

RICK SCOTT  
Governor



CYNTHIA F. O'CONNELL  
Secretary

## FLORIDA LOTTERY

### LEGISLATIVE BUDGET REQUEST

September 15, 2011

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

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

Terry Rhodes, Staff Director  
Senate Budget Committee  
201 Capitol  
Tallahassee, Florida 32399-1300

Dear Directors:

Pursuant to Chapter 216, Florida Statutes, our Legislative Budget Request for the Department of the Lottery 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 2012-13 Fiscal Year. This submission has been approved by Cynthia F. O'Connell, Secretary of the Florida Lottery.

Any questions concerning this submission can be directed to the Florida Lottery's Budget Manager, Melisa Spivey, at 487-7777 extension 2440.

Sincerely,

A handwritten signature in blue ink that reads "Cynthia B. Jackson".

Cynthia B. Jackson, CPA  
Chief Financial Officer

CJ/dg

Enclosures



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**Florida Lottery**

**Department Level  
Exhibits & Schedules**

**Budget Request Year 2012-13**

**Cynthia F. O'Connell, Secretary  
September 2011**

Non-Strategic IT Service:		Network Service			
Dept/Agency: <b>Department of Lottery</b>		# of Assets & Resources Apportioned to this IT Service in FY 2012-13			
Prepared by: <b>Randall E. O'Bar</b>					
Phone: <b>850.487.7718</b>					
Service Provisioning - - Assets & Resources (Cost Elements)		Footnote Number	Number used for this service	Number w/ costs in FY 2012-13	Estimated FY 2012-13 Allocation of Recurring Base Budget (based on Column G64 minus G65)
<b>A. Personnel</b>			6.50		\$437,498
A-1.1	State FTE	1,2,...,7,8	6.50		\$437,498
A-2.1	OPS FTE		0.00		\$0
A-3.1	Contractor Positions (Staff Augmentation)		0.00		\$0
<b>B. Hardware</b>					\$99,612
B-1	Servers	9,10	0	0	\$0
B-2	Server Maintenance & Support	9,10	35	0	\$8,778
B-3	Network Devices & Hardware (e.g., routers, switches, hubs, cabling, etc.)	11,12	77		\$82,806
B-4	Online Storage for file and print (indicate GB of storage)	13	3200		\$2,942
B-5	Archive Storage for file and print (indicate GB of storage)	13	70		
B-6	Other Hardware Assets (Please specify in Footnote Section below)	14			\$5,085
<b>C. Software</b>					\$56,293
<b>D. External Service Provider(s)</b>					\$134,084
D-1	MyFloridaNet	15			\$134,084
D-2	Other (Please specify in Footnote Section below)				\$0
<b>E. Other (Please describe in Footnotes Section below)</b>					\$0
<b>F. Total for IT Service</b>					<b>\$727,487</b>
<b>G. Please identify the number of users of the Network Service</b>					<b>424</b>
<b>H. How many locations currently host IT assets and resources used to provide LAN services?</b>					<b>9</b>
<b>I. How many locations currently use WAN services?</b>					<b>9</b>
<b>J.</b>	<b>Footnotes - Please indicate a footnote for each corresponding row above. Maximum footnote length is 1024 characters.</b>				
1	The Schedule IV-C considers the 6.50 staff and resources associated with Network Services as non-strategic. The Lottery considers these				
2	activities as very strategic due to Florida Statute 24.105 and 24.108. The Lottery's network provides the underlying communications				
3	infrastructure for all Lottery equipment and applications, including access to administer, monitor and audit the Gaming systems, Internal Control				
4	Systems, Prize Payment system, Business Intelligence and Sales Reporting, management of the public web site, and all financial and accounting				
5	systems. The Network provides management, monitoring, control and audit ability of all gaming functions, and downtime could therefore have a				
6	significant, adverse impact on sales. The Lottery depends on being able to tightly monitor and audit the gaming systems and applications				
7	provided by its business partners and to manage and administer its various legislative and financial responsibilities. A secure, reliable and				
8	centrally managed network is critical to carrying out these responsibilities.				
9	Include 20 Physical and 5 Virtualized Servers in Production which include a 2-node cluster connected to the SAN, 1 Information Security Server,				
10	6 servers shared for lab/test/future deployments, and 3 Servers that are in the process of being upgraded.				
11	Include 2 NAC appliances, 12 firewalls, 42 switches, 3 routers, 1 sniffer, and 16 switch/routers/firewalls and 1 modem appliance. The modem				
12	appliance has no warranty. The other equipment warranties expire 03/12 and the increased costs reflect the renewal maintenance.				
13	The SAN is used for File shares, Email and VM as well as online and archive storage. The estimated costs for maintenance support are included.				
14	2 webwasher appliances with maintenance, 26 network printers, excluding copiers leased by Support Services. Cost associated is for supplies.				
15	This represents 10 MFN connections which consist of 8 - 3MB connections to District Offices + 2 MAN connections to HQ, and VPN access.				

Non-Strategic IT  
Service:

# E- Mail, Messaging, and Calendaring Service

Agency: **Department of Lottery**

Prepared by: **Randall E. O'Bar**

Phone: **850.487.7718**

# of Assets &  
Resources  
AppORTioned to this  
IT Service in FY  
2012- 13

Service Provisioning - - Assets & Resources (Cost Elements)		Footnote Number	Number used for this service	Number w/ costs in FY 2012- 13	Estimated FY 2012- 13 Allocation of Recurring Base Budget (based on Column G64 minus G65)
<b>A. Personnel</b>			1.50		\$92,756
A-1	State FTE	1,2,3	1.50		\$92,756
A-2	OPS FTE		0.00		\$0
A-3	Contractor Positions (Staff Augmentation)		0.00		\$0
<b>B. Hardware</b>					\$8,036
B-1	Servers	4		0	\$0
B-2	Server Maintenance & Support	5	5	3	\$2,972
B-3	Wireless Communication Devices (e.g., Blackberries, I-phones, PDAs, etc.)	6	175	0	\$0
B-4	Online Storage (indicate GB of storage)	7	3900		\$0
B-5	Archive Storage (indicate GB of storage)	7	1800		\$0
B-6	Other Hardware Assets (Please specify in Footnote Section below)	8,9			\$5,064
<b>C. Software</b>		8,9			\$17,251
<b>D. External Service Provider(s)</b>					\$0
D-1	Southwood Shared Resource Center				\$0
D-2	Northwood Shared Resource Center				\$0
D-3	Northwest Regional Data Center				\$0
D-4	Other Data Center External Service Provider (specify in Footnotes below)				\$0
<b>E. Other (Please describe in Footnotes Section below)</b>					
<b>F. Total for IT Service</b>					<b>\$118,043</b>
<b>G. Please provide the number of user mailboxes.</b>					<b>424</b>
<b>H. Please provide the number of resource mailboxes.</b>					<b>90</b>
<b>I. Footnotes - Please indicate a footnote for each corresponding row above. Maximum footnote length is 1024 characters.</b>					
1	The Schedule IV-C considers the 1.50 staff and resources associated with Email, Messaging, Calendaring Services as non-strategic. The Lottery considers				
2	this service as strategic due to the Lottery's reliance on secure email and the necessity of higher than standard email service of certain gaming functions				
3	such as game creation, gaming software, change management, prize fulfillment specifications, and reports as well as actual 2nd chance draw registrations.				
4	The servers consist of a 2-node Exchange cluster, Internet connector, OWA, and Blackberry.				
5	3 of the 5 servers have maintenace costs, one of the server's warranty expires 06/2012 and the other server has no warranty.				
6	The Lottery has 175 blackberries which are paid for under contract with the Lottery's Gaming Vendor, GTECH. Of the 1.5 overall staff FTE, .60 of the				
7	staff are allocated to Blackberry support (\$32,814).				
8	ISM - Ironport hardware appliance support. The Lottery has 2 additional servers for ListServ (1 server is located in HQ, and the other at the SSRC).				
9	ListServ is used to market Lottery products and as a tool to communicate with players. The subscription allows for sending 3.5 million emails monthly.				

Non- Strategic IT Service: <b>Desktop Computing Service</b>							
Agency: <b>Department of Lottery</b> Prepared by: <b>Randall E. O'Bar</b> Phone: <b>850.487.7718</b>			# of Assets & Resources Apportioned to this IT Service in FY 2012- 13				
Service Provisioning - - Assets & Resources (Cost Elements)				Footnote Number	Number used for this service	Number w/ costs in FY 2012- 13	Estimated FY 2012- 13 Allocation of Recurring Base Budget (based on Column G64 minus G65)
<b>A. Personnel</b>							
A-1	<b>State FTE</b>			1,2,..7,8	6.75		\$41,299
A-2	<b>OPS FTE</b>				0.00		\$0
A-3	<b>Contractor Positions (Staff Augmentation)</b>				0.00		\$0
<b>B. Hardware</b>							
B-1	<b>Servers</b>			9		0	\$0
B-2	<b>Server Maintenance &amp; Support</b>			10	5	5	\$1,099
B-3.1	<b>Desktop Computers</b>			11,12	524	0	\$0
B-3.2	<b>Mobile Computers</b> (e.g., Laptop, Notebook, Handheld, Wireless Computer)			13	110	0	\$0
B-3.3	<b>Other Hardware Assets</b> (Please specify in Footnote Section below)			14	44	0	\$0
<b>C. Software</b>							
				15			\$83,385
<b>D. External Service Provider(s)</b>							
					0	0	\$0
<b>E. Other</b> (Please describe in Footnotes Section below)							
							\$0
<b>F. Total for IT Service</b>							<b>\$125,783</b>
<b>G. Please identify the number of users of this service.</b>							<b>424</b>
<b>H. How many locations currently use this service?</b>							<b>9</b>
<b>I. Footnotes</b> - Please indicate a footnote for each corresponding row above. Maximum footnote length is 1024 characters.							
1	The Schedule IV-C considers the 6.75 staff and resources associated with this Desktop Services as non-strategic. The Lottery considers this						
2	service strategic, due to the requirement of Multi-State Lottery Association (MUSL). The Lottery, as a member of MUSL, is required to adhere to a						
3	strict set of rules requiring each Party to have sufficient systems in place to mitigate and manage any and all risk associated with participating in						
4	a multi-jurisdictional lottery game. Many of the Lottery's desktops are used for mission critical functions. The desktop is the portal to the						
5	Lottery's Business Accounting System, Prize Payment System and the Gaming Systems. Desktop outages of any length have the potential to						
6	adversely affect the Lottery's ability to track financials, process claims, pay prizes, collect payments and perform gaming functions such as draw						
7	functions and performing management functions required to operate our online and instant games. Therefore, MUSL rules require the Lottery to						
8	have Direct Control of PCs used to connect to the gaming and supporting systems, security, and reporting.						
9	Include 5 Physical Servers (2 for Safeboot, 1 for Office Scan, 1 for SCCM/App-v Server, 1 for MOM) and 1 Virtualized for WSUS.						
10	All 5 Physical servers will need maintenance renewals for FY 2012-13.						
11	396 desktops are deployed to staff. In addition, 15 reserved for maintenance, 20 reserved for Disaster Recovery and stored at AHCA, 54 used						
12	in common areas including the KIOSKs for players, 8 in conference rooms, 21 used for testing, and 14 in the Lottery's training room.						
13	73 laptops are deployed. An additional 47 laptops are in the process of being deployed to refresh old hardware or reserved for DR, testing, training, and presentations.						
14	The Lottery has 45 desktop printers deployed.						
15	The software costs include TrendMicro, Safeboot, as well as Microsoft Enterprise Agreement.						

Non- Strategic IT Service:		<b>Helpdesk Service</b>			
Agency: <b>Department of Lottery</b> Prepared by: <b>Randall E. O'Bar</b> Phone: <b>850.487.7718</b>		# of Assets & Resources Apportioned to this IT Service in FY 2012- 13			
Service Provisioning - - Assets & Resources (Cost Elements)		Footnote Number	Number used for this service	Number w/ costs in FY 2012- 13	Estimated FY 2012- 13 Allocation of Recurring Base Budget (based on Column G64 minus G65)
<b>A. Personnel</b>					
A-1	State FTE	1	0.00	0	\$0
A-2	OPS FTE		0.00	0	\$0
A-3	Contractor Positions (Staff Augmentation)		0.00	0	\$0
<b>B. Hardware</b>					
B-1	Servers		0	0	\$0
B-2	Server Maintenance & Support		0	0	\$0
B-3	Other Hardware Assets (Please specify in Footnote Section below)		0	0	\$0
<b>C. Software</b>					
<b>D. External Service Provider(s)</b>					
<b>E. Other (Please describe in Footnotes Section below)</b>					
<b>F. Total for IT Service</b>					
<b>\$0</b>					
<b>G. Please identify the number of users of this service.</b>					
<b>0</b>					
<b>H. How many locations currently host IT assets and resources used to provide this service?</b>					
<b>0</b>					
<b>I. What is the average monthly volume of calls/cases/tickets?</b>					
<b>0</b>					
<b>J. Footnotes - Please indicate a footnote for each corresponding row above. Maximum footnote length is 1024 characters.</b>					
1	The Lottery does not operate a help desk that meets this non-strategic service definition.				
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Non-Strategic IT Service: <b>IT Security/Risk Mitigation Service</b>				
Agency: <b>Department of Lottery</b> Prepared by: <b>Randall E. O'Bar</b> Phone: <b>850.487.7718</b>			# of Assets & Resources Apportioned to this IT Service in FY 2012-13	
Service Provisioning - - Assets & Resources (Cost Elements)	Footnote Number	Number used for this service	Number w/ costs in FY 2012-13	Estimated FY 2012-13 Allocation of Recurring Base Budget (based on Column G64 minus G65)
<b>A. Personnel</b>		6.25		\$330,406
A-1 <b>State FTE</b>	1,2,..,8,9	6.25		\$330,406
A-2 <b>OPS FTE</b>		0.00		\$0
A-3 <b>Contractor Positions (Staff Augmentation)</b>		0.00		\$0
<b>B. Hardware</b>		8	6	\$8,467
B-1 <b>Servers</b>	10		0	\$0
B-2 <b>Server Maintenance &amp; Support</b>	10	6	6	\$1,783
B-3 <b>Other Hardware Assets (Please specify in Footnote Section below)</b>	11	2	0	\$6,684
<b>C. Software</b>	12			\$11,161
<b>D. External Service Provider(s)</b>	13,14	1	1	\$30,154
<b>E. Other (Please describe in Footnotes Section below)</b>				\$0
<b>F. Total for IT Service</b>				<b>\$380,189</b>
<b>G. Footnotes - Please indicate a footnote for each corresponding row above. Maximum footnote length is 1024 characters.</b>				
1	The Schedule IV-C considers the 6.25 staff and resources associated with IT Security and Risk Mitigation as non-strategic. The Lottery considers these			
2	activities as very strategic since it plays a significant role in fulfilling the Lottery's statutory obligations defined in Florida Statute Ch 24.102 (2)(b),			
3	and 24.102 (2)(c) and 24.108. The Lottery has unique highly specialized security requirements specific to the Lottery industry. Additionally, due to the			
4	administration, oversight and auditing of gaming operations, the Lottery must maintain its own backup data center in Orlando to insure the ability			
5	to properly audit the gaming vendor(s). Without the IT Security and Risk Mitigation activities, the public confidence would degenerate, leading to			
6	potential revenue losses due to system outages.			
7	The Lottery controls the security of the facility. The gaming systems and Internal Control Systems are hot backup in Orlando, ready to take over			
8	operations immediately to avoid a loss of sales and ensure integrity. The co-location of Lottery and the gaming vendor is intended to provide for			
9	zero downtime and tight security for the Lottery's gaming systems, internal control systems and prize payment systems.			
10	All 6 servers will need maintenance renewals for FY 2012-13.			
11	ISM utilizes 2 Trigeo appliances to assist in securing the network. All other hardware resources for ISM are reported in Network Services.			
12	Include Rapid7, Biometric and Trigeo software maintenance costs.			
13	The costs of a 45MB MFN connections from HQ to the Backup Data Center for Disaster Recovery (DR). Previously this cost was reported in			
14	Network Services.			
15				

Non-Strategic IT Service: <b>Agency Financial and Administrative Systems Support Service</b>					
Agency: <b>Department of Lottery</b> Prepared by: <b>Randall E. O'Bar</b> Phone: <b>850.487.7718</b>			# of Assets & Resources Apportioned to this IT Service in FY 2012-13		
Service Provisioning - - Assets & Resources (Cost Elements)		Footnote Number	Number used for this service	Number w/ costs in FY 2012-13	Estimated FY 2012-13 Allocation of Recurring Base Budget (based on Column G64 minus G65)
<b>A. Personnel</b>			0.00		\$0
A-1	State FTE	1,2,...,13	0.00		\$0
A-2	OPS FTE		0.00		\$0
A-3	Contractor Positions (Staff Augmentation)		0.00		\$0
<b>B. Hardware</b>			0	0	\$0
B-1	Servers	1,2,...,13	0	0	\$0
B-2	Server Maintenance & Support	1,2,...,13	0	0	\$0
B-3	Other Hardware Assets (Please specify in Footnote Section below)	1,2,...,13	0	0	\$0
<b>C. Software</b>		1,2,...,13			\$0
<b>D. External Service Provider(s)</b>			0	0	\$0
<b>E. Other (Please describe in Footnotes Section below)</b>					\$0
<b>F. Total for IT Service</b>					<b>\$0</b>
<b>G. Please identify the number of users of this service.</b>					<b>0</b>
<b>H. How many locations currently host agency financial/administrative systems?</b>					<b>0</b>
<b>I. Footnotes - Please indicate a footnote for each corresponding row above. Maximum footnote length is 1024 characters.</b>					
1	100% of the business systems for the Agency Financial and Administrative Service Support Service are accounted for in the Strategic Services				
2	and therefore no additional resources are reported for this service.				
3	The Agency Financial and Administrative Support Service is reported in the Lottery's Strategic Services since it plays a				
4	significant role in fulfilling the Lottery's statutory obligations defined in Florida Statutes Ch 24.114, 24.115 and 24.121. Loss of this service				
5	would impact the Lottery's ability to conduct its considerable financial transactions. This would include the ability to validate and pay winners;				
6	electronic banking, investments and funds transfers; sales and marketing analysis; tax reporting and collections; and auditing of all				
7	financial transactions including those generated by gaming vendors. This could have a significant impact on the Lottery's credibility, the smooth				
8	and timely flow of funds and ultimately, sales and transfers to the Educational Enhancement Trust Fund (EETF) as well as bond ratings for the				
9	state's financing activities. The Lottery has unique business-related financial requirements not normally found in other State agencies. The				
10	Lottery performs cash activities outside of the Treasury, such as accounts receivable, cash management, accounts payable, and investments.				
11	Financial Systems are covered further later in this document under Lottery Game and Financial Reporting and Bank Deposits and Control of				
12	Lottery Transactions. In addition, the department is expected to be able to timely generate GAAP-based financial statements, not available				
13	from FLAIR, in order to assist the Division of Bond Finance in statewide bond issuances.				
14					
15					



Non-Strategic IT Service: <b>IT Administration and Management Service</b>						
Agency: <b>Department of Lottery</b> Prepared by: <b>Randall E. O'Bar</b> Phone: <b>850.487.7718</b>			# of Assets & Resources Apportioned to this IT Service in FY 2012-13			
Service Provisioning - - Assets & Resources (Cost Elements)			Footnote Number	Number used for this service	Number w/ costs in FY 2012-13	Estimated FY 2012-13 Allocation of Recurring Base Budget (based on Column G64 minus G65)
<b>A. Personnel</b>				4.00		\$353,209
A-1	State FTE		1,2...12	4.00		\$353,209
A-2	OPS FTE			0.00		\$0
A-3	Contractor Positions (Staff Augmentation)			0.00		\$0
<b>B. Hardware</b>				0	0	\$0
B-1	Servers			0	0	\$0
B-2	Server Maintenance & Support			0	0	\$0
B-3	Other Hardware Assets (Please specify in Footnote Section below)			0	0	\$0
<b>C. Software</b>						\$0
<b>D. External Service Provider(s)</b>				0	0	\$0
<b>E. Other (Please describe in Footnotes Section below)</b>						\$0
<b>F. Total for IT Service</b>						<b>\$353,209</b>
<b>G. How many locations currently host assets and resources used to provide this service?</b>						<b>0</b>
<b>G. Footnotes - Please indicate a footnote for each corresponding row above. Maximum footnote length is 1024 characters.</b>						
1	The Schedule IV-C considers the 4.0 staff and resources associated with this IT Administrative and Management Services as non-strategic.					
2	The Lottery considers this service strategic since it plays a significant role in fulfilling the Lottery's statutory obligations defined in Florida Statutes					
3	Ch 24.102 (2)(b), 24.102 (2)(c). Chapter 24.102 (2)(b) FS, requires that the lottery games be operated by a department of state government					
4	that functions as much as possible in the manner of an entrepreneurial business enterprise. The Legislature recognizes that the operation of a					
5	lottery is a unique activity for state government and that structure and procedures appropriate to the performance of other government functions					
6	are not necessarily appropriate to the operation of a state lottery.					
7	Chapter 24.102 (2)(c) FS, requires that the lottery games be operated by a self-supporting, revenue-producing department.					
8	In order to support the Lottery's business functions and provide the maximum amount of sales and revenues to the Educational Enhancement Trust					
9	Fund, it is imperative that all gaming systems and support systems maintain the highest possible levels of availability, reliability and security. Internal					
10	operations, management and oversight by the Lottery can only provide the needed services that support the sale of Lottery games. It is imperative					
11	that certain core technical functions are dedicated solely for Lottery purposes and are performed only by the Lottery.					
12						
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Non-Strategic IT Service:		<b>Web/Portal Service</b>			
Dept/Agency: <b>Department of Lottery</b> Prepared by: <b>Randall E. O'Bar</b> Phone: <b>850.487.7718</b>		# of Assets & Resources Apportioned to this IT Service In FY 2012-13			
Service Provisioning -- Assets & Resources (Cost Elements)		Footnote Number	Number used for this service	Number w/ costs In FY 2012-13	Estimated FY 2012-13 Allocation of Recurring Base Budget (based on Column G64 minus G65)
<b>A. Personnel</b>			0.00		\$0
A-1.1	State FTE	1,2,3,4	0.00		\$0
A-2.1	OPS FTE		0.00		\$0
A-3.1	Contractor Positions (Staff Augmentation)		0.00		\$0
<b>B. Hardware</b>					\$0
B-1	Servers	1,2,3,4	0	0	\$0
B-2	Server Maintenance & Support	1,2,3,4	0	0	\$0
B-3	Other Hardware Assets (Please specify in Footnotes Section below)	1,2,3,4	0	0	\$0
<b>C. Software</b>		1,2,3,4			\$0
<b>D. External Service Provider(s)</b>		5,6	0	0	\$0
<b>E. Other (Please describe in Footnotes Section below)</b>					\$0
<b>F. Total for IT Service</b>					<b>\$0</b>
<b>G. Please identify the number of Internet users of this service.</b>					<b>0</b>
<b>H. Please identify the number of intranet users of this service.</b>					<b>0</b>
<b>I. How many locations currently host IT assets and resources used to provide this service?</b>					<b>0</b>
<b>J.</b>	<b>Footnotes - Please indicate a footnote for each corresponding row above. Maximum footnote length is 1024 characters.</b>				
1	100% of the Website Portal systems are accounted for in the Strategic Services and therefore no additional resources are reported for this service.				
2	The Lottery considers its internet website strategic since it plays a significant role in fulfilling the Lottery's statutory obligations defined in				
3	Florida Statute Ch. 24.107 - Advertising and promotion of lottery games and Ch 24.1215 - Duty to inform public of Lottery's significance to education.				
4	The website also plays a significant role in retailer recruitment.				
5	The SSRC currently hosts the edge components for the website and due to the Schedule IV-C reporting requirements are reflected in the				
6	Data Center Service.				
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Non-Strategic IT Service: <b>Data Center Service</b>				
Dept/Agency: <b>Department of Lottery</b> Prepared by: <b>Randall E. O'Bar</b> Phone: <b>850.487.7718</b>		# of Assets & Resources Apportioned to this IT Service In FY 2012-13		
Service Provisioning -- Assets & Resources (Cost Elements)	Footnote Number	Number used for this service	Number w/ costs In FY 2012-13	Estimated FY 2012-13 Allocation of Recurring Base Budget (based on Column G64 minus G65)
<b>A. Personnel</b> (performing data center functions defined in w. 282.201(2)(d)1.e., F.S.)			10.50	\$529,441
A-1.1 State FTE	1,2...5,6	10.50		\$529,441
A-2.1 OPS FTE		0.00		
A-3.1 Contractor Positions (Staff Augmentation)		0.00		\$0
<b>B. Hardware</b>				\$0
B-1 Non-Mainframe Servers (including single-function logical servers not assigned to another service)	7	0	0	\$0
B-2 Servers - Mainframe	7	0	0	\$0
B-3 Server Maintenance & Support	7	0	0	\$0
B-4 Online or Archival Storage Systems (indicate GB of storage)	7	0		\$0
B-5 Data Center/ Computing Facility Internal Network	7			\$0
B-6 Other Hardware (Please specify in Footnotes Section below)	7			\$0
<b>C. Software</b>	8			\$0
<b>D. External Service Provider(s)</b>				\$234,136
D-1 Southwood Shared Resource Center (indicate # of Board votes)	9	0		\$234,136
D-2 Northwood Shared Resource Center (indicate # of Board votes)		0		\$0
D-3 Northwest Regional Data Center (indicate # of Board votes)		0		\$0
D-4 Other Data Center External Service Provider (specify in Footnotes below)				\$0
<b>E. Plant &amp; Facility</b>				\$177,824
E-1 Data Center/Computing Facilities Rent & Insurance	10,11,12,13			\$125,807
E-2 Utilities (e.g., electricity and water)	14			\$52,017
E-3 Environmentals (e.g., HVAC, fire control, and physical security)	15			\$0
E-4 Other (please specify in Footnotes Section below)				\$0
<b>F. Other</b> (Please describe in Footnotes Section below)				\$0
<b>G. Total for IT Service</b>				<b>\$941,401</b>
<b>H. Please provide the number of agency data centers.</b>				<b>1</b>
<b>I. Please provide the number of agency computing facilities.</b>				<b>0</b>
<b>J. Please provide the number of single-server installations.</b>				<b>0</b>
<b>H. Footnotes</b> - Please indicate a footnote for each corresponding row above. Maximum footnote length is 1024 characters.				
1	The Schedule IV-C considers the 10.5 staff and resources associated with Data Center Service as non-strategic. The Lottery considers this service as strategic since it			
2	plays a significant role in fulfilling the Lottery's statutory obligations defined in Florida Statute 24.102 (2)(b) and 24.102 (2)(c). In addition, to the Florida Statutes,			
3	the Lottery as a member of MUSL are required to adhere each Party Lottery to have sufficient systems in place to mitigate and manage any and all risk associated			
4	with participating in a multi-jurisdictional lottery game. The minimum requirements include a computer gaming system (CGS), an internal control system (ICS),			
5	and various controls to protect these systems from unauthorized access, tampering, power outages, and any event or combination of events			
6	that may affect the security, integrity, or the availability of the game.			
7	All devices associated with the Data Center Service are reported in their respective service categories and no additional servers are needed to support this service.			
8	The software used for monitoring the website is Sitescope. There is no recurring software support costs associated with the Sitescope application.			
9	The SSRC Data Utilization and Managed Services increased cost model are reflected. The Lottery utilizes the SSRC to host its' Website/Portal Service.			
10	The data center is approximately 1/20th of the building. We estimate the data center cost to be \$125,807.09. Approximately 55% of usable floor space is occupied.			
11	The Lottery leases it HQ data center location with the current term expiring 2019. The Lottery has a very dynamic and complex technical relationship with its gaming			
12	vendors. By contract, GTECH is co-located at the primary site in Tallahassee and leases data center, warehouse and office space from the Lottery. At the backup			
13	site in Orlando, the Lottery is co-located with GTECH at their facility in space provided through the gaming contract.			
14	The utility services are allocated for the entire building. We used the formula of 1/20 of the average bill is \$35,000 per month. UPS costs are \$2584.76 monthly.			
15	HVAC and FM200 Fire Suppression Control System is included in the lease. Physical security is controlled by the ISS Door System and reported in Strategic Services.			

Agency: Department of Lottery

				E-Mail, Messaging, and Calendaring Service	Network Service	Desktop Computing Service	Helpdesk Service	IT Security/Risk Mitigation Service	Agency Financial and Administrative Systems Support Service	IT Administration and Management Service	Web/Portal Service	Data Center Service		
Budget Entity Name	BE Code	Program Component Code	Program Component Name	Identified Funding as % of Total Cost of Service		0.0000%	0.0000%	0.0000%	#DIV/0!	0.0000%	#DIV/0!	0.0000%	#DIV/0!	0.0000%
				Costs within BE	Funding Identified for IT Service	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
1	Department of Lottery	36010000	16010000	Governmental Operations	\$0									
2					\$0									
3					\$0									
4					\$0									
5					\$0									
6					\$0									
7					\$0									
8					\$0									
9					\$0									
10					\$0									
11					\$0									
12					\$0									
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28					\$0									
29					\$0									
30					\$0									
<b>Sum of IT Cost Elements Across IT Services</b>					35.50	1.50	6.50	6.75	0.00	6.25	0.00	4.00	0.00	10.50
IT Cost Element Data as entered on IT Service Worksheets	<b>Personnel</b>	<i>State FTE (#)</i>			\$1,784,609	\$92,756	\$437,498	\$41,299	\$0	\$330,406	\$0	\$353,209	\$0	\$529,441
	<b>Personnel</b>	<i>OPS FTE (#)</i>			0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
	<b>Personnel</b>	<i>OPS FTE (Cost)</i>			\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
	<b>Personnel</b>	<i>Vendor/Staff Augmentation (# Positions)</i>			0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
	<b>Personnel</b>	<i>Vendor/Staff Augmentation (Costs)</i>			\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
	<b>Hardware</b>				\$117,214	\$8,036	\$99,612	\$1,099	\$0	\$8,467	\$0	\$0	\$0	\$0
	<b>Software</b>				\$168,090	\$17,251	\$56,293	\$83,385	\$0	\$11,161	\$0	\$0	\$0	\$0
	<b>External Services</b>				\$398,374	\$0	\$134,084	\$0	\$0	\$30,154	\$0	\$0	\$0	\$234,136
	<b>Plant &amp; Facility (Data Center Only)</b>				\$177,824									\$177,824
	<b>Other</b>				\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
		<b>Budget Total</b>			\$2,646,111	\$118,043	\$727,487	\$125,783	\$0	\$380,189	\$0	\$353,209	\$0	\$941,401
		<b>FTE Total</b>			35.50	1.50	6.50	6.75	0.00	6.25	0.00	4.00	0.00	10.50
				<b>Users</b>	514	424	424	0	0	0	0	0	0	
				<b>Cost Per User</b>	229.6557588	\$1,715.77	\$296.66	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!		

(cost/all mailboxes)

Help Desk Tickets: 0

Cost/Ticket: #DIV/0!

## Schedule VII: Agency Litigation Inventory

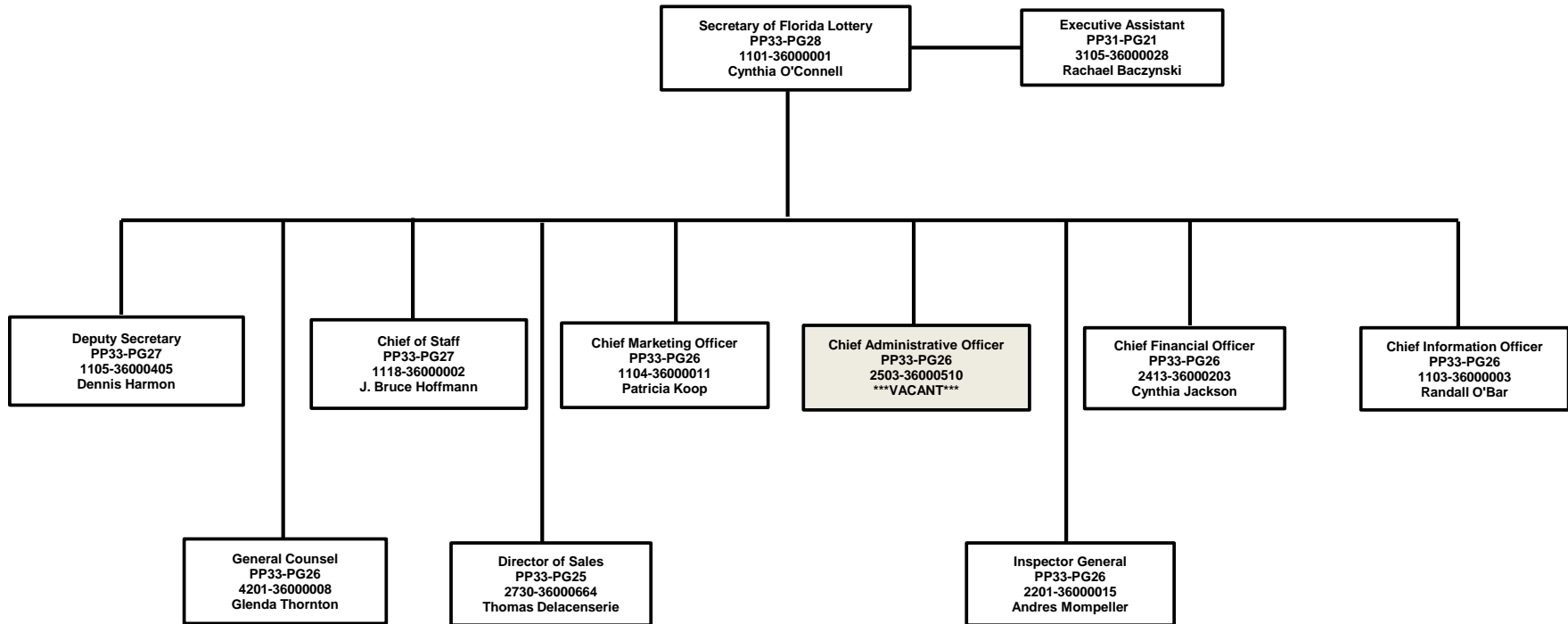
*For directions on completing this schedule, please see the "Legislative Budget Request (LBR) Instructions" located on the Governor's website.*

<b>Agency:</b>	<b>Department of Lottery</b>		
<b>Contact Person:</b>	<b>Glenda Thornton</b>	<b>Phone Number:</b>	<b>850-487-7724</b>
<b>Names of the Case: (If no case name, list the names of the plaintiff and defendant.)</b>	<b>George McQuire vs. The Florida Lottery, et al.</b>		
<b>Court with Jurisdiction:</b>	<b>First District Court of Appeal</b>		
<b>Case Number:</b>	<b>1D11-2685</b>		
<b>Summary of the Complaint:</b>	<b>Petitioner, a pro se individual, alleged that between 1989-1997, he purchased three winning lottery tickets worth a total of approximately \$50 million; that for reasons that are unclear, he did not receive payment and, therefore, seeks payment at this time.</b>		
<b>Amount of the Claim:</b>	<b>\$50 Million (approximately)</b>		
<b>Specific Statutes or Laws (including GAA) Challenged:</b>	<b>Dismissed by Leon County Circuit Court, Dismissed by DCA and Dismissed by Supreme Court of Florida</b>		
<b>Status of the Case:</b>	<b>Petitioner recently filed another appeal on the same matter previously dismissed. It remains pending.</b>		
<b>Who is representing (of record) the state in this lawsuit? Check all that apply.</b>	<input type="checkbox"/>	Agency Counsel	
	<input checked="" type="checkbox"/>	Office of the Attorney General or Division of Risk Management	
	<input type="checkbox"/>	Outside Contract Counsel	
<b>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).</b>	<b>NA</b>		

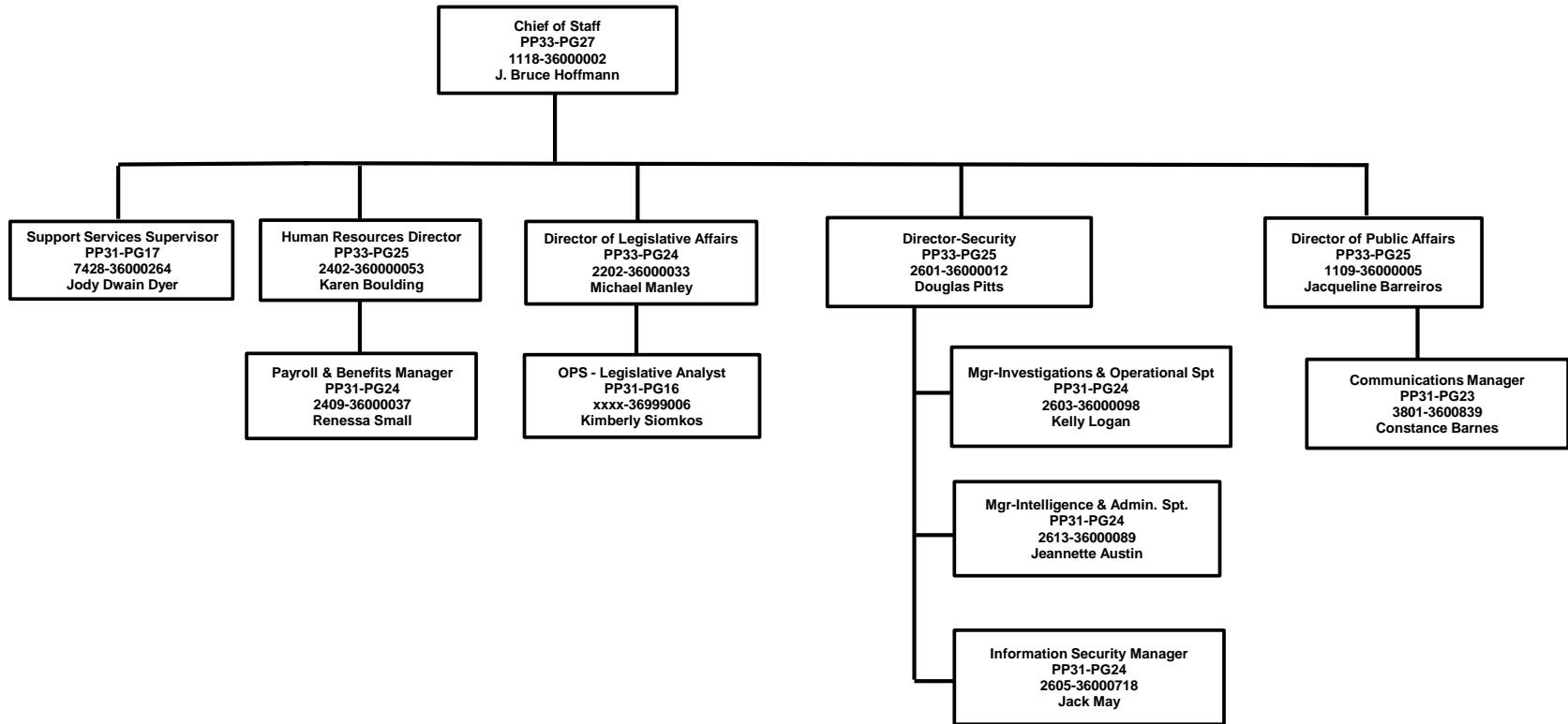
3610000000 - OFFICE OF SECRETARY  
 3610100000 - CHIEF OF STAFF  
 3615000000 - OFFICE OF INSPECTOR GENERAL  
 3630000000 - GENERAL COUNSEL  
 3640000000 - CHIEF ADMINISTRATIVE OFFICER  
 3660200000 - DIRECTOR OF PUBLIC AFFAIRS  
 36703010000 - CHIEF INFORMATION OFFICER  
 36801000000 - CHIEF FINANCIAL OFFICER  
 36910000000 - CHIEF MARKETING OFFICER  
 36903010000 - DIRECTOR OF SALES



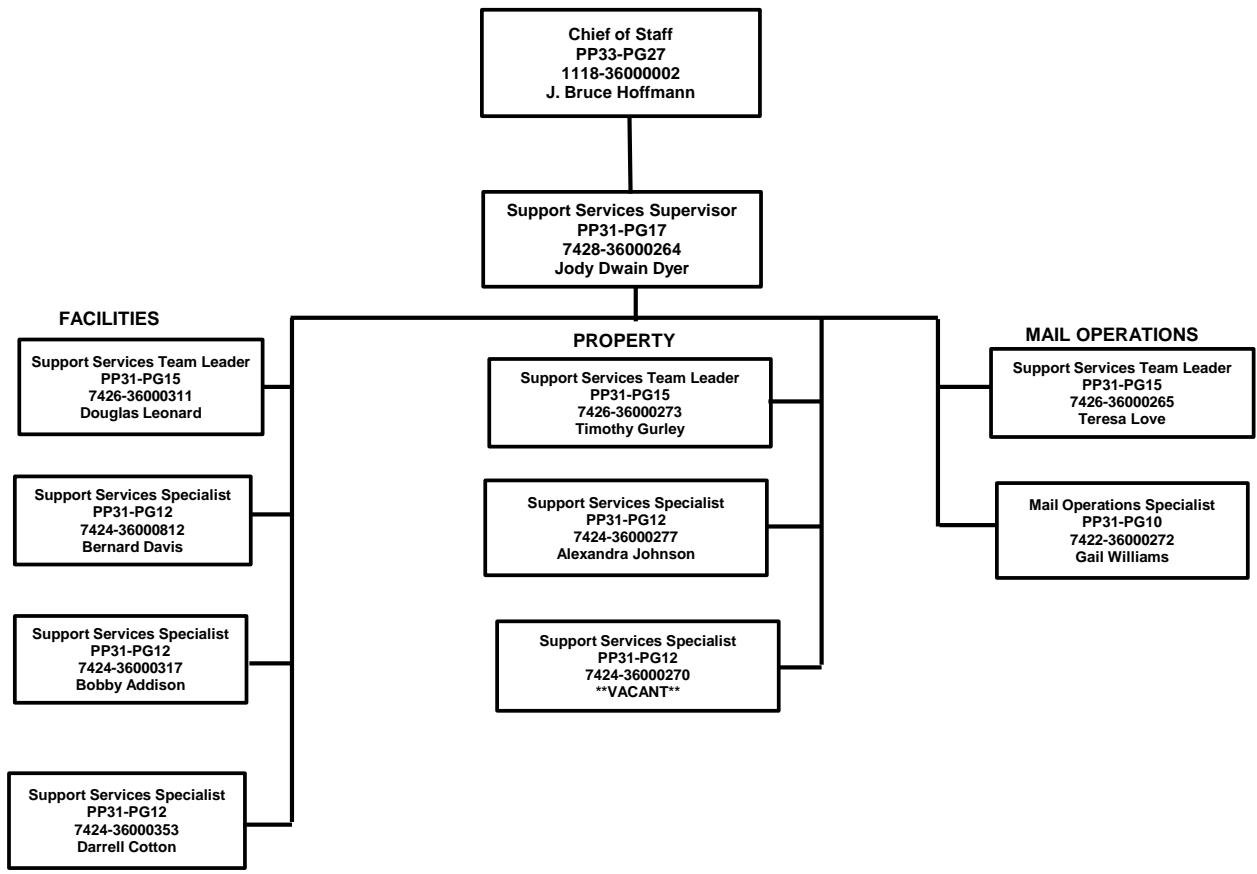
## DEPARTMENT OF THE LOTTERY

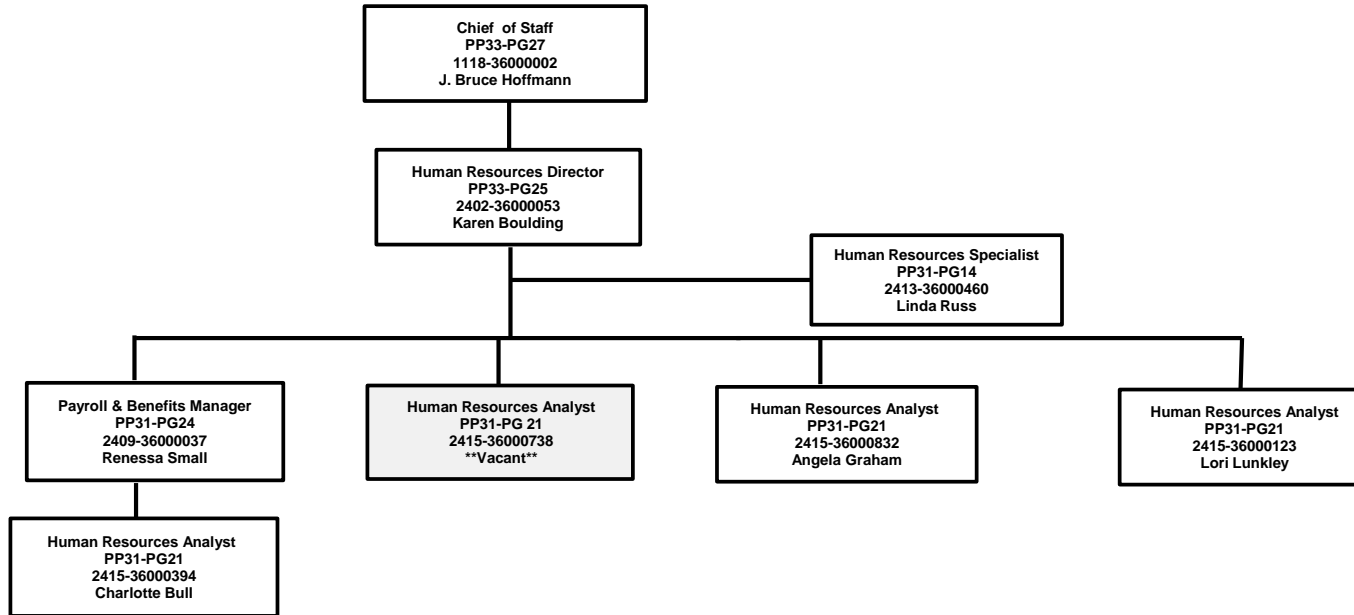


**DEPARTMENT OF THE LOTTERY**  
 36101000000 - CHIEF OF STAFF  
 36101010000 - LEGISLATIVE AFFAIRS  
 36101015000 - SUPPORT SERVICES  
 36101020000 - HUMAN RESOURCES  
 36201510000 - SECURITY









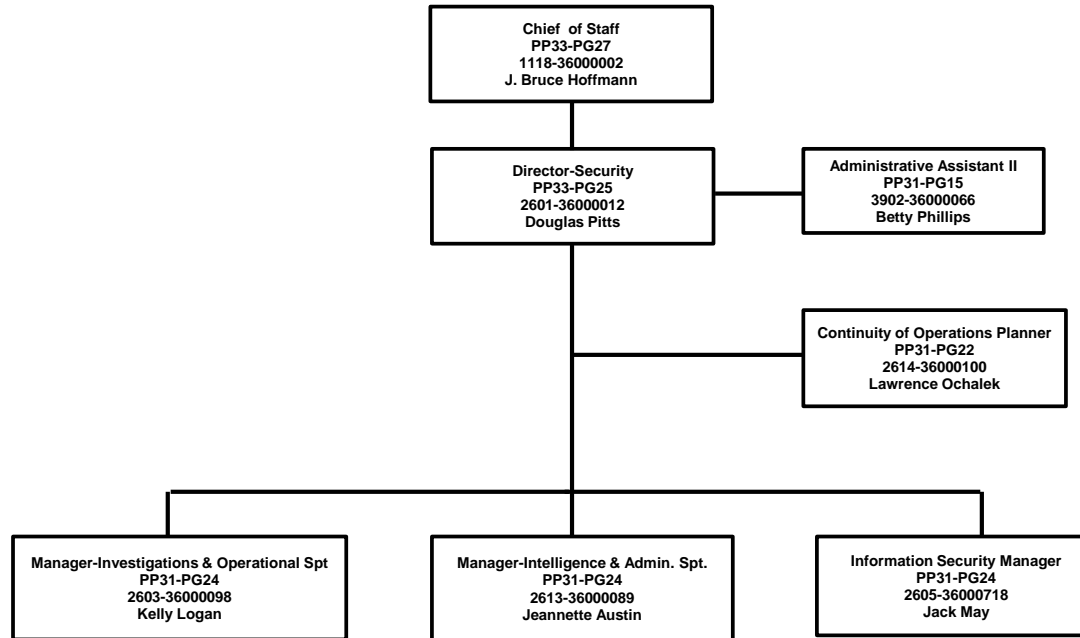
**DEPARTMENT OF THE LOTTERY**

36201510000 - DIRECTOR OF SECURITY

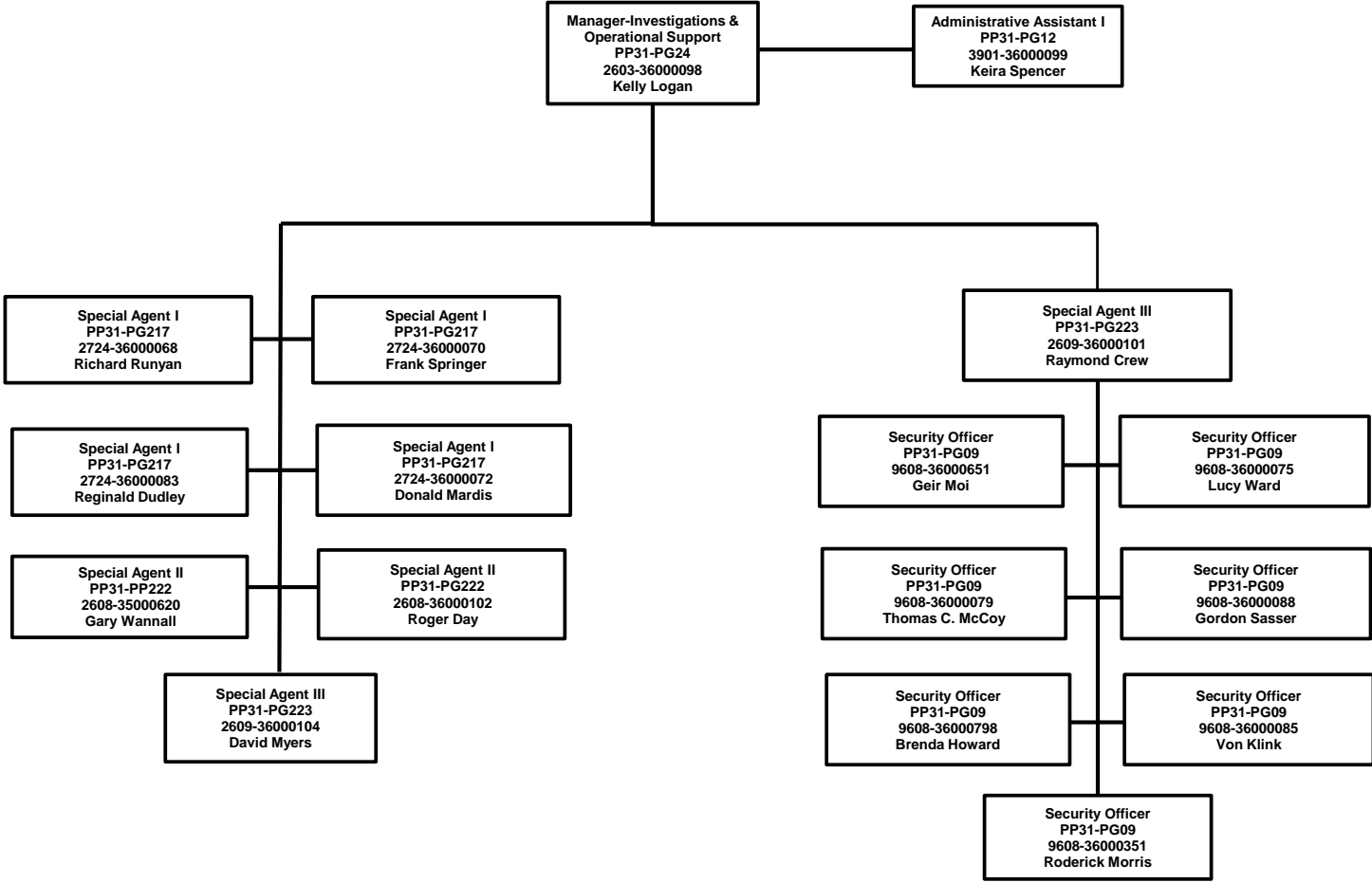
36201530000 - INVESTIGATIONS AND OPERATIONAL SUPPORT

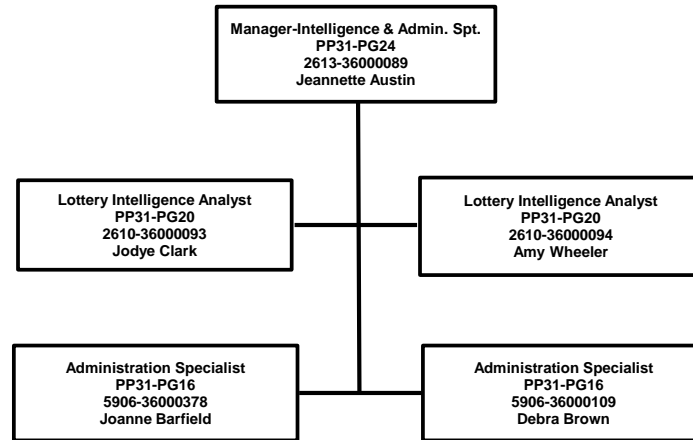
36201535000 - INTELLIGENCE AND ADMINISTRATIVE SUPPORT

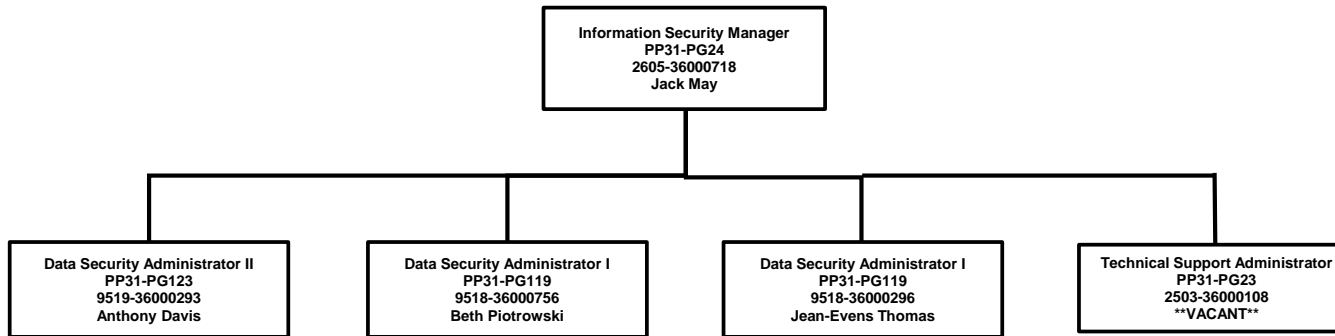
36201545000 - INFORMATION SECURITY

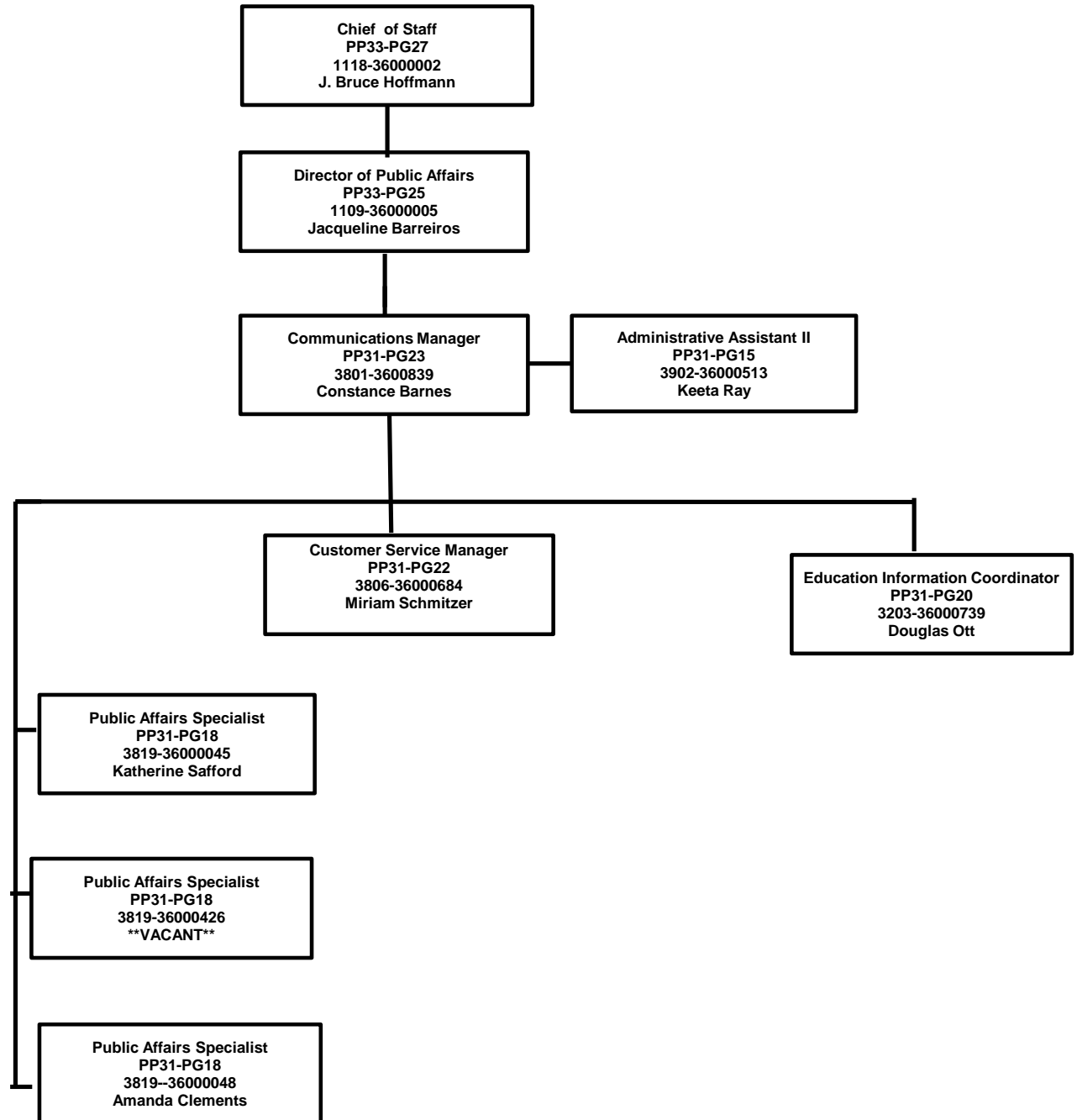


DEPARTMENT OF THE LOTTERY  
 36201530000 - INVESTIGATIONS AND OPERATIONAL SUPPORT

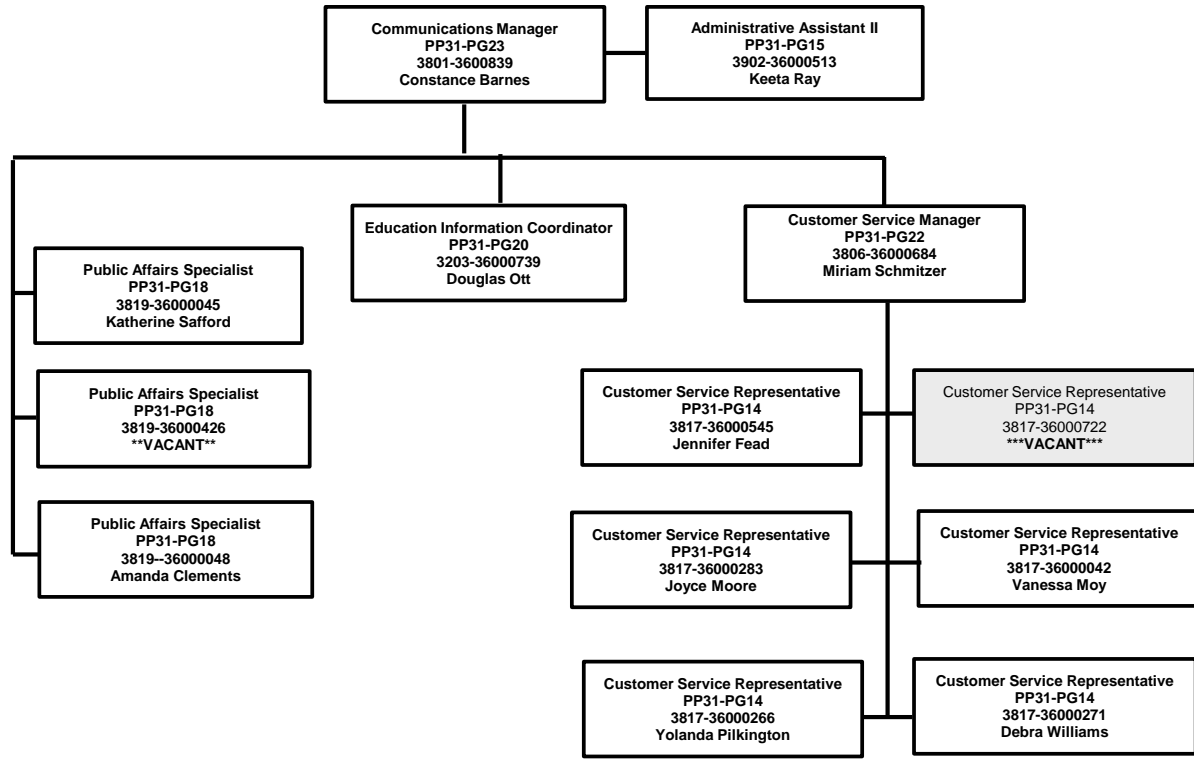


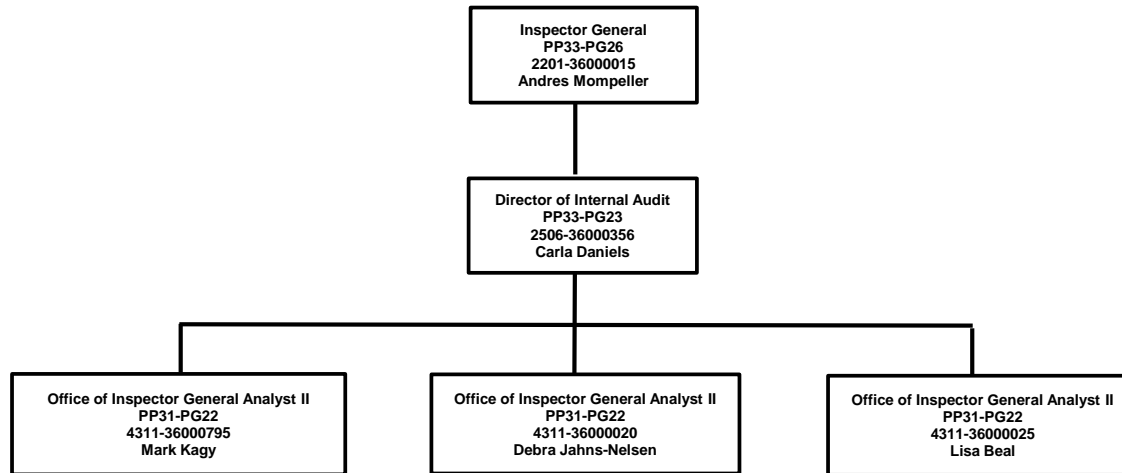




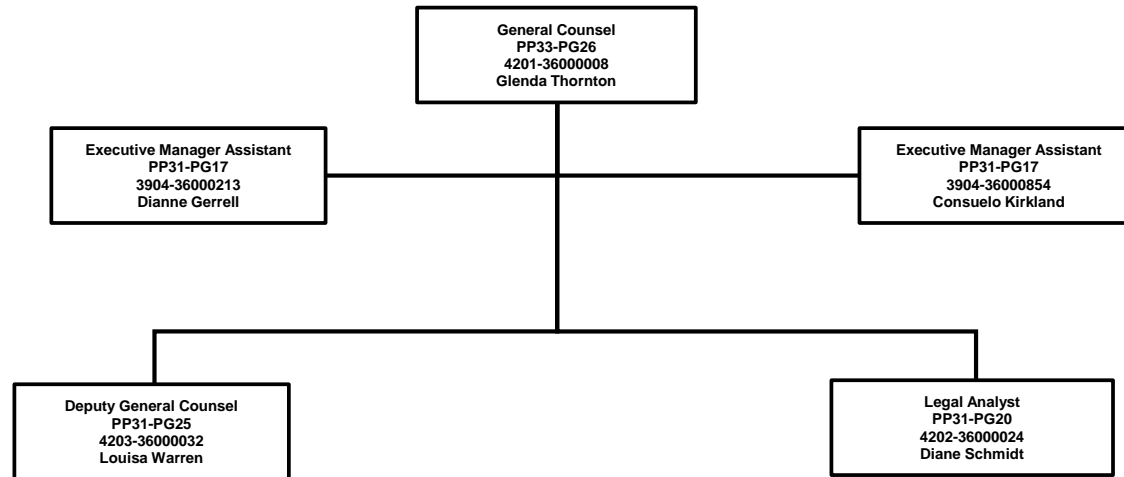






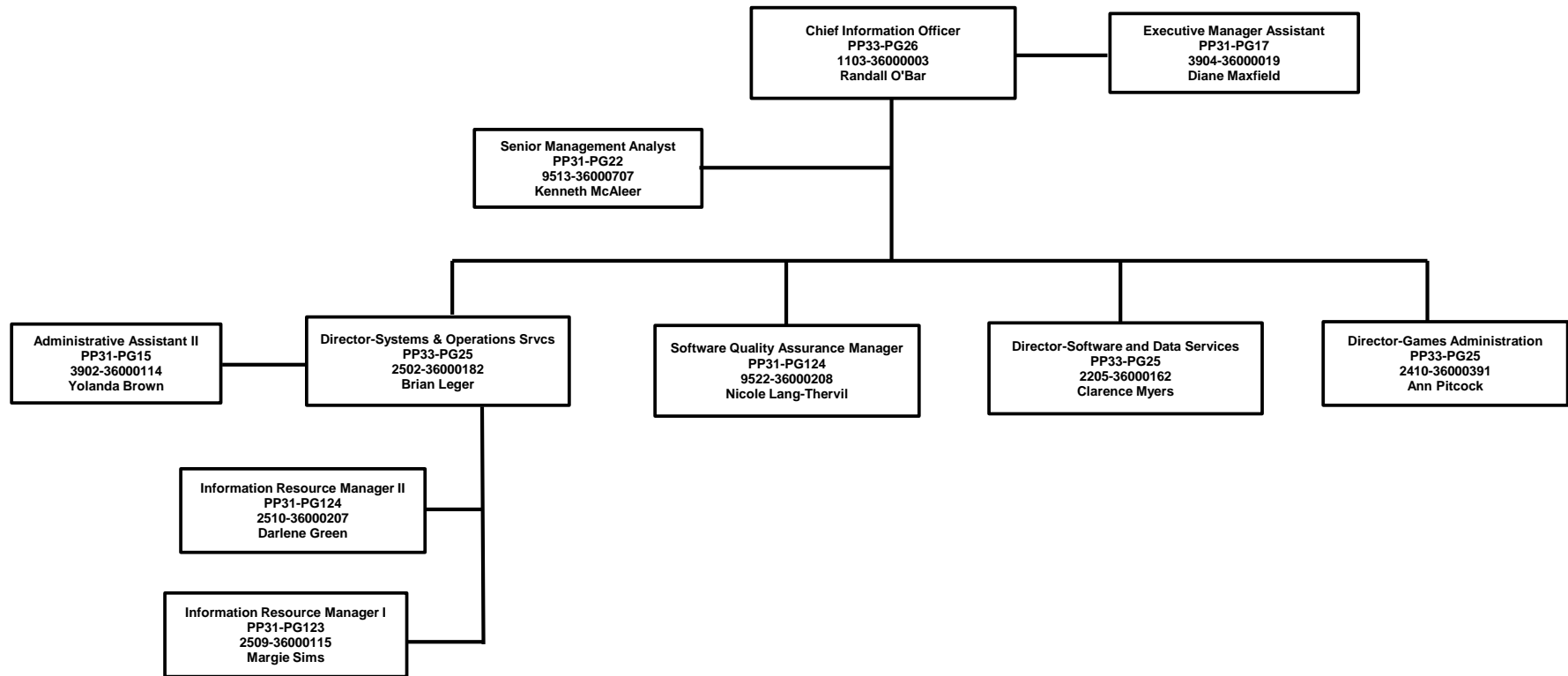


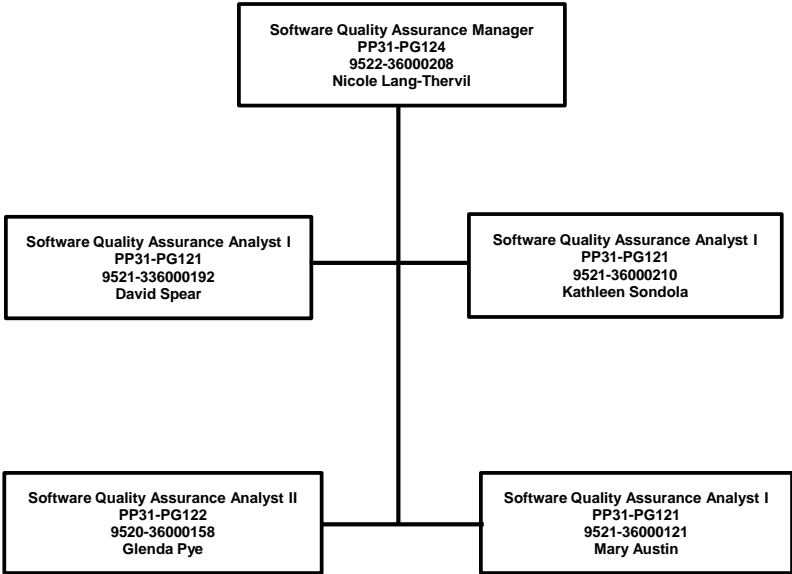
DEPARTMENT OF THE LOTTERY  
36300000000 - GENERAL COUNSEL

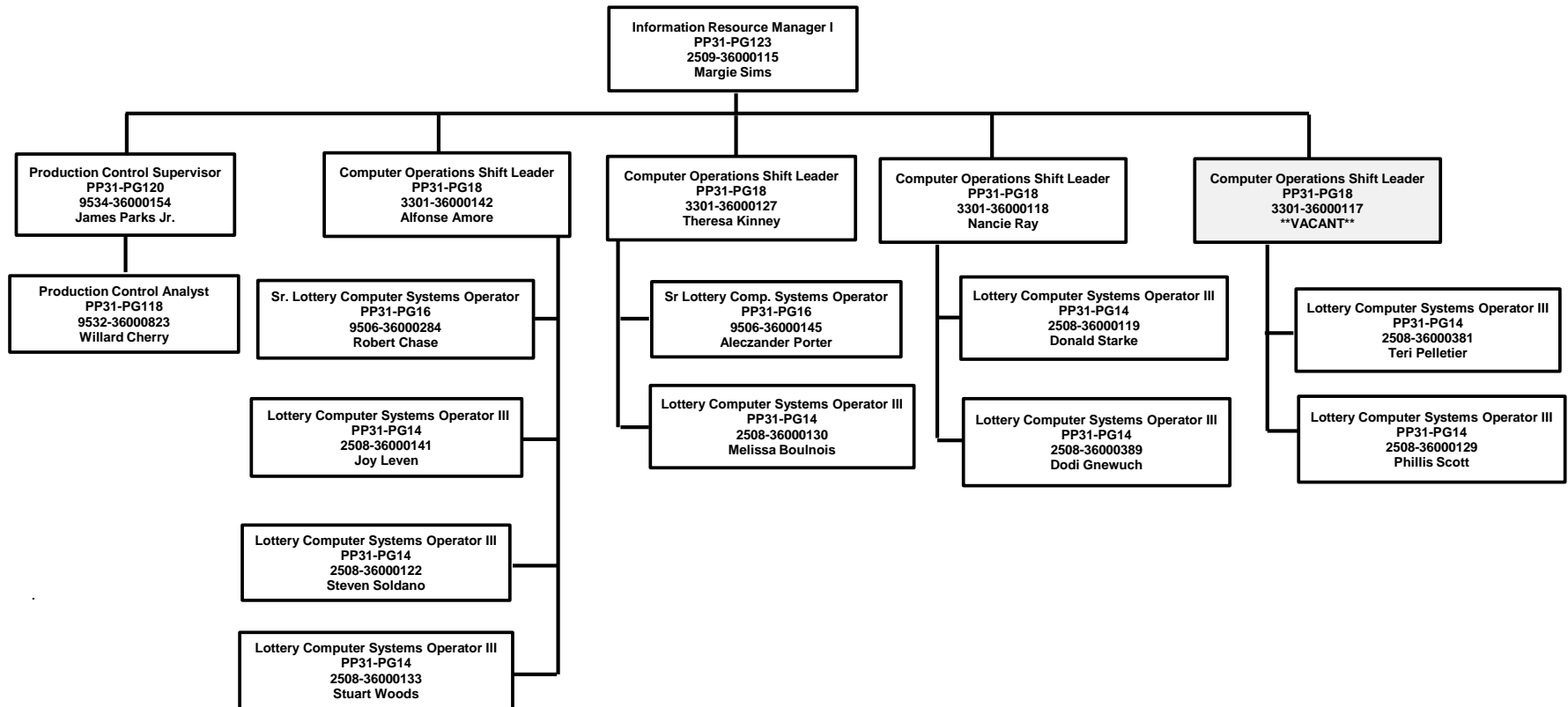


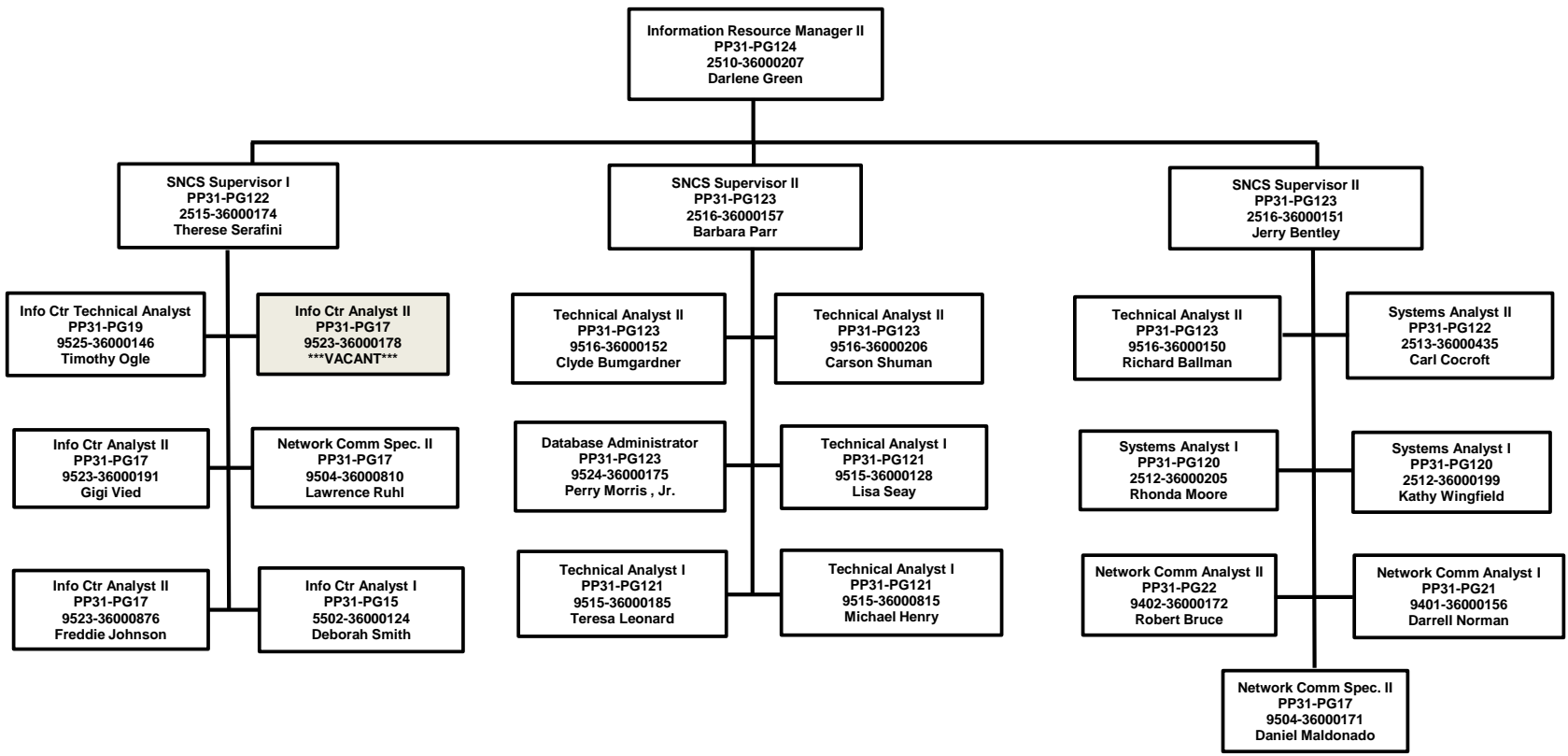
**DEPARTMENT OF THE LOTTERY**

36703010000 - CHIEF INFORMATION OFFICER/SYSTEMS AND OPERATIONS SERVICES  
36701700000 - SOFTWARE QUALITY ASSURANCE  
36703020200 - COMPUTER SYSTEMS OPERATIONS  
36703030100 - SYSTEMS, NETWORK AND CLIENT SERVICES  
36704000000 - SOFTWARE AND DATA SERVICES  
36705000000 - GAMES ADMINISTRATION

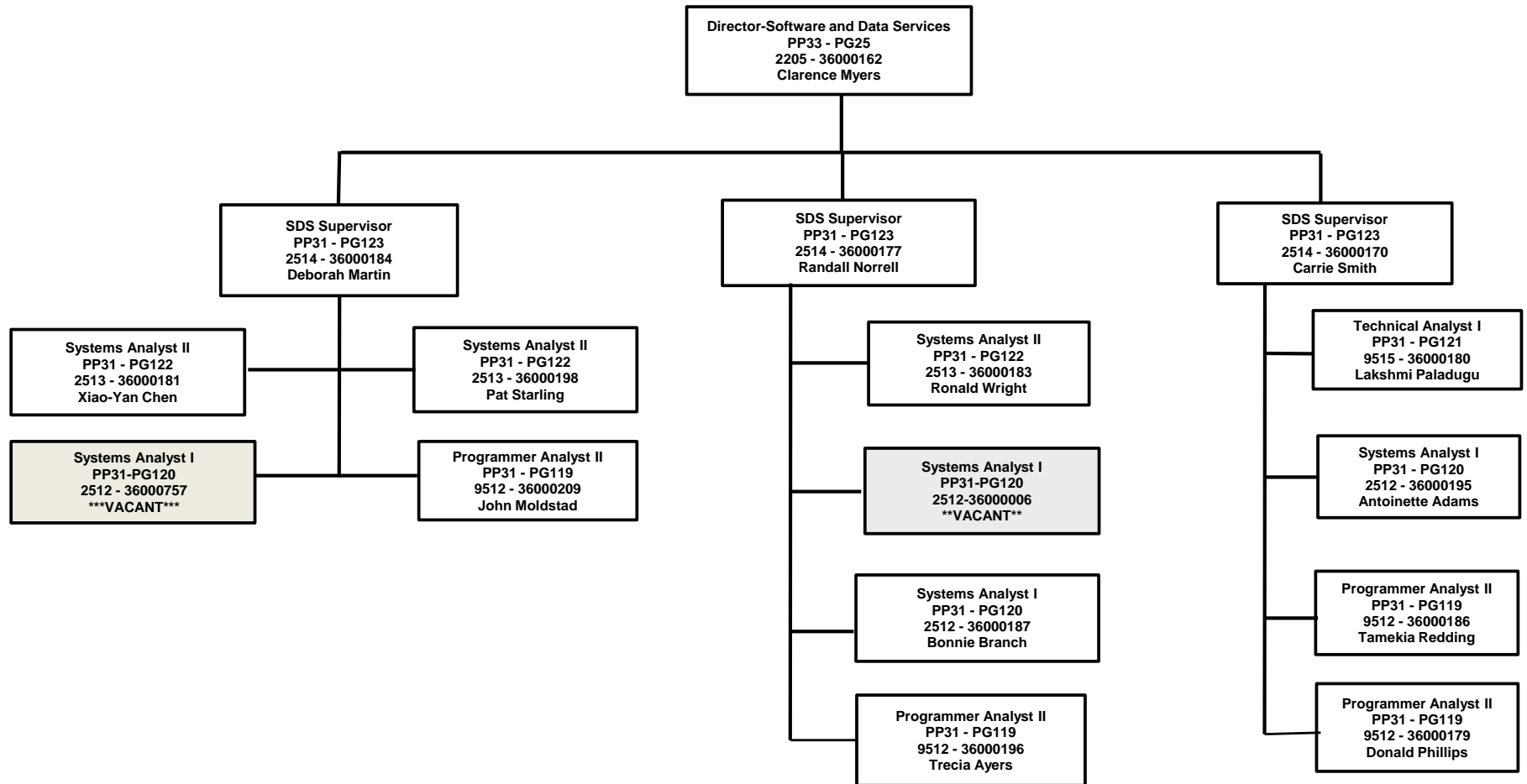


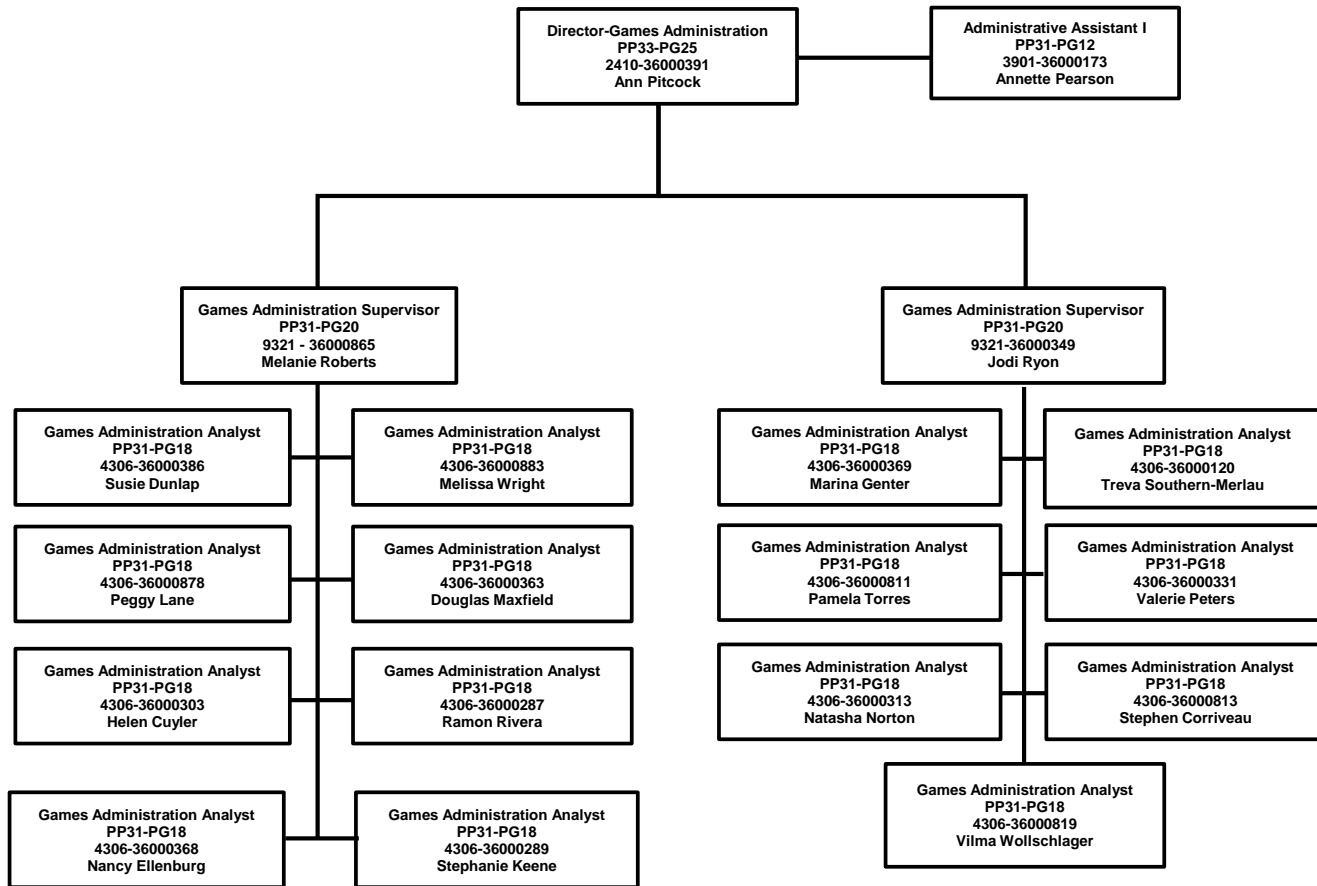


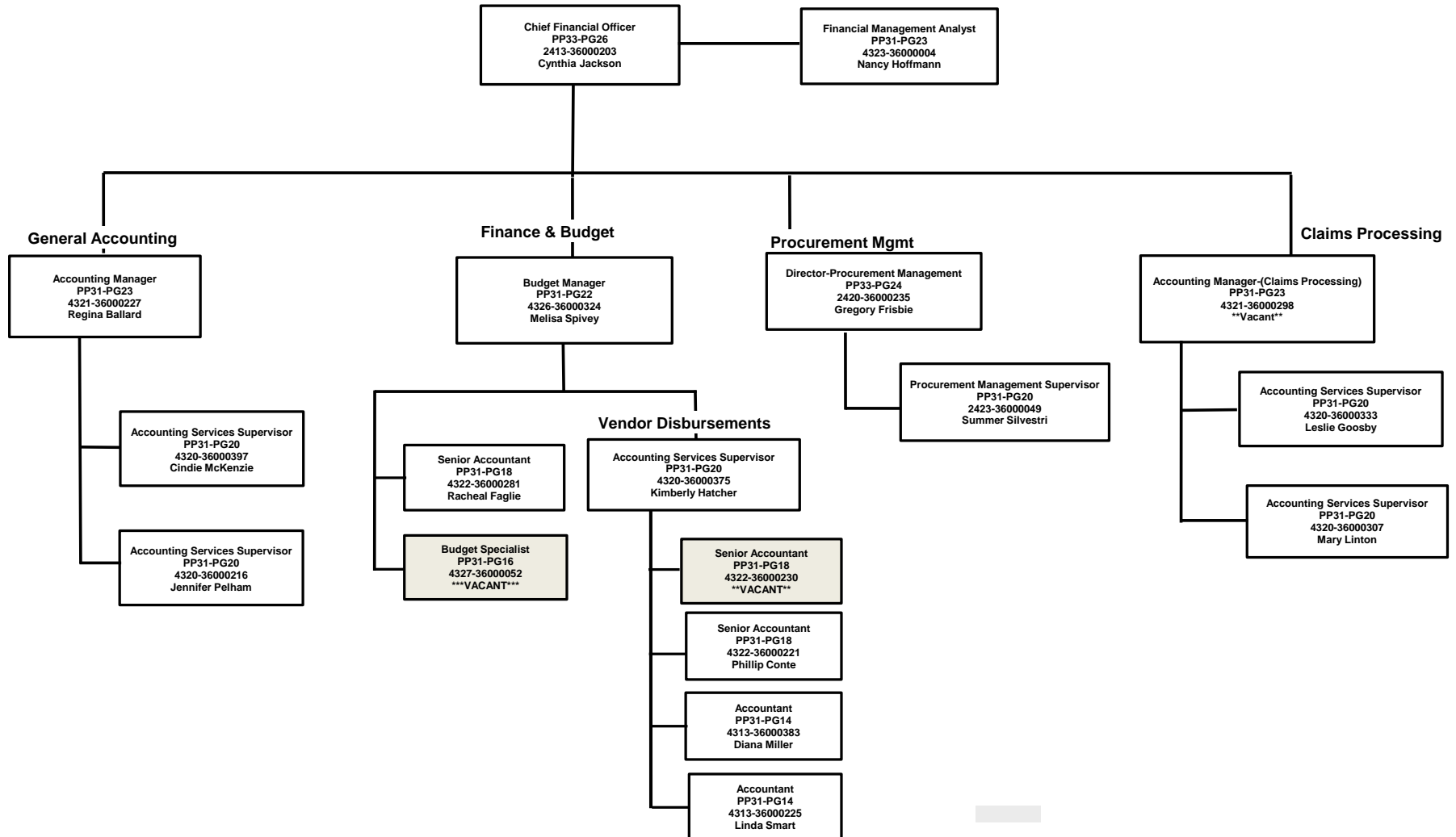


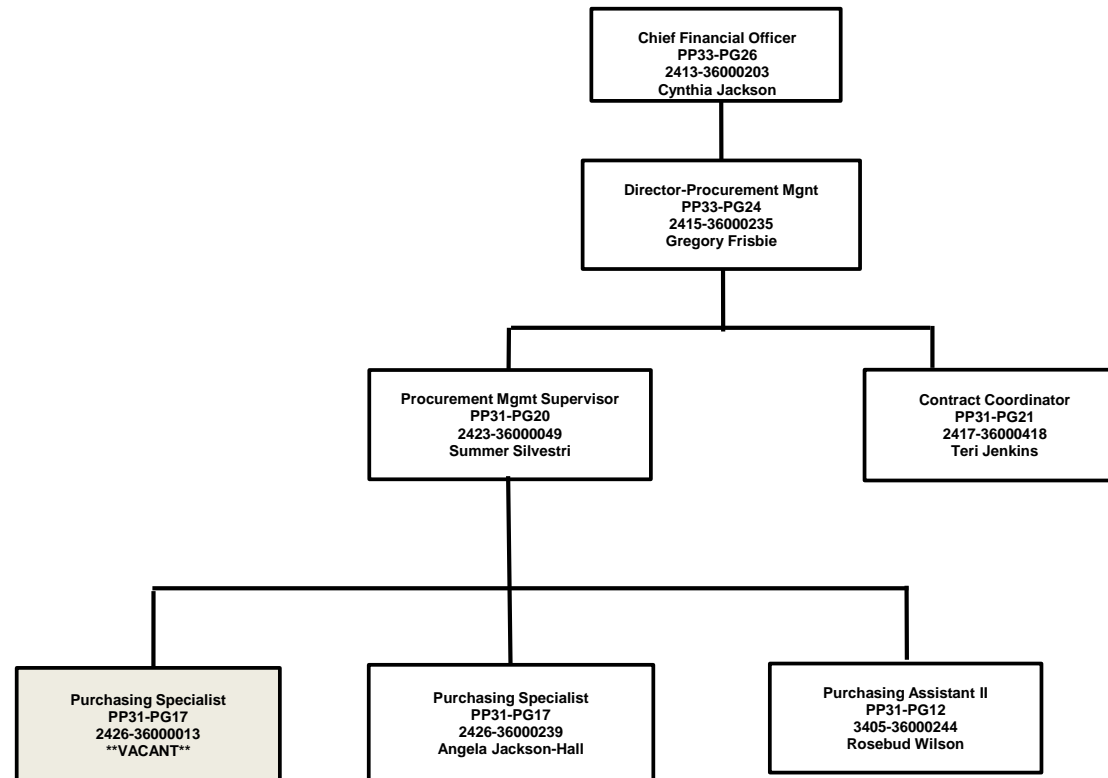


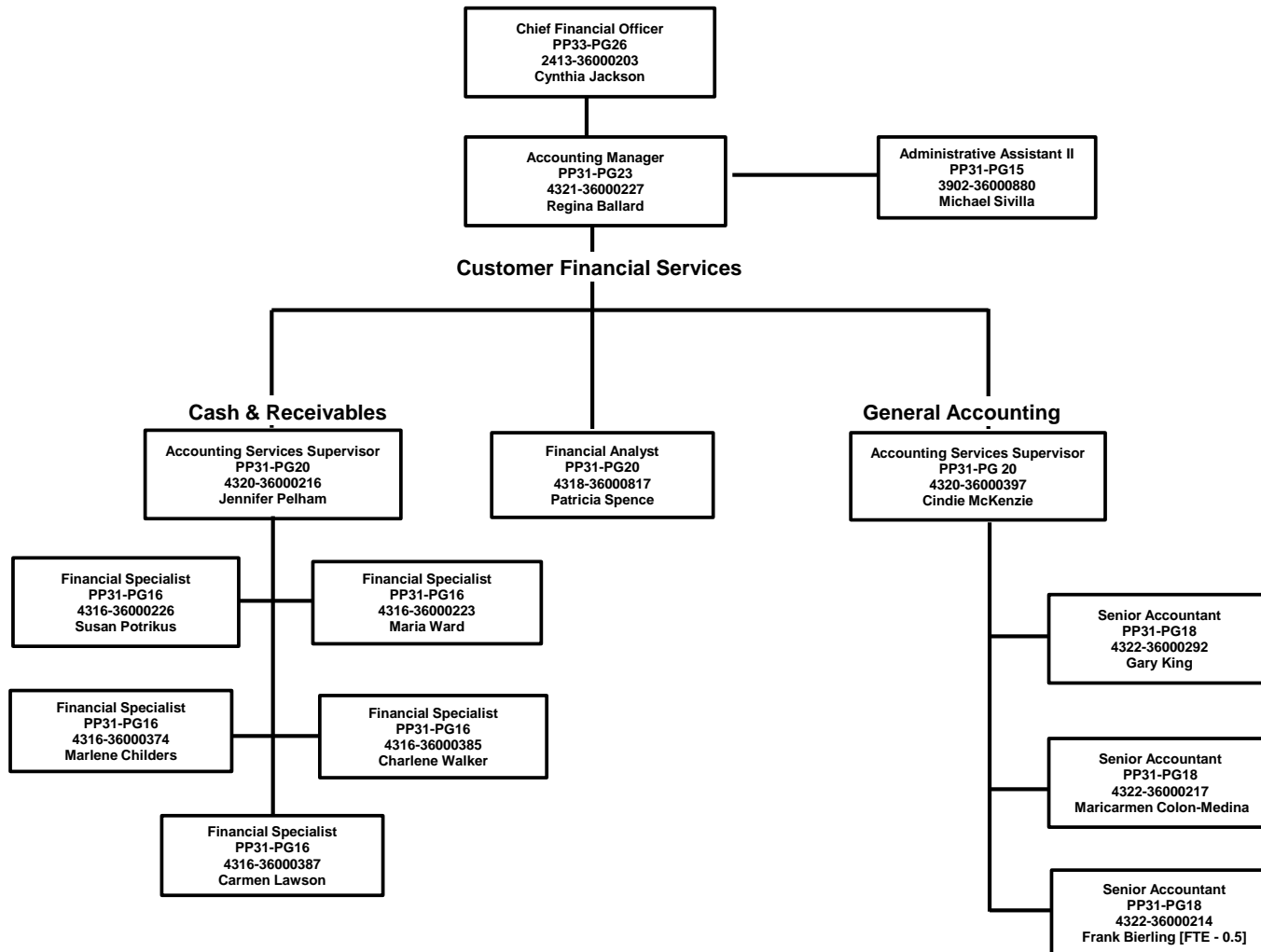


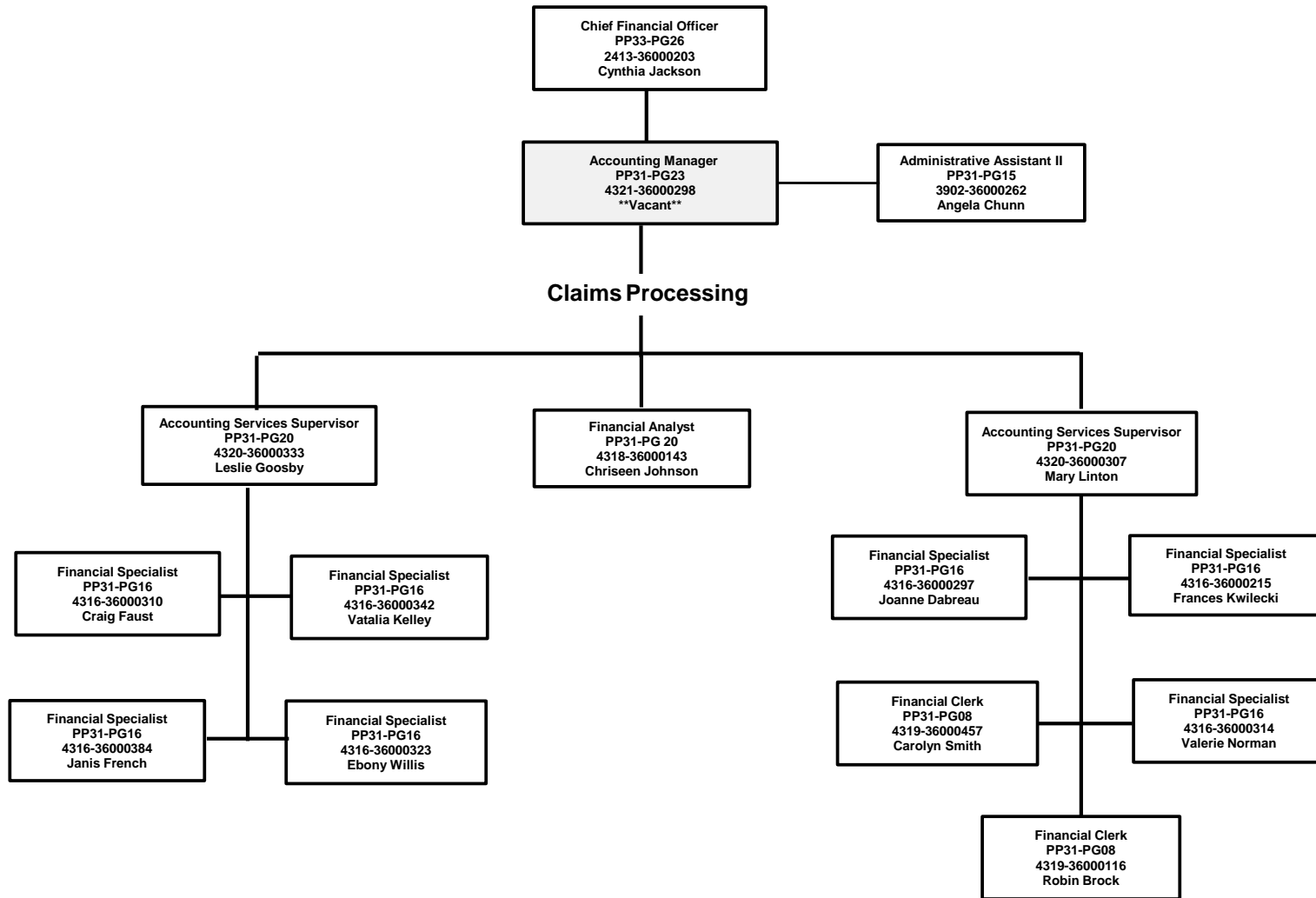




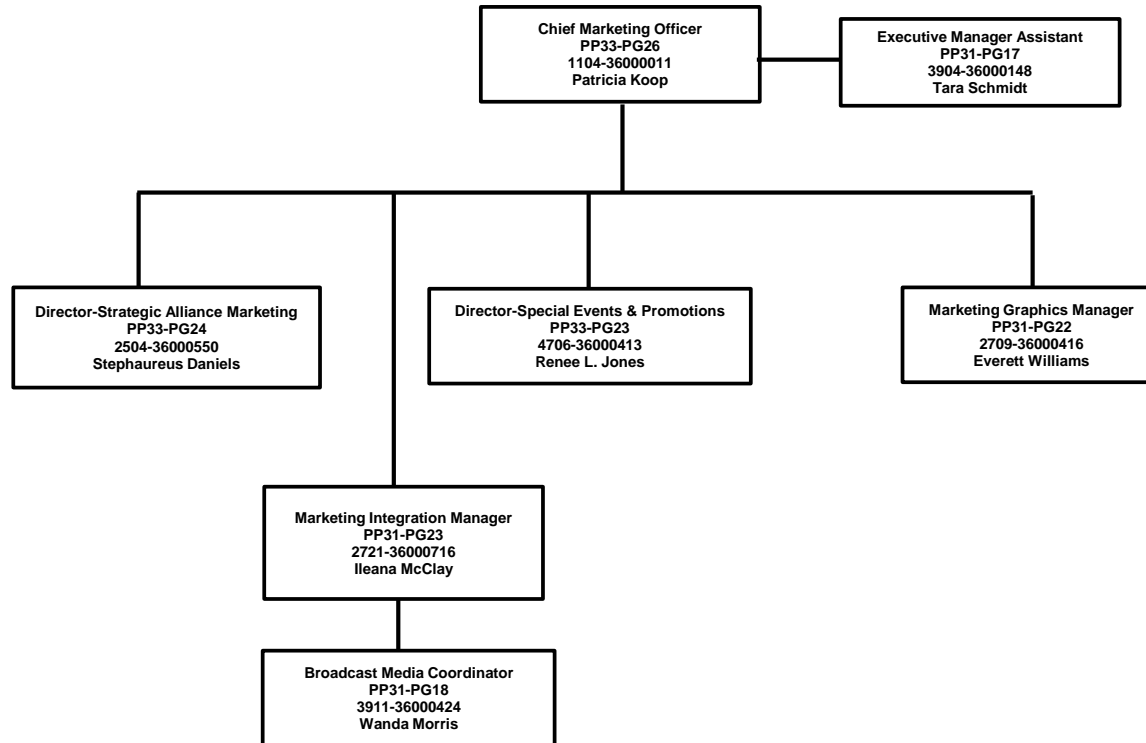




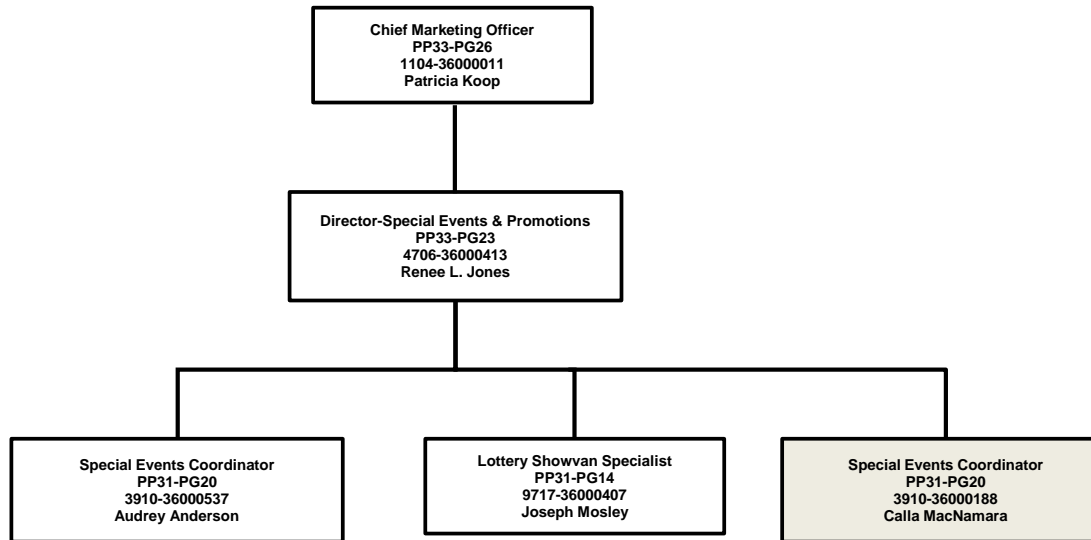




**DEPARTMENT OF THE LOTTERY**  
36901000000 - CHIEF MARKETING OFFICER  
36901500000 - SPECIAL EVENTS AND PROMOTIONS  
36902000000 - GRAPHICS

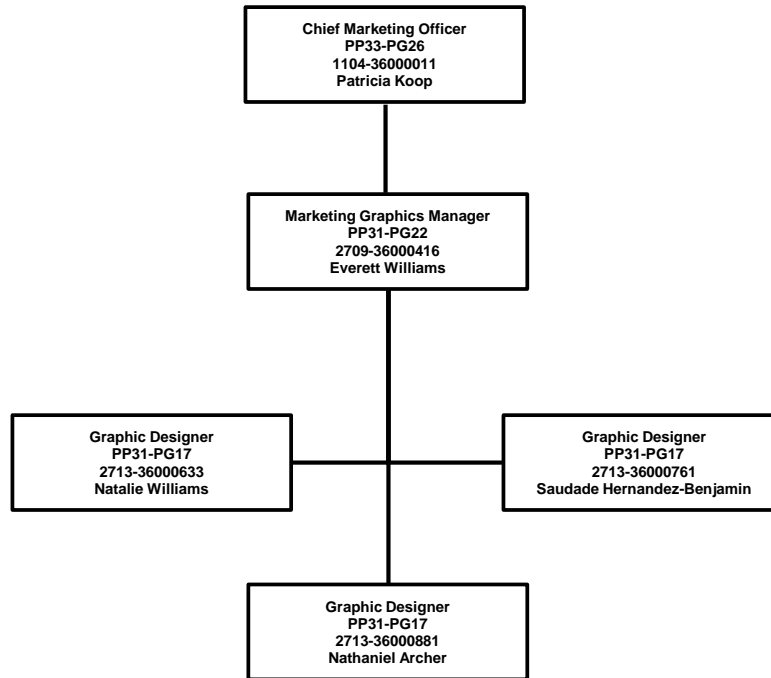


**DEPARTMENT OF THE LOTTERY**  
36901500000 - SPECIAL EVENTS AND PROMOTIONS



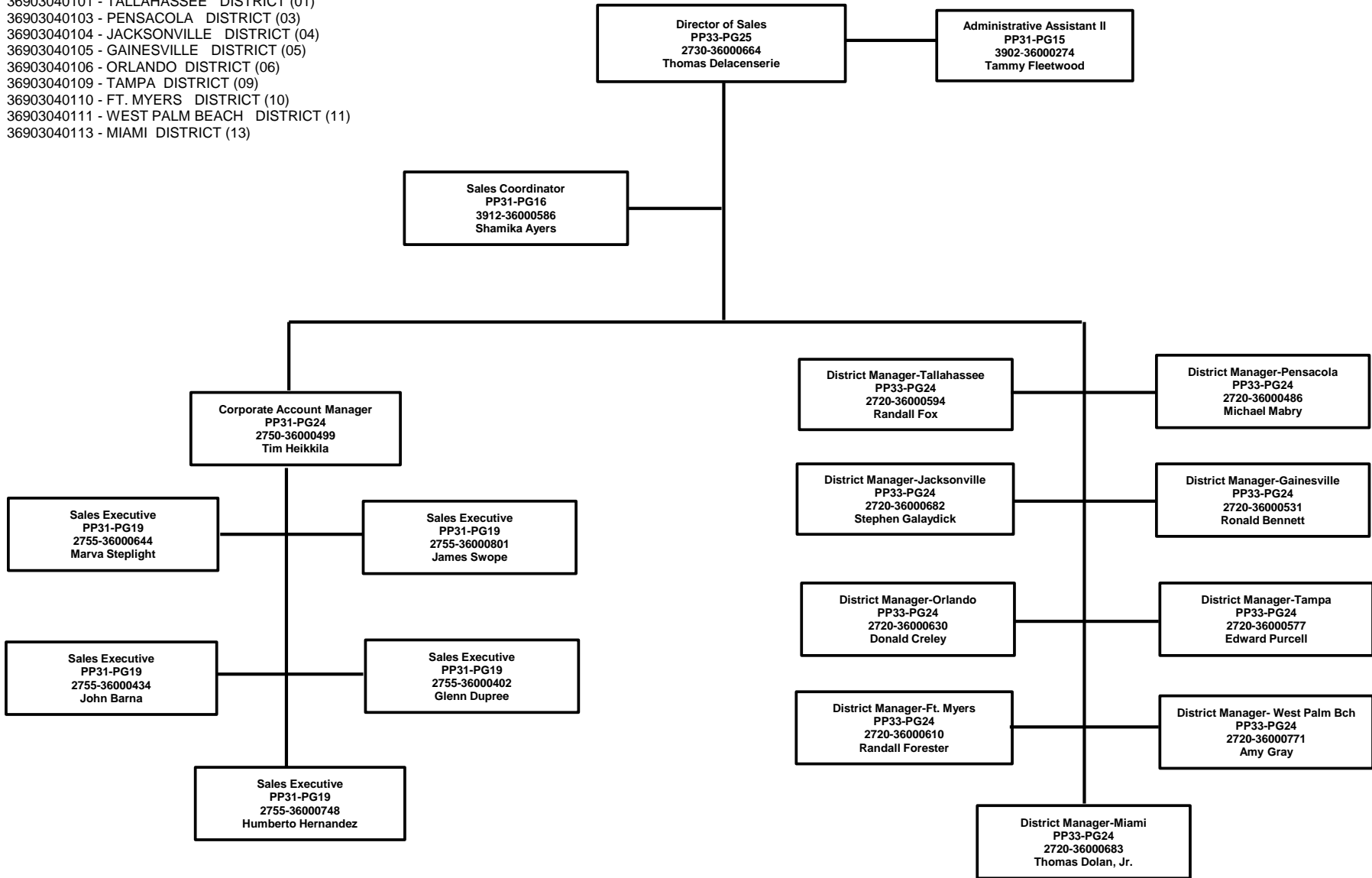


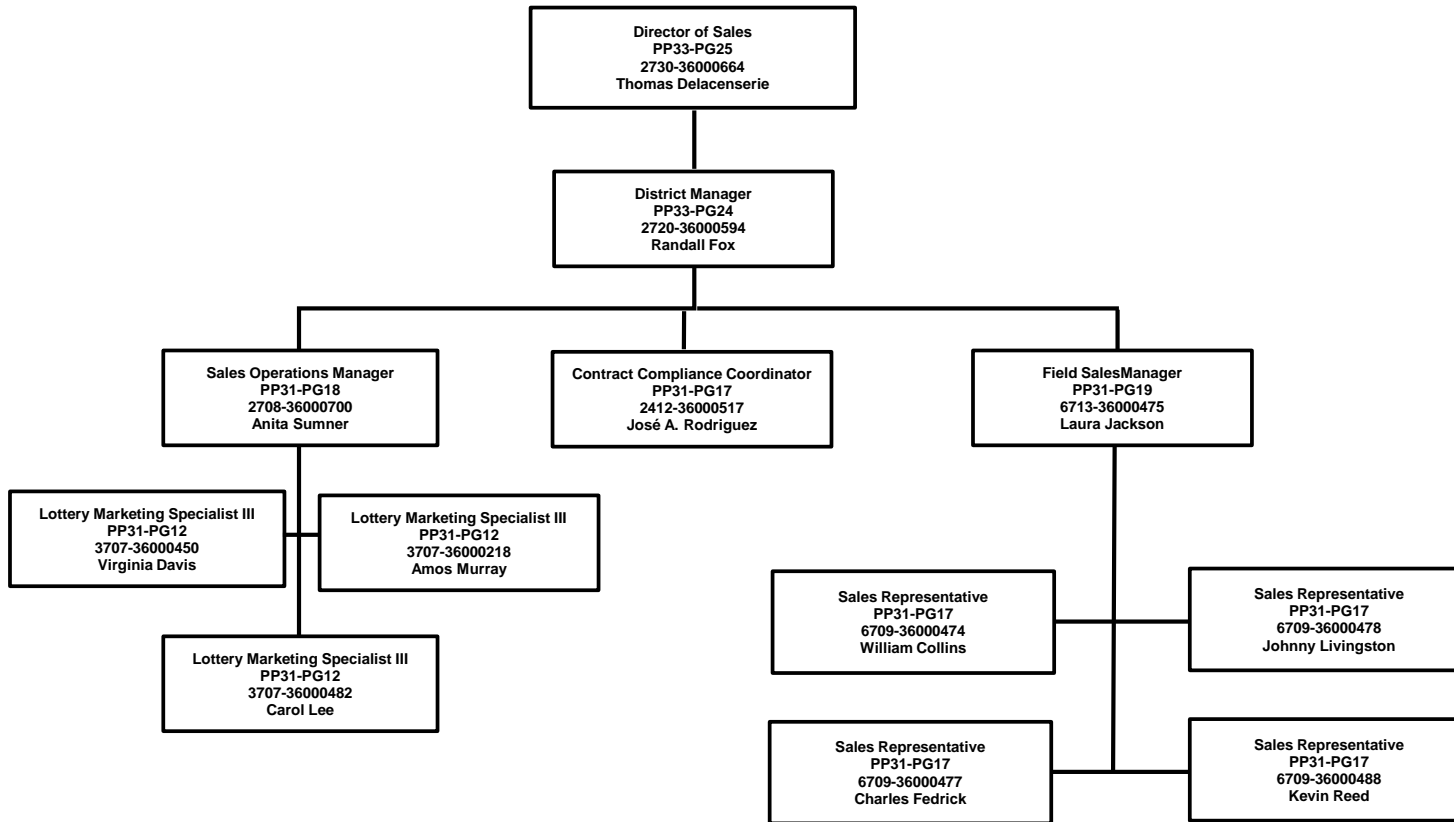
DEPARTMENT OF THE LOTTERY  
3690200000 - GRAPHICS

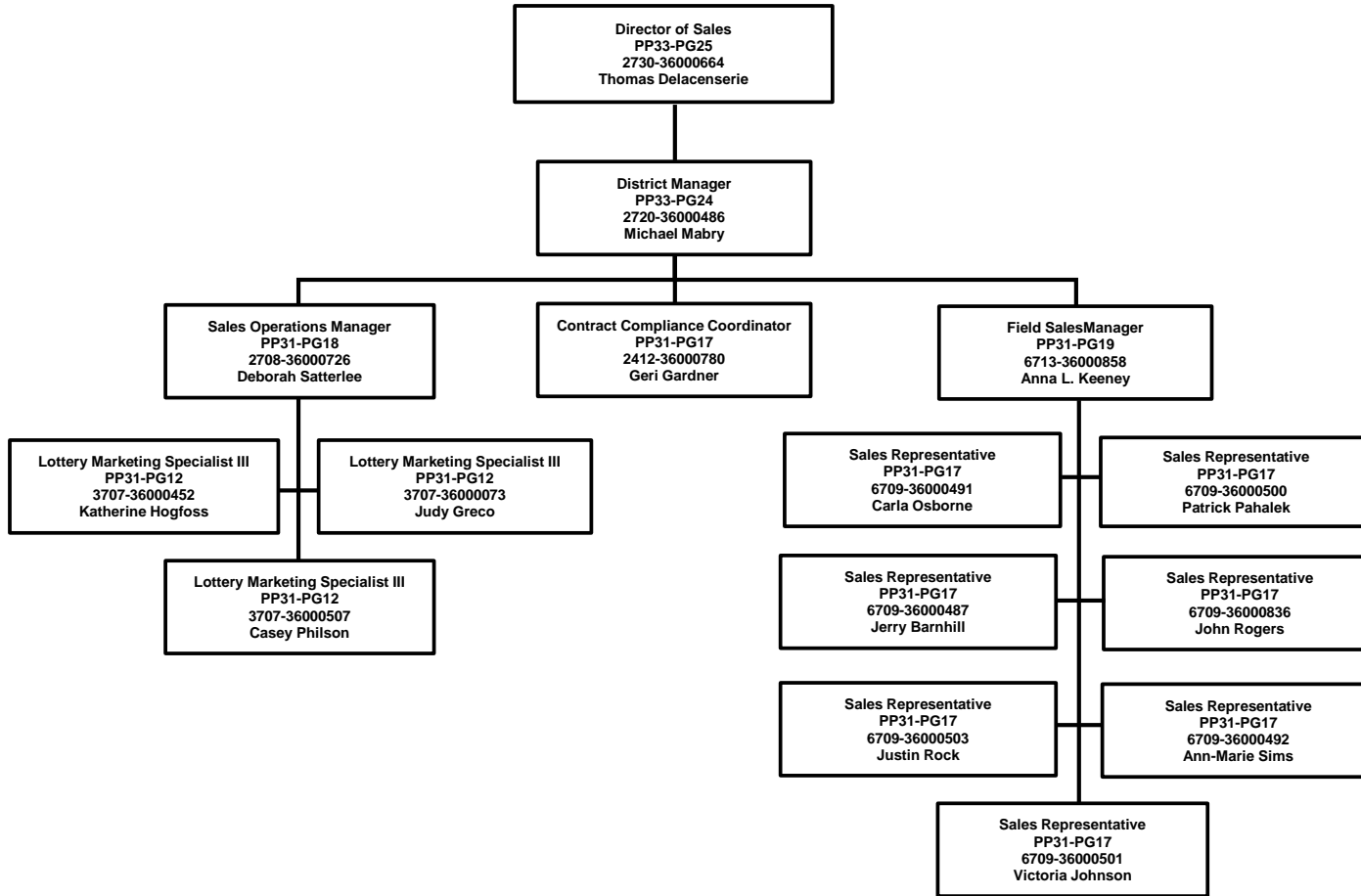


**DEPARTMENT OF THE LOTTERY**

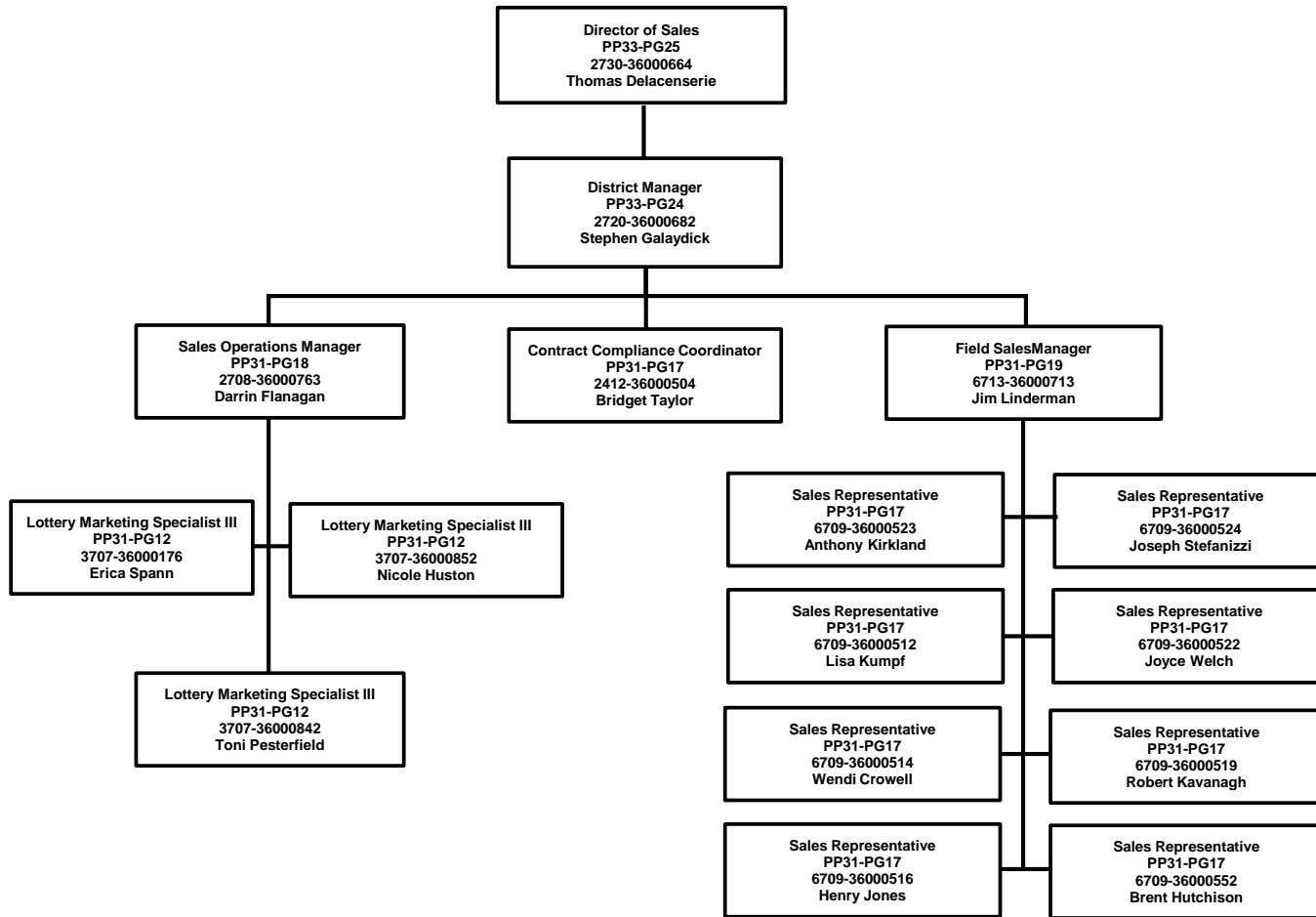
- 36903010000 - CORPORATE SALES
- 36903040101 - TALLAHASSEE DISTRICT (01)
- 36903040103 - PENSACOLA DISTRICT (03)
- 36903040104 - JACKSONVILLE DISTRICT (04)
- 36903040105 - GAINESVILLE DISTRICT (05)
- 36903040106 - ORLANDO DISTRICT (06)
- 36903040109 - TAMPA DISTRICT (09)
- 36903040110 - FT. MYERS DISTRICT (10)
- 36903040111 - WEST PALM BEACH DISTRICT (11)
- 36903040113 - MIAMI DISTRICT (13)



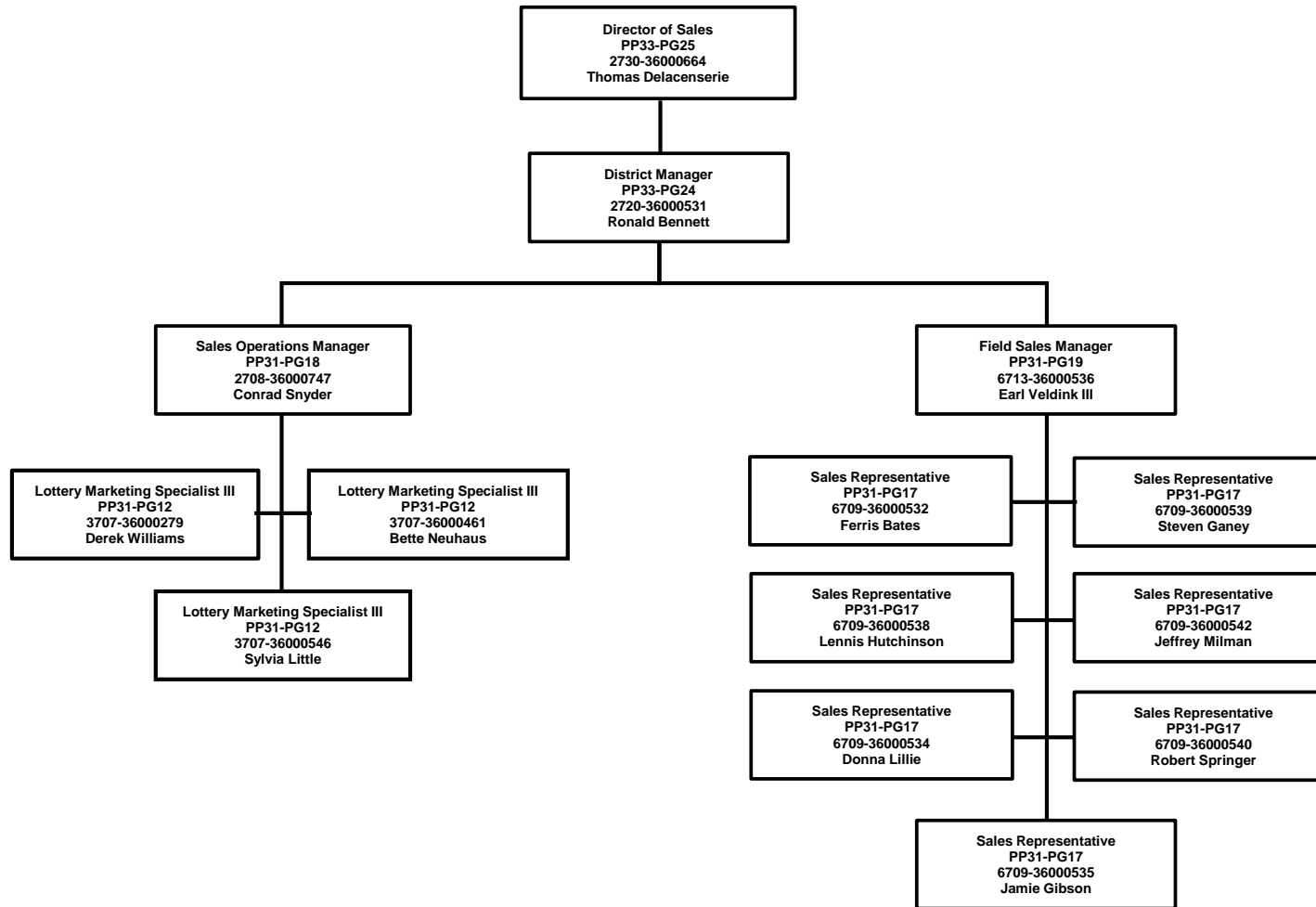


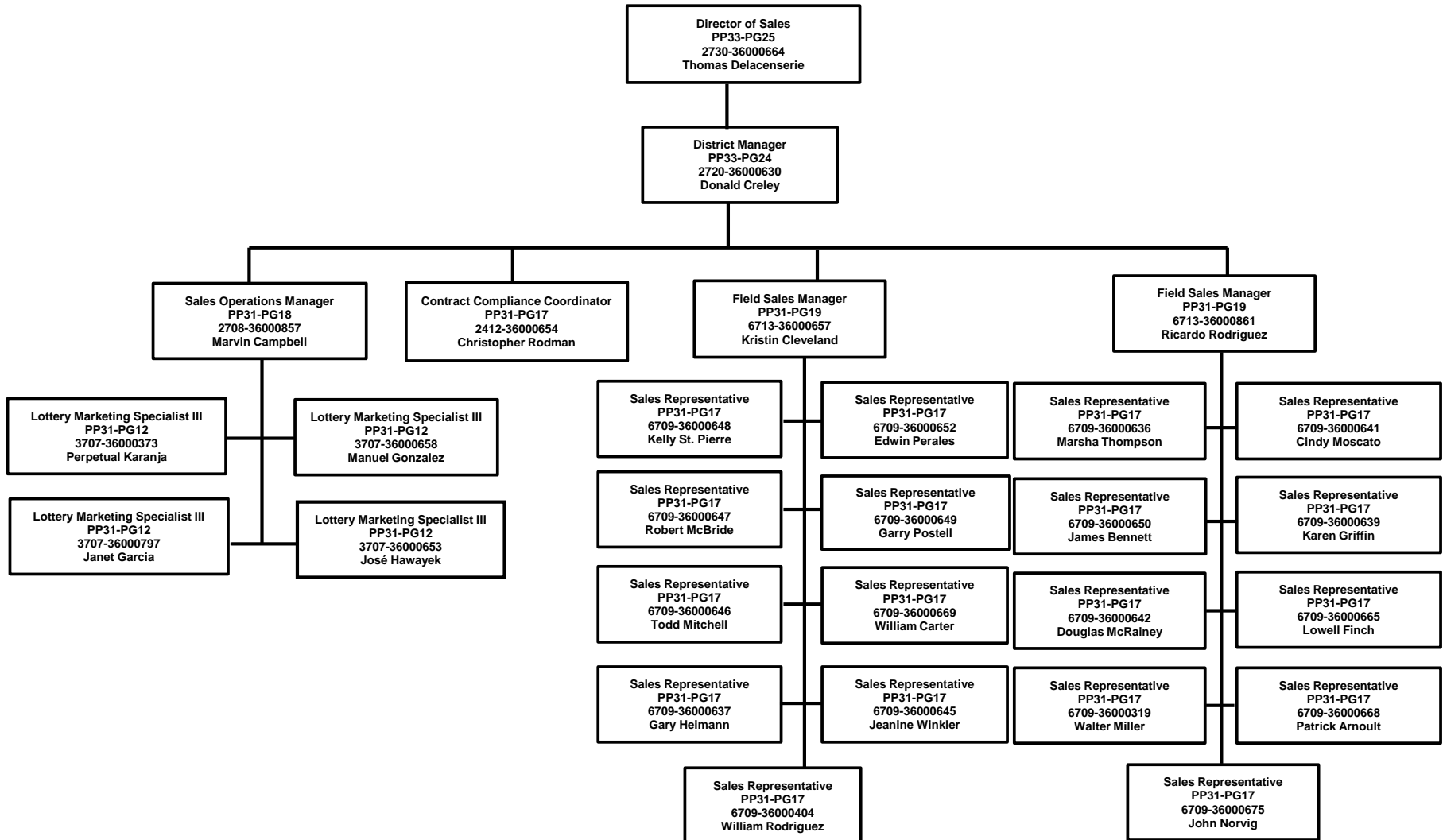


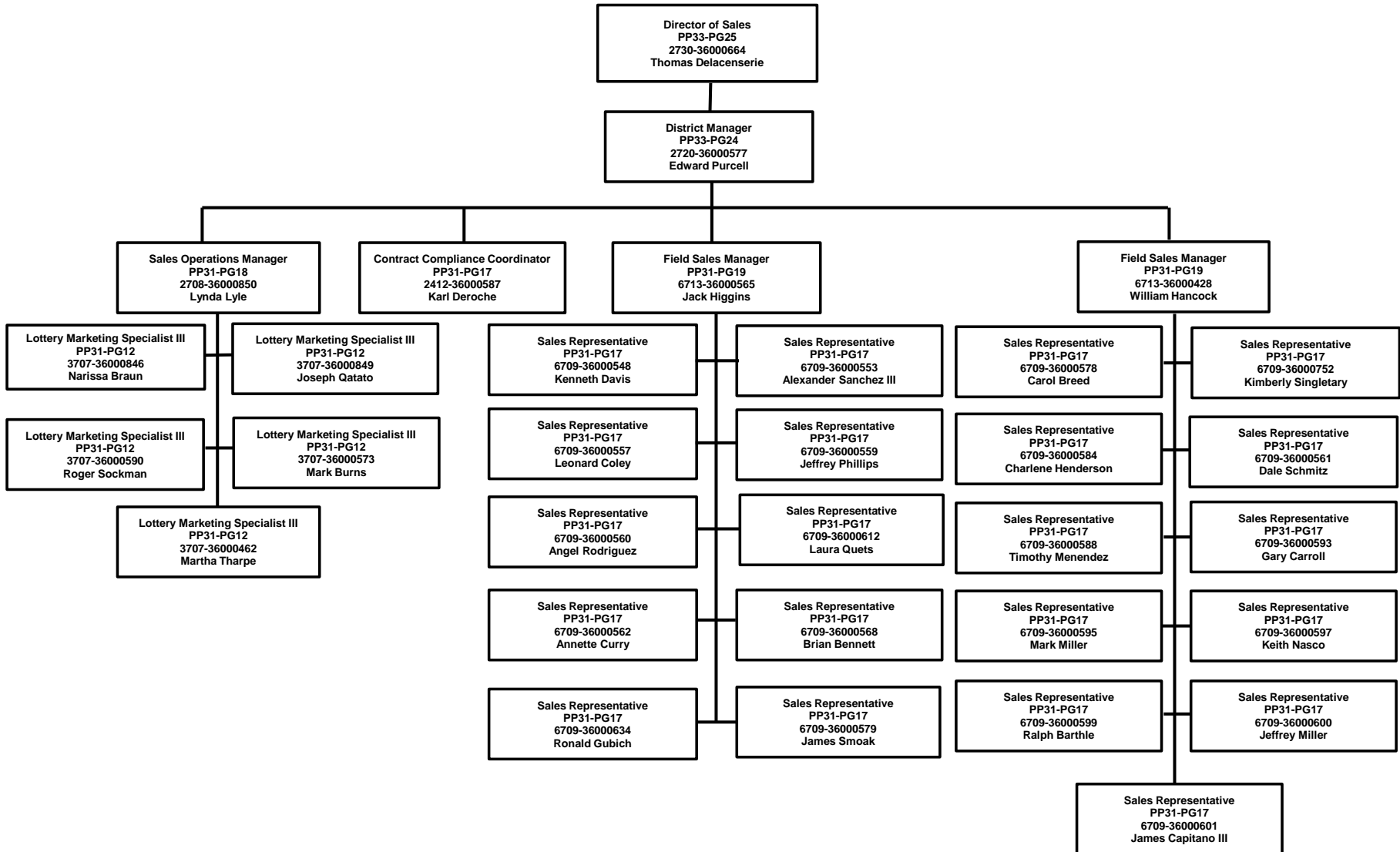
DEPARTMENT OF THE LOTTERY  
 36903040104 - JACKSONVILLE DISTRICT (04)



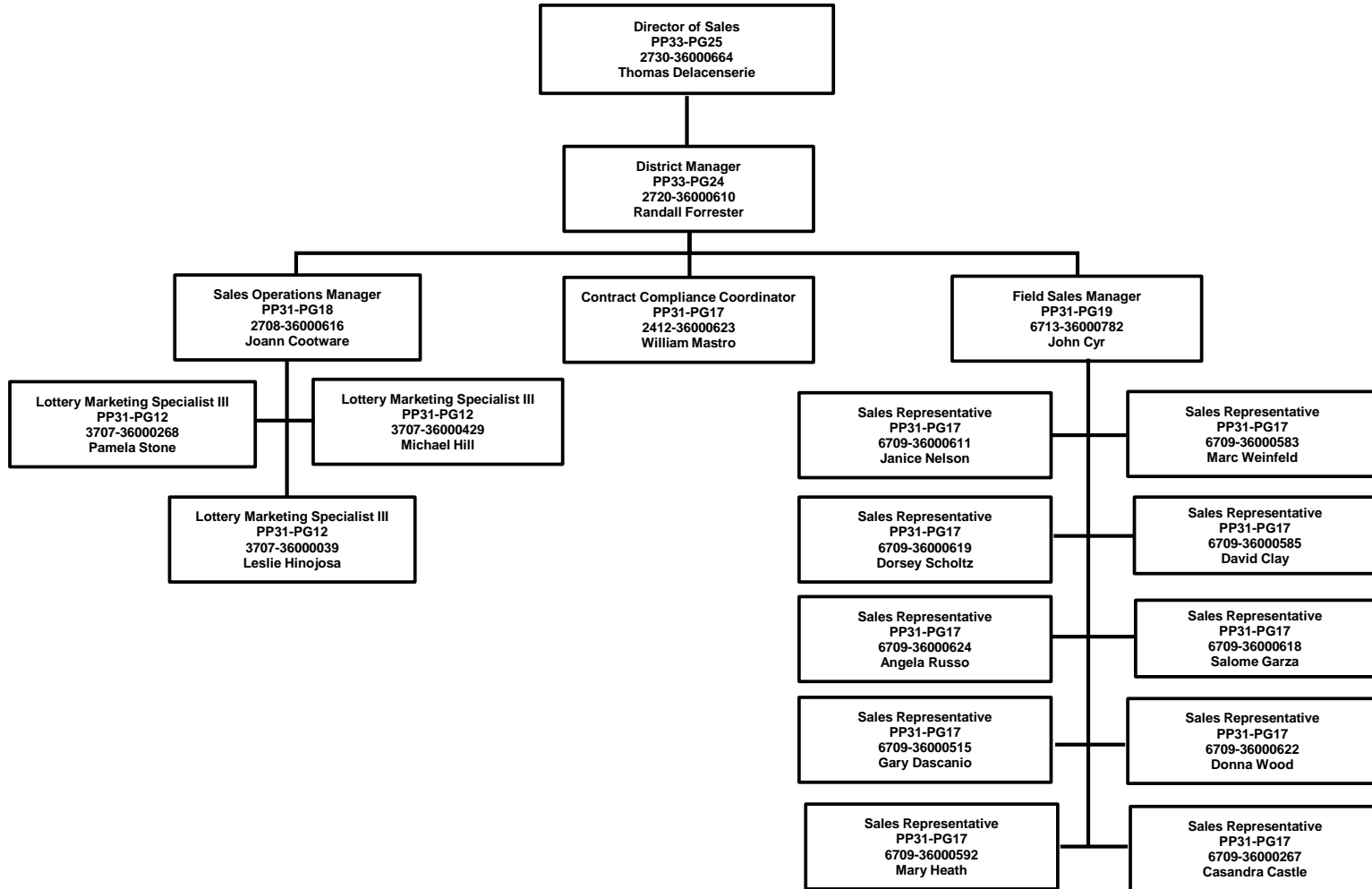
DEPARTMENT OF THE LOTTERY  
36903040105 - GAINESVILLE DISTRICT (05)

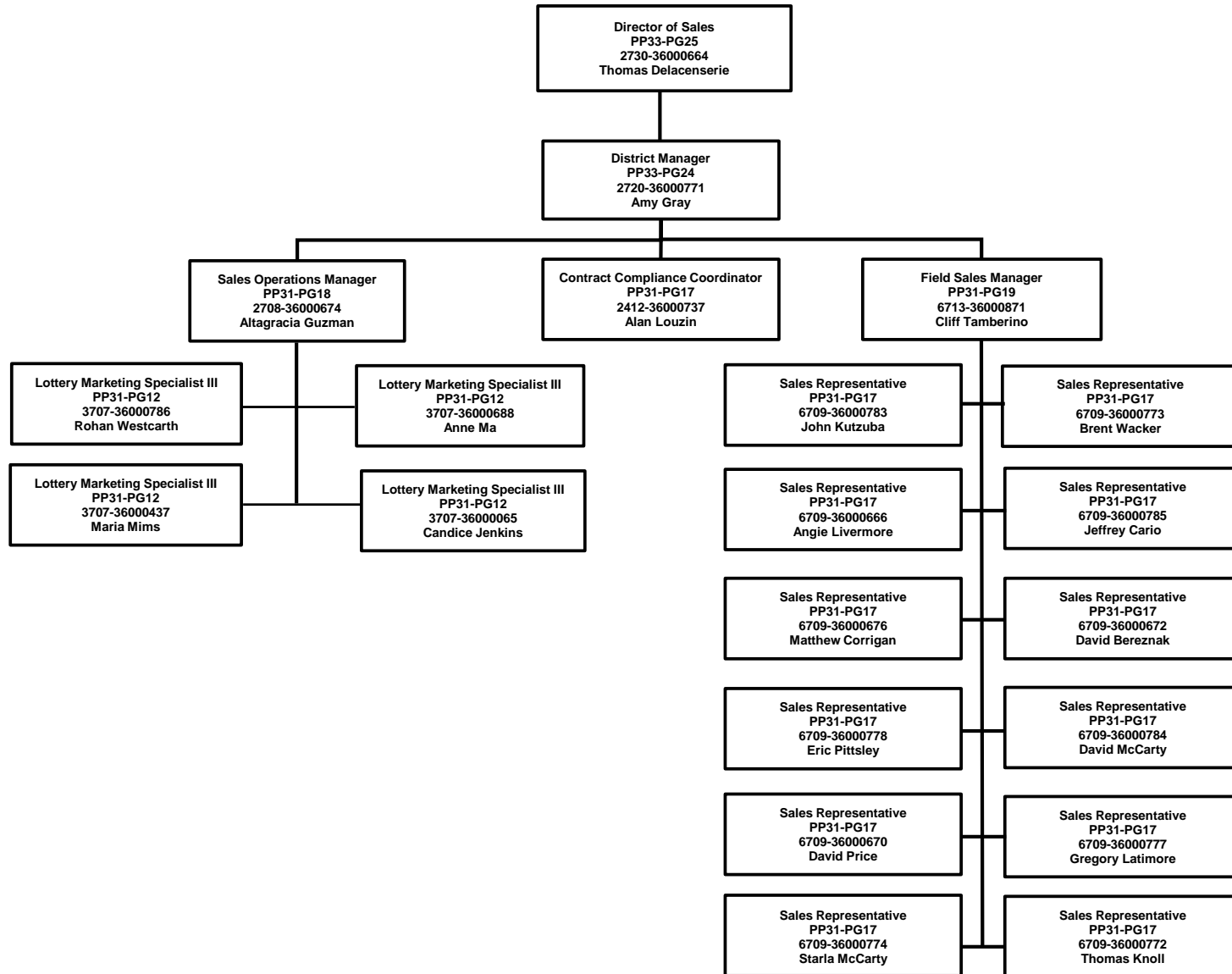


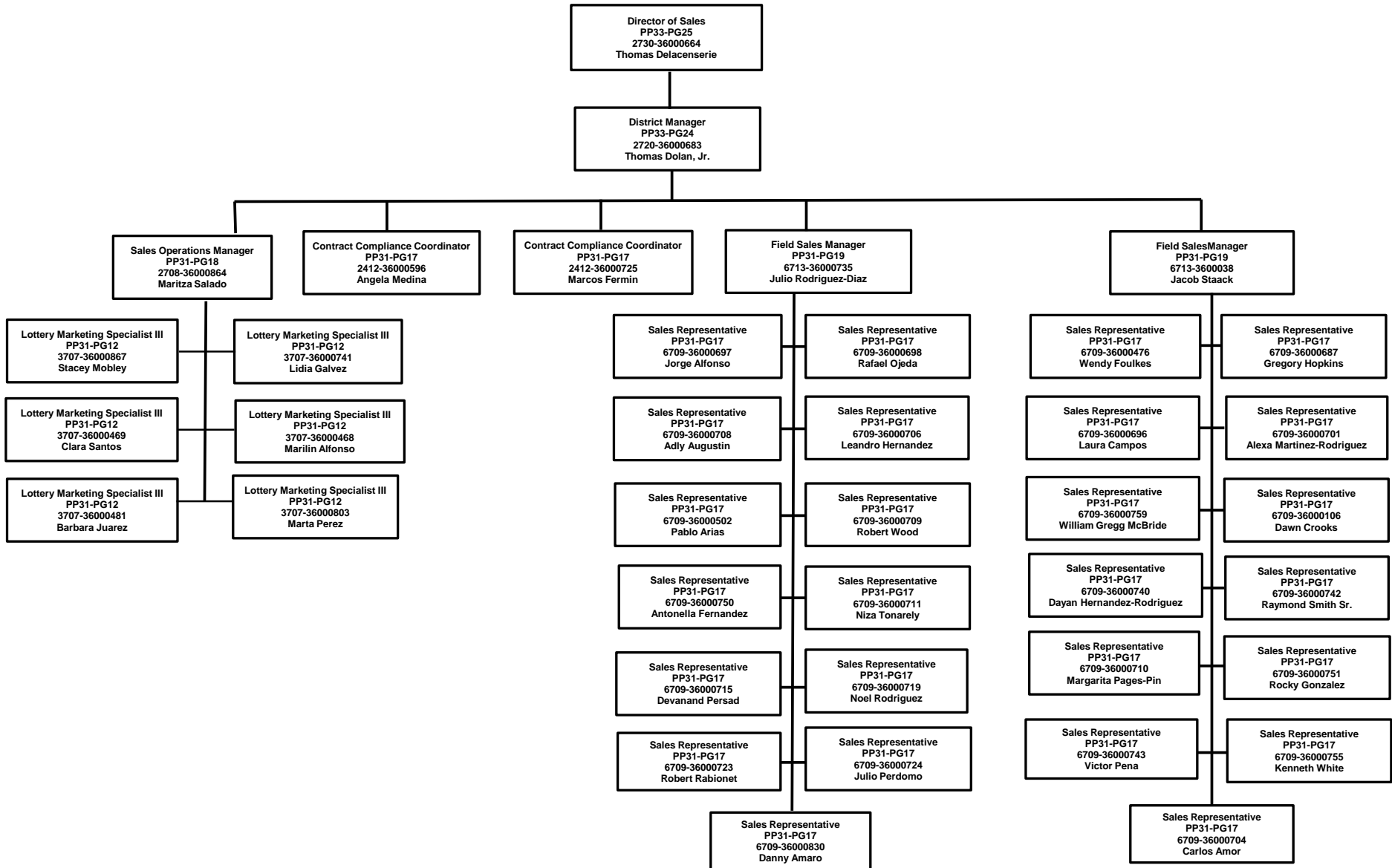










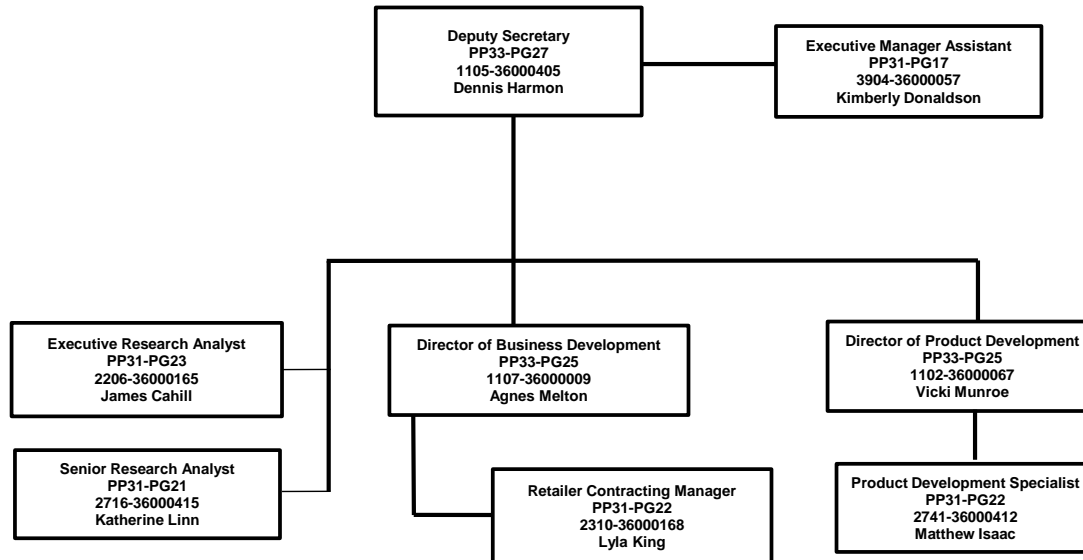


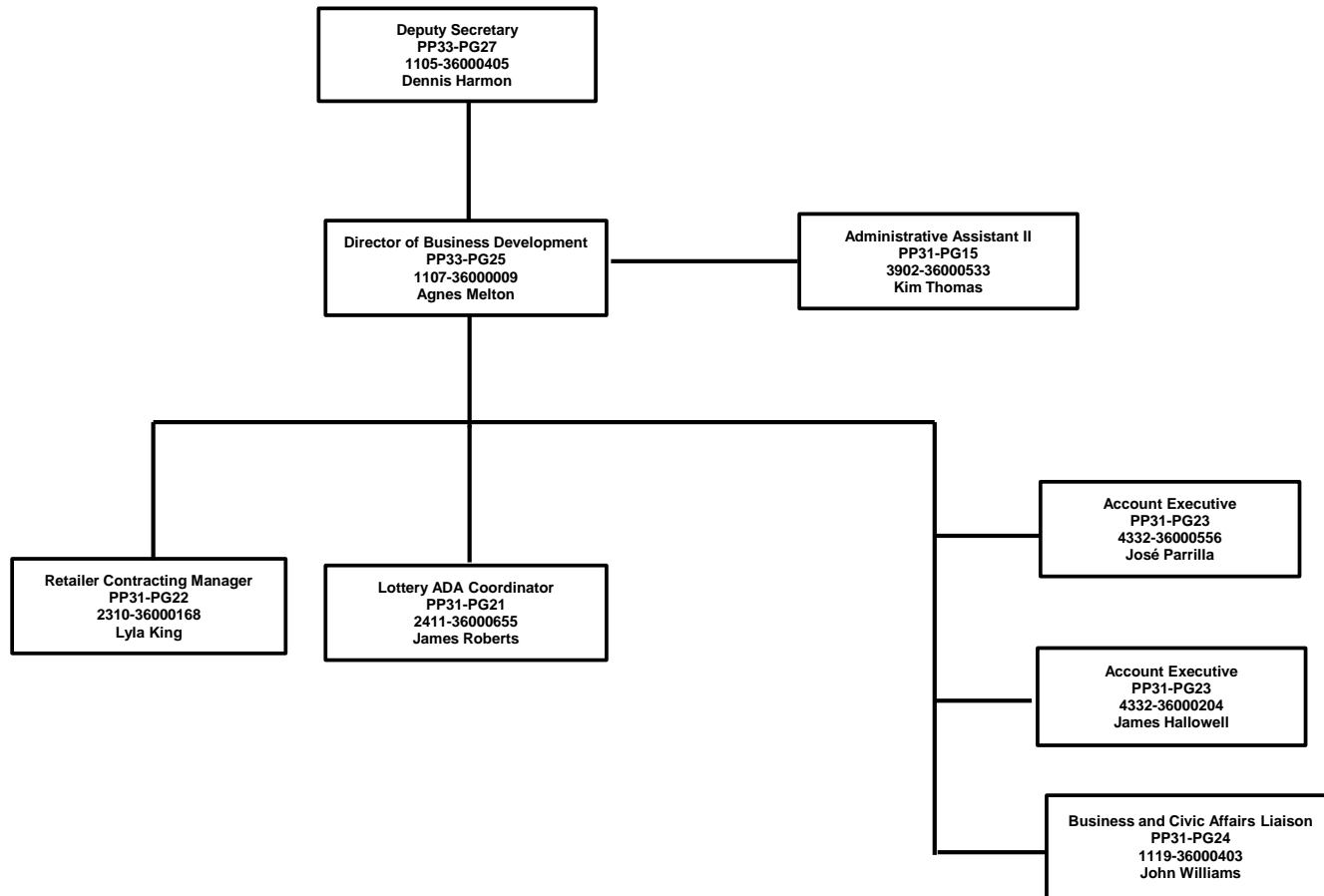
**DEPARTMENT OF THE LOTTERY**

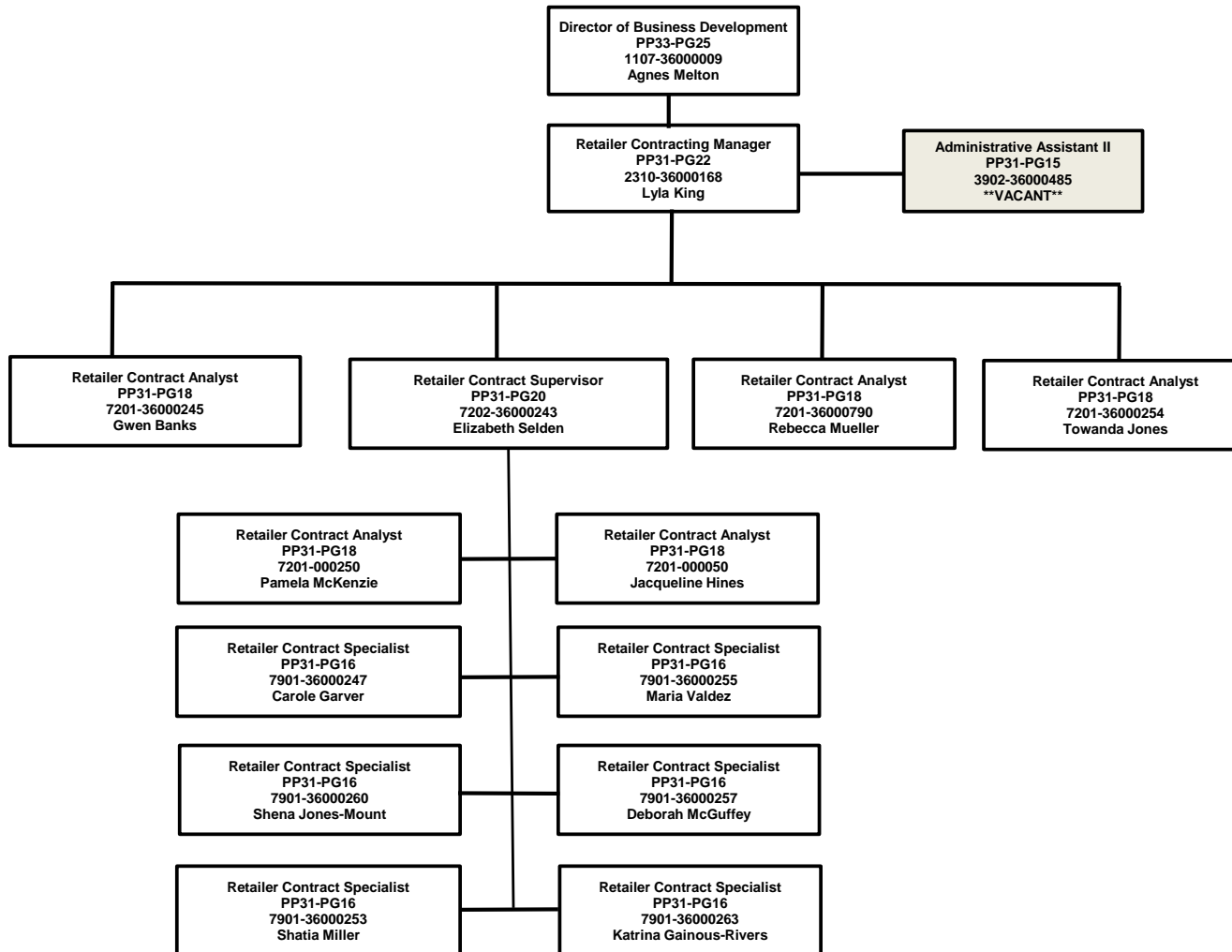
36950000000 - DEPUTY SECRETARY - BUS DEV, RESEARCH & STRATEGY

36951000000 - BUSINESS DEVELOPMENT

36952000000 - PRODUCT DEVELOPMENT









**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**

<b>Contact Information</b>
Agency: FLORIDA LOTTERY
Name: Rhett Frisbie, Director of Procurement Management or Teri Jenkins, Contract Administrator
Phone: 487-7710
E-mail address: <a href="mailto:frisbier@flalottery.com">frisbier@flalottery.com</a> or <a href="mailto:jenkinst@flalottery.com">jenkinst@flalottery.com</a>

<b>1. Vendor Name</b>		
The Lottery does not have any contracts in which we receive revenue from a vendor.		
<b>2. Brief description of services provided by the vendor.</b>		
<b>3. Contract terms and years remaining.</b>		
<b>4. Amount of revenue generated</b>		
Prior Fiscal Year	Current Fiscal Year	Next Fiscal Year (Request Year)
<b>5. Amount of revenue remitted</b>		
Prior Fiscal Year	Current Fiscal Year	Next Fiscal Year (Request Year)
<b>6. Value of capital improvement</b>		
<b>7. Remaining amount of capital improvement</b>		
<b>8. Amount of state appropriations</b>		
Prior Fiscal Year	Current Fiscal Year	Next Fiscal Year (Request Year)



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**Florida Lottery**

**Schedule I Series**

**Budget Request Year 2012-13**

**Cynthia F. O'Connell, Secretary**  
**September 2011**

## SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

<b>Department Title:</b>	<b>Budget Period: 2011 - 2012</b>
<b>Trust Fund Title:</b>	FLORIDA LOTTERY
<b>Budget Entity:</b>	OPERATING TRUST FUND
<b>LAS/PBS Fund Number:</b>	36010000
	2510

	Balance as of 6/30/2011		SWFS* Adjustments	Adjusted Balance
<b>Chief Financial Officer's (CFO) Cash Balance</b>	203,795.98	(A)		
ADD: Other Cash (See Instructions)	397,578.80	(B)		
ADD: Investments	163,923,209.74	(C)		
ADD: Outstanding Accounts Receivable	24,498,780.76	(D)		
ADD: Inventories	993822.96	(E)		
<b>Total Cash plus Accounts Receivable</b>	<b>190,017,188.24</b>	(F)		
LESS Allowances for Uncollectibles	2,363,950.96	(G)		
LESS Approved "A" Certified Forwards	9,815,278.87	(H)		
Approved "B" Certified Forwards	33,267.37	(H)		
Approved "FCO" Certified Forwards		(H)		
LESS: Other Accounts Payable (Nonoperating)	95,986,308.23	(I)		
LESS: Due to Education	81,818,382.81	(J)		
<b>Unreserved Fund Balance, 07/01/11</b>	<b>0.00</b>	(K)		**

**Notes:**

\*SWFS = Statewide Financial Statement

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

**RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC**

**Budget Period: 2012 - 2013**

**Department Title:** FLORIDA LOTTERY  
**Trust Fund Title:** OPERATING TRUST FUND  
**LAS/PBS Fund Number:** 2510

**BEGINNING TRIAL BALANCE:**

**Total Fund Balance Per FLAIR Trial Balance, 07/01/11**

Total all GLC's 5XXXX for governmental funds; 142,033,518.08 (A)  
GLC 539XX for proprietary and fiduciary funds

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

**Add/Subtract Statewide Financial Statement (SWFS) Adjustments :**

SWFS Adjustment # and Description (C)

SWFS Adjustment # and Description (C)

**Add/Subtract Other Adjustment(s):**

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

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

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

Invested in restricted Lottery assets of \$142,033,518.08 is intended to reflect 142,033,518.08 (D)

the portion of net assets that are associated with non-liquid, capital assets, (D)

and is restricted to cover future jackpots, supplemented jackpots, (D)

depreciation and asset disposal in future years. Therefore the Lottery has no (D)

unreserved fund balance at year end. (D)

**ADJUSTED BEGINNING TRIAL BALANCE:** 0.00 (E)

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

**DIFFERENCE:** 0.00 (G)\*

**\*SHOULD EQUAL ZERO.**

**SCHEDULE IX: MAJOR AUDIT FINDINGS AND RECOMMENDATIONS**

**Budget Period: 2011 -2012**

**Department:** FLORIDA LOTTERY

**Chief Internal Auditor:** Andy Mompeller

**Budget Entity:** Lottery Operations

**Phone Number:** 850-487-7726

(1)	(2)	(3)	(4)	(5)	(6)
REPORT NUMBER	PERIOD ENDING	UNIT/AREA	SUMMARY OF FINDINGS AND RECOMMENDATIONS	SUMMARY OF CORRECTIVE ACTION TAKEN	ISSUE CODE
			There have been no Major Audit Findings or Related Recommendations		

# Fiscal Year 2012-13 LBR Technical Review Checklist

Department/Budget Entity (Service): Florida Lottery
Agency Budget Officer/OPB Analyst Name: Melisa Spivey/Danielle Frankel

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	3601				

## 1. GENERAL

1.1 Are Columns A01, A02, A04, A05, A36, A93, IA1, IA5, IP1, IV1, IV3 and NV1 set to TRANSFER CONTROL for DISPLAY status and MANAGEMENT CONTROL for UPDATE status for both the Budget and Trust Fund columns? Are Columns A06, A07, A08 and A09 for Fixed Capital Outlay (FCO) set to TRANSFER CONTROL for DISPLAY status only? <b>(CSDI)</b>	Y				
1.2 Is Column A03 set to TRANSFER CONTROL for DISPLAY and UPDATE status for both the Budget and Trust Fund columns? <b>(CSDI)</b>	Y				

## AUDITS:

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

## 2. EXHIBIT A (EADR, EXA)

2.1 Is the budget entity authority and description consistent with the agency's LRPP and does it conform to the directives provided on page 59 of the LBR Instructions?	Y				
2.2 Are the statewide issues generated systematically (estimated expenditures, nonrecurring expenditures, etc.) included?	Y				
2.3 Are the issue codes and titles consistent with <i>Section 3</i> of the LBR Instructions (pages 15 through 30)? Do they clearly describe the issue?	Y				
2.4 Have the coding guidelines in <i>Section 3</i> of the LBR Instructions (pages 15 through 30) been followed?	Y				

## 3. EXHIBIT B (EXBR, EXB)

3.1 Is it apparent that there is a fund shift and were the issues entered into LAS/PBS correctly? Check D-3A funding shift issue 340XXX0 - a unique deduct and unique add back issue should be used to ensure fund shifts display correctly on the LBR exhibits.	N/A				
--	-----	--	--	--	--

		Program or Service (Budget Entity Codes)				
Action		3601				
3.2	Are the 33XXXX0 issues negative amounts only and do not restore nonrecurring cuts from a prior year or fund any issues that net to a positive or zero amount? Check D-3A issues 33XXXX0 - a unique issue should be used for issues that net to zero or a positive amount.	Y				
<b>AUDITS:</b>						
3.3	Negative Appropriation Category Audit for Agency Request (Columns A03 and A04): Are all appropriation categories positive by budget entity at the FSI level? Are all nonrecurring amounts less than requested amounts? <b>(NACR, NAC - Report should print "No Negative Appropriation Categories Found")</b>	Y				
3.4	Current Year Estimated Verification Comparison Report: Is Column A02 equal to Column B07? <b>(EXBR, EXBC - Report should print "Records Selected Net To Zero")</b>	Y				
TIP	Generally look for and be able to fully explain significant differences between A02 and A03.					
TIP	Exhibit B - A02 equal to B07: Compares Current Year Estimated column to a backup of A02. This audit is necessary to ensure that the historical detail records have not been adjusted. Records selected should net to zero.					
TIP	Requests for appropriations which require advance payment authority must use the sub-title "Grants and Aids". For advance payment authority to local units of government, the Aid to Local Government appropriation category (05XXXX) should be used. For advance payment authority to non-profit organizations or other units of state government, the Special Categories appropriation category (10XXXX) should be used.					
<b>4. EXHIBIT D (EADR, EXD)</b>						
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				
4.2	Is the program component code and title used correct?	Y				
TIP	Fund shifts or transfers of services or activities between program components will be displayed on an Exhibit D whereas it may not be visible on an Exhibit A.					
<b>5. EXHIBIT D-1 (ED1R, EXD1)</b>						
5.1	Are all object of expenditures positive amounts? (This is a manual check.)	Y				
<b>AUDITS:</b>						
5.2	Do the fund totals agree with the object category totals within each appropriation category? <b>(ED1R, XD1A - Report should print "No Differences Found For This Report")</b>	Y				

		Program or Service (Budget Entity Codes)				
Action		3601				
5.3	FLAIR Expenditure/Appropriation Ledger Comparison Report: Is Column A01 less than Column B04? <b>(EXBR, EXBB - Negative differences need to be corrected in Column A01.)</b>	Y				
5.4	A01/State Accounts Disbursements and Carry Forward Comparison Report: Does Column A01 equal Column B08? <b>(EXBR, EXBD - Differences need to be corrected in Column A01.)</b>	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 2010-11 approved budget. Amounts should be positive.					
TIP	If B08 is not equal to A01, check the following: 1) the initial FLAIR disbursements or carry forward data load was corrected appropriately in A01; 2) the disbursement data from departmental FLAIR was reconciled to State Accounts; and 3) the FLAIR disbursements did not change after Column B08 was created.					
<b>6. EXHIBIT D-3 (ED3R, ED3) (Not required in the LBR - for analytical purposes only.)</b>						
6.1	Are issues appropriately aligned with appropriation categories?	Y				
TIP	Exhibit D-3 is no longer required in the budget submission but may be needed for this particular appropriation category/issue sort. Exhibit D-3 is also a useful report when identifying negative appropriation category problems.					
<b>7. EXHIBIT D-3A (EADR, ED3A)</b>						
7.1	Are the issue titles correct and do they clearly identify the issue? (See pages 15 through 30 of the LBR Instructions.)	Y				
7.2	Does the issue narrative adequately explain the agency's request and is the explanation consistent with the LRPP? (See page 65 of the LBR Instructions.)	Y				
7.3	Does the narrative for Information Technology (IT) issue follow the additional narrative requirements described on pages 69 through 70 of the LBR Instructions?	Y				
7.4	Are all issues with an IT component identified with a "Y" in the "IT COMPONENT?" field? If the issue contains an IT component, has that component been identified and documented?	Y				
7.5	Does the issue narrative explain any variances from the Standard Expense and Human Resource Services Assessments package? Is the nonrecurring portion in the nonrecurring column? (See pages E-4 and E-5 of the LBR Instructions.)	N/A				

		Program or Service (Budget Entity Codes)				
Action		3601				
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				
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.	N/A				
7.8	Does the issue narrative include the Consensus Estimating Conference forecast, where appropriate?	Y				
7.9	Does the issue narrative reference the specific county(ies) where applicable?	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 #12-009?	N/A				
7.11	When appropriate are there any 160XXX0 issues included to delete positions placed in reserve in the OPB Position and Rate Ledger (e.g. unfunded grants)? Note: Lump sum appropriations not yet allocated should <u>not</u> be deleted. ( <b>PLRR, PLMO</b> )	N/A				
7.12	Does the issue narrative include plans to satisfy additional space requirements when requesting additional positions?	N/A				
7.13	Has the agency included a 160XXX0 issue and 210XXXX and 260XXX0 issues as required for lump sum distributions?	N/A				
7.14	Do the amounts reflect appropriate FSI assignments?	Y				
7.15	Do the issues relating to <i>salary and benefits</i> have an "A" in the fifth position of the issue code (XXXXAXX) and are they self-contained (not combined with other issues)? (See page 29 and 88 of the LBR Instructions.)	N/A				
7.16	Do the issues relating to <i>Information Technology (IT)</i> have a "C" in the sixth position of the issue code (36XXXCX) and are the correct issue codes used (361XXC0, 362XXC0, 363XXC0, 17C01C0, 17C02C0, 17C03C0, 24010C0, 33001C0 or 55C01C0)? Have the correct issue codes been used for the Statewide Email Consolidation (17C10C0, 17C11C0, 17C14C0, 33015C0 and 55C04C0)	Y				
7.17	Are the issues relating to <i>major audit findings and recommendations</i> properly coded (4A0XXX0, 4B0XXX0)?	N/A				
<b>AUDIT:</b>						
7.18	Are all FSI's equal to '1', '2', '3', or '9'? There should be no FSI's equal to '0'. ( <b>EADR, FSIA - Report should print "No Records Selected For Reporting"</b> )	Y				



		Program or Service (Budget Entity Codes)				
Action		3601				
7.19	Does the General Revenue for 160XXXX (Adjustments to Current Year Expenditures) issues net to zero? ( <b>GENR, LBR1</b> )	N/A				
7.20	Does the General Revenue for 180XXXX (Intra-Agency Reorganizations) issues net to zero? ( <b>GENR, LBR2</b> )	N/A				
7.21	Does the General Revenue for 200XXXX (Estimated Expenditures Realignment) issues net to zero? ( <b>GENR, LBR3</b> )	N/A				
7.22	Have FCO appropriations been entered into the nonrecurring column A04? ( <b>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) )</b> )	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 <b>OADA/OADR</b> 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 71 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 2011-12 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.					
<b>8. SCHEDULE I &amp; RELATED DOCUMENTS (SC1R, SC1 - Budget Entity Level or SC1R, SC1D - Department Level)</b>						
8.1	Has a separate department level Schedule I and supporting documents package been submitted by the agency?	Y				
8.2	Has a Schedule I and Schedule IB been completed in LAS/PBS for each operating trust fund?	Y				
8.3	Have the appropriate Schedule I supporting documents been included for the trust funds (Schedule IA, Schedule IC, and Reconciliation to Trial Balance)?	Y				

		Program or Service (Budget Entity Codes)			
Action		3601			
8.4	Have the Examination of Regulatory Fees Part I and Part II forms been included for the applicable regulatory programs?	N/A			
8.5	Have the required detailed narratives been provided (5% trust fund reserve narrative; method for computing the distribution of cost for general management and administrative services narrative; adjustments narrative; revenue estimating methodology narrative)?	Y			
8.6	Has the Inter-Agency Transfers Reported on Schedule I form been included as applicable for transfers totaling \$100,000 or more for the fiscal year?	Y			
8.7	If the agency is scheduled for the annual trust fund review this year, have the Schedule ID and applicable draft legislation been included for recreation, modification or termination of existing trust funds?	N/A			
8.8	If the agency is scheduled for the annual trust fund review this year, have the necessary trust funds been requested for creation pursuant to <i>section 215.32(2)(b), Florida Statutes</i> - including the Schedule ID and applicable legislation?	N/A			
8.9	Are the revenue codes correct? In the case of federal revenues, has the agency appropriately identified direct versus indirect receipts (object codes 000700, 000750, 000799, 001510 and 001599)? For non-grant federal revenues, is the correct revenue code identified (codes 000504, 000119, 001270, 001870, 001970)?	Y			
8.10	Are the statutory authority references correct?	Y			
8.11	Are the General Revenue Service Charge percentage rates used for each revenue source correct? (Refer to Chapter 2009-78, Laws of Florida, for appropriate general revenue service charge percentage rates.)	N/A			
8.12	Is this an accurate representation of revenues based on the most recent Consensus Estimating Conference forecasts?	Y			
8.13	If there is no Consensus Estimating Conference forecast available, do the revenue estimates appear to be reasonable?	Y			
8.14	Are the federal funds revenues reported in Section I broken out by individual grant? Are the correct CFDA codes used?	N/A			
8.15	Are anticipated grants included and based on the state fiscal year (rather than federal fiscal year)?	N/A			
8.16	Are the Schedule I revenues consistent with the FSI's reported in the Exhibit D-3A?	Y			
8.17	If applicable, are nonrecurring revenues entered into Column A04?				
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			

		Program or Service (Budget Entity Codes)				
Action		3601				
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				
8.20	Are appropriate service charge nonoperating amounts included in Section II?	N/A				
8.21	Are nonoperating expenditures to other budget entities/departments cross-referenced accurately?	Y				
8.22	Do transfers balance between funds (within the agency as well as between agencies)? (See also 8.6 for required transfer confirmation of amounts totaling \$100,000 or more.)	Y				
8.23	Are nonoperating expenditures recorded in Section II and adjustments recorded in Section III?	Y				
8.24	Are prior year September operating reversions appropriately shown in column A01?	Y				
8.25	Are current year September operating reversions appropriately shown in column A02? <b>DUE TO THE EARLY SUBMISSION DATE OF THE 2012-13 LBR, CERTIFIED FORWARD REVERSIONS AT 9/30/11 WILL NEED TO BE ADDED BY AGENCIES DURING THE TECHNICAL REVIEW PERIOD.</b>	Y				
8.26	Does the Schedule IC properly reflect the unreserved fund balance for each trust fund as defined by the LBR Instructions, and is it reconciled to the agency accounting records?	Y				
8.27	Does Column A01 of the Schedule I accurately represent the actual prior year accounting data as reflected in the agency accounting records, and is it provided in sufficient detail for analysis?	Y				
8.28	Does Line I of Column A01 (Schedule I) equal Line K of the Schedule IC?	Y				
<b>AUDITS:</b>						
8.29	Is Line I a positive number? (If not, the agency must adjust the budget request to eliminate the deficit).	Y				
8.30	Is the June 30 Adjusted Unreserved Fund Balance (Line I) equal to the July 1 Unreserved Fund Balance (Line A) of the following year? If a Schedule IB was prepared, do the totals agree with the Schedule I, Line I? <b>(SC1R, SC1A - Report should print "No Discrepancies Exist For This Report")</b>	Y				
8.31	Has a Department Level Reconciliation been provided for each trust fund and does Line A of the Schedule I equal the CFO amount? If not, the agency must correct Line A. <b>(SC1R, DEPT)</b>	Y				
TIP	The Schedule I is the most reliable source of data concerning the trust funds. It is very important that this schedule is as accurate as possible!					
TIP	Determine if the agency is scheduled for trust fund review. (See page 125 of the LBR Instructions.)					

		Program or Service (Budget Entity Codes)				
Action		3601				
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.					
<b>9. SCHEDULE II (PSCR, SC2)</b>						
AUDIT:						
9.1	Is the pay grade minimum for salary rate utilized for positions in segments 2 and 3? ( <b>BRAR, BRAA - Report should print "No Records Selected For This Request"</b> ) Note: Amounts other than the pay grade minimum should be fully justified in the D-3A issue narrative. (See <i>Base Rate Audit</i> on page 157 of the LBR Instructions.)	Y				
<b>10. SCHEDULE III (PSCR, SC3)</b>						
10.1	Is the appropriate lapse amount applied in Segment 3? (See page 90 of the LBR Instructions.)	Y				
10.2	Are amounts in <i>Other Salary Amount</i> appropriate and fully justified? (See page 97 of the LBR Instructions for appropriate use of the OAD transaction.) Use <b>OADI</b> or <b>OADR</b> to identify agency other salary amounts requested.	N/A				
<b>11. SCHEDULE IV (EADR, SC4)</b>						
11.1	Are the correct Information Technology (IT) issue codes used?	Y				
TIP	If IT issues are not coded correctly (with "C" in 6th position), they will not appear in the Schedule IV.					
<b>12. SCHEDULE VIIIA (EADR, SC8A)</b>						
12.1	Is there only one #1 priority, one #2 priority, one #3 priority, etc. reported on the Schedule VIII-A? Are the priority narrative explanations adequate?	Y				
<b>13. SCHEDULE VIIIB-1 (EADR, S8B1)</b>						
13.1	<b>NOT REQUIRED FOR THIS YEAR</b>					
<b>14. SCHEDULE VIIIB-2 (EADR, S8B2)</b>						
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?	Y				
<b>15. SCHEDULE XI (LAS/PBS Web - see page 105 of the LBR Instructions for detailed instructions)</b>						
15.1	Agencies are required to generate this spreadsheet via the LAS/PBS Web. <b>The Final Excel version on longer has to be submitted to OPB for inclusion on the Governor's Florida Performs Website.</b> (Note: Pursuant to <i>section 216.023(4)(b), Florida Statutes</i> , the Legislature can reduce the funding level for any agency that does not provide this information.)	Y				
15.2	Do the PDF files uploaded to the Florida Fiscal Portal for the LRPP and LBR match?	Y				
AUDITS INCLUDED IN THE SCHEDULE XI REPORT:						

		Program or Service (Budget Entity Codes)				
Action		3601				
15.3	Does the FY 2010-11 Actual (prior year) Expenditures in Column A36 reconcile to Column A01? ( <b>GENR, ACT1</b> )	Y				
15.4	None of the executive direction, administrative support and information technology statewide activities (ACT0010 thru ACT0490) have output standards (Record Type 5)? ( <b>Audit #1 should print "No Activities Found"</b> )	Y				
15.5	Does the Fixed Capital Outlay (FCO) statewide activity (ACT0210) only contain 08XXXX or 14XXXX appropriation categories? ( <b>Audit #2 should print "No Operating Categories Found"</b> )	N/A				
15.6	Has the agency provided the necessary standard (Record Type 5) for all activities which <u>should</u> appear in Section II? (Note: Audit #3 will identify those activities that do NOT have a Record Type '5' and have not been identified as a 'Pass Through' activity. These activities will be displayed in Section III with the 'Payment of Pensions, Benefits and Claims' activity and 'Other' activities. Verify if these activities should be displayed in Section III. If not, an output standard would need to be added for that activity and the Schedule XI submitted again.)	Y				
15.7	Does Section I (Final Budget for Agency) and Section III (Total Budget for Agency) equal? ( <b>Audit #4 should print "No Discrepancies Found"</b> )	Y				
TIP	If Section I and Section III have a small difference, it may be due to rounding and therefore will be acceptable.					
<b>16. MANUALLY PREPARED EXHIBITS &amp; SCHEDULES</b>						
16.1	Do exhibits and schedules comply with LBR Instructions (pages 110 through 154 of the LBR Instructions), and are they accurate and complete?	Y				
16.2	Are appropriation category totals comparable to Exhibit B, where applicable?	Y				
16.3	Are agency organization charts (Schedule X) provided and at the appropriate level of detail?	Y				
<b>AUDITS - GENERAL INFORMATION</b>						
TIP	Review <i>Section 6: Audits</i> of the LBR Instructions (pages 156-158) for a list of audits and their descriptions.					
TIP	Reorganizations may cause audit errors. Agencies must indicate that these errors are due to an agency reorganization to justify the audit error.					
<b>17. CAPITAL IMPROVEMENTS PROGRAM (CIP)</b>						
17.1	Are the CIP-2, CIP-3, CIP-A and CIP-B forms included?	Y				
17.2	Are the CIP-4 and CIP-5 forms submitted when applicable (see CIP Instructions)?	N/A				
17.3	Do all CIP forms comply with CIP Instructions where applicable (see CIP Instructions)?	Y				
17.4	Does the agency request include 5 year projections (Columns A03, A06, A07, A08 and A09)?	Y				

		Program or Service (Budget Entity Codes)				
Action		3601				
17.5	Are the appropriate counties identified in the narrative?	N/A				
17.6	Has the CIP-2 form (Exhibit B) been modified to include the agency priority for each project and the modified form saved as a PDF document?	N/A				
TIP	Requests for Fixed Capital Outlay appropriations which are Grants and Aids to Local Governments and Non-Profit Organizations must use the Grants and Aids to Local Governments and Non-Profit Organizations - Fixed Capital Outlay major appropriation category (140XXX) and include the sub-title "Grants and Aids". These appropriations utilize a CIP-B form as justification.					
<b>18. FLORIDA FISCAL PORTAL</b>						
18.1	Have all files been assembled correctly and posted to the Florida Fiscal Portal as outlined in the Florida Fiscal Portal Submittal Process?	Y				
<b>19. CREATION OF DEPARTMENT OF ECONOMIC OPPORTUNITY (DEO)</b>						
19.1	<p>If you are an agency that no longer exists or is transferred to DEO after the approval of the reorganization by the Legislative Budget Commission (LBC), have you submitted the following schedules, as applicable:</p> <ul style="list-style-type: none"> <li>• Schedule I: Trust Funds Available and Schedule IB -DEPARTMENT LEVEL</li> <li>• Schedule IA: Detail of Fees and Related Costs (Part I and Part II)</li> <li>• Schedule IC: Reconciliation of Unreserved Fund Balances</li> <li>• Reconciliation: Beginning Trial Balance to Schedule I and IC</li> <li>• Exhibit D-1: Detail of Expenses</li> <li>• Schedule XI: Agency-Level Unit Cost Summary</li> <li>• Opening Trial Balance as of July 1, 2011</li> <li>• Schedule I Narratives related to Column A01</li> <li>• Inter-Agency Transfer Form</li> </ul>	N/A				