-Premise

The traditional approach for implementing IT solutions such as a CRM is to either develop software from scratch to meet business requirements or buy software that mostly satisfies those requirements then configure or modify it. Both are run and maintained on site (premise).

The On-Premise approach requires the infrastructure of a data center, computing power and data storage. When custom software is created, experts in software development are also required. But while OIT has all of these resources, custom software provides the widest latitude in design and greater proprietary independence, there are a number of disadvantages that lead the Department to the cloud alternative.

Developing on-premise custom software requires a substantial time to design and write the application. Securing the prerequisite staff skills is also a considerable challenge, a challenge that increases over time as staff who understand the intricacies of the custom software must be retained. Few institutions can do this well thus leaving the software stagnant, i.e. unable to adapt to changing business needs and technological opportunities.

On-Premise infrastructure does not enjoy the same economies-of-scale the private Cloud achieves. This is particularly apparent with back-up and recovery which is often simply a feature of cloud services rather than a substantial additional investment. Cloud providers also offer flexible scalability (i.e. selling just in time resources in small increments rather than large infrastructure investments). When all these savings are reflected in cloud pricing, infrastructure costs over the long term can be cheaper.

But there are several traditional benefits of On-Premise computing that must be considered when using the

Cloud alternative:

- Recurring license payments
- Proprietary capture
- Flexibility
- Vendor solvency
- Data communications bandwidth and latency
- Compromised confidence in data security and availability
- Increased complexity integrating data in the cloud with systems that remain on-premise.
- Concerns about the volume of data stored and retrieval of data upon exiting the vendor relationship.
- Concerns about vendor compliance with service level agreements.

All of these considerations can be overcome with the right design and contract terms.

Cloud

There are flavors of Cloud offerings like: 1) Software as a Service (SaaS) whereby vendors provide fully developed software that automates standard business processes (like CRM) and 2) Platform as a Service (PaaS) which includes an Intermediate-layer of software libraries, languages, frameworks, tools for building applications. Excluded from OIT's CRM consideration is 3) Infrastructure as a Service (IaaS) which merely provides computing power and data storage but would require OIT to develop custom software or configure software from a third party to run in the Cloud.

All Cloud services include physical infrastructure, i.e. data centers, servers, storage, network equipment (in fact, these are the components of IaaS) and metered chargeback, i.e. using whatever units of chargeback a given application uses (which is often precise), Cloud providers deliver detailed invoices depicting those units.

Given the centrality of a CRM to many of the Department's business operations (see Business Need on page 6), the solution must be flexible to support integration, extensible to variants in business processes and scalable. This means it should be a comprehensive cloud-based runtime environment with resources that allow customers to establish both simple and advanced custom applications in established languages and frameworks. PaaS is best suited to meet all these requirements.

PaaS providers deliver pay-as-you-go resources or subscription models. The PaaS model also enables unlimited external user base for no extra cost. PaaS supports secure network connections, while clients manage programs and services they create on the platform.

PaaS resources can provide additional services such as database management systems, business analytics and planning and customer interfaces to manage the environment.

PaaS is a proven model for running applications with flexibility to run applications as it on-premises but in the cloud. PaaS solutions provide simplicity, scalability, and reliability and promote efficiency, increased speed of service, and data availability. PaaS offers increased availability and resiliency, improved agility and responsiveness, and simplified management. PaaS also enables a mobile workforce, improves alignment with customers, and attracts talent.

Features of PaaS include:

- The PaaS environment will have the latest features with relatively easy upgrades and continuous and automatic updates and security patches. This ensures that the application is running on the latest technology stack, saving time and resources. Moreover, professional automatic updating minimizes risks of incompatibility and security gaps.
- Allows the organization to accelerate the creation of new services for customers, and provides increased

- capability of internal staff, and accelerates innovation.
- Built-in features and functionality that handle back-end concerns such as security, infrastructure, and data integration.
- Provides the infrastructure needed to develop and run applications over the Internet. Users can access custom apps built in the cloud.
- Extends the application by leveraging its data, delivery model, user identity and access management, and familiarity of user interface to fulfill the needs for custom functionality. It can replace a variety of alternative platforms previously used to build custom applications using configuration and customization.
- Leverage the power of an AIP to seamlessly integrate with existing enterprise solutions

PaaS (as opposed to SaaS) is well suited for the following:

- When highly configured and customized applications are needed
- Where internal resources consist of developers capable of creating, testing, and deploying applications

PaaS can drive cost efficiencies by:

- eliminating the need to:
 - Purchase hardware and independent tools,
 - Spend working hours on setting up the core stack
 - Spend working hours on maintaining the stack
 - Pay unforeseen expenses in case of downtime
- avoiding a range of direct, indirect and hidden costs associated with building and managing its own platform
- adhering to a pay-as-you-use payment approach, or subscription based which brings considerable savings as well.
- beginning the process of paying down technical debt and migrating or modernizing legacy IT

Things to be considered when using PaaS are:

- Dependency on vendor - governed by the provider's functional capabilities, speed and reliability. To be prepared for unforeseen circumstances, organization will perform own data backup.
- May encounter difficulties with compatibility with existing infrastructure; therefore, must understand and prepare for possible compatibility issues.
- Vendor solvency
- Market consolidation
- Data communications bandwidth and latency
- Lower confidence in data security and availability if located in the cloud.

4. Recommended Business Solution

The solution the Department of Financial Services recommends implementing for this specific project is **Platform as a Service** that will include code in established languages and frameworks. The recommendation is based on the following factors.

- Cloud Strategy – Legislature has expressed a desire for a cloud first strategy; therefore, we intend to use a PaaS that is cloud hosted. This will provide the application with instant availability, scalability, portability, and usability
- Automated provisioning and builds
- Reduction of operating expense – a shift to open source, operational efficiencies, platform consolidation
- Availability of application services marketplace – database, caching, security, logging, API management, etc.
- Provision of a consistency of architecture

- Improved security and compliance gained by automation, scans, rapid patches, stable-documented environment
- Simplification and centralization of administration using containers and container orchestration, enabling retirement of server farms, software licenses and the costs associated with them.
- Improved operational services – security, logging, dynamic routing, load balancing, etc.
- Improved application monitoring and availability management
- Return On Investment –
 - Streamline processes and infrastructure will save the department considerable amount of time and effort
 - Consolidated consumer portal will make information more readily available to consumers and reduce the numbers of calls to DCS for general information, allowing more time for staff to spend on handling cases
 - Making insurance industry information more readily available to staff will reduce calls to subject matter experts and reduce response time to consumers and in handling cases.
 - Having data consolidated in one place will reduce time to collate data to produce reports, reducing time spent on audit preparation, responses for public records requests, and data gathering for investigating cases, by as much as 80%.
 - Provide better visibility to executive management about request processing across divisions
 - Provide business intelligence and improved dashboards
 - Consolidation of multiple systems into one will reduce the associated licensing costs and maintenance costs. Continued future consolidation is expected to reduce licensing costs by 50%.
 - Reduce losses associated with reductions in outages
 - Improvements in business processing will gain performance improvements and better service to consumers
 - Use of automated intelligence (AI) agents will reduce the amount of time call- handling staff spends on the phone – we will likely need less people to operate – as the system “learns” as it is used to provide ever increasing customer service
- Robust development platform that supports current OIT initiatives and the enterprise’s architecture standards.
- Five Year Cost - The five-year cost analysis predicts that augmenting the current applications is the most cost-effective solution. Solution is estimated to cost \$2.6M over five years compared to a range of \$2.7 to \$5.0M needed for a SaaS solution.

D. Functional and Technical Requirements

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

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

See Attachment II.D Proposed Business Process Requirements

III. Success Criteria

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

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

SUCCESS CRITERIA TABLE				
		measured/assessed ?		
1	Conversion of the 13 integrated .NET applications to a reliable solution which will include online application(s) and be fully sustainable and maintainable by resources within and/or available to OIT	User testing and acceptance	Constituents of the State of Florida and divisions and offices with oversight of the insurance industry in the State of Florida.	12/22
2	Conversion of all the existing data and cases	User testing and acceptance	Constituents of the State of Florida and divisions and offices with oversight of the insurance industry in the State of Florida.	12/22
3	The solution functions in a modern web framework	User testing and acceptance	Constituents of the State of Florida and divisions and offices with oversight of the insurance industry in the State of Florida.	12/22
4	Elimination of manual processes related to ServicePoint, EMILI and FREDD	Compare the current case management systems manual processes to the future solution	Increase speed of information transference	12/22

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

A. Benefits Realization Table

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

For each tangible benefit, identify the recipient of the benefit, how and when it is realized, how the realization will

be measured, and how the benefit will be measured to include estimates of tangible benefit amounts.

BENEFITS REALIZATION TABLE					
#	Description of Benefit	Who receives the benefit?	How is benefit realized?	How is the realization of the benefit measured?	Realization Date (MM/YY)
1	Empowering Front Line Staff	Divisions with oversight of the insurance industry in the State of Florida	<ul style="list-style-type: none"> Provision of state-of-the art tools, which speeds decision making, minimizes staff activity and maximizes automation such as providing interfaces with divisions to obtain data needed to make accurate resolutions and investigation. 	Increase call intake Reduce call drop Increase case load Increase refunds to public	12/22
2	Process Improvements	Divisions with oversight of the insurance industry in the State of Florida	<ul style="list-style-type: none"> Providing customers with more options for self-service will reduce the staff resources required to assist them with routine case management activities Cost savings due to improved accuracy Increased scalability with a new modernized system Reduced administrative costs per client Reduced reliance on manual processes and associated errors Reduced total case management and case investigation processing time Reduce transaction process speed Reduced average time to resolve cases and conclude investigations Improved ease and reduced cost of system maintenance 	Up to 75 percent of a projected ROI. Depends on employees using the implemented system as intended. Calculate time saved resolving per case	12/22
3	Bridge division silos	Divisions with oversight of the insurance industry in the State of Florida	<ul style="list-style-type: none"> Reorganizing applications to reduce the silos ensuring we have good business reasons to retain any siloed application. Initially, folding in two systems that have similar case management functions one for (EMILI) and (FREDD) 	Calculate number of applications eliminated, elimination of application maintenance, and associated license, code, storage, and management saved per application	12/22

BENEFITS REALIZATION TABLE					
				Moving forward, applications and platforms will continue consolidation	
4	Develop governance and consistency of data across applications	Divisions with oversight of the insurance industry in the State of Florida	<ul style="list-style-type: none"> This will involve discovering data relationships, data flows, sensitive data and redundant data; creating data catalogs and common standards 	The current process transfers data overnight, the new process will be real time	12/22
5	Improve data accuracy, availability and accessibility	Divisions with oversight of the insurance industry in the State of Florida	<ul style="list-style-type: none"> Customer data can be centrally managed and provided in real time or near real time between divisions Reduce time spent on resolving data inaccuracies Common data source will allow us to enter data once and use it in different ways Integrate all interactions, thereby eliminating secondary data sources, such as emails, faxes, phone calls, and scribbles on sheets of paper Reduce time spent by up to 80% for data gathering for public record request, audit preparation, and investigative case management Enable multiple division collaboration on case management and investigation Improve the ability to perform data analytics and shorten the time to perform all analytics Gather instant customer feedback – an important part of policy-making process Access to application and data will be available via any mobile device 	The current process transfers data overnight, the new process will be real time	12/22
6	Common security platform	OIT	<ul style="list-style-type: none"> Enable easy data privacy and transaction security Large data storage in cloud 	30% reduction on security support	12/22

BENEFITS REALIZATION TABLE					
			<ul style="list-style-type: none"> The platform vendor manages all patches and updates for the hardware and software and provides physical and software security for the automation of day-to-day tasks. 		
7	Agency-wide data analytics	DFS	<ul style="list-style-type: none"> Improve our ability to investigate and regulate Improve our ability to analyze trends to respond proactively Improve our ability to understand coalitions of support around issues Improve our ability to pinpoint most active customers/companies and most reported issues 	The current process requires analysts to access different applications and widely research cases. The new CRM solution can potentially house most case management systems maintained by DFS	12/22
8	Faster release cycles	OIT	<ul style="list-style-type: none"> Increased developer productivity Attract talent Reduced turnover Reduced need for system administrators dedicated to apps 	Development of new application or IT service should require 50% less time.	12/22
9	Better software quality	OIT	<ul style="list-style-type: none"> Software will require fewer patches and less downtime by enforcing structured processes and code reuse Easier module integration Improved testing and revision management Begin incremental IT modernization Resources released to focus on resolving future problems 	Because of convergence of many systems into one, we expect at least 25% less demand for adequate support on the application. We currently do not have adequate support for these applications.	12/22
10	Improved service	DFS	<ul style="list-style-type: none"> Consistency across applications and infrastructure implementations Fewer bugs and faster problem resolution Fewer request for support, quicker resolution of support requests 	Reduce help desk incident rate by 20%	12/22

BENEFITS REALIZATION TABLE					
			<ul style="list-style-type: none"> End-user training incorporates a variety of methods including instructor-led super user training; customized, multilingual end-user eLearning modules; and quick reference guides. 		
11	Server and storage overhead	OIT	<ul style="list-style-type: none"> The development tools are provided by the PaaS, and not all code iterations need to be stored in the data center. 	Realize savings on server and storage overhead	12/22
12	Network bandwidth	OIT	<ul style="list-style-type: none"> Workload testing requires allocation of network bandwidth which can slow down operation of other applications or require additional bandwidth capacity. PaaS enables testing in the cloud 	Decrease need for network bandwidth	12/22
13	Refocus Support Personnel	OIT	<ul style="list-style-type: none"> By adopting a standardized platform across an organization, hardware and software conflicts are greatly reduced, resulting in simplified service and support. This level of standardization and automation allows OIT support personnel to refocus away from routine tasks. 	Support personnel reassigned to other tasks	12/22
14	Reduce errors in application development and deployment	OIT	<ul style="list-style-type: none"> With PaaS, such errors are reduced or eliminate because the platform has been fully tested and is known to work. 	Reduction of middleware and tedious development tasks	12/22
15	Reduce talent acquisition costs, due to lower skill requirement	OIT	<ul style="list-style-type: none"> Development tools and middleware are complex and aren't standardized. Successfully deploying an application takes a high degree of skill and experience. The learning curve on these skills is steep, and there's also an ongoing need to manage these components. By providing the 	<p>Lower cost for talent acquisition</p> <p>Reduce speed of application development</p> <p>Reduce large up-front costs associated with typical application development and</p>	12/22

BENEFITS REALIZATION TABLE					
			development tools and middleware, a PaaS lowers the skill level required to deploy applications and removes the bottleneck that can form while waiting an expert's assistance.	deployment Improved ability to react to changes and opportunities	

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.

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

Form
CBA Form 1 - Net Tangible Benefits
CBA Form 2 - Project Cost Analysis
CBA Form 3 - Project Investment Summary
Cost of Avoidance

V. Schedule IV-B Major Project Risk Assessment

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

project's alignment with business objectives.

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

The Risk Assessment Tool and Risk Assessment Summary are included in Appendix B on the Florida Fiscal Portal and must be completed and submitted with the agency's Schedule IV-B. After answering the questions on the Risk Assessment Tool, the Risk Assessment Summary is automatically populated.

Although the benefits derived from a CRM system provide sound justification on their own for replacing the ServicePoint system, consideration must also be given to the risk of the current system failing. ServicePoint is the sole mechanism for two key divisions DCS and A&AS to receive complaints, process complaints, and to streamline the insurance companies especially during catastrophes.

The failure of ServicePoint would also have a detrimental effect on our citizens and those in the insurance industry who rely on DCS to assist insurance consumers with insurance questions and inquiries or to file a complaint and to advocate on their behalf and assist them with resolving their insurance concerns.

While predicting exactly when the system will fail is not possible, the system is 13 years old and is showing significant signs of stress, the ever-increasing caseloads will increase the likelihood of systematic failure. The Oracle database can no longer be updated and is quarantined to reduce exposure to security threats.

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

The current case management system used by DCS consists of ServicePoint as well as 13 separate custom web applications that are slow to evolve at the pace of needed business change. They are obsolete, difficult to maintain, troubleshoot, and are ultimately unsustainable. The 13 web applications are: Company Complaint Response System (CCRS), Company Data Update, Complaint Comparison, Mediation Manager, Civil Remedy, eService Website, eService Gatekeeper, eStorm, Get Lean, ReportGen, Disaster Report, Sinkhole and Survey Creation.

ServicePoint is also integrated with case management applications from other divisions, such as Companies and Other Related Entities Navigator (COREN), the Agent Licensing Information System (ALIS), and the Data Warehouse (DWH). We currently have similar case management functions: one for A&AS EMILI and DFIS FREDD.

a. Description of Current System –

Please see Attachment VI.A.1.1 – Siebel Application Profile

Please see Attachment VI.A.1.1a – EMILI and FREDD Profile

b. Current System Resource Requirements

- Cost/availability of maintenance for existing system hardware for ServicePoint: \$35,000
- Cost/availability of maintenance for existing system hardware for EMILI and FREDD: \$12,000
- Business system resources for ServicePoint – \$233,500
- Business system resources for EMILI and FREDD - \$52,537
- OIT support staff for ServicePoint - \$558,770
- OIT support staff for EMILI and FREDD - \$128,425
- Current internal licensed users of the ServicePoint system = 153 for a total of \$154,484 in licenses
- Current maintenance cost for EMILI and FREDD for OnBase are = \$54,037 with 52 Named users

c. Current System Performance

There are problems with the current system performance. Users are getting frequent runtime errors, all data doesn't get imported into the database, and there is duplicate data.

2. Information Technology Standards

The current applications do not follow OIT's standards of eliminating duplication and modernizing business applications in an integrated environment.

B. Current Hardware and/or Software Inventory

See Section VI.A.1.a. above

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

C. Proposed Technical Solution

1. Technical Solution Alternatives

Implementing the proposed solution results in few technical alternatives. Strategies that were evaluated include:

- Functionality created in existing online application supported technology and hosted in the DFS datacenter
- Functionality created in a PaaS technology and hosted in a DFS private cloud.

2. Rationale for Selection

The criteria for evaluating technical solutions include a focus on the solutions ability to:

- Network and bandwidth capacity
- Overall cost to host and support
- Current application integration
- Alignment with strategic planning to upgrade entire cross-divisional platform
- Alignment with future business needs
- Ability to leverage enterprise tools

3. Recommended Technical Solution

The alternative analysis performed resulted in a recommendation to replace the existing ServicePoint system. The near-term recommendation is to conduct Procurement, Plan Implementation, and Implement beginning in FY 2020-2021. DFS recommends that this project be approved and sufficient funds be appropriated to begin implementation.

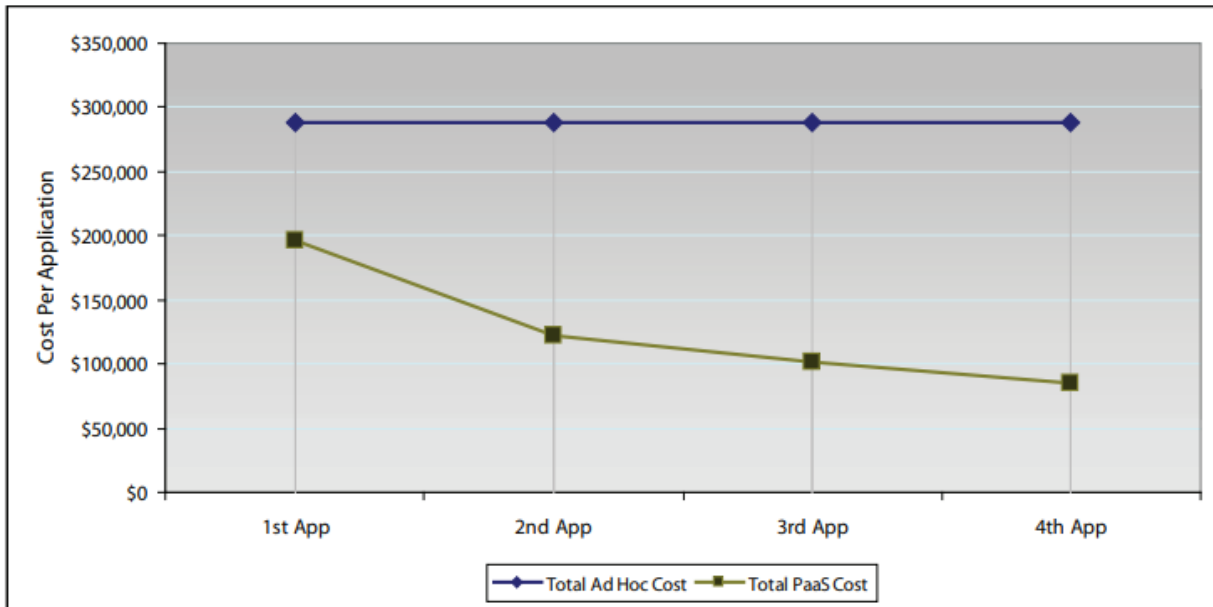
The recommended approach for replacement of ServicePoint is a PaaS, which provides the following technological gains:

- With PaaS, software can be deployed rapidly. With a few clicks of a mouse on a PaaS interface, new instances can be deployed in a matter of seconds.
- PaaS operating service/middleware is automated and controlled by a service provider, which increases the uniformity and predictability of the environment.
- Many PaaS providers cater their services to niche markets and provide plenty of options and developer tools, including interchangeable tools with each instance, making it easier to find specific tools that meet the organization's needs.
- PaaS in the cloud eliminates the need for underlying infrastructure for the hosted platform, while the organization maintains application control
- PaaS solutions that run production applications offer service level agreements (SLAs) to guarantee uptime, providing optimal 24/7 performance.

D. Proposed Solution Description

1. Summary Description of Proposed System

Please see description listed in Section II C. With PaaS the development staff will be trained to maintain the new solution. These skills can be leveraged to build additional applications to either replace outdated solutions or add automation to the Agency's business processes. The cost of ownership decreases because the PaaS increases the efficiency of the development team and reduces maintenance of ad-hoc custom applications. See figure below:



2. Resource and Summary Level Funding Requirements for Proposed Solution (if known)

The proposed solution, with implementation services, will cost approximately \$5 Million dollars and require six contractors for the term of the project as well as two contractors for on-going operations and maintenance. This includes support of the existing functionality as well as dedicated staff currently permanently assigned to the case management system.

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

The current Siebel application has been out of support with ServicePoint and Oracle DB. We provide manual processes and duplication of data to service 13 other applications. Even though the current ServicePoint applications and Oracle database is imperative to the business area, there is no sufficient disaster recovery plan.

Capacity planning will be done based on current support for and use of OIT applications and industry standards received through educational demos.

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 see Attachment VII Project Management Planning

VIII. Appendices

Number and include all required spreadsheets along with any other tools, diagrams, charts, etc. chosen to accompany and support the narrative data provided by the agency within the Schedule IV-B.

Name	Attachment
Current Business Process	Attachment II.B.1 - Current Business Process(es)
Proposed Business Process	Attachment II.C.1. Proposed Business Process Requirements
Project Risk Assessment	Attachment Schedule IV-B - Section 5 - Project Risk Assessment - CRM
Application Profile	Attachment VI A 1.1- Siebel Application Profile Attachment VI A 1.1a. EMILI and FREDD Application Profile
Project Management Plan	Attachment VI CRM Project Management Plan
Cost Benefit Analysis	Schedule IV-B Cost Benefit Analysis_CRM

Glossary

DCS	Division of Consumer Services
OIT	Office of Information Technology
SOC	Company Service Office Contact
NAIC	National Association of Insurance Commissioners
BEAR	Bureau of Education, Advocacy, and Research
DFS	Department of Financial Services
CS	Consumer Services Division
SR	Service Request
LOB	Line of Business
NOI	Notice of Issue
FTR	Failure to Respond
RCN	Receivership Claim Number
PRC	Public Records Coordinator
ADR	Alternative Dispute Resolution
BU	Business Unit
CODA	DFS OIT’s Cashiers Office Deposit Automation application
NE	Neutral Evaluator
CRM	Consumer Relationship Management
CCRC	Continuing Care Retirement Community
CCRS	Company Complaint Response System

CAU	Critical Analysis Unit
A&AS	Agent and Agency Services
ALIS	Automated Licensing Information System
DICE	Department of Insurance Continuing Education
ACD	Automatic Call Distributor
OIR	Office of Insurance Regulation
ATO	Aderant Total Office
HR	Human Resources
R&L	Division of Rehabilitation and Liquidation
OIR	Office of Insurance Regulation
OLCP	Online Claims Processing System
Stack	Stack is a data structure used to store a collection of objects

CBAForm 1 - Net Tangible Benefits

Agency <u>Department of Financial Service</u>	Project <u>CRM To-Be</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>(Recurring Costs Only -- No Project Costs)</i>	FY 2020-21			FY 2021-22			FY 2022-23			FY 2023-24			FY 2024-25		
	(a) Existing Program Costs	(b) Operational Cost Change	(c) = (a)+(b) New Program Costs resulting from Proposed Project	(a) Existing Program Costs	(b) Operational Cost Change	(c) = (a) + (b) New Program Costs resulting from Proposed Project	(a) Existing Program Costs	(b) Operational Cost Change	(c) = (a) + (b) New Program Costs resulting from Proposed Project	(a) Existing Program Costs	(b) Cost Change Operational Cost Change	(c) = (a) + (b) New Program Costs resulting from Proposed Project	(a) Existing Program Costs	(b) Operational Cost Change	(c) = (a) + (b) New Program Costs resulting from Proposed Project
A. Personnel Costs -- Agency-Managed Staff	\$172,525	\$0	\$172,525	\$172,525	\$0	\$172,525	\$0	\$250,000	\$250,000	\$0	\$250,000	\$250,000	\$0	\$250,000	\$250,000
A.b Total Staff		0.00	13.00	13.00	0.00	13.00	0.00	1.00	1.00	0.00	1.00	1.00	0.00	0.00	0.00
A-1.a. State FTEs (Salaries & Benefits)	\$172,525	\$0	\$172,525	\$172,525	\$0	\$172,525	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
A-1.b. State FTEs (#)	12.00	0.00	12.00	12.00	0.00	12.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
A-2.a. OPS Staff (Salaries)	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
A-2.b. OPS (#)	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	\$250,000	250000.00	\$0	\$250,000	250000.00	\$0	\$250,000	\$250,000
A-3.b. Staff Augmentation (# of Contractors)	1.00	0.00	1.00	1.00	0.00	1.00	0.00	1.00	1.00	0.00	1.00	1.00	0.00	0.00	0.00
B. Application Maintenance Costs	\$207,307	\$0	\$207,307	\$207,307	\$0	\$207,307	\$0	\$275,000	\$275,000	\$0	\$275,000	\$275,000	\$0	\$275,000	\$275,000
B-1. Managed Services (Staffing)	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
B-2. Hardware	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
B-3. Software	\$207,307	\$0	\$207,307	\$207,307	\$0	\$207,307	\$0	\$275,000	\$275,000	\$0	\$275,000	\$275,000	\$0	\$275,000	\$275,000
B-4. Other <i>Specify</i>	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
C. Data Center Provider Costs	\$47,000	\$0	\$47,000	\$0	\$0	\$0	\$0	\$143,000	\$143,000	\$0	\$143,000	\$143,000	\$0	\$143,000	\$143,000
C-1. Managed Services (Staffing)	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
C-2. Infrastructure	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$143,000	\$143,000	\$0	\$143,000	\$143,000	\$0	\$143,000	\$143,000
C-3. Network / Hosting Services	\$40,000	\$0	\$40,000	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
C-4. Disaster Recovery	\$7,000	\$0	\$7,000	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
C-5. Other <i>Specify</i>	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
D. Plant & Facility Costs	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
E. Other Costs	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
E-1. Training	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
E-2. Travel	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
E-3. Other <i>Specify</i>	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Total of Recurring Operational Costs	\$426,832	\$0	\$426,832	\$379,832	\$0	\$379,832	\$0	\$668,000	\$668,000	\$0	\$668,000	\$668,000	\$0	\$668,000	\$668,000
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:		\$0			\$0			(\$668,000)			(\$668,000)			(\$668,000)	

CHARACTERIZATION OF PROJECT BENEFIT ESTIMATE -- CBAForm 1B		
Choose Type	Estimate Confidence	Enter % (+/-)
Detailed/Rigorous	<input type="checkbox"/>	Confidence Level
Order of Magnitude	<input type="checkbox"/>	Confidence Level
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	Department of Financial Services	CRM To-Be			CBA Form 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.				FY2020-21			FY2021-22			FY2022-23			FY2023-24			FY2024-25			TOTAL	
3	Include only one-time project costs in this table. Include any recurring costs in CBA Form 1A.				\$ -	\$ 2,025,400	\$ 2,593,513	\$ 488,709	\$ -	\$ -	\$ 5,107,622										
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	\$ 300,000	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	\$ -	\$ 300,000
6	Costs for all OPS employees working on the project.	OPS - Desktop configurations	OPS	\$ -	0.00	\$ -	\$ -	0.00	\$ 50,000	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	\$ -	\$ 50,000
7	Staffing costs for personnel using Time & Expense.	Staff Augmentation	Contracted Services	\$ -	0.00	\$ 350,000	\$ -	0.00	\$ 350,000	\$ -	0.00	\$ 50,000	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	\$ -	\$ 750,000
8	Project management personnel and related deliverables.	Project Management	Contracted Services	\$ -	0.00	\$ 310,400	\$ -	0.00	\$ 155,220	\$ -	0.00	\$ 51,740	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	\$ -	\$ 517,360
9	Project oversight to include Independent Verification & Validation (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	\$ 100,000	\$ -	0.00	\$ 250,000	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	\$ -	\$ 350,000
11	Separate requirements analysis and feasibility study procurements.	Project Planning/Analysis	Contracted Services	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -
12	Hardware purchases not included in data center services.	Hardware	OCO	\$ -		\$ 125,000	\$ -		\$ 75,000	\$ -		\$ 75,000	\$ -		\$ -	\$ -		\$ -	\$ -		\$ 275,000
13	Commercial software purchases and licensing costs.	Commercial Software	Contracted Services	\$ -		\$ 50,000	\$ -		\$ 300,000	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ 350,000
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	\$ -		\$ -	\$ -		\$ 122,000	\$ -		\$ 20,000	\$ -		\$ -	\$ -		\$ -	\$ -		\$ 142,000
16		Developer Training				\$ 40,000			\$ 40,000												\$ 80,000
17	Include the quote received from the data center provider 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	\$ -		\$ 150,000	\$ -		\$ 280,000	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ 430,000
18	Other contracted services not included in other categories.	Other Services - Security	Contracted Services	\$ -		\$ 150,000	\$ -		\$ 150,000	\$ -		\$ 100,000	\$ -		\$ -	\$ -		\$ -	\$ -		\$ 400,000
19		Data Broker	Contracted Services			\$ 150,000			\$ 150,000			\$ 75,000									\$ 375,000
20		Network Band-width Cloud	Contracted Services						\$ 113,469			\$ 113,469									\$ 226,938
21		Data Standardization				\$ 250,000			\$ 100,000												\$ 350,000
22	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	\$ -		\$ 50,000	\$ -		\$ 75,000	\$ -		\$ 3,500	\$ -		\$ -	\$ -		\$ -	\$ -		\$ 128,500
23	Include costs associated with leasing space for project personnel.	Leased Space	Expense	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -
24	Other project expenses not included in other categories.	Other Expenses	Expense	\$ -		\$ -	\$ -		\$ 7,824	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ 7,824
25		One-time Go-Live Licence cost							\$ 375,000												\$ 375,000
26		Total		\$ -	0.00	\$ 2,025,400	\$ -	0.00	\$ 2,593,513	\$ -	0.00	\$ 488,709	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	\$ -	\$ 5,107,622

CBAForm 2 - Project Cost Analysis

Agency <u>Department of Financial Services</u>	Project <u>CRM To-Be</u>
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PROJECT COST SUMMARY	PROJECT COST SUMMARY (from CBAForm 2A)					TOTAL
	FY 2020-21	FY 2021-22	FY 2022-23	FY 2023-24	FY 2024-25	
TOTAL PROJECT COSTS (*)	\$2,025,400	\$2,593,513	\$488,709	\$0	\$0	\$5,107,622
CUMULATIVE PROJECT COSTS <small>(includes Current & Previous Years' Project-Related Costs)</small>	\$2,025,400	\$4,618,913	\$5,107,622	\$5,107,622	\$5,107,622	
Total Costs are carried forward to CBAForm3 Project Investment Summary worksheet.						

PROJECT FUNDING SOURCES	PROJECT FUNDING SOURCES - CBAForm 2B					TOTAL
	FY 2020-21	FY 2021-22	FY 2022-23	FY 2023-24	FY 2024-25	
General Revenue	\$0	\$0	\$0	\$0	\$0	\$0
Trust Fund	\$0	\$0	\$0	\$0	\$0	\$0
Federal Match <input type="checkbox"/>	\$0	\$0	\$0	\$0	\$0	\$0
Grants <input type="checkbox"/>	\$0	\$0	\$0	\$0	\$0	\$0
Other <input type="checkbox"/> Specify	\$0	\$0	\$0	\$0	\$0	\$0
TOTAL INVESTMENT	\$0	\$0	\$0	\$0	\$0	\$0
CUMULATIVE INVESTMENT	\$0	\$0	\$0	\$0	\$0	\$0

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

CBAForm 3 - Project Investment Summary

Agency	<u>Department of Financial Services</u>	Project	<u>CRM To-Be</u>
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<i>COST BENEFIT ANALYSIS -- CBAForm 3A</i>						
	FY 2020-21	FY 2021-22	FY 2022-23	FY 2023-24	FY 2024-25	TOTAL FOR ALL YEARS
Project Cost	\$2,025,400	\$2,593,513	\$488,709	\$0	\$0	\$5,107,622
Net Tangible Benefits	\$0	\$0	(\$668,000)	(\$668,000)	(\$668,000)	(\$2,004,000)
Return on Investment	(\$2,025,400)	(\$2,593,513)	(\$1,156,709)	(\$668,000)	(\$668,000)	(\$7,111,622)
Year to Year Change in Program Staffing	0	0	1	1	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)	(\$6,620,448)	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 2020-21	FY 2021-22	FY 2022-23	FY 2023-24	FY 2024-25
Cost of Capital	1.94%	2.07%	3.18%	4.32%	4.85%

	B	C	D	E	F	G	H				
3	Project		<i>CRM To-Be</i>								
4	Agency		<i>Florida Department of Financial Service</i>								
5	FY 2018-19 LBR Issue Code:		FY 2018-19 LBR Issue Title:								
6	<i>Issue Code</i>		<i>Issue Title</i>								
7	Risk Assessment Contact Info (Name, Phone #, and E-mail Address):										
8	<i>Doris Moss, 850-413-2355</i>										
9	Executive Sponsor		<i>Charles Ghini</i>								
10	Project Manager		<i>Sheetal Shidhaye</i>								
11	Prepared By		<i>Doris Moss, Sheetal Shidhaye</i>		<i>8/7/2019</i>						
12	Risk Assessment Summary										
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29											
30	Level of Project Risk										
31	<i>Least Risk</i>					<i>Most Risk</i>					
32											
34	Project Risk Area Breakdown										
35	Risk Assessment Areas						<i>Risk Exposure</i>				
36	Strategic Assessment						MEDIUM				
37											
38	Technology Exposure Assessment						MEDIUM				
39											
40	Organizational Change Management Assessment						MEDIUM				
41											
42	Communication Assessment						MEDIUM				
43											
44	Fiscal Assessment						MEDIUM				
45											
46	Project Organization Assessment						MEDIUM				
47											
48	Project Management Assessment						MEDIUM				
49											
50	Project Complexity Assessment						MEDIUM				
51											
52											
53	Overall Project Risk						MEDIUM				

	B	C	D	E
1	Agency: Florida Department of Financial Service			Project: CRM To-Be
3	Section 1 -- Strategic Area			
4	#	Criteria	Values	Answer
5	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
6			41% to 80% -- Some objectives aligned	
7			81% to 100% -- All or nearly all objectives aligned	
8	1.02	Are project objectives clearly documented and understood by all stakeholder groups?	Not documented or agreed to by stakeholders	Informal agreement by stakeholders
9			Informal agreement by stakeholders	
10			Documented with sign-off by stakeholders	
11	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 committee meetings
12			Most regularly attend executive steering committee meetings	
13			Project charter signed by executive sponsor and executive team actively engaged in steering committee meetings	
14	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 partially documented
15			Vision is partially documented	
16			Vision is completely documented	
17	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	81% to 100% -- All or nearly all defined and documented
18			41% to 80% -- Some defined and documented	
19			81% to 100% -- All or nearly all defined and documented	
20	1.06	Are all needed changes in law, rule, or policy identified and documented?	No changes needed	Changes are identified and documented
21			Changes unknown	
22			Changes are identified in concept only	
23			Changes are identified and documented	
24			Legislation or proposed rule change is drafted	
25	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	All or nearly all
26			Some	
27			All or nearly all	
28	1.08	What is the external (e.g. public) visibility of the proposed system or project?	Minimal or no external use or visibility	Extensive external use or visibility
29			Moderate external use or visibility	
30			Extensive external use or visibility	
31	1.09	What is the internal (e.g. state agency) visibility of the proposed system or project?	Multiple agency or state enterprise visibility	Single agency-wide use or visibility
32			Single agency-wide use or visibility	
33			Use or visibility at division and/or bureau level only	
34	1.10	Is this a multi-year project?	Greater than 5 years	Between 1 and 3 years
35			Between 3 and 5 years	
36			Between 1 and 3 years	
37			1 year or less	

	B	C	D	E
1	Agency: Florida Department of Financial Service			Project: CRM To-Be
3	Section 2 -- Technology Area			
4	#	Criteria	Values	Answer
5	2.01	Does the agency have experience working with, operating, and supporting the proposed technical solution in a production environment?	Read about only or attended conference and/or vendor presentation	Supported production system 1 year to 3 years
6			Supported prototype or production system less than 6 months	
7			Supported production system 6 months to 12 months	
8			Supported production system 1 year to 3 years	
9			Installed and supported production system more than 3 years	
10	2.02	Does the agency's internal staff have sufficient knowledge of the proposed technical solution 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
11			External technical resources will be needed through implementation only	
12			Internal resources have sufficient knowledge for implementation and operations	
13	2.03	Have all relevant technical alternatives/ solution options been researched, documented and considered?	No technology alternatives researched	Some alternatives documented and considered
14			Some alternatives documented and considered	
15			All or nearly all alternatives documented and considered	
16	2.04	Does the proposed technical solution 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
17			Some relevant standards have been incorporated into the proposed technology	
18			Proposed technology solution is fully compliant with all relevant agency, statewide, or industry standards	
19	2.05	Does the proposed technical solution require significant change to the agency's existing technology infrastructure?	Minor or no infrastructure change required	Moderate infrastructure change required
20			Moderate infrastructure change required	
21			Extensive infrastructure change required	
22			Complete infrastructure replacement	
23	2.06	Are detailed hardware and software capacity requirements defined and documented?	Capacity requirements are not understood or defined	Capacity requirements are based on historical data and new system design specifications and performance requirements
24			Capacity requirements are defined only at a conceptual level	
25			Capacity requirements are based on historical data and new system design specifications and performance requirements	

	B	C	D	E
1	Agency: Florida Department of Financial Service			Project: CRM To-Be
3	Section 3 -- Organizational Change Management Area			
4	#	Criteria	Values	Answer
5	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	Minimal changes to organization structure, staff or business processes structure
6			Moderate changes to organization structure, staff or business processes	
7			Minimal changes to organization structure, staff or business processes structure	
8	3.02	Will this project impact essential business processes?	Yes	Yes
9			No	
10	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	81% to 100% -- All or nearly all processes defined and documented
11			41% to 80% -- Some process changes defined and documented	
12			81% to 100% -- All or nearly all processes defined and documented	
13	3.04	Has an Organizational Change Management Plan been approved for this project?	Yes	No
14			No	
15	3.05	Will the agency's anticipated FTE count change as a result of implementing the project?	Over 10% FTE count change	Less than 1% FTE count change
16			1% to 10% FTE count change	
17			Less than 1% FTE count change	
18	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
19			1 to 10% contractor count change	
20			Less than 1% contractor count change	
21	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
22			Moderate changes	
23			Minor or no changes	
24	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	Minor or no changes
25			Moderate changes	
26			Minor or no changes	
27	3.09	Has the agency successfully completed a project with similar organizational change requirements?	No experience/Not recently (>5 Years)	Recently completed project with similar change requirements
28			Recently completed project with fewer change requirements	
29			Recently completed project with similar change requirements	
30			Recently completed project with greater change requirements	

	B	C	D	E
1	Agency: Agency Name		Project: Project Name	
3	Section 4 -- Communication Area			
4	#	Criteria	Value Options	Answer
5	4.01	Has a documented Communication Plan been approved for this project?	Yes	Yes
6			No	
7	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
8			Routine feedback in Plan	
9			Proactive use of feedback in Plan	
10	4.03	Have all required communication channels been identified and documented in the Communication Plan?	Yes	Yes
11			No	
12	4.04	Are all affected stakeholders included in the Communication Plan?	Yes	Yes
13			No	
14	4.05	Have all key messages been developed and documented in the Communication Plan?	Plan does not include key messages	Plan does not include key messages
15			Some key messages have been developed	
16			All or nearly all messages are documented	
17	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
18			Success measures have been developed for some messages	
19			All or nearly all messages have success measures	
20	4.07	Does the project Communication Plan identify and assign needed staff and resources?	Yes	Yes
21			No	

	B	C	D	E
1	Agency: Florida Department of Financial Service			Project: CRM To-Be
3	Section 5 -- Fiscal Area			
4	#	Criteria	Values	Answer
5	5.01	Has a documented Spending Plan been approved for the entire project lifecycle?	Yes	No
6			No	
7	5.02	Have all project expenditures been identified in the Spending Plan?	0% to 40% -- None or few defined and documented	81% to 100% -- All or nearly all defined and documented
8			41% to 80% -- Some defined and documented	
9			81% to 100% -- All or nearly all defined and documented	
10	5.03	What is the estimated total cost of this project over its entire lifecycle?	Unknown	Between \$2 M and \$10 M
11			Greater than \$10 M	
12			Between \$2 M and \$10 M	
13			Between \$500K and \$1,999,999	
14			Less than \$500 K	
15	5.04	Is the cost estimate for this project based on quantitative analysis using a standards-based estimation model?	Yes	Yes
16			No	
17	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%)
18			Order of magnitude – estimate could vary between 10-100%	
19			Placeholder – actual cost may exceed estimate by more than 100%	
20	5.06	Are funds available within existing agency resources to complete this project?	Yes	No
21			No	
22	5.07	Will/should multiple state or local agencies help fund this project or system?	Funding from single agency	Funding from single agency
23			Funding from local government agencies	
24			Funding from other state agencies	
25	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
26			Requested but not received	
27			Requested and received	
28			Not applicable	
29	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
30			Some project benefits have been identified but not validated	
31			Most project benefits have been identified but not validated	
32			All or nearly all project benefits have been identified and validated	
33	5.10	What is the benefit payback period that is defined and documented?	Within 1 year	Within 3 years
34			Within 3 years	
35			Within 5 years	
36			More than 5 years	
37			No payback	
38	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
39			Stakeholders have not been consulted re: procurement strategy	
40			Stakeholders have reviewed and approved the proposed procurement strategy	
41	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
42			Firm Fixed Price (FFP)	
43			Combination FFP and T&E	
44	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	Purchase all hardware and software at start of project to take advantage
45			Purchase all hardware and software at start of project to take advantage of one-time discounts	

	B	C	D	E
1	Agency: Florida Department of Financial Service			Project: CRM To-Be
3	Section 5 -- Fiscal Area			
4	#	Criteria	Values	Answer
46			Just-in-time purchasing of hardware and software is documented in the project schedule	of one-time discounts
47	5.14	Has a contract manager been assigned to this project?	No contract manager assigned	Contract manager is the procurement manager
48			Contract manager is the procurement manager	
49			Contract manager is the project manager	
50			Contract manager assigned is not the procurement manager or the project manager	
51	5.15	Has equipment leasing been considered for the project's large-scale computing purchases?	Yes	No
52			No	
53	5.16	Have all procurement selection criteria and outcomes been clearly identified?	No selection criteria or outcomes have been identified	All or nearly all selection criteria and expected outcomes have been defined and documented
54			Some selection criteria and outcomes have been defined and documented	
55			All or nearly all selection criteria and expected outcomes have been defined and documented	
56	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
57			Multi-stage evaluation not planned/used for procurement	
58			Multi-stage evaluation and proof of concept or prototype planned/used to select best qualified vendor	
59	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	Not applicable
60			No, bid response did/will not require proof of concept or prototype	
61			Yes, bid response did/will include proof of concept or prototype	
62			Not applicable	
63				
64				
65				
66				

	B	C	D	E
1	Agency: Florida Department of Financial Service			Project: CRM To-Be
3	Section 6 -- Project Organization Area			
4	#	Criteria	Values	Answer
5	6.01	Is the project organization and governance structure clearly defined and documented within an approved project plan?	Yes	Yes
6			No	
7	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
8			Some have been defined and documented	
9			All or nearly all have been defined and documented	
10	6.03	Who is responsible for integrating project deliverables into the final solution?	Not yet determined	System Integrator (contractor)
11			Agency	
12			System Integrator (contractor)	
13	6.04	How many project managers and project directors will be responsible for managing the project?	3 or more	2
14			2	
15			1	
16	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
17			Some or most staff roles and responsibilities and needed skills have been identified	
18			Staffing plan identifying all staff roles, responsibilities, and skill levels have been documented	
19	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
20			No, project manager is assigned 50% or less to project	
21			No, project manager assigned more than half-time, but less than full-time to project	
22			Yes, experienced project manager dedicated full-time, 100% to project	
23	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
24			No, business, functional or technical experts dedicated 50% or less to project	
25			No, business, functional or technical experts dedicated more than half-time but less than full-time to project	
26			Yes, business, functional or technical experts dedicated full-time, 100% to project	
27	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
28			Half of staff from in-house resources	
29			Mostly staffed from in-house resources	
30			Completely staffed from in-house resources	
31	6.09	Is agency IT personnel turnover expected to significantly impact this project?	Minimal or no impact	Moderate impact
32			Moderate impact	
33			Extensive impact	
34	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
35			No	
36	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
37			No, only IT staff are on change review and control board	
38			No, all stakeholders are not represented on the board	
39			Yes, all stakeholders are represented by functional manager	

	B	C	D	E
1	Agency: Florida Department of Financial Service			Project: CRM To-Be
3	Section 7 -- Project Management Area			
4	#	Criteria	Values	Answer
5	7.01	Does the project management team use a standard commercially available project management methodology to plan, implement, and control the project?	No	Yes
6			Project Management team will use the methodology selected by the systems integrator	
7			Yes	
8	7.02	For how many projects has the agency successfully used the selected project management methodology?	None	More than 3
9			1-3	
10			More than 3	
11	7.03	How many members of the project team are proficient in the use of the selected project management methodology?	None	Some
12			Some	
13			All or nearly all	
14	7.04	Have all requirements specifications been unambiguously defined and documented?	0% to 40% -- None or few have been defined and documented	81% to 100% -- All or nearly all have been defined and documented
15			41 to 80% -- Some have been defined and documented	
16			81% to 100% -- All or nearly all have been defined and documented	
17	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
18			41 to 80% -- Some have been defined and documented	
19			81% to 100% -- All or nearly all have been defined and documented	
20	7.06	Are all requirements and design specifications traceable to specific business rules?	0% to 40% -- None or few are traceable	41 to 80% -- Some are traceable
21			41 to 80% -- Some are traceable	
22			81% to 100% -- All or nearly all requirements and specifications are traceable	
23	7.07	Have all project deliverables/services and acceptance criteria been clearly defined and documented?	None or few have been defined and documented	Some deliverables and acceptance criteria have been defined and documented
24			Some deliverables and acceptance criteria have been defined and documented	
25			All or nearly all deliverables and acceptance criteria have been defined and documented	
26	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
27			Only project manager signs-off	
28			Review and sign-off from the executive sponsor, business stakeholder, and project manager are required on all major project deliverables	
29	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
30			41 to 80% -- Some have been defined to the work package level	
31			81% to 100% -- All or nearly all have been defined to the work package level	
32	7.10	Has a documented project schedule been approved for the entire project lifecycle?	Yes	No
33			No	
34	7.11	Does the project schedule specify all project tasks, go/no-go decision points (checkpoints),	Yes	No

	B	C	D	E
1	Agency: Florida Department of Financial Service			Project: CRM To-Be
3	Section 7 -- Project Management Area			
4	#	Criteria	Values	Answer
35		critical milestones, and resources?	No	No
36	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 processes
37			Project team uses formal processes	
38			Project team and executive steering committee use formal status reporting processes	
39	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
40			Some templates are available	
41			All planning and reporting templates are available	
42	7.14	Has a documented Risk Management Plan been approved for this project?	Yes	Yes
43			No	
44	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
45			Some have been defined and documented	
46			All known risks and mitigation strategies have been defined	
47	7.16	Are standard change request, review and approval processes documented and in place for this project?	Yes	Yes
48			No	
49	7.17	Are issue reporting and management processes documented and in place for this project?	Yes	Yes
50			No	

	B	C	D	E
1	Agency: Florida Department of Financial Service			Project: CRM To-Be
2				
3	Section 8 -- Project Complexity Area			
4	#	Criteria	Values	Answer
5	8.01	How complex is the proposed solution compared to the current agency systems?	Unknown at this time	More complex
6			More complex	
7			Similar complexity	
8			Less complex	
9	8.02	Are the business users or end users dispersed across multiple cities, counties, districts, or regions?	Single location	More than 3 sites
10			3 sites or fewer	
11			More than 3 sites	
12	8.03	Are the project team members dispersed across multiple cities, counties, districts, or regions?	Single location	3 sites or fewer
13			3 sites or fewer	
14			More than 3 sites	
15	8.04	How many external contracting or consulting organizations will this project require?	No external organizations	1 to 3 external organizations
16			1 to 3 external organizations	
17			More than 3 external organizations	
18	8.05	What is the expected project team size?	Greater than 15	9 to 15
19			9 to 15	
20			5 to 8	
21			Less than 5	
22	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
23			2 to 4	
24			1	
25			None	
26	8.07	What is the impact of the project on state operations?	Business process change in single division or bureau	Agency-wide business process change
27			Agency-wide business process change	
28			Statewide or multiple agency business process change	
29	8.08	Has the agency successfully completed a similarly-sized project when acting as Systems Integrator?	Yes	Yes
30			No	
31	8.09	What type of project is this?	Infrastructure upgrade	Combination of the above
32			Implementation requiring software development or purchasing commercial off the shelf (COTS) software	
33			Business Process Reengineering	
34			Combination of the above	
35	8.10	Has the project manager successfully managed similar projects to completion?	No recent experience	Greater size and complexity
36			Lesser size and complexity	
37			Similar size and complexity	
38			Greater size and complexity	
39	8.11	Does the agency management have experience governing projects of equal or similar size and complexity to successful completion?	No recent experience	Greater size and complexity
40			Lesser size and complexity	
41			Similar size and complexity	
42			Greater size and complexity	

SCHEDULE IV-B FOR FLORIDA PALM

For Fiscal Year 2020-21



October 1, 2018

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:
Project Name: Florida PALM	Is this project included in the Agency's LRPP? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
FY 2020-21 LBR Issue Code: 36105C0	FY 2020-21 LBR Issue Title: FLAIR Replacement
Agency Contact for Schedule IV-B (Name, Phone #, and E-mail address): 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: _____	Date: _____
Printed Name: Jimmy Patronis	
Agency Chief Information Officer (or equivalent): _____	Date: _____
Printed Name: Charles Ghini	
Budget Officer: _____	Date: _____
Printed Name: Teri Madsen	
Planning Officer: _____	Date: _____
Printed Name:	
Project Sponsor: _____	Date: _____
Printed Name: Scott Fennell	
Schedule IV-B Preparers (Name, Phone #, and E-mail address):	
Business Need:	Tommy Werner, 850.410.9062, Tommy.Werner@myfloridacfo.com
Cost Benefit Analysis:	Tommy Werner, 850.410.9062, Tommy.Werner@myfloridacfo.com
Risk Analysis:	Tommy Werner, 850.410.9062, Tommy.Werner@myfloridacfo.com
Technology Planning:	
Project Planning:	

General Guidelines

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

Schedule IV-B is not required for requests to:

- Continue existing hardware and software maintenance agreements,
- Renew existing software licensing agreements that are similar to the service level agreements currently in use, or
- Replace desktop units ("refresh") with new technology that is similar to the technology currently in use.
- Contract only for the completion of a business case or feasibility study for the replacement or remediation of an existing IT system or the development of a new IT system.

Documentation Requirements

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

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

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

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

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

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

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

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

A. Background and Strategic Needs Assessment

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

1. Business Need

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 and designated agency head for the Department of Financial Services (DFS). By virtue of the position, the CFO is responsible for the Florida Accounting Information Resource Subsystem (FLAIR) and the Cash Management Subsystem (CMS). FLAIR and CMS perform various financial and cash management functions. The systems support the business aspects of the Department's Division of Accounting and Auditing (A&A), Division of Treasury (Treasury) and state agency financial accounting. The Department's Office of Information Technology (OIT) supports the operation and maintenance of FLAIR and CMS.

A capable, flexible and reliable financial management system is critical for an enterprise the size of Florida. FLAIR is not keeping up with the State's evolving and growing business needs and, as time goes on, the operational risk of relying on FLAIR increases. The limitations with FLAIR and the associated impacts (e.g., proliferation of agency compensating systems and agency unique processes) are not trivial and negatively impact the operational productivity and the financial management of the State.

The CMS is a collective group of eleven individual components, each performing specific functions to support the overall cash management and investment duties of the State. These components were implemented at various points dating back to 1984 on multiple platforms, with three updated into a web based system as recently as 2013. These components interface with each other, FLAIR, and external systems to manage the cash management needs of the State. Due to the number of interfaces and proliferation of data, it is difficult to obtain information from these components and reconcile them with FLAIR and agency business systems.

The ability of the CFO and DFS to perform their mission is becoming increasingly difficult given the significant limitations with FLAIR and CMS. A new financial management solution is needed and the need for change is evident by the following:

- Agencies have implemented and continue to implement workarounds and financial related business systems to fill "gaps" created by FLAIR limitations. The proliferation of these agency unique processes and compensating financial systems will only continue as business needs change. The result is an increase in operational complexity, maintenance and administrative costs, and increased difficulty for the CFO and DFS to manage the State's financial resources. A secondary impact related to the number of agency unique processes and homegrown systems will be an increased level of complexity to transition to a new go forward solution.
- FLAIR is a fragile system developed over 30 years ago, and it cannot evolve to meet the State's ever changing business and financial management needs. The fragility is evidenced by the complications and instability arising from required changes to support business and policy needs, e.g., changing agency names or payroll calculations.
- FLAIR is an inflexible system based on the underlying programming and data structure. This is demonstrated by the limited potential to add data elements. The limiting factor is the structure of the programming modules.
- Resources needed to maintain FLAIR are scarce and are becoming more limited. As reflected in the FLAIR Study, over 40% of personnel supporting FLAIR have at least 30 years of service and are currently eligible for full retirement. The loss of irreplaceable institutional knowledge and lack of qualified resources to support FLAIR increases future operational risk when changes to the system are needed or system issues must be resolved. Resource knowledge is critical since system documentation may not always be accurate and up to date.
- 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. 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 cannot support the Department’s or the State’s financial management needs. FLAIR cannot forecast cash demands at a state level nor does it contain functionality supporting operational efficiency (i.e., workflow, automated reconciliation) and cannot promote cost savings/revenue generation (i.e., Net Discounts, interest earnings).
- FLAIR, and the FFMIS subsystems, are designed and operated in a way contrary to supporting an enterprise-wide solution. If the state ever wants to move towards an enterprise-wide solution, it must establish a flexible foundation to allow for evolution (i.e., add capabilities) and to be a catalyst for future statewide operational efficiency and effectiveness efforts.
- CMS is an integrated group of individual components. While these components were designed to work together, there are limitations to their ability to easily share data, particularly with FLAIR and external agency systems, leading to significant reconciliation and manual reporting efforts to manage the cash position of the State.

In accordance with Chapter 2014-051, Section 6, Line 2340A Laws of Florida established funding for the Florida PALM Project (formerly known as the FLAIR and CMS Replacement Project). Additional funding was established through:

- Chapter 2015-232, Section 6, Line 2331A, Laws of Florida
- Chapter 2016-066, Section 6, Line 2317A, Laws of Florida
- Chapter 2017-070, Section 6, Line 2334, Laws of Florida
- Chapter 2018-009, Section 6, Line 2332, Laws of Florida
- Chapter 2019-115, Section 6, Line 2422, Laws of Florida

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.

The overall vision for the Florida PALM Project is to:

Implement a statewide accounting system to enforce standardization, acts as a scalable foundation to evolve as business needs change, and positions Florida for future innovation as it considers a true enterprise-wide solution.

To achieve this, the goals for the Project are:

1. Reduce the State’s risk exposure by harnessing modern financial management technology built on the premises of scalability, flexibility, and maintainability
2. Improve state and agency specific decision making by capturing a consistent and an expandable set of data
3. Improve the State’s financial management capabilities to enable more accurate oversight of budget and cash demands today and in the future
4. Improve staff productivity, reduce operational complexity, and increase internal controls by enabling standardization and automation of business processes within and between DFS and agencies

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.

The core financial management and cash management transaction processing performed today in FLAIR and CMS are limited in scope. The limitations of these transactions, due in large part to the technical limitations of FLAIR and CMS has led to agencies developing and maintaining their own processes and systems, linked to FLAIR and CMS through automated and manual interfaces, to perform their financial management activities. The State currently lacks a set of clearly documented, enterprise level financial management processes and guidelines.

2. Assumptions and Constraints

The Florida PALM Project is operating under the following assumptions.

- There is commitment to the Project goals from all stakeholders.
- The Project budget will be approved each year of the Project.
- The Project schedule will be used to monitor progress of defined milestones.
- All core functionality to be included in the solution were identified as part of the requirements gathering and finalized prior to contract award; confirmation of requirements will be obtained through Solution Analysis and Design activities.
- Any significant Legislative, business requirement, or policy changes during the Project that materially impact the Project will follow the change control process as defined in the PMP.
- Software customization will be minimal.
- The current FLAIR and CMS systems will function until the financial management system is in production.
- There is a sufficient talent pool within budget from which to hire State employee resources.
- There will be sufficient engagement by agencies by resources knowledgeable about agency business processes.
- There will be sufficient and adequate responses from the vendor community for contracted services.
- Partnerships established with external advisors will be collaborative to focus on value to and success of the Project. The scope of the Project is defined in the SSI contract.
-

C. Proposed Business Process Requirements

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

1. Proposed Business Process Requirements

Florida PALM's first activity was to develop a single set of standardized statewide business processes. The business process standardization was performed in two analysis steps, Level 1, and Level 2 analysis. These standard processes were reviewed and approved by representatives from all agencies using FLAIR and CMS.

The Level 1 analysis was completed at the end of 2014 to produce business process models along with supporting information identifying key business events, Accounting Events, and internal Control Points across ten business process areas.

The Level 2 analysis used the Level 1 analysis as the foundation in designing the business processes to a greater level of detail including integration points with statewide administrative systems, agency specific business systems, and other third party systems. The Level 2 Business Process Model also identifies examples of roles and responsibilities for process areas, sub processes, approvals, and internal activities.

These standardized business processes were included as part of the solution and system integrator solicitation.

During the Project solution analysis and design activities, the Project further refined the Level 2 Business Process Models while considering the functionality of the selected Oracle PeopleSoft software. The result was the creation of the Standardized Business Process Models which were reviewed by all agencies using FLAIR and CMS.

The Standardized Business Process Models were reviewed and approved the Executive Steering Committee.

2. Business Solution Alternatives

Florida PALM released a comprehensive ITN on November 1, 2016 to obtain the software and system integrator (SSI) to replace FLAIR and CMS. The ITN was structured to successfully replace the current systems and implement the standardized financial management business processes while obtaining additional benefits from the software and system integrators.

In addition to identifying the best software to perform future financial management transactions, the ITN requested the respondents provide options and recommendations for additional elements of the solution including the timing of implementation activities, timing of agency conversions to the new processes and software, and options for the hardware platform and system support.

Accenture LLP presented an offer to provide an SSI consisting of Commercial Off the Shelf (COTS) software from Oracle PeopleSoft.

3. Rationale for Selection

Through the ITN, the Project established a set of comprehensive evaluation criteria which guided the evaluation, negotiation, and contracting for the software, supporting infrastructure solution, implementation approach, and system integrator which will provide the best value to the State.

A public meeting held on June 15, 2018 by the negotiation team recommended an award for SSI services. Accenture LLP was identified as the responsible and responsive Respondent whose Reply was assessed as providing the best value to the State. The CFO decision on the intent to award for SSI services was obtained. A contract was executed on July 20, 2018 and funding for fiscal years one and two of the contract have been provided. The awarded contract is in compliance with the scope and cost outlined in Proviso

The Solution includes COTS Oracle based software that is used by more than a dozen state governments. Limited customizations would allow for easier maintenance.

4. Recommended Business Solution

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

The SSI contract between DFS and Accenture LLP outlines a commitment to provide and implement a COTS Oracle PeopleSoft financial management solution to replace FLAIR and CMS.

D. Functional and Technical Requirements

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

The Florida PALM Business Requirements have been developed in conjunction with the Level 2 Standardized Business Process Models. Business Requirements were developed in three cycles and were reviewed by the Executive Steering Committee (ESC) for update and approval. These Business Requirements are available on the project website at [ESC Approved Business Requirements](#) .

During the Project solution analysis and design activities, the Project further refined the Business Requirements while considering the functionality of the selected Oracle PeopleSoft software.

Adds and deletions to the requirements were reviewed and approved the Executive Steering Committee.

III. Success Criteria

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

SUCCESS CRITERIA TABLE				
#	Description of Criteria	How will the Criteria be measured/assessed?	Who benefits?	Realization Date (MM/YY)
1	A financial management solution to replace FLAIR and CMS is contracted and implemented	Successful execution of a software and system integrator contract Successful completion of pilot implementation Successful cutover of first agency onto new solution	DFS and State Agencies	07/21
2	The State is able to transition to the new solution as the system of record for State financial transactions and generate appropriate statutory reporting	Successful cutover of all State agencies onto the new solution	DFS and State Agencies	07/24
3	Agencies are able to use the new replacement system for their operational needs	Use of agency business systems to perform core financial transactional activities and reporting tasks is reduced	DFS and State Agencies	01/25

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

A. Benefits Realization Table

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

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

BENEFITS REALIZATION TABLE					
#	Description of Benefit	Who receives the benefit?	How is benefit realized?	How is the realization of the benefit measured?	Realization Date (MM/YY)
1	Reduction of the State's financial risk exposure through technology built on the premises of	DFS	Reduction of employee time spent on non-value added maintenance and the	With each wave, Florida PALM will work with the	As documented in the Business

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)
	scalability, flexibility, and maintainability		ability to address system changes/enhancement requests on a timely basis.	contractor to document the benefits achieved.	Benefits Deliverable
2	Improvement in the State's decision making by capturing a consistent and an expandable set of data	DFS, Policymakers, and State Agencies	Increased standardization in capture of transactional data and improved reporting	With each wave, Florida PALM will work with the contractor to document the benefits achieved.	As documented in the Business Benefits Deliverable
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	DFS, Policymakers, and State Agencies	Improved Cash Management, reduced time to reconcile transactions, enhanced financial reporting due to automated encumbrances/payables	With each wave, Florida PALM will work with the contractor to document the benefits achieved.	As documented in the Business Benefits Deliverable
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.	With each wave, Florida PALM will work with the contractor to document the benefits achieved.	As documented in the Business Benefits Deliverable

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.

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

Cost Benefit Analysis	
Form	Description of Data Captured
CBA Form 1 - Net Tangible Benefits	<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 program(s) that will be 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>
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

V. Schedule IV-B Major Project Risk Assessment

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

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

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

VI. Schedule IV-B Technology Planning

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

A. Current Information Technology Environment

1. Current System

a. Description of Current System

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 upgraded a portion of the current CMS platform to a web-based system in August 2013. This upgrade established a new integrated platform and replaced three existing business applications including Verifies, Receipts, and Chargebacks.

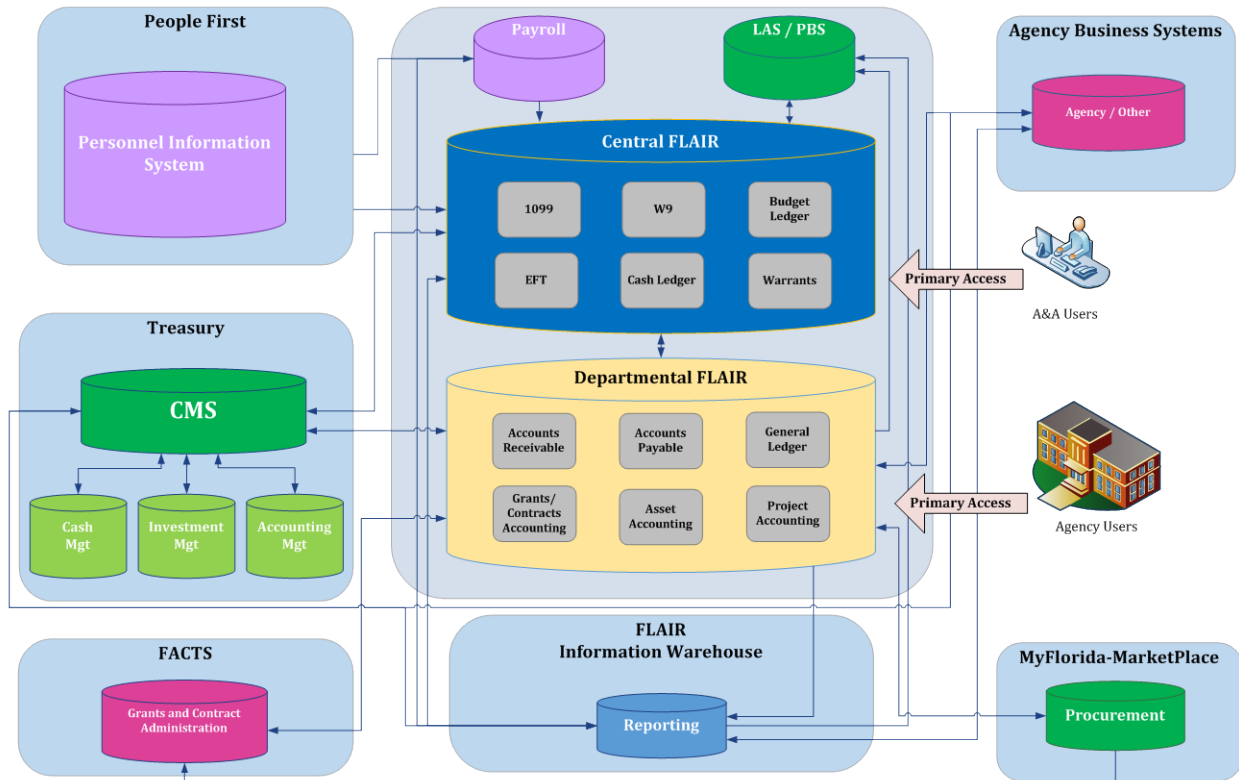


Exhibit 1 FLAIR/CMS Current Environment

FLAIR was implemented in the early 1980s based on source code from the 1970s. It runs on a mainframe and is used by 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.

CMS is a collective group of eleven individual components, each performing specific functions to support the overall cash management and investment duties of the State. The individual components interface with each other to share information. The components were developed at various points between 1984 and 2002, with three of the original components combined into one web-based system in 2013.

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, as reflected in the FLAIR Study, over 40% 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.

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.

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 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.

For additional information on current system performance and limitations, refer to Appendix 1, the FLAIR Study:

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

- 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. 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.

FLAIR is over 30-years old running on an IBM z114 2818-W03 mainframe supported at the DFS data center. FLAIR was custom developed beginning in the 1970s, implemented in the 1980s, and continues to be supported by OIT. The FLAIR components were developed separately and rely on batch interfaces to transfer data between them. The Departmental FLAIR, Central FLAIR, and Payroll components utilize Adaptable Database Management System (ADABAS) for the database and Natural and COBOL as the programming languages. FLAIR nightly batch processes are run on the IBM mainframe using Job Control Language (JCL). The IW utilizes IBM DB2 software for the database and WebFOCUS reporting tools.

The CMS components were developed in-house on a variety of platforms. The most recent component developed, CMS, is a Windows based .Net application utilizing a Microsoft SQL Server database. The other 10 components run on an IBM iSeries Power 7 8202-E4D server. The database platform for these components is IBM DB2, and programming languages include Java, Cobol, and MS Access.

B. Current Hardware and/or Software Inventory

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

C. Proposed Technical Solution

1. Technical Solution Alternatives

Florida PALM released a comprehensive ITN on November 1, 2016 to obtain the software and system integrator (SSI) to replace FLAIR and CMS. The ITN was structured to successfully replace the current systems and implement the standardized financial management business processes while obtaining additional benefits from the software and system integrators.

In addition to identifying the best software to perform future financial management transactions, the ITN requested the respondents provide options and recommendations for additional elements of the solution including the timing of implementation activities, timing of agency conversions to the new processes and software, and options for the hardware platform and system support.

Accenture LLP presented an offer to provide an SSI consisting of Commercial Off the Shelf (COTS) software from Oracle PeopleSoft.

2. Rationale for Selection

Through the ITN, the Project established a set of comprehensive evaluation criteria which guided the evaluation, negotiation, and contracting for the software, supporting infrastructure solution, implementation approach, and system integrator which will provide the best value to the State.

A public meeting held on June 15, 2018 by the negotiation team recommended an award for SSI services. Accenture LLP was identified as the responsible and responsive Respondent whose Reply was assessed as providing the best value to the State. The CFO decision on the intent to award for SSI services was obtained. A contract was executed

on July 20, 2018. The awarded contract is in compliance with the scope and cost outlined in Proviso.

Solution includes COTS Oracle based software that is used by more than a dozen state governments. Limited customizations would allow for easier maintenance.

3. Recommended Technical Solution

The SSI contract between DFS and Accenture LLP outlines a commitment to provide and implement a COTS Oracle PeopleSoft SSI to replace FLAIR and CMS.

D. Proposed Solution Description

4. Summary Description of Proposed System

Accenture LLC has been awarded a contract to replace FLAIR and CMS with COTS, Oracle PeopleSoft, which will meet the State's business needs and the identified functional and technical requirements as outlined above.

5. Resource and Summary Level Funding Requirements for Proposed Solution (if known)

Payment for contracted services is based upon a fixed deliverable schedule. The total cost of the contract will be \$180,034,116 over nine years. The total expense of implementing the SSI is expected to be less than the cost projection indicated in Option 3 of the FLAIR Study.

E. Capacity Planning

(historical and current trends versus projected requirements)

VII. Schedule IV-B Project Management Planning

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

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.

The Florida PALM Project is following a structured approach to manage the Design Development and Implementation (DDI) activities of the project.

Appendix 2 contains the current DDI Project Management Plan (PMP) outlining the control and project execution elements currently in place. The current Florida PALM PMP is compliant with AST project management standards and includes the following sections:

- Performance Management
- Cost Management
- Schedule Management
- Quality Management
- Procurement Management
- Resource Management
- Collaboration Management
- Change Process Management
- Risk Management
- Communications Management
- Issue Management
- Decision Management
- Deliverable Management

- Action Item Management
- Content Management
- Lessons Learned Management

Florida PALM has a formal governance process to guide its decision making. This process includes an Executive Steering Committee with representation from multiple stakeholder agencies. The Florida PALM governance processes are documented in the Project Charter. (Appendix 3 – Florida PALM Project Charter)

VIII. Appendices

Number and include all required spreadsheets along with any other tools, diagrams, charts, etc. chosen to accompany and support the narrative data provided by the agency within the Schedule IV-B.

- Appendix 1 – FLAIR Study
- Appendix 2 – Florida PALM DDI PMP
- Appendix 3 – Florida PALM Project Charter

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>(Recurring Costs Only -- No Project Costs)</i>	FY 2020-21			FY 2021-22			FY 2022-23			FY 2023-24			FY 2024-25		
	(a) Existing Program Costs	(b) Operational Cost Change	(c) = (a)+(b) New Program Costs resulting from Proposed Project	(a) Existing Program Costs	(b) Operational Cost Change	(c) = (a) + (b) New Program Costs resulting from Proposed Project	(a) Existing Program Costs	(b) Operational Cost Change	(c) = (a) + (b) New Program Costs resulting from Proposed Project	(a) Existing Program Costs	(b) Cost Change Operational Cost Change	(c) = (a) + (b) New Program Costs resulting from Proposed Project	(a) Existing Program Costs	(b) Operational Cost Change	(c) = (a) + (b) New Program Costs resulting from Proposed Project
A. Personnel Costs -- Agency-Managed Staff	\$7,817,927	\$564,194	\$8,382,121	\$8,382,121	\$0	\$8,382,121	\$8,382,121	\$0	\$8,382,121	\$8,382,121	\$0	\$8,382,121	\$8,382,121	\$0	\$8,382,121
A.b Total Staff	60.00	6.00	66.00	66.00	0.00	66.00	66.00	0.00	66.00	66.00	0.00	66.00	66.00	0.00	66.00
A-1.a. State FTEs (Salaries & Benefits)	\$6,436,127	\$564,194	\$7,000,321	\$7,000,321	\$0	\$7,000,321	\$7,000,321	\$0	\$7,000,321	\$7,000,321	\$0	\$7,000,321	\$7,000,321	\$0	\$7,000,321
A-1.b. State FTEs (#)	55.00	6.00	61.00	61.00	0.00	61.00	61.00	0.00	61.00	61.00	0.00	61.00	61.00	0.00	61.00
A-2.a. OPS Staff (Salaries)	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
A-2.b. OPS (#)	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)	\$1,381,800	\$0	\$1,381,800	\$1,381,800	\$0	\$1,381,800	\$1,381,800	\$0	\$1,381,800	\$1,381,800	\$0	\$1,381,800	\$1,381,800	\$0	\$1,381,800
A-3.b. Staff Augmentation (# of Contractors)	5.00	0.00	5.00	5.00	0.00	5.00	5.00	0.00	5.00	5.00	0.00	5.00	5.00	0.00	5.00
B. Application Maintenance Costs	\$432,872	\$0	\$432,872	\$432,872	\$6,297,531	\$6,730,403	\$6,730,403	-\$5,001,337	\$1,729,066	\$1,729,066	\$50,566	\$1,779,632	\$1,779,632	\$457,917	\$2,237,549
B-1. Managed Services (Staffing)	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
B-2. Hardware	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
B-3. Software	\$432,872	\$0	\$432,872	\$432,872	\$6,297,531	\$6,730,403	\$6,730,403	-\$5,001,337	\$1,729,066	\$1,729,066	\$50,566	\$1,779,632	\$1,779,632	\$457,917	\$2,237,549
B-4. Other Specify	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
C. Data Center Provider Costs	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
C-1. Managed Services (Staffing)	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
C-2. Infrastructure	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
C-3. Network / Hosting Services	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
C-4. Disaster Recovery	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
C-5. Other	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
C-5. Other	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
D. Plant & Facility Costs	\$1,318,200	\$0	\$1,318,200	\$1,318,200	\$0	\$1,318,200	\$1,318,200	\$0	\$1,318,200	\$1,318,200	\$0	\$1,318,200	\$1,318,200	\$0	\$1,318,200
E. Other Costs	\$1,017,915	\$0	\$1,017,915	\$1,017,915	\$0	\$1,017,915	\$1,017,915	\$0	\$1,017,915	\$1,017,915	\$0	\$1,017,915	\$1,017,915	\$0	\$1,017,915
E-1. Training	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
E-2. Travel	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
E-3. Other IV&V	\$1,000,000	\$0	\$1,000,000	\$1,000,000	\$0	\$1,000,000	\$1,000,000	\$0	\$1,000,000	\$1,000,000	\$0	\$1,000,000	\$1,000,000	\$0	\$1,000,000
E-3. Other DMS Transfer	\$17,915	\$0	\$17,915	\$17,915	\$0	\$17,915	\$17,915	\$0	\$17,915	\$17,915	\$0	\$17,915	\$17,915	\$0	\$17,915
E-3. Other	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Total of Recurring Operational Costs	\$10,586,914	\$564,194	\$11,151,108	\$11,151,108	\$6,297,531	\$17,448,639	\$17,448,639	-\$5,001,337	\$12,447,302	\$12,447,302	\$50,566	\$12,497,868	\$12,497,868	\$457,917	\$12,955,785
F. Additional Tangible Benefits:															
F-1. Specify	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
F-2. Specify	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
F-3. Specify	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Total Net Tangible Benefits:		(\$564,194)			(\$6,297,531)			\$5,001,337			(\$50,566)			(\$457,917)	

CHARACTERIZATION OF PROJECT BENEFIT ESTIMATE -- CBAForm 1B			
Detailed/Rigorous	<input type="checkbox"/>	Confidence Level	
Order of Magnitude	<input type="checkbox"/>	Confidence Level	
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	Florida PALM			CBA Form 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.				FY2020-21			FY2021-22			FY2022-23			FY2023-24			FY2024-25			TOTAL	
3	Include only one-time project costs in this table. Include any recurring costs in CBA Form 1A.				\$ 38,083,160	\$ 22,291,925			\$ 15,999,669			\$ 22,060,019			\$ 20,795,937			\$ 20,412,315			\$ 139,643,025
4	Item Description (remove guidelines and annotate entries here)	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 to include Independent Verification & Validation (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 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 (SSI Contract)	Contracted Services	\$ 38,083,160		\$ 22,291,925	\$ -		\$ 15,999,669	\$ -		\$ 22,060,019	\$ -		\$ 20,795,937	\$ -		\$ 20,412,315	\$ -		\$ 139,643,025
15	All first-time training costs associated with the project.	Training	Contracted Services	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -
16	Include the quote received from the data center provider 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				\$ 38,083,160	0.00	\$ 22,291,925	\$ -	0.00	\$ 15,999,669	\$ -	0.00	\$ 22,060,019	\$ -	0.00	\$ 20,795,937	\$ -	0.00	\$ 20,412,315	\$ -	\$ 139,643,025

CBAForm 2 - Project Cost Analysis

Agency <u> Dept of Financial Services </u>	Project <u> Florida PALM </u>
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PROJECT COST SUMMARY	PROJECT COST SUMMARY (from CBAForm 2A)					TOTAL
	FY 2020-21	FY 2021-22	FY 2022-23	FY 2023-24	FY 2024-25	
TOTAL PROJECT COSTS (*)	\$22,291,925	\$15,999,669	\$22,060,019	\$20,795,937	\$20,412,315	\$139,643,025
CUMULATIVE PROJECT COSTS <small>(includes Current & Previous Years' Project-Related Costs)</small>	\$60,375,085	\$76,374,754	\$98,434,773	\$119,230,710	\$139,643,025	
Total Costs are carried forward to CBAForm3 Project Investment Summary worksheet.						

PROJECT FUNDING SOURCES	PROJECT FUNDING SOURCES - CBAForm 2B					TOTAL
	FY 2020-21	FY 2021-22	FY 2022-23	FY 2023-24	FY 2024-25	
General Revenue	\$33,443,033	\$33,448,308	\$34,507,321	\$33,293,805	\$33,368,100	\$168,060,567
Trust Fund	\$0	\$0	\$0	\$0	\$0	\$7,018,236
Federal Match <input type="checkbox"/>	\$0	\$0	\$0	\$0	\$0	\$0
Grants <input type="checkbox"/>	\$0	\$0	\$0	\$0	\$0	\$0
Other <input type="checkbox"/> Specify	\$0	\$0	\$0	\$0	\$0	\$0
TOTAL INVESTMENT	\$33,443,033	\$33,448,308	\$34,507,321	\$33,293,805	\$33,368,100	\$168,060,567
CUMULATIVE INVESTMENT	\$33,443,033	\$66,891,341	\$101,398,662	\$134,692,467	\$168,060,567	

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

CBAForm 3 - Project Investment Summary

Agency	<u>Dept of Financial Services</u>	Project	<u>Florida PALM</u>
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<i>COST BENEFIT ANALYSIS -- CBAForm 3A</i>						
	FY 2020-21	FY 2021-22	FY 2022-23	FY 2023-24	FY 2024-25	TOTAL FOR ALL YEARS
Project Cost	\$22,291,925	\$15,999,669	\$22,060,019	\$20,795,937	\$20,412,315	\$139,643,025
Net Tangible Benefits	(\$564,194)	(\$6,297,531)	\$5,001,337	(\$50,566)	(\$457,917)	(\$2,368,871)
Return on Investment	(\$60,939,279)	(\$22,297,200)	(\$17,058,682)	(\$20,846,503)	(\$20,870,232)	(\$142,011,896)
Year to Year Change in Program Staffing	6	0	0	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)	(\$130,782,807)	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 2020-21	FY 2021-22	FY 2022-23	FY 2023-24	FY 2024-25
Cost of Capital	1.94%	2.07%	3.18%	4.32%	4.85%

	B	C	D	E	F	G	H						
3	Project		<i>Florida PALM</i>										
4	Agency		<i>Department of Financial Services</i>										
5	FY 2019-20 LBR Issue Code:		FY 2019-20 LBR Issue Title:										
6	<i>36105C0</i>		<i>FLAIR Replacement</i>										
7	Risk Assessment Contact Info (Name, Phone #, and E-mail Address):												
8	<i>Melissa Turner, (850) 410-9024, melissa.turner@myfloridacfo.com</i>												
9	Executive Sponsor		<i>Ryan West, Chief of Staff</i>										
10	Project Manager		<i>Melissa Turner</i>										
11	Prepared By		<i>Tommy Werner</i>			<i>7/1/2019</i>							
12	Risk Assessment Summary												
14	<table border="1" style="width: 100%; height: 100%;"> <tr> <td style="width: 20%; text-align: center; vertical-align: middle;">Business Strategy</td> <td style="width: 50%;"></td> <td style="width: 30%;"></td> </tr> <tr> <td style="text-align: center; vertical-align: middle;">Level of Project Risk</td> <td style="text-align: center; vertical-align: middle;">Least Risk</td> <td style="text-align: center; vertical-align: middle;">Most Risk</td> </tr> </table>							Business Strategy			Level of Project Risk	Least Risk	Most Risk
Business Strategy													
Level of Project Risk								Least Risk	Most Risk				
15								Most Aligned	Least Aligned				
16													
17													
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31													
32													
34	Project Risk Area Breakdown												
35	Risk Assessment Areas						<i>Risk Exposure</i>						
36	Strategic Assessment						MEDIUM						
37	Technology Exposure Assessment						MEDIUM						
38	Organizational Change Management Assessment						HIGH						
39	Communication Assessment						LOW						
40	Fiscal Assessment						MEDIUM						
41	Project Organization Assessment						MEDIUM						
42	Project Management Assessment						LOW						
43	Project Complexity Assessment						HIGH						
44	Overall Project Risk						MEDIUM						
45													
46													
47													
48													
49													
50													
51													
52													
53													

	B	C	D	E
1	Agency: Department of Financial Services		Project: Florida PALM	
3	Section 1 -- Strategic Area			
4	#	Criteria	Values	Answer
5	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
6			41% to 80% -- Some objectives aligned	
7			81% to 100% -- All or nearly all objectives aligned	
8	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
9			Informal agreement by stakeholders	
10			Documented with sign-off by stakeholders	
11	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 committee meetings
12			Most regularly attend executive steering committee meetings	
13			Project charter signed by executive sponsor and executive team actively engaged in steering committee meetings	
14	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
15			Vision is partially documented	
16			Vision is completely documented	
17	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	81% to 100% -- All or nearly all defined and documented
18			41% to 80% -- Some defined and documented	
19			81% to 100% -- All or nearly all defined and documented	
20	1.06	Are all needed changes in law, rule, or policy identified and documented?	No changes needed	Changes unknown
21			Changes unknown	
22			Changes are identified in concept only	
23			Changes are identified and documented	
24			Legislation or proposed rule change is drafted	
25	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
26			Some	
27			All or nearly all	
28	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
29			Moderate external use or visibility	
30			Extensive external use or visibility	
31	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
32			Single agency-wide use or visibility	
33			Use or visibility at division and/or bureau level only	
34	1.10	Is this a multi-year project?	Greater than 5 years	Greater than 5 years
35			Between 3 and 5 years	
36			Between 1 and 3 years	
37			1 year or less	

	B	C	D	E
1	Agency: Department of Financial Services		Project: Florida PALM	
3	Section 2 -- Technology Area			
4	#	Criteria	Values	Answer
5	2.01	Does the agency have experience working with, operating, and supporting the proposed technical solution in a production environment?	Read about only or attended conference and/or vendor presentation	Supported prototype or production system less than 6 months
6			Supported prototype or production system less than 6 months	
7			Supported production system 6 months to 12 months	
8			Supported production system 1 year to 3 years	
9			Installed and supported production system more than 3 years	
10	2.02	Does the agency's internal staff have sufficient knowledge of the proposed technical solution to implement and operate the new system?	External technical resources will be needed for implementation and operations	External technical resources will be needed for implementation and operations
11			External technical resources will be needed through implementation only	
12			Internal resources have sufficient knowledge for implementation and operations	
13	2.03	Have all relevant technical alternatives/ solution options been researched, documented and considered?	No technology alternatives researched	All or nearly all alternatives documented and considered
14			Some alternatives documented and considered	
15			All or nearly all alternatives documented and considered	
16	2.04	Does the proposed technical solution 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
17			Some relevant standards have been incorporated into the proposed technology	
18			Proposed technology solution is fully compliant with all relevant agency, statewide, or industry standards	
19	2.05	Does the proposed technical solution require significant change to the agency's existing technology infrastructure?	Minor or no infrastructure change required	Extensive infrastructure change required
20			Moderate infrastructure change required	
21			Extensive infrastructure change required	
22			Complete infrastructure replacement	
23	2.06	Are detailed hardware and software capacity requirements defined and documented?	Capacity requirements are not understood or defined	Capacity requirements are based on historical data and new system design specifications and performance requirements
24			Capacity requirements are defined only at a conceptual level	
25			Capacity requirements are based on historical data and new system design specifications and performance requirements	

	B	C	D	E
1	Agency: Department of Financial Services			Project: Florida PALM
3	Section 3 -- Organizational Change Management Area			
4	#	Criteria	Values	Answer
5	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
6			Moderate changes to organization structure, staff or business processes	
7			Minimal changes to organization structure, staff or business processes structure	
8	3.02	Will this project impact essential business processes?	Yes	Yes
9			No	
10	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	81% to 100% -- All or nearly all processes defined and documented
11			41% to 80% -- Some process changes defined and documented	
12			81% to 100% -- All or nearly all processes defined and documented	
13	3.04	Has an Organizational Change Management Plan been approved for this project?	Yes	Yes
14			No	
15	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
16			1% to 10% FTE count change	
17			Less than 1% FTE count change	
18	3.06	Will the number of contractors change as a result of implementing the project?	Over 10% contractor count change	Over 10% contractor count change
19			1 to 10% contractor count change	
20			Less than 1% contractor count change	
21	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)	Minor or no changes
22			Moderate changes	
23			Minor or no changes	
24	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
25			Moderate changes	
26			Minor or no changes	
27	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
28			Recently completed project with fewer change requirements	
29			Recently completed project with similar change requirements	
30			Recently completed project with greater change requirements	

	B	C	D	E	
1	Agency: Agency Name		Project: Project Name		
3	Section 4 -- Communication Area				
4	#	Criteria	Value Options	Answer	
5	4.01	Has a documented Communication Plan been approved for this project?	Yes	Yes	
6			No		
7	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	Routine feedback in Plan	
8					Routine feedback in Plan
9					Proactive use of feedback in Plan
10	4.03	Have all required communication channels been identified and documented in the Communication Plan?	Yes	Yes	
11					No
12	4.04	Are all affected stakeholders included in the Communication Plan?	Yes	Yes	
13					No
14	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	
15					Some key messages have been developed
16					All or nearly all messages are documented
17	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	All or nearly all messages have success measures	
18					Success measures have been developed for some messages
19					All or nearly all messages have success measures
20	4.07	Does the project Communication Plan identify and assign needed staff and resources?	Yes	Yes	
21					No

	B	C	D	E
1	Agency: Department of Financial Services		Project: Florida PALM	
3	Section 5 -- Fiscal Area			
4	#	Criteria	Values	Answer
5	5.01	Has a documented Spending Plan been approved for the entire project lifecycle?	Yes	Yes
6			No	
7	5.02	Have all project expenditures been identified in the Spending Plan?	0% to 40% -- None or few defined and documented	81% to 100% -- All or nearly all defined and documented
8			41% to 80% -- Some defined and documented	
9			81% to 100% -- All or nearly all defined and documented	
10	5.03	What is the estimated total cost of this project over its entire lifecycle?	Unknown	Greater than \$10 M
11			Greater than \$10 M	
12			Between \$2 M and \$10 M	
13			Between \$500K and \$1,999,999	
14			Less than \$500 K	
15	5.04	Is the cost estimate for this project based on quantitative analysis using a standards-based estimation model?	Yes	No
16			No	
17	5.05	What is the character of the cost estimates for this project?	Detailed and rigorous (accurate within ±10%)	Order of magnitude – estimate could vary between 10-100%
18			Order of magnitude – estimate could vary between 10-100%	
19			Placeholder – actual cost may exceed estimate by more than 100%	
20	5.06	Are funds available within existing agency resources to complete this project?	Yes	No
21			No	
22	5.07	Will/should multiple state or local agencies help fund this project or system?	Funding from single agency	Funding from single agency
23			Funding from local government agencies	
24			Funding from other state agencies	
25	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
26			Requested but not received	
27			Requested and received	
28			Not applicable	
29	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
30			Some project benefits have been identified but not validated	
31			Most project benefits have been identified but not validated	
32			All or nearly all project benefits have been identified and validated	
33	5.10	What is the benefit payback period that is defined and documented?	Within 1 year	No payback
34			Within 3 years	
35			Within 5 years	
36			More than 5 years	
37			No payback	
38	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
39			Stakeholders have not been consulted re: procurement strategy	
40			Stakeholders have reviewed and approved the proposed procurement strategy	
41	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
42			Firm Fixed Price (FFP)	
43			Combination FFP and T&E	
44	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	Just-in-time purchasing of hardware and software is documented in the project schedule
45			Purchase all hardware and software at start of project to take advantage of one-time discounts	
46			Just-in-time purchasing of hardware and software is documented in the project schedule	
47	5.14	Has a contract manager been assigned to this project?	No contract manager assigned	Contract manager is the project manager
48			Contract manager is the procurement manager	
49			Contract manager is the project manager	
50			Contract manager assigned is not the procurement manager or the project manager	
51	5.15	Has equipment leasing been considered for the project's large-scale computing purchases?	Yes	Yes
52			No	
53	5.16	Have all procurement selection criteria and outcomes been clearly identified?	No selection criteria or outcomes have been identified	All or nearly all selection criteria and expected outcomes have been defined and documented
54			Some selection criteria and outcomes have been defined and documented	
55			All or nearly all selection criteria and expected outcomes have been defined and documented	
56	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
57			Multi-stage evaluation not planned/used for procurement	
58			Multi-stage evaluation and proof of concept or prototype planned/used to select best qualified vendor	
59	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
60			No, bid response did/will not require proof of concept or prototype	
61			Yes, bid response did/will include proof of concept or prototype	
62			Not applicable	
63				
64				
65				
66				

	B	C	D	E
1	Agency: Department of Financial Services			Project: Florida PALM
3	Section 6 -- Project Organization Area			
4	#	Criteria	Values	Answer
5	6.01	Is the project organization and governance structure clearly defined and documented within an approved project plan?	Yes	Yes
6			No	
7	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
8			Some have been defined and documented	
9			All or nearly all have been defined and documented	
10	6.03	Who is responsible for integrating project deliverables into the final solution?	Not yet determined	System Integrator (contractor)
11			Agency	
12			System Integrator (contractor)	
13	6.04	How many project managers and project directors will be responsible for managing the project?	3 or more	3 or more
14			2	
15			1	
16	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
17			Some or most staff roles and responsibilities and needed skills have been identified	
18			Staffing plan identifying all staff roles, responsibilities, and skill levels have been documented	
19	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
20			No, project manager is assigned 50% or less to project	
21			No, project manager assigned more than half-time, but less than full-time to project	
22			Yes, experienced project manager dedicated full-time, 100% to project	
23	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
24			No, business, functional or technical experts dedicated 50% or less to project	
25			No, business, functional or technical experts dedicated more than half-time but less than full-time to project	
26			Yes, business, functional or technical experts dedicated full-time, 100% to project	
27	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
28			Half of staff from in-house resources	
29			Mostly staffed from in-house resources	
30			Completely staffed from in-house resources	
31	6.09	Is agency IT personnel turnover expected to significantly impact this project?	Minimal or no impact	Moderate impact
32			Moderate impact	
33			Extensive impact	
34	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
35			No	
36	6.11	Are all affected stakeholders represented by functional manager on the change review and control board?	No board has been established	No, all stakeholders are not represented on the board
37			No, only IT staff are on change review and control board	
38			No, all stakeholders are not represented on the board	
39			Yes, all stakeholders are represented by functional manager	

	B	C	D	E
1	Agency: Department of Financial Services		Project: Florida PALM	
3	Section 7 -- Project Management Area			
4	#	Criteria	Values	Answer
5	7.01	Does the project management team use a standard commercially available project management methodology to plan, implement, and control the project?	No	Yes
6			Project Management team will use the methodology selected by the systems integrator	
7			Yes	
8	7.02	For how many projects has the agency successfully used the selected project management methodology?	None	More than 3
9			1-3	
10			More than 3	
11	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
12			Some	
13			All or nearly all	
14	7.04	Have all requirements specifications been unambiguously defined and documented?	0% to 40% -- None or few have been defined and documented	81% to 100% -- All or nearly all have been defined and documented
15			41 to 80% -- Some have been defined and documented	
16			81% to 100% -- All or nearly all have been defined and documented	
17	7.05	Have all design specifications been unambiguously defined and documented?	0% to 40% -- None or few have been defined and documented	81% to 100% -- All or nearly all have been defined and documented
18			41 to 80% -- Some have been defined and documented	
19			81% to 100% -- All or nearly all have been defined and documented	
20	7.06	Are all requirements and design specifications traceable to specific business rules?	0% to 40% -- None or few are traceable	81% to 100% -- All or nearly all requirements and specifications are traceable
21			41 to 80% -- Some are traceable	
22			81% to 100% -- All or nearly all requirements and specifications are traceable	
23	7.07	Have all project deliverables/services and acceptance criteria been clearly defined and documented?	None or few have been defined and documented	All or nearly all deliverables and acceptance criteria have been defined and documented
24			Some deliverables and acceptance criteria have been defined and documented	
25			All or nearly all deliverables and acceptance criteria have been defined and documented	
26	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
27			Only project manager signs-off	
28			Review and sign-off from the executive sponsor, business stakeholder, and project manager are required on all major project deliverables	
29	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	41 to 80% -- Some have been defined to the work package level
30			41 to 80% -- Some have been defined to the work package level	
31			81% to 100% -- All or nearly all have been defined to the work package level	
32	7.10	Has a documented project schedule been approved for the entire project lifecycle?	Yes	Yes
33			No	
34	7.11	Does the project schedule specify all project tasks, go/no-go decision points (checkpoints), critical milestones, and resources?	Yes	Yes
35			No	
36	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 processes
37			Project team uses formal processes	
38			Project team and executive steering committee use formal status reporting processes	
39	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
40			Some templates are available	
41			All planning and reporting templates are available	
42	7.14	Has a documented Risk Management Plan been approved for this project?	Yes	Yes
43			No	
44	7.15	Have all known project risks and corresponding mitigation strategies been identified?	None or few have been defined and documented	All known risks and mitigation strategies have been defined
45			Some have been defined and documented	
46			All known risks and mitigation strategies have been defined	
47	7.16	Are standard change request, review and approval processes documented and in place for this project?	Yes	Yes
48			No	
49	7.17	Are issue reporting and management processes documented and in place for this project?	Yes	Yes
50			No	

	B	C	D	E
1	Agency: Department of Financial Services			Project: Florida PALM
2				
3	Section 8 -- Project Complexity Area			
4	#	Criteria	Values	Answer
5	8.01	How complex is the proposed solution compared to the current agency systems?	Unknown at this time	Similar complexity
6			More complex	
7			Similar complexity	
8			Less complex	
9	8.02	Are the business users or end users dispersed across multiple cities, counties, districts, or regions?	Single location	More than 3 sites
10			3 sites or fewer	
11			More than 3 sites	
12	8.03	Are the project team members dispersed across multiple cities, counties, districts, or regions?	Single location	More than 3 sites
13			3 sites or fewer	
14			More than 3 sites	
15	8.04	How many external contracting or consulting organizations will this project require?	No external organizations	More than 3 external organizations
16			1 to 3 external organizations	
17			More than 3 external organizations	
18	8.05	What is the expected project team size?	Greater than 15	Greater than 15
19			9 to 15	
20			5 to 8	
21			Less than 5	
22	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
23			2 to 4	
24			1	
25			None	
26	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
27			Agency-wide business process change	
28			Statewide or multiple agency business process change	
29	8.08	Has the agency successfully completed a similarly-sized project when acting as Systems Integrator?	Yes	No
30			No	
31	8.09	What type of project is this?	Infrastructure upgrade	Combination of the above
32			Implementation requiring software development or purchasing commercial off the shelf (COTS) software	
33			Business Process Reengineering	
34			Combination of the above	
35	8.10	Has the project manager successfully managed similar projects to completion?	No recent experience	Similar size and complexity
36			Lesser size and complexity	
37			Similar size and complexity	
38			Greater size and complexity	
39	8.11	Does the agency management have experience governing projects of equal or similar size and complexity to successful completion?	No recent experience	Similar size and complexity
40			Lesser size and complexity	
41			Similar size and complexity	
42			Greater size and complexity	

Schedule VI – Detail of Debt Service

(The Department of Financial Services has no submission for this schedule for the Fiscal Year 2020-21 Legislative Budget Request)

Schedule IX – Major Audit Findings and Recommendations

SCHEDULE IX: MAJOR AUDIT FINDINGS AND RECOMMENDATIONS

Budget Period: 2020-2021

Department: Financial Services

Chief Internal Auditor: David Harper, Inspector General

Budget Entity: Office of Inspector General

Phone Number: (850) 413-3112

(1)	(2)	(3)	(4)	(5)	(6)
REPORT NUMBER	PERIOD ENDING	UNIT/AREA	SUMMARY OF FINDINGS AND RECOMMENDATIONS	SUMMARY OF CORRECTIVE ACTION TAKEN	ISSUE CODE
Auditor General Report No. 2019-028	September, 2017	<i>Local Government Financial Reporting System (LOGGER)</i>	<p>Finding 5: The Department of Financial Services (DFS) did not always timely assign annual financial report (AFR) verification responsibilities to DFS personnel nor was AFR information always timely verified. We also identified 80 local governmental entities required to submit 2014-15 fiscal year audit reports to the DFS that did not submit the reports, and DFS records did not always evidence attempts to obtain the reports from those entities. In addition, our comparison of the 2014-15 fiscal year verified report totals generated from the DFS Web-based Local Government Electronic Reporting system to the related AFR data for 10 entities disclosed that the verified report excluded revenues totaling \$14.3 million and expenditures totaling \$14 million that were reported in the individual entity AFRs. Further, DFS records did not evidence electronic or paper copies of the December 2016 verified report provided to statutorily specified parties nor the basis for the data included in the report.</p> <p>Recommendation: To enhance the timeliness of AFR verification and promote the accuracy and reliability of the verified report, the DFS should:</p> <ul style="list-style-type: none"> • Improve LOGGER functionality to identify those entities required to provide audit reports and the AFRs that are ready for verification upon receipt of either an audit report or other prescribed information. • Assign AFRs to DFS personnel for verification as soon as practical. • Make prompt and appropriate attempts to obtain required audit reports and retain documentation, such as e-mails, evidencing such attempts. • Ensure all applicable AFR data accounts are included in the verified report by establishing procedures to require periodic documented comparisons of AFR data accounts to those used in the verified report. 	<p>Ongoing: Based on the information provided, management is in the process of implementing corrective action. The OIG will continue to monitor this finding until management provides sufficient evidence of corrective action implementation for the following:</p> <ol style="list-style-type: none"> 1. DFS's compliance with the statutory requirements relating to AFRs and audit reports, 2. Timely AFR assignment and efforts to obtain audit reports, 3. AFR data account verification, 4. Accurate AFR reporting, Management is in the process of implementing corrective action. 	

REPORT NUMBER	PERIOD ENDING	UNIT/AREA	SUMMARY OF FINDINGS AND RECOMMENDATIONS	SUMMARY OF CORRECTIVE ACTION TAKEN	ISSUE CODE
Auditor General Report No. 2019-068	June, 2018	<i>Florida Accounting Information Resource Subsystem (FLAIR)</i>	<p>Finding 1: The Department did not timely deactivate the FLAIR user accounts with access privileges to the Central Accounting Component and Payroll Component for some former or suspended employees. A similar finding was noted in our report No. 2018-025.</p> <p>Recommendation: We recommend that Department management ensure that the FLAIR user accounts with CAC and Payroll Component access privileges for former or suspended employees are timely deactivated upon the employee's separation or suspension from Department employment.</p>	<p>Ongoing: Based on the information provided, it appears that A&A initiated some corrective action to address the finding. The OIG will continue monitoring the A&A's efforts until documentation is provided that demonstrates procedures for revoking suspended employees are implemented.</p>	
			<p>Finding 2: Change management controls related to hardware and systems software changes for high-risk network devices related to FLAIR need improvement to ensure that only approved hardware and systems software changes are implemented into the production environment. A similar finding was noted in our report No. 2018-025.</p> <p>Recommendation: We again recommend that Department management improve change management controls to ensure that approvals are appropriately documented for all high-risk network device changes prior to implementation into the production environment.</p>	<p>Ongoing: The OIG will continue monitoring OIT's efforts until documentation is provided that demonstrates management controls are implemented to ensure high-risk device changes are approved prior to implementation.</p>	
			<p>Finding 3: As similarly noted in our report No. 2018-025, the Department had not established a comprehensive policy for the performance of background screenings of employees and contracted consultants in positions of special trust. Additionally, background screening processes for contracted consultants need improvement to ensure all consultants are screened prior to the start of the contract and that evidence of the background screenings is maintained. Recommendation: We again recommend that Department management continue efforts to establish a comprehensive Departmentwide background screening policy and related procedures and ensure the timely performance of background screenings of contracted consultants in positions of special trust.</p>	<p>Ongoing: Based on the information provided, the Division of Administration initiated corrective action to address the finding. The OIG will continue monitoring the Division of Administration's efforts until documentation is provided that demonstrates the comprehensive background screening policy is finalized and implemented.</p>	

REPORT NUMBER	PERIOD ENDING	UNIT/AREA	SUMMARY OF FINDINGS AND RECOMMENDATIONS	SUMMARY OF CORRECTIVE ACTION TAKEN	ISSUE CODE
			<p>Finding 4: Certain security controls related to physical security, logical access, user authentication, logging and monitoring, and configuration management continue to need improvement to ensure the confidentiality, integrity, and availability of FLAIR data and other Department IT resources.</p> <p>Recommendation: We again recommend that Department management improve certain security controls related to physical security, logical access, user authentication, logging and monitoring, and configuration management to ensure the confidentiality, integrity, and availability of FLAIR data and other Department IT resources.</p>	<p>Ongoing: Based on the information provided, it appears OIT initiated and implemented some corrective action to address this finding. The OIG will continue to monitor this finding until security controls related to physical security, logical access, user authentication, logging and monitoring, and configuration management are implemented.</p>	
Office of Inspector General Report No. IA 16-502	December, 2017	<i>Audit of the Bureau of Financial Services' Administration of the Department of Financial Services' Purchasing Card Program</i>	<p>Finding 1: There were opportunities to strengthen the sufficiency of BFS's PCard training procedures to ensure Approvers completed the requisite training and that the training was completed prior to the Approver processing PCard transactions.</p> <p>Recommendation: The BFS should strengthen its training procedures to ensure Approvers complete the requisite training prior to granting them the ability to process PCard transactions.</p>	<p>Ongoing: BFS management has initiated corrective actions to strengthen its PCard training procedures, prior to approvers processing PCard transactions. Specifically, BFS has introduced two requirements for PCardholders to have access to WORKS:</p> <ul style="list-style-type: none"> a) A User Profile must be completed, and b) PCardholder/approver training must be completed. <p>BFS Management reported that the only pending element to complete its corrective action, is a proactive report query to reconcile all the cardholders, and approvers with access to WORKS to those who have completed the training and the User Profile Form. The OIG will continue monitoring this finding until full implementation of the corrective action plan.</p>	
			<p>Finding 2: Regarding the BFS's PCard charge review procedures, there were opportunities to improve the identification of potential procurement and other violations of Department policy.</p> <p>Recommendation: The BFS should enhance its post-audit/review procedures to ensure reviews of PCard transactions are thorough and properly and timely identify/address any exceptions. The BFS should coordinate with the Department's Purchasing Section to strengthen controls so PCards are not used for recurring purchases and violations are detected and addressed appropriately.</p>	<p>Ongoing: BFS worked with the Division of Administration and the Office of Purchasing and Contractual Services (OPCS) to issue guidance on proper PCard purchases versus recurring contractual services. These process changes are scheduled to go into effect as of July 1, 2019.</p> <p>The OIG will continue monitoring this finding until these process changes are effective in the new fiscal year and adequately address purchases utilizing PCards.</p>	

REPORT NUMBER	PERIOD ENDING	UNIT/AREA	SUMMARY OF FINDINGS AND RECOMMENDATIONS	SUMMARY OF CORRECTIVE ACTION TAKEN	ISSUE CODE
			<p>Finding 3: There were opportunities to improve the process to ensure spending limit increases had the necessary approvals and justification.</p> <p>Recommendation: The BFS should strengthen controls to ensure Cardholder spending limits are properly authorized, documented and commensurate with the purchasing requirements of the Cardholder's position. Changes in spending limits should be requested via a new Cardholder Profile form and contain proper justification, effective dates, group codes and approval signatures, among other necessary items. PCard policies and procedures should be updated to include all significant PCard Program requirements and to require a periodic review of Cardholder spending limits that are higher than the Department's default limits.</p>	<p>Ongoing: BFS management has initiated corrective action to strengthen controls over PCardholder spending limit increases, approvals, and justification. Additionally, management is in the process of updating PCard manual, program requirements, and procedures. The OIG will continue monitoring the finding until full implementation of management's corrective action plan.</p>	
			<p>Finding 4: The Year-end financial statement preparation processes could be improved to ensure there were procedures to verify the completeness of PCard transactions for financial reporting purposes.</p> <p>Recommendation: The BFS should enhance its year-end processes to include a review of PCard activity that may need to be accrued for financial reporting purposes.</p>	<p>Ongoing: BFS management has developed a new year-end task checklist by division, and trust fund. Also, management updated its Certified forward procedures to include special instructions for PCard processing. The bureau plans to review the year-end data of posted unpaid transactions to assess the need for creating payables.</p> <p>BFS management has initiated corrective actions and plans to implement them at the current fiscal-year end. The OIG will continue monitoring this finding until its year-end procedures for PCard financial reporting are fully implemented.</p>	

REPORT NUMBER	PERIOD ENDING	UNIT/AREA	SUMMARY OF FINDINGS AND RECOMMENDATIONS	SUMMARY OF CORRECTIVE ACTION TAKEN	ISSUE CODE
			<p>Finding 5: The BFS's Florida Accounting Information Resource (FLAIR) PCard access review procedures could be improved to ensure quarterly access reviews were completed and performed by an appropriate supervisor. Recommendation: BFS should enhance its application access review procedures to ensure access reviews are timely and properly completed, consistent with AP&P 4-05.</p>	<p>Ongoing: The original finding #5 references BFS's FLAIR PCard access review procedures. Since April 2018, the BFS uses WORKS instead of FLAIR for all cardholders' and approvers' access to PCard. Therefore, the application access review procedures are now related to WORKS.</p> <p>The new IP&P 2.10 Works Access Control requires quarterly access control reviews of all DFS PCard cardholders and approvers. The BFS PCard Section staff produced a report of DFS supervisor email addresses and sent a memo January 14, 2019, requesting them to review their employees' Works access and note any changes. When some of the supervisors did not respond by the January 22, 2019 due date, BFS sent a second notice. The BFS did not receive the missing responses by January 31, 2019.</p> <p>Section E.6 of IP&P 2.10, Works Access Verification, requires that if BFS receives no responses by the follow-up deadline, the Bureau Chief escalates to the Director of Finance and Budget, who will then address with appropriate leadership. The DFS supervisor email address report did not include the supervisors' management contact information, that hindered further follow-up. Additionally, competing work priorities of the Enterprise Travel System implementation used-up BFS resources. As a result, the Bureau Chief did not have the required contact information to complete the E.6. Work Access Verification part of its IP&P 2.10.</p> <p>BFS will work with appropriate management to ensure performance of quarterly access control reviews for all relevant DFS employees with PCard access in WORKS.</p>	

REPORT NUMBER	PERIOD ENDING	UNIT/AREA	SUMMARY OF FINDINGS AND RECOMMENDATIONS	SUMMARY OF CORRECTIVE ACTION TAKEN	ISSUE CODE
Auditor General Report No. 2018-025	June, 2017	<i>Florida Accounting Information Resource Subsystem (FLAIR) and Origami Risk Insurance Management System (Origami)</i>	<p>Finding 1: The access privileges for some FLAIR users did not promote an appropriate separation of duties and did not restrict users to only those functions necessary for assigned job duties.</p> <p>Recommendation: Department management should limit user access privileges to FLAIR to promote an appropriate separation of duties and to restrict users to only those access privileges and functions necessary for the users' assigned job duties. In doing so, Department management should ensure that the FLAIR access privileges of former employees are timely deactivated. We also recommend that Department management ensure that, prior to implementation into the production environment, program changes are reviewed by an individual not associated with the program changes.</p>	<p>Ongoing: The Department implemented some procedures to limit access to FLAIR to promote an appropriate segregation of duties and limit system functions assigned to users' assigned roles. The Department continues to evaluate procedures to limit access to FLAIR to promote segregation of duties to FLAIR functions and program change implementations.</p>	
			<p>Finding 2: The Department's procedures and processes for assigning FLAIR user access privileges and conducting periodic reviews of these privileges need improvement to ensure access privileges assigned to users remain appropriate.</p> <p>Recommendation: Department management should ensure that FLAIR access review procedures are current and that the access privileges granted for all applicable FLAIR functions are reviewed.</p>	<p>Ongoing: The Department implemented some procedures for assigning and reviewing FLAIR user access privileges. The Department continues to evaluate procedures to assign and review FLAIR user access privileges.</p>	
			<p>Finding 3: Change management controls related to hardware and systems software changes for network devices related to FLAIR need improvement to ensure that only approved hardware and systems software changes are implemented into the production environment.</p> <p>Recommendation: Department management should improve change management controls to ensure that approvals are appropriately documented for all network device changes prior to implementation into the production environment.</p>	<p>Ongoing: The Department is evaluating change management controls to ensure only approved and documented hardware and software changes are implemented in the production environment.</p>	
			<p>Finding 4: The Department had not established a comprehensive policy for the performance of background screenings of employees and consultants in positions of special trust. Additionally, required background screenings for employees and consultants were not always performed.</p> <p>Recommendation: We recommend that Department management continue efforts to establish a comprehensive background screening policy and ensure the timely performance and reperformance of required background screenings for employees and consultants in positions of special trust, responsibility, or sensitive location.</p>	<p>Ongoing: The Department's comprehensive background screening policy is being finalized.</p>	

REPORT NUMBER	PERIOD ENDING	UNIT/AREA	SUMMARY OF FINDINGS AND RECOMMENDATIONS	SUMMARY OF CORRECTIVE ACTION TAKEN	ISSUE CODE
			<p>Finding 5: Certain security controls related to physical security, access controls, user authentication, logging and monitoring, and configuration management need improvement to ensure the confidentiality, integrity, and availability of FLAIR data and other Department IT resources.</p> <p>Recommendation: We recommend that Department management improve certain security controls related to physical security, access controls, user authentication, logging and monitoring, and configuration management to ensure the confidentiality, integrity, and availability of FLAIR data and other Department IT resources.</p>	<p>Ongoing: The Department continues to address security controls.</p>	
Auditor General Report No. 2018-068	June, 2017	<i>Office of Inspector General's Internal Audit Activity</i>	<p>Finding 1: The internal audit activity can better demonstrate compliance with IIA Standards by appropriately restricting access to audit working papers.</p> <p>Recommendation: The Inspector General should enhance audit working paper controls to ensure that only internal auditors assigned to an engagement have update access privileges to the working papers and that access to the working papers is appropriately removed after the completion of an engagement.</p>	<p>Ongoing: The Inspector General is evaluating access controls to limit access to audit working papers.</p>	
Auditor General Report No. 2018-189	June, 2017	<i>State of Florida Compliance and Internal Controls over Financial Reporting and Federal Awards</i>	<p>Finding 2017-003: FDFS procedures for preparing the Schedule of Expenditures of Federal Awards (SEFA) were not sufficient to ensure that the SEFA and related notes were accurate and presented in accordance with Federal and other guidelines.</p> <p>Recommendation: The Department should enhance review procedures to ensure that the amounts and information reported on the SEFA and notes to the SEFA are accurate and presented in accordance with Federal and other guidelines.</p>	<p>Ongoing: The Department is enhancing review procedures for the amounts and information reported on the SEFA.</p>	
			<p>Finding AM 2017-01: The Department, Statewide Financial Reporting Section (SFRS), did not appropriately classify a portion of the fund balances of the General Fund as committed.</p> <p>Recommendation: The SFRS should strengthen fiscal year-end reporting procedures to ensure that fund balance classifications for the General Fund are appropriately reported.</p>	<p>Closed. The Department updated its CAFR Tasks List to ensure that the fund balance reclassification is timely performed.</p>	

REPORT NUMBER	PERIOD ENDING	UNIT/AREA	SUMMARY OF FINDINGS AND RECOMMENDATIONS	SUMMARY OF CORRECTIVE ACTION TAKEN	ISSUE CODE
Auditor General Report No. 2018-210	March, 2018	<i>Unclaimed Property Management Information System, Division of Unclaimed Property, and Office of Information Technology</i>	<p>Finding 1: The Department did not conduct an annual inventory audit of the unclaimed property vault during 2017 and could not demonstrate that the required background screenings had been performed for two employees who participated in the 2016 annual inventory audit.</p> <p>Recommendation: Department management should ensure that the annual inventory audit of the unclaimed property vault is timely performed and that all team members conducting the audit have received the required background screening, including fingerprinting, within the preceding 6 months of the inventory audit.</p>	The Division updated the procedures for the annual unclaimed property vault inventory (inventory). Additionally, the Division completed background screenings for staff that performed and completed the inventory during December 2018. It appears the Division implemented the corrective actions, as indicated.	
			<p>Finding 2: Certain security controls related to user authentication need improvement to ensure the confidentiality, integrity, and availability of UPMIS data and Department IT resources.</p> <p>Recommendation: Department management should improve certain UPMIS security controls related to user authentication to ensure the confidentiality, integrity, and availability of UPMIS data and Department IT resources.</p>	The Department continues to address security controls. Per the Division, the expected completion date for corrective action is September 2019.	
Auditor General Report No. 2018-211	June, 2017	<i>Division of State Fire Marshal and Information Technology Controls, Office of Information Technology</i>	<p>Finding 1: The Bureau of Fire Prevention could not demonstrate that all buildings subject to fire safety inspections were included in CitizenServe. Additionally, CitizenServe included inaccurate and incomplete building inspection data.</p> <p>Recommendation: The Bureau of Fire Prevention management should perform procedures to verify the completeness of CitizenServe data and input into CitizenServe the USNG coordinates for all buildings subject to inspection. Additionally, Bureau management should enhance policies and procedures for documenting building inspection data in CitizenServe and periodically review the accuracy and completeness of CitizenServe data.</p>	Based on management responses and supporting documentation, the corrective action taken has addressed the finding.	

REPORT NUMBER	PERIOD ENDING	UNIT/AREA	SUMMARY OF FINDINGS AND RECOMMENDATIONS	SUMMARY OF CORRECTIVE ACTION TAKEN	ISSUE CODE
			<p>Finding 2: Contrary to State law, the Bureau of Fire Prevention did not inspect certain State-owned buildings designated as high-hazard during the 2015-16 fiscal year.</p> <p>Recommendation: The Bureau of Fire Prevention management should establish procedures to ensure that all high-hazard buildings are inspected annually as required by State law. Such procedures should include efforts to identify any high-hazard buildings that were not timely inspected.</p>	<p>Based on management responses and supporting documentation provided, the corrective action taken addressed the finding. The Bureau of Fire Prevention has enacted a procedure to ensure monthly, quarterly and semi-annual building inspection reviews are conducted by individual inspectors and their supervisors.</p>	
			<p>Finding 3: Bureau of Fire Prevention policies and procedures did not specify the methodology for conducting and documenting inspections, communicating inspection results, or following up on noted violations. Additionally, inspections and follow-up inspection activities were not always adequately documented.</p> <p>Recommendation: The Bureau of Fire Prevention management should enhance Bureau policies and procedures to specify the methodology for conducting and documenting inspection activities, communicating inspection results, and following up on noted violations. Additionally, Bureau management should ensure that inspections and follow-up inspection activities are appropriately documented in CitizenServe.</p>	<p>Based on management responses and supporting documentation, the corrective action taken addressed the finding. The Bureau has enacted an amendment effective 1/31/19 to its Annual Life Safety Inspection Procedures policy to mandate required timeframes for follow-up inspections and documentation of those follow-ups. All six regional supervisors in accordance with the current procedure have verified that all high-hazard building inspections in their regions have been completed and reviewed.</p>	
			<p>Finding 4: Bureau of Fire Prevention policies and procedures did not address the inspection and plan review fee invoicing process and the Bureau had not analyzed whether fire safety inspection and plan review fees are sufficient to recover inspection and review costs since the fees were established in 2001. In addition, the Bureau did not always invoice or calculate inspection and plan review fees in accordance with State law and Department rules.</p> <p>Recommendation: The Bureau of Fire Prevention management should establish policies and procedures addressing the inspection and plan review fee invoicing process. Additionally, Bureau management should calculate and collect inspection and plan review fees in accordance with State law and Department rules.</p>	<p>The Division's rulemaking proceedings to change the fee structure of the fire safety inspection and plan review fees are in process with anticipated completion by December 31, 2019. The OIG will continue to monitor the progress until the Division has fully addressed the finding.</p> <p>On August 13, 2019, the Division of State Fire Marshal indicated the following: The Bureau has not been able to enter into rulemaking yet, but still plans to complete rulemaking to change the fee structure to represent a calculation methodology that remains in accordance with State law, but also provides a fair and easy means of calculation, while providing a valued service to the state (Draft rule 69A-52.004, F.A.C.)</p>	
			<p>Finding 5: The Bureau of Fire Prevention did not receive payment of inspection fees due from State universities.</p> <p>Recommendation: Division management should continue to quantify the inspection fees due from the State universities so that the State University System Board of Governors can request the applicable amount of funding.</p>	<p>The Division has implemented the corrective action. The Division continues to invoice the State University System Board of Governors for all inspections conducted of State Universities on an annual basis.</p>	

REPORT NUMBER	PERIOD ENDING	UNIT/AREA	SUMMARY OF FINDINGS AND RECOMMENDATIONS	SUMMARY OF CORRECTIVE ACTION TAKEN	ISSUE CODE
			<p>Finding 6: Bureau of Fire Standards and Training records did not always demonstrate that Florida State Fire College instructors met certification requirements.</p> <p>Recommendation: The Bureau of Fire Standards and Training management should ensure that Bureau records evidence that all Fire College instructors met the certification requirements specified in Department rules.</p>	<p>Department management implemented procedures to ensure the BFST verified all of the BFST instructors' requirements and qualifications.</p>	
			<p>Finding 7: Certain security controls related to user authentication for CitizenServe and the Fire College Department of Insurance Continuing Education (FCDICE) System need improvement to ensure the confidentiality, integrity, and availability of Department data and related information technology resources.</p> <p>Recommendation: Department management should enhance certain security controls related to CitizenServe and FCDICE System user authentication to ensure the confidentiality, integrity, and availability of Department data and related IT resources.</p>	<p>Certain security controls related to user authentication for CitizenServe and the FCDICE System were enhanced.</p>	
			<p>Finding 8: During the period July 2015 through January 2017, the Division of State Fire Marshal did not conduct periodic reviews of CitizenServe or FCDICE System user access privileges.</p> <p>Recommendation: Division management should establish a process that ensures access control administrators conduct and document periodic reviews of user access privileges to CitizenServe and the FCDICE System to verify the continued appropriateness of assigned user access privileges.</p>	<p>The SFM implemented procedures for periodic reviews of CitizenServe and FCDICE access.</p>	

REPORT NUMBER	PERIOD ENDING	UNIT/AREA	SUMMARY OF FINDINGS AND RECOMMENDATIONS	SUMMARY OF CORRECTIVE ACTION TAKEN	ISSUE CODE
			<p>Finding 9: Department records did not evidence that CitizenServe access privileges were timely deactivated upon an employee's separation from Department employment. Additionally, Department supervisors sometimes used CitizenServe user accounts after an employee separated from Department employment and the Department did not always timely deactivate user access privileges to the FCDICE System upon an employee's separation from Department employment.</p> <p>Recommendation: Department management should retain sufficient CitizenServe access control records to demonstrate that user access privileges are timely deactivated upon a user's separation from Department employment or when the access privileges are no longer required. Additionally, Department management should ensure that CitizenServe and FCDICE System access privileges are timely deactivated and not utilized by other Department personnel after a user separates from Department employment.</p>	<p>The Bureau of Fire Prevention implemented procedures to deactivate separated Department employee access to CitizenServe. Procedures for deactivate separated Department employee access to FCDICE are drafted for leadership signatures. The OIG will continue to monitor the corrective action for this finding.</p>	
			<p>Finding 10: The Department did not make or obtain an independent and periodic assessment of the effectiveness of relevant service organization controls for CitizenServe.</p> <p>Recommendation: Because of the critical nature of CitizenServe data, Department management should make or obtain an independent and periodic assessment of the service organization's relevant internal controls.</p>	<p>The OIT provided contract language to the SFM for an annual independent audit for CitizenServe's system. The SFM contract with CitizenServe was modified to include a required annual independent audit.</p>	
			<p>Finding 11: Contrary to State law, the Department's Information Security Manager did not report directly to the Chief Financial Officer.</p> <p>Recommendation: Department management should take steps to ensure that the Department ISM reports directly to the Chief Financial Officer in accordance with State law.</p>	<p>Department management implemented procedures to ensure the ISM reports directly to the Chief Financial Officer.</p>	

SCHEDULE IX: MAJOR AUDIT FINDINGS AND RECOMMENDATIONS

Budget Period: 2020 - 2021

Department: Office of Insurance Regulation

Chief Internal Auditor: Deanna Sablan

Budget Entity: 43900120

Phone Number: (850) 414-3113

(1)	(2)	(3)	(4)	(5)	(6)
REPORT NUMBER	PERIOD ENDING	UNIT/AREA	SUMMARY OF FINDINGS AND RECOMMENDATIONS	SUMMARY OF CORRECTIVE ACTION TAKEN	ISSUE CODE
AUD-1819-013 OIR-OIG	6/18/2019	Audit of the Protection of Trade Secret Information	<p>Finding 1: Property and Casualty Product Review-Rates (PCPR-Rates) staff were inconsistent with electronic storage locations of trade secret information, making it more difficult to identify all trade secret information requiring protection from unauthorized disclosure. A specific location was not designated, and staff individually made that determination. In some instances, trade secret documents were stored on the C-drive against stated policy. Management was reviewing alternative corrective actions and/or processes to ensure trade secret information is properly identified and stored.</p> <p><i>OIG recommended management continue with its efforts to safeguard trade secret information and implement effective storage solutions.</i></p>	<p>Corrective Action 1: Management concurred with the recommendation and will continue its ongoing efforts to safeguard trade secret information and implement the recommendation.</p>	
AUD-1819-013 OIR-OIG	6/18/2019	Audit of the Protection of Trade Secret Information	<p>Finding 2: Current PCPR-Rates practices of using email to communicate supervisor reviews and provide weekly meeting packets created additional copies of trade secret documents, increasing the burden of identifying all trade secret documents/information requiring protection from unauthorized disclosure. Management was reviewing alternative corrective actions and/or processes to implement that will limit the sending of trade secret documents internally via email.</p> <p><i>OIG recommended management continue with its efforts to safeguard trade secret information and implement solutions that minimize duplication of trade secret information.</i></p>	<p>Corrective Action 2: Management concurred with the recommendation and will continue its ongoing efforts to safeguard trade secret information and implement the recommendation.</p>	

AUD-1819-013 OIR-OIG	6/18/2019	Audit of the Protection of Trade Secret Information	<p>Finding 3: Users were not required to re-authenticate when accessing documents generated from a previous search request. As a result, there was an increased risk of an unauthorized individual gaining access to trade secret information. Management was reviewing alternative corrective actions and/or processes to ensure subsequent access is limited to authorized users.</p> <p><i>OIG recommended management continue with its efforts to identify and implement corrective actions that ensure access to trade secret information is limited to authorized users.</i></p>	<p>Corrective Action 3: Management concurred with the recommendation and will continue its ongoing efforts to safeguard trade secret information and implement the recommendation.</p>	
AUD-1819-013 OIR-OIG	6/18/2019	Audit of the Protection of Trade Secret Information	<p>Finding 4: Emails containing trade secret information and sent externally through EDMS were not encrypted per required policies and standards, increasing the risk of unintended disclosure of trade secret information. Management was reviewing alternative corrective actions and/or processes to implement to ensure emails with trade secret information is safeguarded when sent outside the network.</p> <p><i>OIG recommended management continue with its efforts to identify and implement corrective actions that will safeguard trade secret information sent externally via email.</i></p>	<p>Corrective Action 4: Management concurred with the recommendation and will continue its ongoing efforts to safeguard trade secret information and implement the recommendation.</p>	
AUD-1819-013 OIR-OIG	6/18/2019	Audit of the Protection of Trade Secret Information	<p>Finding 5: There was a possible delay from the time documents were uploaded to EDMS by certain PCPR-Rates staff to when they were marked as trade secret by a separate group and suppressed from public view. As a result, there was a potential risk of exposure and release of trade secret information. Management was alerted to this issue and revised its process to ensure uploaded trade secret documents were immediately marked and suppressed from public view.</p> <p><i>OIG recommended management continue with its efforts to safeguard trade secret information uploaded to EDMS until its replacement with IRFS.</i></p>	<p>Corrective Action 5: Management concurred with the recommendation and took immediate corrective action to safeguard trade secret information.</p>	
AUD-1718-072 OIR-OIG	9/24/2018	Audit for Compliance with the Fair Labor Standards Act	<p>Finding 1: OIR maintained documentation to support FLSA exemption reviews on all but twenty-six (26) employees. It was later determined the reviews had been performed with respective documentation forwarded to the Department of Financial Services - Bureau of Human Resource Management. However, OIR did not maintain these records in its files and was unable to provide them during the course of the audit.</p> <p><i>OIG recommended management take appropriate action to ensure FLSA exemption records are properly maintained and readily available for examination or review.</i></p>	<p>Corrective Action 1: Management acknowledged the recommendation and will ensure FLSA exemption records are properly maintained and readily available for examination or review.</p> <p>Management obtained the missing records and implemented procedures to include maintaining a copy of the original appointment or classification action request in the OIR management file for each employee.</p>	

AUD-1718-072 OIR-OIG	9/24/2018	Audit for Compliance with the Fair Labor Standards Act	<p><u>Finding 2:</u> Certain employee positions did not meet FLSA exemption requirements. There were a total of 165 positions classified under the administrative, professional, and executive exemption categories; of those, fifteen (15) did not meet the exemption criteria.</p> <p><i>OIG recommended management continue with its efforts to review employees' duties and responsibilities to ensure they have been properly classified as exempt for overtime pay in accordance with FLSA requirements.</i></p>	<p><u>Corrective Action 2:</u> Management acknowledged the recommendation and will continue efforts to review employees' duties and responsibilities to ensure they have been properly classified as exempt for overtime pay in accordance with FLSA requirements. Management has corrected four of the fifteen positions, and is working to ensure the remaining positions are appropriately classified. Additionally, a new FLSA exemption test is required to be included with the proposed position description and classification action request package.</p>	
AUD-16/17-065 OIR-OIG	7/3/2017	Audit of OIR Authorized Mobile Devices	<p><u>Finding 1:</u> OIR has an opportunity to formalize and define the mobile device inventory management process and enhance internal control activities to ensure proper stewardship and accountability over OIR resources.</p> <p><i>OIG recommended OIR implement a formalized and defined mobile device inventory management process and enhance internal control activities to ensure proper stewardship and accountability over OIR resources. Key areas include the following:</i></p> <ul style="list-style-type: none"> <i>* Define the roles and responsibilities over OIR authorized mobile devices</i> <i>* Obtain authorized written approvals prior to issuing mobile devices</i> <i>* Complete respective Property Transfer Forms for each issuance, return, and reissuance of mobile devices</i> <i>* Maintain an accurate and complete inventory of mobile devices</i> <i>* Establish a central repository of all inventory-related records to ensure such records are complete, accurate, current, and readily available for effective monitoring</i> 	<p><u>Corrective Action 1:</u> Management acknowledged the recommendation and has implemented a formalized, appropriate, and enhanced mobile device inventory management process to ensure proper accountability of Office resources. This includes defining key roles and responsibilities; requiring written justifications and approvals; requiring a Property Transfer Form for each issuance, return, and reissuance of a mobile device or tablet; purchasing software for the Market Research and Technology Unit to automate the IT inventory process over tablets, laptops, and desktops; maintaining a separate inventory record for smartphones; and updating the employee separation form to include the return of assigned IT and mobile device equipment.</p>	

SCHEDULE IX: MAJOR AUDIT FINDINGS AND RECOMMENDATIONS

Budget Period: 2018 - 2019

Department: Office of Financial Regulation
43-84-00-00-000 - Agency Wide
Budget Entity: 43-84-30-00-000 - Division of Financial Institutions

Inspector General Bradley Perry

Phone Number: 850-410-9674

(1)	(2)	(3)	(4)	(5)	(6)
REPORT NUMBER	PERIOD ENDING	UNIT/AREA	SUMMARY OF FINDINGS AND RECOMMENDATIONS	SUMMARY OF CORRECTIVE ACTION TAKEN	ISSUE CODE
Auditor General Report No. 2019-104	6/30/2019	Office of Financial Regulation Division of Securities and Prior Audit Follow-up	<p><u>Finding 4: REAL System Access Controls</u></p> <p>The Office did not always timely deactivate user access privileges to the REAL system upon an employee's separation from Office employment.</p> <p>Recommendation: We recommend that Office management strengthen controls to ensure that REAL system access privileges are timely deactivated upon an employee's separation from Office employment.</p>	<p>Follow-up to the AG Report was performed in FY 2018-2019. A secondary follow-up will be performed in FY 2019-2020.</p> <p>Management's Response to OIG (1st 6-month Follow-up):</p> <p>The Office modified existing policy on 2/6/2019. The changes include requirements that, 1) management timely notify designated staff of an employee separation; 2) designated staff accomplish deactivation from REAL within five (5) business dates of employee separation; and 3) designated staff participate in and followup to quarterly access reviews.</p> <p>In an effort to further enhance controls over employee separation notifications, the Office is drafting new separation procedures.</p>	
OFR OIG Internal Audit A-1819OFR-006	6/30/2019	Audit of the Division of Financial Institutions	<p><u>Finding 3: REAL Access Controls</u></p> <p>We examined access privilege records for 14 Division employees who left employment between July 1, 2018 and December 31, 2018, as well as 4 Division employees who left employment prior to that period to determine whether the employee had appropriate access privileges for their position, their access privileges had been timely deactivated, and to determine whether the quarterly review process was working. Our examination disclosed the following exceptions:</p> <ul style="list-style-type: none"> • REAL system user access privileges for 15 Division employees remained active 112 to 234 business days (an average of 59 business days) after the employee's separation dates; however, their network access controls had been terminated within the appropriate time; and, • the quarterly reviews conducted during the audit period and the quarter after did not catch an employee on the list that had separated on August 1, 2018 from staying on the list of active users. <p>Recommendation: The OIG recommends that the Division improve REAL system controls to demonstrate that user privileges were deactivated within 5 working days of a user's separation from OFR employment and to ensure that the quarterly access review process effectively serves to find any separated employees that may have been missed.</p>	<p>Follow-up will be performed in FY 2019-2020.</p> <p>Management's Response:</p> <p>Agency leadership is currently developing a desk procedure related to an employee separation notification process to ensure proper implementation of OFR AP&P 6-2. REAL System Security Access Procedure. Once final, the Division will work to incorporate that procedure to ensure deactivation of user access privileges within 5 working days of a user's separation.</p>	

Fiscal Year 2020-21 LBR Technical Review Checklist

Department/Budget Entity (Service): FINANCIAL SERVICES
Agency Budget Officer/OPB Analyst Name: TERI MADSEN

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

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

1. GENERAL

1.1 Are Columns A01, A04, A05, A94, A95, A96, A36, A10, 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 (no trust fund files for narrative columns)? Is Column A02 set to TRANSFER CONTROL for DISPLAY status and MANAGEMENT CONTROL for UPDATE status for the Trust Fund Files (the Budget Files should already be on TRANSFER CONTROL for DISPLAY and MANAGEMENT CONTROL for UPDATE)? Are Columns A06, A07, A08 and A09 for Fixed Capital Outlay (FCO) set to TRANSFER CONTROL for DISPLAY status only (UPDATE status remains on OWNER)? (CSDI or Web LBR Column Security)	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 Column A12 security been set correctly to ALL for DISPLAY status and MANAGEMENT CONTROL for UPDATE status for Budget and Trust Fund files? (CSDR, CSA)	Y	Y	Y	Y	Y
TIP The agency should prepare the budget request for submission in this order: 1) Copy Column A03 to Column A12, and 2) Lock columns as described above. A security control feature has been added to the LAS/PBS Web upload process that will require columns to be in the proper status before uploading to the portal.					

2. EXHIBIT A (EADR, EXA)

2.1 Is the budget entity authority and description consistent with the agency's LRPP and does it conform to the directives provided on page 58 of the LBR Instructions?	Y	Y	Y	Y	Y
2.2 Are the statewide issues generated systematically (estimated expenditures, nonrecurring expenditures, etc.) included?	Y	Y	Y	Y	Y
2.3 Are the issue codes and titles consistent with Section 3 of the LBR Instructions (pages 15 through 28)? Do they clearly describe the issue?	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.	N/A	N/A	N/A	N/A	N/A
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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
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.					

Action		Program or Service (Budget Entity Codes)				
		43010	43100	43200	43300	43400
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, a 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 [with a \$5,000 allowance] 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 [with a \$5,000 allowance at the department level] 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 2018-19 approved budget. Amounts should be positive. The \$5,000 allowance is necessary for rounding.					
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. Note that there is a \$5,000 allowance at the department level.					
6. EXHIBIT D-3 (ED3R, ED3) (Not required in the LBR - for analytical purposes only.)						
6.1	Are issues appropriately aligned with appropriation categories?	Y	Y	Y	Y	Y
TIP	Exhibit D-3 is not 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) (Required to be posted to the Florida Fiscal Portal)						
7.1	Are the issue titles correct and do they clearly identify the issue? (See pages 15 through 28 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 pages 66 through 68 of the LBR Instructions.)	Y	Y	Y	Y	Y

Action		Program or Service (Budget Entity Codes)				
		43010	43100	43200	43300	43400
7.3	Does the narrative for Information Technology (IT) issue follow the additional narrative requirements described on pages 68 through 70 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. (See pages 94 and 95 of the LBR Instructions.)	Y	Y	Y	Y	Y
7.8	Does the issue narrative include the Consensus Estimating Conference forecast, where appropriate?	N/A	N/A	Y	N/A	Y
7.9	Does the issue narrative reference the specific county(ies) where applicable?	N/A	N/A	N/A	N/A	N/A
7.10	Do the 160XXX0 issues reflect budget amendments that have been approved (or in the process of being approved) and that have a recurring impact (including Lump Sums)? Have the approved budget amendments been entered in Column A18 as instructed in Memo #20-002?	Y	Y	Y	Y	Y
7.11	When appropriate are there any 160XXX0 issues included to delete positions placed in reserve in the LAS/PBS Position and Rate Ledger (e.g. unfunded grants)? Note: Lump sum appropriations not yet allocated should <u>not</u> be deleted. (PLRR, PLMO)	Y	Y	Y	Y	Y
7.12	Does the issue narrative include plans to satisfy additional space requirements when requesting additional positions?	Y	Y	Y	Y	Y
7.13	Has the agency included a 160XXX0 issue and 210XXXX and 260XXX0 issues as required for lump sum distributions?	N/A	N/A	N/A	N/A	N/A
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 issue codes relating to special <i>salary and benefits</i> issues (e.g., position reclassification, pay grade adjustment, overtime/on-call pay, etc.) have an "A" in the fifth position of the issue code (XXXXAXX) and are they self-contained (not combined with other issues)? (See pages 27 and 90 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, 24010C0, 30010C0, 33011C0, 160E470, or 160E480)?	Y	Y	Y	Y	Y
7.18	Are the issues relating to <i>major audit findings and recommendations</i> properly coded (4A0XXX0, 4B0XXX0)?	N/A	N/A	N/A	N/A	N/A
7.19	Does the issue narrative identify the strategy or strategies in the Five Year Statewide Strategic Plan for Economic Development?	N/A	N/A	N/A	N/A	N/A
AUDIT:						
7.20	Does the General Revenue for 160XXXX (Adjustments to Current Year Expenditures) issues net to zero? (GENR, LBR1)	N/A	N/A	N/A	N/A	N/A
7.21	Does the General Revenue for 180XXXX (Intra-Agency Reorganizations) issues net to zero? (GENR, LBR2)	N/A	N/A	N/A	N/A	N/A
7.22	Does the General Revenue for 200XXXX (Estimated Expenditures Realignment) issues net to zero? (GENR, LBR3)	N/A	N/A	N/A	N/A	N/A

Action		Program or Service (Budget Entity Codes)				
		43010	43100	43200	43300	43400
7.23	Have FCO appropriations been entered into the nonrecurring column (A04)? (GENR, LBR4 - Report should print "No Records Selected For Reporting" or a listing of D-3A issue(s) assigned to Debt Service (IOE N) or in some cases State Capital Outlay - Public Education Capital Outlay (IOE L))	Y	Y	Y	Y	Y
TIP	Salaries and Benefits amounts entered using the OADA/C transactions must be thoroughly justified in the D-3A issue narrative. Agencies can run OADA/OADR from STAM to identify the amounts entered into OAD and ensure these entries have been thoroughly explained in the D-3A issue narrative.					
TIP	The issue narrative must completely and thoroughly explain and justify each D-3A issue. Agencies must ensure it provides the information necessary for the OPB and legislative analysts to have a complete understanding of the issue submitted. Thoroughly review pages 66 through 70 of the LBR Instructions.					
TIP	Check BAPS to verify status of budget amendments. Check for reapprovals not picked up in the General Appropriations Act. Verify that Lump Sum appropriations in Column A02 do not appear in Column A03. Review budget amendments to verify that 160XXX0 issue amounts correspond accurately and net to zero for General Revenue funds.					
TIP	If an agency is receiving federal funds from another agency the FSI should = 9 (Transfer - Recipient of Federal Funds). The agency that originally receives the funds directly from the federal agency should use FSI = 3 (Federal Funds).					
TIP	If an appropriation made in the FY 2019-20 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) (Required to be posted to the Florida Fiscal Portal)						
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 section 215.32(2)(b), Florida Statutes - including the Schedule ID and applicable legislation?	Y	Y	Y	Y	Y
8.9	Are the revenue codes correct? In the case of federal revenues, has the agency appropriately identified direct versus indirect receipts (object codes 000700, 000750, 000799, 001510 and 001599)? For non-grant federal revenues, is the correct revenue code identified (codes 000504 001270 001870 001970)?	Y	Y	Y	Y	Y
8.10	Are the statutory authority references correct?	Y	Y	Y	Y	Y

Action		Program or Service (Budget Entity Codes)				
		43010	43100	43200	43300	43400
8.11	Are the General Revenue Service Charge percentage rates used for each revenue source correct? (Refer to section 215.20, Florida Statutes, 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?	N/A	N/A	N/A	N/A	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 FST'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, Section III?	Y	Y	Y	Y	Y
8.25	Are current year September operating reversions (if available) appropriately shown in column A02, Section III?	Y	Y	Y	Y	Y
8.26	Does the Schedule IC properly reflect the unreserved fund balance for each trust fund as defined by the LBR Instructions, and is it reconciled to the agency accounting records?	Y	Y	Y	Y	Y
8.27	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

Action		Program or Service (Budget Entity Codes)				
		43010	43100	43200	43300	43400
8.33	Has a Schedule IB been provided for ALL trust funds having an unreserved fund balance in columns A01, A02 and/or A03, and if so, does each column's total agree with line I of the Schedule 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 128 of the LBR Instructions.) Transaction DFTR in LAS/PBS is also available and provides an LBR review date for each trust fund.					
TIP	Review the unreserved fund balances and compare revenue totals to expenditure totals to determine and understand the trust fund status.					
TIP	Typically nonoperating expenditures and revenues should not be a negative number. Any negative numbers must be fully justified.					
9. SCHEDULE II (PSCR, SC2)						
AUDIT:						
9.1	Is the pay grade minimum for salary rate utilized for positions in segments 2 and 3? (BRAR, BRAA - Report should print "No Records Selected For This Request") Note: Amounts other than the pay grade minimum should be fully justified in the D-3A issue narrative. (See Base Rate Audit on page 159 of the LBR Instructions.)	Y	Y	Y	Y	Y
10. SCHEDULE III (PSCR, SC3)						
10.1	Is the appropriate lapse amount applied? (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 95 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 (with "C" in 6th position or within a program component of 1603000000), 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 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) (Required to be posted to the Florida Fiscal Portal)						
14.1	Do the reductions comply with the instructions provided on pages 101 through 103 of the LBR Instructions regarding a 10% reduction in recurring General Revenue and Trust Funds, including the verification that the 33BXXX0 issue has NOT been used? Verify that excluded appropriation categories and funds were not used (e.g. funds with FSI 3 and 9, etc.)	Y	Y	Y	Y	Y
TIP	Compare the debt service amount requested (IOE N or other IOE used for debt service) with the debt service need included in the Schedule VI: Detail of Debt Service, to determine whether any debt has been retired and may be reduced.					
15. SCHEDULE VIIIC (EADR, S8C) (This Schedule is optional, but if included it is required to be posted to the Florida Fiscal Portal)						
15.1	Does the schedule display reprioritization issues that are each comprised of two unique issues - a deduct component and an add-back component which net to zero at the department level?	N/A	N/A	N/A	N/A	N/A
15.2	Are the priority narrative explanations adequate and do they follow the guidelines on pages 104-106 of the LBR instructions?	N/A	N/A	N/A	N/A	N/A

Action		Program or Service (Budget Entity Codes)				
		43010	43100	43200	43300	43400
15.3	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?	N/A	N/A	N/A	N/A	N/A
AUDIT:						
15.6	Do the issues net to zero at the department level? (GENR, LBR5)	N/A	N/A	N/A	N/A	N/A
16. SCHEDULE XI (UCSR,SCXI) (LAS/PBS Web - see pages 107-111 of the LBR Instructions for detailed instructions) (Required to be posted to the Florida Fiscal Portal in Manual Documents)						
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 section 216.023(4) (b), Florida Statutes, 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 2018-19 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: The activities listed in Audit #3 do not have an associated output standard. In addition, the activities were not identified as a Transfer to a State Agency, as Aid to Local Government, or a Payment of Pensions, Benefits and Claims. Activities listed here should represent transfers/pass-throughs that are not represented by those above or administrative costs that are unique to the agency and are not appropriate to be allocated to all other activities.)	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 (Required to be posted to the Florida Fiscal Portal)						
17.1	Do exhibits and schedules comply with LBR Instructions (pages 112 through 156 of the LBR Instructions), and are they accurate and complete?	Y	Y	Y	Y	Y
17.2	Does manual exhibits tie to LAS/PBS 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 Schedule IV-B for each IT project over \$1 million (see page 132 of the LBR instructions for exceptions to this rule)? Have all IV-Bs 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	N/A	N/A	Y	N/A
AUDITS - GENERAL INFORMATION						
TIP	Review <i>Section 6: Audits</i> of the LBR Instructions (pages 158-160) 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.					

Action		Program or Service (Budget Entity Codes)				
		43010	43100	43200	43300	43400
18. CAPITAL IMPROVEMENTS PROGRAM (CIP) (Required to be posted to the Florida Fiscal Portal)						
18.1	Are the CIP-2, CIP-3, CIP-A and CIP-B forms included?	Y	Y	Y	Y	Y
18.2	Are the CIP-4 and CIP-5 forms submitted when applicable (see CIP Instructions)?	Y	Y	Y	Y	Y
18.3	Do all CIP forms comply with CIP Instructions where applicable (see CIP Instructions)?	Y	Y	Y	Y	Y
18.4	Does the agency request include 5 year projections (Columns A03, A06, A07, A08 and A09)?	Y	Y	Y	Y	Y
18.5	Are the appropriate counties identified in the narrative?	Y	Y	Y	Y	Y
18.6	Has the CIP-2 form (Exhibit B) been modified to include the agency priority for each project and the modified form saved as a PDF document?	Y	Y	Y	Y	Y
TIP	Requests for Fixed Capital Outlay appropriations which are Grants and Aids to Local Governments and Non-Profit Organizations must use the Grants and Aids to Local Governments and Non-Profit Organizations - Fixed Capital Outlay major appropriation category (140XXX) and include the sub-title "Grants and Aids". These appropriations utilize a CIP-B form as justification.					
19. FLORIDA FISCAL PORTAL						
19.1	Have all files been assembled correctly and posted to the Florida Fiscal Portal as outlined in the Florida Fiscal Portal Submittal Process?	Y	Y	Y	Y	Y

Fiscal Year 2020-21 LBR Technical Review Checklist

Department/Budget Entity (Service): FINANCIAL SERVICES
 Agency Budget Officer/OPB Analyst Name: TERI MADSEN

A "Y" indicates "YES" and is acceptable, an "N/J" indicates "NO/Justification Provided" - these require further explanation/justification (additional

Action	Program or Service (Budget Entity Codes)			
	43500	43600	43700	

1. GENERAL

1.1 Are Columns A01, A04, A05, A94, A95, A96, A36, A10, 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 (no trust fund files for narrative columns)? Is Column A02 set to TRANSFER CONTROL for DISPLAY status and MANAGEMENT CONTROL for UPDATE status for the Trust Fund Files (the Budget Files should already be on TRANSFER CONTROL for DISPLAY and MANAGEMENT CONTROL for UPDATE)? Are Columns A06, A07, A08 and A09 for Fixed Capital Outlay (FCO) set to TRANSFER CONTROL for DISPLAY status only (UPDATE status remains on OWNER)? (CSDI or Web LBR Column Security)	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		

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		
1.4 Has Column A12 security been set correctly to ALL for DISPLAY status and MANAGEMENT CONTROL for UPDATE status for Budget and Trust Fund files? (CSDR, CSA)	Y	Y	Y		
TIP The agency should prepare the budget request for submission in this order: 1) Copy Column A03 to Column A12, and 2) Lock columns as described above. A security control feature has been added to the LAS/PBS Web upload process that will require columns to be in the proper status before uploading to the portal.					

2. EXHIBIT A (EADR, EXA)

2.1 Is the budget entity authority and description consistent with the agency's LRPP and does it conform to the directives provided on page 58 of the LBR Instructions?	Y	Y	Y		
2.2 Are the statewide issues generated systematically (estimated expenditures, nonrecurring expenditures, etc.) included?	Y	Y	Y		
2.3 Are the issue codes and titles consistent with <i>Section 3</i> of the LBR Instructions (pages 15 through 28)? Do they clearly describe the issue?	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.	N/A	N/A	N/A		
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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		
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		
TIP Generally look for and be able to fully explain significant differences between A02 and A03.					
TIP Exhibit B - A02 equal to B07: Compares Current Year Estimated column to a backup of A02. This audit is necessary to ensure that the historical detail records have not been adjusted. Records selected should net to zero.					

Action		Program or Service (Budget Entity Codes)				
		43500	43600	43700		
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, a 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		
4.2	Is the program component code and title used correct?	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		
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		
5.3	FLAIR Expenditure/Appropriation Ledger Comparison Report: Is Column A01 less than Column B04? (EXBR, EXBB - Negative differences [with a \$5,000 allowance] need to be corrected in Column A01.)	Y	Y	Y		
5.4	A01/State Accounts Disbursements and Carry Forward Comparison Report: Does Column A01 equal Column B08? (EXBR, EXBD - Differences [with a \$5,000 allowance at the department level] need to be corrected in Column A01.)	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 2018-19 approved budget. Amounts should be positive. The \$5,000 allowance is necessary for rounding.					
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. Note that there is a \$5,000 allowance at the department level.					
6. EXHIBIT D-3 (ED3R, ED3) (Not required in the LBR - for analytical purposes only.)						
6.1	Are issues appropriately aligned with appropriation categories?	Y	Y	Y		
TIP	Exhibit D-3 is not 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) (Required to be posted to the Florida Fiscal Portal)						
7.1	Are the issue titles correct and do they clearly identify the issue? (See pages 15 through 28 of the LBR Instructions.)	Y	Y	Y		
7.2	Does the issue narrative adequately explain the agency's request and is the explanation consistent with the LRPP? (See pages 66 through 68 of the LBR Instructions.)	Y	Y	Y		
7.3	Does the narrative for Information Technology (IT) issue follow the additional narrative requirements described on pages 68 through 70 of the LBR Instructions?	Y	Y	Y		

Action		Program or Service (Budget Entity Codes)				
		43500	43600	43700		
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		
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		
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		
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. (See pages 94 and 95 of the LBR Instructions.)	Y	Y	Y		
7.8	Does the issue narrative include the Consensus Estimating Conference forecast, where appropriate?	N/A	N/A	N/A		
7.9	Does the issue narrative reference the specific county(ies) where applicable?	N/A	N/A	N/A		
7.10	Do the 160XXX0 issues reflect budget amendments that have been approved (or in the process of being approved) and that have a recurring impact (including Lump Sums)? Have the approved budget amendments been entered in Column A18 as instructed in Memo #20-002?	Y	Y	Y		
7.11	When appropriate are there any 160XXX0 issues included to delete positions placed in reserve in the LAS/PBS 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		
7.12	Does the issue narrative include plans to satisfy additional space requirements when requesting additional positions?	Y	Y	Y		
7.13	Has the agency included a 160XXX0 issue and 210XXXX and 260XXX0 issues as required for lump sum distributions?	N/A	N/A	N/A		
7.14	Do the amounts reflect appropriate FSI assignments?	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		
7.16	Do the issue codes relating to special <i>salary and benefits</i> issues (e.g., position reclassification, pay grade adjustment, overtime/on-call pay, etc.) have an "A" in the fifth position of the issue code (XXXXAXX) and are they self-contained (not combined with other issues)? (See pages 27 and 90 of the LBR Instructions.)	Y	Y	Y		
7.17	Do the issues relating to <i>Information Technology (IT)</i> have a "C" in the sixth position of the issue code (36XXXCX) and are the correct issue codes used (361XXC0, 362XXC0, 363XXC0, 24010C0, 30010C0, 33011C0, 160E470, or 160E480)?	Y	Y	Y		
7.18	Are the issues relating to <i>major audit findings and recommendations</i> properly coded (4A0XXX0, 4B0XXX0)?	N/A	N/A	N/A		
7.19	Does the issue narrative identify the strategy or strategies in the Five Year Statewide Strategic Plan for Economic Development?	N/A	N/A	N/A		
AUDIT:						
7.20	Does the General Revenue for 160XXXX (Adjustments to Current Year Expenditures) issues net to zero? (GENR, LBR1)	N/A	N/A	N/A		
7.21	Does the General Revenue for 180XXXX (Intra-Agency Reorganizations) issues net to zero? (GENR, LBR2)	N/A	N/A	N/A		
7.22	Does the General Revenue for 200XXXX (Estimated Expenditures Realignment) issues net to zero? (GENR, LBR3)	N/A	N/A	N/A		
7.23	Have FCO appropriations been entered into the nonrecurring column (A04)? (GENR, LBR4 - Report should print "No Records Selected For Reporting" or a listing of D-3A issue(s) assigned to Debt Service (IOE N) or in some cases State Capital Outlay - Public Education Capital Outlay (IOE L))	Y	Y	Y		

Action		Program or Service (Budget Entity Codes)				
		43500	43600	43700		
TIP	Salaries and Benefits amounts entered using the OADA/C transactions must be thoroughly justified in the D-3A issue narrative. Agencies can run OADA/OADR from STAM to identify the amounts entered into OAD and ensure these entries have been thoroughly explained in the D-3A issue narrative					
TIP	The issue narrative must completely and thoroughly explain and justify each D-3A issue. Agencies must ensure it provides the information necessary for the OPB and legislative analysts to have a complete understanding of the issue submitted. Thoroughly review pages 66 through 70 of the I BR Instructions					
TIP	Check BAPS to verify status of budget amendments. Check for reapprovals not picked up in the General Appropriations Act. Verify that Lump Sum appropriations in Column A02 do not appear in Column A03. Review budget amendments to verify that 160XXX0 issue amounts correspond accurately and net to zero for General Revenue funds.					
TIP	If an agency is receiving federal funds from another agency the FSI should = 9 (Transfer - Recipient of Federal Funds). The agency that originally receives the funds directly from the federal agency should use FSI = 3 (Federal Funds).					
TIP	If an appropriation made in the FY 2019-20 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) (Required)						
8.1	Has a separate department level Schedule I and supporting documents package been submitted by the agency?	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		
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		
8.4	Have the Examination of Regulatory Fees Part I and Part II forms been included for the applicable regulatory programs?	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		
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		
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		
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 section 215.32(2)(b), Florida Statutes - including the Schedule ID and applicable legislation?	Y	Y	Y		
8.9	Are the revenue codes correct? In the case of federal revenues, has the agency appropriately identified direct versus indirect receipts (object codes 000700, 000750, 000799, 001510 and 001599)? For non-grant federal revenues, is the correct revenue code identified (codes 000504 001270 001870 001970)?	Y	Y	Y		
8.10	Are the statutory authority references correct?	Y	Y	Y		

Action		Program or Service (Budget Entity Codes)				
		43500	43600	43700		
8.11	Are the General Revenue Service Charge percentage rates used for each revenue source correct? (Refer to section 215.20, Florida Statutes, for appropriate General Revenue Service Charge percentage rates.)	Y	Y	Y		
8.12	Is this an accurate representation of revenues based on the most recent Consensus Estimating Conference forecasts?	N/A	N/A	N/A		
8.13	If there is no Consensus Estimating Conference forecast available, do the revenue estimates appear to be reasonable?	Y	Y	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		
8.15	Are anticipated grants included and based on the state fiscal year (rather than federal fiscal year)?	Y	Y	Y		
8.16	Are the Schedule I revenues consistent with the FST's reported in the Exhibit D-3A?	Y	Y	Y		
8.17	If applicable, are nonrecurring revenues entered into Column A04?	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		
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		
8.20	Are appropriate General Revenue Service Charge nonoperating amounts included in Section II?	Y	Y	Y		
8.21	Are nonoperating expenditures to other budget entities/departments cross-referenced accurately?	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		
8.23	Are nonoperating expenditures recorded in Section II and adjustments recorded in Section III?	Y	Y	Y		
8.24	Are prior year September operating reversions appropriately shown in column A01, Section III?	Y	Y	Y		
8.25	Are current year September operating reversions (if available) appropriately shown in column A02, Section III?	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		
8.27	Has the agency properly accounted for continuing appropriations (category 13XXXX) in column A01, Section III?	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		
8.29	Does Line I of Column A01 (Schedule I) equal Line K of the Schedule IC?	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		
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		
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		

Action		Program or Service (Budget Entity Codes)				
		43500	43600	43700		
8.33	Has a Schedule IB been provided for ALL trust funds having an unreserved fund balance in columns A01, A02 and/or A03, and if so, does each column's total agree with line I of the Schedule I?	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		
TIP	The Schedule I is the most reliable source of data concerning the trust funds. It is very important that this schedule is as accurate as possible!					
TIP	Determine if the agency is scheduled for trust fund review. (See page 128 of the LBR Instructions.) Transaction DFTR in LAS/PBS is also available and provides an LBR review date for each trust fund.					
TIP	Review the unreserved fund balances and compare revenue totals to expenditure totals to determine and understand the trust fund status.					
TIP	Typically nonoperating expenditures and revenues should not be a negative number. Any negative numbers must be fully justified.					
9. SCHEDULE II (PSCR, SC2)						
AUDIT:						
9.1	Is the pay grade minimum for salary rate utilized for positions in segments 2 and 3? (BRAR, BRAA - Report should print "No Records Selected For This Request") Note: Amounts other than the pay grade minimum should be fully justified in the D-3A issue narrative. (See <i>Base Rate Audit</i> on page 159 of the LBR Instructions.)	Y	Y	Y		
10. SCHEDULE III (PSCR, SC3)						
10.1	Is the appropriate lapse amount applied? (See page 92 of the LBR Instructions.)	Y	Y	Y		
10.2	Are amounts in <i>Other Salary Amount</i> appropriate and fully justified? (See page 95 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		
11. SCHEDULE IV (EADR, SC4)						
11.1	Are the correct Information Technology (IT) issue codes used?	Y	Y	Y		
TIP	If IT issues are not coded (with "C" in 6th position or within a program component of 1603000000), 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 VIIIA-A? Are the priority narrative explanations adequate? Note: FCO issues can be included in the priority listing.	Y	Y	Y		
13. SCHEDULE VIIIB-1 (EADR, S8B1)						
13.1	NOT REQUIRED FOR THIS YEAR					
14. SCHEDULE VIIIB-2 (EADR, S8B2) (Required to be posted to the Florida Fiscal Portal)						
14.1	Do the reductions comply with the instructions provided on pages 101 through 103 of the LBR Instructions regarding a 10% reduction in recurring General Revenue and Trust Funds, including the verification that the 33BXXX0 issue has NOT been used? Verify that excluded appropriation categories and funds were not used (e.g. funds with FSI 3 and 9, etc.)	Y	Y	Y		
TIP	Compare the debt service amount requested (IOE N or other IOE used for debt service) with the debt service need included in the Schedule VI: Detail of Debt Service, to determine whether any debt has been retired and may be reduced.					
15. SCHEDULE VIIIC (EADR, S8C) (This Schedule is optional, but if included it is required to be posted to the Florida						
15.1	Does the schedule display reprioritization issues that are each comprised of two unique issues - a deduct component and an add-back component which net to zero at the department level?	N/A	N/A	N/A		
15.2	Are the priority narrative explanations adequate and do they follow the guidelines on pages 104-106 of the LBR instructions?	N/A	N/A	N/A		

Action		Program or Service (Budget Entity Codes)				
		43500	43600	43700		
15.3	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?	N/A	N/A	N/A		
AUDIT:						
15.6	Do the issues net to zero at the department level? (GENR, LBR5)	N/A	N/A	N/A		
16. SCHEDULE XI (UCSR,SCXD) (LAS/PBS Web - see pages 107-111 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 section 216.023(4) (b), Florida Statutes, the Legislature can reduce the funding level for any agency that does not provide this information.)	Y	Y	Y		
16.2	Do the PDF files uploaded to the Florida Fiscal Portal for the LRPP and LBR match?	Y	Y	Y		
AUDITS INCLUDED IN THE SCHEDULE XI REPORT:						
16.3	Does the FY 2018-19 Actual (prior year) Expenditures in Column A36 reconcile to Column A01? (GENR, ACT1)	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		
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		
16.6	Has the agency provided the necessary standard (Record Type 5) for all activities which <u>should</u> appear in Section II? (Note: The activities listed in Audit #3 do not have an associated output standard. In addition, the activities were not identified as a Transfer to a State Agency, as Aid to Local Government, or a Payment of Pensions, Benefits and Claims. Activities listed here should represent transfers/pass-throughs that are not represented by those above or administrative costs that are unique to the agency and are not appropriate to be allocated to all other activities.)	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		
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 (Required to be posted to the Florida Fiscal Portal)						
17.1	Do exhibits and schedules comply with LBR Instructions (pages 112 through 156 of the LBR Instructions), and are they accurate and complete?	Y	Y	Y		
17.2	Does manual exhibits tie to LAS/PBS where applicable?	Y	Y	Y		
17.3	Are agency organization charts (Schedule X) provided and at the appropriate level of detail?	Y	Y	Y		
17.4	Does the LBR include a separate Schedule IV-B for each IT project over \$1 million (see page 132 of the LBR instructions for exceptions to this rule)? Have all IV-Bs been emailed to: IT@LASPBS.STATE.FL.US?	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) ?	N/A	N/A	Y		
AUDITS - GENERAL INFORMATION						
TIP	Review <i>Section 6: Audits</i> of the LBR Instructions (pages 158-160) 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.					

Action		Program or Service (Budget Entity Codes)				
		43500	43600	43700		
18. CAPITAL IMPROVEMENTS PROGRAM (CIP) (Required to be posted to the Florida Fiscal Portal)						
18.1	Are the CIP-2, CIP-3, CIP-A and CIP-B forms included?	Y	Y	Y		
18.2	Are the CIP-4 and CIP-5 forms submitted when applicable (see CIP Instructions)?	Y	Y	Y		
18.3	Do all CIP forms comply with CIP Instructions where applicable (see CIP Instructions)?	Y	Y	Y		
18.4	Does the agency request include 5 year projections (Columns A03, A06, A07, A08 and A09)?	Y	Y	Y		
18.5	Are the appropriate counties identified in the narrative?	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		
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		

Fiscal Year 2020-21 LBR Technical Review Checklist

Department/Budget Entity (Service): OFFICE OF INSURANCE REGULATION
Agency Budget Officer/OPB Analyst Name: Richard Fox

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

	Program or Service (Budget Entity Codes)				
Action	43900110	43900120			

1. GENERAL

1.1 Are Columns A01, 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 (no trust fund files for narrative columns)? Is Column A02 set to TRANSFER CONTROL for DISPLAY status and MANAGEMENT CONTROL for UPDATE status for the Trust Fund Files (the Budget Files should already be on TRANSFER CONTROL for DISPLAY and MANAGEMENT CONTROL for UPDATE)? Are Columns A06, A07, A08 and A09 for Fixed Capital Outlay (FCO) set to TRANSFER CONTROL for DISPLAY status only (UPDATE status remains on OWNER)? (CSDC or Web LBR Column Security)					
	N/A	N/A			
1.2 Is Column A03 set to TRANSFER CONTROL for DISPLAY and UPDATE status for both the Budget and Trust Fund columns? (CSDC)					
	N/A	N/A			

AUDITS:

1.3 Has Column A03 been copied to Column A12? Run the Exhibit B Audit Comparison Report to verify. (EXBR, EXBA)					
	N/A	N/A			
1.4 Has Column A12 security been set correctly to ALL for DISPLAY status and MANAGEMENT CONTROL for UPDATE status for Budget and Trust Fund files? (CSDR, CSA)					
	N/A	N/A			
TIP The agency should prepare the budget request for submission in this order: 1) Copy Column A03 to Column A12, and 2) Lock columns as described above. A security control feature has been added to the LAS/PBS Web upload process that will require columns to be in the proper status before uploading to the portal.					

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			
2.2 Are the statewide issues generated systematically (estimated expenditures, nonrecurring expenditures, etc.) included?					
	Y	Y			
2.3 Are the issue codes and titles consistent with <i>Section 3</i> of the LBR Instructions (pages 15 through 29)? Do they clearly describe the issue?					
	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.					
	N/A	N/A			

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			
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			
TIP Generally look for and be able to fully explain significant differences between A02 and A03.					

Action		Program or Service (Budget Entity Codes)				
		43900110	43900120			
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, a 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 62 of the LBR Instructions?	Y	Y			
4.2	Is the program component code and title used correct?	Y	Y			
TIP	Fund shifts or transfers of services or activities between program components will be displayed on an Exhibit D whereas it may not be visible on an Exhibit A.					
5. EXHIBIT D-1 (ED1R, EXD1)						
5.1	Are all object of expenditures positive amounts? (This is a manual check.)	Y	Y			
AUDITS:						
5.2	Do the fund totals agree with the object category totals within each appropriation category? (ED1R, XD1A - Report should print "No Differences Found For This Report")	Y	Y			
5.3	FLAIR Expenditure/Appropriation Ledger Comparison Report: Is Column A01 less than Column B04? (EXBR, EXBB - Negative differences [with a \$5,000 allowance] need to be corrected in Column A01.)	Y	Y			
5.4	A01/State Accounts Disbursements and Carry Forward Comparison Report: Does Column A01 equal Column B08? (EXBR, EXBD - Differences [with a \$5,000 allowance at the department level] need to be corrected in Column A01.)	Y	Y			
TIP	If objects are negative amounts, the agency must make adjustments to Column A01 to correct the object amounts. In addition, the fund totals must be adjusted to reflect the <u>adjustment made to the object data</u> .					
TIP	If fund totals and object totals do not agree or negative object amounts exist, the agency <u>must adjust Column A01</u> .					
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 2017-18 approved budget. Amounts <u>should be positive. The \$5,000 allowance is necessary for rounding.</u>					
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. Note that there is a \$5,000 allowance at <u>the department level.</u>					
6. EXHIBIT D-3 (ED3R, ED3) (Not required in the LBR - for analytical purposes only.)						
6.1	Are issues appropriately aligned with appropriation categories?	N/A	N/A			
TIP	Exhibit D-3 is not 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) (Required to be posted to the Florida Fiscal Portal)						
7.1	Are the issue titles correct and do they clearly identify the issue? (See pages 15 through 29 of the LBR Instructions.)	N/A	N/A			
7.2	Does the issue narrative adequately explain the agency's request and is the explanation consistent with the LRPP? (See pages 67 through 69 of the LBR Instructions.)	N/A	N/A			
7.3	Does the narrative for Information Technology (IT) issue follow the additional narrative requirements described on pages 69 through 72 of the LBR Instructions?	N/A	N/A			

Action		Program or Service (Budget Entity Codes)				
		43900110	43900120			
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?	N/A	N/A			
7.5	Does the issue narrative explain any variances from the Standard Expense and Human Resource Services Assessments package? Is the nonrecurring portion in the nonrecurring column? (See pages E.4 through E.6 of the LBR Instructions.)	N/A	N/A			
7.6	Does the salary rate request amount accurately reflect any new requests and are the amounts proportionate to the Salaries and Benefits request? Note: Salary rate should always be annualized.	N/A	N/A			
7.7	Does the issue narrative thoroughly explain/justify all Salaries and Benefits amounts entered into the Other Salary Amounts transactions (OADA/C)? Amounts entered into OAD are reflected in the Position Detail of Salaries and Benefits section of the Exhibit D-3A. (See pages 95 and 96 of the LBR Instructions.)	N/A	N/A			
7.8	Does the issue narrative include the Consensus Estimating Conference forecast, where appropriate?	N/A	N/A			
7.9	Does the issue narrative reference the specific county(ies) where applicable?	N/A	N/A			
7.10	Do the 160XXX0 issues reflect budget amendments that have been approved (or in the process of being approved) and that have a recurring impact (including Lump Sums)? Have the approved budget amendments been entered in Column A18 as instructed in Memo #19-002?	N/A	N/A			
7.11	When appropriate are there any 160XXX0 issues included to delete positions placed in reserve in the LAS/PBS Position and Rate Ledger (e.g. unfunded grants)? Note: Lump sum appropriations not yet allocated should <u>not</u> be deleted. (PLRR, PLMO)	N/A	N/A			
7.12	Does the issue narrative include plans to satisfy additional space requirements when requesting additional positions?	N/A	N/A			
7.13	Has the agency included a 160XXX0 issue and 210XXXX and 260XXX0 issues as required for lump sum distributions?	N/A	N/A			
7.14	Do the amounts reflect appropriate FSI assignments?	N/A	N/A			
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.	N/A	N/A			
7.16	Do the issue codes relating to special <i>salary and benefits</i> issues (e.g., position reclassification, pay grade adjustment, overtime/on-call pay, etc.) have an "A" in the fifth position of the issue code (XXXXAXX) and are they self-contained (not combined with other issues)? (See pages 28 and 90 of the LBR Instructions.)	N/A	N/A			
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, 30010C0, 33011C0, 160E470, 160E480 or 55C01C0)?	N/A	N/A			
7.18	Are the issues relating to <i>major audit findings and recommendations</i> properly coded (4A0XXX0, 4B0XXX0)?	N/A	N/A			
7.19	Does the issue narrative identify the strategy or strategies in the Five Year Statewide Strategic Plan for Economic Development?	N/A	N/A			
AUDIT:						
7.20	Does the General Revenue for 160XXXX (Adjustments to Current Year Expenditures) issues net to zero? (GENR, LBR1)	N/A	N/A			
7.21	Does the General Revenue for 180XXXX (Intra-Agency Reorganizations) issues net to zero? (GENR, LBR2)	N/A	N/A			
7.22	Does the General Revenue for 200XXXX (Estimated Expenditures Realignment) issues net to zero? (GENR, LBR3)	N/A	N/A			

Action		Program or Service (Budget Entity Codes)				
		43900110	43900120			
7.23	Have FCO appropriations been entered into the nonrecurring column (A04)? (GENR, LBR4 - Report should print "No Records Selected For Reporting" or a listing of D-3A issue(s) assigned to Debt Service (IOE N) or in some cases State Capital Outlay - Public Education Capital Outlay (IOE L))	N/A	N/A			
TIP	Salaries and Benefits amounts entered using the OADA/C transactions must be thoroughly justified in the D-3A issue narrative. Agencies can run OADA/OADR from STAM to identify the amounts entered into OAD and ensure these entries have been thoroughly explained in the D-3A issue narrative.					
TIP	The issue narrative must completely and thoroughly explain and justify each D-3A issue. Agencies must ensure it provides the information necessary for the OPB and legislative analysts to have a complete understanding of the issue submitted. Thoroughly review pages 67 through 72 of the LBR Instructions.					
TIP	Check BAPS to verify status of budget amendments. Check for reapprovals not picked up in the General Appropriations Act. Verify that Lump Sum appropriations in Column A02 do not appear in Column A03. Review budget amendments to verify that 160XXX0 issue amounts correspond accurately and net to zero for General Revenue funds.					
TIP	If an agency is receiving federal funds from another agency the FSI should = 9 (Transfer - Recipient of Federal Funds). The agency that originally receives the funds directly from the federal agency should use FSI = 3 (Federal Funds).					
TIP	If an appropriation made in the FY 2018-19 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) (Required to be posted to the Florida Fiscal Portal)						
8.1	Has a separate department level Schedule I and supporting documents package been submitted by the agency?	N/A	N/A			
8.2	Has a Schedule I and Schedule IB been completed in LAS/PBS for each operating trust fund?	N/A	N/A			
8.3	Have the appropriate Schedule I supporting documents been included for the trust funds (Schedule IA, Schedule IC, and Reconciliation to Trial Balance)?	N/A	N/A			
8.4	Have the Examination of Regulatory Fees Part I and Part II forms been included for the applicable regulatory programs?	N/A	N/A			
8.5	Have the required detailed narratives been provided (5% trust fund reserve narrative; method for computing the distribution of cost for general management and administrative services narrative; adjustments narrative; revenue estimating methodology narrative; fixed capital outlay adjustment narrative)?	N/A	N/A			
8.6	Has the Inter-Agency Transfers Reported on Schedule I form been included as applicable for transfers totaling \$100,000 or more for the fiscal year?	N/A	N/A			
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?	N/A	N/A			
8.8	If the agency is scheduled for the annual trust fund review this year, have the necessary trust funds been requested for creation pursuant to section 215.32(2)(b), Florida Statutes - including the Schedule ID and applicable legislation?	N/A	N/A			
8.9	Are the revenue codes correct? In the case of federal revenues, has the agency appropriately identified direct versus indirect receipts (object codes 000700, 000750, 000799, 001510 and 001599)? For non-grant federal revenues, is the correct revenue code identified (codes 000504, 000119, 001270, 001870, 001970)?	N/A	N/A			
8.10	Are the statutory authority references correct?	N/A	N/A			

Action		Program or Service (Budget Entity Codes)				
		43900110	43900120			
8.11	Are the General Revenue Service Charge percentage rates used for each revenue source correct? (Refer to section 215.20, Florida Statutes, for appropriate General Revenue Service Charge percentage rates.)	N/A	N/A			
8.12	Is this an accurate representation of revenues based on the most recent Consensus Estimating Conference forecasts?	N/A	N/A			
8.13	If there is no Consensus Estimating Conference forecast available, do the revenue estimates appear to be reasonable?	N/A	N/A			
8.14	Are the federal funds revenues reported in Section I broken out by individual grant? Are the correct CFDA codes used?	N/A	N/A			
8.15	Are anticipated grants included and based on the state fiscal year (rather than federal fiscal year)?	N/A	N/A			
8.16	Are the Schedule I revenues consistent with the FSI's reported in the Exhibit D-3A?	N/A	N/A			
8.17	If applicable, are nonrecurring revenues entered into Column A04?	N/A	N/A			
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?	N/A	N/A			
8.19	Is a 5% trust fund reserve reflected in Section II? If not, is sufficient justification provided for exemption? Are the additional narrative requirements provided?	N/A	N/A			
8.20	Are appropriate General Revenue Service Charge nonoperating amounts included in Section II?	N/A	N/A			
8.21	Are nonoperating expenditures to other budget entities/departments cross-referenced accurately?	N/A	N/A			
8.22	Do transfers balance between funds (within the agency as well as between agencies)? (See also 8.6 for required transfer confirmation of amounts totaling \$100,000 or more.)	N/A	N/A			
8.23	Are nonoperating expenditures recorded in Section II and adjustments recorded in Section III?	N/A	N/A			
8.24	Are prior year September operating reversions appropriately shown in column A01, Section III?	N/A	N/A			
8.25	Are current year September operating reversions (if available) appropriately shown in column A02, Section III?	N/A	N/A			
8.26	Does the Schedule IC properly reflect the unreserved fund balance for each trust fund as defined by the LBR Instructions, and is it reconciled to the agency accounting records?	N/A	N/A			
8.27	Has the agency properly accounted for continuing appropriations (category 13XXXX) in column A01, Section III?	N/A	N/A			
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?	N/A	N/A			
8.29	Does Line I of Column A01 (Schedule I) equal Line K of the Schedule IC?	N/A	N/A			
AUDITS:						
8.30	Is Line I a positive number? (If not, the agency must adjust the budget request to eliminate the deficit).	N/A	N/A			
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")	N/A	N/A			
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)	N/A	N/A			

Action		Program or Service (Budget Entity Codes)				
		43900110	43900120			
8.33	Has a Schedule IB been provided for ALL trust funds having an unreserved fund balance in columns A01, A02 and/or A03, and if so, does each column's total agree with line I of the Schedule I?	N/A	N/A			
8.34	Have A/R been properly analyzed and any allowances for doubtful accounts been properly recorded on the Schedule IC?	N/A	N/A			
TIP	The Schedule I is the most reliable source of data concerning the trust funds. It is very important that this schedule is as accurate as possible!					
TIP	Determine if the agency is scheduled for trust fund review. (See page 128 of the LBR Instructions.) Transaction DFTR in LAS/PBS is also available and provides an LBR review date for each trust fund.					
TIP	Review the unreserved fund balances and compare revenue totals to expenditure totals to determine and understand the trust fund status.					
TIP	Typically nonoperating expenditures and revenues should not be a negative number. Any negative numbers must be fully justified.					
9. SCHEDULE II (PSCR, SC2)						
AUDIT:						
9.1	Is the pay grade minimum for salary rate utilized for positions in segments 2 and 3? (BRAR, BRAA - Report should print "No Records Selected For This Request") Note: Amounts other than the pay grade minimum should be fully justified in the D-3A issue narrative. (See <i>Base Rate Audit</i> on page 158 of the LBR Instructions.)	N/A	N/A			
10. SCHEDULE III (PSCR, SC3)						
10.1	Is the appropriate lapse amount applied? (See page 93 of the LBR Instructions.)	N/A	N/A			
10.2	Are amounts in <i>Other Salary Amount</i> appropriate and fully justified? (See page 96 of the LBR Instructions for appropriate use of the OAD transaction.) Use OADI or OADR to identify agency other salary amounts requested.	N/A	N/A			
11. SCHEDULE IV (EADR, SC4)						
11.1	Are the correct Information Technology (IT) issue codes used?	N/A	N/A			
TIP	If IT issues are not coded (with "C" in 6th position or within a program component of 1603000000), 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 be included in the priority listing.	N/A	N/A			
13. SCHEDULE VIIIB-1 (EADR, S8B1)						
13.1	NOT REQUIRED FOR THIS YEAR	N/A	N/A			
14. SCHEDULE VIIIB-2 (EADR, S8B2) (Required to be posted to the Florida Fiscal Portal)						
14.1	Do the reductions comply with the instructions provided on pages 102 through 104 of the LBR Instructions regarding a 10% reduction in recurring General Revenue and Trust Funds, including the verification that the 33BXXX0 issue has NOT been used? Verify that excluded appropriation categories and funds were not used (e.g. funds with FSI 3 and 9, etc.)	Y	Y			
TIP	Compare the debt service amount requested (IOE N or other IOE used for debt service) with the debt service need included in the Schedule VI: Detail of Debt Service, to determine whether any debt has been retired and may be reduced.					
15. SCHEDULE VIIIC (EADR, S8C) (This Schedule is optional, but if included it is required to be posted to the Florida Fiscal Portal)						
15.1	Does the schedule display reprioritization issues that are each comprised of two unique issues - a deduct component and an add-back component which net to zero at the department level?	N/A	N/A			
15.2	Are the priority narrative explanations adequate and do they follow the guidelines on pages 105-107 of the LBR instructions?	N/A	N/A			

Action		Program or Service (Budget Entity Codes)				
		43900110	43900120			
15.3	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?	N/A	N/A			
AUDIT:						
15.6	Do the issues net to zero at the department level? (GENR, LBR5)	N/A	N/A			
16. SCHEDULE XI (USCR,SCXI) (LAS/PBS Web - see pages 108-112 of the LBR Instructions for detailed instructions) (Required to be posted to the Florida Fiscal Portal in Manual Documents)						
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 section 216.023(4) (b), Florida Statutes, the Legislature can reduce the funding level for any agency that does not provide this information.)	N/A	N/A			
16.2	Do the PDF files uploaded to the Florida Fiscal Portal for the LRPP and LBR match?	N/A	N/A			
AUDITS INCLUDED IN THE SCHEDULE XI REPORT:						
16.3	Does the FY 2017-18 Actual (prior year) Expenditures in Column A36 reconcile to Column A01? (GENR, ACT1)	N/A	N/A			
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")	N/A	N/A			
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")	N/A	N/A			
16.6	Has the agency provided the necessary standard (Record Type 5) for all activities which <u>should</u> appear in Section II? (Note: The activities listed in Audit #3 do not have an associated output standard. In addition, the activities were not identified as a Transfer to a State Agency, as Aid to Local Government, or a Payment of Pensions, Benefits and Claims. Activities listed here should represent transfers/pass-throughs that are not represented by those above or administrative costs that are unique to the agency and are not appropriate to be allocated to all other activities.)	N/A	N/A			
16.7	Does Section I (Final Budget for Agency) and Section III (Total Budget for Agency) equal? (Audit #4 should print "No Discrepancies Found")	N/A	N/A			
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 (Required to be posted to the Florida Fiscal Portal)						
17.1	Do exhibits and schedules comply with LBR Instructions (pages 113 through 155 of the LBR Instructions), and are they accurate and complete?	N/A	N/A			
17.2	Does manual exhibits tie to LAS/PBS where applicable?	N/A	N/A			
17.3	Are agency organization charts (Schedule X) provided and at the appropriate level of detail?	N/A	N/A			
17.4	Does the LBR include a separate Schedule IV-B for each IT project over \$1 million (see page 131 of the LBR instructions for exceptions to this rule)? Have all IV-Bs been emailed to: IT@LASPBS.STATE.FL.US ?	N/A	N/A			
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) ?	N/A	N/A			
AUDITS - GENERAL INFORMATION						
TIP	Review <i>Section 6: Audits</i> of the LBR Instructions (pages 157-159) 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) (Required to be posted to the Florida Fiscal Portal)						
18.1	Are the CIP-2, CIP-3, CIP-A and CIP-B forms included?	N/A	N/A			

Action		Program or Service (Budget Entity Codes)				
		43900110	43900120			
18.2	Are the CIP-4 and CIP-5 forms submitted when applicable (see CIP Instructions)?	N/A	N/A			
18.3	Do all CIP forms comply with CIP Instructions where applicable (see CIP Instructions)?	N/A	N/A			
18.4	Does the agency request include 5 year projections (Columns A03, A06, A07, A08 and A09)?	N/A	N/A			
18.5	Are the appropriate counties identified in the narrative?	N/A	N/A			
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?	N/A	N/A			
TIP	Requests for Fixed Capital Outlay appropriations which are Grants and Aids to Local Governments and Non-Profit Organizations must use the Grants and Aids to Local Governments and Non-Profit Organizations - Fixed Capital Outlay major appropriation category (140XXX) and include the sub-title "Grants and Aids". These appropriations utilize a CIP-B form as 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			

Fiscal Year 2020-21 LBR Technical Review Checklist

Department/Budget Entity (Service): **Office of Financial Regulation**

Agency Budget Officer/OPB Analyst Name: **Mark Hammett / Nic Ancheta**

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)				
	43900530	43900540	43900550	43900560	43900570

1. GENERAL

1.1 Are Columns A01, A04, A05, A94, A95, A96, A36, A10, 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 (no trust fund files for narrative columns)? Is Column A02 set to TRANSFER CONTROL for DISPLAY status and MANAGEMENT CONTROL for UPDATE status for the Trust Fund Files (the Budget Files should already be on TRANSFER CONTROL for DISPLAY and MANAGEMENT CONTROL for UPDATE)? Are Columns A06, A07, A08 and A09 for Fixed Capital Outlay (FCO) set to TRANSFER CONTROL for DISPLAY status only (UPDATE status remains on OWNER)? (CSDI or Web LBR Column Security)	N/A	N/A	N/A	N/A	N/A
1.2 Is Column A03 set to TRANSFER CONTROL for DISPLAY and UPDATE status for both the Budget and Trust Fund columns? (CSDI)	N/A	N/A	N/A	N/A	N/A

AUDITS:

1.3 Has Column A03 been copied to Column A12? Run the Exhibit B Audit Comparison Report to verify. (EXBR, EXBA)	N/A	N/A	N/A	N/A	N/A
1.4 Has Column A12 security been set correctly to ALL for DISPLAY status and MANAGEMENT CONTROL for UPDATE status for Budget and Trust Fund files? (CSDR, CSA)	N/A	N/A	N/A	N/A	N/A

TIP The agency should prepare the budget request for submission in this order: 1) Copy Column A03 to Column A12, and 2) Lock columns as described above. A security control feature has been added to the LAS/PBS Web upload process that will require columns to be in the proper status before uploading to the portal.					
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2. EXHIBIT A (EADR, EXA)

2.1 Is the budget entity authority and description consistent with the agency's LRPP and does it conform to the directives provided on page 58 of the LBR Instructions?	Y	Y	Y	Y	Y
2.2 Are the statewide issues generated systematically (estimated expenditures, nonrecurring expenditures, etc.) included?	Y	Y	Y	Y	Y
2.3 Are the issue codes and titles consistent with <i>Section 3</i> of the LBR Instructions (pages 15 through 28)? Do they clearly describe the issue?	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.	N/A	N/A	N/A	N/A	N/A
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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
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.					
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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.					
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Action	Program or Service (Budget Entity Codes)				
	43900530	43900540	43900550	43900560	43900570
<p>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, a Special Categories appropriation category (10XXXX) should be used.</p>					
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
<p>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.</p>					
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 [with a \$5,000 allowance] 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 [with a \$5,000 allowance at the department level] need to be corrected in Column A01.)				
	Y	Y	Y	Y	Y
<p>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.</p>					
<p>TIP If fund totals and object totals do not agree or negative object amounts exist, the agency must adjust Column A01.</p>					
<p>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 2018-19 approved budget. Amounts should be positive. The \$5,000 allowance is necessary for rounding.</p>					
<p>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. Note that there is a \$5,000 allowance at the department level.</p>					
6. EXHIBIT D-3 (ED3R, ED3) (Not required in the LBR - for analytical purposes only.)					
6.1	Are issues appropriately aligned with appropriation categories?				
	N/A	N/A	N/A	N/A	N/A
<p>TIP Exhibit D-3 is not 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.</p>					
7. EXHIBIT D-3A (EADR, ED3A) (Required to be posted to the Florida Fiscal Portal)					
7.1	Are the issue titles correct and do they clearly identify the issue? (See pages 15 through 28 of the LBR Instructions.)				
	N/A	N/A	N/A	N/A	N/A
7.2	Does the issue narrative adequately explain the agency's request and is the explanation consistent with the LRPP? (See pages 66 through 68 of the LBR Instructions.)				
	N/A	N/A	N/A	N/A	N/A
7.3	Does the narrative for Information Technology (IT) issue follow the additional narrative requirements described on pages 68 through 70 of the LBR Instructions?				
	N/A	N/A	N/A	N/A	N/A
7.4	Are all issues with an IT component identified with a "Y" in the "IT COMPONENT?" field? If the issue contains an IT component, has that component been identified and documented?				
	N/A	N/A	N/A	N/A	N/A
7.5	Does the issue narrative explain any variances from the Standard Expense and Human Resource Services Assessments package? Is the nonrecurring portion in the nonrecurring column? (See pages E.4 through E.6 of the LBR Instructions.)				
	N/A	N/A	N/A	N/A	N/A

Action		Program or Service (Budget Entity Codes)				
		43900530	43900540	43900550	43900560	43900570
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.	N/A	N/A	N/A	N/A	N/A
7.7	Does the issue narrative thoroughly explain/justify all Salaries and Benefits amounts entered into the Other Salary Amounts transactions (OADA/C)? Amounts entered into OAD are reflected in the Position Detail of Salaries and Benefits section of the Exhibit D-3A. (See pages 94 and 95 of the LBR Instructions.)	N/A	N/A	N/A	N/A	N/A
7.8	Does the issue narrative include the Consensus Estimating Conference forecast, where appropriate?	N/A	N/A	N/A	N/A	N/A
7.9	Does the issue narrative reference the specific county(ies) where applicable?	N/A	N/A	N/A	N/A	N/A
7.10	Do the 160XXX0 issues reflect budget amendments that have been approved (or in the process of being approved) and that have a recurring impact (including Lump Sums)? Have the approved budget amendments been entered in Column A18 as instructed in Memo #20-002?	N/A	N/A	N/A	N/A	N/A
7.11	When appropriate are there any 160XXX0 issues included to delete positions placed in reserve in the LAS/PBS Position and Rate Ledger (e.g. unfunded grants)? Note: Lump sum appropriations not yet allocated should <u>not</u> be deleted. (PLRR, PLMO)	N/A	N/A	N/A	N/A	N/A
7.12	Does the issue narrative include plans to satisfy additional space requirements when requesting additional positions?	N/A	N/A	N/A	N/A	N/A
7.13	Has the agency included a 160XXX0 issue and 210XXXX and 260XXX0 issues as required for lump sum distributions?	N/A	N/A	N/A	N/A	N/A
7.14	Do the amounts reflect appropriate FSI assignments?	N/A	N/A	N/A	N/A	N/A
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.	N/A	N/A	N/A	N/A	N/A
7.16	Do the issue codes relating to special <i>salary and benefits</i> issues (e.g., position reclassification, pay grade adjustment, overtime/on-call pay, etc.) have an "A" in the fifth position of the issue code (XXXXAXX) and are they self-contained (not combined with other issues)? (See pages 27 and 90 of the LBR Instructions.)	N/A	N/A	N/A	N/A	N/A
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, 24010C0, 30010C0, 33011C0, 160E470, or 160E480)?	N/A	N/A	N/A	N/A	N/A
7.18	Are the issues relating to <i>major audit findings and recommendations</i> properly coded (4A0XXX0, 4B0XXX0)?	N/A	N/A	N/A	N/A	N/A
7.19	Does the issue narrative identify the strategy or strategies in the Five Year Statewide Strategic Plan for Economic Development?	N/A	N/A	N/A	N/A	N/A
AUDIT:						
7.20	Does the General Revenue for 160XXXX (Adjustments to Current Year Expenditures) issues net to zero? (GENR, LBR1)	N/A	N/A	N/A	N/A	N/A
7.21	Does the General Revenue for 180XXXX (Intra-Agency Reorganizations) issues net to zero? (GENR, LBR2)	N/A	N/A	N/A	N/A	N/A
7.22	Does the General Revenue for 200XXXX (Estimated Expenditures Realignment) issues net to zero? (GENR, LBR3)	N/A	N/A	N/A	N/A	N/A
7.23	Have FCO appropriations been entered into the nonrecurring column (A04)? (GENR, LBR4 - Report should print "No Records Selected For Reporting" or a listing of D-3A issue(s) assigned to Debt Service (IOE N) or in some cases State Capital Outlay - Public Education Capital Outlay (IOE L))	N/A	N/A	N/A	N/A	N/A
TIP	Salaries and Benefits amounts entered using the OADA/C transactions must be thoroughly justified in the D-3A issue narrative. Agencies can run OADA/OADR from STAM to identify the amounts entered into OAD and ensure these entries have been thoroughly explained in the D-3A issue narrative.					
TIP	The issue narrative must completely and thoroughly explain and justify each D-3A issue. Agencies must ensure it provides the information necessary for the OPB and legislative analysts to have a complete understanding of the issue submitted. Thoroughly review pages 66 through 70 of the LBR Instructions.					

Action		Program or Service (Budget Entity Codes)				
		43900530	43900540	43900550	43900560	43900570
TIP	Check BAPS to verify status of budget amendments. Check for reapprovals not picked up in the General Appropriations Act. Verify that Lump Sum appropriations in Column A02 do not appear in Column A03. Review budget amendments to verify that 160XXX0 issue amounts correspond accurately and net to zero for General Revenue funds.					
TIP	If an agency is receiving federal funds from another agency the FSI should = 9 (Transfer - Recipient of Federal Funds). The agency that originally receives the funds directly from the federal agency should use FSI = 3 (Federal Funds).					
TIP	If an appropriation made in the FY 2019-20 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) (Required to be posted to the Florida Fiscal Portal)						
8.1	Has a separate department level Schedule I and supporting documents package been submitted by the agency?	N/A	N/A	N/A	N/A	N/A
8.2	Has a Schedule I and Schedule IB been completed in LAS/PBS for each operating trust fund?	N/A	N/A	N/A	N/A	N/A
8.3	Have the appropriate Schedule I supporting documents been included for the trust funds (Schedule IA, Schedule IC, and Reconciliation to Trial Balance)?	N/A	N/A	N/A	N/A	N/A
8.4	Have the Examination of Regulatory Fees Part I and Part II forms been included for the applicable regulatory programs?	N/A	N/A	N/A	N/A	N/A
8.5	Have the required detailed narratives been provided (5% trust fund reserve narrative; method for computing the distribution of cost for general management and administrative services narrative; adjustments narrative; revenue estimating methodology narrative; fixed capital outlay adjustment narrative)?	N/A	N/A	N/A	N/A	N/A
8.6	Has the Inter-Agency Transfers Reported on Schedule I form been included as applicable for transfers totaling \$100,000 or more for the fiscal year?	N/A	N/A	N/A	N/A	N/A
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?	N/A	N/A	N/A	N/A	N/A
8.8	If the agency is scheduled for the annual trust fund review this year, have the necessary trust funds been requested for creation pursuant to section 215.32(2)(b), Florida Statutes - including the Schedule ID and applicable legislation?	N/A	N/A	N/A	N/A	N/A
8.9	Are the revenue codes correct? In the case of federal revenues, has the agency appropriately identified direct versus indirect receipts (object codes 000700, 000750, 000799, 001510 and 001599)? For non-grant federal revenues, is the correct revenue code identified (codes 000504, 001270, 001870, 001970)?	N/A	N/A	N/A	N/A	N/A
8.10	Are the statutory authority references correct?	N/A	N/A	N/A	N/A	N/A
8.11	Are the General Revenue Service Charge percentage rates used for each revenue source correct? (Refer to section 215.20, Florida Statutes, for appropriate General Revenue Service Charge percentage rates.)	N/A	N/A	N/A	N/A	N/A
8.12	Is this an accurate representation of revenues based on the most recent Consensus Estimating Conference forecasts?	N/A	N/A	N/A	N/A	N/A
8.13	If there is no Consensus Estimating Conference forecast available, do the revenue estimates appear to be reasonable?	N/A	N/A	N/A	N/A	N/A
8.14	Are the federal funds revenues reported in Section I broken out by individual grant? Are the correct CFDA codes used?	N/A	N/A	N/A	N/A	N/A
8.15	Are anticipated grants included and based on the state fiscal year (rather than federal fiscal year)?	N/A	N/A	N/A	N/A	N/A
8.16	Are the Schedule I revenues consistent with the FSI's reported in the Exhibit D-3A?	N/A	N/A	N/A	N/A	N/A
8.17	If applicable, are nonrecurring revenues entered into Column A04?	N/A	N/A	N/A	N/A	N/A
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?	N/A	N/A	N/A	N/A	N/A
8.19	Is a 5% trust fund reserve reflected in Section II? If not, is sufficient justification provided for exemption? Are the additional narrative requirements provided?	N/A	N/A	N/A	N/A	N/A

Action		Program or Service (Budget Entity Codes)				
		43900530	43900540	43900550	43900560	43900570
8.20	Are appropriate General Revenue Service Charge nonoperating amounts included in Section II?	N/A	N/A	N/A	N/A	N/A
8.21	Are nonoperating expenditures to other budget entities/departments cross-referenced accurately?	N/A	N/A	N/A	N/A	N/A
8.22	Do transfers balance between funds (within the agency as well as between agencies)? (See also 8.6 for required transfer confirmation of amounts totaling \$100,000 or more.)	N/A	N/A	N/A	N/A	N/A
8.23	Are nonoperating expenditures recorded in Section II and adjustments recorded in Section III?	N/A	N/A	N/A	N/A	N/A
8.24	Are prior year September operating reversions appropriately shown in column A01, Section III?	N/A	N/A	N/A	N/A	N/A
8.25	Are current year September operating reversions (if available) appropriately shown in column A02, Section III?	N/A	N/A	N/A	N/A	N/A
8.26	Does the Schedule IC properly reflect the unreserved fund balance for each trust fund as defined by the LBR Instructions, and is it reconciled to the agency accounting records?	N/A	N/A	N/A	N/A	N/A
8.27	Has the agency properly accounted for continuing appropriations (category 13XXXX) in column A01, Section III?	N/A	N/A	N/A	N/A	N/A
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?	N/A	N/A	N/A	N/A	N/A
8.29	Does Line I of Column A01 (Schedule I) equal Line K of the Schedule IC?	N/A	N/A	N/A	N/A	N/A
AUDITS:						
8.30	Is Line I a positive number? (If not, the agency must adjust the budget request to eliminate the deficit).	N/A	N/A	N/A	N/A	N/A
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")	N/A	N/A	N/A	N/A	N/A
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)	N/A	N/A	N/A	N/A	N/A
8.33	Has a Schedule IB been provided for ALL trust funds having an unreserved fund balance in columns A01, A02 and/or A03, and if so, does each column's total agree with line I of the Schedule I?	N/A	N/A	N/A	N/A	N/A
8.34	Have A/R been properly analyzed and any allowances for doubtful accounts been properly recorded on the Schedule IC?	N/A	N/A	N/A	N/A	N/A
TIP	The Schedule I is the most reliable source of data concerning the trust funds. It is very important that this schedule is as accurate as possible!					
TIP	Determine if the agency is scheduled for trust fund review. (See page 128 of the LBR Instructions.) Transaction DFTR in LAS/PBS is also available and provides an LBR review date for each trust fund.					
TIP	Review the unreserved fund balances and compare revenue totals to expenditure totals to determine and understand the trust fund status.					
TIP	Typically nonoperating expenditures and revenues should not be a negative number. Any negative numbers must be fully justified.					
9. SCHEDULE II (PSCR, SC2)						
AUDIT:						
9.1	Is the pay grade minimum for salary rate utilized for positions in segments 2 and 3? (BRAR, BRAA - Report should print "No Records Selected For This Request") Note: Amounts other than the pay grade minimum should be fully justified in the D-3A issue narrative. (See <i>Base Rate Audit</i> on page 159 of the LBR Instructions.)	N/A	N/A	N/A	N/A	N/A
10. SCHEDULE III (PSCR, SC3)						
10.1	Is the appropriate lapse amount applied? (See page 92 of the LBR Instructions.)	N/A	N/A	N/A	N/A	N/A

Action	Program or Service (Budget Entity Codes)				
	43900530	43900540	43900550	43900560	43900570
10.2 Are amounts in <i>Other Salary Amount</i> appropriate and fully justified? (See page 95 of the LBR Instructions for appropriate use of the OAD transaction.) Use OADI or OADR to identify agency other salary amounts requested.	N/A	N/A	N/A	N/A	N/A
11. SCHEDULE IV (EADR, SC4)					
11.1 Are the correct Information Technology (IT) issue codes used?	N/A	N/A	N/A	N/A	N/A
TIP If IT issues are not coded (with "C" in 6th position or within a program component of 1603000000), 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 be included in the priority listing.	N/A	N/A	N/A	N/A	N/A
13. SCHEDULE VIIIB-1 (EADR, S8B1)					
13.1 NOT REQUIRED FOR THIS YEAR	N/A	N/A	N/A	N/A	N/A
14. SCHEDULE VIIIB-2 (EADR, S8B2) (Required to be posted to the Florida Fiscal Portal)					
14.1 Do the reductions comply with the instructions provided on pages 101 through 103 of the LBR Instructions regarding a 10% reduction in recurring General Revenue and Trust Funds, including the verification that the 33BXXX0 issue has NOT been used? Verify that excluded appropriation categories and funds were not used (e.g. funds with FSI 3 and 9, etc.)	Y	Y	Y	Y	Y
TIP Compare the debt service amount requested (IOE N or other IOE used for debt service) with the debt service need included in the Schedule VI: Detail of Debt Service, to determine whether any debt has been retired and may be reduced.					
15. SCHEDULE VIIIC (EADR, S8C) (This Schedule is optional, but if included it is required to be posted to the Florida Fiscal Portal)					
15.1 Does the schedule display reprioritization issues that are each comprised of two unique issues - a deduct component and an add-back component which net to zero at the department level?	N/A	N/A	N/A	N/A	N/A
15.2 Are the priority narrative explanations adequate and do they follow the guidelines on pages 104-106 of the LBR instructions?	N/A	N/A	N/A	N/A	N/A
15.3 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?	N/A	N/A	N/A	N/A	N/A
AUDIT:					
15.6 Do the issues net to zero at the department level? (GENR, LBR5)	N/A	N/A	N/A	N/A	N/A
16. SCHEDULE XI (UCSR, SCXI) (LAS/PBS Web - see pages 107-111 of the LBR Instructions for detailed instructions) (Required to be posted to the Florida Fiscal Portal in Manual Documents)					
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 section 216.023(4) (b), Florida Statutes, the Legislature can reduce the funding level for any agency that does not provide this information.)	N/A	N/A	N/A	N/A	N/A
16.2 Do the PDF files uploaded to the Florida Fiscal Portal for the LRPP and LBR match?	N/A	N/A	N/A	N/A	N/A
AUDITS INCLUDED IN THE SCHEDULE XI REPORT:					
16.3 Does the FY 2018-19 Actual (prior year) Expenditures in Column A36 reconcile to Column A01? (GENR, ACT1)	N/A	N/A	N/A	N/A	N/A
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")	N/A	N/A	N/A	N/A	N/A
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")	N/A	N/A	N/A	N/A	N/A

Action		Program or Service (Budget Entity Codes)				
		43900530	43900540	43900550	43900560	43900570
16.6	Has the agency provided the necessary standard (Record Type 5) for all activities which <u>should</u> appear in Section II? (Note: The activities listed in Audit #3 do not have an associated output standard. In addition, the activities were not identified as a Transfer to a State Agency, as Aid to Local Government, or a Payment of Pensions, Benefits and Claims. Activities listed here should represent transfers/pass-throughs that are not represented by those above or administrative costs that are unique to the agency and are not appropriate to be allocated to all other activities.)	N/A	N/A	N/A	N/A	N/A
16.7	Does Section I (Final Budget for Agency) and Section III (Total Budget for Agency) equal? (Audit #4 should print "No Discrepancies Found")	N/A	N/A	N/A	N/A	N/A
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 (Required to be posted to the Florida Fiscal Portal)						
17.1	Do exhibits and schedules comply with LBR Instructions (pages 112 through 156 of the LBR Instructions), and are they accurate and complete?	N/A	N/A	N/A	N/A	N/A
17.2	Does manual exhibits tie to LAS/PBS where applicable?	N/A	N/A	N/A	N/A	N/A
17.3	Are agency organization charts (Schedule X) provided and at the appropriate level of detail?	N/A	N/A	N/A	N/A	N/A
17.4	Does the LBR include a separate Schedule IV-B for each IT project over \$1 million (see page 132 of the LBR instructions for exceptions to this rule)? Have all IV-Bs been emailed to: IT@LASPBS.STATE.FL.US?	N/A	N/A	N/A	N/A	N/A
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) ?	N/A	N/A	N/A	N/A	N/A
AUDITS - GENERAL INFORMATION						
TIP	Review <i>Section 6: Audits</i> of the LBR Instructions (pages 158-160) 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) (Required to be posted to the Florida Fiscal Portal)						
18.1	Are the CIP-2, CIP-3, CIP-A and CIP-B forms included?	N/A	N/A	N/A	N/A	N/A
18.2	Are the CIP-4 and CIP-5 forms submitted when applicable (see CIP Instructions)?	N/A	N/A	N/A	N/A	N/A
18.3	Do all CIP forms comply with CIP Instructions where applicable (see CIP Instructions)?	N/A	N/A	N/A	N/A	N/A
18.4	Does the agency request include 5 year projections (Columns A03, A06, A07, A08 and A09)?	N/A	N/A	N/A	N/A	N/A
18.5	Are the appropriate counties identified in the narrative?	N/A	N/A	N/A	N/A	N/A
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?	N/A	N/A	N/A	N/A	N/A
TIP	Requests for Fixed Capital Outlay appropriations which are Grants and Aids to Local Governments and Non-Profit Organizations must use the Grants and Aids to Local Governments and Non-Profit Organizations - Fixed Capital Outlay major appropriation category (140XXX) and include the sub-title "Grants and Aids". These appropriations utilize a CIP-B form as 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