



RICK SCOTT
Governor

DEPARTMENT OF MANAGEMENT
SERVICES

CRAIG J. NICHOLS
Secretary

4050 Esplanade Way | Tallahassee, Florida 32399-0950 | Tel: 850.488.2786 | Fax: 850.922.6149

LEGISLATIVE BUDGET REQUEST

Department of Management Services

Tallahassee

October 15, 2012

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

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

Mike Hansen, 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 Management Services is submitted in the format prescribed in the budget instructions. The information provided electronically and contained herein is a true and accurate presentation of our proposed needs for the 2013-14 Fiscal Year.

Also an additional budget issue noted below would help us manage our programs more successfully and provide better services to our customers. However, with funding limitations and understanding the need to balance the budget, we are just disclosing this issue.

General Revenue to fund MyFlorida.com Portal

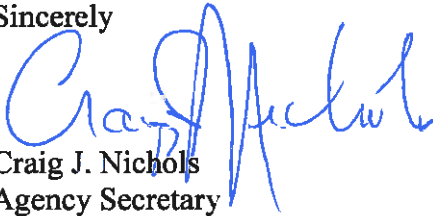
The 2011 General Appropriations Act shifted the costs associated with the maintenance of the State web site, known as MyFlorida.com, from the General Revenue Fund into the Communications Working Capital Trust Fund (CWCTF). Because MyFlorida.com is not a telecommunications service,

and the Division of Telecommunications (DivTel) has no means to equitably invoice beneficiaries for use of the site, SUNCOM customers are now compelled to subsidize it through payment for telecommunications services.

The Communications Working Capital Trust Fund (CWCTF) is the operating fund through which SUNCOM telecommunications service and administrative costs are paid. It would appear that adding just under \$300,000 in costs on expenditures of \$117 million annually would be inconsequential. But, \$108.5 million of the payments from the CWCTF are to vendors for telecommunications services. Payments are not at DMS' discretion, since they are passed-through from SUNCOM customers.

The cost of MyFlorida.com effectively adds to SUNCOM administrative costs of \$8.8 million annually which otherwise fund design, procurement, and maintenance of telecommunications services and the state network. Because SUNCOM is self-funded, administrative costs are derived from mark-ups to the prices SUNCOM customers pay. Supporting MyFlorida.com equates to approximately three per cent of DivTel's mark-up which will have substantive long term impact on SUNCOM's margins and competitiveness. The department requests that the cost to support the MyFlorida.com portal be shifted back to General Revenue.

Sincerely



Craig J. Nichols
Agency Secretary

Temporary Special Duty
General Pay Additives Implementation Plan
for Fiscal Year 2013-2014

N/A



DEPARTMENT OF MANAGEMENT
SERVICES

DEPARTMENT LEVEL EXHIBITS AND SCHEDULES

Non-Strategic IT Service:		Network Service			
Dept/Agency: Dept of Management Services		# of Assets & Resources Apportioned to this IT Service in FY 2013-14			
Prepared by: Joe Wright/Connie Mayo					
Phone: 413-9169 / 487-0364					
Service Provisioning -- Assets & Resources (Cost Elements)		Footnote Number	Number used for this service	Number w/ costs in FY 2013-14	Estimated FY 2013-14 Allocation of Recurring Base Budget (based on Column G64 minus G65)
A. Personnel			1.25		\$102,782
A-1.1	State FTE	1	1.25		\$102,782
A-2.1	OPS FTE		0.00		
A-3.1	Contractor Positions (Staff Augmentation)		0.00		\$0
B. Hardware					\$60,677
B-1	Servers		8	1	\$9,000
B-2	Server Maintenance & Support		6	6	\$4,823
B-3	Network Devices & Hardware (e.g., routers, switches, hubs, cabling, etc.)		20	20	\$18,734
B-4	Online Storage for file and print (indicate GB of storage)		5186		\$0
B-5	Archive Storage for file and print (indicate GB of storage)		0		\$0
B-6	Other Hardware Assets (Please specify in Footnote Section below)				\$28,120
C. Software					\$25,030
D. External Service Provider(s)					\$823,564
D-1	MyFloridaNet				\$499,473
D-2	Other (Please specify in Footnote Section below)				\$324,091
E. Other (Please describe in Footnotes Section below)					\$0
F. Total for IT Service					\$1,012,053
G. Please identify the number of users of the Network Service					741
H. How many locations currently host IT assets and resources used to provide LAN services?					2
I. How many locations currently use WAN services?					41
J.	Footnotes - Please indicate a footnote for each corresponding row above. Maximum footnote length is 1024 characters.				
1	Blair Byrnes and Al Hatton				
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Non-Strategic IT Service:		E-Mail, Messaging, and Calendaring Service			
Agency: Dept of Management Services		# of Assets & Resources			
Prepared by: Joe Wright/Connie Mayo		AppORTioned to this			
Phone: 413-9169 / 487-0364		IT Service in FY 2013-14			
Service Provisioning -- Assets & Resources (Cost Elements)		Footnote Number	Number used for this service	Number w/ costs in FY 2013-14	Estimated FY 2013-14 Allocation of Recurring Base Budget (based on Column G64 minus G65)
A. Personnel			0.00		\$0
A-1	State FTE		0.00		\$0
A-2	OPS FTE		0.00		\$0
A-3	Contractor Positions (Staff Augmentation)		0.00		\$0
B. Hardware					\$0
B-1	Servers		0	0	\$0
B-2	Server Maintenance & Support		0	0	\$0
B-3	Wireless Communication Devices (e.g., Blackberries, iPhones, PDAs, etc.)		190	0	\$0
B-4	Online Storage (indicate GB of storage)		0		\$0
B-5	Archive Storage (indicate GB of storage)		0		\$0
B-6	Other Hardware Assets (Please specify in Footnote Section below)				\$0
C. Software					\$0
D. External Service Provider(s)					\$189,240
D-1	Southwood Shared Resource Center	1			\$189,240
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)				
E. Other (Please describe in Footnotes Section below)					\$0
F. Total for IT Service					\$189,240
G. Please provide the number of user mailboxes.					804
H. Please provide the number of resource mailboxes.					26
I. Footnotes - Please indicate a footnote for each corresponding row above. Maximum footnote length is 1024 characters.					
1	DMS gets its e-mail from the SSRC's short term e-mail solution				
2	The 26 are conference room mailboxes. The 804 are user mailboxes and other shared mailboxes.				
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Non-Strategic IT Service:		Desktop Computing Service			
Agency: Dept of Management Services		# of Assets & Resources Apportioned to this IT Service in FY 2013-14			
Prepared by: Joe Wright/Connie Mayo					
Phone: 413-9169 / 487-0364					
Service Provisioning -- Assets & Resources (Cost Elements)		Footnote Number	Number used for this service	Number w/ costs in FY 2013-14	Estimated FY 2013-14 Allocation of Recurring Base Budget (based on Column G64 minus G65)
A. Personnel			2.50		\$145,180
A-1	State FTE	1	1.50		\$106,513
A-2	OPS FTE	2	1.00		\$38,667
A-3	Contractor Positions (Staff Augmentation)		0.00		\$0
B. Hardware			1030	231	\$115,524
B-1	Servers		0	0	\$0
B-2	Server Maintenance & Support		0	0	\$0
B-3.1	Desktop Computers		619	163	\$69,037
B-3.2	Mobile Computers (e.g., Laptop, Notebook, Handheld, Wireless Computer)		215	27	\$11,200
B-3.3	Other Hardware Assets (Please specify in Footnote Section below)		196	41	\$35,287
C. Software		3			\$95,456
D. External Service Provider(s)		4	2	2	\$97,827
E. Other (Please describe in Footnotes Section below)					\$0
F. Total for IT Service					\$453,986
G. Please identify the number of users of this service.					741
H. How many locations currently use this service?					41
I. Footnotes - Please indicate a footnote for each corresponding row above. Maximum footnote length is 1024 characters.					
1	Blair Byrnes and Mike Hatcher				
2	Gary Thompson				
3	Primarily Microsoft Enterprise Agreement				
4	Deloitte in Retirement, and Creative Recycling				
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Non-Strategic IT Service: Helpdesk Service				
Agency: Dept of Management Services Prepared by: Joe Wright/Connie Mayo Phone: 413-9169 / 487-0364			# of Assets & Resources Apportioned to this IT Service in FY 2013-14	
Service Provisioning -- Assets & Resources (Cost Elements)	Footnote Number	Number used for this service	Number w/ costs in FY 2013-14	Estimated FY 2013-14 Allocation of Recurring Base Budget (based on Column G64 minus G65)
A. Personnel				
A-1 State FTE		0.00		\$0
A-2 OPS FTE		0.00		\$0
A-3 Contractor Positions (Staff Augmentation)		0.00		\$0
B. Hardware				
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
C. Software				
				\$3,256
D. External Service Provider(s)				
	1	3	3	\$201,696
E. Other (Please describe in Footnotes Section below)				
				\$0
F. Total for IT Service				\$204,952
G. Please identify the number of users of this service.				741
H. How many locations currently host IT assets and resources used to provide this service?				1
I. What is the average monthly volume of calls/cases/tickets?				898
J. Footnotes - Please indicate a footnote for each corresponding row above. Maximum footnote length is 1024 characters.				
1	CRMDesk, PatLive, Deloitte in Retirement			
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Non-Strategic IT Service:		IT Security/Risk Mitigation Service			
Agency: Dept of Management Services		# of Assets & Resources			
Prepared by: Joe Wright/Connie Mayo		AppORTioned to this IT Service in FY 2013-14			
Phone: 413-9169 / 487-0364					
Service Provisioning -- Assets & Resources (Cost Elements)		Footnote Number	Number used for this service	Number w/ costs in FY 2013-14	Estimated FY 2013-14 Allocation of Recurring Base Budget (based on Column G64 minus G65)
A. Personnel			1.50		\$133,345
A-1	State FTE	1	1.50		\$133,345
A-2	OPS FTE		0.00		\$0
A-3	Contractor Positions (Staff Augmentation)		0.00		\$0
B. Hardware			0	0	\$5,174
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)	2	0	0	\$5,174
C. Software		3			\$10,152
D. External Service Provider(s)			8	8	\$247,933
E. Other (Please describe in Footnotes Section below)					\$0
F. Total for IT Service					\$396,604
G. Footnotes - Please indicate a footnote for each corresponding row above. Maximum footnote length is 1024 characters.					
1	George Zimmerman, Joe Wright, Linda Allbritton, Blair Byrnes				
2	Backup Tapes and Tape Library Maintenance				
3	Virus Protection and Encryption software				
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Non-Strategic IT Service:		Agency Financial and Administrative Systems Support Service			
Agency: Dept of Management Services		# of Assets & Resources			
Prepared by: Joe Wright/Connie Mayo		AppORTioned to this IT Service in FY 2013-14			
Phone: 413-9169 / 487-0364		14			
Service Provisioning -- Assets & Resources (Cost Elements)		Footnote Number	Number used for this service	Number w/ costs in FY 2013-14	Estimated FY 2013-14 Allocation of Recurring Base Budget (based on Column G64 minus G65)
A. Personnel			1.15		\$65,996
A-1	State FTE	1	1.15		\$65,996
A-2	OPS FTE		0.00		
A-3	Contractor Positions (Staff Augmentation)		0.00		\$0
B. Hardware			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	
C. Software					\$1,500
D. External Service Provider(s)		2	5	5	\$82,192
E. Other (Please describe in Footnotes Section below)					
F. Total for IT Service					\$149,687
G. Please identify the number of users of this service.					30
H. How many locations currently host agency financial/administrative systems?					1
I. Footnotes - Please indicate a footnote for each corresponding row above. Maximum footnote length is 1024 characters.					
1	Derrick Thomas, Ryan DeRouin, Linda Allbritton				
2	Moodle, Survey Monkey, SSRC, Lobby Tools, Westlaw				
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Non-Strategic IT Service: IT Administration and Management Service							
Agency: Dept of Management Services Prepared by: Joe Wright/Connie Mayo Phone: 413-9169 / 487-0364			# of Assets & Resources Apportioned to this IT Service in FY 2013-14				
Service Provisioning -- Assets & Resources (Cost Elements)				Footnote Number	Number used for this service	Number w/ costs in FY 2013-14	Estimated FY 2013-14 Allocation of Recurring Base Budget (based on Column G64 minus G65)
A. Personnel					0.80		\$97,881
A-1	State FTE			1	0.80		\$97,881
A-2	OPS FTE				0.00		\$0
A-3	Contractor Positions (Staff Augmentation)				0.00		\$0
B. Hardware					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
C. Software							
D. External Service Provider(s)				2	3	3	\$213,678
E. Other (Please describe in Footnotes Section below)							\$0
F. Total for IT Service							\$311,558
G. How many locations currently host assets and resources used to provide this service?							1
G. Footnotes - Please indicate a footnote for each corresponding row above. Maximum footnote length is 1024 characters.							
1	CIO						
2	Gartner, Deloitte in Retirement, IT Monitor in Retirement						
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Non-Strategic IT Service: Web/Portal Service					
Dept/Agency: Dept of Management Services Prepared by: Joe Wright/Connie Mayo Phone: 413-9169 / 487-0364		# of Assets & Resources Apportioned to this IT Service in FY 2013-14			
Service Provisioning -- Assets & Resources (Cost Elements)		Footnote Number	Number used for this service	Number w/ costs in FY 2013-14	Estimated FY 2013-14 Allocation of Recurring Base Budget (based on Column G64 minus G65)
A. Personnel			1.15		\$55,568
A-1.1	State FTE	1	1.15		\$55,568
A-2.1	OPS FTE		0.00		\$0
A-3.1	Contractor Positions (Staff Augmentation)		0.00		\$0
B. Hardware					\$0
B-1	Servers		0	0	\$0
B-2	Server Maintenance & Support		0	0	\$0
B-3	Other Hardware Assets (Please specify in Footnotes Section below)		0	0	\$0
C. Software		2			\$3,908
D. External Service Provider(s)		3	3	3	\$62,370
E. Other (Please describe in Footnotes Section below)					\$0
F. Total for IT Service					\$121,846
G. Please identify the number of Internet users of this service.					124,000
H. Please identify the number of intranet users of this service.					741
I. How many locations currently host IT assets and resources used to provide this service?					1
J.	Footnotes - Please indicate a footnote for each corresponding row above. Maximum footnote length is 1024 characters.				
1	Ryan DeRouin, Mary Bushman, Sarah Hamilton, Linda Allbritton				
2	Development Tools for SharePoint Support				
3	ThinkCreative Website Maint and hosting, SSRC, Unknown vendor to assist with SharePoint upgrade and migration				
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Non-Strategic IT Service:		Data Center Service			
Dept/Agency: Dept of Management Services		# of Assets & Resources AppORTioned to this IT Service in FY 2013-14			
Prepared by: Joe Wright/Connie Mayo					
Phone: 413-9169 / 487-0364					
Service Provisioning -- Assets & Resources (Cost Elements)		Footnote Number	Number used for this service	Number w/ costs in FY 2013-14	Estimated FY 2013-14 Allocation of Recurring Base Budget (based on Column G64 minus G65)
A. Personnel (performing data center functions defined in w. 282.201(2)(d)1.e., F.S.)			0.00		\$0
A-1.1	State FTE		0.00		\$0
A-2.1	OPS FTE		0.00		\$0
A-3.1	Contractor Positions (Staff Augmentation)		0.00		\$0
B. Hardware					\$0
B-1	Non-Mainframe Servers (including single-function logical servers not assigned to another service)		0	0	\$0
B-2	Servers - Mainframe		0	0	\$0
B-3	Server Maintenance & Support		0	0	\$0
B-4	Online or Archival Storage Systems (indicate GB of storage)		0		\$0
B-5	Data Center/ Computing Facility Internal Network				\$0
B-6	Other Hardware (Please specify in Footnotes Section below)				\$0
C. Software					\$0
D. External Service Provider(s)					\$0
D-1	Southwood Shared Resource Center (indicate # of Board votes)		0		\$0
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
E. Plant & Facility					\$0
E-1	Data Center/Computing Facilities Rent & Insurance				\$0
E-2	Utilities (e.g., electricity and water)				\$0
E-3	Environmentals (e.g., HVAC, fire control, and physical security)				\$0
E-4	Other (please specify in Footnotes Section below)				\$0
F. Other (Please describe in Footnotes Section below)		1			\$0
G. Total for IT Service					\$0
H. Please provide the number of agency data centers.					0
I. Please provide the number of agency computing facilities.					0
J. Please provide the number of single-server installations.					0
H.	Footnotes - Please indicate a footnote for each corresponding row above. Maximum footnote length is 1024 characters.				
1	The Department of Management Services utilizes the Southwood Shared Resource Center for data center needs.				
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Agency: Dept of Management Services

Main table with columns: Budget Entity Code, Budget Entity, Program Component Code, Program Component, Appropriation Category Code, Appropriation Category, Fund Code, Fund, FSI, Line Item Total, Identified Funding as % of Total Cost of Service, Funding Identified for IT Service, and various service cost categories like Mail, Mess, and Printing, Network Service, Desktop Computing Service, Help Desk Service, etc.

Sum of IT Cost Elements Across IT Services

Summary table showing aggregated costs for Personnel, Hardware, Software, External Services, Plant & Facility, and Other. Includes rows for State FTE, OPS FTE, Vendor/Staff Augmentation, Budget Total, FTE Total, Users, and Cost Per User.

(cost/all mailboxes) Help Desk Tickets: 898 Cost/Ticket: 19.01931607

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 Management Services		
Contact Person:	Matthew F. Minno	Phone Number:	850-922-6617
Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	Tallahassee Corporate Center, LLC, as successor to CRT Properties, Inc., a Florida corporation v. State of Florida, Department of Management Services		
Court with Jurisdiction:	Second Judicial Circuit in and for Leon County Florida		
Case Number:	09 CA 2649		
Summary of the Complaint:	<p>This is a declaratory action involving interpretation of the master lease for the Koger Center. The issues involve potential excess utility charges (with related expenses) and sub metering costs. There are meritorious defenses to the claims. The lease allows for 18 KWH per sq. foot as an allowance. The issues involve the details concerning how total usage is measured and whether the State of Florida tenants have exceeded the allowance. If they have exceeded the allowance, how are expenses calculated and what do they include? This is the subject of multiple and different interpretations. By way of example, some of the buildings share an electric meter with private tenants. According to the defense, equitable division of the charges would not exceed the allowance. Similarly, excess charges should not include wear and tear and depreciation of the existing equipment.</p> <p>The payment of separate sub metering and other expenses are only activated (according to the defense) once the utility usage has exceeded 18 KWH per sq. ft.</p>		
Amount of the Claim:	The lawsuit ultimately seeks over \$4,600,000.00 for expenses (including sub metering)		
Specific Statutes or Laws (including GAA) Challenged:			
Status of the Case:	Motion to Dismiss denied. Motion for Summary Judgment by plaintiff denied. Current discovery in terms of public records requests for spending of tenant improvement allowance. Multiple records request sent and complied with. No other current discovery pending, with the exception of a records request. No trial date set. Case is basically inactive with nothing scheduled. There will likely be some form of record activity every year. One party will need to set case for trial.		
Who is representing (of record) the state in this lawsuit? Check all that apply.	<input checked="" type="checkbox"/>	Agency Counsel	
	<input type="checkbox"/>	Office of the Attorney General or Division of Risk Management	
	<input type="checkbox"/>	Outside Contract Counsel	

If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).	
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Office of Policy and Budget – July 2012

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 Management Services		
Contact Person:	Jason Dimitris	Phone Number:	488-0229
Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	George Williams, et al. v. Rick Scott, et al.		
Court with Jurisdiction:	Florida Supreme Court		
Case Number:	Supreme Court Case No.: SC12 – 520 First District Court of Appeals Case No.: 2011 CA 1584 Circuit Court Case No.: 1 D12-1269		
Summary of the Complaint:	<p>On June 20, 2011, various plaintiffs (labor unions and individual employees) filed a complaint in the Circuit Court for Leon County against the Secretary of the Department of Management Services, Governor Rick Scott, Chief Financial Officer Jeff Atwater, and Attorney General Pam Bondi, in their collective capacities as the trustees of the State Board of Administration . The complaint challenged the constitutionality of certain changes to the Florida Retirement System contained in Chapter 2011-68, Laws of Florida. Specifically, the plaintiffs alleged that the requirement that, effective July 1, 2011, FRS members must contribute three percent of their gross compensation to the FRS trust fund, and the elimination of a cost-of-living adjustment for work performed on and after July 1, 2011, constituted an unconstitutional impairment of contract, taking of private property, and abridgment of the right to collective bargaining.</p>		
Amount of the Claim:	\$ 861,000,000 (estimated)		
Specific Statutes or Laws (including GAA) Challenged:	Florida Constitution – Article I, Sections 6 and 10; Article X, Section 6(a)		

Status of the Case:	The Circuit Court ruled on March 6, 2012, on a motion for summary judgment, in favor of the plaintiffs, finding that the action of the Legislature violated the state constitution as alleged. The Supreme Court accepted certification of the case and heard oral argument September 7, 2012.	
Who is representing (of record) the state in this lawsuit? Check all that apply.		Agency Counsel
	X	Office of the Attorney General or Division of Risk Management
	X	Outside Contract Counsel
If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).		

Office of Policy and Budget – July 2011

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:	Florida Department of Management Services		
Contact Person:	Clifford A. Taylor (DMS) Phil Quaschnick (AG)	Phone Number:	850-488-7281 850-414-3671
Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	Denny Wood v. State of Florida		
Court with Jurisdiction:	Federal Northern District of Florida		
Case Number:	4:11-cv-00125-RH-WCS		
Summary of the Complaint:	Suit for Injunctive Relief to require the State of Florida to correct all deficiencies which act as a barrier to access of state facilities as outlined under the American Disabilities Act.		
Amount of the Claim:	Corrections to ADA standards are estimated at \$4 million to the state capitol buildings located in Tallahassee		
Specific Statutes or Laws (including GAA) Challenged:	Americans with Disabilities Act of 1990, as Amended, 42 U.S.C. 12101 <i>et seq</i> (2008).		
Status of the Case:	Suit filed and served on State. Pre-suit mediation scheduled for Dec. 28, 2011 in Miami Florida. Case settled under a settlement agreement on Feb. 7, 2012. State agreed to reimburse Mr. Wood for filing fees not to exceed \$650, mediation fees in the amount of \$1,268 and attorney fees in the amount of \$9,250. The settlement requires DMS to continue progress on meeting ADA requirements.		
Who is representing (of record) the state in this lawsuit? Check all that apply.	<input type="checkbox"/>	Agency Counsel	
	<input checked="" type="checkbox"/>	Office of the Attorney General or Division of Risk Management	
	<input type="checkbox"/>	Outside Contract Counsel	

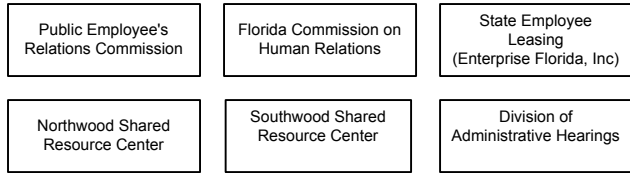
If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).	
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Office of Policy and Budget – July 2011

**DEPARTMENT OF MANAGEMENT SERVICES
 ORGANIZATION CHARTS (2013-2014 FY LBR Submission/October 2012)
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Independent Entities



Secretary
Craig J. Nichols

Deputy Secretary
Vacant

General Counsel
Jason Dimitris

Inspector General
Vacant

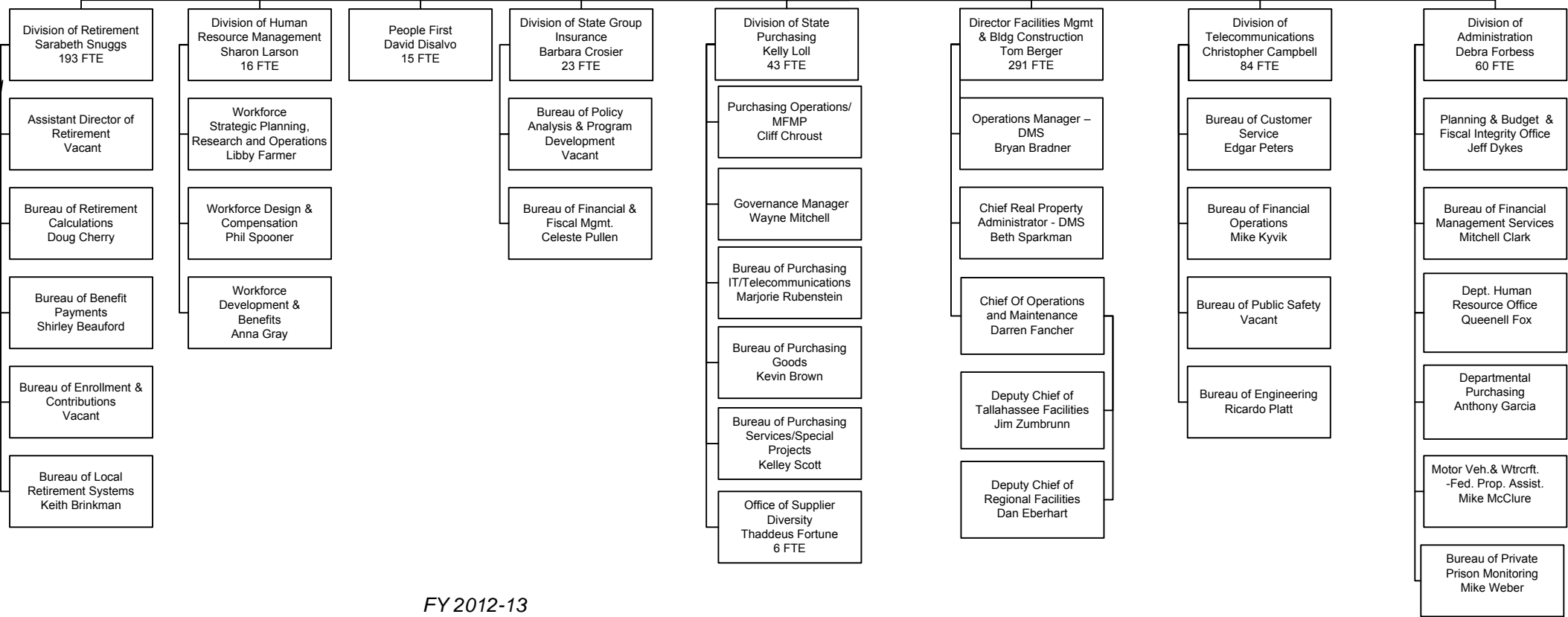
Chief Information
Officer Joe Wright

Office of the
Secretary
38 FTE

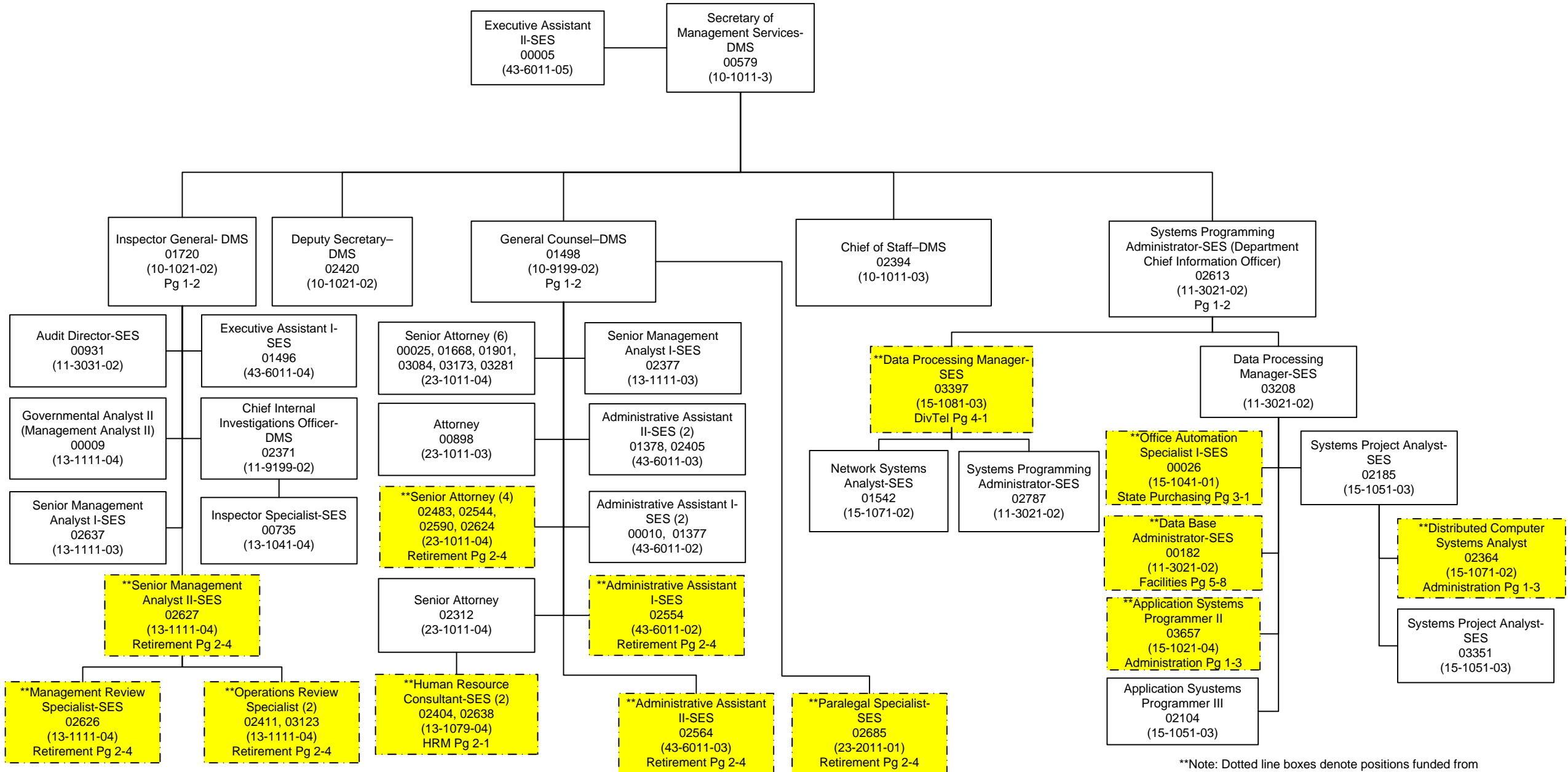
Chief of Staff – Erin Rock

Legislative Affairs
Stephanie Leeds

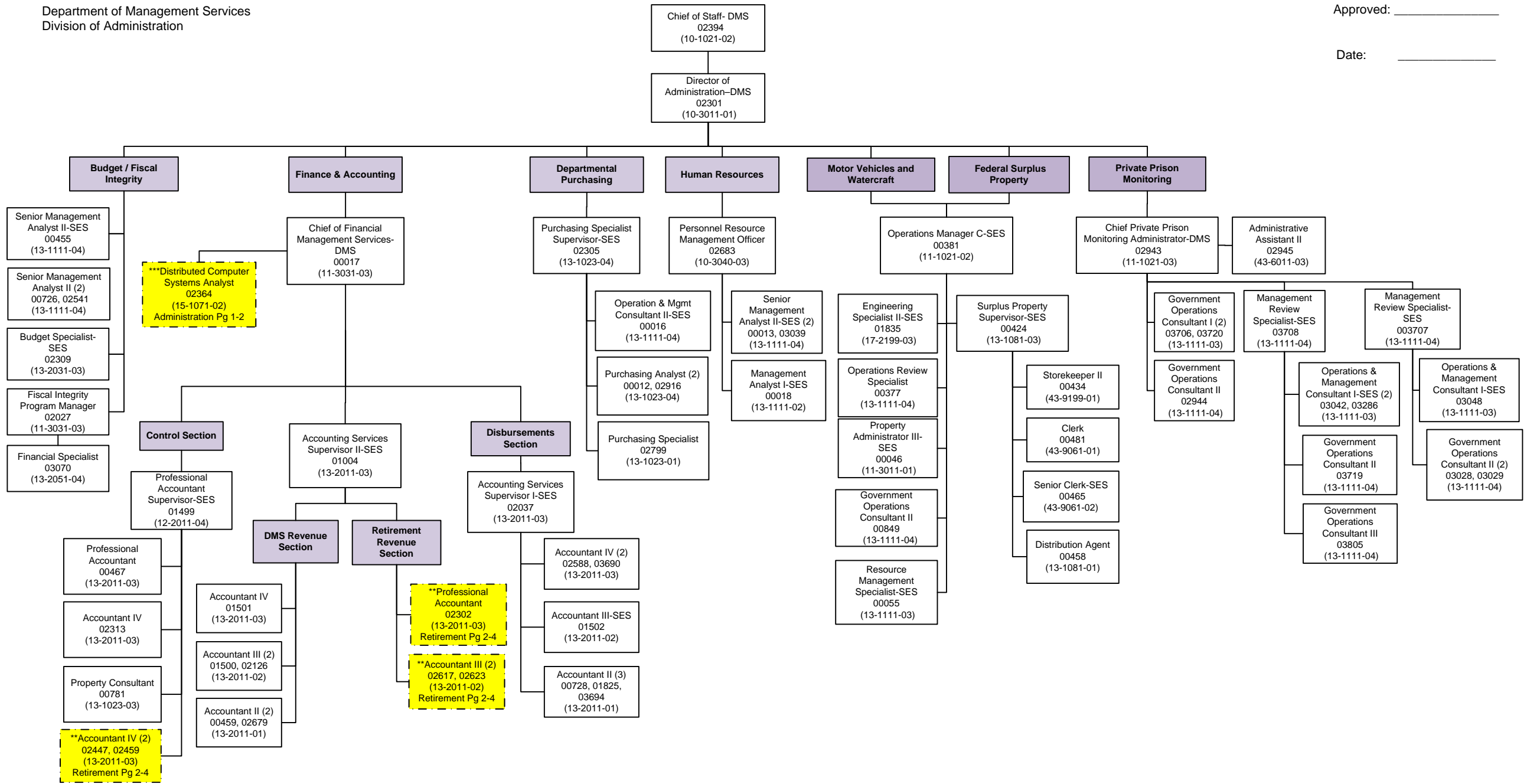
Communications
Kristen Beach



FY 2012-13
Department of Management Services
Agency Organizational Chart
769 FTE

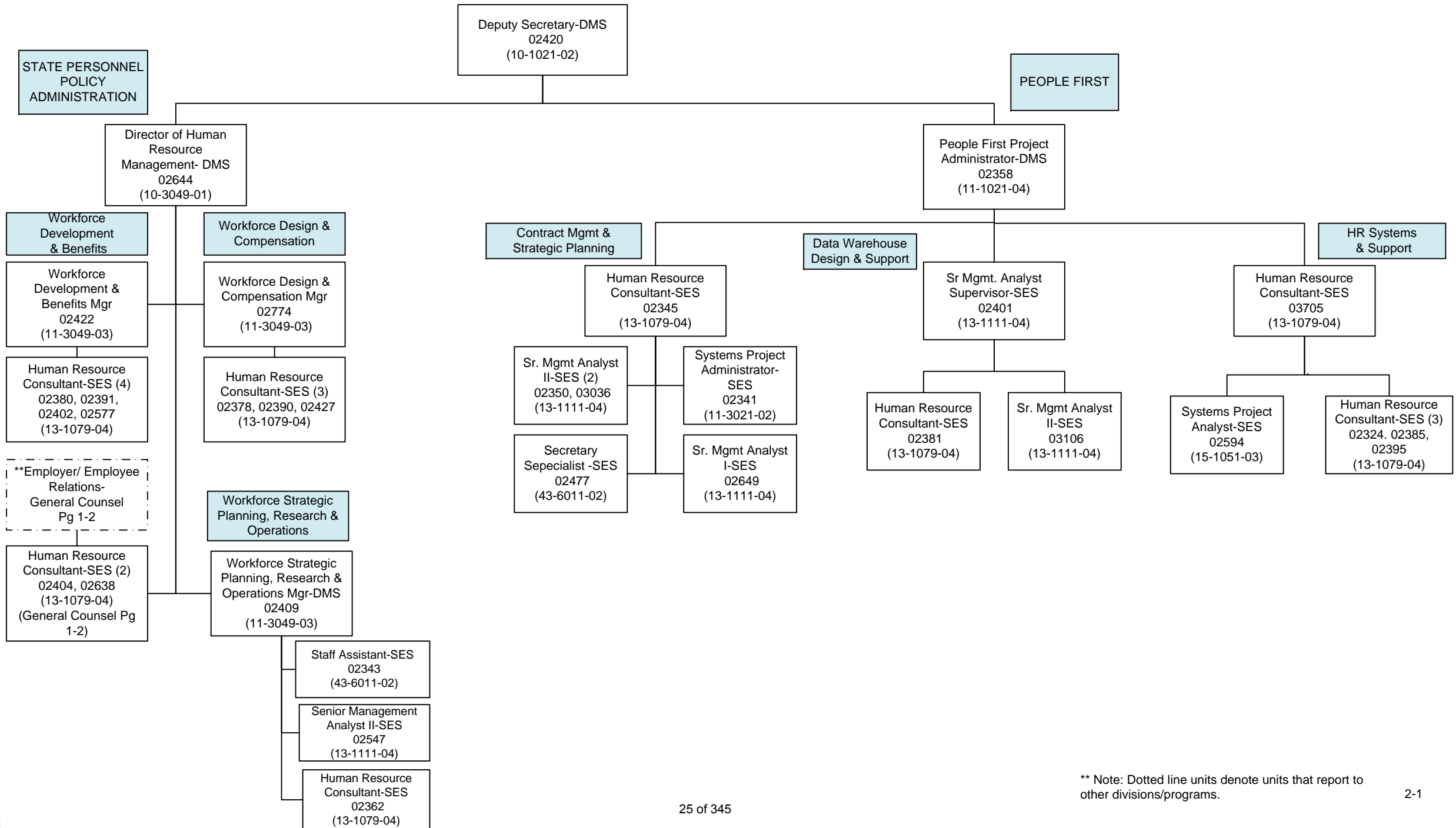


**Note: Dotted line boxes denote positions funded from other divisions/programs.



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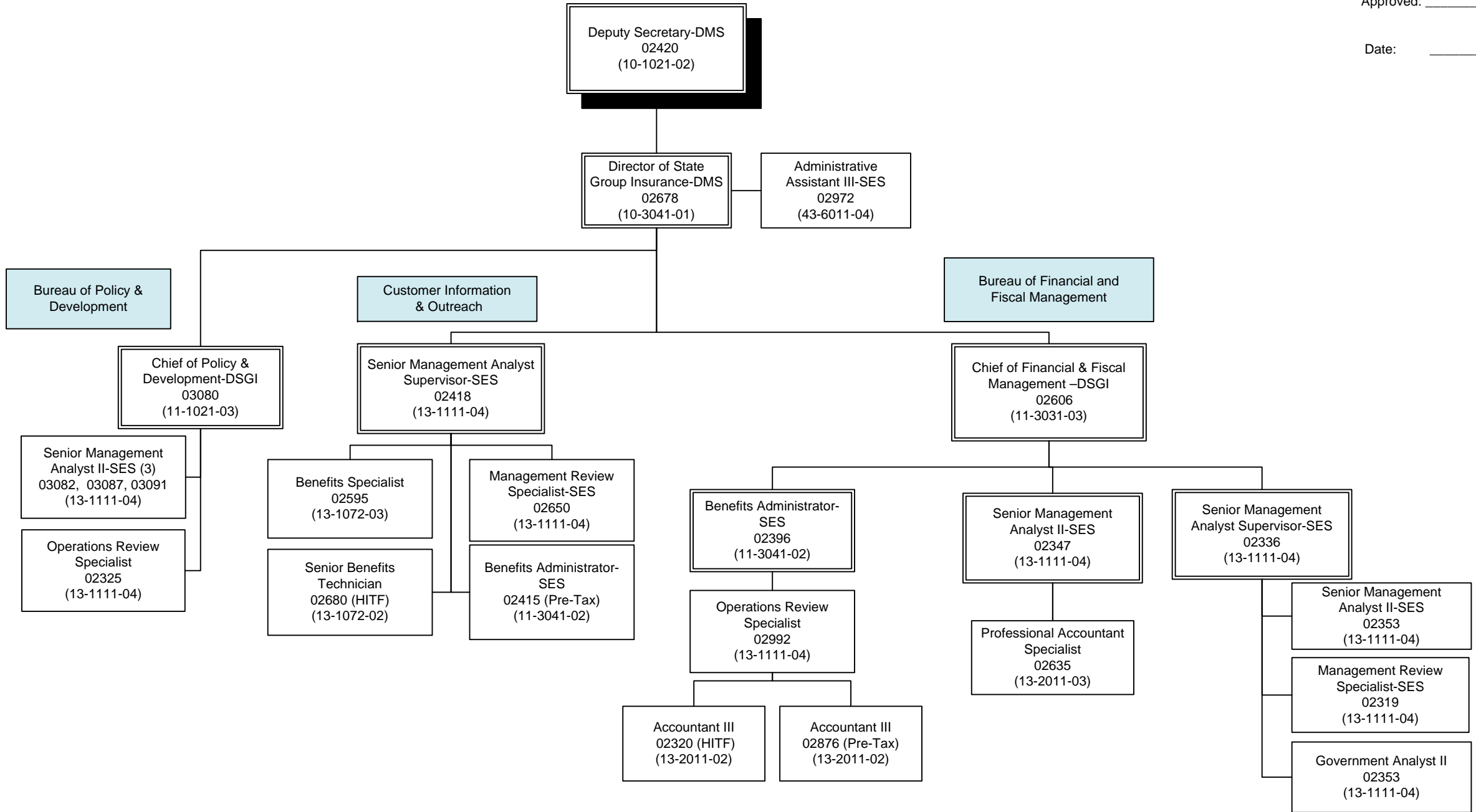
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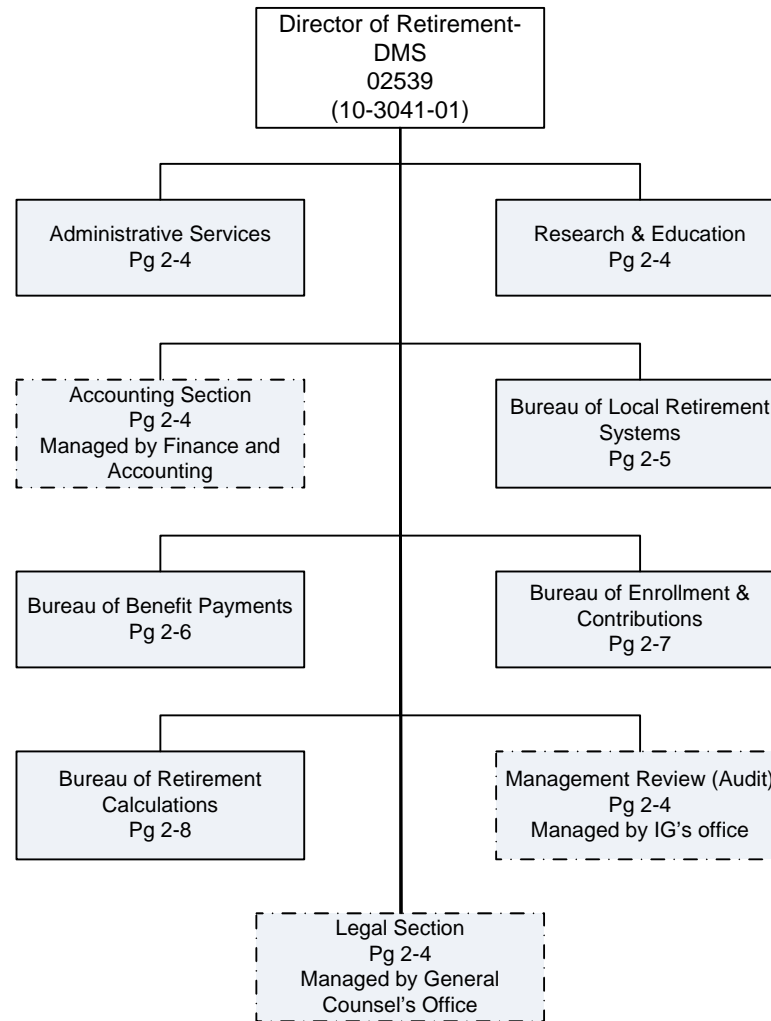


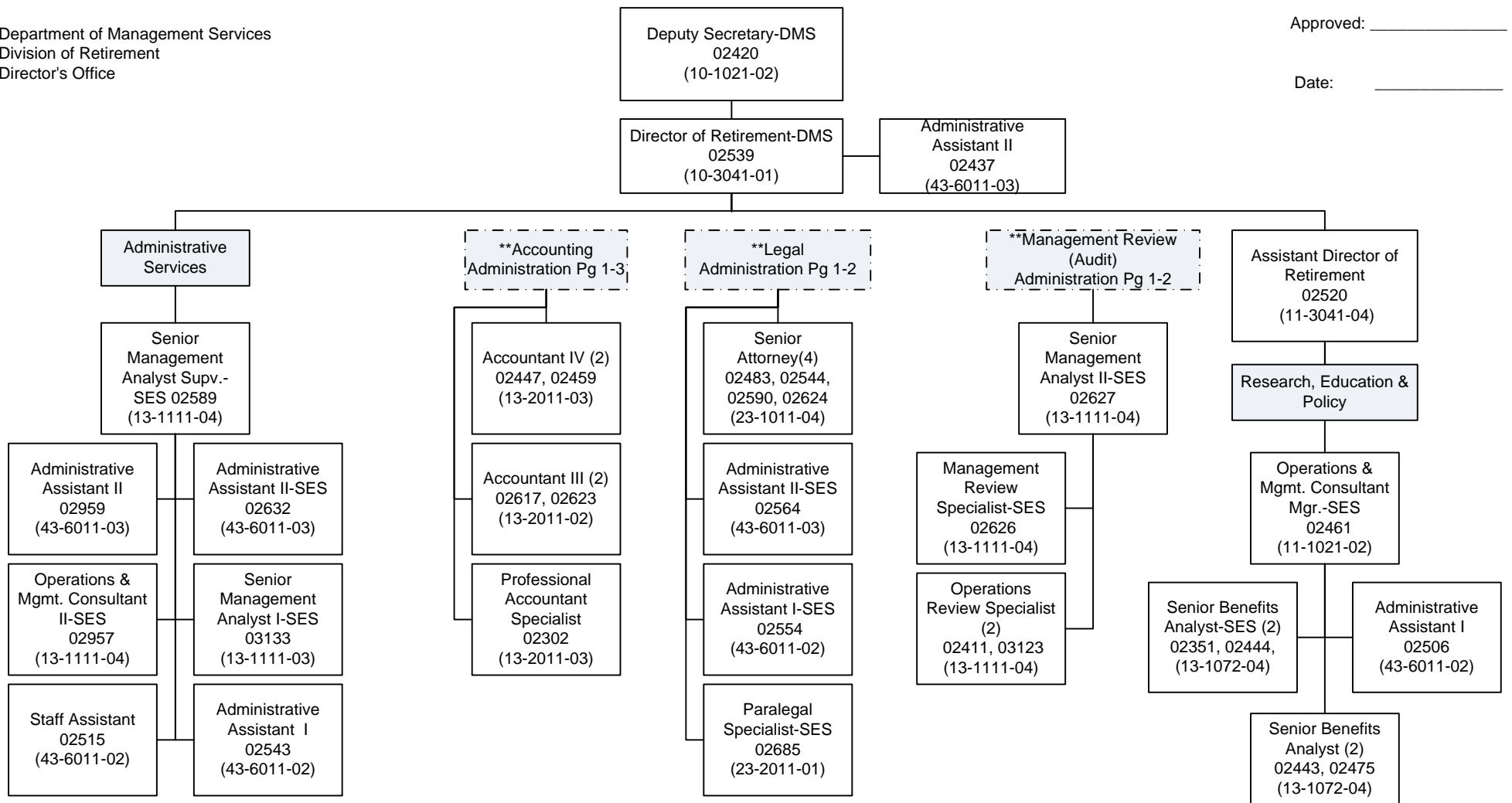
** Note: Dotted line units denote units that report to other divisions/programs.

Approved: _____

Date: _____



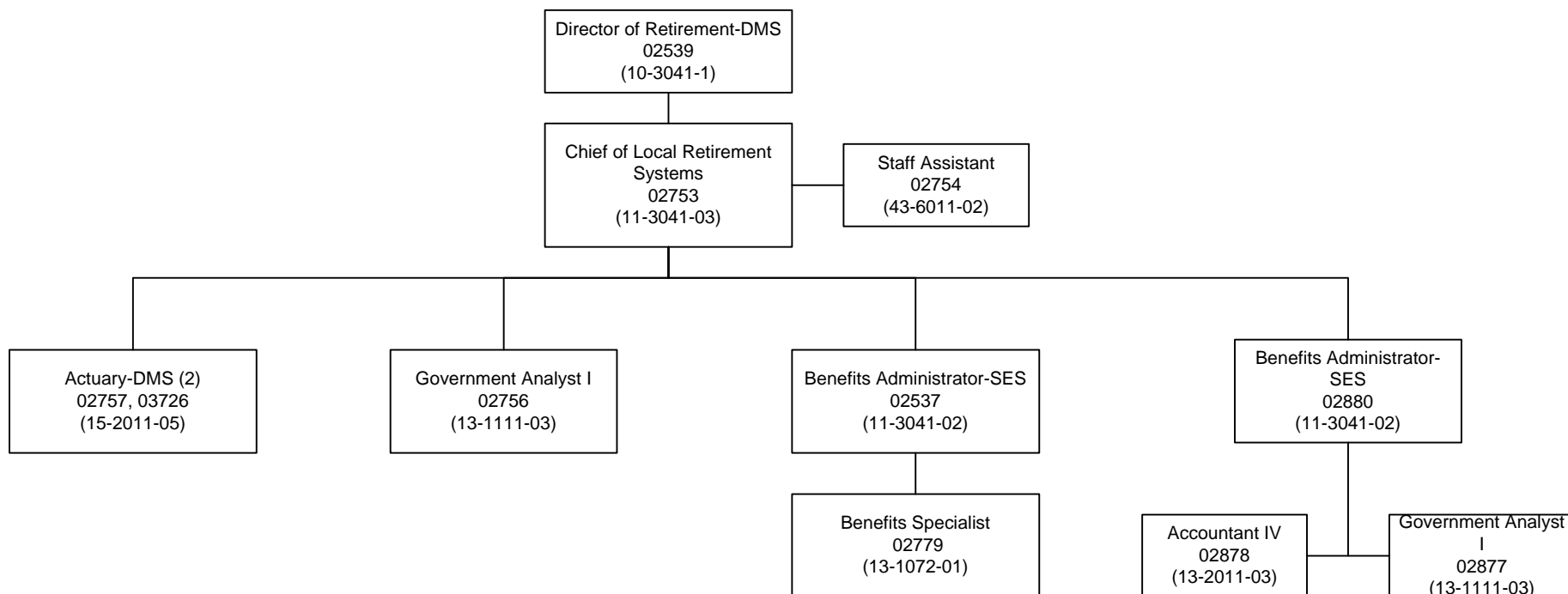


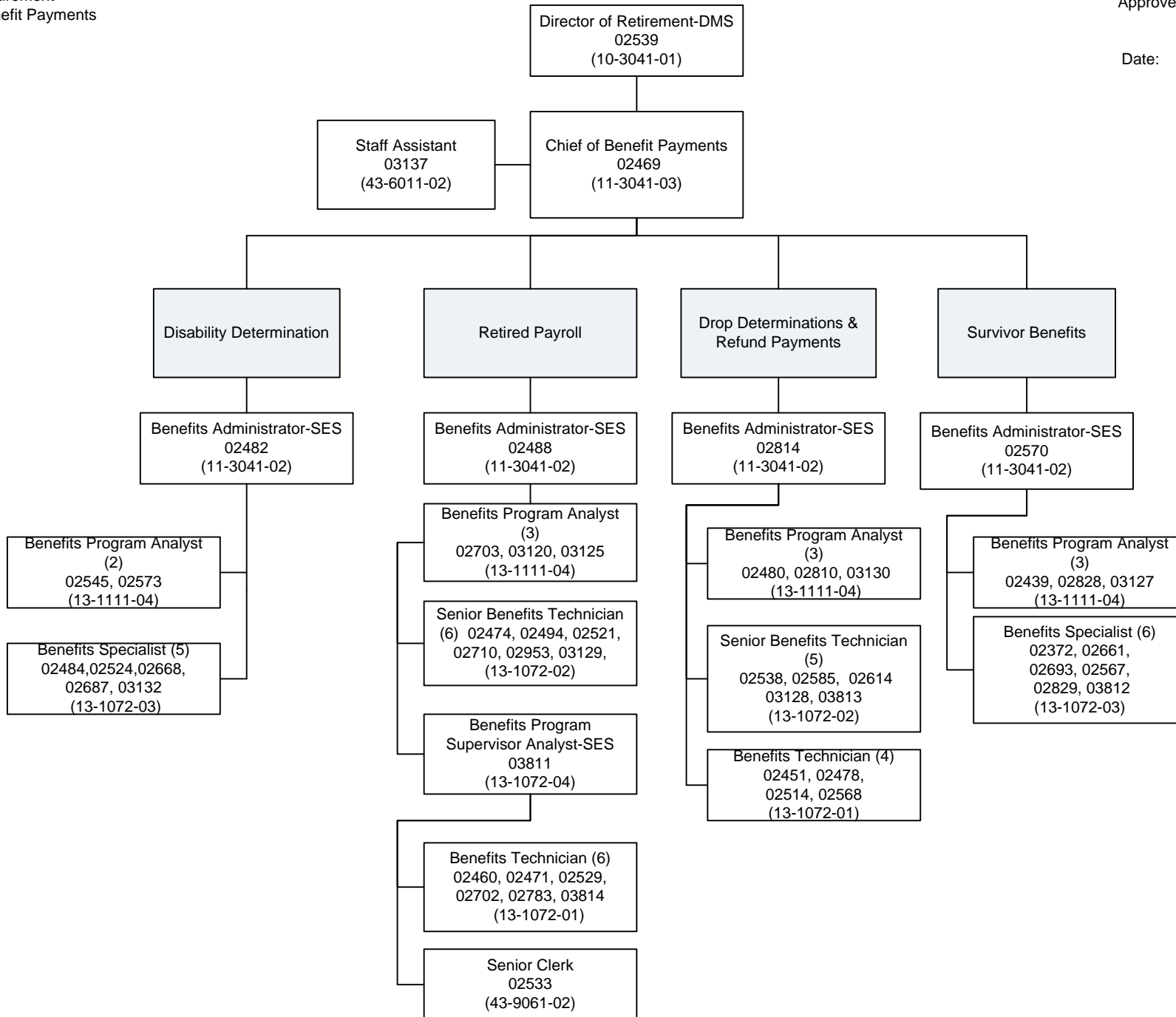


** Note: Dotted line units denote units that report to other divisions/programs.

Approved: _____

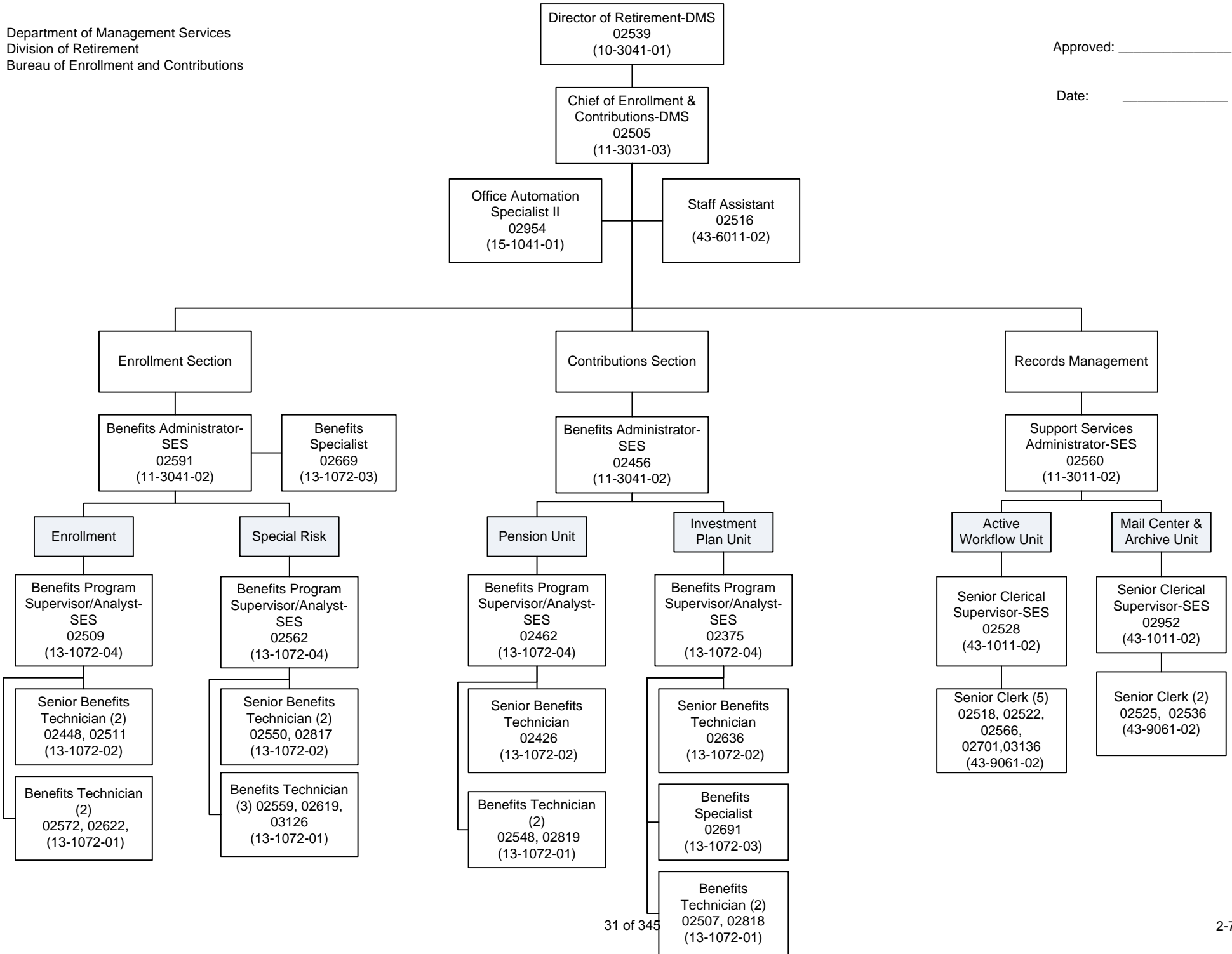
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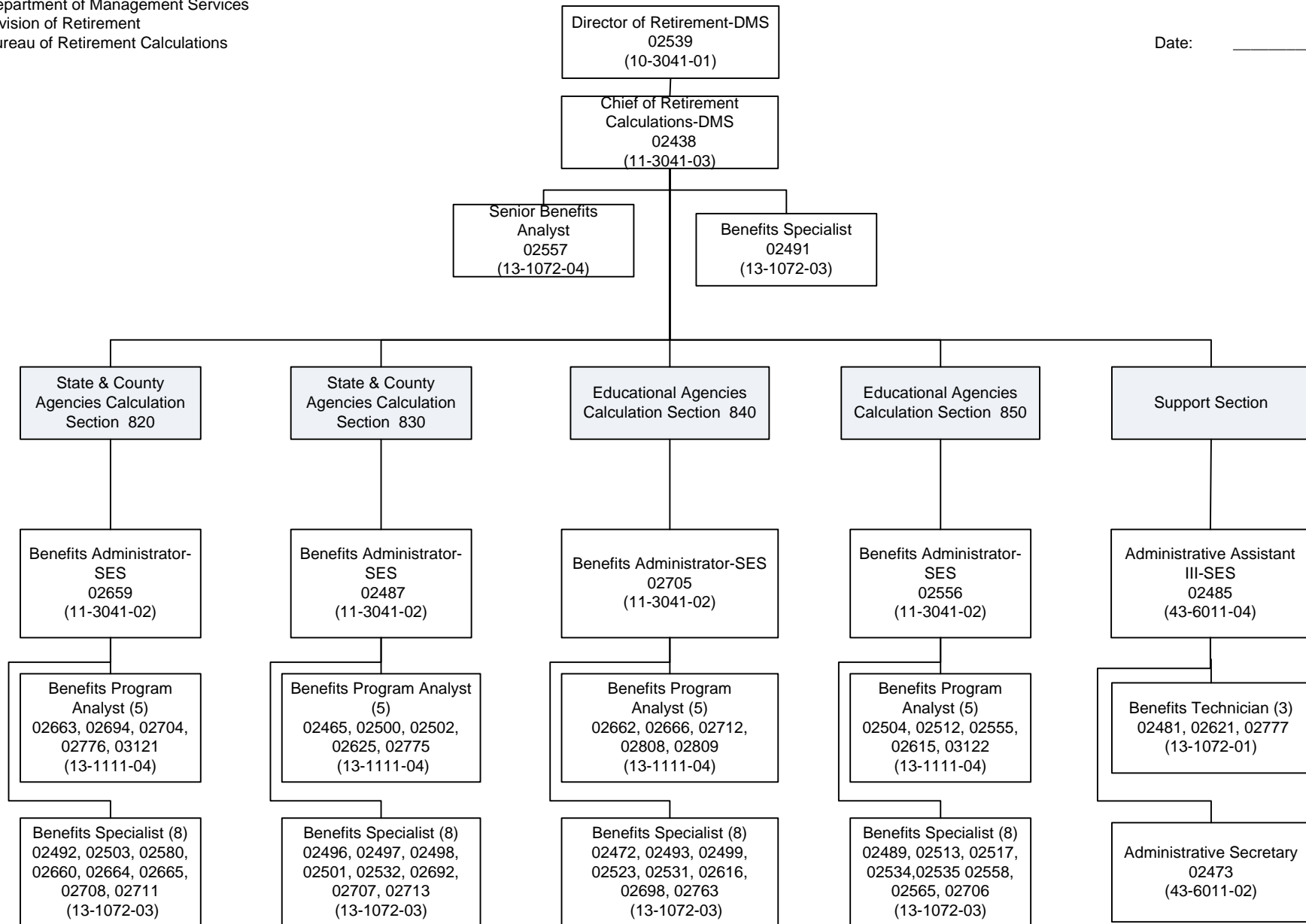


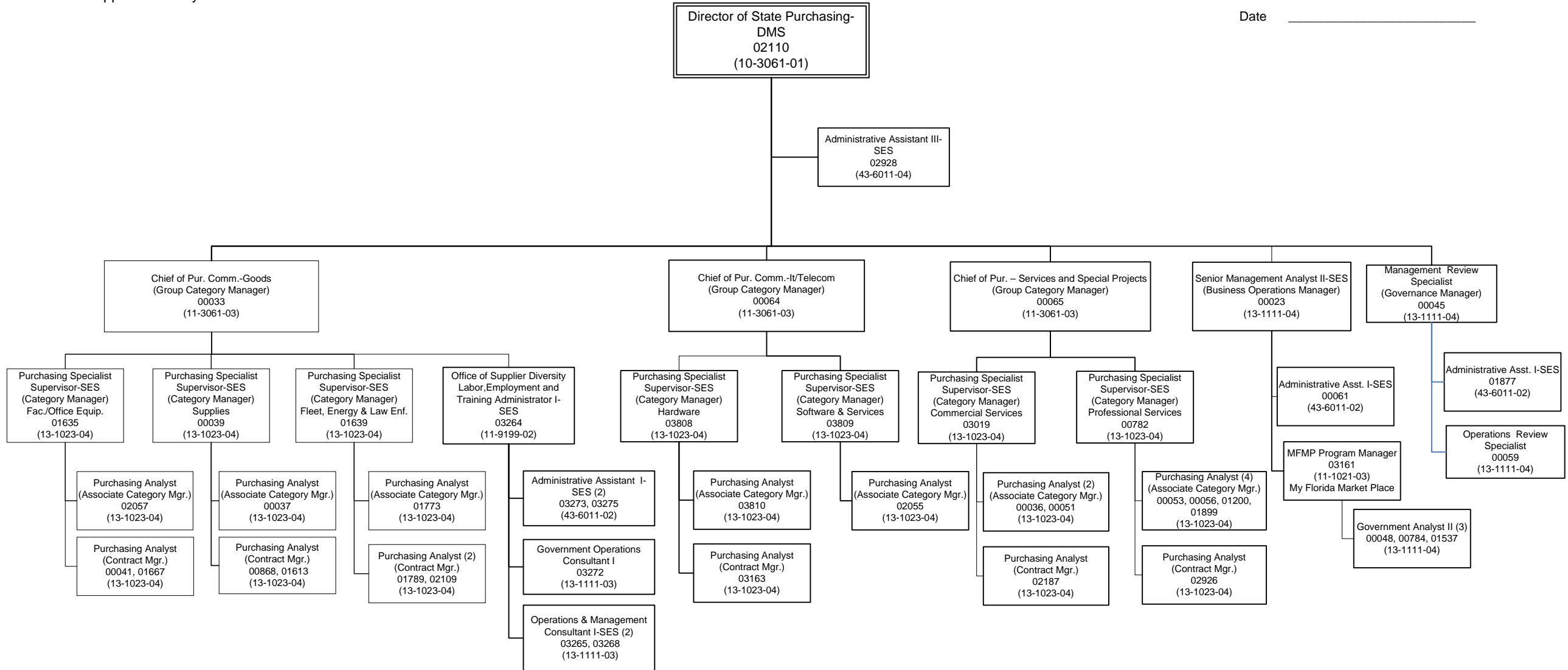


Approved: _____

Date: _____





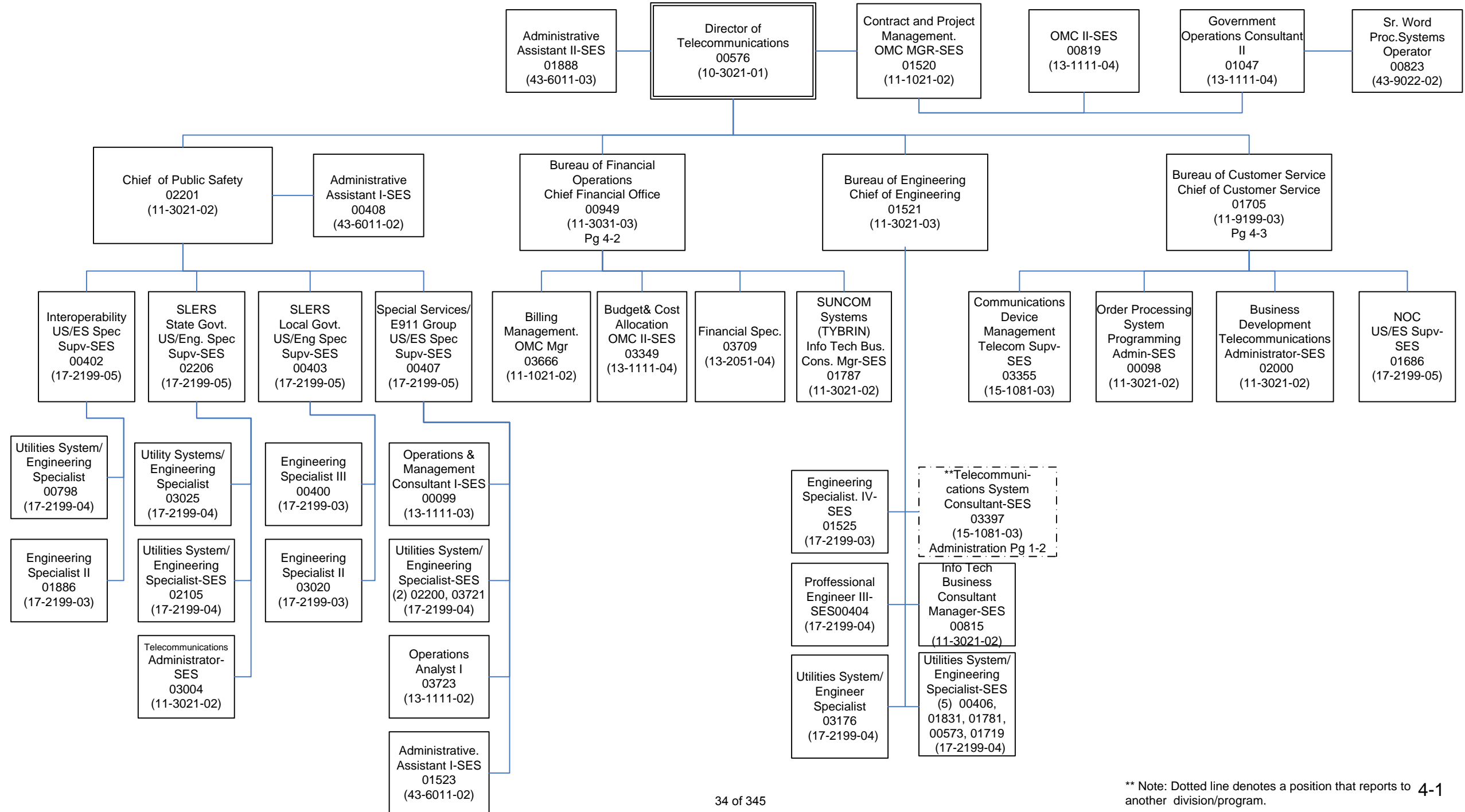


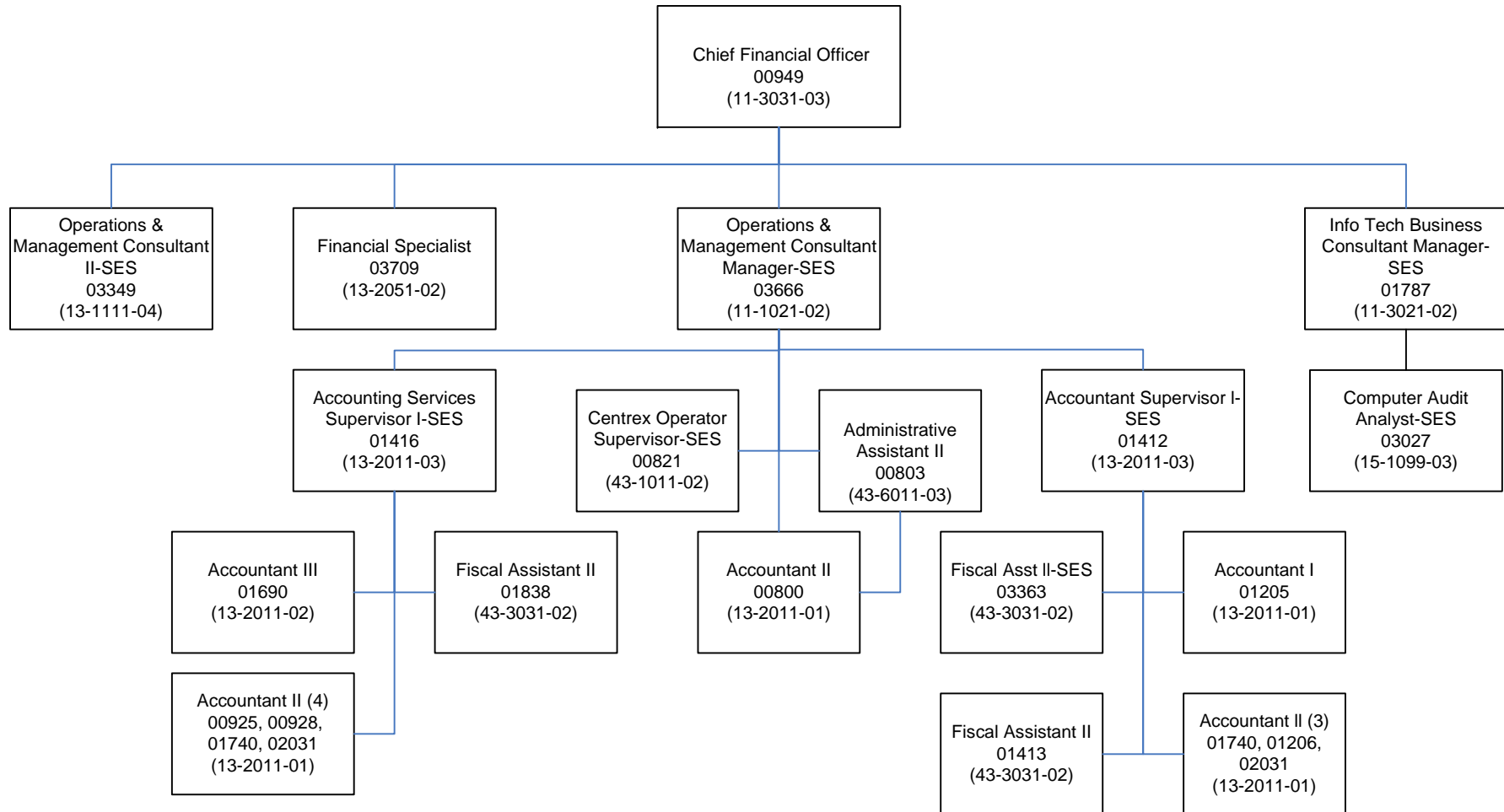
Group Category Manager = Bureau Chief
 Category Manager = Purchasing Specialist Supervisor
 Associate Category Manager = Purchasing Analyst
 Contract Manager = Purchasing Analyst
 Government Analyst II = Business Analyst

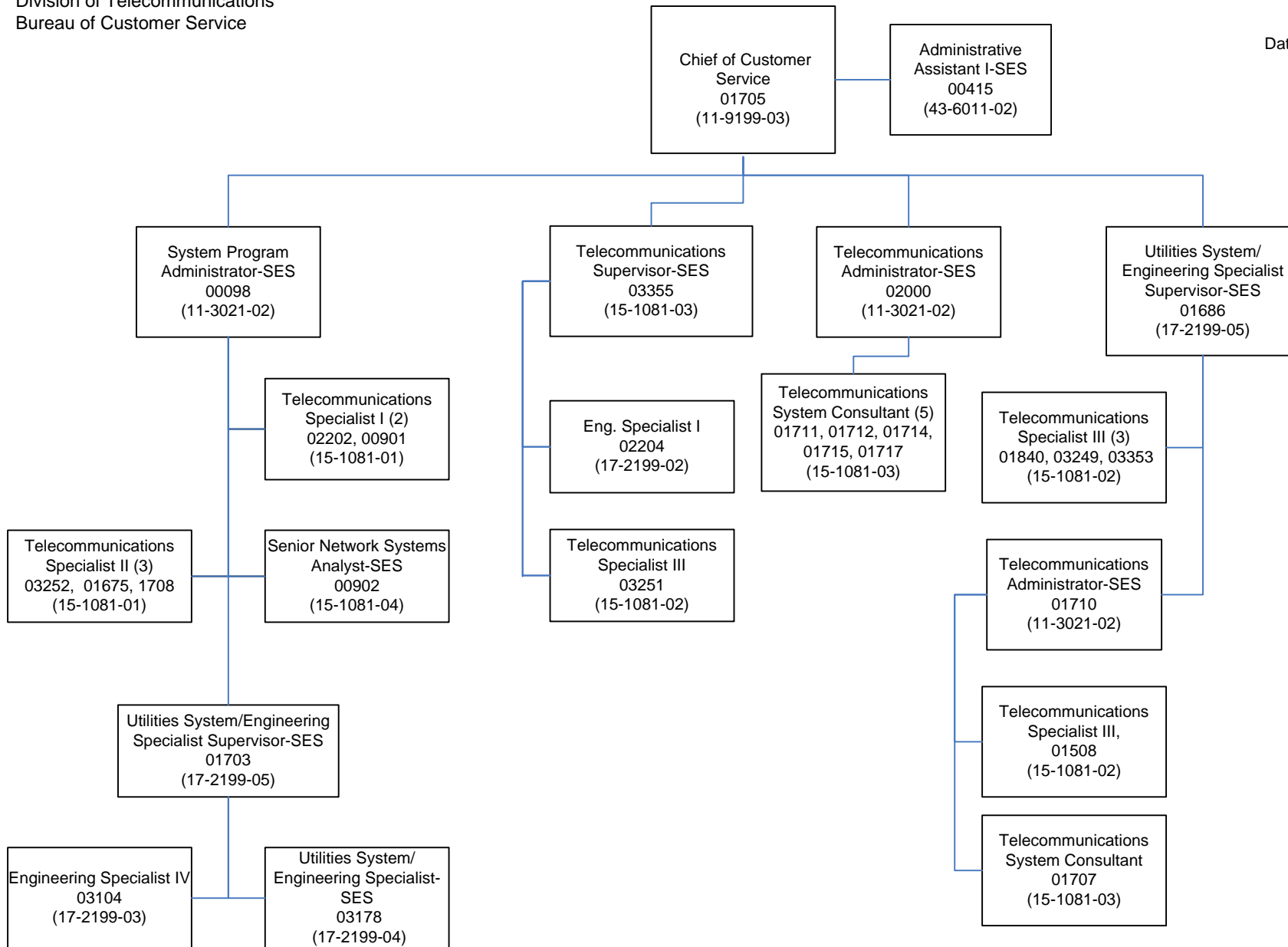
**Systems Project Analyst-SES
 02185
 (15-1051-03)
 Administration (CIO Office) Pg
 33 of 345 1-2

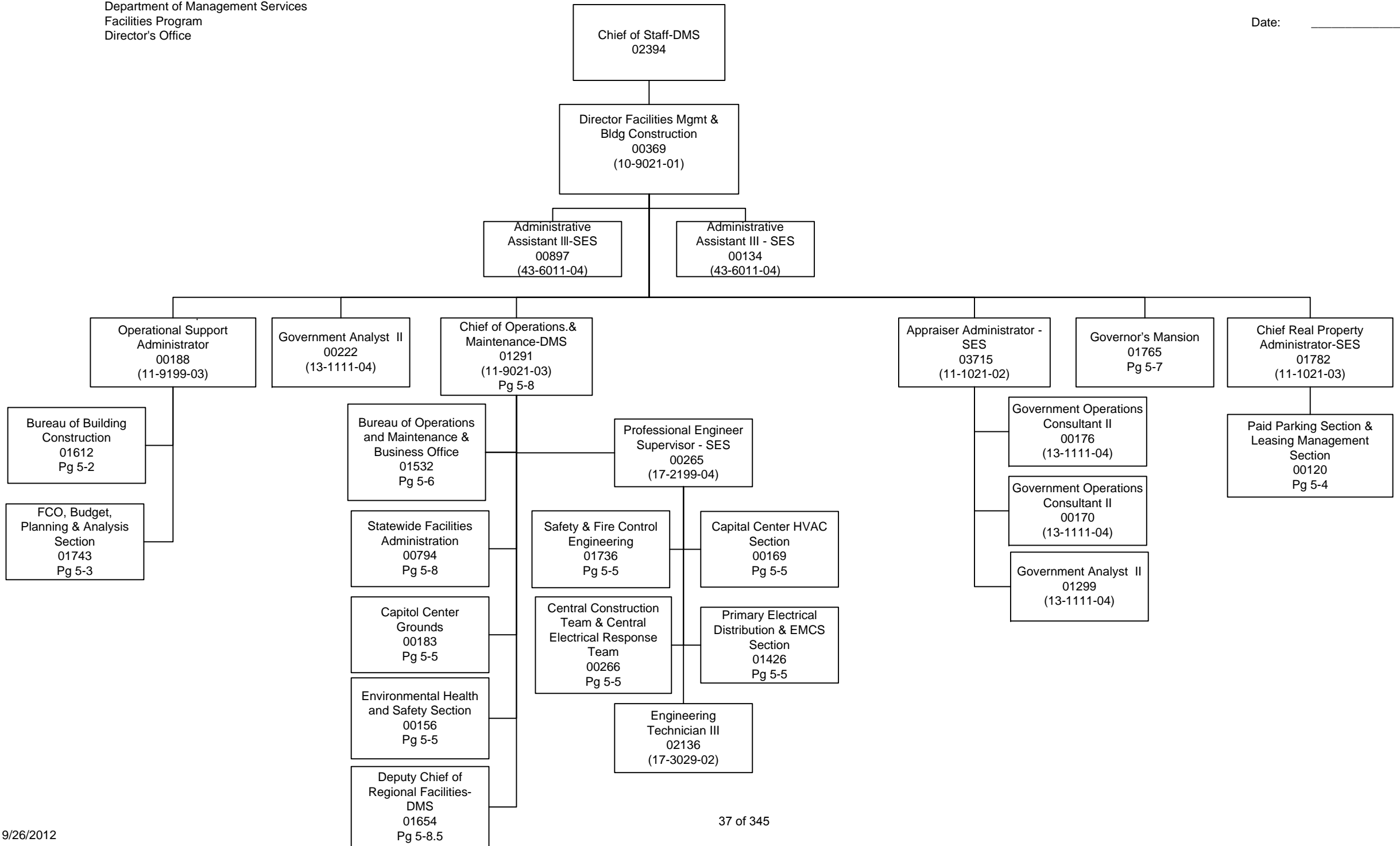
**Office Automation Specialist
 I-SES
 00026
 (15-1041-01)
 Administration (CIO Office)
 Pg 1-2

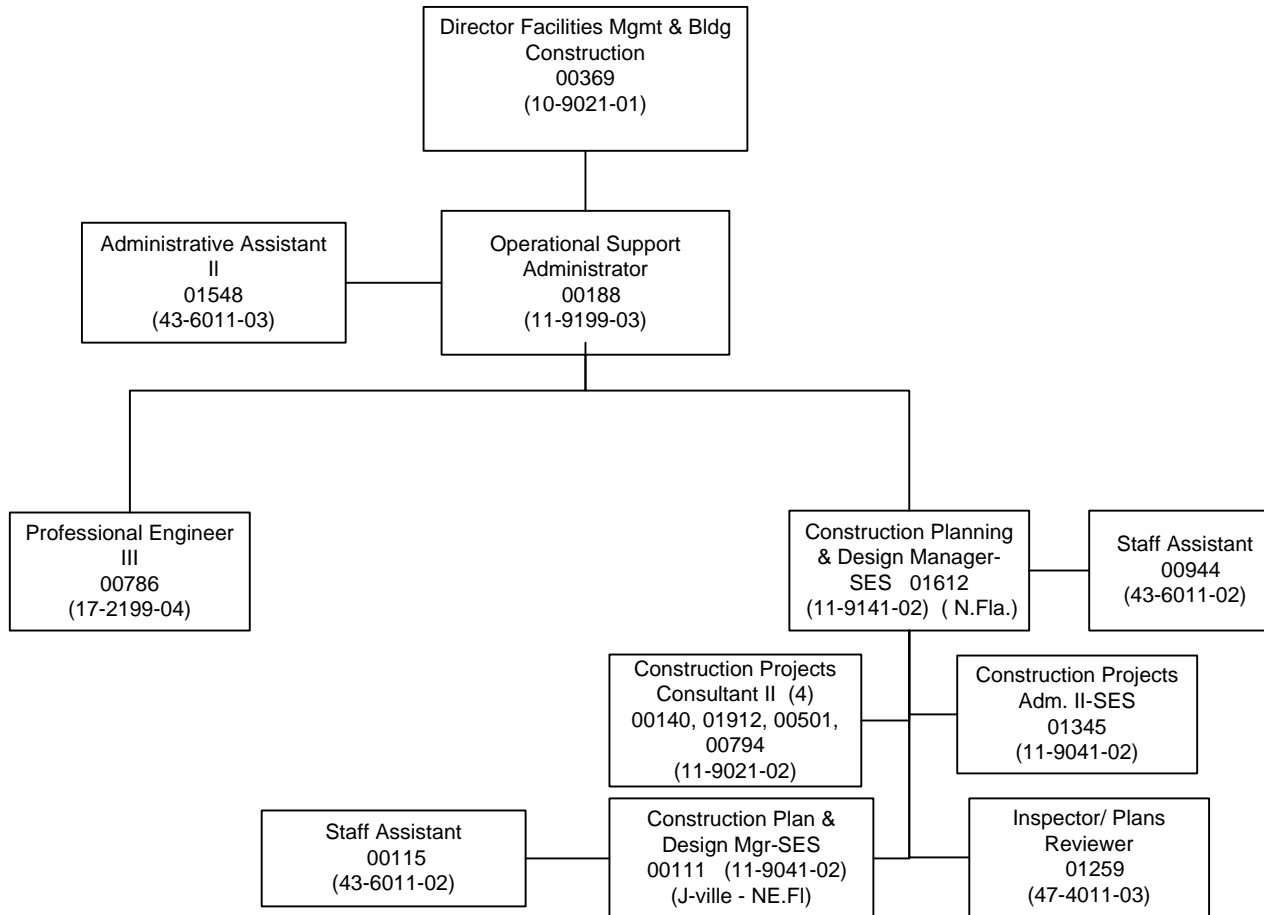
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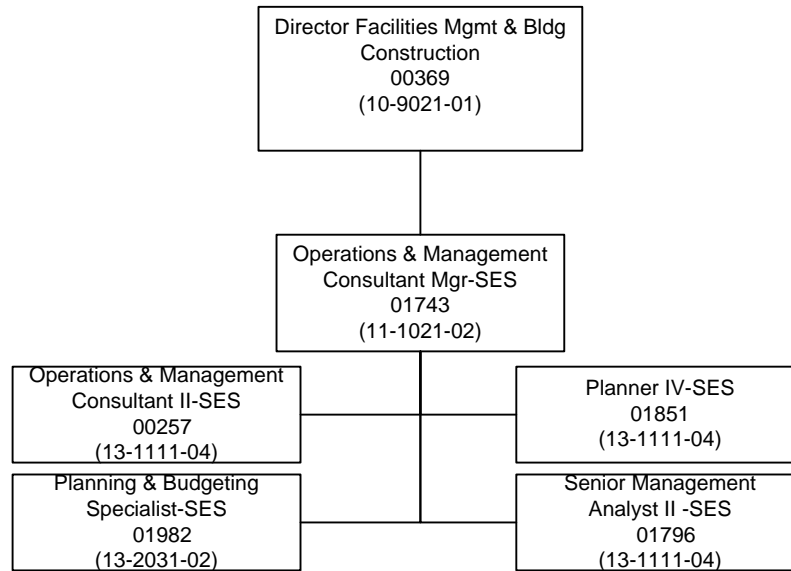






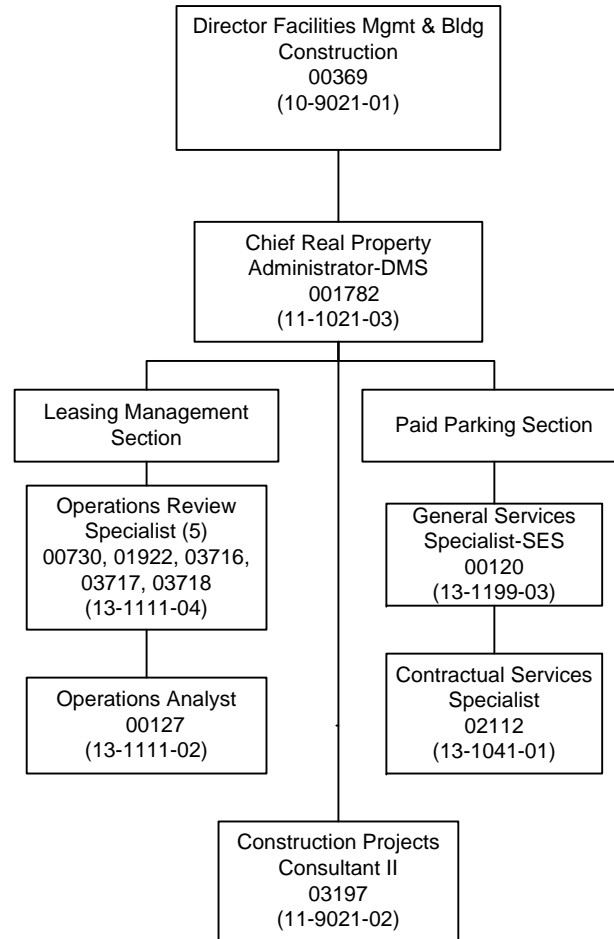






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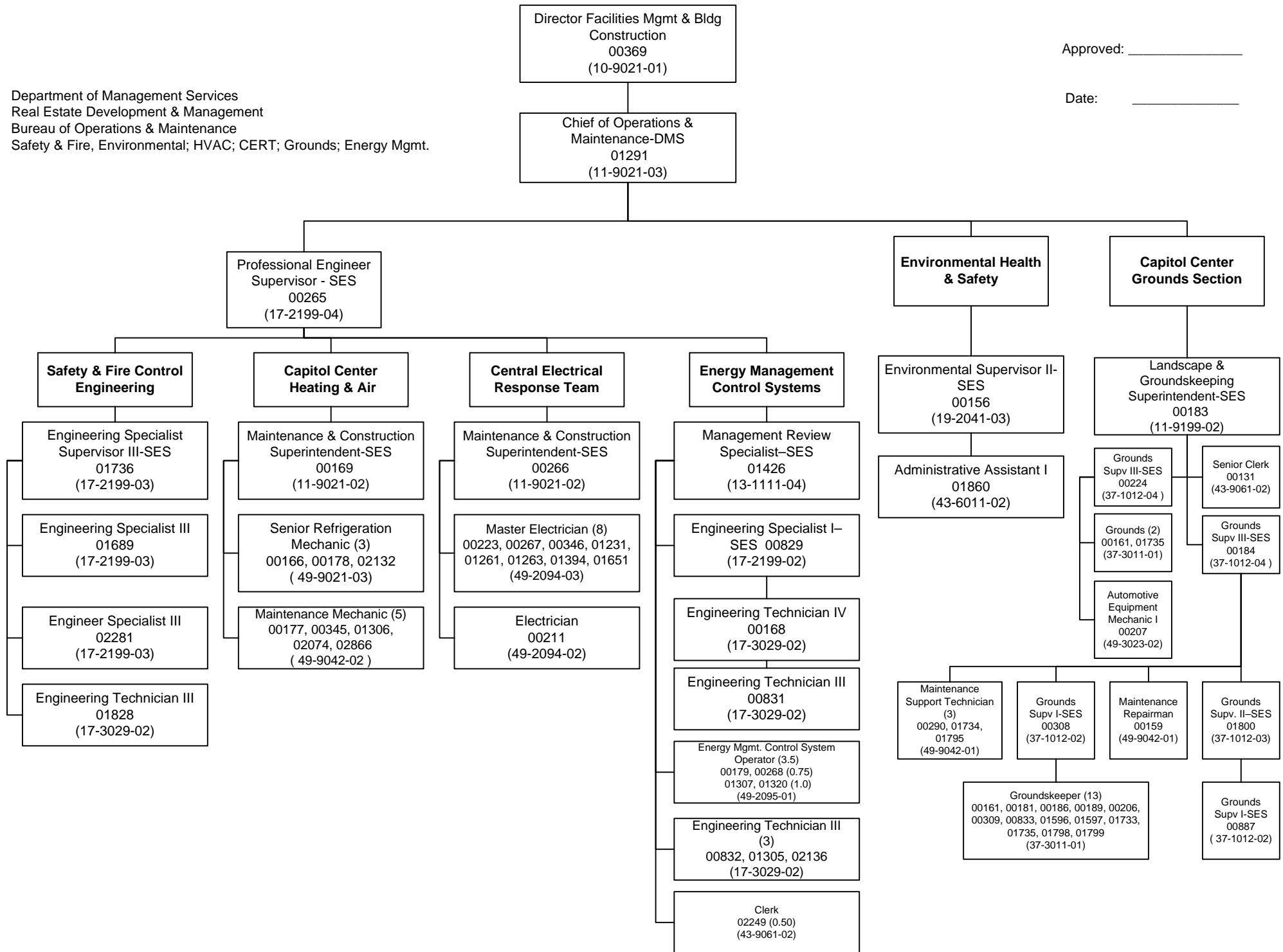
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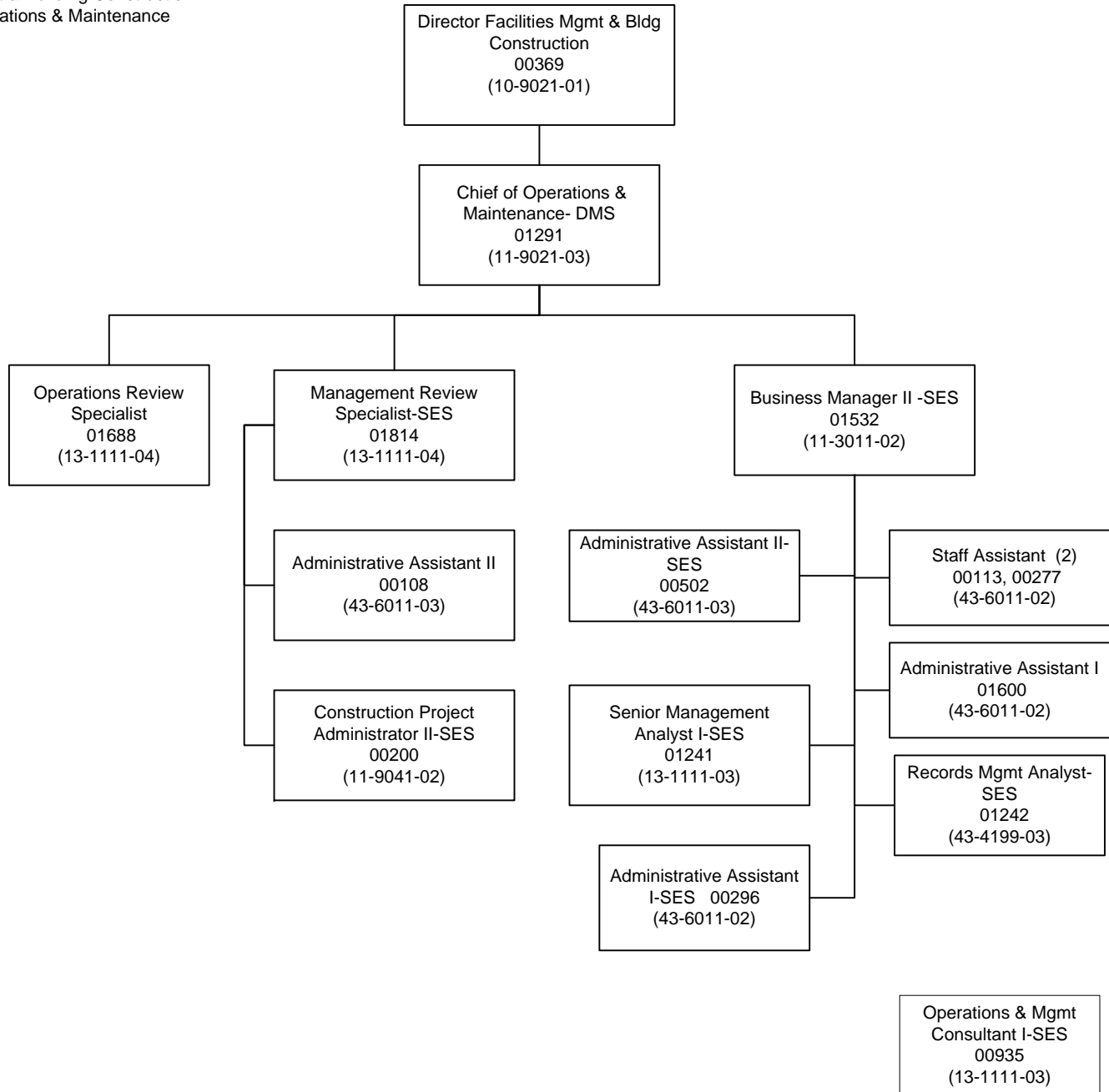


Department of Management Services
 Real Estate Development & Management
 Bureau of Operations & Maintenance
 Safety & Fire, Environmental; HVAC; CERT; Grounds; Energy Mgmt.

Approved: _____

Date: _____

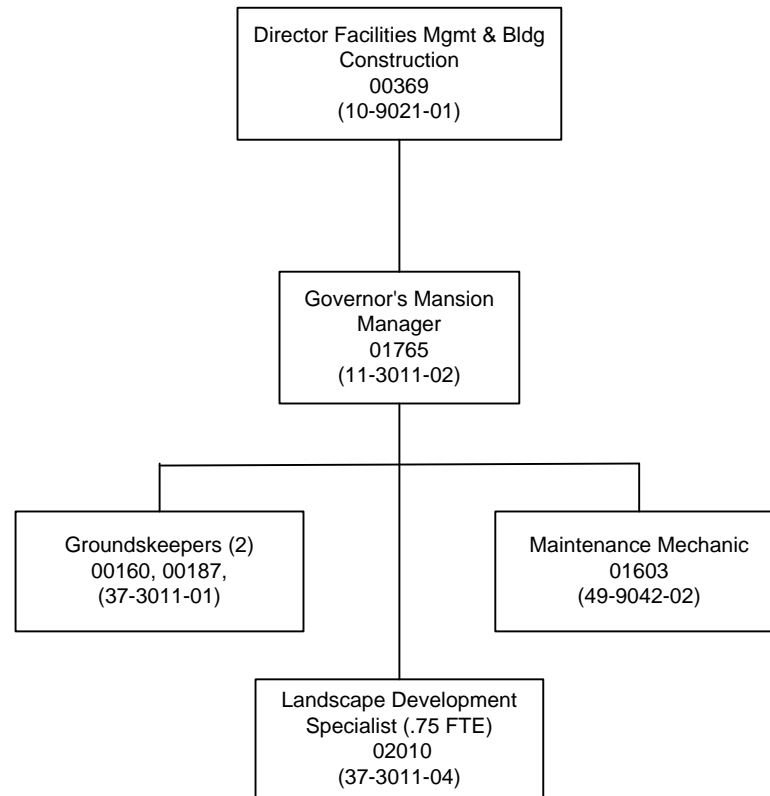




Department of Management Services
Facilities Program/ Real Estate Development & Management
Bureau of Operations & Maintenance
Governor's Mansion & Grounds

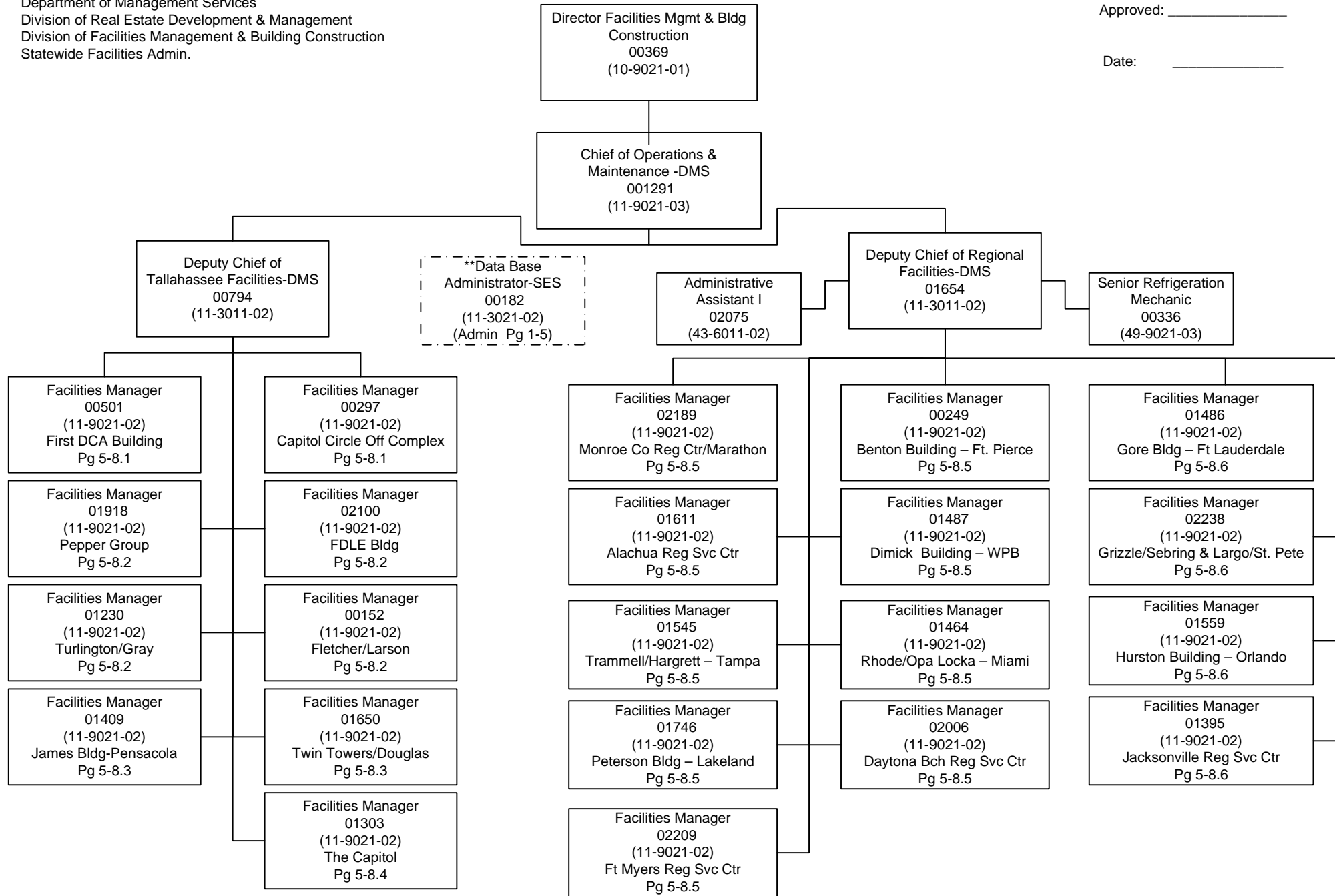
Approved: _____

Date: _____



Approved: _____

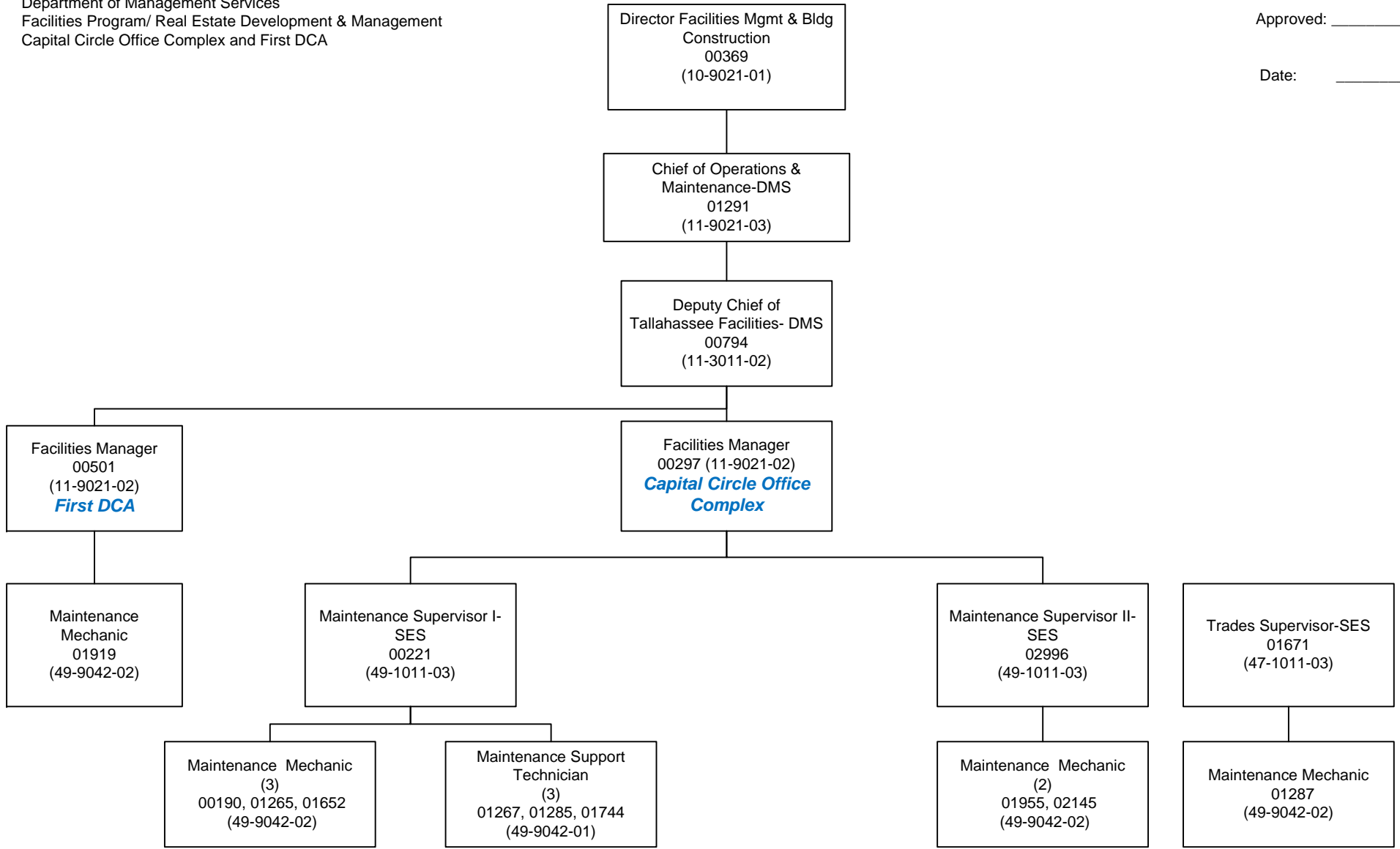
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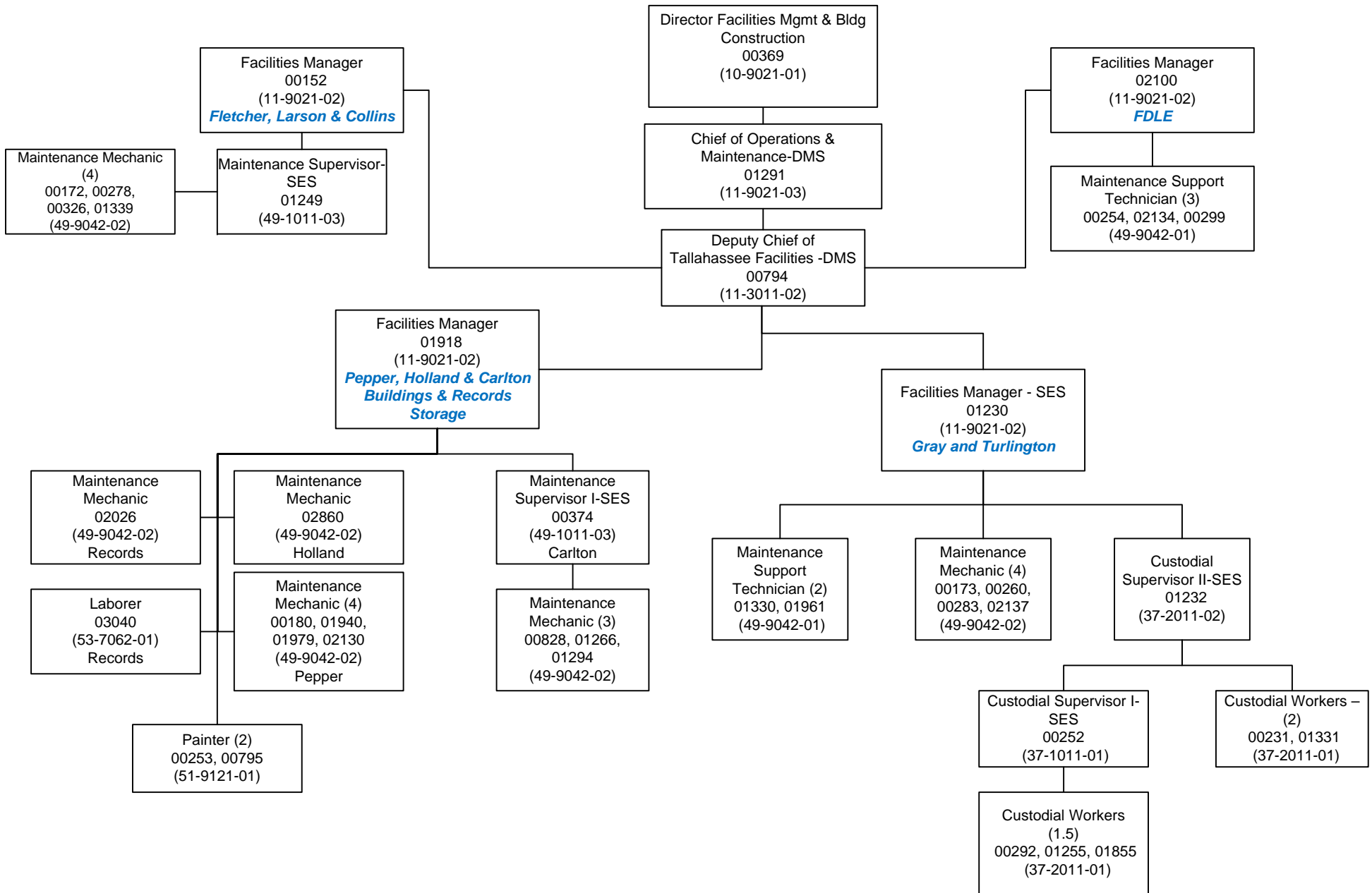


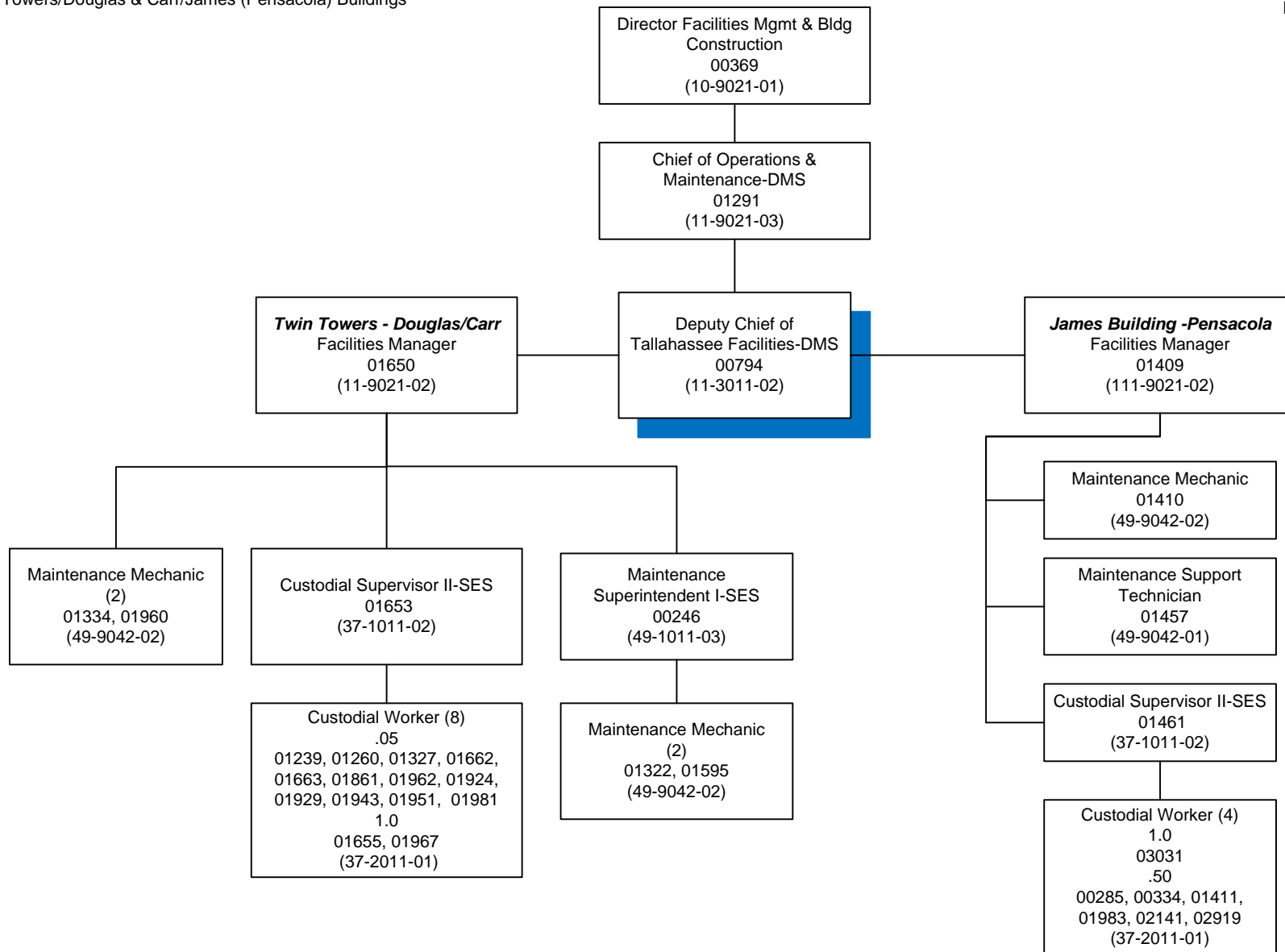
** Note: Dotted line position denotes that position reports to other divisions/programs.

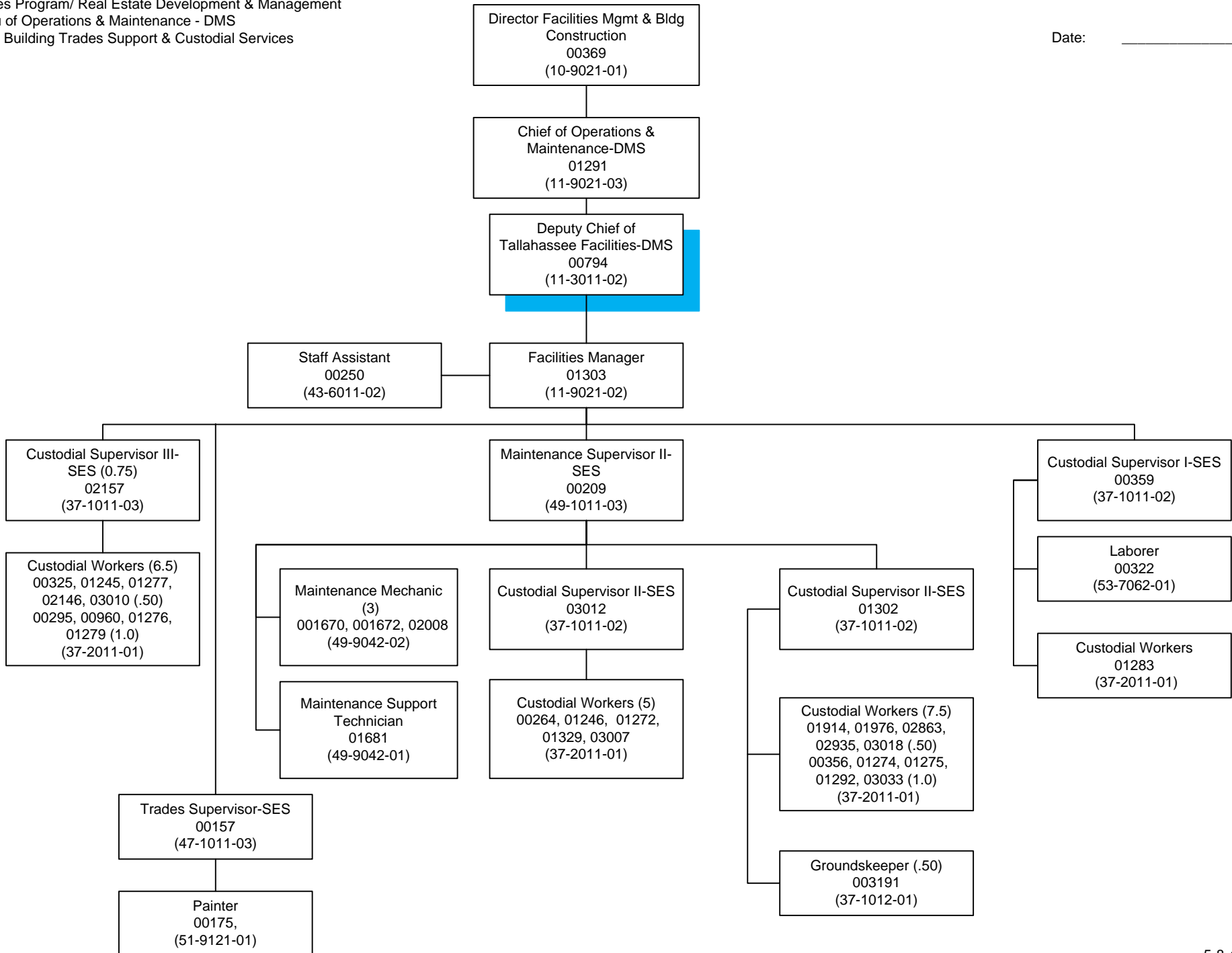
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Date: _____





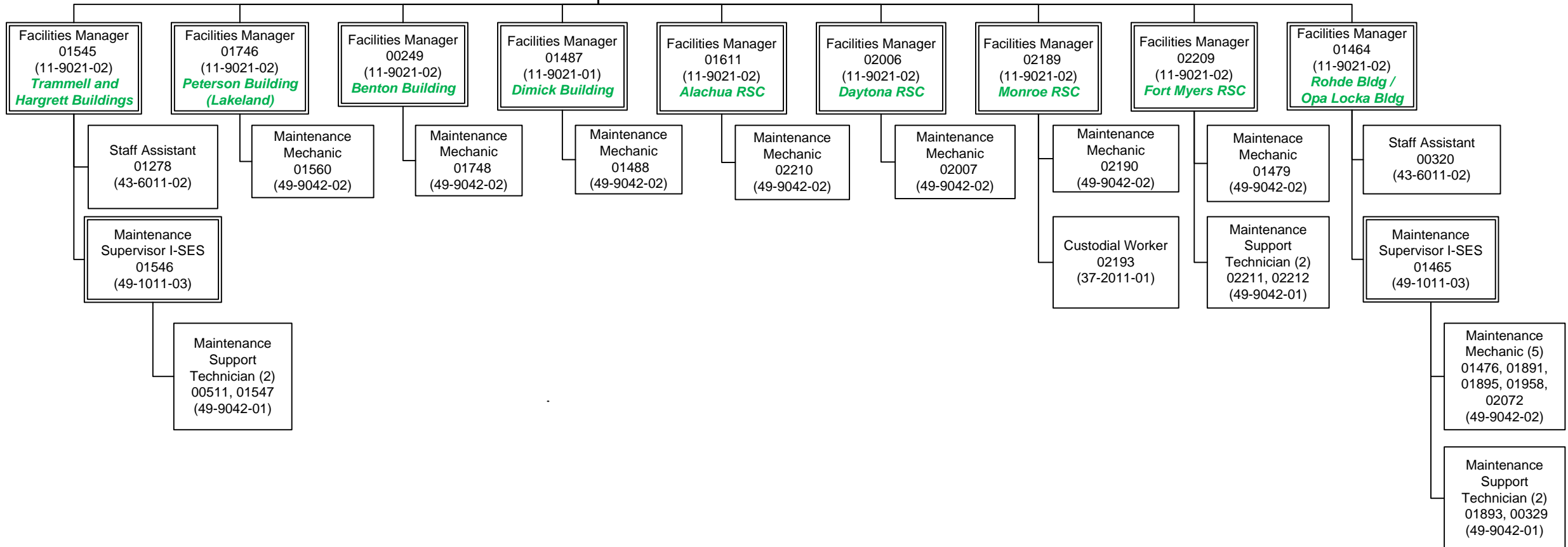
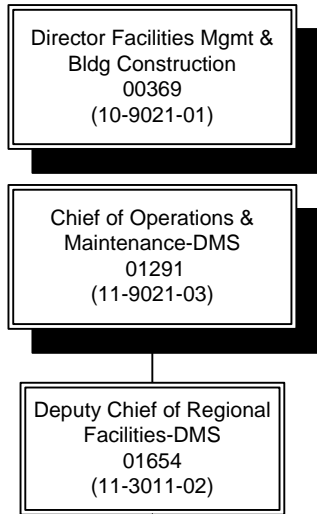


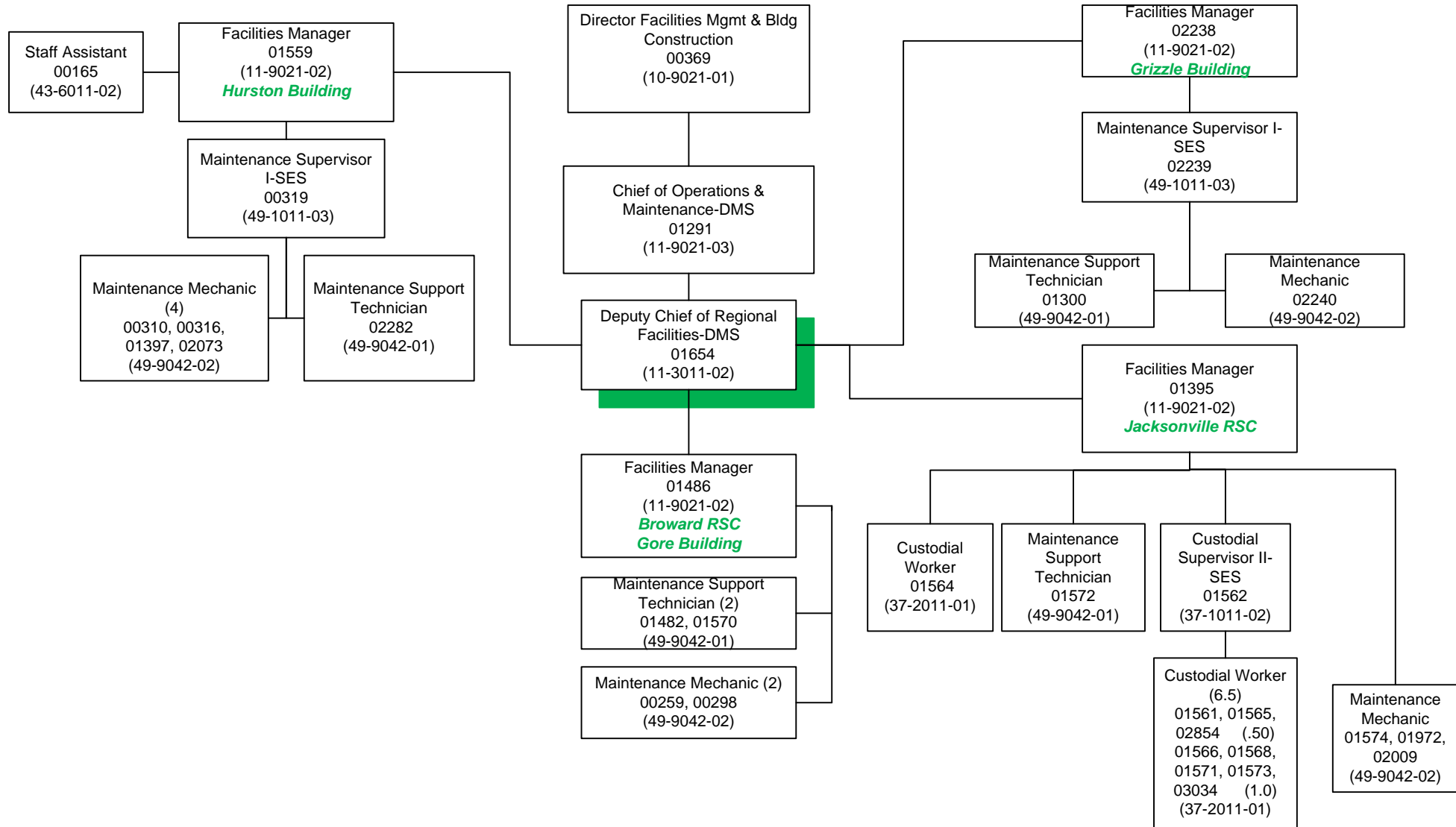


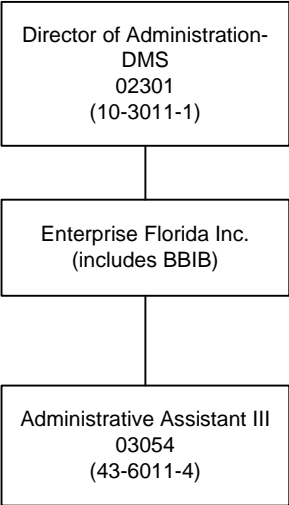
Department of Management Services
 Facilities Program/Facilities Management
 Bureau of Operations & Maintenance
 Regional Service Centers
 Trammell & Hargrett Bldg; Peterson Bldg.; Dimick Bldg;
 Benton Bldg; Alachua RSC; Daytona RSC; Monroe County RSC
 Rohde and Opa Locka Buildings

Approved: _____

Date: _____

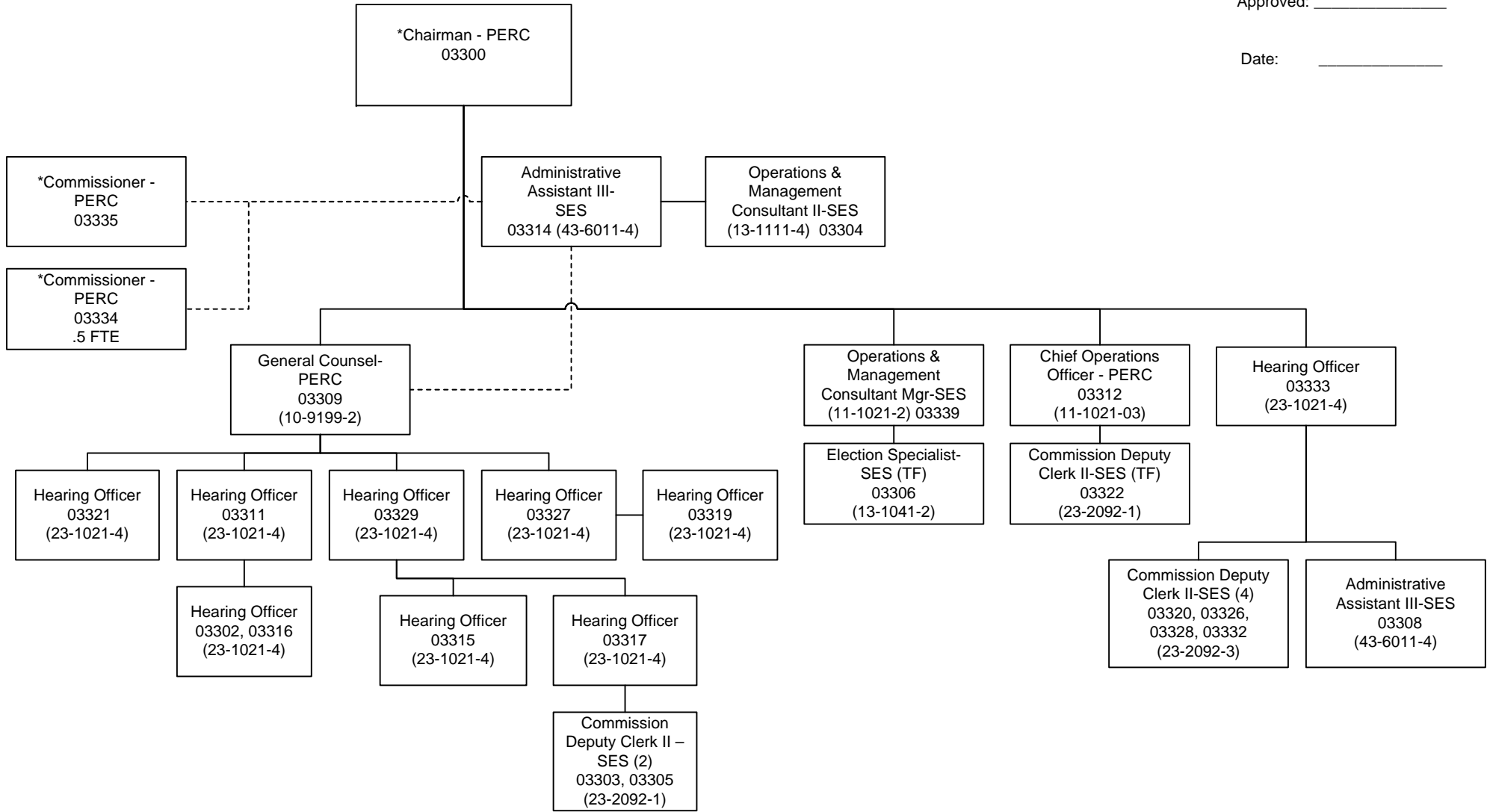


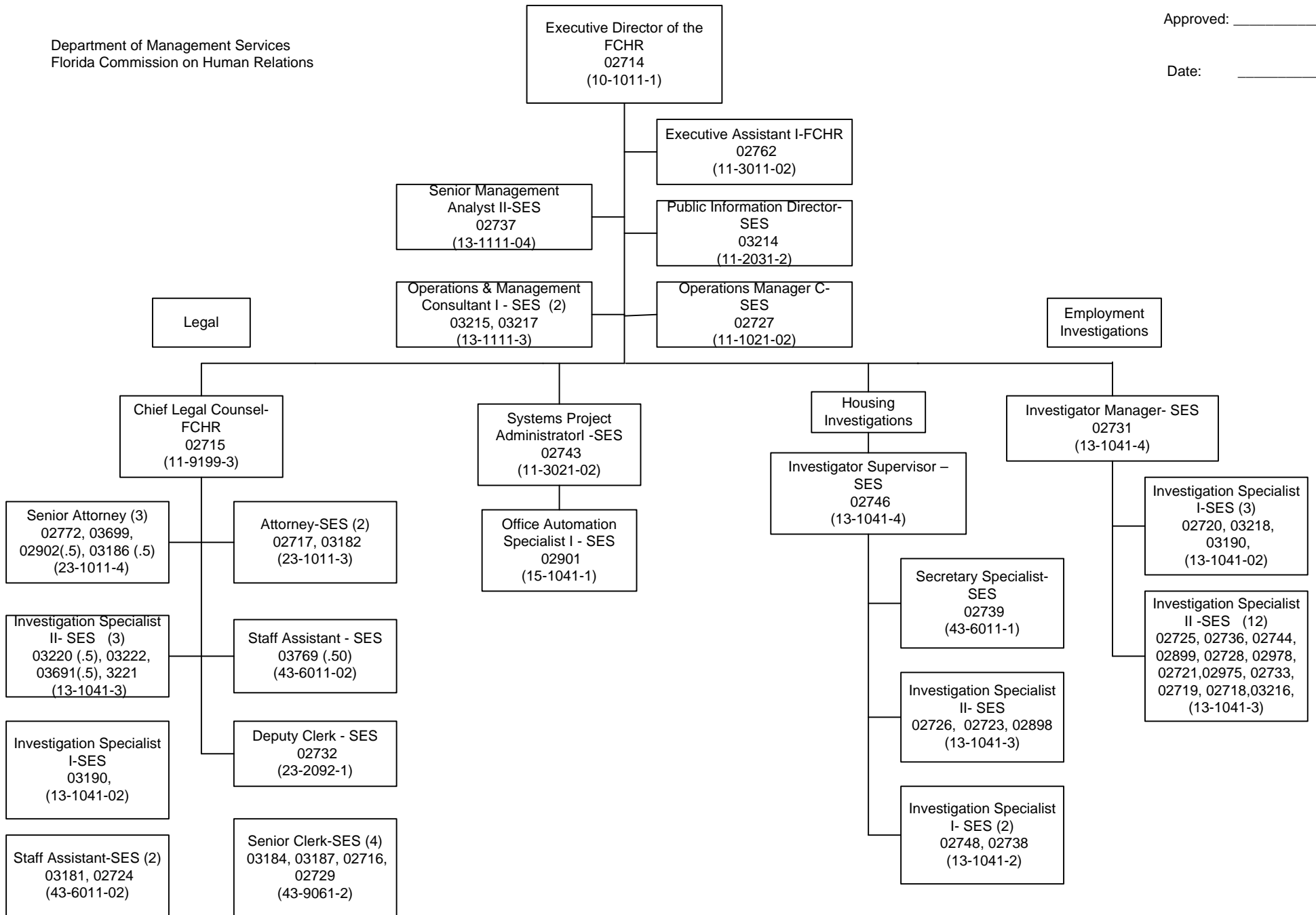




Approved: _____

Date: _____





MANAGEMENT SERVICES, DEPARTMENT OF		FISCAL YEAR 2011-12			
SECTION I: BUDGET		OPERATING		FIXED CAPITAL OUTLAY	
TOTAL ALL FUNDS GENERAL APPROPRIATIONS ACT		483,325,848		46,539,968	
ADJUSTMENTS TO GENERAL APPROPRIATIONS ACT (Supplementals, Vetoes, Budget Amendments, etc.)		22,888,243		0	
FINAL BUDGET FOR AGENCY		506,214,091		46,539,968	
SECTION II: ACTIVITIES * MEASURES		Number of Units	(1) Unit Cost	(2) Expenditures (Allocated)	(3) FCO
Executive Direction, Administrative Support and Information Technology (2)					46,539,968
Process Payroll And Benefits For Leased State Employees * Number of employees in state leasing services		4	137,600.25	550,401	
Operate And Maintain Department Of Management Services' Pool Facilities * Number of maintained square feet (private contract and agency)		7,892,878	5.74	45,282,594	
Operate And Maintain Non-pool Facilities * Number of maintained square feet (private contract and agency)		7,892,878	0.11	829,584	
Administer Bonding Program And Plan For State Office Space Requirements * Number of net square feet of pool facilities		6,201,126	0.25	1,520,076	
Manage Private Sector And State Leases For State Agencies * Number of leases managed		1,217	1,202.27	1,463,160	
Manage Pool Facility Parking Lots * Number of parking spaces		24,705	10.32	254,989	
Provide Facilities Security * Number of facilities secured		18	56,802.56	1,022,446	
Manage Construction Projects *		15,901,303	0.09	1,423,353	
Adjudicate And Facilitate Mediation Of Labor And Employment Disputes Through The Public Employees Relations Commission * Number of labor and employment dispositions		1,208	3,340.75	4,035,632	
Acquire And Redistribute Federal Surplus Property * Dollar value of donated property		9,592,505	0.05	509,559	
Acquire And Redistribute Military Excess Property * Dollar value of donated property		9,592,505	0.01	115,139	
Provide New Vehicle And Watercraft Acquisition Support * Number of vehicles and watercraft acquired		981	165.27	162,130	
Operate And Maintain The Equipment Management Information System (emis) * Number of state vehicles tracked		25,790	23.49	605,909	
Manage State Vehicle And Watercraft Disposal * Number of vehicles and watercraft disposed of		1,254	650.46	815,671	
Establish And Administer State Term (master) Contracts And Negotiated Agreements * Dollars expended by State Agencies using the State Term Contracts and Negotiated Agreements		788,860,684	0.03	21,169,534	
Provide Minority Access To Contracting Opportunities * Number of businesses certified and registered		644	538.59	346,853	
Manage And Oversee Minority Business Compliance * Number of businesses reviewed and audited		100	3,468.58	346,858	
Provide Human Resource Management Expertise/Consulting * Number of authorized FTE and OPS employees in the State Personnel System		117,502	20.63	2,424,304	
People First Contract Management *		217,000	185.65	40,285,483	
Administer The Health Insurance Program * Number of enrollees		173,008	191.28	33,092,626	
Administer The Life Insurance Program * Number of enrollees		185,166	0.01	2,071	
Administer The Flexible Spending Account Program * Number of enrollees		16,642	1.79	29,730	
Administer The Supplemental Insurance Program * Number of enrollees		187,584	5.67	1,063,546	
Administer The Disability Benefits Program * Number of enrollees		22,727	0.05	1,027	
Provide Local Government Pension Plan Oversight * Number of Local Pension Plans Reviewed		168	8,973.02	1,507,468	
Administer The Florida Retirement System * Number of FRS members		998,249	27.92	27,873,167	
Administer The Retiree Health Insurance Subsidy Program * Number of Recipients of the Health Insurance Subsidy		297,303	0.42	124,812	
Administer The State University System Optional Retirement Program * Number of participants in the State University System Optional Retirement Program		17,544	16.77	294,252	
Contract For The Construction, Operation And Oversight Of Private Prisons * Number of beds occupied		10,081	299.99	3,024,159	
Investigate Complaints Of Civil Rights Violations * Number of inquiries/investigations		18,655	317.96	5,931,545	
TOTAL				196,108,078	46,539,968
SECTION III: RECONCILIATION TO BUDGET					
PASS THROUGHS					
TRANSFER - STATE AGENCIES				245,066,315	
AID TO LOCAL GOVERNMENTS					
PAYMENT OF PENSIONS, BENEFITS AND CLAIMS				15,047,951	
OTHER				395,476	
REVERSIONS				49,596,289	32
TOTAL BUDGET FOR AGENCY (Total Activities + Pass Throughs + Reversions) - Should equal Section I above. (4)				506,214,109	46,540,000

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

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

ACTIVITY ISSUE CODES SELECTED:

TRANSFER-STATE AGENCIES ACTIVITY ISSUE CODES SELECTED:

1-8: ACT0680 ACT0700 ACT8010 ACT8020 ACT8030 ACT8040

AID TO LOCAL GOVERNMENTS ACTIVITY ISSUE CODES SELECTED:

1-8:

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

*** NO ACTIVITIES FOUND ***

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

*** NO OPERATING CATEGORIES FOUND ***

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





BE	PC	CODE	TITLE	EXPENDITURES	FCO
72400100	1601000000	ACT0675	INTERIOR REFURBISH LEASE SPACE	395,475 (See footnote 1 below)	
72750100	1601000000	ACT1410	PROVIDE AMERICANS WITH DISABILITIES	1	

TOTALS FROM SECTION I AND SECTIONS II + III:

DEPARTMENT: 72	EXPENDITURES	FCO
FINAL BUDGET FOR AGENCY (SECTION I):	506,214,091	46,539,968
TOTAL BUDGET FOR AGENCY (SECTION III):	506,214,109	46,540,000
DIFFERENCE:	18-	32-
(MAY NOT EQUAL DUE TO ROUNDING)	=====	=====

(1) This represents operating expenditures within the Master Lease Space Tenant Improvement Funds appropriation category.

**SCHEDULE XIIB: MAJOR OUTSOURCING AND PRIVATIZATION INITIATIVES
EXCEEDING \$10 MILLION INITIALLY UNDERTAKEN IN THE LAST FIVE YEARS**

Schedule XII-B Cover Sheet and Agency Project Approval	
Agency: Department of Management Services	Schedule XII-B Submission Date: August 20, 2012
Project Name: Private Prison Monitoring - Blackwater River Correctional Facility	Is this project included in the Agency's LRPP? _____ Yes _____ No
FY 2012-2013 LBR Issue Code: N/A	FY 2012-2013 LBR Issue Title: N/A
Agency Contact for Schedule XII-B (Name, Phone #, and E-mail address): Debra Forbess, 487-9911; debra.forbess@dms.myflorida.com	
AGENCY APPROVAL SIGNATURES	
I am submitting the attached Schedule XII-B in support of our legislative budget request. I have reviewed and agree with the information in the attached Schedule XII-B.	
Agency Head:  Printed Name: Craig J. Nichols	Date: 8/21/2012
Agency Chief Information Officer: (If applicable) N/A Printed Name: Joe Wright	Date:
Budget Officer:  Printed Name: Debra Forbess	Date: 8/21/12
Chief of Staff:  Printed Name: Erin Rock	Date: 8-21-12
Project Sponsor:  Printed Name: Michael Weber	Date: 08-20-2012

SCHEDULE XIIB-2: MAJOR OUTSOURCING AND PRIVATIZATION INITIATIVES UNDERTAKEN IN THE LAST FIVE YEARS - COST AND DELIVERABLES DATA

Section I: Cost Data

Blackwater River Correctional Facility

Fiscal Year	Planned Costs	Actual/Revised Costs	Planned Savings	Actual/Revised Savings
FY 2007 - 2008	\$	\$	\$	\$
FY 2008 - 2009	\$	\$	\$	\$
FY 2009 - 2010	\$	\$	\$	\$
FY 2010 - 2011	\$22,604,736	\$21,920,688	\$	\$684,048
FY 2011 - 2012	\$30,660,000	\$30,111,909	\$	\$548,091
FY 2012 - 2013	\$30,660,000	\$	\$	\$
FY 2013 - 2014	\$30,660,000	\$	\$	\$
FY 2014 - 2015	\$30,660,000	\$	\$	\$
FY 2015 - 2016	\$	\$	\$	\$
FY 2016 - 2017	\$	\$	\$	\$

Variance	Reasons			
Cost	FY2010-11 was partial year funding.			
Savings				

Section II: Deliverables and Milestones Schedule

For each outsourced or privatized service or activity, complete the deliverables and milestones schedule below:

Deliverables and Milestones	Original	Actual Date/ Revised Date
Daily operations of a 2,000 bed adult male correctional facility housing medium and close custody inmates. The facility will become operational in October 2010.	10/5/2010	10/5/2010
Amendment #1 - Added NCIC Requirements		
Amendment #2 - Revised Staffing Pattern		
Amendment #3 - Added Section 5.52.5 Regarding Urgent Administrative Problems		
Amendment #4 - Revised Per Diem Rates and Staffing Pattern		

Variance	Reasons			
Schedule				

Office of Policy and Budget - July, 2008

AMENDMENT #2
OPERATION AND MANAGEMENT SERVICES CONTRACT
BETWEEN
THE STATE OF FLORIDA
DEPARTMENT OF MANAGEMENT SERVICES
AND
THE GEO GROUP, INC. (GEO)
FOR THE
BLACKWATER RIVER CORRECTIONAL FACILITY

This Amendment is entered into this 1st day of October, 2010, by and between the State of Florida, Department of Management Services, Bureau of Private Prison Monitoring (Bureau) and The GEO Group, Inc., 621 NW 53rd Street, Boca Raton, FL 33487 (Contractor) in recognition of the following:

WHEREAS, the parties hereto have previously entered into Contract DMS 08/09-026, dated April 30, 2010, (the Contract) for the Contractor to operate, maintain and manage the Blackwater River Correctional Facility (the Facility); and

WHEREAS, Article 11.16 of the Blackwater River's Operations and Management Services Contract expressly provides for amendments to the Contract.

NOW THEREFORE, in consideration of the mutual benefits exchanged and received, the Parties agree as follows:

1. Section 1.29 – second sentence, is amended to read as follows: The Service Commencement Date shall begin at 12:01am on October 5, 2010.
2. Section 3.1 – first sentence, is amended to read as follows: This Contract shall commence at 12:01am on the Effective Date and terminate on October 4, 2013 (i.e., three years after the Service Commencement Date), unless terminated earlier pursuant to Section 10 of this Contract.
3. Section 4.13 – third sentence is amended to read as follows: All maintenance plans and records, preventative maintenance, repair records, etc., shall be provided to the On-Site Contract Monitor upon request.
4. Section 5.36.2 – second sentence, is amended to read as follows: The measures and deliverables described below will be delivered to the On-Site Contract Monitor no later than May 1st and November 1st each year.
5. Updated job descriptions are attached to this amendment as Exhibit A pursuant to Section 5.41.1 of this Contract.
6. Section 5.45.1.6 – delete the following: Pursuant to F.S. 957.04(1)(a)3.g. Contract Requirements, compensation will be adjusted monthly of the On-Site Contract Monitor.
7. A revised Exhibit I (Staffing Plan) pursuant to Contract Section 6.3.2, is attached to this Amendment #2 as Exhibit B.


8. All other terms and conditions of this Contract not specifically modified by this Amendment shall remain in full force and effect.

IN WITNESS WHEREOF, the undersigned authorized persons have executed this Amendment on behalf of their respective party effective October 1, 2010.

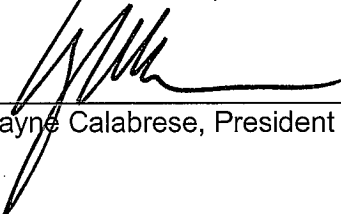
STATE OF FLORIDA, DEPARTMENT
OF MANAGEMENT SERVICES


By: Linda H. South, Secretary _____ Date 9/30/10

APPROVED AS TO FORM AND LEGALITY BY THE GENERAL COUNSEL'S OFFICE,
DEPARTMENT OF MANAGEMENT SERVICES


Name _____
Date 09-30-10

THE GEO GROUP, INC.


Wayne Calabrese, President _____ Date 9-29-2010

AMENDMENT #3
OPERATION AND MANAGEMENT SERVICES CONTRACT
BETWEEN
THE STATE OF FLORIDA
DEPARTMENT OF MANAGEMENT SERVICES
AND
THE GEO GROUP, INC. (GEO)
FOR THE
BLACKWATER RIVER CORRECTIONAL FACILITY

This Amendment is entered into this 8th day of November, 2010, by and between the State of Florida, Department of Management Services, Bureau of Private Prison Monitoring (Bureau) and The GEO Group, Inc., 621 Northwest 53rd Street, Boca Raton, Florida 33487 (Contractor) in recognition of the following:

WHEREAS, the parties hereto have previously entered into Contract DMS 08/09-026, dated April 30, 2010, (the Contract) for the Contractor to operate, maintain and manage the Blackwater River Correctional Facility (the Facility); and

WHEREAS, Article 11.16 of the Contract expressly provides for amendments.

NOW, THEREFORE, in consideration of mutual benefits exchanged and received, the Parties agree as follows:

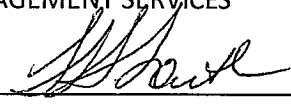
1. Section 5.52.5 was inadvertently left incomplete and shall read as follows:

If there is an urgent administrative problem, the Department shall make contact with CONTRACTOR and CONTRACTOR shall orally respond to the Contract Manager within two (2) hours. If a non urgent administrative problem occurs, the Department shall make contact with CONTRACTOR and CONTRACTOR shall orally respond to the Contract Manager within forty eight (48) hours. CONTRACTOR or designee at the facility shall respond to inquiries from the Department by providing the necessary information or records that the Department deems necessary to respond to inquiries, complaints or grievances from or about inmates within three (3) working days of receipt of the request. The On-Site Contract Monitor and the DC shall be copied on all such correspondence.

All other terms and conditions of the Contract remain the same.

IN WITNESS WHEREOF, the undersigned authorized persons have executed this Amendment on behalf of their respective party effective November 8th, 2010.

STATE OF FLORIDA, DEPARTMENT
OF MANAGEMENT SERVICES

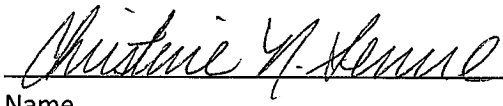


Name

11/18/10
Date

Linda H. South, Secretary
Printed Name


APPROVED AS TO FORM AND LEGALITY
DEPARTMENT OF MANAGEMENT SERVICES, OFFICE OF GENERAL COUNSEL



Name

11/01/2010
Date

THE GEO GROUP, INC.



Amber D. Martin, Vice President, Contracts Administration

11/05/10
Date

AMBER D. MARTIN
~~Vice President, Contracts Administration~~
Printed Name **The GEO Group, Inc.**

Title

**AMENDMENT #4
CONTRACT DMS 08/09-026
OPERATIONS AND MANAGEMENT SERVICE CONTRACT
BETWEEN
THE STATE OF FLORIDA
DEPARTMENT OF MANAGEMENT SERVICES
AND
THE GEO GROUP, INC.
FOR THE
BLACKWATER RIVER CORRECTIONAL FACILITY**

This amendment, effective as of the last day signed by both parties, is, by and between the State of Florida, Department of Management Services, Bureau of Private Prison Monitoring (Bureau) and The GEO Group, Inc., 621 Northwest 53rd Street, Boca Raton, Florida 33487 (GEO).

WHEREAS, the parties hereto have previously entered into Contract DMS 08/09-026, Dated April 30, 2010 (Contract) for the Contractor to operate, maintain and manage the Blackwater River Correctional Facility (Facility); and

WHEREAS, Article 11.16 of the Contract expressly allows for amendments to be made to the Contract;

WHEREAS, the parties desire to amend the contract to amend the renewal period pricing in anticipation of entering into a renewal, and to adjust the amount of compensation Contractor receives for providing services under the Contract pursuant to the annual appropriations amount in the Florida General Appropriation Act, Line item 661;

THEREFORE, the parties agree to amend the Contract as follows:

1. Article 3.1, Term, is amended to read as follows:

This Contract shall commence at 12:01 a.m. on the Services Commencement Date and terminate three (3) years thereafter, unless terminated earlier pursuant to Article 10 of this Contract. The parties may renew the Contract for additional two-year periods, in whole or in part, by executing a written addendum to that effect at least 120 days before the original or any subsequent termination date. The parties may agree to waive the 120-day requirement.

2. Article 7.1, Compensation and Adjustments, is amended to add the following sections:

7.1.1 The Bureau will compensate GEO at the following per diem rates (inmate, per day) effective July 01, 2012 through October 4, 2013:

- 7.1.1.1. \$44.43 times the minimum occupancy of 90%;
- 7.1.1.2. \$ 7.50 for each inmate over the minimum occupancy rate of 90%;
- 7.1.1.3. \$40.74 blended Per Diem.
- 7.1.1.4 minus monthly deduction for:

7.1.1.4.1. The Major Maintenance and Repair Reserve Fund set forth in Article 4.9, in the monthly amount of \$16,770.

7.1.1.4.2. The Contract Monitor set forth in Article 5.44, in the monthly amount of \$4,976.37.

7.1.1.4.3. Any property taxes or payments in lieu of taxes (PILOT) that may become due on the Facility pursuant to judicial determination or legislative mandate.

7.1.1.4.4 Fees collected from the medical co-payment for each inmate-initiated, nonemergency visit to the health care provider as required by Section 945.6037, Florida Statutes.

7.1.2. If the parties renew the Contract pursuant to Section 3.1, the Per Diem Rates shall be as follows as of October 5, 2013 to October 4, 2015:

7.1.2.1. \$44.43 times the minimum occupancy of 90%;

7.1.2.2 \$ 7.50 for each inmate over the minimum occupancy rate of 90%;

7.1.2.3. \$40.74 blended Per Diem.

7.1.2.4 minus monthly deduction for:

7.1.2.4.1. The Major Maintenance and Repair Reserve Fund set forth in Article 4.9, in the monthly amount of \$16,770.

7.1.2.4.2. The Contract Monitor set forth in Article 5.44, in the monthly amount of \$4,976.37.

7.1.2.4.3. Any property taxes or payments in lieu of taxes (PILOT) that may become due on the Facility pursuant to judicial determination or legislative mandate.

7.1.2.4.4 Fees collected from the medical co-payment for each inmate-initiated, nonemergency visit to the health care provider as required by Section 945.6037, Florida Statutes.

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This Amendment sets forth the entire understanding between the parties with regard to the subject matter hereof. All other terms and conditions of the Contract and shall remain in full force and effect.

SO AGREED by the Parties' authorized representatives on the dates noted below:

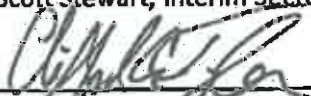
STATE OF FLORIDA, DEPARTMENT
OF MANAGEMENT SERVICES



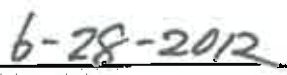
Scott Stewart, Interim Secretary



Date:



Approved as to form and legality by the
Department's Office of General Counsel

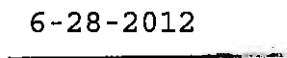


Date:

THE GEO GROUP, INC.



Amber D. Martin
Vice President, Contracts Administration



Date:

SCHEDULE XIII
PROPOSED CONSOLIDATED FINANCING OF DEFERRED-PAYMENT
COMMODITY CONTRACTS
THIS FORM IS NOT APPLICABLE

Contact Information
Agency: Department of Management Services
Name: Connie Mayo
Phone: 850-487-0364
E-mail address: Connie.Mayo@dms.myflorida.com

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

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

1. Commodities proposed for purchase.
N/A
2. Describe and justify the need for the deferred-payment commodity contract including guaranteed energy performance savings contracts.
N/A
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).
N/A
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.
N/A

Schedule XIV Variance from Long Range Financial Outlook

Agency: Department of Management Services

Contact: Debra Forbess 487-9911

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 2012 contain revenue or expenditure estimates related to your agency?

Yes No

- 2) If yes, please list the estimates for revenues and budget drivers that reflect an estimate for your agency for Fiscal Year 2013-2014 and list the amount projected in the long range financial outlook and the amounts projected in your Schedule I or budget request.

	Issue (Revenue or Budget Driver)	R/B*	FY 2013-2014 Estimate/Request Amount	
			Long Range Financial Outlook	Legislative Budget Request
a			(486,121)	(486,121)
b				
c				
d				
e				
f				

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

* R/B = Revenue or Budget Driver

Schedule XV Contract Reporting

N/A



DEPARTMENT OF MANAGEMENT
SERVICES

Fiscal Year 2013-14

Executive Direction

Exhibits and Schedules



DEPARTMENT OF MANAGEMENT
SERVICES

Fiscal Year 2013-14

Executive Direction

Schedule I Series

SCHEDULE 1A: DETAIL OF FEE COLLECTION AND RELATED PROGRAM COSTS

Department: 72 Management Services **Budget Period:** 2013 - 2014
Program: 72010100 Executive Direction & Administration
Fund: 2021 Administrative Trust
Specific Authority: Section 20.22, Florida Statutes
Purpose of Fees Collected: Assessment fees are charged to operating divisions/programs within the Department to recover costs for departmental administrative services.

Type of Fee or Program: (Check ONE Box and answer questions as indicated.)

<input type="checkbox"/>	Regulatory services or oversight to businesses or professions (Complete Sections I, II, and III and attach Examination of Regulatory Fees Form - Part I and II .)
<input checked="" type="checkbox"/>	Non-regulatory fees authorized to cover full cost of conducting a specific program or service. (Complete Sections I, II, and III only.)

(1) SECTION I - FEE COLLECTION	(2) ACTUAL FY 2011-12	(3) ESTIMATED FY 2012-13	(4) REQUEST FY 2013-14
Receipts: SEE ATTACHED LISTING			
Total Fee Collection to Line (1) - Section III	7,025,020	6,166,144	7,209,797

SECTION II - FULL COSTS

Direct Costs:

Salaries and Benefits	5,159,421	5,640,092	5,685,617
Other Personal Services	36,115	38,329	38,329
Expenses	650,108	638,059	638,059
Operating Capital Outlay	4,530	9,688	9,688
Sp.Cat.: TR to Administrative Hearings			
Sp.Cat.: Contracted Services	144,264	102,700	102,700
Sp.Cat.: Mail Services	113,424	113,424	113,424
Sp.Cat.: Risk Mgmt Insurance	127,605	111,758	111,758
Sp.Cat.: Contracted Legal Services	850,000	1,150,000	1,150,000
Sp.Cat.: Lease Purchase Equipment		9,635	9,635
HR Statewide Contract	30,443	29,158	29,158
Data Processing Services - SSRC	232,545	192,851	193,341

Indirect Costs Charged to Trust Fund:

TR to GR-8% Svc Chrg	2,385	2,000	2,000
Comp Leave Liability in Beg Bal	(74,559)		
CF B Paid	34,790		
Fleet Mgmt Enterprise Initiative-Interest Earning		25,000	
Cert Forward Reversions @ 9/30/2012		(242,054)	
Cert Forward Reversions @ 9/30/2011	(4,158)		
Tsfr for Admin. Assessment from 720103-2021			
Contracted Legal Services to be allocated		(850,000)	(850,000)

Total Full Costs to Line (2) - Section III 7,306,914 6,970,640 7,233,709

Basis Used: Accrual

SECTION III - SUMMARY

TOTAL SECTION I	(A)	7,025,020	6,166,144	7,209,797
TOTAL SECTION II	(B)	7,306,914	6,970,640	7,233,709
TOTAL - Surplus/Deficit	(C)	(281,894)	(804,496)	(23,912)

EXPLANATION:

Negative balances are offset by cash balance carried forward (See Schedule I)

SCHEDULE 1A: DETAIL OF FEE COLLECTION AND RELATED PROGRAM COSTS

Department: Management Services **Budget Period: 2013-14**
Program: Executive Direction & Administration (72010100)
Fund: Administrative Trust (2021)

(1)	(2)	(3)	(4)
SECTION I - FEE COLLECTION	ACTUAL FY 2011-12	ESTIMATED FY 2012-13	REQUEST FY 2013-14
Receipts:			
Admin. Assessment - 724001-2696	2,148,971	1,961,966	2,295,500
Admin. Assessment - 724002-2033	71,230	53,466	62,555
Admin. Assessment - 726001-1000	-	-	-
Admin. Assessment - 726002-2699	28,031	28,517	33,365
Admin. Assessment - 726003-2510	73,892	71,151	83,247
Admin. Assessment - 726004-2510	308,139	330,655	386,866
Admin. Assessment - 726004-1000	76,326	-	-
Admin. Assessment - 726005-2510	29,049	29,727	34,781
Admin. Assessment - 726008-1000	-	81,178	94,978
Admin. Assessment - 727504-2678	623,198	-	-
Admin. Assessment - 727504-2678	-	310,634	363,442
Admin. Assessment - 727505-2678	-	310,634	363,442
Admin. Assessment - 727502-2570	218,070	131,892	154,314
Admin. Assessment - 727502-2667	15,115	1,847	2,161
Admin. Assessment - 727502-2668	286,959	397,262	464,797
Admin. Assessment - 727502-2671	1,764	1,430	1,673
Admin. Assessment - 727503-2309	1,005,413	898,875	1,051,684
Admin. Assessment - 729001-2105	1,118,205	1,050,124	1,228,645
Admin. Assessment - 729001-2344	71,073	72,934	85,333
Admin. Assessment - 729002-2432	148,650	209,952	245,644
Admin. Assessment - 729101-2792	134,016	85,094	99,560
Admin. Assessment - 729201-1000	34,314	27,088	31,693
Admin. Assessment - 729201-2558	18,700	27,088	31,693
Admin. Assessment - 729501-2510	55,916	57,622	67,418
Admin. Assessment - 720103-2021	3,012	2,008	2,008
Miscellaneous Receipts	25,167	-	-
Interest Earnings	29,810	25,000	25,000
Interest Earnings Transfer from Supervision TF	500,000	-	-
Total Fee Collection to Line (1) - Section III	7,025,020	6,166,144	7,209,797

SCHEDULE 1A: DETAIL OF FEE COLLECTION AND RELATED PROGRAM COSTS

Department: 72 Management Services **Budget Period:** 2013-14
Program: 720101 Executive Direction/Support Services
Fund: 2105 Communications Working Capital Trust

Specific Authority: Chapter 282, F.S.
Purpose of Fees Collected: To pay costs for maintenance of the State Portal web site, known as MyFlorida.com.

Type of Fee or Program: (Check **ONE** Box and answer questions as indicated.)

<input type="checkbox"/>	Regulatory services or oversight to businesses or professions (Complete Sections I, II, and III and attach Examination of Regulatory Fees Form - Part I and II)
<input type="checkbox"/>	Non-regulatory fees authorized to cover full cost of conducting a specific program or service. (Complete Sections I, II, and III only.)

(1)	(2)	(3)	(4)
<u>SECTION I - FEE COLLECTION</u>	ACTUAL	ESTIMATED	REQUEST
	FY 2011-12	FY 2012-13	FY 2013-14
<u>Receipts:</u>			
Total Fee Collection to Line (1) - Section III	-	-	-

<u>SECTION II - FULL COSTS</u>			
<u>Direct Costs:</u>			
Salaries and Benefits	135,636	150,898	152,118
Expenses	10,657	41,497	41,497
SC: Contracted Services	81,672	81,800	81,800
SC: Risk Management	344	301	301
SC: HR Services	734	735	735
DP Svcs-SSRC	8,593	1,902	1,907
<u>Indirect Costs Charged to Trust Fund:</u>			
Transfer in from 72900100-2105	(237,636)	(277,133)	(278,358)
Total Full Costs to Line (2) - Section III	-	-	-

Basis Used: Accrual

<u>SECTION III - SUMMARY</u>			
TOTAL SECTION I	(A)	-	-
TOTAL SECTION II	(B)	-	-
TOTAL - Surplus/Deficit	(C)	-	-

EXPLANATION:
Negative balances are offset by cash balance carried forward (See Schedule I)

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

Department Title:	Budget Period: 2013 - 2014
Trust Fund Title:	MANAGEMENT SERVICES
Budget Entity:	ADMINISTRATIVE TRUST
LAS/PBS Fund Number:	ADMINISTRATION (72010100)
	2021

	Balance as of 6/30/2012	SWFS* Adjustments	Adjusted Balance
Chief Financial Officer's (CFO) Cash Balance	78,810 (A)		78,810
ADD: Other Cash (See Instructions)	300 (B)		300
ADD: Investments	1,712,108 (C)		1,712,108
ADD: Outstanding Accounts Receivable	8,797 (D)	0	8,797
ADD: Due from Leased Employees in July			0
Total Cash plus Accounts Receivable	1,800,015 (F)	0	1,800,015
LESS Allowances for Uncollectibles			0
LESS Approved "A" Certified Forwards	568,349 (H)		568,349
Approved "B" Certified Forwards	1,391 (H)		1,391
Approved "FCO" Certified Forwards			0
LESS: Other Accounts Payable (Nonoperating)	728 (I)		728
LESS: <u>Unearn Revenue</u>			0
Unreserved Fund Balance, 07/01/12	1,229,547 (K)		1,229,547 **

1229547

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.

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

Department Title:	Budget Period: 2013 - 2014
Trust Fund Title:	MANAGEMENT SERVICES
Budget Entity:	ADMINISTRATIVE TRUST
LAS/PBS Fund Number:	ADMINISTRATION (72010100)
	2105

	Balance as of 6/30/2012		SWFS* Adjustments		Adjusted Balance
Chief Financial Officer's (CFO) Cash Balance	5,386	(A)			5,386
ADD: Other Cash (See Instructions)		(B)			0
ADD: Investments		(C)			0
ADD: Outstanding Accounts Receivable		(D)			0
ADD: _____		(E)			0
Total Cash plus Accounts Receivable	5,386	(F)			5,386
LESS Allowances for Uncollectibles		(G)			0
LESS Approved "A" Certified Forwards	5,386	(H)			5,386
Approved "B" Certified Forwards		(H)			0
Approved "FCO" Certified Forwards		(H)			0
LESS: Other Accounts Payable (Nonoperating)		(I)			0
LESS: Other Accounts Payable		(J)			0
Unreserved Fund Balance, 07/01/12	0	(K)			0 **

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: 2013 - 2014

Department Title: 720000 MANAGEMENT SERVICES
Trust Fund Title: Administrative Trust Fund
LAS/PBS Fund Number: 2021

BEGINNING TRIAL BALANCE:

Unreserved Fund Balance Per Trial Balance, 07-01-12 **1,164,972.49** (A)

Add/Subtract:

Compensated Absences Liability recorded In FLAIR As A Liability/
Not Recorded On Schedule 1C **64,022.38**

Certified Forward B On Schedule 1C/Not Subtracted
From FLAIR Fund Balance **(1,391)**

Accounts Payable not Certified Forward in Trial Balance,
but not on Schedule 1C. **1,944**

Other Adjustment(s):

Statewide Post Closing Adjustment @ June 30, 2011
Increase Accounts Accounts Balance **(C)**

ADJUSTED BEGINNING TRIAL BALANCE: **1,229,548** (D)

UNRESERVED FUND BALANCE, SCHEDULE IC **1,229,548** (E)

DIFFERENCE: **0** (F)*

***SHOULD EQUAL ZERO.**

SCHEDULE IX: MAJOR AUDIT FINDINGS AND RECOMMENDATIONS

Budget Period: 2013-2014

Department: Management Services

Chief Internal Auditor: John W. Davis

Budget Entity: Administration

Phone Number: (850) 487-9476

(1) REPORT NUMBER	(2) PERIOD ENDING	(3) UNIT/AREA	(4) SUMMARY OF FINDINGS AND RECOMMENDATIONS	(5) SUMMARY OF CORRECTIVE ACTION TAKEN	(6) ISSUE CODE
<p>Auditor General Report No. 2011-069</p> <p>Dated: 12/30/2010</p>	<p>6/30/2011</p>	<p>Department Human Resources Office</p>	<p><u>Payroll and Personnel Administrative Processes at Selected State Agencies</u></p> <p>Finding 3 – Unused Leave Compensation: State Agencies had not established policies and procedures addressing unused annual and sick leave (terminal leave) payouts and did not always perform or document the performance of audits of unused leave balances prior to calculating terminal leave payouts.</p> <p>Recommendation: Each State agency’s procedures be enhanced, as appropriate, to address the terminal leave payout process. We also recommend that State agencies take other appropriate steps, including independent verification of payout calculation, to ensure that terminal leave payouts are accurate and paid in accordance with applicable law, rules, and guidelines.</p>	<p>CONCUR: The Department’s internal policy, <u>HR 09-126, Auditing Employee Leave Balances</u> and <u>HR-126-F1 – Leave Correction Request Affidavit</u> was created on July 16, 2009. This policy and affidavit established guidelines for conducting terminal leave audits within DMS. The examples cited by the Auditor General occurred prior to the establishment of this policy.</p> <p>Update 06/20/2011: The Department Human Resources Office follows internal policy for all leave payouts. HR is included on all PAR transactions and two copies of all termination PARs are printed. One copy is kept in the bi-weekly payroll folder and the second copy is used by HR to pull the terminating employee’s personnel file. The employee is added to the Leave Payout Tracker with a suspense date for the leave audit and leave payout to be completed. HR provides the DMS Budget Office with estimated hours of leave that the terminating employee is entitled to be paid. A leave audit is conducted and an email request is sent to DMS payroll for payment. This finding is closed.</p>	

		<p>Finding 4 – Dual Employment: Dual-employment rules and guidelines were not sufficient to effectively promote compliance with State law.</p> <p>Recommendation: That DMS and the various State agencies establish or revise dual-employment policies and procedures to ensure that approval during each fiscal year is obtained by any employee seeking employment at, or compensation from, more than one State agency.</p>	<p>CONCUR: Department internal policy was revised on September 30, 2010 to require dual employment approval each fiscal year. Reminders are sent to all employees the first week of June of each year requiring that all dually employed employees complete and submit to HR form HR112-F1, Dual Employment and Compensation Request.</p> <p>Update 06/20/2011: DMS’s internal policy was revised on September 30, 2010 to require dual employment approval each fiscal year. Email messages were sent to all DMS employees on June 1, 2011, advising that employees must obtain approval for dual employment by submitting form HR 112-F1. In addition, the email advised that employees seeking employment outside of state government must also obtain approval for such employment by submitting form HR 111-F. This finding is closed.</p>	
		<p>Finding 5 – Dual Employment: Contrary to State law, State agencies did not always document that dual employment was properly approved for employees working for more than one applicable State employer. Additionally, to ensure compliance with State laws, rules, and other guidelines, a process is needed whereby State agencies can effectively monitor the dual-employment activities of employees who have been approved to receive compensation from more than one State employer.</p> <p>Recommendation: State agencies take appropriate steps to ensure that dual-employment request are properly submitted and approved and that comprehensive records documenting all dual-employment approval be maintained.</p>	<p>CONCUR: The department’s human resource team reviews dual employment data from People First and reviews the DFS report of all DMS employees holding dual employment within the State.</p> <p>Update 06/20/2011: On June 7, 2011, the human resource team reviewed the DFS report of all DMS employees holding dual employment within State government. The report was compared with the data contained in People First. This comparison showed there were 11 DMS employees who were employed by two state agencies. The dual employment documentation for each individual was maintained in their respective personnel file. This issue is closed.</p>	
		<p>Finding 6 – Salary Calculations and Overtime Authorizations: Some salary payment calculations were incorrect.</p> <p>Recommendation: State agencies should take</p>	<p>CONCUR: In October 2008, the department’s Human Resource Team implemented internal operating procedures whereby all salaries contained in PARs are verified by an employee in the department’s</p>	

			appropriate measures to ensure that salary payments are accurately calculated based on the applicable rate of pay and actual hours worked.	Office of Planning and Budget. A second review is performed by a Human Resources Team member. Each pay period a Human Resources Team member reviews the payroll register to verify number of hours worked compared to salary paid. PARS for new employees, termination or any position or salary changes are kept in a pay period specific file folder. These documents are then used when the payroll register is reviewed for payment accuracy each pay period. This issue is closed.	
			<p>Finding 9 – Employee Out Processing: State agencies did not always document the return of State-owned property items assigned to employees upon the employees’ separation from State employment.</p> <p>Recommendation: State agencies reinforce policies requiring the use of forms designed to ensure and document the return of all State-owned property items by separating employees. State agencies should also ensure that this documentation be maintained in the separating employee’s personnel file or other identifiable location.</p>	<p>CONCUR: The department’s internal procedures require that when an employee terminates, each division completes form HR 103-F2, Employee Exit Checklist (revised on October 26, 2010). This document is sent to Human Resources where the document is filed in the terminating employee’s personnel file. To verify the supervisor has correctly completed the checklist and collected the necessary items from the employee, Human Resources compares the termination PAR to the employee file.</p> <p>Update 06/20/2011: There have been 139 terminations from July, 2010 through June 7, 2011. An Exit Checklist was completed on each of these employees. Exit checklists were compared with termination PARs to ensure these documents are completed and properly returned for all terminated employees by a Human Resource Team member.</p>	
Auditor General Report No. 2011-167 Dated: 03/29/2011	06/30/2011		<p style="text-align: center;"><u>State of Florida – Compliance and Internal Controls over Financial Reporting and Federal Awards</u></p> <p>Finding FS 10-008 – Certificates Of Participation: Amounts related to the issuance of FDMS, Florida Correctional Finance Corporation, Certificates of Participation, Series 2009B and 2009C (COPs), were incorrectly recorded.</p>	<p>CONCUR: FDMS will continue to work with FDOC to ensure accounting entries are recorded according to the applicable bond documents.</p> <p>Update 09/12/11: FDMS and FDOC are working together to ensure that the accounting entries are recorded according to the applicable bond documents. This finding is closed.</p>	

			<p>Recommendation: That in future debt issuances of this nature, FDMS and FDOC record the appropriate accounting entries in accordance with the applicable bond documents.</p>		
<p>Auditor General Report 2011-075</p> <p>Dated: 01/14/2011</p>	<p>06/30/2011</p>	<p>Bureau of Financial Management Services</p>	<p><u>Information Technology Consulting Services State Term Contract, Procurement and Expenditure Processes, and Additional Administrative Matters Operational Audit</u></p> <p>Finding 6 – Capitalization of Fixed Capital Outlay Project Expenditures: The Department did not properly record qualifying fixed capital outlay expenditures in capital asset accounts and records.</p> <p>Recommendation: That the Department review its fixed capital outlay expenditures and ensure that capital asset records have been updated in a timely manner.</p>	<p>CONCUR: The Bureau of Financial Management Services will work with the Division of Real Estate Development and Management to ensure all future fixed capital outlay expenditures in the amount of \$100,000 or more are recorded in the appropriate capital asset account per DFS policy. All tangible property discovered during the audit period will be recorded by January 31, 2011 to the property records.</p> <p>Update 01/17/2012: FMS received the necessary information from REDM and booked the required amounts in fixed capital outlay as of 6/30/11. This finding is closed.</p>	
			<p>Finding 7 – FLAIR Access: The Department did not restrict FLAIR access to only those modules necessary and compatible with an employee’s current position responsibilities. Additionally, the Department did not perform periodic reviews of FLAIR access privileges to identify and remove excess or incompatible privileges granted to employees.</p> <p>Recommendation: We recommend that the Department enhance procedures to ensure that access to FLAIR is restricted to only those modules that are necessary to and compatible with an employee’s current position responsibilities. Additionally, we recommend that the Department perform periodic reviews of FLAIR access privileges to identify and</p>	<p>CONCUR: The policies and procedures will be updated to include that the access control report will be reviewed quarterly to ensure that access to FLAIR is restricted to only the modules that are necessary to and compatible with the employee’s current responsibilities. In addition, user access will be reviewed at the time a supervisor or other management personnel request a change to a current user’s access.</p> <p>Update 07/14/2011: On June 30, 2011, the Bureau of Financial Management Services conducted and completed their first quarterly review of FLAIR access to DMS employees. The Bureau will continue to conduct quarterly</p>	

			remove any excess or incompatible privileges.	reviews of FLAIR access to ensure that access to FLAIR is restricted to the modules that an employee needs to complete their job responsibilities. This finding is closed.	
Internal Audit Report No. IA 2009-897	06/30/2011	Bureau of Financial Management Services	<p align="center"><u>Management of the Department's Delinquent Accounts Receivable</u></p> <p>Finding - No Single Entity Has Overall Responsibility and Authority for Management of the Department's Delinquent Accounts Receivables: While both departmental and program-specific policies are needed, the absence of centralized control over the department's delinquent accounts receivable has resulted in a myriad of issues:</p> <ul style="list-style-type: none"> • Delinquent accounts receivable were not always resolved timely. • Customers with significantly delinquent charges continued to receive department services. • Customers' credits on account were not always timely applied to current and/or delinquent charges or refunded to the customer. • Unapplied receipts were not timely applied to current and/or delinquent charges or refunded to the customer. • FMS' administrative policies should provide programs with additional guidance regarding due diligence in the collection of delinquent accounts receivable. • FMS' administrative policies did not provide programs with guidance regarding the referral of customers with delinquent accounts receivable to a collections agency or the use of other available legal remedies. 		

			<p>Recommendation 1: The department assign on entity the overall responsibility for ensuring that programs exercise due diligence in collecting past due accounts and appropriately manage their delinquent accounts receivables.</p>	<p>CONCUR: FMS will have the overall responsibility for ensuring that programs exercise due diligence in collecting past due accounts receivables.</p> <p>Update 03/22/12: FMS has assumed overall responsibility for ensuring that programs exercise due diligence in collecting past due accounts receivables. FMS sends monthly aging reports to the programs areas and continues to work with the programs to resolve any issues. This finding is closed.</p>	
			<p>Finding - No Single Entity Has Overall Responsibility and Authority for Management of the Department's Delinquent Accounts Receivables</p> <p>Recommendation 2: FMS revise its administrative policies to include the following:</p> <p>A requirement that programs maintain written justification for the continuation of services to customers with delinquent accounts receivable from a prior fiscal year.</p> <p>Guidelines for managing customers' credits on account and, to the extent possible, procedures for refunding unused customer credits.</p> <p>Policies for managing unapplied receipts to include the refund of any unused on-account moneys prior to the end of each fiscal year.</p> <p>A requirement that programs are responsible for establishing comprehensive written internal policies and procedures for managing their delinquent accounts receivable.</p> <p>Procedures for coordinating with the Department of Financial Services concerning the appropriate action to take with regard to quasi-governmental entities with charges that are more than 120 days past due.</p>	<p>CONCUR: FMS has recently revised /updated its administrative policy to address each of the issues discussed in the finding:</p> <ol style="list-style-type: none"> 1. Policy was updated (page 3, item 2: Stop Account) - It is the program's responsibility to terminate services or maintain written justification for the continuation of services to customers with delinquent accounts receivables from a prior fiscal year. 2. FMS, working with DMS customers, uses existing inherent authority and judgment to apply credits on accounts. 3. Policy has been updated. All credits and on account money will be refunded to the customer if they do not have any outstanding invoices. 4. Refer to policy, page 4, number 6. The division/programs are responsible for establishing comprehensive written internal procedures for managing their delinquent accounts receivable. 5. Previously implemented. DFS has directed us not to send quasi-governmental entities to collections. We are to continue efforts to collect outstanding receivables by working with agency administrators. 6. If past due accounts are not resolved within 120 days and the accounts are with a state agency, the Director of Administration will be 	

			Timeframes for 1) programs to notify management of a collections problem and 2) for executive management to resolve the problem or refer the delinquent account to the Department of Financial Services for write-off or other action, including the use of available legal remedies.	notified. The director will have 6 months to work with the state agencies to resolve the issue. If the matter is not resolved within 6 months, executive management will decide whether it will notify the DFS for other actions. Non-state and non-local government accounts will be sent to the collections agency. This finding is closed.	
			<p>Finding - No Single Entity Has Overall Responsibility and Authority for Management of the Department's Delinquent Accounts Receivables</p> <p>Recommendation 3: The Department ensure that the Bureau of Financial Management Services has sufficient resourced to implement the recommendations made in this report.</p>	<p>CONCUR: This would require at least one dedicated resource to fully implement all the recommendations to improve the status of delinquent accounts receivable. This resource will work solely on accounts receivable, accounts receivable credits, and delinquent accounts.</p> <p>Update 03/22/12: FMS is still in need of one dedicated resource to fully implement all the recommendations to improve the status of delinquent accounts receivable. Due to the current budget constraints, this finding is closed.</p>	



DEPARTMENT OF MANAGEMENT
SERVICES

Fiscal Year 2013-14

State Employee Leasing Program
(SELP)

Exhibits and Schedules



DEPARTMENT OF MANAGEMENT
SERVICES

Fiscal Year 2013-14

State Employee Leasing Program
(SELP)

Schedule I Series

SCHEDULE 1A: DETAIL OF FEE COLLECTION AND RELATED PROGRAM COSTS

Department: 72 Management Services **Budget Period:** 2013-14
Program: 72010300 State Employee Leasing Program
Fund: 2021 Administrative Trust

Specific Authority: Ch. 288.901(2), F.S.
Purpose of Fees Collected: Provides a lease agreement program that allows Enterprise Florida, Inc., to hire persons who, as of June 30, 1996, are employed by Department of Commerce or who, as of January 1, 1997, are employed by the Executive Office of the Governor (specifically the Workforce Development Board). Also provides a lease agreement program with FL BBIB, Inc., to hire persons who, as of June 30, 2002, are employed by BBIB.

Type of Fee or Program: (Check **ONE** Box and answer questions as indicated.)

<input type="checkbox"/>	Regulatory services or oversight to businesses or professions (Complete Sections I, II, and III and attach Examination of Regulatory Fees Form - Part I and II .)
<input checked="" type="checkbox"/>	Non-regulatory fees authorized to cover full cost of conducting a specific program or service. (Complete Sections I, II, and III only.)

(1)	(2)	(3)	(4)
<u>SECTION I - FEE COLLECTION</u>	ACTUAL	ESTIMATED	REQUEST
	FY 2011-12	FY 2012-13	FY 2013-14
<u>Receipts:</u>			
Reimbursement from Enterprise	258,484	229,885	231,125
Reimbursement from BBIB			
Total Fee Collection to Line (1) - Section III	258,484	229,885	231,125
<u>SECTION II - FULL COSTS</u>			
<u>Direct Costs:</u>			
Salaries and Benefits	255,295	227,075	228,315
HR Statewide Contract	177	802	802
<u>Indirect Costs Charged to Trust Fund:</u>			
Transfer to 72010100-2021-Admin.Assess.Fee	3,012	2,008	2,008
Reserve for Pay Package			
Total Full Costs to Line (2) - Section III	258,484	229,885	231,125

Basis Used: Accrual

SECTION III - SUMMARY

TOTAL SECTION I	(A)	258,484	229,885	231,125
TOTAL SECTION II	(B)	258,484	229,885	231,125
TOTAL - Surplus/Deficit	(C)	-	-	-

EXPLANATION:

Negative balances are offset by cash balance carried forward (See Schedule I)

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

Department Title:	Budget Period: 2013 - 2014
Trust Fund Title:	MANAGEMENT SERVICES
Budget Entity:	ADMINISTRATIVE TRUST
LAS/PBS Fund Number:	STATE EMPLOYEE LEASING (72010300)
	2021

	Balance as of 6/30/2012		SWFS* Adjustments		Adjusted Balance
Chief Financial Officer's (CFO) Cash Balance	939	(A)			939
ADD: Other Cash (See Instructions)		(B)			0
ADD: Investments		(C)			0
ADD: Outstanding Accounts Receivable	2,275	(D)			2,275
ADD: _____		(E)			0
Total Cash plus Accounts Receivable	3,215	(F)			3,215
LESS Allowances for Uncollectibles		(G)			0
LESS Approved "A" Certified Forwards	3,215	(H)			3,215
Approved "B" Certified Forwards		(H)			0
Approved "FCO" Certified Forwards		(H)			0
LESS: Other Accounts Payable (Nonoperating)		(I)			0
LESS: Other Accounts Payable		(J)			0
Unreserved Fund Balance, 07/01/12	0	(K)			0 **

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.



DEPARTMENT OF MANAGEMENT
SERVICES

Fiscal Year 2013-14

Facilities Management

Exhibits and Schedules



DEPARTMENT OF MANAGEMENT
SERVICES

Fiscal Year 2013-14

Facilities Management

Schedule I Series

SCHEDULE 1A: DETAIL OF FEES AND RELATED PROGRAM COSTS

Department: 72 Management Services **Budget Period:** **2013-14**
Program: 72400100 Facilities Management
Fund: 2225 Fl. Facilities Pool WCTF
Specific Authority: 255.503, F.S.
Purpose of Fees Collected: Used for Florida Facilities Pool Capital Projects not funded by a specific bond issue.

Type of Fee or Program: (Check **ONE** Box and answer questions as indicated.)

<input type="checkbox"/>	Regulatory services or oversight to businesses or professions (Complete Sections I, II, and III and attach Examination of Regulatory Fees Form - Part I and II.)
<input checked="" type="checkbox"/>	Non-regulatory fees authorized to cover full cost of conducting a specific program or service. (Complete Sections I, II, and III only.)

<u>SECTION I - FEE COLLECTION</u>	ACTUAL FY 2011-12	ESTIMATED FY 2012-13	REQUEST FY 2013-14
Receipts:			
Interest Earnings	161,597	162,000	163,000
Transfers from Debt Svc (313001)	-	-	-
Transfer in from other Agency	-	-	
Total Fee Collection to Line (A) - Section III	161,597	162,000	163,000

<u>SECTION II - FULL COSTS</u>			
Direct Costs:			
Salaries and Benefits			
Other Personal Services			
Expenses			
Operating Capital Outlay			
Fixed Capital Outlay - CCOC - DCA			-
Capitol Complex Security			-
Indirect Costs Charged to Trust Fund:			
Transfer to DFS		-	-
TR to GR-8% Srv Chrg	12,928	12,960	13,040
FCO Expenditures in Trial Balance	483,688	-	-
FCO Certified Forward	536,348	-	-
Total Full Costs to Line (B) - Section III	1,032,964	12,960	13,040

Basis Used: Accrual

<u>SECTION III - SUMMARY</u>				
TOTAL SECTION I	(A)	161,597	162,000	163,000
TOTAL SECTION II	(B)	1,032,964	12,960	13,040
TOTAL - Surplus/Deficit	(C)	(871,367)	149,040	149,960

EXPLANATION:
Negative balances are offset by cash balance carried forward (See Schedule I)

SCHEDULE 1A: DETAIL OF FEE COLLECTION AND RELATED PROGRAM COSTS

Department: 72 Management Services **Budget Period:** 2013-14
Program: 72400100 Facilities Management
Fund: 2313 Florida Facilities Pool Clearing Trust
Specific Authority: 255.251, F.S.
Purpose of Fees Collected: Used to satisfy debt service requirements, capital depreciation, and to transfer to the Div.of Fac.Mgmt. to cover cost of operations and maintenance

Type of Fee or Program: (Check **ONE** Box and answer questions as indicated.)

<input type="checkbox"/>	Regulatory services or oversight to businesses or professions (Complete Sections I, II, and III and attach Examination of Regulatory Fees Form - Part I and II.)
<input checked="" type="checkbox"/>	Non-regulatory fees authorized to cover full cost of conducting a specific program or service. (Complete Sections I, II, and III only.)

	(1)	(2)	(3)	(4)
<u>SECTION I - FEE COLLECTION</u>	ACTUAL	ESTIMATED	REQUEST	
	FY 2011-12	FY 2012-13	FY 2013-14	
<u>Receipts:</u>				
Office Space-State	96,298,146	95,970,777	96,935,108	
Interest Earnings	66,734	66,000	66,000	
Projected Rental Rate Increase				
Transfer in from DFS				
Total Fee Collection to Line (1) - Section III	96,364,880	96,036,777	97,001,108	

SECTION II - FULL COSTS

Direct Costs:

Salaries and Benefits			
Other Personal Services			
Expenses			
Operating Capital Outlay			
Fixed Capital Outlay (Debt Service)	38,239,062	38,255,689	38,174,579

Indirect Costs Charged to Trust Fund:

Payments to SBA-Capital Deprec.Resrv.	8,300,906	8,147,965	8,047,781
Payments to SBA-Operations/Maint.	49,625,000	49,567,123	50,712,748
Pymts to SBA-Admin Fee			
FCO Budget on Schedule 1 to FCO Exp	(30)	-	-
Adjustment to CFO Beg Bal	41,284,645		

Total Full Costs to Line (2) - Section III **137,449,583** **95,970,777** **96,935,108**

Basis Used:

Accrual

SECTION III - SUMMARY

TOTAL SECTION I	(A)	96,364,880	96,036,777	97,001,108
TOTAL SECTION II	(B)	137,449,583	95,970,777	96,935,108
TOTAL - Surplus/Deficit	(C)	(41,084,703)	66,000	66,000

EXPLANATION:

Negative balance is offset by cash balance carried forward

SCHEDULE 1A: DETAIL OF FEES AND RELATED PROGRAM COSTS

Department: 72 Management Services **Budget Period:** 2013-14
Program: 72400100 Facilities Management
Fund: 2495 Public Facilities Fin TF
Specific Authority: 255.518, F.S.
Purpose of Fees Collected: Receives bond proceeds from sale of bond issues. Used for construction of DMS facilities.

Type of Fee or Program: (Check **ONE** Box and answer questions as indicated.)

<input type="checkbox"/>	Regulatory services or oversight to businesses or professions (Complete Sections I, II, and III and attach Examination of Regulatory Fees Form - Part I and II.)
<input checked="" type="checkbox"/>	Non-regulatory fees authorized to cover full cost of conducting a specific program or service. (Complete Sections I, II, and III only.)

<u>SECTION I - FEE COLLECTION</u>	ACTUAL	ESTIMATED	REQUEST
	FY 2011-12	FY 2012-13	FY 2013-14
<u>Receipts:</u>			
Interest Earnings	61,746	61,000	61,000
Bond Proceeds	-		
Total Fee Collection to Line (A) - Section I	61,746	61,000	61,000

<u>SECTION II - FULL COSTS</u>			
<u>Direct Costs:</u>			
Salaries and Benefits			
Other Personal Services			
Expenses			
Operating Capital Outlay			
Fixed Capital Outlay			
<u>Indirect Costs Charged to Trust Fund:</u>			
FCO Expenditures in Trial Balance	1,698,647		
FCO Appropriation Certified Forward	36,732		
Payment to SBA - 310229	-		
FCO Accounts Payable/495014	-		
CPC Activity in Fund Per SWFS	174,098,757		
Total Full Costs to Line (B) - Section II	175,834,136	-	-

Basis Used: Accrual

<u>SECTION III - SUMMARY</u>			
TOTAL SECTION I	(A)	61,746	61,000
TOTAL SECTION II	(B)	175,834,136	-
TOTAL - Surplus/Deficit	(C)	(175,772,390)	61,000

EXPLANATION:
Negative balance is offset by cash balance brought forward (See Schedule I)

SCHEDULE 1A: DETAIL OF FEES AND RELATED PROGRAM COSTS

Department: 72 Management Services **Budget Period:** **2013-14**
Program: 72400100 Facilities Management
Fund: 2510 Operating Trust
Specific Authority: 2006-79 Laws of Florida
Purpose of Fees Collected: Various

Type of Fee or Program: (Check **ONE** Box and answer questions as indicated.)

<input type="checkbox"/>	Regulatory services or oversight to businesses or professions (Complete Sections I, II, and III and attach Examination of Regulatory Fees Form - Part I and II)
<input checked="" type="checkbox"/>	Non-regulatory fees authorized to cover full cost of conducting a specific program or service. (Complete Sections I, II, and III only.)

SECTION I - FEE COLLECTION

	ACTUAL FY 2011-12	ESTIMATED FY 2012-13	REQUEST FY 2013-14
<u>Receipts:</u>			
Transfer In for Tenant Improvements	-		-
Interest Earnings	94,683	95,000	95,000
Tenant Improvements Revenues	500,000		
Total Fee Collection to Line (A) - Section III	594,683	95,000	95,000

SECTION II - FULL COSTS

Direct Costs:

Salaries and Benefits			
Other Personal Services			
Expenses			
Operating Capital Outlay			
S.C.:Master Lease Space Tenant Imprv.	395,475	754,367	1,535,738
S.C.:Tenant Broker Commissions			-

Indirect Costs Charged to Trust Fund:

Certified forward Reversions 9/30/2012		(5,565)	
6/30/2011 Cert Forward B Paid	14,085		
TR to GR-8% Service Charge	7,575	7,600	7,600
Total Full Costs to Line (B) - Section III	417,134	756,402	1,543,338

Basis Used: Accrual

SECTION III - SUMMARY

TOTAL SECTION I	(A)	594,683	95,000	95,000
TOTAL SECTION II	(B)	417,134	756,402	1,543,338
TOTAL - Surplus/Deficit	(C)	177,549	(661,402)	(1,448,338)

EXPLANATION:

Negative balances are offset by cash balance carried forward (See Schedule I)
 See 2339 for Actual FY 2005-06 and Estimated FY 2006-07 Information

SCHEDULE 1A: DETAIL OF FEE COLLECTION AND RELATED PROGRAM COSTS

Department: 72 Management Services **Budget Period:** 2013-14
Program: 72400100 Facilities Management
Fund: 2696 Supervision Trust
Specific Authority: 255, F.S.
Purpose of Fees Collected: To provide funds for the operation, maintenance, parking, security, and administration of state-owned facilities controlled by the Department of Management Services.

Type of Fee or Program: (Check **ONE** Box and answer questions as indicated.)

<input type="checkbox"/>	Regulatory services or oversight to businesses or professions (Complete Sections I, II, and III and attach Examination of Regulatory Fees Form - Part I and II .)
<input checked="" type="checkbox"/>	Non-regulatory fees authorized to cover full cost of conducting a specific program or service. (Complete Sections I, II, and III only.)

	(1)	(2)	(3)	(4)
SECTION I - FEE COLLECTION		ACTUAL	ESTIMATED	REQUEST
		FY 2011 - 12	FY 2012 - 13	FY 2013-14
Receipts:				
SEE ATTACHED LISTING				
Total Fee Collection to Line (1) - Section III		69,322,895	59,355,973	60,109,333

SECTION II - FULL COSTS

Direct Costs:				
Salaries and Benefits		12,182,364	12,787,821	12,942,721
Other Personal Services		4,917	17,000	17,000
Expenses		4,577,522	4,511,753	4,511,753
Operating Capital Outlay		73,563	73,727	73,727
Transfer to FDLE-Capitol Police		5,843,519	5,887,512	5,937,982
Contracted Services		8,594,964	8,895,794	8,895,794
DMS/Facilities Security		1,022,447	1,148,387	1,148,387
Interior Reburishment / Lease		1,442,823	1,429,509	1,406,157
Risk Management Insurance		413,226	394,386	394,386
State Utility Payments		14,123,099	19,348,977	19,348,977
Capitol Repairs		50,000	50,000	50,000
Contracted Legal Services				
Deferred-Pay Com Contracts		1,032,208	1,657,550	1,657,550
Lease/Purchase/Equipment			73,318	73,318
HR Statewide Contract		91,577	91,737	91,737
Transfer to DEP		362,150		
Data Processing-SSRC		79,174	46,375	46,495
Fixed Capital Outlay		8,300,906	8,147,965	8,047,781

Indirect Costs Charged to Trust Fund:

TR/DMS Administrative Trust Fund		2,148,971	1,961,966	2,295,500
TR to GR - 8% Srv Chrg		101,839	94,901	91,534
Refunds		79,762		
Used interest earnings to fund 3% Retirement Issu		500,000		
Installment Purchase Contract in Beg Bal		(662,623)		
Comp Leave Liability in Beg Bal		(360,446)		
Cert. Forward A Reversions @ 9/30/2011		(80,240)		
Cert. Forward Reversions @ 9/30/2012			(119,463)	
6/30/2011 CF B paid		97,895		
6/30/2011 A/P NOT CF		(569)		
FCO Expenditures in Trial Balance		6,872,038		
FCO Certified Forward		9,711,044		
FCO Budget Amount on Schedule 1		8,300,906		
Estimated Utilities Reversions		-	(4,943,416)	(4,511,249)
Total Full Costs to Line (2) - Section III		84,903,037	61,555,799	62,519,550

Basis Used: Accrual

SECTION III - SUMMARY

TOTAL SECTION I	(A)	69,322,895	59,355,973	60,109,333
TOTAL SECTION II	(B)	84,903,037	61,555,799	62,519,550
TOTAL - Surplus/Deficit	(C)	(15,580,142)	(2,199,826)	(2,410,217)

EXPLANATION:

Negative balances are offset by cash balance carried forward (See Schedule I)

SCHEDULE 1A: DETAIL OF FEE COLLECTION AND RELATED PROGRAM COSTS

Department: 72 Management Services **Budget Period: 2013-14**
Program: 72400100 Facilities Management
Fund: 2696 Supervision Trust

Specific Authority: 255, F.S.

Purpose of Fees Collected: To provide funds for the operation, maintenance, parking, security, and administration of state-owned facilities controlled by the Department of Management Services.

(1)	(2)	(3)	(4)
<u>SECTION I - FEE COLLECTION</u>	ACTUAL	ESTIMATED	REQUEST
	FY 2011 - 12	FY 2012 - 13	FY 2013-14
<u>Receipts:</u>			
Transfer from SBA - O&M	51,576,865	49,567,123	50,712,748
Transfer from SBA-Cap. Dep.	16,011,747	8,147,965	8,047,781
Transfer from SBA-Cap. Dep. for Backlog			
Transfer of Interest Earnings from other TF		250,000	
Central Maintenance Facility			
Interest Earnings-Oper & Maint	578,609	511,858	469,777
Utility Collections & Landscaping	44,013	44,013	44,013
Misc.Services-Build.Tenants	1,820	1,820	1,820
Rental Receipts	31,050	31,050	31,050
Transfer from SBA to use Cash Balance			
Reimbursements & Refunds	276,647		
Projected Rental Rate Increase	-		
Paid Parking Fees-State Agencies	127,744	127,744	127,744
Paid Parking Fees - Non-State	68,240	68,240	68,240
Paid Parking Fees-Employees	606,160	606,160	606,160
Total Fee Collection to Line (1) - Section III	69,322,895	59,355,973	60,109,333

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

Department Title:	Budget Period: 2013-2014
Trust Fund Title:	MANAGEMENT SERVICES
Budget Entity:	FL FAC POOL WCTF
LAS/PBS Fund Number:	FACILITIES MANAGEMENT (72400100)
	2225

	Balance as of 6/30/2012		SWFS* Adjustments		Adjusted Balance
Chief Financial Officer's (CFO) Cash Balance	9,433	(A)			9,433
ADD: Other Cash (See Instructions)		(B)			0
ADD: Investments	7,124,682	(C)			7,124,682
ADD: Outstanding Accounts Receivable	13,399	(D)			13,399
ADD: _____		(E)			0
Total Cash plus Accounts Receivable	7,147,515	(F)			7,147,515
LESS Allowances for Uncollectibles		(G)			0
LESS Approved "A" Certified Forwards		(H)			0
Approved "B" Certified Forwards		(H)			0
Approved "FCO" Certified Forwards	536,348	(H)			536,348
LESS: Other Accounts Payable (Nonoperating)	3,652	(I)			3,652
LESS: <u>Other Accounts Payable</u>	0	(J)			0
Unreserved Fund Balance, 07/01/11	6,607,515	(K)			6,607,515 **

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.

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

Budget Period: 2013 - 2014

Department Title:

MANAGEMENT SERVICES

Trust Fund Title:

FL FAC POOL CLEARING TRUST

Budget Entity:

FACILITIES MANAGEMENT (72400100)

LAS/PBS Fund Number:

2313

	Balance as of 6/30/2012		SWFS* Adjustments	Adjusted Balance
Chief Financial Officer's (CFO) Cash Balance	1,712,926	(A)		1,712,926
ADD: Other Cash (See Instructions)	986,188	(B)		986,188
ADD: Investments	32,723,644	(C)		32,723,644
ADD: Outstanding Accounts Receivable	977,145	(D)	-	977,145
ADD: _____		(E)		0
Total Cash plus Accounts Receivable	36,399,903	(F)	0	36,399,903
LESS Unearned Revenue	1,825,526	(G)		1,825,526
LESS Approved "A" Certified Forwards		(H)		0
Approved "B" Certified Forwards		(H)		0
Debt Service-Restricted Asset	2,456,895	(H)		2,456,895
LESS: Other Accounts Payable (Debt Service in T	27,036,349	(I)		27,036,349
LESS: Other Accounts Payable (Debt Service)	0	(I)		0
July & August Interest Payment not in TB	2,800,674	(I)		2,800,674
LESS: <u>Other Accounts Payable</u>	1,814,016	(J)		1,814,016
Unreserved Fund Balance, 07/01/12	466,443	(K)	0	466,443 **

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.

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

Budget Period: 2013 - 2014

Department Title:	MANAGEMENT SERVICES
Trust Fund Title:	PUBLIC FACILITIES FINANCING TRUST
Budget Entity:	FACILITIES MANAGEMENT (72400100)
LAS/PBS Fund Number:	2495

	Balance as of 6/30/2012		SWFS* Adjustments		Adjusted Balance
Chief Financial Officer's (CFO) Cash Balance	0	(A)			0
ADD: Other Cash (See Instructions)		(B)			0
ADD: Investments	2,577,251	(C)			2,577,251
ADD: Outstanding Accounts Receivable	4,847	(D)			4,847
ADD: _____		(E)			0
Total Cash plus Accounts Receivable	2,582,098	(F)			2,582,098
LESS Allowances for Uncollectibles		(G)			0
LESS Approved "A" Certified Forwards		(H)			0
Approved "B" Certified Forwards		(H)			0
Approved "FCO" Certified Forwards	36,732	(H)			36,732
LESS: Other Accounts Payable (Non Operating)	258	(I)			258
LESS: <u>Other Accounts Payable</u>		(J)			0
Unreserved Fund Balance, 07/01/12	2,545,109	(K)			2,545,109**

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.

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

Department Title:	Budget Period: 2013 - 2014
Trust Fund Title:	MANAGEMENT SERVICES
Budget Entity:	OPERATING TRUST
LAS/PBS Fund Number:	FACILITIES MANAGEMENT (72400100)
	2510

	Balance as of 6/30/2012	SWFS* Adjustments	Adjusted Balance
Chief Financial Officer's (CFO) Cash Balance	0		0
ADD: Other Cash (See Instructions)	(B)		0
ADD: Investments	4,285,022 (C)		4,285,022
ADD: Outstanding Accounts Receivable	8,112 (D)		8,112
ADD: _____	(E)		0
Total Cash plus Accounts Receivable	4,293,135 (F)		4,293,135
LESS Allowances for Uncollectibles	(G)		0
LESS Approved "A" Certified Forwards	266,767 (H)		266,767
Approved "B" Certified Forwards	83,448 (H)		83,448
Approved "FCO" Certified Forwards	(H)		0
LESS: Other Accounts Payable (Non Operating)	2,215 (I)		2,215
LESS: <u>Other Accounts Payable</u>	(J)		0
Unreserved Fund Balance, 07/01/12	3,940,704.49 (K)		3,940,704**

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.

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

Department Title:	Budget Period: 2013- 2014
Trust Fund Title:	MANAGEMENT SERVICES
Budget Entity:	SUPERVISION TRUST
LAS/PBS Fund Number:	FACILITIES MANAGEMENT (72400100)
	2696

	Balance as of 6/30/2012	SWFS* Adjustments	Adjusted Balance
Chief Financial Officer's (CFO) Cash Balance	472,799 (A)		472,799
ADD: Other Cash (See Instructions)			0
ADD: Investments	20,490,601 (C)		20,490,601
ADD: Outstanding Accounts Receivable	1,923,444 (D)	0	1,923,444
ADD: <u>Restricted Investments at Cost, SBA</u>	9,711,044 (E)		9,711,044
Total Cash plus Accounts Receivable	32,597,887 (F)	0	32,597,887
LESS Allowances for Uncollectibles			0
LESS Approved "A" Certified Forwards	3,534,589 (H)		3,534,589
Approved "B" Certified Forwards	253,975 (H)		253,975
Approved "FCO" Certified Forwards	9,711,044 (H)		9,711,044
LESS: Other Accounts Payable (Non Operating)	991,706 (I)	2,389,266	3,380,972
LESS: Other Accounts Payable		0	0
LESS: <u>Deferred Revenue</u>	630,755 (J)		630,755
Unreserved Fund Balance, 07/01/12	17,475,817.87 (K)	-2,389,266	15,086,552 **

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: 2013 - 2014

Department Title:	720000 MANAGEMENT SERVICES
Trust Fund Title:	Florida Facilities Pool Working Capital Trust Fund
LAS/PBS Fund Number:	2225

BEGINNING TRIAL BALANCE:

Unreserved Fund Balance Per Trial Balance, 07-01-12	7,143,862	(A)
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Add/Subtract:

Compensated Leave Liability in FLAIR Not on Schedule 1C	0.00	(B)
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FCO Certified Forward recored on Schedule 1C Not Recorded in FLAIR	(536,348)	
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Other Adjustment(s):

Statewide Post Closing adjustment to Accounts Receivable		(C)
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		(C)
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ADJUSTED BEGINNING TRIAL BALANCE:	6,607,515	(D)
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UNRESERVED FUND BALANCE, SCHEDULE IC	6,607,515	(E)
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DIFFERENCE:	0	(F)*
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***SHOULD EQUAL ZERO.**

RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC

Budget Period: 2013 - 2014

Department Title:	720000 MANAGEMENT SERVICES
Trust Fund Title:	Florida Facilities Pool Clearing Trust Fund
LAS/PBS Fund Number:	2313

BEGINNING TRIAL BALANCE:

Unreserved Fund Balance Per Trial Balance, 07-01-12 32,039,885.70 (A)

Add/Subtract:

The Florida Facilities Pool Trust Fund (B)
unencumbered cash balance will not
equal the retained earnings unreserved
in FLAIR because bond liabilities are
recorded in this fund but the assets
are recorded in the Supervision Trust Fund
The Florida Facilities Pool Trust Funds
are consolidated for Statewide Financial Purposes.
All assets in this fund is considered
to be a restricted asset per the
Bond Covenants. (31,593,443.00)

Other Adjustment(s):

Statewide Post Closing Adjustment @ June 30, 2012 (C)

ADJUSTED BEGINNING TRIAL BALANCE: 446,443 (D)

UNRESERVED FUND BALANCE, SCHEDULE IC 446,443 (E)

DIFFERENCE: (0) (F)*

***SHOULD EQUAL ZERO.**

RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC

Budget Period: 2013 - 2014

Department Title:	720000 MANAGEMENT SERVICES
Trust Fund Title:	Public Facilities Financing Trust Fund
LAS/PBS Fund Number:	2495

BEGINNING TRIAL BALANCE:

495XXX Unreserved Fund Balance Per Trial Balance, 07-01-11	0.00	(A)
495016 Unreserved Fund Balance Per Trial Balance, 07-01-11	229,969.16	
495017 Unreserved Fund Balance Per Trial Balance, 07-01-11	538,079.98	
495018 Unreserved Fund Balance Per Trial Balance, 07-01-11	964,995.25	
495019 Unreserved Fund Balance Per Trial Balance, 07-01-11	848,796.22	
495001 Unreserved Fund Balance Per Trial Balance, 07-01-11	86,677,573.97	

Add/Subtract:

Accounts Payable in FLAIR Not on Schedule 1C	<input type="text"/>
FCO Certified Forward on Schedule 1C Not in FLAIR	<input type="text" value="(36,731.92)"/>
Bureau of Private Prisons Facilities Financing Provided by Department Of Corrections	<input type="text" value="(86,677,573.97)"/>

Other Adjustment(s):

Statewide Post Closing Adjustment @ June 30, 2012	<input type="text"/>	(C)
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ADJUSTED BEGINNING TRIAL BALANCE:	2,545,109	(D)
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UNRESERVED FUND BALANCE, SCHEDULE IC	2,545,109	(E)
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DIFFERENCE:	(0)	(F)*
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***SHOULD EQUAL ZERO.**

RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC

Budget Period: 2013 - 2014

Department Title:	720000 MANAGEMENT SERVICES
Trust Fund Title:	Facilities Grants & Donations Capital Trust Fund
LAS/PBS Fund Number:	2510

BEGINNING TRIAL BALANCE:

Unreserved Fund Balance Per Trial Balance, 07-01-12	4,024,153	(A)
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Add/Subtract:

Compensated Leave Liability in FLAIR Not on Schedule 1C	0.00	(B)
--	------	-----

Certified Forward B recored on Schedule 1C Not Recorded in FLAIR	(83,448)	
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Other Adjustment(s):

Statewide Post Closing adjustment to Accounts Receivable		(C)
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ADJUSTED BEGINNING TRIAL BALANCE:	3,940,704	(D)
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UNRESERVED FUND BALANCE, SCHEDULE IC	3,940,704	(E)
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DIFFERENCE:	0	(F)*
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***SHOULD EQUAL ZERO.**

RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC

Budget Period: 2013 - 2014

Department Title:	720000 MANAGEMENT SERVICES
Trust Fund Title:	Supervision Trust Fund
LAS/PBS Fund Number:	2696

BEGINNING TRIAL BALANCE:

Unreserved Fund Balance Per Trial Balance, 07-01-12	16,079,734 (A)
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Add/Subtract:

	(B)
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Certified Forward Bs Included On Schedule 1C/ Not Included In FLAIR Retained Earnings Unreserved	(253,975)
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Compensated Absences Liability Recorded In FLAIR/ Not Recorded On Schedule 1C	1,649,384
--	-----------

Accounts Payable not Certified Forward in FLAIR Not on Schedule 1C	675
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Other Adjustment(s):

Statewide Post Closing Adjustment @ June 30, 2012	(2,389,266.00) (C)
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ADJUSTED BEGINNING TRIAL BALANCE:	15,086,552 (D)
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UNRESERVED FUND BALANCE, SCHEDULE IC	15,086,552 (E)
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DIFFERENCE:	(0) (F)*
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***SHOULD EQUAL ZERO.**

SCHEDULE VI: DETAIL OF DEBT SERVICE

Department: MANAGEMENT SERVICES **Budget Period 2013 -2014**
Budget Entity: FACILITIES MANAGEMENT/72400100 **SERIES 1998**

(1)	(2)	(3)	(4)
	ACTUAL	ESTIMATED	REQUEST
<u>SECTION I</u>	FY 2011-2012	FY 2012-2013	FY 2013-2014
Interest on Debt (A)	1,918,136	1,842,356	1,761,426
Principal (B)	1,710,000	1,790,000	1,870,000
Repayment of Loans (C)			
Fiscal Agent or Other Fee: (D)			
Other Debt Service (E)			
Total Debt Service (F)	3,628,136	3,632,356	3,631,426

Explanation: Florida Facilities Pool Bonds were issued to provide funds for the acquisition and construction of facilities to be leased to State agencies. The bonds, serial and term, are secured by a pledge of the revenues, derived from the leasing and operations of these facilities.

SECTION II

ISSUE:

(1)	(2)	(3)	(4)	(5)
INTEREST RATE	MATURITY DATE	ISSUE AMOUNT	JUNE 30, 20__	JUNE 30, 20__
(6)		(7)	(8)	(9)
		ACTUAL	ESTIMATED	REQUEST
		FY 20__ - __	FY 20__ - __	FY 20__ - __
Interest on Debt (G)				
Principal (H)				
Fiscal Agent or Other Fee: (I)				
Other (J)				
Total Debt Service (K)				

ISSUE:

INTEREST RATE	MATURITY DATE	ISSUE AMOUNT	JUNE 30, 20__	JUNE 30, 20__
		ACTUAL	ESTIMATED	REQUEST
		FY 20__ - __	FY 20__ - __	FY 20__ - __
Interest on Debt (G)				
Principal (H)				
Fiscal Agent or Other Fee: (I)				
Other (J)				
Total Debt Service (K)				

SCHEDULE VI: DETAIL OF DEBT SERVICE

Department: MANAGEMENT SERVICES **Budget Period 2013 -2014**
Budget Entity: FACILITIES MANAGEMENT/72400100 **SERIES 1999**

(1)	(2)	(3)	(4)
SECTION I	ACTUAL	ESTIMATED	REQUEST
	FY 2011-2012	FY 2012-2013	FY 2013-2014
Interest on Debt (A)	749,563	711,988	671,508
Principal (B)	835,000	880,000	910,000
Repayment of Loans (C)			
Fiscal Agent or Other Fee: (D)			
Other Debt Service (E)			
Total Debt Service (F)	1,584,563	1,591,988	1,581,508

Explanation: Florida Facilities Pool Bonds were issued to provide funds for the acquisition and construction of facilities to be leased to State agencies. The bonds, serial and term, are secured by a pledge of the revenues, derived from the leasing and operations of these facilities.

SECTION II

ISSUE:

(1)	(2)	(3)	(4)	(5)
INTEREST RATE	MATURITY DATE	ISSUE AMOUNT	JUNE 30, 20__	JUNE 30, 20__
(6)		(7)	(8)	(9)
		ACTUAL	ESTIMATED	REQUEST
		FY 20__ - __	FY 20__ - __	FY 20__ - __
Interest on Debt (G)				
Principal (H)				
Fiscal Agent or Other Fee: (I)				
Other (J)				
Total Debt Service (K)				

ISSUE:

INTEREST RATE	MATURITY DATE	ISSUE AMOUNT	JUNE 30, 20__	JUNE 30, 20__
		ACTUAL	ESTIMATED	REQUEST
		FY 20__ - __	FY 20__ - __	FY 20__ - __
Interest on Debt (G)				
Principal (H)				
Fiscal Agent or Other Fee: (I)				
Other (J)				
Total Debt Service (K)				

SCHEDULE VI: DETAIL OF DEBT SERVICE

Department: MANAGEMENT SERVICES **Budget Period 2013 -2014**
Budget Entity: FACILITIES MANAGEMENT/72400100 **SERIES 2002**

(1)	(2)	(3)	(4)
	ACTUAL	ESTIMATED	REQUEST
SECTION I	FY 2011-2012	FY 2012-2013	FY 2013-2014
Interest on Debt (A)	1,354,256	1,271,056	1,190,056
Principal (B)	2,080,000	2,160,000	2,185,000
Repayment of Loans (C)			
Fiscal Agent or Other Fee: (D)			
Other Debt Service (E)			
Total Debt Service (F)	3,434,256	3,431,056	3,375,056

Explanation: Florida Facilities Pool Bonds were issued to provide funds for the acquisition and construction of facilities to be leased to State agencies. The bonds, serial and term, are secured by a pledge of the revenues, derived from the leasing and operations of these facilities.

SECTION II

ISSUE:

(1)	(2)	(3)	(4)	(5)
INTEREST RATE	MATURITY DATE	ISSUE AMOUNT	JUNE 30, 20__	JUNE 30, 20__
(6)		(7)	(8)	(9)
		ACTUAL	ESTIMATED	REQUEST
		FY 20__ - __	FY 20__ - __	FY 20__ - __
Interest on Debt (G)				
Principal (H)				
Fiscal Agent or Other Fee: (I)				
Other (J)				
Total Debt Service (K)				

ISSUE:

(1)	(2)	(3)	(4)	(5)
INTEREST RATE	MATURITY DATE	ISSUE AMOUNT	JUNE 30, 20__	JUNE 30, 20__
		(7)	(8)	(9)
		ACTUAL	ESTIMATED	REQUEST
		FY 20__ - __	FY 20__ - __	FY 20__ - __
Interest on Debt (G)				
Principal (H)				
Fiscal Agent or Other Fee: (I)				
Other (J)				
Total Debt Service (K)				

SCHEDULE VI: DETAIL OF DEBT SERVICE

Department: MANAGEMENT SERVICES **Budget Period 2013 -2014**
Budget Entity: FACILITIES MANAGEMENT/72400100 **SERIES 2003**

(1)	(2)	(3)	(4)
	ACTUAL	ESTIMATED	REQUEST
<u>SECTION I</u>	FY 2011-2012	FY 2012-2013	FY 2013-2014
Interest on Debt (A)	2,741,813	2,281,125	1,796,550
Principal (B)	8,775,000	9,230,000	9,710,000
Repayment of Loans (C)			
Fiscal Agent or Other Fee: (D)			
Other Debt Service (E)			
Total Debt Service (F)	11,516,813	11,511,125	11,506,550

Explanation: Florida Facilities Pool Bonds were issued to provide funds for the acquisition and construction of facilities to be leased to State agencies. The bonds, serial and term, are secured by a pledge of the revenues, derived from the leasing and operations of these facilities.

SECTION II

ISSUE:

(1)	(2)	(3)	(4)	(5)
INTEREST RATE	MATURITY DATE	ISSUE AMOUNT	JUNE 30, 20__	JUNE 30, 20__
(6)		(7)	(8)	(9)
		ACTUAL	ESTIMATED	REQUEST
		FY 20__ - __	FY 20__ - __	FY 20__ - __
Interest on Debt (G)				
Principal (H)				
Fiscal Agent or Other Fee: (I)				
Other (J)				
Total Debt Service (K)				

ISSUE:

INTEREST RATE	MATURITY DATE	ISSUE AMOUNT	JUNE 30, 20__	JUNE 30, 20__
		ACTUAL	ESTIMATED	REQUEST
		FY 20__ - __	FY 20__ - __	FY 20__ - __
Interest on Debt (G)				
Principal (H)				
Fiscal Agent or Other Fee: (I)				
Other (J)				
Total Debt Service (K)				

SCHEDULE VI: DETAIL OF DEBT SERVICE

Department: MANAGEMENT SERVICES **Budget Period 2013 -2014**
Budget Entity: FACILITIES MANAGEMENT/72400100 **SERIES 2005**

(1)	(2)	(3)	(4)
	ACTUAL	ESTIMATED	REQUEST
SECTION I	FY 2011-2012	FY 2012-2013	FY 2013-2014
Interest on Debt (A)	4,471,144	4,205,394	3,925,894
Principal (B)	5,315,000	5,590,000	5,865,000
Repayment of Loans (C)			
Fiscal Agent or Other Fee: (D)			
Other Debt Service (E)			
Total Debt Service (F)	9,786,144	9,795,394	9,790,894

Explanation: Florida Facilities Pool Bonds were issued to provide funds for the acquisition and construction of facilities to be leased to State agencies. The bonds, serial and term, are secured by a pledge of the revenues, derived from the leasing and operations of these facilities.

SECTION II

ISSUE:

(1)	(2)	(3)	(4)	(5)
INTEREST RATE	MATURITY DATE	ISSUE AMOUNT	JUNE 30, 20__	JUNE 30, 20__
(6)		(7)	(8)	(9)
		ACTUAL	ESTIMATED	REQUEST
		FY 20__ - __	FY 20__ - __	FY 20__ - __
Interest on Debt (G)				
Principal (H)				
Fiscal Agent or Other Fee: (I)				
Other (J)				
Total Debt Service (K)				

ISSUE:

(1)	(2)	(3)	(4)	(5)
INTEREST RATE	MATURITY DATE	ISSUE AMOUNT	JUNE 30, 20__	JUNE 30, 20__
(6)		(7)	(8)	(9)
		ACTUAL	ESTIMATED	REQUEST
		FY 20__ - __	FY 20__ - __	FY 20__ - __
Interest on Debt (G)				
Principal (H)				
Fiscal Agent or Other Fee: (I)				
Other (J)				
Total Debt Service (K)				

SCHEDULE VI: DETAIL OF DEBT SERVICE

Department: MANAGEMENT SERVICES **Budget Period 2013 -2014**
Budget Entity: FACILITIES MANAGEMENT/72400100 **SERIES 2007**

(1)	(2)	(3)	(4)
	ACTUAL	ESTIMATED	REQUEST
<u>SECTION I</u>	FY 2011-2012	FY 2012-2013	FY 2013-2014
Interest on Debt (A)	3,765,881	3,684,681	3,600,101
Principal (B)	2,030,000	2,115,000	2,195,000
Repayment of Loans (C)			
Fiscal Agent or Other Fee: (D)			
Other Debt Service (E)			
Total Debt Service (F)	5,795,881	5,799,681	5,795,101

Explanation: Florida Facilities Pool Bonds were issued to provide funds for the acquisition and construction of facilities to be leased to State agencies. The bonds, serial and term, are secured by a pledge of the revenues, derived from the leasing and operations of these facilities.

SECTION II

ISSUE:

(1)	(2)	(3)	(4)	(5)
INTEREST RATE	MATURITY DATE	ISSUE AMOUNT	JUNE 30, 20__	JUNE 30, 20__
(6)		(7)	(8)	(9)
		ACTUAL	ESTIMATED	REQUEST
		FY 20__ - __	FY 20__ - __	FY 20__ - __
Interest on Debt (G)				
Principal (H)				
Fiscal Agent or Other Fee: (I)				
Other (J)				
Total Debt Service (K)				

ISSUE:

INTEREST RATE	MATURITY DATE	ISSUE AMOUNT	JUNE 30, 20__	JUNE 30, 20__
		ACTUAL	ESTIMATED	REQUEST
		FY 20__ - __	FY 20__ - __	FY 20__ - __
Interest on Debt (G)				
Principal (H)				
Fiscal Agent or Other Fee: (I)				
Other (J)				
Total Debt Service (K)				

SCHEDULE VI: DETAIL OF DEBT SERVICE

Department: MANAGEMENT SERVICES **Budget Period 2013 -2014**
Budget Entity: FACILITIES MANAGEMENT/72400100 **SERIES 2008**

(1)	(2)	(3)	(4)
	ACTUAL	ESTIMATED	REQUEST
SECTION I	FY 2011-2012	FY 2012-2013	FY 2013-2014
Interest on Debt (A)	1,803,238	1,779,088	1,754,063
Principal (B)	690,000	715,000	740,000
Repayment of Loans (C)			
Fiscal Agent or Other Fee: (D)			
Other Debt Service (E)			
Total Debt Service (F)	2,493,238	2,494,088	2,494,063

Explanation: Florida Facilities Pool Bonds were issued to provide funds for the acquisition and construction of facilities to be leased to State agencies. The bonds, serial and term, are secured by a pledge of the revenues, derived from the leasing and operations of these facilities.

SECTION II

ISSUE:

(1)	(2)	(3)	(4)	(5)
INTEREST RATE	MATURITY DATE	ISSUE AMOUNT	JUNE 30, 20__	JUNE 30, 20__
(6)		(7)	(8)	(9)
		ACTUAL	ESTIMATED	REQUEST
		FY 20__ - __	FY 20__ - __	FY 20__ - __
Interest on Debt (G)				
Principal (H)				
Fiscal Agent or Other Fee: (I)				
Other (J)				
Total Debt Service (K)				

ISSUE:

(1)	(2)	(3)	(4)	(5)
INTEREST RATE	MATURITY DATE	ISSUE AMOUNT	JUNE 30, 20__	JUNE 30, 20__
(6)		(7)	(8)	(9)
		ACTUAL	ESTIMATED	REQUEST
		FY 20__ - __	FY 20__ - __	FY 20__ - __
Interest on Debt (G)				
Principal (H)				
Fiscal Agent or Other Fee: (I)				
Other (J)				
Total Debt Service (K)				

SCHEDULE IX: MAJOR AUDIT FINDINGS AND RECOMMENDATIONS

Budget Period: 2013-2014

Department: Management Services

Chief Internal Auditor: John W. Davis

Budget Entity: Facilities Management

Phone Number: (850) 487-9476

(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 are no issues or findings to report for Facilities Management.		



DEPARTMENT OF MANAGEMENT
SERVICES

Fiscal Year 2013-14

Building Construction

Exhibits and Schedules



DEPARTMENT OF MANAGEMENT
SERVICES

Fiscal Year 2013-14

Building Construction

Schedule I Series

SCHEDULE 1A: DETAIL OF FEE COLLECTION AND RELATED PROGRAM COSTS

Department: 72 Management Services **Budget Period: 2013-14**
Program: 72400200 Building Construction
Fund: 2033 Architects' Incidental Trust
Specific Authority: 255, F.S.
Purpose of Fees Collected: To provide funds for the administration and supervision of planning, design and construction of state-owned facilities.

Type of Fee or Program: (Check **ONE** Box and answer questions as indicated.)

<input type="checkbox"/>	Regulatory services or oversight to businesses or professions (Complete Sections I, II, and III and attach Examination of Regulatory Fees Form - Part I and II.)
<input checked="" type="checkbox"/>	Non-regulatory fees authorized to cover full cost of conducting a specific program or service. (Complete Sections I, II, and III only.)

	(1)	(2)	(3)	(4)
<u>SECTION I - FEE COLLECTION</u>		ACTUAL	ESTIMATED	REQUEST
		FY 2011 -12	FY 2012 -13	FY 2013-14
Receipts:				
SEE ATTACHED LISTING				
Total Fee Collection to Line (1) - Section III		454,306	829,000	826,500

<u>SECTION II - FULL COSTS</u>				
Direct Costs:				
Salaries and Benefits		601,944	711,492	717,452
Other Personal Services		-		
Expenses		62,430	120,557	120,557
Operating Capital Outlay				
S.C.: Contracted Services		2,998	46,341	46,341
S.C.: Risk Management Insurance		6,062	15,872	15,872
Lease/Purchase			1,490	1,490
Data Processing Services - SSRC		12,584	5,795	5,810
HR Statewide Contract		3,353	3,359	3,359
FCO - Supplemental Contracts				
Indirect Costs Charged to Trust Fund:				
TR to GR-8% Service Charge		2,732	1,400	1,200
TR to 2021-Admin. Assess. Fee		71,230	53,466	62,555
Refunds		301	-	-
Accounts Payable not CF@ 06/30/2011		(3,997)		
Cert Forward Reversions @ 9/30/2011 & 2		(553)	(16)	
Comp Leave Liability		(20,184)		
Prior Year FCO Expend in Trial Balance		99,900		
5% Trust Fund Reserve		-		41,450
FCO A/P in Trial Balance not on Schedule		-		
Legislative Cash Sweep		1,000,000	-	-
Fleet Management Enterprise Initiative			6,714	
Total Full Costs to Line (2) - Section III		1,838,800	966,470	1,016,086

Basis Used: Accrual

<u>SECTION III - SUMMARY</u>				
TOTAL SECTION I	(A)	454,306	829,000	826,500
TOTAL SECTION II	(B)	1,838,800	966,470	1,016,086
TOTAL - Surplus/Deficit	(C)	(1,384,494)	(137,470)	(189,586)

EXPLANATION:
Negative balances are offset by cash balance brought forward (See Schedule I)

SCHEDULE 1A: DETAIL OF FEE COLLECTION AND RELATED PROGRAM COSTS

Department: 72 Management Services **Budget Period: 2013-14**
Program: 72400200 Building Construction
Fund: 2033 Architects' Incidental Trust
Specific Authority: 255, F.S.
Purpose of Fees Collected: To provide funds for the administration and supervision of planning, design, and construction of state-owned facilities.

(1)	(2)	(3)	(4)
<u>SECTION I - FEE COLLECTION</u>	ACTUAL	ESTIMATED	REQUEST
	FY 2011 -12	FY 2012 -13	FY 2013-14
<u>Receipts:</u>			
Construction Services	419,652	811,000	811,000
Permit & Inspection Services	500	500	500
Supplemental Contracts	-	-	-
Computer Charges (FLEET)	-	-	-
Interest Earnings	34,146	17,500	15,000
Miscellaneous	8	-	-
Total Fee Collection to Line (1) - Section III	454,306	829,000	826,500

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

Department Title:	Budget Period: 2013-2014
Trust Fund Title:	MANAGEMENT SERVICES
Budget Entity:	ARCHITECT'S INCIDENTAL TRUST
LAS/PBS Fund Number:	BUILDING CONSTRUCTION
	2033

	Balance as of 6/30/2012		SWFS* Adjustments		Adjusted Balance
Chief Financial Officer's (CFO) Cash Balance	12,871	(A)			12,871
ADD: Other Cash (See Instructions)		(B)			0
ADD: Investments	950,054	(C)			950,054
ADD: Outstanding Accounts Receivable	30,662	(D)			30,662
ADD:		(E)			0
Total Cash plus Accounts Receivable	993,588		0		993,588
LESS Deferred Revenues	275,555	(G)			275,555
LESS Approved "A" Certified Forwards	18,333	(H)			18,333
Approved "B" Certified Forwards		(H)			0
Approved "FCO" Certified Forwards	0	(H)			0
LESS: Other Accounts Payable (Non Operating)	505	(I)			505
LESS: <u>Other Accounts Payable</u>		(J)			0
Unreserved Fund Balance, 07/01/12	699,194.87	(K)	0		699,195 **

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: 2013 - 2014

Department Title:	720000 MANAGEMENT SERVICES
Trust Fund Title:	Architects Incidental Trust Fund
LAS/PBS Fund Number:	2033

BEGINNING TRIAL BALANCE:

Unreserved Fund Balance Per Trial Balance, 07-01-12	<input type="text" value="594,658"/> (A)
---	--

Add/Subtract:

Compensated Absences Liability recorded In FLAIR As A Liability/ Not Recorded On Schedule 1C	<input type="text" value="104,537"/>
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Accounts Payable not Certified Forward in FLAIR Not on Schedule 1C	<input type="text" value="0.00"/>
---	-----------------------------------

FCO Certified Forward On Schedule 1C Not Recorded in FLAIR	<input type="text" value="0"/>
---	--------------------------------

Other Adjustment(s):

Statewide Post Closing Adjustment @ June 30, 2011	<input type="text"/> (C)
---	--------------------------

<input type="text"/>	(C)
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ADJUSTED BEGINNING TRIAL BALANCE:	<input type="text" value="699,195"/> (D)
--	--

UNRESERVED FUND BALANCE, SCHEDULE IC	<input type="text" value="699,195"/> (E)
---	--

DIFFERENCE:	<input type="text" value="0"/> (F)*
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***SHOULD EQUAL ZERO.**

SCHEDULE IX: MAJOR AUDIT FINDINGS AND RECOMMENDATIONS

Budget Period: 2013-2014

Department: Management Services

Chief Internal Auditor: John W. Davis

Budget Entity: Building Construction

Phone Number: (850) 487-9476

(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 are no issues or findings to report for Building Construction.		



DEPARTMENT OF MANAGEMENT
SERVICES

Fiscal Year 2013-14

Bureau of Aircraft

Exhibits and Schedules



DEPARTMENT OF MANAGEMENT
SERVICES

Fiscal Year 2013-14

Bureau of Aircraft

Schedule 1 Series

SCHEDULE 1A: DETAIL OF FEE COLLECTION AND RELATED PROGRAM COSTS

Department: 72 Management Services **Budget Period:** 2013-14
Program: 72600100 Aircraft Management
Fund: 2066 Bureau of Aircraft Trust
Specific Authority: 287.161, F.S.
Purpose of Fees Collected: To recover the normal direct costs of operating aircraft assigned to the Executive Aircraft Pool, and the total operational costs of the special purpose aircraft.

Type of Fee or Program: (Check **ONE** Box and answer questions as indicated.)

<input type="checkbox"/>	Regulatory services or oversight to businesses or professions (Complete Sections I, II, and III and attach Examination of Regulatory Fees Form - Part I and II.)
<input checked="" type="checkbox"/>	Non-regulatory fees authorized to cover full cost of conducting a specific program or service. (Complete Sections I, II, and III only.)

	(1)	(2)	(3)	(4)
SECTION I - FEE COLLECTION	ACTUAL	ESTIMATED	REQUEST	
	FY 2011 - 12	FY 2012 - 13	FY 2013-14	
Receipts:				
Revenues from Oper.-Executive Air Pool				
Reimbursements				
Sale of Aircraft				
Interest Earnings	1,524	-	-	
Total Fee Collection to Line (1) - Section III	1,524	-	-	
SECTION II - FULL COSTS				
Direct Costs:				
Salaries and Benefits				
Other Personal Services				
Expenses				
Operating Capital Outlay				
S.C.:Contracted Services				
S.C.:Risk Management Insurance				
S.C.:Deferred-Pay Commodity Contracts				
S.C.:Aircraft Maintenance & Repairs				
HR Statewide Contract				
Data Processing Services-SSRC				
Indirect Costs Charged to Trust Fund:				
TR to GR-8% Srvc Chrg	122	-	-	
TR to 2021-Admin.Assess.Fee		-	-	
Refunds	371			
Cur Cap Lease Liability- in Beg Bal				
Cert Forward A Reversions @ 9/30/2009				
Cert Forward Reversions @ 9/30/2010				
Uncollectible Receivables		-	-	
5% Trust Fund Reserve				
Legislative Cash Sweep	215,000	35,651	-	
Total Full Costs to Line (2) - Section III	215,493	35,651	-	

Basis Used: Accrual

SECTION III - SUMMARY

TOTAL SECTION I	(A)	1,524	-	-
TOTAL SECTION II	(B)	215,493	35,651	-
TOTAL - Surplus/Deficit	(C)	(213,969)	(35,651)	-

EXPLANATION:

Negative balances are offset by cash balance carried forward (See Schedule I)

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

Department Title:	Budget Period: 2013 - 2014
Trust Fund Title:	MANAGEMENT SERVICES
Budget Entity:	BUREAU OF AIRCRAFT TRUST
LAS/PBS Fund Number:	AIRCRAFT (72600100)
	2066

	Balance as of 6/30/2012	SWFS* Adjustments	Adjusted Balance
Chief Financial Officer's (CFO) Cash Balance	15,007 (A)		15,007
ADD: Other Cash (See Instructions)	0 (B)		0
ADD: Investments	21,370 (C)		21,370
ADD: Outstanding Accounts Receivable	40 (D)	-	40
ADD:	(E)		0
Total Cash plus Accounts Receivable	36,417 (F)	0	36,417
LESS Allowances for Uncollectibles	0 (G)		0
LESS Approved "A" Certified Forwards	0 (H)		0
Approved "B" Certified Forwards	0 (H)		0
Approved "FCO" Certified Forwards	(H)		0
LESS: Other Accounts Payable (Non Operating)	11 (I)		11
LESS: <u>Other Accounts Payable</u>	(J)		0
Unreserved Fund Balance, 07/01/12	36,406 (K)	0	36,406**

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.



DEPARTMENT OF MANAGEMENT
SERVICES

Fiscal Year 2013-14

Federal Property Assistance

Exhibits and Schedules



DEPARTMENT OF MANAGEMENT
SERVICES

Fiscal Year 2013-14

Federal Property Assistance

Schedule I Series

SCHEDULE 1A: DETAIL OF FEE COLLECTION AND RELATED PROGRAM COSTS

Department: 72 Management Services **Budget Period: 2013-14**
Program: 72600200 Federal Property Assistance
Fund: 2699 Surplus Property Revolving Trust
Specific Authority: Chapter 217, F.S.
Purpose of Fees Collected: The agency administers the Federal Surplus Property Utilization Program for the State of Florida. Service charges are placed on federal property and are passed on to certified donees whereby funds are generated.

Type of Fee or Program: (Check **ONE** Box and answer questions as indicated.)

<input type="checkbox"/>	Regulatory services or oversight to businesses or professions (Complete Sections I, II, and III and attach Examination of Regulatory Fees Form - Part I and II.)
<input checked="" type="checkbox"/>	Non-regulatory fees authorized to cover full cost of conducting a specific program or service. (Complete Sections I, II, and III only.)

(1)	(2)	(3)	(4)
SECTION I - FEE COLLECTION	ACTUAL FY 2011 - 12	ESTIMATED FY 2012 - 13	REQUEST FY 2013-14
Receipts:			
Service Charges - Fed. Surp. Property	288,051	327,000	350,000
U.S.Govt.Public Sale Reimbursements	80,919	33,000	35,000
Motor Vehicle Sales	-	-	-
Interest Earnings	9,295	12,000	14,000
Refunds and Reimbursements	-		
Projected Fee Increase	-		
Property Transfer In	-		
Total Fee Collection to Line (1) - Section III	378,265	372,000	399,000

SECTION II - FULL COSTS

Direct Costs:			
Salaries and Benefits	187,443	231,942	234,467
Other Personal Services	-		
Expenses	61,154	61,817	63,231
Operating Capital Outlay	-		
S.C.:Transfer to Fixed Capital Outlay	-		
S.C.:Contracted Services	5,922	6,379	6,379
S.C.:Risk Management Insurance	839	854	854
Lease/Purchase/Equipment		1,414	
HR Statewide Contract	1,523	1,526	1,526
Data Processing Services/SSRC	828	488	488
Indirect Costs Charged to Trust Fund:			
TR to 2021-Admin.Assess.Fee	28,031	28,517	33,365
Refunds	2,735	-	-
Cert Forward A Reversions @ 9/30/2011	(1,593)	-	
Accounts Payable not CF @ 06/30/2011	(3,758)		
Comp Leave Liability in Beg Bal	(6,640)		
Reserve for Pay Package			-
Total Full Costs to Line (2) - Section III	276,484	332,937	340,310

Basis Used: Accrual

SECTION III - SUMMARY

TOTAL SECTION I	(A)	378,265	372,000	399,000
TOTAL SECTION II	(B)	276,484	332,937	340,310
TOTAL - Surplus/Deficit	(C)	101,781	39,063	58,690

EXPLANATION:

Negative Balances are offset by Cash Balance carried forward (see Schedule I)

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

Department Title:	Budget Period: 2013 - 2014
Trust Fund Title:	MANAGEMENT SERVICES
Budget Entity:	SURPLUS PROPERTY REVOLVING TRUST
LAS/PBS Fund Number:	FEDERAL PROPERTY ASSISTANCE (72600200)
	2699

	Balance as of 6/30/2012	SWFS* Adjustments	Adjusted Balance
Chief Financial Officer's (CFO) Cash Balance	9,279 (A)		9,279
ADD: Other Cash (See Instructions)	150 (B)		150
ADD: Investments	441,373 (C)		441,373
ADD: Outstanding Accounts Receivable	93,012 (D)	0	93,012
ADD:			-
Total Cash plus Accounts Receivable	543,813 (F)	0	543,813
LESS Allowances for Uncollectibles			-
LESS Approved "A" Certified Forwards	14,090 (H)		14,090
Approved "B" Certified Forwards	0 (H)		-
Approved "FCO" Certified Forwards			-
LESS: Other Accounts Payable (Non Operating)	43 (I)		43
LESS: <u>Other Accounts Payable</u>			-
Unreserved Fund Balance, 07/01/12	529,680 (K)	0	529,680 **

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: 2013 - 2014

Department Title: 720000 MANAGEMENT SERVICES
Trust Fund Title: Surplus Property Revolving Trust Fund
LAS/PBS Fund Number: 2699

BEGINNING TRIAL BALANCE:

Unreserved Fund Balance Per Trial Balance, 07-01-12 (A)

Add/Subtract:

(B)

Accounts Payable not Certified Forward in FLAIR
Not on Schedule 1C

Certified Forward Bs Included On Schedule 1C/
Not Included In FLAIR Retained Earnings Unreserved

Compensated Absences Liability recorded In FLAIR As A Liability/
Not Recorded On Schedule 1C

Other Adjustment(s):

Statewide Post Closing Adjustment @ June 30, 2012 (C)

ADJUSTED BEGINNING TRIAL BALANCE: (D)

UNRESERVED FUND BALANCE, SCHEDULE IC (E)

DIFFERENCE: (F)*

***SHOULD EQUAL ZERO.**

SCHEDULE IX: MAJOR AUDIT FINDINGS AND RECOMMENDATIONS

Budget Period: 2013-2014

Department: Management Services

Chief Internal Auditor: John W. Davis

Budget Entity: Federal Property Assistance

Phone Number: (850) 487-9476

(1)	(2)	(3)	(4)	(5)	(6)
REPORT NUMBER	PERIOD ENDING	UNIT/AREA	SUMMARY OF FINDINGS AND RECOMMENDATIONS	SUMMARY OF CORRECTIVE ACTION TAKEN	ISSUE CODE
<p>Internal Audit Report No. 2012-239</p> <p>Dated: 06/30/2012</p>	<p>06/30/12</p>	<p>Federal Property Assistance</p>	<p>Finding 1—Marketing Strategy The Federal Property Assistance Program would benefit from a marketing strategy that identifies, reaches out to, and provides all eligible state customers with information regarding the availability and benefits of the Program. The SASP Program relies solely on email marketing to provide registered entities with information on available property. The current strategy is only reaching a fraction of customers potentially eligible to participate in this program.</p> <p>Recommendation 1: The Bureau initiate a marketing strategy that, as a minimum, includes:</p> <ul style="list-style-type: none"> a. Identifying a list of eligible customers throughout the state. b. Developing a website which contains necessary information regarding the Program so that current as well as perspective customers understand the benefits. c. Creating and maintaining a list of frequently sold and requested items from the management information system. With an anticipated demand, the Program could then pursue the request and donation of those items. d. Developing procedures to periodically reduce service charges in an effort to continuously turnover inventory. e. Periodically performing customer surveys to determine the strengths and weaknesses of the Program so that any changes may be implemented quickly. f. Informing customers located at long distances from the warehouse of the potential for direct pick-up at nearby holding agencies. 	<p>CONCUR: The Federal Property Assistance Program will discuss the recommendations and options with the Agency Head. Actions and improvements related to the recommendations will vary based on the direction provided from this program.</p>	

			<p>Finding 2—Information Technology System The inventory tracking system currently in use is not configured to the particular needs of the Program. The system used by the Program does not allow the use of bar code scanners to simplify and automate the conduct of inventory nor does the system include a component which would allow the customers to view the inventory in an online website. While these components are available for inclusion in the system, steps have not been taken to upgrade the system.</p> <p>Recommendation 2: The Bureau review current and future management information system needs to determine whether the current system or another system would best meet its needs. Based on the results of the review either:</p> <ol style="list-style-type: none"> 1. Upgrade the current system and negotiate guaranteed licenses fees in a formalized contractual document or 2. Purchase a new management information system 	<p>CONCUR: The Federal Property Assistance Program will discuss the recommendations and options with the Agency Head. Actions and improvements related to the recommendations will vary based on the direction provided from this program.</p>	
			<p>Finding 3—Employee Job Classifications The Program’s employee job classifications and salary structures show that the four current employees are, by any measure, under compensated. After consolidation, the local distribution location and its employees assumed the Program’s statewide function. However, the department failed to adequately staff the Starke location with the necessary and appropriate staffing levels. Consequently, the Starke staff was required to assume all duties for the statewide Program.</p> <p>Recommendation 3: The Bureau, in conjunction with the human resources department, review all employee job positions, broadband levels, and current salaries to determine if the positions are appropriately classified and employees adequately compensated.</p>	<p>CONCUR: The Federal Property Assistance Program will discuss the recommendations and options with the Agency Head. Actions and improvements related to the recommendations will vary based on the direction provided from this program.</p>	



DEPARTMENT OF MANAGEMENT
SERVICES

Fiscal Year 2013-14

**Motor Vehicle and Watercraft
Management**

Exhibits and Schedules



DEPARTMENT OF MANAGEMENT
SERVICES

Fiscal Year 2013-14

**Motor Vehicle and Watercraft
Management**

Schedule I Series

SCHEDULE 1A:DETAIL OF FEE COLLECTION & RELATED PROGRAM COSTS

Department: 72 Management Services **Budget Period: 2013-14**
Program: 72600300 Motor Vehicle/Watercraft Management
Fund: 2510 Operating Trust
Specific Authority: 2006-79, Laws of Florida
Purpose of Fees Collected: For maintenance of EMIS

Type of Fee or Program: (Check ONE Box and answer questions as indicated.)

<input type="checkbox"/>	Regulatory services or oversight to businesses or professions (Complete Sections I, II, and III and attach Examination of Regulatory Fees Form - Part I and II.)
<input checked="" type="checkbox"/>	Non-regulatory fees authorized to cover full cost of conducting a specific program or service. (Complete Sections I, II, and III only.)

	(1)	(2)	(3)	(4)
SECTION I - FEE COLLECTION		ACTUAL	ESTIMATED	REQUEST
		FY 2011-12	FY 2012-13	FY 2013-14
Receipts:				
Equipment Mgmt.Report Fees		531,114	504,000	288,000
Security/Escrow Deposits		4,065,296	4,065,000	4,065,000
Interest Earnings		11,353	13,000	13,000
Fleet Management Enterprise Initiative		-	31,714	-
Refunds		-	-	-
Total Fee Collection to Line (1) - Section III		4,607,763	4,613,714	4,366,000

SECTION II - FULL COSTS

Direct Costs:				
Salaries and Benefits		417,994	464,411	468,706
Other Personal Services				
Expenses		60,304	105,274	65,274
Operating Capital Outlay				
S.C.:Pay/Exp/Sale Agency Vehicles		669,200	750,000	725,000
S.C.:Contracted Services		49,810	4,332	69,332
S.C.:Risk Management Insurance		934	808	808
Lease/Purchase/Equipment			1,147	1,147
HR Statewide Contract		2,744	2,749	2,749
Data Processing Svcs-SSRC		287,448	81,342	81,547
Indirect Costs Charged to Trust Fund:				
Transfer to GR-8% Srvc Charge		847	1,040	1,040
Transfer Vehicle Auction Sales Proceed		3,257,718	3,193,050	3,193,050
Transfer to 2021-Admin.Assess.Fee		73,892	71,151	83,247
Refunds		4,576	-	-
TR from 72600400-2510		(375,000)	(375,000)	(375,000)
Current Compensated Leave Liability		(16,204)	-	-
AP not Certified Forward @ 06/30/11		(26,003)	-	-
Cert Forward Reversions @ 9/30/2012		-	(17,055)	-
Cert Forward Reversions @ 9/30/2011		(16)	-	-
Total Full Costs to Line (2) - Section III		4,408,244	4,283,249	4,316,900

Basis Used _____

SECTION III - SUMMARY

TOTAL SECTION I	(A)	4,607,763	4,613,714	4,366,000
TOTAL SECTION II	(B)	4,408,244	4,283,249	4,316,900
TOTAL - Surplus/Deficit	(C)	199,519	330,465	49,100

EXPLANATION:

Negative balances are offset by cash balance carried forward (See Schedule I)

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

Department Title:	Budget Period: 2013 - 2014
Trust Fund Title:	MANAGEMENT SERVICES
Budget Entity:	OPERATING TRUST FUND
LAS/PBS Fund Number:	MOTOR VEHICLE & WATERCRAFT MANAGEMENT (72600300)
	2510

	Balance as of 6/30/2012	SWFS* Adjustments	Adjusted Balance
Chief Financial Officer's (CFO) Cash Balance	105,267 (A)		105,267
ADD: Other Cash (See Instructions)			0
ADD: Investments	559,035 (C)		559,035
ADD: Outstanding Accounts Receivable	134,412 (D)		134,412
ADD:			0
Total Cash plus Accounts Receivable	798,715 (F)	0	798,715
LESS Allowances for Uncollectibles			0
LESS Approved "A" Certified Forwards	67,504 (H)		67,504
Approved "B" Certified Forwards	0 (H)		0
Approved "FCO" Certified Forwards			0
LESS: Other Accounts Payable (Non Operating)	292,868 (I)		292,868
LESS: <u>Other Accounts Payable</u>			0
Unreserved Fund Balance, 07/01/12	438,343 (K)	0	438,343 **

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: 2013 - 2014

Department Title:	720000 MANAGEMENT SERVICES
Trust Fund Title:	Motor Vehicle & Watercraft Management Grants & Donations
LAS/PBS Fund Number:	2510

BEGINNING TRIAL BALANCE:

Unreserved Fund Balance Per Trial Balance, 07-01-12	<input type="text" value="356,558"/>	(A)
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Add/Subtract:

Compensated Leave Liability in FLAIR Not on Schedule 1C	<input type="text" value="69,672"/>	(B)
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Certified Forward B recored on Schedule 1C Not Recorded in FLAIR	<input type="text"/>	
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Accounts Payable Not Certified Forward in FLAIR Not Recorded On Schedule 1C	<input type="text" value="12,114"/>	
--	-------------------------------------	--

Other Adjustment(s):

Statewide Post Closing adjustment to Accounts Payables	<input type="text"/>	(C)
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Increase in Accounts Receivables	<input type="text"/>	(C)
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ADJUSTED BEGINNING TRIAL BALANCE:	<input type="text" value="438,343"/>	(D)
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UNRESERVED FUND BALANCE, SCHEDULE IC	<input type="text" value="438,343"/>	(E)
---	--------------------------------------	-----

DIFFERENCE:	<input type="text" value="0"/>	(F)*
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***SHOULD EQUAL ZERO.**

SCHEDULE IX: MAJOR AUDIT FINDINGS AND RECOMMENDATIONS

Budget Period: 2013-2014

Department: Management Services

Chief Internal Auditor: John W. Davis

Budget Entity: Motor Vehicle and Watercraft Management

Phone Number: (850) 487-9476

(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 are no issues or findings to report for motor vehicles and watercraft.		



DEPARTMENT OF MANAGEMENT
SERVICES

Fiscal Year 2013-14

Purchasing Oversight

Exhibits and Schedules



DEPARTMENT OF MANAGEMENT
SERVICES

Fiscal Year 2013-14

Purchasing Oversight

Schedule I Series

SCHEDULE 1A: DETAIL OF FEE COLLECTION AND RELATED PROGRAM COSTS

Department: 72 Management Services **Budget Period: 2013-14**
Program: 72600400 Purchasing Oversight
Fund: 2510 Operating Trust

Specific Authority: 2006-79, Laws of Florida
Purpose of Fees Collected: To cover the projected administrative and project service costs of the on-line procurement systems.

Type of Fee or Program: (Check **ONE** Box and answer questions as indicated.)

<input type="checkbox"/>	Regulatory services or oversight to businesses or professions (Complete Sections I, II, and III and attach Examination of Regulatory Fees Form - Part I and II.)
<input checked="" type="checkbox"/>	Non-regulatory fees authorized to cover full cost of conducting a specific program or service. (Complete Sections I, II, and III only.)

	(1)	(2)	(3)	(4)
<u>SECTION I - FEE COLLECTION</u>	ACTUAL	ESTIMATED	REQUEST	
	FY 2011 - 12	FY 2012 - 13	FY 2013 - 14	
<u>Receipts:</u>				
State Term Contract Vendor User Fees	20,004,369	20,004,369	20,004,369	
Pride	32,625	43,500	43,500	
Refunds	81,071			
State Purchasing Card Transaction Fee	4,218,126	3,796,313	3,416,682	
Interest Earnings - Purchasing	179,086	170,000	190,000	
Interest Earnings - PPM	139,577	-	-	
Restitution - PPM	3,892			
TR From DOC for Major Repairs - PPM	1,552,018	-	-	
<u>Total Fee Collection to Line (1) - Section</u>	26,210,764	24,014,182	23,654,551	

SECTION II - FULL COSTS

<u>Direct Costs:</u>				
Salaries and Benefits	2,597,340	3,317,684	3,340,464	
Other Personal Services	8,106	10,000	10,000	
Expenses	334,060	272,473	272,473	
Operating Capital Outlay	13,948	15,859	15,859	
Sp.Cat.:Risk Management Insurance	17,540	27,424	27,424	
Sp. Cat.: Web-Based E-Proc System	14,800,000	7,400,000	1	
Lease/Purchase/Equipment		3,219	3,219	
HR Statewide Contract	13,716	13,740	13,740	
Private Prison-Maint/Repair	1,304,080			
Contracted Services	246,119	91,267	91,267	
Legal Services		30,000	30,000	
Project Mgmt Prof Training		60,000	60,000	
TR/Dept. Financial Services		350,000	350,000	
Data Processing Services - SSRC	83,092	293,045	293,790	

SCHEDULE 1A: DETAIL OF FEE COLLECTION AND RELATED PROGRAM COSTS

Department: 72 Management Services **Budget Period: 2013-14**
Program: 72600400 Purchasing Oversight
Fund: 2510 Operating Trust

Specific Authority: 2006-79, Laws of Florida
Purpose of Fees Collected: To cover the projected administrative and project service costs of the on-line procurement systems.

	(2) ACTUAL FY 2011 - 12	(3) ESTIMATED FY 2012 - 13	(4) REQUEST FY 2013 - 14
<u>Indirect Costs Charged to Trust Fund</u>			
TR to GR-8% Srvc Chrg (PO)	528,720	1,921,135	1,892,364
TR to GR-8% Srvc Chrg (PPM)	11,166	-	-
Transfer to 2021-Admin.Assess. Fee	308,139	330,655	386,866
TR to GR-8% Srvc Chrg (PO) Prior Years		1,427,348	1,939,201
Refunds- Non-State Revenues.	229,854		
Accounts Payables not CF @ 6/30/2011	(1,726)		
6/30/2011 Cert Forward B Paid	179,750		
TR to 72600300-2510	375,000	375,000	375,000
TR to 72600500-2510	412,795	417,122	425,906
Transfer to New BE 72600800 PPM		6,277,037	
Cert Forward Reversions @ 9/30/2011	(43,292)		
Leave Liability in CFO Beg Bal	(115,890)		
5% Trust Fund Reserve - PO			1,085,613
Cert Forward Reversions @ 9/30/2012		(45,904)	
Legislative Cash Sweep	5,800,000	1,500,000	-
B A Transition Cost MFMP 104502		5,970,000	-
B A Jan to June Cost MFMP 104502		4,900,000	-
Estimated July to June Cost MFMP 104502			12,300,000
<u>Total Full Costs to Line (2) - Section III</u>	27,102,517	34,957,104	22,913,187

Basis Used: Accrual

SECTION III - SUMMARY

TOTAL SECTION I	(A)	26,210,764	24,014,182	23,654,551
TOTAL SECTION II	(B)	27,102,517	34,957,104	22,913,187
TOTAL - Surplus/Deficit	(C)	(891,753)	(10,942,922)	741,364

EXPLANATION:

Special Cat: Private Prison - Maint & Repairs in PC 1206. All other amounts in PC 1601.

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

Budget Period: 2013 - 2014

Department Title:

MANAGEMENT SERVICES

Trust Fund Title:

OPERATING TRUST FUND

Budget Entity:

PURCHASING OVERSIGHT/PRIVATE PRISONS MONITORING (7260040)

LAS/PBS Fund Number:

2510

	Balance as of 6/30/2012		SWFS* Adjustments		Adjusted Balance
Chief Financial Officer's (CFO) Cash Balance	593,300	(A)			593,300
ADD: Other Cash (See Instructions)		(B)			0
ADD: Investments	15,380,767	(C)			15,380,767
ADD: Outstanding Accounts Receivable	288,435	(D)	-		288,435
ADD:		(E)			0
Total Cash plus Accounts Receivable	16,262,502	(F)	0		16,262,502
LESS Allowances for Uncollectibles		(G)			0
LESS Approved "A" Certified Forwards	1,352,163	(H)			1,352,163
Approved "B" Certified Forwards	453,200	(H)			453,200
Approved "FCO" Certified Forwards		(H)			0
LESS: Other Accounts Payable (Non Operating)	520,604	(I)			520,604
LESS: <u>Other Accounts Payable</u>	0	(J)			0
Unreserved Fund Balance, 07/01/12	13,936,535	(K)	0		13,936,535 **

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: 2013 - 2014

Department Title: 720000 MANAGEMENT SERVICES
Trust Fund Title: Purchasing Oversight Operating Trust Fund
LAS/PBS Fund Number: 2510

BEGINNING TRIAL BALANCE:

510069 Unreserved Fund Balance Per Trial Balance, 07-01-12	7,641,796	(A)
510111 Unreserved Fund Balance Per Trial Balance, 07-01-12	6,630,231	(A)

Add/Subtract:

Compensated Absences Liability recorded In FLAIR As A Liability/ Not Recorded On Schedule 1C	117,708
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Certified Forward B recored on Schedule 1C Not Recorded in FLAIR	(453,200)
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Accounts Payable not Certified Forward in FLAIR Not on Schedule 1C	
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Other Adjustment(s):

Statewide Post Closing Adjustment @ June 30, 2012 Increase in Accounts Receivables		(C)
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ADJUSTED BEGINNING TRIAL BALANCE:	13,936,535	(D)
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UNRESERVED FUND BALANCE, SCHEDULE IC	13,936,535	(E)
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DIFFERENCE:	-	(F)*
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***SHOULD EQUAL ZERO.**

SCHEDULE IX: MAJOR AUDIT FINDINGS AND RECOMMENDATIONS

Budget Period: 2013-2014

Department: Management Services

Chief Internal Auditor: John W. Davis

Budget Entity: State Purchasing

Phone Number: (850) 487-9476

(1) REPORT NUMBER	(2) PERIOD ENDING	(3) UNIT/AREA	(4) SUMMARY OF FINDINGS AND RECOMMENDATIONS	(5) SUMMARY OF CORRECTIVE ACTION TAKEN	(6) ISSUE CODE
General Report No. 2011-075 Dated: 01/14/2011	06/30/2011	State Purchasing	<p><u>Information Technology Consulting Services State Term Contract, Procurement and Expenditure Processes, and Additional Administrative Matters Operational Audit</u></p> <p>Finding 1 – Rule Revision: Department rules did not provide State entities with a central, comprehensive, and authoritative reference on which to model internal procurement procedures.</p> <p>Recommendation: To ensure State Agencies are provided with a central authoritative reference, we recommend that the Division revise Department rules to incorporate provisions implementing the requirements of applicable procurement laws and regulations, including those requirements relate to cost-benefit analyses, contract file maintenance, and procurements of IT and IT consulting services estimate to exceed the Category Two threshold.</p>	<p>NON-CONCUR: We do not read the statute to require that our guidance and assistance be exclusively in rule. DMS, Division of State Purchasing, gives assistance, guidance and support to state agencies in their purchasing. We do this by providing rules, forms, model documents, statewide contracts, and training. All of these resources are available on the DMS website. We also provide assistance and direction through our staff and contract administrators. Although the core requirements of state purchasing are contained in rule and statute, we do not interpret the statute to require that all policies, procedures and practices be in rule. Additionally, DMS has no power to enforce agency compliance with purchasing rules or procedures.</p> <p>Update 07/14/2011: No follow-up response or action required. This finding is closed.</p>	
			<p>Finding 2 – Procurement Data: The Division’s procurement data collection method limited the Division’s ability to accurately determine the utilization of State term contracts, perform reliable cost-benefit analyses, measure cost savings, and identify potential opportunities for cost reductions.</p> <p>Recommendation: We recommend that the Division prepare the statistical data required by law and conduct</p>	<p>NON-CONCUR: The auditor general’s statement that contrary to state law the division no longer produces statistical data is incorrect. The department currently produces adhoc reports and statistical data as requested. We do not agree that creating additional reporting, separate from and additional to the systems currently in place, is a more efficient way</p>	

			<p>appropriate analyses with the objective of identifying for legislative consideration opportunities to improve the economy and efficiency of State agency purchasing and procurement.</p>	<p>to obtain better data for analysis.</p> <p>The collection of state agency purchasing information is currently done with the FLAIR and MyFloridaMarketPlace (MFMP) systems. Though both of these systems can be improved, we believe the best investment of state dollars is in refinement of these existing systems and in the inclusion of additional data by the agencies as the systems are improved. These changes are incremental in nature and are also dependent on the agreement of the agencies using them.</p> <p>We use these systems every day to determine contract utilization, perform cost benefit analyses, measure cost savings, and identify potential cost reductions. We certainly agree that the systems can be improved and more data collected and that the data can be better segregated for analysis; we are committed to doing that.</p> <p>Update 07/14/2011: No follow-up response or action required. This finding is closed.</p>	
			<p>Finding 3 – Solicitation of IT Consulting Services State Term Contracts: The quotation threshold established within the IT consulting services State term contract did not require State entities to obtain the best value or maximize competition when procuring such services.</p> <p>Recommendation: To effectively utilize the State’s purchasing power and reduce overall costs for services provided to State entities, we recommend that the Division consider reducing future quotation threshold within the IT consulting services State term contract.</p>	<p>CONCUR: We will revisit the quotation thresholds in a future contract, if we determine that doing so will increase the benefit of state term IT contracts.</p> <p>Update 07/14/2011: The Division will examine the use and level of monetary thresholds and their impact on obtaining the best value for the state by December 2011.</p> <p>Update 01/17/2012: The Division does not feel that reducing threshold levels would result in any savings to the state. This finding is closed.</p>	

			<p>Finding 4 – Procedures and Record Maintenance: The Division did not always ensure that all required certificates of insurance and conflict of interest statements related to the solicitation of the IT consulting services State term contract were obtained and retained.</p> <p>Recommendation: The Division enhance procedures to ensure that all required certificates of insurance and conflict of interest statements are timely obtained and retained in Division records. We also recommend that Division staff continue efforts to update procedures related to the solicitation and monitoring of State term contracts.</p>	<p>CONCUR: The Division has internal policies and procedures in place and is working to refine them. We have appointed a workgroup charged with ensuring that the policies and procedures are updated in a timely fashion. Additionally, we are working to enhance and strengthen those procedures with a procurement process management system which will be integrated into the sourcing tool and which will provide an automated base for the implementation of standard procedures and forms within the division. This system is in development and is targeted for implementation in March of 2011.</p> <p>Update 07/14/2011: On February 24, 2011, the Division began to implement the new process management system which will enable the tracking of alerts and reminders of contract requirements. Contracts are placed in the system as they are re-procured, so the implementation will take place over several years. This finding is closed.</p>	
			<p>Finding 5 – Background Screenings for IT Contractors: The Department did not always ensure that background screenings were timely obtained for eligible contractors who performed Department assignments with access to confidential or critical data or facilities.</p> <p>Recommendation: The Department ensure the timely completion of background screenings in accordance with applicable laws, administrative rules, and other guidelines.</p>	<p>CONCUR: To ensure that background checks are conducted in a timely fashion Departmental Purchasing staff will meet with division personnel who generate purchase orders for such services to reinforce the importance of this requirement. Further, as to written agreements, the Department will amend its written agreement routing form to address this concern.</p> <p>Update 07/14/2011: On February 1, 2011, the department amended Departmental Purchasing Form DP200 Contract/Amendment Approval Form. The amended form now includes an area for the contract manager to verify that the required</p>	

				background screening has been conducted for employees/contractors being used to provide services under the contract. Further, Departmental Purchasing has communicated with Department staff who generate purchase orders regarding the importance of ensuring such background checks are conducted before purchases are routed for approval. This finding is closed.	
			<p>Finding 8 – Security Clauses: As similarly noted in audit report No 2009-078, deficiencies in certain operating procedures and standard documents and templates created by the Department may affect the Department’s ability to safeguard nonpublic information.</p> <p>Recommendation: We again recommend that the Department enhance its procedures to ensure that clear and unambiguous security clauses prohibiting disclosure of nonpublic information by vendors is included in applicable Department standard documents and templates designed for procuring goods and services.</p>	<p>CONCUR: As stated in our response to the Auditor General’s prior audit report, State Purchasing Agreement and Alternate Contract Source vendors are required to comply with all applicable state laws, including those prohibiting disclosure of “nonpublic” information. There are rules in place to ensure that confidential information obtained by a vendor is protected. As of December 17, 2010, the Division of State Purchasing is actively engaged in the rulemaking process to amend the State Purchasing Agreement and Alternate Contract Source documents to include a requirement that confidential information be protected.</p> <p>Update 07/14/2011: The Division’s rulemaking project for Florida Administrative Code 60-A which incorporated 60A-1.002, 60A- 1.016, 60A-1.041, and 60A-1.025 was active as of December 17, 2010. However, it was stayed via Executive Order 11-01 which prohibited all rulemaking for 90 days. The Division is anticipating that rulemaking approval will be given by October 2011.</p> <p>Given the actions by the department, suspension of rule making, and the length of time involved in monitoring the rulemaking, we recommend this finding be closed.</p>	



DEPARTMENT OF MANAGEMENT
SERVICES

Fiscal Year 2013-14

Office of Supplier Diversity

Exhibits and Schedules

SCHEDULE IX: MAJOR AUDIT FINDINGS AND RECOMMENDATIONS

Budget Period: 2013-2014

Department: Management Services

Chief Internal Auditor: John W. Davis

Budget Entity: Office of Supplier Diversity

Phone Number: (850) 487-9476

(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 are no issues or findings to report for Office of Supplier Diversity.		



DEPARTMENT OF MANAGEMENT
SERVICES

Fiscal Year 2013-14

Private Prison Monitoring

Exhibits and Schedules

SCHEDULE IX: MAJOR AUDIT FINDINGS AND RECOMMENDATIONS

Budget Period: 2013-2014

Department: Management Services

Chief Internal Auditor: John W. Davis

Budget Entity: Private Prison Monitoring

Phone Number: (850) 487-9476

(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 are no issues or findings to report for Private Prison Monitoring.		



DEPARTMENT OF MANAGEMENT
SERVICES

Fiscal Year 2013-14

Human Resource Management

Exhibits and Schedules



DEPARTMENT OF MANAGEMENT
SERVICES

Fiscal Year 2013-14

Human Resource Management

Schedule 1 Series

SCHEDULE 1A: DETAIL OF FEE COLLECTION AND RELATED PROGRAM COSTS

Department: 72 Management Services **Budget Period:** 2013-14
Program: 72750100 Human Resource Management
Fund: 2510 Operating Trust
Specific Authority: 2006-79, Laws of Florida
Purpose of Fees Collected: For training purposes and to record deposit of federal grant dollars.

Type of Fee or Program: (Check **ONE** Box and answer questions as indicated.)

<input type="checkbox"/>	Regulatory services or oversight to businesses or professions (Complete Sections I, II, and III and attach Examination of Regulatory Fees Form - Part I and II.)
<input checked="" type="checkbox"/>	Non-regulatory fees authorized to cover full cost of conducting a specific program or service. (Complete Sections I, II, and III only.)

(1)	(2)	(3)	(4)
<u>SECTION I - FEE COLLECTION</u>	ACTUAL	ESTIMATED	REQUEST
	FY 2011 - 12	FY 2012 - 13	FY 2013 - 14
<u>Receipts:</u>			
Federal Grant	<input type="text"/>	<input type="text"/>	<input type="text"/>
Goods and Services	<input type="text"/>	<input type="text"/>	<input type="text"/>
Interest Earnings	<input type="text"/>	<input type="text"/>	<input type="text"/>
Reimbursements	<input type="text"/>	<input type="text"/>	<input type="text"/>
Total Fee Collection to Line (1) - Section III	-	-	-

<u>SECTION II - FULL COSTS</u>			
<u>Direct Costs:</u>			
Salaries and Benefits	<input type="text"/>	<input type="text"/>	<input type="text"/>
Other Personal Services	<input type="text"/>	<input type="text"/>	<input type="text"/>
Expenses	<input type="text"/>	<input type="text"/>	<input type="text"/>
Operating Capital Outlay	<input type="text"/>	<input type="text"/>	<input type="text"/>
Contracted Services	<input type="text"/>	<input type="text"/>	<input type="text"/>
	<input type="text"/>	<input type="text"/>	<input type="text"/>
<u>Indirect Costs Charged to Trust Fund:</u>			
Service Charge to GR - 8%	<input type="text"/>	<input type="text"/>	<input type="text"/>
Cert Forward Reversions	<input type="text"/>	<input type="text"/>	<input type="text"/>
5% Trust Fund Reserve	<input type="text"/>	<input type="text"/>	<input type="text"/>
Total Full Costs to Line (2) - Section III	-	-	-

Basis Used: Accrual

<u>SECTION III - SUMMARY</u>			
TOTAL SECTION I	(A)	<input type="text"/>	<input type="text"/>
TOTAL SECTION II	(B)	<input type="text"/>	<input type="text"/>
TOTAL - Surplus/Deficit	(C)	<input type="text"/>	<input type="text"/>

EXPLANATION:
 See 2339 for Actual FY 2005-06 and Estimated FY 2006-07 Information

SCHEDULE 1A: DETAIL OF FEE COLLECTION AND RELATED PROGRAM COSTS

Department: 72 Management Services **Budget Period:** 2013-14
Program: 72750100 Human Resource Management
Fund: 2678 State Personnel System Trust
Specific Authority: Section 110.125, F.S.
Purpose of Fees Collected: To maintain and administer the Personnel Program

Type of Fee or Program: (Check **ONE** Box and answer questions as indicated.)

<input type="checkbox"/>	Regulatory services or oversight to businesses or professions (Complete Sections I, II, and III and attach Examination of Regulatory Fees Form - Part I and II.)
<input checked="" type="checkbox"/>	Non-regulatory fees authorized to cover full cost of conducting a specific program or service. (Complete Sections I, II, and III only.)

	(1) SECTION I - FEE COLLECTION	(2) ACTUAL FY 2011 - 12	(3) ESTIMATED FY 2012 - 13	(4) REQUEST FY 2013 - 14
Receipts:				
SEE ATTACHED LISTING				
Total Fee Collection to Line (1) - Section III		42,395,302	-	-

SECTION II - FULL COSTS

Direct Costs:

Salaries and Benefits		2,494,729		
Other Personal Services				
Expenses		205,033		
Operating Capital Outlay				
Sp.Cat.:Contracted Services		29,416		
Sp.Cat.:Risk Management Insurance		17,427		
St. Emp. Charitable Campaign				
TR DMS/Human Res SVC		13,326		
HR Statewide Contract		37,868,520		
Legal Services		75,668		
Deferred Payments Contract				
Data Processing Services-SSRC		21,898		

Indirect Costs Charged to Trust Fund:

TR to GR- 8% Srvc Chrg		13,589	-	-
TR to 2021 - Admin. Assess. Fee		623,198	-	-
Refunds		2		
Transfer to BE 72750400			6,395,363	
Cert.Forward A Reversions @9/30/201		(884)		
Accounts Payable not CF @ 6/30/2011		(518)		
Cert.Forward Reversions @9/30/2012			(551)	
Total Full Costs to Line (2) - Section III		41,361,404	6,394,812	-

Basis Used: Accrual

SECTION III - SUMMARY

TOTAL SECTION I	(A)	42,395,302	-	-
TOTAL SECTION II	(B)	41,361,404	6,394,812	-
TOTAL - Surplus/Deficit	(C)	1,033,898	(6,394,812)	-

EXPLANATION:

SCHEDULE 1A: DETAIL OF FEE COLLECTION AND RELATED PROGRAM COSTS

Department: Management Services **Budget Period:** 2013-14
Program: Human Resource Management (72750100)
Fund: State Personnel System Trust (2678)

Specific Authority: Section 110.125, F.S.
Purpose of Fees Collected: To maintain and administer the Personnel Program

(1)	(2)	(3)	(4)
<u>SECTION I - FEE COLLECTION</u>	<u>ACTUAL</u>	<u>ESTIMATED</u>	<u>REQUEST</u>
	<u>FY 2011- 12</u>	<u>FY 2012 - 13</u>	<u>FY 2013 - 14</u>
<u>Receipts:</u>			
TR from Agencies/HR Svcs Assessmen	41,945,077	-	-
Interest Earnings	169,864	-	-
Refunds and Reimbursements	280,361		
Miscellaneous			
Total Fee Collection to Line (1) - Section III	42,395,302	-	-

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

Department Title:	Budget Period: 2013 - 2014
Trust Fund Title:	MANAGEMENT SERVICES
Budget Entity:	OPERATING TRUST FUND
LAS/PBS Fund Number:	HUMAN RESOURCE MANAGEMENT - ADA (72750100)
	2510

	Balance as of 6/30/2012		SWFS* Adjustments		Adjusted Balance
Chief Financial Officer's (CFO) Cash Balance	20,476	(A)			20,476
ADD: Other Cash (See Instructions)		(B)			0
ADD: Investments	0	(C)			0
ADD: Outstanding Accounts Receivable		(D)			0
ADD:		(E)			0
Total Cash plus Accounts Receivable	20,476	(F)	0		20,476
LESS Allowances for Uncollectibles		(G)			0
LESS Approved "A" Certified Forwards		(H)			0
Approved "B" Certified Forwards		(H)			0
Approved "FCO" Certified Forwards		(H)			0
LESS: Other Accounts Payable (Non Operating)		(I)			0
LESS: <u>Other Accounts Payable</u>		(J)			0
Unreserved Fund Balance, 07/01/12	20,476	(K)			20,476**

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.

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

Department Title:	Budget Period: 2013 - 2014
Trust Fund Title:	MANAGEMENT SERVICES
Budget Entity:	STATE PERSONNEL SYSTEM TRUST
LAS/PBS Fund Number:	HUMAN RESOURCE MANAGEMENT (72750100)
	2678

	Balance as of 6/30/2012	SWFS* Adjustments	Adjusted Balance
Chief Financial Officer's (CFO) Cash Balance	1,587,848 (A)		1,587,848
ADD: Other Cash (See Instructions)			0
ADD: Investments	7,926,774 (C)		7,926,774
ADD: Outstanding Accounts Receivable	21,198 (D)	(6,291)	14,908
ADD:			
Total Cash plus Accounts Receivable	9,535,820 (F)	-6,291	9,529,530
LESS Allowances for Uncollectibles			0
LESS Approved "A" Certified Forwards	3,130,653 (H)		3,130,653
Approved "B" Certified Forwards	0 (H)		0
Approved "FCO" Certified Forwards			0
LESS: Other Accounts Payable (Non Operating)	4,065 (I)		4,065
LESS: <u>Other Accounts Payable</u>			0
Unreserved Fund Balance, 07/01/12	6,401,102 (K)	-6,291	6,394,812 **

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: 2013 - 2014

Department Title:	720000 MANAGEMENT SERVICES
Trust Fund Title:	Governor's Commission on Disabilities Operating TF
LAS/PBS Fund Number:	2510

BEGINNING TRIAL BALANCE:

Unreserved Fund Balance Per Trial Balance, 07-01-12	<input type="text" value="20,476"/>	(A)
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Add/Subtract:

Compensated Leave Liability in FLAIR Not on Schedule 1C	<input type="text"/>	(B)
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Certified Forward B recored on Schedule 1C Not Recorded in FLAIR	<input type="text" value="0"/>	
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Other Adjustment(s):

Statewide Post Closing adjustment to Accounts Receivable	<input type="text"/>	(C)
--	----------------------	-----

<input type="text"/>	(C)
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ADJUSTED BEGINNING TRIAL BALANCE:	<input type="text" value="20,476"/>	(D)
--	-------------------------------------	-----

UNRESERVED FUND BALANCE, SCHEDULE IC	<input type="text" value="20,476"/>	(E)
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DIFFERENCE:	<input type="text" value="0"/>	(F)*
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***SHOULD EQUAL ZERO.**



DEPARTMENT OF MANAGEMENT
SERVICES

Fiscal Year 2013-14

**Insurance Benefits
Administration (DSGI)**

Exhibits and Schedules



DEPARTMENT OF MANAGEMENT
SERVICES

Fiscal Year 2013-14

Insurance Benefits
Administration (DSGI)

Schedule I Series

SCHEDULE 1A: DETAIL OF FEE COLLECTION AND RELATED PROGRAM COSTS

Department: 72 Management Services **Budget Period:** 2013-14
Budget Entity: 72750200 Insurance Benefits Administration
Fund: 2570 Pretax Benefits Trust
Specific Authority: 110.161, F.S.
Purpose of Fees Collected: Employee Benefits Plan

Type of Fee or Program: (Check **ONE** Box and answer questions as indicated.)

<input type="checkbox"/>	Regulatory services or oversight to businesses or professions (Complete Sections I, II, and III and attach Examination of Regulatory Fees Form - Part I and II .)
<input checked="" type="checkbox"/>	Non-regulatory fees authorized to cover full cost of conducting a specific program or service. (Complete Sections I, II, and III only.)

(1) SECTION I - FEE COLLECTION	(2) ACTUAL FY 2011 - 12	(3) ESTIMATED FY 2012 - 13	(4) REQUEST FY 2013 - 14
Receipts:			
Employee Contributions	26,674,685	28,900,000	28,900,000
Savings	20,890,277	20,650,000	20,650,000
Interest Earnings	498,834	500,000	500,000
Supplemental Plan Premiums	69,798,450	72,100,000	72,100,000
Refunds	96,823	-	-
Penalties	-	-	-
Total Fee Collection to Line (1) - Section III	117,959,069	122,150,000	122,150,000

SECTION II - FULL COSTS

Direct Costs:			
Salaries and Benefits	356,324	413,501	417,021
Other Personal Services	-	2,500	2,500
Expenses	22,401	48,832	48,832
Operating Capital Outlay	-	10,000	10,000
Sp.Cat.:Risk Management Insurance	10,313	5,861	5,861
HR Statewide Contract	3,953	3,960	3,960
Contracted Services	259,895	348,505	348,505
Data Processing Services - SSRC	-	10,522	10,547
Indirect Costs Charged to Trust Fund:			
TR to Health Fund-2668	19,000,000	25,000,000	22,000,000
Reimbursement of Claims	26,705,186	26,750,000	26,750,000
Payment of Premiums	70,084,289	72,100,000	72,100,000
Refunds	386,566	-	-
Employer/Employee Adjustments	242	-	-
TR to 2021-Admin.Assess.Fee	218,070	131,892	154,314
PY CF B Paid in FY 2011/12	82,517		
Cert Forward A Reversions @ 9/30/2011	(90)		
Total Full Costs to Line (2) - Section III	117,129,666	124,825,573	121,851,540

Basis Used: Accrual

SECTION III - SUMMARY

TOTAL SECTION I	(A)	117,959,069	122,150,000	122,150,000
TOTAL SECTION II	(B)	117,129,666	124,825,573	121,851,540
TOTAL - Surplus/Deficit	(C)	829,403	(2,675,573)	298,460

EXPLANATION:

SCHEDULE 1A: DETAIL OF FEE COLLECTION AND RELATED PROGRAM COSTS

Department: 72 Management Services **Budget Period:** 2013-14
Program: 72750200 Insurance Benefits Administration
Fund: 2667 State Employees Life Insurance Trust
Specific Authority: 110.123, F.S.
Purpose of Fees Collected: Employee Benefits Plan

Type of Fee or Program: (Check **ONE** Box and answer questions as indicated.)

<input type="checkbox"/>	Regulatory services or oversight to businesses or professions (Complete Sections I, II, and III and attach Examination of Regulatory Fees Form - Part I and II)
<input checked="" type="checkbox"/>	Non-regulatory fees authorized to cover full cost of conducting a specific program or service. (Complete Sections I, II, and III only.)

(1)	(2)	(3)	(4)
SECTION I - FEE COLLECTION	ACTUAL FY 2011 - 12	ESTIMATED FY 2012 - 13	REQUEST FY 2013 - 14
Receipts:			
Contributions	30,238,174	29,462,010	29,418,010
Interest Earnings	43,967	44,000	44,000
<i>Proposed Premium Increase</i>	-	-	-
Miscellaneous	371	-	-
Refund from Prudential	-	-	-
Transfer In From Disability Trust Fund	-	-	-
Total Fee Collection to Line (1) - Section III	30,282,512	29,506,010	29,462,010

SECTION II - FULL COSTS

Direct Costs:			
Salaries and Benefits	-	20,238	20,413
Expenses	-	1,984	1,984
Sp.Cat.:Risk Management Insurance	1,795	1,020	1,020
TR/DMS/HR Svcs/STWD Contract	276	276	276
Data Processing Services - SSRC	-	2,219	2,224
Indirect Costs Charged to Trust Fund:			
Refunds	58,603	1,847	2,161
Adj.to Employee/Employer Contrib.	-	-	-
Payment of Premiums	29,774,602	29,487,790	29,418,010
TR to 2021-Admin.Assess.Fee	15,115	-	-
Certified Forward Reversions	-	-	-
July Premiums paid in June/Covers Defic	-	-	-
Reserve for Pay Package	-	-	-
Total Full Costs to Line (2) - Section III	29,850,391	29,515,374	29,446,088

Basis Used: Accrual

SECTION III - SUMMARY

TOTAL SECTION I	(A)	30,282,512	29,506,010	29,462,010
TOTAL SECTION II	(B)	29,850,391	29,515,374	29,446,088
TOTAL - Surplus/Deficit	(C)	432,121	(9,364)	15,922

EXPLANATION:

SCHEDULE 1A: DETAIL OF FEE COLLECTION AND RELATED PROGRAM COSTS

Department: 72 Management Services **Budget Period: 2013-14**
Program: 72750200 Insurance Benefits Administration
Fund: 2668 State Employees Health Insurance Trust
Specific Authority: 110.123, F.S.
Purpose of Fees Collected: Employee Benefits Plan

Type of Fee or Program: (Check **ONE** Box and answer questions as indicated.)

<input type="checkbox"/>	Regulatory services or oversight to businesses or professions (Complete Sections I, II, and III and attach Examination of Regulatory Fees Form - Part I and II.)
<input checked="" type="checkbox"/>	Non-regulatory fees authorized to cover full cost of conducting a specific program or service. (Complete Sections I, II, and III only.)

	(1) SECTION I - FEE COLLECTION	(2) ACTUAL FY 2010 - 11	(3) ESTIMATED FY 2012 - 13	(4) REQUEST FY 2013 - 14
Receipts:				
SEE ATTACHED LISTING				
Total Fee Collection to Line (1) - Section III		1,886,697,914	1,902,800,000	2,053,000,000

SECTION II - FULL COSTS

Direct Costs:

Salaries and Benefits	1,199,718	1,291,354	1,302,349	
Other Personal Services	25,730	140,772	140,772	
Expenses	217,986	294,262	294,262	
Operating Capital Outlay	-	10,000	10,000	
Sp.Cat.:TR to Div.of Admin.Hearings	49,019	5,820	5,820	
Sp.Cat.:ASO Contract/Health Ins.	28,863,018	51,100,000	51,100,000	20100000
Sp.Cat.:Prescription Drug Claims Ad.	165,499	287,280	287,280	319200
Sp.Cat.: Risk Management Insurance	31,832	18,090	18,090	
Sp.Cat.:Post Payment Claims/Svcs	44,863	1,300,000	400,000	1300000
Sp.Cat.: Contracted Services	645,921	1,699,157	1,599,157	
Contracted Legal Services	196,683	50,000	50,000	
Pymt Employer/HSA Custodian	733,785	786,443	786,443	786,443
Deferred-Pay Com Contracts	-			
HR Statewide Contract	10,167	10,898	10,898	
Sp.Cat.: Contracted Bank Services	33,124	79,000	79,000	
Lease/Purchase/Equipment		4,269	4,269	
Data Processing Services-SSRC	14,148	26,433	26,503	

Indirect Costs Charged to Trust Fund:

Payments to Health Maint. Orgs.	626,281,703	264,500,000	285,700,000	
Payments to Self Insured Health Maint. Or	198,287,076	565,400,000	574,500,000	
TR to Health Claims Bank Account	990,064,788	1,080,400,000	1,157,000,000	
Pymt of Participant to HSA Custodian	993,444	928,000	928,000	
Refunds	4,416,566			
Adj. to E/E Contributions	17,149			
B/A EOG 0019 E-Mail Migration				
TR to 2021-Admin.Assess.Fee	286,959	397,262	464,797	
B/A EOG 0038 Self Insured Model				
CF B Paid not in Beg Bal				
Cert Forward Reversions @ 9/30/2012		(53,787)		
Cert Forward Reversions @ 9/30/2011	(34,433)			
Federal Patient Protection Affordable Care Act				
July Premiums paid in June/Covers Deficit				
Total Full Costs to Line (2) - Section III	1,852,544,745	1,968,675,253	2,074,707,640	

Basis Used: Accrual

TR to Health Claims Bank Account

SECTION III - SUMMARY

TOTAL SECTION I	(A)	1,886,697,914	1,902,800,000	2,053,000,000
TOTAL SECTION II	(B)	1,852,544,745	1,968,675,253	2,074,707,640
TOTAL - Surplus/Deficit	(C)	34,153,169	(65,875,253)	(21,707,640)

EXPLANATION:

SCHEDULE 1A: DETAIL OF FEE COLLECTION AND RELATED PROGRAM COSTS

Department: Management Services **Budget Period: 2013-14**
Program: Insurance Benefits Administration (72750200)
Fund: State Employees Health Insurance Trust (2668)

Specific Authority: 110.123, F.S.
Purpose of Fees Collected: Employee Benefits Plan

(1)	(2)	(3)	(4)
<u>SECTION I - FEE COLLECTION</u>	ACTUAL	ESTIMATED	REQUEST
	FY 2011 - 12	FY 2012 - 13	FY 2013 - 14
<u>Receipts:</u>			
<u>Employee/Employer Contributions</u>	1,808,287,557	1,594,000,000	1,674,200,000
<u>Health Saving Account Employer Contribu</u>	-	1,600,000	1,600,000
<u>Contributions-Medicare Part D Subsidy</u>	16,030,517	20,600,000	22,500,000
<u>Interest Earnings</u>	4,916,090	5,500,000	3,900,000
<u>Reimbursements & Refunds (TPA & PBM</u>	38,112,798	42,500,000	36,100,000
<u>Non-Employee Contributions</u>	-	213,600,000	226,700,000
<u>Prior Year Warrant Cancellations & Misc</u>	350,952	-	-
<u>Transfer from 72750200-2570</u>	19,000,000	25,000,000	22,000,000
<u>Proposed Premium Increases</u>			66,000,000
Total Fee Collection to Line (1) - Section III	1,886,697,914	1,902,800,000	2,053,000,000

SCHEDULE 1A: DETAIL OF FEE COLLECTION AND RELATED PROGRAM COSTS

Department: 72 Management Services **Budget Period: 2013-14**
Program: 72750200 Insurance Benefits Administration
Fund: 2671 State Employees Disability Insurance Trust
Specific Authority: 110.123, F.S.
Purpose of Fees Collected: Employee Benefits Plan

Type of Fee or Program: (Check **ONE** Box and answer questions as indicated.)

<input type="checkbox"/>	Regulatory services or oversight to businesses or professions (Complete Sections I, II, and III and attach Examination of Regulatory Fees Form - Part I and II.)
<input checked="" type="checkbox"/>	Non-regulatory fees authorized to cover full cost of conducting a specific program or service. (Complete Sections I, II, and III only.)

	(1)	(2)	(3)	(4)
SECTION I - FEE COLLECTION	ACTUAL	ESTIMATED	REQUEST	
	FY 2011 - 12	FY 2012 - 13	FY 2013 - 14	
Receipts:				
Contributions	528,889	517,155	517,155	
Interest Earnings	54,179	55,000	55,000	
Refunds	7,242	-	-	
Total Fee Collection to Line (1) - Section III	590,310	572,155	572,155	

SECTION II - FULL COSTS

Direct Costs:

Salaries and Benefits	-	26,492	26,717	
Other Personal Services	-			
Expenses	-	2,875	2,875	
HR Statewide Contract	131	131	131	
Sp.Cat.:Risk Management Insurance	896	509	509	
Data Processing Services-SSRC	-	4,111	4,121	

Indirect Costs Charged to Trust Fund:

Refunds	2			
Employee/Employer Adjustments	11			
Payment of Claims	410,938	410,938	410,938	
TR to 2021-Admin.Assess.Fee	1,764	1,430	1,430	
Post Closing Adj.by Statewide Fin.	-			
TR to 72750200-2667	-			
Reserve for Pay Package	-			
Total Full Costs to Line (2) - Section III	413,743	446,486	446,721	

Basis Used: Accrual

SECTION III - SUMMARY

TOTAL SECTION I	(A)	590,310	572,155	572,155
TOTAL SECTION II	(B)	413,743	446,486	446,721
TOTAL - Surplus/Deficit	(C)	176,567	125,669	125,434

EXPLANATION:

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

Department Title:	Budget Period: 2013 - 2014
Trust Fund Title:	MANAGEMENT SERVICES
Budget Entity:	PRETAX BENEFITS TRUST
LAS/PBS Fund Number:	INSURANCE BENEFITS ADMINISTRATION (72750200)
	2570

	Balance as of 6/30/2012	SWFS* Adjustments	Adjusted Balance
Chief Financial Officer's (CFO) Cash Balance	741,135 (A)		741,135
ADD: Other Cash (See Instructions)			0
ADD: Investments	12,221,457 (C)		12,221,457
ADD: Outstanding Accounts Receivable	52,117 (D)	0	52,117
ADD: <u>2008/2009 Premiums</u>			0
Total Cash plus Accounts Receivable	13,014,710 (F)		13,014,710
LESS Allowances for Uncollectibles			0
LESS Approved "A" Certified Forwards	11,003 (H)		11,003
Approved "B" Certified Forwards	117,404 (H)		117,404
LESS: Other Accounts Payable (Non-Operating)	3,294,902 (H)	-	3,294,902
LESS: <u>Unearned Revenue</u>	6,199,477 (I)		6,199,477
LESS: Other Accounts Payable			0
Unreserved Fund Balance, 07/01/12	3,391,925 (K)		3,391,925 **

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.

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

Department Title:	Budget Period: 2013 - 2014
Trust Fund Title:	MANAGEMENT SERVICES
Budget Entity:	STATE EMPLOYEE LIFE INSURANCE TRUST
LAS/PBS Fund Number:	INSURANCE BENEFITS ADMINISTRATION (72750200)
	2667

	Balance as of 6/30/2012	SWFS* Adjustments	Adjusted Balance
Chief Financial Officer's (CFO) Cash Balance	63,552 (A)		63,552
ADD: Other Cash (See Instructions)			0
ADD: Investments	2,604,346 (C)		2,604,346
ADD: Outstanding Accounts Receivable	5,523 (D)	30	5,552
ADD: <u>2008/2009 Premiums</u>	0 (E)		0
Total Cash plus Accounts Receivable	2,673,421 (F)	30	2,673,450
LESS Allowances for Uncollectibles			0
LESS Approved "A" Certified Forwards	0 (H)		0
Approved "B" Certified Forwards			0
Approved "FCO" Certified Forwards			0
LESS: Other Accounts Payable	294 (I)		294
LESS: <u>Unearned Revenue</u>	1,816,598 (J)		1,816,598
Unreserved Fund Balance, 07/01/12	856,529 (K)	30	856,558**

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.

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

Department Title:	Budget Period: 2013 - 2014
Trust Fund Title:	MANAGEMENT SERVICES
Budget Entity:	STATE EMPLOYEE HEALTH INSURANCE TRUST
LAS/PBS Fund Number:	INSURANCE BENEFITS ADMINISTRATION (72750200)
	2668

	Balance as of 6/30/2012	SWFS* Adjustments	Adjusted Balance
Chief Financial Officer's (CFO) Cash Balance	1,298,479 (A)		1,298,479
ADD: Cash in Claims Bank Account	1,002,155 (B)		1,002,155
ADD: Investments	311,445,438 (C)		311,445,438
Total Cash and Investments, (DSGI Cash Balance)	313,746,071		313,746,071
ADD: Outstanding Accounts Receivable	19,439,749 (D)	8,070	19,447,819
ADD: <u>Proposed Premium Increase</u>			-
Total Cash, Investments and Accounts Receivable	333,185,820 (F)	8,070	333,193,890
LESS Allowances for Uncollectibles			-
LESS Approved "A" Certified Forwards	157,777 (H)		157,777
Approved "B" Certified Forwards	390,979 (H)		390,979
LESS: Other Accounts Payable (Non_Operating)	153,317,883 (H)		153,317,883
LESS: Other Accounts Payable			-
LESS: <u>Unearned Revenue</u>	89,520,708 (J)		89,520,708
Unreserved Fund Balance, 07/01/12	89,798,473 (K)	8,070	89,806,543 **

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.

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

Budget Period: 2013 - 2014

Department Title:	MANAGEMENT SERVICES
Trust Fund Title:	STATE EMPLOYEE DISABILITY INSURANCE TRUST
Budget Entity:	INSURANCE BENEFITS ADMINISTRATION (72750200)
LAS/PBS Fund Number:	2671

	Balance as of 6/30/2012		SWFS* Adjustments		Adjusted Balance
Chief Financial Officer's (CFO) Cash Balance	5,014	(A)			5,014
ADD: Other Cash (See Instructions)		(B)			0
ADD: Investments	2,504,845	(C)			2,504,845
ADD: Outstanding Accounts Receivable	4,651	(D)			4,651
Total Cash plus Accounts Receivable	2,514,509	(F)			2,514,509
LESS Allowances for Uncollectibles		(G)			0
LESS Approved "A" Certified Forwards	0	(H)			0
Approved "B" Certified Forwards		(H)			0
Approved "FCO" Certified Forwards		(H)			0
LESS: Other Accounts Payable (Non-Operating)	247	(I)			247
LESS: <u>Unearned Revenue</u>	31,117	(J)			31,117
Unreserved Fund Balance, 07/01/12	2,483,145	(K)			2,483,145 **

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.

Office of Policy and Budget - July 2012

RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC

Budget Period: 2013 - 2014

Department Title:	<u>720000 MANAGEMENT SERVICES</u>
Trust Fund Title:	<u>Pretax Benefits Trust Fund</u>
LAS/PBS Fund Number:	<u>2570</u>

BEGINNING TRIAL BALANCE:

Unreserved Fund Balance Per Trial Balance, 07-01-12	<input type="text" value="3,454,205"/> (A)
---	--

Add/Subtract:

Compensated Absences Liability Recorded In FLAIR / Not Recorded On Schedule 1C	<input type="text" value="55,123"/>
---	-------------------------------------

Property Value in FLAIR Not Recorded On Schedule 1C	<input type="text"/>
--	----------------------

Certified Forward B On Schedule 1C/Not Subtracted From FLAIR Fund Balance	<input type="text" value="(117,404)"/>
--	--

Other Adjustment(s):

Statewide Post Closing Adjustment @ June 30, 2012	<input type="text"/> (C)
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ADJUSTED BEGINNING TRIAL BALANCE:	<input type="text" value="3,391,925"/> (D)
--	--

UNRESERVED FUND BALANCE, SCHEDULE IC	<input type="text" value="3,391,925"/> (E)
---	--

DIFFERENCE:	<input type="text" value="0"/> (F)*
--------------------	-------------------------------------

***SHOULD EQUAL ZERO.**

RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC

Budget Period: 2013 - 2014

Department Title: 720000 MANAGEMENT SERVICES
Trust Fund Title: State Employees Life Insurance Trust Funds
LAS/PBS Fund Number: 2667

BEGINNING TRIAL BALANCE:

667002 Unreserved Fund Balance Per Trial Balance, 07-01-11 (A)

Add/Subtract:

2008/2009 Premium Increase on Schedule 1C only
to avoid deficit cash balance

Other Adjustment(s):

Statewide Post Closing Adjustment @ June 30, 2012 (C)
Increase in Accounts Receivables

ADJUSTED BEGINNING TRIAL BALANCE: (D)

UNRESERVED FUND BALANCE, SCHEDULE IC (E)

DIFFERENCE: (F)*

***SHOULD EQUAL ZERO.**

Office of Policy and Budget - July, 2008

RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC

Budget Period: 2013 - 2014

Department Title:	<u>720000 MANAGEMENT SERVICES</u>
Trust Fund Title:	<u>State Employees Health Insurance Trust Fund</u>
LAS/PBS Fund Number:	<u>2668</u>

BEGINNING TRIAL BALANCE:

668003 Unreserved Fund Balance Per Trial Balance, 07-01-11 (A)

Add/Subtract:

Proposed Premium Increase on Schedule 1C to alleviate (B)
Deficit Cash Balance @ 6/30/2011. Not in FLAIR

Property Value Recorded In FLAIR As Assets/Not Recorded On
Schedule 1C

Certified Forward B On Schedule 1C/Not Subtracted
From FLAIR Fund Balance

Compensated Absences Liability Recorded In FLAIR/
Not Recorded On Schedule 1C

Accounts Payable not Certified Forward

Other Adjustment(s):

Statewide Post Closing Adjustment @ June 30, 2012 (C)

ADJUSTED BEGINNING TRIAL BALANCE: (D)

UNRESERVED FUND BALANCE, SCHEDULE IC (E)

DIFFERENCE: (F)*

***SHOULD EQUAL ZERO.**

RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC

Budget Period: 2013 - 2014

Department Title:	<u>720000 MANAGEMENT SERVICES</u>
Trust Fund Title:	<u>State Employees Disability Insurance Trust Fund</u>
LAS/PBS Fund Number:	<u>2671</u>

BEGINNING TRIAL BALANCE:

Unreserved Fund Balance Per Trial Balance, 07-01-12	<input type="text" value="2,483,145"/> (A)
---	--

Add/Subtract:

Compensated Absences Liability Recorded In FLAIR/ Not Recorded On Schedule 1C	<input type="text" value="0.00"/>
--	-----------------------------------

Other Adjustment(s):

Statewide Post Closing Adjustment @ June 30, 2012	<input type="text"/> (C)
---	--------------------------

<input type="text"/>	(C)
----------------------	-----

ADJUSTED BEGINNING TRIAL BALANCE:	<input type="text" value="2,483,145"/> (D)
--	--

UNRESERVED FUND BALANCE, SCHEDULE IC	<input type="text" value="2,483,145"/> (E)
---	--

DIFFERENCE:	<input type="text" value="0"/> (F)*
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***SHOULD EQUAL ZERO.**

SCHEDULE IX: MAJOR AUDIT FINDINGS AND RECOMMENDATIONS

Budget Period: 2013-2014

Department: Management Services

Chief Internal Auditor: John W. Davis

Budget Entity: Insurance Benefits Administration (DSGI)

Phone Number: (850) 487-9476

(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 are no issues or findings to report for Insurance Benefits Administration.		



DEPARTMENT OF MANAGEMENT
SERVICES

Fiscal Year 2013-14

Retirement Benefits
Administration

Exhibits and Schedules



DEPARTMENT OF MANAGEMENT
SERVICES

Fiscal Year 2013-14

Retirement Benefits
Administration

Schedule I Series

SCHEDULE 1A: DETAIL OF FEE COLLECTION AND RELATED PROGRAM COSTS

Department: 72 Management Services **Budget Period: 2013-14**
Program: 72750300 Retirement Benefits Administration
Fund: 2510 Operating Trust
Specific Authority: 121.031, F.S.
Purpose of Fees Collected: Employee Benefits Plan

Type of Fee or Program: (Check **ONE** Box and answer questions as indicated.)

<input type="checkbox"/>	Regulatory services or oversight to businesses or professions (Complete Sections I, II, and III and attach Examination of Regulatory Fees Form - Part I and II.)
<input checked="" type="checkbox"/>	Non-regulatory fees authorized to cover full cost of conducting a specific program or service. (Complete Sections I, II, and III only.)

(1)	(2)	(3)	(4)
SECTION I - FEE COLLECTION	ACTUAL FY 2011 - 12	ESTIMATED FY 2012 - 13	REQUEST FY 2013 - 14
Receipts:			
SEE ATTACHED LISTING	<input type="text"/>	<input type="text"/>	<input type="text"/>
	<input type="text"/>	<input type="text"/>	<input type="text"/>
Total Fee Collection to Line (1) - Section III	16,279,261	17,281,000	19,781,000
SECTION II - FULL COSTS			
Direct Costs:			
Salaries and Benefits	8,872,873	9,604,581	9,696,956
Other Personal Services	3,230	6,029	6,029
Expenses	2,379,815	3,112,141	3,112,141
Operating Capital Outlay	76,065	100,000	100,000
Sp.Cat.:TR to DOAH	22,314	13,581	13,581
Sp.Cat.:Contracted Services	3,968,278	4,182,850	6,382,850
Sp.Cat.:Overtime	48,562	122,571	122,571
Sp.Cat.:Risk Management Insurance	56,311	54,497	54,497
Contracted Legal Services	75,050	159,872	159,872
Lease/Purchase/Equipment	<input type="text"/>	20,171	20,171
HR Statewide Contract	55,918	56,016	56,016
Data Processing Services-SSRC	205,692	117,314	117,614
Indirect Costs Charged to Trust Fund:			
Certified Forward B Paid not in Beg Bal	167,907	<input type="text"/>	<input type="text"/>
Cert Forward A Reversions @ 9/30/2011	(97,843)	<input type="text"/>	<input type="text"/>
Cert Forward Reversions @ 9/30/2012	<input type="text"/>	(88,280)	<input type="text"/>
5% Trust Fund Reserve	<input type="text"/>	<input type="text"/>	<input type="text"/>
Total Full Costs to Line (2) - Section III	15,834,173	17,461,343	19,842,298

Basis Used: Accrual

SECTION III - SUMMARY

TOTAL SECTION I	(A)	16,279,261	17,281,000	19,781,000
TOTAL SECTION II	(B)	15,834,173	17,461,343	19,842,298
TOTAL - Surplus/Deficit	(C)	445,088	(180,343)	(61,298)

EXPLANATION:

SCHEDULE 1A: DETAIL OF FEE COLLECTION AND RELATED PROGRAM COSTS

Department: 72 Management Services **Budget Period:** 2013-14
Budget Entity: 72750300 Retirement Benefits Administration
Fund: 2510 Operating Trust
Specific Authority: 121.031, F.S.
Purpose of Fees Collected: Employee Benefits Plan

(1)	(2)	(3)	(4)
<u>SECTION I - FEE COLLECTION</u>	ACTUAL	ESTIMATED	REQUEST
	FY 2011 - 12	FY 2012 - 13	FY 2013 - 14
<u>Receipts:</u>			
TR in from 72750300-2309	16,200,000	17,200,000	19,700,000
Interest Earnings	21,992	24,000	24,000
Sales - State	56,629	57,000	57,000
Refunds & Reimbursements	640		
Total Fee Collection to Line (1) - Section III	16,279,261	17,281,000	19,781,000

SCHEDULE 1A: DETAIL OF FEE COLLECTION AND RELATED PROGRAM COSTS

Department: 72 Management Services **Budget Period:** 2013-14
Program: 72750300 Retirement Benefits Administration
Fund: 2517 Optional Retirement Program Trust
Specific Authority: 121.35, F.S.
Purpose of Fees Collected: Employee Benefits Plan

Type of Fee or Program: (Check **ONE** Box and answer questions as indicated.)

	Regulatory services or oversight to businesses or professions (Complete Sections I, II, and III and attach Examination of Regulatory Fees Form - Part I and II.)
X	Non-regulatory fees authorized to cover full cost of conducting a specific program or service. (Complete Sections I, II, and III only.)

	(1)	(2)	(3)	(4)
SECTION I - FEE COLLECTION		ACTUAL	ESTIMATED	REQUEST
		FY 2011- 12	FY 2012 - 13	FY 2013 - 14
Receipts:				
Contributions from Employers		220,584,054	221,000,000	221,000,000
Interest Earnings		100,545	100,000	100,000
Property Transfer In				
Total Fee Collection to Line (1) - Section III		220,684,599	221,100,000	221,100,000

SECTION II - FULL COSTS

Direct Costs:

Salaries and Benefits		135,527	135,978	138,783
Other Personal Services				
Expenses		11,043	17,633	16,133
Operating Capital Outlay				
Sp.Cat.:Contracted Services		319	500	75,500
Sp.Cat.:Risk Management Insurance				
HR Statewide Contract		565	567	567
Data Processing Services - SSRC				

Indirect Costs Charged to Trust Fund:

Payments to Annuity Companies 310181		211,980,268	214,160,000	214,160,000
Transfers Funds Unfunded Acturial-FRS 181153		7,554,953	7,840,000	7,840,000
Refunds		21,155	-	-
Certified Forward A Reversions @ 9/30/2011			-	-
Comp Leave Liability in Beg Bal			-	

Total Full Costs to Line (2) - Section III

	219,703,830	222,154,678	222,230,983
--	--------------------	--------------------	--------------------

Basis Used: Accrual

SECTION III - SUMMARY

TOTAL SECTION I	(A)	220,684,599	221,100,000	221,100,000
TOTAL SECTION II	(B)	219,703,830	222,154,678	222,230,983
TOTAL - Surplus/Deficit	(C)	980,769	(1,054,678)	(1,130,983)

EXPLANATION:

Negative balances are offset by cash balances brought forward. See Schedule I

SCHEDULE 1A: DETAIL OF FEE COLLECTION AND RELATED PROGRAM COSTS

Department: 72 Management Services **Budget Period: 2013-14**
Program: 72750300 Retirement Benefits Administration
Fund: 2532 Municipal Police/Firemen Premium Tax Trust
Specific Authority: 175.041; 175.091; 175.101; 185.03; 185.07; 185.08
Purpose of Fees Collected: Employee Benefits Plan

Type of Fee or Program: (Check **ONE** Box and answer questions as indicated.)

<input type="checkbox"/>	Regulatory services or oversight to businesses or professions (Complete Sections I, II, and III and attach Examination of Regulatory Fees Form - Part I and II.)
<input checked="" type="checkbox"/>	Non-regulatory fees authorized to cover full cost of conducting a specific program or service. (Complete Sections I, II, and III only.)

	(1)	(2)	(3)	(4)
SECTION I - FEE COLLECTION		ACTUAL	ESTIMATED	REQUEST
		FY 2011 - 12	FY 2012 - 13	FY 2013 - 14
Receipts:				
Insurance Premium Tax		160,549,175	168,700,000	175,200,000
Interest Earnings		390,778	400,000	400,000
Net Appreciation/Depreciation in Fair Market Value		168,439	170,000	170,000
Refunds		2,500		
Transfer from Within Agency				
Total Fee Collection to Line (1) - Section III		161,110,892	169,270,000	175,770,000

SECTION II - FULL COSTS

Direct Costs:

Salaries and Benefits		164,141	746,579	753,759
Other Personal Services				
Expenses		53,345	84,299	84,299
Operating Capital Outlay				
Contracted Services		96,287	191,355	191,355
Lease/Purchase/Equipment			1,090	1,090
HR Statewide Contract		4,033	4,040	4,040
Data Processing Services - SSRC				

Indirect Costs Charged to Trust Fund:

TR to Firefighters Supplemental Comp		18,142,763	18,288,881	18,288,881
TR to GR				-
Aid to Municipalities		109,040,709	151,216,089	146,262,951
S.C. to GR - 8%		12,843,934	13,496,000	14,016,000
SBA Administrative Fee		2,508	2,500	2,500
Transfer to Dept of Revenue		100,000	100,000	100,000
Cert Forward A Reversions @ 9/30/2011		(2,725)		
Cert Forward Reversions @ 9/30/2012			(5,590)	
Total Full Costs to Line (2) - Section III		140,444,995	184,125,243	179,704,875

Basis Used: Accrual

SECTION III - SUMMARY

TOTAL SECTION I	(A)	161,110,892	169,270,000	175,770,000
TOTAL SECTION II	(B)	140,444,995	184,125,243	179,704,875
TOTAL - Surplus/Deficit	(C)	20,665,897	(14,855,243)	(3,934,875)

EXPLANATION:

SCHEDULE 1A: DETAIL OF FEE COLLECTION AND RELATED PROGRAM COSTS

Department: 72 Management Services **Budget Period:** 2013-14
Program: 72750300 Retirement Benefits Administration
Fund: 2583 Retirees Health Insurance Subsidy Trust
Specific Authority: 121, F.S.
Purpose of Fees Collected: Employee Benefits Plan

Type of Fee or Program: (Check **ONE** Box and answer questions as indicated.)

<input type="checkbox"/>	Regulatory services or oversight to businesses or professions (Complete Sections I, II, and III and attach Examination of Regulatory Fees Form - Part I and II.)
<input checked="" type="checkbox"/>	Non-regulatory fees authorized to cover full cost of conducting a specific program or service. (Complete Sections I, II, and III only.)

(1)	(2)	(3)	(4)
<u>SECTION I - FEE COLLECTION</u>	ACTUAL	ESTIMATED	REQUEST
	FY 2011 - 12	FY 2012 - 13	FY 2013 - 14
<u>Receipts:</u>			
Interest Earnings	884,429	900,000	900,000
Contributions from Employers	322,604,374	322,600,000	322,600,000
Total Fee Collection to Line (1) - Section III	323,488,803	323,500,000	323,500,000

SECTION II - FULL COSTS

Direct Costs:

Salaries and Benefits	39,820	40,012	40,402
Other Personal Services			
Expenses	11,370	11,370	11,370
Operating Capital Outlay			
Contracted Services		30,000	30,000
HR Statewide Contract	224	224	224

Indirect Costs Charged to Trust Fund:

Refunds	374,437,595	390,000,000	405,000,000
Pensions & Benefits 311031			
SBA Administrative Fee	3,565	3,565	3,565
Cert Forward Reversions @ 9/30/2010			
Reserve for Pay Package			
Total Full Costs to Line (2) - Section III	374,492,574	390,085,171	405,085,561

Basis Used: Accrual

SECTION III - SUMMARY

TOTAL SECTION I	(A)	323,488,803	323,500,000	323,500,000
TOTAL SECTION II	(B)	374,492,574	390,085,171	405,085,561
TOTAL - Surplus/Deficit	(C)	(51,003,771)	(66,585,171)	(81,585,561)

EXPLANATION:

Negative balance is offset by cash balance brought forward (See Schedule I).

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

Budget Period: 2013 - 2014

Department Title:	MANAGEMENT SER
Trust Fund Title:	FRS OPERATING TRUST
Budget Entity:	RETIREMENT BENEFITS ADMINISTRATION (72750300)
LAS/PBS Fund Number:	2510

	Balance as of 6/30/2012	SWFS* Adjustments	Adjusted Balance
Chief Financial Officer's (CFO) Cash Balance	95,174 (A)	0	95,174
ADD: Cash on Hand & Cash in Bank	2,000 (B)	0	2,000
ADD: Investments	2,022,928 (C)	0	2,022,928
Total Cash and Investments	2,120,103	0	2,120,103
ADD: Outstanding Accounts Receivable	2,993 (D)	0	2,993
Total Cash, Investments and Accounts Receivable	2,123,096 (F)	0	2,123,096
LESS Allowances for Uncollectibles	(G)	0	0
LESS Approved "A" Certified Forwards	727,482 (H)	0	727,482
Approved "B" Certified Forwards	161,761 (H)	0	161,761
Approved "FCO" Certified Forwards	(H)	0	0
LESS: Other Accounts Payable	147 (I)	0	147
Unreserved Fund Balance, 07/01/12	1,233,706 (K)	0	1,233,706 **

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.

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

Department Title:	Budget Period: 2013 - 2014
Trust Fund Title:	MANAGEMENT SERVICES
Budget Entity:	OPTIONAL RETIREMENT PROG TRUST
LAS/PBS Fund Number:	RETIREMENT BENEFITS ADMINISTRATION (72750300)
	2517

	Balance as of 6/30/2012	SWFS* Adjustments	Adjusted Balance
Chief Financial Officer's (CFO) Cash Balance	192,502 (A)		192,502
ADD: Other Cash on Hand			0
ADD: Investments	4,429,661 (C)		4,429,661
Total Cash and Investments	4,622,163 (D)		4,622,163
ADD: Outstanding Accounts Receivables	8,826 (C)		8,826
Total Cash, Investments and Accounts Receivable	4,630,989 (F)		4,630,989
LESS Allowances for Uncollectibles			0
LESS Approved "A" Certified Forwards	3,378 (H)		3,378
Approved "B" Certified Forwards			0
Approved "FCO" Certified Forwards			0
LESS: Other Accounts Payable (Non-Operating)	469 (I)		469
Unreserved Fund Balance, 07/01/12	4,627,141 (K)		4,627,141 **

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.

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

Department Title:	Budget Period: 2013 - 2014
Trust Fund Title:	MANAGEMENT SERVICES
Budget Entity:	MUNICIPAL POLICE/FIREMENT PREMIUM TAX TRUST
LAS/PBS Fund Number:	RETIREMENT BENEFITS ADMINISTRATION (72750300)
	2532

	Balance as of 6/30/2012	SWFS* Adjustments	Adjusted Balance
Chief Financial Officer's (CFO) Cash Balance	70,131 (A)		70,131
ADD: Cash with State Board of Administration	0 (B)		0
ADD: Investments	218,053,139 (C)		218,053,139
Total Cash and Investments	218,123,270		218,123,270
ADD: Outstanding Accounts Receivable	11,549,388 (D)		11,549,388
Total Cash, Investments and Accounts Receivable	229,672,658 (F)		229,672,658
LESS Allowances for Uncollectibles			0
LESS Approved "A" Certified Forwards	60,616 (H)		60,616
Approved "B" Certified Forwards	0 (H)		0
Approved "FCO" Certified Forwards			0
LESS: Other Accounts Payable	161,358,725 (I)		161,358,725
Unreserved Fund Balance, 07/01/12	68,253,318 (K)		68,253,318 **

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.

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

Department Title:	Budget Period: 2013 - 2014
Trust Fund Title:	MANAGEMENT SERVICES
Budget Entity:	RETIREE HIS TRUST
LAS/PBS Fund Number:	RETIREMENT BENEFITS ADMINISTRATION (72750300)
	2583

	Balance as of 6/30/2012	SWFS* Adjustments	Adjusted Balance
Chief Financial Officer's (CFO) Cash Balance	183,829 (A)		183,829
ADD: Cash on Hand and with SBA	1,056,235 (B)		1,056,235
ADD: Investments	182,192,080 (C)		182,192,080
Total Cash and Investments	183,432,143		183,432,143
ADD: Outstanding Accounts Receivable	36,917,801 (D)	0	36,917,801
Total Cash, Investments and Accounts Receivable	220,349,944 (F)	0	220,349,944
LESS Allowances for Uncollectibles			0
LESS Approved "A" Certified Forwards			0
Approved "B" Certified Forwards			0
Approved "FCO" Certified Forwards			0
LESS: Other Accounts Payable	-1,961 (I)	5,943	3,982
Unreserved Fund Balance, 07/01/12	220,351,905 (K)	-5,943	220,345,962 **

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: 2013 - 2014

Department Title: 720000 MANAGEMENT SERVICES
Trust Fund Title: FRS Operating Trust Fund
LAS/PBS Fund Number: 2510

BEGINNING TRIAL BALANCE:

Unreserved Fund Balance Per Trial Balance, 07-01-12 855,044 (A)

Add/Subtract:

Property Value Recorded In FLAIR As Assets/Not Recorded On Schedule 1C (B)
(362,992)

Compensated Absences Liability Recorded In FLAIR/ Not Recorded On Schedule 1C 903,415

Accounts Payable not Certified Forward Recorded IN FLAIR/ Not Recorded On Schedule 1C

Certified Forward B On Schedule 1C/Not Subtracted From FLAIR Fund Balance (161,761)

Other Adjustment(s):

Statewide Post Closing Adjustment @ June 30, 2012 (C)

ADJUSTED BEGINNING TRIAL BALANCE: 1,233,706 (D)

UNRESERVED FUND BALANCE, SCHEDULE IC 1,233,706 (E)

DIFFERENCE: 0 (F)*

***SHOULD EQUAL ZERO.**

Office of Policy and Budget - July, 2008

RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC

Budget Period: 2013 - 2014

Department Title: 720000 MANAGEMENT SERVICES
Trust Fund Title: Optional Retirement Program Trust Fund
LAS/PBS Fund Number: 2517

BEGINNING TRIAL BALANCE:

Unreserved Fund Balance Per Trial Balance, 07-01-12 (A)

Add/Subtract:

Compensated Absences Liability Recorded In FLAIR/
Not Recorded On Schedule 1C

Other Adjustment(s):

Statewide Post Closing Adjustment @ June 30, 2011 (C)

(C)

ADJUSTED BEGINNING TRIAL BALANCE: (D)

UNRESERVED FUND BALANCE, SCHEDULE IC (E)

DIFFERENCE: (F)*

***SHOULD EQUAL ZERO.**

Office of Policy and Budget - July, 2008

RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC

Budget Period: 2013 - 2014

Department Title:	<u>720000 MANAGEMENT SERVICES</u>
Trust Fund Title:	<u>Police & Firefighters Premium Tax TF</u>
LAS/PBS Fund Number:	<u>2532</u>

BEGINNING TRIAL BALANCE:

Unreserved Fund Balance Per Trial Balance, 07-01-12	<input type="text" value="68,253,318"/>	(A)
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Add/Subtract:

Accounts Payable Not Certified Forward in FLAIR Not Recorded On Schedule 1C	<input type="text"/>	(B)
--	----------------------	-----

Certified Forward B recored on Schedule 1C Not Recorded in FLAIR	<input type="text" value="0"/>	
---	--------------------------------	--

Other Adjustment(s):

Statewide Post Closing adjustment to Accounts Receivable	<input type="text"/>	(C)
--	----------------------	-----

<input type="text"/>	(C)
----------------------	-----

ADJUSTED BEGINNING TRIAL BALANCE:	<input type="text" value="68,253,318"/>	(D)
--	---	-----

UNRESERVED FUND BALANCE, SCHEDULE IC	<input type="text" value="68,253,318"/>	(E)
---	---	-----

DIFFERENCE:	<input type="text" value="0"/>	(F)*
--------------------	--------------------------------	------

***SHOULD EQUAL ZERO.**

RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC

Budget Period: 2013 - 2014

Department Title: 720000 MANAGEMENT SERVICES
Trust Fund Title: Retiree Health Insurance Subsidy TF
LAS/PBS Fund Number: 2583

BEGINNING TRIAL BALANCE:

Unreserved Fund Balance Per Trial Balance, 07-01-12 220,351,905 (A)

Add/Subtract:

Compensated Leave Liability in FLAIR
 Not on Schedule 1C 0.00 (B)

Certified Forward B recored on Schedule 1C
 Not Recorded in FLAIR 0

Other Adjustment(s):

Statewide Post Closing adjustment to Accounts Payable (5,943) (C)

_____ (C)

ADJUSTED BEGINNING TRIAL BALANCE: 220,345,962 (D)

UNRESERVED FUND BALANCE, SCHEDULE IC 220,345,962 (E)

DIFFERENCE: (0) (F)*

***SHOULD EQUAL ZERO.**

**DEPARTMENT OF MANAGEMENT
SERVICES**

**SCHEDULE IV-B
FOR
DIVISION OF RETIREMENT
IRIS MODERNIZATION PROJECT
FOR
FISCAL YEAR 2013-14**



State of Florida

The Florida Legislature




Governor's Office of Policy and Budget

September 15, 2012

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**FY 2013-14 SCHEDULE IV-B FEASIBILITY STUDY FOR
IRIS MODERNIZATION PROJECT**

Schedule IV-B Cover Sheet and Agency Project Approval	
Agency: Florida Department of Management Services Division of Retirement	Schedule IV-B Submission Date: October 15, 2012
Project Name: IRIS Modernization Project	Is this project included in the Agency's LRP? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
FY 2013-14 LBR Issue Code:	FY 2013-14 LBR Issue Title: Information Technology Integrated Retirement Information System (IRIS)
Agency Contact for Schedule IV-B (Name, Phone #, and E-mail address):	
AGENCY APPROVAL SIGNATURES	
I am submitting the attached Schedule IV-B in support of our legislative budget request. I have reviewed the estimated costs and benefits documented in the Schedule IV-B and believe the proposed solution can be delivered within the estimated time for the estimated costs to achieve the described benefits. I agree with the information in the attached Schedule IV-B.	
Agency Head:  Printed Name: Erin Rodak	Date: 10-11-12
Agency Chief Information Officer (or equivalent):  Printed Name: Joe Wright	Date: 10/10/2012
Budget Officer: Printed Name: Nick Johnson	Date: 10/10/12
Planning Officer: Printed Name: Nick Johnson	Date: 10/10/12
Project Sponsor: (Division Director)  Printed Name: Sarah Beth Shuggs	Date: 10/11/12
Schedule IV-B Preparer (Name, Phone #, and E-mail address):	
Business Need:	
Cost Benefit Analysis:	
Risk Analysis:	
Technology Planning:	
Project Planning:	

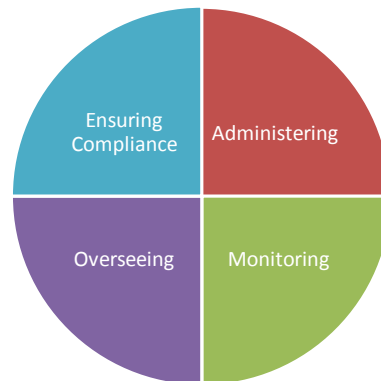
II. Schedule IV-B Business Case

A. Background and Strategic Needs Assessment

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

1. Agency Program(s)/Service(s) Environment

The Florida Retirement System (FRS) was created in December 1970 to consolidate existing state-administered retirement systems. The Division of Retirement (division) was established to administer the Florida Retirement System (FRS). The division supports approximately one million current and retired members and 1,000 employing agencies representing State, county, district school board, university, community college, city, metropolitan planning organization, charter school and special district agency employees. The mission of the division is to deliver a high quality, innovative and cost-effective retirement system. Since its creation, the division's major responsibilities have expanded to include:



Administering:

1. The defined benefit programs of consolidated Florida Retirement System (chapter 121, F.S.).
2. The State University System Optional Retirement Program (section 121.35, F.S.) and the Senior Management Service Optional Annuity Program (section 121.055, F.S.).
3. The Health Insurance Subsidy (HIS) Program for retirees of the FRS (section 112.363, F.S.).
4. The Social Security Coverage Program for Florida public employees under chapter 650, F.S. (the division is not responsible for social security benefits).

Monitoring Florida's 489 local government public retirement systems covering 107,007 employees and six school board early retirement programs covering 9,157 school board employees for compliance with Part VII of chapter 112 F.S.

Overseeing the municipal and special district firefighters' and municipal police officers' pension plans (chapters 175 and 185, F.S.).

Ensuring Compliance. Ensuring compliance with Article X, Section 14, of the Florida Constitution, which requires concurrent funding of benefit increases on a sound actuarial basis, and with section 112.61, F.S., the Florida Protection of Public Employee Retirement Benefits Act.

The division depends heavily on the Integrated Retirement Information System (IRIS) and Retirement OnLine (ROL) to serve the FRS members. The IRIS is based on aging technology and system architecture. The IRIS was originally developed in 1997, when client-server architecture was a leading technology and the IRIS was viewed by other states as a model for a modern retirement information technology system. In the ensuing 15 years, changes in program services, program complexity, technology, membership size, and member and partner expectations have increased. While the current system still supports the majority of the division's business needs and allows members to be served efficiently and accurately, its underlying architecture prevents the division from implementing modernizations and innovating to the next level is customer service and administrative cost control. The division is challenged to respond quickly to legislative mandates and the cost of maintaining its system has increased. The division is concerned about risks related to the longevity and flexibility of the system. The following items have been identified by an independent study (The IRIS Modernization Study) conducted by a third party consulting firm (at the request of the division) as areas of concern moving forward with the current IRIS system:

Business needs remain unfulfilled: As part of an ongoing commitment to continuous process improvement and enhanced customer service, the division continues to strive to increase customer self-service by providing increased functionality and faster response times through automated processes. The division has identified 24 business needs that continue to remain unfulfilled. The division has prioritized 11 business needs as "High" (required today). It is imperative that these needs be fulfilled in order to maintain and potential enhance customer satisfaction and employee productivity. The division requires increased flexibility to support newer customer requirements, legislative mandates and market conditions, and to continue to provide excellent customer service. The current system's architecture limits this much-needed functionality.

Current architecture is not viable: Although, the IRIS system is meeting the division's current needs, it is unlikely that the system would continue to meet the division's needs in the future. The division identified 24 business needs that need to be fulfilled, the division is unable to make progress in this direction due to the fixed amount of resources at its disposal and the fact that seemingly simple requirements are consuming significant resources due to the inflexibility and complexity of the current architecture. Many small inefficiencies linger in the current system which could prevent the division from moving to the next level in terms of administrative cost control or enhancing customer service. In addition, components such as JetForms and PowerClass (the core development framework for the IRIS) are already unsupported by the Original Equipment Manufacturer (OEM). It is unlikely that the IRIS can be supported or enhanced significantly on tools and technologies that are no longer supported by their OEMs.

Maintaining the IRIS: Sufficient technical resources exist to prevent a crisis in maintaining the current environment, but the cost of these resources are approximately 20% higher than they would be with modern architecture. A staffing analysis showed a trend of diminishing interest in the legacy technology, leading to the likelihood that

resources will become more scarce over time. The availability of staff was confirmed as a risk of the current system. It is not a critical risk, but has a potential long-term impact on cost and the ability to maintain the system. Resources skilled in modern architectures are easier to find and cost less.

Workload is increasing: The FRS membership is estimated to grow by 44% by Year 2020 (compared to Year 2000) while the division staffing levels have decreased by 20%. Over the past 11 years, “number of members served per division employee” has increased by 33%. It appears that the division is headed towards a “*silent tsunami*” in terms of its workload. While the membership count and program complexity are increasing, the current technical architecture is also aging. The division may need to either proportionately increase the staffing levels to serve the rising membership in FRS (which may not guarantee the same level of workforce efficiency as the current IRIS system is already 15 years old and aging rapidly) or implement a more modern IRIS system that can help the division maintain its current leadership position in providing a cost effective program with a high level of customer satisfaction.

Administrative costs may increase: The current administrative cost of \$18 per member may increase as the FRS membership is growing, the technology system is aging and the division may need to increase staffing levels to maintain the customer service levels.

In Summary, the current IRIS architecture may not support the future needs of the division. A modernization effort that allows the division to fulfill its business needs to provide an enhanced customer experience, gain additional efficiencies in business processes, manage workload and stay current with the changing laws is required.

2. Business Objectives

The Division of Retirement administers the payment of more than \$6 billion annually from the \$131 billion FRS trust fund. Legislative changes and a growing population are conditions that will put stress on the current IRIS system. The objective of this project is to get ahead of those problems by updating the FRS technology. This will allow the division to manage the FRS trust money efficiently and ultimately save the State of Florida and its taxpayers money.

B. Baseline Analysis

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

1. Current Business Process Requirements

The current management processes for the Florida Retirement System run efficiently and effectively. The division faces challenges in maintaining its high standard of performance because of the age and abilities of the current IRIS system. Efficiencies gained 15 years ago when new processes and the current IRIS was implemented are still effective today and the division reports one of the most cost efficient operations in the country. In implementing the new IRIS system, little business transformation, if any, will be required.

Facts about the Florida Retirement System (FRS):

- FRS is the fourth largest public retirement system in the United States.
- FRS continues to remain as one of the most economical systems in terms of administrative costs.
- FRS current member satisfaction is 95%.

Comparing the Size of Florida to Other States

The IRIS Modernization Study chose 5 other states with similar total membership to compare against Florida. The following table provides the details of other states and their membership.

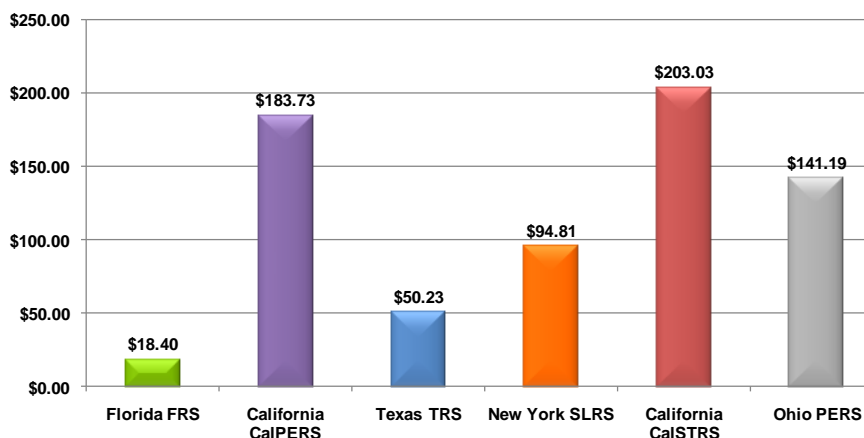
Exhibit 1 : Retirement Membership by State

Fiscal Year 2009/10	Florida FRS	California CalPERS	Texas TRS	New York SLRS	California CalSTRS	Ohio PERS
Total Members	993,281	1,629,667	1,300,680	1,055,020	685,340	537,183

Comparing Florida Administrative Costs to Other States:

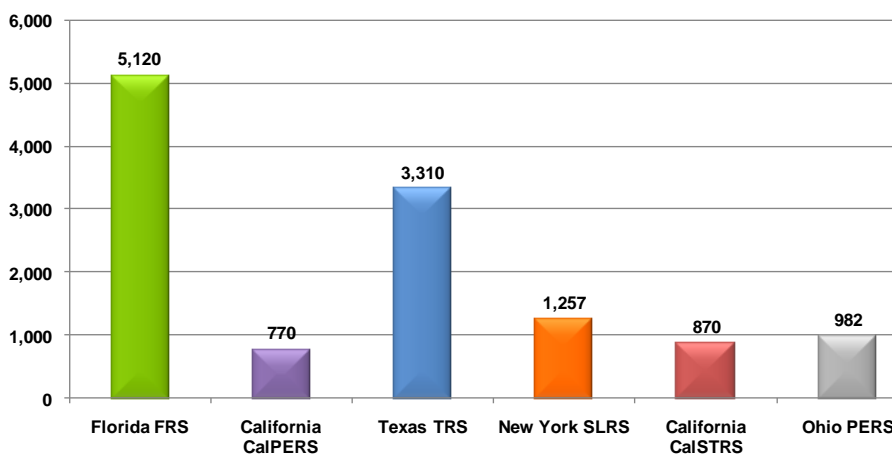
The Florida Retirement System's administrative costs are lower than other states. The FRS per member administrative cost is \$18 per year. The closest published comparison is to Texas with an administrative cost of \$50 per member (172% more than FRS). The following table shows the administrative cost by state as of FY 2009-10.

Administrative Cost Per Member



Using a different metric and comparing the FRS program membership size to the number of division employees shows the FRS has a higher member-to-employee ratio than other states. The FRS serves 5,120 members per division employee. The closest published comparison is Texas which serves 3,310 members per division employee. Florida serves 54% more members per division employee than Texas.

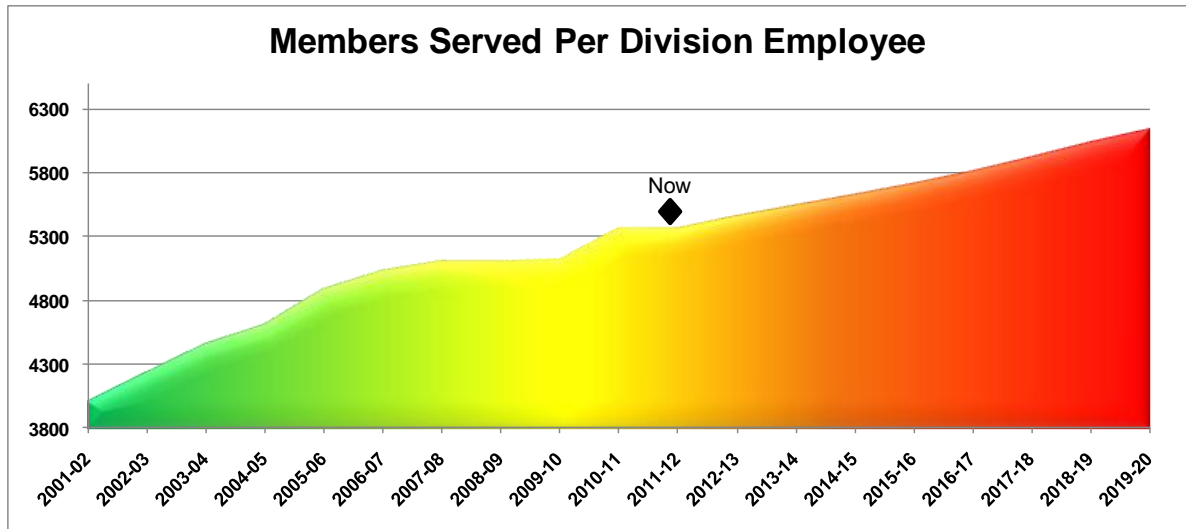
Members Served Per Division Employee



Ability to Maintain Low Administrative Costs:

The division’s software maintenance vendor and the general marketplace indicates that the IRIS has allowed the division to achieve most, if not all, of the efficiencies that it can practically achieve within the limitations of the current system’s architecture. Over the past 11 years the division’s FTE staffing levels have decreased by 21% while the FRS membership has increased by 20% and the retirement programs have grown in complexity. This has had an impact on the “Members Served Per division Employee” metric. The division projected the estimated FRS membership volume and compared this to the division’s planned staffing levels in order to better understand the impacts on business. The FRS membership is estimated to grow by 44% by Year 2020 (compared to

Year 2000) while the division staffing levels have remained at or near year 2000 levels. Below is the plotted “Members Served Per division Employee” metric for the past 11 years, with an estimate through the next 8 years.



While the membership count is increasing, the current technical architecture is also aging. As previously established, the current architecture cannot meet the division’s projected business needs. The division will need to either proportionately increase the staffing levels to serve the rising membership in FRS (which may not guarantee the same level of workforce efficiency as the current IRIS system is already 15 years old and aging rapidly) or implement a more modern IRIS system that can help the division maintain its current leadership position in providing a cost effective program with a high level of customer satisfaction.

2. Assumptions and Constraints

The division operates in a regulated environment and is subject to numerous State statutes and rules as well as professional standards relating to data protections and integrity. These requirements will need to be carefully considered during requirement analysis and eventual system selection.

C. Proposed Business Process Requirements

1. Proposed Business Process

ID	Business Need Identified (as of June 30, 2012)
Flexible - Ability to modify system to changing business needs.	
<p>1 Ability to create and modify business rules without requiring extensive programming.</p> <ol style="list-style-type: none"> 1. Implement interchangeable off-the-shelf component for rules engines to help address weaknesses of the IRIS and improve the IRIS. (SWOT) 2. Users must be able to calculate the cost of the amount of optional service needed for members to be vested for disability retirement. (Interview with Benefit Payments) 3. Users must be able to upgrade service (for example, creditable service) in the IRIS. Currently this is a manual activity. (Interview with Retirement Calculations) 4. Retain service credit after adjustments. (Withdrawn SIR 3049) 5. Ability to track QC elections. (Interview with Contributions and Enrollment) 6. Users must be able to calculate Actuarial Accrued Liability (AAL) in the IRIS. Currently this is a manual process. (Interview with Retirement Calculations) 7. Modify IP Disability Estimate module. (Withdrawn SIR 3140) 	
<p>2 Ability to create, automate and roll-out new business processes to support organizational structural changes without requiring extensive programming (e.g. DROP screens).</p> <ol style="list-style-type: none"> 1. Create a new business Section for refunds to accommodate Contributory Law. The current system's code library PowerLock limits this implementation. (Interviews) 2. DROP screens are not fully integrated into the system 3. The Bureau of Accounting must have an indicator or flag to note that they have informed the collection agency of an issue. (Interview with Accounting) 4. Save changes to Notes. (Withdrawn SIR 3109) 5. Hide W-4P menu item. (Withdrawn SIR 3347) 6. Automate the SUSORP/CCORP Buyback HIS Interest buyback. (Withdrawn SIR 3338) 7. Users must be able to specify e-mail address on Correspondence Checklist. (Withdrawn SIR 3332) 	
Maintainable – Able to manage change and update the system.	
<p>3 Ability to replace aging components of the system without major re-engineering effort or impact to the current functionality of the system.</p> <ol style="list-style-type: none"> 1. Replace the document management system. The document management software is outdated and does not meet the workflow requirements of the business. Jet Forms has been discontinued and is not supported by the original vendor (SWOT) 2. The Department of Management Services and the State of Florida have considered or are considering establishing technical standards for Enterprise Document Management, Customer Relationship Management (CRM) systems, Enterprise Resource Planning (ERP) systems, security, databases and others. It is not practical to implement these standards within the current IRIS architecture. (SWOT) 	
<p>4 Ability to roll out new code without installing on individual machines.</p> <ol style="list-style-type: none"> 1. Replace “thick” client-server with “thin” or browser-based client-server architecture. (SWOT) 	

ID Business Need Identified (as of June 30, 2012)	
Secure – System access control and data protection.	
5	<p>Ability to define and implement robust and fine grain security controls for system access (e.g. least privilege, default deny – access by exception, cascading password changes).</p> <ol style="list-style-type: none"> 1. Implement interchangeable off-the-shelf component for security to help address weaknesses of the IRIS and improve the IRIS. (SWOT) 2. The current security management software uses a “remove” rather than “add” approach to access rights. This means that when a new user is added, he or she receives access to the full application and rights must be taken away to get to the correct access level. Newer systems take an additive approach, where a user starts out with access to nothing and rights are specifically granted for appropriate access. This control style is easier to implement, introduces less risk and has fewer opportunities for human error. (SWOT) 3. Users currently must be added and maintained in three locations (database, application and Windows), which makes requiring frequent password changes unmanageable. (SWOT)
Portable – The data can be migrated to other platforms as dictated by the division’s needs.	
6	<p>Ability to export data in multiple formats (e.g. excel, csv, pdf)</p> <ol style="list-style-type: none"> 1. Users need to be able to export reports to multiple formats. Users are not able to export to Excel with Crystal Reports. (Interview with Enrollment and Contributions) 2. Users need to be able to modify comments in reports after they are archived. This is a limitation of Crystal Reports. (Interview with Retirement Calculations) 3. Users need to be able to run spell check on their reports. This is not available in Crystal Reports. (Interview with Retirement Calculations)
7	<p>Ability to import data from external sources.</p> <ol style="list-style-type: none"> 1. Health insurance subsidy tax exclusion upload is a manual process.
Digital recording – Record telephone conversations.	
8	<p>Ability to record, index and search telephone conversations.</p> <ol style="list-style-type: none"> 1. Retirement Calculations may use voice recording for training. (Interview with Retirement Calculations) 2. System should link a recording to the information in the IRIS. (Interview with Enrollment and Contributions)
Reports – Formatted output of system for a specific business purpose.	
9	<p>Ability to track and report on files received electronically and in paper.</p> <ol style="list-style-type: none"> 1. The division relies upon file transfer protocol (FTP) heavily for contributions and payroll submissions. FTP has very limited reporting capabilities. Reports on success or failure of file transmissions cannot be edited or sorted to make them more usable. Not being able to track receipt of certain files can put the division at risk of liabilities for loss of earnings. (SWOT) 2. The IRIS does not provide a count of the disability applications received. Therefore, applications currently have to be tracked manually on a spreadsheet. (Interview with Benefit Payments)
10	<p>Ability to generate Ad Hoc reports.</p> <ol style="list-style-type: none"> 1. Users must be able to generate report of State University System Optional Retirement Program (SUSORP) / Community College Optional Retirement Program (CCORP) Buyback HIS

ID Business Need Identified (as of June 30, 2012)	
	<p>Interest. (Hold (proposed SIR not yet approved) SIR 3338)</p> <p>2. Users must be able to identify Deferred Retirement Option Program (DROP) accounts that are missing contribution reports. (Hold (proposed SIR not yet approved) SIR 3361) This information is currently being obtained on a quarterly basis. This information should be available on a monthly basis.</p>
Forms management – Ability to manage forms and standard communications.	
11	<p>Ability to modify forms individually or in a group (for example, utilize template components for commonalities like letterhead).</p> <p>1. RoL users must use the same version of forms that the division staff use. “pdf” forms are available for RoL users online but staff use an older version of the form (Interview with Benefit Payments).</p> <p>2. Need the ability to change headings on documents more easily (for example, letterhead reflecting the new administration). (Interview with Jerry Haynes). Jet Forms has been discontinued and is not supported by the original vendor</p>
12	<p>Ability to generate forms with pre populated data (to minimize manual data entry).</p> <p>1. Users must be able to generate batch print job for monthly DROP term packets with pre-populated fields (Hold (proposed SIR not yet approved) SIR 3362).</p> <p>2. The IRIS currently pre-populates forms that the Bureau of Benefit Payments staff print and mail to the members. Members then complete and mail the form back to the division. They currently download pre-populated IRS Form 1099-R from RoL. Members need to be able to download additional pre populated forms from RoL. (Interviews with Benefit Payments)</p>
Audit trail – Enable and view audit trail information pertaining to data changes.	
13	<p>Ability to track and report on changes to records at all levels (e.g. entity level, by user, date, before and after values).</p> <p>1. Users must be able to track agency name changes. (Withdrawn due to other priorities SIR 3343)</p>
Workflow – Structured, system-guided work processes.	
14	<p>Ability to create, configure and modify workflows.</p> <p>1. Send error report for re-edit process to Supervisor. (Withdrawn SIR 3300)</p> <p>2. The division must be able to notify member that a form has been processed or received. (Withdrawn SIRs 3199 and 3202)</p> <p>3. User must be able to create notification in Message Center to notify members that their address has been updated. (Withdrawn SIR 3210)</p>
15	<p>Ability to generate workflow reports to support staff performance evaluations.</p> <p>1. Users need to be able to generate report on the number of returned items in workflow. This will be objective data needed for performance evaluations of staff. (Interview with Benefit Payments)</p>
Customer Relationship Management (CRM) – Ability to track and manage client interactions across multiple touch points.	
16	<p>Ability to document and track phone calls.</p> <p>1. Need incoming phone call log system to track topics of customer calls, frequency of certain</p>

ID Business Need Identified (as of June 30, 2012)	
	callers, etc. Benefit Payments averages 400 calls per day, on multiple topics. (Interview with Benefit Payments)
17	Members must be able to easily access their records by phone without requiring division staff assistance. <ol style="list-style-type: none"> 1. Members need to be able to call the IVR for specific account information. (Interview with Benefit Payments) 2. List pay dates for retired payroll.
Printing – Ability to print.	
18	Ability to configure printing options to print documents in batch. <ol style="list-style-type: none"> 1. Users must be able to print monthly DROP term packet in batches. (Hold (proposed SIR not yet approved) SIR 3362) 2. Users need batch printing capabilities. (Interview with State University System Optional Retirement Program (SUSORP) the Senior Management Service Optional Annuity Program (SMSOAP)) 3. Users need to be able to print from the library and automatically mail it (that is, batch printing for mailing purposes). (Interview with Retirement Calculations)
Data Standards – Adheres to industry standard data exchange formats.	
19	Ability to exchange information with external systems. <ol style="list-style-type: none"> 1. Senate Bill 31, passed in 2010, which mandates a replacement of the State’s financial system. Interaction with the state’s financial system is a critical element of the IRIS system and it is possible, depending on the technology selected for the financial system that the IRIS would not be capable of interfacing with it directly. (SWOT) 2. Bureau of Accounting staff must be able to initiate refunds in the IRIS that subsequently initiate the correct vouchers/entries in FLAIR. (Interview with Accounting and SUS ORP/SMS ORP) 3. Office of General Counsel (OGC) and the Bureaus must be able to share case information in the IRIS and link it to the closed case files. (Interview with Benefit Payments and OGC)
Document management system – Ability to manage storage and retrieval of system generated documents or objects in their native format.	
20	Ability to add additional indexes for enhancing document search capability. <ol style="list-style-type: none"> 1. Cannot add new index (e.g. Member ID) 2. Current system has limited indexing capabilities due to fixed fields and is unable to do full text indexing of scanned documents. (Interview with Office of General Counsel (OGC))
Usability – Intuitive interfaces.	
21	Decrease time and effort required to train new users (because of inconsistent user interfaces in the IRIS). <ol style="list-style-type: none"> 1. Retirement Payroll screens need to better relate to each other (pass SSN) (Interview with Benefit Payments) 2. Modernized IRIS must consistently retain SSNs when moving from screen to screen within a module. (Interview with SUS SMS)

ID Business Need Identified (as of June 30, 2012)	
22	<p>Decrease time and effort required to cross train users between Bureaus.</p> <ol style="list-style-type: none"> User interface style is inconsistent between bureaus. (Interview with Deloitte) As a governmental entity, the division is subject to budgetary considerations when determining the number of employees (current and future) that are allocated to it. As such, the division could lose full-time equivalencies or may not receive approval or funding for additional needed staff. Therefore, staff may need to know how to accomplish tasks in more than one Bureau. (SWOT)
Validation and business rules – Ability to automatically check for pre-defined inconsistencies or errors.	
23	<p>Ability to standardize business rules across system modules (e.g. rounding).</p> <ol style="list-style-type: none"> Users currently experience rounding errors/inconsistencies with the IRIS. (Interview with Retirement Calculations). Sometimes when the current system calculates service credit, it will use two different formulas that create outputs that are different by .01.
Training – On-line Help, tutorials, context sensitive assistance.	
24	<p>Need context sensitive help throughout the system.</p> <ol style="list-style-type: none"> Currently the IRIS system does not provide context sensitive help. (Interview with Deloitte) The division requires skilled workers who understand its complexities and nuances. Like many agencies nationwide, the division faces a potential loss of subject matter expertise as its most experienced staff approach retirement age. Loss of knowledge base will reduce the ability to communicate the business processes. Therefore, users need context sensitive help to transfer knowledge to other staff members.

3. Business Solution Alternatives

The following solution alternatives were evaluated:

- Maintain Status Quo:** The option to continue using the current IRIS system without any modifications. Business needs identified by the division will remain unfulfilled.
- Enhance the Current IRIS System:** The option to modify the current IRIS system to fulfill the business needs (gaps in current architecture) identified for the division in the Business and Technical Impact Analyses.
- Replacing the IRIS System:** The option to replace the current IRIS system with a more modern architecture to allow the division to fill its business needs.

4. Rationale for Selection

Option 1 - Maintain Status Quo (Rejected)

The data obtained from the market survey conducted during the IRIS Modernization Study indicates that a system implementation will take at least 3-4 years. If the division begins implementing a newer architecture, the current IRIS system will be at least 20 years old before it is fully replaced. Given these business and technology situations, the

division cannot afford to remain on “status quo” with respect to its core technical system architecture which serves as a backbone to the division’s leadership in the market.

In addition, maintaining status quo may result in:

- Decreased customer satisfaction over time as several business needs identified by the division are required to be fulfilled in order to enhance customer experience
- Increased staff workload as additional manual workarounds will be required to perform many day-to-day tasks that are not automated in the current system
- Reputation risk to the division as customer experience and satisfaction may degrade over time
- Increased risk to maintaining the IRIS system as the Original Equipment Manufacturers (OEM) may not continue to support some of the core components. The core development framework of the IRIS (Power Class) and the Jet Forms component are already unsupported by their OEMs.

There are several other impacts to the business if the division’s business needs remain unfulfilled. Refer to the “Business Impact Analysis” in Appendix C for additional details. As an alternative, maintaining status quo is rejected as it does not fulfill the business needs of the division and may increase the risk to the division over time.

Option 2 - Enhance the Current IRIS System (Rejected)

This alternative is rejected as:

- Multiple components of the current system are currently unsupported by the OEM software vendors. These components will require a complete replacement.
- The current system is too complex and the level of effort required to modify relatively minor components and system functionality is irrational.
- The current system is inflexible and incapable of being modified to support all the business needs identified by the division.
- The significant investment required to fulfill the division’s business needs within the current aging architecture (\$33 Million – for system integration services) is comparable to the cost of replacing the IRIS with modern technologies and flexible architectures that are available in the marketplace (\$34 Million – for system integration services).
- Even if the division invests the estimated resources to enhance the current system, the division may find itself in a similar situation again just a few years ahead as the current IRIS system is a complete custom solution with tightly coupled components.

Option 3 - Replace the IRIS System (Recommended)

A modernization effort that allows the division to fulfill its business needs, provide enhanced customer experience, gain additional efficiencies in business processes, and stay current with the changing laws is needed. The significant cost that would be required to fulfill the division’s business needs within the current aging architecture (\$33 Million

– for system integration services) would be better invested in replacing the IRIS with modern technologies and flexible architectures that are available in the marketplace (\$34 Million – for system integration services). A new system, built on newer technologies are more product-oriented in nature, offer increased flexibility and are likely to have longer lifespan as compared to completely custom solutions such as the current system. Systems that are based on leading and flexible platforms are also likely to be better supported by the vendor community as the resources and knowledge are widely available. Some of the current infrastructure such as Oracle licenses could be reused with a new system, which in turn could lower the system integration cost for the division.

5. Recommended Business Solution

A modernization effort to completely replace the current IRIS system is the alternative to enable the division to meet current and future business needs, provide enhanced customer experience to more than 1 million customers, gain additional efficiencies in business processes, and stay current with the changing laws. The IRIS is already 15 years old and aging. Industry data indicates that a modernization effort will take 3-4 years, by which time the IRIS will be 20 years old. Critical components of the IRIS, such as the PowerClass (development framework for PowerBuilder) and JetForms (for the forms within the system) are already unsupported by their Original Equipment Manufacturers (OEM). It is unlikely that the IRIS can be supported or enhanced significantly on tools and technologies that are no longer supported by their OEMs. The option of maintaining status quo is not a preferred option for the division due to the aging architecture of the current system, rising membership in FRS, changing business needs and increasing customer expectations. Many small inefficiencies linger in the current system which could prevent the division from moving to the next level in terms of administrative cost control or enhancing customer service. Enhancing the current IRIS system has inherent risks as the division may find itself in a similar situation just a few years ahead. Given the estimated level of resources required to enhance the current system, a complete replacement of the current architecture is better than continuing to invest in an aging architecture. Completely new systems with more modern technologies and flexible architectures are available in the marketplace for an investment comparable to enhancing the current system. Systems built on newer technologies and flexible platforms are more product-oriented in nature, offer increased flexibility, are likely to have a longer lifespan and better supported by the vendor community as the resources and knowledge are widely available.

III. Schedule IV-B Cost Benefit Analysis

A. The Cost-Benefit Analysis Forms

Cost Benefit Analysis	
Form	Description of Data Captured
<i>Benefits Realization Table</i> - Microsoft Word Template in Appendix C	A detailed description of all benefits identified for the project, including both tangible and intangible benefits. Each benefit identifies the recipient of the benefit, how and when it is realized, how the realization will be measured, and estimates of tangible benefit amounts.
<i>CBA Form 1 - Net Tangible Benefits</i>	Agency Program Cost Elements: Existing program operational costs versus the expected program operational costs resulting from this project. The agency needs to identify the expected changes in operational costs for the program(s) that will be impacted by the proposed project. Tangible Benefits: Estimates for tangible benefits resulting from implementation of the proposed IT project, which correspond to the benefits identified in the <i>Benefits Realization Table</i> . These estimates appear in the year the benefits will be realized.
<i>CBA Form 2 - Project Cost Analysis</i>	Project Cost Elements: Estimated project costs for personnel, hardware, software, consultants and other contracted services through project design, development, and implementation. Project Funding Sources: Identifies the planned sources of project funds, e.g., General Revenue, Trust Fund, Grants.
<i>CBA Form 3 - Project Investment Summary</i>	Investment Summary Calculations: Summarizes total project costs and net tangible benefits and automatically calculates: Return on Investment Payback Period Breakeven Fiscal Year Net Present Value Internal Rate of Return

B. CBA Forms

The purpose of the Cost Benefit Analysis is to explain the costs and benefits of undertaking the IRIS Modernization Project. The need for the IRIS modernization is fundamentally grounded in the division's mission to deliver a high quality, innovative and cost-effective retirement system. The division currently serves approximately 1 Million members and has around 1200 partners. The State of Florida, Division of Retirement, FRS Members, and Partners will benefit from a complete replacement of the current IRIS System by FY 2016-17 with a web based retirement information system consisting of modern architecture, components and technologies such as Business Rules Engine, Content Management, IVR, Customer Relationship Management, Data Warehouse, Business Intelligence, Analytics, and Reporting, Security Management and Workflow, in addition to the line of business modules.

1. Benefits Realization Table

Projects are designed and executed to achieve an expected potential benefit. At the highest level, benefits are often separated into tangible (financial) and intangible (non-financial). Tangible benefits are anticipated benefits which can be measured in monetary terms such as savings in license fees or reduction of hardware or facility costs. Intangible benefits cannot be measured in monetary terms but could be an important part of the business case even though the measurement cannot always be precise. The impact of intangible benefits could be measured through items such as: productivity, service, speed, quality, or change.

Benefits management and realization entails establishing a process and guidelines to measure the tangible and intangible benefits of a project. Benefits Realization requires periodic measurement in order to drive action to achieve the desired business objectives, improve future performance and maintain control of the projects as they progress.

A Benefit Realization Plan will be created to assist project stakeholders in the management of benefits to help ensure they are actually realized. Prospective measures detailed in the plan are derived from the deliverables required for each benefit. The plan will include:

- How the benefit is being measured
- The person who is responsible
- Measured values (historic data, base line)
- Frequency of measurement
- The overall target for the measure
- The expected improvement for each measure by project
- Improvement timescales

At regular reporting periods during the program lifecycle, the Steering Committee and

program manager will meet to review progress and monitor the current ability of the program to meet the business objectives. Rigid progress reporting will be used to successfully track Benefits Realization during the program or project.

The following table provides a list of potential tangible and intangible benefits, the recipients of benefits, how and when the benefits will be realized.

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IRIS MODERNIZATION PROJECT**

#	Description of Benefit	Tangible or Intangible	Who receives the benefit?	How is the benefit realized?	How Will The Realization Of The Benefit Be Assessed/Measured?	Realization Date (FY)
1	<ul style="list-style-type: none"> Reduction in maintenance costs 	Tangible	The division, State of Florida Taxpayers, members of the FRS.	<ul style="list-style-type: none"> Potentially avoids and increase in the number of staff needed to maintain the FRS 	<ul style="list-style-type: none"> In dollars 	2016-17 – 2027-28
	<ul style="list-style-type: none"> Increased employee productivity 	Intangible	The division, State of Florida Taxpayers, members of the FRS	<ul style="list-style-type: none"> Reduction in the number of workarounds each employee must conduct 	<ul style="list-style-type: none"> In employee hours charged to workarounds or other activities related to an outdated or inefficient system 	Starting 2016
	<ul style="list-style-type: none"> Increased member satisfaction 	Intangible	Members of the FRS, the division	<ul style="list-style-type: none"> Upgrades in the technology will lead to a more efficient system. This will allow the maintenance team to address problems faster and improve customer service. 	<ul style="list-style-type: none"> Customer satisfaction surveys 	Starting 2016
	<ul style="list-style-type: none"> Increased partner collaboration 	Intangible	Members of the FRS, the division, division's partners	<ul style="list-style-type: none"> Upgrades in technology will allow the division to collaborate more easily with their partners technology systems. 	<ul style="list-style-type: none"> Increased number of partners Reduction in employee hours charged to workarounds 	Starting 2016
	<ul style="list-style-type: none"> Increased ability of the division to meet rising program membership, added complexity and changing legislative and programmatic requirements 	Intangible	Members of the FRS, the division	<ul style="list-style-type: none"> A more effect system will allow the division to address changes and added complexity due to growing membership, and legislative or programmatic requirements 	<ul style="list-style-type: none"> 	Starting 2016

2. Tangible Benefits, Project Costs and Investment Summary

This section describes the cost elements that make up the tangible changes in the operation cost for the IRIS Modernization Project.

The division is in the early stages of planning its Modernization project. The Division has not defined detailed requirements yet that could be used to develop a vendor statement of work. The division also expects that it is unusual in that the operation is currently operating efficiently, and a major business transformation is not required to accompany the system modernization. For these reasons, traditional approaches to estimating costs, such as a formal Request for Information or requesting information on implementation costs from other states, were not feasible or would not have produced a valid comparison. The division therefore developed its cost estimates from a survey which was used to gain a better understanding of the market landscape for Retirement Information Systems. The survey was conducted by a third party consulting firm as part of the IRIS Modernization Study. The survey asked system integration vendors to provide a rough order magnitude estimate for a modern web based retirement information system. Specifically, the question was stated as follows:

- 6 Please provide a rough order magnitude estimate for a web based retirement information system consisting of modern architecture, components and technologies such as Business Rules Engine, Content Management, IVR, Customer Relationship Management, Data warehouse, Business Intelligence, Analytics, and Reporting, Security Management and Workflow, in addition to the line of business modules.
- o Less than \$15 Million
 - o \$15Million to \$25Million
 - o \$25Million to \$40Million
 - o \$40Million to \$60Million
 - o More than \$60Million

The system integration vendors' responses to the above question averaged to \$34 Million.

- The division added \$6 MM to the system integration vendor's responses (\$34MM) to account for the following:
 - Hardware
 - Software
- An estimated \$1.75 MM was included for the planning and procurement phase

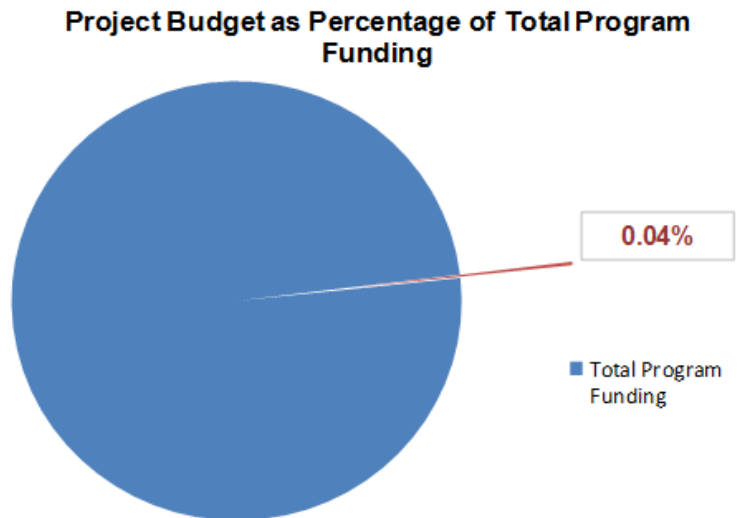
**FY 2013-14 SCHEDULE IV-B FEASIBILITY STUDY FOR
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- An estimated \$4.1 MM was included for Project Management Office (PMO) services throughout the duration of the project
- An estimated \$1.9 MM was included for Independent Verification and Validation services throughout the duration of the project
- An estimated \$4.5 MM was included for contingency for project years 2,3, and 4 to account for scope and direction changes (if any)
- An estimated total of \$52.3 MM for the total replacement of the IRIS over a duration of four years
- The IRIS System support costs are assumed to remain same.

These costs and assumptions resulted in the following project cost table:

PROJECT COST ELEMENTS	Year - 1	Year - 2	Year - 3	Year - 4	TOTAL
Planning	\$1,000,000	-	-	-	\$1,000,000
Procurement	\$250,000	\$500,000	-	-	\$750,000
System Integration <i>(Includes Software and Hardware)</i>	-	\$8,000,000	\$16,000,000	\$16,000,000	\$40,000,000
PMO	\$744,640	\$1,131,520	\$1,131,520	\$1,131,520	\$4,139,200
IV&V	\$193,440	\$580,320	\$580,320	\$580,320	\$1,934,400
Contingency	-	\$1,021,184	\$1,771,184	\$1,771,184	\$4,563,552
Total Project Costs	\$2,188,080	\$11,233,024	\$19,483,024	\$19,483,024	\$52,387,152

The estimated investment required to replace the IRIS system is \$52.3 Million over a 4 year period, which is less than Four One Hundredths of a Penny on a Dollar of the funds in the FRS trust fund.



These numbers represent an estimate to be used for budgetary planning purposes only as actual costs may vary. The cost per year may change based on the actual start date, detailed business requirements, specific details proposed by the solution vendor, and the amount of customization / integration necessary.

3. CBA Forms

This section contains the completed CBA Forms provided in the Schedule IV-B Feasibility Study Guidelines. An electronic copy of the complete file used to develop this cost estimate is embedded in this document in Attachment A.

**FY 2013-14 SCHEDULE IV-B FEASIBILITY STUDY FOR
IRIS MODERNIZATION PROJECT**

CBAForm 1 - Net Tangible Benefits

Agency <u>Division of Retirement</u>	Project <u>IRIS Modernization</u>
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Agency (Operations Only -- No Project Costs)	FY 2012-13			FY 2013-14			FY 2014-15			FY 2015-16			FY 2016-17		
	(a)	(b)	(c) = (a) - (b)	(a)	(b)	(c) = (a) - (b)	(a)	(b)	(c) = (a) - (b)	(a)	(b)	(c) = (a) - (b)	(a)	(b)	(c) = (a) - (b)
	Existing Program Costs	Operational Cost Change	New Program Costs resulting from Proposed Project	Existing Program Costs	Operational Cost Change	New Program Costs resulting from Proposed Project	Existing Program Costs	Operational Cost Change	New Program Costs resulting from Proposed Project	Existing Program Costs	Operational Cost Change	New Program Costs resulting from Proposed Project	Existing Program Costs	Operational Cost Change	New Program Costs resulting from Proposed Project
A. Personnel -- Total FTE Costs (Salaries & Benefits)	\$10,890,000	\$0	\$10,890,000	\$11,990,000	(\$1,100,000)	\$10,890,000	\$13,695,000	(\$2,805,000)	\$10,890,000	\$14,795,000	(\$3,850,000)	\$10,945,000	\$15,785,000	(\$4,840,000)	\$10,945,000
A.b Total FTE	198.00	0.00	198.00	218.00	(20.00)	198.00	249.00	(51.00)	198.00	269.00	(70.00)	199.00	287.00	(88.00)	199.00
A-1.a. State FTEs (Salaries & Benefits)	\$10,890,000	\$0	\$10,890,000	\$11,990,000	(\$1,100,000)	\$0	\$13,695,000	(\$2,805,000)	\$10,890,000	\$14,795,000	(\$3,850,000)	\$0	\$15,785,000	(\$4,840,000)	\$0
A-1.b. State FTEs (# FTEs)	198.00	0.00	198.00	218.00	(20.00)	198.00	249.00	(51.00)	198.00	269.00	(70.00)	199.00	287.00	(88.00)	199.00
A-2.a. OPS FTEs (Salaries)	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
A-2.b. OPS FTEs (# FTEs)	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
A-3.a. Staff Augmentation (Contract Cost)	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
A-3.b. Staff Augmentation (# of Contract FTEs)	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
B. Data Processing -- Costs	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
B-1. Hardware	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
B-2. Software	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
B-3. Other <small>Specify</small>	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
C. External Service Provider -- Costs	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
C-1. Consultant Services	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
C-2. Maintenance & Support Services	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
C-3. Network / Hosting Services	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
C-4. Data Communications Services	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
C-5. Other <small>Specify</small>	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
D. Plant & Facility -- Costs	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
E. Others -- Costs	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
E-1. Training	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
E-2. Travel	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
E-3. Other <small>Specify</small>	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Total of Operational Costs (Rows A through E)	\$10,890,000	\$0	\$10,890,000	\$11,990,000	(\$1,100,000)	\$10,890,000	\$13,695,000	(\$2,805,000)	\$10,890,000	\$14,795,000	(\$3,850,000)	\$10,945,000	\$15,785,000	(\$4,840,000)	\$10,945,000
F. Additional Tangible Benefits:		\$0			\$0			\$0			\$0			\$0	
F-1. <small>Specify</small>		\$0			\$0			\$0			\$0			\$0	
F-2. <small>Specify</small>		\$0			\$0			\$0			\$0			\$0	
F-3. <small>Specify</small>		\$0			\$0			\$0			\$0			\$0	
Total Net Tangible Benefits:		\$0			\$1,100,000			\$2,805,000			\$3,850,000			\$4,840,000	

SPECIFY CHARACTER OF PROJECT BENEFIT ESTIMATE -- CBAForm 1B		
Choose Type	Estimate Confidence	Enter % (+/-)
Detailed/Rigorous <input type="checkbox"/>	Confidence Level	
Order of Magnitude <input checked="" type="checkbox"/>	Confidence Level	25-50%
Placeholder <input type="checkbox"/>	Confidence Level	

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CBAForm 2 - Project Cost Analysis

Agency	<u>Division of Retirement</u>	Project	<u>IRIS Modernization</u>
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PROJECT COST ELEMENTS	PROJECT COST TABLE -- CBAForm 2A					TOTAL
	FY 2012-13	FY 2013-14	FY 2014-15	FY 2015-16	FY 2016-17	
State FTEs (Salaries & Benefits)	\$0	\$0	\$0	\$0	\$0	\$0
OPS FTEs (Salaries)	\$0	\$0	\$0	\$0	\$0	\$0
Contractors (Costs)	\$0	\$2,188,080	\$11,233,024	\$19,483,024	\$19,483,024	\$52,387,152
Deliverables	\$0	\$0	\$0	\$0	\$0	\$0
Major Project Tasks	\$0	\$0	\$0	\$0	\$0	\$0
Hardware <i>Specify</i>	\$0	\$0	\$0	\$0	\$0	\$0
COTS Software	\$0	\$0	\$0	\$0	\$0	\$0
Misc. Equipment <i>Specify</i>	\$0	\$0	\$0	\$0	\$0	\$0
Other Project Costs <i>Specify</i>	\$0	\$0	\$0	\$0	\$0	\$0
	\$0	\$0	\$0	\$0	\$0	\$0
TOTAL PROJECT COSTS (*)	\$0	\$2,188,080	\$11,233,024	\$19,483,024	\$19,483,024	\$52,387,152
CUMULATIVE PROJECT COSTS	\$0	\$2,188,080	\$13,421,104	\$32,904,128	\$52,387,152	

INVESTMENT SUMMARY						TOTAL
	FY 2012-13	FY 2013-14	FY 2014-15	FY 2015-16	FY 2016-17	
General Revenue	\$0	\$0	\$0	\$0	\$0	\$0
Trust Fund	\$0	\$0	\$0	\$0	\$0	\$0
Federal Match	\$0	\$0	\$0	\$0	\$0	\$0
Grants	\$0	\$0	\$0	\$0	\$0	\$0
Other <i>Specify</i>	\$0	\$0	\$0	\$0	\$0	\$0
TOTAL INVESTMENT (*)	\$0	\$0	\$0	\$0	\$0	\$0
CUMULATIVE INVESTMENT (*)	\$0	\$0	\$0	\$0	\$0	

(*) Total Costs and Investments are carried forward to CBAForm3 Project Investment Summary worksheet.

Character of Project Costs Estimate - CBAForm 2B		
Choose Type	Estimate Confidence	Enter % (+/-)
Detailed/Rigorous <input type="checkbox"/>	Confidence Level	
Order of Magnitude <input checked="" type="checkbox"/>	Confidence Level	25-50%
Placeholder <input type="checkbox"/>	Confidence Level	

FY 2013-14 SCHEDULE IV-B FEASIBILITY STUDY FOR
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CBAForm 3 - Project Investment Summary

Agency	<u>Division of Retirement</u>	Project	<u>IRIS Modernization</u>
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COST BENEFIT ANALYSIS -- CBAForm 3A						
	FY 2012-13	FY 2013-14	FY 2014-15	FY 2015-16	FY 2016-17	TOTAL
Project Cost	\$0	\$2,188,080	\$11,233,024	\$19,483,024	\$19,483,024	\$52,387,152
Net Tangible Benefits	\$0	\$1,100,000	\$2,805,000	\$3,850,000	\$4,840,000	\$12,595,000
Return on Investment	\$0	(\$1,088,080)	(\$8,428,024)	(\$15,633,024)	(\$14,643,024)	(\$39,792,152)
Year to Year Change in Program Staffing	0	(20)	(51)	(70)	(88)	

RETURN ON INVESTMENT ANALYSIS -- CBAForm 3B		
Payback Period (years)	NO PAYBACK	Payback Period is the time required to recover the investment costs of the project.
Breakeven Fiscal Year	NO PAYBACK	Fiscal Year during which the project's investment costs are recovered.
Net Present Value (NPV)	(\$32,126,418)	NPV is the present-day value of the project's benefits less costs over the project's lifecycle.
Internal Rate of Return (IRR)	NO IRR	IRR is the project's rate of return.

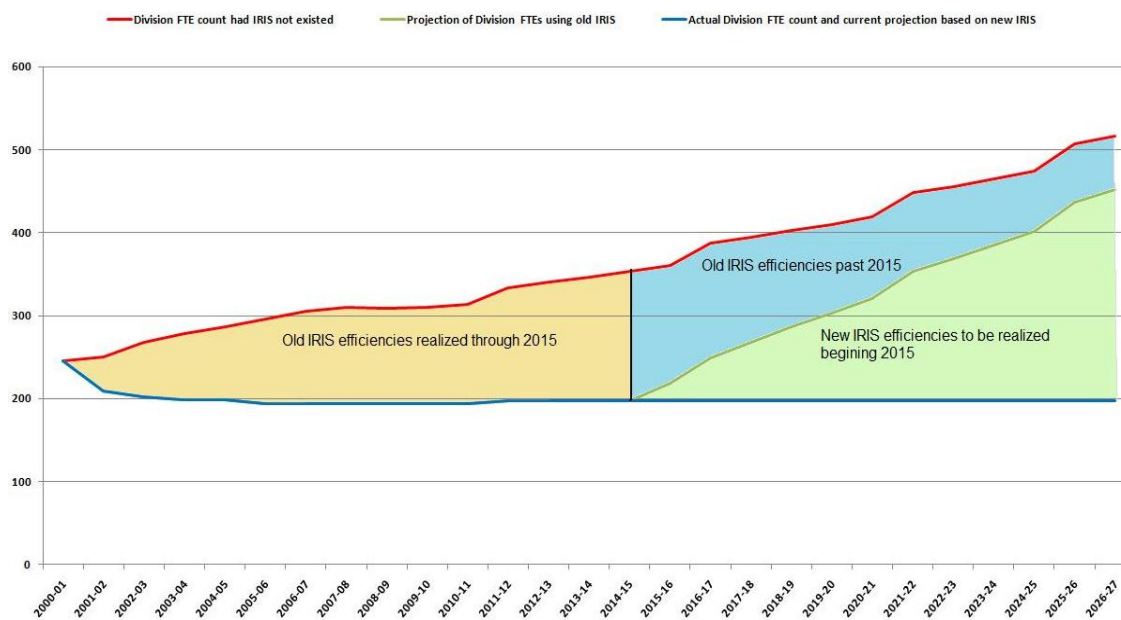
Treasurer's Investment Interest Earning Yield -- CBAForm 3C					
Fiscal Year	FY 2012-13	FY 2013-14	FY 2014-15	FY 2015-16	FY 2016-17
Cost of Capital	5.35%	5.38%	5.38%	5.38%	5.38%

4. Cost Benefit Analysis Results

The following graphic is a visual representation of the business case for beginning a modernization effort. The graphic shows that efficiencies were gained when IRIS was implemented, and those efficiencies have allowed the division to absorb significantly more retirement system activity and complexity over the years while keeping staffing steady.

However, beginning around 2015, the growth in retirement activity will exceed the ability of the IRIS system to absorb and the division will have to add staff to handle the growth. In addition, limitations of the system to handle changes in workflows, new requirements made by legislative actions and similar impacts may lead to the division implementing workarounds or manual tasks which will further decrease organizational efficiency and the number of participants each FTE can support. This may again lead to the division needing to add staff.

To maintain the division's efficiencies and existing high standards of service, a new system will need to support the benefits IRIS provides today, plus additional efficiencies that can be gained through system flexibility and capacity to adapt.



- The bottom blue line of the graph shows the actual current FTE count of the division. The blue line shows the immediate reduction in staff achieved when IRIS was implemented, as well as the stability of staffing levels since that time. The line continues to remain flat after 2015 with the assumption that the division implements a replacement for IRIS.
- The top red line of the graph shows the projected FTE count of the division, had IRIS

never been implemented. The projected FTE count is based on two factors: the growth of participants in the FRS system and the complexity of managing the FRS system:

- The FRS has maintained a steady growth of participants. The division projected its historic participant per FTE ratio prior to IRIS over a 25 year period (FY 1999-2000 – FY 2024-2025), factoring in annual participant growth.
- The complexity of the FRS. The FRS program has evolved over a period of years. Many responsibilities and services currently provided by the division have been added to the program over time. Over the past fifteen years, the division has expanded its services to support a major program change on average every three years. As the division supported more programs, the complexity of the division’s processes increased, which would have reduced the count of participants each FTE can support. To account for future increases in complexity, the division added a 5% “complexity factor” to the projected staff need each three years on the chart.
- The difference of staffing between “with” and “without” IRIS is identified as the “IRIS Efficiency” and shaded in cream between the two FTE count lines. The IRIS efficiency factor is expected to peak at 44%, meaning the division has been able to support its workload with 44% fewer FTE than if IRIS had never existed.
- Beginning in 2015, the age of the IRIS system will lead to a decrease in the IRIS Efficiency factor, represented by the blue shading above. The decrease in efficiency is expected because IRIS is 20 years old, multiple components are already unsupported by the OEMs, program complexity and membership increases and customer expectations grow. The division estimates that the efficiency realized from the system will decrease by an average of 10% annually beginning in 2016 – 2017. A decrease in efficiency correlates with the division adding staff because less of the work is done in the system.
- The green line on the graph shows what may happen to the division’s FTE counts if IRIS is not replaced. The line picks up at the same level as current staffing at 2015, at which point the division may need to start adding resources. The line rises with the decrease in the projected IRIS efficiency, showing that as more work must be supported outside the system, staffing levels have to increase in correlation.
- If the IRIS system is replaced by year 2016-2017, the division can continue to benefit from the efficiency gains from IRIS, avoid the reduction in efficiency due to IRIS aging and offset growing program complexity to retain current-day staffing levels. The difference between the expected and projected FTE counts is shown in green shading above and quantified as the number of FTEs saved multiplied by an average division salary of \$55,000.

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Considering that the current IRIS system would have served the division for 20 years prior to complete replacement, a business case based on a 12 year timeline was prepared. This timeline represents just two thirds of the service provided by the current system. The following table provides the investment details for replacing the current IRIS system with a modern architecture:

Investment Term	Estimated Value	Present Value
1. Total Cost	\$52,387,152	\$48,714,131
2. Total Benefits	\$91,630,000	\$68,654,601
3. Return on Investment	74.9%	40.9%
4. Payback Period	9 Years	N/A
5. Net Present Value	\$19,940,470	N/A
6. Internal Rate of Return	6.45%	N/A

- In addition to the estimated financial benefits, the IRIS modernization may also have a positive impact on several other aspects of the FRS program.
 - As manual workarounds are increasing due to an aging IRIS system, division employee productivity is being impacted. A modernized IRIS is likely to have a positive impact on employee productivity.
 - Increased member satisfaction as the division offers additional functionality and information to its members.
 - Increased partner collaboration as the division is able to exchange data with over 1200 partners (providers, agencies, and employers).
- Increased ability of the division to meet rising program membership, added complexity and changing legislative and programmatic requirements.

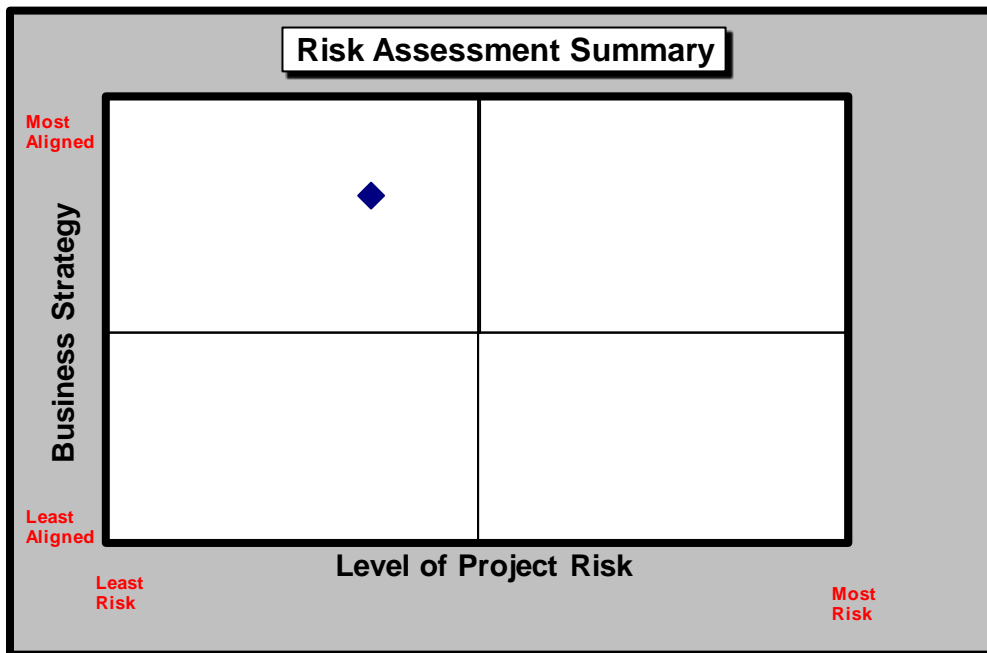
When you consider the costs and benefits associated with the IRIS modernization, you find that the IRIS Modernization Project is a good investment for the State of Florida.

IV. Major Project Risk Assessment Component

The Major Project Risk Assessment Component identifies the risks faced by the project so the division can enact appropriate strategies for managing those risks.

A. Risk Assessment Tool

The Risk Assessment Summary is a graphical representation of the results computed by the risk assessment tool. It depicts that the IRIS Modernization Project achieves solid business strategy alignment and carries only a moderate level of risk. In addition, it is expected that overall project risk will diminish by the conclusion of the analysis and design phases when low-level project requirements have been documented and a technology solution is selected. The results of this risk assessment are discussed in detail in the Project Management Section along with the division's plan to continually identify, assess, and mitigate risk throughout the life of the project.



B. Risk Assessment Summary

The Risk Area Breakdown illustrates the risk assessment areas that were evaluated and the breakdown of the risk exposure assessed in each area. The results of this risk assessment are discussed in detail in Project Management Section 6.H along with the division’s plan to continually identify, assess, and mitigate risk throughout the project lifecycle.

Project Risk Area Breakdown	
Risk Assessment Areas	<i>Risk Exposure</i>
Strategic Assessment	MEDIUM
Technology Exposure Assessment	MEDIUM
Organizational Change Management Assessment	LOW
Communication Assessment	LOW
Fiscal Assessment	MEDIUM
Project Organization Assessment	LOW
Project Management Assessment	MEDIUM
Project Complexity Assessment	MEDIUM
<i>Overall Project Risk</i>	
	MEDIUM

The detailed risk assessment template is located at Appendix B.

V. Technology Planning Component

The current IRIS system was developed in 1997. The system is based on a client server architecture, which was considered as one of the leading technologies in the marketplace. Over the past 15 years, significant advances in the technology landscape have rendered the IRIS system outdated. Several internal and external stakeholders and constituents are placing demands that the IRIS may not be able to meet.

Division Business Needs: The division's business needs have expanded due to several changes in the FRS program. The current IRIS system is inflexible to support the many business needs identified by the division. As the program is changing and the system is aging, the business needs may continue to remain unfulfilled by the system. For instance, the IRIS is not a web based system - the IRIS cannot be accessed unless a local "thick" client (a set of programs) is installed on each employee's individual workstation. System updates require re-installing programs at the individual workstation level, which increases the risk of users being "out-of-sync" with the server and requires additional effort from the technical staff to correct the issue.

Legislative Mandates: Business process and technical changes in the IRIS require a marathon effort by the division. The division undertakes a massive effort and diverts a significant amount of its resources to implement modifications in order to keep current with the changing laws. An example is the changes required to implement "Employee Contributory Law" as the division diverted all of its technical resources to ensure the IRIS is ready when the law goes into effect.

Technology Landscape: The technology landscape has changed significantly over the past 15 years. Client server is no longer considered a viable architecture when compared to other architectures such as "Service Oriented Architecture" (SOA). The division may benefit significantly, if its retirement system could be deployed in an SOA model. SOA facilitates exchange of data with other systems (internal and external) with much more ease when compared to client server architecture. In addition, components such as JetForms and PowerClass (the core development framework for the IRIS) are unsupported by their Original Equipment Manufacturers (OEM).

Member Expectations: Total membership in the FRS program has reached almost 1 Million. With changing technology landscape and growing adoption of technology in the community, Members are expecting more from the division. They are comparing the division's service and data to a private financial institution or similar provider. The division does not have a modern IT system that can provide the reports or functionality the customers are expecting. This potentially creates a reputation risk for the division and may consequently impact customer satisfaction. The inflexibility of the IRIS system is preventing the division from innovating to the next level in providing enhanced customer service.

External Partner Systems: The FRS program has about 1200 partners (providers/ agencies/ employers) that exchange data with the IRIS system. The current data exchange mechanism (i.e. File Transfer Protocol {FTP}) requires a significant amount of manual involvement to verify transmission and receipt of data. For instance, partners would submit a file through FTP and sometimes a Zero Kilobyte (0KB) file without any data is received by the division. The partner does not get a report of the issue and neither does the division. It is not until the file upload fails,

that the division realizes the error and requests a re-transmission of the file. Furthermore, the external partners have implemented newer architectures and are finding it difficult to interact with the division’s outdated technology architecture.

The division’s strengths in management and the governance and longevity of their relationship with the current maintenance vendor will mitigate some risks going forward. Weaknesses of the system magnify normal external risks to the division and potentially require the division to expend more effort to maintain its high standard of quality than otherwise might be required. Opportunities presented by technological advances and the availability of Commercial Off-The-Shelf (COTS) options could provide an infrastructure to reduce the division’s operating overhead costs. The threats of additional workload due to legislative changes and potential workforce reductions will require system modifications to mitigate the associated risks. Under the existing system architecture, these modifications would be more lengthy and resource intensive than under a modern architecture.

A. Current Information Technology Environment

1. Current System

a. Description of current system

	Retirement Online (Web Application)	IRIS (Line of Business Application)	Process 360 (Document Management/Automated Workflow)
Total number of users by type (power, casual, data entry only, etc.)	Approximately 277,000 External Casual Users, Approximately 900 Power Users	120 Power Users, 40 Casual, 10 Data Entry	120 Power Users, 40 Casual, 10 Data Entry
Number of transactions by type (online, batch, concurrent, etc.)	150 average concurrent users, 750+ Maximum current users, Approximately 1,000,000 page hits per month	Avg. transactions per second online: 15 Avg. transactions per second batch: 200+	Avg. transactions per second online = 17 Avg. batch requests per second online = 44
Size of transactions (amount of data moved or processed by transaction type)	N/A	1 Week’s worth of archive logs = 22.8GB	N/A
Requirements for public access, security, and confidentiality	Retirement Online is the self service component of the IRIS system and is publicly available. Standard security practices are in place similar to other systems requesting confidential information.	The IRIS does not have a requirement for public access. Confidential information is stored in databases. Standard security practices are in place similar to other systems requesting confidential information.	Process 360 does not have a requirement for public access. There is confidential information stored in the database. Standard security practices are in place similar to other systems requesting confidential information.
Hardware characteristics	Dell Intel-Based Servers, Cisco Switches/Firewalls, EMC Storage, Dell Tape Library	Dell Intel-Based Servers, Cisco Switches/Firewalls, EMC Storage, Dell Tape Library	Dell Intel-Based Servers, Cisco Switches/Firewalls, EMC Storage, Dell Tape Library
Software characteristics	VMWare VSphere,	VMWare VSphere, RedHat	VMWare VSphere,

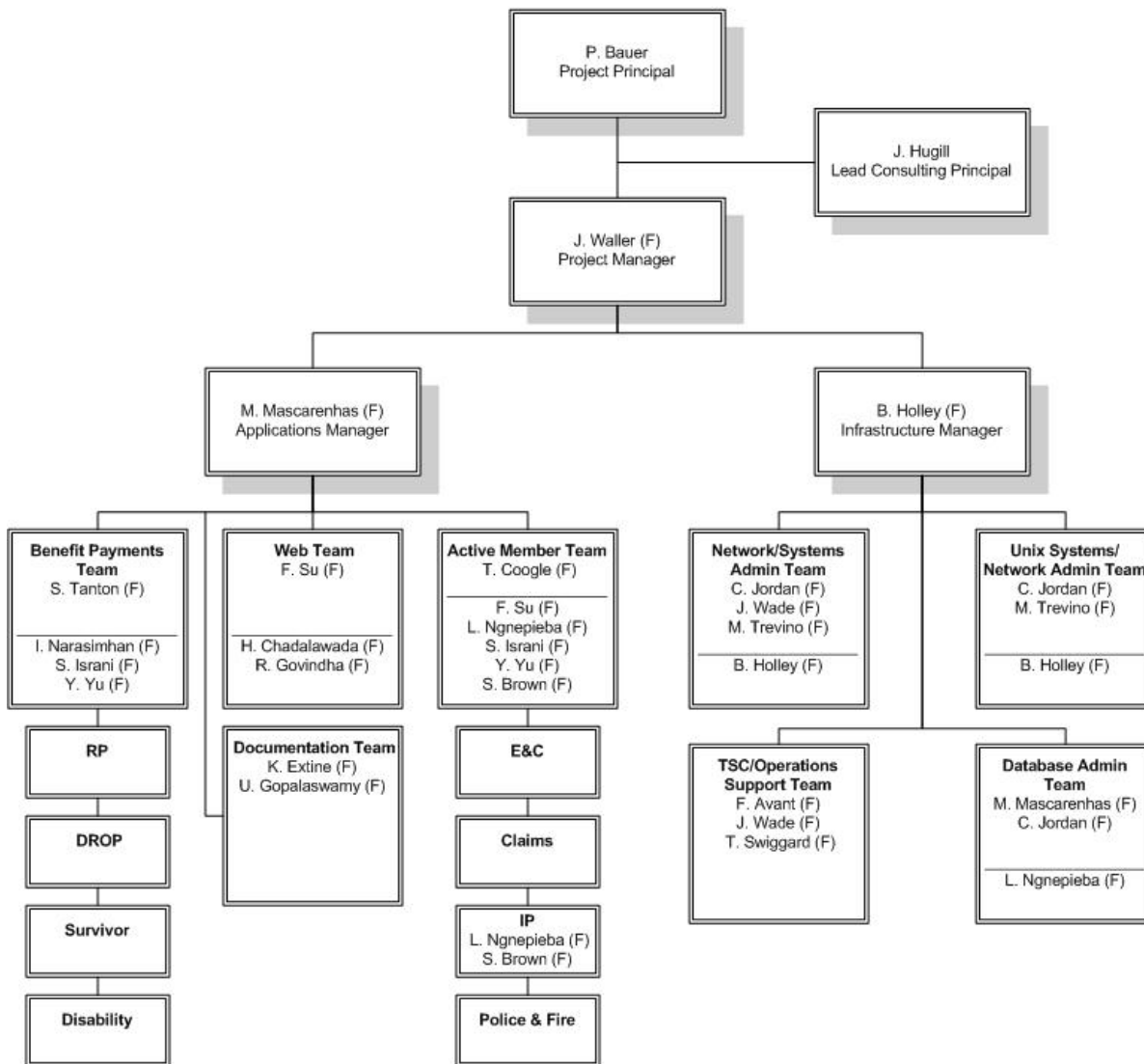
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	Retirement Online (Web Application)	IRIS (Line of Business Application)	Process 360 (Document Management/Automated Workflow)
	Windows Server OS, IIS, MS SQL Reporting Services, Global Scape EFT Server/Gateway, .NET, Symantec Backup Exec	Linux, Oracle Database, Windows Server OS, PowerBuilder, .NET, MS SQL Server Reporting Services, OpenText Enterprise Fax Server, IIS, Pitney Bowes AddressRight Pro	Windows Server OS, IIS, MS SQL Server, Symantec Backup Exec, VB Script, OpenText Enterprise Fax Server
External interfaces	MYFRS Portal	<ul style="list-style-type: none"> • FRS Participating Agencies, • SAMAS (State Automated Management Accounting System)/State Comptroller, Florida Department of Financial Services, • Internal Revenue Service (IRS), • Bureau of Vital Statistics - Florida Department of Health, • Actuary Consultant, Insurance Provider Companies, • Florida Auditor General's Office, • Florida Department of Law Enforcement, • Florida Department of Children and Families, • ORP and OAP Provider Companies, • PeopleFirst (Northgate Arinso), • Florida Records Administrator (SunGard), • MyFRS.com Portal (Idhasoft), • FRS Investment Plan Third Party Administrator (Aon Hewitt), • Choice Service (Financial Engines), • IRS Form 1099-R and FRS Member Annual Statements Print Vendor 	NONE
Scalability to meet long-term and network requirements (Y/N)	Y	Y	Y

b. Current system resource requirements

The division’s information technology environment, including the FRS systems, are maintained by the division’s outsourced IT services provider, Deloitte. The following organizational chart shows the resources Deloitte dedicates to supporting the division.

Deloitte FRS Project Org Chart



c. Current system performance

Although, the IRIS system is meeting the division’s current needs, it is unlikely that the system would continue to meet the division’s needs in the future. The division identified 24 business needs that need to be fulfilled. The division is unable to make progress in this direction due to the fixed amount of resources at its disposal and the fact that seemingly simple requirements are consuming significant resources due to the inflexibility and complexity of the current architecture. Many small inefficiencies linger in the current system which could

prevent the division from moving to the next level in terms of administrative cost control or enhancing customer service. In addition, components such as JetForms and PowerClass (the core development framework for the IRIS) are already unsupported by the Original Equipment Manufacturer (OEM). It is unlikely that the IRIS can be supported or enhanced significantly on tools and technologies that are no longer supported by their OEMs.

2. Strategic Information Technology Direction

The Department of Management Services has a defined strategic Information Technology plan. The proposed project aligns with the strategic direction in the technology and implementation approach planned.

3. Information Technology Standards

The Department of Management Services, Office of Information Technology has published information technology standards that Department entities are expected to comply with. The proposed solution was defined with the Department's IT standards in mind. The current state does not comply with Department application standards. A procurement for a replacement system would include compliance with the standards in the requirements for the new system.

B. Proposed Solution Description

1. Summary description of proposed system

Category	Definition	Benefits	Constraints
Commercial Off-The-Shelf (COTS)	<ul style="list-style-type: none"> •Commercially available •Configurable feature set •Core code custom feature modifications not allowed 	<ul style="list-style-type: none"> •Least expensive •Vendor support •Shorter implementation timeline •Least risk 	<ul style="list-style-type: none"> •Vendor dependent •Least customized to business needs
Modified Off-The-Shelf (MOTS)	<ul style="list-style-type: none"> •Commercially available •Configurable feature set •Core code custom feature modifications allowed 	<ul style="list-style-type: none"> •Less expensive •Vendor support options •Moderate implementation timeline •Less risk 	<ul style="list-style-type: none"> •Vendor dependent •Less customized to business needs
Transfer	<ul style="list-style-type: none"> •Commercially available •Defined feature set •Core code custom feature modifications necessary 	<ul style="list-style-type: none"> •More customized to business needs •Proven product 	<ul style="list-style-type: none"> •More expensive •Longer implementation timeline •More risk •Limited vendor options
Custom Build	<ul style="list-style-type: none"> •Not commercially available 	<ul style="list-style-type: none"> •Most customized to business needs 	<ul style="list-style-type: none"> •Most expensive

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Category	Definition	Benefits	Constraints
	•Defined custom feature set	•Vendor independent	•Longest Implementation timeline •Most risk
	•Core code custom feature development necessary		
Retain Current System	•Not commercially available	•No implementation costs	•Increasing costs
	•Defined feature set	•Users are familiar with system	•Increasing system problems
	•Core code custom feature modifications made	•Vendor independent	•Misalignment with business

2. Resource and summary level funding requirements for proposed system

Detailed resources and funding requirements are not yet available. The division has developed a high level project timeline that indicates when types of resources would be appropriate. Tasks and resources have not been defined yet.

Phase 1				Phase 2				Phase 3								
YEAR - 1				YEAR - 2				YEAR - 3				YEAR - 4				
Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	
Planning																
			Procurement													
					Analysis											
							Design									
									Build							
															Test	

A number of critical success factors have been identified for project execution:

- Adequate preparation: Preparation takes many aspects, can be nearly as time consuming as the system implementation itself, and will include the following elements:
- Governance: Placing a priority on establishing a strong governance structure, especially change management.
- Organization: Taking the time to prepare the organization. Gaining the buy-in of necessary executive leadership to have the right people dedicated to the re-engineering process and the implementation project, to shepherd changes throughout the organization.
- Adequate project planning: Project planning involves budgeting, defining project scope and developing strong requirements that are clearly traceable to established objectives and have defined acceptance criteria.
- Simplified scope: When planning the system, especially when defining the requirements, the goal will be simplicity. This is an appropriate time to look at the services the organization is providing as well, to determine if there are any

responsibilities that can be eliminated or moved.

- **Balanced perspectives:** When determining project scope, approach or requirements, a single viewpoint should not overshadow or “trump” others. This applies to both business functionality and technical architecture or platform.
- **Adequate funding:** In analysis of project failures, under-capitalization is consistently seen as a root cause. Whether due to poor budgeting caused by a failure to plan appropriately, or due to a failure to obtain the necessary funding because of other factors.

The estimated cost of this project is \$52,387,152

3. Ability of the proposed system to meet projected performance requirements for:

Detailed system capabilities are not yet available. The division will update the IV-B with additional detail as it becomes available through the procurement process. The vendors and that the division expects will respond to an eventual procurement can reasonably be expected to propose solutions that would appropriately address availability, capacity, reliability, backup and recovery and scalability. The division will include detailed expectations in the procurement documents addressing these points.

C. Capacity Planning

Capacity planning is the discipline to ensure the IT infrastructure and applications are in place at the right time to provide the right services at the right price. This involves input from many areas. The proposed system capacity plan will be started during the Analysis and Design phases.

D. Analysis of Alternatives

1. Assessment of Alternatives

Alternative 1 – Retain Existing System (Rejected)

The complexity and age of the current technology environment increases costs associated with staffing, skill sets, maintenance (bug fixes), data synchronization (errors), implementing timely changes (legislative and policy mandates), and integrating new functionality. Maintaining status quo may result in:

A need to proportionately increase the division’s staffing levels to serve the rising membership in FRS, which may not guarantee the same level of workforce efficiency as the current IRIS system is already 15 years old and aging rapidly.

Increased staff workload as manual workarounds are required to perform many day-to-

day tasks that are not automated in the current system

Decreased customer satisfaction over time as several business needs identified by the division are required to be fulfilled in order to enhance customer experience

Reputation risk to the division as customer experience and satisfaction may degrade over time

Alternative 2 – Custom Build (Rejected)

This alternative requires the division to procure a vendor or engage in-house division resources to design, develop and deploy the technology from scratch.

A custom built technology environment can be designed, built and deployed to meet the specific needs of the division. Since this environment is large and complex, the risk level for longer implementation timelines and cost overruns is escalated. Custom build is typically the most difficult to estimate with many variables to consider.

Overall, a custom build program has the highest risk of failure requiring strong project and risk management.

Alternative 3 – COTS/MOTS/Transfer

This alternative requires the division to select a COTS/MOTS/Transfer solution that most closely aligns with the needs of the division and contract with a vendor to configure/customize the solution.

This alternative allows the division to engage in a competitive procurement process, buy commodity functionality, take advantage of industry best practices, and still meet the unique

2. Assessment Process

The assessment process consisted of the following activities:

- Establish evaluation criteria
- Scan marketplace for solutions
- Evaluate alternatives
- Determine best fit for the division

Seven evaluation criteria were established when scanning the marketplace for potential solutions:

Evaluation Criteria	
Criteria	Description
User Interaction	Delivers simple, easy to use, and consistent solutions.
Functional Capabilities	Supports statutes, policy and processes with automated functional capabilities.
Non-Functional Capabilities	Built on technically sound principles and foundations.
Data Management	Underlying data structures are manageable and scalable to meet current and future growth.
Vendor Support & Stability	Viable partners for implementation and support.

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Evaluation Criteria	
Criteria	Description
Risk	Solution alternative mitigates the perceived risks.
Cost	Overall cost of product or services.

Each of the seven criteria was weighted for importance based on the needs of the division. The weighting Criteria below displays the justification for the weighting factors.

Criteria	Weight	Elements
User Interaction	15	The division delivers simple, easy to use solutions to its customers.
Functional Capabilities	15	The division supports business policies and processes with automated functional capabilities.
Non-Functional Capabilities	15	The system is built on technically sound principles and foundations.
Data Management	15	The underlying data structure is manageable and scalable to meet current and future growth.
Vendor Support & Stability	10	Vendors are viable partners for the division in the implementation of the modernization solution.
Risk	15	The extent to which the solution alternative mitigates the perceived risks.
Cost	15	The overall cost associated with the preparation, selection, design, implementation, and maintenance.

A point scale was used to score each alternative. The description of each score can be found in table 5-8- Scoring Criteria below.

Scoring	
Score	Elements
4	Meets most of the needs of the division
2	Meets some of the needs of the division
0	Meets few of the needs of the division

Each criterion's score was multiplied by the weighting factor to determine a total score for each criterion. All total criteria scores were added up to give a "Total Weighted Score" for each solution alternative. The results of this process are shown below

Criteria	Weight	COTS/MOTS/ Transfer		Custom		Retain Existing System	
		Score	Total	Score	Total	Score	Total
User Interaction	15	4	60	4	60	2	30
Functional Capabilities	15	4	60	4	60	2	30
Non-Functional Capabilities	15	4	60	4	60	2	30
Data Management	15	4	40	4	40	2	20
Vendor Support & Stability	10	4	40	0	0	0	0

Criteria	Weight	COTS/MOTS/ Transfer		Custom		Retain Existing System	
		Score	Total	Score	Total	Score	Total
Risk	15	2	30	0	0	0	0
Cost	15	2	30	0	0	2	30
TOTALS	100	24	320	16	220	10	140

3. Technology Recommendation

Based on the preceding analysis, the technology recommendation is to replace the existing technology environment with the procurement of a COTS/MOTS/Transfer solution. This approach will maximize technical and business benefits, providing the agility, flexibility and scalability needed for the future. It will also reduce project risks and provide support options for the future. The costs, resources, complexities, timing and risks associated with retaining the current technology environment or custom building a new environment are extraordinary.

Additional advantages of the COTS/MOTS/Transfer solution approach include:

- Reduces the development, support and/or system integration efforts through the use of pre-built components in the areas of issuance, compliance, business services and support services.
- Provides a configurable/modifiable technical architecture that provides the most flexibility in meeting initial complex division requirements/rules/organizational alignment and agility accommodating a changing future business landscape.
- Supports a robust set of process, data and reporting tools to enhance the division's performance.
- Requires a larger initial capital investment to implement but will accrue longer term savings in process efficiencies, maintenance costs, tool availability, and resource utilization.
- Utilizes current standard technology reducing the risk of technical obsolescence.
- Provides a more predictable implementation timeframe with less risk for cost overruns.

VI. Project Management Planning Component

A. Project Charter

The project charter establishes a foundation for the project by ensuring that all participants share a clear understanding of the project purpose, objectives, scope, approach, deliverables and timeline. It serves as a reference of authority for the future of the project. It includes the following:

Name

This project is referred to as the IRIS Modernization Project.

Purpose

The purpose of the project is to replace the current components of the Florida Retirement System support applications

Objectives

This project will meet the following objectives:

- Develop and document efficiency driven business processes.
- Create a modern, integrated procedural and data driven retirement technology system with:
 - Single view of the customer,
 - Self-service capabilities,
 - Real time interfaces,
 - Streamlined data input,
 - Compliant with legal requirements,
 - Enhanced service delivery capabilities,
 - Transactional accountability, and
 - Flexibility to grow.

Scope

Included in the scope of this project are:

- The defined benefit programs of consolidated Florida Retirement System (chapter 121, F.S.).
- The State University System Optional Retirement Program (section 121.35, F.S.) and the Senior Management Service Optional Annuity Program (section 121.055, F.S.).
- The Health Insurance Subsidy (HIS) Program for retirees of the FRS (section 112.363, F.S.).
- The Social Security Coverage Program for Florida public employees under chapter 650, F.S. (the division is not responsible for social security benefits).

Exclusions from the scope of this project are:

- Financial and Accounting system

Approach

The approach to the project is in seven phases: Planning, Procurement, Analysis, Design, Build, Test and Deploy.

Planning: A planning effort is required to seek funding from the legislature and to define the requirements for the IRIS Modernization Project. The division indicated that the original system requirements for the IRIS from early 1990's are still available. These system requirements need to be reviewed and confirmed with stakeholders to ascertain their validity in the current business and technological environment. In addition, the division has implemented many modifications to the IRIS over the past 15 years. These modifications are documented as approved System Information Requests (SIR – the division's method of requesting and implementing system changes). The approved and pending SIRs will need to be reviewed and confirmed with the stakeholders. The business needs (i.e. gaps in current system) identified during the "Gap-Fit Analysis" of this study is another source for requirements. The current system could also be used as a source to reverse engineer and extract some requirements of a new system. Additionally, business strategy and process improvement sessions with internal and external stakeholders would be helpful to identify new and refine past and current requirements. Together, these sources represent the complete set of requirements for the IRIS.

Procurement: After the division has obtained a complete set of requirements for the IRIS system, the division may issue an appropriate system solicitation document to procure the services of a System Integration Vendor.

Implementation: The division and System Integration Vendor may jointly define the implementation plan. Based on leading practices, the common steps for projects such as the IRIS are:

Analysis: Validate and confirm the requirements of division with the System Integrator before starting the core development effort.

Design: Devise the functional and technical components of the system architecture.

Build: Develop and/or customize the system functionality to meet the requirements of the system.

Test: Perform system, user acceptance, and performance testing to validate that the new system meets the agreed upon business and technical requirements.

Deploy: Train the users (internal and external) and roll-out the new system.

Deliverables

The following table contains a preliminary list of project deliverables. It will be updated during the Planning phase. As a project is initiated within a phase, specific detailed project management and project deliverables will be defined.

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Name	Work Group	Description
Project Charter	Preparation	A document authored by the Project Manager and issued by the Project Sponsor authorizing the Project Manager to apply resources to project activities.
Project Management Plan	Preparation	Includes but is not limited to one or more of the following documents: <ul style="list-style-type: none"> • Work Breakdown Structure • Resource Loaded Project Schedules • Change Management Plan • Document Management Plan • Quality Management Plan • Risk Management Plan • Issue Management Plan • Resource Management Plan • Project Budget
Risk, Issue & Action Registers	All Work Groups	Prioritized list of identified risks and actual issues during the project.
Status Reports and Meeting Actions	All Work Groups	Record of project status delivered and decisions/actions taken.
Project Deliverables	Preparation	Includes Project Management and Project Specific deliverables.
Project Deliverables	Select & Design	Includes Project Management and Project Specific deliverables.
Project Deliverables	Implementation Iterations	Includes Project Management and Project Specific deliverables.

Milestones

The following table is an initial list of milestones to which the project will adhere.

Milestone	Work Group	Deliverables to Complete
Project Initiation	Preparation	Charter, Project Management Plan
Project Execution	All Work Groups	Updates to Charter, PM Plan, Risk/ Issue/Action Registers, Status Reports and Meeting Actions
Project Initiation & Execution	Preparation	Project Management (e.g. Charters and Project Management Plans) and Project Specific (e.g. Server Based Systems, Data Model/Entity Rules/Mapping, Business Process/Rules Documentation, Business Functional Requirements) deliverables
Project Initiation & Execution	Select & Design	Project Management (e.g. Charters and Project Management Plans) and Project Specific (e.g. Solution /Vendor, division Technical Design, Implementation Plan) deliverables
Project Initiation & Execution	Implementation Iterations	Project Management (e.g. Charters and Project Management Plans) and Project Specific (e.g. Iterative Implemented Solutions) deliverables

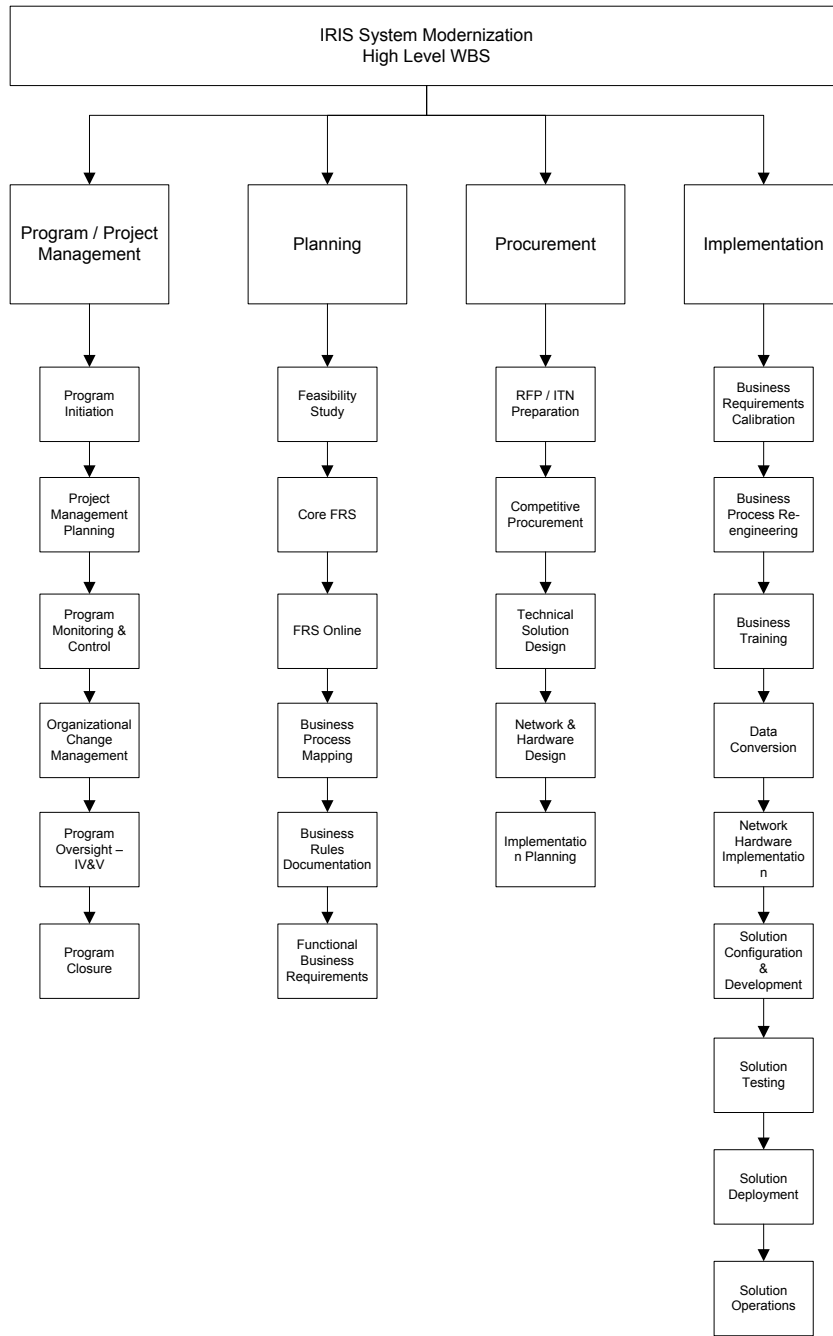
Stakeholders

The following table identifies the current project stakeholders with a short description of their relationship to the project.

Stakeholders	Function Performed
Member	Provide access to online services, retirement information, and customer service provided by retirement staff,
FRS Participating Agencies	Provide automated member and agency enrollment functions and payroll balancing and updating of retirement records to support retirement services.
SAMAS (State Automated Management Accounting System) / State Comptroller, Florida Department of Financial Services (DFS)	State accounting function used in reporting of state payroll file to upload into IRIS and retirement contribution, expense, and income allocation by DMS accounting .
Internal Revenue Service (IRS)	The Division reports retiree benefits and remits income taxes withheld from retirement benefits.
Bureau of Vital Statistics - Florida Department of Health	A bi-weekly file is provided to the Division to support the benefit monitoring by the Survivor Benefits Section.
Actuary Consultant	The Division provides data to the actuary to support the valuation of the FRS Pension Plan, actuarial special studies of the FRS Pension Plan benefits, valuation of the Retiree Health Insurance Subsidy Program, and the Florida State Group Insurance Program.
Insurance Provider Companies/FRS Participating Agencies	The Division withholds insurance premiums for approved insurance companies and agencies.
Florida Auditor General's Office	The Division provides a monthly file of retiree payments to the Auditor General to monitor for fraud prevention.
Florida Department of Law Enforcement (FDLE)	The Division provides a monthly file of retiree payments to FDLE for Medicaid fraud and delinquent educational loan repayment investigations.
Florida Department of Children and Families (DCF)	The Division provides a monthly file of retiree payments to DCF to investigate child support payment delinquencies.
Investment provider companies for the State University System Optional Retirement Program (SUSORP) and the Senior Management Service Optional Annuity Program.(SMSOAP)	Contracted bundled investment provider companies that provide investment products and retirement services for members of the SUSORP or the SMSOAP . The Division provides data files and transfers contributions for deposit into member accounts. The provider companies provide data about retirement distributions by these members.
PeopleFirst (Northgate Arinso)	Payroll reporting system for state employees; provides data to DFS to include in the monthly payroll report for state employees.
Florida Records Administrator (SunGard)	The Division provides a file of eligible employees to the Deferred Compensation Program in DFS.
MyFRS.com Portal (Idhasoft)	File exchange of data for the Investment Plan members for Idhasoft and Ernst & Young. Membership election files are shared.
FRS Investment Plan Third Party Administrator (Aon Hewitt)	Data and contributions are forwarded to for Investment Plan members; payroll, service credit, and vesting data is maintained and provided as needed; distribution data and transaction reversal and contributions are returned to the Division.
Choice Service (Financial Engines)	The Division provides data files to allow Financial Engines to provide financial guidance to all FRS members that will soon include DROP participants.

C. Work Breakdown Structure

The IRIS Modernization Project can be made more manageable by breaking it down into individual components in a hierarchical structure known as a work breakdown structure (WBS). The WBS defines at a summary level all work that will take place within the project. It serves as a common framework for planning, scheduling, estimating, budgeting, configuring, monitoring, reporting on, directing, implementing and controlling the entire project. The following chart is a preliminary WBS for the IRIS System Modernization.



D. Resource Loaded Project Schedule

The division will not have the information needed to develop a resource loaded project schedule until some procurement activities have occurred. The division understands the overall work to be done, but until vendors propose methods for meeting the division's needs, the division will not know how many resources will be required to meet the overall timeline.

The division will continue to update the Schedule IV-B as the project progresses and more information becomes available. The division's current high level schedule is presented here:

Phase 1				Phase 2				Phase 3								
YEAR - 1				YEAR - 2				YEAR - 3				YEAR - 4				
Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	
Planning																
			Procurement													
					Analysis											
							Design									
									Build							
														Test		
															Deploy	

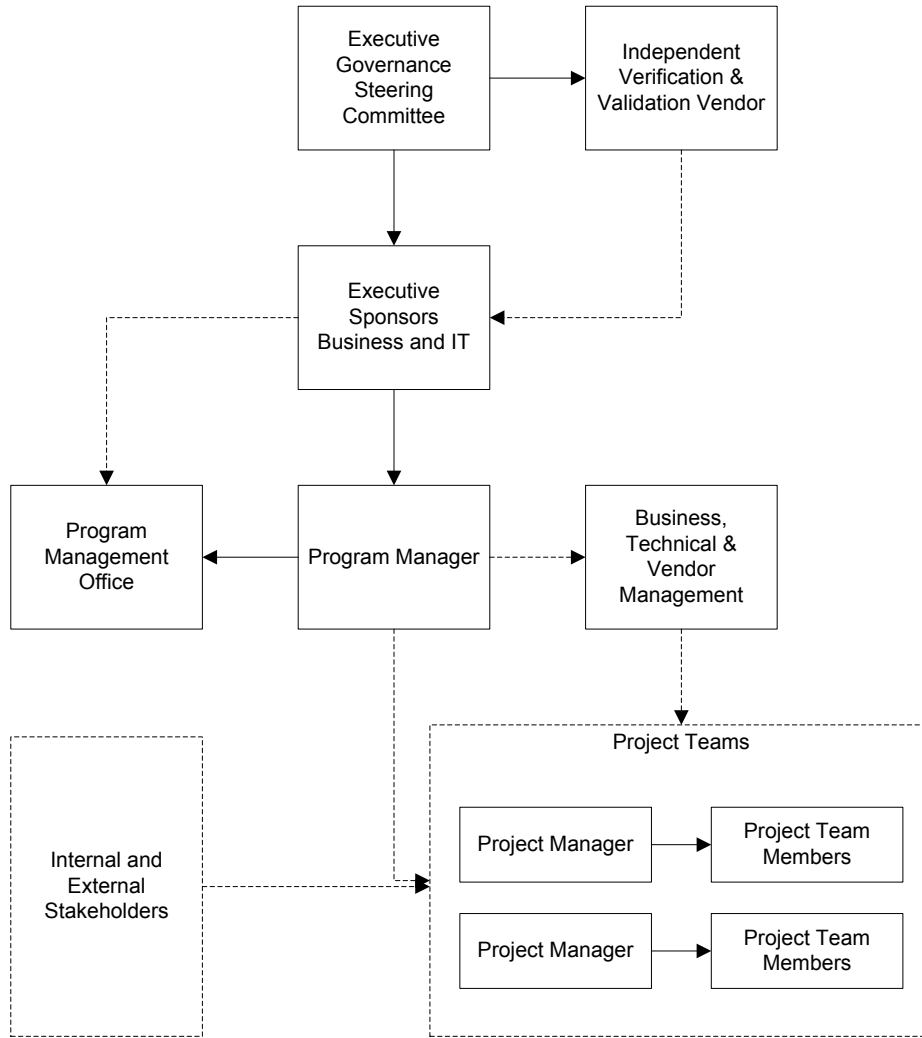
E. Project Budget

The cost information used as the basis for the preliminary project budget was developed based on publically available information and a survey of possible vendors. These numbers represent an estimate to be used for budgetary planning purposes only as actual costs will vary. The cost per year may change based on deliverable payment schedule negotiated during the procurement process for certain products.

Project Cost Elements	Year - 1	Year - 2	Year - 3	Year - 4	TOTAL
Planning	\$1,000,000	-	-	-	\$1,000,000
Procurement	\$250,000	\$500,000	-	-	\$750,000
System Integration (<i>Includes Software and Hardware</i>)	-	\$8,000,000	\$16,000,000	\$16,000,000	\$40,000,000
PMO	\$744,640	\$1,131,520	\$1,131,520	\$1,131,520	\$4,139,200
IV&V	\$193,440	\$580,320	\$580,320	\$580,320	\$1,934,400
Contingency	-	\$1,021,184	\$1,771,184	\$1,771,184	\$4,563,552
Total Project Costs	\$2,188,080	\$11,233,024	\$19,483,024	\$19,483,024	\$52,387,152

F. Project Organization

The following chart shows the proposed project organization and the relationship between its components.



The following chart identifies the project team roles within the project organization and a summary of their responsibilities.

Role	Responsibility
Executive Governance Steering Committee	<ul style="list-style-type: none"> ▪ Sets overall strategic scope and direction. ▪ Reviews project risks, issues and exceptions ▪ Provides general project oversight.
Executive Sponsors	<ul style="list-style-type: none"> ▪ Sets tactical scope and direction ▪ Provides specific project oversight.

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Role	Responsibility
	<ul style="list-style-type: none"> ▪ Influences interaction with stakeholders ▪ Accepts major project deliverables ▪ Final arbiter of project issues
Independent Verification & Validation (IV&V) Vendor	<ul style="list-style-type: none"> ▪ Monitors project management processes ▪ Validates system solution is developed according to validated requirements and designs ▪ Verifies project deliverables meet accepted specifications ▪ Informs Executive Sponsors and Project Manager of process or deliverable deficiencies ▪ Reports process or deliverable deficiencies to Executive Governance Steering Committee
Project Management Office (PMO)	<ul style="list-style-type: none"> ▪ Provides project management tools, techniques, and process models ▪ Provides project assistance as requested ▪ Acts as a project advisor to the project sponsors
Project Manager	<ul style="list-style-type: none"> ▪ Documents project charter (objective/scope/etc.) ▪ Develops project management plans ▪ Consolidates project plans into project plan ▪ Reports project status ▪ Maintains project financials ▪ Manages integrated project change control ▪ Manages project risks, issues and actions ▪ Facilitates team communication
Business, Technical & Vendor Management	<ul style="list-style-type: none"> ▪ Oversees business, technical and vendor teams ▪ Ensures resources are available for projects ▪ Resolves business or technical issues ▪ Communicates with project manager
Stakeholders	<ul style="list-style-type: none"> ▪ Acts as a business or technical advocate ▪ Speaks to the strategic business interests ▪ Provides a perspective of current and future business or technical requirements ▪ Communicates project information to their constituent

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Role	Responsibility
	communities <ul style="list-style-type: none">▪ Performs user acceptance testing
Project Team Members	<ul style="list-style-type: none">▪ Performs business or technical activities as documented in the project plan▪ Reports business or technical activity completion status

G. Project Quality Control

Quality can be defined as meeting or exceeding the customer's expectations. Project quality management ensures the project activities and deliverables meet customer requirements.

Three processes are associated with project quality management:

Quality Planning – Identifies the quality standards which are relevant to the project deliverables and how they will be achieved. The project charter, project management plans (resource, schedule, budget, change control, etc.), development standards, testing management plans, contract management etc. are key inputs. The Quality Plan will be developed during the Preparation Work Group – Project Organization and Governance Project.

Quality Assurance – Execution of quality activities during the project to ensure variances in processes are clearly identified and assessed. Examples of these activities are process analysis, reviews and audits. Independent verification and validation is a component of quality assurance and will be discussed in Section 6.7. External Project Oversight.

Quality Control – Monitoring project activities and deliverables to determine if they comply with the project's quality standards. Monitoring during the project may take the form of self-reviews, peer reviews, structured testing or status meetings.

In summary, quality management is incorporated into the project.

H. External Project Oversight

Independent verification and validation (IV&V) is a set of verification and validation activities performed by a separate entity (consultant) not under project control. Its primary goal is to provide an objective assessment of project processes and deliverables. In addition, the IV&V consultant will facilitate early detection and correction of project deficiencies, enhance management insight into project risks and ensure compliance with project performance, schedule and budget requirements.

The IV&V consultant will develop a snapshot of the project management and any solution vendor's processes. The consultant will then consolidate the snapshot into a report to management detailing any areas of weakness or risk to the project as well proposed solutions for their remediation or mitigation. Subsequent site visits will build on the findings of the previous site visit.

The IV&V consultant will be selected and commence at the start of the IRIS Modernization Project.

I. Risk Management

The purpose of risk management is to identify, assess, and prioritize those risk factors which may negatively affect the project. Strategies can then be employed to minimize, monitor and control the probability and/or impact of the negative risk factors. A Risk Management Plan will be developed during the Planning phase to formalize the project risk policies, procedures, processes, activity schedule, tools and templates. The Risk Management plan is approved by the Steering Committee and updated semi-annually as appropriate. Risk management reviews should be conducted monthly over the duration of the project to update the negative risk factors.

Once a risk factor is identified, the impact on the project is determined, the probability of occurrence is estimated, and the Department's tolerance level is documented. A risk strategy with appropriate corresponding actions can then be applied to manage the risk factor. Risk strategies include:

- Acceptance – the risk factor is unavoidable, continue the project, and monitor for the occurrence of the risk.
- Avoidance – the risk factor is avoidable and eliminates the cause or probability of the risk.
- Mitigation – the risk factor is unavoidable, continue the project, implement actions to provide for early detection, and implement actions to lessen the impact.
- Transference – the risk factor is unavoidable, continue the project, and share with, or give to, another party the risk factor to manage.

Risk Description - Impact	Probability of Occurrence (high, medium, low)	Tolerance Level (high, medium, low)	Risk Strategy (accept, avoid, mitigate, transfer)	Assigned Owner
Strategic				
1. Statutory and policy changes will continue to occur during the project – Unexpected changes could increase project budget and timeline.	High	High	Accept	TBD
2. The project will have extensive external visibility – Service and functionality issues may lead to negative publicity.	High	Low	Avoid	TBD
Technology				
3. The technical solution has not yet been finalized or selected – Impact TBD	High	Medium	Mitigate	TBD
Organizational				
4. Core business processes that currently function well may have to change to align with the capabilities of the selected technology. Some users may be resistant to change.	Medium	Low	Mitigate	TBD

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Risk Description - Impact	Probability of Occurrence (high, medium, low)	Tolerance Level (high, medium, low)	Risk Strategy (accept, avoid, mitigate, transfer)	Assigned Owner
5. Business process and technology changes will affect other local/state/federal agencies and private partners – Failure to plan for and communicate these changes could result in implementation delays and negative publicity.	High	Low	Mitigate	TBD
Communication				
6. Internal and external communication channels have not yet been established. If effective project communication is not established, could erode support.	Medium	Low	Mitigate	TBD
Fiscal				
7. Cost estimates have been developed before detail business requirements – Unanticipated requirements may increase the cost and time estimates for the Implementation phase.	Medium	Low	Accept	TBD
8. Actual project costs may exceed funding requests – Under-capitalization may lead to project failure.	High	Low	Mitigate	TBD
Project Organization				
9. Key internal resources will not be dedicated to the project – Lack of key resources may elongate timelines, increase costs or contribute to project failure.	High	Medium	Mitigate	TBD
10. Internal resources may not possess required skills and knowledge for the new business and technical environments – Lack of skills and knowledge may elongate timelines, increase costs or contribute to project failure.	Medium	Low	Mitigate	TBD
Project Management				
11. Lack of Project management and may elongate timelines, increase costs or contribute to project failure.	Medium	Low	Mitigate	TBD
Complexity				
12. Stakeholder geographical, cultural and organizational differences will make communication difficult – The differences may cause missed requirements or unreasonable expectations.	High	High	Mitigate	TBD

J. Organizational Change Management

A challenge to the success of the IRIS Modernization Project is that the division currently operates very efficiently, with a high level of customer satisfaction. The IRIS Modernization Project could select a technology product that requires changes to the division's established processes. New processes have an unpredictable effect on efficiency and customer service. If process changes are required, organizational change management will become a critical success factor of the system implementation. Two types of change activities are integral to the success of the project.

Organizational change management outlines the activities necessary to ensure staff participation in process development and improvement, skill set changes and technology acceptance. Examples of these activities are the communication of project goals and benefits; documentation and communication of solution vendor/division roles/responsibilities; development and communication of new process maps/roles; development and communication of a skills gap analysis; and the development and communication of a training plan.

Project change control is the set of activities and templates used to request and manage changes to accepted project scope, timelines, deliverables and/or costs. This will facilitate communication about requested changes among the stakeholders of the project, provide a common process for resolving requested changes, and reduce the uncertainty around the existence, state, and outcome of a requested change.

An organizational change management plan and a project change control process will be developed and communicated.

K. Project Communication

Project communication is the exchange of project-specific information with the emphasis on creating understanding between the sender and the receiver. Effective communication is one of the most important factors contributing to the success of a project.

Three clear communication channels will be established across all the projects. They include:

- Upward channel with senior executives and steering committee to highlight issues, risks and scope exceptions.
- Lateral channel with sponsor(s), stakeholders, and other agency management involving requirements, resources, budgets and time allocations.
- Downward channel with the project team highlighting processes, activities, dates, status and general team briefings.

A communication plan describes how project communication events will occur across the channels described above. The events themselves may be periodic or one-time in nature.

What	Who	Owner	Purpose	Frequency	Type
Project Plan (Integrated Project Plans)	Key stakeholders	Project Manager	Update stakeholders and project teams on project progress, dependencies and milestones.	Bi-Weekly	Document distributed via hardcopy or electronically.
Executive Status Report	All stakeholders	Project Manager	Update stakeholders on progress of the project.	Monthly	Distribute electronically and post on project repository
Steering Committee Meeting	Project Steering Committee,	Project Manager	Update Project Steering Committee on status and discuss critical issues. Approve changes to Project Plan.	Monthly	Meeting
Executive Sponsor Meeting	Sponsor	Project Manager	Update executive sponsor(s) on status; discuss critical issues and risks; and review changes to Project Plan.	Bi-Weekly	Meeting
Project Workbook	Project and project teams.	Project Managers	To monitor and track project specific milestone status, issues, actions, decisions and risks, assumptions, constraints and scope tracking.	Weekly	Distribute electronically and post on project repository
Team Meetings	Entire project team. Individual meetings for sub-teams, technical team, and functional teams as appropriate.	Project Managers	To review detailed plans (tasks, assignments, issues, and action items).	Regularly Scheduled	Meeting Template

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What	Who	Owner	Purpose	Frequency	Type
Project Repository	ALL project team members.	Project Managers	Central location to house status reports, meeting minutes, project description, and Project Initiation Plan. For any shared communication.	Regularly Scheduled	TBD
Periodic Demos and Presentations	Focus on specific groups	Project Managers	To gain inputs and approvals from special groups and keep them abreast of the project's status.	As needed	Presentation/ Discussion
Other	To be determined by the project team	Project Members	General communications.	As needed	Email lists, announcements, etc.

L. Special Authorization Requirements

There are no special authorization requirements for the IRIS Modernization Project.

VII. Appendices

A. Appendix A - CBA Forms



official CBA forms for
IV-B.xls

B. Appendix B - Risk Assessment Tool



Risk Assessment
7-9-12.xls

C. Appendix – Business Impact Analysis

The following table provides the potential impacts to the Division’s business if the business needs are not fulfilled.

- **ID:** A sequential identifier for the business need
- **Business Need:** A brief description of the business need identified during gap fit analysis
- **Business Impact:** A brief description of impacts to the Division’s business if the business need is not fulfilled.

ID	Business Need Identified	Business Impact (if need is not fulfilled)
Flexible - Ability to modify system to changing business needs.		
1	<p>Ability to create and modify business rules without requiring extensive programming.</p> <ol style="list-style-type: none"> 1. Implement interchangeable off-the-shelf component for rules engines to help address weaknesses of IRIS and improve IRIS. (SWOT) 2. Users must be able to calculate the cost of the amount of optional service needed for members to be vested for disability retirement. (Interview with Benefit Payments) 3. Users must be able to upgrade service (for example, creditable service) in IRIS. Currently this is a manual activity. (Interview with Retirement Calculations) 4. Retain service credit after adjustments. (Withdrawn SIR 3049) 5. Ability to track QC elections. (Interview with Contributions and Enrollment) 6. Users must be able to calculate Actuarial Accrued Liability (AAL) in IRIS. Currently this is a manual process. (Interview with Retirement Calculations) 7. Modify IP Disability Estimate module. (Withdrawn SIR 3140) 	<ul style="list-style-type: none"> ▪ Difficulty in meeting legislative mandates ▪ Limits the number of changes that can be rolled out ▪ Reputation Risk ▪ Decreases Public confidence ▪ Impacts customer satisfaction ▪ Increases manual workaround and manual effort
2	<p>Ability to create, automate and roll-out new business processes to support organizational structural changes without requiring extensive programming (e.g. DROP screens).</p> <ol style="list-style-type: none"> 1. Create a new business Section for refunds to accommodate Contributory Law. The current system’s code library PowerLock limits this implementation. (Interviews) 2. DROP screens are not fully integrated into the system 3. The Bureau of Accounting must have an indicator or flag to note that they have 	<ul style="list-style-type: none"> ▪ Difficulty in meeting legislative mandates ▪ Limits the number of changes that can be rolled out ▪ Reputation Risk ▪ Decreases Public confidence ▪ Impacts customer satisfaction

**FY 2013-14 SCHEDULE IV-B FEASIBILITY STUDY FOR
IRIS MODERNIZATION PROJECT**

ID	Business Need Identified	Business Impact (if need is not fulfilled)
	<p>informed the collection agency of an issue. (Interview with Accounting)</p> <p>4. Save changes to Notes. (Withdrawn SIR 3109)</p> <p>5. Hide W-4P menu item. (Withdrawn SIR 3347)</p> <p>6. Automate the SUSORP/CCORP Buyback HIS Interest buyback. (Hold SIR 3338)</p> <p>7. Users must be able to specify e-mail address on Correspondence Checklist. (Withdrawn SIR 3332)</p>	<ul style="list-style-type: none"> ▪ Increases manual workaround and manual effort
Maintainable – Able to manage change and update the system.		
3	<p>Ability to replace aging components of the system without major re-engineering effort or impact to the current functionality of the system.</p> <p>1. Replace the document management system. The document management software is outdated and does not meet the workflow requirements of the business. Jet Forms has been discontinued and is not supported by the original vendor (SWOT)</p> <p>2. The Department of Management Services and the State of Florida have considered or are considering establishing technical standards for Enterprise Document Management, Customer Relationship Management (CRM) systems, Enterprise Resource Planning (ERP) systems, security, databases and others. It is not practical to implement these standards within the current IRIS architecture. (SWOT)</p>	<ul style="list-style-type: none"> • Risk of information loss • Inconsistent products from the application • Inability to meet customer expectations • Extensive effort and multiple steps required to process simple changes • Extensive effort and multiple steps required to produce a final product for the customer
4	<p>Ability to roll out new code without installing on individual machines.</p> <p>1. Replace “thick” client-server with “thin” or browser-based client-server architecture. (SWOT)</p>	<ul style="list-style-type: none"> • Inconsistent application version control between users • Business users need to spend extra time collaborating with IT to get the newer version of the application which in turn takes their time away from core duties
Secure – System access control and data protection.		
5	<p>Ability to define and implement robust and fine grain security controls for system access (e.g. least privilege, default deny – access by exception, cascading password changes).</p> <p>1. Implement interchangeable off-the-shelf component for security to help address</p>	<ul style="list-style-type: none"> • Potential for errors • Risk of information loss, theft, and security • Risk of non-compliance with rules and statutes

**FY 2013-14 SCHEDULE IV-B FEASIBILITY STUDY FOR
IRIS MODERNIZATION PROJECT**

ID	Business Need Identified	Business Impact (if need is not fulfilled)
	<p>weaknesses of IRIS and improve IRIS. (SWOT)</p> <ol style="list-style-type: none"> The current security management software uses a “remove” rather than “add” approach to access rights. This means that when a new user is added, he or she receives access to the full application and rights must be taken away to get to the correct access level. Newer systems take an additive approach, where a user starts out with access to nothing and rights are specifically granted for appropriate access. This control style is easier to implement, introduces less risk and has fewer opportunities for human error. (SWOT) Users currently must be added and maintained in three locations (database, application and Windows), which makes requiring frequent password changes unmanageable. (SWOT) 	<ul style="list-style-type: none"> Timeliness issue in giving and removing privileges/access, which negatively impacts work progress
<p>Portable – The data can be migrated to other platforms as dictated by the Division’s needs.</p>		
6	<p>Ability to export data in multiple formats (e.g. excel, csv, pdf)</p> <ol style="list-style-type: none"> Users need to be able to export reports to multiple formats. Users are not able to export to Excel with Crystal Reports. (Interview with Enrollment and Contributions) Users need to be able to modify comments in reports after they are archived. This is a limitation of Crystal Reports. (Interview with Retirement Calculations) Users need to be able to run spell check on their reports. This is not available in Crystal Reports. (Interview with Retirement Calculations) 	<ul style="list-style-type: none"> Extensive manual efforts and workarounds to provide data to customers Decreases Customer satisfaction Reputation risk Increased probability of errors
7	<p>Ability to import data from external sources.</p> <ol style="list-style-type: none"> System Administrators must be able to update IRIS with addresses after a review of vested termination accounts. (Proposed SIR 3365. Currently in development.) Health insurance subsidy tax exclusion upload is a manual process. 	<ul style="list-style-type: none"> Reputation risk Increases manual effort due to multiple steps Decreases customer satisfaction Increases cost Wasted resources (time, money, and effort) Increases data processing time
<p>Digital recording – Record telephone conversations.</p>		
8	<p>Ability to record, index and search telephone conversations.</p>	<ul style="list-style-type: none"> Difficulty in resolving disputes

**FY 2013-14 SCHEDULE IV-B FEASIBILITY STUDY FOR
IRIS MODERNIZATION PROJECT**

ID	Business Need Identified	Business Impact (if need is not fulfilled)
	<ol style="list-style-type: none"> 1. Retirement Calculations may use voice recording for training. (Interview with Retirement Calculations) 2. System should link a recording to the information in IRIS. (Interview with Enrollment and Contributions) 	<ul style="list-style-type: none"> • Difficulty in monitoring customer satisfaction • Reputation risk
Reports – Formatted output of system for a specific business purpose.		
9	<p>Ability to track and report on files received electronically and in paper.</p> <ol style="list-style-type: none"> 1. The division relies upon file transfer protocol (FTP) heavily for contributions and payroll submissions. FTP has very limited reporting capabilities. Reports on success or failure of file transmissions cannot be edited or sorted to make them more usable. Not being able to track receipt of certain files can put the Division at risk of liabilities for loss of earnings. (SWOT) 2. IRIS does not provide a count of the disability applications received. Therefore, applications currently have to be tracked manually on a spreadsheet. (Interview with Benefit Payments) 	<ul style="list-style-type: none"> • Risk of incurring penalties. This includes the division and also the 900 employing agencies • Increased processing time and effort • No metrics for statistical analysis • Reputation risk • Decreases customer satisfaction
10	<p>Ability to generate Ad Hoc reports.</p> <ol style="list-style-type: none"> 1. Users must be able to generate report of State University System Optional Retirement Program (SUSORP) / Community College Optional Retirement Program (CCORP) Buyback HIS Interest. (Hold (proposed SIR not yet approved) SIR 3338) 2. Users must be able to identify Deferred Retirement Option Program (DROP) accounts that are missing contribution reports. (Hold (proposed SIR not yet approved) SIR 3361) This information is currently being obtained on a quarterly basis. This information should be available on a monthly basis. 	<ul style="list-style-type: none"> • Difficulty in fulfilling legislative mandates and information requests • Cannot perform statistical analysis • Decreases customer satisfaction • Reputation risk
Forms management – Ability to manage forms and standard communications.		
11	<p>Ability to modify forms individually or in a group (for example, utilize template components for commonalities like letterhead).</p> <ol style="list-style-type: none"> 1. RoL users must use the same version of forms that the Division staff use. “pdf” forms are available for RoL users online but staff use an older version of the form (Interview with Benefit Payments). 2. Need the ability to change headings on documents more easily (for example, letterhead 	<ul style="list-style-type: none"> • Potential for errors • Decreased productivity • Increases manual processing

**FY 2013-14 SCHEDULE IV-B FEASIBILITY STUDY FOR
IRIS MODERNIZATION PROJECT**

ID	Business Need Identified	Business Impact (if need is not fulfilled)
	<p>reflecting the new administration). (Interview with Jerry Haynes). Jet Forms has been discontinued and is not supported by the original vendor</p> <p>3.</p>	
12	<p>Ability to generate forms with pre populated data (to minimize manual data entry).</p> <ol style="list-style-type: none"> 1. Users must be able to generate batch print job for monthly DROP term packets with pre-populated fields (Hold (proposed SIR not yet approved) SIR 3362) 2. IRIS currently pre-populates forms that the Bureau of Benefit Payments staff print and mail to the members. Members then complete and mail the form back to the Division. They currently download pre-populated IRS Form 1099-R from RoL. Members need to be able to download additional pre populated forms from RoL. (Interviews with Benefit Payments) 	<ul style="list-style-type: none"> • Increases potential for errors • Lost opportunity for improving efficiency • Increased processing time, effort and cost • Increases opportunities for user error
<p>Audit trail – Enable and view audit trail information pertaining to data changes.</p>		
13	<p>Ability to track and report on changes to records at all levels (e.g. entity level, by user, date, before and after values).</p> <ol style="list-style-type: none"> 1. Users must be able to track agency name changes. (Hold (proposed SIR not yet approved) SIR 3343) 	<ul style="list-style-type: none"> • Reputation risk • Increases time to locate and process data
<p>Workflow – Structured, system-guided work processes.</p>		
14	<p>Ability to create, configure and modify workflows.</p> <ol style="list-style-type: none"> 1. Users must be able to store Member Annual Statements in the member’s file. (Hold (proposed SIR not yet approved) SIR 3355) 2. Users must be able to approve deductions for benefit accounts. (Hold (proposed SIR not yet approved) SIR 3363) 3. Send error report for re-edit process to Supervisor. (Withdrawn SIR 3300) 4. Division must be able to notify member that a form has been processed or received. (Withdrawn SIRs 3199 and 3202) 5. User must be able to create notification in Message Center to notify members that their address has been updated. (Withdrawn SIR 3210) 	<ul style="list-style-type: none"> • Loss of opportunity to gain process efficiencies • Increases time and effort required to perform day-to-day tasks • Increased manual workarounds

ID	Business Need Identified	Business Impact (if need is not fulfilled)
15	<p>Ability to generate workflow reports to support staff performance evaluations.</p> <ol style="list-style-type: none"> Users need to be able to generate report on the number of returned items in workflow. This will be objective data needed for performance evaluations of staff. (Interview with Benefit Payments) 	<ul style="list-style-type: none"> Difficulty in managing work load and staff assignments Less statistics available to perform staff performance evaluations Difficulty in identifying back log
Customer Relationship Management (CRM) – Ability to track and manage client interactions across multiple touch points.		
16	<p>Ability to document and track phone calls.</p> <ol style="list-style-type: none"> Need incoming phone call log system to track topics of customer calls, frequency of certain callers, etc. Benefit Payments averages 400 calls per day, on multiple topics. (Interview with Benefit Payments) 	<ul style="list-style-type: none"> Increases time and effort required to perform day-to-day tasks Increased manual workarounds Lost opportunity for process improvements Duplicative efforts
17	<p>Members must be able to easily access their records by phone without requiring Division staff assistance.</p> <ol style="list-style-type: none"> Members need to be able to call the IVR for specific account information. (Interview with Benefit Payments) List pay dates for retired payroll. 	<ul style="list-style-type: none"> Lost opportunity for providing increased customer service (i.e. satisfaction) Reputation risk Takes staff away from core duties
Printing – Ability to print.		
18	<p>Ability to configure printing options to print documents in batch.</p> <ol style="list-style-type: none"> Users must be able to print monthly DROP term packet in batches. (Hold (proposed SIR not yet approved) SIR 3362) Users need batch printing capabilities. (Interview with State University System Optional Retirement Program (SUSORP) the Senior Management Service Optional Annuity Program (SMSOAP)) Users need to be able to print from the library and automatically mail it (that is, batch printing for mailing purposes). (Interview with Retirement Calculations) 	<ul style="list-style-type: none"> Negatively impacts customer service Decreases customer satisfaction Difficulty in complying with legislative mandates Reputation risk Decreases the Division’s ability to process payments to members

ID	Business Need Identified	Business Impact (if need is not fulfilled)
Data Standards – Adheres to industry standard data exchange formats.		
<p>19 Ability to exchange information with external systems.</p> <ol style="list-style-type: none"> 1. Senate Bill 31, passed in 2010, which mandates a replacement of the State’s financial system. Interaction with the state’s financial system is a critical element of the IRIS system and it is possible, depending on the technology selected for the financial system, that IRIS would not be capable of interfacing with it directly. (SWOT) 2. Bureau of Accounting staff must be able to initiate refunds in IRIS that subsequently initiate the correct vouchers/entries in FLAIR. (Interview with Accounting and SUS ORP/SMS ORP) 3. Office of General Counsel (OGC) and the Bureaus must be able to share case information in IRIS and link it to the closed case files. (Interview with Benefit Payments and OGC) 	<ul style="list-style-type: none"> • Loss of information • Reputation risk • Decreased customer service • Decreases customer satisfaction • Delays in processing work • Delays in exchanging information 	
Document management system – Ability to manage storage and retrieval of system generated documents or objects in their native format.		
<p>20 Ability to add additional indexes for enhancing document search capability.</p> <ol style="list-style-type: none"> 1. Cannot add new index (e.g. Member ID) 2. Current system has limited indexing capabilities due to fixed fields and is unable to do full text indexing of scanned documents. (Interview with Office of General Counsel (OGC)) 	<ul style="list-style-type: none"> • Cannot retrieve information • Decreased customer service • Difficulty in processing information requests • Inefficient and slow work processes 	
Usability – Intuitive interfaces.		
<p>21 Decrease time and effort required to train new users (because of inconsistent user interfaces in IRIS).</p> <ol style="list-style-type: none"> 1. Retirement Payroll screens need to better relate to each other (pass SSN) (Interview with Benefit Payments) 2. Modernized IRIS must consistently retain SSNs when moving from screen to screen within a module. (Interview with SUS SMS) 3. Users must be able to have two instances of the system open (for example, two browsers open simultaneously). (Interview with SUS SMS) 	<ul style="list-style-type: none"> • Increased time and effort to train new users • Increases potential for errors • Users have to learn by experimenting (trial and error) 	

ID	Business Need Identified	Business Impact (if need is not fulfilled)
22	<p>Decrease time and effort required to cross train users between Bureaus.</p> <ol style="list-style-type: none"> User interface style is inconsistent between bureaus. (Interview with Deloitte) As a governmental entity, the Division is subject to budgetary considerations when determining the number of employees (current and future) that are allocated to it. As such, the Division could lose full-time equivalencies or may not receive approval or funding for additional needed staff. Therefore, staff may need to know how to accomplish tasks in more than one Bureau. (SWOT) 	<ul style="list-style-type: none"> Increases potential for errors Users have to learn by experimenting (trial and error)
<p>Validation and business rules – Ability to automatically check for pre-defined inconsistencies or errors.</p>		
23	<p>Ability to standardize business rules across system modules (e.g. rounding).</p> <ol style="list-style-type: none"> Users currently experience rounding errors/inconsistencies with IRIS. (Interview with Retirement Calculations). Sometimes when the current system calculates service credit, it will use two different formulas that create outputs that are different by .01. 	<ul style="list-style-type: none"> Increases manual workarounds Increases potential for errors Reputation risk Decreased customer satisfaction
<p>Training – On-line Help, tutorials, context sensitive assistance.</p>		
24	<p>Need context sensitive help throughout the system.</p> <ol style="list-style-type: none"> Current IRIS system does not provide context sensitive help. (Interview with Deloitte) The Division requires skilled workers who understand its complexities and nuances. Like many agencies nationwide, the Division faces a potential loss of subject matter expertise as its most experienced staff approach retirement age. Loss of knowledge base will reduce the ability to communicate the business processes. Therefore, users need context sensitive help to transfer knowledge to other staff members. 	<ul style="list-style-type: none"> Increases potential for errors Users have to learn by experimenting (trial and error) Reputation risk Customer satisfaction Decreased user productivity Longer training times

SCHEDULE IX: MAJOR AUDIT FINDINGS AND RECOMMENDATIONS

Budget Period: 2013-2014

Department: Management Services

Chief Internal Auditor: John W. Davis

Budget Entity: Retirement

Phone Number: (850) 487-9476

(1)	(2)	(3)	(4)	(5)	(6)
REPORT NUMBER	PERIOD ENDING	UNIT/AREA	SUMMARY OF FINDINGS AND RECOMMENDATIONS	SUMMARY OF CORRECTIVE ACTION TAKEN	ISSUE CODE
<p>Auditor General Report No. 2011-196</p> <p>Dated: 06/30/11</p>	<p>6/30/2011</p>	<p>Division of Retirement</p>	<p><u>Local Government Financial Reporting System</u></p> <p>Finding 1 – None of the four municipalities had been surveyed to determine if they had adopted a pension plan or had joined FRS. Also, DMS does not routinely survey local governments to obtain information about changes or additions to retirement plans.</p> <p>Recommendation: DMS should implement procedures to survey, or otherwise contact entities that change to the FRS to determine if local plans are still in effect and any newly created entity to obtain data on all public employee retirement systems or plans as soon as possible after the creation of the entity.</p>	<p>NON-CONCUR: Currently DMS annually reviews (1) the Municipal Directory maintained by the Florida League of Cities and (2) the Official List of Special Districts maintained by the Department of Community Affairs for any newly created cities or special districts. If the city or district has created a new defined benefit pension plan, we enter the information into our database and begin monitoring it for compliance with Chapter 112, Florida Statutes. Moreover, all newly created defined benefit plans are required by law to submit actuarial valuations to DMS. The required information on new plans, not identified during the reviews above, may be obtained from the actuarial valuations and added to the actuarial database. This information is used to prepare the Florida Local Government Retirement Systems Annual Report.</p> <p>Of the four new municipalities noted in Finding 11, two had enrolled in the FRS and were properly identified on the annual report as FRS participating employers. The other two cities identified by the Auditor General have not created defined benefit plans and neither city is subject to an actuarial review by DMS.</p> <p>As part of a process that has been ongoing since 2009, enhancements have been made in</p>	

				<p>the actuarial database. One of the standard reports available in the database makes it possible for us to better identify plans that have terminated and/or switched to the FRS, thereby improving the accuracy of the actuarial data. The database tracks and identifies those plans which have not submitted an actuarial valuation so that we may contact the plans to determine their status. In May 2010, the Department implemented procedures for contacting those plans using this report. This finding is closed.</p>	
			<p>Finding 2 – DMS did not always withhold insurance tax moneys from entities when actuarial reports of police and firefighter retirement plans had not been State accepted.</p> <p>Recommendation: DMS should continue its efforts to ensure that actuarial reports are timely reviewed. DMS should ensure that insurance premium tax distributions are not approved unless the actuarial reports for the retirement plans have been State accepted in accordance with Part VII of Chapter 112, Florida Statutes.</p>	<p>CONCUR: DMS will assign a higher priority to actuarial reviews of police and firefighter plans (350 of the 490 plans). Concurrent with this action, DMS will ask the Legislature to revise Chapter 175 and 185, Florida Statutes to allow the distribution of the funds when lack of a current review is not the fault of the plan.</p> <p>Update 12/28/11: All actuaries have been instructed to assign higher priority to reviews of police and fire fighter plans over the general employee plans to help ensure completion prior to the premium tax distribution cutoff date. Premium tax moneys for plans that are determined to be out of compliance with part VII of Chapter 11, Florida Statutes, prior to the cutoff date, are withheld and are not distributed until the issue of non-compliance has been resolved.</p> <p>Upon further consideration, DMS does not believe it is necessary to request any legislative amendments to chapters 175 & 185, Florida Statutes, to address the circumstances described in the audit finding. This finding is closed.</p>	



DEPARTMENT OF MANAGEMENT
SERVICES

Fiscal Year 2013-14

State Personnel Policy
Administration

Exhibits and Schedules



DEPARTMENT OF MANAGEMENT
SERVICES

Fiscal Year 2013-14

State Personnel Policy
Administration

Schedule I Series

SCHEDULE 1A: DETAIL OF FEE COLLECTION AND RELATED PROGRAM COSTS

Department: 72 Management Services **Budget Period:** 2013-14
Program: 72750400 State Personnel Policy Administration
Fund: 2678 State Personnel System Trust
Specific Authority: Section 110.125, F.S.
Purpose of Fees Collected: To maintain and administer the Personnel Program

Type of Fee or Program: (Check **ONE** Box and answer questions as indicated.)

<input type="checkbox"/>	Regulatory services or oversight to businesses or professions (Complete Sections I, II, and III and attach Examination of Regulatory Fees Form - Part I and II.)
<input checked="" type="checkbox"/>	Non-regulatory fees authorized to cover full cost of conducting a specific program or service. (Complete Sections I, II, and III only.)

	(1) SECTION I - FEE COLLECTION	(2) ACTUAL FY 2011 - 12	(3) ESTIMATED FY 2012 - 13	(4) REQUEST FY 2013 - 14
Receipts:				
SEE ATTACHED LISTING				
Total Fee Collection to Line (1) - Section III		-	40,595,605	40,595,605

SECTION II - FULL COSTS

Direct Costs:

Salaries and Benefits		1,314,463	1,353,558
Other Personal Services		5,000	5,000
Expenses		120,916	120,916
Operating Capital Outlay			
Sp.Cat.:Contracted Services		22,576	22,576
Sp.Cat.:Risk Management Insurance		10,566	10,566
St. Emp. Charitable Campaign			
TR DMS/Human Res SVC			
HR Statewide Contract		7,091	7,091
Legal Services		100,000	100,000
Deferred Payments Contract			
Data Processing Services-SSRC		6,167	6,182

Indirect Costs Charged to Trust Fund:

TR to GR- 8% Srvc Chrg		13,600	13,600
TR to 2021 - Admin. Assess. Fee		310,634	363,442
Refunds			
Transfer in from Budget Entity 7275010		(6,394,812)	
Transfer out to Budget Entity 72750500		38,236,692	38,289,500
Cert Forward Reversions @ 9/30/2010			
REDM Initiative-Interest Earnings		150,000	
Total Full Costs to Line (2) - Section III		-	33,902,893

Basis Used: Accrual

SECTION III - SUMMARY

TOTAL SECTION I	(A)	-	40,595,605	40,595,605
TOTAL SECTION II	(B)	-	33,902,893	40,292,431
TOTAL - Surplus/Deficit	(C)	-	6,692,712	303,174

EXPLANATION:

SCHEDULE 1A: DETAIL OF FEE COLLECTION AND RELATED PROGRAM COSTS

Department: Management Services **Budget Period:** 2013-14
Program: Human Resource Management (72750100)
Fund: State Personnel System Trust (2678)

Specific Authority: Section 110.125, F.S.
Purpose of Fees Collected: To maintain and administer the Personnel Program

(1)	(2)	(3)	(4)
<u>SECTION I - FEE COLLECTION</u>	ACTUAL	ESTIMATED	REQUEST
	FY 2011- 12	FY 2012 - 13	FY 2013 - 14
<u>Receipts:</u>			
TR from Agencies/HR Svcs Assessmen	-	40,425,605	40,425,605
Interest Earnings	-	170,000	170,000
Refunds and Reimbursements			
Miscellaneous			
Total Fee Collection to Line (1) - Section III	-	40,595,605	40,595,605

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

Department Title:	Budget Period: 2013 - 2014
Trust Fund Title:	MANAGEMENT SERVICES
Budget Entity:	STATE PERSONNEL SYSTEM TRUST
LAS/PBS Fund Number:	STATE PERSONNEL POLICY ADMINISTRATION (72750400)
	2678

	Balance as of 6/30/2012	SWFS* Adjustments	Adjusted Balance
Chief Financial Officer's (CFO) Cash Balance	0 (A)		0
ADD: Other Cash (See Instructions)			0
ADD: Investments	0 (C)		0
ADD: Outstanding Accounts Receivable	0 (D)	-	0
ADD:			
Total Cash plus Accounts Receivable	0 (F)	0	0
LESS Allowances for Uncollectibles			0
LESS Approved "A" Certified Forwards	0 (H)		0
Approved "B" Certified Forwards	0 (H)		0
Approved "FCO" Certified Forwards	0 (H)		0
LESS: Other Accounts Payable (Non Operating)	0 (I)		0
LESS: <u>Other Accounts Payable</u>			0
Unreserved Fund Balance, 07/01/12	0 (K)	0	0**

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.

SCHEDULE IX: MAJOR AUDIT FINDINGS AND RECOMMENDATIONS

Budget Period: 2013-2014

Department: Management Services

Chief Internal Auditor: John W. Davis

Budget Entity: State Personnel Policy Administration

Phone Number: (850) 487-9476

(1)	(2)	(3)	(4)	(5)	(6)
REPORT NUMBER	PERIOD ENDING	UNIT/AREA	SUMMARY OF FINDINGS AND RECOMMENDATIONS	SUMMARY OF CORRECTIVE ACTION TAKEN	ISSUE CODE
<p>Auditor General Report No. 2011-069</p> <p>Dated: 12/30/2010</p>	<p>6/30/2011</p>	<p>Human Resource Support</p>	<p><u>Payroll and Personnel Administrative Processes at Selected State Agencies</u></p> <p>Finding 1 – Time Records: Procedural deficiencies existed with respect to the monitoring of the timely submittal, review, and approval of employee time records.</p> <p>Recommendation: DMS clarify in rule, policy, or procedure, the time record preparation, submission, and approval responsibilities of employees and supervisors. Such clarifications should address specific time frames for time record submission and approval. Additionally, to improve the usefulness of the Missing Time Records report, DMS enhance the report by including an aging of the time records and identifying the responsible supervisors. State agencies should use such information to identify those employees whose time records frequently require corrective actions, are repeatedly missing, or are not timely approved and take appropriate corrective measures.</p>	<p>CONCUR: The Division of Human Resource Management Policy Team issued a Rule Interpretation, titled “Timesheet Submission and Approval Deadlines” for State Personnel System Agencies on June 10, 2011 to clarify the time record preparation, submission, and approval responsibilities of agencies, supervisors and employees and to address specific time frames for time record submission and approval. This finding is closed.</p>	
			<p>Finding 2- Unused Leave: State agencies did not effectively manage compensatory leave credits in accordance with DMS rules and terms of relevant collective bargaining agreements, resulting in large dollar payouts of unused compensatory leave credits upon employees’ separation from State employment.</p> <p>Recommendation: To promote compliance and ensure consistency in the application of rules and relevant collective bargaining agreement provisions by the</p>	<p>CONCUR: The applicability of and payment for the various forms of compensatory leave is currently addressed in rule. DMS’s Division of Human Resource Management has also issued a myriad of supplemental guidance documents to assist the agencies in the proper application of the rule provisions.</p> <p>On July 19, 2010, the service provider</p>	

			<p>various State agencies, we recommend that DMS and DFS provide State agencies with detailed comprehensive guidance related to leave payouts and the maximum accumulation limits for the various types of compensatory leave credits. Such guidance should also address the appropriate use of FLAIR and People First compensatory leave codes.</p> <p>To prevent large cash payouts upon employee separation from State employment and decrease State agency leave liabilities, we also recommend that State agencies periodically review their employees' compensatory leave balances and identify employees who are accumulating large compensatory leave credit balances or whose compensatory leave credits are approaching the maximum limits set forth in applicable collective bargaining agreements. When appropriate, the agencies should compel the use of accumulated special compensatory leave credits prior to approving employee use of other leave types.</p>	<p>implemented a Leave Payout screen in the People First system to give state agencies the ability to process leave payouts. This screen is designed to make the processing of payments easier (i.e., a "Payout Type" description is available for selection). Further, the leave codes in the People First system are now the same as those used in FLAIR. These enhancements provide the additional guidance needed to process leave payouts. In June 2010, the DMS People First team conducted training sessions for agency HR professionals, which included training specific to the Leave Payout screen.</p> <p>The Department of Management Services' internal policy, HR-08-124 Hours of Work, Overtime and all Compensatory Leave Credits, was created on November 3, 2008. This policy provides guidance to supervisors on the use and approval of overtime and compensatory leave. Additionally, the department's Human Resources team works with supervisors to ensure they monitor compensatory leave balances, and since July 2010, the departments' Human Resources team has used the newly implemented Leave Payout screen in People First to verify compensatory leave payouts. The department's supervisors are also encouraged to coordinate with employees that accrue compensatory leave time or have compensatory leave balances (both Regular and Special Compensatory) to use those hours before using all other types of leave, excluding sick leave. The examples cited by the Auditor General occurred prior to the availability of the Leave Payout screen in July 2010. The findings are closed.</p>	

			<p>Finding 3 – Unused Leave Compensation: State Agencies had not established policies and procedures addressing unused annual and sick leave (terminal leave) payouts and did not always perform or document the performance of audits of unused leave balances prior to calculating terminal leave payouts.</p> <p>Recommendation: Each State agency’s procedures be enhanced, as appropriate, to address the terminal leave payout process. We also recommend that State agencies take other appropriate steps, including independent verification of payout calculation, to ensure that terminal leave payouts are accurate and paid in accordance with applicable law, rules, and guidelines.</p>	<p>CONCUR: The Department’s internal policy, <u>HR 09-126, Auditing Employee Leave Balances</u> and <u>HR-126-F1 – Leave Correction Request Affidavit</u> was created on July 16, 2009. This policy and affidavit established guidelines for conducting terminal leave audits within DMS. The examples cited by the Auditor General occurred prior to the establishment of this policy.</p> <p>Update 06/20/2011: The Department Human Resources Office follows internal policy for all leave payouts. HR is included on all PAR transactions and two copies of all termination PARs are printed. One copy is kept in the bi-weekly payroll folder and the second copy is used by HR to pull the terminating employee’s personnel file. The employee is added to the Leave Payout Tracker with a suspense date for the leave audit and leave payout to be completed. HR provides the DMS Budget Office with estimated hours of leave that the terminating employee is entitled to be paid. A leave audit is conducted and an email request is sent to DMS payroll for payment. This finding is closed.</p>	
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DEPARTMENT OF MANAGEMENT
SERVICES

Fiscal Year 2013-14

People First

Exhibits and Schedules



DEPARTMENT OF MANAGEMENT
SERVICES

Fiscal Year 2013-14

People First

Schedule I Series

SCHEDULE 1A: DETAIL OF FEE COLLECTION AND RELATED PROGRAM COSTS

Department: 72 Management Services **Budget Period:** 2013-14
Program: 72750500 People First
Fund: 2678 State Personnel System Trust
Specific Authority: Section 110.125, F.S.
Purpose of Fees Collected: To maintain and administer the Personnel Program

Type of Fee or Program: (Check **ONE** Box and answer questions as indicated.)

<input type="checkbox"/>	Regulatory services or oversight to businesses or professions (Complete Sections I, II, and III and attach Examination of Regulatory Fees Form - Part I and II.)
<input checked="" type="checkbox"/>	Non-regulatory fees authorized to cover full cost of conducting a specific program or service. (Complete Sections I, II, and III only.)

	(1) SECTION I - FEE COLLECTION	(2) ACTUAL FY 2011 - 12	(3) ESTIMATED FY 2012 - 13	(4) REQUEST FY 2013 - 14
Receipts:				
SEE ATTACHED LISTING				
Total Fee Collection to Line (1) - Section III		-	-	-

SECTION II - FULL COSTS

Direct Costs:

Salaries and Benefits		1,235,550	1,246,270
Other Personal Services			
Expenses		106,692	106,692
Operating Capital Outlay			
Sp.Cat.:Contracted Services		22,575	522,575
Sp.Cat.:Risk Management Insurance		9,323	9,323
St. Emp. Charitable Campaign			
TR DMS/Human Res SVC		6,258	6,258
HR Statewide Contract		36,539,865	36,092,972
Legal Services			
Deferred Payments Contract			
Data Processing Services-SSRC		5,795	5,810

Indirect Costs Charged to Trust Fund:

TR to GR- 8% Srvc Chrg		-	-
TR to 2021 - Admin. Assess. Fee		310,634	363,442
Refunds			
Transfer in from Budget Entity 7275040		(38,236,692)	(38,353,342)
Cert.Forward A Reversions @9/30/2010			
Cert Forward Reversions @ 9/30/2010			
Reserve for Pay Package			
Total Full Costs to Line (2) - Section III		-	(0)

Basis Used: Accrual

SECTION III - SUMMARY

TOTAL SECTION I	(A)	-	-	-
TOTAL SECTION II	(B)	-	-	(0)
TOTAL - Surplus/Deficit	(C)	-	-	0

EXPLANATION:

SCHEDULE 1A: DETAIL OF FEE COLLECTION AND RELATED PROGRAM COSTS

Department: Management Services **Budget Period:** 2013-14
Program: Human Resource Management (72750100)
Fund: State Personnel System Trust (2678)

Specific Authority: Section 110.125, F.S.
Purpose of Fees Collected: To maintain and administer the Personnel Program

(1)	(2)	(3)	(4)
<u>SECTION I - FEE COLLECTION</u>	<u>ACTUAL</u>	<u>ESTIMATED</u>	<u>REQUEST</u>
	<u>FY 2011- 12</u>	<u>FY 2012 - 13</u>	<u>FY 2013 - 14</u>
<u>Receipts:</u>			
TR from Agencies/HR Svcs Assessmen	-	-	-
Interest Earnings	-	-	-
Refunds and Reimbursements			
Miscellaneous			
Total Fee Collection to Line (1) - Section III	-	-	-

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

Department Title:	Budget Period: 2013 - 2014
Trust Fund Title:	MANAGEMENT SERVICES
Budget Entity:	STATE PERSONNEL SYSTEM TRUST
LAS/PBS Fund Number:	PEOPLE FIRST (72750500)
	2678

	Balance as of 6/30/2012		SWFS* Adjustments		Adjusted Balance
Chief Financial Officer's (CFO) Cash Balance	1,587,848	(A)			1,587,848
ADD: Other Cash (See Instructions)		(B)			0
ADD: Investments	7,926,774	(C)			7,926,774
ADD: Outstanding Accounts Receivable	21,198	(D)	(6,291)		14,908
ADD:		(E)			
Total Cash plus Accounts Receivable	9,535,820	(F)	-6,291		9,529,530
LESS Allowances for Uncollectibles		(G)			0
LESS Approved "A" Certified Forwards	3,130,653	(H)			3,130,653
Approved "B" Certified Forwards	0	(H)			0
Approved "FCO" Certified Forwards		(H)			0
LESS: Other Accounts Payable (Non Operating)	4,065	(I)			4,065
LESS: <u>Other Accounts Payable</u>		(J)			0
Unreserved Fund Balance, 07/01/12	6,401,102	(K)	-6,291		6,394,812 **

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: 2013 - 2014

Department Title:	720000 MANAGEMENT SERVICES
Trust Fund Title:	State Personnel Systems Trust Fund
LAS/PBS Fund Number:	2678

BEGINNING TRIAL BALANCE:

Unreserved Fund Balance Per Trial Balance, 07-01-12	6,401,102 (A)
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Add/Subtract:

Accounts Payable not Certified Forward in FLAIR Not on Schedule 1C	
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Other Adjustment(s):

Statewide Post Closing Adjustment @ June 30, 2012	(6,291) (C)
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	(C)
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ADJUSTED BEGINNING TRIAL BALANCE:	6,394,812 (D)
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UNRESERVED FUND BALANCE, SCHEDULE IC	6,394,812 (E)
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DIFFERENCE:	(0) (F)*
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***SHOULD EQUAL ZERO.**

SCHEDULE IX: MAJOR AUDIT FINDINGS AND RECOMMENDATIONS

Budget Period: 2013-2014

Department: Management Services

Chief Internal Auditor: John W. Davis

Budget Entity: People First

Phone Number: (850) 487-9476

(1)	(2)	(3)	(4)	(5)	(6)
REPORT NUMBER	PERIOD ENDING	UNIT/AREA	SUMMARY OF FINDINGS AND RECOMMENDATIONS	SUMMARY OF CORRECTIVE ACTION TAKEN	ISSUE CODE
<p>Auditor General Report No. 2011-069</p> <p>Dated: 12/30/2010</p>	6/30/2011	Human Resource Support - People First Team	<p><u>Payroll and Personnel Administrative Processes at Selected State Agencies</u></p> <p>Finding 1 – Time Records: Procedural deficiencies existed with respect to the monitoring of the timely submittal, review, and approval of employee time records.</p> <p>Recommendation: DMS clarify in rule, policy, or procedure, the time record preparation, submission, and approval responsibilities of employees and supervisors. Such clarifications should address specific time frames for time record submission and approval. Additionally, to improve the usefulness of the Missing Time Records report, DMS enhance the report by including an aging of the time records and identifying the responsible supervisors. State agencies should use such information to identify those employees whose time records frequently require corrective actions, are repeatedly missing, or are not timely approved and take appropriate corrective measures.</p>	<p>CONCUR: Enhancements to the People First system implemented on July 19, 2010 effectively address the Auditor General’s concerns regarding the usefulness of the Missing Timesheet Report. These enhancements do not permit employees to submit timesheets until all prior (missing) timesheets have been submitted and approved. This feature encourages timely submission of timesheets by employees and more accountability from supervisors. The enhancements to the Missing Timesheet Report also assist managers in the identification of missing time records. The report is available online for state agencies to access as needed. The data for this report is updated weekly (on Sunday); therefore, timesheets approved prior to the Sunday extract will not appear on the report unless hours for the pay period are missing. Because the “Run Date” is included on the report agencies can calculate the age of each missing report. In addition, the report includes “Supervisor Name” to assist with identifying timesheets that need supervisory approval. This finding is closed.</p>	



DEPARTMENT OF MANAGEMENT
SERVICES

Fiscal Year 2013-14

Telecommunications Services

Exhibits and Schedules



DEPARTMENT OF MANAGEMENT
SERVICES

Fiscal Year 2013-14

Telecommunications Services

Schedule I Series

SCHEDULE 1A: DETAIL OF FEE COLLECTION AND RELATED PROGRAM COSTS

Department: 72 Management Services **Budget Period:** 2013-14
Budget Entity: 72900100 Telecommunications Services
Fund: 2105 Communications Working Capital Trust
Specific Authority: Chapter 282, F.S.
Purpose of Fees Collected: To pay phone bills of vendors and for fund's operations and the Emergency Medical Services (EMS) Grant.

Type of Fee or Program: (Check **ONE** Box and answer questions as indicated.)

<input type="checkbox"/>	Regulatory services or oversight to businesses or professions (Complete Sections I, II, and III and attach Examination of Regulatory Fees Form - Part I and II .)
<input checked="" type="checkbox"/>	Non-regulatory fees authorized to cover full cost of conducting a specific program or service. (Complete Sections I, II, and III only.)

	(1)	(2)	(3)	(4)
SECTION I - FEE COLLECTION		ACTUAL	ESTIMATED	REQUEST
		FY 2011 - 12	FY 2012- 13	FY 2013-14

Receipts:

SEE ATTACHED LISTING				
Total Fee Collection to Line (1) - Section III		118,210,249	124,990,000	148,525,000

SECTION II - FULL COSTS

Direct Costs:

Salaries and Benefits	4,542,978	4,754,860	4,798,875
Other Personal Services	44,240	74,268	74,268
Expenses	526,086	717,141	717,141
Operating Capital Outlay	37,763	92,159	92,159
S.C.: Centrex & Suncom Payments	105,895,876	108,035,421	153,035,421
S.C.: Contracted Services	1,964,222	2,010,063	2,315,063
S.C.: Risk Management Insurance	13,337	13,855	13,855
Lease/Purchase/Equipment		1,989	1,989
S.C.: HR Stwd Contract	23,080	23,120	23,120
Data Processing Services - SSRC	467,334	309,052	309,837

Indirect Costs Charged to Trust Fund:

Administrative Assessment Fee	1,118,205	1,050,124	1,228,645
Refunds			
TR to 72010100-2105	237,636	277,133	278,358
TR to 72900200-2105	3,721	8,942	8,942
Used Interest Earnings - COO REDM		100,000	
Comp Leave Liability	(167,741)		
CF B paid not in Beg Bal	4		
Cert Forward A Reversions @ 9/30/2011	(308,705)		
Cert Forward Reversions @ 9/30/2012		(327,687)	
Reserve for Pay Package			
5% Trust Fund Reserve			
Certified Forward Reversions			
Total Full Costs to Line (2) - Section III	114,398,037	117,140,440	162,897,673

Basis Used: Accrual

SECTION III - SUMMARY

TOTAL SECTION I	(A)	118,210,249	124,990,000	148,525,000
TOTAL SECTION II	(B)	114,398,037	117,140,440	162,897,673
TOTAL - Surplus/Deficit	(C)	3,812,212	7,849,560	(14,372,673)

EXPLANATION:

Negative balances offset by cash balance brought forward (See Schedule I)

SCHEDULE 1A: DETAIL OF FEE COLLECTION AND RELATED PROGRAM COSTS

Department: Management Services **Budget Period:** **2013-14**
Budget Entity: Telecommunications Services (72900100)
Fund: Communications Working Capital Trust (2105)
Specific Authority: Chapter 282, F.S.
Purpose of Fees Collected: To pay phone bills of vendors and for fund's operations and the
Emergency Medical Services (EMS) Grant.

(1)	(2)	(3)	(4)
SECTION I - FEE COLLECTION	ACTUAL FY 2011 - 12	ESTIMATED FY 2012 - 13	REQUEST FY 2013 - 14
Receipts:			
<u>Suncom/Centrex Revenues</u>	110,001,640	108,000,000	106,000,000
<u>Telecomm. Infrastructure Proj. Fees</u>	1,259,001	1,500,000	2,000,000
<u>Wireless Revenues</u>	4,767,709	15,000,000	40,000,000
<u>Interagency Agree.--DOAH-Video Tele</u>	125,000	125,000	125,000
<u>Interagency Agreement-Dept of Health(EMS)</u>			
<u>Wireless 911 Board Reimbursement</u>			
<u>Interest Earnings</u>	365,506	365,000	400,000
<u>Refunds and Reimbursements</u>	1,691,393		
Total Fee Collection to Line (1) - Section III	118,210,249	124,990,000	148,525,000

SCHEDULE 1A: DETAIL OF FEE COLLECTION AND RELATED PROGRAM COSTS

Department: 72 Management Services **Budget Period: 2013-14**
Program: 72900100 Telecommunications Services
Fund: 2344 Wireless Emergency Phone Trust
Specific Authority: Sec 365.172 and 365.173, F.S.
Purpose of Fees Collected: A fee of \$.50 per month is assessed to Florida's wireless telephone subscribers to offset Florida counties' and the service providers' 911 and Emergency 911 capital and operating costs. Fees are deposited into the fund and subsequent distributions are as follows: 44% to counties; 54% to service providers; and an additional 2% to rural counties.

Type of Fee or Program: (Check ONE Box and answer questions as indicated.)

<input type="checkbox"/>	Regulatory services or oversight to businesses or professions (Complete Sections I, II, and III and attach Examination of Regulatory Fees Form - Part I and II.)
<input checked="" type="checkbox"/>	Non-regulatory fees authorized to cover full cost of conducting a specific program or service. (Complete Sections I, II, and III only.)

	(1)	(2)	(3)	(4)
SECTION I - FEE COLLECTION	ACTUAL	ESTIMATED	REQUEST	
	FY 2011 - 12	FY 2012 - 13	FY 2013 - 14	

Receipts:				
Deposits from Wireless 911 Ser.Providers	71,360,062	64,760,625	64,760,625	
Deposits from Wireline 911 Ser.Providers	43,602,385	42,382,189	41,686,901	
Interest Earnings	693,004	685,000	675,000	
Refunds	251,273			
Total Fee Collection to Line (1) - Section III	115,906,724	107,827,814	107,122,526	

SECTION II - FULL COSTS

Direct Costs:				
Salaries and Benefits	390,410	419,357	423,237	
Other Personal Services	81,236	84,290	84,290	
Expenses	113,068	514,966	514,966	
Operating Capital Outlay		3,600	3,600	
SC: Contracted Services	630,524	420,827	420,827	
SC: Contracted Legal Services	24,808	92,159	92,159	
Lease/Purchase/Equipment		815	815	
S.C.:HR Stwd Contract	770	771	771	
Data Processing Services - SSRC	2,771	2,400	2,405	
Aid to Local Governments:				
Wireless 911 Grants to Counties 055616				
Non-Wireless 911 Dist to Co 055614	44,055,445	50,030,674	50,030,674	
Wireless 911 Dist to Counties 055610	64,595,546	70,020,273	70,020,273	
Wireless 911 Dist to Svc Provid 055611	10,552,824	15,484,846	15,484,846	
Indirect Costs Charged to Trust Fund:				
TR to 2021-Admin.Assess.Fee	71,073	72,934	85,333	
Refunds	38,004			
Cert Forward A Reversions @ 9/30/2011	(405,492)			
6/30/2011 CF B Paid - Not in Beg Bal	29,411			
6/30/2010 A/P NOT CF				
Cert Forward Reversions @ 9/30/2012		(1,935,457)		
Unfunded Budget		(15,000,000)	(30,000,000)	
Total Full Costs to Line (2) - Section III	120,180,398	120,212,455	107,164,196	

Basis Used: Accrual

SECTION III - SUMMARY

TOTAL SECTION I	(A)	115,906,724	107,827,814	107,122,526
TOTAL SECTION II	(B)	120,180,398	120,212,455	107,164,196
TOTAL - Surplus/Deficit	(C)	(4,273,674)	(12,384,641)	(41,670)

EXPLANATION:

Negative balances offset by cash balance brought forward (See Schedule I)

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

Budget Period: 2013 - 2014

Department Title:

MANAGEMENT SERVICES

Trust Fund Title:

COMMUNICATIONS WORKING CAPITAL TRUST

Budget Entity:

TELECOMMUNICATIONS SERVICES (72900100)

LAS/PBS Fund Number:

2105

	Balance as of 6/30/2012		SWFS* Adjustments		Adjusted Balance
Chief Financial Officer's (CFO) Cash Balance	2,622,423	(A)			2,622,423
ADD: Other Cash (See Instructions)		(B)			0
ADD: Investments	16,010,775	(C)			16,010,775
ADD: Outstanding Accounts Receivable	15,080,045	(D)			15,080,045
Total Cash plus Accounts Receivable	33,713,244	(F)	0		33,713,244
LESS Allowances for Uncollectibles	0	(G)			0
LESS Approved "A" Certified Forwards	9,617,507	(H)			9,617,507
Approved "B" Certified Forwards	10	(H)			10
Unearn Revenue	0	(H)			0
LESS: Other Accounts Payable	1,551	(I)			1,551
Unreserved Fund Balance, 07/01/12	24,094,176	(K)	0		24,094,176 **

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.

Office of Policy and Budget - July 2012

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

Budget Period: 2013 - 2014

Department Title:	MANAGEMENT SERVICES
Trust Fund Title:	WIRELESS EMERGENCY TELEPHONE SYSTEM TRUST
Budget Entity:	TELECOMMUNICATIONS SERVICES (72900100)
LAS/PBS Fund Number:	2344

	Balance as of 6/30/2012		SWFS* Adjustments	Adjusted Balance
Chief Financial Officer's (CFO) Cash Balance	1,106,798	(A)		1,106,798
ADD: Other Cash (See Instructions)		(B)		0
ADD: Investments	25,647,036	(C)		25,647,036
ADD: Outstanding Accounts Receivable	53,269	(D)	11,463,294	11,516,563
Total Cash plus Accounts Receivable	26,807,104	(F)	11,463,294	38,270,397
LESS Allowances for Uncollectibles		(G)		0
LESS Approved "A" Certified Forwards	25,590,774	(H)		25,590,774
Approved "B" Certified Forwards	42,143	(H)		42,143
Approved "FCO" Certified Forwards		(H)		0
LESS: Other Accounts Payable	2,832	(I)		2,832
Unreserved Fund Balance, 07/01/12	1,171,355	(K)	11,463,294	12,634,648 **

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: 2013 - 2014

Department Title: 720000 MANAGEMENT SERVICES
Trust Fund Title: Communications Working Capital Trust Fund
LAS/PBS Fund Number: 2105

BEGINNING TRIAL BALANCE:

Unreserved Fund Balance Per Trial Balance, 07-01-12 (A)

Add/Subtract:

Advances From Other Funds Recorded in FLAIR As A Liability/
Not Recorded On Schedule 1C (B)

Compensated Absences Liability Recorded In FLAIR/
Not Recorded On Schedule 1C

Certified Forward B recored on Schedule 1C
Not Recorded in FLAIR

Accounts Payable not Certified Forward In FLAIR/
Not Recorded On Schedule 1C

Property Value in FLAIR
Not Recorded On Schedule 1C

Other Adjustment(s):

Statewide Post Closing Adjustment @ June 30, 2011 (C)

Inncrease in Accounts Receivables (C)

ADJUSTED BEGINNING TRIAL BALANCE: (D)

UNRESERVED FUND BALANCE, SCHEDULE IC (E)

DIFFERENCE: (F)*

***SHOULD EQUAL ZERO.**

RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC

Budget Period: 2013 - 2014

Department Title:	<u>720000 MANAGEMENT SERVICES</u>
Trust Fund Title:	<u>E911 Emergency Telephone System Trust Fund</u>
LAS/PBS Fund Number:	<u>2344</u>

BEGINNING TRIAL BALANCE:

Unreserved Fund Balance Per Trial Balance, 07-01-12	1,213,498	(A)
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Add/Subtract:

Accounts Payable Not Certified Forward in FLAIR Not Recorded On Schedule 1C		(B)
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Certified Forward B recored on Schedule 1C Not Recorded in FLAIR	(42,143)	
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Other Adjustment(s):

Statewide Post Closing adjustment to Accounts Receivable	11,463,293.00	(C)
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		(C)
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ADJUSTED BEGINNING TRIAL BALANCE:	12,634,648	(D)
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UNRESERVED FUND BALANCE, SCHEDULE IC	12,634,648	(E)
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DIFFERENCE:	(0)	(F)*
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***SHOULD EQUAL ZERO.**

SCHEDULE IX: MAJOR AUDIT FINDINGS AND RECOMMENDATIONS

Budget Period: 2013-2014

Department: Management Services

Chief Internal Auditor: John W. Davis

Budget Entity: Telecommunication Services

Phone Number: (850) 487-9476

(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 are no issues or findings to report for Telecommunication Services.		



DEPARTMENT OF MANAGEMENT
SERVICES

Fiscal Year 2013-14

Wireless Services

Exhibits and Schedules



DEPARTMENT OF MANAGEMENT
SERVICES

Fiscal Year 2013-14

Wireless Services

Schedule I Series

SCHEDULE 1A: DETAIL OF FEE COLLECTION AND RELATED PROGRAM COSTS

Department: 72 Management Services **Budget Period:** 2013-14
Program: 72900200 Wireless Services
Fund: 2105 Comm. Working Capital Trust
Specific Authority: Chapter 282, F.S.
Purpose of Fees Collected: To pay phone bills of vendors & for fund's operations and the Emergency Medical Services (EMS) Grant

Type of Fee or Program: (Check **ONE** Box and answer questions as indicated.)

<input type="checkbox"/>	Regulatory services or oversight to businesses or professions (Complete Sections I, II, and III and attach Examination of Regulatory Fees Form - Part I and II.)
<input checked="" type="checkbox"/>	Non-regulatory fees authorized to cover full cost of conducting a specific program or service. (Complete Sections I, II, and III only.)

	(1)	(2)	(3)	(4)
<u>SECTION I - FEE COLLECTION</u>		ACTUAL	ESTIMATED	REQUEST
		FY 2011 - 12	FY 2012 - 13	FY 2013 - 14

Receipts:

Interagency Agreement-DOH (EMS)			-	-
Total Fee Collection to Line (1) - Section III		-	-	-

SECTION II - FULL COSTS

Direct Costs:

Salaries and Benefits				
Other Personal Services				
Expenses		2,517	7,723	7,723
Contracted Services				
S.C.: Risk Management Insurance		512	526	526
HR Statewide Contract		692	693	693

Indirect Costs Charged to Trust Fund:

TR to 72900200-2105		(3,721)	(8,942)	(8,942)
CF A Reversions				
Prior Year Accounts Receivable Deleted				
Reserve for Pay Package				
Total Full Costs to Line (2) - Section III		-	-	-

Basis Used: Accrual

SECTION III - SUMMARY

TOTAL SECTION I	(A)	-	-	-
TOTAL SECTION II	(B)	-	-	-
TOTAL - Surplus/Deficit	(C)	-	-	-

EXPLANATION:

Negative balances offset by cash balance brought forward (See Schedule I)

SCHEDULE 1A: DETAIL OF FEE COLLECTION AND RELATED PROGRAM COSTS

Department: 72 Management Services
Program: 72900200 Wireless Services
Fund: 2261 Federal Grant Trust

Budget Period: 2013-14

Specific Authority: _____
Purpose of Fees Collected: _____

Type of Fee or Program: (Check **ONE** Box and answer questions as indicated.)

<input type="checkbox"/>	Regulatory services or oversight to businesses or professions (Complete Sections I, II, and III and attach Examination of Regulatory Fees Form - Part I and II.)
<input checked="" type="checkbox"/>	Non-regulatory fees authorized to cover full cost of conducting a specific program or service. (Complete Sections I, II, and III only.)

(1)	(2)	(3)	(4)
<u>SECTION I - FEE COLLECTION</u>	<u>ACTUAL</u>	<u>ESTIMATED</u>	<u>REQUEST</u>
	<u>FY 2011 - 12</u>	<u>FY 2012 - 13</u>	<u>FY 2013 - 14</u>
Receipts:			
Federal Grant-Mobile Radio System Grant (PSIC)	824,556		
Total Fee Collection to Line (1) - Section III	824,556	-	-

SECTION II - FULL COSTS

Direct Costs:

Salaries and Benefits			
Other Personal Services			
Domestic Security 100851 (PSIC)	824,556		
		-	
		-	

Indirect Costs Charged to Trust Fund:

PSIC Expenditures Not Shown on Schedule I			
Total Full Costs to Line (2) - Section III	824,556	-	-

Basis Used: _____

SECTION III - SUMMARY

TOTAL SECTION I	(A)	824,556	-	-
TOTAL SECTION II	(B)	824,556	-	-
TOTAL - Surplus/Deficit	(C)	-	-	-

EXPLANATION:

Negative balances offset by cash balance brought forward (See Schedule I)

SCHEDULE 1A: DETAIL OF FEE COLLECTION AND RELATED PROGRAM COSTS

Department: 72 Management Services **Budget Period: 2013-14**
Program: 72900200 Wireless Services/72900300 Information Services
Fund: 2339 Grants & Donations Trust

Specific Authority: _____
Purpose of Fees Collected: To perform duties as required per various federal, state, and local government grants.

Type of Fee or Program: (Check ONE Box and answer questions as indicated.)

<input type="checkbox"/>	Regulatory services or oversight to businesses or professions (Complete Sections I, II, and III and attach Examination of Regulatory Fees Form - Part I and II.)
<input checked="" type="checkbox"/>	Non-regulatory fees authorized to cover full cost of conducting a specific program or service. (Complete Sections I, II, and III only.)

	(1)	(2)	(3)	(4)
SECTION I - FEE COLLECTION		ACTUAL	ESTIMATED	REQUEST
		FY 2011 - 12	FY 2012 - 13	FY 2013 - 14
Receipts:				
Transfer from DCA-Federal Grant-FIN		3,463,384		
Transfer from DCA-Federal Grant-PSIC		1,506,808		
AR for Federal Grant FIN				
Sales of Goods & Services-Training				
Interest Earnings				
Total Fee Collection to Line (1) - Section III		4,970,192	-	-

SECTION II - FULL COSTS

Direct Costs:

Salaries and Benefits				
Other Personal Services				
Domestic Security (Back of the Bill)				
Domestic Security (PSIC) 100851		4,969,970		
Florida Interoperability Network (BOB)				

Indirect Costs Charged to Trust Fund:

PSIC/FIN Expenditures Not Shown on Schedule A		(267,531)		
PY Accounts Receivable Deleted				
9/30/2010 Cert Forward Reversions				
A/P not Certified Forward @ 6/30/2011				

Total Full Costs to Line (2) - Section III		4,702,439	-	-
---	--	------------------	----------	----------

Basis Used: _____

SECTION III - SUMMARY

TOTAL SECTION I	(A)	4,970,192	-	-
TOTAL SECTION II	(B)	4,702,439	-	-
TOTAL - Surplus/Deficit	(C)	267,753	-	-

EXPLANATION:

Negative balances offset by cash balance brought forward (See Schedule I)

SCHEDULE 1A: DETAIL OF FEE COLLECTION AND RELATED PROGRAM COSTS

Department: 72 Management Services **Budget Period:** 2013-14
Program: 72900200 Wireless Services
Fund: 2432 Law Enforcement Radio System Trust
Specific Authority: Chapter 282, F.S.
Purpose of Fees Collected: A \$1 fee is collected from boat & auto registrations to provide for the construction & operation of the statewide 800 MHz LERS

Type of Fee or Program: (Check **ONE** Box and answer questions as indicated.)

<input type="checkbox"/>	Regulatory services or oversight to businesses or professions (Complete Sections I, II, and III and attach Examination of Regulatory Fees Form - Part I and II)
<input checked="" type="checkbox"/>	Non-regulatory fees authorized to cover full cost of conducting a specific program or service. (Complete Sections I, II, and III only.)

	(1)	(2)	(3)	(4)
SECTION I - FEE COLLECTION		ACTUAL	ESTIMATED	REQUEST
		FY 2011 - 12	FY 2012 - 13	FY 2013 - 14
Receipts:				
From Boat/Veh. Registrations-DHSMV		18,267,983	18,175,000	18,175,000
Tower Rental Fees		26,088	15,000	15,000
800MHZ Rebanding Reimb-Nextel				
Interest Earnings		262,301	265,000	265,000
Reimbursements		638,740		
Traffic Infraction Penalties		5,321,430	5,250,000	5,250,000
Total Fee Collection to Line (1) - Section III		24,516,542	23,705,000	23,705,000

SECTION II - FULL COSTS

Direct Costs:				
Salaries and Benefits		865,908	938,814	945,289
Other Personal Services		18,992	20,000	127,000
Expenses		151,949	264,146	264,146
Operating Capital Outlay		21,836	29,189	22,000
SC: Acquisition of Motor Vehicles				
SC: Contracted Services		1,494,637	1,500,000	3,493,000
Domestic Security		1,014,115	5,000,000	
Risk Management Insurance		1,275	1,309	1,309
Contracted Legal Services				
SW Law Enf Radio Contract Payment		18,220,000	18,220,000	18,220,000
Lease/Purchase/Equipment			1,394	1,394
TR to DMS-Human Res. Svcs.		3,639	3,645	3,645
Data Processing Services - SSRC		3,662	550	550

Indirect Costs Charged to Trust Fund:

TR to GR - 8% Service Charge		1,910,028	1,896,400	1,896,400
TR to 2021-Admin. Assess. Fee		148,650	209,952	245,644
Legislative Cash Sweep		3,500,000		
Cert. Forward A Reversions @ 9/30/2011		(1,383,556)		
COO Initiative REDM			100,000	
Cert. Forward Reversions @ 9/30/2012			(1,163,825)	
Estimated Reversions from Harris Contract			(1,961,796)	(1,584,000)
Unfunded Budget				
5% Trust Fund Reserve				
TR Cash Balance to 72900400-2432				
Total Full Costs to Line (2) - Section III		25,971,135	25,059,778	23,636,377

Basis Used: Accrual

SECTION III - SUMMARY

TOTAL SECTION I	(A)	24,516,542	23,705,000	23,705,000
TOTAL SECTION II	(B)	25,971,135	25,059,778	23,636,377
TOTAL - Surplus/Deficit	(C)	(1,454,593)	(1,354,778)	68,623

EXPLANATION:

Negative balances offset by cash balance brought forward (See Schedule I)

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

Budget Period: 2013 - 2014

Department Title:	MANAGEMENT SERVICES
Trust Fund Title:	COMMUNICATIONS WORKING CAPITAL TRUST
Budget Entity:	WIRELESS SERVICES (72900200)
LAS/PBS Fund Number:	2105

	Balance as of 6/30/2012	SWFS* Adjustments	Adjusted Balance
Chief Financial Officer's (CFO) Cash Balance	0 (A)		0
ADD: Other Cash (See Instructions)			0
ADD: Investments			0
ADD: Outstanding Accounts Receivable	0 (D)		0
Total Cash plus Accounts Receivable	0 (F)		0
LESS Allowances for Uncollectibles			0
LESS Approved "A" Certified Forwards	0 (H)		0
Approved "B" Certified Forwards			0
Approved "FCO" Certified Forwards			0
LESS: Other Accounts Payable			0
Unreserved Fund Balance, 07/01/12	0 (K)		0**

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.

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

Department Title:	Budget Period: 2013 - 2014
Trust Fund Title:	MANAGEMENT SERVICES
Budget Entity:	FEDERAL GRANT TRUST
LAS/PBS Fund Number:	WIRELESS SERVICES (72900200)
	2261

	Balance as of 6/30/2011	SWFS* Adjustments	Adjusted Balance
Chief Financial Officer's (CFO) Cash Balance	0 (A)		0
ADD: Other Cash (See Instructions)			0
ADD: Investments			0
ADD: Outstanding Accounts Receivable			0
Total Cash plus Accounts Receivable	0 (F)	0	0
LESS Allowances for Uncollectibles			0
LESS Approved "A" Certified Forwards	0 (H)		0
Approved "B" Certified Forwards	0 (H)		0
Approved "FCO" Certified Forwards			0
LESS: Other Accounts Payable			0
Unreserved Fund Balance, 07/01/11	0 (K)	0	0**

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.

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

Department Title:	Budget Period: 2013 - 2014
Trust Fund Title:	MANAGEMENT SERVICES
Budget Entity:	GRANTS AND DONATIONS TRUST
LAS/PBS Fund Number:	WIRELESS SERVICES (72900200)/ INFORMATION SERVICES (72900300)
	2339

	Balance as of 6/30/2012		SWFS* Adjustments		Adjusted Balance
Chief Financial Officer's (CFO) Cash Balance	15,282	(A)			15,282
ADD: Other Cash (See Instructions)		(B)			0
ADD: Investments		(C)			0
ADD: Outstanding Accounts Receivable		(D)			0
Total Cash plus Accounts Receivable	15,282	(F)	0		15,282
LESS Allowances for Uncollectibles		(G)			0
LESS Approved "A" Certified Forwards	0	(H)			0
Approved "B" Certified Forwards	0	(H)			0
Approved "FCO" Certified Forwards		(H)			0
LESS: Other Accounts Payable		(I)			0
Unreserved Fund Balance, 07/01/12	15,282	(K)	0		15,282 **

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.

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

Budget Period: 2013 - 2014

Department Title:	MANAGEMENT SERVICES
Trust Fund Title:	LAW ENFORCEMENT RADIO SYSTEM TRUST
Budget Entity:	WIRELESS SERVICES (72900200)
LAS/PBS Fund Number:	2432

	Balance as of 6/30/2012		SWFS* Adjustments	Adjusted Balance
Chief Financial Officer's (CFO) Cash Balance	206,691	(A)		206,691
ADD: Other Cash (See Instructions)		(B)		0
ADD: Investments	10,153,655	(C)		10,153,655
ADD: Outstanding Accounts Receivable	491,485	(D)		491,485
Total Cash plus Accounts Receivable	10,851,832	(F)		10,851,832
LESS Allowances for Uncollectibles		(G)		0
LESS Approved "A" Certified Forwards	5,810,507	(H)		5,810,507
Approved "B" Certified Forwards	0	(H)		0
Approved "FCO" Certified Forwards		(H)		0
LESS: Other Accounts Payable	479,169	(I)		479,169
Unreserved Fund Balance, 07/01/12	4,562,156	(K)		4,562,156 **

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: 2013 - 2014

Department Title:	720000 MANAGEMENT SERVICES
Trust Fund Title:	Technology Grants & Donations Trust Fund
LAS/PBS Fund Number:	2339

BEGINNING TRIAL BALANCE:

339070 Unreserved Fund Balance Per Trial Balance, 07-01-11	<input type="text" value="2,772.29"/>	(A)
339105 Unreserved Fund Balance Per Trial Balance, 07-01-11	<input type="text" value="12,511.00"/>	(A)

Add/Subtract:

Accounts Payable not Certified Forward in Trial Balance, but not on Schedule 1C.	<input type="text" value="267,531.30"/>
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Other Adjustment(s):

Statewide Post Closing Adjustment @ June 30, 2011	<input type="text"/>	(C)
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<input type="text"/>	(C)
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ADJUSTED BEGINNING TRIAL BALANCE:	<input type="text" value="282,815"/>	(D)
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UNRESERVED FUND BALANCE, SCHEDULE IC	<input type="text" value="282,815"/>	(E)
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DIFFERENCE:	<input type="text" value="(0)"/>	(F)*
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***SHOULD EQUAL ZERO.**

Office of Policy and Budget - July, 2008

RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC

Budget Period: 2013 - 2014

Department Title:	720000 MANAGEMENT SERVICES
Trust Fund Title:	State Agency Law Enforcement Radio System Trust Fund
LAS/PBS Fund Number:	2432

BEGINNING TRIAL BALANCE:

Unreserved Fund Balance Per Trial Balance, 07-01-12	4,562,156	(A)
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Add/Subtract:

Accounts Payable Not Certified Forward in FLAIR Not Recorded On Schedule 1C		(B)
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Certified Forward B recored on Schedule 1C Not Recorded in FLAIR	0	
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Other Adjustment(s):

Statewide Post Closing adjustment to Accounts Receivable		(C)
--	--	-----

		(C)
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ADJUSTED BEGINNING TRIAL BALANCE:	4,562,156	(D)
--	-----------	-----

UNRESERVED FUND BALANCE, SCHEDULE IC	4,562,156	(E)
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DIFFERENCE:	0	(F)*
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***SHOULD EQUAL ZERO.**

SCHEDULE IX: MAJOR AUDIT FINDINGS AND RECOMMENDATIONS

Budget Period: 2013-2014

Department: Management Services

Chief Internal Auditor: John W. Davis

Budget Entity: Wireless Services

Phone Number: (850) 487-9476

(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 are no issues or findings to report for Telecommunication Services.		



DEPARTMENT OF MANAGEMENT
SERVICES

Fiscal Year 2013-14

Public Employees Relations
Commission (PERC)

Exhibits and Schedules



DEPARTMENT OF MANAGEMENT
SERVICES

Fiscal Year 2013-14

Public Employees Relations
Commission (PERC)

Schedule I Series

SCHEDULE 1A: DETAIL OF FEE COLLECTION AND RELATED PROGRAM COSTS

Department: 72 Management Services **Budget Period:** 2013-14
Program: 72920100 Public Employees Relations Commission
Fund: 2558 PERC Trust
Specific Authority: 212.2(6)(d)(3)
Purpose of Fees Collected: To help defray the cost of providing publications, subscriptions, and copies of records and documents.

Type of Fee or Program: (Check **ONE** Box and answer questions as indicated.)

<input type="checkbox"/>	Regulatory services or oversight to businesses or professions (Complete Sections I, II, and III and attach Examination of Regulatory Fees Form - Part I and II .)
<input checked="" type="checkbox"/>	Non-regulatory fees authorized to cover full cost of conducting a specific program or service. (Complete Sections I, II, and III only.)

	(1)	(2)	(3)	(4)
SECTION I - FEE COLLECTION		ACTUAL	ESTIMATED	REQUEST
		FY 2011 - 12	FY 2012 - 13	FY 2013 - 14
Receipts:				
Interest Earnings		14,431	14,000	14,000
Refunds/Reimbursements		45,325		-
Local Government half-cent Sales Tax		1,447,673	1,600,000	1,600,000
Total Fee Collection to Line (1) - Section III		1,507,429	1,614,000	1,614,000

SECTION II - FULL COSTS				
Direct Costs:				
Salaries and Benefits		906,147	1,189,557	1,198,292
Other Personal Services		6,619	53,628	53,628
Expenses		264,198	354,664	354,664
Operating Capital Outlay		3,149	5,721	5,721
S.C.: Contracted Services		1,820	32,500	32,500
S.C.: Risk Management Insurance		15,903	11,508	11,508
S.C.: HR Svcs/Stw Contract		4,778	4,786	4,786
Data Processing Services-SSRC		9,139	5,240	5,255
Indirect Costs Charged to Trust Fund:				
Transfer to 2021-Admin Assess Fee Refunds		18,700	27,088	31,693
8% Srvc Chrg to GR		10		
8% Srvc Chrg to GR		1,155	1,120	1,120
Cert Forward A Reversions @ 9/30/2012		(156)		
Adj. to Line A for Comp Leave Liability		(22,158)		
Unfunded Budget @ 6/30/2012				
Reserve for Pay Package				-
5% Trust Fund Reserve				
Total Full Costs to Line (2) - Section III		1,209,304	1,685,812	1,699,167

Basis Used: Accrual

SECTION III - SUMMARY				
TOTAL SECTION I	(A)	1,507,429	1,614,000	1,614,000
TOTAL SECTION II	(B)	1,209,304	1,685,812	1,699,167
TOTAL - Surplus/Deficit	(C)	298,125	(71,812)	(85,167)

EXPLANATION:
Negative balances offset by cash balance brought forward (See Schedule I)

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

Budget Period: 2013 - 2014

Department Title:	MANAGEMENT SERVICES
Trust Fund Title:	PUBLIC EMPLOYEES RELATIONS COMMISSION TRUST
Budget Entity:	PUBLIC EMPLOYEES RELATIONS COMMISSION TRUST (72920100)
LAS/PBS Fund Number:	2558

	Balance as of 6/30/2012		SWFS* Adjustments		Adjusted Balance
Chief Financial Officer's (CFO) Cash Balance	122,408	(A)			122,408
ADD: Other Cash (See Instructions)		(B)			0
ADD: Investments	838,416	(C)			838,416
ADD: Outstanding Accounts Receivable	15,639	(D)			15,639
Total Cash plus Accounts Receivable	976,462	(F)			976,462
LESS Allowances for Uncollectibles		(G)			0
LESS Approved "A" Certified Forwards	28,737	(H)			28,737
Approved "B" Certified Forwards	0	(H)			0
LESS: Other Accounts Payable (Nonoperating)	390	(H)			390
LESS: Other Accounts Payable (Nonoperating)		(I)			0
Unreserved Fund Balance, 07/01/12	947,336	(K)			947,336**

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.

Office of Policy and Budget - July 2012

RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC

Budget Period: 2013 - 2014

Department Title: 720000 MANAGEMENT SERVICES
Trust Fund Title: Public Employees Relations Commission TF
LAS/PBS Fund Number: 2558

BEGINNING TRIAL BALANCE:

Unreserved Fund Balance Per Trial Balance, 07-01-12 (A)

Add/Subtract:

(B)

Certified Forward B recorded on Schedule 1C
Not Recorded in FLAIR

Compensated Absences Liability recorded In FLAIR As A Liability/
Not Recorded On Schedule 1C

Other Adjustment(s):

Statewide Post Closing Adjustment @ June 30, 2011 (C)

ADJUSTED BEGINNING TRIAL BALANCE: (D)

UNRESERVED FUND BALANCE, SCHEDULE IC (E)

DIFFERENCE: (F)*

***SHOULD EQUAL ZERO.**

SCHEDULE IX: MAJOR AUDIT FINDINGS AND RECOMMENDATIONS

Budget Period: 2013 -2014

Department: Management Services

Chief Internal Auditor: John W. Davis

Budget Entity: Public Employees Relations Commission

Phone Number: (850) 487-9476

(1) REPORT NUMBER	(2) PERIOD ENDING	(3) UNIT/AREA	(4) SUMMARY OF FINDINGS AND RECOMMENDATIONS	(5) SUMMARY OF CORRECTIVE ACTION TAKEN	(6) ISSUE CODE
			There are no issues or findings to report for the Public Employees Relations Commission.		



DEPARTMENT OF MANAGEMENT
SERVICES

Fiscal Year 2013-14

Florida Commission on Human
Relations (FCHR)

Exhibits and Schedules



DEPARTMENT OF MANAGEMENT
SERVICES

Fiscal Year 2013-14

Florida Commission on Human
Relations (FCHR)

Schedule I Series

SCHEDULE 1A: DETAIL OF FEE COLLECTION AND RELATED PROGRAM COSTS

Department: 72 Management Services **Budget Period: 2013-14**
Program: 72950100 Commission on Human Relations
Fund: 2510 Operating Trust
Specific Authority: 2006-79, Laws of Florida
Purpose of Fees Collected: _____

Type of Fee or Program: (Check **ONE** Box and answer questions as indicated.)

<input type="checkbox"/>	Regulatory services or oversight to businesses or professions (Complete Sections I, II, and III and attach Examination of Regulatory Fees Form - Part I and II.)
<input checked="" type="checkbox"/>	Non-regulatory fees authorized to cover full cost of conducting a specific program or service. (Complete Sections I, II, and III only.)

	(1)	(2)	(3)	(4)
SECTION I - FEE COLLECTION	ACTUAL	ESTIMATED	REQUEST	
	FY 2011 - 2012	FY 2012 - 2013	FY 2013 - 2014	
Receipts:				
HUD Registration	33,400	33,400	33,400	
HUD Grant	940,219	677,998	677,988	
EEOC Grant	817,100	586,200	586,200	
Interest Earnings	27,098	30,000	30,000	
Refunds & Reimbursements	9,386			
Total Fee Collection to Line (1) - Section III	1,827,203	1,327,598	1,327,588	

SECTION II - FULL COSTS

Direct Costs:

Salaries and Benefits	700,974	891,332	962,723
Other Personal Services	22,735	1,040	36,040
Expenses	201,107	173,660	255,284
Operating Capital Outlay			5,000
Transfer to Admin Hearings			-
Contracted Services	23,432	16,000	16,000
Risk Management Insurance	33,340	25,003	25,003
Lease/Purchase/Equipment		49,163	49,163
HR Statewide Contract	4,422	4,430	4,430
Data Processing SSRC	9,424	24,684	24,749

Indirect Costs Charged to Trust Fund:

Admin Assessment Fee	55,916	57,622	67,418
Service Charge to G/R - 8%	2,674	2,674	2,674
5% Trust Fund Reserve			
Reserve for Pay Package			
Certified Forward A Reversions @ 9/30/2011	(5,578)		
Certified Forward Reversions @ 9/30/2012		(6,315)	
Total Full Costs to Line (2) - Section III	1,048,446	1,239,293	1,448,484

Basis Used: _____

SECTION III - SUMMARY

TOTAL SECTION I	(A)	1,827,203	1,327,598	1,327,588
TOTAL SECTION II	(B)	1,048,446	1,239,293	1,448,484
TOTAL - Surplus/Deficit	(C)	778,757	88,305	(120,896)

EXPLANATION:

See 2339 for Actual FY 2005-06 and Estimated FY 2006-07 Information

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

Budget Period: 2013 - 2014

Department Title:	MANAGEMENT SER
Trust Fund Title:	OPERATING TRUST FUND
Budget Entity:	COMMISSION ON HUMAN RELATIONS (72950100)
LAS/PBS Fund Number:	2510

	Balance as of 6/30/2012	SWFS* Adjustments	Adjusted Balance
Chief Financial Officer's (CFO) Cash Balance	18,303 (A)		18,303
ADD: Other Cash (See Instructions)			0
ADD: Investments	1,401,657 (C)		1,401,657
ADD: Outstanding Accounts Receivable	2,481 (D)		2,481
Anticipated Revenue		0	0
Total Cash plus Accounts Receivable	1,422,441 (F)	0	1,422,441
LESS Allowances for Uncollectibles			0
LESS Approved "A" Certified Forwards	38,128 (H)		38,128
Approved "B" Certified Forwards			0
LESS: Other Accounts Payable(Non-Operating)	1,701 (H)		1,701
LESS: Other Accounts Payable Other			0
Unreserved Fund Balance, 07/01/12	\$ 1,382,612 (K)	0	1,382,612**

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: 2013 - 2014

Department Title:	<u>720000 MANAGEMENT SERVICES</u>
Trust Fund Title:	<u>Commission of Human Relations Operating TF</u>
LAS/PBS Fund Number:	<u>2510</u>

BEGINNING TRIAL BALANCE:

Unreserved Fund Balance Per Trial Balance, 07-01-12	1,382,612	(A)
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Add/Subtract:

Accounts Payable NOT Certified Forward not on Schedule 1C	(28.52)	(B)
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Certified Forward B recored on Schedule 1C Not Recorded in FLAIR	0	
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Other Adjustment(s):

Statewide Post Closing adjustment to Accounts Receivable		(C)
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		(C)
--	--	-----

ADJUSTED BEGINNING TRIAL BALANCE:	1,382,583	(D)
--	-----------	-----

UNRESERVED FUND BALANCE, SCHEDULE IC	1,382,583	(E)
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DIFFERENCE:	0	(F)*
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***SHOULD EQUAL ZERO.**

SCHEDULE IX: MAJOR AUDIT FINDINGS AND RECOMMENDATIONS

Budget Period: 2013- 2014

Department: Management Services

Chief Internal Auditor: John W. Davis

Budget Entity: Commission on Human Relations

Phone Number: (850) 487-9476

(1) REPORT NUMBER	(2) PERIOD ENDING	(3) UNIT/AREA	(4) SUMMARY OF FINDINGS AND RECOMMENDATIONS	(5) SUMMARY OF CORRECTIVE ACTION TAKEN	(6) ISSUE CODE
			There are no issues or findings to report for the Public Employees Relations Commission.		

Fiscal Year 2013-14 LBR Technical Review Checklist

Department/Budget Entity (Service):

Agency Budget Officer/OPB Analyst Name:

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)				
	72010100	72010300	72400100	72400200	72600200

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? (CSDI)	Yes	Yes	Yes	Yes	Yes
1.2 Is Column A03 set to TRANSFER CONTROL for DISPLAY and UPDATE status for both the Budget and Trust Fund columns? (CSDI)	Yes	Yes	Yes	Yes	Yes

AUDITS:

1.3 Has Column A03 been copied to Column A12? Run the Exhibit B Audit Comparison Report to verify. (EXBR, EXBA)	Yes	Yes	Yes	Yes	Yes
1.4 Has security been set correctly? (CSDR, CSA)	Yes	Yes	Yes	Yes	Yes

TIP The agency should prepare the budget request for submission in this order: 1) Lock columns as described above; 2) copy Column A03 to Column A12; and 3) set Column A12 column security to ALL for DISPLAY status and MANAGEMENT CONTROL for UPDATE status.

2. EXHIBIT A (EADR, EXA)

2.1 Is the budget entity authority and description consistent with the agency's LRPP and does it conform to the directives provided on page 58 of the LBR Instructions?	Yes	Yes	Yes	Yes	Yes
2.2 Are the statewide issues generated systematically (estimated expenditures, nonrecurring expenditures, etc.) included?	Yes	Yes	Yes	Yes	Yes
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?	Yes	Yes	Yes	Yes	Yes
2.4 Have the coding guidelines in <i>Section 3</i> of the LBR Instructions (pages 15 through 30) been followed?	Yes	Yes	Yes	Yes	Yes

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	N/A	N/A	N/A	N/A
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.	Yes	Yes	Yes	Yes	Yes

AUDITS:

Action		Program or Service (Budget Entity Codes)				
		72010100	72010300	72400100	72400200	72600200
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? (NACR, NAC - Report should print "No Negative Appropriation Categories Found")	Yes	Yes	Yes	Yes	Yes
3.4	Current Year Estimated Verification Comparison Report: Is Column A02 equal to Column B07? (EXBR, EXBC - Report should print "Records Selected Net To Zero")	Yes	Yes	Yes	Yes	Yes
TIP	Generally look for and be able to fully explain significant differences between A02 and A03.					
TIP	Exhibit B - A02 equal to B07: Compares Current Year Estimated column to a backup of A02. This audit is necessary to ensure that the historical detail records have not been adjusted. Records selected should net to zero.					
TIP	Requests for appropriations which require advance payment authority must use the sub-title "Grants and Aids". For advance payment authority to local units of government, the Aid to Local Government appropriation category (05XXXX) should be used. For advance payment authority to non-profit organizations or other units of state government, the Special Categories appropriation category (10XXXX) should be used.					
4. EXHIBIT D (EADR, EXD)						
4.1	Is the program component objective statement consistent with the agency LRPP, and does it conform to the directives provided on page 61 of the LBR Instructions?	Yes	Yes	Yes	Yes	Yes
4.2	Is the program component code and title used correct?	Yes	Yes	Yes	Yes	Yes
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.)	Yes	Yes	Yes	Yes	Yes
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")	Yes	Yes	Yes	Yes	Yes
5.3	FLAIR Expenditure/Appropriation Ledger Comparison Report: Is Column A01 less than Column B04? (EXBR, EXBB - Negative differences need to be corrected in Column A01.)	Yes	Yes	Yes	Yes	Yes
5.4	A01/State Accounts Disbursements and Carry Forward Comparison Report: Does Column A01 equal Column B08? (EXBR, EXBD - Differences need to be corrected in Column A01.)	Yes	Yes	Yes	Yes	Yes
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.					

Action		Program or Service (Budget Entity Codes)				
		72010100	72010300	72400100	72400200	72600200
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 2011-12 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.					
6. EXHIBIT D-3 (ED3R, ED3) (Not required in the LBR - for analytical purposes only.)						
6.1	Are issues appropriately aligned with appropriation categories?	Yes	Yes	Yes	Yes	Yes
TIP	Exhibit D-3 is no longer required in the budget submission but may be needed for this particular appropriation category/issue sort. Exhibit D-3 is also a useful report when identifying negative appropriation category problems.					
7. EXHIBIT D-3A (EADR, ED3A)						
7.1	Are the issue titles correct and do they clearly identify the issue? (See pages 15 through 30 of the LBR Instructions.)	Yes	Yes	Yes	Yes	Yes
7.2	Does the issue narrative adequately explain the agency's request and is the explanation consistent with the LRPP? (See page 66-67 of the LBR Instructions.)	Yes	Yes	Yes	Yes	Yes
7.3	Does the narrative for Information Technology (IT) issue follow the additional narrative requirements described on pages 68 through 70 of the LBR Instructions?	N/A	N/A	N/A	N/A	N/A
7.4	Are all issues with an IT component identified with a "Y" in the "IT COMPONENT?" field? If the issue contains an IT component, has that component been identified and documented?	N/A	N/A	N/A	N/A	N/A
7.5	Does the issue narrative explain any variances from the Standard Expense and Human Resource Services Assessments package? Is the nonrecurring portion in the nonrecurring column? (See pages E-4 and E-5 of the LBR Instructions.)	N/A	N/A	N/A	N/A	N/A
7.6	Does the salary rate request amount accurately reflect any new requests and are the amounts proportionate to the Salaries and Benefits request? Note: Salary rate should always be annualized.	N/A	N/A	N/A	N/A	N/A
7.7	Does the issue narrative thoroughly explain/justify all Salaries and Benefits amounts entered into the Other Salary Amounts transactions (OADA/C)? Amounts entered into OAD are reflected in the Position Detail of Salaries and Benefits section of the Exhibit D-3A.	N/A	Yes	N/A	N/A	N/A
7.8	Does the issue narrative include the Consensus Estimating Conference forecast, where appropriate?	N/A	N/A	N/A	N/A	N/A
7.9	Does the issue narrative reference the specific county(ies) where applicable?	N/A	N/A	N/A	N/A	N/A
7.10	Do the 160XXX0 issues reflect budget amendments that have been approved (or in the process of being approved) and that have a recurring impact (including Lump Sums)? Have the approved budget amendments been entered in Column A18 as instructed in Memo #13-003?	N/A	N/A	N/A	N/A	N/A

Action		Program or Service (Budget Entity Codes)				
		72010100	72010300	72400100	72400200	72600200
7.11	When appropriate are there any 160XXX0 issues included to delete positions placed in reserve in the OPB Position and Rate Ledger (e.g. unfunded grants)? Note: Lump sum appropriations not yet allocated should <u>not</u> be deleted. (PLRR, PLMO)	N/A	N/A	N/A	N/A	N/A
7.12	Does the issue narrative include plans to satisfy additional space requirements when requesting additional positions?	N/A	N/A	N/A	N/A	N/A
7.13	Has the agency included a 160XXX0 issue and 210XXXX and 260XXX0 issues as required for lump sum distributions?	N/A	N/A	N/A	N/A	N/A
7.14	Do the amounts reflect appropriate FSI assignments?	Yes	Yes	Yes	Yes	Yes
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	N/A	N/A	N/A	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)?	N/A	N/A	N/A	N/A	N/A
7.17	Are the issues relating to <i>major audit findings and recommendations</i> properly coded (4A0XXX0, 4B0XXX0)?	N/A	N/A	N/A	N/A	N/A
7.18	Does the issue narrative identify the strategy or strategies in the Five Year Statewide Strategic Plan for Economic Development as requested in Memo# 13-010?	Yes	Yes	Yes	Yes	Yes
AUDIT:						
7.19	Are all FSI's equal to '1', '2', '3', or '9'? There should be no FSI's equal to '0'. (EADR, FSIA - Report should print "No Records Selected For Reporting")	Yes	Yes	Yes	Yes	Yes
7.20	Does the General Revenue for 160XXXX (Adjustments to Current Year Expenditures) issues net to zero? (GENR, LBR1)	Yes	Yes	Yes	Yes	Yes
7.21	Does the General Revenue for 180XXXX (Intra-Agency Reorganizations) issues net to zero? (GENR, LBR2)	N/A	N/A	N/A	N/A	N/A
7.22	Does the General Revenue for 200XXXX (Estimated Expenditures Realignment) issues net to zero? (GENR, LBR3)	N/A	N/A	N/A	N/A	Yes
7.23	Have FCO appropriations been entered into the nonrecurring column A04? (GENR, LBR4 - Report should print "No Records Selected For Reporting" or a listing of D-3A issue(s) assigned to Debt Service (IOE N) or in some cases State Capital Outlay - Public Education Capital Outlay (IOE L))	N/A	N/A	Yes	N/A	N/A
TIP	Salaries and Benefits amounts entered using the OADA/C transactions must be thoroughly justified in the D-3A issue narrative. Agencies can run OADA/OADR from STAM to identify the amounts entered into OAD and ensure these entries have been thoroughly explained in the D-3A issue narrative.					
TIP	The issue narrative must completely and thoroughly explain and justify each D-3A issue. Agencies must ensure it provides the information necessary for the OPB and legislative analysts to have a complete understanding of the issue submitted. Thoroughly review pages 66 through 70 of the LBR Instructions.					

Action		Program or Service (Budget Entity Codes)				
		72010100	72010300	72400100	72400200	72600200
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 2012-13 General Appropriations Act duplicates an appropriation made in substantive legislation, the agency must create a unique deduct nonrecurring issue to eliminate the duplicated appropriation. Normally this is taken care of through line item veto.					
8. SCHEDULE I & RELATED DOCUMENTS (SC1R, SC1 - Budget Entity Level or SC1R, SC1D - Department Level)						
8.1	Has a separate department level Schedule I and supporting documents package been submitted by the agency?	Yes	Yes	Yes	Yes	Yes
8.2	Has a Schedule I and Schedule IB been completed in LAS/PBS for each operating trust fund?	Yes	Yes	Yes	Yes	Yes
8.3	Have the appropriate Schedule I supporting documents been included for the trust funds (Schedule IA, Schedule IC, and Reconciliation to Trial Balance)?	Yes	Yes	Yes	Yes	Yes
8.4	Have the Examination of Regulatory Fees Part I and Part II forms been included for the applicable regulatory programs?	N/A	N/A	N/A	N/A	N/A
8.5	Have the required detailed narratives been provided (5% trust fund reserve narrative; method for computing the distribution of cost for general management and administrative services narrative; adjustments narrative; revenue estimating methodology narrative)?	Yes	Yes	Yes	Yes	Yes
8.6	Has the Inter-Agency Transfers Reported on Schedule I form been included as applicable for transfers totaling \$100,000 or more for the fiscal year?	N/A	N/A	Yes	N/A	N/A
8.7	If the agency is scheduled for the annual trust fund review this year, have the Schedule ID and applicable draft legislation been included for recreation, modification or termination of existing trust funds?	N/A	N/A	N/A	N/A	N/A
8.8	If the agency is scheduled for the annual trust fund review this year, have the necessary trust funds been requested for creation pursuant to <i>section 215.32(2)(b), Florida Statutes</i> - including the Schedule ID and applicable legislation?	N/A	N/A	N/A	N/A	N/A
8.9	Are the revenue codes correct? In the case of federal revenues, has the agency appropriately identified direct versus indirect receipts (object codes 000700, 000750, 000799, 001510 and 001599)? For non-grant federal revenues, is the correct revenue code identified (codes 000504, 000119, 001270, 001870, 001970)?	Yes	Yes	Yes	Yes	Yes
8.10	Are the statutory authority references correct?	Yes	Yes	Yes	Yes	Yes
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.)	Yes	Yes	Yes	Yes	Yes
8.12	Is this an accurate representation of revenues based on the most recent Consensus Estimating Conference forecasts?	N/A	N/A	N/A	N/A	N/A

Action		Program or Service (Budget Entity Codes)				
		72010100	72010300	72400100	72400200	72600200
8.13	If there is no Consensus Estimating Conference forecast available, do the revenue estimates appear to be reasonable?	Yes	Yes	Yes	Yes	Yes
8.14	Are the federal funds revenues reported in Section I broken out by individual grant? Are the correct CFDA codes used?	N/A	N/A	N/A	N/A	N/A
8.15	Are anticipated grants included and based on the state fiscal year (rather than federal fiscal year)?	N/A	N/A	N/A	N/A	N/A
8.16	Are the Schedule I revenues consistent with the FSI's reported in the Exhibit D-3A?	Yes	Yes	Yes	Yes	Yes
8.17	If applicable, are nonrecurring revenues entered into Column A04?	Yes	Yes	Yes	Yes	Yes
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?	Yes	Yes	Yes	Yes	Yes
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?	Yes	Yes	Yes	Yes	Yes
8.20	Are appropriate service charge nonoperating amounts included in Section II?	Yes	Yes	Yes	Yes	Yes
8.21	Are nonoperating expenditures to other budget entities/departments cross-referenced accurately?	Yes	Yes	Yes	Yes	Yes
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.)	Yes	Yes	Yes	Yes	Yes
8.23	Are nonoperating expenditures recorded in Section II and adjustments recorded in Section III?	Yes	Yes	Yes	Yes	Yes
8.24	Are prior year September operating reversions appropriately shown in column A01?	Yes	Yes	Yes	Yes	Yes
8.25	Are current year September operating reversions appropriately shown in column A02?	Yes	Yes	Yes	Yes	Yes
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?	Yes	Yes	Yes	Yes	Yes
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?	Yes	Yes	Yes	Yes	Yes
8.28	Does Line I of Column A01 (Schedule I) equal Line K of the Schedule IC?	Yes	Yes	Yes	Yes	Yes
AUDITS:						
8.29	Is Line I a positive number? (If not, the agency must adjust the budget request to eliminate the deficit).	Yes	Yes	Yes	Yes	Yes
8.30	Is the June 30 Adjusted Unreserved Fund Balance (Line I) equal to the July 1 Unreserved Fund Balance (Line A) of the following year? If a Schedule IB was prepared, do the totals agree with the Schedule I, Line I? (SC1R, SC1A - Report should print "No Discrepancies Exist For This Report")	Yes	Yes	Yes	Yes	Yes

Action		Program or Service (Budget Entity Codes)				
		72010100	72010300	72400100	72400200	72600200
8.31	Has a Department Level Reconciliation been provided for each trust fund and does Line A of the Schedule I equal the CFO amount? If not, the agency must correct Line A. (SC1R, DEPT)	Yes	Yes	Yes	Yes	Yes
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.) 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 157 of the LBR Instructions.)	N/A	N/A	N/A	N/A	N/A
10. SCHEDULE III (PSCR, SC3)						
10.1	Is the appropriate lapse amount applied in Segment 3? (See page 90 of the LBR Instructions.)	N/A	N/A	N/A	N/A	N/A
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 OADI or OADR to identify agency other salary amounts requested	N/A	Yes	N/A	N/A	N/A
11. SCHEDULE IV (EADR, SC4)						
11.1	Are the correct Information Technology (IT) issue codes used?	N/A	N/A	N/A	N/A	N/A
TIP	If IT issues are not coded correctly (with "C" in 6th position), they will not appear in the Schedule IV.					
12. SCHEDULE VIIIA (EADR, SC8A)						
12.1	Is there only one #1 priority, one #2 priority, one #3 priority, etc. reported on the Schedule VIII-A? Are the priority narrative explanations adequate?	N/A	N/A	Yes	N/A	N/A
13. SCHEDULE VIIIB-1 (EADR, S8B1)						
13.1	NOT REQUIRED FOR THIS YEAR	N/A	N/A	N/A	N/A	N/A
14. SCHEDULE VIIIB-2 (EADR, S8B2)						
14.1	Do the reductions comply with the instructions provided on pages 102 through 104 of the LBR Instructions regarding a 5% reduction in recurring General Revenue and Trust Funds, including the verification that the 33BXXX0 issue has NOT been used?	Yes	Yes	Yes	Yes	Yes
15. SCHEDULE XI (USCR, SCXI) (LAS/PBS Web - see page 105-109 of the LBR Instructions for detailed instruction)						
15.1	Agencies are required to generate this spreadsheet via the LAS/PBS Web. The Final Excel version no longer has to be submitted to OPB for inclusion on the Governor's Florida Performs Website. (Note: Pursuant to <i>section 216.023(4) (b), Florida Statutes</i> , the Legislature can reduce the funding level for any agency that does not provide this	Yes	Yes	Yes	Yes	Yes

Action		Program or Service (Budget Entity Codes)				
		72010100	72010300	72400100	72400200	72600200
15.2	Do the PDF files uploaded to the Florida Fiscal Portal for the LRPP and LBR match?	Yes	Yes	Yes	Yes	Yes
AUDITS INCLUDED IN THE SCHEDULE XI REPORT:						
15.3	Does the FY 2011-12 Actual (prior year) Expenditures in Column A36 reconcile to Column A01? (GENR, ACT1)	Yes	Yes	Yes	Yes	Yes
15.4	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")	Yes	Yes	Yes	Yes	Yes
15.5	Does the Fixed Capital Outlay (FCO) statewide activity (ACT0210) only contain 08XXXX or 14XXXX appropriation categories? (Audit #2 should print "No Operating Categories Found")	N/A	N/A	Yes	Yes	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.)	Yes	Yes	Yes	Yes	Yes
15.7	Does Section I (Final Budget for Agency) and Section III (Total Budget for Agency) equal? (Audit #4 should print "No Discrepancies Found")	N/J	N/J	N/J	N/J	N/J
TIP If Section I and Section III have a small difference, it may be due to rounding and therefore will be acceptable.						
16. MANUALLY PREPARED EXHIBITS & SCHEDULES						
16.1	Do exhibits and schedules comply with LBR Instructions (pages 110 through 154 of the LBR Instructions), and are they accurate and complete?	Yes	Yes	Yes	Yes	Yes
16.2	Are appropriation category totals comparable to Exhibit B, where applicable?	Yes	Yes	Yes	Yes	Yes
16.3	Are agency organization charts (Schedule X) provided and at the appropriate level of detail?	Yes	Yes	Yes	Yes	Yes
AUDITS - GENERAL INFORMATION						
TIP Review <i>Section 6: Audits</i> of the LBR Instructions (pages 156-158) for a list of audits and their descriptions.						
TIP Reorganizations may cause audit errors. Agencies must indicate that these errors are due to an agency reorganization to justify the audit error.						
17. CAPITAL IMPROVEMENTS PROGRAM (CIP)						
17.1	Are the CIP-2, CIP-3, CIP-A and CIP-B forms included?	N/A	N/A	Yes	Yes	N/A
17.2	Are the CIP-4 and CIP-5 forms submitted when applicable (see CIP Instructions)?	N/A	N/A	Yes	Yes	N/A
17.3	Do all CIP forms comply with CIP Instructions where applicable (see CIP Instructions)?	N/A	N/A	Yes	Yes	N/A
17.4	Does the agency request include 5 year projections (Columns A03, A06, A07, A08 and A09)?	N/A	N/A	Yes	Yes	N/A
17.5	Are the appropriate counties identified in the narrative?	N/A	N/A	Yes	Yes	N/A

Action		Program or Service (Budget Entity Codes)				
		72010100	72010300	72400100	72400200	72600200
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	N/A	Yes	Yes	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					
18. FLORIDA FISCAL PORTAL						
18.1	Have all files been assembled correctly and posted to the Florida Fiscal Portal as outlined in the Florida Fiscal Portal Submittal Process?	Yes	Yes	Yes	Yes	Yes

Fiscal Year 2013-14 LBR Technical Review Checklist

Department/Budget Entity (Service):

Agency Budget Officer/OPB Analyst Name:

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)				
	72600300	72600400	72600500	72600800	72750200

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	Yes	Yes	Yes	Yes	Yes
1.2 Is Column A03 set to TRANSFER CONTROL for DISPLAY and UPDATE status for both the Budget and Trust Fund columns? (CSDI)	Yes	Yes	Yes	Yes	Yes

AUDITS:

1.3 Has Column A03 been copied to Column A12? Run the Exhibit B Audit Comparison Report to verify. (EXBR, EXBA)	Yes	Yes	Yes	Yes	Yes
1.4 Has security been set correctly? (CSDR, CSA)	Yes	Yes	Yes	Yes	Yes

TIP The agency should prepare the budget request for submission in this order: 1) Lock columns as described above; 2) copy Column A03 to Column A12; and 3) set Column A12 column security to ALL for DISPLAY status and MANAGEMENT CONTROL for UPDATE status.

2. EXHIBIT A (EADR, EXA)

2.1 Is the budget entity authority and description consistent with the agency's LRPP and does it conform to the directives provided on page 58 of the LBR Instructions?	Yes	Yes	Yes	Yes	Yes
2.2 Are the statewide issues generated systematically (estimated expenditures, nonrecurring expenditures, etc.) included?	Yes	Yes	Yes	Yes	Yes
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?	Yes	Yes	Yes	Yes	Yes
2.4 Have the coding guidelines in <i>Section 3</i> of the LBR Instructions (pages 15 through 30) been followed?	Yes	Yes	Yes	Yes	Yes

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	N/A	N/A	N/A	N/A
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.	Yes	Yes	Yes	Yes	Yes

AUDITS:

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? (NACR, NAC - Report should print "No Negative Appropriation Categories Found")	Yes	Yes	Yes	Yes	Yes
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Action		Program or Service (Budget Entity Codes)				
		72600300	72600400	72600500	72600800	72750200
3.4	Current Year Estimated Verification Comparison Report: Is Column A02 equal to Column B07? (EXBR, EXBC - Report should print "Records Selected Net To Zero")	Yes	Yes	Yes	Yes	Yes
TIP	Generally look for and be able to fully explain significant differences between A02 and A03.					
TIP	Exhibit B - A02 equal to B07: Compares Current Year Estimated column to a backup of A02. This audit is necessary to ensure that the historical detail records have not been adjusted. Records selected should net to zero.					
TIP	Requests for appropriations which require advance payment authority must use the sub-title "Grants and Aids". For advance payment authority to local units of government, the Aid to Local Government appropriation category (05XXXX) should be used. For advance payment authority to non-profit organizations or other units of state government, the Special Categories appropriation category (10XXXX) should be used.					
4. EXHIBIT D (EADR, EXD)						
4.1	Is the program component objective statement consistent with the agency LRPP, and does it conform to the directives provided on page 61 of the LBR Instructions?	Yes	Yes	Yes	Yes	Yes
4.2	Is the program component code and title used correct?	Yes	Yes	Yes	Yes	Yes
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.)	Yes	Yes	Yes	Yes	Yes
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")	Yes	Yes	Yes	Yes	Yes
5.3	FLAIR Expenditure/Appropriation Ledger Comparison Report: Is Column A01 less than Column B04? (EXBR, EXBB - Negative differences need to be corrected in Column A01.)	Yes	Yes	Yes	Yes	Yes
5.4	A01/State Accounts Disbursements and Carry Forward Comparison Report: Does Column A01 equal Column B08? (EXBR, EXBD - Differences need to be corrected in Column A01.)	Yes	Yes	Yes	Yes	Yes
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 2011-12 approved budget. Amounts should be positive.					

Action		Program or Service (Budget Entity Codes)				
		72600300	72600400	72600500	72600800	72750200
TIP	If B08 is not equal to A01, check the following: 1) the initial FLAIR disbursements or carry forward data load was corrected appropriately in A01; 2) the disbursement data from departmental FLAIR was reconciled to State Accounts; and 3) the FLAIR disbursements did not change after Column B08 was created.					
6. EXHIBIT D-3 (ED3R, ED3) (Not required in the LBR - for analytical purposes only.)						
6.1	Are issues appropriately aligned with appropriation categories?	Yes	Yes	Yes	Yes	Yes
TIP	Exhibit D-3 is no longer required in the budget submission but may be needed for this particular appropriation category/issue sort. Exhibit D-3 is also a useful report when identifying negative appropriation category problems.					
7. EXHIBIT D-3A (EADR, ED3A)						
7.1	Are the issue titles correct and do they clearly identify the issue? (See pages 15 through 30 of the LBR Instructions.)	Yes	Yes	Yes	Yes	Yes
7.2	Does the issue narrative adequately explain the agency's request and is the explanation consistent with the LRPP? (See page 66-67 of the LBR Instructions.)	Yes	Yes	Yes	Yes	Yes
7.3	Does the narrative for Information Technology (IT) issue follow the additional narrative requirements described on pages 68 through 70 of the LBR Instructions?	N/A	Yes	N/A	N/A	N/A
7.4	Are all issues with an IT component identified with a "Y" in the "IT COMPONENT?" field? If the issue contains an IT component, has that component been identified and documented?	N/A	Yes	N/A	N/A	N/A
7.5	Does the issue narrative explain any variances from the Standard Expense and Human Resource Services Assessments package? Is the nonrecurring portion in the nonrecurring column? (See pages E-4 and E-5 of the LBR Instructions.)	N/A	Yes	N/A	N/A	N/A
7.6	Does the salary rate request amount accurately reflect any new requests and are the amounts proportionate to the Salaries and Benefits request? Note: Salary rate should always be annualized.	N/A	Yes	N/A	N/A	N/A
7.7	Does the issue narrative thoroughly explain/justify all Salaries and Benefits amounts entered into the Other Salary Amounts transactions (OADA/C)? Amounts entered into OAD are reflected in the Position Detail of Salaries and Benefits section of the Exhibit D-3A.	N/A	Yes	N/A	N/A	N/A
7.8	Does the issue narrative include the Consensus Estimating Conference forecast, where appropriate?	N/A	N/A	N/A	N/A	N/A
7.9	Does the issue narrative reference the specific county(ies) where applicable?	N/A	N/A	N/A	N/A	N/A
7.10	Do the 160XXX0 issues reflect budget amendments that have been approved (or in the process of being approved) and that have a recurring impact (including Lump Sums)? Have the approved budget amendments been entered in Column A18 as instructed in Memo #13-003?	N/A	N/A	N/A	N/A	N/A
7.11	When appropriate are there any 160XXX0 issues included to delete positions placed in reserve in the OPB Position and Rate Ledger (e.g. unfunded grants)? Note: Lump sum appropriations not yet allocated should <u>not</u> be deleted. (PLRR, PLMO)	N/A	N/A	N/A	N/A	N/A
7.12	Does the issue narrative include plans to satisfy additional space requirements when requesting additional positions?	N/A	N/A	N/A	N/A	N/A

Action		Program or Service (Budget Entity Codes)				
		72600300	72600400	72600500	72600800	72750200
7.13	Has the agency included a 160XXX0 issue and 210XXXX and 260XXX0 issues as required for lump sum distributions?	N/A	N/A	N/A	N/A	N/A
7.14	Do the amounts reflect appropriate FSI assignments?	Yes	Yes	Yes	Yes	Yes
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	Yes	N/A	N/A	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)?	Yes	Yes	Yes	Yes	Yes
7.17	Are the issues relating to <i>major audit findings and recommendations</i> properly coded (4A0XXX0, 4B0XXX0)?	N/A	N/A	N/A	N/A	N/A
7.18	Does the issue narrative identify the strategy or strategies in the Five Year Statewide Strategic Plan for Economic Development as requested in Memo# 13-010?	N/A	Yes	N/A	Yes	Yes
AUDIT:						
7.19	Are all FSI's equal to '1', '2', '3', or '9'? There should be no FSI's equal to '0'. (EADR, FSIA - Report should print "No Records Selected For Reporting")	Yes	Yes	Yes	Yes	Yes
7.20	Does the General Revenue for 160XXXX (Adjustments to Current Year Expenditures) issues net to zero? (GENR, LBR1)	Yes	Yes	Yes	Yes	Yes
7.21	Does the General Revenue for 180XXXX (Intra-Agency Reorganizations) issues net to zero? (GENR, LBR2)	N/A	N/A	N/A	N/A	N/A
7.22	Does the General Revenue for 200XXXX (Estimated Expenditures Realignment) issues net to zero? (GENR, LBR3)	Yes	Yes	Yes	Yes	Yes
7.23	Have FCO appropriations been entered into the nonrecurring column A04? (GENR, LBR4 - Report should print "No Records Selected For Reporting" or a listing of D-3A issue(s) assigned to Debt Service (IOE N) or in some cases State Capital Outlay - Public Education Capital Outlay (IOE L))	N/A	N/A	N/A	N/A	N/A
TIP	Salaries and Benefits amounts entered using the OADA/C transactions must be thoroughly justified in the D-3A issue narrative. Agencies can run OADA/OADR from STAM to identify the amounts entered into OAD and ensure these entries have been thoroughly explained in the D-3A issue narrative.					
TIP	The issue narrative must completely and thoroughly explain and justify each D-3A issue. Agencies must ensure it provides the information necessary for the OPB and legislative analysts to have a complete understanding of the issue submitted. Thoroughly review pages 66 through 70 of the LBR Instructions.					
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.					

Action		Program or Service (Budget Entity Codes)				
		72600300	72600400	72600500	72600800	72750200
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 2012-13 General Appropriations Act duplicates an appropriation made in substantive legislation, the agency must create a unique deduct nonrecurring issue to eliminate the duplicated appropriation. Normally this is taken care of through line item veto.					
8. SCHEDULE I & RELATED DOCUMENTS (SC1R, SC1 - Budget Entity Level or SC1R, SC1D - Department Level)						
8.1	Has a separate department level Schedule I and supporting documents package been submitted by the agency?	Yes	Yes	Yes	Yes	Yes
8.2	Has a Schedule I and Schedule IB been completed in LAS/PBS for each operating trust fund?	Yes	Yes	Yes	Yes	Yes
8.3	Have the appropriate Schedule I supporting documents been included for the trust funds (Schedule IA, Schedule IC, and Reconciliation to Trial Balance)?	Yes	Yes	Yes	Yes	Yes
8.4	Have the Examination of Regulatory Fees Part I and Part II forms been included for the applicable regulatory programs?	N/A	N/A	N/A	N/A	N/A
8.5	Have the required detailed narratives been provided (5% trust fund reserve narrative; method for computing the distribution of cost for general management and administrative services narrative; adjustments narrative; revenue estimating methodology narrative)?	Yes	Yes	Yes	Yes	Yes
8.6	Has the Inter-Agency Transfers Reported on Schedule I form been included as applicable for transfers totaling \$100,000 or more for the fiscal year?	N/A	Yes	N/A	N/A	N/A
8.7	If the agency is scheduled for the annual trust fund review this year, have the Schedule ID and applicable draft legislation been included for recreation, modification or termination of existing trust funds?	N/A	N/A	N/A	N/A	N/A
8.8	If the agency is scheduled for the annual trust fund review this year, have the necessary trust funds been requested for creation pursuant to <i>section 215.32(2)(b), Florida Statutes</i> - including the Schedule ID and applicable legislation?	N/A	N/A	N/A	N/A	N/A
8.9	Are the revenue codes correct? In the case of federal revenues, has the agency appropriately identified direct versus indirect receipts (object codes 000700, 000750, 000799, 001510 and 001599)? For non-grant federal revenues, is the correct revenue code identified (codes 000504, 000119, 001270, 001870, 001970)?	Yes	Yes	Yes	Yes	Yes
8.10	Are the statutory authority references correct?	Yes	Yes	Yes	Yes	Yes
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.)	Yes	Yes	Yes	Yes	Yes
8.12	Is this an accurate representation of revenues based on the most recent Consensus Estimating Conference forecasts?	Yes	Yes	Yes	Yes	Yes
8.13	If there is no Consensus Estimating Conference forecast available, do the revenue estimates appear to be reasonable?	Yes	Yes	Yes	Yes	Yes
8.14	Are the federal funds revenues reported in Section I broken out by individual grant? Are the correct CFDA codes used?	N/A	N/A	N/A	N/A	N/A

Action		Program or Service (Budget Entity Codes)				
		72600300	72600400	72600500	72600800	72750200
8.15	Are anticipated grants included and based on the state fiscal year (rather than federal fiscal year)?	N/A	N/A	N/A	N/A	N/A
8.16	Are the Schedule I revenues consistent with the FSI's reported in the Exhibit D-3A?	Yes	Yes	Yes	Yes	Yes
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?	Yes	Yes	Yes	Yes	Yes
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?	Yes	Yes	Yes	Yes	Yes
8.20	Are appropriate service charge nonoperating amounts included in Section II?	Yes	Yes	Yes	Yes	Yes
8.21	Are nonoperating expenditures to other budget entities/departments cross-referenced accurately?	Yes	Yes	Yes	Yes	Yes
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.)	Yes	Yes	Yes	Yes	Yes
8.23	Are nonoperating expenditures recorded in Section II and adjustments recorded in Section III?	Yes	Yes	Yes	Yes	Yes
8.24	Are prior year September operating reversions appropriately shown in column A01?	Yes	Yes	Yes	Yes	Yes
8.25	Are current year September operating reversions appropriately shown in column A02?	Yes	Yes	Yes	Yes	Yes
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?	Yes	Yes	Yes	Yes	Yes
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?	Yes	Yes	Yes	Yes	Yes
8.28	Does Line I of Column A01 (Schedule I) equal Line K of the Schedule IC?	Yes	Yes	Yes	Yes	Yes
AUDITS:						
8.29	Is Line I a positive number? (If not, the agency must adjust the budget request to eliminate the deficit).	Yes	Yes	Yes	Yes	Yes
8.30	Is the June 30 Adjusted Unreserved Fund Balance (Line I) equal to the July 1 Unreserved Fund Balance (Line A) of the following year? If a Schedule IB was prepared, do the totals agree with the Schedule I, Line I? (SC1R, SC1A - Report should print "No Discrepancies Exist For This Report")	Yes	Yes	Yes	Yes	Yes
8.31	Has a Department Level Reconciliation been provided for each trust fund and does Line A of the Schedule I equal the CFO amount? If not, the agency must correct Line A. (SC1R, DEPT)	Yes	Yes	Yes	Yes	Yes

		Program or Service (Budget Entity Codes)				
Action		72600300	72600400	72600500	72600800	72750200
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.) 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 157 of the LBR Instructions.)	Yes	Yes	Yes	Yes	Yes
10. SCHEDULE III (PSCR, SC3)						
10.1	Is the appropriate lapse amount applied in Segment 3? (See page 90 of the LBR Instructions.)	N/A	Yes	N/A	N/A	N/A
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 OADI or OADR to identify agency other salary amounts requested.	Yes	Yes	Yes	Yes	Yes
11. SCHEDULE IV (EADR, SC4)						
11.1	Are the correct Information Technology (IT) issue codes used?	N/A	Yes	N/A	N/A	N/A
TIP	If IT issues are not coded correctly (with "C" in 6th position), they will not appear in the Schedule IV.					
12. SCHEDULE VIIIA (EADR, SC8A)						
12.1	Is there only one #1 priority, one #2 priority, one #3 priority, etc. reported on the Schedule VIII-A? Are the priority narrative explanations adequate?	Yes	Yes	Yes	Yes	Yes
13. SCHEDULE VIIIB-1 (EADR, S8B1)						
13.1	NOT REQUIRED FOR THIS YEAR	N/A	N/A	N/A	N/A	N/A
14. SCHEDULE VIIIB-2 (EADR, S8B2)						
14.1	Do the reductions comply with the instructions provided on pages 102 through 104 of the LBR Instructions regarding a 5% reduction in recurring General Revenue and Trust Funds, including the verification that the 33BXXX0 issue has NOT been used?	Yes	Yes	Yes	Yes	Yes
15. SCHEDULE XI (USCR,SCXI) (LAS/PBS Web - see page 105-109 of the LBR Instructions for detailed instruction						
15.1	Agencies are required to generate this spreadsheet via the LAS/PBS Web. The Final Excel version no longer has to be submitted to OPB for inclusion on the Governor's Florida Performs Website. (Note: Pursuant to <i>section 216.023(4) (b), Florida Statutes</i> , the Legislature can reduce the funding level for any agency that does not provide this	Yes	Yes	Yes	Yes	Yes
15.2	Do the PDF files uploaded to the Florida Fiscal Portal for the LRPP and LBR match?	Yes	Yes	Yes	Yes	Yes
AUDITS INCLUDED IN THE SCHEDULE XI REPORT:						

Action		Program or Service (Budget Entity Codes)				
		72600300	72600400	72600500	72600800	72750200
15.3	Does the FY 2011-12 Actual (prior year) Expenditures in Column A36 reconcile to Column A01? (GENR, ACT1)	Yes	Yes	Yes	Yes	Yes
15.4	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")	Yes	Yes	Yes	Yes	Yes
15.5	Does the Fixed Capital Outlay (FCO) statewide activity (ACT0210) only contain 08XXXX or 14XXXX appropriation categories? (Audit #2 should print "No Operating Categories Found")	Yes	Yes	Yes	Yes	Yes
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.)	Yes	Yes	Yes	Yes	Yes
15.7	Does Section I (Final Budget for Agency) and Section III (Total Budget for Agency) equal? (Audit #4 should print "No Discrepancies Found")	N/J	N/J	N/J	N/J	N/J
TIP	If Section I and Section III have a small difference, it may be due to rounding and therefore will be acceptable.					
16. MANUALLY PREPARED EXHIBITS & SCHEDULES						
16.1	Do exhibits and schedules comply with LBR Instructions (pages 110 through 154 of the LBR Instructions), and are they accurate and complete?	Yes	Yes	Yes	Yes	Yes
16.2	Are appropriation category totals comparable to Exhibit B, where applicable?	Yes	Yes	Yes	Yes	Yes
16.3	Are agency organization charts (Schedule X) provided and at the appropriate level of detail?	Yes	Yes	Yes	Yes	Yes
AUDITS - GENERAL INFORMATION						
TIP	Review <i>Section 6: Audits</i> of the LBR Instructions (pages 156-158) for a list of audits and their descriptions.					
TIP	Reorganizations may cause audit errors. Agencies must indicate that these errors are due to an agency reorganization to justify the audit error.					
17. CAPITAL IMPROVEMENTS PROGRAM (CIP)						
17.1	Are the CIP-2, CIP-3, CIP-A and CIP-B forms included?	N/A	N/A	N/A	N/A	N/A
17.2	Are the CIP-4 and CIP-5 forms submitted when applicable (see CIP Instructions)?	N/A	N/A	N/A	N/A	N/A
17.3	Do all CIP forms comply with CIP Instructions where applicable (see CIP Instructions)?	N/A	N/A	N/A	N/A	N/A
17.4	Does the agency request include 5 year projections (Columns A03, A06, A07, A08 and A09)?	N/A	N/A	N/A	N/A	N/A
17.5	Are the appropriate counties identified in the narrative?	N/A	N/A	N/A	N/A	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	N/A	N/A	N/A	N/A

		Program or Service (Budget Entity Codes)				
Action		72600300	72600400	72600500	72600800	72750200
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						
18. FLORIDA FISCAL PORTAL						
18.1	Have all files been assembled correctly and posted to the Florida Fiscal Portal as outlined in the Florida Fiscal Portal Submittal Process?	Yes	Yes	Yes	Yes	Yes

Fiscal Year 2013-14 LBR Technical Review Checklist

Department/Budget Entity (Service):

Agency Budget Officer/OPB Analyst Name:

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)				
	72750300	72750400	72750500	72900100	72900200

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	Yes	Yes	Yes	Yes	Yes
1.2 Is Column A03 set to TRANSFER CONTROL for DISPLAY and UPDATE status for both the Budget and Trust Fund columns? (CSDI)	Yes	Yes	Yes	Yes	Yes

AUDITS:

1.3 Has Column A03 been copied to Column A12? Run the Exhibit B Audit Comparison Report to verify. (EXBR, EXBA)	Yes	Yes	Yes	Yes	Yes
1.4 Has security been set correctly? (CSDR, CSA)	Yes	Yes	Yes	Yes	Yes

TIP The agency should prepare the budget request for submission in this order: 1) Lock columns as described above; 2) copy Column A03 to Column A12; and 3) set Column A12 column security to ALL for DISPLAY status and MANAGEMENT CONTROL for UPDATE status.

2. EXHIBIT A (EADR, EXA)

2.1 Is the budget entity authority and description consistent with the agency's LRPP and does it conform to the directives provided on page 58 of the LBR Instructions?	Yes	Yes	Yes	Yes	Yes
2.2 Are the statewide issues generated systematically (estimated expenditures, nonrecurring expenditures, etc.) included?	Yes	Yes	Yes	Yes	Yes
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?	Yes	Yes	Yes	Yes	Yes
2.4 Have the coding guidelines in <i>Section 3</i> of the LBR Instructions (pages 15 through 30) been followed?	Yes	Yes	Yes	Yes	Yes

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	N/A	N/A	N/A	N/A
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.	Yes	Yes	Yes	Yes	Yes

AUDITS:

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? (NACR, NAC - Report should print "No Negative Appropriation Categories Found")	Yes	Yes	Yes	Yes	Yes
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		Program or Service (Budget Entity Codes)				
Action		72750300	72750400	72750500	72900100	72900200
3.4	Current Year Estimated Verification Comparison Report: Is Column A02 equal to Column B07? (EXBR, EXBC - Report should print "Records Selected Net To Zero")	Yes	Yes	Yes	Yes	Yes
TIP	Generally look for and be able to fully explain significant differences between A02 and A03.					
TIP	Exhibit B - A02 equal to B07: Compares Current Year Estimated column to a backup of A02. This audit is necessary to ensure that the historical detail records have not been adjusted. Records selected should net to zero.					
TIP	Requests for appropriations which require advance payment authority must use the sub-title "Grants and Aids". For advance payment authority to local units of government, the Aid to Local Government appropriation category (05XXXX) should be used. For advance payment authority to non-profit organizations or other units of state government, the Special Categories appropriation category (10XXXX) should be used.					
4. EXHIBIT D (EADR, EXD)						
4.1	Is the program component objective statement consistent with the agency LRPP, and does it conform to the directives provided on page 61 of the LBR Instructions?	Yes	Yes	Yes	Yes	Yes
4.2	Is the program component code and title used correct?	Yes	Yes	Yes	Yes	Yes
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.)	Yes	Yes	Yes	Yes	Yes
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")	Yes	Yes	Yes	Yes	Yes
5.3	FLAIR Expenditure/Appropriation Ledger Comparison Report: Is Column A01 less than Column B04? (EXBR, EXBB - Negative differences need to be corrected in Column A01.)	Yes	Yes	Yes	Yes	Yes
5.4	A01/State Accounts Disbursements and Carry Forward Comparison Report: Does Column A01 equal Column B08? (EXBR, EXBD - Differences need to be corrected in Column A01.)	Yes	Yes	Yes	Yes	Yes
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 2011-12 approved budget. Amounts should be positive.					

Action		Program or Service (Budget Entity Codes)				
		72750300	72750400	72750500	72900100	72900200
TIP If B08 is not equal to A01, check the following: 1) the initial FLAIR disbursements or carry forward data load was corrected appropriately in A01; 2) the disbursement data from departmental FLAIR was reconciled to State Accounts; and 3) the FLAIR disbursements did not change after Column B08 was created.						
6. EXHIBIT D-3 (ED3R, ED3) (Not required in the LBR - for analytical purposes only.)						
6.1	Are issues appropriately aligned with appropriation categories?	Yes	Yes	Yes	Yes	Yes
TIP Exhibit D-3 is no longer required in the budget submission but may be needed for this particular appropriation category/issue sort. Exhibit D-3 is also a useful report when identifying negative appropriation category problems.						
7. EXHIBIT D-3A (EADR, ED3A)						
7.1	Are the issue titles correct and do they clearly identify the issue? (See pages 15 through 30 of the LBR Instructions.)	Yes	Yes	Yes	Yes	Yes
7.2	Does the issue narrative adequately explain the agency's request and is the explanation consistent with the LRPP? (See page 66-67 of the LBR Instructions.)	Yes	Yes	Yes	Yes	Yes
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?	Yes	Yes	Yes	Yes	Yes
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?	Yes	N/A	N/A	N/A	N/A
7.5	Does the issue narrative explain any variances from the Standard Expense and Human Resource Services Assessments package? Is the nonrecurring portion in the nonrecurring column? (See pages E-4 and E-5 of the LBR Instructions.)	N/A	N/A	N/A	N/A	N/A
7.6	Does the salary rate request amount accurately reflect any new requests and are the amounts proportionate to the Salaries and Benefits request? Note: Salary rate should always be annualized.	N/A	N/A	N/A	N/A	N/A
7.7	Does the issue narrative thoroughly explain/justify all Salaries and Benefits amounts entered into the Other Salary Amounts transactions (OADA/C)? Amounts entered into OAD are reflected in the Position Detail of Salaries and Benefits section of the Exhibit D-3A.	Yes	Yes	Yes	Yes	Yes
7.8	Does the issue narrative include the Consensus Estimating Conference forecast, where appropriate?	N/A	N/A	N/A	N/A	N/A
7.9	Does the issue narrative reference the specific county(ies) where applicable?	Yes	Yes	Yes	Yes	Yes
7.10	Do the 160XXX0 issues reflect budget amendments that have been approved (or in the process of being approved) and that have a recurring impact (including Lump Sums)? Have the approved budget amendments been entered in Column A18 as instructed in Memo #13-003?	Yes	Yes	Yes	Yes	Yes
7.11	When appropriate are there any 160XXX0 issues included to delete positions placed in reserve in the OPB Position and Rate Ledger (e.g. unfunded grants)? Note: Lump sum appropriations not yet allocated should <u>not</u> be deleted. (PLRR, PLMO)	Yes	Yes	Yes	Yes	Yes
7.12	Does the issue narrative include plans to satisfy additional space requirements when requesting additional positions?	N/A	N/A	N/A	N/A	N/A

Action		Program or Service (Budget Entity Codes)				
		72750300	72750400	72750500	72900100	72900200
7.13	Has the agency included a 160XXX0 issue and 210XXXX and 260XXX0 issues as required for lump sum distributions?	N/A	N/A	N/A	N/A	N/A
7.14	Do the amounts reflect appropriate FSI assignments?	Yes	Yes	Yes	Yes	Yes
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	N/A	N/A	N/A	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)?	Yes	N/A	N/A	N/A	N/A
7.17	Are the issues relating to <i>major audit findings and recommendations</i> properly coded (4A0XXX0, 4B0XXX0)?	N/A	N/A	N/A	N/A	N/A
7.18	Does the issue narrative identify the strategy or strategies in the Five Year Statewide Strategic Plan for Economic Development as requested in Memo# 13-010?	Yes	Yes	Yes	Yes	Yes
AUDIT:						
7.19	Are all FSI's equal to '1', '2', '3', or '9'? There should be no FSI's equal to '0'. (EADR, FSIA - Report should print "No Records Selected For Reporting")	Yes	Yes	Yes	Yes	Yes
7.20	Does the General Revenue for 160XXXX (Adjustments to Current Year Expenditures) issues net to zero? (GENR, LBR1)	Yes	Yes	Yes	Yes	Yes
7.21	Does the General Revenue for 180XXXX (Intra-Agency Reorganizations) issues net to zero? (GENR, LBR2)	N/A	N/A	N/A	N/A	N/A
7.22	Does the General Revenue for 200XXXX (Estimated Expenditures Realignment) issues net to zero? (GENR, LBR3)	Yes	Yes	Yes	Yes	Yes
7.23	Have FCO appropriations been entered into the nonrecurring column A04? (GENR, LBR4 - Report should print "No Records Selected For Reporting" or a listing of D-3A issue(s) assigned to Debt Service (IOE N) or in some cases State Capital Outlay - Public Education Capital Outlay (IOE L))	N/A	N/A	N/A	N/A	N/A
TIP	Salaries and Benefits amounts entered using the OADA/C transactions must be thoroughly justified in the D-3A issue narrative. Agencies can run OADA/OADR from STAM to identify the amounts entered into OAD and ensure these entries have been thoroughly explained in the D-3A issue narrative.					
TIP	The issue narrative must completely and thoroughly explain and justify each D-3A issue. Agencies must ensure it provides the information necessary for the OPB and legislative analysts to have a complete understanding of the issue submitted. Thoroughly review pages 66 through 70 of the LBR Instructions.					
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.					

Action		Program or Service (Budget Entity Codes)				
		72750300	72750400	72750500	72900100	72900200
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 2012-13 General Appropriations Act duplicates an appropriation made in substantive legislation, the agency must create a unique deduct nonrecurring issue to eliminate the duplicated appropriation. Normally this is taken care of through line item veto.					
8. SCHEDULE I & RELATED DOCUMENTS (SC1R, SC1 - Budget Entity Level or SC1R, SC1D - Department Level)						
8.1	Has a separate department level Schedule I and supporting documents package been submitted by the agency?	Yes	Yes	Yes	Yes	Yes
8.2	Has a Schedule I and Schedule IB been completed in LAS/PBS for each operating trust fund?	Yes	Yes	Yes	Yes	Yes
8.3	Have the appropriate Schedule I supporting documents been included for the trust funds (Schedule IA, Schedule IC, and Reconciliation to Trial Balance)?	Yes	Yes	Yes	Yes	Yes
8.4	Have the Examination of Regulatory Fees Part I and Part II forms been included for the applicable regulatory programs?	N/A	N/A	N/A	N/A	N/A
8.5	Have the required detailed narratives been provided (5% trust fund reserve narrative; method for computing the distribution of cost for general management and administrative services narrative; adjustments narrative; revenue estimating methodology narrative)?	Yes	Yes	Yes	Yes	Yes
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?	Yes	N/A	N/A	Yes	Yes
8.7	If the agency is scheduled for the annual trust fund review this year, have the Schedule ID and applicable draft legislation been included for recreation, modification or termination of existing trust funds?	N/A	N/A	N/A	N/A	N/A
8.8	If the agency is scheduled for the annual trust fund review this year, have the necessary trust funds been requested for creation pursuant to <i>section 215.32(2)(b), Florida Statutes</i> - including the Schedule ID and applicable legislation?	N/A	N/A	N/A	N/A	N/A
8.9	Are the revenue codes correct? In the case of federal revenues, has the agency appropriately identified direct versus indirect receipts (object codes 000700, 000750, 000799, 001510 and 001599)? For non-grant federal revenues, is the correct revenue code identified (codes 000504, 000119, 001270, 001870, 001970)?	Yes	Yes	Yes	Yes	Yes
8.10	Are the statutory authority references correct?	Yes	Yes	Yes	Yes	Yes
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.)	Yes	Yes	Yes	Yes	Yes
8.12	Is this an accurate representation of revenues based on the most recent Consensus Estimating Conference forecasts?	N/A	N/A	N/A	N/A	N/A
8.13	If there is no Consensus Estimating Conference forecast available, do the revenue estimates appear to be reasonable?	Yes	Yes	Yes	Yes	Yes
8.14	Are the federal funds revenues reported in Section I broken out by individual grant? Are the correct CFDA codes used?	Yes	Yes	Yes	Yes	Yes

Action		Program or Service (Budget Entity Codes)				
		72750300	72750400	72750500	72900100	72900200
8.15	Are anticipated grants included and based on the state fiscal year (rather than federal fiscal year)?	Yes	Yes	Yes	Yes	Yes
8.16	Are the Schedule I revenues consistent with the FSI's reported in the Exhibit D-3A?	Yes	Yes	Yes	Yes	Yes
8.17	If applicable, are nonrecurring revenues entered into Column A04?	Yes	Yes	Yes	Yes	Yes
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?	Yes	Yes	Yes	Yes	Yes
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?	Yes	Yes	Yes	Yes	Yes
8.20	Are appropriate service charge nonoperating amounts included in Section II?	Yes	Yes	Yes	Yes	Yes
8.21	Are nonoperating expenditures to other budget entities/departments cross-referenced accurately?	Yes	Yes	Yes	Yes	Yes
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.)	Yes	Yes	Yes	Yes	Yes
8.23	Are nonoperating expenditures recorded in Section II and adjustments recorded in Section III?	Yes	Yes	Yes	Yes	Yes
8.24	Are prior year September operating reversions appropriately shown in column A01?	Yes	Yes	Yes	Yes	Yes
8.25	Are current year September operating reversions appropriately shown in column A02?	Yes	Yes	Yes	Yes	Yes
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?	Yes	Yes	Yes	Yes	Yes
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?	Yes	Yes	Yes	Yes	Yes
8.28	Does Line I of Column A01 (Schedule I) equal Line K of the Schedule IC?	Yes	Yes	Yes	Yes	Yes
AUDITS:						
8.29	Is Line I a positive number? (If not, the agency must adjust the budget request to eliminate the deficit).	Yes	Yes	Yes	Yes	Yes
8.30	Is the June 30 Adjusted Unreserved Fund Balance (Line I) equal to the July 1 Unreserved Fund Balance (Line A) of the following year? If a Schedule IB was prepared, do the totals agree with the Schedule I, Line I? (SC1R, SC1A - Report should print "No Discrepancies Exist For This Report")	Yes	Yes	Yes	Yes	Yes
8.31	Has a Department Level Reconciliation been provided for each trust fund and does Line A of the Schedule I equal the CFO amount? If not, the agency must correct Line A. (SC1R, DEPT)	Yes	Yes	Yes	Yes	Yes

Action		Program or Service (Budget Entity Codes)				
		72750300	72750400	72750500	72900100	72900200
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.) 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 157 of the LBR Instructions.)	Yes	Yes	Yes	Yes	Yes
10. SCHEDULE III (PSCR, SC3)						
10.1	Is the appropriate lapse amount applied in Segment 3? (See page 90 of the LBR Instructions.)	N/A	N/A	N/A	N/A	N/A
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 OADI or OADR to identify agency other salary amounts requested.	Yes	Yes	Yes	Yes	Yes
11. SCHEDULE IV (EADR, SC4)						
11.1	Are the correct Information Technology (IT) issue codes used?	Yes	N/A	N/A	N/A	N/A
TIP	If IT issues are not coded correctly (with "C" in 6th position), they will not appear in the Schedule IV.					
12. SCHEDULE VIIIA (EADR, SC8A)						
12.1	Is there only one #1 priority, one #2 priority, one #3 priority, etc. reported on the Schedule VIII-A? Are the priority narrative explanations adequate?	Yes	Yes	Yes	Yes	Yes
13. SCHEDULE VIIIB-1 (EADR, S8B1)						
13.1	NOT REQUIRED FOR THIS YEAR	N/A	N/A	N/A	N/A	N/A
14. SCHEDULE VIIIB-2 (EADR, S8B2)						
14.1	Do the reductions comply with the instructions provided on pages 102 through 104 of the LBR Instructions regarding a 5% reduction in recurring General Revenue and Trust Funds, including the verification that the 33BXXX0 issue has NOT been used?	Yes	Yes	Yes	Yes	Yes
15. SCHEDULE XI (USCR,SCXI) (LAS/PBS Web - see page 105-109 of the LBR Instructions for detailed instruction)						
15.1	Agencies are required to generate this spreadsheet via the LAS/PBS Web. The Final Excel version no longer has to be submitted to OPB for inclusion on the Governor's Florida Performs Website. (Note: Pursuant to <i>section 216.023(4) (b), Florida Statutes</i> , the Legislature can reduce the funding level for any agency that does not provide this	Yes	Yes	Yes	Yes	Yes
15.2	Do the PDF files uploaded to the Florida Fiscal Portal for the LRPP and LBR match?	Yes	Yes	Yes	Yes	Yes
AUDITS INCLUDED IN THE SCHEDULE XI REPORT:						

Action		Program or Service (Budget Entity Codes)				
		72750300	72750400	72750500	72900100	72900200
15.3	Does the FY 2011-12 Actual (prior year) Expenditures in Column A36 reconcile to Column A01? (GENR, ACT1)	Yes	Yes	Yes	Yes	Yes
15.4	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")	Yes	Yes	Yes	Yes	Yes
15.5	Does the Fixed Capital Outlay (FCO) statewide activity (ACT0210) only contain 08XXXX or 14XXXX appropriation categories? (Audit #2 should print "No Operating Categories Found")	Yes	Yes	Yes	Yes	Yes
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.)	Yes	Yes	Yes	Yes	Yes
15.7	Does Section I (Final Budget for Agency) and Section III (Total Budget for Agency) equal? (Audit #4 should print "No Discrepancies Found")	N/J	N/J	N/J	N/J	N/J
TIP	If Section I and Section III have a small difference, it may be due to rounding and therefore will be acceptable.					
16. MANUALLY PREPARED EXHIBITS & SCHEDULES						
16.1	Do exhibits and schedules comply with LBR Instructions (pages 110 through 154 of the LBR Instructions), and are they accurate and complete?	Yes	Yes	Yes	Yes	Yes
16.2	Are appropriation category totals comparable to Exhibit B, where applicable?	Yes	Yes	Yes	Yes	Yes
16.3	Are agency organization charts (Schedule X) provided and at the appropriate level of detail?	Yes	Yes	Yes	Yes	Yes
AUDITS - GENERAL INFORMATION						
TIP	Review <i>Section 6: Audits</i> of the LBR Instructions (pages 156-158) for a list of audits and their descriptions.					
TIP	Reorganizations may cause audit errors. Agencies must indicate that these errors are due to an agency reorganization to justify the audit error.					
17. CAPITAL IMPROVEMENTS PROGRAM (CIP)						
17.1	Are the CIP-2, CIP-3, CIP-A and CIP-B forms included?	N/A	N/A	N/A	N/A	N/A
17.2	Are the CIP-4 and CIP-5 forms submitted when applicable (see CIP Instructions)?	N/A	N/A	N/A	N/A	N/A
17.3	Do all CIP forms comply with CIP Instructions where applicable (see CIP Instructions)?	N/A	N/A	N/A	N/A	N/A
17.4	Does the agency request include 5 year projections (Columns A03, A06, A07, A08 and A09)?	N/A	N/A	N/A	N/A	N/A
17.5	Are the appropriate counties identified in the narrative?	N/A	N/A	N/A	N/A	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	N/A	N/A	N/A	N/A

		Program or Service (Budget Entity Codes)				
Action		72750300	72750400	72750500	72900100	72900200
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						
18. FLORIDA FISCAL PORTAL						
18.1	Have all files been assembled correctly and posted to the Florida Fiscal Portal as outlined in the Florida Fiscal Portal Submittal Process?	Yes	Yes	Yes	Yes	Yes

Fiscal Year 2013-14 LBR Technical Review Checklist

Department/Budget Entity (Service):

Agency Budget Officer/OPB Analyst Name:

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	72920100	72950100		

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? (CSDI)		Yes	Yes		
1.2 Is Column A03 set to TRANSFER CONTROL for DISPLAY and UPDATE status for both the Budget and Trust Fund columns? (CSDI)		Yes	Yes		

AUDITS:

1.3 Has Column A03 been copied to Column A12? Run the Exhibit B Audit Comparison Report to verify. (EXBR, EXBA)		Yes	Yes		
1.4 Has security been set correctly? (CSDR, CSA)		Yes	Yes		

TIP The agency should prepare the budget request for submission in this order: 1) Lock columns as described above; 2) copy Column A03 to Column A12; and 3) set Column A12 column security to ALL for DISPLAY status and MANAGEMENT CONTROL for UPDATE status.

2. EXHIBIT A (EADR, EXA)

2.1 Is the budget entity authority and description consistent with the agency's LRPP and does it conform to the directives provided on page 58 of the LBR Instructions?		Yes	Yes		
2.2 Are the statewide issues generated systematically (estimated expenditures, nonrecurring expenditures, etc.) included?		Yes	Yes		
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?		Yes	Yes		
2.4 Have the coding guidelines in <i>Section 3</i> of the LBR Instructions (pages 15 through 30) been followed?		Yes	Yes		

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/	N/A		
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.		Yes	Yes		

AUDITS:

		Program or Service (Budget Entity Codes)				
Action		72920100	72950100			
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? (NACR, NAC - Report should print "No Negative Appropriation Categories Found")	Yes	Yes			
3.4	Current Year Estimated Verification Comparison Report: Is Column A02 equal to Column B07? (EXBR, EXBC - Report should print "Records Selected Net To Zero")	Yes	Yes			
TIP	Generally look for and be able to fully explain significant differences between A02 and A03.					
TIP	Exhibit B - A02 equal to B07: Compares Current Year Estimated column to a backup of A02. This audit is necessary to ensure that the historical detail records have not been adjusted. Records selected should net to zero.					
TIP	Requests for appropriations which require advance payment authority must use the sub-title "Grants and Aids". For advance payment authority to local units of government, the Aid to Local Government appropriation category (05XXXX) should be used. For advance payment authority to non-profit organizations or other units of state government, the Special Categories appropriation category (10XXXX) should be used.					
4. EXHIBIT D (EADR, EXD)						
4.1	Is the program component objective statement consistent with the agency LRPP, and does it conform to the directives provided on page 61 of the LBR Instructions?	Yes	Yes			
4.2	Is the program component code and title used correct?	Yes	Yes			
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.)	Yes	Yes			
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")	Yes	Yes			
5.3	FLAIR Expenditure/Appropriation Ledger Comparison Report: Is Column A01 less than Column B04? (EXBR, EXBB - Negative differences need to be corrected in Column A01.)	Yes	Yes			
5.4	A01/State Accounts Disbursements and Carry Forward Comparison Report: Does Column A01 equal Column B08? (EXBR, EXBD - Differences need to be corrected in Column A01.)	Yes	Yes			
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.					

		Program or Service (Budget Entity Codes)				
Action		72920100	72950100			
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 2011-12 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.					
6. EXHIBIT D-3 (ED3R, ED3) (Not required in the LBR - for analytical purposes only.)						
6.1	Are issues appropriately aligned with appropriation categories?	Yes	Yes			
TIP	Exhibit D-3 is no longer required in the budget submission but may be needed for this particular appropriation category/issue sort. Exhibit D-3 is also a useful report when identifying negative appropriation category problems.					
7. EXHIBIT D-3A (EADR, ED3A)						
7.1	Are the issue titles correct and do they clearly identify the issue? (See pages 15 through 30 of the LBR Instructions.)	Yes	Yes			
7.2	Does the issue narrative adequately explain the agency's request and is the explanation consistent with the LRPP? (See page 66-67 of the LBR Instructions.)	Yes	Yes			
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?	Yes	Yes			
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?	Yes	Yes			
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	N/A			
7.6	Does the salary rate request amount accurately reflect any new requests and are the amounts proportionate to the Salaries and Benefits request? Note: Salary rate should always be annualized.	N/A	N/A			
7.7	Does the issue narrative thoroughly explain/justify all Salaries and Benefits amounts entered into the Other Salary Amounts transactions (OADA/C)? Amounts entered into OAD are reflected in the Position Detail of Salaries and Benefits section of the Exhibit D-3A.	N/A	Yes			
7.8	Does the issue narrative include the Consensus Estimating Conference forecast, where appropriate?	Yes	Yes			
7.9	Does the issue narrative reference the specific county(ies) where applicable?	N/A/	N/A			
7.10	Do the 160XXX0 issues reflect budget amendments that have been approved (or in the process of being approved) and that have a recurring impact (including Lump Sums)? Have the approved budget amendments been entered in Column A18 as instructed in Memo #13-003?	Yes	Yes			

Action		Program or Service (Budget Entity Codes)				
		72920100	72950100			
7.11	When appropriate are there any 160XXX0 issues included to delete positions placed in reserve in the OPB Position and Rate Ledger (e.g. unfunded grants)? Note: Lump sum appropriations not yet allocated should <u>not</u> be deleted. (PLRR, PLMO)	N/A	N/A			
7.12	Does the issue narrative include plans to satisfy additional space requirements when requesting additional positions?	N/A	N/A			
7.13	Has the agency included a 160XXX0 issue and 210XXXX and 260XXX0 issues as required for lump sum distributions?	N/A	N/A			
7.14	Do the amounts reflect appropriate FSI assignments?	Yes	Yes			
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	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)?	N/A	N/A			
7.17	Are the issues relating to <i>major audit findings and recommendations</i> properly coded (4A0XXX0, 4B0XXX0)?	N/A	N/A			
7.18	Does the issue narrative identify the strategy or strategies in the Five Year Statewide Strategic Plan for Economic Development as requested in Memo# 13-010?	N/A	N/A			
AUDIT:						
7.19	Are all FSI's equal to '1', '2', '3', or '9'? There should be no FSI's equal to '0'. (EADR, FSIA - Report should print "No Records Selected For Reporting")	Yes	Yes			
7.20	Does the General Revenue for 160XXXX (Adjustments to Current Year Expenditures) issues net to zero? (GENR, LBR1)	Yes	Yes			
7.21	Does the General Revenue for 180XXXX (Intra-Agency Reorganizations) issues net to zero? (GENR, LBR2)	N/A	N/A			
7.22	Does the General Revenue for 200XXXX (Estimated Expenditures Realignment) issues net to zero? (GENR, LBR3)	Yes	Yes			
7.23	Have FCO appropriations been entered into the nonrecurring column A04? (GENR, LBR4 - Report should print "No Records Selected For Reporting" or a listing of D-3A issue(s) assigned to Debt Service (IOE N) or in some cases State Capital Outlay - Public Education Capital Outlay (IOE L))	N/A	N/A			
TIP	Salaries and Benefits amounts entered using the OADA/C transactions must be thoroughly justified in the D-3A issue narrative. Agencies can run OADA/OADR from STAM to identify the amounts entered into OAD and ensure these entries have been thoroughly explained in the D-3A issue narrative.					
TIP	The issue narrative must completely and thoroughly explain and justify each D-3A issue. Agencies must ensure it provides the information necessary for the OPB and legislative analysts to have a complete understanding of the issue submitted. Thoroughly review pages 66 through 70 of the LBR Instructions.					

Action		Program or Service (Budget Entity Codes)				
		72920100	72950100			
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 2012-13 General Appropriations Act duplicates an appropriation made in substantive legislation, the agency must create a unique deduct nonrecurring issue to eliminate the duplicated appropriation. Normally this is taken care of through line item veto.					
8. SCHEDULE I & RELATED DOCUMENTS (SC1R, SC1 - Budget Entity Level or SC1R, SC1D - Department Level)						
8.1	Has a separate department level Schedule I and supporting documents package been submitted by the agency?	Yes	Yes			
8.2	Has a Schedule I and Schedule IB been completed in LAS/PBS for each operating trust fund?	Yes	Yes			
8.3	Have the appropriate Schedule I supporting documents been included for the trust funds (Schedule IA, Schedule IC, and Reconciliation to Trial Balance)?	Yes	Yes			
8.4	Have the Examination of Regulatory Fees Part I and Part II forms been included for the applicable regulatory programs?	N/A	N/A			
8.5	Have the required detailed narratives been provided (5% trust fund reserve narrative; method for computing the distribution of cost for general management and administrative services narrative; adjustments narrative; revenue estimating methodology narrative)?	Yes	Yes			
8.6	Has the Inter-Agency Transfers Reported on Schedule I form been included as applicable for transfers totaling \$100,000 or more for the fiscal year?	N/A	N/A			
8.7	If the agency is scheduled for the annual trust fund review this year, have the Schedule ID and applicable draft legislation been included for recreation, modification or termination of existing trust funds?	N/A	N/A			
8.8	If the agency is scheduled for the annual trust fund review this year, have the necessary trust funds been requested for creation pursuant to <i>section 215.32(2)(b), Florida Statutes</i> - including the Schedule ID and applicable legislation?	N/A	N/A			
8.9	Are the revenue codes correct? In the case of federal revenues, has the agency appropriately identified direct versus indirect receipts (object codes 000700, 000750, 000799, 001510 and 001599)? For non-grant federal revenues, is the correct revenue code identified (codes 000504, 000119, 001270, 001870, 001970)?	Yes	Yes			
8.10	Are the statutory authority references correct?	Yes	Yes			
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.)	Yes	Yes			
8.12	Is this an accurate representation of revenues based on the most recent Consensus Estimating Conference forecasts?	Yes	Yes			

Action		Program or Service (Budget Entity Codes)				
		72920100	72950100			
8.13	If there is no Consensus Estimating Conference forecast available, do the revenue estimates appear to be reasonable?	Yes	Yes			
8.14	Are the federal funds revenues reported in Section I broken out by individual grant? Are the correct CFDA codes used?	Yes	Yes			
8.15	Are anticipated grants included and based on the state fiscal year (rather than federal fiscal year)?	Yes	Yes			
8.16	Are the Schedule I revenues consistent with the FSI's reported in the Exhibit D-3A?	Yes	Yes			
8.17	If applicable, are nonrecurring revenues entered into Column A04?	Yes	Yes			
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?	Yes	Yes			
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?	Yes	Yes			
8.20	Are appropriate service charge nonoperating amounts included in Section II?	Yes	Yes			
8.21	Are nonoperating expenditures to other budget entities/departments cross-referenced accurately?	Yes	Yes			
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.)	Yes	Yes			
8.23	Are nonoperating expenditures recorded in Section II and adjustments recorded in Section III?	Yes	Yes			
8.24	Are prior year September operating reversions appropriately shown in column A01?	Yes	Yes			
8.25	Are current year September operating reversions appropriately shown in column A02?	Yes	Yes			
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?	Yes	Yes			
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?	Yes	Yes			
8.28	Does Line I of Column A01 (Schedule I) equal Line K of the Schedule IC?	Yes	Yes			
AUDITS:						
8.29	Is Line I a positive number? (If not, the agency must adjust the budget request to eliminate the deficit).	Yes	Yes			
8.30	Is the June 30 Adjusted Unreserved Fund Balance (Line I) equal to the July 1 Unreserved Fund Balance (Line A) of the following year? If a Schedule IB was prepared, do the totals agree with the Schedule I, Line I? (SC1R, SC1A - Report should print "No Discrepancies Exist For This Report")	Yes	Yes			

		Program or Service (Budget Entity Codes)				
Action		72920100	72950100			
8.31	Has a Department Level Reconciliation been provided for each trust fund and does Line A of the Schedule I equal the CFO amount? If not, the agency must correct Line A. (SC1R, DEPT)	Yes	Yes			
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.) 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 157 of the LBR Instructions.)	N/A	N/A			
10. SCHEDULE III (PSCR, SC3)						
10.1	Is the appropriate lapse amount applied in Segment 3? (See page 90 of the LBR Instructions.)	N/A	N/A			
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 OADI or OADR to identify agency other salary amounts requested	N/A	Yes			
11. SCHEDULE IV (EADR, SC4)						
11.1	Are the correct Information Technology (IT) issue codes used?	N/A	N/A			
TIP	If IT issues are not coded correctly (with "C" in 6th position), they will not appear in the Schedule IV.					
12. SCHEDULE VIIIA (EADR, SC8A)						
12.1	Is there only one #1 priority, one #2 priority, one #3 priority, etc. reported on the Schedule VIII-A? Are the priority narrative explanations adequate?	Yes	Yes			
13. SCHEDULE VIIIB-1 (EADR, S8B1)						
13.1	NOT REQUIRED FOR THIS YEAR	N/A	N/A			
14. SCHEDULE VIIIB-2 (EADR, S8B2)						
14.1	Do the reductions comply with the instructions provided on pages 102 through 104 of the LBR Instructions regarding a 5% reduction in recurring General Revenue and Trust Funds, including the verification that the 33BXXX0 issue has NOT been used?	Yes	Yes			
15. SCHEDULE XI (USCR, SCXI) (LAS/PBS Web - see page 105-109 of the LBR Instructions for detailed instruction)						
15.1	Agencies are required to generate this spreadsheet via the LAS/PBS Web. The Final Excel version no longer has to be submitted to OPB for inclusion on the Governor's Florida Performs Website. (Note: Pursuant to <i>section 216.023(4) (b), Florida Statutes</i> , the Legislature can reduce the funding level for any agency that does not provide this	Yes	Yes			

		Program or Service (Budget Entity Codes)				
Action		72920100	72950100			
15.2	Do the PDF files uploaded to the Florida Fiscal Portal for the LRPP and LBR match?	Yes	Yes			
AUDITS INCLUDED IN THE SCHEDULE XI REPORT:						
15.3	Does the FY 2011-12 Actual (prior year) Expenditures in Column A36 reconcile to Column A01? (GENR, ACT1)	Yes	Yes			
15.4	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")	Yes	Yes			
15.5	Does the Fixed Capital Outlay (FCO) statewide activity (ACT0210) only contain 08XXXX or 14XXXX appropriation categories? (Audit #2 should print "No Operating Categories Found")	Yes	Yes			
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.)	Yes	Yes			
15.7	Does Section I (Final Budget for Agency) and Section III (Total Budget for Agency) equal? (Audit #4 should print "No Discrepancies Found")	N/J	N/J			
TIP If Section I and Section III have a small difference, it may be due to rounding and therefore will be acceptable.						
16. MANUALLY PREPARED EXHIBITS & SCHEDULES						
16.1	Do exhibits and schedules comply with LBR Instructions (pages 110 through 154 of the LBR Instructions), and are they accurate and complete?	Yes	Yes			
16.2	Are appropriation category totals comparable to Exhibit B, where applicable?	Yes	Yes			
16.3	Are agency organization charts (Schedule X) provided and at the appropriate level of detail?	Yes	Yes			
AUDITS - GENERAL INFORMATION						
TIP Review <i>Section 6: Audits</i> of the LBR Instructions (pages 156-158) for a list of audits and their descriptions.						
TIP Reorganizations may cause audit errors. Agencies must indicate that these errors are due to an agency reorganization to justify the audit error.						
17. CAPITAL IMPROVEMENTS PROGRAM (CIP)						
17.1	Are the CIP-2, CIP-3, CIP-A and CIP-B forms included?	N/A	N/A			
17.2	Are the CIP-4 and CIP-5 forms submitted when applicable (see CIP Instructions)?	N/A	N/A			
17.3	Do all CIP forms comply with CIP Instructions where applicable (see CIP Instructions)?	N/A	N/A			
17.4	Does the agency request include 5 year projections (Columns A03, A06, A07, A08 and A09)?	N/A	N/A			
17.5	Are the appropriate counties identified in the narrative?	N/A	N/A			

		Program or Service (Budget Entity Codes)				
Action		72920100	72950100			
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	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					
18. FLORIDA FISCAL PORTAL						
18.1	Have all files been assembled correctly and posted to the Florida Fiscal Portal as outlined in the Florida Fiscal Portal Submittal Process?	Yes	Yes			