



State of Florida
Department of Children and Families

Ron DeSantis
Governor

Chad Poppell
Secretary

LEGISLATIVE BUDGET REQUEST

September 16, 2019

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

Cindy Kynoch, Staff Director
Senate Committee on Appropriations
201 Capitol
Tallahassee, Florida 32399-1300

Dear Directors:

Pursuant to Chapter 216, Florida Statutes, our Legislative Budget Request for the Department of Children and Families 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.

The Schedule VIII B-2 requires agencies to review and consider reductions in existing agency recurring fund budgets. The instructions with the schedule and the allocation of targets create a requirement for the exercise. The Department of Children and Families has completed the exercise as required by the instructions. Program offices, field leadership, and senior management within the agency considered the targets, the requirements of the exercise, agency legislative mission, as well as impacts. The result is contained in Schedule VIII B-2 after final review.

It is important to note that the agency is not recommending that any of the proposed funding cuts be implemented. Any reduction to the agency's budget will have a negative impact on critical safety net programs and services that are currently operating at capacity.

If I may be of further assistance, please let me know.

Sincerely,

Chad Poppell
Secretary

1317 Winewood Boulevard, Tallahassee, Florida 32399-0700

**Florida Department of Children and Families
Temporary Special Duty – General Pay Additives Implementation Plan
Fiscal Year 2020-2021**

Pursuant to Section 110.2035(7)(b), F.S., this is the Florida Department of Children and Families (DCF) written plan for implementing temporary special duties – general pay additives for Fiscal Year 2020-21. DCF requests approval to continue long-standing pay additives. The agency is not requesting any additional rate or appropriations for these additives.

In accordance with previous rule authority in 60L-32.0012, Florida Administrative Code, the agency has used existing rate and salary appropriations to grant pay additives when warranted based on the duties and responsibilities of the position. The requested additives are justified for reasons such as the need to recruit and retain employees with key skills and the specialized training required to perform the duties.

Pay additives are a valuable management tool which allows agencies to recognize and compensate employees for identified duties without providing a permanent pay increase.

The Department of Children and Families submits the following plan granting a temporary special duty pay additive of 5 percent of the employee's base rate of pay to:

Certified Nursing Assistant Pay Additive

All employees in the Human Services Worker I, Human Services Worker II, and Unit Treatment and Rehabilitation Specialist classes who work within the 13-1E, 13-1W, 32N, or 32S living areas at the Northeast Florida State Hospital or the Specialty Care Unit and Medical Services Unit at Florida State Hospital. Such additive may be awarded only during the time the employees work within those living areas at the Northeast Florida State Hospital.

The Career Service positions within two of these living areas require incumbents to possess a Certified Nursing Assistant (CNA) license and the other two living areas where it is preferred that incumbents possess a CNA license. The individuals served on these living areas are medically complex, in addition to being diagnosed with severe and persistent mental illness. In order to provide care for these complex and multi-medical problem individuals, an extensive skill set above that of the regular direct care staff is required. The staff providing care in these areas have received extensive training and have passed both a written and practical exam in order to be licensed as a CNA by the State of Florida.

Florida State Hospital (FSH) has two residential units (Specialty Care Unit and Medical Services Unit) where the majority of residents are medically complex in addition to being diagnosed with severe and persistent mental illness. In order to provide care for these multi-medical problem individuals, an extensive skill set above that of the regular direct care staff is preferred, although not required. Staff who hold a CNA license have received extensive training and have passed both a written and practical exam in order to be licensed as a CNA by the State of Florida. The justification is as follows:

1. This pay additive is necessary for employee retention in these work locations. The additional training and extensive skills of a CNA which are also in demand by outside nursing homes, medical hospitals, and numerous other facilities. The agency requests approval to offer this pay additive to employees who are hired into these units.
2. This additive will be in effect from the first day the employee is assigned to one of the designated living areas.
3. This additive will be effective until the employee leaves that position/designated living area.

4. NEFSH employees will receive a five percent (5%) pay additive. For FSH, these employees will receive this pay additive in addition to the Temporary Special Duty additive described below.
5. For NEFSH, includes a total of 110 F.T.E. Career Service positions in the following classifications:
 - Human Service Worker I
 - Human Service Worker II

For FSH, includes a total of 182 F.T.E. Career Service positions in the following classifications:

 - Human Service Worker I
 - Human Service Worker II
 - Unit Treatment and Rehabilitation Specialist
6. At NEFSH, this additive has been provided for at least the past 14+ years.
7. The annual cost at NEFSH is approximately \$136,802.52. The annual cost at FSH is approximately \$249,278.09.
8. The classes included in this plan are represented by AFSCME Council 79. Article 25, Section 1 of the AFSCME agreement states, "Pay shall be in accordance with the Fiscal Year 2019-2020 General Appropriations Act and other provisions of state law." DCF has a past practice of providing these pay additives to bargaining unit employees.

Temporary Special Duty Additive

The Specialty Care Unit (SCU) at Florida State Hospital (FSH) is a 168 bed residential unit which serves a diverse population of individuals requiring mental health treatment as well as geriatric and long term care. This geriatric population is frequently composed of individuals with a variety of medically complex conditions in addition to their primary diagnosis of mental illness. Thirty-four (34) beds within this geriatric population are certified as a 'distinct part' by the Centers for Medicare and Medicaid Services and require significant health care resources. The distinction of certification offers a higher degree of state and federal agency oversight for provision of care. The higher level of care required for the resident population also offers great challenges in terms of staffing the unit. Employees hired frequently request transfer to another residential unit soon after hire, creating a perpetual staffing shortage that has been difficult to stabilize. All employees in the Human Services Worker I, Human Services Worker II, and Unit Treatment and Rehabilitation Specialist classes who work within the Specialty Care Unit at the Florida State Hospital. Such additive may be awarded only during the time those employees work within the Specialty Care Unit at the Florida State Hospital. The justification is as follows:

1. This pay additive is necessary in order for employee retention in these work locations. The agency requests approval to offer this pay additive to employees who are hired into these units.
2. The employees will receive a five percent (5%) pay additive.
3. This additive will be effective until the employee leaves the position/designated area.
4. Includes a total of 163 F.T.E. Career Service positions in the following classifications:
 - Human Service Worker I
 - Human Service Worker II
 - Unit Treatment & Rehabilitation Specialist
5. This additive was previously approved and provided for the past 14+ years for positions under the original agreement/implementation plan.
6. Annual cost is approximately \$216,579.33.

7. The classes included in this plan are represented by AFSCME Council 79. Article 25, Section 1 of the AFSCME Agreement states “Pay shall be in accordance with the Fiscal Year 2019-2020 General Appropriations Act and other provisions of state law.” DCF has a past practice of providing these pay additives to bargaining unit employees.

The Medical Services Unit (MSU) at FSH provides in-patient, emergency, out-patient, ancillary, and after-hours partial pharmacy services to residents of FSH and the Developmentally Disabled Defendant Program with the Agency for Persons with Disabilities. The individuals served in this unit are medically unstable and require inpatient medical care, in addition to being diagnosed with severe and persistent mental illness. In-patient medical care is provided on a 24-bed medical ward and is staffed with a full-time physician, registered nurses and direct services staff across three shifts. All employees in the Human Services Worker I and Human Services Worker II classes who work within the Medical Services Unit at the Florida State Hospital. Such additive may be awarded only during the time those employees work within the Medical Services Unit at the Florida State Hospital. The justification is as follows:

1. This pay additive is necessary in order for employee retention in these work locations. The agency requests approval to offer this pay additive to employees who are hired into these units.
2. The employees will receive a five percent (5%) pay additive.
3. This additive will be effective until the incumbent leaves the position/designated area.
4. Includes a total of 19 F.T.E. Career Service positions in the following classifications:
 - Human Service Worker I
 - Human Service Worker II
5. Annual cost is approximately \$22,698.69.
6. The classes included in this plan are represented by AFSCME Council 79. Article 25, Section 1 of the AFSCME Agreement states “Pay shall be in accordance with the Fiscal Year 2019-2020 General Appropriations Act and other provisions of state law.” DCF has a past practice of providing these pay additives to bargaining unit employees.

Child Protective Investigation Weekend Unit Pay Additive

Child Protective Investigations is an area responsible for conducting investigations regarding allegations of abuse, neglect, abandonment and/or special conditions for children; Collects information through interviews with the children, parents, relatives, neighbors, and other parties associated with the case; and engages families, identifies needs and determines the level of intervention needed to include voluntary services or court ordered dependency services; provides services linkages to agency and community resources based on needs assessment. Employees in these positions were required to be on-call and work weekends which causes an unstable work week and increase workload; this created a high turnover rate and recruitment difficulties. All employees in Child Protective Investigator, Senior Child Protective Investigator and support staff classes who work in a weekend unit. Such additive may be awarded only during the time such employees work in a weekend unit. The justification is as follows:

1. This pay additive is necessary for employee retention in these units. Offering additional compensation for working in a “weekend unit” has significantly improved morale and retention.
2. These additives will be in effect from the first day the incumbent is assigned to the position.
3. This additive will be effective until the employee leaves that position, or the position is moved to standard workweek schedule.
4. The employees will receive a five percent (5%) pay additive.

5. Includes a total of 66 F.T.E. Career Service positions in the following classifications:
 - Senior Child Protective Investigator
 - Child Protective Investigator
 - Support Staff Positions
6. This additive has been provided for the past 5 years.
7. Annual cost is approximately \$134,669.45.
8. The classes included in this plan are represented by AFSCME Council 79. The relevant collective bargaining agreement language states as follows: "Increases to base rate of pay and salary additives shall be in accordance with state law and the Fiscal Year 2019-2020 General Appropriations Act." See Article 25, Section 1 (B) of the AFSCME Agreement. We would anticipate similar language in future agreements. DCF has a past practice of providing these pay additives to bargaining unit employees.

Abuse Hotline Weekend Unit Pay Additive

Abuse Hotline is an area operating 24 hours a day, 7 days a week and is responsible for receiving and assessing allegations of abuse, neglect or abandonment of children, and abuse, neglect of exploitation of vulnerable adults. The Hotline determines if the information meets statutory criteria for an investigation of referral to an appropriate agency. Employees enter abuse reports in the appropriate information system and research appropriate information systems to determine prior history to assist in the safety and risk assessment of alleged victim. All Adult Registry Counselors who work in a weekend unit at the Abuse Hotline. Such additive may be awarded only during the time such employees work in a weekend unit. The justification is as follows:

1. This pay additive is necessary in order for employee retention in these units. Offering additional compensation for working in a "weekend unit" has significantly improved morale and retention.
2. These additives will be in effect from the first day the incumbent is assigned to the position.
3. These additives will be effective until the incumbent leaves that position or the position is moved to standard workweek schedule.
4. The employees will receive a five percent (5%) pay additive.
5. Includes a total of 48 F.T.E. Career Service positions in the following classifications:
 - Abuse Registry Counselor
6. These pay additives have been provided for the past 6 years.
7. Annual Cost approximately \$148,351.75.
8. The classes included in this plan are represented by AFSCME Council 79. The relevant collective bargaining agreement language states as follows: "Increases to base rate of pay and salary additives shall be in accordance with state law and the Fiscal Year 2019-2020 General Appropriations Act." See Article 25, Section 1 (B) of the AFSCME Agreement. We would anticipate similar language in future agreements. DCF has a past practice of providing these pay additives to bargaining unit employees.

Questions regarding this plan may be directed to Shelby Jefferson, HR Director, at (850) 717-4548 or Debra Johnson in DCF HQ HR at (850) 717-4543.



**DEPARTMENT
LEVEL
EXHIBITS &
SCHEDULES**

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 Children and Families		
Contact Person:	Javier Enriquez	Phone Number:	850-921-8675
Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	<p>CLAYTON HARRELL, by and through his Next of Friend, Connie Harrell, and AUSTIN TRUEBLOOD, by and through his guardian, Suzanne Trueblood, on behalf of themselves and all others similarly situated,</p> <p style="text-align: center;">Plaintiffs,</p> <p style="text-align: center;">v.</p> <p>CHAD POPPELL, in his official capacity as Secretary for the Florida Department of Children and Families, and MARY MAYHAW, in her official capacity as Secretary for the Florida Agency for Health Care Administration,</p>		
Court with Jurisdiction:	U.S. District Court, Middle District of Florida, Jacksonville Division		
Case Number:	3:19-cv-00912		
Summary of the Complaint:	This is a proposed CLAS ACTION lawsuit. The Plaintiffs allege the Defendants’ fail to conduct <i>ex parte</i> reviews of certain individuals’ Medicaid eligibility prior to termination of benefits and fail to provide sufficient notice of termination of Medicaid coverage.		
Amount of the Claim:	Plaintiffs request declaratory relief that Defendants’ actions around eligibility review for Medicaid violated Federal Law and U.S. Constitution, and to enjoin the Defendants from continued violations, while requiring them to reinstate Medicaid coverage to all affected class members until their Medicaid eligibility has been properly re-determined and timely notice provided. The Plaintiffs ask the court to reserve jurisdiction and award them attorneys fees and costs.		
Specific Statutes or Laws (including GAA) Challenged:	42 U.S.C. § 1396(a)(3), (8), and (10), and the Due Process Clause of the 14 th Amendment.		
Status of the Case:	DCF was served on August 9, 2019. The Defendants filed an Unopposed Motion For Extension of Time on August 27, 2019, requesting an additional twenty days to respond.		
Who is representing (of record) the state in this lawsuit? Check all that	<input checked="" type="checkbox"/>	Agency Counsel	
	<input type="checkbox"/>	Office of the Attorney General or Division of Risk Management	

apply.		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).	Florida Health Justice Project, Disability Rights of Florida, and the National Center for Law and Economic Justice.	

Office of Policy and Budget – June 2019

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 Children and Families		
Contact Person:	Javier Enriquez	Phone Number:	850-921-8675
Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	<p>H.G. and M.G. through their next friend ROBERT LATHAM, C.P. through his next friend PAULA VELAZQUEZ, L.T. through her next friend ROBERT LATHAM, F.C. through his next friend STEWART COOKE, S.A. through her next friend STEWART COOKE, and N.K. through her next friend BERNARD PERLMUTTER, for themselves and those similarly situated.</p> <p style="text-align: center;">Plaintiffs,</p> <p style="text-align: center;">v.</p> <p>MIKE CARROLL, in his official capacity as Secretary of the Florida Department of Children and Families.</p> <p style="text-align: center;">Defendant.</p>		
Court with Jurisdiction:	U.S District Court, Northern District, Tallahassee Division		
Case Number:	4:18-cv-00100-RH/CAS		
Summary of the Complaint:	<p>This was a CLASS ACTION lawsuit, filed in the US District Court in the Northern District of Florida, Tallahassee Division. The Plaintiffs asked the Court to enter permanent INJUNCTIVE relief regarding integral functions of the child welfare system in Monroe and Dade Counties (aka the Southern Region), under the supervision of a federal monitor.</p>		
Amount of the Claim:	<p>\$ 1.4M in attorney costs and fees awarded to Plaintiffs' attorneys (to be paid by DFS, Division of Risk Management). The settlement agreement provides for a work group, gap analysis, and implementation to meet and hold specified federal standards around placement stability and mental and behavioral health needs, no later than December 2022. Additionally, DCF agreed to certain placement commitments to be met no later than June 2022.</p>		
Specific Statutes or Laws (including GAA) Challenged:	<p>42 U.S.C. §1396a; 42 U.S.C. §. 1396d(r)(1)(A), (B); 42 U.S.C. § 1396d(r)(5) Fla. Stat. Ann., § 409.996(13).</p>		
Status of the Case:	<p>A settlement was reached and a Judgement and Order approving the settlement and ordering its enforcement was entered on 08/05/19.</p>		

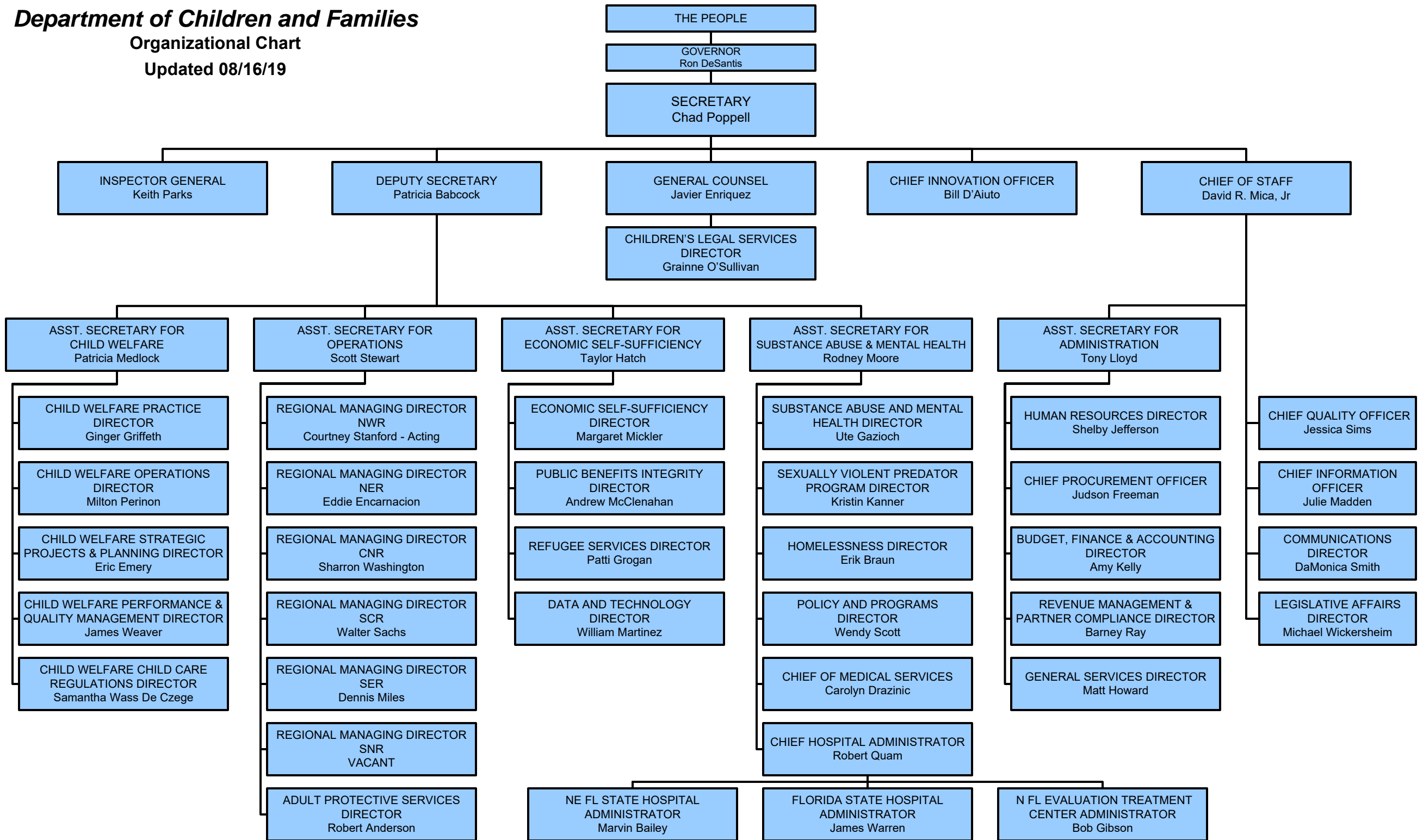
Who is representing (of record) the state in this lawsuit? Check all that apply.	<input type="checkbox"/>	Agency Counsel
	<input type="checkbox"/>	Office of the Attorney General or Division of Risk Management
	<input checked="" type="checkbox"/>	Outside Contract Counsel
If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).	Children's Rights and Baker McKenzie	

Office of Policy and Budget – June 2019

Department of Children and Families

Organizational Chart

Updated 08/16/19



CHILDREN AND FAMILIES, DEPARTMENT OF		FISCAL YEAR 2018-19			
SECTION I: BUDGET		OPERATING		FIXED CAPITAL OUTLAY	
TOTAL ALL FUNDS GENERAL APPROPRIATIONS ACT		3,187,507,133		4,650,000	
ADJUSTMENTS TO GENERAL APPROPRIATIONS ACT (Supplementals, Vetoes, Budget Amendments, etc.)		151,800,229		13,655,299	
FINAL BUDGET FOR AGENCY		3,339,307,362		18,305,299	
SECTION II: ACTIVITIES * MEASURES		Number of Units	(1) Unit Cost	(2) Expenditures (Allocated)	(3) FCO
Executive Direction, Administrative Support and Information Technology (2)					18,305,299
Protective Services * Number of people receiving protective supervision, and protective intervention services and number of investigations completed		54,622	954.47	52,134,934	
Healthy Families * Number of families served in Healthy Families		9,622	2,949.52	28,380,263	
Protective Investigations * Number of investigations		191,030	1,356.51	259,134,979	
In-home Supports * Number of children under protective supervision (point in time)		10,800	30,974.79	334,527,783	
Out-of-home Supports * Number of children with a goal of adoption who remain in out-of-home care after 24 months.		3,554	100,856.27	358,443,167	
Child Welfare Legal Services * Number of termination of parental rights petitions filed		5,508	10,919.67	60,145,526	
Emergency Shelter Supports * Number of adults with a safety plan upon leaving domestic violence shelter after 72 hours		6,323	7,147.47	45,193,450	
Report Intake, Assessment And Referral * Number of calls to the Florida Abuse Hotline		423,511	57.72	24,443,358	
Adoption Subsidies * Number of children receiving adoption subsidies		40,401	5,348.82	216,097,773	
Adoption Services * Children receiving adoptive services		7,747	6,987.22	54,129,959	
License Child Care Arrangements * Number of facilities and homes licensed		9,343	2,311.91	21,600,136	
Daily Living * Number of qualified disabled adults (ages(18 - 59) in the CCDA, ADA Medicaid Waiver Programs, and Consumer Directed Care Medicaid Waiver		396	5,156.52	2,041,982	
Home Care For Disabled Adults * Number of qualified disabled adults (ages 18 - 59) in the HCDA Program		1,178	1,686.94	1,987,219	
Emergency Stabilization * Number of children served		2,490	2,045.43	5,093,126	
Emergency Stabilization * Number of adults served		24,456	4,117.47	100,696,828	
Provide Forensic Treatment * Number of adults in forensic commitment served		3,540	50,553.70	178,960,101	
Provide Civil Treatment * Number of people in civil commitment served		1,908	113,674.15	216,890,287	
Community Support Services * Number of children served		45,307	1,841.81	83,446,939	
Community Support Services * Number of adults with forensic involvement served.		3,293	121,275.29	399,359,539	
Assessment * Number of sexual predators assessed		3,642	9,222.04	33,586,665	
Detoxification * Number of children served		210	5,176.71	1,087,109	
Treatment And Aftercare * Number of children with substance-abuse problems served		15,457	2,703.25	41,784,133	
Detoxification * Number of adults provided detoxification and crisis supports		52,997	1,314.08	69,642,121	
Prevention * Number of at-risk adults provided prevention services		109,851	739.59	81,245,139	
Benefit Recovery/Error Rate Reduction * Return on investment from fraud prevention/benefit recovery		46,330,784	0.39	18,073,425	
Refugee Assistance * Number of refugee clients served		32,719	1,383.33	45,261,298	
Issue Optional State Supplementation Payments * Number of applications processed for Optional State Supplementation payments		263	41,166.56	10,826,805	
Homeless Assistance * Number of grants issued for homeless clients		47,204	330.65	15,607,957	
Eligibility Determination/Case Management * Number of cash assistance payments		599,081	541.86	324,618,814	
Issue Welfare Transition Program Payments * Total number of cash assistance applications		401,658	318.19	127,803,841	
TOTAL				3,212,244,656	18,305,299
SECTION III: RECONCILIATION TO BUDGET					
PASS THROUGHS					
TRANSFER - STATE AGENCIES					
AID TO LOCAL GOVERNMENTS					
PAYMENT OF PENSIONS, BENEFITS AND CLAIMS				4,565,498	
OTHER					
REVERSIONS				122,497,529	
TOTAL BUDGET FOR AGENCY (Total Activities + Pass Throughs + Reversions) - Should equal Section I above. (4)				3,339,307,683	18,305,299

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

- (1) Some activity unit costs may be overstated due to the allocation of double budgeted items.
- (2) Expenditures associated with Executive Direction, Administrative Support and Information Technology have been allocated based on FTE. Other allocation methodologies could result in significantly different unit costs per activity.
- (3) Information for FCO depicts amounts for current year appropriations only. Additional information and systems are needed to develop meaningful FCO unit costs.
- (4) Final Budget for Agency and Total Budget for Agency may not equal due to rounding.

SCHEDULE XII: OUTSOURCING OR PRIVATIZATION OF A SERVICE OR ACTIVITY

Schedule XII Cover Sheet and Agency Project Approval	
Agency:	Schedule XII Submission Date:
Project Name:	Is this project included in the Agency's LRPP? <input type="checkbox"/> Yes <input type="checkbox"/> No
FY 2020 - 2021 LBR Issue Code:	FY 2020 -2021 LBR Issue Title:
Agency Contact for Schedule XII (Name, Phone #, and E-mail address):	
AGENCY APPROVAL SIGNATURES	
I am submitting the attached Schedule XII in support of our legislative budget request. I have reviewed and agree with the information in the attached Schedule XII.	
Agency Head:	Date:
Printed Name:	
Agency Chief Information Officer: <i>(If applicable)</i>	Date:
Printed Name:	
Budget Officer:	Date:
Printed Name:	
Planning Officer:	Date:
Printed Name:	
Project Sponsor:	Date:
Printed Name:	

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

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

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

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

Schedule XIV
Variance from Long Range Financial Outlook

Agency: Department of Children and Families

Contact: Tony Lloyd

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-

	Issue (Revenue or Budget Driver)	R/B*	FY 2020-2021 Estimate/Request Amount	
			Long Range Financial Outlook	Legislative Budget Request
a	Maintenance Adoption Subsidies			20.0
b	Community-Based Care (CBC) Lead Agencies - see line n			0.0
c	Child Abuse Investigations (department and/or sheriff's offices) - see line n			0.0
d	Children's Legal Services			1.9
e	Foster Care Room and Board Rates - see line n			0.0
f	State Mental Health Treatment Facility Needs and Operating Contracts - see line o	B	64.2	0.0
g	Domestic Violence Victims			0.0
h	Substance Abuse Prevention - see line q			0.0
i	Mental Health Services - see line o			0.0
j	Funding Needs Resulting from Recent Federal Changes - see line n			0.0
k	Fixed Capital Outlay	B		26.2
l	Executive Direction & Support Services -4001420 Enhancing Accountability through Quality Assurance	B		13.9
m	Information Technology -36200C0 Enterprise Integrated System Implementation -36351C0 Florida Safe Families Network Cloud Maintenance and Operational Expenses	B		96.7
n	Family Safety and Preservation Services -4007910 Differential Response -4007350 Multidisciplinary Staffing Team and Case Consultation -4002070 Community Based Care Safety Management Services Restoration -4000210 Foster Parent Cost of Living Adjustment Growth Rate -4002030 Title IVE Guardianship Assistance Program Payments -4000660 Community Based Care Risk Pool -4402070 Results Oriented Accountability and Data Analytics -4008300 Child Abuse Prevention and Treatment Act (CAPTA) Grant Budget Authority -4006420 Vehicle Insurance Allowance for Child Care Family Service Counselors -4001260 Enhanced Services for Human Trafficking Victims -4002040 Path Forward Funding - Restore -4003200 Adoption Incentive Benefits for State Employees and Other Applicants -4007960 Increase Enrollment for Community Care for Disabled Adults -4004400 Evidence-Based Practices and Service Intervention	B		50.7

o	Mental Health Services -4000120 Implement Anti-Ligature Improvements to Comply with Federal Regulations -4004580 Cost of Living Adjustment - Mental Health Contracted Agencies -4000580 Audio/Video Security Surveillance Systems for State Mental Health Treatment Facilities	B		5.9
p	Economic Self Sufficiency Services -4000360 Supplemental Nutrition Assistance Program (SNAP) Employment and Training Third Party Partners -4000420 Supplemental Nutrition Assistance Program (SNAP) Education Continuation Funding -4402080 Automated Employment and Income Verification	B		10.4
q	Community Substance Abuse and Mental Health Services -4005010 Expanding 211 Call Volume and Care Coordination Initiative -4001380 Forensic Community Transitional Beds -4005150 Children's Community Action Teams -4005210 Juvenile Incompetent to Proceed Program -4001360 State Opioid Response Grant Budget Authority Request -4004980 Increasing Employment Opportunities for Individuals with Mental Illnesses -4004400 Evidence-Based Practices and Service Intervention	B		46.9

3) If your agency's Legislative Budget Request does not conform to the long range financial outlook with respect to the revenue

The Department of Children and Families identified needs for the Legislative Budget Request associated with its mission and statutory mandates. Following the identification of needs the department analyzed its ability to meet those needs utilizing existing resources (base budget) and resource requests above base (state and federal funds). Utilizing that planning/funding frame the department prioritized its Legislative Budget Request. Differences between the department's request and the Long Range Financial Outlook are related to differences in the planning/funding frame utilized by the department and the those preparing the Long Range Financial Outlook.

* R/B = Revenue or Budget Driver

Office of Policy and Budget - June 2019

**SCHEDULE XV:
CONTRACT INFORMATION FOR EACH CONTRACT IN WHICH THE
CONSIDERATION TO BE PAID TO THE AGENCY IS A PERCENTAGE OF
THE VENDOR REVENUE AND IN EXCESS OF \$10 MILLION**

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

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



**BUDGET ENTITY
LEVEL
EXHIBITS &
SCHEDULES**

SCHEDULE VI: DETAIL OF DEBT SERVICE

Department: Children and Families **Budget Period 2020 - 2021**
Budget Entity: 60910506

(1)	(2)	(3)	(4)
SECTION I	ACTUAL FY 2018- 2019	ESTIMATED FY 2019-2020	REQUEST FY 2020-2021
Interest on Debt (A)	3,490,649.21	3,240,235.00	2,970,735.00
Principal (B)	5,000,000.00	5,255,000.00	5,525,000.00
Repayment of Loans (C)			
Fiscal Agent or Other Fees (D)	20,486.10	25,000.00	25,000.00
Other Debt Service (E)		6,000.00	6,000.00
Total Debt Service (F)	8,511,135.31	8,526,235.00	8,526,735.00

Explanation: South Florida Evaluation Treatment Center COP -2005 (\$41,940,000)
Florida Civil Commitment Center COP-2006(\$68,730,000)
South Florida State Hospital COP - 1998 (\$37,985,000) 0 balance

SECTION II

ISSUE: South Florida Evaluation Treatment Center COP - 2005(\$41,940,000)

(1)	(2)	(3)	(4)	(5)
INTEREST RATE	MATURITY DATE	ISSUE AMOUNT	30-Jun-20	30-Jun-21
From 4.00% to 5.00%	10/1/2025	41,940,000.00	20,250,000.00	17,775,000.00
(6)		(7)	(8)	(9)
		ACTUAL FY 2018-2019	ESTIMATED FY 2019-2020	REQUEST FY 2020-2021
Interest on Debt (G)		1,170,539.95	1,057,750.00	937,000.00
Principal (H)		2,240,000.00	2,355,000.00	2,475,000.00
Fiscal Agent or Other Fees (I)		6,969.07	10,000.00	10,000.00
Other (J)			3,000.00	3,000.00
Total Debt Service (K)		3,417,509.02	3,425,750.00	3,425,000.00

ISSUE:

Florida Civil Commitment Center COP - 2006(\$68,730,000)

INTEREST RATE	MATURITY DATE	ISSUE AMOUNT	30-Jun-20	30-Jun-21
From 4.00% to 5.00%	10/1/2029	68,730,000.00	43,610,000.00	40,560,000.00
		ACTUAL FY 2018-2019	ESTIMATED FY 2019-2020	REQUEST FY 2020-2021
Interest on Debt (G)		2,320,109.26	2,182,485.00	2,033,735.00
Principal (H)		2,760,000.00	2,900,000.00	3,050,000.00
Fiscal Agent or Other Fees (I)		13,517.03	15,000.00	15,000.00
Other (J)			3,000.00	3,000.00
Total Debt Service (K)		5,093,626.29	5,100,485.00	5,101,735.00

SCHEDULE IX: MAJOR AUDIT FINDINGS AND RECOMMENDATIONS

Budget Period: 2019 - 2020

Department: Children & Families

Chief Internal Auditor: Steven Meredith

Budget Entity: _____

Phone Number: 850-212-4685

(1)	(2)	(3)	(4)	(5)	(6)
REPORT NUMBER	PERIOD ENDING	UNIT/AREA	SUMMARY OF FINDINGS AND RECOMMENDATIONS	SUMMARY OF CORRECTIVE ACTION TAKEN	ISSUE CODE
A-1718DCF-050 Child Welfare Records Falsification	30-Jun-18	Child Welfare	The audit disclosed the following: •Some CBC lead agencies had not implemented adequate written policies and procedures regarding falsification of child welfare records; •Additional mandatory field days, especially with shadowing opportunities, may improve the effectiveness of the Department's Pre-Service Training Program and reduce falsification of child welfare records; •Using technology to streamline the workloads of child welfare professionals may also reduce falsification of child welfare records; and •Implementing additional oversight policies and practices may timely identify and address work performance issues.	Management concurred with the reported findings and recommendations. Affected lead agencies revised their policies to implement the recommended corrective actions.	
A-1819DCF-012 Substance Abuse and Mental Health Performance Measures	30-Jun-19	Substance Abuse and Mental Health	The audit disclosed the following: • Some LRPP performance measures are outdated due to changes to current federal and state laws and Department operational practices; • There were instances of inadequate data entry and/or data submission; and • There was a lack of adequate written procedures.	Management concurred with the reported findings and recommendations. SAMH will work with the Department's Office of Planning and performance to propose revisions to the LRPP measures as part of the annual LRPP process beginning July 2019. SAMH implemented changes to the Juvenile Incompetent to Proceed (JITP) program. In addition, SAMH continues to review performance outputs and outcomes with the intent to propose new, person-centered measures, which can better reflect the benefit of behavioral healthcare.	

REPORT NUMBER	PERIOD ENDING	UNIT/AREA	SUMMARY OF FINDINGS AND RECOMMENDATIONS	SUMMARY OF CORRECTIVE ACTION TAKEN	ISSUE CODE
A-1718DCF-049 Lead Agency Accountability – CBC Deficits	30-Jun-19	Administration, Office of CBC/ME Financial Accountability	<p>The audit disclosed the following:</p> <ul style="list-style-type: none"> • During the audit period, the financial viability of the CBC lead agency Community Based Care of Central Florida, Inc. (CBCCF) was significantly impacted by transactions with its affiliates: CBC of Central Florida - Holdings, Inc. (Holdings) and Community Initiatives, Inc.; • Differences exist between the compensation of administrative employees reported by CBCCF on its website and the compensation CBCCF reported to the Internal Revenue Service; and • During the audit period, the financial viability of the CBC lead agency Community Based Care of Brevard, Inc. was significantly impacted by the activities of its affiliates: Brevard C.A.R.E.S., Inc. and The National Center for Innovation and Excellence. Inc. 	<p>Management concurred with the reported findings and recommendations. The Department has provided all CPA audits to risk pool reviewers for their review of any significant unusual transactions that might impact financial viability. The Office of CBC/ME Financial Accountability (OFA) reviews lead agency management fees paid to its affiliates and reviews completes its CBC Checklist for Cost Allocation Plan Reviews and reviews additional documents in its review process. Regarding compensation review, the OFA will perform desk reviews of all lead agency contracts and confirm budget and salary data are posted on agency websites.</p>	
A-1819DCF-075 Pharmacy Controls and Prescription Medication Administration	30-Jun-19	Florida State Hospital	<p>The audit disclosed the following:</p> <ul style="list-style-type: none"> • The Pharmacy at FSH should enhance its segregation of duties practices in the receipt of controlled substances ordered. 	<p>Management concurred with the reported findings and recommendations. In-service training of all Pharmacy staff pertaining to FSHOP 150-1 was scheduled to be completed by July 31, 2019. A controlled substance log will be developed to ensure all deliveries are posted and initialed per FSHOP 150-1. A monitoring and compliance program will also be implemented to include weekly check and sign off by the Pharmacy Director and a monthly check by the Finance Director.</p>	
A-1819DCF-036 Child Care Background Screening Requirements	30-Jun-19	Child Care	<p>The audit disclosed the following:</p> <ul style="list-style-type: none"> • The Background Screening Program should update its policies and procedures; and • The Background Screening Program should enhance its procedures to ensure exemption review panel routing sheets are properly completed. 	<p>Management concurred with the reported findings and recommendations. Management implemented procedures to ensure routing sheets were properly completed and retained in individual exemption files.</p>	

REPORT NUMBER	PERIOD ENDING	UNIT/AREA	SUMMARY OF FINDINGS AND RECOMMENDATIONS	SUMMARY OF CORRECTIVE ACTION TAKEN	ISSUE CODE
Auditor General 2019-111	2018-2019	Financial Management	Department protocols for administering the CBC risk pool need enhancement to ensure that unexpended risk pool funds are returned to the Department at fiscal year-end.	The Department updated its procedures to address the identification of any surplus during the year-end reconciliation process due to a CBC receiving risk pool funding. The information is to be shared with the Secretary for final decision on whether to require repayment.	
Auditor General 2019-111	2018-2019	Financial Management	BBCBC records did not evidence the reasonableness of the \$1.175 million purchase price for certain acquired property, the value of property subsequently returned to the seller, or that the BBCBC refunded to the State the appropriate proportionate share of the State's initial investment in the property. During the period September 2013 through November 2017, interest payments and depreciation expenses related to the property totaling \$445,361 were charged to the BBCBC's contract with the Department. During that same period, the BBCBC made principal payments totaling \$127,512 with funds received from the Department for the depreciation charges.	The Department has requested BBCBC present documentation to justify the purchase price of the property as a fair and reasonable value by July 25, 2019. This documentation is required before any further action, if required, is taken. Projected final resolution is September 30, 2019.	
Auditor General 2019-111	2018-2019	Information Technology	The Department did not adequately document that sensitive data was properly sanitized from former employees' computers before the computers were disposed of.	As of March 11, 2019, the Department has updated policies related to the handling of recovered computer equipment to establish a time frame for the sanitization of media containing sensitive data and a mechanism for documenting the disposition of sanitized equipment prior to disposal, surplus, reassignment, or off-site repair.	

REPORT NUMBER	PERIOD ENDING	UNIT/AREA	SUMMARY OF FINDINGS AND RECOMMENDATIONS	SUMMARY OF CORRECTIVE ACTION TAKEN	ISSUE CODE
Auditor General 2019-101	2018-2019	Child Welfare	Department procedures for imposing administrative fines on child care providers that do not timely submit license renewal applications and for ensuring and demonstrating that providers satisfied certain registration requirements need enhancement.	The Department issued a policy on January 28, 2019 and developed a standardized tracking log that must be used statewide to document receipt of renewal applications to ensure administrative actions for receipt of late applications are completed. The administrative action must be completed in accordance with the enforcement action outlined in § 65C-22.010(2), Florida Administrative Code (F.A.C.). Licensing staff were to begin using the new tracking log beginning March 1, 2019. The quarterly monitoring tool was recently updated to include a standard to review the tracking log to ensure administrative fines have been completed. The updated tool was put into use beginning fiscal year 2019-20.	
Auditor General 2019-101	2018-2019	Child Welfare	The Department did not always timely conduct reinspections of child care providers to determine whether violations had been corrected.	The Department issued a policy on January 15, 2019 with revised reinspection timeframes. The new policy requires that reinspections be completed as early as one business day after the violation corrective action due date, but no later than 10 business days. The quarterly monitoring tool was updated immediately to reflect a standard for the new timeframes. For the third quarter monitoring (Jan – March), this standard scored a 4.28 statewide. The monitoring scoring ranges from a low of zero (not met) to a high of five (substantially met). The Department will continue to monitor this standard quarterly, direct regions to follow the policy, and train new staff on the process during preservice.	

REPORT NUMBER	PERIOD ENDING	UNIT/AREA	SUMMARY OF FINDINGS AND RECOMMENDATIONS	SUMMARY OF CORRECTIVE ACTION TAKEN	ISSUE CODE
Auditor General 2019-022	2018-2019	Information Technology	The Department did not conduct comprehensive periodic reviews of the appropriateness of user access privileges granted to the FLORIDA System and the AMS. Similar findings were noted in prior audits, most recently in report No. 2017-009.	Effective January 11, 2019, the Department implemented a pilot of the Security Audit System. This system incorporates data from multiple systems to determine users who need updates to their system access. A message will be sent to the local security officer to determine the change needed.	
Auditor General 2019-022	2018-2019	Information Technology	Some Department users had inappropriate access privileges to FLORIDA System resources, increasing the risk that unauthorized modification, loss, or disclosure of FLORIDA System IT resources may occur.	A new user profile/role needs to be created prohibit users with a security coordinator role from the ability to modify reference tables. Table modifications should be limited to certain key individuals. The ESS program office is reviewing whether a new role should be created and, if so, which individuals should be granted access to modify tables. In addition, the Security Audit System will also rectify this issue in the future.	

REPORT NUMBER	PERIOD ENDING	UNIT/AREA	SUMMARY OF FINDINGS AND RECOMMENDATIONS	SUMMARY OF CORRECTIVE ACTION TAKEN	ISSUE CODE
Auditor General 2019-186	2018-2019	Public Benefits Integrity	The FDCF did not submit the required Federal Financial Reports to the United States Department of Agriculture (USDA).	Florida's FNS-209 is fixed. The program is working with FNS to submit the corrected reports. The Department reconciled the incorrect FNS 209 reports to the new reports that were generated after the Integrated Benefit Recovery System (IBRS) changes and upgrades. FNS is working to resolve technical issues regarding the incorrect historical balances in their system. On April 9, 2019, the Department had a conference call with the USDA FNS Southeast Regional Office (SERO) to discuss submission of the corrected FNS-209 reports. The Department informed FNS SERO that we have the corrected reports, and we needed guidance on how to submit the reports and determine how many quarters of the corrected reports is required. FNS SERO will work with the USDA FNS National Office for further guidance and contact us once a determination has been made. To date, neither FNS SERO nor the National Office have contacted us.	
Auditor General 2019-186	2018-2019	Financial Management	FDCF expenditures charged to various Federal program grants were not always incurred during the authorized period of performance.	Revenue Management is currently working with the Accounting and Finance Office to identify the key challenges for determining the process needed to code payment information into FLAIR. An inventory of the different types of expenditures is currently being taken to identify the expenditure types that need a process for an additional FLAIR entry to be able to identify the service period when the payment is being entered into FLAIR.	

Fiscal Year 2020-21 LBR Technical Review Checklist

Department/Budget Entity (Service): Department of Children and Families
Agency Budget Officer/OPB Analyst Name: Amy Kelly

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)					
	60900101	60900202	60910310	60910506	60910708	60910950

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	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	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	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	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	Y
2.2 Are the statewide issues generated systematically (estimated expenditures, nonrecurring expenditures, etc.) included?	Y	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	Y

3. EXHIBIT B (EXBR, EXB)

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

Action		Program or Service (Budget Entity Codes)					
		60900101	60900202	60910310	60910506	60910708	60910950
TIP	Generally look for and be able to fully explain significant differences between A02 and A03.						
TIP	Exhibit B - A02 equal to B07: Compares Current Year Estimated column to a backup of A02. This audit is necessary to ensure that the historical detail records have not been adjusted. Records selected should net to zero.						
TIP	Requests for appropriations which require advance payment authority must use the sub-title "Grants and Aids". For advance payment authority to local units of government, the Aid to Local Government appropriation category (05XXXX) should be used. For advance payment authority to non-profit organizations or other units of state government, 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	Y
4.2	Is the program component code and title used correct?	Y	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	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	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	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	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	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)							

Action	Program or Service (Budget Entity Codes)					
	60900101	60900202	60910310	60910506	60910708	60910950
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	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	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?	NA	Y	NA	NA	NA	NA
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?	NA	Y	NA	NA	NA	NA
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	NA	Y	NA	NA	NA
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	NA	Y	NA	NA	NA
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.)	NA	NA	NA	NA	NA	NA
7.8 Does the issue narrative include the Consensus Estimating Conference forecast, where appropriate?	NA	NA	NA	NA	NA	NA
7.9 Does the issue narrative reference the specific county(ies) where applicable?	NA	NA	NA	NA	NA	Y
7.10 Do the 160XXX0 issues reflect budget amendments that have been approved (or in the process of being approved) and that have a recurring impact (including Lump Sums)? Have the approved budget amendments been entered in Column A18 as instructed in Memo #20-002?	NA	NA	NA	NA	NA	NA
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)	NA	NA	NA	NA	NA	NA
7.12 Does the issue narrative include plans to satisfy additional space requirements when requesting additional positions?	NA	NA	Y	NA	NA	NA
7.13 Has the agency included a 160XXX0 issue and 210XXXX and 260XXX0 issues as required for lump sum distributions?	NA	NA	NA	NA	NA	NA
7.14 Do the amounts reflect appropriate FSI assignments?	Y	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	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.)	NA	NA	NA	NA	NA	NA
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)?	NA	Y	NA	NA	NA	NA
7.18 Are the issues relating to <i>major audit findings and recommendations</i> properly coded (4A0XXX0, 4B0XXX0)?	NA	NA	NA	NA	NA	NA

Action		Program or Service (Budget Entity Codes)					
		60900101	60900202	60910310	60910506	60910708	60910950
7.19	Does the issue narrative identify the strategy or strategies in the Five Year Statewide Strategic Plan for Economic Development?	Y	Y	Y	Y	Y	Y
AUDIT:							
7.20	Does the General Revenue for 160XXXX (Adjustments to Current Year Expenditures) issues net to zero? (GENR, LBR1)	NA	NA	NA	NA	NA	NA
7.21	Does the General Revenue for 180XXXX (Intra-Agency Reorganizations) issues net to zero? (GENR, LBR2)	NA	NA	NA	NA	NA	NA
7.22	Does the General Revenue for 200XXXX (Estimated Expenditures Realignment) issues net to zero? (GENR, LBR3)	Y	Y	Y	Y	Y	Y
7.23	Have FCO appropriations been entered into the nonrecurring column (A04)? (GENR, LBR4 - Report should print "No Records Selected For Reporting" or a listing of D-3A issue(s) assigned to Debt Service (IOE N) or in some cases State Capital Outlay - Public Education Capital Outlay (IOE L))	Y	NA	NA	NA	NA	NA
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	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	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	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	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	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	Y

Action	Program or Service (Budget Entity Codes)					
	60900101	60900202	60910310	60910506	60910708	60910950
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?	NA	NA	NA	NA	NA	NA
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?	NA	NA	NA	NA	NA	NA
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	Y
8.10 Are the statutory authority references correct?	Y	Y	Y	Y	Y	Y
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	Y
8.12 Is this an accurate representation of revenues based on the most recent Consensus Estimating Conference forecasts?	Y	Y	Y	Y	Y	Y
8.13 If there is no Consensus Estimating Conference forecast available, do the revenue estimates appear to be reasonable?	Y	Y	Y	Y	Y	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	Y
8.15 Are anticipated grants included and based on the state fiscal year (rather than federal fiscal year)?	Y	Y	Y	Y	Y	Y
8.16 Are the Schedule I revenues consistent with the FSI's reported in the Exhibit D-3A?	Y	Y	Y	Y	Y	Y
8.17 If applicable, are nonrecurring revenues entered into Column A04?	Y	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	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	Y
8.20 Are appropriate General Revenue Service Charge nonoperating amounts included in Section II?	Y	Y	Y	Y	Y	Y
8.21 Are nonoperating expenditures to other budget entities/departments cross-referenced accurately?	Y	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	Y
8.23 Are nonoperating expenditures recorded in Section II and adjustments recorded in Section III?	Y	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	Y
8.25 Are current year September operating reversions (if available) appropriately shown in column A02, Section III?	Y	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	Y
8.27 Has the agency properly accounted for continuing appropriations (category 13XXXX) in column A01, Section III?	NA	NA	NA	NA	NA	NA

Action		Program or Service (Budget Entity Codes)					
		60900101	60900202	60910310	60910506	60910708	60910950
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	Y
8.29	Does Line I of Column A01 (Schedule I) equal Line K of the Schedule IC?	Y	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	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	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	Y
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	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	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.)	NA	NA	Y	NA	NA	NA
10. SCHEDULE III (PSCR, SC3)							
10.1	Is the appropriate lapse amount applied? (See page 92 of the LBR Instructions.)	NA	NA	NA	NA	NA	NA
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.	NA	NA	NA	NA	NA	NA
11. SCHEDULE IV (EADR, SC4)							
11.1	Are the correct Information Technology (IT) issue codes used?	NA	Y	NA	NA	NA	NA
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	Y

Action	Program or Service (Budget Entity Codes)					
	60900101	60900202	60910310	60910506	60910708	60910950
13. SCHEDULE VIII B-1 (EADR, S8B1)						
13.1 NOT REQUIRED FOR THIS YEAR	NA	NA	NA	NA	NA	NA
14. SCHEDULE VIII B-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	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 VIII C (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?	NA	NA	NA	NA	NA	NA
15.2 Are the priority narrative explanations adequate and do they follow the guidelines on pages 104-106 of the LBR instructions?	NA	NA	NA	NA	NA	NA
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?	NA	NA	NA	NA	NA	NA
AUDIT:						
15.6 Do the issues net to zero at the department level? (GENR, LBR5)	NA	NA	NA	NA	NA	NA
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	Y
16.2 Do the PDF files uploaded to the Florida Fiscal Portal for the LRPP and LBR match?	Y	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	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	Y
16.5 Does the Fixed Capital Outlay (FCO) statewide activity (ACT0210) only contain 08XXXXX or 14XXXXX appropriation categories? (Audit #2 should print "No Operating Categories Found")	Y	Y	Y	Y	Y	Y

Action	Program or Service (Budget Entity Codes)					
	60900101	60900202	60910310	60910506	60910708	60910950
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	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	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	Y
17.2 Does manual exhibits tie to LAS/PBS where applicable?	Y	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	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 ?	NA	Y	NA	NA	NA	NA
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	NA	NA	NA	NA	NA
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?	Y	NA	NA	NA	NA	NA
18.2 Are the CIP-4 and CIP-5 forms submitted when applicable (see CIP Instructions)?	Y	NA	NA	NA	NA	NA
18.3 Do all CIP forms comply with CIP Instructions where applicable (see CIP Instructions)?	Y	NA	NA	NA	NA	NA
18.4 Does the agency request include 5 year projections (Columns A03, A06, A07, A08 and A09)?	Y	NA	NA	NA	NA	NA
18.5 Are the appropriate counties identified in the narrative?	Y	NA	NA	NA	NA	NA
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	NA	NA	NA	NA	NA
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	Y